

Usage Guideline

Corporate Action Instruction Statement - Report Extension supl.031.001.06

DTCC - US - CA - Voluntary Reorg Instructions_SR2023

This document describes a usage guideline restricting the base message **MX supl.031.001.06**. You can also consult [this information online](#).

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

14 June 2023

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Message Functionality

Overview

The DTCCCASTSD1 message extends ISO Corporate Action Instruction Statement Report message with DTCC corporate action elements not covered in the standard message.

This CAST extension message will be used for Reorganization Events to display Instruction or Protect Instruction details relating to the Instructed Balance details in the base message.

Outline

The DTCC - US - CA - Voluntary Reorg Instructions_SR2023 / Corporate Action Instruction Statement Report Extension suppl.031.001.06 message is composed of 4 building blocks

a. EventBalanceDetails

Information to be extended as supplementary data to corporate action balance details at event level.

b. TotalInstructedBalanceOptionBalanceDetails

Information to be extended as supplementary data to corporate action balance details at option level.

c. TotalInstructedBalanceOptionInstructionDetails

Information to be extended as supplementary data to corporate action balance details at option instruction details level. Option level instruction details are referenced by unique instruction identification, instruction date, quantity and status of instruction.

d. TotalInstructedBalanceOptionProtectInstructionDetails

Information to be extended as supplementary data to corporate action balance details at option protect instruction details level.

1 Restriction summary

This Usage Guideline restricts the supl.031.001.06 message.

Restriction Type	See page
Removed elements	17, 17, 17, 17, 17, 17, 17, 19, 19
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 -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	<i>DTCCCASTSD1V06</i>	<DTCCCASTSD1>		[1..1]		
	EventBalanceDetails	<EvtBalDtls>		[0..1]		6
	PlaceAndName	<PlcAndNm>		[0..1]		9
	TotalUncoveredProtectBalance	<TtlUcvrdPrctBal>		[0..1]		9
	TotalInstructedBalanceOptionBalanceDetails	<TtlInstdBalOptnBalDtls>		[0..*]		6
	PlaceAndName	<PlcAndNm>		[0..1]		10
	OptionNumber	<OptnNb>		[1..1]		10
	OptionUncoveredProtectBalance	<OptnUcvrdPrctBal>		[0..1]		10
	OptionOversubscriptionQuantity	<OptnOvrbcptQty>		[0..1]		11
	OptionUnacceptedBalance	<OptnUaccptdBal>		[0..1]		11
	TotalInstructedBalanceOptionInstructionDetails	<TtlInstdBalOptnInstrDtls>		[0..*]		6
	PlaceAndName	<PlcAndNm>		[0..1]		12
	OptionNumber	<OptnNb>		[1..1]		12
	ProtectIdentification	<PrctId>		[0..1]		12
	TransactionContraCUSIP	<TxContraCUSIP>		[0..1]		13
	TransactionIdentificationOversubscriptionQuantity	<TxIdOvrbcptQty>		[0..1]		13
	TransactionIdentificationStatus	<TxIdSts>		[1..1]		13
	TaxCategory	<TaxCtgy>		[0..99]		14
	TotalInstructedBalanceOptionProtectInstructionDetails	<TtlInstdBalOptnPrctInstrDtls>		[0..*]		7
	PlaceAndName	<PlcAndNm>		[0..1]		14
	OptionNumber	<OptnNb>		[1..1]		15
	ProtectIdentification	<PrctId>		[0..1]		15
	ProtectSafekeepingAccount	<PrctSfkgAcct>		[0..1]		15
	ProtectIdentificationUncoveredQuantity	<PrctIdUcvrdQty>		[0..1]		15
	ProtectIdentificationOversubscriptionQuantity	<PrctIdOvrbcptQty>		[0..1]		16
	ProtectIdentificationStatus	<PrctIdSts>		[0..1]		16

3 Message Building Blocks

Note The following chapter identifies the building blocks of the DTCC - US - CA - Voluntary Reorg Instructions_SR2023 / Corporate Action Instruction Statement Report Extension suppl.031.001.06 message definition.

