

Usage Guideline

Corporate Action Movement Confirmation - Extension supl.011.001.11

DTCC - US - CA - Payment Processing - SR 2025

This document describes a usage guideline restricting the base message **MX supl.011.001.11**. You can also consult [this information online](#).

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Message Functionality

Overview

The DTCCCACOSD1 message extends ISO corporate action movement confirmation message with DTCC corporate action elements not covered in the standard message.

Collection Description

Outline

The DTCC - US - CA - Payment Processing - SR 2025 / Corporate Action Movement Confirmation Extension supl.011.001.11 message is composed of 8 building blocks

- a. CorporateActionGeneralInformation
Information to be extended as supplementary data to corporate action general information.
- b. UnderlyingSecurity
Information to be extended as supplementary data to underlying security details.
- c. CorporateActionDetails
Information to be extended as supplementary data to corporate action details.
- d. AccountBalance
Information to be extended as supplementary data to account balance.
- e. CorporateActionConfirmationDetails
Information to be extended as supplementary data to corporate action confirmation details.
- f. CorporateActionConfirmationSecuritiesMovementDetails
Information to be extended as corporate action confirmation securities movement details.
- g. CorporateActionConfirmationCashMovementDetails
Information to be extended as supplementary data to corporate action confirmation cash movement details.
- h. OptionTransactionDetails
Information to be extended as supplementary data to corporate action option details.

1 Restriction summary

This Usage Guideline restricts the supl.011.001.11 message.

Restriction Type	See page
Removed elements	30
Make mandatory	n.a.
Reduce Multiplicity	n.a.
Ignore	n.a.
Text rules	17, 23
Conditional rules	18, 23
Formal rules	n.a.
Fixed values	n.a.
Truncates	n.a.
Comments	25
Annotations	n.a.
Changed datatypes	n.a.
Extensions	n.a.
Synonyms	n.a.

2 Structure

ⓧ 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
	<i>DTCCCACOSD1V11</i>	<DTCCCACOSD1>		[1..1]		
	CorporateActionGeneralInformation	<CorpActnGnlInf>		[0..1]		8
	PlaceAndName	<PlcAndNm>		[0..1]		25
	EventGroup	<EvtGrp>		[0..1]	⚠	25
	EventType	<EvtTp>		[0..1]		25
	SubEventType	<SubEvtTp>		[0..1]		25
	RedemptionIdentification	<RedId>		[0..1]		26
	UnderlyingSecurity	<UndrlygScty>		[0..1]		8
	PlaceAndName	<PlcAndNm>		[0..1]		29
	OriginatingSecurityIdentification	<OrgtgSctyId>		[0..1]		29
	MoneyMarketInstrumentFlag	<MnyMktInstrmFlg>		[0..1]		29
	CorporateActionDetails	<CorpActnDtls>		[0..1]		8
	PlaceAndName	<PlcAndNm>		[0..1]		26
	LotterySequenceNumber	<LtrySeqNb>		[0..1]		26
	LotteryDate	<LtryDt>		[0..1]		27
	ProcessToDate	<PrcToDt>		[0..1]		27
	AccountBalance	<AcctBal>		[0..*]		9
	PlaceAndName	<PlcAndNm>		[0..1]		13
	OriginalBalance	<OrgnlBal>		[0..1]		13
	UnpledgedBalance	<UpldgdBal>		[0..1]		14
	InvestmentUnpledgedBalance	<InvstmtUpldgdBal>		[0..1]		14
	InvestmentPledgedBalance	<InvstmtPlgdBal>		[0..1]		14
	OversubscriptionBalance	<OvrscptBal>		[0..1]		15
	CorporateActionConfirmationDetails	<CorpActnConfDtls>		[0..1]		9
	PlaceAndName	<PlcAndNm>		[0..1]		20
	ProrationRoundingIndicator	<PrratnRndgInd>		[0..1]		20
	ProrationFraction	<PrratnFrctn>		[0..1]		20
	CorporateActionConfirmationSecuritiesMovementDetails	<CorpActnConfSciesMvmntDtls>		[0..*]		10

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		21
	CreditDebitIndicator	<CdtDbtInd>		[1..1]		21
	PayoutType	<PyoutTp>		[1..1]		21
	TransactionQuantity	<TxQty>		[0..1]		21
	ReasonCode	<RsnCd>		[0..1]		22
	SubReasonCode	<SubRsnCd>		[0..1]		22
	ContraParticipantNumber	<ContraPtcptNb>		[0..1]		22
	MaturityDate	<MtrtyDt>		[0..1]		22
	PostingDate	<PstngDt>		[0..1]		22
	TaxAdjustmentRate	<TaxAdjstmntRate>		[0..1]		23
	RDReferenceNumber	<RDPRefNb>		[0..1]		23
	RoundingFactor	<RndgFctr>		[0..1]		24
	CorporateActionConfirmationCash-MovementDetails	<CorpActnConfCshMvmnt-Dtls>		[0..*]		10
	PlaceAndName	<PlcAndNm>		[0..1]		16
	CreditDebitIndicator	<CdtDbtInd>		[1..1]		16
	PayoutType	<PyoutTp>		[1..1]		16
	TransactionAmount	<TxAmt>		[0..1]		16
	ReasonCode	<RsnCd>		[0..1]		16
	SubReasonCode	<SubRsnCd>		[0..1]		17
	ContraParticipantNumber	<ContraPtcptNb>		[0..1]		17
	PostingDate	<PstngDt>		[0..1]		17
	TaxAdjustmentRate	<TaxAdjstmntRate>		[0..1]		17
	RDReferenceNumber	<RDPRefNb>		[0..1]		18
	TransactionQuantity	<TxQty>		[0..1]		19
	OptionTransactionDetails	<OptnTxDtls>		[0..*]		11
	PlaceAndName	<PlcAndNm>		[0..1]		32
	TransactionIdentification	<TxId>		[1..1]		32
	TransactionSequenceNumber	<TxSeqNb>		[0..1]		32
	TransactionIdentificationDate	<TxIdDt>		[1..1]		32
	TransactionIdentificationQuantity	<TxIdQty>		[1..1]		33
	TransactionIdentificationOversubscriptionQuantity	<TxIdOvrscptQty>		[0..1]		33

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	AcceptedQuantity	<AccptdQty>		[0..1]		33
	UnacceptedQuantity	<UaccptdQty>		[0..1]		34
	EntitledAmount	<EntitldAmt>		[0..1]		34
	EntitledQuantity	<EntitldQty>		[0..1]		34
	EntitledOversubscriptionQuantity	<EntitldOvrsbcptQty>		[0..1]		35
	SubscriptionAmount	<SbcptAmt>		[0..1]		35
	OversubscriptionAmount	<OvrsbcptAmt>		[0..1]		35
	CashInLieuOfShare	<CshInLieuOfShr>		[0..1]		35
	CustomerReferenceIdentification	<CstmrRefId>		[0..1]		36
	AgentEnteredQuantity	<AgtNtrdQty>		[0..1]		36
	InstructionComments	<InstrCmnts>		[0..1]		36
	AdjustedSubscriptionAmount	<AdjstdSbcptAmt>		[0..1]		36
	RefundedSubscriptionAmount	<RfnddSbcptAmt>		[0..1]		36

3 Message Building Blocks

Note The following chapter identifies the building blocks of the DTCC - US - CA - Payment Processing - SR 2025 / Corporate Action Movement Confirmation Extension supl.011.001.11 message definition.







3.1 CorporateActionGeneralInformation


XML Tag: CorpActnGnllnf

Presence: [0..1]

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

The **CorpActnGnllnf** block contains the following elements (see datatype "CorporateActionGeneralInformationSD60" 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
	PlaceAndName	<PlcAndNm>		[0..1]		25
	EventGroup	<EvtGrp>		[0..1]		25
	EventType	<EvtTp>		[0..1]		25
	SubEventType	<SubEvtTp>		[0..1]		25
	RedemptionIdentification	<RedId>		[0..1]		26







3.2 UnderlyingSecurity

XML Tag: UndrlygScty

Presence: [0..1]

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

The **UndrlygScty** block contains the following elements (see datatype "FinancialInstrumentAttributesSD21" 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
	PlaceAndName	<PlcAndNm>		[0..1]		29
	OriginatingSecurityIdentification	<OrgtgSctyId>		[0..1]		29
	MoneyMarketInstrumentFlag	<MnyMktInstrmFlg>		[0..1]		29

3.3 CorporateActionDetails

XML Tag: CorpActnDtIs

Presence: [0..1]

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

The **CorpActnDtIs** block contains the following elements (see datatype "[CorporateActionSD20](#)" 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
	PlaceAndName	<PlcAndNm>		[0..1]		26
	LotterySequenceNumber	<LtrySeqNb>		[0..1]		26
	LotteryDate	<LtryDt>		[0..1]		27
	ProcessToDate	<PrcToDt>		[0..1]		27

3.4 AccountBalance

XML Tag: AcctBal

Presence: [0..*]

Definition: Information to be extended as supplementary data to account balance.

The **AcctBal** block contains the following elements (see datatype "[AccountBalanceSD14](#)" 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
	PlaceAndName	<PlcAndNm>		[0..1]		13
	OriginalBalance	<OrgnlBal>		[0..1]		13
	UnpledgedBalance	<UpldgdBal>		[0..1]		14
	InvestmentUnpledgedBalance	<InvstmtUpldgdBal>		[0..1]		14
	InvestmentPledgedBalance	<InvstmtPldgdBal>		[0..1]		14
	OversubscriptionBalance	<OvrscptBal>		[0..1]		15







3.5 CorporateActionConfirmationDetails

XML Tag: CorpActnConfDtIs

Presence: [0..1]

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

The **CorpActnConfDtIs** block contains the following elements (see datatype "[CorporateActionConfirmationDetailsSD2](#)" 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
	PlaceAndName	<PlcAndNm>		[0..1]		20
	ProrationRoundingIndicator	<PrratnRndgInd>		[0..1]		20
	ProrationFraction	<PrratnFrctn>		[0..1]		20







3.6 CorporateActionConfirmationSecurities-MovementDetails



XML Tag: CorpActnConfSctiesMvmntDtls

Presence: [0..*]

Definition: Information to be extended as corporate action confirmation securities movement details.

The **CorpActnConfSctiesMvmntDtls** block contains the following elements (see datatype "Corporate-ActionConfirmationSecuritiesMovementDetailsSD6" 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
	PlaceAndName	<PlcAndNm>		[0..1]		21
	CreditDebitIndicator	<CdtDbtInd>		[1..1]		21
	PayoutType	<PyoutTp>		[1..1]		21
	TransactionQuantity	<TxQty>		[0..1]		21
	ReasonCode	<RsnCd>		[0..1]		22
	SubReasonCode	<SubRsnCd>		[0..1]		22
	ContraParticipantNumber	<ContraPtcptNb>		[0..1]		22
	MaturityDate	<MtrtyDt>		[0..1]		22
	PostingDate	<PstngDt>		[0..1]		22
	TaxAdjustmentRate	<TaxAdjstmntRate>		[0..1]		23
	RDPReferenceNumber	<RDPRefNb>		[0..1]		23
	RoundingFactor	<RndgFctr>		[0..1]		24

3.7 CorporateActionConfirmationCashMovement-Details

XML Tag: CorpActnConfCshMvmntDtls

Presence: [0..*]

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

The **CorpActnConfCshMvmntDtls** block contains the following elements (see datatype "CorporateActionConfirmationCashMovementDetailsSD5" 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
	PlaceAndName	<PlcAndNm>		[0..1]		16
	CreditDebitIndicator	<CdtDbtInd>		[1..1]		16
	PayoutType	<PoutTp>		[1..1]		16
	TransactionAmount	<TxAmt>		[0..1]		16
	ReasonCode	<RsnCd>		[0..1]		16
	SubReasonCode	<SubRsnCd>		[0..1]		17
	ContraParticipantNumber	<ContraPtcptNb>		[0..1]		17
	PostingDate	<PstngDt>		[0..1]		17
	TaxAdjustmentRate	<TaxAdjstmntRate>		[0..1]	⚠	17
	RDPReferenceNumber	<RDPRefNb>		[0..1]	⚠	18
	TransactionQuantity	<TxQty>		[0..1]		19

3.8 OptionTransactionDetails

XML Tag: OptnTxDtls

Presence: [0..*]

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

The **OptnTxDtls** block contains the following elements (see datatype "OptionTransactionSD6" on page 31 for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		32
	TransactionIdentification	<TxId>		[1..1]		32
	TransactionSequenceNumber	<TxSeqNb>		[0..1]		32
	TransactionIdentificationDate	<TxIdDt>		[1..1]		32
	TransactionIdentificationQuantity	<TxIdQty>		[1..1]		33
	TransactionIdentificationOver-subscriptionQuantity	<TxIdOvrsbcptQty>		[0..1]		33







Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	AcceptedQuantity	<AccptdQty>		[0..1]		33
	UnacceptedQuantity	<UaccptdQty>		[0..1]		34
	EntitledAmount	<EntitldAmt>		[0..1]		34
	EntitledQuantity	<EntitldQty>		[0..1]		34
	EntitledOversubscriptionQuantity	<EntitldOvrscptQty>		[0..1]		35
	SubscriptionAmount	<SbcptAmt>		[0..1]		35
	OversubscriptionAmount	<OvrscptAmt>		[0..1]		35
	CashInLieuOfShare	<CshInLieuOfShr>		[0..1]		35
	CustomerReferenceIdentification	<CstmrRefId>		[0..1]		36
	AgentEnteredQuantity	<AgtNtrdQty>		[0..1]		36
	InstructionComments	<InstrCmnts>		[0..1]		36
	AdjustedSubscriptionAmount	<AdjstdSbcptAmt>		[0..1]		36
	RefundedSubscriptionAmount	<RfnddSbcptAmt>		[0..1]		36

4 Message Components

Note The following chapter identifies the message components.

4.1 AccountBalanceSD14

Definition: Provides additional information regarding account balance. Contains transaction details of the stock loans, repurchase agreements (REPOs) and undelivered trades (FAILs).

 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]		13
	OriginalBalance	<OrgnlBal>		[0..1]		13
	UnpledgedBalance	<UpldgdBal>		[0..1]		14
	InvestmentUnpledgedBalance	<InvstmtUpldgdBal>		[0..1]		14
	InvestmentPledgedBalance	<InvstmtPldgdBal>		[0..1]		14
	OversubscriptionBalance	<OvrshcptBal>		[0..1]		15

Used in element(s)

"AccountBalance" on page 9

4.1.1 PlaceAndName

XML Tag: PlcAndNm

Presence: [0..1]

Definition: Xpath to the element that is being extended.

Datatype: "Max350Text" on page 82







4.1.2 OriginalBalance

XML Tag: OrgnlBal

Presence: [0..1]

Definition: Position held in a security as of the day prior to publication date. This position is subject to a redemption lottery call when this is the first lottery. This balance will not be adjusted for the supplemental or concurrent lotteries and will remain constant to report the original position.

The **OrgnlBal** block contains the following elements (see datatype "SignedQuantityFormat9" 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
	ShortLongPosition	<ShrtLngPos>		[1..1]		38
	Quantity	<Qty>		[1..1]		38

4.1.3 UnpledgedBalance

XML Tag: UpldgdBal

Presence: [0..1]

Definition: Portion of the original balance position held in DTC general free account as of day prior to publication date. Position held in this account is subject to redemption lottery call.

The **UpldgdBal** block contains the following elements (see datatype "[SignedQuantityFormat9](#)" 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
	ShortLongPosition	<ShrtLngPos>		[1..1]		38
	Quantity	<Qty>		[1..1]		38

4.1.4 InvestmentUnpledgedBalance

XML Tag: InvstmtUpldgdBal

Presence: [0..1]

Definition: Portion of the original balance position held in DTC segregated account as of day prior to publication date. Position held in this account is subject to redemption lottery call and must be released to allow allocation.

