

Standards

## Corporate Actions November 2023 - Variants

Standards MX

# Message Definition Report - Part 2

This document provides details of the messages for Corporate Actions November 2023 - Variants.

February 2023

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# 1 Message Set Overview

## 1.1 List of MessageDefinitions

The following table lists all MessageDefinitions described in this book.

MessageDefinition	Definition
head.001.001.02 BusinessApplicationHeaderV02	<p>The Business Layer deals with Business Messages. The behaviour of the Business Messages is fully described by the Business Transaction and the structure of the Business Messages is fully described by the Message Definitions and related Message Rules, Rules and Market Practices. All of which are registered in the ISO 20022 Repository.</p> <p>A single new Business Message (with its accompanying business application header) is created - by the sending MessagingEndpoint - for each business event; that is each interaction in a Business Transaction. A Business Message adheres to the following principles:</p> <p>" A Business Message (and its business application header) must not contain information about the Message Transport System or the mechanics or mechanism of message sending, transportation, or receipt.</p> <p>" A Business Message must be comprehensible outside of the context of the Transport Message. That is the Business Message must not require knowledge of the Transport Message to be understood.</p> <p>" A Business Message may contain headers, footers, and envelopes that are meaningful for the business. When present, they are treated as any other message content, which means that they are considered part of the Message Definition of the Business Message and as such will be part of the ISO 20022 Repository.</p> <p>" A Business Message refers to Business Actors by their Name. Each instance of a Business Actor has one Name. The Business Actor must not be referred to in the Transport Layer.</p> <p>Specific usage of this BusinessMessageHeader may be defined by the relevant SEG.</p>
seev.031.002.13 CorporateActionNotification002V13	<p>The CorporateActionNotification message is sent by an account servicer to an account owner or its designated agent to notify details of a corporate action event and optionally account information and preliminary information about eligible balance and entitlements.</p> <p>It may also include possible elections or choices available to the account owner. The account servicer can initially send the CorporateActionNotification message as a preliminary advice, subsequently replaced by another CorporateActionNotification message with complete or confirmed information.</p>

MessageDefinition	Definition
	It may also be sent to an account owner or its designated agent, to remind of event details and/or of missing or incomplete instructions for a corporate action event.
seev.032.002.08 CorporateActionEventProcessingStatusAdvice02V08	An account servicer sends the CorporateActionEventProcessingStatusAdvice message to an account owner or its designated agent to report processing status of a corporate action event.  The account servicer uses this message to provide a reason as to why a corporate action event has not been completed by the announced payment dates.
seev.033.002.12 CorporateActionInstruction002V12	The CorporateActionInstruction message is sent by an account owner to an account servicer to instruct election on a corporate action event.  This message is used to provide the custodian with instructions on how the account owner wishes to proceed with a corporate action event. Instructions include investment decisions regarding the exercise of rights issues, the election of stock or cash when the option is available, and decisions on the conversion or tendering of securities.
seev.034.002.13 CorporateActionInstructionStatusAdvice002V13	The CorporateActionInstructionStatusAdvice message is sent by an account servicer to an account owner or its designated agent, to report the status of a received corporate action election instruction.  This message is used to advise the status, or a change in status, of a corporate action-related transaction previously instructed by, or executed on behalf of, the account owner. This will include the acknowledgement/rejection of a corporate action instruction.
seev.035.002.14 CorporateActionMovementPreliminaryAdvice002V14	The CorporateActionMovementPreliminaryAdvice message is sent by an account servicer to an account owner or its designated agent:  - to advise about the final eligible balance and entitlements and,  - to pre-advise an upcoming posting or reversal of securities and/or cash postings.
seev.036.002.14 CorporateActionMovementConfirmation002V14	The CorporateActionMovementConfirmation message is sent by an account servicer to an account owner or its designated agent to confirm the posting of securities or cash as a result of a corporate action event.
seev.037.002.14 CorporateActionMovementReversalAdvice002V14	The CorporateActionMovementReversalAdvice message is sent by an account servicer to an account owner or its designated agent to reverse a previously confirmed posting of securities or cash.
seev.038.002.07 CorporateActionNarrative002V07	The CorporateActionNarrative message is sent between an account servicer and an account owner or its designated agent to cater for such processes that cannot be handled using messages such as the CorporateActionNotification. It is not to be used for event narrative as that should be included in the

MessageDefinition	Definition
	CorporateActionNotification. Examples of when the CorporateActionNarrative message may be used include tax reclaims, restrictions, documentation requirements. This message should only be used when bilaterally agreed. This message is bi-directional.
seev.039.002.12 CorporateActionCancellationAdvice002V12	The CorporateActionCancellationAdvice message is sent by an account servicer to an account owner or its designated agent to cancel a previously announced corporate action event in case of error from the account servicer or in case of withdrawal by the issuer.
seev.040.002.12 CorporateActionInstructionCancellationRequest002V12	The CorporateActionInstructionCancellationRequest message is sent by an account owner to an account servicer to request cancellation of a previously sent corporate action election instruction.
seev.041.002.13 CorporateActionInstructionCancellationRequestStatusAdvice002V13	The CorporateActionInstructionCancellationRequestStatusAdvice message is sent by an account servicer to an account owner or its designated agent to report the status of a previously received CorporateActionInstructionCancellationRequest message sent by the account owner. This will include the acknowledgement/rejection of a request to cancel an outstanding instruction.
seev.042.002.11 CorporateActionInstructionStatementReport002V11	The CorporateActionInstructionStatementReport message is sent by an account servicer to an account owner or its designated agent to report balances at the safekeeping account level for one or more corporate action events or at the corporate action event level for one or more safekeeping accounts.
seev.044.002.12 CorporateActionMovementPreliminaryAdviceCancellationAdvice002V12	The CorporateActionMovementPreliminaryAdviceCancellationAdvice message is sent by an account servicer to an account owner or its designated agent to cancel a previously announced CorporateActionMovementPreliminaryAdvice.

## 2 MX head.001.001.02 BusinessApplicationHeaderV02

### 2.1 MessageDefinition Functionality

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

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

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

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

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

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

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

#### Outline

The BusinessApplicationHeaderV02 MessageDefinition is composed of 14 MessageBuildingBlocks:

#### A. CharSet

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

#### B. From

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

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

#### C. To

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

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



D. BusinessMessageIdentifier

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

E. MessageDefinitionIdentifier

Contains the MessageIdentifier that defines the BusinessMessage.

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

example camt.001.001.03.

F. BusinessService

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

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

Example: E&I.

G. MarketPractice

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

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

H. CreationDate

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

I. BusinessProcessingDate

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

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

J. CopyDuplicate

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

K. PossibleDuplicate

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

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

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

This will guarantee business idempotent behaviour.

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

L. Priority

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

M. Signature

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

N. Related

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

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

## 2.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<i>Message root &lt;Document&gt; &lt;AppHdr&gt;</i>	[1..1]		C5	
	<b>CharacterSet &lt;CharSet&gt;</b>	[0..1]	CodeSet	C6	13
	<b>From &lt;Fr&gt;</b>	[1..1]			14
{Or	<b>OrganisationIdentification &lt;OrgId&gt;</b>	[1..1]	±		14
Or}	<b>FinancialInstitutionIdentification &lt;FIId&gt;</b>	[1..1]	±		14
	<b>To &lt;To&gt;</b>	[1..1]			15
{Or	<b>OrganisationIdentification &lt;OrgId&gt;</b>	[1..1]	±		15
Or}	<b>FinancialInstitutionIdentification &lt;FIId&gt;</b>	[1..1]	±		15
	<b>BusinessMessageIdentifier &lt;BizMsgIdr&gt;</b>	[1..1]	Text		16
	<b>MessageDefinitionIdentifier &lt;MsgDefIdr&gt;</b>	[1..1]	Text		16
	<b>BusinessService &lt;BizSvc&gt;</b>	[0..1]	Text		16
	<b>MarketPractice &lt;MktPrctc&gt;</b>	[0..1]			16
	<b>Registry &lt;Regy&gt;</b>	[1..1]	Text		17
	<b>Identification &lt;Id&gt;</b>	[1..1]	Text		17
	<b>CreationDate &lt;CreDt&gt;</b>	[1..1]	DateTime		17
	<b>BusinessProcessingDate &lt;BizPrctDt&gt;</b>	[0..1]	DateTime		17
	<b>CopyDuplicate &lt;CpyDplct&gt;</b>	[0..1]	CodeSet		17
	<b>PossibleDuplicate &lt;PssblDplct&gt;</b>	[0..1]	Indicator		18
	<b>Priority &lt;Prty&gt;</b>	[0..1]	CodeSet	C7	18
	<b>Signature &lt;Sgntr&gt;</b>	[0..1]	(External Schema)		19
	<b>Related &lt;Rltd&gt;</b>	[0..*]			19
	<b>CharacterSet &lt;CharSet&gt;</b>	[0..1]	CodeSet	C6	19
	<b>From &lt;Fr&gt;</b>	[1..1]			20
{Or	<b>OrganisationIdentification &lt;OrgId&gt;</b>	[1..1]	±		20
Or}	<b>FinancialInstitutionIdentification &lt;FIId&gt;</b>	[1..1]	±		20
	<b>To &lt;To&gt;</b>	[1..1]			21
{Or	<b>OrganisationIdentification &lt;OrgId&gt;</b>	[1..1]	±		21
Or}	<b>FinancialInstitutionIdentification &lt;FIId&gt;</b>	[1..1]	±		21
	<b>BusinessMessageIdentifier &lt;BizMsgIdr&gt;</b>	[1..1]	Text		22
	<b>MessageDefinitionIdentifier &lt;MsgDefIdr&gt;</b>	[1..1]	Text		22

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>BusinessService</b> <BizSvc>	[0..1]	Text		22
	<b>CreationDate</b> <CreDt>	[1..1]	DateTime		22
	<b>CopyDuplicate</b> <CpyDplct>	[0..1]	CodeSet		22
	<b>PossibleDuplicate</b> <PssblDplct>	[0..1]	Indicator		23
	<b>Priority</b> <Prty>	[0..1]	CodeSet	C7	23
	<b>Signature</b> <Sgntr>	[0..1]	(External Schema)		24

## 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 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 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.

### 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 OnlySignatureElement**

(Rule)

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

**C5 RelatedPresentWhenCopyDupl**

(Rule)

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

If CopyDuplicate is present, then Related MUST be present. (CrossElementComplexRule)

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

*Error handling:*

- *Error severity:* Warning
- *Error Code:* H00001
- *Error Text:* Element Related is missing

*This constraint is defined at the MessageDefinition level.*

**C6 ValidationByTable**

(Rule)

(Algorithm)

**C7 ValidationByTable**

(Rule)

(Algorithm)

## 2.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 2.4.1 CharacterSet <CharSet>

*Presence:* [0..1]

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

*Impacted by:* [C6 ValidationByTable](#)

*Datatype:* [UnicodeChartsCode](#) on page 1341

**Constraints**

- **ValidationByTable**  
 (Rule)

## 2.4.2 From <Fr>

*Presence:* [1..1]

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

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

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>OrganisationIdentification</b> <OrgId>	[1..1]	±		14
Or}	<b>FinancialInstitutionIdentification</b> <FIId>	[1..1]	±		14

### 2.4.2.1 OrganisationIdentification <OrgId>

*Presence:* [1..1]

*Definition:* Identification of a person or an organisation.

**OrganisationIdentification <OrgId>** contains the following elements (see [PartyIdentification135](#) on page 1094 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1095
	PostalAddress <PstlAdr>	[0..1]	±		1095
	Identification <Id>	[0..1]	±		1096
	CountryOfResidence <CtryOfRes>	[0..1]	CodeSet	C3	1096
	ContactDetails <CtctDtls>	[0..1]	±		1097

### 2.4.2.2 FinancialInstitutionIdentification <FIId>

*Presence:* [1..1]

*Definition:* Identification of a financial institution.

**FinancialInstitutionIdentification <FIId>** contains the following elements (see [BranchAndFinancialInstitutionIdentification6](#) on page 902 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstitutionIdentification <FinInstnId>	[1..1]	±		902
	BranchIdentification <BrnchId>	[0..1]	±		903

## 2.4.3 To <To>

*Presence:* [1..1]

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

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

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>OrganisationIdentification</b> <OrgId>	[1..1]	±		15
Or}	<b>FinancialInstitutionIdentification</b> <FIId>	[1..1]	±		15

### 2.4.3.1 OrganisationIdentification <OrgId>

*Presence:* [1..1]

*Definition:* Identification of a person or an organisation.

**OrganisationIdentification <OrgId>** contains the following elements (see [PartyIdentification135](#) on page 1094 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1095
	PostalAddress <PstlAdr>	[0..1]	±		1095
	Identification <Id>	[0..1]	±		1096
	CountryOfResidence <CtryOfRes>	[0..1]	CodeSet	C3	1096
	ContactDetails <CtctDtls>	[0..1]	±		1097

### 2.4.3.2 FinancialInstitutionIdentification <FIId>

*Presence:* [1..1]

*Definition:* Identification of a financial institution.

**FinancialInstitutionIdentification <FIId>** contains the following elements (see [BranchAndFinancialInstitutionIdentification6](#) on page 902 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstitutionIdentification <FinInstnId>	[1..1]	±		902
	BranchIdentification <BrnchId>	[0..1]	±		903

## 2.4.4 BusinessMessageIdentifier <BizMsgIdr>

*Presence:* [1..1]

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

*Datatype:* [Max35Text](#) on page 1349

## 2.4.5 MessageDefinitionIdentifier <MsgDefIdr>

*Presence:* [1..1]

*Definition:* Contains the MessageIdentifier that defines the BusinessMessage.

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

example camt.001.001.03.

*Datatype:* [Max35Text](#) on page 1349

## 2.4.6 BusinessService <BizSvc>

*Presence:* [0..1]

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

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

Example: E&I.

*Datatype:* [Max35Text](#) on page 1349

## 2.4.7 MarketPractice <MktPrctc>

*Presence:* [0..1]

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

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



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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Registry &lt;Regy&gt;</b>	[1..1]	Text		17
	<b>Identification &lt;Id&gt;</b>	[1..1]	Text		17

### 2.4.7.1 Registry <Regy>

*Presence:* [1..1]

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

For example, "MyStandards".

*Datatype:* [Max350Text on page 1349](#)

### 2.4.7.2 Identification <Id>

*Presence:* [1..1]

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

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

*Datatype:* [Max2048Text on page 1348](#)

## 2.4.8 CreationDate <CreDt>

*Presence:* [1..1]

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

*Datatype:* [ISODateTime on page 1342](#)

## 2.4.9 BusinessProcessingDate <BizPrcgDt>

*Presence:* [0..1]

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

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

*Datatype:* [ISODateTime on page 1342](#)

## 2.4.10 CopyDuplicate <CpyDplct>

*Presence:* [0..1]

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

*Datatype:* [CopyDuplicate1Code on page 1270](#)

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

## 2.4.11 PossibleDuplicate <PssbIDpIct>

*Presence:* [0..1]

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

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

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

This will guarantee business idempotent behaviour.

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

*Datatype:* One of the following values must be used (see [YesNoIndicator](#) on page 1345):

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

## 2.4.12 Priority <Prty>

*Presence:* [0..1]

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

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

*Datatype:* [BusinessMessagePriorityCode](#) on page 1269

### Constraints

- **ValidationByTable**  
(Rule)

## 2.4.13 Signature <Sgntr>

*Presence:* [0..1]

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

*Type:* (External Schema)

The W3C XML Schema that specifies following standard signature:

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

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

## 2.4.14 Related <Rltd>

*Presence:* [0..\*]

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

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

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CharacterSet</b> <CharSet>	[0..1]	CodeSet	C6	19
	<b>From</b> <Fr>	[1..1]			20
{Or	<b>OrganisationIdentification</b> <OrgId>	[1..1]	±		20
Or}	<b>FinancialInstitutionIdentification</b> <FIId>	[1..1]	±		20
	<b>To</b> <To>	[1..1]			21
{Or	<b>OrganisationIdentification</b> <OrgId>	[1..1]	±		21
Or}	<b>FinancialInstitutionIdentification</b> <FIId>	[1..1]	±		21
	<b>BusinessMessageIdentifier</b> <BizMsgIdr>	[1..1]	Text		22
	<b>MessageDefinitionIdentifier</b> <MsgDefIdr>	[1..1]	Text		22
	<b>BusinessService</b> <BizSvc>	[0..1]	Text		22
	<b>CreationDate</b> <CreDt>	[1..1]	DateTime		22
	<b>CopyDuplicate</b> <CpyDplct>	[0..1]	CodeSet		22
	<b>PossibleDuplicate</b> <PssblDplct>	[0..1]	Indicator		23
	<b>Priority</b> <Prty>	[0..1]	CodeSet	C7	23
	<b>Signature</b> <Sgntr>	[0..1]	(External Schema)		24

### 2.4.14.1 CharacterSet <CharSet>

*Presence:* [0..1]

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

*Impacted by:* [C6 ValidationByTable](#)

*Datatype:* [UnicodeChartsCode](#) on page 1341

**Constraints**

- **ValidationByTable**

(Rule)

**2.4.14.2 From <Fr>**

*Presence:* [1..1]

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

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

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>OrganisationIdentification</b> <OrgId>	[1..1]	±		20
Or}	<b>FinancialInstitutionIdentification</b> <FIId>	[1..1]	±		20

**2.4.14.2.1 OrganisationIdentification <OrgId>**

*Presence:* [1..1]

*Definition:* Identification of a person or an organisation.

**OrganisationIdentification <OrgId>** contains the following elements (see [PartyIdentification135](#) on page 1094 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1095
	PostalAddress <PstAdr>	[0..1]	±		1095
	Identification <Id>	[0..1]	±		1096
	CountryOfResidence <CtryOfRes>	[0..1]	CodeSet	C3	1096
	ContactDetails <CtctDtls>	[0..1]	±		1097

**2.4.14.2.2 FinancialInstitutionIdentification <FIId>**

*Presence:* [1..1]

*Definition:* Identification of a financial institution.

**FinancialInstitutionIdentification <FIld>** contains the following elements (see [BranchAndFinancialInstitutionIdentification6](#) on page 902 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstitutionIdentification <FinInstnId>	[1..1]	±		902
	BranchIdentification <BrnchId>	[0..1]	±		903

### 2.4.14.3 To <To>

*Presence:* [1..1]

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

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

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>OrganisationIdentification</b> <OrgId>	[1..1]	±		21
Or}	<b>FinancialInstitutionIdentification</b> <FIld>	[1..1]	±		21

#### 2.4.14.3.1 OrganisationIdentification <OrgId>

*Presence:* [1..1]

*Definition:* Identification of a person or an organisation.

**OrganisationIdentification <OrgId>** contains the following elements (see [PartyIdentification135](#) on page 1094 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1095
	PostalAddress <PstlAdr>	[0..1]	±		1095
	Identification <Id>	[0..1]	±		1096
	CountryOfResidence <CtryOfRes>	[0..1]	CodeSet	C3	1096
	ContactDetails <CtctDtls>	[0..1]	±		1097

#### 2.4.14.3.2 FinancialInstitutionIdentification <FIld>

*Presence:* [1..1]

*Definition:* Identification of a financial institution.

**FinancialInstitutionIdentification <FIId>** contains the following elements (see [BranchAndFinancialInstitutionIdentification6](#) on page 902 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstitutionIdentification <FinInstnId>	[1..1]	±		902
	BranchIdentification <BrnchId>	[0..1]	±		903

#### 2.4.14.4 BusinessMessageIdentifier <BizMsgIdr>

*Presence:* [1..1]

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

*Datatype:* [Max35Text](#) on page 1349

#### 2.4.14.5 MessageDefinitionIdentifier <MsgDefIdr>

*Presence:* [1..1]

*Definition:* Contains the MessageIdentifier that defines the BusinessMessage.

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

example camt.001.001.03.

*Datatype:* [Max35Text](#) on page 1349

#### 2.4.14.6 BusinessService <BizSvc>

*Presence:* [0..1]

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

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

Example: E&I.

*Datatype:* [Max35Text](#) on page 1349

#### 2.4.14.7 CreationDate <CreDt>

*Presence:* [1..1]

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

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

*Datatype:* [ISODatetime](#) on page 1342

#### 2.4.14.8 CopyDuplicate <CpyDplct>

*Presence:* [0..1]

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

*Datatype:* [CopyDuplicate1Code on page 1270](#)

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

#### 2.4.14.9 PossibleDuplicate <PssbIDplct>

*Presence:* [0..1]

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

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

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

This will guarantee business idempotent behaviour.

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

*Datatype:* One of the following values must be used (see [YesNoIndicator on page 1345](#)):

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

#### 2.4.14.10 Priority <Prty>

*Presence:* [0..1]

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

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

*Datatype:* [BusinessMessagePriorityCode on page 1269](#)

##### Constraints

- **ValidationByTable**  
(Rule)

### 2.4.14.11 Signature <Sgntr>

*Presence:* [0..1]

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

*Type:* (External Schema)

The W3C XML Schema that specifies following standard signature:

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

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



# 3 **MX seev.031.002.13**

## **CorporateActionNotification002V13**

### 3.1 **MessageDefinition Functionality**

#### Scope

The CorporateActionNotification message is sent by an account servicer to an account owner or its designated agent to notify details of a corporate action event and optionally account information and preliminary information about eligible balance and entitlements.

It may also include possible elections or choices available to the account owner. The account servicer can initially send the CorporateActionNotification message as a preliminary advice, subsequently replaced by another CorporateActionNotification message with complete or confirmed information.

It may also be sent to an account owner or its designated agent, to remind of event details and/or of missing or incomplete instructions for a corporate action event.

#### Usage

The message may also be used to:

- re-send a message previously sent (the sub-function of the message is Duplicate),
- provide a third party with a copy of a message for information (the sub-function of the message is Copy),
- re-send to a third party a copy of a message for information (the sub-function of the message is Copy Duplicate), using the relevant elements in the business application header (BAH).

#### Outline

The CorporateActionNotification002V13 MessageDefinition is composed of 25 MessageBuildingBlocks:

##### A. Pagination

Page number of the message and continuation indicator to indicate that the multi-part notification is to continue or that the message is the last page of the multi-part notification.

##### B. NotificationGeneralInformation

General information about the event notification type, status and contents.

##### C. PreviousNotificationIdentification

Identification of the previously sent notification document.

##### D. InstructionIdentification

Identification of a related instruction document.

##### E. OtherDocumentIdentification

Identification of other documents as well as the document number.

##### F. EventsLinkage

Identification of another corporate action event that needs to be closely linked to the processing of the event notified in this document.

G. CorporateActionGeneralInformation

General information about the corporate action event.

H. AccountDetails

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

I. IntermediateSecurity

Details on rights credited to the account as for example trading period, expiry date, renounceability.

J. CorporateActionDetails

Information about the corporate action event.

K. CorporateActionOptionDetails

Information about the corporate action option.

L. AdditionalInformation

Additional information on the event.

M. IssuerAgent

Party appointed to administer the event on behalf of the issuer company/offoror. The party may be contacted for more information about the event.

N. PayingAgent

Agent (principal or fiscal paying agent) appointed to execute the payment for the corporate action event on behalf of the issuer company/offoror.

O. SubPayingAgent

Sub-agent appointed to execute the payment for the corporate action event on behalf of the issuer company/offoror.

P. Registrar

Party/agent responsible for maintaining the register of the security.

Q. ResellingAgent

Broker-dealer responsible for reselling to new investors securities (usually bonds) that have been tendered for purchase by their owner.

R. PhysicalSecuritiesAgent

Trust company, bank or similar financial institution assigned by an issuer to accept presentations of instruments, usually bonds, for transfer and or exchange.

S. DropAgent

Trust company, bank or similar financial institution that acts on behalf of an out-of-town agent or event agent where securities can be delivered in person.

T. SolicitationAgent

Trust company, bank or similar financial institution assigned by an issuer to maintain records of investors and account balances and transactions for the consent of a material change.

U. InformationAgent

Trust company, bank or similar financial institution assigned by an Issuer to provide information and copies of the offering documentation.

V. Issuer

Issuer of the financial instrument.

W. Offeror

Party making the offer and which is different from the issuing company.

X. TransferAgent

Trust company, bank or similar financial institution appointed by a fund management company to maintain records of investors and account balances. The transfer agent records transactions, including subscriptions, redemptions, switches, transfers, and re-registrations.

Y. SupplementaryData

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

## 3.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <CorpActnNtfctn>	[1..1]		C10, C12, C13, C14, C15, C18, C35, C36, C41, C42, C43, C44, C53, C54, C59, C61, C63, C64, C65, C71, C72, C73, C74, C78, C79, C80, C81, C82, C87, C88, C94, C96, C99, C102, , C103, , C116, C68	
	<b>Pagination</b> <Pgntn>	[0..1]	±		73
	<b>NotificationGeneralInformation</b> <NtfctnGnllnf>	[1..1]		C89	73
	<b>NotificationType</b> <NtfctnTp>	[1..1]	CodeSet		73
	<b>ProcessingStatus</b> <PrvgSts>	[1..1]	±		74
	<b>PreviousNotificationIdentification</b> <PrvsNtfctnId>	[0..1]	±		74
	<b>InstructionIdentification</b> <InstrId>	[0..1]	±		74
	<b>OtherDocumentIdentification</b> <OthrDocId>	[0..*]	±		74
	<b>EventsLinkage</b> <EvtsLkg>	[0..*]	±		75
	<b>CorporateActionGeneralInformation</b> <CorpActnGnllnf>	[1..1]		C91	75
	<b>CorporateActionEventIdentification</b> <CorpActnEvtId>	[1..1]	Text		76

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OfficialCorporateActionEventIdentification</b> <OffclCorpActnEvtId>	[0..1]	Text		76
	<b>ClassActionNumber</b> <ClassActnNb>	[0..1]	Text		76
	<b>EventProcessingType</b> <EvtPrcgTp>	[0..1]	±		76
	<b>EventType</b> <EvtTp>	[1..1]	±	C38	77
	<b>MandatoryVoluntaryEventType</b> <MndtryVlntryEvtTp>	[1..1]	±		77
	<b>UnderlyingSecurity</b> <UndrlygScty>	[1..1]	±	C75, C97	78
	<b>AccountDetails</b> <AcctDtls>	[1..1]			79
{Or	<b>ForAllAccounts</b> <ForAllAccts>	[1..1]	±		80
Or}	<b>AccountsListAndBalanceDetails</b> <AcctsListAndBalDtls>	[1..*]		C104 , C105 , C106 , C107	81
	<b>SafekeepingAccount</b> <SfkpgAcct>	[0..1]	Text		83
	<b>BlockchainAddressOrWallet</b> <BlckChainAdrOrWllt>	[0..1]	Text		84
	<b>AccountOwner</b> <AcctOwnr>	[0..1]	±		84
	<b>SafekeepingPlace</b> <SfkpgPlc>	[0..1]	±		84
	<b>Balance</b> <Bal>	[0..1]		C8	84
	<b>TotalEligibleBalance</b> <TtlElgblBal>	[0..1]	±		85
	<b>BlockedBalance</b> <BlckdBal>	[0..1]	±		86
	<b>BorrowedBalance</b> <BrrwdBal>	[0..1]	±		86
	<b>CollateralInBalance</b> <CollInBal>	[0..1]	±		86
	<b>CollateralOutBalance</b> <CollOutBal>	[0..1]	±		87
	<b>OnLoanBalance</b> <OnLnBal>	[0..1]	±		87
	<b>PendingDeliveryBalance</b> <PdgDivryBal>	[0..*]	±		87
	<b>PendingReceiptBalance</b> <PdgRctBal>	[0..*]	±		88
	<b>OutForRegistrationBalance</b> <OutForRegnBal>	[0..1]	±		88
	<b>SettlementPositionBalance</b> <SttlmPosBal>	[0..*]	±		88
	<b>StreetPositionBalance</b> <StrtPosBal>	[0..1]	±		89
	<b>TradeDatePositionBalance</b> <TradDtPosBal>	[0..1]	±		89
	<b>InTransshipmentBalance</b> <InTrnsShipmntBal>	[0..1]	±		89
	<b>RegisteredBalance</b> <RegdBal>	[0..1]	±		90

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ObligatedBalance</b> <OblgtdBal>	[0..1]	±		90
	<b>UninstructedBalance</b> <UinstdBal>	[0..1]	±		90
	<b>InstructedBalance</b> <InstdBal>	[0..1]	±		91
	<b>AffectedBalance</b> <AfctdBal>	[0..1]	±		91
	<b>UnaffectedBalance</b> <UafctdBal>	[0..1]	±		91
	<b>IntermediateSecurity</b> <IntrmdtScy>	[0..1]	±		92
	<b>CorporateActionDetails</b> <CorpActnDtls>	[0..1]		C27, C29, C31, C33	92
	<b>DateDetails</b> <DtDtls>	[0..1]		C37	97
	<b>AnnouncementDate</b> <AnncmntDt>	[0..1]	±		99
	<b>CertificationDeadline</b> <CertfctnDdln>	[0..1]	±		99
	<b>CourtApprovalDate</b> <CrtApprvlDt>	[0..1]	±		100
	<b>EarlyClosingDate</b> <EarlyClsgDt>	[0..1]	±		100
	<b>EffectiveDate</b> <FctvDt>	[0..1]	±		100
	<b>EqualisationDate</b> <EqulstnDt>	[0..1]	±		100
	<b>FurtherDetailedAnnouncementDate</b> <FrthrDtldAnncmntDt>	[0..1]	±		101
	<b>FixingDate</b> <FxdDt>	[0..1]	±		101
	<b>LotteryDate</b> <LtryDt>	[0..1]	±		101
	<b>NewMaturityDate</b> <NewMtrtyDt>	[0..1]	±		102
	<b>MeetingDate</b> <MtgDt>	[0..1]	±		102
	<b>MarginFixingDate</b> <MrgnFxdDt>	[0..1]	±		102
	<b>ProrationDate</b> <PrratnDt>	[0..1]	±		103
	<b>RecordDate</b> <RcrdDt>	[0..1]	±		103
	<b>RegistrationDeadline</b> <RegnDdln>	[0..1]	±		103
	<b>ResultsPublicationDate</b> <RsItsPblctnDt>	[0..1]	±		104
	<b>DeadlineToSplit</b> <DdlnToSpl>	[0..1]	±		104
	<b>DeadlineForTaxBreakdownInstruction</b> <DdlnForTaxBrkdwnInstr>	[0..1]	±		104
	<b>TradingSuspendedDate</b> <TradgSspdDt>	[0..1]	±		105
	<b>UnconditionalDate</b> <UcondlDt>	[0..1]	±		105
	<b>WhollyUnconditionalDate</b> <WhlyUcondlDt>	[0..1]	±		105
	<b>ExDividendDate</b> <ExDvddDt>	[0..1]	±		106

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OfficialAnnouncementPublicationDate</b> <OffclAnncmntPblctnDt>	[0..1]	±		106
	<b>SpecialExDate</b> <SpclExDt>	[0..1]	±		106
	<b>GuaranteedParticipationDate</b> <GrntedPrtpctnDt>	[0..1]	±		107
	<b>ElectionToCounterpartyMarketDeadline</b> <ElctnToCtrPtyMktDdlN>	[0..1]	±		107
	<b>ElectionToCounterpartyResponseDeadline</b> <ElctnToCtrPtyRspnDdlN>	[0..1]	±		107
	<b>LapsedDate</b> <LpsdDt>	[0..1]	±		108
	<b>PaymentDate</b> <PmtDt>	[0..1]	±		108
	<b>ThirdPartyDeadline</b> <ThrdPtyDdlN>	[0..1]	±		108
	<b>EarlyThirdPartyDeadline</b> <EarlyThrdPtyDdlN>	[0..1]	±		109
	<b>MarketClaimTrackingEndDate</b> <MktClmTrckgEndDt>	[0..1]	±		109
	<b>LeadPlaintiffDeadline</b> <LeadPlntffDdlN>	[0..1]	±		109
	<b>FilingDate</b> <FilgDt>	[0..1]	±		110
	<b>HearingDate</b> <HrgDt>	[0..1]	±		110
	<b>PeriodDetails</b> <PrdDtls>	[0..1]	±	C62	110
	<b>RateAndAmountDetails</b> <RateAndAmtDtls>	[0..1]		C19	111
	<b>InterestRate</b> <IntrstRate>	[0..1]	±		112
	<b>PercentageSought</b> <PctgSght>	[0..1]	±		112
	<b>RelatedIndex</b> <RltdIndx>	[0..1]	±		113
	<b>Spread</b> <Sprd>	[0..1]	±		113
	<b>BidInterval</b> <BidIntrvl>	[0..1]	±		113
	<b>PreviousFactor</b> <PrvsFctr>	[0..1]	±		114
	<b>NextFactor</b> <NxtFctr>	[0..1]	±		114
	<b>ReinvestmentDiscountRateToMarket</b> <RinvstmtDscntRateToMkt>	[0..1]	±		114
	<b>InterestShortfall</b> <IntrstShrtfll>	[0..1]	±		114
	<b>RealisedLoss</b> <RealsdLoss>	[0..1]	±		115
	<b>DeclaredRate</b> <DclrdRate>	[0..1]	±		115
	<b>IndexFactor</b> <IndxFctr>	[0..1]	±		115
	<b>PriceDetails</b> <PricDtls>	[0..1]			116
	<b>MaximumPrice</b> <MaxPric>	[0..1]	±		116
	<b>MinimumPrice</b> <MinPric>	[0..1]	±		116

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>FirstBidIncrementPrice</b> <FrstBidIncrmtPric>	[0..1]	±		117
	<b>LastBidIncrementPrice</b> <LastBidIncrmtPric>	[0..1]	±		117
	<b>SecuritiesQuantity</b> <SctiesQty>	[0..1]		C77	118
	<b>MaximumQuantity</b> <MaxQty>	[0..1]	±	C25	118
	<b>MinimumQuantitySought</b> <MinQtySght>	[0..1]	±	C25	119
	<b>NewBoardLotQuantity</b> <NewBrdLotQty>	[0..1]	±	C26	120
	<b>NewDenominationQuantity</b> <NewDnmtnQty>	[0..1]	±	C26	120
	<b>BaseDenomination</b> <BaseDnmtn>	[0..1]	±	C26	121
	<b>IncrementalDenomination</b> <IncrmtlDnmtn>	[0..1]	±	C26	121
	<b>InterestAccruedNumberOfDays</b> <IntrstAcrdNbOfDays>	[0..1]	Quantity	C90	122
	<b>CouponNumber</b> <CpnNb>	[0..*]	±		122
	<b>CertificationBreakdownIndicator</b> <CertfctnBrkdwnInd>	[0..1]	Indicator		122
	<b>ChargesAppliedIndicator</b> <ChrgsAppldInd>	[0..1]	Indicator		122
	<b>RestrictionIndicator</b> <RstrctnInd>	[0..1]	Indicator		123
	<b>AccruedInterestIndicator</b> <AcrdIntrstInd>	[0..1]	Indicator		123
	<b>LetterOfGuaranteedDeliveryIndicator</b> <LtrOfGrntedDivryInd>	[0..1]	Indicator		123
	<b>ShareholderRightsDirectiveIndicator</b> <ShrhldrRghtsDrctvInd>	[0..1]	Indicator		123
	<b>DividendType</b> <DvddTp>	[0..1]	±		123
	<b>EventSequenceType</b> <EvtSeqTp>	[0..1]	±		124
	<b>OccurrenceType</b> <OcrncTp>	[0..1]	±		124
	<b>OfferType</b> <OfferTp>	[0..*]	±		124
	<b>RenounceableEntitlementStatusType</b> <RnncblEntitlmntStsTp>	[0..1]	±		124
	<b>EventStage</b> <EvtStag>	[0..*]	±		125
	<b>AdditionalBusinessProcessIndicator</b> <AddtlBizPrclnd>	[0..*]	±		125
	<b>ChangeType</b> <ChngTp>	[0..*]	±		125
	<b>IntermediateSecuritiesDistributionType</b> <IntrmdtSctiesDstrbntTp>	[0..1]	±		126
	<b>CapitalGainInOutIndicator</b> <CptlGnlInOutInd>	[0..1]	±		126
	<b>TaxableIncomePerShareCalculated</b> <TaxblIncmPerShrClctd>	[0..1]	±		126
	<b>ElectionType</b> <ElctnTp>	[0..1]	±		126
	<b>LotteryType</b> <LtryTp>	[0..1]	±		127
	<b>CertificationType</b> <CertfctnTp>	[0..1]	±		127



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	<b>InformationType</b> <InfTp>	[0..1]	±		127
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	<b>NewPlaceOfIncorporation</b> <NewPlcOfIncorprtn>	[0..1]	Text		128
	<b>AdditionalInformation</b> <AddtlInf>	[0..1]		C3	128
	<b>Offeror</b> <Offerr>	[0..*]	±		129
	<b>NewCompanyName</b> <NewCpnyNm>	[0..1]	±		129
	<b>URLAddress</b> <URLAdr>	[0..*]	±		129
	<b>EventProcessingWebSiteAddress</b> <EvtPrcgWebSiteAdr>	[0..1]	Text		130
	<b>CorporateActionOptionDetails</b> <CorpActnOptnDtls>	[0..*]		C7, C11, C28, C30, C32, C34, C60, C93, C101, C92	130
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	<b>FractionDisposition</b> <FrctnDspstn>	[0..1]	±		142
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	<b>OptionFeatures</b> <OptnFeatrs>	[0..*]	±		143
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	<b>CertificationBreakdownType</b> <CertfctnBrkdwnTp>	[0..*]	±		143
	<b>BidRangeType</b> <BidRgTp>	[0..1]	±		143
	<b>NonDomicileCountry</b> <NonDmclCtry>	[0..*]	CodeSet	C16	144
	<b>ValidDomicileCountry</b> <VldDmclCtry>	[0..*]	CodeSet	C16	144
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	<b>WithdrawalAllowedIndicator</b> <WdrwlAllwdInd>	[0..1]	Indicator		146
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	<b>CoverExpirationDeadline</b> <CoverXprtnDdlIn>	[0..1]	±		149
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	<b>ResponseDeadline</b> <RspnDdlIn>	[0..1]	±		150
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	<b>StockLendingDeadline</b> <StockLndgDdlIn>	[1..1]	±		152
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	<b>NetDividendRate</b> <NetDvddRate>	[0..*]	±		159
	<b>InterestRateUsedForPayment</b> <IntrstRateUsdForPmt>	[0..*]	±		160
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	<b>TaxableIncomePerDividendShare</b> <TaxblIncmPerDvddShr>	[0..*]	±		162
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	<b>BidInterval</b> <BidIntrvl>	[0..1]	±		163
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	<b>NewDenominationQuantity</b> <NewDnmtnQty>	[0..1]	±	C26	170
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	<b>IssuerOfferorTaxabilityIndicator</b> <IssrOfferrTaxblyInd>	[0..1]	±		177
	<b>NewSecuritiesIssuanceIndicator</b> <NewScitiesIssnclnd>	[0..1]	CodeSet		178
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	<b>CurrencyOption</b> <CcyOptn>	[0..1]	CodeSet	C1	181
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	<b>PaymentDate</b> <PmtDt>	[1..1]	±		182
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	<b>TaxCreditRate</b> <TaxCdtRate>	[0..1]	±		187
	<b>FinancialTransactionTaxRate</b> <FinTxTaxRate>	[0..1]	±		187
	<b>WithholdingTaxRate</b> <WhldgTaxRate>	[0..*]	±		187
	<b>SecondLevelTax</b> <ScndLvlTax>	[0..*]	±		188
	<b>PriceDetails</b> <PricDtls>	[0..1]		C45	188
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	<b>CashValueForTax</b> <CshValForTax>	[0..1]	±		190
	<b>GenericCashPricePaidPerProduct</b> <GncCshPricPdPerPdct>	[0..1]	±		190
	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		190
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	<b>CashMovementDetails</b> <CshMvmntDtls>	[0..*]		C40, C56, C58, C70, C46	193
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	<b>NonEligibleProceedsIndicator</b> <NonElgblPrctdsInd>	[0..1]	±		199
	<b>IssuerOfferorTaxabilityIndicator</b> <IssrOfferrTaxblyInd>	[0..1]	±		199
	<b>IncomeType</b> <IncmTp>	[0..1]	±		199
	<b>OtherIncomeType</b> <OthrlncmTp>	[0..*]	±		199
	<b>ExemptionType</b> <XmptnTp>	[0..*]	±		200
	<b>CountryOfIncomeSource</b> <CtryOfIncmSrc>	[0..1]	CodeSet	C16	200
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	<b>NetCashAmount</b> <NetCshAmt>	[0..1]	Amount	C1, C17	204

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	<b>IndemnityAmount</b> <IndmntyAmt>	[0..1]	Amount	C1, C17	208
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	<b>SundryOrOtherAmount</b> <SndryOrOthrAmt>	[0..1]	Amount	C1, C17	212
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	<b>TaxDeferredAmount</b> <TaxDfrrdAmt>	[0..1]	Amount	C1, C17	213
	<b>ValueAddedTaxAmount</b> <ValAddedTaxAmt>	[0..1]	Amount	C1, C17	214
	<b>StampDutyAmount</b> <StmpDtyAmt>	[0..1]	Amount	C1, C17	215
	<b>TaxReclaimAmount</b> <TaxRclmAmt>	[0..1]	Amount	C1, C17	215
	<b>TaxCreditAmount</b> <TaxCdtAmt>	[0..1]	Amount	C1, C17	216
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	<b>PayingAgentCommissionAmount</b> <PngAgtComssnAmt>	[0..1]	Amount	C1, C17	220

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	<b>ChargesAmount</b> <ChrgsAmt>	[0..1]	Amount	C1, C17	223
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	<b>DeemedDividendAmount</b> <DmdDvddAmt>	[0..1]	Amount	C1, C17	235
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	<b>EarliestPaymentDate</b> <EarlstPmtDt>	[0..1]	±		239
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	<b>InterestRateUsedForPayment</b> <IntrstRateUsdForPmt>	[0..*]	±		245
	<b>WithholdingTaxRate</b> <WhldgTaxRate>	[0..*]	±		246
	<b>SecondLevelTax</b> <ScndLvlTax>	[0..*]	±		246
	<b>ChargesFees</b> <ChrgsFees>	[0..1]	±		247
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	<b>NetDividendRate</b> <NetDvddRate>	[0..*]	±		248
	<b>ApplicableRate</b> <AplblRate>	[0..1]	±		249
	<b>SolicitationFeeRate</b> <SlctnFeeRate>	[0..1]	±		249
	<b>TaxCreditRate</b> <TaxCdtRate>	[0..1]	±		250
	<b>TaxOnIncome</b> <TaxOnIncm>	[0..1]	±		250
	<b>TaxOnProfits</b> <TaxOnPrfts>	[0..1]	±		250
	<b>TaxReclaimRate</b> <TaxRclmRate>	[0..1]	±		251
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	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		253
	<b>CashInLieuOfSharePrice</b> <CshInLieuOfShrPric>	[0..1]	±		254
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	<b>AdditionalText</b> <AddtlTxt>	[0..*]	±		255
	<b>NarrativeVersion</b> <NrrtvVrsn>	[0..*]	±		255
	<b>InformationConditions</b> <InfConds>	[0..*]	±		256
	<b>InformationToComplyWith</b> <InfToCmplyWth>	[0..*]	±		256
	<b>SecurityRestriction</b> <SctyRstrctn>	[0..*]	±		256
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	<b>Disclaimer</b> <Dsclmr>	[0..*]	±		257
	<b>CertificationBreakdown</b> <CertfctnBrkdown>	[0..*]	±		257
	<b>AdditionalInformation</b> <AddtlInf>	[0..1]		C5	258
	<b>AdditionalText</b> <AddtlTxt>	[0..*]	±	C6	259
	<b>NarrativeVersion</b> <NrrtvVrsn>	[0..*]	±	C6	259
	<b>InformationConditions</b> <InfConds>	[0..*]	±	C6	260
	<b>InformationToComplyWith</b> <InfToCmplyWth>	[0..*]	±	C6	260
	<b>TaxationConditions</b> <TaxtnConds>	[0..*]	±	C6	261
	<b>Disclaimer</b> <Dsclmr>	[0..*]	±	C6	261
	<b>PartyContactNarrative</b> <PtyCtctNrrtv>	[0..*]	±	C6	262
	<b>RegistrationDetails</b> <RegnDtls>	[0..*]	±	C6	262
	<b>BasketOrIndexInformation</b> <BsktOrIndxInf>	[0..*]	±	C6	263
	<b>CertificationBreakdown</b> <CertfctnBrkdown>	[0..*]	±	C6	263
	<b>URLAddress</b> <URLAdr>	[0..*]	±		264
	<b>ProcessingTextForNextIntermediary</b> <PrcgTxtForNxtIntrmy>	[0..*]	±	C6	264
	<b>IssuerAgent</b> <IssrAgt>	[0..*]	±		265
	<b>PayingAgent</b> <PngAgt>	[0..*]	±		265
	<b>SubPayingAgent</b> <SubPngAgt>	[0..*]	±		265
	<b>Registrar</b> <Regar>	[0..1]	±		266

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ResellingAgent</b> <RsellingAgt>	[0..*]	±		266
	<b>PhysicalSecuritiesAgent</b> <PhysSctiesAgt>	[0..1]	±		266
	<b>DropAgent</b> <DrpAgt>	[0..1]	±		266
	<b>SolicitationAgent</b> <SlctnAgt>	[0..*]	±		267
	<b>InformationAgent</b> <InfAgt>	[0..1]	±		267
	<b>Issuer</b> <Issr>	[0..1]	±		267
	<b>Offeror</b> <Offerr>	[0..*]	±		268
	<b>TransferAgent</b> <TrfAgt>	[0..1]	±		268
	<b>SupplementaryData</b> <SplmtryData>	[0..*]	±	C115	268

### 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 AdditionalInformationRule

(Rule)

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

**C4 AdditionalInformationRule**

(Rule)

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

**C5 AdditionalInformationRule**

(Rule)

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

**C6 AdditionalInformationRule**

(Rule)

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

**C7 AdditionalTextRule**

(Rule)

If OptionType/Code is OTHR (Other), then at least one occurrence of AdditionalInformation/AdditionalText/AdditionalInformation must be present.

(MT564 NVR C5). (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00176
- *Error Text:* Invalid message content forAdditionalInformation

**C8 AffectedAndUnaffectedBalanceRule**

(Rule)

UnaffectedBalance and AffectedBalance should only be mentioned as a result of the process that was run through the event. For instance lottery results, Dutch auction results or tender offer results.

**C9 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.

**C10 AppliedOptionRule**

(Rule)

If CorporateActionOptionDetails/AppliedOptionIndicator value is 'true' or '1' (Yes) in one or more occurrences of CorporateActionOptionDetails, then CorporateActionGeneralInformation/MandatoryVoluntaryEventType/Code value must be CHOS (MandatoryWithOptions) and at least one of the CorporateActionDetails/AdditionalBusinessProcessIndicator/Code values must be REAC (RequiredAction).

*Error handling:*

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

*This constraint is defined at the MessageDefinition level.*

**C11 AppliedOptionRule**

(Rule)

If DefaultProcessingOrStandingInstruction/DefaultOptionIndicator is present and its value is '1' or 'true' (Yes), then AppliedOptionIndicator value must not be '1' or 'true' (Yes).

*Error handling:*

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

**C12 BeneficialOwnerBreakdownRequestRule**

(Rule)

If in at least one occurrence of CorporateActionOptionDetails, OptionType/Code value is BOBD (BeneficialOwnerBreakdownRequest), then CorporateActionGeneralInformation/EventType/Code value must be WTRC (Withholding Tax Relief Certification).

(MT 564 NVR C23). (CrossElementComplexRule)

On Condition

`/CorporateActionOptionDetails[*]/OptionType/Code is equal to value 'BeneficialOwnerBreakdownRequest'`

Following Must be True

`/CorporateActionGeneralInformation/EventType/Code Must be equal to value 'WithholdingTaxReliefCertification'`

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00487

- *Error Text:* Invalid message contents for CorporateActionGeneralInformation/EventType/Code. It must be WTRC.

*This constraint is defined at the MessageDefinition level.*

### **C13 BeneficialOwnerBreakdownRequestUGRule**

(Rule)

If in at least one occurrence of CorporateActionOptionDetails, OptionType/Code value is BOBD (BeneficialOwnerBreakdownRequest), then CorporateActionGeneralInformation/EventType/Code value must be WTRC (Withholding Tax Relief Certification).

(MT 564 NVR C23). (CrossElementComplexRule)

```
if
  at least one occurrence of [CorporateActionOptionDetails/OptionType/Code]
  has value included in the following list 'BOBD'
  , then
  every occurrence of [CorporateActionGeneralInformation/EventType/Code]
  must have value included in the following list 'WTRC'
```

*Expression Language:* UGRule

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00590
- *Error Text:* Invalid message contents for CorporateActionGeneralInformation/EventType/Code. It must be WTRC.

*This constraint is defined at the MessageDefinition level.*

### **C14 BidInterval1Rule**

(Rule)

If BidInterval is present in CorporateActionDetails/RateAndAmountDetails, then BidInterval is not allowed in any occurrences of CorporateActionOptionDetails/RateAndAmountDetails.

(MT 564 NVR C25) (CrossElementComplexRule)

```
On Condition
  /CorporateActionDetails/RateAndAmountDetails/BidInterval is present
Following Must be True
  /CorporateActionOptionDetails[*]/RateAndAmountDetails/BidInterval Must be
absent
```

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00536
- *Error Text:* Invalid message contents for BidInterval in one or more occurrences of CorporateActionOptionDetails/RateAndAmountDetails. Element is not allowed.

*This constraint is defined at the MessageDefinition level.*

### **C15 BidInterval2Rule**

(Rule)

If BidInterval is present in any occurrences of CorporateActionOptionDetails/  
RateAndAmountDetails, then BidInterval is not allowed in CorporateActionDetails/  
RateAndAmountDetails.

(MT 564 NVR C25) (CrossElementComplexRule)

On Condition

    /CorporateActionOptionDetails[\*]/RateAndAmountDetails/BidInterval is  
present

Following Must be True

    /CorporateActionDetails/RateAndAmountDetails/BidInterval Must be absent

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00537
- *Error Text:* Invalid message contents for BidInterval in CorporateActionDetails/  
RateAndAmountDetails. Element 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 DeclaredRateRule**

(Rule)

If CorporateActionOptionDetails/RateAndAmountDetails/IssuerDeclaredExchangeRate is  
present, then CorporateActionDetails/RateAndAmountDetails/DeclaredRate must be  
present. (CrossElementComplexRule)

On Condition

    /CorporateActionOptionDetails[\*] is present

And /CorporateActionOptionDetails[\*]/RateAndAmountDetails is present

And /CorporateActionOptionDetails[\*]/RateAndAmountDetails/

IssuerDeclaredExchangeRate is present  
Following Must be True  
/CorporateActionDetails/RateAndAmountDetails/DeclaredRate Must be present

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00302
- *Error Text:* Invalid message contents for DeclaredRate. It must be present.

*This constraint is defined at the MessageDefinition level.*

#### **C19 DeclaredRateRule**

(Rule)

DeclaredRate may only be used if the dividend or interest declared by the issuer is actually paid in a different currency than the declared one or if the dividend or the interest event makes it possible to elect amongst multiple currency options.

#### **C20 DeemedRate1Rule**

(Rule)

If DeemedRate is repeated, then DeemedRate/RateTypeAndAmountAndRateStatus/RateType/Code values and DeemedRate/RateTypeAndRate/RateType/Code values must all be different in each occurrence of DeemedRate.

(MT 564 NVR C8).

*Error handling:*

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

#### **C21 DeemedRate2Rule**

(Rule)

Only a single occurrence of either DeemedRate/Amount or DeemedRate/Rate or DeemedRate/NotSpecifiedRate may be present, only one of these elements may be present.

(MT 564 NVR C7).

*Error handling:*

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

#### **C22 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.

**C23 DescriptionUsageRule**

(Rule)

Description must be used alone as the last resort.

**C24 DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

**C25 DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

**C26 DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

**C27 DissenterRights1Rule**

(Rule)

If OfferType/Code value is equal to DISS (DissenterRights), then OfferType/Code value equal to NDIS (DissenterRightsNotApplicable) is not allowed in any occurrence of OfferType.

(MT 564 NVR C27) (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00541
- *Error Text:* Invalid message contents for OfferType. Either code value DISS or NDIS is allowed, not both.

**C28 DissenterRights1Rule**

(Rule)

If OfferType/Code value is equal to DISS (DissenterRights), then OfferType/Code value equal to NDIS (DissenterRightsNotApplicable) is not allowed in any occurrence of OfferType.

(MT 564 NVR C27) (CrossElementComplexRule)



*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00542
- *Error Text:* Invalid message contents for OfferType. Either code value DISS or NDISS is allowed, not both.

**C29 DissenterRights1UGRule**

(Rule)

If OfferType/Code value is equal to DISS (DissenterRights), then OfferType/Code value equal to NDIS (DissenterRightsNotApplicable) is not allowed in any occurrence of OfferType.

(MT 564 NVR C27) (CrossElementComplexRule)

*Expression Language:* UGRule

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00593
- *Error Text:* Invalid message contents for OfferType. Either code value DISS or NDISS is allowed, not both.

**C30 DissenterRights1UGRule**

(Rule)

If OfferType/Code value is equal to DISS (DissenterRights), then OfferType/Code value equal to NDIS (DissenterRightsNotApplicable) is not allowed in any occurrence of OfferType.

(MT 564 NVR C27) (CrossElementComplexRule)

*Expression Language:* UGRule

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00592
- *Error Text:* Invalid message contents for OfferType. Either code value DISS or NDISS is allowed, not both.

**C31 DissenterRights2Rule**

(Rule)

If OfferType/Code value is equal to NDISS (DissenterRightsNotApplicable), then OfferType/Code value equal to DISS (DissenterRights) is not allowed in any occurrence of OfferType.

(MT 564 NVR C27) (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00562

- *Error Text:* Invalid message contents for OfferType. Either code value DISS or NDISS is allowed, not both.

### **C32 DissenterRights2Rule**

(Rule)

If OfferType/Code value is equal to NDISS (DissenterRightsNotApplicable), then OfferType/Code value equal to DISS (DissenterRights) is not allowed in any occurrence of OfferType.

(MT 564 NVR C27) (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00564
- *Error Text:* Invalid message contents for OfferType. Either code value DISS or NDISS is allowed, not both.

### **C33 DissenterRights2UGRule**

(Rule)

If OfferType/Code value is equal to NDIS (DissenterRightsNotApplicable), then OfferType/Code value equal to DISS (DissenterRights) is not allowed in any occurrence of OfferType.

(MT 564 NVR C27) (CrossElementComplexRule)

*Expression Language:* UGRule

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00594
- *Error Text:* Invalid message contents for OfferType. Either code value DISS or NDISS is allowed, not both.

### **C34 DissenterRights2UGRule**

(Rule)

If OfferType/Code value is equal to NDIS (DissenterRightsNotApplicable), then OfferType/Code value equal to DISS (DissenterRights) is not allowed in any occurrence of OfferType.

(MT 564 NVR C27) (CrossElementComplexRule)

*Expression Language:* UGRule

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00591
- *Error Text:* Invalid message contents for OfferType. Either code value DISS or NDISS is allowed, not both.

### **C35 DissenterRights3Rule**

(Rule)

If OfferType/Code value is equal to NDIS (DissenterRightsNotApplicable) or DISS (DissenterRights) in any occurrence of CorporateActionOptionDetails, then in CorporateActionDetails, OfferType/Code values NDIS (DissenterRightsNotApplicable) and DISS (DissenterRights) are not allowed.

(MT 564 NVR C28) (CrossElementComplexRule)

On Condition

```
    /CorporateActionOptionDetails[*]/OfferType[*]/Code is equal to value  
'DissenterRights'  
  Or    /CorporateActionOptionDetails[*]/OfferType[*]/Code is equal to value  
'DissenterRightsNotApplicable'  
Following Must be True  
    /CorporateActionDetails/OfferType[*]/Code Must be different from value  
'DissenterRights'  
  And   /CorporateActionDetails/OfferType[*]/Code Must be different from  
value 'DissenterRightsNotApplicable'
```

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00543
- *Error Text:* Invalid message contents for OfferType. NDIS or DISS code values cannot be present in both CorporateActionDetails and Option sequences.

*This constraint is defined at the MessageDefinition level.*

### **C36 DissenterRightsUG3Rule**

(Rule)

If OfferType/Code value is equal to NDIS (DissenterRightsNotApplicable) or DISS (DissenterRights) in any occurrence of CorporateActionOptionDetails, then in CorporateActionDetails, OfferType/Code values NDIS (DissenterRightsNotApplicable) and DISS (DissenterRights) are not allowed.

(MT 564 NVR C28) (CrossElementComplexRule)

```
if  
  at least one occurrence of [CorporateActionOptionDetails/OfferType/Code]  
has value included in the following list 'NDIS' or 'DISS'  
, then  
  every occurrence of [CorporateActionDetails/OfferType/Code] must have  
value not included in the following list 'NDIS' or 'DISS'
```

*Expression Language:* UGRule

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00589
- *Error Text:* Invalid message contents for OfferType. NDIS or DISS code values cannot be present in both CorporateActionDetails and Option sequences.

*This constraint is defined at the MessageDefinition level.*

### **C37 EffectiveDateRule**

(Rule)

Effective date is to be used in events where there is no concept of entitlement, for example Name Change (CHAN) or Place of Incorporation (PLAC), and in events where there is a sense of eligibility but with a legal obligation, for example Merger (MRGR).

### **C38 EventTypeRule**

(Rule)

If Code is present, the code OTHR (Other) must only be used if no other corporate action event code is appropriate.

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

If Code is present, the code REDM (Final Maturity) must only be used if the redemption is decided by the issuer and not by the securities holders.

### **C39 ExemptionTypeUsageRule**

(Rule)

The lists of exemption type codes to be used in ExemptionType are provided in the document "ETYP-ITYP Exemption & Income Type Codes" available on the SMPG website at [www.smpg.info](http://www.smpg.info).

*Error handling:*

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

### **C40 ExemptionTypeUsageRule**

(Rule)

The lists of exemption type codes to be used in ExemptionType are provided in the document "ETYP-ITYP Exemption & Income Type Codes" available on the SMPG website at [www.smpg.info](http://www.smpg.info).

*Error handling:*

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

### **C41 FirstBidIncrementPrice1Rule**

(Rule)

If FirstBidIncrementPrice is present in CorporateActionDetails/PriceDetails, then FirstBidIncrementPrice is not allowed in any occurrences of CorporateActionOptionDetails/PriceDetails.

(MT 564 NVR C24) (CrossElementComplexRule)

On Condition

`/CorporateActionDetails/PriceDetails/FirstBidIncrementPrice is present`  
Following Must be True

/CorporateActionOptionDetails[\*]/PriceDetails/FirstBidIncrementPrice Must be absent

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00524
- *Error Text:* Invalid message contents for FirstBidIncrementPrice in one or more occurrences of CorporateActionOptiondetails/PriceDetails. Element is not allowed.

*This constraint is defined at the MessageDefinition level.*

#### **C42 FirstBidIncrementPrice2Rule**

(Rule)

If FirstBidIncrementPrice is present in any occurrences of CorporateActionOptionDetails/PriceDetails, then FirstBidIncrementPrice is not allowed in CorporateActionDetails/PriceDetails.

(MT 564 NVR C24) (CrossElementComplexRule)

On Condition

/CorporateActionOptionDetails[\*]/PriceDetails/FirstBidIncrementPrice is present

Following Must be True

/CorporateActionDetails/PriceDetails/FirstBidIncrementPrice Must be absent

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00525
- *Error Text:* Invalid message contents for FirstBidIncrementPrice in CorporateActionDetails/PriceDetails. Element is not allowed.

*This constraint is defined at the MessageDefinition level.*

#### **C43 FirstBidIncrementPriceEventType1Rule**

(Rule)

If FirstBidIncrementPrice is present in CorporateActionDetails/PriceDetails, then CorporateActionGeneralInformation/EventType/Code value must be equal to either BIDS (Repurchase Offer) or DTCH (Dutch Auction) or TEND (Tender).

(MT 564 NVR C30) (CrossElementComplexRule)

On Condition

/CorporateActionDetails/PriceDetails/FirstBidIncrementPrice is present  
Following Must be True

/CorporateActionGeneralInformation/EventType/Code Must be equal to value 'RepurchaseOffer'

Or /CorporateActionGeneralInformation/EventType/Code Must be equal to value 'DutchAuction'

Or /CorporateActionGeneralInformation/EventType/Code Must be equal to value 'Tender'

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00528

- *Error Text:* Invalid message contents for EventType code in CorporateActionGeneralInformation since FirstBidIncrementPrice is present.

*This constraint is defined at the MessageDefinition level.*

#### **C44 FirstBidIncrementPriceEventType2Rule**

(Rule)

If FirstBidIncrementPrice is present in any occurrence of CorporateActionOptionDetails/PriceDetails, then CorporateActionGeneralInformation/EventType/Code value must be equal to either BIDS (Repurchase Offer) or DTCH (Dutch Auction) or TEND (Tender).

(MT 564 NVR C30) (CrossElementComplexRule)

On Condition

/CorporateActionOptionDetails[\*]/PriceDetails/FirstBidIncrementPrice is present

Following Must be True

/CorporateActionGeneralInformation/EventType/Code Must be equal to value 'RepurchaseOffer'

Or /CorporateActionGeneralInformation/EventType/Code Must be equal to value 'DutchAuction'

Or /CorporateActionGeneralInformation/EventType/Code Must be equal to value 'Tender'

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00530
- *Error Text:* Invalid message contents for EventType code in CorporateActionGeneralInformation since FirstBidIncrementPrice is present.

*This constraint is defined at the MessageDefinition level.*

#### **C45 GenericCashPricePerProductGuideline**

(Guideline)

GenericCashPriceReceivedPerProduct and GenericCashPricePaidPerProduct are prices received or paid in the course of an event. The specific meaning (redemption price, subscription price, reinvestment price, etc.) is derived from the event type.

#### **C46 GenericCashPricePerProductGuideline**

(Guideline)

GenericCashPriceReceivedPerProduct and GenericCashPricePaidPerProduct are prices received or paid in the course of an event. The specific meaning (redemption price, subscription price, reinvestment price.) is derived from the event type.

#### **C47 GenericCashPricePerProductGuideline**

(Guideline)

GenericCashPriceReceivedPerProduct and GenericCashPricePaidPerProduct are prices received or paid in the course of an event. The specific meaning (redemption price, subscription price, reinvestment price, ETC.) is derived from the event type.

#### **C48 GrossDividendRate2Rule**

(Rule)

If GrossDividendRate is repeated, then:

- RateTypeAndAmountAndRateStatus/RateType/Code values must all be different in each occurrence of GrossDividendRate. (MT 564 NVR C8).

**C49 GrossDividendRate2Rule**

(Rule)

If GrossDividendRate is repeated, then:

- RateTypeAndAmountAndRateStatus/RateType/Code values must all be different in each occurrence of GrossDividendRate. (MT 564 NVR C8).

**C50 GrossDividendRate3Rule**

(Rule)

Only a single occurrence of either GrossDividendRate/Amount or GrossDividendRate/AmountAndRateStatus or GrossDividendRate/NotSpecifiedRate may be present, only one of these elements may be present. (MT 564 NVR C7).

**C51 GrossDividendRate3Rule**

(Rule)

Only a single occurrence of either GrossDividendRate/Amount or GrossDividendRate/AmountAndRateStatus or GrossDividendRate/NotSpecifiedRate may be present, and only one of these elements may be present.

(MT 564 NVR C7).

**C52 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.

**C53 IncentivePremiumEventType1Rule**

(Rule)

If Code value is equal to INCP (IncentivePremiumPayment) in any occurrence of CorporateActionDetails/AdditionalBusinessProcessIndicator, then CorporateActionGeneralInformation/EventType/Code value must be equal to CONS (Consent).

(MT 564 NVR C26) (CrossElementComplexRule)

On Condition

`/CorporateActionDetails/AdditionalBusinessProcessIndicator[*]/Code is equal to value 'IncentivePremiumPayment'`

Following Must be True

`/CorporateActionGeneralInformation/EventType/Code Must be equal to value 'Consent'`

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00538
- *Error Text:* Invalid message contents for EventType code in CorporateActionGeneralInformation since an Incentive Premium Payment is processed.

*This constraint is defined at the MessageDefinition level.*

**C54 IncentivePremiumEventTypeUG1Rule**

(Rule)

If Code value is equal to INCP (IncentivePremiumPayment) in any occurrence of CorporateActionDetails/AdditionalBusinessProcessIndicator, then CorporateActionGeneralInformation/EventType/Code value must be equal to CONS (Consent).

(MT 564 NVR C26) (CrossElementComplexRule)

```
if
    at least one occurrence of [CorporateActionDetails/
AdditionalBusinessProcessIndicator/Code] has value included in the following
list 'INCP'
, then
    every occurrence of [CorporateActionGeneralInformation/EventType/Code]
must have value included in the following list 'CONS'
```

*Expression Language:* UGRule

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00588
- *Error Text:* Invalid message contents for EventType code in CorporateActionGeneralInformation since an Incentive Premium Payment is processed.

*This constraint is defined at the MessageDefinition level.*

**C55 IncomeType1Rule**

(Rule)

If at least one occurrence of OtherIncomeType is present, then IncomeType must be present. (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00544
- *Error Text:* Invalid message contents for IncomeType. Element must be present.

**C56 IncomeType2Rule**

(Rule)

If at least one occurrence of OtherIncomeType is present, then IncomeType must be present. (CrossElementComplexRule)



*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00545
- *Error Text:* Invalid message contents for IncomeType. Element must be present.

**C57 IncomeTypeUsageRule**

(Rule)

The lists of income type codes to be used in IncomeType are provided in the document "ETYP-ITYP Exemption & Income Type Codes" available on the SMPG website at [www.smpg.info](http://www.smpg.info).

*Error handling:*

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

**C58 IncomeTypeUsageRule**

(Rule)

The lists of income type codes to be used in IncomeType are provided in the document "ETYP-ITYP Exemption & Income Type Codes" available on the SMPG website at [www.smpg.info](http://www.smpg.info).

*Error handling:*

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

**C59 InformationEventRule**

(Rule)

If CorporateActionGeneralInformation/EventType/Code is INFO (Information), then IntermediateSecurity must be absent and no occurrences of CorporateActionOptionDetails may be present.

(MT 564 NVR C6). (CrossElementComplexRule)

On Condition

    /CorporateActionGeneralInformation/EventType/Code is present

    And /CorporateActionGeneralInformation/EventType/Code is equal to value 'Information'

Following Must be True

    /IntermediateSecurity Must be absent

    And /CorporateActionOptionDetails[\*] Must be absent

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00301
- *Error Text:* Invalid message contents for IntermediateSecurity or CorporateActionOptionDetails. Must both be absent.

*This constraint is defined at the MessageDefinition level.*

## C60 InstructCashAmountRule

(Rule)

If OptionFeatures/Code QCAS (InstructCashAmount) is not present, then any message elements in the list (PriceDetails/MaximumCashToInstruct, PriceDetails/MinimumCashToInstruct, PriceDetails/MinimumMultipleCashToInstruct) must not be present.

(MT564 NVR C20). (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00417
- *Error Text:* Invalid message content for OptionFeatures QCAS (Instruct Cash Amount)

## C61 InterestPaymentRule

(Rule)

CorporateActionDetails/RateAndAmountDetails/InterestRate and CorporateActionOptionsDetails/RateAndAmountDetails/InterestRateUsedforPayment must not be mixed. InterestRate is used to provide the annual rate of the financial instrument. InterestRateUsedforPayment is used to provide the applicable rate for the current payment, after all calculations have been performed, that is, application of period and method of interest computation.

*This constraint is defined at the MessageDefinition level.*

## C62 InterestPeriodRule

(Rule)

InterestPeriod must be used only if it is different from a normal accrued interest period.

## C63 IntermediateSecuritiesDistribution1Rule

(Rule)

If CorporateActionGeneralInformation/EventType/Code is RHDI (IntermediateSecuritiesDistribution), then CorporateActionDetails/

IntermediateSecuritiesDistributionType must be present.

(MT 564 NVR C11). (CrossElementComplexRule)

On Condition

```
    /CorporateActionGeneralInformation/EventType/Code is present  
  And    /CorporateActionGeneralInformation/EventType/Code is equal to value  
'IntermediateSecuritiesDistribution'
```

Following Must be True

```
    /CorporateActionDetails Must be present  
  And    /CorporateActionDetails/IntermediateSecuritiesDistributionType Must  
be present
```

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00166
- *Error Text:* Invalid message contents for IntermediateSecuritiesDistributionType in CorporateActionDetails. Element must be present.

*This constraint is defined at the MessageDefinition level.*

#### **C64 IntermediateSecurity1Rule**

(Rule)

If CorporateActionGeneralInformation/EventType/Code is RHDI (IntermediateSecuritiesDistribution), then IntermediateSecurity must be absent.

(MT 564 NVR C6). (CrossElementComplexRule)

On Condition

```
    /CorporateActionGeneralInformation/EventType/Code is present
  And    /CorporateActionGeneralInformation/EventType/Code is equal to value
  'IntermediateSecuritiesDistribution'
Following Must be True
    /IntermediateSecurity Must be absent
```

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00162
- *Error Text:* Invalid message contents for IntermediateSecurity. Must be absent.

*This constraint is defined at the MessageDefinition level.*

#### **C65 IntermediateSecurity2Rule**

(Rule)

If CorporateActionGeneralInformation/EventType/Code is RHTS (Rights Issue), then IntermediateSecurity must be present.

(MT 564 NVR C6). (CrossElementComplexRule)

On Condition

```
    /CorporateActionGeneralInformation/EventType/Code is present
  And    /CorporateActionGeneralInformation/EventType/Code is equal to value
  'RightsIssue'
Following Must be True
    /IntermediateSecurity Must be present
```

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00163
- *Error Text:* Invalid message contents for IntermediateSecurity. Must be present.

*This constraint is defined at the MessageDefinition level.*

#### **C66 ISINGuideline**

(Rule)

When a ISIN code exist. It is strongly recommended that the ISIN be used.

#### **C67 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.

**C68 IssuerAgentGuideline**

(Guideline)

IssuerAgent must be used only in the communication between a CSD and local custodians.

*This constraint is defined at the MessageDefinition level.*

**C69 IssuerOfferorTaxabilityIndicatorUsageRule**

(Rule)

The IssuerOfferorTaxabilityIndicator may only be used when no tax rate is provided in the message and it must not be used in events such as dividend or interest.

The list of proprietary IssuerOfferorTaxabilityIndicator codes that may be used are provided in the document "TXAP Taxability Codes" available on the SMPG website at [www.smpg.info](http://www.smpg.info).

**C70 IssuerOfferorTaxabilityIndicatorUsageRule**

(Rule)

The IssuerOfferorTaxabilityIndicator may only be used when no tax rate is provided in the message and it must not be used in events such as dividend or interest.

The list of proprietary IssuerOfferorTaxabilityIndicator codes that may be used are provided in the document "TXAP Taxability Codes" available on the SMPG website at [www.smpg.info](http://www.smpg.info).

**C71 LastBidIncrementPrice1Rule**

(Rule)

If LastBidIncrementPrice is present in CorporateActionDetails/PriceDetails, then LastBidIncrementPrice is not allowed in any occurrences of CorporateActionOptionDetails/PriceDetails.

(MT 564 NVR C24) (CrossElementComplexRule)

On Condition

    /CorporateActionDetails/PriceDetails/LastBidIncrementPrice is present

Following Must be True

    /CorporateActionOptionDetails[\*]/PriceDetails/LastBidIncrementPrice Must be absent

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00526
- *Error Text:* Invalid message contents for LastBidIncrementPrice in one or more occurrences of CorporateActionOptiondetails/PriceDetails. Element is not allowed.

*This constraint is defined at the MessageDefinition level.*

**C72 LastBidIncrementPrice2Rule**

(Rule)

If LastBidIncrementPrice is present in any occurrences of CorporateActionOptionDetails/PriceDetails, then LastBidIncrementPrice is not allowed in CorporateActionDetails/PriceDetails.

(MT 564 NVR C24) (CrossElementComplexRule)

On Condition

    /CorporateActionOptionDetails[\*]/PriceDetails/LastBidIncrementPrice is present

Following Must be True

    /CorporateActionDetails/PriceDetails/LastBidIncrementPrice Must be absent

*Error handling:*

– *Error severity:* Fatal

– *Error Code:* X00527

– *Error Text:* Invalid message contents for LastBidIncrementPrice in CorporateActionDetails/PriceDetails. Element is not allowed.

*This constraint is defined at the MessageDefinition level.*

### **C73 LastBidIncrementPriceEventType1Rule**

(Rule)

If LastBidIncrementPrice is present in CorporateActionDetails/PriceDetails, then CorporateActionGeneralInformation/EventType/Code value must be equal to either BIDS (Repurchase Offer) or DTCH (Dutch Auction) or TEND (Tender).

(MT 564 NVR C30) (CrossElementComplexRule)

On Condition

    /CorporateActionDetails/PriceDetails/LastBidIncrementPrice is present  
Following Must be True

    /CorporateActionGeneralInformation/EventType/Code Must be equal to value 'RepurchaseOffer'

    Or /CorporateActionGeneralInformation/EventType/Code Must be equal to value 'DutchAuction'

    Or /CorporateActionGeneralInformation/EventType/Code Must be equal to value 'Tender'

*Error handling:*

– *Error severity:* Fatal

– *Error Code:* X00529

– *Error Text:* Invalid message contents for EventType code in CorporateActionGeneralInformation since LastBidIncrementPrice is present.

*This constraint is defined at the MessageDefinition level.*

### **C74 LastBidIncrementPriceEventType2Rule**

(Rule)

If LastBidIncrementPrice is present in any occurrence of CorporateActionOptionDetails/PriceDetails, then CorporateActionGeneralInformation/EventType/Code value must be equal to either BIDS (Repurchase Offer) or DTCH (Dutch Auction) or TEND (Tender).

(MT 564 NVR C30) (CrossElementComplexRule)

On Condition

    /CorporateActionOptionDetails[\*]/PriceDetails/LastBidIncrementPrice is present

Following Must be True  
    /CorporateActionGeneralInformation/EventType/Code Must be equal to value  
'RepurchaseOffer'  
Or /CorporateActionGeneralInformation/EventType/Code Must be equal to  
value 'DutchAuction'  
Or /CorporateActionGeneralInformation/EventType/Code Must be equal to  
value 'Tender'

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00531
- *Error Text:* Invalid message contents for EventType code in  
CorporateActionGeneralInformation since LastBidIncrementPrice is present.

*This constraint is defined at the MessageDefinition level.*

**C75 MaturityDateRule**

(Rule)

Maturity date may only provide generic information about the final maturity of the underlying instrument.

**C76 MaturityDateRule**

(Rule)

Maturity date may only provide generic information about the final maturity of the underlying instrument.

**C77 MaximumAndMinimumQuantitySoughtUsageRule**

(Rule)

When MaximumQuantity is present, MinimumQuantitySought must be present too. When MinimumQuantitySought is present, MaximumQuantity must be present too.

When MinimumQuantitySought/Code is AnyAndAll, then MaximumQuantity/Code must not be AnyAndAll.

When MaximumQuantity/Code is AnyAndAll, MinimumQuantitySought/code must not be used with the value AnyAndAll.

**C78 MaximumPrice1Rule**

(Rule)

If MaximumPrice is present in CorporateActionDetails/PriceDetails, then MaximumPrice is not allowed in any occurrences of CorporateActionOptionDetails/PriceDetails.

(MT 564 NVR C24) (CrossElementComplexRule)

On Condition

    /CorporateActionDetails/PriceDetails/MaximumPrice is present

Following Must be True

    /CorporateActionOptionDetails[\*]/PriceDetails/MaximumPrice Must be absent

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00534

- *Error Text:* Invalid message contents for MaximumPrice in one or more occurrences of CorporateActionOptiondetails/PriceDetails. Element is not allowed.

*This constraint is defined at the MessageDefinition level.*

### **C79 MaximumPrice2Rule**

(Rule)

If MaximumPrice is present in any occurrences of CorporateActionOptionDetails/PriceDetails, then MaximumPrice is not allowed in CorporateActionDetails/PriceDetails.

(MT 564 NVR C24) (CrossElementComplexRule)

On Condition

```
/CorporateActionOptionDetails[*]/PriceDetails/MaximumPrice is present  
Following Must be True  
/CorporateActionDetails/PriceDetails/MaximumPrice Must be absent
```

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00535
- *Error Text:* Invalid message contents for MinimumPrice in CorporateActionDetails/PriceDetails. Element is not allowed.

*This constraint is defined at the MessageDefinition level.*

### **C80 MinimumPrice1Rule**

(Rule)

If MinimumPrice is present in CorporateActionDetails/PriceDetails, then MinimumPrice is not allowed in any occurrences of CorporateActionOptionDetails/PriceDetails.

(MT 564 NVR C24) (CrossElementComplexRule)

On Condition

```
/CorporateActionDetails/PriceDetails/MinimumPrice is present  
Following Must be True  
/CorporateActionOptionDetails[*]/PriceDetails/MinimumPrice Must be absent
```

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00532
- *Error Text:* Invalid message contents for MinimumPrice in one or more occurrences of CorporateActionOptiondetails/PriceDetails. Element is not allowed.

*This constraint is defined at the MessageDefinition level.*

### **C81 MinimumPrice2Rule**

(Rule)

If MinimumPrice is present in any occurrences of CorporateActionOptionDetails/PriceDetails, then MinimumPrice is not allowed in CorporateActionDetails/PriceDetails.

(MT 564 NVR C24) (CrossElementComplexRule)

On Condition

```
/CorporateActionOptionDetails[*]/PriceDetails/MinimumPrice is present
```

Following Must be True  
/CorporateActionDetails/PriceDetails/MinimumPrice Must be absent

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00533
- *Error Text:* Invalid message contents for MinimumPrice in CorporateActionDetails/PriceDetails. Element is not allowed.

*This constraint is defined at the MessageDefinition level.*

## **C82 NameChangeRule**

(Rule)

If CorporateActionDetails/AdditionalInformation/NewCompanyName/AdditionalInformation is present, then CorporateActionGeneralInformation/EventType/Code value CHAN (Change) must be present and CorporateActionDetails/ChangeType/Code value NAME (Name) must be present in at least one occurrence of CorporateActionDetails/ChangeType.

(MT 564 NVR C10).

*This constraint is defined at the MessageDefinition level.*

## **C83 NetDividendRate1Rule**

(Rule)

If NetDividendRate is repeated, then RateTypeAndAmountAndRateStatus/RateType/Code values must all be different in each occurrence of NetDividendRate. (MT 564 NVR C8).

## **C84 NetDividendRate1Rule**

(Rule)

If NetDividendRate is repeated, then:

- RateTypeAndAmountAndRateStatus/RateType/Code values must all be different in each occurrence of NetDividendRate. (MT 564 NVR C8).

## **C85 NetDividendRate2Rule**

(Rule)

Only a single occurrence of either NetDividendRate/Amount or NetDividendRate/AmountAndRateStatus or NetDividendRate/NotSpecifiedRate may be present, and only one of these elements may be present. (MT 564 NVR C7).

## **C86 NetDividendRate2Rule**

(Rule)

Only a single occurrence of either NetDividendRate/Amount or NetDividendRate/AmountAndRateStatus or NetDividendRate/NotSpecifiedRate may be present, and only one of these elements may be present.

(MT 564 NVR C7).

## **C87 NewMaturityDateRule**

(Rule)



If CorporateActionDetails/DateDetails/NewMaturityDate is present, then CorporateActionGeneralInformation/EventType/Code must be EXTM (Maturity Extension).

*This constraint is defined at the MessageDefinition level.*

#### **C88 NotificationIdentificationRule**

(Rule)

If NotificationGeneralInformation/NotificationType is REPL (Replace) or RMDR (Reminder) then PreviousNotificationIdentification must be present.

(MT 564 NVR C9). (CrossElementComplexRule)

On Condition

    /NotificationGeneralInformation/NotificationType is equal to value  
    'Replacement'

    Or /NotificationGeneralInformation/NotificationType is equal to value  
    'Reminder'

Following Must be True

    /PreviousNotificationIdentification Must be present

*Error handling:*

– *Error severity:* Fatal

– *Error Code:* X00164

– *Error Text:* Invalid message contents for NotificationIdentification

*This constraint is defined at the MessageDefinition level.*

#### **C89 NotificationTypeGuideline**

(Rule)

NotificationType REPL is used to replace a previously sent CorporateActionNotification message that was reported with EventCompletenessStatus being incomplete or complete.

#### **C90 NumberRule**

(Rule)

If Number is negative, then Sign must be present.

#### **C91 OfficialCorporateActionEventReference**

(Rule)

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

available in the SMPG Global Market Practices Part 1 document on [www.smpg.info](http://www.smpg.info).

#### **C92 OptionNumberGuideline**

(Guideline)

For differentiation between options, it is recommended to use the OptionNumber rather than the OptionType, for example, in the case where two or more offers can be described by the same corporate action option code.

#### **C93 OptionTypeUnknownProceedsUsageRule**

(Rule)

When used, the corporate action option code PRUN (Unknown Proceeds) should be maintained throughout the full lifecycle of the event.

#### **C94 OtherEventRule**

(Rule)

If CorporateActionGeneralInformation/EventType/Code is OTHR (Other) then at least one occurrence of AdditionalInformation/AdditionalText/AdditionalInformation must be present.

(MT564 NVR C4). (CrossElementComplexRule)

On Condition

    /CorporateActionGeneralInformation/EventType/Code is present

    And /CorporateActionGeneralInformation/EventType/Code is equal to value 'OtherEvent'

Following Must be True

    /AdditionalInformation Must be present

    And /AdditionalInformation/AdditionalText[\*] Must be present

    And /AdditionalInformation/AdditionalText[\*]/AdditionalInformation[\*] Must be present

*Error handling:*

– *Error severity:* Fatal

– *Error Code:* X00161

– *Error Text:* Invalid message content for AdditionalInformation. AdditionalInformation/additionalText must be present.

*This constraint is defined at the MessageDefinition level.*

#### **C95 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.

#### **C96 PaymentDateRule**

(Rule)

If at least one occurrence of CorporateActionOptionDetails/SecuritiesMovementDetails or at least one occurrence of CorporateActionOptionDetails/CashMovementDetails is present, then CorporateActionDetails/DateDetails/PaymentDate must be absent. (MT 564 NVR C16). (CrossElementComplexRule)

On Condition

    /CorporateActionOptionDetails[\*]/CashMovementDetails[\*] is present

    Or /CorporateActionOptionDetails[\*]/SecuritiesMovementDetails[\*] is present

Following Must be True

    /CorporateActionDetails/DateDetails/PaymentDate Must be absent

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00168
- *Error Text:* Invalid message contents for PaymentDate. It should be absent.

*This constraint is defined at the MessageDefinition level.*

**C97 PreviousNextFactorRule**

(Rule)

In case of partial redemption by pool factor, PreviousFactor provides the factor applicable before redemption and NextFactor provides the factor applicable after redemption.

**C98 PreviousNextFactorRule**

(Rule)

In case of partial redemption by pool factor, PreviousFactor provides the factor applicable before redemption and NextFactor provides the factor applicable after redemption.

**C99 RateAndCorporateActionEventRule**

(Rule)

If CorporateActionOptionDetails/RateAndAmountDetails/GrossDividendRate/NotSpecifiedRate Code value or CorporateActionOptionDetails/RateAndAmountDetails/InterestRateUsedForPayment/NotSpecifiedRate Code value is NILP (Nil Payment), then CorporateActionGeneralInformation/EventType/Code must be either DVCA (CashDividend) or INTR (InterestPayment).

If CorporateActionOptionDetails/CashMovementDetails/RateAndAmountDetails/GrossDividendRate/NotSpecifiedRate Code value or CorporateActionOptionDetails/CashMovementDetails/RateAndAmountDetails/InterestRateUsedForPayment/NotSpecifiedRate Code value is NILP (Nil Payment), then CorporateActionGeneralInformation/EventType/Code must be either DVCA (CashDividend) or INTR (InterestPayment).

*This constraint is defined at the MessageDefinition level.*

**C100 RateStatusGuideline**

(Guideline)

The code value ACTU is the default value for a rate status.

**C101 RevocabilityPeriodRule**

(Rule)

If WithdrawalAllowedIndicator or ChangeAllowedIndicator is present and is 'true' or '1' (Yes), then PeriodDetails/RevocabilityPeriod must be present to indicate the period during which the change or withdrawal of instruction is allowed.

**C102 SafekeepingAccount1Rule**

(Rule)

If AccountDetails/ForAllAccounts/IdentificationCode value is GENR (General) then any element in the list (MinimumNominalQuantity, MinimumExercisableQuantity, MinimumExercisableMultipleQuantity, ContractSize) must not be present in any occurrences of CorporateActionOptionDetails/SecuritiesMovementDetails/SecurityDetails;

(MT564 Rule C2 - part 1). (CrossElementComplexRule)

On Condition

    /AccountDetails/ForAllAccounts is present

    And /AccountDetails/ForAllAccounts/IdentificationCode is equal to value  
    'General'

Following Must be True

    /CorporateActionOptionDetails[\*]/SecuritiesMovementDetails[\*]/

SecurityDetails/MinimumNominalQuantity Must be absent

    And /CorporateActionOptionDetails[\*]/SecuritiesMovementDetails[\*]/

SecurityDetails/MinimumQuantityToInstruct Must be absent

    And /CorporateActionOptionDetails[\*]/SecuritiesMovementDetails[\*]/

SecurityDetails/MinimumMultipleQuantityToInstruct Must be absent

    And /CorporateActionOptionDetails[\*]/SecuritiesMovementDetails[\*]/

SecurityDetails/ContractSize Must be absent

*Error handling:*

– *Error severity:* Fatal

– *Error Code:* X00158

– *Error Text:* Invalid message content for CorporateActionOptionDetails

*This constraint is defined at the MessageDefinition level.*

**C103 SafekeepingAccount2Rule**

(Rule)

If AccountDetails/ForAllAccounts/IdentificationCode value is GENR (General) then AmountDetails must not be present in any occurrences of CorporateActionOptionDetails/CashMovementDetails.

(MT564 Rule C2 - part 2). (CrossElementComplexRule)

On Condition

    /AccountDetails/ForAllAccounts is present

    And /AccountDetails/ForAllAccounts/IdentificationCode is equal to value  
    'General'

Following Must be True

    /CorporateActionOptionDetails[\*]/CashMovementDetails[\*]/AmountDetails

Must be absent

*Error handling:*

– *Error severity:* Fatal

– *Error Code:* X00159

– *Error Text:* Invalid message content for CorporateActionOptionDetails

*This constraint is defined at the MessageDefinition level.*

**C104 SafekeepingAccountOrBlockChainAddress1Rule**

(Rule)

Either SafekeepingAccount or BlockChainAddressOrWallet must be present but not both. (CrossElementSimpleRule)

*Error handling:*

– *Error severity:* Warning

– *Error Code:* X00551

- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

#### **C105 SafekeepingAccountOrBlockchainAddress2Rule**

(Rule)

If BlockchainAddressOrWallet is present then SafekeepingAccount must be absent. (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00565
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

#### **C106 SafekeepingAccountOrBlockchainAddress3Rule**

(Rule)

If SafekeepingAccount is present, then BlockchainAddressOrWallet must be absent. (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00566
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

#### **C107 SafekeepingPlaceRule**

(Rule)

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

#### **C108 SecondLevelTax1Rule**

(Rule)

If SecondLevelTax is repeated, then SecondLevelTax/RateTypeAndRate/RateType/Code values must all be different in each occurrence of SecondLevelTax.

(MT 564 NVR C8).

*Error handling:*

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

#### **C109 SecondLevelTax1Rule**

(Rule)

If SecondLevelTax is repeated, then SecondLevelTax/RateTypeAndRate/RateType/Code values must all be different in each occurrence of SecondLevelTax.

(MT 564 NVR C8).

*Error handling:*

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

**C110 SecondLevelTax2Rule**

(Rule)

Only a single occurrence of either SecondLevelTax/Amount or SecondLevelTax/Rate or SecondLevelTax/NotSpecifiedRate may be present, only one of these elements may be present.

(MT 564 NVR C7).

*Error handling:*

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

**C111 SecondLevelTax2Rule**

(Rule)

Only a single occurrence of either SecondLevelTax/Amount or SecondLevelTax/Rate or SecondLevelTax/NotSpecifiedRate may be present, only one of these elements may be present.

(MT 564 NVR C7).

*Error handling:*

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

**C112 SecondLevelTax3Rule**

(Rule)

If at least one occurrence of SecondLevelTax is present, then at least one occurrence of WithholdingTaxRate must be present. (MT 564 NVR C19). (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00385
- *Error Text:* Invalid message contents for WithholdingTaxRate. It should be present.

**C113 SecondLevelTax3Rule**

(Rule)

If at least one occurrence of SecondLevelTax is present, then at least one occurrence of WithholdingTaxRate must be present. (MT 564 NVR C19). (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00388
- *Error Text:* Invalid message contents for WithholdingTaxRate. It should be present.

#### **C114 ShortLongNumberRule**

(Rule)

ShortNumber must contain the FIN message type number of the linked message. LongNumber must contain the XML message identifier of the linked message.

#### **C115 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.

#### **C116 TotalEligibleBalanceRule**

(Rule)

If NotificationGeneralInformation/EligibleBalanceIndicator is 'true' or '1' (Yes), then at least one occurrence of AccountDetails/AccountsListAndBalanceDetails must be present and TotalEligibleBalance must be present in all occurrences of AccountDetails/AccountsListAndBalanceDetails/Balance.

If NotificationGeneralInformation/EligibleBalanceIndicator is 'false' or '0' (No) or is not present, then TotalEligibleBalance may or may not be present in all occurrences of AccountDetails/AccountsListAndBalanceDetails/Balance but it will not necessarily be the final eligible balance quantity.

*This constraint is defined at the MessageDefinition level.*

#### **C117 WithholdingTaxRate1Rule**

(Rule)

If WithholdingTaxRate is repeated, then WithholdingTaxRate/RateTypeAndRate/RateType/Code values must all be different in each occurrence of WithholdingTaxRate.

(MT 564 NVR C8).

*Error handling:*

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

#### **C118 WithholdingTaxRate1Rule**

(Rule)

If WithholdingTaxRate is repeated, then WithholdingTaxRate/RateTypeAndRate/RateType/Code values must all be different in each occurrence of WithholdingTaxRate.

(MT 564 NVR C8).

*Error handling:*

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

#### **C119 WithholdingTaxRate2Rule**

(Rule)

Only a single occurrence of either WithholdingTaxRate/Amount or WithholdingTaxRate/Rate or WithholdingTaxRate/NotSpecifiedRate may be present, only one of those elements may be present.

(MT 564 NVR C7).

*Error handling:*

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

#### **C120 WithholdingTaxRate2Rule**

(Rule)

Only a single occurrence of either WithholdingTaxRate/Amount or WithholdingTaxRate/Rate or WithholdingTaxRate/NotSpecifiedRate may be present, only one of these elements may be present.

(MT 564 NVR C7).

*Error handling:*

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

#### **C121 WithLinkageRule**

(Rule)

If Code WITH is used, then the one or more instruction which are linked become bound and which must be executed together. Even if one single transactions/instructions/notifications can not be executed, then all the other transactions/instructions/notifications must also be kept pending. Therefore the use of code WITH must be limited to combine up to 2 or 3 transactions/instructions/notifications.

## **3.4 Message Building Blocks**

This chapter describes the MessageBuildingBlocks of this MessageDefinition.



### 3.4.1 Pagination <Pgntn>

*Presence:* [0..1]

*Definition:* Page number of the message and continuation indicator to indicate that the multi-part notification is to continue or that the message is the last page of the multi-part notification.

**Pagination <Pgntn>** contains the following elements (see [Pagination1 on page 1018](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		1018
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		1018

### 3.4.2 NotificationGeneralInformation <NtfctnGnlInf>

*Presence:* [1..1]

*Definition:* General information about the event notification type, status and contents.

*Impacted by:* [C89 NotificationTypeGuideline](#)

**NotificationGeneralInformation <NtfctnGnlInf>** contains the following **CorporateActionNotification8** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>NotificationType</b> <NtfctnTp>	[1..1]	CodeSet		73
	<b>ProcessingStatus</b> <PrcgSts>	[1..1]	±		74

#### Constraints

- **NotificationTypeGuideline**

(Rule)

NotificationType REPL is used to replace a previously sent CorporateActionNotification message that was reported with EventCompletenessStatus being incomplete or complete.

#### 3.4.2.1 NotificationType <NtfctnTp>

*Presence:* [1..1]

*Definition:* Specifies the type of notification.

*Datatype:* [CorporateActionNotificationType1Code on page 1300](#)

CodeName	Name	Definition
NEWM	New	New notification.
REPL	Replacement	Notification replacing a previously sent notification.
RMDR	Reminder	Notification sent as a reminder of an event taking place.

### 3.4.2.2 ProcessingStatus <PrcgSts>

*Presence:* [1..1]

*Definition:* Specifies the status of the details of the corporate action event.

**ProcessingStatus <PrcgSts>** contains one of the following elements (see [CorporateActionProcessingStatus6Choice](#) on page 1073 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]			1073
	EventCompletenessStatus <EvtCmpltnsSts>	[1..1]	CodeSet		1073
	EventConfirmationStatus <EvtConfSts>	[1..1]	CodeSet		1074
Or}	Proprietary <Prtry>	[1..1]	±		1074

### 3.4.3 PreviousNotificationIdentification <PrvsNtfctnId>

*Presence:* [0..1]

*Definition:* Identification of the previously sent notification document.

**PreviousNotificationIdentification <PrvsNtfctnId>** contains the following elements (see [DocumentIdentification37](#) on page 892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		893
	LinkageType <LkgTp>	[0..1]	±	C32	893

### 3.4.4 InstructionIdentification <InstrId>

*Presence:* [0..1]

*Definition:* Identification of a related instruction document.

**InstructionIdentification <InstrId>** contains the following elements (see [DocumentIdentification17](#) on page 897 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		898

### 3.4.5 OtherDocumentIdentification <OthrDocId>

*Presence:* [0..\*]

*Definition:* Identification of other documents as well as the document number.

**OtherDocumentIdentification <OthrDocId>** contains the following elements (see [DocumentIdentification38](#) on page 895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			896
{Or	AccountServicerDocumentIdentification <AcctSvcrDocId>	[1..1]	Text		896
Or}	AccountOwnerDocumentIdentification <AcctOwnrDocId>	[1..1]	Text		896
	DocumentNumber <DocNb>	[0..1]	±	C6	896
	LinkageType <LkgTp>	[0..1]	±	C32	897

### 3.4.6 EventsLinkage <EvtsLkg>

*Presence:* [0..\*]

*Definition:* Identification of another corporate action event that needs to be closely linked to the processing of the event notified in this document.

**EventsLinkage <EvtsLkg>** contains the following elements (see [CorporateActionEventReference4](#) on page 1072 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	EventIdentification <EvtId>	[1..1]			1072
{Or	LinkedOfficialCorporateActionEventIdentification <LkdOffclCorpActnEvtId>	[1..1]	Text		1072
Or}	LinkedCorporateActionIdentification <LkdCorpActnId>	[1..1]	Text		1072
	LinkageType <LkgTp>	[0..1]	±	C32	1072

### 3.4.7 CorporateActionGeneralInformation <CorpActnGnllnf>

*Presence:* [1..1]

*Definition:* General information about the corporate action event.

*Impacted by:* [C91 OfficialCorporateActionEventReference](#)

**CorporateActionGeneralInformation <CorpActnGnllnf>** contains the following  
**CorporateActionGeneralInformation170** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CorporateActionEventIdentification</b> <CorpActnEvtld>	[1..1]	Text		76
	<b>OfficialCorporateActionEventIdentification</b> <OffclCorpActnEvtld>	[0..1]	Text		76
	<b>ClassActionNumber</b> <ClssActnNb>	[0..1]	Text		76
	<b>EventProcessingType</b> <EvtPrcgTp>	[0..1]	±		76
	<b>EventType</b> <EvtTp>	[1..1]	±	C38	77
	<b>MandatoryVoluntaryEventType</b> <MndtryVlntryEvtTp>	[1..1]	±		77
	<b>UnderlyingSecurity</b> <UndrlygScty>	[1..1]	±	C75, C97	78

**Constraints**

- **OfficialCorporateActionEventReference**

(Rule)

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

available in the SMPG Global Market Practices Part 1 document on [www.smpg.info](http://www.smpg.info).

**3.4.7.1 CorporateActionEventIdentification <CorpActnEvtld>**

*Presence:* [1..1]

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

*Datatype:* [RestrictedFINXMax16Text on page 1352](#)

**3.4.7.2 OfficialCorporateActionEventIdentification <OffclCorpActnEvtld>**

*Presence:* [0..1]

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

*Datatype:* [RestrictedFINXMax16Text on page 1352](#)

**3.4.7.3 ClassActionNumber <ClssActnNb>**

*Presence:* [0..1]

*Definition:* Reference assigned by a court to a class action.

*Datatype:* [RestrictedFINXMax16Text on page 1352](#)

**3.4.7.4 EventProcessingType <EvtPrcgTp>**

*Presence:* [0..1]

*Definition:* Type of processing involved by a corporate action.

**EventProcessingType <EvtPrcgTp>** contains one of the following elements (see [CorporateActionEventProcessingType3Choice](#) on page 1071 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1071
Or}	Proprietary <Prtry>	[1..1]	±		1071

### 3.4.7.5 EventType <EvtTp>

*Presence:* [1..1]

*Definition:* Type of corporate action event.

*Impacted by:* [C38 EventTypeRule](#)

**EventType <EvtTp>** contains one of the following elements (see [CorporateActionEventType89Choice](#) on page 1009 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1010
Or}	Proprietary <Prtry>	[1..1]	±		1016

#### Constraints

- **EventTypeRule**

(Rule)

If Code is present, the code OTHR (Other) must only be used if no other corporate action event code is appropriate.

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

If Code is present, the code REDM (Final Maturity) must only be used if the redemption is decided by the issuer and not by the securities holders.

### 3.4.7.6 MandatoryVoluntaryEventType <MndtryVIntryEvtTp>

*Presence:* [1..1]

*Definition:* Specifies whether the event is mandatory, mandatory with options or voluntary.

**MandatoryVoluntaryEventType <MndtryVIntryEvtTp>** contains one of the following elements (see [CorporateActionMandatoryVoluntary4Choice](#) on page 1070 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1070
Or}	Proprietary <Prtry>	[1..1]	±		1070

### 3.4.7.7 UnderlyingSecurity <UndrlygScty>

Presence: [1..1]

Definition: Security concerned by the corporate action.

Impacted by: [C75 MaturityDateRule](#), [C97 PreviousNextFactorRule](#)

**UnderlyingSecurity <UndrlygScty>** contains the following elements (see [FinancialInstrumentAttributes114](#) on [page 928](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C12, C13, C19, C20, C23	930
	PlaceOfListing <PlcOfListg>	[0..1]	±		931
	DayCountBasis <DayCntBsis>	[0..1]	±		931
	ClassificationType <ClssfctnTp>	[0..1]	±		932
	OptionStyle <OptnStyle>	[0..1]	±		932
	DenominationCurrency <DnmtnCcy>	[0..1]	CodeSet	C2	932
	NextCouponDate <NxtCpnDt>	[0..1]	Date		933
	ExpiryDate <XpryDt>	[0..1]	Date		933
	FloatingRateFixingDate <FltgRateFvgDt>	[0..1]	Date		933
	MaturityDate <MtrtyDt>	[0..1]	Date		933
	IssueDate <Issedt>	[0..1]	Date		933
	NextCallableDate <NxtClblDt>	[0..1]	Date		933
	PutableDate <PutblDt>	[0..1]	Date		933
	DatedDate <DtdDt>	[0..1]	Date		934
	ConversionDate <ConvsDt>	[0..1]	Date		934
	InterestRate <IntrstRate>	[0..1]	±		934
	NextInterestRate <NxtIntrstRate>	[0..1]	±		934
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	±		934
	PreviousFactor <PrvsFctr>	[0..1]	±		935
	NextFactor <NxtFctr>	[0..1]	±		935
	WarrantParity <WarrtParity>	[0..1]	±		935
	MinimumNominalQuantity <MinNmnlQty>	[0..1]	±	C14	935
	ContractSize <CtrctSz>	[0..1]	±	C14	936

### Constraints

- **MaturityDateRule**

(Rule)

Maturity date may only provide generic information about the final maturity of the underlying instrument.

- **PreviousNextFactorRule**

(Rule)

In case of partial redemption by pool factor, PreviousFactor provides the factor applicable before redemption and NextFactor provides the factor applicable after redemption.

## 3.4.8 AccountDetails <AcctDtls>

*Presence:* [1..1]

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

**AccountDetails <AcctDtls>** contains one of the following **AccountIdentification57Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>ForAllAccounts</b> <ForAllAccts>	[1..1]	±		80
Or}	<b>AccountsListAndBalanceDetails</b> <AcctsListAndBalDtls>	[1..*]		C104 , C105 , C106 , C107	81
	<b>SafekeepingAccount</b> <SfkpgAcct>	[0..1]	Text		83
	<b>BlockChainAddressOrWallet</b> <BlckChainAdrOrWlt>	[0..1]	Text		84
	<b>AccountOwner</b> <AcctOwnr>	[0..1]	±		84
	<b>SafekeepingPlace</b> <SfkpgPlc>	[0..1]	±		84
	<b>Balance</b> <Bal>	[0..1]		C8	84
	<b>TotalEligibleBalance</b> <TtlElgblBal>	[0..1]	±		85
	<b>BlockedBalance</b> <BlckdBal>	[0..1]	±		86
	<b>BorrowedBalance</b> <BrrwdBal>	[0..1]	±		86
	<b>CollateralInBalance</b> <CollInBal>	[0..1]	±		86
	<b>CollateralOutBalance</b> <CollOutBal>	[0..1]	±		87
	<b>OnLoanBalance</b> <OnLnBal>	[0..1]	±		87
	<b>PendingDeliveryBalance</b> <PdgDivryBal>	[0..*]	±		87
	<b>PendingReceiptBalance</b> <PdgRctBal>	[0..*]	±		88
	<b>OutForRegistrationBalance</b> <OutForRegnBal>	[0..1]	±		88
	<b>SettlementPositionBalance</b> <SttlmPosBal>	[0..*]	±		88
	<b>StreetPositionBalance</b> <StrtPosBal>	[0..1]	±		89
	<b>TradeDatePositionBalance</b> <TradDtPosBal>	[0..1]	±		89
	<b>InTransshipmentBalance</b> <InTrnsShipmntBal>	[0..1]	±		89
	<b>RegisteredBalance</b> <RegdBal>	[0..1]	±		90
	<b>ObligatedBalance</b> <OblgtdBal>	[0..1]	±		90
	<b>UninstructedBalance</b> <UinstdBal>	[0..1]	±		90
	<b>InstructedBalance</b> <InstdBal>	[0..1]	±		91
	<b>AffectedBalance</b> <AfctdBal>	[0..1]	±		91
	<b>UnaffectedBalance</b> <UafctdBal>	[0..1]	±		91

### 3.4.8.1 ForAllAccounts <ForAllAccts>

Presence: [1..1]



*Definition:* All safekeeping accounts that own an underlying financial instrument.

**ForAllAccounts <ForAllAccts>** contains the following elements (see [AccountIdentification10](#) on page 868 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IdentificationCode <IdCd>	[1..1]	CodeSet		868

### 3.4.8.2 AccountsListAndBalanceDetails <AcctsListAndBalDtls>

*Presence:* [1..\*]

*Definition:* Selected safekeeping accounts list (and optionally balance information) to which the corporate action event applies.

*Impacted by:* [C104 SafekeepingAccountOrBlockChainAddress1Rule](#), [C105 SafekeepingAccountOrBlockChainAddress2Rule](#), [C106 SafekeepingAccountOrBlockChainAddress3Rule](#), [C107 SafekeepingPlaceRule](#)

**AccountsListAndBalanceDetails <AcctsListAndBalDtls>** contains the following **AccountAndBalance56** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>SafekeepingAccount</b> <SfkpgAcct>	[0..1]	Text		83
	<b>BlockChainAddressOrWallet</b> <BlckChainAdrOrWllet>	[0..1]	Text		84
	<b>AccountOwner</b> <AcctOwnr>	[0..1]	±		84
	<b>SafekeepingPlace</b> <SfkpgPlc>	[0..1]	±		84
	<b>Balance</b> <Bal>	[0..1]		C8	84
	<b>TotalEligibleBalance</b> <TtlElgblBal>	[0..1]	±		85
	<b>BlockedBalance</b> <BlckdBal>	[0..1]	±		86
	<b>BorrowedBalance</b> <BrrwdBal>	[0..1]	±		86
	<b>CollateralInBalance</b> <CollInBal>	[0..1]	±		86
	<b>CollateralOutBalance</b> <CollOutBal>	[0..1]	±		87
	<b>OnLoanBalance</b> <OnLnBal>	[0..1]	±		87
	<b>PendingDeliveryBalance</b> <PdgDivryBal>	[0..*]	±		87
	<b>PendingReceiptBalance</b> <PdgRctBal>	[0..*]	±		88
	<b>OutForRegistrationBalance</b> <OutForRegnBal>	[0..1]	±		88
	<b>SettlementPositionBalance</b> <SttlmPosBal>	[0..*]	±		88
	<b>StreetPositionBalance</b> <StrtPosBal>	[0..1]	±		89
	<b>TradeDatePositionBalance</b> <TradDtPosBal>	[0..1]	±		89
	<b>InTransshipmentBalance</b> <InTrnsShipmntBal>	[0..1]	±		89
	<b>RegisteredBalance</b> <RegdBal>	[0..1]	±		90
	<b>ObligatedBalance</b> <OblgtdBal>	[0..1]	±		90
	<b>UninstructedBalance</b> <UinstdBal>	[0..1]	±		90
	<b>InstructedBalance</b> <InstdBal>	[0..1]	±		91
	<b>AffectedBalance</b> <AfctdBal>	[0..1]	±		91
	<b>UnaffectedBalance</b> <UafctdBal>	[0..1]	±		91

**Constraints**

- **SafekeepingAccountOrBlockChainAddress1Rule**

(Rule)

Either SafekeepingAccount or BlockChainAddressOrWallet must be present but not both.

Following Must be True

    /SafekeepingAccount Must be present

Or     /BlockChainAddressOrWallet Must be present

*Error handling:*

- *Error severity:* Warning
- *Error Code:* X00551
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

- **SafekeepingAccountOrBlockChainAddress2Rule**

(Rule)

If BlockchainAddressOrWallet is present then SafekeepingAccount must be absent.

On Condition  
    /BlockchainAddressOrWallet is present  
Following Must be True  
    /SafekeepingAccount Must be absent

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00565
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

- **SafekeepingAccountOrBlockChainAddress3Rule**

(Rule)

If SafekeepingAccount is present, then BlockchainAddressOrWallet must be absent.

On Condition  
    /SafekeepingAccount is present  
Following Must be True  
    /BlockchainAddressOrWallet Must be absent

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00566
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

- **SafekeepingPlaceRule**

(Rule)

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

### 3.4.8.2.1 SafekeepingAccount <SfkpgAcct>

*Presence:* [0..1]

*Definition:* Account where financial instruments are maintained.

*Datatype:* RestrictedFINXMax35Text on page 1354

### 3.4.8.2.2 BlockChainAddressOrWallet <BlickChainAdrOrWllt>

*Presence:* [0..1]

*Definition:* Blockchain address or wallet where digital assets are maintained. This is the equivalent of safekeeping account for digital assets.

*Datatype:* [RestrictedFINXMax140Text on page 1352](#)

### 3.4.8.2.3 AccountOwner <AcctOwnr>

*Presence:* [0..1]

*Definition:* Party that legally owns the account.

**AccountOwner <AcctOwnr>** contains one of the following elements (see [PartyIdentification136Choice on page 1091](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1091
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1091

### 3.4.8.2.4 SafekeepingPlace <SfkpgPlc>

*Presence:* [0..1]

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

**SafekeepingPlace <SfkpgPlc>** contains one of the following elements (see [SafekeepingPlaceFormat32Choice on page 1216](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]	±		1216
Or	Country <Ctry>	[1..1]	CodeSet	C3	1216
Or	TypeAndIdentification <TpAndId>	[1..1]			1217
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		1217
	Identification <Id>	[1..1]	IdentifierSet	C1	1217
Or}	Proprietary <Prtry>	[1..1]	±		1218

### 3.4.8.2.5 Balance <Bal>

*Presence:* [0..1]

*Definition:* Provides information about balance related to a corporate action.

*Impacted by:* [C8 AffectedAndUnaffectedBalanceRule](#)

**Balance <Bal>** contains the following **CorporateActionBalanceDetails46** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TotalEligibleBalance</b> <TtElgblBal>	[0..1]	±		85
	<b>BlockedBalance</b> <BlckdBal>	[0..1]	±		86
	<b>BorrowedBalance</b> <BrrwdBal>	[0..1]	±		86
	<b>CollateralInBalance</b> <CollInBal>	[0..1]	±		86
	<b>CollateralOutBalance</b> <CollOutBal>	[0..1]	±		87
	<b>OnLoanBalance</b> <OnLnBal>	[0..1]	±		87
	<b>PendingDeliveryBalance</b> <PdgDlvryBal>	[0..*]	±		87
	<b>PendingReceiptBalance</b> <PdgRctBal>	[0..*]	±		88
	<b>OutForRegistrationBalance</b> <OutForRegnBal>	[0..1]	±		88
	<b>SettlementPositionBalance</b> <SttlmPosBal>	[0..*]	±		88
	<b>StreetPositionBalance</b> <StrtPosBal>	[0..1]	±		89
	<b>TradeDatePositionBalance</b> <TradDtPosBal>	[0..1]	±		89
	<b>InTransshipmentBalance</b> <InTrnsShipmntBal>	[0..1]	±		89
	<b>RegisteredBalance</b> <RegdBal>	[0..1]	±		90
	<b>ObligatedBalance</b> <OblgtdBal>	[0..1]	±		90
	<b>UninstructedBalance</b> <UinstdBal>	[0..1]	±		90
	<b>InstructedBalance</b> <InstdBal>	[0..1]	±		91
	<b>AffectedBalance</b> <AfctdBal>	[0..1]	±		91
	<b>UnaffectedBalance</b> <UafctdBal>	[0..1]	±		91

**Constraints**

- **AffectedAndUnaffectedBalanceRule**

(Rule)

UnaffectedBalance and AffectedBalance should only be mentioned as a result of the process that was run through the event. For instance lottery results, Dutch auction results or tender offer results.

**3.4.8.2.5.1 TotalEligibleBalance <TtElgblBal>**

*Presence:* [0..1]

*Definition:* Total balance of securities eligible for this corporate action event. The entitlement calculation is based on this balance.

**TotalEligibleBalance <TtlElgblBal>** contains the following elements (see [TotalEligibleBalanceFormat11](#) on page 869 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Balance <Bal>	[0..1]	±		869
	FullPeriodUnits <FullPrdUnits>	[0..1]	±		870
	PartWayPeriodUnits <PartWayPrdUnits>	[0..1]	±		870

#### 3.4.8.2.5.2 BlockedBalance <BlckdBal>

*Presence:* [0..1]

*Definition:* Balance of financial instruments that are blocked.

**BlockedBalance <BlckdBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 3.4.8.2.5.3 BorrowedBalance <BrrwdBal>

*Presence:* [0..1]

*Definition:* Balance of financial instruments that have been borrowed from another party.

**BorrowedBalance <BrrwdBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 3.4.8.2.5.4 CollateralInBalance <CollnBal>

*Presence:* [0..1]

*Definition:* Balance of securities that belong to a third party and that are held for the purpose of collateralisation.

**CollateralInBalance <CollInBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 3.4.8.2.5.5 CollateralOutBalance <CollOutBal>

*Presence:* [0..1]

*Definition:* 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.

**CollateralOutBalance <CollOutBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 3.4.8.2.5.6 OnLoanBalance <OnLnBal>

*Presence:* [0..1]

*Definition:* Balance of financial instruments that have been loaned to a third party.

**OnLoanBalance <OnLnBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 3.4.8.2.5.7 PendingDeliveryBalance <PdgDlvryBal>

*Presence:* [0..\*]

*Definition:* Balance of financial instruments that are pending delivery.

**PendingDeliveryBalance <PdgDivryBal>** contains one of the following elements (see [BalanceFormat16Choice on page 870](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		871
Or	EligibleBalance <ElgblBal>	[1..1]	±		871
Or	NotEligibleBalance <NotElgblBal>	[1..1]	±		871
Or	FullPeriodUnits <FullPrdUnits>	[1..1]	±		872
Or}	PartWayPeriodUnits <PartWayPrdUnits>	[1..1]	±		872

### 3.4.8.2.5.8 PendingReceiptBalance <PdgRctBal>

*Presence:* [0..\*]

*Definition:* Balance of financial instruments that are pending receipt.

**PendingReceiptBalance <PdgRctBal>** contains one of the following elements (see [BalanceFormat16Choice on page 870](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		871
Or	EligibleBalance <ElgblBal>	[1..1]	±		871
Or	NotEligibleBalance <NotElgblBal>	[1..1]	±		871
Or	FullPeriodUnits <FullPrdUnits>	[1..1]	±		872
Or}	PartWayPeriodUnits <PartWayPrdUnits>	[1..1]	±		872

### 3.4.8.2.5.9 OutForRegistrationBalance <OutForRegnBal>

*Presence:* [0..1]

*Definition:* Balance of financial instruments currently being processed by the institution responsible for registering the new beneficial owner (or nominee).

**OutForRegistrationBalance <OutForRegnBal>** contains one of the following elements (see [BalanceFormat14Choice on page 872](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

### 3.4.8.2.5.10 SettlementPositionBalance <SttlmPosBal>

*Presence:* [0..\*]

*Definition:* Balance of securities representing only settled transactions; pending transactions not included.



**SettlementPositionBalance <SttlmPosBal>** contains one of the following elements (see [BalanceFormat16Choice](#) on page 870 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		871
Or	EligibleBalance <ElgblBal>	[1..1]	±		871
Or	NotEligibleBalance <NotElgblBal>	[1..1]	±		871
Or	FullPeriodUnits <FullPrdUnits>	[1..1]	±		872
Or}	PartWayPeriodUnits <PartWayPrdUnits>	[1..1]	±		872

#### 3.4.8.2.5.11 StreetPositionBalance <StrtPosBal>

*Presence:* [0..1]

*Definition:* Balance of financial instruments that remain registered in the name of the prior beneficial owner.

**StreetPositionBalance <StrtPosBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 3.4.8.2.5.12 TradeDatePositionBalance <TradDtPosBal>

*Presence:* [0..1]

*Definition:* Balance of securities based on trade date, for example, includes all pending transactions in addition to the balance of settled transactions.

**TradeDatePositionBalance <TradDtPosBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 3.4.8.2.5.13 InTransshipmentBalance <InTrnsShipmntBal>

*Presence:* [0..1]

*Definition:* Balance of physical securities that are in the process of being transferred from one depository/agent to another.

**InTransshipmentBalance <InTrnsShipmntBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 3.4.8.2.5.14 RegisteredBalance <RegdBal>

*Presence:* [0..1]

*Definition:* Balance of financial instruments that are registered (in the name of a nominee name or of the beneficial owner).

**RegisteredBalance <RegdBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 3.4.8.2.5.15 ObligatedBalance <OblgtdBal>

*Presence:* [0..1]

*Definition:* Position that account holders should return to the account servicer to participate in the event or to fulfil their obligation for the event to be complete, for example, return of securities for late announced drawing.

**ObligatedBalance <OblgtdBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 3.4.8.2.5.16 UninstructedBalance <UinstdBal>

*Presence:* [0..1]

*Definition:* Balance of uninstructed position.

**UninstructedBalance <UinstdBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 3.4.8.2.5.17 InstructedBalance <InstdBal>

*Presence:* [0..1]

*Definition:* Balance of instructed position.

**InstructedBalance <InstdBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 3.4.8.2.5.18 AffectedBalance <AfctdBal>

*Presence:* [0..1]

*Definition:* Balance that has been affected by the process run through the event.

**AffectedBalance <AfctdBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 3.4.8.2.5.19 UnaffectedBalance <UafctdBal>

*Presence:* [0..1]

*Definition:* Balance that has not been affected by the process run through the event.

**UnaffectedBalance <UafctdBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

### 3.4.9 IntermediateSecurity <IntrmdtScty>

*Presence:* [0..1]

*Definition:* Details on rights credited to the account as for example trading period, expiry date, renounceability.

**IntermediateSecurity <IntrmdtScty>** contains the following elements (see [FinancialInstrumentAttributes117](#) on page 914 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SecurityIdentification <SctyId>	[1..1]	±	C12, C13, C19, C20, C23	914
	Quantity <Qty>	[0..1]	Quantity		916
	RenounceableEntitlementStatusType <RnnclEntitlmtStsTp>	[0..1]	±		916
	FractionDisposition <FrctnDspstn>	[0..1]	±		916
	IntermediateSecuritiesToUnderlyingRatio <IntrmdtSctiesToUndrlygRatio>	[0..1]	±		917
	MarketPrice <MktPric>	[0..1]	±		917
	ExpiryDate <XpryDt>	[1..1]	±		917
	PostingDate <PstngDt>	[1..1]	±		917
	TradingPeriod <TradgPrd>	[0..1]	±		918
	UninstructedBalance <UinstdBal>	[0..1]	±		918
	InstructedBalance <InstdBal>	[0..1]	±		918

### 3.4.10 CorporateActionDetails <CorpActnDtls>

*Presence:* [0..1]

*Definition:* Information about the corporate action event.

*Impacted by:* [C27 DissenterRights1Rule](#), [C29 DissenterRights1UGRule](#), [C31 DissenterRights2Rule](#), [C33 DissenterRights2UGRule](#)

**CorporateActionDetails <CorpActnDtIs>** contains the following **CorporateAction79** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>DateDetails</b> <DtDtIs>	[0..1]		C37	97
	<b>AnnouncementDate</b> <AnncmntDt>	[0..1]	±		99
	<b>CertificationDeadline</b> <CertfctnDdln>	[0..1]	±		99
	<b>CourtApprovalDate</b> <CrtApprvlDt>	[0..1]	±		100
	<b>EarlyClosingDate</b> <EarlyClsgDt>	[0..1]	±		100
	<b>EffectiveDate</b> <FctvDt>	[0..1]	±		100
	<b>EqualisationDate</b> <EqulstnDt>	[0..1]	±		100
	<b>FurtherDetailedAnnouncementDate</b> <FrthrDtldAnncmntDt>	[0..1]	±		101
	<b>FixingDate</b> <FvgDt>	[0..1]	±		101
	<b>LotteryDate</b> <LtryDt>	[0..1]	±		101
	<b>NewMaturityDate</b> <NewMtrtyDt>	[0..1]	±		102
	<b>MeetingDate</b> <MtgDt>	[0..1]	±		102
	<b>MarginFixingDate</b> <MrgnFvgDt>	[0..1]	±		102
	<b>ProrationDate</b> <PrratnDt>	[0..1]	±		103
	<b>RecordDate</b> <RcrdDt>	[0..1]	±		103
	<b>RegistrationDeadline</b> <RegnDdln>	[0..1]	±		103
	<b>ResultsPublicationDate</b> <RsltsPblctnDt>	[0..1]	±		104
	<b>DeadlineToSplit</b> <DdlnToSpl>	[0..1]	±		104
	<b>DeadlineForTaxBreakdownInstruction</b> <DdlnForTaxBrkdwInstr>	[0..1]	±		104
	<b>TradingSuspendedDate</b> <TradgSspdDt>	[0..1]	±		105
	<b>UnconditionalDate</b> <UcondlDt>	[0..1]	±		105
	<b>WhollyUnconditionalDate</b> <WhlyUcondlDt>	[0..1]	±		105
	<b>ExDividendDate</b> <ExDvddDt>	[0..1]	±		106
	<b>OfficialAnnouncementPublicationDate</b> <OffclAnncmntPblctnDt>	[0..1]	±		106
	<b>SpecialExDate</b> <SpclExDt>	[0..1]	±		106
	<b>GuaranteedParticipationDate</b> <GrntedPrtpnDt>	[0..1]	±		107
	<b>ElectionToCounterpartyMarketDeadline</b> <ElctnToCtrPtyMktDdln>	[0..1]	±		107
	<b>ElectionToCounterpartyResponseDeadline</b> <ElctnToCtrPtyRspnDdln>	[0..1]	±		107
	<b>LapsedDate</b> <LpsdDt>	[0..1]	±		108

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>PaymentDate</b> <PmtDt>	[0..1]	±		108
	<b>ThirdPartyDeadline</b> <ThrdPtyDdln>	[0..1]	±		108
	<b>EarlyThirdPartyDeadline</b> <EarlyThrdPtyDdln>	[0..1]	±		109
	<b>MarketClaimTrackingEndDate</b> <MktClmTrckgEndDt>	[0..1]	±		109
	<b>LeadPlaintiffDeadline</b> <LeadPlntffDdln>	[0..1]	±		109
	<b>FilingDate</b> <FilgDt>	[0..1]	±		110
	<b>HearingDate</b> <HrgDt>	[0..1]	±		110
	<b>PeriodDetails</b> <PrdDtls>	[0..1]	±	C62	110
	<b>RateAndAmountDetails</b> <RateAndAmtDtls>	[0..1]		C19	111
	<b>InterestRate</b> <IntrstRate>	[0..1]	±		112
	<b>PercentageSought</b> <PctgSght>	[0..1]	±		112
	<b>RelatedIndex</b> <RltdIndx>	[0..1]	±		113
	<b>Spread</b> <Sprd>	[0..1]	±		113
	<b>BidInterval</b> <BidIntrvl>	[0..1]	±		113
	<b>PreviousFactor</b> <PrvsFctr>	[0..1]	±		114
	<b>NextFactor</b> <NxtFctr>	[0..1]	±		114
	<b>ReinvestmentDiscountRateToMarket</b> <RinvstmtDscntRateToMkt>	[0..1]	±		114
	<b>InterestShortfall</b> <IntrstShrtfl>	[0..1]	±		114
	<b>RealisedLoss</b> <RealsdLoss>	[0..1]	±		115
	<b>DeclaredRate</b> <DclrdRate>	[0..1]	±		115
	<b>IndexFactor</b> <IndxFctr>	[0..1]	±		115
	<b>PriceDetails</b> <PricDtls>	[0..1]			116
	<b>MaximumPrice</b> <MaxPric>	[0..1]	±		116
	<b>MinimumPrice</b> <MinPric>	[0..1]	±		116
	<b>FirstBidIncrementPrice</b> <FrstBidIncrmtPric>	[0..1]	±		117
	<b>LastBidIncrementPrice</b> <LastBidIncrmtPric>	[0..1]	±		117
	<b>SecuritiesQuantity</b> <SctiesQty>	[0..1]		C77	118
	<b>MaximumQuantity</b> <MaxQty>	[0..1]	±	C25	118
	<b>MinimumQuantitySought</b> <MinQtySght>	[0..1]	±	C25	119
	<b>NewBoardLotQuantity</b> <NewBrdLotQty>	[0..1]	±	C26	120
	<b>NewDenominationQuantity</b> <NewDnmtnQty>	[0..1]	±	C26	120

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>BaseDenomination</b> <BaseDnmtn>	[0..1]	±	C26	121
	<b>IncrementalDenomination</b> <IncrmtlDnmtn>	[0..1]	±	C26	121
	<b>InterestAccruedNumberOfDays</b> <IntrstAcrdNbOfDays>	[0..1]	Quantity	C90	122
	<b>CouponNumber</b> <CpnNb>	[0..*]	±		122
	<b>CertificationBreakdownIndicator</b> <CertfctnBrkdwnInd>	[0..1]	Indicator		122
	<b>ChargesAppliedIndicator</b> <ChrgsApldInd>	[0..1]	Indicator		122
	<b>RestrictionIndicator</b> <RstrctnInd>	[0..1]	Indicator		123
	<b>AccruedInterestIndicator</b> <AcrdIntrstInd>	[0..1]	Indicator		123
	<b>LetterOfGuaranteedDeliveryIndicator</b> <LtrOfGrntedDlvryInd>	[0..1]	Indicator		123
	<b>ShareholderRightsDirectiveIndicator</b> <ShrhldrRghtsDrctvInd>	[0..1]	Indicator		123
	<b>DividendType</b> <DvddTp>	[0..1]	±		123
	<b>EventSequenceType</b> <EvtSeqTp>	[0..1]	±		124
	<b>OccurrenceType</b> <OcrncTp>	[0..1]	±		124
	<b>OfferType</b> <OfferTp>	[0..*]	±		124
	<b>RenounceableEntitlementStatusType</b> <RnnchlEntitlmntStsTp>	[0..1]	±		124
	<b>EventStage</b> <EvtStag>	[0..*]	±		125
	<b>AdditionalBusinessProcessIndicator</b> <AddtlBizPrclnd>	[0..*]	±		125
	<b>ChangeType</b> <ChngTp>	[0..*]	±		125
	<b>IntermediateSecuritiesDistributionType</b> <IntrmdtSctiesDstrbtp>	[0..1]	±		126
	<b>CapitalGainInOutIndicator</b> <CptlGnlInOutInd>	[0..1]	±		126
	<b>TaxableIncomePerShareCalculated</b> <TaxblIncmPerShrClctd>	[0..1]	±		126
	<b>ElectionType</b> <ElctnTp>	[0..1]	±		126
	<b>LotteryType</b> <LtryTp>	[0..1]	±		127
	<b>CertificationType</b> <CertfctnTp>	[0..1]	±		127
	<b>ConsentType</b> <CnsntTp>	[0..1]	±		127
	<b>InformationType</b> <InfTp>	[0..1]	±		127
	<b>TaxOnNonDistributedProceedsIndicator</b> <TaxOnNonDstrbtdPrclsInd>	[0..*]	±		128
	<b>NewPlaceOfIncorporation</b> <NewPlcOfIncorprtn>	[0..1]	Text		128
	<b>AdditionalInformation</b> <AddtlInf>	[0..1]		C3	128

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Offeror</b> <Offerr>	[0..*]	±		129
	<b>NewCompanyName</b> <NewCpnyNm>	[0..1]	±		129
	<b>URLAddress</b> <URLAdr>	[0..*]	±		129
	<b>EventProcessingWebSiteAddress</b> <EvtPrcgWebSiteAdr>	[0..1]	Text		130

**Constraints**

- **DissenterRights1Rule**

(Rule)

If OfferType/Code value is equal to DISS (DissenterRights), then OfferType/Code value equal to NDIS (DissenterRightsNotApplicable) is not allowed in any occurrence of OfferType.

(MT 564 NVR C27)

On Condition

    /OfferType[\*]/Code is equal to value 'DissenterRights'

Following Must be True

    /OfferType[\*]/Code Must be different from value 'DissenterRightsNotApplicable'

*Error handling:*

- *Error severity:* Fatal

- *Error Code:* X00541

- *Error Text:* Invalid message contents for OfferType. Either code value DISS or NDISS is allowed, not both.

- **DissenterRights1UGRule**

(Rule)

If OfferType/Code value is equal to DISS (DissenterRights), then OfferType/Code value equal to NDIS (DissenterRightsNotApplicable) is not allowed in any occurrence of OfferType.

(MT 564 NVR C27)

if

    at least one occurrence of [OfferType/Code] has value included in the following list 'DISS'

    , then

        every occurrence of [OfferType/Code] must have value not included in the following list 'NDIS'

*Error handling:*

- *Error severity:* Fatal

- *Error Code:* X00593

- *Error Text:* Invalid message contents for OfferType. Either code value DISS or NDISS is allowed, not both.

- **DissenterRights2Rule**

(Rule)



If OfferType/Code value is equal to NDISS (DissenterRightsNotApplicable), then OfferType/Code value equal to DISS (DissenterRights) is not allowed in any occurrence of OfferType.

(MT 564 NVR C27)

On Condition

/OfferType[\*]/Code is equal to value 'DissenterRightsNotApplicable'

Following Must be True

/OfferType[\*]/Code Must be different from value 'DissenterRights'

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00562
- *Error Text:* Invalid message contents for OfferType. Either code value DISS or NDISS is allowed, not both.

- **DissenterRights2UGRule**

(Rule)

If OfferType/Code value is equal to NDIS (DissenterRightsNotApplicable), then OfferType/Code value equal to DISS (DissenterRights) is not allowed in any occurrence of OfferType.

(MT 564 NVR C27)

if

at least one occurrence of [OfferType/Code] has value included in the following list 'NDIS'

, then

every occurrence of [OfferType/Code] must have value not included in the following list 'DISS'

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00594
- *Error Text:* Invalid message contents for OfferType. Either code value DISS or NDISS is allowed, not both.

### 3.4.10.1 DateDetails <DtDtIs>

*Presence:* [0..1]

*Definition:* Provides information about the dates related to a corporate action event.

*Impacted by:* C37 EffectiveDateRule

**DateDetails <DtDtls>** contains the following **CorporateActionDate96** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AnnouncementDate</b> <AnncmntDt>	[0..1]	±		99
	<b>CertificationDeadline</b> <CertfctnDdlIn>	[0..1]	±		99
	<b>CourtApprovalDate</b> <CrtApprvlDt>	[0..1]	±		100
	<b>EarlyClosingDate</b> <EarlyClsgDt>	[0..1]	±		100
	<b>EffectiveDate</b> <FctvDt>	[0..1]	±		100
	<b>EqualisationDate</b> <EqulstnDt>	[0..1]	±		100
	<b>FurtherDetailedAnnouncementDate</b> <FrthrDtldAnncmntDt>	[0..1]	±		101
	<b>FixingDate</b> <FxdDt>	[0..1]	±		101
	<b>LotteryDate</b> <LtryDt>	[0..1]	±		101
	<b>NewMaturityDate</b> <NewMtrtyDt>	[0..1]	±		102
	<b>MeetingDate</b> <MtgDt>	[0..1]	±		102
	<b>MarginFixingDate</b> <MrgnFxdDt>	[0..1]	±		102
	<b>ProrationDate</b> <PrratnDt>	[0..1]	±		103
	<b>RecordDate</b> <RcrdDt>	[0..1]	±		103
	<b>RegistrationDeadline</b> <RegnDdlIn>	[0..1]	±		103
	<b>ResultsPublicationDate</b> <RsltsPblctnDt>	[0..1]	±		104
	<b>DeadlineToSplit</b> <DdlInToSpl>	[0..1]	±		104
	<b>DeadlineForTaxBreakdownInstruction</b> <DdlInForTaxBrkdwnInstr>	[0..1]	±		104
	<b>TradingSuspendedDate</b> <TradgSspdDt>	[0..1]	±		105
	<b>UnconditionalDate</b> <UcondlDt>	[0..1]	±		105
	<b>WhollyUnconditionalDate</b> <WhlyUcondlDt>	[0..1]	±		105
	<b>ExDividendDate</b> <ExDvddDt>	[0..1]	±		106
	<b>OfficialAnnouncementPublicationDate</b> <OffclAnncmntPblctnDt>	[0..1]	±		106
	<b>SpecialExDate</b> <SpclExDt>	[0..1]	±		106
	<b>GuaranteedParticipationDate</b> <GrntedPrtpctnDt>	[0..1]	±		107
	<b>ElectionToCounterpartyMarketDeadline</b> <ElctnToCtrPtyMktDdlIn>	[0..1]	±		107
	<b>ElectionToCounterpartyResponseDeadline</b> <ElctnToCtrPtyRspnDdlIn>	[0..1]	±		107
	<b>LapsedDate</b> <LpsdDt>	[0..1]	±		108
	<b>PaymentDate</b> <PmtDt>	[0..1]	±		108

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ThirdPartyDeadline</b> <ThrdPtyDdln>	[0..1]	±		108
	<b>EarlyThirdPartyDeadline</b> <EarlyThrdPtyDdln>	[0..1]	±		109
	<b>MarketClaimTrackingEndDate</b> <MktCImTrckgEndDt>	[0..1]	±		109
	<b>LeadPlaintiffDeadline</b> <LeadPlntffDdln>	[0..1]	±		109
	<b>FilingDate</b> <FilgDt>	[0..1]	±		110
	<b>HearingDate</b> <HrgDt>	[0..1]	±		110

#### Constraints

- **EffectiveDateRule**

(Rule)

Effective date is to be used in events where there is no concept of entitlement, for example Name Change (CHAN) or Place of Incorporation (PLAC), and in events where there is a sense of eligibility but with a legal obligation, for example Merger (MRGR).

#### 3.4.10.1.1 AnnouncementDate <AnncmntDt>

*Presence:* [0..1]

*Definition:* Date/time at which the issuer announced that a corporate action event will occur.

**AnnouncementDate <AnncmntDt>** contains one of the following elements (see [DateFormat49Choice](#) on page 885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		886
Or}	DateCode <DtCd>	[1..1]			886
{Or	Code <Cd>	[1..1]	CodeSet		886
Or}	Proprietary <Prtry>	[1..1]	±		886

#### 3.4.10.1.2 CertificationDeadline <CertfctnDdln>

*Presence:* [0..1]

*Definition:* Deadline by which the certification must be sent.

**CertificationDeadline <CertfctnDdln>** contains one of the following elements (see [DateFormat49Choice](#) on page 885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		886
Or}	DateCode <DtCd>	[1..1]			886
{Or	Code <Cd>	[1..1]	CodeSet		886
Or}	Proprietary <Prtry>	[1..1]	±		886

### 3.4.10.1.3 CourtApprovalDate <CrtApprvIDt>

*Presence:* [0..1]

*Definition:* Date upon which the court provided approval.

**CourtApprovalDate <CrtApprvIDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

### 3.4.10.1.4 EarlyClosingDate <EarlyClsgDt>

*Presence:* [0..1]

*Definition:* First possible early closing date of an offer if different from the expiry date.

**EarlyClosingDate <EarlyClsgDt>** contains one of the following elements (see [DateFormat49Choice](#) on page 885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		886
Or}	DateCode <DtCd>	[1..1]			886
{Or	Code <Cd>	[1..1]	CodeSet		886
Or}	Proprietary <Prtry>	[1..1]	±		886

### 3.4.10.1.5 EffectiveDate <FctvDt>

*Presence:* [0..1]

*Definition:* Date/time at which an event is officially effective from the issuer's perspective.

**EffectiveDate <FctvDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

### 3.4.10.1.6 EqualisationDate <EqualstnDt>

*Presence:* [0..1]

*Definition:* Date/time on which all or part of any holding bought in a unit trust is subject to being treated as capital rather than income. This is normally one day after the previous distribution's ex date.

**EqualisationDate <EquilstnDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

#### 3.4.10.1.7 FurtherDetailedAnnouncementDate <FrthrDtldAnncmntDt>

*Presence:* [0..1]

*Definition:* Date/time at which additional information on the event will be announced, for example, exchange ratio announcement date.

**FurtherDetailedAnnouncementDate <FrthrDtldAnncmntDt>** contains one of the following elements (see [DateFormat49Choice](#) on page 885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		886
Or}	DateCode <DtCd>	[1..1]			886
{Or	Code <Cd>	[1..1]	CodeSet		886
Or}	Proprietary <Prtry>	[1..1]	±		886

#### 3.4.10.1.8 FixingDate <FxdDt>

*Presence:* [0..1]

*Definition:* Date/time at which an index / rate / price / value will be determined.

**FixingDate <FxdDt>** contains one of the following elements (see [DateFormat49Choice](#) on page 885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		886
Or}	DateCode <DtCd>	[1..1]			886
{Or	Code <Cd>	[1..1]	CodeSet		886
Or}	Proprietary <Prtry>	[1..1]	±		886

#### 3.4.10.1.9 LotteryDate <LtryDt>

*Presence:* [0..1]

*Definition:* Date/time on which the lottery is run and applied to the holder's positions. This is also applicable to partial calls.

**LotteryDate <LtryDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

#### 3.4.10.1.10 NewMaturityDate <NewMtrtyDt>

*Presence:* [0..1]

*Definition:* Date/time to which the maturity date of an interest bearing security is extended.

**NewMaturityDate <NewMtrtyDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

#### 3.4.10.1.11 MeetingDate <MtgDt>

*Presence:* [0..1]

*Definition:* Date/time on which the bondholder's or shareholder's meeting will take place.

**MeetingDate <MtgDt>** contains one of the following elements (see [DateFormat49Choice](#) on page 885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		886
Or}	DateCode <DtCd>	[1..1]			886
{Or	Code <Cd>	[1..1]	CodeSet		886
Or}	Proprietary <Prtry>	[1..1]	±		886

#### 3.4.10.1.12 MarginFixingDate <MrgnFvgDt>

*Presence:* [0..1]

*Definition:* Date/time at which the margin rate will be determined.

**MarginFixingDate <MrgnFxdt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

### 3.4.10.1.13 ProrationDate <PrratnDt>

*Presence:* [0..1]

*Definition:* Date/time (and time) at which an issuer will determine the proration amount/quantity of an offer.

**ProrationDate <PrratnDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

### 3.4.10.1.14 RecordDate <RcrdDt>

*Presence:* [0..1]

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

**RecordDate <RcrdDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

### 3.4.10.1.15 RegistrationDeadline <RegnDdln>

*Presence:* [0..1]

*Definition:* Date/time on which instructions to register or registration details will be accepted.

**RegistrationDeadline <RegnDdln>** contains one of the following elements (see [DateFormat49Choice](#) on page 885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		886
Or}	DateCode <DtCd>	[1..1]			886
{Or	Code <Cd>	[1..1]	CodeSet		886
Or}	Proprietary <Prtry>	[1..1]	±		886

#### 3.4.10.1.16 ResultsPublicationDate <RsltsPblctnDt>

*Presence:* [0..1]

*Definition:* Date/time on which results are published, for example, results of an offer.

**ResultsPublicationDate <RsltsPblctnDt>** contains one of the following elements (see [DateFormat49Choice](#) on page 885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		886
Or}	DateCode <DtCd>	[1..1]			886
{Or	Code <Cd>	[1..1]	CodeSet		886
Or}	Proprietary <Prtry>	[1..1]	±		886

#### 3.4.10.1.17 DeadlineToSplit <DdlnToSpl>

*Presence:* [0..1]

*Definition:* Deadline by which instructions must be received to split securities, for example, of physical certificates.

**DeadlineToSplit <DdlnToSpl>** contains one of the following elements (see [DateFormat49Choice](#) on page 885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		886
Or}	DateCode <DtCd>	[1..1]			886
{Or	Code <Cd>	[1..1]	CodeSet		886
Or}	Proprietary <Prtry>	[1..1]	±		886

#### 3.4.10.1.18 DeadlineForTaxBreakdownInstruction <DdlnForTaxBrkdwnInstr>

*Presence:* [0..1]

*Definition:* Date/time on until which tax breakdown instructions will be accepted.



**DeadlineForTaxBreakdownInstruction <DdlnForTaxBrkdwnInstr>** contains one of the following elements (see [DateFormat49Choice](#) on page 885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		886
Or}	DateCode <DtCd>	[1..1]			886
{Or	Code <Cd>	[1..1]	CodeSet		886
Or}	Proprietary <Prtry>	[1..1]	±		886

### 3.4.10.1.19 TradingSuspendedDate <TradgSspdT>

*Presence:* [0..1]

*Definition:* Date/time at which trading of a security is suspended as the result of an event.

**TradingSuspendedDate <TradgSspdT>** contains one of the following elements (see [DateFormat49Choice](#) on page 885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		886
Or}	DateCode <DtCd>	[1..1]			886
{Or	Code <Cd>	[1..1]	CodeSet		886
Or}	Proprietary <Prtry>	[1..1]	±		886

### 3.4.10.1.20 UnconditionalDate <UcondIDt>

*Presence:* [0..1]

*Definition:* Date/time upon which the terms of the take-over become unconditional as to acceptances.

**UnconditionalDate <UcondIDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

### 3.4.10.1.21 WhollyUnconditionalDate <WhlyUcondIDt>

*Presence:* [0..1]

*Definition:* Date/time at on which all conditions, including regulatory, legal etc. pertaining to the take-over, have been met.

**WhollyUnconditionalDate <WhyUcondIDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

#### 3.4.10.1.22 ExDividendDate <ExDvddDt>

*Presence:* [0..1]

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

**ExDividendDate <ExDvddDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

#### 3.4.10.1.23 OfficialAnnouncementPublicationDate <OffclAnncmntPblctnDt>

*Presence:* [0..1]

*Definition:* Date/time at which the corporate action is legally announced by an official body, for example, publication by a governmental administration.

**OfficialAnnouncementPublicationDate <OffclAnncmntPblctnDt>** contains one of the following elements (see [DateFormat49Choice](#) on page 885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		886
Or}	DateCode <DtCd>	[1..1]			886
{Or	Code <Cd>	[1..1]	CodeSet		886
Or}	Proprietary <Prtry>	[1..1]	±		886

#### 3.4.10.1.24 SpecialExDate <SpclExDt>

*Presence:* [0..1]

*Definition:* Date/time from which 'special processing' can start to be used by participants for that event. Special processing is a means of marking a transaction, that would normally be traded ex or cum, as

being traded cum or ex respectively, for example, a transaction dealt 'special' after the ex date would result in the buyer being eligible for the entitlement. This is typically used in the UK and Irish markets.

**SpecialExDate <SpclExDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

#### 3.4.10.1.25 GuaranteedParticipationDate <GrntedPrtcptnDt>

*Presence:* [0..1]

*Definition:* Last date/time by which a buying counterparty to a trade can be sure that it will have the right to participate in an event.

**GuaranteedParticipationDate <GrntedPrtcptnDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

#### 3.4.10.1.26 ElectionToCounterpartyMarketDeadline <ElctnToCtrPtyMktDdlIn>

*Presence:* [0..1]

*Definition:* Deadline by which an entitled holder needs to advise their counterparty to a transaction of their election for a corporate action event, also known as Buyer Protection Deadline.

**ElectionToCounterpartyMarketDeadline <ElctnToCtrPtyMktDdlIn>** contains one of the following elements (see [DateFormat49Choice](#) on page 885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		886
Or}	DateCode <DtCd>	[1..1]			886
{Or	Code <Cd>	[1..1]	CodeSet		886
Or}	Proprietary <Prtry>	[1..1]	±		886

#### 3.4.10.1.27 ElectionToCounterpartyResponseDeadline <ElctnToCtrPtyRspnDdlIn>

*Presence:* [0..1]

*Definition:* Date/time the account servicer has set as the deadline to respond, with instructions, prior to the election to counterparty market deadline.

**ElectionToCounterpartyResponseDeadline <ElctnToCtrPtyRspnDdln>** contains one of the following elements (see [DateFormat49Choice](#) on page 885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		886
Or}	DateCode <DtCd>	[1..1]			886
{Or	Code <Cd>	[1..1]	CodeSet		886
Or}	Proprietary <Prtry>	[1..1]	±		886

### 3.4.10.1.28 LapsedDate <LpsdDt>

*Presence:* [0..1]

*Definition:* Date/time at which an event/offer is terminated or lapsed.

**LapsedDate <LpsdDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

### 3.4.10.1.29 PaymentDate <PmtDt>

*Presence:* [0..1]

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

**PaymentDate <PmtDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

### 3.4.10.1.30 ThirdPartyDeadline <ThrdPtyDdln>

*Presence:* [0..1]

*Definition:* Date/time by which the account owner must instruct directly another party, for example, to provide documentation to an issuer agent.

**ThirdPartyDeadline <ThrdPtyDdln>** contains one of the following elements (see [DateFormat49Choice](#) on page 885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		886
Or}	DateCode <DtCd>	[1..1]			886
{Or	Code <Cd>	[1..1]	CodeSet		886
Or}	Proprietary <Prtry>	[1..1]	±		886

### 3.4.10.1.31 EarlyThirdPartyDeadline <EarlyThrdPtyDdln>

*Presence:* [0..1]

*Definition:* Date/Time set by the issuer agent as a first early deadline by which the account owner must instruct directly another party, possibly giving the holder eligibility to incentives. For example, to provide documentation to an issuer agent.

**EarlyThirdPartyDeadline <EarlyThrdPtyDdln>** contains one of the following elements (see [DateFormat49Choice](#) on page 885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		886
Or}	DateCode <DtCd>	[1..1]			886
{Or	Code <Cd>	[1..1]	CodeSet		886
Or}	Proprietary <Prtry>	[1..1]	±		886

### 3.4.10.1.32 MarketClaimTrackingEndDate <MktCImTrckgEndDt>

*Presence:* [0..1]

*Definition:* Date by which the depository stops monitoring activities of the event, for instance, accounting and tracking activities for due bills end.

**MarketClaimTrackingEndDate <MktCImTrckgEndDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

### 3.4.10.1.33 LeadPlaintiffDeadline <LeadPlntffDdln>

*Presence:* [0..1]

*Definition:* Last day an investor can become a lead plaintiff.

**LeadPlaintiffDeadline <LeadPlntffDdln>** contains one of the following elements (see [DateFormat49Choice](#) on page 885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		886
Or}	DateCode <DtCd>	[1..1]			886
{Or	Code <Cd>	[1..1]	CodeSet		886
Or}	Proprietary <Prtry>	[1..1]	±		886

### 3.4.10.1.34 FilingDate <FilgDt>

*Presence:* [0..1]

*Definition:* Date on which the action was filed at the applicable court.

**FilingDate <FilgDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

### 3.4.10.1.35 HearingDate <HrgDt>

*Presence:* [0..1]

*Definition:* Date for the hearing between the plaintiff and defendant, as set by the court.

**HearingDate <HrgDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

### 3.4.10.2 PeriodDetails <PrdDtIs>

*Presence:* [0..1]

*Definition:* Provides information about the periods related to a corporate action event.

*Impacted by:* [C62 InterestPeriodRule](#)

**PeriodDetails <PrdDtls>** contains the following elements (see [CorporateActionPeriod15](#) on page 874 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceCalculationPeriod <PricClctnPrd>	[0..1]	±		874
	InterestPeriod <IntrstPrd>	[0..1]	±		875
	CompulsoryPurchasePeriod <CmplsrPurchsPrd>	[0..1]	±		875
	ClaimPeriod <ClnPrd>	[0..1]	±		875
	DepositorySuspensionPeriodForBookEntryTransfer <DpstrySspnsnPrdForBookNtryTrf>	[0..1]	±		876
	DepositorySuspensionPeriodForDepositAtAgent <DpstrySspnsnPrdForDpstAtAgt>	[0..1]	±		876
	DepositorySuspensionPeriodForDeposit <DpstrySspnsnPrdForDpst>	[0..1]	±		876
	DepositorySuspensionPeriodForPledge <DpstrySspnsnPrdForPldg>	[0..1]	±		876
	DepositorySuspensionPeriodForSegregation <DpstrySspnsnPrdForSgrtn>	[0..1]	±		877
	DepositorySuspensionPeriodForWithdrawalAtAgent <DpstrySspnsnPrdForWdrwlAtAgt>	[0..1]	±		877
	DepositorySuspensionPeriodForWithdrawalInNomineeName <DpstrySspnsnPrdForWdrwlInNmneeNm>	[0..1]	±		877
	DepositorySuspensionPeriodForWithdrawalInStreetName <DpstrySspnsnPrdForWdrwlInStrtNm>	[0..1]	±		878
	BookClosurePeriod <BookClsrPrd>	[0..1]	±		878
	CoDepositoriesSuspensionPeriod <CoDpstrisSspnsnPrd>	[0..1]	±		878
	SplitPeriod <SplPrd>	[0..1]	±		879

#### Constraints

- **InterestPeriodRule**

(Rule)

InterestPeriod must be used only if it is different from a normal accrued interest period.

### 3.4.10.3 RateAndAmountDetails <RateAndAmtDtls>

*Presence:* [0..1]

*Definition:* Provides information about rates and amounts related to a corporate action event.

*Impacted by:* [C19 DeclaredRateRule](#)

**RateAndAmountDetails <RateAndAmtDtls>** contains the following **CorporateActionRate110** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>InterestRate</b> <IntrstRate>	[0..1]	±		112
	<b>PercentageSought</b> <PctgSght>	[0..1]	±		112
	<b>RelatedIndex</b> <RltdIndx>	[0..1]	±		113
	<b>Spread</b> <Sprd>	[0..1]	±		113
	<b>BidInterval</b> <BidIntrvl>	[0..1]	±		113
	<b>PreviousFactor</b> <PrvsFctr>	[0..1]	±		114
	<b>NextFactor</b> <NxtFctr>	[0..1]	±		114
	<b>ReinvestmentDiscountRateToMarket</b> <RinvstmtDscntRateToMkt>	[0..1]	±		114
	<b>InterestShortfall</b> <IntrstShrtfll>	[0..1]	±		114
	<b>RealisedLoss</b> <RealsdLoss>	[0..1]	±		115
	<b>DeclaredRate</b> <DclrdRate>	[0..1]	±		115
	<b>IndexFactor</b> <IndxFctr>	[0..1]	±		115

#### Constraints

- **DeclaredRateRule**

(Rule)

DeclaredRate may only be used if the dividend or interest declared by the issuer is actually paid in a different currency than the declared one or if the dividend or the interest event makes it possible to elect amongst multiple currency options.

#### 3.4.10.3.1 InterestRate <IntrstRate>

*Presence:* [0..1]

*Definition:* Annualised interest rate of a financial instrument used to calculate the actual interest rate of the coupon or the accrued interest.

**InterestRate <IntrstRate>** contains one of the following elements (see [RateAndAmountFormat46Choice](#) on page 1209 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1209
Or	NotSpecifiedRate <NotSpcdfRate>	[1..1]	CodeSet		1209
Or}	Amount <Amt>	[1..1]	Amount	C1	1209

#### 3.4.10.3.2 PercentageSought <PctgSght>

*Presence:* [0..1]



*Definition:* Percentage of securities the offeror/issuer will purchase or redeem under the terms of the event.

**PercentageSought <PctgSght>** contains one of the following elements (see [RateFormat7Choice](#) on page 1212 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1212
Or}	NotSpecifiedRate <NotSpdfdRate>	[1..1]	CodeSet		1212

### 3.4.10.3.3 RelatedIndex <RltdIndx>

*Presence:* [0..1]

*Definition:* Index rate related to the interest rate of the forthcoming interest payment.

**RelatedIndex <RltdIndx>** contains one of the following elements (see [RateFormat3Choice](#) on page 1151 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1151
Or}	NotSpecifiedRate <NotSpdfdRate>	[1..1]	CodeSet		1151

### 3.4.10.3.4 Spread <Sprd>

*Presence:* [0..1]

*Definition:* Margin allowed over or under a given rate.

**Spread <Sprd>** contains one of the following elements (see [RateFormat3Choice](#) on page 1151 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1151
Or}	NotSpecifiedRate <NotSpdfdRate>	[1..1]	CodeSet		1151

### 3.4.10.3.5 BidInterval <BidIntrvl>

*Presence:* [0..1]

*Definition:* Acceptable price increment used for submitting a bid.

**BidInterval <BidIntrvl>** contains one of the following elements (see [RateAndAmountFormat50Choice](#) on page 1043 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1044
Or	NotSpecifiedRate <NotSpdfdRate>	[1..1]	CodeSet		1044
Or	Amount <Amt>	[1..1]	Amount	C1	1044
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		1044

### 3.4.10.3.6 PreviousFactor <PrvsFctr>

*Presence:* [0..1]

*Definition:* Factor used to calculate the value of the outstanding principal of the financial instrument (for factored securities) until the next redemption (factor) date.

**PreviousFactor <PrvsFctr>** contains one of the following elements (see [RateFormat12Choice](#) on page 1075 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1075
Or}	NotSpecifiedRate <NotSpcdfRate>	[1..1]	CodeSet		1075

### 3.4.10.3.7 NextFactor <NxtFctr>

*Presence:* [0..1]

*Definition:* Factor used to calculate the value of the outstanding principal of the financial instrument (for factored securities) that will applicable after the redemption (factor) date.

**NextFactor <NxtFctr>** contains one of the following elements (see [RateFormat12Choice](#) on page 1075 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1075
Or}	NotSpecifiedRate <NotSpcdfRate>	[1..1]	CodeSet		1075

### 3.4.10.3.8 ReinvestmentDiscountRateToMarket <RinvstmtDscntRateToMkt>

*Presence:* [0..1]

*Definition:* Rate of discount for securities purchased through a reinvestment scheme as compared to the current market price of security.

**ReinvestmentDiscountRateToMarket <RinvstmtDscntRateToMkt>** contains one of the following elements (see [RateFormat3Choice](#) on page 1151 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1151
Or}	NotSpecifiedRate <NotSpcdfRate>	[1..1]	CodeSet		1151

### 3.4.10.3.9 InterestShortfall <IntrstShrtfll>

*Presence:* [0..1]

*Definition:* For structured security issues where there is a set schedule of principal and interest payments for the life of the issue, this is the difference between the actual rate of the interest payment and the expected or scheduled rate of the interest payment.

**InterestShortfall <IntrstShrtfll>** contains one of the following elements (see [RateAndAmountFormat43Choice](#) on page 1208 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1208
Or}	Amount <Amt>	[1..1]	Amount	C1	1208

#### 3.4.10.3.10 RealisedLoss <RealsdLoss>

*Presence:* [0..1]

*Definition:* For structured security issues where there is a set schedule of principal and interest payments for the life of the issue, this is the difference between the actual rate of the capital or principal repayment and the scheduled capital repayment.

**RealisedLoss <RealsdLoss>** contains one of the following elements (see [RateAndAmountFormat43Choice](#) on page 1208 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1208
Or}	Amount <Amt>	[1..1]	Amount	C1	1208

#### 3.4.10.3.11 DeclaredRate <DclrdRate>

*Presence:* [0..1]

*Definition:* Dividend or interest rate declared by the issuer.

**DeclaredRate <DclrdRate>** contains one of the following elements (see [RateAndAmountFormat43Choice](#) on page 1208 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1208
Or}	Amount <Amt>	[1..1]	Amount	C1	1208

#### 3.4.10.3.12 IndexFactor <IndxFctr>

*Presence:* [0..1]

*Definition:* Public index rate applied to the amount paid to adjust it to inflation.

**IndexFactor <IndxFctr>** contains one of the following elements (see [RateAndAmountFormat37Choice](#) on page 1211 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1211
Or	NotSpecifiedRate <NotSpofdRate>	[1..1]	CodeSet		1211
Or}	Amount <Amt>	[1..1]	Amount	C1	1211

### 3.4.10.4 PriceDetails <PricDtls>

*Presence:* [0..1]

*Definition:* Provides information about the prices related to a corporate action event.

**PriceDetails <PricDtls>** contains the following **CorporateActionPrice80** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>MaximumPrice</b> <MaxPric>	[0..1]	±		116
	<b>MinimumPrice</b> <MinPric>	[0..1]	±		116
	<b>FirstBidIncrementPrice</b> <FrstBidIncrmtPric>	[0..1]	±		117
	<b>LastBidIncrementPrice</b> <LastBidIncrmtPric>	[0..1]	±		117

#### 3.4.10.4.1 MaximumPrice <MaxPric>

*Presence:* [0..1]

*Definition:* Maximum or cap price at which a holder can bid, for example, on a Dutch auction offer.

**MaximumPrice <MaxPric>** contains one of the following elements (see [PriceFormat59Choice](#) on page 1133 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1134
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1134
	PriceValue <PricVal>	[1..1]	Rate		1134
Or	AmountPrice <AmtPric>	[1..1]	±		1134
Or	NotSpecifiedPrice <NotSpdfdPric>	[1..1]	CodeSet		1135
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		1135

#### 3.4.10.4.2 MinimumPrice <MinPric>

*Presence:* [0..1]

*Definition:* Minimum or floor price at which a holder can bid, for example, on a Dutch auction offer.

**MinimumPrice <MinPric>** contains one of the following elements (see [PriceFormat59Choice](#) on page 1133 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1134
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1134
	PriceValue <PricVal>	[1..1]	Rate		1134
Or	AmountPrice <AmtPric>	[1..1]	±		1134
Or	NotSpecifiedPrice <NotSpdfdPric>	[1..1]	CodeSet		1135
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		1135

#### 3.4.10.4.3 FirstBidIncrementPrice <FrstBidIncrmtPric>

*Presence:* [0..1]

*Definition:* First acceptable price after the Minimum Price at which a holder can bid, for example on a Dutch auction offer.

**FirstBidIncrementPrice <FrstBidIncrmtPric>** contains one of the following elements (see [PriceFormat59Choice](#) on page 1133 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1134
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1134
	PriceValue <PricVal>	[1..1]	Rate		1134
Or	AmountPrice <AmtPric>	[1..1]	±		1134
Or	NotSpecifiedPrice <NotSpdfdPric>	[1..1]	CodeSet		1135
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		1135

#### 3.4.10.4.4 LastBidIncrementPrice <LastBidIncrmtPric>

*Presence:* [0..1]

*Definition:* Last acceptable price before the Maximum Price at which a holder can bid, for example on a Dutch auction offer.

**LastBidIncrementPrice <LastBidIncrmtPric>** contains one of the following elements (see [PriceFormat59Choice](#) on page 1133 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1134
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1134
	PriceValue <PricVal>	[1..1]	Rate		1134
Or	AmountPrice <AmtPric>	[1..1]	±		1134
Or	NotSpecifiedPrice <NotSpdfdPric>	[1..1]	CodeSet		1135
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		1135

### 3.4.10.5 SecuritiesQuantity <SctiesQty>

*Presence:* [0..1]

*Definition:* Provides information about securities quantity linked to a corporate action.

*Impacted by:* [C77 MaximumAndMinimumQuantitySoughtUsageRule](#)

**SecuritiesQuantity <SctiesQty>** contains the following **CorporateActionQuantity14** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>MaximumQuantity</b> <MaxQty>	[0..1]	±	C25	118
	<b>MinimumQuantitySought</b> <MinQtySght>	[0..1]	±	C25	119
	<b>NewBoardLotQuantity</b> <NewBrdLotQty>	[0..1]	±	C26	120
	<b>NewDenominationQuantity</b> <NewDnmtnQty>	[0..1]	±	C26	120
	<b>BaseDenomination</b> <BaseDnmtn>	[0..1]	±	C26	121
	<b>IncrementalDenomination</b> <IncrmtlDnmtn>	[0..1]	±	C26	121

#### Constraints

- **MaximumAndMinimumQuantitySoughtUsageRule**

(Rule)

When MaximumQuantity is present, MinimumQuantitySought must be present too. When MinimumQuantitySought is present, MaximumQuantity must be present too.

When MinimumQuantitySought/Code is AnyAndAll, then MaximumQuantity/Code must not be AnyAndAll.

When MaximumQuantity/Code is AnyAndAll, MinimumQuantitySought/code must not be used with the value AnyAndAll.

#### 3.4.10.5.1 MaximumQuantity <MaxQty>

*Presence:* [0..1]

*Definition:* The maximum number of securities the offeror/issuer is ready to purchase or redeem. This can be a number or the term "any and all".

*Impacted by:* [C25 DigitalTokenUnitUsageRule](#)

**MaximumQuantity <MaxQty>** contains one of the following elements (see [FinancialInstrumentQuantity44Choice](#) on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1148
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1148
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1148
Or	Code <Cd>	[1..1]	CodeSet		1149
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1149

**Constraints**

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

**3.4.10.5.2 MinimumQuantitySought <MinQtySght>**

*Presence:* [0..1]

*Definition:* Minimum quantity of securities the offeror/issuer is ready to purchase or redeem under the terms of the event. This can be a number or the term "any and all".

*Impacted by:* [C25 DigitalTokenUnitUsageRule](#)

**MinimumQuantitySought <MinQtySght>** contains one of the following elements (see [FinancialInstrumentQuantity44Choice](#) on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1148
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1148
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1148
Or	Code <Cd>	[1..1]	CodeSet		1149
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1149

**Constraints**

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

### 3.4.10.5.3 NewBoardLotQuantity <NewBrdLotQty>

*Presence:* [0..1]

*Definition:* Quantity of equity that makes up the new board lot.

*Impacted by:* [C26 DigitalTokenUnitUsageRule](#)

**NewBoardLotQuantity <NewBrdLotQty>** contains one of the following elements (see [FinancialInstrumentQuantity43Choice](#) on page 1149 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1149
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1149
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1150
Or	Code <Cd>	[1..1]	CodeSet		1150
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1150

#### Constraints

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

### 3.4.10.5.4 NewDenominationQuantity <NewDnmtnQty>

*Presence:* [0..1]

*Definition:* New denomination of the equity following, for example, an increase or decrease in nominal value.

*Impacted by:* [C26 DigitalTokenUnitUsageRule](#)

**NewDenominationQuantity <NewDnmtnQty>** contains one of the following elements (see [FinancialInstrumentQuantity43Choice](#) on page 1149 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1149
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1149
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1150
Or	Code <Cd>	[1..1]	CodeSet		1150
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1150

#### Constraints

- **DigitalTokenUnitUsageRule**

(Rule)



DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

### 3.4.10.5.5 BaseDenomination <BaseDnmtn>

*Presence:* [0..1]

*Definition:* Minimum integral amount of securities that each account owner must have remaining after the called amounts are applied.

*Impacted by:* [C26 DigitalTokenUnitUsageRule](#)

**BaseDenomination <BaseDnmtn>** contains one of the following elements (see [FinancialInstrumentQuantity43Choice](#) on page 1149 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1149
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1149
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1150
Or	Code <Cd>	[1..1]	CodeSet		1150
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1150

#### Constraints

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

### 3.4.10.5.6 IncrementalDenomination <IncrmtlDnmtn>

*Presence:* [0..1]

*Definition:* Amount used when the called amount is not met by running the lottery with the base denomination.

*Impacted by:* [C26 DigitalTokenUnitUsageRule](#)

**IncrementalDenomination <IncrmtlDnmtn>** contains one of the following elements (see [FinancialInstrumentQuantity43Choice](#) on page 1149 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1149
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1149
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1150
Or	Code <Cd>	[1..1]	CodeSet		1150
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1150

**Constraints**

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

**3.4.10.6 InterestAccruedNumberOfDays <IntrstAcrdNbOfDays>**

*Presence:* [0..1]

*Definition:* Number of days used for calculating the accrued interest amount.

*Impacted by:* [C90 NumberRule](#)

*Datatype:* [Max3Number on page 1346](#)

**Constraints**

- **NumberRule**

(Rule)

If Number is negative, then Sign must be present.

**3.4.10.7 CouponNumber <CpnNb>**

*Presence:* [0..\*]

*Definition:* Number of the coupon attached/associated with a security.

**CouponNumber <CpnNb>** contains one of the following elements (see [IdentificationFormat4Choice on page 1062](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ShortIdentification <ShrtId>	[1..1]	Text		1063
Or	LongIdentification <LngId>	[1..1]	Text		1063
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1063

**3.4.10.8 CertificationBreakdownIndicator <CertfctnBrkdwnInd>**

*Presence:* [0..1]

*Definition:* Indicates whether certification/breakdown is required.

Yes = certification required.

No = no certification required.

*Datatype:* One of the following values must be used (see [YesNoIndicator on page 1345](#)):

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

**3.4.10.9 ChargesAppliedIndicator <ChrgsApplInd>**

*Presence:* [0..1]

*Definition:* Indicates whether charges apply to the holder, for instance redemption charges.

*Datatype:* One of the following values must be used (see [YesNoIndicator](#) on page 1345):

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

#### **3.4.10.10 RestrictionIndicator <RstrctnInd>**

*Presence:* [0..1]

*Definition:* Indicates whether restrictions apply to the corporate action event or not.

*Datatype:* One of the following values must be used (see [YesNoIndicator](#) on page 1345):

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

#### **3.4.10.11 AccruedInterestIndicator <AcrdIntrstInd>**

*Presence:* [0..1]

*Definition:* Indicates whether the holder is entitled to accrued interest.

*Datatype:* One of the following values must be used (see [YesNoIndicator](#) on page 1345):

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

#### **3.4.10.12 LetterOfGuaranteedDeliveryIndicator <LtrOfGrntedDlvryInd>**

*Presence:* [0..1]

*Definition:* Indicates whether a letter of guaranteed delivery can be submitted in order to participate in the offer on full eligible position. It is not intended for use in situations arising from failed or late trades.

*Datatype:* One of the following values must be used (see [YesNoIndicator](#) on page 1345):

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

#### **3.4.10.13 ShareholderRightsDirectiveIndicator <ShrhldrRghtsDrctvInd>**

*Presence:* [0..1]

*Definition:* Indicates whether the announcement was initiated by the first intermediary in the custody chain in accordance with SRD II.

*Datatype:* One of the following values must be used (see [YesNoIndicator](#) on page 1345):

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

#### **3.4.10.14 DividendType <DvddTp>**

*Presence:* [0..1]

*Definition:* Specifies the conditions in which a dividend is paid.

**DividendType <DvddTp>** contains one of the following elements (see [DividendTypeFormat10Choice](#) on page 1062 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1062
Or}	Proprietary <Prtry>	[1..1]	±		1062

### 3.4.10.15 EventSequenceType <EvtSeqTp>

*Presence:* [0..1]

*Definition:* Specifies whether the event is an interim or a final event in a series of predefined or planned events of the same type and for the same underlying instrument.

**EventSequenceType <EvtSeqTp>** contains one of the following elements (see [EventSequenceTypeFormat2Choice](#) on page 1017 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1017
Or}	Proprietary <Prtry>	[1..1]	±		1017

### 3.4.10.16 OccurrenceType <OcrncTp>

*Presence:* [0..1]

*Definition:* Specifies the conditions in which the instructions and/or payment of the proceeds occurs.

**OccurrenceType <OcrncTp>** contains one of the following elements (see [DistributionTypeFormat8Choice](#) on page 1061 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1061
Or}	Proprietary <Prtry>	[1..1]	±		1061

### 3.4.10.17 OfferType <OfferTp>

*Presence:* [0..\*]

*Definition:* Specifies the conditions that apply to the offer.

**OfferType <OfferTp>** contains one of the following elements (see [OfferTypeFormat13Choice](#) on page 957 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		958
Or}	Proprietary <Prtry>	[1..1]	±		958

### 3.4.10.18 RenounceableEntitlementStatusType <RnncblEntitlmntStsTp>

*Presence:* [0..1]

*Definition:* Specifies whether terms of the event allow resale of the rights.

**RenounceableEntitlementStatusType <RnncblEntitlmtStsTp>** contains one of the following elements (see [RenounceableEntitlementStatusTypeFormat4Choice](#) on page 1064 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1064
Or}	Proprietary <Prtry>	[1..1]	±		1065

### 3.4.10.19 EventStage <EvtStag>

*Presence:* [0..\*]

*Definition:* Stage in the corporate action event life cycle.

**EventStage <EvtStag>** contains one of the following elements (see [CorporateActionEventStageFormat20Choice](#) on page 1059 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1060
Or}	Proprietary <Prtry>	[1..1]	±		1060

### 3.4.10.20 AdditionalBusinessProcessIndicator <AddtlBizPrclnd>

*Presence:* [0..\*]

*Definition:* Specifies the type of the additional business process linked to the corporate action event such as a claim compensation or tax refund.

**AdditionalBusinessProcessIndicator <AddtlBizPrclnd>** contains one of the following elements (see [AdditionalBusinessProcessFormat22Choice](#) on page 956 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		956
Or}	Proprietary <Prtry>	[1..1]	±		957

### 3.4.10.21 ChangeType <ChngTp>

*Presence:* [0..\*]

*Definition:* Specifies the type of change announced.

**ChangeType <ChngTp>** contains one of the following elements (see [CorporateActionChangeTypeFormat8Choice](#) on page 1058 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1059
Or}	Proprietary <Prtry>	[1..1]	±		1059

### 3.4.10.22 IntermediateSecuritiesDistributionType <IntrmdtSciesDstrbtp>

*Presence:* [0..1]

*Definition:* Type of intermediates securities distribution.

**IntermediateSecuritiesDistributionType <IntrmdtSciesDstrbtp>** contains one of the following elements (see [IntermediateSecuritiesDistributionTypeFormat18Choice](#) on page 1057 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1057
Or}	Proprietary <Prtry>	[1..1]	±		1058

### 3.4.10.23 CapitalGainInOutIndicator <CptlGnlInOutInd>

*Presence:* [0..1]

*Definition:* Specifies whether the capital gain is in the scope of the EU Savings directive for the income realised upon the sale, refund or redemption of shares and units (.) (Article 6(1d)).

**CapitalGainInOutIndicator <CptlGnlInOutInd>** contains one of the following elements (see [CapitalGainFormat4Choice](#) on page 1056 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1056
Or}	Proprietary <Prtry>	[1..1]	±		1057

### 3.4.10.24 TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>

*Presence:* [0..1]

*Definition:* Specifies whether the financial instrument calculates the taxable income per dividend/taxable income per share.

**TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>** contains one of the following elements (see [TaxableIncomePerShareCalculatedFormat4Choice](#) on page 1055 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1055
Or}	Proprietary <Prtry>	[1..1]	±		1056

### 3.4.10.25 ElectionType <ElctnTp>

*Presence:* [0..1]

*Definition:* Specifies the effect on the holdings of electing a corporate action option.

**ElectionType <ElctnTp>** contains one of the following elements (see [ElectionTypeFormat4Choice](#) on page 1054 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1055
Or}	Proprietary <Prtry>	[1..1]	±		1055

### 3.4.10.26 LotteryType <LtryTp>

*Presence:* [0..1]

*Definition:* Specifies the type of lottery announced.

**LotteryType <LtryTp>** contains one of the following elements (see [LotteryTypeFormat5Choice](#) on page 1054 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1054
Or}	Proprietary <Prtry>	[1..1]	±		1054

### 3.4.10.27 CertificationType <CertfctnTp>

*Presence:* [0..1]

*Definition:* Specifies the certification format required, this is, physical or electronic format.

**CertificationType <CertfctnTp>** contains one of the following elements (see [CertificationTypeFormat4Choice](#) on page 1053 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1053
Or}	Proprietary <Prtry>	[1..1]	±		1053

### 3.4.10.28 ConsentType <CnsntTp>

*Presence:* [0..1]

*Definition:* Specifies the type of consent announced.

**ConsentType <CnsntTp>** contains one of the following elements (see [ConsentTypeFormat5Choice](#) on page 1052 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1052
Or}	Proprietary <Prtry>	[1..1]	±		1053

### 3.4.10.29 InformationType <InfTp>

*Presence:* [0..1]

*Definition:* Specifies the type of information event.

**InformationType <InfTp>** contains one of the following elements (see [InformationTypeFormat5Choice](#) on page 1052 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1052
Or}	Proprietary <Prtry>	[1..1]	±		1052

### 3.4.10.30 TaxOnNonDistributedProceedsIndicator <TaxOnNonDstrbtdPrcdsInd>

*Presence:* [0..\*]

*Definition:* Specifies the tax regulation being attributed to the non-distributed proceeds event or to any other event.

**TaxOnNonDistributedProceedsIndicator <TaxOnNonDstrbtdPrcdsInd>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 3.4.10.31 NewPlaceOfIncorporation <NewPlcOfIncorprtn>

*Presence:* [0..1]

*Definition:* New company's place of incorporation.

*Datatype:* [RestrictedFINXMax350Text](#) on page 1354

### 3.4.10.32 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Provides additional information. This field may only be used when the information to be transmitted, cannot be coded.

*Impacted by:* [C3 AdditionalInformationRule](#)

**AdditionalInformation <AddtlInf>** contains the following [CorporateActionNarrative54](#) elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Offeror</b> <Offerr>	[0..*]	±		129
	<b>NewCompanyName</b> <NewCpnyNm>	[0..1]	±		129
	<b>URLAddress</b> <URLAdr>	[0..*]	±		129
	<b>EventProcessingWebSiteAddress</b> <EvtPrcgWebSiteAdr>	[0..1]	Text		130



**Constraints**

- **AdditionalInformationRule**

(Rule)

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

**3.4.10.32.1 Offeror <Offerr>**

*Presence:* [0..\*]

*Definition:* Provides the entity making the offer and is different from the issuing company.

**Offeror <Offerr>** contains the following elements (see [UpdatedAdditionalInformation6](#) on page 1075 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UpdateDescription <UpdDesc>	[0..1]	Text		1076
	UpdateDate <UpdDt>	[0..1]	Date		1076
	AdditionalInformation <AddtlInf>	[1..1]	Text		1076

**3.4.10.32.2 NewCompanyName <NewCpnyNm>**

*Presence:* [0..1]

*Definition:* Provides the new name of a company following a name change.

**NewCompanyName <NewCpnyNm>** contains the following elements (see [UpdatedAdditionalInformation6](#) on page 1075 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UpdateDescription <UpdDesc>	[0..1]	Text		1076
	UpdateDate <UpdDt>	[0..1]	Date		1076
	AdditionalInformation <AddtlInf>	[1..1]	Text		1076

**3.4.10.32.3 URLAddress <URLAdr>**

*Presence:* [0..\*]

*Definition:* Provides the web address published for the event, that is, the address for the Universal Resource Locator (URL), for example, used over the www (HTTP) service.

**URLAddress <URLAdr>** contains the following elements (see [UpdatedURLInformation5](#) on page 978 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Language <Lang>	[1..1]	CodeSet		978
	UpdateDescription <UpdDesc>	[0..1]	Text		978
	UpdateDate <UpdDt>	[0..1]	Date		978
	URLAddress <URLAdr>	[1..1]	Text		978

#### 3.4.10.32.4 EventProcessingWebSiteAddress <EvtPrcgWebSiteAdr>

*Presence:* [0..1]

*Definition:* Provides web address of an account servicer (or of a service provider) that contains information solely intended for the immediate account holder to enable or facilitate event processing between parties.

*Datatype:* [RestrictedFINZMax2048Text](#) on page 1354

### 3.4.11 CorporateActionOptionDetails <CorpActnOptnDtls>

*Presence:* [0..\*]

*Definition:* Information about the corporate action option.

*Impacted by:* [C7 AdditionalTextRule](#) \_\_, [C11 AppliedOptionRule](#), [C28 DissenterRights1Rule](#) \_\_, [C30 DissenterRights1UGRule](#) \_\_, [C32 DissenterRights2Rule](#) \_\_, [C34 DissenterRights2UGRule](#) \_\_, [C60 InstructCashAmountRule](#) \_\_, [C93 OptionTypeUnknownProceedsUsageRule](#), [C101 RevocabilityPeriodRule](#), [C92 OptionNumberGuideline](#)

**CorporateActionOptionDetails <CorpActnOptnDtls>** contains the following  
**CorporateActionOption216** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OptionNumber</b> <OptnNb>	[1..1]	Text		142
	<b>OptionType</b> <OptnTp>	[1..1]	±		142
	<b>FractionDisposition</b> <FrctnDspstn>	[0..1]	±		142
	<b>OfferType</b> <OfferTp>	[0..*]	±		142
	<b>OptionFeatures</b> <OptnFeatrs>	[0..*]	±		143
	<b>OptionAvailabilityStatus</b> <OptnAvlbtySts>	[0..1]	±		143
	<b>CertificationBreakdownType</b> <CertfctnBrkdwnTp>	[0..*]	±		143
	<b>BidRangeType</b> <BidRgTp>	[0..1]	±		143
	<b>NonDomicileCountry</b> <NonDmclCtry>	[0..*]	CodeSet	C16	144
	<b>ValidDomicileCountry</b> <VldDmclCtry>	[0..*]	CodeSet	C16	144
	<b>CurrencyOption</b> <CcyOptn>	[0..1]	CodeSet	C1	145
	<b>DefaultProcessingOrStandingInstruction</b> <DfltPrcgOrStgInstr>	[1..1]	±		145
	<b>ChargesAppliedIndicator</b> <ChrgsApldInd>	[0..1]	Indicator		145
	<b>CertificationBreakdownIndicator</b> <CertfctnBrkdwnInd>	[0..1]	Indicator		145
	<b>WithdrawalAllowedIndicator</b> <WdrwlAllwdInd>	[0..1]	Indicator		146
	<b>ChangeAllowedIndicator</b> <ChngAllwdInd>	[0..1]	Indicator		146
	<b>AppliedOptionIndicator</b> <ApldOptnInd>	[0..1]	Indicator		146
	<b>FinancialInstrumentIdentification</b> <FinInstrmId>	[0..1]	±	C22, C23, C66, C67, C95	146
	<b>DateDetails</b> <DtDtls>	[0..1]			148
	<b>EarlyResponseDeadline</b> <EarlyRspnDdln>	[0..1]	±		149
	<b>CoverExpirationDeadline</b> <CoverXprtnDdln>	[0..1]	±		149
	<b>ProtectDeadline</b> <PrctDdln>	[0..1]	±		149
	<b>MarketDeadline</b> <MktDdln>	[0..1]	±		150
	<b>ResponseDeadline</b> <RspnDdln>	[0..1]	±		150
	<b>ExpiryDate</b> <XpryDt>	[0..1]	±		150
	<b>SubscriptionCostDebitDate</b> <SbcptCostDbtDt>	[0..1]	±		151
	<b>DepositoryCoverExpirationDate</b> <DpstryCoverXprtnDt>	[0..1]	±		151

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>StockLendingDeadline</b> <StockLndgDdln>	[0..1]	±		151
	<b>BorrowerStockLendingDeadline</b> <BrrwrStockLndgDdln>	[0..*]			152
	<b>StockLendingDeadline</b> <StockLndgDdln>	[1..1]	±		152
	<b>Borrower</b> <Brrwr>	[1..1]	±		152
	<b>EndOfSecuritiesBlockingPeriod</b> <EndOfScitiesBlckgPrd>	[0..1]	±		153
	<b>PeriodDetails</b> <PrdDtls>	[0..1]			153
	<b>PriceCalculationPeriod</b> <PricClctnPrd>	[0..1]	±		153
	<b>ParallelTradingPeriod</b> <ParllTradgPrd>	[0..1]	±		154
	<b>ActionPeriod</b> <ActnPrd>	[0..1]	±		154
	<b>RevocabilityPeriod</b> <RvcbltyPrd>	[0..1]	±		154
	<b>PrivilegeSuspensionPeriod</b> <PrvlgspsnsnPrd>	[0..1]	±		154
	<b>AccountServicerRevocabilityPeriod</b> <AcctSvcrRvcbltyPrd>	[0..1]	±		155
	<b>DepositorySuspensionPeriodForWithdrawal</b> <DpstrySspnsnPrdForWdrwl>	[0..1]	±		155
	<b>RateAndAmountDetails</b> <RateAndAmtDtls>	[0..1]		C48, C50, C83, C85, C108, C110, C112, C117, C119	155
	<b>AdditionalTax</b> <AddtlTax>	[0..1]	±		158
	<b>GrossDividendRate</b> <GrssDvddRate>	[0..*]	±		158
	<b>NetDividendRate</b> <NetDvddRate>	[0..*]	±		159
	<b>InterestRateUsedForPayment</b> <IntrstRateUsdForPmt>	[0..*]	±		160
	<b>MaximumAllowedOversubscriptionRate</b> <MaxAllwdOvrscptRate>	[0..1]	±		161
	<b>ProrationRate</b> <PrratnRate>	[0..1]	±		161
	<b>WithholdingTaxRate</b> <WhldgTaxRate>	[0..*]	±		162
	<b>SecondLevelTax</b> <ScndLvITax>	[0..*]	±		162
	<b>TaxableIncomePerDividendShare</b> <TaxblIncmPerDvddShr>	[0..*]	±		162
	<b>IssuerDeclaredExchangeRate</b> <IssrDclrdXchgRate>	[0..1]	±		163
	<b>TaxOnIncome</b> <TaxOnIncm>	[0..1]	±		163

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>BidInterval</b> <BidIntrvl>	[0..1]	±		163
	<b>PriceDetails</b> <PricDtls>	[0..1]			164
	<b>CashInLieuOfSharePrice</b> <CshInLieuOfShrPric>	[0..1]	±		164
	<b>OverSubscriptionDepositPrice</b> <OverSbcptDpstPric>	[0..1]	±		165
	<b>MaximumCashToInstruct</b> <MaxCshToInst>	[0..1]	±		165
	<b>MinimumCashToInstruct</b> <MinCshToInst>	[0..1]	±		165
	<b>MinimumMultipleCashToInstruct</b> <MinMltplCshToInst>	[0..1]	±		166
	<b>MaximumPrice</b> <MaxPric>	[0..1]	±		166
	<b>MinimumPrice</b> <MinPric>	[0..1]	±		166
	<b>FirstBidIncrementPrice</b> <FrstBidIncrmtPric>	[0..1]	±		167
	<b>LastBidIncrementPrice</b> <LastBidIncrmtPric>	[0..1]	±		167
	<b>SecuritiesQuantity</b> <SctiesQty>	[0..1]			168
	<b>MaximumQuantityToInstruct</b> <MaxQtyToInst>	[0..1]	±	C25	168
	<b>MinimumQuantityToInstruct</b> <MinQtyToInst>	[0..1]	±	C25	169
	<b>MinimumMultipleQuantityToInstruct</b> <MinMltplQtyToInst>	[0..1]	±	C26	169
	<b>NewBoardLotQuantity</b> <NewBrdLotQty>	[0..1]	±	C26	170
	<b>NewDenominationQuantity</b> <NewDnmtnQty>	[0..1]	±	C26	170
	<b>FrontEndOddLotQuantity</b> <FrntEndOddLotQty>	[0..1]	±	C26	171
	<b>BackEndOddLotQuantity</b> <BckEndOddLotQty>	[0..1]	±	C26	171
	<b>SecuritiesMovementDetails</b> <SctiesMvmntDtls>	[0..*]		C39, C55, C57, C69	172
	<b>SecurityDetails</b> <SctyDtls>	[1..1]	±	C76, C98	175
	<b>CreditDebitIndicator</b> <CdtDbtInd>	[1..1]	CodeSet		177
	<b>TemporaryFinancialInstrumentIndicator</b> <TempFinInstrmInd>	[0..1]	±		177
	<b>NonEligibleProceedsIndicator</b> <NonElgblPrclsInd>	[0..1]	±		177
	<b>IssuerOfferorTaxabilityIndicator</b> <IssrOfferrTaxbltyInd>	[0..1]	±		177
	<b>NewSecuritiesIssuanceIndicator</b> <NewSctiesIssnclnd>	[0..1]	CodeSet		178
	<b>IncomeType</b> <IncmTp>	[0..1]	±		178
	<b>OtherIncomeType</b> <OthrIncmTp>	[0..*]	±		179

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ExemptionType</b> <XmptnTp>	[0..*]	±		179
	<b>EntitledQuantity</b> <EntitldQty>	[0..1]	±		179
	<b>SafekeepingPlace</b> <SfkpgPlc>	[0..1]	±		180
	<b>CountryOfIncomeSource</b> <CtryOfIncmSrc>	[0..1]	CodeSet	C16	180
	<b>FractionDisposition</b> <FrctnDspstn>	[0..1]	±		180
	<b>CurrencyOption</b> <CcyOptn>	[0..1]	CodeSet	C1	181
	<b>TradingPeriod</b> <TradgPrd>	[0..1]	±		181
	<b>DateDetails</b> <DtDtls>	[1..1]			181
	<b>PaymentDate</b> <PmtDt>	[1..1]	±		182
	<b>AvailableDate</b> <AvlbdDt>	[0..1]	±		182
	<b>DividendRankingDate</b> <DvddRnkgDt>	[0..1]	±		182
	<b>EarliestPaymentDate</b> <EarlstPmtDt>	[0..1]	±		183
	<b>PariPassuDate</b> <PrpssDt>	[0..1]	±		183
	<b>LastTradingDate</b> <LastTradgDt>	[0..1]	±		183
	<b>RateDetails</b> <RateDtls>	[0..1]			184
	<b>AdditionalQuantityForSubscribedResultantSecurities</b> <AddtlQtyForSbcbrRslntScies>	[0..1]	±		184
	<b>AdditionalQuantityForExistingSecurities</b> <AddtlQtyForExstgScies>	[0..1]	±		185
	<b>NewToOld</b> <NewToOd>	[0..1]	±		185
	<b>TransformationRate</b> <TrfrmtnRate>	[0..1]	Rate		186
	<b>ChargesFees</b> <ChrgsFees>	[0..1]	±		186
	<b>FiscalStamp</b> <FscIStmp>	[0..1]	±		186
	<b>ApplicableRate</b> <AplblRate>	[0..1]	±		187
	<b>TaxCreditRate</b> <TaxCdtRate>	[0..1]	±		187
	<b>FinancialTransactionTaxRate</b> <FinTxTaxRate>	[0..1]	±		187
	<b>WithholdingTaxRate</b> <WhldgTaxRate>	[0..*]	±		187
	<b>SecondLevelTax</b> <ScndLvlTax>	[0..*]	±		188
	<b>PriceDetails</b> <PricDtls>	[0..1]		C45	188
	<b>IndicativeOrMarketPrice</b> <IndctvOrMktPric>	[0..1]	±		189
	<b>CashInLieuOfSharePrice</b> <CshInLieuOfShrPric>	[0..1]	±		189
	<b>CashValueForTax</b> <CshValForTax>	[0..1]	±		190

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>GenericCashPricePaidPerProduct</b> <GncCshPricPdPerPdct>	[0..1]	±		190
	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		190
	<b>AmountDetails</b> <AmtDtls>	[0..1]			191
	<b>WithholdingTaxAmount</b> <WhldgTaxAmt>	[0..1]	Amount	C1, C17	191
	<b>SecondLevelTaxAmount</b> <ScndLvTaxAmt>	[0..1]	Amount	C1, C17	192
	<b>CashMovementDetails</b> <CshMvmntDtls>	[0..*]		C40, C56, C58, C70, C46	193
	<b>CreditDebitIndicator</b> <CdtDbtInd>	[1..1]	CodeSet		198
	<b>ContractualPaymentIndicator</b> <CtrctlPmtInd>	[0..1]	CodeSet		198
	<b>NonEligibleProceedsIndicator</b> <NonElgblPrclsInd>	[0..1]	±		199
	<b>IssuerOfferorTaxabilityIndicator</b> <IssrOfferrTaxbiltyInd>	[0..1]	±		199
	<b>IncomeType</b> <IncmTp>	[0..1]	±		199
	<b>OtherIncomeType</b> <OthrIncmTp>	[0..*]	±		199
	<b>ExemptionType</b> <XmptnTp>	[0..*]	±		200
	<b>CountryOfIncomeSource</b> <CtryOfIncmSrc>	[0..1]	CodeSet	C16	200
	<b>CashAccountIdentification</b> <CshAcctId>	[0..1]	±		200
	<b>AmountDetails</b> <AmtDtls>	[0..1]			201
	<b>GrossCashAmount</b> <GrssCshAmt>	[0..1]	Amount	C1, C17	204
	<b>NetCashAmount</b> <NetCshAmt>	[0..1]	Amount	C1, C17	204
	<b>SolicitationFees</b> <SlctnFees>	[0..1]	Amount	C1, C17	205
	<b>CashInLieuOfShare</b> <CshInLieuOfShr>	[0..1]	Amount	C1, C17	206
	<b>CapitalGain</b> <CptlGn>	[0..1]	Amount	C1, C17	207
	<b>InterestAmount</b> <IntrstAmt>	[0..1]	Amount	C1, C17	207
	<b>IndemnityAmount</b> <IndmntyAmt>	[0..1]	Amount	C1, C17	208
	<b>ManufacturedDividendPaymentAmount</b> <ManfctrdDvddPmtAmt>	[0..1]	Amount	C1, C17	209

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ReinvestmentAmount</b> <RinvstmtAmt>	[0..1]	Amount	C1, C17	210
	<b>FullyFrankedAmount</b> <FullyFrnkAmt>	[0..1]	Amount	C1, C17	210
	<b>UnfrankedAmount</b> <UfrnkAmt>	[0..1]	Amount	C1, C17	211
	<b>SundryOrOtherAmount</b> <SndryOrOthrAmt>	[0..1]	Amount	C1, C17	212
	<b>TaxFreeAmount</b> <TaxFreeAmt>	[0..1]	Amount	C1, C17	212
	<b>TaxDeferredAmount</b> <TaxDfrdAmt>	[0..1]	Amount	C1, C17	213
	<b>ValueAddedTaxAmount</b> <ValAddedTaxAmt>	[0..1]	Amount	C1, C17	214
	<b>StampDutyAmount</b> <StmpDtyAmt>	[0..1]	Amount	C1, C17	215
	<b>TaxReclaimAmount</b> <TaxRclmAmt>	[0..1]	Amount	C1, C17	215
	<b>TaxCreditAmount</b> <TaxCdtAmt>	[0..1]	Amount	C1, C17	216
	<b>AdditionalTaxAmount</b> <AddtlTaxAmt>	[0..1]	Amount	C1, C17	217
	<b>WithholdingTaxAmount</b> <WhldgTaxAmt>	[0..1]	Amount	C1, C17	217
	<b>SecondLevelTaxAmount</b> <ScndLvTaxAmt>	[0..1]	Amount	C1, C17	218
	<b>FiscalStampAmount</b> <FsciStmpAmt>	[0..1]	Amount	C1, C17	219
	<b>ExecutingBrokerAmount</b> <ExctgBrkrAmt>	[0..1]	Amount	C1, C17	220
	<b>PayingAgentCommissionAmount</b> <PngAgtComssnAmt>	[0..1]	Amount	C1, C17	220
	<b>LocalBrokerCommissionAmount</b> <LclBrkrComssnAmt>	[0..1]	Amount	C1, C17	221
	<b>RegulatoryFeesAmount</b> <RgltryFeesAmt>	[0..1]	Amount	C1, C17	222
	<b>ShippingFeesAmount</b> <ShppgFeesAmt>	[0..1]	Amount	C1, C17	222
	<b>ChargesAmount</b> <ChrgsAmt>	[0..1]	Amount	C1, C17	223
	<b>EntitledAmount</b> <EntitldAmt>	[0..1]	Amount	C1, C17	224
	<b>OriginalAmount</b> <OrgnlAmt>	[0..1]	Amount	C1, C17	225



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>PrincipalOrCorpus</b> <PrncplOrCrps>	[0..1]	Amount	C1, C17	225
	<b>RedemptionPremiumAmount</b> <RedPrmAmt>	[0..1]	Amount	C1, C17	226
	<b>IncomePortion</b> <IncmPrtn>	[0..1]	Amount	C1, C17	227
	<b>StockExchangeTax</b> <StockXchgTax>	[0..1]	Amount	C1, C17	227
	<b>EUTaxRetentionAmount</b> <EUTaxRttnAmt>	[0..1]	Amount	C1, C17	228
	<b>AccruedInterestAmount</b> <AcrdIntrstAmt>	[0..1]	Amount	C1, C17	229
	<b>EqualisationAmount</b> <EqulstnAmt>	[0..1]	Amount	C1, C17	230
	<b>FATCATaxAmount</b> <FATCATaxAmt>	[0..1]	Amount	C1, C17	230
	<b>NRATaxAmount</b> <NRATaxAmt>	[0..1]	Amount	C1, C17	231
	<b>BackUpWithholdingTaxAmount</b> <BckUpWhldgTaxAmt>	[0..1]	Amount	C1, C17	232
	<b>TaxOnIncomeAmount</b> <TaxOnIncmAmt>	[0..1]	Amount	C1, C17	232
	<b>TransactionTax</b> <TxTax>	[0..1]	Amount	C1, C17	233
	<b>DeemedAmount</b> <DmdAmt>	[0..1]	Amount	C1, C17	234
	<b>ForeignIncomeAmount</b> <FrgnIncmAmt>	[0..1]	Amount	C1, C17	235
	<b>DeemedDividendAmount</b> <DmdDvddAmt>	[0..1]	Amount	C1, C17	235
	<b>DeemedFundAmount</b> <DmdFndAmt>	[0..1]	Amount	C1, C17	236
	<b>DeemedInterestAmount</b> <DmdIntrstAmt>	[0..1]	Amount	C1, C17	237
	<b>DeemedRoyaltiesAmount</b> <DmdRyltsAmt>	[0..1]	Amount	C1, C17	237
	<b>DateDetails</b> <DtDtls>	[1..1]			238
	<b>PaymentDate</b> <PmtDt>	[1..1]	±		238
	<b>ValueDate</b> <ValDt>	[0..1]	±		239
	<b>ForeignExchangeRateFixingDate</b> <FXRateFvgDt>	[0..1]	±		239
	<b>EarliestPaymentDate</b> <EarlstPmtDt>	[0..1]	±		239
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..1]	±		240

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>RateAndAmountDetails</b> <RateAndAmtDtls>	[0..1]		C20, C21, C49, C51, C84, C86, C109, C111, C113 , C118, C120	240
	<b>AdditionalTax</b> <AddtlTax>	[0..1]	±		244
	<b>GrossDividendRate</b> <GrssDvddRate>	[0..*]	±		244
	<b>InterestRateUsedForPayment</b> <IntrstRateUsdForPmt>	[0..*]	±		245
	<b>WithholdingTaxRate</b> <WhldgTaxRate>	[0..*]	±		246
	<b>SecondLevelTax</b> <ScndLvlTax>	[0..*]	±		246
	<b>ChargesFees</b> <ChrgsFees>	[0..1]	±		247
	<b>EarlySolicitationFeeRate</b> <EarlySlctnFeeRate>	[0..1]	±		247
	<b>FiscalStamp</b> <FscIStmp>	[0..1]	±		248
	<b>ThirdPartyIncentiveRate</b> <ThrdPtyIncntivRate>	[0..1]	±		248
	<b>NetDividendRate</b> <NetDvddRate>	[0..*]	±		248
	<b>ApplicableRate</b> <AplblRate>	[0..1]	±		249
	<b>SolicitationFeeRate</b> <SlctnFeeRate>	[0..1]	±		249
	<b>TaxCreditRate</b> <TaxCdtRate>	[0..1]	±		250
	<b>TaxOnIncome</b> <TaxOnIncm>	[0..1]	±		250
	<b>TaxOnProfits</b> <TaxOnPrfts>	[0..1]	±		250
	<b>TaxReclaimRate</b> <TaxRclmRate>	[0..1]	±		251
	<b>EqualisationRate</b> <EqulstnRate>	[0..1]	±		251
	<b>DeemedRate</b> <DmdRate>	[0..*]	±		251
	<b>PriceDetails</b> <PricDtls>	[0..1]		C47	252
	<b>GenericCashPricePaidPerProduct</b> <GncCshPricPdPerPdct>	[0..1]	±		253
	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		253
	<b>CashInLieuOfSharePrice</b> <CshInLieuOfShrPric>	[0..1]	±		254
	<b>AdditionalInformation</b> <AddtlInf>	[0..1]		C4	254
	<b>AdditionalText</b> <AddtlTxt>	[0..*]	±		255

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>NarrativeVersion</b> <NrrtvVrsn>	[0..*]	±		255
	<b>InformationConditions</b> <InfConds>	[0..*]	±		256
	<b>InformationToComplyWith</b> <InfToCmplyWth>	[0..*]	±		256
	<b>SecurityRestriction</b> <SctyRstrctn>	[0..*]	±		256
	<b>TaxationConditions</b> <TaxtnConds>	[0..*]	±		257
	<b>Disclaimer</b> <Dsclmr>	[0..*]	±		257
	<b>CertificationBreakdown</b> <CertfctnBrkdwn>	[0..*]	±		257

### Constraints

- **AdditionalTextRule**

(Rule)

If OptionType/Code is OTHR (Other), then at least one occurrence of AdditionalInformation/AdditionalText/AdditionalInformation must be present.

(MT564 NVR C5).

On Condition

    /OptionType/Code is present

    And /OptionType/Code is equal to value 'Other'

Following Must be True

    /AdditionalInformation Must be present

    And /AdditionalInformation/AdditionalText[\*] Must be present

    And /AdditionalInformation/AdditionalText[\*]/AdditionalInformation Must be present

*Error handling:*

– *Error severity:* Fatal

– *Error Code:* X00176

– *Error Text:* Invalid message content forAdditionalInformation

- **AppliedOptionRule**

(Rule)

If DefaultProcessingOrStandingInstruction/DefaultOptionIndicator is present and its value is '1' or 'true' (Yes), then AppliedOptionIndicator value must not be '1' or 'true' (Yes).

*Error handling:*

– *Error severity:* Fatal

– *Error Code:*

– *Error Text:*

- **DissenterRights1Rule**

(Rule)

If OfferType/Code value is equal to DISS (DissenterRights), then OfferType/Code value equal to NDIS (DissenterRightsNotApplicable) is not allowed in any occurrence of OfferType.

(MT 564 NVR C27)

On Condition

/OfferType[\*]/Code is equal to value 'DissenterRights'

Following Must be True

/OfferType[\*]/Code Must be different from value 'DissenterRightsNotApplicable'

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00542
- *Error Text:* Invalid message contents for OfferType. Either code value DISS or NDISS is allowed, not both.

- **DissenterRights1UGRule**

(Rule)

If OfferType/Code value is equal to DISS (DissenterRights), then OfferType/Code value equal to NDIS (DissenterRightsNotApplicable) is not allowed in any occurrence of OfferType.

(MT 564 NVR C27)

if

at least one occurrence of [OfferType/Code] has value included in the following list 'DISS'

, then

every occurrence of [OfferType/Code] must have value not included in the following list 'NDIS'

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00592
- *Error Text:* Invalid message contents for OfferType. Either code value DISS or NDISS is allowed, not both.

- **DissenterRights2Rule**

(Rule)

If OfferType/Code value is equal to NDISS (DissenterRightsNotApplicable), then OfferType/Code value equal to DISS (DissenterRights) is not allowed in any occurrence of OfferType.

(MT 564 NVR C27)

On Condition

/OfferType[\*]/Code is equal to value 'DissenterRightsNotApplicable'

Following Must be True

/OfferType[\*]/Code Must be different from value 'DissenterRights'

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00564
- *Error Text:* Invalid message contents for OfferType. Either code value DISS or NDISS is allowed, not both.

- **DissenterRights2UGRule**

(Rule)

If OfferType/Code value is equal to NDIS (DissenterRightsNotApplicable), then OfferType/Code value equal to DISS (DissenterRights) is not allowed in any occurrence of OfferType.

(MT 564 NVR C27)

```
if
  at least one occurrence of [OfferType/Code] has value included in the
  following list 'NDIS'
, then
  every occurrence of [OfferType/Code] must have value not included in the
  following list 'DISS'
```

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00591
- *Error Text:* Invalid message contents for OfferType. Either code value DISS or NDISS is allowed, not both.

- **InstructCashAmountRule**

(Rule)

If OptionFeatures/Code QCAS (InstructCashAmount) is not present, then any message elements in the list (PriceDetails/MaximumCashToInstruct, PriceDetails/MinimumCashToInstruct, PriceDetails/MinimumMultipleCashToInstruct) must not be present.

(MT564 NVR C20).

```
On Condition
  /OptionFeatures[*]/Code is different from value 'InstructCashAmount'
Following Must be True
  /PriceDetails/MaximumCashToInstruct Must be absent
And   /PriceDetails/MinimumCashToInstruct Must be absent
And   /PriceDetails/MinimumMultipleCashToInstruct Must be absent
```

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00417
- *Error Text:* Invalid message content for OptionFeatures QCAS (Instruct Cash Amount)

- **OptionNumberGuideline**

(Guideline)

For differentiation between options, it is recommended to use the OptionNumber rather than the OptionType, for example, in the case where two or more offers can be described by the same corporate action option code.

- **OptionTypeUnknownProceedsUsageRule**

(Rule)

When used, the corporate action option code PRUN (Unknown Proceeds) should be maintained throughout the full lifecycle of the event.

- **RevocabilityPeriodRule**

(Rule)

If WithdrawalAllowedIndicator or ChangeAllowedIndicator is present and is 'true' or '1' (Yes), then PeriodDetails/RevocabilityPeriod must be present to indicate the period during which the change or withdrawal of instruction is allowed.

### 3.4.11.1 OptionNumber <OptnNb>

*Presence:* [1..1]

*Definition:* Number identifying the available corporate action options.

*Datatype:* [Exact3NumericText on page 1347](#)

### 3.4.11.2 OptionType <OptnTp>

*Presence:* [1..1]

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

**OptionType <OptnTp>** contains one of the following elements (see [CorporateActionOption46Choice on page 976](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		976
Or}	Proprietary <Prtry>	[1..1]	±		977

### 3.4.11.3 FractionDisposition <FrctnDspstn>

*Presence:* [0..1]

*Definition:* Specifies how fractions resulting from derived securities will be processed or how prorated decisions will be rounding, if provided with a pro ration rate.

**FractionDisposition <FrctnDspstn>** contains one of the following elements (see [FractionDispositionType31Choice on page 1051](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1051
Or}	Proprietary <Prtry>	[1..1]	±		1051

### 3.4.11.4 OfferType <OfferTp>

*Presence:* [0..\*]

*Definition:* Specifies the conditions that apply to the offer.

**OfferType <OfferTp>** contains one of the following elements (see [OfferTypeFormat13Choice](#) on page 957 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		958
Or}	Proprietary <Prtry>	[1..1]	±		958

### 3.4.11.5 OptionFeatures <OptnFeatrs>

*Presence:* [0..\*]

*Definition:* Specifies the features that may apply to a corporate action option.

**OptionFeatures <OptnFeatrs>** contains one of the following elements (see [OptionFeaturesFormat26Choice](#) on page 1006 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1006
Or}	Proprietary <Prtry>	[1..1]	±		1007

### 3.4.11.6 OptionAvailabilityStatus <OptnAvlbtys>

*Presence:* [0..1]

*Definition:* Specifies the status of the option.

**OptionAvailabilityStatus <OptnAvlbtys>** contains one of the following elements (see [OptionAvailabilityStatus4Choice](#) on page 1050 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1050
Or}	Proprietary <Prtry>	[1..1]	±		1050

### 3.4.11.7 CertificationBreakdownType <CertfctnBrkdwnTp>

*Presence:* [0..\*]

*Definition:* Type of certification/breakdown.

**CertificationBreakdownType <CertfctnBrkdwnTp>** contains one of the following elements (see [BeneficiaryCertificationType12Choice](#) on page 1048 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1049
Or}	Proprietary <Prtry>	[1..1]	±		1049

### 3.4.11.8 BidRangeType <BidRgTp>

*Presence:* [0..1]

*Definition:* Specifies the type of acceptable bid range values.

**BidRangeType <BidRgTp>** contains one of the following elements (see [BidRangeType1Choice](#) on page 979 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		979
Or}	Proprietary <Prtry>	[1..1]	±		979

### 3.4.11.9 NonDomicileCountry <NonDmclCtry>

*Presence:* [0..\*]

*Definition:* 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.

*Impacted by:* [C16 Country](#)

*Datatype:* [CountryCode](#) on page 1309

#### 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.

### 3.4.11.10 ValidDomicileCountry <VldDmclCtry>

*Presence:* [0..\*]

*Definition:* Country of domicile in which the Corporate Action option is valid. The holder of the security has to certify that it is domiciled in the country indicated.

*Impacted by:* [C16 Country](#)

*Datatype:* [CountryCode](#) on page 1309

#### 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.

### 3.4.11.11 CurrencyOption <CcyOptn>

*Presence:* [0..1]

*Definition:* Currency in which the cash disbursed from an interest or dividend payment is offered.

*Impacted by:* C1 ActiveCurrency

*Datatype:* ActiveCurrencyCode on page 1261

#### Constraints

- **ActiveCurrency**

(Rule)

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

*Error handling:*

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

### 3.4.11.12 DefaultProcessingOrStandingInstruction <DfltPrcgOrStglInstr>

*Presence:* [1..1]

*Definition:* Indicates whether the corporate action movement is a default processing or a standing instruction.

**DefaultProcessingOrStandingInstruction <DfltPrcgOrStglInstr>** contains one of the following elements (see DefaultProcessingOrStandingInstruction1Choice on page 952 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	DefaultOptionIndicator <DfltOptnInd>	[1..1]	Indicator		952
Or}	StandingInstructionIndicator <StglInstrInd>	[1..1]	Indicator		952

### 3.4.11.13 ChargesAppliedIndicator <ChrgsApldInd>

*Presence:* [0..1]

*Definition:* Indicates whether charges apply to the holder, for instance redemption charges.

*Datatype:* One of the following values must be used (see YesNoIndicator on page 1345):

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

### 3.4.11.14 CertificationBreakdownIndicator <CertfctnBrkdwnInd>

*Presence:* [0..1]

*Definition:* Indicates whether certification/breakdown is required from the account owner.

Yes: certification required

No: no certification required.

*Datatype:* One of the following values must be used (see [YesNoIndicator](#) on page 1345):

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

#### **3.4.11.15 WithdrawalAllowedIndicator <WdrwlAllwdInd>**

*Presence:* [0..1]

*Definition:* Indicates whether withdrawal of instruction is allowed.

*Datatype:* One of the following values must be used (see [YesNoIndicator](#) on page 1345):

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

#### **3.4.11.16 ChangeAllowedIndicator <ChngAllwdInd>**

*Presence:* [0..1]

*Definition:* Indicates whether change of instruction is allowed.

*Datatype:* One of the following values must be used (see [YesNoIndicator](#) on page 1345):

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

#### **3.4.11.17 AppliedOptionIndicator <ApIdOptnInd>**

*Presence:* [0..1]

*Definition:* Indicates whether the option, different from the default one, shall be applied by the account owner.

*Datatype:* One of the following values must be used (see [YesNoIndicator](#) on page 1345):

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

#### **3.4.11.18 FinancialInstrumentIdentification <FinInstrmId>**

*Presence:* [0..1]

*Definition:* Identifies the financial instrument.

*Impacted by:* [C22 DescriptionPresenceRule](#), [C23 DescriptionUsageRule](#), [C66 ISINGuideline](#),  
[C67 ISINPresenceRule](#), [C95 OtherIdentificationPresenceRule](#)

**FinancialInstrumentIdentification <FinInstrmId>** contains the following elements (see [SecurityIdentification20 on page 904](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		906
	OtherIdentification <OthrlId>	[0..*]			906
	Identification <Id>	[1..1]	Text		906
	Suffix <Sfx>	[0..1]	Text		906
	Type <Tp>	[1..1]	±		906
	Description <Desc>	[0..1]	Text		907

### 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 a ISIN code exist. 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.

### 3.4.11.19 DateDetails <DtDtIs>

Presence: [0..1]

Definition: Provides information about the dates related to a corporate action option.

**DateDetails <DtDtIs>** contains the following **CorporateActionDate82** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>EarlyResponseDeadline</b> <EarlyRspnDdln>	[0..1]	±		149
	<b>CoverExpirationDeadline</b> <CoverXprtnDdln>	[0..1]	±		149
	<b>ProtectDeadline</b> <PrtctDdln>	[0..1]	±		149
	<b>MarketDeadline</b> <MktDdln>	[0..1]	±		150
	<b>ResponseDeadline</b> <RspnDdln>	[0..1]	±		150
	<b>ExpiryDate</b> <XpryDt>	[0..1]	±		150
	<b>SubscriptionCostDebitDate</b> <SbcptCostDbtDt>	[0..1]	±		151
	<b>DepositoryCoverExpirationDate</b> <DpstryCoverXprtnDt>	[0..1]	±		151
	<b>StockLendingDeadline</b> <StockLndgDdln>	[0..1]	±		151
	<b>BorrowerStockLendingDeadline</b> <BrrwrStockLndgDdln>	[0..*]			152
	<b>StockLendingDeadline</b> <StockLndgDdln>	[1..1]	±		152
	<b>Borrower</b> <Brrwr>	[1..1]	±		152
	<b>EndOfSecuritiesBlockingPeriod</b> <EndOfScitiesBlckgPrd>	[0..1]	±		153

### 3.4.11.19.1 EarlyResponseDeadline <EarlyRspnDdln>

*Presence:* [0..1]

*Definition:* Date/time that the account servicer has set as the deadline to respond, with instructions, to an outstanding event, giving the holder eligibility to incentives.

**EarlyResponseDeadline <EarlyRspnDdln>** contains one of the following elements (see [DateFormat49Choice](#) on page 885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		886
Or}	DateCode <DtCd>	[1..1]			886
{Or	Code <Cd>	[1..1]	CodeSet		886
Or}	Proprietary <Prtry>	[1..1]	±		886

### 3.4.11.19.2 CoverExpirationDeadline <CoverXprtnDdln>

*Presence:* [0..1]

*Definition:* Last day a holder can deliver the securities that it had elected on and/or previously protected.

**CoverExpirationDeadline <CoverXprtnDdln>** contains one of the following elements (see [DateFormat43Choice](#) on page 887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		887
Or}	DateCode <DtCd>	[1..1]			888
{Or	Code <Cd>	[1..1]	CodeSet		888
Or}	Proprietary <Prtry>	[1..1]	±		888

### 3.4.11.19.3 ProtectDeadline <PrctctDdln>

*Presence:* [0..1]

*Definition:* Last date/time a holder can request to defer delivery of securities pursuant to a notice of guaranteed delivery or other required documentation.

**ProtectDeadline <PrctctDdln>** contains one of the following elements (see [DateFormat43Choice](#) on page 887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		887
Or}	DateCode <DtCd>	[1..1]			888
{Or	Code <Cd>	[1..1]	CodeSet		888
Or}	Proprietary <Prtry>	[1..1]	±		888

### 3.4.11.19.4 MarketDeadline <MktDdln>

*Presence:* [0..1]

*Definition:* Issuer or issuer's agent deadline to respond with an instruction to an outstanding offer or privilege.

**MarketDeadline <MktDdln>** contains one of the following elements (see [DateFormat49Choice](#) on page 885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		886
Or}	DateCode <DtCd>	[1..1]			886
{Or	Code <Cd>	[1..1]	CodeSet		886
Or}	Proprietary <Prtry>	[1..1]	±		886

### 3.4.11.19.5 ResponseDeadline <RspnDdln>

*Presence:* [0..1]

*Definition:* Date/time at which the account servicer has set as the deadline to respond, with instructions, to an outstanding event.

**ResponseDeadline <RspnDdln>** contains one of the following elements (see [DateFormat54Choice](#) on page 883 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		883
Or	DateCodeAndTime <DtCdAndTm>	[1..1]			883
	DateCode <DtCd>	[1..1]			884
{Or	Code <Cd>	[1..1]	CodeSet		884
Or}	Proprietary <Prtry>	[1..1]	±		884
	Time <Tm>	[1..1]	Time		884
Or}	DateCode <DtCd>	[1..1]			885
{Or	Code <Cd>	[1..1]	CodeSet		885
Or}	Proprietary <Prtry>	[1..1]	±		885

### 3.4.11.19.6 ExpiryDate <XpryDt>

*Presence:* [0..1]

*Definition:* Date/time at which an order expires or on which a privilege or offer terminates.

**ExpiryDate <XpryDt>** contains one of the following elements (see [DateFormat49Choice](#) on page 885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		886
Or}	DateCode <DtCd>	[1..1]			886
{Or	Code <Cd>	[1..1]	CodeSet		886
Or}	Proprietary <Prtry>	[1..1]	±		886

### 3.4.11.19.7 SubscriptionCostDebitDate <SbcptCostDbtDt>

*Presence:* [0..1]

*Definition:* Date/time by which cash must be in place in order to take part in the event.

**SubscriptionCostDebitDate <SbcptCostDbtDt>** contains one of the following elements (see [DateFormat49Choice](#) on page 885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		886
Or}	DateCode <DtCd>	[1..1]			886
{Or	Code <Cd>	[1..1]	CodeSet		886
Or}	Proprietary <Prtry>	[1..1]	±		886

### 3.4.11.19.8 DepositoryCoverExpirationDate <DpstryCoverXprtnDt>

*Presence:* [0..1]

*Definition:* Last day that a participant of the depository can deliver securities that it had elected on and/or previously protected.

