

Usage Guideline

Corporate Action Instruction Statement - Report Extension supl.031.001.06

DTCC - US - CA - EDS Instruction Processing - SR 2023

This document describes a usage guideline restricting the base message **MX supl.031.001.06**. You can also consult [this information online](#).

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

01 March 2023

Table of Contents

Message Functionality 3

1 Restriction summary 4

2 Structure 5

3 Message Building Blocks 6

4 Message Components 9

5 Message Datatypes 23

Legal Notices 34

Message Functionality

Overview

The DTCCCASTSD1 message extends ISO Corporate Action Instruction Statement Report message with DTCC corporate action elements not covered in the standard message.

This CAST extension message will be used for Reorganization Events to display Instruction or Protect Instruction details relating to the Instructed Balance details in the base message.

Outline

The DTCC - US - CA - EDS Instruction Processing - SR 2023 / Corporate Action Instruction Statement Report Extension suppl.031.001.06 message is composed of 4 building blocks

a. EventBalanceDetails

Information to be extended as supplementary data to corporate action balance details at event level.

b. TotalInstructedBalanceOptionBalanceDetails

Information to be extended as supplementary data to corporate action balance details at option level.

c. TotalInstructedBalanceOptionInstructionDetails

Information to be extended as supplementary data to corporate action balance details at option instruction details level. Option level instruction details are referenced by unique instruction identification, instruction date, quantity and status of instruction.

d. TotalInstructedBalanceOptionProtectInstructionDetails







Information to be extended as supplementary data to corporate action balance details at option protect instruction details level.







1 Restriction summary

This Usage Guideline restricts the supl.031.001.06 message.

| Restriction Type | See page |
|---------------------|--|
| Removed elements | 6, 7, 8, 13, 13, 14, 18, 18, 18, 18, 18, 18, 18, 19, 19, 23, 24, 24, 24, 24, 25, 25, 25, 25, 25, 26, 26, 26 |
| Make mandatory | n.a. |
| Reduce Multiplicity | n.a. |
| Ignore | n.a. |
| Text rules | n.a. |
| Conditional rules | n.a. |
| Formal rules | n.a. |
| Fixed values | n.a. |
| Truncates | n.a. |
| Comments | n.a. |
| Annotations | n.a. |
| Changed datatypes | n.a. |
| Extensions | n.a. |
| Synonyms | n.a. |

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 |
|-------|--|--------------------------------|----|---------|---|------|
| | DTCCCASTSD1V06 | <DTCCCASTSD1> | | [1..1] | | |
| | EventBalanceDetails | <EvtBalDtls> | | [0..1] |  | 6 |
| | PlaceAndName | <PlcAndNm> | | [0..1] | | 9 |
| | TotalUncoveredProtectBalance | <TtlUcvrdPrctBal> | | [0..1] | | 9 |
| | TotalInstructedBalanceOptionBalanceDetails | <TtlInstdBalOptnBalDtls> | | [0..*] |  | 6 |
| | PlaceAndName | <PlcAndNm> | | [0..1] | | 10 |
| | OptionNumber | <OptnNb> | | [1..1] | | 10 |
| | OptionUncoveredProtectBalance | <OptnUcvrdPrctBal> | | [0..1] | | 10 |
| | OptionOversubscriptionQuantity | <OptnOvrbcptQty> | | [0..1] | | 11 |
| | OptionUnacceptedBalance | <OptnUaccptdBal> | | [0..1] | | 11 |
| | TotalInstructedBalanceOptionInstructionDetails | <TtlInstdBalOptnInstrDtls> | | [0..*] | | 7 |
| | PlaceAndName | <PlcAndNm> | | [0..1] | | 12 |
| | OptionNumber | <OptnNb> | | [1..1] | | 12 |
| | ProtectIdentification | <PrctId> | | [0..1] |  | 12 |
| | TransactionContraCUSIP | <TxContraCUSIP> | | [0..1] |  | 13 |
| | TransactionIdentificationOversubscriptionQuantity | <TxIdOvrbcptQty> | | [0..1] |  | 13 |
| | TransactionIdentificationStatus | <TxIdSts> | | [1..1] | | 14 |
| | TaxCategory | <TaxCtgy> | | [0..99] | | 14 |
| | TotalInstructedBalanceOptionProtectInstructionDetails | <TtlInstdBalOptnPrctInstrDtls> | | [0..*] |  | 7 |
| | PlaceAndName | <PlcAndNm> | | [0..1] | | 15 |
| | OptionNumber | <OptnNb> | | [1..1] | | 15 |
| | ProtectIdentification | <PrctId> | | [0..1] | | 15 |
| | ProtectSafekeepingAccount | <PrctSfkgAcct> | | [0..1] | | 16 |
| | ProtectIdentificationUncoveredQuantity | <PrctIdUcvrdQty> | | [0..1] | | 16 |
| | ProtectIdentificationOversubscriptionQuantity | <PrctIdOvrbcptQty> | | [0..1] | | 16 |
| | ProtectIdentificationStatus | <PrctIdSts> | | [0..1] | | 16 |

3 Message Building Blocks

Note The following chapter identifies the building blocks of the DTCC - US - CA - EDS Instruction Processing - SR 2023 / Corporate Action Instruction Statement Report Extension suppl.031.001.06 message definition.

