

Usage Guideline

Corporate Action Event Processing Status Advice seev.032.001.09

DTCC - US - CA - Payment Processing - SR 2025

This document describes a usage guideline restricting the base message **MX seev.032.001.09**. You can also consult [this information online](#).

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Message Functionality

Overview

Scope

An account servicer sends the CorporateActionEventProcessingStatusAdvice message to an account owner or its designated agent to report processing status of a corporate action event.

The account servicer uses this message to provide a reason as to why a corporate action event has not been completed by the announced payment dates.

Usage

The message may also be used to:

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

Collection Description

Outline

The DTCC - US - CA - Payment Processing - SR 2025 / Corporate Action Event Processing Status Advice seev.032.001.09 message is composed of 6 building blocks

a. NotificationIdentification

Identification of a previously sent notification document.

b. OtherDocumentIdentification

Identification of other documents as well as the document number.

c. CorporateActionGeneralInformation

General information about the corporate action event.

d. EventProcessingStatus

Information about the status of the corporate action.

e. AdditionalInformation

Provides additional information.

f. SupplementaryData

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

1 Restriction summary

This Usage Guideline restricts the seev.032.001.09 message.

Restriction Type	See page
Removed elements	6, 6, 8, 11, 17, 18, 23, 28, 28, 28, 29, 30, 30, 31, 31, 31, 32, 32, 33, 33, 34, 35, 35, 35, 36, 36, 36, 37, 37, 37, 38, 38, 54
Make mandatory	n.a.
Reduce Multiplicity	n.a.
Ignore	n.a.
Text rules	8
Conditional rules	n.a.
Formal rules	n.a.
Fixed values	n.a.
Truncates	n.a.
Comments	n.a.
Annotations	n.a.
Changed datatypes	11, 11, 11, 12, 13, 14, 15, 15, 19, 19, 19, 19, 20, 20, 20, 20, 21, 21, 21, 24, 26
Extensions	n.a.
Synonyms	n.a.

2 Structure

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	<i>CorporateActionEventProcessingStatus-AdviceV09</i>	<CorpActnEvtPrcgStsAdv>		[1..1]		
	NotificationIdentification	<NtfctnId>		[0..1]		6
	Identification	<Id>		[1..1]		15
	OtherDocumentIdentification	<OthrDocId>		[0..*]		6
	Identification	<Id>		[1..1]		13
	DocumentNumber	<DocNb>		[0..1]		13
	CorporateActionGeneralInformation	<CorpActnGnlInf>		[1..1]		7
	CorporateActionEventIdentification	<CorpActnEvtId>		[1..1]		11
	OfficialCorporateActionEventIdentification	<OffclCorpActnEvtId>		[0..1]		11
	ClassActionNumber	<ClsActnNb>		[0..1]		11
	EventType	<EvtTp>		[1..1]		12
	EventProcessingStatus	<EvtPrcgSts>		[1..*]		7
	Complete	<Cmplt>	{Or	[1..1]		17
	Reconciled	<Rcncl>	Or	[1..1]		17
	Pending	<Pdg>	Or	[1..1]		18
	ProprietaryStatus	<PrtrySts>	Or}	[1..1]		18
	AdditionalInformation	<AddtlInf>		[0..1]		7
	AdditionalText	<AddtlTxt>		[0..*]		12
	PartyContactNarrative	<PtyCtctNrrtv>		[0..*]		12
	SupplementaryData	<SplmtryData>		[0..*]		8
	PlaceAndName	<PlcAndNm>		[0..1]		27
	Envelope	<Envlp>		[1..1]		27

3 Message Building Blocks

Note The following chapter identifies the building blocks of the DTCC - US - CA - Payment Processing - SR 2025 / Corporate Action Event Processing Status Advice seev.032.001.09 message definition.

3.1 NotificationIdentification

XML Tag: NtfctnId

Presence: [0..1]

Definition: Identification of a previously sent notification document.

The **NtfctnId** block contains the following elements (see datatype "[DocumentIdentification9_1](#)" on page 15 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]	⚠️	15

Usage Guideline details

- This element(seev.032.001.09/NotificationIdentification) is removed.

3.2 OtherDocumentIdentification

XML Tag: OthrDocId

Presence: [0..*]

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

The **OthrDocId** block contains the following elements (see datatype "[DocumentIdentification33_1](#)" on page 13 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]		13
	DocumentNumber	<DocNb>		[0..1]		13

Usage Guideline details

- This element(seev.032.001.09/OtherDocumentIdentification) is removed.

3.3 CorporateActionGeneralInformation

XML Tag: CorpActnGnllnf

Presence: [1..1]

Definition: General information about the corporate action event.

The **CorpActnGnllnf** block contains the following elements (see datatype "[CorporateActionGeneralInformation182_1](#)" on page 10 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
	CorporateActionEventIdentification	<CorpActnEvtId>		[1..1]	⚠	11
	OfficialCorporateActionEventIdentification	<OffclCorpActnEvtId>		[0..1]	⚠	11
	ClassActionNumber	<ClssActnNb>		[0..1]	🚫 ⚠	11
	EventType	<EvtTp>		[1..1]		12

3.4 EventProcessingStatus

XML Tag: EvtPrcgSts

Presence: [1..*]

Definition: Information about the status of the corporate action.

The **EvtPrcgSts** block contains the following elements (see datatype "[EventProcessingStatus7Choice_1](#)" on page 17 for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Complete	<Cmplt>	{Or	[1..1]	🚫	17
	Reconciled	<Rcncl>	Or	[1..1]		17
	Pending	<Pdg>	Or	[1..1]		18
	ProprietaryStatus	<PrtrySts>	Or}	[1..1]	🚫	18

3.5 AdditionalInformation

XML Tag: AddtlInf

Presence: [0..1]

Definition: Provides additional information.

The **AddtlInf** block contains the following elements (see datatype "[CorporateActionNarrative10_1](#)" on page 12 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..*]		12
	PartyContactNarrative	<PtyCtctNrrtv>		[0..*]		12

Usage Guideline details

- This element(seev.032.001.09/AdditionalInformation) is removed.