**DepositoryCoverExpirationDate <DpstryCoverXprtnDt>** contains one of the following elements (see [DateFormat49Choice](#) on page 885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		886
Or}	DateCode <DtCd>	[1..1]			886
{Or	Code <Cd>	[1..1]	CodeSet		886
Or}	Proprietary <Prtry>	[1..1]	±		886

### 3.4.11.19.9 StockLendingDeadline <StockLndgDdln>

*Presence:* [0..1]

*Definition:* Date/time set as the deadline to respond, with instructions, to an outstanding event, for which the underlying security is out on loan.

**StockLendingDeadline <StockLndgDdln>** contains one of the following elements (see [DateFormat49Choice](#) on page 885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		886
Or}	DateCode <DtCd>	[1..1]			886
{Or	Code <Cd>	[1..1]	CodeSet		886
Or}	Proprietary <Prtry>	[1..1]	±		886

### 3.4.11.19.10 BorrowerStockLendingDeadline <BrrwrStockLndgDdln>

*Presence:* [0..\*]

*Definition:* Specifies the party borrowing stocks and the associated stock lending deadline assigned to the borrower.

**BorrowerStockLendingDeadline <BrrwrStockLndgDdln>** contains the following **BorrowerLendingDeadline6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>StockLendingDeadline</b> <StockLndgDdln>	[1..1]	±		152
	<b>Borrower</b> <Brrwr>	[1..1]	±		152

#### 3.4.11.19.10.1 StockLendingDeadline <StockLndgDdln>

*Presence:* [1..1]

*Definition:* Date/time set as the deadline to respond, with instructions, to an outstanding event for which the underlying security is out on loan.

**StockLendingDeadline <StockLndgDdln>** contains one of the following elements (see [DateFormat49Choice](#) on page 885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		886
Or}	DateCode <DtCd>	[1..1]			886
{Or	Code <Cd>	[1..1]	CodeSet		886
Or}	Proprietary <Prtry>	[1..1]	±		886

#### 3.4.11.19.10.2 Borrower <Brrwr>

*Presence:* [1..1]

*Definition:* Party who has borrowed stocks on loan.



**Borrower <Brrwr>** contains one of the following elements (see [PartyIdentification136Choice](#) on page 1091 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1091
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1091

### 3.4.11.19.11 EndOfSecuritiesBlockingPeriod <EndOfSctiesBlckgPrd>

*Presence:* [0..1]

*Definition:* Date until which the blocking of securities can occur upon instructing this option.

**EndOfSecuritiesBlockingPeriod <EndOfSctiesBlckgPrd>** contains one of the following elements (see [DateFormat59Choice](#) on page 881 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		882
Or}	DateCode <DtCd>	[1..1]			882
{Or	Code <Cd>	[1..1]	CodeSet		882
Or}	Proprietary <Prtry>	[1..1]	±		883

### 3.4.11.20 PeriodDetails <PrdDtIs>

*Presence:* [0..1]

*Definition:* Provides information about the periods related to a corporate action option.

**PeriodDetails <PrdDtIs>** contains the following **CorporateActionPeriod12** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>PriceCalculationPeriod</b> <PricClctnPrd>	[0..1]	±		153
	<b>ParallelTradingPeriod</b> <ParllTradgPrd>	[0..1]	±		154
	<b>ActionPeriod</b> <ActnPrd>	[0..1]	±		154
	<b>RevocabilityPeriod</b> <RvcbltyPrd>	[0..1]	±		154
	<b>PrivilegeSuspensionPeriod</b> <PrvlgSspnsnPrd>	[0..1]	±		154
	<b>AccountServicerRevocabilityPeriod</b> <AcctSvcrRvcbltyPrd>	[0..1]	±		155
	<b>DepositorySuspensionPeriodForWithdrawal</b> <DpstrySspnsnPrdForWdrwl>	[0..1]	±		155

#### 3.4.11.20.1 PriceCalculationPeriod <PricClctnPrd>

*Presence:* [0..1]

*Definition:* Period during which the price of a security is determined.

**PriceCalculationPeriod <PricClctnPrd>** contains one of the following elements (see [Period6Choice](#) on page 891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Period <Prd>	[1..1]	±		892
Or}	PeriodCode <PrdCd>	[1..1]	CodeSet		892

### 3.4.11.20.2 ParallelTradingPeriod <ParlITradgPrd>

*Presence:* [0..1]

*Definition:* Period during which both old and new equity may be traded simultaneously, for example, consolidation of equity or splitting of equity.

**ParallelTradingPeriod <ParlITradgPrd>** contains one of the following elements (see [Period6Choice](#) on page 891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Period <Prd>	[1..1]	±		892
Or}	PeriodCode <PrdCd>	[1..1]	CodeSet		892

### 3.4.11.20.3 ActionPeriod <ActnPrd>

*Presence:* [0..1]

*Definition:* Period during which the specified option, or all options of the event, remains valid, for example, offer period.

**ActionPeriod <ActnPrd>** contains one of the following elements (see [Period6Choice](#) on page 891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Period <Prd>	[1..1]	±		892
Or}	PeriodCode <PrdCd>	[1..1]	CodeSet		892

### 3.4.11.20.4 RevocabilityPeriod <RvcbltyPrd>

*Presence:* [0..1]

*Definition:* Period during which the shareholder can revoke, change or withdraw its instruction.

**RevocabilityPeriod <RvcbltyPrd>** contains one of the following elements (see [Period6Choice](#) on page 891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Period <Prd>	[1..1]	±		892
Or}	PeriodCode <PrdCd>	[1..1]	CodeSet		892

### 3.4.11.20.5 PrivilegeSuspensionPeriod <PrvlgSspnsnPrd>

*Presence:* [0..1]

*Definition:* Period during which the privilege is not available, for example, this can happen whenever a meeting takes place or whenever a coupon payment is due.

**PrivilegeSuspensionPeriod <PrvlgSspnsnPrd>** contains one of the following elements (see [Period6Choice](#) on page 891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Period <Prd>	[1..1]	±		892
Or}	PeriodCode <PrdCd>	[1..1]	CodeSet		892

#### 3.4.11.20.6 AccountServicerRevocabilityPeriod <AcctSvcrRvcbltyPrd>

*Presence:* [0..1]

*Definition:* Period during which the participant of the account servicer can revoke change or withdraw its instructions.

**AccountServicerRevocabilityPeriod <AcctSvcrRvcbltyPrd>** contains one of the following elements (see [Period6Choice](#) on page 891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Period <Prd>	[1..1]	±		892
Or}	PeriodCode <PrdCd>	[1..1]	CodeSet		892

#### 3.4.11.20.7 DepositorySuspensionPeriodForWithdrawal <DpstrySspnsnPrdForWdrwl>

*Presence:* [0..1]

*Definition:* Period defining the last date on which withdrawal in street name requests on the outturn security will be accepted and the date on which the suspension will be released and withdrawal by transfer processing on the outturn security will resume.

**DepositorySuspensionPeriodForWithdrawal <DpstrySspnsnPrdForWdrwl>** contains one of the following elements (see [Period6Choice](#) on page 891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Period <Prd>	[1..1]	±		892
Or}	PeriodCode <PrdCd>	[1..1]	CodeSet		892

#### 3.4.11.21 RateAndAmountDetails <RateAndAmtDtls>

*Presence:* [0..1]

*Definition:* Provides information about rates and amounts related to a corporate action option.

*Impacted by:* [C48 GrossDividendRate2Rule](#), [C50 GrossDividendRate3Rule](#), [C83 NetDividendRate1Rule](#), [C85 NetDividendRate2Rule](#), [C108 SecondLevelTax1Rule](#), [C110 SecondLevelTax2Rule](#), [C112 SecondLevelTax3Rule](#), [C117 WithholdingTaxRate1Rule](#), [C119 WithholdingTaxRate2Rule](#)

**RateAndAmountDetails <RateAndAmtDtls>** contains the following **CorporateActionRate111** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AdditionalTax</b> <AddtlTax>	[0..1]	±		158
	<b>GrossDividendRate</b> <GrssDvddRate>	[0..*]	±		158
	<b>NetDividendRate</b> <NetDvddRate>	[0..*]	±		159
	<b>InterestRateUsedForPayment</b> <IntrstRateUsdForPmt>	[0..*]	±		160
	<b>MaximumAllowedOversubscriptionRate</b> <MaxAllwdOvrsbcptRate>	[0..1]	±		161
	<b>ProrationRate</b> <PrratnRate>	[0..1]	±		161
	<b>WithholdingTaxRate</b> <WhldgTaxRate>	[0..*]	±		162
	<b>SecondLevelTax</b> <ScndLvITax>	[0..*]	±		162
	<b>TaxableIncomePerDividendShare</b> <TaxblIncmPerDvddShr>	[0..*]	±		162
	<b>IssuerDeclaredExchangeRate</b> <IssrDclrdXchgRate>	[0..1]	±		163
	<b>TaxOnIncome</b> <TaxOnIncm>	[0..1]	±		163
	<b>BidInterval</b> <BidIntrvl>	[0..1]	±		163

**Constraints**

- **GrossDividendRate2Rule**

(Rule)

If GrossDividendRate is repeated, then:

- RateTypeAndAmountAndRateStatus/RateType/Code values must all be different in each occurrence of GrossDividendRate. (MT 564 NVR C8).

- **GrossDividendRate3Rule**

(Rule)

Only a single occurrence of either GrossDividendRate/Amount or GrossDividendRate/AmountAndRateStatus or GrossDividendRate/NotSpecifiedRate may be present, only one of these elements may be present. (MT 564 NVR C7).

- **NetDividendRate1Rule**

(Rule)

If NetDividendRate is repeated, then RateTypeAndAmountAndRateStatus/RateType/Code values must all be different in each occurrence of NetDividendRate. (MT 564 NVR C8).

- **NetDividendRate2Rule**

(Rule)

Only a single occurrence of either NetDividendRate/Amount or NetDividendRate/AmountAndRateStatus or NetDividendRate/NotSpecifiedRate may be present, and only one of these elements may be present. (MT 564 NVR C7).

- **SecondLevelTax1Rule**

(Rule)

If SecondLevelTax is repeated, then SecondLevelTax/RateTypeAndRate/RateType/Code values must all be different in each occurrence of SecondLevelTax.

(MT 564 NVR C8).

*Error handling:*

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

- **SecondLevelTax2Rule**

(Rule)

Only a single occurrence of either SecondLevelTax/Amount or SecondLevelTax/Rate or SecondLevelTax/NotSpecifiedRate may be present, only one of these elements may be present.

(MT 564 NVR C7).

*Error handling:*

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

- **SecondLevelTax3Rule**

(Rule)

If at least one occurrence of SecondLevelTax is present, then at least one occurrence of WithholdingTaxRate must be present. (MT 564 NVR C19).

On Condition

    /SecondLevelTax[\*] is present

Following Must be True

    /WithholdingTaxRate[\*] Must be present

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00385
- *Error Text:* Invalid message contents for WithholdingTaxRate. It should be present.

- **WithholdingTaxRate1Rule**

(Rule)

If WithholdingTaxRate is repeated, then WithholdingTaxRate/RateTypeAndRate/RateType/Code values must all be different in each occurrence of WithholdingTaxRate.

(MT 564 NVR C8).

*Error handling:*

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

• **WithholdingTaxRate2Rule**

(Rule)

Only a single occurrence of either WithholdingTaxRate/Amount or WithholdingTaxRate/Rate or WithholdingTaxRate/NotSpecifiedRate may be present, only one of those elements may be present.

(MT 564 NVR C7).

*Error handling:*

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

**3.4.11.21.1 AdditionalTax <AddtlTax>**

*Presence:* [0..1]

*Definition:* Rate used for additional tax that cannot be categorised.

**AdditionalTax <AddtlTax>** contains one of the following elements (see [RateAndAmountFormat46Choice](#) on page 1209 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1209
Or	NotSpecifiedRate <NotSpctdRate>	[1..1]	CodeSet		1209
Or}	Amount <Amt>	[1..1]	Amount	C1	1209

**3.4.11.21.2 GrossDividendRate <GrssDvddRate>**

*Presence:* [0..\*]

*Definition:* Cash dividend amount per equity before deductions or allowances have been made.

**GrossDividendRate <GrssDvddRate>** contains one of the following elements (see [GrossDividendRateFormat41Choice](#) on page 1001 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C1	1001
Or	AmountAndRateStatus <AmtAndRateSts>	[1..1]			1002
	Amount <Amt>	[1..1]	Amount	C1	1002
	RateStatus <RateSts>	[1..1]	CodeSet		1002
Or	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1003
	RateType <RateTp>	[1..1]			1003
{Or	Code <Cd>	[1..1]	CodeSet		1003
Or}	Proprietary <Prtry>	[1..1]	±		1004
	Amount <Amt>	[1..1]	Amount	C1	1004
	RateStatus <RateSts>	[0..1]		C51	1005
{Or	Code <Cd>	[1..1]	CodeSet		1005
Or}	Proprietary <Prtry>	[1..1]	±		1005
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1006

### 3.4.11.21.3 NetDividendRate <NetDvddRate>

*Presence:* [0..\*]

*Definition:* Cash dividend amount per equity after deductions or allowances have been made.

**NetDividendRate <NetDvddRate>** contains one of the following elements (see [NetDividendRateFormat43Choice](#) on page 995 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C1	996
Or	AmountAndRateStatus <AmtAndRateSts>	[1..1]			996
	Amount <Amt>	[1..1]	Amount	C1	997
	RateStatus <RateSts>	[1..1]	CodeSet		997
Or	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			997
	RateType <RateTp>	[1..1]			998
{Or	Code <Cd>	[1..1]	CodeSet		998
Or}	Proprietary <Prtry>	[1..1]	±		999
	Amount <Amt>	[1..1]	Amount	C1	999
	RateStatus <RateSts>	[0..1]		C51	1000
{Or	Code <Cd>	[1..1]	CodeSet		1000
Or}	Proprietary <Prtry>	[1..1]	±		1000
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1000

#### 3.4.11.21.4 InterestRateUsedForPayment <IntrstRateUsdForPmt>

*Presence:* [0..\*]

*Definition:* The actual interest rate used for the payment of the interest for the specified interest period.

*Usage guideline:* It is used to provide the applicable rate for the current payment, after all calculations have been performed, that is, application of period and method of interest computation.



**InterestRateUsedForPayment <IntrstRateUsdForPmt>** contains one of the following elements (see [InterestRateUsedForPaymentFormat10Choice](#) on page 1045 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1045
Or	Amount <Amt>	[1..1]	Amount	C1	1045
Or	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1046
	RateType <RateTp>	[1..1]			1046
{Or	Code <Cd>	[1..1]	CodeSet		1046
Or}	Proprietary <Prtry>	[1..1]	±		1047
	Amount <Amt>	[1..1]	Amount	C1	1047
	RateStatus <RateSts>	[0..1]		C51	1047
{Or	Code <Cd>	[1..1]	CodeSet		1048
Or}	Proprietary <Prtry>	[1..1]	±		1048
Or}	NotSpecifiedRate <NotSpcdfRate>	[1..1]	CodeSet		1048

#### 3.4.11.21.5 MaximumAllowedOversubscriptionRate <MaxAllwdOvrsbcptRate>

*Presence:* [0..1]

*Definition:* Maximum percentage of shares available through the over subscription privilege, usually a percentage of the basic subscription shares, for example, an account owner subscribing to 100 shares may over subscribe to a maximum of 50 additional shares when the over subscription maximum is 50 percent.

**MaximumAllowedOversubscriptionRate <MaxAllwdOvrsbcptRate>** contains one of the following elements (see [RateFormat3Choice](#) on page 1151 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1151
Or}	NotSpecifiedRate <NotSpcdfRate>	[1..1]	CodeSet		1151

#### 3.4.11.21.6 ProrationRate <PrratnRate>

*Presence:* [0..1]

*Definition:* Percentage of securities accepted by the offeror/issuer.

**ProrationRate <PrratnRate>** contains one of the following elements (see [RateFormat3Choice](#) on page 1151 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1151
Or}	NotSpecifiedRate <NotSpcdfRate>	[1..1]	CodeSet		1151

### 3.4.11.21.7 WithholdingTaxRate <WhldgTaxRate>

*Presence:* [0..\*]

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

**WithholdingTaxRate <WhldgTaxRate>** contains one of the following elements (see [RateAndAmountFormat47Choice](#) on page 1041 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1041
Or	NotSpecifiedRate <NotSpofdRate>	[1..1]	CodeSet		1042
Or	Amount <Amt>	[1..1]	Amount	C1	1042
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			1042
	RateType <RateTp>	[1..1]			1042
{Or	Code <Cd>	[1..1]	CodeSet		1043
Or}	Proprietary <Prtry>	[1..1]	±		1043
	Rate <Rate>	[1..1]	Rate		1043

### 3.4.11.21.8 SecondLevelTax <ScndLvITax>

*Presence:* [0..\*]

*Definition:* Rate at which the income will be withheld by a jurisdiction other than the jurisdiction of the issuer's country of tax incorporation, for which a relief at source and/or reclaim may be possible. It is levied in complement or offset of the withholding tax rate (TAXR) levied by the jurisdiction of the issuer's tax domicile.

**SecondLevelTax <ScndLvITax>** contains one of the following elements (see [RateAndAmountFormat47Choice](#) on page 1041 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1041
Or	NotSpecifiedRate <NotSpofdRate>	[1..1]	CodeSet		1042
Or	Amount <Amt>	[1..1]	Amount	C1	1042
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			1042
	RateType <RateTp>	[1..1]			1042
{Or	Code <Cd>	[1..1]	CodeSet		1043
Or}	Proprietary <Prtry>	[1..1]	±		1043
	Rate <Rate>	[1..1]	Rate		1043

### 3.4.11.21.9 TaxableIncomePerDividendShare <TaxblIncmPerDvddShr>

*Presence:* [0..\*]

*Definition:* Amount included in the dividend/NAV that is identified as gains directly or indirectly derived from interest payments, for example, in the context of the EU Savings directive.

**TaxableIncomePerDividendShare <TaxblIncmPerDvddShr>** contains the following elements (see [RateTypeAndAmountAndStatus33](#) on page 1039 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RateType <RateTp>	[1..1]			1039
{Or	Code <Cd>	[1..1]	CodeSet		1039
Or}	Proprietary <Prtry>	[1..1]	±		1039
	Amount <Amt>	[1..1]	Amount	C1	1040
	RateStatus <RateSts>	[0..1]		C51	1040
{Or	Code <Cd>	[1..1]	CodeSet		1041
Or}	Proprietary <Prtry>	[1..1]	±		1041

### 3.4.11.21.10 IssuerDeclaredExchangeRate <IssrDclrdXchgRate>

*Presence:* [0..1]

*Definition:* Exchange rate (provided by the issuer) between the dividend or interest rate in the paid currency and the declared dividend or interest rate.

**IssuerDeclaredExchangeRate <IssrDclrdXchgRate>** contains the following elements (see [ForeignExchangeTerms19](#) on page 940 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C1	940
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C1	940
	ExchangeRate <XchgRate>	[1..1]	Rate		941

### 3.4.11.21.11 TaxOnIncome <TaxOnIncm>

*Presence:* [0..1]

*Definition:* Overall tax withheld at source by fund managers prior to considering the tax obligation of each unit holder.

**TaxOnIncome <TaxOnIncm>** contains one of the following elements (see [RateAndAmountFormat46Choice](#) on page 1209 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1209
Or	NotSpecifiedRate <NotSpofdRate>	[1..1]	CodeSet		1209
Or}	Amount <Amt>	[1..1]	Amount	C1	1209

### 3.4.11.21.12 BidInterval <BidIntrvl>

*Presence:* [0..1]

*Definition:* Acceptable price increment used for submitting a bid.

**BidInterval** <BidIntrvl> contains one of the following elements (see [RateAndAmountFormat38Choice](#) on page 1210 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1210
Or	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1210
Or	Amount <Amt>	[1..1]	Amount	C1	1210
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		1211

### 3.4.11.22 PriceDetails <PricDtls>

*Presence:* [0..1]

*Definition:* Provides information about the prices related to a corporate action option.

**PriceDetails** <PricDtls> contains the following **CorporateActionPrice81** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CashInLieuOfSharePrice</b> <CshInLieuOfShrPric>	[0..1]	±		164
	<b>OverSubscriptionDepositPrice</b> <OverSbcptDpstPric>	[0..1]	±		165
	<b>MaximumCashToInstruct</b> <MaxCshToInst>	[0..1]	±		165
	<b>MinimumCashToInstruct</b> <MinCshToInst>	[0..1]	±		165
	<b>MinimumMultipleCashToInstruct</b> <MinMltplCshToInst>	[0..1]	±		166
	<b>MaximumPrice</b> <MaxPric>	[0..1]	±		166
	<b>MinimumPrice</b> <MinPric>	[0..1]	±		166
	<b>FirstBidIncrementPrice</b> <FrstBidIncrmtPric>	[0..1]	±		167
	<b>LastBidIncrementPrice</b> <LastBidIncrmtPric>	[0..1]	±		167

#### 3.4.11.22.1 CashInLieuOfSharePrice <CshInLieuOfShrPric>

*Presence:* [0..1]

*Definition:* Cash disbursement in lieu of equities; usually in lieu of fractional quantity.

**CashInLieuOfSharePrice <CshInLieuOfShrPric>** contains one of the following elements (see [PriceFormat57Choice](#) on page 1132 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1132
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1132
	PriceValue <PricVal>	[1..1]	Rate		1133
Or	AmountPrice <AmtPric>	[1..1]	±		1133
Or}	NotSpecifiedPrice <NotSpdfdPric>	[1..1]	CodeSet		1133

### 3.4.11.22.2 OverSubscriptionDepositPrice <OverSbcptDpstPric>

*Presence:* [0..1]

*Definition:* Amount of money required per over-subscribed equity as defined by the issuer.

**OverSubscriptionDepositPrice <OverSbcptDpstPric>** contains one of the following elements (see [PriceFormat57Choice](#) on page 1132 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1132
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1132
	PriceValue <PricVal>	[1..1]	Rate		1133
Or	AmountPrice <AmtPric>	[1..1]	±		1133
Or}	NotSpecifiedPrice <NotSpdfdPric>	[1..1]	CodeSet		1133

### 3.4.11.22.3 MaximumCashToInstruct <MaxCshToInst>

*Presence:* [0..1]

*Definition:* Maximum cash amount that may be instructed.

**MaximumCashToInstruct <MaxCshToInst>** contains one of the following elements (see [PriceFormat62Choice](#) on page 1125 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AmountPrice <AmtPric>	[1..1]			1126
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1126
	PriceValue <PricVal>	[1..1]	Amount	C1	1126
Or}	NotSpecifiedPrice <NotSpdfdPric>	[1..1]	CodeSet		1127

### 3.4.11.22.4 MinimumCashToInstruct <MinCshToInst>

*Presence:* [0..1]

*Definition:* Minimum cash amount that may be instructed.

**MinimumCashToInstruct <MinCshToInst>** contains one of the following elements (see [PriceFormat62Choice](#) on page 1125 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AmountPrice <AmtPric>	[1..1]			1126
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1126
	PriceValue <PricVal>	[1..1]	Amount	C1	1126
Or}	NotSpecifiedPrice <NotSpdfdPric>	[1..1]	CodeSet		1127

### 3.4.11.22.5 MinimumMultipleCashToInstruct <MinMltpCshToInst>

*Presence:* [0..1]

*Definition:* Minimum multiple of a cash amount that may be instructed.

**MinimumMultipleCashToInstruct <MinMltpCshToInst>** contains one of the following elements (see [PriceFormat62Choice](#) on page 1125 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AmountPrice <AmtPric>	[1..1]			1126
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1126
	PriceValue <PricVal>	[1..1]	Amount	C1	1126
Or}	NotSpecifiedPrice <NotSpdfdPric>	[1..1]	CodeSet		1127

### 3.4.11.22.6 MaximumPrice <MaxPric>

*Presence:* [0..1]

*Definition:* Maximum or cap price at which a holder can bid, for example, on a Dutch auction offer.

**MaximumPrice <MaxPric>** contains one of the following elements (see [PriceFormat59Choice](#) on page 1133 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1134
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1134
	PriceValue <PricVal>	[1..1]	Rate		1134
Or	AmountPrice <AmtPric>	[1..1]	±		1134
Or	NotSpecifiedPrice <NotSpdfdPric>	[1..1]	CodeSet		1135
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		1135

### 3.4.11.22.7 MinimumPrice <MinPric>

*Presence:* [0..1]

*Definition:* Minimum or floor price at which a holder can bid, for example, on a Dutch auction offer.

**MinimumPrice <MinPric>** contains one of the following elements (see [PriceFormat59Choice](#) on page 1133 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1134
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1134
	PriceValue <PricVal>	[1..1]	Rate		1134
Or	AmountPrice <AmtPric>	[1..1]	±		1134
Or	NotSpecifiedPrice <NotSpdfdPric>	[1..1]	CodeSet		1135
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		1135

### 3.4.11.22.8 FirstBidIncrementPrice <FrstBidIncrmtPric>

*Presence:* [0..1]

*Definition:* First acceptable price after the Minimum Price at which a holder can bid, for example on a Dutch auction offer.

**FirstBidIncrementPrice <FrstBidIncrmtPric>** contains one of the following elements (see [PriceFormat59Choice](#) on page 1133 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1134
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1134
	PriceValue <PricVal>	[1..1]	Rate		1134
Or	AmountPrice <AmtPric>	[1..1]	±		1134
Or	NotSpecifiedPrice <NotSpdfdPric>	[1..1]	CodeSet		1135
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		1135

### 3.4.11.22.9 LastBidIncrementPrice <LastBidIncrmtPric>

*Presence:* [0..1]

*Definition:* Last acceptable price before the Maximum Price at which a holder can bid, for example on a Dutch auction offer.

**LastBidIncrementPrice <LastBidIncrmtPric>** contains one of the following elements (see [PriceFormat59Choice](#) on page 1133 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1134
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1134
	PriceValue <PricVal>	[1..1]	Rate		1134
Or	AmountPrice <AmtPric>	[1..1]	±		1134
Or	NotSpecifiedPrice <NotSpctdPric>	[1..1]	CodeSet		1135
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		1135

### 3.4.11.23 SecuritiesQuantity <SctiesQty>

*Presence:* [0..1]

*Definition:* Provides information about securities quantity linked to a corporate action option.

**SecuritiesQuantity <SctiesQty>** contains the following **SecuritiesOption84** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>MaximumQuantityToInstruct</b> <MaxQtyToInst>	[0..1]	±	C25	168
	<b>MinimumQuantityToInstruct</b> <MinQtyToInst>	[0..1]	±	C25	169
	<b>MinimumMultipleQuantityToInstruct</b> <MinMltplQtyToInst>	[0..1]	±	C26	169
	<b>NewBoardLotQuantity</b> <NewBrdLotQty>	[0..1]	±	C26	170
	<b>NewDenominationQuantity</b> <NewDnmtnQty>	[0..1]	±	C26	170
	<b>FrontEndOddLotQuantity</b> <FrntEndOddLotQty>	[0..1]	±	C26	171
	<b>BackEndOddLotQuantity</b> <BckEndOddLotQty>	[0..1]	±	C26	171

#### 3.4.11.23.1 MaximumQuantityToInstruct <MaxQtyToInst>

*Presence:* [0..1]

*Definition:* Maximum quantity of financial instrument that may be instructed.

*Impacted by:* [C25 DigitalTokenUnitUsageRule](#)



**MaximumQuantityToInstruct <MaxQtyToInst>** contains one of the following elements (see [FinancialInstrumentQuantity44Choice](#) on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1148
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1148
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1148
Or	Code <Cd>	[1..1]	CodeSet		1149
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1149

**Constraints**

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

**3.4.11.23.2 MinimumQuantityToInstruct <MinQtyToInst>**

*Presence:* [0..1]

*Definition:* Minimum quantity of financial instrument that may be instructed.

*Impacted by:* [C25 DigitalTokenUnitUsageRule](#)

**MinimumQuantityToInstruct <MinQtyToInst>** contains one of the following elements (see [FinancialInstrumentQuantity44Choice](#) on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1148
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1148
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1148
Or	Code <Cd>	[1..1]	CodeSet		1149
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1149

**Constraints**

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

**3.4.11.23.3 MinimumMultipleQuantityToInstruct <MinMltplQtyToInst>**

*Presence:* [0..1]

*Definition:* Minimum multiple quantity of financial instrument that may be instructed.

*Impacted by:* [C26 DigitalTokenUnitUsageRule](#)

**MinimumMultipleQuantityToInstruct <MinMltplQtyToInst>** contains one of the following elements (see [FinancialInstrumentQuantity43Choice](#) on page 1149 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1149
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1149
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1150
Or	Code <Cd>	[1..1]	CodeSet		1150
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1150

**Constraints**

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

**3.4.11.23.4 NewBoardLotQuantity <NewBrdLotQty>**

*Presence:* [0..1]

*Definition:* Quantity of equity that makes up the new board lot.

*Impacted by:* [C26 DigitalTokenUnitUsageRule](#)

**NewBoardLotQuantity <NewBrdLotQty>** contains one of the following elements (see [FinancialInstrumentQuantity43Choice](#) on page 1149 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1149
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1149
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1150
Or	Code <Cd>	[1..1]	CodeSet		1150
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1150

**Constraints**

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

**3.4.11.23.5 NewDenominationQuantity <NewDnmtnQty>**

*Presence:* [0..1]

*Definition:* New denomination of the equity following, for example, an increase or decrease in nominal value.

*Impacted by:* [C26 DigitalTokenUnitUsageRule](#)

**NewDenominationQuantity <NewDnmtnQty>** contains one of the following elements (see [FinancialInstrumentQuantity43Choice](#) on page 1149 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1149
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1149
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1150
Or	Code <Cd>	[1..1]	CodeSet		1150
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1150

**Constraints**

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

**3.4.11.23.6 FrontEndOddLotQuantity <FrntEndOddLotQty>**

*Presence:* [0..1]

*Definition:* Specifies that if an order is prorated holders of odd lots who tender their full position will not have tendered position prorated but rather accepted in full.

*Impacted by:* [C26 DigitalTokenUnitUsageRule](#)

**FrontEndOddLotQuantity <FrntEndOddLotQty>** contains one of the following elements (see [FinancialInstrumentQuantity43Choice](#) on page 1149 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1149
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1149
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1150
Or	Code <Cd>	[1..1]	CodeSet		1150
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1150

**Constraints**

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

**3.4.11.23.7 BackEndOddLotQuantity <BckEndOddLotQty>**

*Presence:* [0..1]

*Definition:* Represents the presence of a back end odd lot provision and the quantity of equity required after proration to be eligible for this privilege.

*Impacted by:* [C26 DigitalTokenUnitUsageRule](#)

**BackEndOddLotQuantity <BckEndOddLotQty>** contains one of the following elements (see [FinancialInstrumentQuantity43Choice](#) on page 1149 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1149
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1149
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1150
Or	Code <Cd>	[1..1]	CodeSet		1150
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1150

**Constraints**

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

**3.4.11.24 SecuritiesMovementDetails <SctiesMvmntDtls>**

*Presence:* [0..\*]

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

*Impacted by:* [C39 ExemptionTypeUsageRule](#), [C55 IncomeType1Rule](#), [C57 IncomeTypeUsageRule](#), [C69 IssuerOfferorTaxabilityIndicatorUsageRule](#)

**SecuritiesMovementDetails <SctiesMvmntDtls>** contains the following **SecuritiesOption98** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>SecurityDetails</b> <SctyDtls>	[1..1]	±	C76, C98	175
	<b>CreditDebitIndicator</b> <CdtDbtInd>	[1..1]	CodeSet		177
	<b>TemporaryFinancialInstrumentIndicator</b> <TempFinInstrmlnd>	[0..1]	±		177
	<b>NonEligibleProceedsIndicator</b> <NonElgblPrcdsInd>	[0..1]	±		177
	<b>IssuerOfferorTaxabilityIndicator</b> <IssrOfferrTaxbltyInd>	[0..1]	±		177
	<b>NewSecuritiesIssuanceIndicator</b> <NewSctiesIssnclnd>	[0..1]	CodeSet		178
	<b>IncomeType</b> <IncmTp>	[0..1]	±		178
	<b>OtherIncomeType</b> <OthrlncmTp>	[0..*]	±		179
	<b>ExemptionType</b> <XmptnTp>	[0..*]	±		179
	<b>EntitledQuantity</b> <EntitldQty>	[0..1]	±		179
	<b>SafekeepingPlace</b> <SfkpgPlc>	[0..1]	±		180
	<b>CountryOfIncomeSource</b> <CtryOfIncmSrc>	[0..1]	CodeSet	C16	180
	<b>FractionDisposition</b> <FrctnDspstn>	[0..1]	±		180
	<b>CurrencyOption</b> <CcyOptn>	[0..1]	CodeSet	C1	181
	<b>TradingPeriod</b> <TradgPrd>	[0..1]	±		181
	<b>DateDetails</b> <DtDtls>	[1..1]			181
	<b>PaymentDate</b> <PmtDt>	[1..1]	±		182
	<b>AvailableDate</b> <AvlblDt>	[0..1]	±		182
	<b>DividendRankingDate</b> <DvddRnkgDt>	[0..1]	±		182
	<b>EarliestPaymentDate</b> <EarlstPmtDt>	[0..1]	±		183
	<b>PariPassuDate</b> <PrpssDt>	[0..1]	±		183
	<b>LastTradingDate</b> <LastTradgDt>	[0..1]	±		183
	<b>RateDetails</b> <RateDtls>	[0..1]			184
	<b>AdditionalQuantityForSubscribedResultantSecurities</b> <AddtlQtyForSbcbrRsltntScties>	[0..1]	±		184
	<b>AdditionalQuantityForExistingSecurities</b> <AddtlQtyForExstgScties>	[0..1]	±		185
	<b>NewToOld</b> <NewToOd>	[0..1]	±		185
	<b>TransformationRate</b> <TrfrmatnRate>	[0..1]	Rate		186
	<b>ChargesFees</b> <ChrgsFees>	[0..1]	±		186

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>FiscalStamp</b> <FscIStmp>	[0..1]	±		186
	<b>ApplicableRate</b> <AplblRate>	[0..1]	±		187
	<b>TaxCreditRate</b> <TaxCdtRate>	[0..1]	±		187
	<b>FinancialTransactionTaxRate</b> <FinTxTaxRate>	[0..1]	±		187
	<b>WithholdingTaxRate</b> <WhldgTaxRate>	[0..*]	±		187
	<b>SecondLevelTax</b> <ScndLvlTax>	[0..*]	±		188
	<b>PriceDetails</b> <PricDtls>	[0..1]		C45	188
	<b>IndicativeOrMarketPrice</b> <IndctvOrMktPric>	[0..1]	±		189
	<b>CashInLieuOfSharePrice</b> <CshInLieuOfShrPric>	[0..1]	±		189
	<b>CashValueForTax</b> <CshValForTax>	[0..1]	±		190
	<b>GenericCashPricePaidPerProduct</b> <GncCshPricPdPerPdct>	[0..1]	±		190
	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		190
	<b>AmountDetails</b> <AmtDtls>	[0..1]			191
	<b>WithholdingTaxAmount</b> <WhldgTaxAmt>	[0..1]	Amount	C1, C17	191
	<b>SecondLevelTaxAmount</b> <ScndLvlTaxAmt>	[0..1]	Amount	C1, C17	192

### Constraints

- **ExemptionTypeUsageRule**

(Rule)

The lists of exemption type codes to be used in ExemptionType are provided in the document "ETYP-ITYP Exemption & Income Type Codes" available on the SMPG website at [www.smpg.info](http://www.smpg.info).

*Error handling:*

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

- **IncomeType1Rule**

(Rule)

If at least one occurrence of OtherIncomeType is present, then IncomeType must be present.

On Condition

/OtherIncomeType[\*] is present

Following Must be True

/IncomeType Must be present

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00544
- *Error Text:* Invalid message contents for IncomeType. Element must be present.

- **IncomeTypeUsageRule**

(Rule)

The lists of income type codes to be used in IncomeType are provided in the document "ETYP-ITYP Exemption & Income Type Codes" available on the SMPG website at [www.smpg.info](http://www.smpg.info).

*Error handling:*

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

- **IssuerOfferorTaxabilityIndicatorUsageRule**

(Rule)

The IssuerOfferorTaxabilityIndicator may only be used when no tax rate is provided in the message and it must not be used in events such as dividend or interest.

The list of proprietary IssuerOfferorTaxabilityIndicator codes that may be used are provided in the document "TXAP Taxability Codes" available on the SMPG website at [www.smpg.info](http://www.smpg.info).

### 3.4.11.24.1 SecurityDetails <SctyDtIs>

*Presence:* [1..1]

*Definition:* Provides description of the financial instrument related to securities movement.

*Impacted by:* C76 MaturityDateRule, C98 PreviousNextFactorRule

**SecurityDetails <SctyDtIs>** contains the following elements (see [FinancialInstrumentAttributes115](#) on page 919 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C12, C13, C19, C20, C23	921
	PlaceOfListing <PlcOfListg>	[0..1]	±		922
	DayCountBasis <DayCntBsis>	[0..1]	±		922
	ClassificationType <ClssfctnTp>	[0..1]	±		923
	OptionStyle <OptnStyle>	[0..1]	±		923
	DenominationCurrency <DnmtnCcy>	[0..1]	CodeSet	C2	923
	NextCouponDate <NxtCpnDt>	[0..1]	Date		924
	FloatingRateFixingDate <FltgRateFxdt>	[0..1]	Date		924
	MaturityDate <MtrtyDt>	[0..1]	Date		924
	IssueDate <IsseDt>	[0..1]	Date		924
	NextCallableDate <NxtClldDt>	[0..1]	Date		924
	PutableDate <PutblDt>	[0..1]	Date		924
	DatedDate <DtdDt>	[0..1]	Date		924
	ConversionDate <ConvsDt>	[0..1]	Date		925
	PreviousFactor <PrvsFctr>	[0..1]	±		925
	NextFactor <NxtFctr>	[0..1]	±		925
	InterestRate <IntrstRate>	[0..1]	±		925
	NextInterestRate <NxtIntrstRate>	[0..1]	±		925
	MinimumNominalQuantity <MinNmnlQty>	[0..1]	±	C14	926
	MinimumQuantityToInstruct <MinQtyToInst>	[0..1]	±	C14	926
	MinimumMultipleQuantityToInstruct <MinMltpQtyToInst>	[0..1]	±	C14	927
	ContractSize <CtrctSz>	[0..1]	±	C14	927
	IssuePrice <IssePric>	[0..1]	±		928

**Constraints**

- **MaturityDateRule**  
 (Rule)



Maturity date may only provide generic information about the final maturity of the underlying instrument.

- **PreviousNextFactorRule**

(Rule)

In case of partial redemption by pool factor, PreviousFactor provides the factor applicable before redemption and NextFactor provides the factor applicable after redemption.

### 3.4.11.24.2 CreditDebitIndicator <CdtDbtInd>

*Presence:* [1..1]

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

*Datatype:* [CreditDebitCode on page 1309](#)

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

### 3.4.11.24.3 TemporaryFinancialInstrumentIndicator <TempFinInstrmInd>

*Presence:* [0..1]

*Definition:* Specifies that the security identified is a temporary security identification used for processing reasons, for example, contra security used in the US.

**TemporaryFinancialInstrumentIndicator <TempFinInstrmInd>** contains one of the following elements (see [TemporaryFinancialInstrumentIndicator4Choice on page 1038](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	TemporaryIndicator <TempInd>	[1..1]	Indicator		1038
Or}	Proprietary <Prtry>	[1..1]	±		1038

### 3.4.11.24.4 NonEligibleProceedsIndicator <NonElgblPrcdsInd>

*Presence:* [0..1]

*Definition:* Specifies information regarding outturn resources that cannot be processed by the Central Securities Depository (CSD). Special delivery instruction is required from the account owner for the corporate action outcome to be credited.

**NonEligibleProceedsIndicator <NonElgblPrcdsInd>** contains one of the following elements (see [NonEligibleProceedsIndicator4Choice on page 1037](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1037
Or}	Proprietary <Prtry>	[1..1]	±		1038

### 3.4.11.24.5 IssuerOfferorTaxabilityIndicator <IssrOfferrTaxbltyInd>

*Presence:* [0..1]

*Definition:* Proceeds are taxable according to the information provided by the issuer / offeror.

**IssuerOfferorTaxabilityIndicator <IssrOfferrTaxbltyInd>** contains one of the following elements (see [IssuerOfferorTaxabilityIndicator1Choice](#) on page 1074 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1074
Or}	Proprietary <Prtry>	[1..1]	±		1075

### 3.4.11.24.6 NewSecuritiesIssuanceIndicator <NewScetiesIssncInd>

*Presence:* [0..1]

*Definition:* Specifies the nature of the securities issue.

*Datatype:* [NewSecuritiesIssuanceType5Code](#) on page 1324

CodeName	Name	Definition
DEFE	DefeasedSecurityIndicator	Funds have been placed in escrow by a trustee or agent to ensure payment on a portion of the outstanding balance of the original security on maturity date. Applicable only in the frame of a Partial Defeasance PDEF corporate action event.
EXIS	ExistingIssue	Securities proceeds are not new issues.
NEIS	NewIssue	Securities proceeds are newly issued.
NDEF	NonDefeasedSecurityIndicator	Funds will not be guaranteed at maturity by the issuer or paying agent for this newly issued non-defeased security. Applicable only in the frame of a Partial Defeasance PDEF corporate action event.
UKWN	Unknown	Not known whether the securities proceeds are newly issued or not.
NREF	NonRefundedSecurityIndicator	New Security issued that has not been refunded and the maturity date of the original underlying security is unchanged. Applicable only in the frame of a Partial Defeasance PDEF corporate action event.
REFU	RefundedSecurityIndicator	New security issued that has been refunded to an earlier maturity date. Applicable only in the frame of a partial defeasance PDEF corporate action event.

### 3.4.11.24.7 IncomeType <IncmTp>

*Presence:* [0..1]

*Definition:* Specifies the type of income.

The lists of income type codes to be used, are available on the SMPG website at [www.smpg.info](http://www.smpg.info).

**IncomeType <IncmTp>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 3.4.11.24.8 OtherIncomeType <OthrlncmTp>

*Presence:* [0..\*]

*Definition:* Type of income to be used under another tax regime.

**OtherIncomeType <OthrlncmTp>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 3.4.11.24.9 ExemptionType <XmptnTp>

*Presence:* [0..\*]

*Definition:* Specifies the basis for the reduced rate of withholding.

**ExemptionType <XmptnTp>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 3.4.11.24.10 EntitledQuantity <EntitldQty>

*Presence:* [0..1]

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

**EntitledQuantity <EntitldQty>** contains one of the following elements (see [Quantity54Choice](#) on page 1145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±	C14	1146
Or}	OriginalAndCurrentFace <OrgnlAndCurFace>	[1..1]	±		1146

### 3.4.11.24.11 SafekeepingPlace <SfkpgPlc>

*Presence:* [0..1]

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

**SafekeepingPlace <SfkpgPlc>** contains one of the following elements (see [SafekeepingPlaceFormat39Choice](#) on page 1218 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]	±		1218
Or	Country <Ctry>	[1..1]	CodeSet	C3	1219
Or	TypeAndIdentification <TpAndId>	[1..1]			1219
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		1219
	Identification <Id>	[1..1]	IdentifierSet	C1	1220
Or}	Proprietary <Prtry>	[1..1]	±		1220

### 3.4.11.24.12 CountryOfIncomeSource <CtryOfIncmSrc>

*Presence:* [0..1]

*Definition:* Indicates the country from which the income originates.

*Impacted by:* [C16 Country](#)

*Datatype:* [CountryCode](#) on page 1309

#### 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.

### 3.4.11.24.13 FractionDisposition <FrctnDspstn>

*Presence:* [0..1]

*Definition:* Specifies how fractions resulting from derived securities will be processed or how prorated decisions will be rounding, if provided with a pro ration rate.

**FractionDisposition <FrctnDspstn>** contains one of the following elements (see [FractionDispositionType31Choice](#) on page 1051 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1051
Or}	Proprietary <Prtry>	[1..1]	±		1051

### 3.4.11.24.14 CurrencyOption <CcyOptn>

*Presence:* [0..1]

*Definition:* Currency in which the cash disbursed from an interest or dividend payment is offered.

*Impacted by:* [C1 ActiveCurrency](#)

*Datatype:* [ActiveCurrencyCode](#) on page 1261

#### Constraints

- **ActiveCurrency**

(Rule)

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

*Error handling:*

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

### 3.4.11.24.15 TradingPeriod <TradgPrd>

*Presence:* [0..1]

*Definition:* Period during which intermediate or outturn securities are tradable in a secondary market.

**TradingPeriod <TradgPrd>** contains one of the following elements (see [Period6Choice](#) on page 891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Period <Prd>	[1..1]	±		892
Or}	PeriodCode <PrdCd>	[1..1]	CodeSet		892

### 3.4.11.24.16 DateDetails <DtDtIs>

*Presence:* [1..1]

*Definition:* Provides information about the dates related to securities movement.

**DateDetails <DtDtls>** contains the following **SecurityDate24** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>PaymentDate</b> <PmtDt>	[1..1]	±		182
	<b>AvailableDate</b> <AvlbidDt>	[0..1]	±		182
	<b>DividendRankingDate</b> <DvddRnkgDt>	[0..1]	±		182
	<b>EarliestPaymentDate</b> <EarlstPmtDt>	[0..1]	±		183
	<b>PariPassuDate</b> <PrpssDt>	[0..1]	±		183
	<b>LastTradingDate</b> <LastTradgDt>	[0..1]	±		183

#### 3.4.11.24.16.1 PaymentDate <PmtDt>

*Presence:* [1..1]

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

**PaymentDate <PmtDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

#### 3.4.11.24.16.2 AvailableDate <AvlbidDt>

*Presence:* [0..1]

*Definition:* Date/time at which securities become available for trading, for example first dealing date.

**AvailableDate <AvlbidDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

#### 3.4.11.24.16.3 DividendRankingDate <DvddRnkgDt>

*Presence:* [0..1]

*Definition:* Date/time at which a security will be entitled to a dividend.

**DividendRankingDate <DvddRnkgDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

#### 3.4.11.24.16.4 EarliestPaymentDate <EarlstPmtDt>

*Presence:* [0..1]

*Definition:* Date/time at which a payment can be made, for example, if payment date is a non-business day or to indicate the first payment date of an offer.

**EarliestPaymentDate <EarlstPmtDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

#### 3.4.11.24.16.5 PariPassuDate <PrpssDt>

*Presence:* [0..1]

*Definition:* Date/time at which security will assimilate, become fungible, or have the same rights to dividends as the parent issue.

**PariPassuDate <PrpssDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

#### 3.4.11.24.16.6 LastTradingDate <LastTradgDt>

*Presence:* [0..1]

*Definition:* Date/time at which the securities to be reorganised will cease to be tradeable.

**LastTradingDate <LastTradgDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

### 3.4.11.24.17 RateDetails <RateDtls>

*Presence:* [0..1]

*Definition:* Provides information about the rates related to securities movement.

**RateDetails <RateDtls>** contains the following **CorporateActionRate116** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AdditionalQuantityForSubscribedResultantSecurities</b> <AddtlQtyForSbcbdRsltntScies>	[0..1]	±		184
	<b>AdditionalQuantityForExistingSecurities</b> <AddtlQtyForExstgScies>	[0..1]	±		185
	<b>NewToOld</b> <NewToOd>	[0..1]	±		185
	<b>TransformationRate</b> <TrfrmatnRate>	[0..1]	Rate		186
	<b>ChargesFees</b> <ChrgsFees>	[0..1]	±		186
	<b>FiscalStamp</b> <FscIStmp>	[0..1]	±		186
	<b>ApplicableRate</b> <AplblRate>	[0..1]	±		187
	<b>TaxCreditRate</b> <TaxCdtRate>	[0..1]	±		187
	<b>FinancialTransactionTaxRate</b> <FinTxTaxRate>	[0..1]	±		187
	<b>WithholdingTaxRate</b> <WhldgTaxRate>	[0..*]	±		187
	<b>SecondLevelTax</b> <ScndLvITax>	[0..*]	±		188

#### 3.4.11.24.17.1 AdditionalQuantityForSubscribedResultantSecurities <AddtlQtyForSbcbdRsltntScies>

*Presence:* [0..1]

*Definition:* Quantity of additional intermediate securities/new equities awarded for a given quantity of securities derived from subscription.



**AdditionalQuantityForSubscribedResultantSecurities <AddtlQtyForSbcbdrslntScies>** contains one of the following elements (see [RatioFormat23Choice](#) on page 1035 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	QuantityToQuantity <QtyToQty>	[1..1]	±		1036
Or	NotSpecifiedRate <NotSpdfdRate>	[1..1]	CodeSet		1036
Or}	AmountToAmount <AmtToAmt>	[1..1]			1036
	Amount1 <Amt1>	[1..1]	Amount	C1	1036
	Amount2 <Amt2>	[1..1]	Amount	C1	1037

### 3.4.11.24.17.2 AdditionalQuantityForExistingSecurities <AddtlQtyForExstgScies>

*Presence:* [0..1]

*Definition:* Quantity of additional securities for a given quantity of underlying securities where underlying securities are not exchanged or debited, for example, 1 for 1: 1 new equity credited for every 1 underlying equity = 2 resulting equities.

**AdditionalQuantityForExistingSecurities <AddtlQtyForExstgScies>** contains one of the following elements (see [RatioFormat23Choice](#) on page 1035 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	QuantityToQuantity <QtyToQty>	[1..1]	±		1036
Or	NotSpecifiedRate <NotSpdfdRate>	[1..1]	CodeSet		1036
Or}	AmountToAmount <AmtToAmt>	[1..1]			1036
	Amount1 <Amt1>	[1..1]	Amount	C1	1036
	Amount2 <Amt2>	[1..1]	Amount	C1	1037

### 3.4.11.24.17.3 NewToOld <NewToOd>

*Presence:* [0..1]

*Definition:* Quantity of new securities for a given quantity of underlying securities, where the underlying securities will be exchanged or debited, for example, 2 for 1: 2 new equities credited for every 1 underlying equity debited = 2 resulting equities.

**NewToOld <NewToOd>** contains one of the following elements (see [RatioFormat24Choice](#) on page 1031 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	QuantityToQuantity <QtyToQty>	[1..1]	±		1032
Or	NotSpecifiedRate <NotSpdfdRate>	[1..1]	CodeSet		1032
Or	AmountToAmount <AmtToAmt>	[1..1]			1032
	Amount1 <Amt1>	[1..1]	Amount	C1	1033
	Amount2 <Amt2>	[1..1]	Amount	C1	1033
Or	AmountToQuantity <AmtToQty>	[1..1]			1034
	Amount <Amt>	[1..1]	Amount	C1	1034
	Quantity <Qty>	[1..1]	Quantity		1034
Or}	QuantityToAmount <QtyToAmt>	[1..1]			1034
	Amount <Amt>	[1..1]	Amount	C1	1035
	Quantity <Qty>	[1..1]	Quantity		1035

#### 3.4.11.24.17.4 TransformationRate <TrfrmatnRate>

*Presence:* [0..1]

*Definition:* Rate used to determine the cash consideration split across outturn settlement transactions that are the result of a transformation of the parent transaction.

*Datatype:* [PercentageRate](#) on page 1347

#### 3.4.11.24.17.5 ChargesFees <ChrgsFees>

*Presence:* [0..1]

*Definition:* Rate used to calculate the amount of the charges/fees that cannot be categorised.

**ChargesFees <ChrgsFees>** contains one of the following elements (see [RateAndAmountFormat46Choice](#) on page 1209 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1209
Or	NotSpecifiedRate <NotSpdfdRate>	[1..1]	CodeSet		1209
Or}	Amount <Amt>	[1..1]	Amount	C1	1209

#### 3.4.11.24.17.6 FiscalStamp <FscIStmp>

*Presence:* [0..1]

*Definition:* Percentage of fiscal tax to apply.

**FiscalStamp <FscIStmp>** contains one of the following elements (see [RateFormat3Choice](#) on page 1151 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1151
Or}	NotSpecifiedRate <NotSpdfdRate>	[1..1]	CodeSet		1151

#### 3.4.11.24.17.7 ApplicableRate <AplblRate>

*Presence:* [0..1]

*Definition:* Rate applicable to the event announced, for example, redemption rate for a redemption event.

**ApplicableRate <AplblRate>** contains one of the following elements (see [RateFormat3Choice](#) on page 1151 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1151
Or}	NotSpecifiedRate <NotSpdfdRate>	[1..1]	CodeSet		1151

#### 3.4.11.24.17.8 TaxCreditRate <TaxCdtRate>

*Presence:* [0..1]

*Definition:* Amount of money per equity allocated as the result of a tax credit.

**TaxCreditRate <TaxCdtRate>** contains one of the following elements (see [RateFormat21Choice](#) on page 1207 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1207
Or	Amount <Amt>	[1..1]	Amount	C1	1207
Or}	NotSpecifiedRate <NotSpdfdRate>	[1..1]	CodeSet		1208

#### 3.4.11.24.17.9 FinancialTransactionTaxRate <FinTxTaxRate>

*Presence:* [0..1]

*Definition:* Rate of financial transaction tax.

**FinancialTransactionTaxRate <FinTxTaxRate>** contains one of the following elements (see [RateFormat3Choice](#) on page 1151 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1151
Or}	NotSpecifiedRate <NotSpdfdRate>	[1..1]	CodeSet		1151

#### 3.4.11.24.17.10 WithholdingTaxRate <WhldgTaxRate>

*Presence:* [0..\*]

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

**WithholdingTaxRate <WhldgTaxRate>** contains one of the following elements (see [RateAndAmountFormat47Choice](#) on page 1041 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1041
Or	NotSpecifiedRate <NotSpcdfRate>	[1..1]	CodeSet		1042
Or	Amount <Amt>	[1..1]	Amount	C1	1042
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			1042
	RateType <RateTp>	[1..1]			1042
{Or	Code <Cd>	[1..1]	CodeSet		1043
Or}	Proprietary <Prtry>	[1..1]	±		1043
	Rate <Rate>	[1..1]	Rate		1043

#### 3.4.11.24.17.11 SecondLevelTax <ScndLvITax>

*Presence:* [0..\*]

*Definition:* Rate at which the income will be withheld by a jurisdiction other than the jurisdiction of the issuer's country of tax incorporation, for which a relief at source and/or reclaim may be possible. It is levied in complement or offset of the withholding tax rate (TAXR) levied by the jurisdiction of the issuer's tax domicile.

**SecondLevelTax <ScndLvITax>** contains one of the following elements (see [RateAndAmountFormat47Choice](#) on page 1041 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1041
Or	NotSpecifiedRate <NotSpcdfRate>	[1..1]	CodeSet		1042
Or	Amount <Amt>	[1..1]	Amount	C1	1042
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			1042
	RateType <RateTp>	[1..1]			1042
{Or	Code <Cd>	[1..1]	CodeSet		1043
Or}	Proprietary <Prtry>	[1..1]	±		1043
	Rate <Rate>	[1..1]	Rate		1043

#### 3.4.11.24.18 PriceDetails <PricDtls>

*Presence:* [0..1]

*Definition:* Provides information about the prices related to securities movement.

*Impacted by:* [C45 GenericCashPricePerProductGuideline](#)

**PriceDetails <PricDtls>** contains the following **CorporateActionPrice79** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>IndicativeOrMarketPrice</b> <IndctvOrMktPric>	[0..1]	±		189
	<b>CashInLieuOfSharePrice</b> <CshInLieuOfShrPric>	[0..1]	±		189
	<b>CashValueForTax</b> <CshValForTax>	[0..1]	±		190
	<b>GenericCashPricePaidPerProduct</b> <GncCshPricPdPerPdct>	[0..1]	±		190
	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		190

**Constraints**

- **GenericCashPricePerProductGuideline**

(Guideline)

GenericCashPriceReceivedPerProduct and GenericCashPricePaidPerProduct are prices received or paid in the course of an event. The specific meaning (redemption price, subscription price, reinvestment price, etc.) is derived from the event type.

**3.4.11.24.18.1 IndicativeOrMarketPrice <IndctvOrMktPric>**

*Presence:* [0..1]

*Definition:* Indicates whether the price is an indicative price or a market price.

**IndicativeOrMarketPrice <IndctvOrMktPric>** contains one of the following elements (see [IndicativeOrMarketPrice11Choice](#) on page 1129 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IndicativePrice <IndctvPric>	[1..1]	±		1130
Or}	MarketPrice <MktPric>	[1..1]	±		1130

**3.4.11.24.18.2 CashInLieuOfSharePrice <CshInLieuOfShrPric>**

*Presence:* [0..1]

*Definition:* Cash disbursement in lieu of equities; usually in lieu of fractional quantity.

**CashInLieuOfSharePrice <CshInLieuOfShrPric>** contains one of the following elements (see [PriceFormat57Choice](#) on page 1132 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1132
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1132
	PriceValue <PricVal>	[1..1]	Rate		1133
Or	AmountPrice <AmtPric>	[1..1]	±		1133
Or}	NotSpecifiedPrice <NotSpcfdPric>	[1..1]	CodeSet		1133

### 3.4.11.24.18.3 CashValueForTax <CshValForTax>

*Presence:* [0..1]

*Definition:* Cash value of resulting securities proceeds for tax calculation and/or reporting.

**CashValueForTax <CshValForTax>** contains one of the following elements (see [PriceFormat58Choice](#) on page 1131 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AmountPrice <AmtPric>	[1..1]	±		1131
Or}	NotSpecifiedPrice <NotSpdfdPric>	[1..1]	CodeSet		1132

### 3.4.11.24.18.4 GenericCashPricePaidPerProduct <GncCshPricPdPerPdct>

*Presence:* [0..1]

*Definition:* Generic cash price paid per product by the underlying security holder either as a percentage or an amount or a number of points above an index, for example, reinvestment price, strike price and exercise price.

**GenericCashPricePaidPerProduct <GncCshPricPdPerPdct>** contains one of the following elements (see [PriceFormat59Choice](#) on page 1133 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1134
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1134
	PriceValue <PricVal>	[1..1]	Rate		1134
Or	AmountPrice <AmtPric>	[1..1]	±		1134
Or	NotSpecifiedPrice <NotSpdfdPric>	[1..1]	CodeSet		1135
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		1135

### 3.4.11.24.18.5 GenericCashPriceReceivedPerProduct <GncCshPricRcvdPerPdct>

*Presence:* [0..1]

*Definition:* Generic cash price received per product by the underlying security holder either as a percentage or an amount, for example, redemption price.

**GenericCashPriceReceivedPerProduct <GncCshPricRcvdPerPdct>** contains one of the following elements (see [PriceFormat70Choice](#) on page 1120 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1121
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1121
	PriceValue <PricVal>	[1..1]	Rate		1122
Or	AmountPrice <AmtPric>	[1..1]	±		1122
Or	NotSpecifiedPrice <NotSpdfdPric>	[1..1]	CodeSet		1122
Or	AmountPricePerFinancialInstrumentQuantity <AmtPricPerFinInstrmQty>	[1..1]			1122
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1123
	PriceValue <PricVal>	[1..1]	Amount	C1	1123
	FinancialInstrumentQuantity <FinInstrmQty>	[1..1]	±	C14	1123
Or	AmountPricePerAmount <AmtPricPerAmt>	[1..1]			1124
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1124
	PriceValue <PricVal>	[1..1]	Amount	C1	1124
	Amount <Amt>	[1..1]	Amount	C1	1125
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		1125

### 3.4.11.24.19 AmountDetails <AmtDtls>

*Presence:* [0..1]

*Definition:* Provides information about the amounts related to a securities movement.

**AmountDetails <AmtDtls>** contains the following **CorporateActionAmounts61** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>WithholdingTaxAmount</b> <WhldgTaxAmt>	[0..1]	Amount	C1, C17	191
	<b>SecondLevelTaxAmount</b> <ScndLvlTaxAmt>	[0..1]	Amount	C1, C17	192

#### 3.4.11.24.19.1 WithholdingTaxAmount <WhldgTaxAmt>

*Presence:* [0..1]

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

*Impacted by:* C1 ActiveCurrency, C17 CurrencyAmount

*Datatype:* [RestrictedFINActiveCurrencyAndAmount](#) on page 1259

### Constraints

- **ActiveCurrency**

(Rule)

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

### 3.4.11.24.19.2 SecondLevelTaxAmount <ScndLvlTaxAmt>

*Presence:* [0..1]

*Definition:* Amount of money withheld by the jurisdiction other than the jurisdiction of the issuer's country of tax incorporation, for which a relief at source and/or reclaim may be possible. It is levied in complement or offset of the withholding tax rate levied by the jurisdiction of the issuer's tax domicile.

*Impacted by:* C1 ActiveCurrency, C17 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

### Constraints

- **ActiveCurrency**

(Rule)

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

### 3.4.11.25 CashMovementDetails <CshMvmntDtIs>

*Presence*: [0..\*]

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

*Impacted by*: C40 ExemptionTypeUsageRule, C56 IncomeType2Rule, C58 IncomeTypeUsageRule, C70 IssuerOfferorTaxabilityIndicatorUsageRule, C46 GenericCashPricePerProductGuideline

**CashMovementDetails <CshMvmntDtls>** contains the following **CashOption90** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CreditDebitIndicator</b> <CdtDbtInd>	[1..1]	CodeSet		198
	<b>ContractualPaymentIndicator</b> <CtrctlPmtInd>	[0..1]	CodeSet		198
	<b>NonEligibleProceedsIndicator</b> <NonElgblPrclsInd>	[0..1]	±		199
	<b>IssuerOfferorTaxabilityIndicator</b> <IssrOfferrTaxbltyInd>	[0..1]	±		199
	<b>IncomeType</b> <IncmTp>	[0..1]	±		199
	<b>OtherIncomeType</b> <OthrIncmTp>	[0..*]	±		199
	<b>ExemptionType</b> <XmptnTp>	[0..*]	±		200
	<b>CountryOfIncomeSource</b> <CtryOfIncmSrc>	[0..1]	CodeSet	C16	200
	<b>CashAccountIdentification</b> <CshAcctId>	[0..1]	±		200
	<b>AmountDetails</b> <AmtDtls>	[0..1]			201
	<b>GrossCashAmount</b> <GrssCshAmt>	[0..1]	Amount	C1, C17	204
	<b>NetCashAmount</b> <NetCshAmt>	[0..1]	Amount	C1, C17	204
	<b>SolicitationFees</b> <SlctnFees>	[0..1]	Amount	C1, C17	205
	<b>CashInLieuOfShare</b> <CshInLieuOfShr>	[0..1]	Amount	C1, C17	206
	<b>CapitalGain</b> <CptlGn>	[0..1]	Amount	C1, C17	207
	<b>InterestAmount</b> <IntrstAmt>	[0..1]	Amount	C1, C17	207
	<b>IndemnityAmount</b> <IndmntyAmt>	[0..1]	Amount	C1, C17	208
	<b>ManufacturedDividendPaymentAmount</b> <ManfctrdDvddPmtAmt>	[0..1]	Amount	C1, C17	209
	<b>ReinvestmentAmount</b> <RinvstmtAmt>	[0..1]	Amount	C1, C17	210
	<b>FullyFrankedAmount</b> <FullyFrnkAmt>	[0..1]	Amount	C1, C17	210
	<b>UnfrankedAmount</b> <UfrnkAmt>	[0..1]	Amount	C1, C17	211
	<b>SundryOrOtherAmount</b> <SndryOrOthrAmt>	[0..1]	Amount	C1, C17	212
	<b>TaxFreeAmount</b> <TaxFreeAmt>	[0..1]	Amount	C1, C17	212
	<b>TaxDeferredAmount</b> <TaxDfrrdAmt>	[0..1]	Amount	C1, C17	213
	<b>ValueAddedTaxAmount</b> <ValAddedTaxAmt>	[0..1]	Amount	C1, C17	214

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>StampDutyAmount</b> <StmpDtyAmt>	[0..1]	Amount	C1, C17	215
	<b>TaxReclaimAmount</b> <TaxRclmAmt>	[0..1]	Amount	C1, C17	215
	<b>TaxCreditAmount</b> <TaxCdtAmt>	[0..1]	Amount	C1, C17	216
	<b>AdditionalTaxAmount</b> <AddtlTaxAmt>	[0..1]	Amount	C1, C17	217
	<b>WithholdingTaxAmount</b> <WhldgTaxAmt>	[0..1]	Amount	C1, C17	217
	<b>SecondLevelTaxAmount</b> <ScndLvlTaxAmt>	[0..1]	Amount	C1, C17	218
	<b>FiscalStampAmount</b> <FscIStmpAmt>	[0..1]	Amount	C1, C17	219
	<b>ExecutingBrokerAmount</b> <ExctgBrkrAmt>	[0..1]	Amount	C1, C17	220
	<b>PayingAgentCommissionAmount</b> <PngAgtComssnAmt>	[0..1]	Amount	C1, C17	220
	<b>LocalBrokerCommissionAmount</b> <LclBrkrComssnAmt>	[0..1]	Amount	C1, C17	221
	<b>RegulatoryFeesAmount</b> <RgltryFeesAmt>	[0..1]	Amount	C1, C17	222
	<b>ShippingFeesAmount</b> <ShppgFeesAmt>	[0..1]	Amount	C1, C17	222
	<b>ChargesAmount</b> <ChrgsAmt>	[0..1]	Amount	C1, C17	223
	<b>EntitledAmount</b> <EntitldAmt>	[0..1]	Amount	C1, C17	224
	<b>OriginalAmount</b> <OrgnlAmt>	[0..1]	Amount	C1, C17	225
	<b>PrincipalOrCorpus</b> <PrncplOrCrps>	[0..1]	Amount	C1, C17	225
	<b>RedemptionPremiumAmount</b> <RedPrmAmt>	[0..1]	Amount	C1, C17	226
	<b>IncomePortion</b> <IncmPrtn>	[0..1]	Amount	C1, C17	227
	<b>StockExchangeTax</b> <StockXchgTax>	[0..1]	Amount	C1, C17	227
	<b>EUTaxRetentionAmount</b> <EUTaxRtntnAmt>	[0..1]	Amount	C1, C17	228
	<b>AccruedInterestAmount</b> <AcrdIntrstAmt>	[0..1]	Amount	C1, C17	229
	<b>EqualisationAmount</b> <EqulstnAmt>	[0..1]	Amount	C1, C17	230

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>FATCATaxAmount</b> <FATCATaxAmt>	[0..1]	Amount	C1, C17	230
	<b>NRATaxAmount</b> <NRATaxAmt>	[0..1]	Amount	C1, C17	231
	<b>BackUpWithholdingTaxAmount</b> <BckUpWhldgTaxAmt>	[0..1]	Amount	C1, C17	232
	<b>TaxOnIncomeAmount</b> <TaxOnIncmAmt>	[0..1]	Amount	C1, C17	232
	<b>TransactionTax</b> <TxTax>	[0..1]	Amount	C1, C17	233
	<b>DeemedAmount</b> <DmdAmt>	[0..1]	Amount	C1, C17	234
	<b>ForeignIncomeAmount</b> <FrgnIncmAmt>	[0..1]	Amount	C1, C17	235
	<b>DeemedDividendAmount</b> <DmdDvddAmt>	[0..1]	Amount	C1, C17	235
	<b>DeemedFundAmount</b> <DmdFndAmt>	[0..1]	Amount	C1, C17	236
	<b>DeemedInterestAmount</b> <DmdIntrstAmt>	[0..1]	Amount	C1, C17	237
	<b>DeemedRoyaltiesAmount</b> <DmdRyltsAmt>	[0..1]	Amount	C1, C17	237
	<b>DateDetails</b> <DtDtls>	[1..1]			238
	<b>PaymentDate</b> <PmtDt>	[1..1]	±		238
	<b>ValueDate</b> <ValDt>	[0..1]	±		239
	<b>ForeignExchangeRateFixingDate</b> <FXRateFxdDt>	[0..1]	±		239
	<b>EarliestPaymentDate</b> <EarlstPmtDt>	[0..1]	±		239
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..1]	±		240
	<b>RateAndAmountDetails</b> <RateAndAmtDtls>	[0..1]		C20, C21, C49, C51, C84, C86, C109, C111, C113, C118, C120	240
	<b>AdditionalTax</b> <AddtlTax>	[0..1]	±		244
	<b>GrossDividendRate</b> <GrssDvddRate>	[0..*]	±		244
	<b>InterestRateUsedForPayment</b> <IntrstRateUsdForPmt>	[0..*]	±		245
	<b>WithholdingTaxRate</b> <WhldgTaxRate>	[0..*]	±		246

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>SecondLevelTax</b> <ScndLvITax>	[0..*]	±		246
	<b>ChargesFees</b> <ChrgsFees>	[0..1]	±		247
	<b>EarlySolicitationFeeRate</b> <EarlySlctnFeeRate>	[0..1]	±		247
	<b>FiscalStamp</b> <FscIStmp>	[0..1]	±		248
	<b>ThirdPartyIncentiveRate</b> <ThrdPtyIncntivRate>	[0..1]	±		248
	<b>NetDividendRate</b> <NetDvddRate>	[0..*]	±		248
	<b>ApplicableRate</b> <AplblRate>	[0..1]	±		249
	<b>SolicitationFeeRate</b> <SlctnFeeRate>	[0..1]	±		249
	<b>TaxCreditRate</b> <TaxCdtRate>	[0..1]	±		250
	<b>TaxOnIncome</b> <TaxOnIncm>	[0..1]	±		250
	<b>TaxOnProfits</b> <TaxOnPrfts>	[0..1]	±		250
	<b>TaxReclaimRate</b> <TaxRclmRate>	[0..1]	±		251
	<b>EqualisationRate</b> <EqulstnRate>	[0..1]	±		251
	<b>DeemedRate</b> <DmdRate>	[0..*]	±		251
	<b>PriceDetails</b> <PricDtls>	[0..1]		C47	252
	<b>GenericCashPricePaidPerProduct</b> <GncCshPricPdPerPdct>	[0..1]	±		253
	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		253
	<b>CashInLieuOfSharePrice</b> <CshInLieuOfShrPric>	[0..1]	±		254

## Constraints

- **ExemptionTypeUsageRule**

(Rule)

The lists of exemption type codes to be used in ExemptionType are provided in the document "ETYP-ITYP Exemption & Income Type Codes" available on the SMPG website at [www.smpg.info](http://www.smpg.info).

*Error handling:*

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

- **GenericCashPricePerProductGuideline**

(Guideline)

GenericCashPriceReceivedPerProduct and GenericCashPricePaidPerProduct are prices received or paid in the course of an event. The specific meaning (redemption price, subscription price, reinvestment price.) is derived from the event type.

- **IncomeType2Rule**

(Rule)

If at least one occurrence of OtherIncomeType is present, then IncomeType must be present.

On Condition  
     /OtherIncomeType[\*] is present  
 Following Must be True  
     /IncomeType Must be present

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00545
- *Error Text:* Invalid message contents for IncomeType. Element must be present.

- **IncomeTypeUsageRule**

(Rule)

The lists of income type codes to be used in IncomeType are provided in the document "ETYP-ITYP Exemption & Income Type Codes" available on the SMPG website at [www.smpg.info](http://www.smpg.info).

*Error handling:*

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

- **IssuerOfferorTaxabilityIndicatorUsageRule**

(Rule)

The IssuerOfferorTaxabilityIndicator may only be used when no tax rate is provided in the message and it must not be used in events such as dividend or interest.

The list of proprietary IssuerOfferorTaxabilityIndicator codes that may be used are provided in the document "TXAP Taxability Codes" available on the SMPG website at [www.smpg.info](http://www.smpg.info).

### 3.4.11.25.1 CreditDebitIndicator <CdtDbtInd>

*Presence:* [1..1]

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

*Datatype:* [CreditDebitCode](#) on page 1309

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

### 3.4.11.25.2 ContractualPaymentIndicator <CtrctlPmtInd>

*Presence:* [0..1]

*Definition:* Specifies exceptions to contractual payment service.

*Datatype:* [Payment2Code](#) on page 1329

CodeName	Name	Definition
ACTU	ActualPayment	The cash payment occurs or will occur upon receipt of proceeds from the issuer.

### 3.4.11.25.3 NonEligibleProceedsIndicator <NonElgblPrclsInd>

*Presence:* [0..1]

*Definition:* Specifies information regarding outturn resources that cannot be processed by the Central Securities Depository (CSD). Special delivery instruction is required from the account owner for the corporate action outcome to be credited.

**NonEligibleProceedsIndicator <NonElgblPrclsInd>** contains one of the following elements (see [NonEligibleProceedsIndicator4Choice](#) on page 1037 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1037
Or}	Proprietary <Prtry>	[1..1]	±		1038

### 3.4.11.25.4 IssuerOfferorTaxabilityIndicator <IssrOfferrTaxbltyInd>

*Presence:* [0..1]

*Definition:* Proceeds are taxable according to the information provided by the issuer / offeror.

**IssuerOfferorTaxabilityIndicator <IssrOfferrTaxbltyInd>** contains one of the following elements (see [IssuerOfferorTaxabilityIndicator1Choice](#) on page 1074 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1074
Or}	Proprietary <Prtry>	[1..1]	±		1075

### 3.4.11.25.5 IncomeType <IncmTp>

*Presence:* [0..1]

*Definition:* Specifies the type of income.

**IncomeType <IncmTp>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 3.4.11.25.6 OtherIncomeType <OthrIncmTp>

*Presence:* [0..\*]

*Definition:* Type of income to be used under another tax regime.

**OtherIncomeType <OthrIncmTp>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 3.4.11.25.7 ExemptionType <XmptnTp>

*Presence:* [0..\*]

*Definition:* Specifies the basis for the reduced rate of withholding.

**ExemptionType <XmptnTp>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 3.4.11.25.8 CountryOfIncomeSource <CtryOfIncmSrc>

*Presence:* [0..1]

*Definition:* Indicates the country from which the income originates.

*Impacted by:* C16 Country

*Datatype:* CountryCode on page 1309

#### 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.

### 3.4.11.25.9 CashAccountIdentification <CshAcctId>

*Presence:* [0..1]

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



**CashAccountIdentification <CshAcctId>** contains one of the following elements (see [CashAccountIdentification6Choice](#) on page 868 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IBAN <IBAN>	[1..1]	IdentifierSet	C18	868
Or}	Proprietary <Prtry>	[1..1]	Text		869

#### 3.4.11.25.10 AmountDetails <AmtDtls>

*Presence:* [0..1]

*Definition:* Provides information about the amounts related to a cash movement.

**AmountDetails <AmtDtls>** contains the following **CorporateActionAmounts59** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>GrossCashAmount</b> <GrssCshAmt>	[0..1]	Amount	C1, C17	204
	<b>NetCashAmount</b> <NetCshAmt>	[0..1]	Amount	C1, C17	204
	<b>SolicitationFees</b> <SlctnFees>	[0..1]	Amount	C1, C17	205
	<b>CashInLieuOfShare</b> <CshInLieuOfShr>	[0..1]	Amount	C1, C17	206
	<b>CapitalGain</b> <CptlGn>	[0..1]	Amount	C1, C17	207
	<b>InterestAmount</b> <IntrstAmt>	[0..1]	Amount	C1, C17	207
	<b>IndemnityAmount</b> <IndmntyAmt>	[0..1]	Amount	C1, C17	208
	<b>ManufacturedDividendPaymentAmount</b> <ManfctrdDvddPmtAmt>	[0..1]	Amount	C1, C17	209
	<b>ReinvestmentAmount</b> <RinvstmtAmt>	[0..1]	Amount	C1, C17	210
	<b>FullyFrankedAmount</b> <FullyFrnkAmt>	[0..1]	Amount	C1, C17	210
	<b>UnfrankedAmount</b> <UfrnkAmt>	[0..1]	Amount	C1, C17	211
	<b>SundryOrOtherAmount</b> <SndryOrOthrAmt>	[0..1]	Amount	C1, C17	212
	<b>TaxFreeAmount</b> <TaxFreeAmt>	[0..1]	Amount	C1, C17	212
	<b>TaxDeferredAmount</b> <TaxDfrrdAmt>	[0..1]	Amount	C1, C17	213
	<b>ValueAddedTaxAmount</b> <ValAddedTaxAmt>	[0..1]	Amount	C1, C17	214
	<b>StampDutyAmount</b> <StmpDtyAmt>	[0..1]	Amount	C1, C17	215
	<b>TaxReclaimAmount</b> <TaxRclmAmt>	[0..1]	Amount	C1, C17	215
	<b>TaxCreditAmount</b> <TaxCdtAmt>	[0..1]	Amount	C1, C17	216
	<b>AdditionalTaxAmount</b> <AddtlTaxAmt>	[0..1]	Amount	C1, C17	217
	<b>WithholdingTaxAmount</b> <WhldgTaxAmt>	[0..1]	Amount	C1, C17	217
	<b>SecondLevelTaxAmount</b> <ScndLvlTaxAmt>	[0..1]	Amount	C1, C17	218
	<b>FiscalStampAmount</b> <FscIStmpAmt>	[0..1]	Amount	C1, C17	219

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ExecutingBrokerAmount</b> <ExctgBrkrAmt>	[0..1]	Amount	C1, C17	220
	<b>PayingAgentCommissionAmount</b> <PngAgtComssnAmt>	[0..1]	Amount	C1, C17	220
	<b>LocalBrokerCommissionAmount</b> <LclBrkrComssnAmt>	[0..1]	Amount	C1, C17	221
	<b>RegulatoryFeesAmount</b> <RgltryFeesAmt>	[0..1]	Amount	C1, C17	222
	<b>ShippingFeesAmount</b> <ShppgFeesAmt>	[0..1]	Amount	C1, C17	222
	<b>ChargesAmount</b> <ChrgsAmt>	[0..1]	Amount	C1, C17	223
	<b>EntitledAmount</b> <EntitldAmt>	[0..1]	Amount	C1, C17	224
	<b>OriginalAmount</b> <OrgnlAmt>	[0..1]	Amount	C1, C17	225
	<b>PrincipalOrCorpus</b> <PrncplOrCrps>	[0..1]	Amount	C1, C17	225
	<b>RedemptionPremiumAmount</b> <RedPrmAmt>	[0..1]	Amount	C1, C17	226
	<b>IncomePortion</b> <IncmPrtn>	[0..1]	Amount	C1, C17	227
	<b>StockExchangeTax</b> <StockXchgTax>	[0..1]	Amount	C1, C17	227
	<b>EUTaxRetentionAmount</b> <EUTaxRttnAmt>	[0..1]	Amount	C1, C17	228
	<b>AccruedInterestAmount</b> <AcrdIntrstAmt>	[0..1]	Amount	C1, C17	229
	<b>EqualisationAmount</b> <EqulstnAmt>	[0..1]	Amount	C1, C17	230
	<b>FATCATaxAmount</b> <FATCATaxAmt>	[0..1]	Amount	C1, C17	230
	<b>NRATaxAmount</b> <NRATaxAmt>	[0..1]	Amount	C1, C17	231
	<b>BackUpWithholdingTaxAmount</b> <BckUpWhldgTaxAmt>	[0..1]	Amount	C1, C17	232
	<b>TaxOnIncomeAmount</b> <TaxOnIncmAmt>	[0..1]	Amount	C1, C17	232
	<b>TransactionTax</b> <TxTax>	[0..1]	Amount	C1, C17	233
	<b>DeemedAmount</b> <DmdAmt>	[0..1]	Amount	C1, C17	234
	<b>ForeignIncomeAmount</b> <FrgnIncmAmt>	[0..1]	Amount	C1, C17	235

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>DeemedDividendAmount</b> <DmdDvddAmt>	[0..1]	Amount	C1, C17	235
	<b>DeemedFundAmount</b> <DmdFndAmt>	[0..1]	Amount	C1, C17	236
	<b>DeemedInterestAmount</b> <DmdIntrstAmt>	[0..1]	Amount	C1, C17	237
	<b>DeemedRoyaltiesAmount</b> <DmdRyltsAmt>	[0..1]	Amount	C1, C17	237

### 3.4.11.25.10.1 GrossCashAmount <GrssCshAmt>

*Presence:* [0..1]

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

*Impacted by:* C1 ActiveCurrency, C17 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

### 3.4.11.25.10.2 NetCashAmount <NetCshAmt>

*Presence:* [0..1]

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

*Impacted by:* C1 ActiveCurrency , C17 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

#### 3.4.11.25.10.3 SolicitationFees <SlctnFees>

*Presence:* [0..1]

*Definition:* Cash premium made available if the securities holder consents or participates to an event, for example consent fees or solicitation fees.

*Impacted by:* C1 ActiveCurrency , C17 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

#### 3.4.11.25.10.4 CashInLieuOfShare <CshInLieuOfShr>

*Presence:* [0..1]

*Definition:* Cash disbursement in lieu of a fractional quantity of, for example, equity.

*Impacted by:* C1 ActiveCurrency, C17 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

**3.4.11.25.10.5 CapitalGain <CptlGn>**

*Presence:* [0..1]

*Definition:* Amount of money distributed as the result of a capital gain.

*Impacted by:* C1 ActiveCurrency, C17 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

**Constraints**

• **ActiveCurrency**

(Rule)

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

**3.4.11.25.10.6 InterestAmount <IntrstAmt>**

*Presence:* [0..1]

*Definition:* Amount of money representing a coupon payment.

*Impacted by:* C1 ActiveCurrency, C17 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

### Constraints

- **ActiveCurrency**

(Rule)

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

#### 3.4.11.25.10.7 IndemnityAmount <IndmntyAmt>

*Presence:* [0..1]

*Definition:* Amount due to a buyer of securities dealt prior to ex date which may be subject to different rate of taxation. Used mainly in France.

*Impacted by:* C1 ActiveCurrency, C17 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

### Constraints

- **ActiveCurrency**

(Rule)

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

### 3.4.11.25.10.8 ManufacturedDividendPaymentAmount <ManfctrdDvddPmtAmt>

*Presence*: [0..1]

*Definition*: Amount of money that the borrower pays to the lender as a compensation. It does not entitle the lender to reclaim any tax credit and is sometimes treated differently by the local tax authorities of the lender. Also covers compensation/indemnity of missed dividend concerning early/late settlements if applicable to a market.

*Impacted by*: C1 ActiveCurrency \_\_\_\_, C17 CurrencyAmount \_\_

*Datatype*: RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

### 3.4.11.25.10.9 ReinvestmentAmount <RinvstmtAmt>

*Presence:* [0..1]

*Definition:* Amount of money reinvested in additional securities.

*Impacted by:* C1 ActiveCurrency \_\_, C17 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

### 3.4.11.25.10.10 FullyFrankedAmount <FullyFrnkAmt>

*Presence:* [0..1]

*Definition:* Amount resulting from a fully franked dividend paid by a company; amount includes tax credit for companies that have made sufficient tax payments during the fiscal period.

*Impacted by:* C1 ActiveCurrency \_\_, C17 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

### 3.4.11.25.10.11 UnfrankedAmount <UfrnkAmt>

*Presence:* [0..1]

*Definition:* Amount resulting from an unfranked dividend paid by a company; the amount does not include tax credit and is subject to withholding tax.

*Impacted by:* C1 ActiveCurrency, C17 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

**3.4.11.25.10.12 SundryOrOtherAmount <SndryOrOthrAmt>**

*Presence:* [0..1]

*Definition:* Amount of money related to taxable income that cannot be categorised.

*Impacted by:* C1 ActiveCurrency, C17 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

**Constraints**

• **ActiveCurrency**

(Rule)

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

**3.4.11.25.10.13 TaxFreeAmount <TaxFreeAmt>**

*Presence:* [0..1]

*Definition:* Amount of money that has not been subject to taxation.

*Impacted by:* C1 ActiveCurrency, C17 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

### Constraints

- **ActiveCurrency**

(Rule)

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

#### 3.4.11.25.10.14 TaxDeferredAmount <TaxDfrrdAmt>

*Presence:* [0..1]

*Definition:* Amount of income eligible for deferred taxation.

*Impacted by:* C1 ActiveCurrency, C17 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

### Constraints

- **ActiveCurrency**

(Rule)

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

### 3.4.11.25.10.15 ValueAddedTaxAmount <ValAddedTaxAmt>

*Presence*: [0..1]

*Definition*: Amount of value added tax.

*Impacted by*: C1 ActiveCurrency, C17 CurrencyAmount

*Datatype*: RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

### 3.4.11.25.10.16 StampDutyAmount <StmpDtyAmt>

*Presence:* [0..1]

*Definition:* Amount of stamp duty.

*Impacted by:* C1 ActiveCurrency \_\_, C17 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

### 3.4.11.25.10.17 TaxReclaimAmount <TaxRclmAmt>

*Presence:* [0..1]

*Definition:* Amount that was paid in excess of actual tax obligation and was reclaimed.

*Impacted by:* C1 ActiveCurrency \_\_, C17 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

### 3.4.11.25.10.18 TaxCreditAmount <TaxCdtAmt>

*Presence:* [0..1]

*Definition:* Amount of taxes that have been previously paid in relation to the taxable event.

*Impacted by:* C1 ActiveCurrency, C17 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

**3.4.11.25.10.19 AdditionalTaxAmount <AddtlTaxAmt>**

*Presence:* [0..1]

*Definition:* Amount of additional taxes that cannot be categorised.

*Impacted by:* C1 ActiveCurrency, C17 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

**Constraints**

• **ActiveCurrency**

(Rule)

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

**3.4.11.25.10.20 WithholdingTaxAmount <WhldgTaxAmt>**

*Presence:* [0..1]

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

*Impacted by:* C1 ActiveCurrency, C17 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

### Constraints

- **ActiveCurrency**

(Rule)

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

#### 3.4.11.25.10.21 SecondLevelTaxAmount <ScndLvITaxAmt>

*Presence:* [0..1]

*Definition:* Amount of money withheld by the jurisdiction other than the jurisdiction of the issuer's country of tax incorporation, for which a relief at source and/or reclaim may be possible. It is levied in complement or offset of the withholding tax rate levied by the jurisdiction of the issuer's tax domicile.

*Impacted by:* C1 ActiveCurrency, C17 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

### Constraints

- **ActiveCurrency**

(Rule)

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

### 3.4.11.25.10.22 FiscalStampAmount <FscIStmpAmt>

*Presence*: [0..1]

*Definition*: Amount of fiscal tax to apply.

*Impacted by*: C1 ActiveCurrency , C17 CurrencyAmount

*Datatype*: RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

### 3.4.11.25.10.23 ExecutingBrokerAmount <ExctgBrkrAmt>

*Presence:* [0..1]

*Definition:* Amount of money paid to an executing broker as a commission.

*Impacted by:* C1 ActiveCurrency \_\_, C17 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

### 3.4.11.25.10.24 PayingAgentCommissionAmount <PngAgtComssnAmt>

*Presence:* [0..1]

*Definition:* Amount of paying/sub-paying agent commission.

*Impacted by:* C1 ActiveCurrency \_\_, C17 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

### 3.4.11.25.10.25 LocalBrokerCommissionAmount <LclBrkrComssnAmt>

*Presence:* [0..1]

*Definition:* Local broker's commission.

*Impacted by:* C1 ActiveCurrency, C17 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

**3.4.11.25.10.26 RegulatoryFeesAmount <RgltryFeesAmt>**

*Presence:* [0..1]

*Definition:* Amount of money charged by a regulatory authority, for example, securities and exchange fees.

*Impacted by:* C1 ActiveCurrency, C17 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

**Constraints**

• **ActiveCurrency**

(Rule)

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

**3.4.11.25.10.27 ShippingFeesAmount <ShppgFeesAmt>**

*Presence:* [0..1]

*Definition:* All costs related to the physical delivery of documents such as stamps, postage, carrier fees, insurances or messenger services.

*Impacted by:* C1 ActiveCurrency, C17 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

### Constraints

- **ActiveCurrency**

(Rule)

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

### 3.4.11.25.10.28 ChargesAmount <ChrgsAmt>

*Presence:* [0..1]

*Definition:* Amount of money paid for the provision of financial services that cannot be categorised by another qualifier.

*Impacted by:* C1 ActiveCurrency, C17 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

### Constraints

- **ActiveCurrency**

(Rule)

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

### 3.4.11.25.10.29 EntitledAmount <EntitIdAmt>

*Presence*: [0..1]

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

*Impacted by*: C1 ActiveCurrency \_\_\_\_, C17 CurrencyAmount \_\_\_\_

*Datatype*: RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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



### 3.4.11.25.10.30 OriginalAmount <OrgnlAmt>

*Presence:* [0..1]

*Definition:* Posting/settlement amount in its original currency when conversion from/into another currency has occurred.

*Impacted by:* C1 ActiveCurrency \_\_, C17 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

### 3.4.11.25.10.31 PrincipalOrCorpus <PrncplOrCrps>

*Presence:* [0..1]

*Definition:* Amount of money representing a distribution of a bond's principal, for example, repayment of outstanding debt.

*Impacted by:* C1 ActiveCurrency \_\_, C17 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

Maintenance Agency, consist of three (3) contiguous letters, and are not yet 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

### 3.4.11.25.10.32 RedemptionPremiumAmount <RedPrmAmt>

*Presence:* [0..1]

*Definition:* Amount of money (not interest) in addition to the principal at the redemption of a bond.

*Impacted by:* C1 ActiveCurrency, C17 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

**3.4.11.25.10.33 IncomePortion <IncmPrtn>**

*Presence:* [0..1]

*Definition:* Amount relating to the underlying security for which income is distributed.

*Impacted by:* C1 ActiveCurrency, C17 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

**Constraints**

• **ActiveCurrency**

(Rule)

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

**3.4.11.25.10.34 StockExchangeTax <StockXchgTax>**

*Presence:* [0..1]

*Definition:* Amount of stock exchange tax.

*Impacted by:* C1 ActiveCurrency, C17 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

### Constraints

- **ActiveCurrency**

(Rule)

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

### 3.4.11.25.10.35 EUTaxRetentionAmount <EUTaxRtnAmt>

*Presence:* [0..1]

*Definition:* Total amount of tax withheld at source in conformance with the EU Savings Directive.

*Impacted by:* C1 ActiveCurrency, C17 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

### Constraints

- **ActiveCurrency**

(Rule)

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

### 3.4.11.25.10.36 **AccruedInterestAmount <AcrdIntrstAmt>**

*Presence*: [0..1]

*Definition*: Amount of interest that has been accrued in between coupon payment periods.

*Impacted by*: C1 ActiveCurrency \_\_, C17 CurrencyAmount \_\_

*Datatype*: RestrictedFINActiveCurrencyAndAmount on page 1259

#### **Constraints**

- **ActiveCurrency**

(Rule)

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

### 3.4.11.25.10.37 EqualisationAmount <EqualstnAmt>

*Presence:* [0..1]

*Definition:* Portion of the fund distribution amount which represents the average accrued income included in the purchase price for units bought during the account period.

*Impacted by:* C1 ActiveCurrency \_\_, C17 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

### 3.4.11.25.10.38 FATCATaxAmount <FATCATaxAmt>

*Presence:* [0..1]

*Definition:* FATCA (Foreign Account Tax Compliance Act) related tax amount.

*Impacted by:* C1 ActiveCurrency \_\_, C17 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

### 3.4.11.25.10.39 NRATaxAmount <NRATaxAmt>

*Presence:* [0..1]

*Definition:* Amount of tax related income subject to NRA (Non Resident Alien).

*Impacted by:* C1 ActiveCurrency, C17 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

**3.4.11.25.10.40 BackUpWithholdingTaxAmount <BckUpWhldgTaxAmt>**

*Presence:* [0..1]

*Definition:* Amount of tax related to back up withholding.

*Impacted by:* C1 ActiveCurrency, C17 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

**Constraints**

• **ActiveCurrency**

(Rule)

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

**3.4.11.25.10.41 TaxOnIncomeAmount <TaxOnIncmAmt>**

*Presence:* [0..1]

*Definition:* Amount of overall tax withheld at source by fund managers prior to considering the tax obligation of each unit holder.

*Impacted by:* C1 ActiveCurrency, C17 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259



### Constraints

- **ActiveCurrency**

(Rule)

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

#### 3.4.11.25.10.42 TransactionTax <TxTax>

*Presence:* [0..1]

*Definition:* Amount of transaction tax.

*Impacted by:* C1 ActiveCurrency, C17 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

### Constraints

- **ActiveCurrency**

(Rule)

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

### 3.4.11.25.10.43 DeemedAmount <DmdAmt>

*Presence:* [0..1]

*Definition:* Amount of proceeds which is not actually paid to the security holder but on which withholding tax is applicable.

*Impacted by:* C1 ActiveCurrency \_\_\_\_, C17 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

#### 3.4.11.25.10.44 ForeignIncomeAmount <FrgnIncmAmt>

*Presence:* [0..1]

*Definition:* Amount relating to a foreign income such as a conduit foreign income.

*Impacted by:* C1 ActiveCurrency \_\_, C17 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

##### Constraints

- **ActiveCurrency**

(Rule)

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

#### 3.4.11.25.10.45 DeemedDividendAmount <DmdDvddAmt>

*Presence:* [0..1]

*Definition:* Deemed amount resulting from the difference between the rate of dividend proceeds attributed to the security holder for the taxable year and the rate of dividend proceeds previously notified to the security holder in relation to cash distributions for the year.

*Impacted by:* C1 ActiveCurrency \_\_, C17 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

##### Constraints

- **ActiveCurrency**

(Rule)

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

Maintenance Agency, consist of three (3) contiguous letters, and are not yet 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

#### 3.4.11.25.10.46 DeemedFundAmount <DmdFndAmt>

*Presence:* [0..1]

*Definition:* Deemed amount resulting from the difference between the rate of the proceeds components comprising a fund payment attributed to the security holder for the taxable year and the rate of the fund proceeds previously notified to the security holder in relation to cash distributions for the year.

*Impacted by:* C1 ActiveCurrency, C17 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

**3.4.11.25.10.47 DeemedInterestAmount <DmdIntrstAmt>**

*Presence:* [0..1]

*Definition:* Deemed amount resulting from the difference between the rate of interest proceeds attributed to the security holder for the taxable year and the rate of interest proceeds previously notified to the security holder in relation to cash distributions for the year.

*Impacted by:* C1 ActiveCurrency, C17 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

**Constraints**

• **ActiveCurrency**

(Rule)

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

**3.4.11.25.10.48 DeemedRoyaltiesAmount <DmdRyltsAmt>**

*Presence:* [0..1]

*Definition:* Deemed amount resulting from the difference between the rate of royalty proceeds attributed to the security holder for the taxable year and the rate of royalty proceeds previously notified to the security holder in relation to cash distributions for the year.

*Impacted by:* C1 ActiveCurrency, C17 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

**Constraints**

- **ActiveCurrency**

(Rule)

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

**3.4.11.25.11 DateDetails <DtDtIs>**

*Presence:* [1..1]

*Definition:* Provides information about the dates related to a cash movement.

**DateDetails <DtDtIs>** contains the following **CorporateActionDate97** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>PaymentDate</b> <PmtDt>	[1..1]	±		238
	<b>ValueDate</b> <ValDt>	[0..1]	±		239
	<b>ForeignExchangeRateFixingDate</b> <FXRateFxdDt>	[0..1]	±		239
	<b>EarliestPaymentDate</b> <EarlStPmtDt>	[0..1]	±		239

**3.4.11.25.11.1 PaymentDate <PmtDt>**

*Presence:* [1..1]

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

**PaymentDate <PmtDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

#### 3.4.11.25.11.2 ValueDate <ValDt>

*Presence:* [0..1]

*Definition:* Date/time when calculating economic benefit for a cash amount.

**ValueDate <ValDt>** contains one of the following elements (see [DateFormat64Choice](#) on page 880 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		880
Or}	DateCode <DtCd>	[1..1]			881
{Or	Code <Cd>	[1..1]	CodeSet		881
Or}	Proprietary <Prtry>	[1..1]	±		881

#### 3.4.11.25.11.3 ForeignExchangeRateFixingDate <FXRateFxdt>

*Presence:* [0..1]

*Definition:* Date/time at which a foreign exchange rate will be determined.

**ForeignExchangeRateFixingDate <FXRateFxdt>** contains one of the following elements (see [DateFormat49Choice](#) on page 885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		886
Or}	DateCode <DtCd>	[1..1]			886
{Or	Code <Cd>	[1..1]	CodeSet		886
Or}	Proprietary <Prtry>	[1..1]	±		886

#### 3.4.11.25.11.4 EarliestPaymentDate <EarlstPmtDt>

*Presence:* [0..1]

*Definition:* Date/time on which a payment can be made, for example, if payment date is a non-business day or to indicate the first payment date of an offer.

**EarliestPaymentDate <EarlstPmtDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

### 3.4.11.25.12 ForeignExchangeDetails <FXDtIs>

*Presence:* [0..1]

*Definition:* Exchange rate between the amount and the resulting amount.

**ForeignExchangeDetails <FXDtIs>** contains the following elements (see [ForeignExchangeTerms28](#) on page 941 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C1	941
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C1	942
	ExchangeRate <XchgRate>	[1..1]	Rate		942
	ResultingAmount <RsltgAmt>	[0..1]	Amount	C1, C11	942

### 3.4.11.25.13 RateAndAmountDetails <RateAndAmtDtIs>

*Presence:* [0..1]

*Definition:* Provides information about the corporate action option.

*Impacted by:* [C20 DeemedRate1Rule](#), [C21 DeemedRate2Rule](#), [C49 GrossDividendRate2Rule](#), [C51 GrossDividendRate3Rule](#), [C84 NetDividendRate1Rule](#), [C86 NetDividendRate2Rule](#), [C109 SecondLevelTax1Rule](#), [C111 SecondLevelTax2Rule](#), [C113 SecondLevelTax3Rule](#), [C118 WithholdingTaxRate1Rule](#), [C120 WithholdingTaxRate2Rule](#)



**RateAndAmountDetails <RateAndAmtDtls>** contains the following **Rate38** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AdditionalTax</b> <AddtlTax>	[0..1]	±		244
	<b>GrossDividendRate</b> <GrssDvddRate>	[0..*]	±		244
	<b>InterestRateUsedForPayment</b> <IntrstRateUsdForPmt>	[0..*]	±		245
	<b>WithholdingTaxRate</b> <WhldgTaxRate>	[0..*]	±		246
	<b>SecondLevelTax</b> <ScndLvITax>	[0..*]	±		246
	<b>ChargesFees</b> <ChrgsFees>	[0..1]	±		247
	<b>EarlySolicitationFeeRate</b> <EarlySlctnFeeRate>	[0..1]	±		247
	<b>FiscalStamp</b> <FscIStmp>	[0..1]	±		248
	<b>ThirdPartyIncentiveRate</b> <ThrdPtyIncntivRate>	[0..1]	±		248
	<b>NetDividendRate</b> <NetDvddRate>	[0..*]	±		248
	<b>ApplicableRate</b> <AplblRate>	[0..1]	±		249
	<b>SolicitationFeeRate</b> <SlctnFeeRate>	[0..1]	±		249
	<b>TaxCreditRate</b> <TaxCdtRate>	[0..1]	±		250
	<b>TaxOnIncome</b> <TaxOnIncm>	[0..1]	±		250
	<b>TaxOnProfits</b> <TaxOnPrfts>	[0..1]	±		250
	<b>TaxReclaimRate</b> <TaxRclmRate>	[0..1]	±		251
	<b>EqualisationRate</b> <EqulstnRate>	[0..1]	±		251
	<b>DeemedRate</b> <DmdRate>	[0..*]	±		251

**Constraints**

- **DeemedRate1Rule**

(Rule)

If DeemedRate is repeated, then DeemedRate/RateTypeAndAmountAndRateStatus/RateType/Code values and DeemedRate/RateTypeAndRate/RateType/Code values must all be different in each occurrence of DeemedRate.

(MT 564 NVR C8).

*Error handling:*

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

- **DeemedRate2Rule**

(Rule)

Only a single occurrence of either DeemedRate/Amount or DeemedRate/Rate or DeemedRate/NotSpecifiedRate may be present, only one of these elements may be present.

(MT 564 NVR C7).

*Error handling:*

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

- **GrossDividendRate2Rule**

(Rule)

If GrossDividendRate is repeated, then:

- RateTypeAndAmountAndRateStatus/RateType/Code values must all be different in each occurrence of GrossDividendRate. (MT 564 NVR C8).

- **GrossDividendRate3Rule**

(Rule)

Only a single occurrence of either GrossDividendRate/Amount or GrossDividendRate/AmountAndRateStatus or GrossDividendRate/NotSpecifiedRate may be present, and only one of these elements may be present.

(MT 564 NVR C7).

- **NetDividendRate1Rule**

(Rule)

If NetDividendRate is repeated, then:

- RateTypeAndAmountAndRateStatus/RateType/Code values must all be different in each occurrence of NetDividendRate. (MT 564 NVR C8).

- **NetDividendRate2Rule**

(Rule)

Only a single occurrence of either NetDividendRate/Amount or NetDividendRate/AmountAndRateStatus or NetDividendRate/NotSpecifiedRate may be present, and only one of these elements may be present.

(MT 564 NVR C7).

- **SecondLevelTax1Rule**

(Rule)

If SecondLevelTax is repeated, then SecondLevelTax/RateTypeAndRate/RateType/Code values must all be different in each occurrence of SecondLevelTax.

(MT 564 NVR C8).

*Error handling:*

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

• **SecondLevelTax2Rule**

(Rule)

Only a single occurrence of either SecondLevelTax/Amount or SecondLevelTax/Rate or SecondLevelTax/NotSpecifiedRate may be present, only one of these elements may be present.

(MT 564 NVR C7).

*Error handling:*

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

• **SecondLevelTax3Rule**

(Rule)

If at least one occurrence of SecondLevelTax is present, then at least one occurrence of WithholdingTaxRate must be present. (MT 564 NVR C19).

On Condition

    /SecondLevelTax[\*] is present

Following Must be True

    /WithholdingTaxRate[\*] Must be present

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00388
- *Error Text:* Invalid message contents for WithholdingTaxRate. It should be present.

• **WithholdingTaxRate1Rule**

(Rule)

If WithholdingTaxRate is repeated, then WithholdingTaxRate/RateTypeAndRate/RateType/Code values must all be different in each occurrence of WithholdingTaxRate.

(MT 564 NVR C8).

*Error handling:*

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

• **WithholdingTaxRate2Rule**

(Rule)

Only a single occurrence of either WithholdingTaxRate/Amount or WithholdingTaxRate/Rate or WithholdingTaxRate/NotSpecifiedRate may be present, only one of these elements may be present.

(MT 564 NVR C7).

*Error handling:*

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

**3.4.11.25.13.1 AdditionalTax <AddtlTax>**

*Presence:* [0..1]

*Definition:* Rate used for additional tax that cannot be categorised.

**AdditionalTax <AddtlTax>** contains one of the following elements (see [RateAndAmountFormat46Choice](#) on page 1209 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1209
Or	NotSpecifiedRate <NotSpcdfRate>	[1..1]	CodeSet		1209
Or}	Amount <Amt>	[1..1]	Amount	C1	1209

**3.4.11.25.13.2 GrossDividendRate <GrssDvddRate>**

*Presence:* [0..\*]

*Definition:* Cash dividend amount per equity before deductions or allowances have been made.

**GrossDividendRate <GrssDvddRate>** contains one of the following elements (see [GrossDividendRateFormat42Choice](#) on page 1183 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C1	1183
Or	AmountAndRateStatus <AmtAndRateSts>	[1..1]			1184
	Amount <Amt>	[1..1]	Amount	C1	1184
	RateStatus <RateSts>	[1..1]	CodeSet		1185
Or	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1185
	RateType <RateTp>	[1..1]			1185
{Or	Code <Cd>	[1..1]	CodeSet		1185
Or}	Proprietary <Prtry>	[1..1]	±		1186
	Amount <Amt>	[1..1]	Amount	C1	1187
	RateStatus <RateSts>	[0..1]		C51	1187
{Or	Code <Cd>	[1..1]	CodeSet		1187
Or}	Proprietary <Prtry>	[1..1]	±		1188
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1188

**3.4.11.25.13.3 InterestRateUsedForPayment <IntrstRateUsdForPmt>**

*Presence:* [0..\*]

*Definition:* The actual interest rate used for the payment of the interest for the specified interest period.

*Usage guideline:* It is used to provide the applicable rate for the current payment, after all calculations have been performed, that is, application of period and method of interest computation.

**InterestRateUsedForPayment <IntrstRateUsdForPmt>** contains one of the following elements (see [InterestRateUsedForPaymentFormat10Choice](#) on page 1045 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1045
Or	Amount <Amt>	[1..1]	Amount	C1	1045
Or	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1046
	RateType <RateTp>	[1..1]			1046
{Or	Code <Cd>	[1..1]	CodeSet		1046
Or}	Proprietary <Prtry>	[1..1]	±		1047
	Amount <Amt>	[1..1]	Amount	C1	1047
	RateStatus <RateSts>	[0..1]		C51	1047
{Or	Code <Cd>	[1..1]	CodeSet		1048
Or}	Proprietary <Prtry>	[1..1]	±		1048
Or}	NotSpecifiedRate <NotSpcdfRate>	[1..1]	CodeSet		1048

#### 3.4.11.25.13.4 WithholdingTaxRate <WhldgTaxRate>

*Presence:* [0..\*]

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

**WithholdingTaxRate <WhldgTaxRate>** contains one of the following elements (see [RateAndAmountFormat47Choice](#) on page 1041 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1041
Or	NotSpecifiedRate <NotSpcdfRate>	[1..1]	CodeSet		1042
Or	Amount <Amt>	[1..1]	Amount	C1	1042
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			1042
	RateType <RateTp>	[1..1]			1042
{Or	Code <Cd>	[1..1]	CodeSet		1043
Or}	Proprietary <Prtry>	[1..1]	±		1043
	Rate <Rate>	[1..1]	Rate		1043

#### 3.4.11.25.13.5 SecondLevelTax <ScndLvITax>

*Presence:* [0..\*]

*Definition:* Rate at which the income will be withheld by a jurisdiction other than the jurisdiction of the issuer's country of tax incorporation, for which a relief at source and/or reclaim may be possible. It is

levied in complement or offset of the withholding tax rate (TAXR) levied by the jurisdiction of the issuer's tax domicile.

**SecondLevelTax <ScndLvITax>** contains one of the following elements (see [RateAndAmountFormat47Choice](#) on page 1041 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1041
Or	NotSpecifiedRate <NotSpcdfRate>	[1..1]	CodeSet		1042
Or	Amount <Amt>	[1..1]	Amount	C1	1042
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			1042
	RateType <RateTp>	[1..1]			1042
{Or	Code <Cd>	[1..1]	CodeSet		1043
Or}	Proprietary <Prtry>	[1..1]	±		1043
	Rate <Rate>	[1..1]	Rate		1043

#### 3.4.11.25.13.6 ChargesFees <ChrgsFees>

*Presence:* [0..1]

*Definition:* Rate used to calculate the amount of the charges/fees that cannot be categorised.

**ChargesFees <ChrgsFees>** contains one of the following elements (see [RateAndAmountFormat46Choice](#) on page 1209 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1209
Or	NotSpecifiedRate <NotSpcdfRate>	[1..1]	CodeSet		1209
Or}	Amount <Amt>	[1..1]	Amount	C1	1209

#### 3.4.11.25.13.7 EarlySolicitationFeeRate <EarlySlctnFeeRate>

*Presence:* [0..1]

*Definition:* Cash rate made available, as an incentive, in addition to the solicitation fee, in order to encourage early participation in an offer.

**EarlySolicitationFeeRate <EarlySlctnFeeRate>** contains one of the following elements (see [SolicitationFeeRateFormat10Choice](#) on page 1029 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1030
Or	AmountToQuantity <AmtToQty>	[1..1]			1030
	Amount <Amt>	[1..1]	Amount	C1	1030
	Quantity <Qty>	[1..1]	Quantity		1031
Or	Amount <Amt>	[1..1]	Amount	C1	1031
Or}	NotSpecifiedRate <NotSpdfdRate>	[1..1]	CodeSet		1031

#### 3.4.11.25.13.8 FiscalStamp <FscIStmp>

*Presence:* [0..1]

*Definition:* Percentage of fiscal tax to apply.

**FiscalStamp <FscIStmp>** contains one of the following elements (see [RateFormat3Choice](#) on page 1151 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1151
Or}	NotSpecifiedRate <NotSpdfdRate>	[1..1]	CodeSet		1151

#### 3.4.11.25.13.9 ThirdPartyIncentiveRate <ThrdPtyIncntivRate>

*Presence:* [0..1]

*Definition:* Cash rate made available in an event in order to encourage participation in the offer. As information, payment is made to a third party who has solicited an entity to take part in the offer.

**ThirdPartyIncentiveRate <ThrdPtyIncntivRate>** contains one of the following elements (see [RateFormat21Choice](#) on page 1207 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1207
Or	Amount <Amt>	[1..1]	Amount	C1	1207
Or}	NotSpecifiedRate <NotSpdfdRate>	[1..1]	CodeSet		1208

#### 3.4.11.25.13.10 NetDividendRate <NetDvddRate>

*Presence:* [0..\*]

*Definition:* Cash dividend amount per equity after deductions or allowances have been made.



**NetDividendRate <NetDvddRate>** contains one of the following elements (see [NetDividendRateFormat44Choice](#) on page 1178 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C1	1178
Or	AmountAndRateStatus <AmtAndRateSts>	[1..1]			1179
	Amount <Amt>	[1..1]	Amount	C1	1179
	RateStatus <RateSts>	[1..1]	CodeSet		1179
Or	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1180
	RateType <RateTp>	[1..1]			1180
{Or	Code <Cd>	[1..1]	CodeSet		1180
Or}	Proprietary <Prtry>	[1..1]	±		1181
	Amount <Amt>	[1..1]	Amount	C1	1181
	RateStatus <RateSts>	[0..1]		C51	1182
{Or	Code <Cd>	[1..1]	CodeSet		1182
Or}	Proprietary <Prtry>	[1..1]	±		1182
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1183

#### 3.4.11.25.13.11 ApplicableRate <AplblRate>

*Presence:* [0..1]

*Definition:* Rate applicable to the event announced, for example, redemption rate for a redemption event.

**ApplicableRate <AplblRate>** contains one of the following elements (see [RateFormat3Choice](#) on page 1151 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1151
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1151

#### 3.4.11.25.13.12 SolicitationFeeRate <SlctnFeeRate>

*Presence:* [0..1]

*Definition:* Rate of the cash premium made available if the securities holder consents or participates to an event, for example consent fees or solicitation fee.

**SolicitationFeeRate <SlctnFeeRate>** contains one of the following elements (see [SolicitationFeeRateFormat10Choice](#) on page 1029 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1030
Or	AmountToQuantity <AmtToQty>	[1..1]			1030
	Amount <Amt>	[1..1]	Amount	C1	1030
	Quantity <Qty>	[1..1]	Quantity		1031
Or	Amount <Amt>	[1..1]	Amount	C1	1031
Or}	NotSpecifiedRate <NotSpcdfRate>	[1..1]	CodeSet		1031

#### 3.4.11.25.13.13 TaxCreditRate <TaxCdtRate>

*Presence:* [0..1]

*Definition:* Amount of money per equity allocated as the result of a tax credit.

**TaxCreditRate <TaxCdtRate>** contains one of the following elements (see [RateFormat21Choice](#) on page 1207 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1207
Or	Amount <Amt>	[1..1]	Amount	C1	1207
Or}	NotSpecifiedRate <NotSpcdfRate>	[1..1]	CodeSet		1208

#### 3.4.11.25.13.14 TaxOnIncome <TaxOnIncm>

*Presence:* [0..1]

*Definition:* Overall tax withheld at source by fund managers prior to considering the tax obligation of each unit holder.

**TaxOnIncome <TaxOnIncm>** contains one of the following elements (see [RateAndAmountFormat46Choice](#) on page 1209 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1209
Or	NotSpecifiedRate <NotSpcdfRate>	[1..1]	CodeSet		1209
Or}	Amount <Amt>	[1..1]	Amount	C1	1209

#### 3.4.11.25.13.15 TaxOnProfits <TaxOnPrfts>

*Presence:* [0..1]

*Definition:* Taxation applied on an amount clearly identified as capital profits, capital gains.

**TaxOnProfits <TaxOnPrfts>** contains one of the following elements (see [RateFormat3Choice](#) on page 1151 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1151
Or}	NotSpecifiedRate <NotSpcdfRate>	[1..1]	CodeSet		1151

#### 3.4.11.25.13.16 TaxReclaimRate <TaxRclmRate>

*Presence:* [0..1]

*Definition:* Percentage of cash that was paid in excess of actual tax obligation and was reclaimed.

**TaxReclaimRate <TaxRclmRate>** contains one of the following elements (see [RateFormat3Choice](#) on page 1151 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1151
Or}	NotSpecifiedRate <NotSpcdfRate>	[1..1]	CodeSet		1151

#### 3.4.11.25.13.17 EqualisationRate <EqulstnRate>

*Presence:* [0..1]

*Definition:* Portion of the fund distribution which represents the average accrued income included in the purchase price for units bought during the account period.

**EqualisationRate <EqulstnRate>** contains one of the following elements (see [RateAndAmountFormat48Choice](#) on page 1206 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C1	1206
Or}	NotSpecifiedRate <NotSpcdfRate>	[1..1]	CodeSet		1207

#### 3.4.11.25.13.18 DeemedRate <DmdRate>

*Presence:* [0..\*]

*Definition:* Rate applied for the calculation of deemed proceeds which are not paid to security holders but on which withholding tax is applicable.

**DeemedRate <DmdRate>** contains one of the following elements (see [RateAndAmountFormat53Choice](#) on page 1188 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1189
Or	Amount <Amt>	[1..1]	Amount	C1	1189
Or	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1190
Or	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1190
	RateType <RateTp>	[1..1]			1190
{Or	Code <Cd>	[1..1]	CodeSet		1190
Or}	Proprietary <Prtry>	[1..1]	±		1191
	Amount <Amt>	[1..1]	Amount	C1	1191
	RateStatus <RateSts>	[0..1]		C51	1192
{Or	Code <Cd>	[1..1]	CodeSet		1192
Or}	Proprietary <Prtry>	[1..1]	±		1192
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			1192
	RateType <RateTp>	[1..1]			1193
{Or	Code <Cd>	[1..1]	CodeSet		1193
Or}	Proprietary <Prtry>	[1..1]	±		1193
	Rate <Rate>	[1..1]	Rate		1194

### 3.4.11.25.14 PriceDetails <PricDtls>

*Presence:* [0..1]

*Definition:* Provides information about the prices related to a corporate action option.

*Impacted by:* [C47 GenericCashPricePerProductGuideline](#)

**PriceDetails <PricDtls>** contains the following **PriceDetails35** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>GenericCashPricePaidPerProduct</b> <GncCshPricPdPerPdct>	[0..1]	±		253
	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		253
	<b>CashInLieuOfSharePrice</b> <CshInLieuOfShrPric>	[0..1]	±		254

#### Constraints

- **GenericCashPricePerProductGuideline**  
(Guideline)

GenericCashPriceReceivedPerProduct and GenericCashPricePaidPerProduct are prices received or paid in the course of an event. The specific meaning (redemption price, subscription price, reinvestment price, ETC.) is derived from the event type.

**3.4.11.25.14.1 GenericCashPricePaidPerProduct <GncCshPricPdPerPdct>**

*Presence:* [0..1]

*Definition:* Generic cash price paid per product by the underlying security holder either as a percentage or an amount or a number of points above an index, for example, reinvestment price, strike price and exercise price.

**GenericCashPricePaidPerProduct <GncCshPricPdPerPdct>** contains one of the following elements (see [PriceFormat59Choice](#) on page 1133 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1134
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1134
	PriceValue <PricVal>	[1..1]	Rate		1134
Or	AmountPrice <AmtPric>	[1..1]	±		1134
Or	NotSpecifiedPrice <NotSpdfdPric>	[1..1]	CodeSet		1135
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		1135

**3.4.11.25.14.2 GenericCashPriceReceivedPerProduct <GncCshPricRcvdPerPdct>**

*Presence:* [0..1]

*Definition:* Generic cash price received per product by the underlying security holder either as a percentage or an amount, for example, redemption price.

**GenericCashPriceReceivedPerProduct <GncCshPricRcvdPerPdct>** contains one of the following elements (see [PriceFormat70Choice](#) on page 1120 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1121
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1121
	PriceValue <PricVal>	[1..1]	Rate		1122
Or	AmountPrice <AmtPric>	[1..1]	±		1122
Or	NotSpecifiedPrice <NotSpofdPric>	[1..1]	CodeSet		1122
Or	AmountPricePerFinancialInstrumentQuantity <AmtPricPerFinInstrmQty>	[1..1]			1122
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1123
	PriceValue <PricVal>	[1..1]	Amount	C1	1123
	FinancialInstrumentQuantity <FinInstrmQty>	[1..1]	±	C14	1123
Or	AmountPricePerAmount <AmtPricPerAmt>	[1..1]			1124
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1124
	PriceValue <PricVal>	[1..1]	Amount	C1	1124
	Amount <Amt>	[1..1]	Amount	C1	1125
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		1125

#### 3.4.11.25.14.3 CashInLieuOfSharePrice <CshInLieuOfShrPric>

*Presence:* [0..1]

*Definition:* Cash disbursement in lieu of equities; usually in lieu of fractional quantity.

**CashInLieuOfSharePrice <CshInLieuOfShrPric>** contains one of the following elements (see [PriceFormat57Choice](#) on page 1132 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1132
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1132
	PriceValue <PricVal>	[1..1]	Rate		1133
Or	AmountPrice <AmtPric>	[1..1]	±		1133
Or}	NotSpecifiedPrice <NotSpofdPric>	[1..1]	CodeSet		1133

#### 3.4.11.26 AdditionalInformation <Addtllnf>

*Presence:* [0..1]

*Definition:* Provides additional information.

*Impacted by:* [C4 AdditionalInformationRule](#)

**AdditionalInformation <AddtlInf>** contains the following **CorporateActionNarrative48** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AdditionalText</b> <AddtlTxt>	[0..*]	±		255
	<b>NarrativeVersion</b> <NrrtvVrsn>	[0..*]	±		255
	<b>InformationConditions</b> <InfConds>	[0..*]	±		256
	<b>InformationToComplyWith</b> <InfToCmplyWth>	[0..*]	±		256
	<b>SecurityRestriction</b> <SctyRstrctn>	[0..*]	±		256
	<b>TaxationConditions</b> <TaxtnConds>	[0..*]	±		257
	<b>Disclaimer</b> <Dscmlr>	[0..*]	±		257
	<b>CertificationBreakdown</b> <CertfctnBrkdown>	[0..*]	±		257

**Constraints**

- **AdditionalInformationRule**

(Rule)

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

**3.4.11.26.1 AdditionalText <AddtlTxt>**

*Presence:* [0..\*]

*Definition:* Provides additional information or specifies in more detail the content of a message. This field may only be used when the information to be transmitted, cannot be coded.

**AdditionalText <AddtlTxt>** contains the following elements (see [UpdatedAdditionalInformation14](#) on page 975 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Language <Lang>	[1..1]	CodeSet		975
	UpdateDescription <UpdDesc>	[0..1]	Text		976
	UpdateDate <UpdDt>	[0..1]	Date		976
	AdditionalInformation <AddtlInf>	[1..1]	Text		976

**3.4.11.26.2 NarrativeVersion <NrrtvVrsn>**

*Presence:* [0..\*]

*Definition:* Provides information that can be ignored for automated processing; - reiteration of information that has been included within structured fields, - or narrative information not needed for automatic processing.

**NarrativeVersion <NrrtvVrsn>** contains the following elements (see [UpdatedAdditionalInformation14](#) on page 975 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Language <Lang>	[1..1]	CodeSet		975
	UpdateDescription <UpdDesc>	[0..1]	Text		976
	UpdateDate <UpdDt>	[0..1]	Date		976
	AdditionalInformation <AddtlInf>	[1..1]	Text		976

### 3.4.11.26.3 InformationConditions <InfConds>

*Presence:* [0..\*]

*Definition:* Provides conditional information related to the event, for example, an offer is subject to 50 percent acceptance, the offeror allows the securities holder to set some conditions.

**InformationConditions <InfConds>** contains the following elements (see [UpdatedAdditionalInformation15](#) on page 974 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Language <Lang>	[1..1]	CodeSet		975
	UpdateDescription <UpdDesc>	[0..1]	Text		975
	UpdateDate <UpdDt>	[0..1]	Date		975
	AdditionalInformation <AddtlInf>	[1..*]	Text		975

### 3.4.11.26.4 InformationToComplyWith <InfToCmplyWth>

*Presence:* [0..\*]

*Definition:* Provides information conditions to the account owner that are to be complied with, for example, not open to US/Canadian residents, Qualified Institutional Buyers (QIB) or SIL (Sophisticated Investor Letter) to be provided.

**InformationToComplyWith <InfToCmplyWth>** contains the following elements (see [UpdatedAdditionalInformation15](#) on page 974 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Language <Lang>	[1..1]	CodeSet		975
	UpdateDescription <UpdDesc>	[0..1]	Text		975
	UpdateDate <UpdDt>	[0..1]	Date		975
	AdditionalInformation <AddtlInf>	[1..*]	Text		975

### 3.4.11.26.5 SecurityRestriction <SctyRstrctn>

*Presence:* [0..\*]

*Definition:* Provides restriction(s) on securities.



**SecurityRestriction <SctyRstrctn>** contains the following elements (see [UpdatedAdditionalInformation15 on page 974](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Language <Lang>	[1..1]	CodeSet		975
	UpdateDescription <UpdDesc>	[0..1]	Text		975
	UpdateDate <UpdDt>	[0..1]	Date		975
	AdditionalInformation <AddtlInf>	[1..*]	Text		975

### 3.4.11.26.6 TaxationConditions <TaxtnConds>

*Presence:* [0..\*]

*Definition:* Provides taxation conditions that cannot be included within the structured fields of this message and has not been mentioned in the Service Level Agreement (SLA).

**TaxationConditions <TaxtnConds>** contains the following elements (see [UpdatedAdditionalInformation15 on page 974](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Language <Lang>	[1..1]	CodeSet		975
	UpdateDescription <UpdDesc>	[0..1]	Text		975
	UpdateDate <UpdDt>	[0..1]	Date		975
	AdditionalInformation <AddtlInf>	[1..*]	Text		975

### 3.4.11.26.7 Disclaimer <Dsclmr>

*Presence:* [0..\*]

*Definition:* Provides a disclaimer relative to the information provided in the message. It may be ignored for automated processing.

**Disclaimer <Dsclmr>** contains the following elements (see [UpdatedAdditionalInformation15 on page 974](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Language <Lang>	[1..1]	CodeSet		975
	UpdateDescription <UpdDesc>	[0..1]	Text		975
	UpdateDate <UpdDt>	[0..1]	Date		975
	AdditionalInformation <AddtlInf>	[1..*]	Text		975

### 3.4.11.26.8 CertificationBreakdown <CertfctnBrkdw>

*Presence:* [0..\*]

*Definition:* Provides additional information about the type of certification/breakdown required.

**CertificationBreakdown <CertfctnBrkdwn>** contains the following elements (see [UpdatedAdditionalInformation15](#) on page 974 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Language <Lang>	[1..1]	CodeSet		975
	UpdateDescription <UpdDesc>	[0..1]	Text		975
	UpdateDate <UpdDt>	[0..1]	Date		975
	AdditionalInformation <AddtlInf>	[1..*]	Text		975

### 3.4.12 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information on the event.

*Impacted by:* [C5 AdditionalInformationRule](#)

**AdditionalInformation <AddtlInf>** contains the following **CorporateActionNarrative55** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AdditionalText</b> <AddtlTxt>	[0..*]	±	C6	259
	<b>NarrativeVersion</b> <NrrtvVrsn>	[0..*]	±	C6	259
	<b>InformationConditions</b> <InfConds>	[0..*]	±	C6	260
	<b>InformationToComplyWith</b> <InfToCmplyWth>	[0..*]	±	C6	260
	<b>TaxationConditions</b> <TaxtnConds>	[0..*]	±	C6	261
	<b>Disclaimer</b> <Dsclmr>	[0..*]	±	C6	261
	<b>PartyContactNarrative</b> <PtyCtctNrrtv>	[0..*]	±	C6	262
	<b>RegistrationDetails</b> <RegnDtls>	[0..*]	±	C6	262
	<b>BasketOrIndexInformation</b> <BsktOrIndxInf>	[0..*]	±	C6	263
	<b>CertificationBreakdown</b> <CertfctnBrkdwn>	[0..*]	±	C6	263
	<b>URLAddress</b> <URLAdr>	[0..*]	±		264
	<b>ProcessingTextForNextIntermediary</b> <PrcgTxtForNxtIntrmy>	[0..*]	±	C6	264

#### Constraints

- **AdditionalInformationRule**  
 (Rule)

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

### 3.4.12.1 AdditionalText <AddtITxt>

*Presence:* [0..\*]

*Definition:* Provides additional information or specifies in more detail the content of a message. This field may only be used when the information to be transmitted, cannot be coded.

*Impacted by:* [C6 AdditionalInformationRule](#)

**AdditionalText <AddtITxt>** contains the following elements (see [UpdatedAdditionalInformation16](#) on page 973 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Language <Lang>	[1..1]	CodeSet		974
	UpdateDescription <UpdDesc>	[0..1]	Text		974
	UpdateDate <UpdDt>	[0..1]	Date		974
	AdditionalInformation <AddtIInf>	[1..*]	Text		974

#### Constraints

- **AdditionalInformationRule**

(Rule)

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

### 3.4.12.2 NarrativeVersion <NrrtvVrsn>

*Presence:* [0..\*]

*Definition:* Provides information that can be ignored for automated processing; - reiteration of information that has been included within structured fields, - or narrative information not needed for automatic processing.

*Impacted by:* [C6 AdditionalInformationRule](#)

**NarrativeVersion <NrrtvVrsn>** contains the following elements (see [UpdatedAdditionalInformation16](#) on page 973 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Language <Lang>	[1..1]	CodeSet		974
	UpdateDescription <UpdDesc>	[0..1]	Text		974
	UpdateDate <UpdDt>	[0..1]	Date		974
	AdditionalInformation <AddtIInf>	[1..*]	Text		974

**Constraints**

- **AdditionalInformationRule**

(Rule)

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

**3.4.12.3 InformationConditions <InfConds>**

*Presence:* [0..\*]

*Definition:* Provides conditional information related to the event, for example, an offer is subject to 50 percent acceptance, the offeror allows the securities holder to set some conditions.

*Impacted by:* [C6 AdditionalInformationRule](#)

**InformationConditions <InfConds>** contains the following elements (see [UpdatedAdditionalInformation16 on page 973](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Language <Lang>	[1..1]	CodeSet		974
	UpdateDescription <UpdDesc>	[0..1]	Text		974
	UpdateDate <UpdDt>	[0..1]	Date		974
	AdditionalInformation <AddtlInf>	[1..*]	Text		974

**Constraints**

- **AdditionalInformationRule**

(Rule)

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

**3.4.12.4 InformationToComplyWith <InfToCmplyWth>**

*Presence:* [0..\*]

*Definition:* Provides information conditions to the account owner that are to be complied with, for example, not open to US/Canadian residents, Qualified Institutional Buyers (QIB) or SIL (Sophisticated Investor Letter) to be provided.

*Impacted by:* [C6 AdditionalInformationRule](#)

**InformationToComplyWith <InfToCmplyWth>** contains the following elements (see [UpdatedAdditionalInformation16 on page 973](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Language <Lang>	[1..1]	CodeSet		974
	UpdateDescription <UpdDesc>	[0..1]	Text		974
	UpdateDate <UpdDt>	[0..1]	Date		974
	AdditionalInformation <AddtlInf>	[1..*]	Text		974

**Constraints**

- **AdditionalInformationRule**

(Rule)

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

**3.4.12.5 TaxationConditions <TaxtnConds>**

*Presence:* [0..\*]

*Definition:* Provides taxation conditions that cannot be included within the structured fields of this message and has not been mentioned in the Service Level Agreement (SLA).

*Impacted by:* [C6 AdditionalInformationRule](#)

**TaxationConditions <TaxtnConds>** contains the following elements (see [UpdatedAdditionalInformation16 on page 973](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Language <Lang>	[1..1]	CodeSet		974
	UpdateDescription <UpdDesc>	[0..1]	Text		974
	UpdateDate <UpdDt>	[0..1]	Date		974
	AdditionalInformation <AddtlInf>	[1..*]	Text		974

**Constraints**

- **AdditionalInformationRule**

(Rule)

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

**3.4.12.6 Disclaimer <Dsclmr>**

*Presence:* [0..\*]

*Definition:* Provides a disclaimer relative to the information provided in the message. It may be ignored for automated processing.

*Impacted by:* [C6 AdditionalInformationRule](#)

**Disclaimer <Dsclmr>** contains the following elements (see [UpdatedAdditionalInformation16 on page 973](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Language <Lang>	[1..1]	CodeSet		974
	UpdateDescription <UpdDesc>	[0..1]	Text		974
	UpdateDate <UpdDt>	[0..1]	Date		974
	AdditionalInformation <AddtlInf>	[1..*]	Text		974

**Constraints**

- **AdditionalInformationRule**

(Rule)

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

**3.4.12.7 PartyContactNarrative <PtyCtctNrrtv>**

*Presence:* [0..\*]

*Definition:* Provides additional information regarding the party, for example, the contact unit or person responsible for the transaction identified in the message.

*Impacted by:* C6 AdditionalInformationRule

**PartyContactNarrative <PtyCtctNrrtv>** contains the following elements (see UpdatedAdditionalInformation16 on page 973 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Language <Lang>	[1..1]	CodeSet		974
	UpdateDescription <UpdDesc>	[0..1]	Text		974
	UpdateDate <UpdDt>	[0..1]	Date		974
	AdditionalInformation <AddtlInf>	[1..*]	Text		974

**Constraints**

- **AdditionalInformationRule**

(Rule)

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

**3.4.12.8 RegistrationDetails <RegnDtIs>**

*Presence:* [0..\*]

*Definition:* Provides information required for the registration.

*Impacted by:* C6 AdditionalInformationRule

**RegistrationDetails <RegnDtIs>** contains the following elements (see UpdatedAdditionalInformation16 on page 973 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Language <Lang>	[1..1]	CodeSet		974
	UpdateDescription <UpdDesc>	[0..1]	Text		974
	UpdateDate <UpdDt>	[0..1]	Date		974
	AdditionalInformation <AddtlInf>	[1..*]	Text		974

**Constraints**

- **AdditionalInformationRule**

(Rule)

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

**3.4.12.9 BasketOrIndexInformation <BsktOrIndxInf>**

*Presence:* [0..\*]

*Definition:* Provides additional information on the basket or index underlying a security, for example a warrant.

*Impacted by:* C6 AdditionalInformationRule

**BasketOrIndexInformation <BsktOrIndxInf>** contains the following elements (see UpdatedAdditionalInformation16 on page 973 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Language <Lang>	[1..1]	CodeSet		974
	UpdateDescription <UpdDesc>	[0..1]	Text		974
	UpdateDate <UpdDt>	[0..1]	Date		974
	AdditionalInformation <AddtlInf>	[1..*]	Text		974

**Constraints**

- **AdditionalInformationRule**

(Rule)

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

**3.4.12.10 CertificationBreakdown <CertfctnBrkdwn>**

*Presence:* [0..\*]

*Definition:* Provides additional information about the type of certification/breakdown required.

*Impacted by:* C6 AdditionalInformationRule

**CertificationBreakdown <CertfctnBrkdwn>** contains the following elements (see UpdatedAdditionalInformation16 on page 973 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Language <Lang>	[1..1]	CodeSet		974
	UpdateDescription <UpdDesc>	[0..1]	Text		974
	UpdateDate <UpdDt>	[0..1]	Date		974
	AdditionalInformation <AddtlInf>	[1..*]	Text		974

**Constraints**

- **AdditionalInformationRule**

(Rule)

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

### 3.4.12.11 URLAddress <URLAdr>

*Presence:* [0..\*]

*Definition:* Provides the web address published for the event, that is, the address for the Universal Resource Locator (URL), for example, used over the www (HTTP) service.

**URLAddress <URLAdr>** contains the following elements (see [UpdatedURLInformation5](#) on page 978 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Language <Lang>	[1..1]	CodeSet		978
	UpdateDescription <UpdDesc>	[0..1]	Text		978
	UpdateDate <UpdDt>	[0..1]	Date		978
	URLAddress <URLAdr>	[1..1]	Text		978

### 3.4.12.12 ProcessingTextForNextIntermediary <PrcgTxtForNxtIntrmy>

*Presence:* [0..\*]

*Definition:* Provides additional information from the account servicer or a service provider solely intended for the next immediate account holder to enable or facilitate event processing between parties.

*Impacted by:* [C6 AdditionalInformationRule](#)

**ProcessingTextForNextIntermediary <PrcgTxtForNxtIntrmy>** contains the following elements (see [UpdatedAdditionalInformation16](#) on page 973 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Language <Lang>	[1..1]	CodeSet		974
	UpdateDescription <UpdDesc>	[0..1]	Text		974
	UpdateDate <UpdDt>	[0..1]	Date		974
	AdditionalInformation <AddtlInf>	[1..*]	Text		974

**Constraints**

- **AdditionalInformationRule**

(Rule)



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

### 3.4.13 IssuerAgent <IssrAgt>

*Presence:* [0..\*]

*Definition:* Party appointed to administer the event on behalf of the issuer company/offoror. The party may be contacted for more information about the event.

**IssuerAgent <IssrAgt>** contains one of the following elements (see [PartyIdentification151Choice](#) on page 1089 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1090
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1090
Or	NameAndAddress <NmAndAdr>	[1..1]	±		1090
Or}	LEI <LEI>	[1..1]	IdentifierSet		1091

### 3.4.14 PayingAgent <PngAgt>

*Presence:* [0..\*]

*Definition:* Agent (principal or fiscal paying agent) appointed to execute the payment for the corporate action event on behalf of the issuer company/offoror.

**PayingAgent <PngAgt>** contains one of the following elements (see [PartyIdentification137Choice](#) on page 1092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1092
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1092
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1093

### 3.4.15 SubPayingAgent <SubPngAgt>

*Presence:* [0..\*]

*Definition:* Sub-agent appointed to execute the payment for the corporate action event on behalf of the issuer company/offoror.

**SubPayingAgent <SubPngAgt>** contains one of the following elements (see [PartyIdentification137Choice](#) on page 1092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1092
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1092
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1093

### 3.4.16 Registrar <Regar>

*Presence:* [0..1]

*Definition:* Party/agent responsible for maintaining the register of the security.

**Registrar <Regar>** contains one of the following elements (see [PartyIdentification137Choice](#) on page 1092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1092
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1092
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1093

### 3.4.17 ResellingAgent <RsellingAgt>

*Presence:* [0..\*]

*Definition:* Broker-dealer responsible for reselling to new investors securities (usually bonds) that have been tendered for purchase by their owner.

**ResellingAgent <RsellingAgt>** contains one of the following elements (see [PartyIdentification137Choice](#) on page 1092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1092
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1092
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1093

### 3.4.18 PhysicalSecuritiesAgent <PhysSctiesAgt>

*Presence:* [0..1]

*Definition:* Trust company, bank or similar financial institution assigned by an issuer to accept presentations of instruments, usually bonds, for transfer and or exchange.

**PhysicalSecuritiesAgent <PhysSctiesAgt>** contains one of the following elements (see [PartyIdentification137Choice](#) on page 1092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1092
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1092
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1093

### 3.4.19 DropAgent <DrpAgt>

*Presence:* [0..1]

*Definition:* Trust company, bank or similar financial institution that acts on behalf of an out-of-town agent or event agent where securities can be delivered in person.

**DropAgent <DrpAgt>** contains one of the following elements (see [PartyIdentification137Choice](#) on page 1092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1092
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1092
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1093

### 3.4.20 SolicitationAgent <SlctnAgt>

*Presence:* [0..\*]

*Definition:* Trust company, bank or similar financial institution assigned by an issuer to maintain records of investors and account balances and transactions for the consent of a material change.

**SolicitationAgent <SlctnAgt>** contains one of the following elements (see [PartyIdentification137Choice](#) on page 1092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1092
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1092
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1093

### 3.4.21 InformationAgent <InfAgt>

*Presence:* [0..1]

*Definition:* Trust company, bank or similar financial institution assigned by an Issuer to provide information and copies of the offering documentation.

**InformationAgent <InfAgt>** contains one of the following elements (see [PartyIdentification137Choice](#) on page 1092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1092
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1092
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1093

### 3.4.22 Issuer <Issr>

*Presence:* [0..1]

*Definition:* Issuer of the financial instrument.

**Issuer <Issr>** contains one of the following elements (see [PartyIdentification151Choice](#) on page 1089 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1090
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1090
Or	NameAndAddress <NmAndAdr>	[1..1]	±		1090
Or}	LEI <LEI>	[1..1]	IdentifierSet		1091

### 3.4.23 Offeror <Offerr>

*Presence:* [0..\*]

*Definition:* Party making the offer and which is different from the issuing company.

**Offeror <Offerr>** contains one of the following elements (see [PartyIdentification151Choice](#) on page 1089 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1090
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1090
Or	NameAndAddress <NmAndAdr>	[1..1]	±		1090
Or}	LEI <LEI>	[1..1]	IdentifierSet		1091

### 3.4.24 TransferAgent <TrfAgt>

*Presence:* [0..1]

*Definition:* Trust company, bank or similar financial institution appointed by a fund management company to maintain records of investors and account balances. The transfer agent records transactions, including subscriptions, redemptions, switches, transfers, and re-registrations.

**TransferAgent <TrfAgt>** contains one of the following elements (see [PartyIdentification151Choice](#) on page 1089 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1090
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1090
Or	NameAndAddress <NmAndAdr>	[1..1]	±		1090
Or}	LEI <LEI>	[1..1]	IdentifierSet		1091

### 3.4.25 SupplementaryData <SplmtryData>

*Presence:* [0..\*]

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

*Impacted by:* [C115 SupplementaryDataRule](#)

**SupplementaryData <SplmtryData>** contains the following elements (see [SupplementaryData1](#) on page 1077 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		1077
	Envelope <Envlp>	[1..1]	(External Schema)		1078

#### 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.

---

# 4 **MX seev.032.002.08**

## **CorporateActionEventProcessingStatusAdvice002V08**

### 4.1 **MessageDefinition Functionality**

#### Scope

An account servicer sends the CorporateActionEventProcessingStatusAdvice message to an account owner or its designated agent to report processing status of a corporate action event.

The account servicer uses this message to provide a reason as to why a corporate action event has not been completed by the announced payment dates.

#### Usage

The message may also be used to:

- re-send a message previously sent (the sub-function of the message is Duplicate),
- provide a third party with a copy of a message for information (the sub-function of the message is Copy),
- re-send to a third party a copy of a message for information (the sub-function of the message is Copy Duplicate),

using the relevant elements in the business application header (BAH).

#### Outline

The CorporateActionEventProcessingStatusAdvice002V08 MessageDefinition is composed of 6 MessageBuildingBlocks:

- A. NotificationIdentification  
Identification of a previously sent notification document.
- B. OtherDocumentIdentification  
Identification of other documents as well as the document number.
- C. CorporateActionGeneralInformation  
General information about the corporate action event.
- D. EventProcessingStatus  
Information about the status of the corporate action.
- E. AdditionalInformation  
Provides additional information.
- F. SupplementaryData

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

## 4.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <CorpActnEvtPrcgStsAdv>	[1..1]			
	<b>NotificationIdentification</b> <NtfctnId>	[0..1]	±		272
	<b>OtherDocumentIdentification</b> <OthrDocId>	[0..*]	±		273
	<b>CorporateActionGeneralInformation</b> <CorpActnGnllnf>	[1..1]		C3, C5	273
	<b>CorporateActionEventIdentification</b> <CorpActnEvtId>	[1..1]	Text		274
	<b>OfficialCorporateActionEventIdentification</b> <OffclCorpActnEvtId>	[0..1]	Text		274
	<b>ClassActionNumber</b> <ClsActnNb>	[0..1]	Text		274
	<b>EventType</b> <EvtTp>	[1..1]	±	C4	274
	<b>EventProcessingStatus</b> <EvtPrcgSts>	[1..*]			275
{Or	<b>Complete</b> <Cmplt>	[1..1]	±		275
Or	<b>Reconciled</b> <Rcncl>	[1..1]	±		275
Or	<b>Pending</b> <Pdg>	[1..1]	±		276
Or}	<b>ProprietaryStatus</b> <PrtrySts>	[1..1]	±		276
	<b>AdditionalInformation</b> <AddtlInf>	[0..1]			276
	<b>AdditionalText</b> <AddtlTxt>	[0..*]	Text		277
	<b>PartyContactNarrative</b> <PtyCtctNrrtv>	[0..*]	Text		277
	<b>SupplementaryData</b> <SplmtryData>	[0..*]	±	C7	277

## 4.3 Constraints

### C1 AdditionalReasonInformationRule

(Rule)

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

### C2 AdditionalReasonInformationRule

(Rule)

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

### C3 EventTypeRule

(Rule)

---

EventType/Code OTHR must only be used in case no other corporate action event code is appropriate.

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

EventType/Code REDM must only be used when the redemption is decided by the issuer and not by the securities holders.

#### **C4 EventTypeRule**

(Rule)

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

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

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

#### **C5 OfficialCorporateActionEventReference**

(Rule)

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

available in the SMPG Global Market Practices Part 1 document on [www.smpg.info](http://www.smpg.info).

#### **C6 ShortLongNumberRule**

(Rule)

ShortNumber must contain the FIN message type number of the linked message. LongNumber must contain the XML message identifier of the linked message.

#### **C7 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.

## **4.4 Message Building Blocks**

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### **4.4.1 NotificationIdentification <NtfctnId>**

*Presence:* [0..1]

*Definition:* Identification of a previously sent notification document.



**NotificationIdentification <NtfctnId>** contains the following elements (see [DocumentIdentification17](#) on page 897 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		898

## 4.4.2 OtherDocumentIdentification <OthrDocId>

*Presence:* [0..\*]

*Definition:* Identification of other documents as well as the document number.

**OtherDocumentIdentification <OthrDocId>** contains the following elements (see [DocumentIdentification34](#) on page 894 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			894
{Or	AccountServicerDocumentIdentification <AcctSvcrDocId>	[1..1]	Text		895
Or}	AccountOwnerDocumentIdentification <AcctOwnrDocId>	[1..1]	Text		895
	DocumentNumber <DocNb>	[0..1]	±	C6	895

## 4.4.3 CorporateActionGeneralInformation <CorpActnGnInf>

*Presence:* [1..1]

*Definition:* General information about the corporate action event.

*Impacted by:* [C3 EventTypeRule](#), [C5 OfficialCorporateActionEventReference](#)

**CorporateActionGeneralInformation <CorpActnGnInf>** contains the following [CorporateActionGeneralInformation158](#) elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CorporateActionEventIdentification</b> <CorpActnEvtId>	[1..1]	Text		274
	<b>OfficialCorporateActionEventIdentification</b> <OffclCorpActnEvtId>	[0..1]	Text		274
	<b>ClassActionNumber</b> <ClassActnNb>	[0..1]	Text		274
	<b>EventType</b> <EvtTp>	[1..1]	±	C4	274

### Constraints

- **EventTypeRule**

(Rule)

EventType/Code OTHR must only be used in case no other corporate action event code is appropriate.

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

EventType/Code REDM must only be used when the redemption is decided by the issuer and not by the securities holders.

- **OfficialCorporateActionEventReference**

(Rule)

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

available in the SMPG Global Market Practices Part 1 document on [www.smpg.info](http://www.smpg.info).

#### 4.4.3.1 CorporateActionEventIdentification <CorpActnEvtId>

*Presence:* [1..1]

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

*Datatype:* [RestrictedFINXMax16Text on page 1352](#)

#### 4.4.3.2 OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>

*Presence:* [0..1]

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

*Datatype:* [RestrictedFINXMax16Text on page 1352](#)

#### 4.4.3.3 ClassActionNumber <ClassActnNb>

*Presence:* [0..1]

*Definition:* Reference assigned by a court to a class action.

*Datatype:* [RestrictedFINXMax16Text on page 1352](#)

#### 4.4.3.4 EventType <EvtTp>

*Presence:* [1..1]

*Definition:* Type of corporate action event.

*Impacted by:* [C4 EventTypeRule](#)

**EventType <EvtTp>** contains one of the following elements (see [CorporateActionEventType103Choice on page 964](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		965
Or}	Proprietary <Prtry>	[1..1]	±		971

**Constraints**

- **EventTypeRule**

(Rule)

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

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

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

#### 4.4.4 EventProcessingStatus <EvtPrcgSts>

*Presence:* [1..\*]

*Definition:* Information about the status of the corporate action.

**EventProcessingStatus <EvtPrcgSts>** contains one of the following **EventProcessingStatus6Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Complete</b> <Cmplt>	[1..1]	±		275
Or	<b>Reconciled</b> <Rcncl>	[1..1]	±		275
Or	<b>Pending</b> <Pdg>	[1..1]	±		276
Or}	<b>ProprietaryStatus</b> <PrtrySts>	[1..1]	±		276

##### 4.4.4.1 Complete <Cmplt>

*Presence:* [1..1]

*Definition:* Specifies that a corporate action event processing has been completed.

**Complete <Cmplt>** contains the following elements (see [NoSpecifiedReason1](#) on page 1230 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NoSpecifiedReason <NoSpofdRsn>	[1..1]	CodeSet		1230

##### 4.4.4.2 Reconciled <Rcncl>

*Presence:* [1..1]

*Definition:* Corporate action event processing specifying that the funds paid have been reconciled with the funds received from the agent (meaning that there is no more risk of payment to be reversed).

**Reconciled <Rcnld>** contains the following elements (see [NoSpecifiedReason1](#) on page 1230 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		1230

#### 4.4.4.3 Pending <Pdg>

*Presence:* [1..1]

*Definition:* Specifies that a corporate action event processing has not been fully completed and is therefore pending.

**Pending <Pdg>** contains one of the following elements (see [PendingStatus59Choice](#) on page 1243 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		1244
Or}	Reason <Rsn>	[1..*]		C1	1244
	ReasonCode <RsnCd>	[1..1]	±		1244
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		1245

#### 4.4.4.4 ProprietaryStatus <PrtrySts>

*Presence:* [1..1]

*Definition:* Proprietary status related to the event processing.

**ProprietaryStatus <PrtrySts>** contains the following elements (see [ProprietaryStatusAndReason7](#) on page 1252 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ProprietaryStatus <PrtrySts>	[1..1]	±		1252
	ProprietaryReason <PrtryRsn>	[0..*]	±	C2	1252

#### 4.4.5 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Provides additional information.

**AdditionalInformation <AddtlInf>** contains the following **CorporateActionNarrative19** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AdditionalText</b> <AddtlTxt>	[0..*]	Text		277
	<b>PartyContactNarrative</b> <PtyCtctNrrtv>	[0..*]	Text		277

#### 4.4.5.1 AdditionalText <AddtlTtxt>

*Presence:* [0..\*]

*Definition:* Provides additional information or specifies in more detail the content of a message. This field may only be used when the information to be transmitted, cannot be coded.

*Datatype:* [RestrictedFINXMax350Text on page 1354](#)

#### 4.4.5.2 PartyContactNarrative <PtyCtctNrrtv>

*Presence:* [0..\*]

*Definition:* Provides additional information regarding the party, for example, the contact unit or person responsible for the transaction identified in the message.

*Datatype:* [RestrictedFINXMax350Text on page 1354](#)

### 4.4.6 SupplementaryData <SplmtryData>

*Presence:* [0..\*]

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

*Impacted by:* [C7 SupplementaryDataRule](#)

**SupplementaryData <SplmtryData>** contains the following elements (see [SupplementaryData1 on page 1077](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		1077
	Envelope <Envlp>	[1..1]	(External Schema)		1078

#### 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.

# 5 **MX seev.033.002.12**

## **CorporateActionInstruction002V12**

### 5.1 **MessageDefinition Functionality**

#### Scope

The CorporateActionInstruction message is sent by an account owner to an account servicer to instruct election on a corporate action event.

This message is used to provide the custodian with instructions on how the account owner wishes to proceed with a corporate action event. Instructions include investment decisions regarding the exercise of rights issues, the election of stock or cash when the option is available, and decisions on the conversion or tendering of securities.

#### Usage

The message may also be used to:

- re-send a message previously sent (the sub-function of the message is Duplicate),
- provide a third party with a copy of a message for information (the sub-function of the message is Copy),
- re-send to a third party a copy of a message for information (the sub-function of the message is Copy Duplicate), using the relevant elements in the business application header (BAH).

#### Outline

The CorporateActionInstruction002V12 MessageDefinition is composed of 12 MessageBuildingBlocks:

- A. ChangeInstructionIndicator  
Indicates that the current instruction is replacing a previous one that was cancelled earlier.
- B. CancelledInstructionIdentification  
Identification of a previously sent cancelled instruction document.
- C. InstructionCancellationRequestIdentification  
Identification of a previously sent instruction cancellation request document.
- D. OtherDocumentIdentification  
Identification of other documents as well as the document number.
- E. EventsLinkage  
Identification of another corporate action event that needs to be closely linked to the processing of the event notified in this document.
- F. CorporateActionGeneralInformation  
General information about the corporate action event.
- G. AccountDetails

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

H. BeneficialOwnerDetails

Information about the beneficial owner of the securities.

I. CorporateActionInstruction

Information about the corporate action instruction.

J. ProtectInstruction

Provides detailed information on protect and cover protect instructions.

K. AdditionalInformation

Provides additional information.

L. SupplementaryData

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

## 5.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <CorpActnInstr>	[1..1]		C3, C5, C7, C17, C23, C6	
	<b>ChangeInstructionIndicator</b> <ChngInstrInd>	[0..1]	Indicator		289
	<b>CancelledInstructionIdentification</b> <CanclInstrId>	[0..1]	±		289
	<b>InstructionCancellationRequestIdentification</b> <InstrCxlReqlId>	[0..1]	±		289
	<b>OtherDocumentIdentification</b> <OthrDocId>	[0..*]	±		289
	<b>EventsLinkage</b> <EvtsLkg>	[0..*]	±		290
	<b>CorporateActionGeneralInformation</b> <CorpActnGnllnf>	[1..1]		C14, C20	290
	<b>CorporateActionEventIdentification</b> <CorpActnEvtId>	[1..1]	Text		291
	<b>OfficialCorporateActionEventIdentification</b> <OffclCorpActnEvtId>	[0..1]	Text		291
	<b>EventType</b> <EvtTp>	[1..1]	±	C15	291
	<b>UnderlyingSecurity</b> <UndrlygScty>	[0..1]	±	C25	292
	<b>AccountDetails</b> <AcctDtls>	[1..1]		C26, C27, C28, C29	293
	<b>SafekeepingAccount</b> <SfkpgAcct>	[0..1]	Text		295
	<b>BlockChainAddressOrWallet</b> <BlckChainAdrOrWllt>	[0..1]	Text		295
	<b>AccountOwner</b> <AcctOwnr>	[0..1]	±		296
	<b>SafekeepingPlace</b> <SfkpgPlc>	[0..1]	±		296
	<b>Balance</b> <Bal>	[0..1]			296
	<b>TotalEligibleBalance</b> <TtlElgblBal>	[0..1]	±		297
	<b>BlockedBalance</b> <BlckdBal>	[0..1]	±		297
	<b>BorrowedBalance</b> <BrrwdBal>	[0..1]	±		298
	<b>CollateralInBalance</b> <CollInBal>	[0..1]	±		298
	<b>CollateralOutBalance</b> <CollOutBal>	[0..1]	±		298
	<b>OnLoanBalance</b> <OnLnBal>	[0..1]	±		299
	<b>PendingDeliveryBalance</b> <PdgDlvryBal>	[0..*]	±		299
	<b>PendingReceiptBalance</b> <PdgRctBal>	[0..*]	±		299
	<b>OutForRegistrationBalance</b> <OutForRegnBal>	[0..1]	±		300



Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>SettlementPositionBalance</b> <SttlmPosBal>	[0..1]	±		300
	<b>StreetPositionBalance</b> <StrtPosBal>	[0..1]	±		300
	<b>TradeDatePositionBalance</b> <TradDtPosBal>	[0..1]	±		301
	<b>InTransshipmentBalance</b> <InTrnsShipmntBal>	[0..1]	±		301
	<b>RegisteredBalance</b> <RegdBal>	[0..1]	±		301
	<b>BeneficialOwnerDetails</b> <BnfcIOwnrDtls>	[0..*]		C10	302
	<b>OwnerIdentification</b> <OwnrId>	[1..1]	±		302
	<b>LEIIdentification</b> <LEIId>	[0..1]	IdentifierSet		303
	<b>AlternateIdentification</b> <AltrnId>	[0..*]	±		303
	<b>DomicileCountry</b> <DmclCtry>	[0..1]	CodeSet	C8	303
	<b>NonDomicileCountry</b> <NonDmclCtry>	[0..*]	CodeSet	C8	304
	<b>OwnedSecuritiesQuantity</b> <OwndSctiesQty>	[1..1]	±	C13	304
	<b>CertificationType</b> <CertfctnTp>	[0..*]	±		305
	<b>WithholdingTaxRate</b> <WhldgTaxRate>	[0..1]	±		305
	<b>CertificationBreakdown</b> <CertfctnBrkdown>	[0..*]	Text		305
	<b>CorporateActionInstruction</b> <CorpActnInstr>	[1..1]		C21, C22	305
	<b>OptionNumber</b> <OptnNb>	[1..1]	±		307
	<b>OptionType</b> <OptnTp>	[1..1]	±		307
	<b>OptionFeatures</b> <OptnFeatrs>	[0..1]	±		308
	<b>FractionDisposition</b> <FrctnDspstn>	[0..1]	±		308
	<b>ChangeType</b> <ChngTp>	[0..*]	±		308
	<b>EligibleForCollateralIndicator</b> <ElgblForCollInd>	[0..1]	Indicator		308
	<b>SolicitationDealerFeeIndicator</b> <SlctnDealrFeeInd>	[0..1]	Indicator		309
	<b>CurrencyToBuy</b> <CcyToBuy>	[0..1]	CodeSet	C1	309
	<b>CurrencyToSell</b> <CcyToSell>	[0..1]	CodeSet	C1	309
	<b>CurrencyOption</b> <CcyOptn>	[0..1]	CodeSet	C1	310
	<b>SecurityIdentification</b> <SctyId>	[0..1]	±	C11, C12, C18, C19, C24	310
	<b>SecuritiesQuantityOrInstructedAmount</b> <SctiesQtyOrInstdAmt>	[1..1]			312
{Or	<b>SecuritiesQuantity</b> <SctiesQty>	[1..1]			312

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ConditionalQuantity</b> <CondlQty>	[0..1]	±	C13	313
	<b>InstructedQuantity</b> <InstdQty>	[1..1]	±		313
	<b>AdditionalRoundUpQuantity</b> <AddtlRndUpQty>	[0..1]	±	C13	313
Or}	<b>InstructedAmount</b> <InstdAmt>	[1..1]	Amount	C1, C9	314
	<b>ExecutionRequestedDateTime</b> <ExctnReqdDtTm>	[0..1]	±		315
	<b>RateAndAmountDetails</b> <RateAndAmtDtls>	[0..1]			315
	<b>ProposedRate</b> <PropsdRate>	[0..1]	Rate		315
	<b>OversubscriptionRate</b> <OvrshcptRate>	[0..1]	±		315
	<b>RequestedWithholdingTaxRate</b> <ReqdWhldgTaxRate>	[0..*]	±		316
	<b>RequestedSecondLevelTaxRate</b> <ReqdScndLvlTaxRate>	[0..*]	±		316
	<b>PriceDetails</b> <PricDtls>	[0..1]		C16	317
	<b>IndicativeOrMarketPrice</b> <IndctvOrMktPric>	[0..1]	±		317
	<b>IssuePrice</b> <IsssePric>	[0..1]	±		317
	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		318
	<b>GenericCashPricePaidPerProduct</b> <GncCshPricPdPerPdct>	[0..1]	±		318
	<b>ShareholderNumber</b> <ShrhldrNb>	[0..1]	Text		319
	<b>AdditionalInformation</b> <AddtlInf>	[0..1]			319
	<b>InformationToComplyWith</b> <InfToCmplyWth>	[0..*]	Text		319
	<b>DeliveryDetails</b> <DlvryDtls>	[0..*]	Text		319
	<b>ForeignExchangeInstructionsAdditionalInformation</b> <FXInstrsAddtlInf>	[0..*]	Text		320
	<b>InstructionAdditionalInformation</b> <InstrAddtlInf>	[0..*]	Text		320
	<b>ProtectInstruction</b> <PrctclInstr>	[0..1]			320
	<b>TransactionType</b> <TxTp>	[1..1]	CodeSet		320
	<b>TransactionIdentification</b> <TxId>	[0..1]	Text		320
	<b>ProtectSafekeepingAccount</b> <PrctctSfkpgAcct>	[0..1]	Text		321
	<b>ProtectDate</b> <PrctctDt>	[0..1]	Date		321
	<b>AdditionalInformation</b> <AddtlInf>	[0..1]			321
	<b>RegistrationDetails</b> <RegnDtls>	[0..*]	Text		321
	<b>PartyContactNarrative</b> <PtyCtctNrrtv>	[0..*]	Text		321
	<b>CertificationBreakdown</b> <CertfctnBrkdown>	[0..*]	Text		321

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	SupplementaryData <SplmtryData>	[0..*]	±	C31	321

## 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 ActiveCurrency

(Rule)

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

Elements in AdditionalInformation and CorporateActionInstruction/AdditionalInformation must not contain information that can be provided in a structured field unless bilaterally agreed or advised differently in the element definition.

*This constraint is defined at the MessageDefinition level.*

### 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 BeneficialOwnerBreakdownRequestRule**

(Rule)

If CorporateActionInstruction/OptionType/Code value is BOBD (BeneficialOwnerBreakdownRequest), then CorporateActionGeneralInformation/EventType/Code value must be WTRC (Withholding Tax Relief Certification).

(MT565 NVR C8) (CrossElementComplexRule)

On Condition

/CorporateActionInstruction/OptionType/Code is equal to value 'BeneficialOwnerBreakdownRequest'

Following Must be True

/CorporateActionGeneralInformation/EventType/Code Must be equal to value 'WithholdingTaxReliefCertification'

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00487
- *Error Text:* Invalid message contents for CorporateActionGeneralInformation/EventType/Code. It must be WTRC.

*This constraint is defined at the MessageDefinition level.*

**C6 ChangeInstructionIndicatorGuideline**

(Guideline)

ChangeInstructionIndicator may only be used if CorporateActionOptionDetails/WithdrawalAllowedIndicator was set to 'false' or '0' (No) in the CorporateActionNotification message previously received and if CorporateActionOptionDetails/ChangeAllowedIndicator was set to 'true' or '1' (Yes) in the CorporateActionNotification message previously received.

*This constraint is defined at the MessageDefinition level.*

**C7 CorporateActionEventIdentificationRule**

(Rule)

If the CorporateActionInstruction message is unsolicited (that is, this instruction has not been preceded by an CorporateActionNotification), then, CorporateActionGeneralInformation/CorporateActionEventIdentification must be NONREF.

*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 DeclarationDetailsRule**

(Rule)

Unless bilaterally agreed, DeclarationDetails must not contain information that can be provided in a structured field.

**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 DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

**C14 EventTypeRule**

(Rule)

EventType/Code OTHR must only be used in case no other corporate action event code is appropriate.

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

EventType/Code REDM must only be used when the redemption is decided by the issuer and not by the securities holders.

#### **C15 EventTypeRule**

(Rule)

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

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

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

#### **C16 GenericCashPricePerProductGuideline**

(Rule)

Generic Cash Price Received per Product (OFFR) and Generic Cash Price Paid per Product (PRPP) are prices received or paid in the course of an event. The specific meaning (redemption price, subscription price, reinvestment price, etc.) is derived from the event type.

#### **C17 InstructionCancellationRequestIdentificationRule**

(Rule)

If ChangelInstructionIndicator is 'true' or '1' (Yes), then InstructionCancellationRequestIdentification must be present.

*This constraint is defined at the MessageDefinition level.*

#### **C18 ISINGuideline**

(Rule)

When a ISIN code exist. It is strongly recommended that the ISIN be used.

#### **C19 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.

#### **C20 OfficialCorporateActionEventReference**

(Rule)

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

available in the SMPG Global Market Practices Part 1 document on [www.smpg.info](http://www.smpg.info).

**C21 OptionNumber1Rule**

(Rule)

For differentiation between options, the OptionNumber rather than the OptionType must be used, for example, in the case where two or more offers can be described by the same corporate action option code. Therefore, the OptionNumber value must be different for each option.

**C22 OptionNumber2Rule**

(Rule)

When the CorporateActionInstruction is unsolicited, that is, the instruction has not been preceded by a Corporate ActionNotification, then OptionNumber/code must be UNSO (unsolicited).

**C23 OptionTypeRule**

(Rule)

If CorporateActionInstruction/OptionType/Code value is TAXI (Tax Instruction), then at least one occurrence of BeneficialOwnerDetails must be present.

*This constraint is defined at the MessageDefinition level.*

**C24 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.

**C25 PreviousNextFactorRule**

(Rule)

In case of partial redemption by pool factor, PreviousFactor provides the factor applicable before redemption and NextFactor provides the factor applicable after redemption.

**C26 SafekeepingAccountOrBlockChainAddress1Rule**

(Rule)

Either SafekeepingAccount or BlockChainAddressOrWallet must be present but not both. (CrossElementSimpleRule)

*Error handling:*

- *Error severity:* Warning
- *Error Code:* X00552

- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

#### **C27 SafekeepingAccountOrBlockChainAddress2Rule**

(Rule)

If BlockchainAddressOrWallet is present then SafekeepingAccount must be absent. (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00567
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

#### **C28 SafekeepingAccountOrBlockChainAddress3Rule**

(Rule)

If SafekeepingAccount is present, then BlockchainAddressOrWallet must be absent. (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00568
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

#### **C29 SafekeepingPlaceRule**

(Rule)

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

#### **C30 ShortLongNumberRule**

(Rule)

ShortNumber must contain the FIN message type number of the linked message. LongNumber must contain the XML message identifier of the linked message.

#### **C31 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.

#### **C32 WithLinkageRule**

(Rule)

If Code WITH is used, then the one or more instruction which are linked become bound and which must be executed together. Even if one single transactions/instructions/notifications can not be executed, then all the other transactions/instructions/notifications must also be kept pending. Therefore the use of code WITH must be limited to combine up to 2 or 3 transactions/instructions/notifications.



## 5.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 5.4.1 ChangeInstructionIndicator <ChngInstrInd>

*Presence:* [0..1]

*Definition:* Indicates that the current instruction is replacing a previous one that was cancelled earlier.

*Datatype:* One of the following values must be used (see [YesNoIndicator](#) on page 1345):

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

### 5.4.2 CancelledInstructionIdentification <CanclInstrId>

*Presence:* [0..1]

*Definition:* Identification of a previously sent cancelled instruction document.

**CancelledInstructionIdentification <CanclInstrId>** contains the following elements (see [DocumentIdentification37](#) on page 892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		893
	LinkageType <LkgTp>	[0..1]	±	C32	893

### 5.4.3 InstructionCancellationRequestIdentification <InstrCxlReqId>

*Presence:* [0..1]

*Definition:* Identification of a previously sent instruction cancellation request document.

**InstructionCancellationRequestIdentification <InstrCxlReqId>** contains the following elements (see [DocumentIdentification37](#) on page 892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		893
	LinkageType <LkgTp>	[0..1]	±	C32	893

### 5.4.4 OtherDocumentIdentification <OthrDocId>

*Presence:* [0..\*]

*Definition:* Identification of other documents as well as the document number.

**OtherDocumentIdentification <OthrDocId>** contains the following elements (see [DocumentIdentification38](#) on page 895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			896
{Or	AccountServicerDocumentIdentification <AcctSvcrDocId>	[1..1]	Text		896
Or}	AccountOwnerDocumentIdentification <AcctOwnrDocId>	[1..1]	Text		896
	DocumentNumber <DocNb>	[0..1]	±	C6	896
	LinkageType <LkgTp>	[0..1]	±	C32	897

## 5.4.5 EventsLinkage <EvtsLkg>

*Presence:* [0..\*]

*Definition:* Identification of another corporate action event that needs to be closely linked to the processing of the event notified in this document.

**EventsLinkage <EvtsLkg>** contains the following elements (see [CorporateActionEventReference4](#) on page 1072 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	EventIdentification <EvtId>	[1..1]			1072
{Or	LinkedOfficialCorporateActionEventIdentification <LkdOffclCorpActnEvtId>	[1..1]	Text		1072
Or}	LinkedCorporateActionIdentification <LkdCorpActnId>	[1..1]	Text		1072
	LinkageType <LkgTp>	[0..1]	±	C32	1072

## 5.4.6 CorporateActionGeneralInformation <CorpActnGnllnf>

*Presence:* [1..1]

*Definition:* General information about the corporate action event.

*Impacted by:* [C14 EventTypeRule](#), [C20 OfficialCorporateActionEventReference](#)

**CorporateActionGeneralInformation <CorpActnGnllnf>** contains the following **CorporateActionGeneralInformation166** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CorporateActionEventIdentification</b> <CorpActnEvtId>	[1..1]	Text		291
	<b>OfficialCorporateActionEventIdentification</b> <OffclCorpActnEvtId>	[0..1]	Text		291
	<b>EventType</b> <EvtTp>	[1..1]	±	C15	291
	<b>UnderlyingSecurity</b> <UndrlygScty>	[0..1]	±	C25	292

**Constraints**

- **EventTypeRule**

(Rule)

EventType/Code OTHR must only be used in case no other corporate action event code is appropriate.

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

EventType/Code REDM must only be used when the redemption is decided by the issuer and not by the securities holders.

- **OfficialCorporateActionEventReference**

(Rule)

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

available in the SMPG Global Market Practices Part 1 document on [www.smpg.info](http://www.smpg.info).

**5.4.6.1 CorporateActionEventIdentification <CorpActnEvtId>**

*Presence:* [1..1]

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

*Datatype:* [RestrictedFINXMax16Text on page 1352](#)

**5.4.6.2 OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>**

*Presence:* [0..1]

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

*Datatype:* [RestrictedFINXMax16Text on page 1352](#)

**5.4.6.3 EventType <EvtTp>**

*Presence:* [1..1]

*Definition:* Type of corporate action event.

*Impacted by:* [C15 EventTypeRule](#)

**EventType <EvtTp>** contains one of the following elements (see [CorporateActionEventType103Choice on page 964](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		965
Or}	Proprietary <Prtry>	[1..1]	±		971

## Constraints

- **EventTypeRule**

(Rule)

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

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

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

### 5.4.6.4 UnderlyingSecurity <UndrlygScty>

*Presence:* [0..1]

*Definition:* Security concerned by the corporate action.

*Impacted by:* C25 PreviousNextFactorRule

**UnderlyingSecurity <UndrlygScty>** contains the following elements (see [FinancialInstrumentAttributes120](#) on page 907 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentIdentification <FinInstrmId>	[0..1]	±	C12, C13, C19, C20, C23	908
	PlaceOfListing <PlcOfListg>	[0..1]	±		910
	DayCountBasis <DayCntBsis>	[0..1]	±		910
	ClassificationType <ClssfctnTp>	[0..1]	±		910
	DenominationCurrency <DnmtnCcy>	[0..1]	CodeSet	C2	911
	NextCouponDate <NxtCpnDt>	[0..1]	Date		911
	ExpiryDate <XpryDt>	[0..1]	Date		911
	FloatingRateFixingDate <FltgRateFvgDt>	[0..1]	Date		911
	MaturityDate <MtrtyDt>	[0..1]	Date		912
	IssueDate <IsseDt>	[0..1]	Date		912
	NextCallableDate <NxtClldDt>	[0..1]	Date		912
	PutableDate <PutblDt>	[0..1]	Date		912
	DatedDate <DtdDt>	[0..1]	Date		912
	ConversionDate <ConvsDt>	[0..1]	Date		912
	PreviousFactor <PrvsFctr>	[0..1]	Rate		912
	NextFactor <NxtFctr>	[0..1]	Rate		912
	InterestRate <IntrstRate>	[0..1]	Rate		913
	NextInterestRate <NxtIntrstRate>	[0..1]	Rate		913
	MinimumNominalQuantity <MinNmnlQty>	[0..1]	±	C14	913
	ContractSize <CtrctSz>	[0..1]	±	C14	913

#### Constraints

- **PreviousNextFactorRule**

(Rule)

In case of partial redemption by pool factor, PreviousFactor provides the factor applicable before redemption and NextFactor provides the factor applicable after redemption.

## 5.4.7 AccountDetails <AcctDtls>

*Presence:* [1..1]

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

*Impacted by:* C26 SafekeepingAccountOrBlockChainAddress1Rule \_\_\_\_, C27 SafekeepingAccountOrBlockChainAddress2Rule \_\_\_\_, C28 SafekeepingAccountOrBlockChainAddress3Rule \_\_\_\_, C29 SafekeepingPlaceRule

**AccountDetails <AcctDtls>** contains the following **AccountAndBalance51** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>SafekeepingAccount</b> <SfkpgAcct>	[0..1]	Text		295
	<b>BlockChainAddressOrWallet</b> <BlckChainAdrOrWllt>	[0..1]	Text		295
	<b>AccountOwner</b> <AcctOwnr>	[0..1]	±		296
	<b>SafekeepingPlace</b> <SfkpgPlc>	[0..1]	±		296
	<b>Balance</b> <Bal>	[0..1]			296
	<b>TotalEligibleBalance</b> <TtlElgblBal>	[0..1]	±		297
	<b>BlockedBalance</b> <BlckdBal>	[0..1]	±		297
	<b>BorrowedBalance</b> <BrrwdBal>	[0..1]	±		298
	<b>CollateralInBalance</b> <CollInBal>	[0..1]	±		298
	<b>CollateralOutBalance</b> <CollOutBal>	[0..1]	±		298
	<b>OnLoanBalance</b> <OnLnBal>	[0..1]	±		299
	<b>PendingDeliveryBalance</b> <PdgDivryBal>	[0..*]	±		299
	<b>PendingReceiptBalance</b> <PdgRctBal>	[0..*]	±		299
	<b>OutForRegistrationBalance</b> <OutForRegnBal>	[0..1]	±		300
	<b>SettlementPositionBalance</b> <SttlmPosBal>	[0..1]	±		300
	<b>StreetPositionBalance</b> <StrtPosBal>	[0..1]	±		300
	<b>TradeDatePositionBalance</b> <TradDtPosBal>	[0..1]	±		301
	<b>InTransshipmentBalance</b> <InTrnsShipmntBal>	[0..1]	±		301
	<b>RegisteredBalance</b> <RegdBal>	[0..1]	±		301

**Constraints**

- **SafekeepingAccountOrBlockChainAddress1Rule**

(Rule)

Either SafekeepingAccount or BlockChainAddressOrWallet must be present but not both.

Following Must be True

    / SafekeepingAccount Must be present

Or     / BlockChainAddressOrWallet Must be present

*Error handling:*

– *Error severity:* Warning

– *Error Code:* X00552

- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

- **SafekeepingAccountOrBlockchainAddress2Rule**

(Rule)

If BlockchainAddressOrWallet is present then SafekeepingAccount must be absent.

```
On Condition
  /BlockchainAddressOrWallet is present
Following Must be True
  /SafekeepingAccount Must be absent
```

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00567
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

- **SafekeepingAccountOrBlockchainAddress3Rule**

(Rule)

If SafekeepingAccount is present, then BlockchainAddressOrWallet must be absent.

```
On Condition
  /SafekeepingAccount is present
Following Must be True
  /BlockchainAddressOrWallet Must be absent
```

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00568
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

- **SafekeepingPlaceRule**

(Rule)

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

#### 5.4.7.1 SafekeepingAccount <SfkpgAcct>

*Presence:* [0..1]

*Definition:* Account where financial instruments are maintained.

*Datatype:* [RestrictedFINXMax35Text on page 1354](#)

#### 5.4.7.2 BlockchainAddressOrWallet <BlckChainAdrOrWllt>

*Presence:* [0..1]

*Definition:* Blockchain address or wallet where digital assets are maintained. This is the equivalent of safekeeping account for digital assets.

*Datatype:* [RestrictedFINXMax140Text on page 1352](#)

### 5.4.7.3 AccountOwner <AcctOwnr>

*Presence:* [0..1]

*Definition:* Party that legally owns the account.

**AccountOwner <AcctOwnr>** contains one of the following elements (see [PartyIdentification136Choice on page 1091](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1091
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1091

### 5.4.7.4 SafekeepingPlace <SfkpgPlc>

*Presence:* [0..1]

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

**SafekeepingPlace <SfkpgPlc>** contains one of the following elements (see [SafekeepingPlaceFormat32Choice on page 1216](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]	±		1216
Or	Country <Ctry>	[1..1]	CodeSet	C3	1216
Or	TypeAndIdentification <TpAndId>	[1..1]			1217
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		1217
	Identification <Id>	[1..1]	IdentifierSet	C1	1217
Or}	Proprietary <Prtry>	[1..1]	±		1218

### 5.4.7.5 Balance <Bal>

*Presence:* [0..1]

*Definition:* Provides information about balance related to a corporate action.



**Balance <Bal>** contains the following **CorporateActionBalanceDetails44** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TotalEligibleBalance</b> <TtlElgblBal>	[0..1]	±		297
	<b>BlockedBalance</b> <BlckdBal>	[0..1]	±		297
	<b>BorrowedBalance</b> <BrrwdBal>	[0..1]	±		298
	<b>CollateralInBalance</b> <CollInBal>	[0..1]	±		298
	<b>CollateralOutBalance</b> <CollOutBal>	[0..1]	±		298
	<b>OnLoanBalance</b> <OnLnBal>	[0..1]	±		299
	<b>PendingDeliveryBalance</b> <PdgDlvryBal>	[0..*]	±		299
	<b>PendingReceiptBalance</b> <PdgRctBal>	[0..*]	±		299
	<b>OutForRegistrationBalance</b> <OutForRegnBal>	[0..1]	±		300
	<b>SettlementPositionBalance</b> <SttlmPosBal>	[0..1]	±		300
	<b>StreetPositionBalance</b> <StrtPosBal>	[0..1]	±		300
	<b>TradeDatePositionBalance</b> <TradDtPosBal>	[0..1]	±		301
	<b>InTransshipmentBalance</b> <InTrnsShipmntBal>	[0..1]	±		301
	<b>RegisteredBalance</b> <RegdBal>	[0..1]	±		301

#### 5.4.7.5.1 TotalEligibleBalance <TtlElgblBal>

*Presence:* [0..1]

*Definition:* Total quantity of financial instruments of the balance.

**TotalEligibleBalance <TtlElgblBal>** contains one of the following elements (see [Quantity80Choice](#) on page 1141 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	QuantityChoice <QtyChc>	[1..1]	±		1142
Or}	ProprietaryQuantity <PrtryQty>	[1..1]			1142
	ShortLongPosition <ShrtLngPos>	[0..1]	CodeSet		1142
	Quantity <Qty>	[1..1]	Quantity		1142
	QuantityType <QtyTp>	[1..1]	Text		1143
	Issuer </ssr>	[1..1]	Text		1143
	SchemeName <SchmeNm>	[0..1]	Text		1143

#### 5.4.7.5.2 BlockedBalance <BlckdBal>

*Presence:* [0..1]

*Definition:* Balance of financial instruments that are blocked.

**BlockedBalance <BickdBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 5.4.7.5.3 BorrowedBalance <BrrwdBal>

*Presence:* [0..1]

*Definition:* Balance of financial instruments that have been borrowed from another party.

**BorrowedBalance <BrrwdBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 5.4.7.5.4 CollateralInBalance <CollInBal>

*Presence:* [0..1]

*Definition:* Balance of securities that belong to a third party and that are held for the purpose of collateralisation.

**CollateralInBalance <CollInBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 5.4.7.5.5 CollateralOutBalance <CollOutBal>

*Presence:* [0..1]

*Definition:* 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.

**CollateralOutBalance <CollOutBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 5.4.7.5.6 OnLoanBalance <OnLnBal>

*Presence:* [0..1]

*Definition:* Balance of financial instruments that have been loaned to a third party.

**OnLoanBalance <OnLnBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 5.4.7.5.7 PendingDeliveryBalance <PdgDivryBal>

*Presence:* [0..\*]

*Definition:* Balance of financial instruments that are pending delivery.

**PendingDeliveryBalance <PdgDivryBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 5.4.7.5.8 PendingReceiptBalance <PdgRctBal>

*Presence:* [0..\*]

*Definition:* Balance of financial instruments that are pending receipt.

**PendingReceiptBalance <PdgRctBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 5.4.7.5.9 OutForRegistrationBalance <OutForRegnBal>

*Presence:* [0..1]

*Definition:* Balance of financial instruments currently being processed by the institution responsible for registering the new beneficial owner (or nominee).

**OutForRegistrationBalance <OutForRegnBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 5.4.7.5.10 SettlementPositionBalance <SttlmPosBal>

*Presence:* [0..1]

*Definition:* Balance of securities representing only settled transactions; pending transactions not included.

**SettlementPositionBalance <SttlmPosBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 5.4.7.5.11 StreetPositionBalance <StrtPosBal>

*Presence:* [0..1]

*Definition:* Balance of financial instruments that remain registered in the name of the prior beneficial owner.

**StreetPositionBalance <StrtPosBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 5.4.7.5.12 TradeDatePositionBalance <TradDtPosBal>

*Presence:* [0..1]

*Definition:* Balance of securities based on trade date, for example, includes all pending transactions in addition to the balance of settled transactions.

**TradeDatePositionBalance <TradDtPosBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 5.4.7.5.13 InTransshipmentBalance <InTrnsShpmtBal>

*Presence:* [0..1]

*Definition:* Balance of physical securities that are in the process of being transferred from one depository/agent to another.

**InTransshipmentBalance <InTrnsShpmtBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 5.4.7.5.14 RegisteredBalance <RegdBal>

*Presence:* [0..1]

*Definition:* Balance of financial instruments that are registered (in the name of a nominee name or of the beneficial owner).

**RegisteredBalance <RegdBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

## 5.4.8 BeneficialOwnerDetails <BnfclOwnrDtls>

*Presence:* [0..\*]

*Definition:* Information about the beneficial owner of the securities.

*Impacted by:* [C10 DeclarationDetailsRule](#)

**BeneficialOwnerDetails <BnfclOwnrDtls>** contains the following **PartyIdentification252** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OwnerIdentification</b> <Ownrld>	[1..1]	±		302
	<b>LEIIdentification</b> <LEIld>	[0..1]	IdentifierSet		303
	<b>AlternateIdentification</b> <Altrld>	[0..*]	±		303
	<b>DomicileCountry</b> <DmclCtry>	[0..1]	CodeSet	C8	303
	<b>NonDomicileCountry</b> <NonDmclCtry>	[0..*]	CodeSet	C8	304
	<b>OwnedSecuritiesQuantity</b> <OwndSctiesQty>	[1..1]	±	C13	304
	<b>CertificationType</b> <CertfctnTp>	[0..*]	±		305
	<b>WithholdingTaxRate</b> <WhldgTaxRate>	[0..1]	±		305
	<b>CertificationBreakdown</b> <CertfctnBrkdwn>	[0..*]	Text		305

### Constraints

- **DeclarationDetailsRule**

(Rule)

Unless bilaterally agreed, DeclarationDetails must not contain information that can be provided in a structured field.

### 5.4.8.1 OwnerIdentification <Ownrld>

*Presence:* [1..1]

*Definition:* Party that is the beneficial owner of the specified quantity of securities.

**OwnerIdentification <Ownrld>** contains one of the following elements (see [PartyIdentification234Choice](#) on page 1082 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1082
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1082
Or	NameAndAddress <NmAndAdr>	[1..1]	±		1083
Or}	IndividualOwnerIdentification <IndvOwnrld>	[1..1]	±		1083

#### 5.4.8.2 LEIdentification <LEId>

*Presence:* [0..1]

*Definition:* Legal entity identification of the party.

*Datatype:* [LEIdentifier](#) on page 1345

#### 5.4.8.3 AlternatIdentification <Altrnd>

*Presence:* [0..\*]

*Definition:* Alternate identification for a party.

**AlternatIdentification <Altrnd>** contains the following elements (see [AlternatePartyIdentification9](#) on page 1097 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IdentificationType <IdTp>	[1..1]			1098
{Or	Code <Cd>	[1..1]	CodeSet		1098
Or}	Proprietary <Prtry>	[1..1]	±		1098
	Country <Ctry>	[1..1]	CodeSet	C3	1099
	AlternatIdentification <Altrnd>	[1..1]	Text		1099

#### 5.4.8.4 DomicileCountry <DmclCtry>

*Presence:* [0..1]

*Definition:* Country in which a person is permanently domiciled (the place of a person's permanent home).

*Impacted by:* [C8 Country](#)

*Datatype:* [CountryCode](#) on page 1309

##### 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.

### 5.4.8.5 NonDomicileCountry <NonDmclCtry>

*Presence:* [0..\*]

*Definition:* Holder of the security certifies, in line with the terms of the corporate action, that it is not domiciled in the country indicated.

*Impacted by:* C8 Country

*Datatype:* CountryCode on page 1309

**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.

### 5.4.8.6 OwnedSecuritiesQuantity <OwndSctiesQty>

*Presence:* [1..1]

*Definition:* Quantity of securities belonging to the beneficial owner specified.

*Impacted by:* C13 DigitalTokenUnitUsageRule

**OwnedSecuritiesQuantity <OwndSctiesQty>** contains one of the following elements (see FinancialInstrumentQuantity36Choice on page 1150 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1150
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1151
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1151
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1151

**Constraints**

- **DigitalTokenUnitUsageRule**

(Rule)



DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

#### 5.4.8.7 CertificationType <CertfctnTp>

*Presence:* [0..\*]

*Definition:* Type of certification which is required.

**CertificationType <CertfctnTp>** contains one of the following elements (see [BeneficiaryCertificationType11Choice on page 1028](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1028
Or}	Proprietary <Prtry>	[1..1]	±		1028

#### 5.4.8.8 WithholdingTaxRate <WhldgTaxRate>

*Presence:* [0..1]

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

**WithholdingTaxRate <WhldgTaxRate>** contains one of the following elements (see [RateAndAmountFormat46Choice on page 1209](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1209
Or	NotSpecifiedRate <NotSpctdRate>	[1..1]	CodeSet		1209
Or}	Amount <Amt>	[1..1]	Amount	C1	1209

#### 5.4.8.9 CertificationBreakdown <CertfctnBrkdown>

*Presence:* [0..\*]

*Definition:* Provides additional information about the type of certification/breakdown required.

*Datatype:* [RestrictedFINXMax350Text on page 1354](#)

### 5.4.9 CorporateActionInstruction <CorpActnInstr>

*Presence:* [1..1]

*Definition:* Information about the corporate action instruction.

*Impacted by:* [C21 OptionNumber1Rule](#), [C22 OptionNumber2Rule](#)

**CorporateActionInstruction <CorpActnInstr>** contains the following **CorporateActionOption204** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OptionNumber</b> <OptnNb>	[1..1]	±		307
	<b>OptionType</b> <OptnTp>	[1..1]	±		307
	<b>OptionFeatures</b> <OptnFeatrs>	[0..1]	±		308
	<b>FractionDisposition</b> <FrctnDspstn>	[0..1]	±		308
	<b>ChangeType</b> <ChngTp>	[0..*]	±		308
	<b>EligibleForCollateralIndicator</b> <ElgblForCollInd>	[0..1]	Indicator		308
	<b>SolicitationDealerFeeIndicator</b> <SlctnDealrFeeInd>	[0..1]	Indicator		309
	<b>CurrencyToBuy</b> <CcyToBuy>	[0..1]	CodeSet	C1	309
	<b>CurrencyToSell</b> <CcyToSell>	[0..1]	CodeSet	C1	309
	<b>CurrencyOption</b> <CcyOptn>	[0..1]	CodeSet	C1	310
	<b>SecurityIdentification</b> <SctyId>	[0..1]	±	C11, C12, C18, C19, C24	310
	<b>SecuritiesQuantityOrInstructedAmount</b> <SctiesQtyOrInstdAmt>	[1..1]			312
{Or	<b>SecuritiesQuantity</b> <SctiesQty>	[1..1]			312
	<b>ConditionalQuantity</b> <CondlQty>	[0..1]	±	C13	313
	<b>InstructedQuantity</b> <InstdQty>	[1..1]	±		313
	<b>AdditionalRoundUpQuantity</b> <AddtlRndUpQty>	[0..1]	±	C13	313
Or}	<b>InstructedAmount</b> <InstdAmt>	[1..1]	Amount	C1, C9	314
	<b>ExecutionRequestedDateTime</b> <ExctnReqdDtTm>	[0..1]	±		315
	<b>RateAndAmountDetails</b> <RateAndAmtDtls>	[0..1]			315
	<b>ProposedRate</b> <PropsdRate>	[0..1]	Rate		315
	<b>OversubscriptionRate</b> <OvrbcptRate>	[0..1]	±		315
	<b>RequestedWithholdingTaxRate</b> <ReqdWhldgTaxRate>	[0..*]	±		316
	<b>RequestedSecondLevelTaxRate</b> <ReqdScndLvlTaxRate>	[0..*]	±		316
	<b>PriceDetails</b> <PricDtls>	[0..1]		C16	317
	<b>IndicativeOrMarketPrice</b> <IndctvOrMktPric>	[0..1]	±		317
	<b>IssuePrice</b> <IssePric>	[0..1]	±		317

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		318
	<b>GenericCashPricePaidPerProduct</b> <GncCshPricPdPerPdct>	[0..1]	±		318
	<b>ShareholderNumber</b> <ShrhldrNb>	[0..1]	Text		319
	<b>AdditionalInformation</b> <AddtlInf>	[0..1]			319
	<b>InformationToComplyWith</b> <InfToCmplyWth>	[0..*]	Text		319
	<b>DeliveryDetails</b> <DlvryDtls>	[0..*]	Text		319
	<b>ForeignExchangeInstructionsAdditionalInformation</b> <FXInstrsAddtlInf>	[0..*]	Text		320
	<b>InstructionAdditionalInformation</b> <InstrAddtlInf>	[0..*]	Text		320

#### Constraints

- **OptionNumber1Rule**

(Rule)

For differentiation between options, the OptionNumber rather than the OptionType must be used, for example, in the case where two or more offers can be described by the same corporate action option code. Therefore, the OptionNumber value must be different for each option.

- **OptionNumber2Rule**

(Rule)

When the CorporateActionInstruction is unsolicited, that is, the instruction has not been preceded by a Corporate ActionNotification, then OptionNumber/code must be UNSO (unsolicited).

#### 5.4.9.1 OptionNumber <OptnNb>

*Presence:* [1..1]

*Definition:* Number identifying the available corporate action options.

**OptionNumber <OptnNb>** contains one of the following elements (see [OptionNumber1Choice](#) on page 1078 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Number <Nb>	[1..1]	Text		1078
Or}	Code <Cd>	[1..1]	CodeSet		1078

#### 5.4.9.2 OptionType <OptnTp>

*Presence:* [1..1]

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

**OptionType <OptnTp>** contains one of the following elements (see [CorporateActionOption43Choice](#) on page 971 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		972
Or}	Proprietary <Prtry>	[1..1]	±		973

#### 5.4.9.3 OptionFeatures <OptnFeatrs>

*Presence:* [0..1]

*Definition:* Specifies the features that may apply to a corporate action option.

**OptionFeatures <OptnFeatrs>** contains one of the following elements (see [OptionFeaturesFormat27Choice](#) on page 1016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1016
Or}	Proprietary <Prtry>	[1..1]	±		1017

#### 5.4.9.4 FractionDisposition <FrctnDspstn>

*Presence:* [0..1]

*Definition:* Specifies how fractional amount/quantities are treated.

**FractionDisposition <FrctnDspstn>** contains one of the following elements (see [FractionDispositionType29Choice](#) on page 1027 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1027
Or}	Proprietary <Prtry>	[1..1]	±		1027

#### 5.4.9.5 ChangeType <ChngTp>

*Presence:* [0..\*]

*Definition:* Type of changes affecting the security form.

**ChangeType <ChngTp>** contains one of the following elements (see [CorporateActionChangeTypeFormat7Choice](#) on page 1025 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1025
Or}	Proprietary <Prtry>	[1..1]	±		1026

#### 5.4.9.6 EligibleForCollateralIndicator <ElgbIForCollInd>

*Presence:* [0..1]

*Definition:* Indicates that the corporate action instruction is to be processed using the Available-for-Collateral pool.

*Datatype:* One of the following values must be used (see [YesNoIndicator](#) on page 1345):

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

#### 5.4.9.7 SolicitationDealerFeeIndicator <SlctnDealrFeeInd>

*Presence:* [0..1]

*Definition:* Indicates whether there is a solicitation fee on the event. This fee is paid by the soliciting dealer.

*Datatype:* One of the following values must be used (see [YesNoIndicator](#) on page 1345):

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

#### 5.4.9.8 CurrencyToBuy <CcyToBuy>

*Presence:* [0..1]

*Definition:* Account servicer is instructed to buy the indicated currency after the receipt of cash proceeds.

*Impacted by:* C1 ActiveCurrency

*Datatype:* [ActiveCurrencyCode](#) on page 1261

##### Constraints

- **ActiveCurrency**

(Rule)

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

*Error handling:*

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

#### 5.4.9.9 CurrencyToSell <CcyToSell>

*Presence:* [0..1]

*Definition:* Account servicer is instructed to sell the indicated currency in order to obtain the necessary currency to fund the transaction within this instruction message.

*Impacted by:* C1 ActiveCurrency

*Datatype:* [ActiveCurrencyCode](#) on page 1261

### Constraints

- **ActiveCurrency**

(Rule)

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

*Error handling:*

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

### 5.4.9.10 CurrencyOption <CcyOptn>

*Presence:* [0..1]

*Definition:* Currency in which the cash disbursed from an interest or dividend payment is offered.

*Impacted by:* C1 ActiveCurrency

*Datatype:* ActiveCurrencyCode on page 1261

### Constraints

- **ActiveCurrency**

(Rule)

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

*Error handling:*

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

### 5.4.9.11 SecurityIdentification <Sctyld>

*Presence:* [0..1]

*Definition:* Identifies the financial instrument.

*Impacted by:* C11 DescriptionPresenceRule, C12 DescriptionUsageRule, C18 ISINGuideline,  
C19 ISINPresenceRule, C24 OtherIdentificationPresenceRule

**SecurityIdentification <Sctyld>** contains the following elements (see [SecurityIdentification20](#) on page 904 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		906
	OtherIdentification <Othrlid>	[0..*]			906
	Identification <Id>	[1..1]	Text		906
	Suffix <Sfx>	[0..1]	Text		906
	Type <Tp>	[1..1]	±		906
	Description <Desc>	[0..1]	Text		907

**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 a ISIN code exist. 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.

**5.4.9.12 SecuritiesQuantityOrInstructedAmount <SctiesQtyOrInstdAmt>**

*Presence:* [1..1]

*Definition:* Provides information about securities quantity linked to a corporate action option.

**SecuritiesQuantityOrInstructedAmount <SctiesQtyOrInstdAmt>** contains one of the following **SecuritiesQuantityOrAmount7Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>SecuritiesQuantity</b> <SctiesQty>	[1..1]			312
	<b>ConditionalQuantity</b> <CondlQty>	[0..1]	±	C13	313
	<b>InstructedQuantity</b> <InstdQty>	[1..1]	±		313
	<b>AdditionalRoundUpQuantity</b> <AddtlRndUpQty>	[0..1]	±	C13	313
Or}	<b>InstructedAmount</b> <InstdAmt>	[1..1]	Amount	C1, C9	314

**5.4.9.12.1 SecuritiesQuantity <SctiesQty>**

*Presence:* [1..1]

*Definition:* Provides information about securities quantity linked to a corporate action option.



**SecuritiesQuantity <SctiesQty>** contains the following **SecuritiesOption88** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ConditionalQuantity &lt;CondlQty&gt;</b>	[0..1]	±	C13	313
	<b>InstructedQuantity &lt;InstdQty&gt;</b>	[1..1]	±		313
	<b>AdditionalRoundUpQuantity &lt;AddtlRndUpQty&gt;</b>	[0..1]	±	C13	313

#### 5.4.9.12.1.1 ConditionalQuantity <CondlQty>

*Presence:* [0..1]

*Definition:* Minimum quantity of securities to be accepted (used in the framework of conditional privilege on election). In case of proration, if this minimum quantity is not reached then the instruction is void.

*Impacted by:* [C13 DigitalTokenUnitUsageRule](#)

**ConditionalQuantity <CondlQty>** contains one of the following elements (see [FinancialInstrumentQuantity36Choice](#) on page 1150 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1150
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1151
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1151
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1151

#### Constraints

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

#### 5.4.9.12.1.2 InstructedQuantity <InstdQty>

*Presence:* [1..1]

*Definition:* Quantity of securities to which this instruction applies.

**InstructedQuantity <InstdQty>** contains one of the following elements (see [Quantity55Choice](#) on page 1144 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1144
Or	OriginalAndCurrentFaceAmount <OrgnlAndCurFaceAmt>	[1..1]	±		1145
Or}	Quantity <Qty>	[1..1]	±	C14	1145

#### 5.4.9.12.1.3 AdditionalRoundUpQuantity <AddtlRndUpQty>

*Presence:* [0..1]

*Definition:* Quantity of additional shares requested due to the difference of "round-up against payment" practice between the account servicer and the account holder (for instance for French dividend option).

*Impacted by:* C13 DigitalTokenUnitUsageRule

**AdditionalRoundUpQuantity <AddtlRndUpQty>** contains one of the following elements (see FinancialInstrumentQuantity36Choice on page 1150 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1150
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1151
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1151
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1151

**Constraints**

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

**5.4.9.12.2 InstructedAmount <InstdAmt>**

*Presence:* [1..1]

*Definition:* Cash amount to be instructed.

*Impacted by:* C1 ActiveCurrency , C9 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

**Constraints**

- **ActiveCurrency**

(Rule)

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

### 5.4.9.13 ExecutionRequestedDateTime <ExctnReqdDtTm>

*Presence:* [0..1]

*Definition:* Date/time at which the instructing party requests the instruction to be executed.

**ExecutionRequestedDateTime <ExctnReqdDtTm>** contains one of the following elements (see [DateAndDateTime2Choice](#) on page 887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		887
Or}	DateTime <DtTm>	[1..1]	DateTime		887

### 5.4.9.14 RateAndAmountDetails <RateAndAmtDtIs>

*Presence:* [0..1]

*Definition:* Provides information about rates and amounts related to a corporate action option.

**RateAndAmountDetails <RateAndAmtDtIs>** contains the following **CorporateActionRate73** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ProposedRate</b> <PropsdRate>	[0..1]	Rate		315
	<b>OversubscriptionRate</b> <OvrbcptRate>	[0..1]	±		315
	<b>RequestedWithholdingTaxRate</b> <ReqdWhldgTaxRate>	[0..*]	±		316
	<b>RequestedSecondLevelTaxRate</b> <ReqdScndLvITaxRate>	[0..*]	±		316

#### 5.4.9.14.1 ProposedRate <PropsdRate>

*Presence:* [0..1]

*Definition:* Rate proposed in a remarketing of variable rate notes.

*Datatype:* [PercentageRate](#) on page 1347

#### 5.4.9.14.2 OversubscriptionRate <OvrbcptRate>

*Presence:* [0..1]

*Definition:* Rate of allowed over-subscription.

**OversubscriptionRate <OvrbcptRate>** contains one of the following elements (see [RateAndAmountFormat43Choice](#) on page 1208 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1208
Or}	Amount <Amt>	[1..1]	Amount	C1	1208

#### 5.4.9.14.3 RequestedWithholdingTaxRate <ReqdWhldgTaxRate>

*Presence:* [0..\*]

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

**RequestedWithholdingTaxRate <ReqdWhldgTaxRate>** contains one of the following elements (see [RateAndAmountFormat45Choice](#) on page 1204 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1204
Or	Amount <Amt>	[1..1]	Amount	C1	1205
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			1205
	RateType <RateTp>	[1..1]			1205
{Or	Code <Cd>	[1..1]	CodeSet		1206
Or}	Proprietary <Prtry>	[1..1]	±		1206
	Rate <Rate>	[1..1]	Rate		1206

#### 5.4.9.14.4 RequestedSecondLevelTaxRate <ReqdScndLvITaxRate>

*Presence:* [0..\*]

*Definition:* Requested rate at which the income will be withheld by the jurisdiction other than the jurisdiction of the issuer's country of tax incorporation, for which a relief at source and/or reclaim may be possible.

**RequestedSecondLevelTaxRate <ReqdScndLvITaxRate>** contains one of the following elements (see [RateAndAmountFormat45Choice](#) on page 1204 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1204
Or	Amount <Amt>	[1..1]	Amount	C1	1205
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			1205
	RateType <RateTp>	[1..1]			1205
{Or	Code <Cd>	[1..1]	CodeSet		1206
Or}	Proprietary <Prtry>	[1..1]	±		1206
	Rate <Rate>	[1..1]	Rate		1206

### 5.4.9.15 PriceDetails <PricDtIs>

*Presence:* [0..1]

*Definition:* Provides information about the prices related to a corporate action option.

*Impacted by:* [C16 GenericCashPricePerProductGuideline](#)

**PriceDetails <PricDtIs>** contains the following **CorporateActionPrice77** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>IndicativeOrMarketPrice</b> <IndctvOrMktPric>	[0..1]	±		317
	<b>IssuePrice</b> <IssePric>	[0..1]	±		317
	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		318
	<b>GenericCashPricePaidPerProduct</b> <GncCshPricPdPerPdct>	[0..1]	±		318

#### Constraints

- **GenericCashPricePerProductGuideline**

(Rule)

Generic Cash Price Received per Product (OFFR) and Generic Cash Price Paid per Product (PRPP) are prices received or paid in the course of an event. The specific meaning (redemption price, subscription price, reinvestment price, etc.) is derived from the event type.

#### 5.4.9.15.1 IndicativeOrMarketPrice <IndctvOrMktPric>

*Presence:* [0..1]

*Definition:* Indicates whether the price is an indicative price or a market price.

**IndicativeOrMarketPrice <IndctvOrMktPric>** contains one of the following elements (see [IndicativeOrMarketPrice9Choice](#) on page 1130 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IndicativePrice <IndctvPric>	[1..1]	±		1131
Or}	MarketPrice <MktPric>	[1..1]	±		1131

#### 5.4.9.15.2 IssuePrice <IssePric>

*Presence:* [0..1]

*Definition:* Initial issue price of a financial instrument.

**IssuePrice <IssePric>** contains one of the following elements (see [PriceFormat52Choice](#) on page 1128 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1128
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1129
	PriceValue <PricVal>	[1..1]	Rate		1129
Or}	AmountPrice <AmtPric>	[1..1]	±		1129

#### 5.4.9.15.3 GenericCashPriceReceivedPerProduct <GncCshPricRcvdPerPdct>

*Presence:* [0..1]

*Definition:* Generic cash price received per product by the underlying security holder either as a percentage or an amount, for example, redemption price.

**GenericCashPriceReceivedPerProduct <GncCshPricRcvdPerPdct>** contains one of the following elements (see [PriceFormat67Choice](#) on page 1115 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1116
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1116
	PriceValue <PricVal>	[1..1]	Rate		1117
Or	AmountPrice <AmtPric>	[1..1]	±		1117
Or	NotSpecifiedPrice <NotSpdfdPric>	[1..1]	CodeSet		1117
Or	AmountPricePerFinancialInstrumentQuantity <AmtPricPerFinInstrmQty>	[1..1]			1117
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1118
	PriceValue <PricVal>	[1..1]	Amount	C1	1118
	FinancialInstrumentQuantity <FinInstrmQty>	[1..1]	±	C14	1118
Or	AmountPricePerAmount <AmtPricPerAmt>	[1..1]			1119
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1119
	PriceValue <PricVal>	[1..1]	Amount	C1	1119
	Amount <Amt>	[1..1]	Amount	C1	1120
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		1120

#### 5.4.9.15.4 GenericCashPricePaidPerProduct <GncCshPricPdPerPdct>

*Presence:* [0..1]

*Definition:* Generic cash price paid per product by the underlying security holder either as a percentage or an amount, for example, reinvestment price.

**GenericCashPricePaidPerProduct <GncCshPricPdPerPdct>** contains one of the following elements (see [PriceFormat52Choice](#) on page 1128 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1128
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1129
	PriceValue <PricVal>	[1..1]	Rate		1129
Or}	AmountPrice <AmtPric>	[1..1]	±		1129

#### 5.4.9.16 ShareholderNumber <ShrhldrNb>

*Presence:* [0..1]

*Definition:* Reference number assigned to identify an investor or a shareholder with the issuer or the registration provider (for instance allocation code).

*Datatype:* [RestrictedFINXMax25Text](#) on page 1353

#### 5.4.9.17 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Provides additional information.

**AdditionalInformation <AddtlInf>** contains the following **CorporateActionNarrative33** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InformationToComplyWith <InfToCmplyWth>	[0..*]	Text		319
	DeliveryDetails <DivryDtls>	[0..*]	Text		319
	ForeignExchangeInstructionsAdditionalInformation <FXInstrsAddtlInf>	[0..*]	Text		320
	InstructionAdditionalInformation <InstrAddtlInf>	[0..*]	Text		320

##### 5.4.9.17.1 InformationToComplyWith <InfToCmplyWth>

*Presence:* [0..\*]

*Definition:* Provides information conditions to the account owner that are to be complied with, for example, not open to US/Canadian residents, Qualified Institutional Buyers (QIB) or Sophisticated Investor Letter (SIL) to be provided.

*Datatype:* [RestrictedFINXMax350Text](#) on page 1354

##### 5.4.9.17.2 DeliveryDetails <DivryDtls>

*Presence:* [0..\*]

*Definition:* Provides additional information on the delivery details of the outturned (derived) securities. This narrative is only to be used in case the securities are not eligible at the agent/custodian, and may not be used for settlement instructions.

*Datatype:* [RestrictedFINXMax350Text](#) on page 1354

### 5.4.9.17.3 ForeignExchangeInstructionsAdditionalInformation <FXInstrsAddtlInf>

*Presence:* [0..\*]

*Definition:* Provides additional details pertaining to foreign exchange instructions.

*Datatype:* [RestrictedFINXMax350Text on page 1354](#)

### 5.4.9.17.4 InstructionAdditionalInformation <InstrAddtlInf>

*Presence:* [0..\*]

*Definition:* Provides additional details pertaining to the corporate action instruction.

*Datatype:* [RestrictedFINXMax350Text on page 1354](#)

## 5.4.10 ProtectInstruction <PrtctInstr>

*Presence:* [0..1]

*Definition:* Provides detailed information on protect and cover protect instructions.

**ProtectInstruction <PrtctInstr>** contains the following **ProtectInstruction5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TransactionType</b> <TxTp>	[1..1]	CodeSet		320
	<b>TransactionIdentification</b> <TxId>	[0..1]	Text		320
	<b>ProtectSafekeepingAccount</b> <PrtctSfkgpAcct>	[0..1]	Text		321
	<b>ProtectDate</b> <PrtctDt>	[0..1]	Date		321

### 5.4.10.1 TransactionType <TxTp>

*Presence:* [1..1]

*Definition:* Indicates whether the instruction is a protect or a cover protect instruction.

*Datatype:* [ProtectTransactionType2Code on page 1333](#)

CodeName	Name	Definition
PROT	ProtectTransaction	Reorganisation is a protect transaction type.
COVP	CoverOnBehalfOfAnotherParticipantTransaction	Reorganisation is a cover on behalf of another participant transaction type.
COVR	CoverProtectTransaction	Reorganisation is a cover protect transaction type.

### 5.4.10.2 TransactionIdentification <TxId>

*Presence:* [0..1]

*Definition:* Unique reference of the protect transaction assigned by the depository and used for cover protect validation.

*Datatype:* [RestrictedFINMax15Text on page 1350](#)



### 5.4.10.3 ProtectSafekeepingAccount <PrtctSfkgAcct>

*Presence:* [0..1]

*Definition:* Account which submitted the original protect instruction used for cover protect instructions whereby one safekeeping account is covering on behalf of another safekeeping account.

*Datatype:* [RestrictedFINMax35Text on page 1351](#)

### 5.4.10.4 ProtectDate <PrtctDt>

*Presence:* [0..1]

*Definition:* Date at which the protect instruction was created and used for cover protect validation.

*Datatype:* [ISODate on page 1342](#)

## 5.4.11 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Provides additional information.

**AdditionalInformation <AddtlInf>** contains the following **CorporateActionNarrative34** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>RegistrationDetails</b> <RegnDtls>	[0..*]	Text		321
	<b>PartyContactNarrative</b> <PtyCtctNrrtv>	[0..*]	Text		321
	<b>CertificationBreakdown</b> <CertfctnBrkdown>	[0..*]	Text		321

### 5.4.11.1 RegistrationDetails <RegnDtls>

*Presence:* [0..\*]

*Definition:* Provides information required for the registration.

*Datatype:* [RestrictedFINXMax350Text on page 1354](#)

### 5.4.11.2 PartyContactNarrative <PtyCtctNrrtv>

*Presence:* [0..\*]

*Definition:* Provides additional information regarding the party, for example, the contact unit or person responsible for the transaction identified in the message.

*Datatype:* [RestrictedFINXMax350Text on page 1354](#)

### 5.4.11.3 CertificationBreakdown <CertfctnBrkdown>

*Presence:* [0..\*]

*Definition:* Provides information required for the certification/breakdown.

*Datatype:* [RestrictedFINXMax350Text on page 1354](#)

## 5.4.12 SupplementaryData <SplmtryData>

*Presence:* [0..\*]

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

*Impacted by:* [C31 SupplementaryDataRule](#)

**SupplementaryData <SplmtryData>** contains the following elements (see [SupplementaryData1](#) on page 1077 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		1077
	Envelope <Envlp>	[1..1]	(External Schema)		1078

### 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.

# 6 **MX seev.034.002.13** **CorporateActionInstructionStatusAdvice002V** **13**

## 6.1 **MessageDefinition Functionality**

### Scope

The CorporateActionInstructionStatusAdvice message is sent by an account servicer to an account owner or its designated agent, to report the status of a received corporate action election instruction.

This message is used to advise the status, or a change in status, of a corporate action-related transaction previously instructed by, or executed on behalf of, the account owner. This will include the acknowledgement/rejection of a corporate action instruction.

### Usage

The message may also be used to:

- re-send a message previously sent (the sub-function of the message is Duplicate),
- provide a third party with a copy of a message for information (the sub-function of the message is Copy),
- re-send to a third party a copy of a message for information (the sub-function of the message is Copy Duplicate), using the relevant elements in the business application header (BAH).

### Outline

The CorporateActionInstructionStatusAdvice002V13 MessageDefinition is composed of 8 MessageBuildingBlocks:

- A. InstructionIdentification  
Identification of a related instruction document.
- B. OtherDocumentIdentification  
Identification of other documents as well as the document number.
- C. CorporateActionGeneralInformation  
General information about the corporate action event.
- D. InstructionProcessingStatus  
Information about the processing status of the instruction.
- E. CorporateActionInstruction  
Information about the corporate action instruction.
- F. ProtectInstruction  
Provides detailed information on protect and cover protect instructions.
- G. AdditionalInformation

Provides additional information.

#### H. SupplementaryData

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

## 6.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <CorpActnInstrStsAdv>	[1..1]		C2, C9	
	<b>InstructionIdentification</b> <InstrId>	[0..1]	±		332
	<b>OtherDocumentIdentification</b> <OthrDocId>	[0..*]	±		332
	<b>CorporateActionGeneralInformation</b> <CorpActnGnlInf>	[1..1]		C16, C21	333
	<b>CorporateActionEventIdentification</b> <CorpActnEvtId>	[1..1]	Text		334
	<b>OfficialCorporateActionEventIdentification</b> <OffclCorpActnEvtId>	[0..1]	Text		334
	<b>ClassActionNumber</b> <ClssActnNb>	[0..1]	Text		334
	<b>EventType</b> <EvtTp>	[1..1]	±	C17	334
	<b>InstructionProcessingStatus</b> <InstrPrcgSts>	[1..*]			335
{Or	<b>Cancelled</b> <Canc>	[1..1]	±		335
Or	<b>AcceptedForFurtherProcessing</b> <AcctdForFrthrPrcg>	[1..1]	±		335
Or	<b>Rejected</b> <Rjctd>	[1..1]	±		336
Or	<b>Pending</b> <Pdg>	[1..1]	±		336
Or	<b>DefaultAction</b> <DfltActn>	[1..1]	±		337
Or	<b>StandingInstruction</b> <StglInstr>	[1..1]	±		337
Or}	<b>ProprietaryStatus</b> <PrtrySts>	[1..1]	±		337
	<b>CorporateActionInstruction</b> <CorpActnInstr>	[0..1]		C22, C24, C25, C26, C27, C29, C30	337
	<b>OptionNumber</b> <OptnNb>	[1..1]	±		340
	<b>OptionType</b> <OptnTp>	[1..1]	±		340
	<b>OptionFeatures</b> <OptnFeatrs>	[0..1]	±		340
	<b>AccountOwner</b> <AcctOwnr>	[0..1]	±		341
	<b>SafekeepingAccount</b> <SfkpgAcct>	[0..1]	Text		341
	<b>BlockChainAddressOrWallet</b> <BlckChainAdrOrWllt>	[0..1]	Text		341
	<b>CashAccount</b> <CshAcct>	[0..1]	±		341
	<b>SafekeepingPlace</b> <SfkpgPlc>	[0..1]	±		341

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>FinancialInstrumentIdentification</b> <FinInstrmId>	[0..1]	±	C12, C13, C19, C20, C23	342
	<b>TotalEligibleBalance</b> <TtlElgblBal>	[0..1]	±		343
	<b>InstructedBalance</b> <InstdBal>	[0..1]	±		344
	<b>UninstructedBalance</b> <UinstdBal>	[0..1]	±		344
	<b>ProtectBalance</b> <PrctBal>	[0..1]	±		344
	<b>StatusQuantity</b> <StsQty>	[0..1]	±		345
	<b>StatusCashAmount</b> <StsCshAmt>	[0..1]	Amount	C1, C11	345
	<b>SolicitationDealerFeeIndicator</b> <SlctnDealrFeeInd>	[0..1]	Indicator		346
	<b>ProtectInstruction</b> <PrctInstr>	[0..1]			346
	<b>TransactionType</b> <TxTp>	[1..1]	CodeSet		346
	<b>ProtectTransactionStatus</b> <PrctTxSts>	[0..1]	CodeSet		347
	<b>TransactionIdentification</b> <TxId>	[0..1]	Text		347
	<b>ProtectSafekeepingAccount</b> <PrctSfkpgAcct>	[0..1]	Text		347
	<b>ProtectDate</b> <PrctDt>	[0..1]	Date		347
	<b>UncoveredProtectQuantity</b> <UcvrdPrctQty>	[0..1]	±		347
	<b>AdditionalInformation</b> <AddtlInf>	[0..1]			348
	<b>AdditionalText</b> <AddtlTxt>	[0..*]	Text		348
	<b>PartyContactNarrative</b> <PtyCtctNrrtv>	[0..*]	Text		348
	<b>SupplementaryData</b> <SplmtryData>	[0..*]	±	C31	348

## 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 ActiveCurrency

(Rule)

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

(Rule)

All elements in the AdditionalInformation element must not contain information that can be provided in a structured field unless bilaterally agreed.