3.1 EventBalanceDetails

XML Tag: EvtBalDtls

Presence: [0..1]

Definition: Information to be extended as supplementary data to corporate action balance details at event level.

The **EvtBalDtls** block contains the following elements (see datatype "CorporateActionBalanceSD5" 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
	TotalUncoveredProtectBalance	<TtlUcvrdPrctBal>		[0..1]		9

3.2 TotalInstructedBalanceOptionBalanceDetails

XML Tag: TtlInstdBalOptnBalDtls

Presence: [0..*]

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

The **TtlInstdBalOptnBalDtls** block contains the following elements (see datatype "CorporateActionInstructedBalanceOptionBalanceSD3" 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]		10
	OptionNumber	<OptnNb>		[1..1]		10
	OptionUncoveredProtectBalance	<OptnUcvrdPrctBal>		[0..1]		10
	OptionOversubscriptionQuantity	<OptnOvrscptQty>		[0..1]		11
	OptionUnacceptedBalance	<OptnUaccptdBal>		[0..1]		11

3.3 TotalInstructedBalanceOptionInstructionDetails

XML Tag: TtlInstdBalOptnInstrDtls

Presence: [0..*]

Definition: Information to be extended as supplementary data to corporate action balance details at option instruction details level. Option level instruction details are referenced by unique instruction identification, instruction date, quantity and status of instruction.

The **TtlInstdBalOptnInstrDtls** block contains the following elements (see datatype "[CorporateActionInstructedBalanceOptionInstructionSD5](#)" on page 11 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]		12
	OptionNumber	<OptnNb>		[1..1]		12
	ProtectIdentification	<PrctId>		[0..1]		12
	TransactionContraCUSIP	<TxContraCUSIP>		[0..1]		13
	TransactionIdentificationOver-subscriptionQuantity	<TxIdOvrsbcptQty>		[0..1]		13
	TransactionIdentificationStatus	<TxIdSts>		[1..1]		13
	TaxCategory	<TaxCtgy>		[0..99]		14

3.4 TotalInstructedBalanceOptionProtect-InstructionDetails

XML Tag: TtlInstdBalOptnPrctInstrDtls

Presence: [0..*]

Definition: Information to be extended as supplementary data to corporate action balance details at option protect instruction details level.

The **TtlInstdBalOptnPrctInstrDtls** block contains the following elements (see datatype "[CorporateActionInstructedBalanceOptionProtectInstructionSD4](#)" on page 14 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]		14
	OptionNumber	<OptnNb>		[1..1]		15
	ProtectIdentification	<PrctId>		[0..1]		15
	ProtectSafekeepingAccount	<PrctSfkgAcct>		[0..1]		15
	ProtectIdentificationUncoveredQuantity	<PrctIdUcvrdQty>		[0..1]		15







Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	ProtectIdentificationOversubscriptionQuantity	<PrctldOvrbcptQty>		[0..1]		16
	ProtectIdentificationStatus	<PrctldSts>		[0..1]		16

4 Message Components

Note The following chapter identifies the message components.

4.1 CorporateActionBalanceSD5

Definition: Provides additional information regarding corporate action balance 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
	TotalUncoveredProtectBalance	<TtlUcvrdPrctBal>		[0..1]		9

Used in element(s)

"EventBalanceDetails" 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 28







4.1.2 TotalUncoveredProtectBalance

XML Tag: TtlUcvrdPrctBal

Presence: [0..1]

Definition: Balance of uncovered protect transactions at an event level.







The **TtlUcvrdPrctBal** 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]		20
	Quantity	<Qty>		[1..1]		20

4.2 CorporateActionInstructedBalanceOptionBalanceSD3

Definition: Provides additional information regarding corporate action instructed balance details at option level.

 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]		10
	OptionNumber	<OptnNb>		[1..1]		10
	OptionUncoveredProtectBalance	<OptnUcvrdPrctBal>		[0..1]		10
	OptionOversubscriptionQuantity	<OptnOvrscptQty>		[0..1]		11
	OptionUnacceptedBalance	<OptnUaccptdBal>		[0..1]		11

Used in element(s)

"TotalInstructedBalanceOptionBalanceDetails" 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 28







4.2.2 OptionNumber

XML Tag: OptnNb

Presence: [1..1]

Definition: Option Number of the extended balances.