3.6 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 27 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]		27
	Envelope	<Envlp>		[1..1]		27

Usage Guideline details







- on seev.032.001.09/SupplementaryData
 - Text rule: (empty)

4 Message Components

Note The following chapter identifies the message components.

4.1 CorporateActionEventType112Choice__1

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

 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]		9
	Proprietary	<Prtry>	Or}	[1..1]		9

Rules

R4 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 12

4.1.1 Code

XML Tag: Cd

Presence: [1..1]

Definition: Event types expressed as a code.

Datatype: "CorporateActionEventType40Code" on page 28

4.1.2 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 19 for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Identification	<Id>		[1..1]		19
	Issuer	<Issr>		[1..1]	⚠	19
	SchemeName	<SchmeNm>		[0..1]	⚠	20

4.2 CorporateActionGeneralInformation182__1

Definition: General information about the corporate action event.

🚫 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
	CorporateActionEventIdentification	<CorpActnEvtId>		[1..1]	⚠	11
	OfficialCorporateActionEventIdentification	<OffclCorpActnEvtId>		[0..1]	⚠	11
	ClassActionNumber	<ClssActnNb>		[0..1]	🚫 ⚠	11
	EventType	<EvtTp>		[1..1]		12

Rules

R2 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

R3 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 7](#)

4.2.1 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 54](#)

Usage Guideline details

- on [seev.032.001.09/CorporateActionGeneralInformation/CorporateActionEventIdentification](#)
Type changed to: [RestrictedFINXMax16Text on page 54](#)

4.2.2 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 54](#)

Usage Guideline details

- on [seev.032.001.09/CorporateActionGeneralInformation/OfficialCorporateActionEventIdentification](#)
Type changed to: [RestrictedFINXMax16Text on page 54](#)

4.2.3 ClassActionNumber

XML Tag: ClssActnNb

Presence: [0..1]

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

Datatype: ["RestrictedFINXMax16Text" on page 54](#)

Usage Guideline details

- This element([seev.032.001.09/CorporateActionGeneralInformation/ClassActionNumber](#)) is removed.
- on [seev.032.001.09/CorporateActionGeneralInformation/ClassActionNumber](#)
Type changed to: [RestrictedFINXMax16Text on page 54](#)







4.2.4 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 9 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]		9
	Proprietary	<Prtry>	Or}	[1..1]		9

4.3 CorporateActionNarrative10__1

Definition: Provides additional information such as the information conditions.

 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..*]		12
	PartyContactNarrative	<PtyCtctNrrtv>		[0..*]		12

Used in element(s)

"[AdditionalInformation](#)" on page 7

4.3.1 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 55

Usage Guideline details

- on [seev.032.001.09/AdditionalInformation/AdditionalText](#)
Type changed to: [RestrictedFINXMax350Text](#) on page 55

4.3.2 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 55](#)

Usage Guideline details

- on [seev.032.001.09/AdditionalInformation/PartyContactNarrative](#)
Type changed to: [RestrictedFINXMax350Text on page 55](#)

4.4 DocumentIdentification33__1

Definition: Identification of a document as well as the document number.

🔴 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]		13
	DocumentNumber	<DocNb>		[0..1]		13

Used in element(s)

["OtherDocumentIdentification" on page 6](#)

4.4.1 Identification

XML Tag: Id

Presence: [1..1]

Definition: Unique identifier of the document (message) assigned either by the account servicer or the account owner.

The **Id** block contains the following elements (see datatype ["DocumentIdentification3Choice__1" on page 14](#) 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
	AccountServicerDocumentIdentification	<AcctSvcrDocId>	{Or}	[1..1]	⚠️	14
	AccountOwnerDocumentIdentification	<AcctOwnrDocId>	Or}	[1..1]	⚠️	14

4.4.2 DocumentNumber

XML Tag: DocNb

Presence: [0..1]

Definition: Identification of the type of document.

The **DocNb** block contains the following elements (see datatype "[DocumentNumber5Choice__1](#)" on [page 15](#) 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
	ShortNumber	<ShrtNb>	{Or	[1..1]		16
	LongNumber	<LngNb>	Or	[1..1]		16
	ProprietaryNumber	<PrtryNb>	Or}	[1..1]		16

4.5 DocumentIdentification3Choice__1

Definition: Choice between a document identification provided either by the account owner or by the account servicer.

🚫 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
	AccountServicerDocumentIdentification	<AcctSvcrDocId>	{Or	[1..1]	⚠	14
	AccountOwnerDocumentIdentification	<AcctOwnrDocId>	Or}	[1..1]	⚠	14

Used in element(s)

["Identification" on page 13](#)

4.5.1 AccountServicerDocumentIdentification

XML Tag: AcctSvcrDocId

Presence: [1..1]

Definition: Identification of the document assigned by the account servicer.

Datatype: "[RestrictedFINXMax16Text](#)" on [page 54](#)

Usage Guideline details

- on [seev.032.001.09/OtherDocumentIdentification/Identification/AccountServicerDocumentIdentification](#)

Type changed to: [RestrictedFINXMax16Text on page 54](#)

4.5.2 AccountOwnerDocumentIdentification

XML Tag: AcctOwnrDocId

Presence: [1..1]

Definition: Identification of the document assigned by the account owner.

Datatype: "RestrictedFINXMax16Text" on page 54







Usage Guideline details


- on seev.032.001.09/OtherDocumentIdentification/Identification/AccountOwnerDocumentIdentification

Type changed to: RestrictedFINXMax16Text on page 54

4.6 DocumentIdentification9__1

Definition: Identifies a document by a unique 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]		15

Used in element(s)

"NotificationIdentification" on page 6

4.6.1 Identification

XML Tag: Id

Presence: [1..1]

Definition: Identifies the document.

