

## Usage Guideline

# Corporate Action Instruction Cancellation Request seev.040.001.13

## DTCC - US - CA - Voluntary Reorg Instructions - SR 2025

This document describes a usage guideline restricting the base message **MX seev.040.001.13**. You can also consult [this information online](#).

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# Table of Contents

<b>Message Functionality .....</b>	<b>3</b>
<b>1    Restriction summary .....</b>	<b>4</b>
<b>2    Structure .....</b>	<b>5</b>
<b>3    ISO 20022 Rules .....</b>	<b>7</b>
<b>4    Guidelines .....</b>	<b>8</b>
<b>5    Message Building Blocks .....</b>	<b>9</b>
<b>6    Message Components .....</b>	<b>13</b>
<b>7    Message Datatypes .....</b>	<b>48</b>
<b>Legal Notices .....</b>	<b>98</b>

## Message Functionality

### Overview

Used to notify DTCC of a withdrawal of an election.

### Collection Description

### Outline

The DTCC - US - CA - Voluntary Reorg Instructions - SR 2025 / Corporate Action Instruction Cancellation Request seev.040.001.13 message is composed of 8 building blocks







- a. ChangeInstructionIndicator  
Indicates that cancelled instruction will be replaced by a new corporate action instruction to be sent later.
- b. InstructionIdentification  
Identification of a previously sent instruction document.
- c. CorporateActionGeneralInformation  
General information about the corporate action event.
- d. AccountDetails  
General information about the safekeeping account and the account owner.
- e. CorporateActionInstruction  
Information about the corporate action option.
- f. ProtectInstruction  
Provides detailed information on protect and cover protect instructions.
- g. AdditionalInformation  
Provides additional information.
- h. SupplementaryData  
Additional information that can not be captured in the structured fields and/or any other specific block.
















# 1 Restriction summary


This Usage Guideline restricts the seev.040.001.13 message.

Restriction Type	See page
Removed elements	9, 15, 15, 16, 17, 21, 25, 27, 27, 33, 35, 38, 39, 40, 45, 46, 49, 49, 50, 50, 50, 51, 51, 51, 51, 53, 53, 53, 53, 54, 54, 54, 54, 55, 55, 56, 56, 56, 56, 57, 58, 58, 58, 58, 60, 60, 60, 60, 61, 61, 61, 61, 62, 62, 63, 63, 63, 63, 64, 64, 64, 64, 65, 65, 66, 74, 74, 74, 76, 78, 78, 79, 79, 79, 80, 82
Make mandatory	12, 14, 20
Reduce Multiplicity	12, 45
Ignore	n.a.
Text rules	9, 10, 14, 18, 19, 19, 22, 23, 23, 23, 24, 26, 27, 28, 29, 29, 32, 79
Conditional rules	n.a.
Formal rules	n.a.
Fixed values	33
Truncates	n.a.
Comments	10, 14, 18, 19, 19, 22, 23, 32, 40, 45, 49, 52, 52, 55, 57, 59, 65, 74, 75, 76, 77, 77, 77, 78, 80, 81
Annotations	n.a.
Changed datatypes	14, 18, 18, 20, 21, 25, 26, 27, 27, 28, 28, 28, 29, 29, 29, 29, 30, 30, 30, 31, 32, 34, 34, 35, 38, 43, 46, 47
Extensions	n.a.
Synonyms	9, 10, 14, 18, 19, 19, 22, 23, 35, 59, 62, 74, 75, 75, 75, 75, 75, 75, 76, 77, 80, 80, 80, 81, 81, 81, 81

## 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>CorporateActionInstructionCancellation-RequestV13</i>	<CorpActnInstrCxlReq>		[1..1]		9
	<b>ChangeInstructionIndicator</b>	<ChngInstrInd>		[0..1]		9
	<b>InstructionIdentification</b>	<InstrId>		[1..1]		9
	Identification	<Id>		[1..1]		25
	LinkageType	<LkgTp>		[0..1]		25
	<b>CorporateActionGeneralInformation</b>	<CorpActnGnlInf>		[1..1]		10
	CorporateActionEventIdentification	<CorpActnEvtId>		[1..1]		18
	OfficialCorporateActionEventIdentification	<OffclCorpActnEvtId>		[0..1]		18
	EventType	<EvtTp>		[1..1]		19
	FinancialInstrumentIdentification	<FinInstrmId>		[0..1]		19
	<b>AccountDetails</b>	<AcctDtls>		[1..1]		10
	SafekeepingAccount	<SfkpgAcct>		[0..1]	 	14
	BlockchainAddressOrWallet	<BlckChainAdrOrWlt>		[0..1]		14
	AccountOwner	<AcctOwnr>		[0..1]		15
	SafekeepingPlace	<SfkpgPlc>		[0..1]		15
	<b>CorporateActionInstruction</b>	<CorpActnInstr>		[1..1]		11
	OptionNumber	<OptnNb>		[1..1]		22
	OptionType	<OptnTp>		[1..1]		22
	InstructedQuantity	<InstdQty>		[1..1]		23
	<b>ProtectInstruction</b>	<PrctInstr>		[0..1]		11
	TransactionType	<TxTp>		[1..1]		38
	TransactionIdentification	<TxId>		[0..1]	 	38
	ProtectDate	<PrctDt>		[0..1]		39
	<b>AdditionalInformation</b>	<AddtlInf>		[0..1]		11
	AdditionalText	<AddtlTxt>		[0..*]		20
	PartyContactNarrative	<PtyCtctNrrtv>		[0..*]	 	21
	<b>SupplementaryData</b>	<SplmtryData>		[0..*]	 R[1..1]	12

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		46
	Envelope	<Envlp>		[1..1]		47

### 3 ISO 20022 Rules

#### R1 CorporateActionEventIdentificationRule

If the CorporateActionInstruction message was unsolicited (that is, this instruction has not been preceded by a CorporateActionNotification), then, CorporateActionGeneralInformation/CorporateActionEventIdentification must be NONREF.

Error handling: Undefined

#### R2 BeneficialOwnerBreakdownRequestRule ✓

If CorporateActionInstruction/OptionType/Code value is BOBD (BeneficialOwnerBreakdownRequest), then CorporateActionGeneralInformation/EventType/Code value must be WTRC (Withholding Tax Relief Certification).

(MT565 NVR C8)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00487
- *Error Text:* Invalid message contents for CorporateActionGeneralInformation/EventType/Code. It must be WTRC.

## 4 Guidelines

### 1. **ChangeInstructionIndicatorGuideline**

ChangeInstructionIndicator may only be used if CorporateActionOptionDetails/WithdrawalAllowedIndicator was set to 'false' or '0' (No) in the CorporateActionNotification message previously received and if CorporateActionOptionDetails/ChangeAllowedIndicator was set to 'true' or '1' (Yes) in the CorporateActionNotification message previously received.



# 5 Message Building Blocks

**Note** The following chapter identifies the building blocks of the DTCC - US - CA - Voluntary Reorg Instructions - SR 2025 / Corporate Action Instruction Cancellation Request seev.040.001.13 message definition.

Usage Guideline on Root Node

- on seev.040.001.13/
  - **Market Practice Usage Rule:**  
Used to notify DTCC of a withdrawal of an election.
- on seev.040.001.13/  
**Synonym (DTCC):** Election Withdrawal

## 5.1 ChangeInstructionIndicator

XML Tag: ChngInstrInd

Presence: [0..1]

Definition: Indicates that cancelled instruction will be replaced by a new corporate action instruction to be sent later.

Datatype: "YesNoIndicator" on page 97

Usage Guideline details

- This element(seev.040.001.13/ChangeInstructionIndicator) is removed.

## 5.2 InstructionIdentification

XML Tag: InstrId

Presence: [1..1]

Definition: Identification of a previously sent instruction document.

The **InstrId** block contains the following elements (see datatype "DocumentIdentification31\_1" on page 25 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]	⚠	25
	LinkageType	<LkgTp>		[0..1]	ⓧ	25

## Usage Guideline details

- on seev.040.001.13/InstructionIdentification

- Market Practice Implementation Rules:

DTCC will match it to the Business Message Identifier of the Instruction that is being cancelled. Message rejected if not matched. Reject code UNLK.

- on seev.040.001.13/InstructionIdentification

**Synonym:** Enter Synonym Value

- on seev.040.001.13/InstructionIdentification

**Comment:**

Must be Business Message Identifier of the original instruction

## 5.3 CorporateActionGeneralInformation

*XML Tag:* CorpActnGnlInf

*Presence:* [1..1]

*Definition:* General information about the corporate action event.

The **CorpActnGnlInf** block contains the following elements (see datatype "CorporateActionGeneralInformation183\_1" 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
	CorporateActionEventIdentification	<CorpActnEvtId>		[1..1]		18
	OfficialCorporateActionEventIdentification	<OffclCorpActnEvtId>		[0..1]		18
	EventType	<EvtTp>		[1..1]		19
	FinancialInstrumentIdentification	<FinInstrmId>		[0..1]		19

## 5.4 AccountDetails

*XML Tag:* AcctDtls

*Presence:* [1..1]

*Definition:* General information about the safekeeping account and the account owner.

The **AcctDtls** block contains the following elements (see datatype "AccountIdentification69\_1" 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
	SafekeepingAccount	<SfkpgAcct>		[0..1]	M ⚠	14
	BlockChainAddressOrWallet	<BlckChainAdrOrWllt>		[0..1]	⊘	14
	AccountOwner	<AcctOwnr>		[0..1]	⊘	15
	SafekeepingPlace	<SfkpgPlc>		[0..1]	⊘	15

## 5.5 CorporateActionInstruction

XML Tag: CorpActnInstr

Presence: [1..1]

Definition: Information about the corporate action option.

The **CorpActnInstr** block contains the following elements (see datatype "CorporateActionOption200\_1" 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
	OptionNumber	<OptnNb>		[1..1]	⚠	22
	OptionType	<OptnTp>		[1..1]	⚠	22
	InstructedQuantity	<InstQty>		[1..1]	⚠	23

## 5.6 ProtectInstruction

XML Tag: PrtctInstr

Presence: [0..1]

Definition: Provides detailed information on protect and cover protect instructions.

The **PrtctInstr** block contains the following elements (see datatype "ProtectInstruction3\_1" on page 38 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
	TransactionType	<TxTp>		[1..1]		38
	TransactionIdentification	<TxId>		[0..1]	⊘ ⚠	38
	ProtectDate	<PrtctDt>		[0..1]		39







## 5.7 AdditionalInformation




XML Tag: AddtlInf

*Presence:* [0..1]

*Definition:* Provides additional information.

The **AddtlInf** block contains the following elements (see datatype "CorporateActionNarrative10\_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
	AdditionalText	<AddtlTxt>		[0..*]		20
	PartyContactNarrative	<PtyCtctNrrtv>		[0..*]	 	21







## 5.8 SupplementaryData


*XML Tag:* SplmtryData

*Presence:* [0..\*]

*Definition:* Additional information that can not be captured in the structured fields and/or any other specific block.

The **SplmtryData** block contains the following elements (see datatype "SupplementaryData1\_1" on page 46 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]		46
	Envelope	<Envlp>		[1..1]		47

### Usage Guideline details

- on seev.040.001.13/SupplementaryData

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

*This element has change repeatability, the maximum occurrence has been changed to : 1*

## 6 Message Components

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

### 6.1 AccountIdentification69\_\_1

*Definition:* Provides account identification information.

⊘ 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
	SafekeepingAccount	<SfkpgAcct>		[0..1]	M ⚠	14
	BlockChainAddressOrWallet	<BlckChainAdrOrWllt>		[0..1]	⊘	14
	AccountOwner	<AcctOwnr>		[0..1]	⊘	15
	SafekeepingPlace	<SfkpgPlc>		[0..1]	⊘	15

#### Rules

##### R12 SafekeepingPlaceRule

The SafekeepingPlace is only to be used by global custodians that allow their clients to specify where the securities are to be held, for example, in an ICSD account versus an account at the local CSD.

Error handling: Undefined

##### R13 SafekeepingAccountOrBlockChainAddress1Rule ✓

Either SafekeepingAccount or BlockChainAddressOrWallet must be present but not both.

Error handling:

- *Error severity:* Warning
- *Error Code:* X00553
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

##### R14 SafekeepingAccountOrBlockChainAddress2Rule ✓

If BlockChainAddressOrWallet is present then SafekeepingAccount must be absent.

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00574
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

##### R15 SafekeepingAccountOrBlockChainAddress3Rule ✓

If SafekeepingAccount is present, then BlockchainAddressOrWallet must be absent.

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00575
- *Error Text:* Invalid message contents for SafekeepingAccount or BlockchainAddressOrWallet. Only one of both must be present.

**Used in element(s)**

"AccountDetails" on page 10

## 6.1.1 SafekeepingAccount

*XML Tag:* SfkpgAcct

*Presence:* [0..1]

*Definition:* Account where financial instruments are maintained.

*Datatype:* "RestrictedFINXMax35Text" on page 95

**Usage Guideline details**

- **on seev.040.001.13/AccountDetails/SafekeepingAccount**

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

- **on seev.040.001.13/AccountDetails/SafekeepingAccount**

**Type changed to:** RestrictedFINXMax35Text on page 95

- **on seev.040.001.13/AccountDetails/SafekeepingAccount**

– **Market Practice Implementation Rule:**

Must be DTCC assigned Participant number. Must have 8 digits including leading zeroes. If participant number is 1 then 00000001, if 35 then 00000035. Field is validated, if fails reject code SAFE.

- **on seev.040.001.13/AccountDetails/SafekeepingAccount**

**Synonym (DTCC):** Participant ID

- **on seev.040.001.13/AccountDetails/SafekeepingAccount**

**Comment:**

DTCC assigned internal participant identification number.