The **InvstmtUpldgdBal** block contains the following elements (see datatype "[SignedQuantityFormat9](#)" 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
	ShortLongPosition	<ShrtLngPos>		[1..1]		38
	Quantity	<Qty>		[1..1]		38

4.1.5 InvestmentPledgedBalance

XML Tag: InvstmtPldgdBal

Presence: [0..1]

Definition: Portion of the original balance position held in DTC investment account as of day prior to publication date. Position held in this account is subject to redemption lottery call and must be released to allow allocation.

The **InvstmtPldgdBal** block contains the following elements (see datatype "[SignedQuantityFormat9](#)" on page 38 for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	ShortLongPosition	<ShrtLngPos>		[1..1]		38
	Quantity	<Qty>		[1..1]		38

4.1.6 OversubscriptionBalance

XML Tag: OvrSbcptBal

Presence: [0..1]

Definition: For rights subscription events, total number of oversubscribed units applicable to the payment or the subscription charge.

The **OvrSbcptBal** block contains the following elements (see datatype "[SignedQuantityFormat9](#)" on page 38 for details)

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



Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	ShortLongPosition	<ShrtLngPos>		[1..1]		38
	Quantity	<Qty>		[1..1]		38

4.2 CorporateActionConfirmationCashMovementDetailsSD5

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

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		16
	CreditDebitIndicator	<CdtDbtInd>		[1..1]		16
	PayoutType	<PyoutTp>		[1..1]		16
	TransactionAmount	<TxAmt>		[0..1]		16
	ReasonCode	<RsnCd>		[0..1]		16
	SubReasonCode	<SubRsnCd>		[0..1]		17
	ContraParticipantNumber	<ContraPtcptNb>		[0..1]		17

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PostingDate	<PstngDt>		[0..1]		17
	TaxAdjustmentRate	<TaxAdjstmntRate>		[0..1]		17
	RDPReferenceNumber	<RDPRefNb>		[0..1]		18
	TransactionQuantity	<TxQty>		[0..1]		19

Used in element(s)

"CorporateActionConfirmationCashMovementDetails" on page 10

4.2.1 PlaceAndName

XML Tag: PlcAndNm

Presence: [0..1]

Definition: Xpath to the element that is being extended.

Datatype: "Max350Text" on page 82

4.2.2 CreditDebitIndicator

XML Tag: CdtDbtInd

Presence: [1..1]

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

Datatype: "CreditDebitCode" on page 40

4.2.3 PayoutType

XML Tag: PyoutTp

Presence: [1..1]

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

Datatype: "DTCCPayoutType5Code" on page 64

4.2.4 TransactionAmount

XML Tag: TxAmt

Presence: [0..1]

Definition: Resulting cash amount concerned in this transaction.

Datatype: "RestrictedFINActiveCurrencyAndAmount" on page 83

4.2.5 ReasonCode

XML Tag: RsnCd

Presence: [0..1]

Definition: Transaction reason.

Datatype: ["DTCAdjustmentPaymentType4Code"](#) on page 60

4.2.6 SubReasonCode

XML Tag: SubRsnCd

Presence: [0..1]

Definition: Transaction sub reason.

Datatype: ["DTCAdjustmentPaymentSubReason2Code"](#) on page 40

4.2.7 ContraParticipantNumber

XML Tag: ContraPtcptNb

Presence: [0..1]

Definition: Transaction contra participant identification when shares are distributed / delivered to / from another participant.

Datatype: ["Max8Text"](#) on page 82

4.2.8 PostingDate

XML Tag: PstngDt

Presence: [0..1]

Definition: Date/Time on which the posting /draft of the securities took place.

The **PstngDt** block contains the following elements (see datatype ["DateFormat48Choice"](#) on page 27 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
	Date	<Dt>	{Or	[1..1]		28
	DateCode	<DtCd>	Or}	[1..1]		28

4.2.9 TaxAdjustmentRate

XML Tag: TaxAdjstmntRate

Presence: [0..1]

Definition: Set of the DTC legacy sub reason codes representing tax rate. Used with reason codes 'TJXD' 'TJXF' 'TJXI' 'TJXL' 'TJXR' 'TJXT' 'TJXU' to identify the correct tax rate.

Datatype: ["PercentageRate"](#) on page 83

Usage Guideline details

- on [supl.011.001.11/CorporateActionConfirmationCashMovementDetails/TaxAdjustmentRate](#)
 - DTCC Tax Adjustment Rate Rule:

The correct definition is : Set of the DTC legacy sub reason codes representing tax rate. Used with reason codes 'TJXD' 'TJXF' 'TJXI' 'TJXL' 'TJXR' 'TJXT' 'TJXU' 'TJXO' 'TJXV' to identify the correct tax rate.

4.2.10 RDPReferenceNumber

XML Tag: RDPRefNb

Presence: [0..1]

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

Datatype: "Exact32AlphaNumericText" on page 75

Usage Guideline details

- on **supl.011.001.11/CorporateActionConfirmationCashMovementDetails/RDPReferenceNumber**

– RDP Reference Number Composition Conditional Rule:

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

If

Event category is Distributions or Redemptions

Then

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

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

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

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

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

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

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

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

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

Else

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

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

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

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

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

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

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

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

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

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

4.2.11 TransactionQuantity

XML Tag: TxQty

Presence: [0..1]

Definition: Quantity used on adjustment transactions which when summed across all extension movements equals the relevant balance in the core message. For example, a summation of loan and borrow movements when summed which is negative will show the net total in the borrow balance in the core message. While a summation of loan and borrow movements which is positive will show in the loan balance.

The **TxQty** block contains the following elements (see datatype "[FinancialInstrumentQuantity15Choice](#)" on page 29 for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Unit	<Unit>	{Or	[1..1]		30
	FaceAmount	<FaceAmt>	Or	[1..1]		30
	AmortisedValue	<AmtsdVal>	Or}	[1..1]		30

4.3 CorporateActionConfirmationDetailsSD2

Definition: Provides additional information regarding corporate action confirmation details.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		20
	ProrationRoundingIndicator	<PrratnRndgInd>		[0..1]		20
	ProrationFraction	<PrratnFrctn>		[0..1]		20

Used in element(s)

"[CorporateActionConfirmationDetails](#)" on page 9

4.3.1 PlaceAndName

XML Tag: PlcAndNm

Presence: [0..1]

Definition: Xpath to the element that is being extended.

Datatype: "Max350Text" on page 82

4.3.2 ProrationRoundingIndicator

XML Tag: PrratnRndgInd

Presence: [0..1]

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

Datatype: "FractionDispositionType12Code" on page 79

4.3.3 ProrationFraction

XML Tag: PrratnFrctn







Presence: [0..1]

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



Datatype: "DecimalNumber" on page 75

4.4 CorporateActionConfirmationSecuritiesMovement-DetailsSD6

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

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		21
	CreditDebitIndicator	<CdtDbtInd>		[1..1]		21
	PayoutType	<PyoutTp>		[1..1]		21
	TransactionQuantity	<TxQty>		[0..1]		21
	ReasonCode	<RsnCd>		[0..1]		22
	SubReasonCode	<SubRsnCd>		[0..1]		22
	ContraParticipantNumber	<ContraPtcptNb>		[0..1]		22
	MaturityDate	<MtrtyDt>		[0..1]		22
	PostingDate	<PstngDt>		[0..1]		22

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	TaxAdjustmentRate	<TaxAdjstmntRate>		[0..1]		23
	RDPReferenceNumber	<RDPRefNb>		[0..1]		23
	RoundingFactor	<RndgFctr>		[0..1]		24

Used in element(s)

"CorporateActionConfirmationSecuritiesMovementDetails" on page 10

4.4.1 PlaceAndName

XML Tag: PlcAndNm

Presence: [0..1]

Definition: Xpath to the element that is being extended.

Datatype: "Max350Text" on page 82

4.4.2 CreditDebitIndicator

XML Tag: CdtDbtInd

Presence: [1..1]

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

Datatype: "CreditDebitCode" on page 40

4.4.3 PayoutType

XML Tag: PyoutTp

Presence: [1..1]

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

Datatype: "DTCCPayoutType4Code" on page 64







4.4.4 TransactionQuantity

XML Tag: TxQty

Presence: [0..1]

Definition: Resulting quantity of securities concerned in this transaction.

The **TxQty** block contains the following elements (see datatype "FinancialInstrumentQuantity15Choice" 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
	Unit	<Unit>	{Or	[1..1]		30

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	FaceAmount	<FaceAmt>	Or	[1..1]		30
	AmortisedValue	<AmtsdVal>	Or}	[1..1]		30

4.4.5 ReasonCode

XML Tag: RsnCd

Presence: [0..1]

Definition: Transaction reason.

Datatype: ["DTCAdjustmentPaymentType4Code"](#) on page 60

4.4.6 SubReasonCode

XML Tag: SubRsnCd

Presence: [0..1]

Definition: Transaction sub reason.

Datatype: ["DTCAdjustmentPaymentSubReason2Code"](#) on page 40

4.4.7 ContraParticipantNumber

XML Tag: ContraPtcptNb

Presence: [0..1]

Definition: Transaction contra participant identification when shares are distributed / delivered to / from another participant.

Datatype: ["Max8Text"](#) on page 82

4.4.8 MaturityDate

XML Tag: MtrtyDt

Presence: [0..1]

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

Datatype: ["ISODate"](#) on page 80







4.4.9 PostingDate

XML Tag: PstngDt

Presence: [0..1]

Definition: Date/Time on which the posting /draft of the securities took place.

The **PstngDt** block contains the following elements (see datatype ["DateFormat48Choice"](#) 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
	Date	<Dt>	{Or	[1..1]		28
	DateCode	<DtCd>	Or}	[1..1]		28

4.4.10 TaxAdjustmentRate

XML Tag: TaxAdjstmntRate

Presence: [0..1]

Definition: Set of the DTC legacy sub reason codes representing tax rate. Used with reason codes 'TJXD' 'TJXF' 'TJXI' 'TJXL' 'TJXR' 'TJXT' 'TJXU' to identify the correct tax rate.

Datatype: "PercentageRate" on page 83

Usage Guideline details

- on supl.011.001.11/CorporateActionConfirmationSecuritiesMovementDetails/TaxAdjustmentRate

– DTCC Tax Adjustment Rate Rule:

The correct definition is : Set of the DTC legacy sub reason codes representing tax rate. Used with reason codes 'TJXD' 'TJXF' 'TJXI' 'TJXL' 'TJXR' 'TJXT' 'TJXU' 'TJXO' 'TJXV' to identify the correct tax rate.

4.4.11 RDPReferenceNumber

XML Tag: RDPRefNb

Presence: [0..1]

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

Datatype: "Exact32AlphaNumericText" on page 75

Usage Guideline details

- on supl.011.001.11/CorporateActionConfirmationSecuritiesMovementDetails/RDPReferenceNumber

– RDP Reference Number Composition Conditional Rule:

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

If

Event category is Distributions or Redemptions

Then

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

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

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

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

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

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

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

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

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

Else

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

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

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

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

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

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

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

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

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

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

4.4.12 RoundingFactor

XML Tag: RndgFctr







Presence: [0..1]


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

Datatype: "DecimalNumber" on page 75

4.5 CorporateActionGeneralInformationSD60

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

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		25
	EventGroup	<EvtGrp>		[0..1]		25
	EventType	<EvtTp>		[0..1]		25
	SubEventType	<SubEvtTp>		[0..1]		25
	RedemptionIdentification	<RedId>		[0..1]		26

Used in element(s)

"CorporateActionGeneralInformation" on page 8

4.5.1 PlaceAndName

XML Tag: PlcAndNm

Presence: [0..1]

Definition: Xpath to the element that is being extended.

Datatype: "Max350Text" on page 82

4.5.2 EventGroup

XML Tag: EvtGrp

Presence: [0..1]

Definition: DTC processing domain/ category for event types.

Datatype: "EventGroup2Code" on page 75

Usage Guideline details

- on **supl.011.001.11/CorporateActionGeneralInformation/EventGroup**

Comment:

Used for Redemption events only

4.5.3 EventType

XML Tag: EvtTp

Presence: [0..1]

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

Datatype: "ExtendedEventType6Code" on page 76

4.5.4 SubEventType

XML Tag: SubEvtTp

Presence: [0..1]

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

Datatype: "DTCCSubEventType11Code" on page 66

4.5.5 RedemptionIdentification

XML Tag: RedId

Presence: [0..1]

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

Datatype: "Max10NumericText" on page 81

4.6 CorporateActionSD20

Definition: Provides additional information regarding corporate action details.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		26
	LotterySequenceNumber	<LtrySeqNb>		[0..1]		26
	LotteryDate	<LtryDt>		[0..1]		27
	ProcessToDate	<PrcToDt>		[0..1]		27

Used in element(s)

"CorporateActionDetails" on page 8

4.6.1 PlaceAndName

XML Tag: PlcAndNm

Presence: [0..1]

Definition: Xpath to the element that is being extended.

Datatype: "Max350Text" on page 82

4.6.2 LotterySequenceNumber

XML Tag: LtrySeqNb

Presence: [0..1]

Definition: DTC generated number to distinguish between the series of lotteries run against a particular redemption.

Datatype: "Max3NumericText" on page 82

4.6.3 LotteryDate

XML Tag: LtryDt

Presence: [0..1]

Definition: Date/time on which the lottery is run and applied to the holder's positions. This is also applicable to partial calls.

Datatype: ["ISODate" on page 80](#)

4.6.4 ProcessToDate

XML Tag: PrcToDt







Presence: [0..1]

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

Datatype: ["ISODate" on page 80](#)

4.7 DateAndDateTime2Choice

Definition: Choice between a date or a date and time 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
	Date	<Dt>	{Or	[1..1]		27
	DateTime	<DtTm>	Or}	[1..1]		27

Used in element(s)

["Date" on page 28](#)

4.7.1 Date

XML Tag: Dt

Presence: [1..1]

Definition: Specified date.

Datatype: ["ISODate" on page 80](#)

4.7.2 DateTime

XML Tag: DtTm

Presence: [1..1]

Definition: Specified date and time.

Datatype: ["ISODatetime" on page 80](#)

4.8 DateFormat48Choice

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

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Date	<Dt>	{Or	[1..1]		28
	DateCode	<DtCd>	Or}	[1..1]		28

Used in element(s)

"PostingDate" on page 17, "PostingDate" on page 22

4.8.1 Date

XML Tag: Dt

Presence: [1..1]

Definition: Date expressed as a calendar date.

The **Dt** block contains the following elements (see datatype "[DateAndDateTime2Choice](#)" on page 27 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
	Date	<Dt>	{Or	[1..1]		27
	DateTime	<DtTm>	Or}	[1..1]		27

4.8.2 DateCode

XML Tag: DtCd

Presence: [1..1]

Definition: Specifies the type of date.

Datatype: "[DateType8Code](#)" on page 73

4.9 FinancialInstrumentAttributesSD21

Definition: Provides additional information regarding underlying security details.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		29
	OriginatingSecurityIdentification	<OrgtgSctyId>		[0..1]		29

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	MoneyMarketInstrumentFlag	<MnyMktInstrmFlg>		[0..1]		29

Used in element(s)

"UnderlyingSecurity" on page 8

4.9.1 PlaceAndName

XML Tag: PlcAndNm

Presence: [0..1]

Definition: Xpath to the element that is being extended.

Datatype: "Max350Text" on page 82







4.9.2 OriginatingSecurityIdentification

XML Tag: OrgtgSctyld

Presence: [0..1]

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

The **OrgtgSctyld** block contains the following elements (see datatype "OtherIdentification2" 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
	Identification	<Id>		[1..1]		37
	Suffix	<Sfx>		[0..1]		37
	Type	<Tp>		[1..1]		37

4.9.3 MoneyMarketInstrumentFlag

XML Tag: MnyMktInstrmFlg







Presence: [0..1]


Definition: Indicates that the underlying security is a money market instrument.

