

Usage Guideline

Corporate Action Notification Extension supl.001.001.18

DTCC - US - CA - Announcements - SR 2026

This document describes a usage guideline restricting the base message **MX supl.001.001.18**. You can also consult [this information online](#).

Published by DTCC Corporate Actions Transformation (DTCC) and generated by [MyStandards](#).

02 April 2026

Table of Contents

Message Functionality 3

1 Restriction summary 5

2 Structure 6

3 Message Building Blocks 12

4 Message Components 23

5 Message Datatypes 111

Legal Notices 171

Message Functionality

Overview

The DTCCCANOCSDDataSD1 message extends ISO corporate action notification (CANO) as-set servicer data message (CSD type) with data elements that are not covered by the standard message, and additionally, with issuer/offeror/market values where DTC corresponding values are mapped to CANO. For example DTCC announced cash rate will be mapped to the CANO and issuer/offeror/market declared cash rate will be extended in this DTCCCANOCSDDataSD1 message.

Collection Description

Outline

The DTCC - US - CA - Announcements - SR 2026 / Corporate Action Notification Extension suppl.001.001.18 message is composed of 19 building blocks

- a. NotificationGeneralInformation
Information to be extended as supplementary data to notification general information.
- b. CorporateActionGeneralInformation
Information to be extended as supplementary data to notification general information.
- c. UnderlyingSecurity
Information to be extended as supplementary data to underlying security details.
- d. CorporateActionDetails
Information to be extended as supplementary data to corporate action details.
- e. CorporateActionDateDetails
Information to be extended as supplementary data to corporate action date details.
- f. CorporateActionPriceDetails
Information to be extended as supplementary data to corporate action price details.
- g. CorporateActionPeriodDetails
Information to be extended as supplementary data to corporate action period.
- h. CorporateActionRateAndAmountDetails
Information to be extended as supplementary data to corporate action rate and amount.
- i. CorporateActionSecuritiesQuantity
Information to be extended as supplementary data to corporate action securities quantity.
- j. OptionDetails
Information to be extended as supplementary data to option details.
- k. OptionDateDetails
Information to be extended as supplementary data to option date details.
- l. SecuritiesMovementDetails
Information to be extended as supplementary data to securities movement details.

m. SecuritiesMovementSecurityDetails

Information to be extended as supplementary data to securities movement security details.

n. SecuritiesMovementRateDetails

Information to be extended as supplementary data to securities movement rate details.

o. SecuritiesMovementCashInLieuDetails

Information to be extended as supplementary data to securities movement for cash in lieu details.

p. SecuritiesMovementFractionDisposition

Information to be extended as supplementary data to securities movement fraction disposition.

q. CashMovementDetails

Information to be extended as supplementary data to cash movement details.

r. NewAgent

Information to be extended as supplementary data to new agent. Used when the required ISO agent type does not exist and an entire new component must be generated.

s. Agent







Information to be extended as supplementary data to agent, for example, "issuer agent" and "re-selling agent. Used when the required "ISO agent type" exists and only additional details need to be extended.










1 Restriction summary

This Usage Guideline restricts the supl.001.001.18 message.

Restriction Type	See page
Removed elements	27, 47, 51, 70, 70, 70, 71, 105, 140, 140, 140, 140, 140
Make mandatory	n.a.
Reduce Multiplicity	n.a.
Ignore	n.a.
Text rules	29, 47, 67, 106
Conditional rules	30, 47, 67, 106
Formal rules	n.a.
Fixed values	n.a.
Truncates	n.a.
Comments	49, 50
Annotations	30, 33, 34, 40, 41, 41, 42, 43, 43, 44, 48, 61, 63, 68, 74, 74, 77, 78, 89, 90, 90, 91, 107
Changed datatypes	n.a.
Extensions	n.a.
Synonyms	49, 50, 78, 93, 94

2 Structure



 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]









Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	<i>DTCCCANOCSDDataSD1V18</i>	<DTCCCANOCSDDataSD1>		[1..1]		
	NotificationGeneralInformation	<NtfctnGnllnf>		[0..1]		12
	PlaceAndName	<PlcAndNm>		[0..1]		42
	CreateDateAndTime	<CretDtAndTm>		[1..1]		42
	UpdateDateAndTime	<UpdDtAndTm>		[0..1]		43
	CorporateActionGeneralInformation	<CorpActnGnllnf>		[0..1]		12
	PlaceAndName	<PlcAndNm>		[0..1]		40
	EventGroup	<EvtGrp>		[0..1]		40
	EventType	<EvtTp>		[0..1]		40
	SubEventType	<SubEvtTp>		[0..1]		40
	InstructionMessagingEligibilityFlag	<InstrMsggElgbltyFlg>		[0..1]		40
	RedemptionIdentification	<RedId>		[0..1]		41
	DTCFCPElectionFlag	<DTCFCPElctnFlg>		[0..1]		41
	AssetServicerProcessingFlag	<AsstSvcrPrccgFlg>		[0..1]		41
	UnderlyingSecurity	<UndrlygScty>		[0..1]		13
	PlaceAndName	<PlcAndNm>		[0..1]		76
	IncomeSourceCountry	<IncmSrcCtry>		[0..1]		76
	DTCAssetClass	<DTCAsstCls>		[0..1]		76
	DTCAssetType	<DTCAsstTp>		[0..1]		77
	SecurityEligibilityIndicator	<SctyElgbltyInd>		[0..1]		77
	TickerSymbol	<TckrSymb>		[0..1]		77
	LinkedSecurity	<LkdScty>		[0..1]		77
	OriginatingSecurityIdentification	<OrgtgSctyId>		[0..1]		77
	DIVANNSecurityDescription	<DIVANNSctyDesc>		[0..1]		78
	ForeignIssueFlag	<FrnglsseFlg>		[0..1]		78
	MoneyMarketInstrumentFlag	<MnyMktInstrmFlg>		[0..1]		79
	CorporateActionDetails	<CorpActnDtls>		[0..1]		13
	PlaceAndName	<PlcAndNm>		[0..1]		60

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	NoticeType	<NtceTp>		[0..1]		61
	EventCashValue	<EvtCshVal>		[0..1]		61
	NumberOfSharesToBeIssued	<NbOfShrsToBelssd>		[0..1]		61
	TotalNumberOfSharesOffered	<TtlNbOfShrsOfferd>		[0..1]		61
	CutOffDays	<CutOffDays>		[0..1]		61
	DTCAutomatedOfferProgram	<DTCAutomtdOfferPrgm>		[0..1]		62
	DTCRecycleCutOffIndicator	<DTCRcyclCutOffInd>		[0..1]		62
	LongShortPaymentIndicator	<LngShrtPmtInd>		[0..1]		62
	OversubscriptionType	<OvrbcptTp>		[0..1]		62
	ConditionalPaymentApplicableFlag	<CondlPmtAplblFlg>		[0..1]		62
	SolicitationDealerFeeFlag	<SlctnDealrFeeFlg>		[0..1]		63
	DTCCustodyEligibleFlag	<DTCCtdyElgblFlg>		[0..1]		63
	DTCReorganisationCustodyEligible-Flag	<DTCReorgCtdyElgblFlg>		[0..1]		63
	DTCReorganisationDepositEligible-Flag	<DTCReorgDpstElgblFlg>		[0..1]		64
	SurrenderSharesToAgentFlag	<SrmdrShrsToAgtFlg>		[0..1]		64
	StepUpPrivilegeFlag	<StepUpPrvlgFlg>		[0..1]		64
	RightsOversubscriptionFlag	<RghtsOvrbcptFlg>		[0..1]		65
	RightsRoundUpPrivilegeFlag	<RghtsRndUpPrvlgFlg>		[0..1]		65
	RightsTransferableFlag	<RghtsTrfblFlg>		[0..1]		65
	DissenterRightsApplicableFlag	<DsstrRghtsAplblFlg>		[0..1]		65
	NonExemptAllowedIndicator	<NonXmptAllwdInd>		[0..1]		66
	DTCInstructionLockoutIndicator	<DTCInstrLckoutInd>		[0..1]		66
	CertificateDetails	<CertDtls>		[0..*]		66
	EDSMessagingCountryCode	<EDSMsggCtryCd>		[0..1]		67
	RDPReferenceNumber	<RDPrefNb>		[0..1]		67
	DTCForeignTaxElectionFlag	<DTCFrgnTaxElctnFlg>		[0..1]		68
	DTCTotalCalledQuantity	<DTCTtlCldQty>		[0..1]		68
	CorporateActionDateDetails	<CorpActnDtDtls>		[0..1]		14
	PlaceAndName	<PlcAndNm>		[0..1]		33
	DTCLastDayForEarlyRedemption	<DTCLastDayForEarlyRed>		[0..1]		33
	DTCPositionCaptureDate	<DTCPosCaptrDt>		[0..1]		34

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	NewYorkCutOffDate	<NewYorkCutOffDt>		[0..1]		34
	DTCExtendedCutOffDate	<DTCXtndedCutOffDt>		[0..1]		34
	EffectiveDateByExchange	<FctvDtByXchg>		[0..1]		34
	DateDeclaredWorthless	<DtDclrdWrthls>		[0..1]		34
	DeleteWorthlessSecurityDate	<DelWrthlsSctyDt>		[0..1]		35
	DTCExitDate	<DTCExitDt>		[0..1]		35
	SubscriptionBeginDate	<SbcptBegnDt>		[0..1]		35
	RightsDistributionAsOfDate	<RghsDstrbtnAsOfDt>		[0..1]		35
	RightsDistributionDate	<RghsDstrbtnDt>		[0..1]		35
	TimingDate	<TmgDt>		[0..1]		35
	CorporateActionPriceDetails	<CorpActnPrcDtls>		[0..1]		15
	PlaceAndName	<PlcAndNm>		[0..1]		52
	SubscriptionPrice	<SbcptPric>		[0..1]		52
	CorporateActionPeriodDetails	<CorpActnPrdDtls>		[0..1]		16
	PlaceAndName	<PlcAndNm>		[0..1]		51
	DTCReorganisationDepositPeriod	<DTCReorgDpstPrd>		[0..1]		51
	CorporateActionRateAndAmountDetails	<CorpActnRateAndAmtDtls>		[0..1]		16
	PlaceAndName	<PlcAndNm>		[0..1]		57
	DeferredInterestRate	<DfrdIntrstRate>		[0..1]		58
	AmericanOrGlobalDepositReceiptRatio	<AmrcnOrGblDpstRctRatio>		[0..1]		58
	CorporateActionSecuritiesQuantity	<CorpActnScitiesQty>		[0..1]		16
	PlaceAndName	<PlcAndNm>		[0..1]		53
	SubscriptionQuantity	<SbcptQty>		[0..1]		53
	OptionDetails	<OptnDtls>		[0..*]		17
	PlaceAndName	<PlcAndNm>		[0..1]		44
	ExtendedOptionFeatures	<XtndedOptnFeatrs>		[0..*]		44
	DefaultOptionFlag	<DfltOptnFlg>		[0..1]		44
	OptionalDividendSupplementary-DataRequiredFlag	<OptnlDvddSplmtryDataReqdFlg>		[0..1]		45
	OversubscriptionChargeFlag	<OvrbcptChrgFlg>		[0..1]		45
	ProtectChargeFlag	<PrctChrgFlg>		[0..1]		45

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	StepUpChargeFlag	<StepUpChrgFlg>		[0..1]		45
	SubscriptionChargeFlag	<SbcptChrgFlg>		[0..1]		46
	BackEndOddLotQuantityFlag	<BckEndOddLotQtyFlg>		[0..1]		46
	FrontEndOddLotQuantityFlag	<FrntEndOddLotQtyFlg>		[0..1]		46
	FullConditionFlag	<FullCondFlg>		[0..1]		47
	RDPReferenceNumber	<RDPRefNb>		[0..1]		47
	NumberOfConditions	<NbOfConds>		[0..1]		48
	TaxCategory	<TaxCtgy>		[0..99]		49
	ProrationRoundingIndicator	<PrratnRndgInd>		[0..1]		49
	ProrationFraction	<PrratnFrctn>		[0..1]		49
	OptionConditions	<OptnConds>		[0..6]		50
	AgentAcceptRejectIndicator	<AgtAccptRjctInd>		[0..1]		50
	ProrationReturnMinimumQuantityTreatment	<PrratnRtrMinQtyTrtmnt>		[0..1]		50
	OptionDateDetails	<OptnDtDtls>		[0..*]		18
	PlaceAndName	<PlcAndNm>		[0..1]		36
	ActualEarlyExpirationDate	<ActlEarlyXprtnDt>		[0..1]		36
	ActualProtectExpirationDate	<ActlPrctXprtnDt>		[0..1]		37
	ActualEarlyProtectExpirationDate	<ActlEarlyPrctXprtnDt>		[0..1]		37
	DTCEarlyProtectExpirationDate	<DTCEarlyPrctXprtnDt>		[0..1]		37
	ActualEarlyCoverProtectExpirationDate	<ActlEarlyCoverPrctXprtnDt>		[0..1]		38
	DTCEarlyCoverProtectExpirationDate	<DTCEarlyCoverPrctXprtnDt>		[0..1]		38
	ProcessToDate	<PrcToDt>		[0..1]		38
	DTCEarliestPaymentDate	<DTCEarlstPmtDt>		[0..1]		39
	SecuritiesMovementDetails	<SctiesMvmntDtls>		[0..*]		18
	PlaceAndName	<PlcAndNm>		[0..1]		103
	PayoutType	<PyoutTp>		[1..1]		103
	DTCPayMethod	<DTCPayMtd>		[0..1]		103
	DTCPayOrder	<DTCPayOrd>		[0..1]		103
	ReinvestmentIncomeClassification	<RinvstmtIncmClssfctn>		[0..1]		104
	EntitlementCalculationMethod	<EnttlmntClctnMtd>		[0..1]		104

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PriceBasis	<PricBsis>		[0..1]		104
	DTCExitExplanationIndicator	<DTCExitExpltnInd>		[0..1]		104
	ChargeFlag	<ChrgFlg>		[0..1]		104
	ProtectChargeFlag	<PrctChrgFlg>		[0..1]		104
	EstimatedPriceFlag	<EstmtdPricFlg>		[0..1]		105
	DTCFractionalShareInstructionPeriod	<DTCFrctnShrInstrPrd>		[0..1]		105
	DTCUSTaxInstructionPeriod	<DTCUSTaxInstrPrd>		[0..1]		105
	RDPReferenceNumber	<RDPPrefNb>		[0..1]		106
	SecuritiesMovementSecurityDetails	<SctiesMvmntSctyDtls>		[0..*]		19
	PlaceAndName	<PlcAndNm>		[0..1]		73
	DTCSecurityTransferableFlag	<DTCSctyTrfblFlg>		[0..1]		73
	DeclaredDisbursedSecurityDetails	<DclrdDsbrsdSctyDtls>		[0..1]		73
	DTCDisbursedSecurityAssetType	<DTCDsbrsdSctyAsstTp>		[0..1]		74
	DTCDisbursedSecurityAssetClass	<DTCDsbrsdSctyAsstCls>		[0..1]		74
	BabyBondDenomination	<BabyBdDnmtn>		[0..1]		74
	SecuritiesMovementRateDetails	<SctiesMvmntRateDtls>		[0..*]		19
	PlaceAndName	<PlcAndNm>		[0..1]		54
	DeclaredSecurityRate	<DclrdSctyRate>		[0..1]		54
	EstimatedRateFlag	<EstmtdRateFlg>		[0..1]		55
	DeclaredFeeRate	<DclrdFeeRate>		[0..1]		55
	SecuritiesMovementCashInLieuDetails	<SctiesMvmntCshInLieuDtls>		[0..*]		20
	PlaceAndName	<PlcAndNm>		[0..1]		52
	DeclaredCashInLieuPrice	<DclrdCshInLieuPric>		[0..1]		53
	SecuritiesMovementFractionDisposition	<SctiesMvmntFrctnDspstn>		[0..*]		20
	PlaceAndName	<PlcAndNm>		[0..1]		81
	RoundingFactor	<RndgFctr>		[0..1]		81
	CashMovementDetails	<CshMvmntDtls>		[0..*]		20
	PlaceAndName	<PlcAndNm>		[0..1]		26
	PayoutType	<PyoutTp>		[1..1]		26
	DTCPayMethod	<DTCPayMtd>		[0..1]		26
	DTCPayOrder	<DTCPayOrd>		[0..1]		26

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	EntitlementCalculationMethod	<EntitlmntClctnMtd>		[0..1]		26
	EstimatedRateFlag	<EstmtdRateFlg>		[0..1]		26
	NRATaxReportableFlag	<NRATaxRptblFlg>		[0..1]		27
	ProtectChargeFlag	<PrctChrgFlg>		[0..1]		27
	DeclaredCashRate	<DclrdCshRate>		[0..1]		27
	DeclaredGrossRate	<DclrdGrssRate>		[0..1]		28
	DeclaredNetRate	<DclrdNetRate>		[0..1]		28
	DeclaredFeeRate	<DclrdFeeRate>		[0..1]		28
	DTCUSTaxInstructionPeriod	<DTCUSTaxInstrPrd>		[0..1]		29
	RDPReferenceNumber	<RDPRefNb>		[0..1]		29
	InterestAccruedNumberOfDays	<IntrstAcrdNbOfDays>		[0..1]		31
	NewAgent	<NewAgt>		[0..*]		21
	PlaceAndName	<PlcAndNm>		[0..1]		89
	AgentType	<AgtTp>		[1..1]		89
	AgentIdentification	<AgtId>		[0..1]		90
	AgentNameAndAddress	<AgtNmAndAdr>		[1..1]		90
	AgentTelephoneNumber	<AgtTelNb>		[0..1]		90
	AgentEmailAddress	<AgtEmailAdr>		[0..1]		91
	ContactInformation	<CtctInf>		[0..1]		91
	Agent	<Agt>		[0..*]		22
	PlaceAndName	<PlcAndNm>		[0..1]		93
	AgentIdentification	<AgtId>		[0..1]		93
	AgentTelephoneNumber	<AgtTelNb>		[0..1]		93
	ContactInformation	<CtctInf>		[0..1]		93
	AgentEmailAddress	<AgtEmailAdr>		[0..1]		94
	AgentAddress	<AgtAdr>		[0..1]		94

3 Message Building Blocks

Note The following chapter identifies the building blocks of the DTCC - US - CA - Announcements - SR 2026 / Corporate Action Notification Extension supl.001.001.18 message definition.







3.1 NotificationGeneralInformation



XML Tag: NtfctnGnllnf

Presence: [0..1]

Definition: Information to be extended as supplementary data to notification general information.

The **NtfctnGnllnf** block contains the following elements (see datatype "[CorporateActionNotificationSD9](#)" on page 42 for details)

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		42
	CreateDateAndTime	<CretDtAndTm>		[1..1]		42
	UpdateDateAndTime	<UpdDtAndTm>		[0..1]		43







3.2 CorporateActionGeneralInformation



XML Tag: CorpActnGnllnf



Presence: [0..1]

Definition: Information to be extended as supplementary data to notification general information.

The **CorpActnGnllnf** block contains the following elements (see datatype "[CorporateActionGeneralInformationSD55](#)" on page 39 for details)

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		40
	EventGroup	<EvtGrp>		[0..1]		40
	EventType	<EvtTp>		[0..1]		40
	SubEventType	<SubEvtTp>		[0..1]		40
	InstructionMessagingEligibilityFlag	<InstrMsggElgbltyFlg>		[0..1]		40
	RedemptionIdentification	<RedId>		[0..1]		41

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	DTCFCPElectionFlag	<DTCFCPElctnFlg>		[0..1]		41
	AssetServicerProcessingFlag	<AsstSvcrPrcgFlg>		[0..1]		41







3.3 UnderlyingSecurity




XML Tag: UndrlygScty

Presence: [0..1]

Definition: Information to be extended as supplementary data to underlying security details.

The **UndrlygScty** block contains the following elements (see datatype "[FinancialInstrumentAttributesSD19](#)" on page 75 for details)

 Removed -  Partial Removed -  Ignored -  Partial Ignored -  Details below -
 Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		76
	IncomeSourceCountry	<IncmSrcCtry>		[0..1]		76
	DTCAssetClass	<DTCAsstClss>		[0..1]		76
	DTCAssetType	<DTCAsstTp>		[0..1]		77
	SecurityEligibilityIndicator	<SctyElgbltyInd>		[0..1]		77
	TickerSymbol	<TckrSymb>		[0..1]		77
	LinkedSecurity	<LkdScty>		[0..1]		77
	OriginatingSecurityIdentification	<OrgtgSctyId>		[0..1]		77
	DIVANNSecurityDescription	<DIVANNSctyDesc>		[0..1]		78
	ForeignIssueFlag	<FrgnlsseFlg>		[0..1]		78
	MoneyMarketInstrumentFlag	<MnyMktInstrmFlg>		[0..1]		79







3.4 CorporateActionDetails

XML Tag: CorpActnDtIs

Presence: [0..1]

Definition: Information to be extended as supplementary data to corporate action details.

The **CorpActnDtIs** block contains the following elements (see datatype "[CorporateActionSD27](#)" on page 59 for details)

 Removed -  Partial Removed -  Ignored -  Partial Ignored -  Details below -
 Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		60
	NoticeType	<NtceTp>		[0..1]		61
	EventCashValue	<EvtCshVal>		[0..1]		61
	NumberOfSharesToBeIssued	<NbOfShrsToBelssd>		[0..1]		61
	TotalNumberOfSharesOffered	<TtlNbOfShrsOfferd>		[0..1]		61
	CutOffDays	<CutOffDays>		[0..1]		61
	DTCAutomatedOfferProgram	<DTCAutomtdOfferPrgm>		[0..1]		62
	DTCRecycleCutOffIndicator	<DTCRcyclCutOffInd>		[0..1]		62
	LongShortPaymentIndicator	<LngShrtPmtInd>		[0..1]		62
	OversubscriptionType	<OvrsbcptTp>		[0..1]		62
	ConditionalPaymentApplicable-Flag	<CondlPmtAplblFlg>		[0..1]		62
	SolicitationDealerFeeFlag	<SlctnDealrFeeFlg>		[0..1]		63
	DTCCustodyEligibleFlag	<DTCCtdyElgblFlg>		[0..1]		63
	DTCReorganisationCustodyEligibleFlag	<DTCReorgCtdyElgblFlg>		[0..1]		63
	DTCReorganisationDepositEligibleFlag	<DTCReorgDpstElgblFlg>		[0..1]		64
	SurrenderSharesToAgentFlag	<SrrndrShrsToAgtFlg>		[0..1]		64
	StepUpPrivilegeFlag	<StepUpPrvlgFlg>		[0..1]		64
	RightsOversubscriptionFlag	<RghtsOvrsbcptFlg>		[0..1]		65
	RightsRoundUpPrivilegeFlag	<RghtsRndUpPrvlgFlg>		[0..1]		65
	RightsTransferableFlag	<RghtsTrfblFlg>		[0..1]		65
	DissenterRightsApplicableFlag	<DsstrRghtsAplblFlg>		[0..1]		65
	NonExemptAllowedIndicator	<NonXmptAllwdInd>		[0..1]		66
	DTCInstructionLockoutIndicator	<DTCInstrLckoutInd>		[0..1]		66
	CertificateDetails	<CertDtls>		[0..*]		66
	EDSMessagingCountryCode	<EDSMsggCtryCd>		[0..1]		67
	RDPReferenceNumber	<RDPRefNb>		[0..1]		67
	DTCForeignTaxElectionFlag	<DTCFrngTaxElctnFlg>		[0..1]		68
	DTCTotalCalledQuantity	<DTCTtlCldQty>		[0..1]		68

3.5 CorporateActionDateDetails

XML Tag: CorpActnDtDtls

Presence: [0..1]

Definition: Information to be extended as supplementary data to corporate action date details.

The **CorpActnDtDtls** block contains the following elements (see datatype "[CorporateActionDateSD10](#)" on page 32 for details)

Removed -
 Partial Removed -
 Ignored -
 Partial Ignored -
 Details below -
 Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		33
	DTCLastDayForEarlyRedemption	<DTCLastDayForEarlyRed>		[0..1]		33
	DTCPositionCaptureDate	<DTCPosCaptrDt>		[0..1]		34
	NewYorkCutOffDate	<NewYorkCutOffDt>		[0..1]		34
	DTCExtendedCutOffDate	<DTCXtndedCutOffDt>		[0..1]		34
	EffectiveDateByExchange	<FctvDtByXchg>		[0..1]		34
	DateDeclaredWorthless	<DtDclrdWrthls>		[0..1]		34
	DeleteWorthlessSecurityDate	<DelWrthlsSctyDt>		[0..1]		35
	DTCExitDate	<DTCExitDt>		[0..1]		35
	SubscriptionBeginDate	<SbcptBegndt>		[0..1]		35
	RightsDistributionAsOfDate	<RghtsDstrbtnAsOfDt>		[0..1]		35
	RightsDistributionDate	<RghtsDstrbtnDt>		[0..1]		35
	TimingDate	<TmgDt>		[0..1]		35

3.6 CorporateActionPriceDetails

XML Tag: CorpActnPricDtls

Presence: [0..1]

Definition: Information to be extended as supplementary data to corporate action price details.

The **CorpActnPricDtls** block contains the following elements (see datatype "[CorporateActionPriceSD4](#)" on page 52 for details)

Removed -
 Partial Removed -
 Ignored -
 Partial Ignored -
 Details below -
 Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		52
	SubscriptionPrice	<SbcptPric>		[0..1]		52

3.7 CorporateActionPeriodDetails

XML Tag: CorpActnPrdDtls

Presence: [0..1]

Definition: Information to be extended as supplementary data to corporate action period.

The **CorpActnPrdDtls** block contains the following elements (see datatype "CorporateActionPeriodSD3" on page 51 for details)

🚫 Removed - 🚫 Partial Removed - ⬜ Ignored - ⬜ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		51
	DTCReorganisationDepositPeriod	<DTCReorgDpstPrd>		[0..1]		51

3.8 CorporateActionRateAndAmountDetails

XML Tag: CorpActnRateAndAmtDtls

Presence: [0..1]

Definition: Information to be extended as supplementary data to corporate action rate and amount.

The **CorpActnRateAndAmtDtls** block contains the following elements (see datatype "CorporateActionRateSD9" on page 57 for details)

🚫 Removed - 🚫 Partial Removed - ⬜ Ignored - ⬜ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		57
	DeferredInterestRate	<DfrrdIntrstRate>		[0..1]		58
	AmericanOrGlobalDepositReceiptRatio	<AmrcnOrGblDpstRctRatio>		[0..1]		58

3.9 CorporateActionSecuritiesQuantity

XML Tag: CorpActnSciesQty

Presence: [0..1]

Definition: Information to be extended as supplementary data to corporate action securities quantity.

The **CorpActnSciesQty** block contains the following elements (see datatype "CorporateActionQuantitySD3" on page 53 for details)

🚫 Removed - 🚫 Partial Removed - ⬜ Ignored - ⬜ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		53
	SubscriptionQuantity	<SbcptQty>		[0..1]		53







3.10 OptionDetails







XML Tag: OptnDtls

Presence: [0..*]

Definition: Information to be extended as supplementary data to option details.

The **OptnDtls** block contains the following elements (see datatype "CorporateActionOptionSD16" on page 43 for details)

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		44
	ExtendedOptionFeatures	<XtndedOptnFeatrs>		[0..*]		44
	DefaultOptionFlag	<DfltOptnFlg>		[0..1]		44
	OptionalDividendSupplementary-DataRequiredFlag	<OptnlDvddSplmtry-DataReqrdFlg>		[0..1]		45
	OversubscriptionChargeFlag	<OvrbscptChrgFlg>		[0..1]		45
	ProtectChargeFlag	<PrtctChrgFlg>		[0..1]		45
	StepUpChargeFlag	<StepUpChrgFlg>		[0..1]		45
	SubscriptionChargeFlag	<SbcptChrgFlg>		[0..1]		46
	BackEndOddLotQuantityFlag	<BckEndOddLotQtyFlg>		[0..1]		46
	FrontEndOddLotQuantityFlag	<FrntEndOddLotQtyFlg>		[0..1]		46
	FullConditionFlag	<FullCondFlg>		[0..1]		47
	RDPReferenceNumber	<RDPRefNb>		[0..1]		47
	NumberOfConditions	<NbOfConds>		[0..1]		48
	TaxCategory	<TaxCtgy>		[0..99]		49
	ProrationRoundingIndicator	<PrratnRndgInd>		[0..1]		49
	ProrationFraction	<PrratnFrctn>		[0..1]		49
	OptionConditions	<OptnCnds>		[0..6]		50
	AgentAcceptRejectIndicator	<AgtAccptRjctInd>		[0..1]		50
	ProrationReturnMinimumQuantityTreatment	<PrratnRtrMinQtyTrtmnt>		[0..1]		50







3.11 OptionDateDetails

XML Tag: OptnDtDtls

Presence: [0..*]

Definition: Information to be extended as supplementary data to option date details.

The **OptnDtDtls** block contains the following elements (see datatype "[CorporateActionDateSD11](#)" on page 36 for details)

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		36
	ActualEarlyExpirationDate	<ActlEarlyXprtnDt>		[0..1]		36
	ActualProtectExpirationDate	<ActlPrctXprtnDt>		[0..1]		37
	ActualEarlyProtectExpirationDate	<ActlEarlyPrctXprtnDt>		[0..1]		37
	DTCEarlyProtectExpirationDate	<DTCEarlyPrctXprtnDt>		[0..1]		37
	ActualEarlyCoverProtectExpirationDate	<ActlEarlyCoverPrctXprtnDt>		[0..1]		38
	DTCEarlyCoverProtectExpirationDate	<DTCEarlyCoverPrctXprtnDt>		[0..1]		38
	ProcessToDate	<PrcToDt>		[0..1]		38
	DTCEarliestPaymentDate	<DTCEarlstPmtDt>		[0..1]		39







3.12 SecuritiesMovementDetails

XML Tag: SctiesMvmntDtls



Presence: [0..*]

Definition: Information to be extended as supplementary data to securities movement details.