## 6.1.2 BlockchainAddressOrWallet

*XML Tag:* BkChainAdrOrWlIt

*Presence:* [0..1]

*Definition:* Blockchain address or wallet where digital assets are maintained. This is the equivalent of safekeeping account for digital assets.

*Datatype:* "Max140Text" on page 87

## Usage Guideline details

- This element(seev.040.001.13/AccountDetails/BlockChainAddressOrWallet) is removed.







## 6.1.3 AccountOwner

*XML Tag:* AcctOwnr

*Presence:* [0..1]

*Definition:* Party that legally owns the account.

The **AcctOwnr** block contains the following elements (see datatype "[PartyIdentification127Choice 1](#)" on [page 36](#) 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
	AnyBIC	<AnyBIC>	{Or	[1..1]		36
	ProprietaryIdentification	<PrtryId>	Or}	[1..1]		36

## Usage Guideline details

- This element(seev.040.001.13/AccountDetails/AccountOwner) is removed.







## 6.1.4 SafekeepingPlace

*XML Tag:* SfkpgPlc

*Presence:* [0..1]

*Definition:* Location where the financial instruments are/will be safekept.

The **SfkpgPlc** block contains the following elements (see datatype "[SafekeepingPlaceFormat42Choice 1](#)" on [page 40](#) for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Identification	<Id>	{Or	[1..1]		41
	Country	<Ctry>	Or	[1..1]		41
	DigitalLedgerIdentification	<DgtlLdgrId>	Or	[1..1]		41
	TypeAndIdentification	<TpAndId>	Or	[1..1]		41
	Proprietary	<Prtry>	Or}	[1..1]		42

## Usage Guideline details

- This element([seev.040.001.13/AccountDetails/SafekeepingPlace](#)) is removed.

## 6.2 CorporateActionEventType112Choice\_\_1

*Definition:* Choice between formats to express the corporate event type.

⊘ 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]		16
	Proprietary	<Prtry>	Or}	[1..1]	<span style="color: red;">⊘</span>	16

### Rules

#### R6 EventTypeRule

If Code is present, the code OTHR must only be used in case no other corporate action event code is appropriate.

If Code is present, the code CHAN must only be used in case no other corporate action event code is appropriate and only for an event which relates to a change.

If Code is present, the code REDM must only be used when the redemption is decided by the issuer and not by the securities holders.

Error handling: Undefined

### Used in element(s)

["EventType" on page 19](#)

### 6.2.1 Code

*XML Tag:* Cd

*Presence:* [1..1]

*Definition:* Event types expressed as a code.

*Datatype:* ["CorporateActionEventType40Code" on page 48](#)

### 6.2.2 Proprietary

*XML Tag:* Prtry

*Presence:* [1..1]

*Definition:* Event types expressed as a proprietary code.

The **Prtry** block contains the following elements (see datatype ["GenericIdentification30\\_\\_1" on page 27](#) for details)



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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Identification	<Id>		[1..1]		28
	Issuer	<Issr>		[1..1]		28
	SchemeName	<SchmeNm>		[0..1]		29

#### Usage Guideline details

- This element(seev.040.001.13/CorporateActionGeneralInformation/EventType/Proprietary) is removed.

## 6.3 CorporateActionGeneralInformation183\_\_1

*Definition:* General information about the corporate action event.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	CorporateActionEventIdentification	<CorpActnEvtId>		[1..1]		18
	OfficialCorporateActionEventIdentification	<OffclCorpActnEvtId>		[0..1]		18
	EventType	<EvtTp>		[1..1]		19
	FinancialInstrumentIdentification	<FinInstrmId>		[0..1]		19

#### Rules

##### R4 EventTypeRule

EventType/Code OTHR must only be used in case no other corporate action event code is appropriate.

EventType/Code CHAN must only be used in case no other corporate action event code is appropriate and only for an event which relates to a change.

EventType/Code REDM must only be used when the redemption is decided by the issuer and not by the securities holders.

Error handling: Undefined

##### R5 OfficialCorporateActionEventReference

The Securities Market Practice Group (SMPG) has published market practice recommendations on the structure and usage of the Official Corporate Action Event Reference (COAF). Those recommendations are

available in the SMPG Global Market Practices Part 1 document on [www.smpg.info](http://www.smpg.info).

Error handling: Undefined

**Used in element(s)**

["CorporateActionGeneralInformation" on page 10](#)

## 6.3.1 CorporateActionEventIdentification

*XML Tag:* CorpActnEvtId

*Presence:* [1..1]

*Definition:* Reference assigned by the account servicer to unambiguously identify a corporate action event.

*Datatype:* ["RestrictedFINXMax16Text" on page 93](#)

**Usage Guideline details**

- on [seev.040.001.13/CorporateActionGeneralInformation/CorporateActionEventIdentification](#)  
Type changed to: [RestrictedFINXMax16Text on page 93](#)
- on [seev.040.001.13/CorporateActionGeneralInformation/CorporateActionEventIdentification](#)  
– **Market Practice Implementation Rule:**  
  
Must match what was on the instruction that is being cancelled. If not matched rejected with code EVNM.
- on [seev.040.001.13/CorporateActionGeneralInformation/CorporateActionEventIdentification](#)  
Synonym (DTCC): CA ID
- on [seev.040.001.13/CorporateActionGeneralInformation/CorporateActionEventIdentification](#)  
**Comment:**  
DTC unique identifier of the corporate action event.

## 6.3.2 OfficialCorporateActionEventIdentification

*XML Tag:* OffclCorpActnEvtId

*Presence:* [0..1]

*Definition:* Official and unique reference assigned by the official central body/entity within each market at the beginning of a corporate action event.

*Datatype:* ["RestrictedFINXMax16Text" on page 93](#)

**Usage Guideline details**

- on [seev.040.001.13/CorporateActionGeneralInformation/OfficialCorporateActionEventIdentification](#)  
Type changed to: [RestrictedFINXMax16Text on page 93](#)
- on [seev.040.001.13/CorporateActionGeneralInformation/OfficialCorporateActionEventIdentification](#)

– **Market Practice Usage Rule:**

Optional field in ISO schema. Required as mandatory by DTCC. Must match as in original CAIN. If not matched rejected with code EVNM.

- on `seev.040.001.13/CorporateActionGeneralInformation/OfficialCorporateActionEventIdentification`

**Synonym (DTCC):** Official Reference CA ID

- on `seev.040.001.13/CorporateActionGeneralInformation/OfficialCorporateActionEventIdentification`

**Comment:**

Official corporate action unique identifier.

### 6.3.3 EventType

*XML Tag:* EvtTp

*Presence:* [1..1]

*Definition:* Type of corporate action event.

The **EvtTp** block contains the following elements (see datatype "CorporateActionEventType112Choice 1" 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
	Code	<Cd>	{Or	[1..1]		16
	Proprietary	<Prtry>	Or}	[1..1]	🚫	16

**Usage Guideline details**

- on `seev.040.001.13/CorporateActionGeneralInformation/EventType`

– **Market Practice Implementation Rule:**

Required. Must match as in original CANO. If not matched rejected with code OTHR with "Incorrect Event Type" in AdditionalReasonInformation.

- on `seev.040.001.13/CorporateActionGeneralInformation/EventType`

**Synonym (DTCC):** Event Type

- on `seev.040.001.13/CorporateActionGeneralInformation/EventType`

**Comment:**

Type of corporate action event. (e.g., DRIP, Opt-Out, Optional Dividend).







### 6.3.4 FinancialInstrumentIdentification





*XML Tag:* FinInstrmId

*Presence:* [0..1]

*Definition:* Identification of the security concerned by the corporate action.

The **FinInstrmId** block contains the following elements (see datatype "SecurityIdentification19\_1" on page 44 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
	ISIN	<ISIN>		[0..1]		45
	OtherIdentification	<OthrId>		[0..*]	 R[0..1]	45
	Description	<Desc>		[0..1]	 	46




#### Usage Guideline details

- on [seev.040.001.13/CorporateActionGeneralInformation/FinancialInstrumentIdentification](#)  
*This element is now mandatory, the minimum occurrence has been changed to : 1*

## 6.4 CorporateActionNarrative10\_\_1

*Definition:* Provides additional information such as the information conditions.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	AdditionalText	<AddtlTxt>		[0..*]		20
	PartyContactNarrative	<PtyCtctNrrtv>		[0..*]	 	21

#### Used in element(s)

"AdditionalInformation" on page 11

### 6.4.1 AdditionalText

*XML Tag:* AddtlTxt

*Presence:* [0..\*]

*Definition:* Provides additional information or specifies in more detail the content of a message. This field may only be used when the information to be transmitted, cannot be coded.

*Datatype:* "RestrictedFINXMax70Text" on page 95

#### Usage Guideline details

- on [seev.040.001.13/AdditionalInformation/AdditionalText](#)

Type changed to: [RestrictedFINXMax70Text on page 95](#)

## 6.4.2 PartyContactNarrative

XML Tag: PtyCtctNrrtv

Presence: [0..\*]

Definition: Provides additional information regarding the party, for example, the contact unit or person responsible for the transaction identified in the message.







Datatype: "RestrictedFINXMax350Text" on page 94




### Usage Guideline details

- This element(seev.040.001.13/AdditionalInformation/PartyContactNarrative) is removed.
- on seev.040.001.13/AdditionalInformation/PartyContactNarrative  
Type changed to: [RestrictedFINXMax350Text on page 94](#)

## 6.5 CorporateActionOption200\_\_1

Definition: Provides information about the 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
	OptionNumber	<OptnNb>		[1..1]		22
	OptionType	<OptnTp>		[1..1]		22
	InstructedQuantity	<InstQty>		[1..1]		23

### Rules

#### R18 OptionNumber1Rule

For differentiation between options, the OptionNumber must be used (preferred rather than the OptionType for example in the case where two or more offers can be described by the same corporate action option code). Therefore, the OptionNumber value must be different for each option.

Error handling: Undefined

#### R19 OptionNumber2Rule

When the CorporateActionInstruction is unsolicited, that is, the instruction has not been preceded by an Corporate ActionNotification, then OptionNumber/code must be UNSO (unsolicited).

Error handling: Undefined

### Used in element(s)

["CorporateActionInstruction" on page 11](#)







## 6.5.1 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 33 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]		33
	Code	<Cd>	Or}	[1..1]		33

### Usage Guideline details

- on [seev.040.001.13/CorporateActionInstruction/OptionNumber](#)
  - **Market Practice Implementation Rule:**

Required. Must match as in original CANO.
- on [seev.040.001.13/CorporateActionInstruction/OptionNumber](#)

**Synonym (DTCC):** Option Number
- on [seev.040.001.13/CorporateActionInstruction/OptionNumber](#)

**Comment:**  
Number that uniquely identifies an option within an event.







## 6.5.2 OptionType


*XML Tag:* OptnTp

*Presence:* [1..1]

*Definition:* Specifies the corporate action options available to the account owner.

The **OptnTp** block contains the following elements (see datatype "[CorporateActionOption40Choice 1](#)" on page 24 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]		24
	Proprietary	<Prtry>	Or}	[1..1]		24

## Usage Guideline details

- on **seev.040.001.13/CorporateActionInstruction/OptionType**

- **Market Practice Implementation Rule:**

Required. Must match as in original CANO. If not matched rejected with code OP-TY.

- on **seev.040.001.13/CorporateActionInstruction/OptionType**

**Synonym (DTCC):** Option Type

- on **seev.040.001.13/CorporateActionInstruction/OptionType**

**Comment:**

Describes the type of option associated with the event (e.g., retain, sell).







## 6.5.3 InstructedQuantity




*XML Tag:* InstdQty

*Presence:* [1..1]

*Definition:* Quantity of securities to which this instruction applies.

The **InstdQty** block contains the following elements (see datatype "Quantity52Choice 1" on page 39 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]		39
	OriginalAndCurrentFaceAmount	<OrgnlAndCurFaceAmt>	Or	[1..1]		39
	Quantity	<Qty>	Or}	[1..1]		40

## Usage Guideline details

- on **seev.040.001.13/CorporateActionInstruction/InstructedQuantity**

- **Coexistence Rule:**

During ISO 15022 - 20022 coexistence, Quantity length must not be greater than 15, including the decimal point. In this message subset, a restricted data type was implemented to comply with this coexistence rule.

- on **seev.040.001.13/CorporateActionInstruction/InstructedQuantity**

- **Market Practice Implementation Rule:**

1. Quantity must be used for shares and Face Amount for debt per market practice. 2. Face amount will be converted for processing at DTCC. Quantity must be a valid quantity. 3. Debt and non debt security will be verified unit DTCC Security Master applying same rule as when CANO

## 6.6 CorporateActionOption40Choice\_\_1

*Definition:* Choice between a standard code or a proprietary code to specify the type of the corporate action option.

🚫 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]		24
	Proprietary	<Prtry>	Or}	[1..1]	⚠	24

Used in element(s)

"OptionType" on page 22

### 6.6.1 Code

*XML Tag:* Cd

*Presence:* [1..1]

*Definition:* Specifies the corporate action options available to the account owner.

*Datatype:* "CorporateActionOption16Code" on page 73

### 6.6.2 Proprietary

*XML Tag:* Prtry

*Presence:* [1..1]

*Definition:* Proprietary identification of the type of corporate action option.

The **Prtry** block contains the following elements (see datatype "GenericIdentification30\_\_1" 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
	Identification	<Id>		[1..1]	⚠	28
	Issuer	<Issr>		[1..1]	⚠	28
	SchemeName	<SchmeNm>		[0..1]	⚠	29

Usage Guideline details







- on seev.040.001.13/CorporateActionInstruction/OptionType/Proprietary
  - Market Practice Usage Rule:
 



Use for VOTE events only.