3.1 EventBalanceDetails

XML Tag: EvtBalDtls

Presence: [0..1]

Definition: Information to be extended as supplementary data to corporate action balance details at event level.

The **EvtBalDtls** block contains the following elements (see datatype "CorporateActionBalanceSD5" on page 9 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] | | 9 |
| | TotalUncoveredProtectBalance | <TtlUcvrdPrctBal> | | [0..1] | | 9 |

Usage Guideline details

- This element(suppl.031.001.06/EventBalanceDetails) is removed.

3.2 TotalInstructedBalanceOptionBalanceDetails

XML Tag: TtlInstdBalOptnBalDtls

Presence: [0..*]

Definition: Information to be extended as supplementary data to corporate action balance details at option level.

The **TtlInstdBalOptnBalDtls** block contains the following elements (see datatype "CorporateActionInstructedBalanceOptionBalanceSD3" on page 9 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] | | 10 |
| | OptionNumber | <OptnNb> | | [1..1] | | 10 |
| | OptionUncoveredProtectBalance | <OptnUcvrdPrctBal> | | [0..1] | | 10 |

| Index | Message Item | <XML Tag> | Or | Mult. | Usage Guidelines | Page |
|-------|--------------------------------|------------------|----|--------|------------------|------|
| | OptionOversubscriptionQuantity | <OptnOvrscptQty> | | [0..1] | | 11 |
| | OptionUnacceptedBalance | <OptnUaccptdBal> | | [0..1] | | 11 |

Usage Guideline details

- This element(supl.031.001.06/TotalInstructedBalanceOptionBalanceDetails) is removed.

3.3 TotalInstructedBalanceOptionInstructionDetails

XML Tag: TtlInstdBalOptnInstrDtls

Presence: [0..*]

Definition: Information to be extended as supplementary data to corporate action balance details at option instruction details level. Option level instruction details are referenced by unique instruction identification, instruction date, quantity and status of instruction.

The **TtlInstdBalOptnInstrDtls** block contains the following elements (see datatype "CorporateActionInstructedBalanceOptionInstructionSD5" on page 11 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] | | 12 |
| | OptionNumber | <OptnNb> | | [1..1] | | 12 |
| | ProtectIdentification | <PrctctId> | | [0..1] | ⊘ | 12 |
| | TransactionContraCUSIP | <TxContraCUSIP> | | [0..1] | ⊘ | 13 |
| | TransactionIdentificationOver-subscriptionQuantity | <TxIdOvrscptQty> | | [0..1] | ⊘ | 13 |
| | TransactionIdentificationStatus | <TxIdSts> | | [1..1] | | 14 |
| | TaxCategory | <TaxCtgy> | | [0..99] | | 14 |







3.4 TotalInstructedBalanceOptionProtect-InstructionDetails

XML Tag: TtlInstdBalOptnPrctctInstrDtls

Presence: [0..*]

Definition: Information to be extended as supplementary data to corporate action balance details at option protect instruction details level.

The **TtlInstdBalOptnPrctctInstrDtls** block contains the following elements (see datatype "CorporateActionInstructedBalanceOptionProtectInstructionSD4" on page 14 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] | | 15 |
| | OptionNumber | <OptnNb> | | [1..1] | | 15 |
| | ProtectIdentification | <PrctId> | | [0..1] | | 15 |
| | ProtectSafekeepingAccount | <PrctSfkpgAcct> | | [0..1] | | 16 |
| | ProtectIdentificationUncoveredQuantity | <PrctIdUcvrdQty> | | [0..1] | | 16 |
| | ProtectIdentificationOversubscriptionQuantity | <PrctIdOvrsbcptQty> | | [0..1] | | 16 |
| | ProtectIdentificationStatus | <PrctIdSts> | | [0..1] | | 16 |

Usage Guideline details







- This element(supl.031.001.06/TotalInstructedBalanceOptionProtectInstructionDetails) is removed.

4 Message Components

Note The following chapter identifies the message components.

4.1 CorporateActionBalanceSD5

Definition: Provides additional information regarding corporate action balance 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] | | 9 |
| | TotalUncoveredProtectBalance | <TtlUcvrdPrctctBal> | | [0..1] | | 9 |

Used in element(s)

"EventBalanceDetails" on page 6

4.1.1 PlaceAndName

XML Tag: PlcAndNm

Presence: [0..1]

Definition: Xpath to the element that is being extended.

