

## Usage Guideline

# Corporate Action Notification Eligible Balance Extension supl.007.001.12

DTCC - US - CA - Payment Processing - SR 2025

This document describes a usage guideline restricting the base message **MX supl.007.001.12**. You can also consult [this information online](#).

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## Message Functionality

### Overview

The DTCCCANOEligibleBalanceSD1 message extends ISO corporate action notification (Eligible Balance market practice) message with DTCC corporate action eligible balance elements not covered in the standard message.

### Collection Description

### Outline

The DTCC - US - CA - Payment Processing - SR 2025 / Corporate Action Notification Eligible Balance Extension supl.007.001.12 message is composed of 5 building blocks

a. CorporateActionGeneralInformation

Information to be extended as supplementary data to general information.

b. UnderlyingSecurity

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

c. DistributionAccountBalance

Information to be extended as supplementary data to account balance for distribution events.

d. RedemptionAccountBalance

Information to be extended as supplementary data to account balance for redemptions events.

e. ReorganisationAccountBalance







Information to be extended as supplementary data to account balance for reorganisation events.

# 1 Restriction summary

This Usage Guideline restricts the supl.007.001.12 message.

Restriction Type	See page
Removed elements	n.a.
Make mandatory	n.a.
Reduce Multiplicity	n.a.
Ignore	n.a.
Text rules	n.a.
Conditional rules	n.a.
Formal rules	n.a.
Fixed values	n.a.
Truncates	n.a.
Comments	13, 14, 14
Annotations	n.a.
Changed datatypes	n.a.
Extensions	n.a.
Synonyms	n.a.

## 2 Structure

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	<i>DTCCCANOEIlgibleBalanceSD1V12</i>	<i>&lt;DTCCCANOEIlgblBalSD1&gt;</i>		[1..1]		
	<b>CorporateActionGeneralInformation</b>	<i>&lt;CorpActnGnrlInf&gt;</i>		[0..1]		6
	PlaceAndName	<i>&lt;PlcAndNm&gt;</i>		[0..1]		16
	EventGroup	<i>&lt;EvtGrp&gt;</i>		[0..1]		16
	EventType	<i>&lt;EvtTp&gt;</i>		[0..1]		16
	SubEventType	<i>&lt;SubEvtTp&gt;</i>		[0..1]		16
	RedemptionIdentification	<i>&lt;RedId&gt;</i>		[0..1]		17
	<b>UnderlyingSecurity</b>	<i>&lt;UndrlygScty&gt;</i>		[0..1]		6
	PlaceAndName	<i>&lt;PlcAndNm&gt;</i>		[0..1]		17
	OriginatingSecurityIdentification	<i>&lt;OrgtgSctyId&gt;</i>		[0..1]		17
	MoneyMarketInstrumentFlag	<i>&lt;MnyMktInstrmFlg&gt;</i>		[0..1]		18
	<b>DistributionAccountBalance</b>	<i>&lt;DstrbtnAcctBal&gt;</i>		[0..*]		6
	PlaceAndName	<i>&lt;PlcAndNm&gt;</i>		[0..1]		9
	TransactionPosition	<i>&lt;TxPos&gt;</i>		[0..1]		9
	ContraParticipantNumber	<i>&lt;ContraPtcptNb&gt;</i>		[0..1]		9
	<b>RedemptionAccountBalance</b>	<i>&lt;RedAcctBal&gt;</i>		[0..1]		7
	PlaceAndName	<i>&lt;PlcAndNm&gt;</i>		[0..1]		10
	OriginalBalance	<i>&lt;OrgnlBal&gt;</i>		[0..1]		10
	AdjustedBalance	<i>&lt;AdjstdBal&gt;</i>		[0..1]		11
	UnpledgedBalance	<i>&lt;UpldgdBal&gt;</i>		[0..1]		11
	InvestmentUnpledgedBalance	<i>&lt;InvstmtUpldgdBal&gt;</i>		[0..1]		11
	InvestmentPledgedBalance	<i>&lt;InvstmtPldgdBal&gt;</i>		[0..1]		12
	<b>ReorganisationAccountBalance</b>	<i>&lt;ReorgAcctBal&gt;</i>		[0..1]		7
	PlaceAndName	<i>&lt;PlcAndNm&gt;</i>		[0..1]		12
	UncoveredProtectBalance	<i>&lt;UcvrdPrctBal&gt;</i>		[0..1]		13
	InvestmentUnpledgedBalance	<i>&lt;InvstmtUpldgdBal&gt;</i>		[0..1]		13
	InvestmentPledgedBalance	<i>&lt;InvstmtPldgdBal&gt;</i>		[0..1]		13
	MemoSegregationBalance	<i>&lt;MemoSgrtnBal&gt;</i>		[0..1]		14

