

ISO 20022

General Meeting - Maintenance 2023 - 2024

## Message Definition Report - Part 2

Approved by the Securities SEG on 31 January 2024

This document provides details of the Message Definitions for General Meeting - Maintenance 2023 - 2024.

March 2024

# Table of Contents

|          |   |     |
|----------|---|-----|
| <b>1</b> | <b>Message Set Overview</b>                                     | 4   |
| 1.1      | List of MessageDefinitions                                      | 4   |
| <b>2</b> | <b>head.001.001.02 BusinessApplicationHeaderV02</b>             | 6   |
| 2.1      | MessageDefinition Functionality                                 | 6   |
| 2.2      | Structure   | 9   |
| 2.3      | Constraints   | 10  |
| 2.4      | Message Building Blocks   | 11  |
| <b>3</b> | <b>seev.001.001.11 MeetingNotificationV11</b>                   | 22  |
| 3.1      | MessageDefinition Functionality                                 | 22  |
| 3.2      | Structure   | 24  |
| 3.3      | Constraints   | 28  |
| 3.4      | Message Building Blocks   | 31  |
| <b>4</b> | <b>seev.002.001.09 MeetingCancellationV09</b>                   | 77  |
| 4.1      | MessageDefinition Functionality                                 | 77  |
| 4.2      | Structure   | 78  |
| 4.3      | Constraints   | 79  |
| 4.4      | Message Building Blocks   | 80  |
| <b>5</b> | <b>seev.003.001.09 MeetingEntitlementNotificationV09</b>        | 94  |
| 5.1      | MessageDefinition Functionality                                 | 94  |
| 5.2      | Structure   | 96  |
| 5.3      | Constraints   | 97  |
| 5.4      | Message Building Blocks   | 98  |
| <b>6</b> | <b>seev.004.001.09 MeetingInstructionV09</b>                    | 118 |
| 6.1      | MessageDefinition Functionality                                 | 118 |
| 6.2      | Structure   | 120 |
| 6.3      | Constraints   | 122 |
| 6.4      | Message Building Blocks   | 124 |
| <b>7</b> | <b>seev.005.001.09 MeetingInstructionCancellationRequestV09</b> | 155 |
| 7.1      | MessageDefinition Functionality                                 | 155 |
| 7.2      | Structure   | 156 |
| 7.3      | Constraints   | 157 |
| 7.4      | Message Building Blocks   | 158 |
| <b>8</b> | <b>seev.006.001.10 MeetingInstructionStatusV10</b>              | 171 |
| 8.1      | MessageDefinition Functionality                                 | 171 |
| 8.2      | Structure   | 173 |
| 8.3      | Constraints   | 174 |
| 8.4      | Message Building Blocks   | 176 |

---

|           |  |     |
|-----------|--|-----|
| <b>9</b>  | <b>seev.007.001.10 MeetingVoteExecutionConfirmationV10</b> ..... | 194 |
| 9.1       | MessageDefinition Functionality .....                            | 194 |
| 9.2       | Structure .....  | 196 |
| 9.3       | Constraints .....  | 197 |
| 9.4       | Message Building Blocks .....                                    | 198 |
| <b>10</b> | <b>seev.008.001.09 MeetingResultDisseminationV09</b> .....       | 217 |
| 10.1      | MessageDefinition Functionality .....                            | 217 |
| 10.2      | Structure .....  | 219 |
| 10.3      | Constraints .....  | 221 |
| 10.4      | Message Building Blocks .....                                    | 222 |
| <b>11</b> | <b>Message Items Types</b> .....                                 | 243 |
| 11.1      | MessageComponents .....  | 243 |
| 11.2      | Message Datatypes .....  | 364 |

# 1 Message Set Overview

## Introduction

This document describes the General Meeting message set. It includes the new version of the MessageDefinitions that have been added as part of the maintenance cycle 2023-2024 (See MCR #1344) and approved by the Securities Standards Evaluation Group on 31 January 2024.

## 1.1 List of MessageDefinitions

The following table lists all MessageDefinitions described in this book.

| MessageDefinition                               | Definition   |
|---|--|
| head.001.001.02<br>BusinessApplicationHeaderV02 | <p>The Business Layer deals with Business Messages. The behaviour of the Business Messages is fully described by the Business Transaction and the structure of the Business Messages is fully described by the Message Definitions and related Message Rules, Rules and Market Practices. All of which are registered in the ISO 20022 Repository.</p> <p>A single new Business Message (with its accompanying business application header) is created - by the sending MessagingEndpoint - for each business event; that is each interaction in a Business Transaction. A Business Message adheres to the following principles:</p> <p>" A Business Message (and its business application header) must not contain information about the Message Transport System or the mechanics or mechanism of message sending, transportation, or receipt.</p> <p>" A Business Message must be comprehensible outside of the context of the Transport Message. That is the Business Message must not require knowledge of the Transport Message to be understood.</p> <p>" A Business Message may contain headers, footers, and envelopes that are meaningful for the business. When present, they are treated as any other message content, which means that they are considered part of the Message Definition of the Business Message and as such will be part of the ISO 20022 Repository.</p> <p>" A Business Message refers to Business Actors by their Name. Each instance of a Business Actor has one Name. The Business Actor must not be referred to in the Transport Layer.</p> <p>Specific usage of this BusinessMessageHeader may be defined by the relevant SEG.</p> |
| seev.001.001.11<br>MeetingNotificationV11       | <p>The MeetingNotification message is sent by a notifying party, for example, an issuer, its agent or an intermediary to another intermediary, a party holding the right to vote, a registered security holder or to a beneficial holder to announce a meeting.</p>  |
| seev.002.001.09<br>MeetingCancellationV09       | <p>The MeetingCancellation message is sent by the party that sent the MeetingNotification message to the</p>   |

| MessageDefinition   | Definition   |
|---|--|
|   | original receiver. It is sent to cancel a previously announced meeting or to advise the withdrawal of a meeting.   |
| seev.003.001.09<br>MeetingEntitlementNotificationV09        | The MeetingEntitlementNotification is sent by an account servicer to the account owner to advise the entitlement in relation to a meeting.   |
| seev.004.001.09<br>MeetingInstructionV09                    | The MeetingInstruction message is sent by a party holding the right to vote to an intermediary, the issuer or its agent to request the receiving party to act upon one or several instructions.  |
| seev.005.001.09<br>MeetingInstructionCancellationRequestV09 | The MeetingInstructionCancellationRequest message is sent by the same party that sent the MeetingInstruction message. It is sent to request the cancellation of one, some or all of the instructions included in the original MeetingInstruction message.  |
| seev.006.001.10<br>MeetingInstructionStatusV10              | The MeetingInstructionStatus message is sent by an intermediary to the sender of an instruction to confirm the status of such an instruction. The message gives the status of a complete message or of one or more specific instructions within the message.<br><br>The message may also be sent by the issuer or the intermediary to confirm that a vote has been cast. |
| seev.007.001.10<br>MeetingVoteExecutionConfirmationV10      | The MeetingVoteExecutionConfirmation message is sent by an issuer, its agent or an intermediary to another intermediary, a party holding the right to vote, a registered security holder or to a beneficial holder to confirm, to the Sender of the MeetingInstruction message, that their vote has been recorded and counted by the Issuer.                             |
| seev.008.001.09<br>MeetingResultDisseminationV09            | The MeetingResultDissemination message is sent by an issuer, its agent or an intermediary to another intermediary, a party holding the right to vote, a registered security holder or to a beneficial holder to provide information on the voting results of a shareholders meeting.   |

## 2 **head.001.001.02 BusinessApplicationHeaderV02**

### 2.1 **MessageDefinition Functionality**

The Business Layer deals with Business Messages. The behaviour of the Business Messages is fully described by the Business Transaction and the structure of the Business Messages is fully described by the Message Definitions and related Message Rules, Rules and Market Practices. All of which are registered in the ISO 20022 Repository.

A single new Business Message (with its accompanying business application header) is created - by the sending MessagingEndpoint - for each business event; that is each interaction in a Business Transaction. A Business Message adheres to the following principles:

" A Business Message (and its business application header) must not contain information about the Message Transport System or the mechanics or mechanism of message sending, transportation, or receipt.

" A Business Message must be comprehensible outside of the context of the Transport Message. That is the Business Message must not require knowledge of the Transport Message to be understood.

" A Business Message may contain headers, footers, and envelopes that are meaningful for the business. When present, they are treated as any other message content, which means that they are considered part of the Message Definition of the Business Message and as such will be part of the ISO 20022 Repository.

" A Business Message refers to Business Actors by their Name. Each instance of a Business Actor has one Name. The Business Actor must not be referred to in the Transport Layer.

Specific usage of this BusinessMessageHeader may be defined by the relevant SEG.

#### Outline

The BusinessApplicationHeaderV02 MessageDefinition is composed of 14 MessageBuildingBlocks:

#### A. CharSet

Contains the character set of the text-based elements used in the Business Message.

#### B. From

The sending MessagingEndpoint that has created this Business Message for the receiving MessagingEndpoint that will process this Business Message.

Note the sending MessagingEndpoint might be different from the sending address potentially contained in the transport header (as defined in the transport layer).

#### C. To

The MessagingEndpoint designated by the sending MessagingEndpoint to be the recipient who will ultimately process this Business Message.

Note the receiving MessagingEndpoint might be different from the receiving address potentially contained in the transport header (as defined in the transport layer).

D. BusinessMessageIdentifier

Unambiguously identifies the Business Message to the MessagingEndpoint that has created the Business Message.

E. MessageDefinitionIdentifier

Contains the MessageIdentifier that defines the BusinessMessage.

It must contain a MessageIdentifier published on the ISO 20022 website.

example camt.001.001.03.

F. BusinessService

Specifies the business service agreed between the two MessagingEndpoints under which rules this Business Message is exchanged.

To be used when there is a choice of processing services or processing service levels.

Example: E&I.

G. MarketPractice

Specifies the market practice to which the message conforms. The market practices are a set of rules agreed between parties that restricts the usage of the messages in order to achieve better STP (Straight Through Processing) rates.

A market practice specification may also extend the underlying message specification by using extensions or supplementary data of this underlying message.

H. CreationDate

Date and time when this Business Message (header) was created.

I. BusinessProcessingDate

Processing date and time indicated by the sender for the receiver of the business message. This date may be different from the date and time provided in the CreationDate.

Usage: Market practice or bilateral agreement should specify how this element should be used.

J. CopyDuplicate

Indicates whether the message is a Copy, a Duplicate or a copy of a duplicate of a previously sent ISO 20022 Message.

K. PossibleDuplicate

Flag indicating if the Business Message exchanged between the MessagingEndpoints is possibly a duplicate.

If the receiving MessagingEndpoint did not receive the original, then this Business Message should be processed as if it were the original.

If the receiving MessagingEndpoint did receive the original, then it should perform necessary actions to avoid processing this Business Message again.

This will guarantee business idempotent behaviour.

NOTE: this is named "PossResend" in FIX - this is an application level resend not a network level retransmission.

L. Priority

Relative indication of the processing precedence of the message over a (set of) Business Messages with assigned priorities.

M. Signature

Contains the digital signature of the Business Entity authorised to sign this Business Message.

N. Related

Specifies the Business Application Header(s) of the Business Message(s) to which this Business Message relates.

Can be used when replying to a query; can also be used when canceling or amending.