## 6.7 DocumentIdentification31\_\_1

*Definition:* Identification of a document and type of link.

 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]		25
	LinkageType	<LkgTp>		[0..1]		25

**Used in element(s)**

"InstructionIdentification" on page 9

### 6.7.1 Identification

*XML Tag:* Id

*Presence:* [1..1]

*Definition:* Identifies the document.

*Datatype:* "Max16Text" on page 87

**Usage Guideline details**

- on seev.040.001.13/InstructionIdentification/Identification  
Type changed to: Max16Text on page 87







### 6.7.2 LinkageType

*XML Tag:* LkgTp

*Presence:* [0..1]

*Definition:* Specifies when this document is to be processed relative to another referred document.

The **LkgTp** block contains the following elements (see datatype "ProcessingPosition7Choice 1" on page 37 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]		37
	Proprietary	<Prtry>	Or}	[1..1]		37

**Usage Guideline details**

- This element(seev.040.001.13/InstructionIdentification/LinkageType) is removed.

## 6.8 FinancialInstrumentQuantity33Choice\_\_1

*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]		26
	FaceAmount	<FaceAmt>	Or	[1..1]		26
	AmortisedValue	<AmtsdVal>	Or	[1..1]		27
	DigitalTokenUnit	<DgtlTknUnit>	Or}	[1..1]		27

### Rules

#### R20 DigitalTokenUnitUsageRule

DigitalTokenUnit format may only be used for instruments identified with a digital token identifier.

Error handling: Undefined

### Used in element(s)

"Quantity" on page 40

### 6.8.1 Unit

*XML Tag:* Unit

*Presence:* [1..1]

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

*Datatype:* ["RestrictedFINDecimalNumber" on page 91](#)

### Usage Guideline details

- on [seev.040.001.13/CorporateActionInstruction/InstructedQuantity/Quantity/Unit](#)  
 Type changed to: [RestrictedFINDecimalNumber on page 91](#)
- on [seev.040.001.13/CorporateActionInstruction/InstructedQuantity/Quantity/Unit](#)
  - **Market Practice Rule:**

Used when the security is not debt.

### 6.8.2 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 92](#)

#### Usage Guideline details

- on [seev.040.001.13/CorporateActionInstruction/InstructedQuantity/Quantity/FaceAmount](#)  
Type changed to: [RestrictedFINImpliedCurrencyAndAmount on page 92](#)
- on [seev.040.001.13/CorporateActionInstruction/InstructedQuantity/Quantity/FaceAmount](#)  
– **Market Practice Rule:**  
  
Used when the security is Debt.

## 6.8.3 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 92](#)

#### Usage Guideline details

- This element([seev.040.001.13/CorporateActionInstruction/InstructedQuantity/Quantity/AmortisedValue](#)) is removed.
- on [seev.040.001.13/CorporateActionInstruction/InstructedQuantity/Quantity/AmortisedValue](#)  
Type changed to: [RestrictedFINImpliedCurrencyAndAmount on page 92](#)

## 6.8.4 DigitalTokenUnit

*XML Tag:* DgtlTknUnit

*Presence:* [1..1]

*Definition:* Quantity of digital tokens expressed as a number, for example, a number of blockchain tokens.







*Datatype:* ["Max30DecimalNumber" on page 87](#)




#### Usage Guideline details

- This element([seev.040.001.13/CorporateActionInstruction/InstructedQuantity/Quantity/DigitalTokenUnit](#)) is removed.

## 6.9 GenericIdentification30\_\_1

*Definition:* Information related to an identification, for example, party identification or account identification.

 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]		28
	Issuer	<Issr>		[1..1]		28
	SchemeName	<SchmeNm>		[0..1]		29

#### Used in element(s)

"Proprietary" on page 37, "Proprietary" on page 16, "Proprietary" on page 24, "Type" on page 31

## 6.9.1 Identification

*XML Tag:* Id

*Presence:* [1..1]

*Definition:* Proprietary information, often a code, issued by the data source scheme issuer.

*Datatype:* "Exact4AlphaNumericText" on page 85

#### Usage Guideline details

- on **seev.040.001.13/CorporateActionInstruction/OptionType/Proprietary/Identification**
  - **Market Practice Usage Rule:**

Use for VOTE events only. See Data Dictionary for list of code values.

## 6.9.2 Issuer

*XML Tag:* Issr

*Presence:* [1..1]

*Definition:* Entity that assigns the identification.

*Datatype:* "Max4AlphaNumericText" on page 88

#### Usage Guideline details

- on **seev.040.001.13/AccountDetails/SafekeepingPlace/Proprietary/Type/Issuer**  
Type changed to: Max4AlphaNumericText on page 88
- on **seev.040.001.13/CorporateActionGeneralInformation/EventType/Proprietary/Issuer**  
Type changed to: Max4AlphaNumericText on page 88
- on **seev.040.001.13/CorporateActionInstruction/OptionType/Proprietary/Issuer**

Type changed to: [Max4AlphaNumericText on page 88](#)

- on [seev.040.001.13/InstructionIdentification/LinkageType/Proprietary/Issuer](#)

Type changed to: [Max4AlphaNumericText on page 88](#)

- on [seev.040.001.13/CorporateActionInstruction/OptionType/Proprietary/Issuer](#)

– **Market Practice Usage Rule:**

Use for VOTE events only. Populated with "DTCC".

## 6.9.3 SchemeName

*XML Tag:* SchmeNm

*Presence:* [0..1]

*Definition:* Short textual description of the scheme.

*Datatype:* ["Max4AlphaNumericText" on page 88](#)

### Usage Guideline details

- on [seev.040.001.13/AccountDetails/SafekeepingPlace/Proprietary/Type/SchemeName](#)

Type changed to: [Max4AlphaNumericText on page 88](#)

- on [seev.040.001.13/CorporateActionGeneralInformation/EventType/Proprietary/SchemeName](#)

Type changed to: [Max4AlphaNumericText on page 88](#)

- on [seev.040.001.13/CorporateActionInstruction/OptionType/Proprietary/SchemeName](#)

Type changed to: [Max4AlphaNumericText on page 88](#)

- on [seev.040.001.13/InstructionIdentification/LinkageType/Proprietary/SchemeName](#)

Type changed to: [Max4AlphaNumericText on page 88](#)

- on [seev.040.001.13/CorporateActionInstruction/OptionType/Proprietary/SchemeName](#)

– **Market Practice Usage Rule:**


Use for VOTE events only. Populated with "VOTE".

## 6.10 GenericIdentification36\_\_1

*Definition:* Identification using a proprietary scheme.

❌ 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]	<span style="color: orange;">⚠</span>	30
	Issuer	<Issr>		[1..1]	<span style="color: orange;">⚠</span>	30

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	SchemeName	<SchmeNm>		[0..1]		30

**Used in element(s)**

"ProprietaryIdentification" on page 36

## 6.10.1 Identification

*XML Tag:* Id

*Presence:* [1..1]

*Definition:* Proprietary information, often a code, issued by the data source scheme issuer.

*Datatype:* "RestrictedFINXMax34Text" on page 94

**Usage Guideline details**

- on [seev.040.001.13/AccountDetails/AccountOwner/ProprietaryIdentification/Identification](#)  
Type changed to: [RestrictedFINXMax34Text on page 94](#)

## 6.10.2 Issuer

*XML Tag:* Issr

*Presence:* [1..1]

*Definition:* Entity that assigns the identification.

*Datatype:* "Max4AlphaNumericText" on page 88

**Usage Guideline details**

- on [seev.040.001.13/AccountDetails/AccountOwner/ProprietaryIdentification/Issuer](#)  
Type changed to: [Max4AlphaNumericText on page 88](#)

## 6.10.3 SchemeName

*XML Tag:* SchmeNm

*Presence:* [0..1]

*Definition:* Short textual description of the scheme.







*Datatype:* "Max4AlphaNumericText" on page 88


**Usage Guideline details**

- on [seev.040.001.13/AccountDetails/AccountOwner/ProprietaryIdentification/SchemeName](#)  
Type changed to: [Max4AlphaNumericText on page 88](#)

## 6.11 GenericIdentification78\_\_1

*Definition:* Identification expressed as a proprietary type and narrative description.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Type	<Tp>		[1..1]		31
	Identification	<Id>		[0..1]		31

**Used in element(s)**

"Proprietary" on page 42







### 6.11.1 Type



*XML Tag:* Tp

*Presence:* [1..1]

*Definition:* Proprietary information, often a code, issued by the data source scheme issuer.

The **Tp** block contains the following elements (see datatype "GenericIdentification30\_\_1" on page 27 for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Identification	<Id>		[1..1]		28
	Issuer	<Issr>		[1..1]		28
	SchemeName	<SchmeNm>		[0..1]		29

### 6.11.2 Identification

*XML Tag:* Id

*Presence:* [0..1]

*Definition:* Name or number assigned by an entity to enable recognition of that entity, for example, account identifier.

*Datatype:* "RestrictedFINXMax30Text" on page 93

**Usage Guideline details**

- on seev.040.001.13/AccountDetails/SafekeepingPlace/Proprietary/Identification  
Type changed to: RestrictedFINXMax30Text on page 93

## 6.12 IdentificationSource3Choice\_\_1

*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]	<span style="color: orange;">⚠</span>	32
	Proprietary	<Prtry>	Or}	[1..1]	<span style="color: orange;">⚠</span>	32

**Used in element(s)**

"Type" on page 35

### 6.12.1 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 85

**Usage Guideline details**

- on seev.040.001.13/CorporateActionGeneralInformation/FinancialInstrumentIdentification/OtherIdentification/Type/Code

**Comment:**

Must be CUSP or UKWN

### 6.12.2 Proprietary

*XML Tag:* Prtry

*Presence:* [1..1]

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

*Datatype:* "RestrictedFINExact2Text" on page 92

**Usage Guideline details**

- on seev.040.001.13/CorporateActionGeneralInformation/FinancialInstrumentIdentification/OtherIdentification/Type/Proprietary

**Type changed to:** RestrictedFINExact2Text on page 92

- on seev.040.001.13/CorporateActionGeneralInformation/FinancialInstrumentIdentification/OtherIdentification/Type/Proprietary

– **Market Practice Implementation Rule:**

Populated with "XX" to identify contra CUSIP.



- on [seev.040.001.13/CorporateActionGeneralInformation/FinancialInstrumentIdentification/OtherIdentification/Type/Proprietary](#)

Single value: XX

## 6.13 OptionNumber1Choice

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

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]		33
	Code	<Cd>	Or}	[1..1]		33

Used in element(s)

["OptionNumber" on page 22](#)

### 6.13.1 Number

*XML Tag:* Nb

*Presence:* [1..1]

*Definition:* Number identifying the available corporate action options.

*Datatype:* ["Exact3NumericText" on page 85](#)

### 6.13.2 Code

*XML Tag:* Cd

*Presence:* [1..1]

*Definition:* Code identifying special corporate action option numbers.

*Datatype:* ["OptionNumber1Code" on page 88](#)



Usage Guideline details

- This element([seev.040.001.13/CorporateActionInstruction/OptionNumber/Code](#)) is removed.

## 6.14 OriginalAndCurrentQuantities1\_\_1

*Definition:* Original and current value of an asset-back instrument.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	FaceAmount	<FaceAmt>		[1..1]		34
	AmortisedValue	<AmtsdVal>		[1..1]		34

Used in element(s)

["OriginalAndCurrentFaceAmount" on page 39](#)

## 6.14.1 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 92](#)

### Usage Guideline details

- on [seev.040.001.13/CorporateActionInstruction/InstructedQuantity/OriginalAndCurrent-FaceAmount/FaceAmount](#)

Type changed to: [RestrictedFINImpliedCurrencyAndAmount on page 92](#)

## 6.14.2 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 92](#)







### Usage Guideline details



- on [seev.040.001.13/CorporateActionInstruction/InstructedQuantity/OriginalAndCurrent-FaceAmount/AmortisedValue](#)

Type changed to: [RestrictedFINImpliedCurrencyAndAmount on page 92](#)

## 6.15 OtherIdentification1\_\_1

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]		35
	Suffix	<Sfx>		[0..1]		35
	Type	<Tp>		[1..1]		35

**Used in element(s)**

"OtherIdentification" on page 45

## 6.15.1 Identification

*XML Tag:* Id

*Presence:* [1..1]

*Definition:* Identification of a security.

*Datatype:* "RestrictedFINXMax31Text" on page 94

**Usage Guideline details**

- on seev.040.001.13/CorporateActionGeneralInformation/FinancialInstrumentIdentification/OtherIdentification/Identification  
Type changed to: [RestrictedFINXMax31Text on page 94](#)
- on seev.040.001.13/CorporateActionGeneralInformation/FinancialInstrumentIdentification/OtherIdentification/Identification  
Synonym (DTCC): Contra CUSIP

## 6.15.2 Suffix

*XML Tag:* Sfx

*Presence:* [0..1]

*Definition:* Identifies the suffix of the security identification.

*Datatype:* "Max16Text" on page 87

**Usage Guideline details**

- This element(seev.040.001.13/CorporateActionGeneralInformation/FinancialInstrumentIdentification/OtherIdentification/Suffix) is removed.

## 6.15.3 Type

*XML Tag:* Tp

*Presence:* [1..1]

*Definition:* Type of the identification.

