

Usage Guideline

Corporate Action Instruction Cancellation Request seev.040.001.13

DTCC - US - CA - EDS Instruction Processing - SR 2025

This document describes a usage guideline restricting the base message **MX seev.040.001.13**. You can also consult [this information online](#).

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18 March 2025

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Message Functionality

Overview

Used to notify DTCC of a withdrawal of an election.

Collection Description

Outline

The DTCC - US - CA - EDS Instruction Processing - SR 2025 / Corporate Action Instruction Cancellation Request seev.040.001.13 message is composed of 8 building blocks







- a. ChangeInstructionIndicator
Indicates that cancelled instruction will be replaced by a new corporate action instruction to be sent later.
- b. InstructionIdentification
Identification of a previously sent instruction document.
- c. CorporateActionGeneralInformation
General information about the corporate action event.
- d. AccountDetails
General information about the safekeeping account and the account owner.
- e. CorporateActionInstruction
Information about the corporate action option.
- f. ProtectInstruction
Provides detailed information on protect and cover protect instructions.
- g. AdditionalInformation
Provides additional information.
- h. SupplementaryData
Additional information that can not be captured in the structured fields and/or any other specific block.

















1 Restriction summary


This Usage Guideline restricts the seev.040.001.13 message.

| Restriction Type | See page |
|---------------------|---|
| Removed elements | 12, 15, 15, 16, 17, 25, 26, 27, 28, 33, 35, 39, 40, 45, 46, 46, 49, 49, 49, 49, 50, 50, 51, 52, 52, 53, 53, 53, 54, 54, 55, 55, 55, 55, 56, 56, 57, 58, 60, 60, 61, 61, 61, 62, 63, 63, 64, 64, 65, 65, 65, 66, 66, 66, 67, 67, 67, 68, 68, 68, 68, 69, 70, 70, 70, 71, 71, 79, 79, 80, 80, 82, 82, 83, 83, 83, 84, 84, 85, 85, 85, 85, 86, 86, 86, 87, 89, 89 |
| Make mandatory | n.a. |
| Reduce Multiplicity | 45 |
| Ignore | 9 |
| Text rules | 9, 9, 10, 14, 18, 19, 19, 20, 22, 23, 23, 24, 27, 27, 32, 32, 35, 58, 86 |
| Conditional rules | n.a. |
| Formal rules | n.a. |
| Fixed values | n.a. |
| Truncates | n.a. |
| Comments | 14, 18, 19, 19, 20, 22, 23, 49, 50, 51, 52, 53, 53, 57, 58, 59, 59, 60, 61, 62, 62, 63, 64, 67, 69, 70, 70, 71, 80, 81, 83, 83, 83, 84, 84, 87, 87, 88, 89 |
| Annotations | n.a. |
| Changed datatypes | 14, 18, 18, 21, 21, 25, 26, 27, 27, 28, 28, 28, 29, 29, 29, 29, 30, 30, 30, 31, 32, 34, 34, 35, 38, 43, 46 |
| Extensions | n.a. |
| Synonyms | 9, 14, 18, 19, 19, 20, 22, 23, 35, 36, 51, 51, 52, 56, 56, 57, 58, 59, 59, 60, 62, 63, 64, 66, 69, 69, 71, 80, 81, 81, 81, 81, 81, 81, 81, 82, 84, 86, 87, 87, 88, 88, 88, 88, 89 |

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>CorporateActionInstructionCancellation-RequestV13</i> | <CorpActnInstrCxlReq> | | [1..1] |  | 9 |
| | ChangeInstructionIndicator | <ChngInstrInd> | | [0..1] |   | 9 |
| | InstructionIdentification | <InstrId> | | [1..1] |  | 9 |
| | Identification | <Id> | | [1..1] |  | 25 |
| | LinkageType | <LkgTp> | | [0..1] |  | 25 |
| | CorporateActionGeneralInformation | <CorpActnGnlInf> | | [1..1] | | 10 |
| | CorporateActionEventIdentification | <CorpActnEvtId> | | [1..1] |  | 18 |
| | OfficialCorporateActionEventIdentification | <OffclCorpActnEvtId> | | [0..1] |  | 18 |
| | EventType | <EvtTp> | | [1..1] |  | 19 |
| | FinancialInstrumentIdentification | <FinInstrmId> | | [0..1] |  | 19 |
| | AccountDetails | <AcctDtls> | | [1..1] | | 10 |
| | SafekeepingAccount | <SfkpgAcct> | | [0..1] |  | 14 |
| | BlockchainAddressOrWallet | <BlckChainAdrOrWlt> | | [0..1] |  | 14 |
| | AccountOwner | <AcctOwnr> | | [0..1] |  | 15 |
| | SafekeepingPlace | <SfkpgPlc> | | [0..1] |  | 15 |
| | CorporateActionInstruction | <CorpActnInstr> | | [1..1] | | 11 |
| | OptionNumber | <OptnNb> | | [1..1] |  | 22 |
| | OptionType | <OptnTp> | | [1..1] |  | 22 |
| | InstructedQuantity | <InstdQty> | | [1..1] |  | 23 |
| | ProtectInstruction | <PrtctInstr> | | [0..1] |  | 11 |
| | TransactionType | <TxTp> | | [1..1] | | 38 |
| | TransactionIdentification | <TxId> | | [0..1] |  | 38 |
| | ProtectDate | <PrtctDt> | | [0..1] | | 38 |
| | AdditionalInformation | <AddtlInf> | | [0..1] | | 12 |
| | AdditionalText | <AddtlTxt> | | [0..*] |  | 20 |
| | PartyContactNarrative | <PtyCtctNrrtv> | | [0..*] |  | 21 |
| | SupplementaryData | <SplmtryData> | | [0..*] | | 12 |

| Index | Message Item | <XML Tag> | Or | Mult. | Usage Guidelines | Page |
|-------|--------------|------------|----|--------|---|------|
| | PlaceAndName | <PlcAndNm> | | [0..1] |  | 46 |
| | Envelope | <Envlp> | | [1..1] | | 46 |

3 ISO 20022 Rules

R1 CorporateActionEventIdentificationRule

If the CorporateActionInstruction message was unsolicited (that is, this instruction has not been preceded by a CorporateActionNotification), then, CorporateActionGeneralInformation/CorporateActionEventIdentification must be NONREF.

Error handling: Undefined

R2 BeneficialOwnerBreakdownRequestRule ✓

If CorporateActionInstruction/OptionType/Code value is BOBD (BeneficialOwnerBreakdownRequest), then CorporateActionGeneralInformation/EventType/Code value must be WTRC (Withholding Tax Relief Certification).

(MT565 NVR C8)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00487
- *Error Text:* Invalid message contents for CorporateActionGeneralInformation/EventType/Code. It must be WTRC.

4 Guidelines

1. **ChangeInstructionIndicatorGuideline**

ChangeInstructionIndicator may only be used if CorporateActionOptionDetails/WithdrawalAllowedIndicator was set to 'false' or '0' (No) in the CorporateActionNotification message previously received and if CorporateActionOptionDetails/ChangeAllowedIndicator was set to 'true' or '1' (Yes) in the CorporateActionNotification message previously received.

5 Message Building Blocks

Note The following chapter identifies the building blocks of the DTCC - US - CA - EDS Instruction Processing - SR 2025 / Corporate Action Instruction Cancellation Request seev.040.001.13 message definition.

Usage Guideline on Root Node

- on seev.040.001.13/
 - **Market Practice Usage Rule:**

Used to notify DTCC of a withdrawal of an election.
- on seev.040.001.13/

Synonym (DTCC): Election Withdrawal

5.1 ChangeInstructionIndicator

XML Tag: ChngInstrInd

Presence: [0..1]

Definition: Indicates that cancelled instruction will be replaced by a new corporate action instruction to be sent later.

Datatype: "YesNoIndicator" on page 104

Usage Guideline details

- This element(seev.040.001.13/ChangeInstructionIndicator) will be ignored by the Receiver.
- on seev.040.001.13/ChangeInstructionIndicator
 - **Market Practice Usage Rule:**

Optional field that can be used when a replacement instruction will follow. DTCC will not process this field. It can be used for Participant's reconciliation processes.

5.2 InstructionIdentification



XML Tag: InstrId

Presence: [1..1]

Definition: Identification of a previously sent instruction document.

The **InstrId** block contains the following elements (see datatype "DocumentIdentification31__1" on page 25 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] |  | 25 |
| | LinkageType | <LkgTp> | | [0..1] |  | 25 |

Usage Guideline details

- on [seev.040.001.13/InstructionIdentification](#)

- **Market Practice Implementation Rules:**

DTCC will match it to the Business Message Identifier of the Instruction that is being cancelled. Message rejected if not matched. Reject code UNLK.







5.3 CorporateActionGeneralInformation





XML Tag: CorpActnGnllnf

Presence: [1..1]

Definition: General information about the corporate action event.

The **CorpActnGnllnf** block contains the following elements (see datatype "[CorporateActionGeneralInformation183 1](#)" 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 |
|-------|--|----------------------|----|--------|---|------|
| | CorporateActionEventIdentification | <CorpActnEvtId> | | [1..1] |  | 18 |
| | OfficialCorporateActionEventIdentification | <OffclCorpActnEvtId> | | [0..1] |  | 18 |
| | EventType | <EvtTp> | | [1..1] |  | 19 |
| | FinancialInstrumentIdentification | <FinInstrmId> | | [0..1] |  | 19 |







5.4 AccountDetails





XML Tag: AcctDtls

Presence: [1..1]

Definition: General information about the safekeeping account and the account owner.

The **AcctDtls** block contains the following elements (see datatype "[AccountIdentification69 1](#)" on page 13 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 |
|-------|---------------------------|----------------------|----|--------|---|------|
| | SafekeepingAccount | <SfkpgAcct> | | [0..1] |  | 14 |
| | BlockChainAddressOrWallet | <BlckChainAdrOrWllt> | | [0..1] |  | 14 |
| | AccountOwner | <AcctOwnr> | | [0..1] |  | 15 |
| | SafekeepingPlace | <SfkpgPlc> | | [0..1] |  | 15 |







5.5 CorporateActionInstruction




XML Tag: CorpActnInstr

Presence: [1..1]

Definition: Information about the corporate action option.

The **CorpActnInstr** block contains the following elements (see datatype "CorporateActionOption200_1" 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 |
|-------|--------------------|------------|----|--------|---|------|
| | OptionNumber | <OptnNb> | | [1..1] |  | 22 |
| | OptionType | <OptnTp> | | [1..1] |  | 22 |
| | InstructedQuantity | <InstdQty> | | [1..1] |  | 23 |







5.6 ProtectInstruction


XML Tag: PrtctInstr

Presence: [0..1]

Definition: Provides detailed information on protect and cover protect instructions.

The **PrtctInstr** block contains the following elements (see datatype "ProtectInstruction3_1" on page 38 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 |
|-------|---------------------------|-----------|----|--------|---|------|
| | TransactionType | <TxTp> | | [1..1] | | 38 |
| | TransactionIdentification | <TxId> | | [0..1] |  | 38 |
| | ProtectDate | <PrtctDt> | | [0..1] | | 38 |

Usage Guideline details

- This element(seev.040.001.13/ProtectInstruction) is removed.

5.7 AdditionalInformation

XML Tag: AddtlInf

Presence: [0..1]

Definition: Provides additional information.

The **AddtlInf** block contains the following elements (see datatype "CorporateActionNarrative10_1" 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 |
|-------|-----------------------|----------------|----|--------|------------------|------|
| | AdditionalText | <AddtlTxt> | | [0..*] | | 20 |
| | PartyContactNarrative | <PtyCtctNrrtv> | | [0..*] | | 21 |

5.8 SupplementaryData

XML Tag: SplmtryData

Presence: [0..*]

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

The **SplmtryData** block contains the following elements (see datatype "SupplementaryData1" on page 46 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] | | 46 |
| | Envelope | <Envlp> | | [1..1] | | 46 |





6 Message Components

Note The following chapter identifies the message components.

6.1 AccountIdentification69__1

Definition: Provides account identification information.

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

| Index | Message Item | <XML Tag> | Or | Mult. | Usage Guidelines | Page |
|-------|---------------------------|----------------------|----|--------|---|------|
| | SafekeepingAccount | <SfkpgAcct> | | [0..1] |  | 14 |
| | BlockChainAddressOrWallet | <BlckChainAdrOrWllt> | | [0..1] |  | 14 |
| | AccountOwner | <AcctOwnr> | | [0..1] |  | 15 |
| | SafekeepingPlace | <SfkpgPlc> | | [0..1] |  | 15 |

Rules

R14 SafekeepingPlaceRule

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

Error handling: Undefined

R15 SafekeepingAccountOrBlockChainAddress1Rule ✓

Either SafekeepingAccount or BlockChainAddressOrWallet must be present but not both.

Error handling:

- *Error severity:* Warning
- *Error Code:* X00553
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

R16 SafekeepingAccountOrBlockChainAddress2Rule ✓

If BlockChainAddressOrWallet is present then SafekeepingAccount must be absent.

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00574
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

R17 SafekeepingAccountOrBlockChainAddress3Rule ✓

If SafekeepingAccount is present, then BlockchainAddressOrWallet must be absent.

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00575
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

Used in element(s)

"AccountDetails" on page 10

6.1.1 SafekeepingAccount

XML Tag: SfkpgAcct

Presence: [0..1]

Definition: Account where financial instruments are maintained.

Datatype: "RestrictedFINXMax35Text" on page 102

Usage Guideline details

- on seev.040.001.13/AccountDetails/SafekeepingAccount

Type changed to: RestrictedFINXMax35Text on page 102

- on seev.040.001.13/AccountDetails/SafekeepingAccount

– **Market Practice Implementation Rule:**

Must be DTCC assigned Participant number. Must have 8 digits including leading zeroes. If participant number is 1 then 00000001, if 35 then 00000035. Field is validated, if fails reject code SAFE.

