

Usage Guideline

Corporate Action Instruction Cancellation Request Status Advice Extension su- pl.033.001.03

DTCC - US - CA - Voluntary Reorg Instructions_SR2023

This document describes a usage guideline restricting the base message **MX supl.033.001.03**. You can also consult [this information online](#).

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Message Functionality

Overview

The DTCCACSSD1 message extends ISO corporate action Instruction Cancellation Request Status Advice (CACS) 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 Status Advice Extension supl.033.001.03 message is composed of 1 building blocks

a. ReorganisationInstructionCancellationDetails







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


1 Restriction summary

This Usage Guideline restricts the supl.033.001.03 message.

Restriction Type	See page
Removed elements	11
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	n.a.
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>DTCCACSSD1V03</i>	<DTCCACSSD1>		[1..1]		
	ReorganisationInstructionCancellationDetails	<ReorgInstrCxlDtls>		[0..1]		6
	PlaceAndName	<PlcAndNm>		[0..1]		9
	WithdrawalTransactionType	<WdrwlTxTp>		[0..1]		9
	TransactionIdentification	<TxId>		[0..1]		9
	TransactionSequenceNumber	<TxSeqNb>		[0..1]		9
	TransactionIdentificationStatus	<TxIdSts>		[0..1]		9
	SecuritiesQuantityDetails	<SctiesQtyDtls>		[0..1]		10
	RejectionReason	<RjctnRsn>		[0..6]		10
	CustomerReferenceIdentification	<CstmrRefId>		[0..1]		10
	ContactPerson	<CtctPrsn>		[0..1]		10
	UserReferenceNumber	<UsrRefNb>		[0..1]		11
	ProtectSafekeepingAccount	<PrctSfkpgAcct>		[0..1]		11
	ProtectTransactionStatus	<PrctTxSts>		[0..1]		11

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 Status Advice Extension supl.033.001.03 message definition.







3.1 ReorganisationInstructionCancellationDetails


XML Tag: ReorgInstrCxlDtls

Presence: [0..1]

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

The **ReorgInstrCxlDtls** block contains the following elements (see datatype "ReorganisationInstructionSD14" on page 8 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]		9
	WithdrawalTransactionType	<WdrwlTxTp>		[0..1]		9
	TransactionIdentification	<TxId>		[0..1]		9
	TransactionSequenceNumber	<TxSeqNb>		[0..1]		9
	TransactionIdentificationStatus	<TxIdSts>		[0..1]		9
	SecuritiesQuantityDetails	<SctiesQtyDtls>		[0..1]		10
	RejectionReason	<RjctnRsn>		[0..6]		10
	CustomerReferenceIdentification	<CstmrRefId>		[0..1]		10
	ContactPerson	<CtctPrsn>		[0..1]		10
	UserReferenceNumber	<UsrRefNb>		[0..1]		11
	ProtectSafekeepingAccount	<PrtctSfkpgAcct>		[0..1]		11
	ProtectTransactionStatus	<PrtctTxSts>		[0..1]		11

4 Message Components

Note The following chapter identifies the message components.

4.1 ContactIdentification5

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 10](#)

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: ["Max35Text" on page 27](#)

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 28](#)

4.2 FinancialInstrumentQuantity31Choice

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]		8
	FaceAmount	<FaceAmt>	Or}	[1..1]		8

Used in element(s)

"InterimCoveredQuantity" on page 12, "OpenUncoveredQuantity" on page 12

4.2.1 Unit

XML Tag: Unit

Presence: [1..1]

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

Datatype: "RestrictedFINDecimalNumber" on page 29

4.2.2 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 29

4.3 ReorganisationInstructionSD14

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]		9
	WithdrawalTransactionType	<WdrwlTxTp>		[0..1]		9
	TransactionIdentification	<TxId>		[0..1]		9
	TransactionSequenceNumber	<TxSeqNb>		[0..1]		9
	TransactionIdentificationStatus	<TxIdSts>		[0..1]		9
	SecuritiesQuantityDetails	<SctiesQtyDtls>		[0..1]		10
	RejectionReason	<RjctnRsn>		[0..6]		10
	CustomerReferenceIdentification	<CstmrRefId>		[0..1]		10
	ContactPerson	<CtctPrsn>		[0..1]		10
	UserReferenceNumber	<UsrRefNb>		[0..1]		11
	ProtectSafekeepingAccount	<PrtctSfkpgAcct>		[0..1]		11
	ProtectTransactionStatus	<PrtctTxSts>		[0..1]		11

Rules

R1 ContactPersonGuideline

ContactPerson is 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).

Error handling:

- *Error severity:* Fatal
- *Error Code:*
- *Error Text:*

Used in element(s)

["ReorganisationInstructionCancellationDetails" on page 6](#)

4.3.1 PlaceAndName

XML Tag: PlcAndNm

Presence: [0..1]

Definition: Xpath to the element that is being extended.