### 3 Message Building Blocks

**Note** The following chapter identifies the building blocks of the DTCC - US - CA - Payment Processing - SR 2025 / Corporate Action Notification Eligible Balance Extension supl.007.001.12 message definition.







#### 3.1 CorporateActionGeneralInformation

*XML Tag:* CorpActnGnllnf

*Presence:* [0..1]

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

The **CorpActnGnllnf** block contains the following elements (see datatype "CorporateActionGeneralInformationSD57" on page 15 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]		16
	EventGroup	<EvtGrp>		[0..1]		16
	EventType	<EvtTp>		[0..1]		16
	SubEventType	<SubEvtTp>		[0..1]		16
	RedemptionIdentification	<RedId>		[0..1]		17







#### 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 17 for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		17
	OriginatingSecurityIdentification	<OrgtgSctyId>		[0..1]		17
	MoneyMarketInstrumentFlag	<MnyMktInstrmFlg>		[0..1]		18

#### 3.3 DistributionAccountBalance

*XML Tag:* DstrbtnAcctBal

*Presence:* [0..\*]

*Definition:* Information to be extended as supplementary data to account balance for distribution events.

The **DstrbtnAcctBal** block contains the following elements (see datatype "[AccountBalanceSD10](#)" on [page 9](#) for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		9
	TransactionPosition	<TxPos>		[0..1]		9
	ContraParticipantNumber	<ContraPtcptNb>		[0..1]		9

## 3.4 RedemptionAccountBalance

*XML Tag:* RedAcctBal

*Presence:* [0..1]

*Definition:* Information to be extended as supplementary data to account balance for redemptions events.

The **RedAcctBal** block contains the following elements (see datatype "[AccountBalanceSD11](#)" on [page 10](#) for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		10
	OriginalBalance	<OrgnlBal>		[0..1]		10
	AdjustedBalance	<AdjstdBal>		[0..1]		11
	UnpledgedBalance	<UpldgdBal>		[0..1]		11
	InvestmentUnpledgedBalance	<InvstmtUpldgdBal>		[0..1]		11
	InvestmentPledgedBalance	<InvstmtPldgdBal>		[0..1]		12







## 3.5 ReorganisationAccountBalance




*XML Tag:* ReorgAcctBal

*Presence:* [0..1]

*Definition:* Information to be extended as supplementary data to account balance for reorganisation events.

The **ReorgAcctBal** block contains the following elements (see datatype "[AccountBalanceSD12](#)" on [page 12](#) for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		12
	UncoveredProtectBalance	<UcvrdPrtctBal>		[0..1]		13
	InvestmentUnpledgedBalance	<InvstmtUpldgdBal>		[0..1]		13
	InvestmentPledgedBalance	<InvstmtPlgdgdBal>		[0..1]		13
	MemoSegregationBalance	<MemoSgrtnBal>		[0..1]		14









## 4 Message Components

**Note** The following chapter identifies the message components.

### 4.1 AccountBalanceSD10

*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]		9
	TransactionPosition	<TxPos>		[0..1]		9
	ContraParticipantNumber	<ContraPtcptNb>		[0..1]		9

Used in element(s)

"DistributionAccountBalance" on page 6

#### 4.1.1 PlaceAndName

*XML Tag:* PlcAndNm

*Presence:* [0..1]

*Definition:* Xpath to the element that is being extended.

*Datatype:* "Max350Text" on page 33







#### 4.1.2 TransactionPosition

*XML Tag:* TxPos

*Presence:* [0..1]

*Definition:* Position that is concerned in transaction.

The **TxPos** block contains the following elements (see datatype "AdjustedBalanceTypeSD4Choice" on page 14 for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	StockLoan	<StockLn>	{Or	[1..1]		15
	Repo	<Repo>	Or}	[1..1]		15

#### 4.1.3 ContraParticipantNumber

*XML Tag:* ContraPtcptNb

*Presence:* [0..1]

*Definition:* Transaction contra participant identification for stock loans, repurchase agreements (RE-POs).