The **OptnNb** block contains the following elements (see datatype "OptionNumber1Choice" 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
	Number	<Nb>	{Or	[1..1]		18
	Code	<Cd>	Or}	[1..1]		19

4.2.3 OptionUncoveredProtectBalance

XML Tag: OptnUcvrdPrctBal

Presence: [0..1]

Definition: Balance of uncovered protect transactions at an option level.

The **OptnUcvrdPrctBal** 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]		20
	Quantity	<Qty>		[1..1]		20

4.2.4 OptionOversubscriptionQuantity

XML Tag: OptnOvrbcptQty

Presence: [0..1]

Definition: For rights subscription events, total number of oversubscribed units. When there is an over-subscription privilege, this quantity will be included within the Instructed quantity in the core message.

The **OptnOvrbcptQty** 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]		20
	Quantity	<Qty>		[1..1]		20

4.2.5 OptionUnacceptedBalance

XML Tag: OptnUaccptdBal

Presence: [0..1]

Definition: For election merger events, the balance that is being moved into another option number for payment due to the proration of the original option.

The **OptnUaccptdBal** 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]		20
	Quantity	<Qty>		[1..1]		20

4.3 CorporateActionInstructedBalanceOptionInstructionSD5

Definition: Provides additional information regarding corporate action instructed balance details at option level.

🚫 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]		12
	OptionNumber	<OptnNb>		[1..1]		12
	ProtectIdentification	<Prtctld>		[0..1]		12
	TransactionContraCUSIP	<TxContraCUSIP>		[0..1]		13
	TransactionIdentificationOver-subscriptionQuantity	<TxldOvrsbcptQty>		[0..1]		13
	TransactionIdentificationStatus	<TxldSts>		[1..1]		13
	TaxCategory	<TaxCtgy>		[0..99]		14

Used in element(s)

"TotalInstructedBalanceOptionInstructionDetails" 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 28

4.3.2 OptionNumber

XML Tag: OptnNb

Presence: [1..1]

Definition: Number identifying the available corporate action options.

The **OptnNb** block contains the following elements (see datatype "OptionNumber1Choice" on page 18 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
	Number	<Nb>	{Or	[1..1]		18
	Code	<Cd>	Or}	[1..1]	🚫	19

4.3.3 ProtectIdentification

XML Tag: Prtctld

Presence: [0..1]

Definition: Instruction reference number assigned by DTC to the uncovered protect instruction.

Datatype: "Max15Text" on page 27

4.3.4 TransactionContraCUSIP

XML Tag: TxContraCUSIP

Presence: [0..1]

Definition: Contra CUSIP Identification of the option instruction.

The **TxContraCUSIP** block contains the following elements (see datatype "OtherIdentification2" on page 19 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
	Identification	<Id>		[1..1]		19
	Suffix	<Sfx>		[0..1]		19
	Type	<Tp>		[1..1]		20

4.3.5 TransactionIdentificationOversubscriptionQuantity

XML Tag: TxIdOvrsbcptQty

Presence: [0..1]

Definition: Quantity relating only to the oversubscription.

The **TxIdOvrsbcptQty** block contains the following elements (see datatype "FinancialInstrumentQuantity15Choice" on page 16 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]		17
	FaceAmount	<FaceAmt>	Or	[1..1]		17
	AmortisedValue	<AmtsdVal>	Or}	[1..1]	🚫	17

4.3.6 TransactionIdentificationStatus

XML Tag: TxIdSts

Presence: [1..1]

Definition: Status of the instruction.

Datatype: "DTCInstructionStatus2Code" on page 23

4.3.7 TaxCategory

XML Tag: TaxCtgy

Presence: [0..99]

Definition: Tax category number assigned on the announcement to provide a breakdown at a category level on the inbound instruction to determine tax treatment as required by issuers, their agents, or tax authorities.