- on seev.040.001.13/AccountDetails/SafekeepingAccount

Synonym (DTCC): Participant ID

- on seev.040.001.13/AccountDetails/SafekeepingAccount

Comment:

DTCC assigned internal participant identification number.

6.1.2 BlockchainAddressOrWallet

XML Tag: BkChainAdrOrWlt

Presence: [0..1]

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

Datatype: "Max140Text" on page 94

Usage Guideline details

- This element(seev.040.001.13/AccountDetails/BlockChainAddressOrWallet) is removed.







6.1.3 AccountOwner

XML Tag: AcctOwnr

Presence: [0..1]

Definition: Party that legally owns the account.

The **AcctOwnr** block contains the following elements (see datatype "[PartyIdentification127Choice 1](#)" 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 |
|-------|---------------------------|-----------|-----|--------|------------------|------|
| | AnyBIC | <AnyBIC> | {Or | [1..1] | | 36 |
| | ProprietaryIdentification | <PrtryId> | Or} | [1..1] | | 36 |

Usage Guideline details

- This element(seev.040.001.13/AccountDetails/AccountOwner) is removed.







6.1.4 SafekeepingPlace

XML Tag: SfkpgPlc

Presence: [0..1]

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

The **SfkpgPlc** block contains the following elements (see datatype "[SafekeepingPlaceFormat42Choice 1](#)" on [page 40](#) 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> | {Or | [1..1] | | 41 |
| | Country | <Ctry> | Or | [1..1] | | 41 |
| | DigitalLedgerIdentification | <DgtlLdgrId> | Or | [1..1] | | 41 |
| | TypeAndIdentification | <TpAndId> | Or | [1..1] | | 41 |
| | Proprietary | <Prtry> | Or} | [1..1] | | 42 |

Usage Guideline details

- This element(seev.040.001.13/AccountDetails/SafekeepingPlace) is removed.

6.2 CorporateActionEventType112Choice__1

Definition: Choice between formats to express the corporate event type.

🚫 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] | | 16 |
| | Proprietary | <Prtry> | Or} | [1..1] | 🚫 | 16 |

Rules

R8 EventTypeRule

If Code is present, the code OTHR must only be used in case no other corporate action event code is appropriate.

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

If Code is present, the code REDM must only be used when the redemption is decided by the issuer and not by the securities holders.

Error handling: Undefined

Used in element(s)

"EventType" on page 19

6.2.1 Code

XML Tag: Cd

Presence: [1..1]

Definition: Event types expressed as a code.

Datatype: "CorporateActionEventType40Code" on page 48

6.2.2 Proprietary

XML Tag: Prtry

Presence: [1..1]

Definition: Event types expressed as a proprietary code.

The **Prtry** block contains the following elements (see datatype "GenericIdentification30__1" on page 28 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] | | 28 |
| | Issuer | <Issr> | | [1..1] | | 28 |
| | SchemeName | <SchmeNm> | | [0..1] | | 29 |

Usage Guideline details

- This element(seev.040.001.13/CorporateActionGeneralInformation/EventType/Proprietary) is removed.

6.3 CorporateActionGeneralInformation183__1

Definition: General information about the corporate action event.

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

| Index | Message Item | <XML Tag> | Or | Mult. | Usage Guidelines | Page |
|-------|--|----------------------|----|--------|------------------|------|
| | CorporateActionEventIdentification | <CorpActnEvtId> | | [1..1] | | 18 |
| | OfficialCorporateActionEventIdentification | <OffclCorpActnEvtId> | | [0..1] | | 18 |
| | EventType | <EvtTp> | | [1..1] | | 19 |
| | FinancialInstrumentIdentification | <FinInstrmId> | | [0..1] | | 19 |

Rules

R6 EventTypeRule

EventType/Code OTHR must only be used in case no other corporate action event code is appropriate.

EventType/Code CHAN must only be used in case no other corporate action event code is appropriate and only for an event which relates to a change.

EventType/Code REDM must only be used when the redemption is decided by the issuer and not by the securities holders.

Error handling: Undefined

R7 OfficialCorporateActionEventReference

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

available in the SMPG Global Market Practices Part 1 document on www.smpg.info.

Error handling: Undefined

Used in element(s)

["CorporateActionGeneralInformation" on page 10](#)

6.3.1 CorporateActionEventIdentification

XML Tag: CorpActnEvtId

Presence: [1..1]

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

Datatype: ["RestrictedFINXMax16Text" on page 100](#)

Usage Guideline details

- on [seev.040.001.13/CorporateActionGeneralInformation/CorporateActionEventIdentification](#)
Type changed to: [RestrictedFINXMax16Text on page 100](#)
- on [seev.040.001.13/CorporateActionGeneralInformation/CorporateActionEventIdentification](#)
– **Market Practice Implementation Rule:**

Must match what was on the instruction that is being cancelled. If not matched rejected with code EVNM.
- on [seev.040.001.13/CorporateActionGeneralInformation/CorporateActionEventIdentification](#)
Synonym (DTCC): CA ID
- on [seev.040.001.13/CorporateActionGeneralInformation/CorporateActionEventIdentification](#)
Comment:
DTC unique identifier of the corporate action event.

6.3.2 OfficialCorporateActionEventIdentification

XML Tag: OffclCorpActnEvtId

Presence: [0..1]

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

Datatype: ["RestrictedFINXMax16Text" on page 100](#)

Usage Guideline details

- on [seev.040.001.13/CorporateActionGeneralInformation/OfficialCorporateActionEventIdentification](#)
Type changed to: [RestrictedFINXMax16Text on page 100](#)
- on [seev.040.001.13/CorporateActionGeneralInformation/OfficialCorporateActionEventIdentification](#)

– **Market Practice Usage Rule:**

Optional field in ISO schema. Required as mandatory by DTCC. Must match as in original CAIN. If not matched rejected with code EVNM.

- on `seev.040.001.13/CorporateActionGeneralInformation/OfficialCorporateActionEventIdentification`

Synonym (DTCC): Official Reference CA ID

- on `seev.040.001.13/CorporateActionGeneralInformation/OfficialCorporateActionEventIdentification`

Comment:

Official corporate action unique identifier.

6.3.3 EventType

XML Tag: EvtTp

Presence: [1..1]

Definition: Type of corporate action event.

The **EvtTp** block contains the following elements (see datatype "CorporateActionEventType112Choice 1" on page 16 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] | | 16 |
| | Proprietary | <Prtry> | Or} | [1..1] | 🚫 | 16 |

Usage Guideline details

- on `seev.040.001.13/CorporateActionGeneralInformation/EventType`

– **Market Practice Implementation Rule:**

Required. Must match as in original CANO. If not matched rejected with code OTHR with "Incorrect Event Type" in AdditionalReasonInformation.

- on `seev.040.001.13/CorporateActionGeneralInformation/EventType`

Synonym (DTCC): Event Type

- on `seev.040.001.13/CorporateActionGeneralInformation/EventType`

Comment:

Type of corporate action event. (e.g., DRIP, Opt-Out, Optional Dividend).

6.3.4 FinancialInstrumentIdentification

XML Tag: FinInstrmId

Presence: [0..1]

Definition: Identification of the security concerned by the corporate action.

The **FinInstrmId** block contains the following elements (see datatype "SecurityIdentification19_1" on page 43 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] | 🚫 | 45 |
| | OtherIdentification | <OthrId> | | [0..*] | R[0..1] | 45 |
| | Description | <Desc> | | [0..1] | 🚫 ⚠ | 45 |

Usage Guideline details

- on [seev.040.001.13/CorporateActionGeneralInformation/FinancialInstrumentIdentification](#)

– **Market Practice Implementation Rule:**

Optional field. Recommended by SMPG. If provided, it will be validated by the following rules: Only 1 security will be accepted. Only CUSIP will be accepted. Must match with the value is original CANO.

- on [seev.040.001.13/CorporateActionGeneralInformation/FinancialInstrumentIdentification](#)

Synonym (DTCC): Event Security ID and Type

- on [seev.040.001.13/CorporateActionGeneralInformation/FinancialInstrumentIdentification](#)

Comment:

Security identifier and type of the event issue.

6.4 CorporateActionNarrative10__1

Definition: Provides additional information such as the information conditions.

🚫 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 |
|-------|-----------------------|----------------|----|--------|------------------|------|
| | AdditionalText | <AddtlTxt> | | [0..*] | ⚠ | 20 |
| | PartyContactNarrative | <PtyCtctNrrtv> | | [0..*] | ⚠ | 21 |

Used in element(s)

"AdditionalInformation" on page 12

6.4.1 AdditionalText

XML Tag: AddtlTxt

Presence: [0..*]

Definition: Provides additional information or specifies in more detail the content of a message. This field may only be used when the information to be transmitted, cannot be coded.

Datatype: ["RestrictedFINXMax350Text" on page 102](#)

Usage Guideline details

- on [seev.040.001.13/AdditionalInformation/AdditionalText](#)
Type changed to: [RestrictedFINXMax350Text on page 102](#)

6.4.2 PartyContactNarrative

XML Tag: PtyCtctNrrtv

Presence: [0..*]

Definition: Provides additional information regarding the party, for example, the contact unit or person responsible for the transaction identified in the message.

Datatype: ["RestrictedFINXMax350Text" on page 102](#)

Usage Guideline details

- on [seev.040.001.13/AdditionalInformation/PartyContactNarrative](#)
Type changed to: [RestrictedFINXMax350Text on page 102](#)

6.5 CorporateActionOption200__1

Definition: Provides information about the corporate action option.

❌ 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 |
|-------|--------------------|------------|----|--------|---------------------------------------|------|
| | OptionNumber | <OptnNb> | | [1..1] | ⚠ | 22 |
| | OptionType | <OptnTp> | | [1..1] | ⚠ | 22 |
| | InstructedQuantity | <InstdQty> | | [1..1] | ⚠ | 23 |

Rules

R19 OptionNumber1Rule

For differentiation between options, the OptionNumber must be used (preferred rather than the OptionType for example in the case where two or more offers can be described by the same corporate action option code). Therefore, the OptionNumber value must be different for each option.

Error handling: Undefined

R20 OptionNumber2Rule

When the CorporateActionInstruction is unsolicited, that is, the instruction has not been preceded by an Corporate ActionNotification, then OptionNumber/code must be UNSO (unsolicited).

Error handling: Undefined

Used in element(s)

"CorporateActionInstruction" on page 11







6.5.1 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 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 |
|-------|--------------|-----------|-----|--------|---|------|
| | Number | <Nb> | {Or | [1..1] | | 33 |
| | Code | <Cd> | Or} | [1..1] |  | 33 |

Usage Guideline details

- on seev.040.001.13/CorporateActionInstruction/OptionNumber

– Market Practice Implementation Rule:

Required. Must match as in original CANO.

- on seev.040.001.13/CorporateActionInstruction/OptionNumber

Synonym (DTCC): Option Number

- on seev.040.001.13/CorporateActionInstruction/OptionNumber

Comment:

Number that uniquely identifies an option within an event.







6.5.2 OptionType


XML Tag: OptnTp

Presence: [1..1]

Definition: Specifies the corporate action options available to the account owner.

The **OptnTp** block contains the following elements (see datatype "CorporateActionOption40Choice_1" 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 |
|-------|--------------|-----------|-----|--------|---|------|
| | Code | <Cd> | {Or | [1..1] | | 24 |
| | Proprietary | <Prtry> | Or} | [1..1] |  | 24 |

Usage Guideline details

- on **seev.040.001.13/CorporateActionInstruction/OptionType**

- **Market Practice Implementation Rule:**

Required. Must match as in original CANO. If not matched rejected with code OP-TY.

- on **seev.040.001.13/CorporateActionInstruction/OptionType**

Synonym (DTCC): Option Type

- on **seev.040.001.13/CorporateActionInstruction/OptionType**

Comment:

Describes the type of option associated with the event (e.g., retain, sell).







6.5.3 InstructedQuantity



XML Tag: InstdQty

Presence: [1..1]

Definition: Quantity of securities to which this instruction applies.

The **InstdQty** block contains the following elements (see datatype "Quantity52Choice_1" 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 |
|-------|------------------------------|----------------------|-----|--------|---|------|
| | Code | <Cd> | {Or | [1..1] |  | 39 |
| | OriginalAndCurrentFaceAmount | <OrgnlAndCurFaceAmt> | Or | [1..1] |  | 39 |
| | Quantity | <Qty> | Or} | [1..1] | | 40 |

Usage Guideline details

- on **seev.040.001.13/CorporateActionInstruction/InstructedQuantity**

- **Market Practice Implementation Rule:**

1. Quantity must be used for shares and Face Amount for debt per market practice. 2. Face amount will be converted for processing at DTCC. Quantity must be a valid quantity.
3. Debt and non debt security will be verified unit DTCC Security Master applying same rule as when CANO

- on [seev.040.001.13/CorporateActionInstruction/InstructedQuantity](#)

- **Coexistence Rule:**

During ISO 15022 - 20022 coexistence, Quantity length must not be greater than 15, including the decimal point. In this message subset, a restricted data type was implemented to comply with this coexistence rule.

6.6 CorporateActionOption40Choice__1

Definition: Choice between a standard code or a proprietary code to specify the type of the corporate action option.

🚫 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] | | 24 |
| | Proprietary | <Prtry> | Or} | [1..1] | 🚫 | 24 |

Used in element(s)

"OptionType" on page 22

6.6.1 Code

XML Tag: Cd

Presence: [1..1]

Definition: Specifies the corporate action options available to the account owner.

Datatype: "CorporateActionOption16Code" on page 79

6.6.2 Proprietary

XML Tag: Prtry

Presence: [1..1]

Definition: Proprietary identification of the type of corporate action option.

The **Prtry** block contains the following elements (see datatype "GenericIdentification30__1" on page 28 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] | | 28 |
| | Issuer | <Issr> | | [1..1] | ⚠ | 28 |
| | SchemeName | <SchmeNm> | | [0..1] | ⚠ | 29 |



Usage Guideline details

- This element([seev.040.001.13/CorporateActionInstruction/OptionType/Proprietary](#)) is removed.