Datatype: "Max350Text" on page 30







4.1.2 TotalUncoveredProtectBalance

XML Tag: TtlUcvrdPrctctBal

Presence: [0..1]

Definition: Balance of uncovered protect transactions at an event level.







The **TtlUcvrdPrctctBal** block contains the following elements (see datatype "[SignedQuantityFormat9](#)" on page 20 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 |
|-------|-------------------|--------------|----|--------|------------------|------|
| | ShortLongPosition | <ShrtLngPos> | | [1..1] | | 21 |
| | Quantity | <Qty> | | [1..1] | | 21 |

4.2 CorporateActionInstructedBalanceOptionBalanceSD3

Definition: Provides additional information regarding corporate action instructed balance details at option level.

 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] | | 10 |
| | OptionNumber | <OptnNb> | | [1..1] | | 10 |
| | OptionUncoveredProtectBalance | <OptnUcprdPrctBal> | | [0..1] | | 10 |
| | OptionOversubscriptionQuantity | <OptnOvrscptQty> | | [0..1] | | 11 |
| | OptionUnacceptedBalance | <OptnUaccptdBal> | | [0..1] | | 11 |

Used in element(s)

"TotalInstructedBalanceOptionBalanceDetails" on page 6

4.2.1 PlaceAndName

XML Tag: PlcAndNm

Presence: [0..1]

Definition: Xpath to the element that is being extended.

Datatype: "Max350Text" on page 30







4.2.2 OptionNumber

XML Tag: OptnNb

Presence: [1..1]

Definition: Option Number of the extended balances.

The **OptnNb** block contains the following elements (see datatype "OptionNumber1Choice" on page 19 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 |
|-------|--------------|-----------|-----|--------|------------------|------|
| | Number | <Nb> | {Or | [1..1] | | 19 |
| | Code | <Cd> | Or} | [1..1] | | 19 |

4.2.3 OptionUncoveredProtectBalance

XML Tag: OptnUcprdPrctBal

Presence: [0..1]

Definition: Balance of uncovered protect transactions at an option level.

The **OptnUcvrdPrctBal** block contains the following elements (see datatype "[SignedQuantityFormat9](#)" on page 20 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 |
|-------|-------------------|--------------|----|--------|------------------|------|
| | ShortLongPosition | <ShrtLngPos> | | [1..1] | | 21 |
| | Quantity | <Qty> | | [1..1] | | 21 |

4.2.4 OptionOversubscriptionQuantity

XML Tag: OptnOvrbcptQty

Presence: [0..1]

Definition: For rights subscription events, total number of oversubscribed units. When there is an over-subscription privilege, this quantity will be included within the Instructed quantity in the core message.

The **OptnOvrbcptQty** block contains the following elements (see datatype "[SignedQuantityFormat9](#)" on page 20 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 |
|-------|-------------------|--------------|----|--------|------------------|------|
| | ShortLongPosition | <ShrtLngPos> | | [1..1] | | 21 |
| | Quantity | <Qty> | | [1..1] | | 21 |

4.2.5 OptionUnacceptedBalance

XML Tag: OptnUaccptdBal

Presence: [0..1]

Definition: For election merger events, the balance that is being moved into another option number for payment due to the proration of the original option.

The **OptnUaccptdBal** block contains the following elements (see datatype "[SignedQuantityFormat9](#)" on page 20 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 |
|-------|-------------------|--------------|----|--------|------------------|------|
| | ShortLongPosition | <ShrtLngPos> | | [1..1] | | 21 |
| | Quantity | <Qty> | | [1..1] | | 21 |

4.3 CorporateActionInstructedBalanceOptionInstructionSD5

Definition: Provides additional information regarding corporate action instructed balance details at option level.

🚫 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] | | 12 |
| | OptionNumber | <OptnNb> | | [1..1] | | 12 |
| | ProtectIdentification | <Prtctld> | | [0..1] | 🚫 | 12 |
| | TransactionContraCUSIP | <TxContraCUSIP> | | [0..1] | 🚫 | 13 |
| | TransactionIdentificationOver-subscriptionQuantity | <TxldOvrsbcptQty> | | [0..1] | 🚫 | 13 |
| | TransactionIdentificationStatus | <TxldSts> | | [1..1] | | 14 |
| | TaxCategory | <TaxCtgy> | | [0..99] | | 14 |

Used in element(s)

"TotalInstructedBalanceOptionInstructionDetails" on page 7

4.3.1 PlaceAndName

XML Tag: PlcAndNm

Presence: [0..1]

Definition: Xpath to the element that is being extended.

Datatype: "Max350Text" on page 30

4.3.2 OptionNumber

XML Tag: OptnNb

Presence: [1..1]

Definition: Number identifying the available corporate action options.