The **Tp** block contains the following elements (see datatype "[IdentificationSource3Choice\\_\\_1](#)" on page 32 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
	Code	<Cd>	{Or	[1..1]	⚠	32
	Proprietary	<Prtry>	Or}	[1..1]	⚠	32

## 6.16 PartyIdentification127Choice\_\_1

*Definition:* Choice of identification of a party.

🚫 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
	AnyBIC	<AnyBIC>	{Or	[1..1]		36
	ProprietaryIdentification	<PrtryId>	Or}	[1..1]		36

**Used in element(s)**

"AccountOwner" on page 15

### 6.16.1 AnyBIC

*XML Tag:* AnyBIC

*Presence:* [1..1]

*Definition:* Code allocated to a financial or non-financial institution by the ISO 9362 Registration Authority, as described in ISO 9362 "Banking - Banking telecommunication messages - Business identifier code (BIC)".

*Datatype:* "[AnyBICDec2014Identifier](#)" on page 48

### 6.16.2 ProprietaryIdentification

*XML Tag:* PrtryId

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

The **PrtryId** block contains the following elements (see datatype "[GenericIdentification36\\_\\_1](#)" on page 29 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]	⚠	30
	Issuer	<Issr>		[1..1]	⚠	30
	SchemeName	<SchmeNm>		[0..1]	⚠	30

## 6.17 ProcessingPosition7Choice\_\_1

*Definition:* Choice of format for the processing position.

🚫 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]		37
	Proprietary	<Prtry>	Or}	[1..1]		37

### Rules

#### R3 WithLinkageRule

If Code WITH is used, then the one or more instruction which are linked become bound and which must be executed together. Even if one single transactions/instructions/notifications can not be executed, then all the other transactions/instructions/notifications must also be kept pending. Therefore the use of code WITH must be limited to combine up to 2 or 3 transactions/instructions/notifications.

Error handling: Undefined

### Used in element(s)

["LinkageType" on page 25](#)

### 6.17.1 Code

*XML Tag:* Cd

*Presence:* [1..1]

*Definition:* Processing position expressed as an ISO 20022 code.

*Datatype:* ["ProcessingPosition3Code" on page 89](#)







### 6.17.2 Proprietary



*XML Tag:* Prtry

*Presence:* [1..1]

*Definition:* Processing position expressed as a proprietary code.







The **Prtry** block contains the following elements (see datatype ["GenericIdentification30\\_\\_1" on page 27](#) for details)



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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Identification	<Id>		[1..1]		28
	Issuer	<Issr>		[1..1]		28
	SchemeName	<SchmeNm>		[0..1]		29

## 6.18 ProtectInstruction3\_\_1

*Definition:* Provides detailed information on protect and cover protect 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
	TransactionType	<TxTp>		[1..1]		38
	TransactionIdentification	<TxId>		[0..1]	 	38
	ProtectDate	<PrctDt>		[0..1]		39

Used in element(s)

"ProtectInstruction" on page 11

### 6.18.1 TransactionType

*XML Tag:* TxTp

*Presence:* [1..1]

*Definition:* Indicates whether the instruction is a protect or a cover protect instruction.

*Datatype:* "ProtectTransactionType3Code" on page 90

### 6.18.2 TransactionIdentification

*XML Tag:* TxId

*Presence:* [0..1]

*Definition:* Unique reference of the protect transaction assigned by the depository and used for cover protect validation.

*Datatype:* "RestrictedFINMax15Text" on page 92

Usage Guideline details

- This element(seev.040.001.13/ProtectInstruction/TransactionIdentification) is removed.
- on seev.040.001.13/ProtectInstruction/TransactionIdentification

Type changed to: [RestrictedFINMax15Text on page 92](#)

## 6.18.3 ProtectDate

XML Tag: PrtctDt

Presence: [0..1]

Definition: Date at which the protect instruction was created and used for cover protect validation.

Datatype: ["ISODate" on page 86](#)

## 6.19 Quantity52Choice\_\_1

Definition: Choice between different formats of securities quantity.

🚫 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]	🚫	39
	OriginalAndCurrentFaceAmount	<OrgnlAndCurFaceAmt>	Or	[1..1]	🚫	39
	Quantity	<Qty>	Or}	[1..1]	⚠	40

Used in element(s)

["InstructedQuantity" on page 23](#)

### 6.19.1 Code

XML Tag: Cd

Presence: [1..1]

Definition: Standard code to specify quantity of a financial instrument.

Datatype: ["Quantity1Code" on page 90](#)

Usage Guideline details

- This element([seev.040.001.13/CorporateActionInstruction/InstructedQuantity/Code](#)) is removed.

### 6.19.2 OriginalAndCurrentFaceAmount



XML Tag: OrgnlAndCurFaceAmt

Presence: [1..1]

Definition: Face amount and amortised value of security.

The **OrgnlAndCurFaceAmt** block contains the following elements (see datatype ["OriginalAndCurrentQuantities1\\_\\_1" on page 33](#) 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
	FaceAmount	<FaceAmt>		[1..1]		34
	AmortisedValue	<AmtsdVal>		[1..1]		34

#### Usage Guideline details

- This element(seev.040.001.13/CorporateActionInstruction/InstructedQuantity/OriginalAndCurrentFaceAmount) is removed.







## 6.19.3 Quantity






*XML Tag:* Qty

*Presence:* [1..1]

*Definition:* Quantity of financial instrument in units, original face amount or current face amount.

The **Qty** block contains the following elements (see datatype "FinancialInstrumentQuantity33Choice\_\_1" on page 26 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]		26
	FaceAmount	<FaceAmt>	Or	[1..1]		26
	AmortisedValue	<AmtsdVal>	Or	[1..1]	 	27
	DigitalTokenUnit	<DgtlTknUnit>	Or}	[1..1]		27

#### Usage Guideline details







- on seev.040.001.13/CorporateActionInstruction/InstructedQuantity/Quantity

**Comment:**

Must withdraw full instructed amount. No partial withdrawals allowed.

## 6.20 SafekeepingPlaceFormat42Choice\_\_1

*Definition:* Choice of formats for a place of safekeeping.

 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>	{Or	[1..1]		41
	Country	<Ctry>	Or	[1..1]		41
	DigitalLedgerIdentification	<DgtlLdgrId>	Or	[1..1]		41
	TypeAndIdentification	<TpAndId>	Or	[1..1]		41
	Proprietary	<Prtry>	Or}	[1..1]		42

**Used in element(s)**

"SafekeepingPlace" on page 15

## 6.20.1 Identification

XML Tag: Id

Presence: [1..1]

Definition: Place of safekeeping expressed as a code and a narrative description.

The **Id** block contains the following elements (see datatype "SafekeepingPlaceTypeAndText6\_1" on page 43 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
	SafekeepingPlaceType	<SfkpgPlcTp>		[1..1]		43
	Identification	<Id>		[0..1]	<span style="color: orange;">⚠</span>	43

## 6.20.2 Country

XML Tag: Ctry

Presence: [1..1]

Definition: Place of safekeeping expressed with a country code.

Datatype: "CountryCode" on page 84

## 6.20.3 DigitalLedgerIdentification

XML Tag: DgtlLdgrId

Presence: [1..1]

Definition: Place of safekeeping expressed with a Digital Ledger Identifier. It identifies a digital ledger or distributed ledger system (for example, blockchain or similar platforms).

Datatype: "DTI2024Identifier" on page 84

## 6.20.4 TypeAndIdentification

XML Tag: TpAndId

*Presence:* [1..1]

*Definition:* Place of safekeeping expressed with a type and identification.

The **TpAndId** block contains the following elements (see datatype "[SafekeepingPlaceTypeAndIdentification1](#)" on page 42 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
	SafekeepingPlaceType	<SfkpgPlcTp>		[1..1]		42
	Identification	<Id>		[1..1]		43

## 6.20.5 Proprietary

*XML Tag:* Prtry

*Presence:* [1..1]

*Definition:* Place of safekeeping expressed with a propriety identification scheme.

The **Prtry** block contains the following elements (see datatype "[GenericIdentification78 1](#)" on page 31 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
	Type	<Tp>		[1..1]		31
	Identification	<Id>		[0..1]	⚠	31

## 6.21 SafekeepingPlaceTypeAndIdentification1

*Definition:* Identification of the type of place of safekeeping expressed as a code and a BIC.

🚫 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
	SafekeepingPlaceType	<SfkpgPlcTp>		[1..1]		42
	Identification	<Id>		[1..1]		43

**Used in element(s)**

"[TypeAndIdentification](#)" on page 41

### 6.21.1 SafekeepingPlaceType

*XML Tag:* SfkpgPlcTp

*Presence:* [1..1]

*Definition:* Place of safekeeping as a code.

*Datatype:* ["SafekeepingPlace1Code" on page 95](#)

## 6.21.2 Identification

*XML Tag:* Id







*Presence:* [1..1]


*Definition:* Place of safekeeping.

*Datatype:* ["AnyBICDec2014Identifier" on page 48](#)

## 6.22 SafekeepingPlaceTypeAndText6\_\_1

*Definition:* Identification of the place of safekeeping expressed as a code and a narrative description.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	SafekeepingPlaceType	<SfkpgPlcTp>		[1..1]		43
	Identification	<Id>		[0..1]		43

**Used in element(s)**

["Identification" on page 41](#)

### 6.22.1 SafekeepingPlaceType

*XML Tag:* SfkpgPlcTp

*Presence:* [1..1]

*Definition:* Place of safekeeping as a code.

*Datatype:* ["SafekeepingPlace2Code" on page 96](#)

### 6.22.2 Identification

*XML Tag:* Id

*Presence:* [0..1]

*Definition:* Additional information about the place of safekeeping.







*Datatype:* ["RestrictedFINXMax30Text" on page 93](#)





**Usage Guideline details**

- on [seev.040.001.13/AccountDetails/SafekeepingPlace/Identification/Identification](#)  
 Type changed to: [RestrictedFINXMax30Text on page 93](#)

## 6.23 SecurityIdentification19\_\_1

*Definition:* Identification of a 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
	ISIN	<ISIN>		[0..1]		45
	OtherIdentification	<OthrId>		[0..*]	 R[0..1]	45
	Description	<Desc>		[0..1]	 	46

### Rules

#### R7 DescriptionPresenceRule ✓

If Description is not present then either ISIN or at least one occurrence of OtherIdentification must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00192
- *Error Text:* At least one identification must be present.

#### R8 OtherIdentificationPresenceRule ✓

If OtherIdentification is not present then either ISIN or Description must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00193
- *Error Text:* At least one identification must be present.

#### R9 ISINPresenceRule ✓

If ISIN is not present then either Description or at least one occurrence of OtherIdentification must be present.

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00194
- *Error Text:* At least one identification must be present.

#### R10 DescriptionUsageRule

Description must be used alone as the last resort.

Error handling: Undefined

#### R11 ISINGuideline

When an ISIN code exists, it is strongly recommended that the ISIN be used.

Error handling: Undefined

#### Used in element(s)

"FinancialInstrumentIdentification" on page 19

## 6.23.1 ISIN

XML Tag: ISIN

Presence: [0..1]

**Definition:** International Securities Identification Number (ISIN). A numbering system designed by the United Nation's International Organisation for Standardisation (ISO). The ISIN is composed of a 2-character prefix representing the country of issue, followed by the national security number (if one exists), and a check digit. Each country has a national numbering agency that assigns ISIN numbers for securities in that country.

Datatype: "ISINOct2015Identifier" on page 86

#### Usage Guideline details

- This element(seev.040.001.13/CorporateActionGeneralInformation/FinancialInstrumentIdentification/ISIN) is removed.







## 6.23.2 OtherIdentification



XML Tag: OthrId

Presence: [0..\*]

**Definition:** Identification of a security by proprietary or domestic identification scheme.

The **OthrId** block contains the following elements (see datatype "OtherIdentification1\_\_1" on page 34 for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Identification	<Id>		[1..1]		35
	Suffix	<Sfx>		[0..1]		35
	Type	<Tp>		[1..1]		35

#### Usage Guideline details

- on seev.040.001.13/CorporateActionGeneralInformation/FinancialInstrumentIdentification/OtherIdentification

*This element has change repeatability, the maximum occurrence has been changed to : 1*

- on seev.040.001.13/CorporateActionGeneralInformation/FinancialInstrumentIdentification/OtherIdentification

**Comment:**

Must Use Contra CUSIP of the option instructed

## 6.23.3 Description

*XML Tag:* Desc

*Presence:* [0..1]

*Definition:* Textual description of a security instrument.

*Datatype:* "RestrictedFINXMax140Text" on page 92

### Usage Guideline details

- This element(seev.040.001.13/CorporateActionGeneralInformation/FinancialInstrumentIdentification/Description) is removed.
- on seev.040.001.13/CorporateActionGeneralInformation/FinancialInstrumentIdentification/Description  
Type changed to: RestrictedFINXMax140Text on page 92

## 6.24 SupplementaryData1\_\_1

*Definition:* Additional information that can not be captured in the structured fields and/or any other specific block.

🚫 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]		46
	Envelope	<Envlp>		[1..1]	⚠	47

### Rules

#### R21 SupplementaryDataRule

This component may not be used without the explicit approval of a SEG and submission to the RA of ISO 20022 compliant structure(s) to be used in the Envelope element.

Error handling: Undefined

### Used in element(s)

"SupplementaryData" on page 12

## 6.24.1 PlaceAndName

*XML Tag:* PlcAndNm

*Presence:* [0..1]

*Definition:* Unambiguous reference to the location where the supplementary data must be inserted in the message instance.

In the case of XML, this is expressed by a valid XPath.

*Datatype:* "Max350Text" on page 88

## 6.24.2 Envelope

*XML Tag:* Envlp

*Presence:* [1..1]

*Definition:* Technical element wrapping the supplementary data.