## 2.2 Structure

| Or  | MessageElement/BuildingBlock<XML Tag>            | Mult.  | Type              | Constr. No. | Page |
|-----|--|--------|-------------------|-------------|------|
|     | Message root <Document> <AppHdr>                 | [1..1] |                   | C5          |      |
|     | <b>CharacterSet</b> <CharSet>                    | [0..1] | CodeSet           | C6          | 11   |
|     | <b>From</b> <Fr>                                 | [1..1] |                   |             | 11   |
| {Or | <b>OrganisationIdentification</b> <OrgId>        | [1..1] | ±                 |             | 11   |
| Or} | <b>FinancialInstitutionIdentification</b> <FIId> | [1..1] | ±                 |             | 12   |
|     | <b>To</b> <To>                                   | [1..1] |                   |             | 12   |
| {Or | <b>OrganisationIdentification</b> <OrgId>        | [1..1] | ±                 |             | 12   |
| Or} | <b>FinancialInstitutionIdentification</b> <FIId> | [1..1] | ±                 |             | 12   |
|     | <b>BusinessMessageIdentifier</b> <BizMsgIdr>     | [1..1] | Text              |             | 13   |
|     | <b>MessageDefinitionIdentifier</b> <MsgDefIdr>   | [1..1] | Text              |             | 13   |
|     | <b>BusinessService</b> <BizSvc>                  | [0..1] | Text              |             | 13   |
|     | <b>MarketPractice</b> <MktPrctc>                 | [0..1] |                   |             | 13   |
|     | <b>Registry</b> <Regy>                           | [1..1] | Text              |             | 14   |
|     | <b>Identification</b> <Id>                       | [1..1] | Text              |             | 14   |
|     | <b>CreationDate</b> <CreDt>                      | [1..1] | DateTime          |             | 14   |
|     | <b>BusinessProcessingDate</b> <BizPrccDt>        | [0..1] | DateTime          |             | 14   |
|     | <b>CopyDuplicate</b> <CpyDplct>                  | [0..1] | CodeSet           |             | 14   |
|     | <b>PossibleDuplicate</b> <PssblDplct>            | [0..1] | Indicator         |             | 15   |
|     | <b>Priority</b> <Prty>                           | [0..1] | CodeSet           | C7          | 15   |
|     | <b>Signature</b> <Sgntr>                         | [0..1] | (External Schema) |             | 16   |
|     | <b>Related</b> <Rltd>                            | [0..*] |                   |             | 16   |
|     | <b>CharacterSet</b> <CharSet>                    | [0..1] | CodeSet           | C6          | 17   |
|     | <b>From</b> <Fr>                                 | [1..1] |                   |             | 17   |
| {Or | <b>OrganisationIdentification</b> <OrgId>        | [1..1] | ±                 |             | 17   |
| Or} | <b>FinancialInstitutionIdentification</b> <FIId> | [1..1] | ±                 |             | 17   |
|     | <b>To</b> <To>                                   | [1..1] |                   |             | 18   |
| {Or | <b>OrganisationIdentification</b> <OrgId>        | [1..1] | ±                 |             | 18   |
| Or} | <b>FinancialInstitutionIdentification</b> <FIId> | [1..1] | ±                 |             | 18   |
|     | <b>BusinessMessageIdentifier</b> <BizMsgIdr>     | [1..1] | Text              |             | 19   |
|     | <b>MessageDefinitionIdentifier</b> <MsgDefIdr>   | [1..1] | Text              |             | 19   |

| Or | MessageElement/BuildingBlock<XML Tag> | Mult.  | Type              | Constr. No. | Page |
|----|---------------------------------------|--------|-------------------|-------------|------|
|    | <b>BusinessService</b> <BizSvc>       | [0..1] | Text              |             | 19   |
|    | <b>CreationDate</b> <CreDt>           | [1..1] | DateTime          |             | 19   |
|    | <b>CopyDuplicate</b> <CpyDplct>       | [0..1] | CodeSet           |             | 19   |
|    | <b>PossibleDuplicate</b> <PssblDplct> | [0..1] | Indicator         |             | 20   |
|    | <b>Priority</b> <Prty>                | [0..1] | CodeSet           | C7          | 20   |
|    | <b>Signature</b> <Sgntr>              | [0..1] | (External Schema) |             | 21   |

## 2.3 Constraints

### C1 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.

### C2 BICFI

Valid BICs for financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consist of eight (8) or eleven (11) contiguous characters.

### C3 Country

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

### C4 OnlySignatureElement

The XML Signature namespace ("http://www.w3.org/2000/09/xmldsig#") allows for different XML elements to be root elements. This means the user has to choose amongst these global elements which one to use as the root element. Only the XML element Signature is allowed.

### C5 RelatedPresentWhenCopyDupl

Related MUST contain the relevant BusinessMessageHeader elements of the BusinessMessage to which this BusinessMessage relates.

If CopyDuplicate is present, then Related MUST be present.

```
On Condition
  /CopyDuplicate is present
Following Must be True
  /Related[1] Must be present
```

*This constraint is defined at the MessageDefinition level.*

### C6 ValidationByTable

### C7 ValidationByTable

## 2.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 2.4.1 CharacterSet <CharSet>

*Presence:* [0..1]

*Definition:* Contains the character set of the text-based elements used in the Business Message.

*Impacted by:* C6 "ValidationByTable"

*Datatype:* "UnicodeChartsCode" on page 383

#### Constraints

- **ValidationByTable**

### 2.4.2 From <Fr>

*Presence:* [1..1]

*Definition:* The sending MessagingEndpoint that has created this Business Message for the receiving MessagingEndpoint that will process this Business Message.

Note the sending MessagingEndpoint might be different from the sending address potentially contained in the transport header (as defined in the transport layer).

**From <Fr>** contains one of the following **Party44Choice** elements

| Or  | MessageElement<XML Tag>                          | Mult.  | Type | Constr. No. | Page |
|-----|--|--------|------|-------------|------|
| {Or | <b>OrganisationIdentification</b> <OrgId>        | [1..1] | ±    |             | 11   |
| Or} | <b>FinancialInstitutionIdentification</b> <FIId> | [1..1] | ±    |             | 12   |

#### 2.4.2.1 OrganisationIdentification <OrgId>

*Presence:* [1..1]

*Definition:* Identification of a person or an organisation.

**OrganisationIdentification <OrgId>** contains the following elements (see "PartyIdentification135" on page 293 for details)

| Or | MessageElement<XML Tag>        | Mult.  | Type    | Constr. No. | Page |
|----|--------------------------------|--------|---------|-------------|------|
|    | Name <Nm>                      | [0..1] | Text    |             | 293  |
|    | PostalAddress <PstlAdr>        | [0..1] | ±       |             | 293  |
|    | Identification <Id>            | [0..1] | ±       |             | 294  |
|    | CountryOfResidence <CtryOfRes> | [0..1] | CodeSet | C3          | 294  |
|    | ContactDetails <CtctDtls>      | [0..1] | ±       |             | 295  |

### 2.4.2.2 FinancialInstitutionIdentification <FIld>

*Presence:* [1..1]

*Definition:* Identification of a financial institution.

**FinancialInstitutionIdentification <FIld>** contains the following elements (see "[BranchAndFinancialInstitutionIdentification6](#)" on page 254 for details)

| Or | MessageElement<XML Tag>                         | Mult.  | Type | Constr. No. | Page |
|----|---|--------|------|-------------|------|
|    | FinancialInstitutionIdentification <FinInstnId> | [1..1] | ±    |             | 254  |
|    | BranchIdentification <BrnchId>                  | [0..1] | ±    |             | 255  |

### 2.4.3 To <To>

*Presence:* [1..1]

*Definition:* The MessagingEndpoint designated by the sending MessagingEndpoint to be the recipient who will ultimately process this Business Message.

Note the receiving MessagingEndpoint might be different from the receiving address potentially contained in the transport header (as defined in the transport layer).

**To <To>** contains one of the following **Party44Choice** elements

| Or  | MessageElement<XML Tag>                          | Mult.  | Type | Constr. No. | Page |
|-----|--|--------|------|-------------|------|
| {Or | <b>OrganisationIdentification</b> <OrgId>        | [1..1] | ±    |             | 12   |
| Or} | <b>FinancialInstitutionIdentification</b> <FIld> | [1..1] | ±    |             | 12   |

#### 2.4.3.1 OrganisationIdentification <OrgId>

*Presence:* [1..1]

*Definition:* Identification of a person or an organisation.

**OrganisationIdentification <OrgId>** contains the following elements (see "[PartyIdentification135](#)" on page 293 for details)

| Or | MessageElement<XML Tag>        | Mult.  | Type    | Constr. No. | Page |
|----|--------------------------------|--------|---------|-------------|------|
|    | Name <Nm>                      | [0..1] | Text    |             | 293  |
|    | PostalAddress <PstlAdr>        | [0..1] | ±       |             | 293  |
|    | Identification <Id>            | [0..1] | ±       |             | 294  |
|    | CountryOfResidence <CtryOfRes> | [0..1] | CodeSet | C3          | 294  |
|    | ContactDetails <CtctDtls>      | [0..1] | ±       |             | 295  |

#### 2.4.3.2 FinancialInstitutionIdentification <FIld>

*Presence:* [1..1]

*Definition:* Identification of a financial institution.

**FinancialInstitutionIdentification <FIId>** contains the following elements (see "BranchAndFinancialInstitutionIdentification6" on page 254 for details)

| Or | MessageElement<XML Tag>                         | Mult.  | Type | Constr. No. | Page |
|----|---|--------|------|-------------|------|
|    | FinancialInstitutionIdentification <FinInstnId> | [1..1] | ±    |             | 254  |
|    | BranchIdentification <BrnchId>                  | [0..1] | ±    |             | 255  |

## 2.4.4 BusinessMessageIdentifier <BizMsgIdr>

*Presence:* [1..1]

*Definition:* Unambiguously identifies the Business Message to the MessagingEndpoint that has created the Business Message.

*Datatype:* "Max35Text" on page 391

## 2.4.5 MessageDefinitionIdentifier <MsgDefldr>

*Presence:* [1..1]

*Definition:* Contains the MessageIdentifier that defines the BusinessMessage.

It must contain a MessageIdentifier published on the ISO 20022 website.

example camt.001.001.03.

*Datatype:* "Max35Text" on page 391

## 2.4.6 BusinessService <BizSvc>

*Presence:* [0..1]

*Definition:* Specifies the business service agreed between the two MessagingEndpoints under which rules this Business Message is exchanged.

To be used when there is a choice of processing services or processing service levels.

Example: E&I.

*Datatype:* "Max35Text" on page 391

## 2.4.7 MarketPractice <MktPrctc>

*Presence:* [0..1]

*Definition:* Specifies the market practice to which the message conforms. The market practices are a set of rules agreed between parties that restricts the usage of the messages in order to achieve better STP (Straight Through Processing) rates.

A market practice specification may also extend the underlying message specification by using extensions or supplementary data of this underlying message.

**MarketPractice <MktPrctc>** contains the following **ImplementationSpecification1** elements

| Or | MessageElement<XML Tag>          | Mult.  | Type | Constr. No. | Page |
|----|----------------------------------|--------|------|-------------|------|
|    | <b>Registry &lt;Regy&gt;</b>     | [1..1] | Text |             | 14   |
|    | <b>Identification &lt;Id&gt;</b> | [1..1] | Text |             | 14   |

### 2.4.7.1 Registry <Regy>

*Presence:* [1..1]

*Definition:* Name of the implementation specification registry in which the implementation specification of the ISO 20022 message is maintained.

For example, "MyStandards".

*Datatype:* "Max350Text" on page 391

### 2.4.7.2 Identification <Id>

*Presence:* [1..1]

*Definition:* Identifier which unambiguously identifies, within the implementation specification registry, the implementation specification to which the ISO 20022 message is compliant. This can be done via a URN. It can also contain a version number or date.

For instance, "2018-01-01 - Version 2" or "urn:uuid:6e8bc430-9c3a-11d9-9669-0800200c9a66".

*Datatype:* "Max2048Text" on page 391

## 2.4.8 CreationDate <CreDt>

*Presence:* [1..1]

*Definition:* Date and time when this Business Message (header) was created.

*Datatype:* "ISODatetime" on page 386

## 2.4.9 BusinessProcessingDate <BizPrcgDt>

*Presence:* [0..1]

*Definition:* Processing date and time indicated by the sender for the receiver of the business message. This date may be different from the date and time provided in the CreationDate.

Usage: Market practice or bilateral agreement should specify how this element should be used.

*Datatype:* "ISODatetime" on page 386

## 2.4.10 CopyDuplicate <CpyDplct>

*Presence:* [0..1]

*Definition:* Indicates whether the message is a Copy, a Duplicate or a copy of a duplicate of a previously sent ISO 20022 Message.

*Datatype:* "CopyDuplicate1Code" on page 367

| CodeName | Name          | Definition   |
|----------|---------------|--|
| CODU     | CopyDuplicate | Message is being sent as a copy to a party other than the account owner, for information purposes and the message is a duplicate of a message previously sent. |
| COPY     | Copy          | Message is being sent as a copy to a party other than the account owner, for information purposes.   |
| DUPL     | Duplicate     | Message is for information/confirmation purposes. It is a duplicate of a message previously sent.  |

## 2.4.11 PossibleDuplicate <PssbIDp1ct>

*Presence:* [0..1]

*Definition:* Flag indicating if the Business Message exchanged between the MessagingEndpoints is possibly a duplicate.