The **OptnNb** block contains the following elements (see datatype "OptionNumber1Choice" on page 19 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 |
|-------|--------------|-----------|-----|--------|------------------|------|
| | Number | <Nb> | {Or | [1..1] | | 19 |
| | Code | <Cd> | Or} | [1..1] | 🚫 | 19 |

4.3.3 ProtectIdentification

XML Tag: Prtctld

Presence: [0..1]

Definition: Instruction reference number assigned by DTC to the uncovered protect instruction.

Datatype: "Max15Text" on page 29

Usage Guideline details

- This element(supl.031.001.06/TotalInstructedBalanceOptionInstructionDetails/ProtectIdentification) is removed.

4.3.4 TransactionContraCUSIP

XML Tag: TxContraCUSIP

Presence: [0..1]

Definition: Contra CUSIP Identification of the option instruction.

The **TxContraCUSIP** block contains the following elements (see datatype "OtherIdentification2" on page 19 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] | | 20 |
| | Suffix | <Sfx> | | [0..1] | | 20 |
| | Type | <Tp> | | [1..1] | | 20 |

Usage Guideline details

- This element(supl.031.001.06/TotalInstructedBalanceOptionInstructionDetails/TransactionContraCUSIP) is removed.

4.3.5 TransactionIdentificationOversubscriptionQuantity

XML Tag: TxIdOvrbcptQty


Presence: [0..1]

Definition: Quantity relating only to the oversubscription.

The **TxIdOvrbcptQty** block contains the following elements (see datatype "FinancialInstrumentQuantity15Choice" on page 17 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] | | 17 |
| | FaceAmount | <FaceAmt> | Or | [1..1] | | 17 |

| Index | Message Item | <XML Tag> | Or | Mult. | Usage Guidelines | Page |
|-------|----------------|------------|-----|--------|---|------|
| | AmortisedValue | <AmtsdVal> | Or} | [1..1] |  | 17 |

Usage Guideline details

- This element(supl.031.001.06/TotalInstructedBalanceOptionInstructionDetails/TransactionIdentificationOversubscriptionQuantity) is removed.

4.3.6 TransactionIdentificationStatus

XML Tag: TxldSts

Presence: [1..1]

Definition: Status of the instruction.

Datatype: "DTCTInstructionStatus2Code" on page 23







4.3.7 TaxCategory

XML Tag: TaxCtgy

Presence: [0..99]

Definition: Tax category number assigned on the announcement to provide a breakdown at a category level on the inbound instruction to determine tax treatment as required by issuers, their agents, or tax authorities.







The **TaxCtgy** block contains the following elements (see datatype "TaxCategory2" on page 21 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] | | 22 |
| | Identification | <Id> | | [0..1] | | 22 |
| | Quantity | <Qty> | | [0..1] | | 22 |
| | Country | <Ctry> | | [0..1] | | 22 |

4.4 CorporateActionInstructedBalanceOptionProtectionInstructionSD4

Definition: Provides additional information regarding corporate action instructed balance details at option protect level.

 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] | | 15 |
| | OptionNumber | <OptnNb> | | [1..1] | | 15 |
| | ProtectIdentification | <PrctctId> | | [0..1] | | 15 |
| | ProtectSafekeepingAccount | <PrctctSfkpgAcct> | | [0..1] | | 16 |
| | ProtectIdentificationUncoveredQuantity | <PrctctIdUcvrdQty> | | [0..1] | | 16 |
| | ProtectIdentificationOversubscriptionQuantity | <PrctctIdOvrsbcptQty> | | [0..1] | | 16 |
| | ProtectIdentificationStatus | <PrctctIdSts> | | [0..1] | | 16 |

Used in element(s)

"TotalInstructedBalanceOptionProtectInstructionDetails" on page 7

4.4.1 PlaceAndName

XML Tag: PlcAndNm

Presence: [0..1]

Definition: Xpath to the element that is being extended.

Datatype: "Max350Text" on page 30







4.4.2 OptionNumber


XML Tag: OptnNb

Presence: [1..1]

Definition: Option number of the protect instruction.

The **OptnNb** block contains the following elements (see datatype "OptionNumber1Choice" on page 19 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 |
|-------|--------------|-----------|-----|--------|---|------|
| | Number | <Nb> | {Or | [1..1] | | 19 |
| | Code | <Cd> | Or} | [1..1] |  | 19 |

4.4.3 ProtectIdentification

XML Tag: PrctctId

Presence: [0..1]

Definition: Instruction reference number assigned by DTC to the uncovered protect instruction.

Datatype: "Max15Text" on page 29

4.4.4 ProtectSafekeepingAccount

XML Tag: PrtctSfkpgAcct

Presence: [0..1]

Definition: For cover protect instructions whereby one safekeeping account is covering on behalf of another safekeeping account. The protect safekeeping account will be the account which submitted the original protect instruction.