The **SctiesMvmntDtls** block contains the following elements (see datatype "[SecuritiesOptionSD9](#)" on page 102 for details)

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		103
	PayoutType	<PayoutTp>		[1..1]		103
	DTCPayMethod	<DTCPayMtd>		[0..1]		103
	DTCPayOrder	<DTCPayOrd>		[0..1]		103
	ReinvestmentIncomeClassification	<RinvstmtIncmClssfctn>		[0..1]		104

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	EntitlementCalculationMethod	<EntitlmntClctnMtd>		[0..1]		104
	PriceBasis	<PricBsis>		[0..1]		104
	DTCExitExplanationIndicator	<DTCExitExpltnInd>		[0..1]		104
	ChargeFlag	<ChrgFlg>		[0..1]		104
	ProtectChargeFlag	<PrtctChrgFlg>		[0..1]		104
	EstimatedPriceFlag	<EstmtdPricFlg>		[0..1]		105
	DTCFractionalShareInstruction-Period	<DTCFrctnlShrInstrPrd>		[0..1]		105
	DTCUSTaxInstructionPeriod	<DTCUSTaxInstrPrd>		[0..1]		105
	RDPReferenceNumber	<RDPRefNb>		[0..1]		106







3.13 SecuritiesMovementSecurityDetails



XML Tag: SctiesMvmntSctyDtls

Presence: [0..*]

Definition: Information to be extended as supplementary data to securities movement security details.

The **SctiesMvmntSctyDtls** block contains the following elements (see datatype "FinancialInstrumentAttributesSD16" on page 72 for details)

 Removed -  Partial Removed -  Ignored -  Partial Ignored -  Details below -  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		73
	DTCSecurityTransferableFlag	<DTCScTyTrfblFlg>		[0..1]		73
	DeclaredDisbursedSecurityDetails	<DclrdDsbrsdSctyDtls>		[0..1]		73
	DTCDisbursedSecurityAssetType	<DTCDsbrsdSctyAsstTp>		[0..1]		74
	DTCDisbursedSecurityAsset-Class	<DTCDsbrsdSctyAsst-Class>		[0..1]		74
	BabyBondDenomination	<BabyBdDnmtn>		[0..1]		74







3.14 SecuritiesMovementRateDetails

XML Tag: SctiesMvmntRateDtls

Presence: [0..*]

Definition: Information to be extended as supplementary data to securities movement rate details.

The **SctiesMvmntRateDtls** block contains the following elements (see datatype "CorporateActionRateSD12" on page 54 for details)

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
 Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		54
	DeclaredSecurityRate	<DclrdSctyRate>		[0..1]		54
	EstimatedRateFlag	<EstmtdRateFlg>		[0..1]		55
	DeclaredFeeRate	<DclrdFeeRate>		[0..1]		55







3.15 SecuritiesMovementCashInLieuDetails

XML Tag: SctiesMvmntCshInLieuDtIs

Presence: [0..*]

Definition: Information to be extended as supplementary data to securities movement for cash in lieu details.

The **SctiesMvmntCshInLieuDtIs** block contains the following elements (see datatype "[CorporateActionPriceSD5](#)" on page 52 for details)

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
 Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		52
	DeclaredCashInLieuPrice	<DclrdCshInLieuPric>		[0..1]		53







3.16 SecuritiesMovementFractionDisposition

XML Tag: SctiesMvmntFrctnDspstn

Presence: [0..*]

Definition: Information to be extended as supplementary data to securities movement fraction disposition.

The **SctiesMvmntFrctnDspstn** block contains the following elements (see datatype "[FractionDispositionTypeSD3](#)" on page 81 for details)

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
 Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		81
	RoundingFactor	<RndgFctr>		[0..1]		81







3.17 CashMovementDetails



XML Tag: CshMvmntDtls

Presence: [0..*]

Definition: Information to be extended as supplementary data to cash movement details.

The **CshMvmntDtls** block contains the following elements (see datatype "[CashOptionSD14](#)" on [page 25](#) for details)

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		26
	PayoutType	<PyoutTp>		[1..1]		26
	DTCPayMethod	<DTCPayMtd>		[0..1]		26
	DTCPayOrder	<DTCPayOrd>		[0..1]		26
	EntitlementCalculationMethod	<EntitlMntClctnMtd>		[0..1]		26
	EstimatedRateFlag	<EstmtdRateFlg>		[0..1]		26
	NRATaxReportableFlag	<NRATaxRptblFlg>		[0..1]		27
	ProtectChargeFlag	<PrtctChrgFlg>		[0..1]		27
	DeclaredCashRate	<DclrdCshRate>		[0..1]		27
	DeclaredGrossRate	<DclrdGrssRate>		[0..1]		28
	DeclaredNetRate	<DclrdNetRate>		[0..1]		28
	DeclaredFeeRate	<DclrdFeeRate>		[0..1]		28
	DTCUSTaxInstructionPeriod	<DTCUSTaxInstrPrd>		[0..1]		29
	RDPReferenceNumber	<RDPRefNb>		[0..1]		29
	InterestAccruedNumberOfDays	<IntrstAcrdNbOfDays>		[0..1]		31







3.18 NewAgent

XML Tag: NewAgt

Presence: [0..*]

Definition: Information to be extended as supplementary data to new agent. Used when the required ISO agent type does not exist and an entire new component must be generated.

The **NewAgt** block contains the following elements (see datatype "[PartyIdentificationSD5](#)" on [page 88](#) for details)

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		89

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	AgentType	<AgtTp>		[1..1]	⚠	89
	AgentIdentification	<AgtId>		[0..1]	⚠	90
	AgentNameAndAddress	<AgtNmAndAdr>		[1..1]	⚠	90
	AgentTelephoneNumber	<AgtTelNb>		[0..1]	⚠	90
	AgentEmailAddress	<AgtEmailAdr>		[0..1]		91
	ContactInformation	<CtctInf>		[0..1]		91

3.19 Agent

XML Tag: Agt

Presence: [0..*]

Definition: Information to be extended as supplementary data to agent, for example, "issuer agent" and "reselling agent. Used when the required "ISO agent type" exists and only additional details need to be extended.

The **Agt** block contains the following elements (see datatype "PartyIdentificationSD6" on page 91 for details)

🚫 Removed - 🚫 Partial Removed - 🔹 Ignored - 🔹 Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]







Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		93
	AgentIdentification	<AgtId>		[0..1]		93
	AgentTelephoneNumber	<AgtTelNb>		[0..1]	⚠	93
	ContactInformation	<CtctInf>		[0..1]		93
	AgentEmailAddress	<AgtEmailAdr>		[0..1]	⚠	94
	AgentAddress	<AgtAdr>		[0..1]		94

4 Message Components

Note The following chapter identifies the message components.

4.1 AmountAndQuantityRatio5

Definition: Ratio expressed as amount per quantity.

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Amount	<Amt>		[1..1]		23
	Quantity	<Qty>		[1..1]		23

Used in element(s)

"AmountToQuantity" on page 101, "QuantityToAmount" on page 102

4.1.1 Amount

XML Tag: Amt

Presence: [1..1]

Definition: Cash amount.

Datatype: "RestrictedFINActiveCurrencyAnd13DecimalAmount" on page 167

4.1.2 Quantity

XML Tag: Qty







Presence: [1..1]

Definition: Quantity expressed as number.

Datatype: "RestrictedFINDecimalNumber" on page 167

4.2 AmountPricePerFinancialInstrumentQuantity7

Definition: Specifies a ratio: amount price per financial instrument quantity.

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	AmountPriceType	<AmtPricTp>		[1..1]		24
	PriceValue	<PricVal>		[1..1]		24
	FinancialInstrumentQuantity	<FinInstrmQty>		[1..1]		24

Used in element(s)

["AmountPricePerFinancialInstrumentQuantity"](#) on page 98

4.2.1 AmountPriceType

XML Tag: AmtPricTp

Presence: [1..1]

Definition: Type of amount price.

Datatype: ["AmountPriceType1Code"](#) on page 115

4.2.2 PriceValue

XML Tag: PricVal

Presence: [1..1]

Definition: Value of the price.

Datatype: ["RestrictedFINActiveCurrencyAnd13DecimalAmount"](#) on page 167







4.2.3 FinancialInstrumentQuantity

XML Tag: FinInstrmQty

Presence: [1..1]

Definition: Quantity of financial instrument.







The **FinInstrmQty** block contains the following elements (see datatype ["FinancialInstrumentQuantity15Choice"](#) on page 79 for details)

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Unit	<Unit>	{Or	[1..1]		79
	FaceAmount	<FaceAmt>	Or	[1..1]		79
	AmortisedValue	<AmtsdVal>	Or}	[1..1]		79

4.3 AmountToAmountRatio3

Definition: Ratio expressed as a quotient of amounts.

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Amount1	<Amt1>		[1..1]		25
	Amount2	<Amt2>		[1..1]		25

Used in element(s)

"AmountToAmount" on page 100, "AmountToAmount" on page 101

4.3.1 Amount1

XML Tag: Amt1

Presence: [1..1]

Definition: Numerator of the quotient of amounts.

Datatype: "RestrictedFINActiveCurrencyAnd13DecimalAmount" on page 167

4.3.2 Amount2

XML Tag: Amt2







Presence: [1..1]



Definition: Denominator of the quotient of amounts.

Datatype: "RestrictedFINActiveCurrencyAnd13DecimalAmount" on page 167

4.4 CashOptionSD14

Definition: Provides additional information regarding corporate action option cash movement details.

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		26
	PayoutType	<PayoutTp>		[1..1]		26
	DTCPayMethod	<DTCPayMtd>		[0..1]		26
	DTCPayOrder	<DTCPayOrd>		[0..1]		26
	EntitlementCalculationMethod	<EntitlmtClctnMtd>		[0..1]		26
	EstimatedRateFlag	<EstmtdRateFlg>		[0..1]		26
	NRATaxReportableFlag	<NRATaxRptblFlg>		[0..1]		27
	ProtectChargeFlag	<PrtctChrgFlg>		[0..1]		27
	DeclaredCashRate	<DclrdCshRate>		[0..1]		27
	DeclaredGrossRate	<DclrdGrssRate>		[0..1]		28
	DeclaredNetRate	<DclrdNetRate>		[0..1]		28
	DeclaredFeeRate	<DclrdFeeRate>		[0..1]		28
	DTCUSTaxInstructionPeriod	<DTCUSTaxInstrPrd>		[0..1]		29
	RDPReferenceNumber	<RDPRefNb>		[0..1]		29
	InterestAccruedNumberOfDays	<IntrstAcrdNbOfDays>		[0..1]		31

Used in element(s)

"CashMovementDetails" on page 20

4.4.1 PlaceAndName

XML Tag: PlcAndNm

Presence: [0..1]

Definition: Xpath to the element that is being extended.

Datatype: "Max350Text" on page 155

4.4.2 PayoutType

XML Tag: PayoutTp

Presence: [1..1]

Definition: Specifies the type of payout associated with the event (for example: principal, long term capital gain).

Datatype: "DTCCPayoutType5Code" on page 127

4.4.3 DTCPayMethod

XML Tag: DTCPayMtd

Presence: [0..1]

Definition: Indicates the type of payment. Used in stock dividends processing at DTC (The Depository Trust Corporation). Valid values list will be maintained separately from the schema.

Datatype: "Max3Text" on page 156

4.4.4 DTCPayOrder

XML Tag: DTCPayOrdr

Presence: [0..1]

Definition: Indicates the payment order. Used in stock dividends processing at DTC (The Depository Trust Corporation). Valid values list will be maintained separately from the schema.

Datatype: "Max3Text" on page 156

4.4.5 EntitlementCalculationMethod

XML Tag: EntitlmntClctnMtd

Presence: [0..1]

Definition: Indicates how the entitlements were calculated for optional dividends.

Datatype: "DTCEntitlementCalculationMethod1Code" on page 136

4.4.6 EstimatedRateFlag

XML Tag: EstmtdRateFlg

Presence: [0..1]

Definition: Indicates whether the rate is approximate.

Yes: applicable.

No: not applicable.

When absent, means No.

Datatype: "YesNoIndicator" on page 170

4.4.7 NRATaxReportableFlag

XML Tag: NRATaxRptbIFlg

Presence: [0..1]

Definition: Indicates whether the income event is subject to withholding tax if paid to a non-U.S. resident alien (NRA).

Yes: applicable.

No: not applicable.

When absent, means No.

Datatype: "YesNoIndicator" on page 170

4.4.8 ProtectChargeFlag

XML Tag: PrtctChrgFlg

Presence: [0..1]

Definition: Indicates whether a charge is levied on the protect instructions at the time when the protect is submitted or at the time of the cover. Applies to warrants or rights exercise scenario where the holder must put up money with rights or warrants execution. When this flag is set to yes - charges are due at the time of the protect, when it is set to "no" changes are due when protect is covered.

Yes: applicable.

No: not applicable.

When absent, means No.

Datatype: "YesNoIndicator" on page 170

Usage Guideline details

- This element(supl.001.001.18/CashMovementDetails/ProtectChargeFlag) is removed.

4.4.9 DeclaredCashRate

XML Tag: DclrdCshRate

Presence: [0..1]

Definition: Cash rate associated to the payout as declared on the market by the issuer or offeror.

The **DclrdCshRate** block contains the following elements (see datatype "[PriceFormatSD3Choice](#)" on page 97 for details)

🚫 Removed - 🚫 Partial Removed - ⬜ Ignored - ⬜ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	NotSpecifiedPrice	<NotSpcfdPric>	{Or}	[1..1]		98
	AmountPricePerFinancialInstrumentQuantity	<AmtPricPerFinInstrmQty>	Or}	[1..1]		98

4.4.10 DeclaredGrossRate

XML Tag: DclrdGrssRate

Presence: [0..1]

Definition: Gross cash rate associated to the payout as declared on the market by the issuer or offeror.

The **DclrdGrssRate** block contains the following elements (see datatype "[PriceFormatSD3Choice](#)" on page 97 for details)

🚫 Removed - 🚫 Partial Removed - ⬜ Ignored - ⬜ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	NotSpecifiedPrice	<NotSpcfdPric>	{Or}	[1..1]		98
	AmountPricePerFinancialInstrumentQuantity	<AmtPricPerFinInstrmQty>	Or}	[1..1]		98

4.4.11 DeclaredNetRate

XML Tag: DclrdNetRate

Presence: [0..1]

Definition: Net cash rate associated to the payout as declared on the market by the issuer or offeror.

The **DclrdNetRate** block contains the following elements (see datatype "[PriceFormatSD3Choice](#)" on page 97 for details)

🚫 Removed - 🚫 Partial Removed - ⬜ Ignored - ⬜ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	NotSpecifiedPrice	<NotSpcfdPric>	{Or}	[1..1]		98
	AmountPricePerFinancialInstrumentQuantity	<AmtPricPerFinInstrmQty>	Or}	[1..1]		98

4.4.12 DeclaredFeeRate

XML Tag: DclrdFeeRate

Presence: [0..1]

Definition: Rate at which the fee will be charged to a DTC participant.

The **DclrdFeeRate** block contains the following elements (see datatype "[PriceFormatSD3Choice](#)" on [page 97](#) for details)

🚫 Removed - 🚫 Partial Removed - ⬜ Ignored - ⬜ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	NotSpecifiedPrice	<NotSpcfdPric>	{Or}	[1..1]		98
	AmountPricePerFinancialInstrumentQuantity	<AmtPricPerFinInstrmQty>	Or}	[1..1]		98

4.4.13 DTCUSTaxInstructionPeriod

XML Tag: DTCUSTaxInstrPrd

Presence: [0..1]

Definition: Indicates the period during which the instructions for DTC (The Depository Trust Corporation) US Tax service will be accepted.

The **DTCUSTaxInstrPrd** block contains the following elements (see datatype "[Period13](#)" on [page 95](#) for details)

🚫 Removed - 🚫 Partial Removed - ⬜ Ignored - ⬜ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	StartDate	<StartDt>		[1..1]		95
	EndDate	<EndDt>		[1..1]		95

4.4.14 RDPReferenceNumber

XML Tag: RDPRefNb

Presence: [0..1]

Definition: Unique DTCC legacy reference used for matching and reconciling legacy CCF records. The element will be populated to all levels of the message (event details, options, movements) where applicable to indicate how values are sourced from CCF legacy files. For example: an event has 2 related activity types 74, and 54. If event details and cash option are sourced from the activity type 74, then activity type 74 will be in RDP reference number element in event details, and also on the cash option. The activity type 54 will be "on" the security option. Also, usage rules will specify the different layouts of the RDP reference number based on DTCC event group (reorganisation, distribution, or redemption).

Datatype: "[Exact32AlphaNumericText](#)" on [page 142](#)

Usage Guideline details

- on [supl.001.001.18/CashMovementDetails/RDPReferenceNumber](#)
 - RDP Reference Number Usage Rule:

The element will be populated to all levels (Event Details, Options, Movements) where applicable to represent where the values are sourced from in CCF. For example: event has 2 related Activity Types 74, and 54. If event details and cash option are sourced from the Activity Type 74, then Activity Type 74 will be in RDP Reference Number in event details, and also on the cash option. The activity 59 will be "on" the security option.

- **on supl.001.001.18/CashMovementDetails/RDPReferenceNumber**

- **RDP Reference Number Composition Conditional Rule:**

RDP Reference Number will have a different composition depending on event category.

If

Event category is Distributions or Redemptions

Then

Department ID: length (1); Position (1:1). Default value is 0.

Activity Type: length (3); Position (2:3). Right padded with zeroes. Example: Activity 85 will be 850, 85N will be 85N.

CUSIP Country: length (2); Position (5:2). Default value is zeroes.

CUSIP: length (9); Position (7:9)

CUSIP Int Check Digit: length (1); Position (16:1). Default value is 0.

Record Date: length (6); Position (17:6). YYMMDD Default value is zeroes.

Payable Date: length (6); Position (23:6) YYMMDD Default value is zeroes.

Sequence Number: length (3); Position (29:3) Default value is zeroes.

RDP Issue Type: length (1); Position (32:1) Default value is zeroes.

Else

Department ID: length (1); Position (1:1). Default value is 0

Activity Type: length (3); Position (2:3). Right padded with zeroes. Example: Activity 85 will be 850, 85N will be 85N

CUSIP Country: length (2); Position (5:2). Default value is zeroes

CUSIP: length (9); Position (7:9).

CUSIP Int Check Digit: length (1); Position (16:1). Default value is 0

Sequence Code from Payout Table; length (3); Position (17:3). Default value is zeroes.

Filler: length(3); Position (20:3). Value is 000.

Payable Date: length (6); Position (23:6). YYMMDD Default value is zeroes.

Sequence Number: length (3); Position (29:3). Default value is zeroes.

RDP Issue Type: length (1); Position (32:1). Default value is zeroes.

- **on supl.001.001.18/CashMovementDetails/RDPReferenceNumber**

- **Applicability:**

true

4.4.15 InterestAccruedNumberOfDays

XML Tag: IntrstAcrdNbOfDays







Presence: [0..1]

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

Datatype: "Max3Number" on page 155

4.5 ContactIdentification1

Definition: Information needed to contact a physical person.

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Name	<Nm>		[1..1]		31
	NamePrefix	<NmPrfx>		[0..1]		31
	GivenName	<GvnNm>		[0..1]		31
	Role	<Role>		[0..1]		32
	PhoneNumber	<PhneNb>		[0..1]		32
	FaxNumber	<FaxNb>		[0..1]		32
	EmailAddress	<EmailAdr>		[0..1]		32

Used in element(s)

"ContactPerson" on page 87

4.5.1 Name

XML Tag: Nm

Presence: [1..1]

Definition: Name by which a party is known and which is usually used to identify that party.

Datatype: "Max35Text" on page 155

4.5.2 NamePrefix

XML Tag: NmPrfx

Presence: [0..1]

Definition: Specifies the terms used to formally address a person.

Datatype: "NamePrefix1Code" on page 157

4.5.3 GivenName

XML Tag: GvnNm

Presence: [0..1]

Definition: First name of a person.

Datatype: "Max35Text" on page 155

4.5.4 Role

XML Tag: Role

Presence: [0..1]

Definition: Role of the party in the activity.

Datatype: "Max35Text" on page 155

4.5.5 PhoneNumber

XML Tag: PhneNb

Presence: [0..1]

Definition: Collection of information that identifies a phone number, as defined by telecom services.

Datatype: "PhoneNumber" on page 160

4.5.6 FaxNumber

XML Tag: FaxNb

Presence: [0..1]

Definition: Collection of information that identifies a FAX number, as defined by telecom services.

Datatype: "PhoneNumber" on page 160

4.5.7 EmailAddress

XML Tag: EmailAdr







Presence: [0..1]



Definition: Address for electronic mail (e-mail).

Datatype: "Max256Text" on page 154

4.6 CorporateActionDateSD10

Definition: Provides additional information regarding corporate action date details.

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		33
	DTCLastDayForEarlyRedemption	<DTCLastDayForEarlyRed>		[0..1]		33
	DTCPositionCaptureDate	<DTCPosCaptrDt>		[0..1]		34

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	NewYorkCutOffDate	<NewYorkCutOffDt>		[0..1]		34
	DTCExtendedCutOffDate	<DTCXtndedCutOffDt>		[0..1]		34
	EffectiveDateByExchange	<FctvDtByXchg>		[0..1]		34
	DateDeclaredWorthless	<DtDclrdWrthls>		[0..1]		34
	DeleteWorthlessSecurityDate	<DelWrthlsSctyDt>		[0..1]		35
	DTCExitDate	<DTCExitDt>		[0..1]		35
	SubscriptionBeginDate	<SbcptBegnDt>		[0..1]		35
	RightsDistributionAsOfDate	<RghsDstrbtnAsOfDt>		[0..1]		35
	RightsDistributionDate	<RghsDstrbtnDt>		[0..1]		35
	TimingDate	<TmgDt>		[0..1]		35

Used in element(s)

"CorporateActionDateDetails" on page 14

4.6.1 PlaceAndName

XML Tag: PlcAndNm

Presence: [0..1]

Definition: Xpath to the element that is being extended.

Datatype: "Max350Text" on page 155

4.6.2 DTCLastDayForEarlyRedemption

XML Tag: DTCLastDayForEarlyRed

Presence: [0..1]

Definition: Last day on which DTC (The Depository Trust Corporation) will accept instructions for CD early redemptions. This is specific to CDs when the registered holder is deceased.

Datatype: "ISODate" on page 150

Usage Guideline details

- on **supl.001.001.18/CorporateActionDateDetails/DTCLastDayForEarlyRedemption**
 - **Applicability:**
true
 - **Redemption Rule:**
Last Day for
Early
Redemption

4.6.3 DTCTPositionCaptureDate

XML Tag: DTCTPosCaptrDt

Presence: [0..1]

Definition: Date when positions are captured and entitlements are calculated in the system at DTC (The Depository Trust Corporation).

Datatype: "ISODate" on page 150

Usage Guideline details

- on supl.001.001.18/CorporateActionDateDetails/DTCTPositionCaptureDate
 - **Applicability:**
true
 - **Redemption Rule:**
As of Date

4.6.4 NewYorkCutOffDate

XML Tag: NewYorkCutOffDt

Presence: [0..1]

Definition: Last day to deposit securities at DTC and receive the entitlement for an event approaching record date. Issues that have a New York cut-off date have an out-of-town agent on DTC's records.

Datatype: "ISODate" on page 150

4.6.5 DTCExtendedCutOffDate

XML Tag: DTCXtndedCutOffDt

Presence: [0..1]

Definition: Cut Off date for DTC (The Depository Trust Corporation) deposit and withdrawal activity. Certain events require an earlier cut off date. This is typically used on event securities requiring the submission of bearer coupons. Those events usually stop deposit and withdrawal activity one month prior to the declared record date.

Datatype: "ISODate" on page 150

4.6.6 EffectiveDateByExchange

XML Tag: FctvDtByXchg

Presence: [0..1]

Definition: Effective date as declared by the primary exchange that generally coincides with cessation of trading in the old security and commencement of trading in the new security.

Datatype: "ISODate" on page 150

4.6.7 DateDeclaredWorthless

XML Tag: DtDclrdWrthls

Presence: [0..1]

Definition: Date that DTC received formal notification from the agent/issuer stating that the securities are null and void.

Datatype: "ISODate" on page 150

4.6.8 DeleteWorthlessSecurityDate

XML Tag: DelWrthlsSctyDt

Presence: [0..1]

Definition: Date when DTC participant positions will be deleted. Typically used for expired rights and warrants.

Datatype: "ISODate" on page 150

4.6.9 DTCExitDate

XML Tag: DTCExitDt

Presence: [0..1]

Definition: Date on which securities will be exited to DTC participants from DTC (The Depository Trust Corporation).

Datatype: "ISODate" on page 150

4.6.10 SubscriptionBeginDate

XML Tag: SbcptBegnDt

Presence: [0..1]

Definition: Date on which a holder can begin to subscribe for new/additional shares.

Datatype: "ISODate" on page 150

4.6.11 RightsDistributionAsOfDate

XML Tag: RghtsDstrbtnAsOfDt

Presence: [0..1]

Definition: Date used for determining client position for allocating rights.

Datatype: "ISODate" on page 150

4.6.12 RightsDistributionDate

XML Tag: RghtsDstrbtnDt

Presence: [0..1]

Definition: Date at which the rights allocation occurred.

Datatype: "ISODate" on page 150

4.6.13 TimingDate

XML Tag: TmgDt

Presence: [0..1]

Definition: Date which defines the timing of the Dividend Equivalent payment as per IRS regulation 871m.

Datatype: ["ISODate" on page 150](#)

4.7 CorporateActionDateSD11

Definition: Provides additional information regarding corporate action options date details.

❌ Removed - ❌ Partial Removed - ❖ Ignored - ❖ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		36
	ActualEarlyExpirationDate	<ActlEarlyXprtnDt>		[0..1]		36
	ActualProtectExpirationDate	<ActlPrctcXprtnDt>		[0..1]		37
	ActualEarlyProtectExpirationDate	<ActlEarlyPrctcXprtnDt>		[0..1]		37
	DTCEarlyProtectExpirationDate	<DTCEarlyPrctcXprtnDt>		[0..1]		37
	ActualEarlyCoverProtectExpirationDate	<ActlEarlyCoverPrctcXprtnDt>		[0..1]		38
	DTCEarlyCoverProtectExpirationDate	<DTCEarlyCoverPrctcXprtnDt>		[0..1]		38
	ProcessToDate	<PrcToDt>		[0..1]		38
	DTCEarliestPaymentDate	<DTCEarlstPmtDt>		[0..1]		39

Used in element(s)

["OptionDateDetails" on page 18](#)

4.7.1 PlaceAndName

XML Tag: PlcAndNm

Presence: [0..1]

Definition: Xpath to the element that is being extended.

Datatype: ["Max350Text" on page 155](#)







4.7.2 ActualEarlyExpirationDate

XML Tag: ActlEarlyXprtnDt

Presence: [0..1]

Definition: Actual early expiration time as set by the issuer/offer/agent.

The **ActlEarlyXprtnDt** block contains the following elements (see datatype ["DateFormat49Choice" on page 71](#) for details)

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
 Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Date	<Dt>	{Or	[1..1]		72
	DateCode	<DtCd>	Or}	[1..1]		72







4.7.3 ActualProtectExpirationDate

XML Tag: ActIPrtctXprtnDt

Presence: [0..1]

Definition: Last day protect instructions can be submitted to the issuer / agent.

The **ActIPrtctXprtnDt** block contains the following elements (see datatype "[DateFormat49Choice](#)" on page 71 for details)

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
 Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Date	<Dt>	{Or	[1..1]		72
	DateCode	<DtCd>	Or}	[1..1]		72







4.7.4 ActualEarlyProtectExpirationDate

XML Tag: ActIEarlyPrtctXprtnDt

Presence: [0..1]

Definition: Last day protect instructions can be submitted to the issuer / agent for the early expiration.

The **ActIEarlyPrtctXprtnDt** block contains the following elements (see datatype "[DateFormat49Choice](#)" on page 71 for details)

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
 Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Date	<Dt>	{Or	[1..1]		72
	DateCode	<DtCd>	Or}	[1..1]		72







4.7.5 DTCEarlyProtectExpirationDate

XML Tag: DTCEarlyPrtctXprtnDt

Presence: [0..1]

Definition: Last day protect instructions can be submitted to DTC for the early expiration.

The **DTCEarlyPrtctXprtnDt** block contains the following elements (see datatype "[DateFor-
mat49Choice](#)" on page 71 for details)

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
 Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Date	<Dt>	{Or	[1..1]		72
	DateCode	<DtCd>	Or}	[1..1]		72







4.7.6 ActualEarlyCoverProtectExpirationDate

XML Tag: ActlEarlyCoverPrctcXprtnDt

Presence: [0..1]

Definition: Last day cover early protect instructions can be submitted to the issuer / agent.

The **ActlEarlyCoverPrctcXprtnDt** block contains the following elements (see datatype "[DateFormat49Choice](#)" on page 71 for details)

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
 Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Date	<Dt>	{Or	[1..1]		72
	DateCode	<DtCd>	Or}	[1..1]		72







4.7.7 DTCEarlyCoverProtectExpirationDate

XML Tag: DTCEarlyCoverPrctcXprtnDt

Presence: [0..1]

Definition: Last day cover early protect instructions can be submitted to DTC.

The **DTCEarlyCoverPrctcXprtnDt** block contains the following elements (see datatype "[DateFormat49Choice](#)" on page 71 for details)

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
 Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Date	<Dt>	{Or	[1..1]		72
	DateCode	<DtCd>	Or}	[1..1]		72







4.7.8 ProcessToDate

XML Tag: PrcToDt

Presence: [0..1]

Definition: For Reorganization events, date at which instructions will be accepted by agent for payment.

The **PrcToDt** block contains the following elements (see datatype "[DateFormat49Choice](#)" on page 71 for details)

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
 Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Date	<Dt>	{Or	[1..1]		72
	DateCode	<DtCd>	Or}	[1..1]		72

4.7.9 DTCEarliestPaymentDate

XML Tag: DTCEarlstPmtDt







Presence: [0..1]





Definition: Date on which DTC expects to receive funds for distribution from the issuer / offeror. It will be used before payout details are available.

Datatype: "ISODate" on page 150

4.8 CorporateActionGeneralInformationSD55

Definition: Provides additional information regarding corporate action general information details.

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
 Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		40
	EventGroup	<EvtGrp>		[0..1]		40
	EventType	<EvtTp>		[0..1]		40
	SubEventType	<SubEvtTp>		[0..1]		40
	InstructionMessagingEligibilityFlag	<InstrMsggElgbltyFlg>		[0..1]		40
	RedemptionIdentification	<RedId>		[0..1]		41
	DTCFCPElectionFlag	<DTCFCPElctnFlg>		[0..1]		41
	AssetServicerProcessingFlag	<AsstSvcrPrcgFlg>		[0..1]		41

Rules

R3 EDSMessagingEligibilityRule

Applies only to distribution events that may be eligible for EDS ISO 20022 messaging services. It will not be present for Redemption or Reorganisation events.