6.7 DocumentIdentification31__1

Definition: Identification of a document and type of link.

 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] |  | 25 |
| | LinkageType | <LkgTp> | | [0..1] |  | 25 |

Used in element(s)

"InstructionIdentification" on page 9

6.7.1 Identification

XML Tag: Id

Presence: [1..1]

Definition: Identifies the document.

Datatype: ["RestrictedFINXMax16Text" on page 100](#)

Usage Guideline details

- on [seev.040.001.13/InstructionIdentification/Identification](#)
Type changed to: [RestrictedFINXMax16Text on page 100](#)







6.7.2 LinkageType

XML Tag: LkgTp

Presence: [0..1]

Definition: Specifies when this document is to be processed relative to another referred document.

The **LkgTp** block contains the following elements (see datatype ["ProcessingPosition7Choice__1" on page 37](#) 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] | | 37 |

| Index | Message Item | <XML Tag> | Or | Mult. | Usage Guidelines | Page |
|-------|--------------|-----------|-----|--------|------------------|------|
| | Proprietary | <Prtry> | Or} | [1..1] | | 37 |

Usage Guideline details

- This element(seev.040.001.13/InstructionIdentification/LinkageType) is removed.

6.8 FinancialInstrumentQuantity33Choice__1

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] | | 26 |
| | FaceAmount | <FaceAmt> | Or | [1..1] | | 27 |
| | AmortisedValue | <AmtsdVal> | Or | [1..1] | | 27 |
| | DigitalTokenUnit | <DgtlTknUnit> | Or} | [1..1] | | 27 |

Rules

R21 DigitalTokenUnitUsageRule

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

Error handling: Undefined

Used in element(s)

"Quantity" on page 40

6.8.1 Unit

XML Tag: Unit

Presence: [1..1]

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

Datatype: "RestrictedFINDecimalNumber" on page 99

Usage Guideline details

- on seev.040.001.13/CorporateActionInstruction/InstructedQuantity/Quantity/Unit
Type changed to: [RestrictedFINDecimalNumber on page 99](#)
- on seev.040.001.13/CorporateActionInstruction/InstructedQuantity/Quantity/Unit

– **Market Practice Rule:**

Used when the security is not debt.

6.8.2 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 99

Usage Guideline details

- on seev.040.001.13/CorporateActionInstruction/InstructedQuantity/Quantity/FaceAmount
Type changed to: RestrictedFINImpliedCurrencyAndAmount on page 99
- on seev.040.001.13/CorporateActionInstruction/InstructedQuantity/Quantity/FaceAmount
– **Market Practice Rule:**
Used when the security is Debt.

6.8.3 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 99

Usage Guideline details

- This element(seev.040.001.13/CorporateActionInstruction/InstructedQuantity/Quantity/AmortisedValue) is removed.
- on seev.040.001.13/CorporateActionInstruction/InstructedQuantity/Quantity/AmortisedValue
Type changed to: RestrictedFINImpliedCurrencyAndAmount on page 99

6.8.4 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 95

Usage Guideline details

- This element([seev.040.001.13/CorporateActionInstruction/InstructedQuantity/Quantity/Digital-TokenUnit](#)) is removed.

6.9 GenericIdentification30__1

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] | | 28 |
| | Issuer | <Issr> | | [1..1] | | 28 |
| | SchemeName | <SchmeNm> | | [0..1] | | 29 |

Used in element(s)

["Proprietary" on page 37](#),
 ["Proprietary" on page 16](#),
 ["Proprietary" on page 24](#),
 ["Type" on page 31](#)

6.9.1 Identification

XML Tag: Id

Presence: [1..1]

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

Datatype: ["Exact4AlphaNumericText" on page 92](#)

6.9.2 Issuer

XML Tag: Issr

Presence: [1..1]

Definition: Entity that assigns the identification.

Datatype: ["Max4AlphaNumericText" on page 95](#)

Usage Guideline details

- on [seev.040.001.13/AccountDetails/SafekeepingPlace/Proprietary/Type/Issuer](#)
Type changed to: [Max4AlphaNumericText on page 95](#)
- on [seev.040.001.13/CorporateActionGeneralInformation/EventType/Proprietary/Issuer](#)
Type changed to: [Max4AlphaNumericText on page 95](#)
- on [seev.040.001.13/CorporateActionInstruction/OptionType/Proprietary/Issuer](#)

Type changed to: [Max4AlphaNumericText on page 95](#)

- on [seev.040.001.13/InstructionIdentification/LinkageType/Proprietary/Issuer](#)

Type changed to: [Max4AlphaNumericText on page 95](#)

6.9.3 SchemeName

XML Tag: SchmeNm

Presence: [0..1]

Definition: Short textual description of the scheme.

Datatype: ["Max4AlphaNumericText" on page 95](#)

Usage Guideline details

- on [seev.040.001.13/AccountDetails/SafekeepingPlace/Proprietary/Type/SchemeName](#)
Type changed to: [Max4AlphaNumericText on page 95](#)
- on [seev.040.001.13/CorporateActionGeneralInformation/EventType/Proprietary/SchemeName](#)
Type changed to: [Max4AlphaNumericText on page 95](#)
- on [seev.040.001.13/CorporateActionInstruction/OptionType/Proprietary/SchemeName](#)
Type changed to: [Max4AlphaNumericText on page 95](#)
- on [seev.040.001.13/InstructionIdentification/LinkageType/Proprietary/SchemeName](#)
Type changed to: [Max4AlphaNumericText on page 95](#)

6.10 GenericIdentification36__1

Definition: Identification using a proprietary scheme.

🚫 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] | ⚠ | 29 |
| | Issuer | <Issr> | | [1..1] | ⚠ | 30 |
| | SchemeName | <SchmeNm> | | [0..1] | ⚠ | 30 |

Used in element(s)

["ProprietaryIdentification" on page 36](#)

6.10.1 Identification

XML Tag: Id

Presence: [1..1]

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

Datatype: ["RestrictedFINXMax34Text" on page 101](#)

Usage Guideline details

- on [seev.040.001.13/AccountDetails/AccountOwner/ProprietaryIdentification/Identification](#)
Type changed to: [RestrictedFINXMax34Text on page 101](#)

6.10.2 Issuer

XML Tag: Issr

Presence: [1..1]

Definition: Entity that assigns the identification.

Datatype: ["Max4AlphaNumericText" on page 95](#)

Usage Guideline details

- on [seev.040.001.13/AccountDetails/AccountOwner/ProprietaryIdentification/Issuer](#)
Type changed to: [Max4AlphaNumericText on page 95](#)

6.10.3 SchemeName

XML Tag: SchmeNm

Presence: [0..1]

Definition: Short textual description of the scheme.







Datatype: ["Max4AlphaNumericText" on page 95](#)


Usage Guideline details

- on [seev.040.001.13/AccountDetails/AccountOwner/ProprietaryIdentification/SchemeName](#)
Type changed to: [Max4AlphaNumericText on page 95](#)

6.11 GenericIdentification78__1

Definition: Identification expressed as a proprietary type and narrative description.

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

| Index | Message Item | <XML Tag> | Or | Mult. | Usage Guidelines | Page |
|-------|----------------|-----------|----|--------|---|------|
| | Type | <Tp> | | [1..1] | | 31 |
| | Identification | <Id> | | [0..1] |  | 31 |

Used in element(s)

"Proprietary" on page 42







6.11.1 Type



XML Tag: Tp

Presence: [1..1]

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

The **Tp** block contains the following elements (see datatype "[GenericIdentification30__1](#)" on page 28 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] | | 28 |
| | Issuer | <Issr> | | [1..1] |  | 28 |
| | SchemeName | <SchmeNm> | | [0..1] |  | 29 |

6.11.2 Identification

XML Tag: Id

Presence: [0..1]

Definition: Name or number assigned by an entity to enable recognition of that entity, for example, account identifier.







Datatype: "[RestrictedFINXMax30Text](#)" on page 101



Usage Guideline details

- on [seev.040.001.13/AccountDetails/SafekeepingPlace/Proprietary/Identification](#)
Type changed to: [RestrictedFINXMax30Text](#) on page 101

6.12 IdentificationSource3Choice__1

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] |  | 32 |
| | Proprietary | <Prtry> | Or} | [1..1] |  | 32 |

Used in element(s)

["Type" on page 35](#)

6.12.1 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 93](#)

Usage Guideline details

- on [seev.040.001.13/CorporateActionGeneralInformation/FinancialInstrumentIdentification/OtherIdentification/Type/Code](#)

– Financial Instrument Identification Code Rule:

CUSIP must be used.

6.12.2 Proprietary

XML Tag: Prtry

Presence: [1..1]

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

Datatype: ["RestrictedFINExact2Text" on page 99](#)

Usage Guideline details

- on [seev.040.001.13/CorporateActionGeneralInformation/FinancialInstrumentIdentification/OtherIdentification/Type/Proprietary](#)

Type changed to: [RestrictedFINExact2Text on page 99](#)






- on [seev.040.001.13/CorporateActionGeneralInformation/FinancialInstrumentIdentification/OtherIdentification/Type/Proprietary](#)


– Financial Instrument Identification Proprietary Code Rule:


Used when the security identifier type is a Contra CUSIP. Populated with "XX".

6.13 OptionNumber1Choice

Definition: Choice between an number and an option number in a code format.

 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] | | 33 |
| | Code | <Cd> | Or} | [1..1] |  | 33 |

Used in element(s)

["OptionNumber" on page 22](#)

6.13.1 Number

XML Tag: Nb

Presence: [1..1]

Definition: Number identifying the available corporate action options.

Datatype: ["Exact3NumericText" on page 92](#)

6.13.2 Code

XML Tag: Cd

Presence: [1..1]

Definition: Code identifying special corporate action option numbers.






Datatype: ["OptionNumber1Code" on page 95](#)


Usage Guideline details



- This element([seev.040.001.13/CorporateActionInstruction/OptionNumber/Code](#)) is removed.

6.14 OriginalAndCurrentQuantities1__1

Definition: Original and current value of an asset-back 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 |
|-------|----------------|------------|----|--------|---|------|
| | FaceAmount | <FaceAmt> | | [1..1] |  | 33 |
| | AmortisedValue | <AmtsdVal> | | [1..1] |  | 34 |

Used in element(s)

["OriginalAndCurrentFaceAmount" on page 39](#)

6.14.1 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 99

Usage Guideline details

- on seev.040.001.13/CorporateActionInstruction/InstructedQuantity/OriginalAndCurrent-FaceAmount/FaceAmount

Type changed to: RestrictedFINImpliedCurrencyAndAmount on page 99

6.14.2 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 99

Usage Guideline details

- on seev.040.001.13/CorporateActionInstruction/InstructedQuantity/OriginalAndCurrent-FaceAmount/AmortisedValue

Type changed to: RestrictedFINImpliedCurrencyAndAmount on page 99

6.15 OtherIdentification1__1

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] | ⚠ | 34 |
| | Suffix | <Sfx> | | [0..1] | 🚫 | 35 |
| | Type | <Tp> | | [1..1] | ⚠ | 35 |

Used in element(s)

"OtherIdentification" on page 45

6.15.1 Identification

XML Tag: Id

Presence: [1..1]

Definition: Identification of a security.

Datatype: ["RestrictedFINXMax31Text" on page 101](#)

Usage Guideline details

- on [seev.040.001.13/CorporateActionGeneralInformation/FinancialInstrumentIdentification/OtherIdentification/Identification](#)
Type changed to: [RestrictedFINXMax31Text on page 101](#)
- on [seev.040.001.13/CorporateActionGeneralInformation/FinancialInstrumentIdentification/OtherIdentification/Identification](#)
 - Market Practice Implementation Rule:

When the security identifier is not known '999999999' will be used.
- on [seev.040.001.13/CorporateActionGeneralInformation/FinancialInstrumentIdentification/OtherIdentification/Identification](#)
Synonym (DTCC): Event Security ID

6.15.2 Suffix

XML Tag: Sfx

Presence: [0..1]

Definition: Identifies the suffix of the security identification.

Datatype: ["Max16Text" on page 94](#)

Usage Guideline details

- This element([seev.040.001.13/CorporateActionGeneralInformation/FinancialInstrumentIdentification/OtherIdentification/Suffix](#)) is removed.







6.15.3 Type



XML Tag: Tp

Presence: [1..1]

Definition: Type of the identification.

The **Tp** block contains the following elements (see datatype ["IdentificationSource3Choice_1" on page 31](#) 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] |  | 32 |
| | Proprietary | <Prtry> | Or} | [1..1] |  | 32 |







Usage Guideline details

- on [seev.040.001.13/CorporateActionGeneralInformation/FinancialInstrumentIdentification/OtherIdentification/Type](#)

Synonym (DTCC): Event Security ID Type

6.16 PartyIdentification127Choice__1

Definition: Choice of identification of 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 |
|-------|---------------------------|-----------|-----|--------|------------------|------|
| | AnyBIC | <AnyBIC> | {Or | [1..1] | | 36 |
| | ProprietaryIdentification | <PrtryId> | Or} | [1..1] | | 36 |

Used in element(s)

"AccountOwner" on page 15

6.16.1 AnyBIC

XML Tag: AnyBIC

Presence: [1..1]

Definition: Code allocated to a financial or non-financial institution by the ISO 9362 Registration Authority, as described in ISO 9362 "Banking - Banking telecommunication messages - Business identifier code (BIC)".

Datatype: ["AnyBICDec2014Identifier" on page 48](#)







6.16.2 ProprietaryIdentification



XML Tag: PrtryId


Presence: [1..1]

Definition: Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

The **PrtryId** block contains the following elements (see datatype ["GenericIdentification36__1" on page 29](#) 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] |  | 29 |
| | Issuer | <Issr> | | [1..1] |  | 30 |

| Index | Message Item | <XML Tag> | Or | Mult. | Usage Guidelines | Page |
|-------|--------------|-----------|----|--------|---|------|
| | SchemeName | <SchmeNm> | | [0..1] |  | 30 |

6.17 ProcessingPosition7Choice__1

Definition: Choice of format for the processing position.

