

Usage Guideline

Corporate Action Instruction Cancellation Request Extension supl.032.001.02

DTCC - US - CA - Voluntary Reorg Instructions_SR2023

This document describes a usage guideline restricting the base message **MX supl.032.001.02**. You can also consult [this information online](#).

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Message Functionality

Overview

The DTCCCAICSD1 message extends ISO corporate action Instruction Cancellation Request (CAIC) message with DTCC corporate action elements not covered in the standard message.

Outline

The DTCC - US - CA - Voluntary Reorg Instructions_SR2023 / Corporate Action Instruction Cancellation Request Extension supl.032.001.02 message is composed of 1 building blocks

a. ReorganisationInstructionCancellationDetails







Supplementary data extending corporate action instruction cancellation request message with corporate action reorganisation elements not covered in the standard message.







1 Restriction summary

This Usage Guideline restricts the supl.032.001.02 message.

Restriction Type	See page
Removed elements	8, 9, 10, 10
Make mandatory	9, 10
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	n.a.
Annotations	n.a.
Changed datatypes	7
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>DTCCCAICSD1V02</i>	<DTCCCAICSD1>		[1..1]		
	ReorganisationInstructionCancellationDetails	<ReorgInstrCxlDtls>		[0..1]		6
	PlaceAndName	<PlcAndNm>		[0..1]		8
	WithdrawalTransactionType	<WdrwlTxTp>		[0..1]		8
	TransactionIdentification	<TxId>		[0..1]		8
	TransactionSequenceNumber	<TxSeqNb>		[0..1]		9
	CustomerReferenceIdentification	<CstmrRefId>		[0..1]		9
	ContactPerson	<CtctPrsn>		[0..1]		9
	UserReferenceNumber	<UsrRefNb>		[0..1]		10
	ProtectSafekeepingAccount	<PrtctSfkpgAcct>		[0..1]		10

3 Message Building Blocks

Note The following chapter identifies the building blocks of the DTCC - US - CA - Voluntary Reorg Instructions_SR2023 / Corporate Action Instruction Cancellation Request Extension suppl.032.001.02 message definition.

3.1 ReorganisationInstructionCancellationDetails

XML Tag: ReorgInstrCxlDtls

Presence: [0..1]

Definition: Supplementary data extending corporate action instruction cancellation request message with corporate action reorganisation elements not covered in the standard message.

The **ReorgInstrCxlDtls** block contains the following elements (see datatype "ReorganisationInstructionSD7__1" on page 7 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]		8
	WithdrawalTransactionType	<WdrwTxTp>		[0..1]	⊘	8
	TransactionIdentification	<TxId>		[0..1]	M	8
	TransactionSequenceNumber	<TxSeqNb>		[0..1]	⊘	9
	CustomerReferenceIdentification	<CstmrRefId>		[0..1]		9
	ContactPerson	<CtctPrsn>		[0..1]	M	9
	UserReferenceNumber	<UsrRefNb>		[0..1]	⊘	10
	ProtectSafekeepingAccount	<PrctctSfkpgAcct>		[0..1]	⊘	10


4 Message Components

Note The following chapter identifies the message components.

4.1 ContactIdentification5__1

Definition: Information needed to contact a physical person.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Name	<Nm>		[1..1]		7
	PhoneNumber	<PhneNb>		[1..1]		7

Used in element(s)

"ContactPerson" on page 9

4.1.1 Name

XML Tag: Nm

Presence: [1..1]

Definition: Name by which a party is known and which is usually used to identify that party.

Datatype: "Max20Text" on page 11

Usage Guideline details

- on supl.032.001.02/ReorganisationInstructionCancellationDetails/ContactPerson/Name
 Type changed to: Max20Text on page 11

4.1.2 PhoneNumber

XML Tag: PhneNb







Presence: [1..1]







Definition: Collection of information that identifies a phone number, as defined by telecom services.

Datatype: "PhoneNumber" on page 12

4.2 ReorganisationInstructionSD7__1

Definition: Provides additional information regarding corporate action reorganisation instruction 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]		8
	WithdrawalTransactionType	<WdrwTxTp>		[0..1]		8
	TransactionIdentification	<TxId>		[0..1]		8
	TransactionSequenceNumber	<TxSeqNb>		[0..1]		9
	CustomerReferenceIdentification	<CstmrRefId>		[0..1]		9
	ContactPerson	<CtctPrsn>		[0..1]		9
	UserReferenceNumber	<UsrRefNb>		[0..1]		10
	ProtectSafekeepingAccount	<PrtctSfkpgAcct>		[0..1]		10

Used in element(s)

"ReorganisationInstructionCancellationDetails" on page 6

4.2.1 PlaceAndName

XML Tag: PlcAndNm

Presence: [0..1]

Definition: Xpath to the element that is being extended.

Datatype: "Max350Text" on page 11

4.2.2 WithdrawalTransactionType

XML Tag: WdrwTxTp

Presence: [0..1]

Definition: Identifies the reorganisation withdrawal transaction type.

Datatype: "ReorganisationWithdrawalTransactionType2Code" on page 13

Usage Guideline details

- This element(supl.032.001.02/ReorganisationInstructionCancellationDetails/WithdrawalTransactionType) is removed.

