Standards

Corporate Actions November 2023

Standards MX

Message Definition Report - Part 2

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

February 2023

Table of Contents

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	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 accompagnying 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.
seev.031.001.13 CorporateActionNotificationV13	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.

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.032.001.08 CorporateActionEventProcessingStatusAdviceV08	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.033.001.12 CorporateActionInstructionV12	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.034.001.13 CorporateActionInstructionStatusAdviceV13	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.035.001.14 CorporateActionMovementPreliminaryAdviceV14	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.036.001.14 CorporateActionMovementConfirmationV14	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.037.001.14 CorporateActionMovementReversalAdviceV14	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.038.001.07 CorporateActionNarrativeV07	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.039.001.12 CorporateActionCancellationAdviceV12	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.040.001.12 CorporateActionInstructionCancellationRequestV12	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.041.001.13 CorporateActionInstructionCancellationRequestStatusAdviceV13	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.042.001.11 CorporateActionInstructionStatementReportV11	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.044.001.12 CorporateActionMovementPreliminaryAdviceCancellationAdviceV12	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 accompagnying 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. CharacterSet

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

B. From

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

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

C. To

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

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

D. BusinessMessageIdentifier

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

E. MessageDefinitionIdentifier

Contains the MessageIdentifier that defines the BusinessMessage.

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

example camt.001.001.03.

F. BusinessService

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

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

Example: E&I.

G. MarketPractice

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

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

H. CreationDate

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

I. BusinessProcessingDate

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

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

J. CopyDuplicate

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

K. PossibleDuplicate

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

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

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

This will guarantee business idempotent behaviour.

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

L. Priority

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

M. Signature

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

N. Related

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

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

2.2 Structure

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

Or	MessageElement/BuildingBlock<*XML Tag*>	Mult.	Type	Constr. No.	Page
	BusinessService <*BizSvc*>	[0..1]	Text		22
	CreationDate <*CreDt*>	[1..1]	DateTime		22
	CopyDuplicate <*CpyDplct*>	[0..1]	CodeSet		22
	PossibleDuplicate <*PssblDplct*>	[0..1]	Indicator		23
	Priority <*Prty*>	[0..1]	CodeSet	C7	23
	Signature <*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 1351

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	**OrganisationIdentification** *<OrgId>*	[1..1]	±		14
Or}	**FinancialInstitutionIdentification** *<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 1146 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Name *<Nm>*	[0..1]	Text		1146
	PostalAddress *<PstlAdr>*	[0..1]	±		1147
	Identification *<Id>*	[0..1]	±		1147
	CountryOfResidence *<CtryOfRes>*	[0..1]	CodeSet	C3	1148
	ContactDetails *<CtctDtls>*	[0..1]	±		1148

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 950 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstitutionIdentification <FinInstnId>	[1..1]	±		950
	BranchIdentification <BrnchId>	[0..1]	±		951

2.4.3 To <To>

Presence: [1..1]

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

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

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	**OrganisationIdentification** <OrgId>	[1..1]	±		15
Or}	**FinancialInstitutionIdentification** <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 1146 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		1146
	PostalAddress <PstlAdr>	[0..1]	±		1147
	Identification <Id>	[0..1]	±		1147
	CountryOfResidence <CtryOfRes>	[0..1]	CodeSet	C3	1148
	ContactDetails <CtctDtls>	[0..1]	±		1148

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 950 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	FinancialInstitutionIdentification <*FinInstnId*>	[1..1]	±		950
	BranchIdentification <*BrnchId*>	[0..1]	±		951

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 1359

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 1359

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 1359

2.4.7   MarketPractice <MktPrctc>

Presence: [0..1]

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

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

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

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Registry <*Regy*>	[1..1]	Text		17
	Identification <*Id*>	[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 1359

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 1358

2.4.8   CreationDate <CreDt>

Presence: [1..1]

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

Datatype: ISODateTime on page 1352

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 1352

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 1280

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 <PssblDplct>

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 1355):

- *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 1279

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-xmldsig-core-20080610/.

2.4.14   Related <Rltd>

Presence: [0..*]

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

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

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

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	CharacterSet *<CharSet>*	[0..1]	CodeSet	C6	19
	From *<Fr>*	[1..1]			20
{Or	**OrganisationIdentification** *<OrgId>*	[1..1]	±		20
Or}	**FinancialInstitutionIdentification** *<FIId>*	[1..1]	±		20
	To *<To>*	[1..1]			21
{Or	**OrganisationIdentification** *<OrgId>*	[1..1]	±		21
Or}	**FinancialInstitutionIdentification** *<FIId>*	[1..1]	±		21
	BusinessMessageIdentifier *<BizMsgIdr>*	[1..1]	Text		22
	MessageDefinitionIdentifier *<MsgDefIdr>*	[1..1]	Text		22
	BusinessService *<BizSvc>*	[0..1]	Text		22
	CreationDate *<CreDt>*	[1..1]	DateTime		22
	CopyDuplicate *<CpyDplct>*	[0..1]	CodeSet		22
	PossibleDuplicate *<PssblDplct>*	[0..1]	Indicator		23
	Priority *<Prty>*	[0..1]	CodeSet	C7	23
	Signature *<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 1351

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	**OrganisationIdentification** *<OrgId>*	[1..1]	±		20
Or}	**FinancialInstitutionIdentification** *<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 1146 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Name *<Nm>*	[0..1]	Text		1146
	PostalAddress *<PstlAdr>*	[0..1]	±		1147
	Identification *<Id>*	[0..1]	±		1147
	CountryOfResidence *<CtryOfRes>*	[0..1]	CodeSet	C3	1148
	ContactDetails *<CtctDtls>*	[0..1]	±		1148

2.4.14.2.2 FinancialInstitutionIdentification <FIId>

Presence: [1..1]

Definition: Identification of a financial institution.

FinancialInstitutionIdentification \<FIId\> contains the following elements (see BranchAndFinancialInstitutionIdentification6 on page 950 for details)

Or	MessageElement\<XML Tag\>	Mult.	Type	Constr. No.	Page
	FinancialInstitutionIdentification \<FinInstnId\>	[1..1]	±		950
	BranchIdentification \<BrnchId\>	[0..1]	±		951

2.4.14.3 To \<To\>

Presence: [1..1]

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

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

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

Or	MessageElement\<XML Tag\>	Mult.	Type	Constr. No.	Page
{Or	**OrganisationIdentification** \<OrgId\>	[1..1]	±		21
Or}	**FinancialInstitutionIdentification** \<FIId\>	[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 1146 for details)

Or	MessageElement\<XML Tag\>	Mult.	Type	Constr. No.	Page
	Name \<Nm\>	[0..1]	Text		1146
	PostalAddress \<PstlAdr\>	[0..1]	±		1147
	Identification \<Id\>	[0..1]	±		1147
	CountryOfResidence \<CtryOfRes\>	[0..1]	CodeSet	C3	1148
	ContactDetails \<CtctDtls\>	[0..1]	±		1148

2.4.14.3.2 FinancialInstitutionIdentification \<FIId\>

Presence: [1..1]

Definition: Identification of a financial institution.

FinancialInstitutionIdentification <FIId> contains the following elements (see
BranchAndFinancialInstitutionIdentification6 on page 950 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	FinancialInstitutionIdentification <*FinInstnId*>	[1..1]	±		950
	BranchIdentification <*BrnchId*>	[0..1]	±		951

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 1359

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 1359

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 1359

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 1352

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 1280

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 <PssblDplct>

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 1355):

- *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 1279

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-xmldsig-core-20080610/.

3   MX seev.031.001.13 CorporateActionNotificationV13

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 CorporateActionNotificationV13 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/offeror. 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/offeror.

O. SubPayingAgent

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

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	
	Pagination <*Pgntn*>	[0..1]	±		74
	NotificationGeneralInformation <*NtfctnGnlInf*>	[1..1]		C89	74
	NotificationType <*NtfctnTp*>	[1..1]	CodeSet		75
	ProcessingStatus <*PrcgSts*>	[1..1]	±		75
	PreviousNotificationIdentification <*PrvsNtfctnId*>	[0..1]	±		75
	InstructionIdentification <*InstrId*>	[0..1]	±		76
	OtherDocumentIdentification <*OthrDocId*>	[0..*]	±		76
	EventsLinkage <*EvtsLkg*>	[0..*]	±		76
	CorporateActionGeneralInformation <*CorpActnGnlInf*>	[1..1]		C91	77
	CorporateActionEventIdentification <*CorpActnEvtId*>	[1..1]	Text		79

Or	MessageElement/BuildingBlock<*XML Tag*>	Mult.	Type	Constr. No.	Page
	OfficialCorporateActionEventIdentification <*OffclCorpActnEvtId*>	[0..1]	Text		79
	ClassActionNumber <*ClssActnNb*>	[0..1]	Text		79
	EventProcessingType <*EvtPrcgTp*>	[0..1]	±		79
	EventType <*EvtTp*>	[1..1]	±	C38	80
	MandatoryVoluntaryEventType <*MndtryVlntryEvtTp*>	[1..1]	±		80
	UnderlyingSecurity <*UndrlygScty*>	[1..1]		C75, C97	80
	FinancialInstrumentIdentification <*FinInstrmId*>	[1..1]	±	C22, C23, C66, C67, C95	82
	PlaceOfListing <*PlcOfListg*>	[0..1]	±		83
	DayCountBasis <*DayCntBsis*>	[0..1]	±		83
	ClassificationType <*ClssfctnTp*>	[0..1]	±		84
	OptionStyle <*OptnStyle*>	[0..1]	±		84
	DenominationCurrency <*DnmtnCcy*>	[0..1]	CodeSet	C2	84
	NextCouponDate <*NxtCpnDt*>	[0..1]	Date		85
	ExpiryDate <*XpryDt*>	[0..1]	Date		85
	FloatingRateFixingDate <*FltgRateFxgDt*>	[0..1]	Date		85
	MaturityDate <*MtrtyDt*>	[0..1]	Date		85
	IssueDate <*IsseDt*>	[0..1]	Date		85
	NextCallableDate <*NxtCllblDt*>	[0..1]	Date		85
	PutableDate <*PutblDt*>	[0..1]	Date		85
	DatedDate <*DtdDt*>	[0..1]	Date		86
	ConversionDate <*ConvsDt*>	[0..1]	Date		86
	InterestRate <*IntrstRate*>	[0..1]	±		86
	NextInterestRate <*NxtIntrstRate*>	[0..1]	±		86
	PercentageOfDebtClaim <*PctgOfDebtClm*>	[0..1]	±		86
	PreviousFactor <*PrvsFctr*>	[0..1]	±		87
	NextFactor <*NxtFctr*>	[0..1]	±		87
	WarrantParity <*WarrtParity*>	[0..1]	±		87
	MinimumNominalQuantity <*MinNmnlQty*>	[0..1]	±	C24	87
	ContractSize <*CtrctSz*>	[0..1]	±	C24	88

Or	MessageElement/BuildingBlock<*XML Tag*>	Mult.	Type	Constr. No.	Page
	AccountDetails <*AcctDtls*>	[1..1]			88
{Or	**ForAllAccounts** <*ForAllAccts*>	[1..1]	±		89
Or}	**AccountsListAndBalanceDetails** <*AcctsListAndBalDtls*>	[1..*]		C104 , C105 , C106 , C107	90
	SafekeepingAccount <*SfkpgAcct*>	[0..1]	Text		92
	BlockChainAddressOrWallet <*BlckChainAdrOrWllt*>	[0..1]	Text		93
	AccountOwner <*AcctOwnr*>	[0..1]	±		93
	SafekeepingPlace <*SfkpgPlc*>	[0..1]	±		93
	Balance <*Bal*>	[0..1]		C8	93
	TotalEligibleBalance <*TtlElgblBal*>	[0..1]	±		94
	BlockedBalance <*BlckdBal*>	[0..1]	±		95
	BorrowedBalance <*BrrwdBal*>	[0..1]	±		95
	CollateralInBalance <*CollInBal*>	[0..1]	±		95
	CollateralOutBalance <*CollOutBal*>	[0..1]	±		96
	OnLoanBalance <*OnLnBal*>	[0..1]	±		96
	PendingDeliveryBalance <*PdgDlvryBal*>	[0..*]	±		96
	PendingReceiptBalance <*PdgRctBal*>	[0..*]	±		97
	OutForRegistrationBalance <*OutForRegnBal*>	[0..1]	±		97
	SettlementPositionBalance <*SttlmPosBal*>	[0..*]	±		97
	StreetPositionBalance <*StrtPosBal*>	[0..1]	±		98
	TradeDatePositionBalance <*TradDtPosBal*>	[0..1]	±		98
	InTransshipmentBalance <*InTrnsShipmntBal*>	[0..1]	±		98
	RegisteredBalance <*RegdBal*>	[0..1]	±		99
	ObligatedBalance <*OblgtdBal*>	[0..1]	±		99
	UninstructedBalance <*UinstdBal*>	[0..1]	±		99
	InstructedBalance <*InstdBal*>	[0..1]	±		100
	AffectedBalance <*AfctdBal*>	[0..1]	±		100
	UnaffectedBalance <*UafctdBal*>	[0..1]	±		100
	IntermediateSecurity <*IntrmdtScty*>	[0..1]			101
	SecurityIdentification <*SctyId*>	[1..1]	±	C22, C23,	101

Or	MessageElement/BuildingBlock<*XML Tag*>	Mult.	Type	Constr. No.	Page
				C66, C67, C95	
	Quantity <*Qty*>	[0..1]	Quantity		103
	RenounceableEntitlementStatusType <*RnncblEntitlmntStsTp*>	[0..1]	±		103
	FractionDisposition <*FrctnDspstn*>	[0..1]	±		103
	IntermediateSecuritiesToUnderlyingRatio <*IntrmdtSctiesToUndrlygRatio*>	[0..1]	±		104
	MarketPrice <*MktPric*>	[0..1]	±		104
	ExpiryDate <*XpryDt*>	[1..1]	±		104
	PostingDate <*PstngDt*>	[1..1]	±		105
	TradingPeriod <*TradgPrd*>	[0..1]	±		105
	UninstructedBalance <*UinstdBal*>	[0..1]	±		105
	InstructedBalance <*InstdBal*>	[0..1]	±		105
	CorporateActionDetails <*CorpActnDtls*>	[0..1]		C27, C29, C31, C33	106
	DateDetails <*DtDtls*>	[0..1]		C37	111
	AnnouncementDate <*AnncmntDt*>	[0..1]	±		113
	CertificationDeadline <*CertfctnDdln*>	[0..1]	±		113
	CourtApprovalDate <*CrtApprvlDt*>	[0..1]	±		114
	EarlyClosingDate <*EarlyClsgDt*>	[0..1]	±		114
	EffectiveDate <*FctvDt*>	[0..1]	±		114
	EqualisationDate <*EqulstnDt*>	[0..1]	±		114
	FurtherDetailedAnnouncementDate <*FrthrDtldAnncmntDt*>	[0..1]	±		115
	FixingDate <*FxgDt*>	[0..1]	±		115
	LotteryDate <*LtryDt*>	[0..1]	±		115
	NewMaturityDate <*NewMtrtyDt*>	[0..1]	±		116
	MeetingDate <*MtgDt*>	[0..1]	±		116
	MarginFixingDate <*MrgnFxgDt*>	[0..1]	±		116
	ProrationDate <*PrratnDt*>	[0..1]	±		117
	RecordDate <*RcrdDt*>	[0..1]	±		117
	RegistrationDeadline <*RegnDdln*>	[0..1]	±		117
	ResultsPublicationDate <*RsltsPblctnDt*>	[0..1]	±		118

Or	MessageElement/BuildingBlock<*XML Tag*>	Mult.	Type	Constr. No.	Page
	DeadlineToSplit <*DdlnToSplt*>	[0..1]	±		118
	DeadlineForTaxBreakdownInstruction <*DdlnForTaxBrkdwnInstr*>	[0..1]	±		118
	TradingSuspendedDate <*TradgSspdDt*>	[0..1]	±		119
	UnconditionalDate <*UcondlDt*>	[0..1]	±		119
	WhollyUnconditionalDate <*WhlyUcondlDt*>	[0..1]	±		119
	ExDividendDate <*ExDvddDt*>	[0..1]	±		120
	OfficialAnnouncementPublicationDate <*OfclAnncmntPblctnDt*>	[0..1]	±		120
	SpecialExDate <*SpclExDt*>	[0..1]	±		120
	GuaranteedParticipationDate <*GrntedPrtcptnDt*>	[0..1]	±		121
	ElectionToCounterpartyMarketDeadline <*ElctnToCtrPtyMktDdln*>	[0..1]	±		121
	ElectionToCounterpartyResponseDeadline <*ElctnToCtrPtyRspnDdln*>	[0..1]	±		121
	LapsedDate <*LpsdDt*>	[0..1]	±		122
	PaymentDate <*PmtDt*>	[0..1]	±		122
	ThirdPartyDeadline <*ThrdPtyDdln*>	[0..1]	±		122
	EarlyThirdPartyDeadline <*EarlyThrdPtyDdln*>	[0..1]	±		123
	MarketClaimTrackingEndDate <*MktClmTrckgEndDt*>	[0..1]	±		123
	LeadPlaintiffDeadline <*LeadPlntffDdln*>	[0..1]	±		123
	FilingDate <*FilgDt*>	[0..1]	±		124
	HearingDate <*HrgDt*>	[0..1]	±		124
	PeriodDetails <*PrdDtls*>	[0..1]	±	C62	124
	RateAndAmountDetails <*RateAndAmtDtls*>	[0..1]	±	C19	125
	PriceDetails <*PricDtls*>	[0..1]			126
	MaximumPrice <*MaxPric*>	[0..1]	±		126
	MinimumPrice <*MinPric*>	[0..1]	±		127
	FirstBidIncrementPrice <*FrstBidIncrmtPric*>	[0..1]	±		127
	LastBidIncrementPrice <*LastBidIncrmtPric*>	[0..1]	±		128
	SecuritiesQuantity <*SctiesQty*>	[0..1]		C77	128
	MaximumQuantity <*MaxQty*>	[0..1]	±	C25	129
	MinimumQuantitySought <*MinQtySght*>	[0..1]	±	C25	130
	NewBoardLotQuantity <*NewBrdLotQty*>	[0..1]	±	C26	130

Or	MessageElement/BuildingBlock<*XML Tag*>	Mult.	Type	Constr. No.	Page
	NewDenominationQuantity <*NewDnmtnQty*>	[0..1]	±	C26	131
	BaseDenomination <*BaseDnmtn*>	[0..1]	±	C26	131
	IncrementalDenomination <*IncrmtlDnmtn*>	[0..1]	±	C26	132
	InterestAccruedNumberOfDays <*IntrstAcrdNbOfDays*>	[0..1]	Quantity	C90	132
	CouponNumber <*CpnNb*>	[0..*]	±		132
	CertificationBreakdownIndicator <*CertfctnBrkdwnInd*>	[0..1]	Indicator		133
	ChargesAppliedIndicator <*ChrgsApldInd*>	[0..1]	Indicator		133
	RestrictionIndicator <*RstrctnInd*>	[0..1]	Indicator		133
	AccruedInterestIndicator <*AcrdIntrstInd*>	[0..1]	Indicator		133
	LetterOfGuaranteedDeliveryIndicator <*LttrOfGrntedDlvryInd*>	[0..1]	Indicator		134
	ShareholderRightsDirectiveIndicator <*ShrhldrRghtsDrctvInd*>	[0..1]	Indicator		134
	DividendType <*DvddTp*>	[0..1]	±		134
	EventSequenceType <*EvtSeqTp*>	[0..1]	±		134
	OccurrenceType <*OcrncTp*>	[0..1]	±		134
	OfferType <*OfferTp*>	[0..*]	±		135
	RenounceableEntitlementStatusType <*RnncblEntitlmntStsTp*>	[0..1]	±		135
	EventStage <*EvtStag*>	[0..*]	±		135
	AdditionalBusinessProcessIndicator <*AddtlBizPrcInd*>	[0..*]	±		135
	ChangeType <*ChngTp*>	[0..*]	±		136
	IntermediateSecuritiesDistributionType <*IntrmdtSctiesDstrbtnTp*>	[0..1]	±		136
	CapitalGainInOutIndicator <*CptlGnInOutInd*>	[0..1]	±		136
	TaxableIncomePerShareCalculated <*TaxblIncmPerShrClctd*>	[0..1]	±		137
	ElectionType <*ElctnTp*>	[0..1]	±		137
	LotteryType <*LtryTp*>	[0..1]	±		137
	CertificationType <*CertfctnTp*>	[0..1]	±		137
	ConsentType <*CnsntTp*>	[0..1]	±		138
	InformationType <*InfTp*>	[0..1]	±		138
	TaxOnNonDistributedProceedsIndicator <*TaxOnNonDstrbtdPrcdsInd*>	[0..*]	±		138
	NewPlaceOfIncorporation <*NewPlcOfIncorprtn*>	[0..1]	Text		139
	AdditionalInformation <*AddtlInf*>	[0..1]		C3	139
	Offeror <*Offerr*>	[0..*]	±		139

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	NewCompanyName <*NewCpnyNm*>	[0..1]	±		139
	URLAddress <*URLAdr*>	[0..*]	±		140
	EventProcessingWebSiteAddress <*EvtPrcgWebSiteAdr*>	[0..1]	Text		140
	CorporateActionOptionDetails <*CorpActnOptnDtls*>	[0..*]		C7, C11, C28, C30, C32, C34, C60, C93, C101, C92	140
	OptionNumber <*OptnNb*>	[1..1]	Text		153
	OptionType <*OptnTp*>	[1..1]	±		153
	FractionDisposition <*FrctnDspstn*>	[0..1]	±		153
	OfferType <*OfferTp*>	[0..*]	±		153
	OptionFeatures <*OptnFeatrs*>	[0..*]	±		153
	OptionAvailabilityStatus <*OptnAvlbtySts*>	[0..1]	±		154
	CertificationBreakdownType <*CertfctnBrkdwnTp*>	[0..*]	±		154
	BidRangeType <*BidRgTp*>	[0..1]	±		154
	NonDomicileCountry <*NonDmclCtry*>	[0..*]	CodeSet	C16	154
	ValidDomicileCountry <*VldDmclCtry*>	[0..*]	CodeSet	C16	155
	CurrencyOption <*CcyOptn*>	[0..1]	CodeSet	C1	155
	DefaultProcessingOrStandingInstruction <*DfltPrcgOrStgInstr*>	[1..1]	±		156
	ChargesAppliedIndicator <*ChrgsApldInd*>	[0..1]	Indicator		156
	CertificationBreakdownIndicator <*CertfctnBrkdwnInd*>	[0..1]	Indicator		156
	WithdrawalAllowedIndicator <*WdrwlAllwdInd*>	[0..1]	Indicator		157
	ChangeAllowedIndicator <*ChngAllwdInd*>	[0..1]	Indicator		157
	AppliedOptionIndicator <*ApldOptnInd*>	[0..1]	Indicator		157
	FinancialInstrumentIdentification <*FinInstrmId*>	[0..1]	±	C22, C23, C66, C67, C95	157
	DateDetails <*DtDtls*>	[0..1]			159
	EarlyResponseDeadline <*EarlyRspnDdln*>	[0..1]	±		159
	CoverExpirationDeadline <*CoverXprtnDdln*>	[0..1]	±		160

Or	MessageElement/BuildingBlock<*XML Tag*>	Mult.	Type	Constr. No.	Page
	ProtectDeadline <*PrtctDdln*>	[0..1]	±		160
	MarketDeadline <*MktDdln*>	[0..1]	±		160
	ResponseDeadline <*RspnDdln*>	[0..1]	±		161
	ExpiryDate <*XpryDt*>	[0..1]	±		161
	SubscriptionCostDebitDate <*SbcptCostDbtDt*>	[0..1]	±		162
	DepositoryCoverExpirationDate <*DpstryCoverXprtnDt*>	[0..1]	±		162
	StockLendingDeadline <*StockLndgDdln*>	[0..1]	±		162
	BorrowerStockLendingDeadline <*BrrwrStockLndgDdln*>	[0..*]			163
	StockLendingDeadline <*StockLndgDdln*>	[1..1]	±		163
	Borrower <*Brrwr*>	[1..1]	±		163
	EndOfSecuritiesBlockingPeriod <*EndOfSctiesBlckgPrd*>	[0..1]	±		163
	PeriodDetails <*PrdDtls*>	[0..1]			164
	PriceCalculationPeriod <*PricClctnPrd*>	[0..1]	±		164
	ParallelTradingPeriod <*ParllTradgPrd*>	[0..1]	±		164
	ActionPeriod <*ActnPrd*>	[0..1]	±		165
	RevocabilityPeriod <*RvcbltyPrd*>	[0..1]	±		165
	PrivilegeSuspensionPeriod <*PrvlgSspnsnPrd*>	[0..1]	±		165
	AccountServicerRevocabilityPeriod <*AcctSvcrRvcbltyPrd*>	[0..1]	±		165
	DepositorySuspensionPeriodForWithdrawal <*DpstrySspnsnPrdForWdrwl*>	[0..1]	±		166
	RateAndAmountDetails <*RateAndAmtDtls*>	[0..1]		C48, C50, C83, C85, C108, C110, C112, C117, C119	166
	AdditionalTax <*AddtlTax*>	[0..1]	±		169
	GrossDividendRate <*GrssDvddRate*>	[0..*]	±		169
	NetDividendRate <*NetDvddRate*>	[0..*]	±		170
	InterestRateUsedForPayment <*IntrstRateUsdForPmt*>	[0..*]	±		171
	MaximumAllowedOversubscriptionRate <*MaxAllwdOvrsbcptRate*>	[0..1]	±		172
	ProrationRate <*PrratnRate*>	[0..1]	±		172
	WithholdingTaxRate <*WhldgTaxRate*>	[0..*]	±		173

Or	MessageElement/BuildingBlock<*XML Tag*>	Mult.	Type	Constr. No.	Page
	SecondLevelTax <*ScndLvlTax*>	[0..*]	±		173
	TaxableIncomePerDividendShare <*TaxblIncmPerDvddShr*>	[0..*]	±		173
	IssuerDeclaredExchangeRate <*IssrDclrdXchgRate*>	[0..1]	±		174
	TaxOnIncome <*TaxOnIncm*>	[0..1]	±		174
	BidInterval <*BidIntrvl*>	[0..1]	±		174
	PriceDetails <*PricDtls*>	[0..1]			175
	CashInLieuOfSharePrice <*CshInLieuOfShrPric*>	[0..1]	±		175
	OverSubscriptionDepositPrice <*OverSbcptDpstPric*>	[0..1]	±		176
	MaximumCashToInstruct <*MaxCshToInst*>	[0..1]	±		176
	MinimumCashToInstruct <*MinCshToInst*>	[0..1]	±		176
	MinimumMultipleCashToInstruct <*MinMltplCshToInst*>	[0..1]	±		177
	MaximumPrice <*MaxPric*>	[0..1]	±		177
	MinimumPrice <*MinPric*>	[0..1]	±		177
	FirstBidIncrementPrice <*FrstBidIncrmtPric*>	[0..1]	±		178
	LastBidIncrementPrice <*LastBidIncrmtPric*>	[0..1]	±		178
	SecuritiesQuantity <*SctiesQty*>	[0..1]			179
	MaximumQuantityToInstruct <*MaxQtyToInst*>	[0..1]	±	C25	179
	MinimumQuantityToInstruct <*MinQtyToInst*>	[0..1]	±	C25	180
	MinimumMultipleQuantityToInstruct <*MinMltplQtyToInst*>	[0..1]	±	C26	180
	NewBoardLotQuantity <*NewBrdLotQty*>	[0..1]	±	C26	181
	NewDenominationQuantity <*NewDnmtnQty*>	[0..1]	±	C26	181
	FrontEndOddLotQuantity <*FrntEndOddLotQty*>	[0..1]	±	C26	182
	BackEndOddLotQuantity <*BckEndOddLotQty*>	[0..1]	±	C26	182
	SecuritiesMovementDetails <*SctiesMvmntDtls*>	[0..*]		C39, C55, C57, C69	183
	SecurityDetails <*SctyDtls*>	[1..1]		C76, C98	187
	FinancialInstrumentIdentification <*FinInstrmId*>	[1..1]	±	C22, C23, C66, C67, C95	189
	PlaceOfListing <*PlcOfListg*>	[0..1]	±		190
	DayCountBasis <*DayCntBsis*>	[0..1]	±		190

Or	MessageElement/BuildingBlock*<XML Tag>*	Mult.	Type	Constr. No.	Page
	ClassificationType *<ClssfctnTp>*	[0..1]	±		191
	OptionStyle *<OptnStyle>*	[0..1]	±		191
	DenominationCurrency *<DnmtnCcy>*	[0..1]	CodeSet	C2	191
	NextCouponDate *<NxtCpnDt>*	[0..1]	Date		192
	FloatingRateFixingDate *<FltgRateFxgDt>*	[0..1]	Date		192
	MaturityDate *<MtrtyDt>*	[0..1]	Date		192
	IssueDate *<IsseDt>*	[0..1]	Date		192
	NextCallableDate *<NxtCllblDt>*	[0..1]	Date		192
	PutableDate *<PutblDt>*	[0..1]	Date		192
	DatedDate *<DtdDt>*	[0..1]	Date		192
	ConversionDate *<ConvsDt>*	[0..1]	Date		193
	PreviousFactor *<PrvsFctr>*	[0..1]	±		193
	NextFactor *<NxtFctr>*	[0..1]	±		193
	InterestRate *<IntrstRate>*	[0..1]	±		193
	NextInterestRate *<NxtIntrstRate>*	[0..1]	±		193
	MinimumNominalQuantity *<MinNmnlQty>*	[0..1]	±	C24	194
	MinimumQuantityToInstruct *<MinQtyToInst>*	[0..1]	±	C24	194
	MinimumMultipleQuantityToInstruct *<MinMltplQtyToInst>*	[0..1]	±	C24	195
	ContractSize *<CtrctSz>*	[0..1]	±	C24	195
	IssuePrice *<IssePric>*	[0..1]	±		196
	CreditDebitIndicator *<CdtDbtInd>*	[1..1]	CodeSet		196
	TemporaryFinancialInstrumentIndicator *<TempFinInstrmInd>*	[0..1]	±		196
	NonEligibleProceedsIndicator *<NonElgblPrcdsInd>*	[0..1]	±		196
	IssuerOfferorTaxabilityIndicator *<IssrOfferrTaxbltyInd>*	[0..1]	±		197
	NewSecuritiesIssuanceIndicator *<NewSctiesIssncInd>*	[0..1]	CodeSet		197
	IncomeType *<IncmTp>*	[0..1]	±		198
	OtherIncomeType *<OthrIncmTp>*	[0..*]	±		198
	ExemptionType *<XmptnTp>*	[0..*]	±		198
	EntitledQuantity *<EntitldQty>*	[0..1]	±		199
	SafekeepingPlace *<SfkpgPlc>*	[0..1]	±		199
	CountryOfIncomeSource *<CtryOfIncmSrc>*	[0..1]	CodeSet	C16	199

Or	MessageElement/BuildingBlock<*XML Tag*>	Mult.	Type	Constr. No.	Page
	FractionDisposition <*FrctnDspstn*>	[0..1]	±		200
	CurrencyOption <*CcyOptn*>	[0..1]	CodeSet	C1	200
	TradingPeriod <*TradgPrd*>	[0..1]	±		200
	DateDetails <*DtDtls*>	[1..1]			201
	PaymentDate <*PmtDt*>	[1..1]	±		201
	AvailableDate <*AvlblDt*>	[0..1]	±		201
	DividendRankingDate <*DvddRnkgDt*>	[0..1]	±		202
	EarliestPaymentDate <*EarlstPmtDt*>	[0..1]	±		202
	PariPassuDate <*PrpssDt*>	[0..1]	±		202
	LastTradingDate <*LastTradgDt*>	[0..1]	±		203
	RateDetails <*RateDtls*>	[0..1]			203
	AdditionalQuantityForSubscribedResultantSecurities <*AddtlQtyForSbcbdRsltntScties*>	[0..1]	±		204
	AdditionalQuantityForExistingSecurities <*AddtlQtyForExstgScties*>	[0..1]	±		204
	NewToOld <*NewToOd*>	[0..1]	±		205
	TransformationRate <*TrfrmatnRate*>	[0..1]	Rate		205
	ChargesFees <*ChrgsFees*>	[0..1]	±		205
	FiscalStamp <*FsclStmp*>	[0..1]	±		206
	ApplicableRate <*AplblRate*>	[0..1]	±		206
	TaxCreditRate <*TaxCdtRate*>	[0..1]	±		206
	FinancialTransactionTaxRate <*FinTxTaxRate*>	[0..1]	±		207
	WithholdingTaxRate <*WhldgTaxRate*>	[0..*]	±		207
	SecondLevelTax <*ScndLvlTax*>	[0..*]	±		207
	PriceDetails <*PricDtls*>	[0..1]		C45	208
	IndicativeOrMarketPrice <*IndctvOrMktPric*>	[0..1]			208
{Or	**IndicativePrice** <*IndctvPric*>	[1..1]	±		209
Or}	**MarketPrice** <*MktPric*>	[1..1]	±		209
	CashInLieuOfSharePrice <*CshInLieuOfShrPric*>	[0..1]	±		209
	CashValueForTax <*CshValForTax*>	[0..1]	±		210
	GenericCashPricePaidPerProduct <*GncCshPricPdPerPdct*>	[0..1]	±		210
	GenericCashPriceReceivedPerProduct <*GncCshPricRcvdPerPdct*>	[0..1]	±		210

Or	MessageElement/BuildingBlock<*XML Tag*>	Mult.	Type	Constr. No.	Page
	AmountDetails <*AmtDtls*>	[0..1]			211
	WithholdingTaxAmount <*WhldgTaxAmt*>	[0..1]	Amount	C1, C17	211
	SecondLevelTaxAmount <*ScndLvlTaxAmt*>	[0..1]	Amount	C1, C17	212
	CashMovementDetails <*CshMvmntDtls*>	[0..*]		C40, C56, C58, C70, C46	213
	CreditDebitIndicator <*CdtDbtInd*>	[1..1]	CodeSet		218
	ContractualPaymentIndicator <*CtrctlPmtInd*>	[0..1]	CodeSet		218
	NonEligibleProceedsIndicator <*NonElgblPrcdsInd*>	[0..1]	±		219
	IssuerOfferorTaxabilityIndicator <*IssrOfferrTaxbltyInd*>	[0..1]	±		219
	IncomeType <*IncmTp*>	[0..1]	±		219
	OtherIncomeType <*OthrIncmTp*>	[0..*]	±		219
	ExemptionType <*XmptnTp*>	[0..*]	±		220
	CountryOfIncomeSource <*CtryOfIncmSrc*>	[0..1]	CodeSet	C16	220
	CashAccountIdentification <*CshAcctId*>	[0..1]	±		220
	AmountDetails <*AmtDtls*>	[0..1]			221
	GrossCashAmount <*GrssCshAmt*>	[0..1]	Amount	C1, C17	224
	NetCashAmount <*NetCshAmt*>	[0..1]	Amount	C1, C17	224
	SolicitationFees <*SlctnFees*>	[0..1]	Amount	C1, C17	225
	CashInLieuOfShare <*CshInLieuOfShr*>	[0..1]	Amount	C1, C17	226
	CapitalGain <*CptlGn*>	[0..1]	Amount	C1, C17	227
	InterestAmount <*IntrstAmt*>	[0..1]	Amount	C1, C17	227
	IndemnityAmount <*IndmntyAmt*>	[0..1]	Amount	C1, C17	228
	ManufacturedDividendPaymentAmount <*ManfctrdDvddPmtAmt*>	[0..1]	Amount	C1, C17	229
	ReinvestmentAmount <*RinvstmtAmt*>	[0..1]	Amount	C1, C17	230
	FullyFrankedAmount <*FullyFrnkdAmt*>	[0..1]	Amount	C1, C17	230

Or	MessageElement/BuildingBlock*<XML Tag>*	Mult.	Type	Constr. No.	Page
	UnfrankedAmount *<UfrnkdAmt>*	[0..1]	Amount	C1, C17	231
	SundryOrOtherAmount *<SndryOrOthrAmt>*	[0..1]	Amount	C1, C17	232
	TaxFreeAmount *<TaxFreeAmt>*	[0..1]	Amount	C1, C17	232
	TaxDeferredAmount *<TaxDfrrdAmt>*	[0..1]	Amount	C1, C17	233
	ValueAddedTaxAmount *<ValAddedTaxAmt>*	[0..1]	Amount	C1, C17	234
	StampDutyAmount *<StmpDtyAmt>*	[0..1]	Amount	C1, C17	235
	TaxReclaimAmount *<TaxRclmAmt>*	[0..1]	Amount	C1, C17	235
	TaxCreditAmount *<TaxCdtAmt>*	[0..1]	Amount	C1, C17	236
	AdditionalTaxAmount *<AddtlTaxAmt>*	[0..1]	Amount	C1, C17	237
	WithholdingTaxAmount *<WhldgTaxAmt>*	[0..1]	Amount	C1, C17	237
	SecondLevelTaxAmount *<ScndLvlTaxAmt>*	[0..1]	Amount	C1, C17	238
	FiscalStampAmount *<FsclStmpAmt>*	[0..1]	Amount	C1, C17	239
	ExecutingBrokerAmount *<ExctgBrkrAmt>*	[0..1]	Amount	C1, C17	240
	PayingAgentCommissionAmount *<PngAgtComssnAmt>*	[0..1]	Amount	C1, C17	240
	LocalBrokerCommissionAmount *<LclBrkrComssnAmt>*	[0..1]	Amount	C1, C17	241
	RegulatoryFeesAmount *<RgltryFeesAmt>*	[0..1]	Amount	C1, C17	242
	ShippingFeesAmount *<ShppgFeesAmt>*	[0..1]	Amount	C1, C17	242
	ChargesAmount *<ChrgsAmt>*	[0..1]	Amount	C1, C17	243
	EntitledAmount *<EntitldAmt>*	[0..1]	Amount	C1, C17	244
	OriginalAmount *<OrgnlAmt>*	[0..1]	Amount	C1, C17	245
	PrincipalOrCorpus *<PrncplOrCrps>*	[0..1]	Amount	C1, C17	245
	RedemptionPremiumAmount *<RedPrmAmt>*	[0..1]	Amount	C1, C17	246

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	IncomePortion <IncmPrtn>	[0..1]	Amount	C1, C17	247
	StockExchangeTax <StockXchgTax>	[0..1]	Amount	C1, C17	247
	EUTaxRetentionAmount <EUTaxRtntnAmt>	[0..1]	Amount	C1, C17	248
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C1, C17	249
	EqualisationAmount <EqulstnAmt>	[0..1]	Amount	C1, C17	250
	FATCATaxAmount <FATCATaxAmt>	[0..1]	Amount	C1, C17	250
	NRATaxAmount <NRATaxAmt>	[0..1]	Amount	C1, C17	251
	BackUpWithholdingTaxAmount <BckUpWhldgTaxAmt>	[0..1]	Amount	C1, C17	252
	TaxOnIncomeAmount <TaxOnIncmAmt>	[0..1]	Amount	C1, C17	252
	TransactionTax <TxTax>	[0..1]	Amount	C1, C17	253
	DeemedAmount <DmdAmt>	[0..1]	Amount	C1, C17	254
	ForeignIncomeAmount <FrgnIncmAmt>	[0..1]	Amount	C1, C17	255
	DeemedDividendAmount <DmdDvddAmt>	[0..1]	Amount	C1, C17	255
	DeemedFundAmount <DmdFndAmt>	[0..1]	Amount	C1, C17	256
	DeemedInterestAmount <DmdIntrstAmt>	[0..1]	Amount	C1, C17	257
	DeemedRoyaltiesAmount <DmdRyltsAmt>	[0..1]	Amount	C1, C17	257
	DateDetails <DtDtls>	[1..1]			258
	PaymentDate <PmtDt>	[1..1]	±		258
	ValueDate <ValDt>	[0..1]	±		259
	ForeignExchangeRateFixingDate <FXRateFxgDt>	[0..1]	±		259
	EarliestPaymentDate <EarlstPmtDt>	[0..1]	±		259
	ForeignExchangeDetails <FXDtls>	[0..1]	±		260
	RateAndAmountDetails <RateAndAmtDtls>	[0..1]		C20, C21, C49, C51, C84, C86,	260

Or	MessageElement/BuildingBlock<*XML Tag*>	Mult.	Type	Constr. No.	Page
				C109, C111, C113, C118, C120	
	AdditionalTax <*AddtlTax*>	[0..1]	±		264
	GrossDividendRate <*GrssDvddRate*>	[0..*]	±		264
	InterestRateUsedForPayment <*IntrstRateUsdForPmt*>	[0..*]	±		265
	WithholdingTaxRate <*WhldgTaxRate*>	[0..*]	±		266
	SecondLevelTax <*ScndLvlTax*>	[0..*]	±		266
	ChargesFees <*ChrgsFees*>	[0..1]	±		267
	EarlySolicitationFeeRate <*EarlySlctnFeeRate*>	[0..1]	±		267
	FiscalStamp <*FsclStmp*>	[0..1]	±		268
	ThirdPartyIncentiveRate <*ThrdPtyIncntivRate*>	[0..1]	±		268
	NetDividendRate <*NetDvddRate*>	[0..*]	±		268
	ApplicableRate <*AplblRate*>	[0..1]	±		269
	SolicitationFeeRate <*SlctnFeeRate*>	[0..1]	±		269
	TaxCreditRate <*TaxCdtRate*>	[0..1]	±		270
	TaxOnIncome <*TaxOnIncm*>	[0..1]	±		270
	TaxOnProfits <*TaxOnPrfts*>	[0..1]	±		270
	TaxReclaimRate <*TaxRclmRate*>	[0..1]	±		271
	EqualisationRate <*EqulstnRate*>	[0..1]	±		271
	DeemedRate <*DmdRate*>	[0..*]	±		271
	PriceDetails <*PricDtls*>	[0..1]		C47	272
	GenericCashPricePaidPerProduct <*GncCshPricPdPerPdct*>	[0..1]	±		273
	GenericCashPriceReceivedPerProduct <*GncCshPricRcvdPerPdct*>	[0..1]	±		273
	CashInLieuOfSharePrice <*CshInLieuOfShrPric*>	[0..1]	±		274
	AdditionalInformation <*AddtlInf*>	[0..1]		C4	274
	AdditionalText <*AddtlTxt*>	[0..*]	±		275
	NarrativeVersion <*NrrtvVrsn*>	[0..*]	±		275
	InformationConditions <*InfConds*>	[0..*]	±		276
	InformationToComplyWith <*InfToCmplyWth*>	[0..*]	±		276
	SecurityRestriction <*SctyRstrctn*>	[0..*]	±		276

Or	MessageElement/BuildingBlock<*XML Tag*>	Mult.	Type	Constr. No.	Page
	TaxationConditions <*TaxtnConds*>	[0..*]	±		277
	Disclaimer <*Dsclmr*>	[0..*]	±		277
	CertificationBreakdown <*CertfctnBrkdwn*>	[0..*]	±		277
	AdditionalInformation <*AddtlInf*>	[0..1]		C5	278
	AdditionalText <*AddtlTxt*>	[0..*]	±	C6	279
	NarrativeVersion <*NrrtvVrsn*>	[0..*]	±	C6	279
	InformationConditions <*InfConds*>	[0..*]	±	C6	280
	InformationToComplyWith <*InfToCmplyWth*>	[0..*]	±	C6	280
	TaxationConditions <*TaxtnConds*>	[0..*]	±	C6	281
	Disclaimer <*Dsclmr*>	[0..*]	±	C6	281
	PartyContactNarrative <*PtyCtctNrrtv*>	[0..*]	±	C6	282
	RegistrationDetails <*RegnDtls*>	[0..*]	±	C6	282
	BasketOrIndexInformation <*BsktOrIndxInf*>	[0..*]	±	C6	283
	CertificationBreakdown <*CertfctnBrkdwn*>	[0..*]	±	C6	283
	URLAddress <*URLAdr*>	[0..*]	±		284
	ProcessingTextForNextIntermediary <*PrcgTxtForNxtIntrmy*>	[0..*]	±	C6	284
	IssuerAgent <*IssrAgt*>	[0..*]	±		285
	PayingAgent <*PngAgt*>	[0..*]	±		285
	SubPayingAgent <*SubPngAgt*>	[0..*]	±		285
	Registrar <*Regar*>	[0..1]	±		286
	ResellingAgent <*RsellngAgt*>	[0..*]	±		286
	PhysicalSecuritiesAgent <*PhysSctiesAgt*>	[0..1]	±		286
	DropAgent <*DrpAgt*>	[0..1]	±		286
	SolicitationAgent <*SlctnAgt*>	[0..*]	±		287
	InformationAgent <*InfAgt*>	[0..1]	±		287
	Issuer <*Issr*>	[0..1]	±		287
	Offeror <*Offerr*>	[0..*]	±		288
	TransferAgent <*TrfAgt*>	[0..1]	±		288
	SupplementaryData <*SplmtryData*>	[0..*]	±	C115	288

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 occurences 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 NDISS 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.

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.

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 occurences 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.

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.

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/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)

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 an ISIN code exists, 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.

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.

C71   LastBidIncrementPrice1Rule

(Rule)

If LastBidIncrementPrice is present in CorporateActionDetails/PriceDetails, then LastBidIncrementPrice is not allowed in any occurences 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 occurences 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 occurences 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.

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 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	PageNumber *<PgNb>*	[1..1]	Text		1069
	LastPageIndicator *<LastPgInd>*	[1..1]	Indicator		1069

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
CorporateActionNotification7 elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NotificationType <NtfctnTp>	[1..1]	CodeSet		75
	ProcessingStatus <PrcgSts>	[1..1]	±		75

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 1309

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
CorporateActionProcessingStatus5Choice on page 1083 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]			1083
	EventCompletenessStatus <EvtCmpltnsSts>	[1..1]	CodeSet		1083
	EventConfirmationStatus <EvtConfSts>	[1..1]	CodeSet		1084
Or}	Proprietary <Prtry>	[1..1]	±		1084

3.4.3 PreviousNotificationIdentification <PrvsNtfctnId>

Presence: [0..1]

Definition: Identification of the previously sent notification document.

PreviousNotificationIdentification <PrvsNtfctnId> contains the following elements (see DocumentIdentification31 on page 941 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		941
	LinkageType *<LkgTp>*	[0..1]	±	C32	941

3.4.4 InstructionIdentification <InstrId>

Presence: [0..1]

Definition: Identification of a related instruction document.

InstructionIdentification <InstrId> contains the following elements (see DocumentIdentification9 on page 966 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		966

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 DocumentIdentification32 on page 944 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]			944
{Or	AccountServicerDocumentIdentification *<AcctSvcrDocId>*	[1..1]	Text		944
Or}	AccountOwnerDocumentIdentification *<AcctOwnrDocId>*	[1..1]	Text		944
	DocumentNumber *<DocNb>*	[0..1]	±	C6	944
	LinkageType *<LkgTp>*	[0..1]	±	C32	945

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 CorporateActionEventReference3 on page 963 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	EventIdentification *<EvtId>*	[1..1]			964
{Or	LinkedOfficialCorporateActionEventIdentification *<LkdOffclCorpActnEvtId>*	[1..1]	Text		964
Or}	LinkedCorporateActionIdentification *<LkdCorpActnId>*	[1..1]	Text		964
	LinkageType *<LkgTp>*	[0..1]	±	C32	964

3.4.7   CorporateActionGeneralInformation <CorpActnGnlInf>

Presence: [1..1]

Definition: General information about the corporate action event.

Impacted by: C91 OfficialCorporateActionEventReference

CorporateActionGeneralInformation <CorpActnGnlInf> contains the following
CorporateActionGeneralInformation165 elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	CorporateActionEventIdentification *<CorpActnEvtId>*	[1..1]	Text		79
	OfficialCorporateActionEventIdentification *<OffclCorpActnEvtId>*	[0..1]	Text		79
	ClassActionNumber *<ClssActnNb>*	[0..1]	Text		79
	EventProcessingType *<EvtPrcgTp>*	[0..1]	±		79
	EventType *<EvtTp>*	[1..1]	±	C38	80
	MandatoryVoluntaryEventType *<MndtryVlntryEvtTp>*	[1..1]	±		80
	UnderlyingSecurity *<UndrlygScty>*	[1..1]		C75, C97	80
	FinancialInstrumentIdentification *<FinInstrmId>*	[1..1]	±	C22, C23, C66, C67, C95	82
	PlaceOfListing *<PlcOfListg>*	[0..1]	±		83
	DayCountBasis *<DayCntBsis>*	[0..1]	±		83
	ClassificationType *<ClssfctnTp>*	[0..1]	±		84
	OptionStyle *<OptnStyle>*	[0..1]	±		84
	DenominationCurrency *<DnmtnCcy>*	[0..1]	CodeSet	C2	84
	NextCouponDate *<NxtCpnDt>*	[0..1]	Date		85
	ExpiryDate *<XpryDt>*	[0..1]	Date		85
	FloatingRateFixingDate *<FltgRateFxgDt>*	[0..1]	Date		85
	MaturityDate *<MtrtyDt>*	[0..1]	Date		85
	IssueDate *<IsseDt>*	[0..1]	Date		85
	NextCallableDate *<NxtCllblDt>*	[0..1]	Date		85
	PutableDate *<PutblDt>*	[0..1]	Date		85
	DatedDate *<DtdDt>*	[0..1]	Date		86
	ConversionDate *<ConvsDt>*	[0..1]	Date		86
	InterestRate *<IntrstRate>*	[0..1]	±		86
	NextInterestRate *<NxtIntrstRate>*	[0..1]	±		86
	PercentageOfDebtClaim *<PctgOfDebtClm>*	[0..1]	±		86
	PreviousFactor *<PrvsFctr>*	[0..1]	±		87
	NextFactor *<NxtFctr>*	[0..1]	±		87

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	WarrantParity *<WarrtParity>*	[0..1]	±		87
	MinimumNominalQuantity *<MinNmnlQty>*	[0..1]	±	C24	87
	ContractSize *<CtrctSz>*	[0..1]	±	C24	88

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.

3.4.7.1 CorporateActionEventIdentification <CorpActnEvtId>

Presence: [1..1]

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

Datatype: Max35Text on page 1359

3.4.7.2 OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>

Presence: [0..1]

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

Datatype: Max35Text on page 1359

3.4.7.3 ClassActionNumber <ClssActnNb>

Presence: [0..1]

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

Datatype: Max35Text on page 1359

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 CorporateActionEventProcessingType2Choice on page 1124 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1124
Or}	Proprietary *<Prtry>*	[1..1]	±		1125

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 CorporateActionEventType84Choice 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]	±		1061

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 <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 CorporateActionMandatoryVoluntary3Choice on page 1123 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1124
Or}	Proprietary *<Prtry>*	[1..1]	±		1124

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 **FinancialInstrumentAttributes108** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentIdentification *<FinInstrmId>*	[1..1]	±	C22, C23, C66, C67, C95	82
	PlaceOfListing *<PlcOfListg>*	[0..1]	±		83
	DayCountBasis *<DayCntBsis>*	[0..1]	±		83
	ClassificationType *<ClssfctnTp>*	[0..1]	±		84
	OptionStyle *<OptnStyle>*	[0..1]	±		84
	DenominationCurrency *<DnmtnCcy>*	[0..1]	CodeSet	C2	84
	NextCouponDate *<NxtCpnDt>*	[0..1]	Date		85
	ExpiryDate *<XpryDt>*	[0..1]	Date		85
	FloatingRateFixingDate *<FltgRateFxgDt>*	[0..1]	Date		85
	MaturityDate *<MtrtyDt>*	[0..1]	Date		85
	IssueDate *<IsseDt>*	[0..1]	Date		85
	NextCallableDate *<NxtCllblDt>*	[0..1]	Date		85
	PutableDate *<PutblDt>*	[0..1]	Date		85
	DatedDate *<DtdDt>*	[0..1]	Date		86
	ConversionDate *<ConvsDt>*	[0..1]	Date		86
	InterestRate *<IntrstRate>*	[0..1]	±		86
	NextInterestRate *<NxtIntrstRate>*	[0..1]	±		86
	PercentageOfDebtClaim *<PctgOfDebtClm>*	[0..1]	±		86
	PreviousFactor *<PrvsFctr>*	[0..1]	±		87
	NextFactor *<NxtFctr>*	[0..1]	±		87
	WarrantParity *<WarrtParity>*	[0..1]	±		87
	MinimumNominalQuantity *<MinNmnlQty>*	[0..1]	±	C24	87
	ContractSize *<CtrctSz>*	[0..1]	±	C24	88

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.

3.4.7.7.1 FinancialInstrumentIdentification <FinInstrmId>

Presence: [1..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 SecurityIdentification19 on page 952 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	ISIN <*ISIN*>	[0..1]	IdentifierSet		954
	OtherIdentification <*OthrId*>	[0..*]			954
	Identification <*Id*>	[1..1]	Text		954
	Suffix <*Sfx*>	[0..1]	Text		954
	Type <*Tp*>	[1..1]	±		954
	Description <*Desc*>	[0..1]	Text		955

Constraints

- **DescriptionPresenceRule**

(Rule)

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

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00192

– *Error Text:* At least one identification must be present.

- **DescriptionUsageRule**

(Rule)

Description must be used alone as the last resort.

- **ISINGuideline**

  (Rule)

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

- **ISINPresenceRule**

  (Rule)

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

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* X00194

  – *Error Text:* At least one identification must be present.

- **OtherIdentificationPresenceRule**

  (Rule)

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

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* X00193

  – *Error Text:* At least one identification must be present.

3.4.7.7.2 PlaceOfListing <PlcOfListg>

Presence: [0..1]

Definition: Place where the referenced financial instrument is listed.

PlaceOfListing <PlcOfListg> contains one of the following elements (see MarketIdentification3Choice on page 971 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	MarketIdentifierCode *<MktIdrCd>*	[1..1]	IdentifierSet		971
Or}	Description *<Desc>*	[1..1]	Text		971

3.4.7.7.3 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 InterestComputationMethodFormat4Choice on page 1120 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1120
Or}	Proprietary *<Prtry>*	[1..1]	±		1123

3.4.7.7.4 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 ClassificationType32Choice on page 1119 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	ClassificationFinancialInstrument *<ClssfctnFinInstrm>*	[1..1]	IdentifierSet		1119
Or}	AlternateClassification *<AltrnClssfctn>*	[1..1]	±		1119

3.4.7.7.5 OptionStyle <OptnStyle>

Presence: [0..1]

Definition: Specifies how an option can be exercised.

OptionStyle <OptnStyle> contains one of the following elements (see OptionStyle8Choice on page 1118 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1119
Or}	Proprietary *<Prtry>*	[1..1]	±		1119

3.4.7.7.6 DenominationCurrency <DnmtnCcy>

Presence: [0..1]

Definition: Currency in which a financial instrument is currently denominated.

Impacted by: C2 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyCode on page 1271

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.

3.4.7.7.7 NextCouponDate <NxtCpnDt>

Presence: [0..1]

Definition: Next payment date of an interest bearing financial instrument.

Datatype: ISODate on page 1352

3.4.7.7.8 ExpiryDate <XpryDt>

Presence: [0..1]

Definition: Date on which an order expires or at which a privilege or offer terminates.

Datatype: ISODate on page 1352

3.4.7.7.9 FloatingRateFixingDate <FltgRateFxgDt>

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 1352

3.4.7.7.10 MaturityDate <MtrtyDt>

Presence: [0..1]

Definition: Date on which a financial instrument becomes due and assets are to be repaid.

Datatype: ISODate on page 1352

3.4.7.7.11 IssueDate <IsseDt>

Presence: [0..1]

Definition: Date on which the financial instrument is issued.

Datatype: ISODate on page 1352

3.4.7.7.12 NextCallableDate <NxtCllblDt>

Presence: [0..1]

Definition: Date on which a financial instrument is called away/redeemed before its scheduled maturity.

Datatype: ISODate on page 1352

3.4.7.7.13 PutableDate <PutblDt>

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 1352

3.4.7.7.14 DatedDate <DtdDt>

Presence: [0..1]

Definition: Date on which an interest bearing financial instrument begins to accrue interest.

Datatype: ISODate on page 1352

3.4.7.7.15 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 1352

3.4.7.7.16 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 1197 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Rate <*Rate*>	[1..1]	Rate		1197
Or}	NotSpecifiedRate <*NotSpcfdRate*>	[1..1]	CodeSet		1197

3.4.7.7.17 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 1197 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Rate <*Rate*>	[1..1]	Rate		1197
Or}	NotSpecifiedRate <*NotSpcfdRate*>	[1..1]	CodeSet		1197

3.4.7.7.18 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 <PctgOfDebtClm> contains one of the following elements (see RateFormat3Choice on page 1197 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1197
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1197

3.4.7.7.19 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 1125 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1125
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1125

3.4.7.7.20 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 1125 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1125
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1125

3.4.7.7.21 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 QuantityToQuantityRatio1 on page 955 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity1 <Qty1>	[1..1]	Quantity		955
	Quantity2 <Qty2>	[1..1]	Quantity		955

3.4.7.7.22 MinimumNominalQuantity <MinNmnlQty>

Presence: [0..1]

Definition: Minimum nominal quantity of financial instrument.

Impacted by: C24 DigitalTokenUnitUsageRule

MinimumNominalQuantity <MinNmnlQty> contains one of the following elements (see FinancialInstrumentQuantity33Choice on page 1185 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Unit *<Unit>*	[1..1]	Quantity		1186
Or	FaceAmount *<FaceAmt>*	[1..1]	Amount		1186
Or	AmortisedValue *<AmtsdVal>*	[1..1]	Amount		1186
Or}	DigitalTokenUnit *<DgtlTknUnit>*	[1..1]	Quantity		1186

Constraints

- **DigitalTokenUnitUsageRule**

  (Rule)

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

3.4.7.7.23 ContractSize <CtrctSz>

Presence: [0..1]

Definition: Ratio or multiplying factor used to convert one contract into a financial instrument quantity.

Impacted by: C24 DigitalTokenUnitUsageRule

ContractSize <CtrctSz> contains one of the following elements (see FinancialInstrumentQuantity33Choice on page 1185 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Unit *<Unit>*	[1..1]	Quantity		1186
Or	FaceAmount *<FaceAmt>*	[1..1]	Amount		1186
Or	AmortisedValue *<AmtsdVal>*	[1..1]	Amount		1186
Or}	DigitalTokenUnit *<DgtlTknUnit>*	[1..1]	Quantity		1186

Constraints

- **DigitalTokenUnitUsageRule**

  (Rule)

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

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 **AccountIdentification56Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	**ForAllAccounts** <ForAllAccts>	[1..1]	±		89
Or}	**AccountsListAndBalanceDetails** <AcctsListAndBalDtls>	[1..*]		C104 , C105 , C106 , C107	90
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		92
	BlockChainAddressOrWallet <BlckChainAdrOrWllt>	[0..1]	Text		93
	AccountOwner <AcctOwnr>	[0..1]	±		93
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		93
	Balance <Bal>	[0..1]		C8	93
	TotalEligibleBalance <TtlElgblBal>	[0..1]	±		94
	BlockedBalance <BlckdBal>	[0..1]	±		95
	BorrowedBalance <BrrwdBal>	[0..1]	±		95
	CollateralInBalance <CollInBal>	[0..1]	±		95
	CollateralOutBalance <CollOutBal>	[0..1]	±		96
	OnLoanBalance <OnLnBal>	[0..1]	±		96
	PendingDeliveryBalance <PdgDlvryBal>	[0..*]	±		96
	PendingReceiptBalance <PdgRctBal>	[0..*]	±		97
	OutForRegistrationBalance <OutForRegnBal>	[0..1]	±		97
	SettlementPositionBalance <SttlmPosBal>	[0..*]	±		97
	StreetPositionBalance <StrtPosBal>	[0..1]	±		98
	TradeDatePositionBalance <TradDtPosBal>	[0..1]	±		98
	InTransshipmentBalance <InTrnsShipmntBal>	[0..1]	±		98
	RegisteredBalance <RegdBal>	[0..1]	±		99
	ObligatedBalance <OblgtdBal>	[0..1]	±		99
	UninstructedBalance <UinstdBal>	[0..1]	±		99
	InstructedBalance <InstdBal>	[0..1]	±		100
	AffectedBalance <AfctdBal>	[0..1]	±		100
	UnaffectedBalance <UafctdBal>	[0..1]	±		100

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 <u>AccountIdentification10 on page 916</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	IdentificationCode *<IdCd>*	[1..1]	CodeSet		916

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: <u>C104 SafekeepingAccountOrBlockChainAddress1Rule</u>   ,   <u>C105 SafekeepingAccountOrBlockChainAddress2Rule</u>   ,   <u>C106 SafekeepingAccountOrBlockChainAddress3Rule</u>   , <u>C107 SafekeepingPlaceRule</u>

AccountsListAndBalanceDetails <AcctsListAndBalDtls> contains the following **AccountAndBalance55** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		92
	BlockChainAddressOrWallet <BlckChainAdrOrWllt>	[0..1]	Text		93
	AccountOwner <AcctOwnr>	[0..1]	±		93
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		93
	Balance <Bal>	[0..1]		C8	93
	TotalEligibleBalance <TtlElgblBal>	[0..1]	±		94
	BlockedBalance <BlckdBal>	[0..1]	±		95
	BorrowedBalance <BrrwdBal>	[0..1]	±		95
	CollateralInBalance <CollInBal>	[0..1]	±		95
	CollateralOutBalance <CollOutBal>	[0..1]	±		96
	OnLoanBalance <OnLnBal>	[0..1]	±		96
	PendingDeliveryBalance <PdgDlvryBal>	[0..*]	±		96
	PendingReceiptBalance <PdgRctBal>	[0..*]	±		97
	OutForRegistrationBalance <OutForRegnBal>	[0..1]	±		97
	SettlementPositionBalance <SttlmPosBal>	[0..*]	±		97
	StreetPositionBalance <StrtPosBal>	[0..1]	±		98
	TradeDatePositionBalance <TradDtPosBal>	[0..1]	±		98
	InTransshipmentBalance <InTrnsShipmntBal>	[0..1]	±		98
	RegisteredBalance <RegdBal>	[0..1]	±		99
	ObligatedBalance <OblgtdBal>	[0..1]	±		99
	UninstructedBalance <UinstdBal>	[0..1]	±		99
	InstructedBalance <InstdBal>	[0..1]	±		100
	AffectedBalance <AfctdBal>	[0..1]	±		100
	UnaffectedBalance <UafctdBal>	[0..1]	±		100

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: Max35Text on page 1359

3.4.8.2.2 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: Max140Text on page 1357

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 PartyIdentification127Choice on page 1145 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <*AnyBIC*>	[1..1]	IdentifierSet	C1	1145
Or}	ProprietaryIdentification <*PrtryId*>	[1..1]	±		1146

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 SafekeepingPlaceFormat28Choice on page 1231 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Identification <*Id*>	[1..1]			1232
	SafekeepingPlaceType <*SfkpgPlcTp*>	[1..1]	CodeSet		1232
	Identification <*Id*>	[0..1]	Text		1232
Or	Country <*Ctry*>	[1..1]	CodeSet	C3	1232
Or	TypeAndIdentification <*TpAndId*>	[1..1]			1233
	SafekeepingPlaceType <*SfkpgPlcTp*>	[1..1]	CodeSet		1233
	Identification <*Id*>	[1..1]	IdentifierSet	C1	1233
Or}	Proprietary <*Prtry*>	[1..1]	±		1234

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 **CorporateActionBalanceDetails43** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	TotalEligibleBalance <*TtlElgblBal*>	[0..1]	±		94
	BlockedBalance <*BlckdBal*>	[0..1]	±		95
	BorrowedBalance <*BrrwdBal*>	[0..1]	±		95
	CollateralInBalance <*CollInBal*>	[0..1]	±		95
	CollateralOutBalance <*CollOutBal*>	[0..1]	±		96
	OnLoanBalance <*OnLnBal*>	[0..1]	±		96
	PendingDeliveryBalance <*PdgDlvryBal*>	[0..*]	±		96
	PendingReceiptBalance <*PdgRctBal*>	[0..*]	±		97
	OutForRegistrationBalance <*OutForRegnBal*>	[0..1]	±		97
	SettlementPositionBalance <*SttlmPosBal*>	[0..*]	±		97
	StreetPositionBalance <*StrtPosBal*>	[0..1]	±		98
	TradeDatePositionBalance <*TradDtPosBal*>	[0..1]	±		98
	InTransshipmentBalance <*InTrnsShipmntBal*>	[0..1]	±		98
	RegisteredBalance <*RegdBal*>	[0..1]	±		99
	ObligatedBalance <*OblgtdBal*>	[0..1]	±		99
	UninstructedBalance <*UinstdBal*>	[0..1]	±		99
	InstructedBalance <*InstdBal*>	[0..1]	±		100
	AffectedBalance <*AfctdBal*>	[0..1]	±		100
	UnaffectedBalance <*UafctdBal*>	[0..1]	±		100

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 <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
TotalEligibleBalanceFormat10 on page 918 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Balance *<Bal>*	[0..1]	±		918
	FullPeriodUnits *<FullPrdUnits>*	[0..1]	±		919
	PartWayPeriodUnits *<PartWayPrdUnits>*	[0..1]	±		919

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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

3.4.8.2.5.4 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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

3.4.8.2.5.7 PendingDeliveryBalance <PdgDlvryBal>

Presence: [0..*]

Definition: Balance of financial instruments that are pending delivery.

PendingDeliveryBalance <PdgDlvryBal> contains one of the following elements (see
BalanceFormat12Choice on page 920 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		920
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		920
Or	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		920
Or	FullPeriodUnits *<FullPrdUnits>*	[1..1]	±		921
Or}	PartWayPeriodUnits *<PartWayPrdUnits>*	[1..1]	±		921

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
BalanceFormat12Choice on page 920 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		920
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		920
Or	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		920
Or	FullPeriodUnits *<FullPrdUnits>*	[1..1]	±		921
Or}	PartWayPeriodUnits *<PartWayPrdUnits>*	[1..1]	±		921

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
BalanceFormat11Choice on page 921 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

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
BalanceFormat12Choice on page 920 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		920
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		920
Or	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		920
Or	FullPeriodUnits *<FullPrdUnits>*	[1..1]	±		921
Or}	PartWayPeriodUnits *<PartWayPrdUnits>*	[1..1]	±		921

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
BalanceFormat11Choice on page 921 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

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
BalanceFormat11Choice on page 921 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

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 <u>BalanceFormat11Choice</u> <u>on page 921</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

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 **FinancialInstrumentAttributes110** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	SecurityIdentification *<SctyId>*	[1..1]	±	C22, C23, C66, C67, C95	101
	Quantity *<Qty>*	[0..1]	Quantity		103
	RenounceableEntitlementStatusType *<RnncblEntitlmntStsTp>*	[0..1]	±		103
	FractionDisposition *<FrctnDspstn>*	[0..1]	±		103
	IntermediateSecuritiesToUnderlyingRatio *<IntrmdtSctiesToUndrlygRatio>*	[0..1]	±		104
	MarketPrice *<MktPric>*	[0..1]	±		104
	ExpiryDate *<XpryDt>*	[1..1]	±		104
	PostingDate *<PstngDt>*	[1..1]	±		105
	TradingPeriod *<TradgPrd>*	[0..1]	±		105
	UninstructedBalance *<UinstdBal>*	[0..1]	±		105
	InstructedBalance *<InstdBal>*	[0..1]	±		105

3.4.9.1 SecurityIdentification <SctyId>

Presence: [1..1]

Definition: Identifies the financial instrument.

Impacted by: C22 DescriptionPresenceRule   , C23 DescriptionUsageRule, C66 ISINGuideline,   C67 ISINPresenceRule   ,   C95 OtherIdentificationPresenceRule

SecurityIdentification <SctyId> contains the following elements (see SecurityIdentification19 on page 952 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN </ISIN>	[0..1]	IdentifierSet		954
	OtherIdentification <OthrId>	[0..*]			954
	Identification <Id>	[1..1]	Text		954
	Suffix <Sfx>	[0..1]	Text		954
	Type <Tp>	[1..1]	±		954
	Description <Desc>	[0..1]	Text		955

Constraints

- **DescriptionPresenceRule**

  (Rule)

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

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* X00192

  – *Error Text:* At least one identification must be present.

- **DescriptionUsageRule**

  (Rule)

  Description must be used alone as the last resort.

- **ISINGuideline**

  (Rule)

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

- **ISINPresenceRule**

  (Rule)

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

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00194

– *Error Text:* At least one identification must be present.

- **OtherIdentificationPresenceRule**

  (Rule)

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

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* X00193

  – *Error Text:* At least one identification must be present.

3.4.9.2 Quantity <Qty>

Presence: [0..1]

Definition: Quantity of entitled intermediate securities based on the balance of underlying securities.

Datatype: DecimalNumber on page 1355

3.4.9.3 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 RenounceableEntitlementStatusTypeFormat3Choice on page 1118 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1118
Or}	Proprietary *<Prtry>*	[1..1]	±		1118

3.4.9.4 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 FractionDispositionType25Choice on page 1117 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Code <*Cd*>	[1..1]	CodeSet		1117
Or}	Proprietary <*Prtry*>	[1..1]	±		1117

3.4.9.5 IntermediateSecuritiesToUnderlyingRatio <IntrmdtSctiesToUndrlygRatio>

Presence: [0..1]

Definition: Quantity of intermediate securities awarded for a given quantity of underlying security.

IntermediateSecuritiesToUnderlyingRatio <IntrmdtSctiesToUndrlygRatio> contains the following elements (see QuantityToQuantityRatio1 on page 955 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Quantity1 <*Qty1*>	[1..1]	Quantity		955
	Quantity2 <*Qty2*>	[1..1]	Quantity		955

3.4.9.6 MarketPrice <MktPric>

Presence: [0..1]

Definition: Last reported/known price of a financial instrument in a market.

MarketPrice <MktPric> contains the following elements (see AmountPrice2 on page 917 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	AmountPriceType <*AmtPricTp*>	[1..1]	CodeSet		917
	PriceValue <*PricVal*>	[1..1]	Amount	C1	917

3.4.9.7 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 DateFormat30Choice on page 929 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Date <*Dt*>	[1..1]	Date		929
Or}	DateCode <*DtCd*>	[1..1]			929
{Or	Code <*Cd*>	[1..1]	CodeSet		929
Or}	Proprietary <*Prtry*>	[1..1]	±		930

3.4.9.8 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 DateFormat30Choice on page 929 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		929
Or}	DateCode <DtCd>	[1..1]			929
{Or	Code <Cd>	[1..1]	CodeSet		929
Or}	Proprietary <Prtry>	[1..1]	±		930

3.4.9.9 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 938 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	StartDate <StartDt>	[1..1]			938
{Or	Date <Dt>	[1..1]	±		939
Or}	NotSpecifiedDate <NotSpcfdDt>	[1..1]	CodeSet		939
	EndDate <EndDt>	[1..1]			939
{Or	Date <Dt>	[1..1]	±		939
Or}	NotSpecifiedDate <NotSpcfdDt>	[1..1]	CodeSet		940

3.4.9.10 UninstructedBalance <UinstdBal>

Presence: [0..1]

Definition: Balance of uninstructed position.

UninstructedBalance <UinstdBal> contains one of the following elements (see BalanceFormat11Choice on page 921 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		921
Or	EligibleBalance <ElgblBal>	[1..1]	±		922
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		922

3.4.9.11 InstructedBalance <InstdBal>

Presence: [0..1]

Definition: Balance of instructed position.

InstructedBalance <InstdBal> contains one of the following elements (see BalanceFormat11Choice on page 921 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

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 <CorpActnDtls> contains the following **CorporateAction68** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DateDetails <DtDtls>	[0..1]		C37	111
	AnnouncementDate <AnncmntDt>	[0..1]	±		113
	CertificationDeadline <CertfctnDdln>	[0..1]	±		113
	CourtApprovalDate <CrtApprvlDt>	[0..1]	±		114
	EarlyClosingDate <EarlyClsgDt>	[0..1]	±		114
	EffectiveDate <FctvDt>	[0..1]	±		114
	EqualisationDate <EqulstnDt>	[0..1]	±		114
	FurtherDetailedAnnouncementDate <FrthrDtldAnncmntDt>	[0..1]	±		115
	FixingDate <FxgDt>	[0..1]	±		115
	LotteryDate <LtryDt>	[0..1]	±		115
	NewMaturityDate <NewMtrtyDt>	[0..1]	±		116
	MeetingDate <MtgDt>	[0..1]	±		116
	MarginFixingDate <MrgnFxgDt>	[0..1]	±		116
	ProrationDate <PrratnDt>	[0..1]	±		117
	RecordDate <RcrdDt>	[0..1]	±		117
	RegistrationDeadline <RegnDdln>	[0..1]	±		117
	ResultsPublicationDate <RsltsPblctnDt>	[0..1]	±		118
	DeadlineToSplit <DdlnToSplt>	[0..1]	±		118
	DeadlineForTaxBreakdownInstruction <DdlnForTaxBrkdwnInstr>	[0..1]	±		118
	TradingSuspendedDate <TradgSspdDt>	[0..1]	±		119
	UnconditionalDate <UcondlDt>	[0..1]	±		119
	WhollyUnconditionalDate <WhlyUcondlDt>	[0..1]	±		119
	ExDividendDate <ExDvddDt>	[0..1]	±		120
	OfficialAnnouncementPublicationDate <OffclAnncmntPblctnDt>	[0..1]	±		120
	SpecialExDate <SpclExDt>	[0..1]	±		120
	GuaranteedParticipationDate <GrntedPrtcptnDt>	[0..1]	±		121
	ElectionToCounterpartyMarketDeadline <ElctnToCtrPtyMktDdln>	[0..1]	±		121
	ElectionToCounterpartyResponseDeadline <ElctnToCtrPtyRspnDdln>	[0..1]	±		121
	LapsedDate <LpsdDt>	[0..1]	±		122

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	PaymentDate *<PmtDt>*	[0..1]	±		122
	ThirdPartyDeadline *<ThrdPtyDdln>*	[0..1]	±		122
	EarlyThirdPartyDeadline *<EarlyThrdPtyDdln>*	[0..1]	±		123
	MarketClaimTrackingEndDate *<MktClmTrckgEndDt>*	[0..1]	±		123
	LeadPlaintiffDeadline *<LeadPlntffDdln>*	[0..1]	±		123
	FilingDate *<FilgDt>*	[0..1]	±		124
	HearingDate *<HrgDt>*	[0..1]	±		124
	PeriodDetails *<PrdDtls>*	[0..1]	±	C62	124
	RateAndAmountDetails *<RateAndAmtDtls>*	[0..1]	±	C19	125
	PriceDetails *<PricDtls>*	[0..1]			126
	MaximumPrice *<MaxPric>*	[0..1]	±		126
	MinimumPrice *<MinPric>*	[0..1]	±		127
	FirstBidIncrementPrice *<FrstBidIncrmtPric>*	[0..1]	±		127
	LastBidIncrementPrice *<LastBidIncrmtPric>*	[0..1]	±		128
	SecuritiesQuantity *<SctiesQty>*	[0..1]		C77	128
	MaximumQuantity *<MaxQty>*	[0..1]	±	C25	129
	MinimumQuantitySought *<MinQtySght>*	[0..1]	±	C25	130
	NewBoardLotQuantity *<NewBrdLotQty>*	[0..1]	±	C26	130
	NewDenominationQuantity *<NewDnmtnQty>*	[0..1]	±	C26	131
	BaseDenomination *<BaseDnmtn>*	[0..1]	±	C26	131
	IncrementalDenomination *<IncrmtlDnmtn>*	[0..1]	±	C26	132
	InterestAccruedNumberOfDays *<IntrstAcrdNbOfDays>*	[0..1]	Quantity	C90	132
	CouponNumber *<CpnNb>*	[0..*]	±		132
	CertificationBreakdownIndicator *<CertfctnBrkdwnInd>*	[0..1]	Indicator		133
	ChargesAppliedIndicator *<ChrgsApldInd>*	[0..1]	Indicator		133
	RestrictionIndicator *<RstrctnInd>*	[0..1]	Indicator		133
	AccruedInterestIndicator *<AcrdIntrstInd>*	[0..1]	Indicator		133
	LetterOfGuaranteedDeliveryIndicator *<LttrOfGrntedDlvryInd>*	[0..1]	Indicator		134
	ShareholderRightsDirectiveIndicator *<ShrhldrRghtsDrctvInd>*	[0..1]	Indicator		134
	DividendType *<DvddTp>*	[0..1]	±		134
	EventSequenceType *<EvtSeqTp>*	[0..1]	±		134

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OccurrenceType <OcrncTp>	[0..1]	±		134
	OfferType <OfferTp>	[0..*]	±		135
	RenounceableEntitlementStatusType <RnnclblEntitlmntStsTp>	[0..1]	±		135
	EventStage <EvtStag>	[0..*]	±		135
	AdditionalBusinessProcessIndicator <AddtlBizPrcInd>	[0..*]	±		135
	ChangeType <ChngTp>	[0..*]	±		136
	IntermediateSecuritiesDistributionType <IntrmdtSctiesDstrbtnTp>	[0..1]	±		136
	CapitalGainInOutIndicator <CptlGnInOutInd>	[0..1]	±		136
	TaxableIncomePerShareCalculated <TaxblIncmPerShrClctd>	[0..1]	±		137
	ElectionType <ElctnTp>	[0..1]	±		137
	LotteryType <LtryTp>	[0..1]	±		137
	CertificationType <CertfctnTp>	[0..1]	±		137
	ConsentType <CnsntTp>	[0..1]	±		138
	InformationType <InfTp>	[0..1]	±		138
	TaxOnNonDistributedProceedsIndicator <TaxOnNonDstrbtdPrcdsInd>	[0..*]	±		138
	NewPlaceOfIncorporation <NewPlcOfIncorprtn>	[0..1]	Text		139
	AdditionalInformation <AddtlInf>	[0..1]		C3	139
	Offeror <Offerr>	[0..*]	±		139
	NewCompanyName <NewCpnyNm>	[0..1]	±		139
	URLAddress <URLAdr>	[0..*]	±		140
	EventProcessingWebSiteAddress <EvtPrcgWebSiteAdr>	[0..1]	Text		140

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 <DtDtls>

Presence: [0..1]

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

Impacted by: C37 EffectiveDateRule

DateDetails <DtDtls> contains the following **CorporateActionDate83** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	AnnouncementDate <*AnncmntDt*>	[0..1]	±		113
	CertificationDeadline <*CertfctnDdln*>	[0..1]	±		113
	CourtApprovalDate <*CrtApprvlDt*>	[0..1]	±		114
	EarlyClosingDate <*EarlyClsgDt*>	[0..1]	±		114
	EffectiveDate <*FctvDt*>	[0..1]	±		114
	EqualisationDate <*EqulstnDt*>	[0..1]	±		114
	FurtherDetailedAnnouncementDate <*FrthrDtldAnncmntDt*>	[0..1]	±		115
	FixingDate <*FxgDt*>	[0..1]	±		115
	LotteryDate <*LtryDt*>	[0..1]	±		115
	NewMaturityDate <*NewMtrtyDt*>	[0..1]	±		116
	MeetingDate <*MtgDt*>	[0..1]	±		116
	MarginFixingDate <*MrgnFxgDt*>	[0..1]	±		116
	ProrationDate <*PrratnDt*>	[0..1]	±		117
	RecordDate <*RcrdDt*>	[0..1]	±		117
	RegistrationDeadline <*RegnDdln*>	[0..1]	±		117
	ResultsPublicationDate <*RsltsPblctnDt*>	[0..1]	±		118
	DeadlineToSplit <*DdlnToSplt*>	[0..1]	±		118
	DeadlineForTaxBreakdownInstruction <*DdlnForTaxBrkdwnInstr*>	[0..1]	±		118
	TradingSuspendedDate <*TradgSspdDt*>	[0..1]	±		119
	UnconditionalDate <*UcondlDt*>	[0..1]	±		119
	WhollyUnconditionalDate <*WhlyUcondlDt*>	[0..1]	±		119
	ExDividendDate <*ExDvddDt*>	[0..1]	±		120
	OfficialAnnouncementPublicationDate <*OfclAnncmntPblctnDt*>	[0..1]	±		120
	SpecialExDate <*SpclExDt*>	[0..1]	±		120
	GuaranteedParticipationDate <*GrntedPrtcptnDt*>	[0..1]	±		121
	ElectionToCounterpartyMarketDeadline <*ElctnToCtrPtyMktDdln*>	[0..1]	±		121
	ElectionToCounterpartyResponseDeadline <*ElctnToCtrPtyRspnDdln*>	[0..1]	±		121
	LapsedDate <*LpsdDt*>	[0..1]	±		122
	PaymentDate <*PmtDt*>	[0..1]	±		122

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	ThirdPartyDeadline *<ThrdPtyDdln>*	[0..1]	±		122
	EarlyThirdPartyDeadline *<EarlyThrdPtyDdln>*	[0..1]	±		123
	MarketClaimTrackingEndDate *<MktClmTrckgEndDt>*	[0..1]	±		123
	LeadPlaintiffDeadline *<LeadPlntffDdln>*	[0..1]	±		123
	FilingDate *<FilgDt>*	[0..1]	±		124
	HearingDate *<HrgDt>*	[0..1]	±		124

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 DateFormat43Choice on page 936 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Date *<Dt>*	[1..1]	±		936
Or}	DateCode *<DtCd>*	[1..1]			936
{Or	Code *<Cd>*	[1..1]	CodeSet		936
Or}	Proprietary *<Prtry>*	[1..1]	±		937

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 DateFormat43Choice on page 936 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Date *<Dt>*	[1..1]	±		936
Or}	DateCode *<DtCd>*	[1..1]			936
{Or	Code *<Cd>*	[1..1]	CodeSet		936
Or}	Proprietary *<Prtry>*	[1..1]	±		937

3.4.10.1.3 CourtApprovalDate <CrtApprvlDt>

Presence: [0..1]

Definition: Date upon which the court provided approval.

CourtApprovalDate <CrtApprvlDt> contains one of the following elements (see <u>DateFormat30Choice on page 929</u> for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		929
Or}	DateCode <DtCd>	[1..1]			929
{Or	Code <Cd>	[1..1]	CodeSet		929
Or}	Proprietary <Prtry>	[1..1]	±		930

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 <u>DateFormat43Choice on page 936</u> for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		936
Or}	DateCode <DtCd>	[1..1]			936
{Or	Code <Cd>	[1..1]	CodeSet		936
Or}	Proprietary <Prtry>	[1..1]	±		937

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 <u>DateFormat30Choice on page 929</u> for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		929
Or}	DateCode <DtCd>	[1..1]			929
{Or	Code <Cd>	[1..1]	CodeSet		929
Or}	Proprietary <Prtry>	[1..1]	±		930

3.4.10.1.6 EqualisationDate <EqulstnDt>

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 <EqulstnDt> contains one of the following elements (see <u>DateFormat30Choice on page 929</u> for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Date <*Dt*>	[1..1]	Date		929
Or}	DateCode <*DtCd*>	[1..1]			929
{Or	Code <*Cd*>	[1..1]	CodeSet		929
Or}	Proprietary <*Prtry*>	[1..1]	±		930

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 <u>DateFormat43Choice on page 936</u> for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Date <*Dt*>	[1..1]	±		936
Or}	DateCode <*DtCd*>	[1..1]			936
{Or	Code <*Cd*>	[1..1]	CodeSet		936
Or}	Proprietary <*Prtry*>	[1..1]	±		937

3.4.10.1.8 FixingDate <FxgDt>

Presence: [0..1]

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

FixingDate <FxgDt> contains one of the following elements (see <u>DateFormat43Choice on page 936</u> for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Date <*Dt*>	[1..1]	±		936
Or}	DateCode <*DtCd*>	[1..1]			936
{Or	Code <*Cd*>	[1..1]	CodeSet		936
Or}	Proprietary <*Prtry*>	[1..1]	±		937

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 <u>DateFormat30Choice on page 929</u> for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		929
Or}	DateCode <DtCd>	[1..1]			929
{Or	Code <Cd>	[1..1]	CodeSet		929
Or}	Proprietary <Prtry>	[1..1]	±		930

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 <u>DateFormat30Choice on page 929</u> for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		929
Or}	DateCode <DtCd>	[1..1]			929
{Or	Code <Cd>	[1..1]	CodeSet		929
Or}	Proprietary <Prtry>	[1..1]	±		930

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 <u>DateFormat43Choice on page 936</u> for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		936
Or}	DateCode <DtCd>	[1..1]			936
{Or	Code <Cd>	[1..1]	CodeSet		936
Or}	Proprietary <Prtry>	[1..1]	±		937

3.4.10.1.12 MarginFixingDate <MrgnFxgDt>

Presence: [0..1]

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

MarginFixingDate <MrgnFxgDt> contains one of the following elements (see DateFormat30Choice on page 929 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		929
Or}	DateCode <DtCd>	[1..1]			929
{Or	Code <Cd>	[1..1]	CodeSet		929
Or}	Proprietary <Prtry>	[1..1]	±		930

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 DateFormat30Choice on page 929 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		929
Or}	DateCode <DtCd>	[1..1]			929
{Or	Code <Cd>	[1..1]	CodeSet		929
Or}	Proprietary <Prtry>	[1..1]	±		930

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 DateFormat30Choice on page 929 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		929
Or}	DateCode <DtCd>	[1..1]			929
{Or	Code <Cd>	[1..1]	CodeSet		929
Or}	Proprietary <Prtry>	[1..1]	±		930

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 DateFormat43Choice on page 936 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		936
Or}	DateCode <DtCd>	[1..1]			936
{Or	Code <Cd>	[1..1]	CodeSet		936
Or}	Proprietary <Prtry>	[1..1]	±		937

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 DateFormat43Choice on page 936 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		936
Or}	DateCode <DtCd>	[1..1]			936
{Or	Code <Cd>	[1..1]	CodeSet		936
Or}	Proprietary <Prtry>	[1..1]	±		937

3.4.10.1.17 DeadlineToSplit <DdlnToSplt>

Presence: [0..1]

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

DeadlineToSplit <DdlnToSplt> contains one of the following elements (see DateFormat43Choice on page 936 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		936
Or}	DateCode <DtCd>	[1..1]			936
{Or	Code <Cd>	[1..1]	CodeSet		936
Or}	Proprietary <Prtry>	[1..1]	±		937

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 DateFormat43Choice on page 936 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		936
Or}	DateCode <DtCd>	[1..1]			936
{Or	Code <Cd>	[1..1]	CodeSet		936
Or}	Proprietary <Prtry>	[1..1]	±		937

3.4.10.1.19 TradingSuspendedDate <TradgSspdDt>

Presence: [0..1]

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

TradingSuspendedDate <TradgSspdDt> contains one of the following elements (see DateFormat43Choice on page 936 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		936
Or}	DateCode <DtCd>	[1..1]			936
{Or	Code <Cd>	[1..1]	CodeSet		936
Or}	Proprietary <Prtry>	[1..1]	±		937

3.4.10.1.20 UnconditionalDate <UcondlDt>

Presence: [0..1]

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

UnconditionalDate <UcondlDt> contains one of the following elements (see DateFormat30Choice on page 929 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		929
Or}	DateCode <DtCd>	[1..1]			929
{Or	Code <Cd>	[1..1]	CodeSet		929
Or}	Proprietary <Prtry>	[1..1]	±		930

3.4.10.1.21 WhollyUnconditionalDate <WhlyUcondlDt>

Presence: [0..1]

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

WhollyUnconditionalDate <WhlyUcondlDt> contains one of the following elements (see DateFormat30Choice on page 929 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Date *<Dt>*	[1..1]	Date		929
Or}	DateCode *<DtCd>*	[1..1]			929
{Or	Code *<Cd>*	[1..1]	CodeSet		929
Or}	Proprietary *<Prtry>*	[1..1]	±		930

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 DateFormat30Choice on page 929 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Date *<Dt>*	[1..1]	Date		929
Or}	DateCode *<DtCd>*	[1..1]			929
{Or	Code *<Cd>*	[1..1]	CodeSet		929
Or}	Proprietary *<Prtry>*	[1..1]	±		930

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 DateFormat43Choice on page 936 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Date *<Dt>*	[1..1]	±		936
Or}	DateCode *<DtCd>*	[1..1]			936
{Or	Code *<Cd>*	[1..1]	CodeSet		936
Or}	Proprietary *<Prtry>*	[1..1]	±		937

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 DateFormat30Choice on page 929 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		929
Or}	DateCode <DtCd>	[1..1]			929
{Or	Code <Cd>	[1..1]	CodeSet		929
Or}	Proprietary <Prtry>	[1..1]	±		930

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 DateFormat30Choice on page 929 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		929
Or}	DateCode <DtCd>	[1..1]			929
{Or	Code <Cd>	[1..1]	CodeSet		929
Or}	Proprietary <Prtry>	[1..1]	±		930

3.4.10.1.26 ElectionToCounterpartyMarketDeadline <ElctnToCtrPtyMktDdln>

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 <ElctnToCtrPtyMktDdln> contains one of the following elements (see DateFormat43Choice on page 936 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		936
Or}	DateCode <DtCd>	[1..1]			936
{Or	Code <Cd>	[1..1]	CodeSet		936
Or}	Proprietary <Prtry>	[1..1]	±		937

3.4.10.1.27 ElectionToCounterpartyResponseDeadline <ElctnToCtrPtyRspnDdln>

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 DateFormat43Choice on page 936 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		936
Or}	DateCode <DtCd>	[1..1]			936
{Or	Code <Cd>	[1..1]	CodeSet		936
Or}	Proprietary <Prtry>	[1..1]	±		937

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 DateFormat30Choice on page 929 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		929
Or}	DateCode <DtCd>	[1..1]			929
{Or	Code <Cd>	[1..1]	CodeSet		929
Or}	Proprietary <Prtry>	[1..1]	±		930

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 DateFormat30Choice on page 929 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		929
Or}	DateCode <DtCd>	[1..1]			929
{Or	Code <Cd>	[1..1]	CodeSet		929
Or}	Proprietary <Prtry>	[1..1]	±		930

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 <u>DateFormat43Choice on page 936</u> for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Date <*Dt*>	[1..1]	±		936
Or}	DateCode <*DtCd*>	[1..1]			936
{Or	Code <*Cd*>	[1..1]	CodeSet		936
Or}	Proprietary <*Prtry*>	[1..1]	±		937

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 <u>DateFormat43Choice on page 936</u> for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Date <*Dt*>	[1..1]	±		936
Or}	DateCode <*DtCd*>	[1..1]			936
{Or	Code <*Cd*>	[1..1]	CodeSet		936
Or}	Proprietary <*Prtry*>	[1..1]	±		937

3.4.10.1.32 MarketClaimTrackingEndDate <MktClmTrckgEndDt>

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 <MktClmTrckgEndDt> contains one of the following elements (see <u>DateFormat30Choice on page 929</u> for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Date <*Dt*>	[1..1]	Date		929
Or}	DateCode <*DtCd*>	[1..1]			929
{Or	Code <*Cd*>	[1..1]	CodeSet		929
Or}	Proprietary <*Prtry*>	[1..1]	±		930

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
DateFormat43Choice on page 936 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		936
Or}	DateCode <DtCd>	[1..1]			936
{Or	Code <Cd>	[1..1]	CodeSet		936
Or}	Proprietary <Prtry>	[1..1]	±		937

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 DateFormat30Choice on page 929 for
details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		929
Or}	DateCode <DtCd>	[1..1]			929
{Or	Code <Cd>	[1..1]	CodeSet		929
Or}	Proprietary <Prtry>	[1..1]	±		930

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 DateFormat30Choice on page 929
for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		929
Or}	DateCode <DtCd>	[1..1]			929
{Or	Code <Cd>	[1..1]	CodeSet		929
Or}	Proprietary <Prtry>	[1..1]	±		930

3.4.10.2 PeriodDetails <PrdDtls>

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 <u>CorporateActionPeriod15 on page 923</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	PriceCalculationPeriod *<PricClctnPrd>*	[0..1]	±		924
	InterestPeriod *<IntrstPrd>*	[0..1]	±		925
	CompulsoryPurchasePeriod *<CmplsryPurchsPrd>*	[0..1]	±		925
	ClaimPeriod *<ClmPrd>*	[0..1]	±		925
	DepositorySuspensionPeriodForBookEntryTransfer *<DpstrySspnsnPrdForBookNtryTrf>*	[0..1]	±		925
	DepositorySuspensionPeriodForDepositAtAgent *<DpstrySspnsnPrdForDpstAtAgt>*	[0..1]	±		926
	DepositorySuspensionPeriodForDeposit *<DpstrySspnsnPrdForDpst>*	[0..1]	±		926
	DepositorySuspensionPeriodForPledge *<DpstrySspnsnPrdForPldg>*	[0..1]	±		926
	DepositorySuspensionPeriodForSegregation *<DpstrySspnsnPrdForSgrtn>*	[0..1]	±		927
	DepositorySuspensionPeriodForWithdrawalAtAgent *<DpstrySspnsnPrdForWdrwlAtAgt>*	[0..1]	±		927
	DepositorySuspensionPeriodForWithdrawalInNomineeName *<DpstrySspnsnPrdForWdrwlInNmneeNm>*	[0..1]	±		927
	DepositorySuspensionPeriodForWithdrawalInStreetName *<DpstrySspnsnPrdForWdrwlInStrtNm>*	[0..1]	±		927
	BookClosurePeriod *<BookClsrPrd>*	[0..1]	±		928
	CoDepositoriesSuspensionPeriod *<CoDpstriesSspnsnPrd>*	[0..1]	±		928
	SplitPeriod *<SpltPrd>*	[0..1]	±		928

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: <u>C19 DeclaredRateRule</u>

RateAndAmountDetails <RateAndAmtDtls> contains the following elements (see
<u>CorporateActionRate105 on page 1197</u> for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	InterestRate <*IntrstRate*>	[0..1]	±		1198
	PercentageSought <*PctgSght*>	[0..1]	±		1198
	RelatedIndex <*RltdIndx*>	[0..1]	±		1199
	Spread <*Sprd*>	[0..1]	±		1199
	BidInterval <*BidIntrvl*>	[0..1]	±		1199
	PreviousFactor <*PrvsFctr*>	[0..1]	±		1200
	NextFactor <*NxtFctr*>	[0..1]	±		1200
	ReinvestmentDiscountRateToMarket <*RinvstmtDscntRateToMkt*>	[0..1]	±		1200
	InterestShortfall <*IntrstShrtfll*>	[0..1]	±		1200
	RealisedLoss <*RealsdLoss*>	[0..1]	±		1201
	DeclaredRate <*DclrdRate*>	[0..1]	±		1201
	IndexFactor <*IndxFctr*>	[0..1]	±		1201

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.

3.4.10.4 PriceDetails <PricDtls>

Presence: [0..1]

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

PriceDetails <PricDtls> contains the following **CorporateActionPrice72** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	MaximumPrice <*MaxPric*>	[0..1]	±		126
	MinimumPrice <*MinPric*>	[0..1]	±		127
	FirstBidIncrementPrice <*FrstBidIncrmtPric*>	[0..1]	±		127
	LastBidIncrementPrice <*LastBidIncrmtPric*>	[0..1]	±		128

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 PriceFormat44Choice on page 1184 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice *<PctgPric>*	[1..1]			1184
	PercentagePriceType *<PctgPricTp>*	[1..1]	CodeSet		1184
	PriceValue *<PricVal>*	[1..1]	Rate		1185
Or	AmountPrice *<AmtPric>*	[1..1]	±		1185
Or	NotSpecifiedPrice *<NotSpcfdPric>*	[1..1]	CodeSet		1185
Or}	IndexPoints *<IndxPts>*	[1..1]	Quantity		1185

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 PriceFormat44Choice on page 1184 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice *<PctgPric>*	[1..1]			1184
	PercentagePriceType *<PctgPricTp>*	[1..1]	CodeSet		1184
	PriceValue *<PricVal>*	[1..1]	Rate		1185
Or	AmountPrice *<AmtPric>*	[1..1]	±		1185
Or	NotSpecifiedPrice *<NotSpcfdPric>*	[1..1]	CodeSet		1185
Or}	IndexPoints *<IndxPts>*	[1..1]	Quantity		1185

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 PriceFormat44Choice on page 1184 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1184
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1184
	PriceValue <PricVal>	[1..1]	Rate		1185
Or	AmountPrice <AmtPric>	[1..1]	±		1185
Or	NotSpecifiedPrice <NotSpcfdPric>	[1..1]	CodeSet		1185
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		1185

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 PriceFormat44Choice on page 1184 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1184
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1184
	PriceValue <PricVal>	[1..1]	Rate		1185
Or	AmountPrice <AmtPric>	[1..1]	±		1185
Or	NotSpecifiedPrice <NotSpcfdPric>	[1..1]	CodeSet		1185
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		1185

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 **CorporateActionQuantity11** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MaximumQuantity <MaxQty>	[0..1]	±	C25	129
	MinimumQuantitySought <MinQtySght>	[0..1]	±	C25	130
	NewBoardLotQuantity <NewBrdLotQty>	[0..1]	±	C26	130
	NewDenominationQuantity <NewDnmtnQty>	[0..1]	±	C26	131
	BaseDenomination <BaseDnmtn>	[0..1]	±	C26	131
	IncrementalDenomination <IncrmtlDnmtn>	[0..1]	±	C26	132

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 FinancialInstrumentQuantity34Choice on page 1196 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1196
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1196
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1196
Or	Code <Cd>	[1..1]	CodeSet		1196
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1197

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 FinancialInstrumentQuantity34Choice on page 1196 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Unit *<Unit>*	[1..1]	Quantity		1196
Or	FaceAmount *<FaceAmt>*	[1..1]	Amount		1196
Or	AmortisedValue *<AmtsdVal>*	[1..1]	Amount		1196
Or	Code *<Cd>*	[1..1]	CodeSet		1196
Or}	DigitalTokenUnit *<DgtlTknUnit>*	[1..1]	Quantity		1197

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 FinancialInstrumentQuantity35Choice on page 1195 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Unit *<Unit>*	[1..1]	Quantity		1195
Or	FaceAmount *<FaceAmt>*	[1..1]	Amount		1195
Or	AmortisedValue *<AmtsdVal>*	[1..1]	Amount		1195
Or	Code *<Cd>*	[1..1]	CodeSet		1195
Or}	DigitalTokenUnit *<DgtlTknUnit>*	[1..1]	Quantity		1196

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 FinancialInstrumentQuantity35Choice on page 1195 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Unit *<Unit>*	[1..1]	Quantity		1195
Or	FaceAmount *<FaceAmt>*	[1..1]	Amount		1195
Or	AmortisedValue *<AmtsdVal>*	[1..1]	Amount		1195
Or	Code *<Cd>*	[1..1]	CodeSet		1195
Or}	DigitalTokenUnit *<DgtlTknUnit>*	[1..1]	Quantity		1196

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 FinancialInstrumentQuantity35Choice on page 1195 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Unit *<Unit>*	[1..1]	Quantity		1195
Or	FaceAmount *<FaceAmt>*	[1..1]	Amount		1195
Or	AmortisedValue *<AmtsdVal>*	[1..1]	Amount		1195
Or	Code *<Cd>*	[1..1]	CodeSet		1195
Or}	DigitalTokenUnit *<DgtlTknUnit>*	[1..1]	Quantity		1196

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 FinancialInstrumentQuantity35Choice on page 1195 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Unit *<Unit>*	[1..1]	Quantity		1195
Or	FaceAmount *<FaceAmt>*	[1..1]	Amount		1195
Or	AmortisedValue *<AmtsdVal>*	[1..1]	Amount		1195
Or	Code *<Cd>*	[1..1]	CodeSet		1195
Or}	DigitalTokenUnit *<DgtlTknUnit>*	[1..1]	Quantity		1196

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 1355

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 IdentificationFormat3Choice on page 963 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	ShortIdentification *<ShrtId>*	[1..1]	Text		963
Or	LongIdentification *<LngId>*	[1..1]	Text		963
Or}	ProprietaryIdentification *<PrtryId>*	[1..1]	±		963

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 1355):

- *Meaning When True:* Yes

- *Meaning When False:* No

3.4.10.9 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 1355):

- *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 1355):

- *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 1355):

- *Meaning When True:* Yes

- *Meaning When False:* No

3.4.10.12 LetterOfGuaranteedDeliveryIndicator <LttrOfGrntedDlvryInd>

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 1355):

- *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 1355):

- *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 DividendTypeFormat9Choice on page 1116 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Code <*Cd*>	[1..1]	CodeSet		1116
Or}	Proprietary <*Prtry*>	[1..1]	±		1117

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 EventSequenceTypeFormat1Choice on page 1066 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Code <*Cd*>	[1..1]	CodeSet		1067
Or}	Proprietary <*Prtry*>	[1..1]	±		1067

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 DistributionTypeFormat7Choice on page 1115 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1115
Or}	Proprietary *<Prtry>*	[1..1]	±		1116

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 OfferTypeFormat12Choice on page 975 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		975
Or}	Proprietary *<Prtry>*	[1..1]	±		976

3.4.10.18 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 RenounceableEntitlementStatusTypeFormat3Choice on page 1118 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1118
Or}	Proprietary *<Prtry>*	[1..1]	±		1118

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 CorporateActionEventStageFormat13Choice on page 1114 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1114
Or}	Proprietary *<Prtry>*	[1..1]	±		1115

3.4.10.20 AdditionalBusinessProcessIndicator <AddtlBizPrcInd>

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 <AddtlBizPrcInd> contains one of the following elements (see AdditionalBusinessProcessFormat17Choice on page 974 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		974
Or}	Proprietary *<Prtry>*	[1..1]	±		975

3.4.10.21 ChangeType <ChngTp>

Presence: [0..*]

Definition: Specifies the type of change announced.

ChangeType <ChngTp> contains one of the following elements (see CorporateActionChangeTypeFormat5Choice on page 1113 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1113
Or}	Proprietary *<Prtry>*	[1..1]	±		1114

3.4.10.22 IntermediateSecuritiesDistributionType <IntrmdtSctiesDstrbtnTp>

Presence: [0..1]

Definition: Type of intermediates securities distribution.

IntermediateSecuritiesDistributionType <IntrmdtSctiesDstrbtnTp> contains one of the following elements (see IntermediateSecuritiesDistributionTypeFormat15Choice on page 1111 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1111
Or}	Proprietary *<Prtry>*	[1..1]	±		1112

3.4.10.23 CapitalGainInOutIndicator <CptlGnInOutInd>

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 <CptlGnInOutInd> contains one of the following elements (see CapitalGainFormat3Choice on page 1110 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1111
Or}	Proprietary *<Prtry>*	[1..1]	±		1111

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 TaxableIncomePerShareCalculatedFormat3Choice on page 1110 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1110
Or}	Proprietary *<Prtry>*	[1..1]	±		1110

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 ElectionTypeFormat3Choice on page 1109 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1109
Or}	Proprietary *<Prtry>*	[1..1]	±		1109

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 LotteryTypeFormat4Choice on page 1108 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1108
Or}	Proprietary *<Prtry>*	[1..1]	±		1108

3.4.10.27 CertificationType <CertfctnTp>

Presence: [0..1]

Definition: Specifies the certification format required, this is, physical or electronic format.

CertificationType <Certfctn Tp> contains one of the following elements (see CertificationTypeFormat3Choice on page 1107 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1107
Or}	Proprietary <Prtry>	[1..1]	±		1108

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 ConsentTypeFormat4Choice on page 1107 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1107
Or}	Proprietary <Prtry>	[1..1]	±		1107

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 InformationTypeFormat4Choice on page 1106 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1106
Or}	Proprietary <Prtry>	[1..1]	±		1106

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 GenericIdentification30 on page 965 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		965
	Issuer <Issr>	[1..1]	Text		965
	SchemeName <SchmeNm>	[0..1]	Text		965

3.4.10.31 NewPlaceOfIncorporation <NewPlcOfIncorprtn>

Presence: [0..1]

Definition: New company's place of incorporation.

Datatype: Max350Text on page 1359

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 **CorporateActionNarrative50** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Offeror *<Offerr>*	[0..*]	±		139
	NewCompanyName *<NewCpnyNm>*	[0..1]	±		139
	URLAddress *<URLAdr>*	[0..*]	±		140
	EventProcessingWebSiteAddress *<EvtPrcgWebSiteAdr>*	[0..1]	Text		140

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 UpdatedAdditionalInformation3 on page 1126 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	UpdateDescription *<UpdDesc>*	[0..1]	Text		1126
	UpdateDate *<UpdDt>*	[0..1]	Date		1126
	AdditionalInformation *<AddtlInf>*	[1..1]	Text		1126

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 UpdatedAdditionalInformation3 on page 1126 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	UpdateDescription <*UpdDesc*>	[0..1]	Text		1126
	UpdateDate <*UpdDt*>	[0..1]	Date		1126
	AdditionalInformation <*AddtlInf*>	[1..1]	Text		1126

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 UpdatedURLInformation4 on page 983 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Language <*Lang*>	[1..1]	CodeSet		984
	UpdateDescription <*UpdDesc*>	[0..1]	Text		984
	UpdateDate <*UpdDt*>	[0..1]	Date		984
	URLAddress <*URLAdr*>	[1..1]	Text		984

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: Max2048Text on page 1358

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
CorporateActionOption210 elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	OptionNumber *<OptnNb>*	[1..1]	Text		153
	OptionType *<OptnTp>*	[1..1]	±		153
	FractionDisposition *<FrctnDspstn>*	[0..1]	±		153
	OfferType *<OfferTp>*	[0..*]	±		153
	OptionFeatures *<OptnFeatrs>*	[0..*]	±		153
	OptionAvailabilityStatus *<OptnAvlbtySts>*	[0..1]	±		154
	CertificationBreakdownType *<CertfctnBrkdwnTp>*	[0..*]	±		154
	BidRangeType *<BidRgTp>*	[0..1]	±		154
	NonDomicileCountry *<NonDmclCtry>*	[0..*]	CodeSet	C16	154
	ValidDomicileCountry *<VldDmclCtry>*	[0..*]	CodeSet	C16	155
	CurrencyOption *<CcyOptn>*	[0..1]	CodeSet	C1	155
	DefaultProcessingOrStandingInstruction *<DfltPrcgOrStgInstr>*	[1..1]	±		156
	ChargesAppliedIndicator *<ChrgsApldInd>*	[0..1]	Indicator		156
	CertificationBreakdownIndicator *<CertfctnBrkdwnInd>*	[0..1]	Indicator		156
	WithdrawalAllowedIndicator *<WdrwlAllwdInd>*	[0..1]	Indicator		157
	ChangeAllowedIndicator *<ChngAllwdInd>*	[0..1]	Indicator		157
	AppliedOptionIndicator *<ApldOptnInd>*	[0..1]	Indicator		157
	FinancialInstrumentIdentification *<FinInstrmId>*	[0..1]	±	C22, C23, C66, C67, C95	157
	DateDetails *<DtDtls>*	[0..1]			159
	EarlyResponseDeadline *<EarlyRspnDdln>*	[0..1]	±		159
	CoverExpirationDeadline *<CoverXprtnDdln>*	[0..1]	±		160
	ProtectDeadline *<PrtctDdln>*	[0..1]	±		160
	MarketDeadline *<MktDdln>*	[0..1]	±		160
	ResponseDeadline *<RspnDdln>*	[0..1]	±		161
	ExpiryDate *<XpryDt>*	[0..1]	±		161
	SubscriptionCostDebitDate *<SbcptCostDbtDt>*	[0..1]	±		162
	DepositoryCoverExpirationDate *<DpstryCoverXprtnDt>*	[0..1]	±		162

Or	MessageElement *<XML Tag>*	Mult.	Type	Constr. No.	Page
	StockLendingDeadline *<StockLndgDdln>*	[0..1]	±		162
	BorrowerStockLendingDeadline *<BrrwrStockLndgDdln>*	[0..*]			163
	StockLendingDeadline *<StockLndgDdln>*	[1..1]	±		163
	Borrower *<Brrwr>*	[1..1]	±		163
	EndOfSecuritiesBlockingPeriod *<EndOfSctiesBlckgPrd>*	[0..1]	±		163
	PeriodDetails *<PrdDtls>*	[0..1]			164
	PriceCalculationPeriod *<PricClctnPrd>*	[0..1]	±		164
	ParallelTradingPeriod *<ParllTradgPrd>*	[0..1]	±		164
	ActionPeriod *<ActnPrd>*	[0..1]	±		165
	RevocabilityPeriod *<RvcbltyPrd>*	[0..1]	±		165
	PrivilegeSuspensionPeriod *<PrvlgSspnsnPrd>*	[0..1]	±		165
	AccountServicerRevocabilityPeriod *<AcctSvcrRvcbltyPrd>*	[0..1]	±		165
	DepositorySuspensionPeriodForWithdrawal *<DpstrySspnsnPrdForWdrwl>*	[0..1]	±		166
	RateAndAmountDetails *<RateAndAmtDtls>*	[0..1]		C48, C50, C83, C85, C108, C110, C112, C117, C119	166
	AdditionalTax *<Addtltax>*	[0..1]	±		169
	GrossDividendRate *<GrssDvddRate>*	[0..*]	±		169
	NetDividendRate *<NetDvddRate>*	[0..*]	±		170
	InterestRateUsedForPayment *<IntrstRateUsdForPmt>*	[0..*]	±		171
	MaximumAllowedOversubscriptionRate *<MaxAllwdOvrsbcptRate>*	[0..1]	±		172
	ProrationRate *<PrratnRate>*	[0..1]	±		172
	WithholdingTaxRate *<WhldgTaxRate>*	[0..*]	±		173
	SecondLevelTax *<ScndLvlTax>*	[0..*]	±		173
	TaxableIncomePerDividendShare *<TaxblIncmPerDvddShr>*	[0..*]	±		173
	IssuerDeclaredExchangeRate *<IssrDclrdXchgRate>*	[0..1]	±		174
	TaxOnIncome *<TaxOnIncm>*	[0..1]	±		174

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	BidInterval *<BidIntrvl>*	[0..1]	±		174
	PriceDetails *<PricDtls>*	[0..1]			175
	CashInLieuOfSharePrice *<CshInLieuOfShrPric>*	[0..1]	±		175
	OverSubscriptionDepositPrice *<OverSbcptDpstPric>*	[0..1]	±		176
	MaximumCashToInstruct *<MaxCshToInst>*	[0..1]	±		176
	MinimumCashToInstruct *<MinCshToInst>*	[0..1]	±		176
	MinimumMultipleCashToInstruct *<MinMltplCshToInst>*	[0..1]	±		177
	MaximumPrice *<MaxPric>*	[0..1]	±		177
	MinimumPrice *<MinPric>*	[0..1]	±		177
	FirstBidIncrementPrice *<FrstBidIncrmtPric>*	[0..1]	±		178
	LastBidIncrementPrice *<LastBidIncrmtPric>*	[0..1]	±		178
	SecuritiesQuantity *<SctiesQty>*	[0..1]			179
	MaximumQuantityToInstruct *<MaxQtyToInst>*	[0..1]	±	C25	179
	MinimumQuantityToInstruct *<MinQtyToInst>*	[0..1]	±	C25	180
	MinimumMultipleQuantityToInstruct *<MinMltplQtyToInst>*	[0..1]	±	C26	180
	NewBoardLotQuantity *<NewBrdLotQty>*	[0..1]	±	C26	181
	NewDenominationQuantity *<NewDnmtnQty>*	[0..1]	±	C26	181
	FrontEndOddLotQuantity *<FrntEndOddLotQty>*	[0..1]	±	C26	182
	BackEndOddLotQuantity *<BckEndOddLotQty>*	[0..1]	±	C26	182
	SecuritiesMovementDetails *<SctiesMvmntDtls>*	[0..*]		C39, C55, C57, C69	183
	SecurityDetails *<SctyDtls>*	[1..1]		C76, C98	187
	FinancialInstrumentIdentification *<FinInstrmId>*	[1..1]	±	C22, C23, C66, C67, C95	189
	PlaceOfListing *<PlcOfListg>*	[0..1]	±		190
	DayCountBasis *<DayCntBsis>*	[0..1]	±		190
	ClassificationType *<ClssfctnTp>*	[0..1]	±		191
	OptionStyle *<OptnStyle>*	[0..1]	±		191
	DenominationCurrency *<DnmtnCcy>*	[0..1]	CodeSet	C2	191

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	NextCouponDate <*NxtCpnDt*>	[0..1]	Date		192
	FloatingRateFixingDate <*FltgRateFxgDt*>	[0..1]	Date		192
	MaturityDate <*MtrtyDt*>	[0..1]	Date		192
	IssueDate <*IsseDt*>	[0..1]	Date		192
	NextCallableDate <*NxtCllblDt*>	[0..1]	Date		192
	PutableDate <*PutblDt*>	[0..1]	Date		192
	DatedDate <*DtdDt*>	[0..1]	Date		192
	ConversionDate <*ConvsDt*>	[0..1]	Date		193
	PreviousFactor <*PrvsFctr*>	[0..1]	±		193
	NextFactor <*NxtFctr*>	[0..1]	±		193
	InterestRate <*IntrstRate*>	[0..1]	±		193
	NextInterestRate <*NxtIntrstRate*>	[0..1]	±		193
	MinimumNominalQuantity <*MinNmnlQty*>	[0..1]	±	C24	194
	MinimumQuantityToInstruct <*MinQtyToInst*>	[0..1]	±	C24	194
	MinimumMultipleQuantityToInstruct <*MinMltplQtyToInst*>	[0..1]	±	C24	195
	ContractSize <*CtrctSz*>	[0..1]	±	C24	195
	IssuePrice <*IssePric*>	[0..1]	±		196
	CreditDebitIndicator <*CdtDbtInd*>	[1..1]	CodeSet		196
	TemporaryFinancialInstrumentIndicator <*TempFinInstrmInd*>	[0..1]	±		196
	NonEligibleProceedsIndicator <*NonElgblPrcdsInd*>	[0..1]	±		196
	IssuerOfferorTaxabilityIndicator <*IssrOfferrTaxbltyInd*>	[0..1]	±		197
	NewSecuritiesIssuanceIndicator <*NewSctiesIssncInd*>	[0..1]	CodeSet		197
	IncomeType <*IncmTp*>	[0..1]	±		198
	OtherIncomeType <*OthrIncmTp*>	[0..*]	±		198
	ExemptionType <*XmptnTp*>	[0..*]	±		198
	EntitledQuantity <*EntitldQty*>	[0..1]	±		199
	SafekeepingPlace <*SfkpgPlc*>	[0..1]	±		199
	CountryOfIncomeSource <*CtryOfIncmSrc*>	[0..1]	CodeSet	C16	199
	FractionDisposition <*FrctnDspstn*>	[0..1]	±		200
	CurrencyOption <*CcyOptn*>	[0..1]	CodeSet	C1	200

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	TradingPeriod *<TradgPrd>*	[0..1]	±		200
	DateDetails *<DtDtls>*	[1..1]			201
	PaymentDate *<PmtDt>*	[1..1]	±		201
	AvailableDate *<AvlblDt>*	[0..1]	±		201
	DividendRankingDate *<DvddRnkgDt>*	[0..1]	±		202
	EarliestPaymentDate *<EarlstPmtDt>*	[0..1]	±		202
	PariPassuDate *<PrpssDt>*	[0..1]	±		202
	LastTradingDate *<LastTradgDt>*	[0..1]	±		203
	RateDetails *<RateDtls>*	[0..1]			203
	AdditionalQuantityForSubscribedResultantSecurities *<AddtlQtyForSbcbdRsltntScties>*	[0..1]	±		204
	AdditionalQuantityForExistingSecurities *<AddtlQtyForExstgScties>*	[0..1]	±		204
	NewToOld *<NewToOd>*	[0..1]	±		205
	TransformationRate *<TrfrmatnRate>*	[0..1]	Rate		205
	ChargesFees *<ChrgsFees>*	[0..1]	±		205
	FiscalStamp *<FsclStmp>*	[0..1]	±		206
	ApplicableRate *<AplblRate>*	[0..1]	±		206
	TaxCreditRate *<TaxCdtRate>*	[0..1]	±		206
	FinancialTransactionTaxRate *<FinTxTaxRate>*	[0..1]	±		207
	WithholdingTaxRate *<WhldgTaxRate>*	[0..*]	±		207
	SecondLevelTax *<ScndLvlTax>*	[0..*]	±		207
	PriceDetails *<PricDtls>*	[0..1]		C45	208
	IndicativeOrMarketPrice *<IndctvOrMktPric>*	[0..1]			208
{Or	**IndicativePrice** *<IndctvPric>*	[1..1]	±		209
Or}	**MarketPrice** *<MktPric>*	[1..1]	±		209
	CashInLieuOfSharePrice *<CshInLieuOfShrPric>*	[0..1]	±		209
	CashValueForTax *<CshValForTax>*	[0..1]	±		210
	GenericCashPricePaidPerProduct *<GncCshPricPdPerPdct>*	[0..1]	±		210
	GenericCashPriceReceivedPerProduct *<GncCshPricRcvdPerPdct>*	[0..1]	±		210
	AmountDetails *<AmtDtls>*	[0..1]			211

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	WithholdingTaxAmount <WhldgTaxAmt>	[0..1]	Amount	C1, C17	211
	SecondLevelTaxAmount <ScndLvlTaxAmt>	[0..1]	Amount	C1, C17	212
	CashMovementDetails <CshMvmntDtls>	[0..*]		C40, C56, C58, C70, C46	213
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		218
	ContractualPaymentIndicator <CtrctlPmtInd>	[0..1]	CodeSet		218
	NonEligibleProceedsIndicator <NonElgblPrcdsInd>	[0..1]	±		219
	IssuerOfferorTaxabilityIndicator <IssrOfferrTaxbltyInd>	[0..1]	±		219
	IncomeType <IncmTp>	[0..1]	±		219
	OtherIncomeType <OthrIncmTp>	[0..*]	±		219
	ExemptionType <XmptnTp>	[0..*]	±		220
	CountryOfIncomeSource <CtryOfIncmSrc>	[0..1]	CodeSet	C16	220
	CashAccountIdentification <CshAcctId>	[0..1]	±		220
	AmountDetails <AmtDtls>	[0..1]			221
	GrossCashAmount <GrssCshAmt>	[0..1]	Amount	C1, C17	224
	NetCashAmount <NetCshAmt>	[0..1]	Amount	C1, C17	224
	SolicitationFees <SlctnFees>	[0..1]	Amount	C1, C17	225
	CashInLieuOfShare <CshInLieuOfShr>	[0..1]	Amount	C1, C17	226
	CapitalGain <CptlGn>	[0..1]	Amount	C1, C17	227
	InterestAmount <IntrstAmt>	[0..1]	Amount	C1, C17	227
	IndemnityAmount <IndmntyAmt>	[0..1]	Amount	C1, C17	228
	ManufacturedDividendPaymentAmount <ManfctrdDvddPmtAmt>	[0..1]	Amount	C1, C17	229
	ReinvestmentAmount <RinvstmtAmt>	[0..1]	Amount	C1, C17	230
	FullyFrankedAmount <FullyFrnkdAmt>	[0..1]	Amount	C1, C17	230
	UnfrankedAmount <UfrnkdAmt>	[0..1]	Amount	C1, C17	231

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	SundryOrOtherAmount *<SndryOrOthrAmt>*	[0..1]	Amount	C1, C17	232
	TaxFreeAmount *<TaxFreeAmt>*	[0..1]	Amount	C1, C17	232
	TaxDeferredAmount *<TaxDfrrdAmt>*	[0..1]	Amount	C1, C17	233
	ValueAddedTaxAmount *<ValAddedTaxAmt>*	[0..1]	Amount	C1, C17	234
	StampDutyAmount *<StmpDtyAmt>*	[0..1]	Amount	C1, C17	235
	TaxReclaimAmount *<TaxRclmAmt>*	[0..1]	Amount	C1, C17	235
	TaxCreditAmount *<TaxCdtAmt>*	[0..1]	Amount	C1, C17	236
	AdditionalTaxAmount *<AddtlTaxAmt>*	[0..1]	Amount	C1, C17	237
	WithholdingTaxAmount *<WhldgTaxAmt>*	[0..1]	Amount	C1, C17	237
	SecondLevelTaxAmount *<ScndLvlTaxAmt>*	[0..1]	Amount	C1, C17	238
	FiscalStampAmount *<FsclStmpAmt>*	[0..1]	Amount	C1, C17	239
	ExecutingBrokerAmount *<ExctgBrkrAmt>*	[0..1]	Amount	C1, C17	240
	PayingAgentCommissionAmount *<PngAgtComssnAmt>*	[0..1]	Amount	C1, C17	240
	LocalBrokerCommissionAmount *<LclBrkrComssnAmt>*	[0..1]	Amount	C1, C17	241
	RegulatoryFeesAmount *<RgltryFeesAmt>*	[0..1]	Amount	C1, C17	242
	ShippingFeesAmount *<ShppgFeesAmt>*	[0..1]	Amount	C1, C17	242
	ChargesAmount *<ChrgsAmt>*	[0..1]	Amount	C1, C17	243
	EntitledAmount *<EntitldAmt>*	[0..1]	Amount	C1, C17	244
	OriginalAmount *<OrgnlAmt>*	[0..1]	Amount	C1, C17	245
	PrincipalOrCorpus *<PrncplOrCrps>*	[0..1]	Amount	C1, C17	245
	RedemptionPremiumAmount *<RedPrmAmt>*	[0..1]	Amount	C1, C17	246
	IncomePortion *<IncmPrtn>*	[0..1]	Amount	C1, C17	247

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	StockExchangeTax <StockXchgTax>	[0..1]	Amount	C1, C17	247
	EUTaxRetentionAmount <EUTaxRtntnAmt>	[0..1]	Amount	C1, C17	248
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C1, C17	249
	EqualisationAmount <EqulstnAmt>	[0..1]	Amount	C1, C17	250
	FATCATaxAmount <FATCATaxAmt>	[0..1]	Amount	C1, C17	250
	NRATaxAmount <NRATaxAmt>	[0..1]	Amount	C1, C17	251
	BackUpWithholdingTaxAmount <BckUpWhldgTaxAmt>	[0..1]	Amount	C1, C17	252
	TaxOnIncomeAmount <TaxOnIncmAmt>	[0..1]	Amount	C1, C17	252
	TransactionTax <TxTax>	[0..1]	Amount	C1, C17	253
	DeemedAmount <DmdAmt>	[0..1]	Amount	C1, C17	254
	ForeignIncomeAmount <FrgnIncmAmt>	[0..1]	Amount	C1, C17	255
	DeemedDividendAmount <DmdDvddAmt>	[0..1]	Amount	C1, C17	255
	DeemedFundAmount <DmdFndAmt>	[0..1]	Amount	C1, C17	256
	DeemedInterestAmount <DmdIntrstAmt>	[0..1]	Amount	C1, C17	257
	DeemedRoyaltiesAmount <DmdRyltsAmt>	[0..1]	Amount	C1, C17	257
	DateDetails <DtDtls>	[1..1]			258
	PaymentDate <PmtDt>	[1..1]	±		258
	ValueDate <ValDt>	[0..1]	±		259
	ForeignExchangeRateFixingDate <FXRateFxgDt>	[0..1]	±		259
	EarliestPaymentDate <EarlstPmtDt>	[0..1]	±		259
	ForeignExchangeDetails <FXDtls>	[0..1]	±		260
	RateAndAmountDetails <RateAndAmtDtls>	[0..1]		C20, C21, C49, C51, C84, C86, C109, C111, C113	260

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
				, C118, C120	
	AdditionalTax <*AddtlTax*>	[0..1]	±		264
	GrossDividendRate <*GrssDvddRate*>	[0..*]	±		264
	InterestRateUsedForPayment <*IntrstRateUsdForPmt*>	[0..*]	±		265
	WithholdingTaxRate <*WhldgTaxRate*>	[0..*]	±		266
	SecondLevelTax <*ScndLvlTax*>	[0..*]	±		266
	ChargesFees <*ChrgsFees*>	[0..1]	±		267
	EarlySolicitationFeeRate <*EarlySlctnFeeRate*>	[0..1]	±		267
	FiscalStamp <*FsclStmp*>	[0..1]	±		268
	ThirdPartyIncentiveRate <*ThrdPtyIncntivRate*>	[0..1]	±		268
	NetDividendRate <*NetDvddRate*>	[0..*]	±		268
	ApplicableRate <*AplblRate*>	[0..1]	±		269
	SolicitationFeeRate <*SlctnFeeRate*>	[0..1]	±		269
	TaxCreditRate <*TaxCdtRate*>	[0..1]	±		270
	TaxOnIncome <*TaxOnIncm*>	[0..1]	±		270
	TaxOnProfits <*TaxOnPrfts*>	[0..1]	±		270
	TaxReclaimRate <*TaxRclmRate*>	[0..1]	±		271
	EqualisationRate <*EqulstnRate*>	[0..1]	±		271
	DeemedRate <*DmdRate*>	[0..*]	±		271
	PriceDetails <*PricDtls*>	[0..1]		C47	272
	GenericCashPricePaidPerProduct <*GncCshPricPdPerPdct*>	[0..1]	±		273
	GenericCashPriceReceivedPerProduct <*GncCshPricRcvdPerPdct*>	[0..1]	±		273
	CashInLieuOfSharePrice <*CshInLieuOfShrPric*>	[0..1]	±		274
	AdditionalInformation <*AddtlInf*>	[0..1]		C4	274
	AdditionalText <*AddtlTxt*>	[0..*]	±		275
	NarrativeVersion <*NrrtvVrsn*>	[0..*]	±		275
	InformationConditions <*InfConds*>	[0..*]	±		276
	InformationToComplyWith <*InfToCmplyWth*>	[0..*]	±		276
	SecurityRestriction <*SctyRstrctn*>	[0..*]	±		276
	TaxationConditions <*TaxtnConds*>	[0..*]	±		277

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Disclaimer *<Dsclmr>*	[0..*]	±		277
	CertificationBreakdown *<Certfctn Brkdwn>*	[0..*]	±		277

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/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.