Datatype: "RestrictedFINMax35Text" on page 32

4.4.5 ProtectIdentificationUncoveredQuantity

XML Tag: PrtctldUcvrdQty

Presence: [0..1]

Definition: Quantity of the protect instruction which has not been covered.

The **PrtctldUcvrdQty** block contains the following elements (see datatype "FinancialInstrumentQuantity15Choice" on page 17 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] | | 17 |
| | FaceAmount | <FaceAmt> | Or | [1..1] | | 17 |
| | AmortisedValue | <AmtsdVal> | Or} | [1..1] | 🚫 | 17 |

4.4.6 ProtectIdentificationOversubscriptionQuantity

XML Tag: PrtctldOvrsbcptQty

Presence: [0..1]

Definition: Protect oversubscription quantity.

The **PrtctldOvrsbcptQty** block contains the following elements (see datatype "FinancialInstrumentQuantity15Choice" on page 17 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] | | 17 |
| | FaceAmount | <FaceAmt> | Or | [1..1] | | 17 |
| | AmortisedValue | <AmtsdVal> | Or} | [1..1] | 🚫 | 17 |

4.4.7 ProtectIdentificationStatus

XML Tag: PrtctldSts

Presence: [0..1]

Definition: Status of the protect instruction.

Datatype: ["DTCPProtectInstructionStatus1Code" on page 27](#)

4.5 FinancialInstrumentQuantity15Choice

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] | | 17 |
| | FaceAmount | <FaceAmt> | Or | [1..1] | | 17 |
| | AmortisedValue | <AmtsdVal> | Or} | [1..1] | ⊘ | 17 |

Used in element(s)

["ProtectIdentificationOversubscriptionQuantity" on page 16](#), ["ProtectIdentificationUncoveredQuantity" on page 16](#), ["Quantity" on page 21](#), ["Quantity" on page 22](#), ["TransactionIdentification-OversubscriptionQuantity" on page 13](#)

4.5.1 Unit

XML Tag: Unit

Presence: [1..1]

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

Datatype: ["RestrictedFINDecimalNumber" on page 31](#)

4.5.2 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 31](#)

4.5.3 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 31](#)

Usage Guideline details

- This element(supl.031.001.06/EventBalanceDetails/TotalUncoveredProtectBalance/Quantity/AmortisedValue) is removed.
- This element(supl.031.001.06/TotalInstructedBalanceOptionBalanceDetails/OptionOverSubscriptionQuantity/Quantity/AmortisedValue) is removed.
- This element(supl.031.001.06/TotalInstructedBalanceOptionBalanceDetails/OptionUnacceptedBalance/Quantity/AmortisedValue) is removed.
- This element(supl.031.001.06/TotalInstructedBalanceOptionBalanceDetails/OptionUncoveredProtectBalance/Quantity/AmortisedValue) is removed.
- This element(supl.031.001.06/TotalInstructedBalanceOptionInstructionDetails/TransactionIdentificationOverSubscriptionQuantity/AmortisedValue) is removed.
- This element(supl.031.001.06/TotalInstructedBalanceOptionProtectInstructionDetails/ProtectIdentificationOverSubscriptionQuantity/AmortisedValue) is removed.
- This element(supl.031.001.06/TotalInstructedBalanceOptionProtectInstructionDetails/ProtectIdentificationUncoveredQuantity/AmortisedValue) is removed.

4.6 IdentificationSource4Choice

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

❌ 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] | | 18 |
| | Proprietary | <Prtry> | Or} | [1..1] | | 18 |

Used in element(s)

"Type" on page 20

4.6.1 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 28

4.6.2 Proprietary

XML Tag: Prtry

Presence: [1..1]

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

Datatype: ["RestrictedFINExact2Text" on page 31](#)

4.7 OptionNumber1Choice

Definition: Choice between an number and an option number in a code 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 |
|-------|--------------|-----------|-----|--------|------------------|------|
| | Number | <Nb> | {Or | [1..1] | | 19 |
| | Code | <Cd> | Or} | [1..1] | 🚫 | 19 |

Used in element(s)

["OptionNumber" on page 10](#), ["OptionNumber" on page 15](#), ["OptionNumber" on page 12](#)

4.7.1 Number

XML Tag: Nb

Presence: [1..1]

Definition: Number identifying the available corporate action options.

Datatype: ["Exact3NumericText" on page 28](#)

4.7.2 Code

XML Tag: Cd

Presence: [1..1]

Definition: Code identifying special corporate action option numbers.

Datatype: ["OptionNumber1Code" on page 30](#)

Usage Guideline details

- This element(suppl.031.001.06/TotalInstructedBalanceOptionInstructionDetails/OptionNumber/Code) is removed.
- This element(suppl.031.001.06/TotalInstructedBalanceOptionProtectInstructionDetails/OptionNumber/Code) is removed.