*Datatype:* "Max8Text" on page 34

## 4.2 AccountBalanceSD11

*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 -   
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		10
	OriginalBalance	<OrgnlBal>		[0..1]		10
	AdjustedBalance	<AdjstdBal>		[0..1]		11
	UnpledgedBalance	<UpldgdBal>		[0..1]		11
	InvestmentUnpledgedBalance	<InvstmtUpldgdBal>		[0..1]		11
	InvestmentPledgedBalance	<InvstmtPldgdBal>		[0..1]		12

**Used in element(s)**

"RedemptionAccountBalance" on page 7

### 4.2.1 PlaceAndName

*XML Tag:* PlcAndNm

*Presence:* [0..1]

*Definition:* Xpath to the element that is being extended.

*Datatype:* "Max350Text" on page 33

### 4.2.2 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 20 for details)

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

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

### 4.2.3 AdjustedBalance

*XML Tag:* AdjstdBal

*Presence:* [0..1]

*Definition:* Adjusted position held in a security that is subject to redemption call.

The **AdjstdBal** block contains the following elements (see datatype "[SignedQuantityFormat9](#)" on page 20 for details)

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

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

### 4.2.4 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 20 for details)

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

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







### 4.2.5 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 20 for details)

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

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







## 4.2.6 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 20 for details)




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

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

## 4.3 AccountBalanceSD12

*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]		12
	UncoveredProtectBalance	<UcvrdPrctBal>		[0..1]		13
	InvestmentUnpledgedBalance	<InvstmtUpldgdBal>		[0..1]		13
	InvestmentPledgedBalance	<InvstmtPldgdBal>		[0..1]		13
	MemoSegregationBalance	<MemoSgrtnBal>		[0..1]		14

Used in element(s)

"ReorganisationAccountBalance" on page 7

### 4.3.1 PlaceAndName

*XML Tag:* PlcAndNm

*Presence:* [0..1]

*Definition:* Xpath to the element that is being extended.

*Datatype:* "Max350Text" on page 33







## 4.3.2 UncoveredProtectBalance

*XML Tag:* UcvrdPrctctBal

*Presence:* [0..1]

*Definition:* Balance of all uncovered protect instructions across all options.

The **UcvrdPrctctBal** block contains the following elements (see datatype "[SignedQuantityFormat9](#)" on page 20 for details)

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

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







## 4.3.3 InvestmentUnpledgedBalance

*XML Tag:* InvstmtUpldgdBal

*Presence:* [0..1]

*Definition:* Position held in DTC segregated account also called account 18. This position is not eligible for instruction processing but will be eligible for payment on mandatory events.

The **InvstmtUpldgdBal** block contains the following elements (see datatype "[SignedQuantityFormat9](#)" on page 20 for details)

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

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

### Usage Guideline details

- on supl.007.001.12/ReorganisationAccountBalance/InvestmentUnpledgedBalance

**Comment:**

For Mandatory Events, this balance is eligible for entitlement. For Voluntary or Choice events, this balance is not eligible for instruction.







## 4.3.4 InvestmentPledgedBalance

*XML Tag:* InvstmtPldgdBal

*Presence:* [0..1]

*Definition:* Position held in DTC segregated account also called account 22. This position is not eligible for instruction processing but will be eligible for payment on mandatory events.

The **InvstmtPldgdBal** block contains the following elements (see datatype "SignedQuantityFormat9" on page 20 for details)

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

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

#### Usage Guideline details

- on supl.007.001.12/ReorganisationAccountBalance/InvestmentPledgedBalance

**Comment:**

For Mandatory Events, this balance is eligible for entitlement. For Voluntary or Choice events, this balance is not eligible for instruction.







## 4.3.5 MemoSegregationBalance

*XML Tag:* MemoSgrtnBal

*Presence:* [0..1]

*Definition:* Position held in DTC memo segregated account. This position is eligible for payment.

The **MemoSgrtnBal** block contains the following elements (see datatype "SignedQuantityFormat9" on page 20 for details)

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

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

#### Usage Guideline details

- on supl.007.001.12/ReorganisationAccountBalance/MemoSegregationBalance

**Comment:**

For Mandatory Events, this balance is not eligible for entitlement. For Voluntary events, this balance is not eligible for instruction.