• **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: <u>Exact3NumericText on page 1356</u>

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 <u>CorporateActionOption37Choice on page 996</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		996
Or}	Proprietary *<Prtry>*	[1..1]	±		997

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 <u>FractionDispositionType26Choice on page 1105</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1105
Or}	Proprietary *<Prtry>*	[1..1]	±		1106

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 <u>OfferTypeFormat12Choice on page 975</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		975
Or}	Proprietary *<Prtry>*	[1..1]	±		976

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 OptionFeaturesFormat24Choice 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]	±		1066

3.4.11.6 OptionAvailabilityStatus <OptnAvlbtySts>

Presence: [0..1]

Definition: Specifies the status of the option.

OptionAvailabilityStatus <OptnAvlbtySts> contains one of the following elements (see OptionAvailabilityStatus3Choice on page 1104 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Code <*Cd*>	[1..1]	CodeSet		1104
Or}	Proprietary <*Prtry*>	[1..1]	±		1105

3.4.11.7 CertificationBreakdownType <CertfctnBrkdwnTp>

Presence: [0..*]

Definition: Type of certification/breakdown.

CertificationBreakdownType <CertfctnBrkdwnTp> contains one of the following elements (see BeneficiaryCertificationType9Choice on page 1103 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Code <*Cd*>	[1..1]	CodeSet		1103
Or}	Proprietary <*Prtry*>	[1..1]	±		1104

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 995 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Code <*Cd*>	[1..1]	CodeSet		995
Or}	Proprietary <*Prtry*>	[1..1]	±		995

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 1318

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 1318

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 1270

Constraints

- **ActiveCurrency**

  (Rule)

  The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet 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 <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 971 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	DefaultOptionIndicator *<DfltOptnInd>*	[1..1]	Indicator		971
Or}	StandingInstructionIndicator *<StgInstrInd>*	[1..1]	Indicator		972

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 1355):

- *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 1355):

- *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 <u>YesNoIndicator on page 1355</u>):

- *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 <u>YesNoIndicator on page 1355</u>):

- *Meaning When True:* Yes

- *Meaning When False:* No

3.4.11.17 AppliedOptionIndicator <ApldOptnInd>

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 <u>YesNoIndicator on page 1355</u>):

- *Meaning When True:* Yes

- *Meaning When False:* No

3.4.11.18 FinancialInstrumentIdentification <FinInstrmId>

Presence: [0..1]

Definition: Identifies the financial instrument.

Impacted by: <u>C22 DescriptionPresenceRule</u> , <u>C23 DescriptionUsageRule</u>, <u>C66 ISINGuideline</u>, <u>C67 ISINPresenceRule</u> , <u>C95 OtherIdentificationPresenceRule</u>

FinancialInstrumentIdentification <FinInstrmId> contains the following elements (see <u>SecurityIdentification19 on page 952</u> for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	ISIN <*ISIN*>	[0..1]	IdentifierSet		954
	OtherIdentification <*OthrId*>	[0..*]			954
	Identification <*Id*>	[1..1]	Text		954
	Suffix <*Sfx*>	[0..1]	Text		954
	Type <*Tp*>	[1..1]	±		954
	Description <*Desc*>	[0..1]	Text		955

Constraints

- **DescriptionPresenceRule**

  (Rule)

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

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* X00192

  – *Error Text:* At least one identification must be present.

- **DescriptionUsageRule**

  (Rule)

  Description must be used alone as the last resort.

- **ISINGuideline**

  (Rule)

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

- **ISINPresenceRule**

  (Rule)

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

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* X00194

  – *Error Text:* At least one identification must be present.

- **OtherIdentificationPresenceRule**

  (Rule)

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

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00193

– *Error Text:* At least one identification must be present.

3.4.11.19 DateDetails <DtDtls>

Presence: [0..1]

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

DateDetails <DtDtls> contains the following **CorporateActionDate77** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	EarlyResponseDeadline *<EarlyRspnDdln>*	[0..1]	±		159
	CoverExpirationDeadline *<CoverXprtnDdln>*	[0..1]	±		160
	ProtectDeadline *<PrtctDdln>*	[0..1]	±		160
	MarketDeadline *<MktDdln>*	[0..1]	±		160
	ResponseDeadline *<RspnDdln>*	[0..1]	±		161
	ExpiryDate *<XpryDt>*	[0..1]	±		161
	SubscriptionCostDebitDate *<SbcptCostDbtDt>*	[0..1]	±		162
	DepositoryCoverExpirationDate *<DpstryCoverXprtnDt>*	[0..1]	±		162
	StockLendingDeadline *<StockLndgDdln>*	[0..1]	±		162
	BorrowerStockLendingDeadline *<BrrwrStockLndgDdln>*	[0..*]			163
	StockLendingDeadline *<StockLndgDdln>*	[1..1]	±		163
	Borrower *<Brrwr>*	[1..1]	±		163
	EndOfSecuritiesBlockingPeriod *<EndOfSctiesBlckgPrd>*	[0..1]	±		163

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 DateFormat43Choice on page 936 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Date *<Dt>*	[1..1]	±		936
Or}	DateCode *<DtCd>*	[1..1]			936
{Or	Code *<Cd>*	[1..1]	CodeSet		936
Or}	Proprietary *<Prtry>*	[1..1]	±		937

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 936 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Date *<Dt>*	[1..1]	±		936
Or}	DateCode *<DtCd>*	[1..1]			936
{Or	Code *<Cd>*	[1..1]	CodeSet		936
Or}	Proprietary *<Prtry>*	[1..1]	±		937

3.4.11.19.3 ProtectDeadline <PrtctDdln>

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 <PrtctDdln> contains one of the following elements (see DateFormat43Choice on page 936 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Date *<Dt>*	[1..1]	±		936
Or}	DateCode *<DtCd>*	[1..1]			936
{Or	Code *<Cd>*	[1..1]	CodeSet		936
Or}	Proprietary *<Prtry>*	[1..1]	±		937

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 DateFormat43Choice on page 936 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		936
Or}	DateCode <DtCd>	[1..1]			936
{Or	Code <Cd>	[1..1]	CodeSet		936
Or}	Proprietary <Prtry>	[1..1]	±		937

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 DateFormat44Choice on page 933 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		933
Or	DateCodeAndTime <DtCdAndTm>	[1..1]			934
	DateCode <DtCd>	[1..1]			934
{Or	Code <Cd>	[1..1]	CodeSet		934
Or}	Proprietary <Prtry>	[1..1]	±		934
	Time <Tm>	[1..1]	Time		935
Or}	DateCode <DtCd>	[1..1]			935
{Or	Code <Cd>	[1..1]	CodeSet		935
Or}	Proprietary <Prtry>	[1..1]	±		935

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 DateFormat43Choice on page 936 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		936
Or}	DateCode <DtCd>	[1..1]			936
{Or	Code <Cd>	[1..1]	CodeSet		936
Or}	Proprietary <Prtry>	[1..1]	±		937

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 DateFormat43Choice on page 936 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		936
Or}	DateCode <DtCd>	[1..1]			936
{Or	Code <Cd>	[1..1]	CodeSet		936
Or}	Proprietary <Prtry>	[1..1]	±		937

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 DateFormat43Choice on page 936 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		936
Or}	DateCode <DtCd>	[1..1]			936
{Or	Code <Cd>	[1..1]	CodeSet		936
Or}	Proprietary <Prtry>	[1..1]	±		937

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 DateFormat43Choice on page 936 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		936
Or}	DateCode <DtCd>	[1..1]			936
{Or	Code <Cd>	[1..1]	CodeSet		936
Or}	Proprietary <Prtry>	[1..1]	±		937

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 **BorrowerLendingDeadline5** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	StockLendingDeadline *<StockLndgDdln>*	[1..1]	±		163
	Borrower *<Brrwr>*	[1..1]	±		163

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 DateFormat43Choice on page 936 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Date *<Dt>*	[1..1]	±		936
Or}	DateCode *<DtCd>*	[1..1]			936
{Or	Code *<Cd>*	[1..1]	CodeSet		936
Or}	Proprietary *<Prtry>*	[1..1]	±		937

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 PartyIdentification127Choice on page 1145 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	AnyBIC *<AnyBIC>*	[1..1]	IdentifierSet	C1	1145
Or}	ProprietaryIdentification *<PrtryId>*	[1..1]	±		1146

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 930 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		930
Or}	DateCode <DtCd>	[1..1]			930
{Or	Code <Cd>	[1..1]	CodeSet		931
Or}	Proprietary <Prtry>	[1..1]	±		931

3.4.11.20 PeriodDetails <PrdDtls>

Presence: [0..1]

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

PeriodDetails <PrdDtls> contains the following **CorporateActionPeriod12** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceCalculationPeriod <PricClctnPrd>	[0..1]	±		164
	ParallelTradingPeriod <ParllTradgPrd>	[0..1]	±		164
	ActionPeriod <ActnPrd>	[0..1]	±		165
	RevocabilityPeriod <RvcbltyPrd>	[0..1]	±		165
	PrivilegeSuspensionPeriod <PrvlgSspnsnPrd>	[0..1]	±		165
	AccountServicerRevocabilityPeriod <AcctSvcrRvcbltyPrd>	[0..1]	±		165
	DepositorySuspensionPeriodForWithdrawal <DpstrySspnsnPrdForWdrwl>	[0..1]	±		166

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 940 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Period <Prd>	[1..1]	±		940
Or}	PeriodCode <PrdCd>	[1..1]	CodeSet		940

3.4.11.20.2 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 <ParllTradgPrd> contains one of the following elements (see Period6Choice on page 940 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Period <Prd>	[1..1]	±		940
Or}	PeriodCode <PrdCd>	[1..1]	CodeSet		940

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 940 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Period <Prd>	[1..1]	±		940
Or}	PeriodCode <PrdCd>	[1..1]	CodeSet		940

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 940 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Period <Prd>	[1..1]	±		940
Or}	PeriodCode <PrdCd>	[1..1]	CodeSet		940

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 940 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Period <Prd>	[1..1]	±		940
Or}	PeriodCode <PrdCd>	[1..1]	CodeSet		940

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 940 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Period *<Prd>*	[1..1]	±		940
Or}	PeriodCode *<PrdCd>*	[1..1]	CodeSet		940

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 940 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Period *<Prd>*	[1..1]	±		940
Or}	PeriodCode *<PrdCd>*	[1..1]	CodeSet		940

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 **CorporateActionRate104** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	AdditionalTax <*AddtlTax*>	[0..1]	±		169
	GrossDividendRate <*GrssDvddRate*>	[0..*]	±		169
	NetDividendRate <*NetDvddRate*>	[0..*]	±		170
	InterestRateUsedForPayment <*IntrstRateUsdForPmt*>	[0..*]	±		171
	MaximumAllowedOversubscriptionRate <*MaxAllwdOvrsbcptRate*>	[0..1]	±		172
	ProrationRate <*PrratnRate*>	[0..1]	±		172
	WithholdingTaxRate <*WhldgTaxRate*>	[0..*]	±		173
	SecondLevelTax <*ScndLvlTax*>	[0..*]	±		173
	TaxableIncomePerDividendShare <*TaxblIncmPerDvddShr*>	[0..*]	±		173
	IssuerDeclaredExchangeRate <*IssrDclrdXchgRate*>	[0..1]	±		174
	TaxOnIncome <*TaxOnIncm*>	[0..1]	±		174
	BidInterval <*BidIntrvl*>	[0..1]	±		174

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 RateAndAmountFormat37Choice on page 1230 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Rate *<Rate>*	[1..1]	Rate		1230
Or	NotSpecifiedRate *<NotSpcfdRate>*	[1..1]	CodeSet		1230
Or}	Amount *<Amt>*	[1..1]	Amount	C1	1230

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
GrossDividendRateFormat36Choice on page 1031 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C1	1031
Or	AmountAndRateStatus <AmtAndRateSts>	[1..1]			1032
	Amount <Amt>	[1..1]	Amount	C1	1032
	RateStatus <RateSts>	[1..1]	CodeSet		1032
Or	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1033
	RateType <RateTp>	[1..1]			1033
{Or	Code <Cd>	[1..1]	CodeSet		1033
Or}	Proprietary <Prtry>	[1..1]	±		1034
	Amount <Amt>	[1..1]	Amount	C1	1034
	RateStatus <RateSts>	[0..1]		C61	1035
{Or	Code <Cd>	[1..1]	CodeSet		1035
Or}	Proprietary <Prtry>	[1..1]	±		1035
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1036

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
NetDividendRateFormat38Choice on page 1021 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Amount *<Amt>*	[1..1]	Amount	C1	1021
Or	AmountAndRateStatus *<AmtAndRateSts>*	[1..1]			1022
	Amount *<Amt>*	[1..1]	Amount	C1	1022
	RateStatus *<RateSts>*	[1..1]	CodeSet		1023
Or	RateTypeAndAmountAndRateStatus *<RateTpAndAmtAndRateSts>*	[1..1]			1023
	RateType *<RateTp>*	[1..1]			1023
{Or	Code *<Cd>*	[1..1]	CodeSet		1023
Or}	Proprietary *<Prtry>*	[1..1]	±		1024
	Amount *<Amt>*	[1..1]	Amount	C1	1024
	RateStatus *<RateSts>*	[0..1]		C61	1025
{Or	Code *<Cd>*	[1..1]	CodeSet		1025
Or}	Proprietary *<Prtry>*	[1..1]	±		1025
Or}	NotSpecifiedRate *<NotSpcfdRate>*	[1..1]	CodeSet		1026

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 InterestRateUsedForPaymentFormat8Choice on page 1099 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1099
Or	Amount <Amt>	[1..1]	Amount	C1	1100
Or	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1100
	RateType <RateTp>	[1..1]			1100
{Or	Code <Cd>	[1..1]	CodeSet		1101
Or}	Proprietary <Prtry>	[1..1]	±		1101
	Amount <Amt>	[1..1]	Amount	C1	1101
	RateStatus <RateSts>	[0..1]		C61	1102
{Or	Code <Cd>	[1..1]	CodeSet		1102
Or}	Proprietary <Prtry>	[1..1]	±		1102
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1103

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 1197 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1197
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1197

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 1197 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1197
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1197

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 RateAndAmountFormat41Choice on page 1097 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1097
Or	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1097
Or	Amount <Amt>	[1..1]	Amount	C1	1097
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			1098
	RateType <RateTp>	[1..1]			1098
{Or	Code <Cd>	[1..1]	CodeSet		1098
Or}	Proprietary <Prtry>	[1..1]	±		1099
	Rate <Rate>	[1..1]	Rate		1099

3.4.11.21.8 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 <ScndLvlTax> contains one of the following elements (see RateAndAmountFormat41Choice on page 1097 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1097
Or	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1097
Or	Amount <Amt>	[1..1]	Amount	C1	1097
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			1098
	RateType <RateTp>	[1..1]			1098
{Or	Code <Cd>	[1..1]	CodeSet		1098
Or}	Proprietary <Prtry>	[1..1]	±		1099
	Rate <Rate>	[1..1]	Rate		1099

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 RateTypeAndAmountAndStatus26 on page 1094 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RateType <RateTp>	[1..1]			1094
{Or	Code <Cd>	[1..1]	CodeSet		1095
Or}	Proprietary <Prtry>	[1..1]	±		1095
	Amount <Amt>	[1..1]	Amount	C1	1095
	RateStatus <RateSts>	[0..1]		C61	1096
{Or	Code <Cd>	[1..1]	CodeSet		1096
Or}	Proprietary <Prtry>	[1..1]	±		1096

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 955 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UnitCurrency <UnitCcy>	[1..1]	CodeSet	C1	956
	QuotedCurrency <QtdCcy>	[1..1]	CodeSet	C1	956
	ExchangeRate <XchgRate>	[1..1]	Rate		956

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 RateAndAmountFormat37Choice on page 1230 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1230
Or	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1230
Or}	Amount <Amt>	[1..1]	Amount	C1	1230

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 1229 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Rate *<Rate>*	[1..1]	Rate		1229
Or	NotSpecifiedRate *<NotSpcfdRate>*	[1..1]	CodeSet		1229
Or	Amount *<Amt>*	[1..1]	Amount	C1	1229
Or}	IndexPoints *<IndxPts>*	[1..1]	Quantity		1230

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 **CorporateActionPrice73** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	CashInLieuOfSharePrice *<CshInLieuOfShrPric>*	[0..1]	±		175
	OverSubscriptionDepositPrice *<OverSbcptDpstPric>*	[0..1]	±		176
	MaximumCashToInstruct *<MaxCshToInst>*	[0..1]	±		176
	MinimumCashToInstruct *<MinCshToInst>*	[0..1]	±		176
	MinimumMultipleCashToInstruct *<MinMltplCshToInst>*	[0..1]	±		177
	MaximumPrice *<MaxPric>*	[0..1]	±		177
	MinimumPrice *<MinPric>*	[0..1]	±		177
	FirstBidIncrementPrice *<FrstBidIncrmtPric>*	[0..1]	±		178
	LastBidIncrementPrice *<LastBidIncrmtPric>*	[0..1]	±		178

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 PriceFormat45Choice on page 1182 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice *<PctgPric>*	[1..1]			1182
	PercentagePriceType *<PctgPricTp>*	[1..1]	CodeSet		1183
	PriceValue *<PricVal>*	[1..1]	Rate		1183
Or	AmountPrice *<AmtPric>*	[1..1]	±		1183
Or}	NotSpecifiedPrice *<NotSpcfdPric>*	[1..1]	CodeSet		1183

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 PriceFormat45Choice on page 1182 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice *<PctgPric>*	[1..1]			1182
	PercentagePriceType *<PctgPricTp>*	[1..1]	CodeSet		1183
	PriceValue *<PricVal>*	[1..1]	Rate		1183
Or	AmountPrice *<AmtPric>*	[1..1]	±		1183
Or}	NotSpecifiedPrice *<NotSpcfdPric>*	[1..1]	CodeSet		1183

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 PriceFormat61Choice on page 1177 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	AmountPrice *<AmtPric>*	[1..1]			1178
	AmountPriceType *<AmtPricTp>*	[1..1]	CodeSet		1178
	PriceValue *<PricVal>*	[1..1]	Amount	C1	1178
Or}	NotSpecifiedPrice *<NotSpcfdPric>*	[1..1]	CodeSet		1179

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 PriceFormat61Choice on page 1177 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AmountPrice <AmtPric>	[1..1]			1178
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1178
	PriceValue <PricVal>	[1..1]	Amount	C1	1178
Or}	NotSpecifiedPrice <NotSpcfdPric>	[1..1]	CodeSet		1179

3.4.11.22.5 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 PriceFormat61Choice on page 1177 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AmountPrice <AmtPric>	[1..1]			1178
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1178
	PriceValue <PricVal>	[1..1]	Amount	C1	1178
Or}	NotSpecifiedPrice <NotSpcfdPric>	[1..1]	CodeSet		1179

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 PriceFormat44Choice on page 1184 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1184
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1184
	PriceValue <PricVal>	[1..1]	Rate		1185
Or	AmountPrice <AmtPric>	[1..1]	±		1185
Or	NotSpecifiedPrice <NotSpcfdPric>	[1..1]	CodeSet		1185
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		1185

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 PriceFormat44Choice on page 1184 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice *<PctgPric>*	[1..1]			1184
	PercentagePriceType *<PctgPricTp>*	[1..1]	CodeSet		1184
	PriceValue *<PricVal>*	[1..1]	Rate		1185
Or	AmountPrice *<AmtPric>*	[1..1]	±		1185
Or	NotSpecifiedPrice *<NotSpcfdPric>*	[1..1]	CodeSet		1185
Or}	IndexPoints *<IndxPts>*	[1..1]	Quantity		1185

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 PriceFormat44Choice on page 1184 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice *<PctgPric>*	[1..1]			1184
	PercentagePriceType *<PctgPricTp>*	[1..1]	CodeSet		1184
	PriceValue *<PricVal>*	[1..1]	Rate		1185
Or	AmountPrice *<AmtPric>*	[1..1]	±		1185
Or	NotSpecifiedPrice *<NotSpcfdPric>*	[1..1]	CodeSet		1185
Or}	IndexPoints *<IndxPts>*	[1..1]	Quantity		1185

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 PriceFormat44Choice on page 1184 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <*PctgPric*>	[1..1]			1184
	PercentagePriceType <*PctgPricTp*>	[1..1]	CodeSet		1184
	PriceValue <*PricVal*>	[1..1]	Rate		1185
Or	AmountPrice <*AmtPric*>	[1..1]	±		1185
Or	NotSpecifiedPrice <*NotSpcfdPric*>	[1..1]	CodeSet		1185
Or}	IndexPoints <*IndxPts*>	[1..1]	Quantity		1185

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 **SecuritiesOption81** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	MaximumQuantityToInstruct <*MaxQtyToInst*>	[0..1]	±	C25	179
	MinimumQuantityToInstruct <*MinQtyToInst*>	[0..1]	±	C25	180
	MinimumMultipleQuantityToInstruct <*MinMltplQtyToInst*>	[0..1]	±	C26	180
	NewBoardLotQuantity <*NewBrdLotQty*>	[0..1]	±	C26	181
	NewDenominationQuantity <*NewDnmtnQty*>	[0..1]	±	C26	181
	FrontEndOddLotQuantity <*FrntEndOddLotQty*>	[0..1]	±	C26	182
	BackEndOddLotQuantity <*BckEndOddLotQty*>	[0..1]	±	C26	182

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 FinancialInstrumentQuantity34Choice on page 1196 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Unit *<Unit>*	[1..1]	Quantity		1196
Or	FaceAmount *<FaceAmt>*	[1..1]	Amount		1196
Or	AmortisedValue *<AmtsdVal>*	[1..1]	Amount		1196
Or	Code *<Cd>*	[1..1]	CodeSet		1196
Or}	DigitalTokenUnit *<DgtlTknUnit>*	[1..1]	Quantity		1197

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 FinancialInstrumentQuantity34Choice on page 1196 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Unit *<Unit>*	[1..1]	Quantity		1196
Or	FaceAmount *<FaceAmt>*	[1..1]	Amount		1196
Or	AmortisedValue *<AmtsdVal>*	[1..1]	Amount		1196
Or	Code *<Cd>*	[1..1]	CodeSet		1196
Or}	DigitalTokenUnit *<DgtlTknUnit>*	[1..1]	Quantity		1197

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 FinancialInstrumentQuantity35Choice on page 1195 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1195
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1195
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1195
Or	Code <Cd>	[1..1]	CodeSet		1195
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1196

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 FinancialInstrumentQuantity35Choice on page 1195 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1195
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1195
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1195
Or	Code <Cd>	[1..1]	CodeSet		1195
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1196

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
FinancialInstrumentQuantity35Choice on page 1195 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1195
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1195
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1195
Or	Code <Cd>	[1..1]	CodeSet		1195
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1196

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
FinancialInstrumentQuantity35Choice on page 1195 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1195
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1195
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1195
Or	Code <Cd>	[1..1]	CodeSet		1195
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1196

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 FinancialInstrumentQuantity35Choice on page 1195 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Unit *<Unit>*	[1..1]	Quantity		1195
Or	FaceAmount *<FaceAmt>*	[1..1]	Amount		1195
Or	AmortisedValue *<AmtsdVal>*	[1..1]	Amount		1195
Or	Code *<Cd>*	[1..1]	CodeSet		1195
Or}	DigitalTokenUnit *<DgtlTknUnit>*	[1..1]	Quantity		1196

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 **SecuritiesOption92** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SecurityDetails <SctyDtls>	[1..1]		C76, C98	187
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C22, C23, C66, C67, C95	189
	PlaceOfListing <PlcOfListg>	[0..1]	±		190
	DayCountBasis <DayCntBsis>	[0..1]	±		190
	ClassificationType <ClssfctnTp>	[0..1]	±		191
	OptionStyle <OptnStyle>	[0..1]	±		191
	DenominationCurrency <DnmtnCcy>	[0..1]	CodeSet	C2	191
	NextCouponDate <NxtCpnDt>	[0..1]	Date		192
	FloatingRateFixingDate <FltgRateFxgDt>	[0..1]	Date		192
	MaturityDate <MtrtyDt>	[0..1]	Date		192
	IssueDate <IsseDt>	[0..1]	Date		192
	NextCallableDate <NxtCllblDt>	[0..1]	Date		192
	PutableDate <PutblDt>	[0..1]	Date		192
	DatedDate <DtdDt>	[0..1]	Date		192
	ConversionDate <ConvsDt>	[0..1]	Date		193
	PreviousFactor <PrvsFctr>	[0..1]	±		193
	NextFactor <NxtFctr>	[0..1]	±		193
	InterestRate <IntrstRate>	[0..1]	±		193
	NextInterestRate <NxtIntrstRate>	[0..1]	±		193
	MinimumNominalQuantity <MinNmnlQty>	[0..1]	±	C24	194
	MinimumQuantityToInstruct <MinQtyToInst>	[0..1]	±	C24	194
	MinimumMultipleQuantityToInstruct <MinMltplQtyToInst>	[0..1]	±	C24	195
	ContractSize <CtrctSz>	[0..1]	±	C24	195
	IssuePrice <IssePric>	[0..1]	±		196
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		196
	TemporaryFinancialInstrumentIndicator <TempFinInstrmInd>	[0..1]	±		196
	NonEligibleProceedsIndicator <NonElgblPrcdsInd>	[0..1]	±		196

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	IssuerOfferorTaxabilityIndicator <*IssrOfferrTaxbltyInd*>	[0..1]	±		197
	NewSecuritiesIssuanceIndicator <*NewSctiesIssncInd*>	[0..1]	CodeSet		197
	IncomeType <*IncmTp*>	[0..1]	±		198
	OtherIncomeType <*OthrIncmTp*>	[0..*]	±		198
	ExemptionType <*XmptnTp*>	[0..*]	±		198
	EntitledQuantity <*EntitldQty*>	[0..1]	±		199
	SafekeepingPlace <*SfkpgPlc*>	[0..1]	±		199
	CountryOfIncomeSource <*CtryOfIncmSrc*>	[0..1]	CodeSet	C16	199
	FractionDisposition <*FrctnDspstn*>	[0..1]	±		200
	CurrencyOption <*CcyOptn*>	[0..1]	CodeSet	C1	200
	TradingPeriod <*TradgPrd*>	[0..1]	±		200
	DateDetails <*DtDtls*>	[1..1]			201
	PaymentDate <*PmtDt*>	[1..1]	±		201
	AvailableDate <*AvlblDt*>	[0..1]	±		201
	DividendRankingDate <*DvddRnkgDt*>	[0..1]	±		202
	EarliestPaymentDate <*EarlstPmtDt*>	[0..1]	±		202
	PariPassuDate <*PrpssDt*>	[0..1]	±		202
	LastTradingDate <*LastTradgDt*>	[0..1]	±		203
	RateDetails <*RateDtls*>	[0..1]			203
	AdditionalQuantityForSubscribedResultantSecurities <*AddtlQtyForSbcbdRsltntScties*>	[0..1]	±		204
	AdditionalQuantityForExistingSecurities <*AddtlQtyForExstgScties*>	[0..1]	±		204
	NewToOld <*NewToOd*>	[0..1]	±		205
	TransformationRate <*TrfrmatnRate*>	[0..1]	Rate		205
	ChargesFees <*ChrgsFees*>	[0..1]	±		205
	FiscalStamp <*FsclStmp*>	[0..1]	±		206
	ApplicableRate <*AplblRate*>	[0..1]	±		206
	TaxCreditRate <*TaxCdtRate*>	[0..1]	±		206
	FinancialTransactionTaxRate <*FinTxTaxRate*>	[0..1]	±		207
	WithholdingTaxRate <*WhldgTaxRate*>	[0..*]	±		207
	SecondLevelTax <*ScndLvlTax*>	[0..*]	±		207
	PriceDetails <*PricDtls*>	[0..1]		C45	208

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	IndicativeOrMarketPrice *<IndctvOrMktPric>*	[0..1]			208
{Or	**IndicativePrice** *<IndctvPric>*	[1..1]	±		209
Or}	**MarketPrice** *<MktPric>*	[1..1]	±		209
	CashInLieuOfSharePrice *<CshInLieuOfShrPric>*	[0..1]	±		209
	CashValueForTax *<CshValForTax>*	[0..1]	±		210
	GenericCashPricePaidPerProduct *<GncCshPricPdPerPdct>*	[0..1]	±		210
	GenericCashPriceReceivedPerProduct *<GncCshPricRcvdPerPdct>*	[0..1]	±		210
	AmountDetails *<AmtDtls>*	[0..1]			211
	WithholdingTaxAmount *<WhldgTaxAmt>*	[0..1]	Amount	C1, C17	211
	SecondLevelTaxAmount *<ScndLvlTaxAmt>*	[0..1]	Amount	C1, C17	212

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.

  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.

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.

3.4.11.24.1 SecurityDetails <SctyDtls>

Presence: [1..1]

Definition: Provides description of the financial instrument related to securities movement.

Impacted by: C76 MaturityDateRule, C98 PreviousNextFactorRule

SecurityDetails <SctyDtls> contains the following **FinancialInstrumentAttributes107** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C22, C23, C66, C67, C95	189
	PlaceOfListing <PlcOfListg>	[0..1]	±		190
	DayCountBasis <DayCntBsis>	[0..1]	±		190
	ClassificationType <ClssfctnTp>	[0..1]	±		191
	OptionStyle <OptnStyle>	[0..1]	±		191
	DenominationCurrency <DnmtnCcy>	[0..1]	CodeSet	C2	191
	NextCouponDate <NxtCpnDt>	[0..1]	Date		192
	FloatingRateFixingDate <FltgRateFxgDt>	[0..1]	Date		192
	MaturityDate <MtrtyDt>	[0..1]	Date		192
	IssueDate <IsseDt>	[0..1]	Date		192
	NextCallableDate <NxtCllblDt>	[0..1]	Date		192
	PutableDate <PutblDt>	[0..1]	Date		192
	DatedDate <DtdDt>	[0..1]	Date		192
	ConversionDate <ConvsDt>	[0..1]	Date		193
	PreviousFactor <PrvsFctr>	[0..1]	±		193
	NextFactor <NxtFctr>	[0..1]	±		193
	InterestRate <IntrstRate>	[0..1]	±		193
	NextInterestRate <NxtIntrstRate>	[0..1]	±		193
	MinimumNominalQuantity <MinNmnlQty>	[0..1]	±	C24	194
	MinimumQuantityToInstruct <MinQtyToInst>	[0..1]	±	C24	194
	MinimumMultipleQuantityToInstruct <MinMltplQtyToInst>	[0..1]	±	C24	195
	ContractSize <CtrctSz>	[0..1]	±	C24	195
	IssuePrice <IssePric>	[0..1]	±		196

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.

3.4.11.24.1.1 FinancialInstrumentIdentification <FinInstrmId>

Presence: [1..1]

Definition: Identification of the financial instrument.

Impacted by: C22 DescriptionPresenceRule   , C23 DescriptionUsageRule, C66 ISINGuideline,   C67 ISINPresenceRule   ,   C95 OtherIdentificationPresenceRule

FinancialInstrumentIdentification <FinInstrmId> contains the following elements (see SecurityIdentification19 on page 952 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		954
	OtherIdentification <OthrId>	[0..*]			954
	Identification <Id>	[1..1]	Text		954
	Suffix <Sfx>	[0..1]	Text		954
	Type <Tp>	[1..1]	±		954
	Description <Desc>	[0..1]	Text		955

Constraints

- **DescriptionPresenceRule**

(Rule)

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

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

Error handling:

- − *Error severity:* Fatal

- − *Error Code:* X00192

- − *Error Text:* At least one identification must be present.

- **DescriptionUsageRule**

(Rule)

Description must be used alone as the last resort.

- **ISINGuideline**

  (Rule)

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

- **ISINPresenceRule**

  (Rule)

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

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

  Error handling:

  - *Error severity:* Fatal

  - *Error Code:* X00194

  - *Error Text:* At least one identification must be present.

- **OtherIdentificationPresenceRule**

  (Rule)

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

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

  Error handling:

  - *Error severity:* Fatal

  - *Error Code:* X00193

  - *Error Text:* At least one identification must be present.

3.4.11.24.1.2 PlaceOfListing <PlcOfListg>

Presence: [0..1]

Definition: Place where the referenced financial instrument is listed.

PlaceOfListing <PlcOfListg> contains one of the following elements (see <u>MarketIdentification3Choice on page 971</u> for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	MarketIdentifierCode <*MktIdrCd*>	[1..1]	IdentifierSet		971
Or}	Description <*Desc*>	[1..1]	Text		971

3.4.11.24.1.3 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 InterestComputationMethodFormat4Choice on page 1120 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1120
Or}	Proprietary <Prtry>	[1..1]	±		1123

3.4.11.24.1.4 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 ClassificationType32Choice on page 1119 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ClassificationFinancialInstrument <ClssfctnFinInstrm>	[1..1]	IdentifierSet		1119
Or}	AlternateClassification <AltrnClssfctn>	[1..1]	±		1119

3.4.11.24.1.5 OptionStyle <OptnStyle>

Presence: [0..1]

Definition: Specifies how an option can be exercised.

OptionStyle <OptnStyle> contains one of the following elements (see OptionStyle8Choice on page 1118 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1119
Or}	Proprietary <Prtry>	[1..1]	±		1119

3.4.11.24.1.6 DenominationCurrency <DnmtnCcy>

Presence: [0..1]

Definition: Currency in which a financial instrument is currently denominated.

Impacted by: C2 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyCode on page 1271

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.

3.4.11.24.1.7 NextCouponDate <NxtCpnDt>

Presence: [0..1]

Definition: Next payment date of an interest bearing financial instrument.

Datatype: ISODate on page 1352

3.4.11.24.1.8 FloatingRateFixingDate <FltgRateFxgDt>

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 1352

3.4.11.24.1.9 MaturityDate <MtrtyDt>

Presence: [0..1]

Definition: Date on which a financial instrument becomes due and assets are to be repaid.

Datatype: ISODate on page 1352

3.4.11.24.1.10 IssueDate <IsseDt>

Presence: [0..1]

Definition: Date at which the security was made available.

Datatype: ISODate on page 1352

3.4.11.24.1.11 NextCallableDate <NxtCllblDt>

Presence: [0..1]

Definition: Date on which a financial instrument is called away/redeemed before its scheduled maturity.

Datatype: ISODate on page 1352

3.4.11.24.1.12 PutableDate <PutblDt>

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 1352

3.4.11.24.1.13 DatedDate <DtdDt>

Presence: [0..1]

Definition: Date on which an interest bearing financial instrument begins to accrue interest.

Datatype: ISODate on page 1352

3.4.11.24.1.14 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 1352

3.4.11.24.1.15 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 1125 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Rate *<Rate>*	[1..1]	Rate		1125
Or}	NotSpecifiedRate *<NotSpcfdRate>*	[1..1]	CodeSet		1125

3.4.11.24.1.16 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 1125 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Rate *<Rate>*	[1..1]	Rate		1125
Or}	NotSpecifiedRate *<NotSpcfdRate>*	[1..1]	CodeSet		1125

3.4.11.24.1.17 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 1197 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Rate *<Rate>*	[1..1]	Rate		1197
Or}	NotSpecifiedRate *<NotSpcfdRate>*	[1..1]	CodeSet		1197

3.4.11.24.1.18 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 <u>RateFormat3Choice on page 1197</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Rate *<Rate>*	[1..1]	Rate		1197
Or}	NotSpecifiedRate *<NotSpcfdRate>*	[1..1]	CodeSet		1197

3.4.11.24.1.19 MinimumNominalQuantity <MinNmnlQty>

Presence: [0..1]

Definition: Minimum nominal quantity of financial instrument.

Impacted by: C24 DigitalTokenUnitUsageRule

MinimumNominalQuantity <MinNmnlQty> contains one of the following elements (see <u>FinancialInstrumentQuantity33Choice on page 1185</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Unit *<Unit>*	[1..1]	Quantity		1186
Or	FaceAmount *<FaceAmt>*	[1..1]	Amount		1186
Or	AmortisedValue *<AmtsdVal>*	[1..1]	Amount		1186
Or}	DigitalTokenUnit *<DgtlTknUnit>*	[1..1]	Quantity		1186

Constraints

- **DigitalTokenUnitUsageRule**

  (Rule)

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

3.4.11.24.1.20 MinimumQuantityToInstruct <MinQtyToInst>

Presence: [0..1]

Definition: Minimum quantity of financial instrument that may be instructed.

Impacted by: C24 DigitalTokenUnitUsageRule

MinimumQuantityToInstruct <MinQtyToInst> contains one of the following elements (see <u>FinancialInstrumentQuantity33Choice on page 1185</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Unit *<Unit>*	[1..1]	Quantity		1186
Or	FaceAmount *<FaceAmt>*	[1..1]	Amount		1186
Or	AmortisedValue *<AmtsdVal>*	[1..1]	Amount		1186
Or}	DigitalTokenUnit *<DgtlTknUnit>*	[1..1]	Quantity		1186

Constraints

- **DigitalTokenUnitUsageRule**

  (Rule)

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

3.4.11.24.1.21 MinimumMultipleQuantityToInstruct <MinMltplQtyToInst>

Presence: [0..1]

Definition: Minimum multiple quantity of financial instrument that may be instructed.

Impacted by: C24 DigitalTokenUnitUsageRule

MinimumMultipleQuantityToInstruct <MinMltplQtyToInst> contains one of the following elements (see FinancialInstrumentQuantity33Choice on page 1185 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Unit *<Unit>*	[1..1]	Quantity		1186
Or	FaceAmount *<FaceAmt>*	[1..1]	Amount		1186
Or	AmortisedValue *<AmtsdVal>*	[1..1]	Amount		1186
Or}	DigitalTokenUnit *<DgtlTknUnit>*	[1..1]	Quantity		1186

Constraints

- **DigitalTokenUnitUsageRule**

  (Rule)

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

3.4.11.24.1.22 ContractSize <CtrctSz>

Presence: [0..1]

Definition: Ratio or multiplying factor used to convert one contract into a financial instrument quantity.

Impacted by: C24 DigitalTokenUnitUsageRule

ContractSize <CtrctSz> contains one of the following elements (see FinancialInstrumentQuantity33Choice on page 1185 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Unit *<Unit>*	[1..1]	Quantity		1186
Or	FaceAmount *<FaceAmt>*	[1..1]	Amount		1186
Or	AmortisedValue *<AmtsdVal>*	[1..1]	Amount		1186
Or}	DigitalTokenUnit *<DgtlTknUnit>*	[1..1]	Quantity		1186

Constraints

- **DigitalTokenUnitUsageRule**

  (Rule)

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

3.4.11.24.1.23 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 <u>PriceFormat45Choice on page 1182</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice *<PctgPric>*	[1..1]			1182
	PercentagePriceType *<PctgPricTp>*	[1..1]	CodeSet		1183
	PriceValue *<PricVal>*	[1..1]	Rate		1183
Or	AmountPrice *<AmtPric>*	[1..1]	±		1183
Or}	NotSpecifiedPrice *<NotSpcfdPric>*	[1..1]	CodeSet		1183

3.4.11.24.2 CreditDebitIndicator <CdtDbtInd>

Presence: [1..1]

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

Datatype: <u>CreditDebitCode on page 1319</u>

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 <u>TemporaryFinancialInstrumentIndicator3Choice on page 1093</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	TemporaryIndicator *<TempInd>*	[1..1]	Indicator		1094
Or}	Proprietary *<Prtry>*	[1..1]	±		1094

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 NonEligibleProceedsIndicator3Choice on page 1093 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1093
Or}	Proprietary *<Prtry>*	[1..1]	±		1093

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 1071 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1072
Or}	Proprietary *<Prtry>*	[1..1]	±		1072

3.4.11.24.6 NewSecuritiesIssuanceIndicator <NewSctiesIssncInd>

Presence: [0..1]

Definition: Specifies the nature of the securities issue.

Datatype: NewSecuritiesIssuanceType5Code on page 1334

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.

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.

IncomeType <IncmTp> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

3.4.11.24.8 OtherIncomeType <OthrIncmTp>

Presence: [0..*]

Definition: Type of income to be used under another tax regime.

OtherIncomeType <OthrIncmTp> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

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 GenericIdentification30 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

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 Quantity51Choice on page 1194 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Quantity <*Qty*>	[1..1]	±	C6	1194
Or}	OriginalAndCurrentFace <*OrgnlAndCurFace*>	[1..1]	±		1194

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 SafekeepingPlaceFormat29Choice on page 1062 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Identification <*Id*>	[1..1]			1063
	SafekeepingPlaceType <*SfkpgPlcTp*>	[1..1]	CodeSet		1063
	Identification <*Id*>	[0..1]	Text		1063
Or	Country <*Ctry*>	[1..1]	CodeSet	C3	1063
Or	TypeAndIdentification <*TpAndId*>	[1..1]			1064
	SafekeepingPlaceType <*SfkpgPlcTp*>	[1..1]	CodeSet		1064
	Identification <*Id*>	[1..1]	IdentifierSet	C1	1064
Or}	Proprietary <*Prtry*>	[1..1]	±		1065

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 1318

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 FractionDispositionType26Choice on page 1105 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1105
Or}	Proprietary *<Prtry>*	[1..1]	±		1106

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 1270

Constraints

• **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet 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 940 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Period <Prd>	[1..1]	±		940
Or}	PeriodCode <PrdCd>	[1..1]	CodeSet		940

3.4.11.24.16 DateDetails <DtDtls>

Presence: [1..1]

Definition: Provides information about the dates related to securities movement.

DateDetails <DtDtls> contains the following **SecurityDate20** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentDate <PmtDt>	[1..1]	±		201
	AvailableDate <AvlblDt>	[0..1]	±		201
	DividendRankingDate <DvddRnkgDt>	[0..1]	±		202
	EarliestPaymentDate <EarlstPmtDt>	[0..1]	±		202
	PariPassuDate <PrpssDt>	[0..1]	±		202
	LastTradingDate <LastTradgDt>	[0..1]	±		203

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 DateFormat30Choice on page 929 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		929
Or}	DateCode <DtCd>	[1..1]			929
{Or	Code <Cd>	[1..1]	CodeSet		929
Or}	Proprietary <Prtry>	[1..1]	±		930

3.4.11.24.16.2 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 DateFormat30Choice on page 929 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		929
Or}	DateCode <DtCd>	[1..1]			929
{Or	Code <Cd>	[1..1]	CodeSet		929
Or}	Proprietary <Prtry>	[1..1]	±		930

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 DateFormat30Choice on page 929 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		929
Or}	DateCode <DtCd>	[1..1]			929
{Or	Code <Cd>	[1..1]	CodeSet		929
Or}	Proprietary <Prtry>	[1..1]	±		930

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 DateFormat30Choice on page 929 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		929
Or}	DateCode <DtCd>	[1..1]			929
{Or	Code <Cd>	[1..1]	CodeSet		929
Or}	Proprietary <Prtry>	[1..1]	±		930

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 DateFormat30Choice on page 929 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		929
Or}	DateCode <DtCd>	[1..1]			929
{Or	Code <Cd>	[1..1]	CodeSet		929
Or}	Proprietary <Prtry>	[1..1]	±		930

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 DateFormat30Choice on page 929 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		929
Or}	DateCode <DtCd>	[1..1]			929
{Or	Code <Cd>	[1..1]	CodeSet		929
Or}	Proprietary <Prtry>	[1..1]	±		930

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 **CorporateActionRate112** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AdditionalQuantityForSubscribedResultantSecurities <AddtlQtyForSbcbdRsltntScties>	[0..1]	±		204
	AdditionalQuantityForExistingSecurities <AddtlQtyForExstgScties>	[0..1]	±		204
	NewToOld <NewToOd>	[0..1]	±		205
	TransformationRate <TrfrmatnRate>	[0..1]	Rate		205
	ChargesFees <ChrgsFees>	[0..1]	±		205
	FiscalStamp <FsclStmp>	[0..1]	±		206
	ApplicableRate <AplblRate>	[0..1]	±		206
	TaxCreditRate <TaxCdtRate>	[0..1]	±		206
	FinancialTransactionTaxRate <FinTxTaxRate>	[0..1]	±		207
	WithholdingTaxRate <WhldgTaxRate>	[0..*]	±		207
	SecondLevelTax <ScndLvlTax>	[0..*]	±		207

3.4.11.24.17.1 AdditionalQuantityForSubscribedResultantSecurities <AddtlQtyForSbcbdRsltntScties>

Presence: [0..1]

Definition: Quantity of additional intermediate securities/new equities awarded for a given quantity of securities derived from subscription.

AdditionalQuantityForSubscribedResultantSecurities <AddtlQtyForSbcbdRsltntScties> contains one of the following elements (see RatioFormat17Choice on page 1091 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	QuantityToQuantity <QtyToQty>	[1..1]	±		1091
Or	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1091
Or}	AmountToAmount <AmtToAmt>	[1..1]			1091
	Amount1 <Amt1>	[1..1]	Amount	C1	1092
	Amount2 <Amt2>	[1..1]	Amount	C1	1092

3.4.11.24.17.2 AdditionalQuantityForExistingSecurities <AddtlQtyForExstgScties>

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 <AddtlQtyForExstgScties> contains one of the following elements (see RatioFormat17Choice on page 1091 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	QuantityToQuantity <QtyToQty>	[1..1]	±		1091
Or	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1091
Or}	AmountToAmount <AmtToAmt>	[1..1]			1091
	Amount1 <Amt1>	[1..1]	Amount	C1	1092
	Amount2 <Amt2>	[1..1]	Amount	C1	1092

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 RatioFormat18Choice on page 1087 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	QuantityToQuantity <QtyToQty>	[1..1]	±		1087
Or	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1088
Or	AmountToAmount <AmtToAmt>	[1..1]			1088
	Amount1 <Amt1>	[1..1]	Amount	C1	1088
	Amount2 <Amt2>	[1..1]	Amount	C1	1089
Or	AmountToQuantity <AmtToQty>	[1..1]			1089
	Amount <Amt>	[1..1]	Amount	C1	1089
	Quantity <Qty>	[1..1]	Quantity		1090
Or}	QuantityToAmount <QtyToAmt>	[1..1]			1090
	Amount <Amt>	[1..1]	Amount	C1	1090
	Quantity <Qty>	[1..1]	Quantity		1091

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 1356

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 RateAndAmountFormat37Choice on page 1230 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1230
Or	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1230
Or}	Amount <Amt>	[1..1]	Amount	C1	1230

3.4.11.24.17.6 FiscalStamp <FsclStmp>

Presence: [0..1]

Definition: Percentage of fiscal tax to apply.

FiscalStamp <FsclStmp> contains one of the following elements (see RateFormat3Choice on page 1197 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1197
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1197

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 1197 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1197
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1197

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 RateFormat20Choice on page 1227 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1227
Or	Amount <Amt>	[1..1]	Amount	C1	1227
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1228

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 1197 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Rate *<Rate>*	[1..1]	Rate		1197
Or}	NotSpecifiedRate *<NotSpcfdRate>*	[1..1]	CodeSet		1197

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
RateAndAmountFormat41Choice on page 1097 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Rate *<Rate>*	[1..1]	Rate		1097
Or	NotSpecifiedRate *<NotSpcfdRate>*	[1..1]	CodeSet		1097
Or	Amount *<Amt>*	[1..1]	Amount	C1	1097
Or}	RateTypeAndRate *<RateTpAndRate>*	[1..1]			1098
	RateType *<RateTp>*	[1..1]			1098
{Or	Code *<Cd>*	[1..1]	CodeSet		1098
Or}	Proprietary *<Prtry>*	[1..1]	±		1099
	Rate *<Rate>*	[1..1]	Rate		1099

3.4.11.24.17.11 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 <ScndLvlTax> contains one of the following elements (see RateAndAmountFormat41Choice on page 1097 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Rate <*Rate*>	[1..1]	Rate		1097
Or	NotSpecifiedRate <*NotSpcfdRate*>	[1..1]	CodeSet		1097
Or	Amount <*Amt*>	[1..1]	Amount	C1	1097
Or}	RateTypeAndRate <*RateTpAndRate*>	[1..1]			1098
	RateType <*RateTp*>	[1..1]			1098
{Or	Code <*Cd*>	[1..1]	CodeSet		1098
Or}	Proprietary <*Prtry*>	[1..1]	±		1099
	Rate <*Rate*>	[1..1]	Rate		1099

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 **CorporateActionPrice75** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	IndicativeOrMarketPrice <*IndctvOrMktPric*>	[0..1]			208
{Or	**IndicativePrice** <*IndctvPric*>	[1..1]	±		209
Or}	**MarketPrice** <*MktPric*>	[1..1]	±		209
	CashInLieuOfSharePrice <*CshInLieuOfShrPric*>	[0..1]	±		209
	CashValueForTax <*CshValForTax*>	[0..1]	±		210
	GenericCashPricePaidPerProduct <*GncCshPricPdPerPdct*>	[0..1]	±		210
	GenericCashPriceReceivedPerProduct <*GncCshPricRcvdPerPdct*>	[0..1]	±		210

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
IndicativeOrMarketPrice7Choice elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	**IndicativePrice** *<IndctvPric>*	[1..1]	±		209
Or}	**MarketPrice** *<MktPric>*	[1..1]	±		209

3.4.11.24.18.1.1 IndicativePrice <IndctvPric>

Presence: [1..1]

Definition: Estimated price, for example, for valuation purposes.

IndicativePrice <IndctvPric> contains one of the following elements (see <u>PriceFormat45Choice on page 1182</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice *<PctgPric>*	[1..1]			1182
	PercentagePriceType *<PctgPricTp>*	[1..1]	CodeSet		1183
	PriceValue *<PricVal>*	[1..1]	Rate		1183
Or	AmountPrice *<AmtPric>*	[1..1]	±		1183
Or}	NotSpecifiedPrice *<NotSpcfdPric>*	[1..1]	CodeSet		1183

3.4.11.24.18.1.2 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 <u>PriceFormat45Choice on page 1182</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice *<PctgPric>*	[1..1]			1182
	PercentagePriceType *<PctgPricTp>*	[1..1]	CodeSet		1183
	PriceValue *<PricVal>*	[1..1]	Rate		1183
Or	AmountPrice *<AmtPric>*	[1..1]	±		1183
Or}	NotSpecifiedPrice *<NotSpcfdPric>*	[1..1]	CodeSet		1183

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
PriceFormat45Choice on page 1182 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <*PctgPric*>	[1..1]			1182
	PercentagePriceType <*PctgPricTp*>	[1..1]	CodeSet		1183
	PriceValue <*PricVal*>	[1..1]	Rate		1183
Or	AmountPrice <*AmtPric*>	[1..1]	±		1183
Or}	NotSpecifiedPrice <*NotSpcfdPric*>	[1..1]	CodeSet		1183

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
PriceFormat46Choice on page 1181 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	AmountPrice <*AmtPric*>	[1..1]	±		1182
Or}	NotSpecifiedPrice <*NotSpcfdPric*>	[1..1]	CodeSet		1182

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 PriceFormat44Choice on page 1184 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <*PctgPric*>	[1..1]			1184
	PercentagePriceType <*PctgPricTp*>	[1..1]	CodeSet		1184
	PriceValue <*PricVal*>	[1..1]	Rate		1185
Or	AmountPrice <*AmtPric*>	[1..1]	±		1185
Or	NotSpecifiedPrice <*NotSpcfdPric*>	[1..1]	CodeSet		1185
Or}	IndexPoints <*IndxPts*>	[1..1]	Quantity		1185

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 PriceFormat65Choice on page 1172 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <*PctgPric*>	[1..1]			1173
	PercentagePriceType <*PctgPricTp*>	[1..1]	CodeSet		1173
	PriceValue <*PricVal*>	[1..1]	Rate		1174
Or	AmountPrice <*AmtPric*>	[1..1]	±		1174
Or	NotSpecifiedPrice <*NotSpcfdPric*>	[1..1]	CodeSet		1174
Or	AmountPricePerFinancialInstrumentQuantity <*AmtPricPerFinInstrmQty*>	[1..1]			1174
	AmountPriceType <*AmtPricTp*>	[1..1]	CodeSet		1175
	PriceValue <*PricVal*>	[1..1]	Amount	C1	1175
	FinancialInstrumentQuantity <*FinInstrmQty*>	[1..1]	±	C6	1175
Or	AmountPricePerAmount <*AmtPricPerAmt*>	[1..1]			1176
	AmountPriceType <*AmtPricTp*>	[1..1]	CodeSet		1176
	PriceValue <*PricVal*>	[1..1]	Amount	C1	1176
	Amount <*Amt*>	[1..1]	Amount	C1	1177
Or}	IndexPoints <*IndxPts*>	[1..1]	Quantity		1177

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 **CorporateActionAmounts60** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	WithholdingTaxAmount <*WhldgTaxAmt*>	[0..1]	Amount	C1, C17	211
	SecondLevelTaxAmount <*ScndLvlTaxAmt*>	[0..1]	Amount	C1, C17	212

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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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 <CshMvmntDtls>

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 **CashOption83** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		218
	ContractualPaymentIndicator <CtrctlPmtInd>	[0..1]	CodeSet		218
	NonEligibleProceedsIndicator <NonElgblPrcdsInd>	[0..1]	±		219
	IssuerOfferorTaxabilityIndicator <IssrOfferrTaxbltyInd>	[0..1]	±		219
	IncomeType <IncmTp>	[0..1]	±		219
	OtherIncomeType <OthrIncmTp>	[0..*]	±		219
	ExemptionType <XmptnTp>	[0..*]	±		220
	CountryOfIncomeSource <CtryOfIncmSrc>	[0..1]	CodeSet	C16	220
	CashAccountIdentification <CshAcctId>	[0..1]	±		220
	AmountDetails <AmtDtls>	[0..1]			221
	GrossCashAmount <GrssCshAmt>	[0..1]	Amount	C1, C17	224
	NetCashAmount <NetCshAmt>	[0..1]	Amount	C1, C17	224
	SolicitationFees <SlctnFees>	[0..1]	Amount	C1, C17	225
	CashInLieuOfShare <CshInLieuOfShr>	[0..1]	Amount	C1, C17	226
	CapitalGain <CptlGn>	[0..1]	Amount	C1, C17	227
	InterestAmount <IntrstAmt>	[0..1]	Amount	C1, C17	227
	IndemnityAmount <IndmntyAmt>	[0..1]	Amount	C1, C17	228
	ManufacturedDividendPaymentAmount <ManfctrdDvddPmtAmt>	[0..1]	Amount	C1, C17	229
	ReinvestmentAmount <RinvstmtAmt>	[0..1]	Amount	C1, C17	230
	FullyFrankedAmount <FullyFrnkdAmt>	[0..1]	Amount	C1, C17	230
	UnfrankedAmount <UfrnkdAmt>	[0..1]	Amount	C1, C17	231
	SundryOrOtherAmount <SndryOrOthrAmt>	[0..1]	Amount	C1, C17	232
	TaxFreeAmount <TaxFreeAmt>	[0..1]	Amount	C1, C17	232
	TaxDeferredAmount <TaxDfrrdAmt>	[0..1]	Amount	C1, C17	233
	ValueAddedTaxAmount <ValAddedTaxAmt>	[0..1]	Amount	C1, C17	234

Or	MessageElement *<XML Tag>*	Mult.	Type	Constr. No.	Page
	StampDutyAmount *<StmpDtyAmt>*	[0..1]	Amount	C1, C17	235
	TaxReclaimAmount *<TaxRclmAmt>*	[0..1]	Amount	C1, C17	235
	TaxCreditAmount *<TaxCdtAmt>*	[0..1]	Amount	C1, C17	236
	AdditionalTaxAmount *<AddtlTaxAmt>*	[0..1]	Amount	C1, C17	237
	WithholdingTaxAmount *<WhldgTaxAmt>*	[0..1]	Amount	C1, C17	237
	SecondLevelTaxAmount *<ScndLvlTaxAmt>*	[0..1]	Amount	C1, C17	238
	FiscalStampAmount *<FsclStmpAmt>*	[0..1]	Amount	C1, C17	239
	ExecutingBrokerAmount *<ExctgBrkrAmt>*	[0..1]	Amount	C1, C17	240
	PayingAgentCommissionAmount *<PngAgtComssnAmt>*	[0..1]	Amount	C1, C17	240
	LocalBrokerCommissionAmount *<LclBrkrComssnAmt>*	[0..1]	Amount	C1, C17	241
	RegulatoryFeesAmount *<RgltryFeesAmt>*	[0..1]	Amount	C1, C17	242
	ShippingFeesAmount *<ShppgFeesAmt>*	[0..1]	Amount	C1, C17	242
	ChargesAmount *<ChrgsAmt>*	[0..1]	Amount	C1, C17	243
	EntitledAmount *<EntitldAmt>*	[0..1]	Amount	C1, C17	244
	OriginalAmount *<OrgnlAmt>*	[0..1]	Amount	C1, C17	245
	PrincipalOrCorpus *<PrncplOrCrps>*	[0..1]	Amount	C1, C17	245
	RedemptionPremiumAmount *<RedPrmAmt>*	[0..1]	Amount	C1, C17	246
	IncomePortion *<IncmPrtn>*	[0..1]	Amount	C1, C17	247
	StockExchangeTax *<StockXchgTax>*	[0..1]	Amount	C1, C17	247
	EUTaxRetentionAmount *<EUTaxRtntnAmt>*	[0..1]	Amount	C1, C17	248
	AccruedInterestAmount *<AcrdIntrstAmt>*	[0..1]	Amount	C1, C17	249
	EqualisationAmount *<EqulstnAmt>*	[0..1]	Amount	C1, C17	250

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	FATCATaxAmount *<FATCATaxAmt>*	[0..1]	Amount	C1, C17	250
	NRATaxAmount *<NRATaxAmt>*	[0..1]	Amount	C1, C17	251
	BackUpWithholdingTaxAmount *<BckUpWhldgTaxAmt>*	[0..1]	Amount	C1, C17	252
	TaxOnIncomeAmount *<TaxOnIncmAmt>*	[0..1]	Amount	C1, C17	252
	TransactionTax *<TxTax>*	[0..1]	Amount	C1, C17	253
	DeemedAmount *<DmdAmt>*	[0..1]	Amount	C1, C17	254
	ForeignIncomeAmount *<FrgnIncmAmt>*	[0..1]	Amount	C1, C17	255
	DeemedDividendAmount *<DmdDvddAmt>*	[0..1]	Amount	C1, C17	255
	DeemedFundAmount *<DmdFndAmt>*	[0..1]	Amount	C1, C17	256
	DeemedInterestAmount *<DmdIntrstAmt>*	[0..1]	Amount	C1, C17	257
	DeemedRoyaltiesAmount *<DmdRyltsAmt>*	[0..1]	Amount	C1, C17	257
	DateDetails *<DtDtls>*	[1..1]			258
	PaymentDate *<PmtDt>*	[1..1]	±		258
	ValueDate *<ValDt>*	[0..1]	±		259
	ForeignExchangeRateFixingDate *<FXRateFxgDt>*	[0..1]	±		259
	EarliestPaymentDate *<EarlstPmtDt>*	[0..1]	±		259
	ForeignExchangeDetails *<FXDtls>*	[0..1]	±		260
	RateAndAmountDetails *<RateAndAmtDtls>*	[0..1]		C20, C21, C49, C51, C84, C86, C109, C111, C113, C118, C120	260
	AdditionalTax *<AddtlTax>*	[0..1]	±		264
	GrossDividendRate *<GrssDvddRate>*	[0..*]	±		264
	InterestRateUsedForPayment *<IntrstRateUsdForPmt>*	[0..*]	±		265
	WithholdingTaxRate *<WhldgTaxRate>*	[0..*]	±		266

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	SecondLevelTax <*ScndLvlTax*>	[0..*]	±		266
	ChargesFees <*ChrgsFees*>	[0..1]	±		267
	EarlySolicitationFeeRate <*EarlySlctnFeeRate*>	[0..1]	±		267
	FiscalStamp <*FsclStmp*>	[0..1]	±		268
	ThirdPartyIncentiveRate <*ThrdPtyIncntivRate*>	[0..1]	±		268
	NetDividendRate <*NetDvddRate*>	[0..*]	±		268
	ApplicableRate <*AplblRate*>	[0..1]	±		269
	SolicitationFeeRate <*SlctnFeeRate*>	[0..1]	±		269
	TaxCreditRate <*TaxCdtRate*>	[0..1]	±		270
	TaxOnIncome <*TaxOnIncm*>	[0..1]	±		270
	TaxOnProfits <*TaxOnPrfts*>	[0..1]	±		270
	TaxReclaimRate <*TaxRclmRate*>	[0..1]	±		271
	EqualisationRate <*EqulstnRate*>	[0..1]	±		271
	DeemedRate <*DmdRate*>	[0..*]	±		271
	PriceDetails <*PricDtls*>	[0..1]		C47	272
	GenericCashPricePaidPerProduct <*GncCshPricPdPerPdct*>	[0..1]	±		273
	GenericCashPriceReceivedPerProduct <*GncCshPricRcvdPerPdct*>	[0..1]	±		273
	CashInLieuOfSharePrice <*CshInLieuOfShrPric*>	[0..1]	±		274

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.

  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.

  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.

3.4.11.25.1 CreditDebitIndicator <CdtDbtInd>

Presence: [1..1]

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

Datatype: <u>CreditDebitCode on page 1319</u>

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: <u>Payment2Code on page 1339</u>

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 <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 NonEligibleProceedsIndicator3Choice on page 1093 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Code <*Cd*>	[1..1]	CodeSet		1093
Or}	Proprietary <*Prtry*>	[1..1]	±		1093

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 1071 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Code <*Cd*>	[1..1]	CodeSet		1072
Or}	Proprietary <*Prtry*>	[1..1]	±		1072

3.4.11.25.5 IncomeType <IncmTp>

Presence: [0..1]

Definition: Specifies the type of income.

IncomeType <IncmTp> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

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 GenericIdentification30 on page 965 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

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 GenericIdentification30 on page 965 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

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 1318

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
CashAccountIdentification5Choice on page 916 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	IBAN *<IBAN>*	[1..1]	IdentifierSet	C17	916
Or}	Proprietary *<Prtry>*	[1..1]	Text		917

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 **CorporateActionAmounts54** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	GrossCashAmount <GrssCshAmt>	[0..1]	Amount	C1, C17	224
	NetCashAmount <NetCshAmt>	[0..1]	Amount	C1, C17	224
	SolicitationFees <SlctnFees>	[0..1]	Amount	C1, C17	225
	CashInLieuOfShare <CshInLieuOfShr>	[0..1]	Amount	C1, C17	226
	CapitalGain <CptlGn>	[0..1]	Amount	C1, C17	227
	InterestAmount <IntrstAmt>	[0..1]	Amount	C1, C17	227
	IndemnityAmount <IndmntyAmt>	[0..1]	Amount	C1, C17	228
	ManufacturedDividendPaymentAmount <ManfctrdDvddPmtAmt>	[0..1]	Amount	C1, C17	229
	ReinvestmentAmount <RinvstmtAmt>	[0..1]	Amount	C1, C17	230
	FullyFrankedAmount <FullyFrnkdAmt>	[0..1]	Amount	C1, C17	230
	UnfrankedAmount <UfrnkdAmt>	[0..1]	Amount	C1, C17	231
	SundryOrOtherAmount <SndryOrOthrAmt>	[0..1]	Amount	C1, C17	232
	TaxFreeAmount <TaxFreeAmt>	[0..1]	Amount	C1, C17	232
	TaxDeferredAmount <TaxDfrrdAmt>	[0..1]	Amount	C1, C17	233
	ValueAddedTaxAmount <ValAddedTaxAmt>	[0..1]	Amount	C1, C17	234
	StampDutyAmount <StmpDtyAmt>	[0..1]	Amount	C1, C17	235
	TaxReclaimAmount <TaxRclmAmt>	[0..1]	Amount	C1, C17	235
	TaxCreditAmount <TaxCdtAmt>	[0..1]	Amount	C1, C17	236
	AdditionalTaxAmount <AddtlTaxAmt>	[0..1]	Amount	C1, C17	237
	WithholdingTaxAmount <WhldgTaxAmt>	[0..1]	Amount	C1, C17	237
	SecondLevelTaxAmount <ScndLvlTaxAmt>	[0..1]	Amount	C1, C17	238
	FiscalStampAmount <FsclStmpAmt>	[0..1]	Amount	C1, C17	239

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ExecutingBrokerAmount <*ExctgBrkrAmt*>	[0..1]	Amount	C1, C17	240
	PayingAgentCommissionAmount <*PngAgtComssnAmt*>	[0..1]	Amount	C1, C17	240
	LocalBrokerCommissionAmount <*LclBrkrComssnAmt*>	[0..1]	Amount	C1, C17	241
	RegulatoryFeesAmount <*RgltryFeesAmt*>	[0..1]	Amount	C1, C17	242
	ShippingFeesAmount <*ShppgFeesAmt*>	[0..1]	Amount	C1, C17	242
	ChargesAmount <*ChrgsAmt*>	[0..1]	Amount	C1, C17	243
	EntitledAmount <*EntitldAmt*>	[0..1]	Amount	C1, C17	244
	OriginalAmount <*OrgnlAmt*>	[0..1]	Amount	C1, C17	245
	PrincipalOrCorpus <*PrncplOrCrps*>	[0..1]	Amount	C1, C17	245
	RedemptionPremiumAmount <*RedPrmAmt*>	[0..1]	Amount	C1, C17	246
	IncomePortion <*IncmPrtn*>	[0..1]	Amount	C1, C17	247
	StockExchangeTax <*StockXchgTax*>	[0..1]	Amount	C1, C17	247
	EUTaxRetentionAmount <*EUTaxRtntnAmt*>	[0..1]	Amount	C1, C17	248
	AccruedInterestAmount <*AcrdIntrstAmt*>	[0..1]	Amount	C1, C17	249
	EqualisationAmount <*EqulstnAmt*>	[0..1]	Amount	C1, C17	250
	FATCATaxAmount <*FATCATaxAmt*>	[0..1]	Amount	C1, C17	250
	NRATaxAmount <*NRATaxAmt*>	[0..1]	Amount	C1, C17	251
	BackUpWithholdingTaxAmount <*BckUpWhldgTaxAmt*>	[0..1]	Amount	C1, C17	252
	TaxOnIncomeAmount <*TaxOnIncmAmt*>	[0..1]	Amount	C1, C17	252
	TransactionTax <*TxTax*>	[0..1]	Amount	C1, C17	253
	DeemedAmount <*DmdAmt*>	[0..1]	Amount	C1, C17	254
	ForeignIncomeAmount <*FrgnIncmAmt*>	[0..1]	Amount	C1, C17	255

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DeemedDividendAmount <DmdDvddAmt>	[0..1]	Amount	C1, C17	255
	DeemedFundAmount <DmdFndAmt>	[0..1]	Amount	C1, C17	256
	DeemedInterestAmount <DmdIntrstAmt>	[0..1]	Amount	C1, C17	257
	DeemedRoyaltiesAmount <DmdRyltsAmt>	[0..1]	Amount	C1, C17	257

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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

– *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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 <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   ,   C17 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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 <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　　,　　C17 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

– *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

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

Note: 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 <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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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 <FsclStmpAmt>

Presence: [0..1]

Definition: Amount of fiscal tax to apply.

Impacted by: C1 ActiveCurrency   ,   C17 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 1269

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

– *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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 <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   ,   C17 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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 <EUTaxRtntnAmt>

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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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 <EqulstnAmt>

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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

– *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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: <u>ActiveCurrencyAndAmount on page 1269</u>

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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 <DtDtls>

Presence: [1..1]

Definition: Provides information about the dates related to a cash movement.

DateDetails <DtDtls> contains the following **CorporateActionDate84** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	PaymentDate <*PmtDt*>	[1..1]	±		258
	ValueDate <*ValDt*>	[0..1]	±		259
	ForeignExchangeRateFixingDate <*FXRateFxgDt*>	[0..1]	±		259
	EarliestPaymentDate <*EarlstPmtDt*>	[0..1]	±		259

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 <u>DateFormat30Choice on page 929</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Date *<Dt>*	[1..1]	Date		929
Or}	DateCode *<DtCd>*	[1..1]			929
{Or	Code *<Cd>*	[1..1]	CodeSet		929
Or}	Proprietary *<Prtry>*	[1..1]	±		930

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 <u>DateFormat57Choice on page 931</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Date *<Dt>*	[1..1]	Date		932
Or}	DateCode *<DtCd>*	[1..1]			932
{Or	Code *<Cd>*	[1..1]	CodeSet		932
Or}	Proprietary *<Prtry>*	[1..1]	±		932

3.4.11.25.11.3 ForeignExchangeRateFixingDate <FXRateFxgDt>

Presence: [0..1]

Definition: Date/time at which a foreign exchange rate will be determined.

ForeignExchangeRateFixingDate <FXRateFxgDt> contains one of the following elements (see <u>DateFormat43Choice on page 936</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Date *<Dt>*	[1..1]	±		936
Or}	DateCode *<DtCd>*	[1..1]			936
{Or	Code *<Cd>*	[1..1]	CodeSet		936
Or}	Proprietary *<Prtry>*	[1..1]	±		937

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
<u>DateFormat30Choice on page 929</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Date *<Dt>*	[1..1]	Date		929
Or}	DateCode *<DtCd>*	[1..1]			929
{Or	Code *<Cd>*	[1..1]	CodeSet		929
Or}	Proprietary *<Prtry>*	[1..1]	±		930

3.4.11.25.12 ForeignExchangeDetails <FXDtls>

Presence: [0..1]

Definition: Exchange rate between the amount and the resulting amount.

ForeignExchangeDetails <FXDtls> contains the following elements (see <u>ForeignExchangeTerms24</u>
<u>on page 957</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	UnitCurrency *<UnitCcy>*	[1..1]	CodeSet	C1	957
	QuotedCurrency *<QtdCcy>*	[1..1]	CodeSet	C1	957
	ExchangeRate *<XchgRate>*	[1..1]	Rate		958
	ResultingAmount *<RsltgAmt>*	[0..1]	Amount	C1, C11	958

3.4.11.25.13 RateAndAmountDetails <RateAndAmtDtls>

Presence: [0..1]

Definition: Provides information about the corporate action option.

Impacted by: <u>C20 DeemedRate1Rule</u>, <u>C21 DeemedRate2Rule</u>, <u>C49 GrossDividendRate2Rule</u>, <u>C51</u>
<u>GrossDividendRate3Rule</u>, <u>C84 NetDividendRate1Rule</u>, <u>C86 NetDividendRate2Rule</u>, <u>C109</u>
<u>SecondLevelTax1Rule</u>, <u>C111 SecondLevelTax2Rule</u>, <u>C113 SecondLevelTax3Rule</u>, <u>C118</u>
<u>WithholdingTaxRate1Rule</u>, <u>C120 WithholdingTaxRate2Rule</u>

RateAndAmountDetails <RateAndAmtDtls> contains the following **Rate36** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	AdditionalTax *<AddtlTax>*	[0..1]	±		264
	GrossDividendRate *<GrssDvddRate>*	[0..*]	±		264
	InterestRateUsedForPayment *<IntrstRateUsdForPmt>*	[0..*]	±		265
	WithholdingTaxRate *<WhldgTaxRate>*	[0..*]	±		266
	SecondLevelTax *<ScndLvlTax>*	[0..*]	±		266
	ChargesFees *<ChrgsFees>*	[0..1]	±		267
	EarlySolicitationFeeRate *<EarlySlctnFeeRate>*	[0..1]	±		267
	FiscalStamp *<FsclStmp>*	[0..1]	±		268
	ThirdPartyIncentiveRate *<ThrdPtyIncntivRate>*	[0..1]	±		268
	NetDividendRate *<NetDvddRate>*	[0..*]	±		268
	ApplicableRate *<AplblRate>*	[0..1]	±		269
	SolicitationFeeRate *<SlctnFeeRate>*	[0..1]	±		269
	TaxCreditRate *<TaxCdtRate>*	[0..1]	±		270
	TaxOnIncome *<TaxOnIncm>*	[0..1]	±		270
	TaxOnProfits *<TaxOnPrfts>*	[0..1]	±		270
	TaxReclaimRate *<TaxRclmRate>*	[0..1]	±		271
	EqualisationRate *<EqulstnRate>*	[0..1]	±		271
	DeemedRate *<DmdRate>*	[0..*]	±		271

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 RateAndAmountFormat37Choice on page 1230 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Rate *<Rate>*	[1..1]	Rate		1230
Or	NotSpecifiedRate *<NotSpcfdRate>*	[1..1]	CodeSet		1230
Or}	Amount *<Amt>*	[1..1]	Amount	C1	1230

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 GrossDividendRateFormat38Choice on page 1011 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Amount *<Amt>*	[1..1]	Amount	C1	1011
Or	AmountAndRateStatus *<AmtAndRateSts>*	[1..1]			1012
	Amount *<Amt>*	[1..1]	Amount	C1	1012
	RateStatus *<RateSts>*	[1..1]	CodeSet		1012
Or	RateTypeAndAmountAndRateStatus *<RateTpAndAmtAndRateSts>*	[1..1]			1013
	RateType *<RateTp>*	[1..1]			1013
{Or	Code *<Cd>*	[1..1]	CodeSet		1013
Or}	Proprietary *<Prtry>*	[1..1]	±		1014
	Amount *<Amt>*	[1..1]	Amount	C1	1014
	RateStatus *<RateSts>*	[0..1]		C61	1015
{Or	Code *<Cd>*	[1..1]	CodeSet		1015
Or}	Proprietary *<Prtry>*	[1..1]	±		1015
Or}	NotSpecifiedRate *<NotSpcfdRate>*	[1..1]	CodeSet		1016

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
InterestRateUsedForPaymentFormat8Choice on page 1099 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1099
Or	Amount <Amt>	[1..1]	Amount	C1	1100
Or	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1100
	RateType <RateTp>	[1..1]			1100
{Or	Code <Cd>	[1..1]	CodeSet		1101
Or}	Proprietary <Prtry>	[1..1]	±		1101
	Amount <Amt>	[1..1]	Amount	C1	1101
	RateStatus <RateSts>	[0..1]		C61	1102
{Or	Code <Cd>	[1..1]	CodeSet		1102
Or}	Proprietary <Prtry>	[1..1]	±		1102
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1103

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
RateAndAmountFormat41Choice on page 1097 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1097
Or	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1097
Or	Amount <Amt>	[1..1]	Amount	C1	1097
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			1098
	RateType <RateTp>	[1..1]			1098
{Or	Code <Cd>	[1..1]	CodeSet		1098
Or}	Proprietary <Prtry>	[1..1]	±		1099
	Rate <Rate>	[1..1]	Rate		1099

3.4.11.25.13.5 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 <ScndLvlTax> contains one of the following elements (see RateAndAmountFormat41Choice on page 1097 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Rate <*Rate*>	[1..1]	Rate		1097
Or	NotSpecifiedRate <*NotSpcfdRate*>	[1..1]	CodeSet		1097
Or	Amount <*Amt*>	[1..1]	Amount	C1	1097
Or}	RateTypeAndRate <*RateTpAndRate*>	[1..1]			1098
	RateType <*RateTp*>	[1..1]			1098
{Or	Code <*Cd*>	[1..1]	CodeSet		1098
Or}	Proprietary <*Prtry*>	[1..1]	±		1099
	Rate <*Rate*>	[1..1]	Rate		1099

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 RateAndAmountFormat37Choice on page 1230 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Rate <*Rate*>	[1..1]	Rate		1230
Or	NotSpecifiedRate <*NotSpcfdRate*>	[1..1]	CodeSet		1230
Or}	Amount <*Amt*>	[1..1]	Amount	C1	1230

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 SolicitationFeeRateFormat7Choice on page 1085 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1085
Or	AmountToQuantity <AmtToQty>	[1..1]			1085
	Amount <Amt>	[1..1]	Amount	C1	1086
	Quantity <Qty>	[1..1]	Quantity		1086
Or	Amount <Amt>	[1..1]	Amount	C1	1086
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1087

3.4.11.25.13.8 FiscalStamp <FsclStmp>

Presence: [0..1]

Definition: Percentage of fiscal tax to apply.

FiscalStamp <FsclStmp> contains one of the following elements (see RateFormat3Choice on page 1197 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1197
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1197

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 RateFormat20Choice on page 1227 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1227
Or	Amount <Amt>	[1..1]	Amount	C1	1227
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1228

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 NetDividendRateFormat39Choice on page 1006 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C1	1006
Or	AmountAndRateStatus <AmtAndRateSts>	[1..1]			1007
	Amount <Amt>	[1..1]	Amount	C1	1007
	RateStatus <RateSts>	[1..1]	CodeSet		1007
Or	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1007
	RateType <RateTp>	[1..1]			1008
{Or	Code <Cd>	[1..1]	CodeSet		1008
Or}	Proprietary <Prtry>	[1..1]	±		1009
	Amount <Amt>	[1..1]	Amount	C1	1009
	RateStatus <RateSts>	[0..1]		C61	1010
{Or	Code <Cd>	[1..1]	CodeSet		1010
Or}	Proprietary <Prtry>	[1..1]	±		1010
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1011

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 1197 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1197
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1197

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 SolicitationFeeRateFormat7Choice on page 1085 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Rate <*Rate*>	[1..1]	Rate		1085
Or	AmountToQuantity <*AmtToQty*>	[1..1]			1085
	Amount <*Amt*>	[1..1]	Amount	C1	1086
	Quantity <*Qty*>	[1..1]	Quantity		1086
Or	Amount <*Amt*>	[1..1]	Amount	C1	1086
Or}	NotSpecifiedRate <*NotSpcfdRate*>	[1..1]	CodeSet		1087

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 RateFormat20Choice on page 1227 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Rate <*Rate*>	[1..1]	Rate		1227
Or	Amount <*Amt*>	[1..1]	Amount	C1	1227
Or}	NotSpecifiedRate <*NotSpcfdRate*>	[1..1]	CodeSet		1228

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 RateAndAmountFormat37Choice on page 1230 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Rate <*Rate*>	[1..1]	Rate		1230
Or	NotSpecifiedRate <*NotSpcfdRate*>	[1..1]	CodeSet		1230
Or}	Amount <*Amt*>	[1..1]	Amount	C1	1230

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 1197 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Rate *<Rate>*	[1..1]	Rate		1197
Or}	NotSpecifiedRate *<NotSpcfdRate>*	[1..1]	CodeSet		1197

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 1197 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Rate *<Rate>*	[1..1]	Rate		1197
Or}	NotSpecifiedRate *<NotSpcfdRate>*	[1..1]	CodeSet		1197

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 RateAndAmountFormat42Choice on page 1226 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Amount *<Amt>*	[1..1]	Amount	C1	1226
Or}	NotSpecifiedRate *<NotSpcfdRate>*	[1..1]	CodeSet		1227

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
RateAndAmountFormat51Choice 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	1209
Or	NotSpecifiedRate <*NotSpcfdRate*>	[1..1]	CodeSet		1209
Or	RateTypeAndAmountAndRateStatus <*RateTpAndAmtAndRateSts*>	[1..1]			1209
	RateType <*RateTp*>	[1..1]			1210
{Or	Code <*Cd*>	[1..1]	CodeSet		1210
Or}	Proprietary <*Prtry*>	[1..1]	±		1210
	Amount <*Amt*>	[1..1]	Amount	C1	1211
	RateStatus <*RateSts*>	[0..1]		C61	1211
{Or	Code <*Cd*>	[1..1]	CodeSet		1212
Or}	Proprietary <*Prtry*>	[1..1]	±		1212
Or}	RateTypeAndRate <*RateTpAndRate*>	[1..1]			1212
	RateType <*RateTp*>	[1..1]			1212
{Or	Code <*Cd*>	[1..1]	CodeSet		1213
Or}	Proprietary <*Prtry*>	[1..1]	±		1213
	Rate <*Rate*>	[1..1]	Rate		1213

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 **PriceDetails31** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	GenericCashPricePaidPerProduct <*GncCshPricPdPerPdct*>	[0..1]	±		273
	GenericCashPriceReceivedPerProduct <*GncCshPricRcvdPerPdct*>	[0..1]	±		273
	CashInLieuOfSharePrice <*CshInLieuOfShrPric*>	[0..1]	±		274

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 PriceFormat44Choice on page 1184 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice *<PctgPric>*	[1..1]			1184
	PercentagePriceType *<PctgPricTp>*	[1..1]	CodeSet		1184
	PriceValue *<PricVal>*	[1..1]	Rate		1185
Or	AmountPrice *<AmtPric>*	[1..1]	±		1185
Or	NotSpecifiedPrice *<NotSpcfdPric>*	[1..1]	CodeSet		1185
Or}	IndexPoints *<IndxPts>*	[1..1]	Quantity		1185

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 PriceFormat65Choice on page 1172 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <*PctgPric*>	[1..1]			1173
	PercentagePriceType <*PctgPricTp*>	[1..1]	CodeSet		1173
	PriceValue <*PricVal*>	[1..1]	Rate		1174
Or	AmountPrice <*AmtPric*>	[1..1]	±		1174
Or	NotSpecifiedPrice <*NotSpcfdPric*>	[1..1]	CodeSet		1174
Or	AmountPricePerFinancialInstrumentQuantity <*AmtPricPerFinInstrmQty*>	[1..1]			1174
	AmountPriceType <*AmtPricTp*>	[1..1]	CodeSet		1175
	PriceValue <*PricVal*>	[1..1]	Amount	C1	1175
	FinancialInstrumentQuantity <*FinInstrmQty*>	[1..1]	±	C6	1175
Or	AmountPricePerAmount <*AmtPricPerAmt*>	[1..1]			1176
	AmountPriceType <*AmtPricTp*>	[1..1]	CodeSet		1176
	PriceValue <*PricVal*>	[1..1]	Amount	C1	1176
	Amount <*Amt*>	[1..1]	Amount	C1	1177
Or}	IndexPoints <*IndxPts*>	[1..1]	Quantity		1177

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 PriceFormat45Choice on page 1182 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <*PctgPric*>	[1..1]			1182
	PercentagePriceType <*PctgPricTp*>	[1..1]	CodeSet		1183
	PriceValue <*PricVal*>	[1..1]	Rate		1183
Or	AmountPrice <*AmtPric*>	[1..1]	±		1183
Or}	NotSpecifiedPrice <*NotSpcfdPric*>	[1..1]	CodeSet		1183

3.4.11.26 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Provides additional information.

Impacted by: C4 AdditionalInformationRule

AdditionalInformation <AddtlInf> contains the following **CorporateActionNarrative45** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	AdditionalText *<AddtlTxt>*	[0..*]	±		275
	NarrativeVersion *<NrrtvVrsn>*	[0..*]	±		275
	InformationConditions *<InfConds>*	[0..*]	±		276
	InformationToComplyWith *<InfToCmplyWth>*	[0..*]	±		276
	SecurityRestriction *<SctyRstrctn>*	[0..*]	±		276
	TaxationConditions *<TaxtnConds>*	[0..*]	±		277
	Disclaimer *<Dsclmr>*	[0..*]	±		277
	CertificationBreakdown *<CertfctnBrkdwn>*	[0..*]	±		277

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 <u>UpdatedAdditionalInformation12 on page 994</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Language *<Lang>*	[1..1]	CodeSet		994
	UpdateDescription *<UpdDesc>*	[0..1]	Text		994
	UpdateDate *<UpdDt>*	[0..1]	Date		994
	AdditionalInformation *<AddtlInf>*	[1..1]	Text		995

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 UpdatedAdditionalInformation12 on page 994 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Language <Lang>	[1..1]	CodeSet		994
	UpdateDescription <UpdDesc>	[0..1]	Text		994
	UpdateDate <UpdDt>	[0..1]	Date		994
	AdditionalInformation <AddtlInf>	[1..1]	Text		995

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 UpdatedAdditionalInformation11 on page 983 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Language <Lang>	[1..1]	CodeSet		983
	UpdateDescription <UpdDesc>	[0..1]	Text		983
	UpdateDate <UpdDt>	[0..1]	Date		983
	AdditionalInformation <AddtlInf>	[1..*]	Text		983

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 UpdatedAdditionalInformation11 on page 983 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Language <Lang>	[1..1]	CodeSet		983
	UpdateDescription <UpdDesc>	[0..1]	Text		983
	UpdateDate <UpdDt>	[0..1]	Date		983
	AdditionalInformation <AddtlInf>	[1..*]	Text		983

3.4.11.26.5 SecurityRestriction <SctyRstrctn>

Presence: [0..*]

Definition: Provides restriction(s) on securities.

SecurityRestriction <SctyRstrctn> contains the following elements (see UpdatedAdditionalInformation11 on page 983 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Language <*Lang*>	[1..1]	CodeSet		983
	UpdateDescription <*UpdDesc*>	[0..1]	Text		983
	UpdateDate <*UpdDt*>	[0..1]	Date		983
	AdditionalInformation <*AddtlInf*>	[1..*]	Text		983

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 UpdatedAdditionalInformation11 on page 983 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Language <*Lang*>	[1..1]	CodeSet		983
	UpdateDescription <*UpdDesc*>	[0..1]	Text		983
	UpdateDate <*UpdDt*>	[0..1]	Date		983
	AdditionalInformation <*AddtlInf*>	[1..*]	Text		983

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 UpdatedAdditionalInformation11 on page 983 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Language <*Lang*>	[1..1]	CodeSet		983
	UpdateDescription <*UpdDesc*>	[0..1]	Text		983
	UpdateDate <*UpdDt*>	[0..1]	Date		983
	AdditionalInformation <*AddtlInf*>	[1..*]	Text		983

3.4.11.26.8 CertificationBreakdown <CertfctnBrkdwn>

Presence: [0..*]

Definition: Provides additional information about the type of certification/breakdown required.

CertificationBreakdown <Certfctnbrkdwn> contains the following elements (see UpdatedAdditionalInformation11 on page 983 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Language *<Lang>*	[1..1]	CodeSet		983
	UpdateDescription *<UpdDesc>*	[0..1]	Text		983
	UpdateDate *<UpdDt>*	[0..1]	Date		983
	AdditionalInformation *<AddtlInf>*	[1..*]	Text		983

3.4.12   AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information on the event.

Impacted by: C5 AdditionalInformationRule

AdditionalInformation <AddtlInf> contains the following **CorporateActionNarrative51** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	AdditionalText *<AddtlTxt>*	[0..*]	±	C6	279
	NarrativeVersion *<NrrtvVrsn>*	[0..*]	±	C6	279
	InformationConditions *<InfConds>*	[0..*]	±	C6	280
	InformationToComplyWith *<InfToCmplyWth>*	[0..*]	±	C6	280
	TaxationConditions *<TaxtnConds>*	[0..*]	±	C6	281
	Disclaimer *<Dsclmr>*	[0..*]	±	C6	281
	PartyContactNarrative *<PtyCtctNrrtv>*	[0..*]	±	C6	282
	RegistrationDetails *<RegnDtls>*	[0..*]	±	C6	282
	BasketOrIndexInformation *<BsktOrIndxInf>*	[0..*]	±	C6	283
	CertificationBreakdown *<CertfctnBrkdwn>*	[0..*]	±	C6	283
	URLAddress *<URLAdr>*	[0..*]	±		284
	ProcessingTextForNextIntermediary *<PrcgTxtForNxtIntrmy>*	[0..*]	±	C6	284

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 <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.

Impacted by: C6 AdditionalInformationRule

AdditionalText <AddtlTxt> contains the following elements (see UpdatedAdditionalInformation13 on page 993 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Language <Lang>	[1..1]	CodeSet		993
	UpdateDescription <UpdDesc>	[0..1]	Text		994
	UpdateDate <UpdDt>	[0..1]	Date		994
	AdditionalInformation <AddtlInf>	[1..*]	Text		994

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 UpdatedAdditionalInformation13 on page 993 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Language <Lang>	[1..1]	CodeSet		993
	UpdateDescription <UpdDesc>	[0..1]	Text		994
	UpdateDate <UpdDt>	[0..1]	Date		994
	AdditionalInformation <AddtlInf>	[1..*]	Text		994

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 UpdatedAdditionalInformation13 on page 993 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Language *<Lang>*	[1..1]	CodeSet		993
	UpdateDescription *<UpdDesc>*	[0..1]	Text		994
	UpdateDate *<UpdDt>*	[0..1]	Date		994
	AdditionalInformation *<AddtlInf>*	[1..*]	Text		994

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 UpdatedAdditionalInformation13 on page 993 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Language *<Lang>*	[1..1]	CodeSet		993
	UpdateDescription *<UpdDesc>*	[0..1]	Text		994
	UpdateDate *<UpdDt>*	[0..1]	Date		994
	AdditionalInformation *<AddtlInf>*	[1..*]	Text		994

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 UpdatedAdditionalInformation13 on page 993 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Language <Lang>	[1..1]	CodeSet		993
	UpdateDescription <UpdDesc>	[0..1]	Text		994
	UpdateDate <UpdDt>	[0..1]	Date		994
	AdditionalInformation <AddtlInf>	[1..*]	Text		994

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 UpdatedAdditionalInformation13 on page 993 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Language <Lang>	[1..1]	CodeSet		993
	UpdateDescription <UpdDesc>	[0..1]	Text		994
	UpdateDate <UpdDt>	[0..1]	Date		994
	AdditionalInformation <AddtlInf>	[1..*]	Text		994

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 UpdatedAdditionalInformation13 on page 993 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Language *<Lang>*	[1..1]	CodeSet		993
	UpdateDescription *<UpdDesc>*	[0..1]	Text		994
	UpdateDate *<UpdDt>*	[0..1]	Date		994
	AdditionalInformation *<AddtlInf>*	[1..*]	Text		994

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 <RegnDtls>

Presence: [0..*]

Definition: Provides information required for the registration.

Impacted by: C6 AdditionalInformationRule

RegistrationDetails <RegnDtls> contains the following elements (see UpdatedAdditionalInformation13 on page 993 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Language *<Lang>*	[1..1]	CodeSet		993
	UpdateDescription *<UpdDesc>*	[0..1]	Text		994
	UpdateDate *<UpdDt>*	[0..1]	Date		994
	AdditionalInformation *<AddtlInf>*	[1..*]	Text		994

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 UpdatedAdditionalInformation13 on page 993 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Language <Lang>	[1..1]	CodeSet		993
	UpdateDescription <UpdDesc>	[0..1]	Text		994
	UpdateDate <UpdDt>	[0..1]	Date		994
	AdditionalInformation <AddtlInf>	[1..*]	Text		994

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 UpdatedAdditionalInformation13 on page 993 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Language <Lang>	[1..1]	CodeSet		993
	UpdateDescription <UpdDesc>	[0..1]	Text		994
	UpdateDate <UpdDt>	[0..1]	Date		994
	AdditionalInformation <AddtlInf>	[1..*]	Text		994

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 UpdatedURLInformation4 on page 983 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Language *<Lang>*	[1..1]	CodeSet		984
	UpdateDescription *<UpdDesc>*	[0..1]	Text		984
	UpdateDate *<UpdDt>*	[0..1]	Date		984
	URLAddress *<URLAdr>*	[1..1]	Text		984

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 UpdatedAdditionalInformation13 on page 993 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Language *<Lang>*	[1..1]	CodeSet		993
	UpdateDescription *<UpdDesc>*	[0..1]	Text		994
	UpdateDate *<UpdDt>*	[0..1]	Date		994
	AdditionalInformation *<AddtlInf>*	[1..*]	Text		994

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/offeror. The party may be contacted for more information about the event.

IssuerAgent <IssrAgt> contains one of the following elements (see PartyIdentification129Choice on page 1144 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <*AnyBIC*>	[1..1]	IdentifierSet	C1	1144
Or	ProprietaryIdentification <*PrtryId*>	[1..1]	±		1144
Or	NameAndAddress <*NmAndAdr*>	[1..1]	±		1145
Or}	LEI <*LEI*>	[1..1]	IdentifierSet		1145

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/offeror.

PayingAgent <PngAgt> contains one of the following elements (see PartyIdentification120Choice on page 1143 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <*AnyBIC*>	[1..1]	IdentifierSet	C1	1143
Or	ProprietaryIdentification <*PrtryId*>	[1..1]	±		1143
Or}	NameAndAddress <*NmAndAdr*>	[1..1]	±		1144

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/offeror.

SubPayingAgent <SubPngAgt> contains one of the following elements (see PartyIdentification120Choice on page 1143 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <*AnyBIC*>	[1..1]	IdentifierSet	C1	1143
Or	ProprietaryIdentification <*PrtryId*>	[1..1]	±		1143
Or}	NameAndAddress <*NmAndAdr*>	[1..1]	±		1144

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 PartyIdentification120Choice on page 1143 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	AnyBIC *<AnyBIC>*	[1..1]	IdentifierSet	C1	1143
Or	ProprietaryIdentification *<PrtryId>*	[1..1]	±		1143
Or}	NameAndAddress *<NmAndAdr>*	[1..1]	±		1144

3.4.17 ResellingAgent <RsellngAgt>

Presence: [0..*]

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

ResellingAgent <RsellngAgt> contains one of the following elements (see PartyIdentification120Choice on page 1143 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	AnyBIC *<AnyBIC>*	[1..1]	IdentifierSet	C1	1143
Or	ProprietaryIdentification *<PrtryId>*	[1..1]	±		1143
Or}	NameAndAddress *<NmAndAdr>*	[1..1]	±		1144

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 PartyIdentification120Choice on page 1143 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	AnyBIC *<AnyBIC>*	[1..1]	IdentifierSet	C1	1143
Or	ProprietaryIdentification *<PrtryId>*	[1..1]	±		1143
Or}	NameAndAddress *<NmAndAdr>*	[1..1]	±		1144

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 PartyIdentification120Choice on page 1143 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1143
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1143
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1144

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 PartyIdentification120Choice on page 1143 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1143
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1143
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1144

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 PartyIdentification120Choice on page 1143 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1143
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1143
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1144

3.4.22   Issuer <Issr>

Presence: [0..1]

Definition: Issuer of the financial instrument.

Issuer <Issr> contains one of the following elements (see PartyIdentification129Choice on page 1144 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <*AnyBIC*>	[1..1]	IdentifierSet	C1	1144
Or	ProprietaryIdentification <*PrtryId*>	[1..1]	±		1144
Or	NameAndAddress <*NmAndAdr*>	[1..1]	±		1145
Or}	LEI <*LEI*>	[1..1]	IdentifierSet		1145

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 PartyIdentification129Choice on page 1144 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <*AnyBIC*>	[1..1]	IdentifierSet	C1	1144
Or	ProprietaryIdentification <*PrtryId*>	[1..1]	±		1144
Or	NameAndAddress <*NmAndAdr*>	[1..1]	±		1145
Or}	LEI <*LEI*>	[1..1]	IdentifierSet		1145

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 PartyIdentification129Choice on page 1144 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <*AnyBIC*>	[1..1]	IdentifierSet	C1	1144
Or	ProprietaryIdentification <*PrtryId*>	[1..1]	±		1144
Or	NameAndAddress <*NmAndAdr*>	[1..1]	±		1145
Or}	LEI <*LEI*>	[1..1]	IdentifierSet		1145

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 1127 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	PlaceAndName *<PlcAndNm>*	[0..1]	Text		1127
	Envelope *<Envlp>*	[1..1]	(External Schema)		1127

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.032.001.08 CorporateActionEventProcessingStatusAdviceV08

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 CorporateActionEventProcessingStatusAdviceV08 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> <CorpActnEvtPrcgStsAdvc>	[1..1]			
	NotificationIdentification <*NtfctnId*>	[0..1]	±		292
	OtherDocumentIdentification <*OthrDocId*>	[0..*]	±		293
	CorporateActionGeneralInformation <*CorpActnGnlInf*>	[1..1]		C3, C5	293
	CorporateActionEventIdentification <*CorpActnEvtId*>	[1..1]	Text		294
	OfficialCorporateActionEventIdentification <*OfclCorpActnEvtId*>	[0..1]	Text		294
	ClassActionNumber <*ClssActnNb*>	[0..1]	Text		294
	EventType <*EvtTp*>	[1..1]	±	C4	294
	EventProcessingStatus <*EvtPrcgSts*>	[1..*]			295
{Or	**Complete** <*Cmplt*>	[1..1]	±		295
Or	**Reconciled** <*Rcncld*>	[1..1]	±		295
Or	**Pending** <*Pdg*>	[1..1]	±		296
Or}	**ProprietaryStatus** <*PrtrySts*>	[1..1]	±		296
	AdditionalInformation <*AddtlInf*>	[0..1]			296
	AdditionalText <*AddtlTxt*>	[0..*]	Text		296
	PartyContactNarrative <*PtyCtctNrrtv*>	[0..*]	Text		297
	SupplementaryData <*SplmtryData*>	[0..*]	±	C7	297

4.3   Constraints

C1   **AdditionalReasonInforrmationRule**

(Rule)

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

C2   **AdditionalReasonInforrmationRule**

(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.

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 DocumentIdentification9 on page 966 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		966

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 DocumentIdentification33 on page 942 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			943
{Or	AccountServicerDocumentIdentification <AcctSvcrDocId>	[1..1]	Text		943
Or}	AccountOwnerDocumentIdentification <AcctOwnrDocId>	[1..1]	Text		943
	DocumentNumber <DocNb>	[0..1]	±	C6	943

4.4.3　CorporateActionGeneralInformation <CorpActnGnlInf>

Presence: [1..1]

Definition: General information about the corporate action event.

Impacted by: C3 EventTypeRule, C5 OfficialCorporateActionEventReference

CorporateActionGeneralInformation <CorpActnGnlInf> contains the following **CorporateActionGeneralInformation154** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CorporateActionEventIdentification <CorpActnEvtId>	[1..1]	Text		294
	OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>	[0..1]	Text		294
	ClassActionNumber <ClssActnNb>	[0..1]	Text		294
	EventType <EvtTp>	[1..1]	±	C4	294

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.

4.4.3.1 CorporateActionEventIdentification <CorpActnEvtId>

Presence: [1..1]

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

Datatype: Max35Text on page 1359

4.4.3.2 OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>

Presence: [0..1]

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

Datatype: Max35Text on page 1359

4.4.3.3 ClassActionNumber <ClssActnNb>

Presence: [0..1]

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

Datatype: Max35Text on page 1359

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 CorporateActionEventType102Choice on page 986 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Code <*Cd*>	[1..1]	CodeSet		987
Or}	Proprietary <*Prtry*>	[1..1]	±		993

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 **EventProcessingStatus5Choice** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	**Complete** *<Cmplt>*	[1..1]	±		295
Or	**Reconciled** *<Rcncld>*	[1..1]	±		295
Or	**Pending** *<Pdg>*	[1..1]	±		296
Or}	**ProprietaryStatus** *<PrtrySts>*	[1..1]	±		296

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 1243 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	NoSpecifiedReason *<NoSpcfdRsn>*	[1..1]	CodeSet		1244

4.4.4.2 Reconciled <Rcncld>

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 <Rcncld> contains the following elements (see <u>NoSpecifiedReason1 on page 1243</u> for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		1244

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 <u>PendingStatus58Choice on page 999</u> for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		1000
Or}	Reason <Rsn>	[1..*]	±	C1	1000

4.4.4.4 ProprietaryStatus <PrtrySts>

Presence: [1..1]

Definition: Proprietary status related to the event processing.

ProprietaryStatus <PrtrySts> contains the following elements (see <u>ProprietaryStatusAndReason6 on page 1266</u> for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ProprietaryStatus <PrtrySts>	[1..1]	±		1267
	ProprietaryReason <PrtryRsn>	[0..*]	±	C2	1267

4.4.5　AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Provides additional information.

AdditionalInformation <AddtlInf> contains the following **CorporateActionNarrative10** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AdditionalText <AddtlTxt>	[0..*]	Text		296
	PartyContactNarrative <PtyCtctNrrtv>	[0..*]	Text		297

4.4.5.1 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: Max350Text on page 1359

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: Max350Text on page 1359

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 1127 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	PlaceAndName *<PlcAndNm>*	[0..1]	Text		1127
	Envelope *<Envlp>*	[1..1]	(External Schema)		1127

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.033.001.12 CorporateActionInstructionV12

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 CorporateActionInstructionV12 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	
	ChangeInstructionIndicator <*ChngInstrInd*>	[0..1]	Indicator		309
	CancelledInstructionIdentification <*CancInstrId*>	[0..1]	±		310
	InstructionCancellationRequestIdentification <*InstrCxlReqId*>	[0..1]	±		310
	OtherDocumentIdentification <*OthrDocId*>	[0..*]	±		310
	EventsLinkage <*EvtsLkg*>	[0..*]	±		310
	CorporateActionGeneralInformation <*CorpActnGnlInf*>	[1..1]		C14, C20	311
	CorporateActionEventIdentification <*CorpActnEvtId*>	[1..1]	Text		313
	OfficialCorporateActionEventIdentification <*OffclCorpActnEvtId*>	[0..1]	Text		313
	EventType <*EvtTp*>	[1..1]	±	C15	313
	UnderlyingSecurity <*UndrlygScty*>	[0..1]		C25	314
	FinancialInstrumentIdentification <*FinInstrmId*>	[0..1]	±	C11, C12, C18, C19, C24	315
	PlaceOfListing <*PlcOfListg*>	[0..1]	±		317
	DayCountBasis <*DayCntBsis*>	[0..1]	±		317
	ClassificationType <*ClssfctnTp*>	[0..1]	±		317
	DenominationCurrency <*DnmtnCcy*>	[0..1]	CodeSet	C2	318
	NextCouponDate <*NxtCpnDt*>	[0..1]	Date		318
	ExpiryDate <*XpryDt*>	[0..1]	Date		318
	FloatingRateFixingDate <*FltgRateFxgDt*>	[0..1]	Date		318
	MaturityDate <*MtrtyDt*>	[0..1]	Date		319
	IssueDate <*IsseDt*>	[0..1]	Date		319
	NextCallableDate <*NxtCllblDt*>	[0..1]	Date		319
	PutableDate <*PutblDt*>	[0..1]	Date		319
	DatedDate <*DtdDt*>	[0..1]	Date		319
	ConversionDate <*ConvsDt*>	[0..1]	Date		319
	PreviousFactor <*PrvsFctr*>	[0..1]	Rate		319

Or	MessageElement/BuildingBlock<*XML Tag*>	Mult.	Type	Constr. No.	Page
	NextFactor <*NxtFctr*>	[0..1]	Rate		319
	InterestRate <*IntrstRate*>	[0..1]	Rate		320
	NextInterestRate <*NxtIntrstRate*>	[0..1]	Rate		320
	MinimumNominalQuantity <*MinNmnlQty*>	[0..1]	±	C13	320
	ContractSize <*CtrctSz*>	[0..1]	±	C13	320
	AccountDetails <*AcctDtls*>	[1..1]		C26, C27, C28, C29	321
	SafekeepingAccount <*SfkpgAcct*>	[0..1]	Text		323
	BlockChainAddressOrWallet <*BlckChainAdrOrWllt*>	[0..1]	Text		323
	AccountOwner <*AcctOwnr*>	[0..1]	±		324
	SafekeepingPlace <*SfkpgPlc*>	[0..1]	±		324
	Balance <*Bal*>	[0..1]			324
	TotalEligibleBalance <*TtlElgblBal*>	[0..1]	±		325
	BlockedBalance <*BlckdBal*>	[0..1]	±		326
	BorrowedBalance <*BrrwdBal*>	[0..1]	±		326
	CollateralInBalance <*CollInBal*>	[0..1]	±		327
	CollateralOutBalance <*CollOutBal*>	[0..1]	±		327
	OnLoanBalance <*OnLnBal*>	[0..1]	±		327
	PendingDeliveryBalance <*PdgDlvryBal*>	[0..*]	±		328
	PendingReceiptBalance <*PdgRctBal*>	[0..*]	±		328
	OutForRegistrationBalance <*OutForRegnBal*>	[0..1]	±		328
	SettlementPositionBalance <*SttlmPosBal*>	[0..1]	±		329
	StreetPositionBalance <*StrtPosBal*>	[0..1]	±		329
	TradeDatePositionBalance <*TradDtPosBal*>	[0..1]	±		329
	InTransshipmentBalance <*InTrnsShipmntBal*>	[0..1]	±		330
	RegisteredBalance <*RegdBal*>	[0..1]	±		330
	BeneficialOwnerDetails <*BnfclOwnrDtls*>	[0..*]		C10	330
	OwnerIdentification <*Ownrld*>	[1..1]	±		331
	LEIIdentification <*LEIId*>	[0..1]	IdentifierSet		331
	AlternateIdentification <*Altrnld*>	[0..*]	±		331
	DomicileCountry <*DmclCtry*>	[0..1]	CodeSet	C8	332

Or	MessageElement/BuildingBlock<*XML Tag*>	Mult.	Type	Constr. No.	Page
	NonDomicileCountry <*NonDmclCtry*>	[0..*]	CodeSet	C8	332
	OwnedSecuritiesQuantity <*OwndSctiesQty*>	[1..1]	±	C13	333
	CertificationType <*Certfctn Tp*>	[0..*]	±		333
	WithholdingTaxRate <*WhldgTaxRate*>	[0..1]	±		333
	CertificationBreakdown <*CertfctnBrkdwn*>	[0..*]	Text		334
	CorporateActionInstruction <*CorpActnInstr*>	[1..1]		C21, C22	334
	OptionNumber <*OptnNb*>	[1..1]	±		336
	OptionType <*OptnTp*>	[1..1]	±		336
	OptionFeatures <*OptnFeatrs*>	[0..1]	±		337
	FractionDisposition <*FrctnDspstn*>	[0..1]	±		337
	ChangeType <*ChngTp*>	[0..*]	±		337
	EligibleForCollateralIndicator <*ElgblForCollInd*>	[0..1]	Indicator		337
	SolicitationDealerFeeIndicator <*SlctnDealrFeeInd*>	[0..1]	Indicator		338
	CurrencyToBuy <*CcyToBuy*>	[0..1]	CodeSet	C1	338
	CurrencyToSell <*CcyToSell*>	[0..1]	CodeSet	C1	338
	CurrencyOption <*CcyOptn*>	[0..1]	CodeSet	C1	339
	SecurityIdentification <*SctyId*>	[0..1]	±	C11, C12, C18, C19, C24	339
	SecuritiesQuantityOrInstructedAmount <*SctiesQtyOrInstdAmt*>	[1..1]			341
{Or	**SecuritiesQuantity** <*SctiesQty*>	[1..1]			341
	ConditionalQuantity <*CondlQty*>	[0..1]	±	C13	342
	InstructedQuantity <*InstdQty*>	[1..1]	±		342
	AdditionalRoundUpQuantity <*AddtlRndUpQty*>	[0..1]	±	C13	342
Or}	**InstructedAmount** <*InstdAmt*>	[1..1]	Amount	C1, C9	343
	ExecutionRequestedDateTime <*ExctnReqdDtTm*>	[0..1]	±		344
	RateAndAmountDetails <*RateAndAmtDtls*>	[0..1]			344
	ProposedRate <*PropsdRate*>	[0..1]	Rate		344
	OversubscriptionRate <*OvrsbcptRate*>	[0..1]	±		344
	RequestedWithholdingTaxRate <*ReqdWhldgTaxRate*>	[0..*]	±		345

Or	MessageElement/BuildingBlock<*XML Tag*>	Mult.	Type	Constr. No.	Page
	RequestedSecondLevelTaxRate <*ReqdScndLvlTaxRate*>	[0..*]	±		345
	PriceDetails <*PricDtls*>	[0..1]		C16	346
	IndicativeOrMarketPrice <*IndctvOrMktPric*>	[0..1]			346
{Or	**IndicativePrice** <*IndctvPric*>	[1..1]	±		346
Or}	**MarketPrice** <*MktPric*>	[1..1]	±		347
	IssuePrice <*IssePric*>	[0..1]	±		347
	GenericCashPriceReceivedPerProduct <*GncCshPricRcvdPerPdct*>	[0..1]	±		347
	GenericCashPricePaidPerProduct <*GncCshPricPdPerPdct*>	[0..1]	±		348
	ShareholderNumber <*ShrhldrNb*>	[0..1]	Text		348
	AdditionalInformation <*AddtlInf*>	[0..1]			349
	InformationToComplyWith <*InfToCmplyWth*>	[0..*]	Text		349
	DeliveryDetails <*DlvryDtls*>	[0..*]	Text		349
	ForeignExchangeInstructionsAdditionalInformation <*FXInstrsAddtlInf*>	[0..*]	Text		349
	InstructionAdditionalInformation <*InstrAddtlInf*>	[0..*]	Text		349
	ProtectInstruction <*PrtctInstr*>	[0..1]			349
	TransactionType <*TxTp*>	[1..1]	CodeSet		350
	TransactionIdentification <*TxId*>	[0..1]	Text		350
	ProtectSafekeepingAccount <*PrtctSfkpgAcct*>	[0..1]	Text		350
	ProtectDate <*PrtctDt*>	[0..1]	Date		350
	AdditionalInformation <*AddtlInf*>	[0..1]			350
	RegistrationDetails <*RegnDtls*>	[0..*]	Text		351
	PartyContactNarrative <*PtyCtctNrrtv*>	[0..*]	Text		351
	CertificationBreakdown <*CertfctnBrkdwn*>	[0..*]	Text		351
	SupplementaryData <*SplmtryData*>	[0..*]	±	C31	351

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, DeclarionDetails 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 ChangeInstructionIndicator is 'true' or '1' (Yes), then InstructionCancellationRequestIdentification must be present.

This constraint is defined at the MessageDefinition level.

C18 ISINGuideline

(Rule)

When an ISIN code exists, 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.

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 <u>YesNoIndicator on page 1355</u>):

• *Meaning When True:* Yes

• *Meaning When False:* No

5.4.2　　　CancelledInstructionIdentification <CancInstrId>

Presence: [0..1]

Definition: Identification of a previously sent cancelled instruction document.

CancelledInstructionIdentification <CancInstrId> contains the following elements (see
DocumentIdentification31 on page 941 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		941
	LinkageType <LkgTp>	[0..1]	±	C32	941

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
DocumentIdentification31 on page 941 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		941
	LinkageType <LkgTp>	[0..1]	±	C32	941

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
DocumentIdentification32 on page 944 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			944
{Or	AccountServicerDocumentIdentification <AcctSvcrDocId>	[1..1]	Text		944
Or}	AccountOwnerDocumentIdentification <AcctOwnrDocId>	[1..1]	Text		944
	DocumentNumber <DocNb>	[0..1]	±	C6	944
	LinkageType <LkgTp>	[0..1]	±	C32	945

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 <u>CorporateActionEventReference3 on page 963</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	EventIdentification *<EvtId>*	[1..1]			964
{Or	LinkedOfficialCorporateActionEventIdentification *<LkdOffclCorpActnEvtId>*	[1..1]	Text		964
Or}	LinkedCorporateActionIdentification *<LkdCorpActnId>*	[1..1]	Text		964
	LinkageType *<LkgTp>*	[0..1]	±	C32	964

5.4.6 CorporateActionGeneralInformation <CorpActnGnlInf>

Presence: [1..1]

Definition: General information about the corporate action event.

Impacted by: <u>C14 EventTypeRule</u>, <u>C20 OfficialCorporateActionEventReference</u>

CorporateActionGeneralInformation <CorpActnGnlInf> contains the following
CorporateActionGeneralInformation164 elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	CorporateActionEventIdentification <*CorpActnEvtId*>	[1..1]	Text		313
	OfficialCorporateActionEventIdentification <*OffclCorpActnEvtId*>	[0..1]	Text		313
	EventType <*EvtTp*>	[1..1]	±	C15	313
	UnderlyingSecurity <*UndrlygScty*>	[0..1]		C25	314
	FinancialInstrumentIdentification <*FinInstrmId*>	[0..1]	±	C11, C12, C18, C19, C24	315
	PlaceOfListing <*PlcOfListg*>	[0..1]	±		317
	DayCountBasis <*DayCntBsis*>	[0..1]	±		317
	ClassificationType <*ClssfctnTp*>	[0..1]	±		317
	DenominationCurrency <*DnmtnCcy*>	[0..1]	CodeSet	C2	318
	NextCouponDate <*NxtCpnDt*>	[0..1]	Date		318
	ExpiryDate <*XpryDt*>	[0..1]	Date		318
	FloatingRateFixingDate <*FltgRateFxgDt*>	[0..1]	Date		318
	MaturityDate <*MtrtyDt*>	[0..1]	Date		319
	IssueDate <*IsseDt*>	[0..1]	Date		319
	NextCallableDate <*NxtCllblDt*>	[0..1]	Date		319
	PutableDate <*PutblDt*>	[0..1]	Date		319
	DatedDate <*DtdDt*>	[0..1]	Date		319
	ConversionDate <*ConvsDt*>	[0..1]	Date		319
	PreviousFactor <*PrvsFctr*>	[0..1]	Rate		319
	NextFactor <*NxtFctr*>	[0..1]	Rate		319
	InterestRate <*IntrstRate*>	[0..1]	Rate		320
	NextInterestRate <*NxtIntrstRate*>	[0..1]	Rate		320
	MinimumNominalQuantity <*MinNmnlQty*>	[0..1]	±	C13	320
	ContractSize <*CtrctSz*>	[0..1]	±	C13	320

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.

5.4.6.1 CorporateActionEventIdentification <CorpActnEvtId>

Presence: [1..1]

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

Datatype: Max35Text on page 1359

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: Max35Text on page 1359

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 CorporateActionEventType102Choice on page 986 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		987
Or}	Proprietary *<Prtry>*	[1..1]	±		993

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 **FinancialInstrumentAttributes109** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	FinancialInstrumentIdentification *<FinInstrmId>*	[0..1]	±	C11, C12, C18, C19, C24	315
	PlaceOfListing *<PlcOfListg>*	[0..1]	±		317
	DayCountBasis *<DayCntBsis>*	[0..1]	±		317
	ClassificationType *<ClssfctnTp>*	[0..1]	±		317
	DenominationCurrency *<DnmtnCcy>*	[0..1]	CodeSet	C2	318
	NextCouponDate *<NxtCpnDt>*	[0..1]	Date		318
	ExpiryDate *<XpryDt>*	[0..1]	Date		318
	FloatingRateFixingDate *<FltgRateFxgDt>*	[0..1]	Date		318
	MaturityDate *<MtrtyDt>*	[0..1]	Date		319
	IssueDate *<IsseDt>*	[0..1]	Date		319
	NextCallableDate *<NxtCllblDt>*	[0..1]	Date		319
	PutableDate *<PutblDt>*	[0..1]	Date		319
	DatedDate *<DtdDt>*	[0..1]	Date		319
	ConversionDate *<ConvsDt>*	[0..1]	Date		319
	PreviousFactor *<PrvsFctr>*	[0..1]	Rate		319
	NextFactor *<NxtFctr>*	[0..1]	Rate		319
	InterestRate *<IntrstRate>*	[0..1]	Rate		320
	NextInterestRate *<NxtIntrstRate>*	[0..1]	Rate		320
	MinimumNominalQuantity *<MinNmnlQty>*	[0..1]	±	C13	320
	ContractSize *<CtrctSz>*	[0..1]	±	C13	320

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.

5.4.6.4.1 FinancialInstrumentIdentification <FinInstrmId>

Presence: [0..1]

Definition: Identification of a financial instrument.

Impacted by: C11 DescriptionPresenceRule , C12 DescriptionUsageRule, C18 ISINGuideline, C19 ISINPresenceRule , C24 OtherIdentificationPresenceRule

FinancialInstrumentIdentification <FinInstrmId> contains the following elements (see SecurityIdentification19 on page 952 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	ISIN <*ISIN*>	[0..1]	IdentifierSet		954
	OtherIdentification <*OthrId*>	[0..*]			954
	Identification <*Id*>	[1..1]	Text		954
	Suffix <*Sfx*>	[0..1]	Text		954
	Type <*Tp*>	[1..1]	±		954
	Description <*Desc*>	[0..1]	Text		955

Constraints

- **DescriptionPresenceRule**

  (Rule)

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

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* X00192

  – *Error Text:* At least one identification must be present.

- **DescriptionUsageRule**

  (Rule)

  Description must be used alone as the last resort.

- **ISINGuideline**

  (Rule)

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

- **ISINPresenceRule**

  (Rule)

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

  ```
  On Condition
      /ISIN is absent
  Following Must be True
  ```

```
        /OtherIdentification[*] Must be present
 Or     /Description Must be present
```

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00194

– *Error Text:* At least one identification must be present.

- **OtherIdentificationPresenceRule**

  (Rule)

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

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00193

– *Error Text:* At least one identification must be present.

5.4.6.4.2 PlaceOfListing <PlcOfListg>

Presence: [0..1]

Definition: Place where the referenced financial instrument is listed.

PlaceOfListing <PlcOfListg> contains one of the following elements (see MarketIdentification3Choice on page 971 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	MarketIdentifierCode *<MktIdrCd>*	[1..1]	IdentifierSet		971
Or}	Description *<Desc>*	[1..1]	Text		971

5.4.6.4.3 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 InterestComputationMethodFormat4Choice on page 1120 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1120
Or}	Proprietary *<Prtry>*	[1..1]	±		1123

5.4.6.4.4 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 ClassificationType32Choice on page 1119 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	ClassificationFinancialInstrument <*ClssfctnFinInstrm*>	[1..1]	IdentifierSet		1119
Or}	AlternateClassification <*AltrnClssfctn*>	[1..1]	±		1119

5.4.6.4.5 DenominationCurrency <DnmtnCcy>

Presence: [0..1]

Definition: Currency in which a financial instrument is currently denominated.

Impacted by: C2 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyCode on page 1271

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.

5.4.6.4.6 NextCouponDate <NxtCpnDt>

Presence: [0..1]

Definition: Next payment date of an interest bearing financial instrument.

Datatype: ISODate on page 1352

5.4.6.4.7 ExpiryDate <XpryDt>

Presence: [0..1]

Definition: Date on which an order expires or at which a privilege or offer terminates.

Datatype: ISODate on page 1352

5.4.6.4.8 FloatingRateFixingDate <FltgRateFxgDt>

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 1352

5.4.6.4.9 MaturityDate <MtrtyDt>

Presence: [0..1]

Definition: Date on which a financial instrument becomes due and assets are to be repaid.

Datatype: ISODate on page 1352

5.4.6.4.10 IssueDate <IsseDt>

Presence: [0..1]

Definition: Date on which the financial instrument is issued.

Datatype: ISODate on page 1352

5.4.6.4.11 NextCallableDate <NxtCllblDt>

Presence: [0..1]

Definition: Date on which a financial instrument is called away/redeemed before its scheduled maturity.

Datatype: ISODate on page 1352

5.4.6.4.12 PutableDate <PutblDt>

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 1352

5.4.6.4.13 DatedDate <DtdDt>

Presence: [0..1]

Definition: Date on which an interest bearing financial instrument begins to accrue interest.

Datatype: ISODate on page 1352

5.4.6.4.14 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 1352

5.4.6.4.15 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.

Datatype: BaseOne14Rate on page 1356

5.4.6.4.16 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.

Datatype: BaseOne14Rate on page 1356

5.4.6.4.17 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.

Datatype: PercentageRate on page 1356

5.4.6.4.18 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 1356

5.4.6.4.19 MinimumNominalQuantity <MinNmnlQty>

Presence: [0..1]

Definition: Minimum nominal quantity of financial instrument.

Impacted by: C13 DigitalTokenUnitUsageRule

MinimumNominalQuantity <MinNmnlQty> contains one of the following elements (see FinancialInstrumentQuantity33Choice on page 1185 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1186
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1186
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1186
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1186

Constraints

- **DigitalTokenUnitUsageRule**

  (Rule)

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

5.4.6.4.20 ContractSize <CtrctSz>

Presence: [0..1]

Definition: Ratio or multiplying factor used to convert one contract into a financial instrument quantity.