Datatype: ["Max350Text" on page 27](#)

4.3.2 WithdrawalTransactionType

XML Tag: WdrwlTxTp

Presence: [0..1]

Definition: Identifies the reorganisation withdrawal transaction type.

Datatype: ["ReorganisationWithdrawalTransactionType2Code" on page 28](#)

4.3.3 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 26](#)

4.3.4 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 27](#)

4.3.5 TransactionIdentificationStatus

XML Tag: TxIdSts

Presence: [0..1]

Definition: Status of the instruction.

Datatype: "DTCInstructionStatus2Code" on page 13







4.3.6 SecuritiesQuantityDetails

XML Tag: SctiesQtyDtls

Presence: [0..1]

Definition: Provides information about securities quantity linked to a corporate action option.

The **SctiesQtyDtls** block contains the following elements (see datatype "[SecuritiesQuantitySD6](#)" on page 11 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
	OpenUncoveredQuantity	<OpnUcvrdQty>		[0..1]		12
	InterimCoveredQuantity	<IntrmCvrdQty>		[0..1]		12

4.3.7 RejectionReason

XML Tag: RjctnRsn

Presence: [0..6]

Definition: Reason for which an inbound instruction message or a cancellation instruction message is rejected.

Datatype: "InstructionRejectionReason3Code" on page 15

4.3.8 CustomerReferenceIdentification

XML Tag: CstmrRefId

Presence: [0..1]

Definition: Customer identification entered by client upon instruction submission.

Datatype: "Max30Text" on page 26







4.3.9 ContactPerson

XML Tag: CtctPrsn

Presence: [0..1]

Definition: Party contact information for the given instruction.

The **CtctPrsn** block contains the following elements (see datatype "[ContactIdentification5](#)" on page 7 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
	Name	<Nm>		[1..1]		7
	PhoneNumber	<PhneNb>		[1..1]		7

4.3.10 UserReferenceNumber

XML Tag: UsrRefNb

Presence: [0..1]

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

Datatype: "Max6Text" on page 27

Usage Guideline details

- This element(supl.033.001.03/ReorganisationInstructionCancellationDetails/UserReferenceNumber) is removed.

4.3.11 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 29

4.3.12 ProtectTransactionStatus

XML Tag: PrtctTxSts







Presence: [0..1]

Definition: Status of the protect instruction.

Datatype: "DTCProtectInstructionStatus1Code" on page 14

4.4 SecuritiesQuantitySD6

Definition: Provides information about securities quantity linked to a corporate action option.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	OpenUncoveredQuantity	<OpnUcvrdQty>		[0..1]		12
	InterimCoveredQuantity	<IntrmCvrdQty>		[0..1]		12

Used in element(s)

["SecuritiesQuantityDetails" on page 10](#)

4.4.1 OpenUncoveredQuantity

XML Tag: OpnUcvrQty

Presence: [0..1]

Definition: Quantity not fully covered.

The **OpnUcvrQty** block contains the following elements (see datatype ["FinancialInstrumentQuantity31Choice"](#) 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
	Unit	<Unit>	{Or	[1..1]		8
	FaceAmount	<FaceAmt>	Or}	[1..1]		8

4.4.2 InterimCoveredQuantity

XML Tag: IntrmCvrQty

Presence: [0..1]

Definition: Quantity covered but transactions not in "MADE" status.

The **IntrmCvrQty** block contains the following elements (see datatype ["FinancialInstrumentQuantity31Choice"](#) 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
	Unit	<Unit>	{Or	[1..1]		8
	FaceAmount	<FaceAmt>	Or}	[1..1]		8

5 Message Datatypes

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

5.1 DTCInstructionStatus2Code

Definition: DTC (The Depository Trust Company) system status code of instruction.

Type: CodeSet

Code	Name	Definition
CANC	Cancel	Instruction cancelled by client relating to survivor option event.
CCAN	ConversionCancellation	Cancellation of conversion instruction upon agent approval only.
DROP	Dropped	Instruction dropped due to insufficient position.
MADE	Made	Fully processed instruction.
PDOC	PendingDocumentation	Instruction for CD early redemption awaiting paperwork. Instruction will become MADE when DTC releases instruction upon paperwork.
PENA	PendingApproval	Instruction pending release or delete from approval function.
PEND	Pending	Instruction waiting for update after submission.
RECY	Recycle	Instruction waiting for position. Instruction will subsequently either become "Made" or "Dropped" by end of day.
REJA	RejectedByAgent	Instruction or withdrawal rejected by agent relating to survivor option event.
REJT	Reject	Instruction did not pass initial validation.
REMD	RecycleMade	Previously recycled transactions have been "MADE" and the system is processing the updates.
RESC	Rescinded	Rescinded by Issuer.
SWUN	Swung	Instruction moved from one client account to another for put events.
WITH	Withdrawn	Client instruction withdrawn for events with withdrawal privilege.

Used in element(s)

"TransactionIdentificationStatus" on page 9

Restricts

"DTCInstructionStatusCode" on page 14

5.2 DTCInstructionStatusCode

Definition: DTC (The Depository Trust Company) system status code of instruction.