Datatype: "RestrictedFINXMax16Text" on page 54







Usage Guideline details

- on seev.032.001.09/NotificationIdentification/Identification

Type changed to: RestrictedFINXMax16Text on page 54

4.7 DocumentNumber5Choice__1

Definition: Choice between a short document number, a long document number or a proprietary document number.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	ShortNumber	<ShrtNb>	{Or	[1..1]		16
	LongNumber	<LngNb>	Or	[1..1]		16
	ProprietaryNumber	<PrtryNb>	Or}	[1..1]		16

Rules

R1 ShortLongNumberRule

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

Error handling: Undefined

Used in element(s)

"DocumentNumber" on page 13

4.7.1 ShortNumber

XML Tag: ShrtNb

Presence: [1..1]

Definition: Message type number of the document referenced.

Datatype: "Exact3NumericText" on page 46

4.7.2 LongNumber

XML Tag: LngNb

Presence: [1..1]

Definition: MX Message identifier of the referenced document.

Datatype: "ISO20022MessageIdentificationText" on page 46







4.7.3 ProprietaryNumber



XML Tag: PrtryNb


Presence: [1..1]

Definition: Proprietary document identification.

The **PrtryNb** block contains the following elements (see datatype "GenericIdentification36_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
	Identification	<Id>		[1..1]		20
	Issuer	<Issr>		[1..1]		21

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	SchemeName	<SchmeNm>		[0..1]		21

4.8 EventProcessingStatus7Choice__1

Definition: Provides information about the status of a corporate action or the status of a payment.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Complete	<Cmpl>	{Or	[1..1]		17
	Reconciled	<Rcncl>	Or	[1..1]		17
	Pending	<Pdg>	Or	[1..1]		18
	ProprietaryStatus	<PrtrySts>	Or}	[1..1]		18

Used in element(s)

"EventProcessingStatus" on page 7







4.8.1 Complete

XML Tag: Cmpl

Presence: [1..1]

Definition: Specifies that a corporate action event processing has been completed.

The **Cmpl** block contains the following elements (see datatype "NoSpecifiedReason1" 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
	NoSpecifiedReason	<NoSpcfdRsn>		[1..1]		22

Usage Guideline details

- This element(seev.032.001.09/EventProcessingStatus/Complete) is removed.

4.8.2 Reconciled

XML Tag: Rcncl

Presence: [1..1]

Definition: Corporate action event processing specifying that the funds paid have been reconciled with the funds received from the agent (meaning that there is no more risk of payment to be reversed).

The **RcnclId** block contains the following elements (see datatype "[NoSpecifiedReason1](#)" on page 21 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
	NoSpecifiedReason	<NoSpecfdRsn>		[1..1]		22

4.8.3 Pending

XML Tag: Pdg

Presence: [1..1]

Definition: Specifies that a corporate action event processing has not been fully completed and is therefore pending.

The **Pdg** block contains the following elements (see datatype "[PendingStatus74Choice_1](#)" on page 23 for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	NoSpecifiedReason	<NoSpecfdRsn>	{Or	[1..1]		23
	Reason	<Rsn>	Or}	[1..*]		23

4.8.4 ProprietaryStatus

XML Tag: PrtrySts

Presence: [1..1]

Definition: Proprietary status related to the event processing.

The **PrtrySts** block contains the following elements (see datatype "[ProprietaryStatusAndReason6_1](#)" on page 26 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
	ProprietaryStatus	<PrtrySts>		[1..1]		26
	ProprietaryReason	<PrtryRsn>		[0..*]		26



Usage Guideline details

- This element(seev.032.001.09/EventProcessingStatus/ProprietaryStatus) is removed.

4.9 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]		19
	Issuer	<Issr>		[1..1]		19
	SchemeName	<SchmeNm>		[0..1]		20

Used in element(s)

"Proprietary" on page 9, "Proprietary" on page 22, "ProprietaryStatus" on page 26, "Reason" on page 25

4.9.1 Identification

XML Tag: Id

Presence: [1..1]

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

Datatype: "Exact4AlphaNumericText" on page 46

4.9.2 Issuer

XML Tag: Issr

Presence: [1..1]

Definition: Entity that assigns the identification.

Datatype: "Max4AlphaNumericText" on page 47

Usage Guideline details

- on **seev.032.001.09/CorporateActionGeneralInformation/EventType/Proprietary/Issuer**
Type changed to: Max4AlphaNumericText on page 47
- on **seev.032.001.09/EventProcessingStatus/Pending/Reason/ReasonCode/Proprietary/Issuer**
Type changed to: Max4AlphaNumericText on page 47
- on **seev.032.001.09/EventProcessingStatus/ProprietaryStatus/ProprietaryReason/Reason/Issuer**
Type changed to: Max4AlphaNumericText on page 47
- on **seev.032.001.09/EventProcessingStatus/ProprietaryStatus/ProprietaryStatus/Issuer**
Type changed to: Max4AlphaNumericText on page 47

4.9.3 SchemeName

XML Tag: SchmeNm

Presence: [0..1]

Definition: Short textual description of the scheme.







Datatype: "Max4AlphaNumericText" on page 47




Usage Guideline details

- on seev.032.001.09/CorporateActionGeneralInformation/EventType/Proprietary/SchemeName
Type changed to: Max4AlphaNumericText on page 47
- on seev.032.001.09/EventProcessingStatus/Pending/Reason/ReasonCode/Proprietary/SchemeName
Type changed to: Max4AlphaNumericText on page 47
- on seev.032.001.09/EventProcessingStatus/ProprietaryStatus/ProprietaryReason/Reason/SchemeName
Type changed to: Max4AlphaNumericText on page 47
- on seev.032.001.09/EventProcessingStatus/ProprietaryStatus/ProprietaryStatus/SchemeName
Type changed to: Max4AlphaNumericText on page 47

4.10 GenericIdentification36__1

Definition: Identification using a proprietary scheme.

 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]		20
	Issuer	<Issr>		[1..1]		21
	SchemeName	<SchmeNm>		[0..1]		21

Used in element(s)

"ProprietaryNumber" on page 16

4.10.1 Identification

XML Tag: Id

Presence: [1..1]

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

Datatype: "RestrictedFINXMax30Text" on page 55

Usage Guideline details

- on [seev.032.001.09/OtherDocumentIdentification/DocumentNumber/ProprietaryNumber/Identification](#)
Type changed to: [RestrictedFINXMax30Text on page 55](#)

4.10.2 Issuer

XML Tag: Issr

Presence: [1..1]

Definition: Entity that assigns the identification.