4.2.3 TransactionIdentification

XML Tag: TxId

Presence: [0..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 11

Usage Guideline details

- on **supl.032.001.02/ReorganisationInstructionCancellationDetails/TransactionIdentification**

This element is now mandatory, the minimum occurrence has been changed to : 1

4.2.4 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 12

Usage Guideline details

- **This element(supl.032.001.02/ReorganisationInstructionCancellationDetails/TransactionSequenceNumber) is removed.**

4.2.5 CustomerReferenceIdentification

XML Tag: CstmrRefId

Presence: [0..1]

Definition: Customer identification entered by client upon instruction submission.

Datatype: "Max30Text" on page 11

4.2.6 ContactPerson

XML Tag: CtctPrsn

Presence: [0..1]

Definition: Party contact information for the given instruction; required for voluntary offer instruction transaction (VOIT), protect transaction (PROT) and protect on behalf of another participant transaction (PROP); not required for cover protect instructions like cover protect transaction (COVR), cover protect directly to agent transaction (COVA) and cover protect on behalf of another participant transaction (COVP).

The **CtctPrsn** block contains the following elements (see datatype "ContactIdentification5_1" on page 7 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
	Name	<Nm>		[1..1]	⚠	7
	PhoneNumber	<PhneNb>		[1..1]		7

Usage Guideline details

- **on supl.032.001.02/ReorganisationInstructionCancellationDetails/ContactPerson**
This element is now mandatory, the minimum occurrence has been changed to : 1

4.2.7 UserReferenceNumber

XML Tag: UsrRefNb

Presence: [0..1]

Definition: Unique identification of the transaction used by the transmitting party.

Datatype: "Max6Text" on page 12

Usage Guideline details

- **This element(supl.032.001.02/ReorganisationInstructionCancellationDetails/UserReferenceNumber) is removed.**

4.2.8 ProtectSafekeepingAccount

XML Tag: PrtctSfkpgAcct

Presence: [0..1]

Definition: For cover protect instructions whereby one safekeeping account is covering on behalf of another safekeeping account. The protect safekeeping account will be the account which submitted the original protect instruction.

Datatype: "RestrictedFINMax35Text" on page 13

Usage Guideline details

- **This element(supl.032.001.02/ReorganisationInstructionCancellationDetails/ProtectSafekeepingAccount) is removed.**

5 Message Datatypes

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

5.1 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 8

5.2 Max20Text

Definition: Specifies a character string with a maximum length of 20 characters.

Type: Text

Format

maxLength	20
minLength	1

Used in element(s)

"Name" on page 7

5.3 Max30Text

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

Type: Text

Format

maxLength	30
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Used in element(s)

"CustomerReferenceIdentification" on page 9

5.4 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 8

5.5 Max3NumericText

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

Type: Text

Format

pattern	[0-9]{1,3}
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Used in element(s)

"TransactionSequenceNumber" on page 9

5.6 Max6Text

Definition: Specifies a character string with a maximum length of 6 characters.

Type: Text

Format

maxLength	6
minLength	1

Used in element(s)

"UserReferenceNumber" on page 10

5.7 PhoneNumber

Definition: The collection of information which identifies a specific phone or FAX number as defined by telecom services.

It consists of a "+" followed by the country code (from 1 to 3 characters) then a "-" and finally, any combination of numbers, "(", ")", "+", and "-" (up to 30 characters).

Type: Text

Format

pattern	\+[0-9]{1,3}-[0-9()+\-]{1,30}
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Used in element(s)

["PhoneNumber" on page 7](#)

5.8 ReorganisationWithdrawalTransactionType2Code

Definition: Specifies the type of withdrawal reorganisation transaction.

Type: CodeSet

Code	Name	Definition
PRPW	WithdrawalProtectOnBehalfOfAnother-Participant	The reorganisation instruction cancellation is a withdrawal protect transaction on behalf of another participant.

Used in element(s)

["WithdrawalTransactionType" on page 8](#)

Restricts

["ReorganisationWithdrawalTransactionTypeCode" on page 13](#)

5.9 ReorganisationWithdrawalTransactionTypeCode

Definition: Specifies the type of withdrawal reorganisation transaction.

Type: CodeSet

Code	Name	Definition
PROW	ProtectWithdrawalTransaction	The reorganisation instruction cancellation is a protect withdrawal transaction.
PRPW	WithdrawalProtectOnBehalfOfAnother-Participant	The reorganisation instruction cancellation is a withdrawal protect transaction on behalf of another participant.
VOIW	VoluntaryOfferInstructionWithdrawal	The reorganisation instruction cancellation is a voluntary offer instruction withdrawal transaction.

Is restricted by

["ReorganisationWithdrawalTransactionType2Code" on page 13](#)

5.10 RestrictedFINMax35Text

Definition: Specifies a character string with a maximum length of 35 characters. It has a pattern `(([^/]+)/)([^\/*]*)` that disables the use of slash "/" at the beginning and end of line and double slash "/" within the line.

Type: Text

Format

maxLength	35
minLength	1

pattern ([^/]+)([^/]+)([^\"]*)

Used in element(s)

"ProtectSafekeepingAccount" on page 10

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