

Usage Guideline

Corporate Action Instruction Status Advice Extension supl.030.001.08

DTCC - US - CA - Voluntary Reorg Instructions_SR2024

This document describes a usage guideline restricting the base message **MX supl.030.001.08**. You can also consult [this information online](#).

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Message Functionality

Overview

The DTCCCAISSD1 message extends ISO corporate action instruction status advice message with DTCC corporate action elements not covered in the standard message.

Outline

The DTCC - US - CA - Voluntary Reorg Instructions_SR2024 / Corporate Action Instruction Status Advice Extension supl.030.001.08 message is composed of 2 building blocks

a. ReorganisationInstructionDetails

Information to be extended as supplementary data to instruction status message for reorganisation events.

b. DistributionInstructionDetails







Information to be extended as supplementary data to instruction status message for distribution events.






1 Restriction summary

This Usage Guideline restricts the supl.030.001.08 message.

Restriction Type	See page
Removed elements	12, 12, 12, 13, 24, 25, 25, 26, 26
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	9
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>DTCCCAISSD1V08</i>	<DTCCCAISSD1>		[1..1]		
	ReorganisationInstructionDetails	<ReorgInstrDtls>		[0..1]		6
	PlaceAndName	<PlcAndNm>		[0..1]		21
	TransactionIdentification	<TxId>		[0..1]		21
	TransactionSequence	<TxSeq>		[0..99]		22
	TransactionIdentificationStatus	<TxIdSts>		[0..1]		22
	ProtectTransactionStatus	<PrctTxSts>		[0..1]		22
	Reason	<Rsn>		[0..6]		22
	SecuritiesQuantityDetails	<SctiesQtyDtls>		[0..1]		22
	CustomerReferenceIdentification	<CstmrRefId>		[0..1]		23
	AcknowledgementDetails	<AckDtls>		[0..1]		23
	ContactPerson	<CtctPrsn>		[0..1]		24
	WarrantSubscriptionChargeAmount	<WarrtSbcptChrgAmt>		[0..1]		24
	Certificate	<Cert>		[0..1]		24
	UserReferenceNumber	<UsrRefNb>		[0..1]		25
	DeceasedBeneficialOwnerDetails	<DcsdBnfcOwnrDtls>		[0..1]		25
	TransactionRecordNumber	<TxRcrdNb>		[0..1]		26
	BidPrice	<BidPric>		[0..1]		26
	ShareholderNumber	<ShrhldrNb>		[0..1]		26
	DistributionInstructionDetails	<DstrbtnInstrDtls>		[0..1]		7
	TaxCategory	<TaxCtgy>		[0..99]		15

3 Message Building Blocks

Note The following chapter identifies the building blocks of the DTCC - US - CA - Voluntary Reorg Instructions_SR2024 / Corporate Action Instruction Status Advice Extension suppl.030.001.08 message definition.







3.1 ReorganisationInstructionDetails






XML Tag: ReorgInstrDtls

Presence: [0..1]

Definition: Information to be extended as supplementary data to instruction status message for reorganisation events.

The **ReorgInstrDtls** block contains the following elements (see datatype "ReorganisationInstructionSD15_1" 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
	PlaceAndName	<PlcAndNm>		[0..1]		21
	TransactionIdentification	<TxId>		[0..1]		21
	TransactionSequence	<TxSeq>		[0..99]		22
	TransactionIdentificationStatus	<TxIdSts>		[0..1]		22
	ProtectTransactionStatus	<PrctTxSts>		[0..1]		22
	Reason	<Rsn>		[0..6]		22
	SecuritiesQuantityDetails	<SciesQtyDtls>		[0..1]		22
	CustomerReferenceIdentification	<CstmrRefId>		[0..1]		23
	AcknowledgementDetails	<AckDtls>		[0..1]		23
	ContactPerson	<CtctPrsn>		[0..1]		24
	WarrantSubscription-ChargeAmount	<WarrtSbcptChrgAmt>		[0..1]		24
	Certificate	<Cert>		[0..1]		24
	UserReferenceNumber	<UsrRefNb>		[0..1]		25
	DeceasedBeneficialOwnerDetails	<DcsdBnfclOwnrDtls>		[0..1]		25
	TransactionRecordNumber	<TxRcrdNb>		[0..1]		26
	BidPrice	<BidPric>		[0..1]		26
	ShareholderNumber	<ShrhldrNb>		[0..1]		26







3.2 DistributionInstructionDetails

XML Tag: DstrbtnInstrDtls

Presence: [0..1]

Definition: Information to be extended as supplementary data to instruction status message for distribution events.

The **DstrbtnInstrDtls** block contains the following elements (see datatype "[DistributionInstructionSD1](#)" on [page 15](#) for details)

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







Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	TaxCategory	<TaxCtgy>		[0..99]		15

4 Message Components

Note The following chapter identifies the message components.

4.1 AmountPrice5

Definition: Price expressed as an amount.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	AmountPriceType	<AmtPricTp>		[1..1]		8
	PriceValue	<PricVal>		[1..1]		8

Used in element(s)

"AmountPrice" on page 20

4.1.1 AmountPriceType

XML Tag: AmtPricTp

Presence: [1..1]

Definition: Type of amount price.