Datatype: "YesNoIndicator" on page 86

4.10 FinancialInstrumentQuantity15Choice

Definition: Choice between formats for the quantity of security.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Unit	<Unit>	{Or	[1..1]		30
	FaceAmount	<FaceAmt>	Or	[1..1]		30
	AmortisedValue	<AmtsdVal>	Or}	[1..1]		30

Used in element(s)

"AcceptedQuantity" on page 33, "AgentEnteredQuantity" on page 36, "EntitledOversubscriptionQuantity" on page 35, "EntitledQuantity" on page 34, "Quantity" on page 38, "TransactionIdentificationOversubscriptionQuantity" on page 33, "TransactionIdentificationQuantity" on page 33, "TransactionQuantity" on page 19, "TransactionQuantity" on page 21, "UnacceptedQuantity" on page 34

4.10.1 Unit

XML Tag: Unit

Presence: [1..1]

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

Datatype: "RestrictedFINDecimalNumber" on page 84

4.10.2 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 85

4.10.3 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 85

Usage Guideline details

- This element(supl.011.001.11/AccountBalance/OriginalBalance/Quantity/AmortisedValue) is removed.

4.11 IdentificationSource4Choice

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

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Code	<Cd>	{Or	[1..1]		31
	Proprietary	<Prtry>	Or}	[1..1]		31

Used in element(s)

"Type" on page 37

4.11.1 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 78

4.11.2 Proprietary

XML Tag: Prtry







Presence: [1..1]

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

Datatype: "RestrictedFINExact2Text" on page 84

4.12 OptionTransactionSD6

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

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		32
	TransactionIdentification	<TxId>		[1..1]		32
	TransactionSequenceNumber	<TxSeqNb>		[0..1]		32
	TransactionIdentificationDate	<TxIdDt>		[1..1]		32
	TransactionIdentificationQuantity	<TxIdQty>		[1..1]		33
	TransactionIdentificationOver-subscriptionQuantity	<TxIdOvrsubcptQty>		[0..1]		33
	AcceptedQuantity	<AccptdQty>		[0..1]		33
	UnacceptedQuantity	<UaccptdQty>		[0..1]		34
	EntitledAmount	<EntitldAmt>		[0..1]		34

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	EntitledQuantity	<EntitldQty>		[0..1]		34
	EntitledOversubscriptionQuantity	<EntitldOvrbcptQty>		[0..1]		35
	SubscriptionAmount	<SbcptAmt>		[0..1]		35
	OversubscriptionAmount	<OvrbcptAmt>		[0..1]		35
	CashInLieuOfShare	<CshInLieuOfShr>		[0..1]		35
	CustomerReferenceIdentification	<CstmrRefId>		[0..1]		36
	AgentEnteredQuantity	<AgtNtrdQty>		[0..1]		36
	InstructionComments	<InstrCmnts>		[0..1]		36
	AdjustedSubscriptionAmount	<AdjstdSbcptAmt>		[0..1]		36
	RefundedSubscriptionAmount	<RfnddSbcptAmt>		[0..1]		36

Used in element(s)

"OptionTransactionDetails" on page 11

4.12.1 PlaceAndName

XML Tag: PlcAndNm

Presence: [0..1]

Definition: Xpath to the element that is being extended.

Datatype: "Max350Text" on page 82

4.12.2 TransactionIdentification

XML Tag: TxId

Presence: [1..1]

Definition: Unique number assigned by the depository. Transaction identification will be either the DTC Instruction reference number for reorganisation instructions (VOI) or the DAM reference number for custody / reorganisation deposits.

Datatype: "Max15Text" on page 81

4.12.3 TransactionSequenceNumber

XML Tag: TxSeqNb

Presence: [0..1]

Definition: Number which further identifies DTC instruction reference number. Not applicable to reorganisation / custody deposits.

Datatype: "Max3NumericText" on page 82

4.12.4 TransactionIdentificationDate

XML Tag: TxIdDt

Presence: [1..1]

Definition: Instruction date and time for reorganisation instructions or the deposit date for reorganisation / custody deposits.

Datatype: "ISODateTime" on page 80







4.12.5 TransactionIdentificationQuantity

XML Tag: TxIdQty

Presence: [1..1]

Definition: Instructed quantity for reorganisation instructions or the deposit quantity for reorganisation / custody deposits.

The **TxIdQty** block contains the following elements (see datatype "FinancialInstrumentQuantity15Choice" 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
	Unit	<Unit>	{Or	[1..1]		30
	FaceAmount	<FaceAmt>	Or	[1..1]		30
	AmortisedValue	<AmtsdVal>	Or}	[1..1]		30







4.12.6 TransactionIdentificationOversubscriptionQuantity

XML Tag: TxIdOvrbcptQty

Presence: [0..1]

Definition: Oversubscribed quantity of the instruction.

The **TxIdOvrbcptQty** block contains the following elements (see datatype "FinancialInstrumentQuantity15Choice" 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
	Unit	<Unit>	{Or	[1..1]		30
	FaceAmount	<FaceAmt>	Or	[1..1]		30
	AmortisedValue	<AmtsdVal>	Or}	[1..1]		30

4.12.7 AcceptedQuantity

XML Tag: AccptdQty

Presence: [0..1]

Definition: For prorated events, portion of the instructed units that was accepted by the Issuer / Agent.

The **AccptdQty** block contains the following elements (see datatype "[FinancialInstrumentQuantity15Choice](#)" on page 29 for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Unit	<Unit>	{Or	[1..1]		30
	FaceAmount	<FaceAmt>	Or	[1..1]		30
	AmortisedValue	<AmtsdVal>	Or}	[1..1]		30

4.12.8 UnacceptedQuantity

XML Tag: UaccptdQty

Presence: [0..1]

Definition: For prorated events, the portion of the instructed quantity that was not accepted by the Issuer / Agent.

The **UaccptdQty** block contains the following elements (see datatype "[FinancialInstrumentQuantity15Choice](#)" on page 29 for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Unit	<Unit>	{Or	[1..1]		30
	FaceAmount	<FaceAmt>	Or	[1..1]		30
	AmortisedValue	<AmtsdVal>	Or}	[1..1]		30

4.12.9 EntitledAmount

XML Tag: EntitldAmt

Presence: [0..1]

Definition: Amount based upon the DTC cash rate per instruction.

Datatype: "[RestrictedFINActiveCurrencyAndAmount](#)" on page 83

4.12.10 EntitledQuantity

XML Tag: EntitldQty

Presence: [0..1]

Definition: Quantity based upon the DTC security rate per instruction.

The **EntitldQty** block contains the following elements (see datatype "[FinancialInstrumentQuantity15Choice](#)" on page 29 for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Unit	<Unit>	{Or	[1..1]		30
	FaceAmount	<FaceAmt>	Or	[1..1]		30
	AmortisedValue	<AmtsdVal>	Or}	[1..1]		30







4.12.11 EntitledOversubscriptionQuantity

XML Tag: EntitldOvrsbcptQty

Presence: [0..1]

Definition: Entitled units for the oversubscription.

The **EntitldOvrsbcptQty** block contains the following elements (see datatype "[FinancialInstrumentQuantity15Choice](#)" 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
	Unit	<Unit>	{Or	[1..1]		30
	FaceAmount	<FaceAmt>	Or	[1..1]		30
	AmortisedValue	<AmtsdVal>	Or}	[1..1]		30

4.12.12 SubscriptionAmount

XML Tag: SbcptAmt

Presence: [0..1]

Definition: Amount paid to the issuer / agent for subscription cost.

Datatype: "[RestrictedFINActiveCurrencyAndAmount](#)" on page 83

4.12.13 OversubscriptionAmount

XML Tag: OvrsbcptAmt

Presence: [0..1]

Definition: Amount paid to the issuer / agent for the oversubscription cost.

Datatype: "[RestrictedFINActiveCurrencyAndAmount](#)" on page 83

4.12.14 CashInLieuOfShare

XML Tag: CshInLieuOfShr

Presence: [0..1]

Definition: Cash disbursement in lieu of a fractional quantity of, for example, equity.

Datatype: "[RestrictedFINActiveCurrencyAndAmount](#)" on page 83

4.12.15 CustomerReferenceIdentification

XML Tag: CstmrRefId

Presence: [0..1]

Definition: Customer identification entered by client upon instruction submission.

Datatype: "Max30Text" on page 82







4.12.16 AgentEnteredQuantity

XML Tag: AgtNtrdQty

Presence: [0..1]

Definition: Quantity entered by the agent on PUT (Mortgage Backed) instructions to be paid. This quantity can be for the full or partial instructed quantity.

The **AgtNtrdQty** block contains the following elements (see datatype "FinancialInstrumentQuantity15Choice" 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
	Unit	<Unit>	{Or	[1..1]		30
	FaceAmount	<FaceAmt>	Or	[1..1]		30
	AmortisedValue	<AmtdVal>	Or}	[1..1]		30

4.12.17 InstructionComments

XML Tag: InstrCmnts

Presence: [0..1]

Definition: Client free format instruction narrative information. Will be 80 characters for tender instructions, 150 characters for rights instructions and 20 characters for put instructions.

Datatype: "Max210Text" on page 81

4.12.18 AdjustedSubscriptionAmount

XML Tag: AdjstdSbcptAmt

Presence: [0..1]

Definition: Amount of money debited or credited to adjust for the difference between the estimated and the final subscription rate for Rights Exercise events.

Datatype: "RestrictedFINActiveCurrencyAndAmount" on page 83

4.12.19 RefundedSubscriptionAmount

XML Tag: RfnddSbcptAmt







Presence: [0..1]

Definition: Amount of money refunded from the original subscription cost for a Rights Exercise event. This occurs when the event is prorated and the subscription cost relating to the unaffected (unaccepted) balance is returned to the holder.

Datatype: ["RestrictedFINActiveCurrencyAndAmount"](#) on page 83

4.13 OtherIdentification2

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

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Identification	<Id>		[1..1]		37
	Suffix	<Sfx>		[0..1]		37
	Type	<Tp>		[1..1]		37

Used in element(s)

["OriginatingSecurityIdentification"](#) on page 29

4.13.1 Identification

XML Tag: Id

Presence: [1..1]

Definition: Identification of a security.

Datatype: ["RestrictedFINXMax31Text"](#) on page 85

4.13.2 Suffix

XML Tag: Sfx

Presence: [0..1]

Definition: Identifies the suffix of the security identification.

Datatype: ["Max16Text"](#) on page 81







4.13.3 Type

XML Tag: Tp

Presence: [1..1]

Definition: Type of the identification.







The **Tp** block contains the following elements (see datatype ["IdentificationSource4Choice"](#) on page 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
	Code	<Cd>	{Or	[1..1]		31
	Proprietary	<Prtry>	Or}	[1..1]		31

4.14 SignedQuantityFormat9

Definition: Signed quantity of security formats.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	ShortLongPosition	<ShrtLngPos>		[1..1]		38
	Quantity	<Qty>		[1..1]		38

Used in element(s)

["InvestmentPledgedBalance" on page 14](#),
 ["InvestmentUnpledgedBalance" on page 14](#),
 ["OriginalBalance" on page 13](#),
 ["OversubscriptionBalance" on page 15](#),
 ["UnpledgedBalance" on page 14](#)

4.14.1 ShortLongPosition

XML Tag: ShrtLngPos

Presence: [1..1]

Definition: Sign of the quantity of security.

Datatype: ["ShortLong1Code" on page 85](#)







4.14.2 Quantity


XML Tag: Qty

Presence: [1..1]

Definition: Quantity of security.

The **Qty** block contains the following elements (see datatype ["FinancialInstrumentQuantity15Choice" 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
	Unit	<Unit>	{Or	[1..1]		30
	FaceAmount	<FaceAmt>	Or	[1..1]		30
	AmortisedValue	<AmtsdVal>	Or}	[1..1]		30

5 Message Datatypes

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

5.1 ActiveCurrencyCode

Definition: A code allocated to a currency by a Maintenance Agency under an international identification scheme as described in the latest edition of the international standard ISO 4217 "Codes for the representation of currencies and funds".

Type: CodeSet

Format

pattern [A-Z]{3,3}

Rules

R2 ActiveCurrency ✓

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

Error handling:

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

Used in attribute(s)

"RestrictedFINActiveCurrencyAndAmount" on page 83

Restricts

"ParentCurrencyCode" on page 83

5.2 AmountDirectionCode

Definition: Specifies if an operation is an increase or a decrease or the result of a reversal operation.

Type: CodeSet

Code	Name	Definition
CRDT	Credit	Operation is an increase.
DBIT	Debit	Operation is a decrease.
RVCD	ReversalCredit	Debit entry used to reverse a previously booked credit entry.
RVDB	ReversalDebit	Credit entry used to reverse a previously booked debit entry.

Is restricted by

["CreditDebitCode" on page 40](#)

5.3 CreditDebitCode

Definition: Specifies if an operation is an increase or a decrease.

Type: CodeSet

Code	Name	Definition
CRDT	Credit	Operation is an increase.
DBIT	Debit	Operation is a decrease.

Used in element(s)

["CreditDebitIndicator" on page 16](#), ["CreditDebitIndicator" on page 21](#)

Restricts

["AmountDirectionCode" on page 39](#)

5.4 DTCAdjustmentPaymentSubReason2Code

Definition: Specifies the subtype of the payment adjustment.

Type: CodeSet

Code	Name	Definition
OTHR	Other	Reserved for new user defined reason codes.
S66P	InterestDueWasErroneouslyPaidToYouByIssuer	Adjustment sub-reason is that the interest due on the above CUSIP was erroneously paid to you by the issuer although the certificate of deposit was transferred to CEDE (DTCC) prior to the interest payment date.
S777	ReorganisationRelatedAdjustment	Adjustment sub-reason is for reorganisation related adjustment on user defined date.
SAA7	UnfavourableRateMerger	Adjustment sub-reason is that your account is being credited at the unfavourable rate (20%) as a result of the reorg merger paid on 4/2/93 (Armstrong Pharm to Medeva plc, effective 1/15/93). If entitled to favourable rate(15%), you must follow attached.
SABA	AllocationOfBabyBondsAmountToBeExited	Adjustment sub-reason is for an allocation of baby bonds amount to be exited in USD.
SAC7	InterestorDividendDueOnConversion	Adjustment sub-reason is for interest or dividend due on conversion related adjustment.
SACA	AccruedInterestWrongRate	Adjustment sub-reason is for the accrued interest previously paid to you was

Code	Name	Definition
		at the wrong rate. This adjustment is to correct that erroneous payment.
SACB	InterestAdjustedDueToEarlyWithdrawal	Adjustment sub-reason is for Interest adjusted due to early withdrawal (certificate of deposit).
SACP	AccruedInterestNotPaid	Adjustment sub-reason is that accrued interest was not previously paid to you for the redemption in this issue. This adjustment is to pay you for this accrued interest.
SADA	CompanyInDefault	Adjustment sub-reason is that the Company in default related adjustment.
SADM	IssueInDefault	Adjustment sub-reason is for issue in default related adjustment.
SAEA	InterestAllocatedInError	Adjustment sub-reason is for interest allocated in error first payment on "date user defined".
SAF7	TenderFeeDeduction	Adjustment sub-reason is for interest adjusted due to tender fee deduction.
SAFA	SupplementaryInterimOn	Adjustment sub-reason is for supplementary interim on user defined date.
SAFR	FractionalRights	Adjustment sub-reason is for allocation of fractional rights.
SAGA	GracePeriod	Adjustment sub-reason is that company is taking 30 day grace period.
SAHA	PaymentOfFullAvoidFiscalTaxRefund	Adjustment sub-reason is that payment of full avoid fiscal tax refund (equal to 42.5% of the dividend).
SAIA	AvoidFiscalPayment	Adjustment sub-reason is for an adjustment to avoid fiscal payment.
SAJA	RevisionOfChargeForWithholdingTax	Adjustment sub-reason is for revision of charge for withholding tax.
SAM7	InterestOrDividendDueOnMerger	Adjustment sub-reason is for interest or dividend due on merger related adjustment.
SAMA	InterestPaysAtMaturity	Adjustment sub-reason is that interest pays at maturity. Allocated in error on user defined date.
SANA	CompanyDidNotDeclareDividend	Adjustment sub-reason is that the company never declared dividend adjust allocation on user defined date.
SAP7	InterestOrDividendDueOnRepaymentOption	Adjustment sub-reason is for interest or dividend due on repayment option.
SAPA	PaymentOfPartialAvoidFiscalTaxRefund	Adjustment sub-reason is that payment of partial avoid fiscal tax refund (equal to 15% of the dividend).
SAPP	CalledCertificatesAccruedErroneous-InterestChargeBack	Adjustment sub-reason is for certificates you deposited prior to publication date were subsequently called. The agent paid DTCC the principal redemption pro-