Type: CodeSet

Code	Name	Definition
CANC	Cancel	Instruction cancelled by client relating to survivor option event.
CCAN	ConversionCancellation	Cancellation of conversion instruction upon agent approval only.
COVR	FullyCovered	Protect instruction has been fully covered.
DROP	Dropped	Instruction dropped due to insufficient position.
EDRJ	EditReject	Transaction rejected.
EXPI	Expired	Protect instruction has expired.
MADE	Made	Fully processed instruction.
OPEN	Open	Protect instruction which has not been fully covered. Will include partial covers.
PDOC	PendingDocumentation	Instruction for CD early redemption awaiting paperwork. Instruction will become MADE when DTC releases instruction upon paperwork.
PENA	PendingApproval	Instruction pending release or delete from approval function.
PEND	Pending	Instruction waiting for update after submission.
RECY	Recycle	Instruction waiting for position. Instruction will subsequently either become "Made" or "Dropped" by end of day.
REJA	RejectedByAgent	Instruction or withdrawal rejected by agent relating to survivor option event.
REJT	Reject	Instruction did not pass initial validation.
REMD	RecycleMade	Previously recycled transactions have been "MADE" and the system is processing the updates.
RESC	Rescinded	Rescinded by Issuer.
SWUN	Swung	Instruction moved from one client account to another for put events.
WITH	Withdrawn	Client instruction withdrawn for events with withdrawal privilege.

Is restricted by

"DTCInstructionStatus2Code" on page 13, "DTCProtectInstructionStatus1Code" on page 14

5.3 DTCProtectInstructionStatus1Code

Definition: DTC (The Depository Trust Company) system status code of protect instruction.

Type: CodeSet

Code	Name	Definition
COVR	FullyCovered	Protect instruction has been fully covered.
EXPI	Expired	Protect instruction has expired.
OPEN	Open	Protect instruction which has not been fully covered. Will include partial covers.
PENA	PendingApproval	Instruction pending release or delete from approval function.
WITH	Withdrawn	Client instruction withdrawn for events with withdrawal privilege.

Used in element(s)

"ProtectTransactionStatus" on page 11

Restricts

"DTCInstructionStatusCode" on page 14

5.4 InstructionRejectionReason3Code

Definition: Reason for rejection of a corporate action instruction or of an instruction cancellation.

Type: CodeSet

Code	Name	Definition
ACKA	AcknowledgementNotAgreed	Acknowledgement must be agreed.
ACKS	AcknowledgmentIndicatorMissing	Acknowledgment indicator is missing.
ADIM	AdjudicationOfIncompetencyAcknowledgment-IndicatorMissing	Adjudication of incompetency acknowledgement indicator is missing.
ADIN	AdjudicationOfIncompetencyAcknowledgment-IndicatorInvalid	Adjudication of incompetency acknowledgement indicator is invalid.
ALLO	EventAlreadyAllocated	Event already allocated.
ATOP	OfferNotATOPEligible	Offer is not ATOP eligible.
BID0	BidPriceZeroesRequired	Zeroes are required for bid price.
BIDE	BidPriceOverMaximumAllowed	Bid price exceeds maximum bid price allowed for the offer.
BIDG	BidPriceOverflow	Bid price cannot be greater than 9999.99999.
BIDI	BidPriceMissingOrInvalid	Bid price is missing or invalid.
BIDM	BidPriceUnderMinimumAllowed	Bid price is less than the minimum bid price allowed for the offer.
BNDU	BondCheckOnMasterTableNotAvailable	Bond check on master table is not available.
BODC	DeathCertificateMissing	Death certificate details are missing.

Code	Name	Definition
BODD	BeneficialOwnerDeathDateMissing	Beneficial owner death date is missing.
BOIJ	IssuingJurisdictionMissing	Issuing jurisdiction is missing.
BONM	BeneficialOwnerNameMissing	Beneficial owner name is missing.
CAID	CorporateActionEventInvalid	Corporate action event identification is invalid.
CENM	CertificateNameMissing	Certificate number is missing.
CERN	CertificateNumberInvalid	Certificate number is invalid.
CERS	CertificateSequenceNumberInvalid	Certificate sequence number is invalid.
CHIL	CUSIPDepositoryDeliverChilled	CUSIP is depository deliver chilled.
CN1N	Condition1InvalidMustBeNo	Condition 1 indicator is invalid. It must be No.
CN1R	Condition1Required	Condition 1 indicator is must be present.
CN1Y	Condition1InvalidMustBeYes	Condition 1 indicator is invalid. It must be Yes.
CN2N	Condition2InvalidMustBeNo	Condition 2 indicator is invalid. It must be No.
CN2R	Condition2Required	Condition 2 indicator is must be present.
CN2Y	Condition2InvalidMustBeYes	Condition 2 indicator is invalid. It must be Yes.
CN3N	Condition3InvalidMustBeNo	Condition 3 indicator is invalid. It must be No.
CN3R	Condition3Required	Condition 3 indicator is must be present.
CN3Y	Condition3InvalidMustBeYes	Condition 3 indicator is invalid. It must be Yes.
CN4N	Condition4InvalidMustBeNo	Condition 4 indicator is invalid. It must be No.
CN4R	Condition4Required	Condition 4 indicator is must be present.
CN4Y	Condition4InvalidMustBeYes	Condition 4 indicator is invalid. It must be Yes.
CN5N	Condition5InvalidMustBeNo	Condition 5 indicator is invalid. It must be No.
CN5R	Condition5Required	Condition 5 indicator is must be present.
CN5Y	Condition5InvalidMustBeYes	Condition 5 indicator is invalid. It must be Yes.
CN6N	Condition6InvalidMustBeNo	Condition 6 indicator is invalid. It must be No.
CN6R	Condition6Required	Condition 6 indicator is must be present.
CN6Y	Condition6InvalidMustBeYes	Condition 6 indicator is invalid. It must be Yes.
CNAM	ContactNameMissing	Contact name is missing.
CNAX	ContactNameNotUsedWithEvent	Contact name is not used with this event.