Datatype: "AmountPriceType1Code" on page 30

4.1.2 PriceValue

XML Tag: PricVal







Presence: [1..1]


Definition: Value of the price.

Datatype: "RestrictedFINActiveCurrencyAnd13DecimalAmount" on page 51

4.2 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]		9
	PhoneNumber	<PhneNb>		[1..1]		9

Used in element(s)

"ContactPerson" on page 24

4.2.1 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 46

Usage Guideline details

- on **supl.030.001.08/ReorganisationInstructionDetails/ContactPerson/Name**
Type changed to: [Max20Text on page 46](#)

4.2.2 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 48

4.3 CorporateActionAcknowledgementSD1

Definition: Acknowledgement information relative to corporate action reorganisation instructions.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	TermsAcknowledgementIndicator	<TermsAckInd>		[0..1]		10
	Condition1Indicator	<Cond1Ind>		[0..1]		10
	Condition2Indicator	<Cond2Ind>		[0..1]		10
	Condition3Indicator	<Cond3Ind>		[0..1]		10
	Condition4Indicator	<Cond4Ind>		[0..1]		11
	Condition5Indicator	<Cond5Ind>		[0..1]		11
	Condition6Indicator	<Cond6Ind>		[0..1]		11
	AdjudicationOfIncompetencyAcknowledgementIndicator	<AdjctnOfIncmptncyAckInd>		[0..1]		11
	LegalDocumentationThirtyMonthsRejectionAcknowledgementIndicator	<LegalDocmntnThrtMnth-sRttnAckInd>		[0..1]		12
	InstructionDeletionAcknowledgementIndicator	<InstrDeltAckInd>		[0..1]		12

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PotentialLossAcknowledgementIndicator	<PotntlLossAckInd>		[0..1]		13

Used in element(s)

["AcknowledgementDetails" on page 23](#)

4.3.1 TermsAcknowledgementIndicator

XML Tag: TermsAckInd

Presence: [0..1]

Definition: Indicates whether the participant agrees to all terms of the event.

Yes: the participant agrees.

No: the participant does not agree.

Datatype: ["YesNoIndicator" on page 53](#)

4.3.2 Condition1Indicator

XML Tag: Cond1Ind

Presence: [0..1]

Definition: Indicates whether condition 1 of this tender offer is being accepted.

Yes: accept.

No: decline.

Datatype: ["YesNoIndicator" on page 53](#)

4.3.3 Condition2Indicator

XML Tag: Cond2Ind

Presence: [0..1]

Definition: Indicates whether condition 2 of this tender offer is being accepted.

Yes: accept.

No: decline.

Datatype: ["YesNoIndicator" on page 53](#)

4.3.4 Condition3Indicator

XML Tag: Cond3Ind

Presence: [0..1]

Definition: Indicates whether condition 3 of this tender offer is being accepted.

Yes: accept.

No: decline.

Datatype: "YesNoIndicator" on page 53

4.3.5 Condition4Indicator

XML Tag: Cond4Ind

Presence: [0..1]

Definition: Indicates whether condition 4 of this tender offer is being accepted.

Yes: accept.

No: decline.

Datatype: "YesNoIndicator" on page 53

4.3.6 Condition5Indicator

XML Tag: Cond5Ind

Presence: [0..1]

Definition: Indicates whether condition 5 of this tender offer is being accepted.

Yes: accept.

No: decline.

Datatype: "YesNoIndicator" on page 53

4.3.7 Condition6Indicator

XML Tag: Cond6Ind

Presence: [0..1]

Definition: Indicates whether condition 6 of this tender offer is being accepted.

Yes: accept.

No: decline.

Datatype: "YesNoIndicator" on page 53

4.3.8 AdjudicationOfIncompetency-AcknowledgementIndicator

XML Tag: AdjctnOfIncmptncyAckInd

Presence: [0..1]

Definition: Indicates whether there is an acknowledgement that the beneficial owner has been deemed incompetent. Acknowledgement is related to CD early redemption instructions.

Yes: acknowledged.

No: not acknowledged.

Datatype: ["YesNoIndicator" on page 53](#)

Usage Guideline details

- This element(supl.030.001.08/ReorganisationInstructionDetails/AcknowledgementDetails/AdjudicationOfIncompetencyAcknowledgementIndicator) is removed.

4.3.9 LegalDocumentationThirtyMonthsRetention-AcknowledgementIndicator

XML Tag: LglDcmnttnThrtMnthRtnAckInd

Presence: [0..1]

Definition: Indicates whether there is an acknowledgement that this CD Early Redemption request is an exempt request, that the identification of the beneficial owner and required legal documentation is correct and that you agree to maintain such documentation for at least 30 months following payment of the request and will make it available to the CD Issuer upon request.

Yes: acknowledged.

No: not acknowledged.

Datatype: ["YesNoIndicator" on page 53](#)

Usage Guideline details

- This element(supl.030.001.08/ReorganisationInstructionDetails/AcknowledgementDetails/LegalDocumentationThirtyMonthsRetentionAcknowledgementIndicator) is removed.

4.3.10 InstructionDeletionAcknowledgementIndicator

XML Tag: InstrDeltAckInd

Presence: [0..1]

Definition: Indicates whether there is an acknowledgement that this CD Early Redemption instruction will automatically be deleted by the close of the fifth business day subsequent to submission if the appropriate legal documents, for example, death certificate, affidavit of domicile, are not received by DTC at that time.