Datatype: ["Max4AlphaNumericText" on page 47](#)

Usage Guideline details

- on [seev.032.001.09/OtherDocumentIdentification/DocumentNumber/ProprietaryNumber/Issuer](#)
Type changed to: [Max4AlphaNumericText on page 47](#)

4.10.3 SchemeName

XML Tag: SchmeNm

Presence: [0..1]

Definition: Short textual description of the scheme.







Datatype: ["Max4AlphaNumericText" on page 47](#)

Usage Guideline details

- on [seev.032.001.09/OtherDocumentIdentification/DocumentNumber/ProprietaryNumber/SchemeName](#)
Type changed to: [Max4AlphaNumericText on page 47](#)

4.11 NoSpecifiedReason1

Definition: No specified reason available for the status.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	NoSpecifiedReason	<NoSpcfdRsn>		[1..1]		22

Used in element(s)

["Complete" on page 17](#), ["Reconciled" on page 17](#)

4.11.1 NoSpecifiedReason

XML Tag: NoSpcfdRsn

Presence: [1..1]

Definition: Indicates that there is no reason available or to report.

Datatype: "NoReasonCode" on page 47

4.12 PendingReason70Choice__1

Definition: Choice between a standard code and a proprietary code to specify the reason why the instruction/event has a pending status.

🚫 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]		22
	Proprietary	<Prtry>	Or}	[1..1]	🚫	22

Used in element(s)

"ReasonCode" on page 24

4.12.1 Code

XML Tag: Cd

Presence: [1..1]

Definition: Standard code to specify the reason why the instruction/event has a pending status.

Datatype: "PendingReason29Code" on page 54

4.12.2 Proprietary

XML Tag: Prtry

Presence: [1..1]

Definition: Proprietary identification of the reason why the instruction/event has a pending status.

The **Prtry** block contains the following elements (see datatype "GenericIdentification30__1" on page 19 for details)

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







Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Identification	<Id>		[1..1]		19
	Issuer	<Issr>		[1..1]	⚠	19
	SchemeName	<SchmeNm>		[0..1]	⚠	20

Usage Guideline details

- This element(seev.032.001.09/EventProcessingStatus/Pending/Reason/ReasonCode/Proprietary) is removed.

4.13 PendingStatus74Choice__1

Definition: Choice between a reason or no reason for the corporate action event processing pending status.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	NoSpecifiedReason	<NoSpcfdRsn>	{Or	[1..1]		23
	Reason	<Rsn>	Or}	[1..*]		23

Used in element(s)

"Pending" on page 18

4.13.1 NoSpecifiedReason

XML Tag: NoSpcfdRsn

Presence: [1..1]

Definition: Reason not specified.

Datatype: "NoReasonCode" on page 47







4.13.2 Reason


XML Tag: Rsn

Presence: [1..*]

Definition: Reason for the pending status.

The **Rsn** block contains the following elements (see datatype "PendingStatusReason29__1" on page 23 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
	ReasonCode	<RsnCd>		[1..1]		24
	AdditionalReasonInformation	<AddtlRsnInf>		[0..1]		24

4.14 PendingStatusReason29__1

Definition: Specifies reasons for the pending status.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	ReasonCode	<RsnCd>		[1..1]		24
	AdditionalReasonInformation	<AddtlRsnInf>		[0..1]		24

Rules

R5 AdditionalReasonInformationRule

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

Error handling: Undefined

Used in element(s)

"Reason" on page 23







4.14.1 ReasonCode


XML Tag: RsnCd

Presence: [1..1]

Definition: Specifies the reason why the instruction's processing is pending.

The **RsnCd** block contains the following elements (see datatype "PendingReason70Choice_1" on page 22 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]		22
	Proprietary	<Prtry>	Or}	[1..1]		22

4.14.2 AdditionalReasonInformation

XML Tag: AddtlRsnInf

Presence: [0..1]

Definition: Provides additional information about the processed instruction.

Datatype: "RestrictedFINXMax210Text" on page 55

Usage Guideline details

- on seev.032.001.09/EventProcessingStatus/Pending/Reason/AdditionalReasonInformation
 Type changed to: RestrictedFINXMax210Text on page 55

4.15 ProprietaryReason4__1

Definition: Proprietary identification of the reason related to a status.

🚫 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
	Reason	<Rsn>		[0..1]		25
	AdditionalReasonInformation	<AddtlRsnInf>		[0..1]	⚠	25

Rules

R6 AdditionalReasonInformationRule

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

Error handling: Undefined

Used in element(s)

"ProprietaryReason" on page 26

4.15.1 Reason

XML Tag: Rsn

Presence: [0..1]

Definition: Proprietary identification of the reason related to a status.

The **Rsn** block contains the following elements (see datatype "GenericIdentification30__1" on page 19 for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Identification	<Id>		[1..1]		19
	Issuer	<Issr>		[1..1]	⚠	19
	SchemeName	<SchmeNm>		[0..1]	⚠	20

4.15.2 AdditionalReasonInformation

XML Tag: AddtlRsnInf

Presence: [0..1]

Definition: Provides additional information about the processed instruction.

Datatype: "RestrictedFINXMax210Text" on page 55







Usage Guideline details

- on [seev.032.001.09/EventProcessingStatus/ProprietaryStatus/ProprietaryReason/Additional-ReasonInformation](#)

Type changed to: [RestrictedFINXMax210Text](#) on page 55

4.16 ProprietaryStatusAndReason__1

Definition: Provides the proprietary status and reason of an instruction or an instruction cancellation.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	ProprietaryStatus	<PrtrySts>		[1..1]		26
	ProprietaryReason	<PrtryRsn>		[0..*]		26

Used in element(s)

"ProprietaryStatus" on page 18







4.16.1 ProprietaryStatus



XML Tag: PrtrySts

Presence: [1..1]

Definition: Proprietary identification of the status related to an instruction.