Code	Name	Definition
CNPM	ContactPhoneNumberMissing	Contact phone number is missing.
CNPX	ContactPhoneNumberNotUsedWithEvent	Contact phone number is not used with this event.
COMM	CommentAreaInvalid	Comment area is invalid.
COQ0	ConditionalQuantityZeroesRequired	Conditional quantity zeroes are required.
COQE	ConditionalQuantityExceedsTransaction-Quantity	Conditional quantity exceeds the transaction quantity.
COQI	ConditionalQuantityMissingOrInvalid	Conditional quantity is missing or invalid.
COQX	ConditionalQuantityCannotBeZero	Conditional quantity cannot be zero.
COTQ	ConditionalQuantityDoesNotEqual-TransactionQuantity	Conditional quantity does not equal the transaction quantity whilst this offer accepts only the full conditional quantity.
COVR	CoverQuantityGreaterThanProtectQuantity	Cover quantity is greater than the remaining protect quantity.
CQRQ	CustomerQuantitiesAndTotalRights-QuantitiesMismatch	Customer quantities do not add up to total rights quantities.
CSEQ	CustomerSequenceNumberInvalid	Customer sequence number is invalid or out of sequence.
CUID	CustomerIdentificationMissingOrInvalid	Customer identification is missing or invalid.
CUSD	CUSIPNotDTCEligible	Target CUSIP or contra CUSIP identification is not DTC eligible.
CUSI	CUSIPMissingOrInvalid	Target CUSIP or contra CUSIP identification is missing or invalid.
CUSP	UnderlyingSecurityCUSIPInvalid	Underlying security CUSIP is invalid.
CUSU	UnderlyingSecurityCUSIPMismatch	Underlying security CUSIP does not match the original.
CUTC	CutoffTimeCheckFailed	Cut-off time check has failed.
CUTT	CutoffTimePassed	Cut-off time has passed.
ENTL	EntryDatePassed	Entry date must be less than or equal to current date.
ENTR	EntryDateInvalid	Entry date is invalid.
EVNM	InvalidEventType	Event type is not valid.
FRAQ	FractionalUnderlyingQuantity	Customer has fractional underlying quantity, adjust quantity.
FUNU	FunctionNotAvailable	Function is not available at this time. Please check expiration start and end times for the event.
HIST	OfferInDatabase	Offer is already on historical data base.
INDI	InstructionDeletionAcknowledgement-IndicatorInvalid	Instruction deletion acknowledgement indicator is invalid.
INDM	InstructionDeletionAcknowledgement-IndicatorMissing	Instruction deletion acknowledgement indicator is missing.