Error handling: Undefined

Used in element(s)

"CorporateActionGeneralInformation" on page 12

4.8.1 PlaceAndName

XML Tag: PlcAndNm

Presence: [0..1]

Definition: Xpath to the element that is being extended.

Datatype: "Max350Text" on page 155

4.8.2 EventGroup

XML Tag: EvtGrp

Presence: [0..1]

Definition: DTC processing domain/ category for event types.

Datatype: "EventGroup1Code" on page 141

Usage Guideline details

- on supl.001.001.18/CorporateActionGeneralInformation/EventGroup
 - **Applicability:**
true

4.8.3 EventType

XML Tag: EvtTp

Presence: [0..1]

Definition: DTCC (The Depository Trust and Clearing Corporation) native corporate action event type name. Used in place for the events that cannot be classified by ISO code and mapped to OTHR or when two or more distinct events (in DTCC model) use same ISO code and there are no additional data elements that distinguish those two or more events.

Datatype: "ExtendedEventType6Code" on page 143

4.8.4 SubEventType

XML Tag: SubEvtTp

Presence: [0..1]

Definition: DTCC (The Depository Trust and Clearing Corporation) native corporate action sub event type name further defines the event type.

Datatype: "DTCCSubEventType11Code" on page 129

4.8.5 InstructionMessagingEligibilityFlag

XML Tag: InstrMsggElgbltyFlg

Presence: [0..1]

Definition: Indicates whether the event is eligible for Elective Dividend Services instruction messaging or voluntary reorganization instruction messaging.

Datatype: "YesNoIndicator" on page 170

4.8.6 RedemptionIdentification

XML Tag: RedId

Presence: [0..1]

Definition: Unique number systemically assigned to all lottery and non-lottery events announced in DTC redemptions (REDS) participant terminal system (PTS)/ participant browser system(PBS) function.

Datatype: "Max10NumericText" on page 152

Usage Guideline details

- on supl.001.001.18/CorporateActionGeneralInformation/RedemptionIdentification

- **Applicability:**
true
- **Redemption Rule:**
Redemption ID
- **REDEMG Trace:**
Redemption ID
- **REDEMA Trace:**
Redemption ID
- **REDEMC Trace:**
Redemption ID
- **REDEMX Trace:**
Redemption ID

4.8.7 DTCFCPElectionFlag

XML Tag: DTCFCPElctnFlg

Presence: [0..1]

Definition: Identifies events that offer instruction processing specific to foreign currency payment (FCP) elections.

Datatype: "YesNoIndicator" on page 170

Usage Guideline details

- on supl.001.001.18/CorporateActionGeneralInformation/DTCFCPElectionFlag

- **Applicability:**
true
- **Redemption Rule:**
Foreign
Currency
Eligible
Indicator

4.8.8 AssetServicerProcessingFlag

XML Tag: AsstSvcPrpgFlg

Presence: [0..1]

Definition: Indicates whether the event is being processed by DTC.







Datatype: ["YesNoIndicator" on page 170](#)



Usage Guideline details

- on [supl.001.001.18/CorporateActionGeneralInformation/AssetServicerProcessingFlag](#)
 - **Applicability:**
true

4.9 CorporateActionNotificationSD9

Definition: Provides additional information regarding notification general information details.

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		42
	CreateDateAndTime	<CretDtAndTm>		[1..1]		42
	UpdateDateAndTime	<UpdDtAndTm>		[0..1]		43

Used in element(s)

["NotificationGeneralInformation" on page 12](#)

4.9.1 PlaceAndName

XML Tag: PlcAndNm

Presence: [0..1]

Definition: Xpath to the element that is being extended.

Datatype: ["Max350Text" on page 155](#)

4.9.2 CreateDateAndTime

XML Tag: CretDtAndTm

Presence: [1..1]

Definition: Date and time when DTCC (The Depository Trust and Clearing Corporation) created the announcement record.

Datatype: ["ISODatetime" on page 151](#)

Usage Guideline details

- on [supl.001.001.18/NotificationGeneralInformation/CreateDateAndTime](#)

- **Applicability:**
true

4.9.3 UpdateDateAndTime

XML Tag: UpdDtAndTm

Presence: [0..1]

Definition: Date and time when DTCC (The Depository Trust and Clearing Corporation) last updated the announcement.

Datatype: "ISODateTime" on page 151







Usage Guideline details




- on supl.001.001.18/NotificationGeneralInformation/UpdateDateAndTime




- **Applicability:**
true

4.10 CorporateActionOptionSD16

Definition: Provides additional information regarding corporate action option details.

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		44
	ExtendedOptionFeatures	<XtndedOptnFeatrs>		[0..*]		44
	DefaultOptionFlag	<DfltOptnFlg>		[0..1]		44
	OptionalDividendSupplementary-DataRequiredFlag	<OptnlDvddSplmtry-DataReqrdFlg>		[0..1]		45
	OversubscriptionChargeFlag	<OvrsbcptChrgFlg>		[0..1]		45
	ProtectChargeFlag	<PrctChrgFlg>		[0..1]		45
	StepUpChargeFlag	<StepUpChrgFlg>		[0..1]		45
	SubscriptionChargeFlag	<SbcptChrgFlg>		[0..1]		46
	BackEndOddLotQuantityFlag	<BckEndOddLotQtyFlg>		[0..1]		46
	FrontEndOddLotQuantityFlag	<FrntEndOddLotQtyFlg>		[0..1]		46
	FullConditionFlag	<FullCondFlg>		[0..1]		47
	RDPReferenceNumber	<RDPRefNb>		[0..1]		47
	NumberOfConditions	<NbOfConds>		[0..1]		48
	TaxCategory	<TaxCtgy>		[0..99]		49

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	ProrationRoundingIndicator	<PrratnRndgInd>		[0..1]		49
	ProrationFraction	<PrratnFrctn>		[0..1]		49
	OptionConditions	<OptnConds>		[0..6]		50
	AgentAcceptRejectIndicator	<AgtAccptRjctInd>		[0..1]		50
	ProrationReturnMinimumQuantityTreatment	<PrratnRtrMinQtyTrtmnt>		[0..1]		50

Used in element(s)

"OptionDetails" on page 17

4.10.1 PlaceAndName

XML Tag: PlcAndNm

Presence: [0..1]

Definition: Xpath to the element that is being extended.

Datatype: "Max350Text" on page 155

4.10.2 ExtendedOptionFeatures

XML Tag: XtndedOptnFeatrs

Presence: [0..*]

Definition: Used for options that have particular proprietary feature that cannot be represented in the standard ISO message.

Datatype: "ExtendedOptionFeature2Code" on page 145

4.10.3 DefaultOptionFlag

XML Tag: DfltOptnFlg

Presence: [0..1]

Definition: Indicates whether the option is declared as default by the issuer/offeror, and will be treated as default by the issuer/offeror if no elections is made.

Yes: applicable.

No: not applicable.

When absent, means No.

Datatype: "YesNoIndicator" on page 170

Usage Guideline details

- on supl.001.001.18/OptionDetails/DefaultOptionFlag
 - Applicability:

true

4.10.4 OptionalDividendSupplementaryDataRequiredFlag

XML Tag: OptnlDvddSplmtryDataReqrdFlg

Presence: [0..1]

Definition: Indicates whether optional dividend supplementary data are required in the ISO 20022 corporate action instruction (CAIN) message for this event.

Yes: applicable.

No: not applicable.

When absent, means No.

Datatype: "YesNoIndicator" on page 170

4.10.5 OversubscriptionChargeFlag

XML Tag: OvrsbcptChrgFlg

Presence: [0..1]

Definition: Indicates whether the cash debit for the oversubscription charge is made at the time of instruction submission.

Yes: applicable.

No: not applicable.

When absent, means No.

Datatype: "YesNoIndicator" on page 170

4.10.6 ProtectChargeFlag

XML Tag: PrtctChrgFlg

Presence: [0..1]

Definition: Indicates whether the cash debit for the protect charge is made at the time of instruction submission.

Yes: applicable.

No: not applicable.

When absent, means No.

Datatype: "YesNoIndicator" on page 170

4.10.7 StepUpChargeFlag

XML Tag: StepUpChrgFlg

Presence: [0..1]

Definition: Indicates whether the cash debit for the step-up charge is made at the time of instruction submission.

Yes: applicable.

No: not applicable.

When absent, means No.

Datatype: "YesNoIndicator" on page 170

4.10.8 SubscriptionChargeFlag

XML Tag: SbcptChrgFlg

Presence: [0..1]

Definition: Indicates whether the cash debit for the subscription charge is made at the time of instruction submission.

Yes: applicable.

No: not applicable.

When absent, means No.

Datatype: "YesNoIndicator" on page 170

4.10.9 BackEndOddLotQuantityFlag

XML Tag: BckEndOddLotQtyFlg

Presence: [0..1]

Definition: Determines the disposition of odd lot quantities resulting from proration. Depending on the event, if the remaining quantity (instructed quantity - accepted prorated quantity) is an odd lot, it may be added to the accepted instruction quantity.

Yes: applicable.

No: not applicable.

When absent, means No.

Datatype: "YesNoIndicator" on page 170

4.10.10 FrontEndOddLotQuantityFlag

XML Tag: FrntEndOddLotQtyFlg

Presence: [0..1]

Definition: Identifies whether the exemption is in effect. Some offers stipulate that instructions submitted on odd lot positions will be exempted from any proration if submitted in full.

Yes: applicable.

No: not applicable.

When absent, means No.

Datatype: ["YesNoIndicator" on page 170](#)

Usage Guideline details

- This element(supl.001.001.18/OptionDetails/FrontEndOddLotQuantityFlag) is removed.

4.10.11 FullConditionFlag

XML Tag: FullCondFlg

Presence: [0..1]

Definition: Indicates, whether an option for certain events may have a full condition indicator, meaning that either the conditional quantity must be instructed in full (equal to the instructed quantity) or zero must be instructed.

Yes: applicable.

No: not applicable.

When absent, means No.

Datatype: ["YesNoIndicator" on page 170](#)

4.10.12 RDPReferenceNumber

XML Tag: RDPRefNb

Presence: [0..1]

Definition: Unique DTCC legacy reference used for matching and reconciling legacy CCF records. The element will be populated to all levels of the message (event details, options, movements) where applicable to indicate how values are sourced from CCF legacy files. For example: event has 2 related activity types 74, and 54. If event details and cash option are sourced from the activity type 74, then activity type 74 will be in RDP reference number in event details, and also on the cash option. The activity type 54 will be "on" the security option. Also, usage rules will specify the different layouts of the RDP reference number based on DTCC event group (reorganization, distribution, or redemption).

Datatype: ["Exact32AlphaNumericText" on page 142](#)

Usage Guideline details

- on supl.001.001.18/OptionDetails/RDPReferenceNumber

- RDP Reference Number Usage Rule:

The element will be populated to all levels (Event Details, Options, Movements) where applicable to represent where the values are sourced from in CCF. For example: event has 2 related Activity Types 74, and 54. If event details and cash option are sourced from the Activity Type 74, then Activity Type 74 will be in RDP Reference Number in event details, and also on the cash option. The activity 59 will be "on" the security option.

- on supl.001.001.18/OptionDetails/RDPReferenceNumber

- RDP Reference Number Composition Conditional Rule:

RDP Reference Number will have a different composition depending on event category.

If

Event category is Distributions or Redemptions

Then

Department ID: length (1); Position (1:1). Default value is 0.

Activity Type: length (3); Position (2:3). Right padded with zeroes. Example: Activity 85 will be 850, 85N will be 85N.

CUSIP Country: length (2); Position (5:2). Default value is zeroes.

CUSIP: length (9); Position (7:9)

CUSIP Int Check Digit: length (1); Position (16:1). Default value is 0.

Record Date: length (6); Position (17:6). YYMMDD Default value is zeroes.

Payable Date: length (6); Position (23:6) YYMMDD Default value is zeroes.

Sequence Number: length (3); Position (29:3) Default value is zeroes.

RDP Issue Type: length (1); Position (32:1) Default value is zeroes.

Else

Department ID: length (1); Position (1:1). Default value is 0

Activity Type: length (3); Position (2:3). Right padded with zeroes. Example: Activity 85 will be 850, 85N will be 85N

CUSIP Country: length (2); Position (5:2). Default value is zeroes

CUSIP: length (9); Position (7:9).

CUSIP Int Check Digit: length (1); Position (16:1). Default value is 0

Sequence Code from Payout Table: length (3); Position (17:3). Default value is zeroes.

Filler: length(3); Position (20:3). Value is 000.

Payable Date: length (6); Position (23:6). YYMMDD Default value is zeroes.

Sequence Number: length (3); Position (29:3). Default value is zeroes.

RDP Issue Type: length (1); Position (32:1). Default value is zeroes.

- **on supl.001.001.18/OptionDetails/RDPReferenceNumber**

- **Applicability:**

true

4.10.13 NumberOfConditions

XML Tag: NbOfConds

Presence: [0..1]

Definition: Number of conditions for a given option that must be acknowledged upon submission of instruction for voluntary reorganisation events.

Datatype: "Max2NumericText" on page 154







4.10.14 TaxCategory

XML Tag: TaxCtgy

Presence: [0..99]

Definition: Identification of the tax category as issuers, their agents, or tax authorities may require a breakdown of holders at a category level that have requested to receive a distribution at a favourable rate of tax.

The **TaxCtgy** block contains the following elements (see datatype "[TaxCategory1](#)" on page 109 for details)

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Identification	<Id>		[0..1]		109
	Description	<Desc>		[0..1]		109
	Country	<Ctry>		[0..1]		109

4.10.15 ProrationRoundingIndicator

XML Tag: PrratnRndgInd

Presence: [0..1]

Definition: Indicates how fractional positions will be handled for events with prorated options.

Datatype: "[FractionDispositionType12Code](#)" on page 149

Usage Guideline details

- on [supl.001.001.18/OptionDetails/ProrationRoundingIndicator](#)

Synonym (Proration Rounding Indicator): DTCC

- on [supl.001.001.18/OptionDetails/ProrationRoundingIndicator](#)

Comment:

Indicates how fractional positions will be handled for events with prorated options. RDDN - Round down to the nearest whole number. RDUP - Round up to the nearest whole number.

4.10.16 ProrationFraction

XML Tag: PrratnFrctn

Presence: [0..1]

Definition: Decimal above which numbers are rounded for prorated options. For example if the rounding factor is 0.5, numbers of 0.5 and above will be rounded up.

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

Usage Guideline details

- on supl.001.001.18/OptionDetails/ProrationFraction

Synonym (Proration Fraction): DTCC

- on supl.001.001.18/OptionDetails/ProrationFraction

Comment:

Decimal above which numbers are rounded for prorated options. For example if the rounding factor is 0.5, numbers of 0.5 and above will be rounded up.







4.10.17 OptionConditions

XML Tag: OptnConds

Presence: [0..6]

Definition: Participation in the event requires that certain conditions be met by the holder for certain voluntary options.

The **OptnConds** block contains the following elements (see datatype "[OptionConditions1](#)" on page 84 for details)

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory -
 R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	ConditionNumber	<CondNb>		[1..1]		84
	ConditionText	<CondTxt>		[1..1]		85
	ConditionRequiredFlag	<CondReqrdFlg>		[1..1]		85

4.10.18 AgentAcceptRejectIndicator

XML Tag: AgtAccptRjctInd

Presence: [0..1]

Definition: Indicates whether the event agent has approved the acceptance of voluntary instructions for a given event.

Datatype: "[AgentAcceptReject1Code](#)" on page 113

4.10.19 ProrationReturnMinimumQuantityTreatment

XML Tag: PrratnRtrMinQtyTrtmnt

Presence: [0..1]

Definition: Indicates how prorated instructions will be handled when the prorated entitlement results in less than the minimum denomination.







Datatype: "[ProrationReturnQuantityTreatment1Code](#)" on page 162

Usage Guideline details

- This element(supl.001.001.18/OptionDetails/ProrationReturnMinimumQuantityTreatment) is removed.

4.11 CorporateActionPeriodSD3

Definition: Provides additional information regarding corporate action details periods details.

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		51
	DTCReorganisationDepositPeriod	<DTCReorgDpstPrd>		[0..1]		51

Used in element(s)

"CorporateActionPeriodDetails" on page 16

4.11.1 PlaceAndName

XML Tag: PlcAndNm

Presence: [0..1]

Definition: Xpath to the element that is being extended.

Datatype: "Max350Text" on page 155







4.11.2 DTCReorganisationDepositPeriod

XML Tag: DTCReorgDpstPrd

Presence: [0..1]

Definition: Period during which the securities can be submitted to reorganisation deposit service at DTC (The Depository Trust Corporation). DTC "first day for reorganisation deposit" (start date) is the day on which security is eligible for reorganisation deposit service at DTC. DTC "last day for reorganisation deposit" is the last day on which securities are eligible to be submitted for reorganisation deposit service at DTC.







The **DTCReorgDpstPrd** block contains the following elements (see datatype "Period13" on page 95 for details)

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	StartDate	<StartDt>		[1..1]		95
	EndDate	<EndDt>		[1..1]		95

4.12 CorporateActionPriceSD4

Definition: Provides additional information regarding corporate action details price details.

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		52
	SubscriptionPrice	<SbcptPric>		[0..1]		52

Used in element(s)

"CorporateActionPriceDetails" on page 15

4.12.1 PlaceAndName

XML Tag: PlcAndNm

Presence: [0..1]

Definition: Xpath to the element that is being extended.

Datatype: "Max350Text" on page 155

4.12.2 SubscriptionPrice

XML Tag: SbcptPric







Presence: [0..1]

Definition: Cost to subscribe to additional share(s) of the underlying security.

Datatype: "RestrictedFINActiveCurrencyAnd13DecimalAmount" on page 167

4.13 CorporateActionPriceSD5

Definition: Provides additional information regarding corporate action option securities movement price details.

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		52
	DeclaredCashInLieuPrice	<DclrdCshInLieuPric>		[0..1]		53

Used in element(s)

"SecuritiesMovementCashInLieuDetails" on page 20

4.13.1 PlaceAndName

XML Tag: PlcAndNm

Presence: [0..1]

Definition: Xpath to the element that is being extended.

Datatype: ["Max350Text" on page 155](#)

4.13.2 DeclaredCashInLieuPrice

XML Tag: DclrdCshInLieuPric







Presence: [0..1]

Definition: Corresponding cash in lieu price as declared on the market by issuer/ offeror.

Datatype: ["RestrictedFINActiveCurrencyAnd13DecimalAmount" on page 167](#)

4.14 CorporateActionQuantitySD3

Definition: Provides additional information regarding corporate action securities quantity details.

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory -
 R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		53
	SubscriptionQuantity	<SbcptQty>		[0..1]		53

Used in element(s)

["CorporateActionSecuritiesQuantity" on page 16](#)

4.14.1 PlaceAndName

XML Tag: PlcAndNm

Presence: [0..1]

Definition: Xpath to the element that is being extended.

Datatype: ["Max350Text" on page 155](#)







4.14.2 SubscriptionQuantity

XML Tag: SbcptQty

Presence: [0..1]

Definition: Represents "subscription base" (Quantity2) and "subscription disbursed" (Quantity1) quantity elements. "Subscription base quantity" is the quantity of the rights security that forms the basis for calculating the payout. It is located on the distribution announcement, with the rights subscription announcement following later. "Subscription disbursed quantity" is the quantity of securities received in the security payout. It is located on the distribution announcement, with the rights subscription announcement following later.







The **SbcptQty** block contains the following elements (see datatype ["RatioFormat23Choice" on page 99](#) for details)

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
 Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	QuantityToQuantity	<QtyToQty>	{Or	[1..1]		99
	NotSpecifiedRate	<NotSpctdRate>	Or	[1..1]		100
	AmountToAmount	<AmtToAmt>	Or}	[1..1]		100

4.15 CorporateActionRateSD12

Definition: Provides additional information regarding corporate action option securities movement rate details.

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
 Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		54
	DeclaredSecurityRate	<DclrdSctyRate>		[0..1]		54
	EstimatedRateFlag	<EstmtdRateFlg>		[0..1]		55
	DeclaredFeeRate	<DclrdFeeRate>		[0..1]		55

Used in element(s)

"SecuritiesMovementRateDetails" on page 19

4.15.1 PlaceAndName

XML Tag: PlcAndNm

Presence: [0..1]

Definition: Xpath to the element that is being extended.

Datatype: "Max350Text" on page 155







4.15.2 DeclaredSecurityRate

XML Tag: DclrdSctyRate

Presence: [0..1]

Definition: Corresponding rate of the security being disbursed as a result of the corporate action as declared by the issuer or offeror on the market.

The **DclrdSctyRate** block contains the following elements (see datatype "[CorporateActionRateSD8Choice](#)" on page 56 for details)

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
 Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	AdditionalQuantityForExistingSecurities	<AddtlQtyForExstgSecurities>	{Or}	[1..1]		56
	NewToOld	<NewToOld>	Or}	[1..1]		57

4.15.3 EstimatedRateFlag

XML Tag: EstmtdRateFlg

Presence: [0..1]

Definition: Denotes whether the rate is approximate.

Datatype: "YesNoIndicator" on page 170







4.15.4 DeclaredFeeRate

XML Tag: DclrdFeeRate

Presence: [0..1]

Definition: Rate at which the fee will be charged to a DTC participant.







The **DclrdFeeRate** block contains the following elements (see datatype "PriceFormatSD3Choice" on page 97 for details)

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	NotSpecifiedPrice	<NotSpctdPric>	{Or}	[1..1]		98
	AmountPricePerFinancialInstrumentQuantity	<AmtPricPerFinInstrmQty>	Or}	[1..1]		98

4.16 CorporateActionRateSD2

Definition: Ratio of the American or Global Depositary Receipt(s) per ordinary share(s).

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	ReceiptBaseQuantity	<RctBaseQty>		[0..1]		55
	OrdinaryShare	<OrdnryShr>		[0..1]		56

Used in element(s)

"AmericanOrGlobalDepositReceiptRatio" on page 58

4.16.1 ReceiptBaseQuantity

XML Tag: RctBaseQty

Presence: [0..1]

Definition: Receipts quantity (base) of the American or Global Depository Receipt(s) per ordinary share(s) ratio.

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

4.16.2 OrdinaryShare

XML Tag: OrdnryShr

Presence: [0..1]

Definition: Ordinary shares quantity of the American or Global Depository Receipt(s) per ordinary share(s) ratio.

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

4.17 CorporateActionRateSD8Choice

Definition: Specifies security rate details.

❌ Removed - ⊖ Partial Removed - ♦ Ignored - ⊕ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	AdditionalQuantityForExistingSecurities	<AddtlQtyForExstgScities>	{Or	[1..1]		56
	NewToOld	<NewToOd>	Or}	[1..1]		57

Used in element(s)

["DeclaredSecurityRate" on page 54](#)

4.17.1 AdditionalQuantityForExistingSecurities

XML Tag: AddtlQtyForExstgScities

Presence: [1..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.

The **AddtlQtyForExstgScities** block contains the following elements (see datatype ["RatioFormat23Choice" on page 99](#) for details)

❌ Removed - ⊖ Partial Removed - ♦ Ignored - ⊕ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	QuantityToQuantity	<QtyToQty>	{Or	[1..1]		99
	NotSpecifiedRate	<NotSpcfdRate>	Or	[1..1]		100

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	AmountToAmount	<AmtToAmt>	Or}	[1..1]		100







4.17.2 NewToOld

XML Tag: NewToOd

Presence: [1..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.







The **NewToOd** block contains the following elements (see datatype "[RatioFormat24Choice](#)" on page 100 for details)

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	QuantityToQuantity	<QtyToQty>	{Or	[1..1]		101
	NotSpecifiedRate	<NotSpcdfRate>	Or	[1..1]		101
	AmountToAmount	<AmtToAmt>	Or	[1..1]		101
	AmountToQuantity	<AmtToQty>	Or	[1..1]		101
	QuantityToAmount	<QtyToAmt>	Or}	[1..1]		102

4.18 CorporateActionRateSD9

Definition: Provides additional information regarding corporate action details rates and amounts details.

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		57
	DeferredInterestRate	<DfrrdIntrstRate>		[0..1]		58
	AmericanOrGlobalDepositReceiptRatio	<AmrcnOrGbldpstRctRatio>		[0..1]		58

Used in element(s)

"[CorporateActionRateAndAmountDetails](#)" on page 16

4.18.1 PlaceAndName

XML Tag: PlcAndNm

Presence: [0..1]

Definition: Xpath to the element that is being extended.

Datatype: ["Max350Text" on page 155](#)

4.18.2 DeferredInterestRate

XML Tag: DfrdIntrstRate

Presence: [0..1]

Definition: Applicable to structured securities where there is a set schedule of principal and interest payments for the life of the issue. A portion of the scheduled interest payment will not be paid at the time of distribution.

Datatype: ["PercentageRate" on page 160](#)

4.18.3 AmericanOrGlobalDepositReceiptRatio

XML Tag: AmrcnOrGblDpstRctRatio

Presence: [0..1]

Definition: American or Global Depository Receipt(s) per ordinary share(s) ratio.

The **AmrcnOrGblDpstRctRatio** block contains the following elements (see datatype ["CorporateAction-RateSD2" on page 55](#) for details)

❌ Removed - ❌ Partial Removed - ❖ Ignored - ❖ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	ReceiptBaseQuantity	<RctBaseQty>		[0..1]		55
	OrdinaryShare	<OrdnyShr>		[0..1]		56

4.19 CorporateActionSD26

Definition: Contains details about called certificates.

❌ Removed - ❌ Partial Removed - ❖ Ignored - ❖ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	CertificateNumber	<CertNb>		[1..1]		58
	CertificatePrefix	<CertPrfx>		[0..1]		59
	CertificateCalledAmount	<CertCldAmt>		[1..1]		59

Used in element(s)

["CertificateDetails" on page 66](#)

4.19.1 CertificateNumber

XML Tag: CertNb

Presence: [1..1]

Definition: Unique identification or serial number that is assigned and affixed by an issuer or transfer agent to each securities certificate.

Datatype: "Max15AlphaNumericText" on page 153

4.19.2 CertificatePrefix

XML Tag: CertPrfx

Presence: [0..1]

Definition: Prefix of a certificate which could differ based on where the issuance of certificates took place.

Datatype: "Max4AlphaNumericText" on page 156

4.19.3 CertificateCalledAmount

XML Tag: CertCldAmt







Presence: [1..1]



Definition: Principal amount (for debt issues) or number of shares (for equity issues) that has been called for redemption for a particular certificate number.


Datatype: "DecimalNumber" on page 141

4.20 CorporateActionSD27

Definition: Provides additional information regarding corporate action details.

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		60
	NoticeType	<NtceTp>		[0..1]		61
	EventCashValue	<EvtCshVal>		[0..1]		61
	NumberOfSharesToBeIssued	<NbOfShrsToBelssd>		[0..1]		61
	TotalNumberOfSharesOffered	<TtlNbOfShrsOfferd>		[0..1]		61
	CutOffDays	<CutOffDays>		[0..1]		61
	DTCAutomatedOfferProgram	<DTCAutomtdOfferPrgm>		[0..1]		62
	DTCRecycleCutOffIndicator	<DTCRcyclCutOffInd>		[0..1]		62
	LongShortPaymentIndicator	<LngShrtPmtInd>		[0..1]		62
	OversubscriptionType	<OvrscptTp>		[0..1]		62
	ConditionalPaymentApplicable-Flag	<CondlPmtAplblFlg>		[0..1]		62
	SolicitationDealerFeeFlag	<SlctnDealrFeeFlg>		[0..1]		63

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	DTCCustodyEligibleFlag	<DTCCtdyElgblFlg>		[0..1]		63
	DTCReorganisationCustodyEligibleFlag	<DTCReorgCtdyElgblFlg>		[0..1]		63
	DTCReorganisationDepositEligibleFlag	<DTCReorgDpstElgblFlg>		[0..1]		64
	SurrenderSharesToAgentFlag	<SrrndrShrsToAgtFlg>		[0..1]		64
	StepUpPrivilegeFlag	<StepUpPrvlgFlg>		[0..1]		64
	RightsOversubscriptionFlag	<RghtsOvrsubcptFlg>		[0..1]		65
	RightsRoundUpPrivilegeFlag	<RghtsRndUpPrvlgFlg>		[0..1]		65
	RightsTransferableFlag	<RghtsTrfblFlg>		[0..1]		65
	DissenterRightsApplicableFlag	<DsstrRghtsAplblFlg>		[0..1]		65
	NonExemptAllowedIndicator	<NonXmptAllwdInd>		[0..1]		66
	DTCInstructionLockoutIndicator	<DTCInstrLckoutInd>		[0..1]		66
	CertificateDetails	<CertDtls>		[0..*]		66
	EDSMessagingCountryCode	<EDSMsggCtryCd>		[0..1]		67
	RDPReferenceNumber	<RDPRefNb>		[0..1]		67
	DTCForeignTaxElectionFlag	<DTCFrnTaxElctnFlg>		[0..1]		68
	DTCTotalCalledQuantity	<DTCTtlCldQty>		[0..1]		68

Guidelines

1. EDSMessagingCountryCodeGuideline

The value of the element "EDSMessagingCountryCode" impacts the presence of certain details that clients need to submit as part of their CAIN instruction when combined with the following rules:

- If "EDSMessagingCountryCode" value is "CA" (Canada), and the option type equals FCPX (Foreign Currency Payment Exempt), FORX (Foreign Tax Relief Exempt), or DRPX (DRIP Exempt), then the Tax Exempt component must be populated in the corporate action Instruction (CAIN) supplementary data;
- All Foreign Currency Payments (FCP) require wire information when submitting elections via ISO 20022 messaging, with one exception: If "EDSMessagingCountryCode" value is "CA" (Canada) and the extensions option action type is FCPU, FCPF, FCPX, then no wire instructions are required.

Used in element(s)

"CorporateActionDetails" on page 13

4.20.1 PlaceAndName

XML Tag: PlcAndNm

Presence: [0..1]

Definition: Xpath to the element that is being extended.

Datatype: "Max350Text" on page 155

4.20.2 NoticeType

XML Tag: NtceTp

Presence: [0..1]

Definition: Indicates whether the notice received was universal or specific to securities registered in DTC's nominee name.

Datatype: "NoticeType1Code" on page 158

Usage Guideline details

- **on supl.001.001.18/CorporateActionDetails/NoticeType**
 - **Applicability:**
true
 - **Redemption Rule:**
Notice Type

4.20.3 EventCashValue

XML Tag: EvtCshVal

Presence: [0..1]

Definition: Amount of cash set aside by the offeror. This is the maximum amount that the offeror is willing to pay out to the holders who elect to take part in the offer.