The **TaxCtgy** block contains the following elements (see datatype "TaxCategory2" on page 21 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]		21
	Identification	<Id>		[0..1]		21
	Quantity	<Qty>		[0..1]		21
	Country	<Ctry>		[0..1]		22

4.4 CorporateActionInstructedBalanceOptionProtectInstructionSD4

Definition: Provides additional information regarding corporate action instructed balance details at option protect level.

⊘ 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]		14
	OptionNumber	<OptnNb>		[1..1]		15
	ProtectIdentification	<PrctId>		[0..1]		15
	ProtectSafekeepingAccount	<PrctSfkgAcct>		[0..1]		15
	ProtectIdentificationUncoveredQuantity	<PrctIdUcvrdQty>		[0..1]		15
	ProtectIdentificationOversubscriptionQuantity	<PrctIdOvrsbcptQty>		[0..1]		16
	ProtectIdentificationStatus	<PrctIdSts>		[0..1]		16

Used in element(s)

"TotalInstructedBalanceOptionProtectInstructionDetails" on page 7

4.4.1 PlaceAndName

XML Tag: PlcAndNm

Presence: [0..1]

Definition: Xpath to the element that is being extended.

Datatype: "Max350Text" on page 28







4.4.2 OptionNumber


XML Tag: OptnNb

Presence: [1..1]

Definition: Option number of the protect instruction.

The **OptnNb** block contains the following elements (see datatype "OptionNumber1Choice" 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
	Number	<Nb>	{Or	[1..1]		18
	Code	<Cd>	Or}	[1..1]		19

4.4.3 ProtectIdentification

XML Tag: PrtctId

Presence: [0..1]

Definition: Instruction reference number assigned by DTC to the uncovered protect instruction.

Datatype: "Max15Text" on page 27

4.4.4 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

4.4.5 ProtectIdentificationUncoveredQuantity


XML Tag: PrtctIdUcvrdQty

Presence: [0..1]

Definition: Quantity of the protect instruction which has not been covered.

The **PrtctIdUcvrdQty** block contains the following elements (see datatype "FinancialInstrumentQuantity15Choice" on page 16 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]		17
	FaceAmount	<FaceAmt>	Or	[1..1]		17
	AmortisedValue	<AmtsdVal>	Or}	[1..1]		17







4.4.6 ProtectIdentificationOversubscriptionQuantity


XML Tag: PrtctldOvrsbcptQty

Presence: [0..1]

Definition: Protect oversubscription quantity.

The **PrtctldOvrsbcptQty** block contains the following elements (see datatype "FinancialInstrumentQuantity15Choice" on page 16 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]		17
	FaceAmount	<FaceAmt>	Or	[1..1]		17
	AmortisedValue	<AmtsdVal>	Or}	[1..1]		17

4.4.7 ProtectIdentificationStatus

XML Tag: PrtctldSts







Presence: [0..1]


Definition: Status of the protect instruction.

Datatype: "DTCCProtectInstructionStatus1Code" on page 25

4.5 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]		17
	FaceAmount	<FaceAmt>	Or	[1..1]		17
	AmortisedValue	<AmtsdVal>	Or}	[1..1]		17

Used in element(s)

"ProtectIdentificationOversubscriptionQuantity" on page 16, "ProtectIdentificationUncoveredQuantity" on page 15, "Quantity" on page 20, "Quantity" on page 21, "TransactionIdentificationOversubscriptionQuantity" on page 13

4.5.1 Unit

XML Tag: Unit

Presence: [1..1]

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

Datatype: "RestrictedFINDecimalNumber" on page 28

4.5.2 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

4.5.3 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 29

Usage Guideline details

- This element(supl.031.001.06/EventBalanceDetails/TotalUncoveredProtectBalance/Quantity/AmortisedValue) is removed.
- This element(supl.031.001.06/TotalInstructedBalanceOptionBalanceDetails/OptionOversubscriptionQuantity/Quantity/AmortisedValue) is removed.
- This element(supl.031.001.06/TotalInstructedBalanceOptionBalanceDetails/OptionUnacceptedBalance/Quantity/AmortisedValue) is removed.
- This element(supl.031.001.06/TotalInstructedBalanceOptionBalanceDetails/OptionUncoveredProtectBalance/Quantity/AmortisedValue) is removed.
- This element(supl.031.001.06/TotalInstructedBalanceOptionInstructionDetails/TransactionIdentificationOversubscriptionQuantity/AmortisedValue) is removed.
- This element(supl.031.001.06/TotalInstructedBalanceOptionProtectInstructionDetails/ProtectIdentificationOversubscriptionQuantity/AmortisedValue) is removed.
- This element(supl.031.001.06/TotalInstructedBalanceOptionProtectInstructionDetails/ProtectIdentificationUncoveredQuantity/AmortisedValue) is removed.