Code	Name	Definition
KEYM	KeyInformationMissing	Key information is missing (tenders data).
KEYV	KeyDataNotFound	Key data (VOI transaction) cannot be found.
LACK	InsufficientPosition	Participant has an insufficient position.
LEGI	LegalDocumentationThirtyMonthsRetention-AcknowledgementIndicatorInvalid	Legal documentation thirty months retention acknowledgement indicator is invalid.
LEGM	LegalDocumentationThirtyMonthsRetention-AcknowledgementIndicatorMissing	Legal documentation thirty months retention acknowledgement indicator is missing.
MSTB	MasterTablesNotAvailable	Master tables are not available.
NELG	NotEligibleForWithdrawal	Not eligible for withdrawal, not in made status
NWIT	NoWithdrawalPrivilege	There is no withdrawal privilege on this offer.
ODLI	OddLotIndicatorMissingOrInvalid	Odd lot indicator is missing or invalid.
ODLY	OddLotIndicatorYesInvalid	Cannot submit odd lot indicator 'Yes' for the offer.
OFFP	OfferNotEligibleForPuts	Offer is not eligible for the PUTS function.
OPNM	InvalidOptionNumber	Option number is not valid.
OPTY	InvalidOptionType	Option type is not valid.
OTHR	UnknownErrorCondition	Rejection reason is unknown.
OVCU	CustomerAndTotalOversubscription-QuantitiesMismatch	Customer oversubscription quantities do not add up to total oversubscription quantity.
OVRG	OversubscriptionQuantityExceeded	Oversubscription quantity is greater than percentage of underlying shares.
OVRI	OversubscriptionQuantityInvalid	Oversubscription quantity is invalid.
OVRX	OversubscriptionNotAllowed	Oversubscription is not allowed.
OVTT	OversubscriptionQuantityNotUsed	Oversubscription quantity not used with this transaction type.
PACH	ParticipantDOChilled	Participant is DO chilled.
PAEC	ParticipantEligibilityCheckNotAvailable	Participant eligibility check on master table is not available.
PAPI	ParticipantNoMatchOnProtectIdentification	Participant does not match the participant on protect identification.
PARL	ParticipantLocked	Participant is globally locked.
PART	ParticipantNumberInvalid	Participant number is invalid.
PARX	ParticipantNotEligible	Participant is not DTC eligible.
POLI	PotentialLossAcknowledgementIndicatorInvalid	Potential loss acknowledgement indicator is invalid.

Code	Name	Definition
POLM	PotentialLossAcknowledgementIndicator-Missing	Potential loss acknowledgement indicator is missing.
PRO0	ProtectDateZero	Protect date on file must be zero.
PROE	CurrentDatePassedProtectSubmissionEndDate	Current date is greater than the protect submission end date.
PROI	ProtectDateInvalidOrMissing	Protect date invalid or missing.
PROL	ProtectDatePassed	Protect date must be less than or equal to current date.
PROS	CurrentDatePrecedesProtectSubmissionStartDate	Current date is less than the protect submission start date.
PROT	ProtectIdentificationMissingOrInvalid	Protect identification is missing or invalid.
PROX	ProtectIdentificationNotUsed	Protect identification is not used with this event.
QUIE	FunctionQuiesced	Function is quiesced (not available).
RECI	RecordTypeInvalid	Record type is invalid.
RILA	RightsCUSIPInsufficientPosition	Rights CUSIP has insufficient position.
RPCI	RightsPositionCheckInvalid	Not a good return code from rights position check.
RQDV	RightsQuantityDivisibleByRights	Rights quantity for this subscription must be divisible by rights.
RQIN	RightsQuantityInvalid	Rights quantity is invalid.
RTIO	RightsRatioNotFound	Rights ratio not found on data base.
RTSP	RTSPProcessingInProgress	RTS processing is in progress. Submit later.
SEQ0	CustomerSequenceNumberAllZero	Customer sequence number must be all zero.
SEQD	DuplicateTransactionSequenceNumber	Transaction sequence number is duplicated.
SEQM	SequenceNumberMissing	Sequence number is missing.
SEQO	SequenceNumberOutOfSync	Sequence number is out of sequence.
SEQP	SequenceNumberInvalidBounds	Customer sequence number must be between 1 and 1 or for PUTS between 9999901 and 9999912.
SHQI	UnderlyingShareQuantityInvalid	Underlying share quantity is invalid.
SHQO	UnderlyingShareQuantityMismatch	Underlying share quantity does not match original share quantity.
SOCR	SolicitationFeeCommentsRequired	Comments are required for solicitation fee.
SOLI	SolicitationFeeIndicatorRequired	Solicitation fee indicator is required.
SOLX	SolicitationFeeIndicatorNotUsed	Solicitation fee indicator is not used with this event.
SUBE	SubmissionDateNotReached	Submission date is not yet reached.

Code	Name	Definition
SUBL	SubmissionDatePassed	Date of submission has passed.
SUME	CoreInstructionQuantityAndExtension-TransactionDetailsDifference	There is a summary difference between the core instruction quantity and the extension transaction details.
SUMO	CoreInstructionOversubscriptionQuantity-AndExtensionTransactionDetailsDifference	There is summary difference between core oversubscription quantity and extension transaction details.
TNFN	TransactionTypeAndEventIncompatible	Transaction type and event are incompatible.
TRNI	TransactionIdentificationInvalid	Transaction identification is invalid.
TRNM	TransactionTypeMissing	Transaction type is missing.
TRNS	TransactionSequenceInvalid	Transaction sequence is invalid. Used only for rights exercise events.
TRQ0	TransactionQuantityCannotBeZero	Transaction quantity cannot be zero.
TRQI	TransactionQuantityMissingOrInvalid	Transaction quantity is missing or invalid.
TRQM	TransactionQuantityLessThanTransaction-Minimum	Transaction quantity is less than the transaction minimum.
TRQP	ProvidedByProtect	Provided by protect, enter 0 for transaction quantity.
TRTI	TransactionTypeInvalid	Transaction type or withdrawal transaction type is invalid.
WARC	WarrantSubscriptionChargeAmountInvalid	Warrant subscription charge amount is not balancing.
WIT0	WithdrawalTransactionQuantityCannotBeZero	Withdrawal transaction quantity cannot be zero.
WITE	WithdrawError	Error in withdraw occurred.
WITG	WithdrawalQuantityGreaterThanProtectQuantity	Withdrawal quantity is greater than VOI/protect quantity.
WITI	WithdrawalTransactionTypeInvalid	Withdrawal transaction type is invalid.
WITQ	WithdrawalQuantityExceedsRemainingQuantity	Withdrawal quantity exceeds the remaining quantity.