Datatype: "RestrictedFINActiveCurrencyAnd13DecimalAmount" on page 167

4.20.4 NumberOfSharesToBeIssued

XML Tag: NbOfShrsToBeIssd

Presence: [0..1]

Definition: Number of shares the issuer is creating as part of the event.

Datatype: "DecimalNumber" on page 141

4.20.5 TotalNumberOfSharesOffered

XML Tag: TtlNbOfShrsOfferd

Presence: [0..1]

Definition: Total number of shares that are part of the offer, for example, subscription offer.

Datatype: "DecimalNumber" on page 141

4.20.6 CutOffDays

XML Tag: CutOffDays

Presence: [0..1]

Definition: Number of additional days used to establish a DTC processing cut-off date. For example, DTC typically adds a cut-off off day (making it one business day prior) to the record date for issues with agents outside NYC. This allows time for DTC to deliver the securities.

Datatype: "Max3Number" on page 155

4.20.7 DTCAutomatedOfferProgram

XML Tag: DTCAutomtdOfferPrgm

Presence: [0..1]

Definition: Indicator that identifies the type of interface an event agent has with DTC (The Depository Trust Corporation). This defines how time sensitive the instruction and withdrawal process is. An offline (non automated) agent will have earlier deadlines which will be reflected in response deadlines but importantly withdrawal procedures for a manual agent requires hard copy sign off from the agent that has to be delivered to DTC to proceed with withdrawal.

Datatype: "DTCAutoOfferProgram1Code" on page 125

4.20.8 DTCRecycleCutOffIndicator

XML Tag: DTCRcyclCutOffInd

Presence: [0..1]

Definition: Specifies whether the recycling of instructions for eligible positions is set to end early or late at DTC (The Depository Trust Corporation).

Datatype: "CutOff1Code" on page 117

4.20.9 LongShortPaymentIndicator

XML Tag: LngShrtPmtInd

Presence: [0..1]

Definition: Specifies whether the first accrual period for debt instruments is either long or short, compared to the normal accrual period of the security.

Datatype: "AccrualPeriodType1Code" on page 111

4.20.10 OversubscriptionType

XML Tag: OvrsbcptTp

Presence: [0..1]

Definition: Type of oversubscription on the event.

Datatype: "OversubscriptionType1Code" on page 159

4.20.11 ConditionalPaymentApplicableFlag

XML Tag: CondlPmtAplblFlg

Presence: [0..1]

Definition: Indicates whether the payment made by the issuer is based on a stated condition.

Yes: applicable.

No: not applicable.

When absent, means No.

Datatype: "YesNoIndicator" on page 170

Usage Guideline details

- **on supl.001.001.18/CorporateActionDetails/ConditionalPaymentApplicableFlag**
 - **Applicability:**
true
 - **Redemption Rule:**
Conditional
Payment
Indicator

4.20.12 SolicitationDealerFeeFlag

XML Tag: SlctnDealrFeeFlg

Presence: [0..1]

Definition: Indicates whether there is a solicitation fee on the event. This fee is paid by the soliciting dealer.

Yes: applicable.

No: not applicable.

When absent, means No.

Datatype: "YesNoIndicator" on page 170

4.20.13 DTCCustodyEligibleFlag

XML Tag: DTCCtdyElgblFlg

Presence: [0..1]

Definition: Indicates whether positions held in custody program are eligible for instruction processing at DTC (The Depository Trust Corporation).

Yes: applicable.

No: not applicable.

When absent, means No.

Datatype: "YesNoIndicator" on page 170

4.20.14 DTCTReorganisationCustodyEligibleFlag

XML Tag: DTCTReorgCtdyElgblFlg

Presence: [0..1]

Definition: Indicates whether the event is eligible for the custody reorganisation service at DTC (The Depository Trust Corporation).

Yes: applicable.

No: not applicable.

When absent, means No.

Datatype: "YesNoIndicator" on page 170

4.20.15 DTCReorganisationDepositEligibleFlag

XML Tag: DTCReorgDpstElgblFlg

Presence: [0..1]

Definition: Indicates whether the event is eligible for the reorganisation deposit service at DTC (The Depository Trust Corporation).

Yes: applicable.

No: not applicable.

When absent, means No.

Datatype: "YesNoIndicator" on page 170

4.20.16 SurrenderSharesToAgentFlag

XML Tag: SrrndrShrsToAgtFlg

Presence: [0..1]

Definition: Indicates whether shares outside of DTC need to be delivered to the agent in order to receive entitlement.

Yes: applicable.

No: not applicable.

When absent, means No.

Datatype: "YesNoIndicator" on page 170

4.20.17 StepUpPrivilegeFlag

XML Tag: StepUpPrvlgFlg

Presence: [0..1]

Definition: Indicates that the holder has the privilege to buy additional rights. Upon exercising this privilege, the holder may subscribe to one additional share of the new security in lieu of fractional shares to which the holder might otherwise be entitled.

Yes: applicable.

No: not applicable.

When absent, means No.

Datatype: "YesNoIndicator" on page 170

4.20.18 RightsOversubscriptionFlag

XML Tag: RghtsOvrscptFlg

Presence: [0..1]

Definition: Indicates whether holders of rights will be afforded the opportunity to subscribe to purchase extra shares that are not picked up by the remaining holders.

Yes: applicable.

No: not applicable.

When absent, means No.

Datatype: "YesNoIndicator" on page 170

4.20.19 RightsRoundUpPrivilegeFlag

XML Tag: RghtsRndUpPrvlgFlg

Presence: [0..1]

Definition: Indicates whether the shareholder will be able to round up its subscription in the event its rights are less than the requirement.

Yes: applicable.

No: not applicable.

When absent, means No.

Datatype: "YesNoIndicator" on page 170

4.20.20 RightsTransferableFlag

XML Tag: RghtsTrfblFlg

Presence: [0..1]

Definition: Indicates whether rights can be transferred.

Yes: applicable.

No: not applicable.

When absent, means No.

Datatype: "YesNoIndicator" on page 170

4.20.21 DissenterRightsApplicableFlag

XML Tag: DsstrRghtsAplblFlg

Presence: [0..1]

Definition: Indicates whether rights are available to stockholders as a remedy when they object to the terms of proposed corporate actions. For example, actions can include but are not limited to a merger or a sale of assets.

This flag will output to Y/N ("true"/"false" or "1"/"0") or whereas the Option Features Code (DISS) in the standard only used when Yes.

Yes: applicable.

No: not applicable.

When absent, means No.

Datatype: "YesNoIndicator" on page 170

4.20.22 NonExemptAllowedIndicator

XML Tag: NonXmptAllwdInd

Presence: [0..1]

Definition: Indicates whether the certificate of deposit early redemption event is exempt from the presentation of the required legal documentation. When presentation is exempt, the instructing client agrees to maintain such documentation for at least 30 months following payment of the request.

Yes: applicable.

No: not applicable.

When absent, means No.

Datatype: "YesNoIndicator" on page 170

4.20.23 DTCInstructionLockoutIndicator

XML Tag: DTCInstrLckoutInd

Presence: [0..1]

Definition: Indicates whether instructions are temporarily blocked for the event.

Datatype: "InstructionLockoutType1Code" on page 152







4.20.24 CertificateDetails

XML Tag: CertDtls

Presence: [0..*]

Definition: Details of certificates that have been called for redemption.

The **CertDtls** block contains the following elements (see datatype "CorporateActionSD26" on page 58 for details)

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	CertificateNumber	<CertNb>		[1..1]		58

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	CertificatePrefix	<CertPrfx>		[0..1]		59
	CertificateCalledAmount	<CertCldAmt>		[1..1]		59

4.20.25 EDSMessagingCountryCode

XML Tag: EDSMsggCtryCd

Presence: [0..1]

Definition: Country of issue used to determine whether the electable option requires tax exempt or wire information when sending EDS elections via the CAIN message type.

Datatype: "CountryCode" on page 116

4.20.26 RDPReferenceNumber

XML Tag: RDPRefNb

Presence: [0..1]

Definition: Unique DTCC legacy reference used for matching and reconciling legacy CCF records. The element will be populated to all levels of the message (event details, options, movements) where applicable to indicate how values are sourced from CCF legacy files. For example: event has 2 related activity types 74, and 54. If event details and cash option are sourced from the activity type 74, then activity type 74 will be in RDP reference number in event details, and also on the cash option. The activity type 54 will be "on" the security option. Also, usage rules will specify the different layouts of the RDP reference number based on DTCC event group (reorganization, distribution, or redemption).

Datatype: "Exact32AlphaNumericText" on page 142

Usage Guideline details

- on supl.001.001.18/CorporateActionDetails/RDPReferenceNumber

- RDP Reference Number Usage Rule:

The element will be populated to all levels (Event Details, Options, Movements) where applicable to represent where the values are sourced from in CCF. For example: event has 2 related Activity Types 74, and 54. If event details and cash option are sourced from the Activity Type 74, then Activity Type 74 will be in RDP Reference Number in event details, and also on the cash option. The activity 59 will be "on" the security option.

- on supl.001.001.18/CorporateActionDetails/RDPReferenceNumber

- RDP Reference Number Composition Conditional Rule:

RDP Reference Number will have a different composition depending on event category.

If

Event category is Distributions or Redemptions

Then

Department ID: length (1); Position (1:1). Default value is 0.

Activity Type: length (3); Position (2:3). Right padded with zeroes. Example: Activity 85 will be 850, 85N will be 85N.

CUSIP Country: length (2); Position (5:2). Default value is zeroes.

CUSIP: length (9); Position (7:9)

CUSIP Int Check Digit: length (1); Position (16:1). Default value is 0.

Record Date: length (6); Position (17:6). YYMMDD Default value is zeroes.

Payable Date: length (6); Position (23:6) YYMMDD Default value is zeroes.

Sequence Number: length (3); Position (29:3) Default value is zeroes.

RDP Issue Type: length (1); Position (32:1) Default value is zeroes.

Else

Department ID: length (1); Position (1:1). Default value is 0

Activity Type: length (3); Position (2:3). Right padded with zeroes. Example:
Activity 85 will be 850, 85N will be 85N

CUSIP Country: length (2); Position (5:2). Default value is zeroes

CUSIP: length (9); Position (7:9).

CUSIP Int Check Digit: length (1); Position (16:1). Default value is 0

Sequence Code from Payout Table: length (3); Position (17:3). Default value is zeroes.

Filler: length(3); Position (20:3). Value is 000.

Payable Date: length (6); Position (23:6). YYMMDD Default value is zeroes.

Sequence Number: length (3); Position (29:3). Default value is zeroes.

RDP Issue Type: length (1); Position (32:1). Default value is zeroes.

- **on supl.001.001.18/CorporateActionDetails/RDPReferenceNumber**
 - **Applicability:**
true

4.20.27 DTCTForeignTaxElectionFlag

XML Tag: DTCTFrnTaxElctnFlg

Presence: [0..1]

Definition: Identifies events that offer instruction processing specific to foreign tax elections.

Yes: applicable.

No: not applicable.

When absent, means No.

Datatype: "YesNoIndicator" on page 170

4.20.28 DTCTTotalCalledQuantity

XML Tag: DTCTtICldQty

Presence: [0..1]

Definition: Total Called Quantity for security held at DTC including FAST and Registered positions.

The **DTCTtlCldQty** block contains the following elements (see datatype "[FinancialInstrumentQuantity34Choice](#)" on page 80 for details)

🚫 Removed - 🚫 Partial Removed - ⬜ Ignored - ⬜ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Unit	<Unit>	{Or	[1..1]		80
	FaceAmount	<FaceAmt>	Or	[1..1]		80
	AmortisedValue	<AmtsdVal>	Or	[1..1]		80
	Code	<Cd>	Or	[1..1]		81
	DigitalTokenUnit	<DgtlTknUnit>	Or}	[1..1]		81

4.21 DateAndDateTime2Choice

Definition: Choice between a date or a date and time format.

🚫 Removed - 🚫 Partial Removed - ⬜ Ignored - ⬜ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Date	<Dt>	{Or	[1..1]		69
	DateTime	<DtTm>	Or}	[1..1]		69

Used in element(s)

["Date" on page 71](#), ["Date" on page 72](#)

4.21.1 Date

XML Tag: Dt

Presence: [1..1]

Definition: Specified date.

Datatype: ["ISODate" on page 150](#)

4.21.2 DateTime

XML Tag: DtTm







Presence: [1..1]


Definition: Specified date and time.

Datatype: ["ISODateTime" on page 151](#)

4.22 DateCode22Choice

Definition: Choice between a code or a proprietary code for a date code.

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Code	<Cd>	{Or	[1..1]		70
	Proprietary	<Prtry>	Or}	[1..1]		70

Used in element(s)

"DateCode" on page 72

4.22.1 Code

XML Tag: Cd

Presence: [1..1]

Definition: Standard code to specify the type of date.

Datatype: "DateType8Code" on page 139







4.22.2 Proprietary

XML Tag: Prtry

Presence: [1..1]

Definition: Proprietary identification of the type of date.

The **Prtry** block contains the following elements (see datatype "GenericIdentification47" on page 82 for details)

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Identification	<Id>		[1..1]		82
	Issuer	<Issr>		[1..1]		82
	SchemeName	<SchmeNm>		[0..1]		82







Usage Guideline details

- This element(supl.001.001.18/OptionDateDetails/ActualEarlyProtectExpirationDate/Date-Code/Proprietary) is removed.
- This element(supl.001.001.18/OptionDateDetails/ActualEarlyCoverProtectExpirationDate/Date-Code/Proprietary) is removed.
- This element(supl.001.001.18/OptionDateDetails/DTCEarlyCoverProtectExpirationDate/Date-Code/Proprietary) is removed.

- This element(supl.001.001.18/OptionDateDetails/DTCEarlyProtectExpirationDate/Date-Code/Proprietary) is removed.

4.23 DateFormat47Choice

Definition: Specifies the value of a date.

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Date	<Dt>	{Or	[1..1]		71
	NotSpecifiedDate	<NotSpdfdDt>	Or}	[1..1]		71

Used in element(s)

"EndDate" on page 95, "StartDate" on page 95







4.23.1 Date

XML Tag: Dt

Presence: [1..1]

Definition: Date expressed as an ISO Date.

The **Dt** block contains the following elements (see datatype "DateAndDateTime2Choice" on page 69 for details)

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Date	<Dt>	{Or	[1..1]		69
	DateTime	<DtTm>	Or}	[1..1]		69

4.23.2 NotSpecifiedDate

XML Tag: NotSpdfdDt







Presence: [1..1]

Definition: Date not specified, for example, the date is unknown.

Datatype: "DateType6Code" on page 139

4.24 DateFormat49Choice

Definition: Choice between an ISODate or ISODateTime format or a date code.

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Date	<Dt>	{Or	[1..1]		72
	DateCode	<DtCd>	Or}	[1..1]		72

Used in element(s)

"ActualEarlyCoverProtectExpirationDate" on page 38, "ActualEarlyExpirationDate" on page 36, "ActualEarlyProtectExpirationDate" on page 37, "ActualProtectExpirationDate" on page 37, "DTCEarlyCoverProtectExpirationDate" on page 38, "DTCEarlyProtectExpirationDate" on page 37, "ProcessToDate" on page 38







4.24.1 Date

XML Tag: Dt

Presence: [1..1]

Definition: Date expressed as a calendar date.

The **Dt** block contains the following elements (see datatype "DateAndDateTime2Choice" on page 69 for details)

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Date	<Dt>	{Or	[1..1]		69
	DateTime	<DtTm>	Or}	[1..1]		69







4.24.2 DateCode


XML Tag: DtCd

Presence: [1..1]

Definition: Specifies the type of date.

The **DtCd** block contains the following elements (see datatype "DateCode22Choice" on page 70 for details)



 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Code	<Cd>	{Or	[1..1]		70
	Proprietary	<Prtry>	Or}	[1..1]		70

4.25 FinancialInstrumentAttributesSD16

Definition: Provides additional information regarding corporate action option securities movement security details.

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
 Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		73
	DTCSecurityTransferableFlag	<DTCScyTrfblFlg>		[0..1]		73
	DeclaredDisbursedSecurityDetails	<DclrdDsbrsdScyDtls>		[0..1]		73
	DTCDisbursedSecurityAssetType	<DTCDsbrsdScyAsstTp>		[0..1]		74
	DTCDisbursedSecurityAsset-Class	<DTCDsbrsdScyAsst-Class>		[0..1]		74
	BabyBondDenomination	<BabyBdDnmtn>		[0..1]		74

Used in element(s)

"SecuritiesMovementSecurityDetails" on page 19

4.25.1 PlaceAndName

XML Tag: PlcAndNm

Presence: [0..1]

Definition: Xpath to the element that is being extended.

Datatype: "Max350Text" on page 155

4.25.2 DTCSecurityTransferableFlag

XML Tag: DTCScyTrfblFlg

Presence: [0..1]

Definition: Indicates whether or not the newly issued securities are transferable by the agent. This flag is specific to DTC (The Depository Trust Corporation).

Datatype: "YesNoIndicator" on page 170







4.25.3 DeclaredDisbursedSecurityDetails

XML Tag: DclrdDsbrsdScyDtls

Presence: [0..1]

Definition: Details of security that is being distributed as a result of a corporate action as declared by the issuer or offeror on the market.

The **DclrdDsbrsdScyDtls** block contains the following elements (see datatype "FinancialInstrumentAttributesSD18" on page 74 for details)

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
 Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	DeclaredDisbursedSecurityIdentification	<DclrdDsbrsdSctyId>		[0..1]		75
	DeclaredDisbursedSecurityDescription	<DclrdDsbrsdSctyDesc>		[0..1]		75

4.25.4 DTCDisbursedSecurityAssetType

XML Tag: DTCDsbrsdSctyAsstTp

Presence: [0..1]

Definition: Further classification of DTC disbursed security instruments into (issue) asset types at DTC (The Depository Trust Corporation).

Datatype: "DTCAssetType3Code" on page 117

Usage Guideline details

- on supl.001.001.18/SecuritiesMovementSecurityDetails/DTCDisbursedSecurityAssetType
 - **Applicability:**
true

4.25.5 DTCDisbursedSecurityAssetClass

XML Tag: DTCDsbrsdSctyAsstClss

Presence: [0..1]

Definition: Classification of DTC disbursed security instruments into asset classes at DTC (The Depository Trust Corporation).

Datatype: "AssetClass1Code" on page 115

Usage Guideline details

- on supl.001.001.18/SecuritiesMovementSecurityDetails/DTCDisbursedSecurityAssetClass
 - **Applicability:**
true

4.25.6 BabyBondDenomination

XML Tag: BabyBdDnmtn

Presence: [0..1]

Definition: Dollar amount attributed to the bond when the par value is less than 1000.

Datatype: "DecimalNumber" on page 141

4.26 FinancialInstrumentAttributesSD18

Definition: Provides additional information regarding security that will be distributed as part of entitlement.

🚫 Removed - 🚫 Partial Removed - ⬜ Ignored - ⬜ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	DeclaredDisbursedSecurityIdentification	<DclrdDsbrsdSctyId>		[0..1]		75
	DeclaredDisbursedSecurityDescription	<DclrdDsbrsdSctyDesc>		[0..1]		75

Used in element(s)

"DeclaredDisbursedSecurityDetails" on page 73

4.26.1 DeclaredDisbursedSecurityIdentification

XML Tag: DclrdDsbrsdSctyId

Presence: [0..1]

Definition: Security identification of the security that is being distributed as a result of a corporate action as declared by the issuer or offeror on the market.

The **DclrdDsbrsdSctyId** block contains the following elements (see datatype "[SecurityIdentification20](#)" on page 107 for details)

🚫 Removed - 🚫 Partial Removed - ⬜ Ignored - ⬜ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	ISIN	<ISIN>		[0..1]		108
	OtherIdentification	<OthrId>		[0..*]		108
	Description	<Desc>		[0..1]		109

4.26.2 DeclaredDisbursedSecurityDescription

XML Tag: DclrdDsbrsdSctyDesc

Presence: [0..1]




Definition: Declared disbursed security description.

Datatype: "[Max140Text](#)" on page 153

4.27 FinancialInstrumentAttributesSD19

Definition: Provides additional information regarding underlying security details.

🚫 Removed - 🚫 Partial Removed - ⬜ Ignored - ⬜ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		76
	IncomeSourceCountry	<IncmSrcCtry>		[0..1]		76
	DTCAssetClass	<DTCAstCls>		[0..1]		76
	DTCAssetType	<DTCAstTp>		[0..1]		77
	SecurityEligibilityIndicator	<SctyElgbltyInd>		[0..1]		77
	TickerSymbol	<TckrSymb>		[0..1]		77
	LinkedSecurity	<LkdScty>		[0..1]		77
	OriginatingSecurityIdentification	<OrgtgSctyId>		[0..1]		77
	DIVANNSecurityDescription	<DIVANNSctyDesc>		[0..1]		78
	ForeignIssueFlag	<FrgrlSseFlg>		[0..1]		78
	MoneyMarketInstrumentFlag	<MnyMktInstrmFlg>		[0..1]		79

Used in element(s)

"UnderlyingSecurity" on page 13

4.27.1 PlaceAndName

XML Tag: PlcAndNm

Presence: [0..1]

Definition: Xpath to the element that is being extended.

Datatype: "Max350Text" on page 155

4.27.2 IncomeSourceCountry

XML Tag: IncmSrcCtry

Presence: [0..1]

Definition: Country of source income for the security.

Datatype: "CountryCode" on page 116

4.27.3 DTCAssetClass

XML Tag: DTCAstCls

Presence: [0..1]

Definition: Classification of instruments into asset classes at DTC (The Depository Trust Corporation).

Datatype: "AssetClass1Code" on page 115

Usage Guideline details

- on supl.001.001.18/UnderlyingSecurity/DTCAssetClass

– **Applicability:**
true

4.27.4 DTCAssetType

XML Tag: DTCAsstTp

Presence: [0..1]

Definition: Further classification of instruments into (issue) asset types at DTC (The Depository Trust Corporation).

Datatype: ["DTCAssetType3Code" on page 117](#)

4.27.5 SecurityEligibilityIndicator

XML Tag: SctyElgblyInd

Presence: [0..1]

Definition: Indicates whether the security is eligible for holding at DTC.

Datatype: ["YesNoIndicator" on page 170](#)

4.27.6 TickerSymbol

XML Tag: TckrSymb

Presence: [0..1]

Definition: Ticket symbol for the event security (underlying security).

Datatype: ["Max35Text" on page 155](#)

4.27.7 LinkedSecurity

XML Tag: LkdScty

Presence: [0..1]

Definition: Security whose characteristics mirror the event security for purposes of FCP eligibility and tax relief. Certain derivative securities like HOLDR may have certain events where the source of payments are from an underlying security.

The **LkdScty** block contains the following elements (see datatype ["SecurityIdentification20" on page 107](#) for details)

🚫 Removed - 🚫 Partial Removed - ⬜ Ignored - ⬜ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	ISIN	<ISIN>		[0..1]		108
	OtherIdentification	<OthrId>		[0..*]		108
	Description	<Desc>		[0..1]		109

4.27.8 OriginatingSecurityIdentification

XML Tag: OrgtgSctyId

Presence: [0..1]

Definition: Represents the 'original' security identifier of the event. It is used in the scenarios like "partial call" where there are 2 events. The first event distributes into the Contra CUSIP, a temporary security; and on the second event that temporary security becomes the underlying security of the event. This element is used in the second event to point to the original CUSIP.

The **OrgtgSctyId** block contains the following elements (see datatype "[OtherIdentification2](#)" on [page 85](#) for details)

Removed -
 Partial Removed -
 Ignored -
 Partial Ignored -
 Details below -
 Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Identification	<Id>		[1..1]		85
	Suffix	<Sfx>		[0..1]		85
	Type	<Tp>		[1..1]		86

Usage Guideline details

- on [supl.001.001.18/UnderlyingSecurity/OriginatingSecurityIdentification](#)
 - **Applicability:**
true

4.27.9 DIVANNSecurityDescription

XML Tag: DIVANNSctyDesc

Presence: [0..1]

Definition: Security description associated with DIVANN legacy system which contains additional values such as NTL for interest only notional.

Datatype: "[Max50Text](#)" on [page 156](#)

4.27.10 ForeignIssueFlag

XML Tag: FrgnIsseFlg

Presence: [0..1]

Definition: Indicates whether the event security is a foreign issue. This element will be initially used for CD Early Redemptions AC63.

Datatype: "[YesNoIndicator](#)" on [page 170](#)

Usage Guideline details

- on [supl.001.001.18/UnderlyingSecurity/ForeignIssueFlag](#)
 - Synonym (DTCC):** Foreign Issue Flag

4.27.11 MoneyMarketInstrumentFlag

XML Tag: MnyMktInstrmFlg







Presence: [0..1]

Definition: Indicates that underlying security is a Money Market Instrument.

Datatype: ["YesNoIndicator"](#) on page 170

4.28 FinancialInstrumentQuantity15Choice

Definition: Choice between formats for the quantity of security.

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Unit	<Unit>	{Or	[1..1]		79
	FaceAmount	<FaceAmt>	Or	[1..1]		79
	AmortisedValue	<AmtsdVal>	Or}	[1..1]		79

Used in element(s)

["FinancialInstrumentQuantity"](#) on page 24

4.28.1 Unit

XML Tag: Unit

Presence: [1..1]

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

Datatype: ["RestrictedFINDecimalNumber"](#) on page 167

4.28.2 FaceAmount

XML Tag: FaceAmt

Presence: [1..1]

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

Datatype: ["RestrictedFINImpliedCurrencyAndAmount"](#) on page 168

4.28.3 AmortisedValue

XML Tag: AmtsdVal

Presence: [1..1]

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

Datatype: ["RestrictedFINImpliedCurrencyAndAmount"](#) on page 168

4.29 FinancialInstrumentQuantity34Choice

Definition: Choice between formats for the quantity of security.

❌ Removed - ❌ Partial Removed - ❖ Ignored - ❖ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Unit	<Unit>	{Or	[1..1]		80
	FaceAmount	<FaceAmt>	Or	[1..1]		80
	AmortisedValue	<AmtsdVal>	Or	[1..1]		80
	Code	<Cd>	Or	[1..1]		81
	DigitalTokenUnit	<DgtlTknUnit>	Or}	[1..1]		81

Rules

R5 DigitalTokenUnitUsageRule

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

Error handling: Undefined

Used in element(s)

"DTCTotalCalledQuantity" on page 68

4.29.1 Unit

XML Tag: Unit

Presence: [1..1]

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

Datatype: "DecimalNumber" on page 141

4.29.2 FaceAmount

XML Tag: 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 151

4.29.3 AmortisedValue

XML Tag: 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 151

4.29.4 Code

XML Tag: Cd

Presence: [1..1]

Definition: Quantity expressed as a code.

Datatype: ["Quantity4Code"](#) on page 162

4.29.5 DigitalTokenUnit

XML Tag: DgtlTknUnit







Presence: [1..1]

Definition: Quantity of digital tokens expressed as a number, for example, a number of blockchain tokens.

Datatype: ["Max30DecimalNumber"](#) on page 154

4.30 FractionDispositionTypeSD3

Definition: Provides additional information regarding corporate action securities movement fraction disposition details.

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		81
	RoundingFactor	<RndgFctr>		[0..1]		81

Used in element(s)

["SecuritiesMovementFractionDisposition"](#) on page 20

4.30.1 PlaceAndName

XML Tag: PlcAndNm

Presence: [0..1]

Definition: Xpath to the element that is being extended.

Datatype: ["Max350Text"](#) on page 155

4.30.2 RoundingFactor

XML Tag: RndgFctr







Presence: [0..1]

Definition: Decimal above which numbers are rounded. For an example if rounding factor is 0.6 this means that fractional units greater than or equal to 6 will be rounded up and less than 6 will be rounded down.

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

4.31 GenericIdentification47

Definition: Information related to an identification, for example, party identification or account identification.

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Identification	<Id>		[1..1]		82
	Issuer	<Issr>		[1..1]		82
	SchemeName	<SchmeNm>		[0..1]		82

Used in element(s)

["Proprietary" on page 70](#)

4.31.1 Identification

XML Tag: Id

Presence: [1..1]

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

Datatype: ["Exact4AlphaNumericText" on page 142](#)

4.31.2 Issuer

XML Tag: Issr

Presence: [1..1]

Definition: Entity that assigns the identification.

Datatype: ["Max4AlphaNumericText" on page 156](#)

4.31.3 SchemeName

XML Tag: SchmeNm







Presence: [0..1]

Definition: Short textual description of the scheme.

Datatype: ["Max4AlphaNumericText" on page 156](#)

4.32 IdentificationSource4Choice

Definition: Choice between source of identification of a financial instrument.

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Code	<Cd>	{Or	[1..1]		83
	Proprietary	<Prtry>	Or}	[1..1]		83

Used in element(s)

["Type" on page 86](#)

4.32.1 Code

XML Tag: Cd

Presence: [1..1]

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

Datatype: ["ExternalFinancialInstrumentIdentificationType1Code" on page 148](#)

4.32.2 Proprietary

XML Tag: Prtry







Presence: [1..1]

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

Datatype: ["RestrictedFINExact2Text" on page 167](#)

4.33 NameAndAddress5

Definition: Information that locates and identifies a party.

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Name	<Nm>		[1..1]		83
	Address	<Adr>		[0..1]		83

Used in element(s)

["AgentNameAndAddress" on page 90](#), ["NameAndAddress" on page 86](#)

4.33.1 Name

XML Tag: 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 155](#)







4.33.2 Address

XML Tag: Adr

Presence: [0..1]

Definition: Postal address of the party.







The **Adr** block contains the following elements (see datatype "[PostalAddress1](#)" on page 96 for details)

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	AddressType	<AdrTp>		[0..1]		96
	AddressLine	<AdrLine>		[0..5]		96
	StreetName	<StrtNm>		[0..1]		97
	BuildingNumber	<BldgNb>		[0..1]		97
	PostCode	<PstCd>		[0..1]		97
	TownName	<TwnNm>		[0..1]		97
	CountrySubDivision	<CtrySubDvsn>		[0..1]		97
	Country	<Ctry>		[1..1]		97

4.34 OptionConditions1

Definition: Conditions to be met by the holder.