### Usage Guideline details

- on **seev.040.001.13/SupplementaryData/Envelope**

Type changed to: page\_\_\_\_\_

## 7 Message Datatypes

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

### 7.1 AnyBICDec2014Identifier

*Definition:* Code allocated to a financial or non-financial institution by the ISO 9362 Registration Authority, as described in ISO 9362: 2014 - "Banking - Banking telecommunication messages - Business identifier code (BIC)".

*Type:* IdentifierSet

#### Format

pattern [A-Z0-9]{4,4}[A-Z]{2,2}[A-Z0-9]{2,2}([A-Z0-9]{3,3}){0,1}

#### Rules

##### R16 AnyBIC ✓

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consists of eight (8) or eleven (11) contiguous characters.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00008
- *Error Text:* Invalid BIC.

#### Used in element(s)

"AnyBIC" on page 36, "Identification" on page 43

### 7.2 CorporateActionEventType40Code

*Definition:* Specifies the corporate action event type.

*Type:* CodeSet

Code	Name	Definition
ACCU	Accumulation	Funds related event in which the income (for example accumulation units) that accrues during an accounting period is retained within the fund instead of being paid away to investors. The retained income is nonetheless deemed to have been distributed to investors for tax purposes.
ACTV	ActiveTradingStatus	Trading in the security has commenced or security has been re-activated after a suspension in trading.



Code	Name	Definition
		<p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/ActiveTradingStatus) is removed.</li> </ul>
ATTI	Attachment	<p>Combination of different security types to create a unit. Units are usually comprised of warrants and bonds or warrants and equities. Securities may be combined at the request of the security holder or based on market convention.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/Attachment) is removed.</li> </ul>
BIDS	RepurchaseOffer	<p>Repurchase offer / issuer bid / reverse rights. Offer to existing holders by the issuing company to repurchase its own securities. The objective of the offer is to reduce the number of outstanding securities.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/RepurchaseOffer</li> </ul> <p><b>Comment:</b> Identifies a tender offer event in which the holder can choose the price at which they are willing to tender their securities. This price may or may not be accepted by the offeror.</p>
BONU	BonusIssue	<p>Bonus or capitalisation issue. Security holders receive additional assets free of payment from the issuer, in proportion to their holding.</p>

Code	Name	Definition
		<p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/BonusIssue) is removed.</li> </ul>
BPUT	PutRedemption	Early redemption of a security at the election of the holder subject to the terms and condition of the issue with no reduction in nominal value.
BRUP	Bankruptcy	Legal status of a company unable to pay creditors. Bankruptcy usually involves a formal court ruling. Securities may become valueless.
CAPD	CapitalDistribution	<p>Corporate event pays shareholders an amount in cash issued from the capital account. There is no reduction to the face value of a single share (or the share has no par value). The number of circulating shares remains unchanged.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/CapitalDistribution) is removed.</li> </ul>
CAPG	CapitalGainsDistribution	<p>Event is the distribution of profits resulting from the sale of securities. Shareholders of mutual funds, unit trusts, or SICAVs are recipients of capital gains distributions and are often reinvested in additional shares of the fund.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/CapitalGainsDistribution) is removed.</li> </ul>
CAPI	Capitalisation	Increase of the current principal of a debt instrument without increasing the nominal value. It normally arises from the incorporation of due but unpaid interest into the principal. This is commonly done by increasing the pool factor value, for example, capitalisation, and negative amortisation.

Code	Name	Definition
		<p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/Capitalisation) is removed.</li> </ul>
CERT	NonUSTEFRADCertification	<p>Non-US beneficial owner certification requirement for exchange of temporary to permanent notes.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/NonUSTEFRADCertification) is removed.</li> </ul>
CHAN	Change	<p>Information regarding a change further described in the corporate action details.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/Change) is removed.</li> </ul>
CLSA	ClassActionProposedSettlement	<p>Situation where interested parties seek restitution for financial loss. The security holder may be offered the opportunity to join a class action proceeding and would need to respond with an instruction.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/ClassActionProposedSettlement) is removed.</li> </ul>
CONS	Consent	<p>Procedure that aims to obtain consent of holder to a proposal by the issuer or a third party without convening a meeting. For example, consent to change the terms of a bond.</p>

Code	Name	Definition
		<p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/Consent</li> </ul> <p><b>Comment:</b> Solicitation to security holders for their agreement (consent) to proposed changes in the terms of the security, usually without a formal general meeting. A fee may be paid to the security holder.</p>
CONV	Conversion	<p>Conversion of securities (generally convertible bonds or preferred shares) into another form of securities (usually common shares) at a pre-stated price/ratio.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/Conversion</li> </ul> <p><b>Comment:</b> Conversion of securities (generally convertible bonds or preferred shares) into another form of securities (usually common shares) at a pre-stated price or rate.</p>
COOP	CompanyOption	<p>Company option may be granted by the company, allowing the holder to take up shares at some future date(s) at a pre arranged price in the company. A company may not grant options which enable the holder to take up unissued shares at a time which is five or more years from the date of the grant. Option holders are not members of a company. They are contingent creditors of a company and hence may, in some instances, be entitled to vote on and be bound by a scheme of arrangement between the creditors and the company. As many options have multiple exercise periods a company option will either lapse or carry on to the next expiry date.</p>

Code	Name	Definition
		<p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/CompanyOption) is removed.</li> </ul>
CREV	CreditEvent	<p>Occurrence of credit derivative for which the issuer of one or several underlying securities is unable to fulfill its financial obligations (as defined in terms and conditions).</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/CreditEvent) is removed.</li> </ul>
DECR	DecreaseInValue	<p>Reduction of face value of a single share or the value of fund assets. The number of circulating shares/units remains unchanged. This event may include a cash payout to holders.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/DecreaseInValue) is removed.</li> </ul>
DETI	Detachment	<p>Separation of components that comprise a security, for example, usually units comprised of warrants and bond or warrants and equity. Units may be broken up at the request of the security holder or based on market convention.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/Detachment) is removed.</li> </ul>

Code	Name	Definition
DFLT	BondDefault	<p>Failure by the company to perform obligations defined as default events under the bond agreement and that have not been remedied.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/BondDefault) is removed.</li> </ul>
DLST	TradingStatusDelisted	<p>Security is no longer able to comply with the listing requirements of a stock exchange and is removed from official board quotation.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/TradingStatusDelisted) is removed.</li> </ul>
DRAW	Drawing	<p>Securities are redeemed in part before the scheduled final maturity date. It is done without any pool factor reduction. The redemption is reflected in a debit of the face amount (FAMT). Drawing is distinct from partial call since drawn bonds are chosen by lottery. Therefore, not every holder is affected in the same way.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/Drawing) is removed.</li> </ul>
DRCA	CashDistributionFromNonEligibleSecurities-Sales	<p>Distribution to shareholders of cash resulting from the selling of non-eligible securities, for example, in the frame of a depositary receipt program.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInforma-</li> </ul>

Code	Name	Definition
		tion/EventType/Code/CashDistributionFromNonEligibleSecuritiesSales) is removed.
DRIP	DividendReinvestment	<p>Dividend payment where holders can keep cash or have the cash reinvested in the market by the issuer into additional shares in the issuing company. To be distinguished from DVOP as the company invests the dividend in the market rather than creating new share capital in exchange for the dividend.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/DividendReinvestment) is removed.</li> </ul>
DACL	Disclosure	<p>Requirement for holders or beneficial owners to disclose their name, location and holdings of any issue to the issuer.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/Disclosure) is removed.</li> </ul>
DTCH	DutchAuction	<p>Action by a party wishing to acquire a security. Holders of the security are invited to make an offer to sell, within a specific price range. The acquiring party will buy from the holder with lowest offer.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/DutchAuction</li> </ul> <p><b>Comment:</b> Identifies a tender event in which the corporation offers to purchase up to a certain amount of securities within a price range. Holders must submit a specific price within that range that they would be willing to accept. The actual</p>

Code	Name	Definition
		tender price is not determined until the end of the offer.
DVCA	CashDividend	<p>Distribution of cash to holders, in proportion to their equity holding. Ordinary dividends are recurring and regular. Holder must take cash and may be offered a choice of currencies.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/CashDividend) is removed.</li> </ul>
DVOP	DividendOption	<p>Distribution of a dividend to holders with a choice of benefit to receive additional securities or cash. To be distinguished from DRIP as the company creates new share capital in exchange for the dividend rather than investing the dividend in the market.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/DividendOption) is removed.</li> </ul>
DVSC	ScripDividend	<p>Dividend or interest paid in the form of scrip.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/ScripDividend) is removed.</li> </ul>
DVSE	StockDividend	<p>Dividend paid to shareholders in the form of equities of the issuing corporation.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInforma-</li> </ul>



Code	Name	Definition
		tion/EventType/Code/StockDividend) is removed.
EXOF	Exchange	Exchange of holdings for other securities and/or cash. The exchange can be either mandatory or voluntary involving the exchange of outstanding securities for different securities and/or cash. For example "exchange offer", "capital reorganisation" or "funds separation".
EXRI	CallOnIntermediateSecurities	Call or exercise on nil paid securities or intermediate securities resulting from an intermediate securities distribution (RHDI). This code is used for the second event, when an intermediate securities' issue (rights/coupons) is composed of two events, the first event being the distribution of intermediate securities.
EXTM	MaturityExtension	<p>As stipulated in the security's Terms and Conditions, the issuer or the holder may prolong the maturity date of a security. After extension, the security details may differ from the original issue. An issuer initiated extension may be subject to holder's approval.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/MaturityExtension) is removed.</li> </ul>
EXWA	WarrantExercise	<p>Option offered to holders to buy (call warrant) or to sell (put warrant) a specific amount of stock, cash, or commodity, at a predetermined price, during a predetermined period of time (which usually corresponds to the life of the issue).</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/WarrantExercise</li> </ul> <p><b>Comment:</b>  A feature of a security that permits the holder to exercise an option to exchange the security into another form (usually, warrants into shares).  The exercise will commonly re-</p>

Code	Name	Definition
		quire a payment based upon a pre-determined value and time.
INCR	IncreaseInValue	<p>Increase in the face value of a single security. The number of circulating securities remains unchanged.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/IncreaseInValue) is removed.</li> </ul>
INTR	InterestPayment	<p>Interest payment distributed to holders of an interest bearing asset.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/InterestPayment) is removed.</li> </ul>
LIQU	LiquidationDividend	<p>Distribution of cash, assets or both. Debt may be paid in order of priority based on preferred claims to assets specified by the security.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/LiquidationDividend) is removed.</li> </ul>
MCAL	FullCall	<p>Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, before final maturity.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInforma-</li> </ul>

Code	Name	Definition
		tion/EventType/Code/FullCall) is removed.
MRGR	Merger	<p>Exchange of outstanding securities, initiated by the issuer which may include options, as the result of two or more companies combining assets, that is, an external, third party company. Cash payments may accompany share exchange.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/Merger</li> </ul> <p><b>Comment:</b> The exchange of one company's security for another company's security, cash, or a combination of cash and securities.</p>
NOOF	NonOfficialOffer	Offers that are not supervised or regulated by an official entity and being offered by a party, for example a broker, usually at a discount price, for example broker offer, mini-tender, mini odd lot offer or third party offer.
ODLT	OddLotSalePurchase	Sale or purchase of odd-lots to/from the issuing company, initiated either by the holder of the security or through an offer made by the issuer.
OTHR	OtherEvent	<p>Other event, use only when no other event type applies, for example, a new event type.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/OtherEvent</li> </ul> <p><b>Synonym (DTCC):</b> Distribution</p>
PARI	PariPassu	Occurs when securities with different characteristics, for example, shares with different entitlements to dividend or voting rights, become identical in all respects, for example, pari-passu or assimilation. May be scheduled in advance, for example, shares resulting from a bonus may become fungible after a pre-set period of time, or may result from outside events, for example, merg-

Code	Name	Definition
		<p>er, reorganisation, issue of supplementary tranches.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/PariPassu) is removed.</li> </ul>
PCAL	PartialRedemptionWithoutPoolFactorReduction	<p>Securities are redeemed in part before their scheduled final maturity date. It is done without any pool factor reduction. The redemption is reflected in a debit of the face amount (FAMT).</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/PartialRedemptionWithoutPoolFactorReduction) is removed.</li> </ul>
PDEF	Prefunding	<p>Also called partial defeasance. Issuer has money set aside to redeem a portion of an issue and the indenture states that the securities could be called earlier than the stated maturity.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/Prefunding) is removed.</li> </ul>
PINK	PayInKind	<p>Interest payment, in any kind except cash, distributed to holders of an interest bearing asset.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/PayInKind) is removed.</li> </ul>

Code	Name	Definition
PLAC	PlaceOfIncorporation	<p>Changes in the state of incorporation for US companies and changes in the place of incorporation for foreign companies. Where shares need to be registered following the incorporation change, the holder(s) may have to elect the registrar.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/PlaceOfIncorporation) is removed.</li> </ul>
PPMT	InstalmentCall	<p>Instalment towards the purchase of equity capital, subject to an agreement between an issuer and a purchaser.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/InstalmentCall) is removed.</li> </ul>
PRED	PartialRedemptionWithPoolFactorReduction	<p>Securities are redeemed in part before their scheduled final maturity date. The redemption is reflected in a pool factor reduction. No movement of securities occurs.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/PartialRedemptionWithPoolFactorReduction) is removed.</li> </ul>
PRI0	PriorityIssue	<p>Form of open or public offer where, due to a limited amount of securities available, priority is given to existing shareholders.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInforma-</li> </ul>