## 4.4 AdjustedBalanceTypeSD4Choice

*Definition:* Choice of balance types to provide transaction 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
	StockLoan	<StockLn>	{Or	[1..1]		15
	Repo	<Repo>	Or}	[1..1]		15

Used in element(s)

"TransactionPosition" on page 9

## 4.4.1 StockLoan

*XML Tag:* StockLn

*Presence:* [1..1]

*Definition:* Stock loan transaction position. Stock loan is loaned / borrowed from / to a third party.

The **StockLn** block contains the following elements (see datatype "[SignedQuantityFormat9](#)" on page 20 for details)

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

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

## 4.4.2 Repo

*XML Tag:* Repo

*Presence:* [1..1]

*Definition:* Repurchase agreement (REPO) between a seller and a buyer whereby the seller agrees to repurchase the securities at an agreed upon price, and usually at a stated time.







The **Repo** block contains the following elements (see datatype "[SignedQuantityFormat9](#)" on page 20 for details)

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

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

## 4.5 CorporateActionGeneralInformationSD57

*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]		16
	EventGroup	<EvtGrp>		[0..1]		16
	EventType	<EvtTp>		[0..1]		16
	SubEventType	<SubEvtTp>		[0..1]		16
	RedemptionIdentification	<RedId>		[0..1]		17

**Used in element(s)**

"CorporateActionGeneralInformation" on page 6

## 4.5.1 PlaceAndName

*XML Tag:* PlcAndNm

*Presence:* [0..1]

*Definition:* Xpath to the element that is being extended.

*Datatype:* "Max350Text" on page 33

## 4.5.2 EventGroup

*XML Tag:* EvtGrp

*Presence:* [0..1]

*Definition:* DTC processing domain/ category for event types.

*Datatype:* "EventGroup1Code" on page 29

## 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 30

## 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 22](#)

## 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 33](#)

## 4.6 FinancialInstrumentAttributesSD21

*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]		17
	OriginatingSecurityIdentification	<OrgtgSctyId>		[0..1]		17
	MoneyMarketInstrumentFlag	<MnyMktInstrmFlg>		[0..1]		18

**Used in element(s)**

["UnderlyingSecurity" on page 6](#)

### 4.6.1 PlaceAndName

*XML Tag:* PlcAndNm

*Presence:* [0..1]

*Definition:* Xpath to the element that is being extended.

*Datatype:* ["Max350Text" on page 33](#)

### 4.6.2 OriginatingSecurityIdentification

*XML Tag:* OrgtgSctyId

*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 **OrgtgSctyId** block contains the following elements (see datatype ["OtherIdentification2" on page 19](#) for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Identification	<Id>		[1..1]		20
	Suffix	<Sfx>		[0..1]		20
	Type	<Tp>		[1..1]		20

### 4.6.3 MoneyMarketInstrumentFlag

*XML Tag:* MnyMktInstrmFlg







*Presence:* [0..1]

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

*Datatype:* ["YesNoIndicator" on page 36](#)

## 4.7 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]		18
	FaceAmount	<FaceAmt>	Or	[1..1]		18
	AmortisedValue	<AmtsdVal>	Or}	[1..1]		19

**Used in element(s)**

["Quantity" on page 21](#)

### 4.7.1 Unit

*XML Tag:* Unit

*Presence:* [1..1]

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

*Datatype:* ["RestrictedFINDecimalNumber" on page 34](#)

### 4.7.2 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 35](#)

### 4.7.3 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 35](#)

## 4.8 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]		19
	Proprietary	<Prtry>	Or}	[1..1]		19

Used in element(s)

["Type" on page 20](#)

### 4.8.1 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 32](#)

### 4.8.2 Proprietary

XML Tag: Prtry







Presence: [1..1]

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

Datatype: ["RestrictedFINExact2Text" on page 34](#)

## 4.9 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]		20
	Suffix	<Sfx>		[0..1]		20
	Type	<Tp>		[1..1]		20

**Used in element(s)**

"OriginatingSecurityIdentification" on page 17

## 4.9.1 Identification

XML Tag: Id

Presence: [1..1]

Definition: Identification of a security.