 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] | | 37 |
| | Proprietary | <Prtry> | Or} | [1..1] | | 37 |

Rules

R5 WithLinkageRule

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

Error handling: Undefined

Used in element(s)

["LinkageType" on page 25](#)

6.17.1 Code

XML Tag: Cd

Presence: [1..1]

Definition: Processing position expressed as an ISO 20022 code.

Datatype: ["ProcessingPosition3Code" on page 96](#)







6.17.2 Proprietary

XML Tag: Prtry

Presence: [1..1]

Definition: Processing position expressed as a proprietary code.

The **Prtry** block contains the following elements (see datatype ["GenericIdentification30__1" on page 28](#) 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] | | 28 |
| | Issuer | <Issr> | | [1..1] | ⚠ | 28 |
| | SchemeName | <SchmeNm> | | [0..1] | ⚠ | 29 |

6.18 ProtectInstruction3__1

Definition: Provides detailed information on protect and cover protect instructions.

🚫 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 |
|-------|---------------------------|-----------|----|--------|------------------|------|
| | TransactionType | <TxTp> | | [1..1] | | 38 |
| | TransactionIdentification | <TxId> | | [0..1] | ⚠ | 38 |
| | ProtectDate | <PrctDt> | | [0..1] | | 38 |

Used in element(s)

["ProtectInstruction" on page 11](#)

6.18.1 TransactionType

XML Tag: TxTp

Presence: [1..1]

Definition: Indicates whether the instruction is a protect or a cover protect instruction.

Datatype: ["ProtectTransactionType3Code" on page 97](#)

6.18.2 TransactionIdentification

XML Tag: TxId

Presence: [0..1]

Definition: Unique reference of the protect transaction assigned by the depository and used for cover protect validation.

Datatype: ["RestrictedFINMax15Text" on page 100](#)

Usage Guideline details

- on [seev.040.001.13/ProtectInstruction/TransactionIdentification](#)
 Type changed to: [RestrictedFINMax15Text on page 100](#)

6.18.3 ProtectDate

XML Tag: PrtctDt

Presence: [0..1]

Definition: Date at which the protect instruction was created and used for cover protect validation.

Datatype: ["ISODate" on page 94](#)

6.19 Quantity52Choice__1

Definition: Choice between different formats of securities 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 |
|-------|------------------------------|----------------------|-----|--------|------------------|------|
| | Code | <Cd> | {Or | [1..1] | | 39 |
| | OriginalAndCurrentFaceAmount | <OrgnlAndCurFaceAmt> | Or | [1..1] | | 39 |
| | Quantity | <Qty> | Or} | [1..1] | | 40 |

Used in element(s)

["InstructedQuantity" on page 23](#)

6.19.1 Code

XML Tag: Cd

Presence: [1..1]

Definition: Standard code to specify quantity of a financial instrument.

Datatype: ["Quantity1Code" on page 97](#)

Usage Guideline details

- This element([seev.040.001.13/CorporateActionInstruction/InstructedQuantity/Code](#)) is removed.

6.19.2 OriginalAndCurrentFaceAmount

XML Tag: OrgnlAndCurFaceAmt

Presence: [1..1]

Definition: Face amount and amortised value of security.

The **OrgnlAndCurFaceAmt** block contains the following elements (see datatype ["OriginalAndCurrentQuantities1__1" on page 33](#) 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 |
|-------|----------------|------------|----|--------|------------------|------|
| | FaceAmount | <FaceAmt> | | [1..1] | ⚠ | 33 |
| | AmortisedValue | <AmtsdVal> | | [1..1] | ⚠ | 34 |

Usage Guideline details

- This element(seev.040.001.13/CorporateActionInstruction/InstructedQuantity/OriginalAndCurrentFaceAmount) is removed.

6.19.3 Quantity

XML Tag: Qty

Presence: [1..1]

Definition: Quantity of financial instrument in units, original face amount or current face amount.

The **Qty** block contains the following elements (see datatype "FinancialInstrumentQuantity33Choice__1" on page 26 for details)

⓪ 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] | ⚠ | 26 |
| | FaceAmount | <FaceAmt> | Or | [1..1] | ⚠ | 27 |
| | AmortisedValue | <AmtsdVal> | Or | [1..1] | ⓧ ⚠ | 27 |
| | DigitalTokenUnit | <DgtlTknUnit> | Or} | [1..1] | ⓪ | 27 |

6.20 SafekeepingPlaceFormat42Choice__1

Definition: Choice of formats for a place of safekeeping.

⓪ 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> | {Or | [1..1] | | 41 |
| | Country | <Ctry> | Or | [1..1] | | 41 |
| | DigitalLedgerIdentification | <DgtlLdgrId> | Or | [1..1] | | 41 |
| | TypeAndIdentification | <TpAndId> | Or | [1..1] | | 41 |
| | Proprietary | <Prtry> | Or} | [1..1] | | 42 |

Used in element(s)

["SafekeepingPlace" on page 15](#)

6.20.1 Identification

XML Tag: Id

Presence: [1..1]

Definition: Place of safekeeping expressed as a code and a narrative description.

The **Id** block contains the following elements (see datatype ["SafekeepingPlaceTypeAndText6__1" on page 43](#) 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 |
|-------|----------------------|--------------|----|--------|---------------------------------------|------|
| | SafekeepingPlaceType | <SfkpgPlcTp> | | [1..1] | | 43 |
| | Identification | <Id> | | [0..1] | ⚠ | 43 |

6.20.2 Country

XML Tag: Ctry

Presence: [1..1]

Definition: Place of safekeeping expressed with a country code.

Datatype: ["CountryCode" on page 91](#)

6.20.3 DigitalLedgerIdentification

XML Tag: DgtlLdgrId

Presence: [1..1]

Definition: Place of safekeeping expressed with a Digital Ledger Identifier. It identifies a digital ledger or distributed ledger system (for example, blockchain or similar platforms).

Datatype: ["DTI2024Identifier" on page 92](#)

6.20.4 TypeAndIdentification

XML Tag: TpAndId

Presence: [1..1]

Definition: Place of safekeeping expressed with a type and identification.

The **TpAndId** block contains the following elements (see datatype ["SafekeepingPlaceTypeAndIdentification1" on page 42](#) 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 |
|-------|----------------------|--------------|----|--------|------------------|------|
| | SafekeepingPlaceType | <SfkpgPlcTp> | | [1..1] | | 42 |
| | Identification | <Id> | | [1..1] | | 42 |







6.20.5 Proprietary


XML Tag: Prtry

Presence: [1..1]

Definition: Place of safekeeping expressed with a propriety identification scheme.







The **Prtry** block contains the following elements (see datatype "GenericIdentification78_1" on page 30 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 |
|-------|----------------|-----------|----|--------|---|------|
| | Type | <Tp> | | [1..1] | | 31 |
| | Identification | <Id> | | [0..1] |  | 31 |

6.21 SafekeepingPlaceTypeAndIdentification1

Definition: Identification of the type of place of safekeeping expressed as a code and a BIC.

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

| Index | Message Item | <XML Tag> | Or | Mult. | Usage Guidelines | Page |
|-------|----------------------|--------------|----|--------|------------------|------|
| | SafekeepingPlaceType | <SfkpgPlcTp> | | [1..1] | | 42 |
| | Identification | <Id> | | [1..1] | | 42 |

Used in element(s)

"TypeAndIdentification" on page 41

6.21.1 SafekeepingPlaceType

XML Tag: SfkpgPlcTp

Presence: [1..1]

Definition: Place of safekeeping as a code.

Datatype: "SafekeepingPlace1Code" on page 102

6.21.2 Identification

XML Tag: Id







Presence: [1..1]


Definition: Place of safekeeping.

Datatype: ["AnyBICDec2014Identifier" on page 48](#)

6.22 SafekeepingPlaceTypeAndText6__1

Definition: Identification of the place of safekeeping expressed as a code and a narrative description.

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

| Index | Message Item | <XML Tag> | Or | Mult. | Usage Guidelines | Page |
|-------|----------------------|--------------|----|--------|---|------|
| | SafekeepingPlaceType | <SfkpgPlcTp> | | [1..1] | | 43 |
| | Identification | <Id> | | [0..1] |  | 43 |

Used in element(s)

["Identification" on page 41](#)

6.22.1 SafekeepingPlaceType

XML Tag: SfkpgPlcTp

Presence: [1..1]

Definition: Place of safekeeping as a code.

Datatype: ["SafekeepingPlace2Code" on page 103](#)

6.22.2 Identification

XML Tag: Id

Presence: [0..1]

Definition: Additional information about the place of safekeeping.







Datatype: ["RestrictedFINXMax30Text" on page 101](#)




Usage Guideline details

- on [seev.040.001.13/AccountDetails/SafekeepingPlace/Identification/Identification](#)
 Type changed to: [RestrictedFINXMax30Text on page 101](#)

6.23 SecurityIdentification19__1

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] |  | 45 |
| | OtherIdentification | <OthrId> | | [0..*] | R[0..1] | 45 |
| | Description | <Desc> | | [0..1] |   | 45 |

Rules

R9 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.

R10 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.

R11 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.

R12 DescriptionUsageRule

Description must be used alone as the last resort.

Error handling: Undefined

R13 ISINGuideline

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

Error handling: Undefined

Used in element(s)

"FinancialInstrumentIdentification" on page 19

6.23.1 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 93](#)

Usage Guideline details

- This element([see v.040.001.13/CorporateActionGeneralInformation/FinancialInstrumentIdentification/ISIN](#)) is removed.







6.23.2 OtherIdentification




XML Tag: OthrId

Presence: [0..*]

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

The **OthrId** block contains the following elements (see datatype ["OtherIdentification1" on page 34](#) 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] |  | 34 |
| | Suffix | <Sfx> | | [0..1] |  | 35 |
| | Type | <Tp> | | [1..1] |  | 35 |

Usage Guideline details

- on [see v.040.001.13/CorporateActionGeneralInformation/FinancialInstrumentIdentification/OtherIdentification](#)

This element has change repeatability, the maximum occurrence has been changed to : 1

6.23.3 Description

XML Tag: Desc

Presence: [0..1]

Definition: Textual description of a security instrument.

Datatype: ["RestrictedFINXMax140Text" on page 100](#)







Usage Guideline details


- This element(seev.040.001.13/CorporateActionGeneralInformation/FinancialInstrumentIdentification/Description) is removed.
- on seev.040.001.13/CorporateActionGeneralInformation/FinancialInstrumentIdentification/Description

Type changed to: [RestrictedFINXMax140Text on page 100](#)

6.24 SupplementaryData1

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

 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] |  | 46 |
| | Envelope | <Envlp> | | [1..1] | | 46 |

Rules

R4 SupplementaryDataRule

This component may not be used without the explicit approval of a SEG and submission to the RA of ISO 20022 compliant structure(s) to be used in the Envelope element.

Error handling: Undefined

Used in element(s)

["SupplementaryData" on page 12](#)

6.24.1 PlaceAndName

XML Tag: PlcAndNm

Presence: [0..1]

Definition: Unambiguous reference to the location where the supplementary data must be inserted in the message instance.

In the case of XML, this is expressed by a valid XPath.

Datatype: ["Max350Text" on page 95](#)

Usage Guideline details

- This element(seev.040.001.13/SupplementaryData/PlaceAndName) is removed.

6.24.2 Envelope

XML Tag: Envp

Presence: [1..1]

Definition: Technical element wrapping the supplementary data.

7 Message Datatypes

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

7.1 AnyBICDec2014Identifier

Definition: Code allocated to a financial or non-financial institution by the ISO 9362 Registration Authority, as described in ISO 9362: 2014 - "Banking - Banking telecommunication messages - Business identifier code (BIC)".

Type: IdentifierSet

Format

pattern [A-Z0-9]{4,4}[A-Z]{2,2}[A-Z0-9]{2,2}([A-Z0-9]{3,3}){0,1}

Rules

R3 AnyBIC ✓

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consists of eight (8) or eleven (11) contiguous characters.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

Used in element(s)

"AnyBIC" on page 36, "Identification" on page 42

7.2 CorporateActionEventType40Code

Definition: Specifies the corporate action event type.