Yes: acknowledged.

No: not acknowledged.

Datatype: ["YesNoIndicator" on page 53](#)

Usage Guideline details

- This element(supl.030.001.08/ReorganisationInstructionDetails/AcknowledgementDetails/InstructionDeletionAcknowledgementIndicator) is removed.

4.3.11 PotentialLossAcknowledgementIndicator

XML Tag: PotntlLossAckInd

Presence: [0..1]

Definition: Indicates whether there is an acknowledgement that the warrant or conversion instruction being sent could lead to a potential loss due to pricing factors.

Yes: acknowledged.

No: not acknowledged.







Datatype: "YesNoIndicator" on page 53

Usage Guideline details

- This element(suppl.030.001.08/ReorganisationInstructionDetails/AcknowledgementDetails/PotentialLossAcknowledgementIndicator) is removed.

4.4 CorporateActionCertificateSD1

Definition: Certificate information provided for a given corporate action instruction.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	CertificateNumber	<CertNb>		[1..1]		13
	CertificateSequenceNumber	<CertSeqNb>		[0..1]		13
	CertificateRegistrationName	<CertRegnNm>		[0..1]		14

Used in element(s)

"Certificate" on page 24

4.4.1 CertificateNumber

XML Tag: CertNb

Presence: [1..1]

Definition: Unique identification or serial number that is assigned and affixed by an issuer or transfer agent to each securities certificate.

Datatype: "Max15AlphaNumericText" on page 45

4.4.2 CertificateSequenceNumber

XML Tag: CertSeqNb

Presence: [0..1]

Definition: Additional identifier assigned by DTC.

Datatype: "Max15AlphaNumericText" on page 45

4.4.3 CertificateRegistrationName

XML Tag: CertRegnNm







Presence: [0..1]

Definition: Registration name of the beneficial holder.

Datatype: "Max30Text" on page 47

4.5 DeceasedStatusSD1

Definition: Deceased beneficial owner information details.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	BeneficialOwnerName	<BnfcOwnrNm>		[1..1]		14
	DeathDate	<DthDt>		[0..1]		14
	DeathCertificateSerialNumber	<DthCertSrlNb>		[0..1]		14
	IssuingJurisdiction	<IssgJursdctn>		[0..1]		15

Used in element(s)

"DeceasedBeneficialOwnerDetails" on page 25

4.5.1 BeneficialOwnerName

XML Tag: BnfcOwnrNm

Presence: [1..1]

Definition: Name by which the beneficial owner is known.

Datatype: "Max35Text" on page 47

4.5.2 DeathDate

XML Tag: DthDt

Presence: [0..1]

Definition: Date of death of the beneficial owner.

Datatype: "ISODate" on page 34

4.5.3 DeathCertificateSerialNumber

XML Tag: DthCertSrlNb

Presence: [0..1]

Definition: Death certificate number of the beneficial owner.

Datatype: "Max30Text" on page 47

4.5.4 IssuingJurisdiction

XML Tag: IssgJurisdiction







Presence: [0..1]

Definition: Jurisdiction by which the certificate of deposit was issued.

Datatype: "Max35Text" on page 47

4.6 DistributionInstructionSD1

Definition: Provides additional information regarding corporate action distribution 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
	TaxCategory	<TaxCtgy>		[0..99]		15

Used in element(s)

"DistributionInstructionDetails" on page 7







4.6.1 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 28 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]		28
	Identification	<Id>		[0..1]		28
	Quantity	<Qty>		[0..1]		29
	Country	<Ctry>		[0..1]		29

4.7 FinancialInstrumentQuantity15Choice

Definition: Choice between formats for the quantity of security.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Unit	<Unit>	{Or	[1..1]		16
	FaceAmount	<FaceAmt>	Or	[1..1]		16
	AmortisedValue	<AmtsdVal>	Or}	[1..1]		16

Used in element(s)

"ConditionalQuantity" on page 28, "Quantity" on page 29

4.7.1 Unit

XML Tag: Unit

Presence: [1..1]

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

Datatype: "RestrictedFINDecimalNumber" on page 52

4.7.2 FaceAmount

XML Tag: FaceAmt

Presence: [1..1]

Definition: Quantity expressed as an amount representing the face amount, that is, the principal of a debt instrument.

Datatype: "RestrictedFINImpliedCurrencyAndAmount" on page 52

4.7.3 AmortisedValue

XML Tag: AmtsdVal







Presence: [1..1]

Definition: Quantity expressed as an amount representing the current amortised face amount of a bond, for example, a periodic reduction/increase of a bond's principal amount.