Code	Name	Definition
		ceeds but erroneously paid you the accrued interest.
SAR7	InterestOrDividendDueOnRedemption	Adjustment sub-reason is for interest or dividend due on redemption.
SARA	AssumedByYourGoodselves	Adjustment sub-reason is for an allocation for a participant position that was assumed by your good selves paid on retired Participant number.
SASA	ScriptSharesExited	Adjustment sub-reason is for allocation of script shares amount to be exited in dollar value.
SAT7	InterestOrDividendDueOnTender	Adjustment sub-reason is for interest or dividend due on tender.
SAWA	UninsuredInterestWithheld	Adjustment sub-reason is for uninsured interest withheld as per FSLICN.
SBB1	CODBuyBackWithdrawal	Adjustment sub-reason is that your record date position was adjusted for a COD buy back withdrawal.
SBB2	WithdrawalTransferBuyBackWithdrawal	Adjustment sub-reason is that your record date position was adjusted for a w/t buy back withdrawal.
SBB3	DWACAdjustment	Adjustment sub-reason is that your record date position was adjusted for a DWAC withdrawal to effect a buy back/ treasury purchase.
SBDB	CODWithdrawalNotDeliveredInNameOf-Goodselves	Adjustment sub-reason is that your COD withdrawal was not delivered, however the certificate(s) were issued and outstanding over the record date in the name of your good selves.
SBEB	CODWithdrawalNotDeliveredInNameOfNominee	Adjustment sub-reason is that your COD withdrawal was not delivered, however the certificate(s) were issued and outstanding over the record date in the name of your nominee.
SBRH	ReversalOfCODWithdrawal	Adjustment sub-reason is for a reversal of a COD withdrawal related adjustment.
SCDP	CustodyPayment	Adjustment sub-reason is for Custody payment.
SCKS	CalledCertificatesCheckInParticipantsName-ChargeBack	Adjustment sub-reason is for certificates you deposited prior to publication date were subsequently called. The agent paid DTCC the principal proceeds via check, but in your customer's name. We are forwarding the check today. This adjustment is to charge you for the funds.
SCLU	PacificDepository	Adjustment sub-reason is for adjustment made for the Pacific depository (3097).
SCMU	MidwestDepository	Adjustment sub-reason is for adjustment made for the Midwest depository (6942).

Code	Name	Definition
SCNU	PhiladelphiaDepository	Adjustment sub-reason is for adjustment made for the Philadelphia depository (6070).
SCPK	AccrualClaimPayment	Adjustment sub-reason is for an accrual claim payment related to a stock distribution payable on user defined date.
SCPP	PartClaimPayment	Adjustment sub-reason is for part claim payment.
SCRK	ReversalOfAccrualClaimPayment	Adjustment sub-reason is for a reversal of an accrual claim payment related to a stock distribution payable on user defined date.
SCRP	PartClaimReversal	Adjustment sub-reason is for part-claim reversal.
SCSM	CouponCollectionService	Adjustment sub-reason code is for the coupon collection service adjustment for coupon deposit.
SDAD	DepositLostCertificateRegisteredInNameOfYour	Adjustment sub-reason is for adjustment related to the deposit of lost certificate over the record date that was registered in the name of your [user defined].
SDBD	LostCertificateRegisteredInTheNameOfYour-Goodselfes	Adjustment sub-reason is for that the adjustment related to the deposit of lost certificate over the record date was registered in the name of your good selves.
SDCD	DepositTransferredIntoNameOfCEDEAndCo	Adjustment sub-reason is for deposit after cut off date transferred into the name of the CEDE on record date.
SDDD	PositionAdjustedForDepositActivity	Adjustment sub-reason is that your record date position was adjusted for deposit activity.
SDED	LostCertificateWasRegisteredInTheNameOf-YourNominee	Adjustment sub-reason is for adjustment related to the deposit of lost certificate over the record date that was registered in the name of your nominee.
SDEP	PreviouslyCalledCertificatesFundsDelivery	Adjustment sub-reason is for that you deposited securities that were previously called. The agent paid DTCC the redemption proceeds. This adjustment is to pass these proceeds on to you. Your free account security position will be adjusted (shorted) today for the called quantity.
SDMT	CTFSHeldOverRecordDate	Adjustment sub-reason is for CTF(s) held over record date on which we guarantee to hold you free and harmless of any further claim on this dividend.
SDRH	ReversalOfDeposit	Adjustment sub-reason is for a reversal of a deposit adjustment.
SEEE	DeliverOrderActivity	Adjustment sub-reason is that your record date position was adjusted for deliver order (DO) activity.

Code	Name	Definition
SETO	ReverseOfSharesEscheatedToNYStateInError	Adjustment sub-reason is due to shares escheated to New York state in error. This is to reverse.
SFAF	ChargeForFrenchAvoidFiscalTaxCredit	Adjustment sub-reason is that, as per agent, this charge is for French avoid fiscal tax credit.
SFAP	ReverseOfEscheatedAmountOfClaim	Adjustment sub-reason is due to a reverse of escheated amount of claim.
SFE8	ForeignCashDividendsOrBondInterest-AllocationAtExemptRate	Adjustment sub-reason is for foreign cash dividends/bond interest allocation at exempt rate.
SFF8	ForeignCashDividendsOrBondsInterest-AllocationAtFavourableRate	Adjustment sub-reason is for foreign cash dividends/bonds interest allocation at favourable rate.
SFG8	FrenchWithholdingTax15Percent	Adjustment sub-reason is for fifteen percent French withholding tax, based on your option election of 100% ADRs at the favourable rate.
SFG9	FrenchWithholdingTax25Percent	Adjustment sub-reason is for twenty five percent French withholding tax, based on your option election of 100% ADRs at the unfavourable rate.
SFH9	FrenchWithholdingTax10Percent	Adjustment sub-reason is for ten percent French withholding tax, based on your revised instructions to reduce favourable tax status to unfavourable.
SFI9	ChargeAtWithholdingRate	Adjustment sub-reason is for required lists containing discrepancies or which were not forwarded to French paying agent. This charge is at user defined withholding rate.
SFJ9	RefundedTaxRate	Adjustment sub-reason is that the 25% French withholding rate has been revised. This adjustment is based on the refunded tax rate.
SFL0	RateUnknown	Adjustment sub-reason is for rate unknown for fail tracking related adjustment.
SFL1	Delete	Adjustment sub-reason is for delete for fail tracking related adjustment.
SFL2	Reinstate	Adjustment sub-reason is for reinstate for fail tracking related adjustment.
SFL3	PostDateChangeForFailTracking	Adjustment sub-reason is for post date change for fail tracking related adjustment.
SFL9	ForeignCashDividendUnfavourableRate	Adjustment sub-reason is for foreign cash dividends allocation at unfavourable rate.
SFLD	AnnouncementDeletedOrFailTracking	Adjustment sub-reason is for an announcement deleted for fail tracking related adjustment.

Code	Name	Definition
SFLE	DueBill	Adjustment sub-reason is for due bill for fail tracking related adjustment.
SFLL	LateAnnouncement	Adjustment sub-reason is for fail tracking for fail tracking related adjustment.
SFLN	DateRevision	Adjustment sub-reason is for date revision for fail tracking related adjustment.
SFLR	RateRevision	Adjustment sub-reason is for rate revision for fail tracking related adjustment.
SFLS	NonAllocation	Adjustment sub-reason is for non allocation for fail tracking related adjustment.
SFRA	RefundOfFrenchTaxJune	Adjustment sub-reason is for refund of French tax based on acceptance of global reclamation for the June 1992 distribution refer to important notice b # 1352-93.
SFRB	RefundOfFrenchTaxJuly	Adjustment sub-reason is for refund of French tax based on acceptance of global reclamation for the July 1992 distribution refer to important notice b # 1352-93.
SFRO	FrozenLetterMovement	Adjustment sub-reason is as per memo requesting a frozen letter movement from part number.
SFU9	ForeignCashDividendsOrBondInterest-AllocationAtUnfavourableRate	Adjustment sub-reason is for foreign cash dividends or bond interest allocation at unfavourable rate.
SGL7	RedemptionCash	Adjustment sub-reason is for redemption cash settlement.
SGLA	AllocationAdjustment	Adjustment sub-reason is for an allocation adjustment.
SGLM	MuniBearerBond	Adjustment sub-reason is for muni bearer bond coupon adjustment.
SGLP	RedemptionPaymentDueToPledgeRelease	Adjustment sub-reason is for redemption payment due to pledge release.
SGLQ	DTCCClaimOnRegisteredHolderInTheNameOf-YourGoodselves	Adjustment sub-reason is for DTCC claim on registered holder in the name of your good selves.
SGLT	InSettlementOfTradeDTCCReorganisation-Account	Adjustment sub-reason is for in settlement of a trade - DTCC reorganisation account 428-10271-1-2-039.
SGLZ	DTCCClaimOnRegisteredHolderInTheNameOf-YourCustomer	Adjustment sub-reason is for DTCC claim on registered holder in the name of your customer.
SIGE	InterimPositionAdjustedForDeliverOrderActivity	Adjustment sub-reason is for that your interim position was adjusted for deliver order activity.
SILL	LateAnnouncementActivityDueBillActivity	Adjustment sub-reason is for late announcement activity due bill activity related adjustment.

Code	Name	Definition
SJCB	CODWithdrawal	Adjustment sub-reason is for DTCC COD withdrawal adjustment.
SJDD	DepositAdjustment	Adjustment sub-reason is for DTCC deposit related adjustment.
SJE7	RedemptionAdjustment	Adjustment sub-reason is for DTCC redemption related adjustment.
SJEE	PledgeReleaseAdjustment	Adjustment sub-reason is for DTCC pledge release related adjustment.
SJEF	PledgeAdjustment	Adjustment sub-reason is for DTCC pledge related adjustment.
SJEG	DeliverOrder	Adjustment sub-reason is that DTCC deliver order related adjustment.
SJEW	WriteOffReorganisation	Adjustment sub-reason is for write off reorganisation related adjustment.
SJIE	InvestmentIdentificationAdjustment	Adjustment sub-reason is that DTCC investment identification related adjustment.
SJR7	ReorganisationAdjustment	Adjustment sub-reason is for DTCC reorganisation related adjustment.
SJWT	WithdrawalTransferAdjustment	Adjustment sub-reason is for DTCC WT related adjustment.
SLCP	DTCCClaimInTheNameOfYourCustomerLate-Transfer	Adjustment sub-reason is for DTCC claim against registered holder in the name of your customer. Late identification of missed transfer by Transfer Agent.
SLGP	DTCCClaimInTheNameOfYourGoodselvesLate-Transfer	Adjustment sub-reason is for DTCC claim against registered holder in the name of your good selves. Late identification of missed transfer by Transfer Agent.
SLNP	DTCCClaimInTheNameOfYourNominee	Adjustment sub-reason is for DTCC claim against registered holder in the name of your nominee. Late identification of missed transfer by Transfer Agent.
SMAM	MuniBearerBondCoupon	Adjustment sub-reason is for muni bearer bond coupon related adjustment.
SMBM	MuniBearerBondCouponAdjustmentCoupons-MissingFromDeposit	Adjustment sub-reason is for muni bearer bond coupon adjustment for coupon(s) missing from a deposit related adjustment.
SMCM	MuniBearerBondCouponAdjustmentCoupons-MissingFromWithdrawal	Adjustment sub-reason is for muni bearer bond coupon adjustment for coupon(s) missing from a withdrawal.
SMDM	MuniBearerBondCouponAdjustmentExcess-CouponsWithdrawn	Adjustment sub-reason is for muni bearer bond coupon adjustment excess coupon(s) withdrawn on user defined date.
SMEM	MuniBearerBondCouponAdjustmentExcess-CouponsDeposited	Adjustment sub-reason is for muni bearer bond coupon adjustment excess

Code	Name	Definition
		coupon(s) deposited on user defined date.
SMMM	MuniBearerBondCouponPositionAdjustedForDepositActivity	Adjustment sub-reason is for muni bearer bond coupon adjustment. Your interim position was adjusted for deposit activity.
SNNG	CashOnIncreasedShares	Adjustment sub-reason is for an adjustment for cash on increased shares due to a stock distribution payable.
SOP2	OptionalDividendAllocationAdjustment	Adjustment sub-reason is for optional dividend (ops) allocation related adjustment.
SPCP	DTCCClaimInTheNameOfYourCustomer	Adjustment sub-reason is for DTCC claim against registered holder in the name of your customer.
SPFS	ProceedsFromSaleOf	Adjustment sub-reason is for proceeds from sale of.
SPGP	DTCCClaimInTheNameOfYourGoodselves	Adjustment sub-reason is for DTCC claim against registered holder in the name of your good selves.
SPNP	DTCCClaimInTheNameOfYourNomineeLate-Transfer	Adjustment sub-reason is for DTCC claim against registered holder in the name of your nominee.
SPRA	WrongRatePrincipal	Adjustment sub-reason is that the principal previously paid to you was at the wrong rate. This adjustment is to correct that erroneous payment.
SPRG	InLieuOfReorganisationDepositActivity	Adjustment sub-reason is that this adjustment represents credits/debits to your account in lieu of reorganisation deposit activity.
SRAH	WrittenInquiry	Adjustment sub-reason is in response to your written inquiry.
SRDA	ChangeInRecordDate	Adjustment sub-reason is for an allocation adjustment due to a change in the record date.
SRIH	InResponseToYourInquiry	Adjustment sub-reason is that adjustment is in response to your inquiry. Refer to control number.
SRPO	RepPaymentCharge	Adjustment sub-reason is for Rep payment / charge.
SRPP	SupplementalInterimActivity	Adjustment sub-reason is for supplemental interim activity related adjustment.
SRRA	VodafoneADR	Adjustment sub-reason is for option to receive Vodafone Group American Depository Receipt at 11.354392 for every 100 ADRS.
SRTA	RateChange	Adjustment sub-reason is that this allocation was adjusted for a rate change. Please refer to DIVA comment field for additional information.

Code	Name	Definition
SRTJ	AdditionalRightsForBeneficialOwner	Adjustment sub-reason is for a distribution of additional rights for round up of fractions as requested for your beneficial owners.
SSA6	PriceCorrectionDividendReinvestment	Adjustment sub-reason is for allocation adjustment for dividend reinvestment due to price correction by the agent.
SSBB	DWACBuyBackWithdrawal	Adjustment sub-reason is that your record date position was adjusted for a DWAC buy back withdrawal.
SSBK	CashDueOnAccruedStockPayment	Adjustment sub-reason is for an adjustment for cash due on an accrued stock payment.
SSC6	DividendReinvestmentAllocation	Adjustment sub-reason is for dividend reinvestment allocation why not on normal event.
SSCK	CashDueOnStockDividend	Adjustment sub-reason is for accrued cash due on a stock dividend adjustment made on user defined date.
SSD6	AdjustmentToYourDividendReinvestment-Position	Adjustment sub-reason is for an adjustment to your dividend reinvestment (DRP) position related adjustment.
SSDJ	BabyBondPayment	Adjustment sub-reason is for a bond paying in baby bonds that are issued in minimum/incremental denominations. This is to adjust for the amount of pending unissued bonds.
SSDK	CashDueOnDRPShareAllocation	Adjustment sub-reason is for accrued cash due on DRP share allocation.
SSE6	DividendReinvestmentAllocationOfCashIn-LieuOfFractions	Adjustment sub-reason is for dividend reinvestment allocation of cash in lieu of fractions related adjustment.
SSFF	DueBillFailTracking	Adjustment sub-reason is for due bill fail tracking.
SSFR	DueBillReversal	Adjustment sub-reason is for due bill fail tracking reversal.
SSJJ	CashInLieuOfFractionalShares	Adjustment sub-reason is for an adjustment for cash-in-lieu of fractional shares related adjustment.
SSLA	StockLoanAdjustment	Adjustment sub-reason is for stock loan related payment or charge.
SSME	SupplementalInterimActivityFromMidwest	Adjustment sub-reason is for supplemental interim activity from Midwest (6942).
SSOS	SpinOffAllocation	Adjustment sub-reason is for an allocation of spinoff security.
SSP4	ProceedsFromBuyTransactionInDividend-TradingAccount	Adjustment sub-reason is for proceeds resulting from a (buy) transaction affected in our DTCC/dividend trading account (#428-10288-1-3-039).