The **PrtrySts** block contains the following elements (see datatype "[GenericIdentification30__1](#)" on page 19 for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Identification	<Id>		[1..1]		19
	Issuer	<Issr>		[1..1]		19
	SchemeName	<SchmeNm>		[0..1]		20







4.16.2 ProprietaryReason


XML Tag: PrtryRsn

Presence: [0..*]

Definition: Proprietary identification of the reason related to a proprietary status.







The **PrtryRsn** block contains the following elements (see datatype "[ProprietaryReason4__1](#)" on page 25 for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Reason	<Rsn>		[0..1]		25
	AdditionalReasonInformation	<AddtlRsnInf>		[0..1]		25

4.17 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]		27
	Envelope	<Envlp>		[1..1]		27

Rules

R7 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 8

4.17.1 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 46

4.17.2 Envelope

XML Tag: Envlp

Presence: [1..1]

Definition: Technical element wrapping the supplementary data.

5 Message Datatypes

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

5.1 CorporateActionEventType40Code

Definition: Specifies the corporate action event type.

Type: CodeSet

Code	Name	Definition
ACCU	Accumulation	<p>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.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.032.001.09/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.032.001.09/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.032.001.09/CorporateActionGeneralInforma-

Code	Name	Definition
		tion/EventType/Code/Attachment) is removed.
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	<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.032.001.09/CorporateActionGeneralInformation/EventType/Code/BonusIssue) is removed.
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.
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.

Code	Name	Definition
		<p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.032.001.09/CorporateActionGeneralInformation/EventType/Code/NonUSTE-FRADCertification) is removed.
CHAN	Change	Information regarding a change further described in the corporate action details.
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.032.001.09/CorporateActionGeneralInformation/EventType/Code/ClassActionProposedSettlement) is removed.
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.

Code	Name	Definition
		<p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.032.001.09/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.032.001.09/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> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.032.001.09/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>
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>
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>

Code	Name	Definition
		<p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.032.001.09/CorporateActionGeneralInformation/EventType/Code/TradingStatusDelisted) is removed.
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	<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.032.001.09/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.
DVCA	CashDividend	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.
DVOP	DividendOption	Distribution of a dividend to holders with a choice of benefit to receive additional securities or cash. To be distinguished

Code	Name	Definition
		from DRIP as the company creates new share capital in exchange for the dividend rather than investing the dividend in the market.
DVSC	ScripDividend	<div>Dividend or interest paid in the form of scrip.</div> <div> Usage Guideline restrictions for this code <ul style="list-style-type: none"> • This code(seev.032.001.09/CorporateActionGeneralInformation/EventType/Code/ScripDividend) is removed. </div>
DVSE	StockDividend	Dividend paid to shareholders in the form of equities of the issuing corporation.
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".
EXRI	CallOnIntermediateSecurities	Call or exercise on nil paid securities or intermediate securities resulting from an intermediate securities distribution (RHDI). This code is used for the second event, when an intermediate securities' issue (rights/coupons) is composed of two events, the first event being the distribution of intermediate securities.
EXTM	MaturityExtension	<div>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.</div> <div> Usage Guideline restrictions for this code <ul style="list-style-type: none"> • This code(seev.032.001.09/CorporateActionGeneralInformation/EventType/Code/MaturityExtension) is removed. </div>
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).

Code	Name	Definition
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 (see v.032.001.09/CorporateActionGeneralInformation/EventType/Code/IncreaseInValue) is removed.
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.
MRGR	Merger	Exchange of outstanding securities, initiated by the issuer which may include options, as the result of two or more companies combining assets, that is, an external, third party company. Cash payments may accompany share exchange.
NOOF	NonOfficialOffer	Offers that are not supervised or regulated by an official entity and being offered by a party, for example a broker, usually at a discount price, for example broker offer, mini-tender, mini odd lot offer or third party offer.
ODLT	OddLotSalePurchase	Sale or purchase of odd-lots to/from the issuing company, initiated either by the holder of the security or through an offer made by the issuer.
OTHR	OtherEvent	Other event, use only when no other event type applies, for example, a new event type.
PARI	PariPassu	Occurs when securities with different characteristics, for example, shares with different entitlements to dividend or voting rights, become identical in all respects, for example, pari-passu or assimilation. May be scheduled in advance, for example, shares resulting from a bonus may become fungible after a pre-set period of time, or may result from outside events, for example, merger, reorganisation, issue of supplementary tranches.

Code	Name	Definition
		<p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.032.001.09/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.032.001.09/CorporateActionGeneralInformation/EventType/Code/PartialRedemptionWithoutPoolFactorReduction) is removed.
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	<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.032.001.09/CorporateActionGeneralInformation/EventType/Code/InstalmentCall) is removed.
PRED	PartialRedemptionWithPoolFactorReduction	Securities are redeemed in part before their scheduled final maturity date. The redemption is reflected in a pool factor

Code	Name	Definition
		reduction. No movement of securities occurs.
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.032.001.09/CorporateActionGeneralInformation/EventType/Code/PriorityIssue) is removed.
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	<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.032.001.09/CorporateActionGeneralInformation/EventType/Code/Redenomination) is removed.
REMK	RemarketingAgreement	<p>Purchase and sale of remarketed preferred equities/bonds through the negotiation 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.032.001.09/CorporateActionGeneralInformation/EventType/Code/RemarketingAgreement) is removed.
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.

Code	Name	Definition
		<p>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.032.001.09/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.032.001.09/CorporateActionGeneralInformation/EventType/Code/SharesPremiumDividend) is removed.
SMAL	SmallestNegotiableUnit	<p>Modification of the smallest negotiable unit of shares in order to obtain a new negotiable unit.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.032.001.09/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>
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>
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>

Code	Name	Definition
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.032.001.09/CorporateActionGeneralInformation/EventType/Code/TradingStatusSuspended) is removed.
TEND	Tender	Offer made to holders by a third party, requesting them to sell (tender) or exchange their securities.
TREC	TaxReclaim	Event related to tax reclaim activities.
WRTH	Worthless	Booking out of valueless securities.
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.032.001.09/CorporateActionGeneralInformation/EventType/Code/WithholdingTaxReliefCertification) is removed.