Used in element(s)

"RejectionReason" on page 10

Restricts

"InstructionRejectionReasonV2Code" on page 20

5.5 InstructionRejectionReasonV2Code

Definition: Reason for rejection of a corporate action instruction or of an instruction cancellation.

Type: CodeSet

Code	Name	Definition
ACKA	AcknowledgementNotAgreed	Acknowledgement must be agreed.
ACKS	AcknowledgmentIndicatorMissing	Acknowledgment indicator is missing.
ADIM	AdjudicationOfIncompetencyAcknowledgment-IndicatorMissing	Adjudication of incompetency acknowledgment indicator is missing.
ADIN	AdjudicationOfIncompetencyAcknowledgement-IndicatorInvalid	Adjudication of incompetency acknowledgment indicator is invalid.
ALLO	EventAlreadyAllocated	Event already allocated.
ASOP	NotApprovedBySubscriptionAgent	Is not approved by the subscription agent.
ATOP	OfferNotATOPEligible	Offer is not ATOP eligible.
BID0	BidPriceZeroesRequired	Zeroes are required for bid price.
BIDE	BidPriceOverMaximumAllowed	Bid price exceeds maximum bid price allowed for the offer.
BIDG	BidPriceOverflow	Bid price cannot be greater than 9999.99999.
BIDI	BidPriceMissingOrInvalid	Bid price is missing or invalid.
BIDM	BidPriceUnderMinimumAllowed	Bid price is less than the minimum bid price allowed for the offer.
BNDU	BondCheckOnMasterTableNotAvailable	Bond check on master table is not available.
BODC	DeathCertificateMissing	Death certificate details are missing.
BODD	BeneficialOwnerDeathDateMissing	Beneficial owner death date is missing.
BOIJ	IssuingJurisdictionMissing	Issuing jurisdiction is missing.
BONM	BeneficialOwnerNameMissing	Beneficial owner name is missing.
CAID	CorporateActionEventInvalid	Corporate action event identification is invalid.
CENM	CertificateNameMissing	Certificate number is missing.
CERN	CertificateNumberInvalid	Certificate number is invalid.
CERS	CertificateSequenceNumberInvalid	Certificate sequence number is invalid.
CHIL	CUSIPDepositoryDeliverChilled	CUSIP is depository deliver chilled.
CN1N	Condition1InvalidMustBeNo	Condition 1 indicator is invalid. It must be No.
CN1R	Condition1Required	Condition 1 indicator is must be present.
CN1Y	Condition1InvalidMustBeYes	Condition 1 indicator is invalid. It must be Yes.
CN2N	Condition2InvalidMustBeNo	Condition 2 indicator is invalid. It must be No.
CN2R	Condition2Required	Condition 2 indicator is must be present.
CN2Y	Condition2InvalidMustBeYes	Condition 2 indicator is invalid. It must be Yes.

Code	Name	Definition
CN3N	Condition3InvalidMustBeNo	Condition 3 indicator is invalid. It must be No.
CN3R	Condition3Required	Condition 3 indicator is must be present.
CN3Y	Condition3InvalidMustBeYes	Condition 3 indicator is invalid. It must be Yes.
CN4N	Condition4InvalidMustBeNo	Condition 4 indicator is invalid. It must be No.
CN4R	Condition4Required	Condition 4 indicator is must be present.
CN4Y	Condition4InvalidMustBeYes	Condition 4 indicator is invalid. It must be Yes.
CN5N	Condition5InvalidMustBeNo	Condition 5 indicator is invalid. It must be No.
CN5R	Condition5Required	Condition 5 indicator is must be present.
CN5Y	Condition5InvalidMustBeYes	Condition 5 indicator is invalid. It must be Yes.
CN6N	Condition6InvalidMustBeNo	Condition 6 indicator is invalid. It must be No.
CN6R	Condition6Required	Condition 6 indicator is must be present.
CN6Y	Condition6InvalidMustBeYes	Condition 6 indicator is invalid. It must be Yes.
CNAM	ContactNameMissing	Contact name is missing.
CNAX	ContactNameNotUsedWithEvent	Contact name is not used with this event.
CNPM	ContactPhoneNumberMissing	Contact phone number is missing.
CNPX	ContactPhoneNumberNotUsedWithEvent	Contact phone number is not used with this event.
COMM	CommentAreaInvalid	Comment area is invalid.
COQ0	ConditionalQuantityZeroesRequired	Conditional quantity zeroes are required.
COQE	ConditionalQuantityExceedsTransaction-Quantity	Conditional quantity exceeds the transaction quantity.
COQI	ConditionalQuantityMissingOrInvalid	Conditional quantity is missing or invalid.
COQX	ConditionalQuantityCannotBeZero	Conditional quantity cannot be zero.
COTQ	ConditionalQuantityDoesNotEqual-TransactionQuantity	Conditional quantity does not equal the transaction quantity whilst this offer accepts only the full conditional quantity.
COVR	CoverQuantityGreaterThanProtectQuantity	Cover quantity is greater than the remaining protect quantity.
CQRQ	CustomerQuantitiesAndTotalRights-QuantitiesMismatch	Customer quantities do not add up to total rights quantities.
CSEQ	CustomerSequenceNumberInvalid	Customer sequence number is invalid or out of sequence.
CUID	CustomerIdentificationMissingOrInvalid	Customer identification is missing or invalid.