Code	Name	Definition
SSPA	PayInKindDistribution	Adjustment sub-reason is for an allocation of a pay in kind distribution.
SSPE	SupplementalInterimActivityFromPhiladelphia	Adjustment sub-reason is for supplemental interim activity from Philadelphia (6070).
SSPJ	AgentPaidBasedOnCombinedFractions	Adjustment sub-reason is that an agent paid DTC based on combined fractions for all public service New Hampshire. New spinoffs distributed on July 25, 1991.
SSPO	StockLoanOrRepoPaymentOrder	Adjustment sub-reason is for stock loan or repo payment order related adjustment.
SSR4	ShareAdjustmentFromBuyTransactionIn-DividendTradingAccount	Adjustment sub-reason is for share adjustment resulting from a (buy) transaction affected in our DTCC/dividend trading account (#428-10288-1-3-039).
SSR5	ShareAdjustmentFromSellTransactionIn-DividendTradingAccount	Adjustment sub-reason is for share adjustment resulting from a (sell) transaction affected in our DTCC/dividend trading account (#428-10288-1-3-039).
SSR6	ChargeInLieuOfReceiptOfDividend-Reinvestment	Adjustment sub-reason is that, as per your authorization, we are charging your account in lieu of receipt of dividend reinvestment related shares related adjustment.
SSRJ	AllocationAdjustmentDueToFractionsRounded-UpByAgent	Adjustment sub-reason is for an allocation adjustment due to fractions rounded up by the agent related adjustment.
SSS5	ProceedsFromSellTransactionInDividend-TradingAccount	Adjustment sub-reason is for proceeds resulting from a (sell) transaction affected in our DTCC/dividend trading account (#428-10288-1-3-039).
SSS6	DividendReinvestmentAllocationAdjustment	Adjustment sub-reason is for dividend allocation adjustment due to your sub accounting instructions to the agent.
SST6	AllocationOfDRPTEDSInstruction	Adjustment sub-reason is for an allocation of dividend reinvestment shares - DRP/TEDS instruction @100%.
STEA	TaxExemptInstructions	Adjustment sub-reason is to adjust allocation at 100% on your tax exempt instructions.
SWG1	LostCertificateWasRegisteredInTheNameOf-YourCustomer	Adjustment sub-reason is for withdrawal by transfer - lost certificate over the record date was registered in the name of your customer.
SWHT	RecordDatePositionAdjustedForWithdrawalBy-Transfer	Adjustment sub-reason is that our record date position was adjusted for a withdrawal by transfer activity.
SWL1	WithdrawalByTransferNotTransferredInto-ClientsName	Adjustment sub-reason is for adjustment made for a withdrawal by transfer that was not transferred into your clients name by the record date.

Code	Name	Definition
SWM1	WithdrawalByTransferSetUpAfterCutOffDate-TransferIntoClientsName	Adjustment sub-reason code is for adjustment made for a withdrawal by transfer set up after the cut off date made transfer into your clients name.
SWN1	PositionReinstatedCertificatesIssuedAnd-Outstanding	Adjustment sub-reason is that your position was reinstated for a withdrawal by transfer. However the certificate(s) were issued and outstanding over the record date in the name of your customer(s).
SWRH	ReversalOfWithdrawalByTransfer	Adjustment sub-reason is for a reversal of a withdrawal by transfer adjustment.
SWTA	WithholdingTaxAdjustmentInUserDefined-Country	Adjustment sub-reason is for adjustment to allocation to charge (user defined percentage) withholding tax in (user defined) country.

Used in element(s)

"SubReasonCode" on page 17, "SubReasonCode" on page 22

Restricts

"DTCAdjustmentPaymentSubReasonV2Code" on page 50

5.5 DTCAdjustmentPaymentSubReasonV2Code

Definition: Specifies the subtype of the payment adjustment.

Type: CodeSet

Code	Name	Definition
OTHR	Other	Reserved for new user defined reason codes.
S66P	InterestDueWasErroneouslyPaidToYouByIssuer	Adjustment sub-reason is that the interest due on the above CUSIP was erroneously paid to you by the issuer although the certificate of deposit was transferred to CEDE (DTCC) prior to the interest payment date.
S777	ReorganisationRelatedAdjustment	Adjustment sub-reason is for reorganisation related adjustment on user defined date.
SAA7	UnfavourableRateMerger	Adjustment sub-reason is that your account is being credited at the unfavourable rate (20%) as a result of the reorg merger paid on 4/2/93 (Armstrong Pharm to Medeva plc, effective 1/15/93). If entitled to favourable rate(15%), you must follow attached.
SABA	AllocationOfBabyBondsAmountToBeExited	Adjustment sub-reason is for an allocation of baby bonds amount to be exited in USD.

Code	Name	Definition
SAC7	InterestOrDividendDueOnConversion	Adjustment sub-reason is for interest or dividend due on conversion related adjustment.
SACA	AccruedInterestWrongRate	Adjustment sub-reason is for the accrued interest previously paid to you was at the wrong rate. This adjustment is to correct that erroneous payment.
SACB	InterestAdjustedDueToEarlyWithdrawal	Adjustment sub-reason is for Interest adjusted due to early withdrawal (certificate of deposit).
SACP	AccruedInterestNotPaid	Adjustment sub-reason is that accrued interest was not previously paid to you for the redemption in this issue. This adjustment is to pay you for this accrued interest.
SADA	CompanyInDefault	Adjustment sub-reason is that the Company in default related adjustment.
SADM	IssueInDefault	Adjustment sub-reason is for issue in default related adjustment.
SAEA	InterestAllocatedInError	Adjustment sub-reason is for interest allocated in error first payment on "date user defined".
SAF7	TenderFeeDeduction	Adjustment sub-reason is for interest adjusted due to tender fee deduction.
SAFA	SupplementaryInterimOn	Adjustment sub-reason is for supplementary interim on user defined date.
SAFR	FractionalRights	Adjustment sub-reason is for allocation of fractional rights.
SAGA	GracePeriod	Adjustment sub-reason is that company is taking 30 day grace period.
SAHA	PaymentOfFullAvoidFiscalTaxRefund	Adjustment sub-reason is that payment of full avoid fiscal tax refund (equal to 42.5% of the dividend).
SAIA	AvoidFiscalPayment	Adjustment sub-reason is for an adjustment to avoid fiscal payment.
SAJA	RevisionOfChargeForWithholdingTax	Adjustment sub-reason is for revision of charge for withholding tax.
SAM7	InterestOrDividendDueOnMerger	Adjustment sub-reason is for interest or dividend due on merger related adjustment.
SAMA	InterestPaysAtMaturity	Adjustment sub-reason is that interest pays at maturity. Allocated in error on user defined date.
SANA	CompanyDidNotDeclareDividend	Adjustment sub-reason is that the company never declared dividend adjust allocation on user defined date.
SAP7	InterestOrDividendDueOnRepaymentOption	Adjustment sub-reason is for interest or dividend due on repayment option.

Code	Name	Definition
SAPA	PaymentOfPartialAvoidFiscalTaxRefund	Adjustment sub-reason is that payment of partial avoid fiscal tax refund (equal to 15% of the dividend).
SAPP	CalledCertificatesAccruedErroneous-InterestChargeBack	Adjustment sub-reason is for certificates you deposited prior to publication date were subsequently called. The agent paid DTCC the principal redemption proceeds but erroneously paid you the accrued interest.
SAR7	InterestOrDividendDueOnRedemption	Adjustment sub-reason is for interest or dividend due on redemption.
SARA	AssumedByYourGoodselves	Adjustment sub-reason is for an allocation for a participant position that was assumed by your good selves paid on retired Participant number.
SASA	ScriptSharesExited	Adjustment sub-reason is for allocation of script shares amount to be exited in dollar value.
SAT7	InterestOrDividendDueOnTender	Adjustment sub-reason is for interest or dividend due on tender.
SAWA	UninsuredInterestWithheld	Adjustment sub-reason is for uninsured interest withheld as per FSLICN.
SBB1	CODBuyBackWithdrawal	Adjustment sub-reason is that your record date position was adjusted for a COD buy back withdrawal.
SBB2	WithdrawalTransferBuyBackWithdrawal	Adjustment sub-reason is that your record date position was adjusted for a w/t buy back withdrawal.
SBB3	DWACAdjustment	Adjustment sub-reason is that your record date position was adjusted for a DWAC withdrawal to effect a buy back/ treasury purchase.
SBDB	CODWithdrawalNotDeliveredInNameOf-Goodselves	Adjustment sub-reason is that your COD withdrawal was not delivered, however the certificate(s) were issued and outstanding over the record date in the name of your good selves.
SBEB	CODWithdrawalNotDeliveredInNameOfNominee	Adjustment sub-reason is that your COD withdrawal was not delivered, however the certificate(s) were issued and outstanding over the record date in the name of your nominee.
SBRH	ReversalOfCODWithdrawal	Adjustment sub-reason is for a reversal of a COD withdrawal related adjustment.
SCDP	CustodyPayment	Adjustment sub-reason is for Custody payment.
SCKS	CalledCertificatesCheckInParticipantsName-ChargeBack	Adjustment sub-reason is for certificates you deposited prior to publication date were subsequently called. The agent paid DTCC the principal proceeds via check, but in your customer's name. We are forwarding the check today. This adjustment is to charge you for the funds.

Code	Name	Definition
SCLU	PacificDepository	Adjustment sub-reason is for adjustment made for the Pacific depository (3097).
SCMU	MidwestDepository	Adjustment sub-reason is for adjustment made for the Midwest depository (6942).
SCNU	PhiladelphiaDepository	Adjustment sub-reason is for adjustment made for the Philadelphia depository (6070).
SCPK	AccrualClaimPayment	Adjustment sub-reason is for an accrual claim payment related to a stock distribution payable on user defined date.
SCPP	PartClaimPayment	Adjustment sub-reason is for part claim payment.
SCRK	ReversalOfAccrualClaimPayment	Adjustment sub-reason is for a reversal of an accrual claim payment related to a stock distribution payable on user defined date.
SCRP	PartClaimReversal	Adjustment sub-reason is for part-claim reversal.
SCSM	CouponCollectionService	Adjustment sub-reason code is for the coupon collection service adjustment for coupon deposit.
SDAD	DepositLostCertificateRegisteredInNameOfYour	Adjustment sub-reason is for adjustment related to the deposit of lost certificate over the record date that was registered in the name of your [user defined].
SDBD	LostCertificateRegisteredInTheNameOfYour-Goodselves	Adjustment sub-reason is for that the adjustment related to the deposit of lost certificate over the record date was registered in the name of your good selves.
SDCD	DepositTransferredIntoNameOfCEDEAndCo	Adjustment sub-reason is for deposit after cut off date transferred into the name of the CEDE on record date.
SDDD	PositionAdjustedForDepositActivity	Adjustment sub-reason is that your record date position was adjusted for deposit activity.
SDED	LostCertificateWasRegisteredInTheNameOf-YourNominee	Adjustment sub-reason is for adjustment related to the deposit of lost certificate over the record date that was registered in the name of your nominee.
SDEP	PreviouslyCalledCertificatesFundsDelivery	Adjustment sub-reason is for that you deposited securities that were previously called. The agent paid DTCC the redemption proceeds. This adjustment is to pass these proceeds on to you. Your free account security position will be adjusted (shorted) today for the called quantity.
SDMT	CTFSHeldOverRecordDate	Adjustment sub-reason is for CTF(s) held over record date on which we guarantee to hold you free and harmless of any further claim on this dividend.

Code	Name	Definition
SDRH	ReversalOfDeposit	Adjustment sub-reason is for a reversal of a deposit adjustment.
SEEE	DeliverOrderActivity	Adjustment sub-reason is that your record date position was adjusted for deliver order (DO) activity.
SETO	ReverseOfSharesEscheatedToNYStateInError	Adjustment sub-reason is due to shares escheated to New York state in error. This is to reverse.
SFAF	ChargeForFrenchAvoidFiscalTaxCredit	Adjustment sub-reason is that, as per agent, this charge is for French avoid fiscal tax credit.
SFAP	ReverseOfEscheatedAmountOfClaim	Adjustment sub-reason is due to a reverse of escheated amount of claim.
SFE8	ForeignCashDividendsOrBondInterest-AllocationAtExemptRate	Adjustment sub-reason is for foreign cash dividends/bond interest allocation at exempt rate.
SFF8	ForeignCashDividendsOrBondsInterest-AllocationAtFavourableRate	Adjustment sub-reason is for foreign cash dividends/bonds interest allocation at favourable rate.
SFG8	FrenchWithholdingTax15Percent	Adjustment sub-reason is for fifteen percent French withholding tax, based on your option election of 100% ADRs at the favourable rate.
SFG9	FrenchWithholdingTax25Percent	Adjustment sub-reason is for twenty five percent French withholding tax, based on your option election of 100% ADRs at the unfavourable rate.
SFH9	FrenchWithholdingTax10Percent	Adjustment sub-reason is for ten percent French withholding tax, based on your revised instructions to reduce favourable tax status to unfavourable.
SFI9	ChargeAtWithholdingRate	Adjustment sub-reason is for required lists containing discrepancies or which were not forwarded to French paying agent. This charge is at user defined withholding rate.
SFJ9	RefundedTaxRate	Adjustment sub-reason is that the 25% French withholding rate has been revised. This adjustment is based on the refunded tax rate.
SFL0	RateUnknown	Adjustment sub-reason is for rate unknown for fail tracking related adjustment.
SFL1	Delete	Adjustment sub-reason is for delete for fail tracking related adjustment.
SFL2	Reinstate	Adjustment sub-reason is for reinstate for fail tracking related adjustment.
SFL3	PostDateChangeForFailTracking	Adjustment sub-reason is for post date change for fail tracking related adjustment.

Code	Name	Definition
SFL9	ForeignCashDividendUnfavourableRate	Adjustment sub-reason is for foreign cash dividends allocation at unfavourable rate.
SFLD	AnnouncementDeletedOrFailTracking	Adjustment sub-reason is for an announcement deleted for fail tracking related adjustment.
SFLE	DueBill	Adjustment sub-reason is for due bill for fail tracking related adjustment.
SFLL	LateAnnouncement	Adjustment sub-reason is for fail tracking for fail tracking related adjustment.
SFLN	DateRevision	Adjustment sub-reason is for date revision for fail tracking related adjustment.
SFLR	RateRevision	Adjustment sub-reason is for rate revision for fail tracking related adjustment.
SFLS	NonAllocation	Adjustment sub-reason is for non allocation for fail tracking related adjustment.
SFRA	RefundOfFrenchTaxJune	Adjustment sub-reason is for refund of French tax based on acceptance of global reclamation for the June 1992 distribution refer to important notice b # 1352-93.
SFRB	RefundOfFrenchTaxJuly	Adjustment sub-reason is for refund of French tax based on acceptance of global reclamation for the July 1992 distribution refer to important notice b # 1352-93.
SFRO	FrozenLetterMovement	Adjustment sub-reason is as per memo requesting a frozen letter movement from part number.
SFU9	ForeignCashDividendsOrBondInterest-AllocationAtUnfavourableRate	Adjustment sub-reason is for foreign cash dividends or bond interest allocation at unfavourable rate.
SGL7	RedemptionCash	Adjustment sub-reason is for redemption cash settlement.
SGLA	AllocationAdjustment	Adjustment sub-reason is for an allocation adjustment.
SGLM	MuniBearerBond	Adjustment sub-reason is for muni bearer bond coupon adjustment.
SGLP	RedemptionPaymentDueToPledgeRelease	Adjustment sub-reason is for redemption payment due to pledge release.
SGLQ	DTCCClaimOnRegisteredHolderInTheNameOf-YourGoodselves	Adjustment sub-reason is for DTCC claim on registered holder in the name of your good selves.
SGLT	InSettlementOfTradeDTCCReorganisation-Account	Adjustment sub-reason is for in settlement of a trade - DTCC reorganisation account 428-10271-1-2-039.
SGLZ	DTCCClaimOnRegisteredHolderInTheNameOf-YourCustomer	Adjustment sub-reason is for DTCC claim on registered holder in the name of your customer.