Type: CodeSet

| Code | Name | Definition |
|------|--------------|--|
| ACCU | Accumulation | Funds related event in which the income (for example accumulation units) that accrues during an accounting period is retained within the fund instead of being paid away to investors. The retained income is nonetheless deemed to have been distributed to investors for tax purposes. |

| Code | Name | Definition |
|------|---------------------|---|
| | | <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/Accumulation) is removed. |
| ACTV | ActiveTradingStatus | <p>Trading in the security has commenced or security has been re-activated after a suspension in trading.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/ActiveTradingStatus) is removed. |
| ATTI | Attachment | <p>Combination of different security types to create a unit. Units are usually comprised of warrants and bonds or warrants and equities. Securities may be combined at the request of the security holder or based on market convention.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/Attachment) is removed. |
| BIDS | RepurchaseOffer | <p>Repurchase offer / issuer bid / reverse rights. Offer to existing holders by the issuing company to repurchase its own securities. The objective of the offer is to reduce the number of outstanding securities.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/RepurchaseOffer) is removed. • on seev.040.001.13/CorporateActionGeneralInforma- |

| Code | Name | Definition |
|------|---------------|--|
| | | <p>tion/EventType/Code/RepurchaseOffer</p> <p>Comment: 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.</p> |
| BONU | BonusIssue | <p>Bonus or capitalisation issue. Security holders receive additional assets free of payment from the issuer, in proportion to their holding.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/BonusIssue) is removed. |
| BPUT | PutRedemption | <p>Early redemption of a security at the election of the holder subject to the terms and condition of the issue with no reduction in nominal value.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/PutRedemption) is removed. • on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/PutRedemption <p>Comment: A feature of a bond that entitles the holder to elect to surrender the bond for cash during a predetermined time period, with a predetermined payable date.</p> |
| BRUP | Bankruptcy | <p>Legal status of a company unable to pay creditors. Bankruptcy usually involves a formal court ruling. Securities may become valueless.</p> |

| Code | Name | Definition |
|------|--------------------------|--|
| | | <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/Bankruptcy) is removed. |
| CAPD | CapitalDistribution | <p>Corporate event pays shareholders an amount in cash issued from the capital account. There is no reduction to the face value of a single share (or the share has no par value). The number of circulating shares remains unchanged.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/CapitalDistribution <p>Synonym (DTCC): Return of Capital</p> <ul style="list-style-type: none"> • on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/CapitalDistribution <p>Comment: Distribution of cash resulting from the sale of a capital asset or securities, or any other transaction unrelated to retained earnings. Security holders may have to adjust the 'cost basis' of their holding to account for the payment.</p> |
| CAPG | CapitalGainsDistribution | <p>Event is the distribution of profits resulting from the sale of securities. Shareholders of mutual funds, unit trusts, or SICAVs are recipients of capital gains distributions and are often reinvested in additional shares of the fund.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/CapitalGainsDistribution <p>Synonym (DTCC): Capital Gains Distribution</p> |

| Code | Name | Definition |
|------|--------------------------|---|
| | | <ul style="list-style-type: none"> on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/Capital-GainsDistribution <p>Comment: Distribution of cash that the issuer has determined will be declared as income financed from capital gains and not ordinary income.</p> |
| CAPI | Capitalisation | <p>Increase of the current principal of a debt instrument without increasing the nominal value. It normally arises from the incorporation of due but unpaid interest into the principal. This is commonly done by increasing the pool factor value, for example, capitalisation, and negative amortisation.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/Capitalisation <p>Synonym (DTCC): Principapal</p> |
| CERT | NonUSTEFRADCertification | <p>Non-US beneficial owner certification requirement for exchange of temporary to permanent notes.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/NonUSTEFRADCertification) is removed. |
| CHAN | Change | <p>Information regarding a change further described in the corporate action details.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/Change) is removed. |

| Code | Name | Definition |
|------|-------------------------------|--|
| CLSA | ClassActionProposedSettlement | <p>Situation where interested parties seek restitution for financial loss. The security holder may be offered the opportunity to join a class action proceeding and would need to respond with an instruction.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/ClassActionProposedSettlement) is removed. |
| CONS | Consent | <p>Procedure that aims to obtain consent of holder to a proposal by the issuer or a third party without convening a meeting. For example, consent to change the terms of a bond.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/Consent) is removed. • on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/Consent <p>Comment: Solicitation to security holders for their agreement (consent) to proposed changes in the terms of the security, usually without a formal general meeting. A fee may be paid to the security holder.</p> |
| CONV | Conversion | <p>Conversion of securities (generally convertible bonds or preferred shares) into another form of securities (usually common shares) at a pre-stated price/ratio.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/Conversion) is removed. • on seev.040.001.13/CorporateActionGeneralInforma- |

| Code | Name | Definition |
|------|-----------------|--|
| | | <p>tion/EventType/Code/Conversion</p> <p>Comment: Conversion of securities (generally convertible bonds or preferred shares) into another form of securities (usually common shares) at a pre-stated price or rate.</p> |
| COOP | CompanyOption | <p>Company option may be granted by the company, allowing the holder to take up shares at some future date(s) at a pre arranged price in the company. A company may not grant options which enable the holder to take up unissued shares at a time which is five or more years from the date of the grant. Option holders are not members of a company. They are contingent creditors of a company and hence may, in some instances, be entitled to vote on and be bound by a scheme of arrangement between the creditors and the company. As many options have multiple exercise periods a company option will either lapse or carry on to the next expiry date.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/CompanyOption) is removed. |
| CREV | CreditEvent | <p>Occurrence of credit derivative for which the issuer of one or several underlying securities is unable to fulfill its financial obligations (as defined in terms and conditions).</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/CreditEvent) is removed. |
| DECR | DecreaseInValue | <p>Reduction of face value of a single share or the value of fund assets. The number of circulating shares/units remains unchanged. This event may include a cash payout to holders.</p> |

| Code | Name | Definition |
|------|-----------------------|---|
| | | <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/DecreaseInValue) is removed. |
| DETI | Detachment | <p>Separation of components that comprise a security, for example, usually units comprised of warrants and bond or warrants and equity. Units may be broken up at the request of the security holder or based on market convention.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/Detachment) is removed. |
| DFLT | BondDefault | <p>Failure by the company to perform obligations defined as default events under the bond agreement and that have not been remedied.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/BondDefault) is removed. |
| DLST | TradingStatusDelisted | <p>Security is no longer able to comply with the listing requirements of a stock exchange and is removed from official board quotation.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/TradingStatusDelisted) is removed. |
| DRAW | Drawing | <p>Securities are redeemed in part before the scheduled final maturity date. It is done without any pool factor reduction.</p> |

| Code | Name | Definition |
|------|---|--|
| | | <p>The redemption is reflected in a debit of the face amount (FAMT). Drawing is distinct from partial call since drawn bonds are chosen by lottery. Therefore, not every holder is affected in the same way.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/Drawing) is removed. |
| DRCA | CashDistributionFromNonEligibleSecurities-Sales | <p>Distribution to shareholders of cash resulting from the selling of non-eligible securities, for example, in the frame of a depositary receipt program.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/CashDistributionFromNonEligibleSecuritiesSales) is removed. |
| DRIP | DividendReinvestment | <p>Dividend payment where holders can keep cash or have the cash reinvested in the market by the issuer into additional shares in the issuing company. To be distinguished from DVOP as the company invests the dividend in the market rather than creating new share capital in exchange for the dividend.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/DividendReinvestment Synonym (DTCC): Special Dividend (DRIP Issuer) • on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/DividendReinvestment Synonym (DTCC): Automatic Dividend Reinvestment |

| Code | Name | Definition |
|------|--------------|---|
| | | <ul style="list-style-type: none"> on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/DividendReinvestment <p>Synonym (DTCC): Cash Dividend (DRIP Issuer)</p> <ul style="list-style-type: none"> on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/DividendReinvestment <p>Comment: Automatic Dividend Reinvestment: mandatory event for which the dividend payment is paid only in additional shares of the same security. This event type will predominantly be used for US securities and differs from the Dividend Reinvestment option (a voluntary portion of the event that applies to non-US securities). "DRIP" also appears as an option under relevant events.</p> <p>Cash Dividend (DRIP Issuer): Cash dividend payment to shareholders where the issuer offers a dividend reinvestment program that is not processed by DTC.</p> <p>Special Dividend (DRIP Issuer): cash payment to shareholders that represents an extra or non-regular payment. Sub event type DRIP Issuer identifies an event where the issuer offers a dividend reinvestment program that is not processed by DTC.</p> |
| DSCL | Disclosure | <p>Requirement for holders or beneficial owners to disclose their name, location and holdings of any issue to the issuer.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/Disclosure) is removed. |
| DTCH | DutchAuction | Action by a party wishing to acquire a security. Holders of the security are invited to make an offer to sell, within a specific price range. The acquiring party will buy from the holder with lowest offer. |

| Code | Name | Definition |
|------|--------------|--|
| | | <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/DutchAuction) is removed. • on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/DutchAuction <p>Comment: Identifies a tender event in which the corporation offers to purchase up to a certain amount of securities within a price range. Holders must submit a specific price within that range that they would be willing to accept. The actual tender price is not determined until the end of the offer.</p> |
| DVCA | CashDividend | <p>Distribution of cash to holders, in proportion to their equity holding. Ordinary dividends are recurring and regular. Holder must take cash and may be offered a choice of currencies.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/CashDividend <ul style="list-style-type: none"> – Market Practice Implementation Rule: <p>Used when the event type is Cash Dividend with no sub event type, or sub event types DTC DRIP (DTC announcement dividend reinvestment and opt out, or special dividend event type.</p> <p>When event type is special dividend, DividendType:SPEC code must be used in core schema.</p> • on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/CashDividend |

| Code | Name | Definition |
|------|----------------|--|
| | | <p>Synonym (DTCC): Cash Dividend</p> <ul style="list-style-type: none"> • on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/CashDividend <p>Synonym (DTCC): Special Dividend</p> <ul style="list-style-type: none"> • on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/CashDividend <p>Comment:</p> <p>Cash Dividend: distribution of cash to shareholders, paid by the issuer, usually based upon current earnings and/or accumulated profits as declared by the board of directors.</p> <p>Special Dividend: cash payment to shareholders that represents an extra or non-regular payment.</p> |
| DVOP | DividendOption | <p>Distribution of a dividend to holders with a choice of benefit to receive additional securities or cash. To be distinguished from DRIP as the company creates new share capital in exchange for the dividend rather than investing the dividend in the market.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/DividendOption <p>Synonym (DTCC): Dividend With Option</p> <ul style="list-style-type: none"> • on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/DividendOption <p>Comment:</p> <p>Distribution of a dividend to shareholders with the choice of payment method. The shareholder has the option to choose the form of payment (e.g. securities, cash, or both).</p> |

| Code | Name | Definition |
|------|------------------------------|--|
| DVSC | ScripDividend | <p>Dividend or interest paid in the form of scrip.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/ScripDividend) is removed. |
| DVSE | StockDividend | <p>Dividend paid to shareholders in the form of equities of the issuing corporation.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/StockDividend <p>Synonym (DTCC): Stock Dividend</p> <ul style="list-style-type: none"> • on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/StockDividend <p>Comment: Dividend paid to shareholders in the form of shares of stock of the same security.</p> |
| EXOF | Exchange | <p>Exchange of holdings for other securities and/or cash. The exchange can be either mandatory or voluntary involving the exchange of outstanding securities for different securities and/or cash. For example "exchange offer", "capital reorganisation" or "funds separation".</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/Exchange) is removed. |
| EXRI | CallOnIntermediateSecurities | <p>Call or exercise on nil paid securities or intermediate securities resulting from an intermediate securities distribution (RHD). This code is used for the second</p> |

| Code | Name | Definition |
|------|-------------------|--|
| | | <p>event, when an intermediate securities' issue (rights/coupons) is composed of two events, the first event being the distribution of intermediate securities.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/CallOnIntermediateSecurities) is removed. • on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/CallOnIntermediateSecurities <p>Comment: A privilege granted to holders of rights to purchase new or additional securities. Rights are often tradable in a secondary market.</p> |
| EXTM | MaturityExtension | <p>As stipulated in the security's Terms and Conditions, the issuer or the holder may prolong the maturity date of a security. After extension, the security details may differ from the original issue. An issuer initiated extension may be subject to holder's approval.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/MaturityExtension) is removed. |
| EXWA | WarrantExercise | <p>Option offered to holders to buy (call warrant) or to sell (put warrant) a specific amount of stock, cash, or commodity, at a predetermined price, during a predetermined period of time (which usually corresponds to the life of the issue).</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/WarrantExercise) is removed. |

| Code | Name | Definition |
|------|---------------------|--|
| | | <ul style="list-style-type: none"> on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/WarrantExercise <p>Comment: A feature of a security that permits the holder to exercise an option to exchange the security into another form (usually, warrants into shares). The exercise will commonly require a payment based upon a pre-determined value and time.</p> |
| INCR | IncreaseInValue | <p>Increase in the face value of a single security. The number of circulating securities remains unchanged.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/IncreaseInValue) is removed. |
| INTR | InterestPayment | <p>Interest payment distributed to holders of an interest bearing asset.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/InterestPayment <p>Synonym (DTCC): Interest</p> <ul style="list-style-type: none"> on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/InterestPayment <p>Comment: Payment of an obligation that the issuer agrees to make to holders of an interest-bearing security. Usually, the payment is made in cash and on a scheduled basis.</p> |
| LIQU | LiquidationDividend | <p>Distribution of cash, assets or both. Debt may be paid in order of priority based on preferred claims to assets specified by the security.</p> |

| Code | Name | Definition |
|------|----------|--|
| | | <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/LiquidationDividend <p>Synonym (DTCC): Liquidation</p> <ul style="list-style-type: none"> on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/LiquidationDividend <p>Comment: Company reports its intentions to dismantle its business, paying off debts in order of priority and distributing the remaining assets in cash and/or securities to the owners of the securities. The payment of proceeds may require the presentation of securities.</p> |
| MCAL | FullCall | <p>Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, before final maturity.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/FullCall) is removed. |
| MRGR | Merger | <p>Exchange of outstanding securities, initiated by the issuer which may include options, as the result of two or more companies combining assets, that is, an external, third party company. Cash payments may accompany share exchange.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/Merger) is removed. |

| Code | Name | Definition |
|------|--------------------|---|
| | | <ul style="list-style-type: none"> on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/Merger <p>Comment: The exchange of one company's security for another company's security, cash, or a combination of cash and securities.</p> |
| NOOF | NonOfficialOffer | <p>Offers that are not supervised or regulated by an official entity and being offered by a party, for example a broker, usually at a discount price, for example broker offer, mini-tender, mini odd lot offer or third party offer.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/NonOfficialOffer) is removed. |
| ODLT | OddLotSalePurchase | <p>Sale or purchase of odd-lots to/from the issuing company, initiated either by the holder of the security or through an offer made by the issuer.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/OddLotSalePurchase) is removed. |
| OTHR | OtherEvent | <p>Other event, use only when no other event type applies, for example, a new event type.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/OtherEvent <p>Synonym (DTCC): Distribution</p> |
| PARI | PariPassu | Occurs when securities with different characteristics, for example, shares with different entitlements to dividend |