*This constraint is defined at the MessageDefinition level.*

**C3 AdditionalReasonInformationRule**

(Rule)

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

**C4 AdditionalReasonInformationRule**

(Rule)

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

**C5 AdditionalReasonInformationRule**

(Rule)

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

**C6 AdditionalReasonInformationRule**

(Rule)

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

**C7 AdditionalReasonInformationRule**

(Rule)

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

**C8 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.

### **C9 BeneficialOwnerBreakdownRequestRule**

(Rule)

If CorporateActionInstruction/OptionType/Code value is BOBD (BeneficialOwnerBreakdownRequest), then CorporateActionGeneralInformation/EventType/Code value must be WTRC (Withholding Tax Relief Certification).

(MT567 NVR C6) (CrossElementComplexRule)

On Condition

/CorporateActionInstruction/OptionType/Code is equal to value 'BeneficialOwnerBreakdownRequest'

Following Must be True

/CorporateActionGeneralInformation/EventType/Code Must be equal to value 'WithholdingTaxReliefCertification'

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00487
- *Error Text:* Invalid message contents for CorporateActionGeneralInformation/EventType/Code. It must be WTRC.

*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 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.

**C13 DescriptionUsageRule**

(Rule)

Description must be used alone as the last resort.

**C14 DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

**C15 DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

**C16 EventTypeRule**

(Rule)

EventType/Code OTHR must only be used in case no other corporate action event code is appropriate.

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

EventType/Code REDM must only be used when the redemption is decided by the issuer and not by the securities holders.

**C17 EventTypeRule**

(Rule)

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

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

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

**C18 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.

#### **C19 ISINGuideline**

(Rule)

When a ISIN code exist. It is strongly recommended that the ISIN be used.

#### **C20 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.

#### **C21 OfficialCorporateActionEventReference**

(Rule)

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

available in the SMPG Global Market Practices Part 1 document on [www.smpg.info](http://www.smpg.info).

#### **C22 OptionNumberRule**

(Rule)

For differentiation between options, the OptionNumber rather than the OptionType must be used, for example, in the case where two or more offers can be described by the same corporate action option code. Therefore, the OptionNumber value must be different for each option.

#### **C23 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.

#### **C24 SafekeepingAccountOrBlockChainAddress1Rule**

(Rule)

If SafekeepingAccount is present, BlockChainAddressOrWallet must be absent. (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Warning
- *Error Code:* X00554
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both may be present.

#### **C25 SafekeepingAccountOrBlockChainAddress2Rule**

(Rule)

If BlockChainAddressOrWallet is present, SafekeepingAccount must be absent. (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Warning
- *Error Code:* X00555
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both may be present.

#### **C26 SafekeepingAccountOrBlockChainAddress3Rule**

(Rule)

Either SafekeepingAccount or BlockChainAddressOrWallet must be present but not both. (CrossElementSimpleRule)

*Error handling:*

- *Error severity:* Warning
- *Error Code:* X00571
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

#### **C27 SafekeepingPlaceRule**

(Rule)

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

#### **C28 ShortLongNumberRule**

(Rule)

ShortNumber must contain the FIN message type number of the linked message. LongNumber must contain the XML message identifier of the linked message.

#### **C29 StatusQuantityOrStatusCashAmount1Rule**

(Rule)

If StatusQuantity is present, then StatusCashAmount is not allowed. (MT 567 C5). (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00418
- *Error Text:* Invalid message contents for StatusCashAmount.

**C30 StatusQuantityOrStatusCashAmount2Rule**

(Rule)

If StatusCashAmount is present, then StatusQuantity is not allowed. (MT 567 C5). (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00414
- *Error Text:* Invalid message content for StatusQuantity

**C31 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.

## 6.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 6.4.1 InstructionIdentification <InstrId>

*Presence:* [0..1]

*Definition:* Identification of a related instruction document.

**InstructionIdentification <InstrId>** contains the following elements (see [DocumentIdentification17](#) on page 897 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		898

### 6.4.2 OtherDocumentIdentification <OthrDocId>

*Presence:* [0..\*]

*Definition:* Identification of other documents as well as the document number.

**OtherDocumentIdentification <OthrDocId>** contains the following elements (see DocumentIdentification34 on page 894 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			894
{Or	AccountServicerDocumentIdentification <AcctSvcrDocId>	[1..1]	Text		895
Or}	AccountOwnerDocumentIdentification <AcctOwnrDocId>	[1..1]	Text		895
	DocumentNumber <DocNb>	[0..1]	±	C6	895

### 6.4.3 CorporateActionGeneralInformation <CorpActnGnlInf>

*Presence:* [1..1]

*Definition:* General information about the corporate action event.

*Impacted by:* [C16 EventTypeRule](#), [C21 OfficialCorporateActionEventReference](#)

**CorporateActionGeneralInformation <CorpActnGnlInf>** contains the following **CorporateActionGeneralInformation158** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CorporateActionEventIdentification</b> <CorpActnEvtId>	[1..1]	Text		334
	<b>OfficialCorporateActionEventIdentification</b> <OffclCorpActnEvtId>	[0..1]	Text		334
	<b>ClassActionNumber</b> <ClssActnNb>	[0..1]	Text		334
	<b>EventType</b> <EvtTp>	[1..1]	±	C17	334

#### Constraints

- **EventTypeRule**

(Rule)

EventType/Code OTHR must only be used in case no other corporate action event code is appropriate.

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

EventType/Code REDM must only be used when the redemption is decided by the issuer and not by the securities holders.

- **OfficialCorporateActionEventReference**

(Rule)

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

available in the SMPG Global Market Practices Part 1 document on [www.smpg.info](http://www.smpg.info).

### 6.4.3.1 CorporateActionEventIdentification <CorpActnEvtId>

*Presence:* [1..1]

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

*Datatype:* [RestrictedFINXMax16Text on page 1352](#)

### 6.4.3.2 OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>

*Presence:* [0..1]

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

*Datatype:* [RestrictedFINXMax16Text on page 1352](#)

### 6.4.3.3 ClassActionNumber <ClsActnNb>

*Presence:* [0..1]

*Definition:* Reference assigned by a court to a class action.

*Datatype:* [RestrictedFINXMax16Text on page 1352](#)

### 6.4.3.4 EventType <EvtTp>

*Presence:* [1..1]

*Definition:* Type of corporate action event.

*Impacted by:* [C17 EventTypeRule](#)

**EventType <EvtTp>** contains one of the following elements (see [CorporateActionEventType103Choice on page 964](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		965
Or}	Proprietary <Prtry>	[1..1]	±		971

#### Constraints

- **EventTypeRule**

(Rule)

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

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

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

## 6.4.4 InstructionProcessingStatus <InstrPrcgSts>

*Presence:* [1..\*]

*Definition:* Information about the processing status of the instruction.

**InstructionProcessingStatus <InstrPrcgSts>** contains one of the following **InstructionProcessingStatus49Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Cancelled</b> <Canc>	[1..1]	±		335
Or	<b>AcceptedForFurtherProcessing</b> <AccptdForFrthrPrcg>	[1..1]	±		335
Or	<b>Rejected</b> <Rjctd>	[1..1]	±		336
Or	<b>Pending</b> <Pdg>	[1..1]	±		336
Or	<b>DefaultAction</b> <DfltActn>	[1..1]	±		337
Or	<b>StandingInstruction</b> <StgInstr>	[1..1]	±		337
Or}	<b>ProprietaryStatus</b> <PrtrySts>	[1..1]	±		337

### 6.4.4.1 Cancelled <Canc>

*Presence:* [1..1]

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

**Cancelled <Canc>** contains one of the following elements (see [CancelledStatus15Choice](#) on page 1255 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		1255
Or}	Reason <Rsn>	[1..*]		C3	1255
	ReasonCode <RsnCd>	[1..1]			1256
{Or	Code <Cd>	[1..1]	CodeSet		1256
Or}	Proprietary <Prtry>	[1..1]	±		1256
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		1257

### 6.4.4.2 AcceptedForFurtherProcessing <AccptdForFrthrPrcg>

*Presence:* [1..1]

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

**AcceptedForFurtherProcessing <AccptdForFrthrPrcg>** contains one of the following elements (see [AcceptedStatus9Choice](#) on page 1253 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		1253
Or}	Reason <Rsn>	[1..*]		C4	1253
	ReasonCode <RsnCd>	[1..1]			1254
{Or	Code <Cd>	[1..1]	CodeSet		1254
Or}	Proprietary <Prtry>	[1..1]	±		1254
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		1255

### 6.4.4.3 Rejected <Rjctd>

*Presence:* [1..1]

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

**Rejected <Rjctd>** contains one of the following elements (see [RejectedStatus46Choice](#) on page 1236 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		1237
Or}	Reason <Rsn>	[1..*]		C5	1237
	ReasonCode <RsnCd>	[1..1]			1237
{Or	Code <Cd>	[1..1]	CodeSet		1238
Or}	Proprietary <Prtry>	[1..1]	±		1240
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		1240

### 6.4.4.4 Pending <Pdg>

*Presence:* [1..1]

*Definition:* Provides status information related to a pending instruction.

**Pending <Pdg>** contains one of the following elements (see [PendingStatus68Choice](#) on page 1242 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		1242
Or}	Reason <Rsn>	[1..*]		C6	1243
	ReasonCode <RsnCd>	[1..1]	±		1243
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		1243



### 6.4.4.5 DefaultAction <DfltActn>

*Presence:* [1..1]

*Definition:* Default action is taken.

**DefaultAction <DfltActn>** contains the following elements (see [NoSpecifiedReason1](#) on page 1230 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		1230

### 6.4.4.6 StandingInstruction <StgInstr>

*Presence:* [1..1]

*Definition:* Standing instruction has been applied.

**StandingInstruction <StgInstr>** contains the following elements (see [NoSpecifiedReason1](#) on page 1230 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		1230

### 6.4.4.7 ProprietaryStatus <PrtrySts>

*Presence:* [1..1]

*Definition:* Proprietary status related to an instruction.

**ProprietaryStatus <PrtrySts>** contains the following elements (see [ProprietaryStatusAndReason7](#) on page 1252 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ProprietaryStatus <PrtrySts>	[1..1]	±		1252
	ProprietaryReason <PrtryRsn>	[0..*]	±	C2	1252

## 6.4.5 CorporateActionInstruction <CorpActnInstr>

*Presence:* [0..1]

*Definition:* Information about the corporate action instruction.

*Impacted by:* [C22 OptionNumberRule](#), [C24 SafekeepingAccountOrBlockChainAddress1Rule](#), [C25 SafekeepingAccountOrBlockChainAddress2Rule](#), [C26 SafekeepingAccountOrBlockChainAddress3Rule](#), [C27 SafekeepingPlaceRule](#), [C29 StatusQuantityOrStatusCashAmount1Rule](#), [C30 StatusQuantityOrStatusCashAmount2Rule](#)

**CorporateActionInstruction <CorpActnInstr>** contains the following **CorporateActionOption203** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OptionNumber</b> <OptnNb>	[1..1]	±		340
	<b>OptionType</b> <OptnTp>	[1..1]	±		340
	<b>OptionFeatures</b> <OptnFeatrs>	[0..1]	±		340
	<b>AccountOwner</b> <AcctOwnr>	[0..1]	±		341
	<b>SafekeepingAccount</b> <SfkpgAcct>	[0..1]	Text		341
	<b>BlockChainAddressOrWallet</b> <BlckChainAdrOrWllt>	[0..1]	Text		341
	<b>CashAccount</b> <CshAcct>	[0..1]	±		341
	<b>SafekeepingPlace</b> <SfkpgPlc>	[0..1]	±		341
	<b>FinancialInstrumentIdentification</b> <FinInstrmld>	[0..1]	±	C12, C13, C19, C20, C23	342
	<b>TotalEligibleBalance</b> <TtlElgblBal>	[0..1]	±		343
	<b>InstructedBalance</b> <InstdBal>	[0..1]	±		344
	<b>UninstructedBalance</b> <UinstdBal>	[0..1]	±		344
	<b>ProtectBalance</b> <PrctBal>	[0..1]	±		344
	<b>StatusQuantity</b> <StsQty>	[0..1]	±		345
	<b>StatusCashAmount</b> <StsCshAmt>	[0..1]	Amount	C1, C11	345
	<b>SolicitationDealerFeeIndicator</b> <SlctnDealrFeeInd>	[0..1]	Indicator		346

**Constraints**

- **OptionNumberRule**

(Rule)

For differentiation between options, the OptionNumber rather than the OptionType must be used, for example, in the case where two or more offers can be described by the same corporate action option code. Therefore, the OptionNumber value must be different for each option.

- **SafekeepingAccountOrBlockChainAddress1Rule**

(Rule)

If SafekeepingAccount is present, BlockChainAddressOrWallet must be absent.

On Condition

    /SafekeepingAccount is present

Following Must be True

    /BlockChainAddressOrWallet Must be absent

*Error handling:*

- *Error severity:* Warning
- *Error Code:* X00554
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both may be present.

- **SafekeepingAccountOrBlockChainAddress2Rule**

(Rule)

If BlockchainAddressOrWallet is present, SafekeepingAccount must be absent.

```
On Condition
  /BlockchainAddressOrWallet is present
Following Must be True
  /SafekeepingAccount Must be absent
```

*Error handling:*

- *Error severity:* Warning
- *Error Code:* X00555
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both may be present.

- **SafekeepingAccountOrBlockChainAddress3Rule**

(Rule)

Either SafekeepingAccount or BlockchainAddressOrWallet must be present but not both.

```
Following Must be True
  /SafekeepingAccount Must be present
Or
  /BlockchainAddressOrWallet Must be present
```

*Error handling:*

- *Error severity:* Warning
- *Error Code:* X00571
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

- **SafekeepingPlaceRule**

(Rule)

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

- **StatusQuantityOrStatusCashAmount1Rule**

(Rule)

If StatusQuantity is present, then StatusCashAmount is not allowed. (MT 567 C5).

```
On Condition
  /StatusQuantity is present
Following Must be True
  /StatusCashAmount Must be absent
```

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00418
- *Error Text:* Invalid message contents for StatusCashAmount.

• **StatusQuantityOrStatusCashAmount2Rule**

(Rule)

If StatusCashAmount is present, then StatusQuantity is not allowed. (MT 567 C5).

```
On Condition
  /StatusCashAmount is present
Following Must be True
  /StatusQuantity Must be absent
```

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00414
- *Error Text:* Invalid message content for StatusQuantity

**6.4.5.1 OptionNumber <OptnNb>**

*Presence:* [1..1]

*Definition:* Number identifying the available corporate action options.

**OptionNumber <OptnNb>** contains one of the following elements (see [OptionNumber1Choice](#) on page 1078 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Number <Nb>	[1..1]	Text		1078
Or}	Code <Cd>	[1..1]	CodeSet		1078

**6.4.5.2 OptionType <OptnTp>**

*Presence:* [1..1]

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

**OptionType <OptnTp>** contains one of the following elements (see [CorporateActionOption42Choice](#) on page 962 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		963
Or}	Proprietary <Prtry>	[1..1]	±		964

**6.4.5.3 OptionFeatures <OptnFeatrs>**

*Presence:* [0..1]

*Definition:* Specifies the features that may apply to a corporate action option.

**OptionFeatures <OptnFeatrs>** contains one of the following elements (see [OptionFeaturesFormat27Choice](#) on page 1016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1016
Or}	Proprietary <Prtry>	[1..1]	±		1017

#### 6.4.5.4 AccountOwner <AcctOwnr>

*Presence:* [0..1]

*Definition:* Party that owns the account.

**AccountOwner <AcctOwnr>** contains one of the following elements (see [PartyIdentification136Choice](#) on page 1091 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1091
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1091

#### 6.4.5.5 SafekeepingAccount <SfkpgAcct>

*Presence:* [0..1]

*Definition:* Account where financial instruments are maintained.

*Datatype:* [RestrictedFINXMax35Text](#) on page 1354

#### 6.4.5.6 BlockchainAddressOrWallet <BlckChainAdrOrWllt>

*Presence:* [0..1]

*Definition:* Blockchain address or wallet where digital assets are maintained. This is the equivalent of safekeeping account for digital assets.

*Datatype:* [RestrictedFINXMax140Text](#) on page 1352

#### 6.4.5.7 CashAccount <CshAcct>

*Presence:* [0..1]

*Definition:* Account on which a securities entry is made.

**CashAccount <CshAcct>** contains one of the following elements (see [CashAccountIdentification6Choice](#) on page 868 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IBAN <IBAN>	[1..1]	IdentifierSet	C18	868
Or}	Proprietary <Prtry>	[1..1]	Text		869

#### 6.4.5.8 SafekeepingPlace <SfkpgPlc>

*Presence:* [0..1]

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

**SafekeepingPlace <SfkpgPlc>** contains one of the following elements (see [SafekeepingPlaceFormat32Choice](#) on page 1216 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]	±		1216
Or	Country <Ctry>	[1..1]	CodeSet	C3	1216
Or	TypeAndIdentification <TpAndId>	[1..1]			1217
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		1217
	Identification <Id>	[1..1]	IdentifierSet	C1	1217
Or}	Proprietary <Prtry>	[1..1]	±		1218

#### 6.4.5.9 FinancialInstrumentIdentification <FinInstrmId>

*Presence:* [0..1]

*Definition:* Identifies the financial instrument.

*Impacted by:* [C12 DescriptionPresenceRule](#), [C13 DescriptionUsageRule](#), [C19 ISINGuideline](#), [C20 ISINPresenceRule](#), [C23 OtherIdentificationPresenceRule](#)

**FinancialInstrumentIdentification <FinInstrmId>** contains the following elements (see [SecurityIdentification20](#) on page 904 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		906
	OtherIdentification <OthrId>	[0..*]			906
	Identification <Id>	[1..1]	Text		906
	Suffix <Sfx>	[0..1]	Text		906
	Type <Tp>	[1..1]	±		906
	Description <Desc>	[0..1]	Text		907

#### 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 a ISIN code exist. 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.

#### 6.4.5.10 TotalEligibleBalance <TtElgIBal>

*Presence:* [0..1]

*Definition:* Total balance of securities eligible for this corporate action event. The entitlement calculation is based on this balance.

**TotalEligibleBalance <TtlElgblBal>** contains the following elements (see [SignedQuantityFormat12](#) on page 1137 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1137
	QuantityChoice <QtyChc>	[1..1]	±		1137

#### 6.4.5.11 InstructedBalance <InstdBal>

*Presence:* [0..1]

*Definition:* Balance of instructed position.

**InstructedBalance <InstdBal>** contains the following elements (see [SignedQuantityFormat12](#) on page 1137 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1137
	QuantityChoice <QtyChc>	[1..1]	±		1137

#### 6.4.5.12 UninstructedBalance <UinstdBal>

*Presence:* [0..1]

*Definition:* Balance of uninstructed position.

**UninstructedBalance <UinstdBal>** contains the following elements (see [SignedQuantityFormat12](#) on page 1137 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1137
	QuantityChoice <QtyChc>	[1..1]	±		1137

#### 6.4.5.13 ProtectBalance <PrctctBal>

*Presence:* [0..1]

*Definition:* Balance of securities which are in protect status in a CSD operating a protect cover service.



**ProtectBalance <PrctBal>** contains the following elements (see [SignedQuantityFormat11](#) on page 1139 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1139
	QuantityChoice <QtyChc>	[1..1]			1139
{Or	Quantity <Qty>	[1..1]	±	C15	1140
Or}	ProprietaryQuantity <PrtryQty>	[1..1]			1140
	Quantity <Qty>	[1..1]	Quantity		1141
	QuantityType <QtyTp>	[1..1]	Text		1141
	Issuer <Issr>	[1..1]	Text		1141
	SchemeName <SchmeNm>	[0..1]	Text		1141

#### 6.4.5.14 StatusQuantity <StsQty>

*Presence:* [0..1]

*Definition:* Quantity of securities that has been assigned the status indicated.

**StatusQuantity <StsQty>** contains one of the following elements (see [Quantity54Choice](#) on page 1145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±	C14	1146
Or}	OriginalAndCurrentFace <OrgnlAndCurFace>	[1..1]	±		1146

#### 6.4.5.15 StatusCashAmount <StsCshAmt>

*Presence:* [0..1]

*Definition:* Amount of cash subscribed that has been assigned the status indicated.

*Impacted by:* [C1 ActiveCurrency](#), [C11 CurrencyAmount](#)

*Datatype:* [RestrictedFINActiveCurrencyAndAmount](#) on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

**6.4.5.16 SolicitationDealerFeeIndicator <SlctnDealrFeeInd>**

*Presence:* [0..1]

*Definition:* Indicates whether there is a solicitation fee on the event. This fee is paid by the soliciting dealer.

*Datatype:* One of the following values must be used (see [YesNoIndicator on page 1345](#)):

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

**6.4.6 ProtectInstruction <PrtctInstr>**

*Presence:* [0..1]

*Definition:* Provides detailed information on protect and cover protect instructions.

**ProtectInstruction <PrtctInstr>** contains the following **ProtectInstruction6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TransactionType</b> <TxTp>	[1..1]	CodeSet		346
	<b>ProtectTransactionStatus</b> <PrtctTxSts>	[0..1]	CodeSet		347
	<b>TransactionIdentification</b> <TxId>	[0..1]	Text		347
	<b>ProtectSafekeepingAccount</b> <PrtctSfkpgAcct>	[0..1]	Text		347
	<b>ProtectDate</b> <PrtctDt>	[0..1]	Date		347
	<b>UncoveredProtectQuantity</b> <UcvrdPrtctQty>	[0..1]	±		347

**6.4.6.1 TransactionType <TxTp>**

*Presence:* [1..1]

*Definition:* Indicates whether the instruction is a protect or a cover protect instruction.

*Datatype:* [ProtectTransactionType2Code on page 1333](#)

CodeName	Name	Definition
PROT	ProtectTransaction	Reorganisation is a protect transaction type.
COVP	CoverOnBehalfOfAnotherParticipantTransaction	Reorganisation is a cover on behalf of another participant transaction type.
COVR	CoverProtectTransaction	Reorganisation is a cover protect transaction type.

#### 6.4.6.2 ProtectTransactionStatus <PrtctTxSts>

*Presence:* [0..1]

*Definition:* Status of the protect transaction.

*Datatype:* [ProtectInstructionStatus3Code on page 1332](#)

CodeName	Name	Definition
OPEN	Open	Protect instruction which has not been fully covered. Will include partial covers.
COVR	FullyCovered	Protect instruction has been fully covered.
EXPI	Expired	Protect instruction has expired.

#### 6.4.6.3 TransactionIdentification <TxId>

*Presence:* [0..1]

*Definition:* Unique reference of the protect transaction assigned by the depository and used for cover protect validation.

*Datatype:* [RestrictedFINMax15Text on page 1350](#)

#### 6.4.6.4 ProtectSafekeepingAccount <PrtctSfkpgAcct>

*Presence:* [0..1]

*Definition:* Account which submitted the original protect instruction used for cover protect instructions whereby one safekeeping account is covering on behalf of another safekeeping account.

*Datatype:* [RestrictedFINMax35Text on page 1351](#)

#### 6.4.6.5 ProtectDate <PrtctDt>

*Presence:* [0..1]

*Definition:* Date at which the protect instruction was created and used for cover protect validation.

*Datatype:* [ISODate on page 1342](#)

#### 6.4.6.6 UncoveredProtectQuantity <UcvrdPrtctQty>

*Presence:* [0..1]

*Definition:* Remaining quantity of protect instruction which has not been covered.

**UncoveredProtectQuantity <UcvrdPrctQty>** contains one of the following elements (see [FinancialInstrumentQuantity31Choice](#) on page 939 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		939
Or}	FaceAmount <FaceAmt>	[1..1]	Amount		939

## 6.4.7 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Provides additional information.

**AdditionalInformation <AddtlInf>** contains the following **CorporateActionNarrative19** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AdditionalText</b> <AddtlTxt>	[0..*]	Text		348
	<b>PartyContactNarrative</b> <PtyCtctNrrtv>	[0..*]	Text		348

### 6.4.7.1 AdditionalText <AddtlTxt>

*Presence:* [0..\*]

*Definition:* Provides additional information or specifies in more detail the content of a message. This field may only be used when the information to be transmitted, cannot be coded.

*Datatype:* [RestrictedFINXMax350Text](#) on page 1354

### 6.4.7.2 PartyContactNarrative <PtyCtctNrrtv>

*Presence:* [0..\*]

*Definition:* Provides additional information regarding the party, for example, the contact unit or person responsible for the transaction identified in the message.

*Datatype:* [RestrictedFINXMax350Text](#) on page 1354

## 6.4.8 SupplementaryData <SplmtryData>

*Presence:* [0..\*]

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

*Impacted by:* [C31 SupplementaryDataRule](#)

**SupplementaryData <SplmtryData>** contains the following elements (see [SupplementaryData1](#) on page 1077 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		1077
	Envelope <Envlp>	[1..1]	(External Schema)		1078

## 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.

# 7 MX seev.035.002.14 CorporateActionMovementPreliminaryAdvice 002V14

## 7.1 MessageDefinition Functionality

### Scope

The CorporateActionMovementPreliminaryAdvice message is sent by an account servicer to an account owner or its designated agent:

- to advise about the final eligible balance and entitlements and,
- to pre-advise an upcoming posting or reversal of securities and/or cash postings.

### Usage

The message may also be used to:

- re-send a message previously sent (the sub-function of the message is Duplicate),
- provide a third party with a copy of a message for information (the sub-function of the message is Copy),
- re-send to a third party a copy of a message for information (the sub-function of the message is Copy Duplicate), using the relevant elements in the business application header (BAH).

### Outline

The CorporateActionMovementPreliminaryAdvice002V14 MessageDefinition is composed of 27 MessageBuildingBlocks:

#### A. Pagination

Page number of the message and continuation indicator to indicate that the multi-part preliminary advice is to continue or that the message is the last page of the multi-part preliminary advice.

#### B. MovementPreliminaryAdviceGeneralInformation

General information about the movement preliminary advice document.

#### C. PreviousMovementPreliminaryAdviceIdentification

Identification of the previously sent movement preliminary advice document.

#### D. NotificationIdentification

Identification of a previously sent notification document.

#### E. MovementConfirmationIdentification

Identification of a previously sent movement confirmation document.

#### F. InstructionIdentification

Identification of a related instruction document.

#### G. OtherDocumentIdentification

---

Identification of other documents as well as the document number.

H. EventsLinkage

Identification of another corporate action event that needs to be closely linked to the processing of the event notified in this document.

I. ReversalReason

Reason for the reversal.

J. CorporateActionGeneralInformation

General information about the corporate action event.

K. AccountDetails

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

L. CorporateActionDetails

Information about the corporate action event.

M. CorporateActionMovementDetails

Information about the corporate action option.

N. AdditionalInformation

Provides additional information.

O. IssuerAgent

Party appointed to administer the event on behalf of the issuer company/offoror. The party may be contacted for more information about the event.

P. PayingAgent

Agent (principal or fiscal paying agent) appointed to execute the payment for the corporate action event on behalf of the issuer company/offoror.

Q. SubPayingAgent

Sub-agent appointed to execute the payment for the corporate action event on behalf of the issuer company/offoror.

R. Registrar

Party/agent responsible for maintaining the register of a security.

S. ResellingAgent

Broker-dealer responsible for reselling to new investors securities (usually bonds) that have been tendered for purchase by their owner.

T. PhysicalSecuritiesAgent

Trust company, bank or similar financial institution assigned by an issuer to accept presentations of instruments, usually bonds, for transfer and or exchange.

U. DropAgent

Trust company, bank or similar financial institution that acts on behalf of an out-of-town agent or event agent where securities can be delivered in person.

V. SolicitationAgent

---

Trust company, bank or similar financial institution assigned by an issuer to maintain records of investors and account balances and transactions for the consent of a material change.

W. InformationAgent

Trust company, bank or similar financial institution assigned by an Issuer to provide information and copies of the offering documentation.

X. SupplementaryData

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

Y. Issuer

Issuer of the financial instrument.

Z. Offeror

Party making the offer and which is different from the issuing company.

A TransferAgent

- A. Trust company, bank or similar financial institution appointed by a fund management company to maintain records of investors and account balances. The transfer agent records transactions, including subscriptions, redemptions, switches, transfers, and re-registrations.



## 7.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <CorpActnMvmntPrlimryAdv>	[1..1]		C9, C11, C12, C36, C37, C43, C56, C60, C63, C64	
	<b>Pagination</b> <Pgntn>	[0..1]	±		381
	<b>MovementPreliminaryAdviceGeneralInformation</b> <MvmntPrlimryAdvGnlInf>	[1..1]			382
	<b>Type</b> <Tp>	[1..1]	CodeSet		382
	<b>Function</b> <Fctn>	[1..1]	CodeSet		382
	<b>PreviousMovementPreliminaryAdviceIdentification</b> <PrvsMvmntPrlimryAdvclId>	[0..1]	±		382
	<b>NotificationIdentification</b> <NtfctnId>	[0..1]	±		383
	<b>MovementConfirmationIdentification</b> <MvmntConfId>	[0..1]	±		383
	<b>InstructionIdentification</b> <InstrId>	[0..1]	±		383
	<b>OtherDocumentIdentification</b> <OthrDocId>	[0..*]	±		383
	<b>EventsLinkage</b> <EvtsLkg>	[0..*]	±		384
	<b>ReversalReason</b> <RvsIRsn>	[0..1]		C5	384
	<b>Reason</b> <Rsn>	[1..1]			385
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		385
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		385
	<b>AdditionalReasonInformation</b> <AddtlRsnInf>	[0..1]	Text		386
	<b>CorporateActionGeneralInformation</b> <CorpActnGnlInf>	[1..1]		C54	386
	<b>CorporateActionEventIdentification</b> <CorpActnEvtId>	[1..1]	Text		387
	<b>OfficialCorporateActionEventIdentification</b> <OffclCorpActnEvtId>	[0..1]	Text		387
	<b>ClassActionNumber</b> <ClssActnNb>	[0..1]	Text		387
	<b>EventProcessingType</b> <EvtPrcgTp>	[0..1]	±		387
	<b>EventType</b> <EvtTp>	[1..1]	±	C26	387
	<b>MandatoryVoluntaryEventType</b> <MndtryVlntryEvtTp>	[1..1]	±		388
	<b>UnderlyingSecurity</b> <UndrlygScty>	[1..1]	±	C48, C58	388

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AccountDetails</b> <AcctDtls>	[1..1]			390
{Or	<b>ForAllAccounts</b> <ForAllAccts>	[1..1]	±		391
Or}	<b>AccountsListAndBalanceDetails</b> <AcctsListAndBalDtls>	[1..*]		C65, C66, C67, C68	392
	<b>SafekeepingAccount</b> <SfkpgAcct>	[0..1]	Text		394
	<b>BlockchainAddressOrWallet</b> <BlckChainAdrOrWlIt>	[0..1]	Text		395
	<b>AccountOwner</b> <AcctOwnr>	[0..1]	±		395
	<b>SafekeepingPlace</b> <SfkpgPlc>	[0..1]	±		395
	<b>Balance</b> <Bal>	[0..1]		C7	395
	<b>TotalEligibleBalance</b> <TtlElgblBal>	[0..1]	±		396
	<b>BlockedBalance</b> <BlckdBal>	[0..1]	±		397
	<b>BorrowedBalance</b> <BrrwdBal>	[0..1]	±		397
	<b>CollateralInBalance</b> <CollInBal>	[0..1]	±		397
	<b>CollateralOutBalance</b> <CollOutBal>	[0..1]	±		398
	<b>OnLoanBalance</b> <OnLnBal>	[0..1]	±		398
	<b>PendingDeliveryBalance</b> <PdgDlvryBal>	[0..*]	±		398
	<b>PendingReceiptBalance</b> <PdgRctBal>	[0..*]	±		399
	<b>OutForRegistrationBalance</b> <OutForRegnBal>	[0..1]	±		399
	<b>SettlementPositionBalance</b> <SttlmPosBal>	[0..*]	±		399
	<b>StreetPositionBalance</b> <StrtPosBal>	[0..1]	±		400
	<b>TradeDatePositionBalance</b> <TradDtPosBal>	[0..1]	±		400
	<b>InTransshipmentBalance</b> <InTrnsShipmntBal>	[0..1]	±		400
	<b>RegisteredBalance</b> <RegdBal>	[0..1]	±		401
	<b>ObligatedBalance</b> <OblgtdBal>	[0..1]	±		401
	<b>UninstructedBalance</b> <UinstdBal>	[0..1]	±		401
	<b>InstructedBalance</b> <InstdBal>	[0..1]	±		402
	<b>AffectedBalance</b> <AfctdBal>	[0..1]	±		402
	<b>UnaffectedBalance</b> <UafctdBal>	[0..1]	±		402
	<b>CorporateActionDetails</b> <CorpActnDtls>	[0..1]			403
	<b>DateDetails</b> <DtDtls>	[0..1]			403
	<b>RecordDate</b> <RcrdDt>	[0..1]	±		404

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ExDividendDate</b> <ExDvddDt>	[0..1]	±		404
	<b>LotteryDate</b> <LtryDt>	[0..1]	±		404
	<b>SecuritiesQuantity</b> <SctiesQty>	[0..1]			405
	<b>BaseDenomination</b> <BaseDnmtn>	[0..1]	±	C20	405
	<b>IncrementalDenomination</b> <IncrmtlDnmtn>	[0..1]	±	C20	405
	<b>EventStage</b> <EvtStag>	[0..1]	±		406
	<b>AdditionalBusinessProcessIndicator</b> <AddtlBizPrclnd>	[0..*]	±		406
	<b>IntermediateSecuritiesDistributionType</b> <IntrmdtSctiesDstrbtntp>	[0..1]	±		406
	<b>LotteryType</b> <LtryTp>	[0..1]	±		407
	<b>CorporateActionMovementDetails</b> <CorpActnMvmntDtls>	[0..*]		C6, C10, C22, C23, C24, C25, C42, C62, C55	407
	<b>OptionNumber</b> <OptnNb>	[1..1]	Text		418
	<b>OptionType</b> <OptnTp>	[1..1]	±		418
	<b>FractionDisposition</b> <FrctnDspstn>	[0..1]	±		418
	<b>OfferType</b> <OfferTp>	[0..*]	±		419
	<b>OptionFeatures</b> <OptnFeatrs>	[0..*]	±		419
	<b>OptionAvailabilityStatus</b> <OptnAvlbtysts>	[0..1]	±		419
	<b>CertificationBreakdownType</b> <CertfctnBrkdwnTp>	[0..*]	±		419
	<b>NonDomicileCountry</b> <NonDmclCtry>	[0..*]	CodeSet	C13	420
	<b>ValidDomicileCountry</b> <VldDmclCtry>	[0..*]	CodeSet	C13	420
	<b>CurrencyOption</b> <CcyOptn>	[0..1]	CodeSet	C1	421
	<b>DefaultProcessingOrStandingInstruction</b> <DfltPrcgOrStglInstr>	[1..1]	±		421
	<b>ChargesAppliedIndicator</b> <ChrgsApplnd>	[0..1]	Indicator		421
	<b>CertificationBreakdownIndicator</b> <CertfctnBrkdwnInd>	[0..1]	Indicator		421
	<b>WithdrawalAllowedIndicator</b> <WdrwlAllwdInd>	[0..1]	Indicator		422
	<b>ChangeAllowedIndicator</b> <ChngAllwdInd>	[0..1]	Indicator		422
	<b>AppliedOptionIndicator</b> <ApldOptnInd>	[0..1]	Indicator		422
	<b>SecurityIdentification</b> <Sctyld>	[0..1]	±	C17, C18,	422

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
				C44, C45, C57	
	<b>DateDetails</b> <DtDtls>	[0..1]			424
	<b>EarlyResponseDeadline</b> <EarlyRspnDdl>	[0..1]	±		425
	<b>CoverExpirationDeadline</b> <CoverXprtnDdl>	[0..1]	±		425
	<b>ProtectDeadline</b> <PrctDdl>	[0..1]	±		425
	<b>MarketDeadline</b> <MktDdl>	[0..1]	±		426
	<b>ResponseDeadline</b> <RspnDdl>	[0..1]	±		426
	<b>ExpiryDate</b> <XpryDt>	[0..1]	±		426
	<b>SubscriptionCostDebitDate</b> <SbcptCostDbtDt>	[0..1]	±		427
	<b>DepositoryCoverExpirationDate</b> <DpstryCoverXprtnDt>	[0..1]	±		427
	<b>StockLendingDeadline</b> <StockLndgDdl>	[0..1]	±		427
	<b>BorrowerStockLendingDeadline</b> <BrrwrStockLndgDdl>	[0..*]			428
	<b>StockLendingDeadline</b> <StockLndgDdl>	[1..1]	±		428
	<b>Borrower</b> <Brrwr>	[1..1]	±		428
	<b>PeriodDetails</b> <PrdDtls>	[0..1]			429
	<b>PriceCalculationPeriod</b> <PricClctnPrd>	[0..1]	±		429
	<b>ParallelTradingPeriod</b> <ParllTradgPrd>	[0..1]	±		429
	<b>ActionPeriod</b> <ActnPrd>	[0..1]	±		430
	<b>RevocabilityPeriod</b> <RvcbltyPrd>	[0..1]	±		430
	<b>PrivilegeSuspensionPeriod</b> <PrvlgSspnsnPrd>	[0..1]	±		430
	<b>AccountServicerRevocabilityPeriod</b> <AcctSvcrRvcbltyPrd>	[0..1]	±		430
	<b>DepositorySuspensionPeriodForWithdrawal</b> <DpstrySspnsnPrdForWdrwl>	[0..1]	±		431
	<b>RateAndAmountDetails</b> <RateAndAmtDtls>	[0..1]		C31, C33, C50, C52, C69, C71, C73, C77, C79	431
	<b>AdditionalTax</b> <AddtlTax>	[0..1]	±		434
	<b>GrossDividendRate</b> <GrssDvddRate>	[0..*]	±		434
	<b>NetDividendRate</b> <NetDvddRate>	[0..*]	±		435

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>InterestRateUsedForPayment</b> <IntrstRateUsdForPmt>	[0..*]	±		436
	<b>MaximumAllowedOversubscriptionRate</b> <MaxAllwdOvrscptRate>	[0..1]	±		437
	<b>ProrationRate</b> <PrratnRate>	[0..1]	±		437
	<b>WithholdingTaxRate</b> <WhldgTaxRate>	[0..*]	±		438
	<b>SecondLevelTax</b> <ScndLvITax>	[0..*]	±		438
	<b>TaxableIncomePerDividendShare</b> <TaxblIncmPerDvddShr>	[0..*]	±		438
	<b>TaxOnIncome</b> <TaxOnIncm>	[0..1]	±		439
	<b>PriceDetails</b> <PricDtls>	[0..1]			439
	<b>CashInLieuOfSharePrice</b> <CshInLieuOfShrPric>	[0..1]	±		440
	<b>OverSubscriptionDepositPrice</b> <OverSbcptDpstPric>	[0..1]	±		440
	<b>MaximumCashToInstruct</b> <MaxCshToInst>	[0..1]	±		440
	<b>MinimumCashToInstruct</b> <MinCshToInst>	[0..1]	±		441
	<b>MinimumMultipleCashToInstruct</b> <MinMltplCshToInst>	[0..1]	±		441
	<b>SecuritiesQuantity</b> <SctiesQty>	[0..1]			441
	<b>MaximumQuantityToInstruct</b> <MaxQtyToInst>	[0..1]	±	C21	442
	<b>MinimumQuantityToInstruct</b> <MinQtyToInst>	[0..1]	±	C21	442
	<b>MinimumMultipleQuantityToInstruct</b> <MinMltplQtyToInst>	[0..1]	±	C20	443
	<b>NewBoardLotQuantity</b> <NewBrdLotQty>	[0..1]	±	C20	443
	<b>NewDenominationQuantity</b> <NewDnmtnQty>	[0..1]	±	C20	444
	<b>FrontEndOddLotQuantity</b> <FrntEndOddLotQty>	[0..1]	±	C20	444
	<b>BackEndOddLotQuantity</b> <BckEndOddLotQty>	[0..1]	±	C20	445
	<b>SecuritiesMovementDetails</b> <SctiesMvmntDtls>	[0..*]		C27, C38, C40, C46	445
	<b>SecurityDetails</b> <SctyDtls>	[1..1]	±	C49, C59	448
	<b>CreditDebitIndicator</b> <CdtDbtInd>	[1..1]	CodeSet		450
	<b>TemporaryFinancialInstrumentIndicator</b> <TempFinInstrmInd>	[0..1]	±		450
	<b>NonEligibleProceedsIndicator</b> <NonElgblPrcdsInd>	[0..1]	±		450
	<b>IssuerOfferorTaxabilityIndicator</b> <IssrOfferrTaxblyInd>	[0..1]	±		450
	<b>NewSecuritiesIssuanceIndicator</b> <NewSctiesIssncInd>	[0..1]	CodeSet		451
	<b>IncomeType</b> <IncmTp>	[0..1]	±		451

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OtherIncomeType</b> <OthrIncmTp>	[0..*]	±		452
	<b>ExemptionType</b> <XmptnTp>	[0..*]	±		452
	<b>EntitledQuantity</b> <EntitldQty>	[0..1]	±		452
	<b>SafekeepingPlace</b> <SfkpgPlc>	[0..1]	±		453
	<b>CountryOfIncomeSource</b> <CtryOfIncmSrc>	[0..1]	CodeSet	C13	453
	<b>FractionDisposition</b> <FrctnDspstn>	[0..1]	±		453
	<b>CurrencyOption</b> <CcyOptn>	[0..1]	CodeSet	C1	454
	<b>TradingPeriod</b> <TradgPrd>	[0..1]	±		454
	<b>DateDetails</b> <DtDtls>	[1..1]			454
	<b>PaymentDate</b> <PmtDt>	[1..1]	±		455
	<b>AvailableDate</b> <AvlblDt>	[0..1]	±		455
	<b>DividendRankingDate</b> <DvddRnkgDt>	[0..1]	±		455
	<b>EarliestPaymentDate</b> <EarlstPmtDt>	[0..1]	±		456
	<b>PariPassuDate</b> <PrpssDt>	[0..1]	±		456
	<b>LastTradingDate</b> <LastTradgDt>	[0..1]	±		456
	<b>RateDetails</b> <RateDtls>	[0..1]			457
	<b>AdditionalQuantityForSubscribedResultantSecurities</b> <AddtlQtyForSbcdbRslntScies>	[0..1]	±		457
	<b>AdditionalQuantityForExistingSecurities</b> <AddtlQtyForExstgScies>	[0..1]	±		458
	<b>NewToOld</b> <NewToOd>	[0..1]	±		458
	<b>TransformationRate</b> <TrfrmatnRate>	[0..1]	Rate		459
	<b>ChargesFees</b> <ChrgsFees>	[0..1]	±		459
	<b>FiscalStamp</b> <FscIStmp>	[0..1]	±		459
	<b>ApplicableRate</b> <AplblRate>	[0..1]	±		460
	<b>TaxCreditRate</b> <TaxCdtRate>	[0..1]	±		460
	<b>FinancialTransactionTaxRate</b> <FinTxTaxRate>	[0..1]	±		460
	<b>WithholdingTaxRate</b> <WhldgTaxRate>	[0..*]	±		460
	<b>SecondLevelTax</b> <ScndLvITax>	[0..*]	±		461
	<b>PriceDetails</b> <PricDtls>	[0..1]		C29	461
	<b>IndicativeOrMarketPrice</b> <IndctvOrMktPric>	[0..1]	±		462
	<b>CashInLieuOfSharePrice</b> <CshInLieuOfShrPric>	[0..1]	±		462
	<b>CashValueForTax</b> <CshValForTax>	[0..1]	±		463

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>GenericCashPricePaidPerProduct</b> <GncCshPricPdPerPdct>	[0..1]	±		463
	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		463
	<b>AmountDetails</b> <AmtDtls>	[0..1]			464
	<b>WithholdingTaxAmount</b> <WhldgTaxAmt>	[0..1]	Amount	C1, C14	464
	<b>SecondLevelTaxAmount</b> <ScndLvTaxAmt>	[0..1]	Amount	C1, C14	465
	<b>CashMovementDetails</b> <CshMvmntDtls>	[0..*]		C28, C39, C41, C47	466
	<b>CreditDebitIndicator</b> <CdtDbtInd>	[1..1]	CodeSet		471
	<b>ContractualPaymentIndicator</b> <CtrctlPmtInd>	[0..1]	CodeSet		471
	<b>NonEligibleProceedsIndicator</b> <NonElgblPrctdsInd>	[0..1]	±		471
	<b>IssuerOfferorTaxabilityIndicator</b> <IssrOfferrTaxbiltyInd>	[0..1]	±		472
	<b>IncomeType</b> <IncmTp>	[0..1]	±		472
	<b>OtherIncomeType</b> <OthrlIncmTp>	[0..*]	±		472
	<b>ExemptionType</b> <XmptnTp>	[0..*]	±		473
	<b>CountryOfIncomeSource</b> <CtryOfIncmSrc>	[0..1]	CodeSet	C13	473
	<b>CashAccountIdentification</b> <CshAcctId>	[0..1]	±		473
	<b>AmountDetails</b> <AmtDtls>	[0..1]			474
	<b>GrossCashAmount</b> <GrssCshAmt>	[0..1]	Amount	C1, C14	477
	<b>NetCashAmount</b> <NetCshAmt>	[0..1]	Amount	C1, C14	477
	<b>SolicitationFees</b> <SlctnFees>	[0..1]	Amount	C1, C14	478
	<b>CashInLieuOfShare</b> <CshInLieuOfShr>	[0..1]	Amount	C1, C14	479
	<b>CapitalGain</b> <CptlGn>	[0..1]	Amount	C1, C14	480
	<b>InterestAmount</b> <IntrstAmt>	[0..1]	Amount	C1, C14	480
	<b>MarketClaimAmount</b> <MktClmAmt>	[0..1]	Amount	C1, C14	481
	<b>IndemnityAmount</b> <IndmntyAmt>	[0..1]	Amount	C1, C14	482
	<b>ManufacturedDividendPaymentAmount</b> <ManfctrdDvddPmtAmt>	[0..1]	Amount	C1, C14	482

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ReinvestmentAmount</b> <RinvstmtAmt>	[0..1]	Amount	C1, C14	483
	<b>FullyFrankedAmount</b> <FullyFrnkAmt>	[0..1]	Amount	C1, C14	484
	<b>UnfrankedAmount</b> <UfrnkAmt>	[0..1]	Amount	C1, C14	485
	<b>SundryOrOtherAmount</b> <SndryOrOthrAmt>	[0..1]	Amount	C1, C14	485
	<b>TaxFreeAmount</b> <TaxFreeAmt>	[0..1]	Amount	C1, C14	486
	<b>TaxDeferredAmount</b> <TaxDfrrdAmt>	[0..1]	Amount	C1, C14	487
	<b>ValueAddedTaxAmount</b> <ValAddedTaxAmt>	[0..1]	Amount	C1, C14	487
	<b>StampDutyAmount</b> <StmpDtyAmt>	[0..1]	Amount	C1, C14	488
	<b>TaxReclaimAmount</b> <TaxRclmAmt>	[0..1]	Amount	C1, C14	489
	<b>TaxCreditAmount</b> <TaxCdtAmt>	[0..1]	Amount	C1, C14	490
	<b>AdditionalTaxAmount</b> <AddtlTaxAmt>	[0..1]	Amount	C1, C14	490
	<b>WithholdingTaxAmount</b> <WhldgTaxAmt>	[0..1]	Amount	C1, C14	491
	<b>SecondLevelTaxAmount</b> <ScndLvlTaxAmt>	[0..1]	Amount	C1, C14	492
	<b>FiscalStampAmount</b> <FsciStmpAmt>	[0..1]	Amount	C1, C14	492
	<b>ExecutingBrokerAmount</b> <ExctgBrkrAmt>	[0..1]	Amount	C1, C14	493
	<b>PayingAgentCommissionAmount</b> <PngAgtComssnAmt>	[0..1]	Amount	C1, C14	494
	<b>LocalBrokerCommissionAmount</b> <LclBrkrComssnAmt>	[0..1]	Amount	C1, C14	495
	<b>RegulatoryFeesAmount</b> <RgltryFeesAmt>	[0..1]	Amount	C1, C14	495
	<b>ShippingFeesAmount</b> <ShppgFeesAmt>	[0..1]	Amount	C1, C14	496
	<b>ChargesAmount</b> <ChrgsAmt>	[0..1]	Amount	C1, C14	497
	<b>EntitledAmount</b> <EntitldAmt>	[0..1]	Amount	C1, C14	497
	<b>OriginalAmount</b> <OrgnlAmt>	[0..1]	Amount	C1, C14	498



Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AccruedInterestAmount</b> <AcrdIntrstAmt>	[0..1]	Amount	C1, C14	499
	<b>IncomePortion</b> <IncmPrtn>	[0..1]	Amount	C1, C14	500
	<b>EqualisationAmount</b> <EqulstnAmt>	[0..1]	Amount	C1, C14	500
	<b>FATCATaxAmount</b> <FATCATaxAmt>	[0..1]	Amount	C1, C14	501
	<b>NRATaxAmount</b> <NRATaxAmt>	[0..1]	Amount	C1, C14	502
	<b>BackUpWithholdingTaxAmount</b> <BckUpWhldgTaxAmt>	[0..1]	Amount	C1, C14	502
	<b>TaxOnIncomeAmount</b> <TaxOnIncmAmt>	[0..1]	Amount	C1, C14	503
	<b>TransactionTax</b> <TxTax>	[0..1]	Amount	C1, C14	504
	<b>DeemedAmount</b> <DmdAmt>	[0..1]	Amount	C1, C14	505
	<b>ForeignIncomeAmount</b> <FrgnIncmAmt>	[0..1]	Amount	C1, C14	505
	<b>DeemedDividendAmount</b> <DmdDvddAmt>	[0..1]	Amount	C1, C14	506
	<b>DeemedFundAmount</b> <DmdFndAmt>	[0..1]	Amount	C1, C14	507
	<b>DeemedInterestAmount</b> <DmdIntrstAmt>	[0..1]	Amount	C1, C14	507
	<b>DeemedRoyaltiesAmount</b> <DmdRyltsAmt>	[0..1]	Amount	C1, C14	508
	<b>DateDetails</b> <DtDtls>	[1..1]			509
	<b>PaymentDate</b> <PmtDt>	[1..1]	±		509
	<b>ValueDate</b> <ValDt>	[0..1]	±		509
	<b>ForeignExchangeRateFixingDate</b> <FXRateFvgDt>	[0..1]	±		510
	<b>EarliestPaymentDate</b> <EarlstPmtDt>	[0..1]	±		510
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..1]	±		510
	<b>RateAndAmountDetails</b> <RateAndAmtDtls>	[0..1]		C15, C16, C32, C34, C51, C53, C70, C72, C74, C78, C80	511

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AdditionalTax</b> <AddtlTax>	[0..1]	±		515
	<b>GrossDividendRate</b> <GrssDvddRate>	[0..*]	±		515
	<b>InterestRateUsedForPayment</b> <IntrstRateUsdForPmt>	[0..*]	±		516
	<b>WithholdingTaxRate</b> <WhldgTaxRate>	[0..*]	±		517
	<b>SecondLevelTax</b> <ScndLvlTax>	[0..*]	±		517
	<b>ChargesFees</b> <ChrgsFees>	[0..1]	±		518
	<b>EarlySolicitationFeeRate</b> <EarlySlctnFeeRate>	[0..1]	±		518
	<b>FiscalStamp</b> <FscslStmp>	[0..1]	±		519
	<b>ThirdPartyIncentiveRate</b> <ThrdPtyIncntivRate>	[0..1]	±		519
	<b>NetDividendRate</b> <NetDvddRate>	[0..*]	±		519
	<b>ApplicableRate</b> <ApblRate>	[0..1]	±		520
	<b>SolicitationFeeRate</b> <SlctnFeeRate>	[0..1]	±		520
	<b>TaxCreditRate</b> <TaxCdtRate>	[0..1]	±		521
	<b>TaxOnIncome</b> <TaxOnIncm>	[0..1]	±		521
	<b>TaxOnProfits</b> <TaxOnPrfts>	[0..1]	±		521
	<b>TaxReclaimRate</b> <TaxRclmRate>	[0..1]	±		522
	<b>EqualisationRate</b> <EqulstnRate>	[0..1]	±		522
	<b>DeemedRate</b> <DmdRate>	[0..*]	±		522
	<b>PriceDetails</b> <PricDtls>	[0..1]		C30	523
	<b>GenericCashPricePaidPerProduct</b> <GncCshPricPdPerPdct>	[0..1]	±		524
	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		524
	<b>CashInLieuOfSharePrice</b> <CshInLieuOfShrPric>	[0..1]	±		525
	<b>AdditionalInformation</b> <AddtlInf>	[0..1]		C3	525
	<b>AdditionalText</b> <AddtlTxt>	[0..1]	±		526
	<b>NarrativeVersion</b> <NrrtvVrsn>	[0..1]	±		526
	<b>InformationConditions</b> <InfConds>	[0..1]	±		527
	<b>InformationToComplyWith</b> <InfToCmplyWth>	[0..1]	±		527
	<b>SecurityRestriction</b> <SctyRstrctn>	[0..1]	±		527
	<b>TaxationConditions</b> <TaxtnConds>	[0..1]	±		528
	<b>Disclaimer</b> <Dsclmr>	[0..1]	±		528
	<b>CertificationBreakdown</b> <CertfctnBrkdown>	[0..1]	±		528

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AdditionalInformation</b> <AddtlInf>	[0..1]		C4	529
	<b>AdditionalText</b> <AddtlTxt>	[0..1]	±		529
	<b>NarrativeVersion</b> <NrrtvVrsn>	[0..1]	±		530
	<b>InformationConditions</b> <InfConds>	[0..1]	±		530
	<b>InformationToComplyWith</b> <InfToCmplyWth>	[0..1]	±		530
	<b>TaxationConditions</b> <TaxtnConds>	[0..1]	±		531
	<b>Disclaimer</b> <Dsclmr>	[0..1]	±		531
	<b>PartyContactNarrative</b> <PtyCtctNrrtv>	[0..1]	±		531
	<b>RegistrationDetails</b> <RegnDtls>	[0..1]	±		532
	<b>BasketOrIndexInformation</b> <BsktOrIdxInf>	[0..1]	±		532
	<b>CertificationBreakdown</b> <CertfctnBrkdown>	[0..1]	±		532
	<b>ProcessingTextForNextIntermediary</b> <PrcgTxtForNxtIntrmy>	[0..1]	±		533
	<b>IssuerAgent</b> <IssrAgt>	[0..*]	±		533
	<b>PayingAgent</b> <PngAgt>	[0..*]	±		533
	<b>SubPayingAgent</b> <SubPngAgt>	[0..*]	±		534
	<b>Registrar</b> <Regar>	[0..1]	±		534
	<b>ResellingAgent</b> <RsellingAgt>	[0..*]	±		534
	<b>PhysicalSecuritiesAgent</b> <PhysSctiesAgt>	[0..1]	±		535
	<b>DropAgent</b> <DrpAgt>	[0..1]	±		535
	<b>SolicitationAgent</b> <SlctnAgt>	[0..*]	±		535
	<b>InformationAgent</b> <InfAgt>	[0..1]	±		536
	<b>SupplementaryData</b> <SplmtryData>	[0..*]	±	C76	536
	<b>Issuer</b> <Issr>	[0..1]	±		537
	<b>Offeror</b> <Offerr>	[0..*]	±		537
	<b>TransferAgent</b> <TrfAgt>	[0..1]	±		537

## 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 ActiveCurrency

(Rule)

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

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

## **C4 AdditionalInformationRule**

(Rule)

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

## **C5 AdditionalReasonInformationRule**

(Rule)

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

## **C6 AdditionalTextRule**

(Rule)

If OptionType/Code is OTHR (Other), then AdditionalInformation/AdditionalText/AdditionalInformation must be present.

(MT564 NVR C5). (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00175

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– *Error Text:* Invalid message content for AdditionalInformation

**C7 AffectedAndUnaffectedBalanceRule**

(Rule)

UnaffectedBalance and AffectedBalance should only be mentioned as a result of the process that was run through the event. For instance lottery results, Dutch auction results or tender offer results.

**C8 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.

**C9 AppliedOptionRule**

(Rule)

If CorporateActionMovementDetails/AppliedOptionIndicator value is 'true' or '1' (Yes) in one or more occurrences of CorporateActionMovementDetails, then CorporateActionGeneralInformation/MandatoryVoluntaryEventType/Code value must be CHOS (MandatoryWithOptions) and at least one of the CorporateActionDetails/AdditionalBusinessProcessIndicator/Code values must be REAC (RequiredAction).

*Error handling:*

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

*This constraint is defined at the MessageDefinition level.*

**C10 AppliedOptionRule**

(Rule)

If DefaultProcessingOrStandingInstruction/DefaultOptionIndicator is present and its value is '1' or 'true' (Yes), then AppliedOptionIndicator value must not be '1' or 'true' (Yes).

*Error handling:*

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

**C11 BeneficialOwnerBreakdownRequestRule**

(Rule)

If in at least one occurrence of CorporateActionMovementDetails, OptionType/Code value is BOBD (BeneficialOwnerBreakdownRequest), then CorporateActionGeneralInformation/EventType/Code value must be WTRC (Withholding Tax Relief Certification).

(MT 564 NVR C23). (CrossElementComplexRule)

On Condition

/CorporateActionMovementDetails[\*]/OptionType/Code is equal to value 'BeneficialOwnerBreakdownRequest'

Following Must be True

/CorporateActionGeneralInformation/EventType/Code Must be equal to value 'WithholdingTaxReliefCertification'

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00487
- *Error Text:* Invalid message contents for CorporateActionGeneralInformation/EventType/Code. It must be WTRC.

*This constraint is defined at the MessageDefinition level.*

## **C12 BeneficialOwnerBreakdownRequestUGRule**

(Rule)

If in at least one occurrence of CorporateActionOptionDetails, OptionType/Code value is BOBD (BeneficialOwnerBreakdownRequest), then CorporateActionGeneralInformation/EventType/Code value must be WTRC (Withholding Tax Relief Certification).

(MT 564 NVR C23). (CrossElementComplexRule)

if

at least one occurrence of [CorporateActionMovementDetails/OptionType/Code] has value included in the following list 'BOBD', then

every occurrence of [CorporateActionGeneralInformation/EventType/Code] must have value included in the following list 'WTRC'

*Expression Language:* UGRule

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00590
- *Error Text:* Invalid message contents for CorporateActionGeneralInformation/EventType/Code. It must be WTRC.

*This constraint is defined at the MessageDefinition level.*

## **C13 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.

#### **C14 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

#### **C15 DeemedRate1Rule**

(Rule)

If DeemedRate is repeated, then DeemedRate/RateTypeAndAmountAndRateStatus/RateType/Code values and DeemedRate/RateTypeAndRate/RateType/Code values must all be different in each occurrence of DeemedRate.

(MT 564 NVR C8).

*Error handling:*

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

#### **C16 DeemedRate2Rule**

(Rule)

Only a single occurrence of either DeemedRate/Amount or DeemedRate/Rate or DeemedRate/NotSpecifiedRate may be present, only one of these elements may be present.

(MT 564 NVR C7).

*Error handling:*

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

#### **C17 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.

**C18 DescriptionUsageRule**

(Rule)

Description must be used alone as the last resort.

**C19 DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

**C20 DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

**C21 DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

**C22 DissenterRights1Rule**

(Rule)

If OfferType/Code value is equal to DISS (DissenterRights), then OfferType/Code value equal to NDIS (DissenterRightsNotApplicable) is not allowed in any occurrence of OfferType.

(MT 564 NVR C27) (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00561
- *Error Text:* Invalid message contents for OfferType. Either code value DISS or NDISS is allowed, not both.

**C23 DissenterRights1UGRule**

(Rule)

If OfferType/Code value is equal to DISS (DissenterRights), then OfferType/Code value equal to NDIS (DissenterRightsNotApplicable) is not allowed in any occurrence of OfferType.

(MT 564 NVR C27) (CrossElementComplexRule)

*Expression Language:* UGRule

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00592
- *Error Text:* Invalid message contents for OfferType. Either code value DISS or NDISS is allowed, not both.



---

## C24 DissenterRights2Rule

(Rule)

If OfferType/Code value is equal to NDISS (DissenterRightsNotApplicable), then OfferType/Code value equal to DISS (DissenterRights) is not allowed in any occurrence of OfferType.

(MT 564 NVR C27) (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00563
- *Error Text:* Invalid message contents for OfferType. Either code value DISS or NDISS is allowed, not both.

## C25 DissenterRights2UGRule

(Rule)

If OfferType/Code value is equal to NDIS (DissenterRightsNotApplicable), then OfferType/Code value equal to DISS (DissenterRights) is not allowed in any occurrence of OfferType.

(MT 564 NVR C27) (CrossElementComplexRule)

*Expression Language:* UGRule

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00591
- *Error Text:* Invalid message contents for OfferType. Either code value DISS or NDISS is allowed, not both.

## C26 EventTypeRule

(Rule)

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

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

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

## C27 ExemptionTypeUsageRule

(Rule)

The lists of exemption type codes to be used in ExemptionType are provided in the document "ETYP-ITYP Exemption & Income Type Codes" available on the SMPG website at [www.smpg.info](http://www.smpg.info).

---

*Error handling:*

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

**C28 ExemptionTypeUsageRule**

(Rule)

The lists of exemption type codes to be used in ExemptionType are provided in the document "ETYP-ITYP Exemption & Income Type Codes" available on the SMPG website at [www.smpg.info](http://www.smpg.info).

*Error handling:*

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

**C29 GenericCashPricePerProductGuideline**

(Guideline)

GenericCashPriceReceivedPerProduct and GenericCashPricePaidPerProduct are prices received or paid in the course of an event. The specific meaning (redemption price, subscription price, reinvestment price, etc.) is derived from the event type.

**C30 GenericCashPricePerProductGuideline**

(Guideline)

GenericCashPriceReceivedPerProduct and GenericCashPricePaidPerProduct are prices received or paid in the course of an event. The specific meaning (redemption price, subscription price, reinvestment price, ETC.) is derived from the event type.

**C31 GrossDividendRate2Rule**

(Rule)

If GrossDividendRate is repeated, then:

- RateTypeAndAmountAndRateStatus/RateType/Code values must all be different in each occurrence of GrossDividendRate.

(MT 564 NVR C8).

**C32 GrossDividendRate2Rule**

(Rule)

If GrossDividendRate is repeated, then:

- RateTypeAndAmountAndRateStatus/RateType/Code values must all be different in each occurrence of GrossDividendRate. (MT 564 NVR C8).

**C33 GrossDividendRate3Rule**

(Rule)

---

Only a single occurrence of either GrossDividendRate/Amount or GrossDividendRate/AmountAndRateStatus or GrossDividendRate/NotSpecifiedRate may be present, only one of these elements may be present. (MT 564 NVR C7).

**C34 GrossDividendRate3Rule**

(Rule)

Only a single occurrence of either GrossDividendRate/Amount or GrossDividendRate/AmountAndRateStatus or GrossDividendRate/NotSpecifiedRate may be present, and only one of these elements may be present.

(MT 564 NVR C7).

**C35 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.

**C36 IncentivePremiumEventType1Rule**

(Rule)

If Code value is equal to INCP (IncentivePremiumPayment) in CorporateActionDetails/AdditionalBusinessProcessIndicator, then CorporateActionGeneralInformation/EventType/Code value must be equal to CONS (Consent).

(MT 564 NVR C26) (CrossElementComplexRule)

On Condition

`/CorporateActionDetails/AdditionalBusinessProcessIndicator[*]/Code is equal to value 'IncentivePremiumPayment'`

Following Must be True

`/CorporateActionGeneralInformation/EventType/Code Must be equal to value 'Consent'`

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00539
- *Error Text:* Invalid message contents for EventType code in CorporateActionGeneralInformation since an Incentive Premium Payment is processed.

*This constraint is defined at the MessageDefinition level.*

**C37 IncentivePremiumEventTypeUG1Rule**

(Rule)

If Code value is equal to INCP (IncentivePremiumPayment) in any occurrence of CorporateActionDetails/AdditionalBusinessProcessIndicator, then CorporateActionGeneralInformation/EventType/Code value must be equal to CONS (Consent).

---

(MT 564 NVR C26) (CrossElementComplexRule)

if  
    at least one occurrence of [CorporateActionDetails/  
AdditionalBusinessProcessIndicator/Code] has value included in the following  
list 'INCP'  
    , then  
        every occurrence of [CorporateActionGeneralInformation/EventType/Code]  
must have value included in the following list 'CONS'

*Expression Language:* UGRule

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00588
- *Error Text:* Invalid message contents for EventType code in CorporateActionGeneralInformation since an Incentive Premium Payment is processed.

*This constraint is defined at the MessageDefinition level.*

**C38 IncomeType1Rule**

(Rule)

If at least one occurrence of OtherIncomeType is present, then IncomeType must be present. (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00544
- *Error Text:* Invalid message contents for IncomeType. Element must be present.

**C39 IncomeType2Rule**

(Rule)

If at least one occurrence of OtherIncomeType is present, then IncomeType must be present. (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00546
- *Error Text:* Invalid message contents for IncomeType. Element must be present.

**C40 IncomeTypeUsageRule**

(Rule)

The lists of income type codes to be used in IncomeType are provided in the document "ETYP-ITYP Exemption & Income Type Codes" available on the SMPG website at [www.smpg.info](http://www.smpg.info).

*Error handling:*

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

---

#### **C41 IncomeTypeUsageRule**

(Rule)

The lists of income type codes to be used in IncomeType are provided in the document "ETYP-ITYP Exemption & Income Type Codes" available on the SMPG website at [www.smpg.info](http://www.smpg.info).

*Error handling:*

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

#### **C42 InstructCashAmountRule**

(Rule)

If OptionFeatures/Code QCAS (InstructCashAmount) is not present, then any message elements in the list (PriceDetails/MaximumCashToInstruct, PriceDetails/MinimumCashToInstruct, PriceDetails/MinimumMutipleCashToInstruct) must not be present.

(MT564 NVR C20). (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00417
- *Error Text:* Invalid message content for OptionFeatures QCAS (Instruct Cash Amount)

#### **C43 IntermediateSecuritiesDistributionRule**

(Rule)

If CorporateActionGeneralInformation/EventType/Code is RHDI (IntermediateSecuritiesDistribution), then CorporateActionDetails/IntermediateSecuritiesDistributionType must be present.

(MT 564 NVR C11). (CrossElementComplexRule)

On Condition

    /CorporateActionGeneralInformation/EventType/Code is equal to value  
    'IntermediateSecuritiesDistribution'

Following Must be True

    /CorporateActionDetails Must be present

    And /CorporateActionDetails/IntermediateSecuritiesDistributionType Must  
    be present

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00172
- *Error Text:* Invalid message contents for IntermediateSecuritiesDistributionType in CorporateActionDetails. Element must be present.

*This constraint is defined at the MessageDefinition level.*

#### **C44 ISINGuideline**

(Rule)

---

When a ISIN code exist. It is strongly recommended that the ISIN be used.

**C45 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.

**C46 IssuerOfferorTaxabilityIndicatorUsageRule**

(Rule)

The IssuerOfferorTaxabilityIndicator may only be used when no tax rate is provided in the message and it must not be used in events such as dividend or interest.

The list of proprietary IssuerOfferorTaxabilityIndicator codes that may be used are provided in the document " TXAP Taxability Codes" available on the SMPG website at [www.smpg.info](http://www.smpg.info).

**C47 IssuerOfferorTaxabilityIndicatorUsageRule**

(Rule)

The IssuerOfferorTaxabilityIndicator may only be used when no tax rate is provided in the message and it must not be used in events such as dividend or interest.

The list of proprietary IssuerOfferorTaxabilityIndicator codes that may be used are provided in the document " TXAP Taxability Codes" available on the SMPG website at [www.smpg.info](http://www.smpg.info).

**C48 MaturityDateRule**

(Rule)

Maturity date may only provide generic information about the final maturity of the underlying instrument.

**C49 MaturityDateRule**

(Rule)

Maturity date may only provide generic information about the final maturity of the underlying instrument.

**C50 NetDividendRate1Rule**

(Rule)

If NetDividendRate is repeated, then RateTypeAndAmountAndRateStatus/RateType/Code values must all be different in each occurrence of NetDividendRate. (MT 564 NVR C8).

**C51 NetDividendRate1Rule**

(Rule)

If NetDividendRate is repeated, then:

- RateTypeAndAmountAndRateStatus/RateType/Code values must all be different in each occurrence of NetDividendRate. (MT 564 NVR C8).

---

**C52 NetDividendRate2Rule**

(Rule)

Only a single occurrence of either NetDividendRate/Amount or NetDividendRate/AmountAndRateStatus or NetDividendRate/NotSpecifiedRate may be present, and only one of these elements may be present. (MT 564 NVR C7).

**C53 NetDividendRate2Rule**

(Rule)

Only a single occurrence of either NetDividendRate/Amount or NetDividendRate/AmountAndRateStatus or NetDividendRate/NotSpecifiedRate may be present, and only one of these elements may be present.

(MT 564 NVR C7).

**C54 OfficialCorporateActionEventReference**

(Rule)

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

available in the SMPG Global Market Practices Part 1 document on [www.smpg.info](http://www.smpg.info).

**C55 OptionNumberGuideline**

(Guideline)

For differentiation between options, it is recommended to use the OptionNumber rather than the OptionType, for example, in the case where two or more offers can be described by the same corporate action option code.

**C56 OtherEventRule**

(Rule)

If CorporateActionGeneralInformation/EventType/Code is OTHR (Other), then at least one occurrence of AdditionalInformation/AdditionalText/AdditionalInformation must be present.

(MT564 NVR C4). (CrossElementComplexRule)

On Condition

    /CorporateActionGeneralInformation/EventType/Code is present

    And /CorporateActionGeneralInformation/EventType/Code is equal to value 'OtherEvent'

Following Must be True

    /AdditionalInformation Must be present

    And /AdditionalInformation/AdditionalText Must be present

    And /AdditionalInformation/AdditionalText/AdditionalInformation[1] Must be present

*Error handling:*

– *Error severity:* Fatal

– *Error Code:* X00171

– *Error Text:* Invalid message content for AdditionalInformation. AdditionalInformation/additionalText must be present.

*This constraint is defined at the MessageDefinition level.*

---

**C57 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.

**C58 PreviousNextFactorRule**

(Rule)

In case of partial redemption by pool factor, PreviousFactor provides the factor applicable before redemption and NextFactor provides the factor applicable after redemption.

**C59 PreviousNextFactorRule**

(Rule)

In case of partial redemption by pool factor, PreviousFactor provides the factor applicable before redemption and NextFactor provides the factor applicable after redemption.

**C60 RateAndCorporateActionEventRule**

(Rule)

If CorporateActionMovementDetails/RateAndAmountDetails/GrossDividendRate/NotSpecifiedRate Code value or CorporateActionMovementDetails/RateAndAmountDetails/InterestRateUsedForPayment/NotSpecifiedRate Code value is NILP (Nil Payment), then CorporateActionGeneralInformation/EventType/Code must be either DVCA (CashDividend) or INTR (InterestPayment).

If CorporateActionMovementDetails/CashMovementDetails/RateAndAmountDetails/GrossDividendRate/NotSpecifiedRate Code value or CorporateActionMovementDetails/CashMovementDetails/RateAndAmountDetails/InterestRateUsedForPayment/NotSpecifiedRate Code value is NILP (Nil Payment), then CorporateActionGeneralInformation/EventType/Code must be either DVCA (CashDividend) or INTR (InterestPayment).

*This constraint is defined at the MessageDefinition level.*

**C61 RateStatusGuideline**

(Guideline)

The code value ACTU is the default value for a rate status.

**C62 RevocabilityPeriodRule**

(Rule)

If WithdrawalAllowedIndicator or ChangeAllowedIndicator is present and is 'true' or '1' (Yes), then PeriodDetails/RevocabilityPeriod must be present to indicate the period during which the change or withdrawal of instruction is allowed.

**C63 SafekeepingAccount1Rule**

(Rule)



If AccountDetails/ForAllAccounts/IdentificationCode value is GENR (General), then any element in the list (MinimumNominalQuantity, MinimumExercisableQuantity, MinimumExercisableMultipleQuantity, ContractSize) must not be present in any occurrences of CorporateActionMovementDetails/SecuritiesMovementDetails/SecurityDetails;

(MT564 Rule C2 - part 1). (CrossElementComplexRule)

On Condition

    /AccountDetails/ForAllAccounts is present

    And /AccountDetails/ForAllAccounts/IdentificationCode is equal to value 'General'

Following Must be True

    /CorporateActionMovementDetails[\*]/SecuritiesMovementDetails[\*]/

SecurityDetails/MinimumNominalQuantity Must be absent

    And /CorporateActionMovementDetails[\*]/SecuritiesMovementDetails[\*]/

SecurityDetails/MinimumQuantityToInstruct Must be absent

    And /CorporateActionMovementDetails[\*]/SecuritiesMovementDetails[\*]/

SecurityDetails/MinimumMultipleQuantityToInstruct Must be absent

    And /CorporateActionMovementDetails[\*]/SecuritiesMovementDetails[\*]/

SecurityDetails/ContractSize Must be absent

*Error handling:*

– *Error severity:* Fatal

– *Error Code:* X00169

– *Error Text:* Invalid message content for CorporateActionMovementDetails

*This constraint is defined at the MessageDefinition level.*

#### **C64 SafekeepingAccount2Rule**

(Rule)

If AccountDetails/ForAllAccounts/IdentificationCode value is GENR (General), then AmountDetails must not be present in any occurrences of CorporateActionMovementDetails/CashMovementDetails.

(MT564 Rule C2 - part 2). (CrossElementComplexRule)

On Condition

    /AccountDetails/ForAllAccounts is present

    And /AccountDetails/ForAllAccounts/IdentificationCode is equal to value 'General'

Following Must be True

    /CorporateActionMovementDetails[\*]/CashMovementDetails[\*]/AmountDetails Must be absent

*Error handling:*

– *Error severity:* Fatal

– *Error Code:* X00170

– *Error Text:* Invalid message content for CorporateActionMovementDetails

*This constraint is defined at the MessageDefinition level.*

#### **C65 SafekeepingAccountOrBlockChainAddress1Rule**

(Rule)

Either SafekeepingAccount or BlockChainAddressOrWallet must be present but not both. (CrossElementSimpleRule)

---

*Error handling:*

- *Error severity:* Warning
- *Error Code:* X00551
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

**C66 SafekeepingAccountOrBlockChainAddress2Rule**

(Rule)

If BlockchainAddressOrWallet is present then SafekeepingAccount must be absent. (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00565
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

**C67 SafekeepingAccountOrBlockChainAddress3Rule**

(Rule)

If SafekeepingAccount is present, then BlockchainAddressOrWallet must be absent. (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00566
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

**C68 SafekeepingPlaceRule**

(Rule)

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

**C69 SecondLevelTax1Rule**

(Rule)

If SecondLevelTax is repeated, then SecondLevelTax/RateTypeAndRate/RateType/Code values must all be different in each occurrence of SecondLevelTax.

(MT 564 NVR C8).

*Error handling:*

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

---

**C70 SecondLevelTax1Rule**

(Rule)

If SecondLevelTax is repeated, then SecondLevelTax/RateTypeAndRate/RateType/Code values must all be different in each occurrence of SecondLevelTax.

(MT 564 NVR C8).

*Error handling:*

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

**C71 SecondLevelTax2Rule**

(Rule)

Only a single occurrence of either SecondLevelTax/Amount or SecondLevelTax/Rate or SecondLevelTax/NotSpecifiedRate may be present, only one of these elements may be present.

(MT 564 NVR C7).

*Error handling:*

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

**C72 SecondLevelTax2Rule**

(Rule)

Only a single occurrence of either SecondLevelTax/Amount or SecondLevelTax/Rate or SecondLevelTax/NotSpecifiedRate may be present, only one of these elements may be present.

(MT 564 NVR C7).

*Error handling:*

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

**C73 SecondLevelTax3Rule**

(Rule)

If at least one occurrence of SecondLevelTax is present, then at least one occurrence of WithholdingTaxRate must be present. (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00386

- 
- *Error Text:* Invalid message contents for WithholdingTaxRate. It should be present.

**C74 SecondLevelTax3Rule**

(Rule)

If at least one occurrence of SecondLevelTax is present, then at least one occurrence of WithholdingTaxRate must be present. (MT 564 NVR C19). (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00388
- *Error Text:* Invalid message contents for WithholdingTaxRate. It should be present.

**C75 ShortLongNumberRule**

(Rule)

ShortNumber must contain the FIN message type number of the linked message. LongNumber must contain the XML message identifier of the linked message.

**C76 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.

**C77 WithholdingTaxRate1Rule**

(Rule)

If WithholdingTaxRate is repeated, then WithholdingTaxRate/RateTypeAndRate/RateType/Code values must all be different in each occurrence of WithholdingTaxRate.

(MT 564 NVR C8).

*Error handling:*

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

**C78 WithholdingTaxRate1Rule**

(Rule)

If WithholdingTaxRate is repeated, then WithholdingTaxRate/RateTypeAndRate/RateType/Code values must all be different in each occurrence of WithholdingTaxRate.

(MT 564 NVR C8).

*Error handling:*

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

---

### **C79 WithholdingTaxRate2Rule**

(Rule)

Only a single occurrence of either WithholdingTaxRate/Amount or WithholdingTaxRate/Rate or WithholdingTaxRate/NotSpecifiedRate may be present, only one of these elements may be present.

(MT 564 NVR C7).

*Error handling:*

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

### **C80 WithholdingTaxRate2Rule**

(Rule)

Only a single occurrence of either WithholdingTaxRate/Amount or WithholdingTaxRate/Rate or WithholdingTaxRate/NotSpecifiedRate may be present, only one of these elements may be present.

(MT 564 NVR C7).

*Error handling:*

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

### **C81 WithLinkageRule**

(Rule)

If Code WITH is used, then the one or more instruction which are linked become bound and which must be executed together. Even if one single transactions/instructions/notifications can not be executed, then all the other transactions/instructions/notifications must also be kept pending. Therefore the use of code WITH must be limited to combine up to 2 or 3 transactions/instructions/notifications.

## **7.4 Message Building Blocks**

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### **7.4.1 Pagination <Pgntn>**

*Presence:* [0..1]

*Definition:* Page number of the message and continuation indicator to indicate that the multi-part preliminary advice is to continue or that the message is the last page of the multi-part preliminary advice.

**Pagination <Pgntn>** contains the following elements (see [Pagination1](#) on page 1018 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		1018
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		1018

## 7.4.2 MovementPreliminaryAdviceGeneralInformation <MvmntPrlimryAdvGnllnf>

*Presence:* [1..1]

*Definition:* General information about the movement preliminary advice document.

**MovementPreliminaryAdviceGeneralInformation <MvmntPrlimryAdvGnllnf>** contains the following **CorporateActionPreliminaryAdviceType3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Type</b> <Tp>	[1..1]	CodeSet		382
	<b>Function</b> <Fctn>	[1..1]	CodeSet		382

### 7.4.2.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of movement preliminary advice, for example. new or replacement.

*Datatype:* [CorporateActionPreliminaryAdviceType1Code](#) on page 1307

CodeName	Name	Definition
NEWM	New	New movement preliminary advice.
REPL	Replacement	Movement preliminary advice replacing a previously sent preliminary advice.

### 7.4.2.2 Function <Fctn>

*Presence:* [1..1]

*Definition:* Specifies whether the message advises about the final eligible balance and entitlements or about an upcoming posting or reversal of securities and/or cash postings.

*Datatype:* [CorporateActionMovementPreliminaryAdviceFunction1Code](#) on page 1299

CodeName	Name	Definition
ENTL	Entitlement	Message is an entitlement.
CAPA	PreadviceOfMovement	Message is a preadvice of movement.

## 7.4.3 PreviousMovementPreliminaryAdviceIdentification <PrvsMvmntPrlimryAdvId>

*Presence:* [0..1]

*Definition:* Identification of the previously sent movement preliminary advice document.

**PreviousMovementPreliminaryAdviceIdentification <PrvsMvmntPrlimryAdvclId>** contains the following elements (see [DocumentIdentification37](#) on page 892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		893
	LinkageType <LkgTp>	[0..1]	±	C32	893

## 7.4.4 NotificationIdentification <NtfctnId>

*Presence:* [0..1]

*Definition:* Identification of a previously sent notification document.

**NotificationIdentification <NtfctnId>** contains the following elements (see [DocumentIdentification37](#) on page 892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		893
	LinkageType <LkgTp>	[0..1]	±	C32	893

## 7.4.5 MovementConfirmationIdentification <MvmntConfld>

*Presence:* [0..1]

*Definition:* Identification of a previously sent movement confirmation document.

**MovementConfirmationIdentification <MvmntConfld>** contains the following elements (see [DocumentIdentification37](#) on page 892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		893
	LinkageType <LkgTp>	[0..1]	±	C32	893

## 7.4.6 InstructionIdentification <Instrld>

*Presence:* [0..1]

*Definition:* Identification of a related instruction document.

**InstructionIdentification <Instrld>** contains the following elements (see [DocumentIdentification17](#) on page 897 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		898

## 7.4.7 OtherDocumentIdentification <OthrDocld>

*Presence:* [0..\*]

*Definition:* Identification of other documents as well as the document number.

**OtherDocumentIdentification <OthrDocId>** contains the following elements (see [DocumentIdentification38](#) on page 895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			896
{Or	AccountServicerDocumentIdentification <AcctSvcrDocId>	[1..1]	Text		896
Or}	AccountOwnerDocumentIdentification <AcctOwnrDocId>	[1..1]	Text		896
	DocumentNumber <DocNb>	[0..1]	±	C6	896
	LinkageType <LkgTp>	[0..1]	±	C32	897

## 7.4.8 EventsLinkage <EvtsLkg>

*Presence:* [0..\*]

*Definition:* Identification of another corporate action event that needs to be closely linked to the processing of the event notified in this document.

**EventsLinkage <EvtsLkg>** contains the following elements (see [CorporateActionEventReference4](#) on page 1072 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	EventIdentification <EvtId>	[1..1]			1072
{Or	LinkedOfficialCorporateActionEventIdentification <LkdOffclCorpActnEvtId>	[1..1]	Text		1072
Or}	LinkedCorporateActionIdentification <LkdCorpActnId>	[1..1]	Text		1072
	LinkageType <LkgTp>	[0..1]	±	C32	1072

## 7.4.9 ReversalReason <RvslRsn>

*Presence:* [0..1]

*Definition:* Reason for the reversal.

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

**ReversalReason <RvslRsn>** contains the following **CorporateActionReversalReason6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Reason</b> <Rsn>	[1..1]			385
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		385
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		385
	<b>AdditionalReasonInformation</b> <AddtlRsnInf>	[0..1]	Text		386



**Constraints**

- **AdditionalReasonInformationRule**

(Rule)

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

**7.4.9.1 Reason <Rsn>**

*Presence:* [1..1]

*Definition:* Specifies the reason for the reversal.

**Reason <Rsn>** contains one of the following **CorporateActionReversalReason6Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		385
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		385

**7.4.9.1.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Standard code to specify the reason for the reversal.

*Datatype:* [CorporateActionReversalReason2Code](#) on page 1307

CodeName	Name	Definition
DCBD	DayCountBasisDifference	Difference in day count basis.
FNRC	FundsNotReceived	Funds have not been received.
IREDD	IncorrectEntitlementDate	Entitlement date is incorrect.
IETR	IncorrectEventLevelTaxRate	Event level tax rate is incorrect.
IPCU	IncorrectPaymentCurrency	Payment currency is incorrect.
IPRI	IncorrectPrice	Price is incorrect.
IVAD	IncorrectValueDate	Value date is incorrect.
POCS	PaymentOutsideClearingSystem	Payment will occur outside of clearing system.
UPAY	UnduePayment	Payment is not due.

**7.4.9.1.2 Proprietary <Prtry>**

*Presence:* [1..1]

*Definition:* Proprietary identification for the reason of the reversal.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 7.4.9.2 AdditionalReasonInformation <AddtlRsnInf>

*Presence:* [0..1]

*Definition:* Provides additional information about the processed instruction.

*Datatype:* [RestrictedFINXMax256Text](#) on page 1352

### 7.4.10 CorporateActionGeneralInformation <CorpActnGnllnf>

*Presence:* [1..1]

*Definition:* General information about the corporate action event.

*Impacted by:* [C54 OfficialCorporateActionEventReference](#)

**CorporateActionGeneralInformation <CorpActnGnllnf>** contains the following **CorporateActionGeneralInformation168** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CorporateActionEventIdentification</b> <CorpActnEvtld>	[1..1]	Text		387
	<b>OfficialCorporateActionEventIdentification</b> <OffclCorpActnEvtld>	[0..1]	Text		387
	<b>ClassActionNumber</b> <ClssActnNb>	[0..1]	Text		387
	<b>EventProcessingType</b> <EvtPrcgTp>	[0..1]	±		387
	<b>EventType</b> <EvtTp>	[1..1]	±	C26	387
	<b>MandatoryVoluntaryEventType</b> <MndtryVlntryEvtTp>	[1..1]	±		388
	<b>UnderlyingSecurity</b> <UndrlygScty>	[1..1]	±	C48, C58	388

#### Constraints

- **OfficialCorporateActionEventReference**

(Rule)

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

available in the SMPG Global Market Practices Part 1 document on [www.smpg.info](http://www.smpg.info).

#### 7.4.10.1 CorporateActionEventIdentification <CorpActnEvtId>

*Presence:* [1..1]

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

*Datatype:* [RestrictedFINXMax16Text on page 1352](#)

#### 7.4.10.2 OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>

*Presence:* [0..1]

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

*Datatype:* [RestrictedFINXMax16Text on page 1352](#)

#### 7.4.10.3 ClassActionNumber <ClsActnNb>

*Presence:* [0..1]

*Definition:* Reference assigned by a court to a class action.

*Datatype:* [RestrictedFINXMax16Text on page 1352](#)

#### 7.4.10.4 EventProcessingType <EvtPrcgTp>

*Presence:* [0..1]

*Definition:* Type of processing involved by a corporate action.

**EventProcessingType <EvtPrcgTp>** contains one of the following elements (see [CorporateActionEventProcessingType3Choice on page 1071](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1071
Or}	Proprietary <Prtry>	[1..1]	±		1071

#### 7.4.10.5 EventType <EvtTp>

*Presence:* [1..1]

*Definition:* Type of corporate action event.

*Impacted by:* [C26 EventTypeRule](#)

**EventType <EvtTp>** contains one of the following elements (see [CorporateActionEventType97Choice on page 988](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		989
Or}	Proprietary <Prtry>	[1..1]	±		995

**Constraints**

- **EventTypeRule**

(Rule)

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

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

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

**7.4.10.6 MandatoryVoluntaryEventType <MndtryVlntryEvtTp>**

*Presence:* [1..1]

*Definition:* Specifies whether the event is mandatory, mandatory with options or voluntary.

**MandatoryVoluntaryEventType <MndtryVlntryEvtTp>** contains one of the following elements (see [CorporateActionMandatoryVoluntary4Choice](#) on page 1070 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1070
Or}	Proprietary <Prtry>	[1..1]	±		1070

**7.4.10.7 UnderlyingSecurity <UndrlygScty>**

*Presence:* [1..1]

*Definition:* Security concerned by the corporate action.

*Impacted by:* [C48 MaturityDateRule](#), [C58 PreviousNextFactorRule](#)

**UnderlyingSecurity <UndrlygScty>** contains the following elements (see [FinancialInstrumentAttributes114](#) on page 928 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C12, C13, C19, C20, C23	930
	PlaceOfListing <PlcOfListg>	[0..1]	±		931
	DayCountBasis <DayCntBsis>	[0..1]	±		931
	ClassificationType <ClssfctnTp>	[0..1]	±		932
	OptionStyle <OptnStyle>	[0..1]	±		932
	DenominationCurrency <DnmtnCcy>	[0..1]	CodeSet	C2	932
	NextCouponDate <NxtCpnDt>	[0..1]	Date		933
	ExpiryDate <XpryDt>	[0..1]	Date		933
	FloatingRateFixingDate <FltgRateFvgDt>	[0..1]	Date		933
	MaturityDate <MtrtyDt>	[0..1]	Date		933
	IssueDate <IsseDt>	[0..1]	Date		933
	NextCallableDate <NxtClblDt>	[0..1]	Date		933
	PutableDate <PutblDt>	[0..1]	Date		933
	DatedDate <DtdDt>	[0..1]	Date		934
	ConversionDate <ConvsDt>	[0..1]	Date		934
	InterestRate <IntrstRate>	[0..1]	±		934
	NextInterestRate <NxtIntrstRate>	[0..1]	±		934
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	±		934
	PreviousFactor <PrvsFctr>	[0..1]	±		935
	NextFactor <NxtFctr>	[0..1]	±		935
	WarrantParity <WarrtParity>	[0..1]	±		935
	MinimumNominalQuantity <MinNmnlQty>	[0..1]	±	C14	935
	ContractSize <CtrctSz>	[0..1]	±	C14	936

**Constraints**

- **MaturityDateRule**  
 (Rule)

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Maturity date may only provide generic information about the final maturity of the underlying instrument.

- **PreviousNextFactorRule**

(Rule)

In case of partial redemption by pool factor, PreviousFactor provides the factor applicable before redemption and NextFactor provides the factor applicable after redemption.

## 7.4.11 **AccountDetails <AcctDtls>**

*Presence:* [1..1]

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

**AccountDetails <AcctDtls>** contains one of the following **AccountIdentification52Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>ForAllAccounts</b> <ForAllAccts>	[1..1]	±		391
Or}	<b>AccountsListAndBalanceDetails</b> <AcctsListAndBalDtls>	[1..*]		C65, C66, C67, C68	392
	<b>SafekeepingAccount</b> <SfkpgAcct>	[0..1]	Text		394
	<b>BlockChainAddressOrWallet</b> <BlckChainAdrOrWlt>	[0..1]	Text		395
	<b>AccountOwner</b> <AcctOwnr>	[0..1]	±		395
	<b>SafekeepingPlace</b> <SfkpgPlc>	[0..1]	±		395
	<b>Balance</b> <Bal>	[0..1]		C7	395
	<b>TotalEligibleBalance</b> <TtlElgblBal>	[0..1]	±		396
	<b>BlockedBalance</b> <BlckdBal>	[0..1]	±		397
	<b>BorrowedBalance</b> <BrrwdBal>	[0..1]	±		397
	<b>CollateralInBalance</b> <CollInBal>	[0..1]	±		397
	<b>CollateralOutBalance</b> <CollOutBal>	[0..1]	±		398
	<b>OnLoanBalance</b> <OnLnBal>	[0..1]	±		398
	<b>PendingDeliveryBalance</b> <PdgDivryBal>	[0..*]	±		398
	<b>PendingReceiptBalance</b> <PdgRctBal>	[0..*]	±		399
	<b>OutForRegistrationBalance</b> <OutForRegnBal>	[0..1]	±		399
	<b>SettlementPositionBalance</b> <SttlmPosBal>	[0..*]	±		399
	<b>StreetPositionBalance</b> <StrtPosBal>	[0..1]	±		400
	<b>TradeDatePositionBalance</b> <TradDtPosBal>	[0..1]	±		400
	<b>InTransshipmentBalance</b> <InTrnsShipmntBal>	[0..1]	±		400
	<b>RegisteredBalance</b> <RegdBal>	[0..1]	±		401
	<b>ObligatedBalance</b> <OblgtdBal>	[0..1]	±		401
	<b>UninstructedBalance</b> <UinstdBal>	[0..1]	±		401
	<b>InstructedBalance</b> <InstdBal>	[0..1]	±		402
	<b>AffectedBalance</b> <AfctdBal>	[0..1]	±		402
	<b>UnaffectedBalance</b> <UafctdBal>	[0..1]	±		402

#### 7.4.11.1 ForAllAccounts <ForAllAccts>

*Presence:* [1..1]

*Definition:* All safekeeping accounts that own an underlying financial instrument.

**ForAllAccounts <ForAllAccts>** contains the following elements (see [AccountIdentification10](#) on page 868 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IdentificationCode <IdCd>	[1..1]	CodeSet		868

#### 7.4.11.2 AccountsListAndBalanceDetails <AcctsListAndBalDtls>

*Presence:* [1..\*]

*Definition:* Selected safekeeping accounts list (and optionally balance information) to which the corporate action event applies.

*Impacted by:* [C65 SafekeepingAccountOrBlockChainAddress1Rule](#), [C66 SafekeepingAccountOrBlockChainAddress2Rule](#), [C67 SafekeepingAccountOrBlockChainAddress3Rule](#), [C68 SafekeepingPlaceRule](#)



**AccountsListAndBalanceDetails <AcctsListAndBalDtls>** contains the following **AccountAndBalance53** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>SafekeepingAccount</b> <SfkpgAcct>	[0..1]	Text		394
	<b>BlockChainAddressOrWallet</b> <BlckChainAdrOrWllet>	[0..1]	Text		395
	<b>AccountOwner</b> <AcctOwnr>	[0..1]	±		395
	<b>SafekeepingPlace</b> <SfkpgPlc>	[0..1]	±		395
	<b>Balance</b> <Bal>	[0..1]		C7	395
	<b>TotalEligibleBalance</b> <TtlElgblBal>	[0..1]	±		396
	<b>BlockedBalance</b> <BlckdBal>	[0..1]	±		397
	<b>BorrowedBalance</b> <BrrwdBal>	[0..1]	±		397
	<b>CollateralInBalance</b> <CollInBal>	[0..1]	±		397
	<b>CollateralOutBalance</b> <CollOutBal>	[0..1]	±		398
	<b>OnLoanBalance</b> <OnLnBal>	[0..1]	±		398
	<b>PendingDeliveryBalance</b> <PdgDivryBal>	[0..*]	±		398
	<b>PendingReceiptBalance</b> <PdgRctBal>	[0..*]	±		399
	<b>OutForRegistrationBalance</b> <OutForRegnBal>	[0..1]	±		399
	<b>SettlementPositionBalance</b> <SttlmPosBal>	[0..*]	±		399
	<b>StreetPositionBalance</b> <StrtPosBal>	[0..1]	±		400
	<b>TradeDatePositionBalance</b> <TradDtPosBal>	[0..1]	±		400
	<b>InTransshipmentBalance</b> <InTrnsShipmntBal>	[0..1]	±		400
	<b>RegisteredBalance</b> <RegdBal>	[0..1]	±		401
	<b>ObligatedBalance</b> <OblgtdBal>	[0..1]	±		401
	<b>UninstructedBalance</b> <UinstdBal>	[0..1]	±		401
	<b>InstructedBalance</b> <InstdBal>	[0..1]	±		402
	<b>AffectedBalance</b> <AfctdBal>	[0..1]	±		402
	<b>UnaffectedBalance</b> <UafctdBal>	[0..1]	±		402

**Constraints**

- **SafekeepingAccountOrBlockChainAddress1Rule**

(Rule)

Either SafekeepingAccount or BlockChainAddressOrWallet must be present but not both.

Following Must be True

    /SafekeepingAccount Must be present

Or     /BlockChainAddressOrWallet Must be present

*Error handling:*

- *Error severity:* Warning
- *Error Code:* X00551
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

- **SafekeepingAccountOrBlockChainAddress2Rule**

(Rule)

If BlockchainAddressOrWallet is present then SafekeepingAccount must be absent.

On Condition  
    /BlockchainAddressOrWallet is present  
Following Must be True  
    /SafekeepingAccount Must be absent

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00565
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

- **SafekeepingAccountOrBlockChainAddress3Rule**

(Rule)

If SafekeepingAccount is present, then BlockchainAddressOrWallet must be absent.

On Condition  
    /SafekeepingAccount is present  
Following Must be True  
    /BlockchainAddressOrWallet Must be absent

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00566
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

- **SafekeepingPlaceRule**

(Rule)

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

#### 7.4.11.2.1 SafekeepingAccount <SfkpgAcct>

*Presence:* [0..1]

*Definition:* Account where financial instruments are maintained.

*Datatype:* RestrictedFINXMax35Text on page 1354

#### 7.4.11.2.2 BlockChainAddressOrWallet <BlckChainAdrOrWllt>

*Presence:* [0..1]

*Definition:* Blockchain address or wallet where digital assets are maintained. This is the equivalent of safekeeping account for digital assets.

*Datatype:* [RestrictedFINXMax140Text on page 1352](#)

#### 7.4.11.2.3 AccountOwner <AcctOwnr>

*Presence:* [0..1]

*Definition:* Party that legally owns the account.

**AccountOwner <AcctOwnr>** contains one of the following elements (see [PartyIdentification136Choice on page 1091](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1091
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1091

#### 7.4.11.2.4 SafekeepingPlace <SfkpgPlc>

*Presence:* [0..1]

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

**SafekeepingPlace <SfkpgPlc>** contains one of the following elements (see [SafekeepingPlaceFormat32Choice on page 1216](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]	±		1216
Or	Country <Ctry>	[1..1]	CodeSet	C3	1216
Or	TypeAndIdentification <TpAndId>	[1..1]			1217
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		1217
	Identification <Id>	[1..1]	IdentifierSet	C1	1217
Or}	Proprietary <Prtry>	[1..1]	±		1218

#### 7.4.11.2.5 Balance <Bal>

*Presence:* [0..1]

*Definition:* Provides information about balance related to a corporate action.

*Impacted by:* [C7 AffectedAndUnaffectedBalanceRule](#)

**Balance <Bal>** contains the following **CorporateActionBalanceDetails46** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TotalEligibleBalance</b> <TtlElgblBal>	[0..1]	±		396
	<b>BlockedBalance</b> <BlckdBal>	[0..1]	±		397
	<b>BorrowedBalance</b> <BrrwdBal>	[0..1]	±		397
	<b>CollateralInBalance</b> <CollInBal>	[0..1]	±		397
	<b>CollateralOutBalance</b> <CollOutBal>	[0..1]	±		398
	<b>OnLoanBalance</b> <OnLnBal>	[0..1]	±		398
	<b>PendingDeliveryBalance</b> <PdgDlvryBal>	[0..*]	±		398
	<b>PendingReceiptBalance</b> <PdgRctBal>	[0..*]	±		399
	<b>OutForRegistrationBalance</b> <OutForRegnBal>	[0..1]	±		399
	<b>SettlementPositionBalance</b> <SttlmPosBal>	[0..*]	±		399
	<b>StreetPositionBalance</b> <StrtPosBal>	[0..1]	±		400
	<b>TradeDatePositionBalance</b> <TradDtPosBal>	[0..1]	±		400
	<b>InTransshipmentBalance</b> <InTrnsShipmntBal>	[0..1]	±		400
	<b>RegisteredBalance</b> <RegdBal>	[0..1]	±		401
	<b>ObligatedBalance</b> <OblgtdBal>	[0..1]	±		401
	<b>UninstructedBalance</b> <UinstdBal>	[0..1]	±		401
	<b>InstructedBalance</b> <InstdBal>	[0..1]	±		402
	<b>AffectedBalance</b> <AfctdBal>	[0..1]	±		402
	<b>UnaffectedBalance</b> <UafctdBal>	[0..1]	±		402

**Constraints**

- **AffectedAndUnaffectedBalanceRule**

(Rule)

UnaffectedBalance and AffectedBalance should only be mentioned as a result of the process that was run through the event. For instance lottery results, Dutch auction results or tender offer results.

**7.4.11.2.5.1 TotalEligibleBalance <TtlElgblBal>**

*Presence:* [0..1]

*Definition:* Total balance of securities eligible for this corporate action event. The entitlement calculation is based on this balance.

**TotalEligibleBalance <TtlElgblBal>** contains the following elements (see [TotalEligibleBalanceFormat11](#) on page 869 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Balance <Bal>	[0..1]	±		869
	FullPeriodUnits <FullPrdUnits>	[0..1]	±		870
	PartWayPeriodUnits <PartWayPrdUnits>	[0..1]	±		870

#### 7.4.11.2.5.2 BlockedBalance <BlckdBal>

*Presence:* [0..1]

*Definition:* Balance of financial instruments that are blocked.

**BlockedBalance <BlckdBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 7.4.11.2.5.3 BorrowedBalance <BrrwdBal>

*Presence:* [0..1]

*Definition:* Balance of financial instruments that have been borrowed from another party.

**BorrowedBalance <BrrwdBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 7.4.11.2.5.4 CollateralInBalance <CollnBal>

*Presence:* [0..1]

*Definition:* Balance of securities that belong to a third party and that are held for the purpose of collateralisation.

**CollateralInBalance <CollInBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 7.4.11.2.5.5 CollateralOutBalance <CollOutBal>

*Presence:* [0..1]

*Definition:* 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.

**CollateralOutBalance <CollOutBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 7.4.11.2.5.6 OnLoanBalance <OnLnBal>

*Presence:* [0..1]

*Definition:* Balance of financial instruments that have been loaned to a third party.

**OnLoanBalance <OnLnBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 7.4.11.2.5.7 PendingDeliveryBalance <PdgDlvryBal>

*Presence:* [0..\*]

*Definition:* Balance of financial instruments that are pending delivery.

**PendingDeliveryBalance <PdgDivryBal>** contains one of the following elements (see [BalanceFormat16Choice](#) on page 870 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		871
Or	EligibleBalance <ElgblBal>	[1..1]	±		871
Or	NotEligibleBalance <NotElgblBal>	[1..1]	±		871
Or	FullPeriodUnits <FullPrdUnits>	[1..1]	±		872
Or}	PartWayPeriodUnits <PartWayPrdUnits>	[1..1]	±		872

#### 7.4.11.2.5.8 PendingReceiptBalance <PdgRctBal>

*Presence:* [0..\*]

*Definition:* Balance of financial instruments that are pending receipt.

**PendingReceiptBalance <PdgRctBal>** contains one of the following elements (see [BalanceFormat16Choice](#) on page 870 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		871
Or	EligibleBalance <ElgblBal>	[1..1]	±		871
Or	NotEligibleBalance <NotElgblBal>	[1..1]	±		871
Or	FullPeriodUnits <FullPrdUnits>	[1..1]	±		872
Or}	PartWayPeriodUnits <PartWayPrdUnits>	[1..1]	±		872

#### 7.4.11.2.5.9 OutForRegistrationBalance <OutForRegnBal>

*Presence:* [0..1]

*Definition:* Balance of financial instruments currently being processed by the institution responsible for registering the new beneficial owner (or nominee).

**OutForRegistrationBalance <OutForRegnBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 7.4.11.2.5.10 SettlementPositionBalance <SttlmPosBal>

*Presence:* [0..\*]

*Definition:* Balance of securities representing only settled transactions; pending transactions not included.

**SettlementPositionBalance <SttlmPosBal>** contains one of the following elements (see [BalanceFormat16Choice](#) on page 870 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		871
Or	EligibleBalance <ElgblBal>	[1..1]	±		871
Or	NotEligibleBalance <NotElgblBal>	[1..1]	±		871
Or	FullPeriodUnits <FullPrdUnits>	[1..1]	±		872
Or}	PartWayPeriodUnits <PartWayPrdUnits>	[1..1]	±		872

#### 7.4.11.2.5.11 StreetPositionBalance <StrtPosBal>

*Presence:* [0..1]

*Definition:* Balance of financial instruments that remain registered in the name of the prior beneficial owner.

**StreetPositionBalance <StrtPosBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 7.4.11.2.5.12 TradeDatePositionBalance <TradDtPosBal>

*Presence:* [0..1]

*Definition:* Balance of securities based on trade date, for example, includes all pending transactions in addition to the balance of settled transactions.

**TradeDatePositionBalance <TradDtPosBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 7.4.11.2.5.13 InTransshipmentBalance <InTrnsShpmtBal>

*Presence:* [0..1]

*Definition:* Balance of physical securities that are in the process of being transferred from one depository/agent to another.



**InTransshipmentBalance <InTrnsShipmntBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 7.4.11.2.5.14 RegisteredBalance <RegdBal>

*Presence:* [0..1]

*Definition:* Balance of financial instruments that are registered (in the name of a nominee name or of the beneficial owner).

**RegisteredBalance <RegdBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 7.4.11.2.5.15 ObligatedBalance <OblgtdBal>

*Presence:* [0..1]

*Definition:* Position that account holders should return to the account servicer to participate in the event or to fulfil their obligation for the event to be complete, for example, return of securities for late announced drawing.

**ObligatedBalance <OblgtdBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 7.4.11.2.5.16 UninstructedBalance <UinstdBal>

*Presence:* [0..1]

*Definition:* Balance of uninstructed position.

**UninstructedBalance <UinstdBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 7.4.11.2.5.17 InstructedBalance <InstdBal>

*Presence:* [0..1]

*Definition:* Balance of instructed position.

**InstructedBalance <InstdBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 7.4.11.2.5.18 AffectedBalance <AfctdBal>

*Presence:* [0..1]

*Definition:* Balance that has been affected by the process run through the event.

**AffectedBalance <AfctdBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 7.4.11.2.5.19 UnaffectedBalance <UafctdBal>

*Presence:* [0..1]

*Definition:* Balance that has not been affected by the process run through the event.

**UnaffectedBalance <UafctdBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

## 7.4.12 CorporateActionDetails <CorpActnDtls>

*Presence:* [0..1]

*Definition:* Information about the corporate action event.

**CorporateActionDetails <CorpActnDtls>** contains the following **CorporateAction77** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>DateDetails</b> <DtDtls>	[0..1]			403
	<b>RecordDate</b> <RcrdDt>	[0..1]	±		404
	<b>ExDividendDate</b> <ExDvddDt>	[0..1]	±		404
	<b>LotteryDate</b> <LtryDt>	[0..1]	±		404
	<b>SecuritiesQuantity</b> <SctiesQty>	[0..1]			405
	<b>BaseDenomination</b> <BaseDnmtn>	[0..1]	±	C20	405
	<b>IncrementalDenomination</b> <IncrmtlDnmtn>	[0..1]	±	C20	405
	<b>EventStage</b> <EvtStag>	[0..1]	±		406
	<b>AdditionalBusinessProcessIndicator</b> <AddtlBizPrclnd>	[0..*]	±		406
	<b>IntermediateSecuritiesDistributionType</b> <IntrmdtSctiesDstrbtp>	[0..1]	±		406
	<b>LotteryType</b> <LtryTp>	[0..1]	±		407

### 7.4.12.1 DateDetails <DtDtls>

*Presence:* [0..1]

*Definition:* Provides information about the dates related to a corporate action event.

**DateDetails <DtDtls>** contains the following **CorporateActionDate93** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>RecordDate</b> <RcrdDt>	[0..1]	±		404
	<b>ExDividendDate</b> <ExDvddDt>	[0..1]	±		404
	<b>LotteryDate</b> <LtryDt>	[0..1]	±		404

#### 7.4.12.1.1 RecordDate <RcrdDt>

*Presence:* [0..1]

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

**RecordDate <RcrdDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

#### 7.4.12.1.2 ExDividendDate <ExDvddDt>

*Presence:* [0..1]

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

**ExDividendDate <ExDvddDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

#### 7.4.12.1.3 LotteryDate <LtryDt>

*Presence:* [0..1]

*Definition:* Date/time on which the lottery is run and applied to the holder's positions. This is also applicable to partial calls.

**LotteryDate <LtryDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

## 7.4.12.2 SecuritiesQuantity <SctiesQty>

*Presence:* [0..1]

*Definition:* Provides information about securities quantity linked to a corporate action.

**SecuritiesQuantity <SctiesQty>** contains the following **CorporateActionQuantity13** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>BaseDenomination</b> <BaseDnmtn>	[0..1]	±	C20	405
	<b>IncrementalDenomination</b> <IncrmtlDnmtn>	[0..1]	±	C20	405

### 7.4.12.2.1 BaseDenomination <BaseDnmtn>

*Presence:* [0..1]

*Definition:* Minimum integral amount of securities that each account owner must have remaining after the called amounts are applied.

*Impacted by:* [C20 DigitalTokenUnitUsageRule](#)

**BaseDenomination <BaseDnmtn>** contains one of the following elements (see [FinancialInstrumentQuantity43Choice](#) on page 1149 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1149
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1149
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1150
Or	Code <Cd>	[1..1]	CodeSet		1150
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1150

#### Constraints

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

### 7.4.12.2.2 IncrementalDenomination <IncrmtlDnmtn>

*Presence:* [0..1]

*Definition:* Amount used when the called amount is not met by running the lottery with the base denomination.

*Impacted by:* [C20 DigitalTokenUnitUsageRule](#)

**IncrementalDenomination <IncrmtIDnmtn>** contains one of the following elements (see [FinancialInstrumentQuantity43Choice](#) on page 1149 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1149
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1149
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1150
Or	Code <Cd>	[1..1]	CodeSet		1150
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1150

**Constraints**

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

**7.4.12.3 EventStage <EvtStag>**

*Presence:* [0..1]

*Definition:* Stage in the corporate action event life cycle.

**EventStage <EvtStag>** contains one of the following elements (see [CorporateActionEventStageFormat15Choice](#) on page 1024 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1024
Or}	Proprietary <Prtry>	[1..1]	±		1025

**7.4.12.4 AdditionalBusinessProcessIndicator <AddtlBizPrclnd>**

*Presence:* [0..\*]

*Definition:* Indicates whether the message is related to a claim on the associated corporate action event.

**AdditionalBusinessProcessIndicator <AddtlBizPrclnd>** contains one of the following elements (see [AdditionalBusinessProcessFormat21Choice](#) on page 954 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		955
Or}	Proprietary <Prtry>	[1..1]	±		955

**7.4.12.5 IntermediateSecuritiesDistributionType <IntrmdtSciesDstrbtnTp>**

*Presence:* [0..1]

*Definition:* Specifies the type of intermediates securities distribution.

**IntermediateSecuritiesDistributionType <IntrmdtSctiesDstrbtp>** contains one of the following elements (see [IntermediateSecuritiesDistributionTypeFormat18Choice](#) on page 1057 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1057
Or}	Proprietary <Prtry>	[1..1]	±		1058

#### 7.4.12.6 LotteryType <LtryTp>

*Presence:* [0..1]

*Definition:* Specifies the type of lottery announced.

**LotteryType <LtryTp>** contains one of the following elements (see [LotteryTypeFormat5Choice](#) on page 1054 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1054
Or}	Proprietary <Prtry>	[1..1]	±		1054

### 7.4.13 CorporateActionMovementDetails <CorpActnMvmntDtls>

*Presence:* [0..\*]

*Definition:* Information about the corporate action option.

*Impacted by:* [C6 AdditionalTextRule](#), [C10 AppliedOptionRule](#), [C22 DissenterRights1Rule](#), [C23 DissenterRights1UGRule](#), [C24 DissenterRights2Rule](#), [C25 DissenterRights2UGRule](#), [C42 InstructCashAmountRule](#), [C62 RevocabilityPeriodRule](#), [C55 OptionNumberGuideline](#)

**CorporateActionMovementDetails <CorpActnMvmntDtls>** contains the following  
**CorporateActionOption214** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OptionNumber</b> <OptnNb>	[1..1]	Text		418
	<b>OptionType</b> <OptnTp>	[1..1]	±		418
	<b>FractionDisposition</b> <FrctnDspstn>	[0..1]	±		418
	<b>OfferType</b> <OfferTp>	[0..*]	±		419
	<b>OptionFeatures</b> <OptnFeatrs>	[0..*]	±		419
	<b>OptionAvailabilityStatus</b> <OptnAvlbtySts>	[0..1]	±		419
	<b>CertificationBreakdownType</b> <CertfctnBrkdwnTp>	[0..*]	±		419
	<b>NonDomicileCountry</b> <NonDmclCtry>	[0..*]	CodeSet	C13	420
	<b>ValidDomicileCountry</b> <VldDmclCtry>	[0..*]	CodeSet	C13	420
	<b>CurrencyOption</b> <CcyOptn>	[0..1]	CodeSet	C1	421
	<b>DefaultProcessingOrStandingInstruction</b> <DfltPrcgOrStgInstr>	[1..1]	±		421
	<b>ChargesAppliedIndicator</b> <ChrgsApldInd>	[0..1]	Indicator		421
	<b>CertificationBreakdownIndicator</b> <CertfctnBrkdwnInd>	[0..1]	Indicator		421
	<b>WithdrawalAllowedIndicator</b> <WdrwlAllwdInd>	[0..1]	Indicator		422
	<b>ChangeAllowedIndicator</b> <ChngAllwdInd>	[0..1]	Indicator		422
	<b>AppliedOptionIndicator</b> <ApldOptnInd>	[0..1]	Indicator		422
	<b>SecurityIdentification</b> <SctyId>	[0..1]	±	C17, C18, C44, C45, C57	422
	<b>DateDetails</b> <DtDtls>	[0..1]			424
	<b>EarlyResponseDeadline</b> <EarlyRspnDdln>	[0..1]	±		425
	<b>CoverExpirationDeadline</b> <CoverXprtnDdln>	[0..1]	±		425
	<b>ProtectDeadline</b> <PrtctDdln>	[0..1]	±		425
	<b>MarketDeadline</b> <MktDdln>	[0..1]	±		426
	<b>ResponseDeadline</b> <RspnDdln>	[0..1]	±		426
	<b>ExpiryDate</b> <XpryDt>	[0..1]	±		426
	<b>SubscriptionCostDebitDate</b> <SbcptCostDbtDt>	[0..1]	±		427
	<b>DepositoryCoverExpirationDate</b> <DpstryCoverXprtnDt>	[0..1]	±		427
	<b>StockLendingDeadline</b> <StockLndgDdln>	[0..1]	±		427



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>BorrowerStockLendingDeadline</b> <BrrwrStockLndgDdlIn>	[0..*]			428
	<b>StockLendingDeadline</b> <StockLndgDdlIn>	[1..1]	±		428
	<b>Borrower</b> <Brrwr>	[1..1]	±		428
	<b>PeriodDetails</b> <PrdDtIs>	[0..1]			429
	<b>PriceCalculationPeriod</b> <PricClctnPrd>	[0..1]	±		429
	<b>ParallelTradingPeriod</b> <ParllTradgPrd>	[0..1]	±		429
	<b>ActionPeriod</b> <ActnPrd>	[0..1]	±		430
	<b>RevocabilityPeriod</b> <RvcbltyPrd>	[0..1]	±		430
	<b>PrivilegeSuspensionPeriod</b> <PrvlgsSpnsnPrd>	[0..1]	±		430
	<b>AccountServicerRevocabilityPeriod</b> <AcctSvcrRvcbltyPrd>	[0..1]	±		430
	<b>DepositorySuspensionPeriodForWithdrawal</b> <DpstrySspnsnPrdForWdrwl>	[0..1]	±		431
	<b>RateAndAmountDetails</b> <RateAndAmtDtIs>	[0..1]		C31, C33, C50, C52, C69, C71, C73, C77, C79	431
	<b>AdditionalTax</b> <AddtlTax>	[0..1]	±		434
	<b>GrossDividendRate</b> <GrssDvddRate>	[0..*]	±		434
	<b>NetDividendRate</b> <NetDvddRate>	[0..*]	±		435
	<b>InterestRateUsedForPayment</b> <IntrstRateUsdForPmt>	[0..*]	±		436
	<b>MaximumAllowedOversubscriptionRate</b> <MaxAllwdOvrSbcptRate>	[0..1]	±		437
	<b>ProrationRate</b> <PrratnRate>	[0..1]	±		437
	<b>WithholdingTaxRate</b> <WhldgTaxRate>	[0..*]	±		438
	<b>SecondLevelTax</b> <ScndLvlTax>	[0..*]	±		438
	<b>TaxableIncomePerDividendShare</b> <TaxblIncmPerDvddShr>	[0..*]	±		438
	<b>TaxOnIncome</b> <TaxOnIncm>	[0..1]	±		439
	<b>PriceDetails</b> <PricDtIs>	[0..1]			439
	<b>CashInLieuOfSharePrice</b> <CshInLieuOfShrPric>	[0..1]	±		440
	<b>OverSubscriptionDepositPrice</b> <OverSbcptDpstPric>	[0..1]	±		440
	<b>MaximumCashToInstruct</b> <MaxCshToInst>	[0..1]	±		440

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>MinimumCashToInstruct</b> <MinCshToInst>	[0..1]	±		441
	<b>MinimumMultipleCashToInstruct</b> <MinMltplCshToInst>	[0..1]	±		441
	<b>SecuritiesQuantity</b> <SctiesQty>	[0..1]			441
	<b>MaximumQuantityToInstruct</b> <MaxQtyToInst>	[0..1]	±	C21	442
	<b>MinimumQuantityToInstruct</b> <MinQtyToInst>	[0..1]	±	C21	442
	<b>MinimumMultipleQuantityToInstruct</b> <MinMltplQtyToInst>	[0..1]	±	C20	443
	<b>NewBoardLotQuantity</b> <NewBrdLotQty>	[0..1]	±	C20	443
	<b>NewDenominationQuantity</b> <NewDnmtnQty>	[0..1]	±	C20	444
	<b>FrontEndOddLotQuantity</b> <FrntEndOddLotQty>	[0..1]	±	C20	444
	<b>BackEndOddLotQuantity</b> <BckEndOddLotQty>	[0..1]	±	C20	445
	<b>SecuritiesMovementDetails</b> <SctiesMvmntDtls>	[0..*]		C27, C38, C40, C46	445
	<b>SecurityDetails</b> <SctyDtls>	[1..1]	±	C49, C59	448
	<b>CreditDebitIndicator</b> <CdtDbtInd>	[1..1]	CodeSet		450
	<b>TemporaryFinancialInstrumentIndicator</b> <TempFinInstrmInd>	[0..1]	±		450
	<b>NonEligibleProceedsIndicator</b> <NonElgblPrclsInd>	[0..1]	±		450
	<b>IssuerOfferorTaxabilityIndicator</b> <IssrOfferrTaxblyInd>	[0..1]	±		450
	<b>NewSecuritiesIssuanceIndicator</b> <NewSctiesIssnclInd>	[0..1]	CodeSet		451
	<b>IncomeType</b> <IncmTp>	[0..1]	±		451
	<b>OtherIncomeType</b> <OthrIncmTp>	[0..*]	±		452
	<b>ExemptionType</b> <XmptnTp>	[0..*]	±		452
	<b>EntitledQuantity</b> <EntitldQty>	[0..1]	±		452
	<b>SafekeepingPlace</b> <SfkpgPlc>	[0..1]	±		453
	<b>CountryOfIncomeSource</b> <CtryOfIncmSrc>	[0..1]	CodeSet	C13	453
	<b>FractionDisposition</b> <FrctnDspstn>	[0..1]	±		453
	<b>CurrencyOption</b> <CcyOptn>	[0..1]	CodeSet	C1	454
	<b>TradingPeriod</b> <TradgPrd>	[0..1]	±		454
	<b>DateDetails</b> <DtDtls>	[1..1]			454
	<b>PaymentDate</b> <PmtDt>	[1..1]	±		455

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AvailableDate</b> <AvlblDt>	[0..1]	±		455
	<b>DividendRankingDate</b> <DvddRnkgDt>	[0..1]	±		455
	<b>EarliestPaymentDate</b> <EarlstPmtDt>	[0..1]	±		456
	<b>PariPassuDate</b> <PrpssDt>	[0..1]	±		456
	<b>LastTradingDate</b> <LastTradgDt>	[0..1]	±		456
	<b>RateDetails</b> <RateDtls>	[0..1]			457
	<b>AdditionalQuantityForSubscribedResultantSecurities</b> <AddtlQtyForSbcdbRsltntScies>	[0..1]	±		457
	<b>AdditionalQuantityForExistingSecurities</b> <AddtlQtyForExstgScies>	[0..1]	±		458
	<b>NewToOld</b> <NewToOd>	[0..1]	±		458
	<b>TransformationRate</b> <TrfrmatnRate>	[0..1]	Rate		459
	<b>ChargesFees</b> <ChrgsFees>	[0..1]	±		459
	<b>FiscalStamp</b> <FscIStmp>	[0..1]	±		459
	<b>ApplicableRate</b> <AplblRate>	[0..1]	±		460
	<b>TaxCreditRate</b> <TaxCdtRate>	[0..1]	±		460
	<b>FinancialTransactionTaxRate</b> <FinTxTaxRate>	[0..1]	±		460
	<b>WithholdingTaxRate</b> <WhldgTaxRate>	[0..*]	±		460
	<b>SecondLevelTax</b> <ScndLvlTax>	[0..*]	±		461
	<b>PriceDetails</b> <PricDtls>	[0..1]		C29	461
	<b>IndicativeOrMarketPrice</b> <IndctvOrMktPric>	[0..1]	±		462
	<b>CashInLieuOfSharePrice</b> <CshInLieuOfShrPric>	[0..1]	±		462
	<b>CashValueForTax</b> <CshValForTax>	[0..1]	±		463
	<b>GenericCashPricePaidPerProduct</b> <GncCshPricPdPerPdct>	[0..1]	±		463
	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		463
	<b>AmountDetails</b> <AmtDtls>	[0..1]			464
	<b>WithholdingTaxAmount</b> <WhldgTaxAmt>	[0..1]	Amount	C1, C14	464
	<b>SecondLevelTaxAmount</b> <ScndLvlTaxAmt>	[0..1]	Amount	C1, C14	465
	<b>CashMovementDetails</b> <CshMvmntDtls>	[0..*]		C28, C39, C41, C47	466
	<b>CreditDebitIndicator</b> <CdtDbtInd>	[1..1]	CodeSet		471

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ContractualPaymentIndicator</b> <CtrctlPmtInd>	[0..1]	CodeSet		471
	<b>NonEligibleProceedsIndicator</b> <NonElgblPrclsInd>	[0..1]	±		471
	<b>IssuerOfferorTaxabilityIndicator</b> <IssrOfferrTaxbltyInd>	[0..1]	±		472
	<b>IncomeType</b> <IncmTp>	[0..1]	±		472
	<b>OtherIncomeType</b> <OthrIncmTp>	[0..*]	±		472
	<b>ExemptionType</b> <XmptnTp>	[0..*]	±		473
	<b>CountryOfIncomeSource</b> <CtryOfIncmSrc>	[0..1]	CodeSet	C13	473
	<b>CashAccountIdentification</b> <CshAcctId>	[0..1]	±		473
	<b>AmountDetails</b> <AmtDtls>	[0..1]			474
	<b>GrossCashAmount</b> <GrssCshAmt>	[0..1]	Amount	C1, C14	477
	<b>NetCashAmount</b> <NetCshAmt>	[0..1]	Amount	C1, C14	477
	<b>SolicitationFees</b> <SlctnFees>	[0..1]	Amount	C1, C14	478
	<b>CashInLieuOfShare</b> <CshInLieuOfShr>	[0..1]	Amount	C1, C14	479
	<b>CapitalGain</b> <CptlGn>	[0..1]	Amount	C1, C14	480
	<b>InterestAmount</b> <IntrstAmt>	[0..1]	Amount	C1, C14	480
	<b>MarketClaimAmount</b> <MktClnAmt>	[0..1]	Amount	C1, C14	481
	<b>IndemnityAmount</b> <IndmntyAmt>	[0..1]	Amount	C1, C14	482
	<b>ManufacturedDividendPaymentAmount</b> <ManfctrdDvddPmtAmt>	[0..1]	Amount	C1, C14	482
	<b>ReinvestmentAmount</b> <RinvstmtAmt>	[0..1]	Amount	C1, C14	483
	<b>FullyFrankedAmount</b> <FullyFrnkAmt>	[0..1]	Amount	C1, C14	484
	<b>UnfrankedAmount</b> <UfrnkAmt>	[0..1]	Amount	C1, C14	485
	<b>SundryOrOtherAmount</b> <SndryOrOthrAmt>	[0..1]	Amount	C1, C14	485
	<b>TaxFreeAmount</b> <TaxFreeAmt>	[0..1]	Amount	C1, C14	486
	<b>TaxDeferredAmount</b> <TaxDfrdAmt>	[0..1]	Amount	C1, C14	487
	<b>ValueAddedTaxAmount</b> <ValAddedTaxAmt>	[0..1]	Amount	C1, C14	487

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>StampDutyAmount</b> <StmpDtyAmt>	[0..1]	Amount	C1, C14	488
	<b>TaxReclaimAmount</b> <TaxRclmAmt>	[0..1]	Amount	C1, C14	489
	<b>TaxCreditAmount</b> <TaxCdtAmt>	[0..1]	Amount	C1, C14	490
	<b>AdditionalTaxAmount</b> <AddtlTaxAmt>	[0..1]	Amount	C1, C14	490
	<b>WithholdingTaxAmount</b> <WhldgTaxAmt>	[0..1]	Amount	C1, C14	491
	<b>SecondLevelTaxAmount</b> <ScndLvlTaxAmt>	[0..1]	Amount	C1, C14	492
	<b>FiscalStampAmount</b> <FscIStmpAmt>	[0..1]	Amount	C1, C14	492
	<b>ExecutingBrokerAmount</b> <ExctgBrkrAmt>	[0..1]	Amount	C1, C14	493
	<b>PayingAgentCommissionAmount</b> <PngAgtComssnAmt>	[0..1]	Amount	C1, C14	494
	<b>LocalBrokerCommissionAmount</b> <LclBrkrComssnAmt>	[0..1]	Amount	C1, C14	495
	<b>RegulatoryFeesAmount</b> <RgltryFeesAmt>	[0..1]	Amount	C1, C14	495
	<b>ShippingFeesAmount</b> <ShppgFeesAmt>	[0..1]	Amount	C1, C14	496
	<b>ChargesAmount</b> <ChrgsAmt>	[0..1]	Amount	C1, C14	497
	<b>EntitledAmount</b> <EntitldAmt>	[0..1]	Amount	C1, C14	497
	<b>OriginalAmount</b> <OrgnlAmt>	[0..1]	Amount	C1, C14	498
	<b>AccruedInterestAmount</b> <AcrdIntrstAmt>	[0..1]	Amount	C1, C14	499
	<b>IncomePortion</b> <IncmPrtn>	[0..1]	Amount	C1, C14	500
	<b>EqualisationAmount</b> <EqulstnAmt>	[0..1]	Amount	C1, C14	500
	<b>FATCATaxAmount</b> <FATCATaxAmt>	[0..1]	Amount	C1, C14	501
	<b>NRATaxAmount</b> <NRATaxAmt>	[0..1]	Amount	C1, C14	502
	<b>BackUpWithholdingTaxAmount</b> <BckUpWhldgTaxAmt>	[0..1]	Amount	C1, C14	502
	<b>TaxOnIncomeAmount</b> <TaxOnIncmAmt>	[0..1]	Amount	C1, C14	503

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TransactionTax</b> <TxTax>	[0..1]	Amount	C1, C14	504
	<b>DeemedAmount</b> <DmdAmt>	[0..1]	Amount	C1, C14	505
	<b>ForeignIncomeAmount</b> <FrgnIncmAmt>	[0..1]	Amount	C1, C14	505
	<b>DeemedDividendAmount</b> <DmdDvddAmt>	[0..1]	Amount	C1, C14	506
	<b>DeemedFundAmount</b> <DmdFndAmt>	[0..1]	Amount	C1, C14	507
	<b>DeemedInterestAmount</b> <DmdIntrstAmt>	[0..1]	Amount	C1, C14	507
	<b>DeemedRoyaltiesAmount</b> <DmdRyltsAmt>	[0..1]	Amount	C1, C14	508
	<b>DateDetails</b> <DtDtls>	[1..1]			509
	<b>PaymentDate</b> <PmtDt>	[1..1]	±		509
	<b>ValueDate</b> <ValDt>	[0..1]	±		509
	<b>ForeignExchangeRateFixingDate</b> <FXRateFxdt>	[0..1]	±		510
	<b>EarliestPaymentDate</b> <EarlstPmtDt>	[0..1]	±		510
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..1]	±		510
	<b>RateAndAmountDetails</b> <RateAndAmtDtls>	[0..1]		C15, C16, C32, C34, C51, C53, C70, C72, C74, C78, C80	511
	<b>AdditionalTax</b> <AddtlTax>	[0..1]	±		515
	<b>GrossDividendRate</b> <GrssDvddRate>	[0..*]	±		515
	<b>InterestRateUsedForPayment</b> <IntrstRateUsdForPmt>	[0..*]	±		516
	<b>WithholdingTaxRate</b> <WhldgTaxRate>	[0..*]	±		517
	<b>SecondLevelTax</b> <ScndLvlTax>	[0..*]	±		517
	<b>ChargesFees</b> <ChrgsFees>	[0..1]	±		518
	<b>EarlySolicitationFeeRate</b> <EarlySlctnFeeRate>	[0..1]	±		518
	<b>FiscalStamp</b> <FscIStmp>	[0..1]	±		519
	<b>ThirdPartyIncentiveRate</b> <ThrdPtyIncntivRate>	[0..1]	±		519

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>NetDividendRate</b> <NetDvddRate>	[0..*]	±		519
	<b>ApplicableRate</b> <AplblRate>	[0..1]	±		520
	<b>SolicitationFeeRate</b> <SlctnFeeRate>	[0..1]	±		520
	<b>TaxCreditRate</b> <TaxCdtRate>	[0..1]	±		521
	<b>TaxOnIncome</b> <TaxOnIncm>	[0..1]	±		521
	<b>TaxOnProfits</b> <TaxOnPrfts>	[0..1]	±		521
	<b>TaxReclaimRate</b> <TaxRclmRate>	[0..1]	±		522
	<b>EqualisationRate</b> <EqulstnRate>	[0..1]	±		522
	<b>DeemedRate</b> <DmdRate>	[0..*]	±		522
	<b>PriceDetails</b> <PricDtls>	[0..1]		C30	523
	<b>GenericCashPricePaidPerProduct</b> <GncCshPricPdPerPdct>	[0..1]	±		524
	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		524
	<b>CashInLieuOfSharePrice</b> <CshInLieuOfShrPric>	[0..1]	±		525
	<b>AdditionalInformation</b> <AddtlInf>	[0..1]		C3	525
	<b>AdditionalText</b> <AddtlTxt>	[0..1]	±		526
	<b>NarrativeVersion</b> <NrrtvVrsn>	[0..1]	±		526
	<b>InformationConditions</b> <InfConds>	[0..1]	±		527
	<b>InformationToComplyWith</b> <InfToCmplyWth>	[0..1]	±		527
	<b>SecurityRestriction</b> <SctyRstrctn>	[0..1]	±		527
	<b>TaxationConditions</b> <TaxtnConds>	[0..1]	±		528
	<b>Disclaimer</b> <Dsclmr>	[0..1]	±		528
	<b>CertificationBreakdown</b> <CertfctnBrkdown>	[0..1]	±		528

### Constraints

- **AdditionalTextRule**

(Rule)

If OptionType/Code is OTHR (Other), then AdditionalInformation/AdditionalText/AdditionalInformation must be present.

(MT564 NVR C5).

On Condition

/OptionType is present

And /OptionType/Code is equal to value 'Other'

Following Must be True

/AdditionalInformation Must be present

And /AdditionalInformation/AdditionalText Must be present

---

And /AdditionalInformation/AdditionalText/AdditionalInformation Must be present

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00175
- *Error Text:* Invalid message content for AdditionalInformation

- **AppliedOptionRule**

(Rule)

If DefaultProcessingOrStandingInstruction/DefaultOptionIndicator is present and its value is '1' or 'true' (Yes), then AppliedOptionIndicator value must not be '1' or 'true' (Yes).

*Error handling:*

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

- **DissenterRights1Rule**

(Rule)

If OfferType/Code value is equal to DISS (DissenterRights), then OfferType/Code value equal to NDIS (DissenterRightsNotApplicable) is not allowed in any occurrence of OfferType.

(MT 564 NVR C27)

On Condition

    /OfferType[\*]/Code is equal to value 'DissenterRights'

Following Must be True

    /OfferType[\*]/Code Must be different from value 'DissenterRightsNotApplicable'

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00561
- *Error Text:* Invalid message contents for OfferType. Either code value DISS or NDISS is allowed, not both.

- **DissenterRights1UGRule**

(Rule)

If OfferType/Code value is equal to DISS (DissenterRights), then OfferType/Code value equal to NDIS (DissenterRightsNotApplicable) is not allowed in any occurrence of OfferType.

(MT 564 NVR C27)

if

    at least one occurrence of [OfferType/Code] has value included in the following list 'DISS'

    , then

        every occurrence of [OfferType/Code] must have value not included in the following list 'NDIS'



---

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00592
- *Error Text:* Invalid message contents for OfferType. Either code value DISS or NDISS is allowed, not both.

- **DissenterRights2Rule**

(Rule)

If OfferType/Code value is equal to NDISS (DissenterRightsNotApplicable), then OfferType/Code value equal to DISS (DissenterRights) is not allowed in any occurrence of OfferType.

(MT 564 NVR C27)

```
On Condition
  /OfferType[*]/Code is equal to value 'DissenterRightsNotApplicable'
Following Must be True
  /OfferType[*]/Code Must be different from value 'DissenterRights'
```

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00563
- *Error Text:* Invalid message contents for OfferType. Either code value DISS or NDISS is allowed, not both.

- **DissenterRights2UGRule**

(Rule)

If OfferType/Code value is equal to NDIS (DissenterRightsNotApplicable), then OfferType/Code value equal to DISS (DissenterRights) is not allowed in any occurrence of OfferType.

(MT 564 NVR C27)

```
if
  at least one occurrence of [OfferType/Code] has value included in the
following list 'NDIS'
, then
  every occurrence of [OfferType/Code] must have value not included in the
following list 'DISS'
```

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00591
- *Error Text:* Invalid message contents for OfferType. Either code value DISS or NDISS is allowed, not both.

- **InstructCashAmountRule**

(Rule)

If OptionFeatures/Code QCAS (InstructCashAmount) is not present, then any message elements in the list (PriceDetails/MaximumCashToInstruct, PriceDetails/MinimumCashToInstruct, PriceDetails/MinimumMutipleCashToInstruct) must not be present.

(MT564 NVR C20).

On Condition

/OptionFeatures[\*]/Code is different from value 'InstructCashAmount'  
 Following Must be True  
 /PriceDetails/MaximumCashToInstruct Must be absent  
 And /PriceDetails/MinimumCashToInstruct Must be absent  
 And /PriceDetails/MinimumMultipleCashToInstruct Must be absent

Error handling:

- Error severity: Fatal
- Error Code: X00417
- Error Text: Invalid message content for OptionFeatures QCAS (Instruct Cash Amount)

• **OptionNumberGuideline**

(Guideline)

For differentiation between options, it is recommended to use the OptionNumber rather than the OptionType, for example, in the case where two or more offers can be described by the same corporate action option code.

• **RevocabilityPeriodRule**

(Rule)

If WithdrawalAllowedIndicator or ChangeAllowedIndicator is present and is 'true' or '1' (Yes), then PeriodDetails/RevocabilityPeriod must be present to indicate the period during which the change or withdrawal of instruction is allowed.

**7.4.13.1 OptionNumber <OptnNb>**

Presence: [1..1]

Definition: Number identifying the available corporate action options.

Datatype: Exact3NumericText on page 1347

**7.4.13.2 OptionType <OptnTp>**

Presence: [1..1]

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

**OptionType <OptnTp>** contains one of the following elements (see CorporateActionOption46Choice on page 976 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		976
Or}	Proprietary <Prtry>	[1..1]	±		977

**7.4.13.3 FractionDisposition <FrctnDspstn>**

Presence: [0..1]

Definition: Specifies how fractions resulting from derived securities will be processed or how prorated decisions will be rounding, if provided with a pro ration rate.

**FractionDisposition <FrctnDspstn>** contains one of the following elements (see [FractionDispositionType31Choice](#) on page 1051 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1051
Or}	Proprietary <Prtry>	[1..1]	±		1051

#### 7.4.13.4 OfferType <OfferTp>

*Presence:* [0..\*]

*Definition:* Specifies the conditions that apply to the offer.

**OfferType <OfferTp>** contains one of the following elements (see [OfferTypeFormat13Choice](#) on page 957 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		958
Or}	Proprietary <Prtry>	[1..1]	±		958

#### 7.4.13.5 OptionFeatures <OptnFeatrs>

*Presence:* [0..\*]

*Definition:* Specifies the features that may apply to a corporate action option.

**OptionFeatures <OptnFeatrs>** contains one of the following elements (see [OptionFeaturesFormat26Choice](#) on page 1006 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1006
Or}	Proprietary <Prtry>	[1..1]	±		1007

#### 7.4.13.6 OptionAvailabilityStatus <OptnAvlbtys>

*Presence:* [0..1]

*Definition:* Specifies the status of the option.

**OptionAvailabilityStatus <OptnAvlbtys>** contains one of the following elements (see [OptionAvailabilityStatus4Choice](#) on page 1050 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1050
Or}	Proprietary <Prtry>	[1..1]	±		1050

#### 7.4.13.7 CertificationBreakdownType <CertfctnBrkdwnTp>

*Presence:* [0..\*]

*Definition:* Type of certification/breakdown.

**CertificationBreakdownType <CertfctnBrkdwnTp>** contains one of the following elements (see [BeneficiaryCertificationType12Choice](#) on page 1048 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1049
Or}	Proprietary <Prtry>	[1..1]	±		1049

#### 7.4.13.8 NonDomicileCountry <NonDmclCtry>

*Presence:* [0..\*]

*Definition:* 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.

*Impacted by:* [C13 Country](#)

*Datatype:* [CountryCode](#) on page 1309

##### 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.

#### 7.4.13.9 ValidDomicileCountry <VldDmclCtry>

*Presence:* [0..\*]

*Definition:* Country of domicile in which the Corporate Action option is valid. The holder of the security has to certify that it is domiciled in the country indicated.

*Impacted by:* [C13 Country](#)

*Datatype:* [CountryCode](#) on page 1309

##### 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.

### 7.4.13.10 CurrencyOption <CcyOptn>

*Presence:* [0..1]

*Definition:* Currency in which the cash disbursed from an interest or dividend payment is offered.

*Impacted by:* C1 ActiveCurrency

*Datatype:* ActiveCurrencyCode on page 1261

#### Constraints

- **ActiveCurrency**

(Rule)

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

*Error handling:*

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

### 7.4.13.11 DefaultProcessingOrStandingInstruction <DfltPrcgOrStgInstr>

*Presence:* [1..1]

*Definition:* Indicates whether the corporate action movement is a default processing or a standing instruction.

**DefaultProcessingOrStandingInstruction <DfltPrcgOrStgInstr>** contains one of the following elements (see DefaultProcessingOrStandingInstruction1Choice on page 952 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	DefaultOptionIndicator <DfltOptnInd>	[1..1]	Indicator		952
Or}	StandingInstructionIndicator <StgInstrInd>	[1..1]	Indicator		952

### 7.4.13.12 ChargesAppliedIndicator <ChrgsApldInd>

*Presence:* [0..1]

*Definition:* Indicates whether redemption charges apply.

*Datatype:* One of the following values must be used (see YesNoIndicator on page 1345):

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

### 7.4.13.13 CertificationBreakdownIndicator <CertfctnBrkdwnInd>

*Presence:* [0..1]

---

*Definition:* Indicates whether certification/breakdown is required from the account owner.

Yes: certification required

No: no certification required.

*Datatype:* One of the following values must be used (see [YesNoIndicator](#) on page 1345):

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

#### **7.4.13.14 WithdrawalAllowedIndicator <WdrwlAllwdInd>**

*Presence:* [0..1]

*Definition:* Indicates whether withdrawal of instruction is allowed.

*Datatype:* One of the following values must be used (see [YesNoIndicator](#) on page 1345):

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

#### **7.4.13.15 ChangeAllowedIndicator <ChngAllwdInd>**

*Presence:* [0..1]

*Definition:* Indicates whether change of instruction is allowed.

*Datatype:* One of the following values must be used (see [YesNoIndicator](#) on page 1345):

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

#### **7.4.13.16 AppliedOptionIndicator <ApIdOptnInd>**

*Presence:* [0..1]

*Definition:* Indicates whether the option, different from the default one, shall be applied by the account owner.

*Datatype:* One of the following values must be used (see [YesNoIndicator](#) on page 1345):

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

#### **7.4.13.17 SecurityIdentification <Sctyld>**

*Presence:* [0..1]

*Definition:* Identifies the financial instrument.

*Impacted by:* [C17 DescriptionPresenceRule](#), [C18 DescriptionUsageRule](#), [C44 ISINGuideline](#),  
[C45 ISINPresenceRule](#), [C57 OtherIdentificationPresenceRule](#)

**SecurityIdentification <Sctyld>** contains the following elements (see [SecurityIdentification20](#) on page 904 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		906
	OtherIdentification <Othrlid>	[0..*]			906
	Identification <Id>	[1..1]	Text		906
	Suffix <Sfx>	[0..1]	Text		906
	Type <Tp>	[1..1]	±		906
	Description <Desc>	[0..1]	Text		907

**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 a ISIN code exist. 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.

**7.4.13.18 DateDetails <DtDtIs>**

*Presence:* [0..1]

*Definition:* Provides information about the dates related to a corporate action option.

**DateDetails <DtDtIs>** contains the following **CorporateActionDate81** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>EarlyResponseDeadline</b> <EarlyRspnDdln>	[0..1]	±		425
	<b>CoverExpirationDeadline</b> <CoverXprtnDdln>	[0..1]	±		425
	<b>ProtectDeadline</b> <PrtctDdln>	[0..1]	±		425
	<b>MarketDeadline</b> <MktDdln>	[0..1]	±		426
	<b>ResponseDeadline</b> <RspnDdln>	[0..1]	±		426
	<b>ExpiryDate</b> <XpryDt>	[0..1]	±		426
	<b>SubscriptionCostDebitDate</b> <SbcptCostDbtDt>	[0..1]	±		427
	<b>DepositoryCoverExpirationDate</b> <DpstryCoverXprtnDt>	[0..1]	±		427
	<b>StockLendingDeadline</b> <StockLndgDdln>	[0..1]	±		427
	<b>BorrowerStockLendingDeadline</b> <BrrwrStockLndgDdln>	[0..*]			428
	<b>StockLendingDeadline</b> <StockLndgDdln>	[1..1]	±		428
	<b>Borrower</b> <Brrwr>	[1..1]	±		428



### 7.4.13.18.1 EarlyResponseDeadline <EarlyRspnDdlIn>

*Presence:* [0..1]

*Definition:* Date/time that the account servicer has set as the deadline to respond, with instructions, to an outstanding event, giving the holder eligibility to incentives.

**EarlyResponseDeadline <EarlyRspnDdlIn>** contains one of the following elements (see [DateFormat49Choice](#) on page 885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		886
Or}	DateCode <DtCd>	[1..1]			886
{Or	Code <Cd>	[1..1]	CodeSet		886
Or}	Proprietary <Prtry>	[1..1]	±		886

### 7.4.13.18.2 CoverExpirationDeadline <CoverXprtnDdlIn>

*Presence:* [0..1]

*Definition:* Last day a holder can deliver the securities that it had elected on and/or previously protected.

**CoverExpirationDeadline <CoverXprtnDdlIn>** contains one of the following elements (see [DateFormat43Choice](#) on page 887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		887
Or}	DateCode <DtCd>	[1..1]			888
{Or	Code <Cd>	[1..1]	CodeSet		888
Or}	Proprietary <Prtry>	[1..1]	±		888

### 7.4.13.18.3 ProtectDeadline <PrctctDdlIn>

*Presence:* [0..1]

*Definition:* Last date/time a holder can request to defer delivery of securities pursuant to a notice of guaranteed delivery or other required documentation.

**ProtectDeadline <PrctctDdlIn>** contains one of the following elements (see [DateFormat43Choice](#) on page 887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		887
Or}	DateCode <DtCd>	[1..1]			888
{Or	Code <Cd>	[1..1]	CodeSet		888
Or}	Proprietary <Prtry>	[1..1]	±		888

#### 7.4.13.18.4 MarketDeadline <MktDdln>

*Presence:* [0..1]

*Definition:* Issuer or issuer's agent deadline to respond with an instruction to an outstanding offer or privilege.

**MarketDeadline <MktDdln>** contains one of the following elements (see [DateFormat49Choice](#) on page 885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		886
Or}	DateCode <DtCd>	[1..1]			886
{Or	Code <Cd>	[1..1]	CodeSet		886
Or}	Proprietary <Prtry>	[1..1]	±		886

#### 7.4.13.18.5 ResponseDeadline <RspnDdln>

*Presence:* [0..1]

*Definition:* Date/time at which the account servicer has set as the deadline to respond, with instructions, to an outstanding event.

**ResponseDeadline <RspnDdln>** contains one of the following elements (see [DateFormat54Choice](#) on page 883 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		883
Or	DateCodeAndTime <DtCdAndTm>	[1..1]			883
	DateCode <DtCd>	[1..1]			884
{Or	Code <Cd>	[1..1]	CodeSet		884
Or}	Proprietary <Prtry>	[1..1]	±		884
	Time <Tm>	[1..1]	Time		884
Or}	DateCode <DtCd>	[1..1]			885
{Or	Code <Cd>	[1..1]	CodeSet		885
Or}	Proprietary <Prtry>	[1..1]	±		885

#### 7.4.13.18.6 ExpiryDate <XpryDt>

*Presence:* [0..1]

*Definition:* Date/time at which an order expires or on which a privilege or offer terminates.

**ExpiryDate <XpryDt>** contains one of the following elements (see [DateFormat49Choice](#) on page 885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		886
Or}	DateCode <DtCd>	[1..1]			886
{Or	Code <Cd>	[1..1]	CodeSet		886
Or}	Proprietary <Prtry>	[1..1]	±		886

#### 7.4.13.18.7 SubscriptionCostDebitDate <SbcptCostDbtDt>

*Presence:* [0..1]

*Definition:* Date/time by which cash must be in place in order to take part in the event.

**SubscriptionCostDebitDate <SbcptCostDbtDt>** contains one of the following elements (see [DateFormat49Choice](#) on page 885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		886
Or}	DateCode <DtCd>	[1..1]			886
{Or	Code <Cd>	[1..1]	CodeSet		886
Or}	Proprietary <Prtry>	[1..1]	±		886

#### 7.4.13.18.8 DepositoryCoverExpirationDate <DpstryCoverXprtnDt>

*Presence:* [0..1]

*Definition:* Last day that a participant of the depository can deliver securities that it had elected on and/or previously protected.

**DepositoryCoverExpirationDate <DpstryCoverXprtnDt>** contains one of the following elements (see [DateFormat49Choice](#) on page 885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		886
Or}	DateCode <DtCd>	[1..1]			886
{Or	Code <Cd>	[1..1]	CodeSet		886
Or}	Proprietary <Prtry>	[1..1]	±		886

#### 7.4.13.18.9 StockLendingDeadline <StockLndgDdln>

*Presence:* [0..1]

*Definition:* Date/time set as the deadline to respond, with instructions, to an outstanding event, for which the underlying security is out on loan.

**StockLendingDeadline <StockLndgDdln>** contains one of the following elements (see [DateFormat49Choice](#) on page 885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		886
Or}	DateCode <DtCd>	[1..1]			886
{Or	Code <Cd>	[1..1]	CodeSet		886
Or}	Proprietary <Prtry>	[1..1]	±		886

#### 7.4.13.18.10 BorrowerStockLendingDeadline <BrrwrStockLndgDdln>

*Presence:* [0..\*]

*Definition:* Specifies the party borrowing stocks and the associated stock lending deadline assigned to the borrower.

**BorrowerStockLendingDeadline <BrrwrStockLndgDdln>** contains the following **BorrowerLendingDeadline6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>StockLendingDeadline</b> <StockLndgDdln>	[1..1]	±		428
	<b>Borrower</b> <Brrwr>	[1..1]	±		428

#### 7.4.13.18.10.1 StockLendingDeadline <StockLndgDdln>

*Presence:* [1..1]

*Definition:* Date/time set as the deadline to respond, with instructions, to an outstanding event for which the underlying security is out on loan.

**StockLendingDeadline <StockLndgDdln>** contains one of the following elements (see [DateFormat49Choice](#) on page 885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		886
Or}	DateCode <DtCd>	[1..1]			886
{Or	Code <Cd>	[1..1]	CodeSet		886
Or}	Proprietary <Prtry>	[1..1]	±		886

#### 7.4.13.18.10.2 Borrower <Brrwr>

*Presence:* [1..1]

*Definition:* Party who has borrowed stocks on loan.

**Borrower <Brrwr>** contains one of the following elements (see [PartyIdentification136Choice](#) on page 1091 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1091
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1091

#### 7.4.13.19 PeriodDetails <PrdDtIs>

*Presence:* [0..1]

*Definition:* Provides information about the periods related to a corporate action option.

**PeriodDetails <PrdDtIs>** contains the following **CorporateActionPeriod12** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>PriceCalculationPeriod</b> <PricClctnPrd>	[0..1]	±		429
	<b>ParallelTradingPeriod</b> <ParllTradgPrd>	[0..1]	±		429
	<b>ActionPeriod</b> <ActnPrd>	[0..1]	±		430
	<b>RevocabilityPeriod</b> <RvcbltyPrd>	[0..1]	±		430
	<b>PrivilegeSuspensionPeriod</b> <PrvlgSspnsnPrd>	[0..1]	±		430
	<b>AccountServicerRevocabilityPeriod</b> <AcctSvcrRvcbltyPrd>	[0..1]	±		430
	<b>DepositorySuspensionPeriodForWithdrawal</b> <DpstrySspnsnPrdForWdrwl>	[0..1]	±		431

##### 7.4.13.19.1 PriceCalculationPeriod <PricClctnPrd>

*Presence:* [0..1]

*Definition:* Period during which the price of a security is determined.

**PriceCalculationPeriod <PricClctnPrd>** contains one of the following elements (see [Period6Choice](#) on page 891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Period <Prd>	[1..1]	±		892
Or}	PeriodCode <PrdCd>	[1..1]	CodeSet		892

##### 7.4.13.19.2 ParallelTradingPeriod <ParllTradgPrd>

*Presence:* [0..1]

*Definition:* Period during which both old and new equity may be traded simultaneously, for example, consolidation of equity or splitting of equity.

**ParallelTradingPeriod <ParlITradgPrd>** contains one of the following elements (see [Period6Choice](#) on page 891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Period <Prd>	[1..1]	±		892
Or}	PeriodCode <PrdCd>	[1..1]	CodeSet		892

#### 7.4.13.19.3 ActionPeriod <ActnPrd>

*Presence:* [0..1]

*Definition:* Period during which the specified option, or all options of the event, remains valid, for example, offer period.

**ActionPeriod <ActnPrd>** contains one of the following elements (see [Period6Choice](#) on page 891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Period <Prd>	[1..1]	±		892
Or}	PeriodCode <PrdCd>	[1..1]	CodeSet		892

#### 7.4.13.19.4 RevocabilityPeriod <RvcbltyPrd>

*Presence:* [0..1]

*Definition:* Period during which the shareholder can revoke, change or withdraw its instruction.

**RevocabilityPeriod <RvcbltyPrd>** contains one of the following elements (see [Period6Choice](#) on page 891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Period <Prd>	[1..1]	±		892
Or}	PeriodCode <PrdCd>	[1..1]	CodeSet		892

#### 7.4.13.19.5 PrivilegeSuspensionPeriod <PrvlgSspnsnPrd>

*Presence:* [0..1]

*Definition:* Period during which the privilege is not available, for example, this can happen whenever a meeting takes place or whenever a coupon payment is due.

**PrivilegeSuspensionPeriod <PrvlgSspnsnPrd>** contains one of the following elements (see [Period6Choice](#) on page 891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Period <Prd>	[1..1]	±		892
Or}	PeriodCode <PrdCd>	[1..1]	CodeSet		892

#### 7.4.13.19.6 AccountServicerRevocabilityPeriod <AcctSvcrRvcbltyPrd>

*Presence:* [0..1]

*Definition:* Period during which the participant of the account servicer can revoke change or withdraw its instructions.

**AccountServicerRevocabilityPeriod <AcctSvcrRvcbltyPrd>** contains one of the following elements (see [Period6Choice](#) on page 891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Period <Prd>	[1..1]	±		892
Or}	PeriodCode <PrdCd>	[1..1]	CodeSet		892

#### 7.4.13.19.7 DepositorySuspensionPeriodForWithdrawal <DpstrySspnsnPrdForWdrwl>

*Presence:* [0..1]

*Definition:* Period defining the last date on which withdrawal in street name requests on the outturn security will be accepted and the date on which the suspension will be released and withdrawal by transfer processing on the outturn security will resume.

**DepositorySuspensionPeriodForWithdrawal <DpstrySspnsnPrdForWdrwl>** contains one of the following elements (see [Period6Choice](#) on page 891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Period <Prd>	[1..1]	±		892
Or}	PeriodCode <PrdCd>	[1..1]	CodeSet		892

#### 7.4.13.20 RateAndAmountDetails <RateAndAmtDtls>

*Presence:* [0..1]

*Definition:* Provides information about rates and amounts related to a corporate action option.

*Impacted by:* [C31 GrossDividendRate2Rule](#), [C33 GrossDividendRate3Rule](#), [C50 NetDividendRate1Rule](#), [C52 NetDividendRate2Rule](#), [C69 SecondLevelTax1Rule](#), [C71 SecondLevelTax2Rule](#), [C73 SecondLevelTax3Rule](#), [C77 WithholdingTaxRate1Rule](#), [C79 WithholdingTaxRate2Rule](#)

**RateAndAmountDetails <RateAndAmtDtls>** contains the following **CorporateActionRate109** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AdditionalTax</b> <AddtlTax>	[0..1]	±		434
	<b>GrossDividendRate</b> <GrssDvddRate>	[0..*]	±		434
	<b>NetDividendRate</b> <NetDvddRate>	[0..*]	±		435
	<b>InterestRateUsedForPayment</b> <IntrstRateUsdForPmt>	[0..*]	±		436
	<b>MaximumAllowedOversubscriptionRate</b> <MaxAllwdOvrscptRate>	[0..1]	±		437
	<b>ProrationRate</b> <PrratnRate>	[0..1]	±		437
	<b>WithholdingTaxRate</b> <WhldgTaxRate>	[0..*]	±		438
	<b>SecondLevelTax</b> <ScndLvITax>	[0..*]	±		438
	<b>TaxableIncomePerDividendShare</b> <TaxblIncmPerDvddShr>	[0..*]	±		438
	<b>TaxOnIncome</b> <TaxOnIncm>	[0..1]	±		439

**Constraints**

- **GrossDividendRate2Rule**

(Rule)

If GrossDividendRate is repeated, then:

- RateTypeAndAmountAndRateStatus/RateType/Code values must all be different in each occurrence of GrossDividendRate.

(MT 564 NVR C8).

- **GrossDividendRate3Rule**

(Rule)

Only a single occurrence of either GrossDividendRate/Amount or GrossDividendRate/AmountAndRateStatus or GrossDividendRate/NotSpecifiedRate may be present, only one of these elements may be present. (MT 564 NVR C7).

- **NetDividendRate1Rule**

(Rule)

If NetDividendRate is repeated, then RateTypeAndAmountAndRateStatus/RateType/Code values must all be different in each occurrence of NetDividendRate. (MT 564 NVR C8).

- **NetDividendRate2Rule**

(Rule)

Only a single occurrence of either NetDividendRate/Amount or NetDividendRate/AmountAndRateStatus or NetDividendRate/NotSpecifiedRate may be present, and only one of these elements may be present. (MT 564 NVR C7).



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- **SecondLevelTax1Rule**

(Rule)

If SecondLevelTax is repeated, then SecondLevelTax/RateTypeAndRate/RateType/Code values must all be different in each occurrence of SecondLevelTax.

(MT 564 NVR C8).

*Error handling:*

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

- **SecondLevelTax2Rule**

(Rule)

Only a single occurrence of either SecondLevelTax/Amount or SecondLevelTax/Rate or SecondLevelTax/NotSpecifiedRate may be present, only one of these elements may be present.

(MT 564 NVR C7).

*Error handling:*

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

- **SecondLevelTax3Rule**

(Rule)

If at least one occurrence of SecondLevelTax is present, then at least one occurrence of WithholdingTaxRate must be present.

On Condition

    /SecondLevelTax[\*] is present

Following Must be True

    /WithholdingTaxRate[\*] Must be present

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00386
- *Error Text:* Invalid message contents for WithholdingTaxRate. It should be present.

- **WithholdingTaxRate1Rule**

(Rule)

If WithholdingTaxRate is repeated, then WithholdingTaxRate/RateTypeAndRate/RateType/Code values must all be different in each occurrence of WithholdingTaxRate.

(MT 564 NVR C8).

*Error handling:*

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

• **WithholdingTaxRate2Rule**

(Rule)

Only a single occurrence of either WithholdingTaxRate/Amount or WithholdingTaxRate/Rate or WithholdingTaxRate/NotSpecifiedRate may be present, only one of these elements may be present.

(MT 564 NVR C7).

*Error handling:*

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

**7.4.13.20.1 AdditionalTax <AddtlTax>**

*Presence:* [0..1]

*Definition:* Rate used for additional tax that cannot be categorised.

**AdditionalTax <AddtlTax>** contains one of the following elements (see [RateAndAmountFormat46Choice](#) on page 1209 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1209
Or	NotSpecifiedRate <NotSpctdRate>	[1..1]	CodeSet		1209
Or}	Amount <Amt>	[1..1]	Amount	C1	1209

**7.4.13.20.2 GrossDividendRate <GrssDvddRate>**

*Presence:* [0..\*]

*Definition:* Cash dividend amount per equity before deductions or allowances have been made.

**GrossDividendRate <GrssDvddRate>** contains one of the following elements (see [GrossDividendRateFormat41Choice](#) on page 1001 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C1	1001
Or	AmountAndRateStatus <AmtAndRateSts>	[1..1]			1002
	Amount <Amt>	[1..1]	Amount	C1	1002
	RateStatus <RateSts>	[1..1]	CodeSet		1002
Or	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1003
	RateType <RateTp>	[1..1]			1003
{Or	Code <Cd>	[1..1]	CodeSet		1003
Or}	Proprietary <Prtry>	[1..1]	±		1004
	Amount <Amt>	[1..1]	Amount	C1	1004
	RateStatus <RateSts>	[0..1]		C51	1005
{Or	Code <Cd>	[1..1]	CodeSet		1005
Or}	Proprietary <Prtry>	[1..1]	±		1005
Or}	NotSpecifiedRate <NotSpcdfRate>	[1..1]	CodeSet		1006

#### 7.4.13.20.3 NetDividendRate <NetDvddRate>

*Presence:* [0..\*]

*Definition:* Cash dividend amount per equity after deductions or allowances have been made.

**NetDividendRate <NetDvddRate>** contains one of the following elements (see [NetDividendRateFormat43Choice](#) on page 995 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C1	996
Or	AmountAndRateStatus <AmtAndRateSts>	[1..1]			996
	Amount <Amt>	[1..1]	Amount	C1	997
	RateStatus <RateSts>	[1..1]	CodeSet		997
Or	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			997
	RateType <RateTp>	[1..1]			998
{Or	Code <Cd>	[1..1]	CodeSet		998
Or}	Proprietary <Prtry>	[1..1]	±		999
	Amount <Amt>	[1..1]	Amount	C1	999
	RateStatus <RateSts>	[0..1]		C51	1000
{Or	Code <Cd>	[1..1]	CodeSet		1000
Or}	Proprietary <Prtry>	[1..1]	±		1000
Or}	NotSpecifiedRate <NotSpcdfRate>	[1..1]	CodeSet		1000

#### 7.4.13.20.4 InterestRateUsedForPayment <IntrstRateUsdForPmt>

*Presence:* [0..\*]

*Definition:* The actual interest rate used for the payment of the interest for the specified interest period.

*Usage guideline:* It is used to provide the applicable rate for the current payment, after all calculations have been performed, that is, application of period and method of interest computation.

**InterestRateUsedForPayment <IntrstRateUsdForPmt>** contains one of the following elements (see [InterestRateUsedForPaymentFormat10Choice](#) on page 1045 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1045
Or	Amount <Amt>	[1..1]	Amount	C1	1045
Or	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1046
	RateType <RateTp>	[1..1]			1046
{Or	Code <Cd>	[1..1]	CodeSet		1046
Or}	Proprietary <Prtry>	[1..1]	±		1047
	Amount <Amt>	[1..1]	Amount	C1	1047
	RateStatus <RateSts>	[0..1]		C51	1047
{Or	Code <Cd>	[1..1]	CodeSet		1048
Or}	Proprietary <Prtry>	[1..1]	±		1048
Or}	NotSpecifiedRate <NotSpcdfRate>	[1..1]	CodeSet		1048

#### 7.4.13.20.5 MaximumAllowedOversubscriptionRate <MaxAllwdOvrsbcptRate>

*Presence:* [0..1]

*Definition:* Maximum percentage of shares available through the over subscription privilege, usually a percentage of the basic subscription shares, for example, an account owner subscribing to 100 shares may over subscribe to a maximum of 50 additional shares when the over subscription maximum is 50 percent.

**MaximumAllowedOversubscriptionRate <MaxAllwdOvrsbcptRate>** contains one of the following elements (see [RateFormat3Choice](#) on page 1151 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1151
Or}	NotSpecifiedRate <NotSpcdfRate>	[1..1]	CodeSet		1151

#### 7.4.13.20.6 ProrationRate <PrratnRate>

*Presence:* [0..1]

*Definition:* Percentage of securities accepted by the offeror/issuer.

**ProrationRate <PrratnRate>** contains one of the following elements (see [RateFormat3Choice](#) on page 1151 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1151
Or}	NotSpecifiedRate <NotSpcdfRate>	[1..1]	CodeSet		1151

### 7.4.13.20.7 WithholdingTaxRate <WhldgTaxRate>

Presence: [0..\*]

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

**WithholdingTaxRate <WhldgTaxRate>** contains one of the following elements (see [RateAndAmountFormat47Choice](#) on page 1041 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1041
Or	NotSpecifiedRate <NotSpofdRate>	[1..1]	CodeSet		1042
Or	Amount <Amt>	[1..1]	Amount	C1	1042
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			1042
	RateType <RateTp>	[1..1]			1042
{Or	Code <Cd>	[1..1]	CodeSet		1043
Or}	Proprietary <Prtry>	[1..1]	±		1043
	Rate <Rate>	[1..1]	Rate		1043

### 7.4.13.20.8 SecondLevelTax <ScndLvITax>

Presence: [0..\*]

Definition: Rate at which the income will be withheld by a jurisdiction other than the jurisdiction of the issuer's country of tax incorporation, for which a relief at source and/or reclaim may be possible. It is levied in complement or offset of the withholding tax rate (TAXR) levied by the jurisdiction of the issuer's tax domicile.

**SecondLevelTax <ScndLvITax>** contains one of the following elements (see [RateAndAmountFormat47Choice](#) on page 1041 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1041
Or	NotSpecifiedRate <NotSpofdRate>	[1..1]	CodeSet		1042
Or	Amount <Amt>	[1..1]	Amount	C1	1042
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			1042
	RateType <RateTp>	[1..1]			1042
{Or	Code <Cd>	[1..1]	CodeSet		1043
Or}	Proprietary <Prtry>	[1..1]	±		1043
	Rate <Rate>	[1..1]	Rate		1043

### 7.4.13.20.9 TaxableIncomePerDividendShare <TaxblIncmPerDvddShr>

Presence: [0..\*]

*Definition:* Amount included in the dividend/NAV that is identified as gains directly or indirectly derived from interest payments, for example, in the context of the EU Savings directive.

**TaxableIncomePerDividendShare <TaxblIncmPerDvddShr>** contains the following elements (see [RateTypeAndAmountAndStatus33](#) on page 1039 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RateType <RateTp>	[1..1]			1039
{Or	Code <Cd>	[1..1]	CodeSet		1039
Or}	Proprietary <Prtry>	[1..1]	±		1039
	Amount <Amt>	[1..1]	Amount	C1	1040
	RateStatus <RateSts>	[0..1]		C51	1040
{Or	Code <Cd>	[1..1]	CodeSet		1041
Or}	Proprietary <Prtry>	[1..1]	±		1041

#### 7.4.13.20.10 TaxOnIncome <TaxOnIncm>

*Presence:* [0..1]

*Definition:* Overall tax withheld at source by fund managers prior to considering the tax obligation of each unit holder.

**TaxOnIncome <TaxOnIncm>** contains one of the following elements (see [RateAndAmountFormat46Choice](#) on page 1209 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1209
Or	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1209
Or}	Amount <Amt>	[1..1]	Amount	C1	1209

#### 7.4.13.21 PriceDetails <PricDtls>

*Presence:* [0..1]

*Definition:* Provides information about the prices related to a corporate action option.

**PriceDetails <PricDtls>** contains the following **CorporateActionPrice69** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CashInLieuOfSharePrice</b> <CshInLieuOfShrPric>	[0..1]	±		440
	<b>OverSubscriptionDepositPrice</b> <OverSbcptDpstPric>	[0..1]	±		440
	<b>MaximumCashToInstruct</b> <MaxCshToInst>	[0..1]	±		440
	<b>MinimumCashToInstruct</b> <MinCshToInst>	[0..1]	±		441
	<b>MinimumMultipleCashToInstruct</b> <MinMltpCshToInst>	[0..1]	±		441

### 7.4.13.21.1 CashInLieuOfSharePrice <CshInLieuOfShrPric>

*Presence:* [0..1]

*Definition:* Cash disbursement in lieu of equities; usually in lieu of fractional quantity.

**CashInLieuOfSharePrice <CshInLieuOfShrPric>** contains one of the following elements (see [PriceFormat57Choice](#) on page 1132 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1132
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1132
	PriceValue <PricVal>	[1..1]	Rate		1133
Or	AmountPrice <AmtPric>	[1..1]	±		1133
Or}	NotSpecifiedPrice <NotSpctfdPric>	[1..1]	CodeSet		1133

### 7.4.13.21.2 OverSubscriptionDepositPrice <OverSbcptDpstPric>

*Presence:* [0..1]

*Definition:* Amount of money required per over-subscribed equity as defined by the issuer.

**OverSubscriptionDepositPrice <OverSbcptDpstPric>** contains one of the following elements (see [PriceFormat57Choice](#) on page 1132 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1132
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1132
	PriceValue <PricVal>	[1..1]	Rate		1133
Or	AmountPrice <AmtPric>	[1..1]	±		1133
Or}	NotSpecifiedPrice <NotSpctfdPric>	[1..1]	CodeSet		1133

### 7.4.13.21.3 MaximumCashToInstruct <MaxCshToInst>

*Presence:* [0..1]

*Definition:* Maximum cash amount that may be instructed.

**MaximumCashToInstruct <MaxCshToInst>** contains one of the following elements (see [PriceFormat62Choice](#) on page 1125 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AmountPrice <AmtPric>	[1..1]			1126
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1126
	PriceValue <PricVal>	[1..1]	Amount	C1	1126
Or}	NotSpecifiedPrice <NotSpctfdPric>	[1..1]	CodeSet		1127



#### 7.4.13.21.4 MinimumCashToInstruct <MinCshToInst>

*Presence:* [0..1]

*Definition:* Minimum cash amount that may be instructed.

**MinimumCashToInstruct <MinCshToInst>** contains one of the following elements (see [PriceFormat62Choice](#) on page 1125 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AmountPrice <AmtPric>	[1..1]			1126
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1126
	PriceValue <PricVal>	[1..1]	Amount	C1	1126
Or}	NotSpecifiedPrice <NotSpofdPric>	[1..1]	CodeSet		1127

#### 7.4.13.21.5 MinimumMultipleCashToInstruct <MinMltplCshToInst>

*Presence:* [0..1]

*Definition:* Minimum multiple of a cash amount that may be instructed.

**MinimumMultipleCashToInstruct <MinMltplCshToInst>** contains one of the following elements (see [PriceFormat62Choice](#) on page 1125 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AmountPrice <AmtPric>	[1..1]			1126
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1126
	PriceValue <PricVal>	[1..1]	Amount	C1	1126
Or}	NotSpecifiedPrice <NotSpofdPric>	[1..1]	CodeSet		1127

#### 7.4.13.22 SecuritiesQuantity <SctiesQty>

*Presence:* [0..1]

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

**SecuritiesQuantity <SctiesQty>** contains the following **SecuritiesOption84** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>MaximumQuantityToInstruct &lt;MaxQtyToInst&gt;</b>	[0..1]	±	C21	442
	<b>MinimumQuantityToInstruct &lt;MinQtyToInst&gt;</b>	[0..1]	±	C21	442
	<b>MinimumMultipleQuantityToInstruct &lt;MinMltplQtyToInst&gt;</b>	[0..1]	±	C20	443
	<b>NewBoardLotQuantity &lt;NewBrdLotQty&gt;</b>	[0..1]	±	C20	443
	<b>NewDenominationQuantity &lt;NewDnmtnQty&gt;</b>	[0..1]	±	C20	444
	<b>FrontEndOddLotQuantity &lt;FrntEndOddLotQty&gt;</b>	[0..1]	±	C20	444
	<b>BackEndOddLotQuantity &lt;BckEndOddLotQty&gt;</b>	[0..1]	±	C20	445

### 7.4.13.22.1 MaximumQuantityToInstruct <MaxQtyToInst>

*Presence:* [0..1]

*Definition:* Maximum quantity of financial instrument that may be instructed.

*Impacted by:* [C21 DigitalTokenUnitUsageRule](#)

**MaximumQuantityToInstruct <MaxQtyToInst>** contains one of the following elements (see [FinancialInstrumentQuantity44Choice](#) on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1148
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1148
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1148
Or	Code <Cd>	[1..1]	CodeSet		1149
Or}	DigitalTokenUnit <DgltTknUnit>	[1..1]	Quantity		1149

#### Constraints

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

### 7.4.13.22.2 MinimumQuantityToInstruct <MinQtyToInst>

*Presence:* [0..1]

*Definition:* Minimum quantity of financial instrument that may be instructed.

*Impacted by:* [C21 DigitalTokenUnitUsageRule](#)

**MinimumQuantityToInstruct <MinQtyToInst>** contains one of the following elements (see [FinancialInstrumentQuantity44Choice](#) on page 1148 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1148
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1148
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1148
Or	Code <Cd>	[1..1]	CodeSet		1149
Or}	DigitalTokenUnit <DgltTknUnit>	[1..1]	Quantity		1149

#### Constraints

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

#### 7.4.13.22.3 MinimumMultipleQuantityToInstruct <MinMltplQtyToInst>

Presence: [0..1]

Definition: Minimum multiple quantity of financial instrument that may be instructed.

Impacted by: [C20 DigitalTokenUnitUsageRule](#)

**MinimumMultipleQuantityToInstruct <MinMltplQtyToInst>** contains one of the following elements (see [FinancialInstrumentQuantity43Choice](#) on page 1149 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1149
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1149
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1150
Or	Code <Cd>	[1..1]	CodeSet		1150
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1150

#### Constraints

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

#### 7.4.13.22.4 NewBoardLotQuantity <NewBrdLotQty>

Presence: [0..1]

Definition: Quantity of equity that makes up the new board lot.

Impacted by: [C20 DigitalTokenUnitUsageRule](#)

**NewBoardLotQuantity <NewBrdLotQty>** contains one of the following elements (see [FinancialInstrumentQuantity43Choice](#) on page 1149 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1149
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1149
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1150
Or	Code <Cd>	[1..1]	CodeSet		1150
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1150

#### Constraints

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

#### 7.4.13.22.5 NewDenominationQuantity <NewDnmtnQty>

Presence: [0..1]

Definition: New denomination of the equity following, for example, an increase or decrease in nominal value.

Impacted by: [C20 DigitalTokenUnitUsageRule](#)

**NewDenominationQuantity <NewDnmtnQty>** contains one of the following elements (see [FinancialInstrumentQuantity43Choice](#) on page 1149 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1149
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1149
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1150
Or	Code <Cd>	[1..1]	CodeSet		1150
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1150

#### Constraints

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

#### 7.4.13.22.6 FrontEndOddLotQuantity <FrntEndOddLotQty>

Presence: [0..1]

Definition: Specifies that if an order is prorated holders of odd lots who tender their full position will not have tendered position prorated but rather accepted in full.

Impacted by: [C20 DigitalTokenUnitUsageRule](#)

**FrontEndOddLotQuantity <FrntEndOddLotQty>** contains one of the following elements (see [FinancialInstrumentQuantity43Choice](#) on page 1149 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1149
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1149
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1150
Or	Code <Cd>	[1..1]	CodeSet		1150
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1150

**Constraints**

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

**7.4.13.22.7 BackEndOddLotQuantity <BckEndOddLotQty>**

*Presence:* [0..1]

*Definition:* Represents the presence of a back end odd lot provision and the quantity of equity required after proration to be eligible for this privilege.

*Impacted by:* [C20 DigitalTokenUnitUsageRule](#)

**BackEndOddLotQuantity <BckEndOddLotQty>** contains one of the following elements (see [FinancialInstrumentQuantity43Choice](#) on page 1149 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1149
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1149
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1150
Or	Code <Cd>	[1..1]	CodeSet		1150
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1150

**Constraints**

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

**7.4.13.23 SecuritiesMovementDetails <SctiesMvmntDtls>**

*Presence:* [0..\*]

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

*Impacted by:* [C27 ExemptionTypeUsageRule](#), [C38 IncomeType1Rule](#), [C40 IncomeTypeUsageRule](#), [C46 IssuerOfferorTaxabilityIndicatorUsageRule](#)

**SecuritiesMovementDetails <SctiesMvmntDtls>** contains the following **SecuritiesOption96** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>SecurityDetails</b> <SctyDtls>	[1..1]	±	C49, C59	448
	<b>CreditDebitIndicator</b> <CdtDbtInd>	[1..1]	CodeSet		450
	<b>TemporaryFinancialInstrumentIndicator</b> <TempFinInstrmlnd>	[0..1]	±		450
	<b>NonEligibleProceedsIndicator</b> <NonElgblPrcdsInd>	[0..1]	±		450
	<b>IssuerOfferorTaxabilityIndicator</b> <IssrOfferrTaxbltyInd>	[0..1]	±		450
	<b>NewSecuritiesIssuanceIndicator</b> <NewSctiesIssnclnd>	[0..1]	CodeSet		451
	<b>IncomeType</b> <IncmTp>	[0..1]	±		451
	<b>OtherIncomeType</b> <OthrlIncmTp>	[0..*]	±		452
	<b>ExemptionType</b> <XmptnTp>	[0..*]	±		452
	<b>EntitledQuantity</b> <EntitldQty>	[0..1]	±		452
	<b>SafekeepingPlace</b> <SfkpgPlc>	[0..1]	±		453
	<b>CountryOfIncomeSource</b> <CtryOfIncmSrc>	[0..1]	CodeSet	C13	453
	<b>FractionDisposition</b> <FrctnDspstn>	[0..1]	±		453
	<b>CurrencyOption</b> <CcyOptn>	[0..1]	CodeSet	C1	454
	<b>TradingPeriod</b> <TradgPrd>	[0..1]	±		454
	<b>DateDetails</b> <DtDtls>	[1..1]			454
	<b>PaymentDate</b> <PmtDt>	[1..1]	±		455
	<b>AvailableDate</b> <AvlblDt>	[0..1]	±		455
	<b>DividendRankingDate</b> <DvddRnkgDt>	[0..1]	±		455
	<b>EarliestPaymentDate</b> <EarlstPmtDt>	[0..1]	±		456
	<b>PariPassuDate</b> <PrpssDt>	[0..1]	±		456
	<b>LastTradingDate</b> <LastTradgDt>	[0..1]	±		456
	<b>RateDetails</b> <RateDtls>	[0..1]			457
	<b>AdditionalQuantityForSubscribedResultantSecurities</b> <AddtlQtyForSbcbrsRsltntScties>	[0..1]	±		457
	<b>AdditionalQuantityForExistingSecurities</b> <AddtlQtyForExstgScties>	[0..1]	±		458
	<b>NewToOld</b> <NewToOd>	[0..1]	±		458
	<b>TransformationRate</b> <TrfrmatnRate>	[0..1]	Rate		459
	<b>ChargesFees</b> <ChrgsFees>	[0..1]	±		459

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>FiscalStamp</b> <FscIStmp>	[0..1]	±		459
	<b>ApplicableRate</b> <AplblRate>	[0..1]	±		460
	<b>TaxCreditRate</b> <TaxCdtRate>	[0..1]	±		460
	<b>FinancialTransactionTaxRate</b> <FinTxTaxRate>	[0..1]	±		460
	<b>WithholdingTaxRate</b> <WhldgTaxRate>	[0..*]	±		460
	<b>SecondLevelTax</b> <ScndLvlTax>	[0..*]	±		461
	<b>PriceDetails</b> <PricDtls>	[0..1]		C29	461
	<b>IndicativeOrMarketPrice</b> <IndctvOrMktPric>	[0..1]	±		462
	<b>CashInLieuOfSharePrice</b> <CshInLieuOfShrPric>	[0..1]	±		462
	<b>CashValueForTax</b> <CshValForTax>	[0..1]	±		463
	<b>GenericCashPricePaidPerProduct</b> <GncCshPricPdPerPdct>	[0..1]	±		463
	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		463
	<b>AmountDetails</b> <AmtDtls>	[0..1]			464
	<b>WithholdingTaxAmount</b> <WhldgTaxAmt>	[0..1]	Amount	C1, C14	464
	<b>SecondLevelTaxAmount</b> <ScndLvlTaxAmt>	[0..1]	Amount	C1, C14	465

### Constraints

- **ExemptionTypeUsageRule**

(Rule)

The lists of exemption type codes to be used in ExemptionType are provided in the document "ETYP-ITYP Exemption & Income Type Codes" available on the SMPG website at [www.smpg.info](http://www.smpg.info).

*Error handling:*

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

- **IncomeType1Rule**

(Rule)

If at least one occurrence of OtherIncomeType is present, then IncomeType must be present.

On Condition

/OtherIncomeType[\*] is present

Following Must be True

/IncomeType Must be present

---

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00544
- *Error Text:* Invalid message contents for IncomeType. Element must be present.

- **IncomeTypeUsageRule**

(Rule)

The lists of income type codes to be used in IncomeType are provided in the document "ETYP-ITYP Exemption & Income Type Codes" available on the SMPG website at [www.smpg.info](http://www.smpg.info).

*Error handling:*

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

- **IssuerOfferorTaxabilityIndicatorUsageRule**

(Rule)

The IssuerOfferorTaxabilityIndicator may only be used when no tax rate is provided in the message and it must not be used in events such as dividend or interest.

The list of proprietary IssuerOfferorTaxabilityIndicator codes that may be used are provided in the document "TXAP Taxability Codes" available on the SMPG website at [www.smpg.info](http://www.smpg.info).

#### **7.4.13.23.1 SecurityDetails <SctyDtIs>**

*Presence:* [1..1]

*Definition:* Provides description of the financial instrument related to securities movement.

*Impacted by:* C49 MaturityDateRule, C59 PreviousNextFactorRule



**SecurityDetails <SctyDtIs>** contains the following elements (see [FinancialInstrumentAttributes115](#) on page 919 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C12, C13, C19, C20, C23	921
	PlaceOfListing <PlcOfListg>	[0..1]	±		922
	DayCountBasis <DayCntBsis>	[0..1]	±		922
	ClassificationType <ClssfctnTp>	[0..1]	±		923
	OptionStyle <OptnStyle>	[0..1]	±		923
	DenominationCurrency <DnmtnCcy>	[0..1]	CodeSet	C2	923
	NextCouponDate <NxtCpnDt>	[0..1]	Date		924
	FloatingRateFixingDate <FltgRateFvgDt>	[0..1]	Date		924
	MaturityDate <MtrtyDt>	[0..1]	Date		924
	IssueDate <IsseDt>	[0..1]	Date		924
	NextCallableDate <NxtClblDt>	[0..1]	Date		924
	PutableDate <PutblDt>	[0..1]	Date		924
	DatedDate <DtdDt>	[0..1]	Date		924
	ConversionDate <ConvsDt>	[0..1]	Date		925
	PreviousFactor <PrvsFctr>	[0..1]	±		925
	NextFactor <NxtFctr>	[0..1]	±		925
	InterestRate <IntrstRate>	[0..1]	±		925
	NextInterestRate <NxtIntrstRate>	[0..1]	±		925
	MinimumNominalQuantity <MinNmnlQty>	[0..1]	±	C14	926
	MinimumQuantityToInstruct <MinQtyToInst>	[0..1]	±	C14	926
	MinimumMultipleQuantityToInstruct <MinMltpQtyToInst>	[0..1]	±	C14	927
	ContractSize <CtrctSz>	[0..1]	±	C14	927
	IssuePrice <IssePric>	[0..1]	±		928

**Constraints**

- **MaturityDateRule**  
 (Rule)

Maturity date may only provide generic information about the final maturity of the underlying instrument.

- **PreviousNextFactorRule**

(Rule)

In case of partial redemption by pool factor, PreviousFactor provides the factor applicable before redemption and NextFactor provides the factor applicable after redemption.

#### 7.4.13.23.2 CreditDebitIndicator <CdtDbtInd>

*Presence:* [1..1]

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

*Datatype:* [CreditDebitCode](#) on page 1309

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

#### 7.4.13.23.3 TemporaryFinancialInstrumentIndicator <TempFinInstrmInd>

*Presence:* [0..1]

*Definition:* Specifies that the security identified is a temporary security identification used for processing reasons, for example, contra security used in the US.

**TemporaryFinancialInstrumentIndicator <TempFinInstrmInd>** contains one of the following elements (see [TemporaryFinancialInstrumentIndicator4Choice](#) on page 1038 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	TemporaryIndicator <TempInd>	[1..1]	Indicator		1038
Or}	Proprietary <Prtry>	[1..1]	±		1038

#### 7.4.13.23.4 NonEligibleProceedsIndicator <NonElgblPrcdsInd>

*Presence:* [0..1]

*Definition:* Specifies information regarding outturn resources that cannot be processed by the Central Securities Depository (CSD). Special delivery instruction is required from the account owner for the corporate action outcome to be credited.

**NonEligibleProceedsIndicator <NonElgblPrcdsInd>** contains one of the following elements (see [NonEligibleProceedsIndicator4Choice](#) on page 1037 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1037
Or}	Proprietary <Prtry>	[1..1]	±		1038

#### 7.4.13.23.5 IssuerOfferorTaxabilityIndicator <IssrOfferrTaxbltyInd>

*Presence:* [0..1]

*Definition:* Proceeds are taxable according to the information provided by the issuer / offeror.

**IssuerOfferorTaxabilityIndicator <IssrOfferrTaxbltyInd>** contains one of the following elements (see [IssuerOfferorTaxabilityIndicator1Choice](#) on page 1074 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1074
Or}	Proprietary <Prtry>	[1..1]	±		1075

#### 7.4.13.23.6 NewSecuritiesIssuanceIndicator <NewScetiesIssnclnd>

*Presence:* [0..1]

*Definition:* Specifies the nature of the securities issue.

*Datatype:* [NewSecuritiesIssuanceType5Code](#) on page 1324

CodeName	Name	Definition
DEFE	DefeasedSecurityIndicator	Funds have been placed in escrow by a trustee or agent to ensure payment on a portion of the outstanding balance of the original security on maturity date. Applicable only in the frame of a Partial Defeasance PDEF corporate action event.
EXIS	ExistingIssue	Securities proceeds are not new issues.
NEIS	NewIssue	Securities proceeds are newly issued.
NDEF	NonDefeasedSecurityIndicator	Funds will not be guaranteed at maturity by the issuer or paying agent for this newly issued non-defeased security. Applicable only in the frame of a Partial Defeasance PDEF corporate action event.
UKWN	Unknown	Not known whether the securities proceeds are newly issued or not.
NREF	NonRefundedSecurityIndicator	New Security issued that has not been refunded and the maturity date of the original underlying security is unchanged. Applicable only in the frame of a Partial Defeasance PDEF corporate action event.
REFU	RefundedSecurityIndicator	New security issued that has been refunded to an earlier maturity date. Applicable only in the frame of a partial defeasance PDEF corporate action event.

#### 7.4.13.23.7 IncomeType <IncmTp>

*Presence:* [0..1]

*Definition:* Specifies the type of income.

The lists of income type codes to be used, are available on the SMPG website at [www.smpg.info](http://www.smpg.info).

**IncomeType <IncmTp>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 7.4.13.23.8 OtherIncomeType <OthrlncmTp>

*Presence:* [0..\*]

*Definition:* Type of income to be used under another tax regime.

**OtherIncomeType <OthrlncmTp>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 7.4.13.23.9 ExemptionType <XmptnTp>

*Presence:* [0..\*]

*Definition:* Specifies the basis for the reduced rate of withholding.

**ExemptionType <XmptnTp>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 7.4.13.23.10 EntitledQuantity <EntitldQty>

*Presence:* [0..1]

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

**EntitledQuantity <EntitldQty>** contains one of the following elements (see [Quantity54Choice](#) on page 1145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±	C14	1146
Or}	OriginalAndCurrentFace <OrgnlAndCurFace>	[1..1]	±		1146

### 7.4.13.23.11 SafekeepingPlace <SfkpgPlc>

*Presence:* [0..1]

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

**SafekeepingPlace <SfkpgPlc>** contains one of the following elements (see [SafekeepingPlaceFormat39Choice](#) on page 1218 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]	±		1218
Or	Country <Ctry>	[1..1]	CodeSet	C3	1219
Or	TypeAndIdentification <TpAndId>	[1..1]			1219
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		1219
	Identification <Id>	[1..1]	IdentifierSet	C1	1220
Or}	Proprietary <Prtry>	[1..1]	±		1220

### 7.4.13.23.12 CountryOfIncomeSource <CtryOfIncmSrc>

*Presence:* [0..1]

*Definition:* Indicates the country from which the income originates.

*Impacted by:* [C13 Country](#)

*Datatype:* [CountryCode](#) on page 1309

#### 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.

### 7.4.13.23.13 FractionDisposition <FrctnDspstn>

*Presence:* [0..1]

*Definition:* Specifies how fractions resulting from derived securities will be processed or how prorated decisions will be rounding, if provided with a pro ration rate.

**FractionDisposition <FrctnDspstn>** contains one of the following elements (see [FractionDispositionType31Choice](#) on page 1051 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1051
Or}	Proprietary <Prtry>	[1..1]	±		1051

#### 7.4.13.23.14 CurrencyOption <CcyOptn>

*Presence:* [0..1]

*Definition:* Currency in which the cash disbursed from an interest or dividend payment is offered.

*Impacted by:* [C1 ActiveCurrency](#)

*Datatype:* [ActiveCurrencyCode](#) on page 1261

##### Constraints

- **ActiveCurrency**

(Rule)

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

*Error handling:*

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

#### 7.4.13.23.15 TradingPeriod <TradgPrd>

*Presence:* [0..1]

*Definition:* Period during which intermediate or outturn securities are tradable in a secondary market.

**TradingPeriod <TradgPrd>** contains one of the following elements (see [Period6Choice](#) on page 891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Period <Prd>	[1..1]	±		892
Or}	PeriodCode <PrdCd>	[1..1]	CodeSet		892

#### 7.4.13.23.16 DateDetails <DtDtIs>

*Presence:* [1..1]

*Definition:* Provides information about the dates related to securities movement.

**DateDetails <DtDtls>** contains the following **SecurityDate23** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>PaymentDate</b> <PmtDt>	[1..1]	±		455
	<b>AvailableDate</b> <AvlbidDt>	[0..1]	±		455
	<b>DividendRankingDate</b> <DvddRnkgDt>	[0..1]	±		455
	<b>EarliestPaymentDate</b> <EarlstPmtDt>	[0..1]	±		456
	<b>PariPassuDate</b> <PrpssDt>	[0..1]	±		456
	<b>LastTradingDate</b> <LastTradgDt>	[0..1]	±		456

#### 7.4.13.23.16.1 PaymentDate <PmtDt>

*Presence:* [1..1]

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

**PaymentDate <PmtDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

#### 7.4.13.23.16.2 AvailableDate <AvlbidDt>

*Presence:* [0..1]

*Definition:* Date/time at which securities become available for trading, for example first dealing date.

**AvailableDate <AvlbidDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

#### 7.4.13.23.16.3 DividendRankingDate <DvddRnkgDt>

*Presence:* [0..1]

*Definition:* Date/time at which a security will be entitled to a dividend.

**DividendRankingDate <DvddRnkgDt>** contains one of the following elements (see [DateFormat41Choice on page 879](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

#### 7.4.13.23.16.4 EarliestPaymentDate <EarlstPmtDt>

*Presence:* [0..1]

*Definition:* Date/time at which a payment can be made, for example, if payment date is a non-business day or to indicate the first payment date of an offer.

**EarliestPaymentDate <EarlstPmtDt>** contains one of the following elements (see [DateFormat41Choice on page 879](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

#### 7.4.13.23.16.5 PariPassuDate <PrpssDt>

*Presence:* [0..1]

*Definition:* Date/time at which security will assimilate, become fungible, or have the same rights to dividends as the parent issue.

**PariPassuDate <PrpssDt>** contains one of the following elements (see [DateFormat41Choice on page 879](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

#### 7.4.13.23.16.6 LastTradingDate <LastTradgDt>

*Presence:* [0..1]

*Definition:* Date/time at which the securities to be reorganised will cease to be tradeable.



**LastTradingDate <LastTradgDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

#### 7.4.13.23.17 RateDetails <RateDtls>

*Presence:* [0..1]

*Definition:* Provides information about the rates related to securities movement.

**RateDetails <RateDtls>** contains the following **CorporateActionRate115** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AdditionalQuantityForSubscribedResultantSecurities</b> <AddtlQtyForSbcbdRsltntScies>	[0..1]	±		457
	<b>AdditionalQuantityForExistingSecurities</b> <AddtlQtyForExstgScies>	[0..1]	±		458
	<b>NewToOld</b> <NewToOd>	[0..1]	±		458
	<b>TransformationRate</b> <TrfrmatnRate>	[0..1]	Rate		459
	<b>ChargesFees</b> <ChrgsFees>	[0..1]	±		459
	<b>FiscalStamp</b> <FscIStmp>	[0..1]	±		459
	<b>ApplicableRate</b> <AplblRate>	[0..1]	±		460
	<b>TaxCreditRate</b> <TaxCdtRate>	[0..1]	±		460
	<b>FinancialTransactionTaxRate</b> <FinTxTaxRate>	[0..1]	±		460
	<b>WithholdingTaxRate</b> <WhldgTaxRate>	[0..*]	±		460
	<b>SecondLevelTax</b> <ScndLvITax>	[0..*]	±		461

##### 7.4.13.23.17.1 AdditionalQuantityForSubscribedResultantSecurities <AddtlQtyForSbcbdRsltntScies>

*Presence:* [0..1]

*Definition:* Quantity of additional intermediate securities/new equities awarded for a given quantity of securities derived from subscription.

**AdditionalQuantityForSubscribedResultantSecurities <AddtlQtyForSbcbdRsltntScies>** contains one of the following elements (see [RatioFormat23Choice](#) on page 1035 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	QuantityToQuantity <QtyToQty>	[1..1]	±		1036
Or	NotSpecifiedRate <NotSpcdfRate>	[1..1]	CodeSet		1036
Or}	AmountToAmount <AmtToAmt>	[1..1]			1036
	Amount1 <Amt1>	[1..1]	Amount	C1	1036
	Amount2 <Amt2>	[1..1]	Amount	C1	1037

**7.4.13.23.17.2 AdditionalQuantityForExistingSecurities <AddtlQtyForExstgScies>**

*Presence:* [0..1]

*Definition:* Quantity of additional securities for a given quantity of underlying securities where underlying securities are not exchanged or debited, for example, 1 for 1: 1 new equity credited for every 1 underlying equity = 2 resulting equities.

**AdditionalQuantityForExistingSecurities <AddtlQtyForExstgScies>** contains one of the following elements (see [RatioFormat23Choice](#) on page 1035 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	QuantityToQuantity <QtyToQty>	[1..1]	±		1036
Or	NotSpecifiedRate <NotSpcdfRate>	[1..1]	CodeSet		1036
Or}	AmountToAmount <AmtToAmt>	[1..1]			1036
	Amount1 <Amt1>	[1..1]	Amount	C1	1036
	Amount2 <Amt2>	[1..1]	Amount	C1	1037

**7.4.13.23.17.3 NewToOld <NewToOd>**

*Presence:* [0..1]

*Definition:* Quantity of new securities for a given quantity of underlying securities, where the underlying securities will be exchanged or debited, for example, 2 for 1: 2 new equities credited for every 1 underlying equity debited = 2 resulting equities.

**NewToOld <NewToOd>** contains one of the following elements (see [RatioFormat24Choice](#) on page 1031 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	QuantityToQuantity <QtyToQty>	[1..1]	±		1032
Or	NotSpecifiedRate <NotSpcdfRate>	[1..1]	CodeSet		1032
Or	AmountToAmount <AmtToAmt>	[1..1]			1032
	Amount1 <Amt1>	[1..1]	Amount	C1	1033
	Amount2 <Amt2>	[1..1]	Amount	C1	1033
Or	AmountToQuantity <AmtToQty>	[1..1]			1034
	Amount <Amt>	[1..1]	Amount	C1	1034
	Quantity <Qty>	[1..1]	Quantity		1034
Or}	QuantityToAmount <QtyToAmt>	[1..1]			1034
	Amount <Amt>	[1..1]	Amount	C1	1035
	Quantity <Qty>	[1..1]	Quantity		1035

#### 7.4.13.23.17.4 TransformationRate <TrfrmatnRate>

*Presence:* [0..1]

*Definition:* Rate used to determine the cash consideration split across outturn settlement transactions that are the result of a transformation of the parent transaction.

*Datatype:* [PercentageRate](#) on page 1347

#### 7.4.13.23.17.5 ChargesFees <ChrgsFees>

*Presence:* [0..1]

*Definition:* Rate used to calculate the amount of the charges/fees that cannot be categorised.

**ChargesFees <ChrgsFees>** contains one of the following elements (see [RateAndAmountFormat46Choice](#) on page 1209 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1209
Or	NotSpecifiedRate <NotSpcdfRate>	[1..1]	CodeSet		1209
Or}	Amount <Amt>	[1..1]	Amount	C1	1209

#### 7.4.13.23.17.6 FiscalStamp <FscIStmp>

*Presence:* [0..1]

*Definition:* Percentage of fiscal tax to apply.

**FiscalStamp <FscIStmp>** contains one of the following elements (see [RateFormat3Choice](#) on page 1151 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1151
Or}	NotSpecifiedRate <NotSpdfdRate>	[1..1]	CodeSet		1151

#### 7.4.13.23.17.7 ApplicableRate <AplblRate>

*Presence:* [0..1]

*Definition:* Rate applicable to the event announced, for example, redemption rate for a redemption event.

**ApplicableRate <AplblRate>** contains one of the following elements (see [RateFormat3Choice](#) on page 1151 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1151
Or}	NotSpecifiedRate <NotSpdfdRate>	[1..1]	CodeSet		1151

#### 7.4.13.23.17.8 TaxCreditRate <TaxCdtRate>

*Presence:* [0..1]

*Definition:* Amount of money per equity allocated as the result of a tax credit.

**TaxCreditRate <TaxCdtRate>** contains one of the following elements (see [RateFormat21Choice](#) on page 1207 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1207
Or	Amount <Amt>	[1..1]	Amount	C1	1207
Or}	NotSpecifiedRate <NotSpdfdRate>	[1..1]	CodeSet		1208

#### 7.4.13.23.17.9 FinancialTransactionTaxRate <FinTxTaxRate>

*Presence:* [0..1]

*Definition:* Rate of financial transaction tax.

**FinancialTransactionTaxRate <FinTxTaxRate>** contains one of the following elements (see [RateFormat3Choice](#) on page 1151 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1151
Or}	NotSpecifiedRate <NotSpdfdRate>	[1..1]	CodeSet		1151

#### 7.4.13.23.17.10 WithholdingTaxRate <WhldgTaxRate>

*Presence:* [0..\*]

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

**WithholdingTaxRate <WhldgTaxRate>** contains one of the following elements (see [RateAndAmountFormat47Choice](#) on page 1041 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1041
Or	NotSpecifiedRate <NotSpcdfRate>	[1..1]	CodeSet		1042
Or	Amount <Amt>	[1..1]	Amount	C1	1042
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			1042
	RateType <RateTp>	[1..1]			1042
{Or	Code <Cd>	[1..1]	CodeSet		1043
Or}	Proprietary <Prtry>	[1..1]	±		1043
	Rate <Rate>	[1..1]	Rate		1043

#### 7.4.13.23.17.11 SecondLevelTax <ScndLvITax>

*Presence:* [0..\*]

*Definition:* Rate at which the income will be withheld by a jurisdiction other than the jurisdiction of the issuer's country of tax incorporation, for which a relief at source and/or reclaim may be possible. It is levied in complement or offset of the withholding tax rate (TAXR) levied by the jurisdiction of the issuer's tax domicile.

**SecondLevelTax <ScndLvITax>** contains one of the following elements (see [RateAndAmountFormat47Choice](#) on page 1041 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1041
Or	NotSpecifiedRate <NotSpcdfRate>	[1..1]	CodeSet		1042
Or	Amount <Amt>	[1..1]	Amount	C1	1042
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			1042
	RateType <RateTp>	[1..1]			1042
{Or	Code <Cd>	[1..1]	CodeSet		1043
Or}	Proprietary <Prtry>	[1..1]	±		1043
	Rate <Rate>	[1..1]	Rate		1043

#### 7.4.13.23.18 PriceDetails <PricDtls>

*Presence:* [0..1]

*Definition:* Provides information about the prices related to securities movement.

*Impacted by:* [C29 GenericCashPricePerProductGuideline](#)

**PriceDetails <PricDtls>** contains the following **CorporateActionPrice79** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>IndicativeOrMarketPrice</b> <IndctvOrMktPric>	[0..1]	±		462
	<b>CashInLieuOfSharePrice</b> <CshInLieuOfShrPric>	[0..1]	±		462
	<b>CashValueForTax</b> <CshValForTax>	[0..1]	±		463
	<b>GenericCashPricePaidPerProduct</b> <GncCshPricPdPerPdct>	[0..1]	±		463
	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		463

**Constraints**

- **GenericCashPricePerProductGuideline**

(Guideline)

GenericCashPriceReceivedPerProduct and GenericCashPricePaidPerProduct are prices received or paid in the course of an event. The specific meaning (redemption price, subscription price, reinvestment price, etc.) is derived from the event type.

**7.4.13.23.18.1 IndicativeOrMarketPrice <IndctvOrMktPric>**

*Presence:* [0..1]

*Definition:* Indicates whether the price is an indicative price or a market price.

**IndicativeOrMarketPrice <IndctvOrMktPric>** contains one of the following elements (see [IndicativeOrMarketPrice11Choice](#) on page 1129 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IndicativePrice <IndctvPric>	[1..1]	±		1130
Or}	MarketPrice <MktPric>	[1..1]	±		1130

**7.4.13.23.18.2 CashInLieuOfSharePrice <CshInLieuOfShrPric>**

*Presence:* [0..1]

*Definition:* Cash disbursement in lieu of equities; usually in lieu of fractional quantity.

**CashInLieuOfSharePrice <CshInLieuOfShrPric>** contains one of the following elements (see [PriceFormat57Choice](#) on page 1132 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1132
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1132
	PriceValue <PricVal>	[1..1]	Rate		1133
Or	AmountPrice <AmtPric>	[1..1]	±		1133
Or}	NotSpecifiedPrice <NotSpdfdPric>	[1..1]	CodeSet		1133

#### 7.4.13.23.18.3 CashValueForTax <CshValForTax>

*Presence:* [0..1]

*Definition:* Cash value of resulting securities proceeds for tax calculation and/or reporting.

**CashValueForTax <CshValForTax>** contains one of the following elements (see [PriceFormat58Choice](#) on page 1131 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AmountPrice <AmtPric>	[1..1]	±		1131
Or}	NotSpecifiedPrice <NotSpcfdPric>	[1..1]	CodeSet		1132

#### 7.4.13.23.18.4 GenericCashPricePaidPerProduct <GncCshPricPdPerPdct>

*Presence:* [0..1]

*Definition:* Generic cash price paid per product by the underlying security holder either as a percentage or an amount or a number of points above an index, for example, reinvestment price, strike price and exercise price.

**GenericCashPricePaidPerProduct <GncCshPricPdPerPdct>** contains one of the following elements (see [PriceFormat59Choice](#) on page 1133 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1134
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1134
	PriceValue <PricVal>	[1..1]	Rate		1134
Or	AmountPrice <AmtPric>	[1..1]	±		1134
Or	NotSpecifiedPrice <NotSpcfdPric>	[1..1]	CodeSet		1135
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		1135

#### 7.4.13.23.18.5 GenericCashPriceReceivedPerProduct <GncCshPricRcvdPerPdct>

*Presence:* [0..1]

*Definition:* Generic cash price received per product by the underlying security holder either as a percentage or an amount, for example, redemption price.

**GenericCashPriceReceivedPerProduct <GncCshPricRcvdPerPdct>** contains one of the following elements (see [PriceFormat70Choice](#) on page 1120 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1121
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1121
	PriceValue <PricVal>	[1..1]	Rate		1122
Or	AmountPrice <AmtPric>	[1..1]	±		1122
Or	NotSpecifiedPrice <NotSpdfdPric>	[1..1]	CodeSet		1122
Or	AmountPricePerFinancialInstrumentQuantity <AmtPricPerFinInstrmQty>	[1..1]			1122
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1123
	PriceValue <PricVal>	[1..1]	Amount	C1	1123
	FinancialInstrumentQuantity <FinInstrmQty>	[1..1]	±	C14	1123
Or	AmountPricePerAmount <AmtPricPerAmt>	[1..1]			1124
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1124
	PriceValue <PricVal>	[1..1]	Amount	C1	1124
	Amount <Amt>	[1..1]	Amount	C1	1125
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		1125

#### 7.4.13.23.19 AmountDetails <AmtDtls>

*Presence:* [0..1]

*Definition:* Provides information about the amounts related to a securities movement.

**AmountDetails <AmtDtls>** contains the following **CorporateActionAmounts61** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>WithholdingTaxAmount</b> <WhldgTaxAmt>	[0..1]	Amount	C1, C14	464
	<b>SecondLevelTaxAmount</b> <ScndLvlTaxAmt>	[0..1]	Amount	C1, C14	465

#### 7.4.13.23.19.1 WithholdingTaxAmount <WhldgTaxAmt>

*Presence:* [0..1]

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

*Impacted by:* C1 ActiveCurrency, C14 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259



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### Constraints

- **ActiveCurrency**

(Rule)

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

#### 7.4.13.23.19.2 SecondLevelTaxAmount <ScndLvlTaxAmt>

*Presence:* [0..1]

*Definition:* Amount of money withheld by the jurisdiction other than the jurisdiction of the issuer's country of tax incorporation, for which a relief at source and/or reclaim may be possible. It is levied in complement or offset of the withholding tax rate levied by the jurisdiction of the issuer's tax domicile.

*Impacted by:* C1 ActiveCurrency, C14 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

### Constraints

- **ActiveCurrency**

(Rule)

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

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005

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– *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

#### 7.4.13.24 CashMovementDetails <CshMvmntDtIs>

*Presence*: [0..\*]

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

*Impacted by*: C28 ExemptionTypeUsageRule, C39 IncomeType2Rule, C41 IncomeTypeUsageRule, C47 IssuerOfferorTaxabilityIndicatorUsageRule

**CashMovementDetails <CshMvmntDtls>** contains the following **CashOption88** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CreditDebitIndicator</b> <CdtDbtInd>	[1..1]	CodeSet		471
	<b>ContractualPaymentIndicator</b> <CtrctlPmtInd>	[0..1]	CodeSet		471
	<b>NonEligibleProceedsIndicator</b> <NonElgblPrclsInd>	[0..1]	±		471
	<b>IssuerOfferorTaxabilityIndicator</b> <IssrOfferrTaxbltyInd>	[0..1]	±		472
	<b>IncomeType</b> <IncmTp>	[0..1]	±		472
	<b>OtherIncomeType</b> <OthrIncmTp>	[0..*]	±		472
	<b>ExemptionType</b> <XmptnTp>	[0..*]	±		473
	<b>CountryOfIncomeSource</b> <CtryOfIncmSrc>	[0..1]	CodeSet	C13	473
	<b>CashAccountIdentification</b> <CshAcctId>	[0..1]	±		473
	<b>AmountDetails</b> <AmtDtls>	[0..1]			474
	<b>GrossCashAmount</b> <GrssCshAmt>	[0..1]	Amount	C1, C14	477
	<b>NetCashAmount</b> <NetCshAmt>	[0..1]	Amount	C1, C14	477
	<b>SolicitationFees</b> <SlctnFees>	[0..1]	Amount	C1, C14	478
	<b>CashInLieuOfShare</b> <CshInLieuOfShr>	[0..1]	Amount	C1, C14	479
	<b>CapitalGain</b> <CptlGn>	[0..1]	Amount	C1, C14	480
	<b>InterestAmount</b> <IntrstAmt>	[0..1]	Amount	C1, C14	480
	<b>MarketClaimAmount</b> <MktClmAmt>	[0..1]	Amount	C1, C14	481
	<b>IndemnityAmount</b> <IndmntyAmt>	[0..1]	Amount	C1, C14	482
	<b>ManufacturedDividendPaymentAmount</b> <ManfctrdDvddPmtAmt>	[0..1]	Amount	C1, C14	482
	<b>ReinvestmentAmount</b> <RinvstmtAmt>	[0..1]	Amount	C1, C14	483
	<b>FullyFrankedAmount</b> <FullyFrnkAmt>	[0..1]	Amount	C1, C14	484
	<b>UnfrankedAmount</b> <UfrnkAmt>	[0..1]	Amount	C1, C14	485
	<b>SundryOrOtherAmount</b> <SndryOrOthrAmt>	[0..1]	Amount	C1, C14	485
	<b>TaxFreeAmount</b> <TaxFreeAmt>	[0..1]	Amount	C1, C14	486
	<b>TaxDeferredAmount</b> <TaxDfrrdAmt>	[0..1]	Amount	C1, C14	487

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ValueAddedTaxAmount</b> <ValAddedTaxAmt>	[0..1]	Amount	C1, C14	487
	<b>StampDutyAmount</b> <StmpDtyAmt>	[0..1]	Amount	C1, C14	488
	<b>TaxReclaimAmount</b> <TaxRclmAmt>	[0..1]	Amount	C1, C14	489
	<b>TaxCreditAmount</b> <TaxCdtAmt>	[0..1]	Amount	C1, C14	490
	<b>AdditionalTaxAmount</b> <AddtlTaxAmt>	[0..1]	Amount	C1, C14	490
	<b>WithholdingTaxAmount</b> <WhldgTaxAmt>	[0..1]	Amount	C1, C14	491
	<b>SecondLevelTaxAmount</b> <ScndLvlTaxAmt>	[0..1]	Amount	C1, C14	492
	<b>FiscalStampAmount</b> <FscIStmpAmt>	[0..1]	Amount	C1, C14	492
	<b>ExecutingBrokerAmount</b> <ExctgBrkrAmt>	[0..1]	Amount	C1, C14	493
	<b>PayingAgentCommissionAmount</b> <PngAgtComssnAmt>	[0..1]	Amount	C1, C14	494
	<b>LocalBrokerCommissionAmount</b> <LclBrkrComssnAmt>	[0..1]	Amount	C1, C14	495
	<b>RegulatoryFeesAmount</b> <RgltryFeesAmt>	[0..1]	Amount	C1, C14	495
	<b>ShippingFeesAmount</b> <ShppgFeesAmt>	[0..1]	Amount	C1, C14	496
	<b>ChargesAmount</b> <ChrgsAmt>	[0..1]	Amount	C1, C14	497
	<b>EntitledAmount</b> <EntitldAmt>	[0..1]	Amount	C1, C14	497
	<b>OriginalAmount</b> <OrgnlAmt>	[0..1]	Amount	C1, C14	498
	<b>AccruedInterestAmount</b> <AcrdIntrstAmt>	[0..1]	Amount	C1, C14	499
	<b>IncomePortion</b> <IncmPrtn>	[0..1]	Amount	C1, C14	500
	<b>EqualisationAmount</b> <EqulstnAmt>	[0..1]	Amount	C1, C14	500
	<b>FATCATaxAmount</b> <FATCATaxAmt>	[0..1]	Amount	C1, C14	501
	<b>NRATaxAmount</b> <NRATaxAmt>	[0..1]	Amount	C1, C14	502
	<b>BackUpWithholdingTaxAmount</b> <BckUpWhldgTaxAmt>	[0..1]	Amount	C1, C14	502

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TaxOnIncomeAmount</b> <TaxOnIncmAmt>	[0..1]	Amount	C1, C14	503
	<b>TransactionTax</b> <TxTax>	[0..1]	Amount	C1, C14	504
	<b>DeemedAmount</b> <DmdAmt>	[0..1]	Amount	C1, C14	505
	<b>ForeignIncomeAmount</b> <FrgnIncmAmt>	[0..1]	Amount	C1, C14	505
	<b>DeemedDividendAmount</b> <DmdDvddAmt>	[0..1]	Amount	C1, C14	506
	<b>DeemedFundAmount</b> <DmdFndAmt>	[0..1]	Amount	C1, C14	507
	<b>DeemedInterestAmount</b> <DmdInrstAmt>	[0..1]	Amount	C1, C14	507
	<b>DeemedRoyaltiesAmount</b> <DmdRyltsAmt>	[0..1]	Amount	C1, C14	508
	<b>DateDetails</b> <DtDtls>	[1..1]			509
	<b>PaymentDate</b> <PmtDt>	[1..1]	±		509
	<b>ValueDate</b> <ValDt>	[0..1]	±		509
	<b>ForeignExchangeRateFixingDate</b> <FXRateFxdDt>	[0..1]	±		510
	<b>EarliestPaymentDate</b> <EarlstPmtDt>	[0..1]	±		510
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..1]	±		510
	<b>RateAndAmountDetails</b> <RateAndAmtDtls>	[0..1]		C15, C16, C32, C34, C51, C53, C70, C72, C74, C78, C80	511
	<b>AdditionalTax</b> <AddtlTax>	[0..1]	±		515
	<b>GrossDividendRate</b> <GrssDvddRate>	[0..*]	±		515
	<b>InterestRateUsedForPayment</b> <InrstRateUsdForPmt>	[0..*]	±		516
	<b>WithholdingTaxRate</b> <WhldgTaxRate>	[0..*]	±		517
	<b>SecondLevelTax</b> <ScndLvlTax>	[0..*]	±		517
	<b>ChargesFees</b> <ChrgsFees>	[0..1]	±		518
	<b>EarlySolicitationFeeRate</b> <EarlySlctnFeeRate>	[0..1]	±		518
	<b>FiscalStamp</b> <FscIStmp>	[0..1]	±		519

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ThirdPartyIncentiveRate</b> <ThrdPtyIncntivRate>	[0..1]	±		519
	<b>NetDividendRate</b> <NetDvddRate>	[0..*]	±		519
	<b>ApplicableRate</b> <AplblRate>	[0..1]	±		520
	<b>SolicitationFeeRate</b> <SlctnFeeRate>	[0..1]	±		520
	<b>TaxCreditRate</b> <TaxCdtRate>	[0..1]	±		521
	<b>TaxOnIncome</b> <TaxOnIncm>	[0..1]	±		521
	<b>TaxOnProfits</b> <TaxOnPrfts>	[0..1]	±		521
	<b>TaxReclaimRate</b> <TaxRclmRate>	[0..1]	±		522
	<b>EqualisationRate</b> <EqulstnRate>	[0..1]	±		522
	<b>DeemedRate</b> <DmdRate>	[0..*]	±		522
	<b>PriceDetails</b> <PricDtls>	[0..1]		C30	523
	<b>GenericCashPricePaidPerProduct</b> <GncCshPricPdPerPdct>	[0..1]	±		524
	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		524
	<b>CashInLieuOfSharePrice</b> <CshInLieuOfShrPric>	[0..1]	±		525

**Constraints**

- **ExemptionTypeUsageRule**

(Rule)

The lists of exemption type codes to be used in ExemptionType are provided in the document "ETYP-ITYP Exemption & Income Type Codes" available on the SMPG website at [www.smpg.info](http://www.smpg.info).