Code	Name	Definition
		tion/EventType/Code/Priority/Issue) is removed.
REDM	FinalMaturity	<p>Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, at final maturity.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/FinalMaturity</li> </ul> <p><b>Synonym (Redemption of Rights):</b> DTCC</p>
REDO	Redenomination	<p>Event by which the unit (currency and/or nominal) of a security is restated, for example, nominal/par value of security in a national currency is restated in another currency.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/Redenomination) is removed.</li> </ul>
REMK	RemarketingAgreement	<p>Purchase and sale of remarketed preferred equities/bonds through the negotiation of interest rate between the issuers and the holders.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/RemarketingAgreement) is removed.</li> </ul>
RHDI	IntermediateSecuritiesDistribution	<p>Distribution of intermediate securities that gives the holder the right to take part in a future event.</p>

Code	Name	Definition
		<p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/IntermediateSecuritiesDistribution) is removed.</li> </ul>
RHTS	RightsIssue	<p>Offer to holders of a security to subscribe for additional securities via the distribution of an intermediate security. Both processes are included in the same event.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/RightsIssue) is removed.</li> </ul>
SHPR	SharesPremiumDividend	<p>Corporate event pays shareholders an amount in cash issued from the shares premium reserve. It is similar to a dividend but with different tax implications.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/SharesPremiumDividend) is removed.</li> </ul>
SMAL	SmallestNegotiableUnit	<p>Modification of the smallest negotiable unit of shares in order to obtain a new negotiable unit.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/SmallestNegotiableUnit) is removed.</li> </ul>
SOFF	SpinOff	<p>Distribution of securities issued by another company. The distributed securities may either be of a newly created or of an existing company. For example,</p>

Code	Name	Definition
		<p>spin-off, demerger, unbundling, divestment.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/SpinOff) is removed.</li> </ul>
SPLF	StockSplit	<p>Increase in a corporation's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are reduced accordingly.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/StockSplit) is removed.</li> </ul>
SPLR	ReverseStockSplit	<p>Decrease in a company's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are increased accordingly.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/ReverseStockSplit) is removed.</li> </ul>
SUSP	TradingStatusSuspended	<p>Trading in the security has been suspended.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/TradingStatusSuspended) is removed.</li> </ul>



Code	Name	Definition
TEND	Tender	<p>Offer made to holders by a third party, requesting them to sell (tender) or exchange their securities.</p> <hr/> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• on seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/Tender</li> </ul> <p><b>Comment:</b> An offer made to security holders, normally by a third party, requesting them to sell (tender) their securities for a specified price (usually at a premium over prevailing market prices). Generally, the objective of a tender offer is to take control of the target company.</p>
TREC	TaxReclaim	<p>Event related to tax reclaim activities.</p> <hr/> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/TaxReclaim) is removed.</li> </ul>
WRTH	Worthless	<p>Booking out of valueless securities.</p> <hr/> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/Worthless) is removed.</li> </ul>

Code	Name	Definition
WTRC	WithholdingTaxReliefCertification	<p>Certification process for withholding tax reduction or exemption based on the tax status of the holder.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionGeneralInformation/EventType/Code/Withholding-TaxReliefCertification) is removed.</li> </ul>

**Used in element(s)**

"Code" on page 16

**Restricts**

"CorporateActionEventTypeV7Code" on page 66

## 7.3 CorporateActionEventTypeV7Code

*Definition:* Specifies the corporate action event type.

*Type:* CodeSet

Code	Name	Definition
ACCU	Accumulation	Funds related event in which the income (for example accumulation units) that accrues during an accounting period is retained within the fund instead of being paid away to investors. The retained income is nonetheless deemed to have been distributed to investors for tax purposes.
ACTV	ActiveTradingStatus	Trading in the security has commenced or security has been re-activated after a suspension in trading.
ATTI	Attachment	Combination of different security types to create a unit. Units are usually comprised of warrants and bonds or warrants and equities. Securities may be combined at the request of the security holder or based on market convention.
BIDS	RepurchaseOffer	Repurchase offer / issuer bid / reverse rights. Offer to existing holders by the issuing company to repurchase its own securities. The objective of the offer is to reduce the number of outstanding securities.
BONU	BonusIssue	Bonus or capitalisation issue. Security holders receive additional assets free of payment from the issuer, in proportion to their holding.

Code	Name	Definition
BPUT	PutRedemption	Early redemption of a security at the election of the holder subject to the terms and condition of the issue with no reduction in nominal value.
BRUP	Bankruptcy	Legal status of a company unable to pay creditors. Bankruptcy usually involves a formal court ruling. Securities may become valueless.
CAPD	CapitalDistribution	Corporate event pays shareholders an amount in cash issued from the capital account. There is no reduction to the face value of a single share (or the share has no par value). The number of circulating shares remains unchanged.
CAPG	CapitalGainsDistribution	Event is the distribution of profits resulting from the sale of securities. Shareholders of mutual funds, unit trusts, or SICAVs are recipients of capital gains distributions and are often reinvested in additional shares of the fund.
CAPI	Capitalisation	Increase of the current principal of a debt instrument without increasing the nominal value. It normally arises from the incorporation of due but unpaid interest into the principal. This is commonly done by increasing the pool factor value, for example, capitalisation, and negative amortisation.
CERT	NonUSTEFRADCertification	Non-US beneficial owner certification requirement for exchange of temporary to permanent notes.
CHAN	Change	Information regarding a change further described in the corporate action details.
CLSA	ClassActionProposedSettlement	Situation where interested parties seek restitution for financial loss. The security holder may be offered the opportunity to join a class action proceeding and would need to respond with an instruction.
CMET	CourtMeeting	Announcement of a meeting at a Court.
CONS	Consent	Procedure that aims to obtain consent of holder to a proposal by the issuer or a third party without convening a meeting. For example, consent to change the terms of a bond.
CONV	Conversion	Conversion of securities (generally convertible bonds or preferred shares) into another form of securities (usually common shares) at a pre-stated price/ratio.
COOP	CompanyOption	Company option may be granted by the company, allowing the holder to take up shares at some future date(s) at a pre arranged price in the company. A company may not grant options which enable the holder to take up unissued shares at a time which is five or more

Code	Name	Definition
		years from the date of the grant. Option holders are not members of a company. They are contingent creditors of a company and hence may, in some instances, be entitled to vote on and be bound by a scheme of arrangement between the creditors and the company. As many options have multiple exercise periods a company option will either lapse or carry on to the next expiry date.
CPST	CouponStripping	Coupon stripping is the process whereby interest coupons for future payment dates are separated from the security corpus that entitles the holder to the principal repayment.
CREV	CreditEvent	Occurrence of credit derivative for which the issuer of one or several underlying securities is unable to fulfill its financial obligations (as defined in terms and conditions).
DECR	DecreaseInValue	Reduction of face value of a single share or the value of fund assets. The number of circulating shares/units remains unchanged. This event may include a cash payout to holders.
DETI	Detachment	Separation of components that comprise a security, for example, usually units comprised of warrants and bond or warrants and equity. Units may be broken up at the request of the security holder or based on market convention.
DFLT	BondDefault	Failure by the company to perform obligations defined as default events under the bond agreement and that have not been remedied.
DLST	TradingStatusDelisted	Security is no longer able to comply with the listing requirements of a stock exchange and is removed from official board quotation.
DRAW	Drawing	Securities are redeemed in part before the scheduled final maturity date. It is done without any pool factor reduction. The redemption is reflected in a debit of the face amount (FAMT). Drawing is distinct from partial call since drawn bonds are chosen by lottery. Therefore, not every holder is affected in the same way.
DRCA	CashDistributionFromNonEligibleSecurities-Sales	Distribution to shareholders of cash resulting from the selling of non-eligible securities, for example, in the frame of a depositary receipt program.
DRIP	DividendReinvestment	Dividend payment where holders can keep cash or have the cash reinvested in the market by the issuer into additional shares in the issuing company. To be distinguished from DVOP as the com-

Code	Name	Definition
		pany invests the dividend in the market rather than creating new share capital in exchange for the dividend.
DSCL	Disclosure	Requirement for holders or beneficial owners to disclose their name, location and holdings of any issue to the issuer.
DTCH	DutchAuction	Action by a party wishing to acquire a security. Holders of the security are invited to make an offer to sell, within a specific price range. The acquiring party will buy from the holder with lowest offer.
DVCA	CashDividend	Distribution of cash to holders, in proportion to their equity holding. Ordinary dividends are recurring and regular. Holder must take cash and may be offered a choice of currencies.
DVOP	DividendOption	Distribution of a dividend to holders with a choice of benefit to receive additional securities or cash. To be distinguished from DRIP as the company creates new share capital in exchange for the dividend rather than investing the dividend in the market.
DVSC	ScripDividend	Dividend or interest paid in the form of scrip.
DVSE	StockDividend	Dividend paid to shareholders in the form of equities of the issuing corporation.
ERED	EarlyRedemption	<p>This includes drawing, partial and full call, put.</p> <p>Redemption in part or full before the scheduled final maturity date of a security, subject to the terms and conditions of the issue.</p> <p>Drawing - Securities are redeemed in part by lottery.</p> <p>Partial Call - Securities are redeemed in part by reducing proportionally the outstanding amount of securities.</p> <p>Put - Early redemption of a bond at the election of the bondholder.</p> <p>Full Call - The entire outstanding of a security is redeemed by the issuer.</p>
EXOF	Exchange	Exchange of holdings for other securities and/or cash. The exchange can be either mandatory or voluntary involving the exchange of outstanding securities for different securities and/or cash. For example "exchange offer", "capital reorganisation" or "funds separation".
EXOP	ExchangeOption	Event is an option for the shareholders to exchange their securities for other se-

Code	Name	Definition
		curities and/or cash. Exchange options are mentioned in the terms and conditions of a security and are valid during the whole lifetime of a security.
EXRI	CallOnIntermediateSecurities	Call or exercise on nil paid securities or intermediate securities resulting from an intermediate securities distribution (RHDI). This code is used for the second event, when an intermediate securities' issue (rights/coupons) is composed of two events, the first event being the distribution of intermediate securities.
EXTM	MaturityExtension	As stipulated in the security's Terms and Conditions, the issuer or the holder may prolong the maturity date of a security. After extension, the security details may differ from the original issue. An issuer initiated extension may be subject to holder's approval.
EXWA	WarrantExercise	Option offered to holders to buy (call warrant) or to sell (put warrant) a specific amount of stock, cash, or commodity, at a predetermined price, during a predetermined period of time (which usually corresponds to the life of the issue).
INCR	IncreaseInValue	Increase in the face value of a single security. The number of circulating securities remains unchanged.
INFO	Information	Information provided by the issuer having no accounting/financial impact on the holder.
INTR	InterestPayment	Interest payment distributed to holders of an interest bearing asset.
LIQU	LiquidationDividend	Distribution of cash, assets or both. Debt may be paid in order of priority based on preferred claims to assets specified by the security.
MCAL	FullCall	Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, before final maturity.
MEET	AnnualGeneralMeeting	Meeting Annual general meeting.
MRGR	Merger	Exchange of outstanding securities, initiated by the issuer which may include options, as the result of two or more companies combining assets, that is, an external, third party company. Cash payments may accompany share exchange.
MTNG	SecuritiesHoldersMeeting	Ordinary or annual or extraordinary or special general meeting.
NAME	NameChange	Event is a name change. The issuing company changes its name. The event shows the change from old name to new name and may involve surrendering

Code	Name	Definition
		physical shares with the old name to the registrar.
NOOF	NonOfficialOffer	Offers that are not supervised or regulated by an official entity and being offered by a party, for example a broker, usually at a discount price, for example broker offer, mini-tender, mini odd lot offer or third party offer.
ODLT	OddLotSalePurchase	Sale or purchase of odd-lots to/from the issuing company, initiated either by the holder of the security or through an offer made by the issuer.
OMET	OrdinaryGeneralMeeting	Ordinary general meeting.
OTHR	OtherEvent	Other event, use only when no other event type applies, for example, a new event type.
PARI	PariPassu	Occurs when securities with different characteristics, for example, shares with different entitlements to dividend or voting rights, become identical in all respects, for example, pari-passu or assimilation. May be scheduled in advance, for example, shares resulting from a bonus may become fungible after a pre-set period of time, or may result from outside events, for example, merger, reorganisation, issue of supplementary tranches.
PCAL	PartialRedemptionWithoutPoolFactorReduction	Securities are redeemed in part before their scheduled final maturity date. It is done without any pool factor reduction. The redemption is reflected in a debit of the face amount (FAMT).
PDEF	Prefunding	Also called partial defeasance. Issuer has money set aside to redeem a portion of an issue and the indenture states that the securities could be called earlier than the stated maturity.
PINK	PayInKind	Interest payment, in any kind except cash, distributed to holders of an interest bearing asset.
PLAC	PlaceOfIncorporation	Changes in the state of incorporation for US companies and changes in the place of incorporation for foreign companies. Where shares need to be registered following the incorporation change, the holder(s) may have to elect the registrar.
PPMT	InstalmentCall	Instalment towards the purchase of equity capital, subject to an agreement between an issuer and a purchaser.
PRED	PartialRedemptionWithPoolFactorReduction	Securities are redeemed in part before their scheduled final maturity date. The redemption is reflected in a pool factor