| Code | Name | Definition |
|------|---|---|
| | | <p>or voting rights, become identical in all respects, for example, pari-passu or assimilation. May be scheduled in advance, for example, shares resulting from a bonus may become fungible after a pre-set period of time, or may result from outside events, for example, merger, reorganisation, issue of supplementary tranches.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/PariPassu) is removed. |
| PCAL | PartialRedemptionWithoutPoolFactorReduction | <p>Securities are redeemed in part before their scheduled final maturity date. It is done without any pool factor reduction. The redemption is reflected in a debit of the face amount (FAMT).</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/PartialRedemptionWithoutPoolFactorReduction) is removed. |
| PDEF | Prefunding | <p>Also called partial defeasance. Issuer has money set aside to redeem a portion of an issue and the indenture states that the securities could be called earlier than the stated maturity.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/Prefunding) is removed. |
| PINK | PayInKind | <p>Interest payment, in any kind except cash, distributed to holders of an interest bearing asset.</p> |

| Code | Name | Definition |
|------|--|--|
| | | <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/PayInKind) is removed. |
| PLAC | PlaceOfIncorporation | <p>Changes in the state of incorporation for US companies and changes in the place of incorporation for foreign companies. Where shares need to be registered following the incorporation change, the holder(s) may have to elect the registrar.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/PlaceOfIncorporation) is removed. |
| PPMT | InstalmentCall | <p>Instalment towards the purchase of equity capital, subject to an agreement between an issuer and a purchaser.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/InstalmentCall) is removed. |
| PRED | PartialRedemptionWithPoolFactorReduction | <p>Securities are redeemed in part before their scheduled final maturity date. The redemption is reflected in a pool factor reduction. No movement of securities occurs.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/PartialRedemptionWithPoolFactorReduction <p>Synonym (DTCC): Principal</p> |

| Code | Name | Definition |
|------|----------------------|--|
| | | <ul style="list-style-type: none"> on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/PartialRedemptionWithPoolFactorReduction <p>Comment: Cash payment that represents a reduction of the principal in the security.</p> |
| PRI0 | PriorityIssue | <p>Form of open or public offer where, due to a limited amount of securities available, priority is given to existing shareholders.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/PriorityIssue) is removed. |
| REDM | FinalMaturity | <p>Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, at final maturity.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/FinalMaturity) is removed. |
| REDO | Redenomination | <p>Event by which the unit (currency and/or nominal) of a security is restated, for example, nominal/par value of security in a national currency is restated in another currency.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/Redenomination) is removed. |
| REMK | RemarketingAgreement | <p>Purchase and sale of remarketed preferred equities/bonds through the negoti-</p> |

| Code | Name | Definition |
|------|------------------------------------|--|
| | | <p>ation of interest rate between the issuers and the holders.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/RemarketingAgreement) is removed. |
| RHDI | IntermediateSecuritiesDistribution | <p>Distribution of intermediate securities that gives the holder the right to take part in a future event.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/IntermediateSecuritiesDistribution) is removed. |
| RHTS | RightsIssue | <p>Offer to holders of a security to subscribe for additional securities via the distribution of an intermediate security. Both processes are included in the same event.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/RightsIssue) is removed. |
| SHPR | SharesPremiumDividend | <p>Corporate event pays shareholders an amount in cash issued from the shares premium reserve. It is similar to a dividend but with different tax implications.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/SharesPremiumDividend) is removed. |

| Code | Name | Definition |
|------|------------------------|--|
| SMAL | SmallestNegotiableUnit | <p>Modification of the smallest negotiable unit of shares in order to obtain a new negotiable unit.</p> <hr/> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/SmallestNegotiableUnit) is removed. |
| SOFF | SpinOff | <p>Distribution of securities issued by another company. The distributed securities may either be of a newly created or of an existing company. For example, spin-off, demerger, unbundling, divestment.</p> <hr/> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/SpinOff <p>Synonym (DTCC): Spin-Off</p> <ul style="list-style-type: none"> • on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/SpinOff <p>Comment: Distribution of subsidiary securities to the shareholders of the parent company without a surrender of securities or payment. A spin-off represents a form of divestiture resulting in an independent company.</p> |
| SPLF | StockSplit | <p>Increase in a corporation's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are reduced accordingly.</p> <hr/> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/StockSplit <p>Synonym (DTCC): Stock Split</p> |

| Code | Name | Definition |
|------|------------------------|---|
| | | <ul style="list-style-type: none"> on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/StockSplit <p>Comment: Increase in a company's number of outstanding shares of stock without any change in the shareholder's equity or the aggregate market value at the time of the split. The share price is normally reduced. Forward split events are included here.</p> |
| SPLR | ReverseStockSplit | <p>Decrease in a company's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are increased accordingly.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/ReverseStockSplit) is removed. |
| SUSP | TradingStatusSuspended | <p>Trading in the security has been suspended.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/TradingStatusSuspended) is removed. |
| TEND | Tender | <p>Offer made to holders by a third party, requesting them to sell (tender) or exchange their securities.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/Tender) is removed. on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/Tender |

| Code | Name | Definition |
|------|-----------------------------------|---|
| | | <p>Comment: An offer made to security holders, normally by a third party, requesting them to sell (tender) their securities for a specified price (usually at a premium over prevailing market prices). Generally, the objective of a tender offer is to take control of the target company.</p> |
| TREC | TaxReclaim | <p>Event related to tax reclaim activities.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/TaxReclaim <p>Synonym (DTCC): Tax Refund</p> <ul style="list-style-type: none"> • on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/TaxReclaim <p>Comment: Event that enables DTC to make a withholding tax refund, usually non U.S. dividends.</p> |
| WRTH | Worthless | <p>Booking out of valueless securities.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/Worthless) is removed. |
| WTRC | WithholdingTaxReliefCertification | <p>Certification process for withholding tax reduction or exemption based on the tax status of the holder.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/WithholdingTaxReliefCertification) is removed. |

Used in element(s)"Code" on page 16**Restricts**"CorporateActionEventTypeV7Code" on page 72

7.3 CorporateActionEventTypeV7Code

Definition: Specifies the corporate action event type.*Type:* CodeSet

| Code | Name | Definition |
|------|---------------------|--|
| ACCU | Accumulation | Funds related event in which the income (for example accumulation units) that accrues during an accounting period is retained within the fund instead of being paid away to investors. The retained income is nonetheless deemed to have been distributed to investors for tax purposes. |
| ACTV | ActiveTradingStatus | Trading in the security has commenced or security has been re-activated after a suspension in trading. |
| ATTI | Attachment | Combination of different security types to create a unit. Units are usually comprised of warrants and bonds or warrants and equities. Securities may be combined at the request of the security holder or based on market convention. |
| BIDS | RepurchaseOffer | Repurchase offer / issuer bid / reverse rights. Offer to existing holders by the issuing company to repurchase its own securities. The objective of the offer is to reduce the number of outstanding securities. |
| BONU | BonusIssue | Bonus or capitalisation issue. Security holders receive additional assets free of payment from the issuer, in proportion to their holding. |
| BPUT | PutRedemption | Early redemption of a security at the election of the holder subject to the terms and condition of the issue with no reduction in nominal value. |
| BRUP | Bankruptcy | Legal status of a company unable to pay creditors. Bankruptcy usually involves a formal court ruling. Securities may become valueless. |
| CAPD | CapitalDistribution | Corporate event pays shareholders an amount in cash issued from the capital account. There is no reduction to the face value of a single share (or the share has no par value). The number of circulating shares remains unchanged. |

| Code | Name | Definition |
|------|-------------------------------|--|
| CAPG | CapitalGainsDistribution | Event is the distribution of profits resulting from the sale of securities. Shareholders of mutual funds, unit trusts, or SICAVs are recipients of capital gains distributions and are often reinvested in additional shares of the fund. |
| CAPI | Capitalisation | Increase of the current principal of a debt instrument without increasing the nominal value. It normally arises from the incorporation of due but unpaid interest into the principal. This is commonly done by increasing the pool factor value, for example, capitalisation, and negative amortisation. |
| CERT | NonUSTEFRADCertification | Non-US beneficial owner certification requirement for exchange of temporary to permanent notes. |
| CHAN | Change | Information regarding a change further described in the corporate action details. |
| CLSA | ClassActionProposedSettlement | Situation where interested parties seek restitution for financial loss. The security holder may be offered the opportunity to join a class action proceeding and would need to respond with an instruction. |
| CMET | CourtMeeting | Announcement of a meeting at a Court. |
| CONS | Consent | Procedure that aims to obtain consent of holder to a proposal by the issuer or a third party without convening a meeting. For example, consent to change the terms of a bond. |
| CONV | Conversion | Conversion of securities (generally convertible bonds or preferred shares) into another form of securities (usually common shares) at a pre-stated price/ratio. |
| COOP | CompanyOption | Company option may be granted by the company, allowing the holder to take up shares at some future date(s) at a pre arranged price in the company. A company may not grant options which enable the holder to take up unissued shares at a time which is five or more years from the date of the grant. Option holders are not members of a company. They are contingent creditors of a company and hence may, in some instances, be entitled to vote on and be bound by a scheme of arrangement between the creditors and the company. As many options have multiple exercise periods a company option will either lapse or carry on to the next expiry date. |
| CPST | CouponStripping | Coupon stripping is the process whereby interest coupons for future payment dates are separated from the security corpus that entitles the holder to the principal repayment. |

| Code | Name | Definition |
|------|---|---|
| CREV | CreditEvent | Occurrence of credit derivative for which the issuer of one or several underlying securities is unable to fulfill its financial obligations (as defined in terms and conditions). |
| DECR | DecreaseInValue | Reduction of face value of a single share or the value of fund assets. The number of circulating shares/units remains unchanged. This event may include a cash payout to holders. |
| DETI | Detachment | Separation of components that comprise a security, for example, usually units comprised of warrants and bond or warrants and equity. Units may be broken up at the request of the security holder or based on market convention. |
| DFLT | BondDefault | Failure by the company to perform obligations defined as default events under the bond agreement and that have not been remedied. |
| DLST | TradingStatusDelisted | Security is no longer able to comply with the listing requirements of a stock exchange and is removed from official board quotation. |
| DRAW | Drawing | Securities are redeemed in part before the scheduled final maturity date. It is done without any pool factor reduction. The redemption is reflected in a debit of the face amount (FAMT). Drawing is distinct from partial call since drawn bonds are chosen by lottery. Therefore, not every holder is affected in the same way. |
| DRCA | CashDistributionFromNonEligibleSecurities-Sales | Distribution to shareholders of cash resulting from the selling of non-eligible securities, for example, in the frame of a depositary receipt program. |
| DRIP | DividendReinvestment | Dividend payment where holders can keep cash or have the cash reinvested in the market by the issuer into additional shares in the issuing company. To be distinguished from DVOP as the company invests the dividend in the market rather than creating new share capital in exchange for the dividend. |
| DSCL | Disclosure | Requirement for holders or beneficial owners to disclose their name, location and holdings of any issue to the issuer. |
| DTCH | DutchAuction | Action by a party wishing to acquire a security. Holders of the security are invited to make an offer to sell, within a specific price range. The acquiring party will buy from the holder with lowest offer. |
| DVCA | CashDividend | Distribution of cash to holders, in proportion to their equity holding. Ordinary dividends are recurring and regular. Hold- |

| Code | Name | Definition |
|------|------------------------------|---|
| | | er must take cash and may be offered a choice of currencies. |
| DVOP | DividendOption | Distribution of a dividend to holders with a choice of benefit to receive additional securities or cash. To be distinguished from DRIP as the company creates new share capital in exchange for the dividend rather than investing the dividend in the market. |
| DVSC | ScripDividend | Dividend or interest paid in the form of scrip. |
| DVSE | StockDividend | Dividend paid to shareholders in the form of equities of the issuing corporation. |
| ERED | EarlyRedemption | <p>This includes drawing, partial and full call, put.</p> <p>Redemption in part or full before the scheduled final maturity date of a security, subject to the terms and conditions of the issue.</p> <p>Drawing - Securities are redeemed in part by lottery.</p> <p>Partial Call - Securities are redeemed in part by reducing proportionally the outstanding amount of securities.</p> <p>Put - Early redemption of a bond at the election of the bondholder.</p> <p>Full Call - The entire outstanding of a security is redeemed by the issuer.</p> |
| EXOF | Exchange | Exchange of holdings for other securities and/or cash. The exchange can be either mandatory or voluntary involving the exchange of outstanding securities for different securities and/or cash. For example "exchange offer", "capital reorganisation" or "funds separation". |
| EXOP | ExchangeOption | Event is an option for the shareholders to exchange their securities for other securities and/or cash. Exchange options are mentioned in the terms and conditions of a security and are valid during the whole lifetime of a security. |
| EXRI | CallOnIntermediateSecurities | Call or exercise on nil paid securities or intermediate securities resulting from an intermediate securities distribution (RHD). This code is used for the second event, when an intermediate securities' issue (rights/coupons) is composed of two events, the first event being the distribution of intermediate securities. |
| EXTM | MaturityExtension | As stipulated in the security's Terms and Conditions, the issuer or the holder may prolong the maturity date of a security. |

| Code | Name | Definition |
|------|--------------------------|--|
| | | ty. After extension, the security details may differ from the original issue. An issuer initiated extension may be subject to holder's approval. |
| EXWA | WarrantExercise | Option offered to holders to buy (call warrant) or to sell (put warrant) a specific amount of stock, cash, or commodity, at a predetermined price, during a predetermined period of time (which usually corresponds to the life of the issue). |
| INCR | IncreaseInValue | Increase in the face value of a single security. The number of circulating securities remains unchanged. |
| INFO | Information | Information provided by the issuer having no accounting/financial impact on the holder. |
| INTR | InterestPayment | Interest payment distributed to holders of an interest bearing asset. |
| LIQU | LiquidationDividend | Distribution of cash, assets or both. Debt may be paid in order of priority based on preferred claims to assets specified by the security. |
| MCAL | FullCall | Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, before final maturity. |
| MEET | AnnualGeneralMeeting | Meeting Annual general meeting. |
| MRGR | Merger | Exchange of outstanding securities, initiated by the issuer which may include options, as the result of two or more companies combining assets, that is, an external, third party company. Cash payments may accompany share exchange. |
| MTNG | SecuritiesHoldersMeeting | Ordinary or annual or extraordinary or special general meeting. |
| NAME | NameChange | Event is a name change. The issuing company changes its name. The event shows the change from old name to new name and may involve surrendering physical shares with the old name to the registrar. |
| NOOF | NonOfficialOffer | Offers that are not supervised or regulated by an official entity and being offered by a party, for example a broker, usually at a discount price, for example broker offer, mini-tender, mini odd lot offer or third party offer. |
| ODLT | OddLotSalePurchase | Sale or purchase of odd-lots to/from the issuing company, initiated either by the holder of the security or through an offer made by the issuer. |
| OMET | OrdinaryGeneralMeeting | Ordinary general meeting. |