*Error handling:*

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

- **IncomeType2Rule**

(Rule)

If at least one occurrence of OtherIncomeType is present, then IncomeType must be present.

On Condition

/OtherIncomeType[\*] is present

Following Must be True

/IncomeType Must be present

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00546

– *Error Text:* Invalid message contents for IncomeType. Element must be present.

• **IncomeTypeUsageRule**

(Rule)

The lists of income type codes to be used in IncomeType are provided in the document "ETYP-ITYP Exemption & Income Type Codes" available on the SMPG website at [www.smpg.info](http://www.smpg.info).

*Error handling:*

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

• **IssuerOfferorTaxabilityIndicatorUsageRule**

(Rule)

The IssuerOfferorTaxabilityIndicator may only be used when no tax rate is provided in the message and it must not be used in events such as dividend or interest.

The list of proprietary IssuerOfferorTaxabilityIndicator codes that may be used are provided in the document "TXAP Taxability Codes" available on the SMPG website at [www.smpg.info](http://www.smpg.info).

**7.4.13.24.1 CreditDebitIndicator <CdtDbtInd>**

*Presence:* [1..1]

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

*Datatype:* [CreditDebitCode on page 1309](#)

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

**7.4.13.24.2 ContractualPaymentIndicator <CtrctIPmtInd>**

*Presence:* [0..1]

*Definition:* Indicates whether the cash payment occurs or will occur in advance of receipt of proceeds from the issuer and based on a contractual agreement established with the account servicer or upon receipt of proceeds from the issuer.

*Datatype:* [Payment1Code on page 1329](#)

CodeName	Name	Definition
ACTU	ActualPayment	The cash payment occurs or will occur upon receipt of proceeds from the issuer.
CONT	ContractualPayment	The cash payment occurs or will occur in advance of receipt of proceeds from the issuer and based on a contractual agreement established with the account servicer.

**7.4.13.24.3 NonEligibleProceedsIndicator <NonElgblPrclsInd>**

*Presence:* [0..1]

*Definition:* Specifies information regarding outturn resources that cannot be processed by the Central Securities Depository (CSD). Special delivery instruction is required from the account owner for the corporate action outcome to be credited.

**NonEligibleProceedsIndicator <NonElgblPrcdsInd>** contains one of the following elements (see [NonEligibleProceedsIndicator4Choice](#) on page 1037 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1037
Or}	Proprietary <Prtry>	[1..1]	±		1038

#### 7.4.13.24.4 IssuerOfferorTaxabilityIndicator <IssrOfferrTaxbltyInd>

*Presence:* [0..1]

*Definition:* Proceeds are taxable according to the information provided by the issuer / offeror.

**IssuerOfferorTaxabilityIndicator <IssrOfferrTaxbltyInd>** contains one of the following elements (see [IssuerOfferorTaxabilityIndicator1Choice](#) on page 1074 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1074
Or}	Proprietary <Prtry>	[1..1]	±		1075

#### 7.4.13.24.5 IncomeType <IncmTp>

*Presence:* [0..1]

*Definition:* Specifies the type of income.

The lists of income type codes to be used, are available on the SMPG website at [www.smpg.info](http://www.smpg.info).

**IncomeType <IncmTp>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 7.4.13.24.6 OtherIncomeType <OthrIncmTp>

*Presence:* [0..\*]

*Definition:* Type of income to be used under another tax regime.



**OtherIncomeType <OthrIncmTp>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 7.4.13.24.7 ExemptionType <XmptnTp>

*Presence:* [0..\*]

*Definition:* Specifies the basis for the reduced rate of withholding.

**ExemptionType <XmptnTp>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 7.4.13.24.8 CountryOfIncomeSource <CtryOfIncmSrc>

*Presence:* [0..1]

*Definition:* Indicates the country from which the income originates.

*Impacted by:* [C13 Country](#)

*Datatype:* [CountryCode](#) on page 1309

##### 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.

#### 7.4.13.24.9 CashAccountIdentification <CshAcctId>

*Presence:* [0..1]

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

**CashAccountIdentification <CshAcctId>** contains one of the following elements (see [CashAccountIdentification6Choice](#) on page 868 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IBAN <IBAN>	[1..1]	IdentifierSet	C18	868
Or}	Proprietary <Prtry>	[1..1]	Text		869

#### 7.4.13.24.10 AmountDetails <AmtDtls>

*Presence:* [0..1]

*Definition:* Provides information about the amounts related to a cash movement.

**AmountDetails <AmtDtls>** contains the following **CorporateActionAmounts62** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>GrossCashAmount</b> <GrssCshAmt>	[0..1]	Amount	C1, C14	477
	<b>NetCashAmount</b> <NetCshAmt>	[0..1]	Amount	C1, C14	477
	<b>SolicitationFees</b> <SlctnFees>	[0..1]	Amount	C1, C14	478
	<b>CashInLieuOfShare</b> <CshInLieuOfShr>	[0..1]	Amount	C1, C14	479
	<b>CapitalGain</b> <CptlGn>	[0..1]	Amount	C1, C14	480
	<b>InterestAmount</b> <IntrstAmt>	[0..1]	Amount	C1, C14	480
	<b>MarketClaimAmount</b> <MktCImAmt>	[0..1]	Amount	C1, C14	481
	<b>IndemnityAmount</b> <IndmntyAmt>	[0..1]	Amount	C1, C14	482
	<b>ManufacturedDividendPaymentAmount</b> <ManfctrdDvddPmtAmt>	[0..1]	Amount	C1, C14	482
	<b>ReinvestmentAmount</b> <RinvstmtAmt>	[0..1]	Amount	C1, C14	483
	<b>FullyFrankedAmount</b> <FullyFrnkAmt>	[0..1]	Amount	C1, C14	484
	<b>UnfrankedAmount</b> <UfrnkAmt>	[0..1]	Amount	C1, C14	485
	<b>SundryOrOtherAmount</b> <SndryOrOthrAmt>	[0..1]	Amount	C1, C14	485
	<b>TaxFreeAmount</b> <TaxFreeAmt>	[0..1]	Amount	C1, C14	486
	<b>TaxDeferredAmount</b> <TaxDfrrdAmt>	[0..1]	Amount	C1, C14	487
	<b>ValueAddedTaxAmount</b> <ValAddedTaxAmt>	[0..1]	Amount	C1, C14	487
	<b>StampDutyAmount</b> <StmpDtyAmt>	[0..1]	Amount	C1, C14	488
	<b>TaxReclaimAmount</b> <TaxRclmAmt>	[0..1]	Amount	C1, C14	489
	<b>TaxCreditAmount</b> <TaxCdtAmt>	[0..1]	Amount	C1, C14	490
	<b>AdditionalTaxAmount</b> <AddtlTaxAmt>	[0..1]	Amount	C1, C14	490
	<b>WithholdingTaxAmount</b> <WhldgTaxAmt>	[0..1]	Amount	C1, C14	491
	<b>SecondLevelTaxAmount</b> <ScndLvlTaxAmt>	[0..1]	Amount	C1, C14	492

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>FiscalStampAmount</b> <FscIStmpAmt>	[0..1]	Amount	C1, C14	492
	<b>ExecutingBrokerAmount</b> <ExctgBrkrAmt>	[0..1]	Amount	C1, C14	493
	<b>PayingAgentCommissionAmount</b> <PngAgtComssnAmt>	[0..1]	Amount	C1, C14	494
	<b>LocalBrokerCommissionAmount</b> <LclBrkrComssnAmt>	[0..1]	Amount	C1, C14	495
	<b>RegulatoryFeesAmount</b> <RgltryFeesAmt>	[0..1]	Amount	C1, C14	495
	<b>ShippingFeesAmount</b> <ShppgFeesAmt>	[0..1]	Amount	C1, C14	496
	<b>ChargesAmount</b> <ChrgsAmt>	[0..1]	Amount	C1, C14	497
	<b>EntitledAmount</b> <EntitldAmt>	[0..1]	Amount	C1, C14	497
	<b>OriginalAmount</b> <OrgnlAmt>	[0..1]	Amount	C1, C14	498
	<b>AccruedInterestAmount</b> <AcrdIntrstAmt>	[0..1]	Amount	C1, C14	499
	<b>IncomePortion</b> <IncmPrtn>	[0..1]	Amount	C1, C14	500
	<b>EqualisationAmount</b> <EqulstnAmt>	[0..1]	Amount	C1, C14	500
	<b>FATCATaxAmount</b> <FATCATaxAmt>	[0..1]	Amount	C1, C14	501
	<b>NRATaxAmount</b> <NRATaxAmt>	[0..1]	Amount	C1, C14	502
	<b>BackUpWithholdingTaxAmount</b> <BckUpWhldgTaxAmt>	[0..1]	Amount	C1, C14	502
	<b>TaxOnIncomeAmount</b> <TaxOnIncmAmt>	[0..1]	Amount	C1, C14	503
	<b>TransactionTax</b> <TxTax>	[0..1]	Amount	C1, C14	504
	<b>DeemedAmount</b> <DmdAmt>	[0..1]	Amount	C1, C14	505
	<b>ForeignIncomeAmount</b> <FrgnIncmAmt>	[0..1]	Amount	C1, C14	505
	<b>DeemedDividendAmount</b> <DmdDvddAmt>	[0..1]	Amount	C1, C14	506
	<b>DeemedFundAmount</b> <DmdFndAmt>	[0..1]	Amount	C1, C14	507
	<b>DeemedInterestAmount</b> <DmdIntrstAmt>	[0..1]	Amount	C1, C14	507

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>DeemedRoyaltiesAmount</b> <DmdRyltsAmt>	[0..1]	Amount	C1, C14	508

**7.4.13.24.10.1 GrossCashAmount <GrssCshAmt>**

*Presence:* [0..1]

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

*Impacted by:* C1 ActiveCurrency, C14 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

**Constraints**

- **ActiveCurrency**

(Rule)

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

**7.4.13.24.10.2 NetCashAmount <NetCshAmt>**

*Presence:* [0..1]

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

*Impacted by:* C1 ActiveCurrency, C14 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

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## Constraints

- **ActiveCurrency**

(Rule)

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

### 7.4.13.24.10.3 SolicitationFees <SlctnFees>

*Presence:* [0..1]

*Definition:* Cash premium made available if the securities holder consents or participates to an event, for example consent fees or solicitation fees.

*Impacted by:* C1 ActiveCurrency, C14 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

## Constraints

- **ActiveCurrency**

(Rule)

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

#### 7.4.13.24.10.4 CashInLieuOfShare <CshInLieuOfShr>

*Presence*: [0..1]

*Definition*: Cash disbursement in lieu of a fractional quantity of, for example, equity.

*Impacted by*: C1 ActiveCurrency \_\_, C14 CurrencyAmount \_\_

*Datatype*: RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

#### 7.4.13.24.10.5 CapitalGain <CptlGn>

*Presence:* [0..1]

*Definition:* Amount of money distributed as the result of a capital gain.

*Impacted by:* C1 ActiveCurrency \_\_, C14 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

##### Constraints

- **ActiveCurrency**

(Rule)

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

#### 7.4.13.24.10.6 InterestAmount <IntrstAmt>

*Presence:* [0..1]

*Definition:* Amount of money representing a coupon payment.

*Impacted by:* C1 ActiveCurrency \_\_, C14 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

##### Constraints

- **ActiveCurrency**

(Rule)

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

#### 7.4.13.24.10.7 MarketClaimAmount <MktCImAmt>

*Presence:* [0..1]

*Definition:* Amount of money resulting from a market claim.

*Impacted by:* C1 ActiveCurrency, C14 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

**7.4.13.24.10.8 IndemnityAmount <IndmntyAmt>**

*Presence:* [0..1]

*Definition:* (Unique to France) Amount due to a buyer of securities dealt prior to ex date which may be subject to different rate of taxation.

*Impacted by:* C1 ActiveCurrency, C14 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

**Constraints**

• **ActiveCurrency**

(Rule)

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

**7.4.13.24.10.9 ManufacturedDividendPaymentAmount <ManfctrdDvddPmtAmt>**

*Presence:* [0..1]

*Definition:* Amount of money that the borrower pays to the lender as a compensation. It does not entitle the lender to reclaim any tax credit and is sometimes treated differently by the local tax authorities of the lender. Also covers compensation/indemnity of missed dividend concerning early/late settlements if applicable to a market.

*Impacted by:* C1 ActiveCurrency, C14 CurrencyAmount

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*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

#### 7.4.13.24.10.10 ReinvestmentAmount <RinvstmtAmt>

*Presence:* [0..1]

*Definition:* Amount of money reinvested in additional securities.

*Impacted by:* C1 ActiveCurrency, C14 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005

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– *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

#### 7.4.13.24.10.11 FullyFrankedAmount <FullyFrnkdAmt>

*Presence:* [0..1]

*Definition:* Amount resulting from a fully franked dividend paid by a company; amount includes tax credit for companies that have made sufficient tax payments during the fiscal period.

*Impacted by:* C1 ActiveCurrency \_\_\_\_, C14 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

#### 7.4.13.24.10.12 UnfrankedAmount <UfrnkdAmt>

*Presence:* [0..1]

*Definition:* Amount resulting from an unfranked dividend paid by a company; the amount does not include tax credit and is subject to withholding tax.

*Impacted by:* C1 ActiveCurrency \_\_\_\_, C14 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

##### Constraints

- **ActiveCurrency**

(Rule)

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

#### 7.4.13.24.10.13 SundryOrOtherAmount <SndryOrOthrAmt>

*Presence:* [0..1]

*Definition:* Amount of money related to taxable income that cannot be categorised.

*Impacted by:* C1 ActiveCurrency \_\_\_\_, C14 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

##### Constraints

- **ActiveCurrency**

(Rule)

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

#### 7.4.13.24.10.14 TaxFreeAmount <TaxFreeAmt>

*Presence:* [0..1]

*Definition:* Amount of money that has not been subject to taxation.

*Impacted by:* C1 ActiveCurrency, C14 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

**7.4.13.24.10.15 TaxDeferredAmount <TaxDfrdAmt>**

*Presence:* [0..1]

*Definition:* Amount of income eligible for deferred taxation.

*Impacted by:* C1 ActiveCurrency, C14 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

**Constraints**

• **ActiveCurrency**

(Rule)

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

**7.4.13.24.10.16 ValueAddedTaxAmount <ValAddedTaxAmt>**

*Presence:* [0..1]

*Definition:* Amount of value added tax.

*Impacted by:* C1 ActiveCurrency, C14 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

---

### Constraints

- **ActiveCurrency**

(Rule)

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

#### 7.4.13.24.10.17 StampDutyAmount <StmpDtyAmt>

*Presence:* [0..1]

*Definition:* Amount of stamp duty.

*Impacted by:* C1 ActiveCurrency, C14 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

### Constraints

- **ActiveCurrency**

(Rule)

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

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005



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– *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

#### 7.4.13.24.10.18 TaxReclaimAmount <TaxRclmAmt>

*Presence:* [0..1]

*Definition:* Amount that was paid in excess of actual tax obligation and was reclaimed.

*Impacted by:* C1 ActiveCurrency \_\_, C14 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

#### 7.4.13.24.10.19 TaxCreditAmount <TaxCdtAmt>

*Presence:* [0..1]

*Definition:* Amount of taxes that have been previously paid in relation to the taxable event.

*Impacted by:* C1 ActiveCurrency \_\_, C14 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

##### Constraints

- **ActiveCurrency**

(Rule)

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

#### 7.4.13.24.10.20 AdditionalTaxAmount <AddtlTaxAmt>

*Presence:* [0..1]

*Definition:* Amount of additional taxes that cannot be categorised.

*Impacted by:* C1 ActiveCurrency \_\_, C14 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

##### Constraints

- **ActiveCurrency**

(Rule)

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

#### 7.4.13.24.10.21 WithholdingTaxAmount <WhldgTaxAmt>

*Presence:* [0..1]

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

*Impacted by:* C1 ActiveCurrency, C14 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

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*Error handling:*

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

#### **7.4.13.24.10.22 SecondLevelTaxAmount <ScndLvITaxAmt>**

*Presence:* [0..1]

*Definition:* Amount of money withheld by the jurisdiction other than the jurisdiction of the issuer's country of tax incorporation, for which a relief at source and/or reclaim may be possible. It is levied in complement or offset of the withholding tax rate levied by the jurisdiction of the issuer's tax domicile.

*Impacted by:* C1 ActiveCurrency, C14 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### **Constraints**

- **ActiveCurrency**

(Rule)

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

#### **7.4.13.24.10.23 FiscalStampAmount <FsciStmpAmt>**

*Presence:* [0..1]

*Definition:* Amount of fiscal tax to apply.

*Impacted by:* C1 ActiveCurrency, C14 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

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### Constraints

- **ActiveCurrency**

(Rule)

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

#### 7.4.13.24.10.24 ExecutingBrokerAmount <ExctgBrkrAmt>

*Presence:* [0..1]

*Definition:* Amount of money paid to an executing broker as a commission.

*Impacted by:* C1 ActiveCurrency, C14 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

### Constraints

- **ActiveCurrency**

(Rule)

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

#### 7.4.13.24.10.25 **PayingAgentCommissionAmount <PngAgtComssnAmt>**

*Presence:* [0..1]

*Definition:* Amount of paying/sub-paying agent commission.

*Impacted by:* C1 ActiveCurrency \_\_, C14 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### **Constraints**

- **ActiveCurrency**

(Rule)

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

#### 7.4.13.24.10.26 LocalBrokerCommissionAmount <LclBrkrComssnAmt>

*Presence:* [0..1]

*Definition:* Local broker's commission.

*Impacted by:* C1 ActiveCurrency \_\_, C14 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

##### Constraints

- **ActiveCurrency**

(Rule)

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

#### 7.4.13.24.10.27 RegulatoryFeesAmount <RgltryFeesAmt>

*Presence:* [0..1]

*Definition:* Amount of money charged by a regulatory authority, for example, securities and exchange fees.

*Impacted by:* C1 ActiveCurrency \_\_, C14 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

##### Constraints

- **ActiveCurrency**

(Rule)

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

#### 7.4.13.24.10.28 ShippingFeesAmount <ShppgFeesAmt>

*Presence:* [0..1]

*Definition:* All costs related to the physical delivery of documents such as stamps, postage, carrier fees, insurances or messenger services.

*Impacted by:* C1 ActiveCurrency, C14 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

**7.4.13.24.10.29 ChargesAmount <ChrgsAmt>**

*Presence:* [0..1]

*Definition:* Amount of money paid for the provision of financial services that cannot be categorised by another qualifier.

*Impacted by:* C1 ActiveCurrency, C14 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

**Constraints**

• **ActiveCurrency**

(Rule)

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

**7.4.13.24.10.30 EntitledAmount <EntitldAmt>**

*Presence:* [0..1]

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

*Impacted by:* C1 ActiveCurrency, C14 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

---

### Constraints

- **ActiveCurrency**

(Rule)

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

#### 7.4.13.24.10.31 OriginalAmount <OrgnlAmt>

*Presence:* [0..1]

*Definition:* Posting/settlement amount in its original currency when conversion from/into another currency has occurred.

*Impacted by:* C1 ActiveCurrency, C14 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

### Constraints

- **ActiveCurrency**

(Rule)

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

#### 7.4.13.24.10.32 **AccruedInterestAmount <AcrdIntrstAmt>**

*Presence:* [0..1]

*Definition:* Amount of interest that has been accrued in between coupon payment periods.

*Impacted by:* C1 ActiveCurrency \_\_, C14 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### **Constraints**

- **ActiveCurrency**

(Rule)

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

#### 7.4.13.24.10.33 IncomePortion <IncmPrtn>

*Presence:* [0..1]

*Definition:* Amount relating to the underlying security for which income is distributed.

*Impacted by:* C1 ActiveCurrency \_\_, C14 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

##### Constraints

- **ActiveCurrency**

(Rule)

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

#### 7.4.13.24.10.34 EqualisationAmount <EqualstnAmt>

*Presence:* [0..1]

*Definition:* Portion of the fund distribution amount which represents the average accrued income included in the purchase price for units bought during the account period.

*Impacted by:* C1 ActiveCurrency \_\_, C14 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

##### Constraints

- **ActiveCurrency**

(Rule)

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

#### 7.4.13.24.10.35 FATCATaxAmount <FATCATaxAmt>

*Presence:* [0..1]

*Definition:* FATCA (Foreign Account Tax Compliance Act) related tax amount.

*Impacted by:* C1 ActiveCurrency, C14 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

**7.4.13.24.10.36 NRATaxAmount <NRATaxAmt>**

*Presence:* [0..1]

*Definition:* Amount of tax related income subject to NRA (Non Resident Alien).

*Impacted by:* C1 ActiveCurrency, C14 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

**Constraints**

• **ActiveCurrency**

(Rule)

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

**7.4.13.24.10.37 BackUpWithholdingTaxAmount <BckUpWhldgTaxAmt>**

*Presence:* [0..1]

*Definition:* Amount of tax related to back up withholding.

*Impacted by:* C1 ActiveCurrency, C14 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

---

### Constraints

- **ActiveCurrency**

(Rule)

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

#### 7.4.13.24.10.38 TaxOnIncomeAmount <TaxOnIncmAmt>

*Presence:* [0..1]

*Definition:* Amount of overall tax withheld at source by fund managers prior to considering the tax obligation of each unit holder.

*Impacted by:* C1 ActiveCurrency, C14 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

### Constraints

- **ActiveCurrency**

(Rule)

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

#### 7.4.13.24.10.39 TransactionTax <TxTax>

*Presence*: [0..1]

*Definition*: Amount of transaction tax.

*Impacted by*: C1 ActiveCurrency \_\_\_\_, C14 CurrencyAmount \_\_\_\_

*Datatype*: RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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



#### 7.4.13.24.10.40 DeemedAmount <DmdAmt>

*Presence:* [0..1]

*Definition:* Amount of proceeds which is not actually paid to the security holder but on which withholding tax is applicable.

*Impacted by:* C1 ActiveCurrency \_\_, C14 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

##### Constraints

- **ActiveCurrency**

(Rule)

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

#### 7.4.13.24.10.41 ForeignIncomeAmount <FrgnIncmAmt>

*Presence:* [0..1]

*Definition:* Amount relating to a foreign income such as a conduit foreign income.

*Impacted by:* C1 ActiveCurrency \_\_, C14 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

##### Constraints

- **ActiveCurrency**

(Rule)

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

#### 7.4.13.24.10.42 DeemedDividendAmount <DmdDvddAmt>

*Presence:* [0..1]

*Definition:* Deemed amount resulting from the difference between the rate of dividend proceeds attributed to the security holder for the taxable year and the rate of dividend proceeds previously notified to the security holder in relation to cash distributions for the year.

*Impacted by:* C1 ActiveCurrency, C14 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

**7.4.13.24.10.43 DeemedFundAmount <DmdFndAmt>**

*Presence:* [0..1]

*Definition:* Deemed amount resulting from the difference between the rate of the proceeds components comprising a fund payment attributed to the security holder for the taxable year and the rate of the fund proceeds previously notified to the security holder in relation to cash distributions for the year.

*Impacted by:* C1 ActiveCurrency, C14 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

**Constraints**

• **ActiveCurrency**

(Rule)

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

**7.4.13.24.10.44 DeemedInterestAmount <DmdIntrstAmt>**

*Presence:* [0..1]

*Definition:* Deemed amount resulting from the difference between the rate of interest proceeds attributed to the security holder for the taxable year and the rate of interest proceeds previously notified to the security holder in relation to cash distributions for the year.

*Impacted by:* C1 ActiveCurrency, C14 CurrencyAmount

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*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

#### 7.4.13.24.10.45 DeemedRoyaltiesAmount <DmdRyltsAmt>

*Presence:* [0..1]

*Definition:* Deemed amount resulting from the difference between the rate of royalty proceeds attributed to the security holder for the taxable year and the rate of royalty proceeds previously notified to the security holder in relation to cash distributions for the year.

*Impacted by:* C1 ActiveCurrency \_\_, C14 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

**7.4.13.24.11 DateDetails <DtDtls>**

*Presence:* [1..1]

*Definition:* Provides information about the dates related to a cash movement.

**DateDetails <DtDtls>** contains the following **CorporateActionDate94** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>PaymentDate</b> <PmtDt>	[1..1]	±		509
	<b>ValueDate</b> <ValDt>	[0..1]	±		509
	<b>ForeignExchangeRateFixingDate</b> <FXRateFxdt>	[0..1]	±		510
	<b>EarliestPaymentDate</b> <EarlstPmtDt>	[0..1]	±		510

**7.4.13.24.11.1 PaymentDate <PmtDt>**

*Presence:* [1..1]

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

**PaymentDate <PmtDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

**7.4.13.24.11.2 ValueDate <ValDt>**

*Presence:* [0..1]

*Definition:* Date/time when calculating economic benefit for a cash amount.

**ValueDate <ValDt>** contains one of the following elements (see [DateFormat64Choice](#) on page 880 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		880
Or}	DateCode <DtCd>	[1..1]			881
{Or	Code <Cd>	[1..1]	CodeSet		881
Or}	Proprietary <Prtry>	[1..1]	±		881

#### 7.4.13.24.11.3 ForeignExchangeRateFixingDate <FXRateFxdt>

*Presence:* [0..1]

*Definition:* Date/time at which a foreign exchange rate will be determined.

**ForeignExchangeRateFixingDate <FXRateFxdt>** contains one of the following elements (see [DateFormat49Choice](#) on page 885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		886
Or}	DateCode <DtCd>	[1..1]			886
{Or	Code <Cd>	[1..1]	CodeSet		886
Or}	Proprietary <Prtry>	[1..1]	±		886

#### 7.4.13.24.11.4 EarliestPaymentDate <EarlstPmtDt>

*Presence:* [0..1]

*Definition:* Date/time on which a payment can be made, for example, if payment date is a non-business day or to indicate the first payment date of an offer.

**EarliestPaymentDate <EarlstPmtDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

#### 7.4.13.24.12 ForeignExchangeDetails <FXDtls>

*Presence:* [0..1]

*Definition:* Exchange rate between the amount and the resulting amount.

**ForeignExchangeDetails <FXDtIs>** contains the following elements (see [ForeignExchangeTerms28](#) on page 941 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C1	941
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C1	942
	ExchangeRate <XchgRate>	[1..1]	Rate		942
	ResultingAmount <RsltgAmt>	[0..1]	Amount	C1, C11	942

#### 7.4.13.24.13 RateAndAmountDetails <RateAndAmtDtIs>

*Presence:* [0..1]

*Definition:* Provides information about the corporate action option.

*Impacted by:* [C15 DeemedRate1Rule](#), [C16 DeemedRate2Rule](#), [C32 GrossDividendRate2Rule](#), [C34 GrossDividendRate3Rule](#), [C51 NetDividendRate1Rule](#), [C53 NetDividendRate2Rule](#), [C70 SecondLevelTax1Rule](#), [C72 SecondLevelTax2Rule](#), [C74 SecondLevelTax3Rule](#), [C78 WithholdingTaxRate1Rule](#), [C80 WithholdingTaxRate2Rule](#)

**RateAndAmountDetails <RateAndAmtDtls>** contains the following **Rate38** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AdditionalTax</b> <AddtlTax>	[0..1]	±		515
	<b>GrossDividendRate</b> <GrssDvddRate>	[0..*]	±		515
	<b>InterestRateUsedForPayment</b> <IntrstRateUsdForPmt>	[0..*]	±		516
	<b>WithholdingTaxRate</b> <WhldgTaxRate>	[0..*]	±		517
	<b>SecondLevelTax</b> <ScndLvITax>	[0..*]	±		517
	<b>ChargesFees</b> <ChrgsFees>	[0..1]	±		518
	<b>EarlySolicitationFeeRate</b> <EarlySlctnFeeRate>	[0..1]	±		518
	<b>FiscalStamp</b> <FscIStmp>	[0..1]	±		519
	<b>ThirdPartyIncentiveRate</b> <ThrdPtyIncntivRate>	[0..1]	±		519
	<b>NetDividendRate</b> <NetDvddRate>	[0..*]	±		519
	<b>ApplicableRate</b> <AplblRate>	[0..1]	±		520
	<b>SolicitationFeeRate</b> <SlctnFeeRate>	[0..1]	±		520
	<b>TaxCreditRate</b> <TaxCdtRate>	[0..1]	±		521
	<b>TaxOnIncome</b> <TaxOnIncm>	[0..1]	±		521
	<b>TaxOnProfits</b> <TaxOnPrfts>	[0..1]	±		521
	<b>TaxReclaimRate</b> <TaxRclmRate>	[0..1]	±		522
	<b>EqualisationRate</b> <EqulstnRate>	[0..1]	±		522
	<b>DeemedRate</b> <DmdRate>	[0..*]	±		522

**Constraints**

- **DeemedRate1Rule**

(Rule)

If DeemedRate is repeated, then DeemedRate/RateTypeAndAmountAndRateStatus/RateType/Code values and DeemedRate/RateTypeAndRate/RateType/Code values must all be different in each occurrence of DeemedRate.

(MT 564 NVR C8).

*Error handling:*

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

- **DeemedRate2Rule**

(Rule)



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Only a single occurrence of either DeemedRate/Amount or DeemedRate/Rate or DeemedRate/NotSpecifiedRate may be present, only one of these elements may be present.

(MT 564 NVR C7).

*Error handling:*

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

- **GrossDividendRate2Rule**

(Rule)

If GrossDividendRate is repeated, then:

- RateTypeAndAmountAndRateStatus/RateType/Code values must all be different in each occurrence of GrossDividendRate. (MT 564 NVR C8).

- **GrossDividendRate3Rule**

(Rule)

Only a single occurrence of either GrossDividendRate/Amount or GrossDividendRate/AmountAndRateStatus or GrossDividendRate/NotSpecifiedRate may be present, and only one of these elements may be present.

(MT 564 NVR C7).

- **NetDividendRate1Rule**

(Rule)

If NetDividendRate is repeated, then:

- RateTypeAndAmountAndRateStatus/RateType/Code values must all be different in each occurrence of NetDividendRate. (MT 564 NVR C8).

- **NetDividendRate2Rule**

(Rule)

Only a single occurrence of either NetDividendRate/Amount or NetDividendRate/AmountAndRateStatus or NetDividendRate/NotSpecifiedRate may be present, and only one of these elements may be present.

(MT 564 NVR C7).

- **SecondLevelTax1Rule**

(Rule)

If SecondLevelTax is repeated, then SecondLevelTax/RateTypeAndRate/RateType/Code values must all be different in each occurrence of SecondLevelTax.

(MT 564 NVR C8).

---

*Error handling:*

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

- **SecondLevelTax2Rule**

(Rule)

Only a single occurrence of either SecondLevelTax/Amount or SecondLevelTax/Rate or SecondLevelTax/NotSpecifiedRate may be present, only one of these elements may be present.

(MT 564 NVR C7).

*Error handling:*

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

- **SecondLevelTax3Rule**

(Rule)

If at least one occurrence of SecondLevelTax is present, then at least one occurrence of WithholdingTaxRate must be present. (MT 564 NVR C19).

On Condition

    /SecondLevelTax[\*] is present

Following Must be True

    /WithholdingTaxRate[\*] Must be present

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00388
- *Error Text:* Invalid message contents for WithholdingTaxRate. It should be present.

- **WithholdingTaxRate1Rule**

(Rule)

If WithholdingTaxRate is repeated, then WithholdingTaxRate/RateTypeAndRate/RateType/Code values must all be different in each occurrence of WithholdingTaxRate.

(MT 564 NVR C8).

*Error handling:*

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

- **WithholdingTaxRate2Rule**

(Rule)

Only a single occurrence of either WithholdingTaxRate/Amount or WithholdingTaxRate/Rate or WithholdingTaxRate/NotSpecifiedRate may be present, only one of these elements may be present.

(MT 564 NVR C7).

*Error handling:*

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

**7.4.13.24.13.1 AdditionalTax <AddtlTax>**

*Presence:* [0..1]

*Definition:* Rate used for additional tax that cannot be categorised.

**AdditionalTax <AddtlTax>** contains one of the following elements (see [RateAndAmountFormat46Choice](#) on page 1209 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1209
Or	NotSpecifiedRate <NotSpdfdRate>	[1..1]	CodeSet		1209
Or}	Amount <Amt>	[1..1]	Amount	C1	1209

**7.4.13.24.13.2 GrossDividendRate <GrssDvddRate>**

*Presence:* [0..\*]

*Definition:* Cash dividend amount per equity before deductions or allowances have been made.

**GrossDividendRate <GrssDvddRate>** contains one of the following elements (see [GrossDividendRateFormat42Choice](#) on page 1183 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C1	1183
Or	AmountAndRateStatus <AmtAndRateSts>	[1..1]			1184
	Amount <Amt>	[1..1]	Amount	C1	1184
	RateStatus <RateSts>	[1..1]	CodeSet		1185
Or	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1185
	RateType <RateTp>	[1..1]			1185
{Or	Code <Cd>	[1..1]	CodeSet		1185
Or}	Proprietary <Prtry>	[1..1]	±		1186
	Amount <Amt>	[1..1]	Amount	C1	1187
	RateStatus <RateSts>	[0..1]		C51	1187
{Or	Code <Cd>	[1..1]	CodeSet		1187
Or}	Proprietary <Prtry>	[1..1]	±		1188
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1188

**7.4.13.24.13.3 InterestRateUsedForPayment <IntrstRateUsdForPmt>**

*Presence:* [0..\*]

*Definition:* The actual interest rate used for the payment of the interest for the specified interest period.

*Usage guideline:* It is used to provide the applicable rate for the current payment, after all calculations have been performed, that is, application of period and method of interest computation.

**InterestRateUsedForPayment <IntrstRateUsdForPmt>** contains one of the following elements (see [InterestRateUsedForPaymentFormat10Choice](#) on page 1045 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1045
Or	Amount <Amt>	[1..1]	Amount	C1	1045
Or	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1046
	RateType <RateTp>	[1..1]			1046
{Or	Code <Cd>	[1..1]	CodeSet		1046
Or}	Proprietary <Prtry>	[1..1]	±		1047
	Amount <Amt>	[1..1]	Amount	C1	1047
	RateStatus <RateSts>	[0..1]		C51	1047
{Or	Code <Cd>	[1..1]	CodeSet		1048
Or}	Proprietary <Prtry>	[1..1]	±		1048
Or}	NotSpecifiedRate <NotSpcdfRate>	[1..1]	CodeSet		1048

#### 7.4.13.24.13.4 WithholdingTaxRate <WhldgTaxRate>

*Presence:* [0..\*]

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

**WithholdingTaxRate <WhldgTaxRate>** contains one of the following elements (see [RateAndAmountFormat47Choice](#) on page 1041 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1041
Or	NotSpecifiedRate <NotSpcdfRate>	[1..1]	CodeSet		1042
Or	Amount <Amt>	[1..1]	Amount	C1	1042
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			1042
	RateType <RateTp>	[1..1]			1042
{Or	Code <Cd>	[1..1]	CodeSet		1043
Or}	Proprietary <Prtry>	[1..1]	±		1043
	Rate <Rate>	[1..1]	Rate		1043

#### 7.4.13.24.13.5 SecondLevelTax <ScndLvITax>

*Presence:* [0..\*]

*Definition:* Rate at which the income will be withheld by a jurisdiction other than the jurisdiction of the issuer's country of tax incorporation, for which a relief at source and/or reclaim may be possible. It is

levied in complement or offset of the withholding tax rate (TAXR) levied by the jurisdiction of the issuer's tax domicile.

**SecondLevelTax <ScndLvITax>** contains one of the following elements (see [RateAndAmountFormat47Choice](#) on page 1041 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1041
Or	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1042
Or	Amount <Amt>	[1..1]	Amount	C1	1042
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			1042
	RateType <RateTp>	[1..1]			1042
{Or	Code <Cd>	[1..1]	CodeSet		1043
Or}	Proprietary <Prtry>	[1..1]	±		1043
	Rate <Rate>	[1..1]	Rate		1043

#### 7.4.13.24.13.6 ChargesFees <ChrgsFees>

*Presence:* [0..1]

*Definition:* Rate used to calculate the amount of the charges/fees that cannot be categorised.

**ChargesFees <ChrgsFees>** contains one of the following elements (see [RateAndAmountFormat46Choice](#) on page 1209 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1209
Or	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1209
Or}	Amount <Amt>	[1..1]	Amount	C1	1209

#### 7.4.13.24.13.7 EarlySolicitationFeeRate <EarlySlctnFeeRate>

*Presence:* [0..1]

*Definition:* Cash rate made available, as an incentive, in addition to the solicitation fee, in order to encourage early participation in an offer.

**EarlySolicitationFeeRate <EarlySlctnFeeRate>** contains one of the following elements (see [SolicitationFeeRateFormat10Choice](#) on page 1029 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1030
Or	AmountToQuantity <AmtToQty>	[1..1]			1030
	Amount <Amt>	[1..1]	Amount	C1	1030
	Quantity <Qty>	[1..1]	Quantity		1031
Or	Amount <Amt>	[1..1]	Amount	C1	1031
Or}	NotSpecifiedRate <NotSpcdfRate>	[1..1]	CodeSet		1031

#### 7.4.13.24.13.8 FiscalStamp <FscIStmp>

*Presence:* [0..1]

*Definition:* Percentage of fiscal tax to apply.

**FiscalStamp <FscIStmp>** contains one of the following elements (see [RateFormat3Choice](#) on page 1151 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1151
Or}	NotSpecifiedRate <NotSpcdfRate>	[1..1]	CodeSet		1151

#### 7.4.13.24.13.9 ThirdPartyIncentiveRate <ThrdPtyIncntivRate>

*Presence:* [0..1]

*Definition:* Cash rate made available in an event in order to encourage participation in the offer. As information, payment is made to a third party who has solicited an entity to take part in the offer.

**ThirdPartyIncentiveRate <ThrdPtyIncntivRate>** contains one of the following elements (see [RateFormat21Choice](#) on page 1207 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1207
Or	Amount <Amt>	[1..1]	Amount	C1	1207
Or}	NotSpecifiedRate <NotSpcdfRate>	[1..1]	CodeSet		1208

#### 7.4.13.24.13.10 NetDividendRate <NetDvddRate>

*Presence:* [0..\*]

*Definition:* Cash dividend amount per equity after deductions or allowances have been made.

**NetDividendRate <NetDvddRate>** contains one of the following elements (see [NetDividendRateFormat44Choice](#) on page 1178 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C1	1178
Or	AmountAndRateStatus <AmtAndRateSts>	[1..1]			1179
	Amount <Amt>	[1..1]	Amount	C1	1179
	RateStatus <RateSts>	[1..1]	CodeSet		1179
Or	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1180
	RateType <RateTp>	[1..1]			1180
{Or	Code <Cd>	[1..1]	CodeSet		1180
Or}	Proprietary <Prtry>	[1..1]	±		1181
	Amount <Amt>	[1..1]	Amount	C1	1181
	RateStatus <RateSts>	[0..1]		C51	1182
{Or	Code <Cd>	[1..1]	CodeSet		1182
Or}	Proprietary <Prtry>	[1..1]	±		1182
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1183

#### 7.4.13.24.13.11 ApplicableRate <AplblRate>

*Presence:* [0..1]

*Definition:* Rate applicable to the event announced, for example, redemption rate for a redemption event.

**ApplicableRate <AplblRate>** contains one of the following elements (see [RateFormat3Choice](#) on page 1151 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1151
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1151

#### 7.4.13.24.13.12 SolicitationFeeRate <SlctnFeeRate>

*Presence:* [0..1]

*Definition:* Rate of the cash premium made available if the securities holder consents or participates to an event, for example consent fees or solicitation fee.



**SolicitationFeeRate <SlctnFeeRate>** contains one of the following elements (see [SolicitationFeeRateFormat10Choice](#) on page 1029 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1030
Or	AmountToQuantity <AmtToQty>	[1..1]			1030
	Amount <Amt>	[1..1]	Amount	C1	1030
	Quantity <Qty>	[1..1]	Quantity		1031
Or	Amount <Amt>	[1..1]	Amount	C1	1031
Or}	NotSpecifiedRate <NotSpcdfRate>	[1..1]	CodeSet		1031

#### 7.4.13.24.13.13 TaxCreditRate <TaxCdtRate>

*Presence:* [0..1]

*Definition:* Amount of money per equity allocated as the result of a tax credit.

**TaxCreditRate <TaxCdtRate>** contains one of the following elements (see [RateFormat21Choice](#) on page 1207 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1207
Or	Amount <Amt>	[1..1]	Amount	C1	1207
Or}	NotSpecifiedRate <NotSpcdfRate>	[1..1]	CodeSet		1208

#### 7.4.13.24.13.14 TaxOnIncome <TaxOnIncm>

*Presence:* [0..1]

*Definition:* Overall tax withheld at source by fund managers prior to considering the tax obligation of each unit holder.

**TaxOnIncome <TaxOnIncm>** contains one of the following elements (see [RateAndAmountFormat46Choice](#) on page 1209 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1209
Or	NotSpecifiedRate <NotSpcdfRate>	[1..1]	CodeSet		1209
Or}	Amount <Amt>	[1..1]	Amount	C1	1209

#### 7.4.13.24.13.15 TaxOnProfits <TaxOnPrfts>

*Presence:* [0..1]

*Definition:* Taxation applied on an amount clearly identified as capital profits, capital gains.

**TaxOnProfits <TaxOnPrfts>** contains one of the following elements (see [RateFormat3Choice](#) on page 1151 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1151
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1151

#### 7.4.13.24.13.16 TaxReclaimRate <TaxRclmRate>

*Presence:* [0..1]

*Definition:* Percentage of cash that was paid in excess of actual tax obligation and was reclaimed.

**TaxReclaimRate <TaxRclmRate>** contains one of the following elements (see [RateFormat3Choice](#) on page 1151 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1151
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1151

#### 7.4.13.24.13.17 EqualisationRate <EqulstnRate>

*Presence:* [0..1]

*Definition:* Portion of the fund distribution which represents the average accrued income included in the purchase price for units bought during the account period.

**EqualisationRate <EqulstnRate>** contains one of the following elements (see [RateAndAmountFormat48Choice](#) on page 1206 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C1	1206
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1207

#### 7.4.13.24.13.18 DeemedRate <DmdRate>

*Presence:* [0..\*]

*Definition:* Rate applied for the calculation of deemed proceeds which are not paid to security holders but on which withholding tax is applicable.

**DeemedRate <DmdRate>** contains one of the following elements (see [RateAndAmountFormat53Choice](#) on page 1188 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1189
Or	Amount <Amt>	[1..1]	Amount	C1	1189
Or	NotSpecifiedRate <NotSpcdfRate>	[1..1]	CodeSet		1190
Or	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1190
	RateType <RateTp>	[1..1]			1190
{Or	Code <Cd>	[1..1]	CodeSet		1190
Or}	Proprietary <Prtry>	[1..1]	±		1191
	Amount <Amt>	[1..1]	Amount	C1	1191
	RateStatus <RateSts>	[0..1]		C51	1192
{Or	Code <Cd>	[1..1]	CodeSet		1192
Or}	Proprietary <Prtry>	[1..1]	±		1192
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			1192
	RateType <RateTp>	[1..1]			1193
{Or	Code <Cd>	[1..1]	CodeSet		1193
Or}	Proprietary <Prtry>	[1..1]	±		1193
	Rate <Rate>	[1..1]	Rate		1194

#### 7.4.13.24.14 PriceDetails <PricDtls>

*Presence:* [0..1]

*Definition:* Provides information about the prices related to a corporate action option.

*Impacted by:* [C30 GenericCashPricePerProductGuideline](#)

**PriceDetails <PricDtls>** contains the following **PriceDetails34** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>GenericCashPricePaidPerProduct</b> <GncCshPricPdPerPdct>	[0..1]	±		524
	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		524
	<b>CashInLieuOfSharePrice</b> <CshInLieuOfShrPric>	[0..1]	±		525

#### Constraints

- **GenericCashPricePerProductGuideline**  
(Guideline)

GenericCashPriceReceivedPerProduct and GenericCashPricePaidPerProduct are prices received or paid in the course of an event. The specific meaning (redemption price, subscription price, reinvestment price, ETC.) is derived from the event type.

**7.4.13.24.14.1 GenericCashPricePaidPerProduct <GncCshPricPdPerPdct>**

*Presence:* [0..1]

*Definition:* Generic cash price paid per product by the underlying security holder either as a percentage or an amount or a number of points above an index, for example, reinvestment price, strike price and exercise price.

**GenericCashPricePaidPerProduct <GncCshPricPdPerPdct>** contains one of the following elements (see [PriceFormat59Choice](#) on page 1133 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1134
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1134
	PriceValue <PricVal>	[1..1]	Rate		1134
Or	AmountPrice <AmtPric>	[1..1]	±		1134
Or	NotSpecifiedPrice <NotSpdfdPric>	[1..1]	CodeSet		1135
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		1135

**7.4.13.24.14.2 GenericCashPriceReceivedPerProduct <GncCshPricRcvdPerPdct>**

*Presence:* [0..1]

*Definition:* Generic cash price received per product by the underlying security holder either as a percentage or an amount, for example, redemption price.

**GenericCashPriceReceivedPerProduct <GncCshPricRcvdPerPdct>** contains one of the following elements (see [PriceFormat70Choice](#) on page 1120 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1121
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1121
	PriceValue <PricVal>	[1..1]	Rate		1122
Or	AmountPrice <AmtPric>	[1..1]	±		1122
Or	NotSpecifiedPrice <NotSpdfdPric>	[1..1]	CodeSet		1122
Or	AmountPricePerFinancialInstrumentQuantity <AmtPricPerFinInstrmQty>	[1..1]			1122
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1123
	PriceValue <PricVal>	[1..1]	Amount	C1	1123
	FinancialInstrumentQuantity <FinInstrmQty>	[1..1]	±	C14	1123
Or	AmountPricePerAmount <AmtPricPerAmt>	[1..1]			1124
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1124
	PriceValue <PricVal>	[1..1]	Amount	C1	1124
	Amount <Amt>	[1..1]	Amount	C1	1125
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		1125

#### 7.4.13.24.14.3 CashInLieuOfSharePrice <CshInLieuOfShrPric>

*Presence:* [0..1]

*Definition:* Cash disbursement in lieu of equities; usually in lieu of fractional quantity.

**CashInLieuOfSharePrice <CshInLieuOfShrPric>** contains one of the following elements (see [PriceFormat57Choice](#) on page 1132 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1132
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1132
	PriceValue <PricVal>	[1..1]	Rate		1133
Or	AmountPrice <AmtPric>	[1..1]	±		1133
Or}	NotSpecifiedPrice <NotSpdfdPric>	[1..1]	CodeSet		1133

#### 7.4.13.25 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Provides additional information about the corporate action movement.

*Impacted by:* [C3 AdditionalInformationRule](#)

**AdditionalInformation <AddtlInf>** contains the following **CorporateActionNarrative36** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AdditionalText</b> <AddtlTxt>	[0..1]	±		526
	<b>NarrativeVersion</b> <NrrtvVrsn>	[0..1]	±		526
	<b>InformationConditions</b> <InfConds>	[0..1]	±		527
	<b>InformationToComplyWith</b> <InfToCmplyWth>	[0..1]	±		527
	<b>SecurityRestriction</b> <SctyRstrctn>	[0..1]	±		527
	<b>TaxationConditions</b> <TaxtnConds>	[0..1]	±		528
	<b>Disclaimer</b> <Dsclmr>	[0..1]	±		528
	<b>CertificationBreakdown</b> <CertfctnBrkdwn>	[0..1]	±		528

**Constraints**

- **AdditionalInformationRule**

(Rule)

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

**7.4.13.25.1 AdditionalText <AddtlTxt>**

*Presence:* [0..1]

*Definition:* Provides additional information or specifies in more detail the content of a message. This field may only be used when the information to be transmitted, cannot be coded.

**AdditionalText <AddtlTxt>** contains the following elements (see [UpdatedAdditionalInformation6](#) on page 1075 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UpdateDescription <UpdDesc>	[0..1]	Text		1076
	UpdateDate <UpdDt>	[0..1]	Date		1076
	AdditionalInformation <AddtlInf>	[1..1]	Text		1076

**7.4.13.25.2 NarrativeVersion <NrrtvVrsn>**

*Presence:* [0..1]

*Definition:* Provides information that can be ignored for automated processing; - reiteration of information that has been included within structured fields, - or narrative information not needed for automatic processing.

**NarrativeVersion <NrrtvVrsn>** contains the following elements (see [UpdatedAdditionalInformation6](#) on page 1075 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UpdateDescription <UpdDesc>	[0..1]	Text		1076
	UpdateDate <UpdDt>	[0..1]	Date		1076
	AdditionalInformation <AddtlInf>	[1..1]	Text		1076

#### 7.4.13.25.3 InformationConditions <InfConds>

*Presence:* [0..1]

*Definition:* Provides conditional information related to the event, for example, an offer is subject to 50 percent acceptance, the offeror allows the securities holder to set some conditions.

**InformationConditions <InfConds>** contains the following elements (see [UpdatedAdditionalInformation5](#) on page 1076 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UpdateDescription <UpdDesc>	[0..1]	Text		1076
	UpdateDate <UpdDt>	[0..1]	Date		1076
	AdditionalInformation <AddtlInf>	[1..*]	Text		1076

#### 7.4.13.25.4 InformationToComplyWith <InfToCmplyWth>

*Presence:* [0..1]

*Definition:* Provides information conditions to the account owner that are to be complied with, for example, not open to US/Canadian residents, Qualified Institutional Buyers (QIB) or SIL (Sophisticated Investor Letter) to be provided.

**InformationToComplyWith <InfToCmplyWth>** contains the following elements (see [UpdatedAdditionalInformation5](#) on page 1076 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UpdateDescription <UpdDesc>	[0..1]	Text		1076
	UpdateDate <UpdDt>	[0..1]	Date		1076
	AdditionalInformation <AddtlInf>	[1..*]	Text		1076

#### 7.4.13.25.5 SecurityRestriction <SctyRstrctn>

*Presence:* [0..1]

*Definition:* Provides restriction(s) on securities.

**SecurityRestriction <SctyRstrctn>** contains the following elements (see [UpdatedAdditionalInformation5](#) on page 1076 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UpdateDescription <UpdDesc>	[0..1]	Text		1076
	UpdateDate <UpdDt>	[0..1]	Date		1076
	AdditionalInformation <AddtlInf>	[1..*]	Text		1076

#### 7.4.13.25.6 TaxationConditions <TaxtnConds>

*Presence:* [0..1]

*Definition:* Provides taxation conditions that cannot be included within the structured fields of this message and has not been mentioned in the Service Level Agreement (SLA).

**TaxationConditions <TaxtnConds>** contains the following elements (see [UpdatedAdditionalInformation5](#) on page 1076 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UpdateDescription <UpdDesc>	[0..1]	Text		1076
	UpdateDate <UpdDt>	[0..1]	Date		1076
	AdditionalInformation <AddtlInf>	[1..*]	Text		1076

#### 7.4.13.25.7 Disclaimer <Dsclmr>

*Presence:* [0..1]

*Definition:* Provides a disclaimer relative to the information provided in the message. It may be ignored for automated processing.

**Disclaimer <Dsclmr>** contains the following elements (see [UpdatedAdditionalInformation5](#) on page 1076 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UpdateDescription <UpdDesc>	[0..1]	Text		1076
	UpdateDate <UpdDt>	[0..1]	Date		1076
	AdditionalInformation <AddtlInf>	[1..*]	Text		1076

#### 7.4.13.25.8 CertificationBreakdown <CertfctnBrkdwn>

*Presence:* [0..1]

*Definition:* Provides additional information about the type of certification/breakdown required.



**CertificationBreakdown <CertfctnBrkdown>** contains the following elements (see [UpdatedAdditionalInformation5](#) on page 1076 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UpdateDescription <UpdDesc>	[0..1]	Text		1076
	UpdateDate <UpdDt>	[0..1]	Date		1076
	AdditionalInformation <AddtlInf>	[1..*]	Text		1076

## 7.4.14 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Provides additional information.

*Impacted by:* [C4 AdditionalInformationRule](#)

**AdditionalInformation <AddtlInf>** contains the following **CorporateActionNarrative53** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AdditionalText</b> <AddtlTxt>	[0..1]	±		529
	<b>NarrativeVersion</b> <NrrtvVrsn>	[0..1]	±		530
	<b>InformationConditions</b> <InfConds>	[0..1]	±		530
	<b>InformationToComplyWith</b> <InfToCmplyWth>	[0..1]	±		530
	<b>TaxationConditions</b> <TaxtnConds>	[0..1]	±		531
	<b>Disclaimer</b> <Dsclmr>	[0..1]	±		531
	<b>PartyContactNarrative</b> <PtyCtctNrrtv>	[0..1]	±		531
	<b>RegistrationDetails</b> <RegnDtls>	[0..1]	±		532
	<b>BasketOrIndexInformation</b> <BsktOrIndxInf>	[0..1]	±		532
	<b>CertificationBreakdown</b> <CertfctnBrkdown>	[0..1]	±		532
	<b>ProcessingTextForNextIntermediary</b> <PrcgTxtForNxtlIntrmy>	[0..1]	±		533

### Constraints

- **AdditionalInformationRule**

(Rule)

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

### 7.4.14.1 AdditionalText <AddtlTxt>

*Presence:* [0..1]

*Definition:* Provides additional information or specifies in more detail the content of a message. This field may only be used when the information to be transmitted, cannot be coded.

**AdditionalText <AddtITxt>** contains the following elements (see [UpdatedAdditionalInformation5](#) on page 1076 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UpdateDescription <UpdDesc>	[0..1]	Text		1076
	UpdateDate <UpdDt>	[0..1]	Date		1076
	AdditionalInformation <AddtInf>	[1..*]	Text		1076

#### 7.4.14.2 NarrativeVersion <NrrtvVrsn>

*Presence:* [0..1]

*Definition:* Provides information that can be ignored for automated processing; - reiteration of information that has been included within structured fields of this message, - or narrative information not needed for automatic processing.

**NarrativeVersion <NrrtvVrsn>** contains the following elements (see [UpdatedAdditionalInformation5](#) on page 1076 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UpdateDescription <UpdDesc>	[0..1]	Text		1076
	UpdateDate <UpdDt>	[0..1]	Date		1076
	AdditionalInformation <AddtInf>	[1..*]	Text		1076

#### 7.4.14.3 InformationConditions <InfConds>

*Presence:* [0..1]

*Definition:* Provides conditional information related to the event, for example, an offer is subject to 50 percent acceptance, the offeror allows the securities holder to set some conditions.

**InformationConditions <InfConds>** contains the following elements (see [UpdatedAdditionalInformation5](#) on page 1076 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UpdateDescription <UpdDesc>	[0..1]	Text		1076
	UpdateDate <UpdDt>	[0..1]	Date		1076
	AdditionalInformation <AddtInf>	[1..*]	Text		1076

#### 7.4.14.4 InformationToComplyWith <InfToCmplyWth>

*Presence:* [0..1]

*Definition:* Provides information conditions to the account owner that are to be complied with, for example, not open to US/Canadian residents, Qualified Institutional Buyers (QIB) or SIL (Sophisticated Investor Letter) to be provided.

**InformationToComplyWith <InfToCmplyWth>** contains the following elements (see [UpdatedAdditionalInformation5](#) on page 1076 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UpdateDescription <UpdDesc>	[0..1]	Text		1076
	UpdateDate <UpdDt>	[0..1]	Date		1076
	AdditionalInformation <AddtlInf>	[1..*]	Text		1076

#### 7.4.14.5 TaxationConditions <TaxtnConds>

*Presence:* [0..1]

*Definition:* Provides taxation conditions that cannot be included within the structured fields of this message and has not been mentioned in the Service Level Agreement (SLA).

**TaxationConditions <TaxtnConds>** contains the following elements (see [UpdatedAdditionalInformation5](#) on page 1076 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UpdateDescription <UpdDesc>	[0..1]	Text		1076
	UpdateDate <UpdDt>	[0..1]	Date		1076
	AdditionalInformation <AddtlInf>	[1..*]	Text		1076

#### 7.4.14.6 Disclaimer <DscImr>

*Presence:* [0..1]

*Definition:* Provides a disclaimer relative to the information provided in the message. It may be ignored for automated processing.

**Disclaimer <DscImr>** contains the following elements (see [UpdatedAdditionalInformation5](#) on page 1076 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UpdateDescription <UpdDesc>	[0..1]	Text		1076
	UpdateDate <UpdDt>	[0..1]	Date		1076
	AdditionalInformation <AddtlInf>	[1..*]	Text		1076

#### 7.4.14.7 PartyContactNarrative <PtyCtctNrrtv>

*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.

**PartyContactNarrative <PtyCtctNrrtv>** contains the following elements (see [UpdatedAdditionalInformation5](#) on page 1076 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UpdateDescription <UpdDesc>	[0..1]	Text		1076
	UpdateDate <UpdDt>	[0..1]	Date		1076
	AdditionalInformation <AddtlInf>	[1..*]	Text		1076

#### 7.4.14.8 RegistrationDetails <RegnDtIs>

*Presence:* [0..1]

*Definition:* Provides information required for the registration.

**RegistrationDetails <RegnDtIs>** contains the following elements (see [UpdatedAdditionalInformation5](#) on page 1076 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UpdateDescription <UpdDesc>	[0..1]	Text		1076
	UpdateDate <UpdDt>	[0..1]	Date		1076
	AdditionalInformation <AddtlInf>	[1..*]	Text		1076

#### 7.4.14.9 BasketOrIndexInformation <BsktOrIndxInf>

*Presence:* [0..1]

*Definition:* Provides additional information on the basket or index underlying a security, for example a warrant.

**BasketOrIndexInformation <BsktOrIndxInf>** contains the following elements (see [UpdatedAdditionalInformation5](#) on page 1076 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UpdateDescription <UpdDesc>	[0..1]	Text		1076
	UpdateDate <UpdDt>	[0..1]	Date		1076
	AdditionalInformation <AddtlInf>	[1..*]	Text		1076

#### 7.4.14.10 CertificationBreakdown <CertfctnBrkdwn>

*Presence:* [0..1]

*Definition:* Provides additional information about the type of certification/breakdown required.

**CertificationBreakdown <CertfctnBrkdown>** contains the following elements (see [UpdatedAdditionalInformation5](#) on page 1076 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UpdateDescription <UpdDesc>	[0..1]	Text		1076
	UpdateDate <UpdDt>	[0..1]	Date		1076
	AdditionalInformation <AddtlInf>	[1..*]	Text		1076

#### 7.4.14.11 ProcessingTextForNextIntermediary <PrcgTxtForNxtIntrmy>

*Presence:* [0..1]

*Definition:* Provides additional information from the account servicer or a service provider solely intended for the next immediate account holder to enable or facilitate event processing between parties.

**ProcessingTextForNextIntermediary <PrcgTxtForNxtIntrmy>** contains the following elements (see [UpdatedAdditionalInformation1](#) on page 1076 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UpdateDescription <UpdDesc>	[0..1]	Text		1077
	UpdateDate <UpdDt>	[0..1]	Date		1077
	AdditionalInformation <AddtlInf>	[1..*]	Text		1077

#### 7.4.15 IssuerAgent <IssrAgt>

*Presence:* [0..\*]

*Definition:* Party appointed to administer the event on behalf of the issuer company/offeror. The party may be contacted for more information about the event.

**IssuerAgent <IssrAgt>** contains one of the following elements (see [PartyIdentification151Choice](#) on page 1089 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1090
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1090
Or	NameAndAddress <NmAndAdr>	[1..1]	±		1090
Or}	LEI <LEI>	[1..1]	IdentifierSet		1091

#### 7.4.16 PayingAgent <PngAgt>

*Presence:* [0..\*]

*Definition:* Agent (principal or fiscal paying agent) appointed to execute the payment for the corporate action event on behalf of the issuer company/offeror.

**PayingAgent <PngAgt>** contains one of the following elements (see [PartyIdentification137Choice](#) on page 1092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1092
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1092
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1093

## 7.4.17 SubPayingAgent <SubPngAgt>

*Presence:* [0..\*]

*Definition:* Sub-agent appointed to execute the payment for the corporate action event on behalf of the issuer company/offeror.

**SubPayingAgent <SubPngAgt>** contains one of the following elements (see [PartyIdentification137Choice](#) on page 1092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1092
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1092
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1093

## 7.4.18 Registrar <Regar>

*Presence:* [0..1]

*Definition:* Party/agent responsible for maintaining the register of a security.

**Registrar <Regar>** contains one of the following elements (see [PartyIdentification137Choice](#) on page 1092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1092
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1092
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1093

## 7.4.19 ResellingAgent <RsellingAgt>

*Presence:* [0..\*]

*Definition:* Broker-dealer responsible for reselling to new investors securities (usually bonds) that have been tendered for purchase by their owner.

**ResellingAgent <RsellingAgt>** contains one of the following elements (see [PartyIdentification137Choice](#) on page 1092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1092
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1092
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1093

## 7.4.20 PhysicalSecuritiesAgent <PhysSctiesAgt>

*Presence:* [0..1]

*Definition:* Trust company, bank or similar financial institution assigned by an issuer to accept presentations of instruments, usually bonds, for transfer and or exchange.

**PhysicalSecuritiesAgent <PhysSctiesAgt>** contains one of the following elements (see [PartyIdentification137Choice](#) on page 1092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1092
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1092
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1093

## 7.4.21 DropAgent <DrpAgt>

*Presence:* [0..1]

*Definition:* Trust company, bank or similar financial institution that acts on behalf of an out-of-town agent or event agent where securities can be delivered in person.

**DropAgent <DrpAgt>** contains one of the following elements (see [PartyIdentification137Choice](#) on page 1092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1092
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1092
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1093

## 7.4.22 SolicitationAgent <SlctnAgt>

*Presence:* [0..\*]

*Definition:* Trust company, bank or similar financial institution assigned by an issuer to maintain records of investors and account balances and transactions for the consent of a material change.

**SolicitationAgent <SlctnAgt>** contains one of the following elements (see [PartyIdentification137Choice](#) on page 1092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1092
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1092
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1093

## 7.4.23 InformationAgent <InfAgt>

*Presence:* [0..1]

*Definition:* Trust company, bank or similar financial institution assigned by an Issuer to provide information and copies of the offering documentation.

**InformationAgent <InfAgt>** contains one of the following elements (see [PartyIdentification137Choice](#) on page 1092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1092
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1092
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1093

## 7.4.24 SupplementaryData <SplmtryData>

*Presence:* [0..\*]

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

*Impacted by:* [C76 SupplementaryDataRule](#)

**SupplementaryData <SplmtryData>** contains the following elements (see [SupplementaryData1](#) on page 1077 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		1077
	Envelope <Envlp>	[1..1]	(External Schema)		1078

### 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.

## 7.4.25 Issuer <Issr>

*Presence:* [0..1]

*Definition:* Issuer of the financial instrument.

**Issuer <Issr>** contains one of the following elements (see [PartyIdentification151Choice](#) on page 1089 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1090
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1090
Or	NameAndAddress <NmAndAdr>	[1..1]	±		1090
Or}	LEI <LEI>	[1..1]	IdentifierSet		1091

## 7.4.26 Offeror <Offerr>

*Presence:* [0..\*]

*Definition:* Party making the offer and which is different from the issuing company.

**Offeror <Offerr>** contains one of the following elements (see [PartyIdentification151Choice](#) on page 1089 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1090
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1090
Or	NameAndAddress <NmAndAdr>	[1..1]	±		1090
Or}	LEI <LEI>	[1..1]	IdentifierSet		1091

## 7.4.27 TransferAgent <TrfAgt>

*Presence:* [0..1]

*Definition:* Trust company, bank or similar financial institution appointed by a fund management company to maintain records of investors and account balances. The transfer agent records transactions, including subscriptions, redemptions, switches, transfers, and re-registrations.

**TransferAgent <TrfAgt>** contains one of the following elements (see [PartyIdentification151Choice](#) on page 1089 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1090
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1090
Or	NameAndAddress <NmAndAdr>	[1..1]	±		1090
Or}	LEI <LEI>	[1..1]	IdentifierSet		1091

# 8 **MX seev.036.002.14** **CorporateActionMovementConfirmation002V** **14**

## 8.1 **MessageDefinition Functionality**

### Scope

The CorporateActionMovementConfirmation message is sent by an account servicer to an account owner or its designated agent to confirm the posting of securities or cash as a result of a corporate action event.

### Usage

The message may also be used to:

- re-send a message previously sent (the sub-function of the message is Duplicate),
- provide a third party with a copy of a message for information (the sub-function of the message is Copy),
- re-send to a third party a copy of a message for information (the sub-function of the message is Copy Duplicate), using the relevant elements in the business application header (BAH).

### Outline

The CorporateActionMovementConfirmation002V14 MessageDefinition is composed of 16 MessageBuildingBlocks:

#### A. Pagination

Page number of the message and continuation indicator to indicate that the multi-part notification is to continue or that the message is the last page of the multi-part notification.

#### B. NotificationIdentification

Identification of a previously sent notification document.

#### C. MovementPreliminaryAdviceIdentification

Identification of a previously sent movement preliminary advice document.

#### D. InstructionIdentification

Identification of a related instruction document.

#### E. OtherDocumentIdentification

Identification of other documents as well as the document number.

#### F. EventsLinkage

Identification of another corporate action event that needs to be closely linked to the processing of the event notified in this document.

#### G. TransactionIdentification

Transaction type and identification information.

H. CorporateActionGeneralInformation

General information about the corporate action event.

I. AccountDetails

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

J. CorporateActionDetails

Information about the corporate action event.

K. CorporateActionConfirmationDetails

Information about the corporate action option.

L. AdditionalInformation

Provides additional information.

M. IssuerAgent

Party appointed to administer the event on behalf of the issuer company/offerer. The party may be contacted for more information about the event.

N. PayingAgent

Agent (principal or fiscal paying agent) appointed to execute the payment for the corporate action event on behalf of the issuer company/offerer.

O. SubPayingAgent

Sub-agent appointed to execute the payment for the corporate action event on behalf of the issuer company/offerer.

P. SupplementaryData

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> <CorpActnMvmntConf>	[1..1]		C2, C28, C29, C34, C46, C47, C59, C60, C61, C37	
	<b>Pagination</b> <Pgntn>	[0..1]	±		565
	<b>NotificationIdentification</b> <NtfctnId>	[0..1]	±		565
	<b>MovementPreliminaryAdviceIdentification</b> <MvmntPrlimryAdvclId>	[0..1]	±		565
	<b>InstructionIdentification</b> <InstrId>	[0..1]	±		565
	<b>OtherDocumentIdentification</b> <OthrDocId>	[0..*]	±		566
	<b>EventsLinkage</b> <EvtsLkg>	[0..*]	±		566
	<b>TransactionIdentification</b> <TxId>	[0..1]			566
	<b>MarketInfrastructureTransactionIdentification</b> <MktInfrstrctrTxId>	[1..1]	Text		567
	<b>CorporateActionGeneralInformation</b> <CorpActnGnllnf>	[1..1]		C45	567
	<b>CorporateActionEventIdentification</b> <CorpActnEvtId>	[1..1]	Text		568
	<b>OfficialCorporateActionEventIdentification</b> <OffclCorpActnEvtId>	[0..1]	Text		568
	<b>ClassActionNumber</b> <ClssActnNb>	[0..1]	Text		568
	<b>EventType</b> <EvtTp>	[1..1]	±	C17	568
	<b>FinancialInstrumentIdentification</b> <FinInstrmId>	[1..1]	±	C14, C15, C35, C36, C48	569
	<b>FractionalQuantity</b> <FrctnQty>	[0..1]	±	C16	570
	<b>AccountDetails</b> <AcctDtls>	[1..1]		C52, C54, C56, C58	571
	<b>SafekeepingAccount</b> <SfkpgAcct>	[0..1]	Text		573
	<b>BlockchainAddressOrWallet</b> <BlckChainAdrOrWllt>	[0..1]	Text		573
	<b>AccountOwner</b> <AcctOwnr>	[0..1]	±		574
	<b>SafekeepingPlace</b> <SfkpgPlc>	[0..1]	±		574

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Balance</b> <Bal>	[1..1]		C7	574
	<b>ConfirmedBalance</b> <ConfdBal>	[1..1]	±		575
	<b>TotalEligibleBalance</b> <TtlElgblBal>	[0..1]	±		576
	<b>BlockedBalance</b> <BlckdBal>	[0..1]	±		576
	<b>BorrowedBalance</b> <BrrwdBal>	[0..1]	±		576
	<b>CollateralInBalance</b> <CollInBal>	[0..1]	±		576
	<b>CollateralOutBalance</b> <CollOutBal>	[0..1]	±		577
	<b>OnLoanBalance</b> <OnLnBal>	[0..1]	±		577
	<b>PendingDeliveryBalance</b> <PdgDlvryBal>	[0..*]	±		577
	<b>PendingReceiptBalance</b> <PdgRctBal>	[0..*]	±		578
	<b>OutForRegistrationBalance</b> <OutForRegnBal>	[0..1]	±		578
	<b>SettlementPositionBalance</b> <SttlmPosBal>	[0..*]	±		578
	<b>StreetPositionBalance</b> <StrtPosBal>	[0..1]	±		579
	<b>TradeDatePositionBalance</b> <TradDtPosBal>	[0..1]	±		579
	<b>InTransshipmentBalance</b> <InTrnsShipmntBal>	[0..1]	±		579
	<b>RegisteredBalance</b> <RegdBal>	[0..1]	±		580
	<b>AffectedBalance</b> <AfctdBal>	[0..1]	±		580
	<b>UnaffectedBalance</b> <UafctdBal>	[0..1]	±		580
	<b>CorporateActionDetails</b> <CorpActnDtls>	[0..1]			581
	<b>DateDetails</b> <DtDtls>	[0..1]			581
	<b>RecordDate</b> <RcrdDt>	[0..1]	±		581
	<b>ExDividendDate</b> <ExDvddDt>	[0..1]	±		582
	<b>EventStage</b> <EvtStag>	[0..1]	±		582
	<b>AdditionalBusinessProcessIndicator</b> <AddtlBizPrclnd>	[0..*]	±		582
	<b>IntermediateSecuritiesDistributionType</b> <IntrmdtSciesDstrbtnTp>	[0..1]	±		583
	<b>LotteryType</b> <LtryTp>	[0..1]	±		583
	<b>CorporateActionConfirmationDetails</b> <CorpActnConfDtls>	[1..1]			583
	<b>OptionNumber</b> <OptnNb>	[1..1]	±		591
	<b>OptionType</b> <OptnTp>	[1..1]	±		591
	<b>OptionFeatures</b> <OptnFeatrs>	[0..*]	±		591
	<b>FractionDisposition</b> <FrctnDspstn>	[0..1]	±		591

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CurrencyOption</b> <CcyOptn>	[0..1]	CodeSet	C1	592
	<b>DateDetails</b> <DtDtls>	[0..1]			592
	<b>CoverExpirationDeadline</b> <CoverXprtnDdln>	[0..1]	±		592
	<b>TradingDate</b> <TradgDt>	[0..1]	±		593
	<b>PeriodDetails</b> <PrdDtls>	[0..1]			593
	<b>PriceCalculationPeriod</b> <PricClctnPrd>	[0..1]	±		593
	<b>ActionPeriod</b> <ActnPrd>	[0..1]	±		594
	<b>ParallelTradingPeriod</b> <ParllTradgPrd>	[0..1]	±		594
	<b>RateAndAmountDetails</b> <RateAndAmtDtls>	[0..1]		C23, C25, C43, C44, C62, C64, C66, C70, C72	595
	<b>GrossDividendRate</b> <GrssDvddRate>	[0..*]	±		597
	<b>NetDividendRate</b> <NetDvddRate>	[0..*]	±		598
	<b>InterestRateUsedForPayment</b> <IntrstRateUsdForPmt>	[0..*]	±		599
	<b>MaximumAllowedOversubscriptionRate</b> <MaxAllwdOvrSbcptRate>	[0..1]	Rate		600
	<b>ProrationRate</b> <PrratnRate>	[0..1]	Rate		600
	<b>WithholdingTaxRate</b> <WhldgTaxRate>	[0..*]	±		600
	<b>SecondLevelTax</b> <ScndLvITax>	[0..*]	±		600
	<b>AdditionalTax</b> <AddtlTax>	[0..1]	±		601
	<b>TaxableIncomePerDividendShare</b> <TaxblIncmPerDvddShr>	[0..*]	±		601
	<b>PriceDetails</b> <PricDtls>	[0..1]		C22	602
	<b>CashInLieuOfSharePrice</b> <CshInLieuOfShrPric>	[0..1]	±		602
	<b>OverSubscriptionDepositPrice</b> <OverSbcptDpstPric>	[0..1]	±		602
	<b>PlaceOfTrade</b> <PlcOfTrad>	[0..1]	±	C40	603
	<b>SecuritiesMovementDetails</b> <SctiesMvmntDtls>	[0..*]		C18, C30, C32, C38	603
	<b>FinancialInstrumentIdentification</b> <FinInstrmld>	[1..1]	±	C14, C15, C35, C36, C48	606

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CreditDebitIndicator</b> <CdtDbtInd>	[1..1]	CodeSet		608
	<b>TemporaryFinancialInstrumentIndicator</b> <TempFinInstrmInd>	[0..1]	±		608
	<b>NewSecuritiesIssuanceIndicator</b> <NewScitiesIssncInd>	[0..1]	CodeSet		608
	<b>IssuerOfferorTaxabilityIndicator</b> <IssrOfferrTaxbltyInd>	[0..1]	±		609
	<b>IncomeType</b> <IncmTp>	[0..1]	±		609
	<b>OtherIncomeType</b> <OthrIncmTp>	[0..*]	±		609
	<b>ExemptionType</b> <XmptnTp>	[0..*]	±		610
	<b>CountryOfIncomeSource</b> <CtryOfIncmSrc>	[0..1]	CodeSet	C10	610
	<b>PostingQuantity</b> <PstngQty>	[1..1]	±		610
	<b>SafekeepingPlace</b> <SfkpgPlc>	[0..1]	±		610
	<b>FractionDisposition</b> <FrctnDspstn>	[0..1]	±		611
	<b>CurrencyOption</b> <CcyOptn>	[0..1]	CodeSet	C1	611
	<b>DateDetails</b> <DtDtls>	[1..1]			612
	<b>PostingDate</b> <PstngDt>	[1..1]	Date		612
	<b>AvailableDate</b> <AvlblDt>	[0..1]	±		612
	<b>PariPassuDate</b> <PrpssDt>	[0..1]	±		612
	<b>DividendRankingDate</b> <DvddRnkgDt>	[0..1]	±		613
	<b>EarliestPaymentDate</b> <EarlstPmtDt>	[0..1]	±		613
	<b>PaymentDate</b> <PmtDt>	[0..1]	±		613
	<b>RateDetails</b> <RateDtls>	[0..1]			614
	<b>AdditionalQuantityForSubscribedResultantSecurities</b> <AddtlQtyForSbcdbdRsltntScities>	[0..1]	±		614
	<b>AdditionalQuantityForExistingSecurities</b> <AddtlQtyForExstgScities>	[0..1]	±		615
	<b>NewToOld</b> <NewToOd>	[0..1]	±		615
	<b>ChargesFees</b> <ChrgsFees>	[0..1]	±		616
	<b>FiscalStamp</b> <FscIStmp>	[0..1]	Rate		616
	<b>ApplicableRate</b> <AplblRate>	[0..1]	Rate		616
	<b>TaxCreditRate</b> <TaxCdtRate>	[0..1]	±		616
	<b>FinancialTransactionTaxRate</b> <FinTxTaxRate>	[0..1]	Rate		617
	<b>WithholdingTaxRate</b> <WhldgTaxRate>	[0..*]	±		617
	<b>SecondLevelTax</b> <ScndLvTax>	[0..*]	±		617



Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>PriceDetails</b> <PricDtls>	[0..1]		C20	618
	<b>CashInLieuOfSharePrice</b> <CshInLieuOfShrPric>	[0..1]	±		618
	<b>IndicativeOrMarketPrice</b> <IndctvOrMktPric>	[0..1]	±		619
	<b>CashValueForTax</b> <CshValForTax>	[0..1]	±		619
	<b>GenericCashPricePaidPerProduct</b> <GncCshPricPdPerPdct>	[0..1]	±		619
	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		620
	<b>AmountDetails</b> <AmtDtls>	[0..1]			620
	<b>WithholdingTaxAmount</b> <WhldgTaxAmt>	[0..1]	Amount	C1, C11	621
	<b>SecondLevelTaxAmount</b> <ScndLvlTaxAmt>	[0..1]	Amount	C1, C11	621
	<b>ReceivingSettlementParties</b> <RcvvgSttImPties>	[0..1]	±	C49, C50	622
	<b>DeliveringSettlementParties</b> <DlvrvgSttImPties>	[0..1]	±	C49, C50	624
	<b>CashMovementDetails</b> <CshMvmntDtls>	[0..*]		C19, C31, C33, C39	625
	<b>CreditDebitIndicator</b> <CdtDbtInd>	[1..1]	CodeSet		631
	<b>ContractualPaymentIndicator</b> <CtrctlPmtInd>	[0..1]	CodeSet		631
	<b>IssuerOfferorTaxabilityIndicator</b> <IssrOfferrTaxbltyInd>	[0..1]	±		631
	<b>IncomeType</b> <IncmTp>	[0..1]	±		632
	<b>OtherIncomeType</b> <OthrIncmTp>	[0..*]	±		632
	<b>ExemptionType</b> <XmptnTp>	[0..*]	±		632
	<b>CountryOfIncomeSource</b> <CtryOfIncmSrc>	[0..1]	CodeSet	C10	633
	<b>Account</b> <Acct>	[0..1]			633
{Or	<b>CashAccount</b> <CshAcct>	[1..1]	±		633
Or	<b>ChargesAccount</b> <ChrgsAcct>	[1..1]	±		634
Or}	<b>TaxAccount</b> <TaxAcct>	[1..1]	±		634
	<b>CashParties</b> <CshPties>	[0..1]			634
	<b>Creditor</b> <Cdtr>	[0..1]	±	C5	634
	<b>CreditorAgent</b> <CdtrAgt>	[0..1]	±	C6	635
	<b>MarketClaimCounterparty</b> <MktClmCtrPty>	[0..1]	±	C5	636
	<b>AmountDetails</b> <AmtDtls>	[1..1]			636

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>PostingAmount</b> <PstngAmt>	[1..1]	Amount	C1, C11	639
	<b>GrossCashAmount</b> <GrssCshAmt>	[0..1]	Amount	C1, C11	640
	<b>NetCashAmount</b> <NetCshAmt>	[0..1]	Amount	C1, C11	641
	<b>SolicitationFees</b> <SlctnFees>	[0..1]	Amount	C1, C11	641
	<b>CashInLieuOfShare</b> <CshInLieuOfShr>	[0..1]	Amount	C1, C11	642
	<b>CapitalGain</b> <CptlGn>	[0..1]	Amount	C1, C11	643
	<b>InterestAmount</b> <IntrstAmt>	[0..1]	Amount	C1, C11	643
	<b>MarketClaimAmount</b> <MktClmAmt>	[0..1]	Amount	C1, C11	644
	<b>IndemnityAmount</b> <IndmntyAmt>	[0..1]	Amount	C1, C11	645
	<b>ManufacturedDividendPaymentAmount</b> <ManfctrdDvddPmtAmt>	[0..1]	Amount	C1, C11	646
	<b>ReinvestmentAmount</b> <RinvstmtAmt>	[0..1]	Amount	C1, C11	646
	<b>FullyFrankedAmount</b> <FullyFrnkAmt>	[0..1]	Amount	C1, C11	647
	<b>UnfrankedAmount</b> <UfrnkAmt>	[0..1]	Amount	C1, C11	648
	<b>SundryOrOtherAmount</b> <SndryOrOthrAmt>	[0..1]	Amount	C1, C11	648
	<b>TaxFreeAmount</b> <TaxFreeAmt>	[0..1]	Amount	C1, C11	649
	<b>TaxDeferredAmount</b> <TaxDfrrdAmt>	[0..1]	Amount	C1, C11	650
	<b>ValueAddedTaxAmount</b> <ValAddedTaxAmt>	[0..1]	Amount	C1, C11	651
	<b>StampDutyAmount</b> <StmpDtyAmt>	[0..1]	Amount	C1, C11	651
	<b>TaxReclaimAmount</b> <TaxRclmAmt>	[0..1]	Amount	C1, C11	652
	<b>TaxCreditAmount</b> <TaxCdtAmt>	[0..1]	Amount	C1, C11	653
	<b>AdditionalTaxAmount</b> <AddtlTaxAmt>	[0..1]	Amount	C1, C11	653
	<b>WithholdingTaxAmount</b> <WhldgTaxAmt>	[0..1]	Amount	C1, C11	654

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>SecondLevelTaxAmount</b> <ScndLvTaxAmt>	[0..1]	Amount	C1, C11	655
	<b>FiscalStampAmount</b> <FscIStmpAmt>	[0..1]	Amount	C1, C11	656
	<b>ExecutingBrokerAmount</b> <ExctgBrkrAmt>	[0..1]	Amount	C1, C11	656
	<b>PayingAgentCommissionAmount</b> <PngAgtComssnAmt>	[0..1]	Amount	C1, C11	657
	<b>LocalBrokerCommissionAmount</b> <LclBrkrComssnAmt>	[0..1]	Amount	C1, C11	658
	<b>RegulatoryFeesAmount</b> <RgltryFeesAmt>	[0..1]	Amount	C1, C11	658
	<b>ShippingFeesAmount</b> <ShppgFeesAmt>	[0..1]	Amount	C1, C11	659
	<b>ChargesAmount</b> <ChrgsAmt>	[0..1]	Amount	C1, C11	660
	<b>CashAmountBroughtForward</b> <CshAmtBrghtFwd>	[0..1]	Amount	C1, C11	661
	<b>CashAmountCarriedForward</b> <CshAmtCrrdFwd>	[0..1]	Amount	C1, C11	661
	<b>NotionalDividendPayableAmount</b> <NtrnDvddPyblAmt>	[0..1]	Amount	C1, C11	662
	<b>NotionalTaxAmount</b> <NtnlTaxAmt>	[0..1]	Amount	C1, C11	663
	<b>TaxArrearsAmount</b> <TaxArrearsAmt>	[0..1]	Amount	C1, C11	663
	<b>OriginalAmount</b> <OrgnlAmt>	[0..1]	Amount	C1, C11	664
	<b>PrincipalOrCorpus</b> <PrncplOrCrps>	[0..1]	Amount	C1, C11	665
	<b>RedemptionPremiumAmount</b> <RedPrmAmt>	[0..1]	Amount	C1, C11	666
	<b>IncomePortion</b> <IncmPrtn>	[0..1]	Amount	C1, C11	666
	<b>StockExchangeTax</b> <StockXchgTax>	[0..1]	Amount	C1, C11	667
	<b>EUTaxRetentionAmount</b> <EUTaxRtntnAmt>	[0..1]	Amount	C1, C11	668
	<b>AccruedInterestAmount</b> <AcrdIntrstAmt>	[0..1]	Amount	C1, C11	668
	<b>EqualisationAmount</b> <EqulstnAmt>	[0..1]	Amount	C1, C11	669
	<b>FATCATaxAmount</b> <FATCATaxAmt>	[0..1]	Amount	C1, C11	670

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>NRATaxAmount</b> <NRATaxAmt>	[0..1]	Amount	C1, C11	671
	<b>BackUpWithholdingTaxAmount</b> <BckUpWhldgTaxAmt>	[0..1]	Amount	C1, C11	671
	<b>TaxOnIncomeAmount</b> <TaxOnIncmAmt>	[0..1]	Amount	C1, C11	672
	<b>TransactionTax</b> <TxTax>	[0..1]	Amount	C1, C11	673
	<b>DeemedAmount</b> <DmdAmt>	[0..1]	Amount	C1, C11	673
	<b>ForeignIncomeAmount</b> <FrgnIncmAmt>	[0..1]	Amount	C1, C11	674
	<b>DeemedDividendAmount</b> <DmdDvddAmt>	[0..1]	Amount	C1, C11	675
	<b>DeemedFundAmount</b> <DmdFndAmt>	[0..1]	Amount	C1, C11	676
	<b>DeemedInterestAmount</b> <DmdIntrstAmt>	[0..1]	Amount	C1, C11	676
	<b>DeemedRoyaltiesAmount</b> <DmdRyltsAmt>	[0..1]	Amount	C1, C11	677
	<b>AdjustedSubscriptionAmount</b> <AdjstdSbcptAmt>	[0..1]	Amount	C1, C11	678
	<b>RefundedSubscriptionAmount</b> <RfnddSbcptAmt>	[0..1]	Amount	C1, C11	678
	<b>DateDetails</b> <DtDtls>	[1..1]			679
	<b>PostingDate</b> <PstngDt>	[1..1]	Date		679
	<b>ValueDate</b> <ValDt>	[0..1]	Date		680
	<b>ForeignExchangeRateFixingDate</b> <FXRateFvgDt>	[0..1]	±		680
	<b>EarliestPaymentDate</b> <EarlstPmtDt>	[0..1]	Date		680
	<b>PaymentDate</b> <PmtDt>	[0..1]	Date		680
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..*]	±		680
	<b>TaxVoucherDetails</b> <TaxVchrDtls>	[0..1]			681
	<b>Identification</b> <Id>	[1..1]	Text		681
	<b>BargainDate</b> <BrngDt>	[0..1]	±		681
	<b>BargainSettlementDate</b> <BrngSttlmDt>	[0..1]	±		681
	<b>RateAndAmountDetails</b> <RateAndAmtDtls>	[0..1]		C12, C13, C24, C26, C41, C42, C63, C65,	681

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
				C67, C71, C73	
	<b>AdditionalTax</b> <AddtlTax>	[0..1]	±		685
	<b>ChargesFees</b> <ChrgsFees>	[0..1]	±		685
	<b>FiscalStamp</b> <FscIStmp>	[0..1]	Rate		685
	<b>GrossDividendRate</b> <GrssDvddRate>	[0..*]	±		685
	<b>EarlySolicitationFeeRate</b> <EarlySlctnFeeRate>	[0..1]	±		686
	<b>ThirdPartyIncentiveRate</b> <ThrdPtyInctivRate>	[0..1]	±		686
	<b>InterestRateUsedForPayment</b> <IntrstRateUsdForPmt>	[0..*]	±		687
	<b>NetDividendRate</b> <NetDvddRate>	[0..*]	±		687
	<b>ApplicableRate</b> <AplblRate>	[0..1]	Rate		688
	<b>SolicitationFeeRate</b> <SlctnFeeRate>	[0..1]	±		688
	<b>TaxCreditRate</b> <TaxCdtRate>	[0..1]	±		689
	<b>WithholdingTaxRate</b> <WhldgTaxRate>	[0..*]	±		689
	<b>SecondLevelTax</b> <ScndLvITax>	[0..*]	±		689
	<b>TaxOnIncome</b> <TaxOnIncm>	[0..1]	±		690
	<b>TaxOnProfits</b> <TaxOnPrfts>	[0..1]	Rate		690
	<b>TaxReclaimRate</b> <TaxRclmRate>	[0..1]	Rate		690
	<b>EqualisationRate</b> <EqulstnRate>	[0..1]	Amount	C1	690
	<b>DeemedRate</b> <DmdRate>	[0..*]	±		691
	<b>PriceDetails</b> <PricDtls>	[0..1]		C21	692
	<b>GenericCashPricePaidPerProduct</b> <GncCshPricPdPerPdct>	[0..1]	±		692
	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		692
	<b>CashInLieuOfSharePrice</b> <CshInLieuOfShrPric>	[0..1]	±		693
	<b>AdditionalInformation</b> <AddtlInf>	[0..1]			693
	<b>AdditionalText</b> <AddtlTxt>	[0..*]	Text		694
	<b>NarrativeVersion</b> <NrrtvVrsn>	[0..*]	Text		694
	<b>PartyContactNarrative</b> <PtyCtctNrrtv>	[0..*]	Text		694
	<b>TaxationConditions</b> <TaxtnConds>	[0..*]	Text		694
	<b>IssuerAgent</b> <IssrAgt>	[0..*]	±		694
	<b>PayingAgent</b> <PngAgt>	[0..*]	±		695

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>SubPayingAgent</b> <SubPngAgt>	[0..*]	±		695
	<b>SupplementaryData</b> <SplmtryData>	[0..*]	±	C69	695

## 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 AdditionalInformationRule

(Rule)

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

*This constraint is defined at the MessageDefinition level.*

### C3 AdditionalInformationRule

(Rule)

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

### C4 AdditionalInformationRule

(Rule)

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

### C5 AdditionalInformationRule

(Rule)

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

**C6 AdditionalInformationRule**

(Rule)

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

**C7 AffectedAndUnaffectedBalanceRule**

(Rule)

Unaffected balance and Affected balances should only be mentioned as a result of the process that was run through the event. For instance lottery results, Dutch auction results or tender offer results.

**C8 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.

**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 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 DeemedRate1Rule**

(Rule)

If DeemedRate is repeated, then DeemedRate/RateTypeAndAmountAndRateStatus/RateType/Code values and DeemedRate/RateTypeAndRate/RateType/Code values must all be different in each occurrence of DeemedRate.

(MT 566 NVR C4).

*Error handling:*

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

### **C13 DeemedRate2Rule**

(Rule)

Only a single occurrence of either DeemedRate/Amount or DeemedRate/Rate may be present, only one of those elements may be present.

(MT 566 NVR C3).

*Error handling:*

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

### **C14 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.



**C15 DescriptionUsageRule**

(Rule)

Description must be used alone as the last resort.

**C16 DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

**C17 EventTypeRule**

(Rule)

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

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

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

**C18 ExemptionTypeUsageRule**

(Rule)

The lists of exemption type codes to be used in ExemptionType are provided in the document "ETYP-ITYP Exemption & Income Type Codes" available on the SMPG website at [www.smpg.info](http://www.smpg.info).

*Error handling:*

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

**C19 ExemptionTypeUsageRule**

(Rule)

The lists of exemption type codes to be used in ExemptionType are provided in the document "ETYP-ITYP Exemption & Income Type Codes" available on the SMPG website at [www.smpg.info](http://www.smpg.info).

*Error handling:*

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

**C20 GenericCashPricePerProductGuideline**

(Guideline)

GenericCashPriceReceivedPerProduct and GenericCashPricePaidPerProduct are prices received or paid in the course of an event. The specific meaning (redemption price, subscription price, reinvestment price, etc.) is derived from the event type.

**C21 GenericCashPricePerProductGuideline**

(Guideline)

GenericCashPriceReceivedPerProduct and GenericCashPricePaidPerProduct are prices received or paid in the course of an event. The specific meaning (redemption price, subscription price, reinvestment price, ETC.) is derived from the event type.

**C22 GenericCashPriceReceivedPerProductGuideline**

(Rule)

GenericCashPriceReceivedPerProduct is the price received in the course of an event. The specific meaning (redemption price, subscription price, reinvestment price, ETC.) is derived from the event type.

**C23 GrossDividendRate2Rule**

(Rule)

If GrossDividendRate is repeated, then:

- RateTypeAndAmountAndRateStatus/RateType/Code values must all be different in each occurrence of GrossDividendRate. (MT 566 NVR C4 ).

**C24 GrossDividendRate2Rule**

(Rule)

If GrossDividendRate is repeated, then:

- RateTypeAndAmountAndRateStatus/RateType/Code values must all be different in each occurrence of GrossDividendRate. (MT 566 NVR C4 ).

**C25 GrossDividendRate3Rule**

(Rule)

Only a single occurrence of either GrossDividendRate/Amount or GrossDividendRate/AmountAndRateStatus may be present. Both elements may not be present together. (MT 566 NVR C3).

**C26 GrossDividendRate3Rule**

(Rule)

Only a single occurrence of either GrossDividendRate/Amount or GrossDividendRate/AmountAndRateStatus may be present. Both elements may not be present together. (MT 566 NVR C3).

**C27 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.

**C28 IncentivePremiumEventType1Rule**

(Rule)

If Code value is equal to INCP (IncentivePremiumPayment) in CorporateActionDetails/AdditionalBusinessProcessIndicator, then CorporateActionGeneralInformation/EventType/Code value must be equal to CONS (Consent).

(MT 566 NVR C9) (CrossElementComplexRule)

On Condition

    /CorporateActionDetails/AdditionalBusinessProcessIndicator[\*]/Code is equal to value 'IncentivePremiumPayment'

Following Must be True

    /CorporateActionGeneralInformation/EventType/Code Must be equal to value 'Consent'

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00540
- *Error Text:* Invalid message contents for EventType code in CorporateActionGeneralInformation since an Incentive Premium Payment is processed.

*This constraint is defined at the MessageDefinition level.*

**C29 IncentivePremiumEventTypeUG1Rule**

(Rule)

If Code value is equal to INCP (IncentivePremiumPayment) in any occurrence of CorporateActionDetails/AdditionalBusinessProcessIndicator, then CorporateActionGeneralInformation/EventType/Code value must be equal to CONS (Consent).

(MT 564 NVR C26) (CrossElementComplexRule)

if

    at least one occurrence of [CorporateActionDetails/AdditionalBusinessProcessIndicator/Code] has value included in the following list 'INCP'

, then

    every occurrence of [CorporateActionGeneralInformation/EventType/Code] must have value included in the following list 'CONS'

*Expression Language:* UGRule

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00588
- *Error Text:* Invalid message contents for EventType code in CorporateActionGeneralInformation since an Incentive Premium Payment is processed.

*This constraint is defined at the MessageDefinition level.*

### **C30 IncomeType1Rule**

(Rule)

If at least one occurrence of OtherIncomeType is present, then IncomeType must be present. (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00547
- *Error Text:* Invalid message contents for IncomeType. Element must be present.

### **C31 IncomeType2Rule**

(Rule)

If at least one occurrence of OtherIncomeType is present, then IncomeType must be present. (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00548
- *Error Text:* Invalid message contents for IncomeType. Element must be present.

### **C32 IncomeTypeUsageRule**

(Rule)

The lists of income type codes to be used in IncomeType are provided in the document "ETYP-ITYP Exemption & Income Type Codes" available on the SMPG website at [www.smpg.info](http://www.smpg.info).

*Error handling:*

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

### **C33 IncomeTypeUsageRule**

(Rule)

The lists of income type codes to be used in IncomeType are provided in the document "ETYP-ITYP Exemption & Income Type Codes" available on the SMPG website at [www.smpg.info](http://www.smpg.info).

*Error handling:*

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

### **C34 IntermediateSecuritiesDistribution1Rule**

(Rule)

If CorporateActionGeneralInformation/EventType/Code is RHDI (IntermediateSecuritiesDistribution), then CorporateActionDetails/

IntermediateSecuritiesDistributionType must be present.

(MT 566 NVR C5). (CrossElementComplexRule)

On Condition

/CorporateActionGeneralInformation/EventType/Code is equal to value  
'IntermediateSecuritiesDistribution'

Following Must be True

/CorporateActionDetails Must be present

And /CorporateActionDetails/IntermediateSecuritiesDistributionType Must  
be present

*Error handling:*

– *Error severity:* Fatal

– *Error Code:* X00549

– *Error Text:* Invalid message contents for IntermediateSecuritiesDistributionType in  
CorporateActionDetails. Element must be present.

*This constraint is defined at the MessageDefinition level.*

### **C35 ISINGuideline**

(Rule)

When a ISIN code exist. It is strongly recommended that the ISIN be used.

### **C36 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.

### **C37 IssuerAgentGuideline**

(Guideline)

IssuerAgent must be used only in the communication between a CSD and local custodians.

*This constraint is defined at the MessageDefinition level.*

### **C38 IssuerOfferorTaxabilityIndicatorUsageRule**

(Rule)

The IssuerOfferorTaxabilityIndicator may only be used when no tax rate is provided in the  
message and it must not be used in events such as dividend or interest.

The list of proprietary IssuerOfferorTaxabilityIndicator codes that may be used are provided in  
the document " TXAP Taxability Codes" available on the SMPG website at [www.smpg.info](http://www.smpg.info).

### **C39 IssuerOfferorTaxabilityIndicatorUsageRule**

(Rule)

The IssuerOfferorTaxabilityIndicator may only be used when no tax rate is provided in the message and it must not be used in events such as dividend or interest.

The list of proprietary IssuerOfferorTaxabilityIndicator codes that may be used are provided in the document " TXAP Taxability Codes" available on the SMPG website at [www.smpg.info](http://www.smpg.info).

**C40 MarketTypeAndIdentificationRule**

(Rule)

If Type/Code is OverTheCounter (OTCO) and if Identification is present, then Identification/Description must specify a system.

If Type/Code is Exchange (EXCH) and if Identification is present, then Identification/MarketIdentifierCode must be present.

**C41 NetDividendRate1Rule**

(Rule)

If NetDividendRate is repeated, then:

- RateTypeAndAmountAndRateStatus/RateType/Code values must all be different in each occurrence of NetDividendRate. (MT 566 NVR C4 ).

**C42 NetDividendRate2Rule**

(Rule)

Only a single occurrence of either NetDividendRate/Amount may be present. Both elements may not be present together. (MT 566 NVR C3).

**C43 NettDividendRate1Rule**

(Rule)

If NetDividendRate is repeated, then RateTypeAndAmountAndRateStatus/RateType/Code values must all be different in each occurrence of NetDividendRate. (MT 566 NVR C4 ).

**C44 NettDividendRate2Rule**

(Rule)

Only a single occurrence of either NetDividendRate/Amount may be present. Both elements may not be present together. (MT 566 NVR C3).

**C45 OfficialCorporateActionEventReference**

(Rule)

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

available in the SMPG Global Market Practices Part 1 document on [www.smpg.info](http://www.smpg.info).

**C46 OptionNumberRule**

(Rule)

The CorporateActionConfirmationDetails/OptionNumber value provided must be the same as the one provided in the related CorporateActionOptionDetails/OptionNumber element of the CorporateActionNotification or CorporateActionMovementPreliminaryAdvice messages previously sent.

*This constraint is defined at the MessageDefinition level.*

**C47 OtherDocumentIdentificationRule**

(Rule)

If CorporateActionConfirmationDetails/CashMovementDetails/AmountDetails/IndemnityAmount is present, then OtherDocumentationIdentification must be present to refer to the linked settlement confirmation.

*This constraint is defined at the MessageDefinition level.*

**C48 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.

**C49 Party2PresenceRule**

(Rule)

If Party 2 is present, then Party 1 must be present. (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00178
- *Error Text:* Invalid message content for Parties. It is mandatory to provide party 1 when party 2 is provided.

**C50 Party3PresenceRule**

(Rule)

If Party 3 is present, then Party 2 must be present. (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00179
- *Error Text:* It is mandatory to provide party 2 when party 3 is provided.

**C51 RateStatusGuideline**

(Guideline)

The code value ACTU is the default value for a rate status.

**C52 SafekeepingAccountOrBlockChainAddress1Rule**

(Rule)

Either SafekeepingAccount or BlockChainAddressOrWallet must be present but not both. (CrossElementSimpleRule)

*Error handling:*

- *Error severity:* Warning
- *Error Code:* X00579
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

#### **C53 SafekeepingAccountOrBlockChainAddress1Rule**

(Rule)

Either SafekeepingAccount or BlockChainAddressOrWallet must be present but not both. (CrossElementSimpleRule)

*Error handling:*

- *Error severity:* Warning
- *Error Code:* X00582
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

#### **C54 SafekeepingAccountOrBlockChainAddress2Rule**

(Rule)

If BlockChainAddressOrWallet is present then SafekeepingAccount must be absent. (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00580
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

#### **C55 SafekeepingAccountOrBlockChainAddress2Rule**

(Rule)

If BlockChainAddressOrWallet is present then SafekeepingAccount must be absent. (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00583
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

#### **C56 SafekeepingAccountOrBlockChainAddress3Rule**

(Rule)

If SafekeepingAccount is present, then BlockChainAddressOrWallet must be absent. (CrossElementComplexRule)



*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00581
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

**C57 SafekeepingAccountOrBlockChainAddress3Rule**

(Rule)

If SafekeepingAccount is present, then BlockChainAddressOrWallet must be absent. (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00584
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

**C58 SafekeepingPlaceRule**

(Rule)

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

**C59 ScripOrDividendReinvestment1Rule**

(Rule)

If CorporateActionConfirmationDetails/CashMovementDetails/AmountDetails/CashAmountCarriedForward or CorporateActionConfirmationDetails/CashMovementDetails/AmountDetails/CashAmountBroughtForward is present, then CorporateActionGeneralInformation/EventType/Code value must be either DVSC (ScripDividend) or DRIP (DividendReinvestment).

*This constraint is defined at the MessageDefinition level.*

**C60 ScripOrDividendReinvestment2Rule**

(Rule)

If CorporateActionConfirmationDetails/CashMovementDetails/AmountDetails/NotionalDividendPayableAmount or CorporateActionConfirmationDetails/CashMovementDetails/AmountDetails/NotionalTaxAmount is present, then CorporateActionGeneralInformation/EventType/Code value must be DVSC (ScripDividend).

*This constraint is defined at the MessageDefinition level.*

**C61 ScripOrDividendReinvestment3Rule**

(Rule)

If CorporateActionConfirmationDetails/CashMovementDetails/TaxVoucherDetails/BargainDate or CorporateActionConfirmationDetails/CashMovementDetails/TaxVoucherDetails/BargainSettlementDate is present, then CorporateActionGeneralInformation/EventType/Code value must be DRIP (DividendReinvestment).

*This constraint is defined at the MessageDefinition level.*

#### **C62 SecondLevelTax1Rule**

(Rule)

If SecondLevelTax is repeated, then SecondLevelTax/RateTypeAndRate/RateType/Code values must all be different in each occurrence of SecondLevelTax.

(MT 564 NVR C8).

*Error handling:*

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

#### **C63 SecondLevelTax1Rule**

(Rule)

If SecondLevelTax is repeated, then SecondLevelTax/RateTypeAndRate/RateType/Code values must all be different in each occurrence of SecondLevelTax.

(MT 566 NVR C4).

*Error handling:*

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

#### **C64 SecondLevelTax2Rule**

(Rule)

Only a single occurrence of either SecondLevelTax/Amount or SecondLevelTax/Rate or SecondLevelTax/NotSpecifiedRate may be present, only one of these elements may be present.

(MT 564 NVR C7).

*Error handling:*

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

#### **C65 SecondLevelTax2Rule**

(Rule)

Only a single occurrence of either SecondLevelTax/Amount or SecondLevelTax/Rate or SecondLevelTax/NotSpecifiedRate may be present, only one of these elements may be present.

(MT 566 NVR C3).

*Error handling:*

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

**C66 SecondLevelTax3Rule**

(Rule)

If at least one occurrence of SecondLevelTax is present, then at least one occurrence of WithholdingTaxRate must be present. (MT 566 NVR C8). (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00387
- *Error Text:* Invalid message contents for WithholdingTaxRate. It should be present.

**C67 SecondLevelTax3Rule**

(Rule)

If at least one occurrence of SecondLevelTax is present, then at least one occurrence of WithholdingTaxRate must be present. (MT 566 NVR C8). (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00389
- *Error Text:* Invalid message contents for WithholdingTaxRate. It should be present.

**C68 ShortLongNumberRule**

(Rule)

ShortNumber must contain the FIN message type number of the linked message. LongNumber must contain the XML message identifier of the linked message.

**C69 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.

**C70 WithholdingTaxRate1Rule**

(Rule)

If WithholdingTaxRate is repeated, then WithholdingTaxRate/RateTypeAndRate/RateType/Code values must all be different in each occurrence of WithholdingTaxRate.

(MT 564 NVR C8).

*Error handling:*

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

– *Error Text:*

### **C71 WithholdingTaxRate1Rule**

(Rule)

If WithholdingTaxRate is repeated, then WithholdingTaxRate/RateTypeAndRate/RateType/Code values must all be different in each occurrence of WithholdingTaxRate.

(MT 566 NVR C4).

*Error handling:*

– *Error severity:* Fatal

– *Error Code:*

– *Error Text:*

### **C72 WithholdingTaxRate2Rule**

(Rule)

Only a single occurrence of either WithholdingTaxRate/Amount or WithholdingTaxRate/Rate or WithholdingTaxRate/NotSpecifiedRate may be present, only one of these elements may be present.

(MT 564 NVR C7).

*Error handling:*

– *Error severity:* Fatal

– *Error Code:*

– *Error Text:*

### **C73 WithholdingTaxRate2Rule**

(Rule)

Only a single occurrence of either WithholdingTaxRate/Amount or WithholdingTaxRate/Rate or WithholdingTaxRate/NotSpecifiedRate may be present, only one of these elements may be present.

(MT 566 NVR C3).

*Error handling:*

– *Error severity:* Fatal

– *Error Code:*

– *Error Text:*

### **C74 WithLinkageRule**

(Rule)

If Code WITH is used, then the one or more instruction which are linked become bound and which must be executed together. Even if one single transactions/instructions/notifications can not be executed, then all the other transactions/instructions/notifications must also be kept pending. Therefore the use of code WITH must be limited to combine up to 2 or 3 transactions/instructions/notifications.

## 8.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 8.4.1 Pagination <Pgntn>

*Presence:* [0..1]

*Definition:* Page number of the message and continuation indicator to indicate that the multi-part notification is to continue or that the message is the last page of the multi-part notification.

**Pagination <Pgntn>** contains the following elements (see [Pagination1](#) on page 1018 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		1018
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		1018

### 8.4.2 NotificationIdentification <NtfctnId>

*Presence:* [0..1]

*Definition:* Identification of a previously sent notification document.

**NotificationIdentification <NtfctnId>** contains the following elements (see [DocumentIdentification37](#) on page 892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		893
	LinkageType <LkgTp>	[0..1]	±	C32	893

### 8.4.3 MovementPreliminaryAdviceIdentification <MvmntPrlmryAdvId>

*Presence:* [0..1]

*Definition:* Identification of a previously sent movement preliminary advice document.

**MovementPreliminaryAdviceIdentification <MvmntPrlmryAdvId>** contains the following elements (see [DocumentIdentification37](#) on page 892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		893
	LinkageType <LkgTp>	[0..1]	±	C32	893

### 8.4.4 InstructionIdentification <InstrId>

*Presence:* [0..1]

*Definition:* Identification of a related instruction document.

**InstructionIdentification <InstrId>** contains the following elements (see [DocumentIdentification17](#) on page 897 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		898

## 8.4.5 OtherDocumentIdentification <OthrDocId>

*Presence:* [0..\*]

*Definition:* Identification of other documents as well as the document number.

**OtherDocumentIdentification <OthrDocId>** contains the following elements (see [DocumentIdentification38](#) on page 895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			896
{Or	AccountServicerDocumentIdentification <AcctSvcrDocId>	[1..1]	Text		896
Or}	AccountOwnerDocumentIdentification <AcctOwnrDocId>	[1..1]	Text		896
	DocumentNumber <DocNb>	[0..1]	±	C6	896
	LinkageType <LkgTp>	[0..1]	±	C32	897

## 8.4.6 EventsLinkage <EvtsLkg>

*Presence:* [0..\*]

*Definition:* Identification of another corporate action event that needs to be closely linked to the processing of the event notified in this document.

**EventsLinkage <EvtsLkg>** contains the following elements (see [CorporateActionEventReference4](#) on page 1072 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	EventIdentification <EvtId>	[1..1]			1072
{Or	LinkedOfficialCorporateActionEventIdentification <LkdOffclCorpActnEvtId>	[1..1]	Text		1072
Or}	LinkedCorporateActionIdentification <LkdCorpActnId>	[1..1]	Text		1072
	LinkageType <LkgTp>	[0..1]	±	C32	1072

## 8.4.7 TransactionIdentification <TxId>

*Presence:* [0..1]

*Definition:* Transaction type and identification information.

**TransactionIdentification <TxId>** contains the following **TransactionIdentification1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>MarketInfrastructureTransactionIdentification</b> <MktInfrstrctrTxId>	[1..1]	Text		567

#### 8.4.7.1 MarketInfrastructureTransactionIdentification <MktInfrstrctrTxId>

*Presence:* [1..1]

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

*Datatype:* [RestrictedFINMax35Text](#) on page 1351

### 8.4.8 CorporateActionGeneralInformation <CorpActnGnllnf>

*Presence:* [1..1]

*Definition:* General information about the corporate action event.

*Impacted by:* [C45 OfficialCorporateActionEventReference](#)

**CorporateActionGeneralInformation <CorpActnGnllnf>** contains the following **CorporateActionGeneralInformation167** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CorporateActionEventIdentification</b> <CorpActnEvtld>	[1..1]	Text		568
	<b>OfficialCorporateActionEventIdentification</b> <OffclCorpActnEvtld>	[0..1]	Text		568
	<b>ClassActionNumber</b> <ClssActnNb>	[0..1]	Text		568
	<b>EventType</b> <EvtTp>	[1..1]	±	C17	568
	<b>FinancialInstrumentIdentification</b> <FinInstrmld>	[1..1]	±	C14, C15, C35, C36, C48	569
	<b>FractionalQuantity</b> <FrctnlQty>	[0..1]	±	C16	570

#### Constraints

- **OfficialCorporateActionEventReference**

(Rule)

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

available in the SMPG Global Market Practices Part 1 document on [www.smpg.info](http://www.smpg.info).

### 8.4.8.1 CorporateActionEventIdentification <CorpActnEvtId>

*Presence:* [1..1]

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

*Datatype:* [RestrictedFINXMax16Text on page 1352](#)

### 8.4.8.2 OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>

*Presence:* [0..1]

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

*Datatype:* [RestrictedFINXMax16Text on page 1352](#)

### 8.4.8.3 ClassActionNumber <ClassActnNb>

*Presence:* [0..1]

*Definition:* Reference assigned by a court to a class action.

*Datatype:* [RestrictedFINXMax16Text on page 1352](#)

### 8.4.8.4 EventType <EvtTp>

*Presence:* [1..1]

*Definition:* Type of corporate action event.

*Impacted by:* [C17 EventTypeRule](#)

**EventType <EvtTp>** contains one of the following elements (see [CorporateActionEventType96Choice on page 981](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		982
Or}	Proprietary <Prtry>	[1..1]	±		988

#### Constraints

- **EventTypeRule**

(Rule)

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

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



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

### 8.4.8.5 FinancialInstrumentIdentification <FinInstrmId>

*Presence:* [1..1]

*Definition:* Identification of the security concerned by the corporate action.

*Impacted by:* C14 DescriptionPresenceRule, C15 DescriptionUsageRule, C35 ISINGuideline, C36 ISINPresenceRule, C48 OtherIdentificationPresenceRule

**FinancialInstrumentIdentification <FinInstrmId>** contains the following elements (see [SecurityIdentification20 on page 904](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		906
	OtherIdentification <OthrlId>	[0..*]			906
	Identification <Id>	[1..1]	Text		906
	Suffix <Sfx>	[0..1]	Text		906
	Type <Tp>	[1..1]	±		906
	Description <Desc>	[0..1]	Text		907

#### 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 a ISIN code exist. 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.

### 8.4.8.6 FractionalQuantity <FrctnQty>

*Presence:* [0..1]

*Definition:* Fractional quantity resulting from an event which will be paid with cash in lieu.

*Impacted by:* [C16 DigitalTokenUnitUsageRule](#)

**FractionalQuantity <FrctnQty>** contains one of the following elements (see [FinancialInstrumentQuantity36Choice](#) on page 1150 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1150
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1151
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1151
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1151

### Constraints

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

## 8.4.9 AccountDetails <AcctDtls>

*Presence:* [1..1]

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

*Impacted by:* C52 SafekeepingAccountOrBlockChainAddress1Rule, C54 SafekeepingAccountOrBlockChainAddress2Rule, C56 SafekeepingAccountOrBlockChainAddress3Rule, C58 SafekeepingPlaceRule

**AccountDetails <AcctDtls>** contains the following **AccountAndBalance52** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>SafekeepingAccount</b> <SfkpgAcct>	[0..1]	Text		573
	<b>BlockChainAddressOrWallet</b> <BlckChainAdrOrWllet>	[0..1]	Text		573
	<b>AccountOwner</b> <AcctOwnr>	[0..1]	±		574
	<b>SafekeepingPlace</b> <SfkpgPlc>	[0..1]	±		574
	<b>Balance</b> <Bal>	[1..1]		C7	574
	<b>ConfirmedBalance</b> <ConfdBal>	[1..1]	±		575
	<b>TotalEligibleBalance</b> <TtlElgblBal>	[0..1]	±		576
	<b>BlockedBalance</b> <BlckdBal>	[0..1]	±		576
	<b>BorrowedBalance</b> <BrrwdBal>	[0..1]	±		576
	<b>CollateralInBalance</b> <CollInBal>	[0..1]	±		576
	<b>CollateralOutBalance</b> <CollOutBal>	[0..1]	±		577
	<b>OnLoanBalance</b> <OnLnBal>	[0..1]	±		577
	<b>PendingDeliveryBalance</b> <PdgDivryBal>	[0..*]	±		577
	<b>PendingReceiptBalance</b> <PdgRctBal>	[0..*]	±		578
	<b>OutForRegistrationBalance</b> <OutForRegnBal>	[0..1]	±		578
	<b>SettlementPositionBalance</b> <SttlmPosBal>	[0..*]	±		578
	<b>StreetPositionBalance</b> <StrtPosBal>	[0..1]	±		579
	<b>TradeDatePositionBalance</b> <TradDtPosBal>	[0..1]	±		579
	<b>InTransshipmentBalance</b> <InTrnsShipmntBal>	[0..1]	±		579
	<b>RegisteredBalance</b> <RegdBal>	[0..1]	±		580
	<b>AffectedBalance</b> <AfctdBal>	[0..1]	±		580
	<b>UnaffectedBalance</b> <UafctdBal>	[0..1]	±		580

**Constraints**

- **SafekeepingAccountOrBlockChainAddress1Rule**

(Rule)

Either SafekeepingAccount or BlockChainAddressOrWallet must be present but not both.

Following Must be True

    /SafekeepingAccount Must be present

Or /BlockChainAddressOrWallet Must be present

*Error handling:*

– *Error severity:* Warning

– *Error Code:* X00579

- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

- **SafekeepingAccountOrBlockChainAddress2Rule**

(Rule)

If BlockchainAddressOrWallet is present then SafekeepingAccount must be absent.

```
On Condition
  /BlockchainAddressOrWallet is present
Following Must be True
  /SafekeepingAccount Must be absent
```

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00580
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

- **SafekeepingAccountOrBlockChainAddress3Rule**

(Rule)

If SafekeepingAccount is present, then BlockchainAddressOrWallet must be absent.

```
On Condition
  /SafekeepingAccount is present
Following Must be True
  /BlockchainAddressOrWallet Must be absent
```

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00581
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

- **SafekeepingPlaceRule**

(Rule)

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

#### 8.4.9.1 SafekeepingAccount <SfkpgAcct>

*Presence:* [0..1]

*Definition:* Account where financial instruments are maintained.

*Datatype:* [RestrictedFINXMax35Text on page 1354](#)

#### 8.4.9.2 BlockchainAddressOrWallet <BlckChainAdrOrWllt>

*Presence:* [0..1]

*Definition:* Blockchain address or wallet where digital assets are maintained. This is the equivalent of safekeeping account for digital assets.

*Datatype:* [RestrictedFINXMax140Text on page 1352](#)

### 8.4.9.3 AccountOwner <AcctOwnr>

*Presence:* [0..1]

*Definition:* Party that legally owns the account.

**AccountOwner <AcctOwnr>** contains one of the following elements (see [PartyIdentification136Choice on page 1091](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1091
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1091

### 8.4.9.4 SafekeepingPlace <SfkpgPlc>

*Presence:* [0..1]

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

**SafekeepingPlace <SfkpgPlc>** contains one of the following elements (see [SafekeepingPlaceFormat32Choice on page 1216](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]	±		1216
Or	Country <Ctry>	[1..1]	CodeSet	C3	1216
Or	TypeAndIdentification <TpAndId>	[1..1]			1217
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		1217
	Identification <Id>	[1..1]	IdentifierSet	C1	1217
Or}	Proprietary <Prtry>	[1..1]	±		1218

### 8.4.9.5 Balance <Bal>

*Presence:* [1..1]

*Definition:* Provides information about balance related to a corporate action.

*Impacted by:* [C7 AffectedAndUnaffectedBalanceRule](#)

**Balance <Bal>** contains the following **CorporateActionBalanceDetails45** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ConfirmedBalance</b> <ConfdBal>	[1..1]	±		575
	<b>TotalEligibleBalance</b> <TtlElgblBal>	[0..1]	±		576
	<b>BlockedBalance</b> <BlckdBal>	[0..1]	±		576
	<b>BorrowedBalance</b> <BrrwdBal>	[0..1]	±		576
	<b>CollateralInBalance</b> <CollInBal>	[0..1]	±		576
	<b>CollateralOutBalance</b> <CollOutBal>	[0..1]	±		577
	<b>OnLoanBalance</b> <OnLnBal>	[0..1]	±		577
	<b>PendingDeliveryBalance</b> <PdgDlvryBal>	[0..*]	±		577
	<b>PendingReceiptBalance</b> <PdgRctBal>	[0..*]	±		578
	<b>OutForRegistrationBalance</b> <OutForRegnBal>	[0..1]	±		578
	<b>SettlementPositionBalance</b> <SttlmPosBal>	[0..*]	±		578
	<b>StreetPositionBalance</b> <StrtPosBal>	[0..1]	±		579
	<b>TradeDatePositionBalance</b> <TradDtPosBal>	[0..1]	±		579
	<b>InTransshipmentBalance</b> <InTrnsShipmntBal>	[0..1]	±		579
	<b>RegisteredBalance</b> <RegdBal>	[0..1]	±		580
	<b>AffectedBalance</b> <AfctdBal>	[0..1]	±		580
	<b>UnaffectedBalance</b> <UafctdBal>	[0..1]	±		580

**Constraints**

- **AffectedAndUnaffectedBalanceRule**

(Rule)

Unaffected balance and Affected balances should only be mentioned as a result of the process that was run through the event. For instance lottery results, Dutch auction results or tender offer results.

**8.4.9.5.1 ConfirmedBalance <ConfdBal>**

*Presence:* [1..1]

*Definition:* Balance to which the payment applies (less or equal to the total eligible balance).

**ConfirmedBalance <ConfdBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 8.4.9.5.2 TotalEligibleBalance <TtElgblBal>

*Presence:* [0..1]

*Definition:* Total balance of securities eligible for this corporate action event. The entitlement calculation is based on this balance.

**TotalEligibleBalance <TtElgblBal>** contains the following elements (see [TotalEligibleBalanceFormat11](#) on page 869 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Balance <Bal>	[0..1]	±		869
	FullPeriodUnits <FullPrdUnits>	[0..1]	±		870
	PartWayPeriodUnits <PartWayPrdUnits>	[0..1]	±		870

#### 8.4.9.5.3 BlockedBalance <BlckdBal>

*Presence:* [0..1]

*Definition:* Balance of financial instruments that are blocked.

**BlockedBalance <BlckdBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 8.4.9.5.4 BorrowedBalance <BrrwdBal>

*Presence:* [0..1]

*Definition:* Balance of financial instruments that have been borrowed from another party.

**BorrowedBalance <BrrwdBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 8.4.9.5.5 CollateralInBalance <CollnBal>

*Presence:* [0..1]

*Definition:* Balance of securities that belong to a third party and that are held for the purpose of collateralisation.



**CollateralInBalance <CollInBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 8.4.9.5.6 CollateralOutBalance <CollOutBal>

*Presence:* [0..1]

*Definition:* 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.

**CollateralOutBalance <CollOutBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 8.4.9.5.7 OnLoanBalance <OnLnBal>

*Presence:* [0..1]

*Definition:* Balance of financial instruments that have been loaned to a third party.

**OnLoanBalance <OnLnBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 8.4.9.5.8 PendingDeliveryBalance <PdgDivryBal>

*Presence:* [0..\*]

*Definition:* Balance of financial instruments that are pending delivery.

**PendingDeliveryBalance <PdgDivryBal>** contains one of the following elements (see [BalanceFormat16Choice](#) on page 870 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		871
Or	EligibleBalance <ElgblBal>	[1..1]	±		871
Or	NotEligibleBalance <NotElgblBal>	[1..1]	±		871
Or	FullPeriodUnits <FullPrdUnits>	[1..1]	±		872
Or}	PartWayPeriodUnits <PartWayPrdUnits>	[1..1]	±		872

#### 8.4.9.5.9 PendingReceiptBalance <PdgRctBal>

*Presence:* [0..\*]

*Definition:* Balance of financial instruments that are pending receipt.

**PendingReceiptBalance <PdgRctBal>** contains one of the following elements (see [BalanceFormat16Choice](#) on page 870 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		871
Or	EligibleBalance <ElgblBal>	[1..1]	±		871
Or	NotEligibleBalance <NotElgblBal>	[1..1]	±		871
Or	FullPeriodUnits <FullPrdUnits>	[1..1]	±		872
Or}	PartWayPeriodUnits <PartWayPrdUnits>	[1..1]	±		872

#### 8.4.9.5.10 OutForRegistrationBalance <OutForRegnBal>

*Presence:* [0..1]

*Definition:* Balance of financial instruments currently being processed by the institution responsible for registering the new beneficial owner (or nominee).

**OutForRegistrationBalance <OutForRegnBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 8.4.9.5.11 SettlementPositionBalance <SttlmPosBal>

*Presence:* [0..\*]

*Definition:* Balance of securities representing only settled transactions; pending transactions not included.

**SettlementPositionBalance <SttlmPosBal>** contains one of the following elements (see [BalanceFormat16Choice on page 870](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		871
Or	EligibleBalance <ElgblBal>	[1..1]	±		871
Or	NotEligibleBalance <NotElgblBal>	[1..1]	±		871
Or	FullPeriodUnits <FullPrdUnits>	[1..1]	±		872
Or}	PartWayPeriodUnits <PartWayPrdUnits>	[1..1]	±		872

#### 8.4.9.5.12 StreetPositionBalance <StrtPosBal>

*Presence:* [0..1]

*Definition:* Balance of financial instruments that remain registered in the name of the prior beneficial owner.

**StreetPositionBalance <StrtPosBal>** contains one of the following elements (see [BalanceFormat14Choice on page 872](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 8.4.9.5.13 TradeDatePositionBalance <TradDtPosBal>

*Presence:* [0..1]

*Definition:* Balance of securities based on trade date, for example, includes all pending transactions in addition to the balance of settled transactions.

**TradeDatePositionBalance <TradDtPosBal>** contains one of the following elements (see [BalanceFormat14Choice on page 872](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 8.4.9.5.14 InTransshipmentBalance <InTrnsShpmtBal>

*Presence:* [0..1]

*Definition:* Balance of physical securities that are in the process of being transferred from one depository/agent to another.

**InTransshipmentBalance <InTrnsShipmntBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 8.4.9.5.15 RegisteredBalance <RegdBal>

*Presence:* [0..1]

*Definition:* Balance of financial instruments that are registered (in the name of a nominee name or of the beneficial owner).

**RegisteredBalance <RegdBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 8.4.9.5.16 AffectedBalance <AfctdBal>

*Presence:* [0..1]

*Definition:* Balance that has been affected by the process run through the event.

**AffectedBalance <AfctdBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 8.4.9.5.17 UnaffectedBalance <UafctdBal>

*Presence:* [0..1]

*Definition:* Balance that has not been affected by the process run through the event.

**UnaffectedBalance <UafctdBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

## 8.4.10 CorporateActionDetails <CorpActnDtls>

*Presence:* [0..1]

*Definition:* Information about the corporate action event.

**CorporateActionDetails <CorpActnDtls>** contains the following **CorporateAction75** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>DateDetails</b> <DtDtls>	[0..1]			581
	<b>RecordDate</b> <RcrdDt>	[0..1]	±		581
	<b>ExDividendDate</b> <ExDvddDt>	[0..1]	±		582
	<b>EventStage</b> <EvtStag>	[0..1]	±		582
	<b>AdditionalBusinessProcessIndicator</b> <AddtlBizPrclnd>	[0..*]	±		582
	<b>IntermediateSecuritiesDistributionType</b> <IntrmdtScitiesDstrbtnTp>	[0..1]	±		583
	<b>LotteryType</b> <LtryTp>	[0..1]	±		583

### 8.4.10.1 DateDetails <DtDtls>

*Presence:* [0..1]

*Definition:* Provides information about the dates related to a corporate action event.

**DateDetails <DtDtls>** contains the following **CorporateActionDate89** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>RecordDate</b> <RcrdDt>	[0..1]	±		581
	<b>ExDividendDate</b> <ExDvddDt>	[0..1]	±		582

#### 8.4.10.1.1 RecordDate <RcrdDt>

*Presence:* [0..1]

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

**RecordDate <RcrdDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

#### 8.4.10.1.2 ExDividendDate <ExDvddDt>

*Presence:* [0..1]

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

**ExDividendDate <ExDvddDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

#### 8.4.10.2 EventStage <EvtStag>

*Presence:* [0..1]

*Definition:* Stage in the corporate action event life cycle.

**EventStage <EvtStag>** contains one of the following elements (see [CorporateActionEventStageFormat15Choice](#) on page 1024 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1024
Or}	Proprietary <Prtry>	[1..1]	±		1025

#### 8.4.10.3 AdditionalBusinessProcessIndicator <AddtlBizPrclnd>

*Presence:* [0..\*]

*Definition:* Indicates that the additional business process relates to a claim on the associated corporate action event.

**AdditionalBusinessProcessIndicator <AddtIBizPrInd>** contains one of the following elements (see [AdditionalBusinessProcessFormat20Choice](#) on page 953 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		953
Or}	Proprietary <Prtry>	[1..1]	±		954

#### 8.4.10.4 IntermediateSecuritiesDistributionType <IntrmdtSciesDstrbtnTp>

*Presence:* [0..1]

*Definition:* Type of intermediates securities distribution.

**IntermediateSecuritiesDistributionType <IntrmdtSciesDstrbtnTp>** contains one of the following elements (see [IntermediateSecuritiesDistributionTypeFormat18Choice](#) on page 1057 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1057
Or}	Proprietary <Prtry>	[1..1]	±		1058

#### 8.4.10.5 LotteryType <LtryTp>

*Presence:* [0..1]

*Definition:* Specifies the type of lottery announced.

**LotteryType <LtryTp>** contains one of the following elements (see [LotteryTypeFormat5Choice](#) on page 1054 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1054
Or}	Proprietary <Prtry>	[1..1]	±		1054

### 8.4.11 CorporateActionConfirmationDetails <CorpActnConfDtls>

*Presence:* [1..1]

*Definition:* Information about the corporate action option.

**CorporateActionConfirmationDetails <CorpActnConfDtls>** contains the following  
**CorporateActionOption213** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OptionNumber</b> <OptnNb>	[1..1]	±		591
	<b>OptionType</b> <OptnTp>	[1..1]	±		591
	<b>OptionFeatures</b> <OptnFeatrs>	[0..*]	±		591
	<b>FractionDisposition</b> <FrctnDspstn>	[0..1]	±		591
	<b>CurrencyOption</b> <CcyOptn>	[0..1]	CodeSet	C1	592
	<b>DateDetails</b> <DtDtls>	[0..1]			592
	<b>CoverExpirationDeadline</b> <CoverXprtnDdln>	[0..1]	±		592
	<b>TradingDate</b> <TradgDt>	[0..1]	±		593
	<b>PeriodDetails</b> <PrdDtls>	[0..1]			593
	<b>PriceCalculationPeriod</b> <PricClctnPrd>	[0..1]	±		593
	<b>ActionPeriod</b> <ActnPrd>	[0..1]	±		594
	<b>ParallelTradingPeriod</b> <ParllTradgPrd>	[0..1]	±		594
	<b>RateAndAmountDetails</b> <RateAndAmtDtls>	[0..1]		C23, C25, C43, C44, C62, C64, C66, C70, C72	595
	<b>GrossDividendRate</b> <GrssDvddRate>	[0..*]	±		597
	<b>NetDividendRate</b> <NetDvddRate>	[0..*]	±		598
	<b>InterestRateUsedForPayment</b> <IntrstRateUsdForPmt>	[0..*]	±		599
	<b>MaximumAllowedOversubscriptionRate</b> <MaxAllwdOvrbcptRate>	[0..1]	Rate		600
	<b>ProrationRate</b> <PrratnRate>	[0..1]	Rate		600
	<b>WithholdingTaxRate</b> <WhldgTaxRate>	[0..*]	±		600
	<b>SecondLevelTax</b> <ScndLvITax>	[0..*]	±		600
	<b>AdditionalTax</b> <AddtlTax>	[0..1]	±		601
	<b>TaxableIncomePerDividendShare</b> <TaxblIncmPerDvddShr>	[0..*]	±		601
	<b>PriceDetails</b> <PricDtls>	[0..1]		C22	602
	<b>CashInLieuOfSharePrice</b> <CshInLieuOfShrPric>	[0..1]	±		602
	<b>OverSubscriptionDepositPrice</b> <OverSbcptDpstPric>	[0..1]	±		602



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>PlaceOfTrade</b> <PlcOfTrad>	[0..1]	±	C40	603
	<b>SecuritiesMovementDetails</b> <SctiesMvmntDtls>	[0..*]		C18, C30, C32, C38	603
	<b>FinancialInstrumentIdentification</b> <FinInstrmld>	[1..1]	±	C14, C15, C35, C36, C48	606
	<b>CreditDebitIndicator</b> <CdtDbtInd>	[1..1]	CodeSet		608
	<b>TemporaryFinancialInstrumentIndicator</b> <TempFinInstrmld>	[0..1]	±		608
	<b>NewSecuritiesIssuanceIndicator</b> <NewSctiesIssncInd>	[0..1]	CodeSet		608
	<b>IssuerOfferorTaxabilityIndicator</b> <IssrOfferrTaxbltyInd>	[0..1]	±		609
	<b>IncomeType</b> <IncmTp>	[0..1]	±		609
	<b>OtherIncomeType</b> <OthrlncmTp>	[0..*]	±		609
	<b>ExemptionType</b> <XmptnTp>	[0..*]	±		610
	<b>CountryOfIncomeSource</b> <CtryOfIncmSrc>	[0..1]	CodeSet	C10	610
	<b>PostingQuantity</b> <PstngQty>	[1..1]	±		610
	<b>SafekeepingPlace</b> <SfkpgPlc>	[0..1]	±		610
	<b>FractionDisposition</b> <FrctnDspstn>	[0..1]	±		611
	<b>CurrencyOption</b> <CcyOptn>	[0..1]	CodeSet	C1	611
	<b>DateDetails</b> <DtDtls>	[1..1]			612
	<b>PostingDate</b> <PstngDt>	[1..1]	Date		612
	<b>AvailableDate</b> <AvlblDt>	[0..1]	±		612
	<b>PariPassuDate</b> <PrpssDt>	[0..1]	±		612
	<b>DividendRankingDate</b> <DvddRnkgDt>	[0..1]	±		613
	<b>EarliestPaymentDate</b> <EarlstPmtDt>	[0..1]	±		613
	<b>PaymentDate</b> <PmtDt>	[0..1]	±		613
	<b>RateDetails</b> <RateDtls>	[0..1]			614
	<b>AdditionalQuantityForSubscribedResultantSecurities</b> <AddtlQtyForSbcdbRslntScties>	[0..1]	±		614
	<b>AdditionalQuantityForExistingSecurities</b> <AddtlQtyForExstgScties>	[0..1]	±		615
	<b>NewToOld</b> <NewToOd>	[0..1]	±		615

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ChargesFees</b> <ChrgsFees>	[0..1]	±		616
	<b>FiscalStamp</b> <FscIStmp>	[0..1]	Rate		616
	<b>ApplicableRate</b> <AplblRate>	[0..1]	Rate		616
	<b>TaxCreditRate</b> <TaxCdtRate>	[0..1]	±		616
	<b>FinancialTransactionTaxRate</b> <FinTxTaxRate>	[0..1]	Rate		617
	<b>WithholdingTaxRate</b> <WhldgTaxRate>	[0..*]	±		617
	<b>SecondLevelTax</b> <ScndLvlTax>	[0..*]	±		617
	<b>PriceDetails</b> <PricDtls>	[0..1]		C20	618
	<b>CashInLieuOfSharePrice</b> <CshInLieuOfShrPric>	[0..1]	±		618
	<b>IndicativeOrMarketPrice</b> <IndctvOrMktPric>	[0..1]	±		619
	<b>CashValueForTax</b> <CshValForTax>	[0..1]	±		619
	<b>GenericCashPricePaidPerProduct</b> <GncCshPricPdPerPdct>	[0..1]	±		619
	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		620
	<b>AmountDetails</b> <AmtDtls>	[0..1]			620
	<b>WithholdingTaxAmount</b> <WhldgTaxAmt>	[0..1]	Amount	C1, C11	621
	<b>SecondLevelTaxAmount</b> <ScndLvlTaxAmt>	[0..1]	Amount	C1, C11	621
	<b>ReceivingSettlementParties</b> <RcvgSttlmPties>	[0..1]	±	C49, C50	622
	<b>DeliveringSettlementParties</b> <DlvrGSttlmPties>	[0..1]	±	C49, C50	624
	<b>CashMovementDetails</b> <CshMvmntDtls>	[0..*]		C19, C31, C33, C39	625
	<b>CreditDebitIndicator</b> <CdtDbtInd>	[1..1]	CodeSet		631
	<b>ContractualPaymentIndicator</b> <CtrctlPmtInd>	[0..1]	CodeSet		631
	<b>IssuerOfferorTaxabilityIndicator</b> <IssrOfferrTaxbiltyInd>	[0..1]	±		631
	<b>IncomeType</b> <IncmTp>	[0..1]	±		632
	<b>OtherIncomeType</b> <OthrIncmTp>	[0..*]	±		632
	<b>ExemptionType</b> <XmptnTp>	[0..*]	±		632
	<b>CountryOfIncomeSource</b> <CtryOfIncmSrc>	[0..1]	CodeSet	C10	633
	<b>Account</b> <Acct>	[0..1]			633

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>CashAccount</b> <CshAcct>	[1..1]	±		633
Or	<b>ChargesAccount</b> <ChrgsAcct>	[1..1]	±		634
Or}	<b>TaxAccount</b> <TaxAcct>	[1..1]	±		634
	<b>CashParties</b> <CshPties>	[0..1]			634
	<b>Creditor</b> <Cdtr>	[0..1]	±	C5	634
	<b>CreditorAgent</b> <CdtrAgt>	[0..1]	±	C6	635
	<b>MarketClaimCounterparty</b> <MktClmCtrPty>	[0..1]	±	C5	636
	<b>AmountDetails</b> <AmtDtls>	[1..1]			636
	<b>PostingAmount</b> <PstngAmt>	[1..1]	Amount	C1, C11	639
	<b>GrossCashAmount</b> <GrssCshAmt>	[0..1]	Amount	C1, C11	640
	<b>NetCashAmount</b> <NetCshAmt>	[0..1]	Amount	C1, C11	641
	<b>SolicitationFees</b> <SlctnFees>	[0..1]	Amount	C1, C11	641
	<b>CashInLieuOfShare</b> <CshInLieuOfShr>	[0..1]	Amount	C1, C11	642
	<b>CapitalGain</b> <CptlGn>	[0..1]	Amount	C1, C11	643
	<b>InterestAmount</b> <IntrstAmt>	[0..1]	Amount	C1, C11	643
	<b>MarketClaimAmount</b> <MktClmAmt>	[0..1]	Amount	C1, C11	644
	<b>IndemnityAmount</b> <IndmntyAmt>	[0..1]	Amount	C1, C11	645
	<b>ManufacturedDividendPaymentAmount</b> <ManfctrdDvddPmtAmt>	[0..1]	Amount	C1, C11	646
	<b>ReinvestmentAmount</b> <RinvstmtAmt>	[0..1]	Amount	C1, C11	646
	<b>FullyFrankedAmount</b> <FullyFrnkAmt>	[0..1]	Amount	C1, C11	647
	<b>UnfrankedAmount</b> <UfrnkAmt>	[0..1]	Amount	C1, C11	648
	<b>SundryOrOtherAmount</b> <SndryOrOthrAmt>	[0..1]	Amount	C1, C11	648
	<b>TaxFreeAmount</b> <TaxFreeAmt>	[0..1]	Amount	C1, C11	649
	<b>TaxDeferredAmount</b> <TaxDfrdAmt>	[0..1]	Amount	C1, C11	650
	<b>ValueAddedTaxAmount</b> <ValAddedTaxAmt>	[0..1]	Amount	C1, C11	651

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>StampDutyAmount</b> <StmpDtyAmt>	[0..1]	Amount	C1, C11	651
	<b>TaxReclaimAmount</b> <TaxRclmAmt>	[0..1]	Amount	C1, C11	652
	<b>TaxCreditAmount</b> <TaxCdtAmt>	[0..1]	Amount	C1, C11	653
	<b>AdditionalTaxAmount</b> <AddtlTaxAmt>	[0..1]	Amount	C1, C11	653
	<b>WithholdingTaxAmount</b> <WhldgTaxAmt>	[0..1]	Amount	C1, C11	654
	<b>SecondLevelTaxAmount</b> <ScndLvlTaxAmt>	[0..1]	Amount	C1, C11	655
	<b>FiscalStampAmount</b> <FsciStmpAmt>	[0..1]	Amount	C1, C11	656
	<b>ExecutingBrokerAmount</b> <ExctgBrkrAmt>	[0..1]	Amount	C1, C11	656
	<b>PayingAgentCommissionAmount</b> <PngAgtComssnAmt>	[0..1]	Amount	C1, C11	657
	<b>LocalBrokerCommissionAmount</b> <LclBrkrComssnAmt>	[0..1]	Amount	C1, C11	658
	<b>RegulatoryFeesAmount</b> <RgltryFeesAmt>	[0..1]	Amount	C1, C11	658
	<b>ShippingFeesAmount</b> <ShppgFeesAmt>	[0..1]	Amount	C1, C11	659
	<b>ChargesAmount</b> <ChrgsAmt>	[0..1]	Amount	C1, C11	660
	<b>CashAmountBroughtForward</b> <CshAmtBrghtFwd>	[0..1]	Amount	C1, C11	661
	<b>CashAmountCarriedForward</b> <CshAmtCrrdFwd>	[0..1]	Amount	C1, C11	661
	<b>NotionalDividendPayableAmount</b> <NtnlDvddPyblAmt>	[0..1]	Amount	C1, C11	662
	<b>NotionalTaxAmount</b> <NtnlTaxAmt>	[0..1]	Amount	C1, C11	663
	<b>TaxArrearsAmount</b> <TaxArrearsAmt>	[0..1]	Amount	C1, C11	663
	<b>OriginalAmount</b> <OrgnlAmt>	[0..1]	Amount	C1, C11	664
	<b>PrincipalOrCorpus</b> <PrncplOrCrps>	[0..1]	Amount	C1, C11	665
	<b>RedemptionPremiumAmount</b> <RedPrmAmt>	[0..1]	Amount	C1, C11	666
	<b>IncomePortion</b> <IncmPrtn>	[0..1]	Amount	C1, C11	666

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>StockExchangeTax</b> <StockXchgTax>	[0..1]	Amount	C1, C11	667
	<b>EUTaxRetentionAmount</b> <EUTaxRtntnAmt>	[0..1]	Amount	C1, C11	668
	<b>AccruedInterestAmount</b> <AcrdIntrstAmt>	[0..1]	Amount	C1, C11	668
	<b>EqualisationAmount</b> <EqulstnAmt>	[0..1]	Amount	C1, C11	669
	<b>FATCATaxAmount</b> <FATCATaxAmt>	[0..1]	Amount	C1, C11	670
	<b>NRATaxAmount</b> <NRATaxAmt>	[0..1]	Amount	C1, C11	671
	<b>BackUpWithholdingTaxAmount</b> <BckUpWhldgTaxAmt>	[0..1]	Amount	C1, C11	671
	<b>TaxOnIncomeAmount</b> <TaxOnIncmAmt>	[0..1]	Amount	C1, C11	672
	<b>TransactionTax</b> <TxTax>	[0..1]	Amount	C1, C11	673
	<b>DeemedAmount</b> <DmdAmt>	[0..1]	Amount	C1, C11	673
	<b>ForeignIncomeAmount</b> <FrgnIncmAmt>	[0..1]	Amount	C1, C11	674
	<b>DeemedDividendAmount</b> <DmdDvddAmt>	[0..1]	Amount	C1, C11	675
	<b>DeemedFundAmount</b> <DmdFndAmt>	[0..1]	Amount	C1, C11	676
	<b>DeemedInterestAmount</b> <DmdIntrstAmt>	[0..1]	Amount	C1, C11	676
	<b>DeemedRoyaltiesAmount</b> <DmdRyltsAmt>	[0..1]	Amount	C1, C11	677
	<b>AdjustedSubscriptionAmount</b> <AdjstdSbcptAmt>	[0..1]	Amount	C1, C11	678
	<b>RefundedSubscriptionAmount</b> <RfnddSbcptAmt>	[0..1]	Amount	C1, C11	678
	<b>DateDetails</b> <DtDtls>	[1..1]			679
	<b>PostingDate</b> <PstngDt>	[1..1]	Date		679
	<b>ValueDate</b> <ValDt>	[0..1]	Date		680
	<b>ForeignExchangeRateFixingDate</b> <FXRateFxdt>	[0..1]	±		680
	<b>EarliestPaymentDate</b> <EarlstPmtDt>	[0..1]	Date		680
	<b>PaymentDate</b> <PmtDt>	[0..1]	Date		680
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..*]	±		680
	<b>TaxVoucherDetails</b> <TaxVchrDtls>	[0..1]			681

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification</b> <Id>	[1..1]	Text		681
	<b>BargainDate</b> <BrgnDt>	[0..1]	±		681
	<b>BargainSettlementDate</b> <BrgnSttlmDt>	[0..1]	±		681
	<b>RateAndAmountDetails</b> <RateAndAmtDtls>	[0..1]		C12, C13, C24, C26, C41, C42, C63, C65, C67, C71, C73	681
	<b>AdditionalTax</b> <AddtlTax>	[0..1]	±		685
	<b>ChargesFees</b> <ChrgsFees>	[0..1]	±		685
	<b>FiscalStamp</b> <FscIStmp>	[0..1]	Rate		685
	<b>GrossDividendRate</b> <GrssDvddRate>	[0..*]	±		685
	<b>EarlySolicitationFeeRate</b> <EarlySlctnFeeRate>	[0..1]	±		686
	<b>ThirdPartyIncentiveRate</b> <ThrdPtyIncntivRate>	[0..1]	±		686
	<b>InterestRateUsedForPayment</b> <IntrstRateUsdForPmt>	[0..*]	±		687
	<b>NetDividendRate</b> <NetDvddRate>	[0..*]	±		687
	<b>ApplicableRate</b> <AplblRate>	[0..1]	Rate		688
	<b>SolicitationFeeRate</b> <SlctnFeeRate>	[0..1]	±		688
	<b>TaxCreditRate</b> <TaxCdtRate>	[0..1]	±		689
	<b>WithholdingTaxRate</b> <WhldgTaxRate>	[0..*]	±		689
	<b>SecondLevelTax</b> <ScndLvlTax>	[0..*]	±		689
	<b>TaxOnIncome</b> <TaxOnIncm>	[0..1]	±		690
	<b>TaxOnProfits</b> <TaxOnPrfts>	[0..1]	Rate		690
	<b>TaxReclaimRate</b> <TaxRclmRate>	[0..1]	Rate		690
	<b>EqualisationRate</b> <EqulstnRate>	[0..1]	Amount	C1	690
	<b>DeemedRate</b> <DmdRate>	[0..*]	±		691
	<b>PriceDetails</b> <PricDtls>	[0..1]		C21	692
	<b>GenericCashPricePaidPerProduct</b> <GncCshPricPdPerPdct>	[0..1]	±		692
	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		692

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashInLieuOfSharePrice <CshInLieuOfShrPric>	[0..1]	±		693

#### 8.4.11.1 OptionNumber <OptnNb>

*Presence:* [1..1]

*Definition:* Number identifying the available corporate action options.

**OptionNumber <OptnNb>** contains one of the following elements (see [OptionNumber1Choice](#) on page 1078 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Number <Nb>	[1..1]	Text		1078
Or}	Code <Cd>	[1..1]	CodeSet		1078

#### 8.4.11.2 OptionType <OptnTp>

*Presence:* [1..1]

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

**OptionType <OptnTp>** contains one of the following elements (see [CorporateActionOption39Choice](#) on page 979 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		980
Or}	Proprietary <Prtry>	[1..1]	±		981

#### 8.4.11.3 OptionFeatures <OptnFeatrs>

*Presence:* [0..\*]

*Definition:* Specifies the features that may apply to a corporate action option.

**OptionFeatures <OptnFeatrs>** contains one of the following elements (see [OptionFeaturesFormat19Choice](#) on page 1021 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1022
Or}	Proprietary <Prtry>	[1..1]	±		1022

#### 8.4.11.4 FractionDisposition <FrctnDspstn>

*Presence:* [0..1]

*Definition:* Specifies how fractions resulting from derived securities will be processed or how prorated decisions will be rounding, if provided with a pro ration rate.

**FractionDisposition <FrctnDspstn>** contains one of the following elements (see [FractionDispositionType30Choice](#) on page 1026 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1026
Or}	Proprietary <Prtry>	[1..1]	±		1027

#### 8.4.11.5 CurrencyOption <CcyOptn>

*Presence:* [0..1]

*Definition:* Currency in which the cash disbursed from an interest or dividend payment is offered.

*Impacted by:* [C1 ActiveCurrency](#)

*Datatype:* [ActiveCurrencyCode](#) on page 1261

##### Constraints

- **ActiveCurrency**

(Rule)

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

*Error handling:*

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

#### 8.4.11.6 DateDetails <DtDtIs>

*Presence:* [0..1]

*Definition:* Provides information about the dates related to a corporate action option.

**DateDetails <DtDtIs>** contains the following **CorporateActionDate91** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CoverExpirationDeadline</b> <CoverXprtnDdlIn>	[0..1]	±		592
	<b>TradingDate</b> <TradgDt>	[0..1]	±		593

##### 8.4.11.6.1 CoverExpirationDeadline <CoverXprtnDdlIn>

*Presence:* [0..1]

*Definition:* Last day a holder can deliver the securities that it had elected on and/or previously protected.



**CoverExpirationDeadline <CoverXprtnDdln>** contains one of the following elements (see [DateFormat43Choice](#) on page 887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		887
Or}	DateCode <DtCd>	[1..1]			888
{Or	Code <Cd>	[1..1]	CodeSet		888
Or}	Proprietary <Prtry>	[1..1]	±		888

#### 8.4.11.6.2 TradingDate <TradgDt>

*Presence:* [0..1]

*Definition:* Date/time at which the deal (rights) was agreed.

**TradingDate <TradgDt>** contains one of the following elements (see [DateFormat49Choice](#) on page 885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		886
Or}	DateCode <DtCd>	[1..1]			886
{Or	Code <Cd>	[1..1]	CodeSet		886
Or}	Proprietary <Prtry>	[1..1]	±		886

#### 8.4.11.7 PeriodDetails <PrdDtIs>

*Presence:* [0..1]

*Definition:* Provides information about the periods related to a corporate action option.

**PeriodDetails <PrdDtIs>** contains the following **CorporateActionPeriod13** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>PriceCalculationPeriod</b> <PricClctnPrd>	[0..1]	±		593
	<b>ActionPeriod</b> <ActnPrd>	[0..1]	±		594
	<b>ParallelTradingPeriod</b> <ParllTradgPrd>	[0..1]	±		594

##### 8.4.11.7.1 PriceCalculationPeriod <PricClctnPrd>

*Presence:* [0..1]

*Definition:* Period during which the price of a security is determined.

**PriceCalculationPeriod <PricClctnPrd>** contains the following elements (see [Period11](#) on page 890 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	StartDate <StartDt>	[1..1]			890
{Or	Date <Dt>	[1..1]	±		890
Or}	NotSpecifiedDate <NotSpcfdDt>	[1..1]	CodeSet		890
	EndDate <EndDt>	[1..1]			891
{Or	Date <Dt>	[1..1]	±		891
Or}	NotSpecifiedDate <NotSpcfdDt>	[1..1]	CodeSet		891

#### 8.4.11.7.2 ActionPeriod <ActnPrd>

*Presence:* [0..1]

*Definition:* Period during which the specified option, or all options of the event, remains valid, for example, offer period.

**ActionPeriod <ActnPrd>** contains the following elements (see [Period11](#) on page 890 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	StartDate <StartDt>	[1..1]			890
{Or	Date <Dt>	[1..1]	±		890
Or}	NotSpecifiedDate <NotSpcfdDt>	[1..1]	CodeSet		890
	EndDate <EndDt>	[1..1]			891
{Or	Date <Dt>	[1..1]	±		891
Or}	NotSpecifiedDate <NotSpcfdDt>	[1..1]	CodeSet		891

#### 8.4.11.7.3 ParallelTradingPeriod <ParllTradgPrd>

*Presence:* [0..1]

*Definition:* Period during which both old and new equity may be traded simultaneously, for example, consolidation of equity or splitting of equity.

**ParallelTradingPeriod <ParIITradgPrd>** contains the following elements (see [Period11](#) on page 890 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	StartDate <StartDt>	[1..1]			890
{Or	Date <Dt>	[1..1]	±		890
Or}	NotSpecifiedDate <NotSpdfdDt>	[1..1]	CodeSet		890
	EndDate <EndDt>	[1..1]			891
{Or	Date <Dt>	[1..1]	±		891
Or}	NotSpecifiedDate <NotSpdfdDt>	[1..1]	CodeSet		891

#### 8.4.11.8 RateAndAmountDetails <RateAndAmtDtls>

*Presence:* [0..1]

*Definition:* Provides information about rates and amounts related to a corporate action option.

*Impacted by:* [C23 GrossDividendRate2Rule](#), [C25 GrossDividendRate3Rule](#), [C43 NettDividendRate1Rule](#), [C44 NettDividendRate2Rule](#), [C62 SecondLevelTax1Rule](#), [C64 SecondLevelTax2Rule](#), [C66 SecondLevelTax3Rule](#), [C70 WithholdingTaxRate1Rule](#), [C72 WithholdingTaxRate2Rule](#)

**RateAndAmountDetails <RateAndAmtDtls>** contains the following **CorporateActionRate108** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>GrossDividendRate</b> <GrssDvddRate>	[0..*]	±		597
	<b>NetDividendRate</b> <NetDvddRate>	[0..*]	±		598
	<b>InterestRateUsedForPayment</b> <IntrstRateUsdForPmt>	[0..*]	±		599
	<b>MaximumAllowedOversubscriptionRate</b> <MaxAllwdOvrscptRate>	[0..1]	Rate		600
	<b>ProrationRate</b> <PrratnRate>	[0..1]	Rate		600
	<b>WithholdingTaxRate</b> <WhldgTaxRate>	[0..*]	±		600
	<b>SecondLevelTax</b> <ScndLvITax>	[0..*]	±		600
	<b>AdditionalTax</b> <AddtlTax>	[0..1]	±		601
	<b>TaxableIncomePerDividendShare</b> <TaxblIncmPerDvddShr>	[0..*]	±		601

#### Constraints

- **GrossDividendRate2Rule**

(Rule)

If GrossDividendRate is repeated, then:

- RateTypeAndAmountAndRateStatus/RateType/Code values must all be different in each occurrence of GrossDividendRate. (MT 566 NVR C4 ).

- **GrossDividendRate3Rule**

(Rule)

Only a single occurrence of either GrossDividendRate/Amount or GrossDividendRate/AmountAndRateStatus may be present. Both elements may not be present together. (MT 566 NVR C3).

- **NettDividendRate1Rule**

(Rule)

If NetDividendRate is repeated, then RateTypeAndAmountAndRateStatus/RateType/Code values must all be different in each occurrence of NetDividendRate. (MT 566 NVR C4 ).

- **NettDividendRate2Rule**

(Rule)

Only a single occurrence of either NetDividendRate/Amount may be present. Both elements may not be present together. (MT 566 NVR C3).

- **SecondLevelTax1Rule**

(Rule)

If SecondLevelTax is repeated, then SecondLevelTax/RateTypeAndRate/RateType/Code values must all be different in each occurrence of SecondLevelTax.

(MT 564 NVR C8).

*Error handling:*

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

- **SecondLevelTax2Rule**

(Rule)

Only a single occurrence of either SecondLevelTax/Amount or SecondLevelTax/Rate or SecondLevelTax/NotSpecifiedRate may be present, only one of these elements may be present.

(MT 564 NVR C7).

*Error handling:*

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

- **SecondLevelTax3Rule**

(Rule)

If at least one occurrence of SecondLevelTax is present, then at least one occurrence of WithholdingTaxRate must be present. (MT 566 NVR C8).

On Condition  
/SecondLevelTax[\*] is present  
Following Must be True  
/WithholdingTaxRate[\*] Must be present

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00387
- *Error Text:* Invalid message contents for WithholdingTaxRate. It should be present.

• **WithholdingTaxRate1Rule**

(Rule)

If WithholdingTaxRate is repeated, then WithholdingTaxRate/RateTypeAndRate/RateType/Code values must all be different in each occurrence of WithholdingTaxRate.

(MT 564 NVR C8).

*Error handling:*

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

• **WithholdingTaxRate2Rule**

(Rule)

Only a single occurrence of either WithholdingTaxRate/Amount or WithholdingTaxRate/Rate or WithholdingTaxRate/NotSpecifiedRate may be present, only one of these elements may be present.

(MT 564 NVR C7).

*Error handling:*

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

**8.4.11.8.1 GrossDividendRate <GrssDvddRate>**

*Presence:* [0..\*]

*Definition:* Cash dividend amount per equity before deductions or allowances have been made.

**GrossDividendRate <GrssDvddRate>** contains one of the following elements (see [GrossDividendRateFormat39Choice](#) on page 1173 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C1	1173
Or	AmountAndRateStatus <AmtAndRateSts>	[1..1]			1174
	Amount <Amt>	[1..1]	Amount	C1	1174
	RateStatus <RateSts>	[1..1]	CodeSet		1174
Or}	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1175
	RateType <RateTp>	[1..1]			1175
{Or	Code <Cd>	[1..1]	CodeSet		1175
Or}	Proprietary <Prtry>	[1..1]	±		1176
	Amount <Amt>	[1..1]	Amount	C1	1176
	RateStatus <RateSts>	[0..1]		C51	1177
{Or	Code <Cd>	[1..1]	CodeSet		1177
Or}	Proprietary <Prtry>	[1..1]	±		1177

#### 8.4.11.8.2 NetDividendRate <NetDvddRate>

*Presence:* [0..\*]

*Definition:* Cash dividend amount per equity after deductions or allowances have been made.

**NetDividendRate <NetDvddRate>** contains one of the following elements (see [NetDividendRateFormat41Choice](#) on page 1168 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C1	1168
Or	AmountAndRateStatus <AmtAndRateSts>	[1..1]			1169
	Amount <Amt>	[1..1]	Amount	C1	1169
	RateStatus <RateSts>	[1..1]	CodeSet		1169
Or}	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1170
	RateType <RateTp>	[1..1]			1170
{Or	Code <Cd>	[1..1]	CodeSet		1170
Or}	Proprietary <Prtry>	[1..1]	±		1171
	Amount <Amt>	[1..1]	Amount	C1	1171
	RateStatus <RateSts>	[0..1]		C51	1172
{Or	Code <Cd>	[1..1]	CodeSet		1172
Or}	Proprietary <Prtry>	[1..1]	±		1172

#### 8.4.11.8.3 InterestRateUsedForPayment <IntrstRateUsdForPmt>

*Presence:* [0..\*]

*Definition:* Actual interest rate used for the payment of the interest for the specified interest period.

**InterestRateUsedForPayment <IntrstRateUsdForPmt>** contains one of the following elements (see [InterestRateUsedForPaymentFormat9Choice](#) on page 1201 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1201
Or	Amount <Amt>	[1..1]	Amount	C1	1201
Or}	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1202
	RateType <RateTp>	[1..1]			1202
{Or	Code <Cd>	[1..1]	CodeSet		1202
Or}	Proprietary <Prtry>	[1..1]	±		1202
	Amount <Amt>	[1..1]	Amount	C1	1203
	RateStatus <RateSts>	[0..1]		C51	1203
{Or	Code <Cd>	[1..1]	CodeSet		1204
Or}	Proprietary <Prtry>	[1..1]	±		1204

#### 8.4.11.8.4 MaximumAllowedOversubscriptionRate <MaxAllwdOvrsbcptRate>

*Presence:* [0..1]

*Definition:* A maximum percentage of shares available through the over subscription privilege, usually a percentage of the basic subscription shares, for example, an account owner subscribing to 100 shares may over subscribe to a maximum of 50 additional shares when the over subscription maximum is 50 percent.

*Datatype:* [PercentageRate on page 1347](#)

#### 8.4.11.8.5 ProrationRate <PrratnRate>

*Presence:* [0..1]

*Definition:* Percentage of securities accepted by the offeror/issuer.

*Datatype:* [PercentageRate on page 1347](#)

#### 8.4.11.8.6 WithholdingTaxRate <WhldgTaxRate>

*Presence:* [0..\*]

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

**WithholdingTaxRate <WhldgTaxRate>** contains one of the following elements (see [RateAndAmountFormat45Choice on page 1204](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1204
Or	Amount <Amt>	[1..1]	Amount	C1	1205
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			1205
	RateType <RateTp>	[1..1]			1205
{Or	Code <Cd>	[1..1]	CodeSet		1206
Or}	Proprietary <Prtry>	[1..1]	±		1206
	Rate <Rate>	[1..1]	Rate		1206

#### 8.4.11.8.7 SecondLevelTax <ScndLvITax>

*Presence:* [0..\*]

*Definition:* Rate at which the income will be withheld by a jurisdiction other than the jurisdiction of the issuer's country of tax incorporation, for which a relief at source and/or reclaim may be possible. It is levied in complement or offset of the withholding tax rate (TAXR) levied by the jurisdiction of the issuer's tax domicile.



**SecondLevelTax <ScndLvITax>** contains one of the following elements (see [RateAndAmountFormat45Choice](#) on page 1204 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1204
Or	Amount <Amt>	[1..1]	Amount	C1	1205
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			1205
	RateType <RateTp>	[1..1]			1205
{Or	Code <Cd>	[1..1]	CodeSet		1206
Or}	Proprietary <Prtry>	[1..1]	±		1206
	Rate <Rate>	[1..1]	Rate		1206

#### 8.4.11.8.8 AdditionalTax <AddtITax>

*Presence:* [0..1]

*Definition:* Rate used for additional tax that cannot be categorised.

**AdditionalTax <AddtITax>** contains one of the following elements (see [RateAndAmountFormat43Choice](#) on page 1208 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1208
Or}	Amount <Amt>	[1..1]	Amount	C1	1208

#### 8.4.11.8.9 TaxableIncomePerDividendShare <TaxblIncmPerDvddShr>

*Presence:* [0..\*]

*Definition:* Amount included in the dividend/NAV that is identified as gains directly or indirectly derived from interest payments, for example, in the context of the EU Savings directive.

**TaxableIncomePerDividendShare <TaxblIncmPerDvddShr>** contains the following elements (see [RateTypeAndAmountAndStatus33](#) on page 1039 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RateType <RateTp>	[1..1]			1039
{Or	Code <Cd>	[1..1]	CodeSet		1039
Or}	Proprietary <Prtry>	[1..1]	±		1039
	Amount <Amt>	[1..1]	Amount	C1	1040
	RateStatus <RateSts>	[0..1]		C51	1040
{Or	Code <Cd>	[1..1]	CodeSet		1041
Or}	Proprietary <Prtry>	[1..1]	±		1041

### 8.4.11.9 PriceDetails <PricDtls>

*Presence:* [0..1]

*Definition:* Provides information about the prices related to a corporate action option.

*Impacted by:* [C22 GenericCashPriceReceivedPerProductGuideline](#)

**PriceDetails <PricDtls>** contains the following **CorporateActionPrice63** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CashInLieuOfSharePrice</b> <CshInLieuOfShrPric>	[0..1]	±		602
	<b>OverSubscriptionDepositPrice</b> <OverSbcptDpstPric>	[0..1]	±		602

#### Constraints

- **GenericCashPriceReceivedPerProductGuideline**

(Rule)

GenericCashPriceReceivedPerProduct is the price received in the course of an event. The specific meaning (redemption price, subscription price, reinvestment price, ETC.) is derived from the event type.

#### 8.4.11.9.1 CashInLieuOfSharePrice <CshInLieuOfShrPric>

*Presence:* [0..1]

*Definition:* Cash disbursement in lieu of equities; usually in lieu of fractional quantity.

**CashInLieuOfSharePrice <CshInLieuOfShrPric>** contains one of the following elements (see [PriceFormat52Choice](#) on page 1128 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1128
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1129
	PriceValue <PricVal>	[1..1]	Rate		1129
Or}	AmountPrice <AmtPric>	[1..1]	±		1129

#### 8.4.11.9.2 OverSubscriptionDepositPrice <OverSbcptDpstPric>

*Presence:* [0..1]

*Definition:* Amount of money required per over-subscribed equity as defined by the issuer.

**OverSubscriptionDepositPrice <OverSbcptDpstPric>** contains one of the following elements (see [PriceFormat52Choice](#) on page 1128 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1128
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1129
	PriceValue <PricVal>	[1..1]	Rate		1129
Or}	AmountPrice <AmtPric>	[1..1]	±		1129

#### 8.4.11.10 PlaceOfTrade <PlcOfTrad>

*Presence:* [0..1]

*Definition:* Place where the trade was executed.

*Impacted by:* [C40 MarketTypeAndIdentificationRule](#)

**PlaceOfTrade <PlcOfTrad>** contains the following elements (see [MarketIdentification90](#) on page 1020 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	±		1020
	Type <Tp>	[1..1]			1021
{Or	Code <Cd>	[1..1]	CodeSet		1021
Or}	Proprietary <Prtry>	[1..1]	±		1021

#### Constraints

- **MarketTypeAndIdentificationRule**

(Rule)

If Type/Code is OverTheCounter (OTCO) and if Identification is present, then Identification/Description must specify a system.

If Type/Code is Exchange (EXCH) and if Identification is present, then Identification/MarketIdentifierCode must be present.

#### 8.4.11.11 SecuritiesMovementDetails <SctiesMvmntDtls>

*Presence:* [0..\*]

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

*Impacted by:* [C18 ExemptionTypeUsageRule](#), [C30 IncomeType1Rule](#), [C32 IncomeTypeUsageRule](#), [C38 IssuerOfferorTaxabilityIndicatorUsageRule](#)

**SecuritiesMovementDetails <SctiesMvmntDtls>** contains the following **SecuritiesOption95** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>FinancialInstrumentIdentification</b> <FinInstrmId>	[1..1]	±	C14, C15, C35, C36, C48	606
	<b>CreditDebitIndicator</b> <CdtDbtInd>	[1..1]	CodeSet		608
	<b>TemporaryFinancialInstrumentIndicator</b> <TempFinInstrmInd>	[0..1]	±		608
	<b>NewSecuritiesIssuanceIndicator</b> <NewSctiesIssnclInd>	[0..1]	CodeSet		608
	<b>IssuerOfferorTaxabilityIndicator</b> <IssrOfferrTaxbltyInd>	[0..1]	±		609
	<b>IncomeType</b> <IncmTp>	[0..1]	±		609
	<b>OtherIncomeType</b> <OthrIncmTp>	[0..*]	±		609
	<b>ExemptionType</b> <XmptnTp>	[0..*]	±		610
	<b>CountryOfIncomeSource</b> <CtryOfIncmSrc>	[0..1]	CodeSet	C10	610
	<b>PostingQuantity</b> <PstngQty>	[1..1]	±		610
	<b>SafekeepingPlace</b> <SfkpgPlc>	[0..1]	±		610
	<b>FractionDisposition</b> <FrctnDspstn>	[0..1]	±		611
	<b>CurrencyOption</b> <CcyOptn>	[0..1]	CodeSet	C1	611
	<b>DateDetails</b> <DtDtls>	[1..1]			612
	<b>PostingDate</b> <PstngDt>	[1..1]	Date		612
	<b>AvailableDate</b> <AvlblDt>	[0..1]	±		612
	<b>PariPassuDate</b> <PrpssDt>	[0..1]	±		612
	<b>DividendRankingDate</b> <DvddRnkgDt>	[0..1]	±		613
	<b>EarliestPaymentDate</b> <EarlstPmtDt>	[0..1]	±		613
	<b>PaymentDate</b> <PmtDt>	[0..1]	±		613
	<b>RateDetails</b> <RateDtls>	[0..1]			614
	<b>AdditionalQuantityForSubscribedResultantSecurities</b> <AddtlQtyForSbcdbRsltntScties>	[0..1]	±		614
	<b>AdditionalQuantityForExistingSecurities</b> <AddtlQtyForExstgScties>	[0..1]	±		615
	<b>NewToOld</b> <NewToOd>	[0..1]	±		615
	<b>ChargesFees</b> <ChrgsFees>	[0..1]	±		616
	<b>FiscalStamp</b> <FscIStmp>	[0..1]	Rate		616
	<b>ApplicableRate</b> <AplblRate>	[0..1]	Rate		616

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TaxCreditRate</b> <TaxCdtRate>	[0..1]	±		616
	<b>FinancialTransactionTaxRate</b> <FinTxTaxRate>	[0..1]	Rate		617
	<b>WithholdingTaxRate</b> <WhldgTaxRate>	[0..*]	±		617
	<b>SecondLevelTax</b> <ScndLvITax>	[0..*]	±		617
	<b>PriceDetails</b> <PricDtls>	[0..1]		C20	618
	<b>CashInLieuOfSharePrice</b> <CshInLieuOfShrPric>	[0..1]	±		618
	<b>IndicativeOrMarketPrice</b> <IndctvOrMktPric>	[0..1]	±		619
	<b>CashValueForTax</b> <CshValForTax>	[0..1]	±		619
	<b>GenericCashPricePaidPerProduct</b> <GncCshPricPdPerPdct>	[0..1]	±		619
	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		620
	<b>AmountDetails</b> <AmtDtls>	[0..1]			620
	<b>WithholdingTaxAmount</b> <WhldgTaxAmt>	[0..1]	Amount	C1, C11	621
	<b>SecondLevelTaxAmount</b> <ScndLvITaxAmt>	[0..1]	Amount	C1, C11	621
	<b>ReceivingSettlementParties</b> <RcvgSttlmPties>	[0..1]	±	C49, C50	622
	<b>DeliveringSettlementParties</b> <DlvrGSttlmPties>	[0..1]	±	C49, C50	624

### Constraints

- **ExemptionTypeUsageRule**

(Rule)

The lists of exemption type codes to be used in ExemptionType are provided in the document "ETYP-ITYP Exemption & Income Type Codes" available on the SMPG website at [www.smpg.info](http://www.smpg.info).

*Error handling:*

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

- **IncomeType1Rule**

(Rule)

If at least one occurrence of OtherIncomeType is present, then IncomeType must be present.

On Condition

/OtherIncomeType[\*] is present

Following Must be True

/IncomeType Must be present

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00547
- *Error Text:* Invalid message contents for IncomeType. Element must be present.

• **IncomeTypeUsageRule**

(Rule)

The lists of income type codes to be used in IncomeType are provided in the document "ETYP-ITYP Exemption & Income Type Codes" available on the SMPG website at [www.smpg.info](http://www.smpg.info).

*Error handling:*

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

• **IssuerOfferorTaxabilityIndicatorUsageRule**

(Rule)

The IssuerOfferorTaxabilityIndicator may only be used when no tax rate is provided in the message and it must not be used in events such as dividend or interest.

The list of proprietary IssuerOfferorTaxabilityIndicator codes that may be used are provided in the document "TXAP Taxability Codes" available on the SMPG website at [www.smpg.info](http://www.smpg.info).

**8.4.11.11.1 FinancialInstrumentIdentification <FinInstrmId>**

*Presence:* [1..1]

*Definition:* Identification of the financial instrument.

*Impacted by:* C14 DescriptionPresenceRule, C15 DescriptionUsageRule, C35 ISINGuideline, C36 ISINPresenceRule, C48 OtherIdentificationPresenceRule

**FinancialInstrumentIdentification <FinInstrmId>** contains the following elements (see [SecurityIdentification20](#) on page 904 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		906
	OtherIdentification <OthrlId>	[0..*]			906
	Identification <Id>	[1..1]	Text		906
	Suffix <Sfx>	[0..1]	Text		906
	Type <Tp>	[1..1]	±		906
	Description <Desc>	[0..1]	Text		907

**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 a ISIN code exist. 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.

#### 8.4.11.11.2 CreditDebitIndicator <CdtDbtInd>

*Presence:* [1..1]

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

*Datatype:* [CreditDebitCode](#) on page 1309

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

#### 8.4.11.11.3 TemporaryFinancialInstrumentIndicator <TempFinInstrmInd>

*Presence:* [0..1]

*Definition:* Specifies that the security identified is a temporary security identification used for processing reasons, for example, contra security used in the US.

**TemporaryFinancialInstrumentIndicator <TempFinInstrmInd>** contains one of the following elements (see [TemporaryFinancialInstrumentIndicator4Choice](#) on page 1038 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	TemporaryIndicator <TempInd>	[1..1]	Indicator		1038
Or}	Proprietary <Prtry>	[1..1]	±		1038

#### 8.4.11.11.4 NewSecuritiesIssuanceIndicator <NewScetiesIssncInd>

*Presence:* [0..1]

*Definition:* Specifies the nature of the securities issue.

*Datatype:* [NewSecuritiesIssuanceType6Code](#) on page 1325

CodeName	Name	Definition
DEFE	DefeasedSecurityIndicator	Funds have been placed in escrow by a trustee or agent to ensure payment on a portion of the outstanding balance of the original security on maturity date. Applicable only in the frame of a Partial Defeasance PDEF corporate action event.
NDEF	NonDefeasedSecurityIndicator	Funds will not be guaranteed at maturity by the issuer or paying agent for this newly issued non-defeased security. Applicable only in the frame of a Partial Defeasance PDEF corporate action event.
REFU	RefundedSecurityIndicator	New security issued that has been refunded to an earlier maturity date. Applicable only in the frame of a partial defeasance PDEF corporate action event.



CodeName	Name	Definition
NREF	NonRefundedSecurityIndicator	New Security issued that has not been refunded and the maturity date of the original underlying security is unchanged. Applicable only in the frame of a Partial Defeasance PDEF corporate action event.

#### 8.4.11.11.5 IssuerOfferorTaxabilityIndicator <IssrOfferrTaxbltyInd>

*Presence:* [0..1]

*Definition:* Proceeds are taxable according to the information provided by the issuer / offeror.

**IssuerOfferorTaxabilityIndicator <IssrOfferrTaxbltyInd>** contains one of the following elements (see [IssuerOfferorTaxabilityIndicator1Choice](#) on page 1074 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1074
Or}	Proprietary <Prtry>	[1..1]	±		1075

#### 8.4.11.11.6 IncomeType <IncmTp>

*Presence:* [0..1]

*Definition:* Specifies the type of income.

The lists of income type codes to be used, are available on the SMPG website at [www.smpg.info](http://www.smpg.info).

**IncomeType <IncmTp>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 8.4.11.11.7 OtherIncomeType <OthrlncmTp>

*Presence:* [0..\*]

*Definition:* Type of income to be used under another tax regime.

**OtherIncomeType <OthrlncmTp>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 8.4.11.11.8 ExemptionType <XmptnTp>

*Presence:* [0..\*]

*Definition:* Specifies the basis for the reduced rate of withholding.

**ExemptionType <XmptnTp>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 8.4.11.11.9 CountryOfIncomeSource <CtryOfIncmSrc>

*Presence:* [0..1]

*Definition:* Indicates the country from which the income originates.

*Impacted by:* [C10 Country](#)

*Datatype:* [CountryCode](#) on page 1309

##### 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.

#### 8.4.11.11.10 PostingQuantity <PstngQty>

*Presence:* [1..1]

*Definition:* Quantity of securities that have been posted (credit or debit) to the safekeeping account.

**PostingQuantity <PstngQty>** contains one of the following elements (see [Quantity54Choice](#) on page 1145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±	C14	1146
Or}	OriginalAndCurrentFace <OrgnlAndCurFace>	[1..1]	±		1146

#### 8.4.11.11.11 SafekeepingPlace <SfkpgPlc>

*Presence:* [0..1]

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

**SafekeepingPlace <SfkpgPlc>** contains one of the following elements (see [SafekeepingPlaceFormat39Choice](#) on page 1218 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]	±		1218
Or	Country <Ctry>	[1..1]	CodeSet	C3	1219
Or	TypeAndIdentification <TpAndId>	[1..1]			1219
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		1219
	Identification <Id>	[1..1]	IdentifierSet	C1	1220
Or}	Proprietary <Prtry>	[1..1]	±		1220

#### 8.4.11.11.12 FractionDisposition <FrctnDspstn>

*Presence:* [0..1]

*Definition:* Specifies how fractions resulting from derived securities will be processed or how prorated decisions will be rounding, if provided with a pro ration rate.

**FractionDisposition <FrctnDspstn>** contains one of the following elements (see [FractionDispositionType30Choice](#) on page 1026 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1026
Or}	Proprietary <Prtry>	[1..1]	±		1027

#### 8.4.11.11.13 CurrencyOption <CcyOptn>

*Presence:* [0..1]

*Definition:* Currency in which the cash disbursed from an interest or dividend payment is offered.

*Impacted by:* [C1 ActiveCurrency](#)

*Datatype:* [ActiveCurrencyCode](#) on page 1261

##### Constraints

- **ActiveCurrency**

(Rule)

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

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005

– *Error Text:* Invalid currency code

#### 8.4.11.11.14 DateDetails <DtDtls>

*Presence:* [1..1]

*Definition:* Provides information about the dates related to securities movement.

**DateDetails <DtDtls>** contains the following **SecurityDate22** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>PostingDate</b> <PstngDt>	[1..1]	Date		612
	<b>AvailableDate</b> <AvlblDt>	[0..1]	±		612
	<b>PariPassuDate</b> <PrpssDt>	[0..1]	±		612
	<b>DividendRankingDate</b> <DvddRnkgDt>	[0..1]	±		613
	<b>EarliestPaymentDate</b> <EarlstPmtDt>	[0..1]	±		613
	<b>PaymentDate</b> <PmtDt>	[0..1]	±		613

##### 8.4.11.11.14.1 PostingDate <PstngDt>

*Presence:* [1..1]

*Definition:* Date of the posting (credit or debit) to the account.

*Datatype:* [ISODate](#) on page 1342

##### 8.4.11.11.14.2 AvailableDate <AvlblDt>

*Presence:* [0..1]

*Definition:* Date/time at which securities become available for trading, for example first dealing date.

**AvailableDate <AvlblDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

##### 8.4.11.11.14.3 PariPassuDate <PrpssDt>

*Presence:* [0..1]

*Definition:* Date/time at which security will assimilate, become fungible, or have the same rights to dividends as the parent issue.

**PariPassuDate <PrpssDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

#### 8.4.11.11.14.4 DividendRankingDate <DvddRnkgDt>

*Presence:* [0..1]

*Definition:* Date/time at which a security will be entitled to a dividend.

**DividendRankingDate <DvddRnkgDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

#### 8.4.11.11.14.5 EarliestPaymentDate <EarlstPmtDt>

*Presence:* [0..1]

*Definition:* Date/time at which a payment can be made, for example, if payment date is a non-business day or to indicate the first payment date of an offer.

**EarliestPaymentDate <EarlstPmtDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

#### 8.4.11.11.14.6 PaymentDate <PmtDt>

*Presence:* [0..1]

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

**PaymentDate <PmtDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

#### 8.4.11.11.15 RateDetails <RateDtls>

*Presence:* [0..1]

*Definition:* Provides information about the rates related to securities movement.

**RateDetails <RateDtls>** contains the following **CorporateActionRate114** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AdditionalQuantityForSubscribedResultantSecurities</b> <AddtlQtyForSbcbdRsltntScies>	[0..1]	±		614
	<b>AdditionalQuantityForExistingSecurities</b> <AddtlQtyForExstgScies>	[0..1]	±		615
	<b>NewToOld</b> <NewToOd>	[0..1]	±		615
	<b>ChargesFees</b> <ChrgsFees>	[0..1]	±		616
	<b>FiscalStamp</b> <FscIStmp>	[0..1]	Rate		616
	<b>ApplicableRate</b> <AplblRate>	[0..1]	Rate		616
	<b>TaxCreditRate</b> <TaxCdtRate>	[0..1]	±		616
	<b>FinancialTransactionTaxRate</b> <FinTxTaxRate>	[0..1]	Rate		617
	<b>WithholdingTaxRate</b> <WhldgTaxRate>	[0..*]	±		617
	<b>SecondLevelTax</b> <ScndLvITax>	[0..*]	±		617

##### 8.4.11.11.15.1 AdditionalQuantityForSubscribedResultantSecurities <AddtlQtyForSbcbdRsltntScies>

*Presence:* [0..1]

*Definition:* Quantity of additional intermediate securities/new equities awarded for a given quantity of securities derived from subscription.

**AdditionalQuantityForSubscribedResultantSecurities <AddtIQtyForSbcbdRsltntScties>** contains one of the following elements (see [RatioFormat21Choice](#) on page 1199 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	QuantityToQuantity <QtyToQty>	[1..1]	±		1199
Or}	AmountToAmount <AmtToAmt>	[1..1]			1199
	Amount1 <Amt1>	[1..1]	Amount	C1	1200
	Amount2 <Amt2>	[1..1]	Amount	C1	1200

#### 8.4.11.11.15.2 AdditionalQuantityForExistingSecurities <AddtIQtyForExstgScties>

*Presence:* [0..1]

*Definition:* Quantity of additional securities for a given quantity of underlying securities where underlying securities are not exchanged or debited, for example, 1 for 1: 1 new equity credited for every 1 underlying equity = 2 resulting equities.

**AdditionalQuantityForExistingSecurities <AddtIQtyForExstgScties>** contains one of the following elements (see [RatioFormat21Choice](#) on page 1199 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	QuantityToQuantity <QtyToQty>	[1..1]	±		1199
Or}	AmountToAmount <AmtToAmt>	[1..1]			1199
	Amount1 <Amt1>	[1..1]	Amount	C1	1200
	Amount2 <Amt2>	[1..1]	Amount	C1	1200

#### 8.4.11.11.15.3 NewToOld <NewToOd>

*Presence:* [0..1]

*Definition:* Quantity of new securities for a given quantity of underlying securities, where the underlying securities will be exchanged or debited, for example, 2 for 1: 2 new equities credited for every 1 underlying equity debited = 2 resulting equities.

**NewToOld <NewToOd>** contains one of the following elements (see [RatioFormat22Choice](#) on page 1195 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	QuantityToQuantity <QtyToQty>	[1..1]	±		1196
Or	AmountToAmount <AmtToAmt>	[1..1]			1196
	Amount1 <Amt1>	[1..1]	Amount	C1	1196
	Amount2 <Amt2>	[1..1]	Amount	C1	1197
Or	AmountToQuantity <AmtToQty>	[1..1]			1197
	Amount <Amt>	[1..1]	Amount	C1	1198
	Quantity <Qty>	[1..1]	Quantity		1198
Or}	QuantityToAmount <QtyToAmt>	[1..1]			1198
	Amount <Amt>	[1..1]	Amount	C1	1198
	Quantity <Qty>	[1..1]	Quantity		1199

#### 8.4.11.11.15.4 ChargesFees <ChrgsFees>

*Presence:* [0..1]

*Definition:* Rate used to calculate the amount of the charges/fees that cannot be categorised.

**ChargesFees <ChrgsFees>** contains one of the following elements (see [RateAndAmountFormat43Choice](#) on page 1208 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1208
Or}	Amount <Amt>	[1..1]	Amount	C1	1208

#### 8.4.11.11.15.5 FiscalStamp <FscIStmp>

*Presence:* [0..1]

*Definition:* Percentage of fiscal tax to apply.

*Datatype:* [PercentageRate](#) on page 1347

#### 8.4.11.11.15.6 ApplicableRate <AplblRate>

*Presence:* [0..1]

*Definition:* Rate applicable to the event announced, for example, redemption rate for a redemption event.

*Datatype:* [PercentageRate](#) on page 1347

#### 8.4.11.11.15.7 TaxCreditRate <TaxCdtRate>

*Presence:* [0..1]

*Definition:* Amount of money per equity allocated as the result of a tax credit.



**TaxCreditRate <TaxCdtRate>** contains one of the following elements (see [RateFormat23Choice](#) on page 1167 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1167
Or}	Amount <Amt>	[1..1]	Amount	C1	1167

#### 8.4.11.11.15.8 FinancialTransactionTaxRate <FinTxTaxRate>

*Presence:* [0..1]

*Definition:* Rate of financial transaction tax.

*Datatype:* [PercentageRate](#) on page 1347

#### 8.4.11.11.15.9 WithholdingTaxRate <WhldgTaxRate>

*Presence:* [0..\*]

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

**WithholdingTaxRate <WhldgTaxRate>** contains one of the following elements (see [RateAndAmountFormat45Choice](#) on page 1204 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1204
Or	Amount <Amt>	[1..1]	Amount	C1	1205
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			1205
	RateType <RateTp>	[1..1]			1205
{Or	Code <Cd>	[1..1]	CodeSet		1206
Or}	Proprietary <Prtry>	[1..1]	±		1206
	Rate <Rate>	[1..1]	Rate		1206

#### 8.4.11.11.15.10 SecondLevelTax <ScndLvITax>

*Presence:* [0..\*]

*Definition:* Rate at which the income will be withheld by a jurisdiction other than the jurisdiction of the issuer's country of tax incorporation, for which a relief at source and/or reclaim may be possible. It is levied in complement or offset of the withholding tax rate (TAXR) levied by the jurisdiction of the issuer's tax domicile.

**SecondLevelTax <ScndLvITax>** contains one of the following elements (see [RateAndAmountFormat45Choice](#) on page 1204 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1204
Or	Amount <Amt>	[1..1]	Amount	C1	1205
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			1205
	RateType <RateTp>	[1..1]			1205
{Or	Code <Cd>	[1..1]	CodeSet		1206
Or}	Proprietary <Prtry>	[1..1]	±		1206
	Rate <Rate>	[1..1]	Rate		1206

#### 8.4.11.11.16 PriceDetails <PricDtls>

*Presence:* [0..1]

*Definition:* Provides information about the prices related to securities movement.

*Impacted by:* [C20 GenericCashPricePerProductGuideline](#)

**PriceDetails <PricDtls>** contains the following **CorporateActionPrice78** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CashInLieuOfSharePrice</b> <CshInLieuOfShrPric>	[0..1]	±		618
	<b>IndicativeOrMarketPrice</b> <IndctvOrMktPric>	[0..1]	±		619
	<b>CashValueForTax</b> <CshValForTax>	[0..1]	±		619
	<b>GenericCashPricePaidPerProduct</b> <GncCshPricPdPerPdct>	[0..1]	±		619
	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		620

#### Constraints

- **GenericCashPricePerProductGuideline**

(Guideline)

GenericCashPriceReceivedPerProduct and GenericCashPricePaidPerProduct are prices received or paid in the course of an event. The specific meaning (redemption price, subscription price, reinvestment price, etc.) is derived from the event type.

#### 8.4.11.11.16.1 CashInLieuOfSharePrice <CshInLieuOfShrPric>

*Presence:* [0..1]

*Definition:* Cash disbursement in lieu of equities; usually in lieu of fractional quantity.

**CashInLieuOfSharePrice <CshInLieuOfShrPric>** contains one of the following elements (see [PriceFormat52Choice](#) on page 1128 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1128
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1129
	PriceValue <PricVal>	[1..1]	Rate		1129
Or}	AmountPrice <AmtPric>	[1..1]	±		1129

#### 8.4.11.11.16.2 IndicativeOrMarketPrice <IndctvOrMktPric>

*Presence:* [0..1]

*Definition:* Indicates whether the price is an indicative price or a market price.

**IndicativeOrMarketPrice <IndctvOrMktPric>** contains one of the following elements (see [IndicativeOrMarketPrice9Choice](#) on page 1130 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IndicativePrice <IndctvPric>	[1..1]	±		1131
Or}	MarketPrice <MktPric>	[1..1]	±		1131

#### 8.4.11.11.16.3 CashValueForTax <CshValForTax>

*Presence:* [0..1]

*Definition:* Cash value of resulting securities proceeds for tax calculation and/or reporting.

**CashValueForTax <CshValForTax>** contains the following elements (see [AmountPrice4](#) on page 1109 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1109
	PriceValue <PricVal>	[1..1]	Amount	C1	1110

#### 8.4.11.11.16.4 GenericCashPricePaidPerProduct <GncCshPricPdPerPdct>

*Presence:* [0..1]

*Definition:* Generic cash price paid per product by the underlying security holder either as a percentage or an amount or a number of points above an index, for example, reinvestment price, strike price and exercise price.

**GenericCashPricePaidPerProduct <GncCshPricPdPerPdct>** contains one of the following elements (see [PriceFormat55Choice](#) on page 1127 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1127
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1127
	PriceValue <PricVal>	[1..1]	Rate		1128
Or	AmountPrice <AmtPric>	[1..1]	±		1128
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		1128

#### 8.4.11.11.16.5 GenericCashPriceReceivedPerProduct <GncCshPricRcvdPerPdct>

*Presence:* [0..1]

*Definition:* Generic cash price received per product by the underlying security holder either as a percentage or an amount, for example, redemption price.

**GenericCashPriceReceivedPerProduct <GncCshPricRcvdPerPdct>** contains one of the following elements (see [PriceFormat68Choice](#) on page 1110 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1111
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1111
	PriceValue <PricVal>	[1..1]	Rate		1112
Or	AmountPrice <AmtPric>	[1..1]	±		1112
Or	AmountPricePerFinancialInstrumentQuantity <AmtPricPerFinInstrmQty>	[1..1]			1112
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1112
	PriceValue <PricVal>	[1..1]	Amount	C1	1113
	FinancialInstrumentQuantity <FinInstrmQty>	[1..1]	±	C14	1113
Or	AmountPricePerAmount <AmtPricPerAmt>	[1..1]			1113
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1114
	PriceValue <PricVal>	[1..1]	Amount	C1	1114
	Amount <Amt>	[1..1]	Amount	C1	1114
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		1115

#### 8.4.11.11.17 AmountDetails <AmtDtls>

*Presence:* [0..1]

*Definition:* Provides information about the amounts related to a securities movement.

**AmountDetails <AmtDtls>** contains the following **CorporateActionAmounts61** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>WithholdingTaxAmount</b> <WhldgTaxAmt>	[0..1]	Amount	C1, C11	621
	<b>SecondLevelTaxAmount</b> <ScndLvITaxAmt>	[0..1]	Amount	C1, C11	621

#### 8.4.11.11.17.1 WithholdingTaxAmount <WhldgTaxAmt>

*Presence:* [0..1]

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

*Impacted by:* C1 ActiveCurrency \_\_, C11 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

#### 8.4.11.11.17.2 SecondLevelTaxAmount <ScndLvITaxAmt>

*Presence:* [0..1]

*Definition:* Amount of money withheld by the jurisdiction other than the jurisdiction of the issuer's country of tax incorporation, for which a relief at source and/or reclaim may be possible. It is levied in complement or offset of the withholding tax rate levied by the jurisdiction of the issuer's tax domicile.

*Impacted by:* C1 ActiveCurrency , C11 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

#### 8.4.11.11.18 ReceivingSettlementParties <RcvgSttlmPties>

*Presence:* [0..1]

*Definition:* Identifies the chain of receiving settlement parties.

*Impacted by:* C49 Party2PresenceRule , C50 Party3PresenceRule

**ReceivingSettlementParties <RcvgSttlmPties>** contains the following elements (see [SettlementParties103 on page 1222](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Depository <Dpstry>	[0..1]		C3	1223
	Identification <Id>	[1..1]			1224
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1224
Or	NameAndAddress <NmAndAdr>	[1..1]	±		1224
Or}	Country <Ctry>	[1..1]	CodeSet	C3	1225
	ProcessingIdentification <PrctlId>	[0..1]	Text		1225
	AlternateIdentification <AltrId>	[0..*]	±		1225
	Party1 <Pty1>	[0..1]	±	C4, C53, C55, C57	1226
	Party2 <Pty2>	[0..1]	±	C4, C53, C55, C57	1227
	Party3 <Pty3>	[0..1]	±	C4, C53, C55, C57	1228

**Constraints**

• **Party2PresenceRule**

(Rule)

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

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

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00178
- *Error Text:* Invalid message content for Parties. It is mandatory to provide party 1 when party 2 is provided.

• **Party3PresenceRule**

(Rule)

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

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

*Error handling:*

- Error severity: Fatal
- Error Code: X00179
- Error Text: It is mandatory to provide party 2 when party 3 is provided.

**8.4.11.11.19 DeliveringSettlementParties <DlvrgSttlmPties>**

*Presence:* [0..1]

*Definition:* Identifies the chain of delivering settlement parties.

*Impacted by:* C49 Party2PresenceRule, C50 Party3PresenceRule

**DeliveringSettlementParties <DlvrgSttlmPties>** contains the following elements (see **SettlementParties103** on page 1222 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Depository <Dpstry>	[0..1]		C3	1223
	Identification <Id>	[1..1]			1224
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1224
Or	NameAndAddress <NmAndAdr>	[1..1]	±		1224
Or}	Country <Ctry>	[1..1]	CodeSet	C3	1225
	ProcessingIdentification <PrctlId>	[0..1]	Text		1225
	AlternateIdentification <AltrmlId>	[0..*]	±		1225
	Party1 <Pty1>	[0..1]	±	C4, C53, C55, C57	1226
	Party2 <Pty2>	[0..1]	±	C4, C53, C55, C57	1227
	Party3 <Pty3>	[0..1]	±	C4, C53, C55, C57	1228

**Constraints**

• **Party2PresenceRule**

(Rule)

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

On Condition

/Party2 is present

Following Must be True

/Party1 Must be present



*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00178
- *Error Text:* Invalid message content for Parties. It is mandatory to provide party 1 when party 2 is provided.

• **Party3PresenceRule**

(Rule)

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

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

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00179
- *Error Text:* It is mandatory to provide party 2 when party 3 is provided.

#### **8.4.11.12 CashMovementDetails <CshMvmntDtls>**

*Presence:* [0..\*]

*Definition:* Provides information about the cash movement related to a corporate action option.

*Impacted by:* C19 ExemptionTypeUsageRule, C31 IncomeType2Rule, C33 IncomeTypeUsageRule, C39 IssuerOfferorTaxabilityIndicatorUsageRule

**CashMovementDetails <CshMvmntDtls>** contains the following **CashOption87** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CreditDebitIndicator</b> <CdtDbtInd>	[1..1]	CodeSet		631
	<b>ContractualPaymentIndicator</b> <CtrctlPmtInd>	[0..1]	CodeSet		631
	<b>IssuerOfferorTaxabilityIndicator</b> <IssrOfferrTaxbiltyInd>	[0..1]	±		631
	<b>IncomeType</b> <IncmTp>	[0..1]	±		632
	<b>OtherIncomeType</b> <OthrlIncmTp>	[0..*]	±		632
	<b>ExemptionType</b> <XmpntTp>	[0..*]	±		632
	<b>CountryOfIncomeSource</b> <CtryOfIncmSrc>	[0..1]	CodeSet	C10	633
	<b>Account</b> <Acct>	[0..1]			633
{Or	<b>CashAccount</b> <CshAcct>	[1..1]	±		633
Or	<b>ChargesAccount</b> <ChrgsAcct>	[1..1]	±		634
Or}	<b>TaxAccount</b> <TaxAcct>	[1..1]	±		634
	<b>CashParties</b> <CshPties>	[0..1]			634
	<b>Creditor</b> <Cdtr>	[0..1]	±	C5	634
	<b>CreditorAgent</b> <CdtrAgt>	[0..1]	±	C6	635
	<b>MarketClaimCounterparty</b> <MktClmCtrPty>	[0..1]	±	C5	636
	<b>AmountDetails</b> <AmtDtls>	[1..1]			636
	<b>PostingAmount</b> <PstngAmt>	[1..1]	Amount	C1, C11	639
	<b>GrossCashAmount</b> <GrssCshAmt>	[0..1]	Amount	C1, C11	640
	<b>NetCashAmount</b> <NetCshAmt>	[0..1]	Amount	C1, C11	641
	<b>SolicitationFees</b> <SlctnFees>	[0..1]	Amount	C1, C11	641
	<b>CashInLieuOfShare</b> <CshInLieuOfShr>	[0..1]	Amount	C1, C11	642
	<b>CapitalGain</b> <CptlGn>	[0..1]	Amount	C1, C11	643
	<b>InterestAmount</b> <IntrstAmt>	[0..1]	Amount	C1, C11	643
	<b>MarketClaimAmount</b> <MktClmAmt>	[0..1]	Amount	C1, C11	644
	<b>IndemnityAmount</b> <IndmntyAmt>	[0..1]	Amount	C1, C11	645
	<b>ManufacturedDividendPaymentAmount</b> <ManfctrdDvddPmtAmt>	[0..1]	Amount	C1, C11	646

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ReinvestmentAmount</b> <RinvstmtAmt>	[0..1]	Amount	C1, C11	646
	<b>FullyFrankedAmount</b> <FullyFrnkAmt>	[0..1]	Amount	C1, C11	647
	<b>UnfrankedAmount</b> <UfrnkAmt>	[0..1]	Amount	C1, C11	648
	<b>SundryOrOtherAmount</b> <SndryOrOthrAmt>	[0..1]	Amount	C1, C11	648
	<b>TaxFreeAmount</b> <TaxFreeAmt>	[0..1]	Amount	C1, C11	649
	<b>TaxDeferredAmount</b> <TaxDfrrdAmt>	[0..1]	Amount	C1, C11	650
	<b>ValueAddedTaxAmount</b> <ValAddedTaxAmt>	[0..1]	Amount	C1, C11	651
	<b>StampDutyAmount</b> <StmpDtyAmt>	[0..1]	Amount	C1, C11	651
	<b>TaxReclaimAmount</b> <TaxRclmAmt>	[0..1]	Amount	C1, C11	652
	<b>TaxCreditAmount</b> <TaxCdtAmt>	[0..1]	Amount	C1, C11	653
	<b>AdditionalTaxAmount</b> <AddtlTaxAmt>	[0..1]	Amount	C1, C11	653
	<b>WithholdingTaxAmount</b> <WhldgTaxAmt>	[0..1]	Amount	C1, C11	654
	<b>SecondLevelTaxAmount</b> <ScndLvlTaxAmt>	[0..1]	Amount	C1, C11	655
	<b>FiscalStampAmount</b> <FsciStmpAmt>	[0..1]	Amount	C1, C11	656
	<b>ExecutingBrokerAmount</b> <ExctgBrkrAmt>	[0..1]	Amount	C1, C11	656
	<b>PayingAgentCommissionAmount</b> <PngAgtComssnAmt>	[0..1]	Amount	C1, C11	657
	<b>LocalBrokerCommissionAmount</b> <LclBrkrComssnAmt>	[0..1]	Amount	C1, C11	658
	<b>RegulatoryFeesAmount</b> <RgltryFeesAmt>	[0..1]	Amount	C1, C11	658
	<b>ShippingFeesAmount</b> <ShppgFeesAmt>	[0..1]	Amount	C1, C11	659
	<b>ChargesAmount</b> <ChrgsAmt>	[0..1]	Amount	C1, C11	660
	<b>CashAmountBroughtForward</b> <CshAmtBrghtFwd>	[0..1]	Amount	C1, C11	661
	<b>CashAmountCarriedForward</b> <CshAmtCrrdFwd>	[0..1]	Amount	C1, C11	661

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>NotionalDividendPayableAmount</b> <NtrnDvddPyblAmt>	[0..1]	Amount	C1, C11	662
	<b>NotionalTaxAmount</b> <NtrnTaxAmt>	[0..1]	Amount	C1, C11	663
	<b>TaxArrearsAmount</b> <TaxArrearsAmt>	[0..1]	Amount	C1, C11	663
	<b>OriginalAmount</b> <OrgnlAmt>	[0..1]	Amount	C1, C11	664
	<b>PrincipalOrCorpus</b> <PrncplOrCrps>	[0..1]	Amount	C1, C11	665
	<b>RedemptionPremiumAmount</b> <RedPrmAmt>	[0..1]	Amount	C1, C11	666
	<b>IncomePortion</b> <IncmPrtn>	[0..1]	Amount	C1, C11	666
	<b>StockExchangeTax</b> <StockXchgTax>	[0..1]	Amount	C1, C11	667
	<b>EUTaxRetentionAmount</b> <EUTaxRtntnAmt>	[0..1]	Amount	C1, C11	668
	<b>AccruedInterestAmount</b> <AcrdIntrstAmt>	[0..1]	Amount	C1, C11	668
	<b>EqualisationAmount</b> <EqulstnAmt>	[0..1]	Amount	C1, C11	669
	<b>FATCATaxAmount</b> <FATCATaxAmt>	[0..1]	Amount	C1, C11	670
	<b>NRATaxAmount</b> <NRATaxAmt>	[0..1]	Amount	C1, C11	671
	<b>BackUpWithholdingTaxAmount</b> <BckUpWhldgTaxAmt>	[0..1]	Amount	C1, C11	671
	<b>TaxOnIncomeAmount</b> <TaxOnIncmAmt>	[0..1]	Amount	C1, C11	672
	<b>TransactionTax</b> <TxTax>	[0..1]	Amount	C1, C11	673
	<b>DeemedAmount</b> <DmdAmt>	[0..1]	Amount	C1, C11	673
	<b>ForeignIncomeAmount</b> <FrgnIncmAmt>	[0..1]	Amount	C1, C11	674
	<b>DeemedDividendAmount</b> <DmdDvddAmt>	[0..1]	Amount	C1, C11	675
	<b>DeemedFundAmount</b> <DmdFndAmt>	[0..1]	Amount	C1, C11	676
	<b>DeemedInterestAmount</b> <DmdIntrstAmt>	[0..1]	Amount	C1, C11	676
	<b>DeemedRoyaltiesAmount</b> <DmdRyltsAmt>	[0..1]	Amount	C1, C11	677

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AdjustedSubscriptionAmount</b> <AdjstdSbcptAmt>	[0..1]	Amount	C1, C11	678
	<b>RefundedSubscriptionAmount</b> <RfnddSbcptAmt>	[0..1]	Amount	C1, C11	678
	<b>DateDetails</b> <DtDtls>	[1..1]			679
	<b>PostingDate</b> <PstngDt>	[1..1]	Date		679
	<b>ValueDate</b> <ValDt>	[0..1]	Date		680
	<b>ForeignExchangeRateFixingDate</b> <FXRateFvgDt>	[0..1]	±		680
	<b>EarliestPaymentDate</b> <EarlstPmtDt>	[0..1]	Date		680
	<b>PaymentDate</b> <PmtDt>	[0..1]	Date		680
	<b>ForeignExchangeDetails</b> <FXDtls>	[0..*]	±		680
	<b>TaxVoucherDetails</b> <TaxVchrDtls>	[0..1]			681
	<b>Identification</b> <Id>	[1..1]	Text		681
	<b>BargainDate</b> <BrngDt>	[0..1]	±		681
	<b>BargainSettlementDate</b> <BrngSttlmDt>	[0..1]	±		681
	<b>RateAndAmountDetails</b> <RateAndAmtDtls>	[0..1]		C12, C13, C24, C26, C41, C42, C63, C65, C67, C71, C73	681
	<b>AdditionalTax</b> <AddtlTax>	[0..1]	±		685
	<b>ChargesFees</b> <ChrgsFees>	[0..1]	±		685
	<b>FiscalStamp</b> <FscIStmp>	[0..1]	Rate		685
	<b>GrossDividendRate</b> <GrssDvddRate>	[0..*]	±		685
	<b>EarlySolicitationFeeRate</b> <EarlySlctnFeeRate>	[0..1]	±		686
	<b>ThirdPartyIncentiveRate</b> <ThrdPtyIncntivRate>	[0..1]	±		686
	<b>InterestRateUsedForPayment</b> <IntrstRateUsdForPmt>	[0..*]	±		687
	<b>NetDividendRate</b> <NetDvddRate>	[0..*]	±		687
	<b>ApplicableRate</b> <AplblRate>	[0..1]	Rate		688
	<b>SolicitationFeeRate</b> <SlctnFeeRate>	[0..1]	±		688
	<b>TaxCreditRate</b> <TaxCdtRate>	[0..1]	±		689
	<b>WithholdingTaxRate</b> <WhldgTaxRate>	[0..*]	±		689

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>SecondLevelTax</b> <ScndLvITax>	[0..*]	±		689
	<b>TaxOnIncome</b> <TaxOnIncm>	[0..1]	±		690
	<b>TaxOnProfits</b> <TaxOnPrfts>	[0..1]	Rate		690
	<b>TaxReclaimRate</b> <TaxRclmRate>	[0..1]	Rate		690
	<b>EqualisationRate</b> <EqulstnRate>	[0..1]	Amount	C1	690
	<b>DeemedRate</b> <DmdRate>	[0..*]	±		691
	<b>PriceDetails</b> <PricDtls>	[0..1]		C21	692
	<b>GenericCashPricePaidPerProduct</b> <GncCshPricPdPerPdct>	[0..1]	±		692
	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		692
	<b>CashInLieuOfSharePrice</b> <CshInLieuOfShrPric>	[0..1]	±		693

**Constraints**

- **ExemptionTypeUsageRule**

(Rule)

The lists of exemption type codes to be used in ExemptionType are provided in the document "ETYP-ITYP Exemption & Income Type Codes" available on the SMPG website at [www.smpg.info](http://www.smpg.info).

*Error handling:*

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

- **IncomeType2Rule**

(Rule)

If at least one occurrence of OtherIncomeType is present, then IncomeType must be present.

On Condition  
 /OtherIncomeType[\*] is present  
 Following Must be True  
 /IncomeType Must be present

*Error handling:*

- Error severity: Fatal
- Error Code: X00548
- Error Text: Invalid message contents for IncomeType. Element must be present.

- **IncomeTypeUsageRule**

(Rule)

The lists of income type codes to be used in IncomeType are provided in the document "ETYP-ITYP Exemption & Income Type Codes" available on the SMPG website at [www.smpg.info](http://www.smpg.info).

*Error handling:*

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

• **IssuerOfferorTaxabilityIndicatorUsageRule**

(Rule)

The IssuerOfferorTaxabilityIndicator may only be used when no tax rate is provided in the message and it must not be used in events such as dividend or interest.

The list of proprietary IssuerOfferorTaxabilityIndicator codes that may be used are provided in the document "TXAP Taxability Codes" available on the SMPG website at [www.smpg.info](http://www.smpg.info).

**8.4.11.12.1 CreditDebitIndicator <CdtDbtInd>**

*Presence:* [1..1]

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

*Datatype:* [CreditDebitCode](#) on page 1309

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

**8.4.11.12.2 ContractualPaymentIndicator <CtrctlPmtInd>**

*Presence:* [0..1]

*Definition:* Indicates whether the cash payment occurs or will occur in advance of receipt of proceeds from the issuer and based on a contractual agreement established with the account servicer or upon receipt of proceeds from the issuer.

*Datatype:* [Payment1Code](#) on page 1329

CodeName	Name	Definition
ACTU	ActualPayment	The cash payment occurs or will occur upon receipt of proceeds from the issuer.
CONT	ContractualPayment	The cash payment occurs or will occur in advance of receipt of proceeds from the issuer and based on a contractual agreement established with the account servicer.

**8.4.11.12.3 IssuerOfferorTaxabilityIndicator <IssrOfferrTaxbltyInd>**

*Presence:* [0..1]

*Definition:* Proceeds are taxable according to the information provided by the issuer / offeror.

**IssuerOfferorTaxabilityIndicator <IssrOfferrTaxbltyInd>** contains one of the following elements (see [IssuerOfferorTaxabilityIndicator1Choice](#) on page 1074 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1074
Or}	Proprietary <Prtry>	[1..1]	±		1075

#### 8.4.11.12.4 IncomeType <IncmTp>

*Presence:* [0..1]

*Definition:* Specifies the type of income.

The lists of income type codes to be used, are available on the SMPG website at [www.smpg.info](http://www.smpg.info).

**IncomeType <IncmTp>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 8.4.11.12.5 OtherIncomeType <OthrlIncmTp>

*Presence:* [0..\*]

*Definition:* Type of income to be used under another tax regime.

**OtherIncomeType <OthrlIncmTp>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 8.4.11.12.6 ExemptionType <XmptnTp>

*Presence:* [0..\*]

*Definition:* Specifies the basis for the reduced rate of withholding.



**ExemptionType <XmptnTp>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 8.4.11.12.7 CountryOfIncomeSource <CtryOfIncmSrc>

*Presence:* [0..1]

*Definition:* Indicates the country from which the income originates.

*Impacted by:* [C10 Country](#)

*Datatype:* [CountryCode](#) on page 1309

##### 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.

#### 8.4.11.12.8 Account <Acct>

*Presence:* [0..1]

*Definition:* Choice between a cash account, a charges account or a tax account.

**Account <Acct>** contains one of the following **Account9Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>CashAccount</b> <CshAcct>	[1..1]	±		633
Or	<b>ChargesAccount</b> <ChrgsAcct>	[1..1]	±		634
Or}	<b>TaxAccount</b> <TaxAcct>	[1..1]	±		634

##### 8.4.11.12.8.1 CashAccount <CshAcct>

*Presence:* [1..1]

*Definition:* Account in which cash is maintained.

**CashAccount <CshAcct>** contains one of the following elements (see [CashAccountIdentification6Choice on page 868](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IBAN <IBAN>	[1..1]	IdentifierSet	C18	868
Or}	Proprietary <Prtry>	[1..1]	Text		869

#### 8.4.11.12.8.2 ChargesAccount <ChrgsAcct>

*Presence:* [1..1]

*Definition:* Account to be used for charges if different from the account for payment.

**ChargesAccount <ChrgsAcct>** contains one of the following elements (see [CashAccountIdentification6Choice on page 868](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IBAN <IBAN>	[1..1]	IdentifierSet	C18	868
Or}	Proprietary <Prtry>	[1..1]	Text		869

#### 8.4.11.12.8.3 TaxAccount <TaxAcct>

*Presence:* [1..1]

*Definition:* Account to be used for taxes if different from the account for payment.

**TaxAccount <TaxAcct>** contains one of the following elements (see [CashAccountIdentification6Choice on page 868](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IBAN <IBAN>	[1..1]	IdentifierSet	C18	868
Or}	Proprietary <Prtry>	[1..1]	Text		869

#### 8.4.11.12.9 CashParties <CshPties>

*Presence:* [0..1]

*Definition:* Provides information about cash parties.

**CashParties <CshPties>** contains the following **CashParties37** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Creditor</b> <Cdtr>	[0..1]	±	C5	634
	<b>CreditorAgent</b> <CdtrAgt>	[0..1]	±	C6	635
	<b>MarketClaimCounterparty</b> <MktClmCtrPty>	[0..1]	±	C5	636

#### 8.4.11.12.9.1 Creditor <Cdtr>

*Presence:* [0..1]

*Definition:* Party to which an amount of money is due.

*Impacted by:* [C5 AdditionalInformationRule](#)

**Creditor <Cdtr>** contains the following elements (see [PartyIdentificationAndAccount174](#) on page 1088 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1088
	CashAccount <CshAcct>	[0..1]	±		1089
	ProcessingIdentification <Prctl>	[0..1]	Text		1089
	AlternateIdentification <AltrId>	[0..1]	±		1089

#### Constraints

- **AdditionalInformationRule**

(Rule)

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

#### 8.4.11.12.9.2 CreditorAgent <CdtrAgt>

*Presence:* [0..1]

*Definition:* Financial institution servicing an account for the creditor.

*Impacted by:* [C6 AdditionalInformationRule](#)

**CreditorAgent <CdtrAgt>** contains the following elements (see [PartyIdentificationAndAccount175](#) on page 1086 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			1086
{Or	BICFI <BICFI>	[1..1]	IdentifierSet	C2	1086
Or	NameAndAddress <NmAndAdr>	[1..1]	±		1087
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1087
	CashAccount <CshAcct>	[0..1]	±		1087
	ProcessingIdentification <Prctl>	[0..1]	Text		1087
	AlternateIdentification <AltrId>	[0..1]	±		1088

#### Constraints

- **AdditionalInformationRule**

(Rule)

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

#### 8.4.11.12.9.3 MarketClaimCounterparty <MktCImCtrPty>

*Presence:* [0..1]

*Definition:* Party that has reimbursed the account owner with funds to which they were legally entitled.

*Impacted by:* C5 AdditionalInformationRule

**MarketClaimCounterparty <MktCImCtrPty>** contains the following elements (see PartyIdentificationAndAccount174 on page 1088 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1088
	CashAccount <CshAcct>	[0..1]	±		1089
	ProcessingIdentification <Prctl>	[0..1]	Text		1089
	AlternateIdentification <AltrId>	[0..1]	±		1089

#### Constraints

- **AdditionalInformationRule**

(Rule)

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

#### 8.4.11.12.10 AmountDetails <AmtDtls>

*Presence:* [1..1]

*Definition:* Provides information about the amounts related to a cash movement.