Code	Name	Definition
SIGE	InterimPositionAdjustedForDeliverOrderActivity	Adjustment sub-reason is for that your interim position was adjusted for deliver order activity.
SILL	LateAnnouncementActivityDueBillActivity	Adjustment sub-reason is for late announcement activity due bill activity related adjustment.
SJCB	CODWithdrawal	Adjustment sub-reason is for DTCC COD withdrawal adjustment.
SJDD	DepositAdjustment	Adjustment sub-reason is for DTCC deposit related adjustment.
SJE7	RedemptionAdjustment	Adjustment sub-reason is for DTCC redemption related adjustment.
SJEE	PledgeReleaseAdjustment	Adjustment sub-reason is for DTCC pledge release related adjustment.
SJEF	PledgeAdjustment	Adjustment sub-reason is for DTCC pledge related adjustment.
SJEG	DeliverOrder	Adjustment sub-reason is that DTCC deliver order related adjustment.
SJEW	WriteOffReorganisation	Adjustment sub-reason is for write off reorganisation related adjustment.
SJIE	InvestmentIdentificationAdjustment	Adjustment sub-reason is that DTCC investment identification related adjustment.
SJR7	ReorganisationAdjustment	Adjustment sub-reason is for DTCC reorganisation related adjustment.
SJWT	WithdrawalTransferAdjustment	Adjustment sub-reason is for DTCC WT related adjustment.
SLCP	DTCCClaimInTheNameOfYourCustomerLate-Transfer	Adjustment sub-reason is for DTCC claim against registered holder in the name of your customer. Late identification of missed transfer by Transfer Agent.
SLGP	DTCCClaimInTheNameOfYourGoodselvesLate-Transfer	Adjustment sub-reason is for DTCC claim against registered holder in the name of your good selves. Late identification of missed transfer by Transfer Agent.
SLNP	DTCCClaimInTheNameOfYourNominee	Adjustment sub-reason is for DTCC claim against registered holder in the name of your nominee. Late identification of missed transfer by Transfer Agent.
SMAM	MuniBearerBondCoupon	Adjustment sub-reason is for muni bearer bond coupon related adjustment.
SMBM	MuniBearerBondCouponAdjustmentCoupons-MissingFromDeposit	Adjustment sub-reason is for muni bearer bond coupon adjustment for coupon(s) missing from a deposit related adjustment.

Code	Name	Definition
SMCM	MuniBearerBondCouponAdjustmentCoupons-MissingFromWithdrawal	Adjustment sub-reason is for muni bearer bond coupon adjustment for coupon(s) missing from a withdrawal.
SMDM	MuniBearerBondCouponAdjustmentExcess-CouponsWithdrawn	Adjustment sub-reason is for muni bearer bond coupon adjustment excess coupon(s) withdrawn on user defined date.
SMEM	MuniBearerBondCouponAdjustmentExcess-CouponsDeposited	Adjustment sub-reason is for muni bearer bond coupon adjustment excess coupon(s) deposited on user defined date.
SMMM	MuniBearerBondCouponPositionAdjustedFor-DepositActivity	Adjustment sub-reason is for muni bearer bond coupon adjustment. Your interim position was adjusted for deposit activity.
SNNG	CashOnIncreasedShares	Adjustment sub-reason is for an adjustment for cash on increased shares due to a stock distribution payable.
SOP2	OptionalDividendAllocationAdjustment	Adjustment sub-reason is for optional dividend (ops) allocation related adjustment.
SPCP	DTCCClaimInTheNameOfYourCustomer	Adjustment sub-reason is for DTCC claim against registered holder in the name of your customer.
SPFS	ProceedsFromSaleOf	Adjustment sub-reason is for proceeds from sale of.
SPGP	DTCCClaimInTheNameOfYourGoodselves	Adjustment sub-reason is for DTCC claim against registered holder in the name of your good selves.
SPNP	DTCCClaimInTheNameOfYourNomineeLate-Transfer	Adjustment sub-reason is for DTCC claim against registered holder in the name of your nominee.
SPRA	WrongRatePrincipal	Adjustment sub-reason is that the principal previously paid to you was at the wrong rate. This adjustment is to correct that erroneous payment.
SPRG	InLieuOfReorganisationDepositActivity	Adjustment sub-reason is that this adjustment represents credits/debits to your account in lieu of reorganisation deposit activity.
SRAH	WrittenInquiry	Adjustment sub-reason is in response to your written inquiry.
SRDA	ChangeInRecordDate	Adjustment sub-reason is for an allocation adjustment due to a change in the record date.
SRIH	InResponseToYourInquiry	Adjustment sub-reason is that adjustment is in response to your inquiry. Refer to control number.
SRPO	RepPaymentCharge	Adjustment sub-reason is for Rep payment / charge.

Code	Name	Definition
SRPP	SupplementalInterimActivity	Adjustment sub-reason is for supplemental interim activity related adjustment.
SRRA	VodafoneADR	Adjustment sub-reason is for option to receive Vodafone Group American Depository Receipt at 11.354392 for every 100 ADRS.
SRTA	RateChange	Adjustment sub-reason is that this allocation was adjusted for a rate change. Please refer to DIVA comment field for additional information.
SRTJ	AdditionalRightsForBeneficialOwner	Adjustment sub-reason is for a distribution of additional rights for round up of fractions as requested for your beneficial owners.
SSA6	PriceCorrectionDividendReinvestment	Adjustment sub-reason is for allocation adjustment for dividend reinvestment due to price correction by the agent.
SSBB	DWACBuyBackWithdrawal	Adjustment sub-reason is that your record date position was adjusted for a DWAC buy back withdrawal.
SSBK	CashDueOnAccruedStockPayment	Adjustment sub-reason is for an adjustment for cash due on an accrued stock payment.
SSC6	DividendReinvestmentAllocation	Adjustment sub-reason is for dividend reinvestment allocation why not on normal event.
SSCK	CashDueOnStockDividend	Adjustment sub-reason is for accrued cash due on a stock dividend adjustment made on user defined date.
SSD6	AdjustmentToYourDividendReinvestment-Position	Adjustment sub-reason is for an adjustment to your dividend reinvestment (DRP) position related adjustment.
SSDJ	BabyBondPayment	Adjustment sub-reason is for a bond paying in baby bonds that are issued in minimum/incremental denominations. This is to adjust for the amount of pending unissued bonds.
SSDK	CashDueOnDRPShareAllocation	Adjustment sub-reason is for accrued cash due on DRP share allocation.
SSE6	DividendReinvestmentAllocationOfCashIn-LieuOfFractions	Adjustment sub-reason is for dividend reinvestment allocation of cash in lieu of fractions related adjustment.
SSFF	DueBillFailTracking	Adjustment sub-reason is for due bill fail tracking.
SSFR	DueBillReversal	Adjustment sub-reason is for due bill fail tracking reversal.
SSJJ	CashInLieuOfFractionalShares	Adjustment sub-reason is for an adjustment for cash-in-lieu of fractional shares related adjustment.

Code	Name	Definition
SSLA	StockLoanAdjustment	Adjustment sub-reason is for stock loan related payment or charge.
SSME	SupplementalInterimActivityFromMidwest	Adjustment sub-reason is for supplemental interim activity from Midwest (6942).
SSOS	SpinOffAllocation	Adjustment sub-reason is for an allocation of spinoff security.
SSP4	ProceedsFromBuyTransactionInDividend-TradingAccount	Adjustment sub-reason is for proceeds resulting from a (buy) transaction affected in our DTCC/dividend trading account (#428-10288-1-3-039).
SSPA	PayInKindDistribution	Adjustment sub-reason is for an allocation of a pay in kind distribution.
SSPE	SupplementalInterimActivityFromPhiladelphia	Adjustment sub-reason is for supplemental interim activity from Philadelphia (6070).
SSPJ	AgentPaidBasedOnCombinedFractions	Adjustment sub-reason is that an agent paid DTC based on combined fractions for all public service New Hampshire. New spinoffs distributed on July 25, 1991.
SSPO	StockLoanOrRepoPaymentOrder	Adjustment sub-reason is for stock loan or repo payment order related adjustment.
SSR4	ShareAdjustmentFromBuyTransactionIn-DividendTradingAccount	Adjustment sub-reason is for share adjustment resulting from a (buy) transaction affected in our DTCC/dividend trading account (#428-10288-1-3-039).
SSR5	ShareAdjustmentFromSellTransactionIn-DividendTradingAccount	Adjustment sub-reason is for share adjustment resulting from a (sell) transaction affected in our DTCC/dividend trading account (#428-10288-1-3-039).
SSR6	ChargeInLieuOfReceiptOfDividend-Reinvestment	Adjustment sub-reason is that, as per your authorization, we are charging your account in lieu of receipt of dividend reinvestment related shares related adjustment.
SSRJ	AllocationAdjustmentDueToFractionsRounded-UpByAgent	Adjustment sub-reason is for an allocation adjustment due to fractions rounded up by the agent related adjustment.
SSS5	ProceedsFromSellTransactionInDividend-TradingAccount	Adjustment sub-reason is for proceeds resulting from a (sell) transaction affected in our DTCC/dividend trading account (#428-10288-1-3-039).
SSS6	DividendReinvestmentAllocationAdjustment	Adjustment sub-reason is for dividend allocation adjustment due to your sub accounting instructions to the agent.
SST6	AllocationOfDRPTEDSInstruction	Adjustment sub-reason is for an allocation of dividend reinvestment shares - DRP/TEDS instruction @100%.

Code	Name	Definition
STEA	TaxExemptInstructions	Adjustment sub-reason is to adjust allocation at 100% on your tax exempt instructions.
SWG1	LostCertificateWasRegisteredInTheNameOf-YourCustomer	Adjustment sub-reason is for withdrawal by transfer - lost certificate over the record date was registered in the name of your customer.
SWHT	RecordDatePositionAdjustedForWithdrawalBy-Transfer	Adjustment sub-reason is that our record date position was adjusted for a withdrawal by transfer activity.
SWL1	WithdrawalByTransferNotTransferredInto-ClientsName	Adjustment sub-reason is for adjustment made for a withdrawal by transfer that was not transferred into your clients name by the record date.
SWM1	WithdrawalByTransferSetUpAfterCutOffDate-TransferIntoClientsName	Adjustment sub-reason code is for adjustment made for a withdrawal by transfer set up after the cut off date made transfer into your clients name.
SWN1	PositionReinstatedCertificatesIssuedAnd-Outstanding	Adjustment sub-reason is that your position was reinstated for a withdrawal by transfer. However the certificate(s) were issued and outstanding over the record date in the name of your customer(s).
SWRH	ReversalOfWithdrawalByTransfer	Adjustment sub-reason is for a reversal of a withdrawal by transfer adjustment.
SWTA	WithholdingTaxAdjustmentInUserDefined-Country	Adjustment sub-reason is for adjustment to allocation to charge (user defined percentage) withholding tax in (user defined) country.

Is restricted by

"DTCAdjustmentPaymentSubReason2Code" on page 40

5.6 DTCAdjustmentPaymentType4Code

Definition: Specifies the type of the payment adjustment.

Type: CodeSet

Code	Name	Definition
FAIL	FailSettlement	FAIL (undelivered securities) transaction.
MISC	MiscellaneousSettlement	Miscellaneous (adjustment) transaction.
OTHR	Other	Reserved for new user defined reason codes.
RADC	ADRIssueFeeCharge	American Depository Receipt issue fee charge adjustment.
RADR	ADRIssueFeeReversal	ADR issue fee reversal adjustment.
RCDP	CustodyDividendPayment	Dividend payment on a DTC custody held security related adjustment.

Code	Name	Definition
RCIL	CashInLieu	Cash in lieu related adjustment.
REPO	RepoSettlement	REPO (repurchase agreement) transaction.
REVA	Reversal	Reversal related adjustment.
RRCD	CustodyReorganisationDeposit	Custody reorganisation deposit related adjustment.
RRCL	ClaimSettlement	Claim settlement related adjustment.
RRD1	ReorganisationDepositPhaseOne	Participant deposited a security within 10 days after a corporate action event has occurred.
RRD2	ReorganisationDepositPhaseTwo	Participant deposited a security 10 days after a corporate action event has occurred.
RRDR	DynamicRateChange	Dynamic rate change related adjustment.
RRLR	MandatoryLegalReorganisationDeposit	Mandatory legal reorganisation deposit related adjustment.
RRMD	MandatoryReorganisationDeposit	Mandatory reorganisation deposit related adjustment.
RRML	LegalReorganisationDeposits	Legal reorganisation deposit related adjustment.
RRR3	MandatoryOverThreeYearReorganisation-Deposit	Mandatory over three year reorganisation deposit related adjustment.
RRRA	AdjustedForRightsSubscription	Adjusted for rights subscription related adjustment.
RRRE	RightsSubscription	Rights subscription related adjustment.
RRRI	RightsProtect	Rights protect related adjustment.
RRRL	LastDayProtect	Last day protect related adjustment.
RRRS	RightsSales	Rights sales related adjustment.
RRRU	RightsStepUp	Rights step up related adjustment.
RRT2	TenderOfferFraction	Tender offer fraction related adjustment.
RRWC	WarrantRateChange	Warrant rate change related adjustment.
RRWT	WarrantParticipantDelete	Warrant Participant delete related adjustment.
STOK	StockLoanSettlement	Stock loan transaction.
TJXD	ReclassificationTaxWithholding	Reclassification tax withholding related adjustment.
TJXF	FailTrackingTaxWithholding	Fail tracking tax withholding related adjustment.
TJXI	TaxInstructionChange	Tax instruction change related adjustment.
TJXL	OriginalLateTaxWithholding	Original late tax withholding related adjustment.

Code	Name	Definition
TJXO	OriginalInitialTaxWithholding	Original (initial) tax withholding related adjustment.
TJXR	ReversalOfTaxWithholding	Reversal of tax withholding related adjustment.
TJXT	RateChangeTaxWithholding	Rate change tax withholding related adjustment.
TJXU	ManualUserTax	Manual user tax adjustment.
TJXV	IntraDayReversalOfOriginalTaxWithholding	Intra-day reversal of original tax withholding related adjustment.

Used in element(s)

"ReasonCode" on page 16, "ReasonCode" on page 22

Restricts

"DTCAdjustmentPaymentTypeV3Code" on page 62

5.7 DTCAdjustmentPaymentTypeV3Code

Definition: Specifies the type of the payment adjustment.

Type: CodeSet

Code	Name	Definition
FAIL	FailSettlement	FAIL (undelivered securities) transaction.
MISC	MiscellaneousSettlement	Miscellaneous (adjustment) transaction.
OTHR	Other	Reserved for new user defined reason codes.
RADC	ADRIssueFeeCharge	American Depository Receipt issue fee charge adjustment.
RADR	ADRIssueFeeReversal	ADR issue fee reversal adjustment.
RCDP	CustodyDividendPayment	Dividend payment on a DTC custody held security related adjustment.
RCIL	CashInLieu	Cash in lieu related adjustment.
REPO	RepoSettlement	REPO (repurchase agreement) transaction.
REVA	Reversal	Reversal related adjustment.
RRCD	CustodyReorganisationDeposit	Custody reorganisation deposit related adjustment.
RRCL	ClaimSettlement	Claim settlement related adjustment.
RRD1	ReorganisationDepositPhaseOne	Participant deposited a security within 10 days after a corporate action event has occurred.
RRD2	ReorganisationDepositPhaseTwo	Participant deposited a security 10 days after a corporate action event has occurred.