Code	Name	Definition
		reduction. No movement of securities occurs.
PRII	InterestPaymentWithPrincipal	Event which consists of two components, the decrease of the amortized value of a pool factor security and an interest payment.
PRI0	PriorityIssue	Form of open or public offer where, due to a limited amount of securities available, priority is given to existing shareholders.
RCLA	Reclassification	Securities related event which reclassifies the distribution in various types of income for US tax withholding purposes.
REDM	FinalMaturity	Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, at final maturity.
REDO	Redenomination	Event by which the unit (currency and/or nominal) of a security is restated, for example, nominal/par value of security in a national currency is restated in another currency.
REMK	RemarketingAgreement	Purchase and sale of remarketed preferred equities/bonds through the negotiation of interest rate between the issuers and the holders.
RHDI	IntermediateSecuritiesDistribution	Distribution of intermediate securities that gives the holder the right to take part in a future event.
RHTS	RightsIssue	Offer to holders of a security to subscribe for additional securities via the distribution of an intermediate security. Both processes are included in the same event.
RMRK	Remarketing	Purchase and sale of remarketed preferred equities/bonds through the negotiation of interest rate between the issuers and the holders.
SHPR	SharesPremiumDividend	Corporate event pays shareholders an amount in cash issued from the shares premium reserve. It is similar to a dividend but with different tax implications.
SMAL	SmallestNegotiableUnit	Modification of the smallest negotiable unit of shares in order to obtain a new negotiable unit.
SOFF	SpinOff	Distribution of securities issued by another company. The distributed securities may either be of a newly created or of an existing company. For example, spin-off, demerger, unbundling, divestment.
SPLF	StockSplit	Increase in a corporation's number of outstanding equities without any change



Code	Name	Definition
		in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are reduced accordingly.
SPLR	ReverseStockSplit	Decrease in a company's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are increased accordingly.
SUBS	Subscription	Ability for security holders to purchase (additional or new) securities at a certain price, in proportion to their holding.
SUSP	TradingStatusSuspended	Trading in the security has been suspended.
TEND	Tender	Offer made to holders by a third party, requesting them to sell (tender) or exchange their securities.
TNDP	TaxOnNonDistributedProceeds	Taxable component on non-distributed proceeds, for example, Australian deemed income or US 871m income regulation.
TREC	TaxReclaim	Event related to tax reclaim activities.
WRTH	Worthless	Booking out of valueless securities.
WTRC	WithholdingTaxReliefCertification	Certification process for withholding tax reduction or exemption based on the tax status of the holder.
XMET	ExtraordinaryGeneralMeeting	Extraordinary or Special General Meeting. Extraordinary or special general meeting.

Is restricted by

"CorporateActionEventType40Code" on page 48

## 7.4 CorporateActionOption16Code

*Definition:* Specifies the type of corporate action options.

*Type:* CodeSet

Code	Name	Definition
ABST	Abstain	Vote expressed as abstain. In this case, the issuing company will add the number of shares to the quorum of the meeting.  If the voting right is not executed, it will not be added to the quorum. In this case, code NOAC should be used.
BOBD	BeneficialOwnerBreakdownRequest	Breakdown of beneficial ownership required for withholding tax reclaim event.

Code	Name	Definition
		<p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionInstruction/Option-Type/Code/BeneficialOwnerBreak-downRequest) is removed.</li> </ul>
BSPL	BonusSharePlan	<p>Receive equities from the share premium reserve of the company and considered as a capital distribution rather than a disbursement of income with different tax implications (typically found in Australia).</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionInstruction/Option-Type/Code/BonusSharePlan) is removed.</li> </ul>
BUYA	BuyUp	<p>Buy additional securities to round up position.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionInstruction/Option-Type/Code/BuyUp) is removed.</li> </ul>
CASE	CashAndSecurity	<p>Option to choose between different security and cash options.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/CashAndSecurity</li> </ul> <p><b>Synonym (DTCC):</b> Cash And Securities</p> <ul style="list-style-type: none"> <li>• on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/CashAndSecurity</li> </ul> <p><b>Comment:</b></p>

Code	Name	Definition
		Holder to receive a combination of cash and securities.
CASH	Cash	<p>Option to choose cash.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/Cash Synonym (DTCC): Foreign Tax Exempt</li> <li>• on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/Cash Synonym (DTCC): Foreign Currency Payment Favourable</li> <li>• on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/Cash Synonym (DTCC): Foreign Currency Payment</li> <li>• on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/Cash Synonym (DTCC): Foreign Currency Payment Exempt</li> <li>• on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/Cash Synonym (DTCC): Cash</li> <li>• on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/Cash Synonym (DTCC): Foreign Tax Unfavourable</li> <li>• on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/Cash Synonym (DTCC): Foreign Currency Payment Unfavourable</li> <li>• on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/Cash</li> </ul>

Code	Name	Definition
		<p><b>Comment:</b></p> <p>Cash: holder to receive cash.</p> <p>Foreign Tax Un-favourable/Favourable/Exempt: DTC only option. The event and security are eligible for Foreign Tax Relief service at DTC. Option to select Un-favourable/Favourable/Exempt respectively for this service.</p> <p>Foreign Currency Payment: DTC only option. The event and security are eligible for Foreign Currency Payment service at DTC. Participant will receive their distribution in the foreign currency instructed.</p> <p>Foreign Currency Payment Un-favourable/Favourable/Exempt: The event and security are eligible for Foreign Currency Payment service at DTC. Participant will receive their distribution in the foreign currency and the tax withholding on that distribution will be subject to Un-favourable/Favourable/Exempt tax withholding respectively.</p>
CERT	Certification	<p>Certification is provided.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionInstruction/Option-Type/Code/Certification) is removed.</li> </ul>
CEXC	ConsentAndExchange	<p>Vote to consent to change the terms of the securities agreement and to exchange securities.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/ConsentAndExchange</li> </ul> <p><b>Synonym (DTCC):</b> Consent And Exchange</p> <ul style="list-style-type: none"> <li>• on seev.040.001.13/CorporateActionInstruction/Option-</li> </ul>

Code	Name	Definition
		<b>Type/Code/ConsentAndExchange</b>  <b>Comment:</b> Holder to submit securities for exchange in addition to voting to approve the proposal.
CONN	ConsentDenied	Vote not to approve the event or proposal.  <b>Usage Guideline restrictions for this code</b> <ul style="list-style-type: none"> <li>on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/ConsentDenied</li> </ul> <b>Comment:</b> Holder elects to approve the proposal.
CONY	ConsentGranted	Vote to approve the event or proposal.  <b>Usage Guideline restrictions for this code</b> <ul style="list-style-type: none"> <li>on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/ConsentGranted</li> </ul> <b>Comment:</b> Holder elects to approve the proposal.
CTEN	ConsentAndTender	Vote to consent to change the terms of the securities agreement and to tender securities for cash.  <b>Usage Guideline restrictions for this code</b> <ul style="list-style-type: none"> <li>on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/ConsentAndTender</li> </ul> <b>Synonym (DTCC):</b> Consent And Tender <ul style="list-style-type: none"> <li>on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/ConsentAndTender</li> </ul> <b>Comment:</b>

Code	Name	Definition
		Holder to submit securities for tender in addition to voting to approve the proposal.
EXER	Exercise	<p>Exercise intermediate securities or warrants.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/Exercise</li> </ul> <p><b>Comment:</b> Holder elects to exercise the intermediate security or warrant.</p>
LAPS	Lapse	<p>Allow event or entitled security to expire.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>This code(seev.040.001.13/CorporateActionInstruction/Option-Type/Code/Lapse) is removed.</li> </ul>
MKDW	MarkDown	<p>Mark down the global certificate as a result of a corporate action (instruction from International Central Securities Depositories (ICSDs) to common depositories who are holding the global certificate on behalf of the International Central Securities Depositories (ICSDs)).</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>This code(seev.040.001.13/CorporateActionInstruction/Option-Type/Code/MarkDown) is removed.</li> </ul>
MKUP	MarkUp	<p>Mark up the global certificate as a result of a corporate action (instruction from International Central Securities Depositories (ICSDs) to common depositories who are holding the global certificate on behalf of the International Central Securities Depositories (ICSDs)).</p>

Code	Name	Definition
		<p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionInstruction/Option-Type/Code/MarkUp) is removed.</li> </ul>
MPUT	Retain	Option that allows a holder to elect to retain their holding, for example, a putable bond.
NOAC	NoAction	Option for the account owner not to take part in the event. This would include opt-out for class actions and lodging of dissenters' rights.
NOQU	NonQualifiedInvestor	<p>Account owner is a non-qualified investor.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionInstruction/Option-Type/Code/NonQualifiedInvestor) is removed.</li> </ul>
OFFR	ProposedRate	<p>In a remarketing of variable notes, the margin that shareholders can propose in respect of the next interest period.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionInstruction/Option-Type/Code/ProposedRate) is removed.</li> </ul>
OTHR	Other	<p>Generic corporate action option to be used in case that no other specific code is appropriate.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/Other <ul style="list-style-type: none"> <li>– Market Practice Implementation Rule:</li> </ul> </li> </ul>

Code	Name	Definition
		<p>Identifies option types that do not have ISO equivalent.</p> <ul style="list-style-type: none"> <li>• on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/Other</li> </ul> <p>Synonym (DTCC): OTHR</p>
OVER	Oversubscribe	Subscribe to more equities than underlying securities position allows.
PRUN	UnknownProceeds	<p>Proceeds not known during election period. The option can result in cash and/or securities.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/UnknownProceeds</li> </ul> <p>Synonym (DTCC): Convert</p> <ul style="list-style-type: none"> <li>• on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/UnknownProceeds</li> </ul> <p><b>Comment:</b> Holder elects to convert security into a new security, cash or combination of cash and securities, without knowledge of the actual outcome.</p>
QINV	QualifiedInvestor	<p>Account owner is a qualified investor.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionInstruction/Option-Type/Code/QualifiedInvestor) is removed.</li> </ul>
SECU	Security	<p>Distribution of securities to holders.</p> <p><b>Usage Guideline restrictions for this code</b></p> <ul style="list-style-type: none"> <li>• on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/Security</li> </ul> <p>Synonym (DTCC): DRIP</p>



Code	Name	Definition
		<ul style="list-style-type: none"> <li>• on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/Security Synonym (DTCC): DRIP Unfavorable</li> <li>• on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/Security Synonym (DTCC): DRIP Exempt</li> <li>• on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/Security Synonym (DTCC): DRIP Favorable</li> <li>• on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/Security Synonym (DTCC): Securities</li> <li>• on seev.040.001.13/CorporateActionInstruction/Option-Type/Code/Security Comment: Securities: holder to receive securities.  DRIP: holder to receive additional securities instead of the cash distribution. Option may be declared by the issuer or a service offered by DTC.  DRIP Unfavourable: DTC only option. The event or security are eligible for both Dividend Reinvestment and Foreign Tax Services at DTC. Participants will receive additional shares and the tax withholding on those shares will be at unfavourable rate.  DRIP Favourable: DTC only option. The event or security are eligible for both Dividend Reinvestment and Foreign Tax Services at DTC. Participants will receive additional shares and the tax withholding on those shares will be at Favourable rate.  DRIP Exempt: DTC only option. The event or security are eligible for both Dividend Reinvestment and Foreign Tax Services at DTC. Participants will receive additional shares and</li> </ul>

Code	Name	Definition
		the tax withholding on those shares will be at exempt rate.
SLLE	SellEntitlement	Sell the intermediate securities.
TAXI	TaxInstruction	Tax instruction.
		<b>Usage Guideline restrictions for this code</b> <ul style="list-style-type: none"> <li>• This code(seev.040.001.13/CorporateActionInstruction/Option-Type/Code/TaxInstruction) is removed.</li> </ul>

Used in element(s)

"Code" on page 24

Restricts

"CorporateActionOptionCode" on page 82

## 7.5 CorporateActionOptionCode

*Definition:* Specifies the type of corporate action options offered to the account holder for a corporate action.

*Type:* CodeSet

Code	Name	Definition
ABST	Abstain	Vote expressed as abstain. In this case, the issuing company will add the number of shares to the quorum of the meeting.  If the voting right is not executed, it will not be added to the quorum. In this case, code NOAC should be used.
AMGT	VoteAgainstManagement	Vote against management.
BOBD	BeneficialOwnerBreakdownRequest	Breakdown of beneficial ownership required for withholding tax reclaim event.
BSPL	BonusSharePlan	Receive equities from the share premium reserve of the company and considered as a capital distribution rather than a disbursement of income with different tax implications (typically found in Australia).
BUYA	BuyUp	Buy additional securities to round up position.
CASE	CashAndSecurity	Option to choose between different security and cash options.
CASH	Cash	Option to choose cash.

Code	Name	Definition
CERT	Certification	Certification is provided.
CEXC	ConsentAndExchange	Vote to consent to change the terms of the securities agreement and to exchange securities.
CONN	ConsentDenied	Vote not to approve the event or proposal.
CONY	ConsentGranted	Vote to approve the event or proposal.
CTEN	ConsentAndTender	Vote to consent to change the terms of the securities agreement and to tender securities for cash.
EXER	Exercise	Exercise intermediate securities or warrants.
LAPS	Lapse	Allow event or entitled security to expire.
MKDW	MarkDown	Mark down the global certificate as a result of a corporate action (instruction from International Central Securities Depositories (ICSDs) to common depositories who are holding the global certificate on behalf of the International Central Securities Depositories (ICSDs)).
MKUP	MarkUp	Mark up the global certificate as a result of a corporate action (instruction from International Central Securities Depositories (ICSDs) to common depositories who are holding the global certificate on behalf of the International Central Securities Depositories (ICSDs)).
MNGT	VoteWithManagement	Vote with management.
MPUT	Retain	Option that allows a holder to elect to retain their holding, for example, a putable bond.
NOAC	NoAction	Option for the account owner not to take part in the event. This would include opt-out for class actions and lodging of dissenters' rights.
NOQU	NonQualifiedInvestor	Account owner is a non-qualified investor.
OFFR	ProposedRate	In a remarketing of variable notes, the margin that shareholders can propose in respect of the next interest period.
OTHR	Other	Generic corporate action option to be used in case that no other specific code is appropriate.
OVER	Oversubscribe	Subscribe to more equities than underlying securities position allows.
PROX	ProxyCard	Issue a proxy card in case of voting.
PRUN	UnknownProceeds	Proceeds not known during election period. The option can result in cash and/or securities.