Datatype: "RestrictedFINImpliedCurrencyAndAmount" on page 52

4.8 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]		17
	FaceAmount	<FaceAmt>	Or}	[1..1]		17

Used in element(s)

"InstructionQuantity" on page 18, "InterimCoveredQuantity" on page 27, "OversubscriptionQuantity" on page 18, "TotalOversubscriptionQuantity" on page 27

4.8.1 Unit

XML Tag: Unit

Presence: [1..1]

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

Datatype: "RestrictedFINDecimalNumber" on page 52

4.8.2 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 52

4.9 InstructionsTransactionsSequence2

Definition: Provides input capability for multiple instructions on elective corporate action events via a single instruction message through using Transaction Sequence Number.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	TransactionSequenceNumber	<TxSeqNb>		[0..1]		17
	InstructionQuantity	<InstrQty>		[0..1]		18
	OversubscriptionQuantity	<OvrsbcptQty>		[0..1]		18
	CustomerReferenceIdentification	<CstmrRefId>		[0..1]		18

Used in element(s)

"TransactionSequence" on page 22

4.9.1 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 47







4.9.2 InstructionQuantity

XML Tag: InstrQty

Presence: [0..1]

Definition: Instruction quantity for a given transaction sequence number.

The **InstrQty** block contains the following elements (see datatype "[FinancialInstrumentQuantity31Choice](#)" 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







4.9.3 OversubscriptionQuantity

XML Tag: OvrsbcptQty

Presence: [0..1]

Definition: For rights subscription events with an oversubscription feature, the quantity of the oversubscription for the given instruction.

The **OvrsbcptQty** block contains the following elements (see datatype "[FinancialInstrumentQuantity31Choice](#)" 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

4.9.4 CustomerReferenceIdentification

XML Tag: CstmrRefId







Presence: [0..1]

Definition: Customer identification entered by client upon instruction submission.

Datatype: "[Max30Text](#)" on page 47

4.10 PercentagePrice1

Definition: Price expressed as a percentage price.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PercentagePriceType	<PctgPricTp>		[1..1]		19
	PriceValue	<PricVal>		[1..1]		19

Used in element(s)

"PercentagePrice" on page 19

4.10.1 PercentagePriceType

XML Tag: PctgPricTp

Presence: [1..1]

Definition: Specifies the type of percentage price.

Datatype: "PriceRateType3Code" on page 49

4.10.2 PriceValue

XML Tag: PricVal







Presence: [1..1]

Definition: Specifies the value of price.

Datatype: "PercentageRate" on page 48

4.11 PriceFormat71Choice

Definition: Choice between a percentage price or an amount price or an unspecified price.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PercentagePrice	<PctgPric>	{Or	[1..1]		19
	AmountPrice	<AmtPric>	Or	[1..1]		20
	NotSpecifiedPrice	<NotSpctdPric>	Or	[1..1]		20
	IndexPoints	<IndxPts>	Or}	[1..1]		20

Used in element(s)

"BidPrice" on page 26

4.11.1 PercentagePrice

XML Tag: PctgPric

Presence: [1..1]

Definition: Price expressed as a percentage.

The **PctgPric** block contains the following elements (see datatype "[PercentagePrice1](#)" 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
	PercentagePriceType	<PctgPricTp>		[1..1]		19
	PriceValue	<PricVal>		[1..1]		19

4.11.2 AmountPrice

XML Tag: AmtPric

Presence: [1..1]

Definition: Price expressed as a currency and amount.

The **AmtPric** block contains the following elements (see datatype "[AmountPrice5](#)" on page 8 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
	AmountPriceType	<AmtPricTp>		[1..1]		8
	PriceValue	<PricVal>		[1..1]		8

4.11.3 NotSpecifiedPrice

XML Tag: NotSpctdPric

Presence: [1..1]

Definition: Value of the price not specified.

Datatype: "[PriceValueType13Code](#)" on page 49

4.11.4 IndexPoints

XML Tag: IndxPts

Presence: [1..1]

Definition: Price expressed in index points.

Datatype: "[RestrictedFINDecimalNumber](#)" on page 52

4.12 ReorganisationInstructionSD15__1

Definition: Provides additional information regarding corporate action reorganisation instruction 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
	TransactionIdentification	<TxId>		[0..1]		21
	TransactionSequence	<TxSeq>		[0..99]		22
	TransactionIdentificationStatus	<TxIdSts>		[0..1]		22
	ProtectTransactionStatus	<PrctTxSts>		[0..1]		22
	Reason	<Rsn>		[0..6]		22
	SecuritiesQuantityDetails	<SciesQtyDtls>		[0..1]		22
	CustomerReferenceIdentification	<CstmrRefId>		[0..1]		23
	AcknowledgementDetails	<AckDtls>		[0..1]		23
	ContactPerson	<CtctPrsn>		[0..1]		24
	WarrantSubscription- ChargeAmount	<WarrtSbcptChrgAmt>		[0..1]	⊘	24
	Certificate	<Cert>		[0..1]	⊘	24
	UserReferenceNumber	<UsrRefNb>		[0..1]	⊘	25
	DeceasedBeneficialOwnerDetails	<DcsdBnfclOwnrDtls>		[0..1]	⊘	25
	TransactionRecordNumber	<TxRcrdNb>		[0..1]	⊘	26
	BidPrice	<BidPric>		[0..1]		26
	ShareholderNumber	<ShrhldrNb>		[0..1]		26

Used in element(s)

"ReorganisationInstructionDetails" on page 6

4.12.1 PlaceAndName

XML Tag: PlcAndNm

Presence: [0..1]

Definition: Xpath to the element that is being extended.

Datatype: "Max350Text" on page 47

4.12.2 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 46







4.12.3 TransactionSequence

XML Tag: TxSeq

Presence: [0..99]

Definition: Enable input of multiple voluntary instructions for rights or voluntary puts events via a single instruction message through using transaction sequence number.