Impacted by: C13 DigitalTokenUnitUsageRule

ContractSize <CtrctSz> contains one of the following elements (see
FinancialInstrumentQuantity33Choice on page 1185 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Unit *<Unit>*	[1..1]	Quantity		1186
Or	FaceAmount *<FaceAmt>*	[1..1]	Amount		1186
Or	AmortisedValue *<AmtsdVal>*	[1..1]	Amount		1186
Or}	DigitalTokenUnit *<DgtlTknUnit>*	[1..1]	Quantity		1186

Constraints

- **DigitalTokenUnitUsageRule**

  (Rule)

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

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 **AccountAndBalance48** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		323
	BlockChainAddressOrWallet <BlckChainAdrOrWllt>	[0..1]	Text		323
	AccountOwner <AcctOwnr>	[0..1]	±		324
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		324
	Balance <Bal>	[0..1]			324
	TotalEligibleBalance <TtlElgblBal>	[0..1]	±		325
	BlockedBalance <BlckdBal>	[0..1]	±		326
	BorrowedBalance <BrrwdBal>	[0..1]	±		326
	CollateralInBalance <CollInBal>	[0..1]	±		327
	CollateralOutBalance <CollOutBal>	[0..1]	±		327
	OnLoanBalance <OnLnBal>	[0..1]	±		327
	PendingDeliveryBalance <PdgDlvryBal>	[0..*]	±		328
	PendingReceiptBalance <PdgRctBal>	[0..*]	±		328
	OutForRegistrationBalance <OutForRegnBal>	[0..1]	±		328
	SettlementPositionBalance <SttlmPosBal>	[0..1]	±		329
	StreetPositionBalance <StrtPosBal>	[0..1]	±		329
	TradeDatePositionBalance <TradDtPosBal>	[0..1]	±		329
	InTransshipmentBalance <InTrnsShipmntBal>	[0..1]	±		330
	RegisteredBalance <RegdBal>	[0..1]	±		330

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: Max35Text on page 1359

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: Max140Text on page 1357

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 <u>PartyIdentification127Choice</u> <u>on page 1145</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	AnyBIC *<AnyBIC>*	[1..1]	IdentifierSet	C1	1145
Or}	ProprietaryIdentification *<PrtryId>*	[1..1]	±		1146

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 <u>SafekeepingPlaceFormat28Choice on page 1231</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Identification *<Id>*	[1..1]			1232
	SafekeepingPlaceType *<SfkpgPlcTp>*	[1..1]	CodeSet		1232
	Identification *<Id>*	[0..1]	Text		1232
Or	Country *<Ctry>*	[1..1]	CodeSet	C3	1232
Or	TypeAndIdentification *<TpAndId>*	[1..1]			1233
	SafekeepingPlaceType *<SfkpgPlcTp>*	[1..1]	CodeSet		1233
	Identification *<Id>*	[1..1]	IdentifierSet	C1	1233
Or}	Proprietary *<Prtry>*	[1..1]	±		1234

5.4.7.5 Balance <Bal>

Presence: [0..1]

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

Balance <Bal> contains the following **CorporateActionBalanceDetails42** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	TotalEligibleBalance *<TtlElgblBal>*	[0..1]	±		325
	BlockedBalance *<BlckdBal>*	[0..1]	±		326
	BorrowedBalance *<BrrwdBal>*	[0..1]	±		326
	CollateralInBalance *<CollInBal>*	[0..1]	±		327
	CollateralOutBalance *<CollOutBal>*	[0..1]	±		327
	OnLoanBalance *<OnLnBal>*	[0..1]	±		327
	PendingDeliveryBalance *<PdgDlvryBal>*	[0..*]	±		328
	PendingReceiptBalance *<PdgRctBal>*	[0..*]	±		328
	OutForRegistrationBalance *<OutForRegnBal>*	[0..1]	±		328
	SettlementPositionBalance *<SttlmPosBal>*	[0..1]	±		329
	StreetPositionBalance *<StrtPosBal>*	[0..1]	±		329
	TradeDatePositionBalance *<TradDtPosBal>*	[0..1]	±		329
	InTransshipmentBalance *<InTrnsShipmntBal>*	[0..1]	±		330
	RegisteredBalance *<RegdBal>*	[0..1]	±		330

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 <u>Quantity49Choice on page 1189</u> for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	QuantityChoice <QtyChc>	[1..1]			1190
{Or	OriginalAndCurrentFaceAmount <OrgnlAndCurFaceAmt>	[1..1]			1190
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1191
	FaceAmount <FaceAmt>	[1..1]	Amount		1191
	AmortisedValue <AmtsdVal>	[1..1]	Amount		1191
Or}	SignedQuantity <SgndQty>	[1..1]	±		1191
Or}	ProprietaryQuantity <PrtryQty>	[1..1]			1191
	ShortLongPosition <ShrtLngPos>	[0..1]	CodeSet		1192
	Quantity <Qty>	[1..1]	Quantity		1192
	QuantityType <QtyTp>	[1..1]	Text		1192
	Issuer <Issr>	[1..1]	Text		1192
	SchemeName <SchmeNm>	[0..1]	Text		1192

5.4.7.5.2 BlockedBalance <BlckdBal>

Presence: [0..1]

Definition: Balance of financial instruments that are blocked.

BlockedBalance <BlckdBal> contains one of the following elements (see <u>BalanceFormat11Choice on page 921</u> for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		921
Or	EligibleBalance <ElgblBal>	[1..1]	±		922
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		922

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 <u>BalanceFormat11Choice</u> <u>on page 921</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

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 <u>BalanceFormat11Choice</u> <u>on page 921</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

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 <u>BalanceFormat11Choice on page 921</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

5.4.7.5.7 PendingDeliveryBalance <PdgDlvryBal>

Presence: [0..*]

Definition: Balance of financial instruments that are pending delivery.

PendingDeliveryBalance <PdgDlvryBal> contains one of the following elements (see BalanceFormat11Choice on page 921 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		921
Or	EligibleBalance <ElgblBal>	[1..1]	±		922
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		922

5.4.7.5.13 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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		921
Or	EligibleBalance <ElgblBal>	[1..1]	±		922
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		922

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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		921
Or	EligibleBalance <ElgblBal>	[1..1]	±		922
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		922

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 **PartyIdentification251** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnerIdentification <OwnrId>	[1..1]	±		331
	LEIIdentification <LEIId>	[0..1]	IdentifierSet		331
	AlternateIdentification <AltrnId>	[0..*]	±		331
	DomicileCountry <DmclCtry>	[0..1]	CodeSet	C8	332
	NonDomicileCountry <NonDmclCtry>	[0..*]	CodeSet	C8	332
	OwnedSecuritiesQuantity <OwndSctiesQty>	[1..1]	±	C13	333
	CertificationType <CertfctnTp>	[0..*]	±		333
	WithholdingTaxRate <WhldgTaxRate>	[0..1]	±		333
	CertificationBreakdown <CertfctnBrkdwn>	[0..*]	Text		334

Constraints

- **DeclarationDetailsRule**

  (Rule)

  Unless bilaterally agreed, DeclarionDetails must not contain information that can be provided in a structured field.

5.4.8.1 OwnerIdentification <OwnrId>

Presence: [1..1]

Definition: Party that is the beneficial owner of the specified quantity of securities.

OwnerIdentification <OwnrId> contains one of the following elements (see PartyIdentification229Choice on page 1133 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1133
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1134
Or	NameAndAddress <NmAndAdr>	[1..1]	±		1134
Or}	IndividualOwnerIdentification <IndvOwnrId>	[1..1]	±		1134

5.4.8.2 LEIIdentification <LEIId>

Presence: [0..1]

Definition: Legal entity identification of the party.

Datatype: LEIIdentifier on page 1354

5.4.8.3 AlternateIdentification <AltrnId>

Presence: [0..*]

Definition: Alternate identification for a party.

AlternateIdentification <Altrnld> contains the following elements (see <u>AlternatePartyIdentification7 on page 1130</u> for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	IdentificationType <*IdTp*>	[1..1]	±		1130
	Country <*Ctry*>	[1..1]	CodeSet	C3	1130
	AlternateIdentification <*Altrnld*>	[1..1]	Text		1131

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: <u>C8 Country</u>

Datatype: <u>CountryCode on page 1318</u>

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: <u>C8 Country</u>

Datatype: <u>CountryCode on page 1318</u>

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 FinancialInstrumentQuantity33Choice on page 1185 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Unit *<Unit>*	[1..1]	Quantity		1186
Or	FaceAmount *<FaceAmt>*	[1..1]	Amount		1186
Or	AmortisedValue *<AmtsdVal>*	[1..1]	Amount		1186
Or}	DigitalTokenUnit *<DgtlTknUnit>*	[1..1]	Quantity		1186

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 BeneficiaryCertificationType10Choice on page 1082 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1082
Or}	Proprietary *<Prtry>*	[1..1]	±		1083

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 RateAndAmountFormat37Choice on page 1230 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1230
Or	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1230
Or}	Amount <Amt>	[1..1]	Amount	C1	1230

5.4.8.9 CertificationBreakdown <CertfctnBrkdwn>

Presence: [0..*]

Definition: Provides additional information about the type of certification/breakdown required.

Datatype: Max350Text on page 1359

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 **CorporateActionOption198** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	OptionNumber *<OptnNb>*	[1..1]	±		336
	OptionType *<OptnTp>*	[1..1]	±		336
	OptionFeatures *<OptnFeatrs>*	[0..1]	±		337
	FractionDisposition *<FrctnDspstn>*	[0..1]	±		337
	ChangeType *<ChngTp>*	[0..*]	±		337
	EligibleForCollateralIndicator *<ElgblForCollInd>*	[0..1]	Indicator		337
	SolicitationDealerFeeIndicator *<SlctnDealrFeeInd>*	[0..1]	Indicator		338
	CurrencyToBuy *<CcyToBuy>*	[0..1]	CodeSet	C1	338
	CurrencyToSell *<CcyToSell>*	[0..1]	CodeSet	C1	338
	CurrencyOption *<CcyOptn>*	[0..1]	CodeSet	C1	339
	SecurityIdentification *<SctyId>*	[0..1]	±	C11, C12, C18, C19, C24	339
	SecuritiesQuantityOrInstructedAmount *<SctiesQtyOrInstdAmt>*	[1..1]			341
{Or	**SecuritiesQuantity** *<SctiesQty>*	[1..1]			341
	ConditionalQuantity *<CondlQty>*	[0..1]	±	C13	342
	InstructedQuantity *<InstdQty>*	[1..1]	±		342
	AdditionalRoundUpQuantity *<AddtlRndUpQty>*	[0..1]	±	C13	342
Or}	**InstructedAmount** *<InstdAmt>*	[1..1]	Amount	C1, C9	343
	ExecutionRequestedDateTime *<ExctnReqdDtTm>*	[0..1]	±		344
	RateAndAmountDetails *<RateAndAmtDtls>*	[0..1]			344
	ProposedRate *<PropsdRate>*	[0..1]	Rate		344
	OversubscriptionRate *<OvrsbcptRate>*	[0..1]	±		344
	RequestedWithholdingTaxRate *<ReqdWhldgTaxRate>*	[0..*]	±		345
	RequestedSecondLevelTaxRate *<ReqdScndLvlTaxRate>*	[0..*]	±		345
	PriceDetails *<PricDtls>*	[0..1]		C16	346
	IndicativeOrMarketPrice *<IndctvOrMktPric>*	[0..1]			346
{Or	**IndicativePrice** *<IndctvPric>*	[1..1]	±		346

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
Or}	**MarketPrice** <MktPric>	[1..1]	±		347
	IssuePrice <IssePric>	[0..1]	±		347
	GenericCashPriceReceivedPerProduct <GncCshPricRcvdPerPdct>	[0..1]	±		347
	GenericCashPricePaidPerProduct <GncCshPricPdPerPdct>	[0..1]	±		348
	ShareholderNumber <ShrhldrNb>	[0..1]	Text		348
	AdditionalInformation <AddtlInf>	[0..1]			349
	InformationToComplyWith <InfToCmplyWth>	[0..*]	Text		349
	DeliveryDetails <DlvryDtls>	[0..*]	Text		349
	ForeignExchangeInstructionsAdditionalInformation <FXInstrsAddtlInf>	[0..*]	Text		349
	InstructionAdditionalInformation <InstrAddtlInf>	[0..*]	Text		349

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 1127 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Number <Nb>	[1..1]	Text		1128
Or}	Code <Cd>	[1..1]	CodeSet		1128

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 CorporateActionOption40Choice on page 984 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		984
Or}	Proprietary *<Prtry>*	[1..1]	±		986

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 OptionFeaturesFormat25Choice 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

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 FractionDispositionType28Choice on page 1081 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1081
Or}	Proprietary *<Prtry>*	[1..1]	±		1082

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 CorporateActionChangeTypeFormat6Choice on page 1080 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1080
Or}	Proprietary *<Prtry>*	[1..1]	±		1081

5.4.9.6 EligibleForCollateralIndicator <ElgblForCollInd>

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 1355):

• *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 1355):

• *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 1270

Constraints

• **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet 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 1270

Constraints

- **ActiveCurrency**

  (Rule)

  The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet 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 1270

Constraints

- **ActiveCurrency**

  (Rule)

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

Presence: [0..1]

Definition: Identifies the financial instrument.

Impacted by: C11 DescriptionPresenceRule   , C12 DescriptionUsageRule, C18 ISINGuideline, C19 ISINPresenceRule   ,   C24 OtherIdentificationPresenceRule

SecurityIdentification <SctyId> contains the following elements (see SecurityIdentification19 on page 952 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	ISIN *<ISIN>*	[0..1]	IdentifierSet		954
	OtherIdentification *<OthrId>*	[0..*]			954
	Identification *<Id>*	[1..1]	Text		954
	Suffix *<Sfx>*	[0..1]	Text		954
	Type *<Tp>*	[1..1]	±		954
	Description *<Desc>*	[0..1]	Text		955

Constraints

- **DescriptionPresenceRule**

  (Rule)

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

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* X00192

  – *Error Text:* At least one identification must be present.

- **DescriptionUsageRule**

  (Rule)

  Description must be used alone as the last resort.

- **ISINGuideline**

  (Rule)

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

- **ISINPresenceRule**

  (Rule)

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

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00194

– *Error Text:* At least one identification must be present.

- **OtherIdentificationPresenceRule**

  (Rule)

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

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

  Error handling:

– *Error severity:* Fatal

– *Error Code:* X00193

– *Error Text:* At least one identification must be present.

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
SecuritiesQuantityOrAmount6Choice elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	**SecuritiesQuantity** *<SctiesQty>*	[1..1]			341
	ConditionalQuantity *<CondlQty>*	[0..1]	±	C13	342
	InstructedQuantity *<InstdQty>*	[1..1]	±		342
	AdditionalRoundUpQuantity *<AddtlRndUpQty>*	[0..1]	±	C13	342
Or}	**InstructedAmount** *<InstdAmt>*	[1..1]	Amount	C1, C9	343

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 **SecuritiesOption79** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ConditionalQuantity <CondlQty>	[0..1]	±	C13	342
	InstructedQuantity <InstdQty>	[1..1]	±		342
	AdditionalRoundUpQuantity <AddtlRndUpQty>	[0..1]	±	C13	342

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 FinancialInstrumentQuantity33Choice on page 1185 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1186
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1186
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1186
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1186

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 Quantity52Choice on page 1193 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1193
Or	OriginalAndCurrentFaceAmount <OrgnlAndCurFaceAmt>	[1..1]	±		1193
Or}	Quantity <Qty>	[1..1]	±	C6	1193

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 FinancialInstrumentQuantity33Choice on page 1185 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Unit *<Unit>*	[1..1]	Quantity		1186
Or	FaceAmount *<FaceAmt>*	[1..1]	Amount		1186
Or	AmortisedValue *<AmtsdVal>*	[1..1]	Amount		1186
Or}	DigitalTokenUnit *<DgtlTknUnit>*	[1..1]	Quantity		1186

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: ActiveCurrencyAndAmount on page 1269

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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 933 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Date *<Dt>*	[1..1]	Date		933
Or}	DateTime *<DtTm>*	[1..1]	DateTime		933

5.4.9.14 RateAndAmountDetails <RateAndAmtDtls>

Presence: [0..1]

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

RateAndAmountDetails <RateAndAmtDtls> contains the following **CorporateActionRate71** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	ProposedRate *<PropsdRate>*	[0..1]	Rate		344
	OversubscriptionRate *<OvrsbcptRate>*	[0..1]	±		344
	RequestedWithholdingTaxRate *<ReqdWhldgTaxRate>*	[0..*]	±		345
	RequestedSecondLevelTaxRate *<ReqdScndLvlTaxRate>*	[0..*]	±		345

5.4.9.14.1 ProposedRate <PropsdRate>

Presence: [0..1]

Definition: Rate proposed in a remarketing of variable rate notes.

Datatype: PercentageRate on page 1356

5.4.9.14.2 OversubscriptionRate <OvrsbcptRate>

Presence: [0..1]

Definition: Rate of allowed over-subscription.

OversubscriptionRate <Ovrsbcpt​Rate> contains one of the following elements (see RateAndAmountFormat39Choice on page 1228 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1228
Or}	Amount <Amt>	[1..1]	Amount	C1	1228

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 RateAndAmountFormat40Choice on page 1224 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1224
Or	Amount <Amt>	[1..1]	Amount	C1	1224
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			1225
	RateType <RateTp>	[1..1]			1225
{Or	Code <Cd>	[1..1]	CodeSet		1225
Or}	Proprietary <Prtry>	[1..1]	±		1226
	Rate <Rate>	[1..1]	Rate		1226

5.4.9.14.4 RequestedSecondLevelTaxRate <ReqdScndLvlTaxRate>

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 <ReqdScndLvlTaxRate> contains one of the following elements (see RateAndAmountFormat40Choice on page 1224 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1224
Or	Amount <Amt>	[1..1]	Amount	C1	1224
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			1225
	RateType <RateTp>	[1..1]			1225
{Or	Code <Cd>	[1..1]	CodeSet		1225
Or}	Proprietary <Prtry>	[1..1]	±		1226
	Rate <Rate>	[1..1]	Rate		1226

5.4.9.15 PriceDetails <PricDtls>

Presence: [0..1]

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

Impacted by: C16 GenericCashPricePerProductGuideline

PriceDetails <PricDtls> contains the following **CorporateActionPrice76** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IndicativeOrMarketPrice <IndctvOrMktPric>	[0..1]			346
{Or	**IndicativePrice** <IndctvPric>	[1..1]	±		346
Or}	**MarketPrice** <MktPric>	[1..1]	±		347
	IssuePrice <IssePric>	[0..1]	±		347
	GenericCashPriceReceivedPerProduct <GncCshPricRcvdPerPdct>	[0..1]	±		347
	GenericCashPricePaidPerProduct <GncCshPricPdPerPdct>	[0..1]	±		348

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 **IndicativeOrMarketPrice8Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	**IndicativePrice** <IndctvPric>	[1..1]	±		346
Or}	**MarketPrice** <MktPric>	[1..1]	±		347

5.4.9.15.1.1 IndicativePrice <IndctvPric>

Presence: [1..1]

Definition: Estimated price, for example, for valuation purposes.

IndicativePrice <IndctvPric> contains one of the following elements (see PriceFormat50Choice on page 1180 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1180
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1181
	PriceValue <PricVal>	[1..1]	Rate		1181
Or}	AmountPrice <AmtPric>	[1..1]	±		1181

5.4.9.15.1.2 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 PriceFormat50Choice on page 1180 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1180
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1181
	PriceValue <PricVal>	[1..1]	Rate		1181
Or}	AmountPrice <AmtPric>	[1..1]	±		1181

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 PriceFormat50Choice on page 1180 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1180
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1181
	PriceValue <PricVal>	[1..1]	Rate		1181
Or}	AmountPrice <AmtPric>	[1..1]	±		1181

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 PriceFormat66Choice on page 1167 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1168
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1168
	PriceValue <PricVal>	[1..1]	Rate		1169
Or	AmountPrice <AmtPric>	[1..1]	±		1169
Or	NotSpecifiedPrice <NotSpcfdPric>	[1..1]	CodeSet		1169
Or	AmountPricePerFinancialInstrumentQuantity <AmtPricPerFinInstrmQty>	[1..1]			1169
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1170
	PriceValue <PricVal>	[1..1]	Amount	C1	1170
	FinancialInstrumentQuantity <FinInstrmQty>	[1..1]	±	C6	1170
Or	AmountPricePerAmount <AmtPricPerAmt>	[1..1]			1171
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1171
	PriceValue <PricVal>	[1..1]	Amount	C1	1171
	Amount <Amt>	[1..1]	Amount	C1	1172
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		1172

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 PriceFormat50Choice on page 1180 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1180
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1181
	PriceValue <PricVal>	[1..1]	Rate		1181
Or}	AmountPrice <AmtPric>	[1..1]	±		1181

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: Max25Text on page 1359

5.4.9.17 AdditionalInformation <Addtllnf>

Presence: [0..1]

Definition: Provides additional information.

AdditionalInformation <Addtllnf> contains the following **CorporateActionNarrative32** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	InformationToComplyWith <*InfToCmplyWth*>	[0..*]	Text		349
	DeliveryDetails <*DlvryDtls*>	[0..*]	Text		349
	ForeignExchangeInstructionsAdditionalInformation <*FXInstrsAddtlInf*>	[0..*]	Text		349
	InstructionAdditionalInformation <*InstrAddtlInf*>	[0..*]	Text		349

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: Max350Text on page 1359

5.4.9.17.2 DeliveryDetails <DlvryDtls>

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: Max350Text on page 1359

5.4.9.17.3 ForeignExchangeInstructionsAdditionalInformation <FXInstrsAddtlInf>

Presence: [0..*]

Definition: Provides additional details pertaining to foreign exchange instructions.

Datatype: Max350Text on page 1359

5.4.9.17.4 InstructionAdditionalInformation <InstrAddtlInf>

Presence: [0..*]

Definition: Provides additional details pertaining to the corporate action instruction.

Datatype: Max350Text on page 1359

5.4.10 ProtectInstruction <PrtctInstr>

Presence: [0..1]

Definition: Provides detailed information on protect and cover protect instructions.

ProtectInstruction <PrtctInstr> contains the following **ProtectInstruction1** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	TransactionType <*TxTp*>	[1..1]	CodeSet		350
	TransactionIdentification <*TxId*>	[0..1]	Text		350
	ProtectSafekeepingAccount <*PrtctSfkpgAcct*>	[0..1]	Text		350
	ProtectDate <*PrtctDt*>	[0..1]	Date		350

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 1343

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: Max15Text on page 1358

5.4.10.3 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: Max35Text on page 1359

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 1352

5.4.11 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Provides additional information.

AdditionalInformation <AddtlInf> contains the following **CorporateActionNarrative30** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	RegistrationDetails *<RegnDtls>*	[0..*]	Text		351
	PartyContactNarrative *<PtyCtctNrrtv>*	[0..*]	Text		351
	CertificationBreakdown *<CertfctnBrkdwn>*	[0..*]	Text		351

5.4.11.1 RegistrationDetails <RegnDtls>

Presence: [0..*]

Definition: Provides information required for the registration.

Datatype: Max350Text on page 1359

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: Max350Text on page 1359

5.4.11.3 CertificationBreakdown <CertfctnBrkdwn>

Presence: [0..*]

Definition: Provides information required for the certification/breakdown.

Datatype: Max350Text on page 1359

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 1127 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	PlaceAndName *<PlcAndNm>*	[0..1]	Text		1127
	Envelope *<Envlp>*	[1..1]	(External Schema)		1127

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.034.001.13 CorporateActionInstructionStatusAdviceV13

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 CorporateActionInstructionStatusAdviceV13 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> <CorpActnInstrStsAdvc>	[1..1]		C2, C9	
	InstructionIdentification *<InstrId>*	[0..1]	±		361
	OtherDocumentIdentification *<OthrDocId>*	[0..*]	±		361
	CorporateActionGeneralInformation *<CorpActnGnlInf>*	[1..1]		C15, C20	362
	CorporateActionEventIdentification *<CorpActnEvtId>*	[1..1]	Text		363
	OfficialCorporateActionEventIdentification *<OffclCorpActnEvtId>*	[0..1]	Text		363
	ClassActionNumber *<ClssActnNb>*	[0..1]	Text		363
	EventType *<EvtTp>*	[1..1]	±	C16	363
	InstructionProcessingStatus *<InstrPrcgSts>*	[1..*]			364
{Or	**Cancelled** *<Canc>*	[1..1]	±		364
Or	**AcceptedForFurtherProcessing** *<AccptdForFrthrPrcg>*	[1..1]	±		364
Or	**Rejected** *<Rjctd>*	[1..1]	±		365
Or	**Pending** *<Pdg>*	[1..1]	±		365
Or	**DefaultAction** *<DfltActn>*	[1..1]	±		366
Or	**StandingInstruction** *<StgInstr>*	[1..1]	±		366
Or}	**ProprietaryStatus** *<PrtrySts>*	[1..1]	±		366
	CorporateActionInstruction *<CorpActnInstr>*	[0..1]		C21, C23, C24, C25, C26, C28, C29	366
	OptionNumber *<OptnNb>*	[1..1]	±		369
	OptionType *<OptnTp>*	[1..1]	±		369
	OptionFeatures *<OptnFeatrs>*	[0..1]	±		369
	AccountOwner *<AcctOwnr>*	[0..1]	±		370
	SafekeepingAccount *<SfkpgAcct>*	[0..1]	Text		370
	BlockChainAddressOrWallet *<BlckChainAdrOrWllt>*	[0..1]	Text		370
	CashAccount *<CshAcct>*	[0..1]	±		370
	SafekeepingPlace *<SfkpgPlc>*	[0..1]	±		370

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentIdentification <FinInstrmId>	[0..1]	±	C12, C13, C18, C19, C22	371
	TotalEligibleBalance <TtlElgblBal>	[0..1]	±		372
	InstructedBalance <InstdBal>	[0..1]	±		373
	UninstructedBalance <UinstdBal>	[0..1]	±		373
	ProtectBalance <PrtctBal>	[0..1]	±		374
	StatusQuantity <StsQty>	[0..1]	±		374
	StatusCashAmount <StsCshAmt>	[0..1]	Amount	C1, C11	375
	SolicitationDealerFeeIndicator <SlctnDealrFeeInd>	[0..1]	Indicator		375
ProtectInstruction <PrtctInstr>		[0..1]			376
	TransactionType <TxTp>	[1..1]	CodeSet		376
	ProtectTransactionStatus <PrtctTxSts>	[0..1]	CodeSet		376
	TransactionIdentification <TxId>	[0..1]	Text		377
	ProtectSafekeepingAccount <PrtctSfkpgAcct>	[0..1]	Text		377
	ProtectDate <PrtctDt>	[0..1]	Date		377
	UncoveredProtectQuantity <UcvrdPrtctQty>	[0..1]	±		377
AdditionalInformation <AddtlInf>		[0..1]			377
	AdditionalText <AddtlTxt>	[0..*]	Text		377
	PartyContactNarrative <PtyCtctNrrtv>	[0..*]	Text		378
SupplementaryData <SplmtryData>		[0..*]	±	C30	378

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 AdditionalReasonInforrmationRule

(Rule)

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

C4 AdditionalReasonInforrmationRule

(Rule)

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

C5 AdditionalReasonInforrmationRule

(Rule)

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

C6 AdditionalReasonInforrmationRule

(Rule)

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

C7 AdditionalReasonInforrmationRule

(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 an ISIN code exists, 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.

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:* X00554

– *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:* X00555

– *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:* X00571

– *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.

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 <u>DocumentIdentification9 on page 966</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		966

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
DocumentIdentification33 on page 942 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]			943
{Or	AccountServicerDocumentIdentification *<AcctSvcrDocId>*	[1..1]	Text		943
Or}	AccountOwnerDocumentIdentification *<AcctOwnrDocId>*	[1..1]	Text		943
	DocumentNumber *<DocNb>*	[0..1]	±	C6	943

6.4.3 CorporateActionGeneralInformation <CorpActnGnlInf>

Presence: [1..1]

Definition: General information about the corporate action event.

Impacted by: C15 EventTypeRule, C20 OfficialCorporateActionEventReference

CorporateActionGeneralInformation <CorpActnGnlInf> contains the following
CorporateActionGeneralInformation154 elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	CorporateActionEventIdentification *<CorpActnEvtId>*	[1..1]	Text		363
	OfficialCorporateActionEventIdentification *<OffclCorpActnEvtId>*	[0..1]	Text		363
	ClassActionNumber *<ClssActnNb>*	[0..1]	Text		363
	EventType *<EvtTp>*	[1..1]	±	C16	363

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.

6.4.3.1 CorporateActionEventIdentification <CorpActnEvtId>

Presence: [1..1]

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

Datatype: Max35Text on page 1359

6.4.3.2 OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>

Presence: [0..1]

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

Datatype: Max35Text on page 1359

6.4.3.3 ClassActionNumber <ClssActnNb>

Presence: [0..1]

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

Datatype: Max35Text on page 1359

6.4.3.4 EventType <EvtTp>

Presence: [1..1]

Definition: Type of corporate action event.

Impacted by: C16 EventTypeRule

EventType <EvtTp> contains one of the following elements (see CorporateActionEventType102Choice on page 986 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		987
Or}	Proprietary *<Prtry>*	[1..1]	±		993

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 **InstructionProcessingStatus46Choice** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	**Cancelled** *<Canc>*	[1..1]	±		364
Or	**AcceptedForFurtherProcessing** *<AccptdForFrthrPrcg>*	[1..1]	±		364
Or	**Rejected** *<Rjctd>*	[1..1]	±		365
Or	**Pending** *<Pdg>*	[1..1]	±		365
Or	**DefaultAction** *<DfltActn>*	[1..1]	±		366
Or	**StandingInstruction** *<StgInstr>*	[1..1]	±		366
Or}	**ProprietaryStatus** *<PrtrySts>*	[1..1]	±		366

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 <u>CancelledStatus12Choice on page 1264</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason *<NoSpcfdRsn>*	[1..1]	CodeSet		1265
Or}	Reason *<Rsn>*	[1..*]		C3	1265
	ReasonCode *<RsnCd>*	[1..1]			1265
{Or	Code *<Cd>*	[1..1]	CodeSet		1266
Or}	Proprietary *<Prtry>*	[1..1]	±		1266
	AdditionalReasonInformation *<AddtlRsnInf>*	[0..1]	Text		1266

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 AcceptedStatus8Choice on page 1262 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason *<NoSpcfdRsn>*	[1..1]	CodeSet		1263
Or}	Reason *<Rsn>*	[1..*]		C4	1263
	ReasonCode *<RsnCd>*	[1..1]			1263
{Or	Code *<Cd>*	[1..1]	CodeSet		1264
Or}	Proprietary *<Prtry>*	[1..1]	±		1264
	AdditionalReasonInformation *<AddtlRsnInf>*	[0..1]	Text		1264

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 RejectedStatus41Choice on page 1251 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason *<NoSpcfdRsn>*	[1..1]	CodeSet		1252
Or}	Reason *<Rsn>*	[1..*]		C5	1252
	ReasonCode *<RsnCd>*	[1..1]			1252
{Or	Code *<Cd>*	[1..1]	CodeSet		1252
Or}	Proprietary *<Prtry>*	[1..1]	±		1254
	AdditionalReasonInformation *<AddtlRsnInf>*	[0..1]	Text		1255

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 PendingStatus66Choice on page 1250 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason *<NoSpcfdRsn>*	[1..1]	CodeSet		1250
Or}	Reason *<Rsn>*	[1..*]		C6	1250
	ReasonCode *<RsnCd>*	[1..1]	±		1251
	AdditionalReasonInformation *<AddtlRsnInf>*	[0..1]	Text		1251

6.4.4.5 DefaultAction <DfltActn>

Presence: [1..1]

Definition: Default action is taken.

DefaultAction <DfltActn> contains the following elements (see <u>NoSpecifiedReason1 on page 1243</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	NoSpecifiedReason *<NoSpcfdRsn>*	[1..1]	CodeSet		1244

6.4.4.6 StandingInstruction <StgInstr>

Presence: [1..1]

Definition: Standing instruction has been applied.

StandingInstruction <StgInstr> contains the following elements (see <u>NoSpecifiedReason1 on page 1243</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	NoSpecifiedReason *<NoSpcfdRsn>*	[1..1]	CodeSet		1244

6.4.4.7 ProprietaryStatus <PrtrySts>

Presence: [1..1]

Definition: Proprietary status related to an instruction.

ProprietaryStatus <PrtrySts> contains the following elements (see <u>ProprietaryStatusAndReason6 on page 1266</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	ProprietaryStatus *<PrtrySts>*	[1..1]	±		1267
	ProprietaryReason *<PrtryRsn>*	[0..*]	±	C2	1267

6.4.5   CorporateActionInstruction <CorpActnInstr>

Presence: [0..1]

Definition: Information about the corporate action instruction.

Impacted by: C21 OptionNumberRule,   C23 SafekeepingAccountOrBlockChainAddress1Rule   ,   C24 SafekeepingAccountOrBlockChainAddress2Rule   ,   C25 SafekeepingAccountOrBlockChainAddress3Rule   , C26 SafekeepingPlaceRule,   C28 StatusQuantityOrStatusCashAmount1Rule   ,   C29 StatusQuantityOrStatusCashAmount2Rule

CorporateActionInstruction <CorpActnInstr> contains the following **CorporateActionOption196** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	OptionNumber *<OptnNb>*	[1..1]	±		369
	OptionType *<OptnTp>*	[1..1]	±		369
	OptionFeatures *<OptnFeatrs>*	[0..1]	±		369
	AccountOwner *<AcctOwnr>*	[0..1]	±		370
	SafekeepingAccount *<SfkpgAcct>*	[0..1]	Text		370
	BlockChainAddressOrWallet *<BlckChainAdrOrWllt>*	[0..1]	Text		370
	CashAccount *<CshAcct>*	[0..1]	±		370
	SafekeepingPlace *<SfkpgPlc>*	[0..1]	±		370
	FinancialInstrumentIdentification *<FinInstrmId>*	[0..1]	±	C12, C13, C18, C19, C22	371
	TotalEligibleBalance *<TtlElgblBal>*	[0..1]	±		372
	InstructedBalance *<InstdBal>*	[0..1]	±		373
	UninstructedBalance *<UinstdBal>*	[0..1]	±		373
	ProtectBalance *<PrtctBal>*	[0..1]	±		374
	StatusQuantity *<StsQty>*	[0..1]	±		374
	StatusCashAmount *<StsCshAmt>*	[0..1]	Amount	C1, C11	375
	SolicitationDealerFeeIndicator *<SlctnDealrFeeInd>*	[0..1]	Indicator		375

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 <u>OptionNumber1Choice on page 1127</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Number *<Nb>*	[1..1]	Text		1128
Or}	Code *<Cd>*	[1..1]	CodeSet		1128

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 <u>CorporateActionOption41Choice on page 980</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		981
Or}	Proprietary *<Prtry>*	[1..1]	±		982

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 OptionFeaturesFormat25Choice 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

6.4.5.4 AccountOwner <AcctOwnr>

Presence: [0..1]

Definition: Party that owns the account.

AccountOwner <AcctOwnr> contains one of the following elements (see PartyIdentification127Choice on page 1145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1145
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1146

6.4.5.5 SafekeepingAccount <SfkpgAcct>

Presence: [0..1]

Definition: Account where financial instruments are maintained.

Datatype: Max35Text on page 1359

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: Max140Text on page 1357

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 CashAccountIdentification5Choice on page 916 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IBAN <IBAN>	[1..1]	IdentifierSet	C17	916
Or}	Proprietary <Prtry>	[1..1]	Text		917

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
SafekeepingPlaceFormat28Choice on page 1231 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]			1232
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		1232
	Identification <Id>	[0..1]	Text		1232
Or	Country <Ctry>	[1..1]	CodeSet	C3	1232
Or	TypeAndIdentification <TpAndId>	[1..1]			1233
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		1233
	Identification <Id>	[1..1]	IdentifierSet	C1	1233
Or}	Proprietary <Prtry>	[1..1]	±		1234

6.4.5.9 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
SecurityIdentification19 on page 952 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		954
	OtherIdentification <OthrId>	[0..*]			954
	Identification <Id>	[1..1]	Text		954
	Suffix <Sfx>	[0..1]	Text		954
	Type <Tp>	[1..1]	±		954
	Description <Desc>	[0..1]	Text		955

Constraints

• **DescriptionPresenceRule**

(Rule)

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

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00192

– *Error Text:* At least one identification must be present.

- **DescriptionUsageRule**

(Rule)

Description must be used alone as the last resort.

- **ISINGuideline**

(Rule)

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

- **ISINPresenceRule**

(Rule)

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

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00194

– *Error Text:* At least one identification must be present.

- **OtherIdentificationPresenceRule**

(Rule)

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

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00193

– *Error Text:* At least one identification must be present.

6.4.5.10 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 SignedQuantityFormat11 on page 1187 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1187
	QuantityChoice <QtyChc>	[1..1]			1188
{Or	Quantity <Qty>	[1..1]	±	C6	1188
Or}	ProprietaryQuantity <PrtryQty>	[1..1]			1189
	Quantity <Qty>	[1..1]	Quantity		1189
	QuantityType <QtyTp>	[1..1]	Text		1189
	Issuer <Issr>	[1..1]	Text		1189
	SchemeName <SchmeNm>	[0..1]	Text		1189

6.4.5.11 InstructedBalance <InstdBal>

Presence: [0..1]

Definition: Balance of instructed position.

InstructedBalance <InstdBal> contains the following elements (see SignedQuantityFormat11 on page 1187 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1187
	QuantityChoice <QtyChc>	[1..1]			1188
{Or	Quantity <Qty>	[1..1]	±	C6	1188
Or}	ProprietaryQuantity <PrtryQty>	[1..1]			1189
	Quantity <Qty>	[1..1]	Quantity		1189
	QuantityType <QtyTp>	[1..1]	Text		1189
	Issuer <Issr>	[1..1]	Text		1189
	SchemeName <SchmeNm>	[0..1]	Text		1189

6.4.5.12 UninstructedBalance <UinstdBal>

Presence: [0..1]

Definition: Balance of uninstructed position.

UninstructedBalance <UinstdBal> contains the following elements (see <u>SignedQuantityFormat11 on page 1187</u> for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1187
	QuantityChoice <QtyChc>	[1..1]			1188
{Or	Quantity <Qty>	[1..1]	±	C6	1188
Or}	ProprietaryQuantity <PrtryQty>	[1..1]			1189
	Quantity <Qty>	[1..1]	Quantity		1189
	QuantityType <QtyTp>	[1..1]	Text		1189
	Issuer <Issr>	[1..1]	Text		1189
	SchemeName <SchmeNm>	[0..1]	Text		1189

6.4.5.13 ProtectBalance <PrtctBal>

Presence: [0..1]

Definition: Balance of securities which are in protect status in a CSD operating a protect cover service.

ProtectBalance <PrtctBal> contains the following elements (see <u>SignedQuantityFormat11 on page 1187</u> for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1187
	QuantityChoice <QtyChc>	[1..1]			1188
{Or	Quantity <Qty>	[1..1]	±	C6	1188
Or}	ProprietaryQuantity <PrtryQty>	[1..1]			1189
	Quantity <Qty>	[1..1]	Quantity		1189
	QuantityType <QtyTp>	[1..1]	Text		1189
	Issuer <Issr>	[1..1]	Text		1189
	SchemeName <SchmeNm>	[0..1]	Text		1189

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 <u>Quantity51Choice on page 1194</u> for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Quantity <*Qty*>	[1..1]	±	C6	1194
Or}	OriginalAndCurrentFace <*OrgnlAndCurFace*>	[1..1]	±		1194

6.4.5.15 StatusCashAmount <StsCshAmt>

Presence: [0..1]

Definition: Amount of cash subscribed that has been assigned the status indicated.

Impacted by: <u>C1 ActiveCurrency</u>   ,   <u>C11 CurrencyAmount</u>

Datatype: <u>ActiveCurrencyAndAmount on page 1269</u>

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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 <u>YesNoIndicator on page 1355</u>):

- *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 **ProtectInstruction2** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	TransactionType *<TxTp>*	[1..1]	CodeSet		376
	ProtectTransactionStatus *<PrtctTxSts>*	[0..1]	CodeSet		376
	TransactionIdentification *<TxId>*	[0..1]	Text		377
	ProtectSafekeepingAccount *<PrtctSfkpgAcct>*	[0..1]	Text		377
	ProtectDate *<PrtctDt>*	[0..1]	Date		377
	UncoveredProtectQuantity *<UcvrdPrtctQty>*	[0..1]	±		377

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 1343

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 1342

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: Max15Text on page 1358

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: Max35Text on page 1359

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 1352

6.4.6.6 UncoveredProtectQuantity <UcvrdPrtctQty>

Presence: [0..1]

Definition: Remaining quantity of protect instruction which has not been covered.

UncoveredProtectQuantity <UcvrdPrtctQty> contains one of the following elements (see FinancialInstrumentQuantity18Choice on page 1234 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Unit *<Unit>*	[1..1]	Quantity		1234
Or}	FaceAmount *<FaceAmt>*	[1..1]	Amount		1235

6.4.7   AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Provides additional information.

AdditionalInformation <AddtlInf> contains the following **CorporateActionNarrative10** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	AdditionalText *<AddtlTxt>*	[0..*]	Text		377
	PartyContactNarrative *<PtyCtctNrrtv>*	[0..*]	Text		378

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: <u>Max350Text on page 1359</u>

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: <u>Max350Text on page 1359</u>

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: <u>C30 SupplementaryDataRule</u>

SupplementaryData <SplmtryData> contains the following elements (see <u>SupplementaryData1 on page 1127</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	PlaceAndName *<PlcAndNm>*	[0..1]	Text		1127
	Envelope *<Envlp>*	[1..1]	(External Schema)		1127

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.035.001.14 CorporateActionMovementPreliminaryAdvice V14

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 CorporateActionMovementPreliminaryAdviceV14 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/offeror. 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/offeror.

Q. SubPayingAgent

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

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 A. 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.

7.2 Structure

Or	MessageElement/BuildingBlock*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Message root <Document> <CorpActnMvmntPrlimryAdvc>	[1..1]		C9, C11, C12, C36, C37, C43, C56, C60, C63, C64	
	Pagination *<Pgntn>*	[0..1]	±		412
	MovementPreliminaryAdviceGeneralInformation *<MvmntPrlimryAdvcGnlInf>*	[1..1]			412
	Type *<Tp>*	[1..1]	CodeSet		413
	Function *<Fctn>*	[1..1]	CodeSet		413
	PreviousMovementPreliminaryAdviceIdentification *<PrvsMvmntPrlimryAdvcId>*	[0..1]	±		413
	NotificationIdentification *<NtfctnId>*	[0..1]	±		413
	MovementConfirmationIdentification *<MvmntConfId>*	[0..1]	±		414
	InstructionIdentification *<InstrId>*	[0..1]	±		414
	OtherDocumentIdentification *<OthrDocId>*	[0..*]	±		414
	EventsLinkage *<EvtsLkg>*	[0..*]	±		415
	ReversalReason *<RvslRsn>*	[0..1]		C5	415
	Reason *<Rsn>*	[1..1]			416
{Or	**Code** *<Cd>*	[1..1]	CodeSet		416
Or}	**Proprietary** *<Prtry>*	[1..1]	±		416
	AdditionalReasonInformation *<AddtlRsnInf>*	[0..1]	Text		417
	CorporateActionGeneralInformation *<CorpActnGnlInf>*	[1..1]		C54	417
	CorporateActionEventIdentification *<CorpActnEvtId>*	[1..1]	Text		419
	OfficialCorporateActionEventIdentification *<OffclCorpActnEvtId>*	[0..1]	Text		419
	ClassActionNumber *<ClssActnNb>*	[0..1]	Text		419
	EventProcessingType *<EvtPrcgTp>*	[0..1]	±		419
	EventType *<EvtTp>*	[1..1]	±	C26	420
	MandatoryVoluntaryEventType *<MndtryVlntryEvtTp>*	[1..1]	±		420
	UnderlyingSecurity *<UndrlygScty>*	[1..1]		C48, C58	420

Or	MessageElement/BuildingBlock<*XML Tag*>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentIdentification <*FinInstrmId*>	[1..1]	±	C17, C18, C44, C45, C57	422
	PlaceOfListing <*PlcOfListg*>	[0..1]	±		423
	DayCountBasis <*DayCntBsis*>	[0..1]	±		423
	ClassificationType <*ClssfctnTp*>	[0..1]	±		424
	OptionStyle <*OptnStyle*>	[0..1]	±		424
	DenominationCurrency <*DnmtnCcy*>	[0..1]	CodeSet	C2	424
	NextCouponDate <*NxtCpnDt*>	[0..1]	Date		425
	ExpiryDate <*XpryDt*>	[0..1]	Date		425
	FloatingRateFixingDate <*FltgRateFxgDt*>	[0..1]	Date		425
	MaturityDate <*MtrtyDt*>	[0..1]	Date		425
	IssueDate <*IsseDt*>	[0..1]	Date		425
	NextCallableDate <*NxtCllblDt*>	[0..1]	Date		425
	PutableDate <*PutblDt*>	[0..1]	Date		425
	DatedDate <*DtdDt*>	[0..1]	Date		426
	ConversionDate <*ConvsDt*>	[0..1]	Date		426
	InterestRate <*IntrstRate*>	[0..1]	±		426
	NextInterestRate <*NxtIntrstRate*>	[0..1]	±		426
	PercentageOfDebtClaim <*PctgOfDebtClm*>	[0..1]	±		426
	PreviousFactor <*PrvsFctr*>	[0..1]	±		427
	NextFactor <*NxtFctr*>	[0..1]	±		427
	WarrantParity <*WarrtParity*>	[0..1]	±		427
	MinimumNominalQuantity <*MinNmnlQty*>	[0..1]	±	C19	427
	ContractSize <*CtrctSz*>	[0..1]	±	C19	428
	AccountDetails <*AcctDtls*>	[1..1]			428
{Or	**ForAllAccounts** <*ForAllAccts*>	[1..1]	±		429
Or}	**AccountsListAndBalanceDetails** <*AcctsListAndBalDtls*>	[1..*]		C65, C66, C67, C68	430
	SafekeepingAccount <*SfkpgAcct*>	[0..1]	Text		432
	BlockChainAddressOrWallet <*BlckChainAdrOrWllt*>	[0..1]	Text		433

Or	MessageElement/BuildingBlock<*XML Tag*>	Mult.	Type	Constr. No.	Page
	AccountOwner <*AcctOwnr*>	[0..1]	±		433
	SafekeepingPlace <*SfkpgPlc*>	[0..1]	±		433
	Balance <*Bal*>	[0..1]		C7	433
	TotalEligibleBalance <*TtlElgblBal*>	[0..1]	±		434
	BlockedBalance <*BlckdBal*>	[0..1]	±		435
	BorrowedBalance <*BrrwdBal*>	[0..1]	±		435
	CollateralInBalance <*CollInBal*>	[0..1]	±		435
	CollateralOutBalance <*CollOutBal*>	[0..1]	±		436
	OnLoanBalance <*OnLnBal*>	[0..1]	±		436
	PendingDeliveryBalance <*PdgDlvryBal*>	[0..*]	±		436
	PendingReceiptBalance <*PdgRctBal*>	[0..*]	±		437
	OutForRegistrationBalance <*OutForRegnBal*>	[0..1]	±		437
	SettlementPositionBalance <*SttlmPosBal*>	[0..*]	±		437
	StreetPositionBalance <*StrtPosBal*>	[0..1]	±		438
	TradeDatePositionBalance <*TradDtPosBal*>	[0..1]	±		438
	InTransshipmentBalance <*InTrnsShipmntBal*>	[0..1]	±		438
	RegisteredBalance <*RegdBal*>	[0..1]	±		439
	ObligatedBalance <*OblgtdBal*>	[0..1]	±		439
	UninstructedBalance <*UinstdBal*>	[0..1]	±		439
	InstructedBalance <*InstdBal*>	[0..1]	±		440
	AffectedBalance <*AfctdBal*>	[0..1]	±		440
	UnaffectedBalance <*UafctdBal*>	[0..1]	±		440
	CorporateActionDetails <*CorpActnDtls*>	[0..1]			441
	DateDetails <*DtDtls*>	[0..1]			441
	RecordDate <*RcrdDt*>	[0..1]	±		442
	ExDividendDate <*ExDvddDt*>	[0..1]	±		442
	LotteryDate <*LtryDt*>	[0..1]	±		442
	SecuritiesQuantity <*SctiesQty*>	[0..1]			443
	BaseDenomination <*BaseDnmtn*>	[0..1]	±	C20	443
	IncrementalDenomination <*IncrmtlDnmtn*>	[0..1]	±	C20	443
	EventStage <*EvtStag*>	[0..1]	±		444

Or	MessageElement/BuildingBlock<*XML Tag*>	Mult.	Type	Constr. No.	Page
	AdditionalBusinessProcessIndicator <*AddtlBizPrcInd*>	[0..*]	±		444
	IntermediateSecuritiesDistributionType <*IntrmdtSctiesDstrbtnTp*>	[0..1]	±		444
	LotteryType <*LtryTp*>	[0..1]	±		445
	CorporateActionMovementDetails <*CorpActnMvmntDtls*>	[0..*]		C6, C10, C22, C23, C24, C25, C42, C62, C55	445
	OptionNumber <*OptnNb*>	[1..1]	Text		457
	OptionType <*OptnTp*>	[1..1]	±		457
	FractionDisposition <*FrctnDspstn*>	[0..1]	±		457
	OfferType <*OfferTp*>	[0..*]	±		458
	OptionFeatures <*OptnFeatrs*>	[0..*]	±		458
	OptionAvailabilityStatus <*OptnAvlbtySts*>	[0..1]	±		458
	CertificationBreakdownType <*CertfctnBrkdwnTp*>	[0..*]	±		458
	NonDomicileCountry <*NonDmclCtry*>	[0..*]	CodeSet	C13	459
	ValidDomicileCountry <*VldDmclCtry*>	[0..*]	CodeSet	C13	459
	CurrencyOption <*CcyOptn*>	[0..1]	CodeSet	C1	460
	DefaultProcessingOrStandingInstruction <*DfltPrcgOrStgInstr*>	[1..1]	±		460
	ChargesAppliedIndicator <*ChrgsApldInd*>	[0..1]	Indicator		460
	CertificationBreakdownIndicator <*CertfctnBrkdwnInd*>	[0..1]	Indicator		460
	WithdrawalAllowedIndicator <*WdrwlAllwdInd*>	[0..1]	Indicator		461
	ChangeAllowedIndicator <*ChngAllwdInd*>	[0..1]	Indicator		461
	AppliedOptionIndicator <*ApldOptnInd*>	[0..1]	Indicator		461
	SecurityIdentification <*SctyId*>	[0..1]	±	C17, C18, C44, C45, C57	461
	DateDetails <*DtDtls*>	[0..1]			463
	EarlyResponseDeadline <*EarlyRspnDdln*>	[0..1]	±		464
	CoverExpirationDeadline <*CoverXprtnDdln*>	[0..1]	±		464
	ProtectDeadline <*PrtctDdln*>	[0..1]	±		464

Or	MessageElement/BuildingBlock<*XML Tag*>	Mult.	Type	Constr. No.	Page
	MarketDeadline <*MktDdln*>	[0..1]	±		465
	ResponseDeadline <*RspnDdln*>	[0..1]	±		465
	ExpiryDate <*XpryDt*>	[0..1]	±		465
	SubscriptionCostDebitDate <*SbcptCostDbtDt*>	[0..1]	±		466
	DepositoryCoverExpirationDate <*DpstryCoverXprtnDt*>	[0..1]	±		466
	StockLendingDeadline <*StockLndgDdln*>	[0..1]	±		466
	BorrowerStockLendingDeadline <*BrrwrStockLndgDdln*>	[0..*]			467
	StockLendingDeadline <*StockLndgDdln*>	[1..1]	±		467
	Borrower <*Brrwr*>	[1..1]	±		467
	PeriodDetails <*PrdDtls*>	[0..1]			468
	PriceCalculationPeriod <*PricClctnPrd*>	[0..1]	±		468
	ParallelTradingPeriod <*ParllTradgPrd*>	[0..1]	±		468
	ActionPeriod <*ActnPrd*>	[0..1]	±		469
	RevocabilityPeriod <*RvcbltyPrd*>	[0..1]	±		469
	PrivilegeSuspensionPeriod <*PrvlgSspnsnPrd*>	[0..1]	±		469
	AccountServicerRevocabilityPeriod <*AcctSvcrRvcbltyPrd*>	[0..1]	±		469
	DepositorySuspensionPeriodForWithdrawal <*DpstrySspnsnPrdForWdrwl*>	[0..1]	±		470
	RateAndAmountDetails <*RateAndAmtDtls*>	[0..1]		C31, C33, C50, C52, C69, C71, C73, C77, C79	470
	AdditionalTax <*AddtlTax*>	[0..1]	±		473
	GrossDividendRate <*GrssDvddRate*>	[0..*]	±		473
	NetDividendRate <*NetDvddRate*>	[0..*]	±		474
	InterestRateUsedForPayment <*IntrstRateUsdForPmt*>	[0..*]	±		475
	MaximumAllowedOversubscriptionRate <*MaxAllwdOvrsbcptRate*>	[0..1]	±		476
	ProrationRate <*PrratnRate*>	[0..1]	±		476
	WithholdingTaxRate <*WhldgTaxRate*>	[0..*]	±		477
	SecondLevelTax <*ScndLvlTax*>	[0..*]	±		477
	TaxableIncomePerDividendShare <*TaxblIncmPerDvddShr*>	[0..*]	±		477

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxOnIncome <TaxOnIncm>	[0..1]	±		478
	PriceDetails <PricDtls>	[0..1]			478
	CashInLieuOfSharePrice <CshInLieuOfShrPric>	[0..1]	±		479
	OverSubscriptionDepositPrice <OverSbcptDpstPric>	[0..1]	±		479
	MaximumCashToInstruct <MaxCshToInst>	[0..1]	±		479
	MinimumCashToInstruct <MinCshToInst>	[0..1]	±		480
	MinimumMultipleCashToInstruct <MinMltplCshToInst>	[0..1]	±		480
	SecuritiesQuantity <SctiesQty>	[0..1]			480
	MaximumQuantityToInstruct <MaxQtyToInst>	[0..1]	±	C21	481
	MinimumQuantityToInstruct <MinQtyToInst>	[0..1]	±	C21	481
	MinimumMultipleQuantityToInstruct <MinMltplQtyToInst>	[0..1]	±	C20	482
	NewBoardLotQuantity <NewBrdLotQty>	[0..1]	±	C20	482
	NewDenominationQuantity <NewDnmtnQty>	[0..1]	±	C20	483
	FrontEndOddLotQuantity <FrntEndOddLotQty>	[0..1]	±	C20	483
	BackEndOddLotQuantity <BckEndOddLotQty>	[0..1]	±	C20	484
	SecuritiesMovementDetails <SctiesMvmntDtls>	[0..*]		C27, C38, C40, C46	484
	SecurityDetails <SctyDtls>	[1..1]		C49, C59	488
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C17, C18, C44, C45, C57	490
	PlaceOfListing <PlcOfListg>	[0..1]	±		491
	DayCountBasis <DayCntBsis>	[0..1]	±		491
	ClassificationType <ClssfctnTp>	[0..1]	±		492
	OptionStyle <OptnStyle>	[0..1]	±		492
	DenominationCurrency <DnmtnCcy>	[0..1]	CodeSet	C2	492
	NextCouponDate <NxtCpnDt>	[0..1]	Date		493
	FloatingRateFixingDate <FltgRateFxgDt>	[0..1]	Date		493
	MaturityDate <MtrtyDt>	[0..1]	Date		493
	IssueDate <IsseDt>	[0..1]	Date		493
	NextCallableDate <NxtCllblDt>	[0..1]	Date		493

Or	MessageElement/BuildingBlock<*XML Tag*>	Mult.	Type	Constr. No.	Page
	PutableDate <*PutblDt*>	[0..1]	Date		493
	DatedDate <*DtdDt*>	[0..1]	Date		493
	ConversionDate <*ConvsDt*>	[0..1]	Date		494
	PreviousFactor <*PrvsFctr*>	[0..1]	±		494
	NextFactor <*NxtFctr*>	[0..1]	±		494
	InterestRate <*IntrstRate*>	[0..1]	±		494
	NextInterestRate <*NxtIntrstRate*>	[0..1]	±		494
	MinimumNominalQuantity <*MinNmnlQty*>	[0..1]	±	C19	495
	MinimumQuantityToInstruct <*MinQtyToInst*>	[0..1]	±	C19	495
	MinimumMultipleQuantityToInstruct <*MinMltplQtyToInst*>	[0..1]	±	C19	496
	ContractSize <*CtrctSz*>	[0..1]	±	C19	496
	IssuePrice <*IssePric*>	[0..1]	±		497
	CreditDebitIndicator <*CdtDbtInd*>	[1..1]	CodeSet		497
	TemporaryFinancialInstrumentIndicator <*TempFinInstrmInd*>	[0..1]	±		497
	NonEligibleProceedsIndicator <*NonElgblPrcdsInd*>	[0..1]	±		497
	IssuerOfferorTaxabilityIndicator <*IssrOfferrTaxbltyInd*>	[0..1]	±		498
	NewSecuritiesIssuanceIndicator <*NewSctiesIssncInd*>	[0..1]	CodeSet		498
	IncomeType <*IncmTp*>	[0..1]	±		499
	OtherIncomeType <*OthrIncmTp*>	[0..*]	±		499
	ExemptionType <*XmptnTp*>	[0..*]	±		499
	EntitledQuantity <*EntitldQty*>	[0..1]	±		500
	SafekeepingPlace <*SfkpgPlc*>	[0..1]	±		500
	CountryOfIncomeSource <*CtryOfIncmSrc*>	[0..1]	CodeSet	C13	500
	FractionDisposition <*FrctnDspstn*>	[0..1]	±		501
	CurrencyOption <*CcyOptn*>	[0..1]	CodeSet	C1	501
	TradingPeriod <*TradgPrd*>	[0..1]	±		501
	DateDetails <*DtDtls*>	[1..1]			502
	PaymentDate <*PmtDt*>	[1..1]	±		502
	AvailableDate <*AvlblDt*>	[0..1]	±		502
	DividendRankingDate <*DvddRnkgDt*>	[0..1]	±		503
	EarliestPaymentDate <*EarlstPmtDt*>	[0..1]	±		503

Or	MessageElement/BuildingBlock<*XML Tag*>	Mult.	Type	Constr. No.	Page
	PariPassuDate <*PrpssDt*>	[0..1]	±		503
	LastTradingDate <*LastTradgDt*>	[0..1]	±		504
	RateDetails <*RateDtls*>	[0..1]			504
	AdditionalQuantityForSubscribedResultantSecurities <*AddtlQtyForSbcbdRsltntScties*>	[0..1]	±		505
	AdditionalQuantityForExistingSecurities <*AddtlQtyForExstgScties*>	[0..1]	±		505
	NewToOld <*NewToOd*>	[0..1]	±		506
	TransformationRate <*TrfrmatnRate*>	[0..1]	Rate		506
	ChargesFees <*ChrgsFees*>	[0..1]	±		506
	FiscalStamp <*FsclStmp*>	[0..1]	±		507
	ApplicableRate <*AplblRate*>	[0..1]	±		507
	TaxCreditRate <*TaxCdtRate*>	[0..1]	±		507
	FinancialTransactionTaxRate <*FinTxTaxRate*>	[0..1]	±		508
	WithholdingTaxRate <*WhldgTaxRate*>	[0..*]	±		508
	SecondLevelTax <*ScndLvlTax*>	[0..*]	±		508
	PriceDetails <*PricDtls*>	[0..1]		C29	509
	IndicativeOrMarketPrice <*IndctvOrMktPric*>	[0..1]			509
{Or	**IndicativePrice** <*IndctvPric*>	[1..1]	±		510
Or}	**MarketPrice** <*MktPric*>	[1..1]	±		510
	CashInLieuOfSharePrice <*CshInLieuOfShrPric*>	[0..1]	±		510
	CashValueForTax <*CshValForTax*>	[0..1]	±		511
	GenericCashPricePaidPerProduct <*GncCshPricPdPerPdct*>	[0..1]	±		511
	GenericCashPriceReceivedPerProduct <*GncCshPricRcvdPerPdct*>	[0..1]	±		511
	AmountDetails <*AmtDtls*>	[0..1]			512
	WithholdingTaxAmount <*WhldgTaxAmt*>	[0..1]	Amount	C1, C14	512
	SecondLevelTaxAmount <*ScndLvlTaxAmt*>	[0..1]	Amount	C1, C14	513
	CashMovementDetails <*CshMvmntDtls*>	[0..*]		C28, C39, C41, C47	514
	CreditDebitIndicator <*CdtDbtInd*>	[1..1]	CodeSet		519
	ContractualPaymentIndicator <*CtrctlPmtInd*>	[0..1]	CodeSet		519

Or	MessageElement/BuildingBlock<*XML Tag*>	Mult.	Type	Constr. No.	Page
	NonEligibleProceedsIndicator <*NonElgblPrcdsInd*>	[0..1]	±		519
	IssuerOfferorTaxabilityIndicator <*IssrOfferrTaxbltyInd*>	[0..1]	±		520
	IncomeType <*IncmTp*>	[0..1]	±		520
	OtherIncomeType <*OthrIncmTp*>	[0..*]	±		520
	ExemptionType <*XmptnTp*>	[0..*]	±		521
	CountryOfIncomeSource <*CtryOfIncmSrc*>	[0..1]	CodeSet	C13	521
	CashAccountIdentification <*CshAcctId*>	[0..1]	±		521
	AmountDetails <*AmtDtls*>	[0..1]			522
	GrossCashAmount <*GrssCshAmt*>	[0..1]	Amount	C1, C14	525
	NetCashAmount <*NetCshAmt*>	[0..1]	Amount	C1, C14	525
	SolicitationFees <*SlctnFees*>	[0..1]	Amount	C1, C14	526
	CashInLieuOfShare <*CshInLieuOfShr*>	[0..1]	Amount	C1, C14	527
	CapitalGain <*CptlGn*>	[0..1]	Amount	C1, C14	528
	InterestAmount <*IntrstAmt*>	[0..1]	Amount	C1, C14	528
	MarketClaimAmount <*MktClmAmt*>	[0..1]	Amount	C1, C14	529
	IndemnityAmount <*IndmntyAmt*>	[0..1]	Amount	C1, C14	530
	ManufacturedDividendPaymentAmount <*ManfctrdDvddPmtAmt*>	[0..1]	Amount	C1, C14	530
	ReinvestmentAmount <*RinvstmtAmt*>	[0..1]	Amount	C1, C14	531
	FullyFrankedAmount <*FullyFrnkdAmt*>	[0..1]	Amount	C1, C14	532
	UnfrankedAmount <*UfrnkdAmt*>	[0..1]	Amount	C1, C14	533
	SundryOrOtherAmount <*SndryOrOthrAmt*>	[0..1]	Amount	C1, C14	533
	TaxFreeAmount <*TaxFreeAmt*>	[0..1]	Amount	C1, C14	534
	TaxDeferredAmount <*TaxDfrrdAmt*>	[0..1]	Amount	C1, C14	535
	ValueAddedTaxAmount <*ValAddedTaxAmt*>	[0..1]	Amount	C1, C14	535
	StampDutyAmount <*StmpDtyAmt*>	[0..1]	Amount	C1, C14	536

Or	MessageElement/BuildingBlock<*XML Tag*>	Mult.	Type	Constr. No.	Page
	TaxReclaimAmount <*TaxRclmAmt*>	[0..1]	Amount	C1, C14	537
	TaxCreditAmount <*TaxCdtAmt*>	[0..1]	Amount	C1, C14	538
	AdditionalTaxAmount <*AddtlTaxAmt*>	[0..1]	Amount	C1, C14	538
	WithholdingTaxAmount <*WhldgTaxAmt*>	[0..1]	Amount	C1, C14	539
	SecondLevelTaxAmount <*ScndLvlTaxAmt*>	[0..1]	Amount	C1, C14	540
	FiscalStampAmount <*FsclStmpAmt*>	[0..1]	Amount	C1, C14	540
	ExecutingBrokerAmount <*ExctgBrkrAmt*>	[0..1]	Amount	C1, C14	541
	PayingAgentCommissionAmount <*PngAgtComssnAmt*>	[0..1]	Amount	C1, C14	542
	LocalBrokerCommissionAmount <*LclBrkrComssnAmt*>	[0..1]	Amount	C1, C14	543
	RegulatoryFeesAmount <*RgltryFeesAmt*>	[0..1]	Amount	C1, C14	543
	ShippingFeesAmount <*ShppgFeesAmt*>	[0..1]	Amount	C1, C14	544
	ChargesAmount <*ChrgsAmt*>	[0..1]	Amount	C1, C14	545
	EntitledAmount <*EntitldAmt*>	[0..1]	Amount	C1, C14	545
	OriginalAmount <*OrgnlAmt*>	[0..1]	Amount	C1, C14	546
	AccruedInterestAmount <*AcrdIntrstAmt*>	[0..1]	Amount	C1, C14	547
	IncomePortion <*IncmPrtn*>	[0..1]	Amount	C1, C14	548
	EqualisationAmount <*EqulstnAmt*>	[0..1]	Amount	C1, C14	548
	FATCATaxAmount <*FATCATaxAmt*>	[0..1]	Amount	C1, C14	549
	NRATaxAmount <*NRATaxAmt*>	[0..1]	Amount	C1, C14	550
	BackUpWithholdingTaxAmount <*BckUpWhldgTaxAmt*>	[0..1]	Amount	C1, C14	550
	TaxOnIncomeAmount <*TaxOnIncmAmt*>	[0..1]	Amount	C1, C14	551
	TransactionTax <*TxTax*>	[0..1]	Amount	C1, C14	552

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	DeemedAmount <DmdAmt>	[0..1]	Amount	C1, C14	553
	ForeignIncomeAmount <FrgnIncmAmt>	[0..1]	Amount	C1, C14	553
	DeemedDividendAmount <DmdDvddAmt>	[0..1]	Amount	C1, C14	554
	DeemedFundAmount <DmdFndAmt>	[0..1]	Amount	C1, C14	555
	DeemedInterestAmount <DmdIntrstAmt>	[0..1]	Amount	C1, C14	555
	DeemedRoyaltiesAmount <DmdRyltsAmt>	[0..1]	Amount	C1, C14	556
	DateDetails <DtDtls>	[1..1]			557
	PaymentDate <PmtDt>	[1..1]	±		557
	ValueDate <ValDt>	[0..1]	±		557
	ForeignExchangeRateFixingDate <FXRateFxgDt>	[0..1]	±		558
	EarliestPaymentDate <EarlstPmtDt>	[0..1]	±		558
	ForeignExchangeDetails <FXDtls>	[0..1]	±		558
	RateAndAmountDetails <RateAndAmtDtls>	[0..1]		C15, C16, C32, C34, C51, C53, C70, C72, C74, C78, C80	559
	AdditionalTax <AddtlTax>	[0..1]	±		563
	GrossDividendRate <GrssDvddRate>	[0..*]	±		563
	InterestRateUsedForPayment <IntrstRateUsdForPmt>	[0..*]	±		564
	WithholdingTaxRate <WhldgTaxRate>	[0..*]	±		565
	SecondLevelTax <ScndLvlTax>	[0..*]	±		565
	ChargesFees <ChrgsFees>	[0..1]	±		566
	EarlySolicitationFeeRate <EarlySlctnFeeRate>	[0..1]	±		566
	FiscalStamp <FsclStmp>	[0..1]	±		567
	ThirdPartyIncentiveRate <ThrdPtyIncntivRate>	[0..1]	±		567
	NetDividendRate <NetDvddRate>	[0..*]	±		567
	ApplicableRate <AplblRate>	[0..1]	±		568

Or	MessageElement/BuildingBlock<*XML Tag*>	Mult.	Type	Constr. No.	Page
	SolicitationFeeRate <*SlctnFeeRate*>	[0..1]	±		568
	TaxCreditRate <*TaxCdtRate*>	[0..1]	±		569
	TaxOnIncome <*TaxOnIncm*>	[0..1]	±		569
	TaxOnProfits <*TaxOnPrfts*>	[0..1]	±		569
	TaxReclaimRate <*TaxRclmRate*>	[0..1]	±		570
	EqualisationRate <*EqulstnRate*>	[0..1]	±		570
	DeemedRate <*DmdRate*>	[0..*]	±		570
	PriceDetails <*PricDtls*>	[0..1]		C30	571
	GenericCashPricePaidPerProduct <*GncCshPricPdPerPdct*>	[0..1]	±		572
	GenericCashPriceReceivedPerProduct <*GncCshPricRcvdPerPdct*>	[0..1]	±		572
	CashInLieuOfSharePrice <*CshInLieuOfShrPric*>	[0..1]	±		573
	AdditionalInformation <*AddtlInf*>	[0..1]		C3	573
	AdditionalText <*AddtlTxt*>	[0..1]	±		574
	NarrativeVersion <*NrrtvVrsn*>	[0..1]	±		574
	InformationConditions <*InfConds*>	[0..1]	±		575
	InformationToComplyWith <*InfToCmplyWth*>	[0..1]	±		575
	SecurityRestriction <*SctyRstrctn*>	[0..1]	±		575
	TaxationConditions <*TaxtnConds*>	[0..1]	±		576
	Disclaimer <*Dsclmr*>	[0..1]	±		576
	CertificationBreakdown <*CertfctnBrkdwn*>	[0..1]	±		576
	AdditionalInformation <*AddtlInf*>	[0..1]		C4	577
	AdditionalText <*AddtlTxt*>	[0..1]	±		577
	NarrativeVersion <*NrrtvVrsn*>	[0..1]	±		578
	InformationConditions <*InfConds*>	[0..1]	±		578
	InformationToComplyWith <*InfToCmplyWth*>	[0..1]	±		578
	TaxationConditions <*TaxtnConds*>	[0..1]	±		579
	Disclaimer <*Dsclmr*>	[0..1]	±		579
	PartyContactNarrative <*PtyCtctNrrtv*>	[0..1]	±		579
	RegistrationDetails <*RegnDtls*>	[0..1]	±		580
	BasketOrIndexInformation <*BsktOrIndxInf*>	[0..1]	±		580
	CertificationBreakdown <*CertfctnBrkdwn*>	[0..1]	±		580

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	ProcessingTextForNextIntermediary <*PrcgTxtForNxtIntrmy*>	[0..1]	±		581
	IssuerAgent <*IssrAgt*>	[0..*]	±		581
	PayingAgent <*PngAgt*>	[0..*]	±		581
	SubPayingAgent <*SubPngAgt*>	[0..*]	±		582
	Registrar <*Regar*>	[0..1]	±		582
	ResellingAgent <*RsellngAgt*>	[0..*]	±		582
	PhysicalSecuritiesAgent <*PhysSctiesAgt*>	[0..1]	±		583
	DropAgent <*DrpAgt*>	[0..1]	±		583
	SolicitationAgent <*SlctnAgt*>	[0..*]	±		583
	InformationAgent <*InfAgt*>	[0..1]	±		584
	SupplementaryData <*SplmtryData*>	[0..*]	±	C76	584
	Issuer <*Issr*>	[0..1]	±		585
	Offeror <*Offerr*>	[0..*]	±		585
	TransferAgent <*TrfAgt*>	[0..1]	±		585

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 the ISO 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   AdditionalReasonInforrmationRule

(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

– *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.

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.

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.

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.

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 an ISIN code exists, 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.

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.

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.

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 1068 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	PageNumber *<PgNb>*	[1..1]	Text		1069
	LastPageIndicator *<LastPgInd>*	[1..1]	Indicator		1069

7.4.2   MovementPreliminaryAdviceGeneralInformation <MvmntPrlimryAdvcGnlInf>

Presence: [1..1]

Definition: General information about the movement preliminary advice document.

MovementPreliminaryAdviceGeneralInformation <MvmntPrlimryAdvcGnlInf> contains the following **CorporateActionPreliminaryAdviceType3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	CodeSet		413
	Function <Fctn>	[1..1]	CodeSet		413

7.4.2.1 Type <Tp>

Presence: [1..1]

Definition: Type of movement preliminary advice, for example. new or replacement.

Datatype: CorporateActionPreliminaryAdviceType1Code on page 1317

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 1308

CodeName	Name	Definition
ENTL	Entitlement	Message is an entitlement.
CAPA	PreadviceOfMovement	Message is a preadvice of movement.

7.4.3 PreviousMovementPreliminaryAdviceIdentification <PrvsMvmntPrlimryAdvcId>

Presence: [0..1]

Definition: Identification of the previously sent movement preliminary advice document.

PreviousMovementPreliminaryAdviceIdentification <PrvsMvmntPrlimryAdvcId> contains the following elements (see DocumentIdentification31 on page 941 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		941
	LinkageType <LkgTp>	[0..1]	±	C32	941

7.4.4 NotificationIdentification <NtfctnId>

Presence: [0..1]

Definition: Identification of a previously sent notification document.

NotificationIdentification <Ntfctnld> contains the following elements (see DocumentIdentification31 on page 941 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		941
	LinkageType *<LkgTp>*	[0..1]	±	C32	941

7.4.5 MovementConfirmationIdentification <MvmntConfId>

Presence: [0..1]

Definition: Identification of a previously sent movement confirmation document.

MovementConfirmationIdentification <MvmntConfId> contains the following elements (see DocumentIdentification31 on page 941 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		941
	LinkageType *<LkgTp>*	[0..1]	±	C32	941

7.4.6 InstructionIdentification <InstrId>

Presence: [0..1]

Definition: Identification of a related instruction document.

InstructionIdentification <InstrId> contains the following elements (see DocumentIdentification9 on page 966 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		966

7.4.7 OtherDocumentIdentification <OthrDocId>

Presence: [0..*]

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

OtherDocumentIdentification <OthrDocId> contains the following elements (see DocumentIdentification32 on page 944 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]			944
{Or	AccountServicerDocumentIdentification *<AcctSvcrDocId>*	[1..1]	Text		944
Or}	AccountOwnerDocumentIdentification *<AcctOwnrDocId>*	[1..1]	Text		944
	DocumentNumber *<DocNb>*	[0..1]	±	C6	944
	LinkageType *<LkgTp>*	[0..1]	±	C32	945

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 CorporateActionEventReference3 on page 963 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	EventIdentification *<EvtId>*	[1..1]			964
{Or	LinkedOfficialCorporateActionEventIdentification *<LkdOffclCorpActnEvtId>*	[1..1]	Text		964
Or}	LinkedCorporateActionIdentification *<LkdCorpActnId>*	[1..1]	Text		964
	LinkageType *<LkgTp>*	[0..1]	±	C32	964

7.4.9 ReversalReason <RvslRsn>

Presence: [0..1]

Definition: Reason for the reversal.

Impacted by: C5 AdditionalReasonInforrmationRule

ReversalReason <RvslRsn> contains the following **CorporateActionReversalReason5** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Reason *<Rsn>*	[1..1]			416
{Or	**Code** *<Cd>*	[1..1]	CodeSet		416
Or}	**Proprietary** *<Prtry>*	[1..1]	±		416
	AdditionalReasonInformation *<AddtlRsnInf>*	[0..1]	Text		417

Constraints

- **AdditionalReasonInforrmationRule**

(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 **CorporateActionReversalReason5Choice** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	**Code** *<Cd>*	[1..1]	CodeSet		416
Or}	**Proprietary** *<Prtry>*	[1..1]	±		416

7.4.9.1.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the reason for the reversal.

Datatype: CorporateActionReversalReason2Code on page 1317

CodeName	Name	Definition
DCBD	DayCountBasisDifference	Difference in day count basis.
FNRC	FundsNotReceived	Funds have not been received.
IRED	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 GenericIdentification30 on page 965 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

7.4.9.2 AdditionalReasonInformation <AddtlRsnInf>

Presence: [0..1]

Definition: Provides additional information about the processed instruction.

Datatype: Max256Text on page 1358

7.4.10 CorporateActionGeneralInformation <CorpActnGnlInf>

Presence: [1..1]

Definition: General information about the corporate action event.

Impacted by: C54 OfficialCorporateActionEventReference

CorporateActionGeneralInformation <CorpActnGnlInf> contains the following
CorporateActionGeneralInformation163 elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CorporateActionEventIdentification <CorpActnEvtId>	[1..1]	Text		419
	OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>	[0..1]	Text		419
	ClassActionNumber <ClssActnNb>	[0..1]	Text		419
	EventProcessingType <EvtPrcgTp>	[0..1]	±		419
	EventType <EvtTp>	[1..1]	±	C26	420
	MandatoryVoluntaryEventType <MndtryVlntryEvtTp>	[1..1]	±		420
	UnderlyingSecurity <UndrlygScty>	[1..1]		C48, C58	420
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C17, C18, C44, C45, C57	422
	PlaceOfListing <PlcOfListg>	[0..1]	±		423
	DayCountBasis <DayCntBsis>	[0..1]	±		423
	ClassificationType <ClssfctnTp>	[0..1]	±		424
	OptionStyle <OptnStyle>	[0..1]	±		424
	DenominationCurrency <DnmtnCcy>	[0..1]	CodeSet	C2	424
	NextCouponDate <NxtCpnDt>	[0..1]	Date		425
	ExpiryDate <XpryDt>	[0..1]	Date		425
	FloatingRateFixingDate <FltgRateFxgDt>	[0..1]	Date		425
	MaturityDate <MtrtyDt>	[0..1]	Date		425
	IssueDate <IsseDt>	[0..1]	Date		425
	NextCallableDate <NxtCllblDt>	[0..1]	Date		425
	PutableDate <PutblDt>	[0..1]	Date		425
	DatedDate <DtdDt>	[0..1]	Date		426
	ConversionDate <ConvsDt>	[0..1]	Date		426
	InterestRate <IntrstRate>	[0..1]	±		426
	NextInterestRate <NxtIntrstRate>	[0..1]	±		426
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	±		426
	PreviousFactor <PrvsFctr>	[0..1]	±		427
	NextFactor <NxtFctr>	[0..1]	±		427

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	WarrantParity <*WarrtParity*>	[0..1]	±		427
	MinimumNominalQuantity <*MinNmnlQty*>	[0..1]	±	C19	427
	ContractSize <*CtrctSz*>	[0..1]	±	C19	428

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.

7.4.10.1 CorporateActionEventIdentification <CorpActnEvtId>

Presence: [1..1]

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

Datatype: Max35Text on page 1359

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: Max35Text on page 1359

7.4.10.3 ClassActionNumber <ClssActnNb>

Presence: [0..1]

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

Datatype: Max35Text on page 1359

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 CorporateActionEventProcessingType2Choice on page 1124 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <*Cd*>	[1..1]	CodeSet		1124
Or}	Proprietary <*Prtry*>	[1..1]	±		1125

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 <u>CorporateActionEventType86Choice on page 1048</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1048
Or}	Proprietary *<Prtry>*	[1..1]	±		1054

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 <u>CorporateActionMandatoryVoluntary3Choice on page 1123</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1124
Or}	Proprietary *<Prtry>*	[1..1]	±		1124

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 **FinancialInstrumentAttributes108** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C17, C18, C44, C45, C57	422
	PlaceOfListing <PlcOfListg>	[0..1]	±		423
	DayCountBasis <DayCntBsis>	[0..1]	±		423
	ClassificationType <ClssfctnTp>	[0..1]	±		424
	OptionStyle <OptnStyle>	[0..1]	±		424
	DenominationCurrency <DnmtnCcy>	[0..1]	CodeSet	C2	424
	NextCouponDate <NxtCpnDt>	[0..1]	Date		425
	ExpiryDate <XpryDt>	[0..1]	Date		425
	FloatingRateFixingDate <FltgRateFxgDt>	[0..1]	Date		425
	MaturityDate <MtrtyDt>	[0..1]	Date		425
	IssueDate <IsseDt>	[0..1]	Date		425
	NextCallableDate <NxtCllblDt>	[0..1]	Date		425
	PutableDate <PutblDt>	[0..1]	Date		425
	DatedDate <DtdDt>	[0..1]	Date		426
	ConversionDate <ConvsDt>	[0..1]	Date		426
	InterestRate <IntrstRate>	[0..1]	±		426
	NextInterestRate <NxtIntrstRate>	[0..1]	±		426
	PercentageOfDebtClaim <PctgOfDebtClm>	[0..1]	±		426
	PreviousFactor <PrvsFctr>	[0..1]	±		427
	NextFactor <NxtFctr>	[0..1]	±		427
	WarrantParity <WarrtParity>	[0..1]	±		427
	MinimumNominalQuantity <MinNmnlQty>	[0..1]	±	C19	427
	ContractSize <CtrctSz>	[0..1]	±	C19	428

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.

7.4.10.7.1 FinancialInstrumentIdentification <FinInstrmId>

Presence: [1..1]

Definition: Identifies the financial instrument.

Impacted by: C17 DescriptionPresenceRule   , C18 DescriptionUsageRule, C44 ISINGuideline, C45 ISINPresenceRule   ,   C57 OtherIdentificationPresenceRule

FinancialInstrumentIdentification <FinInstrmId> contains the following elements (see SecurityIdentification19 on page 952 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	ISIN *<ISIN>*	[0..1]	IdentifierSet		954
	OtherIdentification *<OthrId>*	[0..*]			954
	Identification *<Id>*	[1..1]	Text		954
	Suffix *<Sfx>*	[0..1]	Text		954
	Type *<Tp>*	[1..1]	±		954
	Description *<Desc>*	[0..1]	Text		955

Constraints

- **DescriptionPresenceRule**

  (Rule)

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

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

Error handling:

  – *Error severity:* Fatal

  – *Error Code:* X00192

  – *Error Text:* At least one identification must be present.

- **DescriptionUsageRule**

  (Rule)

  Description must be used alone as the last resort.

- **ISINGuideline**

  (Rule)

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

- **ISINPresenceRule**

  (Rule)

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

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* X00194

  – *Error Text:* At least one identification must be present.

- **OtherIdentificationPresenceRule**

  (Rule)

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

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* X00193

  – *Error Text:* At least one identification must be present.

7.4.10.7.2 PlaceOfListing <PlcOfListg>

Presence: [0..1]

Definition: Place where the referenced financial instrument is listed.

PlaceOfListing <PlcOfListg> contains one of the following elements (see MarketIdentification3Choice on page 971 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	MarketIdentifierCode *<MktIdrCd>*	[1..1]	IdentifierSet		971
Or}	Description *<Desc>*	[1..1]	Text		971

7.4.10.7.3 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 InterestComputationMethodFormat4Choice on page 1120 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1120
Or}	Proprietary *<Prtry>*	[1..1]	±		1123

7.4.10.7.4 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 ClassificationType32Choice on page 1119 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	ClassificationFinancialInstrument *<ClssfctnFinInstrm>*	[1..1]	IdentifierSet		1119
Or}	AlternateClassification *<AltrnClssfctn>*	[1..1]	±		1119

7.4.10.7.5 OptionStyle <OptnStyle>

Presence: [0..1]

Definition: Specifies how an option can be exercised.

OptionStyle <OptnStyle> contains one of the following elements (see OptionStyle8Choice on page 1118 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1119
Or}	Proprietary *<Prtry>*	[1..1]	±		1119

7.4.10.7.6 DenominationCurrency <DnmtnCcy>

Presence: [0..1]

Definition: Currency in which a financial instrument is currently denominated.

Impacted by: C2 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyCode on page 1271

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.

7.4.10.7.7 NextCouponDate <NxtCpnDt>

Presence: [0..1]

Definition: Next payment date of an interest bearing financial instrument.

Datatype: ISODate on page 1352

7.4.10.7.8 ExpiryDate <XpryDt>

Presence: [0..1]

Definition: Date on which an order expires or at which a privilege or offer terminates.

Datatype: ISODate on page 1352

7.4.10.7.9 FloatingRateFixingDate <FltgRateFxgDt>

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 1352

7.4.10.7.10 MaturityDate <MtrtyDt>

Presence: [0..1]

Definition: Date on which a financial instrument becomes due and assets are to be repaid.

Datatype: ISODate on page 1352

7.4.10.7.11 IssueDate <IsseDt>

Presence: [0..1]

Definition: Date on which the financial instrument is issued.

Datatype: ISODate on page 1352

7.4.10.7.12 NextCallableDate <NxtCllblDt>

Presence: [0..1]

Definition: Date on which a financial instrument is called away/redeemed before its scheduled maturity.

Datatype: ISODate on page 1352

7.4.10.7.13 PutableDate <PutblDt>

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 1352

7.4.10.7.14 DatedDate <DtdDt>

Presence: [0..1]

Definition: Date on which an interest bearing financial instrument begins to accrue interest.

Datatype: ISODate on page 1352

7.4.10.7.15 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 1352

7.4.10.7.16 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 1197 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Rate <*Rate*>	[1..1]	Rate		1197
Or}	NotSpecifiedRate <*NotSpcfdRate*>	[1..1]	CodeSet		1197

7.4.10.7.17 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 1197 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Rate <*Rate*>	[1..1]	Rate		1197
Or}	NotSpecifiedRate <*NotSpcfdRate*>	[1..1]	CodeSet		1197

7.4.10.7.18 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 <PctgOfDebtClm> contains one of the following elements (see RateFormat3Choice on page 1197 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1197
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1197

7.4.10.7.19 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 1125 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1125
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1125

7.4.10.7.20 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 1125 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1125
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1125

7.4.10.7.21 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 QuantityToQuantityRatio1 on page 955 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity1 <Qty1>	[1..1]	Quantity		955
	Quantity2 <Qty2>	[1..1]	Quantity		955

7.4.10.7.22 MinimumNominalQuantity <MinNmnlQty>

Presence: [0..1]

Definition: Minimum nominal quantity of financial instrument.

Impacted by: C19 DigitalTokenUnitUsageRule

MinimumNominalQuantity <MinNmnlQty> contains one of the following elements (see FinancialInstrumentQuantity33Choice on page 1185 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Unit *<Unit>*	[1..1]	Quantity		1186
Or	FaceAmount *<FaceAmt>*	[1..1]	Amount		1186
Or	AmortisedValue *<AmtsdVal>*	[1..1]	Amount		1186
Or}	DigitalTokenUnit *<DgtlTknUnit>*	[1..1]	Quantity		1186

Constraints

- **DigitalTokenUnitUsageRule**

  (Rule)

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

7.4.10.7.23 ContractSize <CtrctSz>

Presence: [0..1]

Definition: Ratio or multiplying factor used to convert one contract into a financial instrument quantity.

Impacted by: C19 DigitalTokenUnitUsageRule

ContractSize <CtrctSz> contains one of the following elements (see FinancialInstrumentQuantity33Choice on page 1185 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Unit *<Unit>*	[1..1]	Quantity		1186
Or	FaceAmount *<FaceAmt>*	[1..1]	Amount		1186
Or	AmortisedValue *<AmtsdVal>*	[1..1]	Amount		1186
Or}	DigitalTokenUnit *<DgtlTknUnit>*	[1..1]	Quantity		1186

Constraints

- **DigitalTokenUnitUsageRule**

  (Rule)

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

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 **AccountIdentification47Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	**ForAllAccounts** <ForAllAccts>	[1..1]	±		429
Or}	**AccountsListAndBalanceDetails** <AcctsListAndBalDtls>	[1..*]		C65, C66, C67, C68	430
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		432
	BlockChainAddressOrWallet <BlckChainAdrOrWllt>	[0..1]	Text		433
	AccountOwner <AcctOwnr>	[0..1]	±		433
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		433
	Balance <Bal>	[0..1]		C7	433
	TotalEligibleBalance <TtlElgblBal>	[0..1]	±		434
	BlockedBalance <BlckdBal>	[0..1]	±		435
	BorrowedBalance <BrrwdBal>	[0..1]	±		435
	CollateralInBalance <CollInBal>	[0..1]	±		435
	CollateralOutBalance <CollOutBal>	[0..1]	±		436
	OnLoanBalance <OnLnBal>	[0..1]	±		436
	PendingDeliveryBalance <PdgDlvryBal>	[0..*]	±		436
	PendingReceiptBalance <PdgRctBal>	[0..*]	±		437
	OutForRegistrationBalance <OutForRegnBal>	[0..1]	±		437
	SettlementPositionBalance <SttlmPosBal>	[0..*]	±		437
	StreetPositionBalance <StrtPosBal>	[0..1]	±		438
	TradeDatePositionBalance <TradDtPosBal>	[0..1]	±		438
	InTransshipmentBalance <InTrnsShipmntBal>	[0..1]	±		438
	RegisteredBalance <RegdBal>	[0..1]	±		439
	ObligatedBalance <OblgtdBal>	[0..1]	±		439
	UninstructedBalance <UinstdBal>	[0..1]	±		439
	InstructedBalance <InstdBal>	[0..1]	±		440
	AffectedBalance <AfctdBal>	[0..1]	±		440
	UnaffectedBalance <UafctdBal>	[0..1]	±		440

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 <u>AccountIdentification10 on page 916</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	IdentificationCode *<IdCd>*	[1..1]	CodeSet		916

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: <u>C65 SafekeepingAccountOrBlockChainAddress1Rule</u>   ,   <u>C66 SafekeepingAccountOrBlockChainAddress2Rule</u>   ,   <u>C67 SafekeepingAccountOrBlockChainAddress3Rule</u>   , <u>C68 SafekeepingPlaceRule</u>

AccountsListAndBalanceDetails <AcctsListAndBalDtls> contains the following **AccountAndBalance47** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		432
	BlockChainAddressOrWallet <BlckChainAdrOrWllt>	[0..1]	Text		433
	AccountOwner <AcctOwnr>	[0..1]	±		433
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		433
	Balance <Bal>	[0..1]		C7	433
	TotalEligibleBalance <TtlElgblBal>	[0..1]	±		434
	BlockedBalance <BlckdBal>	[0..1]	±		435
	BorrowedBalance <BrrwdBal>	[0..1]	±		435
	CollateralInBalance <CollInBal>	[0..1]	±		435
	CollateralOutBalance <CollOutBal>	[0..1]	±		436
	OnLoanBalance <OnLnBal>	[0..1]	±		436
	PendingDeliveryBalance <PdgDlvryBal>	[0..*]	±		436
	PendingReceiptBalance <PdgRctBal>	[0..*]	±		437
	OutForRegistrationBalance <OutForRegnBal>	[0..1]	±		437
	SettlementPositionBalance <SttlmPosBal>	[0..*]	±		437
	StreetPositionBalance <StrtPosBal>	[0..1]	±		438
	TradeDatePositionBalance <TradDtPosBal>	[0..1]	±		438
	InTransshipmentBalance <InTrnsShipmntBal>	[0..1]	±		438
	RegisteredBalance <RegdBal>	[0..1]	±		439
	ObligatedBalance <OblgtdBal>	[0..1]	±		439
	UninstructedBalance <UinstdBal>	[0..1]	±		439
	InstructedBalance <InstdBal>	[0..1]	±		440
	AffectedBalance <AfctdBal>	[0..1]	±		440
	UnaffectedBalance <UafctdBal>	[0..1]	±		440

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: Max35Text on page 1359

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: Max140Text on page 1357

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 PartyIdentification127Choice on page 1145 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	AnyBIC *<AnyBIC>*	[1..1]	IdentifierSet	C1	1145
Or}	ProprietaryIdentification *<PrtryId>*	[1..1]	±		1146

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 SafekeepingPlaceFormat28Choice on page 1231 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Identification *<Id>*	[1..1]			1232
	SafekeepingPlaceType *<SfkpgPlcTp>*	[1..1]	CodeSet		1232
	Identification *<Id>*	[0..1]	Text		1232
Or	Country *<Ctry>*	[1..1]	CodeSet	C3	1232
Or	TypeAndIdentification *<TpAndId>*	[1..1]			1233
	SafekeepingPlaceType *<SfkpgPlcTp>*	[1..1]	CodeSet		1233
	Identification *<Id>*	[1..1]	IdentifierSet	C1	1233
Or}	Proprietary *<Prtry>*	[1..1]	±		1234

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 **CorporateActionBalanceDetails43** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	TotalEligibleBalance *<TtlElgblBal>*	[0..1]	±		434
	BlockedBalance *<BlckdBal>*	[0..1]	±		435
	BorrowedBalance *<BrrwdBal>*	[0..1]	±		435
	CollateralInBalance *<CollInBal>*	[0..1]	±		435
	CollateralOutBalance *<CollOutBal>*	[0..1]	±		436
	OnLoanBalance *<OnLnBal>*	[0..1]	±		436
	PendingDeliveryBalance *<PdgDlvryBal>*	[0..*]	±		436
	PendingReceiptBalance *<PdgRctBal>*	[0..*]	±		437
	OutForRegistrationBalance *<OutForRegnBal>*	[0..1]	±		437
	SettlementPositionBalance *<SttlmPosBal>*	[0..*]	±		437
	StreetPositionBalance *<StrtPosBal>*	[0..1]	±		438
	TradeDatePositionBalance *<TradDtPosBal>*	[0..1]	±		438
	InTransshipmentBalance *<InTrnsShipmntBal>*	[0..1]	±		438
	RegisteredBalance *<RegdBal>*	[0..1]	±		439
	ObligatedBalance *<OblgtdBal>*	[0..1]	±		439
	UninstructedBalance *<UinstdBal>*	[0..1]	±		439
	InstructedBalance *<InstdBal>*	[0..1]	±		440
	AffectedBalance *<AfctdBal>*	[0..1]	±		440
	UnaffectedBalance *<UafctdBal>*	[0..1]	±		440

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 TotalEligibleBalanceFormat10 on page 918 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Balance <Bal>	[0..1]	±		918
	FullPeriodUnits <FullPrdUnits>	[0..1]	±		919
	PartWayPeriodUnits <PartWayPrdUnits>	[0..1]	±		919

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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		921
Or	EligibleBalance <ElgblBal>	[1..1]	±		922
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		922

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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		921
Or	EligibleBalance <ElgblBal>	[1..1]	±		922
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		922

7.4.11.2.5.4 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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

7.4.11.2.5.7 PendingDeliveryBalance <PdgDlvryBal>

Presence: [0..*]

Definition: Balance of financial instruments that are pending delivery.

PendingDeliveryBalance <PdgDlvryBal> contains one of the following elements (see BalanceFormat12Choice on page 920 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		920
Or	EligibleBalance <ElgblBal>	[1..1]	±		920
Or	NotEligibleBalance <NotElgblBal>	[1..1]	±		920
Or	FullPeriodUnits <FullPrdUnits>	[1..1]	±		921
Or}	PartWayPeriodUnits <PartWayPrdUnits>	[1..1]	±		921

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 BalanceFormat12Choice on page 920 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		920
Or	EligibleBalance <ElgblBal>	[1..1]	±		920
Or	NotEligibleBalance <NotElgblBal>	[1..1]	±		920
Or	FullPeriodUnits <FullPrdUnits>	[1..1]	±		921
Or}	PartWayPeriodUnits <PartWayPrdUnits>	[1..1]	±		921

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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		921
Or	EligibleBalance <ElgblBal>	[1..1]	±		922
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		922

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 BalanceFormat12Choice on page 920 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		920
Or	EligibleBalance <ElgblBal>	[1..1]	±		920
Or	NotEligibleBalance <NotElgblBal>	[1..1]	±		920
Or	FullPeriodUnits <FullPrdUnits>	[1..1]	±		921
Or}	PartWayPeriodUnits <PartWayPrdUnits>	[1..1]	±		921

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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		921
Or	EligibleBalance <ElgblBal>	[1..1]	±		922
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		922

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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		921
Or	EligibleBalance <ElgblBal>	[1..1]	±		922
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		922

7.4.11.2.5.13 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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

7.4.12 CorporateActionDetails <CorpActnDtls>

Presence: [0..1]

Definition: Information about the corporate action event.

CorporateActionDetails <CorpActnDtls> contains the following **CorporateAction69** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	DateDetails *<DtDtls>*	[0..1]			441
	RecordDate *<RcrdDt>*	[0..1]	±		442
	ExDividendDate *<ExDvddDt>*	[0..1]	±		442
	LotteryDate *<LtryDt>*	[0..1]	±		442
	SecuritiesQuantity *<SctiesQty>*	[0..1]			443
	BaseDenomination *<BaseDnmtn>*	[0..1]	±	C20	443
	IncrementalDenomination *<IncrmtlDnmtn>*	[0..1]	±	C20	443
	EventStage *<EvtStag>*	[0..1]	±		444
	AdditionalBusinessProcessIndicator *<AddtlBizPrcInd>*	[0..*]	±		444
	IntermediateSecuritiesDistributionType *<IntrmdtSctiesDstrbtnTp>*	[0..1]	±		444
	LotteryType *<LtryTp>*	[0..1]	±		445

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 **CorporateActionDate85** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	RecordDate *<RcrdDt>*	[0..1]	±		442
	ExDividendDate *<ExDvddDt>*	[0..1]	±		442
	LotteryDate *<LtryDt>*	[0..1]	±		442

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 DateFormat30Choice on page 929 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Date *<Dt>*	[1..1]	Date		929
Or}	DateCode *<DtCd>*	[1..1]			929
{Or	Code *<Cd>*	[1..1]	CodeSet		929
Or}	Proprietary *<Prtry>*	[1..1]	±		930

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 DateFormat30Choice on page 929 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Date *<Dt>*	[1..1]	Date		929
Or}	DateCode *<DtCd>*	[1..1]			929
{Or	Code *<Cd>*	[1..1]	CodeSet		929
Or}	Proprietary *<Prtry>*	[1..1]	±		930

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 DateFormat30Choice on page 929 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Date *<Dt>*	[1..1]	Date		929
Or}	DateCode *<DtCd>*	[1..1]			929
{Or	Code *<Cd>*	[1..1]	CodeSet		929
Or}	Proprietary *<Prtry>*	[1..1]	±		930

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 **CorporateActionQuantity12** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	BaseDenomination *<BaseDnmtn>*	[0..1]	±	C20	443
	IncrementalDenomination *<IncrmtlDnmtn>*	[0..1]	±	C20	443

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 FinancialInstrumentQuantity35Choice on page 1195 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Unit *<Unit>*	[1..1]	Quantity		1195
Or	FaceAmount *<FaceAmt>*	[1..1]	Amount		1195
Or	AmortisedValue *<AmtsdVal>*	[1..1]	Amount		1195
Or	Code *<Cd>*	[1..1]	CodeSet		1195
Or}	DigitalTokenUnit *<DgtlTknUnit>*	[1..1]	Quantity		1196

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 <IncrmtlDnmtn> contains one of the following elements (see FinancialInstrumentQuantity35Choice on page 1195 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1195
Or	FaceAmount <FaceAmt>	[1..1]	Amount		1195
Or	AmortisedValue <AmtsdVal>	[1..1]	Amount		1195
Or	Code <Cd>	[1..1]	CodeSet		1195
Or}	DigitalTokenUnit <DgtlTknUnit>	[1..1]	Quantity		1196

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 CorporateActionEventStageFormat14Choice on page 1079 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1080
Or}	Proprietary <Prtry>	[1..1]	±		1080

7.4.12.4 AdditionalBusinessProcessIndicator <AddtlBizPrcInd>

Presence: [0..*]

Definition: Indicates whether the message is related to a claim on the associated corporate action event.

AdditionalBusinessProcessIndicator <AddtlBizPrcInd> contains one of the following elements (see AdditionalBusinessProcessFormat18Choice 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

7.4.12.5 IntermediateSecuritiesDistributionType <IntrmdtSctiesDstrbtnTp>

Presence: [0..1]

Definition: Specifies the type of intermediates securities distribution.

IntermediateSecuritiesDistributionType <IntrmdtSctiesDstrbtnTp> contains one of the following elements (see <u>IntermediateSecuritiesDistributionTypeFormat15Choice on page 1111</u> for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Code <*Cd*>	[1..1]	CodeSet		1111
Or}	Proprietary <*Prtry*>	[1..1]	±		1112

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 <u>LotteryTypeFormat4Choice on page 1108</u> for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Code <*Cd*>	[1..1]	CodeSet		1108
Or}	Proprietary <*Prtry*>	[1..1]	±		1108

7.4.13 CorporateActionMovementDetails <CorpActnMvmntDtls>

Presence: [0..*]

Definition: Information about the corporate action option.

Impacted by: <u>C6 AdditionalTextRule</u>   , <u>C10 AppliedOptionRule</u>,   <u>C22 DissenterRights1Rule</u>   , <u>C23 DissenterRights1UGRule</u>   ,   <u>C24 DissenterRights2Rule</u>   ,   <u>C25 DissenterRights2UGRule</u>   ,   <u>C42 InstructCashAmountRule</u>   , <u>C62 RevocabilityPeriodRule</u>, <u>C55 OptionNumberGuideline</u>

CorporateActionMovementDetails <CorpActnMvmntDtls> contains the following
CorporateActionOption209 elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OptionNumber <OptnNb>	[1..1]	Text		457
	OptionType <OptnTp>	[1..1]	±		457
	FractionDisposition <FrctnDspstn>	[0..1]	±		457
	OfferType <OfferTp>	[0..*]	±		458
	OptionFeatures <OptnFeatrs>	[0..*]	±		458
	OptionAvailabilityStatus <OptnAvlbtySts>	[0..1]	±		458
	CertificationBreakdownType <CertfctnBrkdwnTp>	[0..*]	±		458
	NonDomicileCountry <NonDmclCtry>	[0..*]	CodeSet	C13	459
	ValidDomicileCountry <VldDmclCtry>	[0..*]	CodeSet	C13	459
	CurrencyOption <CcyOptn>	[0..1]	CodeSet	C1	460
	DefaultProcessingOrStandingInstruction <DfltPrcgOrStgInstr>	[1..1]	±		460
	ChargesAppliedIndicator <ChrgsApldInd>	[0..1]	Indicator		460
	CertificationBreakdownIndicator <CertfctnBrkdwnInd>	[0..1]	Indicator		460
	WithdrawalAllowedIndicator <WdrwlAllwdInd>	[0..1]	Indicator		461
	ChangeAllowedIndicator <ChngAllwdInd>	[0..1]	Indicator		461
	AppliedOptionIndicator <ApldOptnInd>	[0..1]	Indicator		461
	SecurityIdentification <SctyId>	[0..1]	±	C17, C18, C44, C45, C57	461
	DateDetails <DtDtls>	[0..1]			463
	EarlyResponseDeadline <EarlyRspnDdln>	[0..1]	±		464
	CoverExpirationDeadline <CoverXprtnDdln>	[0..1]	±		464
	ProtectDeadline <PrtctDdln>	[0..1]	±		464
	MarketDeadline <MktDdln>	[0..1]	±		465
	ResponseDeadline <RspnDdln>	[0..1]	±		465
	ExpiryDate <XpryDt>	[0..1]	±		465
	SubscriptionCostDebitDate <SbcptCostDbtDt>	[0..1]	±		466
	DepositoryCoverExpirationDate <DpstryCoverXprtnDt>	[0..1]	±		466
	StockLendingDeadline <StockLndgDdln>	[0..1]	±		466

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BorrowerStockLendingDeadline *<BrrwrStockLndgDdln>*	[0..*]			467
	StockLendingDeadline *<StockLndgDdln>*	[1..1]	±		467
	Borrower *<Brrwr>*	[1..1]	±		467
	PeriodDetails *<PrdDtls>*	[0..1]			468
	PriceCalculationPeriod *<PricClctnPrd>*	[0..1]	±		468
	ParallelTradingPeriod *<ParllTradgPrd>*	[0..1]	±		468
	ActionPeriod *<ActnPrd>*	[0..1]	±		469
	RevocabilityPeriod *<RvcbltyPrd>*	[0..1]	±		469
	PrivilegeSuspensionPeriod *<PrvlgSspnsnPrd>*	[0..1]	±		469
	AccountServicerRevocabilityPeriod *<AcctSvcrRvcbltyPrd>*	[0..1]	±		469
	DepositorySuspensionPeriodForWithdrawal *<DpstrySspnsnPrdForWdrwl>*	[0..1]	±		470
	RateAndAmountDetails *<RateAndAmtDtls>*	[0..1]		C31, C33, C50, C52, C69, C71, C73, C77, C79	470
	AdditionalTax *<AddtlTax>*	[0..1]	±		473
	GrossDividendRate *<GrssDvddRate>*	[0..*]	±		473
	NetDividendRate *<NetDvddRate>*	[0..*]	±		474
	InterestRateUsedForPayment *<IntrstRateUsdForPmt>*	[0..*]	±		475
	MaximumAllowedOversubscriptionRate *<MaxAllwdOvrsbcptRate>*	[0..1]	±		476
	ProrationRate *<PrratnRate>*	[0..1]	±		476
	WithholdingTaxRate *<WhldgTaxRate>*	[0..*]	±		477
	SecondLevelTax *<ScndLvlTax>*	[0..*]	±		477
	TaxableIncomePerDividendShare *<TaxblIncmPerDvddShr>*	[0..*]	±		477
	TaxOnIncome *<TaxOnIncm>*	[0..1]	±		478
	PriceDetails *<PricDtls>*	[0..1]			478
	CashInLieuOfSharePrice *<CshInLieuOfShrPric>*	[0..1]	±		479
	OverSubscriptionDepositPrice *<OverSbcptDpstPric>*	[0..1]	±		479
	MaximumCashToInstruct *<MaxCshToInst>*	[0..1]	±		479

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	MinimumCashToInstruct <*MinCshToInst*>	[0..1]	±		480
	MinimumMultipleCashToInstruct <*MinMltplCshToInst*>	[0..1]	±		480
	SecuritiesQuantity <*SctiesQty*>	[0..1]			480
	MaximumQuantityToInstruct <*MaxQtyToInst*>	[0..1]	±	C21	481
	MinimumQuantityToInstruct <*MinQtyToInst*>	[0..1]	±	C21	481
	MinimumMultipleQuantityToInstruct <*MinMltplQtyToInst*>	[0..1]	±	C20	482
	NewBoardLotQuantity <*NewBrdLotQty*>	[0..1]	±	C20	482
	NewDenominationQuantity <*NewDnmtnQty*>	[0..1]	±	C20	483
	FrontEndOddLotQuantity <*FrntEndOddLotQty*>	[0..1]	±	C20	483
	BackEndOddLotQuantity <*BckEndOddLotQty*>	[0..1]	±	C20	484
	SecuritiesMovementDetails <*SctiesMvmntDtls*>	[0..*]		C27, C38, C40, C46	484
	SecurityDetails <*SctyDtls*>	[1..1]		C49, C59	488
	FinancialInstrumentIdentification <*FinInstrmId*>	[1..1]	±	C17, C18, C44, C45, C57	490
	PlaceOfListing <*PlcOfListg*>	[0..1]	±		491
	DayCountBasis <*DayCntBsis*>	[0..1]	±		491
	ClassificationType <*Clssfctn Tp*>	[0..1]	±		492
	OptionStyle <*OptnStyle*>	[0..1]	±		492
	DenominationCurrency <*DnmtnCcy*>	[0..1]	CodeSet	C2	492
	NextCouponDate <*NxtCpnDt*>	[0..1]	Date		493
	FloatingRateFixingDate <*FltgRateFxgDt*>	[0..1]	Date		493
	MaturityDate <*MtrtyDt*>	[0..1]	Date		493
	IssueDate <*IsseDt*>	[0..1]	Date		493
	NextCallableDate <*NxtCllblDt*>	[0..1]	Date		493
	PutableDate <*PutblDt*>	[0..1]	Date		493
	DatedDate <*DtdDt*>	[0..1]	Date		493
	ConversionDate <*ConvsDt*>	[0..1]	Date		494
	PreviousFactor <*PrvsFctr*>	[0..1]	±		494

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NextFactor <NxtFctr>	[0..1]	±		494
	InterestRate <IntrstRate>	[0..1]	±		494
	NextInterestRate <NxtIntrstRate>	[0..1]	±		494
	MinimumNominalQuantity <MinNmnlQty>	[0..1]	±	C19	495
	MinimumQuantityToInstruct <MinQtyToInst>	[0..1]	±	C19	495
	MinimumMultipleQuantityToInstruct <MinMltplQtyToInst>	[0..1]	±	C19	496
	ContractSize <CtrctSz>	[0..1]	±	C19	496
	IssuePrice <IssePric>	[0..1]	±		497
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		497
	TemporaryFinancialInstrumentIndicator <TempFinInstrmInd>	[0..1]	±		497
	NonEligibleProceedsIndicator <NonElgblPrcdsInd>	[0..1]	±		497
	IssuerOfferorTaxabilityIndicator <IssrOfferrTaxbltyInd>	[0..1]	±		498
	NewSecuritiesIssuanceIndicator <NewSctiesIssncInd>	[0..1]	CodeSet		498
	IncomeType <IncmTp>	[0..1]	±		499
	OtherIncomeType <OthrIncmTp>	[0..*]	±		499
	ExemptionType <XmptnTp>	[0..*]	±		499
	EntitledQuantity <EntitldQty>	[0..1]	±		500
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		500
	CountryOfIncomeSource <CtryOfIncmSrc>	[0..1]	CodeSet	C13	500
	FractionDisposition <FrctnDspstn>	[0..1]	±		501
	CurrencyOption <CcyOptn>	[0..1]	CodeSet	C1	501
	TradingPeriod <TradgPrd>	[0..1]	±		501
	DateDetails <DtDtls>	[1..1]			502
	PaymentDate <PmtDt>	[1..1]	±		502
	AvailableDate <AvlblDt>	[0..1]	±		502
	DividendRankingDate <DvddRnkgDt>	[0..1]	±		503
	EarliestPaymentDate <EarlstPmtDt>	[0..1]	±		503
	PariPassuDate <PrpssDt>	[0..1]	±		503
	LastTradingDate <LastTradgDt>	[0..1]	±		504
	RateDetails <RateDtls>	[0..1]			504

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AdditionalQuantityForSubscribedResultantSecurities <AddtlQtyForSbcbdRsltntScties>	[0..1]	±		505
	AdditionalQuantityForExistingSecurities <AddtlQtyForExstgScties>	[0..1]	±		505
	NewToOld <NewToOd>	[0..1]	±		506
	TransformationRate <TrfrmatnRate>	[0..1]	Rate		506
	ChargesFees <ChrgsFees>	[0..1]	±		506
	FiscalStamp <FsclStmp>	[0..1]	±		507
	ApplicableRate <AplblRate>	[0..1]	±		507
	TaxCreditRate <TaxCdtRate>	[0..1]	±		507
	FinancialTransactionTaxRate <FinTxTaxRate>	[0..1]	±		508
	WithholdingTaxRate <WhldgTaxRate>	[0..*]	±		508
	SecondLevelTax <ScndLvlTax>	[0..*]	±		508
	PriceDetails <PricDtls>	[0..1]		C29	509
	IndicativeOrMarketPrice <IndctvOrMktPric>	[0..1]			509
{Or	**IndicativePrice** <IndctvPric>	[1..1]	±		510
Or}	**MarketPrice** <MktPric>	[1..1]	±		510
	CashInLieuOfSharePrice <CshInLieuOfShrPric>	[0..1]	±		510
	CashValueForTax <CshValForTax>	[0..1]	±		511
	GenericCashPricePaidPerProduct <GncCshPricPdPerPdct>	[0..1]	±		511
	GenericCashPriceReceivedPerProduct <GncCshPricRcvdPerPdct>	[0..1]	±		511
	AmountDetails <AmtDtls>	[0..1]			512
	WithholdingTaxAmount <WhldgTaxAmt>	[0..1]	Amount	C1, C14	512
	SecondLevelTaxAmount <ScndLvlTaxAmt>	[0..1]	Amount	C1, C14	513
	CashMovementDetails <CshMvmntDtls>	[0..*]		C28, C39, C41, C47	514
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		519
	ContractualPaymentIndicator <CtrctlPmtInd>	[0..1]	CodeSet		519
	NonEligibleProceedsIndicator <NonElgblPrcdsInd>	[0..1]	±		519
	IssuerOfferorTaxabilityIndicator <IssrOfferrTaxbltyInd>	[0..1]	±		520

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	IncomeType <*IncmTp*>	[0..1]	±		520
	OtherIncomeType <*OthrIncmTp*>	[0..*]	±		520
	ExemptionType <*XmptnTp*>	[0..*]	±		521
	CountryOfIncomeSource <*CtryOfIncmSrc*>	[0..1]	CodeSet	C13	521
	CashAccountIdentification <*CshAcctId*>	[0..1]	±		521
	AmountDetails <*AmtDtls*>	[0..1]			522
	GrossCashAmount <*GrssCshAmt*>	[0..1]	Amount	C1, C14	525
	NetCashAmount <*NetCshAmt*>	[0..1]	Amount	C1, C14	525
	SolicitationFees <*SlctnFees*>	[0..1]	Amount	C1, C14	526
	CashInLieuOfShare <*CshInLieuOfShr*>	[0..1]	Amount	C1, C14	527
	CapitalGain <*CptlGn*>	[0..1]	Amount	C1, C14	528
	InterestAmount <*IntrstAmt*>	[0..1]	Amount	C1, C14	528
	MarketClaimAmount <*MktClmAmt*>	[0..1]	Amount	C1, C14	529
	IndemnityAmount <*IndmntyAmt*>	[0..1]	Amount	C1, C14	530
	ManufacturedDividendPaymentAmount <*ManfctrdDvddPmtAmt*>	[0..1]	Amount	C1, C14	530
	ReinvestmentAmount <*RinvstmtAmt*>	[0..1]	Amount	C1, C14	531
	FullyFrankedAmount <*FullyFrnkdAmt*>	[0..1]	Amount	C1, C14	532
	UnfrankedAmount <*UfrnkdAmt*>	[0..1]	Amount	C1, C14	533
	SundryOrOtherAmount <*SndryOrOthrAmt*>	[0..1]	Amount	C1, C14	533
	TaxFreeAmount <*TaxFreeAmt*>	[0..1]	Amount	C1, C14	534
	TaxDeferredAmount <*TaxDfrrdAmt*>	[0..1]	Amount	C1, C14	535
	ValueAddedTaxAmount <*ValAddedTaxAmt*>	[0..1]	Amount	C1, C14	535
	StampDutyAmount <*StmpDtyAmt*>	[0..1]	Amount	C1, C14	536
	TaxReclaimAmount <*TaxRclmAmt*>	[0..1]	Amount	C1, C14	537

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxCreditAmount <*TaxCdtAmt*>	[0..1]	Amount	C1, C14	538
	AdditionalTaxAmount <*AddtlTaxAmt*>	[0..1]	Amount	C1, C14	538
	WithholdingTaxAmount <*WhldgTaxAmt*>	[0..1]	Amount	C1, C14	539
	SecondLevelTaxAmount <*ScndLvlTaxAmt*>	[0..1]	Amount	C1, C14	540
	FiscalStampAmount <*FsclStmpAmt*>	[0..1]	Amount	C1, C14	540
	ExecutingBrokerAmount <*ExctgBrkrAmt*>	[0..1]	Amount	C1, C14	541
	PayingAgentCommissionAmount <*PngAgtComssnAmt*>	[0..1]	Amount	C1, C14	542
	LocalBrokerCommissionAmount <*LclBrkrComssnAmt*>	[0..1]	Amount	C1, C14	543
	RegulatoryFeesAmount <*RgltryFeesAmt*>	[0..1]	Amount	C1, C14	543
	ShippingFeesAmount <*ShppgFeesAmt*>	[0..1]	Amount	C1, C14	544
	ChargesAmount <*ChrgsAmt*>	[0..1]	Amount	C1, C14	545
	EntitledAmount <*EntitldAmt*>	[0..1]	Amount	C1, C14	545
	OriginalAmount <*OrgnlAmt*>	[0..1]	Amount	C1, C14	546
	AccruedInterestAmount <*AcrdIntrstAmt*>	[0..1]	Amount	C1, C14	547
	IncomePortion <*IncmPrtn*>	[0..1]	Amount	C1, C14	548
	EqualisationAmount <*EqulstnAmt*>	[0..1]	Amount	C1, C14	548
	FATCATaxAmount <*FATCATaxAmt*>	[0..1]	Amount	C1, C14	549
	NRATaxAmount <*NRATaxAmt*>	[0..1]	Amount	C1, C14	550
	BackUpWithholdingTaxAmount <*BckUpWhldgTaxAmt*>	[0..1]	Amount	C1, C14	550
	TaxOnIncomeAmount <*TaxOnIncmAmt*>	[0..1]	Amount	C1, C14	551
	TransactionTax <*TxTax*>	[0..1]	Amount	C1, C14	552
	DeemedAmount <*DmdAmt*>	[0..1]	Amount	C1, C14	553

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	ForeignIncomeAmount <*FrgnIncmAmt*>	[0..1]	Amount	C1, C14	553
	DeemedDividendAmount <*DmdDvddAmt*>	[0..1]	Amount	C1, C14	554
	DeemedFundAmount <*DmdFndAmt*>	[0..1]	Amount	C1, C14	555
	DeemedInterestAmount <*DmdIntrstAmt*>	[0..1]	Amount	C1, C14	555
	DeemedRoyaltiesAmount <*DmdRyltsAmt*>	[0..1]	Amount	C1, C14	556
	DateDetails <*DtDtls*>	[1..1]			557
	PaymentDate <*PmtDt*>	[1..1]	±		557
	ValueDate <*ValDt*>	[0..1]	±		557
	ForeignExchangeRateFixingDate <*FXRateFxgDt*>	[0..1]	±		558
	EarliestPaymentDate <*EarlstPmtDt*>	[0..1]	±		558
	ForeignExchangeDetails <*FXDtls*>	[0..1]	±		558
	RateAndAmountDetails <*RateAndAmtDtls*>	[0..1]		C15, C16, C32, C34, C51, C53, C70, C72, C74, C78, C80	559
	AdditionalTax <*AddtlTax*>	[0..1]	±		563
	GrossDividendRate <*GrssDvddRate*>	[0..*]	±		563
	InterestRateUsedForPayment <*IntrstRateUsdForPmt*>	[0..*]	±		564
	WithholdingTaxRate <*WhldgTaxRate*>	[0..*]	±		565
	SecondLevelTax <*ScndLvlTax*>	[0..*]	±		565
	ChargesFees <*ChrgsFees*>	[0..1]	±		566
	EarlySolicitationFeeRate <*EarlySlctnFeeRate*>	[0..1]	±		566
	FiscalStamp <*FsclStmp*>	[0..1]	±		567
	ThirdPartyIncentiveRate <*ThrdPtyIncntivRate*>	[0..1]	±		567
	NetDividendRate <*NetDvddRate*>	[0..*]	±		567
	ApplicableRate <*AplblRate*>	[0..1]	±		568
	SolicitationFeeRate <*SlctnFeeRate*>	[0..1]	±		568

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	TaxCreditRate <*TaxCdtRate*>	[0..1]	±		569
	TaxOnIncome <*TaxOnIncm*>	[0..1]	±		569
	TaxOnProfits <*TaxOnPrfts*>	[0..1]	±		569
	TaxReclaimRate <*TaxRclmRate*>	[0..1]	±		570
	EqualisationRate <*EqulstnRate*>	[0..1]	±		570
	DeemedRate <*DmdRate*>	[0..*]	±		570
	PriceDetails <*PricDtls*>	[0..1]		C30	571
	GenericCashPricePaidPerProduct <*GncCshPricPdPerPdct*>	[0..1]	±		572
	GenericCashPriceReceivedPerProduct <*GncCshPricRcvdPerPdct*>	[0..1]	±		572
	CashInLieuOfSharePrice <*CshInLieuOfShrPric*>	[0..1]	±		573
	AdditionalInformation <*AddtlInf*>	[0..1]		C3	573
	AdditionalText <*AddtlTxt*>	[0..1]	±		574
	NarrativeVersion <*NrrtvVrsn*>	[0..1]	±		574
	InformationConditions <*InfConds*>	[0..1]	±		575
	InformationToComplyWith <*InfToCmplyWth*>	[0..1]	±		575
	SecurityRestriction <*SctyRstrctn*>	[0..1]	±		575
	TaxationConditions <*TaxtnConds*>	[0..1]	±		576
	Disclaimer <*Dsclmr*>	[0..1]	±		576
	CertificationBreakdown <*CertfctnBrkdwn*>	[0..1]	±		576

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 1356

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 CorporateActionOption37Choice on page 996 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		996
Or}	Proprietary *<Prtry>*	[1..1]	±		997

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 FractionDispositionType26Choice on page 1105 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1105
Or}	Proprietary <Prtry>	[1..1]	±		1106

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 OfferTypeFormat12Choice on page 975 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		975
Or}	Proprietary <Prtry>	[1..1]	±		976

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 OptionFeaturesFormat24Choice 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]	±		1066

7.4.13.6 OptionAvailabilityStatus <OptnAvlbtySts>

Presence: [0..1]

Definition: Specifies the status of the option.

OptionAvailabilityStatus <OptnAvlbtySts> contains one of the following elements (see OptionAvailabilityStatus3Choice on page 1104 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1104
Or}	Proprietary <Prtry>	[1..1]	±		1105

7.4.13.7 CertificationBreakdownType <CertfctnBrkdwnTp>

Presence: [0..*]

Definition: Type of certification/breakdown.

CertificationBreakdownType <CertfctnBrkdwnTp> contains one of the following elements (see BeneficiaryCertificationType9Choice on page 1103 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1103
Or}	Proprietary *<Prtry>*	[1..1]	±		1104

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 1318

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 1318

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 1270

Constraints

• **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet 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 971 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	DefaultOptionIndicator *<DfltOptnInd>*	[1..1]	Indicator		971
Or}	StandingInstructionIndicator *<StgInstrInd>*	[1..1]	Indicator		972

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 1355):

• *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 <u>YesNoIndicator on page 1355</u>):

- *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 <u>YesNoIndicator on page 1355</u>):

- *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 <u>YesNoIndicator on page 1355</u>):

- *Meaning When True:* Yes

- *Meaning When False:* No

7.4.13.16 AppliedOptionIndicator <ApldOptnInd>

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 <u>YesNoIndicator on page 1355</u>):

- *Meaning When True:* Yes

- *Meaning When False:* No

7.4.13.17 SecurityIdentification <SctyId>

Presence: [0..1]

Definition: Identifies the financial instrument.

Impacted by: <u>C17 DescriptionPresenceRule</u> , <u>C18 DescriptionUsageRule</u>, <u>C44 ISINGuideline</u>, <u>C45 ISINPresenceRule</u> , <u>C57 OtherIdentificationPresenceRule</u>

SecurityIdentification <SctyId> contains the following elements (see <u>SecurityIdentification19 on page 952</u> for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		954
	OtherIdentification <OthrId>	[0..*]			954
	Identification <Id>	[1..1]	Text		954
	Suffix <Sfx>	[0..1]	Text		954
	Type <Tp>	[1..1]	±		954
	Description <Desc>	[0..1]	Text		955

Constraints

- **DescriptionPresenceRule**

  (Rule)

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

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* X00192

  – *Error Text:* At least one identification must be present.

- **DescriptionUsageRule**

  (Rule)

  Description must be used alone as the last resort.

- **ISINGuideline**

  (Rule)

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

- **ISINPresenceRule**

  (Rule)

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

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00194

– *Error Text:* At least one identification must be present.

- **OtherIdentificationPresenceRule**

   (Rule)

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

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00193

– *Error Text:* At least one identification must be present.