**AmountDetails <AmtDtls>** contains the following **CorporateActionAmounts57** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>PostingAmount</b> <PstngAmt>	[1..1]	Amount	C1, C11	639
	<b>GrossCashAmount</b> <GrssCshAmt>	[0..1]	Amount	C1, C11	640
	<b>NetCashAmount</b> <NetCshAmt>	[0..1]	Amount	C1, C11	641
	<b>SolicitationFees</b> <SlctnFees>	[0..1]	Amount	C1, C11	641
	<b>CashInLieuOfShare</b> <CshInLieuOfShr>	[0..1]	Amount	C1, C11	642
	<b>CapitalGain</b> <CptlGn>	[0..1]	Amount	C1, C11	643
	<b>InterestAmount</b> <IntrstAmt>	[0..1]	Amount	C1, C11	643
	<b>MarketClaimAmount</b> <MktClmAmt>	[0..1]	Amount	C1, C11	644
	<b>IndemnityAmount</b> <IndmntyAmt>	[0..1]	Amount	C1, C11	645
	<b>ManufacturedDividendPaymentAmount</b> <ManfctrdDvddPmtAmt>	[0..1]	Amount	C1, C11	646
	<b>ReinvestmentAmount</b> <RinvstmtAmt>	[0..1]	Amount	C1, C11	646
	<b>FullyFrankedAmount</b> <FullyFrnkAmt>	[0..1]	Amount	C1, C11	647
	<b>UnfrankedAmount</b> <UfrnkAmt>	[0..1]	Amount	C1, C11	648
	<b>SundryOrOtherAmount</b> <SndryOrOthrAmt>	[0..1]	Amount	C1, C11	648
	<b>TaxFreeAmount</b> <TaxFreeAmt>	[0..1]	Amount	C1, C11	649
	<b>TaxDeferredAmount</b> <TaxDfrrdAmt>	[0..1]	Amount	C1, C11	650
	<b>ValueAddedTaxAmount</b> <ValAddedTaxAmt>	[0..1]	Amount	C1, C11	651
	<b>StampDutyAmount</b> <StmpDtyAmt>	[0..1]	Amount	C1, C11	651
	<b>TaxReclaimAmount</b> <TaxRclmAmt>	[0..1]	Amount	C1, C11	652
	<b>TaxCreditAmount</b> <TaxCdtAmt>	[0..1]	Amount	C1, C11	653
	<b>AdditionalTaxAmount</b> <AddtlTaxAmt>	[0..1]	Amount	C1, C11	653
	<b>WithholdingTaxAmount</b> <WhldgTaxAmt>	[0..1]	Amount	C1, C11	654

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>SecondLevelTaxAmount</b> <ScndLvITaxAmt>	[0..1]	Amount	C1, C11	655
	<b>FiscalStampAmount</b> <FscIStmpAmt>	[0..1]	Amount	C1, C11	656
	<b>ExecutingBrokerAmount</b> <ExctgBrkrAmt>	[0..1]	Amount	C1, C11	656
	<b>PayingAgentCommissionAmount</b> <PngAgtComssnAmt>	[0..1]	Amount	C1, C11	657
	<b>LocalBrokerCommissionAmount</b> <LclBrkrComssnAmt>	[0..1]	Amount	C1, C11	658
	<b>RegulatoryFeesAmount</b> <RgltryFeesAmt>	[0..1]	Amount	C1, C11	658
	<b>ShippingFeesAmount</b> <ShppgFeesAmt>	[0..1]	Amount	C1, C11	659
	<b>ChargesAmount</b> <ChrgsAmt>	[0..1]	Amount	C1, C11	660
	<b>CashAmountBroughtForward</b> <CshAmtBrghtFwd>	[0..1]	Amount	C1, C11	661
	<b>CashAmountCarriedForward</b> <CshAmtCrrdFwd>	[0..1]	Amount	C1, C11	661
	<b>NotionalDividendPayableAmount</b> <NtnlDvddPyblAmt>	[0..1]	Amount	C1, C11	662
	<b>NotionalTaxAmount</b> <NtnlTaxAmt>	[0..1]	Amount	C1, C11	663
	<b>TaxArrearsAmount</b> <TaxArrearsAmt>	[0..1]	Amount	C1, C11	663
	<b>OriginalAmount</b> <OrgnlAmt>	[0..1]	Amount	C1, C11	664
	<b>PrincipalOrCorpus</b> <PrncplOrCrps>	[0..1]	Amount	C1, C11	665
	<b>RedemptionPremiumAmount</b> <RedPrmAmt>	[0..1]	Amount	C1, C11	666
	<b>IncomePortion</b> <IncmPrtn>	[0..1]	Amount	C1, C11	666
	<b>StockExchangeTax</b> <StockXchgTax>	[0..1]	Amount	C1, C11	667
	<b>EUTaxRetentionAmount</b> <EUTaxRtntnAmt>	[0..1]	Amount	C1, C11	668
	<b>AccruedInterestAmount</b> <AcrdIntrstAmt>	[0..1]	Amount	C1, C11	668
	<b>EqualisationAmount</b> <EqulstnAmt>	[0..1]	Amount	C1, C11	669
	<b>FATCATaxAmount</b> <FATCATaxAmt>	[0..1]	Amount	C1, C11	670

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>NRATaxAmount</b> <NRATaxAmt>	[0..1]	Amount	C1, C11	671
	<b>BackUpWithholdingTaxAmount</b> <BckUpWhldgTaxAmt>	[0..1]	Amount	C1, C11	671
	<b>TaxOnIncomeAmount</b> <TaxOnIncmAmt>	[0..1]	Amount	C1, C11	672
	<b>TransactionTax</b> <TxTax>	[0..1]	Amount	C1, C11	673
	<b>DeemedAmount</b> <DmdAmt>	[0..1]	Amount	C1, C11	673
	<b>ForeignIncomeAmount</b> <FrgnIncmAmt>	[0..1]	Amount	C1, C11	674
	<b>DeemedDividendAmount</b> <DmdDvddAmt>	[0..1]	Amount	C1, C11	675
	<b>DeemedFundAmount</b> <DmdFndAmt>	[0..1]	Amount	C1, C11	676
	<b>DeemedInterestAmount</b> <DmdIntrstAmt>	[0..1]	Amount	C1, C11	676
	<b>DeemedRoyaltiesAmount</b> <DmdRyltsAmt>	[0..1]	Amount	C1, C11	677
	<b>AdjustedSubscriptionAmount</b> <AdjstdSbcptAmt>	[0..1]	Amount	C1, C11	678
	<b>RefundedSubscriptionAmount</b> <RfnddSbcptAmt>	[0..1]	Amount	C1, C11	678

#### 8.4.11.12.10.1 PostingAmount <PstngAmt>

*Presence:* [1..1]

*Definition:* Amount of money that is to be/was posted to the account.

*Impacted by:* C1 ActiveCurrency \_\_, C11 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

#### 8.4.11.12.10.2 **GrossCashAmount <GrssCshAmt>**

*Presence:* [0..1]

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

*Impacted by:* C1 ActiveCurrency \_\_, C11 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### **Constraints**

- **ActiveCurrency**

(Rule)

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



### 8.4.11.12.10.3 NetCashAmount <NetCshAmt>

*Presence:* [0..1]

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

*Impacted by:* C1 ActiveCurrency \_\_, C11 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

### 8.4.11.12.10.4 SolicitationFees <SlctnFees>

*Presence:* [0..1]

*Definition:* Cash premium made available if the securities holder consents or participates to an event, for example consent fees or solicitation fees.

*Impacted by:* C1 ActiveCurrency \_\_, C11 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

Maintenance Agency, consist of three (3) contiguous letters, and are not yet 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

#### 8.4.11.12.10.5 CashInLieuOfShare <CshInLieuOfShr>

*Presence:* [0..1]

*Definition:* Cash disbursement in lieu of a fractional quantity of, for example, equity.

*Impacted by:* C1 ActiveCurrency, C11 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

**8.4.11.12.10.6 CapitalGain <CptlGn>**

*Presence:* [0..1]

*Definition:* Amount of money distributed as the result of a capital gain.

*Impacted by:* C1 ActiveCurrency, C11 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

**Constraints**

• **ActiveCurrency**

(Rule)

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

**8.4.11.12.10.7 InterestAmount <IntrstAmt>**

*Presence:* [0..1]

*Definition:* Amount of money representing a coupon payment.

*Impacted by:* C1 ActiveCurrency, C11 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

### Constraints

- **ActiveCurrency**

(Rule)

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

#### 8.4.11.12.10.8 MarketClaimAmount <MktCImAmt>

*Presence:* [0..1]

*Definition:* Amount of money resulting from a market claim.

*Impacted by:* C1 ActiveCurrency, C11 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

### Constraints

- **ActiveCurrency**

(Rule)

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

#### 8.4.11.12.10.9 IndemnityAmount <IndmntyAmt>

*Presence:* [0..1]

*Definition:* (Unique to France) Amount due to a buyer of securities dealt prior to ex date which may be subject to different rate of taxation.

*Impacted by:* C1 ActiveCurrency \_\_\_\_, C11 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

#### 8.4.11.12.10.10 ManufacturedDividendPaymentAmount <ManfctrdDvddPmtAmt>

*Presence:* [0..1]

*Definition:* Amount of money that the borrower pays to the lender as a compensation. It does not entitle the lender to reclaim any tax credit and is sometimes treated differently by the local tax authorities of the lender. Also covers compensation/indemnity of missed dividend concerning early/late settlements if applicable to a market.

*Impacted by:* C1 ActiveCurrency \_\_, C11 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

##### Constraints

- **ActiveCurrency**

(Rule)

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

#### 8.4.11.12.10.11 ReinvestmentAmount <RinvstmtAmt>

*Presence:* [0..1]

*Definition:* Amount of money reinvested in additional securities.

*Impacted by:* C1 ActiveCurrency \_\_, C11 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

##### Constraints

- **ActiveCurrency**

(Rule)

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

Maintenance Agency, consist of three (3) contiguous letters, and are not yet 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

#### 8.4.11.12.10.12 FullyFrankedAmount <FullyFrnkdAmt>

*Presence:* [0..1]

*Definition:* Amount resulting from a fully franked dividend paid by a company; amount includes tax credit for companies that have made sufficient tax payments during the fiscal period.

*Impacted by:* C1 ActiveCurrency, C11 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

**8.4.11.12.10.13 UnfrankedAmount <UfrnkAmt>**

*Presence:* [0..1]

*Definition:* Amount resulting from an unfranked dividend paid by a company; the amount does not include tax credit and is subject to withholding tax.

*Impacted by:* C1 ActiveCurrency, C11 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

**Constraints**

• **ActiveCurrency**

(Rule)

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

**8.4.11.12.10.14 SundryOrOtherAmount <SndryOrOthrAmt>**

*Presence:* [0..1]

*Definition:* Amount of money related to taxable income that cannot be categorised.

*Impacted by:* C1 ActiveCurrency, C11 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259



### Constraints

- **ActiveCurrency**

(Rule)

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

#### 8.4.11.12.10.15 TaxFreeAmount <TaxFreeAmt>

*Presence:* [0..1]

*Definition:* Amount of money that has not been subject to taxation.

*Impacted by:* C1 ActiveCurrency, C11 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

### Constraints

- **ActiveCurrency**

(Rule)

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

#### 8.4.11.12.10.16 TaxDeferredAmount <TaxDfrdAmt>

*Presence*: [0..1]

*Definition*: Amount of income eligible for deferred taxation.

*Impacted by*: C1 ActiveCurrency \_\_, C11 CurrencyAmount \_\_

*Datatype*: RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

#### 8.4.11.12.10.17 ValueAddedTaxAmount <ValAddedTaxAmt>

*Presence:* [0..1]

*Definition:* Tax on value added.

*Impacted by:* C1 ActiveCurrency \_\_, C11 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

##### Constraints

- **ActiveCurrency**

(Rule)

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

#### 8.4.11.12.10.18 StampDutyAmount <StmpDtyAmt>

*Presence:* [0..1]

*Definition:* Amount of stamp duty.

*Impacted by:* C1 ActiveCurrency \_\_, C11 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

##### Constraints

- **ActiveCurrency**

(Rule)

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

#### 8.4.11.12.10.19 TaxReclaimAmount <TaxRclmAmt>

*Presence:* [0..1]

*Definition:* Amount that was paid in excess of actual tax obligation and was reclaimed.

*Impacted by:* C1 ActiveCurrency, C11 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

**8.4.11.12.10.20 TaxCreditAmount <TaxCdtAmt>**

*Presence:* [0..1]

*Definition:* Amount of taxes that have been previously paid in relation to the taxable event.

*Impacted by:* C1 ActiveCurrency, C11 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

**Constraints**

• **ActiveCurrency**

(Rule)

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

**8.4.11.12.10.21 AdditionalTaxAmount <AddtlTaxAmt>**

*Presence:* [0..1]

*Definition:* Amount of additional taxes that cannot be categorised.

*Impacted by:* C1 ActiveCurrency, C11 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

### Constraints

- **ActiveCurrency**

(Rule)

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

#### 8.4.11.12.10.22 WithholdingTaxAmount <WhldgTaxAmt>

*Presence:* [0..1]

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

*Impacted by:* C1 ActiveCurrency, C11 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

### Constraints

- **ActiveCurrency**

(Rule)

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

#### 8.4.11.12.10.23 SecondLevelTaxAmount <ScndLvITaxAmt>

*Presence:* [0..1]

*Definition:* Amount of money withheld by the jurisdiction other than the jurisdiction of the issuer's country of tax incorporation, for which a relief at source and/or reclaim may be possible. It is levied in complement or offset of the withholding tax rate levied by the jurisdiction of the issuer's tax domicile.

*Impacted by:* C1 ActiveCurrency \_\_\_\_, C11 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

#### 8.4.11.12.10.24 FiscalStampAmount <FscIStmpAmt>

*Presence:* [0..1]

*Definition:* Amount of fiscal tax to apply.

*Impacted by:* C1 ActiveCurrency \_\_, C11 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

##### Constraints

- **ActiveCurrency**

(Rule)

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

#### 8.4.11.12.10.25 ExecutingBrokerAmount <ExctgBrkrAmt>

*Presence:* [0..1]

*Definition:* Amount of money paid to an executing broker as a commission.

*Impacted by:* C1 ActiveCurrency \_\_, C11 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

##### Constraints

- **ActiveCurrency**

(Rule)

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

#### 8.4.11.12.10.26 **PayingAgentCommissionAmount <PngAgtComssnAmt>**

*Presence:* [0..1]

*Definition:* Amount of paying/sub-paying agent commission.

*Impacted by:* C1 ActiveCurrency, C11 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### **Constraints**

- **ActiveCurrency**

(Rule)

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

**8.4.11.12.10.27 LocalBrokerCommissionAmount <LclBrkrComssnAmt>**

*Presence:* [0..1]

*Definition:* Local broker's commission.

*Impacted by:* C1 ActiveCurrency, C11 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

**Constraints**

• **ActiveCurrency**

(Rule)

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

**8.4.11.12.10.28 RegulatoryFeesAmount <RgltryFeesAmt>**

*Presence:* [0..1]

*Definition:* Amount of money charged by a regulatory authority, for example, Securities and Exchange fees.

*Impacted by:* C1 ActiveCurrency, C11 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

### Constraints

- **ActiveCurrency**

(Rule)

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

#### 8.4.11.12.10.29 ShippingFeesAmount <ShppgFeesAmt>

*Presence:* [0..1]

*Definition:* All costs related to the physical delivery of documents such as stamps, postage, carrier fees, insurances or messenger services.

*Impacted by:* C1 ActiveCurrency, C11 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

### Constraints

- **ActiveCurrency**

(Rule)

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

#### 8.4.11.12.10.30 ChargesAmount <ChrgsAmt>

*Presence:* [0..1]

*Definition:* Amount of money paid for the provision of financial services that cannot be categorised by another qualifier.

*Impacted by:* C1 ActiveCurrency \_\_, C11 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

#### 8.4.11.12.10.31 CashAmountBroughtForward <CshAmtBrghFwd>

*Presence:* [0..1]

*Definition:* Indicates cash retained from previous dividend.

*Impacted by:* C1 ActiveCurrency \_\_, C11 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

##### Constraints

- **ActiveCurrency**

(Rule)

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

#### 8.4.11.12.10.32 CashAmountCarriedForward <CshAmtCrrdFwd>

*Presence:* [0..1]

*Definition:* Indicates the balance carried forward to next dividend.

*Impacted by:* C1 ActiveCurrency \_\_, C11 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

##### Constraints

- **ActiveCurrency**

(Rule)

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

#### **8.4.11.12.10.33 NotionalDividendPayableAmount <NtnIDvddPyblAmt>**

*Presence:* [0..1]

*Definition:* Amount of cash that would have been payable if the dividend had been taken in the form of cash rather than shares.

*Impacted by:* C1 ActiveCurrency, C11 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### **Constraints**

- **ActiveCurrency**

(Rule)

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

**8.4.11.12.10.34 NotionalTaxAmount <NtnlTaxAmt>**

*Presence:* [0..1]

*Definition:* Where new securities are issued in lieu of a cash dividend, the notional tax is the tax on the amount of cash that would have been paid.

*Impacted by:* C1 ActiveCurrency, C11 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

**Constraints**

• **ActiveCurrency**

(Rule)

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

**8.4.11.12.10.35 TaxArrearsAmount <TaxArrearsAmt>**

*Presence:* [0..1]

*Definition:* Amount of money paid by the tax authorities in addition to the payment of the tax refund itself.

*Impacted by:* C1 ActiveCurrency, C11 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

### Constraints

- **ActiveCurrency**

(Rule)

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

#### 8.4.11.12.10.36 OriginalAmount <OrgnlAmt>

*Presence:* [0..1]

*Definition:* Posting/settlement Amount in its original currency when conversion from/into another currency has occurred.

*Impacted by:* C1 ActiveCurrency, C11 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

### Constraints

- **ActiveCurrency**

(Rule)

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

#### 8.4.11.12.10.37 PrincipalOrCorpus <PrncplOrCrps>

*Presence:* [0..1]

*Definition:* Amount of money representing a distribution of a bond's principal, for example, repayment of outstanding debt.

*Impacted by:* C1 ActiveCurrency \_\_, C11 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

#### 8.4.11.12.10.38 RedemptionPremiumAmount <RedPrmAmt>

*Presence:* [0..1]

*Definition:* Amount of money (not interest) in addition to the principal at the redemption of a bond.

*Impacted by:* C1 ActiveCurrency \_\_, C11 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

##### Constraints

- **ActiveCurrency**

(Rule)

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

#### 8.4.11.12.10.39 IncomePortion <IncmPrtn>

*Presence:* [0..1]

*Definition:* Amount relating to the underlying security for which income is distributed.

*Impacted by:* C1 ActiveCurrency \_\_, C11 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

##### Constraints

- **ActiveCurrency**

(Rule)

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

#### 8.4.11.12.10.40 StockExchangeTax <StockXchgTax>

*Presence:* [0..1]

*Definition:* Amount of stock exchange tax.

*Impacted by:* C1 ActiveCurrency, C11 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

**8.4.11.12.10.41 EUTaxRetentionAmount <EUTaxRtntnAmt>**

*Presence:* [0..1]

*Definition:* Total amount of tax withheld at source in conformance with the EU Savings Directive.

*Impacted by:* C1 ActiveCurrency, C11 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

**Constraints**

• **ActiveCurrency**

(Rule)

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

**8.4.11.12.10.42 AccruedInterestAmount <AcrdIntrstAmt>**

*Presence:* [0..1]

*Definition:* Amount of interest that has been accrued in between coupon payment periods.

*Impacted by:* C1 ActiveCurrency, C11 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

### Constraints

- **ActiveCurrency**

(Rule)

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

#### 8.4.11.12.10.43 EqualisationAmount <EqualstnAmt>

*Presence:* [0..1]

*Definition:* Portion of the fund distribution amount which represents the average accrued income included in the purchase price for units bought during the account period.

*Impacted by:* C1 ActiveCurrency, C11 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

### Constraints

- **ActiveCurrency**

(Rule)

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

#### 8.4.11.12.10.44 FATCATaxAmount <FATCATaxAmt>

*Presence*: [0..1]

*Definition*: FATCA (Foreign Account Tax Compliance Act) related tax amount.

*Impacted by*: C1 ActiveCurrency \_\_, C11 CurrencyAmount \_\_

*Datatype*: RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

#### 8.4.11.12.10.45 NRATaxAmount <NRATaxAmt>

*Presence:* [0..1]

*Definition:* Amount of tax related income subject to NRA (Non Resident Alien).

*Impacted by:* C1 ActiveCurrency \_\_, C11 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

##### Constraints

- **ActiveCurrency**

(Rule)

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

#### 8.4.11.12.10.46 BackUpWithholdingTaxAmount <BckUpWhldgTaxAmt>

*Presence:* [0..1]

*Definition:* Amount of tax related to back up withholding.

*Impacted by:* C1 ActiveCurrency \_\_, C11 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

##### Constraints

- **ActiveCurrency**

(Rule)

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

#### 8.4.11.12.10.47 TaxOnIncomeAmount <TaxOnIncmAmt>

*Presence:* [0..1]

*Definition:* Amount of overall tax withheld at source by fund managers prior to considering the tax obligation of each unit holder.

*Impacted by:* C1 ActiveCurrency, C11 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

**8.4.11.12.10.48 TransactionTax <TxTax>**

*Presence:* [0..1]

*Definition:* Amount of transaction tax.

*Impacted by:* C1 ActiveCurrency, C11 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

**Constraints**

• **ActiveCurrency**

(Rule)

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

**8.4.11.12.10.49 DeemedAmount <DmdAmt>**

*Presence:* [0..1]

*Definition:* Amount of proceeds which is not actually paid to the security holder but on which withholding tax is applicable.

*Impacted by:* C1 ActiveCurrency, C11 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

### Constraints

- **ActiveCurrency**

(Rule)

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

#### 8.4.11.12.10.50 ForeignIncomeAmount <FrgnIncmAmt>

*Presence:* [0..1]

*Definition:* Amount relating to a foreign income such as a conduit foreign income.

*Impacted by:* C1 ActiveCurrency, C11 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

### Constraints

- **ActiveCurrency**

(Rule)

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

#### 8.4.11.12.10.51 DeemedDividendAmount <DmdDvddAmt>

*Presence*: [0..1]

*Definition*: Deemed amount resulting from the difference between the rate of dividend proceeds attributed to the security holder for the taxable year and the rate of dividend proceeds previously notified to the security holder in relation to cash distributions for the year.

*Impacted by*: C1 ActiveCurrency \_\_\_\_, C11 CurrencyAmount \_\_

*Datatype*: RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

#### 8.4.11.12.10.52 DeemedFundAmount <DmdFndAmt>

*Presence:* [0..1]

*Definition:* Deemed amount resulting from the difference between the rate of the proceeds components comprising a fund payment attributed to the security holder for the taxable year and the rate of the fund proceeds previously notified to the security holder in relation to cash distributions for the year.

*Impacted by:* C1 ActiveCurrency \_\_, C11 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

##### Constraints

- **ActiveCurrency**

(Rule)

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

#### 8.4.11.12.10.53 DeemedInterestAmount <DmdIntrstAmt>

*Presence:* [0..1]

*Definition:* Deemed amount resulting from the difference between the rate of interest proceeds attributed to the security holder for the taxable year and the rate of interest proceeds previously notified to the security holder in relation to cash distributions for the year.

*Impacted by:* C1 ActiveCurrency \_\_, C11 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

##### Constraints

- **ActiveCurrency**

(Rule)

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

#### 8.4.11.12.10.54 DeemedRoyaltiesAmount <DmdRyltsAmt>

*Presence:* [0..1]

*Definition:* Deemed amount resulting from the difference between the rate of royalty proceeds attributed to the security holder for the taxable year and the rate of royalty proceeds previously notified to the security holder in relation to cash distributions for the year.

*Impacted by:* C1 ActiveCurrency, C11 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

#### **8.4.11.12.10.55 AdjustedSubscriptionAmount <AdjstdSbcptAmt>**

*Presence:* [0..1]

*Definition:* Amount of money debited or credited to adjust for the difference between the estimated and the final subscription rate for Rights Exercise events.

*Impacted by:* C1 ActiveCurrency, C11 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### **Constraints**

- **ActiveCurrency**

(Rule)

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

#### **8.4.11.12.10.56 RefundedSubscriptionAmount <RfnddSbcptAmt>**

*Presence:* [0..1]

*Definition:* Amount of money refunded from the original subscription cost for a Rights Exercise event. This occurs when the event is prorated and the subscription cost relating to the unaffected (unaccepted) balance is returned to the holder.

*Impacted by:* C1 ActiveCurrency \_\_, C11 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

**Constraints**

- **ActiveCurrency**

(Rule)

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

**8.4.11.12.11 DateDetails <DtDtls>**

*Presence:* [1..1]

*Definition:* Provides information about the dates related to a cash movement.

**DateDetails <DtDtls>** contains the following **CorporateActionDate87** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>PostingDate</b> <PstngDt>	[1..1]	Date		679
	<b>ValueDate</b> <ValDt>	[0..1]	Date		680
	<b>ForeignExchangeRateFixingDate</b> <FXRateFvgDt>	[0..1]	±		680
	<b>EarliestPaymentDate</b> <EarlstPmtDt>	[0..1]	Date		680
	<b>PaymentDate</b> <PmtDt>	[0..1]	Date		680

**8.4.11.12.11.1 PostingDate <PstngDt>**

*Presence:* [1..1]

*Definition:* Date/time of the posting (credit or debit) to the account.

*Datatype:* [ISODate on page 1342](#)

#### 8.4.11.12.11.2 ValueDate <ValDt>

*Presence:* [0..1]

*Definition:* Date/time when calculating economic benefit for a cash amount.

*Datatype:* [ISODate on page 1342](#)

#### 8.4.11.12.11.3 ForeignExchangeRateFixingDate <FXRateFxdt>

*Presence:* [0..1]

*Definition:* Date/time at which a foreign exchange rate will be determined.

**ForeignExchangeRateFixingDate <FXRateFxdt>** contains one of the following elements (see [DateAndDateTime2Choice on page 887](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		887
Or}	DateTime <DtTm>	[1..1]	DateTime		887

#### 8.4.11.12.11.4 EarliestPaymentDate <EarlstPmtDt>

*Presence:* [0..1]

*Definition:* Date/time on which a payment can be made, for example, if the payment date is a non-business day or to indicate the first payment date of an offer.

*Datatype:* [ISODate on page 1342](#)

#### 8.4.11.12.11.5 PaymentDate <PmtDt>

*Presence:* [0..1]

*Definition:* Date on which the distribution is due to take place (cash and/or securities).

*Datatype:* [ISODate on page 1342](#)

#### 8.4.11.12.12 ForeignExchangeDetails <FXDtls>

*Presence:* [0..\*]

*Definition:* Exchange rate between the amount and the resulting amount.

**ForeignExchangeDetails <FXDtls>** contains the following elements (see [ForeignExchangeTerms27 on page 943](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C1	943
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C1	944
	ExchangeRate <XchgRate>	[1..1]	Rate		944
	ResultingAmount <RsltgAmt>	[1..1]	Amount	C1, C11	944



### 8.4.11.12.13 TaxVoucherDetails <TaxVchrDtIs>

*Presence:* [0..1]

*Definition:* Provides information about the tax voucher related to a cash movement.

**TaxVoucherDetails <TaxVchrDtIs>** contains the following **TaxVoucher5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification &lt;Id&gt;</b>	[1..1]	Text		681
	<b>BargainDate &lt;BrgnDt&gt;</b>	[0..1]	±		681
	<b>BargainSettlementDate &lt;BrgnSttlmDt&gt;</b>	[0..1]	±		681

#### 8.4.11.12.13.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique reference for the tax voucher required by the relevant tax authorities to ensure that any claim relating to this particular tax voucher cannot be duplicated.

*Datatype:* [RestrictedFINXMax16Text on page 1352](#)

#### 8.4.11.12.13.2 BargainDate <BrgnDt>

*Presence:* [0..1]

*Definition:* Date on which a dividend reinvestment purchase was completed. If there is only one bargain involved, the time it was struck needs to be included.

**BargainDate <BrgnDt>** contains one of the following elements (see [DateAndDateTime2Choice on page 887](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		887
Or}	DateTime <DtTm>	[1..1]	DateTime		887

#### 8.4.11.12.13.3 BargainSettlementDate <BrgnSttlmDt>

*Presence:* [0..1]

*Definition:* Settlement date of the dividend reinvestment purchase transaction.

**BargainSettlementDate <BrgnSttlmDt>** contains one of the following elements (see [DateAndDateTime2Choice on page 887](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		887
Or}	DateTime <DtTm>	[1..1]	DateTime		887

#### 8.4.11.12.14 RateAndAmountDetails <RateAndAmtDtIs>

*Presence:* [0..1]

*Definition:* Provides information about the corporate action option.

*Impacted by:* C12 DeemedRate1Rule, C13 DeemedRate2Rule, C24 GrossDividendRate2Rule, C26 GrossDividendRate3Rule, C41 NetDividendRate1Rule, C42 NetDividendRate2Rule, C63 SecondLevelTax1Rule, C65 SecondLevelTax2Rule, C67 SecondLevelTax3Rule, C71 WithholdingTaxRate1Rule, C73 WithholdingTaxRate2Rule

**RateAndAmountDetails** <RateAndAmtDtls> contains the following **Rate37** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AdditionalTax</b> <AddtlTax>	[0..1]	±		685
	<b>ChargesFees</b> <ChrgsFees>	[0..1]	±		685
	<b>FiscalStamp</b> <FscIStmp>	[0..1]	Rate		685
	<b>GrossDividendRate</b> <GrssDvddRate>	[0..*]	±		685
	<b>EarlySolicitationFeeRate</b> <EarlySlctnFeeRate>	[0..1]	±		686
	<b>ThirdPartyIncentiveRate</b> <ThrdPtyIncntivRate>	[0..1]	±		686
	<b>InterestRateUsedForPayment</b> <IntrstRateUsdForPmt>	[0..*]	±		687
	<b>NetDividendRate</b> <NetDvddRate>	[0..*]	±		687
	<b>ApplicableRate</b> <AplblRate>	[0..1]	Rate		688
	<b>SolicitationFeeRate</b> <SlctnFeeRate>	[0..1]	±		688
	<b>TaxCreditRate</b> <TaxCdtRate>	[0..1]	±		689
	<b>WithholdingTaxRate</b> <WhldgTaxRate>	[0..*]	±		689
	<b>SecondLevelTax</b> <ScndLvITax>	[0..*]	±		689
	<b>TaxOnIncome</b> <TaxOnIncm>	[0..1]	±		690
	<b>TaxOnProfits</b> <TaxOnPrfts>	[0..1]	Rate		690
	<b>TaxReclaimRate</b> <TaxRclmRate>	[0..1]	Rate		690
	<b>EqualisationRate</b> <EqulstnRate>	[0..1]	Amount	C1	690
	<b>DeemedRate</b> <DmdRate>	[0..*]	±		691

**Constraints**

• **DeemedRate1Rule**

(Rule)

If DeemedRate is repeated, then DeemedRate/RateTypeAndAmountAndRateStatus/RateType/Code values and DeemedRate/RateTypeAndRate/RateType/Code values must all be different in each occurrence of DeemedRate.

(MT 566 NVR C4).

*Error handling:*

- Error severity: Fatal
- Error Code:

– *Error Text:*

- **DeemedRate2Rule**

(Rule)

Only a single occurrence of either DeemedRate/Amount or DeemedRate/Rate may be present, only one of those elements may be present.

(MT 566 NVR C3).

*Error handling:*

– *Error severity:* Fatal

– *Error Code:*

– *Error Text:*

- **GrossDividendRate2Rule**

(Rule)

If GrossDividendRate is repeated, then:

- RateTypeAndAmountAndRateStatus/RateType/Code values must all be different in each occurrence of GrossDividendRate. (MT 566 NVR C4 ).

- **GrossDividendRate3Rule**

(Rule)

Only a single occurrence of either GrossDividendRate/Amount or GrossDividendRate/AmountAndRateStatus may be present. Both elements may not be present together. (MT 566 NVR C3).

- **NetDividendRate1Rule**

(Rule)

If NetDividendRate is repeated, then:

- RateTypeAndAmountAndRateStatus/RateType/Code values must all be different in each occurrence of NetDividendRate. (MT 566 NVR C4 ).

- **NetDividendRate2Rule**

(Rule)

Only a single occurrence of either NetDividendRate/Amount may be present. Both elements may not be present together. (MT 566 NVR C3).

- **SecondLevelTax1Rule**

(Rule)

If SecondLevelTax is repeated, then SecondLevelTax/RateTypeAndRate/RateType/Code values must all be different in each occurrence of SecondLevelTax.

(MT 566 NVR C4).

*Error handling:*

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

• **SecondLevelTax2Rule**

(Rule)

Only a single occurrence of either SecondLevelTax/Amount or SecondLevelTax/Rate or SecondLevelTax/NotSpecifiedRate may be present, only one of these elements may be present.

(MT 566 NVR C3).

*Error handling:*

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

• **SecondLevelTax3Rule**

(Rule)

If at least one occurrence of SecondLevelTax is present, then at least one occurrence of WithholdingTaxRate must be present. (MT 566 NVR C8).

On Condition

    /SecondLevelTax[\*] is present

Following Must be True

    /WithholdingTaxRate[\*] Must be present

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00389
- *Error Text:* Invalid message contents for WithholdingTaxRate. It should be present.

• **WithholdingTaxRate1Rule**

(Rule)

If WithholdingTaxRate is repeated, then WithholdingTaxRate/RateTypeAndRate/RateType/Code values must all be different in each occurrence of WithholdingTaxRate.

(MT 566 NVR C4).

*Error handling:*

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

• **WithholdingTaxRate2Rule**

(Rule)

Only a single occurrence of either WithholdingTaxRate/Amount or WithholdingTaxRate/Rate or WithholdingTaxRate/NotSpecifiedRate may be present, only one of these elements may be present.

(MT 566 NVR C3).

*Error handling:*

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

#### 8.4.11.12.14.1 AdditionalTax <AddtlTax>

*Presence:* [0..1]

*Definition:* Rate used for additional tax that cannot be categorised.

**AdditionalTax <AddtlTax>** contains one of the following elements (see [RateAndAmountFormat43Choice](#) on page 1208 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1208
Or}	Amount <Amt>	[1..1]	Amount	C1	1208

#### 8.4.11.12.14.2 ChargesFees <ChrgsFees>

*Presence:* [0..1]

*Definition:* Rate used to calculate the amount of the charges/fees that cannot be categorised.

**ChargesFees <ChrgsFees>** contains one of the following elements (see [RateAndAmountFormat43Choice](#) on page 1208 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1208
Or}	Amount <Amt>	[1..1]	Amount	C1	1208

#### 8.4.11.12.14.3 FiscalStamp <FscIStmp>

*Presence:* [0..1]

*Definition:* Percentage of fiscal tax to apply.

*Datatype:* [PercentageRate](#) on page 1347

#### 8.4.11.12.14.4 GrossDividendRate <GrssDvddRate>

*Presence:* [0..\*]

*Definition:* Cash dividend amount per equity before deductions or allowances have been made.

**GrossDividendRate <GrssDvddRate>** contains one of the following elements (see [GrossDividendRateFormat40Choice](#) on page 1162 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C1	1162
Or	AmountAndRateStatus <AmtAndRateSts>	[1..1]			1163
	Amount <Amt>	[1..1]	Amount	C1	1163
	RateStatus <RateSts>	[1..1]	CodeSet		1164
Or}	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1164
	RateType <RateTp>	[1..1]			1164
{Or	Code <Cd>	[1..1]	CodeSet		1164
Or}	Proprietary <Prtry>	[1..1]	±		1165
	Amount <Amt>	[1..1]	Amount	C1	1166
	RateStatus <RateSts>	[0..1]		C51	1166
{Or	Code <Cd>	[1..1]	CodeSet		1166
Or}	Proprietary <Prtry>	[1..1]	±		1167

#### 8.4.11.12.14.5 EarlySolicitationFeeRate <EarlySlctnFeeRate>

*Presence:* [0..1]

*Definition:* Cash rate made available, as an incentive, in addition to the solicitation fee, in order to encourage early participation in an offer.

**EarlySolicitationFeeRate <EarlySlctnFeeRate>** contains one of the following elements (see [SolicitationFeeRateFormat9Choice](#) on page 1194 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1194
Or	AmountToQuantity <AmtToQty>	[1..1]			1194
	Amount <Amt>	[1..1]	Amount	C1	1194
	Quantity <Qty>	[1..1]	Quantity		1195
Or}	Amount <Amt>	[1..1]	Amount	C1	1195

#### 8.4.11.12.14.6 ThirdPartyIncentiveRate <ThrdPtyIncntivRate>

*Presence:* [0..1]

*Definition:* Cash rate made available in an event in order to encourage participation in the offer. As information, Payment is made to a third party who has solicited an entity to take part in the offer.

**ThirdPartyIncentiveRate <ThrdPtyIncntivRate>** contains one of the following elements (see [RateAndAmountFormat43Choice](#) on page 1208 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1208
Or}	Amount <Amt>	[1..1]	Amount	C1	1208

#### 8.4.11.12.14.7 InterestRateUsedForPayment <IntrstRateUsdForPmt>

*Presence:* [0..\*]

*Definition:* Actual interest rate used for the payment of the interest for the specified interest period.

**InterestRateUsedForPayment <IntrstRateUsdForPmt>** contains one of the following elements (see [InterestRateUsedForPaymentFormat9Choice](#) on page 1201 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1201
Or	Amount <Amt>	[1..1]	Amount	C1	1201
Or}	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1202
	RateType <RateTp>	[1..1]			1202
{Or	Code <Cd>	[1..1]	CodeSet		1202
Or}	Proprietary <Prtry>	[1..1]	±		1202
	Amount <Amt>	[1..1]	Amount	C1	1203
	RateStatus <RateSts>	[0..1]		C51	1203
{Or	Code <Cd>	[1..1]	CodeSet		1204
Or}	Proprietary <Prtry>	[1..1]	±		1204

#### 8.4.11.12.14.8 NetDividendRate <NetDvddRate>

*Presence:* [0..\*]

*Definition:* Cash dividend amount per equity after deductions or allowances have been made.

**NetDividendRate <NetDvddRate>** contains one of the following elements (see [NetDividendRateFormat42Choice](#) on page 1152 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C1	1152
Or	AmountAndRateStatus <AmtAndRateSts>	[1..1]			1152
	Amount <Amt>	[1..1]	Amount	C1	1153
	RateStatus <RateSts>	[1..1]	CodeSet		1153
Or}	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1153
	RateType <RateTp>	[1..1]			1154
{Or	Code <Cd>	[1..1]	CodeSet		1154
Or}	Proprietary <Prtry>	[1..1]	±		1155
	Amount <Amt>	[1..1]	Amount	C1	1155
	RateStatus <RateSts>	[0..1]		C51	1156
{Or	Code <Cd>	[1..1]	CodeSet		1156
Or}	Proprietary <Prtry>	[1..1]	±		1156

#### 8.4.11.12.14.9 ApplicableRate <AplblRate>

*Presence:* [0..1]

*Definition:* Rate applicable to the event announced, for example, redemption rate for a redemption event.

*Datatype:* [PercentageRate](#) on page 1347

#### 8.4.11.12.14.10 SolicitationFeeRate <SlctnFeeRate>

*Presence:* [0..1]

*Definition:* Rate of the cash premium made available if the securities holder consents or participates to an event, for example consent fees or solicitation fee.

**SolicitationFeeRate <SlctnFeeRate>** contains one of the following elements (see [SolicitationFeeRateFormat9Choice](#) on page 1194 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1194
Or	AmountToQuantity <AmtToQty>	[1..1]			1194
	Amount <Amt>	[1..1]	Amount	C1	1194
	Quantity <Qty>	[1..1]	Quantity		1195
Or}	Amount <Amt>	[1..1]	Amount	C1	1195



#### 8.4.11.12.14.11 TaxCreditRate <TaxCdtRate>

*Presence:* [0..1]

*Definition:* Amount of money per equity allocated as the result of a tax credit.

**TaxCreditRate <TaxCdtRate>** contains one of the following elements (see [RateFormat23Choice](#) on page 1167 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1167
Or}	Amount <Amt>	[1..1]	Amount	C1	1167

#### 8.4.11.12.14.12 WithholdingTaxRate <WhldgTaxRate>

*Presence:* [0..\*]

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

**WithholdingTaxRate <WhldgTaxRate>** contains one of the following elements (see [RateAndAmountFormat45Choice](#) on page 1204 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1204
Or	Amount <Amt>	[1..1]	Amount	C1	1205
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			1205
	RateType <RateTp>	[1..1]			1205
{Or	Code <Cd>	[1..1]	CodeSet		1206
Or}	Proprietary <Prtry>	[1..1]	±		1206
	Rate <Rate>	[1..1]	Rate		1206

#### 8.4.11.12.14.13 SecondLevelTax <ScndLvlTax>

*Presence:* [0..\*]

*Definition:* Rate at which the income will be withheld by a jurisdiction other than the jurisdiction of the issuer's country of tax incorporation, for which a relief at source and/or reclaim may be possible. It is levied in complement or offset of the withholding tax rate (TAXR) levied by the jurisdiction of the issuer's tax domicile.

**SecondLevelTax <ScndLvITax>** contains one of the following elements (see [RateAndAmountFormat45Choice](#) on page 1204 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1204
Or	Amount <Amt>	[1..1]	Amount	C1	1205
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			1205
	RateType <RateTp>	[1..1]			1205
{Or	Code <Cd>	[1..1]	CodeSet		1206
Or}	Proprietary <Prtry>	[1..1]	±		1206
	Rate <Rate>	[1..1]	Rate		1206

#### 8.4.11.12.14.14 TaxOnIncome <TaxOnIncm>

*Presence:* [0..1]

*Definition:* Taxation applied on an amount clearly identified as an income.

**TaxOnIncome <TaxOnIncm>** contains one of the following elements (see [RateAndAmountFormat43Choice](#) on page 1208 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1208
Or}	Amount <Amt>	[1..1]	Amount	C1	1208

#### 8.4.11.12.14.15 TaxOnProfits <TaxOnPrfts>

*Presence:* [0..1]

*Definition:* Taxation applied on an amount clearly identified as capital profits, capital gains.

*Datatype:* [PercentageRate](#) on page 1347

#### 8.4.11.12.14.16 TaxReclaimRate <TaxRclmRate>

*Presence:* [0..1]

*Definition:* Percentage of cash that was paid in excess of actual tax obligation and was reclaimed.

*Datatype:* [PercentageRate](#) on page 1347

#### 8.4.11.12.14.17 EqualisationRate <EqulstnRate>

*Presence:* [0..1]

*Definition:* Portion of the fund distribution which represents the average accrued income included in the purchase price for units bought during the account period.

*Impacted by:* [C1 ActiveCurrency](#)

*Datatype:* [RestrictedFINActiveCurrencyAnd13DecimalAmount](#) on page 1259

**Constraints**

• **ActiveCurrency**

(Rule)

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

*Error handling:*

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

**8.4.11.12.14.18 DeemedRate <DmdRate>**

*Presence:* [0..\*]

*Definition:* Rate applied for the calculation of deemed proceeds which are not paid to security holders but on which withholding tax is applicable.

**DeemedRate <DmdRate>** contains one of the following elements (see [RateAndAmountFormat54Choice on page 1157](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1157
Or	Amount <Amt>	[1..1]	Amount	C1	1157
Or	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1158
	RateType <RateTp>	[1..1]			1158
{Or	Code <Cd>	[1..1]	CodeSet		1158
Or}	Proprietary <Prtry>	[1..1]	±		1159
	Amount <Amt>	[1..1]	Amount	C1	1159
	RateStatus <RateSts>	[0..1]		C51	1159
{Or	Code <Cd>	[1..1]	CodeSet		1160
Or}	Proprietary <Prtry>	[1..1]	±		1160
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			1160
	RateType <RateTp>	[1..1]			1161
{Or	Code <Cd>	[1..1]	CodeSet		1161
Or}	Proprietary <Prtry>	[1..1]	±		1161
	Rate <Rate>	[1..1]	Rate		1162

### 8.4.11.12.15 PriceDetails <PricDtls>

*Presence:* [0..1]

*Definition:* Provides information about the prices related to a corporate action option.

*Impacted by:* [C21 GenericCashPricePerProductGuideline](#)

**PriceDetails <PricDtls>** contains the following **PriceDetails33** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>GenericCashPricePaidPerProduct</b> <GncCshPricPdPerPdct>	[0..1]	±		692
	<b>GenericCashPriceReceivedPerProduct</b> <GncCshPricRcvdPerPdct>	[0..1]	±		692
	<b>CashInLieuOfSharePrice</b> <CshInLieuOfShrPric>	[0..1]	±		693

#### Constraints

- **GenericCashPricePerProductGuideline**

(Guideline)

GenericCashPriceReceivedPerProduct and GenericCashPricePaidPerProduct are prices received or paid in the course of an event. The specific meaning (redemption price, subscription price, reinvestment price, ETC.) is derived from the event type.

#### 8.4.11.12.15.1 GenericCashPricePaidPerProduct <GncCshPricPdPerPdct>

*Presence:* [0..1]

*Definition:* Generic cash price paid per product by the underlying security holder either as a percentage or an amount or a number of points above an index, for example, reinvestment price, strike price and exercise price.

**GenericCashPricePaidPerProduct <GncCshPricPdPerPdct>** contains one of the following elements (see [PriceFormat55Choice](#) on page 1127 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1127
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1127
	PriceValue <PricVal>	[1..1]	Rate		1128
Or	AmountPrice <AmtPric>	[1..1]	±		1128
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		1128

#### 8.4.11.12.15.2 GenericCashPriceReceivedPerProduct <GncCshPricRcvdPerPdct>

*Presence:* [0..1]

*Definition:* Generic cash price received per product by the underlying security holder either as a percentage or an amount, for example, redemption price.

**GenericCashPriceReceivedPerProduct <GncCshPricRcvdPerPdct>** contains one of the following elements (see [PriceFormat68Choice](#) on page 1110 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1111
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1111
	PriceValue <PricVal>	[1..1]	Rate		1112
Or	AmountPrice <AmtPric>	[1..1]	±		1112
Or	AmountPricePerFinancialInstrumentQuantity <AmtPricPerFinInstrmQty>	[1..1]			1112
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1112
	PriceValue <PricVal>	[1..1]	Amount	C1	1113
	FinancialInstrumentQuantity <FinInstrmQty>	[1..1]	±	C14	1113
Or	AmountPricePerAmount <AmtPricPerAmt>	[1..1]			1113
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1114
	PriceValue <PricVal>	[1..1]	Amount	C1	1114
	Amount <Amt>	[1..1]	Amount	C1	1114
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		1115

#### 8.4.11.12.15.3 CashInLieuOfSharePrice <CshInLieuOfShrPric>

*Presence:* [0..1]

*Definition:* Cash disbursement in lieu of equities; usually in lieu of fractional quantity.

**CashInLieuOfSharePrice <CshInLieuOfShrPric>** contains one of the following elements (see [PriceFormat52Choice](#) on page 1128 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1128
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1129
	PriceValue <PricVal>	[1..1]	Rate		1129
Or}	AmountPrice <AmtPric>	[1..1]	±		1129

## 8.4.12 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Provides additional information.

**AdditionalInformation <AddtlInf>** contains the following **CorporateActionNarrative35** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AdditionalText</b> <AddtlTxt>	[0..*]	Text		694
	<b>NarrativeVersion</b> <NrrtvVrsn>	[0..*]	Text		694
	<b>PartyContactNarrative</b> <PtyCtctNrrtv>	[0..*]	Text		694
	<b>TaxationConditions</b> <TaxtnConds>	[0..*]	Text		694

#### 8.4.12.1 AdditionalText <AddtlTxt>

*Presence:* [0..\*]

*Definition:* Provides additional information or specifies in more detail the content of a message. This field may only be used when the information to be transmitted, cannot be coded.

*Datatype:* [RestrictedFINXMax350Text on page 1354](#)

#### 8.4.12.2 NarrativeVersion <NrrtvVrsn>

*Presence:* [0..\*]

*Definition:* Provides information that can be ignored for automated processing; - reiteration of information that has been included within structured fields, - or narrative information not needed for automatic processing.

*Datatype:* [RestrictedFINXMax350Text on page 1354](#)

#### 8.4.12.3 PartyContactNarrative <PtyCtctNrrtv>

*Presence:* [0..\*]

*Definition:* Provides additional information regarding the party, for example, the contact unit or person responsible for the transaction identified in the message.

*Datatype:* [RestrictedFINXMax350Text on page 1354](#)

#### 8.4.12.4 TaxationConditions <TaxtnConds>

*Presence:* [0..\*]

*Definition:* Provides taxation conditions that cannot be included within the structured fields of this message and has not been mentioned in the Service Level Agreement (SLA).

*Datatype:* [RestrictedFINXMax350Text on page 1354](#)

### 8.4.13 IssuerAgent <IssrAgt>

*Presence:* [0..\*]

*Definition:* Party appointed to administer the event on behalf of the issuer company/offeror. The party may be contacted for more information about the event.

**IssuerAgent <IssrAgt>** contains one of the following elements (see [PartyIdentification137Choice](#) on page 1092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1092
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1092
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1093

## 8.4.14 PayingAgent <PngAgt>

*Presence:* [0..\*]

*Definition:* Agent (principal or fiscal paying agent) appointed to execute the payment for the corporate action event on behalf of the issuer company/offeror.

**PayingAgent <PngAgt>** contains one of the following elements (see [PartyIdentification137Choice](#) on page 1092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1092
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1092
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1093

## 8.4.15 SubPayingAgent <SubPngAgt>

*Presence:* [0..\*]

*Definition:* Sub-agent appointed to execute the payment for the corporate action event on behalf of the issuer company/offeror.

**SubPayingAgent <SubPngAgt>** contains one of the following elements (see [PartyIdentification137Choice](#) on page 1092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1092
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1092
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1093

## 8.4.16 SupplementaryData <SplmtryData>

*Presence:* [0..\*]

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

*Impacted by:* [C69 SupplementaryDataRule](#)

**SupplementaryData <SplmtryData>** contains the following elements (see [SupplementaryData1](#) on page 1077 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		1077
	Envelope <Envlp>	[1..1]	(External Schema)		1078

#### 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.



# 9 **MX seev.037.002.14**

## **CorporateActionMovementReversalAdvice002V14**

### 9.1 **MessageDefinition Functionality**

#### Scope

The CorporateActionMovementReversalAdvice message is sent by an account servicer to an account owner or its designated agent to reverse a previously confirmed posting of securities or cash.

#### Usage

The message may also be used to:

- re-send a message previously sent (the sub-function of the message is Duplicate),
- provide a third party with a copy of a message for information (the sub-function of the message is Copy),
- re-send to a third party a copy of a message for information (the sub-function of the message is Copy Duplicate), using the relevant elements in the business application header (BAH).

#### Outline

The CorporateActionMovementReversalAdvice002V14 MessageDefinition is composed of 14 MessageBuildingBlocks:

- A. MovementConfirmationIdentification  
Identification of a previously sent movement confirmation document.
- B. OtherDocumentIdentification  
Identification of other documents as well as the document number.
- C. EventsLinkage  
Identification of another corporate action event that needs to be closely linked to the processing of the event notified in this document.
- D. ReversalReason  
Reason for the reversal.
- E. TransactionIdentification  
Transaction type and identification information.
- F. CorporateActionGeneralInformation  
General information about the corporate action event.
- G. AccountDetails  
General information about the safekeeping account, owner and account balance.
- H. CorporateActionDetails

Information about the corporate action event.

I. CorporateActionConfirmationDetails

Information about the corporate action option.

J. AdditionalInformation

Provides additional information.

K. IssuerAgent

Party appointed to administer the event on behalf of the issuer company/offeror. The party may be contacted for more information about the event.

L. PayingAgent

Agent (principal or fiscal paying agent) appointed to execute the payment for the corporate action event on behalf of the issuer company/offeror.

M. SubPayingAgent

Sub-agent appointed to execute the payment for the corporate action event on behalf of the issuer company/offeror.

N. SupplementaryData

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

## 9.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <CorpActnMvmntRvslAdv>	[1..1]		C2, C11, C16, C14	
	<b>MovementConfirmationIdentification</b> <MvmntConfld>	[1..1]	±		705
	<b>OtherDocumentIdentification</b> <OthrDocId>	[0..*]	±		706
	<b>EventsLinkage</b> <EvtsLkg>	[0..*]	±		706
	<b>ReversalReason</b> <RvslRsn>	[0..1]		C3	706
	<b>Reason</b> <Rsn>	[1..1]			707
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		707
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		708
	<b>AdditionalReasonInformation</b> <AddtlRsnInf>	[0..1]	Text		708
	<b>TransactionIdentification</b> <TxId>	[0..1]			708
	<b>MarketInfrastructureTransactionIdentification</b> <MktInfrstrctrTxId>	[1..1]	Text		708
	<b>CorporateActionGeneralInformation</b> <CorpActnGnllnf>	[1..1]		C15	708
	<b>CorporateActionEventIdentification</b> <CorpActnEvtId>	[1..1]	Text		709
	<b>OfficialCorporateActionEventIdentification</b> <OffclCorpActnEvtId>	[0..1]	Text		709
	<b>ClassActionNumber</b> <ClassActnNb>	[0..1]	Text		709
	<b>EventType</b> <EvtTp>	[1..1]	±	C9	709
	<b>FinancialInstrumentIdentification</b> <FinInstrmId>	[1..1]	±	C6, C7, C12, C13, C17	710
	<b>FractionalQuantity</b> <FrctnlQty>	[0..1]	±	C8	712
	<b>AccountDetails</b> <AcctDtls>	[1..1]		C18, C19, C20	712
	<b>SafekeepingAccount</b> <SfkpgAcct>	[0..1]	Text		713
	<b>BlockChainAddressOrWallet</b> <BlckChainAdrOrWllt>	[0..1]	Text		713
	<b>ConfirmedBalance</b> <ConfdBal>	[1..1]	±		714
	<b>CorporateActionDetails</b> <CorpActnDtls>	[0..1]			714
	<b>DateDetails</b> <DtDtls>	[0..1]			714
	<b>RecordDate</b> <RcrdDt>	[0..1]	±		714

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ExDividendDate</b> <ExDvddDt>	[0..1]	±		715
	<b>EventStage</b> <EvtStag>	[0..1]	±		715
	<b>AdditionalBusinessProcessIndicator</b> <AddtlBizPrclnd>	[0..1]	±		715
	<b>IntermediateSecuritiesDistributionType</b> <IntrmdtScitiesDstrbntp>	[0..1]	±		716
	<b>LotteryType</b> <LtryTp>	[0..1]	±		716
	<b>CorporateActionConfirmationDetails</b> <CorpActnConfDtls>	[1..1]			716
	<b>OptionNumber</b> <OptnNb>	[1..1]	±		717
	<b>OptionType</b> <OptnTp>	[1..1]	±		718
	<b>SecuritiesMovementDetails</b> <ScitiesMvmntDtls>	[0..*]			718
	<b>FinancialInstrumentIdentification</b> <FinInstrmld>	[1..1]	±	C6, C7, C12, C13, C17	718
	<b>CreditDebitIndicator</b> <CdtDbtInd>	[1..1]	CodeSet		720
	<b>PostingQuantity</b> <PstngQty>	[1..1]	±		720
	<b>PostingDate</b> <PstngDt>	[1..1]	Date		720
	<b>OriginalPostingDate</b> <OrgnlPstngDt>	[0..1]	Date		721
	<b>CashMovementDetails</b> <CshMvmntDtls>	[0..*]			721
	<b>CreditDebitIndicator</b> <CdtDbtInd>	[1..1]	CodeSet		721
	<b>Account</b> <Acct>	[0..1]			721
{Or	<b>CashAccount</b> <CshAcct>	[1..1]	±		722
Or	<b>ChargesAccount</b> <ChrgsAcct>	[1..1]	±		722
Or}	<b>TaxAccount</b> <TaxAcct>	[1..1]	±		722
	<b>PostingDate</b> <PstngDt>	[1..1]	Date		722
	<b>OriginalPostingDate</b> <OrgnlPstngDt>	[0..1]	Date		723
	<b>ValueDate</b> <ValDt>	[0..1]	Date		723
	<b>PostingAmount</b> <PstngAmt>	[1..1]	Amount	C1, C5	723
	<b>AdditionalInformation</b> <AddtlInf>	[0..1]			724
	<b>AdditionalText</b> <AddtlTxt>	[0..*]	Text		724
	<b>NarrativeVersion</b> <NrrtvVrsn>	[0..*]	Text		724
	<b>PartyContactNarrative</b> <PtyCtctNrrtv>	[0..*]	Text		724
	<b>TaxationConditions</b> <TaxtnConds>	[0..*]	Text		724

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>IssuerAgent</b> <IssrAgt>	[0..*]	±		724
	<b>PayingAgent</b> <PngAgt>	[0..*]	±		725
	<b>SubPayingAgent</b> <SubPngAgt>	[0..*]	±		725
	<b>SupplementaryData</b> <SplmtryData>	[0..*]	±	C22	725

## 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 AdditionalInformationRule

(Rule)

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

*This constraint is defined at the MessageDefinition level.*

### C3 AdditionalReasonInformationRule

(Rule)

The AdditionalReasonInformation 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 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 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 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.

**C7 DescriptionUsageRule**

(Rule)

Description must be used alone as the last resort.

**C8 DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

**C9 EventTypeRule**

(Rule)

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

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

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

#### **C10 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.

#### **C11 IntermediateSecuritiesDistribution1Rule**

(Rule)

If CorporateActionGeneralInformation/EventType/Code is RHDI (IntermediateSecuritiesDistribution), then CorporateActionDetails/

IntermediateSecuritiesDistributionType must be present.

(MT 566 NVR C5). (CrossElementComplexRule)

On Condition

/CorporateActionGeneralInformation/EventType/Code is equal to value 'IntermediateSecuritiesDistribution'

Following Must be True

/CorporateActionDetails Must be present

And /CorporateActionDetails/IntermediateSecuritiesDistributionType Must be present

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00550
- *Error Text:* Invalid message contents for IntermediateSecuritiesDistributionType in CorporateActionDetails. Element must be present.

*This constraint is defined at the MessageDefinition level.*

#### **C12 ISINGuideline**

(Rule)

When a ISIN code exist. It is strongly recommended that the ISIN be used.

#### **C13 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.

#### **C14 IssuerAgentGuideline**

(Guideline)

IssuerAgent must be used only in the communication between a CSD and local custodians.

*This constraint is defined at the MessageDefinition level.*

#### **C15 OfficialCorporateActionEventReference**

(Rule)

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

available in the SMPG Global Market Practices Part 1 document on [www.smpg.info](http://www.smpg.info).

#### **C16 OptionNumberRule**

(Rule)

The CorporateActionConfirmationDetails/OptionNumber value provided must be the same as the one provided in the related CorporateActionOptionDetails/OptionNumber element of the CorporateActionNotification or CorporateActionMovementPreliminaryAdvice messages previously sent.

*This constraint is defined at the MessageDefinition level.*

#### **C17 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.

#### **C18 SafekeepingAccountOrBlockChainAddress1Rule**

(Rule)

Either SafekeepingAccount or BlockChainAddressOrWallet must be present but not both. (CrossElementSimpleRule)

*Error handling:*

- *Error severity:* Warning
- *Error Code:* X00556
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

#### **C19 SafekeepingAccountOrBlockChainAddress2Rule**

(Rule)



If BlockChainAddressOrWallet is present then SafekeepingAccount must be absent. (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00569
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

#### **C20 SafekeepingAccountOrBlockChainAddress3Rule**

(Rule)

If SafekeepingAccount is present, then BlockChainAddressOrWallet must be absent. (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00570
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

#### **C21 ShortLongNumberRule**

(Rule)

ShortNumber must contain the FIN message type number of the linked message. LongNumber must contain the XML message identifier of the linked message.

#### **C22 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.

#### **C23 WithLinkageRule**

(Rule)

If Code WITH is used, then the one or more instruction which are linked become bound and which must be executed together. Even if one single transactions/instructions/notifications can not be executed, then all the other transactions/instructions/notifications must also be kept pending. Therefore the use of code WITH must be limited to combine up to 2 or 3 transactions/instructions/notifications.

## **9.4 Message Building Blocks**

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### **9.4.1 MovementConfirmationIdentification <MvmntConfId>**

*Presence:* [1..1]

*Definition:* Identification of a previously sent movement confirmation document.

**MovementConfirmationIdentification <MvmntConfld>** contains the following elements (see [DocumentIdentification37](#) on page 892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		893
	LinkageType <LkgTp>	[0..1]	±	C32	893

## 9.4.2 OtherDocumentIdentification <OthrDocld>

*Presence:* [0..\*]

*Definition:* Identification of other documents as well as the document number.

**OtherDocumentIdentification <OthrDocld>** contains the following elements (see [DocumentIdentification38](#) on page 895 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			896
{Or	AccountServicerDocumentIdentification <AcctSvcrDocld>	[1..1]	Text		896
Or}	AccountOwnerDocumentIdentification <AcctOwnrDocld>	[1..1]	Text		896
	DocumentNumber <DocNb>	[0..1]	±	C6	896
	LinkageType <LkgTp>	[0..1]	±	C32	897

## 9.4.3 EventsLinkage <EvtsLkg>

*Presence:* [0..\*]

*Definition:* Identification of another corporate action event that needs to be closely linked to the processing of the event notified in this document.

**EventsLinkage <EvtsLkg>** contains the following elements (see [CorporateActionEventReference4](#) on page 1072 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	EventIdentification <EvtId>	[1..1]			1072
{Or	LinkedOfficialCorporateActionEventIdentification <LkdOffclCorpActnEvtId>	[1..1]	Text		1072
Or}	LinkedCorporateActionIdentification <LkdCorpActnId>	[1..1]	Text		1072
	LinkageType <LkgTp>	[0..1]	±	C32	1072

## 9.4.4 ReversalReason <RvslRsn>

*Presence:* [0..1]

*Definition:* Reason for the reversal.

*Impacted by:* [C3 AdditionalReasonInformationRule](#)

**ReversalReason <RvsIRsn>** contains the following **CorporateActionReversalReason7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Reason &lt;Rsn&gt;</b>	[1..1]			707
{Or	<b>Code &lt;Cd&gt;</b>	[1..1]	CodeSet		707
Or}	<b>Proprietary &lt;Prtry&gt;</b>	[1..1]	±		708
	<b>AdditionalReasonInformation &lt;AddtlRsnInf&gt;</b>	[0..1]	Text		708

**Constraints**

- **AdditionalReasonInformationRule**

(Rule)

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

**9.4.4.1 Reason <Rsn>**

*Presence:* [1..1]

*Definition:* Specifies the reason for the reversal.

**Reason <Rsn>** contains one of the following **CorporateActionReversalReason7Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Code &lt;Cd&gt;</b>	[1..1]	CodeSet		707
Or}	<b>Proprietary &lt;Prtry&gt;</b>	[1..1]	±		708

**9.4.4.1.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Standard code to specify the reason for the reversal.

*Datatype:* [CorporateActionReversalReason2Code](#) on page 1307

CodeName	Name	Definition
DCBD	DayCountBasisDifference	Difference in day count basis.
FNRC	FundsNotReceived	Funds have not been received.
IREDD	IncorrectEntitlementDate	Entitlement date is incorrect.
IETR	IncorrectEventLevelTaxRate	Event level tax rate is incorrect.
IPCU	IncorrectPaymentCurrency	Payment currency is incorrect.
IPRI	IncorrectPrice	Price is incorrect.
IVAD	IncorrectValueDate	Value date is incorrect.
POCS	PaymentOutsideClearingSystem	Payment will occur outside of clearing system.
UPAY	UnduePayment	Payment is not due.

#### 9.4.4.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification for the reason of the reversal.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 9.4.4.2 AdditionalReasonInformation <AddtlRsnInf>

*Presence:* [0..1]

*Definition:* Provides additional information about the processed instruction.

*Datatype:* [RestrictedFINXMax256Text](#) on page 1352

### 9.4.5 TransactionIdentification <Txld>

*Presence:* [0..1]

*Definition:* Transaction type and identification information.

**TransactionIdentification <Txld>** contains the following **TransactionIdentification1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>MarketInfrastructureTransactionIdentification</b> <MktInfrstrctrTxld>	[1..1]	Text		708

#### 9.4.5.1 MarketInfrastructureTransactionIdentification <MktInfrstrctrTxld>

*Presence:* [1..1]

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

*Datatype:* [RestrictedFINMax35Text](#) on page 1351

### 9.4.6 CorporateActionGeneralInformation <CorpActnGnlInf>

*Presence:* [1..1]

*Definition:* General information about the corporate action event.

*Impacted by:* [C15 OfficialCorporateActionEventReference](#)

**CorporateActionGeneralInformation <CorpActnGnlInf>** contains the following  
**CorporateActionGeneralInformation167** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CorporateActionEventIdentification</b> <CorpActnEvtld>	[1..1]	Text		709
	<b>OfficialCorporateActionEventIdentification</b> <OffclCorpActnEvtld>	[0..1]	Text		709
	<b>ClassActionNumber</b> <ClssActnNb>	[0..1]	Text		709
	<b>EventType</b> <EvtTp>	[1..1]	±	C9	709
	<b>FinancialInstrumentIdentification</b> <FinInstrmld>	[1..1]	±	C6, C7, C12, C13, C17	710
	<b>FractionalQuantity</b> <FrctnlQty>	[0..1]	±	C8	712

**Constraints**

- **OfficialCorporateActionEventReference**

(Rule)

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

available in the SMPG Global Market Practices Part 1 document on [www.smpg.info](http://www.smpg.info).

**9.4.6.1 CorporateActionEventIdentification <CorpActnEvtld>**

*Presence:* [1..1]

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

*Datatype:* [RestrictedFINXMax16Text on page 1352](#)

**9.4.6.2 OfficialCorporateActionEventIdentification <OffclCorpActnEvtld>**

*Presence:* [0..1]

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

*Datatype:* [RestrictedFINXMax16Text on page 1352](#)

**9.4.6.3 ClassActionNumber <ClssActnNb>**

*Presence:* [0..1]

*Definition:* Reference assigned by a court to a class action.

*Datatype:* [RestrictedFINXMax16Text on page 1352](#)

**9.4.6.4 EventType <EvtTp>**

*Presence:* [1..1]

*Definition:* Type of corporate action event.

*Impacted by:* [C9 EventTypeRule](#)

**EventType <EvtTp>** contains one of the following elements (see [CorporateActionEventType96Choice](#) on page 981 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		982
Or}	Proprietary <Prtry>	[1..1]	±		988

### Constraints

- **EventTypeRule**

(Rule)

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

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

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

### 9.4.6.5 FinancialInstrumentIdentification <FinInstrmId>

*Presence:* [1..1]

*Definition:* Identification of the security concerned by the corporate action.

*Impacted by:* [C6 DescriptionPresenceRule](#), [C7 DescriptionUsageRule](#), [C12 ISINGuideline](#), [C13 ISINPresenceRule](#), [C17 OtherIdentificationPresenceRule](#)

**FinancialInstrumentIdentification <FinInstrmId>** contains the following elements (see [SecurityIdentification20](#) on page 904 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		906
	OtherIdentification <OthrId>	[0..*]			906
	Identification <Id>	[1..1]	Text		906
	Suffix <Sfx>	[0..1]	Text		906
	Type <Tp>	[1..1]	±		906
	Description <Desc>	[0..1]	Text		907

### 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 a ISIN code exist. 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.

### 9.4.6.6 FractionalQuantity <FrctnQty>

*Presence:* [0..1]

*Definition:* Fractional quantity resulting from an event which will be paid with cash in lieu.

*Impacted by:* [C8 DigitalTokenUnitUsageRule](#)

**FractionalQuantity <FrctnQty>** contains one of the following elements (see [FinancialInstrumentQuantity36Choice](#) on page 1150 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1150
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1151
Or	AmortisedValue <AmtsVal>	[1..1]	Amount		1151
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1151

#### Constraints

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

### 9.4.7 AccountDetails <AcctDtls>

*Presence:* [1..1]

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

*Impacted by:* [C18 SafekeepingAccountOrBlockChainAddress1Rule](#) \_\_, [C19 SafekeepingAccountOrBlockChainAddress2Rule](#) \_\_, [C20 SafekeepingAccountOrBlockChainAddress3Rule](#) \_\_

**AccountDetails <AcctDtls>** contains the following **AccountAndBalance54** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>SafekeepingAccount</b> <SfkpgAcct>	[0..1]	Text		713
	<b>BlockChainAddressOrWallet</b> <BlckChainAdrOrWllt>	[0..1]	Text		713
	<b>ConfirmedBalance</b> <ConfdBal>	[1..1]	±		714

#### Constraints

- **SafekeepingAccountOrBlockChainAddress1Rule**

(Rule)

Either SafekeepingAccount or BlockChainAddressOrWallet must be present but not both.

Following Must be True

/SafekeepingAccount Must be present

Or /BlockChainAddressOrWallet Must be present



*Error handling:*

- *Error severity:* Warning
- *Error Code:* X00556
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

- **SafekeepingAccountOrBlockChainAddress2Rule**

(Rule)

If BlockchainAddressOrWallet is present then SafekeepingAccount must be absent.

On Condition  
    /BlockchainAddressOrWallet is present  
Following Must be True  
    /SafekeepingAccount Must be absent

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00569
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

- **SafekeepingAccountOrBlockChainAddress3Rule**

(Rule)

If SafekeepingAccount is present, then BlockchainAddressOrWallet must be absent.

On Condition  
    /SafekeepingAccount is present  
Following Must be True  
    /BlockchainAddressOrWallet Must be absent

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00570
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

#### 9.4.7.1 SafekeepingAccount <SfkpgAcct>

*Presence:* [0..1]

*Definition:* Account where financial instruments are maintained.

*Datatype:* RestrictedFINXMax35Text on page 1354

#### 9.4.7.2 BlockchainAddressOrWallet <BlckChainAdrOrWllt>

*Presence:* [0..1]

*Definition:* Blockchain address or wallet where digital assets are maintained. This is the equivalent of safekeeping account for digital assets.

*Datatype:* RestrictedFINXMax140Text on page 1352

### 9.4.7.3 ConfirmedBalance <ConfdBal>

*Presence:* [1..1]

*Definition:* Balance to which the payment applies (less or equal to the total eligible balance).

**ConfirmedBalance <ConfdBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

## 9.4.8 CorporateActionDetails <CorpActnDtls>

*Presence:* [0..1]

*Definition:* Information about the corporate action event.

**CorporateActionDetails <CorpActnDtls>** contains the following **CorporateAction78** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>DateDetails &lt;DtDtls&gt;</b>	[0..1]			714
	<b>RecordDate &lt;RcrdDt&gt;</b>	[0..1]	±		714
	<b>ExDividendDate &lt;ExDvddDt&gt;</b>	[0..1]	±		715
	<b>EventStage &lt;EvtStag&gt;</b>	[0..1]	±		715
	<b>AdditionalBusinessProcessIndicator &lt;AddtlBizPrclnd&gt;</b>	[0..1]	±		715
	<b>IntermediateSecuritiesDistributionType &lt;IntrmdtScitiesDstrbtnTp&gt;</b>	[0..1]	±		716
	<b>LotteryType &lt;LtryTp&gt;</b>	[0..1]	±		716

### 9.4.8.1 DateDetails <DtDtls>

*Presence:* [0..1]

*Definition:* Provides information about the dates related to a corporate action event.

**DateDetails <DtDtls>** contains the following **CorporateActionDate89** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>RecordDate &lt;RcrdDt&gt;</b>	[0..1]	±		714
	<b>ExDividendDate &lt;ExDvddDt&gt;</b>	[0..1]	±		715

#### 9.4.8.1.1 RecordDate <RcrdDt>

*Presence:* [0..1]

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

**RecordDate <RcrdDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

#### 9.4.8.1.2 ExDividendDate <ExDvddDt>

*Presence:* [0..1]

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

**ExDividendDate <ExDvddDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

#### 9.4.8.2 EventStage <EvtStag>

*Presence:* [0..1]

*Definition:* Stage in the corporate action event life cycle.

**EventStage <EvtStag>** contains one of the following elements (see [CorporateActionEventStageFormat15Choice](#) on page 1024 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1024
Or}	Proprietary <Prtry>	[1..1]	±		1025

#### 9.4.8.3 AdditionalBusinessProcessIndicator <AddtlBizPrclnd>

*Presence:* [0..1]

*Definition:* Indicates that the additional business process relates to a claim on the associated corporate action event.

**AdditionalBusinessProcessIndicator <AddtIBizPrclnd>** contains one of the following elements (see [AdditionalBusinessProcessFormat14Choice](#) on page 1022 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1023
Or}	Proprietary <Prtry>	[1..1]	±		1024

#### 9.4.8.4 IntermediateSecuritiesDistributionType <IntrmdtSctiesDstrbtp>

*Presence:* [0..1]

*Definition:* Type of intermediates securities distribution.

**IntermediateSecuritiesDistributionType <IntrmdtSctiesDstrbtp>** contains one of the following elements (see [IntermediateSecuritiesDistributionTypeFormat18Choice](#) on page 1057 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1057
Or}	Proprietary <Prtry>	[1..1]	±		1058

#### 9.4.8.5 LotteryType <LtryTp>

*Presence:* [0..1]

*Definition:* Specifies the type of lottery announced.

**LotteryType <LtryTp>** contains one of the following elements (see [LotteryTypeFormat5Choice](#) on page 1054 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1054
Or}	Proprietary <Prtry>	[1..1]	±		1054

### 9.4.9 CorporateActionConfirmationDetails <CorpActnConfDtls>

*Presence:* [1..1]

*Definition:* Information about the corporate action option.

**CorporateActionConfirmationDetails <CorpActnConfDtls>** contains the following  
**CorporateActionOption215** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OptionNumber</b> <OptnNb>	[1..1]	±		717
	<b>OptionType</b> <OptnTp>	[1..1]	±		718
	<b>SecuritiesMovementDetails</b> <SctiesMvmntDtls>	[0..*]			718
	<b>FinancialInstrumentIdentification</b> <FinInstrmId>	[1..1]	±	C6, C7, C12, C13, C17	718
	<b>CreditDebitIndicator</b> <CdtDbtInd>	[1..1]	CodeSet		720
	<b>PostingQuantity</b> <PstngQty>	[1..1]	±		720
	<b>PostingDate</b> <PstngDt>	[1..1]	Date		720
	<b>OriginalPostingDate</b> <OrgnlPstngDt>	[0..1]	Date		721
	<b>CashMovementDetails</b> <CshMvmntDtls>	[0..*]			721
	<b>CreditDebitIndicator</b> <CdtDbtInd>	[1..1]	CodeSet		721
	<b>Account</b> <Acct>	[0..1]			721
{Or	<b>CashAccount</b> <CshAcct>	[1..1]	±		722
Or	<b>ChargesAccount</b> <ChrgsAcct>	[1..1]	±		722
Or}	<b>TaxAccount</b> <TaxAcct>	[1..1]	±		722
	<b>PostingDate</b> <PstngDt>	[1..1]	Date		722
	<b>OriginalPostingDate</b> <OrgnlPstngDt>	[0..1]	Date		723
	<b>ValueDate</b> <ValDt>	[0..1]	Date		723
	<b>PostingAmount</b> <PstngAmt>	[1..1]	Amount	C1, C5	723

**9.4.9.1 OptionNumber <OptnNb>**

*Presence:* [1..1]

*Definition:* Number identifying the available corporate action options.

**OptionNumber <OptnNb>** contains one of the following elements (see [OptionNumber1Choice](#) on page 1078 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Number <Nb>	[1..1]	Text		1078
Or}	Code <Cd>	[1..1]	CodeSet		1078

### 9.4.9.2 OptionType <OptnTp>

*Presence:* [1..1]

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

**OptionType <OptnTp>** contains one of the following elements (see [CorporateActionOption39Choice](#) on page 979 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		980
Or}	Proprietary <Prtry>	[1..1]	±		981

### 9.4.9.3 SecuritiesMovementDetails <SctiesMvmntDtls>

*Presence:* [0..\*]

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

**SecuritiesMovementDetails <SctiesMvmntDtls>** contains the following **SecuritiesOption97** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>FinancialInstrumentIdentification</b> <FinInstrmId>	[1..1]	±	C6, C7, C12, C13, C17	718
	<b>CreditDebitIndicator</b> <CdtDbtInd>	[1..1]	CodeSet		720
	<b>PostingQuantity</b> <PstngQty>	[1..1]	±		720
	<b>PostingDate</b> <PstngDt>	[1..1]	Date		720
	<b>OriginalPostingDate</b> <OrgnlPstngDt>	[0..1]	Date		721

#### 9.4.9.3.1 FinancialInstrumentIdentification <FinInstrmId>

*Presence:* [1..1]

*Definition:* Identification of the financial instrument.

*Impacted by:* [C6 DescriptionPresenceRule](#) \_\_\_\_, [C7 DescriptionUsageRule](#), [C12 ISINGuideline](#), [C13 ISINPresenceRule](#) \_\_\_\_, [C17 OtherIdentificationPresenceRule](#) \_\_

**FinancialInstrumentIdentification <FinInstrmId>** contains the following elements (see [SecurityIdentification20 on page 904](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		906
	OtherIdentification <OthrlId>	[0..*]			906
	Identification <Id>	[1..1]	Text		906
	Suffix <Sfx>	[0..1]	Text		906
	Type <Tp>	[1..1]	±		906
	Description <Desc>	[0..1]	Text		907

**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 a ISIN code exist. 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.

**9.4.9.3.2 CreditDebitIndicator <CdtDbtInd>**

*Presence:* [1..1]

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

*Datatype:* [CreditDebitCode on page 1309](#)

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

**9.4.9.3.3 PostingQuantity <PstngQty>**

*Presence:* [1..1]

*Definition:* Quantity of securities that have been posted (credit or debit) to the safekeeping account.

**PostingQuantity <PstngQty>** contains one of the following elements (see [Quantity54Choice on page 1145](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±	C14	1146
Or}	OriginalAndCurrentFace <OrgnlAndCurFace>	[1..1]	±		1146

**9.4.9.3.4 PostingDate <PstngDt>**

*Presence:* [1..1]

*Definition:* Date of the posting (credit or debit) to the account.

*Datatype:* [ISODate on page 1342](#)



### 9.4.9.3.5 OriginalPostingDate <OrgnlPstngDt>

*Presence:* [0..1]

*Definition:* Date/Time of the posting (credit or debit) to the account that was initially communicated in the confirmation.

*Datatype:* [ISODate](#) on page 1342

### 9.4.9.4 CashMovementDetails <CshMvmntDtls>

*Presence:* [0..\*]

*Definition:* Provides information about the cash movement related to a corporate action option.

**CashMovementDetails <CshMvmntDtls>** contains the following **CashOption89** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CreditDebitIndicator</b> <CdtDbtInd>	[1..1]	CodeSet		721
	<b>Account</b> <Acct>	[0..1]			721
{Or	<b>CashAccount</b> <CshAcct>	[1..1]	±		722
Or	<b>ChargesAccount</b> <ChrgsAcct>	[1..1]	±		722
Or}	<b>TaxAccount</b> <TaxAcct>	[1..1]	±		722
	<b>PostingDate</b> <PstngDt>	[1..1]	Date		722
	<b>OriginalPostingDate</b> <OrgnlPstngDt>	[0..1]	Date		723
	<b>ValueDate</b> <ValDt>	[0..1]	Date		723
	<b>PostingAmount</b> <PstngAmt>	[1..1]	Amount	C1, C5	723

#### 9.4.9.4.1 CreditDebitIndicator <CdtDbtInd>

*Presence:* [1..1]

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

*Datatype:* [CreditDebitCode](#) on page 1309

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

#### 9.4.9.4.2 Account <Acct>

*Presence:* [0..1]

*Definition:* Choice between a cash account, a charges account or a tax account.

**Account <Acct>** contains one of the following **Account9Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>CashAccount</b> <CshAcct>	[1..1]	±		722
Or	<b>ChargesAccount</b> <ChrgsAcct>	[1..1]	±		722
Or}	<b>TaxAccount</b> <TaxAcct>	[1..1]	±		722

#### 9.4.9.4.2.1 CashAccount <CshAcct>

*Presence:* [1..1]

*Definition:* Account in which cash is maintained.

**CashAccount <CshAcct>** contains one of the following elements (see [CashAccountIdentification6Choice](#) on page 868 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IBAN <IBAN>	[1..1]	IdentifierSet	C18	868
Or}	Proprietary <Prtry>	[1..1]	Text		869

#### 9.4.9.4.2.2 ChargesAccount <ChrgsAcct>

*Presence:* [1..1]

*Definition:* Account to be used for charges if different from the account for payment.

**ChargesAccount <ChrgsAcct>** contains one of the following elements (see [CashAccountIdentification6Choice](#) on page 868 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IBAN <IBAN>	[1..1]	IdentifierSet	C18	868
Or}	Proprietary <Prtry>	[1..1]	Text		869

#### 9.4.9.4.2.3 TaxAccount <TaxAcct>

*Presence:* [1..1]

*Definition:* Account to be used for taxes if different from the account for payment.

**TaxAccount <TaxAcct>** contains one of the following elements (see [CashAccountIdentification6Choice](#) on page 868 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IBAN <IBAN>	[1..1]	IdentifierSet	C18	868
Or}	Proprietary <Prtry>	[1..1]	Text		869

#### 9.4.9.4.3 PostingDate <PstngDt>

*Presence:* [1..1]

*Definition:* Date/Time of the posting (credit or debit) to the account.

*Datatype:* ISODate on page 1342

#### 9.4.9.4.4 OriginalPostingDate <OrgnlPstngDt>

*Presence:* [0..1]

*Definition:* Date/Time of the posting (credit or debit) to the account that was initially communicated in the confirmation.

*Datatype:* ISODate on page 1342

#### 9.4.9.4.5 ValueDate <ValDt>

*Presence:* [0..1]

*Definition:* Date/time when calculating economic benefit for a cash amount.

*Datatype:* ISODate on page 1342

#### 9.4.9.4.6 PostingAmount <PstngAmt>

*Presence:* [1..1]

*Definition:* Amount of money that is to be/was posted to the account.

*Impacted by:* C1 ActiveCurrency \_\_\_\_, C5 CurrencyAmount \_\_

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

## 9.4.10 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Provides additional information.

**AdditionalInformation <AddtlInf>** contains the following **CorporateActionNarrative35** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AdditionalText</b> <AddtlTxt>	[0..*]	Text		724
	<b>NarrativeVersion</b> <NrrtvVrsn>	[0..*]	Text		724
	<b>PartyContactNarrative</b> <PtyCtctNrrtv>	[0..*]	Text		724
	<b>TaxationConditions</b> <TaxtnConds>	[0..*]	Text		724

### 9.4.10.1 AdditionalText <AddtlTxt>

*Presence:* [0..\*]

*Definition:* Provides additional information or specifies in more detail the content of a message. This field may only be used when the information to be transmitted, cannot be coded.

*Datatype:* [RestrictedFINXMax350Text on page 1354](#)

### 9.4.10.2 NarrativeVersion <NrrtvVrsn>

*Presence:* [0..\*]

*Definition:* Provides information that can be ignored for automated processing; - reiteration of information that has been included within structured fields, - or narrative information not needed for automatic processing.

*Datatype:* [RestrictedFINXMax350Text on page 1354](#)

### 9.4.10.3 PartyContactNarrative <PtyCtctNrrtv>

*Presence:* [0..\*]

*Definition:* Provides additional information regarding the party, for example, the contact unit or person responsible for the transaction identified in the message.

*Datatype:* [RestrictedFINXMax350Text on page 1354](#)

### 9.4.10.4 TaxationConditions <TaxtnConds>

*Presence:* [0..\*]

*Definition:* Provides taxation conditions that cannot be included within the structured fields of this message and has not been mentioned in the Service Level Agreement (SLA).

*Datatype:* [RestrictedFINXMax350Text on page 1354](#)

## 9.4.11 IssuerAgent <IssrAgt>

*Presence:* [0..\*]

*Definition:* Party appointed to administer the event on behalf of the issuer company/offerrer. The party may be contacted for more information about the event.

**IssuerAgent <IssrAgt>** contains one of the following elements (see [PartyIdentification137Choice](#) on page 1092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1092
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1092
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1093

## 9.4.12 PayingAgent <PngAgt>

*Presence:* [0..\*]

*Definition:* Agent (principal or fiscal paying agent) appointed to execute the payment for the corporate action event on behalf of the issuer company/offeror.

**PayingAgent <PngAgt>** contains one of the following elements (see [PartyIdentification137Choice](#) on page 1092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1092
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1092
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1093

## 9.4.13 SubPayingAgent <SubPngAgt>

*Presence:* [0..\*]

*Definition:* Sub-agent appointed to execute the payment for the corporate action event on behalf of the issuer company/offeror.

**SubPayingAgent <SubPngAgt>** contains one of the following elements (see [PartyIdentification137Choice](#) on page 1092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1092
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1092
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1093

## 9.4.14 SupplementaryData <SplmtryData>

*Presence:* [0..\*]

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

*Impacted by:* [C22 SupplementaryDataRule](#)

**SupplementaryData <SplmtryData>** contains the following elements (see [SupplementaryData1](#) on page 1077 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		1077
	Envelope <Envlp>	[1..1]	(External Schema)		1078

#### 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.

# 10 MX seev.038.002.07 CorporateActionNarrative002V07

## 10.1 MessageDefinition Functionality

### Scope

The CorporateActionNarrative message is sent between an account servicer and an account owner or its designated agent to cater for such processes that cannot be handled using messages such as the CorporateActionNotification. It is not to be used for event narrative as that should be included in the CorporateActionNotification. Examples of when the CorporateActionNarrative message may be used include tax reclaims, restrictions, documentation requirements. This message should only be used when bilaterally agreed. This message is bi-directional.

### Usage

The message may also be used to:

- re-send a message previously sent (the sub-function of the message is Duplicate),
- provide a third party with a copy of a message for information (the sub-function of the message is Copy),
- re-send to a third party a copy of a message for information (the sub-function of the message is Copy Duplicate), using the relevant elements in the business application header (BAH).

### Outline

The CorporateActionNarrative002V07 MessageDefinition is composed of 5 MessageBuildingBlocks:

- A. AccountDetails  
General information about the safekeeping account and the account owner.
- B. UnderlyingSecurity  
Provides information about the securitised right for entitlement.
- C. CorporateActionGeneralInformation  
General information about the corporate action event.
- D. AdditionalInformation  
Provides additional information.
- E. SupplementaryData  
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> <CorpActnNrrtv>	[1..1]			
	<b>AccountDetails</b> <AcctDtls>	[0..1]			731
{Or	<b>ForAllAccounts</b> <ForAllAccts>	[1..1]	±		732
Or}	<b>AccountsListAndBalanceDetails</b> <AcctsListAndBalDtls>	[1..*]		C11, C12, C13, C14	732
	<b>SafekeepingAccount</b> <SfkpgAcct>	[0..1]	Text		734
	<b>BlockchainAddressOrWallet</b> <BlckChainAdrOrWlIt>	[0..1]	Text		734
	<b>AccountOwner</b> <AcctOwnr>	[0..1]	±		734
	<b>SafekeepingPlace</b> <SfkpgPlc>	[0..1]	±		734
	<b>ConfirmedBalance</b> <ConfdBal>	[1..1]	±		734
	<b>UnderlyingSecurity</b> <UndrlygScty>	[0..1]	±	C4, C5, C7, C8, C10	735
	<b>CorporateActionGeneralInformation</b> <CorpActnGnllnf>	[1..1]		C9	736
	<b>CorporateActionEventIdentification</b> <CorpActnEvtld>	[1..1]	Text		737
	<b>OfficialCorporateActionEventIdentification</b> <OffclCorpActnEvtld>	[0..1]	Text		737
	<b>NarrativeType</b> <NrrtvTp>	[0..1]			737
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		738
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		738
	<b>AdditionalInformation</b> <AddtlInf>	[1..1]	±	C1	738
	<b>SupplementaryData</b> <SplmtryData>	[0..*]	±	C15	739

## 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 AdditionalInformationRule

(Rule)

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

### 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 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 DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

### **C7 ISINGuideline**

(Rule)

When a ISIN code exist. 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 OfficialCorporateActionEventReference**

(Rule)

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

available in the SMPG Global Market Practices Part 1 document on [www.smpg.info](http://www.smpg.info).

#### **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 SafekeepingAccountOrBlockChainAddress1Rule**

(Rule)

Either SafekeepingAccount or BlockChainAddressOrWallet must be present but not both. (CrossElementSimpleRule)

*Error handling:*

- *Error severity:* Warning
- *Error Code:* X00557
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

#### **C12 SafekeepingAccountOrBlockChainAddress2Rule**

(Rule)

If BlockChainAddressOrWallet is present then SafekeepingAccount must be absent. (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00572

- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

### **C13 SafekeepingAccountOrBlockChainAddress3Rule**

(Rule)

If SafekeepingAccount is present, then BlockChainAddressOrWallet must be absent. (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00573
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

### **C14 SafekeepingPlaceRule**

(Rule)

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

### **C15 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.

## **10.4 Message Building Blocks**

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### **10.4.1 AccountDetails <AcctDtls>**

*Presence:* [0..1]

*Definition:* General information about the safekeeping account and the account owner.

**AccountDetails <AcctDtls>** contains one of the following **AccountIdentification53Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>ForAllAccounts</b> <ForAllAccts>	[1..1]	±		732
Or}	<b>AccountsListAndBalanceDetails</b> <AcctsListAndBalDtls>	[1..*]		C11, C12, C13, C14	732
	<b>SafekeepingAccount</b> <SfkpgAcct>	[0..1]	Text		734
	<b>BlockChainAddressOrWallet</b> <BlckChainAdrOrWilt>	[0..1]	Text		734
	<b>AccountOwner</b> <AcctOwnr>	[0..1]	±		734
	<b>SafekeepingPlace</b> <SfkpgPlc>	[0..1]	±		734
	<b>ConfirmedBalance</b> <ConfdBal>	[1..1]	±		734

#### 10.4.1.1 ForAllAccounts <ForAllAccts>

*Presence:* [1..1]

*Definition:* All safekeeping accounts that own underlying financial instrument.

**ForAllAccounts <ForAllAccts>** contains the following elements (see [AccountIdentification10](#) on page 868 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IdentificationCode <IdCd>	[1..1]	CodeSet		868

#### 10.4.1.2 AccountsListAndBalanceDetails <AcctsListAndBalDtls>

*Presence:* [1..\*]

*Definition:* Selected safekeeping accounts list (and optionally balance information) to which the corporate action event applies.

*Impacted by:* [C11 SafekeepingAccountOrBlockChainAddress1Rule](#), [C12 SafekeepingAccountOrBlockChainAddress2Rule](#), [C13 SafekeepingAccountOrBlockChainAddress3Rule](#), [C14 SafekeepingPlaceRule](#)

**AccountsListAndBalanceDetails <AcctsListAndBalDtls>** contains the following **AccountIdentification65** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>SafekeepingAccount</b> <SfkpgAcct>	[0..1]	Text		734
	<b>BlockChainAddressOrWallet</b> <BlckChainAdrOrWilt>	[0..1]	Text		734
	<b>AccountOwner</b> <AcctOwnr>	[0..1]	±		734
	<b>SafekeepingPlace</b> <SfkpgPlc>	[0..1]	±		734
	<b>ConfirmedBalance</b> <ConfdBal>	[1..1]	±		734

## Constraints

- **SafekeepingAccountOrBlockChainAddress1Rule**

(Rule)

Either SafekeepingAccount or BlockChainAddressOrWallet must be present but not both.

Following Must be True

    /SafekeepingAccount Must be present

Or     /BlockChainAddressOrWallet Must be present

*Error handling:*

– *Error severity:* Warning

– *Error Code:* X00557

– *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet.  
Only one of both must be present.

- **SafekeepingAccountOrBlockChainAddress2Rule**

(Rule)

If BlockChainAddressOrWallet is present then SafekeepingAccount must be absent.

On Condition

    /BlockChainAddressOrWallet is present

Following Must be True

    /SafekeepingAccount Must be absent

*Error handling:*

– *Error severity:* Fatal

– *Error Code:* X00572

– *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet.  
Only one of both must be present.

- **SafekeepingAccountOrBlockChainAddress3Rule**

(Rule)

If SafekeepingAccount is present, then BlockChainAddressOrWallet must be absent.

On Condition

    /SafekeepingAccount is present

Following Must be True

    /BlockChainAddressOrWallet Must be absent

*Error handling:*

– *Error severity:* Fatal

– *Error Code:* X00573

– *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet.  
Only one of both must be present.

- **SafekeepingPlaceRule**

(Rule)

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

#### 10.4.1.2.1 SafekeepingAccount <SfkpgAcct>

*Presence:* [0..1]

*Definition:* Account where financial instruments are maintained.

*Datatype:* [RestrictedFINXMax35Text on page 1354](#)

#### 10.4.1.2.2 BlockChainAddressOrWallet <BlckChainAdrOrWllt>

*Presence:* [0..1]

*Definition:* Blockchain address or wallet where digital assets are maintained. This is the equivalent of safekeeping account for digital assets.

*Datatype:* [RestrictedFINXMax140Text on page 1352](#)

#### 10.4.1.2.3 AccountOwner <AcctOwnr>

*Presence:* [0..1]

*Definition:* Party that legally owns the account.

**AccountOwner <AcctOwnr>** contains one of the following elements (see [PartyIdentification136Choice on page 1091](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1091
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1091

#### 10.4.1.2.4 SafekeepingPlace <SfkpgPlc>

*Presence:* [0..1]

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

**SafekeepingPlace <SfkpgPlc>** contains one of the following elements (see [SafekeepingPlaceFormat32Choice on page 1216](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]	±		1216
Or	Country <Ctry>	[1..1]	CodeSet	C3	1216
Or	TypeAndIdentification <TpAndId>	[1..1]			1217
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		1217
	Identification <Id>	[1..1]	IdentifierSet	C1	1217
Or}	Proprietary <Prtry>	[1..1]	±		1218

#### 10.4.1.2.5 ConfirmedBalance <ConfdBal>

*Presence:* [1..1]

*Definition:* Balance to which the payment applies (less or equal to the total eligible balance).

**ConfirmedBalance <ConfdBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

## 10.4.2 UnderlyingSecurity <UndrlygScty>

*Presence:* [0..1]

*Definition:* Provides information about the securitised right for entitlement.

*Impacted by:* [C4 DescriptionPresenceRule](#), [C5 DescriptionUsageRule](#), [C7 ISINGuideline](#), [C8 ISINPresenceRule](#), [C10 OtherIdentificationPresenceRule](#)

**UnderlyingSecurity <UndrlygScty>** contains the following elements (see [SecurityIdentification20](#) on page 904 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		906
	OtherIdentification <OthrlId>	[0..*]			906
	Identification <Id>	[1..1]	Text		906
	Suffix <Sfx>	[0..1]	Text		906
	Type <Tp>	[1..1]	±		906
	Description <Desc>	[0..1]	Text		907

### 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 a ISIN code exist. 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.

### 10.4.3 CorporateActionGeneralInformation <CorpActnGnllnf>

*Presence:* [1..1]

*Definition:* General information about the corporate action event.

*Impacted by:* C9 OfficialCorporateActionEventReference



**CorporateActionGeneralInformation <CorpActnGnllnf>** contains the following **CorporateActionGeneralInformation102** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CorporateActionEventIdentification</b> <CorpActnEvtld>	[1..1]	Text		737
	<b>OfficialCorporateActionEventIdentification</b> <OffclCorpActnEvtld>	[0..1]	Text		737
	<b>NarrativeType</b> <NrrtvTp>	[0..1]			737
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		738
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		738

**Constraints**

- **OfficialCorporateActionEventReference**

(Rule)

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

available in the SMPG Global Market Practices Part 1 document on [www.smpg.info](http://www.smpg.info).

**10.4.3.1 CorporateActionEventIdentification <CorpActnEvtld>**

*Presence:* [1..1]

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

*Datatype:* [RestrictedFINXMax16Text on page 1352](#)

**10.4.3.2 OfficialCorporateActionEventIdentification <OffclCorpActnEvtld>**

*Presence:* [0..1]

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

*Datatype:* [RestrictedFINXMax16Text on page 1352](#)

**10.4.3.3 NarrativeType <NrrtvTp>**

*Presence:* [0..1]

*Definition:* Specifies the type of narrative related to the message.

**NarrativeType <NrrtvTp>** contains one of the following **CorporateActionNarrative4Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		738
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		738

### 10.4.3.3.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the narrative type of the message.

*Datatype:* [CorporateActionNarrative1Code](#) on page 1299

CodeName	Name	Definition
TAXE	TaxationConditions	Provides taxation conditions that cannot be included within the structured fields of this message.
REGI	RegistrationDetails	Provides information required for the registration.
WTRC	WithholdingTaxReliefCertification	Certification process for withholding tax reduction or exemption based on the tax status of the holder.
RFMC	ICSDRefusalOfMarkUpDownConfirmation	In the context of a corporate action, an International Central Securities Depository (ICSD) refuses a mark-up/ mark-down confirmation sent by the account servicer.
PAUT	ChasingOfPriorAuthorization	International Central Securities Depository (ICSD) chases the authorisation from the account servicer in order to process the exchange from global temporary to global permanent.
CTIN	ConfirmationOfHoldingTransfer	Confirmation of transfer of interests between International Central Securities Depositories (ICSDs) following a corporate actions.

### 10.4.3.3.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the narrative type of the message.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchemeNm>	[0..1]	Text		951

## 10.4.4 AdditionalInformation <AddtlInf>

*Presence:* [1..1]

*Definition:* Provides additional information.

*Impacted by:* [C1 AdditionalInformationRule](#)

**AdditionalInformation <AddtlInf>** contains the following elements (see [UpdatedAdditionalInformation10 on page 1029](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UpdateDescription <UpdDesc>	[0..1]	Text		1029
	UpdateDate <UpdDt>	[0..1]	Date		1029
	AdditionalInformation <AddtlInf>	[1..*]	Text		1029

**Constraints**

- **AdditionalInformationRule**

(Rule)

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

## 10.4.5 SupplementaryData <SplmtryData>

*Presence:* [0..\*]

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

*Impacted by:* [C15 SupplementaryDataRule](#)

**SupplementaryData <SplmtryData>** contains the following elements (see [SupplementaryData1 on page 1077](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		1077
	Envelope <Envlp>	[1..1]	(External Schema)		1078

**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.

# 11 MX seev.039.002.12 CorporateActionCancellationAdvice002V12

## 11.1 MessageDefinition Functionality

### Scope

The CorporateActionCancellationAdvice message is sent by an account servicer to an account owner or its designated agent to cancel a previously announced corporate action event in case of error from the account servicer or in case of withdrawal by the issuer.

### Usage

The message may also be used to:

- re-send a message previously sent (the sub-function of the message is Duplicate),
- provide a third party with a copy of a message for information (the sub-function of the message is Copy),
- re-send to a third party a copy of a message for information (the sub-function of the message is Copy Duplicate), using the relevant elements in the business application header (BAH).

### Outline

The CorporateActionCancellationAdvice002V12 MessageDefinition is composed of 15 MessageBuildingBlocks:

- A. CancellationAdviceGeneralInformation  
General information about the event cancellation status and cancellation reason.
- B. CorporateActionGeneralInformation  
General information about the corporate action event.
- C. AccountsDetails  
General information about the safekeeping account and the account owner.
- D. CorporateActionDetails  
Information about the corporate action event.
- E. AdditionalText  
Provides additional information or specifies in more detail the content of a message. This field may only be used when the information to be transmitted, cannot be coded.
- F. IssuerAgent  
Party appointed to administer the event on behalf of the issuer company/offeror. The party may be contacted for more information about the event.
- G. PayingAgent  
Agent (principal or fiscal paying agent) appointed to execute the payment for the corporate action event on behalf of the issuer company/offeror.

H. SubPayingAgent

Sub-agent appointed to execute the payment for the corporate action event on behalf of the issuer company/offeror.

I. Registrar

Party/agent responsible for maintaining the register of a security.

J. ResellingAgent

Broker-dealer responsible for reselling to new investors securities (usually bonds) that have been tendered for purchase by their owner.

K. PhysicalSecuritiesAgent

Trust company, bank or similar financial institution assigned by an issuer to accept presentations of instruments, usually bonds, for transfer and or exchange.

L. DropAgent

Trust company, bank or similar financial institution that acts on behalf of an out-of-town agent or event agent where securities can be delivered in person.

M. SolicitationAgent

Trust company, bank or similar financial institution assigned by an issuer to maintain records of investors and account balances and transactions for the consent of a material change.

N. InformationAgent

Trust company, bank or similar financial institution assigned by an Issuer to provide information and copies of the offering documentation.

O. SupplementaryData

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

## 11.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <CorpActnCxlAdvc>	[1..1]			
	<b>CancellationAdviceGeneralInformation</b> <CxlAdvcGnllnf>	[1..1]			746
	<b>CancellationReasonCode</b> <CxIRsnCd>	[1..1]	CodeSet		746
	<b>CancellationReason</b> <CxIRsn>	[0..1]	Text		746
	<b>ProcessingStatus</b> <PrcgSts>	[1..1]			747
	<b>EventCompletenessStatus</b> <EvtCmpltnsSts>	[1..1]	CodeSet		747
	<b>EventConfirmationStatus</b> <EvtConfSts>	[1..1]	CodeSet		747
	<b>CorporateActionGeneralInformation</b> <CorpActnGnllnf>	[1..1]		C8	747
	<b>CorporateActionEventIdentification</b> <CorpActnEvtld>	[1..1]	Text		748
	<b>OfficialCorporateActionEventIdentification</b> <OffclCorpActnEvtld>	[0..1]	Text		748
	<b>ClassActionNumber</b> <ClssActnNb>	[0..1]	Text		748
	<b>EventType</b> <EvtTp>	[1..1]	±	C5	748
	<b>MandatoryVoluntaryEventType</b> <MndtryVlntryEvtTp>	[1..1]	±		749
	<b>FinancialInstrumentIdentification</b> <FinInstrmld>	[1..1]	±	C3, C4, C6, C7, C9	749
	<b>AccountsDetails</b> <AcctsDtls>	[1..1]			751
{Or	<b>ForAllAccounts</b> <ForAllAccts>	[1..1]	±		751
Or}	<b>AccountsList</b> <AcctsList>	[1..*]		C10, C11, C12, C13	752
	<b>SafekeepingAccount</b> <SfkpgAcct>	[0..1]	Text		753
	<b>BlockchainAddressOrWallet</b> <BlckChainAdrOrWllt>	[0..1]	Text		753
	<b>AccountOwner</b> <AcctOwnr>	[0..1]	±		753
	<b>SafekeepingPlace</b> <SfkpgPlc>	[0..1]	±		754
	<b>CorporateActionDetails</b> <CorpActnDtls>	[0..1]			754
	<b>DateDetails</b> <DtDtls>	[0..1]			754
	<b>RecordDate</b> <RcrdDt>	[0..1]	±		755
	<b>ExDividendDate</b> <ExDvddDt>	[0..1]	±		755
	<b>EventStage</b> <EvtStag>	[0..1]	±		755
	<b>AdditionalBusinessProcessIndicator</b> <AddtlBizPrclnd>	[0..*]	±		756

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>LotteryType</b> <LtryTp>	[0..1]	±		756
	<b>AdditionalText</b> <AddtlTxt>	[0..*]	Text		756
	<b>IssuerAgent</b> <IssrAgt>	[0..*]	±		756
	<b>PayingAgent</b> <PngAgt>	[0..*]	±		757
	<b>SubPayingAgent</b> <SubPngAgt>	[0..*]	±		757
	<b>Registrar</b> <Regar>	[0..1]	±		757
	<b>ResellingAgent</b> <RsellingAgt>	[0..*]	±		758
	<b>PhysicalSecuritiesAgent</b> <PhysSctiesAgt>	[0..1]	±		758
	<b>DropAgent</b> <DrpAgt>	[0..1]	±		758
	<b>SolicitationAgent</b> <SlctnAgt>	[0..*]	±		759
	<b>InformationAgent</b> <InfAgt>	[0..1]	±		759
	<b>SupplementaryData</b> <SplmtryData>	[0..*]	±	C14	759

## 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 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 EventTypeRule**

(Rule)

If Code is present, the code OTHR (Other) must only be used if no other corporate action event code is appropriate.

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

If Code is present, the code REDM (Final Maturity) must only be used if the redemption is decided by the issuer and not by the securities holders.

### **C6 ISINGuideline**

(Rule)

When a ISIN code exist. It is strongly recommended that the ISIN be used.

### **C7 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.

### **C8 OfficialCorporateActionEventReference**

(Rule)

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



### **C9 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.

### **C10 SafekeepingAccountOrBlockChainAddress1Rule**

(Rule)

Either SafekeepingAccount or BlockChainAddressOrWallet must be present but not both. (CrossElementSimpleRule)

*Error handling:*

- *Error severity:* Warning
- *Error Code:* X00553
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

### **C11 SafekeepingAccountOrBlockChainAddress2Rule**

(Rule)

If BlockChainAddressOrWallet is present then SafekeepingAccount must be absent. (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00574
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

### **C12 SafekeepingAccountOrBlockChainAddress3Rule**

(Rule)

If SafekeepingAccount is present, then BlockChainAddressOrWallet must be absent. (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00575
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

### **C13 SafekeepingPlaceRule**

(Rule)

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

**C14 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.

## 11.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 11.4.1 CancellationAdviceGeneralInformation <CxIAdvcGnllnf>

*Presence:* [1..1]

*Definition:* General information about the event cancellation status and cancellation reason.

**CancellationAdviceGeneralInformation <CxIAdvcGnllnf>** contains the following **CorporateActionCancellation4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CancellationReasonCode</b> <CxIRsnCd>	[1..1]	CodeSet		746
	<b>CancellationReason</b> <CxIRsn>	[0..1]	Text		746
	<b>ProcessingStatus</b> <PrcgSts>	[1..1]			747
	<b>EventCompletenessStatus</b> <EvtCmpltnsSts>	[1..1]	CodeSet		747
	<b>EventConfirmationStatus</b> <EvtConfSts>	[1..1]	CodeSet		747

#### 11.4.1.1 CancellationReasonCode <CxIRsnCd>

*Presence:* [1..1]

*Definition:* Specifies reasons for cancellation of a corporate action event.

*Datatype:* [CorporateActionCancellationReason1Code](#) on page 1271

CodeName	Name	Definition
WITH	Withdrawal	Cancellation due to the corporate action event being cancelled by the issuer.
PROC	Processing	Cancellation due to a processing error.

#### 11.4.1.2 CancellationReason <CxIRsn>

*Presence:* [0..1]

*Definition:* Additional information about cancellation of a corporate action event.

*Datatype:* [RestrictedFINXMax140Text](#) on page 1352

### 11.4.1.3 ProcessingStatus <PrcgSts>

*Presence:* [1..1]

*Definition:* Specifies the status of the details of the event.

**ProcessingStatus <PrcgSts>** contains the following **CorporateActionEventStatus1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>EventCompletenessStatus</b> <EvtCmpltnsSts>	[1..1]	CodeSet		747
	<b>EventConfirmationStatus</b> <EvtConfSts>	[1..1]	CodeSet		747

#### 11.4.1.3.1 EventCompletenessStatus <EvtCmpltnsSts>

*Presence:* [1..1]

*Definition:* Indicates whether the details provided about an event are complete or incomplete.

*Datatype:* [EventCompletenessStatus1Code](#) on page 1312

CodeName	Name	Definition
COMP	Complete	Event details are complete.
INCO	Incomplete	Event details are not complete.

#### 11.4.1.3.2 EventConfirmationStatus <EvtConfSts>

*Presence:* [1..1]

*Definition:* Indicates the status of the occurrence of an event.

*Datatype:* [EventConfirmationStatus1Code](#) on page 1312

CodeName	Name	Definition
CONF	Confirmed	Occurrence of the event has been confirmed.
UCON	Unconfirmed	Occurrence of the event has not been confirmed.

## 11.4.2 CorporateActionGeneralInformation <CorpActnGnllnf>

*Presence:* [1..1]

*Definition:* General information about the corporate action event.

*Impacted by:* [C8 OfficialCorporateActionEventReference](#)

**CorporateActionGeneralInformation <CorpActnGnlInf>** contains the following  
**CorporateActionGeneralInformation143** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CorporateActionEventIdentification</b> <CorpActnEvtld>	[1..1]	Text		748
	<b>OfficialCorporateActionEventIdentification</b> <OffclCorpActnEvtld>	[0..1]	Text		748
	<b>ClassActionNumber</b> <ClssActnNb>	[0..1]	Text		748
	<b>EventType</b> <EvtTp>	[1..1]	±	C5	748
	<b>MandatoryVoluntaryEventType</b> <MndtryVlntryEvtTp>	[1..1]	±		749
	<b>FinancialInstrumentIdentification</b> <FinInstrmld>	[1..1]	±	C3, C4, C6, C7, C9	749

**Constraints**

- **OfficialCorporateActionEventReference**

(Rule)

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

**11.4.2.1 CorporateActionEventIdentification <CorpActnEvtld>**

*Presence:* [1..1]

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

*Datatype:* [RestrictedFINXMax16Text on page 1352](#)

**11.4.2.2 OfficialCorporateActionEventIdentification <OffclCorpActnEvtld>**

*Presence:* [0..1]

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

*Datatype:* [RestrictedFINXMax16Text on page 1352](#)

**11.4.2.3 ClassActionNumber <ClssActnNb>**

*Presence:* [0..1]

*Definition:* Reference assigned by a court to a class action.

*Datatype:* [RestrictedFINXMax16Text on page 1352](#)

**11.4.2.4 EventType <EvtTp>**

*Presence:* [1..1]

*Definition:* Type of corporate action event.

Impacted by: [C5 EventTypeRule](#)

**EventType <EvtTp>** contains one of the following elements (see [CorporateActionEventType89Choice](#) on page 1009 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1010
Or}	Proprietary <Prtry>	[1..1]	±		1016

#### Constraints

- **EventTypeRule**

(Rule)

If Code is present, the code OTHR (Other) must only be used if no other corporate action event code is appropriate.

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

If Code is present, the code REDM (Final Maturity) must only be used if the redemption is decided by the issuer and not by the securities holders.

#### 11.4.2.5 MandatoryVoluntaryEventType <MndtryVlntryEvtTp>

Presence: [1..1]

Definition: Specifies whether the event is mandatory, mandatory with options or voluntary.

**MandatoryVoluntaryEventType <MndtryVlntryEvtTp>** contains one of the following elements (see [CorporateActionMandatoryVoluntary4Choice](#) on page 1070 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1070
Or}	Proprietary <Prtry>	[1..1]	±		1070

#### 11.4.2.6 FinancialInstrumentIdentification <FinInstrmId>

Presence: [1..1]

Definition: Identification of the security concerned by the corporate action.

Impacted by: [C3 DescriptionPresenceRule](#), [C4 DescriptionUsageRule](#), [C6 ISINGuideline](#), [C7 ISINPresenceRule](#), [C9 OtherIdentificationPresenceRule](#)

**FinancialInstrumentIdentification <FinInstrmId>** contains the following elements (see [SecurityIdentification20 on page 904](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		906
	OtherIdentification <OthrlId>	[0..*]			906
	Identification <Id>	[1..1]	Text		906
	Suffix <Sfx>	[0..1]	Text		906
	Type <Tp>	[1..1]	±		906
	Description <Desc>	[0..1]	Text		907

### 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 a ISIN code exist. 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.

## 11.4.3 AccountsDetails <AcctsDtls>

*Presence:* [1..1]

*Definition:* General information about the safekeeping account and the account owner.

**AccountsDetails <AcctsDtls>** contains one of the following **AccountIdentification50Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>ForAllAccounts</b> <ForAllAccts>	[1..1]	±		751
Or}	<b>AccountsList</b> <AcctsList>	[1..*]		C10, C11, C12, C13	752
	<b>SafekeepingAccount</b> <SfkpgAcct>	[0..1]	Text		753
	<b>BlockChainAddressOrWallet</b> <BlckChainAdrOrWlt>	[0..1]	Text		753
	<b>AccountOwner</b> <AcctOwnr>	[0..1]	±		753
	<b>SafekeepingPlace</b> <SfkpgPlc>	[0..1]	±		754

### 11.4.3.1 ForAllAccounts <ForAllAccts>

*Presence:* [1..1]

*Definition:* All safekeeping accounts that own underlying financial instrument.

**ForAllAccounts <ForAllAccts>** contains the following elements (see [AccountIdentification10](#) on page 868 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IdentificationCode <IdCd>	[1..1]	CodeSet		868

### 11.4.3.2 AccountsList <AcctsList>

*Presence:* [1..\*]

*Definition:* Selected safekeeping accounts list to which the corporate action event applies.

*Impacted by:* [C10 SafekeepingAccountOrBlockChainAddress1Rule](#), [C11 SafekeepingAccountOrBlockChainAddress2Rule](#), [C12 SafekeepingAccountOrBlockChainAddress3Rule](#), [C13 SafekeepingPlaceRule](#)

**AccountsList <AcctsList>** contains the following **AccountIdentification61** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>SafekeepingAccount</b> <SfkpgAcct>	[0..1]	Text		753
	<b>BlockChainAddressOrWallet</b> <BlckChainAdrOrWllet>	[0..1]	Text		753
	<b>AccountOwner</b> <AcctOwnr>	[0..1]	±		753
	<b>SafekeepingPlace</b> <SfkpgPlc>	[0..1]	±		754

#### Constraints

- **SafekeepingAccountOrBlockChainAddress1Rule**

(Rule)

Either SafekeepingAccount or BlockChainAddressOrWallet must be present but not both.

Following Must be True  
 /SafekeepingAccount Must be present  
 Or /BlockChainAddressOrWallet Must be present

*Error handling:*

- *Error severity:* Warning
- *Error Code:* X00553
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

- **SafekeepingAccountOrBlockChainAddress2Rule**

(Rule)

If BlockChainAddressOrWallet is present then SafekeepingAccount must be absent.

On Condition  
 /BlockChainAddressOrWallet is present  
 Following Must be True  
 /SafekeepingAccount Must be absent



*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00574
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

- **SafekeepingAccountOrBlockChainAddress3Rule**

(Rule)

If SafekeepingAccount is present, then BlockChainAddressOrWallet must be absent.

On Condition

/SafekeepingAccount is present

Following Must be True

/BlockChainAddressOrWallet Must be absent

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00575
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

- **SafekeepingPlaceRule**

(Rule)

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

#### **11.4.3.2.1 SafekeepingAccount <SfkpgAcct>**

*Presence:* [0..1]

*Definition:* Account where financial instruments are maintained.

*Datatype:* RestrictedFINXMax35Text on page 1354

#### **11.4.3.2.2 BlockChainAddressOrWallet <BlckChainAdrOrWilt>**

*Presence:* [0..1]

*Definition:* Blockchain address or wallet where digital assets are maintained. This is the equivalent of safekeeping account for digital assets.

*Datatype:* RestrictedFINXMax140Text on page 1352

#### **11.4.3.2.3 AccountOwner <AcctOwnr>**

*Presence:* [0..1]

*Definition:* Party that legally owns the account.

**AccountOwner <AcctOwnr>** contains one of the following elements (see [PartyIdentification136Choice](#) on page 1091 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1091
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1091

#### 11.4.3.2.4 SafekeepingPlace <SfkpgPlc>

*Presence:* [0..1]

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

**SafekeepingPlace <SfkpgPlc>** contains one of the following elements (see [SafekeepingPlaceFormat32Choice](#) on page 1216 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]	±		1216
Or	Country <Ctry>	[1..1]	CodeSet	C3	1216
Or	TypeAndIdentification <TpAndId>	[1..1]			1217
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		1217
	Identification <Id>	[1..1]	IdentifierSet	C1	1217
Or}	Proprietary <Prtry>	[1..1]	±		1218

### 11.4.4 CorporateActionDetails <CorpActnDtls>

*Presence:* [0..1]

*Definition:* Information about the corporate action event.

**CorporateActionDetails <CorpActnDtls>** contains the following **CorporateAction74** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>DateDetails</b> <DtDtls>	[0..1]			754
	<b>RecordDate</b> <RcrdDt>	[0..1]	±		755
	<b>ExDividendDate</b> <ExDvddDt>	[0..1]	±		755
	<b>EventStage</b> <EvtStag>	[0..1]	±		755
	<b>AdditionalBusinessProcessIndicator</b> <AddtlBizPrclnd>	[0..*]	±		756
	<b>LotteryType</b> <LtryTp>	[0..1]	±		756

#### 11.4.4.1 DateDetails <DtDtls>

*Presence:* [0..1]

*Definition:* Provides information about the dates related to a corporate action event.

**DateDetails <DtDtls>** contains the following **CorporateActionDate89** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>RecordDate</b> <RcrdDt>	[0..1]	±		755
	<b>ExDividendDate</b> <ExDvddDt>	[0..1]	±		755

#### 11.4.4.1.1 RecordDate <RcrdDt>

*Presence:* [0..1]

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

**RecordDate <RcrdDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

#### 11.4.4.1.2 ExDividendDate <ExDvddDt>

*Presence:* [0..1]

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

**ExDividendDate <ExDvddDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

#### 11.4.4.2 EventStage <EvtStag>

*Presence:* [0..1]

*Definition:* Stage in the corporate action event life cycle.

**EventStage <EvtStag>** contains one of the following elements (see [CorporateActionEventStageFormat15Choice](#) on page 1024 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1024
Or}	Proprietary <Prtry>	[1..1]	±		1025

#### 11.4.4.3 AdditionalBusinessProcessIndicator <AddtlBizPrclnd>

*Presence:* [0..\*]

*Definition:* Specifies the type of the additional business process linked to a corporate action event such as a claim compensation or tax refund.

**AdditionalBusinessProcessIndicator <AddtlBizPrclnd>** contains one of the following elements (see [AdditionalBusinessProcessFormat16Choice](#) on page 961 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		961
Or}	Proprietary <Prtry>	[1..1]	±		962

#### 11.4.4.4 LotteryType <LtryTp>

*Presence:* [0..1]

*Definition:* Specifies the type of lottery announced.

**LotteryType <LtryTp>** contains one of the following elements (see [LotteryTypeFormat5Choice](#) on page 1054 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1054
Or}	Proprietary <Prtry>	[1..1]	±		1054

#### 11.4.5 AdditionalText <AddtlTxt>

*Presence:* [0..\*]

*Definition:* Provides additional information or specifies in more detail the content of a message. This field may only be used when the information to be transmitted, cannot be coded.

*Datatype:* [RestrictedFINZMax8000Text](#) on page 1355

#### 11.4.6 IssuerAgent <IssrAgt>

*Presence:* [0..\*]

*Definition:* Party appointed to administer the event on behalf of the issuer company/offeror. The party may be contacted for more information about the event.

**IssuerAgent <IssrAgt>** contains one of the following elements (see [PartyIdentification137Choice](#) on page 1092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1092
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1092
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1093

## 11.4.7 PayingAgent <PngAgt>

*Presence:* [0..\*]

*Definition:* Agent (principal or fiscal paying agent) appointed to execute the payment for the corporate action event on behalf of the issuer company/offeror.

**PayingAgent <PngAgt>** contains one of the following elements (see [PartyIdentification137Choice](#) on page 1092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1092
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1092
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1093

## 11.4.8 SubPayingAgent <SubPngAgt>

*Presence:* [0..\*]

*Definition:* Sub-agent appointed to execute the payment for the corporate action event on behalf of the issuer company/offeror.

**SubPayingAgent <SubPngAgt>** contains one of the following elements (see [PartyIdentification137Choice](#) on page 1092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1092
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1092
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1093

## 11.4.9 Registrar <Regar>

*Presence:* [0..1]

*Definition:* Party/agent responsible for maintaining the register of a security.

**Registrar <Regar>** contains one of the following elements (see [PartyIdentification137Choice](#) on page 1092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1092
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1092
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1093

## 11.4.10 ResellingAgent <RsellingAgt>

*Presence:* [0..\*]

*Definition:* Broker-dealer responsible for reselling to new investors securities (usually bonds) that have been tendered for purchase by their owner.

**ResellingAgent <RsellingAgt>** contains one of the following elements (see [PartyIdentification137Choice](#) on page 1092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1092
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1092
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1093

## 11.4.11 PhysicalSecuritiesAgent <PhysScitiesAgt>

*Presence:* [0..1]

*Definition:* Trust company, bank or similar financial institution assigned by an issuer to accept presentations of instruments, usually bonds, for transfer and or exchange.

**PhysicalSecuritiesAgent <PhysScitiesAgt>** contains one of the following elements (see [PartyIdentification137Choice](#) on page 1092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1092
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1092
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1093

## 11.4.12 DropAgent <DrpAgt>

*Presence:* [0..1]

*Definition:* Trust company, bank or similar financial institution that acts on behalf of an out-of-town agent or event agent where securities can be delivered in person.

**DropAgent <DrpAgt>** contains one of the following elements (see [PartyIdentification137Choice](#) on page 1092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1092
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1092
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1093

### 11.4.13 SolicitationAgent <SlctnAgt>

*Presence:* [0..\*]

*Definition:* Trust company, bank or similar financial institution assigned by an issuer to maintain records of investors and account balances and transactions for the consent of a material change.

**SolicitationAgent <SlctnAgt>** contains one of the following elements (see [PartyIdentification137Choice](#) on page 1092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1092
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1092
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1093

### 11.4.14 InformationAgent <InfAgt>

*Presence:* [0..1]

*Definition:* Trust company, bank or similar financial institution assigned by an Issuer to provide information and copies of the offering documentation.

**InformationAgent <InfAgt>** contains one of the following elements (see [PartyIdentification137Choice](#) on page 1092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1092
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1092
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1093

### 11.4.15 SupplementaryData <SplmtryData>

*Presence:* [0..\*]

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

*Impacted by:* [C14 SupplementaryDataRule](#)

**SupplementaryData <SplmtryData>** contains the following elements (see [SupplementaryData1](#) on page 1077 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		1077
	Envelope <Envlp>	[1..1]	(External Schema)		1078

#### 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.



# 12 MX seev.040.002.12 CorporateActionInstructionCancellationRequest002V12

## 12.1 MessageDefinition Functionality

### Scope

The CorporateActionInstructionCancellationRequest message is sent by an account owner to an account servicer to request cancellation of a previously sent corporate action election instruction.

### Usage

The message may also be used to:

- re-send a message previously sent (the sub-function of the message is Duplicate),
- provide a third party with a copy of a message for information (the sub-function of the message is Copy),
- re-send to a third party a copy of a message for information (the sub-function of the message is Copy Duplicate), using the relevant elements in the business application header (BAH).

### Outline

The CorporateActionInstructionCancellationRequest002V12 MessageDefinition is composed of 8 MessageBuildingBlocks:

- A. ChangeInstructionIndicator  
Indicates that cancelled instruction will be replaced by a new corporate action instruction to be sent later.
- B. InstructionIdentification  
Identification of a previously sent instruction document.
- C. CorporateActionGeneralInformation  
General information about the corporate action event.
- D. AccountDetails  
General information about the safekeeping account and the account owner.
- E. CorporateActionInstruction  
Information about the corporate action option.
- F. ProtectInstruction  
Provides detailed information on protect and cover protect instructions.
- G. AdditionalInformation  
Provides additional information.
- H. SupplementaryData

---

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

## 12.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <CorpActnInstrCxlReq>	[1..1]		C2, C4, C3	
	<b>ChangelInstructionIndicator</b> <ChngInstrInd>	[0..1]	Indicator		768
	<b>InstructionIdentification</b> <InstrId>	[1..1]	±		768
	<b>CorporateActionGeneralInformation</b> <CorpActnGnlInf>	[1..1]		C9, C13	768
	<b>CorporateActionEventIdentification</b> <CorpActnEvtId>	[1..1]	Text		769
	<b>OfficialCorporateActionEventIdentification</b> <OffclCorpActnEvtId>	[0..1]	Text		769
	<b>EventType</b> <EvtTp>	[1..1]	±	C10	770
	<b>FinancialInstrumentIdentification</b> <FinInstrmId>	[0..1]	±	C6, C7, C11, C12, C16	770
	<b>AccountDetails</b> <AcctDtls>	[1..1]		C17, C18, C19, C20	772
	<b>SafekeepingAccount</b> <SfkpgAcct>	[0..1]	Text		773
	<b>BlockChainAddressOrWallet</b> <BlckChainAdrOrWlIt>	[0..1]	Text		773
	<b>AccountOwner</b> <AcctOwnr>	[0..1]	±		773
	<b>SafekeepingPlace</b> <SfkpgPlc>	[0..1]	±		774
	<b>CorporateActionInstruction</b> <CorpActnInstr>	[1..1]		C14, C15	774
	<b>OptionNumber</b> <OptnNb>	[1..1]	±		775
	<b>OptionType</b> <OptnTp>	[1..1]	±		775
	<b>InstructedQuantity</b> <InstdQty>	[1..1]	±		775
	<b>ProtectInstruction</b> <PrtctInstr>	[0..1]			776
	<b>TransactionType</b> <TxTp>	[1..1]	CodeSet		776
	<b>TransactionIdentification</b> <TxId>	[0..1]	Text		776
	<b>ProtectDate</b> <PrtctDt>	[0..1]	Date		776
	<b>AdditionalInformation</b> <AddtlInf>	[0..1]			776
	<b>AdditionalText</b> <AddtlTxt>	[0..*]	Text		777
	<b>PartyContactNarrative</b> <PtyCtctNrrtv>	[0..*]	Text		777
	<b>SupplementaryData</b> <SplmtryData>	[0..*]	±	C21	777

## 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 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 BeneficialOwnerBreakdownRequestRule

(Rule)

If CorporateActionInstruction/OptionType/Code value is BOBD (BeneficialOwnerBreakdownRequest), then CorporateActionGeneralInformation/EventType/Code value must be WTRC (Withholding Tax Relief Certification).

(MT565 NVR C8) (CrossElementComplexRule)

On Condition

`/CorporateActionInstruction/OptionType/Code is equal to value 'BeneficialOwnerBreakdownRequest'`

Following Must be True

`/CorporateActionGeneralInformation/EventType/Code Must be equal to value 'WithholdingTaxReliefCertification'`

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00487
- *Error Text:* Invalid message contents for CorporateActionGeneralInformation/EventType/Code. It must be WTRC.

*This constraint is defined at the MessageDefinition level.*

### C3 ChangeInstructionIndicatorGuideline

(Guideline)

ChangeInstructionIndicator may only be used if CorporateActionOptionDetails/WithdrawalAllowedIndicator was set to 'false' or '0' (No) in the CorporateActionNotification message previously received and if CorporateActionOptionDetails/ChangeAllowedIndicator was set to 'true' or '1' (Yes) in the CorporateActionNotification message previously received.

*This constraint is defined at the MessageDefinition level.*

### C4 CorporateActionEventIdentificationRule

(Rule)

---

If the CorporateActionInstruction message was unsolicited (that is, this instruction has not been preceded by a CorporateActionNotification), then, CorporateActionGeneralInformation/CorporateActionEventIdentification must be NONREF.

*This constraint is defined at the MessageDefinition level.*

**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 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.

**C7 DescriptionUsageRule**

(Rule)

Description must be used alone as the last resort.

**C8 DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

**C9 EventTypeRule**

(Rule)

EventType/Code OTHR must only be used in case no other corporate action event code is appropriate.

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

EventType/Code REDM must only be used when the redemption is decided by the issuer and not by the securities holders.

**C10 EventTypeRule**

(Rule)

---

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

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

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

**C11 ISINGuideline**

(Rule)

When a ISIN code exist, it is strongly recommended that the ISIN be used.

**C12 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.

**C13 OfficialCorporateActionEventReference**

(Rule)

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

available in the SMPG Global Market Practices Part 1 document on [www.smpg.info](http://www.smpg.info).

**C14 OptionNumber1Rule**

(Rule)

For differentiation between options, the OptionNumber must be used (preferred rather than the OptionType for example in the case where two or more offers can be described by the same corporate action option code). Therefore, the OptionNumber value must be different for each option.

**C15 OptionNumber2Rule**

(Rule)

When the CorporateActionInstruction is unsolicited, that is, the instruction has not been preceded by an Corporate ActionNotification, then OptionNumber/code must be UNSO (unsolicited).

**C16 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.

#### **C17 SafekeepingAccountOrBlockChainAddress1Rule**

(Rule)

Either SafekeepingAccount or BlockChainAddressOrWallet must be present but not both. (CrossElementSimpleRule)

*Error handling:*

- *Error severity:* Warning
- *Error Code:* X00553
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

#### **C18 SafekeepingAccountOrBlockChainAddress2Rule**

(Rule)

If BlockChainAddressOrWallet is present then SafekeepingAccount must be absent. (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00574
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

#### **C19 SafekeepingAccountOrBlockChainAddress3Rule**

(Rule)

If SafekeepingAccount is present, then BlockChainAddressOrWallet must be absent. (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00575
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

#### **C20 SafekeepingPlaceRule**

(Rule)

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

**C21 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.

**C22 WithLinkageRule**

(Rule)

If Code WITH is used, then the one or more instruction which are linked become bound and which must be executed together. Even if one single transactions/instructions/notifications can not be executed, then all the other transactions/instructions/notifications must also be kept pending. Therefore the use of code WITH must be limited to combine up to 2 or 3 transactions/instructions/notifications.

## 12.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 12.4.1 ChngInstrInd <ChngInstrInd>

*Presence:* [0..1]

*Definition:* Indicates that cancelled instruction will be replaced by a new corporate action instruction to be sent later.

*Datatype:* One of the following values must be used (see [YesNoIndicator](#) on page 1345):

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

### 12.4.2 InstrId <InstrId>

*Presence:* [1..1]

*Definition:* Identification of a previously sent instruction document.

**InstructionIdentification <InstrId>** contains the following elements (see [DocumentIdentification37](#) on page 892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		893
	LinkageType <LkgTp>	[0..1]	±	C32	893

### 12.4.3 CorporateActionGeneralInformation <CorpActnGnllnf>

*Presence:* [1..1]

*Definition:* General information about the corporate action event.

*Impacted by:* [C9 EventTypeRule](#), [C13 OfficialCorporateActionEventReference](#)



**CorporateActionGeneralInformation <CorpActnGnlInf>** contains the following  
**CorporateActionGeneralInformation159** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CorporateActionEventIdentification</b> <CorpActnEvtld>	[1..1]	Text		769
	<b>OfficialCorporateActionEventIdentification</b> <OffclCorpActnEvtld>	[0..1]	Text		769
	<b>EventType</b> <EvtTp>	[1..1]	±	C10	770
	<b>FinancialInstrumentIdentification</b> <FinInstrmld>	[0..1]	±	C6, C7, C11, C12, C16	770

#### Constraints

- **EventTypeRule**

(Rule)

EventType/Code OTHR must only be used in case no other corporate action event code is appropriate.

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

EventType/Code REDM must only be used when the redemption is decided by the issuer and not by the securities holders.

- **OfficialCorporateActionEventReference**

(Rule)

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

available in the SMPG Global Market Practices Part 1 document on [www.smpg.info](http://www.smpg.info).

#### 12.4.3.1 CorporateActionEventIdentification <CorpActnEvtld>

*Presence:* [1..1]

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

*Datatype:* [RestrictedFINXMax16Text on page 1352](#)

#### 12.4.3.2 OfficialCorporateActionEventIdentification <OffclCorpActnEvtld>

*Presence:* [0..1]

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

*Datatype:* [RestrictedFINXMax16Text on page 1352](#)

### 12.4.3.3 EventType <EvtTp>

*Presence:* [1..1]

*Definition:* Type of corporate action event.

*Impacted by:* [C10 EventTypeRule](#)

**EventType <EvtTp>** contains one of the following elements (see [CorporateActionEventType103Choice](#) on page 964 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		965
Or}	Proprietary <Prtry>	[1..1]	±		971

#### Constraints

- **EventTypeRule**

(Rule)

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

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

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

### 12.4.3.4 FinancialInstrumentIdentification <FinInstrmId>

*Presence:* [0..1]

*Definition:* Identification of the security concerned by the corporate action.

*Impacted by:* [C6 DescriptionPresenceRule](#), [C7 DescriptionUsageRule](#), [C11 ISINGuideline](#), [C12 ISINPresenceRule](#), [C16 OtherIdentificationPresenceRule](#)

**FinancialInstrumentIdentification <FinInstrmId>** contains the following elements (see [SecurityIdentification21](#) on page 936 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		938
	OtherIdentification <OthrlId>	[0..*]			938
	Identification <Id>	[1..1]	Text		938
	Suffix <Sfx>	[0..1]	Text		939
	Type <Tp>	[1..1]	±		939
	Description <Desc>	[0..1]	Text		939

---

## 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 a ISIN code exist, 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.

## 12.4.4 AccountDetails <AcctDtls>

*Presence:* [1..1]

*Definition:* General information about the safekeeping account and the account owner.

*Impacted by:* C17 SafekeepingAccountOrBlockChainAddress1Rule \_\_, C18 SafekeepingAccountOrBlockChainAddress2Rule \_\_, C19 SafekeepingAccountOrBlockChainAddress3Rule \_\_, C20 SafekeepingPlaceRule

**AccountDetails <AcctDtls>** contains the following **AccountIdentification62** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>SafekeepingAccount</b> <SfkpgAcct>	[0..1]	Text		773
	<b>BlockChainAddressOrWallet</b> <BlckChainAdrOrWllt>	[0..1]	Text		773
	<b>AccountOwner</b> <AcctOwnr>	[0..1]	±		773
	<b>SafekeepingPlace</b> <SfkpgPlc>	[0..1]	±		774

### Constraints

- **SafekeepingAccountOrBlockChainAddress1Rule**

(Rule)

Either SafekeepingAccount or BlockChainAddressOrWallet must be present but not both.

Following Must be True  
 /SafekeepingAccount Must be present  
 Or /BlockChainAddressOrWallet Must be present

*Error handling:*

- *Error severity:* Warning
- *Error Code:* X00553
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

- **SafekeepingAccountOrBlockChainAddress2Rule**

(Rule)

If BlockChainAddressOrWallet is present then SafekeepingAccount must be absent.

On Condition  
 /BlockChainAddressOrWallet is present  
 Following Must be True  
 /SafekeepingAccount Must be absent

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00574
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

- **SafekeepingAccountOrBlockChainAddress3Rule**

(Rule)

If SafekeepingAccount is present, then BlockChainAddressOrWallet must be absent.

On Condition

/SafekeepingAccount is present

Following Must be True

/BlockChainAddressOrWallet Must be absent

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00575
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

- **SafekeepingPlaceRule**

(Rule)

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

#### 12.4.4.1 SafekeepingAccount <SfkpgAcct>

*Presence:* [0..1]

*Definition:* Account where financial instruments are maintained.

*Datatype:* RestrictedFINXMax35Text on page 1354

#### 12.4.4.2 BlockChainAddressOrWallet <BlckChainAdrOrWllt>

*Presence:* [0..1]

*Definition:* Blockchain address or wallet where digital assets are maintained. This is the equivalent of safekeeping account for digital assets.

*Datatype:* Max140Text on page 1348

#### 12.4.4.3 AccountOwner <AcctOwnr>

*Presence:* [0..1]

*Definition:* Party that legally owns the account.

**AccountOwner <AcctOwnr>** contains one of the following elements (see [PartyIdentification136Choice](#) on page 1091 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1091
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1091

#### 12.4.4.4 SafekeepingPlace <SfkpgPlc>

*Presence:* [0..1]

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

**SafekeepingPlace <SfkpgPlc>** contains one of the following elements (see [SafekeepingPlaceFormat34Choice](#) on page 1213 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]	±		1214
Or	Country <Ctry>	[1..1]	CodeSet	C3	1214
Or	TypeAndIdentification <TpAndId>	[1..1]			1214
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		1214
	Identification <Id>	[1..1]	IdentifierSet	C1	1215
Or}	Proprietary <Prtry>	[1..1]			1215
	Type <Tp>	[1..1]	±		1215
	Identification <Id>	[0..1]	Text		1216

#### 12.4.5 CorporateActionInstruction <CorpActnInstr>

*Presence:* [1..1]

*Definition:* Information about the corporate action option.

*Impacted by:* [C14 OptionNumber1Rule](#), [C15 OptionNumber2Rule](#)

**CorporateActionInstruction <CorpActnInstr>** contains the following **CorporateActionOption202** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OptionNumber</b> <OptnNb>	[1..1]	±		775
	<b>OptionType</b> <OptnTp>	[1..1]	±		775
	<b>InstructedQuantity</b> <InstdQty>	[1..1]	±		775

##### Constraints

- **OptionNumber1Rule**  
(Rule)

For differentiation between options, the OptionNumber must be used (preferred rather than the OptionType for example in the case where two or more offers can be described by the same corporate action option code). Therefore, the OptionNumber value must be different for each option.

- **OptionNumber2Rule**

(Rule)

When the CorporateActionInstruction is unsolicited, that is, the instruction has not been preceded by an Corporate ActionNotification, then OptionNumber/code must be UNSO (unsolicited).

### 12.4.5.1 OptionNumber <OptnNb>

*Presence:* [1..1]

*Definition:* Number identifying the available corporate action options.

**OptionNumber <OptnNb>** contains one of the following elements (see [OptionNumber1Choice](#) on page 1078 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Number <Nb>	[1..1]	Text		1078
Or}	Code <Cd>	[1..1]	CodeSet		1078

### 12.4.5.2 OptionType <OptnTp>

*Presence:* [1..1]

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

**OptionType <OptnTp>** contains one of the following elements (see [CorporateActionOption43Choice](#) on page 971 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		972
Or}	Proprietary <Prtry>	[1..1]	±		973

### 12.4.5.3 InstructedQuantity <InstdQty>

*Presence:* [1..1]

*Definition:* Quantity of securities to which this instruction applies.

**InstructedQuantity <InstdQty>** contains one of the following elements (see [Quantity55Choice](#) on page 1144 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1144
Or	OriginalAndCurrentFaceAmount <OrgnlAndCurFaceAmt>	[1..1]	±		1145
Or}	Quantity <Qty>	[1..1]	±	C14	1145

## 12.4.6 ProtectInstruction <PrtctInstr>

*Presence:* [0..1]

*Definition:* Provides detailed information on protect and cover protect instructions.

**ProtectInstruction <PrtctInstr>** contains the following **ProtectInstruction7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TransactionType</b> <TxTp>	[1..1]	CodeSet		776
	<b>TransactionIdentification</b> <TxId>	[0..1]	Text		776
	<b>ProtectDate</b> <PrtctDt>	[0..1]	Date		776

### 12.4.6.1 TransactionType <TxTp>

*Presence:* [1..1]

*Definition:* Indicates whether the instruction is a protect or a cover protect instruction.

*Datatype:* [ProtectTransactionType3Code on page 1333](#)

CodeName	Name	Definition
PROT	ProtectTransaction	Reorganisation is a protect transaction type.

### 12.4.6.2 TransactionIdentification <TxId>

*Presence:* [0..1]

*Definition:* Unique reference of the protect transaction assigned by the depository and used for cover protect validation.

*Datatype:* [RestrictedFINMax15Text on page 1350](#)

### 12.4.6.3 ProtectDate <PrtctDt>

*Presence:* [0..1]

*Definition:* Date at which the protect instruction was created and used for cover protect validation.

*Datatype:* [ISODate on page 1342](#)

## 12.4.7 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Provides additional information.

**AdditionalInformation <AddtlInf>** contains the following **CorporateActionNarrative19** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AdditionalText</b> <AddtlTxt>	[0..*]	Text		777
	<b>PartyContactNarrative</b> <PtyCtctNrrtv>	[0..*]	Text		777



### 12.4.7.1 AdditionalText <AddtlTxt>

*Presence:* [0..\*]

*Definition:* Provides additional information or specifies in more detail the content of a message. This field may only be used when the information to be transmitted, cannot be coded.

*Datatype:* [RestrictedFINXMax350Text on page 1354](#)

### 12.4.7.2 PartyContactNarrative <PtyCtctNrrtv>

*Presence:* [0..\*]

*Definition:* Provides additional information regarding the party, for example, the contact unit or person responsible for the transaction identified in the message.

*Datatype:* [RestrictedFINXMax350Text on page 1354](#)

## 12.4.8 SupplementaryData <SplmtryData>

*Presence:* [0..\*]

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

*Impacted by:* [C21 SupplementaryDataRule](#)

**SupplementaryData <SplmtryData>** contains the following elements (see [SupplementaryData1 on page 1077](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		1077
	Envelope <Envlp>	[1..1]	(External Schema)		1078

#### 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.

# 13 MX seev.041.002.13 CorporateActionInstructionCancellationRequestStatusAdvice002V13

## 13.1 MessageDefinition Functionality

### Scope

The CorporateActionInstructionCancellationRequestStatusAdvice message is sent by an account servicer to an account owner or its designated agent to report the status of a previously received CorporateActionInstructionCancellationRequest message sent by the account owner. This will include the acknowledgement/rejection of a request to cancel an outstanding instruction.

### Usage

The message may also be used to:

- re-send a message previously sent (the sub-function of the message is Duplicate),
- provide a third party with a copy of a message for information (the sub-function of the message is Copy),
- re-send to a third party a copy of a message for information (the sub-function of the message is Copy Duplicate), using the relevant elements in the business application header (BAH).

### Outline

The CorporateActionInstructionCancellationRequestStatusAdvice002V13 MessageDefinition is composed of 8 MessageBuildingBlocks:

- A. InstructionCancellationRequestIdentification  
Identification of a related instruction cancellation request document.
- B. OtherDocumentIdentification  
Identification of other documents as well as the document number.
- C. CorporateActionGeneralInformation  
General information about the corporate action event.
- D. InstructionCancellationRequestStatus  
Provides information about the processing status of the instruction cancellation request.
- E. CorporateActionInstruction  
Information about the corporate action option.
- F. ProtectInstruction  
Provides detailed information on protect and cover protect instructions.
- G. AdditionalInformation  
Provides additional information.

#### H. SupplementaryData

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

## 13.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <CorpActnInstrCxlReqStsAdv>	[1..1]		C3, C9	
	<b>InstructionCancellationRequestIdentification</b> <InstrCxlReqId>	[0..1]	±		787
	<b>OtherDocumentIdentification</b> <OthrDocId>	[0..*]	±		787
	<b>CorporateActionGeneralInformation</b> <CorpActnGnlInf>	[1..1]		C15, C20	788
	<b>CorporateActionEventIdentification</b> <CorpActnEvtId>	[1..1]	Text		788
	<b>OfficialCorporateActionEventIdentification</b> <OffclCorpActnEvtId>	[0..1]	Text		788
	<b>ClassActionNumber</b> <ClssActnNb>	[0..1]	Text		789
	<b>EventType</b> <EvtTp>	[1..1]	±	C16	789
	<b>InstructionCancellationRequestStatus</b> <InstrCxlReqSts>	[1..*]			789
{Or	<b>CancellationCompleted</b> <CxlCmpltd>	[1..1]	±		790
Or	<b>Accepted</b> <Acctpd>	[1..1]	±		790
Or	<b>Rejected</b> <Rjctd>	[1..1]	±		790
Or	<b>PendingCancellation</b> <PdgCxl>	[1..1]	±		791
Or}	<b>ProprietaryStatus</b> <PrtrySts>	[1..1]	±		791
	<b>CorporateActionInstruction</b> <CorpActnInstr>	[0..1]		C21, C23, C24, C25, C26, C28, C29	791
	<b>OptionNumber</b> <OptnNb>	[1..1]	±		794
	<b>OptionType</b> <OptnTp>	[1..1]	±		794
	<b>OptionFeatures</b> <OptnFeatrs>	[0..1]	±		794
	<b>AccountOwner</b> <AcctOwnr>	[0..1]	±		795
	<b>SafekeepingAccount</b> <SfkpgAcct>	[0..1]	Text		795
	<b>BlockchainAddressOrWallet</b> <BlckChainAdrOrWlt>	[0..1]	Text		795
	<b>CashAccount</b> <CshAcct>	[0..1]	±		795
	<b>SafekeepingPlace</b> <SfkpgPlc>	[0..1]	±		795
	<b>FinancialInstrumentIdentification</b> <FinInstrmId>	[0..1]	±	C12, C13, C18, C19, C22	796

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TotalEligibleBalance</b> <TtlElgblBal>	[0..1]	±		797
	<b>InstructedBalance</b> <InstdBal>	[0..1]	±		798
	<b>UninstructedBalance</b> <UinstdBal>	[0..1]	±		798
	<b>ProtectBalance</b> <PrctBal>	[0..1]	±		798
	<b>StatusQuantity</b> <StsQty>	[0..1]	±		798
	<b>StatusCashAmount</b> <StsCshAmt>	[0..1]	Amount	C2, C11	799
	<b>ProtectInstruction</b> <PrctInstr>	[0..1]			799
	<b>TransactionType</b> <TxTp>	[1..1]	CodeSet		800
	<b>ProtectTransactionStatus</b> <PrctTxSts>	[0..1]	CodeSet		800
	<b>TransactionIdentification</b> <TxId>	[0..1]	Text		800
	<b>ProtectDate</b> <PrctDt>	[0..1]	Date		800
	<b>UncoveredProtectQuantity</b> <UcvrdPrctQty>	[0..1]	±		800
	<b>AdditionalInformation</b> <AddtlInf>	[0..1]			801
	<b>AdditionalText</b> <AddtlTxt>	[0..*]	Text		801
	<b>PartyContactNarrative</b> <PtyCtctNrrtv>	[0..*]	Text		801
	<b>SupplementaryData</b> <SplmtryData>	[0..*]	±	C30	801

## 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 AccountServicerDeadlineMissedGuideline

(Rule)

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

### C2 ActiveCurrency

(Rule)

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

(Rule)

All elements in the AdditionalInformation sequence must not contain information that can be provided in a structured field unless bilaterally agreed.

*This constraint is defined at the MessageDefinition level.*

**C4 AdditionalReasonInformationRule**

(Rule)

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

**C5 AdditionalReasonInformationRule**

(Rule)

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

**C6 AdditionalReasonInformationRule**

(Rule)

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

**C7 AdditionalReasonInformationRule**

(Rule)

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

**C8 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.

**C9 BeneficialOwnerBreakdownRequestRule**

(Rule)

If CorporateActionInstruction/OptionType/Code value is BOBD (BeneficialOwnerBreakdownRequest), then CorporateActionGeneralInformation/EventType/Code value must be WTRC (Withholding Tax Relief Certification).

(MT567 NVR C6) (CrossElementComplexRule)

On Condition

/CorporateActionInstruction/OptionType/Code is equal to value  
'BeneficialOwnerBreakdownRequest'

---

Following Must be True  
/CorporateActionGeneralInformation/EventType/Code Must be equal to value  
'WithholdingTaxReliefCertification'

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00487
- *Error Text:* Invalid message contents for CorporateActionGeneralInformation/EventType/Code. It must be WTRC.

*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 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.

**C13 DescriptionUsageRule**

(Rule)

Description must be used alone as the last resort.

---

**C14 DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

**C15 EventTypeRule**

(Rule)

EventType/Code OTHR must only be used in case no other corporate action event code is appropriate.

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

EventType/Code REDM must only be used when the redemption is decided by the issuer and not by the securities holders.

**C16 EventTypeRule**

(Rule)

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

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

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

**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 ISINGuideline**

(Rule)

When a ISIN code exist. It is strongly recommended that the ISIN be used.

**C19 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.

**C20 OfficialCorporateActionEventReference**

(Rule)

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

available in the SMPG Global Market Practices Part 1 document on [www.smpg.info](http://www.smpg.info).

**C21 OptionNumberRule**

(Rule)

For differentiation between options, the OptionNumber rather than the OptionType must be used, for example, in the case where two or more offers can be described by the same corporate action option code. Therefore, the OptionNumber value must be different for each option.

**C22 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.

**C23 SafekeepingAccountOrBlockchainAddress1Rule**

(Rule)

If SafekeepingAccount is present, BlockchainAddressOrWallet must be absent. (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Warning
- *Error Code:* X00558
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both may be present.

**C24 SafekeepingAccountOrBlockchainAddress2Rule**

(Rule)

If BlockchainAddressOrWallet is present, SafekeepingAccount must be absent. (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Warning
- *Error Code:* X00559
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both may be present.

**C25 SafekeepingAccountOrBlockChainAddress3Rule**

(Rule)

Either SafekeepingAccount or BlockChainAddressOrWallet must be present but not both. (CrossElementSimpleRule)

*Error handling:*

- *Error severity:* Warning
- *Error Code:* X00576
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

**C26 SafekeepingPlaceRule**

(Rule)

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

**C27 ShortLongNumberRule**

(Rule)

ShortNumber must contain the FIN message type number of the linked message. LongNumber must contain the XML message identifier of the linked message.

**C28 StatusQuantityOrStatusCashAmount1Rule**

(Rule)

If StatusQuantity is present, then StatusCashAmount is not allowed. (MT 567 C5). (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00418
- *Error Text:* Invalid message contents for StatusCashAmount.

**C29 StatusQuantityOrStatusCashAmount2Rule**

(Rule)

If StatusCashAmount is present, then StatusQuantity is not allowed. (MT 567 C5). (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00414
- *Error Text:* Invalid message content for StatusQuantity

**C30 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.

## 13.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 13.4.1 InstructionCancellationRequestIdentification <InstrCxlReqId>

*Presence:* [0..1]

*Definition:* Identification of a related instruction cancellation request document.

**InstructionCancellationRequestIdentification <InstrCxlReqId>** contains the following elements (see [DocumentIdentification17](#) on page 897 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		898

### 13.4.2 OtherDocumentIdentification <OthrDocId>

*Presence:* [0..\*]

*Definition:* Identification of other documents as well as the document number.

**OtherDocumentIdentification <OthrDocId>** contains the following elements (see [DocumentIdentification34](#) on page 894 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			894
{Or	AccountServicerDocumentIdentification <AcctSvcrDocId>	[1..1]	Text		895
Or}	AccountOwnerDocumentIdentification <AcctOwnrDocId>	[1..1]	Text		895
	DocumentNumber <DocNb>	[0..1]	±	C6	895

## 13.4.3 CorporateActionGeneralInformation <CorpActnGnlInf>

*Presence:* [1..1]

*Definition:* General information about the corporate action event.

*Impacted by:* [C15 EventTypeRule](#), [C20 OfficialCorporateActionEventReference](#)

**CorporateActionGeneralInformation <CorpActnGnlInf>** contains the following **CorporateActionGeneralInformation158** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CorporateActionEventIdentification</b> <CorpActnEvtld>	[1..1]	Text		788
	<b>OfficialCorporateActionEventIdentification</b> <OffclCorpActnEvtld>	[0..1]	Text		788
	<b>ClassActionNumber</b> <ClsActnNb>	[0..1]	Text		789
	<b>EventType</b> <EvtTp>	[1..1]	±	C16	789

### Constraints

- **EventTypeRule**

(Rule)

EventType/Code OTHR must only be used in case no other corporate action event code is appropriate.

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

EventType/Code REDM must only be used when the redemption is decided by the issuer and not by the securities holders.

- **OfficialCorporateActionEventReference**

(Rule)

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

available in the SMPG Global Market Practices Part 1 document on [www.smpg.info](http://www.smpg.info).

### 13.4.3.1 CorporateActionEventIdentification <CorpActnEvtld>

*Presence:* [1..1]

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

*Datatype:* [RestrictedFINXMax16Text on page 1352](#)

### 13.4.3.2 OfficialCorporateActionEventIdentification <OffclCorpActnEvtld>

*Presence:* [0..1]

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

*Datatype:* [RestrictedFINXMax16Text on page 1352](#)

### 13.4.3.3 ClassActionNumber <ClssActnNb>

*Presence:* [0..1]

*Definition:* Reference assigned by a court to a class action.

*Datatype:* [RestrictedFINXMax16Text on page 1352](#)

### 13.4.3.4 EventType <EvtTp>

*Presence:* [1..1]

*Definition:* Type of corporate action event.

*Impacted by:* [C16 EventTypeRule](#)

**EventType <EvtTp>** contains one of the following elements (see [CorporateActionEventType103Choice on page 964](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		965
Or}	Proprietary <Prtry>	[1..1]	±		971

#### Constraints

- **EventTypeRule**

(Rule)

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

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

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

## 13.4.4 InstructionCancellationRequestStatus <InstrCxlReqSts>

*Presence:* [1..\*]

*Definition:* Provides information about the processing status of the instruction cancellation request.

**InstructionCancellationRequestStatus <InstrCxlReqSts>** contains one of the following **InstructionCancellationRequestStatus16Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>CancellationCompleted</b> <CxlCmpltd>	[1..1]	±		790
Or	<b>Accepted</b> <Accptd>	[1..1]	±		790
Or	<b>Rejected</b> <Rjctd>	[1..1]	±		790
Or	<b>PendingCancellation</b> <PdgCxl>	[1..1]	±		791
Or}	<b>ProprietaryStatus</b> <PrtrySts>	[1..1]	±		791

#### 13.4.4.1 CancellationCompleted <CxlCmpltd>

*Presence:* [1..1]

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

**CancellationCompleted <CxlCmpltd>** contains one of the following elements (see [CancelledStatus14Choice](#) on page 1250 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		1250
Or}	Reason <Rsn>	[1..*]		C4	1251
	ReasonCode <RsnCd>	[1..1]			1251
{Or	Code <Cd>	[1..1]	CodeSet		1251
Or}	Proprietary <Prtry>	[1..1]	±		1251
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		1252

#### 13.4.4.2 Accepted <Accptd>

*Presence:* [1..1]

*Definition:* Provides status information related to a cancellation request accepted for further processing.

**Accepted <Accptd>** contains the following elements (see [NoSpecifiedReason1](#) on page 1230 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		1230

#### 13.4.4.3 Rejected <Rjctd>

*Presence:* [1..1]

*Definition:* Provides status information related to a cancellation request rejected for further processing due to system (data) reasons.

**Rejected <Rjctd>** contains one of the following elements (see [RejectedStatus54Choice](#) on page 1230 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		1231
Or}	Reason <Rsn>	[1..*]		C5	1231
	ReasonCode <RsnCd>	[1..1]			1231
{Or	Code <Cd>	[1..1]	CodeSet		1232
Or}	Proprietary <Prtry>	[1..1]	±		1232
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		1233

#### 13.4.4.4 PendingCancellation <PdgCxl>

*Presence:* [1..1]

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

**PendingCancellation <PdgCxl>** contains one of the following elements (see [PendingCancellationStatus8Choice](#) on page 1248 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NotSpecifiedReason <NotSpdfdRsn>	[1..1]	CodeSet		1248
Or}	Reason <Rsn>	[1..*]		C1, C6	1248
	ReasonCode <RsnCd>	[1..1]			1249
{Or	Code <Cd>	[1..1]	CodeSet		1249
Or}	Proprietary <Prtry>	[1..1]	±		1250
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		1250

#### 13.4.4.5 ProprietaryStatus <PrtrySts>

*Presence:* [1..1]

*Definition:* Proprietary status related to an instruction cancellation request.

**ProprietaryStatus <PrtrySts>** contains the following elements (see [ProprietaryStatusAndReason7](#) on page 1252 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ProprietaryStatus <PrtrySts>	[1..1]	±		1252
	ProprietaryReason <PrtryRsn>	[0..*]	±	C2	1252

### 13.4.5 CorporateActionInstruction <CorpActnInstr>

*Presence:* [0..1]

*Definition:* Information about the corporate action option.

Impacted by: C21 OptionNumberRule, C23 SafekeepingAccountOrBlockChainAddress1Rule, C24 SafekeepingAccountOrBlockChainAddress2Rule, C25 SafekeepingAccountOrBlockChainAddress3Rule, C26 SafekeepingPlaceRule, C28 StatusQuantityOrStatusCashAmount1Rule, C29 StatusQuantityOrStatusCashAmount2Rule

**CorporateActionInstruction <CorpActnInstr>** contains the following **CorporateActionOption201** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OptionNumber</b> <OptnNb>	[1..1]	±		794
	<b>OptionType</b> <OptnTp>	[1..1]	±		794
	<b>OptionFeatures</b> <OptnFeatrs>	[0..1]	±		794
	<b>AccountOwner</b> <AcctOwnr>	[0..1]	±		795
	<b>SafekeepingAccount</b> <SfkpgAcct>	[0..1]	Text		795
	<b>BlockChainAddressOrWallet</b> <BlckChainAdrOrWllt>	[0..1]	Text		795
	<b>CashAccount</b> <CshAcct>	[0..1]	±		795
	<b>SafekeepingPlace</b> <SfkpgPlc>	[0..1]	±		795
	<b>FinancialInstrumentIdentification</b> <FinInstrmld>	[0..1]	±	C12, C13, C18, C19, C22	796
	<b>TotalEligibleBalance</b> <TtlElgblBal>	[0..1]	±		797
	<b>InstructedBalance</b> <InstdBal>	[0..1]	±		798
	<b>UninstructedBalance</b> <UinstdBal>	[0..1]	±		798
	<b>ProtectBalance</b> <PrctBal>	[0..1]	±		798
	<b>StatusQuantity</b> <StsQty>	[0..1]	±		798
	<b>StatusCashAmount</b> <StsCshAmt>	[0..1]	Amount	C2, C11	799

**Constraints**

- **OptionNumberRule**

(Rule)

For differentiation between options, the OptionNumber rather than the OptionType must be used, for example, in the case where two or more offers can be described by the same corporate action option code. Therefore, the OptionNumber value must be different for each option.

- **SafekeepingAccountOrBlockChainAddress1Rule**

(Rule)

If SafekeepingAccount is present, BlockChainAddressOrWallet must be absent.

On Condition

/SafekeepingAccount is present

Following Must be True

/BlockChainAddressOrWallet Must be absent



*Error handling:*

- *Error severity:* Warning
- *Error Code:* X00558
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet.  
Only one of both may be present.

- **SafekeepingAccountOrBlockChainAddress2Rule**

(Rule)

If BlockchainAddressOrWallet is present, SafekeepingAccount must be absent.

On Condition  
    /BlockchainAddressOrWallet is present  
Following Must be True  
    /SafekeepingAccount Must be absent

*Error handling:*

- *Error severity:* Warning
- *Error Code:* X00559
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet.  
Only one of both may be present.

- **SafekeepingAccountOrBlockChainAddress3Rule**

(Rule)

Either SafekeepingAccount or BlockchainAddressOrWallet must be present but not both.

Following Must be True  
    /SafekeepingAccount Must be present  
Or     /BlockchainAddressOrWallet Must be present

*Error handling:*

- *Error severity:* Warning
- *Error Code:* X00576
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet.  
Only one of both must be present.

- **SafekeepingPlaceRule**

(Rule)

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

- **StatusQuantityOrStatusCashAmount1Rule**

(Rule)

If StatusQuantity is present, then StatusCashAmount is not allowed. (MT 567 C5).

On Condition  
    /StatusQuantity is present  
Following Must be True  
    /StatusCashAmount Must be absent

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00418
- *Error Text:* Invalid message contents for StatusCashAmount.

• **StatusQuantityOrStatusCashAmount2Rule**

(Rule)

If StatusCashAmount is present, then StatusQuantity is not allowed. (MT 567 C5).

```
On Condition
  /StatusCashAmount is present
Following Must be True
  /StatusQuantity Must be absent
```

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00414
- *Error Text:* Invalid message content for StatusQuantity

### 13.4.5.1 OptionNumber <OptnNb>

*Presence:* [1..1]

*Definition:* Number identifying the available corporate action options.

**OptionNumber <OptnNb>** contains one of the following elements (see [OptionNumber1Choice](#) on page 1078 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Number <Nb>	[1..1]	Text		1078
Or}	Code <Cd>	[1..1]	CodeSet		1078

### 13.4.5.2 OptionType <OptnTp>

*Presence:* [1..1]

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

**OptionType <OptnTp>** contains one of the following elements (see [CorporateActionOption42Choice](#) on page 962 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		963
Or}	Proprietary <Prtry>	[1..1]	±		964

### 13.4.5.3 OptionFeatures <OptnFeatrs>

*Presence:* [0..1]

*Definition:* Specifies the features that may apply to a corporate action option.

**OptionFeatures <OptnFeatrs>** contains one of the following elements (see [OptionFeaturesFormat27Choice](#) on page 1016 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1016
Or}	Proprietary <Prtry>	[1..1]	±		1017

#### 13.4.5.4 AccountOwner <AcctOwnr>

*Presence:* [0..1]

*Definition:* Party that owns the account.

**AccountOwner <AcctOwnr>** contains one of the following elements (see [PartyIdentification136Choice](#) on page 1091 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1091
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1091

#### 13.4.5.5 SafekeepingAccount <SfkpgAcct>

*Presence:* [0..1]

*Definition:* Account where financial instruments are maintained.

*Datatype:* [RestrictedFINXMax35Text](#) on page 1354

#### 13.4.5.6 BlockchainAddressOrWallet <BlckChainAdrOrWlIt>

*Presence:* [0..1]

*Definition:* Blockchain address or wallet where digital assets are maintained. This is the equivalent of safekeeping account for digital assets.

*Datatype:* [RestrictedFINXMax140Text](#) on page 1352

#### 13.4.5.7 CashAccount <CshAcct>

*Presence:* [0..1]

*Definition:* Account on which a securities entry is made.

**CashAccount <CshAcct>** contains one of the following elements (see [CashAccountIdentification6Choice](#) on page 868 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IBAN <IBAN>	[1..1]	IdentifierSet	C18	868
Or}	Proprietary <Prtry>	[1..1]	Text		869

#### 13.4.5.8 SafekeepingPlace <SfkpgPlc>

*Presence:* [0..1]

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

**SafekeepingPlace <SfkpgPlc>** contains one of the following elements (see [SafekeepingPlaceFormat32Choice](#) on page 1216 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]	±		1216
Or	Country <Ctry>	[1..1]	CodeSet	C3	1216
Or	TypeAndIdentification <TpAndId>	[1..1]			1217
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		1217
	Identification <Id>	[1..1]	IdentifierSet	C1	1217
Or}	Proprietary <Prtry>	[1..1]	±		1218

### 13.4.5.9 FinancialInstrumentIdentification <FinInstrmId>

*Presence:* [0..1]

*Definition:* Identifies the financial instrument.

*Impacted by:* [C12 DescriptionPresenceRule](#), [C13 DescriptionUsageRule](#), [C18 ISINGuideline](#), [C19 ISINPresenceRule](#), [C22 OtherIdentificationPresenceRule](#)

**FinancialInstrumentIdentification <FinInstrmId>** contains the following elements (see [SecurityIdentification20](#) on page 904 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		906
	OtherIdentification <OthrId>	[0..*]			906
	Identification <Id>	[1..1]	Text		906
	Suffix <Sfx>	[0..1]	Text		906
	Type <Tp>	[1..1]	±		906
	Description <Desc>	[0..1]	Text		907

#### 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 a ISIN code exist. 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.

### 13.4.5.10 TotalEligibleBalance <TtElgBlBal>

*Presence:* [0..1]

*Definition:* Total balance of securities eligible for this corporate action event. The entitlement calculation is based on this balance.

**TotalEligibleBalance <TtlElgblBal>** contains the following elements (see [SignedQuantityFormat12](#) on page 1137 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1137
	QuantityChoice <QtyChc>	[1..1]	±		1137

### 13.4.5.11 InstructedBalance <InstdBal>

*Presence:* [0..1]

*Definition:* Balance of instructed position.

**InstructedBalance <InstdBal>** contains the following elements (see [SignedQuantityFormat12](#) on page 1137 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1137
	QuantityChoice <QtyChc>	[1..1]	±		1137

### 13.4.5.12 UninstructedBalance <UinstdBal>

*Presence:* [0..1]

*Definition:* Balance of uninstructed position.

**UninstructedBalance <UinstdBal>** contains the following elements (see [SignedQuantityFormat12](#) on page 1137 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1137
	QuantityChoice <QtyChc>	[1..1]	±		1137

### 13.4.5.13 ProtectBalance <PrctcBal>

*Presence:* [0..1]

*Definition:* Balance of securities which are in protect status in a CSD operating a protect cover service.

**ProtectBalance <PrctcBal>** contains the following elements (see [SignedQuantityFormat12](#) on page 1137 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1137
	QuantityChoice <QtyChc>	[1..1]	±		1137

### 13.4.5.14 StatusQuantity <StsQty>

*Presence:* [0..1]

*Definition:* Quantity of securities that has been assigned the status indicated.

**StatusQuantity <StsQty>** contains one of the following elements (see [Quantity54Choice](#) on page 1145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±	C14	1146
Or}	OriginalAndCurrentFace <OrgnlAndCurFace>	[1..1]	±		1146

### 13.4.5.15 StatusCashAmount <StsCshAmt>

*Presence:* [0..1]

*Definition:* Amount of cash subscribed that has been assigned the status indicated.

*Impacted by:* [C2 ActiveCurrency](#) \_\_, [C11 CurrencyAmount](#) \_\_

*Datatype:* [RestrictedFINActiveCurrencyAndAmount](#) on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

### 13.4.6 ProtectInstruction <PrtctInstr>

*Presence:* [0..1]

*Definition:* Provides detailed information on protect and cover protect instructions.

**ProtectInstruction <PrctInstr>** contains the following **ProtectInstruction8** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TransactionType</b> <TxTp>	[1..1]	CodeSet		800
	<b>ProtectTransactionStatus</b> <PrctTxSts>	[0..1]	CodeSet		800
	<b>TransactionIdentification</b> <TxId>	[0..1]	Text		800
	<b>ProtectDate</b> <PrctDt>	[0..1]	Date		800
	<b>UncoveredProtectQuantity</b> <UcvrdPrctQty>	[0..1]	±		800

### 13.4.6.1 TransactionType <TxTp>

*Presence:* [1..1]

*Definition:* Indicates whether the instruction is a protect or a cover protect instruction.

*Datatype:* [ProtectTransactionType3Code](#) on page 1333

CodeName	Name	Definition
PROT	ProtectTransaction	Reorganisation is a protect transaction type.

### 13.4.6.2 ProtectTransactionStatus <PrctTxSts>

*Presence:* [0..1]

*Definition:* Status of the protect transaction.

*Datatype:* [ProtectInstructionStatus4Code](#) on page 1333

CodeName	Name	Definition
OPEN	Open	Protect instruction which has not been fully covered. Will include partial covers.

### 13.4.6.3 TransactionIdentification <TxId>

*Presence:* [0..1]

*Definition:* Unique reference of the protect transaction assigned by the depository and used for cover protect validation.

*Datatype:* [RestrictedFINMax15Text](#) on page 1350

### 13.4.6.4 ProtectDate <PrctDt>

*Presence:* [0..1]

*Definition:* Date at which the protect instruction was created and used for cover protect validation.

*Datatype:* [ISODate](#) on page 1342

### 13.4.6.5 UncoveredProtectQuantity <UcvrdPrctQty>

*Presence:* [0..1]

*Definition:* Remaining quantity of protect instruction which has not been covered.



**UncoveredProtectQuantity <UcvrdPrctQty>** contains one of the following elements (see [FinancialInstrumentQuantity31Choice](#) on page 939 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		939
Or}	FaceAmount <FaceAmt>	[1..1]	Amount		939

### 13.4.7 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Provides additional information.

**AdditionalInformation <AddtlInf>** contains the following **CorporateActionNarrative19** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AdditionalText</b> <AddtlTxt>	[0..*]	Text		801
	<b>PartyContactNarrative</b> <PtyCtctNrrtv>	[0..*]	Text		801

#### 13.4.7.1 AdditionalText <AddtlTxt>

*Presence:* [0..\*]

*Definition:* Provides additional information or specifies in more detail the content of a message. This field may only be used when the information to be transmitted, cannot be coded.

*Datatype:* [RestrictedFINXMax350Text](#) on page 1354

#### 13.4.7.2 PartyContactNarrative <PtyCtctNrrtv>

*Presence:* [0..\*]

*Definition:* Provides additional information regarding the party, for example, the contact unit or person responsible for the transaction identified in the message.

*Datatype:* [RestrictedFINXMax350Text](#) on page 1354

### 13.4.8 SupplementaryData <SplmtryData>

*Presence:* [0..\*]

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

*Impacted by:* [C30 SupplementaryDataRule](#)

**SupplementaryData <SplmtryData>** contains the following elements (see [SupplementaryData1](#) on page 1077 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		1077
	Envelope <Envlp>	[1..1]	(External Schema)		1078

## 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.

# 14 **MX seev.042.002.11**

## **CorporateActionInstructionStatementReport002V11**

### 14.1 **MessageDefinition Functionality**

#### Scope

The CorporateActionInstructionStatementReport message is sent by an account servicer to an account owner or its designated agent to report balances at the safekeeping account level for one or more corporate action events or at the corporate action event level for one or more safekeeping accounts.

#### Usage

The message may also be used to:

- re-send a message previously sent (the sub-function of the message is Duplicate),
- provide a third party with a copy of a message for information (the sub-function of the message is Copy),
- re-send to a third party a copy of a message for information (the sub-function of the message is Copy Duplicate), using the relevant elements in the business application header (BAH).

#### Outline

The CorporateActionInstructionStatementReport002V11 MessageDefinition is composed of 4 MessageBuildingBlocks:

##### A. 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.

##### B. StatementGeneralDetails

General characteristics related to a statement which reports information.

##### C. AccountAndStatementDetails

Account information and detailed account holdings information report for corporate action events.

##### D. SupplementaryData

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

## 14.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <CorpActnInstrStmntRpt>	[1..1]		C7, C15	
	<b>Pagination</b> <Pgntn>	[1..1]	±		810
	<b>StatementGeneralDetails</b> <StmntGnlDtls>	[1..1]	±		811
	<b>AccountAndStatementDetails</b> <AcctAndStmntDtls>	[1..*]		C17, C18, C19, C20	811
	<b>SafekeepingAccount</b> <SfkpgAcct>	[0..1]	Text		815
	<b>BlockChainAddressOrWallet</b> <BlckChainAdrOrWllt>	[0..1]	Text		816
	<b>AccountOwner</b> <AcctOwnr>	[0..1]	±		816
	<b>SafekeepingPlace</b> <SfkpgPlc>	[0..1]	±		816
	<b>CorporateActionEventAndBalance</b> <CorpActnEvtAndBal>	[0..*]			816
	<b>GeneralInformation</b> <GnlInf>	[1..1]			819
	<b>CorporateActionEventIdentification</b> <CorpActnEvtId>	[1..1]	Text		820
	<b>OfficialCorporateActionEventIdentification</b> <OffclCorpActnEvtId>	[0..1]	Text		820
	<b>EventType</b> <EvtTp>	[1..1]	±	C12	820
	<b>MandatoryVoluntaryEventType</b> <MndtryVlntryEvtTp>	[1..1]	±		821
	<b>LastNotificationIdentification</b> <LastNtfctnId>	[0..1]			821
	<b>Identification</b> <Id>	[1..1]	Text		821
	<b>CreationDateTime</b> <CreDtTm>	[0..1]	±		821
	<b>UnderlyingSecurity</b> <UndrlygScty>	[1..1]	±	C9, C10, C13, C14, C16	822
	<b>Balance</b> <Bal>	[0..1]			823
	<b>TotalEligibleBalance</b> <TtlElgblBal>	[1..1]	±		826
	<b>UninstructedBalance</b> <UinstdBal>	[1..1]	±		826
	<b>TotalInstructedBalanceDetails</b> <TtlInstdBalDtls>	[1..1]			826
	<b>TotalInstructedBalance</b> <TtlInstdBal>	[1..1]	±		828
	<b>TotalAcceptedInstructionBalance</b> <TtlAcptdInstrBal>	[0..1]	±		828
	<b>TotalCancelledInstructionBalance</b> <TtlCanclInstrBal>	[0..1]	±		829
	<b>TotalPendingInstructionBalance</b> <TtlPdgInstrBal>	[0..1]	±		829

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TotalRejectedInstructionBalance</b> <TtlRjctdInstrBal>	[0..1]	±		829
	<b>TotalProtectInstructionBalance</b> <TtlPrctInstrBal>	[0..1]	±		829
	<b>OptionDetails</b> <OptnDtls>	[0..*]			830
	<b>OptionNumber</b> <OptnNb>	[0..1]	Text		832
	<b>OptionType</b> <OptnTp>	[1..1]	±		832
	<b>InstructedBalance</b> <InstdBal>	[1..1]	±		832
	<b>DefaultAction</b> <DfltActn>	[0..1]	±		832
	<b>OptionAcceptedInstructedBalance</b> <OptnAccptdInstdBal>	[0..1]	±		833
	<b>OptionCancelledInstructionBalance</b> <OptnCanclInstrBal>	[0..1]	±		833
	<b>OptionPendingInstructionBalance</b> <OptnPdgInstrBal>	[0..1]	±		833
	<b>OptionRejectedInstructionBalance</b> <OptnRjctdInstrBal>	[0..1]	±		833
	<b>OptionProtectInstructionBalance</b> <OptnPrctInstrBal>	[0..1]	±		834
	<b>EventDeadlines</b> <EvtDdlns>	[1..1]			834
	<b>EarlyResponseDeadline</b> <EarlyRspnDdln>	[0..1]	±		834
	<b>ResponseDeadline</b> <RspnDdln>	[0..1]	±		835
	<b>MarketDeadline</b> <MktDdln>	[0..1]	±		835
	<b>ProtectDeadline</b> <PrctDdln>	[0..1]	±		836
	<b>CoverProtectDeadline</b> <CoverPrctDdln>	[0..1]	±		836
	<b>OptionInstructionDetails</b> <OptnInstrDtls>	[0..*]			836
	<b>InstructionIdentification</b> <InstrId>	[1..1]	Text		837
	<b>InstructionSequenceNumber</b> <InstrSeqNb>	[0..1]	Text		837
	<b>ProtectIndicator</b> <PrctInd>	[0..1]	CodeSet		837
	<b>InstructionQuantity</b> <InstrQty>	[1..1]	±	C11	838
	<b>InstructionDate</b> <InstrDt>	[1..1]	Date		838
	<b>ProtectDate</b> <PrctDt>	[0..1]	Date		838
	<b>CoverProtectDate</b> <CoverPrctDt>	[0..1]	Date		838
	<b>BidPrice</b> <BidPric>	[0..1]	±		839
	<b>ConditionalQuantity</b> <CondlQty>	[0..1]	±	C11	839
	<b>CustomerReference</b> <CstmrRef>	[0..1]	Text		839
	<b>InstructionNarrative</b> <InstrNrrtv>	[0..1]	Text		839
	<b>InstructionStatus</b> <InstrSts>	[1..1]			840

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Accepted</b> <Accptd>	[1..1]	±		840
Or	<b>Cancelled</b> <Canc>	[1..1]	±		840
Or	<b>AcceptedForFurtherProcessing</b> <AccptdForFrthrPrcg>	[1..1]	±		841
Or	<b>Rejected</b> <Rjctd>	[1..1]	±		841
Or	<b>Pending</b> <Pdg>	[1..1]	±		841
Or	<b>PendingCancellation</b> <PdgCxl>	[1..1]	±		842
Or	<b>Covered</b> <Cvrd>	[1..1]	±		842
Or}	<b>Uncovered</b> <Ucvrd>	[1..1]	±		842
	<b>BlockedBalance</b> <BlckdBal>	[0..1]	±		842
	<b>BorrowedBalance</b> <BrrwdBal>	[0..1]	±		843
	<b>CollateralInBalance</b> <CollInBal>	[0..1]	±		843
	<b>CollateralOutBalance</b> <CollOutBal>	[0..1]	±		843
	<b>OnLoanBalance</b> <OnLnBal>	[0..1]	±		843
	<b>OutForRegistrationBalance</b> <OutForRegnBal>	[0..1]	±		844
	<b>SettlementPositionBalance</b> <SttlmPosBal>	[0..1]	±		844
	<b>StreetPositionBalance</b> <StrtPosBal>	[0..1]	±		844
	<b>TradeDatePositionBalance</b> <TradDtPosBal>	[0..1]	±		845
	<b>InTransshipmentBalance</b> <InTrnsShpmtBal>	[0..1]	±		845
	<b>RegisteredBalance</b> <RegdBal>	[0..1]	±		845
	<b>ObligatedBalance</b> <OblgtdBal>	[0..1]	±		845
	<b>PendingDeliveryBalance</b> <PdgDlvryBal>	[0..*]			846
	<b>Balance</b> <Bal>	[1..1]	±		846
	<b>PendingTransactions</b> <PdgTxS>	[0..*]	±		846
	<b>PendingReceiptBalance</b> <PdgRctBal>	[0..*]			846
	<b>Balance</b> <Bal>	[1..1]	±		847
	<b>PendingTransactions</b> <PdgTxS>	[0..*]	±		847
	<b>SupplementaryData</b> <SplmtryData>	[0..*]	±	C21	847
	<b>SupplementaryData</b> <SplmtryData>	[0..*]	±	C21	848

## 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 AccountServicerDeadlineMissedGuideline**

(Rule)

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

**C2 ActiveCurrency**

(Rule)

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

(Rule)

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

**C4 AdditionalReasonInformationRule**

(Rule)

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

**C5 AdditionalReasonInformationRule**

(Rule)

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

**C6 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.

**C7 CorporateActionEventAndBalanceRule**

(Rule)

If StatementGeneralDetails/ActivityIndicator is 'true' or '1' (Yes) then at least one occurrence of AccountAndStatementDetails/CorporateActionEventAndBalance must be present.

If StatementGeneralDetails/ActivityIndicator is 'false' or '0' (No) then AccountAndStatementDetails/CorporateActionEventAndBalance must not be present in any occurrences of AccountAndStatementDetails.

*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 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.

## **C10 DescriptionUsageRule**

(Rule)

Description must be used alone as the last resort.

## **C11 DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

## **C12 EventTypeRule**

(Rule)

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

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



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

**C13 ISINGuideline**

(Rule)

When a ISIN code exist. It is strongly recommended that the ISIN be used.

**C14 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.

**C15 MultipleAccountAndStatementDetailsRule**

(Rule)

If StatementGeneralDetails/ReportingType is MASE (Multiple Accounts) then AccountAndStatementDetails may be repeated and AccountAndStatementDetails/CorporateActionEventAndBalance must not be repeated in any occurrences of AccountAndStatementDetails.

If StatementGeneralDetails/ReportingType is SAME (Multiple Events) then AccountAndStatementDetails must not be repeated, and AccountAndStatementDetails/CorporateActionEventAndBalance may be repeated.

*This constraint is defined at the MessageDefinition level.*

**C16 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.

**C17 SafekeepingAccountOrBlockChainAddress1Rule**

(Rule)

Either SafekeepingAccount or BlockChainAddressOrWallet must be present but not both. (CrossElementSimpleRule)

*Error handling:*

- *Error severity:* Warning
- *Error Code:* X00560

- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

#### **C18 SafekeepingAccountOrBlockChainAddress2Rule**

(Rule)

If BlockchainAddressOrWallet is present then SafekeepingAccount must be absent. (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00577
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

#### **C19 SafekeepingAccountOrBlockChainAddress3Rule**

(Rule)

If SafekeepingAccount is present, then BlockchainAddressOrWallet must be absent. (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00578
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

#### **C20 SafekeepingPlaceRule**

(Rule)

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

#### **C21 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.

## **14.4 Message Building Blocks**

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### **14.4.1 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 [Pagination1](#) on page 1018 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		1018
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		1018

## 14.4.2 StatementGeneralDetails <StmtGnIDtls>

*Presence:* [1..1]

*Definition:* General characteristics related to a statement which reports information.

**StatementGeneralDetails <StmtGnIDtls>** contains the following elements (see [Statement75](#) on page 959 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	StatementType <StmtTp>	[1..1]	CodeSet		959
	ReportingType <RptgTp>	[1..1]	CodeSet		959
	StatementIdentification <Stmtd>	[1..1]	Text		960
	InstructionAggregationPeriod <InstrAggtnPrd>	[0..1]	±		960
	ReportNumber <RptNb>	[0..1]	Text		960
	StatementDateTime <StmtdtTm>	[1..1]	±		960
	Frequency <Frqcy>	[1..1]	±		960
	UpdateType <UpdTp>	[1..1]	±		961
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		961
	NotificationDeadlinePeriod <NtftcnDdlnPrd>	[0..1]	±		961

## 14.4.3 AccountAndStatementDetails <AcctAndStmtDtls>

*Presence:* [1..\*]

*Definition:* Account information and detailed account holdings information report for corporate action events.

*Impacted by:* [C17 SafekeepingAccountOrBlockChainAddress1Rule](#) \_\_\_\_, [C18 SafekeepingAccountOrBlockChainAddress2Rule](#) \_\_\_\_, [C19 SafekeepingAccountOrBlockChainAddress3Rule](#) \_\_\_\_, [C20 SafekeepingPlaceRule](#)

**AccountAndStatementDetails <AcctAndStmntDtls>** contains the following **AccountIdentification63** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>SafekeepingAccount</b> <SfkpgAcct>	[0..1]	Text		815
	<b>BlockChainAddressOrWallet</b> <BlckChainAdrOrWllt>	[0..1]	Text		816
	<b>AccountOwner</b> <AcctOwnr>	[0..1]	±		816
	<b>SafekeepingPlace</b> <SfkpgPlc>	[0..1]	±		816
	<b>CorporateActionEventAndBalance</b> <CorpActnEvtAndBal>	[0..*]			816
	<b>GeneralInformation</b> <GnlInf>	[1..1]			819
	<b>CorporateActionEventIdentification</b> <CorpActnEvtId>	[1..1]	Text		820
	<b>OfficialCorporateActionEventIdentification</b> <OffclCorpActnEvtId>	[0..1]	Text		820
	<b>EventType</b> <EvtTp>	[1..1]	±	C12	820
	<b>MandatoryVoluntaryEventType</b> <MndtryVlntryEvtTp>	[1..1]	±		821
	<b>LastNotificationIdentification</b> <LastNtfctnId>	[0..1]			821
	<b>Identification</b> <Id>	[1..1]	Text		821
	<b>CreationDateTime</b> <CreDtTm>	[0..1]	±		821
	<b>UnderlyingSecurity</b> <UndrlygScty>	[1..1]	±	C9, C10, C13, C14, C16	822
	<b>Balance</b> <Bal>	[0..1]			823
	<b>TotalEligibleBalance</b> <TtlElgblBal>	[1..1]	±		826
	<b>UninstructedBalance</b> <UinstdBal>	[1..1]	±		826
	<b>TotalInstructedBalanceDetails</b> <TtlInstdBalDtls>	[1..1]			826
	<b>TotalInstructedBalance</b> <TtlInstdBal>	[1..1]	±		828
	<b>TotalAcceptedInstructionBalance</b> <TtlAccptdInstrBal>	[0..1]	±		828
	<b>TotalCancelledInstructionBalance</b> <TtlCanclInstrBal>	[0..1]	±		829
	<b>TotalPendingInstructionBalance</b> <TtlPdgInstrBal>	[0..1]	±		829
	<b>TotalRejectedInstructionBalance</b> <TtlRjctdInstrBal>	[0..1]	±		829
	<b>TotalProtectInstructionBalance</b> <TtlPrctInstrBal>	[0..1]	±		829
	<b>OptionDetails</b> <OptnDtls>	[0..*]			830
	<b>OptionNumber</b> <OptnNb>	[0..1]	Text		832

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OptionType</b> <OptnTp>	[1..1]	±		832
	<b>InstructedBalance</b> <InstdBal>	[1..1]	±		832
	<b>DefaultAction</b> <DfltActn>	[0..1]	±		832
	<b>OptionAcceptedInstructedBalance</b> <OptnAccptdInstdBal>	[0..1]	±		833
	<b>OptionCancelledInstructionBalance</b> <OptnCanclInstrBal>	[0..1]	±		833
	<b>OptionPendingInstructionBalance</b> <OptnPdgInstrBal>	[0..1]	±		833
	<b>OptionRejectedInstructionBalance</b> <OptnRjctdInstrBal>	[0..1]	±		833
	<b>OptionProtectInstructionBalance</b> <OptnPrtctInstrBal>	[0..1]	±		834
	<b>EventDeadlines</b> <EvtDdlns>	[1..1]			834
	<b>EarlyResponseDeadline</b> <EarlyRspnDdln>	[0..1]	±		834
	<b>ResponseDeadline</b> <RspnDdln>	[0..1]	±		835
	<b>MarketDeadline</b> <MktDdln>	[0..1]	±		835
	<b>ProtectDeadline</b> <PrtctDdln>	[0..1]	±		836
	<b>CoverProtectDeadline</b> <CoverPrtctDdln>	[0..1]	±		836
	<b>OptionInstructionDetails</b> <OptnInstrDtls>	[0..*]			836
	<b>InstructionIdentification</b> <InstrId>	[1..1]	Text		837
	<b>InstructionSequenceNumber</b> <InstrSeqNb>	[0..1]	Text		837
	<b>ProtectIndicator</b> <PrtctInd>	[0..1]	CodeSet		837
	<b>InstructionQuantity</b> <InstrQty>	[1..1]	±	C11	838
	<b>InstructionDate</b> <InstrDt>	[1..1]	Date		838
	<b>ProtectDate</b> <PrtctDt>	[0..1]	Date		838
	<b>CoverProtectDate</b> <CoverPrtctDt>	[0..1]	Date		838
	<b>BidPrice</b> <BidPric>	[0..1]	±		839
	<b>ConditionalQuantity</b> <CondlQty>	[0..1]	±	C11	839
	<b>CustomerReference</b> <CstmrRef>	[0..1]	Text		839
	<b>InstructionNarrative</b> <InstrNrrtv>	[0..1]	Text		839
	<b>InstructionStatus</b> <InstrSts>	[1..1]			840
{Or	<b>Accepted</b> <Acceptd>	[1..1]	±		840
Or	<b>Cancelled</b> <Canc>	[1..1]	±		840

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
Or	<b>AcceptedForFurtherProcessing</b> <AccptdForFrthrPrcg>	[1..1]	±		841
Or	<b>Rejected</b> <Rjctd>	[1..1]	±		841
Or	<b>Pending</b> <Pdg>	[1..1]	±		841
Or	<b>PendingCancellation</b> <PdgCxl>	[1..1]	±		842
Or	<b>Covered</b> <Cvrd>	[1..1]	±		842
Or}	<b>Uncovered</b> <Ucvrd>	[1..1]	±		842
	<b>BlockedBalance</b> <BlckdBal>	[0..1]	±		842
	<b>BorrowedBalance</b> <BrrwdBal>	[0..1]	±		843
	<b>CollateralInBalance</b> <CollInBal>	[0..1]	±		843
	<b>CollateralOutBalance</b> <CollOutBal>	[0..1]	±		843
	<b>OnLoanBalance</b> <OnLnBal>	[0..1]	±		843
	<b>OutForRegistrationBalance</b> <OutForRegnBal>	[0..1]	±		844
	<b>SettlementPositionBalance</b> <SttlmPosBal>	[0..1]	±		844
	<b>StreetPositionBalance</b> <StrtPosBal>	[0..1]	±		844
	<b>TradeDatePositionBalance</b> <TradDtPosBal>	[0..1]	±		845
	<b>InTransshipmentBalance</b> <InTrnsShipmntBal>	[0..1]	±		845
	<b>RegisteredBalance</b> <RegdBal>	[0..1]	±		845
	<b>ObligatedBalance</b> <OblgtdBal>	[0..1]	±		845
	<b>PendingDeliveryBalance</b> <PdgDivryBal>	[0..*]			846
	<b>Balance</b> <Bal>	[1..1]	±		846
	<b>PendingTransactions</b> <PdgTx>	[0..*]	±		846
	<b>PendingReceiptBalance</b> <PdgRctBal>	[0..*]			846
	<b>Balance</b> <Bal>	[1..1]	±		847
	<b>PendingTransactions</b> <PdgTx>	[0..*]	±		847
	<b>SupplementaryData</b> <SplmtryData>	[0..*]	±	C21	847

**Constraints**

- **SafekeepingAccountOrBlockChainAddress1Rule**

(Rule)

Either SafekeepingAccount or BlockChainAddressOrWallet must be present but not both.

Following Must be True

    /SafekeepingAccount Must be present

Or     /BlockChainAddressOrWallet Must be present

*Error handling:*

- *Error severity:* Warning
- *Error Code:* X00560
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

- **SafekeepingAccountOrBlockChainAddress2Rule**

(Rule)

If BlockchainAddressOrWallet is present then SafekeepingAccount must be absent.

On Condition  
    /BlockchainAddressOrWallet is present  
Following Must be True  
    /SafekeepingAccount Must be absent

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00577
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

- **SafekeepingAccountOrBlockChainAddress3Rule**

(Rule)

If SafekeepingAccount is present, then BlockchainAddressOrWallet must be absent.

On Condition  
    /SafekeepingAccount is present  
Following Must be True  
    /BlockchainAddressOrWallet Must be absent

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00578
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

- **SafekeepingPlaceRule**

(Rule)

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

### 14.4.3.1 SafekeepingAccount <SfkpgAcct>

*Presence:* [0..1]

*Definition:* Account where financial instruments are maintained.

*Datatype:* RestrictedFINXMax35Text on page 1354

### 14.4.3.2 BlockChainAddressOrWallet <BlickChainAdrOrWilt>

*Presence:* [0..1]

*Definition:* Blockchain address or wallet where digital assets are maintained. This is the equivalent of safekeeping account for digital assets.

*Datatype:* [RestrictedFINXMax140Text on page 1352](#)

### 14.4.3.3 AccountOwner <AcctOwnr>

*Presence:* [0..1]

*Definition:* Party that legally owns the account.

**AccountOwner <AcctOwnr>** contains one of the following elements (see [PartyIdentification136Choice on page 1091](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1091
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1091

### 14.4.3.4 SafekeepingPlace <SfkpgPlc>

*Presence:* [0..1]

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

**SafekeepingPlace <SfkpgPlc>** contains one of the following elements (see [SafekeepingPlaceFormat32Choice on page 1216](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]	±		1216
Or	Country <Ctry>	[1..1]	CodeSet	C3	1216
Or	TypeAndIdentification <TpAndId>	[1..1]			1217
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		1217
	Identification <Id>	[1..1]	IdentifierSet	C1	1217
Or}	Proprietary <Prtry>	[1..1]	±		1218

### 14.4.3.5 CorporateActionEventAndBalance <CorpActnEvtAndBal>

*Presence:* [0..\*]

*Definition:* Detailed account holdings information report for a corporate action event.



**CorporateActionEventAndBalance <CorpActnEvtAndBal>** contains the following  
**CorporateActionEventAndBalance23** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>GeneralInformation</b> <GnlInf>	[1..1]			819
	<b>CorporateActionEventIdentification</b> <CorpActnEvtId>	[1..1]	Text		820
	<b>OfficialCorporateActionEventIdentification</b> <OffclCorpActnEvtId>	[0..1]	Text		820
	<b>EventType</b> <EvtTp>	[1..1]	±	C12	820
	<b>MandatoryVoluntaryEventType</b> <MndtryVlntryEvtTp>	[1..1]	±		821
	<b>LastNotificationIdentification</b> <LastNtfctnId>	[0..1]			821
	<b>Identification</b> <Id>	[1..1]	Text		821
	<b>CreationDateTime</b> <CreDtTm>	[0..1]	±		821
	<b>UnderlyingSecurity</b> <UndrlygScty>	[1..1]	±	C9, C10, C13, C14, C16	822
	<b>Balance</b> <Bal>	[0..1]			823
	<b>TotalEligibleBalance</b> <TtlElgblBal>	[1..1]	±		826
	<b>UninstructedBalance</b> <UinstdBal>	[1..1]	±		826
	<b>TotalInstructedBalanceDetails</b> <TtlInstdBalDtls>	[1..1]			826
	<b>TotalInstructedBalance</b> <TtlInstdBal>	[1..1]	±		828
	<b>TotalAcceptedInstructionBalance</b> <TtlAccptdInstrBal>	[0..1]	±		828
	<b>TotalCancelledInstructionBalance</b> <TtlCanclInstrBal>	[0..1]	±		829
	<b>TotalPendingInstructionBalance</b> <TtlPdgInstrBal>	[0..1]	±		829
	<b>TotalRejectedInstructionBalance</b> <TtlRjctdInstrBal>	[0..1]	±		829
	<b>TotalProtectInstructionBalance</b> <TtlPrctInstrBal>	[0..1]	±		829
	<b>OptionDetails</b> <OptnDtls>	[0..*]			830
	<b>OptionNumber</b> <OptnNb>	[0..1]	Text		832
	<b>OptionType</b> <OptnTp>	[1..1]	±		832
	<b>InstructedBalance</b> <InstdBal>	[1..1]	±		832
	<b>DefaultAction</b> <DfltActn>	[0..1]	±		832
	<b>OptionAcceptedInstructedBalance</b> <OptnAccptdInstdBal>	[0..1]	±		833
	<b>OptionCancelledInstructionBalance</b> <OptnCanclInstrBal>	[0..1]	±		833

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OptionPendingInstructionBalance</b> <OptnPdgInstrBal>	[0..1]	±		833
	<b>OptionRejectedInstructionBalance</b> <OptnRjctdInstrBal>	[0..1]	±		833
	<b>OptionProtectInstructionBalance</b> <OptnPrtctInstrBal>	[0..1]	±		834
	<b>EventDeadlines</b> <EvtDdlns>	[1..1]			834
	<b>EarlyResponseDeadline</b> <EarlyRspnDdln>	[0..1]	±		834
	<b>ResponseDeadline</b> <RspnDdln>	[0..1]	±		835
	<b>MarketDeadline</b> <MktDdln>	[0..1]	±		835
	<b>ProtectDeadline</b> <PrtctDdln>	[0..1]	±		836
	<b>CoverProtectDeadline</b> <CoverPrtctDdln>	[0..1]	±		836
	<b>OptionInstructionDetails</b> <OptnInstrDtls>	[0..*]			836
	<b>InstructionIdentification</b> <InstrId>	[1..1]	Text		837
	<b>InstructionSequenceNumber</b> <InstrSeqNb>	[0..1]	Text		837
	<b>ProtectIndicator</b> <PrtctInd>	[0..1]	CodeSet		837
	<b>InstructionQuantity</b> <InstrQty>	[1..1]	±	C11	838
	<b>InstructionDate</b> <InstrDt>	[1..1]	Date		838
	<b>ProtectDate</b> <PrtctDt>	[0..1]	Date		838
	<b>CoverProtectDate</b> <CoverPrtctDt>	[0..1]	Date		838
	<b>BidPrice</b> <BidPric>	[0..1]	±		839
	<b>ConditionalQuantity</b> <CondiQty>	[0..1]	±	C11	839
	<b>CustomerReference</b> <CstmrRef>	[0..1]	Text		839
	<b>InstructionNarrative</b> <InstrNrrtv>	[0..1]	Text		839
	<b>InstructionStatus</b> <InstrSts>	[1..1]			840
{Or	<b>Accepted</b> <Accptd>	[1..1]	±		840
Or	<b>Cancelled</b> <Canc>	[1..1]	±		840
Or	<b>AcceptedForFurtherProcessing</b> <AccptdForFrthrPrcg>	[1..1]	±		841
Or	<b>Rejected</b> <Rjctd>	[1..1]	±		841
Or	<b>Pending</b> <Pdg>	[1..1]	±		841
Or	<b>PendingCancellation</b> <PdgCxl>	[1..1]	±		842
Or	<b>Covered</b> <Cvrd>	[1..1]	±		842
Or}	<b>Uncovered</b> <Ucvrd>	[1..1]	±		842

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>BlockedBalance</b> <BlckdBal>	[0..1]	±		842
	<b>BorrowedBalance</b> <BrrwdBal>	[0..1]	±		843
	<b>CollateralInBalance</b> <CollInBal>	[0..1]	±		843
	<b>CollateralOutBalance</b> <CollOutBal>	[0..1]	±		843
	<b>OnLoanBalance</b> <OnLnBal>	[0..1]	±		843
	<b>OutForRegistrationBalance</b> <OutForRegnBal>	[0..1]	±		844
	<b>SettlementPositionBalance</b> <SttlmPosBal>	[0..1]	±		844
	<b>StreetPositionBalance</b> <StrtPosBal>	[0..1]	±		844
	<b>TradeDatePositionBalance</b> <TradDtPosBal>	[0..1]	±		845
	<b>InTransshipmentBalance</b> <InTrnsShipmntBal>	[0..1]	±		845
	<b>RegisteredBalance</b> <RegdBal>	[0..1]	±		845
	<b>ObligatedBalance</b> <OblgtdBal>	[0..1]	±		845
	<b>PendingDeliveryBalance</b> <PdgDivryBal>	[0..*]			846
	<b>Balance</b> <Bal>	[1..1]	±		846
	<b>PendingTransactions</b> <PdgTxS>	[0..*]	±		846
	<b>PendingReceiptBalance</b> <PdgRctBal>	[0..*]			846
	<b>Balance</b> <Bal>	[1..1]	±		847
	<b>PendingTransactions</b> <PdgTxS>	[0..*]	±		847
	<b>SupplementaryData</b> <SplmtryData>	[0..*]	±	C21	847

#### 14.4.3.5.1 GeneralInformation <GnlInf>

*Presence:* [1..1]

*Definition:* Provides general information related to a corporate action event.

**GeneralInformation <GnlInf>** contains the following **EventInformation16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CorporateActionEventIdentification</b> <CorpActnEvtId>	[1..1]	Text		820
	<b>OfficialCorporateActionEventIdentification</b> <OffclCorpActnEvtId>	[0..1]	Text		820
	<b>EventType</b> <EvtTp>	[1..1]	±	C12	820
	<b>MandatoryVoluntaryEventType</b> <MndtryVlIntryEvtTp>	[1..1]	±		821
	<b>LastNotificationIdentification</b> <LastNtfctnId>	[0..1]			821
	<b>Identification</b> <Id>	[1..1]	Text		821
	<b>CreationDateTime</b> <CreDtTm>	[0..1]	±		821

#### 14.4.3.5.1.1 CorporateActionEventIdentification <CorpActnEvtId>

*Presence:* [1..1]

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

*Datatype:* [RestrictedFINXMax16Text on page 1352](#)

#### 14.4.3.5.1.2 OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>

*Presence:* [0..1]

*Definition:* Provides the reference of the linked official corporate action event.

*Datatype:* [RestrictedFINXMax16Text on page 1352](#)

#### 14.4.3.5.1.3 EventType <EvtTp>

*Presence:* [1..1]

*Definition:* Type of corporate action event.

*Impacted by:* [C12 EventTypeRule](#)

**EventType <EvtTp>** contains one of the following elements (see [CorporateActionEventType103Choice on page 964](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		965
Or}	Proprietary <Prtry>	[1..1]	±		971

#### Constraints

- **EventTypeRule**

(Rule)

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

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

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

#### 14.4.3.5.1.4 MandatoryVoluntaryEventType <MndtryVlntryEvtTp>

*Presence:* [1..1]

*Definition:* Specifies whether the event is mandatory, mandatory with options or voluntary.

**MandatoryVoluntaryEventType <MndtryVlntryEvtTp>** contains one of the following elements (see [CorporateActionMandatoryVoluntary4Choice](#) on page 1070 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1070
Or}	Proprietary <Prtry>	[1..1]	±		1070

#### 14.4.3.5.1.5 LastNotificationIdentification <LastNtfctnId>

*Presence:* [0..1]

*Definition:* Provides information about the identification of the last notification.

**LastNotificationIdentification <LastNtfctnId>** contains the following **NotificationIdentification6** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification</b> <Id>	[1..1]	Text		821
	<b>CreationDateTime</b> <CreDtTm>	[0..1]	±		821

##### 14.4.3.5.1.5.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique identifier of the last notification document (message) assigned by the sender of the document.

*Datatype:* [RestrictedFINXMax16Text](#) on page 1352

##### 14.4.3.5.1.5.2 CreationDateTime <CreDtTm>

*Presence:* [0..1]

*Definition:* Date and time at which the last notification document (message) was created by the sender.

**CreationDateTime <CreDtTm>** contains one of the following elements (see [DateAndDate2Choice](#) on page 887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		887
Or}	DateTime <DtTm>	[1..1]	DateTime		887

### 14.4.3.5.2 UnderlyingSecurity <UndrlygScty>

*Presence:* [1..1]

*Definition:* Security concerned by the corporate action.

*Impacted by:* C9 DescriptionPresenceRule , C10 DescriptionUsageRule, C13 ISINGuideline,  
C14 ISINPresenceRule , C16 OtherIdentificationPresenceRule

**UnderlyingSecurity <UndrlygScty>** contains the following elements (see [SecurityIdentification20](#) on page 904 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		906
	OtherIdentification <Othrlid>	[0..*]			906
	Identification <Id>	[1..1]	Text		906
	Suffix <Sfx>	[0..1]	Text		906
	Type <Tp>	[1..1]	±		906
	Description <Desc>	[0..1]	Text		907

#### 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 a ISIN code exist. 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.

#### 14.4.3.5.3 Balance <Bal>

*Presence:* [0..1]

*Definition:* Provides information about the balance related to a corporate action.

**Balance <Bal>** contains the following **CorporateActionBalance47** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TotalEligibleBalance</b> <TtlElgblBal>	[1..1]	±		826
	<b>UninstructedBalance</b> <UinstdBal>	[1..1]	±		826
	<b>TotalInstructedBalanceDetails</b> <TtlInstdBalDtls>	[1..1]			826
	<b>TotalInstructedBalance</b> <TtlInstdBal>	[1..1]	±		828
	<b>TotalAcceptedInstructionBalance</b> <TtlAccptdInstrBal>	[0..1]	±		828
	<b>TotalCancelledInstructionBalance</b> <TtlCanclInstrBal>	[0..1]	±		829
	<b>TotalPendingInstructionBalance</b> <TtlPdgInstrBal>	[0..1]	±		829
	<b>TotalRejectedInstructionBalance</b> <TtlRjctdInstrBal>	[0..1]	±		829
	<b>TotalProtectInstructionBalance</b> <TtlPrctInstrBal>	[0..1]	±		829
	<b>OptionDetails</b> <OptnDtls>	[0..*]			830
	<b>OptionNumber</b> <OptnNb>	[0..1]	Text		832
	<b>OptionType</b> <OptnTp>	[1..1]	±		832
	<b>InstructedBalance</b> <InstdBal>	[1..1]	±		832
	<b>DefaultAction</b> <DfltActn>	[0..1]	±		832
	<b>OptionAcceptedInstructedBalance</b> <OptnAccptdInstdBal>	[0..1]	±		833
	<b>OptionCancelledInstructionBalance</b> <OptnCanclInstrBal>	[0..1]	±		833
	<b>OptionPendingInstructionBalance</b> <OptnPdgInstrBal>	[0..1]	±		833
	<b>OptionRejectedInstructionBalance</b> <OptnRjctdInstrBal>	[0..1]	±		833
	<b>OptionProtectInstructionBalance</b> <OptnPrctInstrBal>	[0..1]	±		834
	<b>EventDeadlines</b> <EvtDdlns>	[1..1]			834
	<b>EarlyResponseDeadline</b> <EarlyRspnDdln>	[0..1]	±		834
	<b>ResponseDeadline</b> <RspnDdln>	[0..1]	±		835
	<b>MarketDeadline</b> <MktDdln>	[0..1]	±		835
	<b>ProtectDeadline</b> <PrctDdln>	[0..1]	±		836
	<b>CoverProtectDeadline</b> <CoverPrctDdln>	[0..1]	±		836
	<b>OptionInstructionDetails</b> <OptnInstrDtls>	[0..*]			836
	<b>InstructionIdentification</b> <InstrId>	[1..1]	Text		837
	<b>InstructionSequenceNumber</b> <InstrSeqNb>	[0..1]	Text		837
	<b>ProtectIndicator</b> <PrctInd>	[0..1]	CodeSet		837



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>InstructionQuantity</b> <InstrQty>	[1..1]	±	C11	838
	<b>InstructionDate</b> <InstrDt>	[1..1]	Date		838
	<b>ProtectDate</b> <PrctDt>	[0..1]	Date		838
	<b>CoverProtectDate</b> <CoverPrctDt>	[0..1]	Date		838
	<b>BidPrice</b> <BidPric>	[0..1]	±		839
	<b>ConditionalQuantity</b> <CondlQty>	[0..1]	±	C11	839
	<b>CustomerReference</b> <CstmrRef>	[0..1]	Text		839
	<b>InstructionNarrative</b> <InstrNrrtv>	[0..1]	Text		839
	<b>InstructionStatus</b> <InstrSts>	[1..1]			840
{Or	<b>Accepted</b> <Accptd>	[1..1]	±		840
Or	<b>Cancelled</b> <Canc>	[1..1]	±		840
Or	<b>AcceptedForFurtherProcessing</b> <AccptdForFrthrPrdg>	[1..1]	±		841
Or	<b>Rejected</b> <Rjctd>	[1..1]	±		841
Or	<b>Pending</b> <Pdg>	[1..1]	±		841
Or	<b>PendingCancellation</b> <PdgCxl>	[1..1]	±		842
Or	<b>Covered</b> <Cvrd>	[1..1]	±		842
Or}	<b>Uncovered</b> <Ucvrd>	[1..1]	±		842
	<b>BlockedBalance</b> <BlckdBal>	[0..1]	±		842
	<b>BorrowedBalance</b> <BrrwdBal>	[0..1]	±		843
	<b>CollateralInBalance</b> <CollInBal>	[0..1]	±		843
	<b>CollateralOutBalance</b> <CollOutBal>	[0..1]	±		843
	<b>OnLoanBalance</b> <OnLnBal>	[0..1]	±		843
	<b>OutForRegistrationBalance</b> <OutForRegnBal>	[0..1]	±		844
	<b>SettlementPositionBalance</b> <SttlmPosBal>	[0..1]	±		844
	<b>StreetPositionBalance</b> <StrtPosBal>	[0..1]	±		844
	<b>TradeDatePositionBalance</b> <TradDtPosBal>	[0..1]	±		845
	<b>InTransshipmentBalance</b> <InTrnsShipmntBal>	[0..1]	±		845
	<b>RegisteredBalance</b> <RegdBal>	[0..1]	±		845
	<b>ObligatedBalance</b> <OblgtdBal>	[0..1]	±		845
	<b>PendingDeliveryBalance</b> <PdgDlvryBal>	[0..*]			846
	<b>Balance</b> <Bal>	[1..1]	±		846

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>PendingTransactions</b> <PdgTxs>	[0..*]	±		846
	<b>PendingReceiptBalance</b> <PdgRctBal>	[0..*]			846
	<b>Balance</b> <Bal>	[1..1]	±		847
	<b>PendingTransactions</b> <PdgTxs>	[0..*]	±		847

#### 14.4.3.5.3.1 TotalEligibleBalance <TtElgIBal>

*Presence:* [1..1]

*Definition:* Total quantity of financial instruments of the balance.

**TotalEligibleBalance** <TtElgIBal> contains one of the following elements (see [Quantity80Choice](#) on page 1141 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	QuantityChoice <QtyChc>	[1..1]	±		1142
Or}	ProprietaryQuantity <PrtryQty>	[1..1]			1142
	ShortLongPosition <ShrtLngPos>	[0..1]	CodeSet		1142
	Quantity <Qty>	[1..1]	Quantity		1142
	QuantityType <QtyTp>	[1..1]	Text		1143
	Issuer </ssr>	[1..1]	Text		1143
	SchemeName <SchmeNm>	[0..1]	Text		1143

#### 14.4.3.5.3.2 UninstructedBalance <UinstdBal>

*Presence:* [1..1]

*Definition:* Quantity of securities in the sub-balance.

**UninstructedBalance** <UinstdBal> contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgIBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgIBal>	[1..1]	±		873

#### 14.4.3.5.3.3 TotalInstructedBalanceDetails <TtInstdBalDtls>

*Presence:* [1..1]

*Definition:* Provides information about the total instructed balance.

**TotalInstructedBalanceDetails <TtlInstdBalDtls>** contains the following **InstructedBalance17** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TotalInstructedBalance</b> <TtlInstdBal>	[1..1]	±		828
	<b>TotalAcceptedInstructionBalance</b> <TtlAccptdInstrBal>	[0..1]	±		828
	<b>TotalCancelledInstructionBalance</b> <TtlCanclInstrBal>	[0..1]	±		829
	<b>TotalPendingInstructionBalance</b> <TtlPdgInstrBal>	[0..1]	±		829
	<b>TotalRejectedInstructionBalance</b> <TtlRjctdInstrBal>	[0..1]	±		829
	<b>TotalProtectInstructionBalance</b> <TtlPrctInstrBal>	[0..1]	±		829
	<b>OptionDetails</b> <OptnDtls>	[0..*]			830
	<b>OptionNumber</b> <OptnNb>	[0..1]	Text		832
	<b>OptionType</b> <OptnTp>	[1..1]	±		832
	<b>InstructedBalance</b> <InstdBal>	[1..1]	±		832
	<b>DefaultAction</b> <DfltActn>	[0..1]	±		832
	<b>OptionAcceptedInstructedBalance</b> <OptnAccptdInstdBal>	[0..1]	±		833
	<b>OptionCancelledInstructionBalance</b> <OptnCanclInstrBal>	[0..1]	±		833
	<b>OptionPendingInstructionBalance</b> <OptnPdgInstrBal>	[0..1]	±		833
	<b>OptionRejectedInstructionBalance</b> <OptnRjctdInstrBal>	[0..1]	±		833
	<b>OptionProtectInstructionBalance</b> <OptnPrctInstrBal>	[0..1]	±		834
	<b>EventDeadlines</b> <EvtDdlns>	[1..1]			834
	<b>EarlyResponseDeadline</b> <EarlyRspnDdln>	[0..1]	±		834
	<b>ResponseDeadline</b> <RspnDdln>	[0..1]	±		835
	<b>MarketDeadline</b> <MktDdln>	[0..1]	±		835
	<b>ProtectDeadline</b> <PrctDdln>	[0..1]	±		836
	<b>CoverProtectDeadline</b> <CoverPrctDdln>	[0..1]	±		836
	<b>OptionInstructionDetails</b> <OptnInstrDtls>	[0..*]			836
	<b>InstructionIdentification</b> <InstrId>	[1..1]	Text		837
	<b>InstructionSequenceNumber</b> <InstrSeqNb>	[0..1]	Text		837
	<b>ProtectIndicator</b> <PrctInd>	[0..1]	CodeSet		837
	<b>InstructionQuantity</b> <InstrQty>	[1..1]	±	C11	838
	<b>InstructionDate</b> <InstrDt>	[1..1]	Date		838
	<b>ProtectDate</b> <PrctDt>	[0..1]	Date		838

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CoverProtectDate</b> <CoverPrctDt>	[0..1]	Date		838
	<b>BidPrice</b> <BidPric>	[0..1]	±		839
	<b>ConditionalQuantity</b> <CondlQty>	[0..1]	±	C11	839
	<b>CustomerReference</b> <CstmrRef>	[0..1]	Text		839
	<b>InstructionNarrative</b> <InstrNrrtv>	[0..1]	Text		839
	<b>InstructionStatus</b> <InstrSts>	[1..1]			840
{Or	<b>Accepted</b> <Accptd>	[1..1]	±		840
Or	<b>Cancelled</b> <Canc>	[1..1]	±		840
Or	<b>AcceptedForFurtherProcessing</b> <AccptdForFrthrPrpg>	[1..1]	±		841
Or	<b>Rejected</b> <Rjctd>	[1..1]	±		841
Or	<b>Pending</b> <Pdg>	[1..1]	±		841
Or	<b>PendingCancellation</b> <PdgCxl>	[1..1]	±		842
Or	<b>Covered</b> <Cvrd>	[1..1]	±		842
Or}	<b>Uncovered</b> <Ucvrd>	[1..1]	±		842

#### 14.4.3.5.3.3.1 TotalInstructedBalance <TtlInstdBal>

*Presence:* [1..1]

*Definition:* Provides information about the total instructed balance.

**TotalInstructedBalance <TtlInstdBal>** contains one of the following elements (see BalanceFormat14Choice on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 14.4.3.5.3.3.2 TotalAcceptedInstructionBalance <TtlAccptdInstrBal>

*Presence:* [0..1]

*Definition:* Daily total of all accepted instructions for given day. Cover protect instructions will be included in this total balance.

**TotalAcceptedInstructionBalance <TtIAccpdtInstrBal>** contains the following elements (see [SignedQuantityFormat13](#) on page 1138 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1138
	Quantity <Qty>	[1..1]	±	C14	1138

#### 14.4.3.5.3.3.3 TotalCancelledInstructionBalance <TtICanclInstrBal>

*Presence:* [0..1]

*Definition:* Daily total of cancelled instructions for a given day.

**TotalCancelledInstructionBalance <TtICanclInstrBal>** contains the following elements (see [SignedQuantityFormat13](#) on page 1138 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1138
	Quantity <Qty>	[1..1]	±	C14	1138

#### 14.4.3.5.3.3.4 TotalPendingInstructionBalance <TtIPdglInstrBal>

*Presence:* [0..1]

*Definition:* Daily total of pending instructions in pending status. It includes cancel pending instructions.

**TotalPendingInstructionBalance <TtIPdglInstrBal>** contains the following elements (see [SignedQuantityFormat13](#) on page 1138 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1138
	Quantity <Qty>	[1..1]	±	C14	1138

#### 14.4.3.5.3.3.5 TotalRejectedInstructionBalance <TtIRjctdInstrBal>

*Presence:* [0..1]

*Definition:* Daily total of rejected instructions.

**TotalRejectedInstructionBalance <TtIRjctdInstrBal>** contains the following elements (see [SignedQuantityFormat13](#) on page 1138 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1138
	Quantity <Qty>	[1..1]	±	C14	1138

#### 14.4.3.5.3.3.6 TotalProtectInstructionBalance <TtIPrtctInstrBal>

*Presence:* [0..1]

*Definition:* Daily total of all protect instructions sent in a given day.

**TotalProtectInstructionBalance <TtlPrtctInstrBal>** contains the following elements (see [SignedQuantityFormat13](#) on page 1138 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1138
	Quantity <Qty>	[1..1]	±	C14	1138

#### 14.4.3.5.3.3.7 OptionDetails <OptnDtls>

*Presence:* [0..\*]

*Definition:* Provide instructed balance breakdown information per option.