4.8 OtherIdentification2

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

🚫 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] | | 20 |
| | Suffix | <Sfx> | | [0..1] | | 20 |
| | Type | <Tp> | | [1..1] | | 20 |

Used in element(s)

"TransactionContraCUSIP" on page 13

4.8.1 Identification

XML Tag: Id

Presence: [1..1]

Definition: Identification of a security.

Datatype: "RestrictedFINXMax31Text" on page 32

4.8.2 Suffix

XML Tag: Sfx

Presence: [0..1]

Definition: Identifies the suffix of the security identification.

Datatype: "Max16Text" on page 29







4.8.3 Type

XML Tag: Tp

Presence: [1..1]

Definition: Type of the identification.







The **Tp** block contains the following elements (see datatype "IdentificationSource4Choice" on page 18 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] | | 18 |
| | Proprietary | <Prtry> | Or} | [1..1] | | 18 |

4.9 SignedQuantityFormat9

Definition: Signed quantity of security formats.

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

| Index | Message Item | <XML Tag> | Or | Mult. | Usage Guidelines | Page |
|-------|-------------------|--------------|----|--------|------------------|------|
| | ShortLongPosition | <ShrtLngPos> | | [1..1] | | 21 |
| | Quantity | <Qty> | | [1..1] | | 21 |

Used in element(s)

"OptionOversubscriptionQuantity" on page 11, "OptionUnacceptedBalance" on page 11, "OptionUncoveredProtectBalance" on page 10, "TotalUncoveredProtectBalance" on page 9

4.9.1 ShortLongPosition

XML Tag: ShrtLngPos

Presence: [1..1]

Definition: Sign of the quantity of security.

Datatype: "ShortLong1Code" on page 32







4.9.2 Quantity


XML Tag: Qty

Presence: [1..1]

Definition: Quantity of security.







The **Qty** block contains the following elements (see datatype "FinancialInstrumentQuantity15Choice" on page 17 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] | | 17 |
| | FaceAmount | <FaceAmt> | Or | [1..1] | | 17 |
| | AmortisedValue | <AmtsdVal> | Or} | [1..1] |  | 17 |

4.10 TaxCategory2

Definition: Provides identification information about 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 |
|-------|----------------|------------|----|--------|------------------|------|
| | PlaceAndName | <PlcAndNm> | | [0..1] | | 22 |
| | Identification | <Id> | | [0..1] | | 22 |
| | Quantity | <Qty> | | [0..1] | | 22 |

| Index | Message Item | <XML Tag> | Or | Mult. | Usage Guidelines | Page |
|-------|--------------|-----------|----|--------|------------------|------|
| | Country | <Ctry> | | [0..1] | | 22 |

Used in element(s)

"TaxCategory" on page 14

4.10.1 PlaceAndName

XML Tag: PlcAndNm

Presence: [0..1]

Definition: Xpath to the element that is being extended.

Datatype: "Max350Text" on page 30

4.10.2 Identification

XML Tag: Id

Presence: [0..1]

Definition: Tax category identification.

Datatype: "Max2NumericText" on page 30







4.10.3 Quantity

XML Tag: Qty

Presence: [0..1]

Definition: Quantity to be withheld at the tax category level.

The **Qty** block contains the following elements (see datatype "FinancialInstrumentQuantity15Choice" on page 17 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] | | 17 |
| | FaceAmount | <FaceAmt> | Or | [1..1] | | 17 |
| | AmortisedValue | <AmtsdVal> | Or} | [1..1] | | 17 |

4.10.4 Country

XML Tag: Ctry

Presence: [0..1]

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

Datatype: "CountryCode" on page 23

5 Message Datatypes

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

5.1 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

R1 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 22

5.2 DTInstructionStatus2Code

Definition: DTC (The Depository Trust Company) system status code of instruction.

Type: CodeSet

| Code | Name | Definition |
|------|------------------------|--|
| CANC | Cancel | <p>Instruction cancelled by client relating to survivor option event.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(suppl.031.001.06/TotalInstructedBalanceOptionInstructionDetails/TransactionIdentificationStatus/Cancel) is removed. |
| CCAN | ConversionCancellation | Cancellation of conversion instruction upon agent approval only. |