If the receiving MessagingEndpoint did not receive the original, then this Business Message should be processed as if it were the original.

If the receiving MessagingEndpoint did receive the original, then it should perform necessary actions to avoid processing this Business Message again.

This will guarantee business idempotent behaviour.

NOTE: this is named "PossResend" in FIX - this is an application level resend not a network level retransmission.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 388):

- *Meaning When True:* Yes
- *Meaning When False:* No

## 2.4.12 Priority <Prty>

*Presence:* [0..1]

*Definition:* Relative indication of the processing precedence of the message over a (set of) Business Messages with assigned priorities.

*Impacted by:* [C7 "ValidationByTable"](#)

*Datatype:* "[BusinessMessagePriorityCode](#)" on page 366

**Constraints**

- **ValidationByTable**

**2.4.13 Signature <Sgntr>**

*Presence:* [0..1]

*Definition:* Contains the digital signature of the Business Entity authorised to sign this Business Message.

*Type:* (External Schema)

The W3C XML Schema that specifies following standard signature:

XML Signature Syntax and Processing (Second Edition) W3C Recommendation 10 June 2008

<http://www.w3.org/TR/2008/REC-xmlsig-core-20080610/>.

**2.4.14 Related <Rltd>**

*Presence:* [0..\*]

*Definition:* Specifies the Business Application Header(s) of the Business Message(s) to which this Business Message relates.

Can be used when replying to a query; can also be used when canceling or amending.

**Related <Rltd>** contains the following **BusinessApplicationHeader5** elements

| Or  | MessageElement<XML Tag>                          | Mult.  | Type              | Constr. No. | Page |
|-----|--|--------|-------------------|-------------|------|
|     | <b>CharacterSet</b> <CharSet>                    | [0..1] | CodeSet           | C6          | 17   |
|     | <b>From</b> <Fr>                                 | [1..1] |                   |             | 17   |
| {Or | <b>OrganisationIdentification</b> <OrgId>        | [1..1] | ±                 |             | 17   |
| Or} | <b>FinancialInstitutionIdentification</b> <FIId> | [1..1] | ±                 |             | 17   |
|     | <b>To</b> <To>                                   | [1..1] |                   |             | 18   |
| {Or | <b>OrganisationIdentification</b> <OrgId>        | [1..1] | ±                 |             | 18   |
| Or} | <b>FinancialInstitutionIdentification</b> <FIId> | [1..1] | ±                 |             | 18   |
|     | <b>BusinessMessageIdentifier</b> <BizMsgIdr>     | [1..1] | Text              |             | 19   |
|     | <b>MessageDefinitionIdentifier</b> <MsgDefIdr>   | [1..1] | Text              |             | 19   |
|     | <b>BusinessService</b> <BizSvc>                  | [0..1] | Text              |             | 19   |
|     | <b>CreationDate</b> <CreDt>                      | [1..1] | DateTime          |             | 19   |
|     | <b>CopyDuplicate</b> <CpyDplct>                  | [0..1] | CodeSet           |             | 19   |
|     | <b>PossibleDuplicate</b> <PssblDplct>            | [0..1] | Indicator         |             | 20   |
|     | <b>Priority</b> <Prty>                           | [0..1] | CodeSet           | C7          | 20   |
|     | <b>Signature</b> <Sgntr>                         | [0..1] | (External Schema) |             | 21   |

### 2.4.14.1 CharacterSet <CharSet>

*Presence:* [0..1]

*Definition:* Contains the character set of the text-based elements used in the Business Message.

*Impacted by:* [C6 "ValidationByTable"](#)

*Datatype:* ["UnicodeChartsCode"](#) on page 383

#### Constraints

- [ValidationByTable](#)

### 2.4.14.2 From <Fr>

*Presence:* [1..1]

*Definition:* The sending MessagingEndpoint that has created this Business Message for the receiving MessagingEndpoint that will process this Business Message.

Note the sending MessagingEndpoint might be different from the sending address potentially contained in the transport header (as defined in the transport layer).

**From <Fr>** contains one of the following **Party44Choice** elements

| Or  | MessageElement<XML Tag>                          | Mult.  | Type | Constr. No. | Page |
|-----|--|--------|------|-------------|------|
| {Or | <b>OrganisationIdentification</b> <OrgId>        | [1..1] | ±    |             | 17   |
| Or} | <b>FinancialInstitutionIdentification</b> <FIId> | [1..1] | ±    |             | 17   |

#### 2.4.14.2.1 OrganisationIdentification <OrgId>

*Presence:* [1..1]

*Definition:* Identification of a person or an organisation.

**OrganisationIdentification <OrgId>** contains the following elements (see ["PartyIdentification135"](#) on page 293 for details)

| Or | MessageElement<XML Tag>        | Mult.  | Type    | Constr. No. | Page |
|----|--------------------------------|--------|---------|-------------|------|
|    | Name <Nm>                      | [0..1] | Text    |             | 293  |
|    | PostalAddress <PstlAdr>        | [0..1] | ±       |             | 293  |
|    | Identification <Id>            | [0..1] | ±       |             | 294  |
|    | CountryOfResidence <CtryOfRes> | [0..1] | CodeSet | C3          | 294  |
|    | ContactDetails <CtctDtls>      | [0..1] | ±       |             | 295  |

#### 2.4.14.2.2 FinancialInstitutionIdentification <FIId>

*Presence:* [1..1]

*Definition:* Identification of a financial institution.

**FinancialInstitutionIdentification <FIld>** contains the following elements (see "[BranchAndFinancialInstitutionIdentification6](#)" on page 254 for details)

| Or | MessageElement<XML Tag>                         | Mult.  | Type | Constr. No. | Page |
|----|---|--------|------|-------------|------|
|    | FinancialInstitutionIdentification <FinInstnld> | [1..1] | ±    |             | 254  |
|    | BranchIdentification <Brnchld>                  | [0..1] | ±    |             | 255  |

### 2.4.14.3 To <To>

*Presence:* [1..1]

*Definition:* The MessagingEndpoint designated by the sending MessagingEndpoint to be the recipient who will ultimately process this Business Message.

Note the receiving MessagingEndpoint might be different from the receiving address potentially contained in the transport header (as defined in the transport layer).

**To <To>** contains one of the following **Party44Choice** elements

| Or  | MessageElement<XML Tag>                          | Mult.  | Type | Constr. No. | Page |
|-----|--|--------|------|-------------|------|
| {Or | <b>OrganisationIdentification</b> <Orgld>        | [1..1] | ±    |             | 18   |
| Or} | <b>FinancialInstitutionIdentification</b> <FIld> | [1..1] | ±    |             | 18   |

#### 2.4.14.3.1 OrganisationIdentification <Orgld>

*Presence:* [1..1]

*Definition:* Identification of a person or an organisation.

**OrganisationIdentification <Orgld>** contains the following elements (see "[PartyIdentification135](#)" on page 293 for details)

| Or | MessageElement<XML Tag>        | Mult.  | Type    | Constr. No. | Page |
|----|--------------------------------|--------|---------|-------------|------|
|    | Name <Nm>                      | [0..1] | Text    |             | 293  |
|    | PostalAddress <PstlAdr>        | [0..1] | ±       |             | 293  |
|    | Identification <Id>            | [0..1] | ±       |             | 294  |
|    | CountryOfResidence <CtryOfRes> | [0..1] | CodeSet | C3          | 294  |
|    | ContactDetails <CtctDtls>      | [0..1] | ±       |             | 295  |

#### 2.4.14.3.2 FinancialInstitutionIdentification <FIld>

*Presence:* [1..1]

*Definition:* Identification of a financial institution.

**FinancialInstitutionIdentification <FIId>** contains the following elements (see "[BranchAndFinancialInstitutionIdentification6](#)" on page 254 for details)

| Or | MessageElement<XML Tag>                         | Mult.  | Type | Constr. No. | Page |
|----|---|--------|------|-------------|------|
|    | FinancialInstitutionIdentification <FinInstnId> | [1..1] | ±    |             | 254  |
|    | BranchIdentification <BrnchId>                  | [0..1] | ±    |             | 255  |

#### 2.4.14.4 BusinessMessageIdentifier <BizMsgIdr>

*Presence:* [1..1]

*Definition:* Unambiguously identifies the Business Message to the MessagingEndpoint that has created the Business Message.

*Datatype:* "[Max35Text](#)" on page 391

#### 2.4.14.5 MessageDefinitionIdentifier <MsgDefIdr>

*Presence:* [1..1]

*Definition:* Contains the MessageIdentifier that defines the BusinessMessage.

It must contain a MessageIdentifier published on the ISO 20022 website.

example camt.001.001.03.

*Datatype:* "[Max35Text](#)" on page 391

#### 2.4.14.6 BusinessService <BizSvc>

*Presence:* [0..1]

*Definition:* Specifies the business service agreed between the two MessagingEndpoints under which rules this Business Message is exchanged.

To be used when there is a choice of processing services or processing service levels.

Example: E&I.

*Datatype:* "[Max35Text](#)" on page 391

#### 2.4.14.7 CreationDate <CreDt>

*Presence:* [1..1]

*Definition:* Date and time when this Business Message (header) was created.

Note Times must be normalized, using the "Z" annotation.

*Datatype:* "[ISODatetime](#)" on page 386

#### 2.4.14.8 CopyDuplicate <CpyDplct>

*Presence:* [0..1]

*Definition:* Indicates whether the message is a Copy, a Duplicate or a copy of a duplicate of a previously sent ISO 20022 Message.

*Datatype:* "CopyDuplicate1Code" on page 367

| CodeName | Name          | Definition   |
|----------|---------------|--|
| CODU     | CopyDuplicate | Message is being sent as a copy to a party other than the account owner, for information purposes and the message is a duplicate of a message previously sent. |
| COPY     | Copy          | Message is being sent as a copy to a party other than the account owner, for information purposes.   |
| DUPL     | Duplicate     | Message is for information/confirmation purposes. It is a duplicate of a message previously sent.  |

#### 2.4.14.9 PossibleDuplicate <PssbIDplct>

*Presence:* [0..1]

*Definition:* Flag indicating if the Business Message exchanged between the MessagingEndpoints is possibly a duplicate.

If the receiving MessagingEndpoint did not receive the original, then this Business Message should be processed as if it were the original.

If the receiving MessagingEndpoint did receive the original, then it should perform necessary actions to avoid processing this Business Message again.

This will guarantee business idempotent behaviour.

NOTE: this is named "PossResend" in FIX - this is an application level resend not a network level retransmission.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 388):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 2.4.14.10 Priority <Prty>

*Presence:* [0..1]

*Definition:* Relative indication of the processing precedence of the message over a (set of) Business Messages with assigned priorities.

*Impacted by:* C7 "ValidationByTable"

*Datatype:* "BusinessMessagePriorityCode" on page 366

**Constraints**

- **ValidationByTable**

**2.4.14.11 Signature <Sgntr>**

*Presence:* [0..1]

*Definition:* Contains the digital signature of the Business Entity authorised to sign this Business Message.

*Type:* (External Schema)

The W3C XML Schema that specifies following standard signature:

XML Signature Syntax and Processing (Second Edition) W3C Recommendation 10 June 2008

<http://www.w3.org/TR/2008/REC-xmlsig-core-20080610/>.

# 3 **seev.001.001.11** **MeetingNotificationV11**

## 3.1 **MessageDefinition Functionality**

### Scope

The MeetingNotification message is sent by a notifying party, for example, an issuer, its agent or an intermediary to another intermediary, a party holding the right to vote, a registered security holder or to a beneficial holder to announce a meeting.

### Usage

The MeetingNotification message is used to announce a meeting, for example, it provides information on the participation details and requirements for the meeting, the vote parameters and the resolutions. The MeetingNotification message may also be used to announce an update.

This message definition is intended for use with the Business Application Header (BAH).

### Outline

The MeetingNotificationV11 MessageDefinition is composed of 14 MessageBuildingBlocks:

#### A. Pagination

Page number of the message and continuation indicator to indicate that the multi-part notification is to continue or that the message is the last page of the multi-part notification.

#### B. NotificationGeneralInformation

General information about the event notification type and status.