7.4.13.18 DateDetails <DtDtls>

Presence: [0..1]

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

DateDetails <DtDtls> contains the following **CorporateActionDate78** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	EarlyResponseDeadline <*EarlyRspnDdln*>	[0..1]	±		464
	CoverExpirationDeadline <*CoverXprtnDdln*>	[0..1]	±		464
	ProtectDeadline <*PrtctDdln*>	[0..1]	±		464
	MarketDeadline <*MktDdln*>	[0..1]	±		465
	ResponseDeadline <*RspnDdln*>	[0..1]	±		465
	ExpiryDate <*XpryDt*>	[0..1]	±		465
	SubscriptionCostDebitDate <*SbcptCostDbtDt*>	[0..1]	±		466
	DepositoryCoverExpirationDate <*DpstryCoverXprtnDt*>	[0..1]	±		466
	StockLendingDeadline <*StockLndgDdln*>	[0..1]	±		466
	BorrowerStockLendingDeadline <*BrrwrStockLndgDdln*>	[0..*]			467
	StockLendingDeadline <*StockLndgDdln*>	[1..1]	±		467
	Borrower <*Brrwr*>	[1..1]	±		467

7.4.13.18.1 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 DateFormat43Choice on page 936 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Date *<Dt>*	[1..1]	±		936
Or}	DateCode *<DtCd>*	[1..1]			936
{Or	Code *<Cd>*	[1..1]	CodeSet		936
Or}	Proprietary *<Prtry>*	[1..1]	±		937

7.4.13.18.2 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 936 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Date *<Dt>*	[1..1]	±		936
Or}	DateCode *<DtCd>*	[1..1]			936
{Or	Code *<Cd>*	[1..1]	CodeSet		936
Or}	Proprietary *<Prtry>*	[1..1]	±		937

7.4.13.18.3 ProtectDeadline <PrtctDdln>

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 <PrtctDdln> contains one of the following elements (see DateFormat43Choice on page 936 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Date *<Dt>*	[1..1]	±		936
Or}	DateCode *<DtCd>*	[1..1]			936
{Or	Code *<Cd>*	[1..1]	CodeSet		936
Or}	Proprietary *<Prtry>*	[1..1]	±		937

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 DateFormat43Choice on page 936 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Date <*Dt*>	[1..1]	±		936
Or}	DateCode <*DtCd*>	[1..1]			936
{Or	Code <*Cd*>	[1..1]	CodeSet		936
Or}	Proprietary <*Prtry*>	[1..1]	±		937

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 DateFormat44Choice on page 933 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Date <*Dt*>	[1..1]	±		933
Or	DateCodeAndTime <*DtCdAndTm*>	[1..1]			934
	DateCode <*DtCd*>	[1..1]			934
{Or	Code <*Cd*>	[1..1]	CodeSet		934
Or}	Proprietary <*Prtry*>	[1..1]	±		934
	Time <*Tm*>	[1..1]	Time		935
Or}	DateCode <*DtCd*>	[1..1]			935
{Or	Code <*Cd*>	[1..1]	CodeSet		935
Or}	Proprietary <*Prtry*>	[1..1]	±		935

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 <u>DateFormat43Choice on page 936</u> for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Date <*Dt*>	[1..1]	±		936
Or}	DateCode <*DtCd*>	[1..1]			936
{Or	Code <*Cd*>	[1..1]	CodeSet		936
Or}	Proprietary <*Prtry*>	[1..1]	±		937

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 <u>DateFormat43Choice on page 936</u> for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Date <*Dt*>	[1..1]	±		936
Or}	DateCode <*DtCd*>	[1..1]			936
{Or	Code <*Cd*>	[1..1]	CodeSet		936
Or}	Proprietary <*Prtry*>	[1..1]	±		937

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 <u>DateFormat43Choice on page 936</u> for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Date <*Dt*>	[1..1]	±		936
Or}	DateCode <*DtCd*>	[1..1]			936
{Or	Code <*Cd*>	[1..1]	CodeSet		936
Or}	Proprietary <*Prtry*>	[1..1]	±		937

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 DateFormat43Choice on page 936 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		936
Or}	DateCode <DtCd>	[1..1]			936
{Or	Code <Cd>	[1..1]	CodeSet		936
Or}	Proprietary <Prtry>	[1..1]	±		937

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 **BorrowerLendingDeadline5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	StockLendingDeadline <StockLndgDdln>	[1..1]	±		467
	Borrower <Brrwr>	[1..1]	±		467

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 DateFormat43Choice on page 936 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		936
Or}	DateCode <DtCd>	[1..1]			936
{Or	Code <Cd>	[1..1]	CodeSet		936
Or}	Proprietary <Prtry>	[1..1]	±		937

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 PartyIdentification127Choice on page 1145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1145
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1146

7.4.13.19 PeriodDetails <PrdDtls>

Presence: [0..1]

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

PeriodDetails <PrdDtls> contains the following **CorporateActionPeriod12** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceCalculationPeriod <PricClctnPrd>	[0..1]	±		468
	ParallelTradingPeriod <ParllTradgPrd>	[0..1]	±		468
	ActionPeriod <ActnPrd>	[0..1]	±		469
	RevocabilityPeriod <RvcbltyPrd>	[0..1]	±		469
	PrivilegeSuspensionPeriod <PrvlgSspnsnPrd>	[0..1]	±		469
	AccountServicerRevocabilityPeriod <AcctSvcrRvcbltyPrd>	[0..1]	±		469
	DepositorySuspensionPeriodForWithdrawal <DpstrySspnsnPrdForWdrwl>	[0..1]	±		470

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 940 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Period <Prd>	[1..1]	±		940
Or}	PeriodCode <PrdCd>	[1..1]	CodeSet		940

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 <ParllTradgPrd> contains one of the following elements (see Period6Choice on page 940 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Period *<Prd>*	[1..1]	±		940
Or}	PeriodCode *<PrdCd>*	[1..1]	CodeSet		940

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 940 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Period *<Prd>*	[1..1]	±		940
Or}	PeriodCode *<PrdCd>*	[1..1]	CodeSet		940

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 940 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Period *<Prd>*	[1..1]	±		940
Or}	PeriodCode *<PrdCd>*	[1..1]	CodeSet		940

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 940 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Period *<Prd>*	[1..1]	±		940
Or}	PeriodCode *<PrdCd>*	[1..1]	CodeSet		940

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 940 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Period <*Prd*>	[1..1]	±		940
Or}	PeriodCode <*PrdCd*>	[1..1]	CodeSet		940

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 940 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Period <*Prd*>	[1..1]	±		940
Or}	PeriodCode <*PrdCd*>	[1..1]	CodeSet		940

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 **CorporateActionRate106** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	AdditionalTax *<AddtlTax>*	[0..1]	±		473
	GrossDividendRate *<GrssDvddRate>*	[0..*]	±		473
	NetDividendRate *<NetDvddRate>*	[0..*]	±		474
	InterestRateUsedForPayment *<IntrstRateUsdForPmt>*	[0..*]	±		475
	MaximumAllowedOversubscriptionRate *<MaxAllwdOvrsbcptRate>*	[0..1]	±		476
	ProrationRate *<PrratnRate>*	[0..1]	±		476
	WithholdingTaxRate *<WhldgTaxRate>*	[0..*]	±		477
	SecondLevelTax *<ScndLvlTax>*	[0..*]	±		477
	TaxableIncomePerDividendShare *<TaxblIncmPerDvddShr>*	[0..*]	±		477
	TaxOnIncome *<TaxOnIncm>*	[0..1]	±		478