Code	Name	Definition
QINV	QualifiedInvestor	Account owner is a qualified investor.
SECU	Security	Distribution of securities to holders.
SLLE	SellEntitlement	Sell the intermediate securities.
SPLI	SplitInstruction	Option to give a split instruction, for example, a split voting instruction on a meeting.
TAXI	TaxInstruction	Tax instruction.

**Is restricted by**

"CorporateActionOption16Code" on page 73

## 7.6 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**

### R17 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 41

## 7.7 DTI2024Identifier

*Definition:* The Digital Token Identifier (DTI) is an 8 character code assigned to fungible digital assets which uses distributed ledger technology for its issuance, storage, exchange, record of ownership or transaction validation and is not a currency (ISO 4217) as described in ISO 24165 - DTI. A check character, using the same character set as the base number, shall be calculated and added.

*Type:* IdentifierSet

**Format**

pattern	[1-9B-DF-HJ-NP-TV-XZ][0-9B-DF-HJ-NP-TV-XZ]{8,8}
---------	-------------------------------------------------

**Used in element(s)**

"DigitalLedgerIdentification" on page 41

## 7.8 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 33

## 7.9 Exact4AlphaNumericText

*Definition:* Specifies an alphanumeric string with a length of 4 characters.

*Type:* Text

**Format**

pattern	[a-zA-Z0-9]{4}
---------	----------------

**Used in element(s)**

"Identification" on page 28

## 7.10 ExternalFinancialInstrument-IdentificationType1Code

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

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

External code sets can be downloaded from [www.iso20022.org](http://www.iso20022.org).

*Type:* CodeSet

**Format**

maxLength	4
minLength	1

**Used in element(s)**

["Code" on page 32](#)

**Restricts**

["ExternalFinancialInstrumentIdentificationTypeCode" on page 86](#)

## 7.11 ExternalFinancialInstrument-IdentificationTypeCode

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

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

External code sets can be downloaded from [www.iso20022.org](http://www.iso20022.org).

*Type:* CodeSet

**Format**

maxLength	4
minLength	1

**Is restricted by**

["ExternalFinancialInstrumentIdentificationType1Code" on page 85](#)

## 7.12 ISINOct2015Identifier

*Definition:* The International Securities Identification Number is a code allocated to financial instruments as well as referential instruments, as described in the ISO 6166 standard, associated with the minimum descriptive data. The ISIN consists of a prefix using the alpha-2 country codes or reserved codes specified in ISO 3166 or other prefixes as may be determined by the Registration Authority for the ISO 6166 standard, a nine characters (alphanumeric) basic code and a check digit.

Note: this identifier also supports the new version of the standard, which was published in 2021 (ISO 6166:2021) as there is no update in the pattern.

*Type:* IdentifierSet

**Format**

pattern	[A-Z]{2,2}[A-Z0-9]{9,9}[0-9]{1,1}
---------	-----------------------------------

**Used in element(s)**

["ISIN" on page 45](#)

## 7.13 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)**

"ProtectDate" on page 39

## 7.14 Max140Text

*Definition:* Specifies a character string with a maximum length of 140 characters.

*Type:* Text

**Format**

maxLength	140
minLength	1

**Used in element(s)**

"BlockchainAddressOrWallet" on page 14

## 7.15 Max16Text

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

*Type:* Text

**Format**

maxLength	16
minLength	1

**Used in element(s)**

"Identification" on page 25, "Suffix" on page 35

## 7.16 Max30DecimalNumber

*Definition:* Number of objects represented as a decimal number, for example 0.75 or 45.6 with a maximum of 30 digits and 29 fraction digits.

*Type:* Quantity

**Format**

fractionDigits	29
totalDigits	30

**Used in element(s)**

"DigitalTokenUnit" on page 27

## 7.17 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 46](#)

## 7.18 Max4AlphaNumericText

*Definition:* Specifies an alphanumeric string with a maximum length of 4 characters.

*Type:* Text

### Format

maxLength	4
minLength	1
pattern	[a-zA-Z0-9]{1,4}

### Used in element(s)

["Issuer" on page 28](#), ["Issuer" on page 30](#), ["SchemeName" on page 29](#), ["SchemeName" on page 30](#)

## 7.19 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 33](#)

### Restricts

["OptionNumberCode" on page 88](#)

## 7.20 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 88

## 7.21 ProcessingPosition3Code

*Definition:* Specifies the processing position.

Type: CodeSet

Code	Name	Definition
AFTE	After	Specifies that the transaction/instruction is to be executed after the linked transaction/instruction.
BEFO	Before	Specifies that the transaction/instruction is to be executed before the linked transaction/instruction.
INFO	Information	Specifies that the transactions/instructions are linked for information purposes only.
WITH	With	Specifies that the transaction/instruction is to be executed with the linked transaction/instruction.

Used in element(s)

"Code" on page 37

Restricts

"ProcessingPositionCode" on page 89

## 7.22 ProcessingPositionCode

*Definition:* Specifies when an transaction/instruction is to be executed relative to a linked transaction/instruction.

Type: CodeSet

Code	Name	Definition
AFTE	After	Specifies that the transaction/instruction is to be executed after the linked transaction/instruction.
BEFO	Before	Specifies that the transaction/instruction is to be executed before the linked transaction/instruction.

Code	Name	Definition
INFO	Information	Specifies that the transactions/instructions are linked for information purposes only.
WITH	With	Specifies that the transaction/instruction is to be executed with the linked transaction/instruction.

**Is restricted by**

"ProcessingPosition3Code" on page 89

## 7.23 ProtectTransactionType3Code

*Definition:* Specifies the type of protect instruction.

*Type:* CodeSet

Code	Name	Definition
PROT	ProtectTransaction	Reorganisation is a protect transaction type.

**Used in element(s)**

"TransactionType" on page 38

**Restricts**

"ReorganisationTransactionTypeCode" on page 91

## 7.24 Quantity1Code

*Definition:* Specifies quantity of a financial instrument.

*Type:* CodeSet

Code	Name	Definition
QALL	AllSecurities	Instruction applies to the entire eligible balance of underlying securities.

**Used in element(s)**

"Code" on page 39

**Restricts**

"QuantityCode" on page 90

## 7.25 QuantityCode

*Definition:* Quantity is unknown by the sender or has not been established.

*Type:* CodeSet

Code	Name	Definition
ANYA	AnyAndAll	Instruction applies to the entire eligible balance of underlying securities.
OPEN	Open	Quantity has not been established.
QALL	AllSecurities	Instruction applies to the entire eligible balance of underlying securities.
UKWN	UnknownQuantity	Quantity is unknown by the sender or has not been established.

**Is restricted by**

"Quantity1Code" on page 90

## 7.26 ReorganisationTransactionTypeCode

*Definition:* Specifies the type of reorganisation transaction.

*Type:* CodeSet

Code	Name	Definition
COVA	CoverProtectDirectlyToAgentHeader-Transaction	Reorganisation is a cover protect directly to agent transaction type.
COVP	CoverOnBehalfOfAnotherParticipantTransaction	Reorganisation is a cover on behalf of another participant transaction type.
COVR	CoverProtectTransaction	Reorganisation is a cover protect transaction type.
PROP	ProtectOnBehalfOfAnotherParticipant-Transaction	Reorganisation is a protect on behalf of another participant transaction type.
PROT	ProtectTransaction	Reorganisation is a protect transaction type.
VOIT	VoluntaryOfferInstructionTransaction	Reorganisation is a voluntary offer instruction transaction type.

**Is restricted by**

"ProtectTransactionType3Code" on page 90

## 7.27 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 26

## 7.28 RestrictedFINExact2Text

*Definition:* Specifies a character string with an exact length of 2 characters that must have a pattern XX|TS.

*Type:* Text

### Format

length	2
pattern	XX TS

### Used in element(s)

"Proprietary" on page 32

## 7.29 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 34, "AmortisedValue" on page 27, "FaceAmount" on page 34, "FaceAmount" on page 26

## 7.30 RestrictedFINMax15Text

*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 38

## 7.31 RestrictedFINXMax140Text

*Definition:* Specifies a character string with a maximum length of 140 characters limited to character set X, that is, a-z A-Z / - ? : ( ) . , ' + .

*Type:* Text

#### Format

maxLength	140
minLength	1
pattern	[0-9a-zA-Z\-\?:\(\)\.\\n\r,'+ ]{1,140}

#### Used in element(s)

["Description" on page 46](#)

## 7.32 RestrictedFINXMax16Text

*Definition:* Specifies a character string with a maximum length of 16 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	16
minLength	1
pattern	(([0-9a-zA-Z\-\?:\(\)\.\\n\r,'+ ]([0-9a-zA-Z\-\?:\(\)\.\\n\r,'+ ]*([0-9a-zA-Z\-\?:\(\)\.\\n\r,'+ ])?)*

#### Used in element(s)

["CorporateActionEventIdentification" on page 18](#), ["OfficialCorporateActionEventIdentification" on page 18](#)

## 7.33 RestrictedFINXMax30Text

*Definition:* Specifies a character string with a maximum length of 30 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	30
minLength	1
pattern	(([0-9a-zA-Z\-\?:\(\)\.\\n\r,'+ ]([0-9a-zA-Z\-\?:\(\)\.\\n\r,'+ ]*([0-9a-zA-Z\-\?:\(\)\.\\n\r,'+ ])?)*

#### Used in element(s)

["Identification" on page 43](#), ["Identification" on page 31](#)

## 7.34 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 35

## 7.35 RestrictedFINXMax34Text

*Definition:* Specifies a character string with a maximum length of 34 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	34
minLength	1
pattern	(([0-9a-zA-Z/\-?:(\)\.,'+ ]([0-9a-zA-Z/\-?:(\)\.,'+ ]*([0-9a-zA-Z/\-?:(\)\.,'+ ])?*))?)

### Used in element(s)

"Identification" on page 30

## 7.36 RestrictedFINXMax350Text

*Definition:* Specifies a character string with a maximum length of 350 characters limited to character set X, that is, a-z A-Z / - ? : ( ) . , ' + .

*Type:* Text

### Format

maxLength	350
minLength	1
pattern	[0-9a-zA-Z/\-?:(\)\.,\n\r,'+ ]{1,350}

### Used in element(s)

"PartyContactNarrative" on page 21

## 7.37 RestrictedFINXMax35Text

*Definition:* Specifies a character string with a maximum length of 35 characters limited to character set X, that is, a-z A-Z / - ? : ( ) . , ' + .

*Type:* Text

### Format

maxLength	35
minLength	1
pattern	[0-9a-zA-Z/\-?:(\)\.,'+ ]{1,35}

### Used in element(s)

"SafekeepingAccount" on page 14

## 7.38 RestrictedFINXMax70Text

*Definition:* Specifies a character string with a maximum length of 70 characters limited to character set X, that is, a-z A-Z / - ? : ( ) . , ' + .

*Type:* Text

### Format

maxLength	70
minLength	1
pattern	[0-9a-zA-Z/\-?:(\)\.,\n\r,'+ ]{1,70}

### Used in element(s)

"AdditionalText" on page 20

## 7.39 SafekeepingPlace1Code

*Definition:* Specifies the type of place of safekeeping.

*Type:* CodeSet

Code	Name	Definition
CUST	SharesHeldAtLocalCustodian	Financial instruments held at a local custodian.
ICSD	SharesHeldAtICSD	Financial instruments held at an International Central Securities Depository.
NCSD	SharesHeldAtNCSD	Financial instruments held at a National Central Securities Depository.
SHHE	SharesHeldElsewhere	Used for certain financial instruments, for example, US mutual funds, where settlement is internal only, that is, there is no external movement of securities.

**Used in element(s)**

["SafekeepingPlaceType" on page 42](#)

**Restricts**

["SafekeepingPlaceCode" on page 96](#)

## 7.40 SafekeepingPlace2Code

*Definition:* Specifies the type of place of safekeeping.

*Type:* CodeSet

Code	Name	Definition
ALLP	AllPlaces	All places of safekeeping where the financial instrument is held.
SHHE	SharesHeldElsewhere	Used for certain financial instruments, for example, US mutual funds, where settlement is internal only, that is, there is no external movement of securities.

**Used in element(s)**

["SafekeepingPlaceType" on page 43](#)

**Restricts**

["SafekeepingPlaceCode" on page 96](#)

## 7.41 SafekeepingPlaceCode

*Definition:* Specifies the type of place of safekeeping.

*Type:* CodeSet

Code	Name	Definition
ALLP	AllPlaces	All places of safekeeping where the financial instrument is held.
CUST	SharesHeldAtLocalCustodian	Financial instruments held at a local custodian.
ICSD	SharesHeldAtICSD	Financial instruments held at an International Central Securities Depository.
NCSD	SharesHeldAtNCSD	Financial instruments held at a National Central Securities Depository.
SHHE	SharesHeldElsewhere	Used for certain financial instruments, for example, US mutual funds, where settlement is internal only, that is, there is no external movement of securities.

**Is restricted by**

["SafekeepingPlace1Code" on page 95](#), ["SafekeepingPlace2Code" on page 96](#)



## 7.42 YesNoIndicator

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

*Type:* Indicator

*Meaning When True:* Yes

*Meaning When False:* No

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