#### C. NotificationUpdate

Information specific to notification amendment as for instance the identification to a previous meeting notification.

#### D. EventsLinkage

Identification of another meeting event that needs to be closely linked to the processing of the event notified in this meeting notification.

#### E. Meeting

Information about the meeting like meeting identifications, various deadlines, contact persons, electronic and postal locations for accessing information and proxy assignment parameters.

#### F. MeetingDetails

Dates and details of the shareholders meeting.

#### G. Issuer

Institution that is the issuer of the security to which the meeting applies.

#### H. IssuerAgent

Agent of the issuer.

#### I. Security

Financial instrument identification and net position of a segregated holding, in a single security, within the overall position held in a securities account.

J. Resolution

Detailed information of a resolution proposed to the vote.

K. Vote

Conditions for voting, the different voting methods and options, the voting deadlines and the parameters of the incentive premium.

L. PowerOfAttorneyRequirements

Information about the use of power of attorney.

M. AdditionalInformation

Additional narrative information about the meeting event.

N. SupplementaryData

Additional information that cannot be captured in the structured fields and/or any other specific block.

## 3.2 Structure

| Or  | MessageElement/BuildingBlock<XML Tag>                             | Mult.  | Type      | Constr. No.                 | Page |
|-----|---|--------|-----------|-----------------------------|------|
|     | Message root <Document> <MtgNtfctn>                               | [1..1] |           | C6, C13, C19, C20, C23, C24 |      |
|     | <b>Pagination</b> <Pgntn>   | [0..1] | ±         |                             | 31   |
|     | <b>NotificationGeneralInformation</b> <NtfctnGnlInf>              | [1..1] |           |                             | 31   |
|     | <b>NotificationIdentification</b> <NtfctnId>                      | [0..1] | Text      |                             | 32   |
|     | <b>NotificationType</b> <NtfctnTp>                                | [1..1] | CodeSet   |                             | 32   |
|     | <b>NotificationStatus</b> <NtfctnSts>                             | [1..1] |           |                             | 32   |
|     | <b>EventCompletenessStatus</b> <EvtCmpltnsSts>                    | [1..1] | CodeSet   |                             | 33   |
|     | <b>EventConfirmationStatus</b> <EvtConfSts>                       | [1..1] | CodeSet   |                             | 33   |
|     | <b>ShareholderRightsDirectiveIndicator</b> <ShrhldrRghtsDrctvInd> | [0..1] | Indicator |                             | 33   |
|     | <b>ConfirmationOfHoldingRequired</b> <ConfOfHldgReqrd>            | [0..1] | Indicator |                             | 33   |
|     | <b>NotificationUpdate</b> <NtfctnUpd>                             | [0..1] |           |                             | 33   |
|     | <b>PreviousNotificationIdentification</b> <PrvsNtfctnId>          | [1..1] | Text      |                             | 34   |
|     | <b>ReconfirmInstructions</b> <Rcnfrmlnstrs>                       | [0..1] | Indicator |                             | 34   |
|     | <b>EventsLinkage</b> <EvtsLkg>                                    | [0..*] |           |                             | 34   |
|     | <b>EventIdentification</b> <EvtId>                                | [1..1] |           |                             | 34   |
| {Or | <b>LinkedIssuerMeetingIdentification</b> <LkdIssrMtgld>           | [1..1] | Text      |                             | 35   |
| Or} | <b>LinkedMeetingIdentification</b> <LkdMtgld>                     | [1..1] | Text      |                             | 35   |
|     | <b>LinkageType</b> <LkgTp>  | [0..1] | CodeSet   |                             | 35   |
|     | <b>Meeting</b> <Mtg>  | [1..1] |           |                             | 35   |
|     | <b>MeetingIdentification</b> <Mtgld>                              | [1..1] | Text      |                             | 37   |
|     | <b>IssuerMeetingIdentification</b> <IssrMtgld>                    | [0..1] | Text      |                             | 37   |
|     | <b>Type</b> <Tp>  | [1..1] | CodeSet   |                             | 37   |
|     | <b>Classification</b> <Clssfctn>                                  | [0..1] | ±         |                             | 38   |
|     | <b>AnnouncementDate</b> <AnncmntDt>                               | [0..1] | ±         |                             | 38   |
|     | <b>OneManOneVoteIndicator</b> <OneManOneVoteInd>                  | [0..1] | Indicator |                             | 38   |
|     | <b>Participation</b> <Prtcptn>                                    | [0..*] |           |                             | 39   |
|     | <b>ParticipationMethod</b> <PrtcptnMtd>                           | [1..1] | ±         |                             | 39   |
|     | <b>IssuerDeadlineForVoting</b> <IssrDdlnForVtng>                  | [1..1] | ±         |                             | 39   |

| Or  | MessageElement/BuildingBlock<XML Tag>                                 | Mult.   | Type          | Constr. No. | Page |
|-----|---|---------|---------------|-------------|------|
|     | <b>SupportedByAccountServicer</b> <SpprtdByAcctSvcr>                  | [0..1]  | Indicator     |             | 39   |
|     | <b>ResponseDeadlineForVoting</b> <RspnDdlnForVtng>                    | [0..1]  | ±             |             | 40   |
|     | <b>Attendance</b> <Attndnc>   | [0..1]  |               |             | 40   |
|     | <b>AdmissionConditions</b> <AdmssnConds>                              | [0..7]  | ±             |             | 40   |
|     | <b>ConfirmationInformation</b> <ConfInf>                              | [0..1]  | Text          |             | 40   |
|     | <b>ConfirmationDeadline</b> <ConfDdln>                                | [0..1]  | ±             |             | 40   |
|     | <b>ConfirmationMarketDeadline</b> <ConfMktDdln>                       | [0..1]  | ±             |             | 41   |
|     | <b>AdditionalDocumentationURLAddress</b><br><AddtlDcmnttnURLAdr>      | [0..*]  | Text          |             | 41   |
|     | <b>EventProcessingWebSiteAddress</b> <EvtPrvgWebSiteAdr>              | [0..1]  | Text          |             | 41   |
|     | <b>AdditionalProcedureDetails</b> <AddtlPrcdrDtls>                    | [0..5]  |               |             | 41   |
|     | <b>AdditionalRight</b> <AddtlRght>                                    | [1..1]  | ±             |             | 42   |
|     | <b>AdditionalRightInformationURLAddress</b><br><AddtlRghtInfURLAdr>   | [0..1]  | Text          |             | 42   |
|     | <b>AdditionalRightDeadline</b> <AddtlRghtDdln>                        | [0..1]  | ±             |             | 42   |
|     | <b>AdditionalRightMarketDeadline</b> <AddtlRghtMktDdln>               | [0..1]  | ±             |             | 42   |
|     | <b>AdditionalRightThreshold</b> <AddtlRghtThrshld>                    | [0..1]  | ±             |             | 43   |
|     | <b>TotalNumberOfSecuritiesOutstanding</b><br><TtlNbOfSciesOutsdng>    | [0..1]  | ±             |             | 43   |
|     | <b>TotalNumberOfVotingRights</b> <TtlNbOfVtngRghts>                   | [0..1]  | Quantity      |             | 43   |
|     | <b>ProxyAppointmentNotificationAddress</b><br><PrxyAppntmntNtfctnAdr> | [0..1]  | ±             |             | 43   |
|     | <b>ProxyChoice</b> <PrxyChc>  | [0..1]  |               |             | 44   |
| {Or | <b>Proxy</b> <Prxy>   | [1..1]  | ±             |             | 44   |
| Or} | <b>ProxyNotAllowed</b> <PrxyNotAllwd>                                 | [1..1]  | CodeSet       |             | 44   |
|     | <b>ContactPersonDetails</b> <CtctPrsnDtls>                            | [0..12] |               |             | 45   |
|     | <b>ContactPerson</b> <CtctPrsn>                                       | [0..1]  | ±             |             | 45   |
|     | <b>EmployingParty</b> <EmplngPty>                                     | [0..1]  | ±             |             | 45   |
|     | <b>PlaceOfListing</b> <PlcOfListg>                                    | [0..1]  | IdentifierSet |             | 46   |
|     | <b>ResultPublicationDate</b> <RsltPblctnDt>                           | [0..1]  | ±             |             | 46   |
|     | <b>SecuritiesBlockingPeriodEndDate</b> <SciesBlckgPrdEndDt>           | [0..1]  | ±             |             | 46   |
|     | <b>EntitlementFixingDate</b> <EnttlmntFvgDt>                          | [0..1]  | ±             |             | 46   |
|     | <b>RegistrationSecuritiesDeadline</b> <RegnSciesDdln>                 | [0..1]  | ±             |             | 47   |
|     | <b>RegistrationSecuritiesMarketDeadline</b> <RegnSciesMktDdln>        | [0..1]  | ±             |             | 47   |

| Or  | MessageElement/BuildingBlock<XML Tag>                  | Mult.     | Type      | Constr. No.                         | Page |
|-----|--|-----------|-----------|-------------------------------------|------|
|     | <b>MeetingDetails</b> <MtgDtls>                        | [1..5]    |           | C9                                  | 47   |
|     | <b>DateAndTime</b> <DtAndTm>                           | [1..1]    | ±         |                                     | 48   |
|     | <b>DateStatus</b> <DtSts>                              | [0..1]    | CodeSet   |                                     | 48   |
|     | <b>QuorumRequired</b> <QrmReqrd>                       | [0..1]    | Indicator |                                     | 48   |
|     | <b>Location</b> <Lctn>                                 | [1..5]    | ±         |                                     | 49   |
|     | <b>QuorumQuantity</b> <QrmQty>                         | [0..1]    | ±         |                                     | 49   |
|     | <b>URLAddress</b> <URLAdr>                             | [0..1]    | Text      |                                     | 49   |
|     | <b>Issuer</b> <Issr>                                   | [1..1]    | ±         |                                     | 49   |
|     | <b>IssuerAgent</b> <IssrAgt>                           | [0..10]   | ±         |                                     | 50   |
|     | <b>Security</b> <Scty>                                 | [1..200]  |           |                                     | 50   |
|     | <b>FinancialInstrumentIdentification</b> <FinInstrmId> | [1..1]    | ±         | C10,<br>C11,<br>C15,<br>C16,<br>C18 | 51   |
|     | <b>Position</b> <Pos>                                  | [0..1000] |           | C1, C2,<br>C3, C14,<br>C21          | 52   |
|     | <b>AccountIdentification</b> <AcctId>                  | [0..1]    | Text      |                                     | 53   |
|     | <b>BlockchainAddressOrWallet</b> <BlckChainAdrOrWlt>   | [0..1]    | Text      |                                     | 53   |
|     | <b>AccountOwner</b> <AcctOwnr>                         | [0..1]    |           |                                     | 53   |
| {Or | <b>LegalPerson</b> <LglPrsn>                           | [1..1]    | ±         |                                     | 53   |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                        | [1..*]    | ±         |                                     | 54   |
|     | <b>HoldingBalance</b> <HldgBal>                        | [0..15]   |           |                                     | 54   |
|     | <b>Balance</b> <Bal>                                   | [1..1]    | ±         |                                     | 55   |
|     | <b>BalanceType</b> <BalTp>                             | [1..1]    | CodeSet   |                                     | 55   |
|     | <b>SafekeepingPlace</b> <SfkpgPlc>                     | [0..1]    | ±         |                                     | 56   |
|     | <b>Date</b> <Dt>                                       | [0..1]    | Date      |                                     | 57   |
|     | <b>RightsHolder</b> <RghtsHldr>                        | [0..250]  |           |                                     | 57   |
| {Or | <b>LegalPerson</b> <LglPrsn>                           | [1..1]    | ±         |                                     | 57   |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                        | [1..*]    | ±         |                                     | 58   |
|     | <b>Resolution</b> <Rsln>                               | [0..1000] |           | C25                                 | 59   |
|     | <b>IssuerLabel</b> <IssrLbl>                           | [1..1]    | Text      |                                     | 59   |
|     | <b>Description</b> <Desc>                              | [0..*]    |           |                                     | 60   |
|     | <b>Language</b> <Lang>                                 | [1..1]    | CodeSet   |                                     | 60   |