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.

  ```
  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 RateAndAmountFormat37Choice on page 1230 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Rate *<Rate>*	[1..1]	Rate		1230
Or	NotSpecifiedRate *<NotSpcfdRate>*	[1..1]	CodeSet		1230
Or}	Amount *<Amt>*	[1..1]	Amount	C1	1230

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
GrossDividendRateFormat36Choice on page 1031 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C1	1031
Or	AmountAndRateStatus <AmtAndRateSts>	[1..1]			1032
	Amount <Amt>	[1..1]	Amount	C1	1032
	RateStatus <RateSts>	[1..1]	CodeSet		1032
Or	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1033
	RateType <RateTp>	[1..1]			1033
{Or	Code <Cd>	[1..1]	CodeSet		1033
Or}	Proprietary <Prtry>	[1..1]	±		1034
	Amount <Amt>	[1..1]	Amount	C1	1034
	RateStatus <RateSts>	[0..1]		C61	1035
{Or	Code <Cd>	[1..1]	CodeSet		1035
Or}	Proprietary <Prtry>	[1..1]	±		1035
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1036

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 NetDividendRateFormat38Choice on page 1021 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C1	1021
Or	AmountAndRateStatus <AmtAndRateSts>	[1..1]			1022
	Amount <Amt>	[1..1]	Amount	C1	1022
	RateStatus <RateSts>	[1..1]	CodeSet		1023
Or	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1023
	RateType <RateTp>	[1..1]			1023
{Or	Code <Cd>	[1..1]	CodeSet		1023
Or}	Proprietary <Prtry>	[1..1]	±		1024
	Amount <Amt>	[1..1]	Amount	C1	1024
	RateStatus <RateSts>	[0..1]		C61	1025
{Or	Code <Cd>	[1..1]	CodeSet		1025
Or}	Proprietary <Prtry>	[1..1]	±		1025
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1026

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 InterestRateUsedForPaymentFormat8Choice on page 1099 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1099
Or	Amount <Amt>	[1..1]	Amount	C1	1100
Or	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1100
	RateType <RateTp>	[1..1]			1100
{Or	Code <Cd>	[1..1]	CodeSet		1101
Or}	Proprietary <Prtry>	[1..1]	±		1101
	Amount <Amt>	[1..1]	Amount	C1	1101
	RateStatus <RateSts>	[0..1]		C61	1102
{Or	Code <Cd>	[1..1]	CodeSet		1102
Or}	Proprietary <Prtry>	[1..1]	±		1102
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1103

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 1197 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1197
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1197

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 1197 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1197
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1197

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 RateAndAmountFormat41Choice on page 1097 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Rate <*Rate*>	[1..1]	Rate		1097
Or	NotSpecifiedRate <*NotSpcfdRate*>	[1..1]	CodeSet		1097
Or	Amount <*Amt*>	[1..1]	Amount	C1	1097
Or}	RateTypeAndRate <*RateTpAndRate*>	[1..1]			1098
	RateType <*RateTp*>	[1..1]			1098
{Or	Code <*Cd*>	[1..1]	CodeSet		1098
Or}	Proprietary <*Prtry*>	[1..1]	±		1099
	Rate <*Rate*>	[1..1]	Rate		1099

7.4.13.20.8 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 <ScndLvlTax> contains one of the following elements (see RateAndAmountFormat41Choice on page 1097 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Rate <*Rate*>	[1..1]	Rate		1097
Or	NotSpecifiedRate <*NotSpcfdRate*>	[1..1]	CodeSet		1097
Or	Amount <*Amt*>	[1..1]	Amount	C1	1097
Or}	RateTypeAndRate <*RateTpAndRate*>	[1..1]			1098
	RateType <*RateTp*>	[1..1]			1098
{Or	Code <*Cd*>	[1..1]	CodeSet		1098
Or}	Proprietary <*Prtry*>	[1..1]	±		1099
	Rate <*Rate*>	[1..1]	Rate		1099

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 RateTypeAndAmountAndStatus26 on page 1094 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	RateType *<RateTp>*	[1..1]			1094
{Or	Code *<Cd>*	[1..1]	CodeSet		1095
Or}	Proprietary *<Prtry>*	[1..1]	±		1095
	Amount *<Amt>*	[1..1]	Amount	C1	1095
	RateStatus *<RateSts>*	[0..1]		C61	1096
{Or	Code *<Cd>*	[1..1]	CodeSet		1096
Or}	Proprietary *<Prtry>*	[1..1]	±		1096

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 RateAndAmountFormat37Choice on page 1230 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Rate *<Rate>*	[1..1]	Rate		1230
Or	NotSpecifiedRate *<NotSpcfdRate>*	[1..1]	CodeSet		1230
Or}	Amount *<Amt>*	[1..1]	Amount	C1	1230

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 **CorporateActionPrice68** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	CashInLieuOfSharePrice *<CshInLieuOfShrPric>*	[0..1]	±		479
	OverSubscriptionDepositPrice *<OverSbcptDpstPric>*	[0..1]	±		479
	MaximumCashToInstruct *<MaxCshToInst>*	[0..1]	±		479
	MinimumCashToInstruct *<MinCshToInst>*	[0..1]	±		480
	MinimumMultipleCashToInstruct *<MinMltplCshToInst>*	[0..1]	±		480

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 PriceFormat45Choice on page 1182 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <*PctgPric*>	[1..1]			1182
	PercentagePriceType <*PctgPricTp*>	[1..1]	CodeSet		1183
	PriceValue <*PricVal*>	[1..1]	Rate		1183
Or	AmountPrice <*AmtPric*>	[1..1]	±		1183
Or}	NotSpecifiedPrice <*NotSpcfdPric*>	[1..1]	CodeSet		1183

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 PriceFormat45Choice on page 1182 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <*PctgPric*>	[1..1]			1182
	PercentagePriceType <*PctgPricTp*>	[1..1]	CodeSet		1183
	PriceValue <*PricVal*>	[1..1]	Rate		1183
Or	AmountPrice <*AmtPric*>	[1..1]	±		1183
Or}	NotSpecifiedPrice <*NotSpcfdPric*>	[1..1]	CodeSet		1183

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 PriceFormat61Choice on page 1177 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	AmountPrice <*AmtPric*>	[1..1]			1178
	AmountPriceType <*AmtPricTp*>	[1..1]	CodeSet		1178
	PriceValue <*PricVal*>	[1..1]	Amount	C1	1178
Or}	NotSpecifiedPrice <*NotSpcfdPric*>	[1..1]	CodeSet		1179

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 PriceFormat61Choice on page 1177 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	AmountPrice <*AmtPric*>	[1..1]			1178
	AmountPriceType <*AmtPricTp*>	[1..1]	CodeSet		1178
	PriceValue <*PricVal*>	[1..1]	Amount	C1	1178
Or}	NotSpecifiedPrice <*NotSpcfdPric*>	[1..1]	CodeSet		1179

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 PriceFormat61Choice on page 1177 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	AmountPrice <*AmtPric*>	[1..1]			1178
	AmountPriceType <*AmtPricTp*>	[1..1]	CodeSet		1178
	PriceValue <*PricVal*>	[1..1]	Amount	C1	1178
Or}	NotSpecifiedPrice <*NotSpcfdPric*>	[1..1]	CodeSet		1179

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 **SecuritiesOption81** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	MaximumQuantityToInstruct <*MaxQtyToInst*>	[0..1]	±	C21	481
	MinimumQuantityToInstruct <*MinQtyToInst*>	[0..1]	±	C21	481
	MinimumMultipleQuantityToInstruct <*MinMltplQtyToInst*>	[0..1]	±	C20	482
	NewBoardLotQuantity <*NewBrdLotQty*>	[0..1]	±	C20	482
	NewDenominationQuantity <*NewDnmtnQty*>	[0..1]	±	C20	483
	FrontEndOddLotQuantity <*FrntEndOddLotQty*>	[0..1]	±	C20	483
	BackEndOddLotQuantity <*BckEndOddLotQty*>	[0..1]	±	C20	484

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 FinancialInstrumentQuantity34Choice on page 1196 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Unit *<Unit>*	[1..1]	Quantity		1196
Or	FaceAmount *<FaceAmt>*	[1..1]	Amount		1196
Or	AmortisedValue *<AmtsdVal>*	[1..1]	Amount		1196
Or	Code *<Cd>*	[1..1]	CodeSet		1196
Or}	DigitalTokenUnit *<DgtlTknUnit>*	[1..1]	Quantity		1197

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 FinancialInstrumentQuantity34Choice on page 1196 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Unit *<Unit>*	[1..1]	Quantity		1196
Or	FaceAmount *<FaceAmt>*	[1..1]	Amount		1196
Or	AmortisedValue *<AmtsdVal>*	[1..1]	Amount		1196
Or	Code *<Cd>*	[1..1]	CodeSet		1196
Or}	DigitalTokenUnit *<DgtlTknUnit>*	[1..1]	Quantity		1197

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 FinancialInstrumentQuantity35Choice on page 1195 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Unit *<Unit>*	[1..1]	Quantity		1195
Or	FaceAmount *<FaceAmt>*	[1..1]	Amount		1195
Or	AmortisedValue *<AmtsdVal>*	[1..1]	Amount		1195
Or	Code *<Cd>*	[1..1]	CodeSet		1195
Or}	DigitalTokenUnit *<DgtlTknUnit>*	[1..1]	Quantity		1196

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 FinancialInstrumentQuantity35Choice on page 1195 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Unit *<Unit>*	[1..1]	Quantity		1195
Or	FaceAmount *<FaceAmt>*	[1..1]	Amount		1195
Or	AmortisedValue *<AmtsdVal>*	[1..1]	Amount		1195
Or	Code *<Cd>*	[1..1]	CodeSet		1195
Or}	DigitalTokenUnit *<DgtlTknUnit>*	[1..1]	Quantity		1196

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 FinancialInstrumentQuantity35Choice on page 1195 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Unit *<Unit>*	[1..1]	Quantity		1195
Or	FaceAmount *<FaceAmt>*	[1..1]	Amount		1195
Or	AmortisedValue *<AmtsdVal>*	[1..1]	Amount		1195
Or	Code *<Cd>*	[1..1]	CodeSet		1195
Or}	DigitalTokenUnit *<DgtlTknUnit>*	[1..1]	Quantity		1196

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 FinancialInstrumentQuantity35Choice on page 1195 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Unit *<Unit>*	[1..1]	Quantity		1195
Or	FaceAmount *<FaceAmt>*	[1..1]	Amount		1195
Or	AmortisedValue *<AmtsdVal>*	[1..1]	Amount		1195
Or	Code *<Cd>*	[1..1]	CodeSet		1195
Or}	DigitalTokenUnit *<DgtlTknUnit>*	[1..1]	Quantity		1196

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 FinancialInstrumentQuantity35Choice on page 1195 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Unit *<Unit>*	[1..1]	Quantity		1195
Or	FaceAmount *<FaceAmt>*	[1..1]	Amount		1195
Or	AmortisedValue *<AmtsdVal>*	[1..1]	Amount		1195
Or	Code *<Cd>*	[1..1]	CodeSet		1195
Or}	DigitalTokenUnit *<DgtlTknUnit>*	[1..1]	Quantity		1196

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 **SecuritiesOption92** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SecurityDetails <SctyDtls>	[1..1]		C49, C59	488
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C17, C18, C44, C45, C57	490
	PlaceOfListing <PlcOfListg>	[0..1]	±		491
	DayCountBasis <DayCntBsis>	[0..1]	±		491
	ClassificationType <ClssfctnTp>	[0..1]	±		492
	OptionStyle <OptnStyle>	[0..1]	±		492
	DenominationCurrency <DnmtnCcy>	[0..1]	CodeSet	C2	492
	NextCouponDate <NxtCpnDt>	[0..1]	Date		493
	FloatingRateFixingDate <FltgRateFxgDt>	[0..1]	Date		493
	MaturityDate <MtrtyDt>	[0..1]	Date		493
	IssueDate <IsseDt>	[0..1]	Date		493
	NextCallableDate <NxtCllblDt>	[0..1]	Date		493
	PutableDate <PutblDt>	[0..1]	Date		493
	DatedDate <DtdDt>	[0..1]	Date		493
	ConversionDate <ConvsDt>	[0..1]	Date		494
	PreviousFactor <PrvsFctr>	[0..1]	±		494
	NextFactor <NxtFctr>	[0..1]	±		494
	InterestRate <IntrstRate>	[0..1]	±		494
	NextInterestRate <NxtIntrstRate>	[0..1]	±		494
	MinimumNominalQuantity <MinNmnlQty>	[0..1]	±	C19	495
	MinimumQuantityToInstruct <MinQtyToInst>	[0..1]	±	C19	495
	MinimumMultipleQuantityToInstruct <MinMltplQtyToInst>	[0..1]	±	C19	496
	ContractSize <CtrctSz>	[0..1]	±	C19	496
	IssuePrice <IssePric>	[0..1]	±		497
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		497
	TemporaryFinancialInstrumentIndicator <TempFinInstrmInd>	[0..1]	±		497
	NonEligibleProceedsIndicator <NonElgblPrcdsInd>	[0..1]	±		497

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	IssuerOfferorTaxabilityIndicator <*IssrOfferrTaxbltyInd*>	[0..1]	±		498
	NewSecuritiesIssuanceIndicator <*NewSctiesIssncInd*>	[0..1]	CodeSet		498
	IncomeType <*IncmTp*>	[0..1]	±		499
	OtherIncomeType <*OthrIncmTp*>	[0..*]	±		499
	ExemptionType <*XmptnTp*>	[0..*]	±		499
	EntitledQuantity <*EntitldQty*>	[0..1]	±		500
	SafekeepingPlace <*SfkpgPlc*>	[0..1]	±		500
	CountryOfIncomeSource <*CtryOfIncmSrc*>	[0..1]	CodeSet	C13	500
	FractionDisposition <*FrctnDspstn*>	[0..1]	±		501
	CurrencyOption <*CcyOptn*>	[0..1]	CodeSet	C1	501
	TradingPeriod <*TradgPrd*>	[0..1]	±		501
	DateDetails <*DtDtls*>	[1..1]			502
	PaymentDate <*PmtDt*>	[1..1]	±		502
	AvailableDate <*AvlblDt*>	[0..1]	±		502
	DividendRankingDate <*DvddRnkgDt*>	[0..1]	±		503
	EarliestPaymentDate <*EarlstPmtDt*>	[0..1]	±		503
	PariPassuDate <*PrpssDt*>	[0..1]	±		503
	LastTradingDate <*LastTradgDt*>	[0..1]	±		504
	RateDetails <*RateDtls*>	[0..1]			504
	AdditionalQuantityForSubscribedResultantSecurities <*AddtlQtyForSbcbdRsltntScties*>	[0..1]	±		505
	AdditionalQuantityForExistingSecurities <*AddtlQtyForExstgScties*>	[0..1]	±		505
	NewToOld <*NewToOd*>	[0..1]	±		506
	TransformationRate <*TrfrmatnRate*>	[0..1]	Rate		506
	ChargesFees <*ChrgsFees*>	[0..1]	±		506
	FiscalStamp <*FsclStmp*>	[0..1]	±		507
	ApplicableRate <*AplblRate*>	[0..1]	±		507
	TaxCreditRate <*TaxCdtRate*>	[0..1]	±		507
	FinancialTransactionTaxRate <*FinTxTaxRate*>	[0..1]	±		508
	WithholdingTaxRate <*WhldgTaxRate*>	[0..*]	±		508
	SecondLevelTax <*ScndLvlTax*>	[0..*]	±		508
	PriceDetails <*PricDtls*>	[0..1]		C29	509

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	IndicativeOrMarketPrice *<IndctvOrMktPric>*	[0..1]			509
{Or	**IndicativePrice** *<IndctvPric>*	[1..1]	±		510
Or}	**MarketPrice** *<MktPric>*	[1..1]	±		510
	CashInLieuOfSharePrice *<CshInLieuOfShrPric>*	[0..1]	±		510
	CashValueForTax *<CshValForTax>*	[0..1]	±		511
	GenericCashPricePaidPerProduct *<GncCshPricPdPerPdct>*	[0..1]	±		511
	GenericCashPriceReceivedPerProduct *<GncCshPricRcvdPerPdct>*	[0..1]	±		511
	AmountDetails *<AmtDtls>*	[0..1]			512
	WithholdingTaxAmount *<WhldgTaxAmt>*	[0..1]	Amount	C1, C14	512
	SecondLevelTaxAmount *<ScndLvlTaxAmt>*	[0..1]	Amount	C1, C14	513

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.

  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.

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.

7.4.13.23.1 SecurityDetails <SctyDtls>

Presence: [1..1]

Definition: Provides description of the financial instrument related to securities movement.

Impacted by: C49 MaturityDateRule, C59 PreviousNextFactorRule

SecurityDetails <SctyDtls> contains the following **FinancialInstrumentAttributes107** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentIdentification <*FinInstrmId*>	[1..1]	±	C17, C18, C44, C45, C57	490
	PlaceOfListing <*PlcOfListg*>	[0..1]	±		491
	DayCountBasis <*DayCntBsis*>	[0..1]	±		491
	ClassificationType <*ClssfctnTp*>	[0..1]	±		492
	OptionStyle <*OptnStyle*>	[0..1]	±		492
	DenominationCurrency <*DnmtnCcy*>	[0..1]	CodeSet	C2	492
	NextCouponDate <*NxtCpnDt*>	[0..1]	Date		493
	FloatingRateFixingDate <*FltgRateFxgDt*>	[0..1]	Date		493
	MaturityDate <*MtrtyDt*>	[0..1]	Date		493
	IssueDate <*IsseDt*>	[0..1]	Date		493
	NextCallableDate <*NxtCllblDt*>	[0..1]	Date		493
	PutableDate <*PutblDt*>	[0..1]	Date		493
	DatedDate <*DtdDt*>	[0..1]	Date		493
	ConversionDate <*ConvsDt*>	[0..1]	Date		494
	PreviousFactor <*PrvsFctr*>	[0..1]	±		494
	NextFactor <*NxtFctr*>	[0..1]	±		494
	InterestRate <*IntrstRate*>	[0..1]	±		494
	NextInterestRate <*NxtIntrstRate*>	[0..1]	±		494
	MinimumNominalQuantity <*MinNmnlQty*>	[0..1]	±	C19	495
	MinimumQuantityToInstruct <*MinQtyToInst*>	[0..1]	±	C19	495
	MinimumMultipleQuantityToInstruct <*MinMltplQtyToInst*>	[0..1]	±	C19	496
	ContractSize <*CtrctSz*>	[0..1]	±	C19	496
	IssuePrice <*IssePric*>	[0..1]	±		497

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.

7.4.13.23.1.1 FinancialInstrumentIdentification <FinInstrmId>

Presence: [1..1]

Definition: Identification of the financial instrument.

Impacted by: C17 DescriptionPresenceRule   , C18 DescriptionUsageRule, C44 ISINGuideline,
   C45 ISINPresenceRule   ,   C57 OtherIdentificationPresenceRule

FinancialInstrumentIdentification <FinInstrmId> contains the following elements (see SecurityIdentification19 on page 952 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	ISIN <*ISIN*>	[0..1]	IdentifierSet		954
	OtherIdentification <*OthrId*>	[0..*]			954
	Identification <*Id*>	[1..1]	Text		954
	Suffix <*Sfx*>	[0..1]	Text		954
	Type <*Tp*>	[1..1]	±		954
	Description <*Desc*>	[0..1]	Text		955

Constraints

- **DescriptionPresenceRule**

  (Rule)

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

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* X00192

  – *Error Text:* At least one identification must be present.

- **DescriptionUsageRule**

  (Rule)

  Description must be used alone as the last resort.

- **ISINGuideline**

  (Rule)

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

- **ISINPresenceRule**

  (Rule)

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

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

  Error handling:

  - *Error severity:* Fatal

  - *Error Code:* X00194

  - *Error Text:* At least one identification must be present.

- **OtherIdentificationPresenceRule**

  (Rule)

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

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

  Error handling:

  - *Error severity:* Fatal

  - *Error Code:* X00193

  - *Error Text:* At least one identification must be present.

7.4.13.23.1.2 PlaceOfListing <PlcOfListg>

Presence: [0..1]

Definition: Place where the referenced financial instrument is listed.

PlaceOfListing <PlcOfListg> contains one of the following elements (see <u>MarketIdentification3Choice on page 971</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	MarketIdentifierCode *<MktIdrCd>*	[1..1]	IdentifierSet		971
Or}	Description *<Desc>*	[1..1]	Text		971

7.4.13.23.1.3 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 InterestComputationMethodFormat4Choice on page 1120 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1120
Or}	Proprietary <Prtry>	[1..1]	±		1123

7.4.13.23.1.4 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 ClassificationType32Choice on page 1119 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ClassificationFinancialInstrument <ClssfctnFinInstrm>	[1..1]	IdentifierSet		1119
Or}	AlternateClassification <AltrnClssfctn>	[1..1]	±		1119

7.4.13.23.1.5 OptionStyle <OptnStyle>

Presence: [0..1]

Definition: Specifies how an option can be exercised.

OptionStyle <OptnStyle> contains one of the following elements (see OptionStyle8Choice on page 1118 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1119
Or}	Proprietary <Prtry>	[1..1]	±		1119

7.4.13.23.1.6 DenominationCurrency <DnmtnCcy>

Presence: [0..1]

Definition: Currency in which a financial instrument is currently denominated.

Impacted by: C2 ActiveOrHistoricCurrency

Datatype: ActiveOrHistoricCurrencyCode on page 1271

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.

7.4.13.23.1.7 NextCouponDate <NxtCpnDt>

Presence: [0..1]

Definition: Next payment date of an interest bearing financial instrument.

Datatype: ISODate on page 1352

7.4.13.23.1.8 FloatingRateFixingDate <FltgRateFxgDt>

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 1352

7.4.13.23.1.9 MaturityDate <MtrtyDt>

Presence: [0..1]

Definition: Date on which a financial instrument becomes due and assets are to be repaid.

Datatype: ISODate on page 1352

7.4.13.23.1.10 IssueDate <IsseDt>

Presence: [0..1]

Definition: Date at which the security was made available.

Datatype: ISODate on page 1352

7.4.13.23.1.11 NextCallableDate <NxtCllblDt>

Presence: [0..1]

Definition: Date on which a financial instrument is called away/redeemed before its scheduled maturity.

Datatype: ISODate on page 1352

7.4.13.23.1.12 PutableDate <PutblDt>

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 1352

7.4.13.23.1.13 DatedDate <DtdDt>

Presence: [0..1]

Definition: Date on which an interest bearing financial instrument begins to accrue interest.

Datatype: ISODate on page 1352

7.4.13.23.1.14 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 1352

7.4.13.23.1.15 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 1125 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Rate *<Rate>*	[1..1]	Rate		1125
Or}	NotSpecifiedRate *<NotSpcfdRate>*	[1..1]	CodeSet		1125

7.4.13.23.1.16 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 1125 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Rate *<Rate>*	[1..1]	Rate		1125
Or}	NotSpecifiedRate *<NotSpcfdRate>*	[1..1]	CodeSet		1125

7.4.13.23.1.17 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 1197 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Rate *<Rate>*	[1..1]	Rate		1197
Or}	NotSpecifiedRate *<NotSpcfdRate>*	[1..1]	CodeSet		1197

7.4.13.23.1.18 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 <u>RateFormat3Choice on page 1197</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Rate *<Rate>*	[1..1]	Rate		1197
Or}	NotSpecifiedRate *<NotSpcfdRate>*	[1..1]	CodeSet		1197

7.4.13.23.1.19 MinimumNominalQuantity <MinNmnlQty>

Presence: [0..1]

Definition: Minimum nominal quantity of financial instrument.

Impacted by: <u>C19 DigitalTokenUnitUsageRule</u>

MinimumNominalQuantity <MinNmnlQty> contains one of the following elements (see <u>FinancialInstrumentQuantity33Choice on page 1185</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Unit *<Unit>*	[1..1]	Quantity		1186
Or	FaceAmount *<FaceAmt>*	[1..1]	Amount		1186
Or	AmortisedValue *<AmtsdVal>*	[1..1]	Amount		1186
Or}	DigitalTokenUnit *<DgtlTknUnit>*	[1..1]	Quantity		1186

Constraints

- **DigitalTokenUnitUsageRule**

  (Rule)

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

7.4.13.23.1.20 MinimumQuantityToInstruct <MinQtyToInst>

Presence: [0..1]

Definition: Minimum quantity of financial instrument that may be instructed.

Impacted by: <u>C19 DigitalTokenUnitUsageRule</u>

MinimumQuantityToInstruct <MinQtyToInst> contains one of the following elements (see <u>FinancialInstrumentQuantity33Choice on page 1185</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Unit *<Unit>*	[1..1]	Quantity		1186
Or	FaceAmount *<FaceAmt>*	[1..1]	Amount		1186
Or	AmortisedValue *<AmtsdVal>*	[1..1]	Amount		1186
Or}	DigitalTokenUnit *<DgtlTknUnit>*	[1..1]	Quantity		1186

Constraints

• **DigitalTokenUnitUsageRule**

(Rule)

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

7.4.13.23.1.21 MinimumMultipleQuantityToInstruct <MinMltplQtyToInst>

Presence: [0..1]

Definition: Minimum multiple quantity of financial instrument that may be instructed.

Impacted by: C19 DigitalTokenUnitUsageRule

MinimumMultipleQuantityToInstruct <MinMltplQtyToInst> contains one of the following elements (see FinancialInstrumentQuantity33Choice on page 1185 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Unit <*Unit*>	[1..1]	Quantity		1186
Or	FaceAmount <*FaceAmt*>	[1..1]	Amount		1186
Or	AmortisedValue <*AmtsdVal*>	[1..1]	Amount		1186
Or}	DigitalTokenUnit <*DgtlTknUnit*>	[1..1]	Quantity		1186

Constraints

• **DigitalTokenUnitUsageRule**

(Rule)

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

7.4.13.23.1.22 ContractSize <CtrctSz>

Presence: [0..1]

Definition: Ratio or multiplying factor used to convert one contract into a financial instrument quantity.

Impacted by: C19 DigitalTokenUnitUsageRule

ContractSize <CtrctSz> contains one of the following elements (see FinancialInstrumentQuantity33Choice on page 1185 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Unit <*Unit*>	[1..1]	Quantity		1186
Or	FaceAmount <*FaceAmt*>	[1..1]	Amount		1186
Or	AmortisedValue <*AmtsdVal*>	[1..1]	Amount		1186
Or}	DigitalTokenUnit <*DgtlTknUnit*>	[1..1]	Quantity		1186

Constraints

• **DigitalTokenUnitUsageRule**

(Rule)

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

7.4.13.23.1.23 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 PriceFormat45Choice on page 1182 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <*PctgPric*>	[1..1]			1182
	PercentagePriceType <*PctgPricTp*>	[1..1]	CodeSet		1183
	PriceValue <*PricVal*>	[1..1]	Rate		1183
Or	AmountPrice <*AmtPric*>	[1..1]	±		1183
Or}	NotSpecifiedPrice <*NotSpcfdPric*>	[1..1]	CodeSet		1183

7.4.13.23.2 CreditDebitIndicator <CdtDbtInd>

Presence: [1..1]

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

Datatype: CreditDebitCode on page 1319

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 TemporaryFinancialInstrumentIndicator3Choice on page 1093 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	TemporaryIndicator <*TempInd*>	[1..1]	Indicator		1094
Or}	Proprietary <*Prtry*>	[1..1]	±		1094

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 NonEligibleProceedsIndicator3Choice on page 1093 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1093
Or}	Proprietary <Prtry>	[1..1]	±		1093

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 1071 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1072
Or}	Proprietary <Prtry>	[1..1]	±		1072

7.4.13.23.6 NewSecuritiesIssuanceIndicator <NewSctiesIssncInd>

Presence: [0..1]

Definition: Specifies the nature of the securities issue.

Datatype: NewSecuritiesIssuanceType5Code on page 1334

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.

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.

IncomeType <IncmTp> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

7.4.13.23.8 OtherIncomeType <OthrIncmTp>

Presence: [0..*]

Definition: Type of income to be used under another tax regime.

OtherIncomeType <OthrIncmTp> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

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 GenericIdentification30 on page 965 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

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 Quantity51Choice on page 1194 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Quantity <*Qty*>	[1..1]	±	C6	1194
Or}	OriginalAndCurrentFace <*OrgnlAndCurFace*>	[1..1]	±		1194

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 SafekeepingPlaceFormat29Choice on page 1062 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Identification <*Id*>	[1..1]			1063
	SafekeepingPlaceType <*SfkpgPlcTp*>	[1..1]	CodeSet		1063
	Identification <*Id*>	[0..1]	Text		1063
Or	Country <*Ctry*>	[1..1]	CodeSet	C3	1063
Or	TypeAndIdentification <*TpAndId*>	[1..1]			1064
	SafekeepingPlaceType <*SfkpgPlcTp*>	[1..1]	CodeSet		1064
	Identification <*Id*>	[1..1]	IdentifierSet	C1	1064
Or}	Proprietary <*Prtry*>	[1..1]	±		1065

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 1318

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 FractionDispositionType26Choice on page 1105 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1105
Or}	Proprietary *<Prtry>*	[1..1]	±		1106

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 1270

Constraints

• **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet 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 940 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Period <Prd>	[1..1]	±		940
Or}	PeriodCode <PrdCd>	[1..1]	CodeSet		940

7.4.13.23.16 DateDetails <DtDtls>

Presence: [1..1]

Definition: Provides information about the dates related to securities movement.

DateDetails <DtDtls> contains the following **SecurityDate20** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PaymentDate <PmtDt>	[1..1]	±		502
	AvailableDate <AvlblDt>	[0..1]	±		502
	DividendRankingDate <DvddRnkgDt>	[0..1]	±		503
	EarliestPaymentDate <EarlstPmtDt>	[0..1]	±		503
	PariPassuDate <PrpssDt>	[0..1]	±		503
	LastTradingDate <LastTradgDt>	[0..1]	±		504

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 DateFormat30Choice on page 929 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		929
Or}	DateCode <DtCd>	[1..1]			929
{Or	Code <Cd>	[1..1]	CodeSet		929
Or}	Proprietary <Prtry>	[1..1]	±		930

7.4.13.23.16.2 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 <u>DateFormat30Choice on page 929</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Date *<Dt>*	[1..1]	Date		929
Or}	DateCode *<DtCd>*	[1..1]			929
{Or	Code *<Cd>*	[1..1]	CodeSet		929
Or}	Proprietary *<Prtry>*	[1..1]	±		930

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 <u>DateFormat30Choice on page 929</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Date *<Dt>*	[1..1]	Date		929
Or}	DateCode *<DtCd>*	[1..1]			929
{Or	Code *<Cd>*	[1..1]	CodeSet		929
Or}	Proprietary *<Prtry>*	[1..1]	±		930

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 <u>DateFormat30Choice on page 929</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Date *<Dt>*	[1..1]	Date		929
Or}	DateCode *<DtCd>*	[1..1]			929
{Or	Code *<Cd>*	[1..1]	CodeSet		929
Or}	Proprietary *<Prtry>*	[1..1]	±		930

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 <u>DateFormat30Choice on page 929</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Date *<Dt>*	[1..1]	Date		929
Or}	DateCode *<DtCd>*	[1..1]			929
{Or	Code *<Cd>*	[1..1]	CodeSet		929
Or}	Proprietary *<Prtry>*	[1..1]	±		930

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 <u>DateFormat30Choice on page 929</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Date *<Dt>*	[1..1]	Date		929
Or}	DateCode *<DtCd>*	[1..1]			929
{Or	Code *<Cd>*	[1..1]	CodeSet		929
Or}	Proprietary *<Prtry>*	[1..1]	±		930

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 **CorporateActionRate112** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AdditionalQuantityForSubscribedResultantSecurities <AddtlQtyForSbcbdRsltntScties>	[0..1]	±		505
	AdditionalQuantityForExistingSecurities <AddtlQtyForExstgScties>	[0..1]	±		505
	NewToOld <NewToOd>	[0..1]	±		506
	TransformationRate <TrfrmatnRate>	[0..1]	Rate		506
	ChargesFees <ChrgsFees>	[0..1]	±		506
	FiscalStamp <FsclStmp>	[0..1]	±		507
	ApplicableRate <AplblRate>	[0..1]	±		507
	TaxCreditRate <TaxCdtRate>	[0..1]	±		507
	FinancialTransactionTaxRate <FinTxTaxRate>	[0..1]	±		508
	WithholdingTaxRate <WhldgTaxRate>	[0..*]	±		508
	SecondLevelTax <ScndLvlTax>	[0..*]	±		508

7.4.13.23.17.1 AdditionalQuantityForSubscribedResultantSecurities <AddtlQtyForSbcbdRsltntScties>

Presence: [0..1]

Definition: Quantity of additional intermediate securities/new equities awarded for a given quantity of securities derived from subscription.

AdditionalQuantityForSubscribedResultantSecurities <AddtlQtyForSbcbdRsltntScties> contains one of the following elements (see RatioFormat17Choice on page 1091 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	QuantityToQuantity <QtyToQty>	[1..1]	±		1091
Or	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1091
Or}	AmountToAmount <AmtToAmt>	[1..1]			1091
	Amount1 <Amt1>	[1..1]	Amount	C1	1092
	Amount2 <Amt2>	[1..1]	Amount	C1	1092

7.4.13.23.17.2 AdditionalQuantityForExistingSecurities <AddtlQtyForExstgScties>

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 <AddtlQtyForExstgScties> contains one of the following elements (see RatioFormat17Choice on page 1091 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	QuantityToQuantity <QtyToQty>	[1..1]	±		1091
Or	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1091
Or}	AmountToAmount <AmtToAmt>	[1..1]			1091
	Amount1 <Amt1>	[1..1]	Amount	C1	1092
	Amount2 <Amt2>	[1..1]	Amount	C1	1092

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 RatioFormat18Choice on page 1087 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	QuantityToQuantity <QtyToQty>	[1..1]	±		1087
Or	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1088
Or	AmountToAmount <AmtToAmt>	[1..1]			1088
	Amount1 <Amt1>	[1..1]	Amount	C1	1088
	Amount2 <Amt2>	[1..1]	Amount	C1	1089
Or	AmountToQuantity <AmtToQty>	[1..1]			1089
	Amount <Amt>	[1..1]	Amount	C1	1089
	Quantity <Qty>	[1..1]	Quantity		1090
Or}	QuantityToAmount <QtyToAmt>	[1..1]			1090
	Amount <Amt>	[1..1]	Amount	C1	1090
	Quantity <Qty>	[1..1]	Quantity		1091

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 1356

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 RateAndAmountFormat37Choice on page 1230 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Rate *<Rate>*	[1..1]	Rate		1230
Or	NotSpecifiedRate *<NotSpcfdRate>*	[1..1]	CodeSet		1230
Or}	Amount *<Amt>*	[1..1]	Amount	C1	1230

7.4.13.23.17.6 FiscalStamp <FsclStmp>

Presence: [0..1]

Definition: Percentage of fiscal tax to apply.

FiscalStamp <FsclStmp> contains one of the following elements (see RateFormat3Choice on page 1197 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Rate *<Rate>*	[1..1]	Rate		1197
Or}	NotSpecifiedRate *<NotSpcfdRate>*	[1..1]	CodeSet		1197

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 1197 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Rate *<Rate>*	[1..1]	Rate		1197
Or}	NotSpecifiedRate *<NotSpcfdRate>*	[1..1]	CodeSet		1197

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 RateFormat20Choice on page 1227 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Rate *<Rate>*	[1..1]	Rate		1227
Or	Amount *<Amt>*	[1..1]	Amount	C1	1227
Or}	NotSpecifiedRate *<NotSpcfdRate>*	[1..1]	CodeSet		1228

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 1197 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Rate *<Rate>*	[1..1]	Rate		1197
Or}	NotSpecifiedRate *<NotSpcfdRate>*	[1..1]	CodeSet		1197

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 RateAndAmountFormat41Choice on page 1097 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Rate *<Rate>*	[1..1]	Rate		1097
Or	NotSpecifiedRate *<NotSpcfdRate>*	[1..1]	CodeSet		1097
Or	Amount *<Amt>*	[1..1]	Amount	C1	1097
Or}	RateTypeAndRate *<RateTpAndRate>*	[1..1]			1098
	RateType *<RateTp>*	[1..1]			1098
{Or	Code *<Cd>*	[1..1]	CodeSet		1098
Or}	Proprietary *<Prtry>*	[1..1]	±		1099
	Rate *<Rate>*	[1..1]	Rate		1099

7.4.13.23.17.11 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 <ScndLvlTax> contains one of the following elements (see
RateAndAmountFormat41Choice on page 1097 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Rate *<Rate>*	[1..1]	Rate		1097
Or	NotSpecifiedRate *<NotSpcfdRate>*	[1..1]	CodeSet		1097
Or	Amount *<Amt>*	[1..1]	Amount	C1	1097
Or}	RateTypeAndRate *<RateTpAndRate>*	[1..1]			1098
	RateType *<RateTp>*	[1..1]			1098
{Or	Code *<Cd>*	[1..1]	CodeSet		1098
Or}	Proprietary *<Prtry>*	[1..1]	±		1099
	Rate *<Rate>*	[1..1]	Rate		1099

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 **CorporateActionPrice75** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	IndicativeOrMarketPrice *<IndctvOrMktPric>*	[0..1]			509
{Or	**IndicativePrice** *<IndctvPric>*	[1..1]	±		510
Or}	**MarketPrice** *<MktPric>*	[1..1]	±		510
	CashInLieuOfSharePrice *<CshInLieuOfShrPric>*	[0..1]	±		510
	CashValueForTax *<CshValForTax>*	[0..1]	±		511
	GenericCashPricePaidPerProduct *<GncCshPricPdPerPdct>*	[0..1]	±		511
	GenericCashPriceReceivedPerProduct *<GncCshPricRcvdPerPdct>*	[0..1]	±		511

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
IndicativeOrMarketPrice7Choice elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	**IndicativePrice** *<IndctvPric>*	[1..1]	±		510
Or}	**MarketPrice** *<MktPric>*	[1..1]	±		510

7.4.13.23.18.1.1 IndicativePrice <IndctvPric>

Presence: [1..1]

Definition: Estimated price, for example, for valuation purposes.

IndicativePrice <IndctvPric> contains one of the following elements (see PriceFormat45Choice on page 1182 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice *<PctgPric>*	[1..1]			1182
	PercentagePriceType *<PctgPricTp>*	[1..1]	CodeSet		1183
	PriceValue *<PricVal>*	[1..1]	Rate		1183
Or	AmountPrice *<AmtPric>*	[1..1]	±		1183
Or}	NotSpecifiedPrice *<NotSpcfdPric>*	[1..1]	CodeSet		1183

7.4.13.23.18.1.2 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 PriceFormat45Choice on page 1182 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice *<PctgPric>*	[1..1]			1182
	PercentagePriceType *<PctgPricTp>*	[1..1]	CodeSet		1183
	PriceValue *<PricVal>*	[1..1]	Rate		1183
Or	AmountPrice *<AmtPric>*	[1..1]	±		1183
Or}	NotSpecifiedPrice *<NotSpcfdPric>*	[1..1]	CodeSet		1183

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 PriceFormat45Choice on page 1182 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1182
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1183
	PriceValue <PricVal>	[1..1]	Rate		1183
Or	AmountPrice <AmtPric>	[1..1]	±		1183
Or}	NotSpecifiedPrice <NotSpcfdPric>	[1..1]	CodeSet		1183

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 PriceFormat46Choice on page 1181 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AmountPrice <AmtPric>	[1..1]	±		1182
Or}	NotSpecifiedPrice <NotSpcfdPric>	[1..1]	CodeSet		1182

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 PriceFormat44Choice on page 1184 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1184
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1184
	PriceValue <PricVal>	[1..1]	Rate		1185
Or	AmountPrice <AmtPric>	[1..1]	±		1185
Or	NotSpecifiedPrice <NotSpcfdPric>	[1..1]	CodeSet		1185
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		1185

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 PriceFormat65Choice on page 1172 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1173
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1173
	PriceValue <PricVal>	[1..1]	Rate		1174
Or	AmountPrice <AmtPric>	[1..1]	±		1174
Or	NotSpecifiedPrice <NotSpcfdPric>	[1..1]	CodeSet		1174
Or	AmountPricePerFinancialInstrumentQuantity <AmtPricPerFinInstrmQty>	[1..1]			1174
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1175
	PriceValue <PricVal>	[1..1]	Amount	C1	1175
	FinancialInstrumentQuantity <FinInstrmQty>	[1..1]	±	C6	1175
Or	AmountPricePerAmount <AmtPricPerAmt>	[1..1]			1176
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1176
	PriceValue <PricVal>	[1..1]	Amount	C1	1176
	Amount <Amt>	[1..1]	Amount	C1	1177
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		1177

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 **CorporateActionAmounts60** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	WithholdingTaxAmount <WhldgTaxAmt>	[0..1]	Amount	C1, C14	512
	SecondLevelTaxAmount <ScndLvlTaxAmt>	[0..1]	Amount	C1, C14	513

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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

– *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

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

Note: 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 <CshMvmntDtls>

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 **CashOption84** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		519
	ContractualPaymentIndicator <CtrctlPmtInd>	[0..1]	CodeSet		519
	NonEligibleProceedsIndicator <NonElgblPrcdsInd>	[0..1]	±		519
	IssuerOfferorTaxabilityIndicator <IssrOfferrTaxbltyInd>	[0..1]	±		520
	IncomeType <IncmTp>	[0..1]	±		520
	OtherIncomeType <OthrIncmTp>	[0..*]	±		520
	ExemptionType <XmptnTp>	[0..*]	±		521
	CountryOfIncomeSource <CtryOfIncmSrc>	[0..1]	CodeSet	C13	521
	CashAccountIdentification <CshAcctId>	[0..1]	±		521
	AmountDetails <AmtDtls>	[0..1]			522
	GrossCashAmount <GrssCshAmt>	[0..1]	Amount	C1, C14	525
	NetCashAmount <NetCshAmt>	[0..1]	Amount	C1, C14	525
	SolicitationFees <SlctnFees>	[0..1]	Amount	C1, C14	526
	CashInLieuOfShare <CshInLieuOfShr>	[0..1]	Amount	C1, C14	527
	CapitalGain <CptlGn>	[0..1]	Amount	C1, C14	528
	InterestAmount <IntrstAmt>	[0..1]	Amount	C1, C14	528
	MarketClaimAmount <MktClmAmt>	[0..1]	Amount	C1, C14	529
	IndemnityAmount <IndmntyAmt>	[0..1]	Amount	C1, C14	530
	ManufacturedDividendPaymentAmount <ManfctrdDvddPmtAmt>	[0..1]	Amount	C1, C14	530
	ReinvestmentAmount <RinvstmtAmt>	[0..1]	Amount	C1, C14	531
	FullyFrankedAmount <FullyFrnkdAmt>	[0..1]	Amount	C1, C14	532
	UnfrankedAmount <UfrnkdAmt>	[0..1]	Amount	C1, C14	533
	SundryOrOtherAmount <SndryOrOthrAmt>	[0..1]	Amount	C1, C14	533
	TaxFreeAmount <TaxFreeAmt>	[0..1]	Amount	C1, C14	534
	TaxDeferredAmount <TaxDfrrdAmt>	[0..1]	Amount	C1, C14	535

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ValueAddedTaxAmount <*ValAddedTaxAmt*>	[0..1]	Amount	C1, C14	535
	StampDutyAmount <*StmpDtyAmt*>	[0..1]	Amount	C1, C14	536
	TaxReclaimAmount <*TaxRclmAmt*>	[0..1]	Amount	C1, C14	537
	TaxCreditAmount <*TaxCdtAmt*>	[0..1]	Amount	C1, C14	538
	AdditionalTaxAmount <*AddtlTaxAmt*>	[0..1]	Amount	C1, C14	538
	WithholdingTaxAmount <*WhldgTaxAmt*>	[0..1]	Amount	C1, C14	539
	SecondLevelTaxAmount <*ScndLvlTaxAmt*>	[0..1]	Amount	C1, C14	540
	FiscalStampAmount <*FsclStmpAmt*>	[0..1]	Amount	C1, C14	540
	ExecutingBrokerAmount <*ExctgBrkrAmt*>	[0..1]	Amount	C1, C14	541
	PayingAgentCommissionAmount <*PngAgtComssnAmt*>	[0..1]	Amount	C1, C14	542
	LocalBrokerCommissionAmount <*LclBrkrComssnAmt*>	[0..1]	Amount	C1, C14	543
	RegulatoryFeesAmount <*RgltryFeesAmt*>	[0..1]	Amount	C1, C14	543
	ShippingFeesAmount <*ShppgFeesAmt*>	[0..1]	Amount	C1, C14	544
	ChargesAmount <*ChrgsAmt*>	[0..1]	Amount	C1, C14	545
	EntitledAmount <*EntitldAmt*>	[0..1]	Amount	C1, C14	545
	OriginalAmount <*OrgnlAmt*>	[0..1]	Amount	C1, C14	546
	AccruedInterestAmount <*AcrdIntrstAmt*>	[0..1]	Amount	C1, C14	547
	IncomePortion <*IncmPrtn*>	[0..1]	Amount	C1, C14	548
	EqualisationAmount <*EqulstnAmt*>	[0..1]	Amount	C1, C14	548
	FATCATaxAmount <*FATCATaxAmt*>	[0..1]	Amount	C1, C14	549
	NRATaxAmount <*NRATaxAmt*>	[0..1]	Amount	C1, C14	550
	BackUpWithholdingTaxAmount <*BckUpWhldgTaxAmt*>	[0..1]	Amount	C1, C14	550

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TaxOnIncomeAmount <TaxOnIncmAmt>	[0..1]	Amount	C1, C14	551
	TransactionTax <TxTax>	[0..1]	Amount	C1, C14	552
	DeemedAmount <DmdAmt>	[0..1]	Amount	C1, C14	553
	ForeignIncomeAmount <FrgnIncmAmt>	[0..1]	Amount	C1, C14	553
	DeemedDividendAmount <DmdDvddAmt>	[0..1]	Amount	C1, C14	554
	DeemedFundAmount <DmdFndAmt>	[0..1]	Amount	C1, C14	555
	DeemedInterestAmount <DmdIntrstAmt>	[0..1]	Amount	C1, C14	555
	DeemedRoyaltiesAmount <DmdRyltsAmt>	[0..1]	Amount	C1, C14	556
	DateDetails <DtDtls>	[1..1]			557
	PaymentDate <PmtDt>	[1..1]	±		557
	ValueDate <ValDt>	[0..1]	±		557
	ForeignExchangeRateFixingDate <FXRateFxgDt>	[0..1]	±		558
	EarliestPaymentDate <EarlstPmtDt>	[0..1]	±		558
	ForeignExchangeDetails <FXDtls>	[0..1]	±		558
	RateAndAmountDetails <RateAndAmtDtls>	[0..1]		C15, C16, C32, C34, C51, C53, C70, C72, C74, C78, C80	559
	AdditionalTax <AddtlTax>	[0..1]	±		563
	GrossDividendRate <GrssDvddRate>	[0..*]	±		563
	InterestRateUsedForPayment <IntrstRateUsdForPmt>	[0..*]	±		564
	WithholdingTaxRate <WhldgTaxRate>	[0..*]	±		565
	SecondLevelTax <ScndLvlTax>	[0..*]	±		565
	ChargesFees <ChrgsFees>	[0..1]	±		566
	EarlySolicitationFeeRate <EarlySlctnFeeRate>	[0..1]	±		566
	FiscalStamp <FsclStmp>	[0..1]	±		567

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	ThirdPartyIncentiveRate *<ThrdPtyIncntivRate>*	[0..1]	±		567
	NetDividendRate *<NetDvddRate>*	[0..*]	±		567
	ApplicableRate *<AplblRate>*	[0..1]	±		568
	SolicitationFeeRate *<SlctnFeeRate>*	[0..1]	±		568
	TaxCreditRate *<TaxCdtRate>*	[0..1]	±		569
	TaxOnIncome *<TaxOnIncm>*	[0..1]	±		569
	TaxOnProfits *<TaxOnPrfts>*	[0..1]	±		569
	TaxReclaimRate *<TaxRclmRate>*	[0..1]	±		570
	EqualisationRate *<EqulstnRate>*	[0..1]	±		570
	DeemedRate *<DmdRate>*	[0..*]	±		570
	PriceDetails *<PricDtls>*	[0..1]		C30	571
	GenericCashPricePaidPerProduct *<GncCshPricPdPerPdct>*	[0..1]	±		572
	GenericCashPriceReceivedPerProduct *<GncCshPricRcvdPerPdct>*	[0..1]	±		572
	CashInLieuOfSharePrice *<CshInLieuOfShrPric>*	[0..1]	±		573

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.

  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.

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.

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 1319

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

7.4.13.24.2 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 1338

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 <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 NonEligibleProceedsIndicator3Choice on page 1093 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1093
Or}	Proprietary *<Prtry>*	[1..1]	±		1093

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 1071 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1072
Or}	Proprietary *<Prtry>*	[1..1]	±		1072

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.

IncomeType <IncmTp> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

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 GenericIdentification30 on page 965 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

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 GenericIdentification30 on page 965 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

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 1318

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
CashAccountIdentification5Choice on page 916 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	IBAN *<IBAN>*	[1..1]	IdentifierSet	C17	916
Or}	Proprietary *<Prtry>*	[1..1]	Text		917

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 **CorporateActionAmounts55** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	GrossCashAmount <GrssCshAmt>	[0..1]	Amount	C1, C14	525
	NetCashAmount <NetCshAmt>	[0..1]	Amount	C1, C14	525
	SolicitationFees <SlctnFees>	[0..1]	Amount	C1, C14	526
	CashInLieuOfShare <CshInLieuOfShr>	[0..1]	Amount	C1, C14	527
	CapitalGain <CptlGn>	[0..1]	Amount	C1, C14	528
	InterestAmount <IntrstAmt>	[0..1]	Amount	C1, C14	528
	MarketClaimAmount <MktClmAmt>	[0..1]	Amount	C1, C14	529
	IndemnityAmount <IndmntyAmt>	[0..1]	Amount	C1, C14	530
	ManufacturedDividendPaymentAmount <ManfctrdDvddPmtAmt>	[0..1]	Amount	C1, C14	530
	ReinvestmentAmount <RinvstmtAmt>	[0..1]	Amount	C1, C14	531
	FullyFrankedAmount <FullyFrnkdAmt>	[0..1]	Amount	C1, C14	532
	UnfrankedAmount <UfrnkdAmt>	[0..1]	Amount	C1, C14	533
	SundryOrOtherAmount <SndryOrOthrAmt>	[0..1]	Amount	C1, C14	533
	TaxFreeAmount <TaxFreeAmt>	[0..1]	Amount	C1, C14	534
	TaxDeferredAmount <TaxDfrrdAmt>	[0..1]	Amount	C1, C14	535
	ValueAddedTaxAmount <ValAddedTaxAmt>	[0..1]	Amount	C1, C14	535
	StampDutyAmount <StmpDtyAmt>	[0..1]	Amount	C1, C14	536
	TaxReclaimAmount <TaxRclmAmt>	[0..1]	Amount	C1, C14	537
	TaxCreditAmount <TaxCdtAmt>	[0..1]	Amount	C1, C14	538
	AdditionalTaxAmount <AddtlTaxAmt>	[0..1]	Amount	C1, C14	538
	WithholdingTaxAmount <WhldgTaxAmt>	[0..1]	Amount	C1, C14	539
	SecondLevelTaxAmount <ScndLvlTaxAmt>	[0..1]	Amount	C1, C14	540

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FiscalStampAmount <FsclStmpAmt>	[0..1]	Amount	C1, C14	540
	ExecutingBrokerAmount <ExctgBrkrAmt>	[0..1]	Amount	C1, C14	541
	PayingAgentCommissionAmount <PngAgtComssnAmt>	[0..1]	Amount	C1, C14	542
	LocalBrokerCommissionAmount <LclBrkrComssnAmt>	[0..1]	Amount	C1, C14	543
	RegulatoryFeesAmount <RgltryFeesAmt>	[0..1]	Amount	C1, C14	543
	ShippingFeesAmount <ShppgFeesAmt>	[0..1]	Amount	C1, C14	544
	ChargesAmount <ChrgsAmt>	[0..1]	Amount	C1, C14	545
	EntitledAmount <EntitldAmt>	[0..1]	Amount	C1, C14	545
	OriginalAmount <OrgnlAmt>	[0..1]	Amount	C1, C14	546
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C1, C14	547
	IncomePortion <IncmPrtn>	[0..1]	Amount	C1, C14	548
	EqualisationAmount <EqulstnAmt>	[0..1]	Amount	C1, C14	548
	FATCATaxAmount <FATCATaxAmt>	[0..1]	Amount	C1, C14	549
	NRATaxAmount <NRATaxAmt>	[0..1]	Amount	C1, C14	550
	BackUpWithholdingTaxAmount <BckUpWhldgTaxAmt>	[0..1]	Amount	C1, C14	550
	TaxOnIncomeAmount <TaxOnIncmAmt>	[0..1]	Amount	C1, C14	551
	TransactionTax <TxTax>	[0..1]	Amount	C1, C14	552
	DeemedAmount <DmdAmt>	[0..1]	Amount	C1, C14	553
	ForeignIncomeAmount <FrgnIncmAmt>	[0..1]	Amount	C1, C14	553
	DeemedDividendAmount <DmdDvddAmt>	[0..1]	Amount	C1, C14	554
	DeemedFundAmount <DmdFndAmt>	[0..1]	Amount	C1, C14	555
	DeemedInterestAmount <DmdIntrstAmt>	[0..1]	Amount	C1, C14	555

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	DeemedRoyaltiesAmount <*DmdRyltsAmt*>	[0..1]	Amount	C1, C14	556

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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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 <MktClmAmt>

Presence: [0..1]

Definition: Amount of money resulting from a market claim.

Impacted by: C1 ActiveCurrency   ,   C14 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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

Datatype: ActiveCurrencyAndAmount on page 1269

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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 <TaxDfrrdAmt>

Presence: [0..1]

Definition: Amount of income eligible for deferred taxation.

Impacted by: C1 ActiveCurrency   ,   C14 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 1269

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

– *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

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

Note: The decimal separator is a dot.

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00007

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

7.4.13.24.10.22 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: ActiveCurrencyAndAmount on page 1269

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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 <FsclStmpAmt>

Presence: [0..1]

Definition: Amount of fiscal tax to apply.

Impacted by: C1 ActiveCurrency   ,   C14 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

– *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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: <u>C1 ActiveCurrency</u> , <u>C14 CurrencyAmount</u>

Datatype: <u>ActiveCurrencyAndAmount on page 1269</u>

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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: <u>C1 ActiveCurrency</u> , <u>C14 CurrencyAmount</u>

Datatype: <u>ActiveCurrencyAndAmount on page 1269</u>

Constraints

- **ActiveCurrency**

    (Rule)

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

    Error handling:

    – *Error severity:* Fatal

    – *Error Code:* D00005

    – *Error Text:* Invalid currency code

- **CurrencyAmount**

    (Rule)

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

    Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

    (Rule)

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

    Error handling:

    – *Error severity:* Fatal

    – *Error Code:* D00005

– *Error Text:* Invalid currency code

- **CurrencyAmount**

   (Rule)

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

   Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

   (Rule)

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

   Error handling:

   – *Error severity:* Fatal

   – *Error Code:* D00005

   – *Error Text:* Invalid currency code

- **CurrencyAmount**

   (Rule)

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

   Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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 <EqulstnAmt>

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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

– *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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

Datatype: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

– *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

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

Note: 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 **CorporateActionDate84** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	PaymentDate *<PmtDt>*	[1..1]	±		557
	ValueDate *<ValDt>*	[0..1]	±		557
	ForeignExchangeRateFixingDate *<FXRateFxgDt>*	[0..1]	±		558
	EarliestPaymentDate *<EarlstPmtDt>*	[0..1]	±		558

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 <u>DateFormat30Choice on page 929</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Date *<Dt>*	[1..1]	Date		929
Or}	DateCode *<DtCd>*	[1..1]			929
{Or	Code *<Cd>*	[1..1]	CodeSet		929
Or}	Proprietary *<Prtry>*	[1..1]	±		930

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 <u>DateFormat57Choice on page 931</u> for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		932
Or}	DateCode <DtCd>	[1..1]			932
{Or	Code <Cd>	[1..1]	CodeSet		932
Or}	Proprietary <Prtry>	[1..1]	±		932

7.4.13.24.11.3 ForeignExchangeRateFixingDate <FXRateFxgDt>

Presence: [0..1]

Definition: Date/time at which a foreign exchange rate will be determined.

ForeignExchangeRateFixingDate <FXRateFxgDt> contains one of the following elements (see <u>DateFormat43Choice on page 936</u> for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		936
Or}	DateCode <DtCd>	[1..1]			936
{Or	Code <Cd>	[1..1]	CodeSet		936
Or}	Proprietary <Prtry>	[1..1]	±		937

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 <u>DateFormat30Choice on page 929</u> for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		929
Or}	DateCode <DtCd>	[1..1]			929
{Or	Code <Cd>	[1..1]	CodeSet		929
Or}	Proprietary <Prtry>	[1..1]	±		930

7.4.13.24.12 ForeignExchangeDetails <FXDtls>

Presence: [0..1]

Definition: Exchange rate between the amount and the resulting amount.

ForeignExchangeDetails <FXDtls> contains the following elements (see <u>ForeignExchangeTerms24</u> <u>on page 957</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	UnitCurrency *<UnitCcy>*	[1..1]	CodeSet	C1	957
	QuotedCurrency *<QtdCcy>*	[1..1]	CodeSet	C1	957
	ExchangeRate *<XchgRate>*	[1..1]	Rate		958
	ResultingAmount *<RsltgAmt>*	[0..1]	Amount	C1, C11	958

7.4.13.24.13 RateAndAmountDetails <RateAndAmtDtls>

Presence: [0..1]

Definition: Provides information about the corporate action option.

Impacted by: <u>C15 DeemedRate1Rule</u>, <u>C16 DeemedRate2Rule</u>, <u>C32 GrossDividendRate2Rule</u>, <u>C34</u> <u>GrossDividendRate3Rule</u>, <u>C51 NetDividendRate1Rule</u>, <u>C53 NetDividendRate2Rule</u>, <u>C70</u> <u>SecondLevelTax1Rule</u>, <u>C72 SecondLevelTax2Rule</u>,   <u>C74 SecondLevelTax3Rule</u>   , <u>C78</u> <u>WithholdingTaxRate1Rule</u>, <u>C80 WithholdingTaxRate2Rule</u>

RateAndAmountDetails <RateAndAmtDtls> contains the following **Rate36** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AdditionalTax <AddtlTax>	[0..1]	±		563
	GrossDividendRate <GrssDvddRate>	[0..*]	±		563
	InterestRateUsedForPayment <IntrstRateUsdForPmt>	[0..*]	±		564
	WithholdingTaxRate <WhldgTaxRate>	[0..*]	±		565
	SecondLevelTax <ScndLvlTax>	[0..*]	±		565
	ChargesFees <ChrgsFees>	[0..1]	±		566
	EarlySolicitationFeeRate <EarlySlctnFeeRate>	[0..1]	±		566
	FiscalStamp <FsclStmp>	[0..1]	±		567
	ThirdPartyIncentiveRate <ThrdPtyIncntivRate>	[0..1]	±		567
	NetDividendRate <NetDvddRate>	[0..*]	±		567
	ApplicableRate <AplblRate>	[0..1]	±		568
	SolicitationFeeRate <SlctnFeeRate>	[0..1]	±		568
	TaxCreditRate <TaxCdtRate>	[0..1]	±		569
	TaxOnIncome <TaxOnIncm>	[0..1]	±		569
	TaxOnProfits <TaxOnPrfts>	[0..1]	±		569
	TaxReclaimRate <TaxRclmRate>	[0..1]	±		570
	EqualisationRate <EqulstnRate>	[0..1]	±		570
	DeemedRate <DmdRate>	[0..*]	±		570

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:*

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 RateAndAmountFormat37Choice on page 1230 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Rate *<Rate>*	[1..1]	Rate		1230
Or	NotSpecifiedRate *<NotSpcfdRate>*	[1..1]	CodeSet		1230
Or}	Amount *<Amt>*	[1..1]	Amount	C1	1230

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
GrossDividendRateFormat38Choice on page 1011 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C1	1011
Or	AmountAndRateStatus <AmtAndRateSts>	[1..1]			1012
	Amount <Amt>	[1..1]	Amount	C1	1012
	RateStatus <RateSts>	[1..1]	CodeSet		1012
Or	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1013
	RateType <RateTp>	[1..1]			1013
{Or	Code <Cd>	[1..1]	CodeSet		1013
Or}	Proprietary <Prtry>	[1..1]	±		1014
	Amount <Amt>	[1..1]	Amount	C1	1014
	RateStatus <RateSts>	[0..1]		C61	1015
{Or	Code <Cd>	[1..1]	CodeSet		1015
Or}	Proprietary <Prtry>	[1..1]	±		1015
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1016

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 InterestRateUsedForPaymentFormat8Choice on page 1099 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1099
Or	Amount <Amt>	[1..1]	Amount	C1	1100
Or	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1100
	RateType <RateTp>	[1..1]			1100
{Or	Code <Cd>	[1..1]	CodeSet		1101
Or}	Proprietary <Prtry>	[1..1]	±		1101
	Amount <Amt>	[1..1]	Amount	C1	1101
	RateStatus <RateSts>	[0..1]		C61	1102
{Or	Code <Cd>	[1..1]	CodeSet		1102
Or}	Proprietary <Prtry>	[1..1]	±		1102
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1103

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 RateAndAmountFormat41Choice on page 1097 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1097
Or	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1097
Or	Amount <Amt>	[1..1]	Amount	C1	1097
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			1098
	RateType <RateTp>	[1..1]			1098
{Or	Code <Cd>	[1..1]	CodeSet		1098
Or}	Proprietary <Prtry>	[1..1]	±		1099
	Rate <Rate>	[1..1]	Rate		1099

7.4.13.24.13.5 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 <ScndLvlTax> contains one of the following elements (see RateAndAmountFormat41Choice on page 1097 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Rate *<Rate>*	[1..1]	Rate		1097
Or	NotSpecifiedRate *<NotSpcfdRate>*	[1..1]	CodeSet		1097
Or	Amount *<Amt>*	[1..1]	Amount	C1	1097
Or}	RateTypeAndRate *<RateTpAndRate>*	[1..1]			1098
	RateType *<RateTp>*	[1..1]			1098
{Or	Code *<Cd>*	[1..1]	CodeSet		1098
Or}	Proprietary *<Prtry>*	[1..1]	±		1099
	Rate *<Rate>*	[1..1]	Rate		1099

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 RateAndAmountFormat37Choice on page 1230 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Rate *<Rate>*	[1..1]	Rate		1230
Or	NotSpecifiedRate *<NotSpcfdRate>*	[1..1]	CodeSet		1230
Or}	Amount *<Amt>*	[1..1]	Amount	C1	1230

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 SolicitationFeeRateFormat7Choice on page 1085 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1085
Or	AmountToQuantity <AmtToQty>	[1..1]			1085
	Amount <Amt>	[1..1]	Amount	C1	1086
	Quantity <Qty>	[1..1]	Quantity		1086
Or	Amount <Amt>	[1..1]	Amount	C1	1086
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1087

7.4.13.24.13.8 FiscalStamp <FsclStmp>

Presence: [0..1]

Definition: Percentage of fiscal tax to apply.

FiscalStamp <FsclStmp> contains one of the following elements (see RateFormat3Choice on page 1197 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1197
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1197

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 RateFormat20Choice on page 1227 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1227
Or	Amount <Amt>	[1..1]	Amount	C1	1227
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1228

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 NetDividendRateFormat39Choice on page 1006 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C1	1006
Or	AmountAndRateStatus <AmtAndRateSts>	[1..1]			1007
	Amount <Amt>	[1..1]	Amount	C1	1007
	RateStatus <RateSts>	[1..1]	CodeSet		1007
Or	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1007
	RateType <RateTp>	[1..1]			1008
{Or	Code <Cd>	[1..1]	CodeSet		1008
Or}	Proprietary <Prtry>	[1..1]	±		1009
	Amount <Amt>	[1..1]	Amount	C1	1009
	RateStatus <RateSts>	[0..1]		C61	1010
{Or	Code <Cd>	[1..1]	CodeSet		1010
Or}	Proprietary <Prtry>	[1..1]	±		1010
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1011

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 1197 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1197
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1197

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 SolicitationFeeRateFormat7Choice on page 1085 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Rate <*Rate*>	[1..1]	Rate		1085
Or	AmountToQuantity <*AmtToQty*>	[1..1]			1085
	Amount <*Amt*>	[1..1]	Amount	C1	1086
	Quantity <*Qty*>	[1..1]	Quantity		1086
Or	Amount <*Amt*>	[1..1]	Amount	C1	1086
Or}	NotSpecifiedRate <*NotSpcfdRate*>	[1..1]	CodeSet		1087

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 RateFormat20Choice on page 1227 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Rate <*Rate*>	[1..1]	Rate		1227
Or	Amount <*Amt*>	[1..1]	Amount	C1	1227
Or}	NotSpecifiedRate <*NotSpcfdRate*>	[1..1]	CodeSet		1228

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 RateAndAmountFormat37Choice on page 1230 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Rate <*Rate*>	[1..1]	Rate		1230
Or	NotSpecifiedRate <*NotSpcfdRate*>	[1..1]	CodeSet		1230
Or}	Amount <*Amt*>	[1..1]	Amount	C1	1230

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 1197 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1197
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1197

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 1197 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1197
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1197

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 RateAndAmountFormat42Choice on page 1226 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C1	1226
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1227

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
RateAndAmountFormat51Choice 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	1209
Or	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1209
Or	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1209
	RateType <RateTp>	[1..1]			1210
{Or	Code <Cd>	[1..1]	CodeSet		1210
Or}	Proprietary <Prtry>	[1..1]	±		1210
	Amount <Amt>	[1..1]	Amount	C1	1211
	RateStatus <RateSts>	[0..1]		C61	1211
{Or	Code <Cd>	[1..1]	CodeSet		1212
Or}	Proprietary <Prtry>	[1..1]	±		1212
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			1212
	RateType <RateTp>	[1..1]			1212
{Or	Code <Cd>	[1..1]	CodeSet		1213
Or}	Proprietary <Prtry>	[1..1]	±		1213
	Rate <Rate>	[1..1]	Rate		1213

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 **PriceDetails31** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	GenericCashPricePaidPerProduct <GncCshPricPdPerPdct>	[0..1]	±		572
	GenericCashPriceReceivedPerProduct <GncCshPricRcvdPerPdct>	[0..1]	±		572
	CashInLieuOfSharePrice <CshInLieuOfShrPric>	[0..1]	±		573

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 PriceFormat44Choice on page 1184 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice *<PctgPric>*	[1..1]			1184
	PercentagePriceType *<PctgPricTp>*	[1..1]	CodeSet		1184
	PriceValue *<PricVal>*	[1..1]	Rate		1185
Or	AmountPrice *<AmtPric>*	[1..1]	±		1185
Or	NotSpecifiedPrice *<NotSpcfdPric>*	[1..1]	CodeSet		1185
Or}	IndexPoints *<IndxPts>*	[1..1]	Quantity		1185

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 <u>PriceFormat65Choice on page 1172</u> for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1173
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1173
	PriceValue <PricVal>	[1..1]	Rate		1174
Or	AmountPrice <AmtPric>	[1..1]	±		1174
Or	NotSpecifiedPrice <NotSpcfdPric>	[1..1]	CodeSet		1174
Or	AmountPricePerFinancialInstrumentQuantity <AmtPricPerFinInstrmQty>	[1..1]			1174
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1175
	PriceValue <PricVal>	[1..1]	Amount	C1	1175
	FinancialInstrumentQuantity <FinInstrmQty>	[1..1]	±	C6	1175
Or	AmountPricePerAmount <AmtPricPerAmt>	[1..1]			1176
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1176
	PriceValue <PricVal>	[1..1]	Amount	C1	1176
	Amount <Amt>	[1..1]	Amount	C1	1177
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		1177

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 <u>PriceFormat45Choice on page 1182</u> for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1182
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1183
	PriceValue <PricVal>	[1..1]	Rate		1183
Or	AmountPrice <AmtPric>	[1..1]	±		1183
Or}	NotSpecifiedPrice <NotSpcfdPric>	[1..1]	CodeSet		1183

7.4.13.25 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Provides additional information about the corporate action movement.

Impacted by: <u>C3 AdditionalInformationRule</u>

AdditionalInformation <AddtlInf> contains the following **CorporateActionNarrative29** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AdditionalText <AddtlTxt>	[0..1]	±		574
	NarrativeVersion <NrrtvVrsn>	[0..1]	±		574
	InformationConditions <InfConds>	[0..1]	±		575
	InformationToComplyWith <InfToCmplyWth>	[0..1]	±		575
	SecurityRestriction <SctyRstrctn>	[0..1]	±		575
	TaxationConditions <TaxtnConds>	[0..1]	±		576
	Disclaimer <Dsclmr>	[0..1]	±		576
	CertificationBreakdown <CertfctnBrkdwn>	[0..1]	±		576

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 UpdatedAdditionalInformation3 on page 1126 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UpdateDescription <UpdDesc>	[0..1]	Text		1126
	UpdateDate <UpdDt>	[0..1]	Date		1126
	AdditionalInformation <AddtlInf>	[1..1]	Text		1126

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 <u>UpdatedAdditionalInformation3 on page 1126</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	UpdateDescription *<UpdDesc>*	[0..1]	Text		1126
	UpdateDate *<UpdDt>*	[0..1]	Date		1126
	AdditionalInformation *<AddtlInf>*	[1..1]	Text		1126

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 <u>UpdatedAdditionalInformation1 on page 1126</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	UpdateDescription *<UpdDesc>*	[0..1]	Text		1126
	UpdateDate *<UpdDt>*	[0..1]	Date		1126
	AdditionalInformation *<AddtlInf>*	[1..*]	Text		1127

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 <u>UpdatedAdditionalInformation1 on page 1126</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	UpdateDescription *<UpdDesc>*	[0..1]	Text		1126
	UpdateDate *<UpdDt>*	[0..1]	Date		1126
	AdditionalInformation *<AddtlInf>*	[1..*]	Text		1127

7.4.13.25.5 SecurityRestriction <SctyRstrctn>

Presence: [0..1]

Definition: Provides restriction(s) on securities.

SecurityRestriction <SctyRstrctn> contains the following elements (see UpdatedAdditionalInformation1 on page 1126 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UpdateDescription <UpdDesc>	[0..1]	Text		1126
	UpdateDate <UpdDt>	[0..1]	Date		1126
	AdditionalInformation <AddtlInf>	[1..*]	Text		1127

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 UpdatedAdditionalInformation1 on page 1126 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UpdateDescription <UpdDesc>	[0..1]	Text		1126
	UpdateDate <UpdDt>	[0..1]	Date		1126
	AdditionalInformation <AddtlInf>	[1..*]	Text		1127

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 UpdatedAdditionalInformation1 on page 1126 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UpdateDescription <UpdDesc>	[0..1]	Text		1126
	UpdateDate <UpdDt>	[0..1]	Date		1126
	AdditionalInformation <AddtlInf>	[1..*]	Text		1127

7.4.13.25.8 CertificationBreakdown <CertfctnBrkdwn>

Presence: [0..1]

Definition: Provides additional information about the type of certification/breakdown required.

CertificationBreakdown <CertfctnBrkdwn> contains the following elements (see
<u>UpdatedAdditionalInformation1 on page 1126</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	UpdateDescription *<UpdDesc>*	[0..1]	Text		1126
	UpdateDate *<UpdDt>*	[0..1]	Date		1126
	AdditionalInformation *<AddtlInf>*	[1..*]	Text		1127

7.4.14 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Provides additional information.

Impacted by: <u>C4 AdditionalInformationRule</u>

AdditionalInformation <AddtlInf> contains the following **CorporateActionNarrative52** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	AdditionalText *<AddtlTxt>*	[0..1]	±		577
	NarrativeVersion *<NrrtvVrsn>*	[0..1]	±		578
	InformationConditions *<InfConds>*	[0..1]	±		578
	InformationToComplyWith *<InfToCmplyWth>*	[0..1]	±		578
	TaxationConditions *<TaxtnConds>*	[0..1]	±		579
	Disclaimer *<Dsclmr>*	[0..1]	±		579
	PartyContactNarrative *<PtyCtctNrrtv>*	[0..1]	±		579
	RegistrationDetails *<RegnDtls>*	[0..1]	±		580
	BasketOrIndexInformation *<BsktOrIndxInf>*	[0..1]	±		580
	CertificationBreakdown *<CertfctnBrkdwn>*	[0..1]	±		580
	ProcessingTextForNextIntermediary *<PrcgTxtForNxtIntrmy>*	[0..1]	±		581

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 <AddtlTxt> contains the following elements (see UpdatedAdditionalInformation1 on page 1126 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	UpdateDescription *<UpdDesc>*	[0..1]	Text		1126
	UpdateDate *<UpdDt>*	[0..1]	Date		1126
	AdditionalInformation *<AddtlInf>*	[1..*]	Text		1127

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 UpdatedAdditionalInformation1 on page 1126 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	UpdateDescription *<UpdDesc>*	[0..1]	Text		1126
	UpdateDate *<UpdDt>*	[0..1]	Date		1126
	AdditionalInformation *<AddtlInf>*	[1..*]	Text		1127

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 UpdatedAdditionalInformation1 on page 1126 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	UpdateDescription *<UpdDesc>*	[0..1]	Text		1126
	UpdateDate *<UpdDt>*	[0..1]	Date		1126
	AdditionalInformation *<AddtlInf>*	[1..*]	Text		1127

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 UpdatedAdditionalInformation1 on page 1126 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	UpdateDescription *<UpdDesc>*	[0..1]	Text		1126
	UpdateDate *<UpdDt>*	[0..1]	Date		1126
	AdditionalInformation *<AddtlInf>*	[1..*]	Text		1127

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 UpdatedAdditionalInformation1 on page 1126 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	UpdateDescription *<UpdDesc>*	[0..1]	Text		1126
	UpdateDate *<UpdDt>*	[0..1]	Date		1126
	AdditionalInformation *<AddtlInf>*	[1..*]	Text		1127

7.4.14.6 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 UpdatedAdditionalInformation1 on page 1126 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	UpdateDescription *<UpdDesc>*	[0..1]	Text		1126
	UpdateDate *<UpdDt>*	[0..1]	Date		1126
	AdditionalInformation *<AddtlInf>*	[1..*]	Text		1127

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 UpdatedAdditionalInformation1 on page 1126 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UpdateDescription <UpdDesc>	[0..1]	Text		1126
	UpdateDate <UpdDt>	[0..1]	Date		1126
	AdditionalInformation <AddtlInf>	[1..*]	Text		1127

7.4.14.8 RegistrationDetails <RegnDtls>

Presence: [0..1]

Definition: Provides information required for the registration.

RegistrationDetails <RegnDtls> contains the following elements (see UpdatedAdditionalInformation1 on page 1126 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UpdateDescription <UpdDesc>	[0..1]	Text		1126
	UpdateDate <UpdDt>	[0..1]	Date		1126
	AdditionalInformation <AddtlInf>	[1..*]	Text		1127

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 UpdatedAdditionalInformation1 on page 1126 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UpdateDescription <UpdDesc>	[0..1]	Text		1126
	UpdateDate <UpdDt>	[0..1]	Date		1126
	AdditionalInformation <AddtlInf>	[1..*]	Text		1127

7.4.14.10 CertificationBreakdown <CertfctnBrkdwn>

Presence: [0..1]

Definition: Provides additional information about the type of certification/breakdown required.

CertificationBreakdown <CertfctnBrkdwn> contains the following elements (see UpdatedAdditionalInformation1 on page 1126 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UpdateDescription <UpdDesc>	[0..1]	Text		1126
	UpdateDate <UpdDt>	[0..1]	Date		1126
	AdditionalInformation <AddtlInf>	[1..*]	Text		1127

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 1126 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UpdateDescription <UpdDesc>	[0..1]	Text		1126
	UpdateDate <UpdDt>	[0..1]	Date		1126
	AdditionalInformation <AddtlInf>	[1..*]	Text		1127

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 PartyIdentification129Choice on page 1144 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1144
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1144
Or	NameAndAddress <NmAndAdr>	[1..1]	±		1145
Or}	LEI <LEI>	[1..1]	IdentifierSet		1145

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 PartyIdentification120Choice on page 1143 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1143
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1143
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1144

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 PartyIdentification120Choice on page 1143 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1143
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1143
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1144

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 PartyIdentification120Choice on page 1143 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1143
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1143
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1144

7.4.19 ResellingAgent <RsellngAgt>

Presence: [0..*]

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

ResellingAgent <RsellngAgt> contains one of the following elements (see PartyIdentification120Choice on page 1143 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1143
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1143
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1144

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 PartyIdentification120Choice on page 1143 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1143
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1143
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1144

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 PartyIdentification120Choice on page 1143 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1143
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1143
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1144

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 PartyIdentification120Choice on page 1143 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	AnyBIC *<AnyBIC>*	[1..1]	IdentifierSet	C1	1143
Or	ProprietaryIdentification *<PrtryId>*	[1..1]	±		1143
Or}	NameAndAddress *<NmAndAdr>*	[1..1]	±		1144

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 PartyIdentification120Choice on page 1143 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	AnyBIC *<AnyBIC>*	[1..1]	IdentifierSet	C1	1143
Or	ProprietaryIdentification *<PrtryId>*	[1..1]	±		1143
Or}	NameAndAddress *<NmAndAdr>*	[1..1]	±		1144

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 1127 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	PlaceAndName *<PlcAndNm>*	[0..1]	Text		1127
	Envelope *<Envlp>*	[1..1]	(External Schema)		1127

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 PartyIdentification129Choice on page 1144 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	AnyBIC *<AnyBIC>*	[1..1]	IdentifierSet	C1	1144
Or	ProprietaryIdentification *<PrtryId>*	[1..1]	±		1144
Or	NameAndAddress *<NmAndAdr>*	[1..1]	±		1145
Or}	LEI *<LEI>*	[1..1]	IdentifierSet		1145

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 PartyIdentification129Choice on page 1144 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	AnyBIC *<AnyBIC>*	[1..1]	IdentifierSet	C1	1144
Or	ProprietaryIdentification *<PrtryId>*	[1..1]	±		1144
Or	NameAndAddress *<NmAndAdr>*	[1..1]	±		1145
Or}	LEI *<LEI>*	[1..1]	IdentifierSet		1145

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 PartyIdentification129Choice on page 1144 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	AnyBIC *<AnyBIC>*	[1..1]	IdentifierSet	C1	1144
Or	ProprietaryIdentification *<PrtryId>*	[1..1]	±		1144
Or	NameAndAddress *<NmAndAdr>*	[1..1]	±		1145
Or}	LEI *<LEI>*	[1..1]	IdentifierSet		1145

8   MX seev.036.001.14 CorporateActionMovementConfirmationV14

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 CorporateActionMovementConfirmationV14 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/offeror. 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/offeror.

O. SubPayingAgent

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

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	
	Pagination *<Pgntn>*	[0..1]	±		613
	NotificationIdentification *<NtfctnId>*	[0..1]	±		613
	MovementPreliminaryAdviceIdentification *<MvmntPrlimryAdvcId>*	[0..1]	±		613
	InstructionIdentification *<InstrId>*	[0..1]	±		613
	OtherDocumentIdentification *<OthrDocId>*	[0..*]	±		614
	EventsLinkage *<EvtsLkg>*	[0..*]	±		614
	TransactionIdentification *<TxId>*	[0..1]			614
	MarketInfrastructureTransactionIdentification *<MktInfrstrctrTxId>*	[1..1]	Text		615
	CorporateActionGeneralInformation *<CorpActnGnlInf>*	[1..1]		C45	615
	CorporateActionEventIdentification *<CorpActnEvtId>*	[1..1]	Text		616
	OfficialCorporateActionEventIdentification *<OffclCorpActnEvtId>*	[0..1]	Text		616
	ClassActionNumber *<ClssActnNb>*	[0..1]	Text		616
	EventType *<EvtTp>*	[1..1]	±	C17	616
	FinancialInstrumentIdentification *<FinInstrmId>*	[1..1]	±	C14, C15, C35, C36, C48	617
	FractionalQuantity *<FrctnlQty>*	[0..1]	±	C16	618
	AccountDetails *<AcctDtls>*	[1..1]		C52, C54, C56, C58	619
	SafekeepingAccount *<SfkpgAcct>*	[0..1]	Text		621
	BlockChainAddressOrWallet *<BlckChainAdrOrWllt>*	[0..1]	Text		621
	AccountOwner *<AcctOwnr>*	[0..1]	±		622
	SafekeepingPlace *<SfkpgPlc>*	[0..1]	±		622

Or	MessageElement/BuildingBlock<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Balance <*Bal*>	[1..1]		C7	622
	ConfirmedBalance <*ConfdBal*>	[1..1]	±		623
	TotalEligibleBalance <*TtlElgblBal*>	[0..1]	±		624
	BlockedBalance <*BlckdBal*>	[0..1]	±		624
	BorrowedBalance <*BrrwdBal*>	[0..1]	±		624
	CollateralInBalance <*CollInBal*>	[0..1]	±		624
	CollateralOutBalance <*CollOutBal*>	[0..1]	±		625
	OnLoanBalance <*OnLnBal*>	[0..1]	±		625
	PendingDeliveryBalance <*PdgDlvryBal*>	[0..*]	±		625
	PendingReceiptBalance <*PdgRctBal*>	[0..*]	±		626
	OutForRegistrationBalance <*OutForRegnBal*>	[0..1]	±		626
	SettlementPositionBalance <*SttlmPosBal*>	[0..*]	±		626
	StreetPositionBalance <*StrtPosBal*>	[0..1]	±		627
	TradeDatePositionBalance <*TradDtPosBal*>	[0..1]	±		627
	InTransshipmentBalance <*InTrnsShipmntBal*>	[0..1]	±		627
	RegisteredBalance <*RegdBal*>	[0..1]	±		628
	AffectedBalance <*AfctdBal*>	[0..1]	±		628
	UnaffectedBalance <*UafctdBal*>	[0..1]	±		628
	CorporateActionDetails <*CorpActnDtls*>	[0..1]			629
	DateDetails <*DtDtls*>	[0..1]			629
	RecordDate <*RcrdDt*>	[0..1]	±		629
	ExDividendDate <*ExDvddDt*>	[0..1]	±		630
	EventStage <*EvtStag*>	[0..1]	±		630
	AdditionalBusinessProcessIndicator <*AddtlBizPrcInd*>	[0..*]	±		630
	IntermediateSecuritiesDistributionType <*IntrmdtSctiesDstrbtnTp*>	[0..1]	±		631
	LotteryType <*LtryTp*>	[0..1]	±		631
	CorporateActionConfirmationDetails <*CorpActnConfDtls*>	[1..1]			631
	OptionNumber <*OptnNb*>	[1..1]	±		638
	OptionType <*OptnTp*>	[1..1]	±		639
	OptionFeatures <*OptnFeatrs*>	[0..*]	±		639
	FractionDisposition <*FrctnDspstn*>	[0..1]	±		639

Or	MessageElement/BuildingBlock<*XML Tag*>	Mult.	Type	Constr. No.	Page
	CurrencyOption <*CcyOptn*>	[0..1]	CodeSet	C1	640
	DateDetails <*DtDtls*>	[0..1]			640
	CoverExpirationDeadline <*CoverXprtnDdln*>	[0..1]	±		640
	TradingDate <*TradgDt*>	[0..1]	±		641
	PeriodDetails <*PrdDtls*>	[0..1]			641
	PriceCalculationPeriod <*PricClctnPrd*>	[0..1]	±		641
	ActionPeriod <*ActnPrd*>	[0..1]	±		641
	ParallelTradingPeriod <*ParllTradgPrd*>	[0..1]	±		642
	RateAndAmountDetails <*RateAndAmtDtls*>	[0..1]		C23, C25, C43, C44, C62, C64, C66, C70, C72	642
	GrossDividendRate <*GrssDvddRate*>	[0..*]	±		645
	NetDividendRate <*NetDvddRate*>	[0..*]	±		645
	InterestRateUsedForPayment <*IntrstRateUsdForPmt*>	[0..*]	±		646
	MaximumAllowedOversubscriptionRate <*MaxAllwdOvrsbcptRate*>	[0..1]	Rate		647
	ProrationRate <*PrratnRate*>	[0..1]	Rate		647
	WithholdingTaxRate <*WhldgTaxRate*>	[0..*]	±		647
	SecondLevelTax <*ScndLvlTax*>	[0..*]	±		647
	AdditionalTax <*AddtlTax*>	[0..1]	±		648
	TaxableIncomePerDividendShare <*TaxblIncmPerDvddShr*>	[0..*]	±		648
	PriceDetails <*PricDtls*>	[0..1]		C22	649
	CashInLieuOfSharePrice <*CshInLieuOfShrPric*>	[0..1]	±		649
	OverSubscriptionDepositPrice <*OverSbcptDpstPric*>	[0..1]	±		649
	PlaceOfTrade <*PlcOfTrad*>	[0..1]	±	C40	650
	SecuritiesMovementDetails <*SctiesMvmntDtls*>	[0..*]		C18, C30, C32, C38	650
	FinancialInstrumentIdentification <*FinInstrmId*>	[1..1]	±	C14, C15, C35, C36, C48	653

Or	MessageElement/BuildingBlock*<XML Tag>*	Mult.	Type	Constr. No.	Page
	CreditDebitIndicator *<CdtDbtInd>*	[1..1]	CodeSet		655
	TemporaryFinancialInstrumentIndicator *<TempFinInstrmInd>*	[0..1]	±		655
	NewSecuritiesIssuanceIndicator *<NewSctiesIssncInd>*	[0..1]	CodeSet		655
	IssuerOfferorTaxabilityIndicator *<IssrOfferrTaxbltyInd>*	[0..1]	±		656
	IncomeType *<IncmTp>*	[0..1]	±		656
	OtherIncomeType *<OthrIncmTp>*	[0..*]	±		656
	ExemptionType *<XmptnTp>*	[0..*]	±		657
	CountryOfIncomeSource *<CtryOfIncmSrc>*	[0..1]	CodeSet	C10	657
	PostingQuantity *<PstngQty>*	[1..1]	±		657
	SafekeepingPlace *<SfkpgPlc>*	[0..1]	±		658
	FractionDisposition *<FrctnDspstn>*	[0..1]	±		658
	CurrencyOption *<CcyOptn>*	[0..1]	CodeSet	C1	658
	DateDetails *<DtDtls>*	[1..1]			659
	PostingDate *<PstngDt>*	[1..1]	Date		659
	AvailableDate *<AvlblDt>*	[0..1]	±		659
	PariPassuDate *<PrpssDt>*	[0..1]	±		660
	DividendRankingDate *<DvddRnkgDt>*	[0..1]	±		660
	EarliestPaymentDate *<EarlstPmtDt>*	[0..1]	±		660
	PaymentDate *<PmtDt>*	[0..1]	±		661
	RateDetails *<RateDtls>*	[0..1]			661
	AdditionalQuantityForSubscribedResultantSecurities *<AddtlQtyForSbcbdRsltntScties>*	[0..1]	±		662
	AdditionalQuantityForExistingSecurities *<AddtlQtyForExstgScties>*	[0..1]	±		662
	NewToOld *<NewToOd>*	[0..1]	±		663
	ChargesFees *<ChrgsFees>*	[0..1]	±		663
	FiscalStamp *<FsclStmp>*	[0..1]	Rate		664
	ApplicableRate *<AplblRate>*	[0..1]	Rate		664
	TaxCreditRate *<TaxCdtRate>*	[0..1]	±		664
	FinancialTransactionTaxRate *<FinTxTaxRate>*	[0..1]	Rate		664
	WithholdingTaxRate *<WhldgTaxRate>*	[0..*]	±		664
	SecondLevelTax *<ScndLvlTax>*	[0..*]	±		665

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceDetails <PricDtls>	[0..1]		C20	665
	CashInLieuOfSharePrice <CshInLieuOfShrPric>	[0..1]	±		666
	IndicativeOrMarketPrice <IndctvOrMktPric>	[0..1]			666
{Or	**IndicativePrice** <IndctvPric>	[1..1]	±		667
Or}	**MarketPrice** <MktPric>	[1..1]	±		667
	CashValueForTax <CshValForTax>	[0..1]	±		667
	GenericCashPricePaidPerProduct <GncCshPricPdPerPdct>	[0..1]	±		668
	GenericCashPriceReceivedPerProduct <GncCshPricRcvdPerPdct>	[0..1]	±		668
	AmountDetails <AmtDtls>	[0..1]			669
	WithholdingTaxAmount <WhldgTaxAmt>	[0..1]	Amount	C1, C11	669
	SecondLevelTaxAmount <ScndLvlTaxAmt>	[0..1]	Amount	C1, C11	670
	ReceivingSettlementParties <RcvgSttlmPties>	[0..1]	±	C49, C50	671
	DeliveringSettlementParties <DlvrgSttlmPties>	[0..1]	±	C49, C50	672
	CashMovementDetails <CshMvmntDtls>	[0..*]		C19, C31, C33, C39	674
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		680
	ContractualPaymentIndicator <CtrctlPmtInd>	[0..1]	CodeSet		680
	IssuerOfferorTaxabilityIndicator <IssrOfferrTaxbltyInd>	[0..1]	±		680
	IncomeType <IncmTp>	[0..1]	±		680
	OtherIncomeType <OthrIncmTp>	[0..*]	±		681
	ExemptionType <XmptnTp>	[0..*]	±		681
	CountryOfIncomeSource <CtryOfIncmSrc>	[0..1]	CodeSet	C10	681
	Account <Acct>	[0..1]			682
{Or	**CashAccount** <CshAcct>	[1..1]	±		682
Or	**ChargesAccount** <ChrgsAcct>	[1..1]	±		682
Or}	**TaxAccount** <TaxAcct>	[1..1]	±		682
	CashParties <CshPties>	[0..1]	±		683
	AmountDetails <AmtDtls>	[1..1]			683

Or	MessageElement/BuildingBlock<*XML Tag*>	Mult.	Type	Constr. No.	Page
	PostingAmount <*PstngAmt*>	[1..1]	Amount	C1, C11	686
	GrossCashAmount <*GrssCshAmt*>	[0..1]	Amount	C1, C11	687
	NetCashAmount <*NetCshAmt*>	[0..1]	Amount	C1, C11	688
	SolicitationFees <*SlctnFees*>	[0..1]	Amount	C1, C11	688
	CashInLieuOfShare <*CshInLieuOfShr*>	[0..1]	Amount	C1, C11	689
	CapitalGain <*CptlGn*>	[0..1]	Amount	C1, C11	690
	InterestAmount <*IntrstAmt*>	[0..1]	Amount	C1, C11	690
	MarketClaimAmount <*MktClmAmt*>	[0..1]	Amount	C1, C11	691
	IndemnityAmount <*IndmntyAmt*>	[0..1]	Amount	C1, C11	692
	ManufacturedDividendPaymentAmount <*ManfctrdDvddPmtAmt*>	[0..1]	Amount	C1, C11	693
	ReinvestmentAmount <*RinvstmtAmt*>	[0..1]	Amount	C1, C11	693
	FullyFrankedAmount <*FullyFrnkdAmt*>	[0..1]	Amount	C1, C11	694
	UnfrankedAmount <*UfrnkdAmt*>	[0..1]	Amount	C1, C11	695
	SundryOrOtherAmount <*SndryOrOthrAmt*>	[0..1]	Amount	C1, C11	695
	TaxFreeAmount <*TaxFreeAmt*>	[0..1]	Amount	C1, C11	696
	TaxDeferredAmount <*TaxDfrrdAmt*>	[0..1]	Amount	C1, C11	697
	ValueAddedTaxAmount <*ValAddedTaxAmt*>	[0..1]	Amount	C1, C11	698
	StampDutyAmount <*StmpDtyAmt*>	[0..1]	Amount	C1, C11	698
	TaxReclaimAmount <*TaxRclmAmt*>	[0..1]	Amount	C1, C11	699
	TaxCreditAmount <*TaxCdtAmt*>	[0..1]	Amount	C1, C11	700
	AdditionalTaxAmount <*AddtlTaxAmt*>	[0..1]	Amount	C1, C11	700
	WithholdingTaxAmount <*WhldgTaxAmt*>	[0..1]	Amount	C1, C11	701

Or	MessageElement/BuildingBlock<*XML Tag*>	Mult.	Type	Constr. No.	Page
	SecondLevelTaxAmount <*ScndLvlTaxAmt*>	[0..1]	Amount	C1, C11	702
	FiscalStampAmount <*FsclStmpAmt*>	[0..1]	Amount	C1, C11	703
	ExecutingBrokerAmount <*ExctgBrkrAmt*>	[0..1]	Amount	C1, C11	703
	PayingAgentCommissionAmount <*PngAgtComssnAmt*>	[0..1]	Amount	C1, C11	704
	LocalBrokerCommissionAmount <*LclBrkrComssnAmt*>	[0..1]	Amount	C1, C11	705
	RegulatoryFeesAmount <*RgltryFeesAmt*>	[0..1]	Amount	C1, C11	705
	ShippingFeesAmount <*ShppgFeesAmt*>	[0..1]	Amount	C1, C11	706
	ChargesAmount <*ChrgsAmt*>	[0..1]	Amount	C1, C11	707
	CashAmountBroughtForward <*CshAmtBrghtFwd*>	[0..1]	Amount	C1, C11	708
	CashAmountCarriedForward <*CshAmtCrrdFwd*>	[0..1]	Amount	C1, C11	708
	NotionalDividendPayableAmount <*NtnlDvddPyblAmt*>	[0..1]	Amount	C1, C11	709
	NotionalTaxAmount <*NtnlTaxAmt*>	[0..1]	Amount	C1, C11	710
	TaxArrearsAmount <*TaxArrearsAmt*>	[0..1]	Amount	C1, C11	710
	OriginalAmount <*OrgnlAmt*>	[0..1]	Amount	C1, C11	711
	PrincipalOrCorpus <*PrncplOrCrps*>	[0..1]	Amount	C1, C11	712
	RedemptionPremiumAmount <*RedPrmAmt*>	[0..1]	Amount	C1, C11	713
	IncomePortion <*IncmPrtn*>	[0..1]	Amount	C1, C11	713
	StockExchangeTax <*StockXchgTax*>	[0..1]	Amount	C1, C11	714
	EUTaxRetentionAmount <*EUTaxRtntnAmt*>	[0..1]	Amount	C1, C11	715
	AccruedInterestAmount <*AcrdIntrstAmt*>	[0..1]	Amount	C1, C11	715
	EqualisationAmount <*EqulstnAmt*>	[0..1]	Amount	C1, C11	716
	FATCATaxAmount <*FATCATaxAmt*>	[0..1]	Amount	C1, C11	717

Or	MessageElement/BuildingBlock<*XML Tag*>	Mult.	Type	Constr. No.	Page
	NRATaxAmount <*NRATaxAmt*>	[0..1]	Amount	C1, C11	718
	BackUpWithholdingTaxAmount <*BckUpWhldgTaxAmt*>	[0..1]	Amount	C1, C11	718
	TaxOnIncomeAmount <*TaxOnIncmAmt*>	[0..1]	Amount	C1, C11	719
	TransactionTax <*TxTax*>	[0..1]	Amount	C1, C11	720
	DeemedAmount <*DmdAmt*>	[0..1]	Amount	C1, C11	720
	ForeignIncomeAmount <*FrgnIncmAmt*>	[0..1]	Amount	C1, C11	721
	DeemedDividendAmount <*DmdDvddAmt*>	[0..1]	Amount	C1, C11	722
	DeemedFundAmount <*DmdFndAmt*>	[0..1]	Amount	C1, C11	723
	DeemedInterestAmount <*DmdIntrstAmt*>	[0..1]	Amount	C1, C11	723
	DeemedRoyaltiesAmount <*DmdRyltsAmt*>	[0..1]	Amount	C1, C11	724
	AdjustedSubscriptionAmount <*AdjstdSbcptAmt*>	[0..1]	Amount	C1, C11	725
	RefundedSubscriptionAmount <*RfnddSbcptAmt*>	[0..1]	Amount	C1, C11	725
	DateDetails <*DtDtls*>	[1..1]			726
	PostingDate <*PstngDt*>	[1..1]	Date		726
	ValueDate <*ValDt*>	[0..1]	Date		727
	ForeignExchangeRateFixingDate <*FXRateFxgDt*>	[0..1]	±		727
	EarliestPaymentDate <*EarlstPmtDt*>	[0..1]	Date		727
	PaymentDate <*PmtDt*>	[0..1]	Date		727
	ForeignExchangeDetails <*FXDtls*>	[0..*]	±		727
	TaxVoucherDetails <*TaxVchrDtls*>	[0..1]	±		728
	RateAndAmountDetails <*RateAndAmtDtls*>	[0..1]		C12, C13, C24, C26, C41, C42, C63, C65, C67, C71, C73	728
	AdditionalTax <*AddtlTax*>	[0..1]	±		732

Or	MessageElement/BuildingBlock<*XML Tag*>	Mult.	Type	Constr. No.	Page
	ChargesFees <*ChrgsFees*>	[0..1]	±		732
	FiscalStamp <*FsclStmp*>	[0..1]	Rate		732
	GrossDividendRate <*GrssDvddRate*>	[0..*]	±		732
	EarlySolicitationFeeRate <*EarlySlctnFeeRate*>	[0..1]	±		733
	ThirdPartyIncentiveRate <*ThrdPtyIncntivRate*>	[0..1]	±		733
	InterestRateUsedForPayment <*IntrstRateUsdForPmt*>	[0..*]	±		734
	NetDividendRate <*NetDvddRate*>	[0..*]	±		734
	ApplicableRate <*AplblRate*>	[0..1]	Rate		735
	SolicitationFeeRate <*SlctnFeeRate*>	[0..1]	±		735
	TaxCreditRate <*TaxCdtRate*>	[0..1]	±		736
	WithholdingTaxRate <*WhldgTaxRate*>	[0..*]	±		736
	SecondLevelTax <*ScndLvlTax*>	[0..*]	±		736
	TaxOnIncome <*TaxOnIncm*>	[0..1]	±		737
	TaxOnProfits <*TaxOnPrfts*>	[0..1]	Rate		737
	TaxReclaimRate <*TaxRclmRate*>	[0..1]	Rate		737
	EqualisationRate <*EqulstnRate*>	[0..1]	Amount	C1	737
	DeemedRate <*DmdRate*>	[0..*]	±		738
	PriceDetails <*PricDtls*>	[0..1]		C21	739
	GenericCashPricePaidPerProduct <*GncCshPricPdPerPdct*>	[0..1]	±		739
	GenericCashPriceReceivedPerProduct <*GncCshPricRcvdPerPdct*>	[0..1]	±		739
	CashInLieuOfSharePrice <*CshInLieuOfShrPric*>	[0..1]	±		740
	AdditionalInformation <*AddtlInf*>	[0..1]			740
	AdditionalText <*AddtlTxt*>	[0..*]	Text		741
	NarrativeVersion <*NrrtvVrsn*>	[0..*]	Text		741
	PartyContactNarrative <*PtyCtctNrrtv*>	[0..*]	Text		741
	TaxationConditions <*TaxtnConds*>	[0..*]	Text		741
	IssuerAgent <*IssrAgt*>	[0..*]	±		741
	PayingAgent <*PngAgt*>	[0..*]	±		742
	SubPayingAgent <*SubPngAgt*>	[0..*]	±		742
	SupplementaryData <*SplmtryData*>	[0..*]	±	C69	742

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 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.

C4 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.

C5 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.

C6 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.

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.

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.

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.

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.

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 an ISIN code exists, 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.

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.

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.

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 1068 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		1069
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		1069

8.4.2 NotificationIdentification <NtfctnId>

Presence: [0..1]

Definition: Identification of a previously sent notification document.

NotificationIdentification <NtfctnId> contains the following elements (see DocumentIdentification31 on page 941 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		941
	LinkageType <LkgTp>	[0..1]	±	C32	941

8.4.3 MovementPreliminaryAdviceIdentification <MvmntPrlimryAdvcId>

Presence: [0..1]

Definition: Identification of a previously sent movement preliminary advice document.

MovementPreliminaryAdviceIdentification <MvmntPrlimryAdvcId> contains the following elements (see DocumentIdentification31 on page 941 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		941
	LinkageType <LkgTp>	[0..1]	±	C32	941

8.4.4 InstructionIdentification <InstrId>

Presence: [0..1]

Definition: Identification of a related instruction document.

InstructionIdentification <InstrId> contains the following elements (see DocumentIdentification9 on page 966 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		966

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 DocumentIdentification32 on page 944 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]			944
{Or	AccountServicerDocumentIdentification *<AcctSvcrDocId>*	[1..1]	Text		944
Or}	AccountOwnerDocumentIdentification *<AcctOwnrDocId>*	[1..1]	Text		944
	DocumentNumber *<DocNb>*	[0..1]	±	C6	944
	LinkageType *<LkgTp>*	[0..1]	±	C32	945

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 CorporateActionEventReference3 on page 963 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	EventIdentification *<EvtId>*	[1..1]			964
{Or	LinkedOfficialCorporateActionEventIdentification *<LkdOffclCorpActnEvtId>*	[1..1]	Text		964
Or}	LinkedCorporateActionIdentification *<LkdCorpActnId>*	[1..1]	Text		964
	LinkageType *<LkgTp>*	[0..1]	±	C32	964

8.4.7   TransactionIdentification <TxId>

Presence: [0..1]

Definition: Transaction type and identification information.

TransactionIdentification <TxId> contains the following **TransactionIdentification15** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	MarketInfrastructureTransactionIdentification <MktInfrstrctrTxId>	[1..1]	Text		615

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: Max35Text on page 1359

8.4.8 CorporateActionGeneralInformation <CorpActnGnlInf>

Presence: [1..1]

Definition: General information about the corporate action event.

Impacted by: C45 OfficialCorporateActionEventReference

CorporateActionGeneralInformation <CorpActnGnlInf> contains the following **CorporateActionGeneralInformation162** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CorporateActionEventIdentification <CorpActnEvtId>	[1..1]	Text		616
	OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>	[0..1]	Text		616
	ClassActionNumber <ClssActnNb>	[0..1]	Text		616
	EventType <EvtTp>	[1..1]	±	C17	616
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C14, C15, C35, C36, C48	617
	FractionalQuantity <FrctnlQty>	[0..1]	±	C16	618

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.

8.4.8.1 CorporateActionEventIdentification <CorpActnEvtId>

Presence: [1..1]

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

Datatype: Max35Text on page 1359

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: Max35Text on page 1359

8.4.8.3 ClassActionNumber <ClssActnNb>

Presence: [0..1]

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

Datatype: Max35Text on page 1359

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 CorporateActionEventType87Choice on page 1041 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1041
Or}	Proprietary *<Prtry>*	[1..1]	±		1047

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 SecurityIdentification19 on page 952 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	ISIN *<ISIN>*	[0..1]	IdentifierSet		954
	OtherIdentification *<OthrId>*	[0..*]			954
	Identification *<Id>*	[1..1]	Text		954
	Suffix *<Sfx>*	[0..1]	Text		954
	Type *<Tp>*	[1..1]	±		954
	Description *<Desc>*	[0..1]	Text		955

Constraints

• **DescriptionPresenceRule**

(Rule)

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

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00192

– *Error Text:* At least one identification must be present.

• **DescriptionUsageRule**

(Rule)

Description must be used alone as the last resort.

• **ISINGuideline**

(Rule)

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

- **ISINPresenceRule**

  (Rule)

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

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* X00194

  – *Error Text:* At least one identification must be present.

- **OtherIdentificationPresenceRule**

  (Rule)

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

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* X00193

  – *Error Text:* At least one identification must be present.

8.4.8.6 FractionalQuantity <FrctnlQty>

Presence: [0..1]

Definition: Fractional quantity resulting from an event which will be paid with cash in lieu.

Impacted by: C16 DigitalTokenUnitUsageRule

FractionalQuantity <FrctnlQty> contains one of the following elements (see FinancialInstrumentQuantity33Choice on page 1185 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Unit *<Unit>*	[1..1]	Quantity		1186
Or	FaceAmount *<FaceAmt>*	[1..1]	Amount		1186
Or	AmortisedValue *<AmtsdVal>*	[1..1]	Amount		1186
Or}	DigitalTokenUnit *<DgtlTknUnit>*	[1..1]	Quantity		1186

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 **AccountAndBalance49** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	SafekeepingAccount <*SfkpgAcct*>	[0..1]	Text		621
	BlockChainAddressOrWallet <*BlckChainAdrOrWllt*>	[0..1]	Text		621
	AccountOwner <*AcctOwnr*>	[0..1]	±		622
	SafekeepingPlace <*SfkpgPlc*>	[0..1]	±		622
	Balance <*Bal*>	[1..1]		C7	622
	ConfirmedBalance <*ConfdBal*>	[1..1]	±		623
	TotalEligibleBalance <*TtlElgblBal*>	[0..1]	±		624
	BlockedBalance <*BlckdBal*>	[0..1]	±		624
	BorrowedBalance <*BrrwdBal*>	[0..1]	±		624
	CollateralInBalance <*CollInBal*>	[0..1]	±		624
	CollateralOutBalance <*CollOutBal*>	[0..1]	±		625
	OnLoanBalance <*OnLnBal*>	[0..1]	±		625
	PendingDeliveryBalance <*PdgDlvryBal*>	[0..*]	±		625
	PendingReceiptBalance <*PdgRctBal*>	[0..*]	±		626
	OutForRegistrationBalance <*OutForRegnBal*>	[0..1]	±		626
	SettlementPositionBalance <*SttlmPosBal*>	[0..*]	±		626
	StreetPositionBalance <*StrtPosBal*>	[0..1]	±		627
	TradeDatePositionBalance <*TradDtPosBal*>	[0..1]	±		627
	InTransshipmentBalance <*InTrnsShipmntBal*>	[0..1]	±		627
	RegisteredBalance <*RegdBal*>	[0..1]	±		628
	AffectedBalance <*AfctdBal*>	[0..1]	±		628
	UnaffectedBalance <*UafctdBal*>	[0..1]	±		628

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: Max35Text on page 1359

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: Max140Text on page 1357

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 PartyIdentification127Choice on page 1145 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	AnyBIC *<AnyBIC>*	[1..1]	IdentifierSet	C1	1145
Or}	ProprietaryIdentification *<PrtryId>*	[1..1]	±		1146

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 SafekeepingPlaceFormat28Choice on page 1231 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Identification *<Id>*	[1..1]			1232
	SafekeepingPlaceType *<SfkpgPlcTp>*	[1..1]	CodeSet		1232
	Identification *<Id>*	[0..1]	Text		1232
Or	Country *<Ctry>*	[1..1]	CodeSet	C3	1232
Or	TypeAndIdentification *<TpAndId>*	[1..1]			1233
	SafekeepingPlaceType *<SfkpgPlcTp>*	[1..1]	CodeSet		1233
	Identification *<Id>*	[1..1]	IdentifierSet	C1	1233
Or}	Proprietary *<Prtry>*	[1..1]	±		1234

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 **CorporateActionBalanceDetails41** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	ConfirmedBalance *<ConfdBal>*	[1..1]	±		623
	TotalEligibleBalance *<TtlElgblBal>*	[0..1]	±		624
	BlockedBalance *<BlckdBal>*	[0..1]	±		624
	BorrowedBalance *<BrrwdBal>*	[0..1]	±		624
	CollateralInBalance *<CollInBal>*	[0..1]	±		624
	CollateralOutBalance *<CollOutBal>*	[0..1]	±		625
	OnLoanBalance *<OnLnBal>*	[0..1]	±		625
	PendingDeliveryBalance *<PdgDlvryBal>*	[0..*]	±		625
	PendingReceiptBalance *<PdgRctBal>*	[0..*]	±		626
	OutForRegistrationBalance *<OutForRegnBal>*	[0..1]	±		626
	SettlementPositionBalance *<SttlmPosBal>*	[0..*]	±		626
	StreetPositionBalance *<StrtPosBal>*	[0..1]	±		627
	TradeDatePositionBalance *<TradDtPosBal>*	[0..1]	±		627
	InTransshipmentBalance *<InTrnsShipmntBal>*	[0..1]	±		627
	RegisteredBalance *<RegdBal>*	[0..1]	±		628
	AffectedBalance *<AfctdBal>*	[0..1]	±		628
	UnaffectedBalance *<UafctdBal>*	[0..1]	±		628

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 <u>BalanceFormat11Choice on page 921</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

8.4.9.5.2 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 TotalEligibleBalanceFormat10 on page 918 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Balance *<Bal>*	[0..1]	±		918
	FullPeriodUnits *<FullPrdUnits>*	[0..1]	±		919
	PartWayPeriodUnits *<PartWayPrdUnits>*	[0..1]	±		919

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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

8.4.9.5.5 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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

8.4.9.5.8 PendingDeliveryBalance <PdgDlvryBal>

Presence: [0..*]

Definition: Balance of financial instruments that are pending delivery.

PendingDeliveryBalance <PdgDlvryBal> contains one of the following elements (see BalanceFormat12Choice on page 920 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		920
Or	EligibleBalance <ElgblBal>	[1..1]	±		920
Or	NotEligibleBalance <NotElgblBal>	[1..1]	±		920
Or	FullPeriodUnits <FullPrdUnits>	[1..1]	±		921
Or}	PartWayPeriodUnits <PartWayPrdUnits>	[1..1]	±		921

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 BalanceFormat12Choice on page 920 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		920
Or	EligibleBalance <ElgblBal>	[1..1]	±		920
Or	NotEligibleBalance <NotElgblBal>	[1..1]	±		920
Or	FullPeriodUnits <FullPrdUnits>	[1..1]	±		921
Or}	PartWayPeriodUnits <PartWayPrdUnits>	[1..1]	±		921

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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		921
Or	EligibleBalance <ElgblBal>	[1..1]	±		922
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		922

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
BalanceFormat12Choice on page 920 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		920
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		920
Or	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		920
Or	FullPeriodUnits *<FullPrdUnits>*	[1..1]	±		921
Or}	PartWayPeriodUnits *<PartWayPrdUnits>*	[1..1]	±		921

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
BalanceFormat11Choice on page 921 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

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
BalanceFormat11Choice on page 921 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

8.4.9.5.14 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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <Bal>	[1..1]	±		921
Or	EligibleBalance <ElgblBal>	[1..1]	±		922
Or}	NotEligibleBalance <NotElgblBal>	[1..1]	±		922

8.4.10 CorporateActionDetails <CorpActnDtls>

Presence: [0..1]

Definition: Information about the corporate action event.

CorporateActionDetails <CorpActnDtls> contains the following **CorporateAction73** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DateDetails <DtDtls>	[0..1]			629
	RecordDate <RcrdDt>	[0..1]	±		629
	ExDividendDate <ExDvddDt>	[0..1]	±		630
	EventStage <EvtStag>	[0..1]	±		630
	AdditionalBusinessProcessIndicator <AddtlBizPrcInd>	[0..*]	±		630
	IntermediateSecuritiesDistributionType <IntrmdtSctiesDstrbtnTp>	[0..1]	±		631
	LotteryType <LtryTp>	[0..1]	±		631

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 **CorporateActionDate86** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RecordDate <RcrdDt>	[0..1]	±		629
	ExDividendDate <ExDvddDt>	[0..1]	±		630

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 DateFormat30Choice on page 929 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		929
Or}	DateCode <DtCd>	[1..1]			929
{Or	Code <Cd>	[1..1]	CodeSet		929
Or}	Proprietary <Prtry>	[1..1]	±		930

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 DateFormat30Choice on page 929 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		929
Or}	DateCode <DtCd>	[1..1]			929
{Or	Code <Cd>	[1..1]	CodeSet		929
Or}	Proprietary <Prtry>	[1..1]	±		930

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 CorporateActionEventStageFormat14Choice on page 1079 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1080
Or}	Proprietary <Prtry>	[1..1]	±		1080

8.4.10.3 AdditionalBusinessProcessIndicator <AddtlBizPrcInd>

Presence: [0..*]

Definition: Indicates that the additional business process relates to a claim on the associated corporate action event.

AdditionalBusinessProcessIndicator <AddtlBizPrcInd> contains one of the following elements (see AdditionalBusinessProcessFormat19Choice on page 972 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		972
Or}	Proprietary *<Prtry>*	[1..1]	±		973

8.4.10.4 IntermediateSecuritiesDistributionType <IntrmdtSctiesDstrbtnTp>

Presence: [0..1]

Definition: Type of intermediates securities distribution.

IntermediateSecuritiesDistributionType <IntrmdtSctiesDstrbtnTp> contains one of the following elements (see IntermediateSecuritiesDistributionTypeFormat15Choice on page 1111 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1111
Or}	Proprietary *<Prtry>*	[1..1]	±		1112

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 LotteryTypeFormat4Choice on page 1108 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1108
Or}	Proprietary *<Prtry>*	[1..1]	±		1108

8.4.11   CorporateActionConfirmationDetails <CorpActnConfDtls>

Presence: [1..1]

Definition: Information about the corporate action option.

CorporateActionConfirmationDetails <CorpActnConfDtls> contains the following
CorporateActionOption211 elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	OptionNumber *<OptnNb>*	[1..1]	±		638
	OptionType *<OptnTp>*	[1..1]	±		639
	OptionFeatures *<OptnFeatrs>*	[0..*]	±		639
	FractionDisposition *<FrctnDspstn>*	[0..1]	±		639
	CurrencyOption *<CcyOptn>*	[0..1]	CodeSet	C1	640
	DateDetails *<DtDtls>*	[0..1]			640
	CoverExpirationDeadline *<CoverXprtnDdln>*	[0..1]	±		640
	TradingDate *<TradgDt>*	[0..1]	±		641
	PeriodDetails *<PrdDtls>*	[0..1]			641
	PriceCalculationPeriod *<PricClctnPrd>*	[0..1]	±		641
	ActionPeriod *<ActnPrd>*	[0..1]	±		641
	ParallelTradingPeriod *<ParllTradgPrd>*	[0..1]	±		642
	RateAndAmountDetails *<RateAndAmtDtls>*	[0..1]		C23, C25, C43, C44, C62, C64, C66, C70, C72	642
	GrossDividendRate *<GrssDvddRate>*	[0..*]	±		645
	NetDividendRate *<NetDvddRate>*	[0..*]	±		645
	InterestRateUsedForPayment *<IntrstRateUsdForPmt>*	[0..*]	±		646
	MaximumAllowedOversubscriptionRate *<MaxAllwdOvrsbcptRate>*	[0..1]	Rate		647
	ProrationRate *<PrratnRate>*	[0..1]	Rate		647
	WithholdingTaxRate *<WhldgTaxRate>*	[0..*]	±		647
	SecondLevelTax *<ScndLvlTax>*	[0..*]	±		647
	AdditionalTax *<AddtlTax>*	[0..1]	±		648
	TaxableIncomePerDividendShare *<TaxblIncmPerDvddShr>*	[0..*]	±		648
	PriceDetails *<PricDtls>*	[0..1]		C22	649
	CashInLieuOfSharePrice *<CshInLieuOfShrPric>*	[0..1]	±		649
	OverSubscriptionDepositPrice *<OverSbcptDpstPric>*	[0..1]	±		649

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	PlaceOfTrade <*PlcOfTrad*>	[0..1]	±	C40	650
	SecuritiesMovementDetails <*SctiesMvmntDtls*>	[0..*]		C18, C30, C32, C38	650
	FinancialInstrumentIdentification <*FinInstrmId*>	[1..1]	±	C14, C15, C35, C36, C48	653
	CreditDebitIndicator <*CdtDbtInd*>	[1..1]	CodeSet		655
	TemporaryFinancialInstrumentIndicator <*TempFinInstrmInd*>	[0..1]	±		655
	NewSecuritiesIssuanceIndicator <*NewSctiesIssncInd*>	[0..1]	CodeSet		655
	IssuerOfferorTaxabilityIndicator <*IssrOfferrTaxbltyInd*>	[0..1]	±		656
	IncomeType <*IncmTp*>	[0..1]	±		656
	OtherIncomeType <*OthrIncmTp*>	[0..*]	±		656
	ExemptionType <*XmptnTp*>	[0..*]	±		657
	CountryOfIncomeSource <*CtryOfIncmSrc*>	[0..1]	CodeSet	C10	657
	PostingQuantity <*PstngQty*>	[1..1]	±		657
	SafekeepingPlace <*SfkpgPlc*>	[0..1]	±		658
	FractionDisposition <*FrctnDspstn*>	[0..1]	±		658
	CurrencyOption <*CcyOptn*>	[0..1]	CodeSet	C1	658
	DateDetails <*DtDtls*>	[1..1]			659
	PostingDate <*PstngDt*>	[1..1]	Date		659
	AvailableDate <*AvlblDt*>	[0..1]	±		659
	PariPassuDate <*PrpssDt*>	[0..1]	±		660
	DividendRankingDate <*DvddRnkgDt*>	[0..1]	±		660
	EarliestPaymentDate <*EarlstPmtDt*>	[0..1]	±		660
	PaymentDate <*PmtDt*>	[0..1]	±		661
	RateDetails <*RateDtls*>	[0..1]			661
	AdditionalQuantityForSubscribedResultantSecurities <*AddtlQtyForSbcbdRsltntScties*>	[0..1]	±		662
	AdditionalQuantityForExistingSecurities <*AddtlQtyForExstgScties*>	[0..1]	±		662
	NewToOld <*NewToOd*>	[0..1]	±		663

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	ChargesFees <*ChrgsFees*>	[0..1]	±		663
	FiscalStamp <*FsclStmp*>	[0..1]	Rate		664
	ApplicableRate <*AplblRate*>	[0..1]	Rate		664
	TaxCreditRate <*TaxCdtRate*>	[0..1]	±		664
	FinancialTransactionTaxRate <*FinTxTaxRate*>	[0..1]	Rate		664
	WithholdingTaxRate <*WhldgTaxRate*>	[0..*]	±		664
	SecondLevelTax <*ScndLvlTax*>	[0..*]	±		665
	PriceDetails <*PricDtls*>	[0..1]		C20	665
	CashInLieuOfSharePrice <*CshInLieuOfShrPric*>	[0..1]	±		666
	IndicativeOrMarketPrice <*IndctvOrMktPric*>	[0..1]			666
{Or	**IndicativePrice** <*IndctvPric*>	[1..1]	±		667
Or}	**MarketPrice** <*MktPric*>	[1..1]	±		667
	CashValueForTax <*CshValForTax*>	[0..1]	±		667
	GenericCashPricePaidPerProduct <*GncCshPricPdPerPdct*>	[0..1]	±		668
	GenericCashPriceReceivedPerProduct <*GncCshPricRcvdPerPdct*>	[0..1]	±		668
	AmountDetails <*AmtDtls*>	[0..1]			669
	WithholdingTaxAmount <*WhldgTaxAmt*>	[0..1]	Amount	C1, C11	669
	SecondLevelTaxAmount <*ScndLvlTaxAmt*>	[0..1]	Amount	C1, C11	670
	ReceivingSettlementParties <*RcvgSttlmPties*>	[0..1]	±	C49, C50	671
	DeliveringSettlementParties <*DlvrgSttlmPties*>	[0..1]	±	C49, C50	672
	CashMovementDetails <*CshMvmntDtls*>	[0..*]		C19, C31, C33, C39	674
	CreditDebitIndicator <*CdtDbtInd*>	[1..1]	CodeSet		680
	ContractualPaymentIndicator <*CtrctlPmtInd*>	[0..1]	CodeSet		680
	IssuerOfferorTaxabilityIndicator <*IssrOfferrTaxbltyInd*>	[0..1]	±		680
	IncomeType <*IncmTp*>	[0..1]	±		680
	OtherIncomeType <*OthrIncmTp*>	[0..*]	±		681
	ExemptionType <*XmptnTp*>	[0..*]	±		681

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	CountryOfIncomeSource *<CtryOfIncmSrc>*	[0..1]	CodeSet	C10	681
	Account *<Acct>*	[0..1]			682
{Or	**CashAccount** *<CshAcct>*	[1..1]	±		682
Or	**ChargesAccount** *<ChrgsAcct>*	[1..1]	±		682
Or}	**TaxAccount** *<TaxAcct>*	[1..1]	±		682
	CashParties *<CshPties>*	[0..1]	±		683
	AmountDetails *<AmtDtls>*	[1..1]			683
	PostingAmount *<PstngAmt>*	[1..1]	Amount	C1, C11	686
	GrossCashAmount *<GrssCshAmt>*	[0..1]	Amount	C1, C11	687
	NetCashAmount *<NetCshAmt>*	[0..1]	Amount	C1, C11	688
	SolicitationFees *<SlctnFees>*	[0..1]	Amount	C1, C11	688
	CashInLieuOfShare *<CshInLieuOfShr>*	[0..1]	Amount	C1, C11	689
	CapitalGain *<CptlGn>*	[0..1]	Amount	C1, C11	690
	InterestAmount *<IntrstAmt>*	[0..1]	Amount	C1, C11	690
	MarketClaimAmount *<MktClmAmt>*	[0..1]	Amount	C1, C11	691
	IndemnityAmount *<IndmntyAmt>*	[0..1]	Amount	C1, C11	692
	ManufacturedDividendPaymentAmount *<ManfctrdDvddPmtAmt>*	[0..1]	Amount	C1, C11	693
	ReinvestmentAmount *<RinvstmtAmt>*	[0..1]	Amount	C1, C11	693
	FullyFrankedAmount *<FullyFrnkdAmt>*	[0..1]	Amount	C1, C11	694
	UnfrankedAmount *<UfrnkdAmt>*	[0..1]	Amount	C1, C11	695
	SundryOrOtherAmount *<SndryOrOthrAmt>*	[0..1]	Amount	C1, C11	695
	TaxFreeAmount *<TaxFreeAmt>*	[0..1]	Amount	C1, C11	696
	TaxDeferredAmount *<TaxDfrrdAmt>*	[0..1]	Amount	C1, C11	697
	ValueAddedTaxAmount *<ValAddedTaxAmt>*	[0..1]	Amount	C1, C11	698

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	StampDutyAmount <*StmpDtyAmt*>	[0..1]	Amount	C1, C11	698
	TaxReclaimAmount <*TaxRclmAmt*>	[0..1]	Amount	C1, C11	699
	TaxCreditAmount <*TaxCdtAmt*>	[0..1]	Amount	C1, C11	700
	AdditionalTaxAmount <*AddtlTaxAmt*>	[0..1]	Amount	C1, C11	700
	WithholdingTaxAmount <*WhldgTaxAmt*>	[0..1]	Amount	C1, C11	701
	SecondLevelTaxAmount <*ScndLvlTaxAmt*>	[0..1]	Amount	C1, C11	702
	FiscalStampAmount <*FsclStmpAmt*>	[0..1]	Amount	C1, C11	703
	ExecutingBrokerAmount <*ExctgBrkrAmt*>	[0..1]	Amount	C1, C11	703
	PayingAgentCommissionAmount <*PngAgtComssnAmt*>	[0..1]	Amount	C1, C11	704
	LocalBrokerCommissionAmount <*LclBrkrComssnAmt*>	[0..1]	Amount	C1, C11	705
	RegulatoryFeesAmount <*RgltryFeesAmt*>	[0..1]	Amount	C1, C11	705
	ShippingFeesAmount <*ShppgFeesAmt*>	[0..1]	Amount	C1, C11	706
	ChargesAmount <*ChrgsAmt*>	[0..1]	Amount	C1, C11	707
	CashAmountBroughtForward <*CshAmtBrghtFwd*>	[0..1]	Amount	C1, C11	708
	CashAmountCarriedForward <*CshAmtCrrdFwd*>	[0..1]	Amount	C1, C11	708
	NotionalDividendPayableAmount <*NtnlDvddPyblAmt*>	[0..1]	Amount	C1, C11	709
	NotionalTaxAmount <*NtnlTaxAmt*>	[0..1]	Amount	C1, C11	710
	TaxArrearsAmount <*TaxArrearsAmt*>	[0..1]	Amount	C1, C11	710
	OriginalAmount <*OrgnlAmt*>	[0..1]	Amount	C1, C11	711
	PrincipalOrCorpus <*PrncplOrCrps*>	[0..1]	Amount	C1, C11	712
	RedemptionPremiumAmount <*RedPrmAmt*>	[0..1]	Amount	C1, C11	713
	IncomePortion <*IncmPrtn*>	[0..1]	Amount	C1, C11	713

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	StockExchangeTax *<StockXchgTax>*	[0..1]	Amount	C1, C11	714
	EUTaxRetentionAmount *<EUTaxRtntnAmt>*	[0..1]	Amount	C1, C11	715
	AccruedInterestAmount *<AcrdIntrstAmt>*	[0..1]	Amount	C1, C11	715
	EqualisationAmount *<EqulstnAmt>*	[0..1]	Amount	C1, C11	716
	FATCATaxAmount *<FATCATaxAmt>*	[0..1]	Amount	C1, C11	717
	NRATaxAmount *<NRATaxAmt>*	[0..1]	Amount	C1, C11	718
	BackUpWithholdingTaxAmount *<BckUpWhldgTaxAmt>*	[0..1]	Amount	C1, C11	718
	TaxOnIncomeAmount *<TaxOnIncmAmt>*	[0..1]	Amount	C1, C11	719
	TransactionTax *<TxTax>*	[0..1]	Amount	C1, C11	720
	DeemedAmount *<DmdAmt>*	[0..1]	Amount	C1, C11	720
	ForeignIncomeAmount *<FrgnIncmAmt>*	[0..1]	Amount	C1, C11	721
	DeemedDividendAmount *<DmdDvddAmt>*	[0..1]	Amount	C1, C11	722
	DeemedFundAmount *<DmdFndAmt>*	[0..1]	Amount	C1, C11	723
	DeemedInterestAmount *<DmdIntrstAmt>*	[0..1]	Amount	C1, C11	723
	DeemedRoyaltiesAmount *<DmdRyltsAmt>*	[0..1]	Amount	C1, C11	724
	AdjustedSubscriptionAmount *<AdjstdSbcptAmt>*	[0..1]	Amount	C1, C11	725
	RefundedSubscriptionAmount *<RfnddSbcptAmt>*	[0..1]	Amount	C1, C11	725
	DateDetails *<DtDtls>*	[1..1]			726
	PostingDate *<PstngDt>*	[1..1]	Date		726
	ValueDate *<ValDt>*	[0..1]	Date		727
	ForeignExchangeRateFixingDate *<FXRateFxgDt>*	[0..1]	±		727
	EarliestPaymentDate *<EarlstPmtDt>*	[0..1]	Date		727
	PaymentDate *<PmtDt>*	[0..1]	Date		727
	ForeignExchangeDetails *<FXDtls>*	[0..*]	±		727
	TaxVoucherDetails *<TaxVchrDtls>*	[0..1]	±		728

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	RateAndAmountDetails <*RateAndAmtDtls*>	[0..1]		C12, C13, C24, C26, C41, C42, C63, C65, C67, C71, C73	728
	AdditionalTax <*AddtlTax*>	[0..1]	±		732
	ChargesFees <*ChrgsFees*>	[0..1]	±		732
	FiscalStamp <*FsclStmp*>	[0..1]	Rate		732
	GrossDividendRate <*GrssDvddRate*>	[0..*]	±		732
	EarlySolicitationFeeRate <*EarlySlctnFeeRate*>	[0..1]	±		733
	ThirdPartyIncentiveRate <*ThrdPtyIncntivRate*>	[0..1]	±		733
	InterestRateUsedForPayment <*IntrstRateUsdForPmt*>	[0..*]	±		734
	NetDividendRate <*NetDvddRate*>	[0..*]	±		734
	ApplicableRate <*AplblRate*>	[0..1]	Rate		735
	SolicitationFeeRate <*SlctnFeeRate*>	[0..1]	±		735
	TaxCreditRate <*TaxCdtRate*>	[0..1]	±		736
	WithholdingTaxRate <*WhldgTaxRate*>	[0..*]	±		736
	SecondLevelTax <*ScndLvlTax*>	[0..*]	±		736
	TaxOnIncome <*TaxOnIncm*>	[0..1]	±		737
	TaxOnProfits <*TaxOnPrfts*>	[0..1]	Rate		737
	TaxReclaimRate <*TaxRclmRate*>	[0..1]	Rate		737
	EqualisationRate <*EqulstnRate*>	[0..1]	Amount	C1	737
	DeemedRate <*DmdRate*>	[0..*]	±		738
	PriceDetails <*PricDtls*>	[0..1]		C21	739
	GenericCashPricePaidPerProduct <*GncCshPricPdPerPdct*>	[0..1]	±		739
	GenericCashPriceReceivedPerProduct <*GncCshPricRcvdPerPdct*>	[0..1]	±		739
	CashInLieuOfSharePrice <*CshInLieuOfShrPric*>	[0..1]	±		740

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 1127 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Number <Nb>	[1..1]	Text		1128
Or}	Code <Cd>	[1..1]	CodeSet		1128

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 CorporateActionOption33Choice on page 997 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		998
Or}	Proprietary <Prtry>	[1..1]	±		999

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 OptionFeaturesFormat18Choice on page 1077 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1077
Or}	Proprietary <Prtry>	[1..1]	±		1077

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 FractionDispositionType27Choice on page 1076 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1076
Or}	Proprietary <Prtry>	[1..1]	±		1076

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 1270

Constraints

- **ActiveCurrency**

  (Rule)

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

Presence: [0..1]

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

DateDetails <DtDtls> contains the following **CorporateActionDate88** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CoverExpirationDeadline <CoverXprtnDdln>	[0..1]	±		640
	TradingDate <TradgDt>	[0..1]	±		641

8.4.11.6.1 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 936 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		936
Or}	DateCode <DtCd>	[1..1]			936
{Or	Code <Cd>	[1..1]	CodeSet		936
Or}	Proprietary <Prtry>	[1..1]	±		937

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 <u>DateFormat43Choice on page 936</u> for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		936
Or}	DateCode <DtCd>	[1..1]			936
{Or	Code <Cd>	[1..1]	CodeSet		936
Or}	Proprietary <Prtry>	[1..1]	±		937

8.4.11.7 PeriodDetails <PrdDtls>

Presence: [0..1]

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

PeriodDetails <PrdDtls> contains the following **CorporateActionPeriod13** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PriceCalculationPeriod <PricClctnPrd>	[0..1]	±		641
	ActionPeriod <ActnPrd>	[0..1]	±		641
	ParallelTradingPeriod <ParllTradgPrd>	[0..1]	±		642

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 <u>Period11 on page 938</u> for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	StartDate <StartDt>	[1..1]			938
{Or	Date <Dt>	[1..1]	±		939
Or}	NotSpecifiedDate <NotSpcfdDt>	[1..1]	CodeSet		939
	EndDate <EndDt>	[1..1]			939
{Or	Date <Dt>	[1..1]	±		939
Or}	NotSpecifiedDate <NotSpcfdDt>	[1..1]	CodeSet		940

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 938 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	StartDate <*StartDt*>	[1..1]			938
{Or	Date <*Dt*>	[1..1]	±		939
Or}	NotSpecifiedDate <*NotSpcfdDt*>	[1..1]	CodeSet		939
	EndDate <*EndDt*>	[1..1]			939
{Or	Date <*Dt*>	[1..1]	±		939
Or}	NotSpecifiedDate <*NotSpcfdDt*>	[1..1]	CodeSet		940

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 <ParllTradgPrd> contains the following elements (see Period11 on page 938 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	StartDate <*StartDt*>	[1..1]			938
{Or	Date <*Dt*>	[1..1]	±		939
Or}	NotSpecifiedDate <*NotSpcfdDt*>	[1..1]	CodeSet		939
	EndDate <*EndDt*>	[1..1]			939
{Or	Date <*Dt*>	[1..1]	±		939
Or}	NotSpecifiedDate <*NotSpcfdDt*>	[1..1]	CodeSet		940

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 **CorporateActionRate107** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	GrossDividendRate *<GrssDvddRate>*	[0..*]	±		645
	NetDividendRate *<NetDvddRate>*	[0..*]	±		645
	InterestRateUsedForPayment *<IntrstRateUsdForPmt>*	[0..*]	±		646
	MaximumAllowedOversubscriptionRate *<MaxAllwdOvrsbcptRate>*	[0..1]	Rate		647
	ProrationRate *<PrratnRate>*	[0..1]	Rate		647
	WithholdingTaxRate *<WhldgTaxRate>*	[0..*]	±		647
	SecondLevelTax *<ScndLvlTax>*	[0..*]	±		647
	AdditionalTax *<AddtlTax>*	[0..1]	±		648
	TaxableIncomePerDividendShare *<TaxblIncmPerDvddShr>*	[0..*]	±		648

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 GrossDividendRateFormat35Choice on page 1036 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Amount <*Amt*>	[1..1]	Amount	C1	1036
Or	AmountAndRateStatus <*AmtAndRateSts*>	[1..1]			1037
	Amount <*Amt*>	[1..1]	Amount	C1	1037
	RateStatus <*RateSts*>	[1..1]	CodeSet		1038
Or}	RateTypeAndAmountAndRateStatus <*RateTpAndAmtAndRateSts*>	[1..1]			1038
	RateType <*RateTp*>	[1..1]			1038
{Or	Code <*Cd*>	[1..1]	CodeSet		1038
Or}	Proprietary <*Prtry*>	[1..1]	±		1039
	Amount <*Amt*>	[1..1]	Amount	C1	1039
	RateStatus <*RateSts*>	[0..1]		C61	1040
{Or	Code <*Cd*>	[1..1]	CodeSet		1040
Or}	Proprietary <*Prtry*>	[1..1]	±		1040

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 NetDividendRateFormat37Choice on page 1026 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C1	1026
Or	AmountAndRateStatus <AmtAndRateSts>	[1..1]			1027
	Amount <Amt>	[1..1]	Amount	C1	1027
	RateStatus <RateSts>	[1..1]	CodeSet		1028
Or}	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1028
	RateType <RateTp>	[1..1]			1028
{Or	Code <Cd>	[1..1]	CodeSet		1028
Or}	Proprietary <Prtry>	[1..1]	±		1029
	Amount <Amt>	[1..1]	Amount	C1	1029
	RateStatus <RateSts>	[0..1]		C61	1030
{Or	Code <Cd>	[1..1]	CodeSet		1030
Or}	Proprietary <Prtry>	[1..1]	±		1030

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 InterestRateUsedForPaymentFormat7Choice on page 1220 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1221
Or	Amount <Amt>	[1..1]	Amount	C1	1221
Or}	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1221
	RateType <RateTp>	[1..1]			1222
{Or	Code <Cd>	[1..1]	CodeSet		1222
Or}	Proprietary <Prtry>	[1..1]	±		1222
	Amount <Amt>	[1..1]	Amount	C1	1222
	RateStatus <RateSts>	[0..1]		C61	1223
{Or	Code <Cd>	[1..1]	CodeSet		1223
Or}	Proprietary <Prtry>	[1..1]	±		1223

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 1356

8.4.11.8.5 ProrationRate <PrratnRate>

Presence: [0..1]

Definition: Percentage of securities accepted by the offeror/issuer.

Datatype: PercentageRate on page 1356

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 RateAndAmountFormat40Choice on page 1224 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Rate *<Rate>*	[1..1]	Rate		1224
Or	Amount *<Amt>*	[1..1]	Amount	C1	1224
Or}	RateTypeAndRate *<RateTpAndRate>*	[1..1]			1225
	RateType *<RateTp>*	[1..1]			1225
{Or	Code *<Cd>*	[1..1]	CodeSet		1225
Or}	Proprietary *<Prtry>*	[1..1]	±		1226
	Rate *<Rate>*	[1..1]	Rate		1226

8.4.11.8.7 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 <ScndLvlTax> contains one of the following elements (see RateAndAmountFormat40Choice on page 1224 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1224
Or	Amount <Amt>	[1..1]	Amount	C1	1224
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			1225
	RateType <RateTp>	[1..1]			1225
{Or	Code <Cd>	[1..1]	CodeSet		1225
Or}	Proprietary <Prtry>	[1..1]	±		1226
	Rate <Rate>	[1..1]	Rate		1226

8.4.11.8.8 AdditionalTax <AddtlTax>

Presence: [0..1]

Definition: Rate used for additional tax that cannot be categorised.

AdditionalTax <AddtlTax> contains one of the following elements (see RateAndAmountFormat39Choice on page 1228 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1228
Or}	Amount <Amt>	[1..1]	Amount	C1	1228

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 RateTypeAndAmountAndStatus26 on page 1094 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RateType <RateTp>	[1..1]			1094
{Or	Code <Cd>	[1..1]	CodeSet		1095
Or}	Proprietary <Prtry>	[1..1]	±		1095
	Amount <Amt>	[1..1]	Amount	C1	1095
	RateStatus <RateSts>	[0..1]		C61	1096
{Or	Code <Cd>	[1..1]	CodeSet		1096
Or}	Proprietary <Prtry>	[1..1]	±		1096

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 **CorporateActionPrice61** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	CashInLieuOfSharePrice <*CshInLieuOfShrPric*>	[0..1]	±		649
	OverSubscriptionDepositPrice <*OverSbcptDpstPric*>	[0..1]	±		649

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 PriceFormat50Choice on page 1180 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <*PctgPric*>	[1..1]			1180
	PercentagePriceType <*PctgPricTp*>	[1..1]	CodeSet		1181
	PriceValue <*PricVal*>	[1..1]	Rate		1181
Or}	AmountPrice <*AmtPric*>	[1..1]	±		1181

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 PriceFormat50Choice on page 1180 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1180
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1181
	PriceValue <PricVal>	[1..1]	Rate		1181
Or}	AmountPrice <AmtPric>	[1..1]	±		1181

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 MarketIdentification84 on page 969 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	±		969
	Type <Tp>	[1..1]	±		970

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 **SecuritiesOption93** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentIdentification <*FinInstrmId*>	[1..1]	±	C14, C15, C35, C36, C48	653
	CreditDebitIndicator <*CdtDbtInd*>	[1..1]	CodeSet		655
	TemporaryFinancialInstrumentIndicator <*TempFinInstrmInd*>	[0..1]	±		655
	NewSecuritiesIssuanceIndicator <*NewSctiesIssncInd*>	[0..1]	CodeSet		655
	IssuerOfferorTaxabilityIndicator <*IssrOfferrTaxbltyInd*>	[0..1]	±		656
	IncomeType <*IncmTp*>	[0..1]	±		656
	OtherIncomeType <*OthrIncmTp*>	[0..*]	±		656
	ExemptionType <*XmptnTp*>	[0..*]	±		657
	CountryOfIncomeSource <*CtryOfIncmSrc*>	[0..1]	CodeSet	C10	657
	PostingQuantity <*PstngQty*>	[1..1]	±		657
	SafekeepingPlace <*SfkpgPlc*>	[0..1]	±		658
	FractionDisposition <*FrctnDspstn*>	[0..1]	±		658
	CurrencyOption <*CcyOptn*>	[0..1]	CodeSet	C1	658
	DateDetails <*DtDtls*>	[1..1]			659
	PostingDate <*PstngDt*>	[1..1]	Date		659
	AvailableDate <*AvlblDt*>	[0..1]	±		659
	PariPassuDate <*PrpssDt*>	[0..1]	±		660
	DividendRankingDate <*DvddRnkgDt*>	[0..1]	±		660
	EarliestPaymentDate <*EarlstPmtDt*>	[0..1]	±		660
	PaymentDate <*PmtDt*>	[0..1]	±		661
	RateDetails <*RateDtls*>	[0..1]			661
	AdditionalQuantityForSubscribedResultantSecurities <*AddtlQtyForSbcbdRsltntScties*>	[0..1]	±		662
	AdditionalQuantityForExistingSecurities <*AddtlQtyForExstgScties*>	[0..1]	±		662
	NewToOld <*NewToOd*>	[0..1]	±		663
	ChargesFees <*ChrgsFees*>	[0..1]	±		663
	FiscalStamp <*FsclStmp*>	[0..1]	Rate		664
	ApplicableRate <*AplblRate*>	[0..1]	Rate		664

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	TaxCreditRate <*TaxCdtRate*>	[0..1]	±		664
	FinancialTransactionTaxRate <*FinTxTaxRate*>	[0..1]	Rate		664
	WithholdingTaxRate <*WhldgTaxRate*>	[0..*]	±		664
	SecondLevelTax <*ScndLvlTax*>	[0..*]	±		665
	PriceDetails <*PricDtls*>	[0..1]		C20	665
	CashInLieuOfSharePrice <*CshInLieuOfShrPric*>	[0..1]	±		666
	IndicativeOrMarketPrice <*IndctvOrMktPric*>	[0..1]			666
{Or	**IndicativePrice** <*IndctvPric*>	[1..1]	±		667
Or}	**MarketPrice** <*MktPric*>	[1..1]	±		667
	CashValueForTax <*CshValForTax*>	[0..1]	±		667
	GenericCashPricePaidPerProduct <*GncCshPricPdPerPdct*>	[0..1]	±		668
	GenericCashPriceReceivedPerProduct <*GncCshPricRcvdPerPdct*>	[0..1]	±		668
	AmountDetails <*AmtDtls*>	[0..1]			669
	WithholdingTaxAmount <*WhldgTaxAmt*>	[0..1]	Amount	C1, C11	669
	SecondLevelTaxAmount <*ScndLvlTaxAmt*>	[0..1]	Amount	C1, C11	670
	ReceivingSettlementParties <*RcvgSttlmPties*>	[0..1]	±	C49, C50	671
	DeliveringSettlementParties <*DlvrgSttlmPties*>	[0..1]	±	C49, C50	672

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.

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.

  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.

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 SecurityIdentification19 on page 952 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	ISIN *<ISIN>*	[0..1]	IdentifierSet		954
	OtherIdentification *<OthrId>*	[0..*]			954
	Identification *<Id>*	[1..1]	Text		954
	Suffix *<Sfx>*	[0..1]	Text		954
	Type *<Tp>*	[1..1]	±		954
	Description *<Desc>*	[0..1]	Text		955

Constraints

- **DescriptionPresenceRule**

  (Rule)

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

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* X00192

  – *Error Text:* At least one identification must be present.

- **DescriptionUsageRule**

  (Rule)

  Description must be used alone as the last resort.

- **ISINGuideline**

  (Rule)

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

- **ISINPresenceRule**

  (Rule)

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

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* X00194

  – *Error Text:* At least one identification must be present.

- **OtherIdentificationPresenceRule**

  (Rule)

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

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00193

– *Error Text:* At least one identification must be present.

8.4.11.11.2 CreditDebitIndicator <CdtDbtInd>

Presence: [1..1]

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

Datatype: CreditDebitCode on page 1319

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 TemporaryFinancialInstrumentIndicator3Choice on page 1093 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	TemporaryIndicator <*TempInd*>	[1..1]	Indicator		1094
Or}	Proprietary <*Prtry*>	[1..1]	±		1094

8.4.11.11.4 NewSecuritiesIssuanceIndicator <NewSctiesIssncInd>

Presence: [0..1]

Definition: Specifies the nature of the securities issue.

Datatype: NewSecuritiesIssuanceType6Code on page 1335

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.

CodeName	Name	Definition
		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.

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 1071 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1072
Or}	Proprietary <Prtry>	[1..1]	±		1072

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.

IncomeType <IncmTp> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		965
	Issuer <Issr>	[1..1]	Text		965
	SchemeName <SchmeNm>	[0..1]	Text		965

8.4.11.11.7 OtherIncomeType <OthrIncmTp>

Presence: [0..*]

Definition: Type of income to be used under another tax regime.

OtherIncomeType <OthrIncmTp> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

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 GenericIdentification30 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

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 1318

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 Quantity51Choice on page 1194 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Quantity <Qty>	[1..1]	±	C6	1194
Or}	OriginalAndCurrentFace <OrgnlAndCurFace>	[1..1]	±		1194

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 SafekeepingPlaceFormat29Choice on page 1062 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]			1063
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		1063
	Identification <Id>	[0..1]	Text		1063
Or	Country <Ctry>	[1..1]	CodeSet	C3	1063
Or	TypeAndIdentification <TpAndId>	[1..1]			1064
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		1064
	Identification <Id>	[1..1]	IdentifierSet	C1	1064
Or}	Proprietary <Prtry>	[1..1]	±		1065

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 FractionDispositionType27Choice on page 1076 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1076
Or}	Proprietary <Prtry>	[1..1]	±		1076

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 1270

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet 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 **SecurityDate21** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PostingDate <PstngDt>	[1..1]	Date		659
	AvailableDate <AvlblDt>	[0..1]	±		659
	PariPassuDate <PrpssDt>	[0..1]	±		660
	DividendRankingDate <DvddRnkgDt>	[0..1]	±		660
	EarliestPaymentDate <EarlstPmtDt>	[0..1]	±		660
	PaymentDate <PmtDt>	[0..1]	±		661

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 1352

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 DateFormat30Choice on page 929 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		929
Or}	DateCode <DtCd>	[1..1]			929
{Or	Code <Cd>	[1..1]	CodeSet		929
Or}	Proprietary <Prtry>	[1..1]	±		930

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 DateFormat30Choice on page 929 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		929
Or}	DateCode <DtCd>	[1..1]			929
{Or	Code <Cd>	[1..1]	CodeSet		929
Or}	Proprietary <Prtry>	[1..1]	±		930

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 DateFormat30Choice on page 929 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		929
Or}	DateCode <DtCd>	[1..1]			929
{Or	Code <Cd>	[1..1]	CodeSet		929
Or}	Proprietary <Prtry>	[1..1]	±		930

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 DateFormat30Choice on page 929 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		929
Or}	DateCode <DtCd>	[1..1]			929
{Or	Code <Cd>	[1..1]	CodeSet		929
Or}	Proprietary <Prtry>	[1..1]	±		930

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 DateFormat30Choice on page 929 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		929
Or}	DateCode <DtCd>	[1..1]			929
{Or	Code <Cd>	[1..1]	CodeSet		929
Or}	Proprietary <Prtry>	[1..1]	±		930

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 **CorporateActionRate113** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	AdditionalQuantityForSubscribedResultantSecurities *<AddtlQtyForSbcbdRsltntScties>*	[0..1]	±		662
	AdditionalQuantityForExistingSecurities *<AddtlQtyForExstgScties>*	[0..1]	±		662
	NewToOld *<NewToOd>*	[0..1]	±		663
	ChargesFees *<ChrgsFees>*	[0..1]	±		663
	FiscalStamp *<FsclStmp>*	[0..1]	Rate		664
	ApplicableRate *<AplblRate>*	[0..1]	Rate		664
	TaxCreditRate *<TaxCdtRate>*	[0..1]	±		664
	FinancialTransactionTaxRate *<FinTxTaxRate>*	[0..1]	Rate		664
	WithholdingTaxRate *<WhldgTaxRate>*	[0..*]	±		664
	SecondLevelTax *<ScndLvlTax>*	[0..*]	±		665

8.4.11.11.15.1 AdditionalQuantityForSubscribedResultantSecurities <AddtlQtyForSbcbdRsltntScties>

Presence: [0..1]

Definition: Quantity of additional intermediate securities/new equities awarded for a given quantity of securities derived from subscription.

AdditionalQuantityForSubscribedResultantSecurities <AddtlQtyForSbcbdRsltntScties> contains one of the following elements (see RatioFormat20Choice on page 1218 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	QuantityToQuantity *<QtyToQty>*	[1..1]	±		1219
Or}	AmountToAmount *<AmtToAmt>*	[1..1]			1219
	Amount1 *<Amt1>*	[1..1]	Amount	C1	1219
	Amount2 *<Amt2>*	[1..1]	Amount	C1	1220

8.4.11.11.15.2 AdditionalQuantityForExistingSecurities <AddtlQtyForExstgScties>

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 <AddtlQtyForExstgScties> contains one of the following elements (see RatioFormat20Choice on page 1218 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	QuantityToQuantity <QtyToQty>	[1..1]	±		1219
Or}	AmountToAmount <AmtToAmt>	[1..1]			1219
	Amount1 <Amt1>	[1..1]	Amount	C1	1219
	Amount2 <Amt2>	[1..1]	Amount	C1	1220

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 RatioFormat19Choice on page 1215 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	QuantityToQuantity <QtyToQty>	[1..1]	±		1216
Or	AmountToAmount <AmtToAmt>	[1..1]			1216
	Amount1 <Amt1>	[1..1]	Amount	C1	1216
	Amount2 <Amt2>	[1..1]	Amount	C1	1216
Or	AmountToQuantity <AmtToQty>	[1..1]			1217
	Amount <Amt>	[1..1]	Amount	C1	1217
	Quantity <Qty>	[1..1]	Quantity		1218
Or}	QuantityToAmount <QtyToAmt>	[1..1]			1218
	Amount <Amt>	[1..1]	Amount	C1	1218
	Quantity <Qty>	[1..1]	Quantity		1218

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 RateAndAmountFormat39Choice on page 1228 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1228
Or}	Amount <Amt>	[1..1]	Amount	C1	1228

8.4.11.11.15.5 FiscalStamp <FsclStmp>

Presence: [0..1]

Definition: Percentage of fiscal tax to apply.

Datatype: PercentageRate on page 1356

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 1356

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 RateFormat22Choice on page 1202 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Rate *<Rate>*	[1..1]	Rate		1202
Or}	Amount *<Amt>*	[1..1]	Amount	C1	1202

8.4.11.11.15.8 FinancialTransactionTaxRate <FinTxTaxRate>

Presence: [0..1]

Definition: Rate of financial transaction tax.

Datatype: PercentageRate on page 1356

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 RateAndAmountFormat40Choice on page 1224 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1224
Or	Amount <Amt>	[1..1]	Amount	C1	1224
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			1225
	RateType <RateTp>	[1..1]			1225
{Or	Code <Cd>	[1..1]	CodeSet		1225
Or}	Proprietary <Prtry>	[1..1]	±		1226
	Rate <Rate>	[1..1]	Rate		1226

8.4.11.11.15.10 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 <ScndLvlTax> contains one of the following elements (see RateAndAmountFormat40Choice on page 1224 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1224
Or	Amount <Amt>	[1..1]	Amount	C1	1224
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			1225
	RateType <RateTp>	[1..1]			1225
{Or	Code <Cd>	[1..1]	CodeSet		1225
Or}	Proprietary <Prtry>	[1..1]	±		1226
	Rate <Rate>	[1..1]	Rate		1226

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 **CorporateActionPrice74** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CashInLieuOfSharePrice <CshInLieuOfShrPric>	[0..1]	±		666
	IndicativeOrMarketPrice <IndctvOrMktPric>	[0..1]			666
{Or	**IndicativePrice** <IndctvPric>	[1..1]	±		667
Or}	**MarketPrice** <MktPric>	[1..1]	±		667
	CashValueForTax <CshValForTax>	[0..1]	±		667
	GenericCashPricePaidPerProduct <GncCshPricPdPerPdct>	[0..1]	±		668
	GenericCashPriceReceivedPerProduct <GncCshPricRcvdPerPdct>	[0..1]	±		668

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 PriceFormat50Choice on page 1180 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1180
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1181
	PriceValue <PricVal>	[1..1]	Rate		1181
Or}	AmountPrice <AmtPric>	[1..1]	±		1181

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
IndicativeOrMarketPrice8Choice elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	**IndicativePrice** *<IndctvPric>*	[1..1]	±		667
Or}	**MarketPrice** *<MktPric>*	[1..1]	±		667

8.4.11.11.16.2.1 IndicativePrice <IndctvPric>

Presence: [1..1]

Definition: Estimated price, for example, for valuation purposes.

IndicativePrice <IndctvPric> contains one of the following elements (see PriceFormat50Choice on page 1180 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice *<PctgPric>*	[1..1]			1180
	PercentagePriceType *<PctgPricTp>*	[1..1]	CodeSet		1181
	PriceValue *<PricVal>*	[1..1]	Rate		1181
Or}	AmountPrice *<AmtPric>*	[1..1]	±		1181

8.4.11.11.16.2.2 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 PriceFormat50Choice on page 1180 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice *<PctgPric>*	[1..1]			1180
	PercentagePriceType *<PctgPricTp>*	[1..1]	CodeSet		1181
	PriceValue *<PricVal>*	[1..1]	Rate		1181
Or}	AmountPrice *<AmtPric>*	[1..1]	±		1181

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 AmountPrice2 on page 917 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		917
	PriceValue <PricVal>	[1..1]	Amount	C1	917

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 PriceFormat51Choice on page 1179 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1179
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1179
	PriceValue <PricVal>	[1..1]	Rate		1180
Or	AmountPrice <AmtPric>	[1..1]	±		1180
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		1180

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 PriceFormat64Choice on page 1162 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1163
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1163
	PriceValue <PricVal>	[1..1]	Rate		1164
Or	AmountPrice <AmtPric>	[1..1]	±		1164
Or	AmountPricePerFinancialInstrumentQuantity <AmtPricPerFinInstrmQty>	[1..1]			1164
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1164
	PriceValue <PricVal>	[1..1]	Amount	C1	1165
	FinancialInstrumentQuantity <FinInstrmQty>	[1..1]	±	C6	1165
Or	AmountPricePerAmount <AmtPricPerAmt>	[1..1]			1165
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1166
	PriceValue <PricVal>	[1..1]	Amount	C1	1166
	Amount <Amt>	[1..1]	Amount	C1	1166
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		1167

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 **CorporateActionAmounts60** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	WithholdingTaxAmount <WhldgTaxAmt>	[0..1]	Amount	C1, C11	669
	SecondLevelTaxAmount <ScndLvlTaxAmt>	[0..1]	Amount	C1, C11	670

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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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 <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   ,   C11 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

Note: 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 SettlementParties102 on page 1235 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Depository <*Dpstry*>	[0..1]		C3	1237
	Identification <*Id*>	[1..1]			1237
{Or	AnyBIC <*AnyBIC*>	[1..1]	IdentifierSet	C1	1238
Or	NameAndAddress <*NmAndAdr*>	[1..1]	±		1238
Or}	Country <*Ctry*>	[1..1]	CodeSet	C3	1238
	ProcessingIdentification <*PrcgId*>	[0..1]	Text		1239
	AlternateIdentification <*AltrnId*>	[0..*]	±		1239
	Party1 <*Pty1*>	[0..1]	±	C4, C53, C55, C57	1239
	Party2 <*Pty2*>	[0..1]	±	C4, C53, C55, C57	1241
	Party3 <*Pty3*>	[0..1]	±	C4, C53, C55, C57	1242

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
SettlementParties102 on page 1235 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Depository <Dpstry>	[0..1]		C3	1237
	Identification <Id>	[1..1]			1237
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1238
Or	NameAndAddress <NmAndAdr>	[1..1]	±		1238
Or}	Country <Ctry>	[1..1]	CodeSet	C3	1238
	ProcessingIdentification <PrcgId>	[0..1]	Text		1239
	AlternateIdentification <AltrnId>	[0..*]	±		1239
	Party1 <Pty1>	[0..1]	±	C4, C53, C55, C57	1239
	Party2 <Pty2>	[0..1]	±	C4, C53, C55, C57	1241
	Party3 <Pty3>	[0..1]	±	C4, C53, C55, C57	1242

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 **CashOption85** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CreditDebitIndicator <CdtDbtInd>	[1..1]	CodeSet		680
	ContractualPaymentIndicator <CtrctlPmtInd>	[0..1]	CodeSet		680
	IssuerOfferorTaxabilityIndicator <IssrOfferrTaxbltyInd>	[0..1]	±		680
	IncomeType <IncmTp>	[0..1]	±		680
	OtherIncomeType <OthrIncmTp>	[0..*]	±		681
	ExemptionType <XmptnTp>	[0..*]	±		681
	CountryOfIncomeSource <CtryOfIncmSrc>	[0..1]	CodeSet	C10	681
	Account <Acct>	[0..1]			682
{Or	**CashAccount** <CshAcct>	[1..1]	±		682
Or	**ChargesAccount** <ChrgsAcct>	[1..1]	±		682
Or}	**TaxAccount** <TaxAcct>	[1..1]	±		682
	CashParties <CshPties>	[0..1]	±		683
	AmountDetails <AmtDtls>	[1..1]			683
	PostingAmount <PstngAmt>	[1..1]	Amount	C1, C11	686
	GrossCashAmount <GrssCshAmt>	[0..1]	Amount	C1, C11	687
	NetCashAmount <NetCshAmt>	[0..1]	Amount	C1, C11	688
	SolicitationFees <SlctnFees>	[0..1]	Amount	C1, C11	688
	CashInLieuOfShare <CshInLieuOfShr>	[0..1]	Amount	C1, C11	689
	CapitalGain <CptlGn>	[0..1]	Amount	C1, C11	690
	InterestAmount <IntrstAmt>	[0..1]	Amount	C1, C11	690
	MarketClaimAmount <MktClmAmt>	[0..1]	Amount	C1, C11	691
	IndemnityAmount <IndmntyAmt>	[0..1]	Amount	C1, C11	692
	ManufacturedDividendPaymentAmount <ManfctrdDvddPmtAmt>	[0..1]	Amount	C1, C11	693
	ReinvestmentAmount <RinvstmtAmt>	[0..1]	Amount	C1, C11	693
	FullyFrankedAmount <FullyFrnkdAmt>	[0..1]	Amount	C1, C11	694

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	UnfrankedAmount <*UfrnkdAmt*>	[0..1]	Amount	C1, C11	695
	SundryOrOtherAmount <*SndryOrOthrAmt*>	[0..1]	Amount	C1, C11	695
	TaxFreeAmount <*TaxFreeAmt*>	[0..1]	Amount	C1, C11	696
	TaxDeferredAmount <*TaxDfrrdAmt*>	[0..1]	Amount	C1, C11	697
	ValueAddedTaxAmount <*ValAddedTaxAmt*>	[0..1]	Amount	C1, C11	698
	StampDutyAmount <*StmpDtyAmt*>	[0..1]	Amount	C1, C11	698
	TaxReclaimAmount <*TaxRclmAmt*>	[0..1]	Amount	C1, C11	699
	TaxCreditAmount <*TaxCdtAmt*>	[0..1]	Amount	C1, C11	700
	AdditionalTaxAmount <*AddtlTaxAmt*>	[0..1]	Amount	C1, C11	700
	WithholdingTaxAmount <*WhldgTaxAmt*>	[0..1]	Amount	C1, C11	701
	SecondLevelTaxAmount <*ScndLvlTaxAmt*>	[0..1]	Amount	C1, C11	702
	FiscalStampAmount <*FsclStmpAmt*>	[0..1]	Amount	C1, C11	703
	ExecutingBrokerAmount <*ExctgBrkrAmt*>	[0..1]	Amount	C1, C11	703
	PayingAgentCommissionAmount <*PngAgtComssnAmt*>	[0..1]	Amount	C1, C11	704
	LocalBrokerCommissionAmount <*LclBrkrComssnAmt*>	[0..1]	Amount	C1, C11	705
	RegulatoryFeesAmount <*RgltryFeesAmt*>	[0..1]	Amount	C1, C11	705
	ShippingFeesAmount <*ShppgFeesAmt*>	[0..1]	Amount	C1, C11	706
	ChargesAmount <*ChrgsAmt*>	[0..1]	Amount	C1, C11	707
	CashAmountBroughtForward <*CshAmtBrghtFwd*>	[0..1]	Amount	C1, C11	708
	CashAmountCarriedForward <*CshAmtCrrdFwd*>	[0..1]	Amount	C1, C11	708
	NotionalDividendPayableAmount <*NtnlDvddPyblAmt*>	[0..1]	Amount	C1, C11	709
	NotionalTaxAmount <*NtnlTaxAmt*>	[0..1]	Amount	C1, C11	710

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	TaxArrearsAmount <*TaxArrearsAmt*>	[0..1]	Amount	C1, C11	710
	OriginalAmount <*OrgnlAmt*>	[0..1]	Amount	C1, C11	711
	PrincipalOrCorpus <*PrncplOrCrps*>	[0..1]	Amount	C1, C11	712
	RedemptionPremiumAmount <*RedPrmAmt*>	[0..1]	Amount	C1, C11	713
	IncomePortion <*IncmPrtn*>	[0..1]	Amount	C1, C11	713
	StockExchangeTax <*StockXchgTax*>	[0..1]	Amount	C1, C11	714
	EUTaxRetentionAmount <*EUTaxRtntnAmt*>	[0..1]	Amount	C1, C11	715
	AccruedInterestAmount <*AcrdIntrstAmt*>	[0..1]	Amount	C1, C11	715
	EqualisationAmount <*EqulstnAmt*>	[0..1]	Amount	C1, C11	716
	FATCATaxAmount <*FATCATaxAmt*>	[0..1]	Amount	C1, C11	717
	NRATaxAmount <*NRATaxAmt*>	[0..1]	Amount	C1, C11	718
	BackUpWithholdingTaxAmount <*BckUpWhldgTaxAmt*>	[0..1]	Amount	C1, C11	718
	TaxOnIncomeAmount <*TaxOnIncmAmt*>	[0..1]	Amount	C1, C11	719
	TransactionTax <*TxTax*>	[0..1]	Amount	C1, C11	720
	DeemedAmount <*DmdAmt*>	[0..1]	Amount	C1, C11	720
	ForeignIncomeAmount <*FrgnIncmAmt*>	[0..1]	Amount	C1, C11	721
	DeemedDividendAmount <*DmdDvddAmt*>	[0..1]	Amount	C1, C11	722
	DeemedFundAmount <*DmdFndAmt*>	[0..1]	Amount	C1, C11	723
	DeemedInterestAmount <*DmdIntrstAmt*>	[0..1]	Amount	C1, C11	723
	DeemedRoyaltiesAmount <*DmdRyltsAmt*>	[0..1]	Amount	C1, C11	724
	AdjustedSubscriptionAmount <*AdjstdSbcptAmt*>	[0..1]	Amount	C1, C11	725
	RefundedSubscriptionAmount <*RfnddSbcptAmt*>	[0..1]	Amount	C1, C11	725
	DateDetails <*DtDtls*>	[1..1]			726

Or	MessageElement *<XML Tag>*	Mult.	Type	Constr. No.	Page
	PostingDate *<PstngDt>*	[1..1]	Date		726
	ValueDate *<ValDt>*	[0..1]	Date		727
	ForeignExchangeRateFixingDate *<FXRateFxgDt>*	[0..1]	±		727
	EarliestPaymentDate *<EarlstPmtDt>*	[0..1]	Date		727
	PaymentDate *<PmtDt>*	[0..1]	Date		727
	ForeignExchangeDetails *<FXDtls>*	[0..*]	±		727
	TaxVoucherDetails *<TaxVchrDtls>*	[0..1]	±		728
	RateAndAmountDetails *<RateAndAmtDtls>*	[0..1]		C12, C13, C24, C26, C41, C42, C63, C65, C67, C71, C73	728
	AdditionalTax *<AddtlTax>*	[0..1]	±		732
	ChargesFees *<ChrgsFees>*	[0..1]	±		732
	FiscalStamp *<FsclStmp>*	[0..1]	Rate		732
	GrossDividendRate *<GrssDvddRate>*	[0..*]	±		732
	EarlySolicitationFeeRate *<EarlySlctnFeeRate>*	[0..1]	±		733
	ThirdPartyIncentiveRate *<ThrdPtyIncntivRate>*	[0..1]	±		733
	InterestRateUsedForPayment *<IntrstRateUsdForPmt>*	[0..*]	±		734
	NetDividendRate *<NetDvddRate>*	[0..*]	±		734
	ApplicableRate *<AplblRate>*	[0..1]	Rate		735
	SolicitationFeeRate *<SlctnFeeRate>*	[0..1]	±		735
	TaxCreditRate *<TaxCdtRate>*	[0..1]	±		736
	WithholdingTaxRate *<WhldgTaxRate>*	[0..*]	±		736
	SecondLevelTax *<ScndLvlTax>*	[0..*]	±		736
	TaxOnIncome *<TaxOnIncm>*	[0..1]	±		737
	TaxOnProfits *<TaxOnPrfts>*	[0..1]	Rate		737
	TaxReclaimRate *<TaxRclmRate>*	[0..1]	Rate		737
	EqualisationRate *<EqulstnRate>*	[0..1]	Amount	C1	737
	DeemedRate *<DmdRate>*	[0..*]	±		738
	PriceDetails *<PricDtls>*	[0..1]		C21	739

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	GenericCashPricePaidPerProduct *<GncCshPricPdPerPdct>*	[0..1]	±		739
	GenericCashPriceReceivedPerProduct *<GncCshPricRcvdPerPdct>*	[0..1]	±		739
	CashInLieuOfSharePrice *<CshInLieuOfShrPric>*	[0..1]	±		740

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.

  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.

  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.

8.4.11.12.1 CreditDebitIndicator <CdtDbtInd>

Presence: [1..1]

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

Datatype: CreditDebitCode on page 1319

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 1338

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 1071 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1072
Or}	Proprietary *<Prtry>*	[1..1]	±		1072

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.

IncomeType <IncmTp> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

8.4.11.12.5 OtherIncomeType <OthrIncmTp>

Presence: [0..*]

Definition: Type of income to be used under another tax regime.

OtherIncomeType <OthrIncmTp> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

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 GenericIdentification30 on page 965 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

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 1318

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 **Account8Choice** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	**CashAccount** <*CshAcct*>	[1..1]	±		682
Or	**ChargesAccount** <*ChrgsAcct*>	[1..1]	±		682
Or}	**TaxAccount** <*TaxAcct*>	[1..1]	±		682

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 CashAccountIdentification5Choice on page 916 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	IBAN <*IBAN*>	[1..1]	IdentifierSet	C17	916
Or}	Proprietary <*Prtry*>	[1..1]	Text		917

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 CashAccountIdentification5Choice on page 916 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	IBAN <*IBAN*>	[1..1]	IdentifierSet	C17	916
Or}	Proprietary <*Prtry*>	[1..1]	Text		917

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
CashAccountIdentification5Choice on page 916 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IBAN <IBAN>	[1..1]	IdentifierSet	C17	916
Or}	Proprietary <Prtry>	[1..1]	Text		917

8.4.11.12.9 CashParties <CshPties>

Presence: [0..1]

Definition: Provides information about cash parties.

CashParties <CshPties> contains the following elements (see CashParties34 on page 1138 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Creditor <Cdtr>	[0..1]		C5	1139
	Identification <Id>	[1..1]	±		1139
	CashAccount <CshAcct>	[0..1]	±		1140
	ProcessingIdentification <PrcgId>	[0..1]	Text		1140
	AlternateIdentification <AltrnId>	[0..1]	±		1140
	CreditorAgent <CdtrAgt>	[0..1]	±	C6	1140
	MarketClaimCounterparty <MktClmCtrPty>	[0..1]		C5	1141
	Identification <Id>	[1..1]	±		1142
	CashAccount <CshAcct>	[0..1]	±		1142
	ProcessingIdentification <PrcgId>	[0..1]	Text		1142
	AlternateIdentification <AltrnId>	[0..1]	±		1142

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 **CorporateActionAmounts56** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PostingAmount <PstngAmt>	[1..1]	Amount	C1, C11	686
	GrossCashAmount <GrssCshAmt>	[0..1]	Amount	C1, C11	687
	NetCashAmount <NetCshAmt>	[0..1]	Amount	C1, C11	688
	SolicitationFees <SlctnFees>	[0..1]	Amount	C1, C11	688
	CashInLieuOfShare <CshInLieuOfShr>	[0..1]	Amount	C1, C11	689
	CapitalGain <CptlGn>	[0..1]	Amount	C1, C11	690
	InterestAmount <IntrstAmt>	[0..1]	Amount	C1, C11	690
	MarketClaimAmount <MktClmAmt>	[0..1]	Amount	C1, C11	691
	IndemnityAmount <IndmntyAmt>	[0..1]	Amount	C1, C11	692
	ManufacturedDividendPaymentAmount <ManfctrdDvddPmtAmt>	[0..1]	Amount	C1, C11	693
	ReinvestmentAmount <RinvstmtAmt>	[0..1]	Amount	C1, C11	693
	FullyFrankedAmount <FullyFrnkdAmt>	[0..1]	Amount	C1, C11	694
	UnfrankedAmount <UfrnkdAmt>	[0..1]	Amount	C1, C11	695
	SundryOrOtherAmount <SndryOrOthrAmt>	[0..1]	Amount	C1, C11	695
	TaxFreeAmount <TaxFreeAmt>	[0..1]	Amount	C1, C11	696
	TaxDeferredAmount <TaxDfrrdAmt>	[0..1]	Amount	C1, C11	697
	ValueAddedTaxAmount <ValAddedTaxAmt>	[0..1]	Amount	C1, C11	698
	StampDutyAmount <StmpDtyAmt>	[0..1]	Amount	C1, C11	698
	TaxReclaimAmount <TaxRclmAmt>	[0..1]	Amount	C1, C11	699
	TaxCreditAmount <TaxCdtAmt>	[0..1]	Amount	C1, C11	700
	AdditionalTaxAmount <AddtlTaxAmt>	[0..1]	Amount	C1, C11	700
	WithholdingTaxAmount <WhldgTaxAmt>	[0..1]	Amount	C1, C11	701

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SecondLevelTaxAmount <ScndLvlTaxAmt>	[0..1]	Amount	C1, C11	702
	FiscalStampAmount <FsclStmpAmt>	[0..1]	Amount	C1, C11	703
	ExecutingBrokerAmount <ExctgBrkrAmt>	[0..1]	Amount	C1, C11	703
	PayingAgentCommissionAmount <PngAgtComssnAmt>	[0..1]	Amount	C1, C11	704
	LocalBrokerCommissionAmount <LclBrkrComssnAmt>	[0..1]	Amount	C1, C11	705
	RegulatoryFeesAmount <RgltryFeesAmt>	[0..1]	Amount	C1, C11	705
	ShippingFeesAmount <ShppgFeesAmt>	[0..1]	Amount	C1, C11	706
	ChargesAmount <ChrgsAmt>	[0..1]	Amount	C1, C11	707
	CashAmountBroughtForward <CshAmtBrghtFwd>	[0..1]	Amount	C1, C11	708
	CashAmountCarriedForward <CshAmtCrrdFwd>	[0..1]	Amount	C1, C11	708
	NotionalDividendPayableAmount <NtnlDvddPyblAmt>	[0..1]	Amount	C1, C11	709
	NotionalTaxAmount <NtnlTaxAmt>	[0..1]	Amount	C1, C11	710
	TaxArrearsAmount <TaxArrearsAmt>	[0..1]	Amount	C1, C11	710
	OriginalAmount <OrgnlAmt>	[0..1]	Amount	C1, C11	711
	PrincipalOrCorpus <PrncplOrCrps>	[0..1]	Amount	C1, C11	712
	RedemptionPremiumAmount <RedPrmAmt>	[0..1]	Amount	C1, C11	713
	IncomePortion <IncmPrtn>	[0..1]	Amount	C1, C11	713
	StockExchangeTax <StockXchgTax>	[0..1]	Amount	C1, C11	714
	EUTaxRetentionAmount <EUTaxRtntnAmt>	[0..1]	Amount	C1, C11	715
	AccruedInterestAmount <AcrdIntrstAmt>	[0..1]	Amount	C1, C11	715
	EqualisationAmount <EqulstnAmt>	[0..1]	Amount	C1, C11	716
	FATCATaxAmount <FATCATaxAmt>	[0..1]	Amount	C1, C11	717

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	NRATaxAmount *<NRATaxAmt>*	[0..1]	Amount	C1, C11	718
	BackUpWithholdingTaxAmount *<BckUpWhldgTaxAmt>*	[0..1]	Amount	C1, C11	718
	TaxOnIncomeAmount *<TaxOnIncmAmt>*	[0..1]	Amount	C1, C11	719
	TransactionTax *<TxTax>*	[0..1]	Amount	C1, C11	720
	DeemedAmount *<DmdAmt>*	[0..1]	Amount	C1, C11	720
	ForeignIncomeAmount *<FrgnIncmAmt>*	[0..1]	Amount	C1, C11	721
	DeemedDividendAmount *<DmdDvddAmt>*	[0..1]	Amount	C1, C11	722
	DeemedFundAmount *<DmdFndAmt>*	[0..1]	Amount	C1, C11	723
	DeemedInterestAmount *<DmdIntrstAmt>*	[0..1]	Amount	C1, C11	723
	DeemedRoyaltiesAmount *<DmdRyltsAmt>*	[0..1]	Amount	C1, C11	724
	AdjustedSubscriptionAmount *<AdjstdSbcptAmt>*	[0..1]	Amount	C1, C11	725
	RefundedSubscriptionAmount *<RfnddSbcptAmt>*	[0..1]	Amount	C1, C11	725

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: ActiveCurrencyAndAmount on page 1269

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

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

Note: 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: <u>C1 ActiveCurrency</u> , <u>C11 CurrencyAmount</u>

Datatype: <u>ActiveCurrencyAndAmount on page 1269</u>

Constraints

- **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

- **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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 <MktClmAmt>

Presence: [0..1]

Definition: Amount of money resulting from a market claim.

Impacted by:　　C1 ActiveCurrency　　,　　C11 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

– *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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 <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   ,   C11 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 1269

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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 <TaxDfrrdAmt>

Presence: [0..1]

Definition: Amount of income eligible for deferred taxation.

Impacted by: C1 ActiveCurrency   ,   C11 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 1269

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

    – *Error severity:* Fatal

    – *Error Code:* D00005

    – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

    – *Error severity:* Fatal

    – *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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 <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   ,   C11 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 1269

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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 <FsclStmpAmt>

Presence: [0..1]

Definition: Amount of fiscal tax to apply.

Impacted by: C1 ActiveCurrency   ,   C11 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

    (Rule)

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

    Error handling:

    – *Error severity:* Fatal

    – *Error Code:* D00005

    – *Error Text:* Invalid currency code

- **CurrencyAmount**

    (Rule)

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

    Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

    (Rule)

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

    Error handling:

    – *Error severity:* Fatal

    – *Error Code:* D00005

– *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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 <CshAmtBrghtFwd>

Presence: [0..1]

Definition: Indicates cash retained from previous dividend.

Impacted by: C1 ActiveCurrency   ,   C11 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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 <NtnlDvddPyblAmt>

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: ActiveCurrencyAndAmount on page 1269

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

- **CurrencyAmount**

   (Rule)

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

   Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

   (Rule)

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

   Error handling:

   – *Error severity:* Fatal

   – *Error Code:* D00005

   – *Error Text:* Invalid currency code

- **CurrencyAmount**

   (Rule)

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

   Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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 <EqulstnAmt>

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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

– *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

– *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

    (Rule)

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

    Error handling:

    – *Error severity:* Fatal

    – *Error Code:* D00005

    – *Error Text:* Invalid currency code

- **CurrencyAmount**

    (Rule)

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

    Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

    (Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: 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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

   (Rule)

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

   Error handling:

   – *Error severity:* Fatal

   – *Error Code:* D00005

   – *Error Text:* Invalid currency code

- **CurrencyAmount**

   (Rule)

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

   Note: 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