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	ConditionNumber	<CondNb>		[1..1]		84
	ConditionText	<CondTxt>		[1..1]		85
	ConditionRequiredFlag	<CondReqrdFlg>		[1..1]		85

Used in element(s)

"[OptionConditions](#)" on page 50

4.34.1 ConditionNumber

XML Tag: CondNb

Presence: [1..1]

Definition: Number of the condition.

Datatype: "[Max1Number](#)" on page 154

4.34.2 ConditionText

XML Tag: CondTxt

Presence: [1..1]

Definition: Description of the condition.

Datatype: ["RestrictedFINXMax520Text" on page 169](#)

4.34.3 ConditionRequiredFlag

XML Tag: CondReqrdFlg







Presence: [1..1]

Definition: States whether the condition must be acknowledged. Conditions with a No ("false" or "0") do not need acknowledgement.

Datatype: ["YesNoIndicator" on page 170](#)

4.35 OtherIdentification2

Definition: Other accepted financial instrument's identification than ISIN.

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory -
 R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Identification	<Id>		[1..1]		85
	Suffix	<Sfx>		[0..1]		85
	Type	<Tp>		[1..1]		86

Used in element(s)

["OriginatingSecurityIdentification" on page 77](#), ["OtherIdentification" on page 108](#)

4.35.1 Identification

XML Tag: Id

Presence: [1..1]

Definition: Identification of a security.

Datatype: ["RestrictedFINXMax31Text" on page 168](#)

4.35.2 Suffix

XML Tag: Sfx

Presence: [0..1]

Definition: Identifies the suffix of the security identification.

Datatype: ["Max16Text" on page 153](#)

4.35.3 Type

XML Tag: Tp

Presence: [1..1]

Definition: Type of the identification.

The **Tp** block contains the following elements (see datatype "[IdentificationSource4Choice](#)" on page 82 for details)

🚫 Removed - 🚫 Partial Removed - ⬜ Ignored - ⬜ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Code	<Cd>	{Or	[1..1]		83
	Proprietary	<Prtry>	Or}	[1..1]		83

4.36 PartyIdentificationSD3

Definition: Identification of a party.

🚫 Removed - 🚫 Partial Removed - ⬜ Ignored - ⬜ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	NameAndAddress	<NmAndAdr>		[1..1]		86

Used in element(s)

"[EmployingParty](#)" on page 87

4.36.1 NameAndAddress

XML Tag: NmAndAdr

Presence: [1..1]

Definition: Name and address by which a party is known and which is usually used to identify that party.

The **NmAndAdr** block contains the following elements (see datatype "[NameAndAddress5](#)" on page 83 for details)

🚫 Removed - 🚫 Partial Removed - ⬜ Ignored - ⬜ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Name	<Nm>		[1..1]		83
	Address	<Adr>		[0..1]		83

4.37 PartyIdentificationSD4

Definition: Contact person at the party organising the meeting, at the issuer or at an intermediary.

🚫 Removed - 🚫 Partial Removed - ⬜ Ignored - ⬜ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	ContactPerson	<CtctPrsn>		[0..1]		87
	EmployingParty	<EmplngPty>		[0..1]		87

Used in element(s)

"ContactInformation" on page 91, "ContactInformation" on page 93

4.37.1 ContactPerson

XML Tag: CtctPrsn

Presence: [0..1]

Definition: Identifies a contact person by a name, a given name and an address.

The **CtctPrsn** block contains the following elements (see datatype "[ContactIdentification1](#)" on page 31 for details)

🚫 Removed - 🚫 Partial Removed - ⬜ Ignored - ⬜ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Name	<Nm>		[1..1]		31
	NamePrefix	<NmPrfx>		[0..1]		31
	GivenName	<GvnNm>		[0..1]		31
	Role	<Role>		[0..1]		32
	PhoneNumber	<PhneNb>		[0..1]		32
	FaxNumber	<FaxNb>		[0..1]		32
	EmailAddress	<EmailAdr>		[0..1]		32

4.37.2 EmployingParty

XML Tag: EmplngPty

Presence: [0..1]

Definition: Identifies the organisation which is represented by a person or for which a person works.

The **EmplngPty** block contains the following elements (see datatype "[PartyIdentificationSD3](#)" on page 86 for details)

🚫 Removed - 🚫 Partial Removed - ⬜ Ignored - ⬜ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	NameAndAddress	<NmAndAdr>		[1..1]		86

4.38 PartyIdentificationSD5

Definition: Provides additional information regarding the new agent component.

❌ Removed - ⊗ Partial Removed - ◇ Ignored - ⊠ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		89
	AgentType	<AgtTp>		[1..1]	⚠	89
	AgentIdentification	<AgtId>		[0..1]	⚠	90
	AgentNameAndAddress	<AgtNmAndAdr>		[1..1]	⚠	90
	AgentTelephoneNumber	<AgtTelNb>		[0..1]	⚠	90
	AgentEmailAddress	<AgtEmailAdr>		[0..1]		91
	ContactInformation	<CtctInf>		[0..1]		91

Rules

R6 OtherAgentRule

This block can only be used to extend new agent block to ISO message.

Agent fields in DTCC model are consolidated (factored) in one sequence structure which is qualified by Agent Type. The rationale was the fact that all of the attributes for every agent type are same (name address, telephone, designated contact, etc) ISO model has separated dedicated sequences for each agent type (Issuer Agent block, Drop Agent block, etc).

Although DTCC Agent naming convention differs from ISO, most of the DTCC-defined agent types have a corresponding ISO-defined agent types. With the exception of 2.

When ISO message is generated and there is a corresponding ISO-defined agent block: that Agent Block details will be populated in ISO message, if there are DTCC-defined elements that need to be extended, they will be extended to that matching agent block.

When ISO message is generated and there isn't a corresponding ISO-defined agent block: whole new agent sequence will be generated and extended to the root of the ISO message. Like other Agent blocks in Corporate Action Notification.

Translation Rules:

DTCC = ISO

Event Agent = Issuer Agent

Event Agent (Bearer) = Physical Securities Agent

Drop Agent = Drop Agent

Note: Drop Agent and Drop Agent (Bearer) will not exist on the same event

Information Agent = Information Agent

Solicitation Agent = Solicitation Agent

Remarketing Agent = Reselling Agent

Transfer Agent = Registrar

Others = Extension

Drop Agent (Bearer) = Extension.

Error handling: Undefined

Used in element(s)

"NewAgent" on page 21

4.38.1 PlaceAndName

XML Tag: PlcAndNm

Presence: [0..1]

Definition: Xpath to the element that is being extended.

Datatype: "Max350Text" on page 155

4.38.2 AgentType

XML Tag: AgtTp

Presence: [1..1]

Definition: Function the agent is performing.

Datatype: "AgentType1Code" on page 114

Usage Guideline details

- **on supl.001.001.18/NewAgent/AgentType**
 - **Applicability:**
true
 - **Redemption Rule:**

Agen Type ID

4.38.3 AgentIdentification

XML Tag: AgtId

Presence: [0..1]

Definition: DTC agent identification number.

Datatype: "Max8Text" on page 157

Usage Guideline details

- on supl.001.001.18/NewAgent/AgentIdentification
 - **Applicability:**
true
 - **Redemption Rule:**
Redemptions Agent ID







4.38.4 AgentNameAndAddress

XML Tag: AgtNmAndAdr

Presence: [1..1]

Definition: Name and address of the agent.

The **AgtNmAndAdr** block contains the following elements (see datatype "NameAndAddress5" on page 83 for details)

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Name	<Nm>		[1..1]		83
	Address	<Adr>		[0..1]		83

Usage Guideline details

- on supl.001.001.18/NewAgent/AgentNameAndAddress
 - **Applicability:**
true
 - **Redemption Rule:**
Agent Address

4.38.5 AgentTelephoneNumber

XML Tag: AgtTelNb

Presence: [0..1]

Definition: Telephone number of the agent.

Datatype: ["PhoneNumber" on page 160](#)

Usage Guideline details

- on [supl.001.001.18/NewAgent/AgentTelephoneNumber](#)
 - **Applicability:**
true
 - **Redemption Rule:**
Agent Phone Number

4.38.6 AgentEmailAddress

XML Tag: AgtEmailAdr

Presence: [0..1]

Definition: Email address of the event agent.

Datatype: ["Max256Text" on page 154](#)

4.38.7 ContactInformation

XML Tag: CtctInf

Presence: [0..1]

Definition: Agent designated contact Information details.

The **CtctInf** block contains the following elements (see datatype ["PartyIdentificationSD4" on page 86](#) for details)

❌ Removed -
 ❌ Partial Removed -
 ❖ Ignored -
 ❖ Partial Ignored -
 ⚠ Details below -
 M Mandatory -
 R[x..x] Repeatability[details]



Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	ContactPerson	<CtctPrsn>		[0..1]		87
	EmployingParty	<EmplngPty>		[0..1]		87

4.39 PartyIdentificationSD6

Definition: Provides additional information regarding the existing agent component.

❌ Removed -
 ❌ Partial Removed -
 ❖ Ignored -
 ❖ Partial Ignored -
 ⚠ Details below -
 M Mandatory -
 R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		93
	AgentIdentification	<AgtId>		[0..1]		93

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	AgentTelephoneNumber	<AgtTelNb>		[0..1]		93
	ContactInformation	<CtctInf>		[0..1]		93
	AgentEmailAddress	<AgtEmailAdr>		[0..1]		94
	AgentAddress	<AgtAdr>		[0..1]		94

Rules

R7 AgentExtensionRule

This block can only be used when extending elements to a particular agent block.

Agent fields in DTCC model are consolidated (factored) in one sequence structure which is qualified by Agent Type. The rationale was the fact that all of the attributes for every agent type are same (name address, telephone, designated contact, etc) ISO model has separated dedicated sequences for each agent type (Issuer Agent block, Drop Agent block, etc).

Although DTCC Agent naming convention differs from ISO, most of the DTCC-defined agent types have a corresponding ISO-defined agent types. With the exception of 2.

When ISO message is generated and there is a corresponding ISO-defined agent block: that Agent Block details will be populated in ISO message, if there are DTCC-defined elements that need to be extended, they will be extended to that matching agent block.

When ISO message is generated and there isn't a corresponding ISO-defined agent block: whole new agent sequence will be generated and extended to the root of the ISO message. Like other Agent blocks in Corporate Action Notification.

Translation Rules:

DTCC = ISO

Event Agent = Issuer Agent

Event Agent (Bearer) = Physical Securities Agent

Drop Agent = Drop Agent

Note: Drop Agent and Drop Agent (Bearer) will not exist on the same event

Information Agent = Information Agent

Solicitation Agent = Solicitation Agent

Remarketing Agent = Reselling Agent

Transfer Agent = Registrar

Others = Extension

Drop Agent (Bearer) = Extension.

Error handling: Undefined

Used in element(s)

"Agent" on page 22

4.39.1 PlaceAndName

XML Tag: PlcAndNm

Presence: [0..1]

Definition: Xpath to the element that is being extended.

Datatype: "Max350Text" on page 155

4.39.2 AgentIdentification

XML Tag: AgtId

Presence: [0..1]

Definition: DTC agent identification number.

Datatype: "Max8Text" on page 157

4.39.3 AgentTelephoneNumber

XML Tag: AgtTelNb

Presence: [0..1]

Definition: Telephone number of the agent.

Datatype: "PhoneNumber" on page 160

Usage Guideline details

- on **supl.001.001.18/Agent/AgentTelephoneNumber**
 - **Annotation:** (empty)
- on **supl.001.001.18/Agent/AgentTelephoneNumber**

Synonym (DTCC): Administrator Phone







4.39.4 ContactInformation

XML Tag: CtctInf

Presence: [0..1]

Definition: Agent designated contact information details.

The **CtctInf** block contains the following elements (see datatype "[PartyIdentificationSD4](#)" on page 86 for details)

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	ContactPerson	<CtctPrsn>		[0..1]		87
	EmployingParty	<EmplngPty>		[0..1]		87

4.39.5 AgentEmailAddress

XML Tag: AgtEmailAdr

Presence: [0..1]

Definition: Email address of the event agent.

Datatype: "[Max256Text](#)" on page 154

Usage Guideline details

- on supl.001.001.18/Agent/AgentEmailAddress
 - Annotation: (empty)
- on supl.001.001.18/Agent/AgentEmailAddress

Synonym (DTCC): Administrator E-mail







4.39.6 AgentAddress

XML Tag: AgtAdr

Presence: [0..1]

Definition: Event agent address.

The **AgtAdr** block contains the following elements (see datatype "[PostalAddress1](#)" on page 96 for details)







 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	AddressType	<AdrTp>		[0..1]		96
	AddressLine	<AdrLine>		[0..5]		96
	StreetName	<StrtNm>		[0..1]		97
	BuildingNumber	<BldgNb>		[0..1]		97
	PostCode	<PstCd>		[0..1]		97
	TownName	<TwnNm>		[0..1]		97

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	CountrySubDivision	<CtrySubDvsn>		[0..1]		97
	Country	<Ctry>		[1..1]		97

4.40 Period13

Definition: Time span defined by a start date and time, and an end date and time.

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	StartDate	<StartDt>		[1..1]		95
	EndDate	<EndDt>		[1..1]		95

Used in element(s)

["DTCFractionalShareInstructionPeriod" on page 105](#),
 ["DTCReorganisationDepositPeriod" on page 51](#),
 ["DTCUSTaxInstructionPeriod" on page 29](#),
 ["DTCUSTaxInstructionPeriod" on page 105](#)







4.40.1 StartDate

XML Tag: StartDt

Presence: [1..1]

Definition: Date and time at which the range starts.

The **StartDt** block contains the following elements (see datatype ["DateFormat47Choice" on page 71](#) for details)

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Date	<Dt>	{Or	[1..1]		71
	NotSpecifiedDate	<NotSpcfdDt>	Or}	[1..1]		71

4.40.2 EndDate

XML Tag: EndDt

Presence: [1..1]

Definition: Date and time at which the range ends.

The **EndDt** block contains the following elements (see datatype ["DateFormat47Choice" on page 71](#) for details)

Removed - Partial Removed - Ignored - Partial Ignored - Details below -
 Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Date	<Dt>	{Or	[1..1]		71
	NotSpecifiedDate	<NotSpcfdDt>	Or}	[1..1]		71

4.41 PostalAddress1

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

Removed - Partial Removed - Ignored - Partial Ignored - Details below -
 Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	AddressType	<AdrTp>		[0..1]		96
	AddressLine	<AdrLine>		[0..5]		96
	StreetName	<StrtNm>		[0..1]		97
	BuildingNumber	<BldgNb>		[0..1]		97
	PostCode	<PstCd>		[0..1]		97
	TownName	<TwnNm>		[0..1]		97
	CountrySubDivision	<CtrySubDvsn>		[0..1]		97
	Country	<Ctry>		[1..1]		97

Used in element(s)

"Address" on page 83, "AgentAddress" on page 94

4.41.1 AddressType

XML Tag: AdrTp

Presence: [0..1]

Definition: Identifies the nature of the postal address.

Datatype: "AddressType2Code" on page 112

4.41.2 AddressLine

XML Tag: 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 157

4.41.3 StreetName

XML Tag: StrtNm

Presence: [0..1]

Definition: Name of a street or thoroughfare.

Datatype: "Max70Text" on page 157

4.41.4 BuildingNumber

XML Tag: BldgNb

Presence: [0..1]

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

Datatype: "Max16Text" on page 153

4.41.5 PostCode

XML Tag: 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 153

4.41.6 TownName

XML Tag: TwnNm

Presence: [0..1]

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

Datatype: "Max35Text" on page 155

4.41.7 CountrySubDivision

XML Tag: CtrySubDvsn

Presence: [0..1]

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

Datatype: "Max35Text" on page 155

4.41.8 Country

XML Tag: Ctry

Presence: [1..1]

Definition: Nation with its own government.

Datatype: "CountryCode" on page 116

4.42 PriceFormatSD3Choice

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.

🚫 Removed - 🚫 Partial Removed - ⬜ Ignored - ⬜ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	NotSpecifiedPrice	<NotSpcfdPric>	{Or}	[1..1]		98
	AmountPricePerFinancialInstrumentQuantity	<AmtPricPerFinInstrmQty>	Or}	[1..1]		98

Used in element(s)

"DeclaredCashRate" on page 27, "DeclaredFeeRate" on page 28, "DeclaredFeeRate" on page 55, "DeclaredGrossRate" on page 28, "DeclaredNetRate" on page 28

4.42.1 NotSpecifiedPrice

XML Tag: NotSpcfdPric

Presence: [1..1]

Definition: Value of the price not specified.

Datatype: "PriceValueType10Code" on page 160

4.42.2 AmountPricePerFinancialInstrumentQuantity

XML Tag: AmtPricPerFinInstrmQty

Presence: [1..1]

Definition: Price expressed as a ratio: amount price per financial instrument quantity.

The **AmtPricPerFinInstrmQty** block contains the following elements (see datatype "AmountPricePerFinancialInstrumentQuantity7" on page 23 for details)

🚫 Removed - 🚫 Partial Removed - ⬜ Ignored - ⬜ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	AmountPriceType	<AmtPricTp>		[1..1]		24
	PriceValue	<PricVal>		[1..1]		24
	FinancialInstrumentQuantity	<FinInstrmQty>		[1..1]		24

4.43 QuantityToQuantityRatio2

Definition: Ratio expressed as a quotient of quantities.

🚫 Removed - 🚫 Partial Removed - ⬜ Ignored - ⬜ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Quantity1	<Qty1>		[1..1]		99
	Quantity2	<Qty2>		[1..1]		99

Used in element(s)

["QuantityToQuantity" on page 99](#), ["QuantityToQuantity" on page 101](#)

4.43.1 Quantity1

XML Tag: Qty1

Presence: [1..1]

Definition: Numerator of the quotient of quantities.

Datatype: ["RestrictedFINDecimalNumber" on page 167](#)

4.43.2 Quantity2

XML Tag: Qty2







Presence: [1..1]

Definition: Denominator of the quotient of quantities.

Datatype: ["RestrictedFINDecimalNumber" on page 167](#)

4.44 RatioFormat23Choice

Definition: Choice of format to express a ratio.

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	QuantityToQuantity	<QtyToQty>	{Or	[1..1]		99
	NotSpecifiedRate	<NotSpctdRate>	Or	[1..1]		100
	AmountToAmount	<AmtToAmt>	Or}	[1..1]		100

Used in element(s)

["AdditionalQuantityForExistingSecurities" on page 56](#), ["SubscriptionQuantity" on page 53](#)

4.44.1 QuantityToQuantity

XML Tag: QtyToQty

Presence: [1..1]

Definition: Ratio expressed as a quotient of quantities.

The **QtyToQty** block contains the following elements (see datatype ["QuantityToQuantityRatio2" on page 98](#) for details)

 Removed -  Partial Removed -  Ignored -  Partial Ignored -  Details below -
 Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Quantity1	<Qty1>		[1..1]		99
	Quantity2	<Qty2>		[1..1]		99

4.44.2 NotSpecifiedRate

XML Tag: NotSpcfdRate

Presence: [1..1]

Definition: Value of the ratio not specified.

Datatype: "RateValueType7Code" on page 165







4.44.3 AmountToAmount

XML Tag: AmtToAmt

Presence: [1..1]

Definition: Ratio expressed as a quotient of amounts.







The **AmtToAmt** block contains the following elements (see datatype "[AmountToAmountRatio3](#)" on page 24 for details)

 Removed -  Partial Removed -  Ignored -  Partial Ignored -  Details below -
 Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Amount1	<Amt1>		[1..1]		25
	Amount2	<Amt2>		[1..1]		25

4.45 RatioFormat24Choice

Definition: Choice of format to express a ratio.

 Removed -  Partial Removed -  Ignored -  Partial Ignored -  Details below -
 Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	QuantityToQuantity	<QtyToQty>	{Or	[1..1]		101
	NotSpecifiedRate	<NotSpcfdRate>	Or	[1..1]		101
	AmountToAmount	<AmtToAmt>	Or	[1..1]		101
	AmountToQuantity	<AmtToQty>	Or	[1..1]		101
	QuantityToAmount	<QtyToAmt>	Or}	[1..1]		102

Used in element(s)

["NewToOld" on page 57](#)







4.45.1 QuantityToQuantity

XML Tag: QtyToQty

Presence: [1..1]

Definition: Ratio expressed as a quotient of quantities.

The **QtyToQty** block contains the following elements (see datatype ["QuantityToQuantityRatio2" on page 98](#) for details)

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Quantity1	<Qty1>		[1..1]		99
	Quantity2	<Qty2>		[1..1]		99

4.45.2 NotSpecifiedRate

XML Tag: NotSpcdfRate

Presence: [1..1]

Definition: Value of the ratio not specified.

Datatype: ["RateValueType7Code" on page 165](#)







4.45.3 AmountToAmount

XML Tag: AmtToAmt

Presence: [1..1]

Definition: Ratio expressed as a quotient of amounts.

The **AmtToAmt** block contains the following elements (see datatype ["AmountToAmountRatio3" on page 24](#) for details)

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Amount1	<Amt1>		[1..1]		25
	Amount2	<Amt2>		[1..1]		25

4.45.4 AmountToQuantity

XML Tag: AmtToQty

Presence: [1..1]

Definition: Ratio expressed as an amount to quantity ratio.

The **AmtToQty** block contains the following elements (see datatype "[AmountAndQuantityRatio5](#)" on page 23 for details)

🚫 Removed - 🚫 Partial Removed - ⬜ Ignored - ⬜ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Amount	<Amt>		[1..1]		23
	Quantity	<Qty>		[1..1]		23

4.45.5 QuantityToAmount

XML Tag: QtyToAmt

Presence: [1..1]

Definition: Ratio expressed as a quantity to amount ratio.

The **QtyToAmt** block contains the following elements (see datatype "[AmountAndQuantityRatio5](#)" on page 23 for details)

🚫 Removed - 🚫 Partial Removed - ⬜ Ignored - ⬜ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]



Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Amount	<Amt>		[1..1]		23
	Quantity	<Qty>		[1..1]		23

4.46 SecuritiesOptionSD9

Definition: Provides additional information regarding corporate action option securities movement details.

🚫 Removed - 🚫 Partial Removed - ⬜ Ignored - ⬜ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		103
	PayoutType	<PayoutTp>		[1..1]		103
	DTCPayMethod	<DTCPayMtd>		[0..1]		103
	DTCPayOrder	<DTCPayOrd>		[0..1]		103
	ReinvestmentIncomeClassification	<RinvstmtIncmClssfctn>		[0..1]		104
	EntitlementCalculationMethod	<EnttlmntClctnMtd>		[0..1]		104
	PriceBasis	<PricBsis>		[0..1]		104
	DTCExitExplanationIndicator	<DTCExitExpltnInd>		[0..1]		104

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	ChargeFlag	<ChrgFlg>		[0..1]		104
	ProtectChargeFlag	<PrtctChrgFlg>		[0..1]		104
	EstimatedPriceFlag	<EstmtdPricFlg>		[0..1]		105
	DTCFractionalShareInstruction-Period	<DTCFrctnlShrInstrPrd>		[0..1]		105
	DTCUSTaxInstructionPeriod	<DTCUSTaxInstrPrd>		[0..1]		105
	RDPReferenceNumber	<RDPRefNb>		[0..1]		106

Used in element(s)

"SecuritiesMovementDetails" on page 18

4.46.1 PlaceAndName

XML Tag: PlcAndNm

Presence: [0..1]

Definition: Xpath to the element that is being extended.

Datatype: "Max350Text" on page 155

4.46.2 PayoutType

XML Tag: PayoutTp

Presence: [1..1]

Definition: Specifies the type of payout associated with the event (for example: principal, long term capital gain).

Datatype: "DTCCPayoutType4Code" on page 127

4.46.3 DTCPayMethod

XML Tag: DTCPayMtd

Presence: [0..1]

Definition: Indicates the type of payment. Used in stock dividends processing at DTC(The Depository Trust Corporation). Valid values list will be maintained separately from the schema.

Datatype: "Max3Text" on page 156

4.46.4 DTCPayOrder

XML Tag: DTCPayOrdr

Presence: [0..1]

Definition: Indicates the payment order. Used in stock dividends processing at DTC (The Depository Trust Corporation). Valid values list will be maintained separately from the schema.

Datatype: "Max3Text" on page 156

4.46.5 ReinvestmentIncomeClassification

XML Tag: RinvstmtIncmClsfctn

Presence: [0..1]

Definition: Income classification of the cash proceeds for dividend reinvestment.

Datatype: "ReinvestmentIncomeClassification2Code" on page 165

4.46.6 EntitlementCalculationMethod

XML Tag: EntitlmtClctnMtd

Presence: [0..1]

Definition: Indicates how the entitlements were calculated optional dividends.

Datatype: "DTCEntitlementCalculationMethod1Code" on page 136

4.46.7 PriceBasis

XML Tag: PricBsis

Presence: [0..1]

Definition: Price is based on either base or disbursed security.

Datatype: "DTCBaseDisbursed1Code" on page 126

4.46.8 DTCExitExplanationIndicator

XML Tag: DTCExitExpltnInd

Presence: [0..1]

Definition: Specifies the reason for DTC (The Depository Trust Corporation) to exit the shares.

Datatype: "SecuritiesExitReason1Code" on page 169

4.46.9 ChargeFlag

XML Tag: ChrgFlg

Presence: [0..1]

Definition: Indicates whether a DTC (The Depository Trust Corporation) participant, using one or more payment bonds in connection with a warrant exercise, will be charged (through settlement on exercise date) the value of the upcoming interest payment on the bond(s).

Datatype: "YesNoIndicator" on page 170

4.46.10 ProtectChargeFlag

XML Tag: PrtctChrgFlg

Presence: [0..1]

Definition: Indicates whether a charge is levied on the protect instructions at the time when the protect is submitted or at the time of the cover. Applies to warrants or rights exercise scenario where the holder must put up money with rights or warrants execution. When this flag is set to yes - charges are due at the time of the protect, when it is set to "no" charges are due when protect is covered.

Datatype: "YesNoIndicator" on page 170

Usage Guideline details

- This element(supl.001.001.18/SecuritiesMovementDetails/ProtectChargeFlag) is removed.

4.46.11 EstimatedPriceFlag

XML Tag: EstmtdPricFlg

Presence: [0..1]

Definition: Indicates whether the price from the offeror is estimated or final.

Datatype: "YesNoIndicator" on page 170







4.46.12 DTCFractionalShareInstructionPeriod

XML Tag: DTCFrctnlShrInstrPrd

Presence: [0..1]

Definition: Time period during which instructions regarding the disposition of fractional entitlements will be accepted at DTC (The Depository Trust Corporation).

The **DTCFrctnlShrInstrPrd** block contains the following elements (see datatype "Period13" on page 95 for details)

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	StartDate	<StartDt>		[1..1]		95
	EndDate	<EndDt>		[1..1]		95







4.46.13 DTCUSTaxInstructionPeriod

XML Tag: DTCUSTaxInstrPrd

Presence: [0..1]

Definition: Indicates the period during which the instructions for US Tax service will be accepted at DTC (The Depository Trust Corporation).

The **DTCUSTaxInstrPrd** block contains the following elements (see datatype "Period13" on page 95 for details)

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	StartDate	<StartDt>		[1..1]		95
	EndDate	<EndDt>		[1..1]		95

4.46.14 RDPReferenceNumber

XML Tag: RDPRefNb

Presence: [0..1]

Definition: Unique DTCC legacy reference used for matching and reconciling legacy CCF records. The element will be populated to all levels of the message (event details, options, movements) where applicable to indicate how values are sourced from CCF legacy files. For example: event has 2 related activity types 74, and 54. If event details and cash option are sourced from the activity type 74, then activity type 74 will be in RDP reference number in event details, and also on the cash option. The activity type 54 will be "on" the security option. Also, usage rules will specify the different layouts of the RDP reference number based on DTCC event group (reorganization, distribution, or redemption).

Datatype: "Exact32AlphaNumericText" on page 142

Usage Guideline details

- on **supl.001.001.18/SecuritiesMovementDetails/RDPReferenceNumber**

- **RDP Reference Number Usage Rule:**

The element will be populated to all levels (Event Details, Options, Movements) where applicable to represent where the values are sourced from in CCF. For example: event has 2 related Activity Types 74, and 54. If event details and cash option are sourced from the Activity Type 74, then Activity Type 74 will be in RDP Reference Number in event details, and also on the cash option. The activity 59 will be "on" the security option.

- on **supl.001.001.18/SecuritiesMovementDetails/RDPReferenceNumber**

- **RDP Reference Number Composition Conditional Rule:**

RDP Reference Number will have a different composition depending on event category.

If

Event category is Distributions or Redemptions

Then

Department ID: length (1); Position (1:1). Default value is 0.

Activity Type: length (3); Position (2:3). Right padded with zeroes. Example: Activity 85 will be 850, 85N will be 85N.

CUSIP Country: length (2); Position (5:2). Default value is zeroes.

CUSIP: length (9); Position (7:9)

CUSIP Int Check Digit: length (1); Position (16:1). Default value is 0.

Record Date: length (6); Position (17:6). YYMMDD Default value is zeroes.

Payable Date: length (6); Position (23:6) YYMMDD Default value is zeroes.

Sequence Number: length (3); Position (29:3) Default value is zeroes.

RDP Issue Type: length (1); Position (32:1) Default value is zeroes.

Else

Department ID: length (1); Position (1:1). Default value is 0

Activity Type: length (3); Position (2:3). Right padded with zeroes. Example: Activity 85 will be 850, 85N will be 85N

CUSIP Country: length (2); Position (5:2). Default value is zeroes

CUSIP: length (9); Position (7:9).

CUSIP Int Check Digit: length (1); Position (16:1). Default value is 0

Sequence Code from Payout Table: length (3); Position (17:3). Default value is zeroes.

Filler: length(3); Position (20:3). Value is 000.

Payable Date: length (6); Position (23:6). YYMMDD Default value is zeroes.

Sequence Number: length (3); Position (29:3). Default value is zeroes.







RDP Issue Type: length (1); Position (32:1). Default value is zeroes.

- on supl.001.001.18/SecuritiesMovementDetails/RDPReferenceNumber

- **Applicability:**
true

4.47 SecurityIdentification20

Definition: Identification of a security.

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	ISIN	<ISIN>		[0..1]		108
	OtherIdentification	<OthrId>		[0..*]		108
	Description	<Desc>		[0..1]		109

Rules

R8 DescriptionPresenceRule ✓

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00192
- *Error Text:* At least one identification must be present.

R9 OtherIdentificationPresenceRule ✓

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

Error handling:

- *Error severity:* Fatal

- *Error Code:* X00193
- *Error Text:* At least one identification must be present.