Used in element(s)

"Code" on page 9

Restricts

"CorporateActionEventTypeV7Code" on page 38

5.2 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.

Code	Name	Definition
ACTV	ActiveTradingStatus	Trading in the security has commenced or security has been re-activated after a suspension in trading.
ATTI	Attachment	Combination of different security types to create a unit. Units are usually comprised of warrants and bonds or warrants and equities. Securities may be combined at the request of the security holder or based on market convention.
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.
BPOT	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.
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

Code	Name	Definition
		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.
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

Code	Name	Definition
		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. Holder 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>

Code	Name	Definition
		<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. 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

Code	Name	Definition
		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.
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

Code	Name	Definition
		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.
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.

Code	Name	Definition
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.
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 28

5.3 Exact3NumericText

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

Type: Text

Format

pattern	[0-9]{3}
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Used in element(s)

"ShortNumber" on page 16

5.4 Exact4AlphaNumericText

Definition: Specifies an alphanumeric string with a length of 4 characters.

Type: Text

Format

pattern	[a-zA-Z0-9]{4}
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Used in element(s)

"Identification" on page 19

5.5 ISO20022MessageIdentificationText

Definition: ISO 20022 Message identifier of an MX message.

Type: Text

Format

pattern	[a-z]{4}\.[0-9]{3}\.[0-9]{3}\.[0-9]{2}
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Used in element(s)

"LongNumber" on page 16

5.6 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 27](#)

5.7 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 21](#), ["Issuer" on page 19](#), ["SchemeName" on page 21](#), ["SchemeName" on page 20](#)

5.8 NoReasonCode

Definition: Specifies that there is no reason available.

Type: CodeSet

Code	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

Used in element(s)

["NoSpecifiedReason" on page 23](#), ["NoSpecifiedReason" on page 22](#)

Restricts

["SpecialPurposeCode" on page 56](#)

5.9 PendingFailingReasonV2Code

Definition: Specifies the reason the transaction/instruction is pending or failing settlement. Settlement on the instructed settlement date is still possible, status is pending. Settlement on the instructed settlement date is no longer possible, status is failing.

Type: CodeSet

Code	Name	Definition
ACOP	AccountNotOpen	Account must already be opened in order to process the transfer.
ADDM	AdditionalDocumentationMissing	Additional documents requested missing.
ADEA	AccountServicerDeadlineMissed	Instruction was received after the account servicer's deadline. Processed on best effort basis.

Code	Name	Definition
ADRQ	AdditionalDocumentsRequested	Additional documents have been requested by the transfer agent.
ADS1	AdditionalDocumentsSent1	Additional documents have been sent.
ADS2	AdditionalDocumentsSent2	Upon request of the transfer agent, the intermediary has sent additional documents. The transfer agent has confirmed that all the necessary information is now in place.
AFST	ApplicationFormSent	Application form has been sent to the transfer agent.
AINV	UnderTransferAgentInvestigation	Transfer agent is investigating.
ASTA	AwaitingStatus	At your request, the Intermediary is checking the status of your instruction with the transfer agent.
AUTH	SentToTaxAuthorities	Instruction/event is pending because the reclaim is sent to the tax authorities.
AWMO	AwaitingMoney	Financial instruments are delivered, but still awaiting money from counterparty.
AWSH	AwaitingSecuritiesFromCounterparty	Financial instruments have not yet been received from the counterparty (if receive against payment trade), the money has been delivered.
BATC	ProcessingBatchDifference	Processing batch differs in the counterparty's instruction, for example, day-time/real-time versus overnight.
BENO	BeneficialOwnershipDisagreement	Disagreement in beneficial ownership.
BLOC	AccountBlocked	Your account is blocked, no instruction can settle over the account.
BOTH	BothInstructionsOnHold	Counterparty's instruction and your instruction are on hold/frozen/ in a preadvice mode.
BSTR	BeforeInstructionPeriod	Instruction is submitted before instruction start date.
BUMM	BuyerProtectionMismatch	Counterparty disagreement on the chosen corporate action outcome.
BYIY	BuyInProcedure	Buy-in procedure has started on the market (on your behalf if your instruction is a receipt, by the counterparty if your instruction is a delivery).
CAIS	AwaitingSecurities	Awaiting financial instruments from a corporate action or other procedure, for example, conversion, dematerialisation, exchange, registration, stamping, splitting.
CANR	CancellationConfirmationRequested	Instruction was in suspense. Suspense period is finished so your cancellation or confirmation of instruction is required.
CDAC	ConditionalDeliveryAwaitingCancellation	Awaiting cancellation of one of the party.

Code	Name	Definition
CDCY	ConditionalCurrency	Execution is conditional to the execution of a process linked to the currency of the transaction.
CDEL	ConditionalDelivery	Instruction is in a hold/frozen/preadvice mode as it fulfils predefined conditional delivery rules in the market infrastructure platform for conditional delivery.
CDLC	ConditionalDeliveryCancellationPending	Conditional Delivery is still pending awaiting the cancellation from at least another party.
CDLR	ConditionalDeliveryAwaitingRelease	Instruction is in a hold/frozen/preadvice mode. Market infrastructure platform is awaiting release.
CDRE	ConditionalRealignment	Execution is conditional to the execution of a process of realignment at the issuer CSD.
CDRG	ConditionalRegistrar	Execution is conditional to the execution of a process at the registrar.
CERT	WrongCertificatesNumbers	Certificate number error.
CHAS	EnquirySent	A chaser/enquiry has been sent.
CINV	UnderClientInvestigation	Client has been informed of a problem and is investigating.
CLAC	CounterpartyInsufficientSecurities	Insufficient deliverable financial instruments in counterparty's account or counterparty does not hold financial instruments.
CLAT	CounterpartyTooLateForSettlement	Counterparty's instruction was too late for settlement, that is the matching or settlement problems was solved too late.
CLHT	ClearingHouseTrade	Instructed settlement date does not agree with the settlement date on the clearing house trade, that is, a specific type of trade in India.
CMON	CounterpartyInsufficientMoney	Insufficient money in counterparty's account.
COLL	SecuritiesPledgedAsCollateral	Financial instruments are not deliverable as they are pledged as collateral.
CONF	AwaitingConfirmation	Awaiting confirmation from the counterparty.
CPEC	CounterpartyInReceivership	Counterparty is in receivership (form of bankruptcy where a court appointed person - the receiver - manages the affairs of the business).
CSDH	CSDHold	Central securities depository sets the instruction in a hold/frozen/preadvice mode.
CVAL	CSDValidation	Instruction is in a hold/frozen/preadvice mode as it fulfils predefined conditions of a restriction processing type in the market infrastructure platform.