	PostingDate *<PstngDt>*	[1..1]	Date		726
	ValueDate *<ValDt>*	[0..1]	Date		727
	ForeignExchangeRateFixingDate *<FXRateFxgDt>*	[0..1]	±		727
	EarliestPaymentDate *<EarlstPmtDt>*	[0..1]	Date		727
	PaymentDate *<PmtDt>*	[0..1]	Date		727

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 1352

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 1352

8.4.11.12.11.3 ForeignExchangeRateFixingDate <FXRateFxgDt>

Presence: [0..1]

Definition: Date/time at which a foreign exchange rate will be determined.

ForeignExchangeRateFixingDate <FXRateFxgDt> contains one of the following elements (see DateAndDateTime2Choice on page 933 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Date *<Dt>*	[1..1]	Date		933
Or}	DateTime *<DtTm>*	[1..1]	DateTime		933

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 1352

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 1352

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 ForeignExchangeTerms23 on page 1074 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	UnitCurrency *<UnitCcy>*	[1..1]	CodeSet	C1	1074
	QuotedCurrency *<QtdCcy>*	[1..1]	CodeSet	C1	1074
	ExchangeRate *<XchgRate>*	[1..1]	Rate		1075
	ResultingAmount *<RsltgAmt>*	[1..1]	Amount	C1, C11	1075

8.4.11.12.13 TaxVoucherDetails <TaxVchrDtls>

Presence: [0..1]

Definition: Provides information about the tax voucher related to a cash movement.

TaxVoucherDetails <TaxVchrDtls> contains the following elements (see <u>TaxVoucher4 on page 1069</u> for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		1069
	BargainDate <*BrgnDt*>	[0..1]	±		1069
	BargainSettlementDate <*BrgnSttlmDt*>	[0..1]	±		1069

8.4.11.12.14 RateAndAmountDetails <RateAndAmtDtls>

Presence: [0..1]

Definition: Provides information about the corporate action option.

Impacted by: <u>C12 DeemedRate1Rule</u>, <u>C13 DeemedRate2Rule</u>, <u>C24 GrossDividendRate2Rule</u>, <u>C26 GrossDividendRate3Rule</u>, <u>C41 NetDividendRate1Rule</u>, <u>C42 NetDividendRate2Rule</u>, <u>C63 SecondLevelTax1Rule</u>, <u>C65 SecondLevelTax2Rule</u>,   <u>C67 SecondLevelTax3Rule   </u>, <u>C71 WithholdingTaxRate1Rule</u>, <u>C73 WithholdingTaxRate2Rule</u>

RateAndAmountDetails <RateAndAmtDtls> contains the following **Rate35** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AdditionalTax <AddtlTax>	[0..1]	±		732
	ChargesFees <ChrgsFees>	[0..1]	±		732
	FiscalStamp <FsclStmp>	[0..1]	Rate		732
	GrossDividendRate <GrssDvddRate>	[0..*]	±		732
	EarlySolicitationFeeRate <EarlySlctnFeeRate>	[0..1]	±		733
	ThirdPartyIncentiveRate <ThrdPtyIncntivRate>	[0..1]	±		733
	InterestRateUsedForPayment <IntrstRateUsdForPmt>	[0..*]	±		734
	NetDividendRate <NetDvddRate>	[0..*]	±		734
	ApplicableRate <AplblRate>	[0..1]	Rate		735
	SolicitationFeeRate <SlctnFeeRate>	[0..1]	±		735
	TaxCreditRate <TaxCdtRate>	[0..1]	±		736
	WithholdingTaxRate <WhldgTaxRate>	[0..*]	±		736
	SecondLevelTax <ScndLvlTax>	[0..*]	±		736
	TaxOnIncome <TaxOnIncm>	[0..1]	±		737
	TaxOnProfits <TaxOnPrfts>	[0..1]	Rate		737
	TaxReclaimRate <TaxRclmRate>	[0..1]	Rate		737
	EqualisationRate <EqulstnRate>	[0..1]	Amount	C1	737
	DeemedRate <DmdRate>	[0..*]	±		738

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 RateAndAmountFormat39Choice on page 1228 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Rate <*Rate*>	[1..1]	Rate		1228
Or}	Amount <*Amt*>	[1..1]	Amount	C1	1228

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 RateAndAmountFormat39Choice on page 1228 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Rate <*Rate*>	[1..1]	Rate		1228
Or}	Amount <*Amt*>	[1..1]	Amount	C1	1228

8.4.11.12.14.3 FiscalStamp <FsclStmp>

Presence: [0..1]

Definition: Percentage of fiscal tax to apply.

Datatype: PercentageRate on page 1356

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
<u>GrossDividendRateFormat37Choice on page 1016</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Amount *<Amt>*	[1..1]	Amount	C1	1016
Or	AmountAndRateStatus *<AmtAndRateSts>*	[1..1]			1017
	Amount *<Amt>*	[1..1]	Amount	C1	1017
	RateStatus *<RateSts>*	[1..1]	CodeSet		1018
Or}	RateTypeAndAmountAndRateStatus *<RateTpAndAmtAndRateSts>*	[1..1]			1018
	RateType *<RateTp>*	[1..1]			1018
{Or	Code *<Cd>*	[1..1]	CodeSet		1018
Or}	Proprietary *<Prtry>*	[1..1]	±		1019
	Amount *<Amt>*	[1..1]	Amount	C1	1020
	RateStatus *<RateSts>*	[0..1]		C61	1020
{Or	Code *<Cd>*	[1..1]	CodeSet		1020
Or}	Proprietary *<Prtry>*	[1..1]	±		1021

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
<u>SolicitationFeeRateFormat8Choice on page 1213</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Rate *<Rate>*	[1..1]	Rate		1214
Or	AmountToQuantity *<AmtToQty>*	[1..1]			1214
	Amount *<Amt>*	[1..1]	Amount	C1	1214
	Quantity *<Qty>*	[1..1]	Quantity		1215
Or}	Amount *<Amt>*	[1..1]	Amount	C1	1215

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 RateAndAmountFormat39Choice on page 1228 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1228
Or}	Amount <Amt>	[1..1]	Amount	C1	1228

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 InterestRateUsedForPaymentFormat7Choice on page 1220 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1221
Or	Amount <Amt>	[1..1]	Amount	C1	1221
Or}	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1221
	RateType <RateTp>	[1..1]			1222
{Or	Code <Cd>	[1..1]	CodeSet		1222
Or}	Proprietary <Prtry>	[1..1]	±		1222
	Amount <Amt>	[1..1]	Amount	C1	1222
	RateStatus <RateSts>	[0..1]		C61	1223
{Or	Code <Cd>	[1..1]	CodeSet		1223
Or}	Proprietary <Prtry>	[1..1]	±		1223

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 NetDividendRateFormat40Choice on page 1000 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Amount <Amt>	[1..1]	Amount	C1	1001
Or	AmountAndRateStatus <AmtAndRateSts>	[1..1]			1001
	Amount <Amt>	[1..1]	Amount	C1	1002
	RateStatus <RateSts>	[1..1]	CodeSet		1002
Or}	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1002
	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]		C61	1005
{Or	Code <Cd>	[1..1]	CodeSet		1005
Or}	Proprietary <Prtry>	[1..1]	±		1005

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 1356

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 SolicitationFeeRateFormat8Choice on page 1213 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1214
Or	AmountToQuantity <AmtToQty>	[1..1]			1214
	Amount <Amt>	[1..1]	Amount	C1	1214
	Quantity <Qty>	[1..1]	Quantity		1215
Or}	Amount <Amt>	[1..1]	Amount	C1	1215

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 RateFormat22Choice on page 1202 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Rate *<Rate>*	[1..1]	Rate		1202
Or}	Amount *<Amt>*	[1..1]	Amount	C1	1202

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 RateAndAmountFormat40Choice on page 1224 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Rate *<Rate>*	[1..1]	Rate		1224
Or	Amount *<Amt>*	[1..1]	Amount	C1	1224
Or}	RateTypeAndRate *<RateTpAndRate>*	[1..1]			1225
	RateType *<RateTp>*	[1..1]			1225
{Or	Code *<Cd>*	[1..1]	CodeSet		1225
Or}	Proprietary *<Prtry>*	[1..1]	±		1226
	Rate *<Rate>*	[1..1]	Rate		1226

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 <ScndLvlTax> contains one of the following elements (see
RateAndAmountFormat40Choice on page 1224 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1224
Or	Amount <Amt>	[1..1]	Amount	C1	1224
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			1225
	RateType <RateTp>	[1..1]			1225
{Or	Code <Cd>	[1..1]	CodeSet		1225
Or}	Proprietary <Prtry>	[1..1]	±		1226
	Rate <Rate>	[1..1]	Rate		1226

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
RateAndAmountFormat39Choice on page 1228 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1228
Or}	Amount <Amt>	[1..1]	Amount	C1	1228

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 1356

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 1356

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: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet 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 RateAndAmountFormat52Choice on page 1202 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1203
Or	Amount <Amt>	[1..1]	Amount	C1	1203
Or	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1204
	RateType <RateTp>	[1..1]			1204
{Or	Code <Cd>	[1..1]	CodeSet		1204
Or}	Proprietary <Prtry>	[1..1]	±		1205
	Amount <Amt>	[1..1]	Amount	C1	1205
	RateStatus <RateSts>	[0..1]		C61	1205
{Or	Code <Cd>	[1..1]	CodeSet		1206
Or}	Proprietary <Prtry>	[1..1]	±		1206
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			1206
	RateType <RateTp>	[1..1]			1207
{Or	Code <Cd>	[1..1]	CodeSet		1207
Or}	Proprietary <Prtry>	[1..1]	±		1207
	Rate <Rate>	[1..1]	Rate		1208

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 **PriceDetails32** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	GenericCashPricePaidPerProduct <GncCshPricPdPerPdct>	[0..1]	±		739
	GenericCashPriceReceivedPerProduct <GncCshPricRcvdPerPdct>	[0..1]	±		739
	CashInLieuOfSharePrice <CshInLieuOfShrPric>	[0..1]	±		740

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 PriceFormat51Choice on page 1179 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1179
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1179
	PriceValue <PricVal>	[1..1]	Rate		1180
Or	AmountPrice <AmtPric>	[1..1]	±		1180
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		1180

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 PriceFormat64Choice on page 1162 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1163
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1163
	PriceValue <PricVal>	[1..1]	Rate		1164
Or	AmountPrice <AmtPric>	[1..1]	±		1164
Or	AmountPricePerFinancialInstrumentQuantity <AmtPricPerFinInstrmQty>	[1..1]			1164
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1164
	PriceValue <PricVal>	[1..1]	Amount	C1	1165
	FinancialInstrumentQuantity <FinInstrmQty>	[1..1]	±	C6	1165
Or	AmountPricePerAmount <AmtPricPerAmt>	[1..1]			1165
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1166
	PriceValue <PricVal>	[1..1]	Amount	C1	1166
	Amount <Amt>	[1..1]	Amount	C1	1166
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		1167

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 PriceFormat50Choice on page 1180 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <PctgPric>	[1..1]			1180
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1181
	PriceValue <PricVal>	[1..1]	Rate		1181
Or}	AmountPrice <AmtPric>	[1..1]	±		1181

8.4.12   AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Provides additional information.

AdditionalInformation <AddtlInf> contains the following **CorporateActionNarrative31** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AdditionalText <AddtlTxt>	[0..*]	Text		741
	NarrativeVersion <NrrtvVrsn>	[0..*]	Text		741
	PartyContactNarrative <PtyCtctNrrtv>	[0..*]	Text		741
	TaxationConditions <TaxtnConds>	[0..*]	Text		741

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: Max350Text on page 1359

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: Max350Text on page 1359

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: Max350Text on page 1359

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: Max350Text on page 1359

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 <u>PartyIdentification120Choice on page 1143</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	AnyBIC *<AnyBIC>*	[1..1]	IdentifierSet	C1	1143
Or	ProprietaryIdentification *<PrtryId>*	[1..1]	±		1143
Or}	NameAndAddress *<NmAndAdr>*	[1..1]	±		1144

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 <u>PartyIdentification120Choice on page 1143</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	AnyBIC *<AnyBIC>*	[1..1]	IdentifierSet	C1	1143
Or	ProprietaryIdentification *<PrtryId>*	[1..1]	±		1143
Or}	NameAndAddress *<NmAndAdr>*	[1..1]	±		1144

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 <u>PartyIdentification120Choice on page 1143</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	AnyBIC *<AnyBIC>*	[1..1]	IdentifierSet	C1	1143
Or	ProprietaryIdentification *<PrtryId>*	[1..1]	±		1143
Or}	NameAndAddress *<NmAndAdr>*	[1..1]	±		1144

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: <u>C69 SupplementaryDataRule</u>

SupplementaryData <SplmtryData> contains the following elements (see SupplementaryData1 on page 1127 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		1127
	Envelope <Envlp>	[1..1]	(External Schema)		1127

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.037.001.14 CorporateActionMovementReversalAdviceV14

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 CorporateActionMovementReversalAdviceV14 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> <CorpActnMvmntRvslAdvc>	[1..1]		C2, C12, C17, C15	
	MovementConfirmationIdentification *<MvmntConfId>*	[1..1]	±		753
	OtherDocumentIdentification *<OthrDocId>*	[0..*]	±		753
	EventsLinkage *<EvtsLkg>*	[0..*]	±		753
	ReversalReason *<RvslRsn>*	[0..1]		C3	754
	Reason *<Rsn>*	[1..1]			754
{Or	**Code** *<Cd>*	[1..1]	CodeSet		754
Or}	**Proprietary** *<Prtry>*	[1..1]	±		755
	AdditionalReasonInformation *<AddtlRsnInf>*	[0..1]	Text		755
	TransactionIdentification *<TxId>*	[0..1]			755
	MarketInfrastructureTransactionIdentification *<MktInfrstrctrTxId>*	[1..1]	Text		756
	CorporateActionGeneralInformation *<CorpActnGnlInf>*	[1..1]		C16	756
	CorporateActionEventIdentification *<CorpActnEvtId>*	[1..1]	Text		756
	OfficialCorporateActionEventIdentification *<OffclCorpActnEvtId>*	[0..1]	Text		757
	ClassActionNumber *<ClssActnNb>*	[0..1]	Text		757
	EventType *<EvtTp>*	[1..1]	±	C10	757
	FinancialInstrumentIdentification *<FinInstrmId>*	[1..1]	±	C7, C8, C13, C14, C18	757
	FractionalQuantity *<FrctnlQty>*	[0..1]	±	C9	759
	AccountDetails *<AcctDtls>*	[1..1]		C19, C20, C21	759
	SafekeepingAccount *<SfkpgAcct>*	[0..1]	Text		761
	BlockChainAddressOrWallet *<BlckChainAdrOrWllt>*	[0..1]	Text		761
	ConfirmedBalance *<ConfdBal>*	[1..1]	±		761
	CorporateActionDetails *<CorpActnDtls>*	[0..1]			761
	DateDetails *<DtDtls>*	[0..1]			762
	RecordDate *<RcrdDt>*	[0..1]	±		762

Or	MessageElement/BuildingBlock<*XML Tag*>	Mult.	Type	Constr. No.	Page
	ExDividendDate <*ExDvddDt*>	[0..1]	±		762
	EventStage <*EvtStag*>	[0..1]	±		763
	AdditionalBusinessProcessIndicator <*AddtlBizPrcInd*>	[0..1]	±		763
	IntermediateSecuritiesDistributionType <*IntrmdtSctiesDstrbtnTp*>	[0..1]	±		763
	LotteryType <*LtryTp*>	[0..1]	±		764
	CorporateActionConfirmationDetails <*CorpActnConfDtls*>	[1..1]			764
	OptionNumber <*OptnNb*>	[1..1]	±		765
	OptionType <*OptnTp*>	[1..1]	±		766
	SecuritiesMovementDetails <*SctiesMvmntDtls*>	[0..*]			766
	FinancialInstrumentIdentification <*FinInstrmId*>	[1..1]	±	C7, C8, C13, C14, C18	766
	CreditDebitIndicator <*CdtDbtInd*>	[1..1]	CodeSet		768
	PostingQuantity <*PstngQty*>	[1..1]	±		768
	PostingDate <*PstngDt*>	[1..1]	Date		768
	OriginalPostingDate <*OrgnlPstngDt*>	[0..1]	Date		769
	CashMovementDetails <*CshMvmntDtls*>	[0..*]			769
	CreditDebitIndicator <*CdtDbtInd*>	[1..1]	CodeSet		769
	Account <*Acct*>	[0..1]			769
{Or	**CashAccount** <*CshAcct*>	[1..1]	±		770
Or	**ChargesAccount** <*ChrgsAcct*>	[1..1]	±		770
Or}	**TaxAccount** <*TaxAcct*>	[1..1]	±		770
	PostingDate <*PstngDt*>	[1..1]	Date		770
	OriginalPostingDate <*OrgnlPstngDt*>	[0..1]	Date		771
	ValueDate <*ValDt*>	[0..1]	Date		771
	PostingAmount <*PstngAmt*>	[1..1]	Amount	C1, C6	771
	AdditionalInformation <*AddtlInf*>	[0..1]			772
	AdditionalText <*AddtlTxt*>	[0..*]	Text		772
	NarrativeVersion <*NrrtvVrsn*>	[0..*]	Text		772
	PartyContactNarrative <*PtyCtctNrrtv*>	[0..*]	Text		772
	TaxationConditions <*TaxtnConds*>	[0..*]	Text		772

Or	MessageElement/BuildingBlock<*XML Tag*>	Mult.	Type	Constr. No.	Page
	IssuerAgent <*IssrAgt*>	[0..*]	±		772
	PayingAgent <*PngAgt*>	[0..*]	±		773
	SubPayingAgent <*SubPngAgt*>	[0..*]	±		773
	SupplementaryData <*SplmtryData*>	[0..*]	±	C23	773

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   AdditionalReasonInforrmationRule

(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 **Country**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00004

– *Error Text:* Invalid Country Code.

C6 **CurrencyAmount**

(Rule)

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

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00007

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

C7 **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.

C8 **DescriptionUsageRule**

(Rule)

Description must be used alone as the last resort.

C9 **DigitalTokenUnitUsageRule**

(Rule)

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

C10 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.

C11 IBAN

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00003

– *Error Text:* Invalid IBAN format or invalid check digits.

C12 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.

C13 ISINGuideline

(Rule)

When an ISIN code exists, 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   IssuerAgentGuideline

(Guideline)

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

This constraint is defined at the MessageDefinition level.

C16   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.

C17   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.

C18   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.

C19   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.

C20 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.

C21 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.

C22 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.

C23 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.

C24 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 <MvmntConfId> contains the following elements (see DocumentIdentification31 on page 941 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		941
	LinkageType *<LkgTp>*	[0..1]	±	C32	941

9.4.2 OtherDocumentIdentification <OthrDocId>

Presence: [0..*]

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

OtherDocumentIdentification <OthrDocId> contains the following elements (see DocumentIdentification32 on page 944 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]			944
{Or	AccountServicerDocumentIdentification *<AcctSvcrDocId>*	[1..1]	Text		944
Or}	AccountOwnerDocumentIdentification *<AcctOwnrDocId>*	[1..1]	Text		944
	DocumentNumber *<DocNb>*	[0..1]	±	C6	944
	LinkageType *<LkgTp>*	[0..1]	±	C32	945

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 <u>CorporateActionEventReference3 on page 963</u> for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	EventIdentification <EvtId>	[1..1]			964
{Or	LinkedOfficialCorporateActionEventIdentification <LkdOffclCorpActnEvtId>	[1..1]	Text		964
Or}	LinkedCorporateActionIdentification <LkdCorpActnId>	[1..1]	Text		964
	LinkageType <LkgTp>	[0..1]	±	C32	964

9.4.4   ReversalReason <RvslRsn>

Presence: [0..1]

Definition: Reason for the reversal.

Impacted by: <u>C3 AdditionalReasonInforrmationRule</u>

ReversalReason <RvslRsn> contains the following **CorporateActionReversalReason5** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]			754
{Or	**Code** <Cd>	[1..1]	CodeSet		754
Or}	**Proprietary** <Prtry>	[1..1]	±		755
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		755

Constraints

- **AdditionalReasonInforrmationRule**

  (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 **CorporateActionReversalReason5Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	**Code** <Cd>	[1..1]	CodeSet		754
Or}	**Proprietary** <Prtry>	[1..1]	±		755

9.4.4.1.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the reason for the reversal.

Datatype: <u>CorporateActionReversalReason2Code on page 1317</u>

CodeName	Name	Definition
DCBD	DayCountBasisDifference	Difference in day count basis.
FNRC	FundsNotReceived	Funds have not been received.
IRED	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 <u>GenericIdentification30 on page 965</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

9.4.4.2 AdditionalReasonInformation <AddtlRsnInf>

Presence: [0..1]

Definition: Provides additional information about the processed instruction.

Datatype: <u>Max256Text on page 1358</u>

9.4.5 TransactionIdentification <TxId>

Presence: [0..1]

Definition: Transaction type and identification information.

TransactionIdentification <TxId> contains the following **TransactionIdentification15** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	MarketInfrastructureTransactionIdentification *<MktInfrstrctrTxId>*	[1..1]	Text		756

9.4.5.1 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: Max35Text on page 1359

9.4.6 CorporateActionGeneralInformation <CorpActnGnlInf>

Presence: [1..1]

Definition: General information about the corporate action event.

Impacted by: C16 OfficialCorporateActionEventReference

CorporateActionGeneralInformation <CorpActnGnlInf> contains the following **CorporateActionGeneralInformation162** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	CorporateActionEventIdentification *<CorpActnEvtId>*	[1..1]	Text		756
	OfficialCorporateActionEventIdentification *<OffclCorpActnEvtId>*	[0..1]	Text		757
	ClassActionNumber *<ClssActnNb>*	[0..1]	Text		757
	EventType *<EvtTp>*	[1..1]	±	C10	757
	FinancialInstrumentIdentification *<FinInstrmId>*	[1..1]	±	C7, C8, C13, C14, C18	757
	FractionalQuantity *<FrctnlQty>*	[0..1]	±	C9	759

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.

9.4.6.1 CorporateActionEventIdentification <CorpActnEvtId>

Presence: [1..1]

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

Datatype: Max35Text on page 1359

9.4.6.2 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: Max35Text on page 1359

9.4.6.3 ClassActionNumber <ClssActnNb>

Presence: [0..1]

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

Datatype: Max35Text on page 1359

9.4.6.4 EventType <EvtTp>

Presence: [1..1]

Definition: Type of corporate action event.

Impacted by: C10 EventTypeRule

EventType <EvtTp> contains one of the following elements (see CorporateActionEventType87Choice on page 1041 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Code <*Cd*>	[1..1]	CodeSet		1041
Or}	Proprietary <*Prtry*>	[1..1]	±		1047

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: C7 DescriptionPresenceRule , C8 DescriptionUsageRule, C13 ISINGuideline, C14 ISINPresenceRule , C18 OtherIdentificationPresenceRule

FinancialInstrumentIdentification <FinInstrmId> contains the following elements (see
SecurityIdentification19 on page 952 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	ISIN <*ISIN*>	[0..1]	IdentifierSet		954
	OtherIdentification <*OthrId*>	[0..*]			954
	Identification <*Id*>	[1..1]	Text		954
	Suffix <*Sfx*>	[0..1]	Text		954
	Type <*Tp*>	[1..1]	±		954
	Description <*Desc*>	[0..1]	Text		955

Constraints

- **DescriptionPresenceRule**

  (Rule)

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

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* X00192

  – *Error Text:* At least one identification must be present.

- **DescriptionUsageRule**

  (Rule)

  Description must be used alone as the last resort.

- **ISINGuideline**

  (Rule)

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

- **ISINPresenceRule**

  (Rule)

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

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00194

– *Error Text:* At least one identification must be present.

• **OtherIdentificationPresenceRule**

(Rule)

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

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00193

– *Error Text:* At least one identification must be present.

9.4.6.6 FractionalQuantity <FrctnlQty>

Presence: [0..1]

Definition: Fractional quantity resulting from an event which will be paid with cash in lieu.

Impacted by: C9 DigitalTokenUnitUsageRule

FractionalQuantity <FrctnlQty> contains one of the following elements (see FinancialInstrumentQuantity33Choice on page 1185 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Unit <*Unit*>	[1..1]	Quantity		1186
Or	FaceAmount <*FaceAmt*>	[1..1]	Amount		1186
Or	AmortisedValue <*AmtsdVal*>	[1..1]	Amount		1186
Or}	DigitalTokenUnit <*DgtlTknUnit*>	[1..1]	Quantity		1186

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: <u>C19 SafekeepingAccountOrBlockChainAddress1Rule</u>   ,   <u>C20</u>
<u>SafekeepingAccountOrBlockChainAddress2Rule</u>   ,   <u>C21</u>
<u>SafekeepingAccountOrBlockChainAddress3Rule</u>

AccountDetails <AcctDtls> contains the following **AccountAndBalance50** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	SafekeepingAccount *<SfkpgAcct>*	[0..1]	Text		761
	BlockChainAddressOrWallet *<BlckChainAdrOrWllt>*	[0..1]	Text		761
	ConfirmedBalance *<ConfdBal>*	[1..1]	±		761

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: Max35Text on page 1359

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: Max140Text on page 1357

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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

9.4.8 CorporateActionDetails <CorpActnDtls>

Presence: [0..1]

Definition: Information about the corporate action event.

CorporateActionDetails <CorpActnDtls> contains the following **CorporateAction70** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	DateDetails *<DtDtls>*	[0..1]			762
	RecordDate *<RcrdDt>*	[0..1]	±		762
	ExDividendDate *<ExDvddDt>*	[0..1]	±		762
	EventStage *<EvtStag>*	[0..1]	±		763
	AdditionalBusinessProcessIndicator *<AddtlBizPrcInd>*	[0..1]	±		763
	IntermediateSecuritiesDistributionType *<IntrmdtSctiesDstrbtnTp>*	[0..1]	±		763
	LotteryType *<LtryTp>*	[0..1]	±		764

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 **CorporateActionDate86** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	RecordDate *<RcrdDt>*	[0..1]	±		762
	ExDividendDate *<ExDvddDt>*	[0..1]	±		762

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 <u>DateFormat30Choice on page 929</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Date *<Dt>*	[1..1]	Date		929
Or}	DateCode *<DtCd>*	[1..1]			929
{Or	Code *<Cd>*	[1..1]	CodeSet		929
Or}	Proprietary *<Prtry>*	[1..1]	±		930

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 DateFormat30Choice on page 929 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		929
Or}	DateCode <DtCd>	[1..1]			929
{Or	Code <Cd>	[1..1]	CodeSet		929
Or}	Proprietary <Prtry>	[1..1]	±		930

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 CorporateActionEventStageFormat14Choice on page 1079 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1080
Or}	Proprietary <Prtry>	[1..1]	±		1080

9.4.8.3 AdditionalBusinessProcessIndicator <AddtlBizPrcInd>

Presence: [0..1]

Definition: Indicates that the additional business process relates to a claim on the associated corporate action event.

AdditionalBusinessProcessIndicator <AddtlBizPrcInd> contains one of the following elements (see AdditionalBusinessProcessFormat11Choice on page 1078 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1078
Or}	Proprietary <Prtry>	[1..1]	±		1079

9.4.8.4 IntermediateSecuritiesDistributionType <IntrmdtSctiesDstrbtnTp>

Presence: [0..1]

Definition: Type of intermediates securities distribution.

IntermediateSecuritiesDistributionType <IntrmdtSctiesDstrbtnTp> contains one of the following elements (see IntermediateSecuritiesDistributionTypeFormat15Choice on page 1111 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1111
Or}	Proprietary <Prtry>	[1..1]	±		1112

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 LotteryTypeFormat4Choice on page 1108 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1108
Or}	Proprietary *<Prtry>*	[1..1]	±		1108

9.4.9   CorporateActionConfirmationDetails <CorpActnConfDtls>

Presence: [1..1]

Definition: Information about the corporate action option.

CorporateActionConfirmationDetails <CorpActnConfDtls> contains the following
CorporateActionOption212 elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	OptionNumber <*OptnNb*>	[1..1]	±		765
	OptionType <*OptnTp*>	[1..1]	±		766
	SecuritiesMovementDetails <*SctiesMvmntDtls*>	[0..*]			766
	FinancialInstrumentIdentification <*FinInstrmId*>	[1..1]	±	C7, C8, C13, C14, C18	766
	CreditDebitIndicator <*CdtDbtInd*>	[1..1]	CodeSet		768
	PostingQuantity <*PstngQty*>	[1..1]	±		768
	PostingDate <*PstngDt*>	[1..1]	Date		768
	OriginalPostingDate <*OrgnlPstngDt*>	[0..1]	Date		769
	CashMovementDetails <*CshMvmntDtls*>	[0..*]			769
	CreditDebitIndicator <*CdtDbtInd*>	[1..1]	CodeSet		769
	Account <*Acct*>	[0..1]			769
{Or	**CashAccount** <*CshAcct*>	[1..1]	±		770
Or	**ChargesAccount** <*ChrgsAcct*>	[1..1]	±		770
Or}	**TaxAccount** <*TaxAcct*>	[1..1]	±		770
	PostingDate <*PstngDt*>	[1..1]	Date		770
	OriginalPostingDate <*OrgnlPstngDt*>	[0..1]	Date		771
	ValueDate <*ValDt*>	[0..1]	Date		771
	PostingAmount <*PstngAmt*>	[1..1]	Amount	C1, C6	771

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 1127 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Number <*Nb*>	[1..1]	Text		1128
Or}	Code <*Cd*>	[1..1]	CodeSet		1128

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 <u>CorporateActionOption33Choice on page 997</u> for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Code <*Cd*>	[1..1]	CodeSet		998
Or}	Proprietary <*Prtry*>	[1..1]	±		999

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 **SecuritiesOption94** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	FinancialInstrumentIdentification <*FinInstrmId*>	[1..1]	±	C7, C8, C13, C14, C18	766
	CreditDebitIndicator <*CdtDbtInd*>	[1..1]	CodeSet		768
	PostingQuantity <*PstngQty*>	[1..1]	±		768
	PostingDate <*PstngDt*>	[1..1]	Date		768
	OriginalPostingDate <*OrgnlPstngDt*>	[0..1]	Date		769

9.4.9.3.1 FinancialInstrumentIdentification <FinInstrmId>

Presence: [1..1]

Definition: Identification of the financial instrument.

Impacted by: <u>C7 DescriptionPresenceRule</u>, <u>C8 DescriptionUsageRule</u>, <u>C13 ISINGuideline</u>, <u>C14 ISINPresenceRule</u>, <u>C18 OtherIdentificationPresenceRule</u>

FinancialInstrumentIdentification <FinInstrmId> contains the following elements (see
SecurityIdentification19 on page 952 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		954
	OtherIdentification <OthrId>	[0..*]			954
	Identification <Id>	[1..1]	Text		954
	Suffix <Sfx>	[0..1]	Text		954
	Type <Tp>	[1..1]	±		954
	Description <Desc>	[0..1]	Text		955

Constraints

- **DescriptionPresenceRule**

  (Rule)

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

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* X00192

  – *Error Text:* At least one identification must be present.

- **DescriptionUsageRule**

  (Rule)

  Description must be used alone as the last resort.

- **ISINGuideline**

  (Rule)

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

- **ISINPresenceRule**

  (Rule)

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

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00194

– *Error Text:* At least one identification must be present.

- **OtherIdentificationPresenceRule**

(Rule)

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

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00193

– *Error Text:* At least one identification must be present.

9.4.9.3.2 CreditDebitIndicator <CdtDbtInd>

Presence: [1..1]

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

Datatype: CreditDebitCode on page 1319

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 Quantity51Choice on page 1194 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Quantity <*Qty*>	[1..1]	±	C6	1194
Or}	OriginalAndCurrentFace <*OrgnlAndCurFace*>	[1..1]	±		1194

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 1352

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 1352

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 **CashOption86** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	CreditDebitIndicator *<CdtDbtInd>*	[1..1]	CodeSet		769
	Account *<Acct>*	[0..1]			769
{Or	**CashAccount** *<CshAcct>*	[1..1]	±		770
Or	**ChargesAccount** *<ChrgsAcct>*	[1..1]	±		770
Or}	**TaxAccount** *<TaxAcct>*	[1..1]	±		770
	PostingDate *<PstngDt>*	[1..1]	Date		770
	OriginalPostingDate *<OrgnlPstngDt>*	[0..1]	Date		771
	ValueDate *<ValDt>*	[0..1]	Date		771
	PostingAmount *<PstngAmt>*	[1..1]	Amount	C1, C6	771

9.4.9.4.1 CreditDebitIndicator <CdtDbtInd>

Presence: [1..1]

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

Datatype: CreditDebitCode on page 1319

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 **Account8Choice** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	**CashAccount** <*CshAcct*>	[1..1]	±		770
Or	**ChargesAccount** <*ChrgsAcct*>	[1..1]	±		770
Or}	**TaxAccount** <*TaxAcct*>	[1..1]	±		770

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 CashAccountIdentification5Choice on page 916 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	IBAN <*IBAN*>	[1..1]	IdentifierSet	C17	916
Or}	Proprietary <*Prtry*>	[1..1]	Text		917

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 CashAccountIdentification5Choice on page 916 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	IBAN <*IBAN*>	[1..1]	IdentifierSet	C17	916
Or}	Proprietary <*Prtry*>	[1..1]	Text		917

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 CashAccountIdentification5Choice on page 916 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	IBAN <*IBAN*>	[1..1]	IdentifierSet	C17	916
Or}	Proprietary <*Prtry*>	[1..1]	Text		917

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 1352

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 1352

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 1352

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   ,   C6 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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 **CorporateActionNarrative31** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	AdditionalText *<AddtlTxt>*	[0..*]	Text		772
	NarrativeVersion *<NrrtvVrsn>*	[0..*]	Text		772
	PartyContactNarrative *<PtyCtctNrrtv>*	[0..*]	Text		772
	TaxationConditions *<TaxtnConds>*	[0..*]	Text		772

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: Max350Text on page 1359

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: Max350Text on page 1359

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: Max350Text on page 1359

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: Max350Text on page 1359

9.4.11 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 <u>PartyIdentification120Choice on page 1143</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	AnyBIC *<AnyBIC>*	[1..1]	IdentifierSet	C1	1143
Or	ProprietaryIdentification *<PrtryId>*	[1..1]	±		1143
Or}	NameAndAddress *<NmAndAdr>*	[1..1]	±		1144

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 <u>PartyIdentification120Choice on page 1143</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	AnyBIC *<AnyBIC>*	[1..1]	IdentifierSet	C1	1143
Or	ProprietaryIdentification *<PrtryId>*	[1..1]	±		1143
Or}	NameAndAddress *<NmAndAdr>*	[1..1]	±		1144

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 <u>PartyIdentification120Choice on page 1143</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	AnyBIC *<AnyBIC>*	[1..1]	IdentifierSet	C1	1143
Or	ProprietaryIdentification *<PrtryId>*	[1..1]	±		1143
Or}	NameAndAddress *<NmAndAdr>*	[1..1]	±		1144

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: <u>C23 SupplementaryDataRule</u>

SupplementaryData <SplmtryData> contains the following elements (see <u>SupplementaryData1 on page 1127</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	PlaceAndName *<PlcAndNm>*	[0..1]	Text		1127
	Envelope *<Envlp>*	[1..1]	(External Schema)		1127

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.038.001.07 CorporateActionNarrativeV07

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 CorporateActionNarrativeV07 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]			
	AccountDetails *<AcctDtls>*	[0..1]			779
{Or	**ForAllAccounts** *<ForAllAccts>*	[1..1]	±		780
Or}	**AccountsListAndBalanceDetails** *<AcctsListAndBalDtls>*	[1..*]		C11, C12, C13, C14	780
	SafekeepingAccount *<SfkpgAcct>*	[0..1]	Text		781
	BlockChainAddressOrWallet *<BlckChainAdrOrWllt>*	[0..1]	Text		781
	AccountOwner *<AcctOwnr>*	[0..1]	±		781
	SafekeepingPlace *<SfkpgPlc>*	[0..1]	±		782
	ConfirmedBalance *<ConfdBal>*	[1..1]	±		782
	UnderlyingSecurity *<UndrlygScty>*	[0..1]	±	C4, C5, C7, C8, C10	782
	CorporateActionGeneralInformation *<CorpActnGnlInf>*	[1..1]		C9	784
	CorporateActionEventIdentification *<CorpActnEvtId>*	[1..1]	Text		785
	OfficialCorporateActionEventIdentification *<OffclCorpActnEvtId>*	[0..1]	Text		785
	NarrativeType *<NrrtvTp>*	[0..1]	±		785
	AdditionalInformation *<AddtlInf>*	[1..1]	±	C1	785
	SupplementaryData *<SplmtryData>*	[0..*]	±	C15	786

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

C8   ISINPresenceRule

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00194

– *Error Text:* At least one identification must be present.

C9 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.

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 **AccountIdentification48Choice** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	**ForAllAccounts** *<ForAllAccts>*	[1..1]	±		780
Or}	**AccountsListAndBalanceDetails** *<AcctsListAndBalDtls>*	[1..*]		C11, C12, C13, C14	780
	SafekeepingAccount *<SfkpgAcct>*	[0..1]	Text		781
	BlockChainAddressOrWallet *<BlckChainAdrOrWllt>*	[0..1]	Text		781
	AccountOwner *<AcctOwnr>*	[0..1]	±		781
	SafekeepingPlace *<SfkpgPlc>*	[0..1]	±		782
	ConfirmedBalance *<ConfdBal>*	[1..1]	±		782

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 <u>AccountIdentification10 on page 916</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	IdentificationCode *<IdCd>*	[1..1]	CodeSet		916

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: <u>C11 SafekeepingAccountOrBlockChainAddress1Rule</u> , <u>C12 SafekeepingAccountOrBlockChainAddress2Rule</u> , <u>C13 SafekeepingAccountOrBlockChainAddress3Rule</u> , <u>C14 SafekeepingPlaceRule</u>

AccountsListAndBalanceDetails <AcctsListAndBalDtls> contains the following **AccountIdentification59** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	SafekeepingAccount *<SfkpgAcct>*	[0..1]	Text		781
	BlockChainAddressOrWallet *<BlckChainAdrOrWllt>*	[0..1]	Text		781
	AccountOwner *<AcctOwnr>*	[0..1]	±		781
	SafekeepingPlace *<SfkpgPlc>*	[0..1]	±		782
	ConfirmedBalance *<ConfdBal>*	[1..1]	±		782

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: Max35Text on page 1359

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: Max140Text on page 1357

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 <u>PartyIdentification127Choice</u> <u>on page 1145</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	AnyBIC *<AnyBIC>*	[1..1]	IdentifierSet	C1	1145
Or}	ProprietaryIdentification *<PrtryId>*	[1..1]	±		1146

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 <u>SafekeepingPlaceFormat28Choice on page 1231</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Identification *<Id>*	[1..1]			1232
	SafekeepingPlaceType *<SfkpgPlcTp>*	[1..1]	CodeSet		1232
	Identification *<Id>*	[0..1]	Text		1232
Or	Country *<Ctry>*	[1..1]	CodeSet	C3	1232
Or	TypeAndIdentification *<TpAndId>*	[1..1]			1233
	SafekeepingPlaceType *<SfkpgPlcTp>*	[1..1]	CodeSet		1233
	Identification *<Id>*	[1..1]	IdentifierSet	C1	1233
Or}	Proprietary *<Prtry>*	[1..1]	±		1234

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 <u>BalanceFormat11Choice</u> <u>on page 921</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

10.4.2 UnderlyingSecurity <UndrlygScty>

Presence: [0..1]

Definition: Provides information about the securitised right for entitlement.

Impacted by: <u>C4 DescriptionPresenceRule</u>, <u>C5 DescriptionUsageRule</u>, <u>C7 ISINGuideline</u>, <u>C8 ISINPresenceRule</u>, <u>C10 OtherIdentificationPresenceRule</u>

UnderlyingSecurity <UndrlygScty> contains the following elements (see SecurityIdentification19 on page 952 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN </ISIN>	[0..1]	IdentifierSet		954
	OtherIdentification <OthrId>	[0..*]			954
	Identification <Id>	[1..1]	Text		954
	Suffix <Sfx>	[0..1]	Text		954
	Type <Tp>	[1..1]	±		954
	Description <Desc>	[0..1]	Text		955

Constraints

- **DescriptionPresenceRule**

  (Rule)

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

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* X00192

  – *Error Text:* At least one identification must be present.

- **DescriptionUsageRule**

  (Rule)

  Description must be used alone as the last resort.

- **ISINGuideline**

  (Rule)

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

- **ISINPresenceRule**

  (Rule)

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

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00194

– *Error Text:* At least one identification must be present.

- **OtherIdentificationPresenceRule**

  (Rule)

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

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* X00193

  – *Error Text:* At least one identification must be present.

10.4.3   CorporateActionGeneralInformation <CorpActnGnlInf>

Presence: [1..1]

Definition: General information about the corporate action event.

Impacted by: C9 OfficialCorporateActionEventReference

CorporateActionGeneralInformation <CorpActnGnlInf> contains the following **CorporateActionGeneralInformation92** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	CorporateActionEventIdentification *<CorpActnEvtId>*	[1..1]	Text		785
	OfficialCorporateActionEventIdentification *<OffclCorpActnEvtId>*	[0..1]	Text		785
	NarrativeType *<NrrtvTp>*	[0..1]	±		785

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.

10.4.3.1 CorporateActionEventIdentification <CorpActnEvtId>

Presence: [1..1]

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

Datatype: Max35Text on page 1359

10.4.3.2 OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>

Presence: [0..1]

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

Datatype: Max35Text on page 1359

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 elements (see CorporateActionNarrative3Choice on page 1073 for details)

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

10.4.4 AdditionalInformation <AddtlInf>

Presence: [1..1]

Definition: Provides additional information.

Impacted by: C1 AdditionalInformationRule

AdditionalInformation <AddtlInf> contains the following elements (see UpdatedAdditionalInformation8 on page 1084 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	UpdateDescription *<UpdDesc>*	[0..1]	Text		1085
	UpdateDate *<UpdDt>*	[0..1]	Date		1085
	AdditionalInformation *<AddtlInf>*	[1..*]	Text		1085

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 1127 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	PlaceAndName *<PlcAndNm>*	[0..1]	Text		1127
	Envelope *<Envlp>*	[1..1]	(External Schema)		1127

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.039.001.12 CorporateActionCancellationAdviceV12

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 CorporateActionCancellationAdviceV12 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]			
	CancellationAdviceGeneralInformation *<CxlAdvcGnlInf>*	[1..1]			793
	CancellationReasonCode *<CxlRsnCd>*	[1..1]	CodeSet		793
	CancellationReason *<CxlRsn>*	[0..1]	Text		793
	ProcessingStatus *<PrcgSts>*	[1..1]			794
	EventCompletenessStatus *<EvtCmpltnsSts>*	[1..1]	CodeSet		794
	EventConfirmationStatus *<EvtConfSts>*	[1..1]	CodeSet		794
	CorporateActionGeneralInformation *<CorpActnGnlInf>*	[1..1]		C8	794
	CorporateActionEventIdentification *<CorpActnEvtId>*	[1..1]	Text		795
	OfficialCorporateActionEventIdentification *<OfclCorpActnEvtId>*	[0..1]	Text		795
	ClassActionNumber *<ClssActnNb>*	[0..1]	Text		795
	EventType *<EvtTp>*	[1..1]	±	C5	795
	MandatoryVoluntaryEventType *<MndtryVlntryEvtTp>*	[1..1]	±		796
	FinancialInstrumentIdentification *<FinInstrmId>*	[1..1]	±	C3, C4, C6, C7, C9	796
	AccountsDetails *<AcctsDtls>*	[1..1]			798
{Or	**ForAllAccounts** *<ForAllAccts>*	[1..1]	±		798
Or}	**AccountsList** *<AcctsList>*	[1..*]		C10, C11, C12, C13	799
	SafekeepingAccount *<SfkpgAcct>*	[0..1]	Text		800
	BlockChainAddressOrWallet *<BlckChainAdrOrWllt>*	[0..1]	Text		800
	AccountOwner *<AcctOwnr>*	[0..1]	±		800
	SafekeepingPlace *<SfkpgPlc>*	[0..1]	±		801
	CorporateActionDetails *<CorpActnDtls>*	[0..1]			801
	DateDetails *<DtDtls>*	[0..1]			802
	RecordDate *<RcrdDt>*	[0..1]	±		802
	ExDividendDate *<ExDvddDt>*	[0..1]	±		802
	EventStage *<EvtStag>*	[0..1]	±		802
	AdditionalBusinessProcessIndicator *<AddtlBizPrcInd>*	[0..*]	±		803

Or	MessageElement/BuildingBlock<*XML Tag*>	Mult.	Type	Constr. No.	Page
	LotteryType <*LtryTp*>	[0..1]	±		803
	AdditionalText <*AddtlTxt*>	[0..*]	Text		803
	IssuerAgent <*IssrAgt*>	[0..*]	±		803
	PayingAgent <*PngAgt*>	[0..*]	±		804
	SubPayingAgent <*SubPngAgt*>	[0..*]	±		804
	Registrar <*Regar*>	[0..1]	±		804
	ResellingAgent <*RsellngAgt*>	[0..*]	±		805
	PhysicalSecuritiesAgent <*PhysSctiesAgt*>	[0..1]	±		805
	DropAgent <*DrpAgt*>	[0..1]	±		805
	SolicitationAgent <*SlctnAgt*>	[0..*]	±		806
	InformationAgent <*InfAgt*>	[0..1]	±		806
	SupplementaryData <*SplmtryData*>	[0..*]	±	C14	806

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 an ISIN code exists, 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.

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 <CxlAdvcGnlInf>

Presence: [1..1]

Definition: General information about the event cancellation status and cancellation reason.

CancellationAdviceGeneralInformation <CxlAdvcGnlInf> contains the following **CorporateActionCancellation3** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	CancellationReasonCode *<CxlRsnCd>*	[1..1]	CodeSet		793
	CancellationReason *<CxlRsn>*	[0..1]	Text		793
	ProcessingStatus *<PrcgSts>*	[1..1]			794
	EventCompletenessStatus *<EvtCmpltnsSts>*	[1..1]	CodeSet		794
	EventConfirmationStatus *<EvtConfSts>*	[1..1]	CodeSet		794

11.4.1.1 CancellationReasonCode <CxlRsnCd>

Presence: [1..1]

Definition: Specifies reasons for cancellation of a corporate action event.

Datatype: CorporateActionCancellationReason1Code on page 1280

CodeName	Name	Definition
WITH	Withrawal	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 <CxlRsn>

Presence: [0..1]

Definition: Additional information about cancellation of a corporate action event.

Datatype: Max140Text on page 1357

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
	EventCompletenessStatus *<EvtCmpltnsSts>*	[1..1]	CodeSet		794
	EventConfirmationStatus *<EvtConfSts>*	[1..1]	CodeSet		794

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 1322

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 1322

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 <CorpActnGnlInf>

Presence: [1..1]

Definition: General information about the corporate action event.

Impacted by: C8 OfficialCorporateActionEventReference

CorporateActionGeneralInformation <CorpActnGnlInf> contains the following
CorporateActionGeneralInformation135 elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CorporateActionEventIdentification <CorpActnEvtId>	[1..1]	Text		795
	OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>	[0..1]	Text		795
	ClassActionNumber <ClssActnNb>	[0..1]	Text		795
	EventType <EvtTp>	[1..1]	±	C5	795
	MandatoryVoluntaryEventType <MndtryVlntryEvtTp>	[1..1]	±		796
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C3, C4, C6, C7, C9	796

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.

11.4.2.1 CorporateActionEventIdentification <CorpActnEvtId>

Presence: [1..1]

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

Datatype: Max35Text on page 1359

11.4.2.2 OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>

Presence: [0..1]

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

Datatype: Max35Text on page 1359

11.4.2.3 ClassActionNumber <ClssActnNb>

Presence: [0..1]

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

Datatype: Max35Text on page 1359

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 CorporateActionEventType84Choice 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]	±		1061

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 CorporateActionMandatoryVoluntary3Choice on page 1123 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1124
Or}	Proprietary *<Prtry>*	[1..1]	±		1124

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 SecurityIdentification19 on page 952 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN </ISIN>	[0..1]	IdentifierSet		954
	OtherIdentification <OthrId>	[0..*]			954
	Identification <Id>	[1..1]	Text		954
	Suffix <Sfx>	[0..1]	Text		954
	Type <Tp>	[1..1]	±		954
	Description <Desc>	[0..1]	Text		955

Constraints

- **DescriptionPresenceRule**

  (Rule)

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

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* X00192

  – *Error Text:* At least one identification must be present.

- **DescriptionUsageRule**

  (Rule)

  Description must be used alone as the last resort.

- **ISINGuideline**

  (Rule)

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

- **ISINPresenceRule**

  (Rule)

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

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00194

– *Error Text:* At least one identification must be present.

- **OtherIdentificationPresenceRule**

  (Rule)

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

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* X00193

  – *Error Text:* At least one identification must be present.

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 **AccountIdentification49Choice** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	**ForAllAccounts** *<ForAllAccts>*	[1..1]	±		798
Or}	**AccountsList** *<AcctsList>*	[1..*]		C10, C11, C12, C13	799
	SafekeepingAccount *<SfkpgAcct>*	[0..1]	Text		800
	BlockChainAddressOrWallet *<BlckChainAdrOrWllt>*	[0..1]	Text		800
	AccountOwner *<AcctOwnr>*	[0..1]	±		800
	SafekeepingPlace *<SfkpgPlc>*	[0..1]	±		801

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 <u>AccountIdentification10 on page 916</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	IdentificationCode *<IdCd>*	[1..1]	CodeSet		916

11.4.3.2 AccountsList <AcctsList>

Presence: [1..*]

Definition: Selected safekeeping accounts list to which the corporate action event applies.

Impacted by: <u>C10 SafekeepingAccountOrBlockChainAddress1Rule</u> , <u>C11 SafekeepingAccountOrBlockChainAddress2Rule</u> , <u>C12 SafekeepingAccountOrBlockChainAddress3Rule</u> , <u>C13 SafekeepingPlaceRule</u>

AccountsList <AcctsList> contains the following **AccountIdentification60** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	SafekeepingAccount *<SfkpgAcct>*	[0..1]	Text		800
	BlockChainAddressOrWallet *<BlckChainAdrOrWllt>*	[0..1]	Text		800
	AccountOwner *<AcctOwnr>*	[0..1]	±		800
	SafekeepingPlace *<SfkpgPlc>*	[0..1]	±		801

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: Max35Text on page 1359

11.4.3.2.2 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: Max140Text on page 1357

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 <u>PartyIdentification127Choice on page 1145</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	AnyBIC *<AnyBIC>*	[1..1]	IdentifierSet	C1	1145
Or}	ProprietaryIdentification *<PrtryId>*	[1..1]	±		1146

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 <u>SafekeepingPlaceFormat28Choice on page 1231</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Identification *<Id>*	[1..1]			1232
	SafekeepingPlaceType *<SfkpgPlcTp>*	[1..1]	CodeSet		1232
	Identification *<Id>*	[0..1]	Text		1232
Or	Country *<Ctry>*	[1..1]	CodeSet	C3	1232
Or	TypeAndIdentification *<TpAndId>*	[1..1]			1233
	SafekeepingPlaceType *<SfkpgPlcTp>*	[1..1]	CodeSet		1233
	Identification *<Id>*	[1..1]	IdentifierSet	C1	1233
Or}	Proprietary *<Prtry>*	[1..1]	±		1234

11.4.4   CorporateActionDetails <CorpActnDtls>

Presence: [0..1]

Definition: Information about the corporate action event.

CorporateActionDetails <CorpActnDtls> contains the following **CorporateAction72** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	DateDetails *<DtDtls>*	[0..1]			802
	RecordDate *<RcrdDt>*	[0..1]	±		802
	ExDividendDate *<ExDvddDt>*	[0..1]	±		802
	EventStage *<EvtStag>*	[0..1]	±		802
	AdditionalBusinessProcessIndicator *<AddtlBizPrcInd>*	[0..*]	±		803
	LotteryType *<LtryTp>*	[0..1]	±		803

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 **CorporateActionDate86** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	RecordDate *<RcrdDt>*	[0..1]	±		802
	ExDividendDate *<ExDvddDt>*	[0..1]	±		802

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 <u>DateFormat30Choice on page 929</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Date *<Dt>*	[1..1]	Date		929
Or}	DateCode *<DtCd>*	[1..1]			929
{Or	Code *<Cd>*	[1..1]	CodeSet		929
Or}	Proprietary *<Prtry>*	[1..1]	±		930

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 <u>DateFormat30Choice on page 929</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Date *<Dt>*	[1..1]	Date		929
Or}	DateCode *<DtCd>*	[1..1]			929
{Or	Code *<Cd>*	[1..1]	CodeSet		929
Or}	Proprietary *<Prtry>*	[1..1]	±		930

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 CorporateActionEventStageFormat14Choice on page 1079 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1080
Or}	Proprietary <Prtry>	[1..1]	±		1080

11.4.4.3 AdditionalBusinessProcessIndicator <AddtlBizPrcInd>

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 <AddtlBizPrcInd> contains one of the following elements (see AdditionalBusinessProcessFormat15Choice on page 1067 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1067
Or}	Proprietary <Prtry>	[1..1]	±		1068

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 LotteryTypeFormat4Choice on page 1108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1108
Or}	Proprietary <Prtry>	[1..1]	±		1108

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: Max8000Text on page 1361

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 PartyIdentification120Choice on page 1143 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <*AnyBIC*>	[1..1]	IdentifierSet	C1	1143
Or	ProprietaryIdentification <*PrtryId*>	[1..1]	±		1143
Or}	NameAndAddress <*NmAndAdr*>	[1..1]	±		1144

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 PartyIdentification120Choice on page 1143 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <*AnyBIC*>	[1..1]	IdentifierSet	C1	1143
Or	ProprietaryIdentification <*PrtryId*>	[1..1]	±		1143
Or}	NameAndAddress <*NmAndAdr*>	[1..1]	±		1144

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 PartyIdentification120Choice on page 1143 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <*AnyBIC*>	[1..1]	IdentifierSet	C1	1143
Or	ProprietaryIdentification <*PrtryId*>	[1..1]	±		1143
Or}	NameAndAddress <*NmAndAdr*>	[1..1]	±		1144

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 PartyIdentification120Choice on page 1143 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1143
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1143
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1144

11.4.10   ResellingAgent <RsellngAgt>

Presence: [0..*]

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

ResellingAgent <RsellngAgt> contains one of the following elements (see PartyIdentification120Choice on page 1143 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1143
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1143
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1144

11.4.11   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 PartyIdentification120Choice on page 1143 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1143
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1143
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1144

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 <u>PartyIdentification120Choice on page 1143</u> for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1143
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1143
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1144

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 <u>PartyIdentification120Choice on page 1143</u> for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1143
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1143
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1144

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 <u>PartyIdentification120Choice on page 1143</u> for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1143
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1143
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1144

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: <u>C14 SupplementaryDataRule</u>

SupplementaryData <SplmtryData> contains the following elements (see <u>SupplementaryData1 on page 1127</u> for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		1127
	Envelope <Envlp>	[1..1]	(External Schema)		1127

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.040.001.12 CorporateActionInstructionCancellationRequestV12

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 CorporateActionInstructionCancellationRequestV12 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	
	ChangeInstructionIndicator *<ChngInstrInd>*	[0..1]	Indicator		815
	InstructionIdentification *<InstrId>*	[1..1]	±		815
	CorporateActionGeneralInformation *<CorpActnGnlInf>*	[1..1]		C9, C13	815
	CorporateActionEventIdentification *<CorpActnEvtId>*	[1..1]	Text		816
	OfficialCorporateActionEventIdentification *<OffclCorpActnEvtId>*	[0..1]	Text		816
	EventType *<EvtTp>*	[1..1]	±	C10	817
	FinancialInstrumentIdentification *<FinInstrmId>*	[0..1]	±	C6, C7, C11, C12, C16	817
	AccountDetails *<AcctDtls>*	[1..1]		C17, C18, C19, C20	819
	SafekeepingAccount *<SfkpgAcct>*	[0..1]	Text		820
	BlockChainAddressOrWallet *<BlckChainAdrOrWllt>*	[0..1]	Text		820
	AccountOwner *<AcctOwnr>*	[0..1]	±		820
	SafekeepingPlace *<SfkpgPlc>*	[0..1]	±		821
	CorporateActionInstruction *<CorpActnInstr>*	[1..1]		C14, C15	821
	OptionNumber *<OptnNb>*	[1..1]	±		822
	OptionType *<OptnTp>*	[1..1]	±		822
	InstructedQuantity *<InstdQty>*	[1..1]	±		822
	ProtectInstruction *<PrtctInstr>*	[0..1]			823
	TransactionType *<TxTp>*	[1..1]	CodeSet		823
	TransactionIdentification *<TxId>*	[0..1]	Text		823
	ProtectDate *<PrtctDt>*	[0..1]	Date		823
	AdditionalInformation *<AddtlInf>*	[0..1]			823
	AdditionalText *<AddtlTxt>*	[0..*]	Text		824
	PartyContactNarrative *<PtyCtctNrrtv>*	[0..*]	Text		824
	SupplementaryData *<SplmtryData>*	[0..*]	±	C21	824

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 an ISIN code exists, 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.

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   ChangeInstructionIndicator <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 1355):

- *Meaning When True:* Yes

- *Meaning When False:* No

12.4.2   InstructionIdentification <InstrId>

Presence: [1..1]

Definition: Identification of a previously sent instruction document.

InstructionIdentification <InstrId> contains the following elements (see DocumentIdentification31 on page 941 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		941
	LinkageType <LkgTp>	[0..1]	±	C32	941

12.4.3   CorporateActionGeneralInformation <CorpActnGnlInf>

Presence: [1..1]

Definition: General information about the corporate action event.

Impacted by: C9 EventTypeRule, C13 OfficialCorporateActionEventReference

CorporateActionGeneralInformation <CorpActnGnlInf> contains the following
CorporateActionGeneralInformation155 elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CorporateActionEventIdentification <CorpActnEvtId>	[1..1]	Text		816
	OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>	[0..1]	Text		816
	EventType <EvtTp>	[1..1]	±	C10	817
	FinancialInstrumentIdentification <FinInstrmId>	[0..1]	±	C6, C7, C11, C12, C16	817

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.

12.4.3.1 CorporateActionEventIdentification <CorpActnEvtId>

Presence: [1..1]

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

Datatype: Max35Text on page 1359

12.4.3.2 OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>

Presence: [0..1]

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

Datatype: Max35Text on page 1359

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 CorporateActionEventType102Choice on page 986 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		987
Or}	Proprietary <Prtry>	[1..1]	±		993

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 SecurityIdentification19 on page 952 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		954
	OtherIdentification <OthrId>	[0..*]			954
	Identification <Id>	[1..1]	Text		954
	Suffix <Sfx>	[0..1]	Text		954
	Type <Tp>	[1..1]	±		954
	Description <Desc>	[0..1]	Text		955

Constraints

- **DescriptionPresenceRule**

  (Rule)

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

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* X00192

  – *Error Text:* At least one identification must be present.

- **DescriptionUsageRule**

  (Rule)

  Description must be used alone as the last resort.

- **ISINGuideline**

  (Rule)

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

- **ISINPresenceRule**

  (Rule)

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

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* X00194

  – *Error Text:* At least one identification must be present.

- **OtherIdentificationPresenceRule**

  (Rule)

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

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00193

– *Error Text:* At least one identification must be present.

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 **AccountIdentification60** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	SafekeepingAccount <*SfkpgAcct*>	[0..1]	Text		820
	BlockChainAddressOrWallet <*BlckChainAdrOrWllt*>	[0..1]	Text		820
	AccountOwner <*AcctOwnr*>	[0..1]	±		820
	SafekeepingPlace <*SfkpgPlc*>	[0..1]	±		821

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: Max35Text on page 1359

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 1357

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 PartyIdentification127Choice on page 1145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1145
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1146

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 SafekeepingPlaceFormat28Choice on page 1231 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]			1232
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		1232
	Identification <Id>	[0..1]	Text		1232
Or	Country <Ctry>	[1..1]	CodeSet	C3	1232
Or	TypeAndIdentification <TpAndId>	[1..1]			1233
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		1233
	Identification <Id>	[1..1]	IdentifierSet	C1	1233
Or}	Proprietary <Prtry>	[1..1]	±		1234

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 **CorporateActionOption200** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OptionNumber <OptnNb>	[1..1]	±		822
	OptionType <OptnTp>	[1..1]	±		822
	InstructedQuantity <InstdQty>	[1..1]	±		822

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 1127 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Number *<Nb>*	[1..1]	Text		1128
Or}	Code *<Cd>*	[1..1]	CodeSet		1128

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 CorporateActionOption40Choice on page 984 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		984
Or}	Proprietary *<Prtry>*	[1..1]	±		986

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 Quantity52Choice on page 1193 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1193
Or	OriginalAndCurrentFaceAmount *<OrgnlAndCurFaceAmt>*	[1..1]	±		1193
Or}	Quantity *<Qty>*	[1..1]	±	C6	1193

12.4.6 ProtectInstruction <PrtctInstr>

Presence: [0..1]

Definition: Provides detailed information on protect and cover protect instructions.

ProtectInstruction <PrtctInstr> contains the following **ProtectInstruction3** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	TransactionType <*TxTp*>	[1..1]	CodeSet		823
	TransactionIdentification <*TxId*>	[0..1]	Text		823
	ProtectDate <*PrtctDt*>	[0..1]	Date		823

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 1343

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: Max15Text on page 1358

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 1352

12.4.7 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Provides additional information.

AdditionalInformation <AddtlInf> contains the following **CorporateActionNarrative10** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	AdditionalText <*AddtlTxt*>	[0..*]	Text		824
	PartyContactNarrative <*PtyCtctNrrtv*>	[0..*]	Text		824

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: Max350Text on page 1359

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: Max350Text on page 1359

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 1127 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	PlaceAndName *<PlcAndNm>*	[0..1]	Text		1127
	Envelope *<Envlp>*	[1..1]	(External Schema)		1127

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.041.001.13 CorporateActionInstructionCancellationRequestStatusAdviceV13

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 CorporateActionInstructionCancellationRequestStatusAdviceV13 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> <CorpActnInstrCxlReqStsAdvc>	[1..1]		C3, C9	
	InstructionCancellationRequestIdentification *<InstrCxlReqId>*	[0..1]	±		834
	OtherDocumentIdentification *<OthrDocId>*	[0..*]	±		834
	CorporateActionGeneralInformation *<CorpActnGnlInf>*	[1..1]		C15, C20	835
	CorporateActionEventIdentification *<CorpActnEvtId>*	[1..1]	Text		835
	OfficialCorporateActionEventIdentification *<OffclCorpActnEvtId>*	[0..1]	Text		835
	ClassActionNumber *<ClssActnNb>*	[0..1]	Text		836
	EventType *<EvtTp>*	[1..1]	±	C16	836
	InstructionCancellationRequestStatus *<InstrCxlReqSts>*	[1..*]			836
{Or	**CancellationCompleted** *<CxlCmpltd>*	[1..1]	±		837
Or	**Accepted** *<Accptd>*	[1..1]	±		837
Or	**Rejected** *<Rjctd>*	[1..1]	±		837
Or	**PendingCancellation** *<PdgCxl>*	[1..1]	±		838
Or}	**ProprietaryStatus** *<PrtrySts>*	[1..1]	±		838
	CorporateActionInstruction *<CorpActnInstr>*	[0..1]		C21, C23, C24, C25, C26, C28, C29	838
	OptionNumber *<OptnNb>*	[1..1]	±		841
	OptionType *<OptnTp>*	[1..1]	±		841
	OptionFeatures *<OptnFeatrs>*	[0..1]	±		841
	AccountOwner *<AcctOwnr>*	[0..1]	±		842
	SafekeepingAccount *<SfkpgAcct>*	[0..1]	Text		842
	BlockChainAddressOrWallet *<BlckChainAdrOrWllt>*	[0..1]	Text		842
	CashAccount *<CshAcct>*	[0..1]	±		842
	SafekeepingPlace *<SfkpgPlc>*	[0..1]	±		842
	FinancialInstrumentIdentification *<FinInstrmId>*	[0..1]	±	C12, C13, C18, C19, C22	843

Or	MessageElement/BuildingBlock<*XML Tag*>	Mult.	Type	Constr. No.	Page
	TotalEligibleBalance <*TtlElgblBal*>	[0..1]	±		844
	InstructedBalance <*InstdBal*>	[0..1]	±		845
	UninstructedBalance <*UinstdBal*>	[0..1]	±		845
	ProtectBalance <*PrtctBal*>	[0..1]	±		846
	StatusQuantity <*StsQty*>	[0..1]	±		846
	StatusCashAmount <*StsCshAmt*>	[0..1]	Amount	C2, C11	847
	ProtectInstruction <*PrtctInstr*>	[0..1]			847
	TransactionType <*TxTp*>	[1..1]	CodeSet		848
	ProtectTransactionStatus <*PrtctTxSts*>	[0..1]	CodeSet		848
	TransactionIdentification <*TxId*>	[0..1]	Text		848
	ProtectDate <*PrtctDt*>	[0..1]	Date		848
	UncoveredProtectQuantity <*UcvrdPrtctQty*>	[0..1]	±		848
	AdditionalInformation <*AddtlInf*>	[0..1]			849
	AdditionalText <*AddtlTxt*>	[0..*]	Text		849
	PartyContactNarrative <*PtyCtctNrrtv*>	[0..*]	Text		849
	SupplementaryData <*SplmtryData*>	[0..*]	±	C30	849

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   AdditionalReasonInforrmationRule

(Rule)

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

C5   AdditionalReasonInforrmationRule

(Rule)

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

C6   AdditionalReasonInforrmationRule

(Rule)

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

C7   AdditionalReasonInforrmationRule

(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 an ISIN code exists, 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.

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 DocumentIdentification9 on page 966 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		966

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 DocumentIdentification33 on page 942 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]			943
{Or	AccountServicerDocumentIdentification *<AcctSvcrDocId>*	[1..1]	Text		943
Or}	AccountOwnerDocumentIdentification *<AcctOwnrDocId>*	[1..1]	Text		943
	DocumentNumber *<DocNb>*	[0..1]	±	C6	943

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 **CorporateActionGeneralInformation154** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	CorporateActionEventIdentification *<CorpActnEvtId>*	[1..1]	Text		835
	OfficialCorporateActionEventIdentification *<OffclCorpActnEvtId>*	[0..1]	Text		835
	ClassActionNumber *<ClssActnNb>*	[0..1]	Text		836
	EventType *<EvtTp>*	[1..1]	±	C16	836

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.

13.4.3.1 CorporateActionEventIdentification <CorpActnEvtId>

Presence: [1..1]

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

Datatype: Max35Text on page 1359

13.4.3.2 OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>

Presence: [0..1]

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

Datatype: Max35Text on page 1359

13.4.3.3 ClassActionNumber <ClssActnNb>

Presence: [0..1]

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

Datatype: Max35Text on page 1359

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 CorporateActionEventType102Choice on page 986 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		987
Or}	Proprietary *<Prtry>*	[1..1]	±		993

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
InstructionCancellationRequestStatus15Choice elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	**CancellationCompleted** <*CxlCmpltd*>	[1..1]	±		837
Or	**Accepted** <*Accptd*>	[1..1]	±		837
Or	**Rejected** <*Rjctd*>	[1..1]	±		837
Or	**PendingCancellation** <*PdgCxl*>	[1..1]	±		838
Or}	**ProprietaryStatus** <*PrtrySts*>	[1..1]	±		838

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
CancelledStatus11Choice on page 1261 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <*NoSpcfdRsn*>	[1..1]	CodeSet		1261
Or}	Reason <*Rsn*>	[1..*]		C4	1261
	ReasonCode <*RsnCd*>	[1..1]			1262
{Or	Code <*Cd*>	[1..1]	CodeSet		1262
Or}	Proprietary <*Prtry*>	[1..1]	±		1262
	AdditionalReasonInformation <*AddtlRsnInf*>	[0..1]	Text		1262

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 1243 for
details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	NoSpecifiedReason <*NoSpcfdRsn*>	[1..1]	CodeSet		1244

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 RejectedStatus53Choice on page 1244 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		1244
Or}	Reason <Rsn>	[1..*]		C5	1244
	ReasonCode <RsnCd>	[1..1]			1245
{Or	Code <Cd>	[1..1]	CodeSet		1245
Or}	Proprietary <Prtry>	[1..1]	±		1246
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		1246

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 PendingCancellationStatus7Choice on page 1258 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NotSpecifiedReason <NotSpcfdRsn>	[1..1]	CodeSet		1259
Or}	Reason <Rsn>	[1..*]		C1, C5	1259
	ReasonCode <RsnCd>	[1..1]			1260
{Or	Code <Cd>	[1..1]	CodeSet		1260
Or}	Proprietary <Prtry>	[1..1]	±		1260
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		1260

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 ProprietaryStatusAndReason6 on page 1266 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ProprietaryStatus <PrtrySts>	[1..1]	±		1267
	ProprietaryReason <PrtryRsn>	[0..*]	±	C2	1267

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 **CorporateActionOption197** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	OptionNumber *<OptnNb>*	[1..1]	±		841
	OptionType *<OptnTp>*	[1..1]	±		841
	OptionFeatures *<OptnFeatrs>*	[0..1]	±		841
	AccountOwner *<AcctOwnr>*	[0..1]	±		842
	SafekeepingAccount *<SfkpgAcct>*	[0..1]	Text		842
	BlockChainAddressOrWallet *<BlckChainAdrOrWllt>*	[0..1]	Text		842
	CashAccount *<CshAcct>*	[0..1]	±		842
	SafekeepingPlace *<SfkpgPlc>*	[0..1]	±		842
	FinancialInstrumentIdentification *<FinInstrmId>*	[0..1]	±	C12, C13, C18, C19, C22	843
	TotalEligibleBalance *<TtlElgblBal>*	[0..1]	±		844
	InstructedBalance *<InstdBal>*	[0..1]	±		845
	UninstructedBalance *<UinstdBal>*	[0..1]	±		845
	ProtectBalance *<PrtctBal>*	[0..1]	±		846
	StatusQuantity *<StsQty>*	[0..1]	±		846
	StatusCashAmount *<StsCshAmt>*	[0..1]	Amount	C2, C11	847

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 1127 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Number *<Nb>*	[1..1]	Text		1128
Or}	Code *<Cd>*	[1..1]	CodeSet		1128

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 CorporateActionOption41Choice on page 980 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		981
Or}	Proprietary *<Prtry>*	[1..1]	±		982

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 OptionFeaturesFormat25Choice 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

13.4.5.4 AccountOwner <AcctOwnr>

Presence: [0..1]

Definition: Party that owns the account.

AccountOwner <AcctOwnr> contains one of the following elements (see PartyIdentification127Choice on page 1145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1145
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1146

13.4.5.5 SafekeepingAccount <SfkpgAcct>

Presence: [0..1]

Definition: Account where financial instruments are maintained.

Datatype: Max35Text on page 1359

13.4.5.6 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: Max140Text on page 1357

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 CashAccountIdentification5Choice on page 916 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IBAN <IBAN>	[1..1]	IdentifierSet	C17	916
Or}	Proprietary <Prtry>	[1..1]	Text		917

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
SafekeepingPlaceFormat28Choice on page 1231 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]			1232
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		1232
	Identification <Id>	[0..1]	Text		1232
Or	Country <Ctry>	[1..1]	CodeSet	C3	1232
Or	TypeAndIdentification <TpAndId>	[1..1]			1233
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		1233
	Identification <Id>	[1..1]	IdentifierSet	C1	1233
Or}	Proprietary <Prtry>	[1..1]	±		1234

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
SecurityIdentification19 on page 952 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		954
	OtherIdentification <OthrId>	[0..*]			954
	Identification <Id>	[1..1]	Text		954
	Suffix <Sfx>	[0..1]	Text		954
	Type <Tp>	[1..1]	±		954
	Description <Desc>	[0..1]	Text		955

Constraints

• **DescriptionPresenceRule**

(Rule)

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

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00192

– *Error Text:* At least one identification must be present.

• **DescriptionUsageRule**

(Rule)

Description must be used alone as the last resort.

• **ISINGuideline**

(Rule)

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

• **ISINPresenceRule**

(Rule)

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

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00194

– *Error Text:* At least one identification must be present.

• **OtherIdentificationPresenceRule**

(Rule)

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

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00193

– *Error Text:* At least one identification must be present.

13.4.5.10 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 SignedQuantityFormat11 on page 1187 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1187
	QuantityChoice <QtyChc>	[1..1]			1188
{Or	Quantity <Qty>	[1..1]	±	C6	1188
Or}	ProprietaryQuantity <PrtryQty>	[1..1]			1189
	Quantity <Qty>	[1..1]	Quantity		1189
	QuantityType <QtyTp>	[1..1]	Text		1189
	Issuer <Issr>	[1..1]	Text		1189
	SchemeName <SchmeNm>	[0..1]	Text		1189

13.4.5.11 InstructedBalance <InstdBal>

Presence: [0..1]

Definition: Balance of instructed position.

InstructedBalance <InstdBal> contains the following elements (see SignedQuantityFormat11 on page 1187 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1187
	QuantityChoice <QtyChc>	[1..1]			1188
{Or	Quantity <Qty>	[1..1]	±	C6	1188
Or}	ProprietaryQuantity <PrtryQty>	[1..1]			1189
	Quantity <Qty>	[1..1]	Quantity		1189
	QuantityType <QtyTp>	[1..1]	Text		1189
	Issuer <Issr>	[1..1]	Text		1189
	SchemeName <SchmeNm>	[0..1]	Text		1189

13.4.5.12 UninstructedBalance <UinstdBal>

Presence: [0..1]

Definition: Balance of uninstructed position.

UninstructedBalance <UinstdBal> contains the following elements (see SignedQuantityFormat11 on page 1187 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1187
	QuantityChoice <QtyChc>	[1..1]			1188
{Or	Quantity <Qty>	[1..1]	±	C6	1188
Or}	ProprietaryQuantity <PrtryQty>	[1..1]			1189
	Quantity <Qty>	[1..1]	Quantity		1189
	QuantityType <QtyTp>	[1..1]	Text		1189
	Issuer <Issr>	[1..1]	Text		1189
	SchemeName <SchmeNm>	[0..1]	Text		1189

13.4.5.13 ProtectBalance <PrtctBal>

Presence: [0..1]

Definition: Balance of securities which are in protect status in a CSD operating a protect cover service.

ProtectBalance <PrtctBal> contains the following elements (see SignedQuantityFormat11 on page 1187 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1187
	QuantityChoice <QtyChc>	[1..1]			1188
{Or	Quantity <Qty>	[1..1]	±	C6	1188
Or}	ProprietaryQuantity <PrtryQty>	[1..1]			1189
	Quantity <Qty>	[1..1]	Quantity		1189
	QuantityType <QtyTp>	[1..1]	Text		1189
	Issuer <Issr>	[1..1]	Text		1189
	SchemeName <SchmeNm>	[0..1]	Text		1189

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 Quantity51Choice on page 1194 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Quantity *<Qty>*	[1..1]	±	C6	1194
Or}	OriginalAndCurrentFace *<OrgnlAndCurFace>*	[1..1]	±		1194

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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

  Note: 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 <PrtctInstr> contains the following **ProtectInstruction4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TransactionType <TxTp>	[1..1]	CodeSet		848
	ProtectTransactionStatus <PrtctTxSts>	[0..1]	CodeSet		848
	TransactionIdentification <TxId>	[0..1]	Text		848
	ProtectDate <PrtctDt>	[0..1]	Date		848
	UncoveredProtectQuantity <UcvrdPrtctQty>	[0..1]	±		848

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 1343

CodeName	Name	Definition
PROT	ProtectTransaction	Reorganisation is a protect transaction type.

13.4.6.2 ProtectTransactionStatus <PrtctTxSts>

Presence: [0..1]

Definition: Status of the protect transaction.

Datatype: ProtectInstructionStatus4Code on page 1342

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: Max15Text on page 1358

13.4.6.4 ProtectDate <PrtctDt>

Presence: [0..1]

Definition: Date at which the protect instruction was created and used for cover protect validation.

Datatype: ISODate on page 1352

13.4.6.5 UncoveredProtectQuantity <UcvrdPrtctQty>

Presence: [0..1]

Definition: Remaining quantity of protect instruction which has not been covered.

UncoveredProtectQuantity <UcvrdPrtctQty> contains one of the following elements (see FinancialInstrumentQuantity18Choice on page 1234 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1234
Or}	FaceAmount <FaceAmt>	[1..1]	Amount		1235

13.4.7 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Provides additional information.

AdditionalInformation <AddtlInf> contains the following **CorporateActionNarrative10** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AdditionalText <AddtlTxt>	[0..*]	Text		849
	PartyContactNarrative <PtyCtctNrrtv>	[0..*]	Text		849

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: Max350Text on page 1359

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: Max350Text on page 1359

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 1127 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		1127
	Envelope <Envlp>	[1..1]	(External Schema)		1127

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.042.001.11 CorporateActionInstructionStatementReportV11

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 CorporateActionInstructionStatementReportV11 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> <CorpActnInstrStmtRpt>	[1..1]		C7, C15	
	Pagination *<Pgntn>*	[1..1]	±		858
	StatementGeneralDetails *<StmtGnlDtls>*	[1..1]	±		859
	AccountAndStatementDetails *<AcctAndStmtDtls>*	[1..*]		C17, C18, C19, C20	859
	SafekeepingAccount *<SfkpgAcct>*	[0..1]	Text		863
	BlockChainAddressOrWallet *<BlckChainAdrOrWllt>*	[0..1]	Text		863
	AccountOwner *<AcctOwnr>*	[0..1]	±		864
	SafekeepingPlace *<SfkpgPlc>*	[0..1]	±		864
	CorporateActionEventAndBalance *<CorpActnEvtAndBal>*	[0..*]			864
	GeneralInformation *<GnlInf>*	[1..1]			867
	CorporateActionEventIdentification *<CorpActnEvtId>*	[1..1]	Text		867
	OfficialCorporateActionEventIdentification *<OffclCorpActnEvtId>*	[0..1]	Text		868
	EventType *<EvtTp>*	[1..1]	±	C12	868
	MandatoryVoluntaryEventType *<MndtryVlntryEvtTp>*	[1..1]	±		868
	LastNotificationIdentification *<LastNtfctnId>*	[0..1]	±		868
	UnderlyingSecurity *<UndrlygScty>*	[1..1]	±	C9, C10, C13, C14, C16	869
	Balance *<Bal>*	[0..1]			870
	TotalEligibleBalance *<TtlElgblBal>*	[1..1]	±		873
	UninstructedBalance *<UinstdBal>*	[1..1]	±		873
	TotalInstructedBalanceDetails *<TtlInstdBalDtls>*	[1..1]			874
	TotalInstructedBalance *<TtlInstdBal>*	[1..1]	±		876
	TotalAcceptedInstructionBalance *<TtlAccptdInstrBal>*	[0..1]	±		876
	TotalCancelledInstructionBalance *<TtlCancInstrBal>*	[0..1]	±		877
	TotalPendingInstructionBalance *<TtlPdgInstrBal>*	[0..1]	±		877
	TotalRejectedInstructionBalance *<TtlRjctdInstrBal>*	[0..1]	±		877
	TotalProtectInstructionBalance *<TtlPrtctInstrBal>*	[0..1]	±		877

Or	MessageElement/BuildingBlock<*XML Tag*>	Mult.	Type	Constr. No.	Page
	OptionDetails <*OptnDtls*>	[0..*]			878
	OptionNumber <*OptnNb*>	[0..1]	Text		880
	OptionType <*OptnTp*>	[1..1]	±		880
	InstructedBalance <*InstdBal*>	[1..1]	±		880
	DefaultAction <*DfltActn*>	[0..1]	±		880
	OptionAcceptedInstructedBalance <*OptnAccptdInstdBal*>	[0..1]	±		881
	OptionCancelledInstructionBalance <*OptnCancInstrBal*>	[0..1]	±		881
	OptionPendingInstructionBalance <*OptnPdgInstrBal*>	[0..1]	±		881
	OptionRejectedInstructionBalance <*OptnRjctdInstrBal*>	[0..1]	±		881
	OptionProtectInstructionBalance <*OptnPrtctInstrBal*>	[0..1]	±		882
	EventDeadlines <*EvtDdlns*>	[1..1]			882
	EarlyResponseDeadline <*EarlyRspnDdln*>	[0..1]	±		882
	ResponseDeadline <*RspnDdln*>	[0..1]	±		883
	MarketDeadline <*MktDdln*>	[0..1]	±		883
	ProtectDeadline <*PrtctDdln*>	[0..1]	±		884
	CoverProtectDeadline <*CoverPrtctDdln*>	[0..1]	±		884
	OptionInstructionDetails <*OptnInstrDtls*>	[0..*]			884
	InstructionIdentification <*InstrId*>	[1..1]	Text		885
	InstructionSequenceNumber <*InstrSeqNb*>	[0..1]	Text		885
	ProtectIndicator <*PrtctInd*>	[0..1]	CodeSet		885
	InstructionQuantity <*InstrQty*>	[1..1]	±	C11	886
	InstructionDate <*InstrDt*>	[1..1]	Date		886
	ProtectDate <*PrtctDt*>	[0..1]	Date		886
	CoverProtectDate <*CoverPrtctDt*>	[0..1]	Date		886
	BidPrice <*BidPric*>	[0..1]	±		887
	ConditionalQuantity <*CondlQty*>	[0..1]	±	C11	887
	CustomerReference <*CstmrRef*>	[0..1]	Text		887
	InstructionNarrative <*InstrNrrtv*>	[0..1]	Text		887
	InstructionStatus <*InstrSts*>	[1..1]			888
{Or	**Accepted** <*Accptd*>	[1..1]	±		888
Or	**Cancelled** <*Canc*>	[1..1]	±		888

Or	MessageElement/BuildingBlock<*XML Tag*>	Mult.	Type	Constr. No.	Page
Or	**AcceptedForFurtherProcessing** <*AccptdForFrthrPrcg*>	[1..1]	±		889
Or	**Rejected** <*Rjctd*>	[1..1]	±		889
Or	**Pending** <*Pdg*>	[1..1]	±		889
Or	**PendingCancellation** <*PdgCxl*>	[1..1]	±		890
Or	**Covered** <*Cvrd*>	[1..1]	±		890
Or}	**Uncovered** <*Ucvrd*>	[1..1]	±		890
	BlockedBalance <*BlckdBal*>	[0..1]	±		890
	BorrowedBalance <*BrrwdBal*>	[0..1]	±		891
	CollateralInBalance <*CollInBal*>	[0..1]	±		891
	CollateralOutBalance <*CollOutBal*>	[0..1]	±		891
	OnLoanBalance <*OnLnBal*>	[0..1]	±		891
	OutForRegistrationBalance <*OutForRegnBal*>	[0..1]	±		892
	SettlementPositionBalance <*SttlmPosBal*>	[0..1]	±		892
	StreetPositionBalance <*StrtPosBal*>	[0..1]	±		892
	TradeDatePositionBalance <*TradDtPosBal*>	[0..1]	±		893
	InTransshipmentBalance <*InTrnsShipmntBal*>	[0..1]	±		893
	RegisteredBalance <*RegdBal*>	[0..1]	±		893
	ObligatedBalance <*OblgtdBal*>	[0..1]	±		893
	PendingDeliveryBalance <*PdgDlvryBal*>	[0..*]			894
	Balance <*Bal*>	[1..1]	±		894
	PendingTransactions <*PdgTxs*>	[0..*]	±		894
	PendingReceiptBalance <*PdgRctBal*>	[0..*]			894
	Balance <*Bal*>	[1..1]	±		895
	PendingTransactions <*PdgTxs*>	[0..*]	±		895
	SupplementaryData <*SplmtryData*>	[0..*]	±	C21	895
	SupplementaryData <*SplmtryData*>	[0..*]	±	C21	896

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   AdditionalReasonInforrmationRule

(Rule)

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

C4   AdditionalReasonInforrmationRule

(Rule)

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

C5   AdditionalReasonInforrmationRule

(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 an ISIN code exists, 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 1068 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		1069
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		1069

14.4.2   StatementGeneralDetails <StmtGnlDtls>

Presence: [1..1]

Definition: General characteristics related to a statement which reports information.

StatementGeneralDetails <StmtGnlDtls> contains the following elements (see Statement72 on page 978 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	StatementType <StmtTp>	[1..1]	CodeSet		978
	ReportingType <RptgTp>	[1..1]	CodeSet		978
	StatementIdentification <StmtId>	[1..1]	Text		979
	InstructionAggregationPeriod <InstrAggtnPrd>	[0..1]	±		979
	ReportNumber <RptNb>	[0..1]	Text		979
	StatementDateTime <StmtDtTm>	[1..1]	±		979
	Frequency <Frqcy>	[1..1]	±		979
	UpdateType <UpdTp>	[1..1]	±		980
	ActivityIndicator <ActvtyInd>	[1..1]	Indicator		980
	NotificationDeadlinePeriod <NtfctnDdlnPrd>	[0..1]	±		980

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 <AcctAndStmtDtls> contains the following **AccountIdentification58** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		863
	BlockChainAddressOrWallet <BlckChainAdrOrWllt>	[0..1]	Text		863
	AccountOwner <AcctOwnr>	[0..1]	±		864
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		864
	CorporateActionEventAndBalance <CorpActnEvtAndBal>	[0..*]			864
	GeneralInformation <GnlInf>	[1..1]			867
	CorporateActionEventIdentification <CorpActnEvtId>	[1..1]	Text		867
	OfficialCorporateActionEventIdentification <OfclCorpActnEvtId>	[0..1]	Text		868
	EventType <EvtTp>	[1..1]	±	C12	868
	MandatoryVoluntaryEventType <MndtryVlntryEvtTp>	[1..1]	±		868
	LastNotificationIdentification <LastNtfctnId>	[0..1]	±		868
	UnderlyingSecurity <UndrlygScty>	[1..1]	±	C9, C10, C13, C14, C16	869
	Balance <Bal>	[0..1]			870
	TotalEligibleBalance <TtlElgblBal>	[1..1]	±		873
	UninstructedBalance <UinstdBal>	[1..1]	±		873
	TotalInstructedBalanceDetails <TtlInstdBalDtls>	[1..1]			874
	TotalInstructedBalance <TtlInstdBal>	[1..1]	±		876
	TotalAcceptedInstructionBalance <TtlAccptdInstrBal>	[0..1]	±		876
	TotalCancelledInstructionBalance <TtlCancInstrBal>	[0..1]	±		877
	TotalPendingInstructionBalance <TtlPdgInstrBal>	[0..1]	±		877
	TotalRejectedInstructionBalance <TtlRjctdInstrBal>	[0..1]	±		877
	TotalProtectInstructionBalance <TtlPrtctInstrBal>	[0..1]	±		877
	OptionDetails <OptnDtls>	[0..*]			878
	OptionNumber <OptnNb>	[0..1]	Text		880
	OptionType <OptnTp>	[1..1]	±		880
	InstructedBalance <InstdBal>	[1..1]	±		880

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	DefaultAction <*DfltActn*>	[0..1]	±		880
	OptionAcceptedInstructedBalance <*OptnAccptdInstdBal*>	[0..1]	±		881
	OptionCancelledInstructionBalance <*OptnCancInstrBal*>	[0..1]	±		881
	OptionPendingInstructionBalance <*OptnPdgInstrBal*>	[0..1]	±		881
	OptionRejectedInstructionBalance <*OptnRjctdInstrBal*>	[0..1]	±		881
	OptionProtectInstructionBalance <*OptnPrtctInstrBal*>	[0..1]	±		882
	EventDeadlines <*EvtDdlns*>	[1..1]			882
	EarlyResponseDeadline <*EarlyRspnDdln*>	[0..1]	±		882
	ResponseDeadline <*RspnDdln*>	[0..1]	±		883
	MarketDeadline <*MktDdln*>	[0..1]	±		883
	ProtectDeadline <*PrtctDdln*>	[0..1]	±		884
	CoverProtectDeadline <*CoverPrtctDdln*>	[0..1]	±		884
	OptionInstructionDetails <*OptnInstrDtls*>	[0..*]			884
	InstructionIdentification <*InstrId*>	[1..1]	Text		885
	InstructionSequenceNumber <*InstrSeqNb*>	[0..1]	Text		885
	ProtectIndicator <*PrtctInd*>	[0..1]	CodeSet		885
	InstructionQuantity <*InstrQty*>	[1..1]	±	C11	886
	InstructionDate <*InstrDt*>	[1..1]	Date		886
	ProtectDate <*PrtctDt*>	[0..1]	Date		886
	CoverProtectDate <*CoverPrtctDt*>	[0..1]	Date		886
	BidPrice <*BidPric*>	[0..1]	±		887
	ConditionalQuantity <*CondlQty*>	[0..1]	±	C11	887
	CustomerReference <*CstmrRef*>	[0..1]	Text		887
	InstructionNarrative <*InstrNrrtv*>	[0..1]	Text		887
	InstructionStatus <*InstrSts*>	[1..1]			888
{Or	**Accepted** <*Accptd*>	[1..1]	±		888
Or	**Cancelled** <*Canc*>	[1..1]	±		888
Or	**AcceptedForFurtherProcessing** <*AccptdForFrthrPrcg*>	[1..1]	±		889
Or	**Rejected** <*Rjctd*>	[1..1]	±		889

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
Or	**Pending** *<Pdg>*	[1..1]	±		889
Or	**PendingCancellation** *<PdgCxl>*	[1..1]	±		890
Or	**Covered** *<Cvrd>*	[1..1]	±		890
Or}	**Uncovered** *<Ucvrd>*	[1..1]	±		890
	BlockedBalance *<BlckdBal>*	[0..1]	±		890
	BorrowedBalance *<BrrwdBal>*	[0..1]	±		891
	CollateralInBalance *<CollInBal>*	[0..1]	±		891
	CollateralOutBalance *<CollOutBal>*	[0..1]	±		891
	OnLoanBalance *<OnLnBal>*	[0..1]	±		891
	OutForRegistrationBalance *<OutForRegnBal>*	[0..1]	±		892
	SettlementPositionBalance *<SttlmPosBal>*	[0..1]	±		892
	StreetPositionBalance *<StrtPosBal>*	[0..1]	±		892
	TradeDatePositionBalance *<TradDtPosBal>*	[0..1]	±		893
	InTransshipmentBalance *<InTrnsShipmntBal>*	[0..1]	±		893
	RegisteredBalance *<RegdBal>*	[0..1]	±		893
	ObligatedBalance *<OblgtdBal>*	[0..1]	±		893
	PendingDeliveryBalance *<PdgDlvryBal>*	[0..*]			894
	Balance *<Bal>*	[1..1]	±		894
	PendingTransactions *<PdgTxs>*	[0..*]	±		894
	PendingReceiptBalance *<PdgRctBal>*	[0..*]			894
	Balance *<Bal>*	[1..1]	±		895
	PendingTransactions *<PdgTxs>*	[0..*]	±		895
	SupplementaryData *<SplmtryData>*	[0..*]	±	C21	895

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: Max35Text on page 1359

14.4.3.2 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 1357

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 PartyIdentification127Choice on page 1145 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <*AnyBIC*>	[1..1]	IdentifierSet	C1	1145
Or}	ProprietaryIdentification <*PrtryId*>	[1..1]	±		1146

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 SafekeepingPlaceFormat28Choice on page 1231 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Identification <*Id*>	[1..1]			1232
	SafekeepingPlaceType <*SfkpgPlcTp*>	[1..1]	CodeSet		1232
	Identification <*Id*>	[0..1]	Text		1232
Or	Country <*Ctry*>	[1..1]	CodeSet	C3	1232
Or	TypeAndIdentification <*TpAndId*>	[1..1]			1233
	SafekeepingPlaceType <*SfkpgPlcTp*>	[1..1]	CodeSet		1233
	Identification <*Id*>	[1..1]	IdentifierSet	C1	1233
Or}	Proprietary <*Prtry*>	[1..1]	±		1234

14.4.3.5 CorporateActionEventAndBalance <CorpActnEvtAndBal>

Presence: [0..*]

Definition: Detailed account holdings information report for a corporate action event.

CorporateActionEventAndBalance <CorpActnEvtAndBal> contains the following
CorporateActionEventAndBalance22 elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	GeneralInformation <GnlInf>	[1..1]			867
	CorporateActionEventIdentification <CorpActnEvtId>	[1..1]	Text		867
	OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>	[0..1]	Text		868
	EventType <EvtTp>	[1..1]	±	C12	868
	MandatoryVoluntaryEventType <MndtryVlntryEvtTp>	[1..1]	±		868
	LastNotificationIdentification <LastNtfctnId>	[0..1]	±		868
	UnderlyingSecurity <UndrlygScty>	[1..1]	±	C9, C10, C13, C14, C16	869
	Balance <Bal>	[0..1]			870
	TotalEligibleBalance <TtlElgblBal>	[1..1]	±		873
	UninstructedBalance <UinstdBal>	[1..1]	±		873
	TotalInstructedBalanceDetails <TtlInstdBalDtls>	[1..1]			874
	TotalInstructedBalance <TtlInstdBal>	[1..1]	±		876
	TotalAcceptedInstructionBalance <TtlAccptdInstrBal>	[0..1]	±		876
	TotalCancelledInstructionBalance <TtlCancInstrBal>	[0..1]	±		877
	TotalPendingInstructionBalance <TtlPdgInstrBal>	[0..1]	±		877
	TotalRejectedInstructionBalance <TtlRjctdInstrBal>	[0..1]	±		877
	TotalProtectInstructionBalance <TtlPrtctInstrBal>	[0..1]	±		877
	OptionDetails <OptnDtls>	[0..*]			878
	OptionNumber <OptnNb>	[0..1]	Text		880
	OptionType <OptnTp>	[1..1]	±		880
	InstructedBalance <InstdBal>	[1..1]	±		880
	DefaultAction <DfltActn>	[0..1]	±		880
	OptionAcceptedInstructedBalance <OptnAccptdInstdBal>	[0..1]	±		881
	OptionCancelledInstructionBalance <OptnCancInstrBal>	[0..1]	±		881
	OptionPendingInstructionBalance <OptnPdgInstrBal>	[0..1]	±		881
	OptionRejectedInstructionBalance <OptnRjctdInstrBal>	[0..1]	±		881

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	OptionProtectInstructionBalance <*OptnPrtctInstrBal*>	[0..1]	±		882
	EventDeadlines <*EvtDdlns*>	[1..1]			882
	EarlyResponseDeadline <*EarlyRspnDdln*>	[0..1]	±		882
	ResponseDeadline <*RspnDdln*>	[0..1]	±		883
	MarketDeadline <*MktDdln*>	[0..1]	±		883
	ProtectDeadline <*PrtctDdln*>	[0..1]	±		884
	CoverProtectDeadline <*CoverPrtctDdln*>	[0..1]	±		884
	OptionInstructionDetails <*OptnInstrDtls*>	[0..*]			884
	InstructionIdentification <*InstrId*>	[1..1]	Text		885
	InstructionSequenceNumber <*InstrSeqNb*>	[0..1]	Text		885
	ProtectIndicator <*PrtctInd*>	[0..1]	CodeSet		885
	InstructionQuantity <*InstrQty*>	[1..1]	±	C11	886
	InstructionDate <*InstrDt*>	[1..1]	Date		886
	ProtectDate <*PrtctDt*>	[0..1]	Date		886
	CoverProtectDate <*CoverPrtctDt*>	[0..1]	Date		886
	BidPrice <*BidPric*>	[0..1]	±		887
	ConditionalQuantity <*CondlQty*>	[0..1]	±	C11	887
	CustomerReference <*CstmrRef*>	[0..1]	Text		887
	InstructionNarrative <*InstrNrrtv*>	[0..1]	Text		887
	InstructionStatus <*InstrSts*>	[1..1]			888
{Or	**Accepted** <*Accptd*>	[1..1]	±		888
Or	**Cancelled** <*Canc*>	[1..1]	±		888
Or	**AcceptedForFurtherProcessing** <*AccptdForFrthrPrcg*>	[1..1]	±		889
Or	**Rejected** <*Rjctd*>	[1..1]	±		889
Or	**Pending** <*Pdg*>	[1..1]	±		889
Or	**PendingCancellation** <*PdgCxl*>	[1..1]	±		890
Or	**Covered** <*Cvrd*>	[1..1]	±		890
Or}	**Uncovered** <*Ucvrd*>	[1..1]	±		890
	BlockedBalance <*BlckdBal*>	[0..1]	±		890
	BorrowedBalance <*BrrwdBal*>	[0..1]	±		891
	CollateralInBalance <*CollInBal*>	[0..1]	±		891

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CollateralOutBalance <CollOutBal>	[0..1]	±		891
	OnLoanBalance <OnLnBal>	[0..1]	±		891
	OutForRegistrationBalance <OutForRegnBal>	[0..1]	±		892
	SettlementPositionBalance <SttlmPosBal>	[0..1]	±		892
	StreetPositionBalance <StrtPosBal>	[0..1]	±		892
	TradeDatePositionBalance <TradDtPosBal>	[0..1]	±		893
	InTransshipmentBalance <InTrnsShipmntBal>	[0..1]	±		893
	RegisteredBalance <RegdBal>	[0..1]	±		893
	ObligatedBalance <OblgtdBal>	[0..1]	±		893
	PendingDeliveryBalance <PdgDlvryBal>	[0..*]			894
	Balance <Bal>	[1..1]	±		894
	PendingTransactions <PdgTxs>	[0..*]	±		894
	PendingReceiptBalance <PdgRctBal>	[0..*]			894
	Balance <Bal>	[1..1]	±		895
	PendingTransactions <PdgTxs>	[0..*]	±		895
	SupplementaryData <SplmtryData>	[0..*]	±	C21	895

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 **EventInformation15** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CorporateActionEventIdentification <CorpActnEvtId>	[1..1]	Text		867
	OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>	[0..1]	Text		868
	EventType <EvtTp>	[1..1]	±	C12	868
	MandatoryVoluntaryEventType <MndtryVlntryEvtTp>	[1..1]	±		868
	LastNotificationIdentification <LastNtfctnId>	[0..1]	±		868

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: Max35Text on page 1359

14.4.3.5.1.2 OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>

Presence: [0..1]

Definition: Provides the reference of the linked official corporate action event.

Datatype: Max35Text on page 1359

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 CorporateActionEventType102Choice on page 986 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		987
Or}	Proprietary *<Prtry>*	[1..1]	±		993

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 CorporateActionMandatoryVoluntary3Choice on page 1123 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1124
Or}	Proprietary *<Prtry>*	[1..1]	±		1124

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 elements (see
NotificationIdentification5 on page 1070 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		1070
	CreationDateTime *<CreDtTm>*	[0..1]	±		1070

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 SecurityIdentification19 on
page 952 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	ISIN *<ISIN>*	[0..1]	IdentifierSet		954
	OtherIdentification *<OthrId>*	[0..*]			954
	Identification *<Id>*	[1..1]	Text		954
	Suffix *<Sfx>*	[0..1]	Text		954
	Type *<Tp>*	[1..1]	±		954
	Description *<Desc>*	[0..1]	Text		955

Constraints

* **DescriptionPresenceRule**

  (Rule)

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

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* X00192

  – *Error Text:* At least one identification must be present.

* **DescriptionUsageRule**

  (Rule)

  Description must be used alone as the last resort.

- **ISINGuideline**

  (Rule)

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

- **ISINPresenceRule**

  (Rule)

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

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* X00194

  – *Error Text:* At least one identification must be present.

- **OtherIdentificationPresenceRule**

  (Rule)

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

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* X00193

  – *Error Text:* At least one identification must be present.

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 **CorporateActionBalance46** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	TotalEligibleBalance *<TtlElgblBal>*	[1..1]	±		873
	UninstructedBalance *<UinstdBal>*	[1..1]	±		873
	TotalInstructedBalanceDetails *<TtlInstdBalDtls>*	[1..1]			874
	TotalInstructedBalance *<TtlInstdBal>*	[1..1]	±		876
	TotalAcceptedInstructionBalance *<TtlAccptdInstrBal>*	[0..1]	±		876
	TotalCancelledInstructionBalance *<TtlCancInstrBal>*	[0..1]	±		877
	TotalPendingInstructionBalance *<TtlPdgInstrBal>*	[0..1]	±		877
	TotalRejectedInstructionBalance *<TtlRjctdInstrBal>*	[0..1]	±		877
	TotalProtectInstructionBalance *<TtlPrtctInstrBal>*	[0..1]	±		877
	OptionDetails *<OptnDtls>*	[0..*]			878
	OptionNumber *<OptnNb>*	[0..1]	Text		880
	OptionType *<OptnTp>*	[1..1]	±		880
	InstructedBalance *<InstdBal>*	[1..1]	±		880
	DefaultAction *<DfltActn>*	[0..1]	±		880
	OptionAcceptedInstructedBalance *<OptnAccptdInstdBal>*	[0..1]	±		881
	OptionCancelledInstructionBalance *<OptnCancInstrBal>*	[0..1]	±		881
	OptionPendingInstructionBalance *<OptnPdgInstrBal>*	[0..1]	±		881
	OptionRejectedInstructionBalance *<OptnRjctdInstrBal>*	[0..1]	±		881
	OptionProtectInstructionBalance *<OptnPrtctInstrBal>*	[0..1]	±		882
	EventDeadlines *<EvtDdlns>*	[1..1]			882
	EarlyResponseDeadline *<EarlyRspnDdln>*	[0..1]	±		882
	ResponseDeadline *<RspnDdln>*	[0..1]	±		883
	MarketDeadline *<MktDdln>*	[0..1]	±		883
	ProtectDeadline *<PrtctDdln>*	[0..1]	±		884
	CoverProtectDeadline *<CoverPrtctDdln>*	[0..1]	±		884
	OptionInstructionDetails *<OptnInstrDtls>*	[0..*]			884
	InstructionIdentification *<InstrId>*	[1..1]	Text		885
	InstructionSequenceNumber *<InstrSeqNb>*	[0..1]	Text		885
	ProtectIndicator *<PrtctInd>*	[0..1]	CodeSet		885

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	InstructionQuantity <*InstrQty*>	[1..1]	±	C11	886
	InstructionDate <*InstrDt*>	[1..1]	Date		886
	ProtectDate <*PrtctDt*>	[0..1]	Date		886
	CoverProtectDate <*CoverPrtctDt*>	[0..1]	Date		886
	BidPrice <*BidPric*>	[0..1]	±		887
	ConditionalQuantity <*CondlQty*>	[0..1]	±	C11	887
	CustomerReference <*CstmrRef*>	[0..1]	Text		887
	InstructionNarrative <*InstrNrrtv*>	[0..1]	Text		887
	InstructionStatus <*InstrSts*>	[1..1]			888
{Or	**Accepted** <*Accptd*>	[1..1]	±		888
Or	**Cancelled** <*Canc*>	[1..1]	±		888
Or	**AcceptedForFurtherProcessing** <*AccptdForFrthrPrcg*>	[1..1]	±		889
Or	**Rejected** <*Rjctd*>	[1..1]	±		889
Or	**Pending** <*Pdg*>	[1..1]	±		889
Or	**PendingCancellation** <*PdgCxl*>	[1..1]	±		890
Or	**Covered** <*Cvrd*>	[1..1]	±		890
Or}	**Uncovered** <*Ucvrd*>	[1..1]	±		890
	BlockedBalance <*BlckdBal*>	[0..1]	±		890
	BorrowedBalance <*BrrwdBal*>	[0..1]	±		891
	CollateralInBalance <*CollInBal*>	[0..1]	±		891
	CollateralOutBalance <*CollOutBal*>	[0..1]	±		891
	OnLoanBalance <*OnLnBal*>	[0..1]	±		891
	OutForRegistrationBalance <*OutForRegnBal*>	[0..1]	±		892
	SettlementPositionBalance <*SttlmPosBal*>	[0..1]	±		892
	StreetPositionBalance <*StrtPosBal*>	[0..1]	±		892
	TradeDatePositionBalance <*TradDtPosBal*>	[0..1]	±		893
	InTransshipmentBalance <*InTrnsShipmntBal*>	[0..1]	±		893
	RegisteredBalance <*RegdBal*>	[0..1]	±		893
	ObligatedBalance <*OblgtdBal*>	[0..1]	±		893
	PendingDeliveryBalance <*PdgDlvryBal*>	[0..*]			894
	Balance <*Bal*>	[1..1]	±		894

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PendingTransactions <*PdgTxs*>	[0..*]	±		894
	PendingReceiptBalance <*PdgRctBal*>	[0..*]			894
	Balance <*Bal*>	[1..1]	±		895
	PendingTransactions <*PdgTxs*>	[0..*]	±		895

14.4.3.5.3.1 TotalEligibleBalance <TtlElgblBal>

Presence: [1..1]

Definition: Total quantity of financial instruments of the balance.

TotalEligibleBalance <TtlElgblBal> contains one of the following elements (see <u>Quantity49Choice on page 1189</u> for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	QuantityChoice <*QtyChc*>	[1..1]			1190
{Or	OriginalAndCurrentFaceAmount <*OrgnlAndCurFaceAmt*>	[1..1]			1190
	ShortLongPosition <*ShrtLngPos*>	[1..1]	CodeSet		1191
	FaceAmount <*FaceAmt*>	[1..1]	Amount		1191
	AmortisedValue <*AmtsdVal*>	[1..1]	Amount		1191
Or}	SignedQuantity <*SgndQty*>	[1..1]	±		1191
Or}	ProprietaryQuantity <*PrtryQty*>	[1..1]			1191
	ShortLongPosition <*ShrtLngPos*>	[0..1]	CodeSet		1192
	Quantity <*Qty*>	[1..1]	Quantity		1192
	QuantityType <*QtyTp*>	[1..1]	Text		1192
	Issuer <*Issr*>	[1..1]	Text		1192
	SchemeName <*SchmeNm*>	[0..1]	Text		1192

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 <u>BalanceFormat11Choice on page 921</u> for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Balance <*Bal*>	[1..1]	±		921
Or	EligibleBalance <*ElgblBal*>	[1..1]	±		922
Or}	NotEligibleBalance <*NotElgblBal*>	[1..1]	±		922

14.4.3.5.3.3 TotalInstructedBalanceDetails <TtlInstdBalDtls>

Presence: [1..1]

Definition: Provides information about the total instructed balance.

TotalInstructedBalanceDetails <TtlInstdBalDtls> contains the following **InstructedBalance16** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	TotalInstructedBalance <TtlInstdBal>	[1..1]	±		876
	TotalAcceptedInstructionBalance <TtlAccptdInstrBal>	[0..1]	±		876
	TotalCancelledInstructionBalance <TtlCancInstrBal>	[0..1]	±		877
	TotalPendingInstructionBalance <TtlPdgInstrBal>	[0..1]	±		877
	TotalRejectedInstructionBalance <TtlRjctdInstrBal>	[0..1]	±		877
	TotalProtectInstructionBalance <TtlPrtctInstrBal>	[0..1]	±		877
	OptionDetails <OptnDtls>	[0..*]			878
	OptionNumber <OptnNb>	[0..1]	Text		880
	OptionType <OptnTp>	[1..1]	±		880
	InstructedBalance <InstdBal>	[1..1]	±		880
	DefaultAction <DfltActn>	[0..1]	±		880
	OptionAcceptedInstructedBalance <OptnAccptdInstdBal>	[0..1]	±		881
	OptionCancelledInstructionBalance <OptnCancInstrBal>	[0..1]	±		881
	OptionPendingInstructionBalance <OptnPdgInstrBal>	[0..1]	±		881
	OptionRejectedInstructionBalance <OptnRjctdInstrBal>	[0..1]	±		881
	OptionProtectInstructionBalance <OptnPrtctInstrBal>	[0..1]	±		882
	EventDeadlines <EvtDdlns>	[1..1]			882
	EarlyResponseDeadline <EarlyRspnDdln>	[0..1]	±		882
	ResponseDeadline <RspnDdln>	[0..1]	±		883
	MarketDeadline <MktDdln>	[0..1]	±		883
	ProtectDeadline <PrtctDdln>	[0..1]	±		884
	CoverProtectDeadline <CoverPrtctDdln>	[0..1]	±		884
	OptionInstructionDetails <OptnInstrDtls>	[0..*]			884
	InstructionIdentification <InstrId>	[1..1]	Text		885
	InstructionSequenceNumber <InstrSeqNb>	[0..1]	Text		885
	ProtectIndicator <PrtctInd>	[0..1]	CodeSet		885
	InstructionQuantity <InstrQty>	[1..1]	±	C11	886
	InstructionDate <InstrDt>	[1..1]	Date		886
	ProtectDate <PrtctDt>	[0..1]	Date		886

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	CoverProtectDate *<CoverPrtctDt>*	[0..1]	Date		886
	BidPrice *<BidPric>*	[0..1]	±		887
	ConditionalQuantity *<CondlQty>*	[0..1]	±	C11	887
	CustomerReference *<CstmrRef>*	[0..1]	Text		887
	InstructionNarrative *<InstrNrrtv>*	[0..1]	Text		887
	InstructionStatus *<InstrSts>*	[1..1]			888
{Or	**Accepted** *<Accptd>*	[1..1]	±		888
Or	**Cancelled** *<Canc>*	[1..1]	±		888
Or	**AcceptedForFurtherProcessing** *<AccptdForFrthrPrcg>*	[1..1]	±		889
Or	**Rejected** *<Rjctd>*	[1..1]	±		889
Or	**Pending** *<Pdg>*	[1..1]	±		889
Or	**PendingCancellation** *<PdgCxl>*	[1..1]	±		890
Or	**Covered** *<Cvrd>*	[1..1]	±		890
Or}	**Uncovered** *<Ucvrd>*	[1..1]	±		890

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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

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 <TtlAccptdInstrBal> contains the following elements (see SignedQuantityFormat10 on page 1186 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <*ShrtLngPos*>	[1..1]	CodeSet		1186
	Quantity <*Qty*>	[1..1]	±	C6	1187

14.4.3.5.3.3.3 TotalCancelledInstructionBalance <TtlCancInstrBal>

Presence: [0..1]

Definition: Daily total of cancelled instructions for a given day.

TotalCancelledInstructionBalance <TtlCancInstrBal> contains the following elements (see SignedQuantityFormat10 on page 1186 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <*ShrtLngPos*>	[1..1]	CodeSet		1186
	Quantity <*Qty*>	[1..1]	±	C6	1187

14.4.3.5.3.3.4 TotalPendingInstructionBalance <TtlPdgInstrBal>

Presence: [0..1]

Definition: Daily total of pending instructions in pending status. It includes cancel pending instructions.

TotalPendingInstructionBalance <TtlPdgInstrBal> contains the following elements (see SignedQuantityFormat10 on page 1186 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <*ShrtLngPos*>	[1..1]	CodeSet		1186
	Quantity <*Qty*>	[1..1]	±	C6	1187

14.4.3.5.3.3.5 TotalRejectedInstructionBalance <TtlRjctdInstrBal>

Presence: [0..1]

Definition: Daily total of rejected instructions.

TotalRejectedInstructionBalance <TtlRjctdInstrBal> contains the following elements (see SignedQuantityFormat10 on page 1186 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <*ShrtLngPos*>	[1..1]	CodeSet		1186
	Quantity <*Qty*>	[1..1]	±	C6	1187

14.4.3.5.3.3.6 TotalProtectInstructionBalance <TtlPrtctInstrBal>

Presence: [0..1]

Definition: Daily total of all protect instructions sent in a given day.

TotalProtectInstructionBalance <TtlPrtctInstrBal> contains the following elements (see SignedQuantityFormat10 on page 1186 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1186
	Quantity <Qty>	[1..1]	±	C6	1187

14.4.3.5.3.3.7 OptionDetails <OptnDtls>

Presence: [0..*]

Definition: Provide instructed balance breakdown information per option.

OptionDetails <OptnDtls> contains the following **InstructedCorporateActionOption17** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	OptionNumber <*OptnNb*>	[0..1]	Text		880
	OptionType <*OptnTp*>	[1..1]	±		880
	InstructedBalance <*InstdBal*>	[1..1]	±		880
	DefaultAction <*DfltActn*>	[0..1]	±		880
	OptionAcceptedInstructedBalance <*OptnAccptdInstdBal*>	[0..1]	±		881
	OptionCancelledInstructionBalance <*OptnCancInstrBal*>	[0..1]	±		881
	OptionPendingInstructionBalance <*OptnPdgInstrBal*>	[0..1]	±		881
	OptionRejectedInstructionBalance <*OptnRjctdInstrBal*>	[0..1]	±		881
	OptionProtectInstructionBalance <*OptnPrtctInstrBal*>	[0..1]	±		882
	EventDeadlines <*EvtDdlns*>	[1..1]			882
	EarlyResponseDeadline <*EarlyRspnDdln*>	[0..1]	±		882
	ResponseDeadline <*RspnDdln*>	[0..1]	±		883
	MarketDeadline <*MktDdln*>	[0..1]	±		883
	ProtectDeadline <*PrtctDdln*>	[0..1]	±		884
	CoverProtectDeadline <*CoverPrtctDdln*>	[0..1]	±		884
	OptionInstructionDetails <*OptnInstrDtls*>	[0..*]			884
	InstructionIdentification <*InstrId*>	[1..1]	Text		885
	InstructionSequenceNumber <*InstrSeqNb*>	[0..1]	Text		885
	ProtectIndicator <*PrtctInd*>	[0..1]	CodeSet		885
	InstructionQuantity <*InstrQty*>	[1..1]	±	C11	886
	InstructionDate <*InstrDt*>	[1..1]	Date		886
	ProtectDate <*PrtctDt*>	[0..1]	Date		886
	CoverProtectDate <*CoverPrtctDt*>	[0..1]	Date		886
	BidPrice <*BidPric*>	[0..1]	±		887
	ConditionalQuantity <*CondlQty*>	[0..1]	±	C11	887
	CustomerReference <*CstmrRef*>	[0..1]	Text		887
	InstructionNarrative <*InstrNrrtv*>	[0..1]	Text		887
	InstructionStatus <*InstrSts*>	[1..1]			888
{Or	**Accepted** <*Accptd*>	[1..1]	±		888

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
Or	**Cancelled** *<Canc>*	[1..1]	±		888
Or	**AcceptedForFurtherProcessing** *<AccptdForFrthrPrcg>*	[1..1]	±		889
Or	**Rejected** *<Rjctd>*	[1..1]	±		889
Or	**Pending** *<Pdg>*	[1..1]	±		889
Or	**PendingCancellation** *<PdgCxl>*	[1..1]	±		890
Or	**Covered** *<Cvrd>*	[1..1]	±		890
Or}	**Uncovered** *<Ucvrd>*	[1..1]	±		890

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 1356

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 CorporateActionOption30Choice on page 967 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		967
Or}	Proprietary *<Prtry>*	[1..1]	±		969

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 BalanceFormat11Choice on page 921 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Balance *<Bal>*	[1..1]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

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 971 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	DefaultOptionIndicator <DfltOptnInd>	[1..1]	Indicator		971
Or}	StandingInstructionIndicator <StgInstrInd>	[1..1]	Indicator		972

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
SignedQuantityFormat10 on page 1186 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1186
	Quantity <Qty>	[1..1]	±	C6	1187

14.4.3.5.3.3.7.6 OptionCancelledInstructionBalance <OptnCancInstrBal>

Presence: [0..1]

Definition: Daily total of cancelled instructions for a given option.

OptionCancelledInstructionBalance <OptnCancInstrBal> contains the following elements (see
SignedQuantityFormat10 on page 1186 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1186
	Quantity <Qty>	[1..1]	±	C6	1187

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
SignedQuantityFormat10 on page 1186 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1186
	Quantity <Qty>	[1..1]	±	C6	1187

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 SignedQuantityFormat10 on page 1186 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1186
	Quantity <Qty>	[1..1]	±	C6	1187

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 SignedQuantityFormat10 on page 1186 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1186
	Quantity <Qty>	[1..1]	±	C6	1187

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 **CorporateActionEventDeadlines3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	EarlyResponseDeadline <EarlyRspnDdln>	[0..1]	±		882
	ResponseDeadline <RspnDdln>	[0..1]	±		883
	MarketDeadline <MktDdln>	[0..1]	±		883
	ProtectDeadline <PrtctDdln>	[0..1]	±		884
	CoverProtectDeadline <CoverPrtctDdln>	[0..1]	±		884

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 DateFormat43Choice on page 936 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		936
Or}	DateCode <DtCd>	[1..1]			936
{Or	Code <Cd>	[1..1]	CodeSet		936
Or}	Proprietary <Prtry>	[1..1]	±		937

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 DateFormat44Choice on page 933 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		933
Or	DateCodeAndTime <DtCdAndTm>	[1..1]			934
	DateCode <DtCd>	[1..1]			934
{Or	Code <Cd>	[1..1]	CodeSet		934
Or}	Proprietary <Prtry>	[1..1]	±		934
	Time <Tm>	[1..1]	Time		935
Or}	DateCode <DtCd>	[1..1]			935
{Or	Code <Cd>	[1..1]	CodeSet		935
Or}	Proprietary <Prtry>	[1..1]	±		935

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 DateFormat43Choice on page 936 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		936
Or}	DateCode <DtCd>	[1..1]			936
{Or	Code <Cd>	[1..1]	CodeSet		936
Or}	Proprietary <Prtry>	[1..1]	±		937

14.4.3.5.3.3.7.10.4 ProtectDeadline <PrtctDdln>

Presence: [0..1]

Definition: Deadline for protect instructions.

ProtectDeadline <PrtctDdln> contains one of the following elements (see DateFormat43Choice on page 936 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		936
Or}	DateCode <DtCd>	[1..1]			936
{Or	Code <Cd>	[1..1]	CodeSet		936
Or}	Proprietary <Prtry>	[1..1]	±		937

14.4.3.5.3.3.7.10.5 CoverProtectDeadline <CoverPrtctDdln>

Presence: [0..1]

Definition: Deadline for covering a protect instruction.

CoverProtectDeadline <CoverPrtctDdln> contains one of the following elements (see DateFormat43Choice on page 936 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		936
Or}	DateCode <DtCd>	[1..1]			936
{Or	Code <Cd>	[1..1]	CodeSet		936
Or}	Proprietary <Prtry>	[1..1]	±		937

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 **OptionInstructionDetails7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InstructionIdentification <InstrId>	[1..1]	Text		885
	InstructionSequenceNumber <InstrSeqNb>	[0..1]	Text		885
	ProtectIndicator <PrtctInd>	[0..1]	CodeSet		885
	InstructionQuantity <InstrQty>	[1..1]	±	C11	886
	InstructionDate <InstrDt>	[1..1]	Date		886
	ProtectDate <PrtctDt>	[0..1]	Date		886
	CoverProtectDate <CoverPrtctDt>	[0..1]	Date		886
	BidPrice <BidPric>	[0..1]	±		887
	ConditionalQuantity <CondlQty>	[0..1]	±	C11	887
	CustomerReference <CstmrRef>	[0..1]	Text		887
	InstructionNarrative <InstrNrrtv>	[0..1]	Text		887
	InstructionStatus <InstrSts>	[1..1]			888
{Or	**Accepted** <Accptd>	[1..1]	±		888
Or	**Cancelled** <Canc>	[1..1]	±		888
Or	**AcceptedForFurtherProcessing** <AccptdForFrthrPrcg>	[1..1]	±		889
Or	**Rejected** <Rjctd>	[1..1]	±		889
Or	**Pending** <Pdg>	[1..1]	±		889
Or	**PendingCancellation** <PdgCxl>	[1..1]	±		890
Or	**Covered** <Cvrd>	[1..1]	±		890
Or}	**Uncovered** <Ucvrd>	[1..1]	±		890

14.4.3.5.3.3.7.11.1 InstructionIdentification <InstrId>

Presence: [1..1]

Definition: Identifies the instruction or protect instruction.

Datatype: Max15Text on page 1358

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 1360

14.4.3.5.3.3.7.11.3 ProtectIndicator <PrtctInd>

Presence: [0..1]

Definition: Indicates whether the instruction is a protect or a cover protect instruction.

Datatype: ProtectTransactionType2Code on page 1343

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
FinancialInstrumentQuantity33Choice on page 1185 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Unit *<Unit>*	[1..1]	Quantity		1186
Or	FaceAmount *<FaceAmt>*	[1..1]	Amount		1186
Or	AmortisedValue *<AmtsdVal>*	[1..1]	Amount		1186
Or}	DigitalTokenUnit *<DgtlTknUnit>*	[1..1]	Quantity		1186

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 1352

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 1352

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 1352

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 PriceFormat45Choice on page 1182 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice <*PctgPric*>	[1..1]			1182
	PercentagePriceType <*PctgPricTp*>	[1..1]	CodeSet		1183
	PriceValue <*PricVal*>	[1..1]	Rate		1183
Or	AmountPrice <*AmtPric*>	[1..1]	±		1183
Or}	NotSpecifiedPrice <*NotSpcfdPric*>	[1..1]	CodeSet		1183

14.4.3.5.3.3.7.11.9 ConditionalQuantity <CondlQty>

Presence: [0..1]

Definition: Conditional quantity of the instruction.

Impacted by: C11 DigitalTokenUnitUsageRule

ConditionalQuantity <CondlQty> contains one of the following elements (see FinancialInstrumentQuantity33Choice on page 1185 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Unit <*Unit*>	[1..1]	Quantity		1186
Or	FaceAmount <*FaceAmt*>	[1..1]	Amount		1186
Or	AmortisedValue <*AmtsdVal*>	[1..1]	Amount		1186
Or}	DigitalTokenUnit <*DgtlTknUnit*>	[1..1]	Quantity		1186

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: Max50Text on page 1360

14.4.3.5.3.3.7.11.11 InstructionNarrative <InstrNrrtv>

Presence: [0..1]

Definition: Narrative information from the submitted instruction.

Datatype: <u>Max350Text on page 1359</u>

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 **InstructionProcessingStatus47Choice** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	**Accepted** *<Accptd>*	[1..1]	±		888
Or	**Cancelled** *<Canc>*	[1..1]	±		888
Or	**AcceptedForFurtherProcessing** *<AccptdForFrthrPrcg>*	[1..1]	±		889
Or	**Rejected** *<Rjctd>*	[1..1]	±		889
Or	**Pending** *<Pdg>*	[1..1]	±		889
Or	**PendingCancellation** *<PdgCxl>*	[1..1]	±		890
Or	**Covered** *<Cvrd>*	[1..1]	±		890
Or}	**Uncovered** *<Ucvrd>*	[1..1]	±		890

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 <u>NoSpecifiedReason1 on page 1243</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	NoSpecifiedReason *<NoSpcfdRsn>*	[1..1]	CodeSet		1244

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 <u>CancelledStatus12Choice on page 1264</u> for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		1265
Or}	Reason <Rsn>	[1..*]		C3	1265
	ReasonCode <RsnCd>	[1..1]			1265
{Or	Code <Cd>	[1..1]	CodeSet		1266
Or}	Proprietary <Prtry>	[1..1]	±		1266
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		1266

14.4.3.5.3.3.7.11.12.3 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 the following elements (see <u>NoSpecifiedReason1 on page 1243</u> for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		1244

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 <u>RejectedStatus43Choice on page 1246</u> for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		1247
Or}	Reason <Rsn>	[1..*]		C4	1247
	ReasonCode <RsnCd>	[1..1]			1247
{Or	Code <Cd>	[1..1]	CodeSet		1248
Or}	Proprietary <Prtry>	[1..1]	±		1249
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		1250

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 1243 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	NoSpecifiedReason *<NoSpcfdRsn>*	[1..1]	CodeSet		1244

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 PendingCancellationStatus7Choice on page 1258 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	NotSpecifiedReason *<NotSpcfdRsn>*	[1..1]	CodeSet		1259
Or}	Reason *<Rsn>*	[1..*]		C1, C5	1259
	ReasonCode *<RsnCd>*	[1..1]			1260
{Or	Code *<Cd>*	[1..1]	CodeSet		1260
Or}	Proprietary *<Prtry>*	[1..1]	±		1260
	AdditionalReasonInformation *<AddtlRsnInf>*	[0..1]	Text		1260

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 1243 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	NoSpecifiedReason *<NoSpcfdRsn>*	[1..1]	CodeSet		1244

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 1243 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	NoSpecifiedReason *<NoSpcfdRsn>*	[1..1]	CodeSet		1244

14.4.3.5.3.4 BlockedBalance <BlckdBal>

Presence: [0..1]

Definition: Balance of financial instruments that are blocked.

BlockedBalance <BlckdBal> contains the following elements (see SignedQuantityFormat10 on page 1186 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1186
	Quantity <Qty>	[1..1]	±	C6	1187

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 SignedQuantityFormat10 on page 1186 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1186
	Quantity <Qty>	[1..1]	±	C6	1187

14.4.3.5.3.6 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 the following elements (see SignedQuantityFormat10 on page 1186 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1186
	Quantity <Qty>	[1..1]	±	C6	1187

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 SignedQuantityFormat10 on page 1186 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1186
	Quantity <Qty>	[1..1]	±	C6	1187

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 <u>SignedQuantityFormat10 on page 1186</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	ShortLongPosition *<ShrtLngPos>*	[1..1]	CodeSet		1186
	Quantity *<Qty>*	[1..1]	±	C6	1187

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 <u>SignedQuantityFormat10 on page 1186</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	ShortLongPosition *<ShrtLngPos>*	[1..1]	CodeSet		1186
	Quantity *<Qty>*	[1..1]	±	C6	1187

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 <u>SignedQuantityFormat10 on page 1186</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	ShortLongPosition *<ShrtLngPos>*	[1..1]	CodeSet		1186
	Quantity *<Qty>*	[1..1]	±	C6	1187

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 <u>SignedQuantityFormat10 on page 1186</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	ShortLongPosition *<ShrtLngPos>*	[1..1]	CodeSet		1186
	Quantity *<Qty>*	[1..1]	±	C6	1187

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 SignedQuantityFormat10 on page 1186 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <*ShrtLngPos*>	[1..1]	CodeSet		1186
	Quantity <*Qty*>	[1..1]	±	C6	1187

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 SignedQuantityFormat10 on page 1186 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <*ShrtLngPos*>	[1..1]	CodeSet		1186
	Quantity <*Qty*>	[1..1]	±	C6	1187

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 SignedQuantityFormat10 on page 1186 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <*ShrtLngPos*>	[1..1]	CodeSet		1186
	Quantity <*Qty*>	[1..1]	±	C6	1187

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 <u>SignedQuantityFormat10 on page 1186</u> for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1186
	Quantity <Qty>	[1..1]	±	C6	1187

14.4.3.5.3.16 PendingDeliveryBalance <PdgDlvryBal>

Presence: [0..*]

Definition: Balance of financial instruments that are pending delivery.

PendingDeliveryBalance <PdgDlvryBal> contains the following **PendingBalance7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Balance <Bal>	[1..1]	±		894
	PendingTransactions <PdgTxs>	[0..*]	±		894

14.4.3.5.3.16.1 Balance <Bal>

Presence: [1..1]

Definition: Signed quantity of balance.

Balance <Bal> contains the following elements (see <u>SignedQuantityFormat10 on page 1186</u> for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1186
	Quantity <Qty>	[1..1]	±	C6	1187

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 <u>SettlementTypeAndIdentification25 on page 960</u> for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Payment <Pmt>	[1..1]	CodeSet		960
	TransactionIdentification <TxId>	[1..1]	Text		961
	SettlementDate <SttlmDt>	[0..1]	±		961

14.4.3.5.3.17 PendingReceiptBalance <PdgRctBal>

Presence: [0..*]

Definition: Balance of financial instruments that are pending receipt.

PendingReceiptBalance <PdgRctBal> contains the following **PendingBalance7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Balance *<Bal>*	[1..1]	±		895
	PendingTransactions *<PdgTxs>*	[0..*]	±		895

14.4.3.5.3.17.1 Balance <Bal>

Presence: [1..1]

Definition: Signed quantity of balance.

Balance <Bal> contains the following elements (see SignedQuantityFormat10 on page 1186 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition *<ShrtLngPos>*	[1..1]	CodeSet		1186
	Quantity *<Qty>*	[1..1]	±	C6	1187

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 SettlementTypeAndIdentification25 on page 960 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Payment *<Pmt>*	[1..1]	CodeSet		960
	TransactionIdentification *<TxId>*	[1..1]	Text		961
	SettlementDate *<SttlmDt>*	[0..1]	±		961

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 1127 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName *<PlcAndNm>*	[0..1]	Text		1127
	Envelope *<Envlp>*	[1..1]	(External Schema)		1127

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 <u>SupplementaryData1 on page 1127</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	PlaceAndName *<PlcAndNm>*	[0..1]	Text		1127
	Envelope *<Envlp>*	[1..1]	(External Schema)		1127

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.044.001.12 CorporateActionMovementPreliminaryAdvice CancellationAdviceV12

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 CorporateActionMovementPreliminaryAdviceCancellationAdviceV12 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

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> <CorpActnMvmntPrlimryAdvcCxlAdvc>	[1..1]			
	MovementPreliminaryAdviceIdentification <*MvmntPrlimryAdvcId*>	[1..1]	±		903
	CorporateActionGeneralInformation <*CorpActnGnlInf*>	[1..1]		C8	903
	CorporateActionEventIdentification <*CorpActnEvtId*>	[1..1]	Text		904
	OfficialCorporateActionEventIdentification <*OfclCorpActnEvtId*>	[0..1]	Text		904
	ClassActionNumber <*ClssActnNb*>	[0..1]	Text		904
	EventType <*EvtTp*>	[1..1]	±	C5	904
	MandatoryVoluntaryEventType <*MndtryVlntryEvtTp*>	[1..1]	±		905
	FinancialInstrumentIdentification <*FinInstrmId*>	[1..1]	±	C3, C4, C6, C7, C9	905
	AccountDetails <*AcctDtls*>	[1..1]			907
{Or	**ForAllAccounts** <*ForAllAccts*>	[1..1]	±		907
Or}	**AccountsList** <*AcctsList*>	[1..*]		C10, C11, C12, C13	908
	SafekeepingAccount <*SfkpgAcct*>	[0..1]	Text		909
	BlockChainAddressOrWallet <*BlckChainAdrOrWllt*>	[0..1]	Text		909
	AccountOwner <*AcctOwnr*>	[0..1]	±		909
	SafekeepingPlace <*SfkpgPlc*>	[0..1]	±		910
	CorporateActionDetails <*CorpActnDtls*>	[0..1]			910
	DateDetails <*DtDtls*>	[0..1]			910
	RecordDate <*RcrdDt*>	[0..1]	±		911
	ExDividendDate <*ExDvddDt*>	[0..1]	±		911
	EventStage <*EvtStag*>	[0..1]	±		911
	LotteryType <*LtryTp*>	[0..1]	±		912
	IssuerAgent <*IssrAgt*>	[0..*]	±		912
	PayingAgent <*PngAgt*>	[0..*]	±		912
	SubPayingAgent <*SubPngAgt*>	[0..*]	±		913
	Registrar <*Regar*>	[0..1]	±		913

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	ResellingAgent <RsellngAgt>	[0..*]	±		913
	PhysicalSecuritiesAgent <PhysSctiesAgt>	[0..1]	±		914
	DropAgent <DrpAgt>	[0..1]	±		914
	SolicitationAgent <SlctnAgt>	[0..*]	±		914
	InformationAgent <InfAgt>	[0..1]	±		915
	SupplementaryData <SplmtryData>	[0..*]	±	C14	915

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 an ISIN code exists, 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.

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 <MvmntPrlimryAdvcId>

Presence: [1..1]

Definition: Identification of a previously sent movement preliminary advice document.

MovementPreliminaryAdviceIdentification <MvmntPrlimryAdvcId> contains the following elements (see DocumentIdentification31 on page 941 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		941
	LinkageType <*LkgTp*>	[0..1]	±	C32	941

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
CorporateActionGeneralInformation140 elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	CorporateActionEventIdentification *<CorpActnEvtId>*	[1..1]	Text		904
	OfficialCorporateActionEventIdentification *<OffclCorpActnEvtId>*	[0..1]	Text		904
	ClassActionNumber *<ClssActnNb>*	[0..1]	Text		904
	EventType *<EvtTp>*	[1..1]	±	C5	904
	MandatoryVoluntaryEventType *<MndtryVlntryEvtTp>*	[1..1]	±		905
	FinancialInstrumentIdentification *<FinInstrmId>*	[1..1]	±	C3, C4, C6, C7, C9	905

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.

15.4.2.1 CorporateActionEventIdentification <CorpActnEvtId>

Presence: [1..1]

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

Datatype: Max35Text on page 1359

15.4.2.2 OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>

Presence: [0..1]

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

Datatype: Max35Text on page 1359

15.4.2.3 ClassActionNumber <ClssActnNb>

Presence: [0..1]

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

Datatype: Max35Text on page 1359

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 <u>CorporateActionEventType86Choice on page 1048</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1048
Or}	Proprietary *<Prtry>*	[1..1]	±		1054

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 <u>CorporateActionMandatoryVoluntary3Choice on page 1123</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1124
Or}	Proprietary *<Prtry>*	[1..1]	±		1124

15.4.2.6 FinancialInstrumentIdentification <FinInstrmId>

Presence: [1..1]

Definition: Identification of the security concerned by the corporate action.

Impacted by: <u>C3 DescriptionPresenceRule</u>, <u>C4 DescriptionUsageRule</u>, <u>C6 ISINGuideline</u>, <u>C7 ISINPresenceRule</u>, <u>C9 OtherIdentificationPresenceRule</u>

FinancialInstrumentIdentification <FinInstrmId> contains the following elements (see SecurityIdentification19 on page 952 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		954
	OtherIdentification <OthrId>	[0..*]			954
	Identification <Id>	[1..1]	Text		954
	Suffix <Sfx>	[0..1]	Text		954
	Type <Tp>	[1..1]	±		954
	Description <Desc>	[0..1]	Text		955

Constraints

- **DescriptionPresenceRule**

  (Rule)

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

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* X00192

  – *Error Text:* At least one identification must be present.

- **DescriptionUsageRule**

  (Rule)

  Description must be used alone as the last resort.

- **ISINGuideline**

  (Rule)

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

- **ISINPresenceRule**

  (Rule)

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

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00194

– *Error Text:* At least one identification must be present.

- **OtherIdentificationPresenceRule**

(Rule)

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

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00193

– *Error Text:* At least one identification must be present.

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 **AccountIdentification49Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	**ForAllAccounts** <ForAllAccts>	[1..1]	±		907
Or}	**AccountsList** <AcctsList>	[1..*]		C10, C11, C12, C13	908
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		909
	BlockChainAddressOrWallet <BlckChainAdrOrWllt>	[0..1]	Text		909
	AccountOwner <AcctOwnr>	[0..1]	±		909
	SafekeepingPlace <SfkpgPlc>	[0..1]	±		910

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 <u>AccountIdentification10 on page 916</u> for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	IdentificationCode <*IdCd*>	[1..1]	CodeSet		916

15.4.3.2 AccountsList <AcctsList>

Presence: [1..*]

Definition: Selected safekeeping accounts list to which the corporate action event applies.

Impacted by: <u>C10 SafekeepingAccountOrBlockChainAddress1Rule</u>   ,   <u>C11 SafekeepingAccountOrBlockChainAddress2Rule</u>   ,   <u>C12 SafekeepingAccountOrBlockChainAddress3Rule</u>   , <u>C13 SafekeepingPlaceRule</u>

AccountsList <AcctsList> contains the following **AccountIdentification60** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	SafekeepingAccount <*SfkpgAcct*>	[0..1]	Text		909
	BlockChainAddressOrWallet <*BlckChainAdrOrWllt*>	[0..1]	Text		909
	AccountOwner <*AcctOwnr*>	[0..1]	±		909
	SafekeepingPlace <*SfkpgPlc*>	[0..1]	±		910

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: Max35Text on page 1359

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: Max140Text on page 1357

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 PartyIdentification127Choice on page 1145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1145
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		1146

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 SafekeepingPlaceFormat28Choice on page 1231 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Identification <Id>	[1..1]			1232
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		1232
	Identification <Id>	[0..1]	Text		1232
Or	Country <Ctry>	[1..1]	CodeSet	C3	1232
Or	TypeAndIdentification <TpAndId>	[1..1]			1233
	SafekeepingPlaceType <SfkpgPlcTp>	[1..1]	CodeSet		1233
	Identification <Id>	[1..1]	IdentifierSet	C1	1233
Or}	Proprietary <Prtry>	[1..1]	±		1234

15.4.4   CorporateActionDetails <CorpActnDtls>

Presence: [0..1]

Definition: Information about the corporate action event.

CorporateActionDetails <CorpActnDtls> contains the following **CorporateAction71** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DateDetails <DtDtls>	[0..1]			910
	RecordDate <RcrdDt>	[0..1]	±		911
	ExDividendDate <ExDvddDt>	[0..1]	±		911
	EventStage <EvtStag>	[0..1]	±		911
	LotteryType <LtryTp>	[0..1]	±		912

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 **CorporateActionDate86** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	RecordDate *<RcrdDt>*	[0..1]	±		911
	ExDividendDate *<ExDvddDt>*	[0..1]	±		911

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 DateFormat30Choice on page 929 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Date *<Dt>*	[1..1]	Date		929
Or}	DateCode *<DtCd>*	[1..1]			929
{Or	Code *<Cd>*	[1..1]	CodeSet		929
Or}	Proprietary *<Prtry>*	[1..1]	±		930

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 DateFormat30Choice on page 929 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Date *<Dt>*	[1..1]	Date		929
Or}	DateCode *<DtCd>*	[1..1]			929
{Or	Code *<Cd>*	[1..1]	CodeSet		929
Or}	Proprietary *<Prtry>*	[1..1]	±		930

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 CorporateActionEventStageFormat14Choice on page 1079 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1080
Or}	Proprietary <Prtry>	[1..1]	±		1080

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 LotteryTypeFormat4Choice on page 1108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1108
Or}	Proprietary <Prtry>	[1..1]	±		1108

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 PartyIdentification120Choice on page 1143 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1143
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1143
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1144

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 PartyIdentification120Choice on page 1143 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1143
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1143
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1144

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 PartyIdentification120Choice on page 1143 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1143
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1143
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1144

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 PartyIdentification120Choice on page 1143 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1143
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1143
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1144

15.4.9   ResellingAgent <RsellngAgt>

Presence: [0..*]

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

ResellingAgent <RsellngAgt> contains one of the following elements (see
PartyIdentification120Choice on page 1143 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1143
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1143
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1144

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
PartyIdentification120Choice on page 1143 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1143
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1143
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1144

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 PartyIdentification120Choice on
page 1143 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1143
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1143
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1144

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 PartyIdentification120Choice on page 1143 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1143
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1143
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1144

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 PartyIdentification120Choice on page 1143 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	1143
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		1143
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		1144

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 1127 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		1127
	Envelope <Envlp>	[1..1]	(External Schema)		1127

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		916

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 1349

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 CashAccountIdentification5Choice

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

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	IBAN *<IBAN>*	[1..1]	IdentifierSet	C17	916
Or}	Proprietary *<Prtry>*	[1..1]	Text		917

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: C17 IBAN

Datatype: IBAN2007Identifier on page 1353

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: Max34Text on page 1359

16.1.2 Amount

16.1.2.1 AmountPrice2

Definition: Price expressed as an actual amount.

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	AmountPriceType *<AmtPricTp>*	[1..1]	CodeSet		917
	PriceValue *<PricVal>*	[1..1]	Amount	C1	917

16.1.2.1.1 AmountPriceType <AmtPricTp>

Presence: [1..1]

Definition: Type of amount price.

Datatype: AmountPriceType2Code on page 1277

CodeName	Name	Definition
ACTU	ActualAmount	Price expressed as a currency and amount per unit or per share.

16.1.2.1.2 PriceValue <PricVal>

Presence: [1..1]

Definition: Value of the price.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

- **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

16.1.3   Balance

16.1.3.1 TotalEligibleBalanceFormat10

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]	±		918
	FullPeriodUnits *<FullPrdUnits>*	[0..1]	±		919
	PartWayPeriodUnits *<PartWayPrdUnits>*	[0..1]	±		919

16.1.3.1.1 Balance <Bal>

Presence: [0..1]

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

Balance <Bal> contains one of the following elements (see <u>Quantity49Choice on page 1189</u> for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	QuantityChoice <*QtyChc*>	[1..1]			1190
{Or	OriginalAndCurrentFaceAmount <*OrgnlAndCurFaceAmt*>	[1..1]			1190
	ShortLongPosition <*ShrtLngPos*>	[1..1]	CodeSet		1191
	FaceAmount <*FaceAmt*>	[1..1]	Amount		1191
	AmortisedValue <*AmtsdVal*>	[1..1]	Amount		1191
Or}	SignedQuantity <*SgndQty*>	[1..1]	±		1191
Or}	ProprietaryQuantity <*PrtryQty*>	[1..1]			1191
	ShortLongPosition <*ShrtLngPos*>	[0..1]	CodeSet		1192
	Quantity <*Qty*>	[1..1]	Quantity		1192
	QuantityType <*QtyTp*>	[1..1]	Text		1192
	Issuer <*Issr*>	[1..1]	Text		1192
	SchemeName <*SchmeNm*>	[0..1]	Text		1192

16.1.3.1.2 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 <u>SignedQuantityFormat10 on page 1186</u> for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <*ShrtLngPos*>	[1..1]	CodeSet		1186
	Quantity <*Qty*>	[1..1]	±	C6	1187

16.1.3.1.3 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 <u>SignedQuantityFormat10 on page 1186</u> for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <*ShrtLngPos*>	[1..1]	CodeSet		1186
	Quantity <*Qty*>	[1..1]	±	C6	1187

16.1.3.2 BalanceFormat12Choice

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]	±		920
Or	EligibleBalance <*ElgblBal*>	[1..1]	±		920
Or	NotEligibleBalance <*NotElgblBal*>	[1..1]	±		920
Or	FullPeriodUnits <*FullPrdUnits*>	[1..1]	±		921
Or}	PartWayPeriodUnits <*PartWayPrdUnits*>	[1..1]	±		921

16.1.3.2.1 Balance <Bal>

Presence: [1..1]

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

Balance <Bal> contains the following elements (see SignedQuantityFormat11 on page 1187 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <*ShrtLngPos*>	[1..1]	CodeSet		1187
	QuantityChoice <*QtyChc*>	[1..1]			1188
{Or	Quantity <*Qty*>	[1..1]	±	C6	1188
Or}	ProprietaryQuantity <*PrtryQty*>	[1..1]			1189
	Quantity <*Qty*>	[1..1]	Quantity		1189
	QuantityType <*QtyTp*>	[1..1]	Text		1189
	Issuer <*Issr*>	[1..1]	Text		1189
	SchemeName <*SchmeNm*>	[0..1]	Text		1189

16.1.3.2.2 EligibleBalance <ElgblBal>

Presence: [1..1]

Definition: Provide eligible balance information in different formats.

EligibleBalance <ElgblBal> contains the following elements (see SignedQuantityFormat10 on page 1186 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <*ShrtLngPos*>	[1..1]	CodeSet		1186
	Quantity <*Qty*>	[1..1]	±	C6	1187

16.1.3.2.3 NotEligibleBalance <NotElgblBal>

Presence: [1..1]

Definition: Provide not eligible balance information in different formats.

NotEligibleBalance <NotElgblBal> contains the following elements (see <u>SignedQuantityFormat10 on page 1186</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	ShortLongPosition *<ShrtLngPos>*	[1..1]	CodeSet		1186
	Quantity *<Qty>*	[1..1]	±	C6	1187

16.1.3.2.4 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 <u>SignedQuantityFormat10 on page 1186</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	ShortLongPosition *<ShrtLngPos>*	[1..1]	CodeSet		1186
	Quantity *<Qty>*	[1..1]	±	C6	1187

16.1.3.2.5 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 <u>SignedQuantityFormat10 on page 1186</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	ShortLongPosition *<ShrtLngPos>*	[1..1]	CodeSet		1186
	Quantity *<Qty>*	[1..1]	±	C6	1187

16.1.3.3 BalanceFormat11Choice

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]	±		921
Or	EligibleBalance *<ElgblBal>*	[1..1]	±		922
Or}	NotEligibleBalance *<NotElgblBal>*	[1..1]	±		922

16.1.3.3.1 Balance <Bal>

Presence: [1..1]

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

Balance <Bal> contains the following elements (see <u>SignedQuantityFormat11 on page 1187</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	ShortLongPosition *<ShrtLngPos>*	[1..1]	CodeSet		1187
	QuantityChoice *<QtyChc>*	[1..1]			1188
{Or	Quantity *<Qty>*	[1..1]	±	C6	1188
Or}	ProprietaryQuantity *<PrtryQty>*	[1..1]			1189
	Quantity *<Qty>*	[1..1]	Quantity		1189
	QuantityType *<QtyTp>*	[1..1]	Text		1189
	Issuer *<Issr>*	[1..1]	Text		1189
	SchemeName *<SchmeNm>*	[0..1]	Text		1189

16.1.3.3.2 EligibleBalance <ElgblBal>

Presence: [1..1]

Definition: Provide eligible balance information in different formats.

EligibleBalance <ElgblBal> contains the following elements (see <u>SignedQuantityFormat10 on page 1186</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	ShortLongPosition *<ShrtLngPos>*	[1..1]	CodeSet		1186
	Quantity *<Qty>*	[1..1]	±	C6	1187

16.1.3.3.3 NotEligibleBalance <NotElgblBal>

Presence: [1..1]

Definition: Provide not eligible balance information in different formats.

NotEligibleBalance <NotElgblBal> contains the following elements (see <u>SignedQuantityFormat10 on page 1186</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	ShortLongPosition *<ShrtLngPos>*	[1..1]	CodeSet		1186
	Quantity *<Qty>*	[1..1]	±	C6	1187

16.1.4   Date Period

16.1.4.1 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		923
	ToDate *<ToDt>*	[1..1]	Date		923

16.1.4.1.1 FromDate <FrDt>

Presence: [1..1]

Definition: Start date of the range.

Datatype: <u>ISODate on page 1352</u>

16.1.4.1.2 ToDate <ToDt>

Presence: [1..1]

Definition: End date of the range.

Datatype: <u>ISODate on page 1352</u>

16.1.4.2 CorporateActionPeriod15

Definition: Specifies periods of a corporate action.

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	PriceCalculationPeriod <*PricClctnPrd*>	[0..1]	±		924
	InterestPeriod <*IntrstPrd*>	[0..1]	±		925
	CompulsoryPurchasePeriod <*CmplsryPurchsPrd*>	[0..1]	±		925
	ClaimPeriod <*ClmPrd*>	[0..1]	±		925
	DepositorySuspensionPeriodForBookEntryTransfer <*DpstrySspnsnPrdForBookNtryTrf*>	[0..1]	±		925
	DepositorySuspensionPeriodForDepositAtAgent <*DpstrySspnsnPrdForDpstAtAgt*>	[0..1]	±		926
	DepositorySuspensionPeriodForDeposit <*DpstrySspnsnPrdForDpst*>	[0..1]	±		926
	DepositorySuspensionPeriodForPledge <*DpstrySspnsnPrdForPldg*>	[0..1]	±		926
	DepositorySuspensionPeriodForSegregation <*DpstrySspnsnPrdForSgrtn*>	[0..1]	±		927
	DepositorySuspensionPeriodForWithdrawalAtAgent <*DpstrySspnsnPrdForWdrwlAtAgt*>	[0..1]	±		927
	DepositorySuspensionPeriodForWithdrawalInNomineeName <*DpstrySspnsnPrdForWdrwlInNmneeNm*>	[0..1]	±		927
	DepositorySuspensionPeriodForWithdrawalInStreetName <*DpstrySspnsnPrdForWdrwlInStrtNm*>	[0..1]	±		927
	BookClosurePeriod <*BookClsrPrd*>	[0..1]	±		928
	CoDepositoriesSuspensionPeriod <*CoDpstriesSspnsnPrd*>	[0..1]	±		928
	SplitPeriod <*SpltPrd*>	[0..1]	±		928

Constraints

- **InterestPeriodRule**

    (Rule)

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

16.1.4.2.1 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 <u>Period6Choice on page 940</u> for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Period <*Prd*>	[1..1]	±		940
Or}	PeriodCode <*PrdCd*>	[1..1]	CodeSet		940

16.1.4.2.2 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 940 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Period <*Prd*>	[1..1]	±		940
Or}	PeriodCode <*PrdCd*>	[1..1]	CodeSet		940

16.1.4.2.3 CompulsoryPurchasePeriod <CmplsryPurchsPrd>

Presence: [0..1]

Definition: Period during a take-over where any outstanding equity must be purchased by the take-over company.

CompulsoryPurchasePeriod <CmplsryPurchsPrd> contains one of the following elements (see Period6Choice on page 940 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Period <*Prd*>	[1..1]	±		940
Or}	PeriodCode <*PrdCd*>	[1..1]	CodeSet		940

16.1.4.2.4 ClaimPeriod <ClmPrd>

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 <ClmPrd> contains one of the following elements (see Period6Choice on page 940 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Period <*Prd*>	[1..1]	±		940
Or}	PeriodCode <*PrdCd*>	[1..1]	CodeSet		940

16.1.4.2.5 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 940 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Period <*Prd*>	[1..1]	±		940
Or}	PeriodCode <*PrdCd*>	[1..1]	CodeSet		940

16.1.4.2.6 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 940 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Period <*Prd*>	[1..1]	±		940
Or}	PeriodCode <*PrdCd*>	[1..1]	CodeSet		940

16.1.4.2.7 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 940 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Period <*Prd*>	[1..1]	±		940
Or}	PeriodCode <*PrdCd*>	[1..1]	CodeSet		940

16.1.4.2.8 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 940 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Period <*Prd*>	[1..1]	±		940
Or}	PeriodCode <*PrdCd*>	[1..1]	CodeSet		940

16.1.4.2.9 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 940 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Period *<Prd>*	[1..1]	±		940
Or}	PeriodCode *<PrdCd>*	[1..1]	CodeSet		940

16.1.4.2.10 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 940 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Period *<Prd>*	[1..1]	±		940
Or}	PeriodCode *<PrdCd>*	[1..1]	CodeSet		940

16.1.4.2.11 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 940 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Period *<Prd>*	[1..1]	±		940
Or}	PeriodCode *<PrdCd>*	[1..1]	CodeSet		940

16.1.4.2.12 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 940 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Period <*Prd*>	[1..1]	±		940
Or}	PeriodCode <*PrdCd*>	[1..1]	CodeSet		940

16.1.4.2.13 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 940 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Period <*Prd*>	[1..1]	±		940
Or}	PeriodCode <*PrdCd*>	[1..1]	CodeSet		940

16.1.4.2.14 CoDepositoriesSuspensionPeriod <CoDpstriesSspnsnPrd>

Presence: [0..1]

Definition: Period during which the settlement activities at the co-depositories are suspended in order to stabilise the holdings at the CSD.

CoDepositoriesSuspensionPeriod <CoDpstriesSspnsnPrd> contains one of the following elements (see Period6Choice on page 940 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Period <*Prd*>	[1..1]	±		940
Or}	PeriodCode <*PrdCd*>	[1..1]	CodeSet		940

16.1.4.2.15 SplitPeriod <SpltPrd>

Presence: [0..1]

Definition: Period during which a physical certificate can be split.

SplitPeriod <SpltPrd> contains one of the following elements (see <u>Period6Choice on page 940</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Period *<Prd>*	[1..1]	±		940
Or}	PeriodCode *<PrdCd>*	[1..1]	CodeSet		940

16.1.5 Date Time

16.1.5.1 DateFormat30Choice

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		929
Or}	DateCode *<DtCd>*	[1..1]			929
{Or	Code *<Cd>*	[1..1]	CodeSet		929
Or}	Proprietary *<Prtry>*	[1..1]	±		930

16.1.5.1.1 Date <Dt>

Presence: [1..1]

Definition: Date expressed as a calendar date.

Datatype: <u>ISODate on page 1352</u>

16.1.5.1.2 DateCode <DtCd>

Presence: [1..1]

Definition: Specifies the type of date.

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

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		929
Or}	Proprietary *<Prtry>*	[1..1]	±		930

16.1.5.1.2.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the type of date.

Datatype: <u>DateType8Code on page 1319</u>

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

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".

16.1.5.1.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of date.

Proprietary <Prtry> contains the following elements (see <u>GenericIdentification30 on page 965</u> for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

16.1.5.2 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]	±		930
Or}	DateCode <*DtCd*>	[1..1]			930
{Or	Code <*Cd*>	[1..1]	CodeSet		931
Or}	Proprietary <*Prtry*>	[1..1]	±		931

16.1.5.2.1 Date <Dt>

Presence: [1..1]

Definition: Date expressed as a calendar date.

Date <Dt> contains one of the following elements (see <u>DateAndDateTime2Choice on page 933</u> for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Date <*Dt*>	[1..1]	Date		933
Or}	DateTime <*DtTm*>	[1..1]	DateTime		933

16.1.5.2.2 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		931
Or}	Proprietary *<Prtry>*	[1..1]	±		931

16.1.5.2.2.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the type of date.

Datatype: DateType9Code on page 1319

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.

16.1.5.2.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of date.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

16.1.5.3 DateFormat57Choice

Definition: Provides the date.

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Date *<Dt>*	[1..1]	Date		932
Or}	DateCode *<DtCd>*	[1..1]			932
{Or	Code *<Cd>*	[1..1]	CodeSet		932
Or}	Proprietary *<Prtry>*	[1..1]	±		932

16.1.5.3.1 Date <Dt>

Presence: [1..1]

Definition: Date expressed as a calendar date.

Datatype: ISODate on page 1352

16.1.5.3.2 DateCode <DtCd>

Presence: [1..1]

Definition: Date is expressed using a code.

DateCode <DtCd> contains one of the following **DateCode20Choice** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		932
Or}	Proprietary *<Prtry>*	[1..1]	±		932

16.1.5.3.2.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to indicate the date is unknown.

Datatype: DateType1Code on page 1319

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

16.1.5.3.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of date.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

16.1.5.4 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		933
Or}	DateTime *<DtTm>*	[1..1]	DateTime		933

16.1.5.4.1 Date <Dt>

Presence: [1..1]

Definition: Specified date.

Datatype: ISODate on page 1352

16.1.5.4.2 DateTime <DtTm>

Presence: [1..1]

Definition: Specified date and time.

Datatype: ISODateTime on page 1352

16.1.5.5 DateFormat44Choice

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]	±		933
Or	DateCodeAndTime *<DtCdAndTm>*	[1..1]			934
	DateCode *<DtCd>*	[1..1]			934
{Or	Code *<Cd>*	[1..1]	CodeSet		934
Or}	Proprietary *<Prtry>*	[1..1]	±		934
	Time *<Tm>*	[1..1]	Time		935
Or}	DateCode *<DtCd>*	[1..1]			935
{Or	Code *<Cd>*	[1..1]	CodeSet		935
Or}	Proprietary *<Prtry>*	[1..1]	±		935

16.1.5.5.1 Date <Dt>

Presence: [1..1]

Definition: Date expressed as a calendar date.

Date <Dt> contains one of the following elements (see <u>DateAndDateTime2Choice on page 933</u> for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Date <*Dt*>	[1..1]	Date		933
Or}	DateTime <*DtTm*>	[1..1]	DateTime		933

16.1.5.5.2 DateCodeAndTime <DtCdAndTm>

Presence: [1..1]

Definition: Specifies a date code and a time.

DateCodeAndTime <DtCdAndTm> contains the following **DateCodeAndTimeFormat3** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	DateCode <*DtCd*>	[1..1]			934
{Or	Code <*Cd*>	[1..1]	CodeSet		934
Or}	Proprietary <*Prtry*>	[1..1]	±		934
	Time <*Tm*>	[1..1]	Time		935

16.1.5.5.2.1 DateCode <DtCd>

Presence: [1..1]

Definition: Specifies the type of date.

DateCode <DtCd> contains one of the following **DateCode21Choice** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Code <*Cd*>	[1..1]	CodeSet		934
Or}	Proprietary <*Prtry*>	[1..1]	±		934

16.1.5.5.2.1.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the type of date.

Datatype: <u>DateType7Code on page 1319</u>

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".

16.1.5.5.2.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of date.

Proprietary <Prtry> contains the following elements (see <u>GenericIdentification30 on page 965</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

16.1.5.5.2.2 Time <Tm>

Presence: [1..1]

Definition: Specifies the time.

Datatype: <u>ISOTime on page 1361</u>

16.1.5.5.3 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		935
Or}	Proprietary *<Prtry>*	[1..1]	±		935

16.1.5.5.3.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the type of date.

Datatype: <u>DateType8Code on page 1319</u>

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".

16.1.5.5.3.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of date.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		965
	Issuer <Issr>	[1..1]	Text		965
	SchemeName <SchmeNm>	[0..1]	Text		965

16.1.5.6 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]	±		936
Or}	DateCode <DtCd>	[1..1]			936
{Or	Code <Cd>	[1..1]	CodeSet		936
Or}	Proprietary <Prtry>	[1..1]	±		937

16.1.5.6.1 Date <Dt>

Presence: [1..1]

Definition: Date expressed as a calendar date.

Date <Dt> contains one of the following elements (see DateAndDateTime2Choice on page 933 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		933
Or}	DateTime <DtTm>	[1..1]	DateTime		933

16.1.5.6.2 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		936
Or}	Proprietary <Prtry>	[1..1]	±		937

16.1.5.6.2.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the type of date.

Datatype: <u>DateType8Code on page 1319</u>

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".

16.1.5.6.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of date.

Proprietary <Prtry> contains the following elements (see <u>GenericIdentification30 on page 965</u> for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

16.1.6   Date Time Period

16.1.6.1 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		937
	ToDateTime <*ToDtTm*>	[1..1]	DateTime		937

16.1.6.1.1 FromDateTime <FrDtTm>

Presence: [1..1]

Definition: Date and time at which the period starts.

Datatype: <u>ISODateTime on page 1352</u>

16.1.6.1.2 ToDateTime <ToDtTm>

Presence: [1..1]

Definition: Date and time at which the period ends.

Datatype: <u>ISODateTime on page 1352</u>

16.1.6.2 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]	±		938
Or}	DateTime <DtTm>	[1..1]	±		938

16.1.6.2.1 Date <Dt>

Presence: [1..1]

Definition: Period expressed with dates.

Date <Dt> contains the following elements (see DatePeriod2 on page 922 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FromDate <FrDt>	[1..1]	Date		923
	ToDate <ToDt>	[1..1]	Date		923

16.1.6.2.2 DateTime <DtTm>

Presence: [1..1]

Definition: Period expressed a dates and times.

DateTime <DtTm> contains the following elements (see DateTimePeriod1 on page 937 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FromDateTime <FrDtTm>	[1..1]	DateTime		937
	ToDateTime <ToDtTm>	[1..1]	DateTime		937

16.1.6.3 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]			938
{Or	Date <Dt>	[1..1]	±		939
Or}	NotSpecifiedDate <NotSpcfdDt>	[1..1]	CodeSet		939
	EndDate <EndDt>	[1..1]			939
{Or	Date <Dt>	[1..1]	±		939