| Code | Name | Definition |
|------|----------------------|---|
| | | <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(supl.031.001.06/TotalInstructedBalanceOptionInstructionDetails/TransactionIdentificationStatus/ConversionCancellation) is removed. |
| DROP | Dropped | <p>Instruction dropped due to insufficient position.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(supl.031.001.06/TotalInstructedBalanceOptionInstructionDetails/TransactionIdentificationStatus/Dropped) is removed. |
| MADE | Made | Fully processed instruction. |
| PDOC | PendingDocumentation | <p>Instruction for CD early redemption awaiting paperwork. Instruction will become MADE when DTC releases instruction upon paperwork.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(supl.031.001.06/TotalInstructedBalanceOptionInstructionDetails/TransactionIdentificationStatus/PendingDocumentation) is removed. |
| PENA | PendingApproval | <p>Instruction pending release or delete from approval function.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(supl.031.001.06/TotalInstructedBalanceOptionInstructionDetails/TransactionIdentificationStatus/PendingApproval) is removed. |
| PEND | Pending | Instruction waiting for update after submission. |

| Code | Name | Definition |
|------|-----------------|--|
| | | <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(supl.031.001.06/TotalInstructedBalanceOptionInstructionDetails/TransactionIdentificationStatus/Pending) is removed. |
| RECY | Recycle | <p>Instruction waiting for position. Instruction will subsequently either become "Made" or "Dropped" by end of day.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(supl.031.001.06/TotalInstructedBalanceOptionInstructionDetails/TransactionIdentificationStatus/Recycle) is removed. |
| REJA | RejectedByAgent | <p>Instruction or withdrawal rejected by agent relating to survivor option event.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(supl.031.001.06/TotalInstructedBalanceOptionInstructionDetails/TransactionIdentificationStatus/RejectedByAgent) is removed. |
| REJT | Reject | <p>Instruction did not pass initial validation.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(supl.031.001.06/TotalInstructedBalanceOptionInstructionDetails/TransactionIdentificationStatus/Reject) is removed. |
| REMD | RecycleMade | <p>Previously recycled transactions have been "MADE" and the system is processing the updates.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(supl.031.001.06/TotalInstructedBalanceOptionInstruction- |

| Code | Name | Definition |
|------|-----------|--|
| | | Details/TransactionIdentificationStatus/RecycleMade) is removed. |
| RESC | Rescinded | <p>Rescinded by Issuer.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(supl.031.001.06/TotalInstructedBalanceOptionInstructionDetails/TransactionIdentificationStatus/Rescinded) is removed. |
| SWUN | Swung | <p>Instruction moved from one client account to another for put events.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(supl.031.001.06/TotalInstructedBalanceOptionInstructionDetails/TransactionIdentificationStatus/Swung) is removed. |
| WITH | Withdrawn | <p>Client instruction withdrawn for events with withdrawal privilege.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(supl.031.001.06/TotalInstructedBalanceOptionInstructionDetails/TransactionIdentificationStatus/Withdrawn) is removed. |

Used in element(s)

"TransactionIdentificationStatus" on page 14

Restricts

"DTCInstructionStatusCode" on page 26

5.3 DTCInstructionStatusCode

Definition: DTC (The Depository Trust Company) system status code of instruction.

Type: CodeSet

| Code | Name | Definition |
|------|------------------------|--|
| CANC | Cancel | Instruction cancelled by client relating to survivor option event. |
| CCAN | ConversionCancellation | Cancellation of conversion instruction upon agent approval only. |
| COVR | FullyCovered | Protect instruction has been fully covered. |
| DROP | Dropped | Instruction dropped due to insufficient position. |
| EDRJ | EditReject | Transaction rejected. |
| EXPI | Expired | Protect instruction has expired. |
| MADE | Made | Fully processed instruction. |
| OPEN | Open | Protect instruction which has not been fully covered. Will include partial covers. |
| PDOC | PendingDocumentation | Instruction for CD early redemption awaiting paperwork. Instruction will become MADE when DTC releases instruction upon paperwork. |
| PENA | PendingApproval | Instruction pending release or delete from approval function. |
| PEND | Pending | Instruction waiting for update after submission. |
| RECY | Recycle | Instruction waiting for position. Instruction will subsequently either become "Made" or "Dropped" by end of day. |
| REJA | RejectedByAgent | Instruction or withdrawal rejected by agent relating to survivor option event. |
| REJT | Reject | Instruction did not pass initial validation. |
| REMD | RecycleMade | Previously recycled transactions have been "MADE" and the system is processing the updates. |
| RESC | Rescinded | Rescinded by Issuer. |
| SWUN | Swung | Instruction moved from one client account to another for put events. |
| WITH | Withdrawn | Client instruction withdrawn for events with withdrawal privilege. |

Is restricted by

"DTCInstructionStatus2Code" on page 23, "DTCProtectInstructionStatus1Code" on page 27

5.4 DTCProtectInstructionStatus1Code

Definition: DTC (The Depository Trust Company) system status code of protect instruction.