R10 ISINPresenceRule ✓

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00194
- *Error Text:* At least one identification must be present.

R11 DescriptionUsageRule

Description must be used alone as the last resort.

Error handling: Undefined

R12 ISINGuideline

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

Error handling: Undefined

Used in element(s)

"DeclaredDisbursedSecurityIdentification" on page 75, "LinkedSecurity" on page 77

4.47.1 ISIN

XML Tag: 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 150

4.47.2 OtherIdentification

XML Tag: OthrlId

Presence: [0..*]

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

The **OthrlId** block contains the following elements (see datatype "OtherIdentification2" on page 85 for details)

🚫 Removed - 🚫 Partial Removed - ✦ Ignored - ✦ Partial Ignored - ⚠️ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Identification	<Id>		[1..1]		85
	Suffix	<Sfx>		[0..1]		85
	Type	<Tp>		[1..1]		86

4.47.3 Description

XML Tag: Desc







Presence: [0..1]

Definition: Textual description of a security instrument.

Datatype: "RestrictedFINXMax140Text" on page 168

4.48 TaxCategory1

Definition: Provides information about the identification of the tax category.

 Removed -
  Partial Removed -
  Ignored -
  Partial Ignored -
  Details below -
  Mandatory -
 R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Identification	<Id>		[0..1]		109
	Description	<Desc>		[0..1]		109
	Country	<Ctry>		[0..1]		109

Used in element(s)

"TaxCategory" on page 49

4.48.1 Identification

XML Tag: Id

Presence: [0..1]

Definition: Tax category identification.

Datatype: "Max2NumericText" on page 154

4.48.2 Description

XML Tag: Desc

Presence: [0..1]

Definition: Description of the tax category.

Datatype: "Max35Text" on page 155

4.48.3 Country

XML Tag: Ctry

Presence: [0..1]

Definition: Identification of the country in which the tax is withheld.

Datatype: "CountryCode" on page 116

5 Message Datatypes

Note The following chapter identifies the datatypes that are used in the message.

5.1 AccrualPeriodType1Code

Definition: Specifies the type of the first accrual period for debt instruments compared to the normal accrual period of the security.

Type: CodeSet

Code	Name	Definition
DFLT	DefaultPeriod	Default payment period is applicable.
FREG	FirstRegularPaymentPeriod	Regular first payment period is applicable.
LONG	LongFirstPaymentPeriod	Long first payment period is applicable.
OMIT	PaymentOmitted	Payment has not been done.
SHRT	ShortFirstPaymentperiod	Short first payment period is applicable.
XLNG	ExtraLongPaymentPeriod	Extra long payment period is applicable.
YEAR	FirstYearOfPayment	First year of payment is applicable.

Used in element(s)

"LongShortPaymentIndicator" on page 62

Restricts

"AccrualPeriodTypeCode" on page 111

5.2 AccrualPeriodTypeCode

Definition: Specifies the type of the first accrual period for debt instruments compared to the normal accrual period of the security.

Type: CodeSet

Code	Name	Definition
DFLT	DefaultPeriod	Default payment period is applicable.
FREG	FirstRegularPaymentPeriod	Regular first payment period is applicable.
LONG	LongFirstPaymentPeriod	Long first payment period is applicable.
OMIT	PaymentOmitted	Payment has not been done.
SHRT	ShortFirstPaymentperiod	Short first payment period is applicable.
XLNG	ExtraLongPaymentPeriod	Extra long payment period is applicable.
YEAR	FirstYearOfPayment	First year of payment is applicable.

Is restricted by

["AccrualPeriodType1Code" on page 111](#)

5.3 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}

Rules

R1 ActiveCurrency ✓

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

Error handling:

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

Used in attribute(s)

["RestrictedFINActiveCurrencyAnd13DecimalAmount" on page 167](#)

Restricts

["ParentCurrencyCode" on page 159](#)

5.4 AddressType2Code

Definition: Specifies the type of address.

Type: CodeSet

Code	Name	Definition
ADDR	Postal	Address is the complete postal address.
BIZZ	Business	Address is the business address.
DLVY	DeliveryTo	Address is the address to which delivery is to take place.
HOME	Residential	Address is the home address.
MLTO	MailTo	Address is the address to which mail is sent.

Code	Name	Definition
PBOX	POBox	Address is a postal office (PO) box.

Used in element(s)

"AddressType" on page 96

Restricts

"AddressTypeCode" on page 113

5.5 AddressTypeCode

Definition: Specifies the type of address.

Type: CodeSet

Code	Name	Definition
ADDR	Postal	Address is the complete postal address.
BIZZ	Business	Address is the business address.
DLVY	DeliveryTo	Address is the address to which delivery is to take place.
HOME	Residential	Address is the home address.
MLTO	MailTo	Address is the address to which mail is sent.
PBOX	POBox	Address is a postal office (PO) box.

Is restricted by

"AddressType2Code" on page 112

5.6 AgentAcceptReject1Code

Definition: Indicates whether the event agent has approved the acceptance of voluntary instructions for a given event.

Type: CodeSet

Code	Name	Definition
ACPT	Accept	Offer approved by agent.
REJT	Reject	Offer rejected by agent.

Used in element(s)

"AgentAcceptRejectIndicator" on page 50

Restricts

"AgentAcceptRejectCode" on page 114

5.7 AgentAcceptRejectCode

Definition: Indicates whether the event agent has approved the acceptance of voluntary instructions for a given event.

Type: CodeSet

Code	Name	Definition
ACPT	Accept	Offer approved by agent.
REJT	Reject	Offer rejected by agent.

Is restricted by

"AgentAcceptReject1Code" on page 113

5.8 AgentType1Code

Definition: Specifies the function the agent is performing (for example, event agent, information agent).

Type: CodeSet

Code	Name	Definition
DAGB	DropAgentBearer	Trust company, bank or similar financial institution who acts on behalf of an out of town agent or event agent where securities can be delivered in person. Specific to bearer securities.
OTAG	Other	Agent that cannot be classified as any listed type of agent.

Used in element(s)

"AgentType" on page 89

Restricts

"AgentTypeCode" on page 114

5.9 AgentTypeCode

Definition: Specifies the function that the agent is performing (for example, event agent, information agent).

Type: CodeSet

Code	Name	Definition
DAGB	DropAgentBearer	Trust company, bank or similar financial institution who acts on behalf of an out of town agent or event agent where securities can be delivered in person. Specific to bearer securities.
OTAG	Other	Agent that cannot be classified as any listed type of agent.

Is restricted by

["AgentType1Code" on page 114](#)

5.10 AmountPriceType1Code

Definition: Specifies the amount price type.

Type: CodeSet

Code	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.

Used in element(s)

["AmountPriceType" on page 24](#)

Restricts

["AmountPriceTypeCode" on page 115](#)

5.11 AmountPriceTypeCode

Definition: Specifies the amount price type.

Type: CodeSet

Code	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.

Is restricted by

["AmountPriceType1Code" on page 115](#)

5.12 AssetClass1Code

Definition: Specifies DTC (The Depository Trust Company) defined asset class.

Type: CodeSet

Code	Name	Definition
CRPB	CorporateDebt	Debt instrument issued by a corporation.

Code	Name	Definition
CRPE	CorporateEquity	Equity issued by a corporation.
MUNB	MunicipalDebt	Debt instrument issued by municipality.

Used in element(s)

"DTCAssetClass" on page 76, "DTCDisbursedSecurityAssetClass" on page 74

Restricts

"AssetClassCode" on page 116

5.13 AssetClassCode

Definition: Specifies DTC (The Depository Trust Company) defined asset class.

Type: CodeSet

Code	Name	Definition
CRPB	CorporateDebt	Debt instrument issued by a corporation.
CRPE	CorporateEquity	Equity issued by a corporation.
MUNB	MunicipalDebt	Debt instrument issued by municipality.

Is restricted by

"AssetClass1Code" on page 115

5.14 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}

Rules**R4 Country ✓**

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.

Used in element(s)

["Country" on page 97](#), ["Country" on page 109](#), ["EDSMessagingCountryCode" on page 67](#), ["IncomeSourceCountry" on page 76](#)

5.15 CutOff1Code

Definition: Specifies the cut-off type.

Type: CodeSet

Code	Name	Definition
AERL	AnticipatedEarlyCutoff	Cut-off may change to early.
EARL	Early	Cut-off occurs before the DTCC (The Depository Trust and Clearing Corporation) standard settlement cut-off. Early cut-off usually 1: 30 Eastern Standard Time.
LATE	Late	Cut-off is after settlement at DTCC (The Depository Trust and Clearing Corporation).

Used in element(s)

["DTCRecycleCutOffIndicator" on page 62](#)

Restricts

["CutOffCode" on page 117](#)

5.16 CutOffCode

Definition: Specifies the cut-off type.

Type: CodeSet

Code	Name	Definition
AERL	AnticipatedEarlyCutoff	Cut-off may change to early.
EARL	Early	Cut-off occurs before the DTCC (The Depository Trust and Clearing Corporation) standard settlement cut-off. Early cut-off usually 1: 30 Eastern Standard Time.
LATE	Late	Cut-off is after settlement at DTCC (The Depository Trust and Clearing Corporation).

Is restricted by

["CutOff1Code" on page 117](#)

5.17 DTCAssetType3Code

Definition: Specifies DTC (The Depository Trust Company) security sub-issue type.

Type: CodeSet

Code	Name	Definition
S005	Equity	Asset is an equity.
S010	CommonStock	Asset is a common stock.
S011	ConvertibleCommonStock	Asset is a convertible common stock.
S012	CommonStockREIT	Asset is a common stock real estate investment trust.
S020	PreferredStock	Asset is a preferred stock.
S022	PreferredStockREIT	Asset is a preferred stock real estate investment trust.
S023	ConvertiblePreferredStock	Asset is a convertible preferred stock.
S024	TenderRatePreferredStock	Asset is a tender rate preferred stock.
S030	LimitedPartnership	Asset is a limited partnership.
S040	CMODenominationUnitsOrUndividedInterest	Asset is a collateralized mortgage obligation denomination in "Units" or "Undivided Interest".
S041	ABSDenominationUnitsOrUndividedInterest	Asset is an asset-backed security denomination in "Units" or "Undivided Interest".
S042	IssueDenominationUnitsOrUndividedInterest	Asset is an issue denomination in "Units" or "Undivided Interest".
S102	AuctionRatePreferredStock	Asset is an auction rate preferred stock (ARPS).
S110	AmericanDepositaryReceipt	Asset is an American depositary receipt (ADR).
S111	DepositaryShare	Asset is a depositary share.
S112	MunicipalOptionCallRight	Asset is a municipal option call right.
S117	ExchangeTradedFunds	Asset is an exchange traded funds.
S120	MMIPPreferredStockCPLike	Asset is a money market instrument preferred stock (in CP-like mode).
S121	Equity144aDesignatedInvestors	Asset is an equity, subject to 144a, designated investors.
S125	SealedEnvelope	Asset is a sealed envelope.
S126	CustodyUserCUSIP	Asset is a custody user CUSIP.
S127	NonStandardAssetUserCUSIP	Asset is a non standard asset user CUSIP.
S130	RealEstateInvestmentTrust	Asset is a real estate investment trust (REIT).
S310	MunicipalBond	Asset is a municipal bond.
S311	MunicipalNote	Asset is a municipal note.
S312	MunicipalAuctionRateNote	Asset is a municipal auction rate note (ARN).

Code	Name	Definition
S313	MunicipalVariableModeObligation	Asset is a municipal variable mode obligation (VMO).
S314	MunicipalVariableRateDemandObligation	Asset is a municipal variable rate demand obligation (VRDO).
S315	MunicipalInsuredCustodialReceipt	Asset is a municipal insured custodial receipt.
S320	MMIMunicipalVariableRateDemandObligation	Asset is a money market instrument municipal variable rate demand obligation commercial paper.
S330	MMIMunicipalCommercialPaper	Asset is a money market instrument municipal commercial paper.
S340	BearerCallableZeroCouponBond	Asset is a bearer, callable zero coupon bond.
S346	MunicipalOtherTaxExempt	Asset is a municipal debt, classified as other, subject to tax exempt.
S450	GNMARRealEstateMortgageInvestmentConduit	Asset is a government national mortgage association real estate mortgage investment conduit security.
S451	GNMAPassThroughSecurity	Asset is a government national mortgage association pass-through security.
S452	GNMASerialNoteSecurity	Asset is a government national mortgage association serial note security.
S500	CorporateBondOrGlobal	Asset is a corporate bond (CB) Or a global corporate bond (GCB).
S502	MMIBankersAcceptanceNote	Asset is a money market instrument bankers' acceptance note (BA).
S504	MMIInstitutionalCertificatesOfDeposit	Asset is a money market instrument institutional certificates of deposit.
S505	CertificatedMoneyMarketInstrument	Asset is a certificated money market instrument.
S506	CertificatedMoneyMarketPeriodicPayer	Asset is a certificated money market - periodic payer.
S507	CertificatesOfDeposit	Asset is a certificates of deposit.
S510	ConsumerPriceIndexAtMaturityCP	Asset is a consumer price index interest at maturity (IAM) commercial paper.
S511	PeriodicPaymentCommercialPaper	Asset is a periodic payment commercial paper.
S520	ConsumerPriceIndexDiscountCP	Asset is a consumer price index discount commercial paper.
S525	MMICorporateCommercialPaper	Asset is a money market instrument corporate commercial paper.
S526	MMICorporateVariableRateDemandObligation	Asset is a money market instrument corporate variable rate demand obligation commercial paper.
S530	MediumTermNote	Asset is a medium term note (MTN).

Code	Name	Definition
S531	MMIDepositNote	Asset is a money market instrument deposit note.
S532	MMIMediumTermBankNote	Asset is a money market instrument medium-term bank note.
S533	MMIMediumTermNote	Asset is a money market instrument medium term note.
S540	CollateralizedMortgageObligationOrGlobal	Asset is a collateralized mortgage obligation or global collateralized mortgage obligation.
S541	AssetBackedSecurityOrGlobal	Asset is an asset-backed security (ABS) or global asset backed security (GABS).
S542	NonCMOABSAmortizingIssue	Asset is a non-collateralized mortgage obligation ABS amortizing issue.
S545	Corporate144aDesignatedInvestors	Asset is a corporate debt, subject to 144a, designated investors.
S546	CorporateOtherTaxExempt	Asset is a corporate debt, classified as other, subject to tax exempt.
S550	MMIShortTermBankNote	MMI Short-Term Bank Note.
S551	ZCPNDenominationInitialPrincipalAmount	Asset is a zero coupon denomination in initial principal amount.
S560	MMIDiscountNote	Asset is a money market instrument discount note.
S571	CorporateAuctionRateNote	Asset is a corporate auction rate note.
S572	ConvertibleCorporateDebt	Asset is a convertible corporate debt.
S573	CorporateVariableModeObligation	Asset is a corporate variable mode obligation (CVMO).
S574	CorporateShortTermNote	Asset is a corporate short-term note.
S575	CorporateDebenture	Asset is a corporate debenture.
S576	CorporateOrMunicipalVariableRateDemand-Obligation	Asset is a corporate variable rate demand obligation or a municipal variable rate demand obligation (MMD).
S577	CorporateInsuredCustodialReceipt	Asset is a corporate insured custodial receipt.
S578	TenderRateNote	Asset is a tender rate note.
S579	ZeroCouponBond	Asset is a zero coupon bond.
S601	GovernmentSecurity	Asset is a government national mortgage association government security.
S602	GovernmentTrustCertificate	Asset is a government trust certificate.
S603	JunkAndTreasuryGrowthReceipt	Asset is a junk and treasury growth receipt (JGR).
S610	USTreasurySecurity	Asset is a U.S. treasury security.
S611	USTreasuryBill	Asset is a US treasury bill.
S612	USTreasuryNote	Asset is a US treasury note.

Code	Name	Definition
S613	USTreasuryBond	Asset is a US treasury bond.
S620	USGovernmentAgencySecurity	Asset is a U.S. government agency security.
S650	GovernmentNationalMortgageAssociation	Asset is a government national mortgage association (GNMA).
S651	RealEstateMortgageInvestmentConduit	Asset is a real estate mortgage investment conduit (REMIC).
S652	GNMASerialNote	Asset is a government national mortgage association serial note.
S700	Package	Asset is a package.
S704	CorporateDebtDerivative	Corporate Debt Derivative.
S705	EquityDerivative	Asset is an equity derivative.
S706	MunicipalDerivative	Asset is a municipal derivative.
S708	MunicipalAmortizedIssue	Asset is a municipal amortized issue.
S710	OptionDerivative	Asset is an option derivative.
S720	Warrant	Asset is a warrant.
S730	Right	Asset is a right.
S760	MutualFund	Asset is a mutual fund.
S761	ClosedEndFund	Asset is a closed end fund.
S762	InstitutionalMMIMutualFundShare	Asset is an institutional money market instrument mutual fund share.
S780	EquityUnit	Asset is an equity unit.
S781	DebtUnit	Asset is a debt unit.
S790	UnitInvestmentTrustNuveenOnly	Asset is a unit investment trust (UIT) nuveen only.
S791	GlobalUnitTrust	Asset is a global unit trust.
S795	UnitInvestmentTrust	Asset is a unit investment trust (UIT).

Used in element(s)

"DTCAssetType" on page 77, "DTCDisbursedSecurityAssetType" on page 74

Restricts

"DTCAssetTypeV2Code" on page 121

5.18 DTCAssetTypeV2Code

Definition: Specifies DTC (The Depository Trust Company) security sub-issue type.

Type: CodeSet

Code	Name	Definition
S005	Equity	Asset is an equity.

Code	Name	Definition
S010	CommonStock	Asset is a common stock.
S011	ConvertibleCommonStock	Asset is a convertible common stock.
S012	CommonStockREIT	Asset is a common stock real estate investment trust.
S020	PreferredStock	Asset is a preferred stock.
S022	PreferredStockREIT	Asset is a preferred stock real estate investment trust.
S023	ConvertiblePreferredStock	Asset is a convertible preferred stock.
S024	TenderRatePreferredStock	Asset is a tender rate preferred stock.
S030	LimitedPartnership	Asset is a limited partnership.
S040	CMODenominationUnitsOrUndividedInterest	Asset is a collateralized mortgage obligation denomination in "Units" or "Undivided Interest".
S041	ABSDenominationUnitsOrUndividedInterest	Asset is an asset-backed security denomination in "Units" or "Undivided Interest".
S042	IssueDenominationUnitsOrUndividedInterest	Asset is an issue denomination in "Units" or "Undivided Interest".
S102	AuctionRatePreferredStock	Asset is an auction rate preferred stock (ARPS).
S110	AmericanDepositoryReceipt	Asset is an American depository receipt (ADR).
S111	DepositoryShare	Asset is a depository share.
S112	MunicipalOptionCallRight	Asset is a municipal option call right.
S117	ExchangeTradedFunds	Asset is an exchange traded funds.
S120	MMIPPreferredStockCPLike	Asset is a money market instrument preferred stock (in CP-like mode).
S121	Equity144aDesignatedInvestors	Asset is an equity, subject to 144a, designated investors.
S125	SealedEnvelope	Asset is a sealed envelope.
S126	CustodyUserCUSIP	Asset is a custody user CUSIP.
S127	NonStandardAssetUserCUSIP	Asset is a non standard asset user CUSIP.
S130	RealEstateInvestmentTrust	Asset is a real estate investment trust (REIT).
S310	MunicipalBond	Asset is a municipal bond.
S311	MunicipalNote	Asset is a municipal note.
S312	MunicipalAuctionRateNote	Asset is a municipal auction rate note (ARN).
S313	MunicipalVariableModeObligation	Asset is a municipal variable mode obligation (VMO).
S314	MunicipalVariableRateDemandObligation	Asset is a municipal variable rate demand obligation (VRDO).

Code	Name	Definition
S315	MunicipalInsuredCustodialReceipt	Asset is a municipal insured custodial receipt.
S320	MMIMunicipalVariableRateDemandObligation	Asset is a money market instrument municipal variable rate demand obligation commercial paper.
S330	MMIMunicipalCommercialPaper	Asset is a money market instrument municipal commercial paper.
S340	BearerCallableZeroCouponBond	Asset is a bearer, callable zero coupon bond.
S346	MunicipalOtherTaxExempt	Asset is a municipal debt, classified as other, subject to tax exempt.
S450	GNMARRealEstateMortgageInvestmentConduit	Asset is a government national mortgage association real estate mortgage investment conduit security.
S451	GNMAPassThroughSecurity	Asset is a government national mortgage association pass-through security.
S452	GNMASerialNoteSecurity	Asset is a government national mortgage association serial note security.
S500	CorporateBondOrGlobal	Asset is a corporate bond (CB) Or a global corporate bond (GCB).
S502	MMIBankersAcceptanceNote	Asset is a money market instrument bankers' acceptance note (BA).
S504	MMIInstitutionalCertificatesOfDeposit	Asset is a money market instrument institutional certificates of deposit.
S505	CertificatedMoneyMarketInstrument	Asset is a certificated money market instrument.
S506	CertificatedMoneyMarketPeriodicPayer	Asset is a certificated money market - periodic payer.
S507	CertificatesOfDeposit	Asset is a certificates of deposit.
S510	ConsumerPriceIndexAtMaturityCP	Asset is a consumer price index interest at maturity (IAM) commercial paper.
S511	PeriodicPaymentCommercialPaper	Asset is a periodic payment commercial paper.
S520	ConsumerPriceIndexDiscountCP	Asset is a consumer price index discount commercial paper.
S525	MMICorporateCommercialPaper	Asset is a money market instrument corporate commercial paper.
S526	MMICorporateVariableRateDemandObligation	Asset is a money market instrument corporate variable rate demand obligation commercial paper.
S530	MediumTermNote	Asset is a medium term note (MTN).
S531	MMIDepositNote	Asset is a money market instrument deposit note.
S532	MMIMediumTermBankNote	Asset is a money market instrument medium-term bank note.

Code	Name	Definition
S533	MMIMediumTermNote	Asset is a money market instrument medium term note.
S540	CollateralizedMortgageObligationOrGlobal	Asset is a collateralized mortgage obligation or global collateralized mortgage obligation.
S541	AssetBackedSecurityOrGlobal	Asset is an asset-backed security (ABS) or global asset backed security (GABS).
S542	NonCMOABSAmortizingIssue	Asset is a non-collateralized mortgage obligation ABS amortizing issue.
S545	Corporate144aDesignatedInvestors	Asset is a corporate debt, subject to 144a, designated investors.
S546	CorporateOtherTaxExempt	Asset is a corporate debt, classified as other, subject to tax exempt.
S550	MMIShortTermBankNote	MMI Short-Term Bank Note.
S551	ZCPNDenominationInitialPrincipalAmount	Asset is a zero coupon denomination in initial principal amount.
S560	MMIDiscountNote	Asset is a money market instrument discount note.
S571	CorporateAuctionRateNote	Asset is a corporate auction rate note.
S572	ConvertibleCorporateDebt	Asset is a convertible corporate debt.
S573	CorporateVariableModeObligation	Asset is a corporate variable mode obligation (CVMO).
S574	CorporateShortTermNote	Asset is a corporate short-term note.
S575	CorporateDebenture	Asset is a corporate debenture.
S576	CorporateOrMunicipalVariableRateDemand-Obligation	Asset is a corporate variable rate demand obligation or a municipal variable rate demand obligation (MMD).
S577	CorporateInsuredCustodialReceipt	Asset is a corporate insured custodial receipt.
S578	TenderRateNote	Asset is a tender rate note.
S579	ZeroCouponBond	Asset is a zero coupon bond.
S601	GovernmentSecurity	Asset is a government national mortgage association government security.
S602	GovernmentTrustCertificate	Asset is a government trust certificate.
S603	JunkAndTreasuryGrowthReceipt	Asset is a junk and treasury growth receipt (JGR).
S610	USTreasurySecurity	Asset is a U.S. treasury security.
S611	USTreasuryBill	Asset is a US treasury bill.
S612	USTreasuryNote	Asset is a US treasury note.
S613	USTreasuryBond	Asset is a US treasury bond.
S620	USGovernmentAgencySecurity	Asset is a U.S. government agency security.

Code	Name	Definition
S650	GovernmentNationalMortgageAssociation	Asset is a government national mortgage association (GNMA).
S651	RealEstateMortgageInvestmentConduit	Asset is a real estate mortgage investment conduit (REMIC).
S652	GNMASerialNote	Asset is a government national mortgage association serial note.
S700	Package	Asset is a package.
S704	CorporateDebtDerivative	Corporate Debt Derivative.
S705	EquityDerivative	Asset is an equity derivative.
S706	MunicipalDerivative	Asset is a municipal derivative.
S708	MunicipalAmortizedIssue	Asset is a municipal amortized issue.
S710	OptionDerivative	Asset is an option derivative.
S720	Warrant	Asset is a warrant.
S730	Right	Asset is a right.
S760	MutualFund	Asset is a mutual fund.
S761	ClosedEndFund	Asset is a closed end fund.
S762	InstitutionalMMIMutualFundShare	Asset is an institutional money market instrument mutual fund share.
S780	EquityUnit	Asset is an equity unit.
S781	DebtUnit	Asset is a debt unit.
S790	UnitInvestmentTrustNuveenOnly	Asset is a unit investment trust (UIT) nuveen only.
S791	GlobalUnitTrust	Asset is a global unit trust.
S795	UnitInvestmentTrust	Asset is a unit investment trust (UIT).

Is restricted by

"DTCAAssetType3Code" on page 117

5.19 DTCAutoOfferProgram1Code

Definition: Indicates what type of interface an agent has with DTC (The Depository Trust Corporation).

Type: CodeSet

Code	Name	Definition
OFFL	Offline	No automated interface. Hardcopy reporting required.
ONLN	Online	Automated interface for instruction processing is present.

Used in element(s)

"DTCAutomatedOfferProgram" on page 62

Restricts

"DTCAutoOfferProgramCode" on page 126

5.20 DTCAutoOfferProgramCode

Definition: Indicates what type of interface an agent has with DTC (The Depository Trust Corporation).

Type: CodeSet

Code	Name	Definition
OFFL	Offline	No automated interface. Hardcopy reporting required.
ONLN	Online	Automated interface for instruction processing is present.

Is restricted by

"DTCAutoOfferProgram1Code" on page 125

5.21 DTCTBaseDisbursed1Code

Definition: Code qualifying whether the calculation basis is on base (original) or disbursed (distributed) security.

Type: CodeSet

Code	Name	Definition
BASE	Base	Based on base security.
DISB	Disbursed	Based on disbursed security.

Used in element(s)

"PriceBasis" on page 104

Restricts

"DTCTBaseDisbursedCode" on page 126

5.22 DTCTBaseDisbursedCode

Definition: Specifies whether the calculation basis is on base (original) or disbursed (distributed) security.

Type: CodeSet

Code	Name	Definition
BASE	Base	Based on base security.
DISB	Disbursed	Based on disbursed security.

Is restricted by

"DTCTBaseDisbursed1Code" on page 126

5.23 DTCCPayoutType4Code

Definition: Specifies DTCC (The Depository Trust and Clearing Corporation) defined payout types.

Type: CodeSet

Code	Name	Definition
SECU	Securities	Payout consisting of securities.

Used in element(s)

"PayoutType" on page 103

Restricts

"DTCCPayoutTypeCode" on page 128

5.24 DTCCPayoutType5Code

Definition: Specifies DTCC (The Depository Trust and Clearing Corporation) defined payout types.

Type: CodeSet

Code	Name	Definition
CAPG	CapitalGains	Distribution of earnings to shareholders categorised by the company as capital gains.
CASH	Cash	Payout consisting of cash.
DIVI	Dividend	Distribution of earnings to shareholders categorised by company as dividend.
INTR	Interest	Cash payment on a debt instrument calculated using the coupon rate, principal and period of time.
LTCG	LongTermCapitalGains	Distribution of earnings to shareholders categorised by the company as long-term capital gains.
PREM	Premium	Cash payment that is categorised by the issuer as premium, usually offered as incentive for early participation in an offer.
PRPL	Principal	Cash payment on a debt instrument that represents a return of principal to the holder.
ROCA	ReturnOfCapital	Distribution that doesn't represent earnings and is categorised by the company as return of capital.
STCG	ShortTermCapitalGains	Distribution of earnings to shareholders categorised by the company as short-term capital gains.
TXCR	TaxCredit	Payout consisting of a tax credit.

Used in element(s)

"PayoutType" on page 26

Restricts

"DTCCPayoutTypeCode" on page 128

5.25 DTCCPayoutTypeCode

Definition: Specifies DTCC (The Depository Trust and Clearing Corporation) defined payout types.

Type: CodeSet

Code	Name	Definition
CAPG	CapitalGains	Distribution of earnings to shareholders categorised by the company as capital gains.
CASH	Cash	Payout consisting of cash.
DIVI	Dividend	Distribution of earnings to shareholders categorised by company as dividend.
FLFR	Franked	In some markets, companies further categorize dividends as franked or unfranked. "Franked" means that a tax credit is attached to that part of the dividend.
INTR	Interest	Cash payment on a debt instrument calculated using the coupon rate, principal and period of time.
LTCG	LongTermCapitalGains	Distribution of earnings to shareholders categorised by the company as long-term capital gains.
OTHR	Other	Applies when a specific payout code cannot be used.
PREM	Premium	Cash payment that is categorised by the issuer as premium, usually offered as incentive for early participation in an offer.
PRPL	Principal	Cash payment on a debt instrument that represents a return of principal to the holder.
ROCA	ReturnOfCapital	Distribution that doesn't represent earnings and is categorised by the company as return of capital.
SECU	Securities	Payout consisting of securities.
STCG	ShortTermCapitalGains	Distribution of earnings to shareholders categorised by the company as short-term capital gains.
TXCR	TaxCredit	Payout consisting of a tax credit.
UNFR	Unfranked	In some markets, companies further categorize dividends as franked or unfranked. "Unfranked" means that there is no tax credit attached to the dividend.

Is restricted by

"DTCCPayoutType4Code" on page 127, "DTCCPayoutType5Code" on page 127

5.26 DTCCSubEventType11Code

Definition: Specifies DTCC (The Depository Trust and Clearing Corporation) defined sub event types.