| Or  | MessageElement/BuildingBlock<XML Tag>                                 | Mult.  | Type          | Constr. No. | Page |
|-----|---|--------|---------------|-------------|------|
|     | <b>Title</b> <Titl>   | [0..1] | Text          |             | 60   |
|     | <b>Description</b> <Desc>   | [0..*] | Text          |             | 60   |
|     | <b>ListingGroupResolutionLabel</b> <ListgGrpRslnLbl>                  | [0..1] | Text          |             | 60   |
|     | <b>Type</b> <Tp>  | [0..1] | CodeSet       |             | 60   |
|     | <b>ForInformationOnly</b> <ForInfOnly>                                | [1..1] | Indicator     |             | 61   |
|     | <b>VoteType</b> <VoteTp>  | [0..1] | CodeSet       |             | 61   |
|     | <b>Status</b> <Sts>   | [1..1] | CodeSet       |             | 61   |
|     | <b>SubmittedBySecurityHolder</b> <SubmittdBySctyHldr>                 | [0..1] | Indicator     |             | 61   |
|     | <b>RightToWithdrawIndicator</b> <RghtToWdrwInd>                       | [0..1] | Indicator     |             | 62   |
|     | <b>VoteInstructionType</b> <VoteInstrTp>                              | [0..*] | ±             | C5          | 62   |
|     | <b>ManagementRecommendation</b> <MgmtRcmmndtn>                        | [0..1] | CodeSet       |             | 62   |
|     | <b>NotifyingPartyRecommendation</b> <NtifngPtyRcmmndtn>               | [0..1] | CodeSet       |             | 63   |
|     | <b>Entitlement</b> <Entitlmt>   | [0..1] | ±             |             | 64   |
|     | <b>VotingRightsThresholdForApproval</b><br><VtngRghtsThrshldForAprvl> | [0..*] | ±             |             | 64   |
|     | <b>URLAddress</b> <URLAdr>  | [0..1] | Text          |             | 64   |
|     | <b>Vote</b> <Vote>  | [0..1] |               |             | 64   |
|     | <b>SecuritiesQuantityRequiredToVote</b> <SctiesQtyReqrdToVote>        | [0..1] | ±             |             | 65   |
|     | <b>PartialVoteAllowed</b> <PrtlVoteAllwd>                             | [1..1] | Indicator     |             | 66   |
|     | <b>SplitVoteAllowed</b> <SplVoteAllwd>                                | [1..1] | Indicator     |             | 66   |
|     | <b>VoteDeadline</b> <VoteDdln>  | [0..1] | ±             |             | 66   |
|     | <b>VoteMarketDeadline</b> <VoteMktDdln>                               | [0..1] | ±             |             | 66   |
|     | <b>VoteMethods</b> <VoteMthds>  | [0..1] |               |             | 67   |
|     | <b>VoteThroughNetwork</b> <VoteThrhNtwk>                              | [0..1] |               |             | 67   |
| {Or | <b>VoteChannel</b> <VoteChanl>  | [1..1] | CodeSet       |             | 67   |
| Or} | <b>VoteDirectlyToIssuer</b> <VoteDrctlyToIssr>                        | [1..5] | IdentifierSet | C7          | 68   |
|     | <b>VoteByMail</b> <VoteByMail>  | [0..1] |               |             | 68   |
|     | <b>Correspondence</b> <Crspdc>  | [0..5] | ±             |             | 68   |
|     | <b>EmailAddress</b> <EmailAdr>  | [0..5] | Text          |             | 69   |
|     | <b>ElectronicVote</b> <ElctrcVote>                                    | [0..5] |               |             | 69   |
|     | <b>URLAddress</b> <URLAdr>  | [0..1] | Text          |             | 69   |
|     | <b>VoteByTelephone</b> <VoteByTel>                                    | [0..5] | Text          |             | 69   |

| Or | MessageElement/BuildingBlock<XML Tag>                               | Mult.  | Type      | Constr. No. | Page |
|----|---|--------|-----------|-------------|------|
|    | <b>VotingBallotElectronicAddress</b> <VtngBlItElctrcAdr>            | [0..1] | ±         |             | 69   |
|    | <b>VotingBallotRequestAddress</b> <VtngBlItReqAdr>                  | [0..1] | ±         |             | 70   |
|    | <b>RevocabilityDeadline</b> <RvcbltyDdln>                           | [0..1] | ±         |             | 70   |
|    | <b>RevocabilityMarketDeadline</b> <RvcbltyMktDdln>                  | [0..1] | ±         |             | 70   |
|    | <b>BeneficialOwnerDisclosure</b> <BnfcIOwnrDsclsr>                  | [0..1] | Indicator |             | 71   |
|    | <b>EarlyIncentivePremium</b> <EarlyIncntivPrm>                      | [0..1] | ±         |             | 71   |
|    | <b>IncentivePremium</b> <IncntivPrm>                                | [0..1] | ±         |             | 71   |
|    | <b>EarlyVoteWithPremiumDeadline</b> <EarlyVoteWthPrmDdln>           | [0..1] | ±         |             | 72   |
|    | <b>VoteWithPremiumDeadline</b> <VoteWthPrmDdln>                     | [0..1] | ±         |             | 72   |
|    | <b>VoteWithPremiumMarketDeadline</b> <VoteWthPrmMktDdln>            | [0..1] | ±         |             | 72   |
|    | <b>AdditionalVotingRequirements</b> <AddtlVtngRqrmnts>              | [0..1] | Text      |             | 73   |
|    | <b>PreviousInstructionInvalidityIndicator</b> <PrvsInstrInvldtyInd> | [0..1] | Indicator |             | 73   |
|    | <b>PowerOfAttorneyRequirements</b> <PwrOfAttnyRqrmnts>              | [0..1] |           | C17         | 73   |
|    | <b>LegalRequirement</b> <LglRqrmnt>                                 | [0..4] | CodeSet   |             | 74   |
|    | <b>OtherDocumentation</b> <OthrDcmnttn>                             | [0..1] | Text      |             | 74   |
|    | <b>DocumentSubmissionDeadline</b> <DocSubmissnDdln>                 | [0..1] | ±         |             | 74   |
|    | <b>AdditionalInformation</b> <AddtlInf>                             | [0..1] |           |             | 74   |
|    | <b>Disclaimer</b> <Dsclmr>  | [0..*] |           |             | 75   |
|    | <b>Language</b> <Lang>  | [1..1] | CodeSet   |             | 75   |
|    | <b>AdditionalInformation</b> <AddtlInf>                             | [1..1] | Text      |             | 75   |
|    | <b>ProcessingTextForNextIntermediary</b> <PrcgTxtForNxtIntrmy>      | [0..*] | Text      |             | 75   |
|    | <b>SupplementaryData</b> <SplmtryData>                              | [0..*] | ±         | C22         | 75   |

### 3.3 Constraints

#### C1 AccountIdentificationOrBlockChainAddress1Rule

Either AccountIdentification or BlockChainAddressOrWallet must be present but not both.

#### C2 AccountIdentificationOrBlockChainAddress2Rule

If BlockChainAddressOrWallet is present then AccountIdentification must be absent.

#### C3 AccountIdentificationOrBlockChainAddress3Rule

If AccountIdentification is present, then BlockChainAddressOrWallet must be absent.

**C4 ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

**C5 AdditionalInformationRule**

If AdditionalInformation is present, then VoteInstructionTypeCode/Proprietary/Identification must be present.

**C6 AgentRole1Rule**

IssuerAgent/Role PRIN (PrincipalAgent) can only be present in a single occurrence of IssuerAgent.

*This constraint is defined at the MessageDefinition level.*

**C7 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.

**C8 Country**

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

**C9 DateStatus1Rule**

If DateAndTime/DateCode is "UKWN" (Unknown), then DateStatus must not be present.

**C10 DescriptionPresenceRule**

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

**C11 DescriptionUsageRule**

Description must be used alone as the last resort.

**C12 DigitalTokenUnitUsageRule**

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

**C13 EntitlementDate1Guideline**

If both Meeting/EntitlementFixingDate and Security/Position/HoldingBalance/Date are present, it is recommended that both date values be identical.

*This constraint is defined at the MessageDefinition level.*

**C14 HoldingBalanceTypeRule**

In all occurrences of HoldingBalance, one and only one BalanceType may be ELIG (Eligible).

**C15 ISINGuideline**

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

**C16 ISINPresenceRule**

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

**C17 OtherDocumentation1Guideline**

If power of attorney specific deadlines are announced, it is recommended that OtherDocumentation is used.

**C18 OtherIdentificationPresenceRule**

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

**C19 PreviousNotificationIdentificationRule**

If NotificationGeneralInformation/NotificationType is REPL (Replacement), then NotificationUpdate/PreviousNotificationIdentification must be present.

On Condition

    /NotificationGeneralInformation/NotificationType is equal to value  
    'Replacement'

Following Must be True

    /NotificationUpdate/PreviousNotificationIdentification Must be present

*This constraint is defined at the MessageDefinition level.*

**C20 Resolution1Guideline**

When an agenda item needs to be linked to a resolution, it is recommended that the resolution information directly follows the agenda item information to which the resolution is linked, as illustrated in the following example:

Resolution/IssuerLabel = Agenda item 1

Description = <Item description.>

ForInformationOnly = True

Type =.

Directly followed by

Resolution/IssuerLabel = Resolution 1

Description = <Resolution description.>

ForInformationOnly = False

Type =.

.

*This constraint is defined at the MessageDefinition level.*

**C21 RightsHolderMultiplicity1Guideline**

It is recommended that RightsHolder is only present more than once if there is joint ownership.

**C22 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.

**C23 VoteAsPerIntermediary1Rule**

If Vote/VoteMethod/VoteThroughNetwork/VoteChannel code value is VOPI (VoteAsPerIntermediaryInformation), then at least one occurrence of AdditionalInformation/ProcessingTextForNextIntermediary must be present.

On Condition  
 /Vote/VoteMethods/VoteThroughNetwork/VoteChannel is equal to value  
 'VoteAsPerIntermediaryInformation'  
 Following Must be True  
 /AdditionalInformation/ProcessingTextForNextIntermediary[\*] Must be present

*This constraint is defined at the MessageDefinition level.*

**C24 VoteInstructionType1Guideline**

If all of the vote instructions types are to be the same for all resolutions, it is recommended that only the element Vote/VoteInstructionType is used. If the vote instruction types are not going to be the same for each resolution, then it is recommended that only the element Resolution/VoteInstructionType in each occurrence of Resolution is used.

*This constraint is defined at the MessageDefinition level.*

**C25 VotingRightsTresholdForApproval1Rule**

If VotingRightThresholdForApproval is present more than once, then ThresholdBasis is mandatory in each occurrence of VotingRightThresholdForApproval and the value of the ThresholdBasis/Code element must be different in each occurrence.

### 3.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

#### 3.4.1 Pagination <Pgntn>

Presence: [0..1]

Definition: Page number of the message and continuation indicator to indicate that the multi-part notification is to continue or that the message is the last page of the multi-part notification.

Pagination <Pgntn> contains the following elements (see "Pagination1" on page 288 for details)

| Or | MessageElement<XML Tag>       | Mult.  | Type      | Constr. No. | Page |
|----|-------------------------------|--------|-----------|-------------|------|
|    | PageNumber <PgNb>             | [1..1] | Text      |             | 288  |
|    | LastPageIndicator <LastPgInd> | [1..1] | Indicator |             | 289  |

#### 3.4.2 NotificationGeneralInformation <NtfctnGnllnf>

Presence: [1..1]

Definition: General information about the event notification type and status.

**NotificationGeneralInformation <NtfctnGnlInf>** contains the following **NotificationGeneralInformation4** elements

| Or | MessageElement<XML Tag>  | Mult.  | Type      | Constr. No. | Page |
|----|--|--------|-----------|-------------|------|
|    | <b>NotificationIdentification</b> <NtfctnId>                       | [0..1] | Text      |             | 32   |
|    | <b>NotificationType</b> <NtfctnTp>                                 | [1..1] | CodeSet   |             | 32   |
|    | <b>NotificationStatus</b> <NtfctnSts>                              | [1..1] |           |             | 32   |
|    | <b>EventCompletenessStatus</b> <EvtCmpltnsSts>                     | [1..1] | CodeSet   |             | 33   |
|    | <b>EventConfirmationStatus</b> <EvtConfSts>                        | [1..1] | CodeSet   |             | 33   |
|    | <b>ShareholderRightsDirectiveIndicator</b> <ShrhldrRghthsDrctvInd> | [0..1] | Indicator |             | 33   |
|    | <b>ConfirmationOfHoldingRequired</b> <ConfOfHldgReqrd>             | [0..1] | Indicator |             | 33   |

### 3.4.2.1 NotificationIdentification <NtfctnId>

*Presence:* [0..1]

*Definition:* Unique identification of the group of meeting notification messages when the notification is split in multiple (paginated) messages.