Datatype: "RestrictedFINXMax31Text" on page 35

## 4.9.2 Suffix

XML Tag: Sfx

Presence: [0..1]

Definition: Identifies the suffix of the security identification.

Datatype: "Max16Text" on page 33







## 4.9.3 Type

XML Tag: Tp

Presence: [1..1]

Definition: Type of the identification.







The **Tp** block contains the following elements (see datatype "IdentificationSource4Choice" on page 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
	Code	<Cd>	{Or	[1..1]		19
	Proprietary	<Prtry>	Or}	[1..1]		19

## 4.10 SignedQuantityFormat9

Definition: Signed quantity of security formats.

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

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

#### Used in element(s)

"AdjustedBalance" on page 11, "InvestmentPledgedBalance" on page 12, "InvestmentPledgedBalance" on page 13, "InvestmentUnpledgedBalance" on page 11, "InvestmentUnpledgedBalance" on page 13, "MemoSegregationBalance" on page 14, "OriginalBalance" on page 10, "Repo" on page 15, "StockLoan" on page 15, "UncoveredProtectBalance" on page 13, "UnpledgedBalance" on page 11

## 4.10.1 ShortLongPosition

XML Tag: ShrtLngPos

Presence: [1..1]

Definition: Sign of the quantity of security.

Datatype: "ShortLong1Code" on page 35







## 4.10.2 Quantity

XML Tag: Qty

Presence: [1..1]

Definition: Quantity of security.

The **Qty** block contains the following elements (see datatype "FinancialInstrumentQuantity15Choice" on page 18 for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Unit	<Unit>	{Or	[1..1]		18
	FaceAmount	<FaceAmt>	Or	[1..1]		18
	AmortisedValue	<AmtsdVal>	Or}	[1..1]		19

## 5 Message Datatypes

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

### 5.1 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).

Code	Name	Definition
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).
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 depository 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.

Code	Name	Definition
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 where funds are put into a trust account and when the target investment is identi-



Code	Name	Definition
		fied the investor can have their proceeds returned or participate in the business combination.
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 16](#)

**Restricts**

["DTCCSubEventTypeCode" on page 25](#)

## 5.2 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.

Code	Name	Definition
AMET	AnnualGeneral	Identifies a meeting event called by the company on behalf of security holders at which the company can present corporate 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

Code	Name	Definition
		be addressed before the next General Meeting.
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

Code	Name	Definition
		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).
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

Code	Name	Definition
		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.
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 22

## 5.3 EventGroup1Code

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

*Type:* CodeSet

Code	Name	Definition
REDM	Redemption	Redemption domain events.

**Used in element(s)**

["EventGroup" on page 16](#)

**Restricts**

["EventGroupCode" on page 30](#)

## 5.4 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**

["EventGroup1Code" on page 29](#)

## 5.5 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 16](#)

**Restricts**

"ExtendedEventTypeV2Code" on page 31

## 5.6 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.

Code	Name	Definition
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.
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 30

## 5.7 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](http://www.iso20022.org).

*Type:* CodeSet

### Format

maxLength	4
minLength	1

### Used in element(s)

"Code" on page 19

### Restricts

"ExternalFinancialInstrumentIdentificationTypeCode" on page 32

## 5.8 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](http://www.iso20022.org).

*Type:* CodeSet

**Format**

maxLength	4
minLength	1

**Is restricted by**

"ExternalFinancialInstrumentIdentificationType1Code" on page 32

## 5.9 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 17

## 5.10 Max16Text

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

*Type:* Text

**Format**

maxLength	16
minLength	1

**Used in element(s)**

"Suffix" on page 20

## 5.11 Max350Text

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

*Type:* Text

**Format**

maxLength	350
-----------	-----

minLength	1
-----------	---

**Used in element(s)**

"PlaceAndName" on page 9, "PlaceAndName" on page 10, "PlaceAndName" on page 12, "PlaceAnd-Name" on page 16, "PlaceAndName" on page 17

## 5.12 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 9

## 5.13 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 18

## 5.14 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 19

## 5.15 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 19, "FaceAmount" on page 18

## 5.16 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 20

## 5.17 ShortLong1Code

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

*Type:* CodeSet

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

### Used in element(s)

"ShortLongPosition" on page 21

**Restricts**

"ShortLongCode" on page 36

## 5.18 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 35

## 5.19 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 18

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