| Code | Name | Definition |
|------|---|--|
| OTHR | OtherEvent | Other event, use only when no other event type applies, for example, a new event type. |
| PARI | PariPassu | Occurs when securities with different characteristics, for example, shares with different entitlements to dividend or voting rights, become identical in all respects, for example, pari-passu or assimilation. May be scheduled in advance, for example, shares resulting from a bonus may become fungible after a pre-set period of time, or may result from outside events, for example, merger, reorganisation, issue of supplementary tranches. |
| PCAL | PartialRedemptionWithoutPoolFactorReduction | Securities are redeemed in part before their scheduled final maturity date. It is done without any pool factor reduction. The redemption is reflected in a debit of the face amount (FAMT). |
| PDEF | Prefunding | Also called partial defeasance. Issuer has money set aside to redeem a portion of an issue and the indenture states that the securities could be called earlier than the stated maturity. |
| PINK | PayInKind | Interest payment, in any kind except cash, distributed to holders of an interest bearing asset. |
| PLAC | PlaceOfIncorporation | Changes in the state of incorporation for US companies and changes in the place of incorporation for foreign companies. Where shares need to be registered following the incorporation change, the holder(s) may have to elect the registrar. |
| PPMT | InstalmentCall | Instalment towards the purchase of equity capital, subject to an agreement between an issuer and a purchaser. |
| PRED | PartialRedemptionWithPoolFactorReduction | Securities are redeemed in part before their scheduled final maturity date. The redemption is reflected in a pool factor reduction. No movement of securities occurs. |
| PRII | InterestPaymentWithPrincipal | Event which consists of two components, the decrease of the amortized value of a pool factor security and an interest payment. |
| PRIO | PriorityIssue | Form of open or public offer where, due to a limited amount of securities available, priority is given to existing shareholders. |
| RCLA | Reclassification | Securities related event which reclassifies the distribution in various types of income for US tax withholding purposes. |

| Code | Name | Definition |
|------|------------------------------------|---|
| REDM | FinalMaturity | Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, at final maturity. |
| REDO | Redenomination | Event by which the unit (currency and/or nominal) of a security is restated, for example, nominal/par value of security in a national currency is restated in another currency. |
| REMK | RemarketingAgreement | Purchase and sale of remarketed preferred equities/bonds through the negotiation of interest rate between the issuers and the holders. |
| RHDI | IntermediateSecuritiesDistribution | Distribution of intermediate securities that gives the holder the right to take part in a future event. |
| RHTS | RightsIssue | Offer to holders of a security to subscribe for additional securities via the distribution of an intermediate security. Both processes are included in the same event. |
| RMRK | Remarketing | Purchase and sale of remarketed preferred equities/bonds through the negotiation of interest rate between the issuers and the holders. |
| SHPR | SharesPremiumDividend | Corporate event pays shareholders an amount in cash issued from the shares premium reserve. It is similar to a dividend but with different tax implications. |
| SMAL | SmallestNegotiableUnit | Modification of the smallest negotiable unit of shares in order to obtain a new negotiable unit. |
| SOFF | SpinOff | Distribution of securities issued by another company. The distributed securities may either be of a newly created or of an existing company. For example, spin-off, demerger, unbundling, divestment. |
| SPLF | StockSplit | Increase in a corporation's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are reduced accordingly. |
| SPLR | ReverseStockSplit | Decrease in a company's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are increased accordingly. |
| SUBS | Subscription | Ability for security holders to purchase (additional or new) securities at a certain price, in proportion to their holding. |

| Code | Name | Definition |
|------|-----------------------------------|--|
| SUSP | TradingStatusSuspended | Trading in the security has been suspended. |
| TEND | Tender | Offer made to holders by a third party, requesting them to sell (tender) or exchange their securities. |
| TNDP | TaxOnNonDistributedProceeds | Taxable component on non-distributed proceeds, for example, Australian deemed income or US 871m income regulation. |
| TREC | TaxReclaim | Event related to tax reclaim activities. |
| WRTH | Worthless | Booking out of valueless securities. |
| WTRC | WithholdingTaxReliefCertification | Certification process for withholding tax reduction or exemption based on the tax status of the holder. |
| XMET | ExtraordinaryGeneralMeeting | Extraordinary or Special General Meeting. Extraordinary or special general meeting. |

Is restricted by

"CorporateActionEventType40Code" on page 48

7.4 CorporateActionOption16Code

Definition: Specifies the type of corporate action options.

Type: CodeSet

| Code | Name | Definition |
|------|---------------------------------|---|
| ABST | Abstain | <p>Vote expressed as abstain. In this case, the issuing company will add the number of shares to the quorum of the meeting.</p> <p>If the voting right is not executed, it will not be added to the quorum. In this case, code NOAC should be used.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionInstruction/Option-Type/Code/Abstain) is removed. |
| BOBD | BeneficialOwnerBreakdownRequest | <p>Breakdown of beneficial ownership required for withholding tax reclaim event.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionInstruction/Option- |

| Code | Name | Definition |
|------|-----------------|--|
| | | Type/Code/BeneficialOwnerBreak-downRequest) is removed. |
| BSPL | BonusSharePlan | <p>Receive equities from the share premium reserve of the company and considered as a capital distribution rather than a disbursement of income with different tax implications (typically found in Australia).</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionInstruction/Option-Type/Code/BonusSharePlan) is removed. |
| BUYA | BuyUp | <p>Buy additional securities to round up position.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionInstruction/Option-Type/Code/BuyUp) is removed. |
| CASE | CashAndSecurity | <p>Option to choose between different security and cash options.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/CashAndSecurity <p>Synonym (DTCC): Cash And Securities</p> <ul style="list-style-type: none"> • on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/CashAndSecurity <p>Comment: Holder to receive a combination of cash and securities.</p> |
| CASH | Cash | Option to choose cash. |

| Code | Name | Definition |
|------|------|---|
| | | <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/Cash Synonym (DTCC): Foreign Currency Payment Unfavourable on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/Cash Synonym (DTCC): Cash on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/Cash Synonym (DTCC): Foreign Currency Payment Exempt on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/Cash Synonym (DTCC): Foreign Tax Unfavourable on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/Cash Synonym (DTCC): Foreign Currency Payment on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/Cash Synonym (DTCC): Foreign Tax Exempt on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/Cash Synonym (DTCC): Foreign Currency Payment Favourable on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/Cash Comment: Cash: holder to receive cash. |

| Code | Name | Definition |
|------|--------------------|--|
| | | <p>Foreign Tax Un-favourable/Favourable/Exempt: DTC only option. The event and security are eligible for Foreign Tax Relief service at DTC. Option to select Un-favourable/Favourable/Exempt respectively for this service.</p> <p>Foreign Currency Payment: DTC only option. The event and security are eligible for Foreign Currency Payment service at DTC. Participant will receive their distribution in the foreign currency instructed.</p> <p>Foreign Currency Payment Un-favourable/Favourable/Exempt: The event and security are eligible for Foreign Currency Payment service at DTC. Participant will receive their distribution in the foreign currency and the tax withholding on that distribution will be subject to Un-favourable/Favourable/Exempt tax withholding respectively.</p> |
| CERT | Certification | <p>Certification is provided.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionInstruction/Option-Type/Code/Certification) is removed. |
| CEXC | ConsentAndExchange | <p>Vote to consent to change the terms of the securities agreement and to exchange securities.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionInstruction/Option-Type/Code/ConsentAndExchange) is removed. • on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/ConsentAndExchange <p>Synonym (DTCC): Consent And Exchange</p> |

| Code | Name | Definition |
|------|------------------|---|
| | | <ul style="list-style-type: none"> on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/ConsentAndExchange <p>Comment: Holder to submit securities for exchange in addition to voting to approve the proposal.</p> |
| CONN | ConsentDenied | <p>Vote not to approve the event or proposal.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> This code(seev.040.001.13/CorporateActionInstruction/Option-Type/Code/ConsentDenied) is removed. on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/ConsentDenied <p>Comment: Holder elects to approve the proposal.</p> |
| CONY | ConsentGranted | <p>Vote to approve the event or proposal.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> This code(seev.040.001.13/CorporateActionInstruction/Option-Type/Code/ConsentGranted) is removed. on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/ConsentGranted <p>Comment: Holder elects to approve the proposal.</p> |
| CTEN | ConsentAndTender | <p>Vote to consent to change the terms of the securities agreement and to tender securities for cash.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> This code(seev.040.001.13/CorporateActionInstruction/Option- |

| Code | Name | Definition |
|------|----------|--|
| | | <p>Type/Code/ConsentAndTender) is removed.</p> <ul style="list-style-type: none"> on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/ConsentAndTender <p>Synonym (DTCC): Consent And Tender</p> <ul style="list-style-type: none"> on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/ConsentAndTender <p>Comment: Holder to submit securities for tender in addition to voting to approve the proposal.</p> |
| EXER | Exercise | <p>Exercise intermediate securities or warrants.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> This code(seev.040.001.13/CorporateActionInstruction/Option-Type/Code/Exercise) is removed. on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/Exercise <p>Comment: Holder elects to exercise the intermediate security or warrant.</p> |
| LAPS | Lapse | <p>Allow event or entitled security to expire.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> This code(seev.040.001.13/CorporateActionInstruction/Option-Type/Code/Lapse) is removed. |
| MKDW | MarkDown | <p>Mark down the global certificate as a result of a corporate action (instruction from International Central Securities Depositories (ICSDs) to common depositories who are holding the global certificate on behalf of the International Central Securities Depositories (ICSDs)).</p> |

| Code | Name | Definition |
|------|----------------------|---|
| | | <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionInstruction/Option-Type/Code/MarkDown) is removed. |
| MKUP | MarkUp | <p>Mark up the global certificate as a result of a corporate action (instruction from International Central Securities Depositories (ICSDs) to common depositories who are holding the global certificate on behalf of the International Central Securities Depositories (ICSDs)).</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionInstruction/Option-Type/Code/MarkUp) is removed. |
| MPUT | Retain | <p>Option that allows a holder to elect to retain their holding, for example, a puttable bond.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionInstruction/Option-Type/Code/Retain) is removed. |
| NOAC | NoAction | <p>Option for the account owner not to take part in the event. This would include opt-out for class actions and lodging of dissenters' rights.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionInstruction/Option-Type/Code/NoAction) is removed. |
| NOQU | NonQualifiedInvestor | <p>Account owner is a non-qualified investor.</p> |

| Code | Name | Definition |
|------|---------------|---|
| | | <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionInstruction/Option-Type/Code/NonQualifiedInvestor) is removed. |
| OFFR | ProposedRate | <p>In a remarketing of variable notes, the margin that shareholders can propose in respect of the next interest period.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionInstruction/Option-Type/Code/ProposedRate) is removed. |
| OTHR | Other | <p>Generic corporate action option to be used in case that no other specific code is appropriate.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/Other <ul style="list-style-type: none"> – Market Practice Implementation Rule: <p style="margin-left: 40px;">Identifies option types that do not have ISO equivalent.</p> • on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/Other <p>Synonym (DTCC): OTHR</p> |
| OVER | Oversubscribe | <p>Subscribe to more equities than underlying securities position allows.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionInstruction/Option-Type/Code/Oversubscribe) is removed. |

| Code | Name | Definition |
|------|-------------------|--|
| | | <ul style="list-style-type: none"> on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/Oversubscribe <p>Comment: Holder elects to subscribe to more securities than underlying securities position allows.</p> |
| PRUN | UnknownProceeds | <p>Proceeds not known during election period. The option can result in cash and/or securities.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/UnknownProceeds <p>Synonym (DTCC): Convert</p> <ul style="list-style-type: none"> on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/UnknownProceeds <p>Comment: Holder elects to convert security into a new security, cash or combination of cash and securities, without knowledge of the actual outcome.</p> |
| QINV | QualifiedInvestor | <p>Account owner is a qualified investor.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> This code(seev.040.001.13/CorporateActionInstruction/Option-Type/Code/QualifiedInvestor) is removed. |
| SECU | Security | <p>Distribution of securities to holders.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/Security <p>Synonym (DTCC): Securities</p> |

| Code | Name | Definition |
|------|------|---|
| | | <ul style="list-style-type: none"> • on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/Security Synonym (DTCC): DRIP Favorable • on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/Security Synonym (DTCC): DRIP Unfavorable • on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/Security Synonym (DTCC): DRIP Exempt • on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/Security Synonym (DTCC): DRIP • on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/Security Comment: Securities: holder to receive securities. DRIP: holder to receive additional securities instead of the cash distribution. Option may be declared by the issuer or a service offered by DTC. DRIP Unfavourable: DTC only option. The event or security are eligible for both Dividend Reinvestment and Foreign Tax Services at DTC. Participants will receive additional shares and the tax withholding on those shares will be at unfavourable rate. DRIP Favourable: DTC only option. The event or security are eligible for both Dividend Reinvestment and Foreign Tax Services at DTC. Participants will receive additional shares and the tax withholding on those shares will be at Favourable rate. DRIP Exempt: DTC only option. The event or security are eligible for both Dividend Reinvestment and Foreign Tax Services at DTC. Participants will receive additional shares and |

| Code | Name | Definition |
|------|-----------------|--|
| | | the tax withholding on those shares will be at exempt rate. |
| SLLE | SellEntitlement | <p>Sell the intermediate securities.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionInstruction/Option-Type/Code/SellEntitlement) is removed. • on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/SellEntitlement Synonym (DTCC): Sell • on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/SellEntitlement Comment: Holder to sell their security. |
| TAXI | TaxInstruction | <p>Tax instruction.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.040.001.13/CorporateActionInstruction/Option-Type/Code/TaxInstruction) is removed. |

Used in element(s)

"Code" on page 24

Restricts

"CorporateActionOptionCode" on page 89

7.5 CorporateActionOptionCode

Definition: Specifies the type of corporate action options offered to the account holder for a corporate action.