Code	Name	Definition
RRDR	DynamicRateChange	Dynamic rate change related adjustment.
RRLR	MandatoryLegalReorganisationDeposit	Mandatory legal reorganisation deposit related adjustment.
RRMD	MandatoryReorganisationDeposit	Mandatory reorganisation deposit related adjustment.
RRML	LegalReorganisationDeposits	Legal reorganisation deposit related adjustment.
RRR3	MandatoryOverThreeYearReorganisation-Deposit	Mandatory over three year reorganisation deposit related adjustment.
RRRA	AdjustedForRightsSubscription	Adjusted for rights subscription related adjustment.
RRRE	RightsSubscription	Rights subscription related adjustment.
RRRI	RightsProtect	Rights protect related adjustment.
RRRL	LastDayProtect	Last day protect related adjustment.
RRRS	RightsSales	Rights sales related adjustment.
RRRU	RightsStepUp	Rights step up related adjustment.
RRT2	TenderOfferFraction	Tender offer fraction related adjustment.
RRWC	WarrantRateChange	Warrant rate change related adjustment.
RRWT	WarrantParticipantDelete	Warrant Participant delete related adjustment.
STOK	StockLoanSettlement	Stock loan transaction.
TJXD	ReclassificationTaxWithholding	Reclassification tax withholding related adjustment.
TJXF	FailTrackingTaxWithholding	Fail tracking tax withholding related adjustment.
TJXI	TaxInstructionChange	Tax instruction change related adjustment.
TJXL	OriginalLateTaxWithholding	Original late tax withholding related adjustment.
TJXO	OriginalInitialTaxWithholding	Original (initial) tax withholding related adjustment.
TJXR	ReversalOfTaxWithholding	Reversal of tax withholding related adjustment.
TJXT	RateChangeTaxWithholding	Rate change tax withholding related adjustment.
TJXU	ManualUserTax	Manual user tax adjustment.
TJXV	IntraDayReversalOfOriginalTaxWithholding	Intra-day reversal of original tax withholding related adjustment.

Is restricted by

"DTCAdjustmentPaymentType4Code" on page 60

5.8 DTCCPayoutType4Code

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

Type: CodeSet

Code	Name	Definition
SECU	Securities	Payout consisting of securities.

Used in element(s)

"PayoutType" on page 21

Restricts

"DTCCPayoutTypeCode" on page 65

5.9 DTCCPayoutType5Code

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

Type: CodeSet

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

Used in element(s)

"PayoutType" on page 16

Restricts

["DTCCPayoutTypeCode" on page 65](#)

5.10 DTCCPayoutTypeCode

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

Type: CodeSet

Code	Name	Definition
CAPG	CapitalGains	Distribution of earnings to shareholders categorised by the company as capital gains.
CASH	Cash	Payout consisting of cash.
DIVI	Dividend	Distribution of earnings to shareholders categorised by company as dividend.
FLFR	Franked	In some markets, companies further categorize dividends as franked or unfranked. "Franked" means that a tax credit is attached to that part of the dividend.
INTR	Interest	Cash payment on a debt instrument calculated using the coupon rate, principal and period of time.
LTCG	LongTermCapitalGains	Distribution of earnings to shareholders categorised by the company as long-term capital gains.
OTHR	Other	Applies when a specific payout code cannot be used.
PREM	Premium	Cash payment that is categorised by the issuer as premium, usually offered as incentive for early participation in an offer.
PRPL	Principal	Cash payment on a debt instrument that represents a return of principal to the holder.
ROCA	ReturnOfCapital	Distribution that doesn't represent earnings and is categorised by the company as return of capital.
SECU	Securities	Payout consisting of securities.
STCG	ShortTermCapitalGains	Distribution of earnings to shareholders categorised by the company as short-term capital gains.
TXCR	TaxCredit	Payout consisting of a tax credit.
UNFR	Unfranked	In some markets, companies further categorize dividends as franked or unfranked. "Unfranked" means that there is no tax credit attached to the dividend.

Is restricted by

["DTCCPayoutType4Code" on page 64](#), ["DTCCPayoutType5Code" on page 64](#)

5.11 DTCCSubEventType11Code

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

Type: CodeSet

Code	Name	Definition
A144	USLegal144A	Identifies an exchange offer on securities that are subject to Securities Rule 144A.
ADRS	ADR	Identifies when the event security is an ADR. The underlying security is American Depositary Receipt.
BLOT	BoardLot	Identifies a change in Board Lot size.
BTST	BidTenderSealedTender	Identifies a tender offer event in which the holder can choose the price at which they are willing to tender their securities. This price may or may not be accepted by the offeror.
C305	DeemedDividend305C	Identifies an event which has been considered a deemed distribution under Section 305(c) of the United States Internal Revenue Code.
CASE	CashAndSecurities	Identifies an event where the payout will be both cash and securities.
CASH	Cash	Identifies an event where the payout will be cash.
CILI	CashinLieu	Identifies DTC (the Depository Trust Company) specific sub-event where holders can elect to "sell" whole shares to satisfy fractional entitlements (usually as a result of a merger) at the beneficial owner level.
CONV	Conversion	Identifies an event which is a full call or a maturity with conversion.
COTE	ConvertAndTender	Identifies a tender offer with a convert feature.
CTAX	TaxCredit	Identifies an event where a tax credit relating to the Build America Bonds will occur.
CUPR	NameAndCUSIPChangeAndPresentationRequired	Name change with both CUSIP change and presentation required.
CUSP	NameAndCUSIPChange	Name change with CUSIP change.
DRPD	DividendReinvestmentByDTC	Identifies an event where the Issue is eligible for a Dividend Reinvestment program at DTCC (The Depository Trust and Clearing Corporation).
DRPI	DividendReinvestmentByIssuer	Identifies an event where the issuer offers a dividend reinvestment program that is not processed by DTC (the Depository Trust Company).
ECNI	AmountsInExcessOfCumulativeNetIncome	Identifies when a publicly traded partnership identifies the amount realised on such portion of the distribution

Code	Name	Definition
		as an amount in excess of cumulative net income under IRS regulation 1.1446(f)-4(c)(2)(iii).
FTPR	OfferToPurchase	Identifies a tender offer event made by another company to purchase a portion or all of the outstanding shares.
GDRS	GDR	Identifies when the event security is a GDR. The underlying security is a global depositary receipt.
M871	DividendEquivalentPayment871M	Identifies an event which has been considered a dividend equivalent payment under Section 871(m) of the United States Internal Revenue Code.
MBCK	MortgageBacked	Indicates an event where the issue has an early redemption feature that allows the holder to elect to sell bonds back to the issuer on a monthly basis, according to specified conditions.
MITE	MiniTender	Identifies when a tender offer is a mini tender.
MROS	MandatoryRedemptionOfShares	Identifies an event where redemption shares are issued in addition to shares of the original security. This is related to the Mandatory Exchange event with the same sub-event type name.
NOTI	ImportantNotice	Identifies a MMI Important Notice.
OPOF	OpenOffer	Identifies an event in certain markets where underlying rights are not issued.
OPTO	OptOut	Identifies an event (for example Cash Dividend) where DTC (the Depository Trust Company) offers a DRIP option as a default option (holder must opt out of the DRIP Option).
PLCL	PlaceOfListing	Identifies a change in the place where the security is listed.
POPI	PoisonPill	Identifies sale of rights event where issuers redeem poison pill rights.
PREQ	PresentationRequired	Identifies an event where the presentation of securities will be required.
PRNI	PhysicalRightsNotIssued	Identifies an event where the company is not issuing a security with the right to subscribe for additional shares. In these instances, a User CUSIP is created by DTC (The Depository Trust Company) as opposed to a company-issued CUSIP in order to identify these issues.
QN92	ExemptionQualifiedNotice92Days	Identifies a qualified notice issued by a publicly traded partnership that states applicability of the 10 percent exception under IRS regulation 1.1446(f)-4(b)(3).

Code	Name	Definition
RCLA	Classification1042S	Identifies distributions that have multiple components for tax withholding and 1042-S reporting purposes.
RDTH	BasedOnRecordDateHoldings	Identifies an event which will be based on record date holdings.
REGS	RegulationS	Identifies an exchange offer on securities that are subject to securities rule Reg S.
RMRK	Remarketing	Identifies an event that involves a Stock Purchase Contract product that is offering an early settlement or remarketing feature prior to the contract's expiration.
SALE	SaleOfAssets	Identifies an event where the distribution is from the proceeds of the sale of assets.
SECU	Securities	Identifies an event where the payout will be securities.
SETE	SelfTender	Identifies when a tender offer is a self tender.
SHEX	ShareExchange	Identifies an event where two companies exchange their shares during a merger. After the share exchange, one company becomes a subsidiary of the other and is no longer listed. Usually applicable to an event in JP markets.
SHPP	SharePurchasePlan	Identifies an event involving the offer of shares by a corporation listed on the Australia Stock Exchange, in which ASIC will give relief so that the company can offer existing shareholders the opportunity to acquire small numbers of additional shares without needing a disclosure document or Product Disclosure Statement (PDS).
SOPT	SurvivorOptions	Indicates an event where the Issue has an early redemption feature. This feature allows the holder to elect to sell bonds back to the issuer on a predetermined basis (excluding monthly) according to specific priorities.
SPAC	SpecialPurposeAcquisitionCompany	Specified purpose acquisition companies (SPACs) are public companies comprised of cash available to investors in financial markets. The sole purpose of SPACs is to use the proceeds to finance a future acquisition. SPACs generally commit to identify a target operating company and complete a business combination transaction within a specified timeframe. SPACs have a feature where funds are put into a trust account and when the target investment is identified the investor can have their proceeds returned or participate in the business combination.

Code	Name	Definition
STDT	Standard	Identifies an event where one company merges with the other and assumes the name of the surviving company. It is the standard market-accepted merger. Usually applicable to an event in JP markets.
TWRI	TenderWithRights	Identifies a tender offer event on a Rights security. Holders must submit both the ordinary share(s) and right(s) to be eligible to receive the tender consideration. The ratio of ordinary shares to rights is defined in the offer.
UNIT	UnitCombination	Identifies a combination of assets or types of assets packaged together and sold as one. For example, a shareholder buying one unit of company stock may get preferred shares, ordinary shares and even warrants in the unit.
UNWD	Unwind	Identifies an event where "unwinding" of the basket of securities occurs.
VOTE	Vote	Event where creditors whose claims are impaired are entitled to vote.
WITH	WithPayout	Identifies a consent event with payout.
WITO	WithoutPayout	Identifies a consent event without payout.
XFER	Transfer	Identifies an event where one company transfers all of its shares to a newly created company. Usually applicable to an event in JP markets.

Used in element(s)

"SubEventType" on page 25

Restricts

"DTCCSubEventTypeCode" on page 69

5.12 DTCCSubEventTypeCode

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

Type: CodeSet

Code	Name	Definition
A144	USLegal144A	Identifies an exchange offer on securities that are subject to Securities Rule 144A.
ADRS	ADR	Identifies when the event security is an ADR. The underlying security is American Depositary Receipt.
AMET	AnnualGeneral	Identifies a meeting event called by the company on behalf of security holders at which the company can present corpo-

Code	Name	Definition
		rate resolutions that may require a vote by the holders.
BLOT	BoardLot	Identifies a change in Board Lot size.
BTST	BidTenderSealedTender	Identifies a tender offer event in which the holder can choose the price at which they are willing to tender their securities. This price may or may not be accepted by the offeror.
C305	DeemedDividend305C	Identifies an event which has been considered a deemed distribution under Section 305(c) of the United States Internal Revenue Code.
CASE	CashAndSecurities	Identifies an event where the payout will be both cash and securities.
CASH	Cash	Identifies an event where the payout will be cash.
CILI	CashinLieu	Identifies DTC (the Depository Trust Company) specific sub-event where holders can elect to "sell" whole shares to satisfy fractional entitlements (usually as a result of a merger) at the beneficial owner level.
CONV	Conversion	Identifies an event which is a full call or a maturity with conversion.
COTE	ConvertAndTender	Identifies a tender offer with a convert feature.
CTAX	TaxCredit	Identifies an event where a tax credit relating to the Build America Bonds will occur.
CUPR	NameAndCUSIPChangeAndPresentationRequired	Name change with both CUSIP change and presentation required.
CUSP	NameAndCUSIPChange	Name change with CUSIP change.
DRPD	DividendReinvestmentByDTC	Identifies an event where the Issue is eligible for a Dividend Reinvestment program at DTCC (The Depository Trust and Clearing Corporation).
DRPI	DividendReinvestmentByIssuer	Identifies an event where the issuer offers a dividend reinvestment program that is not processed by DTC (the Depository Trust Company).
ECNI	AmountsInExcessOfCumulativeNetIncome	Identifies when a publicly traded partnership identifies the amount realised on such portion of the distribution as an amount in excess of cumulative net income under IRS regulation 1.1446(f)-4(c)(2)(iii).
EXOM	Extraordinary	Identifies a meeting event called by the company when urgent matters need to be addressed before the next General Meeting.

Code	Name	Definition
FINL	FinalPayment	Identifies an event that include notification of a final payment in lieu of the original commitment.
FTPR	OfferToPurchase	Identifies a tender offer event made by another company to purchase a portion or all of the outstanding shares.
GDRS	GDR	Identifies when the event security is a GDR. The underlying security is a global depositary receipt.
INTE	InterimPayment	Identifies an event that include notification of an interim payment in lieu of the original commitment.
M871	DividendEquivalentPayment871M	Identifies an event which has been considered a dividend equivalent payment under Section 871(m) of the United States Internal Revenue Code.
MBCK	MortgageBacked	Indicates an event where the issue has an early redemption feature that allows the holder to elect to sell bonds back to the issuer on a monthly basis, according to specified conditions.
MITE	MiniTender	Identifies when a tender offer is a mini tender.
MROS	MandatoryRedemptionOfShares	Identifies an event where redemption shares are issued in addition to shares of the original security. This is related to the Mandatory Exchange event with the same sub-event type name.
NCPR	NameChangeAndPresentationRequired	Name change with presentation required without new CUSIP.
NOTI	ImportantNotice	Identifies a MMI Important Notice.
OPOF	OpenOffer	Identifies an event in certain markets where underlying rights are not issued.
OPTO	OptOut	Identifies an event (for example Cash Dividend) where DTC (the Depository Trust Company) offers a DRIP option as a default option (holder must opt out of the DRIP Option).
ORDM	Ordinary	Identifies a meeting event called by the company. Usually held annually.
PLCL	PlaceOfListing	Identifies a change in the place where the security is listed.
POPI	PoisonPill	Identifies sale of rights event where issuers redeem poison pill rights.
PREQ	PresentationRequired	Identifies an event where the presentation of securities will be required.
PRNI	PhysicalRightsNotIssued	Identifies an event where the company is not issuing a security with the right to subscribe for additional shares. In these instances, a User CUSIP is created by DTC (The Depository Trust Company)