Type: CodeSet

Code	Name	Definition
A144	USLegal144A	Identifies an exchange offer on securities that are subject to Securities Rule 144A.
ADRS	ADR	Identifies when the event security is an ADR. The underlying security is American Depositary Receipt.
BLOT	BoardLot	Identifies a change in Board Lot size.
BTST	BidTenderSealedTender	Identifies a tender offer event in which the holder can choose the price at which they are willing to tender their securities. This price may or may not be accepted by the offeror.
C305	DeemedDividend305C	Identifies an event which has been considered a deemed distribution under Section 305(c) of the United States Internal Revenue Code.
CASE	CashAndSecurities	Identifies an event where the payout will be both cash and securities.
CASH	Cash	Identifies an event where the payout will be cash.
CILI	CashinLieu	Identifies DTC (the Depository Trust Company) specific sub-event where holders can elect to "sell" whole shares to satisfy fractional entitlements (usually as a result of a merger) at the beneficial owner level.
CONV	Conversion	Identifies an event which is a full call or a maturity with conversion.
COTE	ConvertAndTender	Identifies a tender offer with a convert feature.
CTAX	TaxCredit	Identifies an event where a tax credit relating to the Build America Bonds will occur.
CUPR	NameAndCUSIPChangeAndPresentationRequired	Name change with both CUSIP change and presentation required.
CUSP	NameAndCUSIPChange	Name change with CUSIP change.
DRPD	DividendReinvestmentByDTC	Identifies an event where the Issue is eligible for a Dividend Reinvestment program at DTCC (The Depository Trust and Clearing Corporation).
DRPI	DividendReinvestmentByIssuer	Identifies an event where the issuer offers a dividend reinvestment program that is not processed by DTC (the Depository Trust Company).
ECNI	AmountsInExcessOfCumulativeNetIncome	Identifies when a publicly traded partnership identifies the amount realised on such portion of the distribution

Code	Name	Definition
		as an amount in excess of cumulative net income under IRS regulation 1.1446(f)-4(c)(2)(iii).
FTPR	OfferToPurchase	Identifies a tender offer event made by another company to purchase a portion or all of the outstanding shares.
GDRS	GDR	Identifies when the event security is a GDR. The underlying security is a global depositary receipt.
M871	DividendEquivalentPayment871M	Identifies an event which has been considered a dividend equivalent payment under Section 871(m) of the United States Internal Revenue Code.
MBCK	MortgageBacked	Indicates an event where the issue has an early redemption feature that allows the holder to elect to sell bonds back to the issuer on a monthly basis, according to specified conditions.
MITE	MiniTender	Identifies when a tender offer is a mini tender.
MROS	MandatoryRedemptionOfShares	Identifies an event where redemption shares are issued in addition to shares of the original security. This is related to the Mandatory Exchange event with the same sub-event type name.
NOTI	ImportantNotice	Identifies a MMI Important Notice.
OPOF	OpenOffer	Identifies an event in certain markets where underlying rights are not issued.
OPTO	OptOut	Identifies an event (for example Cash Dividend) where DTC (the Depository Trust Company) offers a DRIP option as a default option (holder must opt out of the DRIP Option).
PLCL	PlaceOfListing	Identifies a change in the place where the security is listed.
POPI	PoisonPill	Identifies sale of rights event where issuers redeem poison pill rights.
PREQ	PresentationRequired	Identifies an event where the presentation of securities will be required.
PRNI	PhysicalRightsNotIssued	Identifies an event where the company is not issuing a security with the right to subscribe for additional shares. In these instances, a User CUSIP is created by DTC (The Depository Trust Company) as opposed to a company-issued CUSIP in order to identify these issues.
QN92	ExemptionQualifiedNotice92Days	Identifies a qualified notice issued by a publicly traded partnership that states applicability of the 10 percent exception under IRS regulation 1.1446(f)-4(b)(3).

Code	Name	Definition
RCLA	Classification1042S	Identifies distributions that have multiple components for tax withholding and 1042-S reporting purposes.
RDTH	BasedOnRecordDateHoldings	Identifies an event which will be based on record date holdings.
REGS	RegulationS	Identifies an exchange offer on securities that are subject to securities rule Reg S.
RMRK	Remarketing	Identifies an event that involves a Stock Purchase Contract product that is offering an early settlement or remarketing feature prior to the contract's expiration.
SALE	SaleOfAssets	Identifies an event where the distribution is from the proceeds of the sale of assets.
SECU	Securities	Identifies an event where the payout will be securities.
SETE	SelfTender	Identifies when a tender offer is a self tender.
SHEX	ShareExchange	Identifies an event where two companies exchange their shares during a merger. After the share exchange, one company becomes a subsidiary of the other and is no longer listed. Usually applicable to an event in JP markets.
SHPP	SharePurchasePlan	Identifies an event involving the offer of shares by a corporation listed on the Australia Stock Exchange, in which ASIC will give relief so that the company can offer existing shareholders the opportunity to acquire small numbers of additional shares without needing a disclosure document or Product Disclosure Statement (PDS).
SOPT	SurvivorOptions	Indicates an event where the Issue has an early redemption feature. This feature allows the holder to elect to sell bonds back to the issuer on a predetermined basis (excluding monthly) according to specific priorities.
SPAC	SpecialPurposeAcquisitionCompany	Specified purpose acquisition companies (SPACs) are public companies comprised of cash available to investors in financial markets. The sole purpose of SPACs is to use the proceeds to finance a future acquisition. SPACs generally commit to identify a target operating company and complete a business combination transaction within a specified timeframe. SPACs have a feature where funds are put into a trust account and when the target investment is identified the investor can have their proceeds returned or participate in the business combination.

Code	Name	Definition
STDT	Standard	Identifies an event where one company merges with the other and assumes the name of the surviving company. It is the standard market-accepted merger. Usually applicable to an event in JP markets.
TWRI	TenderWithRights	Identifies a tender offer event on a Rights security. Holders must submit both the ordinary share(s) and right(s) to be eligible to receive the tender consideration. The ratio of ordinary shares to rights is defined in the offer.
UNIT	UnitCombination	Identifies a combination of assets or types of assets packaged together and sold as one. For example, a shareholder buying one unit of company stock may get preferred shares, ordinary shares and even warrants in the unit.
UNWD	Unwind	Identifies an event where "unwinding" of the basket of securities occurs.
VOTE	Vote	Event where creditors whose claims are impaired are entitled to vote.
WITH	WithPayout	Identifies a consent event with payout.
WITO	WithoutPayout	Identifies a consent event without payout.
XFER	Transfer	Identifies an event where one company transfers all of its shares to a newly created company. Usually applicable to an event in JP markets.

Used in element(s)

"SubEventType" on page 40

Restricts

"DTCCSubEventTypeCode" on page 132

5.27 DTCCSubEventTypeCode

Definition: Specifies DTCC (The Depository Trust and Clearing Corporation) defined sub event types.

Type: CodeSet

Code	Name	Definition
A144	USLegal144A	Identifies an exchange offer on securities that are subject to Securities Rule 144A.
ADRS	ADR	Identifies when the event security is an ADR. The underlying security is American Depositary Receipt.
AMET	AnnualGeneral	Identifies a meeting event called by the company on behalf of security holders at which the company can present corpo-

Code	Name	Definition
		rate resolutions that may require a vote by the holders.
BLOT	BoardLot	Identifies a change in Board Lot size.
BTST	BidTenderSealedTender	Identifies a tender offer event in which the holder can choose the price at which they are willing to tender their securities. This price may or may not be accepted by the offeror.
C305	DeemedDividend305C	Identifies an event which has been considered a deemed distribution under Section 305(c) of the United States Internal Revenue Code.
CASE	CashAndSecurities	Identifies an event where the payout will be both cash and securities.
CASH	Cash	Identifies an event where the payout will be cash.
CILI	CashinLieu	Identifies DTC (the Depository Trust Company) specific sub-event where holders can elect to "sell" whole shares to satisfy fractional entitlements (usually as a result of a merger) at the beneficial owner level.
CONV	Conversion	Identifies an event which is a full call or a maturity with conversion.
COTE	ConvertAndTender	Identifies a tender offer with a convert feature.
CTAX	TaxCredit	Identifies an event where a tax credit relating to the Build America Bonds will occur.
CUPR	NameAndCUSIPChangeAndPresentationRequired	Name change with both CUSIP change and presentation required.
CUSP	NameAndCUSIPChange	Name change with CUSIP change.
DRPD	DividendReinvestmentByDTC	Identifies an event where the Issue is eligible for a Dividend Reinvestment program at DTCC (The Depository Trust and Clearing Corporation).
DRPI	DividendReinvestmentByIssuer	Identifies an event where the issuer offers a dividend reinvestment program that is not processed by DTC (the Depository Trust Company).
ECNI	AmountsInExcessOfCumulativeNetIncome	Identifies when a publicly traded partnership identifies the amount realised on such portion of the distribution as an amount in excess of cumulative net income under IRS regulation 1.1446(f)-4(c)(2)(iii).
EXOM	Extraordinary	Identifies a meeting event called by the company when urgent matters need to be addressed before the next General Meeting.

Code	Name	Definition
FINL	FinalPayment	Identifies an event that include notification of a final payment in lieu of the original commitment.
FTPR	OfferToPurchase	Identifies a tender offer event made by another company to purchase a portion or all of the outstanding shares.
GDRS	GDR	Identifies when the event security is a GDR. The underlying security is a global depositary receipt.
INTE	InterimPayment	Identifies an event that include notification of an interim payment in lieu of the original commitment.
M871	DividendEquivalentPayment871M	Identifies an event which has been considered a dividend equivalent payment under Section 871(m) of the United States Internal Revenue Code.
MBCK	MortgageBacked	Indicates an event where the issue has an early redemption feature that allows the holder to elect to sell bonds back to the issuer on a monthly basis, according to specified conditions.
MITE	MiniTender	Identifies when a tender offer is a mini tender.
MROS	MandatoryRedemptionOfShares	Identifies an event where redemption shares are issued in addition to shares of the original security. This is related to the Mandatory Exchange event with the same sub-event type name.
NCPR	NameChangeAndPresentationRequired	Name change with presentation required without new CUSIP.
NOTI	ImportantNotice	Identifies a MMI Important Notice.
OPOF	OpenOffer	Identifies an event in certain markets where underlying rights are not issued.
OPTO	OptOut	Identifies an event (for example Cash Dividend) where DTC (the Depository Trust Company) offers a DRIP option as a default option (holder must opt out of the DRIP Option).
ORDM	Ordinary	Identifies a meeting event called by the company. Usually held annually.
PLCL	PlaceOfListing	Identifies a change in the place where the security is listed.
POPI	PoisonPill	Identifies sale of rights event where issuers redeem poison pill rights.
PREQ	PresentationRequired	Identifies an event where the presentation of securities will be required.
PRNI	PhysicalRightsNotIssued	Identifies an event where the company is not issuing a security with the right to subscribe for additional shares. In these instances, a User CUSIP is created by DTC (The Depository Trust Company)

Code	Name	Definition
		as opposed to a company-issued CUSIP in order to identify these issues.
QN92	ExemptionQualifiedNotice92Days	Identifies a qualified notice issued by a publicly traded partnership that states applicability of the 10 percent exception under IRS regulation 1.1446(f)-4(b)(3).
RCLA	Classification1042S	Identifies distributions that have multiple components for tax withholding and 1042-S reporting purposes.
RDTH	BasedOnRecordDateHoldings	Identifies an event which will be based on record date holdings.
REGS	RegulationS	Identifies an exchange offer on securities that are subject to securities rule Reg S.
RMRK	Remarketing	Identifies an event that involves a Stock Purchase Contract product that is offering an early settlement or remarketing feature prior to the contract's expiration.
SALE	SaleOfAssets	Identifies an event where the distribution is from the proceeds of the sale of assets.
SECU	Securities	Identifies an event where the payout will be securities.
SETE	SelfTender	Identifies when a tender offer is a self tender.
SHEX	ShareExchange	Identifies an event where two companies exchange their shares during a merger. After the share exchange, one company becomes a subsidiary of the other and is no longer listed. Usually applicable to an event in JP markets.
SHPP	SharePurchasePlan	Identifies an event involving the offer of shares by a corporation listed on the Australia Stock Exchange, in which ASIC will give relief so that the company can offer existing shareholders the opportunity to acquire small numbers of additional shares without needing a disclosure document or Product Disclosure Statement (PDS).
SOPT	SurvivorOptions	Indicates an event where the Issue has an early redemption feature. This feature allows the holder to elect to sell bonds back to the issuer on a predetermined basis (excluding monthly) according to specific priorities.
SPAC	SpecialPurposeAcquisitionCompany	Specified purpose acquisition companies (SPACs) are public companies comprised of cash available to investors in financial markets. The sole purpose of SPACs is to use the proceeds to finance a future acquisition. SPACs generally commit to identify a target operating company and complete a business combination transaction within a specified timeframe. SPACs have a feature

Code	Name	Definition
		where funds are put into a trust account and when the target investment is identified the investor can have their proceeds returned or participate in the business combination.
SPCL	Special	Identifies a meeting event called by the company that cannot be categorized as Ordinary, Annual General, or Extraordinary.
STDT	Standard	Identifies an event where one company merges with the other and assumes the name of the surviving company. It is the standard market-accepted merger. Usually applicable to an event in JP markets.
TWRI	TenderWithRights	Identifies a tender offer event on a Rights security. Holders must submit both the ordinary share(s) and right(s) to be eligible to receive the tender consideration. The ratio of ordinary shares to rights is defined in the offer.
UNIT	UnitCombination	Identifies a combination of assets or types of assets packaged together and sold as one. For example, a shareholder buying one unit of company stock may get preferred shares, ordinary shares and even warrants in the unit.
UNWD	Unwind	Identifies an event where "unwinding" of the basket of securities occurs.
VOTE	Vote	Event where creditors whose claims are impaired are entitled to vote.
WITH	WithPayout	Identifies a consent event with payout.
WITO	WithoutPayout	Identifies a consent event without payout.
XFER	Transfer	Identifies an event where one company transfers all of its shares to a newly created company. Usually applicable to an event in JP markets.

Is restricted by

"DTCCSubEventType11Code" on page 129

5.28 DTCEntitlementCalculationMethod1Code

Definition: Specifies the type of calculation of entitlements.

Type: CodeSet

Code	Name	Definition
CR17	CashRateFC17	Per individual account X share holding per account X Cash Rate = entitlement Example: 100 shares X.50 (Cash Rate) = \$50.00 in cash.

Code	Name	Definition
SB20	StockRateEnableBuyUpToNextWholeShare-FC20	A) Per individual account X share holding per account X Stock Rate = Whole shares + CIL of Fractions (Note 1)Note 1- Then option is to buy fraction so as to round up to one (1) whole share B) Per individual account X (1 whole share-fractional issuable) = fractions to be bought X CIL Fraction Price= Cash to be charged to each individual account (Note 1) + 1 whole share to be added to the individual account (Note 2)Note 1- Appropriate cash adjustment decreasing a participants cash position will be transacted Note 2- Appropriate share adjustment increasing a participants share position will be transacted Special Note: The following two formulas relate to those situations whereby the option allows you to buy an additional fraction so as to round up to one (1) whole share. F/C 20-can be used for most fractions buy round ups. F/C 21-was once a mandatory fraction buy round up formula used by a agent. (The end result is the same if you use either F/C).
SC19	StockRateXCashRateFC19	Per individual account X share holding per account X Stock Rate = whole shares + Fractions Example: 150 shares X 5% (Stock Rate) = 7 whole shares and .500000 fractions. Cash Entitlement: If the CIL price is \$10.00 per share, you would calculate 7.500000 shares X \$10.00 = \$75.00 in cash.
SHST	SharesXStock	A) Per individual account X share holding per account X Stock Rate = Whole shares + Fractional Issuable Note: This is a Mandatory Agent calculation for fractional round-up B) Per individual account X (1 whole share X round out price (announce in Cash Rate)-(Fractional Issuable X Stock Rate) = Cash to be charged to each individual account + 1 whole share to be added to each individual account.
SR15	StockRateFC15	Per individual account X share holding per account X Cash Rate divided by the Stock Rate = Whole Shares + CIL of Fractions Example: 100 shares X .50 (Cash Rate) divided by \$20.00 (Stock Rate)=2 whole shares and .500000 fractions Fractional Entitlement: If the price is \$15.00 per share, you would calculate .500000 X \$15.00 = \$7.50 for CIL.
SR18	StockRateFC18	Per individual account X share holding per account X Stock Rate = whole shares + CIL of Fractions Example: 150 shares X 5% (Stock Rate) = 7 whole shares and .500000 fractions Fractional Entitlement: If the CIL price is \$10.00 per share, you would calculate .500000 X \$10.00 = \$5.00 for CIL.

Used in element(s)

"EntitlementCalculationMethod" on page 26, "EntitlementCalculationMethod" on page 104

Restricts

"DTCEntitlementCalculationMethodCode" on page 138

5.29 DTCEntitlementCalculationMethodCode

Definition: Specifies the type of the calculation of entitlements.

Type: CodeSet

Code	Name	Definition
CR17	CashRateFC17	Per individual account X share holding per account X Cash Rate = entitlement Example: 100 shares X.50 (Cash Rate) = \$50.00 in cash.
SB20	StockRateEnableBuyUpToNextWholeShare-FC20	A) Per individual account X share holding per account X Stock Rate = Whole shares + CIL of Fractions (Note 1)Note 1- Then option is to buy fraction so as to round up to one (1) whole share B) Per individual account X (1 whole share-fractional issuable) = fractions to be bought X CIL Fraction Price= Cash to be charged to each individual account (Note 1) + 1 whole share to be added to the individual account (Note 2)Note 1- Appropriate cash adjustment decreasing a participants cash position will be transacted Note 2- Appropriate share adjustment increasing a participants share position will be transacted Special Note: The following two formulas relate to those situations whereby the option allows you to buy an additional fraction so as to round up to one (1) whole share. F/C 20-can be used for most fractions buy round ups. F/C 21-was once a mandatory fraction buy round up formula used by a agent. (The end result is the same if you use either F/C).
SC19	StockRateXCashRateFC19	Per individual account X share holding per account X Stock Rate = whole shares + Fractions Example: 150 shares X 5% (Stock Rate) = 7 whole shares and.500000 fractions. Cash Entitlement: If the CIL price is \$10.00 per share, you would calculate 7.500000 shares X \$10.00 = \$75.00 in cash.
SHST	SharesXStock	A) Per individual account X share holding per account X Stock Rate = Whole shares + Fractional Issuable Note: This is a Mandatory Agent calculation for fractional round-up B) Per individual account X (1 whole share X round out price (announce in Cash Rate)-(Fractional Issuable X Stock Rate) = Cash to be charged to each individual account + 1

Code	Name	Definition
		whole share to be added to each individual account.
SR15	StockRateFC15	Per individual account X share holding per account X Cash Rate divided by the Stock Rate = Whole Shares + CIL of Fractions Example: 100 shares X.50 (Cash Rate) divided by \$20.00 (Stock Rate)=2 whole shares and.500000 fractions Fractional Entitlement: If the price is \$15.00 per share, you would calculate.500000 X \$15.00 = \$7.50 for CIL.
SR18	StockRateFC18	Per individual account X share holding per account X Stock Rate = whole shares + CIL of Fractions Example: 150 shares X 5% (Stock Rate) = 7 whole shares and.500000 fractions Fractional Entitlement: If the CIL price is \$10.00 per share, you would calculate.500000 X \$10.00 = \$5.00 for CIL.

Is restricted by

"DTCEntitlementCalculationMethod1Code" on page 136

5.30 DateType6Code

Definition: Specifies the type of dates.

Type: CodeSet

Code	Name	Definition
ONGO	Ongoing	Ongoing basis, which indicates that the date is determined by "ongoing basis" process, for example "au fil de l'eau".
OPEN	Open	Open-dated, which indicates that the date has not been established.
UKWN	Unknown	Date is unknown by the sender or has not been established.

Used in element(s)

"NotSpecifiedDate" on page 71

Restricts

"DateTypeCode" on page 140

5.31 DateType8Code

Definition: Specifies the type of dates.

Type: CodeSet

Code	Name	Definition
ONGO	Ongoing	<p>Ongoing basis, which indicates that the date is determined by "ongoing basis" process, for example "au fil de l'eau".</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(supl.001.001.18/Option-DateDetails/DTCEarlyCoverProtectExpirationDate/DateCode/Code/Ongoing) is removed. • This code(supl.001.001.18/Option-DateDetails/ActualEarlyProtectExpirationDate/DateCode/Code/Ongoing) is removed. • This code(supl.001.001.18/Option-DateDetails/ActualEarlyExpirationDate/DateCode/Code/Ongoing) is removed. • This code(supl.001.001.18/Option-DateDetails/DTCEarlyProtectExpirationDate/DateCode/Code/Ongoing) is removed. • This code(supl.001.001.18/Option-DateDetails/ActualEarlyCoverProtectExpirationDate/DateCode/Code/Ongoing) is removed.
UKWN	Unknown	Date is unknown by the sender or has not been established.

Used in element(s)

"Code" on page 70

Restricts

"DateTypeCode" on page 140

5.32 DateTypeCode

Definition: Ongoing basis, which indicates that the date is determined by "ongoing basis" process, for example "au fil de l'eau".

Type: CodeSet

Code	Name	Definition
MEET	BlockingTillMeetingDate	Blocking occurs until and inclusive of the meeting date.

Code	Name	Definition
MKDT	BlockingTillMarketDeadline	Blocking occurs until and inclusive of the market deadline of the option.
NARR	NarrativeUnblockingDate	Refer to additional information element for the date until when the securities are blocked.
ONGO	Ongoing	Ongoing basis, which indicates that the date is determined by "ongoing basis" process, for example "au fil de l'eau".
OPEN	Open	Open-dated, which indicates that the date has not been established.
PAYD	BlockingTillPaymentDate	Unblocking will occur on payment date of the option.
PPYD	BlockingTillPremiumPaymentDate	Unblocking will occur on payment date of the premium.
PWAL	BlockingTillEndOfElectionPeriod	Blocking occurs until and inclusive of the end of the election period of the option.
RDDT	BlockingTillResponseDeadline	Blocking occurs until and inclusive of the account servicer deadline for the option.
RDTE	BlockingTillRecordDate	Blocking occurs until and inclusive of the record date of the event.
UKWN	Unknown	Date is unknown by the sender or has not been established.
VARI	Various	Partial trades have occurred over a period of two or more days.

Is restricted by

"DateType6Code" on page 139, "DateType8Code" on page 139

5.33 DecimalNumber

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

Type: Quantity

Format

fractionDigits	17
totalDigits	18

Used in element(s)

"BabyBondDenomination" on page 74, "CertificateCalledAmount" on page 59, "NumberOfSharesTo-Belssued" on page 61, "OrdinaryShare" on page 56, "ProrationFraction" on page 49, "ReceiptBase-Quantity" on page 55, "RoundingFactor" on page 81, "TotalNumberOfSharesOffered" on page 61, "Unit" on page 80

5.34 EventGroup1Code

Definition: Specifies DTC (The Depository Trust Company) processing domain for the event.

Type: CodeSet

Code	Name	Definition
REDM	Redemption	Redemption domain events.

Used in element(s)

"EventGroup" on page 40

Restricts

"EventGroupCode" on page 142

5.35 EventGroupCode

Definition: Specifies DTC (The Depository Trust Company) processing domain for the event.

Type: CodeSet

Code	Name	Definition
DISN	Distribution	Distribution domain events.
GENL	General	General domain events.
REDM	Redemption	Redemption domain events.
REOR	Reorganization	Reorganization domain events.

Is restricted by

"EventGroup1Code" on page 141

5.36 Exact32AlphaNumericText

Definition: Specifies an alphanumeric string with a length of 32 characters.

Type: Text

Format

pattern [a-zA-Z0-9]{32}

Used in element(s)

"RDPRReferenceNumber" on page 29, "RDPRReferenceNumber" on page 47, "RDPRReferenceNumber" on page 67, "RDPRReferenceNumber" on page 106

5.37 Exact4AlphaNumericText

Definition: Specifies an alphanumeric string with a length of 4 characters.

Type: Text

Format

pattern [a-zA-Z0-9]{4}

Used in element(s)

["Identification" on page 82](#)

5.38 ExtendedEventType6Code

Definition: Specifies DTCC (The Depository Trust and Clearing Corporation) defined corporate action event type.

Type: CodeSet

Code	Name	Definition
CDRD	CertificateOfDepositEarlyRedemption	Feature of a security that allows an issuer to make a payment to the security holder. This event will be used for securities subject to redemptions other than those categorised as full and partial calls (for example early Certificate of Deposit redemptions).
FPAY	FinalPaydown	Final distribution of principal due on a security, typically Collateralised Mortgage Obligations.
REDW	RedemptionOfWarrant	Event is a redemption of warrant.
TMTN	Termination	Security, usually a form of a derivative, for which the agent or issuer has decided to terminate the derivative based on a change to the underlying security(ies) or a change in strategy. Distinguishes from Mandatory Exchange, Exchange Offer event types mapped to the same ISO event type code.

Used in element(s)

["EventType" on page 40](#)

Restricts

["ExtendedEventTypeV2Code" on page 143](#)

5.39 ExtendedEventTypeV2Code

Definition: Specifies DTCC (The Depository Trust and Clearing Corporation) defined corporate action event type.

Type: CodeSet

Code	Name	Definition
BRIS	BonusRightsIssue	Security holders are issued additional securities, free of payment, from the issuer in proportion to their holdings. A bonus issue is typically represented by shares or warrants. Nominal value does

Code	Name	Definition
		not change. The security holder may be offered choice of entitlement. Distinguishes from Rights Subscription, Sale Of Rights event types mapped to the same ISO event type code.
CDRD	CertificateOfDepositEarlyRedemption	Feature of a security that allows an issuer to make a payment to the security holder. This event will be used for securities subject to redemptions other than those categorised as full and partial calls (for example early Certificate of Deposit redemptions).
FLPR	FullPrerefunding	Exercise of a privilege by the issuer to repay, in full, any debt security prior to maturity when the issuer deposits assets in trust. This irrevocably restricts their use to satisfaction of the debt. Distinguishes from "partial defeasance", "partial prerefunding" event types mapped to the same ISO event type code.
FPAY	FinalPaydown	Final distribution of principal due on a security, typically Collateralised Mortgage Obligations.
FPRE	FullPrefunding	Exercise of a privilege by the issuer to repay, in full, any debt security prior to maturity when the issuer deposits assets in trust. This irrevocably restricts their use to satisfaction of the debt.
MEET	Meeting	Meeting of a company's share or bond holders to address resolutions put forth by the issuer. Note: this is information only event. Pending deprecation and migration to ISO Proxy Message suite.
PDEF	PartialDefeasance	Issuer sets aside funds in escrow to guarantee payment for the portion of the security on maturity date. Defeased and Non-defeased cusips are issued respectively for the defeased and non-defeased portions.
PPRE	PartialPrerefunding	Issuer sets aside funds in escrow to guarantee payment for the portion of the security prior to maturity date. Refunded and Non-Refunded cusips are issued respectively for the refunded and non-refunded portions.
PPUT	PartialMandatoryPut	The 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.
REDW	RedemptionOfWarrant	Event is a redemption of warrant.
RPLA	RightsPlanAdoption	General information provided by the issuer that should not result in material changes to the security.

Code	Name	Definition
TMTN	Termination	Security, usually a form of a derivative, for which the agent or issuer has decided to terminate the derivative based on a change to the underlying security(ies) or a change in strategy. Distinguishes from Mandatory Exchange, Exchange Offer event types mapped to the same ISO event type code.

Is restricted by

"ExtendedEventType6Code" on page 143

5.40 ExtendedOptionFeature2Code

Definition: Specifies DTCC (The Depository Trust and Clearing Corporation) specific options.

Type: CodeSet

Code	Name	Definition
DRPF	DRIPFavorable	DTC (The Depository Trust Company) only option. The event and security are eligible for both the Dividend Reinvestment and Foreign Tax Relief services at DTC. Participants electing this option will receive additional shares and the tax withholding on those shares will be at the favourable tax rate.
DRPU	DRIPUnfavorable	DTC (The Depository Trust Company) only option. The event and security are eligible for both the Dividend Reinvestment and Foreign Tax services at DTC. Participants electing this option will receive additional shares and the tax withholding on those shares will be at the unfavourable tax rate.
DRPX	DRIPExempt	DTC (The Depository Trust Company) only option. The event and security are eligible for both the Dividend Reinvestment and the Foreign Tax Relief services at DTC. Participants electing this option will receive additional shares and will be exempt from any tax withholding.
FCPF	ForeignCurrencyPaymentFavorable	DTC (The Depository Trust Company) only option. The event and security are eligible for both the Foreign Currency and Foreign Tax services at DTC. Participants electing the option will receive their distribution in foreign currency and the tax withholding on that distribution will be subject to favourable tax withholding.
F CPP	ForeignCurrencyPayment	DTC (The Depository Trust Company) only option. The event and security are eligible for Foreign Currency Payment service at DTC. Participants electing this option will receive their distribution in the foreign currency instructed.

Code	Name	Definition
FCPU	ForeignCurrencyPaymentUnfavorable	DTC (The Depository Trust Company) only option. The event and security are eligible for both the Foreign Currency and Foreign Tax services at DTC. Participants electing this option will receive their distribution in a foreign currency and the tax withholding on that distribution will be subject to unfavourable tax withholding.
FCPX	ForeignCurrencyPaymentExempt	DTC (The Depository Trust Company) only option. The event and security are eligible for both the Foreign Currency and Foreign Tax services at DTC. Participants electing this option will receive their distribution in a foreign currency and will be exempt from any tax withholding.
FORF	ForeignTaxFavorable	DTC (The Depository Trust Company) only option. The event and security are eligible for the Foreign Tax Relief service at DTC. An election into this option ensures the participant receives their payment at a favourable tax withholding rate.
FORU	ForeignTaxUnfavorable	DTC (The Depository Trust Company) only option. The event and security are eligible for the Foreign Tax Relief service at DTC. Option to select unfavourable tax rate. The Foreign Tax Unfavourable option is the default option.
FORX	ForeignTaxExempt	DTC (The Depository Trust Company) only option. The event and security are eligible for the Foreign Tax Relief service at DTC. An election into this option ensures the participant is exempt from any tax withholding.
NSHR	ShareholderNumberNotAllowed	Indicates option in which holders must not provide a shareholder number if provided will be rejected.

Used in element(s)

"ExtendedOptionFeatures" on page 44

Restricts

"ExtendedOptionFeatureCode" on page 146

5.41 ExtendedOptionFeatureCode

Definition: Specifies DTCC (The Depository Trust and Clearing Corporation) specific options.