4.6 IdentificationSource4Choice

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

🚫 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
	Code	<Cd>	{Or	[1..1]		18
	Proprietary	<Prtry>	Or}	[1..1]		18

Used in element(s)

"Type" on page 20

4.6.1 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 26

4.6.2 Proprietary

XML Tag: Prtry

Presence: [1..1]

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

Datatype: "RestrictedFINExact2Text" on page 29

4.7 OptionNumber1Choice

Definition: Choice between an number and an option number in a code format.

🚫 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
	Number	<Nb>	{Or	[1..1]		18
	Code	<Cd>	Or}	[1..1]	🚫	19

Used in element(s)

"OptionNumber" on page 10, "OptionNumber" on page 15, "OptionNumber" on page 12

4.7.1 Number

XML Tag: Nb

Presence: [1..1]

Definition: Number identifying the available corporate action options.

Datatype: "Exact3NumericText" on page 26

4.7.2 Code

XML Tag: Cd

Presence: [1..1]

Definition: Code identifying special corporate action option numbers.







Datatype: "OptionNumber1Code" on page 28

Usage Guideline details

- This element(supl.031.001.06/TotalInstructedBalanceOptionInstructionDetails/OptionNumber/Code) is removed.
- This element(supl.031.001.06/TotalInstructedBalanceOptionProtectInstructionDetails/OptionNumber/Code) is removed.

4.8 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]		19
	Suffix	<Sfx>		[0..1]		19
	Type	<Tp>		[1..1]		20

Used in element(s)

"TransactionContraCUSIP" on page 13

4.8.1 Identification

XML Tag: Id

Presence: [1..1]

Definition: Identification of a security.

Datatype: "RestrictedFINXMax31Text" on page 30

4.8.2 Suffix

XML Tag: Sfx

Presence: [0..1]

Definition: Identifies the suffix of the security identification.

Datatype: "Max16Text" on page 27







4.8.3 Type

XML Tag: Tp

Presence: [1..1]

Definition: Type of the identification.







The **Tp** block contains the following elements (see datatype "IdentificationSource4Choice" on page 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
	Code	<Cd>	{Or	[1..1]		18
	Proprietary	<Prtry>	Or}	[1..1]		18

4.9 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]		20
	Quantity	<Qty>		[1..1]		20

Used in element(s)

"OptionOversubscriptionQuantity" on page 11, "OptionUnacceptedBalance" on page 11, "OptionUncoveredProtectBalance" on page 10, "TotalUncoveredProtectBalance" on page 9

4.9.1 ShortLongPosition

XML Tag: ShrtLngPos

Presence: [1..1]

Definition: Sign of the quantity of security.

Datatype: "ShortLong1Code" on page 30

4.9.2 Quantity

XML Tag: Qty

Presence: [1..1]

Definition: Quantity of security.

The **Qty** block contains the following elements (see datatype "[FinancialInstrumentQuantity15Choice](#)" on page 16 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]		17
	FaceAmount	<FaceAmt>	Or	[1..1]		17
	AmortisedValue	<AmtsdVal>	Or}	[1..1]	🚫	17

4.10 TaxCategory2

Definition: Provides identification information about the tax category.

🚫 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]		21
	Identification	<Id>		[0..1]		21
	Quantity	<Qty>		[0..1]		21
	Country	<Ctry>		[0..1]		22

Used in element(s)

"[TaxCategory](#)" on page 14

4.10.1 PlaceAndName

XML Tag: PlcAndNm

Presence: [0..1]

Definition: Xpath to the element that is being extended.