Code	Name	Definition
		as opposed to a company-issued CUSIP in order to identify these issues.
QN92	ExemptionQualifiedNotice92Days	Identifies a qualified notice issued by a publicly traded partnership that states applicability of the 10 percent exception under IRS regulation 1.1446(f)-4(b)(3).
RCLA	Classification1042S	Identifies distributions that have multiple components for tax withholding and 1042-S reporting purposes.
RDTH	BasedOnRecordDateHoldings	Identifies an event which will be based on record date holdings.
REGS	RegulationS	Identifies an exchange offer on securities that are subject to securities rule Reg S.
RMRK	Remarketing	Identifies an event that involves a Stock Purchase Contract product that is offering an early settlement or remarketing feature prior to the contract's expiration.
SALE	SaleOfAssets	Identifies an event where the distribution is from the proceeds of the sale of assets.
SECU	Securities	Identifies an event where the payout will be securities.
SETE	SelfTender	Identifies when a tender offer is a self tender.
SHEX	ShareExchange	Identifies an event where two companies exchange their shares during a merger. After the share exchange, one company becomes a subsidiary of the other and is no longer listed. Usually applicable to an event in JP markets.
SHPP	SharePurchasePlan	Identifies an event involving the offer of shares by a corporation listed on the Australia Stock Exchange, in which ASIC will give relief so that the company can offer existing shareholders the opportunity to acquire small numbers of additional shares without needing a disclosure document or Product Disclosure Statement (PDS).
SOPT	SurvivorOptions	Indicates an event where the Issue has an early redemption feature. This feature allows the holder to elect to sell bonds back to the issuer on a predetermined basis (excluding monthly) according to specific priorities.
SPAC	SpecialPurposeAcquisitionCompany	Specified purpose acquisition companies (SPACs) are public companies comprised of cash available to investors in financial markets. The sole purpose of SPACs is to use the proceeds to finance a future acquisition. SPACs generally commit to identify a target operating company and complete a business combination transaction within a specified timeframe. SPACs have a feature

Code	Name	Definition
		where funds are put into a trust account and when the target investment is identified the investor can have their proceeds returned or participate in the business combination.
SPCL	Special	Identifies a meeting event called by the company that cannot be categorized as Ordinary, Annual General, or Extraordinary.
STDT	Standard	Identifies an event where one company merges with the other and assumes the name of the surviving company. It is the standard market-accepted merger. Usually applicable to an event in JP markets.
TWRI	TenderWithRights	Identifies a tender offer event on a Rights security. Holders must submit both the ordinary share(s) and right(s) to be eligible to receive the tender consideration. The ratio of ordinary shares to rights is defined in the offer.
UNIT	UnitCombination	Identifies a combination of assets or types of assets packaged together and sold as one. For example, a shareholder buying one unit of company stock may get preferred shares, ordinary shares and even warrants in the unit.
UNWD	Unwind	Identifies an event where "unwinding" of the basket of securities occurs.
VOTE	Vote	Event where creditors whose claims are impaired are entitled to vote.
WITH	WithPayout	Identifies a consent event with payout.
WITO	WithoutPayout	Identifies a consent event without payout.
XFER	Transfer	Identifies an event where one company transfers all of its shares to a newly created company. Usually applicable to an event in JP markets.

Is restricted by

"DTCCSubEventType11Code" on page 66

5.13 DateType8Code

Definition: Specifies the type of dates.

Type: CodeSet

Code	Name	Definition
ONGO	Ongoing	Ongoing basis, which indicates that the date is determined by "ongoing basis" process, for example "au fil de l'eau".

Code	Name	Definition
UKWN	Unknown	Date is unknown by the sender or has not been established.

Used in element(s)

"DateCode" on page 28

Restricts

"DateTypeCode" on page 74

5.14 DateTypeCode

Definition: Ongoing basis, which indicates that the date is determined by "ongoing basis" process, for example "au fil de l'eau".

Type: CodeSet

Code	Name	Definition
MEET	BlockingTillMeetingDate	Blocking occurs until and inclusive of the meeting date.
MKDT	BlockingTillMarketDeadline	Blocking occurs until and inclusive of the market deadline of the option.
NARR	NarrativeUnblockingDate	Refer to additional information element for the date until when the securities are blocked.
ONGO	Ongoing	Ongoing basis, which indicates that the date is determined by "ongoing basis" process, for example "au fil de l'eau".
OPEN	Open	Open-dated, which indicates that the date has not been established.
PAYD	BlockingTillPaymentDate	Unblocking will occur on payment date of the option.
PPYD	BlockingTillPremiumPaymentDate	Unblocking will occur on payment date of the premium.
PWAL	BlockingTillEndOfElectionPeriod	Blocking occurs until and inclusive of the end of the election period of the option.
RDDT	BlockingTillResponseDeadline	Blocking occurs until and inclusive of the account servicer deadline for the option.
RDTE	BlockingTillRecordDate	Blocking occurs until and inclusive of the record date of the event.
UKWN	Unknown	Date is unknown by the sender or has not been established.
VARI	Various	Partial trades have occurred over a period of two or more days.

Is restricted by

"DateType8Code" on page 73

5.15 DecimalNumber

Definition: Number of objects represented as a decimal number, for example 0.75 or 45.6.

Type: Quantity

Format

fractionDigits	17
totalDigits	18

Used in element(s)

"ProrationFraction" on page 20, "RoundingFactor" on page 24

5.16 EventGroup2Code

Definition: Specifies DTC (The Depository Trust Company) processing domain for the event.

Type: CodeSet

Code	Name	Definition
DISN	Distribution	Distribution domain events.
REDM	Redemption	Redemption domain events.
REOR	Reorganization	Reorganization domain events.

Used in element(s)

"EventGroup" on page 25

Restricts

"EventGroupCode" on page 75

5.17 EventGroupCode

Definition: Specifies DTC (The Depository Trust Company) processing domain for the event.

Type: CodeSet

Code	Name	Definition
DISN	Distribution	Distribution domain events.
GENL	General	General domain events.
REDM	Redemption	Redemption domain events.
REOR	Reorganization	Reorganization domain events.

Is restricted by

"EventGroup2Code" on page 75

5.18 Exact32AlphaNumericText

Definition: Specifies an alphanumeric string with a length of 32 characters.

Type: Text

Format

pattern [a-zA-Z0-9]{32}

Used in element(s)

["RDPPreferenceNumber" on page 18](#), ["RDPPreferenceNumber" on page 23](#)

5.19 ExtendedEventType6Code

Definition: Specifies DTCC (The Depository Trust and Clearing Corporation) defined corporate action event type.

Type: CodeSet

Code	Name	Definition
CDRD	CertificateOfDepositEarlyRedemption	Feature of a security that allows an issuer to make a payment to the security holder. This event will be used for securities subject to redemptions other than those categorised as full and partial calls (for example early Certificate of Deposit redemptions).
FPAY	FinalPaydown	Final distribution of principal due on a security, typically Collateralised Mortgage Obligations.
REDW	RedemptionOfWarrant	Event is a redemption of warrant.
TMTN	Termination	Security, usually a form of a derivative, for which the agent or issuer has decided to terminate the derivative based on a change to the underlying security(ies) or a change in strategy. Distinguishes from Mandatory Exchange, Exchange Offer event types mapped to the same ISO event type code.

Used in element(s)

["EventType" on page 25](#)

Restricts

["ExtendedEventTypeV2Code" on page 76](#)

5.20 ExtendedEventTypeV2Code

Definition: Specifies DTCC (The Depository Trust and Clearing Corporation) defined corporate action event type.

Type: CodeSet

Code	Name	Definition
BRIS	BonusRightsIssue	Security holders are issued additional securities, free of payment, from the issuer in proportion to their holdings. A bonus issue is typically represented by shares or warrants. Nominal value does not change. The security holder may be offered choice of entitlement. Distinguishes from Rights Subscription, Sale Of Rights event types mapped to the same ISO event type code.
CDRD	CertificateOfDepositEarlyRedemption	Feature of a security that allows an issuer to make a payment to the security holder. This event will be used for securities subject to redemptions other than those categorised as full and partial calls (for example early Certificate of Deposit redemptions).
FLPR	FullPrerefunding	Exercise of a privilege by the issuer to repay, in full, any debt security prior to maturity when the issuer deposits assets in trust. This irrevocably restricts their use to satisfaction of the debt. Distinguishes from "partial defeasance", "partial prerefunding" event types mapped to the same ISO event type code.
FPAY	FinalPaydown	Final distribution of principal due on a security, typically Collateralised Mortgage Obligations.
MEET	Meeting	Meeting of a company's share or bond holders to address resolutions put forth by the issuer. Note: this is information only event. Pending deprecation and migration to ISO Proxy Message suite.
PDEF	PartialDefeasance	Issuer sets aside funds in escrow to guarantee payment for the portion of the security on maturity date. Defeased and Non-defeased cusips are issued respectively for the defeased and non-defeased portions.
PPRE	PartialPrerefunding	Issuer sets aside funds in escrow to guarantee payment for the portion of the security prior to maturity date. Refunded and Non-Refunded cusips are issued respectively for the refunded and non-refunded portions.
PPUT	PartialMandatoryPut	The mandatory exchange of a portion of bonds where the exchanged securities are usually remarketed. The issuer may offer holders the right to retain instead of exchanging their securities.
REDW	RedemptionOfWarrant	Event is a redemption of warrant.
RPLA	RightsPlanAdoption	General information provided by the issuer that should not result in material changes to the security.

Code	Name	Definition
TMTN	Termination	Security, usually a form of a derivative, for which the agent or issuer has decided to terminate the derivative based on a change to the underlying security(ies) or a change in strategy. Distinguishes from Mandatory Exchange, Exchange Offer event types mapped to the same ISO event type code.

Is restricted by

"ExtendedEventType6Code" on page 76

5.21 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 31

Restricts

"ExternalFinancialInstrumentIdentificationTypeCode" on page 78

5.22 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 78

5.23 FractionDispositionType12Code

Definition: Indicates the processing to apply to fractions of securities.*Type:* CodeSet

Code	Name	Definition
RDDN	RoundDown	Round down to the nearest whole number.
RDUP	RoundUp	Round up to the nearest whole number.

Used in element(s)"ProrationRoundingIndicator" on page 20**Restricts**"FractionDispositionTypeCode" on page 79

5.24 FractionDispositionTypeCode

Definition: Indicates that fractional value should be retained; no rounding.*Type:* CodeSet

Code	Name	Definition
BUYU	BuyUp	Buy securities up to next whole number.
CINL	CashInLieuOfFraction	Fractional part of cash. Take cash in lieu of fractions.
DIST	IssueFraction	Take distribution of fractions in the form of securities.
EXPI	Expire	Let fractions expire worthless.
FULL	Full	Pre-allocate shares only if fully dealt.
NOFR	NoFraction	No fractional shares are allowed.
PROR	ProRate	In case of a partial fill, pro-rate the allocations.
RDDN	RoundDown	Round down to the nearest whole number.
RDUP	RoundUp	Round up to the nearest whole number.
RETA	Retain	Indicates that fractional value should be retained; no rounding.
SPEC	Specific	Pre-allocate according to the amounts shown in a linked allocation instruction.

Code	Name	Definition
SSTD	Standard	Indicates that if the fraction is greater than or equal to 0.5 of the value should be rounded up; otherwise rounded down.
STAN	RoundToNearest	If the fraction is greater than or equal to 0.5 of the resulting security then round up, else round down.
TALK	DiscussFirst	Do not pro-rate; discuss first.
UKWN	Unknown	Characteristics of the disposition of fractions are unknown.

Is restricted by

"FractionDispositionType12Code" on page 79

5.25 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)

"Date" on page 27, "LotteryDate" on page 27, "MaturityDate" on page 22, "ProcessToDate" on page 27

5.26 ISODateTime

Definition: A particular point in the progression of time defined by a mandatory date and a mandatory time component, expressed in either UTC time format (YYYY-MM-DDThh:mm:ss.sssZ), local time with UTC offset format (YYYY-MM-DDThh:mm:ss.sss+/-hh:mm), or local time format (YYYY-MM-DDThh:mm:ss.sss). These representations are defined in "XML Schema Part 2: Datatypes Second Edition - W3C Recommendation 28 October 2004" which is aligned with ISO 8601.

Note on the time format:

1) beginning / end of calendar day

00:00:00 = the beginning of a calendar day

24:00:00 = the end of a calendar day

2) fractions of second in time format

Decimal fractions of seconds may be included. In this case, the involved parties shall agree on the maximum number of digits that are allowed.

Type: DateTime

Used in element(s)

"DateTime" on page 27, "TransactionIdentificationDate" on page 32

5.27 Max10NumericText

Definition: Specifies a numeric string with a maximum length of 10 digits.

Type: Text

Format

pattern	[0-9]{1,10}
---------	-------------

Used in element(s)

"RedemptionIdentification" on page 26

5.28 Max15Text

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 32

5.29 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 37

5.30 Max210Text

Definition: Specifies a character string with a maximum length of 210 characters.

Type: Text

Format

maxLength	210
minLength	1

Used in element(s)

["InstructionComments" on page 36](#)

5.31 Max30Text

Definition: Specifies a character string with a maximum length of 30 characters.

Type: Text

Format

maxLength	30
-----------	----

Used in element(s)

["CustomerReferenceIdentification" on page 36](#)

5.32 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 13](#), ["PlaceAndName" on page 16](#), ["PlaceAndName" on page 20](#), ["PlaceAndName" on page 21](#), ["PlaceAndName" on page 25](#), ["PlaceAndName" on page 26](#), ["PlaceAndName" on page 29](#), ["PlaceAndName" on page 32](#)

5.33 Max3NumericText

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

Type: Text

Format

pattern	[0-9]{1,3}
---------	------------

Used in element(s)

["LotterySequenceNumber" on page 26](#), ["TransactionSequenceNumber" on page 32](#)

5.34 Max8Text

Definition: Specifies a character string with a maximum length of 8 characters.

Type: Text

Format

maxLength	8
minLength	1

Used in element(s)

"ContraParticipantNumber" on page 17, "ContraParticipantNumber" on page 22

5.35 ParentCurrencyCode

Definition: Code allocated to a currency, by a maintenance agency, under an international identification scheme as described in the latest edition of the international standard ISO 4217 "Codes for the representation of currencies and funds". Valid currency codes are registered with the ISO 4217 Maintenance Agency, and consist of three contiguous letters.

Type: CodeSet

Format

pattern	[A-Z]{3,3}
---------	------------

Is restricted by

"ActiveCurrencyCode" on page 39

5.36 PercentageRate

Definition: Rate expressed as a percentage, that is, in hundredths, for example, 0.7 is 7/10 of a percent, and 7.0 is 7%.

Type: Rate

Format

fractionDigits	10
totalDigits	11

Used in element(s)

"TaxAdjustmentRate" on page 17, "TaxAdjustmentRate" on page 23

5.37 RestrictedFINActiveCurrencyAndAmount

Definition: A number of monetary units specified in an active currency where the unit of currency is explicit and compliant with ISO 4217.

Type: Amount

This data type must be used with the following XML Attributes:

Attribute	Tag	Datatype
Currency	Ccy	"ActiveCurrencyCode" on page 39

Format

fractionDigits	5
minInclusive	0
totalDigits	14

Rules**R1 CurrencyAmount ✓**

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

Note: The decimal separator is a dot.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00007
- *Error Text:* Invalid currency code or too many decimal digits

Used in element(s)

"AdjustedSubscriptionAmount" on page 36, "CashInLieuOfShare" on page 35, "EntitledAmount" on page 34, "OversubscriptionAmount" on page 35, "RefundedSubscriptionAmount" on page 36, "SubscriptionAmount" on page 35, "TransactionAmount" on page 16

5.38 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 30

5.39 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 31

5.40 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 30, "FaceAmount" on page 30

5.41 RestrictedFINXMax31Text

Definition: Specifies a character string with a maximum length of 31 characters limited to character set X, that is, a-z A-Z / - ? : () . , ' + .

Type: Text

Format

maxLength	31
minLength	1
pattern	[0-9a-zA-Z/\-?\:\(\)\.,'\+]{1,31}

Used in element(s)

"Identification" on page 37

5.42 ShortLong1Code

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

Type: CodeSet

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

Used in element(s)

["ShortLongPosition" on page 38](#)

Restricts

["ShortLongCode" on page 86](#)

5.43 ShortLongCode

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

Type: CodeSet

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

Is restricted by

["ShortLong1Code" on page 85](#)

5.44 YesNoIndicator

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

Type: Indicator

Meaning When True: Yes

Meaning When False: No

Used in element(s)

["MoneyMarketInstrumentFlag" on page 29](#)

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