Code	Name	Definition
CUSD	CUSIPNotDTCEligible	Target CUSIP or contra CUSIP identification is not DTC eligible.
CUSI	CUSIPMissingOrInvalid	Target CUSIP or contra CUSIP identification is missing or invalid.
CUSP	UnderlyingSecurityCUSIPInvalid	Underlying security CUSIP is invalid.
CUST	CustomerReferenceIdentificationMissingInSequence	Customer reference identification must be populated for each sequence.
CUSU	UnderlyingSecurityCUSIPMismatch	Underlying security CUSIP does not match the original.
CUTC	CutoffTimeCheckFailed	Cut-off time check has failed.
CUTT	CutoffTimePassed	Cut-off time has passed.
ENTL	EntryDatePassed	Entry date must be less than or equal to current date.
ENTR	EntryDateInvalid	Entry date is invalid.
EVNM	InvalidEventType	Event type is not valid.
EVNT	CorporateActionEventTypeInvalid	Corporate action event type provided is not valid.
FRAQ	FractionalUnderlyingQuantity	Customer has fractional underlying quantity, adjust quantity.
FUNU	FunctionNotAvailable	Function is not available at this time. Please check expiration start and end times for the event.
HIST	OfferInDatabase	Offer is already on historical data base.
INDI	InstructionDeletionAcknowledgementIndicatorInvalid	Instruction deletion acknowledgement indicator is invalid.
INDM	InstructionDeletionAcknowledgementIndicatorMissing	Instruction deletion acknowledgement indicator is missing.
KEYM	KeyInformationMissing	Key information is missing (tenders data).
KEYV	KeyDataNotFound	Key data (VOI transaction) cannot be found.
LACK	InsufficientPosition	Participant has an insufficient position.
LEGI	LegalDocumentationThirtyMonthsRetentionAcknowledgementIndicatorInvalid	Legal documentation thirty months retention acknowledgement indicator is invalid.
LEGM	LegalDocumentationThirtyMonthsRetentionAcknowledgementIndicatorMissing	Legal documentation thirty months retention acknowledgement indicator is missing.
MSTB	MasterTablesNotAvailable	Master tables are not available.
NELG	NotEligibleForWithdrawal	Not eligible for withdrawal, not in made status
NWIT	NoWithdrawalPrivilege	There is no withdrawal privilege on this offer.
ODLI	OddLotIndicatorMissingOrInvalid	Odd lot indicator is missing or invalid.

Code	Name	Definition
ODLY	OddLotIndicatorYesInvalid	Cannot submit odd lot indicator 'Yes' for the offer.
OFFP	OfferNotEligibleForPuts	Offer is not eligible for the PUTS function.
OPNM	InvalidOptionNumber	Option number is not valid.
OPTY	InvalidOptionType	Option type is not valid.
OTHR	UnknownErrorCondition	Rejection reason is unknown.
OVCU	CustomerAndTotalOversubscription-QuantitiesMismatch	Customer oversubscription quantities do not add up to total oversubscription quantity.
OVRG	OversubscriptionQuantityExceeded	Oversubscription quantity is greater than percentage of underlying shares.
OVRI	OversubscriptionQuantityInvalid	Oversubscription quantity is invalid.
OVRX	OversubscriptionNotAllowed	Oversubscription is not allowed.
OVTT	OversubscriptionQuantityNotUsed	Oversubscription quantity not used with this transaction type.
PACH	ParticipantDOChilled	Participant is DO chilled.
PAEC	ParticipantEligibilityCheckNotAvailable	Participant eligibility check on master table is not available.
PAPI	ParticipantNoMatchOnProtectIdentification	Participant does not match the participant on protect identification.
PARL	ParticipantLocked	Participant is globally locked.
PART	ParticipantNumberInvalid	Participant number is invalid.
PARX	ParticipantNotEligible	Participant is not DTC eligible.
POLI	PotentialLossAcknowledgementIndicatorInvalid	Potential loss acknowledgement indicator is invalid.
POLM	PotentialLossAcknowledgementIndicator-Missing	Potential loss acknowledgement indicator is missing.
PRO0	ProtectDateZero	Protect date on file must be zero.
PROC	PassedProtectSubmissionEndDate	Current date has passed cover protect submission end date.
PROE	CurrentDatePassedProtectSubmissionEndDate	Current date is greater than the protect submission end date.
PROI	ProtectDateInvalidOrMissing	Protect date invalid or missing.
PROL	ProtectDatePassed	Protect date must be less than or equal to current date.
PROS	CurrentDatePrecedesProtectSubmissionStartDate	Current date is less than the protect submission start date.
PROT	ProtectIdentificationMissingOrInvalid	Protect identification is missing or invalid.
PROX	ProtectIdentificationNotUsed	Protect identification is not used with this event.
QUIE	FunctionQuiesced	Function is quiesced (not available).