**OptionDetails <OptnDtls>** contains the following **InstructedCorporateActionOption18** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>OptionNumber</b> <OptnNb>	[0..1]	Text		832
	<b>OptionType</b> <OptnTp>	[1..1]	±		832
	<b>InstructedBalance</b> <InstdBal>	[1..1]	±		832
	<b>DefaultAction</b> <DfltActn>	[0..1]	±		832
	<b>OptionAcceptedInstructedBalance</b> <OptnAccptdInstdBal>	[0..1]	±		833
	<b>OptionCancelledInstructionBalance</b> <OptnCanclInstrBal>	[0..1]	±		833
	<b>OptionPendingInstructionBalance</b> <OptnPdgInstrBal>	[0..1]	±		833
	<b>OptionRejectedInstructionBalance</b> <OptnRjctdInstrBal>	[0..1]	±		833
	<b>OptionProtectInstructionBalance</b> <OptnPrctInstrBal>	[0..1]	±		834
	<b>EventDeadlines</b> <EvtDdlns>	[1..1]			834
	<b>EarlyResponseDeadline</b> <EarlyRspnDdln>	[0..1]	±		834
	<b>ResponseDeadline</b> <RspnDdln>	[0..1]	±		835
	<b>MarketDeadline</b> <MktDdln>	[0..1]	±		835
	<b>ProtectDeadline</b> <PrctDdln>	[0..1]	±		836
	<b>CoverProtectDeadline</b> <CoverPrctDdln>	[0..1]	±		836
	<b>OptionInstructionDetails</b> <OptnInstrDtls>	[0..*]			836
	<b>InstructionIdentification</b> <InstrId>	[1..1]	Text		837
	<b>InstructionSequenceNumber</b> <InstrSeqNb>	[0..1]	Text		837
	<b>ProtectIndicator</b> <PrctInd>	[0..1]	CodeSet		837
	<b>InstructionQuantity</b> <InstrQty>	[1..1]	±	C11	838
	<b>InstructionDate</b> <InstrDt>	[1..1]	Date		838
	<b>ProtectDate</b> <PrctDt>	[0..1]	Date		838
	<b>CoverProtectDate</b> <CoverPrctDt>	[0..1]	Date		838
	<b>BidPrice</b> <BidPric>	[0..1]	±		839
	<b>ConditionalQuantity</b> <CondlQty>	[0..1]	±	C11	839
	<b>CustomerReference</b> <CstmrRef>	[0..1]	Text		839
	<b>InstructionNarrative</b> <InstrNrrtv>	[0..1]	Text		839
	<b>InstructionStatus</b> <InstrSts>	[1..1]			840
{Or	<b>Accepted</b> <Accptd>	[1..1]	±		840

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
Or	<b>Cancelled</b> <Canc>	[1..1]	±		840
Or	<b>AcceptedForFurtherProcessing</b> <AccptdForFrthrPrcg>	[1..1]	±		841
Or	<b>Rejected</b> <Rjctd>	[1..1]	±		841
Or	<b>Pending</b> <Pdg>	[1..1]	±		841
Or	<b>PendingCancellation</b> <PdgCxl>	[1..1]	±		842
Or	<b>Covered</b> <Cvrd>	[1..1]	±		842
Or}	<b>Uncovered</b> <Ucvrd>	[1..1]	±		842

#### 14.4.3.5.3.3.7.1 OptionNumber <OptnNb>

*Presence:* [0..1]

*Definition:* Number identifying the available corporate action options.

*Datatype:* [Exact3NumericText](#) on page 1347

#### 14.4.3.5.3.3.7.2 OptionType <OptnTp>

*Presence:* [1..1]

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

**OptionType <OptnTp>** contains one of the following elements (see [CorporateActionOption36Choice](#) on page 1007 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1008
Or}	Proprietary <Prtry>	[1..1]	±		1009

#### 14.4.3.5.3.3.7.3 InstructedBalance <InstdBal>

*Presence:* [1..1]

*Definition:* Balance of instructed position.

**InstructedBalance <InstdBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 14.4.3.5.3.3.7.4 DefaultAction <DfltActn>

*Presence:* [0..1]

*Definition:* Indicates the default action related to a corporate action event.



**DefaultAction <DfltActn>** contains one of the following elements (see [DefaultProcessingOrStandingInstruction1Choice](#) on page 952 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	DefaultOptionIndicator <DfltOptnInd>	[1..1]	Indicator		952
Or}	StandingInstructionIndicator <StgInstrInd>	[1..1]	Indicator		952

#### 14.4.3.5.3.3.7.5 OptionAcceptedInstructedBalance <OptnAccptdInstdBal>

*Presence:* [0..1]

*Definition:* Daily total of accepted instructions received for a given option.

**OptionAcceptedInstructedBalance <OptnAccptdInstdBal>** contains the following elements (see [SignedQuantityFormat13](#) on page 1138 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1138
	Quantity <Qty>	[1..1]	±	C14	1138

#### 14.4.3.5.3.3.7.6 OptionCancelledInstructionBalance <OptnCanclInstrBal>

*Presence:* [0..1]

*Definition:* Daily total of cancelled instructions for a given option.

**OptionCancelledInstructionBalance <OptnCanclInstrBal>** contains the following elements (see [SignedQuantityFormat13](#) on page 1138 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1138
	Quantity <Qty>	[1..1]	±	C14	1138

#### 14.4.3.5.3.3.7.7 OptionPendingInstructionBalance <OptnPdgInstrBal>

*Presence:* [0..1]

*Definition:* Daily total of pending instructions in pending status for a given option. It includes cancel pending instructions.

**OptionPendingInstructionBalance <OptnPdgInstrBal>** contains the following elements (see [SignedQuantityFormat13](#) on page 1138 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1138
	Quantity <Qty>	[1..1]	±	C14	1138

#### 14.4.3.5.3.3.7.8 OptionRejectedInstructionBalance <OptnRjctdInstrBal>

*Presence:* [0..1]

*Definition:* Daily total of rejected instructions for a given option.

**OptionRejectedInstructionBalance <OptnRjctdInstrBal>** contains the following elements (see [SignedQuantityFormat13](#) on page 1138 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1138
	Quantity <Qty>	[1..1]	±	C14	1138

**14.4.3.5.3.3.7.9 OptionProtectInstructionBalance <OptnPrtctInstrBal>**

*Presence:* [0..1]

*Definition:* Daily total of all protect instructions for a given option.

**OptionProtectInstructionBalance <OptnPrtctInstrBal>** contains the following elements (see [SignedQuantityFormat13](#) on page 1138 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1138
	Quantity <Qty>	[1..1]	±	C14	1138

**14.4.3.5.3.3.7.10 EventDeadlines <EvtDdlns>**

*Presence:* [1..1]

*Definition:* Provides information about the deadlines related to a corporate action option.

**EventDeadlines <EvtDdlns>** contains the following **CorporateActionEventDeadlines4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>EarlyResponseDeadline</b> <EarlyRspnDdln>	[0..1]	±		834
	<b>ResponseDeadline</b> <RspnDdln>	[0..1]	±		835
	<b>MarketDeadline</b> <MktDdln>	[0..1]	±		835
	<b>ProtectDeadline</b> <PrtctDdln>	[0..1]	±		836
	<b>CoverProtectDeadline</b> <CoverPrtctDdln>	[0..1]	±		836

**14.4.3.5.3.3.7.10.1 EarlyResponseDeadline <EarlyRspnDdln>**

*Presence:* [0..1]

*Definition:* Date/time that the account servicer has set as the deadline to respond, with instructions, to an outstanding event, giving the holder eligibility to incentives. This time is dependent on the reference time zone of the account servicer as specified in a Service Level Agreement (SLA).

**EarlyResponseDeadline <EarlyRspnDdln>** contains one of the following elements (see [DateFormat49Choice](#) on page 885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		886
Or}	DateCode <DtCd>	[1..1]			886
{Or	Code <Cd>	[1..1]	CodeSet		886
Or}	Proprietary <Prtry>	[1..1]	±		886

#### 14.4.3.5.3.3.7.10.2 ResponseDeadline <RspnDdln>

*Presence:* [0..1]

*Definition:* Date/time at which the account servicer has set as the deadline to respond, with instructions, to an outstanding event. This time is dependent on the reference time zone of the account servicer as specified in a Service Level Agreement (SLA).

**ResponseDeadline <RspnDdln>** contains one of the following elements (see [DateFormat54Choice](#) on page 883 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		883
Or	DateCodeAndTime <DtCdAndTm>	[1..1]			883
	DateCode <DtCd>	[1..1]			884
{Or	Code <Cd>	[1..1]	CodeSet		884
Or}	Proprietary <Prtry>	[1..1]	±		884
	Time <Tm>	[1..1]	Time		884
Or}	DateCode <DtCd>	[1..1]			885
{Or	Code <Cd>	[1..1]	CodeSet		885
Or}	Proprietary <Prtry>	[1..1]	±		885

#### 14.4.3.5.3.3.7.10.3 MarketDeadline <MktDdln>

*Presence:* [0..1]

*Definition:* Issuer or issuer's agent deadline to respond with an instruction to an outstanding offer or privilege.

**MarketDeadline <MktDdln>** contains one of the following elements (see [DateFormat49Choice](#) on page 885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		886
Or}	DateCode <DtCd>	[1..1]			886
{Or	Code <Cd>	[1..1]	CodeSet		886
Or}	Proprietary <Prtry>	[1..1]	±		886

#### 14.4.3.5.3.3.7.10.4 ProtectDeadline <PrctcDdln>

*Presence:* [0..1]

*Definition:* Deadline for protect instructions.

**ProtectDeadline <PrctcDdln>** contains one of the following elements (see [DateFormat49Choice](#) on page 885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		886
Or}	DateCode <DtCd>	[1..1]			886
{Or	Code <Cd>	[1..1]	CodeSet		886
Or}	Proprietary <Prtry>	[1..1]	±		886

#### 14.4.3.5.3.3.7.10.5 CoverProtectDeadline <CoverPrctcDdln>

*Presence:* [0..1]

*Definition:* Deadline for covering a protect instruction.

**CoverProtectDeadline <CoverPrctcDdln>** contains one of the following elements (see [DateFormat49Choice](#) on page 885 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		886
Or}	DateCode <DtCd>	[1..1]			886
{Or	Code <Cd>	[1..1]	CodeSet		886
Or}	Proprietary <Prtry>	[1..1]	±		886

#### 14.4.3.5.3.3.7.11 OptionInstructionDetails <OptnInstrDtls>

*Presence:* [0..\*]

*Definition:* Instructions details received for the given option.

**OptionInstructionDetails <OptnInstrDtls>** contains the following **OptionInstructionDetails8** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>InstructionIdentification</b> <InstrId>	[1..1]	Text		837
	<b>InstructionSequenceNumber</b> <InstrSeqNb>	[0..1]	Text		837
	<b>ProtectIndicator</b> <PrctInd>	[0..1]	CodeSet		837
	<b>InstructionQuantity</b> <InstrQty>	[1..1]	±	C11	838
	<b>InstructionDate</b> <InstrDt>	[1..1]	Date		838
	<b>ProtectDate</b> <PrctDt>	[0..1]	Date		838
	<b>CoverProtectDate</b> <CoverPrctDt>	[0..1]	Date		838
	<b>BidPrice</b> <BidPric>	[0..1]	±		839
	<b>ConditionalQuantity</b> <CondlQty>	[0..1]	±	C11	839
	<b>CustomerReference</b> <CstmrRef>	[0..1]	Text		839
	<b>InstructionNarrative</b> <InstrNrrtv>	[0..1]	Text		839
	<b>InstructionStatus</b> <InstrSts>	[1..1]			840
{Or	<b>Accepted</b> <Acptd>	[1..1]	±		840
Or	<b>Cancelled</b> <Canc>	[1..1]	±		840
Or	<b>AcceptedForFurtherProcessing</b> <AcptdForFrthrPrcg>	[1..1]	±		841
Or	<b>Rejected</b> <Rjctd>	[1..1]	±		841
Or	<b>Pending</b> <Pdg>	[1..1]	±		841
Or	<b>PendingCancellation</b> <PdgCxl>	[1..1]	±		842
Or	<b>Covered</b> <Cvrd>	[1..1]	±		842
Or}	<b>Uncovered</b> <Ucvrd>	[1..1]	±		842

**14.4.3.5.3.3.7.11.1 InstructionIdentification <InstrId>**

*Presence:* [1..1]

*Definition:* Identifies the instruction or protect instruction.

*Datatype:* RestrictedFINMax15Text on page 1350

**14.4.3.5.3.3.7.11.2 InstructionSequenceNumber <InstrSeqNb>**

*Presence:* [0..1]

*Definition:* Provides the sequence number of the instruction.

*Datatype:* Max3NumericText on page 1349

**14.4.3.5.3.3.7.11.3 ProtectIndicator <PrctInd>**

*Presence:* [0..1]

*Definition:* Indicates whether the instruction is a protect or a cover protect instruction.

*Datatype:* [ProtectTransactionType2Code](#) on page 1333

CodeName	Name	Definition
PROT	ProtectTransaction	Reorganisation is a protect transaction type.
COVP	CoverOnBehalfOfAnotherParticipantTransaction	Reorganisation is a cover on behalf of another participant transaction type.
COVR	CoverProtectTransaction	Reorganisation is a cover protect transaction type.

#### 14.4.3.5.3.3.7.11.4 InstructionQuantity <InstrQty>

*Presence:* [1..1]

*Definition:* Securities quantity instructed in the instruction.

*Impacted by:* [C11 DigitalTokenUnitUsageRule](#)

**InstructionQuantity <InstrQty>** contains one of the following elements (see [FinancialInstrumentQuantity36Choice](#) on page 1150 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1150
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1151
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1151
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1151

#### Constraints

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

#### 14.4.3.5.3.3.7.11.5 InstructionDate <InstrDt>

*Presence:* [1..1]

*Definition:* Date of the instruction.

*Datatype:* [ISODate](#) on page 1342

#### 14.4.3.5.3.3.7.11.6 ProtectDate <PrtctDt>

*Presence:* [0..1]

*Definition:* Date of the client protect instruction.

*Datatype:* [ISODate](#) on page 1342

#### 14.4.3.5.3.3.7.11.7 CoverProtectDate <CoverPrtctDt>

*Presence:* [0..1]

*Definition:* Date of the cover protect Instruction

*Datatype:* [ISODate](#) on page 1342

#### 14.4.3.5.3.3.7.11.8 BidPrice <BidPric>

*Presence:* [0..1]

*Definition:* Bid price of the instruction.

**BidPrice <BidPric>** contains one of the following elements (see [PriceFormat57Choice](#) on page 1132 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1132
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1132
	PriceValue <PricVal>	[1..1]	Rate		1133
Or	AmountPrice <AmtPric>	[1..1]	±		1133
Or}	NotSpecifiedPrice <NotSpctdPric>	[1..1]	CodeSet		1133

#### 14.4.3.5.3.3.7.11.9 ConditionalQuantity <CondiQty>

*Presence:* [0..1]

*Definition:* Conditional quantity of the instruction.

*Impacted by:* [C11 DigitalTokenUnitUsageRule](#)

**ConditionalQuantity <CondiQty>** contains one of the following elements (see [FinancialInstrumentQuantity36Choice](#) on page 1150 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1150
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1151
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1151
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1151

#### Constraints

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

#### 14.4.3.5.3.3.7.11.10 CustomerReference <CstmrRef>

*Presence:* [0..1]

*Definition:* Customer related narrative information.

*Datatype:* [RestrictedFINMax50Text](#) on page 1351

#### 14.4.3.5.3.3.7.11.11 InstructionNarrative <InstrNrrtv>

*Presence:* [0..1]

*Definition:* Narrative information from the submitted instruction.

*Datatype:* RestrictedFINXMax350Text on page 1354

#### 14.4.3.5.3.3.7.11.12 InstructionStatus <InstrSts>

*Presence:* [1..1]

*Definition:* Status of a particular instruction.

**InstructionStatus <InstrSts>** contains one of the following **InstructionProcessingStatus48Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Accepted</b> <Accptd>	[1..1]	±		840
Or	<b>Cancelled</b> <Canc>	[1..1]	±		840
Or	<b>AcceptedForFurtherProcessing</b> <AccptdForFrthrPrcg>	[1..1]	±		841
Or	<b>Rejected</b> <Rjctd>	[1..1]	±		841
Or	<b>Pending</b> <Pdg>	[1..1]	±		841
Or	<b>PendingCancellation</b> <PdgCxl>	[1..1]	±		842
Or	<b>Covered</b> <Cvrd>	[1..1]	±		842
Or}	<b>Uncovered</b> <Ucvrd>	[1..1]	±		842

#### 14.4.3.5.3.3.7.11.12.1 Accepted <Accptd>

*Presence:* [1..1]

*Definition:* Instruction is accepted.

**Accepted <Accptd>** contains the following elements (see NoSpecifiedReason1 on page 1230 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NoSpecifiedReason <NoSpofdRsn>	[1..1]	CodeSet		1230

#### 14.4.3.5.3.3.7.11.12.2 Cancelled <Canc>

*Presence:* [1..1]

*Definition:* Instruction cancelled by client cancellation instruction.



**Cancelled <Canc>** contains one of the following elements (see [CancelledStatus15Choice](#) on page 1255 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		1255
Or}	Reason <Rsn>	[1..*]		C3	1255
	ReasonCode <RsnCd>	[1..1]			1256
{Or	Code <Cd>	[1..1]	CodeSet		1256
Or}	Proprietary <Prtry>	[1..1]	±		1256
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		1257

#### 14.4.3.5.3.3.7.11.12.3 AcceptedForFurtherProcessing <AcptdForFrthrPrcg>

*Presence:* [1..1]

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

**AcceptedForFurtherProcessing <AcptdForFrthrPrcg>** contains the following elements (see [NoSpecifiedReason1](#) on page 1230 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		1230

#### 14.4.3.5.3.3.7.11.12.4 Rejected <Rjctd>

*Presence:* [1..1]

*Definition:* Instruction rejected by the receiver.

**Rejected <Rjctd>** contains one of the following elements (see [RejectedStatus45Choice](#) on page 1233 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		1233
Or}	Reason <Rsn>	[1..*]		C4	1233
	ReasonCode <RsnCd>	[1..1]			1234
{Or	Code <Cd>	[1..1]	CodeSet		1234
Or}	Proprietary <Prtry>	[1..1]	±		1236
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		1236

#### 14.4.3.5.3.3.7.11.12.5 Pending <Pdg>

*Presence:* [1..1]

*Definition:* Instruction has not been completed.

**Pending <Pdg>** contains the following elements (see [NoSpecifiedReason1](#) on page 1230 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		1230

#### 14.4.3.5.3.3.7.11.12.6 PendingCancellation <PdgCxl>

*Presence:* [1..1]

*Definition:* Cancellation instruction is pending.

**PendingCancellation <PdgCxl>** contains one of the following elements (see [PendingCancellationStatus9Choice](#) on page 1245 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NotSpecifiedReason <NotSpdfdRsn>	[1..1]	CodeSet		1245
Or}	Reason <Rsn>	[1..*]		C1, C5	1245
	ReasonCode <RsnCd>	[1..1]			1246
{Or	Code <Cd>	[1..1]	CodeSet		1246
Or}	Proprietary <Prtry>	[1..1]	±		1247
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		1247

#### 14.4.3.5.3.3.7.11.12.7 Covered <Cvrd>

*Presence:* [1..1]

*Definition:* Protect Instruction has been full covered.

**Covered <Cvrd>** contains the following elements (see [NoSpecifiedReason1](#) on page 1230 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		1230

#### 14.4.3.5.3.3.7.11.12.8 Uncovered <Ucvrd>

*Presence:* [1..1]

*Definition:* Cover protect instruction accepted but it has not fully covered the protect instruction.

**Uncovered <Ucvrd>** contains the following elements (see [NoSpecifiedReason1](#) on page 1230 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		1230

#### 14.4.3.5.3.4 BlockedBalance <BlckdBal>

*Presence:* [0..1]

*Definition:* Balance of financial instruments that are blocked.

**BlockedBalance <BickdBal>** contains the following elements (see [SignedQuantityFormat13](#) on page 1138 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1138
	Quantity <Qty>	[1..1]	±	C14	1138

#### 14.4.3.5.3.5 BorrowedBalance <BrrwdBal>

*Presence:* [0..1]

*Definition:* Balance of financial instruments that have been borrowed from another party.

**BorrowedBalance <BrrwdBal>** contains the following elements (see [SignedQuantityFormat13](#) on page 1138 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1138
	Quantity <Qty>	[1..1]	±	C14	1138

#### 14.4.3.5.3.6 CollateralInBalance <CollnBal>

*Presence:* [0..1]

*Definition:* Balance of securities that belong to a third party and that are held for the purpose of collateralisation.

**CollateralInBalance <CollnBal>** contains the following elements (see [SignedQuantityFormat13](#) on page 1138 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1138
	Quantity <Qty>	[1..1]	±	C14	1138

#### 14.4.3.5.3.7 CollateralOutBalance <CollOutBal>

*Presence:* [0..1]

*Definition:* 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.

**CollateralOutBalance <CollOutBal>** contains the following elements (see [SignedQuantityFormat13](#) on page 1138 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1138
	Quantity <Qty>	[1..1]	±	C14	1138

#### 14.4.3.5.3.8 OnLoanBalance <OnLnBal>

*Presence:* [0..1]

*Definition:* Balance of financial instruments that have been loaned to a third party.

**OnLoanBalance <OnLnBal>** contains the following elements (see [SignedQuantityFormat13](#) on page 1138 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1138
	Quantity <Qty>	[1..1]	±	C14	1138

#### 14.4.3.5.3.9 OutForRegistrationBalance <OutForRegnBal>

*Presence:* [0..1]

*Definition:* Balance of financial instruments currently being processed by the institution responsible for registering the new beneficial owner (or nominee).

**OutForRegistrationBalance <OutForRegnBal>** contains the following elements (see [SignedQuantityFormat13](#) on page 1138 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1138
	Quantity <Qty>	[1..1]	±	C14	1138

#### 14.4.3.5.3.10 SettlementPositionBalance <SttlmPosBal>

*Presence:* [0..1]

*Definition:* Balance of securities representing only settled transactions; pending transactions not included.

**SettlementPositionBalance <SttlmPosBal>** contains the following elements (see [SignedQuantityFormat13](#) on page 1138 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1138
	Quantity <Qty>	[1..1]	±	C14	1138

#### 14.4.3.5.3.11 StreetPositionBalance <StrtPosBal>

*Presence:* [0..1]

*Definition:* Balance of financial instruments that remain registered in the name of the prior beneficial owner.

**StreetPositionBalance <StrtPosBal>** contains the following elements (see [SignedQuantityFormat13](#) on page 1138 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1138
	Quantity <Qty>	[1..1]	±	C14	1138

#### 14.4.3.5.3.12 TradeDatePositionBalance <TradDtPosBal>

*Presence:* [0..1]

*Definition:* Balance of securities based on trade date, for example, includes all pending transactions in addition to the balance of settled transactions.

**TradeDatePositionBalance <TradDtPosBal>** contains the following elements (see [SignedQuantityFormat13](#) on page 1138 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1138
	Quantity <Qty>	[1..1]	±	C14	1138

#### 14.4.3.5.3.13 InTransshipmentBalance <InTrnsShipmntBal>

*Presence:* [0..1]

*Definition:* Balance of physical securities that are in the process of being transferred from one depository/agent to another.

**InTransshipmentBalance <InTrnsShipmntBal>** contains the following elements (see [SignedQuantityFormat13](#) on page 1138 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1138
	Quantity <Qty>	[1..1]	±	C14	1138

#### 14.4.3.5.3.14 RegisteredBalance <RegdBal>

*Presence:* [0..1]

*Definition:* Balance of financial instruments that are registered (in the name of a nominee name or of the beneficial owner).

**RegisteredBalance <RegdBal>** contains the following elements (see [SignedQuantityFormat13](#) on page 1138 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1138
	Quantity <Qty>	[1..1]	±	C14	1138

#### 14.4.3.5.3.15 ObligatedBalance <OblgtdBal>

*Presence:* [0..1]

*Definition:* Position that account holders should return to the account servicer to participate in the event or to fulfil their obligation for the event to be complete, for example, return of securities for late announced drawing.

**ObligatedBalance <OblgtdBal>** contains the following elements (see [SignedQuantityFormat13](#) on page 1138 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1138
	Quantity <Qty>	[1..1]	±	C14	1138

#### 14.4.3.5.3.16 PendingDeliveryBalance <PdgDlvryBal>

*Presence:* [0..\*]

*Definition:* Balance of financial instruments that are pending delivery.

**PendingDeliveryBalance <PdgDlvryBal>** contains the following **PendingBalance8** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Balance</b> <Bal>	[1..1]	±		846
	<b>PendingTransactions</b> <PdgTxs>	[0..*]	±		846

##### 14.4.3.5.3.16.1 Balance <Bal>

*Presence:* [1..1]

*Definition:* Signed quantity of balance.

**Balance <Bal>** contains the following elements (see [SignedQuantityFormat13](#) on page 1138 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1138
	Quantity <Qty>	[1..1]	±	C14	1138

##### 14.4.3.5.3.16.2 PendingTransactions <PdgTxs>

*Presence:* [0..\*]

*Definition:* Overall process covering the trade and settlement transactions of financial instruments.

**PendingTransactions <PdgTxs>** contains the following elements (see [SettlementTypeAndIdentification26](#) on page 946 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Payment <Pmt>	[1..1]	CodeSet		947
	TransactionIdentification <TxId>	[1..1]	Text		947
	SettlementDate <SttlmDt>	[0..1]	±		947

##### 14.4.3.5.3.17 PendingReceiptBalance <PdgRctBal>

*Presence:* [0..\*]

*Definition:* Balance of financial instruments that are pending receipt.

**PendingReceiptBalance <PdgRctBal>** contains the following **PendingBalance8** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Balance &lt;Bal&gt;</b>	[1..1]	±		847
	<b>PendingTransactions &lt;PdgTxS&gt;</b>	[0..*]	±		847

#### 14.4.3.5.3.17.1 Balance <Bal>

*Presence:* [1..1]

*Definition:* Signed quantity of balance.

**Balance <Bal>** contains the following elements (see [SignedQuantityFormat13](#) on page 1138 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1138
	Quantity <Qty>	[1..1]	±	C14	1138

#### 14.4.3.5.3.17.2 PendingTransactions <PdgTxS>

*Presence:* [0..\*]

*Definition:* Overall process covering the trade and settlement transactions of financial instruments.

**PendingTransactions <PdgTxS>** contains the following elements (see [SettlementTypeAndIdentification26](#) on page 946 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Payment <Pmt>	[1..1]	CodeSet		947
	TransactionIdentification <TxId>	[1..1]	Text		947
	SettlementDate <SttlmDt>	[0..1]	±		947

#### 14.4.3.5.4 SupplementaryData <SplmtryData>

*Presence:* [0..\*]

*Definition:* Provides additional information related to the event and the balance of the corporate action.

*Impacted by:* [C21 SupplementaryDataRule](#)

**SupplementaryData <SplmtryData>** contains the following elements (see [SupplementaryData1](#) on page 1077 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		1077
	Envelope <Envlp>	[1..1]	(External Schema)		1078

**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.

## 14.4.4 SupplementaryData <SplmtryData>

*Presence:* [0..\*]

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

*Impacted by:* [C21 SupplementaryDataRule](#)

**SupplementaryData <SplmtryData>** contains the following elements (see [SupplementaryData1 on page 1077](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		1077
	Envelope <Envlp>	[1..1]	(External Schema)		1078

**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.



# 15 MX seev.044.002.12 CorporateActionMovementPreliminaryAdvice CancellationAdvice002V12

## 15.1 MessageDefinition Functionality

### Scope

The CorporateActionMovementPreliminaryAdviceCancellationAdvice message is sent by an account servicer to an account owner or its designated agent to cancel a previously announced CorporateActionMovementPreliminaryAdvice.

### Usage

The message may also be used to:

- re-send a message previously sent (the sub-function of the message is Duplicate),
- provide a third party with a copy of a message for information (the sub-function of the message is Copy),
- re-send to a third party a copy of a message for information (the sub-function of the message is Copy Duplicate), using the relevant elements in the business application header (BAH).

### Outline

The CorporateActionMovementPreliminaryAdviceCancellationAdvice002V12 MessageDefinition is composed of 14 MessageBuildingBlocks:

- A. MovementPreliminaryAdviceIdentification  
Identification of a previously sent movement preliminary advice document.
- B. CorporateActionGeneralInformation  
General information about the corporate action event.
- C. AccountDetails  
General information about the safekeeping account and the account owner.
- D. CorporateActionDetails  
Information about the corporate action event.
- E. IssuerAgent  
Party appointed to administer the event on behalf of the issuer company/offeror. The party may be contacted for more information about the event.
- F. PayingAgent  
Agent (principal or fiscal paying agent) appointed to execute the payment for the corporate action event on behalf of the issuer company/offeror.
- G. SubPayingAgent

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Sub-agent appointed to execute the payment for the corporate action event on behalf of the issuer company/offeror.

H. Registrar

Party/agent responsible for maintaining the register of a security.

I. ResellingAgent

Broker-dealer responsible for reselling to new investors securities (usually bonds) that have been tendered for purchase by their owner.

J. PhysicalSecuritiesAgent

Trust company, bank or similar financial institution assigned by an issuer to accept presentations of instruments, usually bonds, for transfer and or exchange.

K. DropAgent

Trust company, bank or similar financial institution that acts on behalf of an out-of-town agent or event agent where securities can be delivered in person.

L. SolicitationAgent

Trust company, bank or similar financial institution assigned by an issuer to maintain records of investors and account balances and transactions for the consent of a material change.

M. InformationAgent

Trust company, bank or similar financial institution assigned by an Issuer to provide information and copies of the offering documentation.

N. SupplementaryData

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

## 15.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <CorpActnMvmntPrimryAdvCxlAdvC>	[1..1]			
	<b>MovementPreliminaryAdviceIdentification</b> <MvmntPrimryAdvCld>	[1..1]	±		855
	<b>CorporateActionGeneralInformation</b> <CorpActnGnlInf>	[1..1]		C8	855
	<b>CorporateActionEventIdentification</b> <CorpActnEvtId>	[1..1]	Text		856
	<b>OfficialCorporateActionEventIdentification</b> <OffclCorpActnEvtId>	[0..1]	Text		856
	<b>ClassActionNumber</b> <ClsActnNb>	[0..1]	Text		856
	<b>EventType</b> <EvtTp>	[1..1]	±	C5	856
	<b>MandatoryVoluntaryEventType</b> <MndtryVlntryEvtTp>	[1..1]	±		857
	<b>FinancialInstrumentIdentification</b> <FinInstrmId>	[1..1]	±	C3, C4, C6, C7, C9	857
	<b>AccountDetails</b> <AcctDtls>	[1..1]			859
{Or	<b>ForAllAccounts</b> <ForAllAccts>	[1..1]	±		859
Or}	<b>AccountsList</b> <AcctsList>	[1..*]		C10, C11, C12, C13	860
	<b>SafekeepingAccount</b> <SfkpgAcct>	[0..1]	Text		861
	<b>BlockChainAddressOrWallet</b> <BlickChainAdrOrWllt>	[0..1]	Text		861
	<b>AccountOwner</b> <AcctOwnr>	[0..1]	±		861
	<b>SafekeepingPlace</b> <SfkpgPlc>	[0..1]	±		862
	<b>CorporateActionDetails</b> <CorpActnDtls>	[0..1]			862
	<b>DateDetails</b> <DtDtls>	[0..1]			862
	<b>RecordDate</b> <RcrdDt>	[0..1]	±		863
	<b>ExDividendDate</b> <ExDvddDt>	[0..1]	±		863
	<b>EventStage</b> <EvtStag>	[0..1]	±		863
	<b>LotteryType</b> <LtryTp>	[0..1]	±		864
	<b>IssuerAgent</b> <IssrAgt>	[0..*]	±		864
	<b>PayingAgent</b> <PngAgt>	[0..*]	±		864
	<b>SubPayingAgent</b> <SubPngAgt>	[0..*]	±		865
	<b>Registrar</b> <Regar>	[0..1]	±		865

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ResellingAgent</b> <RsellingAgt>	[0..*]	±		865
	<b>PhysicalSecuritiesAgent</b> <PhysSctiesAgt>	[0..1]	±		866
	<b>DropAgent</b> <DrpAgt>	[0..1]	±		866
	<b>SolicitationAgent</b> <SlctnAgt>	[0..*]	±		866
	<b>InformationAgent</b> <InfAgt>	[0..1]	±		867
	<b>SupplementaryData</b> <SplmtryData>	[0..*]	±	C14	867

## 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 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 EventTypeRule**

(Rule)

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

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

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

**C6 ISINGuideline**

(Rule)

When a ISIN code exist. It is strongly recommended that the ISIN be used.

**C7 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.

**C8 OfficialCorporateActionEventReference**

(Rule)

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

**C9 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.

#### **C10 SafekeepingAccountOrBlockChainAddress1Rule**

(Rule)

Either SafekeepingAccount or BlockChainAddressOrWallet must be present but not both. (CrossElementSimpleRule)

*Error handling:*

- *Error severity:* Warning
- *Error Code:* X00553
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

#### **C11 SafekeepingAccountOrBlockChainAddress2Rule**

(Rule)

If BlockChainAddressOrWallet is present then SafekeepingAccount must be absent. (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00574
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

#### **C12 SafekeepingAccountOrBlockChainAddress3Rule**

(Rule)

If SafekeepingAccount is present, then BlockChainAddressOrWallet must be absent. (CrossElementComplexRule)

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00575
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

#### **C13 SafekeepingPlaceRule**

(Rule)

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

#### **C14 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.

**C15 WithLinkageRule**

(Rule)

If Code WITH is used, then the one or more instruction which are linked become bound and which must be executed together. Even if one single transactions/instructions/notifications can not be executed, then all the other transactions/instructions/notifications must also be kept pending. Therefore the use of code WITH must be limited to combine up to 2 or 3 transactions/instructions/notifications.

## 15.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 15.4.1 MovementPreliminaryAdviceIdentification <MvmntPrlimryAdvclد>

*Presence:* [1..1]

*Definition:* Identification of a previously sent movement preliminary advice document.

**MovementPreliminaryAdviceIdentification <MvmntPrlimryAdvclد>** contains the following elements (see [DocumentIdentification37](#) on page 892 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		893
	LinkageType <LkgTp>	[0..1]	±	C32	893

### 15.4.2 CorporateActionGeneralInformation <CorpActnGnlInf>

*Presence:* [1..1]

*Definition:* General information about the corporate action event.

*Impacted by:* [C8 OfficialCorporateActionEventReference](#)

**CorporateActionGeneralInformation <CorpActnGnlInf>** contains the following **CorporateActionGeneralInformation150** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CorporateActionEventIdentification</b> <CorpActnEvtld>	[1..1]	Text		856
	<b>OfficialCorporateActionEventIdentification</b> <OffclCorpActnEvtld>	[0..1]	Text		856
	<b>ClassActionNumber</b> <ClssActnNb>	[0..1]	Text		856
	<b>EventType</b> <EvtTp>	[1..1]	±	C5	856
	<b>MandatoryVoluntaryEventType</b> <MndtryVlntryEvtTp>	[1..1]	±		857
	<b>FinancialInstrumentIdentification</b> <FinInstrmld>	[1..1]	±	C3, C4, C6, C7, C9	857

**Constraints**

- **OfficialCorporateActionEventReference**

(Rule)

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

**15.4.2.1 CorporateActionEventIdentification <CorpActnEvtld>**

*Presence:* [1..1]

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

*Datatype:* [RestrictedFINXMax16Text on page 1352](#)

**15.4.2.2 OfficialCorporateActionEventIdentification <OffclCorpActnEvtld>**

*Presence:* [0..1]

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

*Datatype:* [RestrictedFINXMax16Text on page 1352](#)

**15.4.2.3 ClassActionNumber <ClssActnNb>**

*Presence:* [0..1]

*Definition:* Reference assigned by a court to a class action.

*Datatype:* [RestrictedFINXMax16Text on page 1352](#)

**15.4.2.4 EventType <EvtTp>**

*Presence:* [1..1]

*Definition:* Type of corporate action event.



Impacted by: [C5 EventTypeRule](#)

**EventType <EvtTp>** contains one of the following elements (see [CorporateActionEventType97Choice](#) on page 988 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		989
Or}	Proprietary <Prtry>	[1..1]	±		995

#### Constraints

- **EventTypeRule**

(Rule)

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

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

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

#### 15.4.2.5 MandatoryVoluntaryEventType <MndtryVlntryEvtTp>

Presence: [1..1]

Definition: Specifies whether the event is mandatory, mandatory with options or voluntary.

**MandatoryVoluntaryEventType <MndtryVlntryEvtTp>** contains one of the following elements (see [CorporateActionMandatoryVoluntary4Choice](#) on page 1070 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1070
Or}	Proprietary <Prtry>	[1..1]	±		1070

#### 15.4.2.6 FinancialInstrumentIdentification <FinInstrmId>

Presence: [1..1]

Definition: Identification of the security concerned by the corporate action.

Impacted by: [C3 DescriptionPresenceRule](#), [C4 DescriptionUsageRule](#), [C6 ISINGuideline](#), [C7 ISINPresenceRule](#), [C9 OtherIdentificationPresenceRule](#)

**FinancialInstrumentIdentification <FinInstrmId>** contains the following elements (see [SecurityIdentification20 on page 904](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		906
	OtherIdentification <OthrlId>	[0..*]			906
	Identification <Id>	[1..1]	Text		906
	Suffix <Sfx>	[0..1]	Text		906
	Type <Tp>	[1..1]	±		906
	Description <Desc>	[0..1]	Text		907

### 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 a ISIN code exist. 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.

### 15.4.3 AccountDetails <AcctDtls>

*Presence:* [1..1]

*Definition:* General information about the safekeeping account and the account owner.

**AccountDetails <AcctDtls>** contains one of the following **AccountIdentification50Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>ForAllAccounts</b> <ForAllAccts>	[1..1]	±		859
Or}	<b>AccountsList</b> <AcctsList>	[1..*]		C10, C11, C12, C13	860
	<b>SafekeepingAccount</b> <SfkpgAcct>	[0..1]	Text		861
	<b>BlockChainAddressOrWallet</b> <BlckChainAdrOrWilt>	[0..1]	Text		861
	<b>AccountOwner</b> <AcctOwnr>	[0..1]	±		861
	<b>SafekeepingPlace</b> <SfkpgPlc>	[0..1]	±		862

#### 15.4.3.1 ForAllAccounts <ForAllAccts>

*Presence:* [1..1]

*Definition:* All safekeeping accounts that own underlying financial instrument.

**ForAllAccounts <ForAllAccts>** contains the following elements (see [AccountIdentification10](#) on page 868 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IdentificationCode <IdCd>	[1..1]	CodeSet		868

### 15.4.3.2 AccountsList <AcctsList>

*Presence:* [1..\*]

*Definition:* Selected safekeeping accounts list to which the corporate action event applies.

*Impacted by:* [C10 SafekeepingAccountOrBlockChainAddress1Rule](#), [C11 SafekeepingAccountOrBlockChainAddress2Rule](#), [C12 SafekeepingAccountOrBlockChainAddress3Rule](#), [C13 SafekeepingPlaceRule](#)

**AccountsList <AcctsList>** contains the following **AccountIdentification61** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>SafekeepingAccount</b> <SfkpgAcct>	[0..1]	Text		861
	<b>BlockChainAddressOrWallet</b> <BlckChainAdrOrWllet>	[0..1]	Text		861
	<b>AccountOwner</b> <AcctOwnr>	[0..1]	±		861
	<b>SafekeepingPlace</b> <SfkpgPlc>	[0..1]	±		862

#### Constraints

- **SafekeepingAccountOrBlockChainAddress1Rule**

(Rule)

Either SafekeepingAccount or BlockChainAddressOrWallet must be present but not both.

Following Must be True  
 /SafekeepingAccount Must be present  
 Or /BlockChainAddressOrWallet Must be present

*Error handling:*

- *Error severity:* Warning
- *Error Code:* X00553
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

- **SafekeepingAccountOrBlockChainAddress2Rule**

(Rule)

If BlockChainAddressOrWallet is present then SafekeepingAccount must be absent.

On Condition  
 /BlockChainAddressOrWallet is present  
 Following Must be True  
 /SafekeepingAccount Must be absent

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00574
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

- **SafekeepingAccountOrBlockChainAddress3Rule**

(Rule)

If SafekeepingAccount is present, then BlockChainAddressOrWallet must be absent.

On Condition

/SafekeepingAccount is present

Following Must be True

/BlockChainAddressOrWallet Must be absent

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00575
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

- **SafekeepingPlaceRule**

(Rule)

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

#### 15.4.3.2.1 SafekeepingAccount <SfkpgAcct>

*Presence:* [0..1]

*Definition:* Account where financial instruments are maintained.

*Datatype:* RestrictedFINXMax35Text on page 1354

#### 15.4.3.2.2 BlockchainAddressOrWallet <BlckChainAdrOrWllt>

*Presence:* [0..1]

*Definition:* Blockchain address or wallet where digital assets are maintained. This is the equivalent of safekeeping account for digital assets.

*Datatype:* RestrictedFINXMax140Text on page 1352

#### 15.4.3.2.3 AccountOwner <AcctOwnr>

*Presence:* [0..1]

*Definition:* Party that legally owns the account.

**AccountOwner <AcctOwnr>** contains one of the following elements (see [PartyIdentification136Choice](#) on page 1091 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1091
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1091

#### 15.4.3.2.4 SafekeepingPlace <SfkpgPlc>

*Presence:* [0..1]

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

**SafekeepingPlace <SfkpgPlc>** contains one of the following elements (see [SafekeepingPlaceFormat32Choice](#) on page 1216 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]	±		1216
Or	Country <Ctry>	[1..1]	CodeSet	C3	1216
Or	TypeAndIdentification <TpAndId>	[1..1]			1217
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		1217
	Identification <Id>	[1..1]	IdentifierSet	C1	1217
Or}	Proprietary <Prtry>	[1..1]	±		1218

### 15.4.4 CorporateActionDetails <CorpActnDtls>

*Presence:* [0..1]

*Definition:* Information about the corporate action event.

**CorporateActionDetails <CorpActnDtls>** contains the following **CorporateAction76** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>DateDetails</b> <DtDtls>	[0..1]			862
	<b>RecordDate</b> <RcrdDt>	[0..1]	±		863
	<b>ExDividendDate</b> <ExDvddDt>	[0..1]	±		863
	<b>EventStage</b> <EvtStag>	[0..1]	±		863
	<b>LotteryType</b> <LtryTp>	[0..1]	±		864

#### 15.4.4.1 DateDetails <DtDtls>

*Presence:* [0..1]

*Definition:* Provides information about the dates related to a corporate action event.

**DateDetails <DtDtls>** contains the following **CorporateActionDate89** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>RecordDate</b> <RcrdDt>	[0..1]	±		863
	<b>ExDividendDate</b> <ExDvddDt>	[0..1]	±		863

#### 15.4.4.1.1 RecordDate <RcrdDt>

*Presence:* [0..1]

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

**RecordDate <RcrdDt>** contains one of the following elements (see [DateFormat41Choice on page 879](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

#### 15.4.4.1.2 ExDividendDate <ExDvddDt>

*Presence:* [0..1]

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

**ExDividendDate <ExDvddDt>** contains one of the following elements (see [DateFormat41Choice on page 879](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

#### 15.4.4.2 EventStage <EvtStag>

*Presence:* [0..1]

*Definition:* Stage in the corporate action event life cycle.

**EventStage <EvtStag>** contains one of the following elements (see [CorporateActionEventStageFormat15Choice](#) on page 1024 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1024
Or}	Proprietary <Prtry>	[1..1]	±		1025

### 15.4.4.3 LotteryType <LtryTp>

*Presence:* [0..1]

*Definition:* Specifies the type of lottery announced.

**LotteryType <LtryTp>** contains one of the following elements (see [LotteryTypeFormat5Choice](#) on page 1054 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1054
Or}	Proprietary <Prtry>	[1..1]	±		1054

### 15.4.5 IssuerAgent <IssrAgt>

*Presence:* [0..\*]

*Definition:* Party appointed to administer the event on behalf of the issuer company/offeror. The party may be contacted for more information about the event.

**IssuerAgent <IssrAgt>** contains one of the following elements (see [PartyIdentification137Choice](#) on page 1092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1092
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1092
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1093

### 15.4.6 PayingAgent <PngAgt>

*Presence:* [0..\*]

*Definition:* Agent (principal or fiscal paying agent) appointed to execute the payment for the corporate action event on behalf of the issuer company/offeror.



**PayingAgent <PngAgt>** contains one of the following elements (see [PartyIdentification137Choice](#) on page 1092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1092
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1092
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1093

## 15.4.7 SubPayingAgent <SubPngAgt>

*Presence:* [0..\*]

*Definition:* Sub-agent appointed to execute the payment for the corporate action event on behalf of the issuer company/offeror.

**SubPayingAgent <SubPngAgt>** contains one of the following elements (see [PartyIdentification137Choice](#) on page 1092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1092
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1092
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1093

## 15.4.8 Registrar <Regar>

*Presence:* [0..1]

*Definition:* Party/agent responsible for maintaining the register of a security.

**Registrar <Regar>** contains one of the following elements (see [PartyIdentification137Choice](#) on page 1092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1092
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1092
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1093

## 15.4.9 ResellingAgent <RsellingAgt>

*Presence:* [0..\*]

*Definition:* Broker-dealer responsible for reselling to new investors securities (usually bonds) that have been tendered for purchase by their owner.

**ResellingAgent <RsellingAgt>** contains one of the following elements (see [PartyIdentification137Choice](#) on page 1092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1092
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1092
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1093

## 15.4.10 PhysicalSecuritiesAgent <PhysSctiesAgt>

*Presence:* [0..1]

*Definition:* Trust company, bank or similar financial institution assigned by an issuer to accept presentations of instruments, usually bonds, for transfer and or exchange.

**PhysicalSecuritiesAgent <PhysSctiesAgt>** contains one of the following elements (see [PartyIdentification137Choice](#) on page 1092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1092
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1092
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1093

## 15.4.11 DropAgent <DrpAgt>

*Presence:* [0..1]

*Definition:* Trust company, bank or similar financial institution that acts on behalf of an out-of-town agent or event agent where securities can be delivered in person.

**DropAgent <DrpAgt>** contains one of the following elements (see [PartyIdentification137Choice](#) on page 1092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1092
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1092
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1093

## 15.4.12 SolicitationAgent <SlctnAgt>

*Presence:* [0..\*]

*Definition:* Trust company, bank or similar financial institution assigned by an issuer to maintain records of investors and account balances and transactions for the consent of a material change.

**SolicitationAgent <SlctnAgt>** contains one of the following elements (see [PartyIdentification137Choice](#) on page 1092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1092
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1092
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1093

### 15.4.13 InformationAgent <InfAgt>

*Presence:* [0..1]

*Definition:* Trust company, bank or similar financial institution assigned by an Issuer to provide information and copies of the offering documentation.

**InformationAgent <InfAgt>** contains one of the following elements (see [PartyIdentification137Choice](#) on page 1092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1092
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1092
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1093

### 15.4.14 SupplementaryData <SplmtryData>

*Presence:* [0..\*]

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

*Impacted by:* [C14 SupplementaryDataRule](#)

**SupplementaryData <SplmtryData>** contains the following elements (see [SupplementaryData1](#) on page 1077 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		1077
	Envelope <Envlp>	[1..1]	(External Schema)		1078

#### 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.

## 16 Message Items Types

### 16.1 MessageComponents

#### 16.1.1 Account Identification

##### 16.1.1.1 AccountIdentification10

*Definition:* Provides account identification information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IdentificationCode <IdCd>	[1..1]	CodeSet		868

##### 16.1.1.1.1 IdentificationCode <IdCd>

*Presence:* [1..1]

*Definition:* Standard code to specify that announcement applies to all safekeeping accounts that own underlying financial instrument.

*Datatype:* [SafekeepingAccountIdentification1Code on page 1339](#)

CodeName	Name	Definition
GENR	General	Announcement applies to all safekeeping accounts that own underlying financial instrument. (Used for general or preliminary announcements.).

##### 16.1.1.2 CashAccountIdentification6Choice

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IBAN <IBAN>	[1..1]	IdentifierSet	C18	868
Or}	Proprietary <Prtry>	[1..1]	Text		869

##### 16.1.1.2.1 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:* [C18 IBAN](#)

*Datatype:* [IBAN2007Identifier on page 1344](#)

**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.

**16.1.1.2.2 Proprietary <Prtry>**

*Presence:* [1..1]

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

*Datatype:* RestrictedFINX2Max34Text on page 1351

**16.1.2 Balance**

**16.1.2.1 TotalEligibleBalanceFormat11**

*Definition:* Total eligible balance for the corporate action and full and part way period units.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Balance <Bal>	[0..1]	±		869
	FullPeriodUnits <FullPrdUnits>	[0..1]	±		870
	PartWayPeriodUnits <PartWayPrdUnits>	[0..1]	±		870

**16.1.2.1.1 Balance <Bal>**

*Presence:* [0..1]

*Definition:* Provides information about balance related to a corporate action.

**Balance <Bal>** contains one of the following elements (see [Quantity80Choice](#) on page 1141 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	QuantityChoice <QtyChc>	[1..1]	±		1142
Or}	ProprietaryQuantity <PrtryQty>	[1..1]			1142
	ShortLongPosition <ShrtLngPos>	[0..1]	CodeSet		1142
	Quantity <Qty>	[1..1]	Quantity		1142
	QuantityType <QtyTp>	[1..1]	Text		1143
	Issuer </ssr>	[1..1]	Text		1143
	SchemeName <SchmeNm>	[0..1]	Text		1143

### 16.1.2.1.2 FullPeriodUnits <FullPrdUnits>

*Presence:* [0..1]

*Definition:* Number of units of a fund that were purchased in a previous distribution period and/or held at the beginning of a distribution period, for example Group I Units in the UK.

**FullPeriodUnits <FullPrdUnits>** contains the following elements (see [SignedQuantityFormat13](#) on page 1138 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1138
	Quantity <Qty>	[1..1]	±	C14	1138

### 16.1.2.1.3 PartWayPeriodUnits <PartWayPrdUnits>

*Presence:* [0..1]

*Definition:* Number of units of a fund that were purchased part way throughout a distribution period, for example Group II Units in the U.K.

**PartWayPeriodUnits <PartWayPrdUnits>** contains the following elements (see [SignedQuantityFormat13](#) on page 1138 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1138
	Quantity <Qty>	[1..1]	±	C14	1138

### 16.1.2.2 BalanceFormat16Choice

*Definition:* Choice between balance, eligible balance and not eligible balance formats.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		871
Or	EligibleBalance <ElgblBal>	[1..1]	±		871
Or	NotEligibleBalance <NotElgblBal>	[1..1]	±		871
Or	FullPeriodUnits <FullPrdUnits>	[1..1]	±		872
Or}	PartWayPeriodUnits <PartWayPrdUnits>	[1..1]	±		872

#### 16.1.2.2.1 Balance <Bal>

*Presence:* [1..1]

*Definition:* Provides information about balance related to a corporate action.

**Balance <Bal>** contains the following elements (see [SignedQuantityFormat12](#) on page 1137 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1137
	QuantityChoice <QtyChc>	[1..1]	±		1137

#### 16.1.2.2.2 EligibleBalance <ElgblBal>

*Presence:* [1..1]

*Definition:* Provide eligible balance information in different formats.

**EligibleBalance <ElgblBal>** contains the following elements (see [SignedQuantityFormat13](#) on page 1138 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1138
	Quantity <Qty>	[1..1]	±	C14	1138

#### 16.1.2.2.3 NotEligibleBalance <NotElgblBal>

*Presence:* [1..1]

*Definition:* Provide not eligible balance information in different formats.

**NotEligibleBalance <NotElgblBal>** contains the following elements (see [SignedQuantityFormat13](#) on page 1138 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1138
	Quantity <Qty>	[1..1]	±	C14	1138

#### 16.1.2.2.4 FullPeriodUnits <FullPrdUnits>

*Presence:* [1..1]

*Definition:* Number of units of a fund that were purchased in a previous distribution period and/or held at the beginning of a distribution period, for example Group I Units in the UK.

**FullPeriodUnits <FullPrdUnits>** contains the following elements (see [SignedQuantityFormat13](#) on page 1138 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1138
	Quantity <Qty>	[1..1]	±	C14	1138

#### 16.1.2.2.5 PartWayPeriodUnits <PartWayPrdUnits>

*Presence:* [1..1]

*Definition:* Number of units of a fund that were purchased part way throughout a distribution period, for example Group II Units in the U.K.

**PartWayPeriodUnits <PartWayPrdUnits>** contains the following elements (see [SignedQuantityFormat13](#) on page 1138 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1138
	Quantity <Qty>	[1..1]	±	C14	1138

#### 16.1.2.3 BalanceFormat14Choice

*Definition:* Choice between balance, eligible balance and not eligible balance formats.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

##### 16.1.2.3.1 Balance <Bal>

*Presence:* [1..1]

*Definition:* Provides information about balance related to a corporate action.

**Balance <Bal>** contains the following elements (see [SignedQuantityFormat12](#) on page 1137 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1137
	QuantityChoice <QtyChc>	[1..1]	±		1137



### 16.1.2.3.2 EligibleBalance <ElgblBal>

*Presence:* [1..1]

*Definition:* Provide eligible balance information in different formats.

**EligibleBalance <ElgblBal>** contains the following elements (see [SignedQuantityFormat13](#) on page 1138 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1138
	Quantity <Qty>	[1..1]	±	C14	1138

### 16.1.2.3.3 NotEligibleBalance <NotElgblBal>

*Presence:* [1..1]

*Definition:* Provide not eligible balance information in different formats.

**NotEligibleBalance <NotElgblBal>** contains the following elements (see [SignedQuantityFormat13](#) on page 1138 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1138
	Quantity <Qty>	[1..1]	±	C14	1138

## 16.1.3 Date Period

### 16.1.3.1 DatePeriod2

*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		873
	ToDate <ToDt>	[1..1]	Date		873

#### 16.1.3.1.1 FromDate <FrDt>

*Presence:* [1..1]

*Definition:* Start date of the range.

*Datatype:* [ISODate](#) on page 1342

#### 16.1.3.1.2 ToDate <ToDt>

*Presence:* [1..1]

*Definition:* End date of the range.

*Datatype:* [ISODate](#) on page 1342

### 16.1.3.2 CorporateActionPeriod15

*Definition:* Specifies periods of a corporate action.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceCalculationPeriod <PricClctnPrd>	[0..1]	±		874
	InterestPeriod <IntrstPrd>	[0..1]	±		875
	CompulsoryPurchasePeriod <CmplsrPurchsPrd>	[0..1]	±		875
	ClaimPeriod <ClmPrd>	[0..1]	±		875
	DepositorySuspensionPeriodForBookEntryTransfer <DpstrySspnsnPrdForBookNtryTrf>	[0..1]	±		876
	DepositorySuspensionPeriodForDepositAtAgent <DpstrySspnsnPrdForDpstAtAgt>	[0..1]	±		876
	DepositorySuspensionPeriodForDeposit <DpstrySspnsnPrdForDpst>	[0..1]	±		876
	DepositorySuspensionPeriodForPledge <DpstrySspnsnPrdForPldg>	[0..1]	±		876
	DepositorySuspensionPeriodForSegregation <DpstrySspnsnPrdForSgrtn>	[0..1]	±		877
	DepositorySuspensionPeriodForWithdrawalAtAgent <DpstrySspnsnPrdForWdrwlAtAgt>	[0..1]	±		877
	DepositorySuspensionPeriodForWithdrawalInNomineeName <DpstrySspnsnPrdForWdrwllnNmneeNm>	[0..1]	±		877
	DepositorySuspensionPeriodForWithdrawalInStreetName <DpstrySspnsnPrdForWdrwllnStrtNm>	[0..1]	±		878
	BookClosurePeriod <BookClsrPrd>	[0..1]	±		878
	CoDepositoriesSuspensionPeriod <CoDpstrysSspnsnPrd>	[0..1]	±		878
	SplitPeriod <SplPrd>	[0..1]	±		879

#### Constraints

- **InterestPeriodRule**

(Rule)

InterestPeriod must be used only if it is different from a normal accrued interest period.

#### 16.1.3.2.1 PriceCalculationPeriod <PricClctnPrd>

*Presence:* [0..1]

*Definition:* Period during which the price of a security is determined.

**PriceCalculationPeriod <PricClctnPrd>** contains one of the following elements (see [Period6Choice](#) on page 891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Period <Prd>	[1..1]	±		892
Or}	PeriodCode <PrdCd>	[1..1]	CodeSet		892

#### 16.1.3.2.2 InterestPeriod <IntrstPrd>

*Presence:* [0..1]

*Definition:* Period during which the interest rate has been applied.

**InterestPeriod <IntrstPrd>** contains one of the following elements (see [Period6Choice](#) on page 891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Period <Prd>	[1..1]	±		892
Or}	PeriodCode <PrdCd>	[1..1]	CodeSet		892

#### 16.1.3.2.3 CompulsoryPurchasePeriod <CmplstryPurchsPrd>

*Presence:* [0..1]

*Definition:* Period during a take-over where any outstanding equity must be purchased by the take-over company.

**CompulsoryPurchasePeriod <CmplstryPurchsPrd>** contains one of the following elements (see [Period6Choice](#) on page 891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Period <Prd>	[1..1]	±		892
Or}	PeriodCode <PrdCd>	[1..1]	CodeSet		892

#### 16.1.3.2.4 ClaimPeriod <CImPrd>

*Presence:* [0..1]

*Definition:* Period assigned by the court in a class action. It determines the client's eligible transactions that will be included in the class action and used to determine the resulting entitlement.

**ClaimPeriod <CImPrd>** contains one of the following elements (see [Period6Choice](#) on page 891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Period <Prd>	[1..1]	±		892
Or}	PeriodCode <PrdCd>	[1..1]	CodeSet		892

### 16.1.3.2.5 DepositorySuspensionPeriodForBookEntryTransfer <DpstrySspnsnPrdForBookNtryTrf>

*Presence:* [0..1]

*Definition:* Period defining the last date for which book entry transfers will be accepted and the date on which the suspension will be released and book entry transfer processing will resume.

**DepositorySuspensionPeriodForBookEntryTransfer <DpstrySspnsnPrdForBookNtryTrf>** contains one of the following elements (see [Period6Choice](#) on page 891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Period <Prd>	[1..1]	±		892
Or}	PeriodCode <PrdCd>	[1..1]	CodeSet		892

### 16.1.3.2.6 DepositorySuspensionPeriodForDepositAtAgent <DpstrySspnsnPrdForDpstAtAgt>

*Presence:* [0..1]

*Definition:* Period defining the last date for which deposits, into nominee name, at the agent will be accepted and the date on which the suspension will be released and deposits at agent will resume.

**DepositorySuspensionPeriodForDepositAtAgent <DpstrySspnsnPrdForDpstAtAgt>** contains one of the following elements (see [Period6Choice](#) on page 891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Period <Prd>	[1..1]	±		892
Or}	PeriodCode <PrdCd>	[1..1]	CodeSet		892

### 16.1.3.2.7 DepositorySuspensionPeriodForDeposit <DpstrySspnsnPrdForDpst>

*Presence:* [0..1]

*Definition:* Period defining the last date for which deposits will be accepted and the date on which the suspension will be released and deposits will resume.

**DepositorySuspensionPeriodForDeposit <DpstrySspnsnPrdForDpst>** contains one of the following elements (see [Period6Choice](#) on page 891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Period <Prd>	[1..1]	±		892
Or}	PeriodCode <PrdCd>	[1..1]	CodeSet		892

### 16.1.3.2.8 DepositorySuspensionPeriodForPledge <DpstrySspnsnPrdForPldg>

*Presence:* [0..1]

*Definition:* Period defining the last date for which pledges will be accepted and the date on which the suspension will be released and pledge processing will resume.

**DepositorySuspensionPeriodForPledge <DpstrySspnsnPrdForPldg>** contains one of the following elements (see [Period6Choice](#) on page 891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Period <Prd>	[1..1]	±		892
Or}	PeriodCode <PrdCd>	[1..1]	CodeSet		892

### 16.1.3.2.9 DepositorySuspensionPeriodForSegregation <DpstrySspnsnPrdForSgrtn>

*Presence:* [0..1]

*Definition:* Period defining the last date for which intra-position balances can be segregated and the date on which the suspension will be released and the ability to segregate intra-position balances will resume.

**DepositorySuspensionPeriodForSegregation <DpstrySspnsnPrdForSgrtn>** contains one of the following elements (see [Period6Choice](#) on page 891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Period <Prd>	[1..1]	±		892
Or}	PeriodCode <PrdCd>	[1..1]	CodeSet		892

### 16.1.3.2.10 DepositorySuspensionPeriodForWithdrawalAtAgent <DpstrySspnsnPrdForWdrwlAtAgt>

*Presence:* [0..1]

*Definition:* Period defining the last date for which withdrawals, from nominee name at the agent will be accepted and the date on which the suspension will be released and withdrawals at agent processing will resume.

**DepositorySuspensionPeriodForWithdrawalAtAgent <DpstrySspnsnPrdForWdrwlAtAgt>** contains one of the following elements (see [Period6Choice](#) on page 891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Period <Prd>	[1..1]	±		892
Or}	PeriodCode <PrdCd>	[1..1]	CodeSet		892

### 16.1.3.2.11 DepositorySuspensionPeriodForWithdrawalInNomineeName <DpstrySspnsnPrdForWdrwlInNmneeNm>

*Presence:* [0..1]

*Definition:* Period defining the last date for which physical withdrawals in the nominee's name will be accepted and the date on which the suspension will be released and physical withdrawals in the nominee's name will resume.

**DepositorySuspensionPeriodForWithdrawalInNomineeName**

**<DpstrySspnsnPrdForWdrwlInNmneeNm>** contains one of the following elements (see [Period6Choice](#) on page 891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Period <Prd>	[1..1]	±		892
Or}	PeriodCode <PrdCd>	[1..1]	CodeSet		892

**16.1.3.2.12 DepositorySuspensionPeriodForWithdrawalInStreetName**

**<DpstrySspnsnPrdForWdrwlInStrtNm>**

*Presence:* [0..1]

*Definition:* Period defining the last date on which withdrawal requests in street name's will be accepted on the event security and the date on which the suspension will be released and withdrawal in street name's processing on the event security will resume.

**DepositorySuspensionPeriodForWithdrawalInStreetName**

**<DpstrySspnsnPrdForWdrwlInStrtNm>** contains one of the following elements (see [Period6Choice](#) on page 891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Period <Prd>	[1..1]	±		892
Or}	PeriodCode <PrdCd>	[1..1]	CodeSet		892

**16.1.3.2.13 BookClosurePeriod <BookClsrPrd>**

*Presence:* [0..1]

*Definition:* Period defining the last date on which shareholder registration will be accepted by the issuer and the date on which shareholder registration will resume.

**BookClosurePeriod <BookClsrPrd>** contains one of the following elements (see [Period6Choice](#) on page 891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Period <Prd>	[1..1]	±		892
Or}	PeriodCode <PrdCd>	[1..1]	CodeSet		892

**16.1.3.2.14 CoDepositoriesSuspensionPeriod <CoDpstriesSspnsnPrd>**

*Presence:* [0..1]

*Definition:* Period during which the settlement activities at the co-depositaries are suspended in order to stabilise the holdings at the CSD.

**CoDepositoriesSuspensionPeriod <CoDpstriesSspnsnPrd>** contains one of the following elements (see [Period6Choice](#) on page 891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Period <Prd>	[1..1]	±		892
Or}	PeriodCode <PrdCd>	[1..1]	CodeSet		892

### 16.1.3.2.15 SplitPeriod <SplPrd>

*Presence:* [0..1]

*Definition:* Period during which a physical certificate can be split.

**SplitPeriod <SplPrd>** contains one of the following elements (see [Period6Choice](#) on page 891 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Period <Prd>	[1..1]	±		892
Or}	PeriodCode <PrdCd>	[1..1]	CodeSet		892

## 16.1.4 Date Time

### 16.1.4.1 DateFormat41Choice

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

#### 16.1.4.1.1 Date <Dt>

*Presence:* [1..1]

*Definition:* Date expressed as a calendar date.

*Datatype:* [ISODate](#) on page 1342

#### 16.1.4.1.2 DateCode <DtCd>

*Presence:* [1..1]

*Definition:* Specifies the type of date.

**DateCode <DtCd>** contains one of the following **DateCode22Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

#### 16.1.4.1.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the type of date.

*Datatype:* [DateType8Code](#) on page 1310

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

#### 16.1.4.1.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the type of date.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 16.1.4.2 DateFormat64Choice

*Definition:* Provides the date.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		880
Or}	DateCode <DtCd>	[1..1]			881
{Or	Code <Cd>	[1..1]	CodeSet		881
Or}	Proprietary <Prtry>	[1..1]	±		881

#### 16.1.4.2.1 Date <Dt>

*Presence:* [1..1]

*Definition:* Date expressed as a calendar date.



*Datatype:* [ISODate on page 1342](#)

### 16.1.4.2.2 DateCode <DtCd>

*Presence:* [1..1]

*Definition:* Date is expressed using a code.

**DateCode <DtCd>** contains one of the following **DateCode27Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		881
Or}	Proprietary <Prtry>	[1..1]	±		881

#### 16.1.4.2.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to indicate the date is unknown.

*Datatype:* [DateType1Code on page 1309](#)

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

#### 16.1.4.2.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the type of date.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47 on page 951](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.4.3 DateFormat59Choice

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		882
Or}	DateCode <DtCd>	[1..1]			882
{Or	Code <Cd>	[1..1]	CodeSet		882
Or}	Proprietary <Prtry>	[1..1]	±		883

### 16.1.4.3.1 Date <Dt>

*Presence:* [1..1]

*Definition:* Date expressed as a calendar date.

**Date <Dt>** contains one of the following elements (see [DateAndDateTime2Choice](#) on page 887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		887
Or}	DateTime <DtTm>	[1..1]	DateTime		887

### 16.1.4.3.2 DateCode <DtCd>

*Presence:* [1..1]

*Definition:* Specifies the type of date.

**DateCode <DtCd>** contains one of the following **DateCode33Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		882
Or}	Proprietary <Prtry>	[1..1]	±		883

#### 16.1.4.3.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the type of date.

*Datatype:* [DateType9Code](#) on page 1310

CodeName	Name	Definition
PWAL	BlockingTillEndOfElectionPeriod	Blocking occurs until and inclusive of the end of the election period of the option.
MKDT	BlockingTillMarketDeadline	Blocking occurs until and inclusive of the market deadline of the option.
MEET	BlockingTillMeetingDate	Blocking occurs until and inclusive of the meeting date.
PAYD	BlockingTillPaymentDate	Unblocking will occur on payment date of the option.
RDTE	BlockingTillRecordDate	Blocking occurs until and inclusive of the record date of the event.
RDDT	BlockingTillResponseDeadline	Blocking occurs until and inclusive of the account servicer deadline for the option.
NARR	NarrativeUnblockingDate	Refer to additional information element for the date until when the securities are blocked.
UKWN	Unknown	Date is unknown by the sender or has not been established.

### 16.1.4.3.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the type of date.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification30](#) on page 950 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		950
	Issuer <Issr>	[1..1]	Text		950
	SchemeName <SchmeNm>	[0..1]	Text		950

### 16.1.4.4 DateFormat54Choice

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		883
Or	DateCodeAndTime <DtCdAndTm>	[1..1]			883
	DateCode <DtCd>	[1..1]			884
{Or	Code <Cd>	[1..1]	CodeSet		884
Or}	Proprietary <Prtry>	[1..1]	±		884
	Time <Tm>	[1..1]	Time		884
Or}	DateCode <DtCd>	[1..1]			885
{Or	Code <Cd>	[1..1]	CodeSet		885
Or}	Proprietary <Prtry>	[1..1]	±		885

#### 16.1.4.4.1 Date <Dt>

*Presence:* [1..1]

*Definition:* Date expressed as a calendar date.

**Date <Dt>** contains one of the following elements (see [DateAndDateTime2Choice](#) on page 887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		887
Or}	DateTime <DtTm>	[1..1]	DateTime		887

#### 16.1.4.4.2 DateCodeAndTime <DtCdAndTm>

*Presence:* [1..1]

*Definition:* Specifies a date code and a time.

**DateCodeAndTime <DtCdAndTm>** contains the following **DateCodeAndTimeFormat4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DateCode <DtCd>	[1..1]			884
{Or	Code <Cd>	[1..1]	CodeSet		884
Or}	Proprietary <Prtry>	[1..1]	±		884
	Time <Tm>	[1..1]	Time		884

#### 16.1.4.4.2.1 DateCode <DtCd>

*Presence:* [1..1]

*Definition:* Specifies the type of date.

**DateCode <DtCd>** contains one of the following **DateCode26Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		884
Or}	Proprietary <Prtry>	[1..1]	±		884

##### 16.1.4.4.2.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the type of date.

*Datatype:* [DateType7Code](#) on page 1309

CodeName	Name	Definition
ONGO	Ongoing	Ongoing basis, which indicates that the date is determined by "ongoing basis" process, for example "au fil de l'eau".

##### 16.1.4.4.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the type of date.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

##### 16.1.4.4.2.2 Time <Tm>

*Presence:* [1..1]

*Definition:* Specifies the time.

*Datatype:* [ISOTime on page 1355](#)

### 16.1.4.4.3 DateCode <DtCd>

*Presence:* [1..1]

*Definition:* Specifies the type of date.

**DateCode <DtCd>** contains one of the following **DateCode22Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		885
Or}	Proprietary <Prtry>	[1..1]	±		885

#### 16.1.4.4.3.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the type of date.

*Datatype:* [DateType8Code on page 1310](#)

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

#### 16.1.4.4.3.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the type of date.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47 on page 951](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 16.1.4.5 DateFormat49Choice

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		886
Or}	DateCode <DtCd>	[1..1]			886
{Or	Code <Cd>	[1..1]	CodeSet		886
Or}	Proprietary <Prtry>	[1..1]	±		886

#### 16.1.4.5.1 Date <Dt>

*Presence:* [1..1]

*Definition:* Date expressed as a calendar date.

**Date <Dt>** contains one of the following elements (see [DateAndDateTime2Choice](#) on page 887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		887
Or}	DateTime <DtTm>	[1..1]	DateTime		887

#### 16.1.4.5.2 DateCode <DtCd>

*Presence:* [1..1]

*Definition:* Specifies the type of date.

**DateCode <DtCd>** contains one of the following **DateCode22Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		886
Or}	Proprietary <Prtry>	[1..1]	±		886

##### 16.1.4.5.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the type of date.

*Datatype:* [DateType8Code](#) on page 1310

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

##### 16.1.4.5.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the type of date.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 16.1.4.6 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		887
Or}	DateTime <DtTm>	[1..1]	DateTime		887

##### 16.1.4.6.1 Date <Dt>

*Presence:* [1..1]

*Definition:* Specified date.

*Datatype:* [ISODate](#) on page 1342

##### 16.1.4.6.2 DateTime <DtTm>

*Presence:* [1..1]

*Definition:* Specified date and time.

*Datatype:* [ISODatetime](#) on page 1342

#### 16.1.4.7 DateFormat43Choice

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		887
Or}	DateCode <DtCd>	[1..1]			888
{Or	Code <Cd>	[1..1]	CodeSet		888
Or}	Proprietary <Prtry>	[1..1]	±		888

##### 16.1.4.7.1 Date <Dt>

*Presence:* [1..1]

*Definition:* Date expressed as a calendar date.

**Date <Dt>** contains one of the following elements (see [DateAndDateTime2Choice](#) on page 887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		887
Or}	DateTime <DtTm>	[1..1]	DateTime		887

#### 16.1.4.7.2 DateCode <DtCd>

*Presence:* [1..1]

*Definition:* Specifies the type of date.

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		888
Or}	Proprietary <Prtry>	[1..1]	±		888

##### 16.1.4.7.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the type of date.

*Datatype:* [DateType8Code](#) on page 1310

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

##### 16.1.4.7.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the type of date.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification30](#) on page 950 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		950
	Issuer <Issr>	[1..1]	Text		950
	SchemeName <SchmeNm>	[0..1]	Text		950



## 16.1.5 Date Time Period

### 16.1.5.1 DateTimePeriod1

*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		889
	ToDateTime <ToDtTm>	[1..1]	DateTime		889

#### 16.1.5.1.1 FromDateTime <FrDtTm>

*Presence:* [1..1]

*Definition:* Date and time at which the period starts.

*Datatype:* [ISODateTime on page 1342](#)

#### 16.1.5.1.2 ToDateTime <ToDtTm>

*Presence:* [1..1]

*Definition:* Date and time at which the period ends.

*Datatype:* [ISODateTime on page 1342](#)

### 16.1.5.2 DateOrDateTimePeriod1Choice

*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]	±		889
Or}	DateTime <DtTm>	[1..1]	±		889

#### 16.1.5.2.1 Date <Dt>

*Presence:* [1..1]

*Definition:* Period expressed with dates.

**Date <Dt>** contains the following elements (see [DatePeriod2 on page 873](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FromDate <FrDt>	[1..1]	Date		873
	ToDate <ToDt>	[1..1]	Date		873

#### 16.1.5.2.2 DateTime <DtTm>

*Presence:* [1..1]

*Definition:* Period expressed a dates and times.

**DateTime <DtTm>** contains the following elements (see [DateTimePeriod1](#) on page 889 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FromDateTime <FrDtTm>	[1..1]	DateTime		889
	ToDateTime <ToDtTm>	[1..1]	DateTime		889

### 16.1.5.3 Period11

*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
	StartDate <StartDt>	[1..1]			890
{Or	Date <Dt>	[1..1]	±		890
Or}	NotSpecifiedDate <NotSpcfdDt>	[1..1]	CodeSet		890
	EndDate <EndDt>	[1..1]			891
{Or	Date <Dt>	[1..1]	±		891
Or}	NotSpecifiedDate <NotSpcfdDt>	[1..1]	CodeSet		891

#### 16.1.5.3.1 StartDate <StartDt>

*Presence:* [1..1]

*Definition:* Date and time at which the range starts.

**StartDate <StartDt>** contains one of the following **DateFormat45Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		890
Or}	NotSpecifiedDate <NotSpcfdDt>	[1..1]	CodeSet		890

##### 16.1.5.3.1.1 Date <Dt>

*Presence:* [1..1]

*Definition:* Date expressed as an ISO Date.

**Date <Dt>** contains one of the following elements (see [DateAndDateTime2Choice](#) on page 887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		887
Or}	DateTime <DtTm>	[1..1]	DateTime		887

##### 16.1.5.3.1.2 NotSpecifiedDate <NotSpcfdDt>

*Presence:* [1..1]

*Definition:* Date not specified, for example, the date is unknown.

*Datatype:* [DateType8Code on page 1310](#)

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

### 16.1.5.3.2 EndDate <EndDt>

*Presence:* [1..1]

*Definition:* Date and time at which the range ends.

**EndDate <EndDt>** contains one of the following **DateFormat45Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		891
Or}	NotSpecifiedDate <NotSpcfdDt>	[1..1]	CodeSet		891

#### 16.1.5.3.2.1 Date <Dt>

*Presence:* [1..1]

*Definition:* Date expressed as an ISO Date.

**Date <Dt>** contains one of the following elements (see [DateAndDateTime2Choice on page 887](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		887
Or}	DateTime <DtTm>	[1..1]	DateTime		887

#### 16.1.5.3.2.2 NotSpecifiedDate <NotSpcfdDt>

*Presence:* [1..1]

*Definition:* Date not specified, for example, the date is unknown.

*Datatype:* [DateType8Code on page 1310](#)

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

### 16.1.5.4 Period6Choice

*Definition:* Choice between a period or a period code.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Period <Prd>	[1..1]	±		892
Or}	PeriodCode <PrdCd>	[1..1]	CodeSet		892

#### 16.1.5.4.1 Period <Prd>

*Presence:* [1..1]

*Definition:* Time span defined by a start date and time, and an end date and time.

**Period <Prd>** contains the following elements (see [Period11 on page 890](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	StartDate <StartDt>	[1..1]			890
{Or	Date <Dt>	[1..1]	±		890
Or}	NotSpecifiedDate <NotSpcfdDt>	[1..1]	CodeSet		890
	EndDate <EndDt>	[1..1]			891
{Or	Date <Dt>	[1..1]	±		891
Or}	NotSpecifiedDate <NotSpcfdDt>	[1..1]	CodeSet		891

#### 16.1.5.4.2 PeriodCode <PrdCd>

*Presence:* [1..1]

*Definition:* Standard code to specify the type of period.

*Datatype:* [DateType8Code on page 1310](#)

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

## 16.1.6 Document

### 16.1.6.1 DocumentIdentification37

*Definition:* Identification of a document and type of link.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		893
	LinkageType <LkgTp>	[0..1]	±	C32	893

### 16.1.6.1.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identifies the document.

*Datatype:* [RestrictedFINXMax16Text on page 1352](#)

### 16.1.6.1.2 LinkageType <LkgTp>

*Presence:* [0..1]

*Definition:* Specifies when this document is to be processed relative to another referred document.

*Impacted by:* [C32 WithLinkageRule](#)

**LinkageType <LkgTp>** contains one of the following elements (see [ProcessingPosition10Choice on page 1019](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1019
Or}	Proprietary <Prtry>	[1..1]	±		1019

#### Constraints

- **WithLinkageRule**

(Rule)

If Code WITH is used, then the one or more instruction which are linked become bound and which must be executed together. Even if one single transactions/instructions/notifications can not be executed, then all the other transactions/instructions/notifications must also be kept pending. Therefore the use of code WITH must be limited to combine up to 2 or 3 transactions/instructions/notifications.

### 16.1.6.2 DocumentNumber6Choice

*Definition:* Choice between a short document number, a long document number or a proprietary document number.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ShortNumber <ShrtNb>	[1..1]	Text		894
Or	LongNumber <LngNb>	[1..1]	Text		894
Or}	ProprietaryNumber <PrtryNb>	[1..1]	±		894

#### Constraints

- **ShortLongNumberRule**

(Rule)

ShortNumber must contain the FIN message type number of the linked message. LongNumber must contain the XML message identifier of the linked message.

### 16.1.6.2.1 ShortNumber <ShrtNb>

*Presence:* [1..1]

*Definition:* Message type number of the document referenced.

*Datatype:* [Exact3NumericText on page 1347](#)

### 16.1.6.2.2 LongNumber <LngNb>

*Presence:* [1..1]

*Definition:* MX Message identifier of the referenced document.

*Datatype:* [ISO20022MessageIdentificationText on page 1348](#)

### 16.1.6.2.3 ProprietaryNumber <PrtryNb>

*Presence:* [1..1]

*Definition:* Proprietary document identification.

**ProprietaryNumber <PrtryNb>** contains the following elements (see [GenericIdentification86 on page 948](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		948
	Issuer <Issr>	[1..1]	Text		949
	SchemeName <SchmeNm>	[0..1]	Text		949

### 16.1.6.3 DocumentIdentification34

*Definition:* Identification of a document as well as the document number.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			894
{Or	AccountServicerDocumentIdentification <AcctSvcrDocId>	[1..1]	Text		895
Or}	AccountOwnerDocumentIdentification <AcctOwnrDocId>	[1..1]	Text		895
	DocumentNumber <DocNb>	[0..1]	±	C6	895

#### 16.1.6.3.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique identifier of the document (message) assigned either by the account servicer or the account owner.

**Identification <Id>** contains one of the following **DocumentIdentification4Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AccountServicerDocumentIdentification <AcctSvcrDocId>	[1..1]	Text		895
Or}	AccountOwnerDocumentIdentification <AcctOwnrDocId>	[1..1]	Text		895

#### 16.1.6.3.1.1 AccountServicerDocumentIdentification <AcctSvcrDocId>

*Presence:* [1..1]

*Definition:* Identification of the document assigned by the account servicer.

*Datatype:* [RestrictedFINXMax16Text on page 1352](#)

#### 16.1.6.3.1.2 AccountOwnerDocumentIdentification <AcctOwnrDocId>

*Presence:* [1..1]

*Definition:* Identification of the document assigned by the account owner.

*Datatype:* [RestrictedFINXMax16Text on page 1352](#)

#### 16.1.6.3.2 DocumentNumber <DocNb>

*Presence:* [0..1]

*Definition:* Identification of the type of document.

*Impacted by:* [C6 ShortLongNumberRule](#)

**DocumentNumber <DocNb>** contains one of the following elements (see [DocumentNumber6Choice on page 893](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ShortNumber <ShrtNb>	[1..1]	Text		894
Or	LongNumber <LngNb>	[1..1]	Text		894
Or}	ProprietaryNumber <PrtryNb>	[1..1]	±		894

#### Constraints

- **ShortLongNumberRule**

(Rule)

ShortNumber must contain the FIN message type number of the linked message. LongNumber must contain the XML message identifier of the linked message.

#### 16.1.6.4 DocumentIdentification38

*Definition:* Identification of a document as well as the document number and type of link.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			896
{Or	AccountServicerDocumentIdentification <AcctSvcrDocId>	[1..1]	Text		896
Or}	AccountOwnerDocumentIdentification <AcctOwnrDocId>	[1..1]	Text		896
	DocumentNumber <DocNb>	[0..1]	±	C6	896
	LinkageType <LkgTp>	[0..1]	±	C32	897

#### 16.1.6.4.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique identifier of the document (message) assigned either by the account servicer or the account owner.

**Identification <Id>** contains one of the following **DocumentIdentification4Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AccountServicerDocumentIdentification <AcctSvcrDocId>	[1..1]	Text		896
Or}	AccountOwnerDocumentIdentification <AcctOwnrDocId>	[1..1]	Text		896

##### 16.1.6.4.1.1 AccountServicerDocumentIdentification <AcctSvcrDocId>

*Presence:* [1..1]

*Definition:* Identification of the document assigned by the account servicer.

*Datatype:* RestrictedFINXMax16Text on page 1352

##### 16.1.6.4.1.2 AccountOwnerDocumentIdentification <AcctOwnrDocId>

*Presence:* [1..1]

*Definition:* Identification of the document assigned by the account owner.

*Datatype:* RestrictedFINXMax16Text on page 1352

#### 16.1.6.4.2 DocumentNumber <DocNb>

*Presence:* [0..1]

*Definition:* Identification of the type of document.

*Impacted by:* C6 ShortLongNumberRule



**DocumentNumber <DocNb>** contains one of the following elements (see [DocumentNumber6Choice](#) on page 893 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ShortNumber <ShrtNb>	[1..1]	Text		894
Or	LongNumber <LngNb>	[1..1]	Text		894
Or}	ProprietaryNumber <PrtryNb>	[1..1]	±		894

**Constraints**

- **ShortLongNumberRule**

(Rule)

ShortNumber must contain the FIN message type number of the linked message. LongNumber must contain the XML message identifier of the linked message.

**16.1.6.4.3 LinkageType <LkgTp>**

*Presence:* [0..1]

*Definition:* Specifies when this document is to be processed relative to another referred document.

*Impacted by:* [C32 WithLinkageRule](#)

**LinkageType <LkgTp>** contains one of the following elements (see [ProcessingPosition10Choice](#) on page 1019 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1019
Or}	Proprietary <Prtry>	[1..1]	±		1019

**Constraints**

- **WithLinkageRule**

(Rule)

If Code WITH is used, then the one or more instruction which are linked become bound and which must be executed together. Even if one single transactions/instructions/notifications can not be executed, then all the other transactions/instructions/notifications must also be kept pending. Therefore the use of code WITH must be limited to combine up to 2 or 3 transactions/instructions/notifications.

**16.1.6.5 DocumentIdentification17**

*Definition:* Identifies a document by a unique identification.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		898

### 16.1.6.5.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identifies the document.

*Datatype:* [RestrictedFINXMax16Text on page 1352](#)

## 16.1.7 Financial Institution Identification

### 16.1.7.1 ClearingSystemMemberIdentification2

*Definition:* Unique identification, as assigned by a clearing system, to unambiguously identify a member of the clearing system.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ClearingSystemIdentification <ClrSysId>	[0..1]	±		898
	MemberIdentification <Mmbld>	[1..1]	Text		898

#### 16.1.7.1.1 ClearingSystemIdentification <ClrSysId>

*Presence:* [0..1]

*Definition:* Specification of a pre-agreed offering between clearing agents or the channel through which the payment instruction is processed.

**ClearingSystemIdentification <ClrSysId>** contains one of the following elements (see [ClearingSystemIdentification2Choice on page 1257](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1257
Or}	Proprietary <Prtry>	[1..1]	Text		1257

#### 16.1.7.1.2 MemberIdentification <Mmbld>

*Presence:* [1..1]

*Definition:* Identification of a member of a clearing system.

*Datatype:* [Max35Text on page 1349](#)

#### 16.1.7.2 FinancialInstitutionIdentification18

*Definition:* Specifies the details to identify a financial institution.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C2	899
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		899
	LEI <LEI>	[0..1]	IdentifierSet		899
	Name <Nm>	[0..1]	Text		900
	PostalAddress <PstlAdr>	[0..1]	±		900
	Other <Othr>	[0..1]	±		900

### 16.1.7.2.1 BICFI <BICFI>

*Presence:* [0..1]

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

*Impacted by:* C2 BICFI

*Datatype:* BICFIDec2014Identifier on page 1343

#### 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.

### 16.1.7.2.2 ClearingSystemMemberIdentification <ClrSysMmbld>

*Presence:* [0..1]

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

**ClearingSystemMemberIdentification <ClrSysMmbld>** contains the following elements (see [ClearingSystemMemberIdentification2 on page 898](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ClearingSystemIdentification <ClrSysId>	[0..1]	±		898
	MemberIdentification <Mmbld>	[1..1]	Text		898

### 16.1.7.2.3 LEI <LEI>

*Presence:* [0..1]

*Definition:* Legal entity identifier of the financial institution.

*Datatype:* [LEIIdentifier on page 1345](#)

#### 16.1.7.2.4 Name <Nm>

*Presence:* [0..1]

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

*Datatype:* [Max140Text on page 1348](#)

#### 16.1.7.2.5 PostalAddress <PstAdr>

*Presence:* [0..1]

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

**PostalAddress <PstAdr>** contains the following elements (see [PostalAddress24 on page 1106](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			1106
{Or	Code <Cd>	[1..1]	CodeSet		1106
Or}	Proprietary <Prtry>	[1..1]	±		1107
	Department <Dept>	[0..1]	Text		1107
	SubDepartment <SubDept>	[0..1]	Text		1107
	StreetName <StrtNm>	[0..1]	Text		1107
	BuildingNumber <BldgNb>	[0..1]	Text		1107
	BuildingName <BldgNm>	[0..1]	Text		1108
	Floor <Flr>	[0..1]	Text		1108
	PostBox <PstBx>	[0..1]	Text		1108
	Room <Room>	[0..1]	Text		1108
	PostCode <PstCd>	[0..1]	Text		1108
	TownName <TwnNm>	[0..1]	Text		1108
	TownLocationName <TwnLctnNm>	[0..1]	Text		1108
	DistrictName <DstrctNm>	[0..1]	Text		1108
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		1109
	Country <Ctry>	[0..1]	CodeSet	C3	1109
	AddressLine <AdrLine>	[0..7]	Text		1109

#### 16.1.7.2.6 Other <Othr>

*Presence:* [0..1]

*Definition:* Unique identification of an agent, as assigned by an institution, using an identification scheme.

**Other <Othr>** contains the following elements (see [GenericFinancialIdentification1](#) on page 903 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		903
	SchemeName <SchmeNm>	[0..1]			904
{Or	Code <Cd>	[1..1]	CodeSet		904
Or}	Proprietary <Prtry>	[1..1]	Text		904
	Issuer <Issr>	[0..1]	Text		904

### 16.1.7.3 BranchData3

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		901
	LEI <LEI>	[0..1]	IdentifierSet		901
	Name <Nm>	[0..1]	Text		901
	PostalAddress <PstlAdr>	[0..1]	±		901

#### 16.1.7.3.1 Identification <Id>

*Presence:* [0..1]

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

*Datatype:* [Max35Text](#) on page 1349

#### 16.1.7.3.2 LEI <LEI>

*Presence:* [0..1]

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

*Datatype:* [LEIIdentifier](#) on page 1345

#### 16.1.7.3.3 Name <Nm>

*Presence:* [0..1]

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

*Datatype:* [Max140Text](#) on page 1348

#### 16.1.7.3.4 PostalAddress <PstlAdr>

*Presence:* [0..1]

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

**PostalAddress <PstIAdr>** contains the following elements (see [PostalAddress24](#) on page 1106 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			1106
{Or	Code <Cd>	[1..1]	CodeSet		1106
Or}	Proprietary <Prtry>	[1..1]	±		1107
	Department <Dept>	[0..1]	Text		1107
	SubDepartment <SubDept>	[0..1]	Text		1107
	StreetName <StrtNm>	[0..1]	Text		1107
	BuildingNumber <BldgNb>	[0..1]	Text		1107
	BuildingName <BldgNm>	[0..1]	Text		1108
	Floor <Flr>	[0..1]	Text		1108
	PostBox <PstBx>	[0..1]	Text		1108
	Room <Room>	[0..1]	Text		1108
	PostCode <PstCd>	[0..1]	Text		1108
	TownName <TwnNm>	[0..1]	Text		1108
	TownLocationName <TwnLctnNm>	[0..1]	Text		1108
	DistrictName <DstrctNm>	[0..1]	Text		1108
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		1109
	Country <Ctry>	[0..1]	CodeSet	C3	1109
	AddressLine <AdrLine>	[0..7]	Text		1109

#### 16.1.7.4 BranchAndFinancialInstitutionIdentification6

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstitutionIdentification <FinInstnId>	[1..1]	±		902
	BranchIdentification <BrnchId>	[0..1]	±		903

##### 16.1.7.4.1 FinancialInstitutionIdentification <FinInstnId>

*Presence:* [1..1]

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

**FinancialInstitutionIdentification <FinInstnId>** contains the following elements (see [FinancialInstitutionIdentification18](#) on page 898 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C2	899
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		899
	LEI <LEI>	[0..1]	IdentifierSet		899
	Name <Nm>	[0..1]	Text		900
	PostalAddress <PstlAdr>	[0..1]	±		900
	Other <Othr>	[0..1]	±		900

#### 16.1.7.4.2 BranchIdentification <BrnchId>

*Presence:* [0..1]

*Definition:* Identifies a specific branch of a financial institution.

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

**BranchIdentification <BrnchId>** contains the following elements (see [BranchData3](#) on page 901 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		901
	LEI <LEI>	[0..1]	IdentifierSet		901
	Name <Nm>	[0..1]	Text		901
	PostalAddress <PstlAdr>	[0..1]	±		901

#### 16.1.7.5 GenericFinancialIdentification1

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		903
	SchemeName <SchmeNm>	[0..1]			904
{Or	Code <Cd>	[1..1]	CodeSet		904
Or}	Proprietary <Prtry>	[1..1]	Text		904
	Issuer <Issr>	[0..1]	Text		904

##### 16.1.7.5.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification of a person.

*Datatype:* [Max35Text on page 1349](#)

### 16.1.7.5.2 SchemeName <SchmeNm>

*Presence:* [0..1]

*Definition:* Name of the identification scheme.

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		904
Or}	Proprietary <Prtry>	[1..1]	Text		904

#### 16.1.7.5.2.1 Code <Cd>

*Presence:* [1..1]

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

*Datatype:* [ExternalFinancialInstitutionIdentification1Code on page 1313](#)

#### 16.1.7.5.2.2 Proprietary <Prtry>

*Presence:* [1..1]

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

*Datatype:* [Max35Text on page 1349](#)

### 16.1.7.5.3 Issuer <Issr>

*Presence:* [0..1]

*Definition:* Entity that assigns the identification.

*Datatype:* [Max35Text on page 1349](#)

## 16.1.8 Financial Instrument

### 16.1.8.1 SecurityIdentification20

*Definition:* Identification of a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		906
	OtherIdentification <OthrlId>	[0..*]			906
	Identification <Id>	[1..1]	Text		906
	Suffix <Sfx>	[0..1]	Text		906
	Type <Tp>	[1..1]	±		906
	Description <Desc>	[0..1]	Text		907



## 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 a ISIN code exist. 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.

**16.1.8.1.1 ISIN <ISIN>**

*Presence:* [0..1]

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

*Datatype:* [ISINOct2015Identifier on page 1344](#)

**16.1.8.1.2 OtherIdentification <Othrid>**

*Presence:* [0..\*]

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

**OtherIdentification <Othrid>** contains the following **OtherIdentification2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		906
	Suffix <Sfx>	[0..1]	Text		906
	Type <Tp>	[1..1]	±		906

**16.1.8.1.2.1 Identification <Id>**

*Presence:* [1..1]

*Definition:* Identification of a security.

*Datatype:* [RestrictedFINXMax31Text on page 1353](#)

**16.1.8.1.2.2 Suffix <Sfx>**

*Presence:* [0..1]

*Definition:* Identifies the suffix of the security identification.

*Datatype:* [Max16Text on page 1348](#)

**16.1.8.1.2.3 Type <Tp>**

*Presence:* [1..1]

*Definition:* Type of the identification.

**Type <Tp>** contains one of the following elements (see [IdentificationSource4Choice](#) on page 946 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		946
Or}	Proprietary <Prtry>	[1..1]	Text		946

### 16.1.8.1.3 Description <Desc>

*Presence:* [0..1]

*Definition:* Textual description of a security instrument.

*Datatype:* [RestrictedFINXMax140Text](#) on page 1352

### 16.1.8.2 FinancialInstrumentAttributes120

*Definition:* Description of the financial instrument.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentIdentification <FinInstrmId>	[0..1]	±	C12, C13, C19, C20, C23	908
	PlaceOfListing <PlcOfListg>	[0..1]	±		910
	DayCountBasis <DayCntBsis>	[0..1]	±		910
	ClassificationType <ClssfctnTp>	[0..1]	±		910
	DenominationCurrency <DnmtnCcy>	[0..1]	CodeSet	C2	911
	NextCouponDate <NxtCpnDt>	[0..1]	Date		911
	ExpiryDate <XpryDt>	[0..1]	Date		911
	FloatingRateFixingDate <FltgRateFxdt>	[0..1]	Date		911
	MaturityDate <MtrtyDt>	[0..1]	Date		912
	IssueDate <IsseDt>	[0..1]	Date		912
	NextCallableDate <NxtClblDt>	[0..1]	Date		912
	PutableDate <PutblDt>	[0..1]	Date		912
	DatedDate <DtdDt>	[0..1]	Date		912
	ConversionDate <ConvsDt>	[0..1]	Date		912
	PreviousFactor <PrvsFctr>	[0..1]	Rate		912
	NextFactor <NxtFctr>	[0..1]	Rate		912
	InterestRate <IntrstRate>	[0..1]	Rate		913
	NextInterestRate <NxtIntrstRate>	[0..1]	Rate		913
	MinimumNominalQuantity <MinNmnlQty>	[0..1]	±	C14	913
	ContractSize <CtrctSz>	[0..1]	±	C14	913

### Constraints

- **PreviousNextFactorRule**

(Rule)

In case of partial redemption by pool factor, PreviousFactor provides the factor applicable before redemption and NextFactor provides the factor applicable after redemption.

#### 16.1.8.2.1 FinancialInstrumentIdentification <FinInstrmId>

Presence: [0..1]

Definition: Identification of a financial instrument.

Impacted by: C12 DescriptionPresenceRule \_\_, C13 DescriptionUsageRule, C19 ISINGuideline, C20 ISINPresenceRule \_\_, C23 OtherIdentificationPresenceRule \_\_

**FinancialInstrumentIdentification <FinInstrmId>** contains the following elements (see [SecurityIdentification20 on page 904](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		906
	OtherIdentification <OthrlId>	[0..*]			906
	Identification <Id>	[1..1]	Text		906
	Suffix <Sfx>	[0..1]	Text		906
	Type <Tp>	[1..1]	±		906
	Description <Desc>	[0..1]	Text		907

### 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 a ISIN code exist. 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.

**16.1.8.2.2 PlaceOfListing <PlcOfListg>**

*Presence:* [0..1]

*Definition:* Place where the referenced financial instrument is listed.

**PlaceOfListing <PlcOfListg>** contains one of the following elements (see [MarketIdentification4Choice](#) on page 952 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	MarketIdentifierCode <MktldrCd>	[1..1]	IdentifierSet		952
Or}	Description <Desc>	[1..1]	Text		952

**16.1.8.2.3 DayCountBasis <DayCntBsis>**

*Presence:* [0..1]

*Definition:* Specifies the computation method of (accrued) interest of the financial instrument.

**DayCountBasis <DayCntBsis>** contains one of the following elements (see [InterestComputationMethodFormat5Choice](#) on page 1066 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1066
Or}	Proprietary <Prtry>	[1..1]	±		1069

**16.1.8.2.4 ClassificationType <ClssfctnTp>**

*Presence:* [0..1]

*Definition:* Classification type of the financial instrument, as per the ISO Classification of Financial Instrument (CFI).

**ClassificationType <ClssfctnTp>** contains one of the following elements (see [ClassificationType33Choice](#) on page 1066 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ClassificationFinancialInstrument <ClssfctnFinInstrm>	[1..1]	IdentifierSet		1066
Or}	AlternateClassification <AltrnClssfctn>	[1..1]	±		1066

### 16.1.8.2.5 DenominationCurrency <DnmtnCcy>

*Presence:* [0..1]

*Definition:* Currency in which a financial instrument is currently denominated.

*Impacted by:* [C2 ActiveOrHistoricCurrency](#)

*Datatype:* [ActiveOrHistoricCurrencyCode](#) on page 1261

#### 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.

### 16.1.8.2.6 NextCouponDate <NxtCpnDt>

*Presence:* [0..1]

*Definition:* Next payment date of an interest bearing financial instrument.

*Datatype:* [ISODate](#) on page 1342

### 16.1.8.2.7 ExpiryDate <XpryDt>

*Presence:* [0..1]

*Definition:* Date on which an order expires or at which a privilege or offer terminates.

*Datatype:* [ISODate](#) on page 1342

### 16.1.8.2.8 FloatingRateFixingDate <FltgRateFgxDt>

*Presence:* [0..1]

*Definition:* Date on which the interest rate or redemption price will be/was calculated according to the terms of the issue.

*Datatype:* [ISODate on page 1342](#)

#### **16.1.8.2.9 MaturityDate <MtrtyDt>**

*Presence:* [0..1]

*Definition:* Date on which a financial instrument becomes due and assets are to be repaid.

*Datatype:* [ISODate on page 1342](#)

#### **16.1.8.2.10 IssueDate <IsseDt>**

*Presence:* [0..1]

*Definition:* Date on which the financial instrument is issued.

*Datatype:* [ISODate on page 1342](#)

#### **16.1.8.2.11 NextCallableDate <NxtClbIDt>**

*Presence:* [0..1]

*Definition:* Date on which a financial instrument is called away/redeemed before its scheduled maturity.

*Datatype:* [ISODate on page 1342](#)

#### **16.1.8.2.12 PutableDate <PutbIDt>**

*Presence:* [0..1]

*Definition:* Date on which a holder of a financial instrument has the right to request redemption of the principal amount prior to its scheduled maturity date.

*Datatype:* [ISODate on page 1342](#)

#### **16.1.8.2.13 DatedDate <DtdDt>**

*Presence:* [0..1]

*Definition:* Date on which an interest bearing financial instrument begins to accrue interest.

*Datatype:* [ISODate on page 1342](#)

#### **16.1.8.2.14 ConversionDate <ConvDt>**

*Presence:* [0..1]

*Definition:* Deadline by which a convertible security must be converted, according to the terms of the issue.

*Datatype:* [ISODate on page 1342](#)

#### **16.1.8.2.15 PreviousFactor <PrvsFctr>**

*Presence:* [0..1]

*Definition:* Factor used to calculate the value of the outstanding principal of the financial instrument (for factored securities) until the next redemption (factor) date.

*Datatype:* [BaseOne14Rate on page 1346](#)

#### **16.1.8.2.16 NextFactor <NxtFctr>**

*Presence:* [0..1]



*Definition:* Factor used to calculate the value of the outstanding principal of the financial instrument (for factored securities) that will applicable after the redemption (factor) date.

*Datatype:* [BaseOne14Rate](#) on page 1346

### 16.1.8.2.17 InterestRate <IntrstRate>

*Presence:* [0..1]

*Definition:* Annualised interest rate of a financial instrument used to calculate the actual interest rate of the coupon or the accrued interest.

*Datatype:* [PercentageRate](#) on page 1347

### 16.1.8.2.18 NextInterestRate <NxtIntrstRate>

*Presence:* [0..1]

*Definition:* Interest rate applicable to the next interest payment period in relation to variable rate instruments.

*Datatype:* [PercentageRate](#) on page 1347

### 16.1.8.2.19 MinimumNominalQuantity <MinNmnlQty>

*Presence:* [0..1]

*Definition:* Minimum nominal quantity of financial instrument.

*Impacted by:* [C14 DigitalTokenUnitUsageRule](#)

**MinimumNominalQuantity <MinNmnlQty>** contains one of the following elements (see [FinancialInstrumentQuantity36Choice](#) on page 1150 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1150
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1151
Or	AmortisedValue <AmtsVal>	[1..1]	Amount		1151
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1151

#### Constraints

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

### 16.1.8.2.20 ContractSize <CtrctSz>

*Presence:* [0..1]

*Definition:* Ratio or multiplying factor used to convert one contract into a financial instrument quantity.

*Impacted by:* [C14 DigitalTokenUnitUsageRule](#)

**ContractSize <CtrctSz>** contains one of the following elements (see [FinancialInstrumentQuantity36Choice](#) on page 1150 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1150
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1151
Or	AmortisedValue <AmtsVal>	[1..1]	Amount		1151
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1151

#### Constraints

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

### 16.1.8.3 FinancialInstrumentAttributes117

*Definition:* Description of the financial instrument.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SecurityIdentification <Sctyld>	[1..1]	±	C12, C13, C19, C20, C23	914
	Quantity <Qty>	[0..1]	Quantity		916
	RenounceableEntitlementStatusType <RnnclEntitlmntStsTp>	[0..1]	±		916
	FractionDisposition <FrctnDspstn>	[0..1]	±		916
	IntermediateSecuritiesToUnderlyingRatio <IntrmdtSctiesToUndrlygRatio>	[0..1]	±		917
	MarketPrice <MktPric>	[0..1]	±		917
	ExpiryDate <XpryDt>	[1..1]	±		917
	PostingDate <PstngDt>	[1..1]	±		917
	TradingPeriod <TradgPrd>	[0..1]	±		918
	UninstructedBalance <UinstdBal>	[0..1]	±		918
	InstructedBalance <InstdBal>	[0..1]	±		918

#### 16.1.8.3.1 SecurityIdentification <Sctyld>

*Presence:* [1..1]

*Definition:* Identifies the financial instrument.

*Impacted by:* [C12 DescriptionPresenceRule](#), [C13 DescriptionUsageRule](#), [C19 ISINGuideline](#),  
[C20 ISINPresenceRule](#), [C23 OtherIdentificationPresenceRule](#)

**SecurityIdentification <Sctyld>** contains the following elements (see [SecurityIdentification20](#) on page 904 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		906
	OtherIdentification <Othrlid>	[0..*]			906
	Identification <Id>	[1..1]	Text		906
	Suffix <Sfx>	[0..1]	Text		906
	Type <Tp>	[1..1]	±		906
	Description <Desc>	[0..1]	Text		907

### 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 a ISIN code exist. 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.

**16.1.8.3.2 Quantity <Qty>**

*Presence:* [0..1]

*Definition:* Quantity of entitled intermediate securities based on the balance of underlying securities.

*Datatype:* RestrictedFINDecimalNumber on page 1346

**16.1.8.3.3 RenounceableEntitlementStatusType <RnncblEntitlmntStsTp>**

*Presence:* [0..1]

*Definition:* Specifies whether terms of the event allow resale of the rights.

**RenounceableEntitlementStatusType <RnncblEntitlmntStsTp>** contains one of the following elements (see RenounceableEntitlementStatusTypeFormat4Choice on page 1064 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1064
Or}	Proprietary <Prtry>	[1..1]	±		1065

**16.1.8.3.4 FractionDisposition <FrctnDspstn>**

*Presence:* [0..1]

*Definition:* Specifies how fractions resulting from derived securities will be processed or how prorated decisions will be rounding, if provided with a pro ration rate.

**FractionDisposition <FrctnDspstn>** contains one of the following elements (see [FractionDispositionType32Choice](#) on page 1063 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1063
Or}	Proprietary <Prtry>	[1..1]	±		1064

#### 16.1.8.3.5 IntermediateSecuritiesToUnderlyingRatio <IntrmdtSciesToUndrlygRatio>

*Presence:* [0..1]

*Definition:* Quantity of intermediate securities awarded for a given quantity of underlying security.

**IntermediateSecuritiesToUnderlyingRatio <IntrmdtSciesToUndrlygRatio>** contains the following elements (see [QuantityToQuantityRatio2](#) on page 1222 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity1 <Qty1>	[1..1]	Quantity		1222
	Quantity2 <Qty2>	[1..1]	Quantity		1222

#### 16.1.8.3.6 MarketPrice <MktPric>

*Presence:* [0..1]

*Definition:* Last reported/known price of a financial instrument in a market.

**MarketPrice <MktPric>** contains the following elements (see [AmountPrice4](#) on page 1109 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1109
	PriceValue <PricVal>	[1..1]	Amount	C1	1110

#### 16.1.8.3.7 ExpiryDate <XpryDt>

*Presence:* [1..1]

*Definition:* Date on which an order expires or at which a privilege or offer terminates.

**ExpiryDate <XpryDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

#### 16.1.8.3.8 PostingDate <PstngDt>

*Presence:* [1..1]

*Definition:* Date of the posting (credit or debit) to the account.

**PostingDate <PstngDt>** contains one of the following elements (see [DateFormat41Choice](#) on page 879 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		879
Or}	DateCode <DtCd>	[1..1]			879
{Or	Code <Cd>	[1..1]	CodeSet		880
Or}	Proprietary <Prtry>	[1..1]	±		880

### 16.1.8.3.9 TradingPeriod <TradgPrd>

*Presence:* [0..1]

*Definition:* Period during which intermediate or outturn securities are tradable in a secondary market.

**TradingPeriod <TradgPrd>** contains the following elements (see [Period11](#) on page 890 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	StartDate <StartDt>	[1..1]			890
{Or	Date <Dt>	[1..1]	±		890
Or}	NotSpecifiedDate <NotSpcfdDt>	[1..1]	CodeSet		890
	EndDate <EndDt>	[1..1]			891
{Or	Date <Dt>	[1..1]	±		891
Or}	NotSpecifiedDate <NotSpcfdDt>	[1..1]	CodeSet		891

### 16.1.8.3.10 UninstructedBalance <UinstdBal>

*Presence:* [0..1]

*Definition:* Balance of uninstructed position.

**UninstructedBalance <UinstdBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

### 16.1.8.3.11 InstructedBalance <InstdBal>

*Presence:* [0..1]

*Definition:* Balance of instructed position.

**InstructedBalance <InstdBal>** contains one of the following elements (see [BalanceFormat14Choice](#) on page 872 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		872
Or	EligibleBalance <ElgblBal>	[1..1]	±		873
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		873

#### 16.1.8.4 FinancialInstrumentAttributes115

*Definition:* Description of the financial instrument.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C12, C13, C19, C20, C23	921
	PlaceOfListing <PlcOfListg>	[0..1]	±		922
	DayCountBasis <DayCntBsis>	[0..1]	±		922
	ClassificationType <ClssfctnTp>	[0..1]	±		923
	OptionStyle <OptnStyle>	[0..1]	±		923
	DenominationCurrency <DnmtnCcy>	[0..1]	CodeSet	C2	923
	NextCouponDate <NxtCpnDt>	[0..1]	Date		924
	FloatingRateFixingDate <FltgRateFxdt>	[0..1]	Date		924
	MaturityDate <MtrtyDt>	[0..1]	Date		924
	IssueDate <IsseDt>	[0..1]	Date		924
	NextCallableDate <NxtClblDt>	[0..1]	Date		924
	PutableDate <PutblDt>	[0..1]	Date		924
	DatedDate <DtdDt>	[0..1]	Date		924
	ConversionDate <ConvsDt>	[0..1]	Date		925
	PreviousFactor <PrvsFctr>	[0..1]	±		925
	NextFactor <NxtFctr>	[0..1]	±		925
	InterestRate <IntrstRate>	[0..1]	±		925
	NextInterestRate <NxtIntrstRate>	[0..1]	±		925
	MinimumNominalQuantity <MinNmnlQty>	[0..1]	±	C14	926
	MinimumQuantityToInstruct <MinQtyToInst>	[0..1]	±	C14	926
	MinimumMultipleQuantityToInstruct <MinMltpQtyToInst>	[0..1]	±	C14	927
	ContractSize <CtrctSz>	[0..1]	±	C14	927
	IssuePrice <IssePric>	[0..1]	±		928

### Constraints

- **MaturityDateRule**

(Rule)

Maturity date may only provide generic information about the final maturity of the underlying instrument.

- **PreviousNextFactorRule**

(Rule)



In case of partial redemption by pool factor, PreviousFactor provides the factor applicable before redemption and NextFactor provides the factor applicable after redemption.

#### 16.1.8.4.1 FinancialInstrumentIdentification <FinInstrmId>

Presence: [1..1]

Definition: Identification of the financial instrument.

Impacted by: C12 DescriptionPresenceRule, C13 DescriptionUsageRule, C19 ISINGuideline, C20 ISINPresenceRule, C23 OtherIdentificationPresenceRule

FinancialInstrumentIdentification <FinInstrmId> contains the following elements (see SecurityIdentification20 on page 904 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		906
	OtherIdentification <OthrlId>	[0..*]			906
	Identification <Id>	[1..1]	Text		906
	Suffix <Sfx>	[0..1]	Text		906
	Type <Tp>	[1..1]	±		906
	Description <Desc>	[0..1]	Text		907

#### 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 a ISIN code exist. 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.

#### 16.1.8.4.2 PlaceOfListing <PlcOfListg>

*Presence:* [0..1]

*Definition:* Place where the referenced financial instrument is listed.

**PlaceOfListing <PlcOfListg>** contains one of the following elements (see [MarketIdentification4Choice on page 952](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	MarketIdentifierCode <MktldrCd>	[1..1]	IdentifierSet		952
Or}	Description <Desc>	[1..1]	Text		952

#### 16.1.8.4.3 DayCountBasis <DayCntBsis>

*Presence:* [0..1]

*Definition:* Specifies the computation method of (accrued) interest of the financial instrument.

**DayCountBasis <DayCntBsis>** contains one of the following elements (see [InterestComputationMethodFormat5Choice](#) on page 1066 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1066
Or}	Proprietary <Prtry>	[1..1]	±		1069

#### 16.1.8.4.4 ClassificationType <ClssfctnTp>

*Presence:* [0..1]

*Definition:* Classification type of the financial instrument, as per the ISO Classification of Financial Instrument (CFI).

**ClassificationType <ClssfctnTp>** contains one of the following elements (see [ClassificationType33Choice](#) on page 1066 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ClassificationFinancialInstrument <ClssfctnFinInstrm>	[1..1]	IdentifierSet		1066
Or}	AlternateClassification <AltrnClssfctn>	[1..1]	±		1066

#### 16.1.8.4.5 OptionStyle <OptnStyle>

*Presence:* [0..1]

*Definition:* Specifies how an option can be exercised.

**OptionStyle <OptnStyle>** contains one of the following elements (see [OptionStyle9Choice](#) on page 1065 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1065
Or}	Proprietary <Prtry>	[1..1]	±		1065

#### 16.1.8.4.6 DenominationCurrency <DnmtnCcy>

*Presence:* [0..1]

*Definition:* Currency in which a financial instrument is currently denominated.

*Impacted by:* C2 ActiveOrHistoricCurrency

*Datatype:* [ActiveOrHistoricCurrencyCode](#) on page 1261

##### 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.

**16.1.8.4.7 NextCouponDate <NxtCpnDt>**

*Presence:* [0..1]

*Definition:* Next payment date of an interest bearing financial instrument.

*Datatype:* ISODate on page 1342

**16.1.8.4.8 FloatingRateFixingDate <FltgRateFxdDt>**

*Presence:* [0..1]

*Definition:* Date on which the interest rate or redemption price will be/was calculated according to the terms of the issue.

*Datatype:* ISODate on page 1342

**16.1.8.4.9 MaturityDate <MtrtyDt>**

*Presence:* [0..1]

*Definition:* Date on which a financial instrument becomes due and assets are to be repaid.

*Datatype:* ISODate on page 1342

**16.1.8.4.10 IssueDate <IsseDt>**

*Presence:* [0..1]

*Definition:* Date at which the security was made available.

*Datatype:* ISODate on page 1342

**16.1.8.4.11 NextCallableDate <NxtClbIDt>**

*Presence:* [0..1]

*Definition:* Date on which a financial instrument is called away/redeemed before its scheduled maturity.

*Datatype:* ISODate on page 1342

**16.1.8.4.12 PutableDate <PutbIDt>**

*Presence:* [0..1]

*Definition:* Date on which a holder of a financial instrument has the right to request redemption of the principal amount prior to its scheduled maturity date.

*Datatype:* ISODate on page 1342

**16.1.8.4.13 DatedDate <DtdDt>**

*Presence:* [0..1]

*Definition:* Date on which an interest bearing financial instrument begins to accrue interest.

*Datatype:* ISODate on page 1342

#### 16.1.8.4.14 ConversionDate <ConvsDt>

*Presence:* [0..1]

*Definition:* Deadline by which a convertible security must be converted, according to the terms of the issue.

*Datatype:* [ISODate](#) on page 1342

#### 16.1.8.4.15 PreviousFactor <PrvsFctr>

*Presence:* [0..1]

*Definition:* Factor used to calculate the value of the outstanding principal of the financial instrument (for factored securities) until the next redemption (factor) date.

**PreviousFactor <PrvsFctr>** contains one of the following elements (see [RateFormat12Choice](#) on page 1075 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1075
Or}	NotSpecifiedRate <NotSpdfdRate>	[1..1]	CodeSet		1075

#### 16.1.8.4.16 NextFactor <NxtFctr>

*Presence:* [0..1]

*Definition:* Factor used to calculate the value of the outstanding principal of the financial instrument (for factored securities) that will applicable after the redemption (factor) date.

**NextFactor <NxtFctr>** contains one of the following elements (see [RateFormat12Choice](#) on page 1075 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1075
Or}	NotSpecifiedRate <NotSpdfdRate>	[1..1]	CodeSet		1075

#### 16.1.8.4.17 InterestRate <IntrstRate>

*Presence:* [0..1]

*Definition:* Annualised interest rate of a financial instrument used to calculate the actual interest rate of the coupon or the accrued interest.

**InterestRate <IntrstRate>** contains one of the following elements (see [RateFormat3Choice](#) on page 1151 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1151
Or}	NotSpecifiedRate <NotSpdfdRate>	[1..1]	CodeSet		1151

#### 16.1.8.4.18 NextInterestRate <NxtIntrstRate>

*Presence:* [0..1]

*Definition:* Interest rate applicable to the next interest payment period in relation to variable rate instruments.

**NextInterestRate <NxtIntrstRate>** contains one of the following elements (see [RateFormat3Choice](#) on page 1151 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1151
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1151

#### 16.1.8.4.19 MinimumNominalQuantity <MinNmnlQty>

*Presence:* [0..1]

*Definition:* Minimum nominal quantity of financial instrument.

*Impacted by:* [C14 DigitalTokenUnitUsageRule](#)

**MinimumNominalQuantity <MinNmnlQty>** contains one of the following elements (see [FinancialInstrumentQuantity36Choice](#) on page 1150 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1150
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1151
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1151
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1151

#### Constraints

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

#### 16.1.8.4.20 MinimumQuantityToInstruct <MinQtyToInst>

*Presence:* [0..1]

*Definition:* Minimum quantity of financial instrument that may be instructed.

*Impacted by:* [C14 DigitalTokenUnitUsageRule](#)

**MinimumQuantityToInstruct <MinQtyToInst>** contains one of the following elements (see [FinancialInstrumentQuantity36Choice](#) on page 1150 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1150
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1151
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1151
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1151

**Constraints**

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

**16.1.8.4.21 MinimumMultipleQuantityToInstruct <MinMltplQtyToInst>**

*Presence:* [0..1]

*Definition:* Minimum multiple quantity of financial instrument that may be instructed.

*Impacted by:* [C14 DigitalTokenUnitUsageRule](#)

**MinimumMultipleQuantityToInstruct <MinMltplQtyToInst>** contains one of the following elements (see [FinancialInstrumentQuantity36Choice](#) on page 1150 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1150
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1151
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1151
Or}	DigitalTokenUnit <DgltTknUnit>	[1..1]	Quantity		1151

**Constraints**

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

**16.1.8.4.22 ContractSize <CtrctSz>**

*Presence:* [0..1]

*Definition:* Ratio or multiplying factor used to convert one contract into a financial instrument quantity.

*Impacted by:* [C14 DigitalTokenUnitUsageRule](#)

**ContractSize <CtrctSz>** contains one of the following elements (see [FinancialInstrumentQuantity36Choice](#) on page 1150 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1150
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1151
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1151
Or}	DigitalTokenUnit <DgltTknUnit>	[1..1]	Quantity		1151

**Constraints**

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

#### 16.1.8.4.23 IssuePrice <IssePric>

*Presence:* [0..1]

*Definition:* Initial issue/valuation price of a resulting security under a corporate action.

**IssuePrice <IssePric>** contains one of the following elements (see [PriceFormat57Choice](#) on page 1132 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1132
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1132
	PriceValue <PricVal>	[1..1]	Rate		1133
Or	AmountPrice <AmtPric>	[1..1]	±		1133
Or}	NotSpecifiedPrice <NotSpdfdPric>	[1..1]	CodeSet		1133

#### 16.1.8.5 FinancialInstrumentAttributes114

*Definition:* Description of the financial instrument.



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C12, C13, C19, C20, C23	930
	PlaceOfListing <PlcOfListg>	[0..1]	±		931
	DayCountBasis <DayCntBsis>	[0..1]	±		931
	ClassificationType <ClssfctnTp>	[0..1]	±		932
	OptionStyle <OptnStyle>	[0..1]	±		932
	DenominationCurrency <DnmtnCcy>	[0..1]	CodeSet	C2	932
	NextCouponDate <NxtCpnDt>	[0..1]	Date		933
	ExpiryDate <XpryDt>	[0..1]	Date		933
	FloatingRateFixingDate <FltgRateFvgDt>	[0..1]	Date		933
	MaturityDate <MtrtyDt>	[0..1]	Date		933
	IssueDate <IsseDt>	[0..1]	Date		933
	NextCallableDate <NxtClblDt>	[0..1]	Date		933
	PutableDate <PutblDt>	[0..1]	Date		933
	DatedDate <DtdDt>	[0..1]	Date		934
	ConversionDate <ConvsDt>	[0..1]	Date		934
	InterestRate <IntrstRate>	[0..1]	±		934
	NextInterestRate <NxtIntrstRate>	[0..1]	±		934
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	±		934
	PreviousFactor <PrvsFctr>	[0..1]	±		935
	NextFactor <NxtFctr>	[0..1]	±		935
	WarrantParity <WarrtParity>	[0..1]	±		935
	MinimumNominalQuantity <MinNmnlQty>	[0..1]	±	C14	935
	ContractSize <CtrctSz>	[0..1]	±	C14	936

### Constraints

- **MaturityDateRule**

(Rule)

Maturity date may only provide generic information about the final maturity of the underlying instrument.

- **PreviousNextFactorRule**

(Rule)

In case of partial redemption by pool factor, PreviousFactor provides the factor applicable before redemption and NextFactor provides the factor applicable after redemption.

### 16.1.8.5.1 FinancialInstrumentIdentification <FinInstrmId>

*Presence:* [1..1]

*Definition:* Identifies the financial instrument.

*Impacted by:* C12 DescriptionPresenceRule, C13 DescriptionUsageRule, C19 ISINGuideline, C20 ISINPresenceRule, C23 OtherIdentificationPresenceRule

**FinancialInstrumentIdentification <FinInstrmId>** contains the following elements (see [SecurityIdentification20](#) on page 904 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		906
	OtherIdentification <OthrlId>	[0..*]			906
	Identification <Id>	[1..1]	Text		906
	Suffix <Sfx>	[0..1]	Text		906
	Type <Tp>	[1..1]	±		906
	Description <Desc>	[0..1]	Text		907

#### 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 a ISIN code exist. 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.

### 16.1.8.5.2 PlaceOfListing <PlcOfListg>

*Presence:* [0..1]

*Definition:* Place where the referenced financial instrument is listed.

**PlaceOfListing <PlcOfListg>** contains one of the following elements (see [MarketIdentification4Choice](#) on page 952 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	MarketIdentifierCode <MktldrCd>	[1..1]	IdentifierSet		952
Or}	Description <Desc>	[1..1]	Text		952

### 16.1.8.5.3 DayCountBasis <DayCntBsis>

*Presence:* [0..1]

*Definition:* Specifies the computation method of (accrued) interest of the financial instrument.

**DayCountBasis <DayCntBsis>** contains one of the following elements (see [InterestComputationMethodFormat5Choice on page 1066](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1066
Or}	Proprietary <Prtry>	[1..1]	±		1069

#### 16.1.8.5.4 ClassificationType <ClssfctnTp>

*Presence:* [0..1]

*Definition:* Classification type of the financial instrument, as per the ISO Classification of Financial Instrument (CFI).

**ClassificationType <ClssfctnTp>** contains one of the following elements (see [ClassificationType33Choice on page 1066](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ClassificationFinancialInstrument <ClssfctnFinInstrm>	[1..1]	IdentifierSet		1066
Or}	AlternateClassification <AltrnClssfctn>	[1..1]	±		1066

#### 16.1.8.5.5 OptionStyle <OptnStyle>

*Presence:* [0..1]

*Definition:* Specifies how an option can be exercised.

**OptionStyle <OptnStyle>** contains one of the following elements (see [OptionStyle9Choice on page 1065](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1065
Or}	Proprietary <Prtry>	[1..1]	±		1065

#### 16.1.8.5.6 DenominationCurrency <DnmtnCcy>

*Presence:* [0..1]

*Definition:* Currency in which a financial instrument is currently denominated.

*Impacted by:* C2 ActiveOrHistoricCurrency

*Datatype:* [ActiveOrHistoricCurrencyCode on page 1261](#)

##### 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.

**16.1.8.5.7 NextCouponDate <NxtCpnDt>**

*Presence:* [0..1]

*Definition:* Next payment date of an interest bearing financial instrument.

*Datatype:* ISODate on page 1342

**16.1.8.5.8 ExpiryDate <XpryDt>**

*Presence:* [0..1]

*Definition:* Date on which an order expires or at which a privilege or offer terminates.

*Datatype:* ISODate on page 1342

**16.1.8.5.9 FloatingRateFixingDate <FltgRateFvgDt>**

*Presence:* [0..1]

*Definition:* Date on which the interest rate or redemption price will be/was calculated according to the terms of the issue.

*Datatype:* ISODate on page 1342

**16.1.8.5.10 MaturityDate <MtrtyDt>**

*Presence:* [0..1]

*Definition:* Date on which a financial instrument becomes due and assets are to be repaid.

*Datatype:* ISODate on page 1342

**16.1.8.5.11 IssueDate <IsseDt>**

*Presence:* [0..1]

*Definition:* Date on which the financial instrument is issued.

*Datatype:* ISODate on page 1342

**16.1.8.5.12 NextCallableDate <NxtClbIDt>**

*Presence:* [0..1]

*Definition:* Date on which a financial instrument is called away/redeemed before its scheduled maturity.

*Datatype:* ISODate on page 1342

**16.1.8.5.13 PutableDate <PutbIDt>**

*Presence:* [0..1]

*Definition:* Date on which a holder of a financial instrument has the right to request redemption of the principal amount prior to its scheduled maturity date.

*Datatype:* ISODate on page 1342

#### 16.1.8.5.14 DatedDate <DtdDt>

*Presence:* [0..1]

*Definition:* Date on which an interest bearing financial instrument begins to accrue interest.

*Datatype:* [ISODate on page 1342](#)

#### 16.1.8.5.15 ConversionDate <ConvDt>

*Presence:* [0..1]

*Definition:* Deadline by which a convertible security must be converted, according to the terms of the issue.

*Datatype:* [ISODate on page 1342](#)

#### 16.1.8.5.16 InterestRate <IntrstRate>

*Presence:* [0..1]

*Definition:* Annualised interest rate of a financial instrument used to calculate the actual interest rate of the coupon or the accrued interest.

**InterestRate <IntrstRate>** contains one of the following elements (see [RateFormat3Choice on page 1151](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1151
Or}	NotSpecifiedRate <NotSpctdRate>	[1..1]	CodeSet		1151

#### 16.1.8.5.17 NextInterestRate <NxtIntrstRate>

*Presence:* [0..1]

*Definition:* Interest rate applicable to the next interest payment period in relation to variable rate instruments.

**NextInterestRate <NxtIntrstRate>** contains one of the following elements (see [RateFormat3Choice on page 1151](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1151
Or}	NotSpecifiedRate <NotSpctdRate>	[1..1]	CodeSet		1151

#### 16.1.8.5.18 PercentageOfDebtClaim <PctgOfDebtClm>

*Presence:* [0..1]

*Definition:* Percentage of the underlying assets of a fund that represents a debt, for example, in the context of the EU Savings directive.

**PercentageOfDebtClaim <PctgOfDebtCIm>** contains one of the following elements (see [RateFormat3Choice](#) on page 1151 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1151
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1151

#### 16.1.8.5.19 PreviousFactor <PrvsFctr>

*Presence:* [0..1]

*Definition:* Factor used to calculate the value of the outstanding principal of the financial instrument (for factored securities) until the next redemption (factor) date.

**PreviousFactor <PrvsFctr>** contains one of the following elements (see [RateFormat12Choice](#) on page 1075 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1075
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1075

#### 16.1.8.5.20 NextFactor <NxtFctr>

*Presence:* [0..1]

*Definition:* Factor used to calculate the value of the outstanding principal of the financial instrument (for factored securities) that will applicable after the redemption (factor) date.

**NextFactor <NxtFctr>** contains one of the following elements (see [RateFormat12Choice](#) on page 1075 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1075
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1075

#### 16.1.8.5.21 WarrantParity <WarrtParity>

*Presence:* [0..1]

*Definition:* Provides the ratio between the quantity of warrants and the quantity of underlying securities.

**WarrantParity <WarrtParity>** contains the following elements (see [QuantityToQuantityRatio2](#) on page 1222 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity1 <Qty1>	[1..1]	Quantity		1222
	Quantity2 <Qty2>	[1..1]	Quantity		1222

#### 16.1.8.5.22 MinimumNominalQuantity <MinNmnlQty>

*Presence:* [0..1]

*Definition:* Minimum nominal quantity of financial instrument.

*Impacted by:* [C14 DigitalTokenUnitUsageRule](#)

**MinimumNominalQuantity <MinNmnlQty>** contains one of the following elements (see [FinancialInstrumentQuantity36Choice](#) on page 1150 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1150
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1151
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1151
Or}	DigitalTokenUnit <DgltTknUnit>	[1..1]	Quantity		1151

#### Constraints

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

#### 16.1.8.5.23 ContractSize <CtrctSz>

*Presence:* [0..1]

*Definition:* Ratio or multiplying factor used to convert one contract into a financial instrument quantity.

*Impacted by:* [C14 DigitalTokenUnitUsageRule](#)

**ContractSize <CtrctSz>** contains one of the following elements (see [FinancialInstrumentQuantity36Choice](#) on page 1150 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1150
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1151
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1151
Or}	DigitalTokenUnit <DgltTknUnit>	[1..1]	Quantity		1151

#### Constraints

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

## 16.1.9 Financial Instrument Identification

### 16.1.9.1 SecurityIdentification21

*Definition:* Identification of a security.



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		938
	OtherIdentification <Othrid>	[0..*]			938
	Identification <Id>	[1..1]	Text		938
	Suffix <Sfx>	[0..1]	Text		939
	Type <Tp>	[1..1]	±		939
	Description <Desc>	[0..1]	Text		939

### 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 a ISIN code exist, 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.

**16.1.9.1.1 ISIN <ISIN>**

*Presence:* [0..1]

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

*Datatype:* [ISINOct2015Identifier on page 1344](#)

**16.1.9.1.2 OtherIdentification <Othrid>**

*Presence:* [0..\*]

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

**OtherIdentification <Othrid>** contains the following **OtherIdentification2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		938
	Suffix <Sfx>	[0..1]	Text		939
	Type <Tp>	[1..1]	±		939

**16.1.9.1.2.1 Identification <Id>**

*Presence:* [1..1]

*Definition:* Identification of a security.

*Datatype:* [RestrictedFINXMax31Text on page 1353](#)

### 16.1.9.1.2.2 Suffix <Sfx>

*Presence:* [0..1]

*Definition:* Identifies the suffix of the security identification.

*Datatype:* [Max16Text on page 1348](#)

### 16.1.9.1.2.3 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of the identification.

**Type <Tp>** contains one of the following elements (see [IdentificationSource4Choice on page 946](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		946
Or}	Proprietary <Prtry>	[1..1]	Text		946

### 16.1.9.1.3 Description <Desc>

*Presence:* [0..1]

*Definition:* Textual description of a security instrument.

*Datatype:* [RestrictedFINXMax140Text on page 1352](#)

## 16.1.10 Financial Instrument Quantity

### 16.1.10.1 FinancialInstrumentQuantity31Choice

*Definition:* Choice between formats for the quantity of security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		939
Or}	FaceAmount <FaceAmt>	[1..1]	Amount		939

#### 16.1.10.1.1 Unit <Unit>

*Presence:* [1..1]

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

*Datatype:* [RestrictedFINDecimalNumber on page 1346](#)

#### 16.1.10.1.2 FaceAmount <FaceAmt>

*Presence:* [1..1]

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

*Datatype:* [RestrictedFINImpliedCurrencyAndAmount on page 1260](#)

## 16.1.11 Foreign Exchange

### 16.1.11.1 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	C1	940
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C1	940
	ExchangeRate <XchgRate>	[1..1]	Rate		941

#### 16.1.11.1.1 UnitCurrency <UnitCcy>

*Presence:* [1..1]

*Definition:* Currency in which the rate of exchange is expressed in a currency exchange. In the example 1GBP = xxxCUR, the unit currency is GBP.

*Impacted by:* C1 ActiveCurrency

*Datatype:* ActiveCurrencyCode on page 1261

#### Constraints

- **ActiveCurrency**

(Rule)

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

*Error handling:*

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

#### 16.1.11.1.2 QuotedCurrency <QtdCcy>

*Presence:* [1..1]

*Definition:* Currency into which the base currency is converted, in a currency exchange.

*Impacted by:* C1 ActiveCurrency

*Datatype:* ActiveCurrencyCode on page 1261

#### Constraints

- **ActiveCurrency**

(Rule)

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

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

*Error handling:*

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

### 16.1.11.1.3 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 1347](#)

### 16.1.11.2 ForeignExchangeTerms28

*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	C1	941
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C1	942
	ExchangeRate <XchgRate>	[1..1]	Rate		942
	ResultingAmount <RsltgAmt>	[0..1]	Amount	C1, C11	942

#### 16.1.11.2.1 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:* [C1 ActiveCurrency](#)

*Datatype:* [ActiveCurrencyCode on page 1261](#)

#### Constraints

- **ActiveCurrency**

(Rule)

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

*Error handling:*

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

### 16.1.11.2.2 QuotedCurrency <QtdCcy>

*Presence:* [1..1]

*Definition:* Currency into which the base currency is converted, in a currency exchange.

*Impacted by:* C1 ActiveCurrency

*Datatype:* ActiveCurrencyCode on page 1261

#### Constraints

- **ActiveCurrency**

(Rule)

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

*Error handling:*

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

### 16.1.11.2.3 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 1347

### 16.1.11.2.4 ResultingAmount <RsltgAmt>

*Presence:* [0..1]

*Definition:* Counter value of a foreign exchange conversion.

*Impacted by:* C1 ActiveCurrency, C11 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

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

**16.1.11.3 ForeignExchangeTerms27**

*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	C1	943
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C1	944
	ExchangeRate <XchgRate>	[1..1]	Rate		944
	ResultingAmount <RsltgAmt>	[1..1]	Amount	C1, C11	944

**16.1.11.3.1 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:* C1 ActiveCurrency

*Datatype:* [ActiveCurrencyCode](#) on page 1261

**Constraints**

• **ActiveCurrency**

(Rule)

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

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

*Error handling:*

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

### 16.1.11.3.2 QuotedCurrency <QtdCcy>

*Presence:* [1..1]

*Definition:* Currency into which the base currency is converted, in a currency exchange.

*Impacted by:* C1 ActiveCurrency

*Datatype:* ActiveCurrencyCode on page 1261

#### Constraints

- **ActiveCurrency**

(Rule)

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

*Error handling:*

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

### 16.1.11.3.3 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 1347

### 16.1.11.3.4 ResultingAmount <RsltAmt>

*Presence:* [1..1]

*Definition:* Counter value of a foreign exchange conversion.

*Impacted by:* C1 ActiveCurrency, C11 CurrencyAmount

*Datatype:* RestrictedFINActiveCurrencyAndAmount on page 1259



## Constraints

- **ActiveCurrency**

(Rule)

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

## 16.1.12 Frequency

### 16.1.12.1 Frequency26Choice

*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		945
Or}	Proprietary <Prtry>	[1..1]	±		946

#### 16.1.12.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Frequency expressed as an ISO 20022 code.

*Datatype:* [EventFrequency4Code on page 1312](#)

CodeName	Name	Definition
YEAR	Annual	Event takes place every year or once a year.
ADHO	Adhoc	Event takes place as necessary.

CodeName	Name	Definition
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.

### 16.1.12.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Frequency expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

## 16.1.13 Identification Information

### 16.1.13.1 IdentificationSource4Choice

*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		946
Or}	Proprietary <Prtry>	[1..1]	Text		946

#### 16.1.13.1.1 Code <Cd>

*Presence:* [1..1]

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

*Datatype:* [ExternalFinancialInstrumentIdentificationType1Code](#) on page 1313

#### 16.1.13.1.2 Proprietary <Prtry>

*Presence:* [1..1]

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

*Datatype:* [RestrictedFINExact2Text](#) on page 1350

### 16.1.13.2 SettlementTypeAndIdentification26

*Definition:* Overall process covering the trade and settlement transactions of financial instruments.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Payment <Pmt>	[1..1]	CodeSet		947
	TransactionIdentification <TxId>	[1..1]	Text		947
	SettlementDate <SttlmDt>	[0..1]	±		947

### 16.1.13.2.1 Payment <Pmt>

*Presence:* [1..1]

*Definition:* Specifies how the transaction is to be settled.

*Datatype:* [DeliveryReceiptType2Code](#) on page 1311

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).

### 16.1.13.2.2 TransactionIdentification <TxId>

*Presence:* [1..1]

*Definition:* Reference of the transaction.

*Datatype:* [RestrictedFINXMax16Text](#) on page 1352

### 16.1.13.2.3 SettlementDate <SttlmDt>

*Presence:* [0..1]

*Definition:* Identifies the intended settlement date.

**SettlementDate <SttlmDt>** contains one of the following elements (see [DateAndDateTime2Choice](#) on page 887 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		887
Or}	DateTime <DtTm>	[1..1]	DateTime		887

### 16.1.13.3 IdentificationType42Choice

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		948
Or}	Proprietary <Prtry>	[1..1]	±		948

### 16.1.13.3.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of identification is defined using a code.

*Datatype:* [TypeOfIdentification1Code](#) on page 1341

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	Corporateldentification	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.

### 16.1.13.3.2 Proprietary <Prtry>

*Presence:* [1..1]

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

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification30](#) on page 950 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		950
	Issuer <Issr>	[1..1]	Text		950
	SchemeName <SchmeNm>	[0..1]	Text		950

### 16.1.13.4 GenericIdentification86

*Definition:* Identification using a proprietary scheme.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		948
	Issuer <Issr>	[1..1]	Text		949
	SchemeName <SchmeNm>	[0..1]	Text		949

#### 16.1.13.4.1 Identification <Id>

*Presence:* [1..1]

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

*Datatype:* [RestrictedFINXMax30Text](#) on page 1353

#### 16.1.13.4.2 Issuer <Issr>

*Presence:* [1..1]

*Definition:* Entity that assigns the identification.

*Datatype:* [Max4AlphaNumericText on page 1349](#)

#### 16.1.13.4.3 SchemeName <SchmeNm>

*Presence:* [0..1]

*Definition:* Short textual description of the scheme.

*Datatype:* [Max4AlphaNumericText on page 1349](#)

#### 16.1.13.5 GenericIdentification85

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		949
	Identification <Id>	[0..1]	Text		949

##### 16.1.13.5.1 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 [GenericIdentification47 on page 951](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

##### 16.1.13.5.2 Identification <Id>

*Presence:* [0..1]

*Definition:* Name or number assigned by an entity to enable recognition of that entity.

*Datatype:* [RestrictedFINXMax30Text on page 1353](#)

#### 16.1.13.6 GenericIdentification84

*Definition:* Identification using a proprietary scheme.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		950
	Issuer <Issr>	[1..1]	Text		950
	SchemeName <SchmeNm>	[0..1]	Text		950

### 16.1.13.6.1 Identification <Id>

*Presence:* [1..1]

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

*Datatype:* [RestrictedFINXMax34Text on page 1354](#)

### 16.1.13.6.2 Issuer <Issr>

*Presence:* [1..1]

*Definition:* Entity that assigns the identification.

*Datatype:* [Max4AlphaNumericText on page 1349](#)

### 16.1.13.6.3 SchemeName <SchmeNm>

*Presence:* [0..1]

*Definition:* Short textual description of the scheme.

*Datatype:* [Max4AlphaNumericText on page 1349](#)

### 16.1.13.7 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		950
	Issuer <Issr>	[1..1]	Text		950
	SchemeName <SchmeNm>	[0..1]	Text		950

### 16.1.13.7.1 Identification <Id>

*Presence:* [1..1]

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

*Datatype:* [Exact4AlphaNumericText on page 1347](#)

### 16.1.13.7.2 Issuer <Issr>

*Presence:* [1..1]

*Definition:* Entity that assigns the identification.

*Datatype:* [Max35Text on page 1349](#)

### 16.1.13.7.3 SchemeName <SchmeNm>

*Presence:* [0..1]

*Definition:* Short textual description of the scheme.

*Datatype:* [Max35Text on page 1349](#)

### 16.1.13.8 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		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 16.1.13.8.1 Identification <Id>

*Presence:* [1..1]

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

*Datatype:* Exact4AlphaNumericText on page 1347

#### 16.1.13.8.2 Issuer <Issr>

*Presence:* [1..1]

*Definition:* Entity that assigns the identification.

*Datatype:* Max4AlphaNumericText on page 1349

#### 16.1.13.8.3 SchemeName <SchmeNm>

*Presence:* [0..1]

*Definition:* Short textual description of the scheme.

*Datatype:* Max4AlphaNumericText on page 1349

## 16.1.14 Market

### 16.1.14.1 MarketIdentification2Choice

*Definition:* Choice of market identification.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	MarketIdentifierCode <MktldrCd>	[1..1]	IdentifierSet		951
Or}	Description <Desc>	[1..1]	Text		951

#### 16.1.14.1.1 MarketIdentifierCode <MktldrCd>

*Presence:* [1..1]

*Definition:* ISO 10383 Market Identification Code.

*Datatype:* MICIdentifier on page 1345

#### 16.1.14.1.2 Description <Desc>

*Presence:* [1..1]

*Definition:* Description of the market when no Market Identifier Code is available.

*Datatype:* [RestrictedFINXMax30Text on page 1353](#)

### 16.1.14.2 MarketIdentification4Choice

*Definition:* Choice of market identification.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	MarketIdentifierCode <MktldrCd>	[1..1]	IdentifierSet		952
Or}	Description <Desc>	[1..1]	Text		952

#### 16.1.14.2.1 MarketIdentifierCode <MktldrCd>

*Presence:* [1..1]

*Definition:* Market Identifier Code. Identification of a financial market, as stipulated in the norm ISO 10383 "Codes for exchanges and market identifications".

*Datatype:* [MICIdentifier on page 1345](#)

#### 16.1.14.2.2 Description <Desc>

*Presence:* [1..1]

*Definition:* Description of the market when no Market Identifier Code is available.

*Datatype:* [RestrictedFINXMax30Text on page 1353](#)

## 16.1.15 Miscellaneous

### 16.1.15.1 DefaultProcessingOrStandingInstruction1Choice

*Definition:* Choice between default processing or standing instruction.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	DefaultOptionIndicator <DfltOptnInd>	[1..1]	Indicator		952
Or}	StandingInstructionIndicator <StgInstrInd>	[1..1]	Indicator		952

#### 16.1.15.1.1 DefaultOptionIndicator <DfltOptnInd>

*Presence:* [1..1]

*Definition:* Indicates whether the option, for example, currency option, will be selected by default if no instruction is provided by the account owner.

*Datatype:* One of the following values must be used (see [YesNoIndicator on page 1345](#)):

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

#### 16.1.15.1.2 StandingInstructionIndicator <StgInstrInd>

*Presence:* [1..1]



*Definition:* Indicates whether an account owner has placed a standing order to select this corporate action option.

*Datatype:* One of the following values must be used (see [YesNoIndicator](#) on page 1345):

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

### 16.1.15.2 AdditionalBusinessProcessFormat20Choice

*Definition:* Choice between a standard code or proprietary code to specify the type of the additional business process, that is, a tax refund.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		953
Or}	Proprietary <Prtry>	[1..1]	±		954

#### 16.1.15.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the additional business process "tax refund" linked to a corporate action event.

*Datatype:* [AdditionalBusinessProcess11Code](#) on page 1263

CodeName	Name	Definition
CLAI	ClaimOrCompensation	Relates to a claim on the associated corporate action event.
TAXR	TaxRefund	Relates to a tax refund from the authorities on the associated corporate action event.
ACLA	AutomaticMarketClaim	Will automatically give rise to market claims by the account servicer, for example, a Central Securities Depository (CSD).
ATXF	SubjectToTransformation	As a result of the corporate action, all transactions in the underlying security will be cancelled by the system and replaced with transactions in the outturn resource(s).
CNTR	CancelUnderlyingTrades	As a result of the corporate action, all transactions in the underlying security will be cancelled by the system.
CONS	Consent	Relates to a consent within a corporate action event other than a Consent event (: 22F:: CAEV//CONS).
NAMC	NoAutomaticMarketClaimsAndTransformations	Event will not automatically give rise to market claims and transformations by the account servicer, for example, a Central Securities Depository (CSD).
NPLE	NoSplitElection	Issuer only allows a single option to be selected per designated holding.

CodeName	Name	Definition
SCHM	SchemeOrPlanOfArrangement	Component event of a scheme/plan of arrangement: a reorganisation of a company or a group of companies, and their capital.
PPUT	PartialMandatoryPutRedemption	Partial mandatory exchange of a portion of bonds where the exchanged securities are usually remarketed. The issuer may offer holders the right to retain instead of exchanging their securities. A lottery will be used to determine eligibility for the event.
PPRE	PartialPreFunding	Partial pre-funding of a debt instrument prior to maturity drawn through a lottery process. One new security is issued with an earlier maturity date for the refunded (called portion) and the other new security is issued with the original maturity date for the non refunded (remaining) portion. Applicable only in the frame of a partial defeasance corporate action event.
FPRE	FullPrefunding	Full pre-funding of a debt instrument by the issuer prior to original maturity when the issuer deposits assets in trust. Applicable only in the frame of a partial defeasance corporate action event.
INCP	IncentivePremiumPayment	The event is a payment of an incentive premium related to the voting conditions prescribed at a general meeting.

### 16.1.15.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the additional business process "tax refund" linked to a corporate action event.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.3 AdditionalBusinessProcessFormat21Choice

*Definition:* Choice between a standard code or proprietary code to specify the type of the additional business process, that is, a tax refund.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		955
Or}	Proprietary <Prtry>	[1..1]	±		955

### 16.1.15.3.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the additional business process "tax refund" linked to a corporate action event.

*Datatype:* [AdditionalBusinessProcess10Code on page 1262](#)

CodeName	Name	Definition
CLAI	ClaimOrCompensation	Relates to a claim on the associated corporate action event.
REVR	NotificationOfReversal	Indicates a preadvice of movement reversal.
TAXR	TaxRefund	Relates to a tax refund from the authorities on the associated corporate action event.
PPUT	PartialMandatoryPutRedemption	Partial mandatory exchange of a portion of bonds where the exchanged securities are usually remarketed. The issuer may offer holders the right to retain instead of exchanging their securities. A lottery will be used to determine eligibility for the event.
PPRE	PartialPreFunding	Partial pre-funding of a debt instrument prior to maturity drawn through a lottery process. One new security is issued with an earlier maturity date for the refunded (called portion) and the other new security is issued with the original maturity date for the non refunded (remaining) portion. Applicable only in the frame of a partial defeasance corporate action event.
FPRE	FullPrefunding	Full pre-funding of a debt instrument by the issuer prior to original maturity when the issuer deposits assets in trust. Applicable only in the frame of a partial defeasance corporate action event.
REAC	RequiredAction	Proceeds / entitlements of the mandatory event can only be paid if specified action is taken by the account owner.
INCP	IncentivePremiumPayment	The event is a payment of an incentive premium related to the voting conditions prescribed at a general meeting.

### 16.1.15.3.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the additional business process "tax refund" linked to a corporate action event.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 16.1.15.4 AdditionalBusinessProcessFormat22Choice

*Definition:* Choice between a standard code or proprietary code to specify the type of the additional business process.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		956
Or}	Proprietary <Prtry>	[1..1]	±		957

##### 16.1.15.4.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the additional business process linked to a corporate action event.

*Datatype:* [AdditionalBusinessProcess9Code](#) on page 1265

CodeName	Name	Definition
ACLA	AutomaticMarketClaim	Will automatically give rise to market claims by the account servicer, for example, a Central Securities Depository (CSD).
ATXF	SubjectToTransformation	As a result of the corporate action, all transactions in the underlying security will be cancelled by the system and replaced with transactions in the outturn resource(s).
CNTR	CancelUnderlyingTrades	As a result of the corporate action, all transactions in the underlying security will be cancelled by the system.
NAMC	NoAutomaticMarketClaimsAndTransformations	Event will not automatically give rise to market claims and transformations by the account servicer, for example, a Central Securities Depository (CSD).
NPLE	NoSplitElection	Issuer only allows a single option to be selected per designated holding.
SCHM	SchemeOrPlanOfArrangement	Component event of a scheme/plan of arrangement: a reorganisation of a company or a group of companies, and their capital.

CodeName	Name	Definition
CONS	Consent	Relates to a consent within a corporate action event other than a Consent event (: 22F:: CAEV//CONS).
PPUT	PartialMandatoryPutRedemption	Partial mandatory exchange of a portion of bonds where the exchanged securities are usually remarketed. The issuer may offer holders the right to retain instead of exchanging their securities. A lottery will be used to determine eligibility for the event.
FPRE	FullPrefunding	Full pre-funding of a debt instrument by the issuer prior to original maturity when the issuer deposits assets in trust. Applicable only in the frame of a partial defeasance corporate action event.
PPRE	PartialPreFunding	Partial pre-funding of a debt instrument prior to maturity drawn through a lottery process. One new security is issued with an earlier maturity date for the refunded (called portion) and the other new security is issued with the original maturity date for the non refunded (remaining) portion. Applicable only in the frame of a partial defeasance corporate action event.
REAC	RequiredAction	Proceeds / entitlements of the mandatory event can only be paid if specified action is taken by the account owner.
INCP	IncentivePremiumPayment	The event is a payment of an incentive premium related to the voting conditions prescribed at a general meeting.

#### 16.1.15.4.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the additional business process linked to a corporate action event.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 16.1.15.5 OfferTypeFormat13Choice

*Definition:* Choice between a standard code or proprietary code to specify the type of offer.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		958
Or}	Proprietary <Prtry>	[1..1]	±		958

### 16.1.15.5.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the conditions that apply to the offer.

*Datatype:* [OfferType4Code](#) on page 1326

CodeName	Name	Definition
SQUE	SqueezeOutBid	Offer launched by a company, in possession of a large number of the shares (90% - 95%) of a company (generally as a result of a tender offer), in order to acquire the remaining shares of that company.
ERUN	RestrictionExchange	Exchange of Restricted to Unrestricted (or vice versa).
PART	PartialOffer	Offer made by the offeror for a portion of the outstanding shares not already owned by the offeror.
FCFS	FirstComeFirstServed	Securities will be accepted in the order they have been submitted until the target number of quantity sought is reached.
FINL	FinalOffer	Final or last offer to holders subject to offer conditions being reached, for example, 50 percent accepted on a tender.
NDIS	DissenterRightsNotApplicable	Dissenter's rights are not applicable for this option of the offer.
DISS	DissenterRights	Securities holder has the right to disagree with a mandatory event. This right is not inherent in all offers and therefore must be noted in announcements only when applicable.

### 16.1.15.5.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the conditions that apply to the offer.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.6 Statement75

*Definition:* General characteristics related to a statement which reports information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	StatementType <StmtTp>	[1..1]	CodeSet		959
	ReportingType <RptgTp>	[1..1]	CodeSet		959
	StatementIdentification <StmtId>	[1..1]	Text		960
	InstructionAggregationPeriod <InstrAggtnPrd>	[0..1]	±		960
	ReportNumber <RptNb>	[0..1]	Text		960
	StatementDateTime <StmtDtTm>	[1..1]	±		960
	Frequency <Frqcy>	[1..1]	±		960
	UpdateType <UpdTp>	[1..1]	±		961
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		961
	NotificationDeadlinePeriod <NtfctnDdlnPrd>	[0..1]	±		961

#### 16.1.15.6.1 StatementType <StmtTp>

*Presence:* [1..1]

*Definition:* Indicates whether the statement is a balance only notification or if it includes missing instructions only or all instructions.

*Datatype:* [CorporateActionStatementType2Code](#) on page 1308

CodeName	Name	Definition
MISS	Missing	Statement contains missing instructions.
ALLL	All	Statement contains all instructions.
BALO	BalanceOnlyNotification	Balance information with no instruction details provided.
BALI	BalanceInformation	Balance information with instruction details.

#### 16.1.15.6.2 ReportingType <RptgTp>

*Presence:* [1..1]

*Definition:* Indicates whether the statement report on account holdings for corporate action events is for single account/multiple events or multiple accounts/single event.

*Datatype:* [CorporateActionStatementReportingType1Code](#) on page 1308

CodeName	Name	Definition
MASE	MultipleAccounts	The reporting is for a single event and for multiple accounts.
SAME	MultipleEvents	The reporting is for multiple events for a single account.

### 16.1.15.6.3 StatementIdentification <Stmtd>

*Presence:* [1..1]

*Definition:* Reference of the statement.

*Datatype:* [RestrictedFINXMax16Text on page 1352](#)

### 16.1.15.6.4 InstructionAggregationPeriod <InstrAggtnPrd>

*Presence:* [0..1]

*Definition:* Indicates the period of instruction details within the statement.

**InstructionAggregationPeriod <InstrAggtnPrd>** contains the following elements (see [DatePeriod2 on page 873](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FromDate <FrDt>	[1..1]	Date		873
	ToDate <ToDt>	[1..1]	Date		873

### 16.1.15.6.5 ReportNumber <RptNb>

*Presence:* [0..1]

*Definition:* Sequential number of the statement.

*Datatype:* [Max5NumericText on page 1350](#)

### 16.1.15.6.6 StatementDateTime <StmtdtTm>

*Presence:* [1..1]

*Definition:* Date of the statement.

**StatementDateTime <StmtdtTm>** contains one of the following elements (see [DateAndDateTime2Choice on page 887](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		887
Or}	DateTime <DtTm>	[1..1]	DateTime		887

### 16.1.15.6.7 Frequency <Frqcy>

*Presence:* [1..1]

*Definition:* Frequency of the statement.

**Frequency <Frqcy>** contains one of the following elements (see [Frequency26Choice on page 945](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		945
Or}	Proprietary <Prtry>	[1..1]	±		946



### 16.1.15.6.8 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 [UpdateType16Choice](#) on page 1018 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1018
Or}	Proprietary <Prtry>	[1..1]	±		1018

### 16.1.15.6.9 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 1345):

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

### 16.1.15.6.10 NotificationDeadlinePeriod <NtfctnDdlnPrd>

*Presence:* [0..1]

*Definition:* Period during which identification deadline has been set.

**NotificationDeadlinePeriod <NtfctnDdlnPrd>** contains one of the following elements (see [DateOrDateTimePeriod1Choice](#) on page 889 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		889
Or}	DateTime <DtTm>	[1..1]	±		889

### 16.1.15.7 AdditionalBusinessProcessFormat16Choice

*Definition:* Choice between a standard code or proprietary code to specify the type of the additional business process.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		961
Or}	Proprietary <Prtry>	[1..1]	±		962

#### 16.1.15.7.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the additional business process linked to a corporate action event.

*Datatype:* [AdditionalBusinessProcess8Code](#) on page 1265

CodeName	Name	Definition
CONS	Consent	Relates to a consent within a corporate action event other than a Consent event (: 22F:: CAEV//CONS).
FPRE	FullPrefunding	Full pre-funding of a debt instrument by the issuer prior to original maturity when the issuer deposits assets in trust. Applicable only in the frame of a partial defeasance corporate action event.
PPUT	PartialMandatoryPutRedemption	Partial mandatory exchange of a portion of bonds where the exchanged securities are usually remarketed. The issuer may offer holders the right to retain instead of exchanging their securities. A lottery will be used to determine eligibility for the event.
PPRE	PartialPreFunding	Partial pre-funding of a debt instrument prior to maturity drawn through a lottery process. One new security is issued with an earlier maturity date for the refunded (called portion) and the other new security is issued with the original maturity date for the non refunded (remaining) portion. Applicable only in the frame of a partial defeasance corporate action event.

### 16.1.15.7.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the additional business process linked to a corporate action event.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchemeNm>	[0..1]	Text		951

### 16.1.15.8 CorporateActionOption42Choice

*Definition:* Choice between a standard code or a proprietary code to specify the type of the corporate action option.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		963
Or}	Proprietary <Prtry>	[1..1]	±		964

### 16.1.15.8.1 Code <Cd>

*Presence:* [1..1]

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

*Datatype:* [CorporateActionOption17Code](#) on page 1306

CodeName	Name	Definition
ABST	Abstain	Vote expressed as abstain. In this case, the issuing company will add the number of shares to the quorum of the meeting.  If the voting right is not executed, it will not be added to the quorum. In this case, code NOAC should be used.
BSPL	BonusSharePlan	Receive equities from the share premium reserve of the company and considered as a capital distribution rather than a disbursement of income with different tax implications (typically found in Australia).
BUYA	BuyUp	Buy additional securities to round up position.
CASE	CashAndSecurity	Option to choose between different security and cash options.
CASH	Cash	Option to choose cash.
CEXC	ConsentAndExchange	Vote to consent to change the terms of the securities agreement and to exchange securities.
CONN	ConsentDenied	Vote not to approve the event or proposal.
CONY	ConsentGranted	Vote to approve the event or proposal.
CTEN	ConsentAndTender	Vote to consent to change the terms of the securities agreement and to tender securities for cash.
EXER	Exercise	Exercise intermediate securities or warrants.
LAPS	Lapse	Allow event or entitled security to expire.
MKDW	MarkDown	Mark down the global certificate as a result of a corporate action (instruction from International Central Securities Depositories (ICSDs) to common depositories who are holding the global certificate on behalf of the International Central Securities Depositories (ICSDs)).
MKUP	MarkUp	Mark up the global certificate as a result of a corporate action (instruction from International Central Securities Depositories (ICSDs) to common depositories who are holding the global certificate on behalf of the International Central Securities Depositories (ICSDs)).

CodeName	Name	Definition
MPUT	Retain	Option that allows a holder to elect to retain their holding, for example, a puttable bond.
NOAC	NoAction	Option for the account owner not to take part in the event. This would include opt-out for class actions and lodging of dissenters' rights.
NOQU	NonQualifiedInvestor	Account owner is a non-qualified investor.
OFFR	ProposedRate	In a remarketing of variable notes, the margin that shareholders can propose in respect of the next interest period.
OTHR	Other	Generic corporate action option to be used in case that no other specific code is appropriate.
OVER	Oversubscribe	Subscribe to more equities than underlying securities position allows.
QINV	QualifiedInvestor	Account owner is a qualified investor.
SECU	Security	Distribution of securities to holders.
SLLE	SellEntitlement	Sell the intermediate securities.
TAXI	TaxInstruction	Tax instruction.
PRUN	UnknownProceeds	Proceeds not known during election period. The option can result in cash and/or securities.
BOBD	BeneficialOwnerBreakdownRequest	Breakdown of beneficial ownership required for withholding tax reclaim event.

### 16.1.15.8.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the type of corporate action option.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.9 CorporateActionEventType103Choice

*Definition:* Choice between formats to express the corporate event type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		965
Or}	Proprietary <Prtry>	[1..1]	±		971

### Constraints

- **EventTypeRule**

(Rule)

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

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

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

#### 16.1.15.9.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Event types expressed as a code.

*Datatype:* [CorporateActionEventType34Code](#) on page 1292

CodeName	Name	Definition
ACTV	ActiveTradingStatus	Trading in the security has commenced or security has been re-activated after a suspension in trading.
ATTI	Attachment	Combination of different security types to create a unit. Units are usually comprised of warrants and bonds or warrants and equities. Securities may be combined at the request of the security holder or based on market convention.
BRUP	Bankruptcy	Legal status of a company unable to pay creditors. Bankruptcy usually involves a formal court ruling. Securities may become valueless.
DFLT	BondDefault	Failure by the company to perform obligations defined as default events under the bond agreement and that have not been remedied.
BONU	BonusIssue	Bonus or capitalisation issue. Security holders receive additional assets free of payment from the issuer, in proportion to their holding.
EXRI	CallOnIntermediateSecurities	Call or exercise on nil paid securities or intermediate securities resulting from an intermediate securities distribution (RHDI). This code is used for the second event, when an intermediate securities'

CodeName	Name	Definition
		issue (rights/coupons) is composed of two events, the first event being the distribution of intermediate securities.
CAPD	CapitalDistribution	Corporate event pays shareholders an amount in cash issued from the capital account. There is no reduction to the face value of a single share (or the share has no par value). The number of circulating shares remains unchanged.
CAPG	CapitalGainsDistribution	Event is the distribution of profits resulting from the sale of securities. Shareholders of mutual funds, unit trusts, or SICAVs are recipients of capital gains distributions and are often reinvested in additional shares of the fund.
CAPI	Capitalisation	Increase of the current principal of a debt instrument without increasing the nominal value. It normally arises from the incorporation of due but unpaid interest into the principal. This is commonly done by increasing the pool factor value, for example, capitalisation, and negative amortisation.
DRCA	CashDistributionFromNonEligibleSecuritiesSales	Distribution to shareholders of cash resulting from the selling of non-eligible securities, for example, in the frame of a depositary receipt program.
DVCA	CashDividend	Distribution of cash to shareholders, in proportion to their equity holding. Ordinary dividends are recurring and regular. Shareholder must take cash and may be offered a choice of currency.
CHAN	Change	Information regarding a change further described in the corporate action details.
COOP	CompanyOption	Company option may be granted by the company, allowing the holder to take up shares at some future date(s) at a pre arranged price in the company. A company may not grant options which enable the holder to take up unissued shares at a time which is five or more years from the date of the grant. Option holders are not members of a company. They are contingent creditors of a company and hence may, in some instances, be entitled to vote on and be bound by a scheme of arrangement between the creditors and the company. As many options have multiple exercise periods a company option will either lapse or carry on to the next expiry date.
CLSA	ClassActionProposedSettlement	Situation where interested parties seek restitution for financial loss. The security holder may be offered the opportunity to join a class action proceeding and would need to respond with an instruction.

CodeName	Name	Definition
CONS	Consent	Procedure that aims to obtain consent of holder to a proposal by the issuer or a third party without convening a meeting. For example, consent to change the terms of a bond.
CONV	Conversion	Conversion of securities (generally convertible bonds or preferred shares) into another form of securities (usually common shares) at a pre-stated price/ratio.
CREV	CreditEvent	Occurrence of credit derivative for which the issuer of one or several underlying securities is unable to fulfill its financial obligations (as defined in terms and conditions).
DECR	DecreaseInValue	Reduction of face value of a single share or the value of fund assets. The number of circulating shares/units remains unchanged. This event may include a cash payout to holders.
DETI	Detachment	Separation of components that comprise a security, for example, usually units comprised of warrants and bond or warrants and equity. Units may be broken up at the request of the security holder or based on market convention.
DSCL	Disclosure	Requirement for holders or beneficial owners to disclose their name, location and holdings of any issue to the issuer.
DVOP	DividendOption	Distribution of a dividend to shareholders with a choice of benefit to receive. Shareholders may choose to receive shares or cash. To be distinguished from DRIP as the company creates new share capital in exchange for the dividend rather than investing the dividend in the market.
DRIP	DividendReinvestment	Dividend payment where holders can keep cash or have the cash reinvested in the market by the issuer into additional shares in the issuing company. To be distinguished from DVOP as the company invests the dividend in the market rather than creating new share capital in exchange for the dividend.
DRAW	Drawing	Securities are redeemed in part before the scheduled final maturity date. It is done without any pool factor reduction. The redemption is reflected in a debit of the face amount (FAMT). Drawing is distinct from partial call since drawn bonds are chosen by lottery. Therefore, not every holder is affected in the same way.
DTCH	DutchAuction	Action by a party wishing to acquire a security. Holders of the security are invited to make an offer to sell, within a

CodeName	Name	Definition
		specific price range. The acquiring party will buy from the holder with lowest offer.
EXOF	Exchange	Exchange of holdings for other securities and/or cash. The exchange can be either mandatory or voluntary involving the exchange of outstanding securities for different securities and/or cash. For example "exchange offer", "capital reorganisation" or "funds separation".
REDM	FinalMaturity	Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, at final maturity.
MCAL	FullCall	Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, before final maturity.
INCR	IncreaseInValue	Increase in the face value of a single security. The number of circulating securities remains unchanged.
PPMT	InstalmentCall	Instalment towards the purchase of equity capital, subject to an agreement between an issuer and a purchaser.
INTR	InterestPayment	Interest payment distributed to holders of an interest bearing asset.
RHDI	IntermediateSecuritiesDistribution	Distribution of intermediate securities that gives the holder the right to take part in a future event.
LIQU	LiquidationDividend	Distribution of cash, assets or both. Debt may be paid in order of priority based on preferred claims to assets specified by the security.
EXTM	MaturityExtension	As stipulated in the security's Terms and Conditions, the issuer or the holder may prolong the maturity date of a security. After extension, the security details may differ from the original issue. An issuer initiated extension may be subject to holder's approval.
MRGR	Merger	Exchange of outstanding securities, initiated by the issuer which may include options, as the result of two or more companies combining assets, that is, an external, third party company. Cash payments may accompany share exchange.
NOOF	NonOfficialOffer	Offers that are not supervised or regulated by an official entity and being offered by a party, for example a broker, usually at a discount price, for example broker offer, mini-tender, mini odd lot offer or third party offer.



CodeName	Name	Definition
CERT	NonUSTEFRADCertification	Non-US beneficial owner certification requirement for exchange of temporary to permanent notes.
ODLT	OddLotSalePurchase	Sale or purchase of odd-lots to/from the issuing company, initiated either by the holder of the security or through an offer made by the issuer.
OTHR	OtherEvent	Other event, use only when no other event type applies, for example, a new event type.
PARI	PariPassu	Occurs when securities with different characteristics, for example, shares with different entitlements to dividend or voting rights, become identical in all respects, for example, pari-passu or assimilation. May be scheduled in advance, for example, shares resulting from a bonus may become fungible after a pre-set period of time, or may result from outside events, for example, merger, reorganisation, issue of supplementary tranches.
PCAL	PartialRedemptionWithoutPoolFactorReduction	Securities are redeemed in part before their scheduled final maturity date. It is done without any pool factor reduction. The redemption is reflected in a debit of the face amount (FAMT).
PRED	PartialRedemptionWithPoolFactorReduction	Securities are redeemed in part before their scheduled final maturity date. The redemption is reflected in a pool factor reduction. No movement of securities occurs.
PINK	PayInKind	Interest payment, in any kind except cash, distributed to holders of an interest bearing asset.
PLAC	PlaceOfIncorporation	Changes in the state of incorporation for US companies and changes in the place of incorporation for foreign companies. Where shares need to be registered following the incorporation change, the holder(s) may have to elect the registrar.
PDEF	Prefunding	Also called partial defeasance. Issuer has money set aside to redeem a portion of an issue and the indenture states that the securities could be called earlier than the stated maturity.
PRIO	PriorityIssue	Form of open or public offer where, due to a limited amount of securities available, priority is given to existing shareholders.
BPUT	PutRedemption	Early redemption of a security at the election of the holder subject to the terms and condition of the issue with no reduction in nominal value.
REDO	Redenomination	Event by which the unit (currency and/or nominal) of a security is restated, for

CodeName	Name	Definition
		example, nominal/par value of security in a national currency is restated in another currency.
REMK	RemarketingAgreement	Purchase and sale of remarketed preferred equities/bonds through the negotiation of interest rate between the issuers and the holders.
BIDS	RepurchaseOffer	Repurchase offer / issuer bid / reverse rights. Offer to existing holders by the issuing company to repurchase its own securities. The objective of the offer is to reduce the number of outstanding securities.
SPLR	ReverseStockSplit	Decrease in a company's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are increased accordingly.
RHTS	RightsIssue	Offer to holders of a security to subscribe for additional securities via the distribution of an intermediate security. Both processes are included in the same event.
DVSC	ScripDividend	Dividend or interest paid in the form of scrip.
SHPR	SharesPremiumDividend	Corporate event pays shareholders an amount in cash issued from the shares premium reserve. It is similar to a dividend but with different tax implications.
SMAL	SmallestNegotiableUnit	Modification of the smallest negotiable unit of shares in order to obtain a new negotiable unit.
SOFF	SpinOff	Distribution of securities issued by another company. The distributed securities may either be of a newly created or of an existing company. For example, spin-off, demerger, unbundling, divestment.
DVSE	StockDividend	Dividend paid to shareholders in the form of equities of the issuing corporation.
SPLF	StockSplit	Increase in a corporation's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are reduced accordingly.
TREC	TaxReclaim	Event related to tax reclaim activities.
TEND	Tender	Offer made to holders by a third party, requesting them to sell (tender) or exchange their securities.

CodeName	Name	Definition
DLST	TradingStatusDelisted	Security is no longer able to comply with the listing requirements of a stock exchange and is removed from official board quotation.
SUSP	TradingStatusSuspended	Trading in the security has been suspended.
EXWA	WarrantExercise	Option offered to holders to buy (call warrant) or to sell (put warrant) a specific amount of stock, cash, or commodity, at a predetermined price, during a predetermined period of time (which usually corresponds to the life of the issue).
WTRC	WithholdingTaxReliefCertification	Certification process for withholding tax reduction or exemption based on the tax status of the holder.
WRTH	Worthless	Booking out of valueless securities.
ACCU	Accumulation	Funds related event in which the income (for example accumulation units) that accrues during an accounting period is retained within the fund instead of being paid away to investors. The retained income is nonetheless deemed to have been distributed to investors for tax purposes.

### 16.1.15.9.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Event types expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.10 CorporateActionOption43Choice

*Definition:* Choice between a standard code or a proprietary code to specify the type of the corporate action option.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		972
Or}	Proprietary <Prtry>	[1..1]	±		973

### 16.1.15.10.1 Code <Cd>

*Presence:* [1..1]

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

*Datatype:* CorporateActionOption16Code on page 1304

CodeName	Name	Definition
ABST	Abstain	Vote expressed as abstain. In this case, the issuing company will add the number of shares to the quorum of the meeting.  If the voting right is not executed, it will not be added to the quorum. In this case, code NOAC should be used.
BSPL	BonusSharePlan	Receive equities from the share premium reserve of the company and considered as a capital distribution rather than a disbursement of income with different tax implications (typically found in Australia).
BUYA	BuyUp	Buy additional securities to round up position.
CASE	CashAndSecurity	Option to choose between different security and cash options.
CASH	Cash	Option to choose cash.
CERT	Certification	Certification is provided.
CEXC	ConsentAndExchange	Vote to consent to change the terms of the securities agreement and to exchange securities.
CONN	ConsentDenied	Vote not to approve the event or proposal.
CONY	ConsentGranted	Vote to approve the event or proposal.
CTEN	ConsentAndTender	Vote to consent to change the terms of the securities agreement and to tender securities for cash.
EXER	Exercise	Exercise intermediate securities or warrants.
LAPS	Lapse	Allow event or entitled security to expire.
MKDW	MarkDown	Mark down the global certificate as a result of a corporate action (instruction from International Central Securities Depositories (ICSDs) to common depositories who are holding the global certificate on behalf of the International Central Securities Depositories (ICSDs)).
MKUP	MarkUp	Mark up the global certificate as a result of a corporate action (instruction from International Central Securities Depositories (ICSDs) to common depositories who are holding the global certificate on behalf of the International Central Securities Depositories (ICSDs)).

CodeName	Name	Definition
MPUT	Retain	Option that allows a holder to elect to retain their holding, for example, a puttable bond.
NOAC	NoAction	Option for the account owner not to take part in the event. This would include opt-out for class actions and lodging of dissenters' rights.
NOQU	NonQualifiedInvestor	Account owner is a non-qualified investor.
OFFR	ProposedRate	In a remarketing of variable notes, the margin that shareholders can propose in respect of the next interest period.
OTHR	Other	Generic corporate action option to be used in case that no other specific code is appropriate.
OVER	Oversubscribe	Subscribe to more equities than underlying securities position allows.
QINV	QualifiedInvestor	Account owner is a qualified investor.
SECU	Security	Distribution of securities to holders.
SLLE	SellEntitlement	Sell the intermediate securities.
TAXI	TaxInstruction	Tax instruction.
PRUN	UnknownProceeds	Proceeds not known during election period. The option can result in cash and/or securities.
BOBD	BeneficialOwnerBreakdownRequest	Breakdown of beneficial ownership required for withholding tax reclaim event.

### 16.1.15.10.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the type of corporate action option.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.11 UpdatedAdditionalInformation16

*Definition:* Additional information with update description and date.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Language <Lang>	[1..1]	CodeSet		974
	UpdateDescription <UpdDesc>	[0..1]	Text		974
	UpdateDate <UpdDt>	[0..1]	Date		974
	AdditionalInformation <AddtlInf>	[1..*]	Text		974

### Constraints

- **AdditionalInformationRule**

(Rule)

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

#### 16.1.15.11.1 Language <Lang>

*Presence:* [1..1]

*Definition:* Language used to provide additional information and using the ISO 639-1 language code standard.

*Datatype:* [ISO2ALanguageCode on page 1321](#)

#### 16.1.15.11.2 UpdateDescription <UpdDesc>

*Presence:* [0..1]

*Definition:* Specifies the amendments made to the narrative since the last message.

*Datatype:* [RestrictedFINXMax140Text on page 1352](#)

#### 16.1.15.11.3 UpdateDate <UpdDt>

*Presence:* [0..1]

*Definition:* Specifies the date at which the narrative has been updated.

*Datatype:* [ISODate on page 1342](#)

#### 16.1.15.11.4 AdditionalInformation <AddtlInf>

*Presence:* [1..\*]

*Definition:* Provides additional textual information.

*Datatype:* [RestrictedFINZMax8000Text on page 1355](#)

#### 16.1.15.12 UpdatedAdditionalInformation15

*Definition:* Additional information with update description and date.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Language <Lang>	[1..1]	CodeSet		975
	UpdateDescription <UpdDesc>	[0..1]	Text		975
	UpdateDate <UpdDt>	[0..1]	Date		975
	AdditionalInformation <AddtlInf>	[1..*]	Text		975

#### 16.1.15.12.1 Language <Lang>

*Presence:* [1..1]

*Definition:* Language used to provide additional information and using the ISO 639-1 language code standard.

*Datatype:* [ISO2ALanguageCode](#) on page 1321

#### 16.1.15.12.2 UpdateDescription <UpdDesc>

*Presence:* [0..1]

*Definition:* Specifies the amendments made to the narrative since the last message.

*Datatype:* [RestrictedFINXMax140Text](#) on page 1352

#### 16.1.15.12.3 UpdateDate <UpdDt>

*Presence:* [0..1]

*Definition:* Specifies the date at which the narrative has been updated.

*Datatype:* [ISODate](#) on page 1342

#### 16.1.15.12.4 AdditionalInformation <AddtlInf>

*Presence:* [1..\*]

*Definition:* Provides additional textual information.

*Datatype:* [RestrictedFINXMax350Text](#) on page 1354

#### 16.1.15.13 UpdatedAdditionalInformation14

*Definition:* Additional information with update description and date.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Language <Lang>	[1..1]	CodeSet		975
	UpdateDescription <UpdDesc>	[0..1]	Text		976
	UpdateDate <UpdDt>	[0..1]	Date		976
	AdditionalInformation <AddtlInf>	[1..1]	Text		976

#### 16.1.15.13.1 Language <Lang>

*Presence:* [1..1]

*Definition:* Language used to provide additional information and using the ISO 639-1 language code standard.

*Datatype:* [ISO2ALanguageCode](#) on page 1321

### 16.1.15.13.2 UpdateDescription <UpdDesc>

*Presence:* [0..1]

*Definition:* Specifies the amendments made to the narrative since the last message.

*Datatype:* [RestrictedFINXMax140Text](#) on page 1352

### 16.1.15.13.3 UpdateDate <UpdDt>

*Presence:* [0..1]

*Definition:* Specifies the date at which the narrative has been updated.

*Datatype:* [ISODate](#) on page 1342

### 16.1.15.13.4 AdditionalInformation <AddtlInf>

*Presence:* [1..1]

*Definition:* Provides additional textual information.

*Datatype:* [RestrictedFINXMax350Text](#) on page 1354

## 16.1.15.14 CorporateActionOption46Choice

*Definition:* Choice between a standard code or a proprietary code to specify the type of corporate action options.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		976
Or}	Proprietary <Prtry>	[1..1]	±		977

### 16.1.15.14.1 Code <Cd>

*Presence:* [1..1]

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

*Datatype:* [CorporateActionOption15Code](#) on page 1303

CodeName	Name	Definition
ABST	Abstain	Vote expressed as abstain. In this case, the issuing company will add the number of shares to the quorum of the meeting.  If the voting right is not executed, it will not be added to the quorum. In this case, code NOAC should be used.
BSPL	BonusSharePlan	Receive equities from the share premium reserve of the company and considered as a capital distribution rather than a disbursement of income with different tax implications (typically found in Australia).



CodeName	Name	Definition
BUYA	BuyUp	Buy additional securities to round up position.
CASE	CashAndSecurity	Option to choose between different security and cash options.
CASH	Cash	Option to choose cash.
CEXC	ConsentAndExchange	Vote to consent to change the terms of the securities agreement and to exchange securities.
CONN	ConsentDenied	Vote not to approve the event or proposal.
CONY	ConsentGranted	Vote to approve the event or proposal.
CTEN	ConsentAndTender	Vote to consent to change the terms of the securities agreement and to tender securities for cash.
EXER	Exercise	Exercise intermediate securities or warrants.
LAPS	Lapse	Allow event or entitled security to expire.
MPUT	Retain	Option that allows a holder to elect to retain their holding, for example, a puttable bond.
NOAC	NoAction	Option for the account owner not to take part in the event. This would include opt-out for class actions and lodging of dissenters' rights.
NOQU	NonQualifiedInvestor	Account owner is a non-qualified investor.
OFFR	ProposedRate	In a remarketing of variable notes, the margin that shareholders can propose in respect of the next interest period.
OTHR	Other	Generic corporate action option to be used in case that no other specific code is appropriate.
OVER	Oversubscribe	Subscribe to more equities than underlying securities position allows.
QINV	QualifiedInvestor	Account owner is a qualified investor.
SECU	Security	Distribution of securities to holders.
SLLE	SellEntitlement	Sell the intermediate securities.
PRUN	UnknownProceeds	Proceeds not known during election period. The option can result in cash and/or securities.
BOBD	BeneficialOwnerBreakdownRequest	Breakdown of beneficial ownership required for withholding tax reclaim event.

#### 16.1.15.14.2 Proprietary <Prtry>

Presence: [1..1]

*Definition:* Proprietary identification of the type of corporate action options.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.15 UpdatedURLInformation5

*Definition:* Additional information with update description and date.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Language <Lang>	[1..1]	CodeSet		978
	UpdateDescription <UpdDesc>	[0..1]	Text		978
	UpdateDate <UpdDt>	[0..1]	Date		978
	URLAddress <URLAdr>	[1..1]	Text		978

#### 16.1.15.15.1 Language <Lang>

*Presence:* [1..1]

*Definition:* Language used to provide additional information and using the ISO 639-1 language code standard.

*Datatype:* [ISO2ALanguageCode](#) on page 1321

#### 16.1.15.15.2 UpdateDescription <UpdDesc>

*Presence:* [0..1]

*Definition:* Specifies the amendments made to the narrative since the last message.

*Datatype:* [RestrictedFINXMax140Text](#) on page 1352

#### 16.1.15.15.3 UpdateDate <UpdDt>

*Presence:* [0..1]

*Definition:* Specifies the date at which the narrative has been updated.

*Datatype:* [ISODate](#) on page 1342

#### 16.1.15.15.4 URLAddress <URLAdr>

*Presence:* [1..1]

*Definition:* Provides the web address, that is, the address for the Universal Resource Locator (URL), to use over the www (HTTP) service where additional information may be found.

*Datatype:* [RestrictedFINZMax2048Text](#) on page 1354

### 16.1.15.16 BidRangeType1Choice

*Definition:* Bid range type as a choice of a defined coded value or a proprietary value.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		979
Or}	Proprietary <Prtry>	[1..1]	±		979

#### 16.1.15.16.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Bid range type expressed as a code value.

*Datatype:* BidRangeType1Code on page 1269

CodeName	Name	Definition
DIVI	Divisible	All values (including minimum and maximum prices) are divisible by the bid interval.
INCR	Incremental	No values within the bid range are divisible by the bid interval including the minimum and maximum prices. Each value between the minimum and maximum prices is incremented by the bid interval.
MULT	InMultiple	Minimum and maximum prices are not divisible by the bid interval. All successive values between the minimum and maximum prices are in multiples of the bid interval.

#### 16.1.15.16.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Bid range type expressed as a proprietary value.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification30](#) on page 950 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		950
	Issuer <Issr>	[1..1]	Text		950
	SchemeName <SchmeNm>	[0..1]	Text		950

### 16.1.15.17 CorporateActionOption39Choice

*Definition:* Choice between a standard code or a proprietary code.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		980
Or}	Proprietary <Prtry>	[1..1]	±		981

### 16.1.15.17.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Option type expressed as a code.

*Datatype:* [CorporateActionOption12Code on page 1301](#)

CodeName	Name	Definition
ABST	Abstain	Vote expressed as abstain. In this case, the issuing company will add the number of shares to the quorum of the meeting.  If the voting right is not executed, it will not be added to the quorum. In this case, code NOAC should be used.
BSPL	BonusSharePlan	Receive equities from the share premium reserve of the company and considered as a capital distribution rather than a disbursement of income with different tax implications (typically found in Australia).
BUYA	BuyUp	Buy additional securities to round up position.
CASE	CashAndSecurity	Option to choose between different security and cash options.
CASH	Cash	Option to choose cash.
CEXC	ConsentAndExchange	Vote to consent to change the terms of the securities agreement and to exchange securities.
CONN	ConsentDenied	Vote not to approve the event or proposal.
CONY	ConsentGranted	Vote to approve the event or proposal.
CTEN	ConsentAndTender	Vote to consent to change the terms of the securities agreement and to tender securities for cash.
EXER	Exercise	Exercise intermediate securities or warrants.
LAPS	Lapse	Allow event or entitled security to expire.
MKDW	MarkDown	Mark down the global certificate as a result of a corporate action (instruction from International Central Securities Depositories (ICSDs) to common depositories who are holding the global certificate on behalf of the International Central Securities Depositories (ICSDs)).
MKUP	MarkUp	Mark up the global certificate as a result of a corporate action (instruction from

CodeName	Name	Definition
		International Central Securities Depositories (ICSDs) to common depositories who are holding the global certificate on behalf of the International Central Securities Depositories (ICSDs)).
MPUT	Retain	Option that allows a holder to elect to retain their holding, for example, a putable bond.
NOAC	NoAction	Option for the account owner not to take part in the event. This would include opt-out for class actions and lodging of dissenters' rights.
NOQU	NonQualifiedInvestor	Account owner is a non-qualified investor.
OFFR	ProposedRate	In a remarketing of variable notes, the margin that shareholders can propose in respect of the next interest period.
OTHR	Other	Generic corporate action option to be used in case that no other specific code is appropriate.
OVER	Oversubscribe	Subscribe to more equities than underlying securities position allows.
QINV	QualifiedInvestor	Account owner is a qualified investor.
SECU	Security	Distribution of securities to holders.
SLLE	SellEntitlement	Sell the intermediate securities.
PRUN	UnknownProceeds	Proceeds not known during election period. The option can result in cash and/or securities.

### 16.1.15.17.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Option type expressed as a proprietary identification.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.18 CorporateActionEventType96Choice

*Definition:* Choice between formats to express the corporate event type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		982
Or}	Proprietary <Prtry>	[1..1]	±		988

### Constraints

- **EventTypeRule**

(Rule)

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

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

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

#### 16.1.15.18.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Event type expressed as a code.

*Datatype:* [CorporateActionEventType30Code](#) on page 1273

CodeName	Name	Definition
ACTV	ActiveTradingStatus	Trading in the security has commenced or security has been re-activated after a suspension in trading.
ATTI	Attachment	Combination of different security types to create a unit. Units are usually comprised of warrants and bonds or warrants and equities. Securities may be combined at the request of the security holder or based on market convention.
BRUP	Bankruptcy	Legal status of a company unable to pay creditors. Bankruptcy usually involves a formal court ruling. Securities may become valueless.
DFLT	BondDefault	Failure by the company to perform obligations defined as default events under the bond agreement and that have not been remedied.
BONU	BonusIssue	Bonus or capitalisation issue. Security holders receive additional assets free of payment from the issuer, in proportion to their holding.
EXRI	CallOnIntermediateSecurities	Call or exercise on nil paid securities or intermediate securities resulting from an intermediate securities distribution (RHDI). This code is used for the second event, when an intermediate securities'

CodeName	Name	Definition
		issue (rights/coupons) is composed of two events, the first event being the distribution of intermediate securities.
CAPD	CapitalDistribution	Corporate event pays shareholders an amount in cash issued from the capital account. There is no reduction to the face value of a single share (or the share has no par value). The number of circulating shares remains unchanged.
CAPG	CapitalGainsDistribution	Event is the distribution of profits resulting from the sale of securities. Shareholders of mutual funds, unit trusts, or SICAVs are recipients of capital gains distributions and are often reinvested in additional shares of the fund.
CAPI	Capitalisation	Increase of the current principal of a debt instrument without increasing the nominal value. It normally arises from the incorporation of due but unpaid interest into the principal. This is commonly done by increasing the pool factor value, for example, capitalisation, and negative amortisation.
DRCA	CashDistributionFromNonEligibleSecuritiesSales	Distribution to shareholders of cash resulting from the selling of non-eligible securities, for example, in the frame of a depositary receipt program.
DVCA	CashDividend	Distribution of cash to shareholders, in proportion to their equity holding. Ordinary dividends are recurring and regular. Shareholder must take cash and may be offered a choice of currency.
CHAN	Change	Information regarding a change further described in the corporate action details.
COOP	CompanyOption	Company option may be granted by the company, allowing the holder to take up shares at some future date(s) at a pre arranged price in the company. A company may not grant options which enable the holder to take up unissued shares at a time which is five or more years from the date of the grant. Option holders are not members of a company. They are contingent creditors of a company and hence may, in some instances, be entitled to vote on and be bound by a scheme of arrangement between the creditors and the company. As many options have multiple exercise periods a company option will either lapse or carry on to the next expiry date.
CLSA	ClassActionProposedSettlement	Situation where interested parties seek restitution for financial loss. The security holder may be offered the opportunity to join a class action proceeding and would need to respond with an instruction.

CodeName	Name	Definition
CONS	Consent	Procedure that aims to obtain consent of holder to a proposal by the issuer or a third party without convening a meeting. For example, consent to change the terms of a bond.
CONV	Conversion	Conversion of securities (generally convertible bonds or preferred shares) into another form of securities (usually common shares) at a pre-stated price/ratio.
CREV	CreditEvent	Occurrence of credit derivative for which the issuer of one or several underlying securities is unable to fulfill its financial obligations (as defined in terms and conditions).
DECR	DecreaseInValue	Reduction of face value of a single share or the value of fund assets. The number of circulating shares/units remains unchanged. This event may include a cash payout to holders.
DETI	Detachment	Separation of components that comprise a security, for example, usually units comprised of warrants and bond or warrants and equity. Units may be broken up at the request of the security holder or based on market convention.
DSCL	Disclosure	Requirement for holders or beneficial owners to disclose their name, location and holdings of any issue to the issuer.
DVOP	DividendOption	Distribution of a dividend to shareholders with a choice of benefit to receive. Shareholders may choose to receive shares or cash. To be distinguished from DRIP as the company creates new share capital in exchange for the dividend rather than investing the dividend in the market.
DRIP	DividendReinvestment	Dividend payment where holders can keep cash or have the cash reinvested in the market by the issuer into additional shares in the issuing company. To be distinguished from DVOP as the company invests the dividend in the market rather than creating new share capital in exchange for the dividend.
DRAW	Drawing	Securities are redeemed in part before the scheduled final maturity date. It is done without any pool factor reduction. The redemption is reflected in a debit of the face amount (FAMT). Drawing is distinct from partial call since drawn bonds are chosen by lottery. Therefore, not every holder is affected in the same way.
DTCH	DutchAuction	Action by a party wishing to acquire a security. Holders of the security are invited to make an offer to sell, within a



CodeName	Name	Definition
		specific price range. The acquiring party will buy from the holder with lowest offer.
EXOF	Exchange	Exchange of holdings for other securities and/or cash. The exchange can be either mandatory or voluntary involving the exchange of outstanding securities for different securities and/or cash. For example "exchange offer", "capital reorganisation" or "funds separation".
REDM	FinalMaturity	Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, at final maturity.
MCAL	FullCall	Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, before final maturity.
INCR	IncreaseInValue	Increase in the face value of a single security. The number of circulating securities remains unchanged.
PPMT	InstalmentCall	Instalment towards the purchase of equity capital, subject to an agreement between an issuer and a purchaser.
INTR	InterestPayment	Interest payment distributed to holders of an interest bearing asset.
RHDI	IntermediateSecuritiesDistribution	Distribution of intermediate securities that gives the holder the right to take part in a future event.
LIQU	LiquidationDividend	Distribution of cash, assets or both. Debt may be paid in order of priority based on preferred claims to assets specified by the security.
EXTM	MaturityExtension	As stipulated in the security's Terms and Conditions, the issuer or the holder may prolong the maturity date of a security. After extension, the security details may differ from the original issue. An issuer initiated extension may be subject to holder's approval.
MRGR	Merger	Exchange of outstanding securities, initiated by the issuer which may include options, as the result of two or more companies combining assets, that is, an external, third party company. Cash payments may accompany share exchange.
NOOF	NonOfficialOffer	Offers that are not supervised or regulated by an official entity and being offered by a party, for example a broker, usually at a discount price, for example broker offer, mini-tender, mini odd lot offer or third party offer.

CodeName	Name	Definition
CERT	NonUSTEFRADCertification	Non-US beneficial owner certification requirement for exchange of temporary to permanent notes.
ODLT	OddLotSalePurchase	Sale or purchase of odd-lots to/from the issuing company, initiated either by the holder of the security or through an offer made by the issuer.
OTHR	OtherEvent	Other event, use only when no other event type applies, for example, a new event type.
PARI	PariPassu	Occurs when securities with different characteristics, for example, shares with different entitlements to dividend or voting rights, become identical in all respects, for example, pari-passu or assimilation. May be scheduled in advance, for example, shares resulting from a bonus may become fungible after a pre-set period of time, or may result from outside events, for example, merger, reorganisation, issue of supplementary tranches.
PCAL	PartialRedemptionWithoutPoolFactorReduction	Securities are redeemed in part before their scheduled final maturity date. It is done without any pool factor reduction. The redemption is reflected in a debit of the face amount (FAMT).
PRED	PartialRedemptionWithPoolFactorReduction	Securities are redeemed in part before their scheduled final maturity date. The redemption is reflected in a pool factor reduction. No movement of securities occurs.
PINK	PayInKind	Interest payment, in any kind except cash, distributed to holders of an interest bearing asset.
PLAC	PlaceOfIncorporation	Changes in the state of incorporation for US companies and changes in the place of incorporation for foreign companies. Where shares need to be registered following the incorporation change, the holder(s) may have to elect the registrar.
PDEF	Prefunding	Also called partial defeasance. Issuer has money set aside to redeem a portion of an issue and the indenture states that the securities could be called earlier than the stated maturity.
PRIO	PriorityIssue	Form of open or public offer where, due to a limited amount of securities available, priority is given to existing shareholders.
BPUT	PutRedemption	Early redemption of a security at the election of the holder subject to the terms and condition of the issue with no reduction in nominal value.
REDO	Redenomination	Event by which the unit (currency and/or nominal) of a security is restated, for

CodeName	Name	Definition
		example, nominal/par value of security in a national currency is restated in another currency.
REMK	RemarketingAgreement	Purchase and sale of remarketed preferred equities/bonds through the negotiation of interest rate between the issuers and the holders.
BIDS	RepurchaseOffer	Repurchase offer / issuer bid / reverse rights. Offer to existing holders by the issuing company to repurchase its own securities. The objective of the offer is to reduce the number of outstanding securities.
SPLR	ReverseStockSplit	Decrease in a company's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are increased accordingly.
RHTS	RightsIssue	Offer to holders of a security to subscribe for additional securities via the distribution of an intermediate security. Both processes are included in the same event.
DVSC	ScripDividend	Dividend or interest paid in the form of scrip.
SHPR	SharesPremiumDividend	Corporate event pays shareholders an amount in cash issued from the shares premium reserve. It is similar to a dividend but with different tax implications.
SMAL	SmallestNegotiableUnit	Modification of the smallest negotiable unit of shares in order to obtain a new negotiable unit.
SOFF	SpinOff	Distribution of securities issued by another company. The distributed securities may either be of a newly created or of an existing company. For example, spin-off, demerger, unbundling, divestment.
DVSE	StockDividend	Dividend paid to shareholders in the form of equities of the issuing corporation.
SPLF	StockSplit	Increase in a corporation's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are reduced accordingly.
TREC	TaxReclaim	Event related to tax reclaim activities.
TEND	Tender	Offer made to holders by a third party, requesting them to sell (tender) or exchange their securities.

CodeName	Name	Definition
DLST	TradingStatusDelisted	Security is no longer able to comply with the listing requirements of a stock exchange and is removed from official board quotation.
SUSP	TradingStatusSuspended	Trading in the security has been suspended.
EXWA	WarrantExercise	Option offered to holders to buy (call warrant) or to sell (put warrant) a specific amount of stock, cash, or commodity, at a predetermined price, during a predetermined period of time (which usually corresponds to the life of the issue).
WTRC	WithholdingTaxReliefCertification	Certification process for withholding tax reduction or exemption based on the tax status of the holder.
WRTH	Worthless	Booking out of valueless securities.
ACCU	Accumulation	Funds related event in which the income (for example accumulation units) that accrues during an accounting period is retained within the fund instead of being paid away to investors. The retained income is nonetheless deemed to have been distributed to investors for tax purposes.
MTNG	SecuritiesHoldersMeeting	Ordinary or annual or extraordinary or special general meeting.
TNDP	TaxOnNonDistributedProceeds	Taxable component on non-distributed proceeds, for example, Australian deemed income or US 871m income regulation.

### 16.1.15.18.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Event type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.19 CorporateActionEventType97Choice

*Definition:* Choice between formats to express the corporate event type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		989
Or}	Proprietary <Prtry>	[1..1]	±		995

### Constraints

- **EventTypeRule**

(Rule)

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

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

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

#### 16.1.15.19.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Event type expressed as a code.

*Datatype:* [CorporateActionEventType32Code](#) on page 1286

CodeName	Name	Definition
ACTV	ActiveTradingStatus	Trading in the security has commenced or security has been re-activated after a suspension in trading.
ATTI	Attachment	Combination of different security types to create a unit. Units are usually comprised of warrants and bonds or warrants and equities. Securities may be combined at the request of the security holder or based on market convention.
BRUP	Bankruptcy	Legal status of a company unable to pay creditors. Bankruptcy usually involves a formal court ruling. Securities may become valueless.
DFLT	BondDefault	Failure by the company to perform obligations defined as default events under the bond agreement and that have not been remedied.
BONU	BonusIssue	Bonus or capitalisation issue. Security holders receive additional assets free of payment from the issuer, in proportion to their holding.
EXRI	CallOnIntermediateSecurities	Call or exercise on nil paid securities or intermediate securities resulting from an intermediate securities distribution (RHDI). This code is used for the second event, when an intermediate securities'

CodeName	Name	Definition
		issue (rights/coupons) is composed of two events, the first event being the distribution of intermediate securities.
CAPD	CapitalDistribution	Corporate event pays shareholders an amount in cash issued from the capital account. There is no reduction to the face value of a single share (or the share has no par value). The number of circulating shares remains unchanged.
CAPG	CapitalGainsDistribution	Event is the distribution of profits resulting from the sale of securities. Shareholders of mutual funds, unit trusts, or SICAVs are recipients of capital gains distributions and are often reinvested in additional shares of the fund.
CAPI	Capitalisation	Increase of the current principal of a debt instrument without increasing the nominal value. It normally arises from the incorporation of due but unpaid interest into the principal. This is commonly done by increasing the pool factor value, for example, capitalisation, and negative amortisation.
DRCA	CashDistributionFromNonEligibleSecuritiesSales	Distribution to shareholders of cash resulting from the selling of non-eligible securities, for example, in the frame of a depositary receipt program.
DVCA	CashDividend	Distribution of cash to shareholders, in proportion to their equity holding. Ordinary dividends are recurring and regular. Shareholder must take cash and may be offered a choice of currency.
CHAN	Change	Information regarding a change further described in the corporate action details.
COOP	CompanyOption	Company option may be granted by the company, allowing the holder to take up shares at some future date(s) at a pre arranged price in the company. A company may not grant options which enable the holder to take up unissued shares at a time which is five or more years from the date of the grant. Option holders are not members of a company. They are contingent creditors of a company and hence may, in some instances, be entitled to vote on and be bound by a scheme of arrangement between the creditors and the company. As many options have multiple exercise periods a company option will either lapse or carry on to the next expiry date.
CLSA	ClassActionProposedSettlement	Situation where interested parties seek restitution for financial loss. The security holder may be offered the opportunity to join a class action proceeding and would need to respond with an instruction.

CodeName	Name	Definition
CONS	Consent	Procedure that aims to obtain consent of holder to a proposal by the issuer or a third party without convening a meeting. For example, consent to change the terms of a bond.
CONV	Conversion	Conversion of securities (generally convertible bonds or preferred shares) into another form of securities (usually common shares) at a pre-stated price/ratio.
CREV	CreditEvent	Occurrence of credit derivative for which the issuer of one or several underlying securities is unable to fulfill its financial obligations (as defined in terms and conditions).
DECR	DecreaseInValue	Reduction of face value of a single share or the value of fund assets. The number of circulating shares/units remains unchanged. This event may include a cash payout to holders.
DETI	Detachment	Separation of components that comprise a security, for example, usually units comprised of warrants and bond or warrants and equity. Units may be broken up at the request of the security holder or based on market convention.
DSCL	Disclosure	Requirement for holders or beneficial owners to disclose their name, location and holdings of any issue to the issuer.
DVOP	DividendOption	Distribution of a dividend to shareholders with a choice of benefit to receive. Shareholders may choose to receive shares or cash. To be distinguished from DRIP as the company creates new share capital in exchange for the dividend rather than investing the dividend in the market.
DRIP	DividendReinvestment	Dividend payment where holders can keep cash or have the cash reinvested in the market by the issuer into additional shares in the issuing company. To be distinguished from DVOP as the company invests the dividend in the market rather than creating new share capital in exchange for the dividend.
DRAW	Drawing	Securities are redeemed in part before the scheduled final maturity date. It is done without any pool factor reduction. The redemption is reflected in a debit of the face amount (FAMT). Drawing is distinct from partial call since drawn bonds are chosen by lottery. Therefore, not every holder is affected in the same way.
DTCH	DutchAuction	Action by a party wishing to acquire a security. Holders of the security are invited to make an offer to sell, within a

CodeName	Name	Definition
		specific price range. The acquiring party will buy from the holder with lowest offer.
EXOF	Exchange	Exchange of holdings for other securities and/or cash. The exchange can be either mandatory or voluntary involving the exchange of outstanding securities for different securities and/or cash. For example "exchange offer", "capital reorganisation" or "funds separation".
REDM	FinalMaturity	Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, at final maturity.
MCAL	FullCall	Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, before final maturity.
INCR	IncreaseInValue	Increase in the face value of a single security. The number of circulating securities remains unchanged.
PPMT	InstalmentCall	Instalment towards the purchase of equity capital, subject to an agreement between an issuer and a purchaser.
INTR	InterestPayment	Interest payment distributed to holders of an interest bearing asset.
RHDI	IntermediateSecuritiesDistribution	Distribution of intermediate securities that gives the holder the right to take part in a future event.
LIQU	LiquidationDividend	Distribution of cash, assets or both. Debt may be paid in order of priority based on preferred claims to assets specified by the security.
EXTM	MaturityExtension	As stipulated in the security's Terms and Conditions, the issuer or the holder may prolong the maturity date of a security. After extension, the security details may differ from the original issue. An issuer initiated extension may be subject to holder's approval.
MRGR	Merger	Exchange of outstanding securities, initiated by the issuer which may include options, as the result of two or more companies combining assets, that is, an external, third party company. Cash payments may accompany share exchange.
NOOF	NonOfficialOffer	Offers that are not supervised or regulated by an official entity and being offered by a party, for example a broker, usually at a discount price, for example broker offer, mini-tender, mini odd lot offer or third party offer.



CodeName	Name	Definition
CERT	NonUSTEFRADCertification	Non-US beneficial owner certification requirement for exchange of temporary to permanent notes.
ODLT	OddLotSalePurchase	Sale or purchase of odd-lots to/from the issuing company, initiated either by the holder of the security or through an offer made by the issuer.
OTHR	OtherEvent	Other event, use only when no other event type applies, for example, a new event type.
PARI	PariPassu	Occurs when securities with different characteristics, for example, shares with different entitlements to dividend or voting rights, become identical in all respects, for example, pari-passu or assimilation. May be scheduled in advance, for example, shares resulting from a bonus may become fungible after a pre-set period of time, or may result from outside events, for example, merger, reorganisation, issue of supplementary tranches.
PCAL	PartialRedemptionWithoutPoolFactorReduction	Securities are redeemed in part before their scheduled final maturity date. It is done without any pool factor reduction. The redemption is reflected in a debit of the face amount (FAMT).
PRED	PartialRedemptionWithPoolFactorReduction	Securities are redeemed in part before their scheduled final maturity date. The redemption is reflected in a pool factor reduction. No movement of securities occurs.
PINK	PayInKind	Interest payment, in any kind except cash, distributed to holders of an interest bearing asset.
PLAC	PlaceOfIncorporation	Changes in the state of incorporation for US companies and changes in the place of incorporation for foreign companies. Where shares need to be registered following the incorporation change, the holder(s) may have to elect the registrar.
PDEF	Prefunding	Also called partial defeasance. Issuer has money set aside to redeem a portion of an issue and the indenture states that the securities could be called earlier than the stated maturity.
PRIO	PriorityIssue	Form of open or public offer where, due to a limited amount of securities available, priority is given to existing shareholders.
BPUT	PutRedemption	Early redemption of a security at the election of the holder subject to the terms and condition of the issue with no reduction in nominal value.
REDO	Redenomination	Event by which the unit (currency and/or nominal) of a security is restated, for

CodeName	Name	Definition
		example, nominal/par value of security in a national currency is restated in another currency.
REMK	RemarketingAgreement	Purchase and sale of remarketed preferred equities/bonds through the negotiation of interest rate between the issuers and the holders.
BIDS	RepurchaseOffer	Repurchase offer / issuer bid / reverse rights. Offer to existing holders by the issuing company to repurchase its own securities. The objective of the offer is to reduce the number of outstanding securities.
SPLR	ReverseStockSplit	Decrease in a company's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are increased accordingly.
RHTS	RightsIssue	Offer to holders of a security to subscribe for additional securities via the distribution of an intermediate security. Both processes are included in the same event.
DVSC	ScripDividend	Dividend or interest paid in the form of scrip.
SHPR	SharesPremiumDividend	Corporate event pays shareholders an amount in cash issued from the shares premium reserve. It is similar to a dividend but with different tax implications.
SMAL	SmallestNegotiableUnit	Modification of the smallest negotiable unit of shares in order to obtain a new negotiable unit.
SOFF	SpinOff	Distribution of securities issued by another company. The distributed securities may either be of a newly created or of an existing company. For example, spin-off, demerger, unbundling, divestment.
DVSE	StockDividend	Dividend paid to shareholders in the form of equities of the issuing corporation.
SPLF	StockSplit	Increase in a corporation's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are reduced accordingly.
TREC	TaxReclaim	Event related to tax reclaim activities.
TEND	Tender	Offer made to holders by a third party, requesting them to sell (tender) or exchange their securities.

CodeName	Name	Definition
DLST	TradingStatusDelisted	Security is no longer able to comply with the listing requirements of a stock exchange and is removed from official board quotation.
SUSP	TradingStatusSuspended	Trading in the security has been suspended.
EXWA	WarrantExercise	Option offered to holders to buy (call warrant) or to sell (put warrant) a specific amount of stock, cash, or commodity, at a predetermined price, during a predetermined period of time (which usually corresponds to the life of the issue).
WTRC	WithholdingTaxReliefCertification	Certification process for withholding tax reduction or exemption based on the tax status of the holder.
WRTH	Worthless	Booking out of valueless securities.
ACCU	Accumulation	Funds related event in which the income (for example accumulation units) that accrues during an accounting period is retained within the fund instead of being paid away to investors. The retained income is nonetheless deemed to have been distributed to investors for tax purposes.
TNDP	TaxOnNonDistributedProceeds	Taxable component on non-distributed proceeds, for example, Australian deemed income or US 871m income regulation.

### 16.1.15.19.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Event type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.20 NetDividendRateFormat43Choice

*Definition:* Choice between an amount or an unspecified rate.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C1	996
Or	AmountAndRateStatus <AmtAndRateSts>	[1..1]			996
	Amount <Amt>	[1..1]	Amount	C1	997
	RateStatus <RateSts>	[1..1]	CodeSet		997
Or	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			997
	RateType <RateTp>	[1..1]			998
{Or	Code <Cd>	[1..1]	CodeSet		998
Or}	Proprietary <Prtry>	[1..1]	±		999
	Amount <Amt>	[1..1]	Amount	C1	999
	RateStatus <RateSts>	[0..1]		C51	1000
{Or	Code <Cd>	[1..1]	CodeSet		1000
Or}	Proprietary <Prtry>	[1..1]	±		1000
Or}	NotSpecifiedRate <NotSpocfdRate>	[1..1]	CodeSet		1000

#### 16.1.15.20.1 Amount <Amt>

*Presence:* [1..1]

*Definition:* Number of monetary units specified in a currency.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

#### 16.1.15.20.2 AmountAndRateStatus <AmtAndRateSts>

*Presence:* [1..1]

*Definition:* Specifies an amount and a rate status.

**AmountAndRateStatus <AmtAndRateSts>** contains the following **AmountAndRateStatus2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C1	997
	RateStatus <RateSts>	[1..1]	CodeSet		997

#### 16.1.15.20.2.1 Amount <Amt>

*Presence:* [1..1]

*Definition:* Value expressed as an amount.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

#### 16.1.15.20.2.2 RateStatus <RateSts>

*Presence:* [1..1]

*Definition:* Value expressed as a rate status.

*Datatype:* RateStatus1Code on page 1334

CodeName	Name	Definition
ACTU	ActualRate	Rate is actual.
INDI	IndicativeRate	Rate is indicative.

#### 16.1.15.20.3 RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>

*Presence:* [1..1]

*Definition:* Specifies different formats for the net dividend rate.

**RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>** contains the following **RateTypeAndAmountAndStatus60** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RateType <RateTp>	[1..1]			998
{Or	Code <Cd>	[1..1]	CodeSet		998
Or}	Proprietary <Prtry>	[1..1]	±		999
	Amount <Amt>	[1..1]	Amount	C1	999
	RateStatus <RateSts>	[0..1]		C51	1000
{Or	Code <Cd>	[1..1]	CodeSet		1000
Or}	Proprietary <Prtry>	[1..1]	±		1000

#### 16.1.15.20.3.1 RateType <RateTp>

*Presence:* [1..1]

*Definition:* Value expressed as a rate type.

**RateType <RateTp>** contains one of the following **RateType81Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		998
Or}	Proprietary <Prtry>	[1..1]	±		999

##### 16.1.15.20.3.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the type of net dividend rate.

*Datatype:* [NetDividendRateType6Code](#) on page 1322

CodeName	Name	Definition
CAPO	CapitalPortion	Rate relating to the underlying security for which capital is distributed.
CDFI	ForeignIncome	Rate relating to a foreign income type such as a conduit foreign income.
FLFR	FullyFranked	Rate resulting from a fully franked dividend paid by a company; the rate includes tax credit for companies that have made sufficient tax payments during the fiscal period.
INCO	IncomePortion	Rate relating to the underlying security for which income is distributed.
INTR	Interest	Rate relating to the underlying security for which interest is paid.
REES	RealEstatePropertyIncomePortion	Rate of income distribution originated by real estate investment.

CodeName	Name	Definition
SOIC	SundryOrOtherIncome	Rate relating to the underlying security for which other income is paid.
TXBL	TaxablePortion	Rate relating to the underlying security for which tax is charged.
TXDF	TaxDeferred	Rate relating to the underlying security for which tax is deferred.
TXFR	TaxFree	Rate relating to the underlying security which is not taxable.
UNFR	Unfranked	Rate resulting from an unfranked dividend paid by a company; the rate does not include tax credit and is subject to withholding tax.

### 16.1.15.20.3.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the type of net dividend rate.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47 on page 951](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.20.3.2 Amount <Amt>

*Presence:* [1..1]

*Definition:* Value expressed as an amount.

*Impacted by:* C1 ActiveCurrency

*Datatype:* [RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259](#)

#### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005

– *Error Text:* Invalid currency code

### 16.1.15.20.3.3 RateStatus <RateSts>

*Presence:* [0..1]

*Definition:* Value expressed as a rate status.

*Impacted by:* [C51 RateStatusGuideline](#)

**RateStatus <RateSts>** contains one of the following **RateStatus4Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1000
Or}	Proprietary <Prtry>	[1..1]	±		1000

#### Constraints

- **RateStatusGuideline**

(Guideline)

The code value ACTU is the default value for a rate status.

#### 16.1.15.20.3.3.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the status of the rate.

*Datatype:* [RateStatus1Code](#) on page 1334

CodeName	Name	Definition
ACTU	ActualRate	Rate is actual.
INDI	IndicativeRate	Rate is indicative.

#### 16.1.15.20.3.3.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the status of the rate.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 16.1.15.20.4 NotSpecifiedRate <NotSpcfdRate>

*Presence:* [1..1]

*Definition:* Value of the rate not specified.

*Datatype:* [RateValueType7Code](#) on page 1335



CodeName	Name	Definition
UKWN	Unknown	Rate is unknown by the sender or has not been established.

### 16.1.15.21 GrossDividendRateFormat41Choice

*Definition:* Choice between an amount or an unspecified rate.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C1	1001
Or	AmountAndRateStatus <AmtAndRateSts>	[1..1]			1002
	Amount <Amt>	[1..1]	Amount	C1	1002
	RateStatus <RateSts>	[1..1]	CodeSet		1002
Or	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1003
	RateType <RateTp>	[1..1]			1003
{Or	Code <Cd>	[1..1]	CodeSet		1003
Or}	Proprietary <Prtry>	[1..1]	±		1004
	Amount <Amt>	[1..1]	Amount	C1	1004
	RateStatus <RateSts>	[0..1]		C51	1005
{Or	Code <Cd>	[1..1]	CodeSet		1005
Or}	Proprietary <Prtry>	[1..1]	±		1005
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1006

#### 16.1.15.21.1 Amount <Amt>

*Presence:* [1..1]

*Definition:* Number of monetary units specified in a currency.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

**16.1.15.21.2 AmountAndRateStatus <AmtAndRateSts>**

*Presence:* [1..1]

*Definition:* Specifies an amount and a rate status.

**AmountAndRateStatus <AmtAndRateSts>** contains the following **AmountAndRateStatus2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C1	1002
	RateStatus <RateSts>	[1..1]	CodeSet		1002

**16.1.15.21.2.1 Amount <Amt>**

*Presence:* [1..1]

*Definition:* Value expressed as an amount.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

**Constraints**

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

**16.1.15.21.2.2 RateStatus <RateSts>**

*Presence:* [1..1]

*Definition:* Value expressed as a rate status.

*Datatype:* RateStatus1Code on page 1334

CodeName	Name	Definition
ACTU	ActualRate	Rate is actual.

CodeName	Name	Definition
INDI	IndicativeRate	Rate is indicative.

### 16.1.15.21.3 RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>

*Presence:* [1..1]

*Definition:* Specifies different formats for the gross dividend rate.

**RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>** contains the following **RateTypeAndAmountAndStatus59** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RateType <RateTp>	[1..1]			1003
{Or	Code <Cd>	[1..1]	CodeSet		1003
Or}	Proprietary <Prtry>	[1..1]	±		1004
	Amount <Amt>	[1..1]	Amount	C1	1004
	RateStatus <RateSts>	[0..1]		C51	1005
{Or	Code <Cd>	[1..1]	CodeSet		1005
Or}	Proprietary <Prtry>	[1..1]	±		1005

#### 16.1.15.21.3.1 RateType <RateTp>

*Presence:* [1..1]

*Definition:* Value expressed as a rate type.

**RateType <RateTp>** contains one of the following **RateType80Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1003
Or}	Proprietary <Prtry>	[1..1]	±		1004

##### 16.1.15.21.3.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the type of gross dividend rate.

*Datatype:* GrossDividendRateType6Code on page 1316

CodeName	Name	Definition
CAPO	CapitalPortion	Rate relating to the underlying security for which capital is distributed.
FLFR	FullyFranked	Rate resulting from a fully franked dividend paid by a company; the rate includes tax credit for companies that have made sufficient tax payments during the fiscal period.