Type: CodeSet

Code	Name	Definition
DRPF	DRIPFavorable	DTC (The Depository Trust Company) only option. The event and security are

Code	Name	Definition
		eligible for both the Dividend Reinvestment and Foreign Tax Relief services at DTC. Participants electing this option will receive additional shares and the tax withholding on those shares will be at the favourable tax rate.
DRPU	DRIPUnfavorable	DTC (The Depository Trust Company) only option. The event and security are eligible for both the Dividend Reinvestment and Foreign Tax services at DTC. Participants electing this option will receive additional shares and the tax withholding on those shares will be at the unfavourable tax rate.
DRPX	DRIPExempt	DTC (The Depository Trust Company) only option. The event and security are eligible for both the Dividend Reinvestment and the Foreign Tax Relief services at DTC. Participants electing this option will receive additional shares and will be exempt from any tax withholding.
FCPF	ForeignCurrencyPaymentFavorable	DTC (The Depository Trust Company) only option. The event and security are eligible for both the Foreign Currency and Foreign Tax services at DTC. Participants electing the option will receive their distribution in foreign currency and the tax withholding on that distribution will be subject to favourable tax withholding.
FCPP	ForeignCurrencyPayment	DTC (The Depository Trust Company) only option. The event and security are eligible for Foreign Currency Payment service at DTC. Participants electing this option will receive their distribution in the foreign currency instructed.
FCPU	ForeignCurrencyPaymentUnfavorable	DTC (The Depository Trust Company) only option. The event and security are eligible for both the Foreign Currency and Foreign Tax services at DTC. Participants electing this option will receive their distribution in a foreign currency and the tax withholding on that distribution will be subject to unfavourable tax withholding.
FCPX	ForeignCurrencyPaymentExempt	DTC (The Depository Trust Company) only option. The event and security are eligible for both the Foreign Currency and Foreign Tax services at DTC. Participants electing this option will receive their distribution in a foreign currency and will be exempt from any tax withholding.
FORF	ForeignTaxFavorable	DTC (The Depository Trust Company) only option. The event and security are eligible for the Foreign Tax Relief service at DTC. An election into this option ensures the participant receives their

Code	Name	Definition
		payment at a favourable tax withholding rate.
FORU	ForeignTaxUnfavorable	DTC (The Depository Trust Company) only option. The event and security are eligible for the Foreign Tax Relief service at DTC. Option to select unfavourable tax rate. The Foreign Tax Unfavourable option is the default option.
FORX	ForeignTaxExempt	DTC (The Depository Trust Company) only option. The event and security are eligible for the Foreign Tax Relief service at DTC. An election into this option ensures the participant is exempt from any tax withholding.
NSHR	ShareholderNumberNotAllowed	Indicates option in which holders must not provide a shareholder number if provided will be rejected.

Is restricted by

"ExtendedOptionFeature2Code" on page 145

5.42 ExternalFinancialInstrument-IdentificationType1Code

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

maxLength	4
minLength	1

Used in element(s)

"Code" on page 83

Restricts

"ExternalFinancialInstrumentIdentificationTypeCode" on page 148

5.43 ExternalFinancialInstrument-IdentificationTypeCode

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

maxLength	4
minLength	1

Is restricted by

"ExternalFinancialInstrumentIdentificationType1Code" on page 148

5.44 FractionDispositionType12Code

Definition: Indicates the processing to apply to fractions of securities.

Type: CodeSet

Code	Name	Definition
RDDN	RoundDown	Round down to the nearest whole number.
RDUP	RoundUp	Round up to the nearest whole number.

Used in element(s)

"ProrationRoundingIndicator" on page 49

Restricts

"FractionDispositionTypeCode" on page 149

5.45 FractionDispositionTypeCode

Definition: Indicates that fractional value should be retained; no rounding.

Type: CodeSet

Code	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.
EXPI	Expire	Let fractions expire worthless.
FULL	Full	Pre-allocate shares only if fully dealt.
NOFR	NoFraction	No fractional shares are allowed.
PROR	ProRate	In case of a partial fill, pro-rate the allocations.

Code	Name	Definition
RDDN	RoundDown	Round down to the nearest whole number.
RDUP	RoundUp	Round up to the nearest whole number.
RETA	Retain	Indicates that fractional value should be retained; no rounding.
SPEC	Specific	Pre-allocate according to the amounts shown in a linked allocation instruction.
SSTD	Standard	Indicates that if the fraction is greater than or equal to 0.5 of the value should be rounded up; otherwise rounded down.
STAN	RoundToNearest	If the fraction is greater than or equal to 0.5 of the resulting security then round up, else round down.
TALK	DiscussFirst	Do not pro-rate; discuss first.
UKWN	Unknown	Characteristics of the disposition of fractions are unknown.

Is restricted by

"FractionDispositionType12Code" on page 149

5.46 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.

Note: this identifier also supports the new version of the standard, which was published in 2021 (ISO 6166:2021) as there is no update in the pattern.

Type: IdentifierSet

Format

pattern [A-Z]{2,2}[A-Z0-9]{9,9}[0-9]{1,1}

Used in element(s)

"ISIN" on page 108

5.47 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

Used in element(s)

"DTCEarliestPaymentDate" on page 39, "DTCExitDate" on page 35, "DTCExtendedCutOffDate" on page 34, "DTCLastDayForEarlyRedemption" on page 33, "DTCTimePositionCaptureDate" on page 34, "Date" on page 69, "DateDeclaredWorthless" on page 34, "DeleteWorthlessSecurityDate" on page 35, "EffectiveDateByExchange" on page 34, "NewYorkCutOffDate" on page 34, "RightsDistributionAsOfDate" on page 35, "RightsDistributionDate" on page 35, "SubscriptionBeginDate" on page 35, "TimingDate" on page 35

5.48 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

Used in element(s)

"CreateDateAndTime" on page 42, "DateTime" on page 69, "UpdateDateAndTime" on page 43

5.49 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

fractionDigits	5
minInclusive	0
totalDigits	18

Used in element(s)

"AmortisedValue" on page 80, "FaceAmount" on page 80

5.50 InstructionLockoutType1Code

Definition: Specify the type of blocking when instructions are temporarily blocked for an event.

Type: CodeSet

Code	Name	Definition
MANL	ManualLocked	Event is locked out manually for instruction processing. This relates to conversions, warrants and put events.
NOTL	NotLocked	Event is not locked out manually for instruction processing. This relates to conversions, warrants and put events.
SYSL	SystemicLocked	Event is locked out systemically for instruction processing. This relates to conversion or warrant events due to an "out of town" record date on the disbursed security.

Used in element(s)

"DTCInstructionLockoutIndicator" on page 66

Restricts

"InstructionLockoutTypeCode" on page 152

5.51 InstructionLockoutTypeCode

Definition: Specify the type of blocking when instructions are temporarily blocked for an event.

Type: CodeSet

Code	Name	Definition
MANL	ManualLocked	Event is locked out manually for instruction processing. This relates to conversions, warrants and put events.
NOTL	NotLocked	Event is not locked out manually for instruction processing. This relates to conversions, warrants and put events.
SYSL	SystemicLocked	Event is locked out systemically for instruction processing. This relates to conversion or warrant events due to an "out of town" record date on the disbursed security.

Is restricted by

"InstructionLockoutType1Code" on page 152

5.52 Max10NumericText

Definition: Specifies a numeric string with a maximum length of 10 digits.

Type: Text

Format

pattern	[0-9]{1,10}
---------	-------------

Used in element(s)

"RedemptionIdentification" on page 41

5.53 Max140Text

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

Type: Text

Format

maxLength	140
minLength	1

Used in element(s)

"DeclaredDisbursedSecurityDescription" on page 75

5.54 Max15AlphaNumericText

Definition: Specifies an alphanumeric string with a maximum length of 15 characters.

Type: Text

Format

maxLength	15
minLength	1
pattern	[a-zA-Z0-9]{1,15}

Used in element(s)

"CertificateNumber" on page 58

5.55 Max16Text

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

Type: Text

Format

maxLength	16
minLength	1

Used in element(s)

"BuildingNumber" on page 97, "PostCode" on page 97, "Suffix" on page 85

5.56 Max1Number

Definition: Number (max 9) of objects represented as an integer.

Type: Quantity

Format

fractionDigits	0
totalDigits	1

Used in element(s)

"ConditionNumber" on page 84

5.57 Max256Text

Definition: Specifies a character string with a maximum length of 256 characters.

Type: Text

Format

maxLength	256
minLength	1

Used in element(s)

"AgentEmailAddress" on page 91, "AgentEmailAddress" on page 94, "EmailAddress" on page 32

5.58 Max2NumericText

Definition: Specifies a numeric string with a maximum length of 2 digits.

Type: Text

Format

pattern	[0-9]{1,2}
---------	------------

Used in element(s)

"Identification" on page 109, "NumberOfConditions" on page 48

5.59 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

fractionDigits	29
----------------	----

totalDigits	30
-------------	----

Used in element(s)

"DigitalTokenUnit" on page 81

5.60 Max350Text

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

Type: Text

Format

maxLength	350
minLength	1

Used in element(s)

"Name" on page 83, "PlaceAndName" on page 26, "PlaceAndName" on page 33, "PlaceAndName" on page 36, "PlaceAndName" on page 40, "PlaceAndName" on page 42, "PlaceAndName" on page 44, "PlaceAndName" on page 51, "PlaceAndName" on page 52, "PlaceAndName" on page 52, "PlaceAndName" on page 53, "PlaceAndName" on page 54, "PlaceAndName" on page 57, "PlaceAndName" on page 60, "PlaceAndName" on page 73, "PlaceAndName" on page 76, "PlaceAndName" on page 81, "PlaceAndName" on page 89, "PlaceAndName" on page 93, "PlaceAndName" on page 103

5.61 Max35Text

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

Type: Text

Format

maxLength	35
minLength	1

Used in element(s)

"CountrySubDivision" on page 97, "Description" on page 109, "GivenName" on page 31, "Name" on page 31, "Role" on page 32, "TickerSymbol" on page 77, "TownName" on page 97

5.62 Max3Number

Definition: Number (max 999) of objects represented as an integer.

Type: Quantity

Format

fractionDigits	0
totalDigits	3

Rules**R2 NumberRule**

If Number is negative, then Sign must be present.

Error handling: Undefined

Used in element(s)

"CutOffDays" on page 61, "InterestAccruedNumberOfDays" on page 31

5.63 Max3Text

Definition: Specifies a character string with a maximum length of 3 characters.

Type: Text

Format

maxLength	3
minLength	1

Used in element(s)

"DTCPayMethod" on page 26, "DTCPayMethod" on page 103, "DTCPayOrder" on page 26, "DTCPay-Order" on page 103

5.64 Max4AlphaNumericText

Definition: Specifies an alphanumeric string with a maximum length of 4 characters.

Type: Text

Format

maxLength	4
minLength	1
pattern	[a-zA-Z0-9]{1,4}

Used in element(s)

"CertificatePrefix" on page 59, "Issuer" on page 82, "SchemeName" on page 82

5.65 Max50Text

Definition: Specifies a character string with a maximum length of 50 characters.

Type: Text

Format

maxLength	50
minLength	1

Used in element(s)

"DIVANNSecurityDescription" on page 78

5.66 Max70Text

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

Type: Text

Format

maxLength	70
minLength	1

Used in element(s)

"AddressLine" on page 96, "StreetName" on page 97

5.67 Max8Text

Definition: Specifies a character string with a maximum length of 8 characters.

Type: Text

Format

maxLength	8
minLength	1

Used in element(s)

"AgentIdentification" on page 90, "AgentIdentification" on page 93

5.68 NamePrefix1Code

Definition: Specifies the terms used to formally address a person.

Type: CodeSet

Code	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.

Used in element(s)

"NamePrefix" on page 31

Restricts

"NamePrefixCode" on page 158

5.69 NamePrefixCode

Definition: Specifies the terms used to formally address a person.

Type: CodeSet

Code	Name	Definition
DOCT	Doctor	Title of the person is Doctor or Dr.
MADM	Madam	Title of the person is Madam.
MIKS	GenderNeutral	Title of the person is gender neutral (Mx).
MISS	Miss	Title of the person is Miss.
MIST	Mister	Title of the person is Mister or Mr.

Is restricted by

"NamePrefix1Code" on page 157

5.70 NoticeType1Code

Definition: Specifies DTCC (The Depository Trust and Clearing Corporation) defined notice type.

Type: CodeSet

Code	Name	Definition
CEDE	CedeAndCo	Notice is specific to the securities registered in DTC's (The Depository Trust Company) nominee name.
UNVL	Universal	Notice is universal.

Used in element(s)

"NoticeType" on page 61

Restricts

"NoticeTypeCode" on page 158

5.71 NoticeTypeCode

Definition: Specifies DTCC (The Depository Trust and Clearing Corporation) defined notice type.

Type: CodeSet

Code	Name	Definition
CEDE	CedeAndCo	Notice is specific to the securities registered in DTC's (The Depository Trust Company) nominee name.
UNVL	Universal	Notice is universal.

Is restricted by

"NoticeType1Code" on page 158

5.72 OversubscriptionType1Code

Definition: Specifies the oversubscription type.

Type: CodeSet

Code	Name	Definition
LTDB	LimitedByQuantityOrPercentage	The subscription is limited by quantity or percentage.
NONE	NoOversubscription	No oversubscription is allowed.
UNLD	Unlimited	Unlimited oversubscription.

Used in element(s)

"OversubscriptionType" on page 62

Restricts

"OversubscriptionTypeCode" on page 159

5.73 OversubscriptionTypeCode

Definition: Specifies the oversubscription type.

Type: CodeSet

Code	Name	Definition
LTDB	LimitedByQuantityOrPercentage	The subscription is limited by quantity or percentage.
NONE	NoOversubscription	No oversubscription is allowed.
UNLD	Unlimited	Unlimited oversubscription.

Is restricted by

"OversubscriptionType1Code" on page 159

5.74 ParentCurrencyCode

Definition: Code allocated to a currency, by a maintenance agency, under an international identification scheme as described in the latest edition of the international standard ISO 4217 "Codes for the representation of currencies and funds". Valid currency codes are registered with the ISO 4217 Maintenance Agency, and consist of three contiguous letters.

Type: CodeSet

Format

pattern [A-Z]{3,3}

Is restricted by

"ActiveCurrencyCode" on page 112

5.75 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

fractionDigits 10

totalDigits 11

Used in element(s)

"DeferredInterestRate" on page 58

5.76 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}

Used in element(s)

"AgentTelephoneNumber" on page 90, "AgentTelephoneNumber" on page 93, "FaxNumber" on page 32, "PhoneNumber" on page 32

5.77 PriceValueType10Code

Definition: Specifies the value of a price.

Type: CodeSet

Code	Name	Definition
UKWN	Unknown	Price is unknown by the sender or has not been established.

Used in element(s)

"NotSpecifiedPrice" on page 98

Restricts

"PriceValueTypeCode" on page 160

5.78 PriceValueTypeCode

Definition: Price will not be paid.

Type: CodeSet

Code	Name	Definition
ABSO	Absolute	Price is expressed as absolute.
ACTU	ActualAmount	Price expressed as a currency and amount per unit or per share.
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.
FICT	FixedCabinetTrade	Cabinet trades are used to indicate prices that trade at a price lower than that available on an exchange and they can be fixed or variable (primarily used for listed futures and options).
NEGA	NegativeActualAmount	Price must be interpreted as a negative amount of currency per unit or per share.
NILP	NilPayment	Price will not be paid.
OPEN	OpenDated	Price has not been established.
PARV	Par	Price is the face amount.
PEUN	PerUnit	Price expressed per unit.
PRCT	Percentage	Price expressed as a percentage of par.
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.
SPRE	Spread	Difference between a market maker's bid and asked price.
TBSP	ToBeSpecified	Price to be specified by account owner.
TEDP	TEDPrice	Price is expressed as Treasury Euro Dollar price.
TEDY	TEDYield	Price is expressed as Treasury Euro Dollar yield.
UKWN	Unknown	Price is unknown by the sender or has not been established.
UNSP	Unspecified	Price is not required to be specified by account owner.
VACT	VariableCabinetTrade	Cabinet trades are used to indicate prices that trade at a price lower than that available on an exchange and they can be fixed or variable (primarily used for listed futures and options).
YIEL	Yield	Price expressed as a yield.

Is restricted by

"PriceValueType10Code" on page 160

5.79 ProrationReturnQuantityTreatment1Code

Definition: Indicates how prorated instructions will be handled when the prorated entitlement results in less than the minimum denomination.

Type: CodeSet

Code	Name	Definition
ACPT	Accept	Prorated instructions which result in less than the minimum denominations will be accepted in full.
ADJT	Adjust	Prorated instructions which result in less than the minimum denominations will be adjusted up.
REJT	Reject	Prorated instructions which result in less than the minimum denominations will be rejected in full.

Used in element(s)

"ProrationReturnMinimumQuantityTreatment" on page 50

Restricts

"ProrationReturnQuantityTreatmentCode" on page 162

5.80 ProrationReturnQuantityTreatmentCode

Definition: Indicates how prorated instructions will be handled when the prorated entitlement results in less than the minimum denomination.

Type: CodeSet

Code	Name	Definition
ACPT	Accept	Prorated instructions which result in less than the minimum denominations will be accepted in full.
ADJT	Adjust	Prorated instructions which result in less than the minimum denominations will be adjusted up.
REJT	Reject	Prorated instructions which result in less than the minimum denominations will be rejected in full.

Is restricted by

"ProrationReturnQuantityTreatment1Code" on page 162

5.81 Quantity4Code

Definition: Specifies quantity of a financial instrument.

Type: CodeSet

Code	Name	Definition
ANYA	AnyAndAll	Instruction applies to the entire eligible balance of underlying securities.
UKWN	UnknownQuantity	Quantity is unknown by the sender or has not been established.

Used in element(s)

"Code" on page 81

Restricts

"QuantityCode" on page 163

5.82 QuantityCode

Definition: Quantity is unknown by the sender or has not been established.

Type: CodeSet

Code	Name	Definition
ANYA	AnyAndAll	Instruction applies to the entire eligible balance of underlying securities.
OPEN	Open	Quantity has not been established.
QALL	AllSecurities	Instruction applies to the entire eligible balance of underlying securities.
UKWN	UnknownQuantity	Quantity is unknown by the sender or has not been established.

Is restricted by

"Quantity4Code" on page 162

5.83 RateTypeCode

Definition: Any and all rate is sought.

Type: CodeSet

Code	Name	Definition
ANYA	AnyAndAll	Any and all rate is sought.
ATAX	AdditionalTax	Rate used for additional tax that cannot be categorised.
CHAR	Charges	Rate used to calculate the amount of the charges/fees that cannot be categorised.
CINL	CashInLieuOfSecurities	Rate used to calculate the cash disbursement in lieu of a fractional quantity of, for example, equity.
FIXE	Fixed	Rate is fixed.
FORF	Forfeit	No specific repurchase rate applies to the transaction Repo, only a forfeit.

Code	Name	Definition
GRSS	Gross	Cash dividend per equity before deductions or allowances have been made.
IMPU	Imputed	Imputed tax.
INCE	CashIncentive	Rate of the cash premium made available if the securities holder consents or participates to an event, for example, consent fees.
JLID	IssuerDiscretion	Indicates that there will not be a uniform proration rate that applies to all instructions or accounts.
LIDT	LocalTax	Interest liable for interest down payment tax (proportion of gross interest per unit/ interim profits that is not covered by the credit in the interest pool).
NETT	Net	Relates to the netting of settlement instructions.
NILP	NilPayment	Rate will not be paid.
OPEN	Open	Rate has not been established.
PREC	Precompte	Rate is a precompte.
SCHD	Scheduled	Rate of the scheduled payment.
SOFE	Sollicitation	Cash rate made available in an offer in order to encourage participation in the offer.
STAM	StampDuty	Financial instrument has not been stamped and/or duly signed.
STEX	StockExchangeTax	Rate of stock exchange tax.
TAXR	WithholdingTax	Relates to a tax refund from the authorities on the associated corporate action event.
TIER	OneTierTax	Rate is a one tier tax.
TRAN	TransferTax	Transaction has been generated due to transformation following a corporate action.
TRAX	TransactionTax	Rate used to calculate the amount of transaction tax.
TXDF	TaxDeferred	Rate relating to the underlying security for which tax is deferred.
TXFR	TaxFeeAmount	Rate relating to the underlying security which is not taxable.
UKWN	Unknown	Rate is unknown by the sender or has not been established.
USCD	Unscheduled	Rate of the unscheduled payment.
VARI	Variable	Rate is variable.
WITF	WithholdingOfForeignTax	Rate at which the income will be withheld by the jurisdiction in which the income was originally paid, for which relief

Code	Name	Definition
		at source and/or reclaim may be possible.
WITL	WithholdingOfLocalTax	Rate at which the income will be withheld by the jurisdiction in which the account owner is located, for which relief at source and/or reclaim may be possible.

Is restricted by

["RateValueType7Code" on page 165](#)

5.84 RateValueType7Code

Definition: Specifies the value of a rate.

Type: CodeSet

Code	Name	Definition
UKWN	Unknown	Rate is unknown by the sender or has not been established.

Used in element(s)

["NotSpecifiedRate" on page 100](#), ["NotSpecifiedRate" on page 101](#)

Restricts

["RateTypeCode" on page 163](#)

5.85 ReinvestmentIncomeClassification2Code

Definition: Specifies the type of cash proceeds that the holder is eligible to reinvest.

Type: CodeSet

Code	Name	Definition
CAPG	CapitalGains	Cash proceeds being reinvested is classified as capital gains.
CDPS	CashDividendSpecial	Cash proceeds being reinvested is classified as special cash dividend.
DVCA	CashDividend	Cash proceeds being reinvested is classified as cash dividend.
INTR	Interest	Cash proceeds being reinvested is classified as interest.
LTCG	LongTermCapitalGains	Cash proceeds being reinvested is classified as long term capital gains.
PRPL	Principal	Cash proceeds being reinvested is classified as principal.
ROCA	ReturnOfCapital	Cash proceeds being reinvested is classified as return of capital.

Code	Name	Definition
STCG	ShortTermCapitalGains	Cash proceeds being reinvested is classified as short term capital gains.

Used in element(s)

"ReinvestmentIncomeClassification" on page 104

Restricts

"ReinvestmentIncomeClassificationCode" on page 166

5.86 ReinvestmentIncomeClassificationCode

Definition: Specifies the type of cash proceeds that the holder is eligible to reinvest.

Type: CodeSet

Code	Name	Definition
CAPG	CapitalGains	Cash proceeds being reinvested is classified as capital gains.
CDEX	CashDividendTaxExempt	Cash proceeds being reinvested is classified as cash dividend at the exempt rate elected through the DTC (the Depository Trust Company) Foreign Tax Payment service.
CDFV	CashDividendTaxFavorable	Cash proceeds being reinvested is classified as cash dividend at the favourable rate elected through the DTC (the Depository Trust Company) Foreign Tax Payment service.
CDIS	CashDividendOnIncreasedShares	Cash proceeds being reinvested is classified as cash dividend on increased shares.
CDPS	CashDividendSpecial	Cash proceeds being reinvested is classified as special cash dividend.
CDUN	CashDividendTaxUnfavorable	Cash proceeds being reinvested is classified as cash dividend at the unfavourable rate elected through the DTC (the Depository Trust Company) Foreign Tax Payment service.
DVCA	CashDividend	Cash proceeds being reinvested is classified as cash dividend.
INTR	Interest	Cash proceeds being reinvested is classified as interest.
LTCG	LongTermCapitalGains	Cash proceeds being reinvested is classified as long term capital gains.
PRPL	Principal	Cash proceeds being reinvested is classified as principal.
ROCA	ReturnOfCapital	Cash proceeds being reinvested is classified as return of capital.

Code	Name	Definition
STCG	ShortTermCapitalGains	Cash proceeds being reinvested is classified as short term capital gains.

Is restricted by

"ReinvestmentIncomeClassification2Code" on page 165

5.87 RestrictedFINActiveCurrencyAnd13Decimal-Amount

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 must be used with the following XML Attributes:

Attribute	Tag	Datatype
Currency	Ccy	"ActiveCurrencyCode" on page 112

Format

fractionDigits	13
minInclusive	0
totalDigits	14

Used in element(s)

"Amount" on page 23, "Amount1" on page 25, "Amount2" on page 25, "DeclaredCashInLieuPrice" on page 53, "EventCashValue" on page 61, "PriceValue" on page 24, "SubscriptionPrice" on page 52

5.88 RestrictedFINDecimalNumber

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

Type: Quantity

Format

fractionDigits	14
totalDigits	14

Used in element(s)

"Quantity" on page 23, "Quantity1" on page 99, "Quantity2" on page 99, "Unit" on page 79

5.89 RestrictedFINExact2Text

Definition: Specifies a character string with an exact length of 2 characters that must has a pattern XX|TS.

Type: Text

Format

length	2
pattern	XX TS

Used in element(s)

"Proprietary" on page 83

5.90 RestrictedFINImpliedCurrencyAndAmount

Definition: Number of monetary units specified in a currency where the unit of currency is implied by the context and compliant with ISO 4217. The decimal separator is a dot.

Note: a zero amount is considered a positive amount.

Type: Amount

Format

fractionDigits	5
minInclusive	0
totalDigits	14

Used in element(s)

"AmortisedValue" on page 79, "FaceAmount" on page 79

5.91 RestrictedFINXMax140Text

Definition: Specifies a character string with a maximum length of 140 characters limited to character set X, that is, a-z A-Z / - ? : () . , ' + .

Type: Text

Format

maxLength	140
minLength	1
pattern	[0-9a-zA-Z/\-?\:\(\)\.\n\r,\"+]{1,140}

Used in element(s)

"Description" on page 109

5.92 RestrictedFINXMax31Text

Definition: Specifies a character string with a maximum length of 31 characters limited to character set X, that is, a-z A-Z / - ? : () . , ' + .

Type: Text

Format

maxLength	31
minLength	1
pattern	[0-9a-zA-Z/\-?\:\(\)\.\',\+\]{1,31}

Used in element(s)

["Identification" on page 85](#)

5.93 RestrictedFINXMax520Text

Definition: Specifies a character string with a maximum length of 140 characters limited to character set X, that is, a-z A-Z / - ? : () . , ' + .

Type: Text

Format

maxLength	520
minLength	1
pattern	[0-9a-zA-Z/\-?\:\(\)\.\n\r,\'+]{1,520}

Used in element(s)

["ConditionText" on page 85](#)

5.94 SecuritiesExitReason1Code

Definition: Specifies the reason for DTC (The Depository Trust Company) to exit the shares.

Type: CodeSet

Code	Name	Definition
NTRN	NonTransferable	Shares are non transferable.
OTHR	Other	Other reason.
REST	Restricted	Shares are restricted.

Used in element(s)

["DTCExitExplanationIndicator" on page 104](#)

Restricts

["SecuritiesExitReasonCode" on page 169](#)

5.95 SecuritiesExitReasonCode

Definition: Specifies the reason for DTC (The Depository Trust Company) to exit the shares.

Type: CodeSet

Code	Name	Definition
NTRN	NonTransferable	Shares are non transferable.
OTHR	Other	Other reason.
REST	Restricted	Shares are restricted.

Is restricted by

"SecuritiesExitReason1Code" on page 169

5.96 YesNoIndicator

Definition: Indicates a "Yes" or "No" type of answer for an element.

Type: Indicator

Meaning When True: Yes

Meaning When False: No

Used in element(s)

"AssetServicerProcessingFlag" on page 41, "BackEndOddLotQuantityFlag" on page 46, "ChargeFlag" on page 104, "ConditionRequiredFlag" on page 85, "ConditionalPaymentApplicableFlag" on page 62, "DTC CustodyEligibleFlag" on page 63, "DTCFCPElectionFlag" on page 41, "DTCForeignTaxElectionFlag" on page 68, "DTCReorganisationCustodyEligibleFlag" on page 63, "DTCReorganisationDepositEligibleFlag" on page 64, "DTCSecurityTransferableFlag" on page 73, "DefaultOptionFlag" on page 44, "DissenterRightsApplicableFlag" on page 65, "EstimatedPriceFlag" on page 105, "EstimatedRateFlag" on page 26, "EstimatedRateFlag" on page 55, "ForeignIssueFlag" on page 78, "FrontEndOddLotQuantityFlag" on page 46, "FullConditionFlag" on page 47, "InstructionMessagingEligibilityFlag" on page 40, "MoneyMarketInstrumentFlag" on page 79, "NRATaxReportableFlag" on page 27, "NonExemptAllowedIndicator" on page 66, "OptionalDividendSupplementaryDataRequiredFlag" on page 45, "OversubscriptionChargeFlag" on page 45, "ProtectChargeFlag" on page 27, "ProtectChargeFlag" on page 45, "ProtectChargeFlag" on page 104, "RightsOversubscriptionFlag" on page 65, "RightsRoundUpPrivilegeFlag" on page 65, "RightsTransferableFlag" on page 65, "SecurityEligibilityIndicator" on page 77, "SolicitationDealerFeeFlag" on page 63, "StepUpChargeFlag" on page 45, "StepUpPrivilegeFlag" on page 64, "SubscriptionChargeFlag" on page 46, "SurrenderSharesToAgentFlag" on page 64

Legal Notices

Copyright

S.W.I.F.T. SC © 2026. All rights reserved.

This material is a component of MyStandards, the Swift collaborative Web application used to manage standards definitions and industry usage. It can only be used and distributed in accordance with MyStandards Terms of Use.

Unless otherwise agreed in writing with S.W.I.F.T. SC, you have no right to:

- authorise external end users to use this component for other purposes than their internal use.
- remove, alter, cover, obfuscate or cancel from view any copyright or other proprietary rights notices appearing in this physical medium.
- re-sell or authorise another party e.g. software and service providers, to re-sell this component.

Confidentiality

This publication may contain Swift or third-party confidential information. Only disclose it outside your organisation in accordance with MyStandards Terms of Use and your related license rights.

This component is provided 'AS IS'. Swift does not give and excludes any express or implied warranties with respect to this component such as but not limited to any guarantee as to its quality, supply or availability.

Any and all rights, including title, ownership rights, copyright, trademark, patents, and any other intellectual property rights of whatever nature in this component will remain the exclusive property of Swift or its licensors.

Trademarks and Patents

Swift is the trade name of S.W.I.F.T. SC. The following are registered trademarks of Swift: 3SKey, Innotribe, MyStandards, Sibos, Swift, SwiftNet, the Standards Forum logo, the Swift logo, Swift GPI with logo, the Swift GPI logo, and UETR. Other product, service, or company names in this publication are trade names, trademarks, or registered trademarks of their respective owners.