The **TxSeq** block contains the following elements (see datatype "[InstructionsTransactionsSequence2](#)" on page 17 for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	TransactionSequenceNumber	<TxSeqNb>		[0..1]		17
	InstructionQuantity	<InstrQty>		[0..1]		18
	OversubscriptionQuantity	<OvrscptQty>		[0..1]		18
	CustomerReferenceIdentification	<CstmrRefId>		[0..1]		18

4.12.4 TransactionIdentificationStatus

XML Tag: TxIdSts

Presence: [0..1]

Definition: Status of the instruction.

Datatype: "[DTCInstructionStatus2Code](#)" on page 32

4.12.5 ProtectTransactionStatus

XML Tag: PrtctTxSts

Presence: [0..1]

Definition: Status of the protect instruction.

Datatype: "[DTCProtectInstructionStatus3Code](#)" on page 33

4.12.6 Reason

XML Tag: Rsn

Presence: [0..6]

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

Datatype: "[InstructionReason4Code](#)" on page 34

4.12.7 SecuritiesQuantityDetails

XML Tag: SctiesQtyDtls

Presence: [0..1]

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

The **SctiesQtyDtls** block contains the following elements (see datatype "SecuritiesQuantitySD9" on page 27 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
	TotalOversubscriptionQuantity	<TtlOvrsbcptQty>		[0..1]		27
	InterimCoveredQuantity	<IntrmCvrdQty>		[0..1]		27
	ConditionalQuantity	<CondlQty>		[0..1]		28

4.12.8 CustomerReferenceIdentification

XML Tag: CstmrRefId

Presence: [0..1]

Definition: Customer identification entered by the client upon instruction submission.

Datatype: "Max30Text" on page 47

4.12.9 AcknowledgementDetails

XML Tag: AckDtls



Presence: [0..1]

Definition: Acknowledgement information relative to corporate action reorganisation instructions.

The **AckDtls** block contains the following elements (see datatype "CorporateActionAcknowledgementSD1" 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
	TermsAcknowledgementIndicator	<TermsAckInd>		[0..1]		10
	Condition1Indicator	<Cond1Ind>		[0..1]		10
	Condition2Indicator	<Cond2Ind>		[0..1]		10
	Condition3Indicator	<Cond3Ind>		[0..1]		10
	Condition4Indicator	<Cond4Ind>		[0..1]		11
	Condition5Indicator	<Cond5Ind>		[0..1]		11
	Condition6Indicator	<Cond6Ind>		[0..1]		11
	AdjudicationOfIncompetencyAcknowledgementIndicator	<AdjdcnOfIncmptncyAckInd>		[0..1]	🚫	11
	LegalDocumentationThirtyMonthsRelegalisationAcknowledgementIndicator	<LegalDocmntnThrtMnth-sRtntnAckInd>		[0..1]	🚫	12

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	InstructionDeletionAcknowledgementIndicator	<InstrDeltAckInd>		[0..1]		12
	PotentialLossAcknowledgementIndicator	<PotntlLossAckInd>		[0..1]		13







4.12.10 ContactPerson


XML Tag: CtctPrsn

Presence: [0..1]

Definition: Party contact information for the given instruction; required for a voluntary offer instruction transaction (VOIT), protect transaction (PROT) and protect on behalf of another participant transaction (PROP); not required for cover protect instructions like a 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 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
	Name	<Nm>		[1..1]		9
	PhoneNumber	<PhneNb>		[1..1]		9

4.12.11 WarrantSubscriptionChargeAmount

XML Tag: WarrtSbcptChrgAmt

Presence: [0..1]

Definition: Warrant subscription amount entered by client when instructing on a warrant exercise instruction.

Datatype: "RestrictedFINActiveCurrencyAndAmount" on page 51

Usage Guideline details

- This element(supl.030.001.08/ReorganisationInstructionDetails/WarrantSubscription-ChargeAmount) is removed.

4.12.12 Certificate

XML Tag: Cert

Presence: [0..1]

Definition: Certificate information for a given instruction.

The **Cert** block contains the following elements (see datatype "CorporateActionCertificateSD1" on page 13 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
	CertificateNumber	<CertNb>		[1..1]		13
	CertificateSequenceNumber	<CertSeqNb>		[0..1]		13
	CertificateRegistrationName	<CertRegnNm>		[0..1]		14

Usage Guideline details

- This element(supl.030.001.08/ReorganisationInstructionDetails/Certificate) is removed.

4.12.13 UserReferenceNumber

XML Tag: UsrRefNb

Presence: [0..1]

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

Datatype: "Max6Text" on page 48

Usage Guideline details

- This element(supl.030.001.08/ReorganisationInstructionDetails/UserReferenceNumber) is removed.







4.12.14 DeceasedBeneficialOwnerDetails

XML Tag: DcsdBnfclOwnrDtIs

Presence: [0..1]

Definition: Beneficial owner information related to CD early redemption instructions.