CodeName	Name	Definition
INCO	IncomePortion	Rate relating to the underlying security for which income is distributed.
INTR	Interest	Rate relating to the underlying security for which interest is paid.
LTCG	LongTermCapitalGain	Long term capital gain.
REES	RealEstatePropertyIncomePortion	Rate of income distribution originated by real estate investment.
STCG	ShortTermCapitalGain	Short term capital gain.
SOIC	SundryOrOtherIncome	Rate relating to the underlying security for which other income is paid.
TXBL	TaxablePortion	Rate relating to the underlying security for which tax is charged.
TXDF	TaxDeferred	Rate relating to the underlying security for which tax is deferred.
TXFR	TaxFree	Rate relating to the underlying security which is not taxable.
UNFR	Unfranked	Rate resulting from an unfranked dividend paid by a company; the rate does not include tax credit and is subject to withholding tax.
CDFI	ForeignIncome	Rate relating to a foreign income type such as a conduit foreign income.

**16.1.15.21.3.1.2 Proprietary <Prtry>**

*Presence:* [1..1]

*Definition:* Proprietary identification of the type of gross dividend rate.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

**16.1.15.21.3.2 Amount <Amt>**

*Presence:* [1..1]

*Definition:* Value expressed as an amount.

*Impacted by:* C1 ActiveCurrency

*Datatype:* [RestrictedFINActiveCurrencyAnd13DecimalAmount](#) on page 1259

**Constraints**

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

**16.1.15.21.3.3 RateStatus <RateSts>**

*Presence:* [0..1]

*Definition:* Value expressed as a rate status.

*Impacted by:* [C51 RateStatusGuideline](#)

**RateStatus <RateSts>** contains one of the following **RateStatus4Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1005
Or}	Proprietary <Prtry>	[1..1]	±		1005

**Constraints**

- **RateStatusGuideline**

(Guideline)

The code value ACTU is the default value for a rate status.

**16.1.15.21.3.3.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Standard code to specify the status of the rate.

*Datatype:* [RateStatus1Code on page 1334](#)

CodeName	Name	Definition
ACTU	ActualRate	Rate is actual.
INDI	IndicativeRate	Rate is indicative.

**16.1.15.21.3.3.2 Proprietary <Prtry>**

*Presence:* [1..1]

*Definition:* Proprietary identification of the status of the rate.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 16.1.15.21.4 NotSpecifiedRate <NotSpcfdRate>

*Presence:* [1..1]

*Definition:* Value of the rate not specified.

*Datatype:* [RateType13Code](#) on page 1334

CodeName	Name	Definition
UKWN	Unknown	Rate is unknown by the sender or has not been established.
NILP	NilPayment	Rate will not be paid.

#### 16.1.15.22 OptionFeaturesFormat26Choice

*Definition:* Choice between a standard code and a proprietary code to specify the features that may apply to a corporate action option.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1006
Or}	Proprietary <Prtry>	[1..1]	±		1007

##### 16.1.15.22.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the features that may apply to a corporate action option.

*Datatype:* [OptionFeatures11Code](#) on page 1327

CodeName	Name	Definition
ASVO	AccountServicerOption	Option is offered by the account servicer only.
BOIS	BeneficiaryOwnerInstruction	Indicates that the holder needs to instruct at beneficiary owner level only.
COND	Conditional	Feature whereby the holder can elect to place a condition on the acceptance of the option.
MAXC	MaximumCash	Maximum cash option, may be subject to scaling, as such you may receive a combination of cash and securities outturn.

CodeName	Name	Definition
MAXS	MaximumSecurities	Maximum stock option, may be subject to scaling, as such you may receive a combination of securities and cash outturn.
NOSE	NoServiceOffered	Feature whereby the holder must elect directly to the issuer's agent (issuer only supported option).
OPLF	OddLotPreference	Tender or exchange with the odd lot preference.
CAOS	OptionApplicability	Option applicability is not subject to the account owner decision but depends on the terms defined by the issuer, for example in the case of equity linked notes or warrants.
PINS	PreviousInstructionInvalidity	Indicates the previously sent instructions becomes invalid. This is only applicable after a market deadline extension.
PROR	Proration	Feature whereby the option can be subject to pro ration in case, for example, of over-subscription.
VVPR	ReducedWithholdingTax	Reduced withholding tax rate applies to the option.
QCAS	InstructCashAmount	Feature whereby the holder should only instruct a cash amount.
SHAR	ShareholderNumber	Indicates usage of a reference number to identify an investor or a shareholder with the issuer or the registration provider (for instance allocation code).

### 16.1.15.22.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the features that may apply to a corporate action option.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.23 CorporateActionOption36Choice

*Definition:* Choice between a standard code or a proprietary code to specify the type of corporate action options.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1008
Or}	Proprietary <Prtry>	[1..1]	±		1009

### 16.1.15.23.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the type of corporate action options.

*Datatype:* [CorporateActionOption11Code](#) on page 1300

CodeName	Name	Definition
ABST	Abstain	Vote expressed as abstain. In this case, the issuing company will add the number of shares to the quorum of the meeting.  If the voting right is not executed, it will not be added to the quorum. In this case, code NOAC should be used.
BSPL	BonusSharePlan	Receive equities from the share premium reserve of the company and considered as a capital distribution rather than a disbursement of income with different tax implications (typically found in Australia).
BUYA	BuyUp	Buy additional securities to round up position.
CASE	CashAndSecurity	Option to choose between different security and cash options.
CASH	Cash	Option to choose cash.
CEXC	ConsentAndExchange	Vote to consent to change the terms of the securities agreement and to exchange securities.
CONN	ConsentDenied	Vote not to approve the event or proposal.
CONY	ConsentGranted	Vote to approve the event or proposal.
CTEN	ConsentAndTender	Vote to consent to change the terms of the securities agreement and to tender securities for cash.
EXER	Exercise	Exercise intermediate securities or warrants.
LAPS	Lapse	Allow event or entitled security to expire.
MPUT	Retain	Option that allows a holder to elect to retain their holding, for example, a puttable bond.
NOAC	NoAction	Option for the account owner not to take part in the event. This would include opt-out for class actions and lodging of dissenters' rights.



CodeName	Name	Definition
NOQU	NonQualifiedInvestor	Account owner is a non-qualified investor.
OFFR	ProposedRate	In a remarketing of variable notes, the margin that shareholders can propose in respect of the next interest period.
OTHR	Other	Generic corporate action option to be used in case that no other specific code is appropriate.
OVER	Oversubscribe	Subscribe to more equities than underlying securities position allows.
QINV	QualifiedInvestor	Account owner is a qualified investor.
SECU	Security	Distribution of securities to holders.
SLLE	SellEntitlement	Sell the intermediate securities.
PRUN	UnknownProceeds	Proceeds not known during election period. The option can result in cash and/or securities.

### 16.1.15.23.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the type of corporate action options.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.24 CorporateActionEventType89Choice

*Definition:* Choice between formats to express the corporate event type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1010
Or}	Proprietary <Prtry>	[1..1]	±		1016

#### Constraints

- **EventTypeRule**

(Rule)

If Code is present, the code OTHR (Other) must only be used if no other corporate action event code is appropriate.

If Code is present, the code CHAN (Change) must only be used if no other corporate action event code is appropriate and only for an event which relates to a change.

If Code is present, the code REDM (Final Maturity) must only be used if the redemption is decided by the issuer and not by the securities holders.

### 16.1.15.24.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Event type expressed as a code.

*Datatype:* [CorporateActionEventType31Code](#) on page 1280

CodeName	Name	Definition
ACTV	ActiveTradingStatus	Trading in the security has commenced or security has been re-activated after a suspension in trading.
ATTI	Attachment	Combination of different security types to create a unit. Units are usually comprised of warrants and bonds or warrants and equities. Securities may be combined at the request of the security holder or based on market convention.
BRUP	Bankruptcy	Legal status of a company unable to pay creditors. Bankruptcy usually involves a formal court ruling. Securities may become valueless.
DFLT	BondDefault	Failure by the company to perform obligations defined as default events under the bond agreement and that have not been remedied.
BONU	BonusIssue	Bonus or capitalisation issue. Security holders receive additional assets free of payment from the issuer, in proportion to their holding.
EXRI	CallOnIntermediateSecurities	Call or exercise on nil paid securities or intermediate securities resulting from an intermediate securities distribution (RHDI). This code is used for the second event, when an intermediate securities' issue (rights/coupons) is composed of two events, the first event being the distribution of intermediate securities.
CAPD	CapitalDistribution	Corporate event pays shareholders an amount in cash issued from the capital account. There is no reduction to the face value of a single share (or the share has no par value). The number of circulating shares remains unchanged.
CAPG	CapitalGainsDistribution	Event is the distribution of profits resulting from the sale of securities. Shareholders of mutual funds, unit trusts, or SICAVs are recipients of capital gains distributions and are often reinvested in additional shares of the fund.

CodeName	Name	Definition
CAPI	Capitalisation	Increase of the current principal of a debt instrument without increasing the nominal value. It normally arises from the incorporation of due but unpaid interest into the principal. This is commonly done by increasing the pool factor value, for example, capitalisation, and negative amortisation.
DRCA	CashDistributionFromNonEligibleSecuritiesSales	Distribution to shareholders of cash resulting from the selling of non-eligible securities, for example, in the frame of a depositary receipt program.
DVCA	CashDividend	Distribution of cash to shareholders, in proportion to their equity holding. Ordinary dividends are recurring and regular. Shareholder must take cash and may be offered a choice of currency.
CHAN	Change	Information regarding a change further described in the corporate action details.
COOP	CompanyOption	Company option may be granted by the company, allowing the holder to take up shares at some future date(s) at a pre arranged price in the company. A company may not grant options which enable the holder to take up unissued shares at a time which is five or more years from the date of the grant. Option holders are not members of a company. They are contingent creditors of a company and hence may, in some instances, be entitled to vote on and be bound by a scheme of arrangement between the creditors and the company. As many options have multiple exercise periods a company option will either lapse or carry on to the next expiry date.
CLSA	ClassActionProposedSettlement	Situation where interested parties seek restitution for financial loss. The security holder may be offered the opportunity to join a class action proceeding and would need to respond with an instruction.
CONS	Consent	Procedure that aims to obtain consent of holder to a proposal by the issuer or a third party without convening a meeting. For example, consent to change the terms of a bond.
CONV	Conversion	Conversion of securities (generally convertible bonds or preferred shares) into another form of securities (usually common shares) at a pre-stated price/ratio.
CREV	CreditEvent	Occurrence of credit derivative for which the issuer of one or several underlying securities is unable to fulfill its financial obligations (as defined in terms and conditions).

CodeName	Name	Definition
DECR	DecreaseInValue	Reduction of face value of a single share or the value of fund assets. The number of circulating shares/units remains unchanged. This event may include a cash payout to holders.
DETI	Detachment	Separation of components that comprise a security, for example, usually units comprised of warrants and bond or warrants and equity. Units may be broken up at the request of the security holder or based on market convention.
DSCL	Disclosure	Requirement for holders or beneficial owners to disclose their name, location and holdings of any issue to the issuer.
DVOP	DividendOption	Distribution of a dividend to shareholders with a choice of benefit to receive. Shareholders may choose to receive shares or cash. To be distinguished from DRIP as the company creates new share capital in exchange for the dividend rather than investing the dividend in the market.
DRIP	DividendReinvestment	Dividend payment where holders can keep cash or have the cash reinvested in the market by the issuer into additional shares in the issuing company. To be distinguished from DVOP as the company invests the dividend in the market rather than creating new share capital in exchange for the dividend.
DRAW	Drawing	Securities are redeemed in part before the scheduled final maturity date. It is done without any pool factor reduction. The redemption is reflected in a debit of the face amount (FAMT). Drawing is distinct from partial call since drawn bonds are chosen by lottery. Therefore, not every holder is affected in the same way.
DTCH	DutchAuction	Action by a party wishing to acquire a security. Holders of the security are invited to make an offer to sell, within a specific price range. The acquiring party will buy from the holder with lowest offer.
EXOF	Exchange	Exchange of holdings for other securities and/or cash. The exchange can be either mandatory or voluntary involving the exchange of outstanding securities for different securities and/or cash. For example "exchange offer", "capital reorganisation" or "funds separation".
REDM	FinalMaturity	Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, at final maturity.

CodeName	Name	Definition
MCAL	FullCall	Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, before final maturity.
INCR	IncreaseInValue	Increase in the face value of a single security. The number of circulating securities remains unchanged.
PPMT	InstalmentCall	Instalment towards the purchase of equity capital, subject to an agreement between an issuer and a purchaser.
INTR	InterestPayment	Interest payment distributed to holders of an interest bearing asset.
RHDI	IntermediateSecuritiesDistribution	Distribution of intermediate securities that gives the holder the right to take part in a future event.
LIQU	LiquidationDividend	Distribution of cash, assets or both. Debt may be paid in order of priority based on preferred claims to assets specified by the security.
EXTM	MaturityExtension	As stipulated in the security's Terms and Conditions, the issuer or the holder may prolong the maturity date of a security. After extension, the security details may differ from the original issue. An issuer initiated extension may be subject to holder's approval.
MRGR	Merger	Exchange of outstanding securities, initiated by the issuer which may include options, as the result of two or more companies combining assets, that is, an external, third party company. Cash payments may accompany share exchange.
NOOF	NonOfficialOffer	Offers that are not supervised or regulated by an official entity and being offered by a party, for example a broker, usually at a discount price, for example broker offer, mini-tender, mini odd lot offer or third party offer.
CERT	NonUSTEFRADCertification	Non-US beneficial owner certification requirement for exchange of temporary to permanent notes.
ODLT	OddLotSalePurchase	Sale or purchase of odd-lots to/from the issuing company, initiated either by the holder of the security or through an offer made by the issuer.
OTHR	OtherEvent	Other event, use only when no other event type applies, for example, a new event type.
PARI	PariPassu	Occurs when securities with different characteristics, for example, shares with different entitlements to dividend or voting rights, become identical in all respects, for example, pari-passu or

CodeName	Name	Definition
		assimilation. May be scheduled in advance, for example, shares resulting from a bonus may become fungible after a pre-set period of time, or may result from outside events, for example, merger, reorganisation, issue of supplementary tranches.
PCAL	PartialRedemptionWithoutPoolFactorReduction	Securities are redeemed in part before their scheduled final maturity date. It is done without any pool factor reduction. The redemption is reflected in a debit of the face amount (FAMT).
PRED	PartialRedemptionWithPoolFactorReduction	Securities are redeemed in part before their scheduled final maturity date. The redemption is reflected in a pool factor reduction. No movement of securities occurs.
PINK	PayInKind	Interest payment, in any kind except cash, distributed to holders of an interest bearing asset.
PLAC	PlaceOfIncorporation	Changes in the state of incorporation for US companies and changes in the place of incorporation for foreign companies. Where shares need to be registered following the incorporation change, the holder(s) may have to elect the registrar.
PDEF	Prefunding	Also called partial defeasance. Issuer has money set aside to redeem a portion of an issue and the indenture states that the securities could be called earlier than the stated maturity.
PRIO	PriorityIssue	Form of open or public offer where, due to a limited amount of securities available, priority is given to existing shareholders.
BPUT	PutRedemption	Early redemption of a security at the election of the holder subject to the terms and condition of the issue with no reduction in nominal value.
REDO	Redenomination	Event by which the unit (currency and/or nominal) of a security is restated, for example, nominal/par value of security in a national currency is restated in another currency.
REMK	RemarketingAgreement	Purchase and sale of remarketed preferred equities/bonds through the negotiation of interest rate between the issuers and the holders.
BIDS	RepurchaseOffer	Repurchase offer / issuer bid / reverse rights. Offer to existing holders by the issuing company to repurchase its own securities. The objective of the offer is to reduce the number of outstanding securities.
SPLR	ReverseStockSplit	Decrease in a company's number of outstanding equities without any change

CodeName	Name	Definition
		in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are increased accordingly.
RHTS	RightsIssue	Offer to holders of a security to subscribe for additional securities via the distribution of an intermediate security. Both processes are included in the same event.
DVSC	ScripDividend	Dividend or interest paid in the form of scrip.
SHPR	SharesPremiumDividend	Corporate event pays shareholders an amount in cash issued from the shares premium reserve. It is similar to a dividend but with different tax implications.
SMAL	SmallestNegotiableUnit	Modification of the smallest negotiable unit of shares in order to obtain a new negotiable unit.
SOFF	SpinOff	Distribution of securities issued by another company. The distributed securities may either be of a newly created or of an existing company. For example, spin-off, demerger, unbundling, divestment.
DVSE	StockDividend	Dividend paid to shareholders in the form of equities of the issuing corporation.
SPLF	StockSplit	Increase in a corporation's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are reduced accordingly.
TREC	TaxReclaim	Event related to tax reclaim activities.
TEND	Tender	Offer made to holders by a third party, requesting them to sell (tender) or exchange their securities.
DLST	TradingStatusDelisted	Security is no longer able to comply with the listing requirements of a stock exchange and is removed from official board quotation.
SUSP	TradingStatusSuspended	Trading in the security has been suspended.
EXWA	WarrantExercise	Option offered to holders to buy (call warrant) or to sell (put warrant) a specific amount of stock, cash, or commodity, at a predetermined price, during a predetermined period of time (which usually corresponds to the life of the issue).
WTRC	WithholdingTaxReliefCertification	Certification process for withholding tax reduction or exemption based on the tax status of the holder.

CodeName	Name	Definition
WRTH	Worthless	Booking out of valueless securities.
ACCU	Accumulation	Funds related event in which the income (for example accumulation units) that accrues during an accounting period is retained within the fund instead of being paid away to investors. The retained income is nonetheless deemed to have been distributed to investors for tax purposes.
INFO	Information	Information provided by the issuer having no accounting/financial impact on the holder.
TNDP	TaxOnNonDistributedProceeds	Taxable component on non-distributed proceeds, for example, Australian deemed income or US 871m income regulation.

#### 16.1.15.24.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Event type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 16.1.15.25 OptionFeaturesFormat27Choice

*Definition:* Choice between a standard code and a proprietary code to specify the features that may apply to a corporate action option.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1016
Or}	Proprietary <Prtry>	[1..1]	±		1017

#### 16.1.15.25.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the features that may apply to a corporate action option.

*Datatype:* [OptionFeatures12Code](#) on page 1327

CodeName	Name	Definition
OPLF	OddLotPreference	Tender or exchange with the odd lot preference.



### 16.1.15.25.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the features that may apply to a corporate action option.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.26 EventSequenceTypeFormat2Choice

*Definition:* Choice between a standard code and proprietary code to specify the type of event in a series of predefined or planned events.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1017
Or}	Proprietary <Prtry>	[1..1]	±		1017

#### 16.1.15.26.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of an event sequence, in a coded format.

*Datatype:* [EventSequenceType1Code](#) on page 1313

CodeName	Name	Definition
FINL	Final	Final event in a series of successive events.
INTE	Interim	Interim event in a series of successive events.

#### 16.1.15.26.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of an event sequence, in a proprietary format.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.27 Pagination1

*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		1018
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		1018

#### 16.1.15.27.1 PageNumber <PgNb>

*Presence:* [1..1]

*Definition:* Page number.

*Datatype:* Max5NumericText on page 1350

#### 16.1.15.27.2 LastPageIndicator <LastPgInd>

*Presence:* [1..1]

*Definition:* Indicates the last page.

*Datatype:* One of the following values must be used (see YesNoIndicator on page 1345):

- *Meaning When True:* Yes
- *Meaning When False:* No

### 16.1.15.28 UpdateType16Choice

*Definition:* Choice of format for the update information.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1018
Or}	Proprietary <Prtry>	[1..1]	±		1018

#### 16.1.15.28.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Indicates whether the report is complete or contains changes only.

*Datatype:* StatementUpdateType1Code on page 1341

CodeName	Name	Definition
COMP	Complete	Statement is complete.
DELT	Delta	Statement contains changes only.

#### 16.1.15.28.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Indicates whether the report is complete or contains changes only.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.29 ProcessingPosition10Choice

*Definition:* Choice of format for the processing position.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1019
Or}	Proprietary <Prtry>	[1..1]	±		1019

#### Constraints

- **WithLinkageRule**

(Rule)

If Code WITH is used, then the one or more instruction which are linked become bound and which must be executed together. Even if one single transactions/instructions/notifications can not be executed, then all the other transactions/instructions/notifications must also be kept pending. Therefore the use of code WITH must be limited to combine up to 2 or 3 transactions/instructions/notifications.

#### 16.1.15.29.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Processing position expressed as an ISO 20022 code.

*Datatype:* [ProcessingPosition3Code](#) on page 1332

CodeName	Name	Definition
AFTE	After	Specifies that the transaction/instruction is to be executed after the linked transaction/instruction.
WITH	With	Specifies that the transaction/instruction is to be executed with the linked transaction/instruction.
BEFO	Before	Specifies that the transaction/instruction is to be executed before the linked transaction/instruction.
INFO	Information	Specifies that the transactions/instructions are linked for information purposes only.

#### 16.1.15.29.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Processing position expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.30 MarketIdentification90

*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
	Identification <Id>	[0..1]	±		1020
	Type <Tp>	[1..1]			1021
{Or	Code <Cd>	[1..1]	CodeSet		1021
Or}	Proprietary <Prtry>	[1..1]	±		1021

#### Constraints

- **MarketTypeAndIdentificationRule**

(Rule)

If Type/Code is OverTheCounter (OTCO) and if Identification is present, then Identification/Description must specify a system.

If Type/Code is Exchange (EXCH) and if Identification is present, then Identification/MarketIdentifierCode must be present.

#### 16.1.15.30.1 Identification <Id>

*Presence:* [0..1]

*Definition:* Code allocated to places of trade, that is, stock exchanges, regulated markets, for example, Electronic Trading Platforms (ECN), and unregulated markets, for example, Automated Trading Systems (ATS), as sources of prices and related information, in order to facilitate automated processing.

**Identification <Id>** contains one of the following elements (see [MarketIdentification2Choice](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	MarketIdentifierCode <MktldrCd>	[1..1]	IdentifierSet		951
Or}	Description <Desc>	[1..1]	Text		951

### 16.1.15.30.2 Type <Tp>

*Presence:* [1..1]

*Definition:* Nature of a market in which transactions take place.

**Type <Tp>** contains one of the following **MarketType16Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1021
Or}	Proprietary <Prtry>	[1..1]	±		1021

#### 16.1.15.30.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Market type expressed as an ISO 20022 code.

*Datatype:* [MarketType2Code on page 1322](#)

CodeName	Name	Definition
PRIM	PrimaryMarket	The place is a primary market.
SECM	SecondaryMarket	The place is a secondary market.
OTCO	OverTheCounter	The place is over the counter.
VARI	Various	Various places.
EXCH	StockExchange	The place is a stock exchange.

#### 16.1.15.30.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Market type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47 on page 951](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.31 OptionFeaturesFormat19Choice

*Definition:* Choice between a standard code or a proprietary code to specify the features that may apply to a corporate action option.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1022
Or}	Proprietary <Prtry>	[1..1]	±		1022

### 16.1.15.31.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the features that may apply to a corporate action option.

*Datatype:* [OptionFeatures6Code](#) on page 1328

CodeName	Name	Definition
COND	Conditional	Feature whereby the holder can elect to place a condition on the acceptance of the option.
MAXC	MaximumCash	Maximum cash option, may be subject to scaling, as such you may receive a combination of cash and securities outturn.
MAXS	MaximumSecurities	Maximum stock option, may be subject to scaling, as such you may receive a combination of securities and cash outturn.
OPLF	OddLotPreference	Tender or exchange with the odd lot preference.
PROR	Proration	Feature whereby the option can be subject to pro ration in case, for example, of over-subscription.
VVPR	ReducedWithholdingTax	Reduced withholding tax rate applies to the option.

### 16.1.15.31.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the features that may apply to a corporate action option.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.32 AdditionalBusinessProcessFormat14Choice

*Definition:* Choice between a standard code or proprietary code to specify the type of the additional business process, that is, a tax refund.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1023
Or}	Proprietary <Prtry>	[1..1]	±		1024

### 16.1.15.32.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the additional business process "tax refund" linked to a corporate action event.

*Datatype:* [AdditionalBusinessProcess7Code](#) on page 1264

CodeName	Name	Definition
CLAI	ClaimOrCompensation	Relates to a claim on the associated corporate action event.
TAXR	TaxRefund	Relates to a tax refund from the authorities on the associated corporate action event.
ACLA	AutomaticMarketClaim	Will automatically give rise to market claims by the account servicer, for example, a Central Securities Depository (CSD).
ATXF	SubjectToTransformation	As a result of the corporate action, all transactions in the underlying security will be cancelled by the system and replaced with transactions in the outturn resource(s).
CNTR	CancelUnderlyingTrades	As a result of the corporate action, all transactions in the underlying security will be cancelled by the system.
CONS	Consent	Relates to a consent within a corporate action event other than a Consent event (: 22F:: CAEV//CONS).
NAMC	NoAutomaticMarketClaimsAndTransformations	Event will not automatically give rise to market claims and transformations by the account servicer, for example, a Central Securities Depository (CSD).
NPLE	NoSplitElection	Issuer only allows a single option to be selected per designated holding.
SCHM	SchemeOrPlanOfArrangement	Component event of a scheme/plan of arrangement: a reorganisation of a company or a group of companies, and their capital.
PPUT	PartialMandatoryPutRedemption	Partial mandatory exchange of a portion of bonds where the exchanged securities are usually remarketed. The issuer may offer holders the right to retain instead of exchanging their securities. A lottery will be used to determine eligibility for the event.
PPRE	PartialPreFunding	Partial pre-funding of a debt instrument prior to maturity drawn through a lottery process. One new security is issued with an earlier maturity date for the refunded (called portion) and the other new security is issued with the original maturity date for the non refunded (remaining) portion. Applicable only in the frame of a partial defeasance corporate action event.

CodeName	Name	Definition
FPRE	FullPrefunding	Full pre-funding of a debt instrument by the issuer prior to original maturity when the issuer deposits assets in trust. Applicable only in the frame of a partial defeasance corporate action event.

### 16.1.15.32.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the additional business process "tax refund" linked to a corporate action event.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.33 CorporateActionEventStageFormat15Choice

*Definition:* Choice between a standard code or proprietary code to specify the event stage type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1024
Or}	Proprietary <Prtry>	[1..1]	±		1025

#### 16.1.15.33.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the stage of the corporate action event.

*Datatype:* [CorporateActionEventStage4Code](#) on page 1273

CodeName	Name	Definition
FULL	CancellationAndReRun	Cancellation and re-run of an original lottery or an original and supplemental lottery. A subsequent lottery will be performed under a new event.
PART	SupplementalCancellationAndReRun	Cancellation and re-run of a supplemental lottery only. A subsequent new supplemental lottery will be performed under the original event.
RESC	SupplementalCancellation	A supplemental lottery is being cancelled by the issuer. No subsequent lottery will be performed.



### 16.1.15.33.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the stage of the corporate action event.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.34 CorporateActionChangeTypeFormat7Choice

*Definition:* Choice between a standard code or a proprietary code to specify a type of change.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1025
Or}	Proprietary <Prtry>	[1..1]	±		1026

#### 16.1.15.34.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the type of changes.

*Datatype:* [CorporateActionChangeType2Code](#) on page 1271

CodeName	Name	Definition
BERE	BearToRegistered	Change from bearer into registered form.
CERT	Certificates	Change of all instruments into certificates.
DEPH	DematerialisedToPhysical	Change from dematerialised into physical form.
GPPH	GlobalPermanentToPhysical	Change from global permanent to physical form.
GTGP	GlobalTemporaryToGlobalPermanent	Change from global temporary to global permanent form.
GTPH	GlobalTemporaryToPhysical	Change from global temporary to physical form.
NAME	Name	The issuing company changes its name. CA event shows the change from old name to new name and may involve surrendering physical shares with the old name to the registrar.
PHDE	PhysicalToDematerialised	Change from physical into dematerialised form.
REBE	RegisteredToBearer	Change from registered into bearer form.

CodeName	Name	Definition
TERM	Terms	Change in the terms of the security.

### 16.1.15.34.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the type of changes.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.35 FractionDispositionType30Choice

*Definition:* Choice between a standard code or a proprietary code to specify the type of fraction disposition.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1026
Or}	Proprietary <Prtry>	[1..1]	±		1027

#### 16.1.15.35.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify how fractions resulting from derived securities will be processed or how prorated decisions will be rounding, if provided with a pro ration rate.

*Datatype:* [FractionDispositionType11Code](#) on page 1314

CodeName	Name	Definition
BUYU	BuyUp	Buy securities up to next whole number.
CINL	CashInLieuOfFraction	Fractional part of cash. Take cash in lieu of fractions.
DIST	IssueFraction	Take distribution of fractions in the form of securities.
RDDN	RoundDown	Round the entitlement down to the last full unit/minimum nominal quantity, fractions are discarded.
STAN	RoundToNearest	If the fraction is greater than or equal to 0.5 of the resulting security then round up, else round down as specified in the respective RDUP and RDDN codes.
RDUP	RoundUp	Round up to the next full unit/minimum nominal quantity at no cost.

### 16.1.15.35.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the type of fraction disposition.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.36 FractionDispositionType29Choice

*Definition:* Choice between a standard code or a proprietary code to specify the type of fraction disposition.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1027
Or}	Proprietary <Prtry>	[1..1]	±		1027

#### 16.1.15.36.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Specifies how fractions resulting from derived securities will be processed or how prorated decisions will be rounding, if provided with a pro ration rate.

*Datatype:* FractionDispositionType10Code on page 1314

CodeName	Name	Definition
BUYU	BuyUp	Buy securities up to next whole number.
CINL	CashInLieuOfFraction	Fractional part of cash. Take cash in lieu of fractions.
EXPI	Expire	Let fractions expire worthless.
DIST	IssueFraction	Take distribution of fractions in the form of securities.

#### 16.1.15.36.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the type of fraction disposition.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.37 BeneficiaryCertificationType1Choice

*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		1028
Or}	Proprietary <Prtry>	[1..1]	±		1028

#### 16.1.15.37.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the type of certification required.

*Datatype:* [BeneficiaryCertificationType5Code](#) on page 1268

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.
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.

#### 16.1.15.37.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the type of certification required.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.38 UpdatedAdditionalInformation10

*Definition:* Additional information with update description and date.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UpdateDescription <UpdDesc>	[0..1]	Text		1029
	UpdateDate <UpdDt>	[0..1]	Date		1029
	AdditionalInformation <AddtlInf>	[1..*]	Text		1029

#### Constraints

- **AdditionalInformationRule**

(Rule)

The AdditionalInformation element must not contain information that can be provided in a structured field unless bilaterally agreed.

#### 16.1.15.38.1 UpdateDescription <UpdDesc>

*Presence:* [0..1]

*Definition:* Specifies the amendments made to the narrative since the last message.

*Datatype:* [RestrictedFINXMax140Text](#) on page 1352

#### 16.1.15.38.2 UpdateDate <UpdDt>

*Presence:* [0..1]

*Definition:* Specifies the date at which the narrative has been updated.

*Datatype:* [ISODate](#) on page 1342

#### 16.1.15.38.3 AdditionalInformation <AddtlInf>

*Presence:* [1..\*]

*Definition:* Provides additional textual information.

*Datatype:* [RestrictedFINZMax8000Text](#) on page 1355

### 16.1.15.39 SolicitationFeeRateFormat10Choice

*Definition:* Choice between a rate or an unspecified rate.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1030
Or	AmountToQuantity <AmtToQty>	[1..1]			1030
	Amount <Amt>	[1..1]	Amount	C1	1030
	Quantity <Qty>	[1..1]	Quantity		1031
Or	Amount <Amt>	[1..1]	Amount	C1	1031
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1031

### 16.1.15.39.1 Rate <Rate>

*Presence:* [1..1]

*Definition:* Value is expressed as a rate.

*Datatype:* [PercentageRate](#) on page 1347

### 16.1.15.39.2 AmountToQuantity <AmtToQty>

*Presence:* [1..1]

*Definition:* Ratio expressed as an amount to quantity ratio.

**AmountToQuantity <AmtToQty>** contains the following **AmountAndQuantityRatio5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C1	1030
	Quantity <Qty>	[1..1]	Quantity		1031

#### 16.1.15.39.2.1 Amount <Amt>

*Presence:* [1..1]

*Definition:* Cash amount.

*Impacted by:* [C1 ActiveCurrency](#)

*Datatype:* [RestrictedFINActiveCurrencyAnd13DecimalAmount](#) on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005

– *Error Text:* Invalid currency code

#### 16.1.15.39.2.2 Quantity <Qty>

*Presence:* [1..1]

*Definition:* Quantity expressed as number.

*Datatype:* RestrictedFINDecimalNumber on page 1346

#### 16.1.15.39.3 Amount <Amt>

*Presence:* [1..1]

*Definition:* Cash amount.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

#### 16.1.15.39.4 NotSpecifiedRate <NotSpcfdRate>

*Presence:* [1..1]

*Definition:* Value of the rate not specified.

*Datatype:* RateValueType7Code on page 1335

CodeName	Name	Definition
UKWN	Unknown	Rate is unknown by the sender or has not been established.

#### 16.1.15.40 RatioFormat24Choice

*Definition:* Choice of format to express a ratio.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	QuantityToQuantity <QtyToQty>	[1..1]	±		1032
Or	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1032
Or	AmountToAmount <AmtToAmt>	[1..1]			1032
	Amount1 <Amt1>	[1..1]	Amount	C1	1033
	Amount2 <Amt2>	[1..1]	Amount	C1	1033
Or	AmountToQuantity <AmtToQty>	[1..1]			1034
	Amount <Amt>	[1..1]	Amount	C1	1034
	Quantity <Qty>	[1..1]	Quantity		1034
Or}	QuantityToAmount <QtyToAmt>	[1..1]			1034
	Amount <Amt>	[1..1]	Amount	C1	1035
	Quantity <Qty>	[1..1]	Quantity		1035

#### 16.1.15.40.1 QuantityToQuantity <QtyToQty>

*Presence:* [1..1]

*Definition:* Ratio expressed as a quotient of quantities.

**QuantityToQuantity <QtyToQty>** contains the following elements (see [QuantityToQuantityRatio2](#) on page 1222 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity1 <Qty1>	[1..1]	Quantity		1222
	Quantity2 <Qty2>	[1..1]	Quantity		1222

#### 16.1.15.40.2 NotSpecifiedRate <NotSpcfdRate>

*Presence:* [1..1]

*Definition:* Value of the ratio not specified.

*Datatype:* [RateValueType7Code](#) on page 1335

CodeName	Name	Definition
UKWN	Unknown	Rate is unknown by the sender or has not been established.

#### 16.1.15.40.3 AmountToAmount <AmtToAmt>

*Presence:* [1..1]

*Definition:* Ratio expressed as a quotient of amounts.



**AmountToAmount <AmtToAmt>** contains the following **AmountToAmountRatio3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount1 <Amt1>	[1..1]	Amount	C1	1033
	Amount2 <Amt2>	[1..1]	Amount	C1	1033

#### 16.1.15.40.3.1 Amount1 <Amt1>

*Presence:* [1..1]

*Definition:* Numerator of the quotient of amounts.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

##### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

#### 16.1.15.40.3.2 Amount2 <Amt2>

*Presence:* [1..1]

*Definition:* Denominator of the quotient of amounts.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

##### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005

– *Error Text:* Invalid currency code

#### 16.1.15.40.4 AmountToQuantity <AmtToQty>

*Presence:* [1..1]

*Definition:* Ratio expressed as an amount to quantity ratio.

**AmountToQuantity <AmtToQty>** contains the following **AmountAndQuantityRatio5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C1	1034
	Quantity <Qty>	[1..1]	Quantity		1034

##### 16.1.15.40.4.1 Amount <Amt>

*Presence:* [1..1]

*Definition:* Cash amount.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

##### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

##### 16.1.15.40.4.2 Quantity <Qty>

*Presence:* [1..1]

*Definition:* Quantity expressed as number.

*Datatype:* RestrictedFINDecimalNumber on page 1346

##### 16.1.15.40.5 QuantityToAmount <QtyToAmt>

*Presence:* [1..1]

*Definition:* Ratio expressed as a quantity to amount ratio.

**QuantityToAmount <QtyToAmt>** contains the following **AmountAndQuantityRatio5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C1	1035
	Quantity <Qty>	[1..1]	Quantity		1035

#### 16.1.15.40.5.1 Amount <Amt>

*Presence:* [1..1]

*Definition:* Cash amount.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

#### 16.1.15.40.5.2 Quantity <Qty>

*Presence:* [1..1]

*Definition:* Quantity expressed as number.

*Datatype:* RestrictedFINDecimalNumber on page 1346

#### 16.1.15.41 RatioFormat23Choice

*Definition:* Choice of format to express a ratio.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	QuantityToQuantity <QtyToQty>	[1..1]	±		1036
Or	NotSpecifiedRate <NotSpcdfRate>	[1..1]	CodeSet		1036
Or}	AmountToAmount <AmtToAmt>	[1..1]			1036
	Amount1 <Amt1>	[1..1]	Amount	C1	1036
	Amount2 <Amt2>	[1..1]	Amount	C1	1037

### 16.1.15.41.1 QuantityToQuantity <QtyToQty>

*Presence:* [1..1]

*Definition:* Ratio expressed as a quotient of quantities.

**QuantityToQuantity <QtyToQty>** contains the following elements (see [QuantityToQuantityRatio2](#) on page 1222 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity1 <Qty1>	[1..1]	Quantity		1222
	Quantity2 <Qty2>	[1..1]	Quantity		1222

### 16.1.15.41.2 NotSpecifiedRate <NotSpcfdRate>

*Presence:* [1..1]

*Definition:* Value of the ratio not specified.

*Datatype:* [RateValueType7Code](#) on page 1335

CodeName	Name	Definition
UKWN	Unknown	Rate is unknown by the sender or has not been established.

### 16.1.15.41.3 AmountToAmount <AmtToAmt>

*Presence:* [1..1]

*Definition:* Ratio expressed as a quotient of amounts.

**AmountToAmount <AmtToAmt>** contains the following **AmountToAmountRatio3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount1 <Amt1>	[1..1]	Amount	C1	1036
	Amount2 <Amt2>	[1..1]	Amount	C1	1037

#### 16.1.15.41.3.1 Amount1 <Amt1>

*Presence:* [1..1]

*Definition:* Numerator of the quotient of amounts.

*Impacted by:* [C1 ActiveCurrency](#)

*Datatype:* [RestrictedFINActiveCurrencyAnd13DecimalAmount](#) on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

**16.1.15.41.3.2 Amount2 <Amt2>**

*Presence:* [1..1]

*Definition:* Denominator of the quotient of amounts.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

**Constraints**

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

**16.1.15.42 NonEligibleProceedsIndicator4Choice**

*Definition:* Choice between a standard code or proprietary code to specify the eligibility of outturn resources.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1037
Or}	Proprietary <Prtry>	[1..1]	±		1038

**16.1.15.42.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Standard code to specify information regarding the non eligibility of the outturn resources.

*Datatype:* NonEligibleProceedsIndicator1Code on page 1325

CodeName	Name	Definition
NELC	NonEligibleCurrency	Currency not eligible for settlement in the Central Securities Depository (CSD).
ACLI	AccountLimitation	Participant's account limitation.
ONEL	OtherNonEligibility	Other source of non eligibility.

### 16.1.15.42.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification to specify information regarding the non eligibility of the outturn resources.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.43 TemporaryFinancialInstrumentIndicator4Choice

*Definition:* Choice between an indicator or a proprietary code to specify whether the security is a temporary security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	TemporaryIndicator <Templnd>	[1..1]	Indicator		1038
Or}	Proprietary <Prtry>	[1..1]	±		1038

#### 16.1.15.43.1 TemporaryIndicator <Templnd>

*Presence:* [1..1]

*Definition:* Temporary financial instrument identification used for processing reasons.

*Datatype:* One of the following values must be used (see [YesNoIndicator](#) on page 1345):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 16.1.15.43.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary code to specify whether the security is a temporary security.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.44 RateTypeAndAmountAndStatus33

*Definition:* Specifies the value expressed as a rate and an amount.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RateType <RateTp>	[1..1]			1039
{Or	Code <Cd>	[1..1]	CodeSet		1039
Or}	Proprietary <Prtry>	[1..1]	±		1039
	Amount <Amt>	[1..1]	Amount	C1	1040
	RateStatus <RateSts>	[0..1]		C51	1040
{Or	Code <Cd>	[1..1]	CodeSet		1041
Or}	Proprietary <Prtry>	[1..1]	±		1041

#### 16.1.15.44.1 RateType <RateTp>

*Presence:* [1..1]

*Definition:* Value expressed as a rate type.

**RateType <RateTp>** contains one of the following **RateType47Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1039
Or}	Proprietary <Prtry>	[1..1]	±		1039

##### 16.1.15.44.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the type of tax rate.

*Datatype:* [DividendRateType1Code](#) on page 1311

CodeName	Name	Definition
TXBL	TaxablePortion	Rate relating to the underlying security for which tax is charged.

##### 16.1.15.44.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the type of tax rate.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 16.1.15.44.2 Amount <Amt>

*Presence:* [1..1]

*Definition:* Value expressed as an amount.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

##### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

#### 16.1.15.44.3 RateStatus <RateSts>

*Presence:* [0..1]

*Definition:* Value expressed as a rate status.

*Impacted by:* C51 RateStatusGuideline

**RateStatus <RateSts>** contains one of the following **RateStatus4Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1041
Or}	Proprietary <Prtry>	[1..1]	±		1041

##### Constraints

- **RateStatusGuideline**

(Guideline)



The code value ACTU is the default value for a rate status.

#### 16.1.15.44.3.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the status of the rate.

*Datatype:* [RateStatus1Code](#) on page 1334

CodeName	Name	Definition
ACTU	ActualRate	Rate is actual.
INDI	IndicativeRate	Rate is indicative.

#### 16.1.15.44.3.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the status of the rate.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 16.1.15.45 RateAndAmountFormat47Choice

*Definition:* Choice of format between a rate or a rate type and rate or an amount or a unspecified rate.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1041
Or	NotSpecifiedRate <NotSpcdfRate>	[1..1]	CodeSet		1042
Or	Amount <Amt>	[1..1]	Amount	C1	1042
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			1042
	RateType <RateTp>	[1..1]			1042
{Or	Code <Cd>	[1..1]	CodeSet		1043
Or}	Proprietary <Prtry>	[1..1]	±		1043
	Rate <Rate>	[1..1]	Rate		1043

#### 16.1.15.45.1 Rate <Rate>

*Presence:* [1..1]

*Definition:* Value expressed as a rate.

*Datatype:* [PercentageRate](#) on page 1347

### 16.1.15.45.2 NotSpecifiedRate <NotSpcfdRate>

*Presence:* [1..1]

*Definition:* Value of the rate not specified.

*Datatype:* [RateValueType7Code](#) on page 1335

CodeName	Name	Definition
UKWN	Unknown	Rate is unknown by the sender or has not been established.

### 16.1.15.45.3 Amount <Amt>

*Presence:* [1..1]

*Definition:* Value is expressed as a currency and amount.

*Impacted by:* [C1 ActiveCurrency](#)

*Datatype:* [RestrictedFINActiveCurrencyAnd13DecimalAmount](#) on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

### 16.1.15.45.4 RateTypeAndRate <RateTpAndRate>

*Presence:* [1..1]

*Definition:* Value is expressed as a rate type and a percentage rate.

**RateTypeAndRate <RateTpAndRate>** contains the following **RateTypeAndPercentageRate9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RateType <RateTp>	[1..1]			1042
{Or	Code <Cd>	[1..1]	CodeSet		1043
Or}	Proprietary <Prtry>	[1..1]	±		1043
	Rate <Rate>	[1..1]	Rate		1043

#### 16.1.15.45.4.1 RateType <RateTp>

*Presence:* [1..1]

*Definition:* Value expressed as a rate type.

**RateType <RateTp>** contains one of the following **RateType46Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1043
Or}	Proprietary <Prtry>	[1..1]	±		1043

#### 16.1.15.45.4.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the type of withholding tax rate.

*Datatype:* [WithholdingTaxRateType1Code](#) on page 1342

CodeName	Name	Definition
BWIT	BackUpWithholding	Withholding tax related to payments subject to back up withholding.
FTCA	FATCATax	Withholding tax related to income subject to FATCA (Foreign Account Tax Compliance Act).
NRAT	NRATax	Withholding tax related to income subject to NRA (Non Resident Alien).

#### 16.1.15.45.4.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the type of withholding tax rate.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 16.1.15.45.4.2 Rate <Rate>

*Presence:* [1..1]

*Definition:* Value expressed as a rate.

*Datatype:* [PercentageRate](#) on page 1347

#### 16.1.15.46 RateAndAmountFormat50Choice

*Definition:* Choice of format between a rate, an amount, index points or a unspecified rate.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1044
Or	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1044
Or	Amount <Amt>	[1..1]	Amount	C1	1044
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		1044

#### 16.1.15.46.1 Rate <Rate>

*Presence:* [1..1]

*Definition:* Value expressed as a rate.

*Datatype:* [PercentageRate on page 1347](#)

#### 16.1.15.46.2 NotSpecifiedRate <NotSpcfdRate>

*Presence:* [1..1]

*Definition:* Value of the rate not specified.

*Datatype:* [RateValueType7Code on page 1335](#)

CodeName	Name	Definition
UKWN	Unknown	Rate is unknown by the sender or has not been established.

#### 16.1.15.46.3 Amount <Amt>

*Presence:* [1..1]

*Definition:* Value is expressed as a currency and amount.

*Impacted by:* [C1 ActiveCurrency](#)

*Datatype:* [RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259](#)

#### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

#### 16.1.15.46.4 IndexPoints <IndxPts>

*Presence:* [1..1]

*Definition:* Price expressed in index points.

*Datatype:* [RestrictedFINDecimalNumber](#) on page 1346

### 16.1.15.47 InterestRateUsedForPaymentFormat10Choice

*Definition:* Choice between an amount or a rate or an unspecified rate.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1045
Or	Amount <Amt>	[1..1]	Amount	C1	1045
Or	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1046
	RateType <RateTp>	[1..1]			1046
{Or	Code <Cd>	[1..1]	CodeSet		1046
Or}	Proprietary <Prtry>	[1..1]	±		1047
	Amount <Amt>	[1..1]	Amount	C1	1047
	RateStatus <RateSts>	[0..1]		C51	1047
{Or	Code <Cd>	[1..1]	CodeSet		1048
Or}	Proprietary <Prtry>	[1..1]	±		1048
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1048

#### 16.1.15.47.1 Rate <Rate>

*Presence:* [1..1]

*Definition:* Value is expressed as a rate.

*Datatype:* [PercentageRate](#) on page 1347

#### 16.1.15.47.2 Amount <Amt>

*Presence:* [1..1]

*Definition:* Number of monetary units specified in a currency.

*Impacted by:* [C1 ActiveCurrency](#)

*Datatype:* [RestrictedFINActiveCurrencyAnd13DecimalAmount](#) on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

**16.1.15.47.3 RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>**

*Presence:* [1..1]

*Definition:* Specifies different formats for interest rate used for payment.

**RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>** contains the following **RateTypeAndAmountAndStatus32** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RateType <RateTp>	[1..1]			1046
{Or	Code <Cd>	[1..1]	CodeSet		1046
Or}	Proprietary <Prtry>	[1..1]	±		1047
	Amount <Amt>	[1..1]	Amount	C1	1047
	RateStatus <RateSts>	[0..1]		C51	1047
{Or	Code <Cd>	[1..1]	CodeSet		1048
Or}	Proprietary <Prtry>	[1..1]	±		1048

**16.1.15.47.3.1 RateType <RateTp>**

*Presence:* [1..1]

*Definition:* Value expressed as a rate type.

**RateType <RateTp>** contains one of the following **RateType45Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1046
Or}	Proprietary <Prtry>	[1..1]	±		1047

**16.1.15.47.3.1.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Standard code to specify the type of rate.

*Datatype:* [RateType7Code on page 1334](#)

CodeName	Name	Definition
SCHD	Scheduled	Rate of the scheduled payment.
USCD	Unscheduled	Rate of the unscheduled payment.

### 16.1.15.47.3.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the type of rate.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.47.3.2 Amount <Amt>

*Presence:* [1..1]

*Definition:* Value expressed as an amount.

*Impacted by:* [C1 ActiveCurrency](#)

*Datatype:* [RestrictedFINActiveCurrencyAnd13DecimalAmount](#) on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

### 16.1.15.47.3.3 RateStatus <RateSts>

*Presence:* [0..1]

*Definition:* Value expressed as a rate status.

*Impacted by:* [C51 RateStatusGuideline](#)

**RateStatus <RateSts>** contains one of the following **RateStatus4Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1048
Or}	Proprietary <Prtry>	[1..1]	±		1048

**Constraints**

- **RateStatusGuideline**

(Guideline)

The code value ACTU is the default value for a rate status.

**16.1.15.47.3.3.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Standard code to specify the status of the rate.

*Datatype:* [RateStatus1Code on page 1334](#)

CodeName	Name	Definition
ACTU	ActualRate	Rate is actual.
INDI	IndicativeRate	Rate is indicative.

**16.1.15.47.3.3.2 Proprietary <Prtry>**

*Presence:* [1..1]

*Definition:* Proprietary identification of the status of the rate.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47 on page 951](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

**16.1.15.47.4 NotSpecifiedRate <NotSpcfdRate>**

*Presence:* [1..1]

*Definition:* Value of the rate not specified.

*Datatype:* [RateType13Code on page 1334](#)

CodeName	Name	Definition
UKWN	Unknown	Rate is unknown by the sender or has not been established.
NILP	NilPayment	Rate will not be paid.

**16.1.15.48 BeneficiaryCertificationType12Choice**

*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		1049
Or}	Proprietary <Prtry>	[1..1]	±		1049

### 16.1.15.48.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Beneficial owner certification type expressed in a coded form.

*Datatype:* [BeneficiaryCertificationType4Code on page 1268](#)

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 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.

### 16.1.15.48.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Beneficial owner certification type expressed in a proprietary form.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.49 OptionAvailabilityStatus4Choice

*Definition:* Choice between a standard code or proprietary code to specify the option availability status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1050
Or}	Proprietary <Prtry>	[1..1]	±		1050

#### 16.1.15.49.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the status of the option availability.

*Datatype:* [OptionAvailabilityStatus1Code](#) on page 1326

CodeName	Name	Definition
INTV	Inactive	Option is not active and can no longer be responded to. Any responses already processed against this option will remain valid, for example, expired option.
CANC	Cancelled	Option is not valid; it has been cancelled by the market or service provider, and cannot be responded to. Any responses already processed against this option are considered void and new responses will be required.

#### 16.1.15.49.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the status of the option availability.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.50 FractionDispositionType31Choice

*Definition:* Choice between a standard code or a proprietary code to specify the type of fraction disposition.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1051
Or}	Proprietary <Prtry>	[1..1]	±		1051

#### 16.1.15.50.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify how fractions resulting from derived securities will be processed or how prorated decisions will be rounding, if provided with a pro ration rate.

*Datatype:* [FractionDispositionType8Code](#) on page 1315

CodeName	Name	Definition
BUYU	BuyUp	Buy securities up to next whole number.
CINL	CashInLieuOfFraction	Fractional part of cash. Take cash in lieu of fractions.
DIST	IssueFraction	Take distribution of fractions in the form of securities.
RDDN	RoundDown	Round the entitlement down to the last full unit/minimum nominal quantity, fractions are discarded.
STAN	RoundToNearest	If the fraction is greater than or equal to 0.5 of the resulting security then round up, else round down as specified in the respective RDUP and RDDN codes.
RDUP	RoundUp	Round up to the next full unit/minimum nominal quantity at no cost.
UKWN	Unknown	Characteristics of the disposition of fractions are unknown.

#### 16.1.15.50.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the type of fraction disposition.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.51 InformationTypeFormat5Choice

*Definition:* Choice between a standard code or proprietary code to specify the information type format required.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1052
Or}	Proprietary <Prtry>	[1..1]	±		1052

#### 16.1.15.51.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the information type required.

*Datatype:* [CorporateActionInformationType1Code](#) on page 1298

CodeName	Name	Definition
CONF	ConferenceCall	Information is about an informal call when an issuer, trustee, agent wishes to talk to note holders to discuss a certain issue or potential change to the notes; nothing said being binding.

#### 16.1.15.51.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the information type.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.52 ConsentTypeFormat5Choice

*Definition:* Choice between a standard code or proprietary code to specify the consent type format required.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1052
Or}	Proprietary <Prtry>	[1..1]	±		1053

#### 16.1.15.52.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the consent type required.

*Datatype:* [ConsentType1Code on page 1270](#)

CodeName	Name	Definition
CTRM	ChangeInTerms	Change in the terms and conditions of the bond.
DUPY	DueAndPayable	Change in the due and payable conditions.

### 16.1.15.52.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the consent type.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47 on page 951](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.53 CertificationTypeFormat4Choice

*Definition:* Choice between a standard code or proprietary code to specify the certification format required.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1053
Or}	Proprietary <Prtry>	[1..1]	±		1053

#### 16.1.15.53.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the certification format required, that is, physical or electronic format.

*Datatype:* [CertificationFormatType1Code on page 1270](#)

CodeName	Name	Definition
ELEC	Electronic	Certification must be provided in electronic format.
PHYS	Physical	Certification must be provided in physical format.

#### 16.1.15.53.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the certification format.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.54 LotteryTypeFormat5Choice

*Definition:* Choice between a standard code or proprietary code to specify the type of lottery.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1054
Or}	Proprietary <Prtry>	[1..1]	±		1054

#### 16.1.15.54.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the type of lottery announced.

*Datatype:* [LotteryType1Code](#) on page 1322

CodeName	Name	Definition
ORIG	OriginalLotteryNotification	Original lottery that has been announced for a specific amount and date.
SUPP	SupplementalLotteryNotification	Supplemental or additional quantity called on a previously announced original lottery.

#### 16.1.15.54.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the type of lottery announced.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.55 ElectionTypeFormat4Choice

*Definition:* Choice between a standard code or proprietary code to specify the type of election movement.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1055
Or}	Proprietary <Prtry>	[1..1]	±		1055

### 16.1.15.55.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the effect on the holdings of electing a corporate action option.

*Datatype:* [ElectionMovementType2Code on page 1311](#)

CodeName	Name	Definition
DRCT	Direct	Direct movement of resource, that is, cash or security that is directly credited to the paying agent account.
SEQD	Sequestered	Election results in a change of balance type that transfers control of the securities rather than the securities themselves.

### 16.1.15.55.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the type of election of a corporate action option.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47 on page 951](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.56 TaxableIncomePerShareCalculatedFormat4Choice

*Definition:* Choice between a standard code or proprietary code to specify whether the taxable income per share or per dividend is calculated.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1055
Or}	Proprietary <Prtry>	[1..1]	±		1056

### 16.1.15.56.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify whether the fund calculates the taxable income per dividend/ taxable income per share (TID/TIS).

*Datatype:* [CorporateActionTaxableIncomePerShareCalculated1Code on page 1308](#)

CodeName	Name	Definition
TDIY	Calculated	Fund is calculating the taxable income per dividend/taxable income per share.
TDIN	NotCalculated	Fund is not calculating the taxable income per dividend/taxable income per share.
UKWN	Unknown	Unknown whether the fund is calculating the taxable income per dividend/taxable income per share.

### 16.1.15.56.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification to specify whether the fund calculates the taxable income per dividend/taxable income per share (TID/TIS).

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.57 CapitalGainFormat4Choice

*Definition:* Choice between a standard code or proprietary code to specify the type of capital gain.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1056
Or}	Proprietary <Prtry>	[1..1]	±		1057

#### 16.1.15.57.1 Code <Cd>

*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) for an income realised upon sale, a refund or redemption of shares and units etc.

*Datatype:* [EUCapitalGain2Code](#) on page 1312

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.



### 16.1.15.57.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the type of capital gain.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.58 IntermediateSecuritiesDistributionTypeFormat18Choice

*Definition:* Choice between a standard code or proprietary code to specify the type of intermediate securities distribution.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1057
Or}	Proprietary <Prtry>	[1..1]	±		1058

#### 16.1.15.58.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the type of intermediate security distribution.

*Datatype:* [IntermediateSecurityDistributionType5Code](#) on page 1320

CodeName	Name	Definition
BIDS	ReverseRights	Distribution of reverser rights.
DRIP	DividendReinvestment	Distribution of dividend reinvestment securities.
DVCA	CashDividend	Distribution of cash to shareholders, in proportion to their equity holding. Ordinary dividends are recurring and regular. Shareholder must take cash and may be offered a choice of currency.
DVOP	DividendOption	Distribution of dividend option.
EXRI	SubscriptionRights	Distribution of subscription rights.
PRIO	OpenOfferRights	Distribution of open offer rights.
DVSC	ScripDividendOrPayment	Dividend or interest paid in the form of scrip.
DVSE	StockDividend	Dividend paid to shareholders in the form of shares of stock.
INTR	InterestPayment	Interest payment distributed to holders of an interest bearing asset.

CodeName	Name	Definition
LIQU	LiquidationDividendOrPayment	A distribution of cash, assets or both.
SOFF	SpinOff	A distribution of subsidiary stock to the shareholders.
SPLF	StockSplit	Also known as change in nominal value or subdivision.  Increase in a corporation's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are reduced accordingly.
BONU	BonusRights	Distribution of bonus rights.
EXOF	Exchange	Exchange of holdings for other securities and/or cash. The exchange can be either mandatory or voluntary involving the exchange of outstanding securities for different securities and/or cash. For example "exchange offer", "capital reorganisation" or "funds separation".
MRGR	Merger	Exchange of outstanding securities, initiated by the issuer which may include options, as the result of two or more companies combining assets, that is, an external, third party company. Cash payments may accompany share exchange.

### 16.1.15.58.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the type of intermediate security distribution.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.59 CorporateActionChangeTypeFormat8Choice

*Definition:* Choice between a standard code or proprietary code to specify the change type of a corporate action event.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1059
Or}	Proprietary <Prtry>	[1..1]	±		1059

### 16.1.15.59.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the type of changes.

*Datatype:* [CorporateActionChangeType1Code](#) on page 1271

CodeName	Name	Definition
BERE	BearToRegistered	Change from bearer into registered form.
CERT	Certificates	Change of all instruments into certificates.
DEPH	DematerialisedToPhysical	Change from dematerialised into physical form.
GPPH	GlobalPermanentToPhysical	Change from global permanent to physical form.
GTGP	GlobalTemporaryToGlobalPermanent	Change from global temporary to global permanent form.
GTPH	GlobalTemporaryToPhysical	Change from global temporary to physical form.
NAME	Name	The issuing company changes its name. CA event shows the change from old name to new name and may involve surrendering physical shares with the old name to the registrar.
PHDE	PhysicalToDematerialised	Change from physical into dematerialised form.
REBE	RegisteredToBearer	Change from registered into bearer form.
TERM	Terms	Change in the terms of the security.
DECI	Decimalisation	Process of changing the accounting method of a security, for example, mutual fund, from units to a quantity with decimals.

### 16.1.15.59.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the type of changes.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.60 CorporateActionEventStageFormat20Choice

*Definition:* Choice between a standard code or proprietary code to specify the event stage type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1060
Or}	Proprietary <Prtry>	[1..1]	±		1060

### 16.1.15.60.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the stage of the corporate action event.

*Datatype:* [CorporateActionEventStage3Code on page 1272](#)

CodeName	Name	Definition
APPD	Approved	Approved at the relevant meeting, for example, dividend.
CLDE	Deactivated	Offer is closed for acceptance.
FULL	CancellationAndReRun	Cancellation and re-run of an original lottery or an original and supplemental lottery. A subsequent lottery will be performed under a new event.
LAPS	Lapsed	Event/offer conditions have not been met and the event/offer is terminated or lapsed.
PART	SupplementalCancellationAndReRun	Cancellation and re-run of a supplemental lottery only. A subsequent new supplemental lottery will be performed under the original event.
PWAL	ActionPeriod	Open for acceptance until the next specified deadline in the announcement (if any).
RESC	SupplementalCancellation	A supplemental lottery is being cancelled by the issuer. No subsequent lottery will be performed.
SUAP	SubjectToApproval	Subject to approval at the relevant meeting, for example, dividend.
UNAC	UnconditionalAsToAcceptance	The required level of acceptances specified in the terms of the offer has been achieved but there are still outstanding conditions to fulfil.
WHOU	WhollyUnconditional	Wholly unconditional; all conditions specified in the offer document have been satisfied.

### 16.1.15.60.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the stage of the corporate action event.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47 on page 951](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.61 DistributionTypeFormat8Choice

*Definition:* Choice between a standard code or proprietary code to specify the type of distribution.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1061
Or}	Proprietary <Prtry>	[1..1]	±		1061

#### 16.1.15.61.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify whether the proceeds of the event will be distributed on a rolling basis rather than on a specific date.

*Datatype:* [DistributionType3Code on page 1311](#)

CodeName	Name	Definition
FINL	Final	Final payment.
INTE	Interim	Interim payment.
ONGO	Ongoing	Event is ongoing for acceptance on an unsolicited basis.
ROLL	RollingBasis	Event will have a number of acceptance and payment dates until further announcement by the Issuer or its agent.

#### 16.1.15.61.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the type of distribution.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47 on page 951](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.62 DividendTypeFormat10Choice

*Definition:* Choice between a standard code or proprietary code to specify the type of dividend.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1062
Or}	Proprietary <Prtry>	[1..1]	±		1062

#### 16.1.15.62.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the frequency of the corporate action event.

*Datatype:* [CorporateActionFrequencyType5Code](#) on page 1298

CodeName	Name	Definition
FINL	Final	Payment of a dividend, less amounts already paid through interim dividends.
INTE	Interim	Dividend declared and paid before annual earnings have been determined.
REIN	Reinvestment	Reinvestment of cash distributed.
REGR	Regular	Dividend paid at regular interval, for example, quarterly.
SPEC	Special	Dividend in addition to the regular dividend being paid by the company.
SPRE	SpecialDividendWithReinvestment	Special Dividend with reinvestment component.

#### 16.1.15.62.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the frequency of the corporate action event.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.63 IdentificationFormat4Choice

*Definition:* Choice between either a short, long or a proprietary identification format.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ShortIdentification <Shrtld>	[1..1]	Text		1063
Or	LongIdentification <Lngld>	[1..1]	Text		1063
Or}	ProprietaryIdentification <Prtryld>	[1..1]	±		1063

### 16.1.15.63.1 ShortIdentification <Shrtld>

*Presence:* [1..1]

*Definition:* Format expressed as a short identification.

*Datatype:* [Exact3UpperCaseAlphaNumericText on page 1347](#)

### 16.1.15.63.2 LongIdentification <Lngld>

*Presence:* [1..1]

*Definition:* Format expressed as a long identification.

*Datatype:* [RestrictedFINXMax30Text on page 1353](#)

### 16.1.15.63.3 ProprietaryIdentification <Prtryld>

*Presence:* [1..1]

*Definition:* Format expressed as a proprietary identification.

**ProprietaryIdentification <Prtryld>** contains the following elements (see [GenericIdentification86 on page 948](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		948
	Issuer <Issr>	[1..1]	Text		949
	SchemeName <SchmeNm>	[0..1]	Text		949

### 16.1.15.64 FractionDispositionType32Choice

*Definition:* Choice between a standard code or a proprietary code to specify the type of fraction disposition.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1063
Or}	Proprietary <Prtry>	[1..1]	±		1064

### 16.1.15.64.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify how fractions resulting from derived securities will be processed or how prorated decisions will be rounding, if provided with a pro ration rate.

*Datatype:* [FractionDispositionType9Code on page 1315](#)

CodeName	Name	Definition
DIST	IssueFraction	Take distribution of fractions in the form of securities.
RDDN	RoundDown	Round the entitlement down to the last full unit/minimum nominal quantity, fractions are discarded.
STAN	RoundToNearest	If the fraction is greater than or equal to 0.5 of the resulting security then round up, else round down as specified in the respective RDUP and RDDN codes.
RDUP	RoundUp	Round up to the next full unit/minimum nominal quantity at no cost.
UKWN	Unknown	Characteristics of the disposition of fractions are unknown.

### 16.1.15.64.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the type of fraction disposition.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.65 RenounceableEntitlementStatusTypeFormat4Choice

*Definition:* Choice between a standard code or proprietary code to specify the type of the renounceable entitlement status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1064
Or}	Proprietary <Prtry>	[1..1]	±		1065

#### 16.1.15.65.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the renounceable status.

*Datatype:* [RenounceableStatus1Code](#) on page 1339

CodeName	Name	Definition
NREN	NonRenounceable	Intermediate securities cannot be sold.
RENO	Renounceable	Intermediate securities can be sold.



### 16.1.15.65.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the renounceable status.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.66 OptionStyle9Choice

*Definition:* Choice of format for the option style.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1065
Or}	Proprietary <Prtry>	[1..1]	±		1065

#### 16.1.15.66.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Option style expressed as an ISO 20022 code.

*Datatype:* [OptionStyle2Code](#) on page 1328

CodeName	Name	Definition
AMER	American	Option can be exercised before or on expiry date.
EURO	European	Option that can be exercised on expiry date only.

#### 16.1.15.66.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Option style expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.67 ClassificationType33Choice

*Definition:* Choice of format for the classification.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ClassificationFinancialInstrument <ClssfctnFinInstrm>	[1..1]	IdentifierSet		1066
Or}	AlternateClassification <AltrnClssfctn>	[1..1]	±		1066

#### 16.1.15.67.1 ClassificationFinancialInstrument <ClssfctnFinInstrm>

*Presence:* [1..1]

*Definition:* ISO 10962 Classification of Financial Instrument (CFI).

*Datatype:* CFIOct2015Identifier on page 1344

#### 16.1.15.67.2 AlternateClassification <AltrnClssfctn>

*Presence:* [1..1]

*Definition:* Proprietary classification of financial instrument.

**AlternateClassification <AltrnClssfctn>** contains the following elements (see [GenericIdentification86](#) on page 948 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		948
	Issuer <Issr>	[1..1]	Text		949
	SchemeName <SchmeNm>	[0..1]	Text		949

### 16.1.15.68 InterestComputationMethodFormat5Choice

*Definition:* Choice between a standard code or proprietary code to specify the type of interest computation method.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1066
Or}	Proprietary <Prtry>	[1..1]	±		1069

#### 16.1.15.68.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the method used to compute accruing interest of a financial instrument.

*Datatype:* InterestComputationMethod2Code on page 1317

CodeName	Name	Definition
A001	IC30360ISDAor30360AmericanBasicRule	Method whereby interest is calculated based on a 30-day month and a 360-day year. Accrued interest to a value date on the last day of a month shall be the

CodeName	Name	Definition
		<p>same as to the 30th calendar day of the same month, except for February, and provided that the interest period started on a 30th or a 31st. This means that a 31st is assumed to be a 30th if the period started on a 30th or a 31st and the 28 Feb (or 29 Feb for a leap year) is assumed to be the 28th (or 29th). This is the most commonly used 30/360 method for US straight and convertible bonds.</p>
A002	IC30365	<p>Method whereby interest is calculated based on a 30-day month in a way similar to the 30/360 (basic rule) and a 365-day year. Accrued interest to a value date on the last day of a month shall be the same as to the 30th calendar day of the same month, except for February. This means that a 31st is assumed to be the 30th and the 28 Feb (or 29 Feb for a leap year) is assumed to be the 28th (or 29th).</p>
A003	IC30Actual	<p>Method whereby interest is calculated based on a 30-day month in a way similar to the 30/360 (basic rule) and the assumed number of days in a year in a way similar to the Actual/Actual (ICMA). Accrued interest to a value date on the last day of a month shall be the same as to the 30th calendar day of the same month, except for February. This means that the 31st is assumed to be the 30th and 28 Feb (or 29 Feb for a leap year) is assumed to be the 28th (or 29th). The assumed number of days in a year is computed as the actual number of days in the coupon period multiplied by the number of interest payments in the year.</p>
A004	Actual360	<p>Method whereby interest is calculated based on the actual number of accrued days in the interest period and a 360-day year.</p>
A005	Actual365Fixed	<p>Method whereby interest is calculated based on the actual number of accrued days in the interest period and a 365-day year.</p>
A006	ActualActualICMA	<p>Method whereby interest is calculated based on the actual number of accrued days and the assumed number of days in a year, that is, the actual number of days in the coupon period multiplied by the number of interest payments in the year. If the coupon period is irregular (first or last coupon), it is extended or split into quasi-interest periods that have the length of a regular coupon period and the computation is operated separately on each quasi-interest period and the intermediate results are summed up.</p>

CodeName	Name	Definition
A007	IC30E360orEuroBondBasismodel1	Method whereby interest is calculated based on a 30-day month and a 360-day year. Accrued interest to a value date on the last day of a month shall be the same as to the 30th calendar day of the same month. This means that the 31st is assumed to be the 30th and the 28 Feb (or 29 Feb for a leap year) is assumed to be equivalent to 30 Feb. However, if the last day of the maturity coupon period is the last day of February, it will not be assumed to be the 30th. It is a variation of the 30/360 (ICMA) method commonly used for eurobonds. The usage of this variation is only relevant when the coupon periods are scheduled to end on the last day of the month.
A008	ActualActualISDA	Method whereby interest is calculated based on the actual number of accrued days of the interest period that fall (falling on a normal year, year) divided by 365, added to the actual number of days of the interest period that fall (falling on a leap year, year) divided by 366.
A009	Actual365LorActuActubasisRule	Method whereby interest is calculated based on the actual number of accrued days and a 365-day year (if the coupon payment date is NOT in a leap year) or a 366-day year (if the coupon payment date is in a leap year).
A010	ActualActualAFB	Method whereby interest is calculated based on the actual number of accrued days and a 366-day year (if 29 Feb falls in the coupon period) or a 365-day year (if 29 Feb does not fall in the coupon period). If a coupon period is longer than one year, it is split by repetitively separating full year subperiods counting backwards from the end of the coupon period (a year backwards from 28 Feb being 29 Feb, if it exists). The first of the subperiods starts on the start date of the accrued interest period and thus is possibly shorter than a year. Then the interest computation is operated separately on each subperiod and the intermediate results are summed up.
A011	IC30360ICMAor30360basicrule	Method whereby interest is calculated based on a 30-day month and a 360-day year. Accrued interest to a value date on the last day of a month shall be the same as to the 30th calendar day of the same month, except for February. This means that the 31st is assumed to be the 30th and 28 Feb (or 29 Feb for a leap year) is assumed to be the 28th (or 29th). It is the most commonly used 30/360 method for non-US straight and convertible bonds issued before 1 January 1999.

CodeName	Name	Definition
A012	IC30E2360orEurobondbasismodel2	Method whereby interest is calculated based on a 30-day month and a 360-day year. Accrued interest to a value date on the last day of a month shall be the same as to the 30th calendar day of the same month, except for the last day of February whose day of the month value shall be adapted to the value of the first day of the interest period if the latter is higher and if the period is one of a regular schedule. This means that the 31st is assumed to be the 30th and 28 Feb of a non-leap year is assumed to be equivalent to 29 Feb when the first day of the interest period is the 29th, or to 30 Feb when the first day of the interest period is the 30th or the 31st. The 29th day of February in a leap year is assumed to be equivalent to 30 Feb when the first day of the interest period is the 30th or the 31st. Similarly, if the coupon period starts on the last day of February, it is assumed to produce only one day of interest in February as if it was starting on 30 Feb when the end of the period is the 30th or the 31st, or two days of interest in February when the end of the period is the 29th, or three days of interest in February when it is 28 Feb of a non-leap year and the end of the period is before the 29th.
A013	IC30E3360orEurobondbasismodel3	Method whereby interest is calculated based on a 30-day month and a 360-day year. Accrued interest to a value date on the last day of a month shall be the same as to the 30th calendar day of the same month. This means that the 31st is assumed to be the 30th and 28 Feb (or 29 Feb for a leap year) is assumed to be equivalent to 30 Feb. It is a variation of the 30E/360 (or Eurobond basis) method where the last day of February is always assumed to be the 30th, even if it is the last day of the maturity coupon period.
A014	Actual365NL	Method whereby interest is calculated based on the actual number of accrued days in the interest period, excluding any leap day from the count, and a 365-day year.
NARR	Narrative	Other method than A001-A020. See Narrative.

### 16.1.15.68.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the format of interest computation method.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.69 CorporateActionMandatoryVoluntary4Choice

*Definition:* Choice between a standard code or a proprietary code to indicate if a corporate action event is mandatory or not.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1070
Or}	Proprietary <Prtry>	[1..1]	±		1070

#### 16.1.15.69.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify whether the event is mandatory, mandatory with options or voluntary.

*Datatype:* [CorporateActionMandatoryVoluntary1Code](#) on page 1299

CodeName	Name	Definition
MAND	Mandatory	Participation in CA event is mandatory. Further instructions from the account owner are not required.
CHOS	MandatoryWithOptions	Participation in the corporate action is mandatory and further instructions from the account owner are required, unless a default option has been specified.
VOLU	Voluntary	Participation in the corporate action is voluntary. If the owner wishes to take part in the event, instructions from the account owner are required.

#### 16.1.15.69.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of an event.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.70 CorporateActionEventProcessingType3Choice

*Definition:* Choice between a standard code or a proprietary code for specifying the processing type of a corporate action event.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1071
Or}	Proprietary <Prtry>	[1..1]	±		1071

#### 16.1.15.70.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the processing type of a corporate action event.

*Datatype:* [CorporateActionEventProcessingType1Code](#) on page 1272

CodeName	Name	Definition
GENL	General	No debit or credit of resources.
DISN	Distribution	Holder of the relevant security on a certain date, for example, the record date, will receive a benefit without giving up the underlying security.
REOR	Reorganisation	Underlying security will be debited and may be replaced by another resource (or resources).

#### 16.1.15.70.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the processing type of a corporate action event.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.71 CorporateActionEventReference4

*Definition:* Identification of a linked corporate action event.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	EventIdentification <EvtId>	[1..1]			1072
{Or	LinkedOfficialCorporateActionEventIdentification <LkdOffclCorpActnEvtId>	[1..1]	Text		1072
Or}	LinkedCorporateActionIdentification <LkdCorpActnId>	[1..1]	Text		1072
	LinkageType <LkgTp>	[0..1]	±	C32	1072

#### 16.1.15.71.1 EventIdentification <EvtId>

*Presence:* [1..1]

*Definition:* Identification of the linked corporate action event.

**EventIdentification <EvtId>** contains one of the following **CorporateActionEventReference4Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	LinkedOfficialCorporateActionEventIdentification <LkdOffclCorpActnEvtId>	[1..1]	Text		1072
Or}	LinkedCorporateActionIdentification <LkdCorpActnId>	[1..1]	Text		1072

#### 16.1.15.71.1.1 LinkedOfficialCorporateActionEventIdentification <LkdOffclCorpActnEvtId>

*Presence:* [1..1]

*Definition:* Official and unique reference assigned by the official central body/ entity within each market at the beginning of a corporate action event.

*Datatype:* [RestrictedFINXMax16Text on page 1352](#)

#### 16.1.15.71.1.2 LinkedCorporateActionIdentification <LkdCorpActnId>

*Presence:* [1..1]

*Definition:* Reference assigned by the account servicer to unambiguously identify a related corporate action event.

*Datatype:* [RestrictedFINXMax16Text on page 1352](#)

#### 16.1.15.71.2 LinkageType <LkgTp>

*Presence:* [0..1]

*Definition:* Specifies when this corporate action event is to be processed relative to a linked corporate action event.

*Impacted by:* [C32 WithLinkageRule](#)



**LinkageType <LkgTp>** contains one of the following elements (see [ProcessingPosition10Choice](#) on page 1019 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1019
Or}	Proprietary <Prtry>	[1..1]	±		1019

#### Constraints

- **WithLinkageRule**

(Rule)

If Code WITH is used, then the one or more instruction which are linked become bound and which must be executed together. Even if one single transactions/instructions/notifications can not be executed, then all the other transactions/instructions/notifications must also be kept pending. Therefore the use of code WITH must be limited to combine up to 2 or 3 transactions/instructions/notifications.

### 16.1.15.72 CorporateActionProcessingStatus6Choice

*Definition:* Specifies the status of the details of the corporate action event.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]			1073
	EventCompletenessStatus <EvtCmpltnsSts>	[1..1]	CodeSet		1073
	EventConfirmationStatus <EvtConfSts>	[1..1]	CodeSet		1074
Or}	Proprietary <Prtry>	[1..1]	±		1074

#### 16.1.15.72.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Specifies the status of the details of the corporate action event.

**Code <Cd>** contains the following **CorporateActionEventStatus1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	EventCompletenessStatus <EvtCmpltnsSts>	[1..1]	CodeSet		1073
	EventConfirmationStatus <EvtConfSts>	[1..1]	CodeSet		1074

#### 16.1.15.72.1.1 EventCompletenessStatus <EvtCmpltnsSts>

*Presence:* [1..1]

*Definition:* Indicates whether the details provided about an event are complete or incomplete.

*Datatype:* [EventCompletenessStatus1Code](#) on page 1312

CodeName	Name	Definition
COMP	Complete	Event details are complete.

CodeName	Name	Definition
INCO	Incomplete	Event details are not complete.

### 16.1.15.72.1.2 EventConfirmationStatus <EvtConfSts>

*Presence:* [1..1]

*Definition:* Indicates the status of the occurrence of an event.

*Datatype:* [EventConfirmationStatus1Code](#) on page 1312

CodeName	Name	Definition
CONF	Confirmed	Occurrence of the event has been confirmed.
UCON	Unconfirmed	Occurrence of the event has not been confirmed.

### 16.1.15.72.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Information related to an identification, for example, party identification or account identification.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.73 IssuerOfferorTaxabilityIndicator1Choice

*Definition:* Choice between a standard code or proprietary code to specify the issuer / offeror taxability status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1074
Or}	Proprietary <Prtry>	[1..1]	±		1075

#### 16.1.15.73.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify information regarding the issuer / offeror taxability status.

*Datatype:* [IssuerTaxability2Code](#) on page 1322

CodeName	Name	Definition
TXBL	Taxable	The relevant proceeds are taxable.

### 16.1.15.73.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification to specify information regarding the issuer / offeror taxability status.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.15.74 RateFormat12Choice

*Definition:* Choice between a rate or an unspecified rate.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1075
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1075

#### 16.1.15.74.1 Rate <Rate>

*Presence:* [1..1]

*Definition:* Value is expressed as a rate.

*Datatype:* [BaseOne14Rate](#) on page 1346

#### 16.1.15.74.2 NotSpecifiedRate <NotSpcfdRate>

*Presence:* [1..1]

*Definition:* Value of the rate not specified.

*Datatype:* [RateType5Code](#) on page 1334

CodeName	Name	Definition
UKWN	Unknown	Rate is unknown by the sender or has not been established.

### 16.1.15.75 UpdatedAdditionalInformation6

*Definition:* Additional information with update description and date.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UpdateDescription <UpdDesc>	[0..1]	Text		1076
	UpdateDate <UpdDt>	[0..1]	Date		1076
	AdditionalInformation <AddtlInf>	[1..1]	Text		1076

### 16.1.15.75.1 UpdateDescription <UpdDesc>

*Presence:* [0..1]

*Definition:* Specifies the amendments made to the narrative since the last message.

*Datatype:* [RestrictedFINXMax140Text on page 1352](#)

### 16.1.15.75.2 UpdateDate <UpdDt>

*Presence:* [0..1]

*Definition:* Specifies the date at which the narrative has been updated.

*Datatype:* [ISODate on page 1342](#)

### 16.1.15.75.3 AdditionalInformation <AddtlInf>

*Presence:* [1..1]

*Definition:* Provides additional textual information.

*Datatype:* [RestrictedFINXMax350Text on page 1354](#)

### 16.1.15.76 UpdatedAdditionalInformation5

*Definition:* Additional information with update description and date.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UpdateDescription <UpdDesc>	[0..1]	Text		1076
	UpdateDate <UpdDt>	[0..1]	Date		1076
	AdditionalInformation <AddtlInf>	[1..*]	Text		1076

### 16.1.15.76.1 UpdateDescription <UpdDesc>

*Presence:* [0..1]

*Definition:* Specifies the amendments made to the narrative since the last message.

*Datatype:* [RestrictedFINXMax140Text on page 1352](#)

### 16.1.15.76.2 UpdateDate <UpdDt>

*Presence:* [0..1]

*Definition:* Specifies the date at which the narrative has been updated.

*Datatype:* [ISODate on page 1342](#)

### 16.1.15.76.3 AdditionalInformation <AddtlInf>

*Presence:* [1..\*]

*Definition:* Provides additional textual information.

*Datatype:* [RestrictedFINXMax350Text on page 1354](#)

### 16.1.15.77 UpdatedAdditionalInformation1

*Definition:* Additional information with update description and date.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UpdateDescription <UpdDesc>	[0..1]	Text		1077
	UpdateDate <UpdDt>	[0..1]	Date		1077
	AdditionalInformation <AddtlInf>	[1..*]	Text		1077

### 16.1.15.77.1 UpdateDescription <UpdDesc>

*Presence:* [0..1]

*Definition:* Specifies the amendments made to the narrative since the last message.

*Datatype:* Max140Text on page 1348

### 16.1.15.77.2 UpdateDate <UpdDt>

*Presence:* [0..1]

*Definition:* Specifies the date at which the narrative has been updated.

*Datatype:* ISODate on page 1342

### 16.1.15.77.3 AdditionalInformation <AddtlInf>

*Presence:* [1..\*]

*Definition:* Provides additional textual information.

*Datatype:* Max350Text on page 1349

### 16.1.15.78 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		1077
	Envelope <Envlp>	[1..1]	(External Schema)		1078

#### 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.

### 16.1.15.78.1 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 1349](#)

### 16.1.15.78.2 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.

### 16.1.15.79 OptionNumber1Choice

*Definition:* Choice between an number and an option number in a code format.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Number <Nb>	[1..1]	Text		1078
Or}	Code <Cd>	[1..1]	CodeSet		1078

### 16.1.15.79.1 Number <Nb>

*Presence:* [1..1]

*Definition:* Number identifying the available corporate action options.

*Datatype:* [Exact3NumericText on page 1347](#)

### 16.1.15.79.2 Code <Cd>

*Presence:* [1..1]

*Definition:* Code identifying special corporate action option numbers.

*Datatype:* [OptionNumber1Code on page 1328](#)

CodeName	Name	Definition
UNSO	Unsolicited	The corporate action instruction is unsolicited, that is, the instruction has not been preceded by a corporate action notification.

## 16.1.16 Organisation Identification

### 16.1.16.1 OrganisationIdentification29

*Definition:* Unique and unambiguous way to identify an organisation.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	1079
	LEI <LEI>	[0..1]	IdentifierSet		1079
	Other <Othr>	[0..*]			1079
	Identification <Id>	[1..1]	Text		1080
	SchemeName <SchmeNm>	[0..1]			1080
{Or	Code <Cd>	[1..1]	CodeSet		1080
Or}	Proprietary <Prtry>	[1..1]	Text		1080
	Issuer <Issr>	[0..1]	Text		1080

### 16.1.16.1.1 AnyBIC <AnyBIC>

*Presence:* [0..1]

*Definition:* Business identification code of the organisation.

*Impacted by:* C1 AnyBIC

*Datatype:* AnyBICDec2014Identifier on page 1343

#### 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.

### 16.1.16.1.2 LEI <LEI>

*Presence:* [0..1]

*Definition:* Legal entity identification as an alternate identification for a party.

*Datatype:* LEIIdentifier on page 1345

### 16.1.16.1.3 Other <Othr>

*Presence:* [0..\*]

*Definition:* Unique identification of an organisation, as assigned by an institution, using an identification scheme.

**Other <Othr>** contains the following **GenericOrganisationIdentification1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1080
	SchemeName <SchmeNm>	[0..1]			1080
{Or	Code <Cd>	[1..1]	CodeSet		1080
Or}	Proprietary <Prtry>	[1..1]	Text		1080
	Issuer <Issr>	[0..1]	Text		1080

#### 16.1.16.1.3.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification assigned by an institution.

*Datatype:* [Max35Text on page 1349](#)

#### 16.1.16.1.3.2 SchemeName <SchmeNm>

*Presence:* [0..1]

*Definition:* Name of the identification scheme.

**SchemeName <SchmeNm>** contains one of the following **OrganisationIdentificationSchemeName1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1080
Or}	Proprietary <Prtry>	[1..1]	Text		1080

#### 16.1.16.1.3.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Name of the identification scheme, in a coded form as published in an external list.

*Datatype:* [ExternalOrganisationIdentification1Code on page 1314](#)

#### 16.1.16.1.3.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Name of the identification scheme, in a free text form.

*Datatype:* [Max35Text on page 1349](#)

#### 16.1.16.1.3.3 Issuer <Issr>

*Presence:* [0..1]

*Definition:* Entity that assigns the identification.

*Datatype:* [Max35Text on page 1349](#)



## 16.1.17 Party Identification

### 16.1.17.1 AlternatePartyIdentification7

*Definition:* Alternate identification for a party using an identification type, a country code and a text field.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IdentificationType <IdTp>	[1..1]	±		1081
	Country <Ctry>	[1..1]	CodeSet	C3	1081
	AlternateIdentification <AltrnId>	[1..1]	Text		1081

#### 16.1.17.1.1 IdentificationType <IdTp>

*Presence:* [1..1]

*Definition:* Specifies the type of alternate identification of the party identified.

**IdentificationType <IdTp>** contains one of the following elements (see [IdentificationType42Choice on page 947](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		948
Or}	Proprietary <Prtry>	[1..1]	±		948

#### 16.1.17.1.2 Country <Ctry>

*Presence:* [1..1]

*Definition:* Country in which a person resides (the place of a person's home). In the case of a company, it is the country from which the affairs of that company are directed.

*Impacted by:* [C3 Country](#)

*Datatype:* [CountryCode on page 1309](#)

#### 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.

#### 16.1.17.1.3 AlternateIdentification <AltrnId>

*Presence:* [1..1]

*Definition:* Alternate identification for a party.

*Datatype:* [Max35Text on page 1349](#)

### 16.1.17.2 PartyIdentification234Choice

*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	1082
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1082
Or	NameAndAddress <NmAndAdr>	[1..1]	±		1083
Or}	IndividualOwnerIdentification <IndvOwnrId>	[1..1]	±		1083

#### 16.1.17.2.1 AnyBIC <AnyBIC>

*Presence:* [1..1]

*Definition:* Code allocated to a financial or non-financial institution by the ISO 9362 Registration Authority, as described in ISO 9362 "Banking - Banking telecommunication messages - Business identifier code (BIC)".

*Impacted by:* [C1 AnyBIC](#)

*Datatype:* [AnyBICDec2014Identifier on page 1343](#)

#### 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.

#### 16.1.17.2.2 ProprietaryIdentification <PrtryId>

*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 [GenericIdentification84](#) on page 949 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		950
	Issuer <Issr>	[1..1]	Text		950
	SchemeName <SchmeNm>	[0..1]	Text		950

### 16.1.17.2.3 NameAndAddress <NmAndAdr>

*Presence:* [1..1]

*Definition:* Name and address of a party.

**NameAndAddress <NmAndAdr>** contains the following elements (see [NameAndAddress12](#) on page 1105 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1105

### 16.1.17.2.4 IndividualOwnerIdentification <IndvOwnrld>

*Presence:* [1..1]

*Definition:* Individual local country specific identification of the owner agreed between the account servicer and account owner.

**IndividualOwnerIdentification <IndvOwnrld>** contains the following elements (see [AlternatePartyIdentification7](#) on page 1081 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IdentificationType <IdTp>	[1..1]	±		1081
	Country <Ctry>	[1..1]	CodeSet	C3	1081
	AlternateIdentification <Altrnld>	[1..1]	Text		1081

### 16.1.17.3 PartyIdentificationAndAccount205

*Definition:* Provides information about identification and account of the party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1085
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		1085
	BlockchainAddressOrWallet <BlckChainAdrOrWllt>	[0..1]	Text		1085
	ProcessingIdentification <PrctlId>	[0..1]	Text		1085
	AlternateIdentification <Altrnld>	[0..*]	±		1085

## Constraints

- **AdditionalInformationRule**

(Rule)

The AdditionalInformation field in all elements must not contain information that can be provided in a structured field unless bilaterally agreed or advised differently in the element definition as in NarrativeVersion.

- **SafekeepingAccountOrBlockChainAddress1Rule**

(Rule)

Either SafekeepingAccount or BlockChainAddressOrWallet must be present but not both.

Following Must be True

    /SafekeepingAccount Must be present

Or     /BlockChainAddressOrWallet Must be present

*Error handling:*

– *Error severity:* Warning

– *Error Code:* X00582

– *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

- **SafekeepingAccountOrBlockChainAddress2Rule**

(Rule)

If BlockChainAddressOrWallet is present then SafekeepingAccount must be absent.

On Condition

    /BlockChainAddressOrWallet is present

Following Must be True

    /SafekeepingAccount Must be absent

*Error handling:*

– *Error severity:* Fatal

– *Error Code:* X00583

– *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

- **SafekeepingAccountOrBlockChainAddress3Rule**

(Rule)

If SafekeepingAccount is present, then BlockChainAddressOrWallet must be absent.

On Condition

    /SafekeepingAccount is present

Following Must be True

    /BlockChainAddressOrWallet Must be absent

*Error handling:*

– *Error severity:* Fatal

– *Error Code:* X00584

– *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

### 16.1.17.3.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of a party.

**Identification <Id>** contains one of the following elements (see [PartyIdentification137Choice](#) on page 1092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1092
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1092
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1093

### 16.1.17.3.2 SafekeepingAccount <SfkpgAcct>

*Presence:* [0..1]

*Definition:* Account where financial instruments are maintained.

*Datatype:* [RestrictedFINXMax35Text](#) on page 1354

### 16.1.17.3.3 BlockChainAddressOrWallet <BlckChainAdrOrWllt>

*Presence:* [0..1]

*Definition:* Blockchain address or wallet where digital assets are maintained. This is the equivalent of safekeeping account for digital assets.

*Datatype:* [RestrictedFINXMax140Text](#) on page 1352

### 16.1.17.3.4 ProcessingIdentification <Prcgld>

*Presence:* [0..1]

*Definition:* Reference meaningful to the party identified.

*Datatype:* [RestrictedFINXMax16Text](#) on page 1352

### 16.1.17.3.5 AlternateIdentification <Altrnid>

*Presence:* [0..\*]

*Definition:* Alternate identification for a party.

**AlternateIdentification <Altrnid>** contains the following elements (see [AlternatePartyIdentification9](#) on page 1097 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IdentificationType <IdTp>	[1..1]			1098
{Or	Code <Cd>	[1..1]	CodeSet		1098
Or}	Proprietary <Prtry>	[1..1]	±		1098
	Country <Ctry>	[1..1]	CodeSet	C3	1099
	AlternateIdentification <Altrnid>	[1..1]	Text		1099

## 16.1.17.4 PartyIdentificationAndAccount175

*Definition:* Provides information about identification and account of the party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			1086
{Or	BICFI <BICFI>	[1..1]	IdentifierSet	C2	1086
Or	NameAndAddress <NmAndAdr>	[1..1]	±		1087
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1087
	CashAccount <CshAcct>	[0..1]	±		1087
	ProcessingIdentification <PrcgId>	[0..1]	Text		1087
	AlternateIdentification <AltrnId>	[0..1]	±		1088

### Constraints

- **AdditionalInformationRule**

(Rule)

The AdditionalInformation field in all elements must not contain information that can be provided in a structured field unless bilaterally agreed or advised differently in the element definition as in NarrativeVersion.

### 16.1.17.4.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of a party.

**Identification <Id>** contains one of the following **PartyIdentification147Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	BICFI <BICFI>	[1..1]	IdentifierSet	C2	1086
Or	NameAndAddress <NmAndAdr>	[1..1]	±		1087
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1087

#### 16.1.17.4.1.1 BICFI <BICFI>

*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:* C2 BICFI

*Datatype:* BICFIDec2014Identifier on page 1343

### 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.

#### 16.1.17.4.1.2 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 elements (see [NameAndAddress12](#) on page 1105 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1105

#### 16.1.17.4.1.3 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 [GenericIdentification84](#) on page 949 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		950
	Issuer <Issr>	[1..1]	Text		950
	SchemeName <SchmeNm>	[0..1]	Text		950

#### 16.1.17.4.2 CashAccount <CshAcct>

*Presence:* [0..1]

*Definition:* Account in which cash is maintained.

**CashAccount <CshAcct>** contains one of the following elements (see [CashAccountIdentification6Choice](#) on page 868 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IBAN <IBAN>	[1..1]	IdentifierSet	C18	868
Or}	Proprietary <Prtry>	[1..1]	Text		869

#### 16.1.17.4.3 ProcessingIdentification <Prcgld>

*Presence:* [0..1]

*Definition:* Reference meaningful to the party identified.

*Datatype:* [RestrictedFINXMax16Text on page 1352](#)

#### 16.1.17.4.4 Alternateldentification <Altrnld>

*Presence:* [0..1]

*Definition:* Alternate identification for a party.

**Alternateldentification <Altrnld>** contains the following elements (see [AlternatePartyIdentification9 on page 1097](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IdentificationType <IdTp>	[1..1]			1098
{Or	Code <Cd>	[1..1]	CodeSet		1098
Or}	Proprietary <Prtry>	[1..1]	±		1098
	Country <Ctry>	[1..1]	CodeSet	C3	1099
	Alternateldentification <Altrnld>	[1..1]	Text		1099

#### 16.1.17.5 PartyIdentificationAndAccount174

*Definition:* Provides information about identification and account of the party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1088
	CashAccount <CshAcct>	[0..1]	±		1089
	ProcessingIdentification <Prcgld>	[0..1]	Text		1089
	Alternateldentification <Altrnld>	[0..1]	±		1089

#### Constraints

- **AdditionalInformationRule**

(Rule)

The AdditionalInformation field in all elements must not contain information that can be provided in a structured field unless bilaterally agreed or advised differently in the element definition as in NarrativeVersion.

#### 16.1.17.5.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of a party.



**Identification <Id>** contains one of the following elements (see [PartyIdentification137Choice](#) on page 1092 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1092
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1092
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1093

#### 16.1.17.5.2 CashAccount <CshAcct>

*Presence:* [0..1]

*Definition:* Account in which cash is maintained.

**CashAccount <CshAcct>** contains one of the following elements (see [CashAccountIdentification6Choice](#) on page 868 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IBAN <IBAN>	[1..1]	IdentifierSet	C18	868
Or}	Proprietary <Prtry>	[1..1]	Text		869

#### 16.1.17.5.3 ProcessingIdentification <Prcgld>

*Presence:* [0..1]

*Definition:* Reference meaningful to the party identified.

*Datatype:* [RestrictedFINXMax16Text](#) on page 1352

#### 16.1.17.5.4 AlternateIdentification <Altrnid>

*Presence:* [0..1]

*Definition:* Alternate identification for a party.

**AlternateIdentification <Altrnid>** contains the following elements (see [AlternatePartyIdentification9](#) on page 1097 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IdentificationType <IdTp>	[1..1]			1098
{Or	Code <Cd>	[1..1]	CodeSet		1098
Or}	Proprietary <Prtry>	[1..1]	±		1098
	Country <Ctry>	[1..1]	CodeSet	C3	1099
	AlternateIdentification <Altrnid>	[1..1]	Text		1099

#### 16.1.17.6 PartyIdentification151Choice

*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	1090
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1090
Or	NameAndAddress <NmAndAdr>	[1..1]	±		1090
Or}	LEI <LEI>	[1..1]	IdentifierSet		1091

### 16.1.17.6.1 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 1343

#### 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.

### 16.1.17.6.2 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 [GenericIdentification84 on page 949](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		950
	Issuer <Issr>	[1..1]	Text		950
	SchemeName <SchmeNm>	[0..1]	Text		950

### 16.1.17.6.3 NameAndAddress <NmAndAdr>

*Presence:* [1..1]

*Definition:* Name and address of a party.

**NameAndAddress <NmAndAdr>** contains the following elements (see [NameAndAddress12](#) on page 1105 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1105

#### 16.1.17.6.4 LEI <LEI>

*Presence:* [1..1]

*Definition:* Legal entity identification of the party.

*Datatype:* [LEIIdentifier](#) on page 1345

#### 16.1.17.7 PartyIdentification136Choice

*Definition:* Choice of identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1091
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1091

#### 16.1.17.7.1 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 1343

#### 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.

#### 16.1.17.7.2 ProprietaryIdentification <PrtryId>

*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 [GenericIdentification84](#) on page 949 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		950
	Issuer <Issr>	[1..1]	Text		950
	SchemeName <SchmeNm>	[0..1]	Text		950

### 16.1.17.8 PartyIdentification137Choice

*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	1092
Or	ProprietaryIdentification <Prtryld>	[1..1]	±		1092
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1093

#### 16.1.17.8.1 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 1343

#### 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.

#### 16.1.17.8.2 ProprietaryIdentification <Prtryld>

*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 [GenericIdentification84](#) on page 949 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		950
	Issuer <Issr>	[1..1]	Text		950
	SchemeName <SchmeNm>	[0..1]	Text		950

### 16.1.17.8.3 NameAndAddress <NmAndAdr>

*Presence:* [1..1]

*Definition:* Name and address of a party.

**NameAndAddress <NmAndAdr>** contains the following elements (see [NameAndAddress12](#) on page 1105 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1105

### 16.1.17.9 Party38Choice

*Definition:* Nature or use of the account.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	OrganisationIdentification <OrgId>	[1..1]	±		1093
Or}	PrivateIdentification <PrvtId>	[1..1]	±		1094

#### 16.1.17.9.1 OrganisationIdentification <OrgId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous way to identify an organisation.

**OrganisationIdentification <OrgId>** contains the following elements (see [OrganisationIdentification29](#) on page 1078 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	1079
	LEI <LEI>	[0..1]	IdentifierSet		1079
	Other <Othr>	[0..*]			1079
	Identification <Id>	[1..1]	Text		1080
	SchemeName <SchmeNm>	[0..1]			1080
{Or	Code <Cd>	[1..1]	CodeSet		1080
Or}	Proprietary <Prtry>	[1..1]	Text		1080
	Issuer <Issr>	[0..1]	Text		1080

#### 16.1.17.9.2 PrivateIdentification <PrvtId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification of a person, for example a passport.

**PrivateIdentification <PrvtId>** contains the following elements (see [PersonIdentification13](#) on page 1099 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DateAndPlaceOfBirth <DtAndPlcOfBirth>	[0..1]			1100
	BirthDate <BirthDt>	[1..1]	Date		1100
	ProvinceOfBirth <PrvcOfBirth>	[0..1]	Text		1100
	CityOfBirth <CityOfBirth>	[1..1]	Text		1100
	CountryOfBirth <CtryOfBirth>	[1..1]	CodeSet	C3	1101
	Other <Othr>	[0..*]			1101
	Identification <Id>	[1..1]	Text		1101
	SchemeName <SchmeNm>	[0..1]			1101
{Or	Code <Cd>	[1..1]	CodeSet		1102
Or}	Proprietary <Prtry>	[1..1]	Text		1102
	Issuer <Issr>	[0..1]	Text		1102

#### 16.1.17.10 PartyIdentification135

*Definition:* Specifies the identification of a person or an organisation.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1095
	PostalAddress <PstlAdr>	[0..1]	±		1095
	Identification <Id>	[0..1]	±		1096
	CountryOfResidence <CtryOfRes>	[0..1]	CodeSet	C3	1096
	ContactDetails <CtctDtls>	[0..1]	±		1097

#### 16.1.17.10.1 Name <Nm>

*Presence:* [0..1]

*Definition:* Name by which a party is known and which is usually used to identify that party.

*Datatype:* Max140Text on page 1348

#### 16.1.17.10.2 PostalAddress <PstlAdr>

*Presence:* [0..1]

*Definition:* Information that locates and identifies a specific address, as defined by postal services.

**PostalAddress <PstIAdr>** contains the following elements (see [PostalAddress24](#) on page 1106 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			1106
{Or	Code <Cd>	[1..1]	CodeSet		1106
Or}	Proprietary <Prtry>	[1..1]	±		1107
	Department <Dept>	[0..1]	Text		1107
	SubDepartment <SubDept>	[0..1]	Text		1107
	StreetName <StrtNm>	[0..1]	Text		1107
	BuildingNumber <BldgNb>	[0..1]	Text		1107
	BuildingName <BldgNm>	[0..1]	Text		1108
	Floor <Flr>	[0..1]	Text		1108
	PostBox <PstBx>	[0..1]	Text		1108
	Room <Room>	[0..1]	Text		1108
	PostCode <PstCd>	[0..1]	Text		1108
	TownName <TwnNm>	[0..1]	Text		1108
	TownLocationName <TwnLctnNm>	[0..1]	Text		1108
	DistrictName <DstrctNm>	[0..1]	Text		1108
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		1109
	Country <Ctry>	[0..1]	CodeSet	C3	1109
	AddressLine <AdrLine>	[0..7]	Text		1109

### 16.1.17.10.3 Identification <Id>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification of a party.

**Identification <Id>** contains one of the following elements (see [Party38Choice](#) on page 1093 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	OrganisationIdentification <OrgId>	[1..1]	±		1093
Or}	PrivateIdentification <PrvtId>	[1..1]	±		1094

### 16.1.17.10.4 CountryOfResidence <CtryOfRes>

*Presence:* [0..1]

*Definition:* Country in which a person resides (the place of a person's home). In the case of a company, it is the country from which the affairs of that company are directed.



Impacted by: C3 Country

Datatype: CountryCode on page 1309

**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.

**16.1.17.10.5 ContactDetails <CtctDtls>**

Presence: [0..1]

Definition: Set of elements used to indicate how to contact the party.

**ContactDetails <CtctDtls>** contains the following elements (see [Contact4 on page 1102](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]	CodeSet		1103
	Name <Nm>	[0..1]	Text		1103
	PhoneNumber <PhneNb>	[0..1]	Text		1103
	MobileNumber <MobNb>	[0..1]	Text		1104
	FaxNumber <FaxNb>	[0..1]	Text		1104
	EmailAddress <EmailAdr>	[0..1]	Text		1104
	EmailPurpose <EmailPurp>	[0..1]	Text		1104
	JobTitle <JobTitl>	[0..1]	Text		1104
	Responsibility <Rspnsblty>	[0..1]	Text		1104
	Department <Dept>	[0..1]	Text		1104
	Other <Othr>	[0..*]			1104
	ChannelType <ChanlTp>	[1..1]	Text		1105
	Identification <Id>	[0..1]	Text		1105
	PreferredMethod <PrefrdMtd>	[0..1]	CodeSet		1105

**16.1.17.11 AlternatePartyIdentification9**

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]			1098
{Or	Code <Cd>	[1..1]	CodeSet		1098
Or}	Proprietary <Prtry>	[1..1]	±		1098
	Country <Ctry>	[1..1]	CodeSet	C3	1099
	AlternateIdentification <AltrnId>	[1..1]	Text		1099

### 16.1.17.11.1 IdentificationType <IdTp>

*Presence:* [1..1]

*Definition:* Specifies the type of alternate identification of the party identified.

**IdentificationType <IdTp>** contains one of the following **IdentificationType44Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1098
Or}	Proprietary <Prtry>	[1..1]	±		1098

#### 16.1.17.11.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of identification is defined using a code.

*Datatype:* [TypeOfIdentification1Code](#) on page 1341

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	CorporatIdentification	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.

#### 16.1.17.11.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of identification is defined using a data source scheme.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.17.11.2 Country <Ctry>

*Presence:* [1..1]

*Definition:* Country in which a person resides (the place of a person's home). In the case of a company, it is the country from which the affairs of that company are directed.

*Impacted by:* [C3 Country](#)

*Datatype:* [CountryCode](#) on page 1309

#### 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.

### 16.1.17.11.3 AlternateIdentification <AltrId>

*Presence:* [1..1]

*Definition:* Alternate identification for a party.

*Datatype:* [RestrictedFINXMax30Text](#) on page 1353

## 16.1.18 Person Identification

### 16.1.18.1 PersonIdentification13

*Definition:* Unique and unambiguous way to identify a person.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DateAndPlaceOfBirth <DtAndPlcOfBirth>	[0..1]			1100
	BirthDate <BirthDt>	[1..1]	Date		1100
	ProvinceOfBirth <PrvcOfBirth>	[0..1]	Text		1100
	CityOfBirth <CityOfBirth>	[1..1]	Text		1100
	CountryOfBirth <CtryOfBirth>	[1..1]	CodeSet	C3	1101
	Other <Othr>	[0..*]			1101
	Identification <Id>	[1..1]	Text		1101
	SchemeName <SchmeNm>	[0..1]			1101
{Or	Code <Cd>	[1..1]	CodeSet		1102
Or}	Proprietary <Prtry>	[1..1]	Text		1102
	Issuer <Issr>	[0..1]	Text		1102

#### 16.1.18.1.1 DateAndPlaceOfBirth <DtAndPlcOfBirth>

*Presence:* [0..1]

*Definition:* Date and place of birth of a person.

**DateAndPlaceOfBirth <DtAndPlcOfBirth>** contains the following **DateAndPlaceOfBirth1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BirthDate <BirthDt>	[1..1]	Date		1100
	ProvinceOfBirth <PrvcOfBirth>	[0..1]	Text		1100
	CityOfBirth <CityOfBirth>	[1..1]	Text		1100
	CountryOfBirth <CtryOfBirth>	[1..1]	CodeSet	C3	1101

##### 16.1.18.1.1.1 BirthDate <BirthDt>

*Presence:* [1..1]

*Definition:* Date on which a person is born.

*Datatype:* ISODate on page 1342

##### 16.1.18.1.1.2 ProvinceOfBirth <PrvcOfBirth>

*Presence:* [0..1]

*Definition:* Province where a person was born.

*Datatype:* Max35Text on page 1349

##### 16.1.18.1.1.3 CityOfBirth <CityOfBirth>

*Presence:* [1..1]

*Definition:* City where a person was born.

*Datatype:* [Max35Text on page 1349](#)

#### 16.1.18.1.1.4 CountryOfBirth <CtryOfBirth>

*Presence:* [1..1]

*Definition:* Country where a person was born.

*Impacted by:* [C3 Country](#)

*Datatype:* [CountryCode on page 1309](#)

#### 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.

#### 16.1.18.1.2 Other <Othr>

*Presence:* [0..\*]

*Definition:* Unique identification of a person, as assigned by an institution, using an identification scheme.

**Other <Othr>** contains the following **GenericPersonIdentification1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1101
	SchemeName <SchmeNm>	[0..1]			1101
{Or	Code <Cd>	[1..1]	CodeSet		1102
Or}	Proprietary <Prtry>	[1..1]	Text		1102
	Issuer <Issr>	[0..1]	Text		1102

#### 16.1.18.1.2.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification of a person.

*Datatype:* [Max35Text on page 1349](#)

#### 16.1.18.1.2.2 SchemeName <SchmeNm>

*Presence:* [0..1]

*Definition:* Name of the identification scheme.

**SchemaName <SchmeNm>** contains one of the following  
**PersonIdentificationSchemeName1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1102
Or}	Proprietary <Prtry>	[1..1]	Text		1102

#### 16.1.18.1.2.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Name of the identification scheme, in a coded form as published in an external list.

*Datatype:* [ExternalPersonIdentification1Code on page 1314](#)

#### 16.1.18.1.2.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Name of the identification scheme, in a free text form.

*Datatype:* [Max35Text on page 1349](#)

#### 16.1.18.1.2.3 Issuer <Issr>

*Presence:* [0..1]

*Definition:* Entity that assigns the identification.

*Datatype:* [Max35Text on page 1349](#)

### 16.1.18.2 Contact4

*Definition:* Specifies the details of the contact person.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]	CodeSet		1103
	Name <Nm>	[0..1]	Text		1103
	PhoneNumber <PhneNb>	[0..1]	Text		1103
	MobileNumber <MobNb>	[0..1]	Text		1104
	FaxNumber <FaxNb>	[0..1]	Text		1104
	EmailAddress <EmailAdr>	[0..1]	Text		1104
	EmailPurpose <EmailPurp>	[0..1]	Text		1104
	JobTitle <JobTitl>	[0..1]	Text		1104
	Responsibility <Rspnsblty>	[0..1]	Text		1104
	Department <Dept>	[0..1]	Text		1104
	Other <Othr>	[0..*]			1104
	ChannelType <ChanITp>	[1..1]	Text		1105
	Identification <Id>	[0..1]	Text		1105
	PreferredMethod <PrefrdMtd>	[0..1]	CodeSet		1105

#### 16.1.18.2.1 NamePrefix <NmPrfx>

*Presence:* [0..1]

*Definition:* Specifies the terms used to formally address a person.

*Datatype:* [NamePrefix2Code](#) on page 1322

CodeName	Name	Definition
DOCT	Doctor	Title of the person is Doctor or Dr.
MADM	Madam	Title of the person is Madam.
MISS	Miss	Title of the person is Miss.
MIST	Mister	Title of the person is Mister or Mr.
MIKS	GenderNeutral	Title of the person is gender neutral (Mx).

#### 16.1.18.2.2 Name <Nm>

*Presence:* [0..1]

*Definition:* Name by which a party is known and which is usually used to identify that party.

*Datatype:* [Max140Text](#) on page 1348

#### 16.1.18.2.3 PhoneNumber <PhneNb>

*Presence:* [0..1]

*Definition:* Collection of information that identifies a phone number, as defined by telecom services.

*Datatype:* [PhoneNumber on page 1350](#)

#### **16.1.18.2.4 MobileNumber <MobNb>**

*Presence:* [0..1]

*Definition:* Collection of information that identifies a mobile phone number, as defined by telecom services.

*Datatype:* [PhoneNumber on page 1350](#)

#### **16.1.18.2.5 FaxNumber <FaxNb>**

*Presence:* [0..1]

*Definition:* Collection of information that identifies a FAX number, as defined by telecom services.

*Datatype:* [PhoneNumber on page 1350](#)

#### **16.1.18.2.6 EmailAddress <EmailAdr>**

*Presence:* [0..1]

*Definition:* Address for electronic mail (e-mail).

*Datatype:* [Max2048Text on page 1348](#)

#### **16.1.18.2.7 EmailPurpose <EmailPurp>**

*Presence:* [0..1]

*Definition:* Purpose for which an email address may be used.

*Datatype:* [Max35Text on page 1349](#)

#### **16.1.18.2.8 JobTitle <JobTitl>**

*Presence:* [0..1]

*Definition:* Title of the function.

*Datatype:* [Max35Text on page 1349](#)

#### **16.1.18.2.9 Responsibility <Rspnsblty>**

*Presence:* [0..1]

*Definition:* Role of a person in an organisation.

*Datatype:* [Max35Text on page 1349](#)

#### **16.1.18.2.10 Department <Dept>**

*Presence:* [0..1]

*Definition:* Identification of a division of a large organisation or building.

*Datatype:* [Max70Text on page 1350](#)

#### **16.1.18.2.11 Other <Othr>**

*Presence:* [0..\*]

*Definition:* Contact details in another form.



**Other <Othr>** contains the following **OtherContact1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ChannelType <ChanITp>	[1..1]	Text		1105
	Identification <Id>	[0..1]	Text		1105

#### 16.1.18.2.11.1 ChannelType <ChanITp>

*Presence:* [1..1]

*Definition:* Method used to contact the financial institution's contact for the specific tax region.

*Datatype:* Max4Text on page 1349

#### 16.1.18.2.11.2 Identification <Id>

*Presence:* [0..1]

*Definition:* Communication value such as phone number or email address.

*Datatype:* Max128Text on page 1348

#### 16.1.18.2.12 PreferredMethod <PrefrdMtd>

*Presence:* [0..1]

*Definition:* Preferred method used to reach the contact.

*Datatype:* PreferredContactMethod1Code on page 1331

CodeName	Name	Definition
LETT	Letter	Preferred method used to reach the contact is per letter.
MAIL	Email	Preferred method used to reach the contact is per email.
PHON	Phone	Preferred method used to reach the contact is per phone.
FAXX	Fax	Preferred method used to reach the contact is per fax.
CELL	MobileOrCellPhone	Preferred method used to reach the contact is per mobile or cell phone.

## 16.1.19 Postal Address

### 16.1.19.1 NameAndAddress12

*Definition:* Information that locates and identifies a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1105

#### 16.1.19.1.1 Name <Nm>

*Presence:* [1..1]

*Definition:* Name by which a party is known and which is usually used to identify that party.

*Datatype:* [RestrictedFINXMax140Text on page 1352](#)

## 16.1.19.2 PostalAddress24

*Definition:* Information that locates and identifies a specific address, as defined by postal services.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			1106
{Or	Code <Cd>	[1..1]	CodeSet		1106
Or}	Proprietary <Prtry>	[1..1]	±		1107
	Department <Dept>	[0..1]	Text		1107
	SubDepartment <SubDept>	[0..1]	Text		1107
	StreetName <StrtNm>	[0..1]	Text		1107
	BuildingNumber <BldgNb>	[0..1]	Text		1107
	BuildingName <BldgNm>	[0..1]	Text		1108
	Floor <Flr>	[0..1]	Text		1108
	PostBox <PstBx>	[0..1]	Text		1108
	Room <Room>	[0..1]	Text		1108
	PostCode <PstCd>	[0..1]	Text		1108
	TownName <TwnNm>	[0..1]	Text		1108
	TownLocationName <TwnLctnNm>	[0..1]	Text		1108
	DistrictName <DstrctNm>	[0..1]	Text		1108
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		1109
	Country <Ctry>	[0..1]	CodeSet	C3	1109
	AddressLine <AdrLine>	[0..7]	Text		1109

### 16.1.19.2.1 AddressType <AdrTp>

*Presence:* [0..1]

*Definition:* Identifies the nature of the postal address.

**AddressType <AdrTp>** contains one of the following **AddressType3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1106
Or}	Proprietary <Prtry>	[1..1]	±		1107

#### 16.1.19.2.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of address expressed as a code.

*Datatype:* [AddressType2Code](#) on page 1267

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.

#### 16.1.19.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of address expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification30](#) on page 950 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		950
	Issuer <Issr>	[1..1]	Text		950
	SchemeName <SchmeNm>	[0..1]	Text		950

#### 16.1.19.2.2 Department <Dept>

*Presence:* [0..1]

*Definition:* Identification of a division of a large organisation or building.

*Datatype:* [Max70Text](#) on page 1350

#### 16.1.19.2.3 SubDepartment <SubDept>

*Presence:* [0..1]

*Definition:* Identification of a sub-division of a large organisation or building.

*Datatype:* [Max70Text](#) on page 1350

#### 16.1.19.2.4 StreetName <StrtNm>

*Presence:* [0..1]

*Definition:* Name of a street or thoroughfare.

*Datatype:* [Max70Text](#) on page 1350

#### 16.1.19.2.5 BuildingNumber <BldgNb>

*Presence:* [0..1]

*Definition:* Number that identifies the position of a building on a street.

*Datatype:* [Max16Text on page 1348](#)

#### **16.1.19.2.6 BuildingName <BldgNm>**

*Presence:* [0..1]

*Definition:* Name of the building or house.

*Datatype:* [Max35Text on page 1349](#)

#### **16.1.19.2.7 Floor <Flr>**

*Presence:* [0..1]

*Definition:* Floor or storey within a building.

*Datatype:* [Max70Text on page 1350](#)

#### **16.1.19.2.8 PostBox <PstBx>**

*Presence:* [0..1]

*Definition:* Numbered box in a post office, assigned to a person or organisation, where letters are kept until called for.

*Datatype:* [Max16Text on page 1348](#)

#### **16.1.19.2.9 Room <Room>**

*Presence:* [0..1]

*Definition:* Building room number.

*Datatype:* [Max70Text on page 1350](#)

#### **16.1.19.2.10 PostCode <PstCd>**

*Presence:* [0..1]

*Definition:* Identifier consisting of a group of letters and/or numbers that is added to a postal address to assist the sorting of mail.

*Datatype:* [Max16Text on page 1348](#)

#### **16.1.19.2.11 TownName <TwnNm>**

*Presence:* [0..1]

*Definition:* Name of a built-up area, with defined boundaries, and a local government.

*Datatype:* [Max35Text on page 1349](#)

#### **16.1.19.2.12 TownLocationName <TwnLctnNm>**

*Presence:* [0..1]

*Definition:* Specific location name within the town.

*Datatype:* [Max35Text on page 1349](#)

#### **16.1.19.2.13 DistrictName <DstrctNm>**

*Presence:* [0..1]

*Definition:* Identifies a subdivision within a country sub-division.

*Datatype:* [Max35Text on page 1349](#)

#### 16.1.19.2.14 CountrySubDivision <CtrySubDvsn>

*Presence:* [0..1]

*Definition:* Identifies a subdivision of a country such as state, region, county.

*Datatype:* [Max35Text on page 1349](#)

#### 16.1.19.2.15 Country <Ctry>

*Presence:* [0..1]

*Definition:* Nation with its own government.

*Impacted by:* [C3 Country](#)

*Datatype:* [CountryCode on page 1309](#)

##### 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.

#### 16.1.19.2.16 AddressLine <AdrLine>

*Presence:* [0..7]

*Definition:* Information that locates and identifies a specific address, as defined by postal services, presented in free format text.

*Datatype:* [Max70Text on page 1350](#)

## 16.1.20 Price

### 16.1.20.1 AmountPrice4

*Definition:* Price expressed as an actual amount.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1109
	PriceValue <PricVal>	[1..1]	Amount	C1	1110

#### 16.1.20.1.1 AmountPriceType <AmtPricTp>

*Presence:* [1..1]

*Definition:* Type of amount price.

*Datatype:* [AmountPriceType2Code](#) on page 1267

CodeName	Name	Definition
ACTU	ActualAmount	Price expressed as a currency and amount per unit or per share.

### 16.1.20.1.2 PriceValue <PricVal>

*Presence:* [1..1]

*Definition:* Value of the price.

*Impacted by:* [C1 ActiveCurrency](#)

*Datatype:* [RestrictedFINActiveCurrencyAnd13DecimalAmount](#) on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

### 16.1.20.2 PriceFormat68Choice

*Definition:* Choice between a percentage price or an amount price or an amount price per amount or an amount price per financial instrument quantity.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1111
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1111
	PriceValue <PricVal>	[1..1]	Rate		1112
Or	AmountPrice <AmtPric>	[1..1]	±		1112
Or	AmountPricePerFinancialInstrumentQuantity <AmtPricPerFinInstrmQty>	[1..1]			1112
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1112
	PriceValue <PricVal>	[1..1]	Amount	C1	1113
	FinancialInstrumentQuantity <FinInstrmQty>	[1..1]	±	C14	1113
Or	AmountPricePerAmount <AmtPricPerAmt>	[1..1]			1113
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1114
	PriceValue <PricVal>	[1..1]	Amount	C1	1114
	Amount <Amt>	[1..1]	Amount	C1	1114
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		1115

#### 16.1.20.2.1 PercentagePrice <PctgPric>

*Presence:* [1..1]

*Definition:* Price expressed as a percentage.

**PercentagePrice <PctgPric>** contains the following **PercentagePrice1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1111
	PriceValue <PricVal>	[1..1]	Rate		1112

##### 16.1.20.2.1.1 PercentagePriceType <PctgPricTp>

*Presence:* [1..1]

*Definition:* Specifies the type of percentage price.

*Datatype:* [PriceRateType3Code](#) on page 1331

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.
PRCT	Percentage	Price expressed as a percentage of par.

CodeName	Name	Definition
YIEL	Yield	Price expressed as a yield.

#### 16.1.20.2.1.2 PriceValue <PricVal>

*Presence:* [1..1]

*Definition:* Specifies the value of price.

*Datatype:* [PercentageRate](#) on page 1347

#### 16.1.20.2.2 AmountPrice <AmtPric>

*Presence:* [1..1]

*Definition:* Price expressed as a currency and amount.

**AmountPrice <AmtPric>** contains the following elements (see [AmountPrice5](#) on page 1135 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1135
	PriceValue <PricVal>	[1..1]	Amount	C1	1136

#### 16.1.20.2.3 AmountPricePerFinancialInstrumentQuantity <AmtPricPerFinInstrmQty>

*Presence:* [1..1]

*Definition:* Price expressed as a ratio: amount price per financial instrument quantity.

**AmountPricePerFinancialInstrumentQuantity <AmtPricPerFinInstrmQty>** contains the following **AmountPricePerFinancialInstrumentQuantity11** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1112
	PriceValue <PricVal>	[1..1]	Amount	C1	1113
	FinancialInstrumentQuantity <FinInstrmQty>	[1..1]	±	C14	1113

#### 16.1.20.2.3.1 AmountPriceType <AmtPricTp>

*Presence:* [1..1]

*Definition:* Type of amount price.

*Datatype:* [AmountPriceType1Code](#) on page 1267

CodeName	Name	Definition
ACTU	ActualAmount	Price expressed as a currency and amount per unit or per share.
DISC	Discount	Price expressed as a discount amount.
PLOT	Lot	Price expressed as an amount of money per lot.
PREM	Premium	Price expressed as a premium.



### 16.1.20.2.3.2 PriceValue <PricVal>

*Presence:* [1..1]

*Definition:* Value of the price.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

### 16.1.20.2.3.3 FinancialInstrumentQuantity <FinInstrmQty>

*Presence:* [1..1]

*Definition:* Quantity of financial instrument.

*Impacted by:* C14 DigitalTokenUnitUsageRule

**FinancialInstrumentQuantity <FinInstrmQty>** contains one of the following elements (see FinancialInstrumentQuantity36Choice on page 1150 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1150
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1151
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1151
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1151

#### Constraints

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

### 16.1.20.2.4 AmountPricePerAmount <AmtPricPerAmt>

*Presence:* [1..1]

*Definition:* Price expressed as a ratio: amount price per amount.

**AmountPricePerAmount <AmtPricPerAmt>** contains the following **AmountPricePerAmount3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1114
	PriceValue <PricVal>	[1..1]	Amount	C1	1114
	Amount <Amt>	[1..1]	Amount	C1	1114

#### 16.1.20.2.4.1 AmountPriceType <AmtPricTp>

*Presence:* [1..1]

*Definition:* Type of amount price.

*Datatype:* AmountPriceType1Code on page 1267

CodeName	Name	Definition
ACTU	ActualAmount	Price expressed as a currency and amount per unit or per share.
DISC	Discount	Price expressed as a discount amount.
PLOT	Lot	Price expressed as an amount of money per lot.
PREM	Premium	Price expressed as a premium.

#### 16.1.20.2.4.2 PriceValue <PricVal>

*Presence:* [1..1]

*Definition:* Value of the price.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

#### 16.1.20.2.4.3 Amount <Amt>

*Presence:* [1..1]

*Definition:* The amount on which the price is based.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

#### **Constraints**

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

#### **16.1.20.2.5 IndexPoints <IndxPts>**

*Presence:* [1..1]

*Definition:* Price expressed in index points.

*Datatype:* RestrictedFINDecimalNumber on page 1346

#### **16.1.20.3 PriceFormat67Choice**

*Definition:* Choice between a percentage price or an amount price or an unspecified price or an amount price per amount or an amount price per financial instrument quantity.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1116
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1116
	PriceValue <PricVal>	[1..1]	Rate		1117
Or	AmountPrice <AmtPric>	[1..1]	±		1117
Or	NotSpecifiedPrice <NotSpcfdPric>	[1..1]	CodeSet		1117
Or	AmountPricePerFinancialInstrumentQuantity <AmtPricPerFinInstrmQty>	[1..1]			1117
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1118
	PriceValue <PricVal>	[1..1]	Amount	C1	1118
	FinancialInstrumentQuantity <FinInstrmQty>	[1..1]	±	C14	1118
Or	AmountPricePerAmount <AmtPricPerAmt>	[1..1]			1119
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1119
	PriceValue <PricVal>	[1..1]	Amount	C1	1119
	Amount <Amt>	[1..1]	Amount	C1	1120
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		1120

### 16.1.20.3.1 PercentagePrice <PctgPric>

*Presence:* [1..1]

*Definition:* Price expressed as a percentage.

**PercentagePrice <PctgPric>** contains the following **PercentagePrice1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1116
	PriceValue <PricVal>	[1..1]	Rate		1117

#### 16.1.20.3.1.1 PercentagePriceType <PctgPricTp>

*Presence:* [1..1]

*Definition:* Specifies the type of percentage price.

*Datatype:* [PriceRateType3Code](#) on page 1331

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.

CodeName	Name	Definition
PRCT	Percentage	Price expressed as a percentage of par.
YIEL	Yield	Price expressed as a yield.

#### 16.1.20.3.1.2 PriceValue <PricVal>

*Presence:* [1..1]

*Definition:* Specifies the value of price.

*Datatype:* [PercentageRate](#) on page 1347

#### 16.1.20.3.2 AmountPrice <AmtPric>

*Presence:* [1..1]

*Definition:* Price expressed as a currency and amount.

**AmountPrice <AmtPric>** contains the following elements (see [AmountPrice5](#) on page 1135 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1135
	PriceValue <PricVal>	[1..1]	Amount	C1	1136

#### 16.1.20.3.3 NotSpecifiedPrice <NotSpcfdPric>

*Presence:* [1..1]

*Definition:* Value of the price not specified.

*Datatype:* [PriceValueType9Code](#) on page 1332

CodeName	Name	Definition
TBSP	ToBeSpecified	Price to be specified by account owner.
UNSP	Unspecified	Price is not required to be specified by account owner.
UKWN	Unknown	Price is unknown by the sender or has not been established.

#### 16.1.20.3.4 AmountPricePerFinancialInstrumentQuantity <AmtPricPerFinInstrmQty>

*Presence:* [1..1]

*Definition:* Price expressed as a ratio: amount price per financial instrument quantity.

**AmountPricePerFinancialInstrumentQuantity <AmtPricPerFinInstrmQty>** contains the following **AmountPricePerFinancialInstrumentQuantity11** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1118
	PriceValue <PricVal>	[1..1]	Amount	C1	1118
	FinancialInstrumentQuantity <FinInstrmQty>	[1..1]	±	C14	1118

### 16.1.20.3.4.1 AmountPriceType <AmtPricTp>

*Presence:* [1..1]

*Definition:* Type of amount price.

*Datatype:* [AmountPriceType1Code](#) on page 1267

CodeName	Name	Definition
ACTU	ActualAmount	Price expressed as a currency and amount per unit or per share.
DISC	Discount	Price expressed as a discount amount.
PLOT	Lot	Price expressed as an amount of money per lot.
PREM	Premium	Price expressed as a premium.

### 16.1.20.3.4.2 PriceValue <PricVal>

*Presence:* [1..1]

*Definition:* Value of the price.

*Impacted by:* [C1 ActiveCurrency](#)

*Datatype:* [RestrictedFINActiveCurrencyAnd13DecimalAmount](#) on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

### 16.1.20.3.4.3 FinancialInstrumentQuantity <FinInstrmQty>

*Presence:* [1..1]

*Definition:* Quantity of financial instrument.

*Impacted by:* [C14 DigitalTokenUnitUsageRule](#)

**FinancialInstrumentQuantity <FinInstrmQty>** contains one of the following elements (see [FinancialInstrumentQuantity36Choice](#) on page 1150 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1150
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1151
Or	AmortisedValue <AmtdsdVal>	[1..1]	Amount		1151
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1151

**Constraints**

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

**16.1.20.3.5 AmountPricePerAmount <AmtPricPerAmt>**

*Presence:* [1..1]

*Definition:* Price expressed as a ratio: amount price per amount.

**AmountPricePerAmount <AmtPricPerAmt>** contains the following **AmountPricePerAmount3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1119
	PriceValue <PricVal>	[1..1]	Amount	C1	1119
	Amount <Amt>	[1..1]	Amount	C1	1120

**16.1.20.3.5.1 AmountPriceType <AmtPricTp>**

*Presence:* [1..1]

*Definition:* Type of amount price.

*Datatype:* [AmountPriceType1Code](#) on page 1267

CodeName	Name	Definition
ACTU	ActualAmount	Price expressed as a currency and amount per unit or per share.
DISC	Discount	Price expressed as a discount amount.
PLOT	Lot	Price expressed as an amount of money per lot.
PREM	Premium	Price expressed as a premium.

**16.1.20.3.5.2 PriceValue <PricVal>**

*Presence:* [1..1]

*Definition:* Value of the price.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

#### 16.1.20.3.5.3 Amount <Amt>

*Presence:* [1..1]

*Definition:* The amount on which the price is based.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

#### 16.1.20.3.6 IndexPoints <IndxPts>

*Presence:* [1..1]

*Definition:* Price expressed in index points.

*Datatype:* RestrictedFINDecimalNumber on page 1346

#### 16.1.20.4 PriceFormat70Choice

*Definition:* Choice between a percentage price or an amount price or an unspecified price or an amount price per amount or an amount price per financial instrument quantity.



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1121
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1121
	PriceValue <PricVal>	[1..1]	Rate		1122
Or	AmountPrice <AmtPric>	[1..1]	±		1122
Or	NotSpecifiedPrice <NotSpcfdPric>	[1..1]	CodeSet		1122
Or	AmountPricePerFinancialInstrumentQuantity <AmtPricPerFinInstrmQty>	[1..1]			1122
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1123
	PriceValue <PricVal>	[1..1]	Amount	C1	1123
	FinancialInstrumentQuantity <FinInstrmQty>	[1..1]	±	C14	1123
Or	AmountPricePerAmount <AmtPricPerAmt>	[1..1]			1124
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1124
	PriceValue <PricVal>	[1..1]	Amount	C1	1124
	Amount <Amt>	[1..1]	Amount	C1	1125
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		1125

#### 16.1.20.4.1 PercentagePrice <PctgPric>

*Presence:* [1..1]

*Definition:* Price expressed as a percentage.

**PercentagePrice <PctgPric>** contains the following **PercentagePrice1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1121
	PriceValue <PricVal>	[1..1]	Rate		1122

#### 16.1.20.4.1.1 PercentagePriceType <PctgPricTp>

*Presence:* [1..1]

*Definition:* Specifies the type of percentage price.

*Datatype:* [PriceRateType3Code](#) on page 1331

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.

CodeName	Name	Definition
PRCT	Percentage	Price expressed as a percentage of par.
YIEL	Yield	Price expressed as a yield.

#### 16.1.20.4.1.2 PriceValue <PricVal>

*Presence:* [1..1]

*Definition:* Specifies the value of price.

*Datatype:* [PercentageRate](#) on page 1347

#### 16.1.20.4.2 AmountPrice <AmtPric>

*Presence:* [1..1]

*Definition:* Price expressed as a currency and amount.

**AmountPrice <AmtPric>** contains the following elements (see [AmountPrice5](#) on page 1135 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1135
	PriceValue <PricVal>	[1..1]	Amount	C1	1136

#### 16.1.20.4.3 NotSpecifiedPrice <NotSpcfdPric>

*Presence:* [1..1]

*Definition:* Value of the price not specified.

*Datatype:* [PriceValueType8Code](#) on page 1331

CodeName	Name	Definition
TBSP	ToBeSpecified	Price to be specified by account owner.
UNSP	Unspecified	Price is not required to be specified by account owner.
UKWN	Unknown	Price is unknown by the sender or has not been established.
NILP	NilPayment	Price will not be paid.

#### 16.1.20.4.4 AmountPricePerFinancialInstrumentQuantity <AmtPricPerFinInstrmQty>

*Presence:* [1..1]

*Definition:* Price expressed as a ratio: amount price per financial instrument quantity.

**AmountPricePerFinancialInstrumentQuantity <AmtPricPerFinInstrmQty>** contains the following **AmountPricePerFinancialInstrumentQuantity11** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1123
	PriceValue <PricVal>	[1..1]	Amount	C1	1123
	FinancialInstrumentQuantity <FinInstrmQty>	[1..1]	±	C14	1123

#### 16.1.20.4.4.1 AmountPriceType <AmtPricTp>

*Presence:* [1..1]

*Definition:* Type of amount price.

*Datatype:* AmountPriceType1Code on page 1267

CodeName	Name	Definition
ACTU	ActualAmount	Price expressed as a currency and amount per unit or per share.
DISC	Discount	Price expressed as a discount amount.
PLOT	Lot	Price expressed as an amount of money per lot.
PREM	Premium	Price expressed as a premium.

#### 16.1.20.4.4.2 PriceValue <PricVal>

*Presence:* [1..1]

*Definition:* Value of the price.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

##### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

#### 16.1.20.4.4.3 FinancialInstrumentQuantity <FinInstrmQty>

*Presence:* [1..1]

*Definition:* Quantity of financial instrument.

*Impacted by:* C14 DigitalTokenUnitUsageRule

**FinancialInstrumentQuantity <FinInstrmQty>** contains one of the following elements (see [FinancialInstrumentQuantity36Choice](#) on page 1150 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1150
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1151
Or	AmortisedValue <AmtdsdVal>	[1..1]	Amount		1151
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1151

**Constraints**

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

**16.1.20.4.5 AmountPricePerAmount <AmtPricPerAmt>**

*Presence:* [1..1]

*Definition:* Price expressed as a ratio: amount price per amount.

**AmountPricePerAmount <AmtPricPerAmt>** contains the following **AmountPricePerAmount3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1124
	PriceValue <PricVal>	[1..1]	Amount	C1	1124
	Amount <Amt>	[1..1]	Amount	C1	1125

**16.1.20.4.5.1 AmountPriceType <AmtPricTp>**

*Presence:* [1..1]

*Definition:* Type of amount price.

*Datatype:* [AmountPriceType1Code](#) on page 1267

CodeName	Name	Definition
ACTU	ActualAmount	Price expressed as a currency and amount per unit or per share.
DISC	Discount	Price expressed as a discount amount.
PLOT	Lot	Price expressed as an amount of money per lot.
PREM	Premium	Price expressed as a premium.

**16.1.20.4.5.2 PriceValue <PricVal>**

*Presence:* [1..1]

*Definition:* Value of the price.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

#### 16.1.20.4.5.3 Amount <Amt>

*Presence:* [1..1]

*Definition:* The amount on which the price is based.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

#### 16.1.20.4.6 IndexPoints <IndxPts>

*Presence:* [1..1]

*Definition:* Price expressed in index points.

*Datatype:* RestrictedFINDecimalNumber on page 1346

#### 16.1.20.5 PriceFormat62Choice

*Definition:* Choice between a percentage price or an amount price or an unspecified price.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AmountPrice <AmtPric>	[1..1]			1126
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1126
	PriceValue <PricVal>	[1..1]	Amount	C1	1126
Or}	NotSpecifiedPrice <NotSpctdPric>	[1..1]	CodeSet		1127

### 16.1.20.5.1 AmountPrice <AmtPric>

*Presence:* [1..1]

*Definition:* Price expressed as a currency and amount.

**AmountPrice <AmtPric>** contains the following **AmountPrice7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1126
	PriceValue <PricVal>	[1..1]	Amount	C1	1126

#### 16.1.20.5.1.1 AmountPriceType <AmtPricTp>

*Presence:* [1..1]

*Definition:* Type of amount price.

*Datatype:* AmountPriceType3Code on page 1267

CodeName	Name	Definition
ACTU	ActualAmount	Price expressed as a currency and amount per unit or per share.
PLOT	Lot	Price expressed as an amount of money per lot.

#### 16.1.20.5.1.2 PriceValue <PricVal>

*Presence:* [1..1]

*Definition:* Value of the price.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

**16.1.20.5.2 NotSpecifiedPrice <NotSpcfdPric>**

*Presence:* [1..1]

*Definition:* Value of the price not specified.

*Datatype:* [PriceValueType10Code on page 1331](#)

CodeName	Name	Definition
UKWN	Unknown	Price is unknown by the sender or has not been established.

**16.1.20.6 PriceFormat55Choice**

*Definition:* Choice between a percentage price or an amount price or index points.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1127
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1127
	PriceValue <PricVal>	[1..1]	Rate		1128
Or	AmountPrice <AmtPric>	[1..1]	±		1128
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		1128

**16.1.20.6.1 PercentagePrice <PctgPric>**

*Presence:* [1..1]

*Definition:* Price expressed as a percentage.

**PercentagePrice <PctgPric>** contains the following **PercentagePrice1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1127
	PriceValue <PricVal>	[1..1]	Rate		1128

**16.1.20.6.1.1 PercentagePriceType <PctgPricTp>**

*Presence:* [1..1]

*Definition:* Specifies the type of percentage price.

*Datatype:* [PriceRateType3Code on page 1331](#)

CodeName	Name	Definition
DISC	Discount	Price expressed as a number of percentage points below par, for

CodeName	Name	Definition
		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.
PRCT	Percentage	Price expressed as a percentage of par.
YIEL	Yield	Price expressed as a yield.

#### 16.1.20.6.1.2 PriceValue <PricVal>

*Presence:* [1..1]

*Definition:* Specifies the value of price.

*Datatype:* [PercentageRate](#) on page 1347

#### 16.1.20.6.2 AmountPrice <AmtPric>

*Presence:* [1..1]

*Definition:* Price expressed as a currency and amount.

**AmountPrice <AmtPric>** contains the following elements (see [AmountPrice5](#) on page 1135 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1135
	PriceValue <PricVal>	[1..1]	Amount	C1	1136

#### 16.1.20.6.3 IndexPoints <IndxPts>

*Presence:* [1..1]

*Definition:* Price expressed as an index points.

*Datatype:* [RestrictedFINDecimalNumber](#) on page 1346

#### 16.1.20.7 PriceFormat52Choice

*Definition:* Choice between a percentage price or an amount price.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1128
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1129
	PriceValue <PricVal>	[1..1]	Rate		1129
Or}	AmountPrice <AmtPric>	[1..1]	±		1129

#### 16.1.20.7.1 PercentagePrice <PctgPric>

*Presence:* [1..1]

*Definition:* Price expressed as a percentage.



**PercentagePrice <PctgPric>** contains the following **PercentagePrice1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1129
	PriceValue <PricVal>	[1..1]	Rate		1129

#### 16.1.20.7.1.1 PercentagePriceType <PctgPricTp>

*Presence:* [1..1]

*Definition:* Specifies the type of percentage price.

*Datatype:* [PriceRateType3Code](#) on page 1331

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.
PRCT	Percentage	Price expressed as a percentage of par.
YIEL	Yield	Price expressed as a yield.

#### 16.1.20.7.1.2 PriceValue <PricVal>

*Presence:* [1..1]

*Definition:* Specifies the value of price.

*Datatype:* [PercentageRate](#) on page 1347

#### 16.1.20.7.2 AmountPrice <AmtPric>

*Presence:* [1..1]

*Definition:* Price expressed as a currency and amount.

**AmountPrice <AmtPric>** contains the following elements (see [AmountPrice5](#) on page 1135 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1135
	PriceValue <PricVal>	[1..1]	Amount	C1	1136

#### 16.1.20.8 IndicativeOrMarketPrice11Choice

*Definition:* Choice between an indicative price or a market price.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IndicativePrice <IndctvPric>	[1..1]	±		1130
Or}	MarketPrice <MktPric>	[1..1]	±		1130

#### 16.1.20.8.1 IndicativePrice <IndctvPric>

*Presence:* [1..1]

*Definition:* Estimated price, for example, for valuation purposes.

**IndicativePrice <IndctvPric>** contains one of the following elements (see [PriceFormat57Choice](#) on page 1132 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1132
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1132
	PriceValue <PricVal>	[1..1]	Rate		1133
Or	AmountPrice <AmtPric>	[1..1]	±		1133
Or}	NotSpecifiedPrice <NotSpctdPric>	[1..1]	CodeSet		1133

#### 16.1.20.8.2 MarketPrice <MktPric>

*Presence:* [1..1]

*Definition:* Last reported/known price of a financial instrument in a market.

**MarketPrice <MktPric>** contains one of the following elements (see [PriceFormat57Choice](#) on page 1132 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1132
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1132
	PriceValue <PricVal>	[1..1]	Rate		1133
Or	AmountPrice <AmtPric>	[1..1]	±		1133
Or}	NotSpecifiedPrice <NotSpctdPric>	[1..1]	CodeSet		1133

#### 16.1.20.9 IndicativeOrMarketPrice9Choice

*Definition:* Choice between an indicative price or a market price.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IndicativePrice <IndctvPric>	[1..1]	±		1131
Or}	MarketPrice <MktPric>	[1..1]	±		1131

### 16.1.20.9.1 IndicativePrice <IndctvPric>

*Presence:* [1..1]

*Definition:* Estimated price, for example, for valuation purposes.

**IndicativePrice <IndctvPric>** contains one of the following elements (see [PriceFormat52Choice](#) on page 1128 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1128
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1129
	PriceValue <PricVal>	[1..1]	Rate		1129
Or}	AmountPrice <AmtPric>	[1..1]	±		1129

### 16.1.20.9.2 MarketPrice <MktPric>

*Presence:* [1..1]

*Definition:* Last reported/known price of a financial instrument in a market.

**MarketPrice <MktPric>** contains one of the following elements (see [PriceFormat52Choice](#) on page 1128 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1128
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1129
	PriceValue <PricVal>	[1..1]	Rate		1129
Or}	AmountPrice <AmtPric>	[1..1]	±		1129

### 16.1.20.10 PriceFormat58Choice

*Definition:* Choice between a percentage price or an amount price or an unspecified price.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AmountPrice <AmtPric>	[1..1]	±		1131
Or}	NotSpecifiedPrice <NotSpctdPric>	[1..1]	CodeSet		1132

#### 16.1.20.10.1 AmountPrice <AmtPric>

*Presence:* [1..1]

*Definition:* Price expressed as a currency and amount.

**AmountPrice <AmtPric>** contains the following elements (see [AmountPrice4](#) on page 1109 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1109
	PriceValue <PricVal>	[1..1]	Amount	C1	1110

### 16.1.20.10.2 NotSpecifiedPrice <NotSpcfdPric>

*Presence:* [1..1]

*Definition:* Value of the price not specified.

*Datatype:* [PriceValueType10Code](#) on page 1331

CodeName	Name	Definition
UKWN	Unknown	Price is unknown by the sender or has not been established.

### 16.1.20.11 PriceFormat57Choice

*Definition:* Choice between a percentage price or an amount price or an unspecified price.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1132
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1132
	PriceValue <PricVal>	[1..1]	Rate		1133
Or	AmountPrice <AmtPric>	[1..1]	±		1133
Or}	NotSpecifiedPrice <NotSpcfdPric>	[1..1]	CodeSet		1133

#### 16.1.20.11.1 PercentagePrice <PctgPric>

*Presence:* [1..1]

*Definition:* Price expressed as a percentage.

**PercentagePrice <PctgPric>** contains the following **PercentagePrice1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1132
	PriceValue <PricVal>	[1..1]	Rate		1133

##### 16.1.20.11.1.1 PercentagePriceType <PctgPricTp>

*Presence:* [1..1]

*Definition:* Specifies the type of percentage price.

*Datatype:* [PriceRateType3Code](#) on page 1331

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.
PRCT	Percentage	Price expressed as a percentage of par.
YIEL	Yield	Price expressed as a yield.

#### 16.1.20.11.1.2 PriceValue <PricVal>

*Presence:* [1..1]

*Definition:* Specifies the value of price.

*Datatype:* [PercentageRate](#) on page 1347

#### 16.1.20.11.2 AmountPrice <AmtPric>

*Presence:* [1..1]

*Definition:* Price expressed as a currency and amount.

**AmountPrice <AmtPric>** contains the following elements (see [AmountPrice5](#) on page 1135 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1135
	PriceValue <PricVal>	[1..1]	Amount	C1	1136

#### 16.1.20.11.3 NotSpecifiedPrice <NotSpcfdPric>

*Presence:* [1..1]

*Definition:* Value of the price not specified.

*Datatype:* [PriceValueType10Code](#) on page 1331

CodeName	Name	Definition
UKWN	Unknown	Price is unknown by the sender or has not been established.

#### 16.1.20.12 PriceFormat59Choice

*Definition:* Choice between a percentage price or an amount price or an unspecified price or index points.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1134
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1134
	PriceValue <PricVal>	[1..1]	Rate		1134
Or	AmountPrice <AmtPric>	[1..1]	±		1134
Or	NotSpecifiedPrice <NotSpofdPric>	[1..1]	CodeSet		1135
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		1135

### 16.1.20.12.1 PercentagePrice <PctgPric>

*Presence:* [1..1]

*Definition:* Price expressed as a percentage.

**PercentagePrice <PctgPric>** contains the following **PercentagePrice1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1134
	PriceValue <PricVal>	[1..1]	Rate		1134

#### 16.1.20.12.1.1 PercentagePriceType <PctgPricTp>

*Presence:* [1..1]

*Definition:* Specifies the type of percentage price.

*Datatype:* [PriceRateType3Code](#) on page 1331

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.
PRCT	Percentage	Price expressed as a percentage of par.
YIEL	Yield	Price expressed as a yield.

#### 16.1.20.12.1.2 PriceValue <PricVal>

*Presence:* [1..1]

*Definition:* Specifies the value of price.

*Datatype:* [PercentageRate](#) on page 1347

#### 16.1.20.12.2 AmountPrice <AmtPric>

*Presence:* [1..1]

*Definition:* Price expressed as a currency and amount.

**AmountPrice <AmtPric>** contains the following elements (see [AmountPrice5](#) on page 1135 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1135
	PriceValue <PricVal>	[1..1]	Amount	C1	1136

### 16.1.20.12.3 NotSpecifiedPrice <NotSpcfdPric>

*Presence:* [1..1]

*Definition:* Value of the price not specified.

*Datatype:* [PriceValueType10Code](#) on page 1331

CodeName	Name	Definition
UKWN	Unknown	Price is unknown by the sender or has not been established.

### 16.1.20.12.4 IndexPoints <IndxPts>

*Presence:* [1..1]

*Definition:* Price expressed as an index points.

*Datatype:* [RestrictedFINDecimalNumber](#) on page 1346

### 16.1.20.13 AmountPrice5

*Definition:* Price expressed as an amount.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1135
	PriceValue <PricVal>	[1..1]	Amount	C1	1136

### 16.1.20.13.1 AmountPriceType <AmtPricTp>

*Presence:* [1..1]

*Definition:* Type of amount price.

*Datatype:* [AmountPriceType1Code](#) on page 1267

CodeName	Name	Definition
ACTU	ActualAmount	Price expressed as a currency and amount per unit or per share.
DISC	Discount	Price expressed as a discount amount.
PLOT	Lot	Price expressed as an amount of money per lot.
PREM	Premium	Price expressed as a premium.

### 16.1.20.13.2 PriceValue <PricVal>

*Presence:* [1..1]

*Definition:* Value of the price.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

## 16.1.21 Quantity

### 16.1.21.1 FinancialInstrumentQuantity33Choice

*Definition:* Choice between formats for the quantity of security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1136
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1137
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1137
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1137

#### Constraints

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

#### 16.1.21.1.1 Unit <Unit>

*Presence:* [1..1]

*Definition:* Quantity expressed as a number, for example, a number of shares.

*Datatype:* DecimalNumber on page 1345



### 16.1.21.1.2 FaceAmount <FaceAmt>

*Presence:* [1..1]

*Definition:* Quantity expressed as an amount representing the face amount, that is, the principal, of a debt instrument.

*Datatype:* [ImpliedCurrencyAndAmount on page 1258](#)

### 16.1.21.1.3 AmortisedValue <AmtsdVal>

*Presence:* [1..1]

*Definition:* Quantity expressed as an amount representing the current amortised face amount of a bond, for example, a periodic reduction/increase of a bond's principal amount.

*Datatype:* [ImpliedCurrencyAndAmount on page 1258](#)

### 16.1.21.1.4 DigitalTokenUnit <DgtITknUnit>

*Presence:* [1..1]

*Definition:* Quantity of digital tokens expressed as a number, for example, a number of blockchain tokens.

*Datatype:* [Max30DecimalNumber on page 1346](#)

### 16.1.21.2 SignedQuantityFormat12

*Definition:* Signed quantity of security formats.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1137
	QuantityChoice <QtyChc>	[1..1]	±		1137

#### 16.1.21.2.1 ShortLongPosition <ShrtLngPos>

*Presence:* [1..1]

*Definition:* Sign of the quantity of security.

*Datatype:* [ShortLong1Code on page 1340](#)

CodeName	Name	Definition
SHOR	Short	Position is short, that is, the balance is negative.
LONG	Long	Position is long, that is, the balance is positive.

#### 16.1.21.2.2 QuantityChoice <QtyChc>

*Presence:* [1..1]

*Definition:* Choice between different quantity of security formats.

**QuantityChoice <QtyChc>** contains one of the following elements (see [Quantity53Choice](#) on page 1146 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±	C14	1147
Or}	ProprietaryQuantity <PrtryQty>	[1..1]			1147
	Quantity <Qty>	[1..1]	Quantity		1147
	QuantityType <QtyTp>	[1..1]	Text		1147
	Issuer </ssr>	[1..1]	Text		1148
	SchemeName <SchmeNm>	[0..1]	Text		1148

### 16.1.21.3 SignedQuantityFormat13

*Definition:* Signed quantity of security formats.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1138
	Quantity <Qty>	[1..1]	±	C14	1138

#### 16.1.21.3.1 ShortLongPosition <ShrtLngPos>

*Presence:* [1..1]

*Definition:* Sign of the quantity of security.

*Datatype:* [ShortLong1Code](#) on page 1340

CodeName	Name	Definition
SHOR	Short	Position is short, that is, the balance is negative.
LONG	Long	Position is long, that is, the balance is positive.

#### 16.1.21.3.2 Quantity <Qty>

*Presence:* [1..1]

*Definition:* Quantity of security.

*Impacted by:* [C14 DigitalTokenUnitUsageRule](#)

**Quantity <Qty>** contains one of the following elements (see [FinancialInstrumentQuantity36Choice](#) on page 1150 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1150
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1151
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1151
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1151

**Constraints**

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

**16.1.21.4 SignedQuantityFormat11**

*Definition:* Signed quantity of security formats.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1139
	QuantityChoice <QtyChc>	[1..1]			1139
{Or	Quantity <Qty>	[1..1]	±	C15	1140
Or}	ProprietaryQuantity <PrtryQty>	[1..1]			1140
	Quantity <Qty>	[1..1]	Quantity		1141
	QuantityType <QtyTp>	[1..1]	Text		1141
	Issuer <Issr>	[1..1]	Text		1141
	SchemeName <SchmeNm>	[0..1]	Text		1141

**16.1.21.4.1 ShortLongPosition <ShrtLngPos>**

*Presence:* [1..1]

*Definition:* Sign of the quantity of security.

*Datatype:* [ShortLong1Code](#) on page 1340

CodeName	Name	Definition
SHOR	Short	Position is short, that is, the balance is negative.
LONG	Long	Position is long, that is, the balance is positive.

**16.1.21.4.2 QuantityChoice <QtyChc>**

*Presence:* [1..1]

*Definition:* Choice between different quantity of security formats.

**QuantityChoice <QtyChc>** contains one of the following **Quantity48Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±	C15	1140
Or}	ProprietaryQuantity <PrtryQty>	[1..1]			1140
	Quantity <Qty>	[1..1]	Quantity		1141
	QuantityType <QtyTp>	[1..1]	Text		1141
	Issuer </ssr>	[1..1]	Text		1141
	SchemeName <SchmeNm>	[0..1]	Text		1141

#### 16.1.21.4.2.1 Quantity <Qty>

*Presence:* [1..1]

*Definition:* Quantity of security.

*Impacted by:* [C15 DigitalTokenUnitUsageRule](#)

**Quantity <Qty>** contains one of the following elements (see [FinancialInstrumentQuantity33Choice](#) on page 1136 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1136
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1137
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1137
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1137

#### Constraints

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

#### 16.1.21.4.2.2 ProprietaryQuantity <PrtryQty>

*Presence:* [1..1]

*Definition:* Proprietary quantity of security format.

**ProprietaryQuantity <PrtryQty>** contains the following **ProprietaryQuantity8** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	Quantity		1141
	QuantityType <QtyTp>	[1..1]	Text		1141
	Issuer <Issr>	[1..1]	Text		1141
	SchemeName <SchmeNm>	[0..1]	Text		1141

#### 16.1.21.4.2.2.1 Quantity <Qty>

*Presence:* [1..1]

*Definition:* Provides the proprietary quantity with a decimal number.

*Datatype:* DecimalNumber on page 1345

#### 16.1.21.4.2.2.2 QuantityType <QtyTp>

*Presence:* [1..1]

*Definition:* Identifies the type of proprietary quantity reported.

*Datatype:* Exact4AlphaNumericText on page 1347

#### 16.1.21.4.2.2.3 Issuer <Issr>

*Presence:* [1..1]

*Definition:* Provides information related to issuer in free format.

*Datatype:* Max35Text on page 1349

#### 16.1.21.4.2.2.4 SchemeName <SchmeNm>

*Presence:* [0..1]

*Definition:* Name of the identification scheme.

*Datatype:* Max35Text on page 1349

#### 16.1.21.5 Quantity80Choice

*Definition:* Choice between different quantity of security formats.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	QuantityChoice <QtyChc>	[1..1]	±		1142
Or}	ProprietaryQuantity <PrtryQty>	[1..1]			1142
	ShortLongPosition <ShrtLngPos>	[0..1]	CodeSet		1142
	Quantity <Qty>	[1..1]	Quantity		1142
	QuantityType <QtyTp>	[1..1]	Text		1143
	Issuer <Issr>	[1..1]	Text		1143
	SchemeName <SchmeNm>	[0..1]	Text		1143

### 16.1.21.5.1 QuantityChoice <QtyChc>

*Presence:* [1..1]

*Definition:* Choice between different quantity of security formats.

**QuantityChoice <QtyChc>** contains one of the following elements (see [Quantity57Choice](#) on page 1143 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	OriginalAndCurrentFaceAmount <OrgnlAndCurFaceAmt>	[1..1]			1143
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1143
	FaceAmount <FaceAmt>	[1..1]	Amount		1144
	AmortisedValue <AmtsdVal>	[1..1]	Amount		1144
Or}	SignedQuantity <SgndQty>	[1..1]	±		1144

### 16.1.21.5.2 ProprietaryQuantity <PrtryQty>

*Presence:* [1..1]

*Definition:* Proprietary quantity of security format.

**ProprietaryQuantity <PrtryQty>** contains the following **ProprietaryQuantity10** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[0..1]	CodeSet		1142
	Quantity <Qty>	[1..1]	Quantity		1142
	QuantityType <QtyTp>	[1..1]	Text		1143
	Issuer <Issr>	[1..1]	Text		1143
	SchemeName <SchmeNm>	[0..1]	Text		1143

#### 16.1.21.5.2.1 ShortLongPosition <ShrtLngPos>

*Presence:* [0..1]

*Definition:* Sign of the quantity of security.

*Datatype:* [ShortLong1Code](#) on page 1340

CodeName	Name	Definition
SHOR	Short	Position is short, that is, the balance is negative.
LONG	Long	Position is long, that is, the balance is positive.

#### 16.1.21.5.2.2 Quantity <Qty>

*Presence:* [1..1]

*Definition:* Provides the proprietary quantity with a decimal number.

*Datatype:* [RestrictedFINDecimalNumber](#) on page 1346

### 16.1.21.5.2.3 QuantityType <QtyTp>

*Presence:* [1..1]

*Definition:* Identifies the type of proprietary quantity reported.

*Datatype:* [Exact4AlphaNumericText on page 1347](#)

### 16.1.21.5.2.4 Issuer <Issr>

*Presence:* [1..1]

*Definition:* Provides information related to issuer in free format.

*Datatype:* [Max4AlphaNumericText on page 1349](#)

### 16.1.21.5.2.5 SchemeName <SchmeNm>

*Presence:* [0..1]

*Definition:* Name of the identification scheme.

*Datatype:* [Max4AlphaNumericText on page 1349](#)

## 16.1.21.6 Quantity57Choice

*Definition:* Choice between different quantity of security formats.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	OriginalAndCurrentFaceAmount <OrgnlAndCurFaceAmt>	[1..1]			1143
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1143
	FaceAmount <FaceAmt>	[1..1]	Amount		1144
	AmortisedValue <AmtsdVal>	[1..1]	Amount		1144
Or}	SignedQuantity <SgndQty>	[1..1]	±		1144

### 16.1.21.6.1 OriginalAndCurrentFaceAmount <OrgnlAndCurFaceAmt>

*Presence:* [1..1]

*Definition:* Signed face amount and amortised value of security.

**OriginalAndCurrentFaceAmount <OrgnlAndCurFaceAmt>** contains the following **OriginalAndCurrentQuantities7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1143
	FaceAmount <FaceAmt>	[1..1]	Amount		1144
	AmortisedValue <AmtsdVal>	[1..1]	Amount		1144

#### 16.1.21.6.1.1 ShortLongPosition <ShrtLngPos>

*Presence:* [1..1]

*Definition:* Sign of the quantity of security.

*Datatype:* [ShortLong1Code on page 1340](#)

CodeName	Name	Definition
SHOR	Short	Position is short, that is, the balance is negative.
LONG	Long	Position is long, that is, the balance is positive.

#### 16.1.21.6.1.2 FaceAmount <FaceAmt>

*Presence:* [1..1]

*Definition:* Quantity expressed as an amount representing the face amount, that is, the principal, of a debt instrument.

*Datatype:* [RestrictedFINImpliedCurrencyAndAmount on page 1260](#)

#### 16.1.21.6.1.3 AmortisedValue <AmtsdVal>

*Presence:* [1..1]

*Definition:* Quantity expressed as an amount representing the current amortised face amount of a bond, for example, a periodic reduction/increase of a bond's principal amount.

*Datatype:* [RestrictedFINImpliedCurrencyAndAmount on page 1260](#)

#### 16.1.21.6.2 SignedQuantity <SgndQty>

*Presence:* [1..1]

*Definition:* Signed quantity of security.

**SignedQuantity <SgndQty>** contains the following elements (see [SignedQuantityFormat13 on page 1138](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1138
	Quantity <Qty>	[1..1]	±	C14	1138

#### 16.1.21.7 Quantity55Choice

*Definition:* Choice between different formats of securities quantity.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1144
Or	OriginalAndCurrentFaceAmount <OrgnlAndCurFaceAmt>	[1..1]	±		1145
Or}	Quantity <Qty>	[1..1]	±	C14	1145

#### 16.1.21.7.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify quantity of a financial instrument.

*Datatype:* [Quantity1Code on page 1333](#)



CodeName	Name	Definition
QALL	AllSecurities	Instruction applies to the entire eligible balance of underlying securities.

### 16.1.21.7.2 OriginalAndCurrentFaceAmount <OrgnlAndCurFaceAmt>

*Presence:* [1..1]

*Definition:* Face amount and amortised value of security.

**OriginalAndCurrentFaceAmount <OrgnlAndCurFaceAmt>** contains the following elements (see [OriginalAndCurrentQuantities4](#) on page 1221 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FaceAmount <FaceAmt>	[1..1]	Amount		1221
	AmortisedValue <AmtsdVal>	[1..1]	Amount		1221

### 16.1.21.7.3 Quantity <Qty>

*Presence:* [1..1]

*Definition:* Quantity of financial instrument in units, original face amount or current face amount.

*Impacted by:* [C14 DigitalTokenUnitUsageRule](#)

**Quantity <Qty>** contains one of the following elements (see [FinancialInstrumentQuantity36Choice](#) on page 1150 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1150
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1151
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1151
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1151

#### Constraints

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

### 16.1.21.8 Quantity54Choice

*Definition:* Choice of format for the quantity.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±	C14	1146
Or}	OriginalAndCurrentFace <OrgnlAndCurFace>	[1..1]	±		1146

### 16.1.21.8.1 Quantity <Qty>

*Presence:* [1..1]

*Definition:* Quantity of financial instrument in units, original face amount or current face amount.

*Impacted by:* [C14 DigitalTokenUnitUsageRule](#)

**Quantity <Qty>** contains one of the following elements (see [FinancialInstrumentQuantity36Choice](#) on page 1150 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1150
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1151
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1151
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1151

#### Constraints

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

### 16.1.21.8.2 OriginalAndCurrentFace <OrgnlAndCurFace>

*Presence:* [1..1]

*Definition:* Original and current value of an asset-back instrument.

**OriginalAndCurrentFace <OrgnlAndCurFace>** contains the following elements (see [OriginalAndCurrentQuantities4](#) on page 1221 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FaceAmount <FaceAmt>	[1..1]	Amount		1221
	AmortisedValue <AmtsdVal>	[1..1]	Amount		1221

### 16.1.21.9 Quantity53Choice

*Definition:* Choice between different quantity of security formats.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±	C14	1147
Or}	ProprietaryQuantity <PrtryQty>	[1..1]			1147
	Quantity <Qty>	[1..1]	Quantity		1147
	QuantityType <QtyTp>	[1..1]	Text		1147
	Issuer <Issr>	[1..1]	Text		1148
	SchemeName <SchmeNm>	[0..1]	Text		1148

### 16.1.21.9.1 Quantity <Qty>

*Presence:* [1..1]

*Definition:* Quantity of security.

*Impacted by:* [C14 DigitalTokenUnitUsageRule](#)

**Quantity <Qty>** contains one of the following elements (see [FinancialInstrumentQuantity36Choice](#) on page 1150 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1150
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1151
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1151
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1151

#### Constraints

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

### 16.1.21.9.2 ProprietaryQuantity <PrtryQty>

*Presence:* [1..1]

*Definition:* Proprietary quantity of security format.

**ProprietaryQuantity <PrtryQty>** contains the following **ProprietaryQuantity9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity <Qty>	[1..1]	Quantity		1147
	QuantityType <QtyTp>	[1..1]	Text		1147
	Issuer <Issr>	[1..1]	Text		1148
	SchemeName <SchmeNm>	[0..1]	Text		1148

#### 16.1.21.9.2.1 Quantity <Qty>

*Presence:* [1..1]

*Definition:* Provides the proprietary quantity with a decimal number.

*Datatype:* [RestrictedFINDecimalNumber](#) on page 1346

#### 16.1.21.9.2.2 QuantityType <QtyTp>

*Presence:* [1..1]

*Definition:* Identifies the type of proprietary quantity reported.

*Datatype:* [Exact4AlphaNumericText](#) on page 1347

### 16.1.21.9.2.3 Issuer <Issr>

*Presence:* [1..1]

*Definition:* Provides information related to issuer in free format.

*Datatype:* [Max4AlphaNumericText on page 1349](#)

### 16.1.21.9.2.4 SchemeName <SchmeNm>

*Presence:* [0..1]

*Definition:* Name of the identification scheme.

*Datatype:* [Max4AlphaNumericText on page 1349](#)

## 16.1.21.10 FinancialInstrumentQuantity44Choice

*Definition:* Choice between formats for the quantity of security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1148
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1148
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1148
Or	Code <Cd>	[1..1]	CodeSet		1149
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1149

### Constraints

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

### 16.1.21.10.1 Unit <Unit>

*Presence:* [1..1]

*Definition:* Quantity expressed as a number, for example, a number of shares.

*Datatype:* [RestrictedFINDecimalNumber on page 1346](#)

### 16.1.21.10.2 FaceAmount <FaceAmt>

*Presence:* [1..1]

*Definition:* Quantity expressed as an amount representing the face amount, that is, the principal, of a debt instrument.

*Datatype:* [RestrictedFINImpliedCurrencyAndAmount on page 1260](#)

### 16.1.21.10.3 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:* [RestrictedFINImpliedCurrencyAndAmount on page 1260](#)

#### 16.1.21.10.4 Code <Cd>

*Presence:* [1..1]

*Definition:* Quantity expressed as a code.

*Datatype:* [Quantity4Code on page 1333](#)

CodeName	Name	Definition
UKWN	UnknownQuantity	Quantity is unknown by the sender or has not been established.
ANYA	AnyAndAll	Instruction applies to the entire eligible balance of underlying securities.

#### 16.1.21.10.5 DigitalTokenUnit <DgtITknUnit>

*Presence:* [1..1]

*Definition:* Quantity of digital tokens expressed as a number, for example, a number of blockchain tokens.

*Datatype:* [Max30DecimalNumber on page 1346](#)

#### 16.1.21.11 FinancialInstrumentQuantity43Choice

*Definition:* Choice between formats for the quantity of security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1149
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1149
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1150
Or	Code <Cd>	[1..1]	CodeSet		1150
Or}	DigitalTokenUnit <DgtITknUnit>	[1..1]	Quantity		1150

#### Constraints

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

#### 16.1.21.11.1 Unit <Unit>

*Presence:* [1..1]

*Definition:* Quantity expressed as a number, for example, a number of shares.

*Datatype:* [RestrictedFINDecimalNumber on page 1346](#)

#### 16.1.21.11.2 FaceAmount <FaceAmt>

*Presence:* [1..1]

*Definition:* Quantity expressed as an amount representing the face amount, that is, the principal, of a debt instrument.

*Datatype:* [RestrictedFINImpliedCurrencyAndAmount on page 1260](#)

### 16.1.21.11.3 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:* [RestrictedFINImpliedCurrencyAndAmount on page 1260](#)

### 16.1.21.11.4 Code <Cd>

*Presence:* [1..1]

*Definition:* Quantity expressed as a code.

*Datatype:* [Quantity5Code on page 1334](#)

CodeName	Name	Definition
UKWN	UnknownQuantity	Quantity is unknown by the sender or has not been established.

### 16.1.21.11.5 DigitalTokenUnit <DgtITknUnit>

*Presence:* [1..1]

*Definition:* Quantity of digital tokens expressed as a number, for example, a number of blockchain tokens.

*Datatype:* [Max30DecimalNumber on page 1346](#)

### 16.1.21.12 FinancialInstrumentQuantity36Choice

*Definition:* Choice between formats for the quantity of security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1150
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1151
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1151
Or}	DigitalTokenUnit <DgtITknUnit>	[1..1]	Quantity		1151

#### Constraints

- **DigitalTokenUnitUsageRule**

(Rule)

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

### 16.1.21.12.1 Unit <Unit>

*Presence:* [1..1]

*Definition:* Quantity expressed as a number, for example, a number of shares.

*Datatype:* [RestrictedFINDecimalNumber on page 1346](#)

### 16.1.21.12.2 FaceAmount <FaceAmt>

*Presence:* [1..1]

*Definition:* Quantity expressed as an amount representing the face amount, that is, the principal of a debt instrument.

*Datatype:* [RestrictedFINImpliedCurrencyAndAmount on page 1260](#)

### 16.1.21.12.3 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:* [RestrictedFINImpliedCurrencyAndAmount on page 1260](#)

### 16.1.21.12.4 DigitalTokenUnit <DgtITknUnit>

*Presence:* [1..1]

*Definition:* Quantity of digital tokens expressed as a number, for example, a number of blockchain tokens.

*Datatype:* [Max30DecimalNumber on page 1346](#)

## 16.1.22 Rate

### 16.1.22.1 RateFormat3Choice

*Definition:* Choice between a rate or an unspecified rate.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1151
Or}	NotSpecifiedRate <NotSpdfdRate>	[1..1]	CodeSet		1151

#### 16.1.22.1.1 Rate <Rate>

*Presence:* [1..1]

*Definition:* Value is expressed as a rate.

*Datatype:* [PercentageRate on page 1347](#)

#### 16.1.22.1.2 NotSpecifiedRate <NotSpdfdRate>

*Presence:* [1..1]

*Definition:* Value of the rate not specified.

*Datatype:* [RateType5Code on page 1334](#)

CodeName	Name	Definition
UKWN	Unknown	Rate is unknown by the sender or has not been established.

## 16.1.22.2 NetDividendRateFormat42Choice

*Definition:* Choice between different formats to express a net dividend.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C1	1152
Or	AmountAndRateStatus <AmtAndRateSts>	[1..1]			1152
	Amount <Amt>	[1..1]	Amount	C1	1153
	RateStatus <RateSts>	[1..1]	CodeSet		1153
Or}	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1153
	RateType <RateTp>	[1..1]			1154
{Or	Code <Cd>	[1..1]	CodeSet		1154
Or}	Proprietary <Prtry>	[1..1]	±		1155
	Amount <Amt>	[1..1]	Amount	C1	1155
	RateStatus <RateSts>	[0..1]		C51	1156
{Or	Code <Cd>	[1..1]	CodeSet		1156
Or}	Proprietary <Prtry>	[1..1]	±		1156

### 16.1.22.2.1 Amount <Amt>

*Presence:* [1..1]

*Definition:* Value expressed as an amount.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

### 16.1.22.2.2 AmountAndRateStatus <AmtAndRateSts>

*Presence:* [1..1]



*Definition:* Specifies an amount and a rate status.

**AmountAndRateStatus <AmtAndRateSts>** contains the following **AmountAndRateStatus2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C1	1153
	RateStatus <RateSts>	[1..1]	CodeSet		1153

#### 16.1.22.2.2.1 Amount <Amt>

*Presence:* [1..1]

*Definition:* Value expressed as an amount.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

#### 16.1.22.2.2.2 RateStatus <RateSts>

*Presence:* [1..1]

*Definition:* Value expressed as a rate status.

*Datatype:* RateStatus1Code on page 1334

CodeName	Name	Definition
ACTU	ActualRate	Rate is actual.
INDI	IndicativeRate	Rate is indicative.

#### 16.1.22.2.3 RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>

*Presence:* [1..1]

*Definition:* Specifies different formats for the net dividend rate.

**RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>** contains the following **RateTypeAndAmountAndStatus62** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RateType <RateTp>	[1..1]			1154
{Or	Code <Cd>	[1..1]	CodeSet		1154
Or}	Proprietary <Prtry>	[1..1]	±		1155
	Amount <Amt>	[1..1]	Amount	C1	1155
	RateStatus <RateSts>	[0..1]		C51	1156
{Or	Code <Cd>	[1..1]	CodeSet		1156
Or}	Proprietary <Prtry>	[1..1]	±		1156

#### 16.1.22.2.3.1 RateType <RateTp>

*Presence:* [1..1]

*Definition:* Value expressed as a rate type.

**RateType <RateTp>** contains one of the following **RateType83Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1154
Or}	Proprietary <Prtry>	[1..1]	±		1155

#### 16.1.22.2.3.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the type of net dividend rate.

*Datatype:* [NetDividendRateType7Code](#) on page 1323

CodeName	Name	Definition
CAPO	CapitalPortion	Rate relating to the underlying security for which capital is distributed.
CDFI	ForeignIncome	Rate relating to a foreign income type such as a conduit foreign income.
FUPU	FullPeriodUnitsIncomePortion	Distribution rate relating to the full period units, for example Group I units in UK.
FLFR	FullyFranked	Rate resulting from a fully franked dividend paid by a company; the rate includes tax credit for companies that have made sufficient tax payments during the fiscal period.
INCO	IncomePortion	Rate relating to the underlying security for which income is distributed.
INTR	Interest	Rate relating to the underlying security for which interest is paid.

CodeName	Name	Definition
SOIC	SundryOrOtherIncome	Rate relating to the underlying security for which other income is paid.
TXBL	TaxablePortion	Rate relating to the underlying security for which tax is charged.
TXDF	TaxDeferred	Rate relating to the underlying security for which tax is deferred.
TXFR	TaxFree	Rate relating to the underlying security which is not taxable.
UNFR	Unfranked	Rate resulting from an unfranked dividend paid by a company; the rate does not include tax credit and is subject to withholding tax.
PAPU	PartWayPeriodUnitsIncomePortion	Distribution rate relating to the part way period units, for example Group II units in UK.
REES	RealEstatePropertyIncomePortion	Rate of income distribution originated by real estate investment.

#### 16.1.22.2.3.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the type of net dividend rate.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 16.1.22.2.3.2 Amount <Amt>

*Presence:* [1..1]

*Definition:* Value expressed as an amount.

*Impacted by:* C1 ActiveCurrency

*Datatype:* [RestrictedFINActiveCurrencyAnd13DecimalAmount](#) on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

**16.1.22.2.3.3 RateStatus <RateSts>**

*Presence:* [0..1]

*Definition:* Value expressed as a rate status.

*Impacted by:* [C51 RateStatusGuideline](#)

**RateStatus <RateSts>** contains one of the following **RateStatus4Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1156
Or}	Proprietary <Prtry>	[1..1]	±		1156

**Constraints**

- **RateStatusGuideline**

(Guideline)

The code value ACTU is the default value for a rate status.

**16.1.22.2.3.3.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Standard code to specify the status of the rate.

*Datatype:* [RateStatus1Code](#) on page 1334

CodeName	Name	Definition
ACTU	ActualRate	Rate is actual.
INDI	IndicativeRate	Rate is indicative.

**16.1.22.2.3.3.2 Proprietary <Prtry>**

*Presence:* [1..1]

*Definition:* Proprietary identification of the status of the rate.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.22.3 RateAndAmountFormat54Choice

*Definition:* Choice of format between a rate or a deemed rate type and rate or an amount or a unspecified rate.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1157
Or	Amount <Amt>	[1..1]	Amount	C1	1157
Or	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1158
	RateType <RateTp>	[1..1]			1158
{Or	Code <Cd>	[1..1]	CodeSet		1158
Or}	Proprietary <Prtry>	[1..1]	±		1159
	Amount <Amt>	[1..1]	Amount	C1	1159
	RateStatus <RateSts>	[0..1]		C51	1159
{Or	Code <Cd>	[1..1]	CodeSet		1160
Or}	Proprietary <Prtry>	[1..1]	±		1160
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			1160
	RateType <RateTp>	[1..1]			1161
{Or	Code <Cd>	[1..1]	CodeSet		1161
Or}	Proprietary <Prtry>	[1..1]	±		1161
	Rate <Rate>	[1..1]	Rate		1162

#### 16.1.22.3.1 Rate <Rate>

*Presence:* [1..1]

*Definition:* Value expressed as a rate.

*Datatype:* [PercentageRate](#) on page 1347

#### 16.1.22.3.2 Amount <Amt>

*Presence:* [1..1]

*Definition:* Value is expressed as a currency and amount.

*Impacted by:* [C1 ActiveCurrency](#)

*Datatype:* [RestrictedFINActiveCurrencyAnd13DecimalAmount](#) on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217

Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

### 16.1.22.3.3 RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>

*Presence:* [1..1]

*Definition:* Value is expressed as a rate type and an amount.

**RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>** contains the following **RateTypeAndAmountAndStatus54** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RateType <RateTp>	[1..1]			1158
{Or	Code <Cd>	[1..1]	CodeSet		1158
Or}	Proprietary <Prtry>	[1..1]	±		1159
	Amount <Amt>	[1..1]	Amount	C1	1159
	RateStatus <RateSts>	[0..1]		C51	1159
{Or	Code <Cd>	[1..1]	CodeSet		1160
Or}	Proprietary <Prtry>	[1..1]	±		1160

#### 16.1.22.3.3.1 RateType <RateTp>

*Presence:* [1..1]

*Definition:* Value expressed as a rate type.

**RateType <RateTp>** contains one of the following **DeemedRateType2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1158
Or}	Proprietary <Prtry>	[1..1]	±		1159

##### 16.1.22.3.3.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the type of deemed rate.

*Datatype:* [DeemedRateType1Code](#) on page 1310

CodeName	Name	Definition
DEDI	DeemedDividendProceeds	Deemed rate of dividend proceeds attributed to the security holder.

CodeName	Name	Definition
DEFP	DeemedFundProceeds	Deemed rate of fund proceeds attributed to the security holder.
DEIT	DeemedInterestProceeds	Deemed rate of interest proceeds attributed to the security holder.
DERY	DeemedRoyaltiesProceeds	Deemed rate of royalties proceeds attributed to the security holder.

#### 16.1.22.3.3.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the type of deemed rate.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 16.1.22.3.3.2 Amount <Amt>

*Presence:* [1..1]

*Definition:* Value expressed as an amount.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

#### 16.1.22.3.3.3 RateStatus <RateSts>

*Presence:* [0..1]

*Definition:* Value expressed as a rate status.

*Impacted by:* C51 RateStatusGuideline

**RateStatus <RateSts>** contains one of the following **RateStatus4Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1160
Or}	Proprietary <Prtry>	[1..1]	±		1160

**Constraints**

- **RateStatusGuideline**

(Guideline)

The code value ACTU is the default value for a rate status.

**16.1.22.3.3.3.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Standard code to specify the status of the rate.

*Datatype:* [RateStatus1Code](#) on page 1334

CodeName	Name	Definition
ACTU	ActualRate	Rate is actual.
INDI	IndicativeRate	Rate is indicative.

**16.1.22.3.3.3.2 Proprietary <Prtry>**

*Presence:* [1..1]

*Definition:* Proprietary identification of the status of the rate.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

**16.1.22.3.4 RateTypeAndRate <RateTpAndRate>**

*Presence:* [1..1]

*Definition:* Value is expressed as a rate type and a percentage rate.



**RateTypeAndRate <RateTpAndRate>** contains the following **RateTypeAndPercentageRate11** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RateType <RateTp>	[1..1]			1161
{Or	Code <Cd>	[1..1]	CodeSet		1161
Or}	Proprietary <Prtry>	[1..1]	±		1161
	Rate <Rate>	[1..1]	Rate		1162

**16.1.22.3.4.1 RateType <RateTp>**

*Presence:* [1..1]

*Definition:* Value expressed as a rate type.

**RateType <RateTp>** contains one of the following **DeemedRateType2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1161
Or}	Proprietary <Prtry>	[1..1]	±		1161

**16.1.22.3.4.1.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Standard code to specify the type of deemed rate.

*Datatype:* DeemedRateType1Code on page 1310

CodeName	Name	Definition
DEDI	DeemedDividendProceeds	Deemed rate of dividend proceeds attributed to the security holder.
DEFP	DeemedFundProceeds	Deemed rate of fund proceeds attributed to the security holder.
DEIT	DeemedInterestProceeds	Deemed rate of interest proceeds attributed to the security holder.
DERY	DeemedRoyaltiesProceeds	Deemed rate of royalties proceeds attributed to the security holder.

**16.1.22.3.4.1.2 Proprietary <Prtry>**

*Presence:* [1..1]

*Definition:* Proprietary identification of the type of deemed rate.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 16.1.22.3.4.2 Rate <Rate>

*Presence:* [1..1]

*Definition:* Value expressed as a rate.

*Datatype:* [PercentageRate](#) on page 1347

#### 16.1.22.4 GrossDividendRateFormat40Choice

*Definition:* Choice of format to express a gross dividend.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C1	1162
Or	AmountAndRateStatus <AmtAndRateSts>	[1..1]			1163
	Amount <Amt>	[1..1]	Amount	C1	1163
	RateStatus <RateSts>	[1..1]	CodeSet		1164
Or}	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1164
	RateType <RateTp>	[1..1]			1164
{Or	Code <Cd>	[1..1]	CodeSet		1164
Or}	Proprietary <Prtry>	[1..1]	±		1165
	Amount <Amt>	[1..1]	Amount	C1	1166
	RateStatus <RateSts>	[0..1]		C51	1166
{Or	Code <Cd>	[1..1]	CodeSet		1166
Or}	Proprietary <Prtry>	[1..1]	±		1167

#### 16.1.22.4.1 Amount <Amt>

*Presence:* [1..1]

*Definition:* Value expressed as an amount.

*Impacted by:* [C1 ActiveCurrency](#)

*Datatype:* [RestrictedFINActiveCurrencyAnd13DecimalAmount](#) on page 1259

**Constraints**

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

**16.1.22.4.2 AmountAndRateStatus <AmtAndRateSts>**

*Presence:* [1..1]

*Definition:* Specifies an amount and a rate status.

**AmountAndRateStatus <AmtAndRateSts>** contains the following **AmountAndRateStatus2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C1	1163
	RateStatus <RateSts>	[1..1]	CodeSet		1164

**16.1.22.4.2.1 Amount <Amt>**

*Presence:* [1..1]

*Definition:* Value expressed as an amount.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

**Constraints**

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005

– *Error Text:* Invalid currency code

#### 16.1.22.4.2.2 RateStatus <RateSts>

*Presence:* [1..1]

*Definition:* Value expressed as a rate status.

*Datatype:* [RateStatus1Code](#) on page 1334

CodeName	Name	Definition
ACTU	ActualRate	Rate is actual.
INDI	IndicativeRate	Rate is indicative.

#### 16.1.22.4.3 RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>

*Presence:* [1..1]

*Definition:* Specifies different formats for the gross dividend rate.

**RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>** contains the following **RateTypeAndAmountAndStatus61** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RateType <RateTp>	[1..1]			1164
{Or	Code <Cd>	[1..1]	CodeSet		1164
Or}	Proprietary <Prtry>	[1..1]	±		1165
	Amount <Amt>	[1..1]	Amount	C1	1166
	RateStatus <RateSts>	[0..1]		C51	1166
{Or	Code <Cd>	[1..1]	CodeSet		1166
Or}	Proprietary <Prtry>	[1..1]	±		1167

#### 16.1.22.4.3.1 RateType <RateTp>

*Presence:* [1..1]

*Definition:* Value expressed as a rate type.

**RateType <RateTp>** contains one of the following **RateType82Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1164
Or}	Proprietary <Prtry>	[1..1]	±		1165

#### 16.1.22.4.3.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the type of gross dividend rate.

*Datatype:* [GrossDividendRateType7Code](#) on page 1316

CodeName	Name	Definition
CAPO	CapitalPortion	Rate relating to the underlying security for which capital is distributed.
CDFI	ForeignIncome	Rate relating to a foreign income type such as a conduit foreign income.
FUPU	FullPeriodUnitsIncomePortion	Distribution rate relating to the full period units, for example Group I units in UK.
FLFR	FullyFranked	Rate resulting from a fully franked dividend paid by a company; the rate includes tax credit for companies that have made sufficient tax payments during the fiscal period.
INCO	IncomePortion	Rate relating to the underlying security for which income is distributed.
INTR	Interest	Rate relating to the underlying security for which interest is paid.
LTCG	LongTermCapitalGain	Long term capital gain.
PAPU	PartWayPeriodUnitsIncomePortion	Distribution rate relating to the part way period units, for example Group II units in UK.
REES	RealEstatePropertyIncomePortion	Rate of income distribution originated by real estate investment.
STCG	ShortTermCapitalGain	Short term capital gain.
SOIC	SundryOrOtherIncome	Rate relating to the underlying security for which other income is paid.
TXBL	TaxablePortion	Rate relating to the underlying security for which tax is charged.
TXDF	TaxDeferred	Rate relating to the underlying security for which tax is deferred.
TXFR	TaxFree	Rate relating to the underlying security which is not taxable.
UNFR	Unfranked	Rate resulting from an unfranked dividend paid by a company; the rate does not include tax credit and is subject to withholding tax.

#### 16.1.22.4.3.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the type of gross dividend rate.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.22.4.3.2 Amount <Amt>

*Presence:* [1..1]

*Definition:* Value expressed as an amount.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

### 16.1.22.4.3.3 RateStatus <RateSts>

*Presence:* [0..1]

*Definition:* Value expressed as a rate status.

*Impacted by:* C51 RateStatusGuideline

**RateStatus <RateSts>** contains one of the following **RateStatus4Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1166
Or}	Proprietary <Prtry>	[1..1]	±		1167

#### Constraints

- **RateStatusGuideline**

(Guideline)

The code value ACTU is the default value for a rate status.

### 16.1.22.4.3.3.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the status of the rate.

*Datatype:* RateStatus1Code on page 1334

CodeName	Name	Definition
ACTU	ActualRate	Rate is actual.

CodeName	Name	Definition
INDI	IndicativeRate	Rate is indicative.

#### 16.1.22.4.3.3.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the status of the rate.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 16.1.22.5 RateFormat23Choice

*Definition:* Choice between a rate or an unspecified rate.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1167
Or}	Amount <Amt>	[1..1]	Amount	C1	1167

##### 16.1.22.5.1 Rate <Rate>

*Presence:* [1..1]

*Definition:* Value is expressed as a rate.

*Datatype:* [PercentageRate](#) on page 1347

##### 16.1.22.5.2 Amount <Amt>

*Presence:* [1..1]

*Definition:* Cash amount.

*Impacted by:* [C1 ActiveCurrency](#)

*Datatype:* [RestrictedFINActiveCurrencyAnd13DecimalAmount](#) on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

### 16.1.22.6 NetDividendRateFormat41Choice

*Definition:* Choice between an amount or an unspecified rate.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C1	1168
Or	AmountAndRateStatus <AmtAndRateSts>	[1..1]			1169
	Amount <Amt>	[1..1]	Amount	C1	1169
	RateStatus <RateSts>	[1..1]	CodeSet		1169
Or}	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1170
	RateType <RateTp>	[1..1]			1170
{Or	Code <Cd>	[1..1]	CodeSet		1170
Or}	Proprietary <Prtry>	[1..1]	±		1171
	Amount <Amt>	[1..1]	Amount	C1	1171
	RateStatus <RateSts>	[0..1]		C51	1172
{Or	Code <Cd>	[1..1]	CodeSet		1172
Or}	Proprietary <Prtry>	[1..1]	±		1172

#### 16.1.22.6.1 Amount <Amt>

*Presence:* [1..1]

*Definition:* Number of monetary units specified in a currency.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.



*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

**16.1.22.6.2 AmountAndRateStatus <AmtAndRateSts>**

*Presence:* [1..1]

*Definition:* Specifies an amount and a rate status.

**AmountAndRateStatus <AmtAndRateSts>** contains the following **AmountAndRateStatus2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C1	1169
	RateStatus <RateSts>	[1..1]	CodeSet		1169

**16.1.22.6.2.1 Amount <Amt>**

*Presence:* [1..1]

*Definition:* Value expressed as an amount.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

**Constraints**

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

**16.1.22.6.2.2 RateStatus <RateSts>**

*Presence:* [1..1]

*Definition:* Value expressed as a rate status.

*Datatype:* RateStatus1Code on page 1334

CodeName	Name	Definition
ACTU	ActualRate	Rate is actual.

CodeName	Name	Definition
INDI	IndicativeRate	Rate is indicative.

### 16.1.22.6.3 RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>

*Presence:* [1..1]

*Definition:* Specifies different formats for the net dividend rate.

**RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>** contains the following **RateTypeAndAmountAndStatus60** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RateType <RateTp>	[1..1]			1170
{Or	Code <Cd>	[1..1]	CodeSet		1170
Or}	Proprietary <Prtry>	[1..1]	±		1171
	Amount <Amt>	[1..1]	Amount	C1	1171
	RateStatus <RateSts>	[0..1]		C51	1172
{Or	Code <Cd>	[1..1]	CodeSet		1172
Or}	Proprietary <Prtry>	[1..1]	±		1172

#### 16.1.22.6.3.1 RateType <RateTp>

*Presence:* [1..1]

*Definition:* Value expressed as a rate type.

**RateType <RateTp>** contains one of the following **RateType81Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1170
Or}	Proprietary <Prtry>	[1..1]	±		1171

##### 16.1.22.6.3.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the type of net dividend rate.

*Datatype:* [NetDividendRateType6Code](#) on page 1322

CodeName	Name	Definition
CAPO	CapitalPortion	Rate relating to the underlying security for which capital is distributed.
CDFI	ForeignIncome	Rate relating to a foreign income type such as a conduit foreign income.
FLFR	FullyFranked	Rate resulting from a fully franked dividend paid by a company; the rate includes tax credit for companies that

CodeName	Name	Definition
		have made sufficient tax payments during the fiscal period.
INCO	IncomePortion	Rate relating to the underlying security for which income is distributed.
INTR	Interest	Rate relating to the underlying security for which interest is paid.
REES	RealEstatePropertyIncomePortion	Rate of income distribution originated by real estate investment.
SOIC	SundryOrOtherIncome	Rate relating to the underlying security for which other income is paid.
TXBL	TaxablePortion	Rate relating to the underlying security for which tax is charged.
TXDF	TaxDeferred	Rate relating to the underlying security for which tax is deferred.
TXFR	TaxFree	Rate relating to the underlying security which is not taxable.
UNFR	Unfranked	Rate resulting from an unfranked dividend paid by a company; the rate does not include tax credit and is subject to withholding tax.

#### 16.1.22.6.3.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the type of net dividend rate.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 16.1.22.6.3.2 Amount <Amt>

*Presence:* [1..1]

*Definition:* Value expressed as an amount.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217

Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

### 16.1.22.6.3.3 RateStatus <RateSts>

*Presence:* [0..1]

*Definition:* Value expressed as a rate status.

*Impacted by:* [C51 RateStatusGuideline](#)

**RateStatus <RateSts>** contains one of the following **RateStatus4Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1172
Or}	Proprietary <Prtry>	[1..1]	±		1172

#### Constraints

- **RateStatusGuideline**

(Guideline)

The code value ACTU is the default value for a rate status.

#### 16.1.22.6.3.3.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the status of the rate.

*Datatype:* [RateStatus1Code on page 1334](#)

CodeName	Name	Definition
ACTU	ActualRate	Rate is actual.
INDI	IndicativeRate	Rate is indicative.

#### 16.1.22.6.3.3.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the status of the rate.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.22.7 GrossDividendRateFormat39Choice

*Definition:* Choice of format to express a gross dividend.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C1	1173
Or	AmountAndRateStatus <AmtAndRateSts>	[1..1]			1174
	Amount <Amt>	[1..1]	Amount	C1	1174
	RateStatus <RateSts>	[1..1]	CodeSet		1174
Or}	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1175
	RateType <RateTp>	[1..1]			1175
{Or	Code <Cd>	[1..1]	CodeSet		1175
Or}	Proprietary <Prtry>	[1..1]	±		1176
	Amount <Amt>	[1..1]	Amount	C1	1176
	RateStatus <RateSts>	[0..1]		C51	1177
{Or	Code <Cd>	[1..1]	CodeSet		1177
Or}	Proprietary <Prtry>	[1..1]	±		1177

#### 16.1.22.7.1 Amount <Amt>

*Presence:* [1..1]

*Definition:* Value expressed as an amount.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

**16.1.22.7.2 AmountAndRateStatus <AmtAndRateSts>**

*Presence:* [1..1]

*Definition:* Specifies an amount and a rate status.

**AmountAndRateStatus <AmtAndRateSts>** contains the following **AmountAndRateStatus2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C1	1174
	RateStatus <RateSts>	[1..1]	CodeSet		1174

**16.1.22.7.2.1 Amount <Amt>**

*Presence:* [1..1]

*Definition:* Value expressed as an amount.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

**Constraints**

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

**16.1.22.7.2.2 RateStatus <RateSts>**

*Presence:* [1..1]

*Definition:* Value expressed as a rate status.

*Datatype:* RateStatus1Code on page 1334

CodeName	Name	Definition
ACTU	ActualRate	Rate is actual.

CodeName	Name	Definition
INDI	IndicativeRate	Rate is indicative.

### 16.1.22.7.3 RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>

*Presence:* [1..1]

*Definition:* Specifies different formats for the gross dividend rate.

**RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>** contains the following **RateTypeAndAmountAndStatus59** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RateType <RateTp>	[1..1]			1175
{Or	Code <Cd>	[1..1]	CodeSet		1175
Or}	Proprietary <Prtry>	[1..1]	±		1176
	Amount <Amt>	[1..1]	Amount	C1	1176
	RateStatus <RateSts>	[0..1]		C51	1177
{Or	Code <Cd>	[1..1]	CodeSet		1177
Or}	Proprietary <Prtry>	[1..1]	±		1177

#### 16.1.22.7.3.1 RateType <RateTp>

*Presence:* [1..1]

*Definition:* Value expressed as a rate type.

**RateType <RateTp>** contains one of the following **RateType80Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1175
Or}	Proprietary <Prtry>	[1..1]	±		1176

##### 16.1.22.7.3.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the type of gross dividend rate.

*Datatype:* [GrossDividendRateType6Code](#) on page 1316

CodeName	Name	Definition
CAPO	CapitalPortion	Rate relating to the underlying security for which capital is distributed.
FLFR	FullyFranked	Rate resulting from a fully franked dividend paid by a company; the rate includes tax credit for companies that have made sufficient tax payments during the fiscal period.

CodeName	Name	Definition
INCO	IncomePortion	Rate relating to the underlying security for which income is distributed.
INTR	Interest	Rate relating to the underlying security for which interest is paid.
LTCG	LongTermCapitalGain	Long term capital gain.
REES	RealEstatePropertyIncomePortion	Rate of income distribution originated by real estate investment.
STCG	ShortTermCapitalGain	Short term capital gain.
SOIC	SundryOrOtherIncome	Rate relating to the underlying security for which other income is paid.
TXBL	TaxablePortion	Rate relating to the underlying security for which tax is charged.
TXDF	TaxDeferred	Rate relating to the underlying security for which tax is deferred.
TXFR	TaxFree	Rate relating to the underlying security which is not taxable.
UNFR	Unfranked	Rate resulting from an unfranked dividend paid by a company; the rate does not include tax credit and is subject to withholding tax.
CDFI	ForeignIncome	Rate relating to a foreign income type such as a conduit foreign income.

**16.1.22.7.3.1.2 Proprietary <Prtry>**

*Presence:* [1..1]

*Definition:* Proprietary identification of the type of gross dividend rate.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchemeNm>	[0..1]	Text		951

**16.1.22.7.3.2 Amount <Amt>**

*Presence:* [1..1]

*Definition:* Value expressed as an amount.

*Impacted by:* C1 ActiveCurrency

*Datatype:* [RestrictedFINActiveCurrencyAnd13DecimalAmount](#) on page 1259



**Constraints**

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

**16.1.22.7.3.3 RateStatus <RateSts>**

*Presence:* [0..1]

*Definition:* Value expressed as a rate status.

*Impacted by:* [C51 RateStatusGuideline](#)

**RateStatus <RateSts>** contains one of the following **RateStatus4Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1177
Or}	Proprietary <Prtry>	[1..1]	±		1177

**Constraints**

- **RateStatusGuideline**

(Guideline)

The code value ACTU is the default value for a rate status.

**16.1.22.7.3.3.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Standard code to specify the status of the rate.

*Datatype:* [RateStatus1Code on page 1334](#)

CodeName	Name	Definition
ACTU	ActualRate	Rate is actual.
INDI	IndicativeRate	Rate is indicative.

**16.1.22.7.3.3.2 Proprietary <Prtry>**

*Presence:* [1..1]

*Definition:* Proprietary identification of the status of the rate.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.22.8 NetDividendRateFormat44Choice

*Definition:* Choice between an amount or an unspecified rate.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C1	1178
Or	AmountAndRateStatus <AmtAndRateSts>	[1..1]			1179
	Amount <Amt>	[1..1]	Amount	C1	1179
	RateStatus <RateSts>	[1..1]	CodeSet		1179
Or	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1180
	RateType <RateTp>	[1..1]			1180
{Or	Code <Cd>	[1..1]	CodeSet		1180
Or}	Proprietary <Prtry>	[1..1]	±		1181
	Amount <Amt>	[1..1]	Amount	C1	1181
	RateStatus <RateSts>	[0..1]		C51	1182
{Or	Code <Cd>	[1..1]	CodeSet		1182
Or}	Proprietary <Prtry>	[1..1]	±		1182
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1183

#### 16.1.22.8.1 Amount <Amt>

*Presence:* [1..1]

*Definition:* Number of monetary units specified in a currency.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217

Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

### 16.1.22.8.2 AmountAndRateStatus <AmtAndRateSts>

*Presence:* [1..1]

*Definition:* Specifies an amount and a rate status.

**AmountAndRateStatus <AmtAndRateSts>** contains the following **AmountAndRateStatus2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C1	1179
	RateStatus <RateSts>	[1..1]	CodeSet		1179

#### 16.1.22.8.2.1 Amount <Amt>

*Presence:* [1..1]

*Definition:* Value expressed as an amount.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

#### 16.1.22.8.2.2 RateStatus <RateSts>

*Presence:* [1..1]

*Definition:* Value expressed as a rate status.

*Datatype:* RateStatus1Code on page 1334

CodeName	Name	Definition
ACTU	ActualRate	Rate is actual.
INDI	IndicativeRate	Rate is indicative.

### 16.1.22.8.3 RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>

*Presence:* [1..1]

*Definition:* Specifies different formats for the net dividend rate.

**RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>** contains the following **RateTypeAndAmountAndStatus62** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RateType <RateTp>	[1..1]			1180
{Or	Code <Cd>	[1..1]	CodeSet		1180
Or}	Proprietary <Prtry>	[1..1]	±		1181
	Amount <Amt>	[1..1]	Amount	C1	1181
	RateStatus <RateSts>	[0..1]		C51	1182
{Or	Code <Cd>	[1..1]	CodeSet		1182
Or}	Proprietary <Prtry>	[1..1]	±		1182

#### 16.1.22.8.3.1 RateType <RateTp>

*Presence:* [1..1]

*Definition:* Value expressed as a rate type.

**RateType <RateTp>** contains one of the following **RateType83Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1180
Or}	Proprietary <Prtry>	[1..1]	±		1181

##### 16.1.22.8.3.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the type of net dividend rate.

*Datatype:* [NetDividendRateType7Code](#) on page 1323

CodeName	Name	Definition
CAPO	CapitalPortion	Rate relating to the underlying security for which capital is distributed.
CDFI	ForeignIncome	Rate relating to a foreign income type such as a conduit foreign income.
FUPU	FullPeriodUnitsIncomePortion	Distribution rate relating to the full period units, for example Group I units in UK.

CodeName	Name	Definition
FLFR	FullyFranked	Rate resulting from a fully franked dividend paid by a company; the rate includes tax credit for companies that have made sufficient tax payments during the fiscal period.
INCO	IncomePortion	Rate relating to the underlying security for which income is distributed.
INTR	Interest	Rate relating to the underlying security for which interest is paid.
SOIC	SundryOrOtherIncome	Rate relating to the underlying security for which other income is paid.
TXBL	TaxablePortion	Rate relating to the underlying security for which tax is charged.
TXDF	TaxDeferred	Rate relating to the underlying security for which tax is deferred.
TXFR	TaxFree	Rate relating to the underlying security which is not taxable.
UNFR	Unfranked	Rate resulting from an unfranked dividend paid by a company; the rate does not include tax credit and is subject to withholding tax.
PAPU	PartWayPeriodUnitsIncomePortion	Distribution rate relating to the part way period units, for example Group II units in UK.
REES	RealEstatePropertyIncomePortion	Rate of income distribution originated by real estate investment.

#### 16.1.22.8.3.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the type of net dividend rate.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 16.1.22.8.3.2 Amount <Amt>

*Presence:* [1..1]

*Definition:* Value expressed as an amount.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

**Constraints**

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

**16.1.22.8.3.3 RateStatus <RateSts>**

*Presence:* [0..1]

*Definition:* Value expressed as a rate status.

*Impacted by:* [C51 RateStatusGuideline](#)

**RateStatus <RateSts>** contains one of the following **RateStatus4Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1182
Or}	Proprietary <Prtry>	[1..1]	±		1182

**Constraints**

- **RateStatusGuideline**

(Guideline)

The code value ACTU is the default value for a rate status.

**16.1.22.8.3.3.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Standard code to specify the status of the rate.

*Datatype:* [RateStatus1Code on page 1334](#)

CodeName	Name	Definition
ACTU	ActualRate	Rate is actual.
INDI	IndicativeRate	Rate is indicative.

**16.1.22.8.3.3.2 Proprietary <Prtry>**

*Presence:* [1..1]

*Definition:* Proprietary identification of the status of the rate.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 16.1.22.8.4 NotSpecifiedRate <NotSpcfdRate>

*Presence:* [1..1]

*Definition:* Value of the rate not specified.

*Datatype:* [RateValueType7Code](#) on page 1335

CodeName	Name	Definition
UKWN	Unknown	Rate is unknown by the sender or has not been established.

#### 16.1.22.9 GrossDividendRateFormat42Choice

*Definition:* Choice between an amount or an unspecified rate.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C1	1183
Or	AmountAndRateStatus <AmtAndRateSts>	[1..1]			1184
	Amount <Amt>	[1..1]	Amount	C1	1184
	RateStatus <RateSts>	[1..1]	CodeSet		1185
Or	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1185
	RateType <RateTp>	[1..1]			1185
{Or	Code <Cd>	[1..1]	CodeSet		1185
Or}	Proprietary <Prtry>	[1..1]	±		1186
	Amount <Amt>	[1..1]	Amount	C1	1187
	RateStatus <RateSts>	[0..1]		C51	1187
{Or	Code <Cd>	[1..1]	CodeSet		1187
Or}	Proprietary <Prtry>	[1..1]	±		1188
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1188

##### 16.1.22.9.1 Amount <Amt>

*Presence:* [1..1]

*Definition:* Number of monetary units specified in a currency.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

**Constraints**

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

**16.1.22.9.2 AmountAndRateStatus <AmtAndRateSts>**

*Presence:* [1..1]

*Definition:* Specifies an amount and a rate status.

**AmountAndRateStatus <AmtAndRateSts>** contains the following **AmountAndRateStatus2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C1	1184
	RateStatus <RateSts>	[1..1]	CodeSet		1185

**16.1.22.9.2.1 Amount <Amt>**

*Presence:* [1..1]

*Definition:* Value expressed as an amount.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

**Constraints**

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005



– *Error Text:* Invalid currency code

### 16.1.22.9.2.2 RateStatus <RateSts>

*Presence:* [1..1]

*Definition:* Value expressed as a rate status.

*Datatype:* [RateStatus1Code](#) on page 1334

CodeName	Name	Definition
ACTU	ActualRate	Rate is actual.
INDI	IndicativeRate	Rate is indicative.

### 16.1.22.9.3 RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>

*Presence:* [1..1]

*Definition:* Specifies different formats for the gross dividend rate.

**RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>** contains the following **RateTypeAndAmountAndStatus61** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RateType <RateTp>	[1..1]			1185
{Or	Code <Cd>	[1..1]	CodeSet		1185
Or}	Proprietary <Prtry>	[1..1]	±		1186
	Amount <Amt>	[1..1]	Amount	C1	1187
	RateStatus <RateSts>	[0..1]		C51	1187
{Or	Code <Cd>	[1..1]	CodeSet		1187
Or}	Proprietary <Prtry>	[1..1]	±		1188

### 16.1.22.9.3.1 RateType <RateTp>

*Presence:* [1..1]

*Definition:* Value expressed as a rate type.

**RateType <RateTp>** contains one of the following **RateType82Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1185
Or}	Proprietary <Prtry>	[1..1]	±		1186

#### 16.1.22.9.3.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the type of gross dividend rate.

*Datatype:* [GrossDividendRateType7Code](#) on page 1316

CodeName	Name	Definition
CAPO	CapitalPortion	Rate relating to the underlying security for which capital is distributed.
CDFI	ForeignIncome	Rate relating to a foreign income type such as a conduit foreign income.
FUPU	FullPeriodUnitsIncomePortion	Distribution rate relating to the full period units, for example Group I units in UK.
FLFR	FullyFranked	Rate resulting from a fully franked dividend paid by a company; the rate includes tax credit for companies that have made sufficient tax payments during the fiscal period.
INCO	IncomePortion	Rate relating to the underlying security for which income is distributed.
INTR	Interest	Rate relating to the underlying security for which interest is paid.
LTCG	LongTermCapitalGain	Long term capital gain.
PAPU	PartWayPeriodUnitsIncomePortion	Distribution rate relating to the part way period units, for example Group II units in UK.
REES	RealEstatePropertyIncomePortion	Rate of income distribution originated by real estate investment.
STCG	ShortTermCapitalGain	Short term capital gain.
SOIC	SundryOrOtherIncome	Rate relating to the underlying security for which other income is paid.
TXBL	TaxablePortion	Rate relating to the underlying security for which tax is charged.
TXDF	TaxDeferred	Rate relating to the underlying security for which tax is deferred.
TXFR	TaxFree	Rate relating to the underlying security which is not taxable.
UNFR	Unfranked	Rate resulting from an unfranked dividend paid by a company; the rate does not include tax credit and is subject to withholding tax.

### 16.1.22.9.3.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the type of gross dividend rate.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.22.9.3.2 Amount <Amt>

*Presence:* [1..1]

*Definition:* Value expressed as an amount.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

### 16.1.22.9.3.3 RateStatus <RateSts>

*Presence:* [0..1]

*Definition:* Value expressed as a rate status.

*Impacted by:* C51 RateStatusGuideline

**RateStatus <RateSts>** contains one of the following **RateStatus4Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1187
Or}	Proprietary <Prtry>	[1..1]	±		1188

#### Constraints

- **RateStatusGuideline**

(Guideline)

The code value ACTU is the default value for a rate status.

### 16.1.22.9.3.3.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the status of the rate.

*Datatype:* RateStatus1Code on page 1334

CodeName	Name	Definition
ACTU	ActualRate	Rate is actual.

CodeName	Name	Definition
INDI	IndicativeRate	Rate is indicative.

#### 16.1.22.9.3.3.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the status of the rate.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 16.1.22.9.4 NotSpecifiedRate <NotSpcfdRate>

*Presence:* [1..1]

*Definition:* Value of the rate not specified.

*Datatype:* [RateType13Code](#) on page 1334

CodeName	Name	Definition
UKWN	Unknown	Rate is unknown by the sender or has not been established.
NILP	NilPayment	Rate will not be paid.

#### 16.1.22.10 RateAndAmountFormat53Choice

*Definition:* Choice of format between a rate or a deemed rate type and rate or an amount or a unspecified rate.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1189
Or	Amount <Amt>	[1..1]	Amount	C1	1189
Or	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1190
Or	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1190
	RateType <RateTp>	[1..1]			1190
{Or	Code <Cd>	[1..1]	CodeSet		1190
Or}	Proprietary <Prtry>	[1..1]	±		1191
	Amount <Amt>	[1..1]	Amount	C1	1191
	RateStatus <RateSts>	[0..1]		C51	1192
{Or	Code <Cd>	[1..1]	CodeSet		1192
Or}	Proprietary <Prtry>	[1..1]	±		1192
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			1192
	RateType <RateTp>	[1..1]			1193
{Or	Code <Cd>	[1..1]	CodeSet		1193
Or}	Proprietary <Prtry>	[1..1]	±		1193
	Rate <Rate>	[1..1]	Rate		1194

#### 16.1.22.10.1 Rate <Rate>

*Presence:* [1..1]

*Definition:* Value expressed as a rate.

*Datatype:* PercentageRate on page 1347

#### 16.1.22.10.2 Amount <Amt>

*Presence:* [1..1]

*Definition:* Value is expressed as a currency and amount.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

**16.1.22.10.3 NotSpecifiedRate <NotSpcfdRate>**

*Presence:* [1..1]

*Definition:* Value of the rate not specified.

*Datatype:* [RateValueType7Code](#) on page 1335

CodeName	Name	Definition
UKWN	Unknown	Rate is unknown by the sender or has not been established.

**16.1.22.10.4 RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>**

*Presence:* [1..1]

*Definition:* Value is expressed as a rate type and an amount.

**RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>** contains the following **RateTypeAndAmountAndStatus54** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RateType <RateTp>	[1..1]			1190
{Or	Code <Cd>	[1..1]	CodeSet		1190
Or}	Proprietary <Prtry>	[1..1]	±		1191
	Amount <Amt>	[1..1]	Amount	C1	1191
	RateStatus <RateSts>	[0..1]		C51	1192
{Or	Code <Cd>	[1..1]	CodeSet		1192
Or}	Proprietary <Prtry>	[1..1]	±		1192

**16.1.22.10.4.1 RateType <RateTp>**

*Presence:* [1..1]

*Definition:* Value expressed as a rate type.

**RateType <RateTp>** contains one of the following **DeemedRateType2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1190
Or}	Proprietary <Prtry>	[1..1]	±		1191

**16.1.22.10.4.1.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Standard code to specify the type of deemed rate.

*Datatype:* [DeemedRateType1Code on page 1310](#)

CodeName	Name	Definition
DEDI	DeemedDividendProceeds	Deemed rate of dividend proceeds attributed to the security holder.
DEFP	DeemedFundProceeds	Deemed rate of fund proceeds attributed to the security holder.
DEIT	DeemedInterestProceeds	Deemed rate of interest proceeds attributed to the security holder.
DERY	DeemedRoyaltiesProceeds	Deemed rate of royalties proceeds attributed to the security holder.

#### 16.1.22.10.4.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the type of deemed rate.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47 on page 951](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 16.1.22.10.4.2 Amount <Amt>

*Presence:* [1..1]

*Definition:* Value expressed as an amount.

*Impacted by:* [C1 ActiveCurrency](#)

*Datatype:* [RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259](#)

#### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005

– *Error Text:* Invalid currency code

#### 16.1.22.10.4.3 RateStatus <RateSts>

*Presence:* [0..1]

*Definition:* Value expressed as a rate status.

*Impacted by:* [C51 RateStatusGuideline](#)

**RateStatus <RateSts>** contains one of the following **RateStatus4Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1192
Or}	Proprietary <Prtry>	[1..1]	±		1192

#### Constraints

- **RateStatusGuideline**

(Guideline)

The code value ACTU is the default value for a rate status.

#### 16.1.22.10.4.3.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the status of the rate.

*Datatype:* [RateStatus1Code](#) on page 1334

CodeName	Name	Definition
ACTU	ActualRate	Rate is actual.
INDI	IndicativeRate	Rate is indicative.

#### 16.1.22.10.4.3.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the status of the rate.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 16.1.22.10.5 RateTypeAndRate <RateTpAndRate>

*Presence:* [1..1]

*Definition:* Value is expressed as a rate type and a percentage rate.



**RateTypeAndRate <RateTpAndRate>** contains the following **RateTypeAndPercentageRate11** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RateType <RateTp>	[1..1]			1193
{Or	Code <Cd>	[1..1]	CodeSet		1193
Or}	Proprietary <Prtry>	[1..1]	±		1193
	Rate <Rate>	[1..1]	Rate		1194

#### 16.1.22.10.5.1 RateType <RateTp>

*Presence:* [1..1]

*Definition:* Value expressed as a rate type.

**RateType <RateTp>** contains one of the following **DeemedRateType2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1193
Or}	Proprietary <Prtry>	[1..1]	±		1193

##### 16.1.22.10.5.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the type of deemed rate.

*Datatype:* [DeemedRateType1Code](#) on page 1310

CodeName	Name	Definition
DEDI	DeemedDividendProceeds	Deemed rate of dividend proceeds attributed to the security holder.
DEFP	DeemedFundProceeds	Deemed rate of fund proceeds attributed to the security holder.
DEIT	DeemedInterestProceeds	Deemed rate of interest proceeds attributed to the security holder.
DERY	DeemedRoyaltiesProceeds	Deemed rate of royalties proceeds attributed to the security holder.

##### 16.1.22.10.5.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the type of deemed rate.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 16.1.22.10.5.2 Rate <Rate>

*Presence:* [1..1]

*Definition:* Value expressed as a rate.

*Datatype:* [PercentageRate](#) on page 1347

#### 16.1.22.11 SolicitationFeeRateFormat9Choice

*Definition:* Choice between a rate or an unspecified rate.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1194
Or	AmountToQuantity <AmtToQty>	[1..1]			1194
	Amount <Amt>	[1..1]	Amount	C1	1194
	Quantity <Qty>	[1..1]	Quantity		1195
Or}	Amount <Amt>	[1..1]	Amount	C1	1195

#### 16.1.22.11.1 Rate <Rate>

*Presence:* [1..1]

*Definition:* Value is expressed as a rate.

*Datatype:* [PercentageRate](#) on page 1347

#### 16.1.22.11.2 AmountToQuantity <AmtToQty>

*Presence:* [1..1]

*Definition:* Ratio expressed as an amount to quantity ratio.

**AmountToQuantity <AmtToQty>** contains the following **AmountAndQuantityRatio5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C1	1194
	Quantity <Qty>	[1..1]	Quantity		1195

#### 16.1.22.11.2.1 Amount <Amt>

*Presence:* [1..1]

*Definition:* Cash amount.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

#### 16.1.22.11.2.2 Quantity <Qty>

*Presence:* [1..1]

*Definition:* Quantity expressed as number.