Code	Name	Definition
RECI	RecordTypeInvalid	Record type is invalid.
RILA	RightsCUSIPInsufficientPosition	Rights CUSIP has insufficient position.
RPCI	RightsPositionCheckInvalid	Not a good return code from rights position check.
RQDV	RightsQuantityDivisibleByRights	Rights quantity for this subscription must be divisible by rights.
RQIN	RightsQuantityInvalid	Rights quantity is invalid.
RTIO	RightsRatioNotFound	Rights ratio not found on data base.
RTOP	InstructionsNotReleased	Instructions are not released.
RTSP	RTSPProcessingInProgress	RTS processing is in progress. Submit later.
SEQ0	CustomerSequenceNumberAllZero	Customer sequence number must be all zero.
SEQD	DuplicateTransactionSequenceNumber	Transaction sequence number is duplicated.
SEQM	SequenceNumberMissing	Sequence number is missing.
SEQO	SequenceNumberOutOfSync	Sequence number is out of sequence.
SEQP	SequenceNumberInvalidBounds	Customer sequence number must be between 1 and 1 or for PUTS between 9999901 and 9999912.
SHQI	UnderlyingShareQuantityInvalid	Underlying share quantity is invalid.
SHQO	UnderlyingShareQuantityMismatch	Underlying share quantity does not match original share quantity.
SOCR	SolicitationFeeCommentsRequired	Comments are required for solicitation fee.
SOLI	SolicitationFeeIndicatorRequired	Solicitation fee indicator is required.
SOLX	SolicitationFeeIndicatorNotUsed	Solicitation fee indicator is not used with this event.
SUBE	SubmissionDateNotReached	Submission date is not yet reached.
SUBL	SubmissionDatePassed	Date of submission has passed.
SUME	CoreInstructionQuantityAndExtension-TransactionDetailsDifference	There is a summary difference between the core instruction quantity and the extension transaction details.
SUMO	CoreInstructionOversubscriptionQuantity-AndExtensionTransactionDetailsDifference	There is summary difference between core oversubscription quantity and extension transaction details.
TNFN	TransactionTypeAndEventIncompatible	Transaction type and event are incompatible.
TRNI	TransactionIdentificationInvalid	Transaction identification is invalid.
TRNM	TransactionTypeMissing	Transaction type is missing.
TRNS	TransactionSequenceInvalid	Transaction sequence is invalid. Used only for rights exercise events.
TRQ0	TransactionQuantityCannotBeZero	Transaction quantity cannot be zero.

Code	Name	Definition
TRQI	TransactionQuantityMissingOrInvalid	Transaction quantity is missing or invalid.
TRQM	TransactionQuantityLessThanTransaction-Minimum	Transaction quantity is less than the transaction minimum.
TRQP	ProvidedByProtect	Provided by protect, enter 0 for transaction quantity.
TRTI	TransactionTypeInvalid	Transaction type or withdrawal transaction type is invalid.
WARC	WarrantSubscriptionChargeAmountInvalid	Warrant subscription charge amount is not balancing.
WIT0	WithdrawalTransactionQuantityCannotBeZero	Withdrawal transaction quantity cannot be zero.
WITE	WithdrawError	Error in withdraw occurred.
WITG	WithdrawalQuantityGreaterThanProtectQuantity	Withdrawal quantity is greater than VOI/protect quantity.
WITI	WithdrawalTransactionTypeInvalid	Withdrawal transaction type is invalid.
WITQ	WithdrawalQuantityExceedsRemainingQuantity	Withdrawal quantity exceeds the remaining quantity.

Is restricted by

"InstructionRejectionReason3Code" on page 15

5.6 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 9

5.7 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 10

5.8 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

5.9 Max35Text

Definition: Specifies a character string with a maximum length of 35 characters.

Type: Text

Format

maxLength	35
minLength	1

Used in element(s)

"Name" on page 7

5.10 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

5.11 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 11](#)

5.12 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](#)

5.13 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 9](#)

Restricts

["ReorganisationWithdrawalTransactionTypeCode" on page 28](#)

5.14 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.

Code	Name	Definition
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 28

5.15 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 8

5.16 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)

"FaceAmount" on page 8

5.17 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 11

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