Or}	NotSpecifiedDate <NotSpcfdDt>	[1..1]	CodeSet		940

16.1.6.3.1 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]	±		939
Or}	NotSpecifiedDate *<NotSpcfdDt>*	[1..1]	CodeSet		939

16.1.6.3.1.1 Date <Dt>

Presence: [1..1]

Definition: Date expressed as an ISO Date.

Date <Dt> contains one of the following elements (see DateAndDateTime2Choice on page 933 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Date *<Dt>*	[1..1]	Date		933
Or}	DateTime *<DtTm>*	[1..1]	DateTime		933

16.1.6.3.1.2 NotSpecifiedDate <NotSpcfdDt>

Presence: [1..1]

Definition: Date not specified, for example, the date is unknown.

Datatype: DateType8Code on page 1319

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".

16.1.6.3.2 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]	±		939
Or}	NotSpecifiedDate *<NotSpcfdDt>*	[1..1]	CodeSet		940

16.1.6.3.2.1 Date <Dt>

Presence: [1..1]

Definition: Date expressed as an ISO Date.

Date <Dt> contains one of the following elements (see [DateAndDateTime2Choice on page 933](#) for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Date *<Dt>*	[1..1]	Date		933
Or}	DateTime *<DtTm>*	[1..1]	DateTime		933

16.1.6.3.2.2 NotSpecifiedDate <NotSpcfdDt>

Presence: [1..1]

Definition: Date not specified, for example, the date is unknown.

Datatype: [DateType8Code on page 1319](#)

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".

16.1.6.4 Period6Choice

Definition: Choice between a period or a period code.

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Period *<Prd>*	[1..1]	±		940
Or}	PeriodCode *<PrdCd>*	[1..1]	CodeSet		940

16.1.6.4.1 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 938](#) for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	StartDate *<StartDt>*	[1..1]			938
{Or	Date *<Dt>*	[1..1]	±		939
Or}	NotSpecifiedDate *<NotSpcfdDt>*	[1..1]	CodeSet		939
	EndDate *<EndDt>*	[1..1]			939
{Or	Date *<Dt>*	[1..1]	±		939
Or}	NotSpecifiedDate *<NotSpcfdDt>*	[1..1]	CodeSet		940

16.1.6.4.2 PeriodCode <PrdCd>

Presence: [1..1]

Definition: Standard code to specify the type of period.

Datatype: <u>DateType8Code on page 1319</u>

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".

16.1.7   Document

16.1.7.1 DocumentIdentification31

Definition: Identification of a document and type of link.

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		941
	LinkageType *<LkgTp>*	[0..1]	±	C32	941

16.1.7.1.1 Identification <Id>

Presence: [1..1]

Definition: Identifies the document.

Datatype: <u>Max35Text on page 1359</u>

16.1.7.1.2 LinkageType <LkgTp>

Presence: [0..1]

Definition: Specifies when this document is to be processed relative to another referred document.

Impacted by: <u>C32 WithLinkageRule</u>

LinkageType <LkgTp> contains one of the following elements (see <u>ProcessingPosition7Choice on page 1070</u> for details)

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

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.

16.1.7.2 DocumentNumber5Choice

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		942
Or	LongNumber *<LngNb>*	[1..1]	Text		942
Or}	ProprietaryNumber *<PrtryNb>*	[1..1]	±		942

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.

16.1.7.2.1 ShortNumber <ShrtNb>

Presence: [1..1]

Definition: Message type number of the document referenced.

Datatype: Exact3NumericText on page 1356

16.1.7.2.2 LongNumber <LngNb>

Presence: [1..1]

Definition: MX Message identifier of the referenced document.

Datatype: ISO20022MessageIdentificationText on page 1357

16.1.7.2.3 ProprietaryNumber <PrtryNb>

Presence: [1..1]

Definition: Proprietary document identification.

ProprietaryNumber <PrtryNb> contains the following elements (see GenericIdentification36 on page 965 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		966
	SchemeName *<SchmeNm>*	[0..1]	Text		966

16.1.7.3 DocumentIdentification33

Definition: Identification of a document as well as the document number.

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]			943
{Or	AccountServicerDocumentIdentification *<AcctSvcrDocId>*	[1..1]	Text		943
Or}	AccountOwnerDocumentIdentification *<AcctOwnrDocId>*	[1..1]	Text		943
	DocumentNumber *<DocNb>*	[0..1]	±	C6	943

16.1.7.3.1 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 **DocumentIdentification3Choice** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	AccountServicerDocumentIdentification *<AcctSvcrDocId>*	[1..1]	Text		943
Or}	AccountOwnerDocumentIdentification *<AcctOwnrDocId>*	[1..1]	Text		943

16.1.7.3.1.1 AccountServicerDocumentIdentification <AcctSvcrDocId>

Presence: [1..1]

Definition: Identification of the document assigned by the account servicer.

Datatype: Max35Text on page 1359

16.1.7.3.1.2 AccountOwnerDocumentIdentification <AcctOwnrDocId>

Presence: [1..1]

Definition: Identification of the document assigned by the account owner.

Datatype: Max35Text on page 1359

16.1.7.3.2 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 DocumentNumber5Choice on page 942 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	ShortNumber *<ShrtNb>*	[1..1]	Text		942
Or	LongNumber *<LngNb>*	[1..1]	Text		942
Or}	ProprietaryNumber *<PrtryNb>*	[1..1]	±		942

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.

16.1.7.4 DocumentIdentification32

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]			944
{Or	AccountServicerDocumentIdentification *<AcctSvcrDocId>*	[1..1]	Text		944
Or}	AccountOwnerDocumentIdentification *<AcctOwnrDocId>*	[1..1]	Text		944
	DocumentNumber *<DocNb>*	[0..1]	±	C6	944
	LinkageType *<LkgTp>*	[0..1]	±	C32	945

16.1.7.4.1 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 **DocumentIdentification3Choice** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	AccountServicerDocumentIdentification *<AcctSvcrDocId>*	[1..1]	Text		944
Or}	AccountOwnerDocumentIdentification *<AcctOwnrDocId>*	[1..1]	Text		944

16.1.7.4.1.1 AccountServicerDocumentIdentification <AcctSvcrDocId>

Presence: [1..1]

Definition: Identification of the document assigned by the account servicer.

Datatype: Max35Text on page 1359

16.1.7.4.1.2 AccountOwnerDocumentIdentification <AcctOwnrDocId>

Presence: [1..1]

Definition: Identification of the document assigned by the account owner.

Datatype: Max35Text on page 1359

16.1.7.4.2 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 DocumentNumber5Choice on page 942 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	ShortNumber *<ShrtNb>*	[1..1]	Text		942
Or	LongNumber *<LngNb>*	[1..1]	Text		942
Or}	ProprietaryNumber *<PrtryNb>*	[1..1]	±		942

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.

16.1.7.4.3 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 ProcessingPosition7Choice on page 1070 for details)

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

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.

16.1.8   Financial Institution Identification

16.1.8.1 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]	±		946
	MemberIdentification <MmbId>	[1..1]	Text		946

16.1.8.1.1 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 1267 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1268
Or}	Proprietary <Prtry>	[1..1]	Text		1268

16.1.8.1.2 MemberIdentification <MmbId>

Presence: [1..1]

Definition: Identification of a member of a clearing system.

Datatype: Max35Text on page 1359

16.1.8.2 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	946
	ClearingSystemMemberIdentification <ClrSysMmbId>	[0..1]	±		947
	LEI <LEI>	[0..1]	IdentifierSet		947
	Name <Nm>	[0..1]	Text		947
	PostalAddress <PstlAdr>	[0..1]	±		947
	Other <Othr>	[0..1]	±		948

16.1.8.2.1 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 1353

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.

16.1.8.2.2 ClearingSystemMemberIdentification <ClrSysMmbId>

Presence: [0..1]

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

ClearingSystemMemberIdentification <ClrSysMmbId> contains the following elements (see ClearingSystemMemberIdentification2 on page 945 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ClearingSystemIdentification <ClrSysId>	[0..1]	±		946
	MemberIdentification <MmbId>	[1..1]	Text		946

16.1.8.2.3 LEI <LEI>

Presence: [0..1]

Definition: Legal entity identifier of the financial institution.

Datatype: LEIIdentifier on page 1354

16.1.8.2.4 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 1357

16.1.8.2.5 PostalAddress <PstlAdr>

Presence: [0..1]

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

PostalAddress <PstlAdr> contains the following elements (see PostalAddress24 on page 1155 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	AddressType *<AdrTp>*	[0..1]			1156
{Or	Code *<Cd>*	[1..1]	CodeSet		1156
Or}	Proprietary *<Prtry>*	[1..1]	±		1157
	Department *<Dept>*	[0..1]	Text		1157
	SubDepartment *<SubDept>*	[0..1]	Text		1157
	StreetName *<StrtNm>*	[0..1]	Text		1157
	BuildingNumber *<BldgNb>*	[0..1]	Text		1157
	BuildingName *<BldgNm>*	[0..1]	Text		1158
	Floor *<Flr>*	[0..1]	Text		1158
	PostBox *<PstBx>*	[0..1]	Text		1158
	Room *<Room>*	[0..1]	Text		1158
	PostCode *<PstCd>*	[0..1]	Text		1158
	TownName *<TwnNm>*	[0..1]	Text		1158
	TownLocationName *<TwnLctnNm>*	[0..1]	Text		1158
	DistrictName *<DstrctNm>*	[0..1]	Text		1158
	CountrySubDivision *<CtrySubDvsn>*	[0..1]	Text		1159
	Country *<Ctry>*	[0..1]	CodeSet	C3	1159
	AddressLine *<AdrLine>*	[0..7]	Text		1159

16.1.8.2.6 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 951 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		951
	SchemeName *<SchmeNm>*	[0..1]			952
{Or	Code *<Cd>*	[1..1]	CodeSet		952
Or}	Proprietary *<Prtry>*	[1..1]	Text		952
	Issuer *<Issr>*	[0..1]	Text		952

16.1.8.3 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		949
	LEI *<LEI>*	[0..1]	IdentifierSet		949
	Name *<Nm>*	[0..1]	Text		949
	PostalAddress *<PstlAdr>*	[0..1]	±		949

16.1.8.3.1 Identification <Id>

Presence: [0..1]

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

Datatype: Max35Text on page 1359

16.1.8.3.2 LEI <LEI>

Presence: [0..1]

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

Datatype: LEIIdentifier on page 1354

16.1.8.3.3 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 1357

16.1.8.3.4 PostalAddress <PstlAdr>

Presence: [0..1]

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

PostalAddress <PstlAdr> contains the following elements (see <u>PostalAddress24 on page 1155</u> for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			1156
{Or	Code <Cd>	[1..1]	CodeSet		1156
Or}	Proprietary <Prtry>	[1..1]	±		1157
	Department <Dept>	[0..1]	Text		1157
	SubDepartment <SubDept>	[0..1]	Text		1157
	StreetName <StrtNm>	[0..1]	Text		1157
	BuildingNumber <BldgNb>	[0..1]	Text		1157
	BuildingName <BldgNm>	[0..1]	Text		1158
	Floor <Flr>	[0..1]	Text		1158
	PostBox <PstBx>	[0..1]	Text		1158
	Room <Room>	[0..1]	Text		1158
	PostCode <PstCd>	[0..1]	Text		1158
	TownName <TwnNm>	[0..1]	Text		1158
	TownLocationName <TwnLctnNm>	[0..1]	Text		1158
	DistrictName <DstrctNm>	[0..1]	Text		1158
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		1159
	Country <Ctry>	[0..1]	CodeSet	C3	1159
	AddressLine <AdrLine>	[0..7]	Text		1159

16.1.8.4 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]	±		950
	BranchIdentification <BrnchId>	[0..1]	±		951

16.1.8.4.1 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 946 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C2	946
	ClearingSystemMemberIdentification <ClrSysMmbId>	[0..1]	±		947
	LEI <LEI>	[0..1]	IdentifierSet		947
	Name <Nm>	[0..1]	Text		947
	PostalAddress <PstlAdr>	[0..1]	±		947
	Other <Othr>	[0..1]	±		948

16.1.8.4.2 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 949 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		949
	LEI <LEI>	[0..1]	IdentifierSet		949
	Name <Nm>	[0..1]	Text		949
	PostalAddress <PstlAdr>	[0..1]	±		949

16.1.8.5 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		951
	SchemeName <SchmeNm>	[0..1]			952
{Or	Code <Cd>	[1..1]	CodeSet		952
Or}	Proprietary <Prtry>	[1..1]	Text		952
	Issuer <Issr>	[0..1]	Text		952

16.1.8.5.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identification of a person.

Datatype: Max35Text on page 1359

16.1.8.5.2 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		952
Or}	Proprietary *<Prtry>*	[1..1]	Text		952

16.1.8.5.2.1 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 1323

16.1.8.5.2.2 Proprietary <Prtry>

Presence: [1..1]

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

Datatype: Max35Text on page 1359

16.1.8.5.3 Issuer <Issr>

Presence: [0..1]

Definition: Entity that assigns the identification.

Datatype: Max35Text on page 1359

16.1.9   Financial Instrument

16.1.9.1 SecurityIdentification19

Definition: Identification of a security.

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	ISIN *<ISIN>*	[0..1]	IdentifierSet		954
	OtherIdentification *<OthrId>*	[0..*]			954
	Identification *<Id>*	[1..1]	Text		954
	Suffix *<Sfx>*	[0..1]	Text		954
	Type *<Tp>*	[1..1]	±		954
	Description *<Desc>*	[0..1]	Text		955

Constraints

- **DescriptionPresenceRule**

  (Rule)

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

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* X00192

  – *Error Text:* At least one identification must be present.

- **DescriptionUsageRule**

  (Rule)

  Description must be used alone as the last resort.

- **ISINGuideline**

  (Rule)

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

- **ISINPresenceRule**

  (Rule)

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

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* X00194

  – *Error Text:* At least one identification must be present.

- **OtherIdentificationPresenceRule**

  (Rule)

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

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00193

– *Error Text:* At least one identification must be present.

16.1.9.1.1 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 1354

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 **OtherIdentification1** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		954
	Suffix <*Sfx*>	[0..1]	Text		954
	Type <*Tp*>	[1..1]	±		954

16.1.9.1.2.1 Identification <Id>

Presence: [1..1]

Definition: Identification of a security.

Datatype: Max35Text on page 1359

16.1.9.1.2.2 Suffix <Sfx>

Presence: [0..1]

Definition: Identifies the suffix of the security identification.

Datatype: Max16Text on page 1358

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 <u>IdentificationSource3Choice on page 960</u> for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Code <*Cd*>	[1..1]	CodeSet		960
Or}	Proprietary <*Prtry*>	[1..1]	Text		960

16.1.9.1.3 Description <Desc>

Presence: [0..1]

Definition: Textual description of a security instrument.

Datatype: <u>Max140Text on page 1357</u>

16.1.10   Financial Instrument Quantity

16.1.10.1 QuantityToQuantityRatio1

Definition: Ratio expressed as a quotient of quantities.

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Quantity1 <*Qty1*>	[1..1]	Quantity		955
	Quantity2 <*Qty2*>	[1..1]	Quantity		955

16.1.10.1.1 Quantity1 <Qty1>

Presence: [1..1]

Definition: Numerator of the quotient of quantities.

Datatype: <u>DecimalNumber on page 1355</u>

16.1.10.1.2 Quantity2 <Qty2>

Presence: [1..1]

Definition: Denominator of the quotient of quantities.

Datatype: <u>DecimalNumber on page 1355</u>

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	956
	QuotedCurrency <*QtdCcy*>	[1..1]	CodeSet	C1	956
	ExchangeRate <*XchgRate*>	[1..1]	Rate		956

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 1270

Constraints

- **ActiveCurrency**

  (Rule)

  The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet 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 1270

Constraints

- **ActiveCurrency**

  (Rule)

  The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet 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 1356

16.1.11.2 ForeignExchangeTerms24

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	957
	QuotedCurrency *<QtdCcy>*	[1..1]	CodeSet	C1	957
	ExchangeRate *<XchgRate>*	[1..1]	Rate		958
	ResultingAmount *<RsltgAmt>*	[0..1]	Amount	C1, C11	958

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 1270

Constraints

- **ActiveCurrency**

  (Rule)

  The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet 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 1270

Constraints

- **ActiveCurrency**

  (Rule)

  The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet 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 1356

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: ActiveCurrencyAndAmount on page 1269

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

- **CurrencyAmount**

  (Rule)

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

Note: 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 Frequency25Choice

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		959
Or}	Proprietary *<Prtry>*	[1..1]	±		959

16.1.12.1.1 Code <Cd>

Presence: [1..1]

Definition: Frequency expressed as an ISO 20022 code.

Datatype: <u>EventFrequency4Code on page 1322</u>

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.

16.1.12.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Frequency expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see <u>GenericIdentification30 on page 965</u> for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

16.1.13 Identification Information

16.1.13.1 IdentificationSource3Choice

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

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Code <*Cd*>	[1..1]	CodeSet		960
Or}	Proprietary <*Prtry*>	[1..1]	Text		960

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: <u>ExternalFinancialInstrumentIdentificationType1Code on page 1323</u>

16.1.13.1.2 Proprietary <Prtry>

Presence: [1..1]

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

Datatype: <u>Max35Text on page 1359</u>

16.1.13.2 SettlementTypeAndIdentification25

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		960
	TransactionIdentification <*TxId*>	[1..1]	Text		961
	SettlementDate <*SttlmDt*>	[0..1]	±		961

16.1.13.2.1 Payment <Pmt>

Presence: [1..1]

Definition: Specifies how the transaction is to be settled.

Datatype: <u>DeliveryReceiptType2Code on page 1320</u>

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: Max35Text on page 1359

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 933 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Date <*Dt*>	[1..1]	Date		933
Or}	DateTime <*DtTm*>	[1..1]	DateTime		933

16.1.13.3 GenericIdentification78

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

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Type <*Tp*>	[1..1]	±		961
	Identification <*Id*>	[0..1]	Text		962

16.1.13.3.1 Type <Tp>

Presence: [1..1]

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

Type <Tp> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

16.1.13.3.2 Identification <Id>

Presence: [0..1]

Definition: Name or number assigned by an entity to enable recognition of that entity, for example, account identifier.

Datatype: Max35Text on page 1359

16.1.13.4 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		962
Or}	Proprietary *<Prtry>*	[1..1]	±		962

16.1.13.4.1 Code <Cd>

Presence: [1..1]

Definition: Type of identification is defined using a code.

Datatype: TypeOfIdentification1Code on page 1351

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.

16.1.13.4.2 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 965 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

16.1.13.5 IdentificationFormat3Choice

Definition: Choice between either a short, long or a proprietary identification format.

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	ShortIdentification <*ShrtId*>	[1..1]	Text		963
Or	LongIdentification <*LngId*>	[1..1]	Text		963
Or}	ProprietaryIdentification <*PrtryId*>	[1..1]	±		963

16.1.13.5.1 ShortIdentification <ShrtId>

Presence: [1..1]

Definition: Format expressed as a short identification.

Datatype: Exact3UpperCaseAlphaNumericText on page 1357

16.1.13.5.2 LongIdentification <LngId>

Presence: [1..1]

Definition: Format expressed as a long identification.

Datatype: Max30Text on page 1359

16.1.13.5.3 ProprietaryIdentification <PrtryId>

Presence: [1..1]

Definition: Format expressed as a proprietary identification.

ProprietaryIdentification <PrtryId> contains the following elements (see GenericIdentification36 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		966
	SchemeName <*SchmeNm*>	[0..1]	Text		966

16.1.13.6 CorporateActionEventReference3

Definition: Identification of a linked corporate action event.

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	EventIdentification <*EvtId*>	[1..1]			964
{Or	LinkedOfficialCorporateActionEventIdentification <*LkdOfflCorpActnEvtId*>	[1..1]	Text		964
Or}	LinkedCorporateActionIdentification <*LkdCorpActnId*>	[1..1]	Text		964
	LinkageType <*LkgTp*>	[0..1]	±	C32	964

16.1.13.6.1 EventIdentification <EvtId>

Presence: [1..1]

Definition: Identification of the linked corporate action event.

EventIdentification <EvtId> contains one of the following **CorporateActionEventReference3Choice** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	LinkedOfficialCorporateActionEventIdentification *<LkdOffclCorpActnEvtId>*	[1..1]	Text		964
Or}	LinkedCorporateActionIdentification *<LkdCorpActnId>*	[1..1]	Text		964

16.1.13.6.1.1 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: Max35Text on page 1359

16.1.13.6.1.2 LinkedCorporateActionIdentification <LkdCorpActnId>

Presence: [1..1]

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

Datatype: Max35Text on page 1359

16.1.13.6.2 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 ProcessingPosition7Choice on page 1070 for details)

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

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.

16.1.13.7 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		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

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 1357

16.1.13.7.2 Issuer <Issr>

Presence: [1..1]

Definition: Entity that assigns the identification.

Datatype: Max35Text on page 1359

16.1.13.7.3 SchemeName <SchmeNm>

Presence: [0..1]

Definition: Short textual description of the scheme.

Datatype: Max35Text on page 1359

16.1.13.8 GenericIdentification36

Definition: Identification using a proprietary scheme.

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		966
	SchemeName <*SchmeNm*>	[0..1]	Text		966

16.1.13.8.1 Identification <Id>

Presence: [1..1]

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

Datatype: Max35Text on page 1359

16.1.13.8.2 Issuer <Issr>

Presence: [1..1]

Definition: Entity that assigns the identification.

Datatype: Max35Text on page 1359

16.1.13.8.3 SchemeName <SchmeNm>

Presence: [0..1]

Definition: Short textual description of the scheme.

Datatype: Max35Text on page 1359

16.1.13.9 DocumentIdentification9

Definition: Identifies a document by a unique identification.

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		966

16.1.13.9.1 Identification <Id>

Presence: [1..1]

Definition: Identifies the document.

Datatype: Max35Text on page 1359

16.1.13.10 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		966
	Issuer *<Issr>*	[1..1]	Text		966
	SchemeName *<SchmeNm>*	[0..1]	Text		967

16.1.13.10.1 Identification <Id>

Presence: [1..1]

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

Datatype: Exact4AlphaNumericText on page 1357

16.1.13.10.2 Issuer <Issr>

Presence: [1..1]

Definition: Entity that assigns the identification.

Datatype: Max4AlphaNumericText on page 1360

16.1.13.10.3 SchemeName <SchmeNm>

Presence: [0..1]

Definition: Short textual description of the scheme.

Datatype: Max4AlphaNumericText on page 1360

16.1.14   Market

16.1.14.1 MarketIdentification1Choice

Definition: Choice of market identification.

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	MarketIdentifierCode *<MktIdrCd>*	[1..1]	IdentifierSet		967
Or}	Description *<Desc>*	[1..1]	Text		967

16.1.14.1.1 MarketIdentifierCode <MktIdrCd>

Presence: [1..1]

Definition: ISO 10383 Market Identification Code.

Datatype: MICIdentifier on page 1354

16.1.14.1.2 Description <Desc>

Presence: [1..1]

Definition: Description of the market when no Market Identifier Code is available.

Datatype: Max35Text on page 1359

16.1.14.2 CorporateActionOption30Choice

Definition: Choice between a standard code or a proprietary code to specify the type of corporate action options.

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		967
Or}	Proprietary *<Prtry>*	[1..1]	±		969

16.1.14.2.1 Code <Cd>

Presence: [1..1]

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

Datatype: CorporateActionOption11Code on page 1309

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.

CodeName	Name	Definition
		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 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.

CodeName	Name	Definition
PRUN	UnknownProceeds	Proceeds not known during election period. The option can result in cash and/or securities.

16.1.14.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of corporate action options.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

16.1.14.3 MarketIdentification84

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]	±		969
	Type <*Tp*>	[1..1]	±		970

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.

16.1.14.3.1 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 <u>MarketIdentification1Choice on page 967</u> for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	MarketIdentifierCode <MktIdrCd>	[1..1]	IdentifierSet		967
Or}	Description <Desc>	[1..1]	Text		967

16.1.14.3.2 Type <Tp>

Presence: [1..1]

Definition: Nature of a market in which transactions take place.

Type <Tp> contains one of the following elements (see <u>MarketType8Choice on page 970</u> for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		970
Or}	Proprietary <Prtry>	[1..1]	±		970

16.1.14.4 MarketType8Choice

Definition: Choice of format for the market type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		970
Or}	Proprietary <Prtry>	[1..1]	±		970

16.1.14.4.1 Code <Cd>

Presence: [1..1]

Definition: Market type expressed as an ISO 20022 code.

Datatype: <u>MarketType2Code on page 1332</u>

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.

16.1.14.4.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Market type expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

16.1.14.5 MarketIdentification3Choice

Definition: Choice of market identification.

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	MarketIdentifierCode <*MktIdrCd*>	[1..1]	IdentifierSet		971
Or}	Description <*Desc*>	[1..1]	Text		971

16.1.14.5.1 MarketIdentifierCode <MktIdrCd>

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 1354

16.1.14.5.2 Description <Desc>

Presence: [1..1]

Definition: Description of the market when no Market Identifier Code is available.

Datatype: Max35Text on page 1359

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		971
Or}	StandingInstructionIndicator <*StgInstrInd*>	[1..1]	Indicator		972

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 1355):

- *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 1355):

- *Meaning When True:* Yes

- *Meaning When False:* No

16.1.15.2 AdditionalBusinessProcessFormat19Choice

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		972
Or}	Proprietary *<Prtry>*	[1..1]	±		973

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 1272

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).

CodeName	Name	Definition
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.
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 GenericIdentification30 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

16.1.15.3 AdditionalBusinessProcessFormat17Choice

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		974
Or}	Proprietary <*Prtry*>	[1..1]	±		975

16.1.15.3.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the additional business process linked to a corporate action event.

Datatype: AdditionalBusinessProcess9Code on page 1275

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.

CodeName	Name	Definition
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.

16.1.15.3.2 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 GenericIdentification30 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

16.1.15.4 OfferTypeFormat12Choice

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		975
Or}	Proprietary <*Prtry*>	[1..1]	±		976

16.1.15.4.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the conditions that apply to the offer.

Datatype: OfferType4Code on page 1335

CodeName	Name	Definition
SQUE	SqueezeOutBid	Offer launched by a company, in possession of a large number of the shares (90% - 95%) of a company

CodeName	Name	Definition
		(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.

16.1.15.4.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the conditions that apply to the offer.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

16.1.15.5 AdditionalBusinessProcessFormat18Choice

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		976
Or}	Proprietary <*Prtry*>	[1..1]	±		977

16.1.15.5.1 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 1271

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.

16.1.15.5.2 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 <u>GenericIdentification30 on page 965</u> for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

16.1.15.6 Statement72

Definition: General characteristics related to a statement which reports information.

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	StatementType <*StmtTp*>	[1..1]	CodeSet		978
	ReportingType <*RptgTp*>	[1..1]	CodeSet		978
	StatementIdentification <*StmtId*>	[1..1]	Text		979
	InstructionAggregationPeriod <*InstrAggtnPrd*>	[0..1]	±		979
	ReportNumber <*RptNb*>	[0..1]	Text		979
	StatementDateTime <*StmtDtTm*>	[1..1]	±		979
	Frequency <*Frqcy*>	[1..1]	±		979
	UpdateType <*UpdTp*>	[1..1]	±		980
	ActivityIndicator <*ActvtyInd*>	[1..1]	Indicator		980
	NotificationDeadlinePeriod <*NtfctnDdlnPrd*>	[0..1]	±		980

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: <u>CorporateActionStatementType2Code on page 1317</u>

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 1317

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 <StmtId>

Presence: [1..1]

Definition: Reference of the statement.

Datatype: Max35Text on page 1359

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 922 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	FromDate *<FrDt>*	[1..1]	Date		923
	ToDate *<ToDt>*	[1..1]	Date		923

16.1.15.6.5 ReportNumber <RptNb>

Presence: [0..1]

Definition: Sequential number of the statement.

Datatype: Max5NumericText on page 1360

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 933 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Date *<Dt>*	[1..1]	Date		933
Or}	DateTime *<DtTm>*	[1..1]	DateTime		933

16.1.15.6.7 Frequency <Frqcy>

Presence: [1..1]

Definition: Frequency of the statement.

Frequency <Frqcy> contains one of the following elements (see Frequency25Choice on page 959 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		959
Or}	Proprietary *<Prtry>*	[1..1]	±		959

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 UpdateType15Choice on page 1072 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1072
Or}	Proprietary *<Prtry>*	[1..1]	±		1072

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 1355):

- *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 937 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Date *<Dt>*	[1..1]	±		938
Or}	DateTime *<DtTm>*	[1..1]	±		938

16.1.15.7 CorporateActionOption41Choice

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		981
Or}	Proprietary <Prtry>	[1..1]	±		982

16.1.15.7.1 Code <Cd>

Presence: [1..1]

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

Datatype: CorporateActionOption17Code on page 1315

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.
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.

16.1.15.7.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of corporate action option.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		965
	Issuer <Issr>	[1..1]	Text		965
	SchemeName <SchmeNm>	[0..1]	Text		965

16.1.15.8 UpdatedAdditionalInformation11

Definition: Additional information with update description and date.

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Language *<Lang>*	[1..1]	CodeSet		983
	UpdateDescription *<UpdDesc>*	[0..1]	Text		983
	UpdateDate *<UpdDt>*	[0..1]	Date		983
	AdditionalInformation *<AddtlInf>*	[1..*]	Text		983

16.1.15.8.1 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 1331

16.1.15.8.2 UpdateDescription <UpdDesc>

Presence: [0..1]

Definition: Specifies the amendments made to the narrative since the last message.

Datatype: Max140Text on page 1357

16.1.15.8.3 UpdateDate <UpdDt>

Presence: [0..1]

Definition: Specifies the date at which the narrative has been updated.

Datatype: ISODate on page 1352

16.1.15.8.4 AdditionalInformation <AddtlInf>

Presence: [1..*]

Definition: Provides additional textual information.

Datatype: Max350Text on page 1359

16.1.15.9 UpdatedURLInformation4

Definition: Additional information with update description and date.

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Language *<Lang>*	[1..1]	CodeSet		984
	UpdateDescription *<UpdDesc>*	[0..1]	Text		984
	UpdateDate *<UpdDt>*	[0..1]	Date		984
	URLAddress *<URLAdr>*	[1..1]	Text		984

16.1.15.9.1 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 1331

16.1.15.9.2 UpdateDescription <UpdDesc>

Presence: [0..1]

Definition: Specifies the amendments made to the narrative since the last message.

Datatype: Max140Text on page 1357

16.1.15.9.3 UpdateDate <UpdDt>

Presence: [0..1]

Definition: Specifies the date at which the narrative has been updated.

Datatype: ISODate on page 1352

16.1.15.9.4 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: Max2048Text on page 1358

16.1.15.10 CorporateActionOption40Choice

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		984
Or}	Proprietary <*Prtry*>	[1..1]	±		986

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 1313

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

CodeName	Name	Definition
		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)).
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.

CodeName	Name	Definition
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 GenericIdentification30 on page 965 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

16.1.15.11 CorporateActionEventType102Choice

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		987
Or}	Proprietary *<Prtry>*	[1..1]	±		993

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.

16.1.15.11.1 Code <Cd>

Presence: [1..1]

Definition: Event types expressed as a code.

Datatype: CorporateActionEventType34Code on page 1301

CodeName	Name	Definition
ACTV	ActiveTradingStatus	Trading in the security has commenced or security has been re-activated after a suspension in trading.
ATTI	Attachment	Combination of different security types to create a unit. Units are usually comprised of warrants and bonds or warrants and equities. Securities may be combined at the request of the security holder or based on market convention.
BRUP	Bankruptcy	Legal status of a company unable to pay creditors. Bankruptcy usually involves a formal court ruling. Securities may become valueless.
DFLT	BondDefault	Failure by the company to perform obligations defined as default events under the bond agreement and that have not been remedied.
BONU	BonusIssue	Bonus or capitalisation issue. Security holders receive additional assets free of payment from the issuer, in proportion to their holding.
EXRI	CallOnIntermediateSecurities	Call or exercise on nil paid securities or intermediate securities resulting from an intermediate securities distribution (RHDI). This code is used for the second event, when an intermediate securities' issue (rights/coupons) is composed of two events, the first event being the distribution of intermediate securities.
CAPD	CapitalDistribution	Corporate event pays shareholders an amount in cash issued from the capital account. There is no reduction to the face value of a single share (or the share has no par value). The number of circulating shares remains unchanged.
CAPG	CapitalGainsDistribution	Event is the distribution of profits resulting from the sale of securities. Shareholders of mutual funds, unit trusts, or SICAVs are recipients of capital gains distributions and are often reinvested in additional shares of the fund.
CAPI	Capitalisation	Increase of the current principal of a debt instrument without increasing the nominal value. It normally arises from the incorporation of due but unpaid interest into the principal. This is

CodeName	Name	Definition
		commonly done by increasing the pool factor value, for example, capitalisation, and negative amortisation.
DRCA	CashDistributionFromNonEligibleSecuritiesSales	Distribution to shareholders of cash resulting from the selling of non-eligible securities, for example, in the frame of a depositary receipt program.
DVCA	CashDividend	Distribution of cash to shareholders, in proportion to their equity holding. Ordinary dividends are recurring and regular. Shareholder must take cash and may be offered a choice of currency.
CHAN	Change	Information regarding a change further described in the corporate action details.
COOP	CompanyOption	Company option may be granted by the company, allowing the holder to take up shares at some future date(s) at a pre arranged price in the company. A company may not grant options which enable the holder to take up unissued shares at a time which is five or more years from the date of the grant. Option holders are not members of a company. They are contingent creditors of a company and hence may, in some instances, be entitled to vote on and be bound by a scheme of arrangement between the creditors and the company. As many options have multiple exercise periods a company option will either lapse or carry on to the next expiry date.
CLSA	ClassActionProposedSettlement	Situation where interested parties seek restitution for financial loss. The security holder may be offered the opportunity to join a class action proceeding and would need to respond with an instruction.
CONS	Consent	Procedure that aims to obtain consent of holder to a proposal by the issuer or a third party without convening a meeting. For example, consent to change the terms of a bond.
CONV	Conversion	Conversion of securities (generally convertible bonds or preferred shares) into another form of securities (usually common shares) at a pre-stated price/ratio.
CREV	CreditEvent	Occurrence of credit derivative for which the issuer of one or several underlying securities is unable to fulfill its financial obligations (as defined in terms and conditions).
DECR	DecreaseInValue	Reduction of face value of a single share or the value of fund assets. The number of circulating shares/units remains unchanged. This event may include a cash payout to holders.

CodeName	Name	Definition
DETI	Detachment	Separation of components that comprise a security, for example, usually units comprised of warrants and bond or warrants and equity. Units may be broken up at the request of the security holder or based on market convention.
DSCL	Disclosure	Requirement for holders or beneficial owners to disclose their name, location and holdings of any issue to the issuer.
DVOP	DividendOption	Distribution of a dividend to shareholders with a choice of benefit to receive. Shareholders may choose to receive shares or cash. To be distinguished from DRIP as the company creates new share capital in exchange for the dividend rather than investing the dividend in the market.
DRIP	DividendReinvestment	Dividend payment where holders can keep cash or have the cash reinvested in the market by the issuer into additional shares in the issuing company. To be distinguished from DVOP as the company invests the dividend in the market rather than creating new share capital in exchange for the dividend.
DRAW	Drawing	Securities are redeemed in part before the scheduled final maturity date. It is done without any pool factor reduction. The redemption is reflected in a debit of the face amount (FAMT). Drawing is distinct from partial call since drawn bonds are chosen by lottery. Therefore, not every holder is affected in the same way.
DTCH	DutchAuction	Action by a party wishing to acquire a security. Holders of the security are invited to make an offer to sell, within a specific price range. The acquiring party will buy from the holder with lowest offer.
EXOF	Exchange	Exchange of holdings for other securities and/or cash. The exchange can be either mandatory or voluntary involving the exchange of outstanding securities for different securities and/or cash. For example "exchange offer", "capital reorganisation" or "funds separation".
REDM	FinalMaturity	Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, at final maturity.
MCAL	FullCall	Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, before final maturity.

CodeName	Name	Definition
INCR	IncreaseInValue	Increase in the face value of a single security. The number of circulating securities remains unchanged.
PPMT	InstalmentCall	Instalment towards the purchase of equity capital, subject to an agreement between an issuer and a purchaser.
INTR	InterestPayment	Interest payment distributed to holders of an interest bearing asset.
RHDI	IntermediateSecuritiesDistribution	Distribution of intermediate securities that gives the holder the right to take part in a future event.
LIQU	LiquidationDividend	Distribution of cash, assets or both. Debt may be paid in order of priority based on preferred claims to assets specified by the security.
EXTM	MaturityExtension	As stipulated in the security's Terms and Conditions, the issuer or the holder may prolong the maturity date of a security. After extension, the security details may differ from the original issue. An issuer initiated extension may be subject to holder's approval.
MRGR	Merger	Exchange of outstanding securities, initiated by the issuer which may include options, as the result of two or more companies combining assets, that is, an external, third party company. Cash payments may accompany share exchange.
NOOF	NonOfficialOffer	Offers that are not supervised or regulated by an official entity and being offered by a party, for example a broker, usually at a discount price, for example broker offer, mini-tender, mini odd lot offer or third party offer.
CERT	NonUSTEFRADCertification	Non-US beneficial owner certification requirement for exchange of temporary to permanent notes.
ODLT	OddLotSalePurchase	Sale or purchase of odd-lots to/from the issuing company, initiated either by the holder of the security or through an offer made by the issuer.
OTHR	OtherEvent	Other event, use only when no other event type applies, for example, a new event type.
PARI	PariPassu	Occurs when securities with different characteristics, for example, shares with different entitlements to dividend or voting rights, become identical in all respects, for example, pari-passu or assimilation. May be scheduled in advance, for example, shares resulting from a bonus may become fungible after a pre-set period of time, or may result from outside events, for example,

CodeName	Name	Definition
		merger, reorganisation, issue of supplementary tranches.
PCAL	PartialRedemptionWithoutPoolFactorReduction	Securities are redeemed in part before their scheduled final maturity date. It is done without any pool factor reduction. The redemption is reflected in a debit of the face amount (FAMT).
PRED	PartialRedemptionWithPoolFactorReduction	Securities are redeemed in part before their scheduled final maturity date. The redemption is reflected in a pool factor reduction. No movement of securities occurs.
PINK	PayInKind	Interest payment, in any kind except cash, distributed to holders of an interest bearing asset.
PLAC	PlaceOfIncorporation	Changes in the state of incorporation for US companies and changes in the place of incorporation for foreign companies. Where shares need to be registered following the incorporation change, the holder(s) may have to elect the registrar.
PDEF	Prefunding	Also called partial defeasance. Issuer has money set aside to redeem a portion of an issue and the indenture states that the securities could be called earlier than the stated maturity.
PRIO	PriorityIssue	Form of open or public offer where, due to a limited amount of securities available, priority is given to existing shareholders.
BPUT	PutRedemption	Early redemption of a security at the election of the holder subject to the terms and condition of the issue with no reduction in nominal value.
REDO	Redenomination	Event by which the unit (currency and/or nominal) of a security is restated, for example, nominal/par value of security in a national currency is restated in another currency.
REMK	RemarketingAgreement	Purchase and sale of remarketed preferred equities/bonds through the negotiation of interest rate between the issuers and the holders.
BIDS	RepurchaseOffer	Repurchase offer / issuer bid / reverse rights. Offer to existing holders by the issuing company to repurchase its own securities. The objective of the offer is to reduce the number of outstanding securities.
SPLR	ReverseStockSplit	Decrease in a company's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are increased accordingly.

CodeName	Name	Definition
RHTS	RightsIssue	Offer to holders of a security to subscribe for additional securities via the distribution of an intermediate security. Both processes are included in the same event.
DVSC	ScripDividend	Dividend or interest paid in the form of scrip.
SHPR	SharesPremiumDividend	Corporate event pays shareholders an amount in cash issued from the shares premium reserve. It is similar to a dividend but with different tax implications.
SMAL	SmallestNegotiableUnit	Modification of the smallest negotiable unit of shares in order to obtain a new negotiable unit.
SOFF	SpinOff	Distribution of securities issued by another company. The distributed securities may either be of a newly created or of an existing company. For example, spin-off, demerger, unbundling, divestment.
DVSE	StockDividend	Dividend paid to shareholders in the form of equities of the issuing corporation.
SPLF	StockSplit	Increase in a corporation's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are reduced accordingly.
TREC	TaxReclaim	Event related to tax reclaim activities.
TEND	Tender	Offer made to holders by a third party, requesting them to sell (tender) or exchange their securities.
DLST	TradingStatusDelisted	Security is no longer able to comply with the listing requirements of a stock exchange and is removed from official board quotation.
SUSP	TradingStatusSuspended	Trading in the security has been suspended.
EXWA	WarrantExercise	Option offered to holders to buy (call warrant) or to sell (put warrant) a specific amount of stock, cash, or commodity, at a predetermined price, during a predetermined period of time (which usually corresponds to the life of the issue).
WTRC	WithholdingTaxReliefCertification	Certification process for withholding tax reduction or exemption based on the tax status of the holder.
WRTH	Worthless	Booking out of valueless securities.

CodeName	Name	Definition
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.

16.1.15.11.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Event types expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

16.1.15.12 UpdatedAdditionalInformation13

Definition: Additional information with update description and date.

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Language <*Lang*>	[1..1]	CodeSet		993
	UpdateDescription <*UpdDesc*>	[0..1]	Text		994
	UpdateDate <*UpdDt*>	[0..1]	Date		994
	AdditionalInformation <*AddtlInf*>	[1..*]	Text		994

Constraints

- **AdditionalInformationRule**

   (Rule)

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

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 1331

16.1.15.12.2 UpdateDescription <UpdDesc>

Presence: [0..1]

Definition: Specifies the amendments made to the narrative since the last message.

Datatype: Max140Text on page 1357

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 1352

16.1.15.12.4 AdditionalInformation <AddtlInf>

Presence: [1..*]

Definition: Provides additional textual information.

Datatype: Max8000Text on page 1361

16.1.15.13 UpdatedAdditionalInformation12

Definition: Additional information with update description and date.

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Language *<Lang>*	[1..1]	CodeSet		994
	UpdateDescription *<UpdDesc>*	[0..1]	Text		994
	UpdateDate *<UpdDt>*	[0..1]	Date		994
	AdditionalInformation *<AddtlInf>*	[1..1]	Text		995

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 1331

16.1.15.13.2 UpdateDescription <UpdDesc>

Presence: [0..1]

Definition: Specifies the amendments made to the narrative since the last message.

Datatype: Max140Text on page 1357

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 1352

16.1.15.13.4 AdditionalInformation <AddtlInf>

Presence: [1..1]

Definition: Provides additional textual information.

Datatype: Max350Text on page 1359

16.1.15.14 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		995
Or}	Proprietary <Prtry>	[1..1]	±		995

16.1.15.14.1 Code <Cd>

Presence: [1..1]

Definition: Bid range type expressed as a code value.

Datatype: BidRangeType1Code on page 1278

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.

16.1.15.14.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Bid range type expressed as a proprietary value.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		965
	Issuer <Issr>	[1..1]	Text		965
	SchemeName <SchmeNm>	[0..1]	Text		965

16.1.15.15 CorporateActionOption37Choice

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		996
Or}	Proprietary *<Prtry>*	[1..1]	±		997

16.1.15.15.1 Code <Cd>

Presence: [1..1]

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

Datatype: CorporateActionOption15Code on page 1312

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 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.
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.

16.1.15.15.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of corporate action options.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		965
	Issuer <Issr>	[1..1]	Text		965
	SchemeName <SchmeNm>	[0..1]	Text		965

16.1.15.16 CorporateActionOption33Choice

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		998
Or}	Proprietary <Prtry>	[1..1]	±		999

16.1.15.16.1 Code <Cd>

Presence: [1..1]

Definition: Option type expressed as a code.

Datatype: <u>CorporateActionOption12Code on page 1311</u>

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 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.

16.1.15.16.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Option type expressed as a proprietary identification.

Proprietary <Prtry> contains the following elements (see <u>GenericIdentification30 on page 965</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

16.1.15.17 PendingStatus58Choice

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		1000
Or}	Reason *<Rsn>*	[1..*]	±	C1	1000

16.1.15.17.1 NoSpecifiedReason <NoSpcfdRsn>

Presence: [1..1]

Definition: Reason not specified.

Datatype: NoReasonCode on page 1335

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

16.1.15.17.2 Reason <Rsn>

Presence: [1..*]

Definition: Reason for the pending status.

Impacted by: C1 AdditionalReasonInforrmationRule

Reason <Rsn> contains the following elements (see PendingStatusReason18 on page 1257 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	ReasonCode *<RsnCd>*	[1..1]	±		1257
	AdditionalReasonInformation *<AddtlRsnInf>*	[0..1]	Text		1257

Constraints

- **AdditionalReasonInforrmationRule**

  (Rule)

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

16.1.15.18 NetDividendRateFormat40Choice

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	1001
Or	AmountAndRateStatus *<AmtAndRateSts>*	[1..1]			1001
	Amount *<Amt>*	[1..1]	Amount	C1	1002
	RateStatus *<RateSts>*	[1..1]	CodeSet		1002
Or}	RateTypeAndAmountAndRateStatus *<RateTpAndAmtAndRateSts>*	[1..1]			1002
	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]		C61	1005
{Or	Code *<Cd>*	[1..1]	CodeSet		1005
Or}	Proprietary *<Prtry>*	[1..1]	±		1005

16.1.15.18.1 Amount <Amt>

Presence: [1..1]

Definition: Value expressed as an amount.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

16.1.15.18.2 AmountAndRateStatus <AmtAndRateSts>

Presence: [1..1]

Definition: Specifies an amount and a rate status.

AmountAndRateStatus <AmtAndRateSts> contains the following **AmountAndRateStatus1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C1	1002
	RateStatus <RateSts>	[1..1]	CodeSet		1002

16.1.15.18.2.1 Amount <Amt>

Presence: [1..1]

Definition: Value expressed as an amount.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

16.1.15.18.2.2 RateStatus <RateSts>

Presence: [1..1]

Definition: Value expressed as a rate status.

Datatype: RateStatus1Code on page 1344

CodeName	Name	Definition
ACTU	ActualRate	Rate is actual.
INDI	IndicativeRate	Rate is indicative.

16.1.15.18.3 RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>

Presence: [1..1]

Definition: Specifies different formats for the net dividend rate.

RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts> contains the following **RateTypeAndAmountAndStatus58** 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]		C61	1005
{Or	Code <Cd>	[1..1]	CodeSet		1005
Or}	Proprietary <Prtry>	[1..1]	±		1005

16.1.15.18.3.1 RateType <RateTp>

Presence: [1..1]

Definition: Value expressed as a rate type.

RateType <RateTp> contains one of the following **RateType79Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1003
Or}	Proprietary <Prtry>	[1..1]	±		1004

16.1.15.18.3.1.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the type of net dividend rate.

Datatype: NetDividendRateType7Code on page 1333

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.

16.1.15.18.3.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of net dividend rate.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

16.1.15.18.3.2 Amount <Amt>

Presence: [1..1]

Definition: Value expressed as an amount.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

- **ActiveCurrency**

  (Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

16.1.15.18.3.3 RateStatus <RateSts>

Presence: [0..1]

Definition: Value expressed as a rate status.

Impacted by: C61 RateStatusGuideline

RateStatus <RateSts> contains one of the following **RateStatus3Choice** 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.

16.1.15.18.3.3.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the status of the rate.

Datatype: RateStatus1Code on page 1344

CodeName	Name	Definition
ACTU	ActualRate	Rate is actual.
INDI	IndicativeRate	Rate is indicative.

16.1.15.18.3.3.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the status of the rate.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

16.1.15.19 NetDividendRateFormat39Choice

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	1006
Or	AmountAndRateStatus *<AmtAndRateSts>*	[1..1]			1007
	Amount *<Amt>*	[1..1]	Amount	C1	1007
	RateStatus *<RateSts>*	[1..1]	CodeSet		1007
Or	RateTypeAndAmountAndRateStatus *<RateTpAndAmtAndRateSts>*	[1..1]			1007
	RateType *<RateTp>*	[1..1]			1008
{Or	Code *<Cd>*	[1..1]	CodeSet		1008
Or}	Proprietary *<Prtry>*	[1..1]	±		1009
	Amount *<Amt>*	[1..1]	Amount	C1	1009
	RateStatus *<RateSts>*	[0..1]		C61	1010
{Or	Code *<Cd>*	[1..1]	CodeSet		1010
Or}	Proprietary *<Prtry>*	[1..1]	±		1010
Or}	NotSpecifiedRate *<NotSpcfdRate>*	[1..1]	CodeSet		1011

16.1.15.19.1 Amount <Amt>

Presence: [1..1]

Definition: Number of monetary units specified in a currency.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

– *Error Text:* Invalid currency code

16.1.15.19.2 AmountAndRateStatus <AmtAndRateSts>

Presence: [1..1]

Definition: Specifies an amount and a rate status.

AmountAndRateStatus <AmtAndRateSts> contains the following **AmountAndRateStatus1** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Amount *<Amt>*	[1..1]	Amount	C1	1007
	RateStatus *<RateSts>*	[1..1]	CodeSet		1007

16.1.15.19.2.1 Amount <Amt>

Presence: [1..1]

Definition: Value expressed as an amount.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

16.1.15.19.2.2 RateStatus <RateSts>

Presence: [1..1]

Definition: Value expressed as a rate status.

Datatype: RateStatus1Code on page 1344

CodeName	Name	Definition
ACTU	ActualRate	Rate is actual.
INDI	IndicativeRate	Rate is indicative.

16.1.15.19.3 RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>

Presence: [1..1]

Definition: Specifies different formats for the net dividend rate.

RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts> contains the following **RateTypeAndAmountAndStatus58** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	RateType *<RateTp>*	[1..1]			1008
{Or	Code *<Cd>*	[1..1]	CodeSet		1008
Or}	Proprietary *<Prtry>*	[1..1]	±		1009
	Amount *<Amt>*	[1..1]	Amount	C1	1009
	RateStatus *<RateSts>*	[0..1]		C61	1010
{Or	Code *<Cd>*	[1..1]	CodeSet		1010
Or}	Proprietary *<Prtry>*	[1..1]	±		1010

16.1.15.19.3.1 RateType <RateTp>

Presence: [1..1]

Definition: Value expressed as a rate type.

RateType <RateTp> contains one of the following **RateType79Choice** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1008
Or}	Proprietary *<Prtry>*	[1..1]	±		1009

16.1.15.19.3.1.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the type of net dividend rate.

Datatype: NetDividendRateType7Code on page 1333

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.

16.1.15.19.3.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of net dividend rate.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

16.1.15.19.3.2 Amount <Amt>

Presence: [1..1]

Definition: Value expressed as an amount.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

- **ActiveCurrency**

  (Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

16.1.15.19.3.3 RateStatus <RateSts>

Presence: [0..1]

Definition: Value expressed as a rate status.

Impacted by: C61 RateStatusGuideline

RateStatus <RateSts> contains one of the following **RateStatus3Choice** elements

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

Constraints

• **RateStatusGuideline**

(Guideline)

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

16.1.15.19.3.3.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the status of the rate.

Datatype: RateStatus1Code on page 1344

CodeName	Name	Definition
ACTU	ActualRate	Rate is actual.
INDI	IndicativeRate	Rate is indicative.

16.1.15.19.3.3.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the status of the rate.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

16.1.15.19.4 NotSpecifiedRate <NotSpcfdRate>

Presence: [1..1]

Definition: Value of the rate not specified.

Datatype: RateValueType7Code on page 1344

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

16.1.15.20 GrossDividendRateFormat38Choice

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	1011
Or	AmountAndRateStatus <*AmtAndRateSts*>	[1..1]			1012
	Amount <*Amt*>	[1..1]	Amount	C1	1012
	RateStatus <*RateSts*>	[1..1]	CodeSet		1012
Or	RateTypeAndAmountAndRateStatus <*RateTpAndAmtAndRateSts*>	[1..1]			1013
	RateType <*RateTp*>	[1..1]			1013
{Or	Code <*Cd*>	[1..1]	CodeSet		1013
Or}	Proprietary <*Prtry*>	[1..1]	±		1014
	Amount <*Amt*>	[1..1]	Amount	C1	1014
	RateStatus <*RateSts*>	[0..1]		C61	1015
{Or	Code <*Cd*>	[1..1]	CodeSet		1015
Or}	Proprietary <*Prtry*>	[1..1]	±		1015
Or}	NotSpecifiedRate <*NotSpcfdRate*>	[1..1]	CodeSet		1016

16.1.15.20.1 Amount <Amt>

Presence: [1..1]

Definition: Number of monetary units specified in a currency.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

• **ActiveCurrency**

(Rule)

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

Maintenance Agency, consist of three (3) contiguous letters, and are not yet 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 **AmountAndRateStatus1** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Amount *<Amt>*	[1..1]	Amount	C1	1012
	RateStatus *<RateSts>*	[1..1]	CodeSet		1012

16.1.15.20.2.1 Amount <Amt>

Presence: [1..1]

Definition: Value expressed as an amount.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

• **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet 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 1344

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 gross dividend rate.

RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts> contains the following **RateTypeAndAmountAndStatus57** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	RateType <*RateTp*>	[1..1]			1013
{Or	Code <*Cd*>	[1..1]	CodeSet		1013
Or}	Proprietary <*Prtry*>	[1..1]	±		1014
	Amount <*Amt*>	[1..1]	Amount	C1	1014
	RateStatus <*RateSts*>	[0..1]		C61	1015
{Or	Code <*Cd*>	[1..1]	CodeSet		1015
Or}	Proprietary <*Prtry*>	[1..1]	±		1015

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 **RateType78Choice** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Code <*Cd*>	[1..1]	CodeSet		1013
Or}	Proprietary <*Prtry*>	[1..1]	±		1014

16.1.15.20.3.1.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the type of gross dividend rate.

Datatype: GrossDividendRateType7Code on page 1326

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.
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.

16.1.15.20.3.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of gross dividend rate.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

16.1.15.20.3.2 Amount <Amt>

Presence: [1..1]

Definition: Value expressed as an amount.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

- **ActiveCurrency**

  (Rule)

  The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet 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: C61 RateStatusGuideline

RateStatus <RateSts> contains one of the following **RateStatus3Choice** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Code <*Cd*>	[1..1]	CodeSet		1015
Or}	Proprietary <*Prtry*>	[1..1]	±		1015

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 1344

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 <u>GenericIdentification30 on page 965</u> for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		965
	Issuer <Issr>	[1..1]	Text		965
	SchemeName <SchmeNm>	[0..1]	Text		965

16.1.15.20.4 NotSpecifiedRate <NotSpcfdRate>

Presence: [1..1]

Definition: Value of the rate not specified.

Datatype: <u>RateType13Code on page 1344</u>

CodeName	Name	Definition
UKWN	Unknown	Rate is unknown by the sender or has not been established.
NILP	NilPayment	Rate will not be paid.

16.1.15.21 GrossDividendRateFormat37Choice

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	1016
Or	AmountAndRateStatus <AmtAndRateSts>	[1..1]			1017
	Amount <Amt>	[1..1]	Amount	C1	1017
	RateStatus <RateSts>	[1..1]	CodeSet		1018
Or}	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1018
	RateType <RateTp>	[1..1]			1018
{Or	Code <Cd>	[1..1]	CodeSet		1018
Or}	Proprietary <Prtry>	[1..1]	±		1019
	Amount <Amt>	[1..1]	Amount	C1	1020
	RateStatus <RateSts>	[0..1]		C61	1020
{Or	Code <Cd>	[1..1]	CodeSet		1020
Or}	Proprietary <Prtry>	[1..1]	±		1021

16.1.15.21.1 Amount <Amt>

Presence: [1..1]

Definition: Value expressed as an amount.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

- **ActiveCurrency**

  (Rule)

  The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet 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 **AmountAndRateStatus1** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Amount *<Amt>*	[1..1]	Amount	C1	1017
	RateStatus *<RateSts>*	[1..1]	CodeSet		1018

16.1.15.21.2.1 Amount <Amt>

Presence: [1..1]

Definition: Value expressed as an amount.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

- **ActiveCurrency**

  (Rule)

  The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet 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 1344

CodeName	Name	Definition
ACTU	ActualRate	Rate is actual.
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
RateTypeAndAmountAndStatus57 elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RateType <RateTp>	[1..1]			1018
{Or	Code <Cd>	[1..1]	CodeSet		1018
Or}	Proprietary <Prtry>	[1..1]	±		1019
	Amount <Amt>	[1..1]	Amount	C1	1020
	RateStatus <RateSts>	[0..1]		C61	1020
{Or	Code <Cd>	[1..1]	CodeSet		1020
Or}	Proprietary <Prtry>	[1..1]	±		1021

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 **RateType78Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1018
Or}	Proprietary <Prtry>	[1..1]	±		1019

16.1.15.21.3.1.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the type of gross dividend rate.

Datatype: GrossDividendRateType7Code on page 1326

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.

16.1.15.21.3.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of gross dividend rate.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

16.1.15.21.3.2 Amount <Amt>

Presence: [1..1]

Definition: Value expressed as an amount.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

- **ActiveCurrency**

  (Rule)

  The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet 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: C61 RateStatusGuideline

RateStatus <RateSts> contains one of the following **RateStatus3Choice** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1020
Or}	Proprietary *<Prtry>*	[1..1]	±		1021

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 1344

CodeName	Name	Definition
ACTU	ActualRate	Rate is actual.

CodeName	Name	Definition
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 GenericIdentification30 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

16.1.15.22 NetDividendRateFormat38Choice

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	1021
Or	AmountAndRateStatus <*AmtAndRateSts*>	[1..1]			1022
	Amount <*Amt*>	[1..1]	Amount	C1	1022
	RateStatus <*RateSts*>	[1..1]	CodeSet		1023
Or	RateTypeAndAmountAndRateStatus <*RateTpAndAmtAndRateSts*>	[1..1]			1023
	RateType <*RateTp*>	[1..1]			1023
{Or	Code <*Cd*>	[1..1]	CodeSet		1023
Or}	Proprietary <*Prtry*>	[1..1]	±		1024
	Amount <*Amt*>	[1..1]	Amount	C1	1024
	RateStatus <*RateSts*>	[0..1]		C61	1025
{Or	Code <*Cd*>	[1..1]	CodeSet		1025
Or}	Proprietary <*Prtry*>	[1..1]	±		1025
Or}	NotSpecifiedRate <*NotSpcfdRate*>	[1..1]	CodeSet		1026

16.1.15.22.1 Amount <Amt>

Presence: [1..1]

Definition: Number of monetary units specified in a currency.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

16.1.15.22.2 AmountAndRateStatus <AmtAndRateSts>

Presence: [1..1]

Definition: Specifies an amount and a rate status.

AmountAndRateStatus <AmtAndRateSts> contains the following **AmountAndRateStatus1** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Amount *<Amt>*	[1..1]	Amount	C1	1022
	RateStatus *<RateSts>*	[1..1]	CodeSet		1023

16.1.15.22.2.1 Amount <Amt>

Presence: [1..1]

Definition: Value expressed as an amount.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

– *Error Text:* Invalid currency code

16.1.15.22.2.2 RateStatus <RateSts>

Presence: [1..1]

Definition: Value expressed as a rate status.

Datatype: RateStatus1Code on page 1344

CodeName	Name	Definition
ACTU	ActualRate	Rate is actual.
INDI	IndicativeRate	Rate is indicative.

16.1.15.22.3 RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>

Presence: [1..1]

Definition: Specifies different formats for the net dividend rate.

RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts> contains the following **RateTypeAndAmountAndStatus56** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	RateType <*RateTp*>	[1..1]			1023
{Or	Code <*Cd*>	[1..1]	CodeSet		1023
Or}	Proprietary <*Prtry*>	[1..1]	±		1024
	Amount <*Amt*>	[1..1]	Amount	C1	1024
	RateStatus <*RateSts*>	[0..1]		C61	1025
{Or	Code <*Cd*>	[1..1]	CodeSet		1025
Or}	Proprietary <*Prtry*>	[1..1]	±		1025

16.1.15.22.3.1 RateType <RateTp>

Presence: [1..1]

Definition: Value expressed as a rate type.

RateType <RateTp> contains one of the following **RateType77Choice** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Code <*Cd*>	[1..1]	CodeSet		1023
Or}	Proprietary <*Prtry*>	[1..1]	±		1024

16.1.15.22.3.1.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the type of net dividend rate.

Datatype: NetDividendRateType6Code on page 1332

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.

16.1.15.22.3.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of net dividend rate.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

16.1.15.22.3.2 Amount <Amt>

Presence: [1..1]

Definition: Value expressed as an amount.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

- **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

16.1.15.22.3.3 RateStatus <RateSts>

Presence: [0..1]

Definition: Value expressed as a rate status.

Impacted by: C61 RateStatusGuideline

RateStatus <RateSts> contains one of the following **RateStatus3Choice** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Code <*Cd*>	[1..1]	CodeSet		1025
Or}	Proprietary <*Prtry*>	[1..1]	±		1025

Constraints

- **RateStatusGuideline**

(Guideline)

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

16.1.15.22.3.3.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the status of the rate.

Datatype: RateStatus1Code on page 1344

CodeName	Name	Definition
ACTU	ActualRate	Rate is actual.
INDI	IndicativeRate	Rate is indicative.

16.1.15.22.3.3.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the status of the rate.

Proprietary <Prtry> contains the following elements (see <u>GenericIdentification30 on page 965</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

16.1.15.22.4 NotSpecifiedRate <NotSpcfdRate>

Presence: [1..1]

Definition: Value of the rate not specified.

Datatype: <u>RateValueType7Code on page 1344</u>

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

16.1.15.23 NetDividendRateFormat37Choice

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	1026
Or	AmountAndRateStatus *<AmtAndRateSts>*	[1..1]			1027
	Amount *<Amt>*	[1..1]	Amount	C1	1027
	RateStatus *<RateSts>*	[1..1]	CodeSet		1028
Or}	RateTypeAndAmountAndRateStatus *<RateTpAndAmtAndRateSts>*	[1..1]			1028
	RateType *<RateTp>*	[1..1]			1028
{Or	Code *<Cd>*	[1..1]	CodeSet		1028
Or}	Proprietary *<Prtry>*	[1..1]	±		1029
	Amount *<Amt>*	[1..1]	Amount	C1	1029
	RateStatus *<RateSts>*	[0..1]		C61	1030
{Or	Code *<Cd>*	[1..1]	CodeSet		1030
Or}	Proprietary *<Prtry>*	[1..1]	±		1030

16.1.15.23.1 Amount <Amt>

Presence: [1..1]

Definition: Number of monetary units specified in a currency.

Impacted by: <u>C1 ActiveCurrency</u>

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

16.1.15.23.2 AmountAndRateStatus <AmtAndRateSts>

Presence: [1..1]

Definition: Specifies an amount and a rate status.

AmountAndRateStatus <AmtAndRateSts> contains the following **AmountAndRateStatus1** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Amount *<Amt>*	[1..1]	Amount	C1	1027
	RateStatus *<RateSts>*	[1..1]	CodeSet		1028

16.1.15.23.2.1 Amount <Amt>

Presence: [1..1]

Definition: Value expressed as an amount.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

– *Error Text:* Invalid currency code

16.1.15.23.2.2 RateStatus <RateSts>

Presence: [1..1]

Definition: Value expressed as a rate status.

Datatype: RateStatus1Code on page 1344

CodeName	Name	Definition
ACTU	ActualRate	Rate is actual.
INDI	IndicativeRate	Rate is indicative.

16.1.15.23.3 RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>

Presence: [1..1]

Definition: Specifies different formats for the net dividend rate.

RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts> contains the following **RateTypeAndAmountAndStatus56** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	RateType <RateTp>	[1..1]			1028
{Or	Code <Cd>	[1..1]	CodeSet		1028
Or}	Proprietary <Prtry>	[1..1]	±		1029
	Amount <Amt>	[1..1]	Amount	C1	1029
	RateStatus <RateSts>	[0..1]		C61	1030
{Or	Code <Cd>	[1..1]	CodeSet		1030
Or}	Proprietary <Prtry>	[1..1]	±		1030

16.1.15.23.3.1 RateType <RateTp>

Presence: [1..1]

Definition: Value expressed as a rate type.

RateType <RateTp> contains one of the following **RateType77Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1028
Or}	Proprietary <Prtry>	[1..1]	±		1029

16.1.15.23.3.1.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the type of net dividend rate.

Datatype: NetDividendRateType6Code on page 1332

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.

16.1.15.23.3.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of net dividend rate.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

16.1.15.23.3.2 Amount <Amt>

Presence: [1..1]

Definition: Value expressed as an amount.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

- **ActiveCurrency**

(Rule)

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

Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

16.1.15.23.3.3 RateStatus <RateSts>

Presence: [0..1]

Definition: Value expressed as a rate status.

Impacted by: C61 RateStatusGuideline

RateStatus <RateSts> contains one of the following **RateStatus3Choice** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1030
Or}	Proprietary *<Prtry>*	[1..1]	±		1030

Constraints

- **RateStatusGuideline**

(Guideline)

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

16.1.15.23.3.3.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the status of the rate.

Datatype: RateStatus1Code on page 1344

CodeName	Name	Definition
ACTU	ActualRate	Rate is actual.
INDI	IndicativeRate	Rate is indicative.

16.1.15.23.3.3.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the status of the rate.

Proprietary <Prtry> contains the following elements (see <u>GenericIdentification30 on page 965</u> for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

16.1.15.24 GrossDividendRateFormat36Choice

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	1031
Or	AmountAndRateStatus <*AmtAndRateSts*>	[1..1]			1032
	Amount <*Amt*>	[1..1]	Amount	C1	1032
	RateStatus <*RateSts*>	[1..1]	CodeSet		1032
Or	RateTypeAndAmountAndRateStatus <*RateTpAndAmtAndRateSts*>	[1..1]			1033
	RateType <*RateTp*>	[1..1]			1033
{Or	Code <*Cd*>	[1..1]	CodeSet		1033
Or}	Proprietary <*Prtry*>	[1..1]	±		1034
	Amount <*Amt*>	[1..1]	Amount	C1	1034
	RateStatus <*RateSts*>	[0..1]		C61	1035
{Or	Code <*Cd*>	[1..1]	CodeSet		1035
Or}	Proprietary <*Prtry*>	[1..1]	±		1035
Or}	NotSpecifiedRate <*NotSpcfdRate*>	[1..1]	CodeSet		1036

16.1.15.24.1 Amount <Amt>

Presence: [1..1]

Definition: Number of monetary units specified in a currency.

Impacted by: <u>C1 ActiveCurrency</u>

Datatype: <u>ActiveCurrencyAnd13DecimalAmount on page 1268</u>

Constraints

- **ActiveCurrency**

  (Rule)

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

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

16.1.15.24.2 AmountAndRateStatus <AmtAndRateSts>

Presence: [1..1]

Definition: Specifies an amount and a rate status.

AmountAndRateStatus <AmtAndRateSts> contains the following **AmountAndRateStatus1** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Amount *<Amt>*	[1..1]	Amount	C1	1032
	RateStatus *<RateSts>*	[1..1]	CodeSet		1032

16.1.15.24.2.1 Amount <Amt>

Presence: [1..1]

Definition: Value expressed as an amount.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

16.1.15.24.2.2 RateStatus <RateSts>

Presence: [1..1]

Definition: Value expressed as a rate status.

Datatype: RateStatus1Code on page 1344

CodeName	Name	Definition
ACTU	ActualRate	Rate is actual.
INDI	IndicativeRate	Rate is indicative.

16.1.15.24.3 RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>

Presence: [1..1]

Definition: Specifies different formats for the gross dividend rate.

RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts> contains the following **RateTypeAndAmountAndStatus55** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	RateType <*RateTp*>	[1..1]			1033
{Or	Code <*Cd*>	[1..1]	CodeSet		1033
Or}	Proprietary <*Prtry*>	[1..1]	±		1034
	Amount <*Amt*>	[1..1]	Amount	C1	1034
	RateStatus <*RateSts*>	[0..1]		C61	1035
{Or	Code <*Cd*>	[1..1]	CodeSet		1035
Or}	Proprietary <*Prtry*>	[1..1]	±		1035

16.1.15.24.3.1 RateType <RateTp>

Presence: [1..1]

Definition: Value expressed as a rate type.

RateType <RateTp> contains one of the following **RateType76Choice** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Code <*Cd*>	[1..1]	CodeSet		1033
Or}	Proprietary <*Prtry*>	[1..1]	±		1034

16.1.15.24.3.1.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the type of gross dividend rate.

Datatype: GrossDividendRateType6Code on page 1326

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.

16.1.15.24.3.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of gross dividend rate.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		965
	Issuer <Issr>	[1..1]	Text		965
	SchemeName <SchmeNm>	[0..1]	Text		965

16.1.15.24.3.2 Amount <Amt>

Presence: [1..1]

Definition: Value expressed as an amount.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

16.1.15.24.3.3 RateStatus <RateSts>

Presence: [0..1]

Definition: Value expressed as a rate status.

Impacted by: C61 RateStatusGuideline

RateStatus <RateSts> contains one of the following **RateStatus3Choice** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1035
Or}	Proprietary *<Prtry>*	[1..1]	±		1035

Constraints

- **RateStatusGuideline**

  (Guideline)

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

16.1.15.24.3.3.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the status of the rate.

Datatype: RateStatus1Code on page 1344

CodeName	Name	Definition
ACTU	ActualRate	Rate is actual.
INDI	IndicativeRate	Rate is indicative.

16.1.15.24.3.3.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the status of the rate.

Proprietary <Prtry> contains the following elements (see <u>GenericIdentification30 on page 965</u> for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

16.1.15.24.4 NotSpecifiedRate <NotSpcfdRate>

Presence: [1..1]

Definition: Value of the rate not specified.

Datatype: <u>RateType13Code on page 1344</u>

CodeName	Name	Definition
UKWN	Unknown	Rate is unknown by the sender or has not been established.
NILP	NilPayment	Rate will not be paid.

16.1.15.25 GrossDividendRateFormat35Choice

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	1036
Or	AmountAndRateStatus <*AmtAndRateSts*>	[1..1]			1037
	Amount <*Amt*>	[1..1]	Amount	C1	1037
	RateStatus <*RateSts*>	[1..1]	CodeSet		1038
Or}	RateTypeAndAmountAndRateStatus <*RateTpAndAmtAndRateSts*>	[1..1]			1038
	RateType <*RateTp*>	[1..1]			1038
{Or	Code <*Cd*>	[1..1]	CodeSet		1038
Or}	Proprietary <*Prtry*>	[1..1]	±		1039
	Amount <*Amt*>	[1..1]	Amount	C1	1039
	RateStatus <*RateSts*>	[0..1]		C61	1040
{Or	Code <*Cd*>	[1..1]	CodeSet		1040
Or}	Proprietary <*Prtry*>	[1..1]	±		1040

16.1.15.25.1 Amount <Amt>

Presence: [1..1]

Definition: Value expressed as an amount.

Impacted by: <u>C1 ActiveCurrency</u>

Datatype: <u>ActiveCurrencyAnd13DecimalAmount on page 1268</u>

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

16.1.15.25.2 AmountAndRateStatus <AmtAndRateSts>

Presence: [1..1]

Definition: Specifies an amount and a rate status.

AmountAndRateStatus <AmtAndRateSts> contains the following **AmountAndRateStatus1** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Amount *<Amt>*	[1..1]	Amount	C1	1037
	RateStatus *<RateSts>*	[1..1]	CodeSet		1038

16.1.15.25.2.1 Amount <Amt>

Presence: [1..1]

Definition: Value expressed as an amount.

Impacted by: <u>C1 ActiveCurrency</u>

Datatype: <u>ActiveCurrencyAnd13DecimalAmount on page 1268</u>

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

16.1.15.25.2.2 RateStatus \<RateSts\>

Presence: [1..1]

Definition: Value expressed as a rate status.

Datatype: RateStatus1Code on page 1344

CodeName	Name	Definition
ACTU	ActualRate	Rate is actual.
INDI	IndicativeRate	Rate is indicative.

16.1.15.25.3 RateTypeAndAmountAndRateStatus \<RateTpAndAmtAndRateSts\>

Presence: [1..1]

Definition: Specifies different formats for the gross dividend rate.

RateTypeAndAmountAndRateStatus \<RateTpAndAmtAndRateSts\> contains the following **RateTypeAndAmountAndStatus55** elements

Or	MessageElement\<*XML Tag*\>	Mult.	Type	Constr. No.	Page
	RateType \<*RateTp*\>	[1..1]			1038
{Or	Code \<*Cd*\>	[1..1]	CodeSet		1038
Or}	Proprietary \<*Prtry*\>	[1..1]	±		1039
	Amount \<*Amt*\>	[1..1]	Amount	C1	1039
	RateStatus \<*RateSts*\>	[0..1]		C61	1040
{Or	Code \<*Cd*\>	[1..1]	CodeSet		1040
Or}	Proprietary \<*Prtry*\>	[1..1]	±		1040

16.1.15.25.3.1 RateType \<RateTp\>

Presence: [1..1]

Definition: Value expressed as a rate type.

RateType \<RateTp\> contains one of the following **RateType76Choice** elements

Or	MessageElement\<*XML Tag*\>	Mult.	Type	Constr. No.	Page
{Or	Code \<*Cd*\>	[1..1]	CodeSet		1038
Or}	Proprietary \<*Prtry*\>	[1..1]	±		1039

16.1.15.25.3.1.1 Code \<Cd\>

Presence: [1..1]

Definition: Standard code to specify the type of gross dividend rate.

Datatype: GrossDividendRateType6Code on page 1326

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.

16.1.15.25.3.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of gross dividend rate.

Proprietary <Prtry> contains the following elements (see <u>GenericIdentification30 on page 965</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

16.1.15.25.3.2 Amount <Amt>

Presence: [1..1]

Definition: Value expressed as an amount.

Impacted by: <u>C1 ActiveCurrency</u>

Datatype: <u>ActiveCurrencyAnd13DecimalAmount on page 1268</u>

Constraints

- **ActiveCurrency**

   (Rule)

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

   Error handling:

   – *Error severity:* Fatal

   – *Error Code:* D00005

   – *Error Text:* Invalid currency code

16.1.15.25.3.3 RateStatus <RateSts>

Presence: [0..1]

Definition: Value expressed as a rate status.

Impacted by: <u>C61 RateStatusGuideline</u>

RateStatus <RateSts> contains one of the following **RateStatus3Choice** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1040
Or}	Proprietary *<Prtry>*	[1..1]	±		1040

Constraints

- **RateStatusGuideline**

   (Guideline)

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

16.1.15.25.3.3.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the status of the rate.

Datatype: <u>RateStatus1Code on page 1344</u>

CodeName	Name	Definition
ACTU	ActualRate	Rate is actual.
INDI	IndicativeRate	Rate is indicative.

16.1.15.25.3.3.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the status of the rate.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

16.1.15.26 CorporateActionEventType87Choice

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		1041
Or}	Proprietary *<Prtry>*	[1..1]	±		1047

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.

16.1.15.26.1 Code <Cd>

Presence: [1..1]

Definition: Event type expressed as a code.

Datatype: CorporateActionEventType30Code on page 1283

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.

CodeName	Name	Definition
BRUP	Bankruptcy	Legal status of a company unable to pay creditors. Bankruptcy usually involves a formal court ruling. Securities may become valueless.
DFLT	BondDefault	Failure by the company to perform obligations defined as default events under the bond agreement and that have not been remedied.
BONU	BonusIssue	Bonus or capitalisation issue. Security holders receive additional assets free of payment from the issuer, in proportion to their holding.
EXRI	CallOnIntermediateSecurities	Call or exercise on nil paid securities or intermediate securities resulting from an intermediate securities distribution (RHDI). This code is used for the second event, when an intermediate securities' issue (rights/coupons) is composed of two events, the first event being the distribution of intermediate securities.
CAPD	CapitalDistribution	Corporate event pays shareholders an amount in cash issued from the capital account. There is no reduction to the face value of a single share (or the share has no par value). The number of circulating shares remains unchanged.
CAPG	CapitalGainsDistribution	Event is the distribution of profits resulting from the sale of securities. Shareholders of mutual funds, unit trusts, or SICAVs are recipients of capital gains distributions and are often reinvested in additional shares of the fund.
CAPI	Capitalisation	Increase of the current principal of a debt instrument without increasing the nominal value. It normally arises from the incorporation of due but unpaid interest into the principal. This is commonly done by increasing the pool factor value, for example, capitalisation, and negative amortisation.
DRCA	CashDistributionFromNonEligibleSecuritiesSales	Distribution to shareholders of cash resulting from the selling of non-eligible securities, for example, in the frame of a depositary receipt program.
DVCA	CashDividend	Distribution of cash to shareholders, in proportion to their equity holding. Ordinary dividends are recurring and regular. Shareholder must take cash and may be offered a choice of currency.
CHAN	Change	Information regarding a change further described in the corporate action details.
COOP	CompanyOption	Company option may be granted by the company, allowing the holder to take up shares at some future date(s) at a pre arranged price in the company. A

CodeName	Name	Definition
		company may not grant options which enable the holder to take up unissued shares at a time which is five or more years from the date of the grant. Option holders are not members of a company. They are contingent creditors of a company and hence may, in some instances, be entitled to vote on and be bound by a scheme of arrangement between the creditors and the company. As many options have multiple exercise periods a company option will either lapse or carry on to the next expiry date.
CLSA	ClassActionProposedSettlement	Situation where interested parties seek restitution for financial loss. The security holder may be offered the opportunity to join a class action proceeding and would need to respond with an instruction.
CONS	Consent	Procedure that aims to obtain consent of holder to a proposal by the issuer or a third party without convening a meeting. For example, consent to change the terms of a bond.
CONV	Conversion	Conversion of securities (generally convertible bonds or preferred shares) into another form of securities (usually common shares) at a pre-stated price/ratio.
CREV	CreditEvent	Occurrence of credit derivative for which the issuer of one or several underlying securities is unable to fulfill its financial obligations (as defined in terms and conditions).
DECR	DecreaseInValue	Reduction of face value of a single share or the value of fund assets. The number of circulating shares/units remains unchanged. This event may include a cash payout to holders.
DETI	Detachment	Separation of components that comprise a security, for example, usually units comprised of warrants and bond or warrants and equity. Units may be broken up at the request of the security holder or based on market convention.
DSCL	Disclosure	Requirement for holders or beneficial owners to disclose their name, location and holdings of any issue to the issuer.
DVOP	DividendOption	Distribution of a dividend to shareholders with a choice of benefit to receive. Shareholders may choose to receive shares or cash. To be distinguished from DRIP as the company creates new share capital in exchange for the dividend rather than investing the dividend in the market.
DRIP	DividendReinvestment	Dividend payment where holders can keep cash or have the cash reinvested in the market by the issuer into additional

CodeName	Name	Definition
		shares in the issuing company. To be distinguished from DVOP as the company invests the dividend in the market rather than creating new share capital in exchange for the dividend.
DRAW	Drawing	Securities are redeemed in part before the scheduled final maturity date. It is done without any pool factor reduction. The redemption is reflected in a debit of the face amount (FAMT). Drawing is distinct from partial call since drawn bonds are chosen by lottery. Therefore, not every holder is affected in the same way.
DTCH	DutchAuction	Action by a party wishing to acquire a security. Holders of the security are invited to make an offer to sell, within a specific price range. The acquiring party will buy from the holder with lowest offer.
EXOF	Exchange	Exchange of holdings for other securities and/or cash. The exchange can be either mandatory or voluntary involving the exchange of outstanding securities for different securities and/or cash. For example "exchange offer", "capital reorganisation" or "funds separation".
REDM	FinalMaturity	Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, at final maturity.
MCAL	FullCall	Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, before final maturity.
INCR	IncreaseInValue	Increase in the face value of a single security. The number of circulating securities remains unchanged.
PPMT	InstalmentCall	Instalment towards the purchase of equity capital, subject to an agreement between an issuer and a purchaser.
INTR	InterestPayment	Interest payment distributed to holders of an interest bearing asset.
RHDI	IntermediateSecuritiesDistribution	Distribution of intermediate securities that gives the holder the right to take part in a future event.
LIQU	LiquidationDividend	Distribution of cash, assets or both. Debt may be paid in order of priority based on preferred claims to assets specified by the security.
EXTM	MaturityExtension	As stipulated in the security's Terms and Conditions, the issuer or the holder may prolong the maturity date of a security. After extension, the security details may differ from the original issue. An issuer

CodeName	Name	Definition
		initiated extension may be subject to holder's approval.
MRGR	Merger	Exchange of outstanding securities, initiated by the issuer which may include options, as the result of two or more companies combining assets, that is, an external, third party company. Cash payments may accompany share exchange.
NOOF	NonOfficialOffer	Offers that are not supervised or regulated by an official entity and being offered by a party, for example a broker, usually at a discount price, for example broker offer, mini-tender, mini odd lot offer or third party offer.
CERT	NonUSTEFRADCertification	Non-US beneficial owner certification requirement for exchange of temporary to permanent notes.
ODLT	OddLotSalePurchase	Sale or purchase of odd-lots to/from the issuing company, initiated either by the holder of the security or through an offer made by the issuer.
OTHR	OtherEvent	Other event, use only when no other event type applies, for example, a new event type.
PARI	PariPassu	Occurs when securities with different characteristics, for example, shares with different entitlements to dividend or voting rights, become identical in all respects, for example, pari-passu or assimilation. May be scheduled in advance, for example, shares resulting from a bonus may become fungible after a pre-set period of time, or may result from outside events, for example, merger, reorganisation, issue of supplementary tranches.
PCAL	PartialRedemptionWithoutPoolFactorReduction	Securities are redeemed in part before their scheduled final maturity date. It is done without any pool factor reduction. The redemption is reflected in a debit of the face amount (FAMT).
PRED	PartialRedemptionWithPoolFactorReduction	Securities are redeemed in part before their scheduled final maturity date. The redemption is reflected in a pool factor reduction. No movement of securities occurs.
PINK	PayInKind	Interest payment, in any kind except cash, distributed to holders of an interest bearing asset.
PLAC	PlaceOfIncorporation	Changes in the state of incorporation for US companies and changes in the place of incorporation for foreign companies. Where shares need to be registered following the incorporation change, the holder(s) may have to elect the registrar.

CodeName	Name	Definition
PDEF	Prefunding	Also called partial defeasance. Issuer has money set aside to redeem a portion of an issue and the indenture states that the securities could be called earlier than the stated maturity.
PRIO	PriorityIssue	Form of open or public offer where, due to a limited amount of securities available, priority is given to existing shareholders.
BPUT	PutRedemption	Early redemption of a security at the election of the holder subject to the terms and condition of the issue with no reduction in nominal value.
REDO	Redenomination	Event by which the unit (currency and/or nominal) of a security is restated, for example, nominal/par value of security in a national currency is restated in another currency.
REMK	RemarketingAgreement	Purchase and sale of remarketed preferred equities/bonds through the negotiation of interest rate between the issuers and the holders.
BIDS	RepurchaseOffer	Repurchase offer / issuer bid / reverse rights. Offer to existing holders by the issuing company to repurchase its own securities. The objective of the offer is to reduce the number of outstanding securities.
SPLR	ReverseStockSplit	Decrease in a company's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are increased accordingly.
RHTS	RightsIssue	Offer to holders of a security to subscribe for additional securities via the distribution of an intermediate security. Both processes are included in the same event.
DVSC	ScripDividend	Dividend or interest paid in the form of scrip.
SHPR	SharesPremiumDividend	Corporate event pays shareholders an amount in cash issued from the shares premium reserve. It is similar to a dividend but with different tax implications.
SMAL	SmallestNegotiableUnit	Modification of the smallest negotiable unit of shares in order to obtain a new negotiable unit.
SOFF	SpinOff	Distribution of securities issued by another company. The distributed securities may either be of a newly created or of an existing company. For example, spin-off, demerger, unbundling, divestment.

CodeName	Name	Definition
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.

16.1.15.26.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Event type expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see <u>GenericIdentification30 on page 965</u> for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

16.1.15.27 CorporateActionEventType86Choice

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		1048
Or}	Proprietary <*Prtry*>	[1..1]	±		1054

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.

16.1.15.27.1 Code <Cd>

Presence: [1..1]

Definition: Event type expressed as a code.

Datatype: <u>CorporateActionEventType32Code on page 1295</u>

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

CodeName	Name	Definition
		formal court ruling. Securities may become valueless.
DFLT	BondDefault	Failure by the company to perform obligations defined as default events under the bond agreement and that have not been remedied.
BONU	BonusIssue	Bonus or capitalisation issue. Security holders receive additional assets free of payment from the issuer, in proportion to their holding.
EXRI	CallOnIntermediateSecurities	Call or exercise on nil paid securities or intermediate securities resulting from an intermediate securities distribution (RHDI). This code is used for the second event, when an intermediate securities' issue (rights/coupons) is composed of two events, the first event being the distribution of intermediate securities.
CAPD	CapitalDistribution	Corporate event pays shareholders an amount in cash issued from the capital account. There is no reduction to the face value of a single share (or the share has no par value). The number of circulating shares remains unchanged.
CAPG	CapitalGainsDistribution	Event is the distribution of profits resulting from the sale of securities. Shareholders of mutual funds, unit trusts, or SICAVs are recipients of capital gains distributions and are often reinvested in additional shares of the fund.
CAPI	Capitalisation	Increase of the current principal of a debt instrument without increasing the nominal value. It normally arises from the incorporation of due but unpaid interest into the principal. This is commonly done by increasing the pool factor value, for example, capitalisation, and negative amortisation.
DRCA	CashDistributionFromNonEligibleSecuritiesSales	Distribution to shareholders of cash resulting from the selling of non-eligible securities, for example, in the frame of a depositary receipt program.
DVCA	CashDividend	Distribution of cash to shareholders, in proportion to their equity holding. Ordinary dividends are recurring and regular. Shareholder must take cash and may be offered a choice of currency.
CHAN	Change	Information regarding a change further described in the corporate action details.
COOP	CompanyOption	Company option may be granted by the company, allowing the holder to take up 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

CodeName	Name	Definition
		years from the date of the grant. Option holders are not members of a company. They are contingent creditors of a company and hence may, in some instances, be entitled to vote on and be bound by a scheme of arrangement between the creditors and the company. As many options have multiple exercise periods a company option will either lapse or carry on to the next expiry date.
CLSA	ClassActionProposedSettlement	Situation where interested parties seek restitution for financial loss. The security holder may be offered the opportunity to join a class action proceeding and would need to respond with an instruction.
CONS	Consent	Procedure that aims to obtain consent of holder to a proposal by the issuer or a third party without convening a meeting. For example, consent to change the terms of a bond.
CONV	Conversion	Conversion of securities (generally convertible bonds or preferred shares) into another form of securities (usually common shares) at a pre-stated price/ratio.
CREV	CreditEvent	Occurrence of credit derivative for which the issuer of one or several underlying securities is unable to fulfill its financial obligations (as defined in terms and conditions).
DECR	DecreaseInValue	Reduction of face value of a single share or the value of fund assets. The number of circulating shares/units remains unchanged. This event may include a cash payout to holders.
DETI	Detachment	Separation of components that comprise a security, for example, usually units comprised of warrants and bond or warrants and equity. Units may be broken up at the request of the security holder or based on market convention.
DSCL	Disclosure	Requirement for holders or beneficial owners to disclose their name, location and holdings of any issue to the issuer.
DVOP	DividendOption	Distribution of a dividend to shareholders with a choice of benefit to receive. Shareholders may choose to receive shares or cash. To be distinguished from DRIP as the company creates new share capital in exchange for the dividend rather than investing the dividend in the market.
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

CodeName	Name	Definition
		market rather than creating new share capital in exchange for the dividend.
DRAW	Drawing	Securities are redeemed in part before the scheduled final maturity date. It is done without any pool factor reduction. The redemption is reflected in a debit of the face amount (FAMT). Drawing is distinct from partial call since drawn bonds are chosen by lottery. Therefore, not every holder is affected in the same way.
DTCH	DutchAuction	Action by a party wishing to acquire a security. Holders of the security are invited to make an offer to sell, within a specific price range. The acquiring party will buy from the holder with lowest offer.
EXOF	Exchange	Exchange of holdings for other securities and/or cash. The exchange can be either mandatory or voluntary involving the exchange of outstanding securities for different securities and/or cash. For example "exchange offer", "capital reorganisation" or "funds separation".
REDM	FinalMaturity	Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, at final maturity.
MCAL	FullCall	Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, before final maturity.
INCR	IncreaseInValue	Increase in the face value of a single security. The number of circulating securities remains unchanged.
PPMT	InstalmentCall	Instalment towards the purchase of equity capital, subject to an agreement between an issuer and a purchaser.
INTR	InterestPayment	Interest payment distributed to holders of an interest bearing asset.
RHDI	IntermediateSecuritiesDistribution	Distribution of intermediate securities that gives the holder the right to take part in a future event.
LIQU	LiquidationDividend	Distribution of cash, assets or both. Debt may be paid in order of priority based on preferred claims to assets specified by the security.
EXTM	MaturityExtension	As stipulated in the security's Terms and Conditions, the issuer or the holder may 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.

CodeName	Name	Definition
MRGR	Merger	Exchange of outstanding securities, initiated by the issuer which may include options, as the result of two or more companies combining assets, that is, an external, third party company. Cash payments may accompany share exchange.
NOOF	NonOfficialOffer	Offers that are not supervised or regulated by an official entity and being offered by a party, for example a broker, usually at a discount price, for example broker offer, mini-tender, mini odd lot offer or third party offer.
CERT	NonUSTEFRADCertification	Non-US beneficial owner certification requirement for exchange of temporary to permanent notes.
ODLT	OddLotSalePurchase	Sale or purchase of odd-lots to/from the issuing company, initiated either by the holder of the security or through an offer made by the issuer.
OTHR	OtherEvent	Other event, use only when no other event type applies, for example, a new event type.
PARI	PariPassu	Occurs when securities with different characteristics, for example, shares with different entitlements to dividend or voting rights, become identical in all respects, for example, pari-passu or assimilation. May be scheduled in advance, for example, shares resulting from a bonus may become fungible after a pre-set period of time, or may result from outside events, for example, merger, reorganisation, issue of supplementary tranches.
PCAL	PartialRedemptionWithoutPoolFactorReduction	Securities are redeemed in part before their scheduled final maturity date. It is done without any pool factor reduction. The redemption is reflected in a debit of the face amount (FAMT).
PRED	PartialRedemptionWithPoolFactorReduction	Securities are redeemed in part before their scheduled final maturity date. The redemption is reflected in a pool factor reduction. No movement of securities occurs.
PINK	PayInKind	Interest payment, in any kind except cash, distributed to holders of an interest bearing asset.
PLAC	PlaceOfIncorporation	Changes in the state of incorporation for US companies and changes in the place of incorporation for foreign companies. Where shares need to be registered 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

CodeName	Name	Definition
		of an issue and the indenture states that the securities could be called earlier than the stated maturity.
PRIO	PriorityIssue	Form of open or public offer where, due to a limited amount of securities available, priority is given to existing shareholders.
BPUT	PutRedemption	Early redemption of a security at the election of the holder subject to the terms and condition of the issue with no reduction in nominal value.
REDO	Redenomination	Event by which the unit (currency and/or nominal) of a security is restated, for example, nominal/par value of security in a national currency is restated in another currency.
REMK	RemarketingAgreement	Purchase and sale of remarketed preferred equities/bonds through the negotiation of interest rate between the issuers and the holders.
BIDS	RepurchaseOffer	Repurchase offer / issuer bid / reverse rights. Offer to existing holders by the issuing company to repurchase its own securities. The objective of the offer is to reduce the number of outstanding securities.
SPLR	ReverseStockSplit	Decrease in a company's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are increased accordingly.
RHTS	RightsIssue	Offer to holders of a security to subscribe for additional securities via the distribution of an intermediate security. Both processes are included in the same event.
DVSC	ScripDividend	Dividend or interest paid in the form of scrip.
SHPR	SharesPremiumDividend	Corporate event pays shareholders an amount in cash issued from the shares premium reserve. It is similar to a dividend but with different tax implications.
SMAL	SmallestNegotiableUnit	Modification of the smallest negotiable unit of shares in order to obtain a new negotiable unit.
SOFF	SpinOff	Distribution of securities issued by another company. The distributed securities may either be of a newly created or of an existing company. For example, spin-off, demerger, unbundling, divestment.

CodeName	Name	Definition
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.
TNDP	TaxOnNonDistributedProceeds	Taxable component on non-distributed proceeds, for example, Australian deemed income or US 871m income regulation.

16.1.15.27.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Event type expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see <u>GenericIdentification30 on page 965</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

16.1.15.28 CorporateActionEventType84Choice

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		1055
Or}	Proprietary *<Prtry>*	[1..1]	±		1061

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.

16.1.15.28.1 Code <Cd>

Presence: [1..1]

Definition: Event type expressed as a code.

Datatype: <u>CorporateActionEventType31Code on page 1289</u>

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

CodeName	Name	Definition
		formal court ruling. Securities may become valueless.
DFLT	BondDefault	Failure by the company to perform obligations defined as default events under the bond agreement and that have not been remedied.
BONU	BonusIssue	Bonus or capitalisation issue. Security holders receive additional assets free of payment from the issuer, in proportion to their holding.
EXRI	CallOnIntermediateSecurities	Call or exercise on nil paid securities or intermediate securities resulting from an intermediate securities distribution (RHDI). This code is used for the second event, when an intermediate securities' issue (rights/coupons) is composed of two events, the first event being the distribution of intermediate securities.
CAPD	CapitalDistribution	Corporate event pays shareholders an amount in cash issued from the capital account. There is no reduction to the face value of a single share (or the share has no par value). The number of circulating shares remains unchanged.
CAPG	CapitalGainsDistribution	Event is the distribution of profits resulting from the sale of securities. Shareholders of mutual funds, unit trusts, or SICAVs are recipients of capital gains distributions and are often reinvested in additional shares of the fund.
CAPI	Capitalisation	Increase of the current principal of a debt instrument without increasing the nominal value. It normally arises from the incorporation of due but unpaid interest into the principal. This is commonly done by increasing the pool factor value, for example, capitalisation, and negative amortisation.
DRCA	CashDistributionFromNonEligibleSecuritiesSales	Distribution to shareholders of cash resulting from the selling of non-eligible securities, for example, in the frame of a depositary receipt program.
DVCA	CashDividend	Distribution of cash to shareholders, in proportion to their equity holding. Ordinary dividends are recurring and regular. Shareholder must take cash and may be offered a choice of currency.
CHAN	Change	Information regarding a change further described in the corporate action details.
COOP	CompanyOption	Company option may be granted by the company, allowing the holder to take up 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

CodeName	Name	Definition
		years from the date of the grant. Option holders are not members of a company. They are contingent creditors of a company and hence may, in some instances, be entitled to vote on and be bound by a scheme of arrangement between the creditors and the company. As many options have multiple exercise periods a company option will either lapse or carry on to the next expiry date.
CLSA	ClassActionProposedSettlement	Situation where interested parties seek restitution for financial loss. The security holder may be offered the opportunity to join a class action proceeding and would need to respond with an instruction.
CONS	Consent	Procedure that aims to obtain consent of holder to a proposal by the issuer or a third party without convening a meeting. For example, consent to change the terms of a bond.
CONV	Conversion	Conversion of securities (generally convertible bonds or preferred shares) into another form of securities (usually common shares) at a pre-stated price/ratio.
CREV	CreditEvent	Occurrence of credit derivative for which the issuer of one or several underlying securities is unable to fulfill its financial obligations (as defined in terms and conditions).
DECR	DecreaseInValue	Reduction of face value of a single share or the value of fund assets. The number of circulating shares/units remains unchanged. This event may include a cash payout to holders.
DETI	Detachment	Separation of components that comprise a security, for example, usually units comprised of warrants and bond or warrants and equity. Units may be broken up at the request of the security holder or based on market convention.
DSCL	Disclosure	Requirement for holders or beneficial owners to disclose their name, location and holdings of any issue to the issuer.
DVOP	DividendOption	Distribution of a dividend to shareholders with a choice of benefit to receive. Shareholders may choose to receive shares or cash. To be distinguished from DRIP as the company creates new share capital in exchange for the dividend rather than investing the dividend in the market.
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

CodeName	Name	Definition
		market rather than creating new share capital in exchange for the dividend.
DRAW	Drawing	Securities are redeemed in part before the scheduled final maturity date. It is done without any pool factor reduction. The redemption is reflected in a debit of the face amount (FAMT). Drawing is distinct from partial call since drawn bonds are chosen by lottery. Therefore, not every holder is affected in the same way.
DTCH	DutchAuction	Action by a party wishing to acquire a security. Holders of the security are invited to make an offer to sell, within a specific price range. The acquiring party will buy from the holder with lowest offer.
EXOF	Exchange	Exchange of holdings for other securities and/or cash. The exchange can be either mandatory or voluntary involving the exchange of outstanding securities for different securities and/or cash. For example "exchange offer", "capital reorganisation" or "funds separation".
REDM	FinalMaturity	Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, at final maturity.
MCAL	FullCall	Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, before final maturity.
INCR	IncreaseInValue	Increase in the face value of a single security. The number of circulating securities remains unchanged.
PPMT	InstalmentCall	Instalment towards the purchase of equity capital, subject to an agreement between an issuer and a purchaser.
INTR	InterestPayment	Interest payment distributed to holders of an interest bearing asset.
RHDI	IntermediateSecuritiesDistribution	Distribution of intermediate securities that gives the holder the right to take part in a future event.
LIQU	LiquidationDividend	Distribution of cash, assets or both. Debt may be paid in order of priority based on preferred claims to assets specified by the security.
EXTM	MaturityExtension	As stipulated in the security's Terms and Conditions, the issuer or the holder may 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.

CodeName	Name	Definition
MRGR	Merger	Exchange of outstanding securities, initiated by the issuer which may include options, as the result of two or more companies combining assets, that is, an external, third party company. Cash payments may accompany share exchange.
NOOF	NonOfficialOffer	Offers that are not supervised or regulated by an official entity and being offered by a party, for example a broker, usually at a discount price, for example broker offer, mini-tender, mini odd lot offer or third party offer.
CERT	NonUSTEFRADCertification	Non-US beneficial owner certification requirement for exchange of temporary to permanent notes.
ODLT	OddLotSalePurchase	Sale or purchase of odd-lots to/from the issuing company, initiated either by the holder of the security or through an offer made by the issuer.
OTHR	OtherEvent	Other event, use only when no other event type applies, for example, a new event type.
PARI	PariPassu	Occurs when securities with different characteristics, for example, shares with different entitlements to dividend or voting rights, become identical in all respects, for example, pari-passu or assimilation. May be scheduled in advance, for example, shares resulting from a bonus may become fungible after a pre-set period of time, or may result from outside events, for example, merger, reorganisation, issue of supplementary tranches.
PCAL	PartialRedemptionWithoutPoolFactorReduction	Securities are redeemed in part before their scheduled final maturity date. It is done without any pool factor reduction. The redemption is reflected in a debit of the face amount (FAMT).
PRED	PartialRedemptionWithPoolFactorReduction	Securities are redeemed in part before their scheduled final maturity date. The redemption is reflected in a pool factor reduction. No movement of securities occurs.
PINK	PayInKind	Interest payment, in any kind except cash, distributed to holders of an interest bearing asset.
PLAC	PlaceOfIncorporation	Changes in the state of incorporation for US companies and changes in the place of incorporation for foreign companies. Where shares need to be registered 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

CodeName	Name	Definition
		of an issue and the indenture states that the securities could be called earlier than the stated maturity.
PRIO	PriorityIssue	Form of open or public offer where, due to a limited amount of securities available, priority is given to existing shareholders.
BPUT	PutRedemption	Early redemption of a security at the election of the holder subject to the terms and condition of the issue with no reduction in nominal value.
REDO	Redenomination	Event by which the unit (currency and/or nominal) of a security is restated, for example, nominal/par value of security in a national currency is restated in another currency.
REMK	RemarketingAgreement	Purchase and sale of remarketed preferred equities/bonds through the negotiation of interest rate between the issuers and the holders.
BIDS	RepurchaseOffer	Repurchase offer / issuer bid / reverse rights. Offer to existing holders by the issuing company to repurchase its own securities. The objective of the offer is to reduce the number of outstanding securities.
SPLR	ReverseStockSplit	Decrease in a company's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are increased accordingly.
RHTS	RightsIssue	Offer to holders of a security to subscribe for additional securities via the distribution of an intermediate security. Both processes are included in the same event.
DVSC	ScripDividend	Dividend or interest paid in the form of scrip.
SHPR	SharesPremiumDividend	Corporate event pays shareholders an amount in cash issued from the shares premium reserve. It is similar to a dividend but with different tax implications.
SMAL	SmallestNegotiableUnit	Modification of the smallest negotiable unit of shares in order to obtain a new negotiable unit.
SOFF	SpinOff	Distribution of securities issued by another company. The distributed securities may either be of a newly created or of an existing company. For example, spin-off, demerger, unbundling, divestment.

CodeName	Name	Definition
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.
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.

16.1.15.28.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Event type expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		965
	Issuer <Issr>	[1..1]	Text		965
	SchemeName <SchmeNm>	[0..1]	Text		965

16.1.15.29 OptionFeaturesFormat25Choice

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		1062
Or}	Proprietary <Prtry>	[1..1]	±		1062

16.1.15.29.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the features that may apply to a corporate action option.

Datatype: OptionFeatures12Code on page 1337

CodeName	Name	Definition
OPLF	OddLotPreference	Tender or exchange with the odd lot preference.

16.1.15.29.2 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 GenericIdentification30 on page 965 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		965
	Issuer <Issr>	[1..1]	Text		965
	SchemeName <SchmeNm>	[0..1]	Text		965

16.1.15.30 SafekeepingPlaceFormat29Choice

Definition: Choice between formats for the place of safekeeping.

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Identification <*Id*>	[1..1]			1063
	SafekeepingPlaceType <*SfkpgPlcTp*>	[1..1]	CodeSet		1063
	Identification <*Id*>	[0..1]	Text		1063
Or	Country <*Ctry*>	[1..1]	CodeSet	C3	1063
Or	TypeAndIdentification <*TpAndId*>	[1..1]			1064
	SafekeepingPlaceType <*SfkpgPlcTp*>	[1..1]	CodeSet		1064
	Identification <*Id*>	[1..1]	IdentifierSet	C1	1064
Or}	Proprietary <*Prtry*>	[1..1]	±		1065

16.1.15.30.1 Identification <Id>

Presence: [1..1]

Definition: Place of safekeeping expressed as a code and a narrative description.

Identification <Id> contains the following **SafekeepingPlaceTypeAndText8** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	SafekeepingPlaceType <*SfkpgPlcTp*>	[1..1]	CodeSet		1063
	Identification <*Id*>	[0..1]	Text		1063

16.1.15.30.1.1 SafekeepingPlaceType <SfkpgPlcTp>

Presence: [1..1]

Definition: Place of safekeeping as a code.

Datatype: SafekeepingPlace3Code on page 1350

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.

16.1.15.30.1.2 Identification <Id>

Presence: [0..1]

Definition: Additional information about the place of safekeeping.

Datatype: Max35Text on page 1359

16.1.15.30.2 Country <Ctry>

Presence: [1..1]

Definition: Place of safekeeping expressed with a country code.

Impacted by: C3 Country

Datatype: CountryCode on page 1318

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.

16.1.15.30.3 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		1064
	Identification *<Id>*	[1..1]	IdentifierSet	C1	1064

16.1.15.30.3.1 SafekeepingPlaceType <SfkpgPlcTp>

Presence: [1..1]

Definition: Place of safekeeping as a code.

Datatype: SafekeepingPlace1Code on page 1349

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.

16.1.15.30.3.2 Identification <Id>

Presence: [1..1]

Definition: Place of safekeeping.

Impacted by: C1 AnyBIC

Datatype: AnyBICDec2014Identifier on page 1352

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.

16.1.15.30.4 Proprietary <Prtry>

Presence: [1..1]

Definition: Place of safekeeping expressed with a propriety identification scheme.

Proprietary <Prtry> contains the following elements (see GenericIdentification78 on page 961 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Type *<Tp>*	[1..1]	±		961
	Identification *<Id>*	[0..1]	Text		962

16.1.15.31 OptionFeaturesFormat24Choice

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		1065
Or}	Proprietary *<Prtry>*	[1..1]	±		1066

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: OptionFeatures11Code on page 1336

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.

CodeName	Name	Definition
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).

16.1.15.31.2 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 GenericIdentification30 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

16.1.15.32 EventSequenceTypeFormat1Choice

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		1067
Or}	Proprietary <Prtry>	[1..1]	±		1067

16.1.15.32.1 Code <Cd>

Presence: [1..1]

Definition: Type of an event sequence, in a coded format.

Datatype: EventSequenceType1Code on page 1322

CodeName	Name	Definition
FINL	Final	Final event in a series of successive events.
INTE	Interim	Interim event in a series of successive events.

16.1.15.32.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of an event sequence, in a proprietary format.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		965
	Issuer <Issr>	[1..1]	Text		965
	SchemeName <SchmeNm>	[0..1]	Text		965

16.1.15.33 AdditionalBusinessProcessFormat15Choice

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		1067
Or}	Proprietary <Prtry>	[1..1]	±		1068

16.1.15.33.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the additional business process linked to a corporate action event.

Datatype: AdditionalBusinessProcess8Code on page 1274

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.

16.1.15.33.2 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 GenericIdentification30 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

16.1.15.34 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		1069
	LastPageIndicator <*LastPgInd*>	[1..1]	Indicator		1069

16.1.15.34.1 PageNumber <PgNb>

Presence: [1..1]

Definition: Page number.

Datatype: <u>Max5NumericText on page 1360</u>

16.1.15.34.2 LastPageIndicator <LastPgInd>

Presence: [1..1]

Definition: Indicates the last page.

Datatype: One of the following values must be used (see <u>YesNoIndicator on page 1355</u>):

- *Meaning When True:* Yes

- *Meaning When False:* No

16.1.15.35 TaxVoucher4

Definition: Specifies tax vouchers in the framework of a corporate action event.

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		1069
	BargainDate *<BrgnDt>*	[0..1]	±		1069
	BargainSettlementDate *<BrgnSttlmDt>*	[0..1]	±		1069

16.1.15.35.1 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: <u>Max35Text on page 1359</u>

16.1.15.35.2 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 <u>DateAndDateTime2Choice on page 933</u> for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Date *<Dt>*	[1..1]	Date		933
Or}	DateTime *<DtTm>*	[1..1]	DateTime		933

16.1.15.35.3 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 933 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		933
Or}	DateTime <DtTm>	[1..1]	DateTime		933

16.1.15.36 NotificationIdentification5

Definition: Provides information about the identification and the creation date of a notification.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		1070
	CreationDateTime <CreDtTm>	[0..1]	±		1070

16.1.15.36.1 Identification <Id>

Presence: [1..1]

Definition: Unique identifier of the last notification document (message) assigned by the sender of the document.

Datatype: Max35Text on page 1359

16.1.15.36.2 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 DateAndDateTime2Choice on page 933 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		933
Or}	DateTime <DtTm>	[1..1]	DateTime		933

16.1.15.37 ProcessingPosition7Choice

Definition: Choice of format for the processing position.

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

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.

16.1.15.37.1 Code <Cd>

Presence: [1..1]

Definition: Processing position expressed as an ISO 20022 code.

Datatype: ProcessingPosition3Code on page 1342

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.

16.1.15.37.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Processing position expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		965
	Issuer <Issr>	[1..1]	Text		965
	SchemeName <SchmeNm>	[0..1]	Text		965

16.1.15.38 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		1072
Or}	Proprietary <Prtry>	[1..1]	±		1072

16.1.15.38.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify information regarding the issuer / offeror taxability status.

Datatype: IssuerTaxability2Code on page 1331

CodeName	Name	Definition
TXBL	Taxable	The relevant proceeds are taxable.

16.1.15.38.2 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 966 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		966
	Issuer *<Issr>*	[1..1]	Text		966
	SchemeName *<SchmeNm>*	[0..1]	Text		967

16.1.15.39 UpdateType15Choice

Definition: Choice of format for the update information.

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1072
Or}	Proprietary *<Prtry>*	[1..1]	±		1072

16.1.15.39.1 Code <Cd>

Presence: [1..1]

Definition: Indicates whether the report is complete or contains changes only.

Datatype: StatementUpdateType1Code on page 1350

CodeName	Name	Definition
COMP	Complete	Statement is complete.
DELT	Delta	Statement contains changes only.

16.1.15.39.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Indicates whether the report is complete or contains changes only.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		965
	Issuer <Issr>	[1..1]	Text		965
	SchemeName <SchmeNm>	[0..1]	Text		965

16.1.15.40 CorporateActionNarrative3Choice

Definition: Choice between a standard code or a proprietary code to specify the narrative type of corporate action.

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

16.1.15.40.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the narrative type of the message.

Datatype: CorporateActionNarrative1Code on page 1309

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.

16.1.15.40.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the narrative type of the message.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

16.1.15.41 ForeignExchangeTerms23

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	1074
	QuotedCurrency *<QtdCcy>*	[1..1]	CodeSet	C1	1074
	ExchangeRate *<XchgRate>*	[1..1]	Rate		1075
	ResultingAmount *<RsltgAmt>*	[1..1]	Amount	C1, C11	1075

16.1.15.41.1 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 1270

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

16.1.15.41.2 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 1270

Constraints

• **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet 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 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 1356

16.1.15.41.4 ResultingAmount <RsltgAmt>

Presence: [1..1]

Definition: Counter value of a foreign exchange conversion.

Impacted by: C1 ActiveCurrency   ,   C11 CurrencyAmount

Datatype: ActiveCurrencyAndAmount on page 1269

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: The decimal separator is a dot.

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00007

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

16.1.15.42 FractionDispositionType27Choice

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		1076
Or}	Proprietary *<Prtry>*	[1..1]	±		1076

16.1.15.42.1 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 1324

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.

16.1.15.42.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of fraction disposition.

Proprietary <Prtry> contains the following elements (see <u>GenericIdentification30 on page 965</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

16.1.15.43 OptionFeaturesFormat18Choice

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		1077
Or}	Proprietary *<Prtry>*	[1..1]	±		1077

16.1.15.43.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the features that may apply to a corporate action option.

Datatype: <u>OptionFeatures6Code on page 1337</u>

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.

16.1.15.43.2 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 GenericIdentification30 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

16.1.15.44 AdditionalBusinessProcessFormat11Choice

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		1078
Or}	Proprietary <*Prtry*>	[1..1]	±		1079

16.1.15.44.1 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 1273

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).

CodeName	Name	Definition
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.
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.

16.1.15.44.2 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 GenericIdentification30 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

16.1.15.45 CorporateActionEventStageFormat14Choice

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		1080
Or}	Proprietary <*Prtry*>	[1..1]	±		1080

16.1.15.45.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the stage of the corporate action event.

Datatype: CorporateActionEventStage4Code on page 1283

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.

16.1.15.45.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the stage of the corporate action event.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

16.1.15.46 CorporateActionChangeTypeFormat6Choice

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		1080
Or}	Proprietary <*Prtry*>	[1..1]	±		1081

16.1.15.46.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the type of changes.

Datatype: CorporateActionChangeType2Code on page 1281

CodeName	Name	Definition
BERE	BearToRegistered	Change from bearer into registered form.

CodeName	Name	Definition
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.

16.1.15.46.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of changes.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		965
	Issuer <Issr>	[1..1]	Text		965
	SchemeName <SchmeNm>	[0..1]	Text		965

16.1.15.47 FractionDispositionType28Choice

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		1081
Or}	Proprietary <Prtry>	[1..1]	±		1082

16.1.15.47.1 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 1324

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.

16.1.15.47.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of fraction disposition.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

16.1.15.48 BeneficiaryCertificationType10Choice

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		1082
Or}	Proprietary *<Prtry>*	[1..1]	±		1083

16.1.15.48.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the type of certification required.

Datatype: BeneficiaryCertificationType5Code on page 1278

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.

16.1.15.48.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of certification required.

Proprietary <Prtry> contains the following elements (see <u>GenericIdentification30 on page 965</u> for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		965
	Issuer <Issr>	[1..1]	Text		965
	SchemeName <SchmeNm>	[0..1]	Text		965

16.1.15.49 CorporateActionProcessingStatus5Choice

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]			1083
	EventCompletenessStatus <EvtCmpltnsSts>	[1..1]	CodeSet		1083
	EventConfirmationStatus <EvtConfSts>	[1..1]	CodeSet		1084
Or}	Proprietary <Prtry>	[1..1]	±		1084

16.1.15.49.1 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		1083
	EventConfirmationStatus <EvtConfSts>	[1..1]	CodeSet		1084

16.1.15.49.1.1 EventCompletenessStatus <EvtCmpltnsSts>

Presence: [1..1]

Definition: Indicates whether the details provided about an event are complete or incomplete.

Datatype: <u>EventCompletenessStatus1Code on page 1322</u>

CodeName	Name	Definition
COMP	Complete	Event details are complete.
INCO	Incomplete	Event details are not complete.

16.1.15.49.1.2 EventConfirmationStatus <EvtConfSts>

Presence: [1..1]

Definition: Indicates the status of the occurrence of an event.

Datatype: EventConfirmationStatus1Code on page 1322

CodeName	Name	Definition
CONF	Confirmed	Occurrence of the event has been confirmed.
UCON	Unconfirmed	Occurrence of the event has not been confirmed.

16.1.15.49.2 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 GenericIdentification30 on page 965 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		965
	Issuer <Issr>	[1..1]	Text		965
	SchemeName <SchmeNm>	[0..1]	Text		965

16.1.15.50 UpdatedAdditionalInformation8

Definition: Additional information with update description and date.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UpdateDescription <UpdDesc>	[0..1]	Text		1085
	UpdateDate <UpdDt>	[0..1]	Date		1085
	AdditionalInformation <AddtlInf>	[1..*]	Text		1085

Constraints

- **AdditionalInformationRule**

  (Rule)

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

16.1.15.50.1 UpdateDescription <UpdDesc>

Presence: [0..1]

Definition: Specifies the amendments made to the narrative since the last message.

Datatype: Max140Text on page 1357

16.1.15.50.2 UpdateDate <UpdDt>

Presence: [0..1]

Definition: Specifies the date at which the narrative has been updated.

Datatype: ISODate on page 1352

16.1.15.50.3 AdditionalInformation <AddtlInf>

Presence: [1..*]

Definition: Provides additional textual information.

Datatype: Max8000Text on page 1361

16.1.15.51 SolicitationFeeRateFormat7Choice

Definition: Choice between a rate or an unspecified rate.

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Rate <*Rate*>	[1..1]	Rate		1085
Or	AmountToQuantity <*AmtToQty*>	[1..1]			1085
	Amount <*Amt*>	[1..1]	Amount	C1	1086
	Quantity <*Qty*>	[1..1]	Quantity		1086
Or	Amount <*Amt*>	[1..1]	Amount	C1	1086
Or}	NotSpecifiedRate <*NotSpcfdRate*>	[1..1]	CodeSet		1087

16.1.15.51.1 Rate <Rate>

Presence: [1..1]

Definition: Value is expressed as a rate.

Datatype: PercentageRate on page 1356

16.1.15.51.2 AmountToQuantity <AmtToQty>

Presence: [1..1]

Definition: Ratio expressed as an amount to quantity ratio.

AmountToQuantity **<AmtToQty>** contains the following **AmountAndQuantityRatio4** elements

Or	MessageElement**<XML Tag>**	Mult.	Type	Constr. No.	Page
	Amount *<Amt>*	[1..1]	Amount	C1	1086
	Quantity *<Qty>*	[1..1]	Quantity		1086

16.1.15.51.2.1 Amount <Amt>

Presence: [1..1]

Definition: Cash amount.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

    – *Error severity:* Fatal

    – *Error Code:* D00005

    – *Error Text:* Invalid currency code

16.1.15.51.2.2 Quantity <Qty>

Presence: [1..1]

Definition: Quantity expressed as number.

Datatype: DecimalNumber on page 1355

16.1.15.51.3 Amount <Amt>

Presence: [1..1]

Definition: Cash amount.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

- **ActiveCurrency**

  (Rule)

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

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

16.1.15.51.4 NotSpecifiedRate <NotSpcfdRate>

Presence: [1..1]

Definition: Value of the rate not specified.

Datatype: RateValueType7Code on page 1344

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

16.1.15.52 RatioFormat18Choice

Definition: Choice of format to express a ratio.

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	QuantityToQuantity <*QtyToQty*>	[1..1]	±		1087
Or	NotSpecifiedRate <*NotSpcfdRate*>	[1..1]	CodeSet		1088
Or	AmountToAmount <*AmtToAmt*>	[1..1]			1088
	Amount1 <*Amt1*>	[1..1]	Amount	C1	1088
	Amount2 <*Amt2*>	[1..1]	Amount	C1	1089
Or	AmountToQuantity <*AmtToQty*>	[1..1]			1089
	Amount <*Amt*>	[1..1]	Amount	C1	1089
	Quantity <*Qty*>	[1..1]	Quantity		1090
Or}	QuantityToAmount <*QtyToAmt*>	[1..1]			1090
	Amount <*Amt*>	[1..1]	Amount	C1	1090
	Quantity <*Qty*>	[1..1]	Quantity		1091

16.1.15.52.1 QuantityToQuantity <QtyToQty>

Presence: [1..1]

Definition: Ratio expressed as a quotient of quantities.

QuantityToQuantity <QtyToQty> contains the following elements (see <u>QuantityToQuantityRatio1 on page 955</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Quantity1 *<Qty1>*	[1..1]	Quantity		955
	Quantity2 *<Qty2>*	[1..1]	Quantity		955

16.1.15.52.2 NotSpecifiedRate <NotSpcfdRate>

Presence: [1..1]

Definition: Value of the ratio not specified.

Datatype: <u>RateValueType7Code on page 1344</u>

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

16.1.15.52.3 AmountToAmount <AmtToAmt>

Presence: [1..1]

Definition: Ratio expressed as a quotient of amounts.

AmountToAmount <AmtToAmt> contains the following **AmountToAmountRatio2** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Amount1 *<Amt1>*	[1..1]	Amount	C1	1088
	Amount2 *<Amt2>*	[1..1]	Amount	C1	1089

16.1.15.52.3.1 Amount1 <Amt1>

Presence: [1..1]

Definition: Numerator of the quotient of amounts.

Impacted by: C1 ActiveCurrency

Datatype: <u>ActiveCurrencyAnd13DecimalAmount on page 1268</u>

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

– *Error Text:* Invalid currency code

16.1.15.52.3.2 Amount2 <Amt2>

Presence: [1..1]

Definition: Denominator of the quotient of amounts.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

• **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

16.1.15.52.4 AmountToQuantity <AmtToQty>

Presence: [1..1]

Definition: Ratio expressed as an amount to quantity ratio.

AmountToQuantity <AmtToQty> contains the following **AmountAndQuantityRatio4** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Amount *<Amt>*	[1..1]	Amount	C1	1089
	Quantity *<Qty>*	[1..1]	Quantity		1090

16.1.15.52.4.1 Amount <Amt>

Presence: [1..1]

Definition: Cash amount.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

• **ActiveCurrency**

  (Rule)

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

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

16.1.15.52.4.2 Quantity <Qty>

Presence: [1..1]

Definition: Quantity expressed as number.

Datatype: DecimalNumber on page 1355

16.1.15.52.5 QuantityToAmount <QtyToAmt>

Presence: [1..1]

Definition: Ratio expressed as a quantity to amount ratio.

QuantityToAmount <QtyToAmt> contains the following **AmountAndQuantityRatio4** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Amount <*Amt*>	[1..1]	Amount	C1	1090
	Quantity <*Qty*>	[1..1]	Quantity		1091

16.1.15.52.5.1 Amount <Amt>

Presence: [1..1]

Definition: Cash amount.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

16.1.15.52.5.2 Quantity <Qty>

Presence: [1..1]

Definition: Quantity expressed as number.

Datatype: DecimalNumber on page 1355

16.1.15.53 RatioFormat17Choice

Definition: Choice of format to express a ratio.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	QuantityToQuantity <QtyToQty>	[1..1]	±		1091
Or	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1091
Or}	AmountToAmount <AmtToAmt>	[1..1]			1091
	Amount1 <Amt1>	[1..1]	Amount	C1	1092
	Amount2 <Amt2>	[1..1]	Amount	C1	1092

16.1.15.53.1 QuantityToQuantity <QtyToQty>

Presence: [1..1]

Definition: Ratio expressed as a quotient of quantities.

QuantityToQuantity <QtyToQty> contains the following elements (see QuantityToQuantityRatio1 on page 955 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Quantity1 <Qty1>	[1..1]	Quantity		955
	Quantity2 <Qty2>	[1..1]	Quantity		955

16.1.15.53.2 NotSpecifiedRate <NotSpcfdRate>

Presence: [1..1]

Definition: Value of the ratio not specified.

Datatype: RateValueType7Code on page 1344

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

16.1.15.53.3 AmountToAmount <AmtToAmt>

Presence: [1..1]

Definition: Ratio expressed as a quotient of amounts.

AmountToAmount **<AmtToAmt>** contains the following **AmountToAmountRatio2** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Amount1 *<Amt1>*	[1..1]	Amount	C1	1092
	Amount2 *<Amt2>*	[1..1]	Amount	C1	1092

16.1.15.53.3.1 Amount1 <Amt1>

Presence: [1..1]

Definition: Numerator of the quotient of amounts.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

- **ActiveCurrency**

   (Rule)

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

   Error handling:

   – *Error severity:* Fatal

   – *Error Code:* D00005

   – *Error Text:* Invalid currency code

16.1.15.53.3.2 Amount2 <Amt2>

Presence: [1..1]

Definition: Denominator of the quotient of amounts.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

- **ActiveCurrency**

   (Rule)

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

   Error handling:

   – *Error severity:* Fatal

   – *Error Code:* D00005

– *Error Text:* Invalid currency code

16.1.15.54 NonEligibleProceedsIndicator3Choice

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		1093
Or}	Proprietary *<Prtry>*	[1..1]	±		1093

16.1.15.54.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify information regarding the non eligibility of the outturn resources.

Datatype: NonEligibleProceedsIndicator1Code on page 1335

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.

16.1.15.54.2 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 GenericIdentification30 on page 965 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

16.1.15.55 TemporaryFinancialInstrumentIndicator3Choice

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 *<TempInd>*	[1..1]	Indicator		1094
Or}	Proprietary *<Prtry>*	[1..1]	±		1094

16.1.15.55.1 TemporaryIndicator <TempInd>

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 1355):

- *Meaning When True:* Yes

- *Meaning When False:* No

16.1.15.55.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary code to specify whether the security is a temporary security.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

16.1.15.56 RateTypeAndAmountAndStatus26

Definition: Specifies the value expressed as a rate and an amount.

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	RateType *<RateTp>*	[1..1]			1094
{Or	Code *<Cd>*	[1..1]	CodeSet		1095
Or}	Proprietary *<Prtry>*	[1..1]	±		1095
	Amount *<Amt>*	[1..1]	Amount	C1	1095
	RateStatus *<RateSts>*	[0..1]		C61	1096
{Or	Code *<Cd>*	[1..1]	CodeSet		1096
Or}	Proprietary *<Prtry>*	[1..1]	±		1096

16.1.15.56.1 RateType <RateTp>

Presence: [1..1]

Definition: Value expressed as a rate type.

RateType <RateTp> contains one of the following **RateType36Choice** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Code <*Cd*>	[1..1]	CodeSet		1095
Or}	Proprietary <*Prtry*>	[1..1]	±		1095

16.1.15.56.1.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the type of tax rate.

Datatype: DividendRateType1Code on page 1321

CodeName	Name	Definition
TXBL	TaxablePortion	Rate relating to the underlying security for which tax is charged.

16.1.15.56.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of tax rate.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

16.1.15.56.2 Amount <Amt>

Presence: [1..1]

Definition: Value expressed as an amount.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

- **ActiveCurrency**

  (Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

16.1.15.56.3 RateStatus <RateSts>

Presence: [0..1]

Definition: Value expressed as a rate status.

Impacted by: C61 RateStatusGuideline

RateStatus <RateSts> contains one of the following **RateStatus3Choice** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1096
Or}	Proprietary *<Prtry>*	[1..1]	±		1096

Constraints

* **RateStatusGuideline**

   (Guideline)

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

16.1.15.56.3.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the status of the rate.

Datatype: RateStatus1Code on page 1344

CodeName	Name	Definition
ACTU	ActualRate	Rate is actual.
INDI	IndicativeRate	Rate is indicative.

16.1.15.56.3.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the status of the rate.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

16.1.15.57 RateAndAmountFormat41Choice

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		1097
Or	NotSpecifiedRate <*NotSpcfdRate*>	[1..1]	CodeSet		1097
Or	Amount <*Amt*>	[1..1]	Amount	C1	1097
Or}	RateTypeAndRate <*RateTpAndRate*>	[1..1]			1098
	RateType <*RateTp*>	[1..1]			1098
{Or	Code <*Cd*>	[1..1]	CodeSet		1098
Or}	Proprietary <*Prtry*>	[1..1]	±		1099
	Rate <*Rate*>	[1..1]	Rate		1099

16.1.15.57.1 Rate <Rate>

Presence: [1..1]

Definition: Value expressed as a rate.

Datatype: PercentageRate on page 1356

16.1.15.57.2 NotSpecifiedRate <NotSpcfdRate>

Presence: [1..1]

Definition: Value of the rate not specified.

Datatype: RateValueType7Code on page 1344

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

16.1.15.57.3 Amount <Amt>

Presence: [1..1]

Definition: Value is expressed as a currency and amount.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

- **ActiveCurrency**

  (Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

16.1.15.57.4 RateTypeAndRate <RateTpAndRate>

Presence: [1..1]

Definition: Value is expressed as a rate type and a percentage rate.

RateTypeAndRate <RateTpAndRate> contains the following **RateTypeAndPercentageRate8** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	RateType *<RateTp>*	[1..1]			1098
{Or	Code *<Cd>*	[1..1]	CodeSet		1098
Or}	Proprietary *<Prtry>*	[1..1]	±		1099
	Rate *<Rate>*	[1..1]	Rate		1099

16.1.15.57.4.1 RateType <RateTp>

Presence: [1..1]

Definition: Value expressed as a rate type.

RateType <RateTp> contains one of the following **RateType42Choice** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1098
Or}	Proprietary *<Prtry>*	[1..1]	±		1099

16.1.15.57.4.1.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the type of withholding tax rate.

Datatype: WithholdingTaxRateType1Code on page 1351

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).

16.1.15.57.4.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of withholding tax rate.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

16.1.15.57.4.2 Rate <Rate>

Presence: [1..1]

Definition: Value expressed as a rate.

Datatype: PercentageRate on page 1356

16.1.15.58 InterestRateUsedForPaymentFormat8Choice

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		1099
Or	Amount <*Amt*>	[1..1]	Amount	C1	1100
Or	RateTypeAndAmountAndRateStatus <*RateTpAndAmtAndRateSts*>	[1..1]			1100
	RateType <*RateTp*>	[1..1]			1100
{Or	Code <*Cd*>	[1..1]	CodeSet		1101
Or}	Proprietary <*Prtry*>	[1..1]	±		1101
	Amount <*Amt*>	[1..1]	Amount	C1	1101
	RateStatus <*RateSts*>	[0..1]		C61	1102
{Or	Code <*Cd*>	[1..1]	CodeSet		1102
Or}	Proprietary <*Prtry*>	[1..1]	±		1102
Or}	NotSpecifiedRate <*NotSpcfdRate*>	[1..1]	CodeSet		1103

16.1.15.58.1 Rate <Rate>

Presence: [1..1]

Definition: Value is expressed as a rate.

Datatype: PercentageRate on page 1356

16.1.15.58.2 Amount <Amt>

Presence: [1..1]

Definition: Number of monetary units specified in a currency.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

16.1.15.58.3 RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>

Presence: [1..1]

Definition: Specifies different formats for interest rate used for payment.

RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts> contains the following **RateTypeAndAmountAndStatus24** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	RateType *<RateTp>*	[1..1]			1100
{Or	Code *<Cd>*	[1..1]	CodeSet		1101
Or}	Proprietary *<Prtry>*	[1..1]	±		1101
	Amount *<Amt>*	[1..1]	Amount	C1	1101
	RateStatus *<RateSts>*	[0..1]		C61	1102
{Or	Code *<Cd>*	[1..1]	CodeSet		1102
Or}	Proprietary *<Prtry>*	[1..1]	±		1102

16.1.15.58.3.1 RateType <RateTp>

Presence: [1..1]

Definition: Value expressed as a rate type.

RateType <RateTp> contains one of the following **RateType33Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1101
Or}	Proprietary <Prtry>	[1..1]	±		1101

16.1.15.58.3.1.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the type of rate.

Datatype: RateType7Code on page 1344

CodeName	Name	Definition
SCHD	Scheduled	Rate of the scheduled payment.
USCD	Unscheduled	Rate of the unscheduled payment.

16.1.15.58.3.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of rate.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		965
	Issuer <Issr>	[1..1]	Text		965
	SchemeName <SchmeNm>	[0..1]	Text		965

16.1.15.58.3.2 Amount <Amt>

Presence: [1..1]

Definition: Value expressed as an amount.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

- **ActiveCurrency**

  (Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

16.1.15.58.3.3 RateStatus <RateSts>

Presence: [0..1]

Definition: Value expressed as a rate status.

Impacted by: C61 RateStatusGuideline

RateStatus <RateSts> contains one of the following **RateStatus3Choice** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Code <*Cd*>	[1..1]	CodeSet		1102
Or}	Proprietary <*Prtry*>	[1..1]	±		1102

Constraints

- **RateStatusGuideline**

  (Guideline)

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

16.1.15.58.3.3.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the status of the rate.

Datatype: RateStatus1Code on page 1344

CodeName	Name	Definition
ACTU	ActualRate	Rate is actual.
INDI	IndicativeRate	Rate is indicative.

16.1.15.58.3.3.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the status of the rate.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

16.1.15.58.4 NotSpecifiedRate <NotSpcfdRate>

Presence: [1..1]

Definition: Value of the rate not specified.

Datatype: RateType13Code on page 1344

CodeName	Name	Definition
UKWN	Unknown	Rate is unknown by the sender or has not been established.
NILP	NilPayment	Rate will not be paid.

16.1.15.59 BeneficiaryCertificationType9Choice

Definition: Choice between a standard code or proprietary code to specify the type of beneficiary certification required.

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Code <*Cd*>	[1..1]	CodeSet		1103
Or}	Proprietary <*Prtry*>	[1..1]	±		1104

16.1.15.59.1 Code <Cd>

Presence: [1..1]

Definition: Beneficial owner certification type expressed in a coded form.

Datatype: BeneficiaryCertificationType4Code on page 1277

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.

CodeName	Name	Definition
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.

16.1.15.59.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Beneficial owner certification type expressed in a proprietary form.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

16.1.15.60 OptionAvailabilityStatus3Choice

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		1104
Or}	Proprietary <*Prtry*>	[1..1]	±		1105

16.1.15.60.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the status of the option availability.

Datatype: OptionAvailabilityStatus1Code on page 1336

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.

16.1.15.60.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the status of the option availability.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

16.1.15.61 FractionDispositionType26Choice

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		1105
Or}	Proprietary *<Prtry>*	[1..1]	±		1106

16.1.15.61.1 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 1325

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.

16.1.15.61.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of fraction disposition.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		965
	Issuer <Issr>	[1..1]	Text		965
	SchemeName <SchmeNm>	[0..1]	Text		965

16.1.15.62 InformationTypeFormat4Choice

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		1106
Or}	Proprietary <Prtry>	[1..1]	±		1106

16.1.15.62.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the information type required.

Datatype: CorporateActionInformationType1Code on page 1308

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.

16.1.15.62.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the information type.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		965
	Issuer <Issr>	[1..1]	Text		965
	SchemeName <SchmeNm>	[0..1]	Text		965

16.1.15.63 ConsentTypeFormat4Choice

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		1107
Or}	Proprietary *<Prtry>*	[1..1]	±		1107

16.1.15.63.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the consent type required.

Datatype: ConsentType1Code on page 1280

CodeName	Name	Definition
CTRM	ChangeInTerms	Change in the terms and conditions of the bond.
DUPY	DueAndPayable	Change in the due and payable conditions.

16.1.15.63.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the consent type.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

16.1.15.64 CertificationTypeFormat3Choice

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		1107
Or}	Proprietary *<Prtry>*	[1..1]	±		1108

16.1.15.64.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the certification format required, that is, physical or electronic format.

Datatype: CertificationFormatType1Code on page 1279

CodeName	Name	Definition
ELEC	Electronic	Certification must be provided in electronic format.
PHYS	Physical	Certification must be provided in physical format.

16.1.15.64.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the certification format.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

16.1.15.65 LotteryTypeFormat4Choice

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		1108
Or}	Proprietary <*Prtry*>	[1..1]	±		1108

16.1.15.65.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the type of lottery announced.

Datatype: LotteryType1Code on page 1332

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.

16.1.15.65.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of lottery announced.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		965
	Issuer <Issr>	[1..1]	Text		965
	SchemeName <SchmeNm>	[0..1]	Text		965

16.1.15.66 ElectionTypeFormat3Choice

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		1109
Or}	Proprietary <Prtry>	[1..1]	±		1109

16.1.15.66.1 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 1321

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.

16.1.15.66.2 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 GenericIdentification30 on page 965 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		965
	Issuer <Issr>	[1..1]	Text		965
	SchemeName <SchmeNm>	[0..1]	Text		965

16.1.15.67 TaxableIncomePerShareCalculatedFormat3Choice

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		1110
Or}	Proprietary <*Prtry*>	[1..1]	±		1110

16.1.15.67.1 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 1318

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.

16.1.15.67.2 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 GenericIdentification30 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

16.1.15.68 CapitalGainFormat3Choice

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		1111
Or}	Proprietary <*Prtry*>	[1..1]	±		1111

16.1.15.68.1 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 1321

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.

16.1.15.68.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of capital gain.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		965
	Issuer <Issr>	[1..1]	Text		965
	SchemeName <SchmeNm>	[0..1]	Text		965

16.1.15.69 IntermediateSecuritiesDistributionTypeFormat15Choice

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		1111
Or}	Proprietary <Prtry>	[1..1]	±		1112

16.1.15.69.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the type of intermediate security distribution.

Datatype: IntermediateSecurityDistributionType5Code on page 1330

CodeName	Name	Definition
BIDS	ReverseRights	Distribution of reverser rights.
DRIP	DividendReinvestment	Distribution of dividend reinvestment securities.

CodeName	Name	Definition
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.
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.

16.1.15.69.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of intermediate security distribution.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

16.1.15.70 CorporateActionChangeTypeFormat5Choice

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		1113
Or}	Proprietary *<Prtry>*	[1..1]	±		1114

