

Usage Guideline

Corporate Action Movement Reversal Advice Extension supl.025.001.05

DTCC - US - CA - Payment Processing - SR 2025

This document describes a usage guideline restricting the base message **MX supl.025.001.05**. You can also consult [this information online](#).

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

18 March 2025

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Message Functionality

Overview

The DTCC CARESD1 message extends ISO corporate action movement reversal advice 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 Reversal Advice Extension supl.025.001.05 message is composed of 2 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.

1 Structure

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	<i>DTCC CARESD1V05</i>	<DTCC CARESD1>		[1..1]		
	CorporateActionGeneralInformation	<CorpActnGnllnf>		[0..1]		5
	PlaceAndName	<PlcAndNm>		[0..1]		6
	EventGroup	<EvtGrp>		[0..1]		6
	SubEventType	<SubEvtTp>		[0..1]		6
	UnderlyingSecurity	<UndrlygScty>		[0..1]		5
	PlaceAndName	<PlcAndNm>		[0..1]		7
	MoneyMarketInstrumentFlag	<MnyMktInstrmFlg>		[0..1]		7

2 Message Building Blocks

Note The following chapter identifies the building blocks of the DTCC - US - CA - Payment Processing - SR 2025 / Corporate Action Movement Reversal Advice Extension suppl.025.001.05 message definition.

2.1 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 "CorporateActionGeneralInformationSD61" on page 6 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]		6
	EventGroup	<EvtGrp>		[0..1]		6
	SubEventType	<SubEvtTp>		[0..1]		6

2.2 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 "FinancialInstrumentAttributesSD20" on page 6 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]		7
	MoneyMarketInstrumentFlag	<MnyMktInstrmFlg>		[0..1]		7

3 Message Components

Note The following chapter identifies the message components.

3.1 CorporateActionGeneralInformationSD61

Definition: Provides additional information regarding corporate action general information.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		6
	EventGroup	<EvtGrp>		[0..1]		6
	SubEventType	<SubEvtTp>		[0..1]		6

Used in element(s)

"CorporateActionGeneralInformation" on page 5

3.1.1 PlaceAndName

XML Tag: PlcAndNm

Presence: [0..1]

Definition: Xpath to the element that is being extended.

Datatype: "Max350Text" on page 16

3.1.2 EventGroup

XML Tag: EvtGrp

Presence: [0..1]

Definition: DTC processing domain/ category for event types.

Datatype: "EventGroup3Code" on page 15

3.1.3 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: "DTCCSubEventType12Code" on page 8

3.2 FinancialInstrumentAttributesSD20

Definition: Provides additional information regarding underlying security details.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		7
	MoneyMarketInstrumentFlag	<MnyMktInstrmFlg>		[0..1]		7

Used in element(s)

"UnderlyingSecurity" on page 5

3.2.1 PlaceAndName

XML Tag: PlcAndNm

Presence: [0..1]

Definition: Xpath to the element that is being extended.

Datatype: "Max350Text" on page 16

3.2.2 MoneyMarketInstrumentFlag

XML Tag: MnyMktInstrmFlg

Presence: [0..1]

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

Datatype: "YesNoIndicator" on page 16

4 Message Datatypes

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

4.1 DTCCSubEventType12Code

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.
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).

Code	Name	Definition
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).
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 6

Restricts

"DTCCSubEventTypeCode" on page 11

4.2 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

"DTCCSubEventType12Code" on page 8

4.3 EventGroup3Code

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

Type: CodeSet

Code	Name	Definition
DISN	Distribution	Distribution domain events.

Used in element(s)

["EventGroup" on page 6](#)

Restricts

["EventGroupCode" on page 16](#)

4.4 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

["EventGroup3Code" on page 15](#)

4.5 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 6](#), ["PlaceAndName" on page 7](#)

4.6 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 7](#)

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