The **DcsdBnfclOwnrDtIs** block contains the following elements (see datatype "DeceasedStatusSD1" on page 14 for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	BeneficialOwnerName	<BnfclOwnrNm>		[1..1]		14
	DeathDate	<DthDt>		[0..1]		14
	DeathCertificateSerialNumber	<DthCertSrlNb>		[0..1]		14
	IssuingJurisdiction	<IssgJursdctn>		[0..1]		15

Usage Guideline details

- This element(supl.030.001.08/ReorganisationInstructionDetails/DeceasedBeneficialOwnerDetails) is removed.

4.12.15 TransactionRecordNumber

XML Tag: TxRcrdNb

Presence: [0..1]

Definition: Transaction record number for ATAM or ART system which may be causing pending status. Corresponds to ATP RBN number.

Datatype: "Max10NumericText" on page 45

Usage Guideline details

- This element(supl.030.001.08/ReorganisationInstructionDetails/TransactionRecordNumber) is removed.

4.12.16 BidPrice

XML Tag: BidPric

Presence: [0..1]

Definition: Bid price of the instruction.

The **BidPric** block contains the following elements (see datatype "PriceFormat71Choice" 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
	PercentagePrice	<PctgPric>	{Or	[1..1]		19
	AmountPrice	<AmtPric>	Or	[1..1]		20
	NotSpecifiedPrice	<NotSpcfdPric>	Or	[1..1]		20
	IndexPoints	<IndxPts>	Or}	[1..1]		20

4.12.17 ShareholderNumber

XML Tag: ShrhldrNb







Presence: [0..1]

Definition: Reference number assigned to identify an investor or a shareholder with the issuer or the registration provider (for instance allocation code).

Datatype: "RestrictedFINXMax25Text" on page 52

4.13 SecuritiesQuantitySD9

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
	TotalOversubscriptionQuantity	<TtlOvrSbcptQty>		[0..1]		27
	InterimCoveredQuantity	<IntrmCvrdQty>		[0..1]		27
	ConditionalQuantity	<CondlQty>		[0..1]		28

Used in element(s)

"SecuritiesQuantityDetails" on page 22







4.13.1 TotalOversubscriptionQuantity

XML Tag: TtlOvrSbcptQty

Presence: [0..1]

Definition: Total oversubscription quantity of all transaction sequence instructions.

The **TtlOvrSbcptQty** block contains the following elements (see datatype "[FinancialInstrumentQuantity31Choice](#)" 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







4.13.2 InterimCoveredQuantity

XML Tag: IntrmCvrdQty

Presence: [0..1]

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

The **IntrmCvrdQty** block contains the following elements (see datatype "[FinancialInstrumentQuantity31Choice](#)" 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

4.13.3 ConditionalQuantity

XML Tag: CondlQty

Presence: [0..1]

Definition: Minimum quantity of securities to be accepted (used in the framework of conditional privilege on election). In case of proration, if this minimum quantity is not reached then the instruction is void.

The **CondlQty** block contains the following elements (see datatype "[FinancialInstrumentQuantity15Choice](#)" on page 15 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]		16
	FaceAmount	<FaceAmt>	Or	[1..1]		16
	AmortisedValue	<AmtsdVal>	Or}	[1..1]		16

4.14 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]		28
	Identification	<Id>		[0..1]		28
	Quantity	<Qty>		[0..1]		29
	Country	<Ctry>		[0..1]		29

Used in element(s)

"[TaxCategory](#)" on page 15

4.14.1 PlaceAndName

XML Tag: PlcAndNm

Presence: [0..1]

Definition: Xpath to the element that is being extended.

Datatype: "[Max350Text](#)" on page 47

4.14.2 Identification

XML Tag: Id

Presence: [0..1]

Definition: Tax category identification.

Datatype: "Max2NumericText" on page 46







4.14.3 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 15 for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Unit	<Unit>	{Or	[1..1]		16
	FaceAmount	<FaceAmt>	Or	[1..1]		16
	AmortisedValue	<AmtsdVal>	Or}	[1..1]		16

4.14.4 Country

XML Tag: Ctry

Presence: [0..1]

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

Datatype: "CountryCode" on page 31

5 Message Datatypes

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

5.1 ActiveCurrencyCode

Definition: A code allocated to a currency by a Maintenance Agency under an international identification scheme as described in the latest edition of the international standard ISO 4217 "Codes for the representation of currencies and funds".

Type: CodeSet

Format

pattern [A-Z]{3,3}

Rules

R2 ActiveCurrency ✓

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00005
- *Error Text:* Invalid currency code

Used in attribute(s)

["RestrictedFINActiveCurrencyAndAmount" on page 51,](#)

["RestrictedFINActiveCurrencyAnd13DecimalAmount" on page 51](#)

Restricts

["ParentCurrencyCode" on page 48](#)

5.2 AmountPriceType1Code

Definition: Specifies the amount price type.

Type: CodeSet

Code	Name	Definition
ACTU	ActualAmount	Price expressed as a currency and amount per unit or per share.
DISC	Discount	Price expressed as a discount amount.
PLOT	Lot	Price expressed as an amount of money per lot.

Code	Name	Definition
PREM	Premium	Price expressed as a premium.

Used in element(s)

"AmountPriceType" on page 8

Restricts

"AmountPriceTypeCode" on page 31

5.3 AmountPriceTypeCode

Definition: Specifies the amount price type.