Datatype: "[Max350Text](#)" on page 28

4.10.2 Identification

XML Tag: Id

Presence: [0..1]

Definition: Tax category identification.

Datatype: "[Max2NumericText](#)" on page 27







4.10.3 Quantity

XML Tag: Qty

Presence: [0..1]

Definition: Quantity to be withheld at the tax category level.

The **Qty** block contains the following elements (see datatype "[FinancialInstrumentQuantity15Choice](#)" on page 16 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]		17
	FaceAmount	<FaceAmt>	Or	[1..1]		17
	AmortisedValue	<AmtsdVal>	Or}	[1..1]		17

4.10.4 Country

XML Tag: Ctry

Presence: [0..1]

Definition: Identification of the country in which the tax is withheld.

Datatype: "[CountryCode](#)" on page 23

5 Message Datatypes

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

5.1 CountryCode

Definition: Code to identify a country, a dependency, or another area of particular geopolitical interest, on the basis of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Type: CodeSet

Format

pattern [A-Z]{2,2}

Rules

R1 Country ✓

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

Used in element(s)

"Country" on page 22

5.2 DTInstructionStatus2Code

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.

Code	Name	Definition
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 13

Restricts

"DTCInstructionStatusCode" on page 24

5.3 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.

Code	Name	Definition
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 23](#), ["DTCProtectInstructionStatus1Code" on page 25](#)

5.4 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)

["ProtectIdentificationStatus" on page 16](#)

Restricts

"DTCTInstructionStatusCode" on page 24

5.5 Exact3NumericText

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

Type: Text

Format

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

Used in element(s)

"Number" on page 18

5.6 ExternalFinancialInstrument-IdentificationType1Code

Definition: Specifies the external financial instrument identification type scheme name code in the format of character string with a maximum length of 4 characters.

The list of valid codes is an external code list published separately.

External code sets can be downloaded from www.iso20022.org.

Type: CodeSet

Format

maxLength	4
minLength	1

Used in element(s)

"Code" on page 18

Restricts

"ExternalFinancialInstrumentIdentificationTypeCode" on page 26

5.7 ExternalFinancialInstrument-IdentificationTypeCode

Definition: Specifies the external financial instrument identification type scheme name code in the format of character string with a maximum length of 4 characters.

The list of valid codes is an external code list published separately.

External code sets can be downloaded from www.iso20022.org.

Type: CodeSet

Format

maxLength	4
minLength	1

Is restricted by

"ExternalFinancialInstrumentIdentificationType1Code" on page 26

5.8 Max15Text

Definition: Specifies a character string with a maximum length of 15 characters.

Type: Text

Format

maxLength	15
minLength	1

Used in element(s)

"ProtectIdentification" on page 15, "ProtectIdentification" on page 12

5.9 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 19

5.10 Max2NumericText

Definition: Specifies a numeric string with a maximum length of 2 digits.

Type: Text

Format

pattern	[0-9]{1,2}
---------	------------

Used in element(s)

"Identification" on page 21

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 21, "PlaceAndName" on page 10, "PlaceAndName" on page 14, "PlaceAndName" on page 12

5.12 OptionNumber1Code

Definition: Code identifying special corporate action option numbers.

Type: CodeSet

Code	Name	Definition
UNSO	Unsolicited	The corporate action instruction is unsolicited, that is, the instruction has not been preceded by a corporate action notification.

Used in element(s)

"Code" on page 19

Restricts

"OptionNumberCode" on page 28

5.13 OptionNumberCode

Definition: Code identifying special corporate action option numbers.

Type: CodeSet

Code	Name	Definition
UNSO	Unsolicited	The corporate action instruction is unsolicited, that is, the instruction has not been preceded by a corporate action notification.

Is restricted by

"OptionNumber1Code" on page 28

5.14 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 17

5.15 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 18

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)

"AmortisedValue" on page 17, "FaceAmount" on page 17

5.17 RestrictedFINMax35Text

Definition: Specifies a character string with a maximum length of 35 characters. It has a pattern `([^\r]+/)+([^\r]+)([^\r]*)` 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 15

5.18 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 19

5.19 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 20

Restricts

"ShortLongCode" on page 30

5.20 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 30

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