*Datatype:* "Max35Text" on page 391

### 3.4.2.2 NotificationType <NtfctnTp>

*Presence:* [1..1]

*Definition:* Type of notification.

*Datatype:* "NotificationType3Code" on page 373

| CodeName | Name        | Definition  |
|----------|-------------|---|
| NEWM     | New         | New notification.   |
| REPL     | Replacement | Notification replacing a previously sent notification.    |
| RMDR     | Reminder    | Notification sent as a reminder of an event taking place. |

### 3.4.2.3 NotificationStatus <NtfctnSts>

*Presence:* [1..1]

*Definition:* Status of the details of the event.

**NotificationStatus <NtfctnSts>** contains the following **EventStatus1** elements

| Or | MessageElement<XML Tag>                        | Mult.  | Type    | Constr. No. | Page |
|----|--|--------|---------|-------------|------|
|    | <b>EventCompletenessStatus</b> <EvtCmpltnsSts> | [1..1] | CodeSet |             | 33   |
|    | <b>EventConfirmationStatus</b> <EvtConfSts>    | [1..1] | CodeSet |             | 33   |

**3.4.2.3.1 EventCompletenessStatus <EvtCmpltnsSts>**

*Presence:* [1..1]

*Definition:* Specifies whether the details provided about an event are complete or incomplete.

*Datatype:* "EventCompletenessStatus1Code" on page 369

| CodeName | Name       | Definition                      |
|----------|------------|---------------------------------|
| COMP     | Complete   | Event details are complete.     |
| INCO     | Incomplete | Event details are not complete. |

**3.4.2.3.2 EventConfirmationStatus <EvtConfSts>**

*Presence:* [1..1]

*Definition:* Specifies the status of the occurrence of an event.

*Datatype:* "EventConfirmationStatus1Code" on page 369

| CodeName | Name        | Definition                                      |
|----------|-------------|---|
| CONF     | Confirmed   | Occurrence of the event has been confirmed.     |
| UCON     | Unconfirmed | Occurrence of the event has not been confirmed. |

**3.4.2.4 ShareholderRightsDirectiveIndicator <ShrhldrRghtsDrctvInd>**

*Presence:* [0..1]

*Definition:* Indicates whether the announcement was initiated by the first intermediary in the custody chain in accordance with SRD II.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 388):

- *Meaning When True:* Yes
- *Meaning When False:* No

**3.4.2.5 ConfirmationOfHoldingRequired <ConfOfHldgReqrd>**

*Presence:* [0..1]

*Definition:* Indicates whether a specific confirmation of holding together with a participation and/or vote instruction is required by the issuer (for instance as required in the German Stock Corporation Act paragraph 67c section 3).

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 388):

- *Meaning When True:* Yes
- *Meaning When False:* No

**3.4.3 NotificationUpdate <NtfctnUpd>**

*Presence:* [0..1]

*Definition:* Information specific to notification amendment as for instance the identification to a previous meeting notification.

**NotificationUpdate <NtfctnUpd>** contains the following **NotificationUpdate2** elements

| Or | MessageElement<XML Tag>                                  | Mult.  | Type      | Constr. No. | Page |
|----|--|--------|-----------|-------------|------|
|    | <b>PreviousNotificationIdentification</b> <PrvsNtfctnId> | [1..1] | Text      |             | 34   |
|    | <b>ReconfirmInstructions</b> <RcnfrmlInstrs>             | [0..1] | Indicator |             | 34   |

### 3.4.3.1 PreviousNotificationIdentification <PrvsNtfctnId>

*Presence:* [1..1]

*Definition:* Identification of a previously sent meeting notification message.

*Datatype:* "Max35Text" on page 391

### 3.4.3.2 ReconfirmInstructions <RcnfrmlInstrs>

*Presence:* [0..1]

*Definition:* Indicates whether a meeting instruction must be resent in case the parameters of the meeting are changed and the meeting instruction has already been sent.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 388):

- *Meaning When True:* Yes
- *Meaning When False:* No

## 3.4.4 EventsLinkage <EvtsLkg>

*Presence:* [0..\*]

*Definition:* Identification of another meeting event that needs to be closely linked to the processing of the event notified in this meeting notification.

**EventsLinkage <EvtsLkg>** contains the following **MeetingEventReference1** elements

| Or  | MessageElement<XML Tag>                                 | Mult.  | Type    | Constr. No. | Page |
|-----|---|--------|---------|-------------|------|
|     | <b>EventIdentification</b> <EvtId>                      | [1..1] |         |             | 34   |
| {Or | <b>LinkedIssuerMeetingIdentification</b> <LkdIssrMtglD> | [1..1] | Text    |             | 35   |
| Or} | <b>LinkedMeetingIdentification</b> <LkdMtglD>           | [1..1] | Text    |             | 35   |
|     | <b>LinkageType</b> <LkgTp>                              | [0..1] | CodeSet |             | 35   |

### 3.4.4.1 EventIdentification <EvtId>

*Presence:* [1..1]

*Definition:* Identification of the linked meeting event.

**EventIdentification <EvtId>** contains one of the following **MeetingEventReference1Choice** elements

| Or  | MessageElement<XML Tag>                                      | Mult.  | Type | Constr. No. | Page |
|-----|--|--------|------|-------------|------|
| {Or | <b>LinkedIssuerMeetingIdentification &lt;LkdIssrMtgd&gt;</b> | [1..1] | Text |             | 35   |
| Or} | <b>LinkedMeetingIdentification &lt;LkdMtgd&gt;</b>           | [1..1] | Text |             | 35   |

### 3.4.4.1.1 LinkedIssuerMeetingIdentification <LkdIssrMtgd>

*Presence:* [1..1]

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

*Datatype:* "Max35Text" on page 391

### 3.4.4.1.2 LinkedMeetingIdentification <LkdMtgd>

*Presence:* [1..1]

*Definition:* Reference assigned by the account servicer to unambiguously identify a related meeting event.

*Datatype:* "Max35Text" on page 391

### 3.4.4.2 LinkageType <LkgTp>

*Presence:* [0..1]

*Definition:* Specifies when the event is to be processed relative to the linked event.

*Datatype:* "ProcessingPosition3Code" on page 376

| CodeName | Name        | Definition  |
|----------|-------------|---|
| AFTE     | After       | Specifies that the transaction/instruction is to be executed after the linked transaction/instruction.  |
| WITH     | With        | Specifies that the transaction/instruction is to be executed with 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.                 |

## 3.4.5 Meeting <Mtg>

*Presence:* [1..1]

*Definition:* Information about the meeting like meeting identifications, various deadlines, contact persons, electronic and postal locations for accessing information and proxy assignment parameters.

**Meeting <Mtg>** contains the following **MeetingNotice8** elements

| Or  | MessageElement<XML Tag>   | Mult.  | Type      | Constr. No. | Page |
|-----|---|--------|-----------|-------------|------|
|     | <b>MeetingIdentification</b> <MtgId>                                  | [1..1] | Text      |             | 37   |
|     | <b>IssuerMeetingIdentification</b> <IssrMtgId>                        | [0..1] | Text      |             | 37   |
|     | <b>Type</b> <Tp>  | [1..1] | CodeSet   |             | 37   |
|     | <b>Classification</b> <Clssfctn>                                      | [0..1] | ±         |             | 38   |
|     | <b>AnnouncementDate</b> <AnncmntDt>                                   | [0..1] | ±         |             | 38   |
|     | <b>OneManOneVoteIndicator</b> <OneManOneVoteInd>                      | [0..1] | Indicator |             | 38   |
|     | <b>Participation</b> <Prtcpn>   | [0..*] |           |             | 39   |
|     | <b>ParticipationMethod</b> <PrtcpnMtd>                                | [1..1] | ±         |             | 39   |
|     | <b>IssuerDeadlineForVoting</b> <IssrDdlnForVtng>                      | [1..1] | ±         |             | 39   |
|     | <b>SupportedByAccountServicer</b> <SpptdByAcctSvcr>                   | [0..1] | Indicator |             | 39   |
|     | <b>ResponseDeadlineForVoting</b> <RspnDdlnForVtng>                    | [0..1] | ±         |             | 40   |
|     | <b>Attendance</b> <Attndnc>   | [0..1] |           |             | 40   |
|     | <b>AdmissionConditions</b> <AdmssnConds>                              | [0..7] | ±         |             | 40   |
|     | <b>ConfirmationInformation</b> <ConfInf>                              | [0..1] | Text      |             | 40   |
|     | <b>ConfirmationDeadline</b> <ConfDdln>                                | [0..1] | ±         |             | 40   |
|     | <b>ConfirmationMarketDeadline</b> <ConfMktDdln>                       | [0..1] | ±         |             | 41   |
|     | <b>AdditionalDocumentationURLAddress</b><br><AddtlDcmnttnURLAdr>      | [0..*] | Text      |             | 41   |
|     | <b>EventProcessingWebSiteAddress</b><br><EvtPrcgWebSiteAdr>           | [0..1] | Text      |             | 41   |
|     | <b>AdditionalProcedureDetails</b> <AddtlPrcdrDtls>                    | [0..5] |           |             | 41   |
|     | <b>AdditionalRight</b> <AddtlRght>                                    | [1..1] | ±         |             | 42   |
|     | <b>AdditionalRightInformationURLAddress</b><br><AddtlRghtInfURLAdr>   | [0..1] | Text      |             | 42   |
|     | <b>AdditionalRightDeadline</b> <AddtlRghtDdln>                        | [0..1] | ±         |             | 42   |
|     | <b>AdditionalRightMarketDeadline</b> <AddtlRghtMktDdln>               | [0..1] | ±         |             | 42   |
|     | <b>AdditionalRightThreshold</b> <AddtlRghtThrshld>                    | [0..1] | ±         |             | 43   |
|     | <b>TotalNumberOfSecuritiesOutstanding</b><br><TtlNbOfScitiesOutsdng>  | [0..1] | ±         |             | 43   |
|     | <b>TotalNumberOfVotingRights</b> <TtlNbOfVtngRghts>                   | [0..1] | Quantity  |             | 43   |
|     | <b>ProxyAppointmentNotificationAddress</b><br><PrxyAppntmntNtfctnAdr> | [0..1] | ±         |             | 43   |
|     | <b>ProxyChoice</b> <PrxyChc>  | [0..1] |           |             | 44   |
| {Or | <b>Proxy</b> <Prxy>   | [1..1] | ±         |             | 44   |

| Or  | MessageElement<XML Tag>   | Mult.   | Type          | Constr. No. | Page |
|-----|---|---------|---------------|-------------|------|
| Or} | <b>ProxyNotAllowed</b> <PrxyNotAllwd>                           | [1..1]  | CodeSet       |             | 44   |
|     | <b>ContactPersonDetails</b> <CtctPrsnDtls>                      | [0..12] |               |             | 45   |
|     | <b>ContactPerson</b> <CtctPrsn>                                 | [0..1]  | ±             |             | 45   |
|     | <b>EmployingParty</b> <EmplngPty>                               | [0..1]  | ±             |             | 45   |
|     | <b>PlaceOfListing</b> <PlcOfListg>                              | [0..1]  | IdentifierSet |             | 46   |
|     | <b>ResultPublicationDate</b> <RsltPblctnDt>                     | [0..1]  | ±             |             | 46   |
|     | <b>SecuritiesBlockingPeriodEndDate</b> <SctiesBlckgPrdEndDt>    | [0..1]  | ±             |             | 46   |
|     | <b>EntitlementFixingDate</b> <EntitlmtFxdDt>                    | [0..1]  | ±             |             | 46   |
|     | <b>RegistrationSecuritiesDeadline</b> <RegnSctiesDdln>          | [0..1]  | ±             |             | 47   |
|     | <b>RegistrationSecuritiesMarketDeadline</b> <RegnSctiesMktDdln> | [0..1]  | ±             |             | 47   |

### 3.4.5.1 MeetingIdentification <MtgId>

Presence: [1..1]

Definition: Identification assigned to the general meeting by the party that provides the meeting notification. It must be unique to the party providing the notification

Datatype: "Max35Text" on page 391

### 3.4.5.2 IssuerMeetingIdentification <IssrMtgId>

Presence: [0..1]

Definition: Identification assigned to the meeting by the issuer. It must be unique for the issuer.