Type: CodeSet

Code	Name	Definition
ACTU	ActualAmount	Price expressed as a currency and amount per unit or per share.
DISC	Discount	Price expressed as a discount amount.
PLOT	Lot	Price expressed as an amount of money per lot.
PREM	Premium	Price expressed as a premium.

Is restricted by

"AmountPriceType1Code" on page 30

5.4 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**R3 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 29

5.5 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 22**Restricts**"DTCInstructionStatusCode" on page 32

5.6 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 32, "DTCProtectInstructionStatus3Code" on page 33

5.7 DTCProtectInstructionStatus3Code

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

Type: CodeSet

Code	Name	Definition
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 22

Restricts

"DTCInstructionStatusCode" on page 32

5.8 ISODate

Definition: A particular point in the progression of time in a calendar year expressed in the YYYY-MM-DD format. This representation is defined in "XML Schema Part 2: Datatypes Second Edition - W3C Recommendation 28 October 2004" which is aligned with ISO 8601.

Type: Date

Used in element(s)

"DeathDate" on page 14

5.9 InstructionReason4Code

Definition: Reason for a corporate action instruction or an instruction cancellation being rejected or pending.

Type: CodeSet

Code	Name	Definition
ACKA	AcknowledgementNotAgreed	Acknowledgement must be agreed.
ACKS	AcknowledgmentIndicatorMissing	Acknowledgment indicator is missing.
ADIM	AdjudicationOfIncompetencyAcknowledgmentIndicatorMissing	Adjudication of incompetency acknowledgement indicator is missing.
ADIN	AdjudicationOfIncompetencyAcknowledgementIndicatorInvalid	Adjudication of incompetency acknowledgement indicator is invalid.
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.

Code	Name	Definition
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.
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.

Code	Name	Definition
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.
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	CustomerReferenceIdentificationMissingIn-Sequence	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.
EVNT	CorporateActionEventTypeInvalid	Corporate action event type provided is not valid.
FRAQ	FractionalUnderlyingQuantity	Customer has fractional underlying quantity, adjust quantity.

Code	Name	Definition
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.
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.
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.
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.

Code	Name	Definition
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	CurrentDatePrecedesProtectSubmissionStart-Date	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.
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.

Code	Name	Definition
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.
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)

"Reason" on page 22

Restricts

"InstructionRejectionReasonV2Code" on page 40

5.10 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	AdjudicationOfIncompetencyAcknowledgmentIndicatorMissing	Adjudication of incompetency acknowledgment indicator is missing.
ADIN	AdjudicationOfIncompetencyAcknowledgmentIndicatorInvalid	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.

Code	Name	Definition
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.
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.

Code	Name	Definition
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.
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.

Code	Name	Definition
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.
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	CurrentDatePrecedesProtectSubmissionStart-Date	Current date is less than the protect submission start date.

Code	Name	Definition
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.
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.

Code	Name	Definition
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.

Is restricted by

"InstructionReason4Code" on page 34

5.11 Max10NumericText

Definition: Specifies a numeric string with a maximum length of 10 digits.

Type: Text

Format

pattern [0-9]{1,10}

Used in element(s)

"TransactionRecordNumber" on page 26

5.12 Max15AlphaNumericText

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

Type: Text

Format

maxLength	15
minLength	1
pattern	[a-zA-Z0-9]{1,15}

Used in element(s)

"CertificateNumber" on page 13, "CertificateSequenceNumber" on page 13

5.13 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 21

5.14 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 9

5.15 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 28

5.16 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)

"CertificateRegistrationName" on page 14, "CustomerReferenceldentification" on page 23, "Customer-Referenceldentification" on page 18, "DeathCertificateSerialNumber" on page 14

5.17 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 21, "PlaceAndName" on page 28

5.18 Max35Text

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

Type: Text

Format

maxLength	35
minLength	1

Used in element(s)

"BeneficialOwnerName" on page 14, "IssuingJurisdiction" on page 15

5.19 Max3NumericText

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

Type: Text

Format

pattern	[0-9]{1,3}
---------	------------

Used in element(s)

"TransactionSequenceNumber" on page 17

5.20 **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 25

5.21 **ParentCurrencyCode**

Definition: Code allocated to a currency, by a maintenance agency, under an international identification scheme as described in the latest edition of the international standard ISO 4217 "Codes for the representation of currencies and funds". Valid currency codes are registered with the ISO 4217 Maintenance Agency, and consist of three contiguous letters.

Type: CodeSet

Format

pattern	[A-Z]{3,3}
---------	------------

Is restricted by

"ActiveCurrencyCode" on page 30

5.22 **PercentageRate**

Definition: Rate expressed as a percentage, that is, in hundredths, for example, 0.7 is 7/10 of a percent, and 7.0 is 7%.

Type: Rate

Format

fractionDigits	10
totalDigits	11

Used in element(s)

"PriceValue" on page 19

5.23 **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}

Used in element(s)

["PhoneNumber" on page 9](#)

5.24 PriceRateType3Code

Definition: Specifies the type of price rate.

Type: CodeSet

Code	Name	Definition
DISC	Discount	Price expressed as a number of percentage points below par, for example, a discount price of 2.0% equals a price of 98 when par is 100.
PRCT	Percentage	Price expressed as a percentage of par.
PREM	Premium	Price expressed as a number of percentage points above par, for example, a premium price of 2.0% equals a price of 102 when par is 100.
YIEL	Yield	Price expressed as a yield.