*Datatype:* RestrictedFINDecimalNumber on page 1346

#### 16.1.22.11.3 Amount <Amt>

*Presence:* [1..1]

*Definition:* Cash amount.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

#### 16.1.22.12 RatioFormat22Choice

*Definition:* Choice of format to expressed a ratio.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	QuantityToQuantity <QtyToQty>	[1..1]	±		1196
Or	AmountToAmount <AmtToAmt>	[1..1]			1196
	Amount1 <Amt1>	[1..1]	Amount	C1	1196
	Amount2 <Amt2>	[1..1]	Amount	C1	1197
Or	AmountToQuantity <AmtToQty>	[1..1]			1197
	Amount <Amt>	[1..1]	Amount	C1	1198
	Quantity <Qty>	[1..1]	Quantity		1198
Or}	QuantityToAmount <QtyToAmt>	[1..1]			1198
	Amount <Amt>	[1..1]	Amount	C1	1198
	Quantity <Qty>	[1..1]	Quantity		1199

#### 16.1.22.12.1 QuantityToQuantity <QtyToQty>

*Presence:* [1..1]

*Definition:* Ratio expressed as a quotient of quantities.

**QuantityToQuantity <QtyToQty>** contains the following elements (see [QuantityToQuantityRatio2](#) on page 1222 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity1 <Qty1>	[1..1]	Quantity		1222
	Quantity2 <Qty2>	[1..1]	Quantity		1222

#### 16.1.22.12.2 AmountToAmount <AmtToAmt>

*Presence:* [1..1]

*Definition:* Ratio expressed as a quotient of amounts.

**AmountToAmount <AmtToAmt>** contains the following **AmountToAmountRatio3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount1 <Amt1>	[1..1]	Amount	C1	1196
	Amount2 <Amt2>	[1..1]	Amount	C1	1197

##### 16.1.22.12.2.1 Amount1 <Amt1>

*Presence:* [1..1]

*Definition:* Numerator of the quotient of amounts.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

**Constraints**

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

**16.1.22.12.2.2 Amount2 <Amt2>**

*Presence:* [1..1]

*Definition:* Denominator of the quotient of amounts.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

**Constraints**

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

**16.1.22.12.3 AmountToQuantity <AmtToQty>**

*Presence:* [1..1]

*Definition:* Ratio expressed as an amount to quantity ratio.

**AmountToQuantity <AmtToQty>** contains the following **AmountAndQuantityRatio5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C1	1198
	Quantity <Qty>	[1..1]	Quantity		1198

### 16.1.22.12.3.1 Amount <Amt>

*Presence:* [1..1]

*Definition:* Cash amount.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

### 16.1.22.12.3.2 Quantity <Qty>

*Presence:* [1..1]

*Definition:* Quantity expressed as number.

*Datatype:* RestrictedFINDecimalNumber on page 1346

### 16.1.22.12.4 QuantityToAmount <QtyToAmt>

*Presence:* [1..1]

*Definition:* Ratio expressed as a quantity to amount ratio.

**QuantityToAmount <QtyToAmt>** contains the following **AmountAndQuantityRatio5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C1	1198
	Quantity <Qty>	[1..1]	Quantity		1199

### 16.1.22.12.4.1 Amount <Amt>

*Presence:* [1..1]

*Definition:* Cash amount.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

**Constraints**

• **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

**16.1.22.12.4.2 Quantity <Qty>**

*Presence:* [1..1]

*Definition:* Quantity expressed as number.

*Datatype:* [RestrictedFINDecimalNumber on page 1346](#)

**16.1.22.13 RatioFormat21Choice**

*Definition:* Choice of format to expressed a ratio.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	QuantityToQuantity <QtyToQty>	[1..1]	±		1199
Or}	AmountToAmount <AmtToAmt>	[1..1]			1199
	Amount1 <Amt1>	[1..1]	Amount	C1	1200
	Amount2 <Amt2>	[1..1]	Amount	C1	1200

**16.1.22.13.1 QuantityToQuantity <QtyToQty>**

*Presence:* [1..1]

*Definition:* Ratio expressed as a quotient of quantities.

**QuantityToQuantity <QtyToQty>** contains the following elements (see [QuantityToQuantityRatio2 on page 1222](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity1 <Qty1>	[1..1]	Quantity		1222
	Quantity2 <Qty2>	[1..1]	Quantity		1222

**16.1.22.13.2 AmountToAmount <AmtToAmt>**

*Presence:* [1..1]

*Definition:* Ratio expressed as a quotient of amounts.

**AmountToAmount <AmtToAmt>** contains the following **AmountToAmountRatio3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount1 <Amt1>	[1..1]	Amount	C1	1200
	Amount2 <Amt2>	[1..1]	Amount	C1	1200

#### 16.1.22.13.2.1 Amount1 <Amt1>

*Presence:* [1..1]

*Definition:* Numerator of the quotient of amounts.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

##### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

#### 16.1.22.13.2.2 Amount2 <Amt2>

*Presence:* [1..1]

*Definition:* Denominator of the quotient of amounts.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

##### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005



– *Error Text:* Invalid currency code

### 16.1.22.14 InterestRateUsedForPaymentFormat9Choice

*Definition:* Choice between an amount or a rate.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1201
Or	Amount <Amt>	[1..1]	Amount	C1	1201
Or}	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1202
	RateType <RateTp>	[1..1]			1202
{Or	Code <Cd>	[1..1]	CodeSet		1202
Or}	Proprietary <Prtry>	[1..1]	±		1202
	Amount <Amt>	[1..1]	Amount	C1	1203
	RateStatus <RateSts>	[0..1]		C51	1203
{Or	Code <Cd>	[1..1]	CodeSet		1204
Or}	Proprietary <Prtry>	[1..1]	±		1204

#### 16.1.22.14.1 Rate <Rate>

*Presence:* [1..1]

*Definition:* Value is expressed as a rate.

*Datatype:* [PercentageRate on page 1347](#)

#### 16.1.22.14.2 Amount <Amt>

*Presence:* [1..1]

*Definition:* Number of monetary units specified in a currency.

*Impacted by:* [C1 ActiveCurrency](#)

*Datatype:* [RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259](#)

#### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

### 16.1.22.14.3 RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>

*Presence:* [1..1]

*Definition:* Specifies different formats for interest rate used for payment.

**RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>** contains the following **RateTypeAndAmountAndStatus32** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RateType <RateTp>	[1..1]			1202
{Or	Code <Cd>	[1..1]	CodeSet		1202
Or}	Proprietary <Prtry>	[1..1]	±		1202
	Amount <Amt>	[1..1]	Amount	C1	1203
	RateStatus <RateSts>	[0..1]		C51	1203
{Or	Code <Cd>	[1..1]	CodeSet		1204
Or}	Proprietary <Prtry>	[1..1]	±		1204

#### 16.1.22.14.3.1 RateType <RateTp>

*Presence:* [1..1]

*Definition:* Value expressed as a rate type.

**RateType <RateTp>** contains one of the following **RateType45Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1202
Or}	Proprietary <Prtry>	[1..1]	±		1202

##### 16.1.22.14.3.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the type of rate.

*Datatype:* [RateType7Code](#) on page 1334

CodeName	Name	Definition
SCHD	Scheduled	Rate of the scheduled payment.
USCD	Unscheduled	Rate of the unscheduled payment.

##### 16.1.22.14.3.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the type of rate.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 16.1.22.14.3.2 Amount <Amt>

*Presence:* [1..1]

*Definition:* Value expressed as an amount.

*Impacted by:* [C1 ActiveCurrency](#)

*Datatype:* [RestrictedFINActiveCurrencyAnd13DecimalAmount](#) on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

#### 16.1.22.14.3.3 RateStatus <RateSts>

*Presence:* [0..1]

*Definition:* Value expressed as a rate status.

*Impacted by:* [C51 RateStatusGuideline](#)

**RateStatus <RateSts>** contains one of the following **RateStatus4Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1204
Or}	Proprietary <Prtry>	[1..1]	±		1204

#### Constraints

- **RateStatusGuideline**

(Guideline)

The code value ACTU is the default value for a rate status.

### 16.1.22.14.3.3.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the status of the rate.

*Datatype:* [RateStatus1Code](#) on page 1334

CodeName	Name	Definition
ACTU	ActualRate	Rate is actual.
INDI	IndicativeRate	Rate is indicative.

### 16.1.22.14.3.3.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the status of the rate.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.22.15 RateAndAmountFormat45Choice

*Definition:* Choice of format between a rate or a rate type and rate or an amount or a unspecified rate.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1204
Or	Amount <Amt>	[1..1]	Amount	C1	1205
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			1205
	RateType <RateTp>	[1..1]			1205
{Or	Code <Cd>	[1..1]	CodeSet		1206
Or}	Proprietary <Prtry>	[1..1]	±		1206
	Rate <Rate>	[1..1]	Rate		1206

### 16.1.22.15.1 Rate <Rate>

*Presence:* [1..1]

*Definition:* Value expressed as a rate.

*Datatype:* [PercentageRate](#) on page 1347

### 16.1.22.15.2 Amount <Amt>

*Presence:* [1..1]

*Definition:* Value is expressed as a currency and amount.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

#### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

### 16.1.22.15.3 RateTypeAndRate <RateTpAndRate>

*Presence:* [1..1]

*Definition:* Value is expressed as a rate type and a percentage rate.

**RateTypeAndRate <RateTpAndRate>** contains the following **RateTypeAndPercentageRate9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RateType <RateTp>	[1..1]			1205
{Or	Code <Cd>	[1..1]	CodeSet		1206
Or}	Proprietary <Prtry>	[1..1]	±		1206
	Rate <Rate>	[1..1]	Rate		1206

#### 16.1.22.15.3.1 RateType <RateTp>

*Presence:* [1..1]

*Definition:* Value expressed as a rate type.

**RateType <RateTp>** contains one of the following **RateType46Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1206
Or}	Proprietary <Prtry>	[1..1]	±		1206

### 16.1.22.15.3.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the type of withholding tax rate.

*Datatype:* [WithholdingTaxRateType1Code](#) on page 1342

CodeName	Name	Definition
BWIT	BackUpWithholding	Withholding tax related to payments subject to back up withholding.
FTCA	FATCATax	Withholding tax related to income subject to FATCA (Foreign Account Tax Compliance Act).
NRAT	NRATax	Withholding tax related to income subject to NRA (Non Resident Alien).

### 16.1.22.15.3.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the type of withholding tax rate.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.22.15.3.2 Rate <Rate>

*Presence:* [1..1]

*Definition:* Value expressed as a rate.

*Datatype:* [PercentageRate](#) on page 1347

### 16.1.22.16 RateAndAmountFormat48Choice

*Definition:* Choice between an amount or an unspecified rate.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C1	1206
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1207

### 16.1.22.16.1 Amount <Amt>

*Presence:* [1..1]

*Definition:* Number of monetary units specified in a currency.

*Impacted by:* [C1 ActiveCurrency](#)

*Datatype:* [RestrictedFINActiveCurrencyAnd13DecimalAmount](#) on page 1259

**Constraints**

• **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

**16.1.22.16.2 NotSpecifiedRate <NotSpcfdRate>**

*Presence:* [1..1]

*Definition:* Value of the rate not specified.

*Datatype:* [RateValueType7Code on page 1335](#)

CodeName	Name	Definition
UKWN	Unknown	Rate is unknown by the sender or has not been established.

**16.1.22.17 RateFormat21Choice**

*Definition:* Choice between a rate or an unspecified rate.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1207
Or	Amount <Amt>	[1..1]	Amount	C1	1207
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1208

**16.1.22.17.1 Rate <Rate>**

*Presence:* [1..1]

*Definition:* Value is expressed as a rate.

*Datatype:* [PercentageRate on page 1347](#)

**16.1.22.17.2 Amount <Amt>**

*Presence:* [1..1]

*Definition:* Cash amount.

*Impacted by:* C1 ActiveCurrency

*Datatype:* [RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259](#)

**Constraints**

• **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

**16.1.22.17.3 NotSpecifiedRate <NotSpcfdRate>**

*Presence:* [1..1]

*Definition:* Value of the rate not specified.

*Datatype:* [RateValueType7Code on page 1335](#)

CodeName	Name	Definition
UKWN	Unknown	Rate is unknown by the sender or has not been established.

**16.1.22.18 RateAndAmountFormat43Choice**

*Definition:* Choice of format between rate and amount.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1208
Or}	Amount <Amt>	[1..1]	Amount	C1	1208

**16.1.22.18.1 Rate <Rate>**

*Presence:* [1..1]

*Definition:* Value is expressed as a rate.

*Datatype:* [PercentageRate on page 1347](#)

**16.1.22.18.2 Amount <Amt>**

*Presence:* [1..1]

*Definition:* Value is expressed as a currency and amount.

*Impacted by:* [C1 ActiveCurrency](#)

*Datatype:* [RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259](#)



**Constraints**

• **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

**16.1.22.19 RateAndAmountFormat46Choice**

*Definition:* Choice of format between a rate, an amount or a unspecified rate.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1209
Or	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1209
Or}	Amount <Amt>	[1..1]	Amount	C1	1209

**16.1.22.19.1 Rate <Rate>**

*Presence:* [1..1]

*Definition:* Value expressed as a rate.

*Datatype:* PercentageRate on page 1347

**16.1.22.19.2 NotSpecifiedRate <NotSpcfdRate>**

*Presence:* [1..1]

*Definition:* Value of the rate not specified.

*Datatype:* RateValueType7Code on page 1335

CodeName	Name	Definition
UKWN	Unknown	Rate is unknown by the sender or has not been established.

**16.1.22.19.3 Amount <Amt>**

*Presence:* [1..1]

*Definition:* Value is expressed as a currency and amount.

*Impacted by:* C1 ActiveCurrency

*Datatype:* RestrictedFINActiveCurrencyAnd13DecimalAmount on page 1259

**Constraints**

• **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

**16.1.22.20 RateAndAmountFormat38Choice**

*Definition:* Choice of format between a rate, an amount, index points or an unspecified rate.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1210
Or	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1210
Or	Amount <Amt>	[1..1]	Amount	C1	1210
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		1211

**16.1.22.20.1 Rate <Rate>**

*Presence:* [1..1]

*Definition:* Value expressed as a rate.

*Datatype:* [PercentageRate](#) on page 1347

**16.1.22.20.2 NotSpecifiedRate <NotSpcfdRate>**

*Presence:* [1..1]

*Definition:* Value of the rate not specified.

*Datatype:* [RateValueType7Code](#) on page 1335

CodeName	Name	Definition
UKWN	Unknown	Rate is unknown by the sender or has not been established.

**16.1.22.20.3 Amount <Amt>**

*Presence:* [1..1]

*Definition:* Value is expressed as a currency and amount.

*Impacted by:* [C1 ActiveCurrency](#)

*Datatype:* [ActiveCurrencyAnd13DecimalAmount](#) on page 1258

**Constraints**

• **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

**16.1.22.20.4 IndexPoints <IndxPts>**

*Presence:* [1..1]

*Definition:* Price expressed in index points.

*Datatype:* DecimalNumber on page 1345

**16.1.22.21 RateAndAmountFormat37Choice**

*Definition:* Choice of format between a rate, an amount or an unspecified rate.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1211
Or	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1211
Or}	Amount <Amt>	[1..1]	Amount	C1	1211

**16.1.22.21.1 Rate <Rate>**

*Presence:* [1..1]

*Definition:* Value expressed as a rate.

*Datatype:* PercentageRate on page 1347

**16.1.22.21.2 NotSpecifiedRate <NotSpcfdRate>**

*Presence:* [1..1]

*Definition:* Value of the rate not specified.

*Datatype:* RateValueType7Code on page 1335

CodeName	Name	Definition
UKWN	Unknown	Rate is unknown by the sender or has not been established.

**16.1.22.21.3 Amount <Amt>**

*Presence:* [1..1]

*Definition:* Value is expressed as a currency and amount.

*Impacted by:* C1 ActiveCurrency

*Datatype:* ActiveCurrencyAnd13DecimalAmount on page 1258

**Constraints**

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

**16.1.22.22 RateFormat7Choice**

*Definition:* Choice between a rate or an unspecified rate.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1212
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1212

**16.1.22.22.1 Rate <Rate>**

*Presence:* [1..1]

*Definition:* Value is expressed as a rate.

*Datatype:* PercentageRate on page 1347

**16.1.22.22.2 NotSpecifiedRate <NotSpcfdRate>**

*Presence:* [1..1]

*Definition:* Value of the rate not specified.

*Datatype:* RateType10Code on page 1334

CodeName	Name	Definition
ANYA	AnyAndAll	Any and all rate is sought.
UKWN	Unknown	Rate is unknown by the sender or has not been established.

## 16.1.23 Safekeeping Place

### 16.1.23.1 SafekeepingPlaceTypeAndText9

*Definition:* Identification of the place of safekeeping expressed as a code and a narrative description.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		1213
	Identification <Id>	[0..1]	Text		1213

#### 16.1.23.1.1 SafekeepingPlaceType <SfkpgPlcTp>

*Presence:* [1..1]

*Definition:* Place of safekeeping as a code.

*Datatype:* [SafekeepingPlace2Code](#) on page 1340

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.

#### 16.1.23.1.2 Identification <Id>

*Presence:* [0..1]

*Definition:* Additional information about the place of safekeeping.

*Datatype:* [RestrictedFINXMax30Text](#) on page 1353

### 16.1.23.2 SafekeepingPlaceFormat34Choice

*Definition:* Choice of formats for the place of safekeeping.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]	±		1214
Or	Country <Ctry>	[1..1]	CodeSet	C3	1214
Or	TypeAndIdentification <TpAndId>	[1..1]			1214
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		1214
	Identification <Id>	[1..1]	IdentifierSet	C1	1215
Or}	Proprietary <Prtry>	[1..1]			1215
	Type <Tp>	[1..1]	±		1215
	Identification <Id>	[0..1]	Text		1216

### 16.1.23.2.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Place of safekeeping expressed as a code and a narrative description.

**Identification <Id>** contains the following elements (see [SafekeepingPlaceTypeAndText9](#) on page 1213 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		1213
	Identification <Id>	[0..1]	Text		1213

### 16.1.23.2.2 Country <Ctry>

*Presence:* [1..1]

*Definition:* Place of safekeeping expressed with a country code.

*Impacted by:* [C3 Country](#)

*Datatype:* [CountryCode](#) on page 1309

#### 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.

### 16.1.23.2.3 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		1214
	Identification <Id>	[1..1]	IdentifierSet	C1	1215

### 16.1.23.2.3.1 SafekeepingPlaceType <SfkpgPlcTp>

*Presence:* [1..1]

*Definition:* Place of safekeeping as a code.

*Datatype:* [SafekeepingPlace1Code](#) on page 1340

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.

#### 16.1.23.2.3.2 Identification <Id>

*Presence:* [1..1]

*Definition:* Place of safekeeping.

*Impacted by:* C1 AnyBIC

*Datatype:* AnyBICDec2014Identifier on page 1343

#### 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.

#### 16.1.23.2.4 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Place of safekeeping expressed with a propriety identification scheme.

**Proprietary <Prtry>** contains the following **GenericIdentification89** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		1215
	Identification <Id>	[0..1]	Text		1216

#### 16.1.23.2.4.1 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 [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 16.1.23.2.4.2 Identification <Id>

*Presence:* [0..1]

*Definition:* Name or number assigned by an entity to enable recognition of that entity, for example, account identifier.

*Datatype:* [RestrictedFINXMax30Text](#) on page 1353

#### 16.1.23.3 SafekeepingPlaceFormat32Choice

*Definition:* Choice of formats for the place of safekeeping.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]	±		1216
Or	Country <Ctry>	[1..1]	CodeSet	C3	1216
Or	TypeAndIdentification <TpAndId>	[1..1]			1217
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		1217
	Identification <Id>	[1..1]	IdentifierSet	C1	1217
Or}	Proprietary <Prtry>	[1..1]	±		1218

#### 16.1.23.3.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Place of safekeeping expressed as a code and a narrative description.

**Identification <Id>** contains the following elements (see [SafekeepingPlaceTypeAndText9](#) on page 1213 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		1213
	Identification <Id>	[0..1]	Text		1213

#### 16.1.23.3.2 Country <Ctry>

*Presence:* [1..1]

*Definition:* Place of safekeeping expressed with a country code.

*Impacted by:* [C3 Country](#)

*Datatype:* [CountryCode](#) on page 1309



**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.

**16.1.23.3.3 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		1217
	Identification <Id>	[1..1]	IdentifierSet	C1	1217

**16.1.23.3.3.1 SafekeepingPlaceType <SfkpgPlcTp>**

*Presence:* [1..1]

*Definition:* Place of safekeeping as a code.

*Datatype:* [SafekeepingPlace1Code](#) on page 1340

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.

**16.1.23.3.3.2 Identification <Id>**

*Presence:* [1..1]

*Definition:* Place of safekeeping.

*Impacted by:*  C1 AnyBIC

*Datatype:* [AnyBICDec2014Identifier](#) on page 1343

**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.

**16.1.23.3.4 Proprietary <Prtry>**

*Presence:* [1..1]

*Definition:* Place of safekeeping expressed with a propriety identification scheme.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification85](#) on page 949 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		949
	Identification <Id>	[0..1]	Text		949

**16.1.23.4 SafekeepingPlaceFormat39Choice**

*Definition:* Choice between formats for the place of safekeeping.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]	±		1218
Or	Country <Ctry>	[1..1]	CodeSet	C3	1219
Or	TypeAndIdentification <TpAndId>	[1..1]			1219
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		1219
	Identification <Id>	[1..1]	IdentifierSet	C1	1220
Or}	Proprietary <Prtry>	[1..1]	±		1220

**16.1.23.4.1 Identification <Id>**

*Presence:* [1..1]

*Definition:* Place of safekeeping expressed as a code and a narrative description.

**Identification <Id>** contains the following elements (see [SafekeepingPlaceTypeAndText15](#) on page 1220 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		1221
	Identification <Id>	[0..1]	Text		1221

#### 16.1.23.4.2 Country <Ctry>

*Presence:* [1..1]

*Definition:* Place of safekeeping expressed with a country code.

*Impacted by:* [C3 Country](#)

*Datatype:* [CountryCode](#) on page 1309

##### 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.

#### 16.1.23.4.3 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		1219
	Identification <Id>	[1..1]	IdentifierSet	C1	1220

##### 16.1.23.4.3.1 SafekeepingPlaceType <SfkpgPlcTp>

*Presence:* [1..1]

*Definition:* Place of safekeeping as a code.

*Datatype:* [SafekeepingPlace1Code](#) on page 1340

CodeName	Name	Definition
CUST	SharesHeldAtLocalCustodian	Financial instruments held at a local custodian.

CodeName	Name	Definition
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.

#### 16.1.23.4.3.2 Identification <Id>

*Presence:* [1..1]

*Definition:* Place of safekeeping.

*Impacted by:* C1 AnyBIC

*Datatype:* AnyBICDec2014Identifier on page 1343

#### 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.

#### 16.1.23.4.4 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Place of safekeeping expressed with a propriety identification scheme.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification85 on page 949](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		949
	Identification <Id>	[0..1]	Text		949

#### 16.1.23.5 SafekeepingPlaceTypeAndText15

*Definition:* Identification of the place of safekeeping expressed as a code and a narrative description.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		1221
	Identification <Id>	[0..1]	Text		1221

### 16.1.23.5.1 SafekeepingPlaceType <SfkpgPlcTp>

*Presence:* [1..1]

*Definition:* Place of safekeeping as a code.

*Datatype:* [SafekeepingPlace3Code on page 1340](#)

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.

### 16.1.23.5.2 Identification <Id>

*Presence:* [0..1]

*Definition:* Additional information about the place of safekeeping.

*Datatype:* [RestrictedFINXMax30Text on page 1353](#)

## 16.1.24 Securities Quantity

### 16.1.24.1 OriginalAndCurrentQuantities4

*Definition:* Original and current value of an asset-back instrument.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FaceAmount <FaceAmt>	[1..1]	Amount		1221
	AmortisedValue <AmtsdVal>	[1..1]	Amount		1221

#### 16.1.24.1.1 FaceAmount <FaceAmt>

*Presence:* [1..1]

*Definition:* Quantity expressed as an amount representing the face amount, that is, the principal of a debt instrument.

*Datatype:* [RestrictedFINImpliedCurrencyAndAmount on page 1260](#)

#### 16.1.24.1.2 AmortisedValue <AmtsdVal>

*Presence:* [1..1]

*Definition:* Quantity expressed as an amount representing the current amortised face amount of a bond, for example, a periodic reduction/increase of a bond's principal amount.

*Datatype:* [RestrictedFINImpliedCurrencyAndAmount on page 1260](#)

## 16.1.24.2 QuantityToQuantityRatio2

*Definition:* Ratio expressed as a quotient of quantities.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity1 <Qty1>	[1..1]	Quantity		1222
	Quantity2 <Qty2>	[1..1]	Quantity		1222

### 16.1.24.2.1 Quantity1 <Qty1>

*Presence:* [1..1]

*Definition:* Numerator of the quotient of quantities.

*Datatype:* RestrictedFINDecimalNumber on page 1346

### 16.1.24.2.2 Quantity2 <Qty2>

*Presence:* [1..1]

*Definition:* Denominator of the quotient of quantities.

*Datatype:* RestrictedFINDecimalNumber on page 1346

## 16.1.25 Settlement Chain

### 16.1.25.1 SettlementParties103

*Definition:* Specifies settlement parties (delivering/receiving).

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Depository <Dpstry>	[0..1]		C3	1223
	Identification <Id>	[1..1]			1224
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1224
Or	NameAndAddress <NmAndAdr>	[1..1]	±		1224
Or}	Country <Ctry>	[1..1]	CodeSet	C3	1225
	ProcessingIdentification <PrcgId>	[0..1]	Text		1225
	Alternateldentification <Altrnld>	[0..*]	±		1225
	Party1 <Pty1>	[0..1]	±	C4, C53, C55, C57	1226
	Party2 <Pty2>	[0..1]	±	C4, C53, C55, C57	1227
	Party3 <Pty3>	[0..1]	±	C4, C53, C55, C57	1228

**Constraints**

• **Party2PresenceRule**

(Rule)

If Party 2 is present, then Party 1 must be present.

On Condition

/Party2 is present

Following Must be True

/Party1 Must be present

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00178
- *Error Text:* Invalid message content for Parties. It is mandatory to provide party 1 when party 2 is provided.

• **Party3PresenceRule**

(Rule)

If Party 3 is present, then Party 2 must be present.

On Condition

/Party3 is present

Following Must be True

/Party2 Must be present

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00179
- *Error Text:* It is mandatory to provide party 2 when party 3 is provided.

**16.1.25.1.1 Depository <Dpstry>**

*Presence:* [0..1]

*Definition:* First receiving party in the settlement chain. In a plain vanilla settlement, it is the central securities depository where the receiving side of the transaction requests to receive the financial instrument.

*Impacted by:* C3 AdditionalInformationRule

**Depository <Dpstry>** contains the following **PartyIdentification155** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			1224
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1224
Or	NameAndAddress <NmAndAdr>	[1..1]	±		1224
Or}	Country <Ctry>	[1..1]	CodeSet	C3	1225
	ProcessingIdentification <PrctlId>	[0..1]	Text		1225
	AlternateIdentification <AltrId>	[0..*]	±		1225

**Constraints**

- **AdditionalInformationRule**

(Rule)

The AdditionalInformation field in all elements must not contain information that can be provided in a structured field unless bilaterally agreed or advised differently in the element definition as in NarrativeVersion.

**16.1.25.1.1.1 Identification <Id>**

*Presence:* [1..1]

*Definition:* Identification of a party.

**Identification <Id>** contains one of the following **PartyIdentification145Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1224
Or	NameAndAddress <NmAndAdr>	[1..1]	±		1224
Or}	Country <Ctry>	[1..1]	CodeSet	C3	1225

**16.1.25.1.1.1.1 AnyBIC <AnyBIC>**

*Presence:* [1..1]

*Definition:* Unique and unambiguous way to identify an organisation.

*Impacted by:* C1 AnyBIC

*Datatype:* AnyBICDec2014Identifier on page 1343

**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.

**16.1.25.1.1.1.2 NameAndAddress <NmAndAdr>**

*Presence:* [1..1]

*Definition:* Unique and unambiguous way to identify an organisation.



**NameAndAddress <NmAndAdr>** contains the following elements (see [NameAndAddress12](#) on page 1105 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1105

### 16.1.25.1.1.1.3 Country <Ctry>

*Presence:* [1..1]

*Definition:* Unique and unambiguous way to identify an organisation.

*Impacted by:* [C3 Country](#)

*Datatype:* [CountryCode](#) on page 1309

#### 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.

### 16.1.25.1.1.2 ProcessingIdentification <Prcgld>

*Presence:* [0..1]

*Definition:* Reference meaningful to the party identified.

*Datatype:* [RestrictedFINXMax16Text](#) on page 1352

### 16.1.25.1.1.3 AlternateIdentification <Altrnid>

*Presence:* [0..\*]

*Definition:* Provides alternate identification for a party using an id type, a country code and a text field.

**AlternateIdentification <Altrnid>** contains the following elements (see [AlternatePartyIdentification9](#) on page 1097 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IdentificationType <IdTp>	[1..1]			1098
{Or	Code <Cd>	[1..1]	CodeSet		1098
Or}	Proprietary <Prtry>	[1..1]	±		1098
	Country <Ctry>	[1..1]	CodeSet	C3	1099
	AlternateIdentification <Altrnid>	[1..1]	Text		1099

### 16.1.25.1.2 Party1 <Pty1>

*Presence:* [0..1]

*Definition:* Party that interacts with the depository.

*Impacted by:* C4 AdditionalInformationRule, C53 SafekeepingAccountOrBlockChainAddress1Rule, C55 SafekeepingAccountOrBlockChainAddress2Rule, C57 SafekeepingAccountOrBlockChainAddress3Rule

**Party1 <Pty1>** contains the following elements (see PartyIdentificationAndAccount205 on page 1083 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1085
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		1085
	BlockChainAddressOrWallet <BlckChainAdrOrWllt>	[0..1]	Text		1085
	ProcessingIdentification <Prctl>	[0..1]	Text		1085
	AlternateIdentification <Altrnl>	[0..*]	±		1085

#### Constraints

- **AdditionalInformationRule**

(Rule)

The AdditionalInformation field in all elements must not contain information that can be provided in a structured field unless bilaterally agreed or advised differently in the element definition as in NarrativeVersion.

- **SafekeepingAccountOrBlockChainAddress1Rule**

(Rule)

Either SafekeepingAccount or BlockChainAddressOrWallet must be present but not both.

Following Must be True

    /SafekeepingAccount Must be present  
 Or     /BlockChainAddressOrWallet Must be present

*Error handling:*

- *Error severity:* Warning
- *Error Code:* X00582
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

- **SafekeepingAccountOrBlockChainAddress2Rule**

(Rule)

If BlockChainAddressOrWallet is present then SafekeepingAccount must be absent.

On Condition

    /BlockChainAddressOrWallet is present  
 Following Must be True  
     /SafekeepingAccount Must be absent

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00583
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

• **SafekeepingAccountOrBlockChainAddress3Rule**

(Rule)

If SafekeepingAccount is present, then BlockChainAddressOrWallet must be absent.

On Condition  
     /SafekeepingAccount is present  
 Following Must be True  
     /BlockChainAddressOrWallet Must be absent

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00584
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

**16.1.25.1.3 Party2 <Pty2>**

*Presence:* [0..1]

*Definition:* Party that interacts with the party1.

*Impacted by:* [C4 AdditionalInformationRule](#), [C53 SafekeepingAccountOrBlockChainAddress1Rule](#), [C55 SafekeepingAccountOrBlockChainAddress2Rule](#), [C57 SafekeepingAccountOrBlockChainAddress3Rule](#)

**Party2 <Pty2>** contains the following elements (see [PartyIdentificationAndAccount205](#) on page 1083 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1085
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		1085
	BlockChainAddressOrWallet <BlckChainAdrOrWllt>	[0..1]	Text		1085
	ProcessingIdentification <PrcgId>	[0..1]	Text		1085
	AlternateIdentification <AltrnId>	[0..*]	±		1085

**Constraints**

• **AdditionalInforrmationRule**

(Rule)

The AdditionalInformation field in all elements must not contain information that can be provided in a structured field unless bilaterally agreed or advised differently in the element definition as in NarrativeVersion.

- **SafekeepingAccountOrBlockChainAddress1Rule**

(Rule)

Either SafekeepingAccount or BlockChainAddressOrWallet must be present but not both.

Following Must be True

    /SafekeepingAccount Must be present

Or     /BlockChainAddressOrWallet Must be present

*Error handling:*

– *Error severity:* Warning

– *Error Code:* X00582

– *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet.  
Only one of both must be present.

- **SafekeepingAccountOrBlockChainAddress2Rule**

(Rule)

If BlockChainAddressOrWallet is present then SafekeepingAccount must be absent.

On Condition

    /BlockChainAddressOrWallet is present

Following Must be True

    /SafekeepingAccount Must be absent

*Error handling:*

– *Error severity:* Fatal

– *Error Code:* X00583

– *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet.  
Only one of both must be present.

- **SafekeepingAccountOrBlockChainAddress3Rule**

(Rule)

If SafekeepingAccount is present, then BlockChainAddressOrWallet must be absent.

On Condition

    /SafekeepingAccount is present

Following Must be True

    /BlockChainAddressOrWallet Must be absent

*Error handling:*

– *Error severity:* Fatal

– *Error Code:* X00584

– *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet.  
Only one of both must be present.

#### 16.1.25.1.4 Party3 <Pty3>

*Presence:* [0..1]

*Definition:* Party that interacts with the party2.

*Impacted by:* C4 AdditionalInformationRule, C53

SafekeepingAccountOrBlockChainAddress1Rule, C55

SafekeepingAccountOrBlockChainAddress2Rule \_\_\_\_, C57

SafekeepingAccountOrBlockChainAddress3Rule \_\_

**Party3 <Pty3>** contains the following elements (see PartyIdentificationAndAccount205 on page 1083 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1085
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		1085
	BlockChainAddressOrWallet <BlckChainAdrOrWllt>	[0..1]	Text		1085
	ProcessingIdentification <PrctlId>	[0..1]	Text		1085
	AlternateIdentification <AltrnId>	[0..*]	±		1085

**Constraints**

- **AdditionalInformationRule**

(Rule)

The AdditionalInformation field in all elements must not contain information that can be provided in a structured field unless bilaterally agreed or advised differently in the element definition as in NarrativeVersion.

- **SafekeepingAccountOrBlockChainAddress1Rule**

(Rule)

Either SafekeepingAccount or BlockChainAddressOrWallet must be present but not both.

Following Must be True

    /SafekeepingAccount Must be present

Or     /BlockChainAddressOrWallet Must be present

*Error handling:*

– *Error severity:* Warning

– *Error Code:* X00582

– *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

- **SafekeepingAccountOrBlockChainAddress2Rule**

(Rule)

If BlockChainAddressOrWallet is present then SafekeepingAccount must be absent.

On Condition

    /BlockChainAddressOrWallet is present

Following Must be True

    /SafekeepingAccount Must be absent

*Error handling:*

– *Error severity:* Fatal

– *Error Code:* X00583

- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

- **SafekeepingAccountOrBlockChainAddress3Rule**

(Rule)

If SafekeepingAccount is present, then BlockChainAddressOrWallet must be absent.

On Condition

/SafekeepingAccount is present

Following Must be True

/BlockChainAddressOrWallet Must be absent

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* X00584
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

## 16.1.26 Status

### 16.1.26.1 NoSpecifiedReason1

*Definition:* No specified reason available for the status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		1230

#### 16.1.26.1.1 NoSpecifiedReason <NoSpcfdRsn>

*Presence:* [1..1]

*Definition:* Indicates that there is no reason available or to report.

*Datatype:* NoReasonCode on page 1325

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

#### 16.1.26.2 RejectedStatus54Choice

*Definition:* Choice between a reason and no reason for the corporate action instruction processing rejected status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		1231
Or}	Reason <Rsn>	[1..*]		C5	1231
	ReasonCode <RsnCd>	[1..1]			1231
{Or	Code <Cd>	[1..1]	CodeSet		1232
Or}	Proprietary <Prtry>	[1..1]	±		1232
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		1233

### 16.1.26.2.1 NoSpecifiedReason <NoSpcfdRsn>

*Presence:* [1..1]

*Definition:* Reason not specified.

*Datatype:* NoReasonCode on page 1325

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

### 16.1.26.2.2 Reason <Rsn>

*Presence:* [1..\*]

*Definition:* Reason for the rejected status.

*Impacted by:* C5 AdditionalReasonInformationRule

**Reason <Rsn>** contains the following **RejectedStatusReason53** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ReasonCode <RsnCd>	[1..1]			1231
{Or	Code <Cd>	[1..1]	CodeSet		1232
Or}	Proprietary <Prtry>	[1..1]	±		1232
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		1233

#### Constraints

- **AdditionalReasonInformationRule**

(Rule)

The AdditionalReasonInformation element must not contain information that can be provided in a structured field unless bilaterally agreed.

### 16.1.26.2.2.1 ReasonCode <RsnCd>

*Presence:* [1..1]

*Definition:* Specifies the reason why the instruction or instruction cancellation has been rejected.

**ReasonCode <RsnCd>** contains one of the following **RejectedReason56Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1232
Or}	Proprietary <Prtry>	[1..1]	±		1232

#### 16.1.26.2.2.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the reason why the instruction/cancellation request has a rejected status.

*Datatype:* [RejectionReason79Code](#) on page 1338

CodeName	Name	Definition
ADEA	AccountServicerDeadlineMissed	Transaction/instruction received after the account servicer's specified deadline.
INIR	InstructionIrrevocable	Instruction is irrevocable.
ULNK	InvalidReference	Linked reference is unknown.
LATE	MarketDeadlineMissed	Received after market deadline.
OTHR	Other	Other. See Narrative.
DCAN	RejectedSinceAlreadyCancelled	Cancellation request was rejected since the instruction has already been cancelled.
DPRG	RejectedSinceInProgress	Cancellation request has been rejected because the instruction process is in progress or has been processed.
REJA	RejectedByIssuerAgent	Instruction rejected by the issuer agent.
CTCT	MissingContact	Contact information is missing.
DSEC	InvalidSecurity	Unrecognised or invalid financial instrument identification.
DQUA	QuantityRejection	Unrecognised or invalid instructed quantity.
PROT	MissingProtectDate	Protect date is required for cover protect instructions.
SAFE	SafekeepingAccountRejection	Unrecognised or invalid message sender's safekeeping account.
PROI	MissingProtectIdentification	Protect identification is required for cover protect instructions.
TRTI	MissingTransactionType	Transaction type is missing or invalid for protect or cover protect instructions.
DUPL	DuplicateInstruction	Instruction is rejected due to duplicate business message identifier.

#### 16.1.26.2.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]



*Definition:* Proprietary identification of the reason why the instruction/cancellation request has a rejected status.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 16.1.26.2.2 AdditionalReasonInformation <AddtlRsnInf>

*Presence:* [0..1]

*Definition:* Provides additional information about the processed instruction.

*Datatype:* [RestrictedFINXMax210Text](#) on page 1352

#### 16.1.26.3 RejectedStatus45Choice

*Definition:* Choice between a reason and no reason for the corporate action instruction processing rejected status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		1233
Or}	Reason <Rsn>	[1..*]		C4	1233
	ReasonCode <RsnCd>	[1..1]			1234
{Or	Code <Cd>	[1..1]	CodeSet		1234
Or}	Proprietary <Prtry>	[1..1]	±		1236
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		1236

##### 16.1.26.3.1 NoSpecifiedReason <NoSpcfdRsn>

*Presence:* [1..1]

*Definition:* Reason not specified.

*Datatype:* [NoReasonCode](#) on page 1325

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

##### 16.1.26.3.2 Reason <Rsn>

*Presence:* [1..\*]

*Definition:* Reason for the rejected status.

*Impacted by:* [C4 AdditionalReasonInformationRule](#)

**Reason <Rsn>** contains the following **RejectedStatusReason43** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ReasonCode <RsnCd>	[1..1]			1234
{Or	Code <Cd>	[1..1]	CodeSet		1234
Or}	Proprietary <Prtry>	[1..1]	±		1236
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		1236

**Constraints**

- **AdditionalReasonInformationRule**

(Rule)

The AdditionalReasonInformation element must not contain information that can be provided in a structured field unless bilaterally agreed.

**16.1.26.3.2.1 ReasonCode <RsnCd>**

*Presence:* [1..1]

*Definition:* Specifies the reason why the instruction or instruction cancellation has been rejected.

**ReasonCode <RsnCd>** contains one of the following **RejectedReason47Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1234
Or}	Proprietary <Prtry>	[1..1]	±		1236

**16.1.26.3.2.1.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Standard code to specify the reason why the instruction/cancellation request has a rejected status.

*Datatype:* [RejectionReason64Code](#) on page 1335

CodeName	Name	Definition
ADEA	AccountServicerDeadlineMissed	Transaction/instruction received after the account servicer's specified deadline.
CERT	IncorrectCertification	Instruction is rejected since the provided certification is incorrect or incomplete.
INVA	InvalidForTaxAuthorities	For tax reclaim, the reclaim is invalid for the tax authorities.
OPTY	InvalidOptionType	Invalid option type.
ULNK	InvalidReference	Linked reference is unknown.
DSEC	InvalidSecurity	Unrecognised or invalid financial instrument identification.
LACK	LackofSecurities	Instructed position exceeds the eligible balance.

CodeName	Name	Definition
LATE	MarketDeadlineMissed	Received after market deadline.
NMTY	Mismatch	Mismatch between option number and option type.
FULL	MissingBeneficiaryOwnerDetails	Rejected due to missing beneficiary owner details.
CANC	OptionCancelled	Option is not valid; it has been cancelled by the market or service provider, and cannot be responded to. Any responses already processed against this option are considered void and new responses will be required.
INTV	OptionInactive	Option is not active and can no longer be responded to. Any responses already processed against this option will remain valid, for example, expired option.
OPNM	OptionNumberRejection	Unrecognised option number.
OTHR	Other	Other. See Narrative.
DQUA	QuantityRejection	Unrecognised or invalid instructed quantity.
REFT	RefusedByTaxAuthorities	Reclaim is refused by the tax authorities.
SAFE	SafekeepingAccountRejection	Unrecognised or invalid message sender's safekeeping account.
EVNM	UnrecognisedIdentification	Unrecognised event number.
DQCS	AmountRejection	Unrecognised or invalid instructed cash amount.
DQCC	CurrencyRejection	Invalid instructed currency.
DQAM	InstructionTypeRejection	Invalid use of instructed amount (QCAS) or of instructed quantity (QINS) qualifiers.
IRDQ	InvalidUseRoundUpQuantity	Instruction is rejected due to invalid use of the additional round up quantity.
DQBV	InvalidBidValue	Bid price / basis points / percentage falls outside of bid range for the event (generally used in Dutch Auctions or Bid Tenders).
DQBI	InvalidBidIncrement	Bid price / basis points / percentage increments rejected due to invalid bid increment for the event (generally used in Dutch Auctions or Bid Tenders).
DCAN	RejectedSinceAlreadyCancelled	Cancellation request was rejected since the instruction has already been cancelled.
DPRG	RejectedSinceInProgress	Cancellation request has been rejected because the instruction process is in progress or has been processed.
INIR	InstructionIrrevocable	Instruction is irrevocable.
SHAR	ShareholderNumberRejection	Unrecognised, missing or invalid shareholder number.

CodeName	Name	Definition
BSTR	BeforeInstructionPeriod	Instruction is submitted before instruction start date.
CTCT	MissingContact	Contact information is missing.
DUPL	DuplicateInstruction	Instruction is rejected due to duplicate business message identifier.
PROI	MissingProtectIdentification	Protect identification is required for cover protect instructions.
PROT	MissingProtectDate	Protect date is required for cover protect instructions.
PRON	NoProtectPrivilege	No protect privilege for this event.
TRTI	MissingTransactionType	Transaction type is missing or invalid for protect or cover protect instructions.
REJA	RejectedByIssuerAgent	Instruction rejected by the issuer agent.
IPAW	InvalidPaperwork	Required paperwork is invalid, incomplete or missing.

#### 16.1.26.3.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the reason why the instruction/cancellation request has a rejected status.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 16.1.26.3.2.2 AdditionalReasonInformation <AddtlRsnInf>

*Presence:* [0..1]

*Definition:* Provides additional information about the processed instruction.

*Datatype:* [RestrictedFINMax210Text](#) on page 1351

#### 16.1.26.4 RejectedStatus46Choice

*Definition:* Choice between a reason and no reason for the corporate action instruction processing rejected status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		1237
Or}	Reason <Rsn>	[1..*]		C5	1237
	ReasonCode <RsnCd>	[1..1]			1237
{Or	Code <Cd>	[1..1]	CodeSet		1238
Or}	Proprietary <Prtry>	[1..1]	±		1240
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		1240

#### 16.1.26.4.1 NoSpecifiedReason <NoSpcfdRsn>

*Presence:* [1..1]

*Definition:* Reason not specified.

*Datatype:* NoReasonCode on page 1325

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

#### 16.1.26.4.2 Reason <Rsn>

*Presence:* [1..\*]

*Definition:* Reason for the rejected status.

*Impacted by:* C5 AdditionalReasonInformationRule

**Reason <Rsn>** contains the following **RejectedStatusReason44** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ReasonCode <RsnCd>	[1..1]			1237
{Or	Code <Cd>	[1..1]	CodeSet		1238
Or}	Proprietary <Prtry>	[1..1]	±		1240
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		1240

#### Constraints

- **AdditionalReasonInformationRule**

(Rule)

The AdditionalReasonInformation element must not contain information that can be provided in a structured field unless bilaterally agreed.

#### 16.1.26.4.2.1 ReasonCode <RsnCd>

*Presence:* [1..1]

*Definition:* Specifies the reason why the instruction or instruction cancellation has been rejected.

**ReasonCode <RsnCd>** contains one of the following **RejectedReason46Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1238
Or}	Proprietary <Prtry>	[1..1]	±		1240

#### 16.1.26.4.2.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the reason why the instruction/cancellation request has a rejected status.

*Datatype:* [RejectionReason66Code](#) on page 1337

CodeName	Name	Definition
ADEA	AccountServicerDeadlineMissed	Transaction/instruction received after the account servicer's specified deadline.
CERT	IncorrectCertification	Instruction is rejected since the provided certification is incorrect or incomplete.
INVA	InvalidForTaxAuthorities	For tax reclaim, the reclaim is invalid for the tax authorities.
OPTY	InvalidOptionType	Invalid option type.
ULNK	InvalidReference	Linked reference is unknown.
DSEC	InvalidSecurity	Unrecognised or invalid financial instrument identification.
LACK	LackofSecurities	Instructed position exceeds the eligible balance.
LATE	MarketDeadlineMissed	Received after market deadline.
NMTY	Mismatch	Mismatch between option number and option type.
FULL	MissingBeneficiaryOwnerDetails	Rejected due to missing beneficiary owner details.
CANC	OptionCancelled	Option is not valid; it has been cancelled by the market or service provider, and cannot be responded to. Any responses already processed against this option are considered void and new responses will be required.
INTV	OptionInactive	Option is not active and can no longer be responded to. Any responses already processed against this option will remain valid, for example, expired option.
OPNM	OptionNumberRejection	Unrecognised option number.
OTHR	Other	Other. See Narrative.
DQUA	QuantityRejection	Unrecognised or invalid instructed quantity.
REFT	RefusedByTaxAuthorities	Reclaim is refused by the tax authorities.

CodeName	Name	Definition
SAFE	SafekeepingAccountRejection	Unrecognised or invalid message sender's safekeeping account.
EVNM	UnrecognisedIdentification	Unrecognised event number.
DQCS	AmountRejection	Unrecognised or invalid instructed cash amount.
DQCC	CurrencyRejection	Invalid instructed currency.
DQAM	InstructionTypeRejection	Invalid use of instructed amount (QCAS) or of instructed quantity (QINS) qualifiers.
IRDQ	InvalidUseRoundUpQuantity	Instruction is rejected due to invalid use of the additional round up quantity.
DQBV	InvalidBidValue	Bid price / basis points / percentage falls outside of bid range for the event (generally used in Dutch Auctions or Bid Tenders).
DQBI	InvalidBidIncrement	Bid price / basis points / percentage increments rejected due to invalid bid increment for the event (generally used in Dutch Auctions or Bid Tenders).
SHAR	ShareholderNumberRejection	Unrecognised, missing or invalid shareholder number.
ITAX	IncorrectTaxRate	Tax rate provided is incorrect. It falls outside the acceptable values for that investment country.
NTAX	InconsistentTaxRate	Tax rate is not consistent with the documentation in place.
MTAX	MissingTaxRate	Tax rate is missing.
ISOL	InvalidSolicitationDealerFeeUse	Invalid use of solicitation dealer fee indicator.
BSTR	BeforeInstructionPeriod	Instruction is submitted before instruction start date.
CTCT	MissingContact	Contact information is missing.
DUPL	DuplicateInstruction	Instruction is rejected due to duplicate business message identifier.
PROI	MissingProtectIdentification	Protect identification is required for cover protect instructions.
PRON	NoProtectPrivilege	No protect privilege for this event.
PROT	MissingProtectDate	Protect date is required for cover protect instructions.
TRTI	MissingTransactionType	Transaction type is missing or invalid for protect or cover protect instructions.
IPAW	InvalidPaperwork	Required paperwork is invalid, incomplete or missing.
REJA	RejectedByIssuerAgent	Instruction rejected by the issuer agent.

### 16.1.26.4.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the reason why the instruction/cancellation request has a rejected status.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.26.4.2.2 AdditionalReasonInformation <AddtlRsnInf>

*Presence:* [0..1]

*Definition:* Provides additional information about the processed instruction.

*Datatype:* [RestrictedFINXMax210Text](#) on page 1352

### 16.1.26.5 PendingReason64Choice

*Definition:* Choice between a standard code and a proprietary code to specify the reason why the instruction/event has a pending status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1240
Or}	Proprietary <Prtry>	[1..1]	±		1241

### 16.1.26.5.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the reason why the instruction/event has a pending status.

*Datatype:* [PendingReason23Code](#) on page 1330

CodeName	Name	Definition
ADEA	AccountServicerDeadlineMissed	Instruction was received after the account servicer's deadline. Processed on best effort basis.
OTHR	Other	Other. See Narrative.
FULL	PendingBeneficiaryOwnerDetails	Pending receipt of beneficiary owner details.
MCER	MissingCertification	Awaiting receipt of adequate certification.
MONY	InsufficientMoney	Insufficient money in your account.
LACK	LackOfSecurities	Insufficient financial instruments in your account.



CodeName	Name	Definition
LATE	MarketDeadlineMissed	Instruction was received after market deadline.
DQUA	QuantityDisagreement	Quantity of financial instruments does not match.
PENR	PendingReceipt	The instruction is pending receipt of securities, for example, from a purchase or loan.
CERT	WrongCertificatesNumbers	Certificate number error.
DQCS	DisagreementOnCashAmount	Unrecognised or invalid instructed cash amount.
ITAX	IncorrectTaxRate	Tax rate provided is incorrect. It falls outside the acceptable values for that investment country.
NTAX	InconsistentTaxRate	Tax rate is not consistent with the documentation in place.
MTAX	MissingTaxRate	Tax rate is missing.
SNAV	SystemNotAvailable	System is not available. Instruction is sent outside of business hours.
BSTR	BeforeInstructionPeriod	Instruction is submitted before instruction start date.
IPAW	InvalidPaperwork	Required paperwork is invalid, incomplete or missing.

#### 16.1.26.5.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the reason why the instruction/event has a pending status.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 16.1.26.6 PendingReason55Choice

*Definition:* Choice between a standard code and a proprietary code to specify the reason why the instruction/event has a pending status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1242
Or}	Proprietary <Prtry>	[1..1]	±		1242

### 16.1.26.6.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the reason why the instruction/event has a pending status.

*Datatype:* PendingReason19Code on page 1329

CodeName	Name	Definition
NSEC	NotDelivered	Financial instruments have not been delivered by the issuer.
NPAY	NoPayment	Payment has not been made by issuer.
OTHR	Other	Other. See Narrative.
AUTH	SentToTaxAuthorities	Tax reclaim has been sent to the tax authorities.
VLDA	ValidForTaxAuthorities	For tax reclaim, the event is pending, the tax reclaim is valid for the tax authorities.
MCER	MissingCertification	Awaiting receipt of adequate certification.

### 16.1.26.6.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the reason why the instruction/event has a pending status.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchemeNm>	[0..1]	Text		951

### 16.1.26.7 PendingStatus68Choice

*Definition:* Choice between a reason or no reason for the corporate action instruction processing pending status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		1242
Or}	Reason <Rsn>	[1..*]		C6	1243
	ReasonCode <RsnCd>	[1..1]	±		1243
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		1243

#### 16.1.26.7.1 NoSpecifiedReason <NoSpcfdRsn>

*Presence:* [1..1]

*Definition:* Reason not specified.

*Datatype:* [NoReasonCode on page 1325](#)

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

### 16.1.26.7.2 Reason <Rsn>

*Presence:* [1..\*]

*Definition:* Reason for the pending status.

*Impacted by:* [C6 AdditionalReasonInformationRule](#)

**Reason <Rsn>** contains the following **PendingStatusReason25** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ReasonCode <RsnCd>	[1..1]	±		1243
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		1243

#### Constraints

- **AdditionalReasonInformationRule**

(Rule)

The AdditionalReasonInformation element must not contain information that can be provided in a structured field unless bilaterally agreed.

#### 16.1.26.7.2.1 ReasonCode <RsnCd>

*Presence:* [1..1]

*Definition:* Specifies the reason why the instruction's processing is pending.

**ReasonCode <RsnCd>** contains one of the following elements (see [PendingReason64Choice on page 1240](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1240
Or}	Proprietary <Prtry>	[1..1]	±		1241

#### 16.1.26.7.2.2 AdditionalReasonInformation <AddtlRsnInf>

*Presence:* [0..1]

*Definition:* Provides additional information about the processed instruction.

*Datatype:* [RestrictedFINXMax210Text on page 1352](#)

### 16.1.26.8 PendingStatus59Choice

*Definition:* Choice between a reason or no reason for the corporate action event processing pending status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		1244
Or}	Reason <Rsn>	[1..*]		C1	1244
	ReasonCode <RsnCd>	[1..1]	±		1244
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		1245

### 16.1.26.8.1 NoSpecifiedReason <NoSpcfdRsn>

*Presence:* [1..1]

*Definition:* Reason not specified.

*Datatype:* [NoReasonCode](#) on page 1325

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

### 16.1.26.8.2 Reason <Rsn>

*Presence:* [1..\*]

*Definition:* Reason for the pending status.

*Impacted by:* [C1 AdditionalReasonInformationRule](#)

**Reason <Rsn>** contains the following **PendingStatusReason19** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ReasonCode <RsnCd>	[1..1]	±		1244
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		1245

#### Constraints

- **AdditionalReasonInformationRule**

(Rule)

The AdditionalReasonInformation element must not contain information that can be provided in a structured field unless bilaterally agreed.

### 16.1.26.8.2.1 ReasonCode <RsnCd>

*Presence:* [1..1]

*Definition:* Specifies the reason why the instruction's processing is pending.

**ReasonCode <RsnCd>** contains one of the following elements (see [PendingReason55Choice](#) on page 1241 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1242
Or}	Proprietary <Prtry>	[1..1]	±		1242

#### 16.1.26.8.2.2 AdditionalReasonInformation <AddtlRsnInf>

*Presence:* [0..1]

*Definition:* Provides additional information about the processed instruction.

*Datatype:* [RestrictedFINXMax210Text](#) on page 1352

#### 16.1.26.9 PendingCancellationStatus9Choice

*Definition:* Choice between a reason or no reason for the corporate action instruction cancellation pending cancellation status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NotSpecifiedReason <NotSpcfdRsn>	[1..1]	CodeSet		1245
Or}	Reason <Rsn>	[1..*]		C1, C5	1245
	ReasonCode <RsnCd>	[1..1]			1246
{Or	Code <Cd>	[1..1]	CodeSet		1246
Or}	Proprietary <Prtry>	[1..1]	±		1247
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		1247

##### 16.1.26.9.1 NotSpecifiedReason <NotSpcfdRsn>

*Presence:* [1..1]

*Definition:* Reason not specified.

*Datatype:* [NoReasonCode](#) on page 1325

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

##### 16.1.26.9.2 Reason <Rsn>

*Presence:* [1..\*]

*Definition:* Reason for the pending cancellation status.

*Impacted by:* [C1 AccountServicerDeadlineMissedGuideline](#), [C5 AdditionalReasonInformationRule](#)

**Reason <Rsn>** contains the following **PendingCancellationStatusReason9** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ReasonCode <RsnCd>	[1..1]			1246
{Or	Code <Cd>	[1..1]	CodeSet		1246
Or}	Proprietary <Prtry>	[1..1]	±		1247
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		1247

**Constraints**

- **AccountServicerDeadlineMissedGuideline**

(Rule)

When ReasonCode/Code is ADEA (Account Servicer Deadline Missed), the instruction is assumed to be processed "on a best effort basis" by the account servicer.

- **AdditionalReasonInformationRule**

(Rule)

The AdditionalReasonInformation element must not contain information that can be provided in a structured field unless bilaterally agreed.

**16.1.26.9.2.1 ReasonCode <RsnCd>**

*Presence:* [1..1]

*Definition:* Specifies the reason why the cancellation request is pending.

**ReasonCode <RsnCd>** contains one of the following **PendingCancellationReason6Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1246
Or}	Proprietary <Prtry>	[1..1]	±		1247

**16.1.26.9.2.1.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Standard code to specify the reason why a cancellation request sent for the related instruction is pending.

*Datatype:* [PendingCancellationReason5Code on page 1329](#)

CodeName	Name	Definition
ADEA	AccountServicerDeadlineMissed	Transaction/instruction received after the account servicer's specified deadline.
DQUA	QuantityRejection	Unrecognised or invalid instructed quantity.
DQCS	AmountRejection	Unrecognised or invalid instructed cash amount.
LATE	MarketDeadlineMissed	Received after market deadline.

CodeName	Name	Definition
OTHR	Other	Other. See Narrative.

#### 16.1.26.9.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the reason why a cancellation request sent for the related instruction is pending.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 16.1.26.9.2.2 AdditionalReasonInformation <AddtlRsnInf>

*Presence:* [0..1]

*Definition:* Provides additional information about the processed instruction.

*Datatype:* [RestrictedFINMax210Text](#) on page 1351

#### 16.1.26.10 ProprietaryReason5

*Definition:* Proprietary identification of the reason related to a status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]	±		1247
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		1248

#### Constraints

- **AdditionalReasonInforrmationRule**

(Rule)

The AdditionalReasonInformation element must not contain information that can be provided in a structured field unless bilaterally agreed.

#### 16.1.26.10.1 Reason <Rsn>

*Presence:* [0..1]

*Definition:* Proprietary identification of the reason related to a status.

**Reason <Rsn>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.26.10.2 AdditionalReasonInformation <AddtlRsnInf>

*Presence:* [0..1]

*Definition:* Provides additional information about the processed instruction.

*Datatype:* [RestrictedFINXMax210Text](#) on page 1352

### 16.1.26.11 PendingCancellationStatus8Choice

*Definition:* Choice between a reason or no reason for the corporate action instruction cancellation pending cancellation status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NotSpecifiedReason <NotSpcfdRsn>	[1..1]	CodeSet		1248
Or}	Reason <Rsn>	[1..*]		C1, C6	1248
	ReasonCode <RsnCd>	[1..1]			1249
{Or	Code <Cd>	[1..1]	CodeSet		1249
Or}	Proprietary <Prtry>	[1..1]	±		1250
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		1250

#### 16.1.26.11.1 NotSpecifiedReason <NotSpcfdRsn>

*Presence:* [1..1]

*Definition:* Reason not specified.

*Datatype:* [NoReasonCode](#) on page 1325

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

#### 16.1.26.11.2 Reason <Rsn>

*Presence:* [1..\*]

*Definition:* Reason for the pending cancellation status.

*Impacted by:* [C1 AccountServicerDeadlineMissedGuideline](#), [C6 AdditionalReasonInformationRule](#)



**Reason <Rsn>** contains the following **PendingCancellationStatusReason8** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ReasonCode <RsnCd>	[1..1]			1249
{Or	Code <Cd>	[1..1]	CodeSet		1249
Or}	Proprietary <Prtry>	[1..1]	±		1250
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		1250

**Constraints**

- **AccountServicerDeadlineMissedGuideline**

(Rule)

When ReasonCode/Code is ADEA (Account Servicer Deadline Missed), the instruction is assumed to be processed "on a best effort basis" by the account servicer.

- **AdditionalReasonInformationRule**

(Rule)

The AdditionalReasonInformation element must not contain information that can be provided in a structured field unless bilaterally agreed.

**16.1.26.11.2.1 ReasonCode <RsnCd>**

*Presence:* [1..1]

*Definition:* Specifies the reason why the cancellation request is pending.

**ReasonCode <RsnCd>** contains one of the following **PendingCancellationReason6Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1249
Or}	Proprietary <Prtry>	[1..1]	±		1250

**16.1.26.11.2.1.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Standard code to specify the reason why a cancellation request sent for the related instruction is pending.

*Datatype:* [PendingCancellationReason5Code on page 1329](#)

CodeName	Name	Definition
ADEA	AccountServicerDeadlineMissed	Transaction/instruction received after the account servicer's specified deadline.
DQUA	QuantityRejection	Unrecognised or invalid instructed quantity.
DQCS	AmountRejection	Unrecognised or invalid instructed cash amount.
LATE	MarketDeadlineMissed	Received after market deadline.

CodeName	Name	Definition
OTHR	Other	Other. See Narrative.

### 16.1.26.11.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the reason why a cancellation request sent for the related instruction is pending.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

### 16.1.26.11.2.2 AdditionalReasonInformation <AddtlRsnInf>

*Presence:* [0..1]

*Definition:* Provides additional information about the processed instruction.

*Datatype:* [RestrictedFINXMax210Text](#) on page 1352

### 16.1.26.12 CancelledStatus14Choice

*Definition:* Choice between a reason or no reason for the corporate action instruction or instruction cancellation cancelled/cancellation completed status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		1250
Or}	Reason <Rsn>	[1..*]		C4	1251
	ReasonCode <RsnCd>	[1..1]			1251
{Or	Code <Cd>	[1..1]	CodeSet		1251
Or}	Proprietary <Prtry>	[1..1]	±		1251
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		1252

### 16.1.26.12.1 NoSpecifiedReason <NoSpcfdRsn>

*Presence:* [1..1]

*Definition:* Reason not specified.

*Datatype:* [NoReasonCode](#) on page 1325

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

### 16.1.26.12.2 Reason <Rsn>

*Presence:* [1..\*]

*Definition:* Reason for the cancelled status.

*Impacted by:* [C4 AdditionalReasonInformationRule](#)

**Reason <Rsn>** contains the following **CancelledStatusReason13** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ReasonCode <RsnCd>	[1..1]			1251
{Or	Code <Cd>	[1..1]	CodeSet		1251
Or}	Proprietary <Prtry>	[1..1]	±		1251
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		1252

#### Constraints

- **AdditionalReasonInformationRule**

(Rule)

The AdditionalReasonInformation element must not contain information that can be provided in a structured field unless bilaterally agreed.

#### 16.1.26.12.2.1 ReasonCode <RsnCd>

*Presence:* [1..1]

*Definition:* Specifies the reason why the instruction or instruction cancellation has been cancelled.

**ReasonCode <RsnCd>** contains one of the following **CancelledReason10Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1251
Or}	Proprietary <Prtry>	[1..1]	±		1251

#### 16.1.26.12.2.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the reason why the instruction is cancelled.

*Datatype:* [CancelledStatusReason5Code](#) on page 1269

CodeName	Name	Definition
CANI	CancelledByYourself	Transaction is cancelled by yourself.
OTHR	Other	Other. See Narrative.

#### 16.1.26.12.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification specifying the reason why the instruction is cancelled.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 16.1.26.12.2 AdditionalReasonInformation <AddtIRsnInf>

*Presence:* [0..1]

*Definition:* Provides additional information about the processed instruction.

*Datatype:* [RestrictedFINXMax210Text](#) on page 1352

#### 16.1.26.13 ProprietaryStatusAndReason7

*Definition:* Provides the proprietary status and reason of an instruction or an instruction cancellation.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ProprietaryStatus <PrtrySts>	[1..1]	±		1252
	ProprietaryReason <PrtryRsn>	[0..*]	±	C2	1252

#### 16.1.26.13.1 ProprietaryStatus <PrtrySts>

*Presence:* [1..1]

*Definition:* Proprietary identification of the status related to an instruction.

**ProprietaryStatus <PrtrySts>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 16.1.26.13.2 ProprietaryReason <PrtryRsn>

*Presence:* [0..\*]

*Definition:* Proprietary identification of the reason related to a proprietary status.

*Impacted by:* [C2 AdditionalReasonInformationRule](#)

**ProprietaryReason <PrtryRsn>** contains the following elements (see [ProprietaryReason5](#) on page 1247 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[0..1]	±		1247
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		1248

**Constraints**

- **AdditionalReasonInformationRule**

(Rule)

The AdditionalReasonInformation element must not contain information that can be provided in a structured field unless bilaterally agreed.

**16.1.26.14 AcceptedStatus9Choice**

*Definition:* Choice between a reason or no reason for the corporate action instruction processing accepted status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		1253
Or}	Reason <Rsn>	[1..*]		C4	1253
	ReasonCode <RsnCd>	[1..1]			1254
{Or	Code <Cd>	[1..1]	CodeSet		1254
Or}	Proprietary <Prtry>	[1..1]	±		1254
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		1255

**16.1.26.14.1 NoSpecifiedReason <NoSpcfdRsn>**

*Presence:* [1..1]

*Definition:* Reason not specified.

*Datatype:* [NoReasonCode](#) on page 1325

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

**16.1.26.14.2 Reason <Rsn>**

*Presence:* [1..\*]

*Definition:* Reason for the accepted status.

*Impacted by:* [C4 AdditionalReasonInformationRule](#)

**Reason <Rsn>** contains the following **AcceptedStatusReason10** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ReasonCode <RsnCd>	[1..1]			1254
{Or	Code <Cd>	[1..1]	CodeSet		1254
Or}	Proprietary <Prtry>	[1..1]	±		1254
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		1255

**Constraints**

- **AdditionalReasonInformationRule**

(Rule)

The AdditionalReasonInformation element must not contain information that can be provided in a structured field unless bilaterally agreed.

**16.1.26.14.2.1 ReasonCode <RsnCd>**

*Presence:* [1..1]

*Definition:* Specifies the reason why the instruction or instruction cancellation has been accepted.

**ReasonCode <RsnCd>** contains one of the following **AcceptedReason11Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1254
Or}	Proprietary <Prtry>	[1..1]	±		1254

**16.1.26.14.2.1.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Standard code to specify additional information about the processed instruction.

*Datatype:* AcknowledgementReason7Code on page 1261

CodeName	Name	Definition
NSTP	NotStraightThroughProcessing	Instruction was not straight through processing and had to be processed manually.
OTHR	Other	Other. See Narrative.

**16.1.26.14.2.1.2 Proprietary <Prtry>**

*Presence:* [1..1]

*Definition:* Proprietary identification of additional information about the processed instruction.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 16.1.26.14.2.2 AdditionalReasonInformation <AddtlRsnInf>

*Presence:* [0..1]

*Definition:* Provides additional information about the processed instruction.

*Datatype:* [RestrictedFINXMax210Text](#) on page 1352

#### 16.1.26.15 CancelledStatus15Choice

*Definition:* Choice between a reason or no reason for the corporate action instruction or instruction cancellation cancelled/cancellation completed status.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		1255
Or}	Reason <Rsn>	[1..*]		C3	1255
	ReasonCode <RsnCd>	[1..1]			1256
{Or	Code <Cd>	[1..1]	CodeSet		1256
Or}	Proprietary <Prtry>	[1..1]	±		1256
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		1257

#### 16.1.26.15.1 NoSpecifiedReason <NoSpcfdRsn>

*Presence:* [1..1]

*Definition:* Reason not specified.

*Datatype:* [NoReasonCode](#) on page 1325

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

#### 16.1.26.15.2 Reason <Rsn>

*Presence:* [1..\*]

*Definition:* Reason for the cancelled status.

*Impacted by:* [C3 AdditionalReasonInformationRule](#)

**Reason <Rsn>** contains the following **CancelledStatusReason14** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ReasonCode <RsnCd>	[1..1]			1256
{Or	Code <Cd>	[1..1]	CodeSet		1256
Or}	Proprietary <Prtry>	[1..1]	±		1256
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		1257

**Constraints**

- **AdditionalReasonInformationRule**

(Rule)

The AdditionalReasonInformation element must not contain information that can be provided in a structured field unless bilaterally agreed.

**16.1.26.15.2.1 ReasonCode <RsnCd>**

*Presence:* [1..1]

*Definition:* Specifies the reason why the instruction or instruction cancellation has been cancelled.

**ReasonCode <RsnCd>** contains one of the following **CancelledReason11Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1256
Or}	Proprietary <Prtry>	[1..1]	±		1256

**16.1.26.15.2.1.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Standard code to specify the reason why the instruction is cancelled.

*Datatype:* CancelledStatusReason6Code on page 1269

CodeName	Name	Definition
CANI	CancelledByYourself	Transaction is cancelled by yourself.
CANO	CancelledByOther	Transaction is cancelled by a party other than the instructing party, for example, a market infrastructure such as a stock exchange.
CANS	CancelledBySystem	Transaction is cancelled by the system.
CSUB	CancelledByAgent	Instruction has been cancelled by the agent due to an event deadline extension.
OTHR	Other	Other. See Narrative.

**16.1.26.15.2.1.2 Proprietary <Prtry>**

*Presence:* [1..1]



*Definition:* Proprietary identification specifying the reason why the instruction is cancelled.

**Proprietary <Prtry>** contains the following elements (see [GenericIdentification47](#) on page 951 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		951
	Issuer <Issr>	[1..1]	Text		951
	SchemeName <SchmeNm>	[0..1]	Text		951

#### 16.1.26.15.2.2 AdditionalReasonInformation <AddtlRsnInf>

*Presence:* [0..1]

*Definition:* Provides additional information about the processed instruction.

*Datatype:* [RestrictedFINXMax210Text](#) on page 1352

## 16.1.27 System Identification

### 16.1.27.1 ClearingSystemIdentification2Choice

*Definition:* Choice of a clearing system identifier.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1257
Or}	Proprietary <Prtry>	[1..1]	Text		1257

#### 16.1.27.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Identification of a clearing system, in a coded form as published in an external list.

*Datatype:* [ExternalClearingSystemIdentification1Code](#) on page 1313

#### 16.1.27.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Identification code for a clearing system, that has not yet been identified in the list of clearing systems.

*Datatype:* [Max35Text](#) on page 1349

## 16.2 Message Datatypes

### 16.2.1 Amount

#### 16.2.1.1 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 1261

#### 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

#### 16.2.1.2 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

### 16.2.1.3 RestrictedFINActiveCurrencyAnd13DecimalAmount

*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 1261

#### Format

minInclusive	0
totalDigits	14
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

### 16.2.1.4 RestrictedFINActiveCurrencyAndAmount

*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 1261

### Format

minInclusive	0
totalDigits	14
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

## 16.2.1.5 RestrictedFINImpliedCurrencyAndAmount

*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	14
fractionDigits	5

## 16.2.2 CodeSet

### 16.2.2.1 AcknowledgementReason7Code

*Definition:* Specifies additional information about the processed instruction.

*Type:* CodeSet

CodeName	Name	Definition
NSTP	NotStraightThroughProcessing	Instruction was not straight through processing and had to be processed manually.
OTHR	Other	Other. See Narrative.

### 16.2.2.2 ActiveCurrencyCode

*Definition:* A code allocated to a currency by a Maintenance Agency under an international identification scheme as described in the latest edition of the international standard ISO 4217 "Codes for the representation of currencies and funds".

*Type:* CodeSet

#### Format

pattern [A-Z]{3,3}

#### Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

*Error handling:*

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

### 16.2.2.3 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.

**16.2.2.4 AdditionalBusinessProcess10Code**

*Definition:* Specifies the additional business process linked to a corporate action event.

*Type:* CodeSet

CodeName	Name	Definition
CLAI	ClaimOrCompensation	Relates to a claim on the associated corporate action event.
REVR	NotificationOfReversal	Indicates a preadvice of movement reversal.
TAXR	TaxRefund	Relates to a tax refund from the authorities on the associated corporate action event.
PPUT	PartialMandatoryPutRedemption	Partial mandatory exchange of a portion of bonds where the exchanged securities are usually remarketed. The issuer may offer holders the right to retain instead of exchanging their securities. A lottery will be used to determine eligibility for the event.
PPRE	PartialPreFunding	Partial pre-funding of a debt instrument prior to maturity drawn through a lottery process. One new security is issued with an earlier maturity date for the refunded (called portion) and the other new security is issued with the original maturity date for the non refunded (remaining) portion. Applicable only in the frame of a partial defeasance corporate action event.
FPRE	FullPrefunding	Full pre-funding of a debt instrument by the issuer prior to original maturity when the issuer deposits assets in trust. Applicable only in the frame of a partial defeasance corporate action event.
REAC	RequiredAction	Proceeds / entitlements of the mandatory event can only be paid if specified action is taken by the account owner.

CodeName	Name	Definition
INCP	IncentivePremiumPayment	The event is a payment of an incentive premium related to the voting conditions prescribed at a general meeting.

### 16.2.2.5 AdditionalBusinessProcess11Code

*Definition:* Specifies the additional business process linked to a corporate action event.

*Type:* CodeSet

CodeName	Name	Definition
CLAI	ClaimOrCompensation	Relates to a claim on the associated corporate action event.
TAXR	TaxRefund	Relates to a tax refund from the authorities on the associated corporate action event.
ACLA	AutomaticMarketClaim	Will automatically give rise to market claims by the account servicer, for example, a Central Securities Depository (CSD).
ATXF	SubjectToTransformation	As a result of the corporate action, all transactions in the underlying security will be cancelled by the system and replaced with transactions in the outturn resource(s).
CNTR	CancelUnderlyingTrades	As a result of the corporate action, all transactions in the underlying security will be cancelled by the system.
CONS	Consent	Relates to a consent within a corporate action event other than a Consent event (: 22F:: CAEV//CONS).
NAMC	NoAutomaticMarketClaimsAndTransformations	Event will not automatically give rise to market claims and transformations by the account servicer, for example, a Central Securities Depository (CSD).
NPLE	NoSplitElection	Issuer only allows a single option to be selected per designated holding.
SCHM	SchemeOrPlanOfArrangement	Component event of a scheme/plan of arrangement: a reorganisation of a company or a group of companies, and their capital.
PPUT	PartialMandatoryPutRedemption	Partial mandatory exchange of a portion of bonds where the exchanged securities are usually remarketed. The issuer may offer holders the right to retain instead of exchanging their securities. A lottery will be used to determine eligibility for the event.
PPRE	PartialPreFunding	Partial pre-funding of a debt instrument prior to maturity drawn through a lottery process. One new security is issued with an earlier maturity date for the refunded (called portion) and the other new security is issued with the original maturity date for the non refunded

CodeName	Name	Definition
		(remaining) portion. Applicable only in the frame of a partial defeasance corporate action event.
FPRE	FullPrefunding	Full pre-funding of a debt instrument by the issuer prior to original maturity when the issuer deposits assets in trust. Applicable only in the frame of a partial defeasance corporate action event.
INCP	IncentivePremiumPayment	The event is a payment of an incentive premium related to the voting conditions prescribed at a general meeting.

### 16.2.2.6 AdditionalBusinessProcess7Code

*Definition:* Specifies the additional business process linked to a corporate action event.

*Type:* CodeSet

CodeName	Name	Definition
CLAI	ClaimOrCompensation	Relates to a claim on the associated corporate action event.
TAXR	TaxRefund	Relates to a tax refund from the authorities on the associated corporate action event.
ACLA	AutomaticMarketClaim	Will automatically give rise to market claims by the account servicer, for example, a Central Securities Depository (CSD).
ATXF	SubjectToTransformation	As a result of the corporate action, all transactions in the underlying security will be cancelled by the system and replaced with transactions in the outturn resource(s).
CNTR	CancelUnderlyingTrades	As a result of the corporate action, all transactions in the underlying security will be cancelled by the system.
CONS	Consent	Relates to a consent within a corporate action event other than a Consent event (: 22F:: CAEV//CONS).
NAMC	NoAutomaticMarketClaimsAndTransformations	Event will not automatically give rise to market claims and transformations by the account servicer, for example, a Central Securities Depository (CSD).
NPLE	NoSplitElection	Issuer only allows a single option to be selected per designated holding.
SCHM	SchemeOrPlanOfArrangement	Component event of a scheme/plan of arrangement: a reorganisation of a company or a group of companies, and their capital.
PPUT	PartialMandatoryPutRedemption	Partial mandatory exchange of a portion of bonds where the exchanged securities are usually remarketed. The issuer may offer holders the right to retain instead of exchanging their securities. A lottery will



CodeName	Name	Definition
		be used to determine eligibility for the event.
PPRE	PartialPreFunding	Partial pre-funding of a debt instrument prior to maturity drawn through a lottery process. One new security is issued with an earlier maturity date for the refunded (called portion) and the other new security is issued with the original maturity date for the non refunded (remaining) portion. Applicable only in the frame of a partial defeasance corporate action event.
FPRE	FullPrefunding	Full pre-funding of a debt instrument by the issuer prior to original maturity when the issuer deposits assets in trust. Applicable only in the frame of a partial defeasance corporate action event.

### 16.2.2.7 AdditionalBusinessProcess8Code

*Definition:* Specifies the additional business process linked to a corporate action event such as an automatic market claim.

*Type:* CodeSet

CodeName	Name	Definition
CONS	Consent	Relates to a consent within a corporate action event other than a Consent event (: 22F:: CAEV//CONS).
FPRE	FullPrefunding	Full pre-funding of a debt instrument by the issuer prior to original maturity when the issuer deposits assets in trust. Applicable only in the frame of a partial defeasance corporate action event.
PPUT	PartialMandatoryPutRedemption	Partial mandatory exchange of a portion of bonds where the exchanged securities are usually remarketed. The issuer may offer holders the right to retain instead of exchanging their securities. A lottery will be used to determine eligibility for the event.
PPRE	PartialPreFunding	Partial pre-funding of a debt instrument prior to maturity drawn through a lottery process. One new security is issued with an earlier maturity date for the refunded (called portion) and the other new security is issued with the original maturity date for the non refunded (remaining) portion. Applicable only in the frame of a partial defeasance corporate action event.

### 16.2.2.8 AdditionalBusinessProcess9Code

*Definition:* Specifies the additional business process linked to a corporate action event.

*Type:* CodeSet

CodeName	Name	Definition
ACLA	AutomaticMarketClaim	Will automatically give rise to market claims by the account servicer, for example, a Central Securities Depository (CSD).
ATXF	SubjectToTransformation	As a result of the corporate action, all transactions in the underlying security will be cancelled by the system and replaced with transactions in the outturn resource(s).
CNTR	CancelUnderlyingTrades	As a result of the corporate action, all transactions in the underlying security will be cancelled by the system.
NAMC	NoAutomaticMarketClaimsAndTransformations	Event will not automatically give rise to market claims and transformations by the account servicer, for example, a Central Securities Depository (CSD).
NPLE	NoSplitElection	Issuer only allows a single option to be selected per designated holding.
SCHM	SchemeOrPlanOfArrangement	Component event of a scheme/plan of arrangement: a reorganisation of a company or a group of companies, and their capital.
CONS	Consent	Relates to a consent within a corporate action event other than a Consent event (: 22F:: CAEV//CONS).
PPUT	PartialMandatoryPutRedemption	Partial mandatory exchange of a portion of bonds where the exchanged securities are usually remarketed. The issuer may offer holders the right to retain instead of exchanging their securities. A lottery will be used to determine eligibility for the event.
FPRE	FullPrefunding	Full pre-funding of a debt instrument by the issuer prior to original maturity when the issuer deposits assets in trust. Applicable only in the frame of a partial defeasance corporate action event.
PPRE	PartialPreFunding	Partial pre-funding of a debt instrument prior to maturity drawn through a lottery process. One new security is issued with an earlier maturity date for the refunded (called portion) and the other new security is issued with the original maturity date for the non refunded (remaining) portion. Applicable only in the frame of a partial defeasance corporate action event.
REAC	RequiredAction	Proceeds / entitlements of the mandatory event can only be paid if specified action is taken by the account owner.
INCP	IncentivePremiumPayment	The event is a payment of an incentive premium related to the voting conditions prescribed at a general meeting.

### 16.2.2.9 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.

### 16.2.2.10 AmountPriceType1Code

*Definition:* Specifies the amount price type.

*Type:* CodeSet

CodeName	Name	Definition
ACTU	ActualAmount	Price expressed as a currency and amount per unit or per share.
DISC	Discount	Price expressed as a discount amount.
PLOT	Lot	Price expressed as an amount of money per lot.
PREM	Premium	Price expressed as a premium.

### 16.2.2.11 AmountPriceType2Code

*Definition:* Specifies the amount price type.

*Type:* CodeSet

CodeName	Name	Definition
ACTU	ActualAmount	Price expressed as a currency and amount per unit or per share.

### 16.2.2.12 AmountPriceType3Code

*Definition:* Specifies the amount price type.

*Type:* CodeSet

CodeName	Name	Definition
ACTU	ActualAmount	Price expressed as a currency and amount per unit or per share.
PLOT	Lot	Price expressed as an amount of money per lot.

### 16.2.2.13 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 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.

### 16.2.2.14 BeneficiaryCertificationType5Code

*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 Investor as defined in US Securities and Exchange Commission Regulation D.
NCOM	NonCompany	The holder of the security has to certify he is an Non-Company related person.

CodeName	Name	Definition
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.

### 16.2.2.15 BidRangeType1Code

*Definition:* Types of acceptable bid range values.

*Type:* CodeSet

CodeName	Name	Definition
DIVI	Divisible	All values (including minimum and maximum prices) are divisible by the bid interval.
INCR	Incremental	No values within the bid range are divisible by the bid interval including the minimum and maximum prices. Each value between the minimum and maximum prices is incremented by the bid interval.
MULT	InMultiple	Minimum and maximum prices are not divisible by the bid interval. All successive values between the minimum and maximum prices are in multiples of the bid interval.

### 16.2.2.16 BusinessMessagePriorityCode

*Definition:* Specifies the priority levels for the BusinessMessage.

The different priorities are typically user / service / implementation dependent. The semantics of the different values for a Message (Set) need to be defined by the relevant user community (SEG.).

*Type:* CodeSet

#### Constraints

- **ValidationByTable**  
(Rule)

### 16.2.2.17 CancelledStatusReason5Code

*Definition:* Specifies the underlying reason for the cancellation of the associated transaction.

*Type:* CodeSet

CodeName	Name	Definition
CANI	CancelledByYourself	Transaction is cancelled by yourself.
OTHR	Other	Other. See Narrative.

### 16.2.2.18 CancelledStatusReason6Code

*Definition:* Specifies the underlying reason for the cancellation of the associated transaction.

Type: CodeSet

CodeName	Name	Definition
CANI	CancelledByYourself	Transaction is cancelled by yourself.
CANO	CancelledByOther	Transaction is cancelled by a party other than the instructing party, for example, a market infrastructure such as a stock exchange.
CANS	CancelledBySystem	Transaction is cancelled by the system.
CSUB	CancelledByAgent	Instruction has been cancelled by the agent due to an event deadline extension.
OTHR	Other	Other. See Narrative.

### 16.2.2.19 CertificationFormatType1Code

*Definition:* Specifies the certification format required, that is, physical or electronic format.

Type: CodeSet

CodeName	Name	Definition
ELEC	Electronic	Certification must be provided in electronic format.
PHYS	Physical	Certification must be provided in physical format.

### 16.2.2.20 ConsentType1Code

*Definition:* Specifies the type of consent announced.

Type: CodeSet

CodeName	Name	Definition
CTRM	ChangeInTerms	Change in the terms and conditions of the bond.
DUPY	DueAndPayable	Change in the due and payable conditions.

### 16.2.2.21 CopyDuplicate1Code

*Definition:* Specifies if this document is a copy, a duplicate, or a duplicate of a copy.

Type: CodeSet

CodeName	Name	Definition
CODU	CopyDuplicate	Message is being sent as a copy to a party other than the account owner, for information purposes and the message is a duplicate of a message previously sent.
COPY	Copy	Message is being sent as a copy to a party other than the account owner, for information purposes.

CodeName	Name	Definition
DUPL	Duplicate	Message is for information/confirmation purposes. It is a duplicate of a message previously sent.

### 16.2.2.22 CorporateActionCancellationReason1Code

*Definition:* Specifies reasons for cancellation of a corporate action event.

*Type:* CodeSet

CodeName	Name	Definition
WITH	Withdrawal	Cancellation due to the corporate action event being cancelled by the issuer.
PROC	Processing	Cancellation due to a processing error.

### 16.2.2.23 CorporateActionChangeType1Code

*Definition:* Specifies the type of changes.

*Type:* CodeSet

CodeName	Name	Definition
BERE	BearToRegistered	Change from bearer into registered form.
CERT	Certificates	Change of all instruments into certificates.
DEPH	DematerialisedToPhysical	Change from dematerialised into physical form.
GPPH	GlobalPermanentToPhysical	Change from global permanent to physical form.
GTGP	GlobalTemporaryToGlobalPermanent	Change from global temporary to global permanent form.
GTPH	GlobalTemporaryToPhysical	Change from global temporary to physical form.
NAME	Name	The issuing company changes its name. CA event shows the change from old name to new name and may involve surrendering physical shares with the old name to the registrar.
PHDE	PhysicalToDematerialised	Change from physical into dematerialised form.
REBE	RegisteredToBearer	Change from registered into bearer form.
TERM	Terms	Change in the terms of the security.
DECI	Decimalisation	Process of changing the accounting method of a security, for example, mutual fund, from units to a quantity with decimals.

### 16.2.2.24 CorporateActionChangeType2Code

*Definition:* Specifies the type of changes.

Type: CodeSet

CodeName	Name	Definition
BERE	BearToRegistered	Change from bearer into registered form.
CERT	Certificates	Change of all instruments into certificates.
DEPH	DematerialisedToPhysical	Change from dematerialised into physical form.
GPPH	GlobalPermanentToPhysical	Change from global permanent to physical form.
GTGP	GlobalTemporaryToGlobalPermanent	Change from global temporary to global permanent form.
GTPH	GlobalTemporaryToPhysical	Change from global temporary to physical form.
NAME	Name	The issuing company changes its name. CA event shows the change from old name to new name and may involve surrendering physical shares with the old name to the registrar.
PHDE	PhysicalToDematerialised	Change from physical into dematerialised form.
REBE	RegisteredToBearer	Change from registered into bearer form.
TERM	Terms	Change in the terms of the security.

### 16.2.2.25 CorporateActionEventProcessingType1Code

Definition: Specifies the type of event processing.

Type: CodeSet

CodeName	Name	Definition
GENL	General	No debit or credit of resources.
DISN	Distribution	Holder of the relevant security on a certain date, for example, the record date, will receive a benefit without giving up the underlying security.
REOR	Reorganisation	Underlying security will be debited and may be replaced by another resource (or resources).

### 16.2.2.26 CorporateActionEventStage3Code

Definition: Specifies the stage of the CA event.

Type: CodeSet

CodeName	Name	Definition
APPD	Approved	Approved at the relevant meeting, for example, dividend.
CLDE	Deactivated	Offer is closed for acceptance.
FULL	CancellationAndReRun	Cancellation and re-run of an original lottery or an original and supplemental



CodeName	Name	Definition
		lottery. A subsequent lottery will be performed under a new event.
LAPS	Lapsed	Event/offer conditions have not been met and the event/offer is terminated or lapsed.
PART	SupplementalCancellationAndReRun	Cancellation and re-run of a supplemental lottery only. A subsequent new supplemental lottery will be performed under the original event.
PWAL	ActionPeriod	Open for acceptance until the next specified deadline in the announcement (if any).
RESC	SupplementalCancellation	A supplemental lottery is being cancelled by the issuer. No subsequent lottery will be performed.
SUAP	SubjectToApproval	Subject to approval at the relevant meeting, for example, dividend.
UNAC	UnconditionalAsToAcceptance	The required level of acceptances specified in the terms of the offer has been achieved but there are still outstanding conditions to fulfil.
WHOU	WhollyUnconditional	Wholly unconditional; all conditions specified in the offer document have been satisfied.

### 16.2.2.27 CorporateActionEventStage4Code

*Definition:* Specifies the stage of the CA lottery event.

*Type:* CodeSet

CodeName	Name	Definition
FULL	CancellationAndReRun	Cancellation and re-run of an original lottery or an original and supplemental lottery. A subsequent lottery will be performed under a new event.
PART	SupplementalCancellationAndReRun	Cancellation and re-run of a supplemental lottery only. A subsequent new supplemental lottery will be performed under the original event.
RESC	SupplementalCancellation	A supplemental lottery is being cancelled by the issuer. No subsequent lottery will be performed.

### 16.2.2.28 CorporateActionEventType30Code

*Definition:* Specifies the corporate action event type.

*Type:* CodeSet

CodeName	Name	Definition
ACTV	ActiveTradingStatus	Trading in the security has commenced or security has been re-activated after a suspension in trading.

CodeName	Name	Definition
ATTI	Attachment	Combination of different security types to create a unit. Units are usually comprised of warrants and bonds or warrants and equities. Securities may be combined at the request of the security holder or based on market convention.
BRUP	Bankruptcy	Legal status of a company unable to pay creditors. Bankruptcy usually involves a formal court ruling. Securities may become valueless.
DFLT	BondDefault	Failure by the company to perform obligations defined as default events under the bond agreement and that have not been remedied.
BONU	BonusIssue	Bonus or capitalisation issue. Security holders receive additional assets free of payment from the issuer, in proportion to their holding.
EXRI	CallOnIntermediateSecurities	Call or exercise on nil paid securities or intermediate securities resulting from an intermediate securities distribution (RHDI). This code is used for the second event, when an intermediate securities' issue (rights/coupons) is composed of two events, the first event being the distribution of intermediate securities.
CAPD	CapitalDistribution	Corporate event pays shareholders an amount in cash issued from the capital account. There is no reduction to the face value of a single share (or the share has no par value). The number of circulating shares remains unchanged.
CAPG	CapitalGainsDistribution	Event is the distribution of profits resulting from the sale of securities. Shareholders of mutual funds, unit trusts, or SICAVs are recipients of capital gains distributions and are often reinvested in additional shares of the fund.
CAPI	Capitalisation	Increase of the current principal of a debt instrument without increasing the nominal value. It normally arises from the incorporation of due but unpaid interest into the principal. This is commonly done by increasing the pool factor value, for example, capitalisation, and negative amortisation.
DRCA	CashDistributionFromNonEligibleSecuritiesSales	Distribution to shareholders of cash resulting from the selling of non-eligible securities, for example, in the frame of a depositary receipt program.
DVCA	CashDividend	Distribution of cash to shareholders, in proportion to their equity holding. Ordinary dividends are recurring and regular. Shareholder must take cash and may be offered a choice of currency.

CodeName	Name	Definition
CHAN	Change	Information regarding a change further described in the corporate action details.
COOP	CompanyOption	Company option may be granted by the company, allowing the holder to take up shares at some future date(s) at a pre arranged price in the company. A company may not grant options which enable the holder to take up unissued shares at a time which is five or more years from the date of the grant. Option holders are not members of a company. They are contingent creditors of a company and hence may, in some instances, be entitled to vote on and be bound by a scheme of arrangement between the creditors and the company. As many options have multiple exercise periods a company option will either lapse or carry on to the next expiry date.
CLSA	ClassActionProposedSettlement	Situation where interested parties seek restitution for financial loss. The security holder may be offered the opportunity to join a class action proceeding and would need to respond with an instruction.
CONS	Consent	Procedure that aims to obtain consent of holder to a proposal by the issuer or a third party without convening a meeting. For example, consent to change the terms of a bond.
CONV	Conversion	Conversion of securities (generally convertible bonds or preferred shares) into another form of securities (usually common shares) at a pre-stated price/ratio.
CREV	CreditEvent	Occurrence of credit derivative for which the issuer of one or several underlying securities is unable to fulfill its financial obligations (as defined in terms and conditions).
DECR	DecreaseInValue	Reduction of face value of a single share or the value of fund assets. The number of circulating shares/units remains unchanged. This event may include a cash payout to holders.
DETI	Detachment	Separation of components that comprise a security, for example, usually units comprised of warrants and bond or warrants and equity. Units may be broken up at the request of the security holder or based on market convention.
DSCL	Disclosure	Requirement for holders or beneficial owners to disclose their name, location and holdings of any issue to the issuer.
DVOP	DividendOption	Distribution of a dividend to shareholders with a choice of benefit to receive. Shareholders may choose to receive shares or cash. To be distinguished from

CodeName	Name	Definition
		DRIP as the company creates new share capital in exchange for the dividend rather than investing the dividend in the market.
DRIP	DividendReinvestment	Dividend payment where holders can keep cash or have the cash reinvested in the market by the issuer into additional shares in the issuing company. To be distinguished from DVOP as the company invests the dividend in the market rather than creating new share capital in exchange for the dividend.
DRAW	Drawing	Securities are redeemed in part before the scheduled final maturity date. It is done without any pool factor reduction. The redemption is reflected in a debit of the face amount (FAMT). Drawing is distinct from partial call since drawn bonds are chosen by lottery. Therefore, not every holder is affected in the same way.
DTCH	DutchAuction	Action by a party wishing to acquire a security. Holders of the security are invited to make an offer to sell, within a specific price range. The acquiring party will buy from the holder with lowest offer.
EXOF	Exchange	Exchange of holdings for other securities and/or cash. The exchange can be either mandatory or voluntary involving the exchange of outstanding securities for different securities and/or cash. For example "exchange offer", "capital reorganisation" or "funds separation".
REDM	FinalMaturity	Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, at final maturity.
MCAL	FullCall	Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, before final maturity.
INCR	IncreaseInValue	Increase in the face value of a single security. The number of circulating securities remains unchanged.
PPMT	InstalmentCall	Instalment towards the purchase of equity capital, subject to an agreement between an issuer and a purchaser.
INTR	InterestPayment	Interest payment distributed to holders of an interest bearing asset.
RHDI	IntermediateSecuritiesDistribution	Distribution of intermediate securities that gives the holder the right to take part in a future event.
LIQU	LiquidationDividend	Distribution of cash, assets or both. Debt may be paid in order of priority based on

CodeName	Name	Definition
		preferred claims to assets specified by the security.
EXTM	MaturityExtension	As stipulated in the security's Terms and Conditions, the issuer or the holder may prolong the maturity date of a security. After extension, the security details may differ from the original issue. An issuer initiated extension may be subject to holder's approval.
MRGR	Merger	Exchange of outstanding securities, initiated by the issuer which may include options, as the result of two or more companies combining assets, that is, an external, third party company. Cash payments may accompany share exchange.
NOOF	NonOfficialOffer	Offers that are not supervised or regulated by an official entity and being offered by a party, for example a broker, usually at a discount price, for example broker offer, mini-tender, mini odd lot offer or third party offer.
CERT	NonUSTEFRADCertification	Non-US beneficial owner certification requirement for exchange of temporary to permanent notes.
ODLT	OddLotSalePurchase	Sale or purchase of odd-lots to/from the issuing company, initiated either by the holder of the security or through an offer made by the issuer.
OTHR	OtherEvent	Other event, use only when no other event type applies, for example, a new event type.
PARI	PariPassu	Occurs when securities with different characteristics, for example, shares with different entitlements to dividend or voting rights, become identical in all respects, for example, pari-passu or assimilation. May be scheduled in advance, for example, shares resulting from a bonus may become fungible after a pre-set period of time, or may result from outside events, for example, merger, reorganisation, issue of supplementary tranches.
PCAL	PartialRedemptionWithoutPoolFactorReduction	Securities are redeemed in part before their scheduled final maturity date. It is done without any pool factor reduction. The redemption is reflected in a debit of the face amount (FAMT).
PRED	PartialRedemptionWithPoolFactorReduction	Securities are redeemed in part before their scheduled final maturity date. The redemption is reflected in a pool factor reduction. No movement of securities occurs.

CodeName	Name	Definition
PINK	PayInKind	Interest payment, in any kind except cash, distributed to holders of an interest bearing asset.
PLAC	PlaceOfIncorporation	Changes in the state of incorporation for US companies and changes in the place of incorporation for foreign companies. Where shares need to be registered following the incorporation change, the holder(s) may have to elect the registrar.
PDEF	Prefunding	Also called partial defeasance. Issuer has money set aside to redeem a portion of an issue and the indenture states that the securities could be called earlier than the stated maturity.
PRIO	PriorityIssue	Form of open or public offer where, due to a limited amount of securities available, priority is given to existing shareholders.
BPUT	PutRedemption	Early redemption of a security at the election of the holder subject to the terms and condition of the issue with no reduction in nominal value.
REDO	Redenomination	Event by which the unit (currency and/or nominal) of a security is restated, for example, nominal/par value of security in a national currency is restated in another currency.
REMK	RemarketingAgreement	Purchase and sale of remarketed preferred equities/bonds through the negotiation of interest rate between the issuers and the holders.
BIDS	RepurchaseOffer	Repurchase offer / issuer bid / reverse rights. Offer to existing holders by the issuing company to repurchase its own securities. The objective of the offer is to reduce the number of outstanding securities.
SPLR	ReverseStockSplit	Decrease in a company's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are increased accordingly.
RHTS	RightsIssue	Offer to holders of a security to subscribe for additional securities via the distribution of an intermediate security. Both processes are included in the same event.
DVSC	ScripDividend	Dividend or interest paid in the form of scrip.
SHPR	SharesPremiumDividend	Corporate event pays shareholders an amount in cash issued from the shares premium reserve. It is similar to a dividend but with different tax implications.

CodeName	Name	Definition
SMAL	SmallestNegotiableUnit	Modification of the smallest negotiable unit of shares in order to obtain a new negotiable unit.
SOFF	SpinOff	Distribution of securities issued by another company. The distributed securities may either be of a newly created or of an existing company. For example, spin-off, demerger, unbundling, divestment.
DVSE	StockDividend	Dividend paid to shareholders in the form of equities of the issuing corporation.
SPLF	StockSplit	Increase in a corporation's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are reduced accordingly.
TREC	TaxReclaim	Event related to tax reclaim activities.
TEND	Tender	Offer made to holders by a third party, requesting them to sell (tender) or exchange their securities.
DLST	TradingStatusDelisted	Security is no longer able to comply with the listing requirements of a stock exchange and is removed from official board quotation.
SUSP	TradingStatusSuspended	Trading in the security has been suspended.
EXWA	WarrantExercise	Option offered to holders to buy (call warrant) or to sell (put warrant) a specific amount of stock, cash, or commodity, at a predetermined price, during a predetermined period of time (which usually corresponds to the life of the issue).
WTRC	WithholdingTaxReliefCertification	Certification process for withholding tax reduction or exemption based on the tax status of the holder.
WRTH	Worthless	Booking out of valueless securities.
ACCU	Accumulation	Funds related event in which the income (for example accumulation units) that accrues during an accounting period is retained within the fund instead of being paid away to investors. The retained income is nonetheless deemed to have been distributed to investors for tax purposes.
MTNG	SecuritiesHoldersMeeting	Ordinary or annual or extraordinary or special general meeting.
TNDP	TaxOnNonDistributedProceeds	Taxable component on non-distributed proceeds, for example, Australian deemed income or US 871m income regulation.

### 16.2.2.29 CorporateActionEventType31Code

*Definition:* Specifies the corporate action event type.

*Type:* CodeSet

CodeName	Name	Definition
ACTV	ActiveTradingStatus	Trading in the security has commenced or security has been re-activated after a suspension in trading.
ATTI	Attachment	Combination of different security types to create a unit. Units are usually comprised of warrants and bonds or warrants and equities. Securities may be combined at the request of the security holder or based on market convention.
BRUP	Bankruptcy	Legal status of a company unable to pay creditors. Bankruptcy usually involves a formal court ruling. Securities may become valueless.
DFLT	BondDefault	Failure by the company to perform obligations defined as default events under the bond agreement and that have not been remedied.
BONU	BonusIssue	Bonus or capitalisation issue. Security holders receive additional assets free of payment from the issuer, in proportion to their holding.
EXRI	CallOnIntermediateSecurities	Call or exercise on nil paid securities or intermediate securities resulting from an intermediate securities distribution (RHDI). This code is used for the second event, when an intermediate securities' issue (rights/coupons) is composed of two events, the first event being the distribution of intermediate securities.
CAPD	CapitalDistribution	Corporate event pays shareholders an amount in cash issued from the capital account. There is no reduction to the face value of a single share (or the share has no par value). The number of circulating shares remains unchanged.
CAPG	CapitalGainsDistribution	Event is the distribution of profits resulting from the sale of securities. Shareholders of mutual funds, unit trusts, or SICAVs are recipients of capital gains distributions and are often reinvested in additional shares of the fund.
CAPI	Capitalisation	Increase of the current principal of a debt instrument without increasing the nominal value. It normally arises from the incorporation of due but unpaid interest into the principal. This is commonly done by increasing the pool factor value, for example, capitalisation, and negative amortisation.



CodeName	Name	Definition
DRCA	CashDistributionFromNonEligibleSecuritiesSales	Distribution to shareholders of cash resulting from the selling of non-eligible securities, for example, in the frame of a depositary receipt program.
DVCA	CashDividend	Distribution of cash to shareholders, in proportion to their equity holding. Ordinary dividends are recurring and regular. Shareholder must take cash and may be offered a choice of currency.
CHAN	Change	Information regarding a change further described in the corporate action details.
COOP	CompanyOption	Company option may be granted by the company, allowing the holder to take up shares at some future date(s) at a pre arranged price in the company. A company may not grant options which enable the holder to take up unissued shares at a time which is five or more years from the date of the grant. Option holders are not members of a company. They are contingent creditors of a company and hence may, in some instances, be entitled to vote on and be bound by a scheme of arrangement between the creditors and the company. As many options have multiple exercise periods a company option will either lapse or carry on to the next expiry date.
CLSA	ClassActionProposedSettlement	Situation where interested parties seek restitution for financial loss. The security holder may be offered the opportunity to join a class action proceeding and would need to respond with an instruction.
CONS	Consent	Procedure that aims to obtain consent of holder to a proposal by the issuer or a third party without convening a meeting. For example, consent to change the terms of a bond.
CONV	Conversion	Conversion of securities (generally convertible bonds or preferred shares) into another form of securities (usually common shares) at a pre-stated price/ratio.
CREV	CreditEvent	Occurrence of credit derivative for which the issuer of one or several underlying securities is unable to fulfill its financial obligations (as defined in terms and conditions).
DECR	DecreaseInValue	Reduction of face value of a single share or the value of fund assets. The number of circulating shares/units remains unchanged. This event may include a cash payout to holders.
DETI	Detachment	Separation of components that comprise a security, for example, usually units comprised of warrants and bond or warrants and equity. Units may be

CodeName	Name	Definition
		broken up at the request of the security holder or based on market convention.
DACL	Disclosure	Requirement for holders or beneficial owners to disclose their name, location and holdings of any issue to the issuer.
DVOP	DividendOption	Distribution of a dividend to shareholders with a choice of benefit to receive. Shareholders may choose to receive shares or cash. To be distinguished from DRIP as the company creates new share capital in exchange for the dividend rather than investing the dividend in the market.
DRIP	DividendReinvestment	Dividend payment where holders can keep cash or have the cash reinvested in the market by the issuer into additional shares in the issuing company. To be distinguished from DVOP as the company invests the dividend in the market rather than creating new share capital in exchange for the dividend.
DRAW	Drawing	Securities are redeemed in part before the scheduled final maturity date. It is done without any pool factor reduction. The redemption is reflected in a debit of the face amount (FAMT). Drawing is distinct from partial call since drawn bonds are chosen by lottery. Therefore, not every holder is affected in the same way.
DTCH	DutchAuction	Action by a party wishing to acquire a security. Holders of the security are invited to make an offer to sell, within a specific price range. The acquiring party will buy from the holder with lowest offer.
EXOF	Exchange	Exchange of holdings for other securities and/or cash. The exchange can be either mandatory or voluntary involving the exchange of outstanding securities for different securities and/or cash. For example "exchange offer", "capital reorganisation" or "funds separation".
REDM	FinalMaturity	Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, at final maturity.
MCAL	FullCall	Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, before final maturity.
INCR	IncreaseInValue	Increase in the face value of a single security. The number of circulating securities remains unchanged.

CodeName	Name	Definition
PPMT	InstalmentCall	Instalment towards the purchase of equity capital, subject to an agreement between an issuer and a purchaser.
INTR	InterestPayment	Interest payment distributed to holders of an interest bearing asset.
RHDI	IntermediateSecuritiesDistribution	Distribution of intermediate securities that gives the holder the right to take part in a future event.
LIQU	LiquidationDividend	Distribution of cash, assets or both. Debt may be paid in order of priority based on preferred claims to assets specified by the security.
EXTM	MaturityExtension	As stipulated in the security's Terms and Conditions, the issuer or the holder may prolong the maturity date of a security. After extension, the security details may differ from the original issue. An issuer initiated extension may be subject to holder's approval.
MRGR	Merger	Exchange of outstanding securities, initiated by the issuer which may include options, as the result of two or more companies combining assets, that is, an external, third party company. Cash payments may accompany share exchange.
NOOF	NonOfficialOffer	Offers that are not supervised or regulated by an official entity and being offered by a party, for example a broker, usually at a discount price, for example broker offer, mini-tender, mini odd lot offer or third party offer.
CERT	NonUSTEFRADCertification	Non-US beneficial owner certification requirement for exchange of temporary to permanent notes.
ODLT	OddLotSalePurchase	Sale or purchase of odd-lots to/from the issuing company, initiated either by the holder of the security or through an offer made by the issuer.
OTHR	OtherEvent	Other event, use only when no other event type applies, for example, a new event type.
PARI	PariPassu	Occurs when securities with different characteristics, for example, shares with different entitlements to dividend or voting rights, become identical in all respects, for example, pari-passu or assimilation. May be scheduled in advance, for example, shares resulting from a bonus may become fungible after a pre-set period of time, or may result from outside events, for example, merger, reorganisation, issue of supplementary tranches.
PCAL	PartialRedemptionWithoutPoolFactorReduction	Securities are redeemed in part before their scheduled final maturity date. It is

CodeName	Name	Definition
		done without any pool factor reduction. The redemption is reflected in a debit of the face amount (FAMT).
PRED	PartialRedemptionWithPoolFactorReduction	Securities are redeemed in part before their scheduled final maturity date. The redemption is reflected in a pool factor reduction. No movement of securities occurs.
PINK	PayInKind	Interest payment, in any kind except cash, distributed to holders of an interest bearing asset.
PLAC	PlaceOfIncorporation	Changes in the state of incorporation for US companies and changes in the place of incorporation for foreign companies. Where shares need to be registered following the incorporation change, the holder(s) may have to elect the registrar.
PDEF	Prefunding	Also called partial defeasance. Issuer has money set aside to redeem a portion of an issue and the indenture states that the securities could be called earlier than the stated maturity.
PRIO	PriorityIssue	Form of open or public offer where, due to a limited amount of securities available, priority is given to existing shareholders.
BPUT	PutRedemption	Early redemption of a security at the election of the holder subject to the terms and condition of the issue with no reduction in nominal value.
REDO	Redenomination	Event by which the unit (currency and/or nominal) of a security is restated, for example, nominal/par value of security in a national currency is restated in another currency.
REMK	RemarketingAgreement	Purchase and sale of remarketed preferred equities/bonds through the negotiation of interest rate between the issuers and the holders.
BIDS	RepurchaseOffer	Repurchase offer / issuer bid / reverse rights. Offer to existing holders by the issuing company to repurchase its own securities. The objective of the offer is to reduce the number of outstanding securities.
SPLR	ReverseStockSplit	Decrease in a company's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are increased accordingly.
RHTS	RightsIssue	Offer to holders of a security to subscribe for additional securities via the distribution of an intermediate security. Both processes are included in the same event.

CodeName	Name	Definition
DVSC	ScripDividend	Dividend or interest paid in the form of scrip.
SHPR	SharesPremiumDividend	Corporate event pays shareholders an amount in cash issued from the shares premium reserve. It is similar to a dividend but with different tax implications.
SMAL	SmallestNegotiableUnit	Modification of the smallest negotiable unit of shares in order to obtain a new negotiable unit.
SOFF	SpinOff	Distribution of securities issued by another company. The distributed securities may either be of a newly created or of an existing company. For example, spin-off, demerger, unbundling, divestment.
DVSE	StockDividend	Dividend paid to shareholders in the form of equities of the issuing corporation.
SPLF	StockSplit	Increase in a corporation's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are reduced accordingly.
TREC	TaxReclaim	Event related to tax reclaim activities.
TEND	Tender	Offer made to holders by a third party, requesting them to sell (tender) or exchange their securities.
DLST	TradingStatusDelisted	Security is no longer able to comply with the listing requirements of a stock exchange and is removed from official board quotation.
SUSP	TradingStatusSuspended	Trading in the security has been suspended.
EXWA	WarrantExercise	Option offered to holders to buy (call warrant) or to sell (put warrant) a specific amount of stock, cash, or commodity, at a predetermined price, during a predetermined period of time (which usually corresponds to the life of the issue).
WTRC	WithholdingTaxReliefCertification	Certification process for withholding tax reduction or exemption based on the tax status of the holder.
WRTH	Worthless	Booking out of valueless securities.
ACCU	Accumulation	Funds related event in which the income (for example accumulation units) that accrues during an accounting period is retained within the fund instead of being paid away to investors. The retained income is nonetheless deemed to have

CodeName	Name	Definition
		been distributed to investors for tax purposes.
INFO	Information	Information provided by the issuer having no accounting/financial impact on the holder.
TNDP	TaxOnNonDistributedProceeds	Taxable component on non-distributed proceeds, for example, Australian deemed income or US 871m income regulation.

### 16.2.2.30 CorporateActionEventType32Code

*Definition:* Specifies the corporate action event type.

*Type:* CodeSet

CodeName	Name	Definition
ACTV	ActiveTradingStatus	Trading in the security has commenced or security has been re-activated after a suspension in trading.
ATTI	Attachment	Combination of different security types to create a unit. Units are usually comprised of warrants and bonds or warrants and equities. Securities may be combined at the request of the security holder or based on market convention.
BRUP	Bankruptcy	Legal status of a company unable to pay creditors. Bankruptcy usually involves a formal court ruling. Securities may become valueless.
DFLT	BondDefault	Failure by the company to perform obligations defined as default events under the bond agreement and that have not been remedied.
BONU	BonusIssue	Bonus or capitalisation issue. Security holders receive additional assets free of payment from the issuer, in proportion to their holding.
EXRI	CallOnIntermediateSecurities	Call or exercise on nil paid securities or intermediate securities resulting from an intermediate securities distribution (RHDI). This code is used for the second event, when an intermediate securities' issue (rights/coupons) is composed of two events, the first event being the distribution of intermediate securities.
CAPD	CapitalDistribution	Corporate event pays shareholders an amount in cash issued from the capital account. There is no reduction to the face value of a single share (or the share has no par value). The number of circulating shares remains unchanged.
CAPG	CapitalGainsDistribution	Event is the distribution of profits resulting from the sale of securities. Shareholders of mutual funds, unit trusts, or SICAVs are recipients of

CodeName	Name	Definition
		capital gains distributions and are often reinvested in additional shares of the fund.
CAPI	Capitalisation	Increase of the current principal of a debt instrument without increasing the nominal value. It normally arises from the incorporation of due but unpaid interest into the principal. This is commonly done by increasing the pool factor value, for example, capitalisation, and negative amortisation.
DRCA	CashDistributionFromNonEligibleSecuritiesSales	Distribution to shareholders of cash resulting from the selling of non-eligible securities, for example, in the frame of a depositary receipt program.
DVCA	CashDividend	Distribution of cash to shareholders, in proportion to their equity holding. Ordinary dividends are recurring and regular. Shareholder must take cash and may be offered a choice of currency.
CHAN	Change	Information regarding a change further described in the corporate action details.
COOP	CompanyOption	Company option may be granted by the company, allowing the holder to take up shares at some future date(s) at a pre arranged price in the company. A company may not grant options which enable the holder to take up unissued shares at a time which is five or more years from the date of the grant. Option holders are not members of a company. They are contingent creditors of a company and hence may, in some instances, be entitled to vote on and be bound by a scheme of arrangement between the creditors and the company. As many options have multiple exercise periods a company option will either lapse or carry on to the next expiry date.
CLSA	ClassActionProposedSettlement	Situation where interested parties seek restitution for financial loss. The security holder may be offered the opportunity to join a class action proceeding and would need to respond with an instruction.
CONS	Consent	Procedure that aims to obtain consent of holder to a proposal by the issuer or a third party without convening a meeting. For example, consent to change the terms of a bond.
CONV	Conversion	Conversion of securities (generally convertible bonds or preferred shares) into another form of securities (usually common shares) at a pre-stated price/ratio.
CREV	CreditEvent	Occurrence of credit derivative for which the issuer of one or several underlying securities is unable to fulfill its financial

CodeName	Name	Definition
		obligations (as defined in terms and conditions).
DECR	DecreaseInValue	Reduction of face value of a single share or the value of fund assets. The number of circulating shares/units remains unchanged. This event may include a cash payout to holders.
DETI	Detachment	Separation of components that comprise a security, for example, usually units comprised of warrants and bond or warrants and equity. Units may be broken up at the request of the security holder or based on market convention.
DSCL	Disclosure	Requirement for holders or beneficial owners to disclose their name, location and holdings of any issue to the issuer.
DVOP	DividendOption	Distribution of a dividend to shareholders with a choice of benefit to receive. Shareholders may choose to receive shares or cash. To be distinguished from DRIP as the company creates new share capital in exchange for the dividend rather than investing the dividend in the market.
DRIP	DividendReinvestment	Dividend payment where holders can keep cash or have the cash reinvested in the market by the issuer into additional shares in the issuing company. To be distinguished from DVOP as the company invests the dividend in the market rather than creating new share capital in exchange for the dividend.
DRAW	Drawing	Securities are redeemed in part before the scheduled final maturity date. It is done without any pool factor reduction. The redemption is reflected in a debit of the face amount (FAMT). Drawing is distinct from partial call since drawn bonds are chosen by lottery. Therefore, not every holder is affected in the same way.
DTCH	DutchAuction	Action by a party wishing to acquire a security. Holders of the security are invited to make an offer to sell, within a specific price range. The acquiring party will buy from the holder with lowest offer.
EXOF	Exchange	Exchange of holdings for other securities and/or cash. The exchange can be either mandatory or voluntary involving the exchange of outstanding securities for different securities and/or cash. For example "exchange offer", "capital reorganisation" or "funds separation".
REDM	FinalMaturity	Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the



CodeName	Name	Definition
		issuer or its agent, for example, asset manager, at final maturity.
MCAL	FullCall	Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, before final maturity.
INCR	IncreaseInValue	Increase in the face value of a single security. The number of circulating securities remains unchanged.
PPMT	InstalmentCall	Instalment towards the purchase of equity capital, subject to an agreement between an issuer and a purchaser.
INTR	InterestPayment	Interest payment distributed to holders of an interest bearing asset.
RHDI	IntermediateSecuritiesDistribution	Distribution of intermediate securities that gives the holder the right to take part in a future event.
LIQU	LiquidationDividend	Distribution of cash, assets or both. Debt may be paid in order of priority based on preferred claims to assets specified by the security.
EXTM	MaturityExtension	As stipulated in the security's Terms and Conditions, the issuer or the holder may prolong the maturity date of a security. After extension, the security details may differ from the original issue. An issuer initiated extension may be subject to holder's approval.
MRGR	Merger	Exchange of outstanding securities, initiated by the issuer which may include options, as the result of two or more companies combining assets, that is, an external, third party company. Cash payments may accompany share exchange.
NOOF	NonOfficialOffer	Offers that are not supervised or regulated by an official entity and being offered by a party, for example a broker, usually at a discount price, for example broker offer, mini-tender, mini odd lot offer or third party offer.
CERT	NonUSTEFRADCertification	Non-US beneficial owner certification requirement for exchange of temporary to permanent notes.
ODLT	OddLotSalePurchase	Sale or purchase of odd-lots to/from the issuing company, initiated either by the holder of the security or through an offer made by the issuer.
OTHR	OtherEvent	Other event, use only when no other event type applies, for example, a new event type.
PARI	PariPassu	Occurs when securities with different characteristics, for example, shares with

CodeName	Name	Definition
		different entitlements to dividend or voting rights, become identical in all respects, for example, pari-passu or assimilation. May be scheduled in advance, for example, shares resulting from a bonus may become fungible after a pre-set period of time, or may result from outside events, for example, merger, reorganisation, issue of supplementary tranches.
PCAL	PartialRedemptionWithoutPoolFactorReduction	Securities are redeemed in part before their scheduled final maturity date. It is done without any pool factor reduction. The redemption is reflected in a debit of the face amount (FAMT).
PRED	PartialRedemptionWithPoolFactorReduction	Securities are redeemed in part before their scheduled final maturity date. The redemption is reflected in a pool factor reduction. No movement of securities occurs.
PINK	PayInKind	Interest payment, in any kind except cash, distributed to holders of an interest bearing asset.
PLAC	PlaceOfIncorporation	Changes in the state of incorporation for US companies and changes in the place of incorporation for foreign companies. Where shares need to be registered following the incorporation change, the holder(s) may have to elect the registrar.
PDEF	Prefunding	Also called partial defeasance. Issuer has money set aside to redeem a portion of an issue and the indenture states that the securities could be called earlier than the stated maturity.
PRIO	PriorityIssue	Form of open or public offer where, due to a limited amount of securities available, priority is given to existing shareholders.
BPUT	PutRedemption	Early redemption of a security at the election of the holder subject to the terms and condition of the issue with no reduction in nominal value.
REDO	Redenomination	Event by which the unit (currency and/or nominal) of a security is restated, for example, nominal/par value of security in a national currency is restated in another currency.
REMK	RemarketingAgreement	Purchase and sale of remarketed preferred equities/bonds through the negotiation of interest rate between the issuers and the holders.
BIDS	RepurchaseOffer	Repurchase offer / issuer bid / reverse rights. Offer to existing holders by the issuing company to repurchase its own securities. The objective of the offer is to

CodeName	Name	Definition
		reduce the number of outstanding securities.
SPLR	ReverseStockSplit	Decrease in a company's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are increased accordingly.
RHTS	RightsIssue	Offer to holders of a security to subscribe for additional securities via the distribution of an intermediate security. Both processes are included in the same event.
DVSC	ScripDividend	Dividend or interest paid in the form of scrip.
SHPR	SharesPremiumDividend	Corporate event pays shareholders an amount in cash issued from the shares premium reserve. It is similar to a dividend but with different tax implications.
SMAL	SmallestNegotiableUnit	Modification of the smallest negotiable unit of shares in order to obtain a new negotiable unit.
SOFF	SpinOff	Distribution of securities issued by another company. The distributed securities may either be of a newly created or of an existing company. For example, spin-off, demerger, unbundling, divestment.
DVSE	StockDividend	Dividend paid to shareholders in the form of equities of the issuing corporation.
SPLF	StockSplit	Increase in a corporation's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are reduced accordingly.
TREC	TaxReclaim	Event related to tax reclaim activities.
TEND	Tender	Offer made to holders by a third party, requesting them to sell (tender) or exchange their securities.
DLST	TradingStatusDelisted	Security is no longer able to comply with the listing requirements of a stock exchange and is removed from official board quotation.
SUSP	TradingStatusSuspended	Trading in the security has been suspended.
EXWA	WarrantExercise	Option offered to holders to buy (call warrant) or to sell (put warrant) a specific amount of stock, cash, or commodity, at a predetermined price, during a predetermined period of time (which

CodeName	Name	Definition
		usually corresponds to the life of the issue).
WTRC	WithholdingTaxReliefCertification	Certification process for withholding tax reduction or exemption based on the tax status of the holder.
WRTH	Worthless	Booking out of valueless securities.
ACCU	Accumulation	Funds related event in which the income (for example accumulation units) that accrues during an accounting period is retained within the fund instead of being paid away to investors. The retained income is nonetheless deemed to have been distributed to investors for tax purposes.
TNDP	TaxOnNonDistributedProceeds	Taxable component on non-distributed proceeds, for example, Australian deemed income or US 871m income regulation.

### 16.2.2.31 CorporateActionEventType34Code

*Definition:* Specifies the corporate action event type.

*Type:* CodeSet

CodeName	Name	Definition
ACTV	ActiveTradingStatus	Trading in the security has commenced or security has been re-activated after a suspension in trading.
ATTI	Attachment	Combination of different security types to create a unit. Units are usually comprised of warrants and bonds or warrants and equities. Securities may be combined at the request of the security holder or based on market convention.
BRUP	Bankruptcy	Legal status of a company unable to pay creditors. Bankruptcy usually involves a formal court ruling. Securities may become valueless.
DFLT	BondDefault	Failure by the company to perform obligations defined as default events under the bond agreement and that have not been remedied.
BONU	BonusIssue	Bonus or capitalisation issue. Security holders receive additional assets free of payment from the issuer, in proportion to their holding.
EXRI	CallOnIntermediateSecurities	Call or exercise on nil paid securities or intermediate securities resulting from an intermediate securities distribution (RHDI). This code is used for the second event, when an intermediate securities' issue (rights/coupons) is composed of two events, the first event being the distribution of intermediate securities.

CodeName	Name	Definition
CAPD	CapitalDistribution	Corporate event pays shareholders an amount in cash issued from the capital account. There is no reduction to the face value of a single share (or the share has no par value). The number of circulating shares remains unchanged.
CAPG	CapitalGainsDistribution	Event is the distribution of profits resulting from the sale of securities. Shareholders of mutual funds, unit trusts, or SICAVs are recipients of capital gains distributions and are often reinvested in additional shares of the fund.
CAPI	Capitalisation	Increase of the current principal of a debt instrument without increasing the nominal value. It normally arises from the incorporation of due but unpaid interest into the principal. This is commonly done by increasing the pool factor value, for example, capitalisation, and negative amortisation.
DRCA	CashDistributionFromNonEligibleSecuritiesSales	Distribution to shareholders of cash resulting from the selling of non-eligible securities, for example, in the frame of a depositary receipt program.
DVCA	CashDividend	Distribution of cash to shareholders, in proportion to their equity holding. Ordinary dividends are recurring and regular. Shareholder must take cash and may be offered a choice of currency.
CHAN	Change	Information regarding a change further described in the corporate action details.
COOP	CompanyOption	Company option may be granted by the company, allowing the holder to take up shares at some future date(s) at a pre arranged price in the company. A company may not grant options which enable the holder to take up unissued shares at a time which is five or more years from the date of the grant. Option holders are not members of a company. They are contingent creditors of a company and hence may, in some instances, be entitled to vote on and be bound by a scheme of arrangement between the creditors and the company. As many options have multiple exercise periods a company option will either lapse or carry on to the next expiry date.
CLSA	ClassActionProposedSettlement	Situation where interested parties seek restitution for financial loss. The security holder may be offered the opportunity to join a class action proceeding and would need to respond with an instruction.
CONS	Consent	Procedure that aims to obtain consent of holder to a proposal by the issuer or a third party without convening a meeting.

CodeName	Name	Definition
		For example, consent to change the terms of a bond.
CONV	Conversion	Conversion of securities (generally convertible bonds or preferred shares) into another form of securities (usually common shares) at a pre-stated price/ratio.
CREV	CreditEvent	Occurrence of credit derivative for which the issuer of one or several underlying securities is unable to fulfill its financial obligations (as defined in terms and conditions).
DECR	DecreaseInValue	Reduction of face value of a single share or the value of fund assets. The number of circulating shares/units remains unchanged. This event may include a cash payout to holders.
DETI	Detachment	Separation of components that comprise a security, for example, usually units comprised of warrants and bond or warrants and equity. Units may be broken up at the request of the security holder or based on market convention.
DSCL	Disclosure	Requirement for holders or beneficial owners to disclose their name, location and holdings of any issue to the issuer.
DVOP	DividendOption	Distribution of a dividend to shareholders with a choice of benefit to receive. Shareholders may choose to receive shares or cash. To be distinguished from DRIP as the company creates new share capital in exchange for the dividend rather than investing the dividend in the market.
DRIP	DividendReinvestment	Dividend payment where holders can keep cash or have the cash reinvested in the market by the issuer into additional shares in the issuing company. To be distinguished from DVOP as the company invests the dividend in the market rather than creating new share capital in exchange for the dividend.
DRAW	Drawing	Securities are redeemed in part before the scheduled final maturity date. It is done without any pool factor reduction. The redemption is reflected in a debit of the face amount (FAMT). Drawing is distinct from partial call since drawn bonds are chosen by lottery. Therefore, not every holder is affected in the same way.
DTCH	DutchAuction	Action by a party wishing to acquire a security. Holders of the security are invited to make an offer to sell, within a specific price range. The acquiring party will buy from the holder with lowest offer.

CodeName	Name	Definition
EXOF	Exchange	Exchange of holdings for other securities and/or cash. The exchange can be either mandatory or voluntary involving the exchange of outstanding securities for different securities and/or cash. For example "exchange offer", "capital reorganisation" or "funds separation".
REDM	FinalMaturity	Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, at final maturity.
MCAL	FullCall	Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, before final maturity.
INCR	IncreaseInValue	Increase in the face value of a single security. The number of circulating securities remains unchanged.
PPMT	InstalmentCall	Instalment towards the purchase of equity capital, subject to an agreement between an issuer and a purchaser.
INTR	InterestPayment	Interest payment distributed to holders of an interest bearing asset.
RHDI	IntermediateSecuritiesDistribution	Distribution of intermediate securities that gives the holder the right to take part in a future event.
LIQU	LiquidationDividend	Distribution of cash, assets or both. Debt may be paid in order of priority based on preferred claims to assets specified by the security.
EXTM	MaturityExtension	As stipulated in the security's Terms and Conditions, the issuer or the holder may prolong the maturity date of a security. After extension, the security details may differ from the original issue. An issuer initiated extension may be subject to holder's approval.
MRGR	Merger	Exchange of outstanding securities, initiated by the issuer which may include options, as the result of two or more companies combining assets, that is, an external, third party company. Cash payments may accompany share exchange.
NOOF	NonOfficialOffer	Offers that are not supervised or regulated by an official entity and being offered by a party, for example a broker, usually at a discount price, for example broker offer, mini-tender, mini odd lot offer or third party offer.
CERT	NonUSTEFRADCertification	Non-US beneficial owner certification requirement for exchange of temporary to permanent notes.

CodeName	Name	Definition
ODLT	OddLotSalePurchase	Sale or purchase of odd-lots to/from the issuing company, initiated either by the holder of the security or through an offer made by the issuer.
OTHR	OtherEvent	Other event, use only when no other event type applies, for example, a new event type.
PARI	PariPassu	Occurs when securities with different characteristics, for example, shares with different entitlements to dividend or voting rights, become identical in all respects, for example, pari-passu or assimilation. May be scheduled in advance, for example, shares resulting from a bonus may become fungible after a pre-set period of time, or may result from outside events, for example, merger, reorganisation, issue of supplementary tranches.
PCAL	PartialRedemptionWithoutPoolFactorReduction	Securities are redeemed in part before their scheduled final maturity date. It is done without any pool factor reduction. The redemption is reflected in a debit of the face amount (FAMT).
PRED	PartialRedemptionWithPoolFactorReduction	Securities are redeemed in part before their scheduled final maturity date. The redemption is reflected in a pool factor reduction. No movement of securities occurs.
PINK	PayInKind	Interest payment, in any kind except cash, distributed to holders of an interest bearing asset.
PLAC	PlaceOfIncorporation	Changes in the state of incorporation for US companies and changes in the place of incorporation for foreign companies. Where shares need to be registered following the incorporation change, the holder(s) may have to elect the registrar.
PDEF	Prefunding	Also called partial defeasance. Issuer has money set aside to redeem a portion of an issue and the indenture states that the securities could be called earlier than the stated maturity.
PRIO	PriorityIssue	Form of open or public offer where, due to a limited amount of securities available, priority is given to existing shareholders.
BPUT	PutRedemption	Early redemption of a security at the election of the holder subject to the terms and condition of the issue with no reduction in nominal value.
REDO	Redenomination	Event by which the unit (currency and/or nominal) of a security is restated, for example, nominal/par value of security in a national currency is restated in another currency.



CodeName	Name	Definition
REMK	RemarketingAgreement	Purchase and sale of remarketed preferred equities/bonds through the negotiation of interest rate between the issuers and the holders.
BIDS	RepurchaseOffer	Repurchase offer / issuer bid / reverse rights. Offer to existing holders by the issuing company to repurchase its own securities. The objective of the offer is to reduce the number of outstanding securities.
SPLR	ReverseStockSplit	Decrease in a company's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are increased accordingly.
RHTS	RightsIssue	Offer to holders of a security to subscribe for additional securities via the distribution of an intermediate security. Both processes are included in the same event.
DVSC	ScripDividend	Dividend or interest paid in the form of scrip.
SHPR	SharesPremiumDividend	Corporate event pays shareholders an amount in cash issued from the shares premium reserve. It is similar to a dividend but with different tax implications.
SMAL	SmallestNegotiableUnit	Modification of the smallest negotiable unit of shares in order to obtain a new negotiable unit.
SOFF	SpinOff	Distribution of securities issued by another company. The distributed securities may either be of a newly created or of an existing company. For example, spin-off, demerger, unbundling, divestment.
DVSE	StockDividend	Dividend paid to shareholders in the form of equities of the issuing corporation.
SPLF	StockSplit	Increase in a corporation's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are reduced accordingly.
TREC	TaxReclaim	Event related to tax reclaim activities.
TEND	Tender	Offer made to holders by a third party, requesting them to sell (tender) or exchange their securities.
DLST	TradingStatusDelisted	Security is no longer able to comply with the listing requirements of a stock exchange and is removed from official board quotation.

CodeName	Name	Definition
SUSP	TradingStatusSuspended	Trading in the security has been suspended.
EXWA	WarrantExercise	Option offered to holders to buy (call warrant) or to sell (put warrant) a specific amount of stock, cash, or commodity, at a predetermined price, during a predetermined period of time (which usually corresponds to the life of the issue).
WTRC	WithholdingTaxReliefCertification	Certification process for withholding tax reduction or exemption based on the tax status of the holder.
WRTH	Worthless	Booking out of valueless securities.
ACCU	Accumulation	Funds related event in which the income (for example accumulation units) that accrues during an accounting period is retained within the fund instead of being paid away to investors. The retained income is nonetheless deemed to have been distributed to investors for tax purposes.

### 16.2.2.32 CorporateActionFrequencyType5Code

*Definition:* Automatic Reinvestment of Cash distributed by accumulating funds.

*Type:* CodeSet

CodeName	Name	Definition
FINL	Final	Payment of a dividend, less amounts already paid through interim dividends.
INTE	Interim	Dividend declared and paid before annual earnings have been determined.
REIN	Reinvestment	Reinvestment of cash distributed.
REGR	Regular	Dividend paid at regular interval, for example, quarterly.
SPEC	Special	Dividend in addition to the regular dividend being paid by the company.
SPRE	SpecialDividendWithReinvestment	Special Dividend with reinvestment component.

### 16.2.2.33 CorporateActionInformationType1Code

*Definition:* Specifies the type of information event.

*Type:* CodeSet

CodeName	Name	Definition
CONF	ConferenceCall	Information is about an informal call when an issuer, trustee, agent wishes to talk to note holders to discuss a certain issue or potential change to the notes; nothing said being binding.

### 16.2.2.34 CorporateActionMandatoryVoluntary1Code

*Definition:* Specifies whether the event is mandatory, mandatory with options or voluntary.

*Type:* CodeSet

CodeName	Name	Definition
MAND	Mandatory	Participation in CA event is mandatory. Further instructions from the account owner are not required.
CHOS	MandatoryWithOptions	Participation in the corporate action is mandatory and further instructions from the account owner are required, unless a default option has been specified.
VOLU	Voluntary	Participation in the corporate action is voluntary. If the owner wishes to take part in the event, instructions from the account owner are required.

### 16.2.2.35 CorporateActionMovementPreliminaryAdviceFunction1Code

*Definition:* Specifies whether the message is a final eligible balance and entitlements message or a preliminary advice of payment message.

*Type:* CodeSet

CodeName	Name	Definition
ENTL	Entitlement	Message is an entitlement.
CAPA	PreadviceOfMovement	Message is a preadvice of movement.

### 16.2.2.36 CorporateActionNarrative1Code

*Definition:* Specifies the narrative type of a corporate action.

*Type:* CodeSet

CodeName	Name	Definition
TAXE	TaxationConditions	Provides taxation conditions that cannot be included within the structured fields of this message.
REGI	RegistrationDetails	Provides information required for the registration.
WTRC	WithholdingTaxReliefCertification	Certification process for withholding tax reduction or exemption based on the tax status of the holder.
RFMC	ICSDRefusalOfMarkUpDownConfirmation	In the context of a corporate action, an International Central Securities Depository (ICSD) refuses a mark-up/ mark-down confirmation sent by the account servicer.
PAUT	ChasingOfPriorAuthorization	International Central Securities Depository (ICSD) chases the authorisation from the account servicer in order to process the exchange from global temporary to global permanent.

CodeName	Name	Definition
CTIN	ConfirmationOfHoldingTransfer	Confirmation of transfer of interests between International Central Securities Depositories (ICSDs) following a corporate actions.

### 16.2.2.37 CorporateActionNotificationType1Code

*Definition:* Type of notification advice.

*Type:* CodeSet

CodeName	Name	Definition
NEWM	New	New notification.
REPL	Replacement	Notification replacing a previously sent notification.
RMDR	Reminder	Notification sent as a reminder of an event taking place.

### 16.2.2.38 CorporateActionOption11Code

*Definition:* Specifies the type of corporate action options.

*Type:* CodeSet

CodeName	Name	Definition
ABST	Abstain	Vote expressed as abstain. In this case, the issuing company will add the number of shares to the quorum of the meeting.  If the voting right is not executed, it will not be added to the quorum. In this case, code NOAC should be used.
BSPL	BonusSharePlan	Receive equities from the share premium reserve of the company and considered as a capital distribution rather than a disbursement of income with different tax implications (typically found in Australia).
BUYA	BuyUp	Buy additional securities to round up position.
CASE	CashAndSecurity	Option to choose between different security and cash options.
CASH	Cash	Option to choose cash.
CEXC	ConsentAndExchange	Vote to consent to change the terms of the securities agreement and to exchange securities.
CONN	ConsentDenied	Vote not to approve the event or proposal.
CONY	ConsentGranted	Vote to approve the event or proposal.
CTEN	ConsentAndTender	Vote to consent to change the terms of the securities agreement and to tender securities for cash.

CodeName	Name	Definition
EXER	Exercise	Exercise intermediate securities or warrants.
LAPS	Lapse	Allow event or entitled security to expire.
MPUT	Retain	Option that allows a holder to elect to retain their holding, for example, a puttable bond.
NOAC	NoAction	Option for the account owner not to take part in the event. This would include opt-out for class actions and lodging of dissenters' rights.
NOQU	NonQualifiedInvestor	Account owner is a non-qualified investor.
OFFR	ProposedRate	In a remarketing of variable notes, the margin that shareholders can propose in respect of the next interest period.
OTHR	Other	Generic corporate action option to be used in case that no other specific code is appropriate.
OVER	Oversubscribe	Subscribe to more equities than underlying securities position allows.
QINV	QualifiedInvestor	Account owner is a qualified investor.
SECU	Security	Distribution of securities to holders.
SLLE	SellEntitlement	Sell the intermediate securities.
PRUN	UnknownProceeds	Proceeds not known during election period. The option can result in cash and/or securities.

### 16.2.2.39 CorporateActionOption12Code

*Definition:* Specifies the type of corporate action options.

*Type:* CodeSet

CodeName	Name	Definition
ABST	Abstain	Vote expressed as abstain. In this case, the issuing company will add the number of shares to the quorum of the meeting.  If the voting right is not executed, it will not be added to the quorum. In this case, code NOAC should be used.
BSPL	BonusSharePlan	Receive equities from the share premium reserve of the company and considered as a capital distribution rather than a disbursement of income with different tax implications (typically found in Australia).
BUYA	BuyUp	Buy additional securities to round up position.
CASE	CashAndSecurity	Option to choose between different security and cash options.

CodeName	Name	Definition
CASH	Cash	Option to choose cash.
CEXC	ConsentAndExchange	Vote to consent to change the terms of the securities agreement and to exchange securities.
CONN	ConsentDenied	Vote not to approve the event or proposal.
CONY	ConsentGranted	Vote to approve the event or proposal.
CTEN	ConsentAndTender	Vote to consent to change the terms of the securities agreement and to tender securities for cash.
EXER	Exercise	Exercise intermediate securities or warrants.
LAPS	Lapse	Allow event or entitled security to expire.
MKDW	MarkDown	Mark down the global certificate as a result of a corporate action (instruction from International Central Securities Depositories (ICSDs) to common depositories who are holding the global certificate on behalf of the International Central Securities Depositories (ICSDs)).
MKUP	MarkUp	Mark up the global certificate as a result of a corporate action (instruction from International Central Securities Depositories (ICSDs) to common depositories who are holding the global certificate on behalf of the International Central Securities Depositories (ICSDs)).
MPUT	Retain	Option that allows a holder to elect to retain their holding, for example, a puttable bond.
NOAC	NoAction	Option for the account owner not to take part in the event. This would include opt-out for class actions and lodging of dissenters' rights.
NOQU	NonQualifiedInvestor	Account owner is a non-qualified investor.
OFFR	ProposedRate	In a remarketing of variable notes, the margin that shareholders can propose in respect of the next interest period.
OTHR	Other	Generic corporate action option to be used in case that no other specific code is appropriate.
OVER	Oversubscribe	Subscribe to more equities than underlying securities position allows.
QINV	QualifiedInvestor	Account owner is a qualified investor.
SECU	Security	Distribution of securities to holders.
SLLE	SellEntitlement	Sell the intermediate securities.

CodeName	Name	Definition
PRUN	UnknownProceeds	Proceeds not known during election period. The option can result in cash and/or securities.

#### 16.2.2.40 CorporateActionOption15Code

*Definition:* Specifies the type of corporate action options.

*Type:* CodeSet

CodeName	Name	Definition
ABST	Abstain	Vote expressed as abstain. In this case, the issuing company will add the number of shares to the quorum of the meeting.  If the voting right is not executed, it will not be added to the quorum. In this case, code NOAC should be used.
BSPL	BonusSharePlan	Receive equities from the share premium reserve of the company and considered as a capital distribution rather than a disbursement of income with different tax implications (typically found in Australia).
BUYA	BuyUp	Buy additional securities to round up position.
CASE	CashAndSecurity	Option to choose between different security and cash options.
CASH	Cash	Option to choose cash.
CEXC	ConsentAndExchange	Vote to consent to change the terms of the securities agreement and to exchange securities.
CONN	ConsentDenied	Vote not to approve the event or proposal.
CONY	ConsentGranted	Vote to approve the event or proposal.
CTEN	ConsentAndTender	Vote to consent to change the terms of the securities agreement and to tender securities for cash.
EXER	Exercise	Exercise intermediate securities or warrants.
LAPS	Lapse	Allow event or entitled security to expire.
MPUT	Retain	Option that allows a holder to elect to retain their holding, for example, a puttable bond.
NOAC	NoAction	Option for the account owner not to take part in the event. This would include opt-out for class actions and lodging of dissenters' rights.
NOQU	NonQualifiedInvestor	Account owner is a non-qualified investor.

CodeName	Name	Definition
OFFR	ProposedRate	In a remarketing of variable notes, the margin that shareholders can propose in respect of the next interest period.
OTHR	Other	Generic corporate action option to be used in case that no other specific code is appropriate.
OVER	Oversubscribe	Subscribe to more equities than underlying securities position allows.
QINV	QualifiedInvestor	Account owner is a qualified investor.
SECU	Security	Distribution of securities to holders.
SLLE	SellEntitlement	Sell the intermediate securities.
PRUN	UnknownProceeds	Proceeds not known during election period. The option can result in cash and/or securities.
BOBD	BeneficialOwnerBreakdownRequest	Breakdown of beneficial ownership required for withholding tax reclaim event.

#### 16.2.2.41 CorporateActionOption16Code

*Definition:* Specifies the type of corporate action options.

*Type:* CodeSet

CodeName	Name	Definition
ABST	Abstain	Vote expressed as abstain. In this case, the issuing company will add the number of shares to the quorum of the meeting.  If the voting right is not executed, it will not be added to the quorum. In this case, code NOAC should be used.
BSPL	BonusSharePlan	Receive equities from the share premium reserve of the company and considered as a capital distribution rather than a disbursement of income with different tax implications (typically found in Australia).
BUYA	BuyUp	Buy additional securities to round up position.
CASE	CashAndSecurity	Option to choose between different security and cash options.
CASH	Cash	Option to choose cash.
CERT	Certification	Certification is provided.
CEXC	ConsentAndExchange	Vote to consent to change the terms of the securities agreement and to exchange securities.
CONN	ConsentDenied	Vote not to approve the event or proposal.
CONY	ConsentGranted	Vote to approve the event or proposal.



CodeName	Name	Definition
CTEN	ConsentAndTender	Vote to consent to change the terms of the securities agreement and to tender securities for cash.
EXER	Exercise	Exercise intermediate securities or warrants.
LAPS	Lapse	Allow event or entitled security to expire.
MKDW	MarkDown	Mark down the global certificate as a result of a corporate action (instruction from International Central Securities Depositories (ICSDs) to common depositories who are holding the global certificate on behalf of the International Central Securities Depositories (ICSDs)).
MKUP	MarkUp	Mark up the global certificate as a result of a corporate action (instruction from International Central Securities Depositories (ICSDs) to common depositories who are holding the global certificate on behalf of the International Central Securities Depositories (ICSDs)).
MPUT	Retain	Option that allows a holder to elect to retain their holding, for example, a puttable bond.
NOAC	NoAction	Option for the account owner not to take part in the event. This would include opt-out for class actions and lodging of dissenters' rights.
NOQU	NonQualifiedInvestor	Account owner is a non-qualified investor.
OFFR	ProposedRate	In a remarketing of variable notes, the margin that shareholders can propose in respect of the next interest period.
OTHR	Other	Generic corporate action option to be used in case that no other specific code is appropriate.
OVER	Oversubscribe	Subscribe to more equities than underlying securities position allows.
QINV	QualifiedInvestor	Account owner is a qualified investor.
SECU	Security	Distribution of securities to holders.
SLLE	SellEntitlement	Sell the intermediate securities.
TAXI	TaxInstruction	Tax instruction.
PRUN	UnknownProceeds	Proceeds not known during election period. The option can result in cash and/or securities.
BOBD	BeneficialOwnerBreakdownRequest	Breakdown of beneficial ownership required for withholding tax reclaim event.

### 16.2.2.42 CorporateActionOption17Code

*Definition:* Specifies the type of corporate action options.

*Type:* CodeSet

CodeName	Name	Definition
ABST	Abstain	Vote expressed as abstain. In this case, the issuing company will add the number of shares to the quorum of the meeting.  If the voting right is not executed, it will not be added to the quorum. In this case, code NOAC should be used.
BSPL	BonusSharePlan	Receive equities from the share premium reserve of the company and considered as a capital distribution rather than a disbursement of income with different tax implications (typically found in Australia).
BUYA	BuyUp	Buy additional securities to round up position.
CASE	CashAndSecurity	Option to choose between different security and cash options.
CASH	Cash	Option to choose cash.
CEXC	ConsentAndExchange	Vote to consent to change the terms of the securities agreement and to exchange securities.
CONN	ConsentDenied	Vote not to approve the event or proposal.
CONY	ConsentGranted	Vote to approve the event or proposal.
CTEN	ConsentAndTender	Vote to consent to change the terms of the securities agreement and to tender securities for cash.
EXER	Exercise	Exercise intermediate securities or warrants.
LAPS	Lapse	Allow event or entitled security to expire.
MKDW	MarkDown	Mark down the global certificate as a result of a corporate action (instruction from International Central Securities Depositories (ICSDs) to common depositories who are holding the global certificate on behalf of the International Central Securities Depositories (ICSDs)).
MKUP	MarkUp	Mark up the global certificate as a result of a corporate action (instruction from International Central Securities Depositories (ICSDs) to common depositories who are holding the global certificate on behalf of the International Central Securities Depositories (ICSDs)).
MPUT	Retain	Option that allows a holder to elect to retain their holding, for example, a putable bond.

CodeName	Name	Definition
NOAC	NoAction	Option for the account owner not to take part in the event. This would include opt-out for class actions and lodging of dissenters' rights.
NOQU	NonQualifiedInvestor	Account owner is a non-qualified investor.
OFFR	ProposedRate	In a remarketing of variable notes, the margin that shareholders can propose in respect of the next interest period.
OTHR	Other	Generic corporate action option to be used in case that no other specific code is appropriate.
OVER	Oversubscribe	Subscribe to more equities than underlying securities position allows.
QINV	QualifiedInvestor	Account owner is a qualified investor.
SECU	Security	Distribution of securities to holders.
SLLE	SellEntitlement	Sell the intermediate securities.
TAXI	TaxInstruction	Tax instruction.
PRUN	UnknownProceeds	Proceeds not known during election period. The option can result in cash and/or securities.
BOBD	BeneficialOwnerBreakdownRequest	Breakdown of beneficial ownership required for withholding tax reclaim event.

### 16.2.2.43 CorporateActionPreliminaryAdviceType1Code

*Definition:* Type of movement preliminary advice.

*Type:* CodeSet

CodeName	Name	Definition
NEWM	New	New movement preliminary advice.
REPL	Replacement	Movement preliminary advice replacing a previously sent preliminary advice.

### 16.2.2.44 CorporateActionReversalReason2Code

*Definition:* Specifies the reason why a reversal of payment is taking place in corporate action processing.

*Type:* CodeSet

CodeName	Name	Definition
DCBD	DayCountBasisDifference	Difference in day count basis.
FNRC	FundsNotReceived	Funds have not been received.
IREDD	IncorrectEntitlementDate	Entitlement date is incorrect.
IETR	IncorrectEventLevelTaxRate	Event level tax rate is incorrect.

CodeName	Name	Definition
IPCU	IncorrectPaymentCurrency	Payment currency is incorrect.
IPRI	IncorrectPrice	Price is incorrect.
IVAD	IncorrectValueDate	Value date is incorrect.
POCS	PaymentOutsideClearingSystem	Payment will occur outside of clearing system.
UPAY	UnduePayment	Payment is not due.

#### 16.2.2.45 CorporateActionStatementReportingType1Code

*Definition:* Type of statement reporting on account holdings for corporate action events for example reporting on multiple accounts or multiple events.

*Type:* CodeSet

CodeName	Name	Definition
MASE	MultipleAccounts	The reporting is for a single event and for multiple accounts.
SAME	MultipleEvents	The reporting is for multiple events for a single account.

#### 16.2.2.46 CorporateActionStatementType2Code

*Definition:* Indicates whether the statement contains missing instructions only or all instructions.

*Type:* CodeSet

CodeName	Name	Definition
MISS	Missing	Statement contains missing instructions.
ALLL	All	Statement contains all instructions.
BALO	BalanceOnlyNotification	Balance information with no instruction details provided.
BALI	BalanceInformation	Balance information with instruction details.

#### 16.2.2.47 CorporateActionTaxableIncomePerShareCalculated1Code

*Definition:* Specifies whether the fund calculates the taxable income per dividend/taxable income per share (TID/TIS).

*Type:* CodeSet

CodeName	Name	Definition
TDIY	Calculated	Fund is calculating the taxable income per dividend/taxable income per share.
TDIN	NotCalculated	Fund is not calculating the taxable income per dividend/taxable income per share.
UKWN	Unknown	Unknown whether the fund is calculating the taxable income per dividend/taxable income per share.

### 16.2.2.48 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.

### 16.2.2.49 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.

### 16.2.2.50 DateType1Code

*Definition:* Specifies when date is unknown.

*Type:* CodeSet

CodeName	Name	Definition
UKWN	Unknown	Date is unknown by the sender or has not been established.

### 16.2.2.51 DateType7Code

*Definition:* Type of date.

*Type:* CodeSet

CodeName	Name	Definition
ONGO	Ongoing	Ongoing basis, which indicates that the date is determined by "ongoing basis" process, for example "au fil de l'eau".

### 16.2.2.52 DateType8Code

*Definition:* Specifies the type of dates.

*Type:* CodeSet

CodeName	Name	Definition
UKWN	Unknown	Date is unknown by the sender or has not been established.
ONGO	Ongoing	Ongoing basis, which indicates that the date is determined by "ongoing basis" process, for example "au fil de l'eau".

### 16.2.2.53 DateType9Code

*Definition:* Date is specified as a fixed code value.

*Type:* CodeSet

CodeName	Name	Definition
PWAL	BlockingTillEndOfElectionPeriod	Blocking occurs until and inclusive of the end of the election period of the option.
MKDT	BlockingTillMarketDeadline	Blocking occurs until and inclusive of the market deadline of the option.
MEET	BlockingTillMeetingDate	Blocking occurs until and inclusive of the meeting date.
PAYD	BlockingTillPaymentDate	Unblocking will occur on payment date of the option.
RDTE	BlockingTillRecordDate	Blocking occurs until and inclusive of the record date of the event.
RDDT	BlockingTillResponseDeadline	Blocking occurs until and inclusive of the account servicer deadline for the option.
NARR	NarrativeUnblockingDate	Refer to additional information element for the date until when the securities are blocked.
UKWN	Unknown	Date is unknown by the sender or has not been established.

### 16.2.2.54 DeemedRateType1Code

*Definition:* Specifies the type of a deemed rate.

*Type:* CodeSet

CodeName	Name	Definition
DEDI	DeemedDividendProceeds	Deemed rate of dividend proceeds attributed to the security holder.
DEFP	DeemedFundProceeds	Deemed rate of fund proceeds attributed to the security holder.
DEIT	DeemedInterestProceeds	Deemed rate of interest proceeds attributed to the security holder.
DERY	DeemedRoyaltiesProceeds	Deemed rate of royalties proceeds attributed to the security holder.

### 16.2.2.55 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).

### 16.2.2.56 DistributionType3Code

*Definition:* Specifies whether the proceeds of the event will be distributed on a rolling basis rather than on a specific date.

*Type:* CodeSet

CodeName	Name	Definition
FINL	Final	Final payment.
INTE	Interim	Interim payment.
ONGO	Ongoing	Event is ongoing for acceptance on an unsolicited basis.
ROLL	RollingBasis	Event will have a number of acceptance and payment dates until further announcement by the Issuer or its agent.

### 16.2.2.57 DividendRateType1Code

*Definition:* Specifies the type of dividend rate.

*Type:* CodeSet

CodeName	Name	Definition
TXBL	TaxablePortion	Rate relating to the underlying security for which tax is charged.

### 16.2.2.58 ElectionMovementType2Code

*Definition:* Specifies the effect on the holdings of electing a Corporate Action option.

*Type:* CodeSet

CodeName	Name	Definition
DRCT	Direct	Direct movement of resource, that is, cash or security that is directly credited to the paying agent account.
SEQD	Sequestered	Election results in a change of balance type that transfers control of the securities rather than the securities themselves.

### 16.2.2.59 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.

### 16.2.2.60 EventCompletenessStatus1Code

*Definition:* Indicates whether the details provided about an event are complete or incomplete.

*Type:* CodeSet

CodeName	Name	Definition
COMP	Complete	Event details are complete.
INCO	Incomplete	Event details are not complete.

### 16.2.2.61 EventConfirmationStatus1Code

*Definition:* Indicates the status of the occurrence of an event.

*Type:* CodeSet

CodeName	Name	Definition
CONF	Confirmed	Occurrence of the event has been confirmed.
UCON	Unconfirmed	Occurrence of the event has not been confirmed.

### 16.2.2.62 EventFrequency4Code

*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.



### 16.2.2.63 EventSequenceType1Code

*Definition:* Specifies whether the event is an interim or a final event in a series of successive events.

*Type:* CodeSet

CodeName	Name	Definition
FINL	Final	Final event in a series of successive events.
INTE	Interim	Interim event in a series of successive events.

### 16.2.2.64 ExternalClearingSystemIdentification1Code

*Definition:* Specifies the clearing system identification code, as published in an external clearing system identification code list.

External code sets can be downloaded from [www.iso20022.org](http://www.iso20022.org).

*Type:* CodeSet

#### Format

minLength	1
maxLength	5

### 16.2.2.65 ExternalFinancialInstitutionIdentification1Code

*Definition:* Specifies the external financial institution identification scheme name code in the format of character string with a maximum length of 4 characters.

The list of valid codes is an external code list published separately.

External code sets can be downloaded from [www.iso20022.org](http://www.iso20022.org).

*Type:* CodeSet

#### Format

minLength	1
maxLength	4

### 16.2.2.66 ExternalFinancialInstrumentIdentificationType1Code

*Definition:* Specifies the external financial instrument identification type scheme name code in the format of character string with a maximum length of 4 characters.

The list of valid codes is an external code list published separately.

External code sets can be downloaded from [www.iso20022.org](http://www.iso20022.org).

*Type:* CodeSet

#### Format

minLength	1
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maxLength 4

### 16.2.2.67 ExternalOrganisationIdentification1Code

*Definition:* Specifies the external organisation identification scheme name code in the format of character string with a maximum length of 4 characters.

The list of valid codes is an external code list published separately.

External code sets can be downloaded from [www.iso20022.org](http://www.iso20022.org).

*Type:* CodeSet

#### Format

minLength 1  
 maxLength 4

### 16.2.2.68 ExternalPersonIdentification1Code

*Definition:* Specifies the external person identification scheme name code in the format of character string with a maximum length of 4 characters.

The list of valid codes is an external code list published separately.

External code sets can be downloaded from [www.iso20022.org](http://www.iso20022.org).

*Type:* CodeSet

#### Format

minLength 1  
 maxLength 4

### 16.2.2.69 FractionDispositionType10Code

*Definition:* Indicates that fractional value should be retained; no rounding.

*Type:* CodeSet

CodeName	Name	Definition
BUYU	BuyUp	Buy securities up to next whole number.
CINL	CashInLieuOfFraction	Fractional part of cash. Take cash in lieu of fractions.
EXPI	Expire	Let fractions expire worthless.
DIST	IssueFraction	Take distribution of fractions in the form of securities.

### 16.2.2.70 FractionDispositionType11Code

*Definition:* Indicates that fractional value should be retained; no rounding.

*Type:* CodeSet

CodeName	Name	Definition
BUYU	BuyUp	Buy securities up to next whole number.
CINL	CashInLieuOfFraction	Fractional part of cash. Take cash in lieu of fractions.
DIST	IssueFraction	Take distribution of fractions in the form of securities.
RDDN	RoundDown	Round the entitlement down to the last full unit/minimum nominal quantity, fractions are discarded.
STAN	RoundToNearest	If the fraction is greater than or equal to 0.5 of the resulting security then round up, else round down as specified in the respective RDUP and RDDN codes.
RDUP	RoundUp	Round up to the next full unit/minimum nominal quantity at no cost.

### 16.2.2.71 FractionDispositionType8Code

*Definition:* Indicates that fractional value should be retained; no rounding.

*Type:* CodeSet

CodeName	Name	Definition
BUYU	BuyUp	Buy securities up to next whole number.
CINL	CashInLieuOfFraction	Fractional part of cash. Take cash in lieu of fractions.
DIST	IssueFraction	Take distribution of fractions in the form of securities.
RDDN	RoundDown	Round the entitlement down to the last full unit/minimum nominal quantity, fractions are discarded.
STAN	RoundToNearest	If the fraction is greater than or equal to 0.5 of the resulting security then round up, else round down as specified in the respective RDUP and RDDN codes.
RDUP	RoundUp	Round up to the next full unit/minimum nominal quantity at no cost.
UKWN	Unknown	Characteristics of the disposition of fractions are unknown.

### 16.2.2.72 FractionDispositionType9Code

*Definition:* Indicates that fractional value should be retained; no rounding.

*Type:* CodeSet

CodeName	Name	Definition
DIST	IssueFraction	Take distribution of fractions in the form of securities.
RDDN	RoundDown	Round the entitlement down to the last full unit/minimum nominal quantity, fractions are discarded.

CodeName	Name	Definition
STAN	RoundToNearest	If the fraction is greater than or equal to 0.5 of the resulting security then round up, else round down as specified in the respective RDUP and RDDN codes.
RDUP	RoundUp	Round up to the next full unit/minimum nominal quantity at no cost.
UKWN	Unknown	Characteristics of the disposition of fractions are unknown.

### 16.2.2.73 GrossDividendRateType6Code

*Definition:* Specifies the type of dividend rate.

*Type:* CodeSet

CodeName	Name	Definition
CAPO	CapitalPortion	Rate relating to the underlying security for which capital is distributed.
FLFR	FullyFranked	Rate resulting from a fully franked dividend paid by a company; the rate includes tax credit for companies that have made sufficient tax payments during the fiscal period.
INCO	IncomePortion	Rate relating to the underlying security for which income is distributed.
INTR	Interest	Rate relating to the underlying security for which interest is paid.
LTCG	LongTermCapitalGain	Long term capital gain.
REES	RealEstatePropertyIncomePortion	Rate of income distribution originated by real estate investment.
STCG	ShortTermCapitalGain	Short term capital gain.
SOIC	SundryOrOtherIncome	Rate relating to the underlying security for which other income is paid.
TXBL	TaxablePortion	Rate relating to the underlying security for which tax is charged.
TXDF	TaxDeferred	Rate relating to the underlying security for which tax is deferred.
TXFR	TaxFree	Rate relating to the underlying security which is not taxable.
UNFR	Unfranked	Rate resulting from an unfranked dividend paid by a company; the rate does not include tax credit and is subject to withholding tax.
CDFI	ForeignIncome	Rate relating to a foreign income type such as a conduit foreign income.

### 16.2.2.74 GrossDividendRateType7Code

*Definition:* Specifies the type of dividend rate.

*Type:* CodeSet

CodeName	Name	Definition
CAPO	CapitalPortion	Rate relating to the underlying security for which capital is distributed.
CDFI	ForeignIncome	Rate relating to a foreign income type such as a conduit foreign income.
FUPU	FullPeriodUnitsIncomePortion	Distribution rate relating to the full period units, for example Group I units in UK.
FLFR	FullyFranked	Rate resulting from a fully franked dividend paid by a company; the rate includes tax credit for companies that have made sufficient tax payments during the fiscal period.
INCO	IncomePortion	Rate relating to the underlying security for which income is distributed.
INTR	Interest	Rate relating to the underlying security for which interest is paid.
LTCG	LongTermCapitalGain	Long term capital gain.
PAPU	PartWayPeriodUnitsIncomePortion	Distribution rate relating to the part way period units, for example Group II units in UK.
REES	RealEstatePropertyIncomePortion	Rate of income distribution originated by real estate investment.
STCG	ShortTermCapitalGain	Short term capital gain.
SOIC	SundryOrOtherIncome	Rate relating to the underlying security for which other income is paid.
TXBL	TaxablePortion	Rate relating to the underlying security for which tax is charged.
TXDF	TaxDeferred	Rate relating to the underlying security for which tax is deferred.
TXFR	TaxFree	Rate relating to the underlying security which is not taxable.
UNFR	Unfranked	Rate resulting from an unfranked dividend paid by a company; the rate does not include tax credit and is subject to withholding tax.

### 16.2.2.75 InterestComputationMethod2Code

*Definition:* Specifies the method used to compute accruing interest of a financial instrument.

*Type:* CodeSet

CodeName	Name	Definition
A001	IC30360ISDAor30360AmericanBasicRule	Method whereby interest is calculated based on a 30-day month and a 360-day year. Accrued interest to a value date on the last day of a month shall be the same as to the 30th calendar day of the same month, except for February, and provided that the interest period started on a 30th or a 31st. This means that a 31st is assumed to be a 30th if the

CodeName	Name	Definition
		period started on a 30th or a 31st and the 28 Feb (or 29 Feb for a leap year) is assumed to be the 28th (or 29th). This is the most commonly used 30/360 method for US straight and convertible bonds.
A002	IC30365	Method whereby interest is calculated based on a 30-day month in a way similar to the 30/360 (basic rule) and a 365-day year. Accrued interest to a value date on the last day of a month shall be the same as to the 30th calendar day of the same month, except for February. This means that a 31st is assumed to be the 30th and the 28 Feb (or 29 Feb for a leap year) is assumed to be the 28th (or 29th).
A003	IC30Actual	Method whereby interest is calculated based on a 30-day month in a way similar to the 30/360 (basic rule) and the assumed number of days in a year in a way similar to the Actual/Actual (ICMA). Accrued interest to a value date on the last day of a month shall be the same as to the 30th calendar day of the same month, except for February. This means that the 31st is assumed to be the 30th and 28 Feb (or 29 Feb for a leap year) is assumed to be the 28th (or 29th). The assumed number of days in a year is computed as the actual number of days in the coupon period multiplied by the number of interest payments in the year.
A004	Actual360	Method whereby interest is calculated based on the actual number of accrued days in the interest period and a 360-day year.
A005	Actual365Fixed	Method whereby interest is calculated based on the actual number of accrued days in the interest period and a 365-day year.
A006	ActualActualICMA	Method whereby interest is calculated based on the actual number of accrued days and the assumed number of days in a year, that is, the actual number of days in the coupon period multiplied by the number of interest payments in the year. If the coupon period is irregular (first or last coupon), it is extended or split into quasi-interest periods that have the length of a regular coupon period and the computation is operated separately on each quasi-interest period and the intermediate results are summed up.
A007	IC30E360orEuroBondBasismodel1	Method whereby interest is calculated based on a 30-day month and a 360-day year. Accrued interest to a value date on the last day of a month shall be the same as to the 30th calendar day of the same month. This means that the 31st is

CodeName	Name	Definition
		assumed to be the 30th and the 28 Feb (or 29 Feb for a leap year) is assumed to be equivalent to 30 Feb. However, if the last day of the maturity coupon period is the last day of February, it will not be assumed to be the 30th. It is a variation of the 30/360 (ICMA) method commonly used for eurobonds. The usage of this variation is only relevant when the coupon periods are scheduled to end on the last day of the month.
A008	ActualActualISDA	Method whereby interest is calculated based on the actual number of accrued days of the interest period that fall (falling on a normal year, year) divided by 365, added to the actual number of days of the interest period that fall (falling on a leap year, year) divided by 366.
A009	Actual365LorActuActubasisRule	Method whereby interest is calculated based on the actual number of accrued days and a 365-day year (if the coupon payment date is NOT in a leap year) or a 366-day year (if the coupon payment date is in a leap year).
A010	ActualActualAFB	Method whereby interest is calculated based on the actual number of accrued days and a 366-day year (if 29 Feb falls in the coupon period) or a 365-day year (if 29 Feb does not fall in the coupon period). If a coupon period is longer than one year, it is split by repetitively separating full year subperiods counting backwards from the end of the coupon period (a year backwards from 28 Feb being 29 Feb, if it exists). The first of the subperiods starts on the start date of the accrued interest period and thus is possibly shorter than a year. Then the interest computation is operated separately on each subperiod and the intermediate results are summed up.
A011	IC30360ICMAor30360basicrule	Method whereby interest is calculated based on a 30-day month and a 360-day year. Accrued interest to a value date on the last day of a month shall be the same as to the 30th calendar day of the same month, except for February. This means that the 31st is assumed to be the 30th and 28 Feb (or 29 Feb for a leap year) is assumed to be the 28th (or 29th). It is the most commonly used 30/360 method for non-US straight and convertible bonds issued before 1 January 1999.
A012	IC30E2360orEurobondbasismodel2	Method whereby interest is calculated based on a 30-day month and a 360-day year. Accrued interest to a value date on the last day of a month shall be the same as to the 30th calendar day of the same month, except for the last day of

CodeName	Name	Definition
		February whose day of the month value shall be adapted to the value of the first day of the interest period if the latter is higher and if the period is one of a regular schedule. This means that the 31st is assumed to be the 30th and 28 Feb of a non-leap year is assumed to be equivalent to 29 Feb when the first day of the interest period is the 29th, or to 30 Feb when the first day of the interest period is the 30th or the 31st. The 29th day of February in a leap year is assumed to be equivalent to 30 Feb when the first day of the interest period is the 30th or the 31st. Similarly, if the coupon period starts on the last day of February, it is assumed to produce only one day of interest in February as if it was starting on 30 Feb when the end of the period is the 30th or the 31st, or two days of interest in February when the end of the period is the 29th, or three days of interest in February when it is 28 Feb of a non-leap year and the end of the period is before the 29th.
A013	IC30E3360orEurobondbasismodel3	Method whereby interest is calculated based on a 30-day month and a 360-day year. Accrued interest to a value date on the last day of a month shall be the same as to the 30th calendar day of the same month. This means that the 31st is assumed to be the 30th and 28 Feb (or 29 Feb for a leap year) is assumed to be equivalent to 30 Feb. It is a variation of the 30E/360 (or Eurobond basis) method where the last day of February is always assumed to be the 30th, even if it is the last day of the maturity coupon period.
A014	Actual365NL	Method whereby interest is calculated based on the actual number of accrued days in the interest period, excluding any leap day from the count, and a 365-day year.
NARR	Narrative	Other method than A001-A020. See Narrative.

### 16.2.2.76 IntermediateSecurityDistributionType5Code

*Definition:* Specifies the type of intermediate security distribution.

*Type:* CodeSet

CodeName	Name	Definition
BIDS	ReverseRights	Distribution of reverser rights.
DRIP	DividendReinvestment	Distribution of dividend reinvestment securities.
DVCA	CashDividend	Distribution of cash to shareholders, in proportion to their equity holding. Ordinary dividends are recurring and



CodeName	Name	Definition
		regular. Shareholder must take cash and may be offered a choice of currency.
DVOP	DividendOption	Distribution of dividend option.
EXRI	SubscriptionRights	Distribution of subscription rights.
PRIO	OpenOfferRights	Distribution of open offer rights.
DVSC	ScripDividendOrPayment	Dividend or interest paid in the form of scrip.
DVSE	StockDividend	Dividend paid to shareholders in the form of shares of stock.
INTR	InterestPayment	Interest payment distributed to holders of an interest bearing asset.
LIQU	LiquidationDividendOrPayment	A distribution of cash, assets or both.
SOFF	SpinOff	A distribution of subsidiary stock to the shareholders.
SPLF	StockSplit	Also known as change in nominal value or subdivision.  Increase in a corporation's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are reduced accordingly.
BONU	BonusRights	Distribution of bonus rights.
EXOF	Exchange	Exchange of holdings for other securities and/or cash. The exchange can be either mandatory or voluntary involving the exchange of outstanding securities for different securities and/or cash. For example "exchange offer", "capital reorganisation" or "funds separation".
MRGR	Merger	Exchange of outstanding securities, initiated by the issuer which may include options, as the result of two or more companies combining assets, that is, an external, third party company. Cash payments may accompany share exchange.

### 16.2.2.77 ISO2ALanguageCode

*Definition:* Identification of the language name according to the ISO 639-1 codes. The type is validated by the list of values coded with two alphabetic characters, defined in the standard.

*Type:* CodeSet

#### Format

pattern [a-z]{2,2}

### 16.2.2.78 IssuerTaxability2Code

*Definition:* Specifies whether the corporate action proceeds are taxable at issuer level.

*Type:* CodeSet

CodeName	Name	Definition
TXBL	Taxable	The relevant proceeds are taxable.

### 16.2.2.79 LotteryType1Code

*Definition:* Specifies the type of lottery.

*Type:* CodeSet

CodeName	Name	Definition
ORIG	OriginalLotteryNotification	Original lottery that has been announced for a specific amount and date.
SUPP	SupplementalLotteryNotification	Supplemental or additional quantity called on a previously announced original lottery.

### 16.2.2.80 MarketType2Code

*Definition:* Specifies the type of market in which transactions take place, for example, primary.

*Type:* CodeSet

CodeName	Name	Definition
PRIM	PrimaryMarket	The place is a primary market.
SECM	SecondaryMarket	The place is a secondary market.
OTCO	OverTheCounter	The place is over the counter.
VARI	Various	Various places.
EXCH	StockExchange	The place is a stock exchange.

### 16.2.2.81 NamePrefix2Code

*Definition:* Specifies the terms used to formally address a person.

*Type:* CodeSet

CodeName	Name	Definition
DOCT	Doctor	Title of the person is Doctor or Dr.
MADM	Madam	Title of the person is Madam.
MISS	Miss	Title of the person is Miss.
MIST	Mister	Title of the person is Mister or Mr.
MIKS	GenderNeutral	Title of the person is gender neutral (Mx).

### 16.2.2.82 NetDividendRateType6Code

*Definition:* Specifies the type of dividend rate.

Type: CodeSet

CodeName	Name	Definition
CAPO	CapitalPortion	Rate relating to the underlying security for which capital is distributed.
CDFI	ForeignIncome	Rate relating to a foreign income type such as a conduit foreign income.
FLFR	FullyFranked	Rate resulting from a fully franked dividend paid by a company; the rate includes tax credit for companies that have made sufficient tax payments during the fiscal period.
INCO	IncomePortion	Rate relating to the underlying security for which income is distributed.
INTR	Interest	Rate relating to the underlying security for which interest is paid.
REES	RealEstatePropertyIncomePortion	Rate of income distribution originated by real estate investment.
SOIC	SundryOrOtherIncome	Rate relating to the underlying security for which other income is paid.
TXBL	TaxablePortion	Rate relating to the underlying security for which tax is charged.
TXDF	TaxDeferred	Rate relating to the underlying security for which tax is deferred.
TXFR	TaxFree	Rate relating to the underlying security which is not taxable.
UNFR	Unfranked	Rate resulting from an unfranked dividend paid by a company; the rate does not include tax credit and is subject to withholding tax.

### 16.2.2.83 NetDividendRateType7Code

Definition: Specifies the type of dividend rate.

Type: CodeSet

CodeName	Name	Definition
CAPO	CapitalPortion	Rate relating to the underlying security for which capital is distributed.
CDFI	ForeignIncome	Rate relating to a foreign income type such as a conduit foreign income.
FUPU	FullPeriodUnitsIncomePortion	Distribution rate relating to the full period units, for example Group I units in UK.
FLFR	FullyFranked	Rate resulting from a fully franked dividend paid by a company; the rate includes tax credit for companies that have made sufficient tax payments during the fiscal period.
INCO	IncomePortion	Rate relating to the underlying security for which income is distributed.

CodeName	Name	Definition
INTR	Interest	Rate relating to the underlying security for which interest is paid.
SOIC	SundryOrOtherIncome	Rate relating to the underlying security for which other income is paid.
TXBL	TaxablePortion	Rate relating to the underlying security for which tax is charged.
TXDF	TaxDeferred	Rate relating to the underlying security for which tax is deferred.
TXFR	TaxFree	Rate relating to the underlying security which is not taxable.
UNFR	Unfranked	Rate resulting from an unfranked dividend paid by a company; the rate does not include tax credit and is subject to withholding tax.
PAPU	PartWayPeriodUnitsIncomePortion	Distribution rate relating to the part way period units, for example Group II units in UK.
REES	RealEstatePropertyIncomePortion	Rate of income distribution originated by real estate investment.

#### 16.2.2.84 NewSecuritiesIssuanceType5Code

*Definition:* Specifies the type of securities proceeds; whether they are newly issued or not, defeased or non-defeased.

*Type:* CodeSet

CodeName	Name	Definition
DEFE	DefeasedSecurityIndicator	Funds have been placed in escrow by a trustee or agent to ensure payment on a portion of the outstanding balance of the original security on maturity date. Applicable only in the frame of a Partial Defeasance PDEF corporate action event.
EXIS	ExistingIssue	Securities proceeds are not new issues.
NEIS	NewIssue	Securities proceeds are newly issued.
NDEF	NonDefeasedSecurityIndicator	Funds will not be guaranteed at maturity by the issuer or paying agent for this newly issued non-defeased security. Applicable only in the frame of a Partial Defeasance PDEF corporate action event.
UKWN	Unknown	Not known whether the securities proceeds are newly issued or not.
NREF	NonRefundedSecurityIndicator	New Security issued that has not been refunded and the maturity date of the original underlying security is unchanged. Applicable only in the frame of a Partial Defeasance PDEF corporate action event.

CodeName	Name	Definition
REFU	RefundedSecurityIndicator	New security issued that has been refunded to an earlier maturity date. Applicable only in the frame of a partial defeasance PDEF corporate action event.

### 16.2.2.85 NewSecuritiesIssuanceType6Code

*Definition:* Specifies the type of securities proceeds; whether they are defeased or non-defeased.

*Type:* CodeSet

CodeName	Name	Definition
DEFE	DefeasedSecurityIndicator	Funds have been placed in escrow by a trustee or agent to ensure payment on a portion of the outstanding balance of the original security on maturity date. Applicable only in the frame of a Partial Defeasance PDEF corporate action event.
NDEF	NonDefeasedSecurityIndicator	Funds will not be guaranteed at maturity by the issuer or paying agent for this newly issued non-defeased security. Applicable only in the frame of a Partial Defeasance PDEF corporate action event.
REFU	RefundedSecurityIndicator	New security issued that has been refunded to an earlier maturity date. Applicable only in the frame of a partial defeasance PDEF corporate action event.
NREF	NonRefundedSecurityIndicator	New Security issued that has not been refunded and the maturity date of the original underlying security is unchanged. Applicable only in the frame of a Partial Defeasance PDEF corporate action event.

### 16.2.2.86 NonEligibleProceedsIndicator1Code

*Definition:* Specifies information regarding the non eligibility of the outturn resources.

*Type:* CodeSet

CodeName	Name	Definition
NELC	NonEligibleCurrency	Currency not eligible for settlement in the Central Securities Depository (CSD).
ACLI	AccountLimitation	Participant's account limitation.
ONEL	OtherNonEligibility	Other source of non eligibility.

### 16.2.2.87 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.

### 16.2.2.88 OfferType4Code

*Definition:* Specifies the conditions that apply to the offer.

*Type:* CodeSet

CodeName	Name	Definition
SQUE	SqueezeOutBid	Offer launched by a company, in possession of a large number of the shares (90% - 95%) of a company (generally as a result of a tender offer), in order to acquire the remaining shares of that company.
ERUN	RestrictionExchange	Exchange of Restricted to Unrestricted (or vice versa).
PART	PartialOffer	Offer made by the offeror for a portion of the outstanding shares not already owned by the offeror.
FCFS	FirstComeFirstServed	Securities will be accepted in the order they have been submitted until the target number of quantity sought is reached.
FINL	FinalOffer	Final or last offer to holders subject to offer conditions being reached, for example, 50 percent accepted on a tender.
NDIS	DissenterRightsNotApplicable	Dissenter's rights are not applicable for this option of the offer.
DISS	DissenterRights	Securities holder has the right to disagree with a mandatory event. This right is not inherent in all offers and therefore must be noted in announcements only when applicable.

### 16.2.2.89 OptionAvailabilityStatus1Code

*Definition:* Specifies the status of the option availability.

*Type:* CodeSet

CodeName	Name	Definition
INTV	Inactive	Option is not active and can no longer be responded to. Any responses already processed against this option will remain valid, for example, expired option.
CANC	Cancelled	Option is not valid; it has been cancelled by the market or service provider, and cannot be responded to. Any responses already processed against this option are considered void and new responses will be required.

### 16.2.2.90 OptionFeatures11Code

*Definition:* Specifies the features that may apply to a corporate action option.

*Type:* CodeSet

CodeName	Name	Definition
ASVO	AccountServicerOption	Option is offered by the account servicer only.
BOIS	BeneficiaryOwnerInstruction	Indicates that the holder needs to instruct at beneficiary owner level only.
COND	Conditional	Feature whereby the holder can elect to place a condition on the acceptance of the option.
MAXC	MaximumCash	Maximum cash option, may be subject to scaling, as such you may receive a combination of cash and securities outturn.
MAXS	MaximumSecurities	Maximum stock option, may be subject to scaling, as such you may receive a combination of securities and cash outturn.
NOSE	NoServiceOffered	Feature whereby the holder must elect directly to the issuer's agent (issuer only supported option).
OPLF	OddLotPreference	Tender or exchange with the odd lot preference.
CAOS	OptionApplicability	Option applicability is not subject to the account owner decision but depends on the terms defined by the issuer, for example in the case of equity linked notes or warrants.
PINS	PreviousInstructionInvalidity	Indicates the previously sent instructions becomes invalid. This is only applicable after a market deadline extension.
PROR	Proration	Feature whereby the option can be subject to pro ration in case, for example, of over-subscription.
VVPR	ReducedWithholdingTax	Reduced withholding tax rate applies to the option.
QCAS	InstructCashAmount	Feature whereby the holder should only instruct a cash amount.
SHAR	ShareholderNumber	Indicates usage of a reference number to identify an investor or a shareholder with the issuer or the registration provider (for instance allocation code).

### 16.2.2.91 OptionFeatures12Code

*Definition:* Specifies the features that may apply to a corporate action option.

*Type:* CodeSet

CodeName	Name	Definition
OPLF	OddLotPreference	Tender or exchange with the odd lot preference.

### 16.2.2.92 OptionFeatures6Code

*Definition:* Specifies the feature of an option.

*Type:* CodeSet

CodeName	Name	Definition
COND	Conditional	Feature whereby the holder can elect to place a condition on the acceptance of the option.
MAXC	MaximumCash	Maximum cash option, may be subject to scaling, as such you may receive a combination of cash and securities outturn.
MAXS	MaximumSecurities	Maximum stock option, may be subject to scaling, as such you may receive a combination of securities and cash outturn.
OPLF	OddLotPreference	Tender or exchange with the odd lot preference.
PROR	Proration	Feature whereby the option can be subject to pro ration in case, for example, of over-subscription.
VVPR	ReducedWithholdingTax	Reduced withholding tax rate applies to the option.

### 16.2.2.93 OptionNumber1Code

*Definition:* Code identifying special corporate action option numbers.

*Type:* CodeSet

CodeName	Name	Definition
UNSO	Unsolicited	The corporate action instruction is unsolicited, that is, the instruction has not been preceded by a corporate action notification.

### 16.2.2.94 OptionStyle2Code

*Definition:* Defines how an option can be exercised.

*Type:* CodeSet

CodeName	Name	Definition
AMER	American	Option can be exercised before or on expiry date.
EURO	European	Option that can be exercised on expiry date only.



### 16.2.2.95 Payment1Code

*Definition:* Specifies the type of payment.

*Type:* CodeSet

CodeName	Name	Definition
ACTU	ActualPayment	The cash payment occurs or will occur upon receipt of proceeds from the issuer.
CONT	ContractualPayment	The cash payment occurs or will occur in advance of receipt of proceeds from the issuer and based on a contractual agreement established with the account servicer.

### 16.2.2.96 Payment2Code

*Definition:* Indicates whether the cash payment occurs or will occur in advance of receipt of proceeds from the issuer and based on a contractual agreement established with the account servicer or upon receipt of proceeds from the issuer.

*Type:* CodeSet

CodeName	Name	Definition
ACTU	ActualPayment	The cash payment occurs or will occur upon receipt of proceeds from the issuer.

### 16.2.2.97 PendingCancellationReason5Code

*Definition:* Specifies the reason why the cancellation request has a pending status.

*Type:* CodeSet

CodeName	Name	Definition
ADEA	AccountServicerDeadlineMissed	Transaction/instruction received after the account servicer's specified deadline.
DQUA	QuantityRejection	Unrecognised or invalid instructed quantity.
DQCS	AmountRejection	Unrecognised or invalid instructed cash amount.
LATE	MarketDeadlineMissed	Received after market deadline.
OTHR	Other	Other. See Narrative.

### 16.2.2.98 PendingReason19Code

*Definition:* Standard code to specify the reason why the instruction/event has a pending status.

*Type:* CodeSet

CodeName	Name	Definition
NSEC	NotDelivered	Financial instruments have not been delivered by the issuer.
NPAY	NoPayment	Payment has not been made by issuer.
OTHR	Other	Other. See Narrative.

CodeName	Name	Definition
AUTH	SentToTaxAuthorities	Tax reclaim has been sent to the tax authorities.
VLDA	ValidForTaxAuthorities	For tax reclaim, the event is pending, the tax reclaim is valid for the tax authorities.
MCER	MissingCertification	Awaiting receipt of adequate certification.

### 16.2.2.99 PendingReason23Code

*Definition:* Specifies the reason why the instruction has a pending status.

*Type:* CodeSet

CodeName	Name	Definition
ADEA	AccountServicerDeadlineMissed	Instruction was received after the account servicer's deadline. Processed on best effort basis.
OTHR	Other	Other. See Narrative.
FULL	PendingBeneficiaryOwnerDetails	Pending receipt of beneficiary owner details.
MCER	MissingCertification	Awaiting receipt of adequate certification.
MONY	InsufficientMoney	Insufficient money in your account.
LACK	LackOfSecurities	Insufficient financial instruments in your account.
LATE	MarketDeadlineMissed	Instruction was received after market deadline.
DQUA	QuantityDisagreement	Quantity of financial instruments does not match.
PENR	PendingReceipt	The instruction is pending receipt of securities, for example, from a purchase or loan.
CERT	WrongCertificatesNumbers	Certificate number error.
DQCS	DisagreementOnCashAmount	Unrecognised or invalid instructed cash amount.
ITAX	IncorrectTaxRate	Tax rate provided is incorrect. It falls outside the acceptable values for that investment country.
NTAX	InconsistentTaxRate	Tax rate is not consistent with the documentation in place.
MTAX	MissingTaxRate	Tax rate is missing.
SNAV	SystemNotAvailable	System is not available. Instruction is sent outside of business hours.
BSTR	BeforeInstructionPeriod	Instruction is submitted before instruction start date.
IPAW	InvalidPaperwork	Required paperwork is invalid, incomplete or missing.

### 16.2.2.100 PreferredContactMethod1Code

*Definition:* Preferred method used to reach the individual contact within an organisation.

*Type:* CodeSet

CodeName	Name	Definition
LETT	Letter	Preferred method used to reach the contact is per letter.
MAIL	Email	Preferred method used to reach the contact is per email.
PHON	Phone	Preferred method used to reach the contact is per phone.
FAXX	Fax	Preferred method used to reach the contact is per fax.
CELL	MobileOrCellPhone	Preferred method used to reach the contact is per mobile or cell phone.

### 16.2.2.101 PriceRateType3Code

*Definition:* Specifies the type of price rate.

*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.
PRCT	Percentage	Price expressed as a percentage of par.
YIEL	Yield	Price expressed as a yield.

### 16.2.2.102 PriceValueType10Code

*Definition:* Specifies the value of a price.

*Type:* CodeSet

CodeName	Name	Definition
UKWN	Unknown	Price is unknown by the sender or has not been established.

### 16.2.2.103 PriceValueType8Code

*Definition:* Specifies a type of price value.

*Type:* CodeSet

CodeName	Name	Definition
TBSP	ToBeSpecified	Price to be specified by account owner.

CodeName	Name	Definition
UNSP	Unspecified	Price is not required to be specified by account owner.
UKWN	Unknown	Price is unknown by the sender or has not been established.
NILP	NilPayment	Price will not be paid.

### 16.2.2.104 PriceValueType9Code

*Definition:* Specifies a type of price value.

*Type:* CodeSet

CodeName	Name	Definition
TBSP	ToBeSpecified	Price to be specified by account owner.
UNSP	Unspecified	Price is not required to be specified by account owner.
UKWN	Unknown	Price is unknown by the sender or has not been established.

### 16.2.2.105 ProcessingPosition3Code

*Definition:* Specifies the processing position.

*Type:* CodeSet

CodeName	Name	Definition
AFTE	After	Specifies that the transaction/instruction is to be executed after the linked transaction/instruction.
WITH	With	Specifies that the transaction/instruction is to be executed with the linked transaction/instruction.
BEFO	Before	Specifies that the transaction/instruction is to be executed before the linked transaction/instruction.
INFO	Information	Specifies that the transactions/instructions are linked for information purposes only.

### 16.2.2.106 ProtectInstructionStatus3Code

*Definition:* Specifies the status of the protect transaction.

*Type:* CodeSet

CodeName	Name	Definition
OPEN	Open	Protect instruction which has not been fully covered. Will include partial covers.
COVR	FullyCovered	Protect instruction has been fully covered.
EXPI	Expired	Protect instruction has expired.

### 16.2.2.107 ProtectInstructionStatus4Code

*Definition:* Specifies the status of the protect transaction.

*Type:* CodeSet

CodeName	Name	Definition
OPEN	Open	Protect instruction which has not been fully covered. Will include partial covers.

### 16.2.2.108 ProtectTransactionType2Code

*Definition:* Specifies the type of protect instruction.

*Type:* CodeSet

CodeName	Name	Definition
PROT	ProtectTransaction	Reorganisation is a protect transaction type.
COVP	CoverOnBehalfOfAnotherParticipantTransaction	Reorganisation is a cover on behalf of another participant transaction type.
COVR	CoverProtectTransaction	Reorganisation is a cover protect transaction type.

### 16.2.2.109 ProtectTransactionType3Code

*Definition:* Specifies the type of protect instruction.

*Type:* CodeSet

CodeName	Name	Definition
PROT	ProtectTransaction	Reorganisation is a protect transaction type.

### 16.2.2.110 Quantity1Code

*Definition:* Specifies quantity of a financial instrument.

*Type:* CodeSet

CodeName	Name	Definition
QALL	AllSecurities	Instruction applies to the entire eligible balance of underlying securities.

### 16.2.2.111 Quantity4Code

*Definition:* Specifies quantity of a financial instrument.

*Type:* CodeSet

CodeName	Name	Definition
UKWN	UnknownQuantity	Quantity is unknown by the sender or has not been established.
ANYA	AnyAndAll	Instruction applies to the entire eligible balance of underlying securities.

### 16.2.2.112 Quantity5Code

*Definition:* Specifies quantity of a financial instrument.

*Type:* CodeSet

CodeName	Name	Definition
UKWN	UnknownQuantity	Quantity is unknown by the sender or has not been established.

### 16.2.2.113 RateStatus1Code

*Definition:* Specifies the type of rate.

*Type:* CodeSet

CodeName	Name	Definition
ACTU	ActualRate	Rate is actual.
INDI	IndicativeRate	Rate is indicative.

### 16.2.2.114 RateType10Code

*Definition:* Specifies the type of rate.

*Type:* CodeSet

CodeName	Name	Definition
ANYA	AnyAndAll	Any and all rate is sought.
UKWN	Unknown	Rate is unknown by the sender or has not been established.

### 16.2.2.115 RateType13Code

*Definition:* Specifies the type of rate.

*Type:* CodeSet

CodeName	Name	Definition
UKWN	Unknown	Rate is unknown by the sender or has not been established.
NILP	NilPayment	Rate will not be paid.

### 16.2.2.116 RateType5Code

*Definition:* Specifies the type of rate.

*Type:* CodeSet

CodeName	Name	Definition
UKWN	Unknown	Rate is unknown by the sender or has not been established.

### 16.2.2.117 RateType7Code

*Definition:* Specifies the type of rate.

Type: CodeSet

CodeName	Name	Definition
SCHD	Scheduled	Rate of the scheduled payment.
USCD	Unscheduled	Rate of the unscheduled payment.

### 16.2.2.118 RateValueType7Code

Definition: Specifies the value of a rate.

Type: CodeSet

CodeName	Name	Definition
UKWN	Unknown	Rate is unknown by the sender or has not been established.

### 16.2.2.119 RejectionReason64Code

Definition: Specifies the reason why the instruction request has a rejected status.

Type: CodeSet

CodeName	Name	Definition
ADEA	AccountServicerDeadlineMissed	Transaction/instruction received after the account servicer's specified deadline.
CERT	IncorrectCertification	Instruction is rejected since the provided certification is incorrect or incomplete.
INVA	InvalidForTaxAuthorities	For tax reclaim, the reclaim is invalid for the tax authorities.
OPTY	InvalidOptionType	Invalid option type.
ULNK	InvalidReference	Linked reference is unknown.
DSEC	InvalidSecurity	Unrecognised or invalid financial instrument identification.
LACK	LackofSecurities	Instructed position exceeds the eligible balance.
LATE	MarketDeadlineMissed	Received after market deadline.
NMTY	Mismatch	Mismatch between option number and option type.
FULL	MissingBeneficiaryOwnerDetails	Rejected due to missing beneficiary owner details.
CANC	OptionCancelled	Option is not valid; it has been cancelled by the market or service provider, and cannot be responded to. Any responses already processed against this option are considered void and new responses will be required.
INTV	OptionInactive	Option is not active and can no longer be responded to. Any responses already processed against this option will remain valid, for example, expired option.
OPNM	OptionNumberRejection	Unrecognised option number.

CodeName	Name	Definition
OTHR	Other	Other. See Narrative.
DQUA	QuantityRejection	Unrecognised or invalid instructed quantity.
REFT	RefusedByTaxAuthorities	Reclaim is refused by the tax authorities.
SAFE	SafekeepingAccountRejection	Unrecognised or invalid message sender's safekeeping account.
EVNM	UnrecognisedIdentification	Unrecognised event number.
DQCS	AmountRejection	Unrecognised or invalid instructed cash amount.
DQCC	CurrencyRejection	Invalid instructed currency.
DQAM	InstructionTypeRejection	Invalid use of instructed amount (QCAS) or of instructed quantity (QINS) qualifiers.
IRDQ	InvalidUseRoundUpQuantity	Instruction is rejected due to invalid use of the additional round up quantity.
DQBV	InvalidBidValue	Bid price / basis points / percentage falls outside of bid range for the event (generally used in Dutch Auctions or Bid Tenders).
DQBI	InvalidBidIncrement	Bid price / basis points / percentage increments rejected due to invalid bid increment for the event (generally used in Dutch Auctions or Bid Tenders).
DCAN	RejectedSinceAlreadyCancelled	Cancellation request was rejected since the instruction has already been cancelled.
DPRG	RejectedSinceInProgress	Cancellation request has been rejected because the instruction process is in progress or has been processed.
INIR	InstructionIrrevocable	Instruction is irrevocable.
SHAR	ShareholderNumberRejection	Unrecognised, missing or invalid shareholder number.
BSTR	BeforeInstructionPeriod	Instruction is submitted before instruction start date.
CTCT	MissingContact	Contact information is missing.
DUPL	DuplicateInstruction	Instruction is rejected due to duplicate business message identifier.
PROI	MissingProtectIdentification	Protect identification is required for cover protect instructions.
PROT	MissingProtectDate	Protect date is required for cover protect instructions.
PRON	NoProtectPrivilege	No protect privilege for this event.
TRTI	MissingTransactionType	Transaction type is missing or invalid for protect or cover protect instructions.
REJA	RejectedByIssuerAgent	Instruction rejected by the issuer agent.



CodeName	Name	Definition
IPAW	InvalidPaperwork	Required paperwork is invalid, incomplete or missing.

### 16.2.2.120 RejectionReason66Code

*Definition:* Specifies the reason why the instruction request has a rejected status.

*Type:* CodeSet

CodeName	Name	Definition
ADEA	AccountServicerDeadlineMissed	Transaction/instruction received after the account servicer's specified deadline.
CERT	IncorrectCertification	Instruction is rejected since the provided certification is incorrect or incomplete.
INVA	InvalidForTaxAuthorities	For tax reclaim, the reclaim is invalid for the tax authorities.
OPTY	InvalidOptionType	Invalid option type.
ULNK	InvalidReference	Linked reference is unknown.
DSEC	InvalidSecurity	Unrecognised or invalid financial instrument identification.
LACK	LackofSecurities	Instructed position exceeds the eligible balance.
LATE	MarketDeadlineMissed	Received after market deadline.
NMTY	Mismatch	Mismatch between option number and option type.
FULL	MissingBeneficiaryOwnerDetails	Rejected due to missing beneficiary owner details.
CANC	OptionCancelled	Option is not valid; it has been cancelled by the market or service provider, and cannot be responded to. Any responses already processed against this option are considered void and new responses will be required.
INTV	OptionInactive	Option is not active and can no longer be responded to. Any responses already processed against this option will remain valid, for example, expired option.
OPNM	OptionNumberRejection	Unrecognised option number.
OTHR	Other	Other. See Narrative.
DQUA	QuantityRejection	Unrecognised or invalid instructed quantity.
REFT	RefusedByTaxAuthorities	Reclaim is refused by the tax authorities.
SAFE	SafekeepingAccountRejection	Unrecognised or invalid message sender's safekeeping account.
EVNM	UnrecognisedIdentification	Unrecognised event number.
DQCS	AmountRejection	Unrecognised or invalid instructed cash amount.

CodeName	Name	Definition
DQCC	CurrencyRejection	Invalid instructed currency.
DQAM	InstructionTypeRejection	Invalid use of instructed amount (QCAS) or of instructed quantity (QINS) qualifiers.
IRDQ	InvalidUseRoundUpQuantity	Instruction is rejected due to invalid use of the additional round up quantity.
DQBV	InvalidBidValue	Bid price / basis points / percentage falls outside of bid range for the event (generally used in Dutch Auctions or Bid Tenders).
DQBI	InvalidBidIncrement	Bid price / basis points / percentage increments rejected due to invalid bid increment for the event (generally used in Dutch Auctions or Bid Tenders).
SHAR	ShareholderNumberRejection	Unrecognised, missing or invalid shareholder number.
ITAX	IncorrectTaxRate	Tax rate provided is incorrect. It falls outside the acceptable values for that investment country.
NTAX	InconsistentTaxRate	Tax rate is not consistent with the documentation in place.
MTAX	MissingTaxRate	Tax rate is missing.
ISOL	InvalidSolicitationDealerFeeUse	Invalid use of solicitation dealer fee indicator.
BSTR	BeforeInstructionPeriod	Instruction is submitted before instruction start date.
CTCT	MissingContact	Contact information is missing.
DUPL	DuplicateInstruction	Instruction is rejected due to duplicate business message identifier.
PROI	MissingProtectIdentification	Protect identification is required for cover protect instructions.
PRON	NoProtectPrivilege	No protect privilege for this event.
PROT	MissingProtectDate	Protect date is required for cover protect instructions.
TRTI	MissingTransactionType	Transaction type is missing or invalid for protect or cover protect instructions.
IPAW	InvalidPaperwork	Required paperwork is invalid, incomplete or missing.
REJA	RejectedByIssuerAgent	Instruction rejected by the issuer agent.

### 16.2.2.121 RejectionReason79Code

*Definition:* Specifies the reason why the instruction/cancellation request has a rejected status.

*Type:* CodeSet

CodeName	Name	Definition
ADEA	AccountServicerDeadlineMissed	Transaction/instruction received after the account servicer's specified deadline.
INIR	InstructionIrrevocable	Instruction is irrevocable.
ULNK	InvalidReference	Linked reference is unknown.
LATE	MarketDeadlineMissed	Received after market deadline.
OTHR	Other	Other. See Narrative.
DCAN	RejectedSinceAlreadyCancelled	Cancellation request was rejected since the instruction has already been cancelled.
DPRG	RejectedSinceInProgress	Cancellation request has been rejected because the instruction process is in progress or has been processed.
REJA	RejectedByIssuerAgent	Instruction rejected by the issuer agent.
CTCT	MissingContact	Contact information is missing.
DSEC	InvalidSecurity	Unrecognised or invalid financial instrument identification.
DQUA	QuantityRejection	Unrecognised or invalid instructed quantity.
PROT	MissingProtectDate	Protect date is required for cover protect instructions.
SAFE	SafekeepingAccountRejection	Unrecognised or invalid message sender's safekeeping account.
PROI	MissingProtectIdentification	Protect identification is required for cover protect instructions.
TRTI	MissingTransactionType	Transaction type is missing or invalid for protect or cover protect instructions.
DUPL	DuplicateInstruction	Instruction is rejected due to duplicate business message identifier.

### 16.2.2.122 RenounceableStatus1Code

*Definition:* Specifies the renounceable status.

*Type:* CodeSet

CodeName	Name	Definition
NREN	NonRenounceable	Intermediate securities cannot be sold.
RENO	Renounceable	Intermediate securities can be sold.

### 16.2.2.123 SafekeepingAccountIdentification1Code

*Definition:* Specifies the account identification via a code.

*Type:* CodeSet

CodeName	Name	Definition
GENR	General	Announcement applies to all safekeeping accounts that own underlying financial instrument. (Used for general or preliminary announcements.).

### 16.2.2.124 SafekeepingPlace1Code

*Definition:* Specifies the type of place of safekeeping.

*Type:* CodeSet

CodeName	Name	Definition
CUST	SharesHeldAtLocalCustodian	Financial instruments held at a local custodian.
ICSD	SharesHeldAtICSD	Financial instruments held at an International Central Securities Depository.
NCSD	SharesHeldAtNCSD	Financial instruments held at a National Central Securities Depository.
SHHE	SharesHeldElsewhere	Used for certain financial instruments, for example, US mutual funds, where settlement is internal only, that is, there is no external movement of securities.

### 16.2.2.125 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.

### 16.2.2.126 SafekeepingPlace3Code

*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.

### 16.2.2.127 ShortLong1Code

*Definition:* Specifies whether the securities position is short or long, that is, whether the balance is a negative or positive balance.

Type: CodeSet

CodeName	Name	Definition
SHOR	Short	Position is short, that is, the balance is negative.
LONG	Long	Position is long, that is, the balance is positive.

### 16.2.2.128 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.

### 16.2.2.129 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.

### 16.2.2.130 UnicodeChartsCode

*Definition:* codelist containing the names of the UNICODE code block name as specified on <http://unicode.org/Public/UNIDATA/Blocks.txt>.

Type: CodeSet

#### Constraints

- **ValidationByTable**

(Rule)

### 16.2.2.131 WithholdingTaxRateType1Code

*Definition:* Specifies the type of withholding tax rate.

*Type:* CodeSet

CodeName	Name	Definition
BWIT	BackUpWithholding	Withholding tax related to payments subject to back up withholding.
FTCA	FATCATax	Withholding tax related to income subject to FATCA (Foreign Account Tax Compliance Act).
NRAT	NRATax	Withholding tax related to income subject to NRA (Non Resident Alien).

## 16.2.3 Date

### 16.2.3.1 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

## 16.2.4 DateTime

### 16.2.4.1 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

## 16.2.5 IdentifierSet

### 16.2.5.1 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.

### 16.2.5.2 BICFIDec2014Identifier

*Definition:* Code allocated to a financial institution by the ISO 9362 Registration Authority as described in ISO 9362: 2014 - "Banking - Banking telecommunication messages - Business identifier code (BIC)".

*Type:* IdentifierSet

*Identification scheme:* SWIFT; BICIdentifier

#### Format

pattern [A-Z0-9]{4,4}[A-Z]{2,2}[A-Z0-9]{2,2}([A-Z0-9]{3,3}){0,1}

#### Constraints

- **BICFI**

(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.

### 16.2.5.3 CFIOct2015Identifier

*Definition:* Classification type of the financial instrument, as per the ISO 10962 Classification of Financial Instrument (CFI) codification, for example, common share with voting rights, fully paid, or registered.

*Type:* IdentifierSet

*Identification scheme:* ANNA; CFIIIdentifier

#### Format

pattern [A-Z]{6,6}

### 16.2.5.4 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.

### 16.2.5.5 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}

### 16.2.5.6 LEIdentifier

*Definition:* Legal Entity Identifier is a code allocated to a party as described in ISO 17442 "Financial Services - Legal Entity Identifier (LEI)".

*Type:* IdentifierSet

*Identification scheme:* Global LEI System; LEIdentifier

**Format**

pattern [A-Z0-9]{18,18}[0-9]{2,2}

### 16.2.5.7 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}

## 16.2.6 Indicator

### 16.2.6.1 YesNoIndicator

*Definition:* Indicates a "Yes" or "No" type of answer for an element.

*Type:* Indicator

*Meaning When True:* Yes

*Meaning When False:* No

## 16.2.7 Quantity

### 16.2.7.1 DecimalNumber

*Definition:* Number of objects represented as a decimal number, for example 0.75 or 45.6.

*Type:* Quantity

**Format**

totalDigits 18

fractionDigits 17

### 16.2.7.2 Max30DecimalNumber

*Definition:* Number of objects represented as a decimal number, for example 0.75 or 45.6 with a maximum of 30 digits and 29 fraction digits.

*Type:* Quantity

#### Format

totalDigits	30
fractionDigits	29

### 16.2.7.3 Max3Number

*Definition:* Number (max 999) of objects represented as an integer.

*Type:* Quantity

#### Format

totalDigits	3
fractionDigits	0

#### Constraints

- **NumberRule**

(Rule)

If Number is negative, then Sign must be present.

### 16.2.7.4 RestrictedFINDecimalNumber

*Definition:* Number of objects represented as a decimal number, for example, 0.75 or 45.6.

*Type:* Quantity

#### Format

totalDigits	14
fractionDigits	14

## 16.2.8 Rate

### 16.2.8.1 BaseOne14Rate

*Definition:* Rate expressed as a decimal, for example, 0.7 is 7/10 and 70% with 13 fractional digits maximum and 14 total digits.

*Type:* Rate

#### Format

totalDigits	14
fractionDigits	13
baseValue	1.0

### 16.2.8.2 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

### 16.2.8.3 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

## 16.2.9 Text

### 16.2.9.1 Exact3NumericText

*Definition:* Specifies a numeric string with an exact length of 3 digits.

*Type:* Text

#### Format

pattern	[0-9]{3}
---------	----------

### 16.2.9.2 Exact3UpperCaseAlphaNumericText

*Definition:* Specifies an upper case alphanumeric string with a length of three characters.

*Type:* Text

#### Format

pattern	[A-Z0-9]{3}
---------	-------------

### 16.2.9.3 Exact4AlphaNumericText

*Definition:* Specifies an alphanumeric string with a length of 4 characters.

*Type:* Text

**Format**

pattern [a-zA-Z0-9]{4}

#### 16.2.9.4 ISO20022MessageIdentificationText

*Definition:* ISO 20022 Message identifier of an MX message.

*Type:* Text

**Format**

pattern [a-z]{4}\.[0-9]{3}\.[0-9]{3}\.[0-9]{2}

#### 16.2.9.5 Max128Text

*Definition:* Specifies a character string with a maximum length of 128 characters.

*Type:* Text

**Format**

minLength 1  
maxLength 128

#### 16.2.9.6 Max140Text

*Definition:* Specifies a character string with a maximum length of 140 characters.

*Type:* Text

**Format**

minLength 1  
maxLength 140

#### 16.2.9.7 Max16Text

*Definition:* Specifies a character string with a maximum length of 16 characters.

*Type:* Text

**Format**

minLength 1  
maxLength 16

#### 16.2.9.8 Max2048Text

*Definition:* Specifies a character string with a maximum length of 2048 characters.

*Type:* Text

**Format**

minLength 1

---

maxLength	2048
-----------	------

### 16.2.9.9 Max350Text

*Definition:* Specifies a character string with a maximum length of 350 characters.

*Type:* Text

**Format**

minLength	1
maxLength	350

### 16.2.9.10 Max35Text

*Definition:* Specifies a character string with a maximum length of 35 characters.

*Type:* Text

**Format**

minLength	1
maxLength	35

### 16.2.9.11 Max3NumericText

*Definition:* Specifies a numeric string with a maximum length of 3 digits.

*Type:* Text

**Format**

pattern	[0-9]{1,3}
---------	------------

### 16.2.9.12 Max4AlphaNumericText

*Definition:* Specifies an alphanumeric string with a maximum length of 4 characters.

*Type:* Text

**Format**

minLength	1
maxLength	4
pattern	[a-zA-Z0-9]{1,4}

### 16.2.9.13 Max4Text

*Definition:* Specifies a character string with a maximum length of 4 characters.

*Type:* Text

**Format**

minLength	1
-----------	---

maxLength 4

#### 16.2.9.14 Max5NumericText

*Definition:* Specifies a numeric string with a maximum length of 5 digits.

*Type:* Text

##### Format

pattern [0-9]{1,5}

#### 16.2.9.15 Max70Text

*Definition:* Specifies a character string with a maximum length of 70 characters.

*Type:* Text

##### Format

minLength 1  
maxLength 70

#### 16.2.9.16 PhoneNumber

*Definition:* The collection of information which identifies a specific phone or FAX number as defined by telecom services.

It consists of a "+" followed by the country code (from 1 to 3 characters) then a "-" and finally, any combination of numbers, "(", ")", "+" and "-" (up to 30 characters).

*Type:* Text

##### Format

pattern \+[0-9]{1,3}-[0-9()+\-\-]{1,30}

#### 16.2.9.17 RestrictedFINExact2Text

*Definition:* Specifies a character string with an exact length of 2 characters that must have a pattern XX|TS.

*Type:* Text

##### Format

length 2  
pattern XX|TS

#### 16.2.9.18 RestrictedFINMax15Text

*Definition:* Specifies a character string with a maximum length of 15 characters.

*Type:* Text

**Format**

minLength	1
maxLength	15

**16.2.9.19 RestrictedFINMax210Text**

*Definition:* Specifies a character string with a maximum length of 210 characters.

*Type:* Text

**Format**

minLength	1
maxLength	210

**16.2.9.20 RestrictedFINMax35Text**

*Definition:* Specifies a character string with a maximum length of 35 characters. It has a pattern `([^\r\n/]+)([^\r\n/]*)` that disables the use of slash "/" at the beginning and end of line and double slash "//" within the line.

*Type:* Text

**Format**

minLength	1
maxLength	35
pattern	<code>([^\r\n/]+)([^\r\n/]*)</code>

**16.2.9.21 RestrictedFINMax50Text**

*Definition:* Specifies a character string with a maximum length of 50 characters. It has a pattern `([^\r\n/]+)([^\r\n/]*)` that disables the use of slash "/" at the beginning and end of line and double slash "//" within the line.

*Type:* Text

**Format**

minLength	1
maxLength	50
pattern	<code>([^\r\n/]+)([^\r\n/]*)</code>

**16.2.9.22 RestrictedFINX2Max34Text**

*Definition:* Specifies a character string with a maximum length of 34 characters limited to character set X, that is, a-z A-Z / - ? : ( ) . , ' + .

*Type:* Text

**Format**

minLength	1
-----------	---

maxLength	34
pattern	[0-9a-zA-Z^\-?:(\)\.,'+ ]{1,34}

### 16.2.9.23 RestrictedFINXMax140Text

*Definition:* Specifies a character string with a maximum length of 140 characters limited to character set X, that is, a-z A-Z / - ? : ( ) . , ' + .

*Type:* Text

#### Format

minLength	1
maxLength	140
pattern	[0-9a-zA-Z^\-?:(\)\.\n\r,'+ ]{1,140}

### 16.2.9.24 RestrictedFINXMax16Text

*Definition:* Specifies a character string with a maximum length of 16 characters. It has a pattern that disables the use of characters that is not part of the character set X, that is, that is not a-z A-Z / - ? : ( ) . , ' + , and disable the use of slash "/" at the beginning and end of line and double slash "/" within the line.

*Type:* Text

#### Format

minLength	1
maxLength	16
pattern	(([0-9a-zA-Z^\-?:(\)\.,'+ ]([0-9a-zA-Z^\-?:(\)\.,'+ ]*([0-9a-zA-Z^\-?:(\)\.,'+ ])?)*

### 16.2.9.25 RestrictedFINXMax210Text

*Definition:* Specifies a character string with a maximum length of 210 characters limited to character set X, that is, a-z A-Z / - ? : ( ) . , ' + .

*Type:* Text

#### Format

minLength	1
maxLength	210
pattern	[0-9a-zA-Z^\-?:(\)\.\n\r,'+ ]{1,210}

### 16.2.9.26 RestrictedFINXMax256Text

*Definition:* Specifies a character string with a maximum length of 256 characters limited to character set X, that is, a-z A-Z / - ? : ( ) . , ' + .

*Type:* Text



**Format**

minLength	1
maxLength	256
pattern	[0-9a-zA-Z^\-?:(\)\.\n\r,\'+ ]{1,256}

**16.2.9.27 RestrictedFINXMax25Text**

*Definition:* Specifies a character string with a maximum length of 24 characters. It has a pattern that disables the use of characters that is not part of the character set X, that is, that is not a-z A-Z / - ? : ( ) . , ' + , and disable the use of slash "/" at the beginning and end of line and double slash "/" within the line.

*Type:* Text

**Format**

minLength	1
maxLength	25
pattern	(([0-9a-zA-Z^\-?:(\)\.\n\r,\'+ ] ([0-9a-zA-Z^\-?:(\)\.\n\r,\'+ ])*([0-9a-zA-Z^\-?:(\)\.\n\r,\'+ ])?)*

**16.2.9.28 RestrictedFINXMax30Text**

*Definition:* Specifies a character string with a maximum length of 30 characters. It has a pattern that disables the use of characters that is not part of the character set X, that is, that is not a-z A-Z / - ? : ( ) . , ' + , and disable the use of slash "/" at the beginning and end of line and double slash "/" within the line.

*Type:* Text

**Format**

minLength	1
maxLength	30
pattern	(([0-9a-zA-Z^\-?:(\)\.\n\r,\'+ ] ([0-9a-zA-Z^\-?:(\)\.\n\r,\'+ ])*([0-9a-zA-Z^\-?:(\)\.\n\r,\'+ ])?)*

**16.2.9.29 RestrictedFINXMax31Text**

*Definition:* Specifies a character string with a maximum length of 31 characters limited to character set X, that is, a-z A-Z / - ? : ( ) . , ' + .

*Type:* Text

**Format**

minLength	1
maxLength	31
pattern	[0-9a-zA-Z^\-?:(\)\.\n\r,\'+ ]{1,31}

### 16.2.9.30 RestrictedFINXMax34Text

*Definition:* Specifies a character string with a maximum length of 34 characters. It has a pattern that disables the use of characters that is not part of the character set X, that is, that is not a-z A-Z / - ? : ( ) . , ' + , and disable the use of slash "/" at the beginning and end of line and double slash "/" within the line.

*Type:* Text

#### Format

minLength	1
maxLength	34
pattern	<code>(([0-9a-zA-Z\-\?:(\)\.,'\+ ] ([0-9a-zA-Z\-\?:(\)\.,'\+ ])*([0-9a-zA-Z\-\?:(\)\.,'\+ ])?)*</code>

### 16.2.9.31 RestrictedFINXMax350Text

*Definition:* Specifies a character string with a maximum length of 350 characters limited to character set X, that is, a-z A-Z / - ? : ( ) . , ' + .

*Type:* Text

#### Format

minLength	1
maxLength	350
pattern	<code>[0-9a-zA-Z\-\?:(\)\.\n\r,'\+ ]{1,350}</code>

### 16.2.9.32 RestrictedFINXMax35Text

*Definition:* Specifies a character string with a maximum length of 35 characters limited to character set X, that is, a-z A-Z / - ? : ( ) . , ' + .

*Type:* Text

#### Format

minLength	1
maxLength	35
pattern	<code>[0-9a-zA-Z\-\?:(\)\.,'\+ ]{1,35}</code>

### 16.2.9.33 RestrictedFINZMax2048Text

*Definition:* Specifies a character string with a maximum length of 2048 characters limited to character set Z that is, a-z A-Z / - ? : ( ) . , ' += ! " % & \* < > ; @ # .

*Type:* Text

#### Format

minLength	1
maxLength	2048
pattern	<code>[0-9a-zA-Z!"%&amp;*\;&lt;&gt; \.,\(\)\n\r/=!\+:\?@#\{-_]{1,2048}</code>

### 16.2.9.34 RestrictedFINZMax8000Text

*Definition:* Specifies a character string with a maximum length of 8000 characters limited to character set Z, that is, a-z A-Z / - ? : ( ) . , ' += ! " % & \* < > ; @ # .

*Type:* Text

#### Format

minLength	1
maxLength	8000
pattern	[0-9a-zA-Z!"%&*;<> \, \(\)\n\r/= \+ : \? @#\{-_}{1,8000}

## 16.2.10 Time

### 16.2.10.1 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

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