Datatype: "Max35Text" on page 391

### 3.4.5.3 Type <Tp>

Presence: [1..1]

Definition: Type of security holders meeting.

Datatype: "MeetingType4Code" on page 371

| CodeName | Name          | Definition   |
|----------|---------------|--|
| XMET     | Extraordinary | Meeting that takes place as needed, in addition to the general meetings, is extraordinary as per the bylaws. The resolutions are related to the unusual business of the company, for example, approval of takeovers or mergers or spin-offs. These meetings are always issuer initiated. |
| GMET     | General       | Includes annual and ordinary meetings. Statutory meeting(s) usually held at least once a year. The resolutions are related to the usual business of the company, for example, approval of dividends and  |

| CodeName | Name              | Definition   |
|----------|-------------------|--|
|          |                   | directors. These meetings are always issuer initiated.                         |
| MIXD     | Mixed             | Meeting which contains both ordinary and extraordinary resolutions.            |
| SPCL     | Special           | Meeting that takes place as needed that is neither ordinary nor extraordinary. |
| BMET     | BondHolderMeeting | Physical meeting of bond holders.  |
| CMET     | CourtMeeting      | Meeting is the result of a legal proceeding.                                   |

### 3.4.5.4 Classification <Clssfctn>

*Presence:* [0..1]

*Definition:* Classification of the meeting.

**Classification <Clssfctn>** contains one of the following elements (see "[MeetingTypeClassification2Choice](#)" on page 287 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd>               | [1..1] | CodeSet |             | 288  |
| Or} | Proprietary <Prtry>     | [1..1] | ±       |             | 288  |

### 3.4.5.5 AnnouncementDate <AnncmntDt>

*Presence:* [0..1]

*Definition:* Official meeting announcement date.

**AnnouncementDate <AnncmntDt>** contains one of the following elements (see "[DateAndDateTime2Choice](#)" on page 246 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type     | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Date <Dt>               | [1..1] | Date     |             | 247  |
| Or} | DateTime <DtTm>         | [1..1] | DateTime |             | 247  |

### 3.4.5.6 OneManOneVoteIndicator <OneManOneVoteInd>

*Presence:* [0..1]

*Definition:* Indicates whether the meeting vote is held under the "one-man-one-vote" principle, also known as "per capita vote" whereby the shareholder attending the meeting has one vote only, regardless of the holding positions.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 388):

- *Meaning When True:* Yes
- *Meaning When False:* No

### 3.4.5.7 Participation <Prtcptn>

*Presence:* [0..\*]

*Definition:* Method of voting participation to the general meeting and related voting deadline per method of participation.

**Participation <Prtcptn>** contains the following **ParticipationMethod2** elements

| Or | MessageElement<XML Tag>                              | Mult.  | Type      | Constr. No. | Page |
|----|--|--------|-----------|-------------|------|
|    | <b>ParticipationMethod</b> <PrtcptnMtd>              | [1..1] | ±         |             | 39   |
|    | <b>IssuerDeadlineForVoting</b> <IssrDdlnForVtng>     | [1..1] | ±         |             | 39   |
|    | <b>SupportedByAccountServicer</b> <SpprtdByAcctSvcr> | [0..1] | Indicator |             | 39   |
|    | <b>ResponseDeadlineForVoting</b> <RspnDdlnForVtng>   | [0..1] | ±         |             | 40   |

#### 3.4.5.7.1 ParticipationMethod <PrtcptnMtd>

*Presence:* [1..1]

*Definition:* Method of voting participation to the general meeting.

**ParticipationMethod <PrtcptnMtd>** contains one of the following elements (see "[ParticipationMethod3Choice](#)" on page 272 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd>               | [1..1] | CodeSet |             | 272  |
| Or} | Proprietary <Prtry>     | [1..1] | ±       |             | 273  |

#### 3.4.5.7.2 IssuerDeadlineForVoting <IssrDdlnForVtng>

*Presence:* [1..1]

*Definition:* Deadline for voting on agenda resolutions at the general meeting.

**IssuerDeadlineForVoting <IssrDdlnForVtng>** contains one of the following elements (see "[DateFormat58Choice](#)" on page 246 for details)

| Or  | MessageElement<XML Tag>   | Mult.  | Type    | Constr. No. | Page |
|-----|---------------------------|--------|---------|-------------|------|
| {Or | DateOrDateTime <DtOrDtTm> | [1..1] | ±       |             | 246  |
| Or} | DateCode <DtCd>           | [1..1] | CodeSet |             | 246  |

#### 3.4.5.7.3 SupportedByAccountServicer <SpprtdByAcctSvcr>

*Presence:* [0..1]

*Definition:* Indicates whether the specific participation method proposed by the issuer is supported by the account servicer.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 388):

- *Meaning When True:* Yes
- *Meaning When False:* No

### 3.4.5.7.4 ResponseDeadlineForVoting <RspnDdlInForVtng>

*Presence:* [0..1]

*Definition:* Account servicer deadline for voting on agenda resolutions at the general meeting.

**ResponseDeadlineForVoting <RspnDdlInForVtng>** contains one of the following elements (see "[DateFormat58Choice](#)" on page 246 for details)

| Or  | MessageElement<XML Tag>   | Mult.  | Type    | Constr. No. | Page |
|-----|---------------------------|--------|---------|-------------|------|
| {Or | DateOrDateTime <DtOrDtTm> | [1..1] | ±       |             | 246  |
| Or} | DateCode <DtCd>           | [1..1] | CodeSet |             | 246  |

### 3.4.5.8 Attendance <Attdnc>

*Presence:* [0..1]

*Definition:* Information and conditions for physical attendance at the general meeting.

**Attendance <Attdnc>** contains the following **Attendance2** elements

| Or | MessageElement<XML Tag>                          | Mult.  | Type | Constr. No. | Page |
|----|--|--------|------|-------------|------|
|    | <b>AdmissionConditions</b> <AdmssnConds>         | [0..7] | ±    |             | 40   |
|    | <b>ConfirmationInformation</b> <ConfInf>         | [0..1] | Text |             | 40   |
|    | <b>ConfirmationDeadline</b> <ConfDdlIn>          | [0..1] | ±    |             | 40   |
|    | <b>ConfirmationMarketDeadline</b> <ConfMktDdlIn> | [0..1] | ±    |             | 41   |

#### 3.4.5.8.1 AdmissionConditions <AdmssnConds>

*Presence:* [0..7]

*Definition:* Conditions for physical admittance to the general meeting.

**AdmissionConditions <AdmssnConds>** contains the following elements (see "[AttendanceAdmissionConditions2](#)" on page 282 for details)

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | Code <Cd>                        | [1..1] | CodeSet |             | 282  |
|    | AdditionalInformation <AddtlInf> | [0..1] | Text    |             | 283  |

#### 3.4.5.8.2 ConfirmationInformation <ConfInf>

*Presence:* [0..1]

*Definition:* Specifies how to order the attendance card or to give notice of attendance.

*Datatype:* "[Max350Text](#)" on page 391

#### 3.4.5.8.3 ConfirmationDeadline <ConfDdlIn>

*Presence:* [0..1]

*Definition:* Date and time by which the beneficial owner or agent must provide notification of its intention to participate in the meeting. This deadline is set by an intermediary.

**ConfirmationDeadline <ConfDdln>** contains one of the following elements (see "DateFormat58Choice" on page 246 for details)

| Or  | MessageElement<XML Tag>   | Mult.  | Type    | Constr. No. | Page |
|-----|---------------------------|--------|---------|-------------|------|
| {Or | DateOrDateTime <DtOrDtTm> | [1..1] | ±       |             | 246  |
| Or} | DateCode <DtCd>           | [1..1] | CodeSet |             | 246  |

#### 3.4.5.8.4 ConfirmationMarketDeadline <ConfMktDdln>

*Presence:* [0..1]

*Definition:* Date and time by which the attendance to the meeting should be confirmed. This deadline is set by the issuer.

**ConfirmationMarketDeadline <ConfMktDdln>** contains one of the following elements (see "DateFormat58Choice" on page 246 for details)

| Or  | MessageElement<XML Tag>   | Mult.  | Type    | Constr. No. | Page |
|-----|---------------------------|--------|---------|-------------|------|
| {Or | DateOrDateTime <DtOrDtTm> | [1..1] | ±       |             | 246  |
| Or} | DateCode <DtCd>           | [1..1] | CodeSet |             | 246  |

#### 3.4.5.9 AdditionalDocumentationURLAddress <AddtIDcmnttnURLAdr>

*Presence:* [0..\*]

*Definition:* Address to use over the www (HTTP) service where additional information on the meeting may be found.

*Datatype:* "Max2048Text" on page 391

#### 3.4.5.10 EventProcessingWebSiteAddress <EvtPrcgWebSiteAdr>

*Presence:* [0..1]

*Definition:* Provides web address of an account servicer (or of a service provider) that contains information solely intended for the immediate account holder to enable or facilitate event processing between parties.

*Datatype:* "Max2048Text" on page 391

#### 3.4.5.11 AdditionalProcedureDetails <AddtIPrcdrDtIs>

*Presence:* [0..5]

*Definition:* Additional procedural information about the general meeting, specifying the participation requirements and the voting procedures. Alternatively, this may indicate where such information may be obtained.

**AdditionalProcedureDetails <AddtlPrcdrDtls>** contains the following **AdditionalRights3** elements

| Or | MessageElement<XML Tag>  | Mult.  | Type | Constr. No. | Page |
|----|--|--------|------|-------------|------|
|    | <b>AdditionalRight</b> <AddtlRght>                               | [1..1] | ±    |             | 42   |
|    | <b>AdditionalRightInformationURLAddress</b> <AddtlRghtInfURLAdr> | [0..1] | Text |             | 42   |
|    | <b>AdditionalRightDeadline</b> <AddtlRghtDdln>                   | [0..1] | ±    |             | 42   |
|    | <b>AdditionalRightMarketDeadline</b> <AddtlRghtMktDdln>          | [0..1] | ±    |             | 42   |
|    | <b>AdditionalRightThreshold</b> <AddtlRghtThrshld>               | [0..1] | ±    |             | 43   |

#### 3.4.5.11.1 AdditionalRight <AddtlRght>

*Presence:* [1..1]

*Definition:* Specific rights granted to the shareholders that can be exercised at shareholders meetings, for example, the right to ask questions, the right to add items to the agenda or table draft resolutions.

**AdditionalRight <AddtlRght>** contains one of the following elements (see "[AdditionalRightCode1Choice](#)" on page 261 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd>               | [1..1] | CodeSet |             | 261  |
| Or} | Proprietary <Prtry>     | [1..1] | ±       |             | 262  |

#### 3.4.5.11.2 AdditionalRightInformationURLAddress <AddtlRghtInfURLAdr>

*Presence:* [0..1]

*Definition:* Address to use over the www (HTTP) service where additional information on specific rights granted to the shareholders can be found.

*Datatype:* "[Max2048Text](#)" on page 391

#### 3.4.5.11.3 AdditionalRightDeadline <AddtlRghtDdln>

*Presence:* [0..1]

*Definition:* Additional right granted to determine the date and time by which security holders can propose amendments or new resolutions. This deadline is set by an intermediary.

**AdditionalRightDeadline <AddtlRghtDdln>** contains one of the following elements (see "[DateFormat58Choice](#)" on page 246 for details)

| Or  | MessageElement<XML Tag>   | Mult.  | Type    | Constr. No. | Page |
|-----|---------------------------|--------|---------|-------------|------|
| {Or | DateOrDateTime <DtOrDtTm> | [1..1] | ±       |             | 246  |
| Or} | DateCode <DtCd>           | [1..1] | CodeSet |             | 246  |

#### 3.4.5.11.4 AdditionalRightMarketDeadline <AddtlRghtMktDdln>

*Presence:* [0..1]

*Definition:* Additional right granted to determine the date and time by which security holders can propose amendments or new resolutions. This deadline is set by the issuer.