Used in element(s)

["PercentagePriceType" on page 19](#)

Restricts

["PriceValueTypeCode" on page 50](#)

5.25 PriceValueType13Code

Definition: Type of price is unspecified.

Type: CodeSet

Code	Name	Definition
UNSP	Unspecified	Price is not required to be specified by account owner.

Used in element(s)

["NotSpecifiedPrice" on page 20](#)

Restricts"PriceValueTypeCode" on page 50

5.26 PriceValueTypeCode

Definition: Price will not be paid.*Type:* CodeSet

Code	Name	Definition
ABSO	Absolute	Price is expressed as absolute.
ACTU	ActualAmount	Price expressed as a currency and amount per unit or per share.
DISC	Discount	Price expressed as a number of percentage points below par, for example, a discount price of 2.0% equals a price of 98 when par is 100.
FICT	FixedCabinetTrade	Cabinet trades are used to indicate prices that trade at a price lower than that available on an exchange and they can be fixed or variable (primarily used for listed futures and options).
NEGA	NegativeActualAmount	Price must be interpreted as a negative amount of currency per unit or per share.
NILP	NilPayment	Price will not be paid.
OPEN	OpenDated	Price has not been established.
PARV	Par	Price is the face amount.
PEUN	PerUnit	Price expressed per unit.
PRCT	Percentage	Price expressed as a percentage of par.
PREM	Premium	Price expressed as a number of percentage points above par, for example, a premium price of 2.0% equals a price of 102 when par is 100.
SPRE	Spread	Difference between a market maker's bid and asked price.
TBSP	ToBeSpecified	Price to be specified by account owner.
TEDP	TEDPrice	Price is expressed as Treasury Euro Dollar price.
TEDY	TEDYield	Price is expressed as Treasury Euro Dollar yield.
UKWN	Unknown	Price is unknown by the sender or has not been established.
UNSP	Unspecified	Price is not required to be specified by account owner.
VACT	VariableCabinetTrade	Cabinet trades are used to indicate prices that trade at a price lower than that available on an exchange and they can be fixed or variable (primarily used for listed futures and options).

Code	Name	Definition
YIEL	Yield	Price expressed as a yield.

Is restricted by

"PriceRateType3Code" on page 49, "PriceValueType13Code" on page 49

5.27 RestrictedFINActiveCurrencyAnd13Decimal-Amount

Definition: A number of monetary units specified in an active currency where the unit of currency is explicit and compliant with ISO 4217. The number of fractional digits (or minor unit of currency) is not checked as per ISO 4217: It must be lesser than or equal to 13.

Note: The decimal separator is a dot.

Type: Amount

This data type must be used with the following XML Attributes:

Attribute	Tag	Datatype
Currency	Ccy	"ActiveCurrencyCode" on page 30

Format

fractionDigits	13
minInclusive	0
totalDigits	14

Used in element(s)

"PriceValue" on page 8

5.28 RestrictedFINActiveCurrencyAndAmount

Definition: A number of monetary units specified in an active currency where the unit of currency is explicit and compliant with ISO 4217.

Type: Amount

This data type must be used with the following XML Attributes:

Attribute	Tag	Datatype
Currency	Ccy	"ActiveCurrencyCode" on page 30

Format

fractionDigits	5
minInclusive	0
totalDigits	14

Rules**R1 CurrencyAmount ✓**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

Error handling:

- *Error severity*: Fatal
- *Error Code*: D00007
- *Error Text*: Invalid currency code or too many decimal digits

Used in element(s)

"WarrantSubscriptionChargeAmount" on page 24

5.29 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)

"IndexPoints" on page 20, "Unit" on page 16, "Unit" on page 17

5.30 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 16, "FaceAmount" on page 16, "FaceAmount" on page 17

5.31 RestrictedFINXMax25Text

Definition: Specifies a character string with a maximum length of 24 characters. It has a pattern that disables the use of characters that is not part of the character set X, that is, that is not a-z A-Z / - ? : () . , ' + , and disable the use of slash "/" at the beginning and end of line and double slash "/" within the line.

Type: Text

Format

maxLength	25
minLength	1
pattern	<code>([0-9a-zA-Z\-\?:\(\)\.,\'+]([0-9a-zA-Z\-\?:\(\)\.,\'+]*([0-9a-zA-Z\-\?:\(\)\.,\'+])?)*</code>

Used in element(s)

"ShareholderNumber" on page 26

5.32 YesNoIndicator

Definition: Indicates a "Yes" or "No" type of answer for an element.

Type: Indicator

Meaning When True: Yes

Meaning When False: No

Used in element(s)

"AdjudicationOfIncompetencyAcknowledgementIndicator" on page 11, "Condition1Indicator" on page 10, "Condition2Indicator" on page 10, "Condition3Indicator" on page 10, "Condition4Indicator" on page 11, "Condition5Indicator" on page 11, "Condition6Indicator" on page 11, "InstructionDeletionAcknowledgementIndicator" on page 12, "LegalDocumentationThirtyMonthsRetentionAcknowledgementIndicator" on page 12, "PotentialLossAcknowledgementIndicator" on page 13, "TermsAcknowledgementIndicator" on page 10

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