Type: CodeSet

| Code | Name | Definition |
|------|-----------------|--|
| COVR | FullyCovered | Protect instruction has been fully covered. |
| EXPI | Expired | Protect instruction has expired. |
| OPEN | Open | Protect instruction which has not been fully covered. Will include partial covers. |
| PENA | PendingApproval | Instruction pending release or delete from approval function. |
| WITH | Withdrawn | Client instruction withdrawn for events with withdrawal privilege. |

Used in element(s)

"ProtectIdentificationStatus" on page 16

Restricts

"DTCTInstructionStatusCode" on page 26

5.5 Exact3NumericText

Definition: Specifies a numeric string with an exact length of 3 digits.

Type: Text

Format

pattern [0-9]{3}

Used in element(s)

"Number" on page 19

5.6 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 18](#)

Restricts

["ExternalFinancialInstrumentIdentificationTypeCode" on page 29](#)

5.7 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 28](#)

5.8 Max15Text

Definition: Specifies a character string with a maximum length of 15 characters.

Type: Text

Format

| | |
|-----------|----|
| maxLength | 15 |
|-----------|----|

| | |
|-----------|---|
| minLength | 1 |
|-----------|---|

Used in element(s)

["ProtectIdentification" on page 15](#), ["ProtectIdentification" on page 12](#)

5.9 Max16Text

Definition: Specifies a character string with a maximum length of 16 characters.

Type: Text

Format

| | |
|-----------|----|
| maxLength | 16 |
|-----------|----|

| | |
|-----------|---|
| minLength | 1 |
|-----------|---|

Used in element(s)

["Suffix" on page 20](#)

5.10 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 22](#)

5.11 Max350Text

Definition: Specifies a character string with a maximum length of 350 characters.

Type: Text

Format

maxLength 350
minLength 1

Used in element(s)

["PlaceAndName" on page 9](#), ["PlaceAndName" on page 22](#), ["PlaceAndName" on page 10](#), ["PlaceAndName" on page 15](#), ["PlaceAndName" on page 12](#)

5.12 OptionNumber1Code

Definition: Code identifying special corporate action option numbers.

Type: CodeSet

| Code | Name | Definition |
|------|-------------|---|
| UNSO | Unsolicited | The corporate action instruction is unsolicited, that is, the instruction has not been preceded by a corporate action notification. |

Used in element(s)

["Code" on page 19](#)

Restricts

["OptionNumberCode" on page 31](#)

5.13 OptionNumberCode

Definition: Code identifying special corporate action option numbers.

Type: CodeSet

| Code | Name | Definition |
|------|-------------|---|
| UNSO | Unsolicited | The corporate action instruction is unsolicited, that is, the instruction has not been preceded by a corporate action notification. |

Is restricted by

"OptionNumber1Code" on page 30

5.14 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)

"Unit" on page 17

5.15 RestrictedFINExact2Text

Definition: Specifies a character string with an exact length of 2 characters that must have a pattern XX|TS.

Type: Text

Format

| | |
|---------|-------|
| length | 2 |
| pattern | XX TS |

Used in element(s)

"Proprietary" on page 18

5.16 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 17, "FaceAmount" on page 17

5.17 RestrictedFINMax35Text

Definition: Specifies a character string with a maximum length of 35 characters. It has a pattern `([^\r]+)+([^\r]+)([^\r]*)` that disables the use of slash "/" at the beginning and end of line and double slash "/" within the line.

Type: Text

Format

| | |
|-----------|--|
| maxLength | 35 |
| minLength | 1 |
| pattern | <code>([^\r]+)+([^\r]+)([^\r]*)</code> |

Used in element(s)

"ProtectSafekeepingAccount" on page 16

5.18 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 | <code>[0-9a-zA-Z/\-?\:\(\)\.,'\+]{1,31}</code> |

Used in element(s)

"Identification" on page 20

5.19 ShortLong1Code

Definition: Specifies whether the securities position is short or long, that is, whether the balance is a negative or positive balance.

Type: CodeSet

| Code | Name | Definition |
|------|-------|--|
| LONG | Long | Position is long, that is, the balance is positive. |
| SHOR | Short | Position is short, that is, the balance is negative. |

Used in element(s)

"ShortLongPosition" on page 21

Restricts

"ShortLongCode" on page 33

5.20 ShortLongCode

Definition: Specifies whether the securities position is short or long, that is, whether the balance is a negative or positive balance.

Type: CodeSet

| Code | Name | Definition |
|------|-------|--|
| LONG | Long | Position is long, that is, the balance is positive. |
| SHOR | Short | Position is short, that is, the balance is negative. |

Is restricted by

"ShortLong1Code" on page 32

Legal Notices

Copyright

SWIFT © 2023. 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 SWIFT SCRL, 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. SCRL. The following are registered trademarks of SWIFT: SWIFT, the SWIFT logo, 3SKey, Innotribe, Sibos, SWIFTNet, MyStandards, SWIFTReady, and Accord. Other product, service, or company names in this publication are trade names, trademarks, or registered trademarks of their respective owners.