Type: CodeSet

| Code | Name | Definition |
|------|---------------------------------|---|
| ABST | Abstain | Vote expressed as abstain. In this case, the issuing company will add the number of shares to the quorum of the meeting. If the voting right is not executed, it will not be added to the quorum. In this case, code NOAC should be used. |
| AMGT | VoteAgainstManagement | Vote against management. |
| BOBD | BeneficialOwnerBreakdownRequest | Breakdown of beneficial ownership required for withholding tax reclaim event. |
| BSPL | BonusSharePlan | Receive equities from the share premium reserve of the company and considered as a capital distribution rather than a disbursement of income with different tax implications (typically found in Australia). |
| BUYA | BuyUp | Buy additional securities to round up position. |
| CASE | CashAndSecurity | Option to choose between different security and cash options. |
| CASH | Cash | Option to choose cash. |
| CERT | Certification | Certification is provided. |
| CEXC | ConsentAndExchange | Vote to consent to change the terms of the securities agreement and to exchange securities. |
| CONN | ConsentDenied | Vote not to approve the event or proposal. |
| CONY | ConsentGranted | Vote to approve the event or proposal. |
| CTEN | ConsentAndTender | Vote to consent to change the terms of the securities agreement and to tender securities for cash. |
| EXER | Exercise | Exercise intermediate securities or warrants. |
| LAPS | Lapse | Allow event or entitled security to expire. |
| MKDW | MarkDown | Mark down the global certificate as a result of a corporate action (instruction from International Central Securities Depositories (ICSDs) to common depositories who are holding the global certificate on behalf of the International Central Securities Depositories (ICSDs)). |
| MKUP | MarkUp | Mark up the global certificate as a result of a corporate action (instruction from International Central Securities Depositories (ICSDs) to common depositories who are holding the global certificate on behalf of the International Central Securities Depositories (ICSDs)). |
| MNGT | VoteWithManagement | Vote with management. |

| Code | Name | Definition |
|------|----------------------|---|
| MPUT | Retain | Option that allows a holder to elect to retain their holding, for example, a puttable bond. |
| NOAC | NoAction | Option for the account owner not to take part in the event. This would include opt-out for class actions and lodging of dissenters' rights. |
| NOQU | NonQualifiedInvestor | Account owner is a non-qualified investor. |
| OFFR | ProposedRate | In a remarketing of variable notes, the margin that shareholders can propose in respect of the next interest period. |
| OTHR | Other | Generic corporate action option to be used in case that no other specific code is appropriate. |
| OVER | Oversubscribe | Subscribe to more equities than underlying securities position allows. |
| PROX | ProxyCard | Issue a proxy card in case of voting. |
| PRUN | UnknownProceeds | Proceeds not known during election period. The option can result in cash and/or securities. |
| QINV | QualifiedInvestor | Account owner is a qualified investor. |
| SECU | Security | Distribution of securities to holders. |
| SLLE | SellEntitlement | Sell the intermediate securities. |
| SPLI | SplitInstruction | Option to give a split instruction, for example, a split voting instruction on a meeting. |
| TAXI | TaxInstruction | Tax instruction. |

Is restricted by

["CorporateActionOption16Code" on page 79](#)

7.6 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

R18 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 41

7.7 DTI2024Identifier

Definition: The Digital Token Identifier (DTI) is an 8 character code assigned to fungible digital assets which uses distributed ledger technology for its issuance, storage, exchange, record of ownership or transaction validation and is not a currency (ISO 4217) as described in ISO 24165 - DTI. A check character, using the same character set as the base number, shall be calculated and added.

Type: IdentifierSet

Format

pattern [1-9B-DF-HJ-NP-TV-XZ][0-9B-DF-HJ-NP-TV-XZ]{8,8}

Used in element(s)

"DigitalLedgerIdentification" on page 41

7.8 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 33

7.9 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 28

7.10 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 32

Restricts

"ExternalFinancialInstrumentIdentificationTypeCode" on page 93

7.11 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 93

7.12 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 45

7.13 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)

"ProtectDate" on page 38

7.14 Max140Text

Definition: Specifies a character string with a maximum length of 140 characters.

Type: Text

Format

| | |
|-----------|-----|
| maxLength | 140 |
| minLength | 1 |

Used in element(s)

"BlockchainAddressOrWallet" on page 14

7.15 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 35](#)

7.16 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 27](#)

7.17 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 46](#)

7.18 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)

["Issuer" on page 28](#), ["Issuer" on page 30](#), ["SchemeName" on page 29](#), ["SchemeName" on page 30](#)

7.19 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 33

Restricts

"OptionNumberCode" on page 96

7.20 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 95

7.21 ProcessingPosition3Code

Definition: Specifies the processing position.

Type: CodeSet

| Code | Name | Definition |
|------|-------------|---|
| AFTE | After | Specifies that the transaction/instruction is to be executed after the linked transaction/instruction. |
| BEFO | Before | Specifies that the transaction/instruction is to be executed before the linked transaction/instruction. |
| INFO | Information | Specifies that the transactions/instructions are linked for information purposes only. |
| WITH | With | Specifies that the transaction/instruction is to be executed with the linked transaction/instruction. |

Used in element(s)["Code" on page 37](#)**Restricts**["ProcessingPositionCode" on page 97](#)

7.22 ProcessingPositionCode

Definition: Specifies when an transaction/instruction is to be executed relative to a linked transaction/instruction.

Type: CodeSet

| Code | Name | Definition |
|------|-------------|---|
| AFTE | After | Specifies that the transaction/instruction is to be executed after the linked transaction/instruction. |
| BEFO | Before | Specifies that the transaction/instruction is to be executed before the linked transaction/instruction. |
| INFO | Information | Specifies that the transactions/instructions are linked for information purposes only. |
| WITH | With | Specifies that the transaction/instruction is to be executed with the linked transaction/instruction. |

Is restricted by["ProcessingPosition3Code" on page 96](#)

7.23 ProtectTransactionType3Code

Definition: Specifies the type of protect instruction.

Type: CodeSet

| Code | Name | Definition |
|------|--------------------|---|
| PROT | ProtectTransaction | Reorganisation is a protect transaction type. |

Used in element(s)["TransactionType" on page 38](#)**Restricts**["ReorganisationTransactionTypeCode" on page 98](#)

7.24 Quantity1Code

Definition: Specifies quantity of a financial instrument.

Type: CodeSet

| Code | Name | Definition |
|------|---------------|--|
| QALL | AllSecurities | Instruction applies to the entire eligible balance of underlying securities. |

Used in element(s)

"Code" on page 39

Restricts

"QuantityCode" on page 98

7.25 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

"Quantity1Code" on page 97

7.26 ReorganisationTransactionTypeCode

Definition: Specifies the type of reorganisation transaction.

Type: CodeSet

| Code | Name | Definition |
|------|---|--|
| COVA | CoverProtectDirectlyToAgentHeader-Transaction | Reorganisation is a cover protect directly to agent transaction type. |
| COVP | CoverOnBehalfOfAnotherParticipantTransaction | Reorganisation is a cover on behalf of another participant transaction type. |
| COVR | CoverProtectTransaction | Reorganisation is a cover protect transaction type. |
| PROP | ProtectOnBehalfOfAnotherParticipant-Transaction | Reorganisation is a protect on behalf of another participant transaction type. |
| PROT | ProtectTransaction | Reorganisation is a protect transaction type. |
| VOIT | VoluntaryOfferInstructionTransaction | Reorganisation is a voluntary offer instruction transaction type. |

Is restricted by

["ProtectTransactionType3Code" on page 97](#)

7.27 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 26](#)

7.28 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 32](#)

7.29 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 34](#), ["AmortisedValue" on page 27](#), ["FaceAmount" on page 33](#), ["FaceAmount" on page 27](#)

7.30 RestrictedFINMax15Text

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

Type: Text

Format

| | |
|-----------|----|
| maxLength | 15 |
| minLength | 1 |

Used in element(s)

"TransactionIdentification" on page 38

7.31 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 45

7.32 RestrictedFINXMax16Text

Definition: Specifies a character string with a maximum length of 16 characters. It has a pattern that disables the use of characters that is not part of the character set X, that is, that is not a-z A-Z / - ? : () . , ' + , and disable the use of slash "/" at the beginning and end of line and double slash "/" within the line.

Type: Text

Format

| | |
|-----------|---|
| maxLength | 16 |
| minLength | 1 |
| pattern | (([0-9a-zA-Z/\-?:\(\)\.\\n\r,'\+]([0-9a-zA-Z/\-?:\(\)\.\\n\r,'\+]*([0-9a-zA-Z/\-?:\(\)\.\\n\r,'\+])?)* |

Used in element(s)

"CorporateActionEventIdentification" on page 18, "Identification" on page 25,
"OfficialCorporateActionEventIdentification" on page 18

7.33 RestrictedFINXMax30Text

Definition: Specifies a character string with a maximum length of 30 characters. It has a pattern that disables the use of characters that is not part of the character set X, that is, that is not a-z A-Z / - ? : () . , ' + , and disable the use of slash "/" at the beginning and end of line and double slash "/" within the line.

Type: Text

Format

| | |
|-----------|--|
| maxLength | 30 |
| minLength | 1 |
| pattern | <code>(([0-9a-zA-Z\-\?:(\)\.,\'+] ([0-9a-zA-Z\-\?:(\)\.,\'+])*([0-9a-zA-Z\-\?:(\)\.,\'+])?)*</code> |

Used in element(s)

["Identification" on page 43](#), ["Identification" on page 31](#)

7.34 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 34](#)

7.35 RestrictedFINXMax34Text

Definition: Specifies a character string with a maximum length of 34 characters. It has a pattern that disables the use of characters that is not part of the character set X, that is, that is not a-z A-Z / - ? : () . , ' + , and disable the use of slash "/" at the beginning and end of line and double slash "/" within the line.

Type: Text

Format

| | |
|-----------|--|
| maxLength | 34 |
| minLength | 1 |
| pattern | <code>(([0-9a-zA-Z\-\?:(\)\.,\'+] ([0-9a-zA-Z\-\?:(\)\.,\'+])*([0-9a-zA-Z\-\?:(\)\.,\'+])?)*</code> |

Used in element(s)"Identification" on page 29

7.36 RestrictedFINXMax350Text

Definition: Specifies a character string with a maximum length of 350 characters limited to character set X, that is, a-z A-Z / - ? : () . , ' + .

Type: Text

Format

| | |
|-----------|--|
| maxLength | 350 |
| minLength | 1 |
| pattern | [0-9a-zA-Z/\-?\:(\)\.\n\r,'\+]{1,350} |

Used in element(s)"AdditionalText" on page 20, "PartyContactNarrative" on page 21

7.37 RestrictedFINXMax35Text

Definition: Specifies a character string with a maximum length of 35 characters limited to character set X, that is, a-z A-Z / - ? : () . , ' + .

Type: Text

Format

| | |
|-----------|---------------------------------------|
| maxLength | 35 |
| minLength | 1 |
| pattern | [0-9a-zA-Z/\-?\:(\)\.\n\r,'\+]{1,35} |

Used in element(s)"SafekeepingAccount" on page 14

7.38 SafekeepingPlace1Code

Definition: Specifies the type of place of safekeeping.

Type: CodeSet

| Code | Name | Definition |
|------|----------------------------|---|
| CUST | SharesHeldAtLocalCustodian | Financial instruments held at a local custodian. |
| ICSD | SharesHeldAtICSD | Financial instruments held at an International Central Securities Depository. |
| NCSD | SharesHeldAtNCSD | Financial instruments held at a National Central Securities Depository. |

| Code | Name | Definition |
|------|---------------------|--|
| SHHE | SharesHeldElsewhere | Used for certain financial instruments, for example, US mutual funds, where settlement is internal only, that is, there is no external movement of securities. |

Used in element(s)

"SafekeepingPlaceType" on page 42

Restricts

"SafekeepingPlaceCode" on page 103

7.39 SafekeepingPlace2Code

Definition: Specifies the type of place of safekeeping.

Type: CodeSet

| Code | Name | Definition |
|------|---------------------|--|
| ALLP | AllPlaces | All places of safekeeping where the financial instrument is held. |
| SHHE | SharesHeldElsewhere | Used for certain financial instruments, for example, US mutual funds, where settlement is internal only, that is, there is no external movement of securities. |

Used in element(s)

"SafekeepingPlaceType" on page 43

Restricts

"SafekeepingPlaceCode" on page 103

7.40 SafekeepingPlaceCode

Definition: Specifies the type of place of safekeeping.

Type: CodeSet

| Code | Name | Definition |
|------|----------------------------|---|
| ALLP | AllPlaces | All places of safekeeping where the financial instrument is held. |
| CUST | SharesHeldAtLocalCustodian | Financial instruments held at a local custodian. |
| ICSD | SharesHeldAtICSD | Financial instruments held at an International Central Securities Depository. |
| NCSD | SharesHeldAtNCSD | Financial instruments held at a National Central Securities Depository. |

| Code | Name | Definition |
|------|---------------------|--|
| SHHE | SharesHeldElsewhere | Used for certain financial instruments, for example, US mutual funds, where settlement is internal only, that is, there is no external movement of securities. |

Is restricted by

"SafekeepingPlace1Code" on page 102, "SafekeepingPlace2Code" on page 103

7.41 YesNoIndicator

Definition: Indicates a "Yes" or "No" type of answer for an element.

Type: Indicator

Meaning When True: Yes

Meaning When False: No

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