Code	Name	Definition
CYCL	AwaitingNextSettlementCycle	Your instruction is confirmed in the local market or is ready for settlement, awaiting next settlement cycle.
CYDV	AwaitingCounterpartyDelivery	Counterparty has not sent an instruction to deliver or delivered the shares. Check with counterparty.
CYIN	AwaitingCounterpartyReceipt	Counterparty has not sent an instruction to receive. Check with counterparty.
DENO	UnavailableDeliverableDenominatedQuantity	Quantity instructed does not match the denomination available/deliverable. Physical securities need to be obtained in deliverable denominated quantities.
DEPO	RefusedDepositForIssueOfDepositaryReceipts	Deposit of shares for the issuing of depositary receipts has been refused. The allotment granted by the issuer is exceeded by your transaction.
DISA	NaturalDisaster	Exceptional closing of all financial institutions due to natural disaster, for example, earthquake.
DKNY	CounterpartyReturnedShares	Counterparty has returned or refuses the securities.
DOCC	AwaitingDocumentsOrEndorsementsFrom-Counterparty	Awaiting documents or endorsements from counterparty.
DOCY	AwaitingDocumentsOrEndorsementsFromYou	Awaiting documents or endorsements from you.
DQCS	DisagreementOnCashAmount	Unrecognised or invalid instructed cash amount.
DQUA	QuantityDisagreement	Quantity of financial instruments does not match.
DREM	DeadlineToRegisterMissed	Deadline to register is missed.
DRJC	DocumentsRejected	Documents are rejected by the transfer agent.
ESCA	Escalation	Special follow-up is taking place.
FLIM	MaximumForeignLimitReached	Insufficient deliverable financial instruments in your account as maximum foreign limit has been reached.
FROZ	SecuritiesFrozenAtCSD	Financial instruments are blocked at the Central Security Depository (CSD) following a corporate event.
FULL	PendingBeneficiaryOwnerDetails	Pending receipt of beneficiary owner details.
FUTU	AwaitingSettlementDate	Awaiting settlement date. No settlement problems to be reported.
FVER	FinalVerification	Confirmed but finality is to be verified.
GLOB	GlobalFormSecurities	Settlement cannot be executed; financial instruments are in global form.
GUAD	GuaranteedDeliveryIndicatorDifference	Guaranteed delivery indicator differs in the counterparty's instruction.

Code	Name	Definition
IAAD	StatusReasonInvestigation	Pending reason being investigated.
IINV	UnderInvestigation	Intermediary is investigating the reason why the transfer is pending.
INBC	IncompleteNumberCount	Not all the instructions part of a pool have been received.
INCA	IncomeAdjustmentRequired	Financial instruments require income adjustment, for example, dividend or interest.
IPAW	InvalidPaperwork	Required paperwork is invalid, incomplete or missing.
IPED	InstructionPriorToEntitlementDate	Instruction was received prior to entitlement date.
IPNC	CancelNotPossible	Instruction has been processed and cannot be cancelled.
IPOA	MissingOrInvalidPOA	Missing or invalid power of attorney.
IPOS	InsufficientThresholdPosition	Position is less than required threshold.
IREG	RegistrationDiscrepancy	Invalid registration discrepancy.
ITAX	IncorrectTaxRate	Tax rate provided is incorrect. It falls outside the acceptable values for that investment country.
LAAW	AwaitingOtherTransaction	Awaiting settlement of a purchase to cover failing positions.
LACK	LackOfSecurities	Insufficient financial instruments in your account.
LALO	SecuritiesLoanedOut	Financial instruments are out on loan.
LATE	MarketDeadlineMissed	Instruction was received after market deadline.
LINK	PendingLinkedInstruction	Your instruction is pending settlement because the instruction linked to it is pending.
LIQU	InsufficientCentralBankLiquidity	Central bank liquidity is insufficient.
LPRO	LongerProcessing	Longer processing timeframe for this type of transfer, due to documentation requirements.
MCER	MissingCertification	Awaiting receipt of adequate certification.
MINF	MissingInformation	Information, for example, telephone number, contact person, is missing.
MINO	MinimumSettlementAmount	Quantity instructed is lower than the minimum existing settlement quantity for the financial instrument.
MLAT	MoneySecuritiesTooLateForSettlement	Covering money/financial instruments were received too late for completing settlement on a same day basis.
MONY	InsufficientMoney	Insufficient money in your account.