16.1.15.70.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the type of changes.

Datatype: CorporateActionChangeType1Code on page 1280

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.

CodeName	Name	Definition
DECI	Decimalisation	Process of changing the accounting method of a security, for example, mutual fund, from units to a quantity with decimals.

16.1.15.70.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of changes.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

16.1.15.71 CorporateActionEventStageFormat13Choice

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		1114
Or}	Proprietary <*Prtry*>	[1..1]	±		1115

16.1.15.71.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the stage of the corporate action event.

Datatype: CorporateActionEventStage3Code on page 1282

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.

CodeName	Name	Definition
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.

16.1.15.71.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the stage of the corporate action event.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

16.1.15.72 DistributionTypeFormat7Choice

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		1115
Or}	Proprietary *<Prtry>*	[1..1]	±		1116

16.1.15.72.1 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 1320

CodeName	Name	Definition
FINL	Final	Final payment.
INTE	Interim	Interim payment.

CodeName	Name	Definition
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.

16.1.15.72.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of distribution.

Proprietary <Prtry> contains the following elements (see <u>GenericIdentification30 on page 965</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

16.1.15.73 DividendTypeFormat9Choice

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		1116
Or}	Proprietary *<Prtry>*	[1..1]	±		1117

16.1.15.73.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the frequency of the corporate action event.

Datatype: <u>CorporateActionFrequencyType5Code on page 1307</u>

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.

16.1.15.73.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the frequency of the corporate action event.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

16.1.15.74 FractionDispositionType25Choice

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		1117
Or}	Proprietary <*Prtry*>	[1..1]	±		1117

16.1.15.74.1 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 1325

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.

16.1.15.74.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of fraction disposition.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		965
	Issuer <Issr>	[1..1]	Text		965
	SchemeName <SchmeNm>	[0..1]	Text		965

16.1.15.75 RenounceableEntitlementStatusTypeFormat3Choice

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		1118
Or}	Proprietary <Prtry>	[1..1]	±		1118

16.1.15.75.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the renounceable status.

Datatype: RenounceableStatus1Code on page 1349

CodeName	Name	Definition
NREN	NonRenounceable	Intermediate securities cannot be sold.
RENO	Renounceable	Intermediate securities can be sold.

16.1.15.75.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the renounceable status.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		965
	Issuer <Issr>	[1..1]	Text		965
	SchemeName <SchmeNm>	[0..1]	Text		965

16.1.15.76 OptionStyle8Choice

Definition: Choice of format for the option style.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1119
Or}	Proprietary <Prtry>	[1..1]	±		1119

16.1.15.76.1 Code <Cd>

Presence: [1..1]

Definition: Option style expressed as an ISO 20022 code.

Datatype: OptionStyle2Code on page 1338

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.

16.1.15.76.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Option style expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		965
	Issuer <Issr>	[1..1]	Text		965
	SchemeName <SchmeNm>	[0..1]	Text		965

16.1.15.77 ClassificationType32Choice

Definition: Choice of format for the classification.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ClassificationFinancialInstrument <ClssfctnFinInstrm>	[1..1]	IdentifierSet		1119
Or}	AlternateClassification <AltrnClssfctn>	[1..1]	±		1119

16.1.15.77.1 ClassificationFinancialInstrument <ClssfctnFinInstrm>

Presence: [1..1]

Definition: ISO 10962 Classification of Financial Instrument (CFI).

Datatype: CFIOct2015Identifier on page 1353

16.1.15.77.2 AlternateClassification <AltrnClssfctn>

Presence: [1..1]

Definition: Proprietary classification of financial instrument.

AlternateClassification <AltrnClssfctn> contains the following elements (see GenericIdentification36 on page 965 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		966
	SchemeName *<SchmeNm>*	[0..1]	Text		966

16.1.15.78 InterestComputationMethodFormat4Choice

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		1120
Or}	Proprietary *<Prtry>*	[1..1]	±		1123

16.1.15.78.1 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 1327

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 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).

CodeName	Name	Definition
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 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

CodeName	Name	Definition
		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 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

CodeName	Name	Definition
		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.

16.1.15.78.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the format of interest computation method.

Proprietary <Prtry> contains the following elements (see <u>GenericIdentification30 on page 965</u> for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

16.1.15.79 CorporateActionMandatoryVoluntary3Choice

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		1124
Or}	Proprietary <*Prtry*>	[1..1]	±		1124

16.1.15.79.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify whether the event is mandatory, mandatory with options or voluntary.

Datatype: CorporateActionMandatoryVoluntary1Code on page 1308

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.

16.1.15.79.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of an event.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

16.1.15.80 CorporateActionEventProcessingType2Choice

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		1124
Or}	Proprietary <*Prtry*>	[1..1]	±		1125

16.1.15.80.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the processing type of a corporate action event.

Datatype: CorporateActionEventProcessingType1Code on page 1282

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).

16.1.15.80.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the processing type of a corporate action event.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

16.1.15.81 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		1125
Or}	NotSpecifiedRate <*NotSpcfdRate*>	[1..1]	CodeSet		1125

16.1.15.81.1 Rate <Rate>

Presence: [1..1]

Definition: Value is expressed as a rate.

Datatype: BaseOne14Rate on page 1356

16.1.15.81.2 NotSpecifiedRate <NotSpcfdRate>

Presence: [1..1]

Definition: Value of the rate not specified.

Datatype: RateType5Code on page 1344

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

16.1.15.82 UpdatedAdditionalInformation3

Definition: Additional information with update description and date.

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	UpdateDescription <*UpdDesc*>	[0..1]	Text		1126
	UpdateDate <*UpdDt*>	[0..1]	Date		1126
	AdditionalInformation <*AddtlInf*>	[1..1]	Text		1126

16.1.15.82.1 UpdateDescription <UpdDesc>

Presence: [0..1]

Definition: Specifies the amendments made to the narrative since the last message.

Datatype: Max140Text on page 1357

16.1.15.82.2 UpdateDate <UpdDt>

Presence: [0..1]

Definition: Specifies the date at which the narrative has been updated.

Datatype: ISODate on page 1352

16.1.15.82.3 AdditionalInformation <AddtlInf>

Presence: [1..1]

Definition: Provides additional textual information.

Datatype: Max350Text on page 1359

16.1.15.83 UpdatedAdditionalInformation1

Definition: Additional information with update description and date.

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	UpdateDescription <*UpdDesc*>	[0..1]	Text		1126
	UpdateDate <*UpdDt*>	[0..1]	Date		1126
	AdditionalInformation <*AddtlInf*>	[1..*]	Text		1127

16.1.15.83.1 UpdateDescription <UpdDesc>

Presence: [0..1]

Definition: Specifies the amendments made to the narrative since the last message.

Datatype: Max140Text on page 1357

16.1.15.83.2 UpdateDate <UpdDt>

Presence: [0..1]

Definition: Specifies the date at which the narrative has been updated.

Datatype: ISODate on page 1352

16.1.15.83.3 AdditionalInformation <AddtlInf>

Presence: [1..*]

Definition: Provides additional textual information.

Datatype: Max350Text on page 1359

16.1.15.84 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		1127
	Envelope <Envlp>	[1..1]	(External Schema)		1127

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.

16.1.15.84.1 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 1359

16.1.15.84.2 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.

16.1.15.85 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		1128
Or}	Code <Cd>	[1..1]	CodeSet		1128

16.1.15.85.1 Number <Nb>

Presence: [1..1]

Definition: Number identifying the available corporate action options.

Datatype: Exact3NumericText on page 1356

16.1.15.85.2 Code <Cd>

Presence: [1..1]

Definition: Code identifying special corporate action option numbers.

Datatype: OptionNumber1Code on page 1338

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	1128
	LEI *<LEI>*	[0..1]	IdentifierSet		1129
	Other *<Othr>*	[0..*]			1129
	Identification *<Id>*	[1..1]	Text		1129
	SchemeName *<SchmeNm>*	[0..1]			1129
{Or	Code *<Cd>*	[1..1]	CodeSet		1130
Or}	Proprietary *<Prtry>*	[1..1]	Text		1130
	Issuer *<Issr>*	[0..1]	Text		1130

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 1352

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 1354

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		1129
	SchemeName *<SchmeNm>*	[0..1]			1129
{Or	Code *<Cd>*	[1..1]	CodeSet		1130
Or}	Proprietary *<Prtry>*	[1..1]	Text		1130
	Issuer *<Issr>*	[0..1]	Text		1130

16.1.16.1.3.1 Identification <Id>

Presence: [1..1]

Definition: Identification assigned by an institution.

Datatype: Max35Text on page 1359

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		1130
Or}	Proprietary *<Prtry>*	[1..1]	Text		1130

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 1323

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 1359

16.1.16.1.3.3 Issuer <Issr>

Presence: [0..1]

Definition: Entity that assigns the identification.

Datatype: Max35Text on page 1359

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]	±		1130
	Country <*Ctry*>	[1..1]	CodeSet	C3	1130
	AlternateIdentification <*AltrnId*>	[1..1]	Text		1131

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 962 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Code <*Cd*>	[1..1]	CodeSet		962
Or}	Proprietary <*Prtry*>	[1..1]	±		962

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: <u>CountryCode on page 1318</u>

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 <Altrnld>

Presence: [1..1]

Definition: Alternate identification for a party.

Datatype: <u>Max35Text on page 1359</u>

16.1.17.2 PartyIdentificationAndAccount204

Definition: Provides information about identification and account of the party.

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	±		1132
	SafekeepingAccount *<SfkpgAcct>*	[0..1]	Text		1133
	BlockChainAddressOrWallet *<BlckChainAdrOrWllt>*	[0..1]	Text		1133
	ProcessingIdentification *<PrcgId>*	[0..1]	Text		1133
	AlternateIdentification *<AltrnId>*	[0..*]	±		1133

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.

16.1.17.2.1 Identification <Id>

Presence: [1..1]

Definition: Identification of a party.

Identification <Id> contains one of the following elements (see PartyIdentification120Choice on page 1143 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	AnyBIC *<AnyBIC>*	[1..1]	IdentifierSet	C1	1143
Or	ProprietaryIdentification *<PrtryId>*	[1..1]	±		1143
Or}	NameAndAddress *<NmAndAdr>*	[1..1]	±		1144

16.1.17.2.2 SafekeepingAccount <SfkpgAcct>

Presence: [0..1]

Definition: Account where financial instruments are maintained.

Datatype: Max35Text on page 1359

16.1.17.2.3 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: Max140Text on page 1357

16.1.17.2.4 ProcessingIdentification <PrcgId>

Presence: [0..1]

Definition: Reference meaningful to the party identified.

Datatype: Max35Text on page 1359

16.1.17.2.5 AlternateIdentification <AltrnId>

Presence: [0..*]

Definition: Alternate identification for a party.

AlternateIdentification <AltrnId> contains the following elements (see AlternatePartyIdentification7 on page 1130 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	IdentificationType <*IdTp*>	[1..1]	±		1130
	Country <*Ctry*>	[1..1]	CodeSet	C3	1130
	AlternateIdentification <*AltrnId*>	[1..1]	Text		1131

16.1.17.3 PartyIdentification229Choice

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	1133
Or	ProprietaryIdentification <*PrtryId*>	[1..1]	±		1134
Or	NameAndAddress <*NmAndAdr*>	[1..1]	±		1134
Or}	IndividualOwnerIdentification <*IndvOwnrId*>	[1..1]	±		1134

16.1.17.3.1 AnyBIC <AnyBIC>

Presence: [1..1]

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

Impacted by: C1 AnyBIC

Datatype: AnyBICDec2014Identifier on page 1352

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.

16.1.17.3.2 ProprietaryIdentification <PrtryId>

Presence: [1..1]

Definition: Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

ProprietaryIdentification <PrtryId> contains the following elements (see GenericIdentification36 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		966
	SchemeName <*SchmeNm*>	[0..1]	Text		966

16.1.17.3.3 NameAndAddress <NmAndAdr>

Presence: [1..1]

Definition: Name and address of a party.

NameAndAddress <NmAndAdr> contains the following elements (see NameAndAddress5 on page 1154 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Name <*Nm*>	[1..1]	Text		1155
	Address <*Adr*>	[0..1]	±		1155

16.1.17.3.4 IndividualOwnerIdentification <IndvOwnrId>

Presence: [1..1]

Definition: Individual local country specific identification of the owner agreed between the account servicer and account owner.

IndividualOwnerIdentification <IndvOwnrId> contains the following elements (see AlternatePartyIdentification7 on page 1130 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IdentificationType <IdTp>	[1..1]	±		1130
	Country <Ctry>	[1..1]	CodeSet	C3	1130
	AlternateIdentification <AltrnId>	[1..1]	Text		1131

16.1.17.4 Party38Choice

Definition: Nature or use of the account.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	OrganisationIdentification <OrgId>	[1..1]	±		1135
Or}	PrivateIdentification <PrvtId>	[1..1]	±		1135

16.1.17.4.1 OrganisationIdentification <OrgId>

Presence: [1..1]

Definition: Unique and unambiguous way to identify an organisation.

OrganisationIdentification <OrgId> contains the following elements (see OrganisationIdentification29 on page 1128 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	1128
	LEI <LEI>	[0..1]	IdentifierSet		1129
	Other <Othr>	[0..*]			1129
	Identification <Id>	[1..1]	Text		1129
	SchemeName <SchmeNm>	[0..1]			1129
{Or	Code <Cd>	[1..1]	CodeSet		1130
Or}	Proprietary <Prtry>	[1..1]	Text		1130
	Issuer <Issr>	[0..1]	Text		1130

16.1.17.4.2 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 1149 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	DateAndPlaceOfBirth *<DtAndPlcOfBirth>*	[0..1]			1149
	BirthDate *<BirthDt>*	[1..1]	Date		1149
	ProvinceOfBirth *<PrvcOfBirth>*	[0..1]	Text		1149
	CityOfBirth *<CityOfBirth>*	[1..1]	Text		1150
	CountryOfBirth *<CtryOfBirth>*	[1..1]	CodeSet	C3	1150
	Other *<Othr>*	[0..*]			1150
	Identification *<Id>*	[1..1]	Text		1150
	SchemeName *<SchmeNm>*	[0..1]			1151
{Or	Code *<Cd>*	[1..1]	CodeSet		1151
Or}	Proprietary *<Prtry>*	[1..1]	Text		1151
	Issuer *<Issr>*	[0..1]	Text		1151

16.1.17.5 PartyIdentificationAndAccount172

Definition: Provides information about identification and account of the party.

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]			1136
{Or	BICFI *<BICFI>*	[1..1]	IdentifierSet	C2	1137
Or	NameAndAddress *<NmAndAdr>*	[1..1]	±		1137
Or}	ProprietaryIdentification *<PrtryId>*	[1..1]	±		1137
	CashAccount *<CshAcct>*	[0..1]	±		1138
	ProcessingIdentification *<PrcgId>*	[0..1]	Text		1138
	AlternateIdentification *<AltrnId>*	[0..1]	±		1138

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.

16.1.17.5.1 Identification <Id>

Presence: [1..1]

Definition: Identification of a party.

Identification <Id> contains one of the following **PartyIdentification133Choice** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	BICFI *<BICFI>*	[1..1]	IdentifierSet	C2	1137
Or	NameAndAddress *<NmAndAdr>*	[1..1]	±		1137
Or}	ProprietaryIdentification *<PrtryId>*	[1..1]	±		1137

16.1.17.5.1.1 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 1353

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.

16.1.17.5.1.2 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 NameAndAddress5 on page 1154 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Name *<Nm>*	[1..1]	Text		1155
	Address *<Adr>*	[0..1]	±		1155

16.1.17.5.1.3 ProprietaryIdentification <PrtryId>

Presence: [1..1]

Definition: Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

ProprietaryIdentification <PrtryId> contains the following elements (see GenericIdentification36 on page 965 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		965
	Issuer <Issr>	[1..1]	Text		966
	SchemeName <SchmeNm>	[0..1]	Text		966

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 CashAccountIdentification5Choice on page 916 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	IBAN <IBAN>	[1..1]	IdentifierSet	C17	916
Or}	Proprietary <Prtry>	[1..1]	Text		917

16.1.17.5.3 ProcessingIdentification <PrcgId>

Presence: [0..1]

Definition: Reference meaningful to the party identified.

Datatype: Max35Text on page 1359

16.1.17.5.4 AlternateIdentification <AltrnId>

Presence: [0..1]

Definition: Alternate identification for a party.

AlternateIdentification <AltrnId> contains the following elements (see AlternatePartyIdentification7 on page 1130 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IdentificationType <IdTp>	[1..1]	±		1130
	Country <Ctry>	[1..1]	CodeSet	C3	1130
	AlternateIdentification <AltrnId>	[1..1]	Text		1131

16.1.17.6 CashParties34

Definition: Specifies cash parties in the framework of a corporate action event.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Creditor <Cdtr>	[0..1]		C5	1139
	Identification <Id>	[1..1]	±		1139
	CashAccount <CshAcct>	[0..1]	±		1140
	ProcessingIdentification <PrcgId>	[0..1]	Text		1140
	AlternateIdentification <AltrnId>	[0..1]	±		1140
	CreditorAgent <CdtrAgt>	[0..1]	±	C6	1140
	MarketClaimCounterparty <MktClmCtrPty>	[0..1]		C5	1141
	Identification <Id>	[1..1]	±		1142
	CashAccount <CshAcct>	[0..1]	±		1142
	ProcessingIdentification <PrcgId>	[0..1]	Text		1142
	AlternateIdentification <AltrnId>	[0..1]	±		1142

16.1.17.6.1 Creditor <Cdtr>

Presence: [0..1]

Definition: Party to which an amount of money is due.

Impacted by: C5 AdditionalInforrmationRule

Creditor <Cdtr> contains the following **PartyIdentificationAndAccount162** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1139
	CashAccount <CshAcct>	[0..1]	±		1140
	ProcessingIdentification <PrcgId>	[0..1]	Text		1140
	AlternateIdentification <AltrnId>	[0..1]	±		1140

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.

16.1.17.6.1.1 Identification <Id>

Presence: [1..1]

Definition: Identification of a party.

Identification <Id> contains one of the following elements (see PartyIdentification120Choice on page 1143 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	AnyBIC *<AnyBIC>*	[1..1]	IdentifierSet	C1	1143
Or	ProprietaryIdentification *<PrtryId>*	[1..1]	±		1143
Or}	NameAndAddress *<NmAndAdr>*	[1..1]	±		1144

16.1.17.6.1.2 CashAccount <CshAcct>

Presence: [0..1]

Definition: Account in which cash is maintained.

CashAccount <CshAcct> contains one of the following elements (see CashAccountIdentification5Choice on page 916 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	IBAN *<IBAN>*	[1..1]	IdentifierSet	C17	916
Or}	Proprietary *<Prtry>*	[1..1]	Text		917

16.1.17.6.1.3 ProcessingIdentification <PrcgId>

Presence: [0..1]

Definition: Reference meaningful to the party identified.

Datatype: Max35Text on page 1359

16.1.17.6.1.4 AlternateIdentification <AltrnId>

Presence: [0..1]

Definition: Alternate identification for a party.

AlternateIdentification <AltrnId> contains the following elements (see AlternatePartyIdentification7 on page 1130 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	IdentificationType *<IdTp>*	[1..1]	±		1130
	Country *<Ctry>*	[1..1]	CodeSet	C3	1130
	AlternateIdentification *<AltrnId>*	[1..1]	Text		1131

16.1.17.6.2 CreditorAgent <CdtrAgt>

Presence: [0..1]

Definition: Financial institution servicing an account for the creditor.

Impacted by: C6 AdditionalInforrmationRule

CreditorAgent <CdtrAgt> contains the following elements (see PartyIdentificationAndAccount172 on page 1136 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]			1136
{Or	BICFI *<BICFI>*	[1..1]	IdentifierSet	C2	1137
Or	NameAndAddress *<NmAndAdr>*	[1..1]	±		1137
Or}	ProprietaryIdentification *<PrtryId>*	[1..1]	±		1137
	CashAccount *<CshAcct>*	[0..1]	±		1138
	ProcessingIdentification *<PrcgId>*	[0..1]	Text		1138
	AlternateIdentification *<AltrnId>*	[0..1]	±		1138

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.

16.1.17.6.3 MarketClaimCounterparty <MktClmCtrPty>

Presence: [0..1]

Definition: Party that has reimbursed the account owner with funds to which they were legally entitled.

Impacted by: C5 AdditionalInforrmationRule

MarketClaimCounterparty <MktClmCtrPty> contains the following **PartyIdentificationAndAccount162** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	±		1142
	CashAccount *<CshAcct>*	[0..1]	±		1142
	ProcessingIdentification *<PrcgId>*	[0..1]	Text		1142
	AlternateIdentification *<AltrnId>*	[0..1]	±		1142

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.

16.1.17.6.3.1 Identification <Id>

Presence: [1..1]

Definition: Identification of a party.

Identification <Id> contains one of the following elements (see PartyIdentification120Choice on page 1143 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	AnyBIC *<AnyBIC>*	[1..1]	IdentifierSet	C1	1143
Or	ProprietaryIdentification *<PrtryId>*	[1..1]	±		1143
Or}	NameAndAddress *<NmAndAdr>*	[1..1]	±		1144

16.1.17.6.3.2 CashAccount <CshAcct>

Presence: [0..1]

Definition: Account in which cash is maintained.

CashAccount <CshAcct> contains one of the following elements (see CashAccountIdentification5Choice on page 916 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	IBAN *<IBAN>*	[1..1]	IdentifierSet	C17	916
Or}	Proprietary *<Prtry>*	[1..1]	Text		917

16.1.17.6.3.3 ProcessingIdentification <PrcgId>

Presence: [0..1]

Definition: Reference meaningful to the party identified.

Datatype: Max35Text on page 1359

16.1.17.6.3.4 AlternateIdentification <AltrnId>

Presence: [0..1]

Definition: Alternate identification for a party.

AlternateIdentification <AltrnId> contains the following elements (see AlternatePartyIdentification7 on page 1130 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	IdentificationType *<IdTp>*	[1..1]	±		1130
	Country *<Ctry>*	[1..1]	CodeSet	C3	1130
	AlternateIdentification *<AltrnId>*	[1..1]	Text		1131

16.1.17.7 PartyIdentification120Choice

Definition: Choice between different formats for the identification of a party.

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <*AnyBIC*>	[1..1]	IdentifierSet	C1	1143
Or	ProprietaryIdentification <*PrtryId*>	[1..1]	±		1143
Or}	NameAndAddress <*NmAndAdr*>	[1..1]	±		1144

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 1352

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 <PrtryId> contains the following elements (see GenericIdentification36 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		966
	SchemeName <*SchmeNm*>	[0..1]	Text		966

16.1.17.7.3 NameAndAddress <NmAndAdr>

Presence: [1..1]

Definition: Name and address of a party.

NameAndAddress <NmAndAdr> contains the following elements (see <u>NameAndAddress5 on page 1154</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Name *<Nm>*	[1..1]	Text		1155
	Address *<Adr>*	[0..1]	±		1155

16.1.17.8 PartyIdentification129Choice

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	1144
Or	ProprietaryIdentification *<PrtryId>*	[1..1]	±		1144
Or	NameAndAddress *<NmAndAdr>*	[1..1]	±		1145
Or}	LEI *<LEI>*	[1..1]	IdentifierSet		1145

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: <u>C1 AnyBIC</u>

Datatype: <u>AnyBICDec2014Identifier on page 1352</u>

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 <PrtryId>

Presence: [1..1]

Definition: Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

ProprietaryIdentification <PrtryId> contains the following elements (see GenericIdentification36 on page 965 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		966
	SchemeName *<SchmeNm>*	[0..1]	Text		966

16.1.17.8.3 NameAndAddress <NmAndAdr>

Presence: [1..1]

Definition: Name and address of a party.

NameAndAddress <NmAndAdr> contains the following elements (see NameAndAddress5 on page 1154 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Name *<Nm>*	[1..1]	Text		1155
	Address *<Adr>*	[0..1]	±		1155

16.1.17.8.4 LEI <LEI>

Presence: [1..1]

Definition: Legal entity identification of the party.

Datatype: LEIIdentifier on page 1354

16.1.17.9 PartyIdentification127Choice

Definition: Choice of identification of a party.

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	AnyBIC *<AnyBIC>*	[1..1]	IdentifierSet	C1	1145
Or}	ProprietaryIdentification *<PrtryId>*	[1..1]	±		1146

16.1.17.9.1 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 1352

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.

16.1.17.9.2 ProprietaryIdentification <PrtryId>

Presence: [1..1]

Definition: Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

ProprietaryIdentification <PrtryId> contains the following elements (see GenericIdentification36 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		966
	SchemeName <*SchmeNm*>	[0..1]	Text		966

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		1146
	PostalAddress <*PstlAdr*>	[0..1]	±		1147
	Identification <*Id*>	[0..1]	±		1147
	CountryOfResidence <*CtryOfRes*>	[0..1]	CodeSet	C3	1148
	ContactDetails <*CtctDtls*>	[0..1]	±		1148

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 1357

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 <PstlAdr> contains the following elements (see PostalAddress24 on page 1155 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			1156
{Or	Code <Cd>	[1..1]	CodeSet		1156
Or}	Proprietary <Prtry>	[1..1]	±		1157
	Department <Dept>	[0..1]	Text		1157
	SubDepartment <SubDept>	[0..1]	Text		1157
	StreetName <StrtNm>	[0..1]	Text		1157
	BuildingNumber <BldgNb>	[0..1]	Text		1157
	BuildingName <BldgNm>	[0..1]	Text		1158
	Floor <Flr>	[0..1]	Text		1158
	PostBox <PstBx>	[0..1]	Text		1158
	Room <Room>	[0..1]	Text		1158
	PostCode <PstCd>	[0..1]	Text		1158
	TownName <TwnNm>	[0..1]	Text		1158
	TownLocationName <TwnLctnNm>	[0..1]	Text		1158
	DistrictName <DstrctNm>	[0..1]	Text		1158
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		1159
	Country <Ctry>	[0..1]	CodeSet	C3	1159
	AddressLine <AdrLine>	[0..7]	Text		1159

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 1135 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	OrganisationIdentification <OrgId>	[1..1]	±		1135
Or}	PrivateIdentification <PrvtId>	[1..1]	±		1135

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 1318

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 1151 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	NamePrefix <*NmPrfx*>	[0..1]	CodeSet		1152
	Name <*Nm*>	[0..1]	Text		1152
	PhoneNumber <*PhneNb*>	[0..1]	Text		1152
	MobileNumber <*MobNb*>	[0..1]	Text		1153
	FaxNumber <*FaxNb*>	[0..1]	Text		1153
	EmailAddress <*EmailAdr*>	[0..1]	Text		1153
	EmailPurpose <*EmailPurp*>	[0..1]	Text		1153
	JobTitle <*JobTitl*>	[0..1]	Text		1153
	Responsibility <*Rspnsblty*>	[0..1]	Text		1153
	Department <*Dept*>	[0..1]	Text		1153
	Other <*Othr*>	[0..*]			1153
	ChannelType <*ChanlTp*>	[1..1]	Text		1154
	Identification <*Id*>	[0..1]	Text		1154
	PreferredMethod <*PrefrdMtd*>	[0..1]	CodeSet		1154

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]			1149
	BirthDate *<BirthDt>*	[1..1]	Date		1149
	ProvinceOfBirth *<PrvcOfBirth>*	[0..1]	Text		1149
	CityOfBirth *<CityOfBirth>*	[1..1]	Text		1150
	CountryOfBirth *<CtryOfBirth>*	[1..1]	CodeSet	C3	1150
	Other *<Othr>*	[0..*]			1150
	Identification *<Id>*	[1..1]	Text		1150
	SchemeName *<SchmeNm>*	[0..1]			1151
{Or	Code *<Cd>*	[1..1]	CodeSet		1151
Or}	Proprietary *<Prtry>*	[1..1]	Text		1151
	Issuer *<Issr>*	[0..1]	Text		1151

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		1149
	ProvinceOfBirth *<PrvcOfBirth>*	[0..1]	Text		1149
	CityOfBirth *<CityOfBirth>*	[1..1]	Text		1150
	CountryOfBirth *<CtryOfBirth>*	[1..1]	CodeSet	C3	1150

16.1.18.1.1.1 BirthDate <BirthDt>

Presence: [1..1]

Definition: Date on which a person is born.

Datatype: ISODate on page 1352

16.1.18.1.1.2 ProvinceOfBirth <PrvcOfBirth>

Presence: [0..1]

Definition: Province where a person was born.

Datatype: Max35Text on page 1359

16.1.18.1.1.3 CityOfBirth <CityOfBirth>

Presence: [1..1]

Definition: City where a person was born.

Datatype: Max35Text on page 1359

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 1318

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		1150
	SchemeName *<SchmeNm>*	[0..1]			1151
{Or	Code *<Cd>*	[1..1]	CodeSet		1151
Or}	Proprietary *<Prtry>*	[1..1]	Text		1151
	Issuer *<Issr>*	[0..1]	Text		1151

16.1.18.1.2.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identification of a person.

Datatype: Max35Text on page 1359

16.1.18.1.2.2 SchemeName <SchmeNm>

Presence: [0..1]

Definition: Name of the identification scheme.

SchemeName <SchmeNm> contains one of the following **PersonIdentificationSchemeName1Choice** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1151
Or}	Proprietary *<Prtry>*	[1..1]	Text		1151

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 1324

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 1359

16.1.18.1.2.3 Issuer <Issr>

Presence: [0..1]

Definition: Entity that assigns the identification.

Datatype: Max35Text on page 1359

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		1152
	Name *<Nm>*	[0..1]	Text		1152
	PhoneNumber *<PhneNb>*	[0..1]	Text		1152
	MobileNumber *<MobNb>*	[0..1]	Text		1153
	FaxNumber *<FaxNb>*	[0..1]	Text		1153
	EmailAddress *<EmailAdr>*	[0..1]	Text		1153
	EmailPurpose *<EmailPurp>*	[0..1]	Text		1153
	JobTitle *<JobTitl>*	[0..1]	Text		1153
	Responsibility *<Rspnsblty>*	[0..1]	Text		1153
	Department *<Dept>*	[0..1]	Text		1153
	Other *<Othr>*	[0..*]			1153
	ChannelType *<ChanlTp>*	[1..1]	Text		1154
	Identification *<Id>*	[0..1]	Text		1154
	PreferredMethod *<PrefrdMtd>*	[0..1]	CodeSet		1154

16.1.18.2.1 NamePrefix <NmPrfx>

Presence: [0..1]

Definition: Specifies the terms used to formally address a person.

Datatype: NamePrefix2Code on page 1332

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 1357

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 1361

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 1361

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 1361

16.1.18.2.6 EmailAddress <EmailAdr>

Presence: [0..1]

Definition: Address for electronic mail (e-mail).

Datatype: Max2048Text on page 1358

16.1.18.2.7 EmailPurpose <EmailPurp>

Presence: [0..1]

Definition: Purpose for which an email address may be used.

Datatype: Max35Text on page 1359

16.1.18.2.8 JobTitle <JobTitl>

Presence: [0..1]

Definition: Title of the function.

Datatype: Max35Text on page 1359

16.1.18.2.9 Responsibility <Rspnsblty>

Presence: [0..1]

Definition: Role of a person in an organisation.

Datatype: Max35Text on page 1359

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 1361

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 <ChanlTp>	[1..1]	Text		1154
	Identification <Id>	[0..1]	Text		1154

16.1.18.2.11.1 ChannelType <ChanlTp>

Presence: [1..1]

Definition: Method used to contact the financial institution's contact for the specific tax region.

Datatype: Max4Text on page 1360

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 1357

16.1.18.2.12 PreferredMethod <PrefrdMtd>

Presence: [0..1]

Definition: Preferred method used to reach the contact.

Datatype: PreferredContactMethod1Code on page 1340

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 NameAndAddress5

Definition: Information that locates and identifies a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		1155
	Address <Adr>	[0..1]	±		1155

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: Max350Text on page 1359

16.1.19.1.2 Address <Adr>

Presence: [0..1]

Definition: Postal address of the party.

Address <Adr> contains the following elements (see PostalAddress1 on page 1159 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	AddressType <*AdrTp*>	[0..1]	CodeSet		1160
	AddressLine <*AdrLine*>	[0..5]	Text		1160
	StreetName <*StrtNm*>	[0..1]	Text		1160
	BuildingNumber <*BldgNb*>	[0..1]	Text		1160
	PostCode <*PstCd*>	[0..1]	Text		1161
	TownName <*TwnNm*>	[0..1]	Text		1161
	CountrySubDivision <*CtrySubDvsn*>	[0..1]	Text		1161
	Country <*Ctry*>	[1..1]	CodeSet	C3	1161

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]			1156
{Or	Code *<Cd>*	[1..1]	CodeSet		1156
Or}	Proprietary *<Prtry>*	[1..1]	±		1157
	Department *<Dept>*	[0..1]	Text		1157
	SubDepartment *<SubDept>*	[0..1]	Text		1157
	StreetName *<StrtNm>*	[0..1]	Text		1157
	BuildingNumber *<BldgNb>*	[0..1]	Text		1157
	BuildingName *<BldgNm>*	[0..1]	Text		1158
	Floor *<Flr>*	[0..1]	Text		1158
	PostBox *<PstBx>*	[0..1]	Text		1158
	Room *<Room>*	[0..1]	Text		1158
	PostCode *<PstCd>*	[0..1]	Text		1158
	TownName *<TwnNm>*	[0..1]	Text		1158
	TownLocationName *<TwnLctnNm>*	[0..1]	Text		1158
	DistrictName *<DstrctNm>*	[0..1]	Text		1158
	CountrySubDivision *<CtrySubDvsn>*	[0..1]	Text		1159
	Country *<Ctry>*	[0..1]	CodeSet	C3	1159
	AddressLine *<AdrLine>*	[0..7]	Text		1159

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		1156
Or}	Proprietary *<Prtry>*	[1..1]	±		1157

16.1.19.2.1.1 Code <Cd>

Presence: [1..1]

Definition: Type of address expressed as a code.

Datatype: AddressType2Code on page 1276

CodeName	Name	Definition
ADDR	Postal	Address is the complete postal address.

CodeName	Name	Definition
PBOX	POBox	Address is a postal office (PO) box.
HOME	Residential	Address is the home address.
BIZZ	Business	Address is the business address.
MLTO	MailTo	Address is the address to which mail is sent.
DLVY	DeliveryTo	Address is the address to which delivery is to take place.

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 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

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 1361

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 1361

16.1.19.2.4 StreetName <StrtNm>

Presence: [0..1]

Definition: Name of a street or thoroughfare.

Datatype: Max70Text on page 1361

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 1358

16.1.19.2.6 BuildingName <BldgNm>

Presence: [0..1]

Definition: Name of the building or house.

Datatype: Max35Text on page 1359

16.1.19.2.7 Floor <Flr>

Presence: [0..1]

Definition: Floor or storey within a building.

Datatype: Max70Text on page 1361

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 1358

16.1.19.2.9 Room <Room>

Presence: [0..1]

Definition: Building room number.

Datatype: Max70Text on page 1361

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 1358

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 1359

16.1.19.2.12 TownLocationName <TwnLctnNm>

Presence: [0..1]

Definition: Specific location name within the town.

Datatype: Max35Text on page 1359

16.1.19.2.13 DistrictName <DstrctNm>

Presence: [0..1]

Definition: Identifies a subdivision within a country sub-division.

Datatype: Max35Text on page 1359

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 1359

16.1.19.2.15 Country <Ctry>

Presence: [0..1]

Definition: Nation with its own government.

Impacted by: C3 Country

Datatype: CountryCode on page 1318

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 1361

16.1.19.3 PostalAddress1

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

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	AddressType *<AdrTp>*	[0..1]	CodeSet		1160
	AddressLine *<AdrLine>*	[0..5]	Text		1160
	StreetName *<StrtNm>*	[0..1]	Text		1160
	BuildingNumber *<BldgNb>*	[0..1]	Text		1160
	PostCode *<PstCd>*	[0..1]	Text		1161
	TownName *<TwnNm>*	[0..1]	Text		1161
	CountrySubDivision *<CtrySubDvsn>*	[0..1]	Text		1161
	Country *<Ctry>*	[1..1]	CodeSet	C3	1161

16.1.19.3.1 AddressType <AdrTp>

Presence: [0..1]

Definition: Identifies the nature of the postal address.

Datatype: AddressType2Code on page 1276

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.

16.1.19.3.2 AddressLine <AdrLine>

Presence: [0..5]

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

Datatype: Max70Text on page 1361

16.1.19.3.3 StreetName <StrtNm>

Presence: [0..1]

Definition: Name of a street or thoroughfare.

Datatype: Max70Text on page 1361

16.1.19.3.4 BuildingNumber <BldgNb>

Presence: [0..1]

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

Datatype: Max16Text on page 1358

16.1.19.3.5 PostCode <PstCd>

Presence: [0..1]

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

Datatype: Max16Text on page 1358

16.1.19.3.6 TownName <TwnNm>

Presence: [0..1]

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

Datatype: Max35Text on page 1359

16.1.19.3.7 CountrySubDivision <CtrySubDvsn>

Presence: [0..1]

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

Datatype: Max35Text on page 1359

16.1.19.3.8 Country <Ctry>

Presence: [1..1]

Definition: Nation with its own government.

Impacted by: C3 Country

Datatype: CountryCode on page 1318

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.

16.1.20   Price

16.1.20.1 AmountPrice3

Definition: Price expressed as an amount.

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	AmountPriceType *<AmtPricTp>*	[1..1]	CodeSet		1162
	PriceValue *<PricVal>*	[1..1]	Amount	C1	1162

16.1.20.1.1 AmountPriceType <AmtPricTp>

Presence: [1..1]

Definition: Type of amount price.

Datatype: <u>AmountPriceType1Code on page 1276</u>

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.

16.1.20.1.2 PriceValue <PricVal>

Presence: [1..1]

Definition: Value of the price.

Impacted by: <u>C1 ActiveCurrency</u>

Datatype: <u>ActiveCurrencyAnd13DecimalAmount on page 1268</u>

Constraints

• **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet 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 PriceFormat64Choice

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]			1163
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1163
	PriceValue <PricVal>	[1..1]	Rate		1164
Or	AmountPrice <AmtPric>	[1..1]	±		1164
Or	AmountPricePerFinancialInstrumentQuantity <AmtPricPerFinInstrmQty>	[1..1]			1164
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1164
	PriceValue <PricVal>	[1..1]	Amount	C1	1165
	FinancialInstrumentQuantity <FinInstrmQty>	[1..1]	±	C6	1165
Or	AmountPricePerAmount <AmtPricPerAmt>	[1..1]			1165
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1166
	PriceValue <PricVal>	[1..1]	Amount	C1	1166
	Amount <Amt>	[1..1]	Amount	C1	1166
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		1167

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		1163
	PriceValue <PricVal>	[1..1]	Rate		1164

16.1.20.2.1.1 PercentagePriceType <PctgPricTp>

Presence: [1..1]

Definition: Specifies the type of percentage price.

Datatype: PriceRateType3Code on page 1341

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 1356

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 AmountPrice3 on page 1161 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	AmountPriceType *<AmtPricTp>*	[1..1]	CodeSet		1162
	PriceValue *<PricVal>*	[1..1]	Amount	C1	1162

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
AmountPricePerFinancialInstrumentQuantity10 elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	AmountPriceType *<AmtPricTp>*	[1..1]	CodeSet		1164
	PriceValue *<PricVal>*	[1..1]	Amount	C1	1165
	FinancialInstrumentQuantity *<FinInstrmQty>*	[1..1]	±	C6	1165

16.1.20.2.3.1 AmountPriceType <AmtPricTp>

Presence: [1..1]

Definition: Type of amount price.

Datatype: AmountPriceType1Code on page 1276

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: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

- **ActiveCurrency**

  (Rule)

  The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet 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: C6 DigitalTokenUnitUsageRule

FinancialInstrumentQuantity <FinInstrmQty> contains one of the following elements (see FinancialInstrumentQuantity33Choice on page 1185 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Unit *<Unit>*	[1..1]	Quantity		1186
Or	FaceAmount *<FaceAmt>*	[1..1]	Amount		1186
Or	AmortisedValue *<AmtsdVal>*	[1..1]	Amount		1186
Or}	DigitalTokenUnit *<DgtlTknUnit>*	[1..1]	Quantity		1186

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 **AmountPricePerAmount2** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	AmountPriceType *<AmtPricTp>*	[1..1]	CodeSet		1166
	PriceValue *<PricVal>*	[1..1]	Amount	C1	1166
	Amount *<Amt>*	[1..1]	Amount	C1	1166

16.1.20.2.4.1 AmountPriceType <AmtPricTp>

Presence: [1..1]

Definition: Type of amount price.

Datatype: AmountPriceType1Code on page 1276

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: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

• **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet 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: <u>C1 ActiveCurrency</u>

Datatype: <u>ActiveCurrencyAnd13DecimalAmount on page 1268</u>

Constraints

- **ActiveCurrency**

  (Rule)

  The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet 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: <u>DecimalNumber on page 1355</u>

16.1.20.3 PriceFormat66Choice

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]			1168
	PercentagePriceType <PctgPricTp>	[1..1]	CodeSet		1168
	PriceValue <PricVal>	[1..1]	Rate		1169
Or	AmountPrice <AmtPric>	[1..1]	±		1169
Or	NotSpecifiedPrice <NotSpcfdPric>	[1..1]	CodeSet		1169
Or	AmountPricePerFinancialInstrumentQuantity <AmtPricPerFinInstrmQty>	[1..1]			1169
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1170
	PriceValue <PricVal>	[1..1]	Amount	C1	1170
	FinancialInstrumentQuantity <FinInstrmQty>	[1..1]	±	C6	1170
Or	AmountPricePerAmount <AmtPricPerAmt>	[1..1]			1171
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1171
	PriceValue <PricVal>	[1..1]	Amount	C1	1171
	Amount <Amt>	[1..1]	Amount	C1	1172
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		1172

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		1168
	PriceValue <PricVal>	[1..1]	Rate		1169

16.1.20.3.1.1 PercentagePriceType <PctgPricTp>

Presence: [1..1]

Definition: Specifies the type of percentage price.

Datatype: PriceRateType3Code on page 1341

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: <u>PercentageRate on page 1356</u>

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 <u>AmountPrice3 on page 1161</u> for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	AmountPriceType <*AmtPricTp*>	[1..1]	CodeSet		1162
	PriceValue <*PricVal*>	[1..1]	Amount	C1	1162

16.1.20.3.3 NotSpecifiedPrice <NotSpcfdPric>

Presence: [1..1]

Definition: Value of the price not specified.

Datatype: <u>PriceValueType9Code on page 1342</u>

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
AmountPricePerFinancialInstrumentQuantity10 elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	AmountPriceType <*AmtPricTp*>	[1..1]	CodeSet		1170
	PriceValue <*PricVal*>	[1..1]	Amount	C1	1170
	FinancialInstrumentQuantity <*FinInstrmQty*>	[1..1]	±	C6	1170

16.1.20.3.4.1 AmountPriceType <AmtPricTp>

Presence: [1..1]

Definition: Type of amount price.

Datatype: AmountPriceType1Code on page 1276

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: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

- **ActiveCurrency**

  (Rule)

  The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet 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: C6 DigitalTokenUnitUsageRule

FinancialInstrumentQuantity <FinInstrmQty> contains one of the following elements (see
FinancialInstrumentQuantity33Choice on page 1185 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Unit *<Unit>*	[1..1]	Quantity		1186
Or	FaceAmount *<FaceAmt>*	[1..1]	Amount		1186
Or	AmortisedValue *<AmtsdVal>*	[1..1]	Amount		1186
Or}	DigitalTokenUnit *<DgtlTknUnit>*	[1..1]	Quantity		1186

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 **AmountPricePerAmount2**
elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	AmountPriceType *<AmtPricTp>*	[1..1]	CodeSet		1171
	PriceValue *<PricVal>*	[1..1]	Amount	C1	1171
	Amount *<Amt>*	[1..1]	Amount	C1	1172

16.1.20.3.5.1 AmountPriceType <AmtPricTp>

Presence: [1..1]

Definition: Type of amount price.

Datatype: AmountPriceType1Code on page 1276

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: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

- **ActiveCurrency**

  (Rule)

  The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet 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: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

- **ActiveCurrency**

  (Rule)

  The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet 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: DecimalNumber on page 1355

16.1.20.4 PriceFormat65Choice

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]			1173
	PercentagePriceType *<PctgPricTp>*	[1..1]	CodeSet		1173
	PriceValue *<PricVal>*	[1..1]	Rate		1174
Or	AmountPrice *<AmtPric>*	[1..1]	±		1174
Or	NotSpecifiedPrice *<NotSpcfdPric>*	[1..1]	CodeSet		1174
Or	AmountPricePerFinancialInstrumentQuantity *<AmtPricPerFinInstrmQty>*	[1..1]			1174
	AmountPriceType *<AmtPricTp>*	[1..1]	CodeSet		1175
	PriceValue *<PricVal>*	[1..1]	Amount	C1	1175
	FinancialInstrumentQuantity *<FinInstrmQty>*	[1..1]	±	C6	1175
Or	AmountPricePerAmount *<AmtPricPerAmt>*	[1..1]			1176
	AmountPriceType *<AmtPricTp>*	[1..1]	CodeSet		1176
	PriceValue *<PricVal>*	[1..1]	Amount	C1	1176
	Amount *<Amt>*	[1..1]	Amount	C1	1177
Or}	IndexPoints *<IndxPts>*	[1..1]	Quantity		1177

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		1173
	PriceValue *<PricVal>*	[1..1]	Rate		1174

16.1.20.4.1.1 PercentagePriceType <PctgPricTp>

Presence: [1..1]

Definition: Specifies the type of percentage price.

Datatype: PriceRateType3Code on page 1341

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: <u>PercentageRate on page 1356</u>

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 <u>AmountPrice3 on page 1161</u> for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1162
	PriceValue <PricVal>	[1..1]	Amount	C1	1162

16.1.20.4.3 NotSpecifiedPrice <NotSpcfdPric>

Presence: [1..1]

Definition: Value of the price not specified.

Datatype: <u>PriceValueType8Code on page 1341</u>

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
AmountPricePerFinancialInstrumentQuantity10 elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AmountPriceType <AmtPricTp>	[1..1]	CodeSet		1175
	PriceValue <PricVal>	[1..1]	Amount	C1	1175
	FinancialInstrumentQuantity <FinInstrmQty>	[1..1]	±	C6	1175

16.1.20.4.4.1 AmountPriceType <AmtPricTp>

Presence: [1..1]

Definition: Type of amount price.

Datatype: <u>AmountPriceType1Code on page 1276</u>

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: <u>C1 ActiveCurrency</u>

Datatype: <u>ActiveCurrencyAnd13DecimalAmount on page 1268</u>

Constraints

- **ActiveCurrency**

  (Rule)

  The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet 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: <u>C6 DigitalTokenUnitUsageRule</u>

FinancialInstrumentQuantity <FinInstrmQty> contains one of the following elements (see FinancialInstrumentQuantity33Choice on page 1185 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Unit <*Unit*>	[1..1]	Quantity		1186
Or	FaceAmount <*FaceAmt*>	[1..1]	Amount		1186
Or	AmortisedValue <*AmtsdVal*>	[1..1]	Amount		1186
Or}	DigitalTokenUnit <*DgtlTknUnit*>	[1..1]	Quantity		1186

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 **AmountPricePerAmount2** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	AmountPriceType <*AmtPricTp*>	[1..1]	CodeSet		1176
	PriceValue <*PricVal*>	[1..1]	Amount	C1	1176
	Amount <*Amt*>	[1..1]	Amount	C1	1177

16.1.20.4.5.1 AmountPriceType <AmtPricTp>

Presence: [1..1]

Definition: Type of amount price.

Datatype: AmountPriceType1Code on page 1276

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: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet 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: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

- **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet 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: DecimalNumber on page 1355

16.1.20.5 PriceFormat61Choice

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]			1178
	AmountPriceType *<AmtPricTp>*	[1..1]	CodeSet		1178
	PriceValue *<PricVal>*	[1..1]	Amount	C1	1178
Or}	NotSpecifiedPrice *<NotSpcfdPric>*	[1..1]	CodeSet		1179

16.1.20.5.1 AmountPrice <AmtPric>

Presence: [1..1]

Definition: Price expressed as a currency and amount.

AmountPrice <AmtPric> contains the following **AmountPrice6** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	AmountPriceType *<AmtPricTp>*	[1..1]	CodeSet		1178
	PriceValue *<PricVal>*	[1..1]	Amount	C1	1178

16.1.20.5.1.1 AmountPriceType <AmtPricTp>

Presence: [1..1]

Definition: Type of amount price.

Datatype: AmountPriceType3Code on page 1277

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: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

- **ActiveCurrency**

   (Rule)

   The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet 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 1341

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

16.1.20.6 PriceFormat51Choice

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]			1179
	PercentagePriceType <*PctgPricTp*>	[1..1]	CodeSet		1179
	PriceValue <*PricVal*>	[1..1]	Rate		1180
Or	AmountPrice <*AmtPric*>	[1..1]	±		1180
Or}	IndexPoints <*IndxPts*>	[1..1]	Quantity		1180

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		1179
	PriceValue <*PricVal*>	[1..1]	Rate		1180

16.1.20.6.1.1 PercentagePriceType <PctgPricTp>

Presence: [1..1]

Definition: Specifies the type of percentage price.

Datatype: PriceRateType3Code on page 1341

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 1356

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 AmountPrice3 on page 1161 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	AmountPriceType *<AmtPricTp>*	[1..1]	CodeSet		1162
	PriceValue *<PricVal>*	[1..1]	Amount	C1	1162

16.1.20.6.3 IndexPoints <IndxPts>

Presence: [1..1]

Definition: Price expressed as an index points.

Datatype: DecimalNumber on page 1355

16.1.20.7 PriceFormat50Choice

Definition: Choice between a percentage price or an amount price.

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	PercentagePrice *<PctgPric>*	[1..1]			1180
	PercentagePriceType *<PctgPricTp>*	[1..1]	CodeSet		1181
	PriceValue *<PricVal>*	[1..1]	Rate		1181
Or}	AmountPrice *<AmtPric>*	[1..1]	±		1181

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		1181
	PriceValue <*PricVal*>	[1..1]	Rate		1181

16.1.20.7.1.1 PercentagePriceType <PctgPricTp>

Presence: [1..1]

Definition: Specifies the type of percentage price.

Datatype: PriceRateType3Code on page 1341

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 1356

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 AmountPrice3 on page 1161 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	AmountPriceType <*AmtPricTp*>	[1..1]	CodeSet		1162
	PriceValue <*PricVal*>	[1..1]	Amount	C1	1162

16.1.20.8 PriceFormat46Choice

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]	±		1182
Or}	NotSpecifiedPrice *<NotSpcfdPric>*	[1..1]	CodeSet		1182

16.1.20.8.1 AmountPrice <AmtPric>

Presence: [1..1]

Definition: Price expressed as a currency and amount.

AmountPrice <AmtPric> contains the following elements (see AmountPrice2 on page 917 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	AmountPriceType *<AmtPricTp>*	[1..1]	CodeSet		917
	PriceValue *<PricVal>*	[1..1]	Amount	C1	917

16.1.20.8.2 NotSpecifiedPrice <NotSpcfdPric>

Presence: [1..1]

Definition: Value of the price not specified.

Datatype: PriceValueType10Code on page 1341

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

16.1.20.9 PriceFormat45Choice

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]			1182
	PercentagePriceType *<PctgPricTp>*	[1..1]	CodeSet		1183
	PriceValue *<PricVal>*	[1..1]	Rate		1183
Or	AmountPrice *<AmtPric>*	[1..1]	±		1183
Or}	NotSpecifiedPrice *<NotSpcfdPric>*	[1..1]	CodeSet		1183

16.1.20.9.1 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		1183
	PriceValue <*PricVal*>	[1..1]	Rate		1183

16.1.20.9.1.1 PercentagePriceType <PctgPricTp>

Presence: [1..1]

Definition: Specifies the type of percentage price.

Datatype: PriceRateType3Code on page 1341

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.

16.1.20.9.1.2 PriceValue <PricVal>

Presence: [1..1]

Definition: Specifies the value of price.

Datatype: PercentageRate on page 1356

16.1.20.9.2 AmountPrice <AmtPric>

Presence: [1..1]

Definition: Price expressed as a currency and amount.

AmountPrice <AmtPric> contains the following elements (see AmountPrice3 on page 1161 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	AmountPriceType <*AmtPricTp*>	[1..1]	CodeSet		1162
	PriceValue <*PricVal*>	[1..1]	Amount	C1	1162

16.1.20.9.3 NotSpecifiedPrice <NotSpcfdPric>

Presence: [1..1]

Definition: Value of the price not specified.

Datatype: PriceValueType10Code on page 1341

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

16.1.20.10 PriceFormat44Choice

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]			1184
	PercentagePriceType *<PctgPricTp>*	[1..1]	CodeSet		1184
	PriceValue *<PricVal>*	[1..1]	Rate		1185
Or	AmountPrice *<AmtPric>*	[1..1]	±		1185
Or	NotSpecifiedPrice *<NotSpcfdPric>*	[1..1]	CodeSet		1185
Or}	IndexPoints *<IndxPts>*	[1..1]	Quantity		1185

16.1.20.10.1 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		1184
	PriceValue *<PricVal>*	[1..1]	Rate		1185

16.1.20.10.1.1 PercentagePriceType <PctgPricTp>

Presence: [1..1]

Definition: Specifies the type of percentage price.

Datatype: PriceRateType3Code on page 1341

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.

16.1.20.10.1.2 PriceValue <PricVal>

Presence: [1..1]

Definition: Specifies the value of price.

Datatype: PercentageRate on page 1356

16.1.20.10.2 AmountPrice <AmtPric>

Presence: [1..1]

Definition: Price expressed as a currency and amount.

AmountPrice <AmtPric> contains the following elements (see AmountPrice3 on page 1161 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	AmountPriceType *<AmtPricTp>*	[1..1]	CodeSet		1162
	PriceValue *<PricVal>*	[1..1]	Amount	C1	1162

16.1.20.10.3 NotSpecifiedPrice <NotSpcfdPric>

Presence: [1..1]

Definition: Value of the price not specified.

Datatype: PriceValueType10Code on page 1341

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

16.1.20.10.4 IndexPoints <IndxPts>

Presence: [1..1]

Definition: Price expressed as an index points.

Datatype: DecimalNumber on page 1355

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		1186
Or	FaceAmount *<FaceAmt>*	[1..1]	Amount		1186
Or	AmortisedValue *<AmtsdVal>*	[1..1]	Amount		1186
Or}	DigitalTokenUnit *<DgtlTknUnit>*	[1..1]	Quantity		1186

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 1355

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 1270

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 1270

16.1.21.1.4 DigitalTokenUnit <DgtlTknUnit>

Presence: [1..1]

Definition: Quantity of digital tokens expressed as a number, for example, a number of blockchain tokens.

Datatype: Max30DecimalNumber on page 1355

16.1.21.2 SignedQuantityFormat10

Definition: Signed quantity of security formats.

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <*ShrtLngPos*>	[1..1]	CodeSet		1186
	Quantity <*Qty*>	[1..1]	±	C6	1187

16.1.21.2.1 ShortLongPosition <ShrtLngPos>

Presence: [1..1]

Definition: Sign of the quantity of security.

Datatype: ShortLong1Code on page 1350

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 Quantity <Qty>

Presence: [1..1]

Definition: Quantity of security.

Impacted by: C6 DigitalTokenUnitUsageRule

Quantity <Qty> contains one of the following elements (see FinancialInstrumentQuantity33Choice on page 1185 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit *<Unit>*	[1..1]	Quantity		1186
Or	FaceAmount *<FaceAmt>*	[1..1]	Amount		1186
Or	AmortisedValue *<AmtsdVal>*	[1..1]	Amount		1186
Or}	DigitalTokenUnit *<DgtlTknUnit>*	[1..1]	Quantity		1186

Constraints

- **DigitalTokenUnitUsageRule**

  (Rule)

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

16.1.21.3 SignedQuantityFormat11

Definition: Signed quantity of security formats.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition *<ShrtLngPos>*	[1..1]	CodeSet		1187
	QuantityChoice *<QtyChc>*	[1..1]			1188
{Or	Quantity *<Qty>*	[1..1]	±	C6	1188
Or}	ProprietaryQuantity *<PrtryQty>*	[1..1]			1189
	Quantity *<Qty>*	[1..1]	Quantity		1189
	QuantityType *<QtyTp>*	[1..1]	Text		1189
	Issuer *<Issr>*	[1..1]	Text		1189
	SchemeName *<SchmeNm>*	[0..1]	Text		1189

16.1.21.3.1 ShortLongPosition <ShrtLngPos>

Presence: [1..1]

Definition: Sign of the quantity of security.

Datatype: ShortLong1Code on page 1350

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 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]	±	C6	1188
Or}	ProprietaryQuantity <*PrtryQty*>	[1..1]			1189
	Quantity <*Qty*>	[1..1]	Quantity		1189
	QuantityType <*QtyTp*>	[1..1]	Text		1189
	Issuer <*Issr*>	[1..1]	Text		1189
	SchemeName <*SchmeNm*>	[0..1]	Text		1189

16.1.21.3.2.1 Quantity <Qty>

Presence: [1..1]

Definition: Quantity of security.

Impacted by: C6 DigitalTokenUnitUsageRule

Quantity <Qty> contains one of the following elements (see FinancialInstrumentQuantity33Choice on page 1185 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Unit <*Unit*>	[1..1]	Quantity		1186
Or	FaceAmount <*FaceAmt*>	[1..1]	Amount		1186
Or	AmortisedValue <*AmtsdVal*>	[1..1]	Amount		1186
Or}	DigitalTokenUnit <*DgtlTknUnit*>	[1..1]	Quantity		1186

Constraints

- **DigitalTokenUnitUsageRule**

  (Rule)

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

16.1.21.3.2.2 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		1189
	QuantityType *<QtyTp>*	[1..1]	Text		1189
	Issuer *<Issr>*	[1..1]	Text		1189
	SchemeName *<SchmeNm>*	[0..1]	Text		1189

16.1.21.3.2.2.1 Quantity <Qty>

Presence: [1..1]

Definition: Provides the proprietary quantity with a decimal number.

Datatype: DecimalNumber on page 1355

16.1.21.3.2.2.2 QuantityType <QtyTp>

Presence: [1..1]

Definition: Identifies the type of proprietary quantity reported.

Datatype: Exact4AlphaNumericText on page 1357

16.1.21.3.2.2.3 Issuer <Issr>

Presence: [1..1]

Definition: Provides information related to issuer in free format.

Datatype: Max35Text on page 1359

16.1.21.3.2.2.4 SchemeName <SchmeNm>

Presence: [0..1]

Definition: Name of the identification scheme.

Datatype: Max35Text on page 1359

16.1.21.4 Quantity49Choice

Definition: Choice between different quantity of security formats.

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	QuantityChoice *<QtyChc>*	[1..1]			1190
{Or	OriginalAndCurrentFaceAmount *<OrgnlAndCurFaceAmt>*	[1..1]			1190
	ShortLongPosition *<ShrtLngPos>*	[1..1]	CodeSet		1191
	FaceAmount *<FaceAmt>*	[1..1]	Amount		1191
	AmortisedValue *<AmtsdVal>*	[1..1]	Amount		1191
Or}	SignedQuantity *<SgndQty>*	[1..1]	±		1191
Or}	ProprietaryQuantity *<PrtryQty>*	[1..1]			1191
	ShortLongPosition *<ShrtLngPos>*	[0..1]	CodeSet		1192
	Quantity *<Qty>*	[1..1]	Quantity		1192
	QuantityType *<QtyTp>*	[1..1]	Text		1192
	Issuer *<Issr>*	[1..1]	Text		1192
	SchemeName *<SchmeNm>*	[0..1]	Text		1192

16.1.21.4.1 QuantityChoice <QtyChc>

Presence: [1..1]

Definition: Choice between different quantity of security formats.

QuantityChoice <QtyChc> contains one of the following **Quantity50Choice** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	OriginalAndCurrentFaceAmount *<OrgnlAndCurFaceAmt>*	[1..1]			1190
	ShortLongPosition *<ShrtLngPos>*	[1..1]	CodeSet		1191
	FaceAmount *<FaceAmt>*	[1..1]	Amount		1191
	AmortisedValue *<AmtsdVal>*	[1..1]	Amount		1191
Or}	SignedQuantity *<SgndQty>*	[1..1]	±		1191

16.1.21.4.1.1 OriginalAndCurrentFaceAmount <OrgnlAndCurFaceAmt>

Presence: [1..1]

Definition: Signed face amount and amortised value of security.

OriginalAndCurrentFaceAmount <OrgnlAndCurFaceAmt> contains the following
OriginalAndCurrentQuantities6 elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1191
	FaceAmount <FaceAmt>	[1..1]	Amount		1191
	AmortisedValue <AmtsdVal>	[1..1]	Amount		1191

16.1.21.4.1.1.1 ShortLongPosition <ShrtLngPos>

Presence: [1..1]

Definition: Sign of the quantity of security.

Datatype: ShortLong1Code on page 1350

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.

16.1.21.4.1.1.2 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 1270

16.1.21.4.1.1.3 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 1270

16.1.21.4.1.2 SignedQuantity <SgndQty>

Presence: [1..1]

Definition: Signed quantity of security.

SignedQuantity <SgndQty> contains the following elements (see SignedQuantityFormat10 on page 1186 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShortLongPosition <ShrtLngPos>	[1..1]	CodeSet		1186
	Quantity <Qty>	[1..1]	±	C6	1187

16.1.21.4.2 ProprietaryQuantity <PrtryQty>

Presence: [1..1]

Definition: Proprietary quantity of security format.

ProprietaryQuantity <PrtryQty> contains the following **ProprietaryQuantity7** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	ShortLongPosition *<ShrtLngPos>*	[0..1]	CodeSet		1192
	Quantity *<Qty>*	[1..1]	Quantity		1192
	QuantityType *<QtyTp>*	[1..1]	Text		1192
	Issuer *<Issr>*	[1..1]	Text		1192
	SchemeName *<SchmeNm>*	[0..1]	Text		1192

16.1.21.4.2.1 ShortLongPosition <ShrtLngPos>

Presence: [0..1]

Definition: Sign of the quantity of security.

Datatype: ShortLong1Code on page 1350

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.

16.1.21.4.2.2 Quantity <Qty>

Presence: [1..1]

Definition: Provides the proprietary quantity with a decimal number.

Datatype: DecimalNumber on page 1355

16.1.21.4.2.3 QuantityType <QtyTp>

Presence: [1..1]

Definition: Identifies the type of proprietary quantity reported.

Datatype: Exact4AlphaNumericText on page 1357

16.1.21.4.2.4 Issuer <Issr>

Presence: [1..1]

Definition: Provides information related to issuer in free format.

Datatype: Max35Text on page 1359

16.1.21.4.2.5 SchemeName <SchmeNm>

Presence: [0..1]

Definition: Name of the identification scheme.

Datatype: Max35Text on page 1359

16.1.21.5 Quantity52Choice

Definition: Choice between different formats of securities quantity.

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1193
Or	OriginalAndCurrentFaceAmount *<OrgnlAndCurFaceAmt>*	[1..1]	±		1193
Or}	Quantity *<Qty>*	[1..1]	±	C6	1193

16.1.21.5.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify quantity of a financial instrument.

Datatype: Quantity1Code on page 1343

CodeName	Name	Definition
QALL	AllSecurities	Instruction applies to the entire eligible balance of underlying securities.

16.1.21.5.2 OriginalAndCurrentFaceAmount <OrgnlAndCurFaceAmt>

Presence: [1..1]

Definition: Face amount and amortised value of security.

OriginalAndCurrentFaceAmount <OrgnlAndCurFaceAmt> contains the following elements (see OriginalAndCurrentQuantities1 on page 1235 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	FaceAmount *<FaceAmt>*	[1..1]	Amount		1235
	AmortisedValue *<AmtsdVal>*	[1..1]	Amount		1235

16.1.21.5.3 Quantity <Qty>

Presence: [1..1]

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

Impacted by: C6 DigitalTokenUnitUsageRule

Quantity <Qty> contains one of the following elements (see FinancialInstrumentQuantity33Choice on page 1185 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Unit *<Unit>*	[1..1]	Quantity		1186
Or	FaceAmount *<FaceAmt>*	[1..1]	Amount		1186
Or	AmortisedValue *<AmtsdVal>*	[1..1]	Amount		1186
Or}	DigitalTokenUnit *<DgtlTknUnit>*	[1..1]	Quantity		1186

Constraints

• **DigitalTokenUnitUsageRule**

(Rule)

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

16.1.21.6 Quantity51Choice

Definition: Choice of format for the quantity.

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Quantity <*Qty*>	[1..1]	±	C6	1194
Or}	OriginalAndCurrentFace <*OrgnlAndCurFace*>	[1..1]	±		1194

16.1.21.6.1 Quantity <Qty>

Presence: [1..1]

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

Impacted by: C6 DigitalTokenUnitUsageRule

Quantity <Qty> contains one of the following elements (see FinancialInstrumentQuantity33Choice on page 1185 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Unit <*Unit*>	[1..1]	Quantity		1186
Or	FaceAmount <*FaceAmt*>	[1..1]	Amount		1186
Or	AmortisedValue <*AmtsdVal*>	[1..1]	Amount		1186
Or}	DigitalTokenUnit <*DgtlTknUnit*>	[1..1]	Quantity		1186

Constraints

• **DigitalTokenUnitUsageRule**

(Rule)

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

16.1.21.6.2 OriginalAndCurrentFace <OrgnlAndCurFace>

Presence: [1..1]

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

OriginalAndCurrentFace <OrgnlAndCurFace> contains the following elements (see OriginalAndCurrentQuantities1 on page 1235 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	FaceAmount <*FaceAmt*>	[1..1]	Amount		1235
	AmortisedValue <*AmtsdVal*>	[1..1]	Amount		1235

16.1.21.7 FinancialInstrumentQuantity35Choice

Definition: Choice between formats for the quantity of security.

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Unit *<Unit>*	[1..1]	Quantity		1195
Or	FaceAmount *<FaceAmt>*	[1..1]	Amount		1195
Or	AmortisedValue *<AmtsdVal>*	[1..1]	Amount		1195
Or	Code *<Cd>*	[1..1]	CodeSet		1195
Or}	DigitalTokenUnit *<DgtlTknUnit>*	[1..1]	Quantity		1196

Constraints

- **DigitalTokenUnitUsageRule**

  (Rule)

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

16.1.21.7.1 Unit <Unit>

Presence: [1..1]

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

Datatype: <u>DecimalNumber on page 1355</u>

16.1.21.7.2 FaceAmount <FaceAmt>

Presence: [1..1]

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

Datatype: <u>ImpliedCurrencyAndAmount on page 1270</u>

16.1.21.7.3 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: <u>ImpliedCurrencyAndAmount on page 1270</u>

16.1.21.7.4 Code <Cd>

Presence: [1..1]

Definition: Quantity expressed as a code.

Datatype: <u>Quantity5Code on page 1343</u>

CodeName	Name	Definition
UKWN	UnknownQuantity	Quantity is unknown by the sender or has not been established.

16.1.21.7.5 DigitalTokenUnit <DgtlTknUnit>

Presence: [1..1]

Definition: Quantity of digital tokens expressed as a number, for example, a number of blockchain tokens.

Datatype: Max30DecimalNumber on page 1355

16.1.21.8 FinancialInstrumentQuantity34Choice

Definition: Choice between formats for the quantity of security.

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Unit <*Unit*>	[1..1]	Quantity		1196
Or	FaceAmount <*FaceAmt*>	[1..1]	Amount		1196
Or	AmortisedValue <*AmtsdVal*>	[1..1]	Amount		1196
Or	Code <*Cd*>	[1..1]	CodeSet		1196
Or}	DigitalTokenUnit <*DgtlTknUnit*>	[1..1]	Quantity		1197

Constraints

- **DigitalTokenUnitUsageRule**

  (Rule)

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

16.1.21.8.1 Unit <Unit>

Presence: [1..1]

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

Datatype: DecimalNumber on page 1355

16.1.21.8.2 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 1270

16.1.21.8.3 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 1270

16.1.21.8.4 Code <Cd>

Presence: [1..1]

Definition: Quantity expressed as a code.

Datatype: Quantity4Code on page 1343

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.

16.1.21.8.5 DigitalTokenUnit <DgtlTknUnit>

Presence: [1..1]

Definition: Quantity of digital tokens expressed as a number, for example, a number of blockchain tokens.

Datatype: Max30DecimalNumber on page 1355

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		1197
Or}	NotSpecifiedRate <*NotSpcfdRate*>	[1..1]	CodeSet		1197

16.1.22.1.1 Rate <Rate>

Presence: [1..1]

Definition: Value is expressed as a rate.

Datatype: PercentageRate on page 1356

16.1.22.1.2 NotSpecifiedRate <NotSpcfdRate>

Presence: [1..1]

Definition: Value of the rate not specified.

Datatype: RateType5Code on page 1344

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

16.1.22.2 CorporateActionRate105

Definition: Specifies rates of a corporate action.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	InterestRate <IntrstRate>	[0..1]	±		1198
	PercentageSought <PctgSght>	[0..1]	±		1198
	RelatedIndex <RltdIndx>	[0..1]	±		1199
	Spread <Sprd>	[0..1]	±		1199
	BidInterval <BidIntrvl>	[0..1]	±		1199
	PreviousFactor <PrvsFctr>	[0..1]	±		1200
	NextFactor <NxtFctr>	[0..1]	±		1200
	ReinvestmentDiscountRateToMarket <RinvstmtDscntRateToMkt>	[0..1]	±		1200
	InterestShortfall <IntrstShrtfll>	[0..1]	±		1200
	RealisedLoss <RealsdLoss>	[0..1]	±		1201
	DeclaredRate <DclrdRate>	[0..1]	±		1201
	IndexFactor <IndxFctr>	[0..1]	±		1201

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.

16.1.22.2.1 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 RateAndAmountFormat37Choice on page 1230 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1230
Or	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1230
Or}	Amount <Amt>	[1..1]	Amount	C1	1230

16.1.22.2.2 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 1231 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1231
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1231

16.1.22.2.3 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 1197 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1197
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1197

16.1.22.2.4 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 1197 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1197
Or}	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1197

16.1.22.2.5 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 1229 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		1229
Or	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1229
Or	Amount <Amt>	[1..1]	Amount	C1	1229
Or}	IndexPoints <IndxPts>	[1..1]	Quantity		1230

16.1.22.2.6 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 1125 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Rate <*Rate*>	[1..1]	Rate		1125
Or}	NotSpecifiedRate <*NotSpcfdRate*>	[1..1]	CodeSet		1125

16.1.22.2.7 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 1125 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Rate <*Rate*>	[1..1]	Rate		1125
Or}	NotSpecifiedRate <*NotSpcfdRate*>	[1..1]	CodeSet		1125

16.1.22.2.8 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 1197 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Rate <*Rate*>	[1..1]	Rate		1197
Or}	NotSpecifiedRate <*NotSpcfdRate*>	[1..1]	CodeSet		1197

16.1.22.2.9 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 RateAndAmountFormat39Choice on page 1228 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Rate *<Rate>*	[1..1]	Rate		1228
Or}	Amount *<Amt>*	[1..1]	Amount	C1	1228

16.1.22.2.10 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 RateAndAmountFormat39Choice on page 1228 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Rate *<Rate>*	[1..1]	Rate		1228
Or}	Amount *<Amt>*	[1..1]	Amount	C1	1228

16.1.22.2.11 DeclaredRate <DclrdRate>

Presence: [0..1]

Definition: Dividend or interest rate declared by the issuer.

DeclaredRate <DclrdRate> contains one of the following elements (see RateAndAmountFormat39Choice on page 1228 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Rate *<Rate>*	[1..1]	Rate		1228
Or}	Amount *<Amt>*	[1..1]	Amount	C1	1228

16.1.22.2.12 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 1230 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Rate *<Rate>*	[1..1]	Rate		1230
Or	NotSpecifiedRate *<NotSpcfdRate>*	[1..1]	CodeSet		1230
Or}	Amount *<Amt>*	[1..1]	Amount	C1	1230

16.1.22.3 RateFormat22Choice

Definition: Choice between a rate or an unspecified rate.

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Rate *<Rate>*	[1..1]	Rate		1202
Or}	Amount *<Amt>*	[1..1]	Amount	C1	1202

16.1.22.3.1 Rate <Rate>

Presence: [1..1]

Definition: Value is expressed as a rate.

Datatype: PercentageRate on page 1356

16.1.22.3.2 Amount <Amt>

Presence: [1..1]

Definition: Cash amount.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

- **ActiveCurrency**

  (Rule)

  The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet 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 RateAndAmountFormat52Choice

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		1203
Or	Amount <*Amt*>	[1..1]	Amount	C1	1203
Or	RateTypeAndAmountAndRateStatus <*RateTpAndAmtAndRateSts*>	[1..1]			1204
	RateType <*RateTp*>	[1..1]			1204
{Or	Code <*Cd*>	[1..1]	CodeSet		1204
Or}	Proprietary <*Prtry*>	[1..1]	±		1205
	Amount <*Amt*>	[1..1]	Amount	C1	1205
	RateStatus <*RateSts*>	[0..1]		C61	1205
{Or	Code <*Cd*>	[1..1]	CodeSet		1206
Or}	Proprietary <*Prtry*>	[1..1]	±		1206
Or}	RateTypeAndRate <*RateTpAndRate*>	[1..1]			1206
	RateType <*RateTp*>	[1..1]			1207
{Or	Code <*Cd*>	[1..1]	CodeSet		1207
Or}	Proprietary <*Prtry*>	[1..1]	±		1207
	Rate <*Rate*>	[1..1]	Rate		1208

16.1.22.4.1 Rate <Rate>

Presence: [1..1]

Definition: Value expressed as a rate.

Datatype: PercentageRate on page 1356

16.1.22.4.2 Amount <Amt>

Presence: [1..1]

Definition: Value is expressed as a currency and amount.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

• **ActiveCurrency**

(Rule)

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

Presence: [1..1]

Definition: Value is expressed as a rate type and an amount.

RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts> contains the following **RateTypeAndAmountAndStatus37** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	RateType *<RateTp>*	[1..1]			1204
{Or	Code *<Cd>*	[1..1]	CodeSet		1204
Or}	Proprietary *<Prtry>*	[1..1]	±		1205
	Amount *<Amt>*	[1..1]	Amount	C1	1205
	RateStatus *<RateSts>*	[0..1]		C61	1205
{Or	Code *<Cd>*	[1..1]	CodeSet		1206
Or}	Proprietary *<Prtry>*	[1..1]	±		1206

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 **DeemedRateType1Choice** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1204
Or}	Proprietary *<Prtry>*	[1..1]	±		1205

16.1.22.4.3.1.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the type of deemed rate.

Datatype: DeemedRateType1Code on page 1320

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.

CodeName	Name	Definition
DEIT	DeemedInterestProceeds	Deemed rate of interest proceeds attributed to the security holder.
DERY	DeemedRoyaltiesProceeds	Deemed rate of royalties proceeds attributed to the security holder.

16.1.22.4.3.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of deemed rate.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

16.1.22.4.3.2 Amount <Amt>

Presence: [1..1]

Definition: Value expressed as an amount.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

- **ActiveCurrency**

  (Rule)

  The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet 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: C61 RateStatusGuideline

RateStatus <RateSts> contains one of the following **RateStatus3Choice** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1206
Or}	Proprietary *<Prtry>*	[1..1]	±		1206

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 1344

CodeName	Name	Definition
ACTU	ActualRate	Rate is actual.
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 GenericIdentification30 on page 965 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

16.1.22.4.4 RateTypeAndRate <RateTpAndRate>

Presence: [1..1]

Definition: Value is expressed as a rate type and a percentage rate.

RateTypeAndRate <RateTpAndRate> contains the following **RateTypeAndPercentageRate10** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	RateType *<RateTp>*	[1..1]			1207
{Or	Code *<Cd>*	[1..1]	CodeSet		1207
Or}	Proprietary *<Prtry>*	[1..1]	±		1207
	Rate *<Rate>*	[1..1]	Rate		1208

16.1.22.4.4.1 RateType <RateTp>

Presence: [1..1]

Definition: Value expressed as a rate type.

RateType <RateTp> contains one of the following **DeemedRateType1Choice** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1207
Or}	Proprietary *<Prtry>*	[1..1]	±		1207

16.1.22.4.4.1.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the type of deemed rate.

Datatype: DeemedRateType1Code on page 1320

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.

16.1.22.4.4.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of deemed rate.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		965
	Issuer <Issr>	[1..1]	Text		965
	SchemeName <SchmeNm>	[0..1]	Text		965

16.1.22.4.4.2 Rate <Rate>

Presence: [1..1]

Definition: Value expressed as a rate.

Datatype: PercentageRate on page 1356

16.1.22.5 RateAndAmountFormat51Choice

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		1208
Or	Amount <Amt>	[1..1]	Amount	C1	1209
Or	NotSpecifiedRate <NotSpcfdRate>	[1..1]	CodeSet		1209
Or	RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>	[1..1]			1209
	RateType <RateTp>	[1..1]			1210
{Or	Code <Cd>	[1..1]	CodeSet		1210
Or}	Proprietary <Prtry>	[1..1]	±		1210
	Amount <Amt>	[1..1]	Amount	C1	1211
	RateStatus <RateSts>	[0..1]		C61	1211
{Or	Code <Cd>	[1..1]	CodeSet		1212
Or}	Proprietary <Prtry>	[1..1]	±		1212
Or}	RateTypeAndRate <RateTpAndRate>	[1..1]			1212
	RateType <RateTp>	[1..1]			1212
{Or	Code <Cd>	[1..1]	CodeSet		1213
Or}	Proprietary <Prtry>	[1..1]	±		1213
	Rate <Rate>	[1..1]	Rate		1213

16.1.22.5.1 Rate <Rate>

Presence: [1..1]

Definition: Value expressed as a rate.

Datatype: PercentageRate on page 1356

16.1.22.5.2 Amount <Amt>

Presence: [1..1]

Definition: Value is expressed as a currency and amount.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

- **ActiveCurrency**

    (Rule)

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

    Error handling:

    – *Error severity:* Fatal

    – *Error Code:* D00005

    – *Error Text:* Invalid currency code

16.1.22.5.3 NotSpecifiedRate <NotSpcfdRate>

Presence: [1..1]

Definition: Value of the rate not specified.

Datatype: RateValueType7Code on page 1344

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

16.1.22.5.4 RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts>

Presence: [1..1]

Definition: Value is expressed as a rate type and an amount.

RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts> contains the following **RateTypeAndAmountAndStatus37** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	RateType *<RateTp>*	[1..1]			1210
{Or	Code *<Cd>*	[1..1]	CodeSet		1210
Or}	Proprietary *<Prtry>*	[1..1]	±		1210
	Amount *<Amt>*	[1..1]	Amount	C1	1211
	RateStatus *<RateSts>*	[0..1]		C61	1211
{Or	Code *<Cd>*	[1..1]	CodeSet		1212
Or}	Proprietary *<Prtry>*	[1..1]	±		1212

16.1.22.5.4.1 RateType <RateTp>

Presence: [1..1]

Definition: Value expressed as a rate type.

RateType <RateTp> contains one of the following **DeemedRateType1Choice** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1210
Or}	Proprietary *<Prtry>*	[1..1]	±		1210

16.1.22.5.4.1.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the type of deemed rate.

Datatype: DeemedRateType1Code on page 1320

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.

16.1.22.5.4.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of deemed rate.

Proprietary <Prtry> contains the following elements (see <u>GenericIdentification30 on page 965</u> for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

16.1.22.5.4.2 Amount <Amt>

Presence: [1..1]

Definition: Value expressed as an amount.

Impacted by: <u>C1 ActiveCurrency</u>

Datatype: <u>ActiveCurrencyAnd13DecimalAmount on page 1268</u>

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

  – *Error Text:* Invalid currency code

16.1.22.5.4.3 RateStatus <RateSts>

Presence: [0..1]

Definition: Value expressed as a rate status.

Impacted by: <u>C61 RateStatusGuideline</u>

RateStatus <RateSts> contains one of the following **RateStatus3Choice** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Code <*Cd*>	[1..1]	CodeSet		1212
Or}	Proprietary <*Prtry*>	[1..1]	±		1212

Constraints

- **RateStatusGuideline**

  (Guideline)

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

16.1.22.5.4.3.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the status of the rate.

Datatype: RateStatus1Code on page 1344

CodeName	Name	Definition
ACTU	ActualRate	Rate is actual.
INDI	IndicativeRate	Rate is indicative.

16.1.22.5.4.3.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the status of the rate.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

16.1.22.5.5 RateTypeAndRate <RateTpAndRate>

Presence: [1..1]

Definition: Value is expressed as a rate type and a percentage rate.

RateTypeAndRate <RateTpAndRate> contains the following **RateTypeAndPercentageRate10** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	RateType *<RateTp>*	[1..1]			1212
{Or	Code *<Cd>*	[1..1]	CodeSet		1213
Or}	Proprietary *<Prtry>*	[1..1]	±		1213
	Rate *<Rate>*	[1..1]	Rate		1213

16.1.22.5.5.1 RateType <RateTp>

Presence: [1..1]

Definition: Value expressed as a rate type.

RateType <RateTp> contains one of the following **DeemedRateType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1213
Or}	Proprietary <Prtry>	[1..1]	±		1213

16.1.22.5.5.1.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the type of deemed rate.

Datatype: DeemedRateType1Code on page 1320

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.

16.1.22.5.5.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of deemed rate.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		965
	Issuer <Issr>	[1..1]	Text		965
	SchemeName <SchmeNm>	[0..1]	Text		965

16.1.22.5.5.2 Rate <Rate>

Presence: [1..1]

Definition: Value expressed as a rate.

Datatype: PercentageRate on page 1356

16.1.22.6 SolicitationFeeRateFormat8Choice

Definition: Choice between a rate or an unspecified rate.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate *<Rate>*	[1..1]	Rate		1214
Or	AmountToQuantity *<AmtToQty>*	[1..1]			1214
	Amount *<Amt>*	[1..1]	Amount	C1	1214
	Quantity *<Qty>*	[1..1]	Quantity		1215
Or}	Amount *<Amt>*	[1..1]	Amount	C1	1215

16.1.22.6.1 Rate <Rate>

Presence: [1..1]

Definition: Value is expressed as a rate.

Datatype: PercentageRate on page 1356

16.1.22.6.2 AmountToQuantity <AmtToQty>

Presence: [1..1]

Definition: Ratio expressed as an amount to quantity ratio.

AmountToQuantity <AmtToQty> contains the following **AmountAndQuantityRatio4** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount *<Amt>*	[1..1]	Amount	C1	1214
	Quantity *<Qty>*	[1..1]	Quantity		1215

16.1.22.6.2.1 Amount <Amt>

Presence: [1..1]

Definition: Cash amount.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

- **ActiveCurrency**

  (Rule)

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

Presence: [1..1]

Definition: Quantity expressed as number.

Datatype: <u>DecimalNumber on page 1355</u>

16.1.22.6.3 Amount <Amt>

Presence: [1..1]

Definition: Cash amount.

Impacted by: <u>C1 ActiveCurrency</u>

Datatype: <u>ActiveCurrencyAnd13DecimalAmount on page 1268</u>

Constraints

- **ActiveCurrency**

  (Rule)

  The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet 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 RatioFormat19Choice

Definition: Choice of format to expressed a ratio.

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	QuantityToQuantity <*QtyToQty*>	[1..1]	±		1216
Or	AmountToAmount <*AmtToAmt*>	[1..1]			1216
	Amount1 <*Amt1*>	[1..1]	Amount	C1	1216
	Amount2 <*Amt2*>	[1..1]	Amount	C1	1216
Or	AmountToQuantity <*AmtToQty*>	[1..1]			1217
	Amount <*Amt*>	[1..1]	Amount	C1	1217
	Quantity <*Qty*>	[1..1]	Quantity		1218
Or}	QuantityToAmount <*QtyToAmt*>	[1..1]			1218
	Amount <*Amt*>	[1..1]	Amount	C1	1218
	Quantity <*Qty*>	[1..1]	Quantity		1218

16.1.22.7.1 QuantityToQuantity <QtyToQty>

Presence: [1..1]

Definition: Ratio expressed as a quotient of quantities.

QuantityToQuantity <QtyToQty> contains the following elements (see QuantityToQuantityRatio1 on page 955 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Quantity1 <*Qty1*>	[1..1]	Quantity		955
	Quantity2 <*Qty2*>	[1..1]	Quantity		955

16.1.22.7.2 AmountToAmount <AmtToAmt>

Presence: [1..1]

Definition: Ratio expressed as a quotient of amounts.

AmountToAmount <AmtToAmt> contains the following **AmountToAmountRatio2** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Amount1 <*Amt1*>	[1..1]	Amount	C1	1216
	Amount2 <*Amt2*>	[1..1]	Amount	C1	1216

16.1.22.7.2.1 Amount1 <Amt1>

Presence: [1..1]

Definition: Numerator of the quotient of amounts.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

• **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet 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 Amount2 <Amt2>

Presence: [1..1]

Definition: Denominator of the quotient of amounts.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

- **ActiveCurrency**

  (Rule)

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

Presence: [1..1]

Definition: Ratio expressed as an amount to quantity ratio.

AmountToQuantity <AmtToQty> contains the following **AmountAndQuantityRatio4** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Amount *<Amt>*	[1..1]	Amount	C1	1217
	Quantity *<Qty>*	[1..1]	Quantity		1218

16.1.22.7.3.1 Amount <Amt>

Presence: [1..1]

Definition: Cash amount.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

- **ActiveCurrency**

  (Rule)

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

  Error handling:

  – *Error severity:* Fatal

  – *Error Code:* D00005

– *Error Text:* Invalid currency code

16.1.22.7.3.2 Quantity <Qty>

Presence: [1..1]

Definition: Quantity expressed as number.

Datatype: DecimalNumber on page 1355

16.1.22.7.4 QuantityToAmount <QtyToAmt>

Presence: [1..1]

Definition: Ratio expressed as a quantity to amount ratio.

QuantityToAmount <QtyToAmt> contains the following **AmountAndQuantityRatio4** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Amount <*Amt*>	[1..1]	Amount	C1	1218
	Quantity <*Qty*>	[1..1]	Quantity		1218

16.1.22.7.4.1 Amount <Amt>

Presence: [1..1]

Definition: Cash amount.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

- **ActiveCurrency**

   (Rule)

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

   Error handling:

   – *Error severity:* Fatal

   – *Error Code:* D00005

   – *Error Text:* Invalid currency code

16.1.22.7.4.2 Quantity <Qty>

Presence: [1..1]

Definition: Quantity expressed as number.

Datatype: DecimalNumber on page 1355

16.1.22.8 RatioFormat20Choice

Definition: Choice of format to expressed a ratio.

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	QuantityToQuantity *<QtyToQty>*	[1..1]	±		1219
Or}	AmountToAmount *<AmtToAmt>*	[1..1]			1219
	Amount1 *<Amt1>*	[1..1]	Amount	C1	1219
	Amount2 *<Amt2>*	[1..1]	Amount	C1	1220

16.1.22.8.1 QuantityToQuantity <QtyToQty>

Presence: [1..1]

Definition: Ratio expressed as a quotient of quantities.

QuantityToQuantity <QtyToQty> contains the following elements (see QuantityToQuantityRatio1 on page 955 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Quantity1 *<Qty1>*	[1..1]	Quantity		955
	Quantity2 *<Qty2>*	[1..1]	Quantity		955

16.1.22.8.2 AmountToAmount <AmtToAmt>

Presence: [1..1]

Definition: Ratio expressed as a quotient of amounts.

AmountToAmount <AmtToAmt> contains the following **AmountToAmountRatio2** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Amount1 *<Amt1>*	[1..1]	Amount	C1	1219
	Amount2 *<Amt2>*	[1..1]	Amount	C1	1220

16.1.22.8.2.1 Amount1 <Amt1>

Presence: [1..1]

Definition: Numerator of the quotient of amounts.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

- **ActiveCurrency**

  (Rule)

  The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet 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 Amount2 <Amt2>

Presence: [1..1]

Definition: Denominator of the quotient of amounts.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

• **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet 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 InterestRateUsedForPaymentFormat7Choice

Definition: Choice between an amount or a rate.

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Rate <*Rate*>	[1..1]	Rate		1221
Or	Amount <*Amt*>	[1..1]	Amount	C1	1221
Or}	RateTypeAndAmountAndRateStatus <*RateTpAndAmtAndRateSts*>	[1..1]			1221
	RateType <*RateTp*>	[1..1]			1222
{Or	Code <*Cd*>	[1..1]	CodeSet		1222
Or}	Proprietary <*Prtry*>	[1..1]	±		1222
	Amount <*Amt*>	[1..1]	Amount	C1	1222
	RateStatus <*RateSts*>	[0..1]		C61	1223
{Or	Code <*Cd*>	[1..1]	CodeSet		1223
Or}	Proprietary <*Prtry*>	[1..1]	±		1223

16.1.22.9.1 Rate <Rate>

Presence: [1..1]

Definition: Value is expressed as a rate.

Datatype: PercentageRate on page 1356

16.1.22.9.2 Amount <Amt>

Presence: [1..1]

Definition: Number of monetary units specified in a currency.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

- **ActiveCurrency**

  (Rule)

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

Presence: [1..1]

Definition: Specifies different formats for interest rate used for payment.

RateTypeAndAmountAndRateStatus <RateTpAndAmtAndRateSts> contains the following **RateTypeAndAmountAndStatus24** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	RateType <*RateTp*>	[1..1]			1222
{Or	Code <*Cd*>	[1..1]	CodeSet		1222
Or}	Proprietary <*Prtry*>	[1..1]	±		1222
	Amount <*Amt*>	[1..1]	Amount	C1	1222
	RateStatus <*RateSts*>	[0..1]		C61	1223
{Or	Code <*Cd*>	[1..1]	CodeSet		1223
Or}	Proprietary <*Prtry*>	[1..1]	±		1223

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 **RateType33Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1222
Or}	Proprietary <Prtry>	[1..1]	±		1222

16.1.22.9.3.1.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the type of rate.

Datatype: RateType7Code on page 1344

CodeName	Name	Definition
SCHD	Scheduled	Rate of the scheduled payment.
USCD	Unscheduled	Rate of the unscheduled payment.

16.1.22.9.3.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of rate.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		965
	Issuer <Issr>	[1..1]	Text		965
	SchemeName <SchmeNm>	[0..1]	Text		965

16.1.22.9.3.2 Amount <Amt>

Presence: [1..1]

Definition: Value expressed as an amount.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

- **ActiveCurrency**

  (Rule)

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

Maintenance Agency, consist of three (3) contiguous letters, and are not yet 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: C61 RateStatusGuideline

RateStatus <RateSts> contains one of the following **RateStatus3Choice** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1223
Or}	Proprietary *<Prtry>*	[1..1]	±		1223

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 1344

CodeName	Name	Definition
ACTU	ActualRate	Rate is actual.
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 <u>GenericIdentification30 on page 965</u> for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

16.1.22.10 RateAndAmountFormat40Choice

Definition: Choice of format between a rate or a rate type and rate or an amount or a unspecified rate.

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Rate <*Rate*>	[1..1]	Rate		1224
Or	Amount <*Amt*>	[1..1]	Amount	C1	1224
Or}	RateTypeAndRate <*RateTpAndRate*>	[1..1]			1225
	RateType <*RateTp*>	[1..1]			1225
{Or	Code <*Cd*>	[1..1]	CodeSet		1225
Or}	Proprietary <*Prtry*>	[1..1]	±		1226
	Rate <*Rate*>	[1..1]	Rate		1226

16.1.22.10.1 Rate <Rate>

Presence: [1..1]

Definition: Value expressed as a rate.

Datatype: <u>PercentageRate on page 1356</u>

16.1.22.10.2 Amount <Amt>

Presence: [1..1]

Definition: Value is expressed as a currency and amount.

Impacted by: <u>C1 ActiveCurrency</u>

Datatype: <u>ActiveCurrencyAnd13DecimalAmount on page 1268</u>

Constraints

• **ActiveCurrency**

(Rule)

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

Presence: [1..1]

Definition: Value is expressed as a rate type and a percentage rate.

RateTypeAndRate <RateTpAndRate> contains the following **RateTypeAndPercentageRate8** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	RateType <*RateTp*>	[1..1]			1225
{Or	Code <*Cd*>	[1..1]	CodeSet		1225
Or}	Proprietary <*Prtry*>	[1..1]	±		1226
	Rate <*Rate*>	[1..1]	Rate		1226

16.1.22.10.3.1 RateType <RateTp>

Presence: [1..1]

Definition: Value expressed as a rate type.

RateType <RateTp> contains one of the following **RateType42Choice** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Code <*Cd*>	[1..1]	CodeSet		1225
Or}	Proprietary <*Prtry*>	[1..1]	±		1226

16.1.22.10.3.1.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the type of withholding tax rate.

Datatype: WithholdingTaxRateType1Code on page 1351

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).

16.1.22.10.3.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of withholding tax rate.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

16.1.22.10.3.2 Rate <Rate>

Presence: [1..1]

Definition: Value expressed as a rate.

Datatype: PercentageRate on page 1356

16.1.22.11 RateAndAmountFormat42Choice

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	1226
Or}	NotSpecifiedRate *<NotSpcfdRate>*	[1..1]	CodeSet		1227

16.1.22.11.1 Amount <Amt>

Presence: [1..1]

Definition: Number of monetary units specified in a currency.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

- **ActiveCurrency**

  (Rule)

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

Presence: [1..1]

Definition: Value of the rate not specified.

Datatype: RateValueType7Code on page 1344

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

16.1.22.12 RateFormat20Choice

Definition: Choice between a rate or an unspecified rate.

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Rate <*Rate*>	[1..1]	Rate		1227
Or	Amount <*Amt*>	[1..1]	Amount	C1	1227
Or}	NotSpecifiedRate <*NotSpcfdRate*>	[1..1]	CodeSet		1228

16.1.22.12.1 Rate <Rate>

Presence: [1..1]

Definition: Value is expressed as a rate.

Datatype: PercentageRate on page 1356

16.1.22.12.2 Amount <Amt>

Presence: [1..1]

Definition: Cash amount.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

• **ActiveCurrency**

(Rule)

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

Presence: [1..1]

Definition: Value of the rate not specified.

Datatype: RateValueType7Code on page 1344

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

16.1.22.13 RateAndAmountFormat39Choice

Definition: Choice of format between rate and amount.

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Rate *<Rate>*	[1..1]	Rate		1228
Or}	Amount *<Amt>*	[1..1]	Amount	C1	1228

16.1.22.13.1 Rate <Rate>

Presence: [1..1]

Definition: Value is expressed as a rate.

Datatype: PercentageRate on page 1356

16.1.22.13.2 Amount <Amt>

Presence: [1..1]

Definition: Value is expressed as a currency and amount.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

• **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet 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 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		1229
Or	NotSpecifiedRate *<NotSpcfdRate>*	[1..1]	CodeSet		1229
Or	Amount *<Amt>*	[1..1]	Amount	C1	1229
Or}	IndexPoints *<IndxPts>*	[1..1]	Quantity		1230

16.1.22.14.1 Rate <Rate>

Presence: [1..1]

Definition: Value expressed as a rate.

Datatype: PercentageRate on page 1356

16.1.22.14.2 NotSpecifiedRate <NotSpcfdRate>

Presence: [1..1]

Definition: Value of the rate not specified.

Datatype: RateValueType7Code on page 1344

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

16.1.22.14.3 Amount <Amt>

Presence: [1..1]

Definition: Value is expressed as a currency and amount.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

16.1.22.14.4 IndexPoints <IndxPts>

Presence: [1..1]

Definition: Price expressed in index points.

Datatype: DecimalNumber on page 1355

16.1.22.15 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		1230
Or	NotSpecifiedRate <*NotSpcfdRate*>	[1..1]	CodeSet		1230
Or}	Amount <*Amt*>	[1..1]	Amount	C1	1230

16.1.22.15.1 Rate <Rate>

Presence: [1..1]

Definition: Value expressed as a rate.

Datatype: PercentageRate on page 1356

16.1.22.15.2 NotSpecifiedRate <NotSpcfdRate>

Presence: [1..1]

Definition: Value of the rate not specified.

Datatype: RateValueType7Code on page 1344

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

16.1.22.15.3 Amount <Amt>

Presence: [1..1]

Definition: Value is expressed as a currency and amount.

Impacted by: C1 ActiveCurrency

Datatype: ActiveCurrencyAnd13DecimalAmount on page 1268

Constraints

• **ActiveCurrency**

(Rule)

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet 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 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		1231
Or}	NotSpecifiedRate *<NotSpcfdRate>*	[1..1]	CodeSet		1231

16.1.22.16.1 Rate <Rate>

Presence: [1..1]

Definition: Value is expressed as a rate.

Datatype: <u>PercentageRate on page 1356</u>

16.1.22.16.2 NotSpecifiedRate <NotSpcfdRate>

Presence: [1..1]

Definition: Value of the rate not specified.

Datatype: <u>RateType10Code on page 1344</u>

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 SafekeepingPlaceFormat28Choice

Definition: Choice of formats for a place of safekeeping.

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	Identification <*Id*>	[1..1]			1232
	SafekeepingPlaceType <*SfkpgPlcTp*>	[1..1]	CodeSet		1232
	Identification <*Id*>	[0..1]	Text		1232
Or	Country <*Ctry*>	[1..1]	CodeSet	C3	1232
Or	TypeAndIdentification <*TpAndId*>	[1..1]			1233
	SafekeepingPlaceType <*SfkpgPlcTp*>	[1..1]	CodeSet		1233
	Identification <*Id*>	[1..1]	IdentifierSet	C1	1233
Or}	Proprietary <*Prtry*>	[1..1]	±		1234

16.1.23.1.1 Identification <Id>

Presence: [1..1]

Definition: Place of safekeeping expressed as a code and a narrative description.

Identification <Id> contains the following **SafekeepingPlaceTypeAndText6** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	SafekeepingPlaceType <*SfkpgPlcTp*>	[1..1]	CodeSet		1232
	Identification <*Id*>	[0..1]	Text		1232

16.1.23.1.1.1 SafekeepingPlaceType <SfkpgPlcTp>

Presence: [1..1]

Definition: Place of safekeeping as a code.

Datatype: SafekeepingPlace2Code on page 1350

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.

16.1.23.1.1.2 Identification <Id>

Presence: [0..1]

Definition: Additional information about the place of safekeeping.

Datatype: Max35Text on page 1359

16.1.23.1.2 Country <Ctry>

Presence: [1..1]

Definition: Place of safekeeping expressed with a country code.

Impacted by: <u>C3 Country</u>

Datatype: <u>CountryCode on page 1318</u>

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.

16.1.23.1.3 TypeAndIdentification <TpAndId>

Presence: [1..1]

Definition: Place of safekeeping expressed with a type and identification.

TypeAndIdentification <TpAndId> contains the following **SafekeepingPlaceTypeAndIdentification1** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	SafekeepingPlaceType <*SfkpgPlcTp*>	[1..1]	CodeSet		1233
	Identification <*Id*>	[1..1]	IdentifierSet	C1	1233

16.1.23.1.3.1 SafekeepingPlaceType <SfkpgPlcTp>

Presence: [1..1]

Definition: Place of safekeeping as a code.

Datatype: <u>SafekeepingPlace1Code on page 1349</u>

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.

16.1.23.1.3.2 Identification <Id>

Presence: [1..1]

Definition: Place of safekeeping.

Impacted by: C1 AnyBIC

Datatype: AnyBICDec2014Identifier on page 1352

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.

16.1.23.1.4 Proprietary <Prtry>

Presence: [1..1]

Definition: Place of safekeeping expressed with a propriety identification scheme.

Proprietary <Prtry> contains the following elements (see GenericIdentification78 on page 961 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Type <Tp>	[1..1]	±		961
	Identification <Id>	[0..1]	Text		962

16.1.24   Securities Quantity

16.1.24.1 FinancialInstrumentQuantity18Choice

Definition: Choice between formats for the quantity of security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		1234
Or}	FaceAmount <FaceAmt>	[1..1]	Amount		1235

16.1.24.1.1 Unit <Unit>

Presence: [1..1]

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

Datatype: DecimalNumber on page 1355

16.1.24.1.2 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 1270

16.1.24.2 OriginalAndCurrentQuantities1

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

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	FaceAmount <*FaceAmt*>	[1..1]	Amount		1235
	AmortisedValue <*AmtsdVal*>	[1..1]	Amount		1235

16.1.24.2.1 FaceAmount <FaceAmt>

Presence: [1..1]

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

Datatype: ImpliedCurrencyAndAmount on page 1270

16.1.24.2.2 AmortisedValue <AmtsdVal>

Presence: [1..1]

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

Datatype: ImpliedCurrencyAndAmount on page 1270

16.1.25   Settlement Chain

16.1.25.1 SettlementParties102

Definition: Specifies settlement parties (delivering/receiving).

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Depository *<Dpstry>*	[0..1]		C3	1237
	Identification *<Id>*	[1..1]			1237
{Or	AnyBIC *<AnyBIC>*	[1..1]	IdentifierSet	C1	1238
Or	NameAndAddress *<NmAndAdr>*	[1..1]	±		1238
Or}	Country *<Ctry>*	[1..1]	CodeSet	C3	1238
	ProcessingIdentification *<PrcgId>*	[0..1]	Text		1239
	AlternateIdentification *<AltrnId>*	[0..*]	±		1239
	Party1 *<Pty1>*	[0..1]	±	C4, C53, C55, C57	1239
	Party2 *<Pty2>*	[0..1]	±	C4, C53, C55, C57	1241
	Party3 *<Pty3>*	[0..1]	±	C4, C53, C55, C57	1242

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 AdditionalInforrmationRule

Depository <Dpstry> contains the following **PartyIdentification143** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]			1237
{Or	AnyBIC <*AnyBIC*>	[1..1]	IdentifierSet	C1	1238
Or	NameAndAddress <*NmAndAdr*>	[1..1]	±		1238
Or}	Country <*Ctry*>	[1..1]	CodeSet	C3	1238
	ProcessingIdentification <*PrcgId*>	[0..1]	Text		1239
	AlternateIdentification <*AltrnId*>	[0..*]	±		1239

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.

16.1.25.1.1.1 Identification <Id>

Presence: [1..1]

Definition: Identification of a party.

Identification <Id> contains one of the following **PartyIdentification122Choice** elements

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <*AnyBIC*>	[1..1]	IdentifierSet	C1	1238
Or	NameAndAddress <*NmAndAdr*>	[1..1]	±		1238
Or}	Country <*Ctry*>	[1..1]	CodeSet	C3	1238

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 1352

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 NameAndAddress5 on page 1154 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Name <*Nm*>	[1..1]	Text		1155
	Address <*Adr*>	[0..1]	±		1155

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 1318

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 <PrcgId>

Presence: [0..1]

Definition: Reference meaningful to the party identified.

Datatype: Max35Text on page 1359

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 AlternatePartyIdentification7 on page 1130 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IdentificationType <IdTp>	[1..1]	±		1130
	Country <Ctry>	[1..1]	CodeSet	C3	1130
	AlternateIdentification <AltrnId>	[1..1]	Text		1131

16.1.25.1.2 Party1 <Pty1>

Presence: [0..1]

Definition: Party that interacts with the depository.

Impacted by: C4 AdditionalInforrmationRule,   C53 SafekeepingAccountOrBlockChainAddress1Rule   ,   C55 SafekeepingAccountOrBlockChainAddress2Rule   ,   C57 SafekeepingAccountOrBlockChainAddress3Rule

Party1 <Pty1> contains the following elements (see PartyIdentificationAndAccount204 on page 1131 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		1132
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		1133
	BlockChainAddressOrWallet <BlckChainAdrOrWllt>	[0..1]	Text		1133
	ProcessingIdentification <PrcgId>	[0..1]	Text		1133
	AlternateIdentification <AltrnId>	[0..*]	±		1133

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.

16.1.25.1.3 Party2 <Pty2>

Presence: [0..1]

Definition: Party that interacts with the party1.

Impacted by: C4 AdditionalInforrmationRule,   C53
SafekeepingAccountOrBlockChainAddress1Rule   ,   C55
SafekeepingAccountOrBlockChainAddress2Rule   ,   C57
SafekeepingAccountOrBlockChainAddress3Rule

Party2 <Pty2> contains the following elements (see PartyIdentificationAndAccount204 on page 1131 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	±		1132
	SafekeepingAccount *<SfkpgAcct>*	[0..1]	Text		1133
	BlockChainAddressOrWallet *<BlckChainAdrOrWllt>*	[0..1]	Text		1133
	ProcessingIdentification *<PrcgId>*	[0..1]	Text		1133
	AlternateIdentification *<AltrnId>*	[0..*]	±		1133

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 AdditionalInforrmationRule,   C53
SafekeepingAccountOrBlockChainAddress1Rule   ,   C55
SafekeepingAccountOrBlockChainAddress2Rule   ,   C57
SafekeepingAccountOrBlockChainAddress3Rule

Party3 <Pty3> contains the following elements (see PartyIdentificationAndAccount204 on page 1131 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	±		1132
	SafekeepingAccount <*SfkpgAcct*>	[0..1]	Text		1133
	BlockChainAddressOrWallet <*BlckChainAdrOrWllt*>	[0..1]	Text		1133
	ProcessingIdentification <*PrcgId*>	[0..1]	Text		1133
	AlternateIdentification <*AltrnId*>	[0..*]	±		1133

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.

16.1.26 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		1244

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 1335

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

16.1.26.2 RejectedStatus53Choice

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		1244
Or}	Reason <*Rsn*>	[1..*]		C5	1244
	ReasonCode <*RsnCd*>	[1..1]			1245
{Or	Code <*Cd*>	[1..1]	CodeSet		1245
Or}	Proprietary <*Prtry*>	[1..1]	±		1246
	AdditionalReasonInformation <*AddtlRsnInf*>	[0..1]	Text		1246

16.1.26.2.1 NoSpecifiedReason <NoSpcfdRsn>

Presence: [1..1]

Definition: Reason not specified.

Datatype: NoReasonCode on page 1335

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 AdditionalReasonInforrmationRule

Reason <Rsn> contains the following **RejectedStatusReason52** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ReasonCode <RsnCd>	[1..1]			1245
{Or	Code <Cd>	[1..1]	CodeSet		1245
Or}	Proprietary <Prtry>	[1..1]	±		1246
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		1246

Constraints

- **AdditionalReasonInforrmationRule**

  (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 **RejectedReason55Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1245
Or}	Proprietary <Prtry>	[1..1]	±		1246

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 1348

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.

CodeName	Name	Definition
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 GenericIdentification30 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

16.1.26.2.2.2 AdditionalReasonInformation <AddtlRsnInf>

Presence: [0..1]

Definition: Provides additional information about the processed instruction.

Datatype: Max210Text on page 1358

16.1.26.3 RejectedStatus43Choice

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		1247
Or}	Reason *<Rsn>*	[1..*]		C4	1247
	ReasonCode *<RsnCd>*	[1..1]			1247
{Or	Code *<Cd>*	[1..1]	CodeSet		1248
Or}	Proprietary *<Prtry>*	[1..1]	±		1249
	AdditionalReasonInformation *<AddtlRsnInf>*	[0..1]	Text		1250

16.1.26.3.1 NoSpecifiedReason <NoSpcfdRsn>

Presence: [1..1]

Definition: Reason not specified.

Datatype: NoReasonCode on page 1335

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 AdditionalReasonInforrmationRule

Reason <Rsn> contains the following **RejectedStatusReason41** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	ReasonCode *<RsnCd>*	[1..1]			1247
{Or	Code *<Cd>*	[1..1]	CodeSet		1248
Or}	Proprietary *<Prtry>*	[1..1]	±		1249
	AdditionalReasonInformation *<AddtlRsnInf>*	[0..1]	Text		1250

Constraints

- **AdditionalReasonInforrmationRule**

  (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 **RejectedReason43Choice** elements

Or	MessageElement**<XML Tag>**	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1248
Or}	Proprietary *<Prtry>*	[1..1]	±		1249

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 1345

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).
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.
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 <u>GenericIdentification30 on page 965</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

16.1.26.3.2.2 AdditionalReasonInformation <AddtlRsnInf>

Presence: [0..1]

Definition: Provides additional information about the processed instruction.

Datatype: <u>Max210Text on page 1358</u>

16.1.26.4 PendingStatus66Choice

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		1250
Or}	Reason *<Rsn>*	[1..*]		C6	1250
	ReasonCode *<RsnCd>*	[1..1]	±		1251
	AdditionalReasonInformation *<AddtlRsnInf>*	[0..1]	Text		1251

16.1.26.4.1 NoSpecifiedReason <NoSpcfdRsn>

Presence: [1..1]

Definition: Reason not specified.

Datatype: <u>NoReasonCode on page 1335</u>

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 pending status.

Impacted by: <u>C6 AdditionalReasonInforrmationRule</u>

Reason <Rsn> contains the following **PendingStatusReason24** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ReasonCode <RsnCd>	[1..1]	±		1251
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		1251

Constraints

- **AdditionalReasonInforrmationRule**

  (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's processing is pending.

ReasonCode <RsnCd> contains one of the following elements (see <u>PendingReason62Choice on page 1255</u> for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1255
Or}	Proprietary <Prtry>	[1..1]	±		1256

16.1.26.4.2.2 AdditionalReasonInformation <AddtlRsnInf>

Presence: [0..1]

Definition: Provides additional information about the processed instruction.

Datatype: <u>Max210Text on page 1358</u>

16.1.26.5 RejectedStatus41Choice

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		1252
Or}	Reason <Rsn>	[1..*]		C5	1252
	ReasonCode <RsnCd>	[1..1]			1252
{Or	Code <Cd>	[1..1]	CodeSet		1252
Or}	Proprietary <Prtry>	[1..1]	±		1254
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		1255

16.1.26.5.1 NoSpecifiedReason <NoSpcfdRsn>

Presence: [1..1]

Definition: Reason not specified.

Datatype: NoReasonCode on page 1335

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

16.1.26.5.2 Reason <Rsn>

Presence: [1..*]

Definition: Reason for the rejected status.

Impacted by: C5 AdditionalReasonInforrmationRule

Reason <Rsn> contains the following **RejectedStatusReason39** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	ReasonCode *<RsnCd>*	[1..1]			1252
{Or	Code *<Cd>*	[1..1]	CodeSet		1252
Or}	Proprietary *<Prtry>*	[1..1]	±		1254
	AdditionalReasonInformation *<AddtlRsnInf>*	[0..1]	Text		1255

Constraints

- **AdditionalReasonInforrmationRule**

  (Rule)

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

16.1.26.5.2.1 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 **RejectedReason41Choice** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1252
Or}	Proprietary *<Prtry>*	[1..1]	±		1254

16.1.26.5.2.1.1 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 1346

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.
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

CodeName	Name	Definition
		(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.

16.1.26.5.2.1.2 Proprietary <Prtry>

Presence: [1..1]

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

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

16.1.26.5.2.2 AdditionalReasonInformation <AddtlRsnInf>

Presence: [0..1]

Definition: Provides additional information about the processed instruction.

Datatype: Max210Text on page 1358

16.1.26.6 PendingReason62Choice

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		1255
Or}	Proprietary *<Prtry>*	[1..1]	±		1256

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: PendingReason23Code on page 1340

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.

CodeName	Name	Definition
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.

16.1.26.6.2 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 GenericIdentification30 on page 965 for details)

Or	MessageElement<*XML Tag*>	Mult.	Type	Constr. No.	Page
	Identification <*Id*>	[1..1]	Text		965
	Issuer <*Issr*>	[1..1]	Text		965
	SchemeName <*SchmeNm*>	[0..1]	Text		965

16.1.26.7 PendingReason54Choice

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		1256
Or}	Proprietary <*Prtry*>	[1..1]	±		1257

16.1.26.7.1 Code <Cd>

Presence: [1..1]

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

Datatype: PendingReason19Code on page 1339

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.

CodeName	Name	Definition
MCER	MissingCertification	Awaiting receipt of adequate certification.

16.1.26.7.2 Proprietary <Prtry>

Presence: [1..1]

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

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

16.1.26.8 PendingStatusReason18

Definition: Specifies reasons for the pending status.

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	ReasonCode *<RsnCd>*	[1..1]	±		1257
	AdditionalReasonInformation *<AddtlRsnInf>*	[0..1]	Text		1257

Constraints

- **AdditionalReasonInforrmationRule**

  (Rule)

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

16.1.26.8.1 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 PendingReason54Choice on page 1256 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1256
Or}	Proprietary *<Prtry>*	[1..1]	±		1257

16.1.26.8.2 AdditionalReasonInformation <AddtlRsnInf>

Presence: [0..1]

Definition: Provides additional information about the processed instruction.

Datatype: Max210Text on page 1358

16.1.26.9 ProprietaryReason4

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

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Reason *<Rsn>*	[0..1]	±		1258
	AdditionalReasonInformation *<AddtlRsnInf>*	[0..1]	Text		1258

Constraints

- **AdditionalReasonInforrmationRule**

  (Rule)

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

16.1.26.9.1 Reason <Rsn>

Presence: [0..1]

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

Reason <Rsn> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

16.1.26.9.2 AdditionalReasonInformation <AddtlRsnInf>

Presence: [0..1]

Definition: Provides additional information about the processed instruction.

Datatype: Max210Text on page 1358

16.1.26.10 PendingCancellationStatus7Choice

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		1259
Or}	Reason <Rsn>	[1..*]		C1, C5	1259
	ReasonCode <RsnCd>	[1..1]			1260
{Or	Code <Cd>	[1..1]	CodeSet		1260
Or}	Proprietary <Prtry>	[1..1]	±		1260
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		1260

16.1.26.10.1 NotSpecifiedReason <NotSpcfdRsn>

Presence: [1..1]

Definition: Reason not specified.

Datatype: NoReasonCode on page 1335

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

16.1.26.10.2 Reason <Rsn>

Presence: [1..*]

Definition: Reason for the pending cancellation status.

Impacted by: C1 AccountServicerDeadlineMissedGuideline, C5 AdditionalReasonInforrmationRule

Reason <Rsn> contains the following **PendingCancellationStatusReason7** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ReasonCode <RsnCd>	[1..1]			1260
{Or	Code <Cd>	[1..1]	CodeSet		1260
Or}	Proprietary <Prtry>	[1..1]	±		1260
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		1260

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.

- **AdditionalReasonInforrmationRule**

  (Rule)

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

16.1.26.10.2.1 ReasonCode <RsnCd>

Presence: [1..1]

Definition: Specifies the reason why the cancellation request is pending.

ReasonCode <RsnCd> contains one of the following **PendingCancellationReason5Choice** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1260
Or}	Proprietary *<Prtry>*	[1..1]	±		1260

16.1.26.10.2.1.1 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 1339

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.

16.1.26.10.2.1.2 Proprietary <Prtry>

Presence: [1..1]

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

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

16.1.26.10.2.2 AdditionalReasonInformation <AddtlRsnInf>

Presence: [0..1]

Definition: Provides additional information about the processed instruction.

Datatype: Max210Text on page 1358

16.1.26.11 CancelledStatus11Choice

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

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason *<NoSpcfdRsn>*	[1..1]	CodeSet		1261
Or}	Reason *<Rsn>*	[1..*]		C4	1261
	ReasonCode *<RsnCd>*	[1..1]			1262
{Or	Code *<Cd>*	[1..1]	CodeSet		1262
Or}	Proprietary *<Prtry>*	[1..1]	±		1262
	AdditionalReasonInformation *<AddtlRsnInf>*	[0..1]	Text		1262

16.1.26.11.1 NoSpecifiedReason *<NoSpcfdRsn>*

Presence: [1..1]

Definition: Reason not specified.

Datatype: NoReasonCode on page 1335

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 cancelled status.

Impacted by: C4 AdditionalReasonInforrmationRule

Reason <Rsn> contains the following **CancelledStatusReason12** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	ReasonCode *<RsnCd>*	[1..1]			1262
{Or	Code *<Cd>*	[1..1]	CodeSet		1262
Or}	Proprietary *<Prtry>*	[1..1]	±		1262
	AdditionalReasonInformation *<AddtlRsnInf>*	[0..1]	Text		1262

Constraints

- **AdditionalReasonInforrmationRule**

  (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 instruction or instruction cancellation has been cancelled.

ReasonCode <RsnCd> contains one of the following **CancelledReason9Choice** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1262
Or}	Proprietary *<Prtry>*	[1..1]	±		1262

16.1.26.11.2.1.1 Code <Cd>

Presence: [1..1]

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

Datatype: CancelledStatusReason5Code on page 1279

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

16.1.26.11.2.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification specifying the reason why the instruction is cancelled.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

16.1.26.11.2.2 AdditionalReasonInformation <AddtlRsnInf>

Presence: [0..1]

Definition: Provides additional information about the processed instruction.

Datatype: Max210Text on page 1358

16.1.26.12 AcceptedStatus8Choice

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

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason *<NoSpcfdRsn>*	[1..1]	CodeSet		1263
Or}	Reason *<Rsn>*	[1..*]		C4	1263
	ReasonCode *<RsnCd>*	[1..1]			1263
{Or	Code *<Cd>*	[1..1]	CodeSet		1264
Or}	Proprietary *<Prtry>*	[1..1]	±		1264
	AdditionalReasonInformation *<AddtlRsnInf>*	[0..1]	Text		1264

16.1.26.12.1 NoSpecifiedReason <NoSpcfdRsn>

Presence: [1..1]

Definition: Reason not specified.

Datatype: NoReasonCode on page 1335

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 accepted status.

Impacted by: C4 AdditionalReasonInforrmationRule

Reason <Rsn> contains the following **AcceptedStatusReason9** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	ReasonCode *<RsnCd>*	[1..1]			1263
{Or	Code *<Cd>*	[1..1]	CodeSet		1264
Or}	Proprietary *<Prtry>*	[1..1]	±		1264
	AdditionalReasonInformation *<AddtlRsnInf>*	[0..1]	Text		1264

Constraints

- **AdditionalReasonInforrmationRule**

  (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 accepted.

ReasonCode <RsnCd> contains one of the following **AcceptedReason10Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		1264
Or}	Proprietary <Prtry>	[1..1]	±		1264

16.1.26.12.2.1.1 Code <Cd>

Presence: [1..1]

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

Datatype: AcknowledgementReason7Code on page 1270

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

16.1.26.12.2.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of additional information about the processed instruction.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		965
	Issuer <Issr>	[1..1]	Text		965
	SchemeName <SchmeNm>	[0..1]	Text		965

16.1.26.12.2.2 AdditionalReasonInformation <AddtlRsnInf>

Presence: [0..1]

Definition: Provides additional information about the processed instruction.

Datatype: Max210Text on page 1358

16.1.26.13 CancelledStatus12Choice

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		1265
Or}	Reason <Rsn>	[1..*]		C3	1265
	ReasonCode <RsnCd>	[1..1]			1265
{Or	Code <Cd>	[1..1]	CodeSet		1266
Or}	Proprietary <Prtry>	[1..1]	±		1266
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		1266

16.1.26.13.1 NoSpecifiedReason <NoSpcfdRsn>

Presence: [1..1]

Definition: Reason not specified.

Datatype: <u>NoReasonCode on page 1335</u>

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

16.1.26.13.2 Reason <Rsn>

Presence: [1..*]

Definition: Reason for the cancelled status.

Impacted by: <u>C3 AdditionalReasonInforrmationRule</u>

Reason <Rsn> contains the following **CancelledStatusReason11** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ReasonCode <RsnCd>	[1..1]			1265
{Or	Code <Cd>	[1..1]	CodeSet		1266
Or}	Proprietary <Prtry>	[1..1]	±		1266
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		1266

Constraints

- **AdditionalReasonInforrmationRule**

  (Rule)

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

16.1.26.13.2.1 ReasonCode <RsnCd>

Presence: [1..1]

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

ReasonCode <RsnCd> contains one of the following **CancelledReason8Choice** elements

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
{Or	Code *<Cd>*	[1..1]	CodeSet		1266
Or}	Proprietary *<Prtry>*	[1..1]	±		1266

16.1.26.13.2.1.1 Code <Cd>

Presence: [1..1]

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

Datatype: CancelledStatusReason6Code on page 1279

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.

16.1.26.13.2.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification specifying the reason why the instruction is cancelled.

Proprietary <Prtry> contains the following elements (see GenericIdentification30 on page 965 for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

16.1.26.13.2.2 AdditionalReasonInformation <AddtlRsnInf>

Presence: [0..1]

Definition: Provides additional information about the processed instruction.

Datatype: Max210Text on page 1358

16.1.26.14 ProprietaryStatusAndReason6

Definition: Provides the proprietary status and reason of an instruction or an instruction cancellation.

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	ProprietaryStatus *<PrtrySts>*	[1..1]	±		1267
	ProprietaryReason *<PrtryRsn>*	[0..*]	±	C2	1267

16.1.26.14.1 ProprietaryStatus <PrtrySts>

Presence: [1..1]

Definition: Proprietary identification of the status related to an instruction.

ProprietaryStatus <PrtrySts> contains the following elements (see <u>GenericIdentification30 on page 965</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Identification *<Id>*	[1..1]	Text		965
	Issuer *<Issr>*	[1..1]	Text		965
	SchemeName *<SchmeNm>*	[0..1]	Text		965

16.1.26.14.2 ProprietaryReason <PrtryRsn>

Presence: [0..*]

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

Impacted by: <u>C2 AdditionalReasonInforrmationRule</u>

ProprietaryReason <PrtryRsn> contains the following elements (see <u>ProprietaryReason4 on page 1258</u> for details)

Or	MessageElement*<XML Tag>*	Mult.	Type	Constr. No.	Page
	Reason *<Rsn>*	[0..1]	±		1258
	AdditionalReasonInformation *<AddtlRsnInf>*	[0..1]	Text		1258

Constraints

- **AdditionalReasonInforrmationRule**

   (Rule)

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

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		1268
Or}	Proprietary *<Prtry>*	[1..1]	Text		1268

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 1323

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 1359

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 1270

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 ActiveCurrencyAndAmount

Definition: A number of monetary units specified in an active currency where the unit of currency is explicit and compliant with ISO 4217.

Type: Amount

This data type contains the following XML attribute:

Name	Attribute XML Name	Datatype
Currency	Ccy	ActiveCurrencyCode on page 1270

Format

minInclusive	0
totalDigits	18
fractionDigits	5

Constraints

• **ActiveCurrency**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00005

– *Error Text:* Invalid currency code

• **CurrencyAmount**

(Rule)

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

Note: The decimal separator is a dot.

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00007

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

16.2.1.3 ImpliedCurrencyAndAmount

Definition: Number of monetary units specified in a currency where the unit of currency is implied by the context and compliant with ISO 4217. The decimal separator is a dot.

Note: a zero amount is considered a positive amount.

Type: Amount

Format

minInclusive	0
totalDigits	18
fractionDigits	5

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

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.
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.

16.2.2.5 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

CodeName	Name	Definition
		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.
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).

CodeName	Name	Definition
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.
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.

CodeName	Name	Definition
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

CodeName	Name	Definition
		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.

CodeName	Name	Definition
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.

CodeName	Name	Definition
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.
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 Mesage (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.
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	Withrawal	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.

CodeName	Name	Definition
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 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.
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

CodeName	Name	Definition
		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. For example, consent to change the terms of a bond.
CONV	Conversion	Conversion of securities (generally convertible bonds or preferred shares)

CodeName	Name	Definition
		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.
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

CodeName	Name	Definition
		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.
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.

CodeName	Name	Definition
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.
REMK	RemarketingAgreement	Purchase and sale of remarketed preferred equities/bonds through the negotiation of interest rate between the issuers and the holders.

CodeName	Name	Definition
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.
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

CodeName	Name	Definition
		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

CodeName	Name	Definition
		(RHDI). This code is used for the second event, when an intermediate securities' issue (rights/coupons) is composed of two events, the first event being the distribution of intermediate securities.
CAPD	CapitalDistribution	Corporate event pays shareholders an amount in cash issued from the capital account. There is no reduction to the face value of a single share (or the share has no par value). The number of circulating shares remains unchanged.
CAPG	CapitalGainsDistribution	Event is the distribution of profits resulting from the sale of securities. Shareholders of mutual funds, unit trusts, or SICAVs are recipients of capital gains distributions and are often reinvested in additional shares of the fund.
CAPI	Capitalisation	Increase of the current principal of a debt instrument without increasing the nominal value. It normally arises from the incorporation of due but unpaid interest into the principal. This is commonly done by increasing the pool factor value, for example, capitalisation, and negative amortisation.
DRCA	CashDistributionFromNonEligibleSecuritiesSales	Distribution to shareholders of cash resulting from the selling of non-eligible securities, for example, in the frame of a depositary receipt program.
DVCA	CashDividend	Distribution of cash to shareholders, in proportion to their equity holding. Ordinary dividends are recurring and regular. Shareholder must take cash and may be offered a choice of currency.
CHAN	Change	Information regarding a change further described in the corporate action details.
COOP	CompanyOption	Company option may be granted by the company, allowing the holder to take up 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

CodeName	Name	Definition
		join a class action proceeding and would need to respond with an instruction.
CONS	Consent	Procedure that aims to obtain consent of holder to a proposal by the issuer or a third party without convening a meeting. For example, consent to change the terms of a bond.
CONV	Conversion	Conversion of securities (generally convertible bonds or preferred shares) into another form of securities (usually common shares) at a pre-stated price/ratio.
CREV	CreditEvent	Occurrence of credit derivative for which the issuer of one or several underlying securities is unable to fulfill its financial obligations (as defined in terms and conditions).
DECR	DecreaseInValue	Reduction of face value of a single share or the value of fund assets. The number of circulating shares/units remains unchanged. This event may include a cash payout to holders.
DETI	Detachment	Separation of components that comprise a security, for example, usually units comprised of warrants and bond or warrants and equity. Units may be broken up at the request of the security holder or based on market convention.
DSCL	Disclosure	Requirement for holders or beneficial owners to disclose their name, location and holdings of any issue to the issuer.
DVOP	DividendOption	Distribution of a dividend to shareholders with a choice of benefit to receive. Shareholders may choose to receive shares or cash. To be distinguished from DRIP as the company creates new share capital in exchange for the dividend rather than investing the dividend in the market.
DRIP	DividendReinvestment	Dividend payment where holders can keep cash or have the cash reinvested in the market by the issuer into additional shares in the issuing company. To be distinguished from DVOP as the company invests the dividend in the market rather than creating new share capital in exchange for the dividend.
DRAW	Drawing	Securities are redeemed in part before the scheduled final maturity date. It is done without any pool factor reduction. The redemption is reflected in a debit of 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.

CodeName	Name	Definition
DTCH	DutchAuction	Action by a party wishing to acquire a security. Holders of the security are invited to make an offer to sell, within a specific price range. The acquiring party will buy from the holder with lowest offer.
EXOF	Exchange	Exchange of holdings for other securities and/or cash. The exchange can be either mandatory or voluntary involving the exchange of outstanding securities for different securities and/or cash. For example "exchange offer", "capital reorganisation" or "funds separation".
REDM	FinalMaturity	Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, at final maturity.
MCAL	FullCall	Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, before final maturity.
INCR	IncreaseInValue	Increase in the face value of a single security. The number of circulating securities remains unchanged.
PPMT	InstalmentCall	Instalment towards the purchase of equity capital, subject to an agreement between an issuer and a purchaser.
INTR	InterestPayment	Interest payment distributed to holders of an interest bearing asset.
RHDI	IntermediateSecuritiesDistribution	Distribution of intermediate securities that gives the holder the right to take part in a future event.
LIQU	LiquidationDividend	Distribution of cash, assets or both. Debt may be paid in order of priority based on preferred claims to assets specified by the security.
EXTM	MaturityExtension	As stipulated in the security's Terms and Conditions, the issuer or the holder may prolong the maturity date of a security. After extension, the security details may differ from the original issue. An issuer initiated extension may be subject to holder's approval.
MRGR	Merger	Exchange of outstanding securities, initiated by the issuer which may include options, as the result of two or more companies combining assets, that is, an external, third party company. Cash payments may accompany share exchange.
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

CodeName	Name	Definition
		broker offer, mini-tender, mini odd lot offer or third party offer.
CERT	NonUSTEFRADCertification	Non-US beneficial owner certification requirement for exchange of temporary to permanent notes.
ODLT	OddLotSalePurchase	Sale or purchase of odd-lots to/from the issuing company, initiated either by the holder of the security or through an offer made by the issuer.
OTHR	OtherEvent	Other event, use only when no other event type applies, for example, a new event type.
PARI	PariPassu	Occurs when securities with different characteristics, for example, shares with different entitlements to dividend or voting rights, become identical in all respects, for example, pari-passu or assimilation. May be scheduled in advance, for example, shares resulting from a bonus may become fungible after a pre-set period of time, or may result from outside events, for example, merger, reorganisation, issue of supplementary tranches.
PCAL	PartialRedemptionWithoutPoolFactorReduction	Securities are redeemed in part before their scheduled final maturity date. It is done without any pool factor reduction. The redemption is reflected in a debit of the face amount (FAMT).
PRED	PartialRedemptionWithPoolFactorReduction	Securities are redeemed in part before their scheduled final maturity date. The redemption is reflected in a pool factor reduction. No movement of securities occurs.
PINK	PayInKind	Interest payment, in any kind except cash, distributed to holders of an interest bearing asset.
PLAC	PlaceOfIncorporation	Changes in the state of incorporation for US companies and changes in the place of incorporation for foreign companies. Where shares need to be registered following the incorporation change, the holder(s) may have to elect the registrar.
PDEF	Prefunding	Also called partial defeasance. Issuer has money set aside to redeem a portion of an issue and the indenture states that the securities could be called earlier than the stated maturity.
PRIO	PriorityIssue	Form of open or public offer where, due to a limited amount of securities available, priority is given to existing shareholders.
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.

CodeName	Name	Definition
REDO	Redenomination	Event by which the unit (currency and/or nominal) of a security is restated, for example, nominal/par value of security in a national currency is restated in another currency.
REMK	RemarketingAgreement	Purchase and sale of remarketed preferred equities/bonds through the negotiation of interest rate between the issuers and the holders.
BIDS	RepurchaseOffer	Repurchase offer / issuer bid / reverse rights. Offer to existing holders by the issuing company to repurchase its own securities. The objective of the offer is to reduce the number of outstanding securities.
SPLR	ReverseStockSplit	Decrease in a company's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are increased accordingly.
RHTS	RightsIssue	Offer to holders of a security to subscribe for additional securities via the distribution of an intermediate security. Both processes are included in the same event.
DVSC	ScripDividend	Dividend or interest paid in the form of scrip.
SHPR	SharesPremiumDividend	Corporate event pays shareholders an amount in cash issued from the shares premium reserve. It is similar to a dividend but with different tax implications.
SMAL	SmallestNegotiableUnit	Modification of the smallest negotiable unit of shares in order to obtain a new negotiable unit.
SOFF	SpinOff	Distribution of securities issued by another company. The distributed securities may either be of a newly created or of an existing company. For example, spin-off, demerger, unbundling, divestment.
DVSE	StockDividend	Dividend paid to shareholders in the form of equities of the issuing corporation.
SPLF	StockSplit	Increase in a corporation's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are reduced accordingly.
TREC	TaxReclaim	Event related to tax reclaim activities.

CodeName	Name	Definition
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.
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

CodeName	Name	Definition
		formal court ruling. Securities may become valueless.
DFLT	BondDefault	Failure by the company to perform obligations defined as default events under the bond agreement and that have not been remedied.
BONU	BonusIssue	Bonus or capitalisation issue. Security holders receive additional assets free of payment from the issuer, in proportion to their holding.
EXRI	CallOnIntermediateSecurities	Call or exercise on nil paid securities or intermediate securities resulting from an intermediate securities distribution (RHDI). This code is used for the second event, when an intermediate securities' issue (rights/coupons) is composed of two events, the first event being the distribution of intermediate securities.
CAPD	CapitalDistribution	Corporate event pays shareholders an amount in cash issued from the capital account. There is no reduction to the face value of a single share (or the share has no par value). The number of circulating shares remains unchanged.
CAPG	CapitalGainsDistribution	Event is the distribution of profits resulting from the sale of securities. Shareholders of mutual funds, unit trusts, or SICAVs are recipients of capital gains distributions and are often reinvested in additional shares of the fund.
CAPI	Capitalisation	Increase of the current principal of a debt instrument without increasing the nominal value. It normally arises from the incorporation of due but unpaid interest into the principal. This is commonly done by increasing the pool factor value, for example, capitalisation, and negative amortisation.
DRCA	CashDistributionFromNonEligibleSecuritiesSales	Distribution to shareholders of cash resulting from the selling of non-eligible securities, for example, in the frame of a depositary receipt program.
DVCA	CashDividend	Distribution of cash to shareholders, in proportion to their equity holding. Ordinary dividends are recurring and regular. Shareholder must take cash and may be offered a choice of currency.
CHAN	Change	Information regarding a change further described in the corporate action details.
COOP	CompanyOption	Company option may be granted by the company, allowing the holder to take up 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

CodeName	Name	Definition
		years from the date of the grant. Option holders are not members of a company. They are contingent creditors of a company and hence may, in some instances, be entitled to vote on and be bound by a scheme of arrangement between the creditors and the company. As many options have multiple exercise periods a company option will either lapse or carry on to the next expiry date.
CLSA	ClassActionProposedSettlement	Situation where interested parties seek restitution for financial loss. The security holder may be offered the opportunity to join a class action proceeding and would need to respond with an instruction.
CONS	Consent	Procedure that aims to obtain consent of holder to a proposal by the issuer or a third party without convening a meeting. For example, consent to change the terms of a bond.
CONV	Conversion	Conversion of securities (generally convertible bonds or preferred shares) into another form of securities (usually common shares) at a pre-stated price/ratio.
CREV	CreditEvent	Occurrence of credit derivative for which the issuer of one or several underlying securities is unable to fulfill its financial obligations (as defined in terms and conditions).
DECR	DecreaseInValue	Reduction of face value of a single share or the value of fund assets. The number of circulating shares/units remains unchanged. This event may include a cash payout to holders.
DETI	Detachment	Separation of components that comprise a security, for example, usually units comprised of warrants and bond or warrants and equity. Units may be broken up at the request of the security holder or based on market convention.
DSCL	Disclosure	Requirement for holders or beneficial owners to disclose their name, location and holdings of any issue to the issuer.
DVOP	DividendOption	Distribution of a dividend to shareholders with a choice of benefit to receive. Shareholders may choose to receive shares or cash. To be distinguished from DRIP as the company creates new share capital in exchange for the dividend rather than investing the dividend in the market.
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

CodeName	Name	Definition
		market rather than creating new share capital in exchange for the dividend.
DRAW	Drawing	Securities are redeemed in part before the scheduled final maturity date. It is done without any pool factor reduction. The redemption is reflected in a debit of the face amount (FAMT). Drawing is distinct from partial call since drawn bonds are chosen by lottery. Therefore, not every holder is affected in the same way.
DTCH	DutchAuction	Action by a party wishing to acquire a security. Holders of the security are invited to make an offer to sell, within a specific price range. The acquiring party will buy from the holder with lowest offer.
EXOF	Exchange	Exchange of holdings for other securities and/or cash. The exchange can be either mandatory or voluntary involving the exchange of outstanding securities for different securities and/or cash. For example "exchange offer", "capital reorganisation" or "funds separation".
REDM	FinalMaturity	Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, at final maturity.
MCAL	FullCall	Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, before final maturity.
INCR	IncreaseInValue	Increase in the face value of a single security. The number of circulating securities remains unchanged.
PPMT	InstalmentCall	Instalment towards the purchase of equity capital, subject to an agreement between an issuer and a purchaser.
INTR	InterestPayment	Interest payment distributed to holders of an interest bearing asset.
RHDI	IntermediateSecuritiesDistribution	Distribution of intermediate securities that gives the holder the right to take part in a future event.
LIQU	LiquidationDividend	Distribution of cash, assets or both. Debt may be paid in order of priority based on preferred claims to assets specified by the security.
EXTM	MaturityExtension	As stipulated in the security's Terms and Conditions, the issuer or the holder may 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.

CodeName	Name	Definition
MRGR	Merger	Exchange of outstanding securities, initiated by the issuer which may include options, as the result of two or more companies combining assets, that is, an external, third party company. Cash payments may accompany share exchange.
NOOF	NonOfficialOffer	Offers that are not supervised or regulated by an official entity and being offered by a party, for example a broker, usually at a discount price, for example broker offer, mini-tender, mini odd lot offer or third party offer.
CERT	NonUSTEFRADCertification	Non-US beneficial owner certification requirement for exchange of temporary to permanent notes.
ODLT	OddLotSalePurchase	Sale or purchase of odd-lots to/from the issuing company, initiated either by the holder of the security or through an offer made by the issuer.
OTHR	OtherEvent	Other event, use only when no other event type applies, for example, a new event type.
PARI	PariPassu	Occurs when securities with different characteristics, for example, shares with different entitlements to dividend or voting rights, become identical in all respects, for example, pari-passu or assimilation. May be scheduled in advance, for example, shares resulting from a bonus may become fungible after a pre-set period of time, or may result from outside events, for example, merger, reorganisation, issue of supplementary tranches.
PCAL	PartialRedemptionWithoutPoolFactorReduction	Securities are redeemed in part before their scheduled final maturity date. It is done without any pool factor reduction. The redemption is reflected in a debit of the face amount (FAMT).
PRED	PartialRedemptionWithPoolFactorReduction	Securities are redeemed in part before their scheduled final maturity date. The redemption is reflected in a pool factor reduction. No movement of securities occurs.
PINK	PayInKind	Interest payment, in any kind except cash, distributed to holders of an interest bearing asset.
PLAC	PlaceOfIncorporation	Changes in the state of incorporation for US companies and changes in the place of incorporation for foreign companies. Where shares need to be registered 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

CodeName	Name	Definition
		of an issue and the indenture states that the securities could be called earlier than the stated maturity.
PRIO	PriorityIssue	Form of open or public offer where, due to a limited amount of securities available, priority is given to existing shareholders.
BPUT	PutRedemption	Early redemption of a security at the election of the holder subject to the terms and condition of the issue with no reduction in nominal value.
REDO	Redenomination	Event by which the unit (currency and/or nominal) of a security is restated, for example, nominal/par value of security in a national currency is restated in another currency.
REMK	RemarketingAgreement	Purchase and sale of remarketed preferred equities/bonds through the negotiation of interest rate between the issuers and the holders.
BIDS	RepurchaseOffer	Repurchase offer / issuer bid / reverse rights. Offer to existing holders by the issuing company to repurchase its own securities. The objective of the offer is to reduce the number of outstanding securities.
SPLR	ReverseStockSplit	Decrease in a company's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are increased accordingly.
RHTS	RightsIssue	Offer to holders of a security to subscribe for additional securities via the distribution of an intermediate security. Both processes are included in the same event.
DVSC	ScripDividend	Dividend or interest paid in the form of scrip.
SHPR	SharesPremiumDividend	Corporate event pays shareholders an amount in cash issued from the shares premium reserve. It is similar to a dividend but with different tax implications.
SMAL	SmallestNegotiableUnit	Modification of the smallest negotiable unit of shares in order to obtain a new negotiable unit.
SOFF	SpinOff	Distribution of securities issued by another company. The distributed securities may either be of a newly created or of an existing company. For example, spin-off, demerger, unbundling, divestment.

CodeName	Name	Definition
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.
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.

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.

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.

CodeName	Name	Definition
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.
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.
EXER	Exercise	Exercise intermediate securities or warrants.
LAPS	Lapse	Allow event or entitled security to expire.
MPUT	Retain	Option that allows a holder to elect to retain their holding, for example, a putable bond.
NOAC	NoAction	Option for the account owner not to take part in the event. This would include opt-out for class actions and lodging of dissenters' rights.
NOQU	NonQualifiedInvestor	Account owner is a non-qualified investor.
OFFR	ProposedRate	In a remarketing of variable notes, the margin that shareholders can propose in respect of the next interest period.
OTHR	Other	Generic corporate action option to be used in case that no other specific code is appropriate.
OVER	Oversubscribe	Subscribe to more equities than underlying securities position allows.
QINV	QualifiedInvestor	Account owner is a qualified investor.
SECU	Security	Distribution of securities to holders.

CodeName	Name	Definition
SLLE	SellEntitlement	Sell the intermediate securities.
PRUN	UnknownProceeds	Proceeds not known during election period. The option can result in cash and/or securities.

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.
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

CodeName	Name	Definition
		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.

16.2.2.40 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.

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.
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.
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.
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.
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.
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.

CodeName	Name	Definition
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.
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.

CodeName	Name	Definition
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.
IRED	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.

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.

CodeName	Name	Definition
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.

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.

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.

Type: CodeSet

Format

minLength	1
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.

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.

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

CodeName	Name	Definition
		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.
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

CodeName	Name	Definition
		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 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

CodeName	Name	Definition
		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 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

CodeName	Name	Definition
		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 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

CodeName	Name	Definition
		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 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.

CodeName	Name	Definition
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.

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.
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.
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.

CodeName	Name	Definition
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.
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.

CodeName	Name	Definition
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.

CodeName	Name	Definition
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.
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.

CodeName	Name	Definition
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.
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.
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.

CodeName	Name	Definition
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.
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.
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

CodeName	Name	Definition
		(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.

CodeName	Name	Definition
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; CFIIdentifier

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 LEIIdentifier

Definition: Legal Entity Identifier is a code allocated to a party as described in ISO 17442 "Financial Services - Legal Entity Identifier (LEI)".

Type: IdentifierSet

Identification scheme: Global LEI System; LEIIdentifier

Format

pattern	[A-Z0-9]{18,18}[0-9]{2,2}

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.

16.2.8   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 Max15Text

Definition: Specifies a character string with a maximum length of 15 characters.

Type: Text

Format

minLength	1
maxLength	15

16.2.9.8 Max16Text

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

Type: Text

Format

minLength	1
maxLength	16

16.2.9.9 Max2048Text

Definition: Specifies a character string with a maximum length of 2048 characters.

Type: Text

Format

minLength	1
maxLength	2048

16.2.9.10 Max210Text

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

Type: Text

Format

minLength	1
maxLength	210

16.2.9.11 Max256Text

Definition: Specifies a character string with a maximum length of 256 characters.

Type: Text

Format

minLength	1
maxLength	256

16.2.9.12 Max25Text

Definition: Specifies a character string with a maximum length of 25 characters.

Type: Text

Format

minLength	1
maxLength	25

16.2.9.13 Max30Text

Definition: Specifies a character string with a maximum length of 30 characters.

Type: Text

Format

maxLength	30

16.2.9.14 Max34Text

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

Type: Text

Format

minLength	1
maxLength	34

16.2.9.15 Max350Text

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

Type: Text

Format

minLength	1
maxLength	350

16.2.9.16 Max35Text

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

Type: Text

Format

minLength	1
maxLength	35

16.2.9.17 Max3NumericText

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

Type: Text

Format

pattern   [0-9]{1,3}

16.2.9.18 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}

16.2.9.19 Max4Text

Definition: Specifies a character string with a maximum length of 4 characters.

Type: Text

Format

minLength   1

maxLength   4

16.2.9.20 Max50Text

Definition: Specifies a character string with a maximum length of 50 characters.

Type: Text

Format

minLength   1

maxLength   50

16.2.9.21 Max5NumericText

Definition: Specifies a numeric string with a maximum length of 5 digits.

Type: Text

Format

pattern   [0-9]{1,5}

16.2.9.22 Max70Text

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

Type: Text

Format

minLength	1
maxLength	70

16.2.9.23 Max8000Text

Definition: Specifies a character string with a maximum length of 8000 characters.

Type: Text

Format

minLength	1
maxLength	8000

16.2.9.24 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}

16.2.10   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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