Code	Name	Definition
MTAX	MissingTaxRate	Tax rate is missing.
MUNO	MultipleSettlementAmount	Quantity instructed is not a multiple of an existing settlement quantity lot for the financial instrument.
NCON	ConfirmationNotReceived	Confirmation of settlement has not yet been received.
NEWI	NewIssues	Financial instrument is a new issue and not yet available/tradable.
NEXT	NextProcess	Next process is launched. No processing pending problems to be reported.
NMAS	NoMatchingRequired	Instruction has not been matched; matching process is not required.
NOFX	NoForeignExchangeInstruction	A foreign exchange instruction from you is missing.
NPAY	NoPayment	Payment has not been made by issuer.
NPOS	NoRegisteredPosition	Insufficient or no registered position.
NRCP	TransferAgentNonReceipt	Transfer agent claims non-receipt of physical shares.
NSEC	NotDelivered	Financial instruments have not been delivered by the issuer.
NTAX	InconsistentTaxRate	Tax rate is not consistent with the documentation in place.
OBJT	UnderObjection	Financial instruments are stolen, in dispute, under objection etc.
OTHR	Other	Other. See Narrative.
OVER	NormalProcessingPeriodLapsed	The instructed position exceeds the eligible balance.
PART	TradeSettlesInPartials	Trade will settle in partials.
PATD	PartialDiffer	Disagreement on partial indicator preventing partial settlement.
PCAP	PendingCAP	Payment is pending, and does not settle because the actual use of the risk management limit on the counterpart (bilateral limit) prevents settlement.
PCNF	ConfirmationOfPayment	Prior payment credited to account based contractual income collection agreement has been collected from issuer.
PENR	PendingReceipt	The instruction is pending receipt of securities, for example, from a purchase or loan.
PHCK	PhysicalSecuritiesVerification	Physical financial instruments have been received and are being checked for authenticity.
PHSE	PhysicalDeliveryDelay	Settlement is physical. Financial instruments are being delivered.

Code	Name	Definition
PRCY	CounterpartyInstructionOnHold	Counterparty's instruction is a preadvice, that is, for matching only.
PREA	YourInstructionOnHold	Your instruction is a preadvice, that is, for matching only.
PREL	PartiallyReleased	Transaction has been partially released.
PRSY	SystemOnHold	Transaction was put on hold/frozen by the system.
PRXY	ProxyCardDiscrepancy	Invalid Proxy Information.
REFS	NotInGoodOrder	Delivery/receipt was refused because physical financial instruments are not in good order.
REFU	InstructionRefusedOrNotRecognised	Instruction has been refused or not recognised and is represented automatically.
REGT	CertificatesRejected	Certificates have been lodged with the registrar but rejected due to incomplete documentation or foreign ownership limitation reached.
SBLO	SecuritiesBlocked	Financial instruments are blocked due to a corporate action event, realignment, etc.
SDUT	LackOfStampDutyInformation	Stamp duty information is missing.
SETS	SettlementSystemMethodModified	Settlement system/method has been modified at central securities depository to allow settlement.
SNAV	SystemNotAvailable	System is not available. Instruction is sent outside of business hours.
STCD	ConfirmationDiscrepancy	Discrepancy in the settlement confirmation.
STST	StockTransferFormSent	Stock transfer form has been sent to the counterparty to sign and forward to the transfer agent.
TAMM	TradeAmendedInMarket	Trade is being amended in the market.
TAPR	TransferAgentProcessing	Transfer is being processed by transfer agent.
USUA	UsualTransactionTime	Usual transfer agent's processing time-frame.
VLDA	ValidForTaxAuthorities	For tax reclaim, the event is pending, the tax reclaim is valid for the tax authorities.
WCPA	WrongCounterpartyAccount	Wrong counterparty account details.
WTRF	AwaitingTransferAgentStatus	Transfer is being processed by the transfer agent, awaiting status from transfer agent.
XCNF	ExpectedConfirmation	Confirmation is expected from transfer agent.
YCOL	CollateralShortage	Insufficient collateral in your account to execute the instruction.

Is restricted by

["PendingReason29Code" on page 54](#)

5.10 PendingReason29Code

Definition: Standard code to specify the reason why the instruction/event has a pending status.

Type: CodeSet

Code	Name	Definition
AUTH	SentToTaxAuthorities	<p>Instruction/event is pending because the reclaim is sent to the tax authorities.</p> <p>Usage Guideline restrictions for this code</p> <ul style="list-style-type: none"> • This code(seev.032.001.09/Event-ProcessingStatus/Pending/Reason/ReasonCode/Code/SentToTax-Authorities) is removed.
NPAY	NoPayment	Payment has not been made by issuer.
NSEC	NotDelivered	Financial instruments have not been delivered by the issuer.
OTHR	Other	Other. See Narrative.

Used in element(s)

["Code" on page 22](#)

Restricts

["PendingFailingReasonV2Code" on page 47](#)

5.11 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	<code>([0-9a-zA-Z\-\?:\(\)\.,'\+]([0-9a-zA-Z\-\?:\(\)\.,'\+]*([0-9a-zA-Z\-\?:\(\)\.,'\+])?)*)</code>

Used in element(s)

["AccountOwnerDocumentIdentification" on page 14](#), ["AccountServicerDocumentIdentification" on page 14](#), ["ClassActionNumber" on page 11](#), ["CorporateActionEventIdentification" on page 11](#), ["Identification" on page 15](#), ["OfficialCorporateActionEventIdentification" on page 11](#)

5.12 RestrictedFINXMax210Text

Definition: Specifies a character string with a maximum length of 210 characters limited to character set X, that is, a-z A-Z / - ? : () . , ' + .

Type: Text

Format

maxLength	210
minLength	1
pattern	[0-9a-zA-Z\-\?:\(\)\.\\n\\r,\'+]{1,210}

Used in element(s)

["AdditionalReasonInformation" on page 24](#), ["AdditionalReasonInformation" on page 25](#)

5.13 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	(([0-9a-zA-Z\-\?:\(\)\.\\n\\r,\'+] ([0-9a-zA-Z\-\?:\(\)\.\\n\\r,\'+]*([0-9a-zA-Z\-\?:\(\)\.\\n\\r,\'+])?*))

Used in element(s)

["Identification" on page 20](#)

5.14 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 12, "PartyContactNarrative" on page 12

5.15 SpecialPurposeCode

Definition: Specifies special purpose codes.

Type: CodeSet

Code	Name	Definition
ANYM	AnyMIC	Any MIC code.
BLNK	Blank	Blank value.
FALS	False	Negative indication.
NOAP	NotApplicable	Not applicable (N/A).
NORE	NoReason	No reason to report or no reason available to report.
NORP	NotReported	Value not reported by the party.
NTAV	NotAvailable	Not available (N/A).
TRUE	True	Positive indication.

Is restricted by

"NoReasonCode" on page 47

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