**AdditionalRightMarketDeadline <AddtlRghtMktDdln>** contains one of the following elements (see "[DateFormat58Choice](#)" on page 246 for details)

| Or  | MessageElement<XML Tag>   | Mult.  | Type    | Constr. No. | Page |
|-----|---------------------------|--------|---------|-------------|------|
| {Or | DateOrDateTime <DtOrDtTm> | [1..1] | ±       |             | 246  |
| Or} | DateCode <DtCd>           | [1..1] | CodeSet |             | 246  |

### 3.4.5.11.5 AdditionalRightThreshold <AddtlRghtThrshld>

*Presence:* [0..1]

*Definition:* Additional right granted to specify the minimum stake in share capital or cash value or number of security holders required to table resolutions.

**AdditionalRightThreshold <AddtlRghtThrshld>** contains one of the following elements (see "[AdditionalRightThreshold1Choice](#)" on page 278 for details)

| Or  | MessageElement<XML Tag>                                   | Mult.  | Type | Constr. No. | Page |
|-----|---|--------|------|-------------|------|
| {Or | AdditionalRightThreshold <AddtlRghtThrshld>               | [1..1] | Text |             | 278  |
| Or} | AdditionalRightThresholdPercentage <AddtlRghtThrshldPctg> | [1..1] | Rate |             | 278  |

### 3.4.5.12 TotalNumberOfSecuritiesOutstanding <TtINbOfSciesOutsdng>

*Presence:* [0..1]

*Definition:* Number of securities admitted to the vote, expressed as an amount and a currency.

**TotalNumberOfSecuritiesOutstanding <TtINbOfSciesOutsdng>** contains one of the following elements (see "[FinancialInstrumentQuantity18Choice](#)" on page 348 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type     | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Unit <Unit>             | [1..1] | Quantity |             | 349  |
| Or} | FaceAmount <FaceAmt>    | [1..1] | Amount   |             | 349  |

### 3.4.5.13 TotalNumberOfVotingRights <TtINbOfVtngRghts>

*Presence:* [0..1]

*Definition:* Number of rights admitted to the vote.

*Datatype:* "Number" on page 389

### 3.4.5.14 ProxyAppointmentNotificationAddress <PrxyAppntmntNtfctnAdr>

*Presence:* [0..1]

*Definition:* Address where the information on the proxy should be sent.

**ProxyAppointmentNotificationAddress <PrxyAppntmntNtfctnAdr>** contains the following elements (see "PostalAddress1" on page 339 for details)

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 339  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 340  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 340  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 340  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 340  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 340  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 340  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 341  |

### 3.4.5.15 ProxyChoice <PrxyChc>

*Presence:* [0..1]

*Definition:* Specifies the proxy or whether a proxy is not allowed.

**ProxyChoice <PrxyChc>** contains one of the following **Proxy5Choice** elements

| Or  | MessageElement<XML Tag>               | Mult.  | Type    | Constr. No. | Page |
|-----|---------------------------------------|--------|---------|-------------|------|
| {Or | <b>Proxy</b> <Prxy>                   | [1..1] | ±       |             | 44   |
| Or} | <b>ProxyNotAllowed</b> <PrxyNotAllwd> | [1..1] | CodeSet |             | 44   |

#### 3.4.5.15.1 Proxy <Prxy>

*Presence:* [1..1]

*Definition:* Proxy assignment and registration information.

**Proxy <Prxy>** contains the following elements (see "ProxyAppointmentInformation6" on page 268 for details)

| Or | MessageElement<XML Tag>       | Mult.   | Type | Constr. No. | Page |
|----|-------------------------------|---------|------|-------------|------|
|    | RegistrationMethod <RegnMtd>  | [0..1]  | Text |             | 268  |
|    | Deadline <Ddln>               | [0..1]  | ±    |             | 269  |
|    | MarketDeadline <MktDdln>      | [0..1]  | ±    |             | 269  |
|    | AuthorisedProxy <AuthrsdPrxy> | [0..10] | ±    |             | 269  |

#### 3.4.5.15.2 ProxyNotAllowed <PrxyNotAllwd>

*Presence:* [1..1]

*Definition:* Indicates that no proxy is allowed for a meeting.

*Datatype:* "ProxyNotAllowed1Code" on page 376

| CodeName | Name       | Definition         |
|----------|------------|--------------------|
| NPRO     | NotAllowed | Proxy not allowed. |

### 3.4.5.16 ContactPersonDetails <CtctPrsnDtls>

*Presence:* [0..12]

*Definition:* Contact person at the party organising the meeting, at the issuer or at an intermediary.

**ContactPersonDetails <CtctPrsnDtls>** contains the following **MeetingContactPerson3** elements

| Or | MessageElement<XML Tag>                  | Mult.  | Type          | Constr. No. | Page |
|----|--|--------|---------------|-------------|------|
|    | <b>ContactPerson &lt;CtctPrsn&gt;</b>    | [0..1] | ±             |             | 45   |
|    | <b>EmployingParty &lt;EmplngPty&gt;</b>  | [0..1] | ±             |             | 45   |
|    | <b>PlaceOfListing &lt;PlcOfListg&gt;</b> | [0..1] | IdentifierSet |             | 46   |

#### 3.4.5.16.1 ContactPerson <CtctPrsn>

*Presence:* [0..1]

*Definition:* Identification of the contact person by its name, given name and address.

**ContactPerson <CtctPrsn>** contains the following elements (see "[ContactIdentification1](#)" on page 324 for details)

| Or | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|----|-------------------------|--------|---------|-------------|------|
|    | Name <Nm>               | [1..1] | Text    |             | 325  |
|    | NamePrefix <NmPrfx>     | [0..1] | CodeSet |             | 325  |
|    | GivenName <GvnNm>       | [0..1] | Text    |             | 325  |
|    | Role <Role>             | [0..1] | Text    |             | 325  |
|    | PhoneNumber <PhneNb>    | [0..1] | Text    |             | 325  |
|    | FaxNumber <FaxNb>       | [0..1] | Text    |             | 326  |
|    | EmailAddress <EmailAdr> | [0..1] | Text    |             | 326  |

#### 3.4.5.16.2 EmployingParty <EmplngPty>

*Presence:* [0..1]

*Definition:* Identification of the organisation which is represented by the person or for which the person works.

**EmployingParty <EmplngPty>** contains one of the following elements (see "PartyIdentification129Choice" on page 323 for details)

| Or  | MessageElement<XML Tag>             | Mult.  | Type          | Constr. No. | Page |
|-----|-------------------------------------|--------|---------------|-------------|------|
| {Or | AnyBIC <AnyBIC>                     | [1..1] | IdentifierSet | C1          | 323  |
| Or  | ProprietaryIdentification <PrtryId> | [1..1] | ±             |             | 324  |
| Or  | NameAndAddress <NmAndAdr>           | [1..1] | ±             |             | 324  |
| Or} | LEI <LEI>                           | [1..1] | IdentifierSet |             | 324  |

### 3.4.5.16.3 PlaceOfListing <PlcOfListg>

*Presence:* [0..1]

*Definition:* Identification of the financial market, as stipulated in the norm ISO 10383 'Codes for exchanges and market identifications'.

*Datatype:* "MICIdentifier" on page 388

### 3.4.5.17 ResultPublicationDate <RsltPblctnDt>

*Presence:* [0..1]

*Definition:* Date on which the company publishes the results of its meeting.

**ResultPublicationDate <RsltPblctnDt>** contains one of the following elements (see "DateFormat3Choice" on page 243 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Date <Dt>               | [1..1] | Date    |             | 243  |
| Or} | DateCode <DtCd>         | [1..1] | CodeSet |             | 243  |

### 3.4.5.18 SecuritiesBlockingPeriodEndDate <SctiesBlckgPrdEndDt>

*Presence:* [0..1]

*Definition:* Date by which the blocking period for the securities should end.

**SecuritiesBlockingPeriodEndDate <SctiesBlckgPrdEndDt>** contains one of the following elements (see "DateFormat60Choice" on page 244 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Date <Dt>               | [1..1] | ±       |             | 244  |
| Or} | DateCode <DtCd>         | [1..1] |         |             | 244  |
| {Or | Code <Cd>               | [1..1] | CodeSet |             | 244  |
| Or} | Proprietary <Prtry>     | [1..1] | ±       |             | 245  |

### 3.4.5.19 EntitlementFixingDate <EntitlmntFvgDt>

*Presence:* [0..1]

*Definition:* Date at which the positions are struck to record which parties will receive the entitlement, for example, record date, book close date.

**EntitlementFixingDate <EntitlmtFxdt>** contains the following elements (see "[DateFormat1](#)" on page 245 for details)

| Or | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|----|-------------------------|--------|---------|-------------|------|
|    | Date <Dt>               | [1..1] | ±       |             | 245  |
|    | DateMode <DtMd>         | [0..1] | CodeSet |             | 246  |

### 3.4.5.20 RegistrationSecuritiesDeadline <RegnSctiesDdln>

*Presence:* [0..1]

*Definition:* Date by which the securities have to be registered. This deadline is specified by an intermediary.

**RegistrationSecuritiesDeadline <RegnSctiesDdln>** contains one of the following elements (see "[DateFormat58Choice](#)" on page 246 for details)

| Or  | MessageElement<XML Tag>   | Mult.  | Type    | Constr. No. | Page |
|-----|---------------------------|--------|---------|-------------|------|
| {Or | DateOrDateTime <DtOrDtTm> | [1..1] | ±       |             | 246  |
| Or} | DateCode <DtCd>           | [1..1] | CodeSet |             | 246  |

### 3.4.5.21 RegistrationSecuritiesMarketDeadline <RegnSctiesMktDdln>

*Presence:* [0..1]

*Definition:* Date by which the securities have to be registered. This deadline is set by the issuer.

**RegistrationSecuritiesMarketDeadline <RegnSctiesMktDdln>** contains one of the following elements (see "[DateFormat58Choice](#)" on page 246 for details)

| Or  | MessageElement<XML Tag>   | Mult.  | Type    | Constr. No. | Page |
|-----|---------------------------|--------|---------|-------------|------|
| {Or | DateOrDateTime <DtOrDtTm> | [1..1] | ±       |             | 246  |
| Or} | DateCode <DtCd>           | [1..1] | CodeSet |             | 246  |

## 3.4.6 MeetingDetails <MtgDtls>

*Presence:* [1..5]

*Definition:* Dates and details of the shareholders meeting.

*Impacted by:* [C9 "DateStatus1Rule"](#)

**MeetingDetails <MtgDtls>** contains the following **Meeting6** elements

| Or | MessageElement<XML Tag>         | Mult.  | Type      | Constr. No. | Page |
|----|---------------------------------|--------|-----------|-------------|------|
|    | <b>DateAndTime</b> <DtAndTm>    | [1..1] | ±         |             | 48   |
|    | <b>DateStatus</b> <DtSts>       | [0..1] | CodeSet   |             | 48   |
|    | <b>QuorumRequired</b> <QrmReqr> | [0..1] | Indicator |             | 48   |
|    | <b>Location</b> <Lctn>          | [1..5] | ±         |             | 49   |
|    | <b>QuorumQuantity</b> <QrmQty>  | [0..1] | ±         |             | 49   |
|    | <b>URLAddress</b> <URLAdr>      | [0..1] | Text      |             | 49   |

**Constraints**

- **DateStatus1Rule**

If DateAndTime/DateCode is "UKWN" (Unknown), then DateStatus must not be present.

On Condition

/DateAndTime/DateCode is equal to value 'Unknown'

Following Must be True

/DateStatus Must be absent

**3.4.6.1 DateAndTime <DtAndTm>**

*Presence:* [1..1]

*Definition:* Date and time at which the meeting will take place.

**DateAndTime <DtAndTm>** contains one of the following elements (see ["DateFormat58Choice"](#) on page 246 for details)

| Or  | MessageElement<XML Tag>   | Mult.  | Type    | Constr. No. | Page |
|-----|---------------------------|--------|---------|-------------|------|
| {Or | DateOrDateTime <DtOrDtTm> | [1..1] | ±       |             | 246  |
| Or} | DateCode <DtCd>           | [1..1] | CodeSet |             | 246  |

**3.4.6.2 DateStatus <DtSts>**

*Presence:* [0..1]

*Definition:* Status of the meeting date.

*Datatype:* ["MeetingDateStatus2Code"](#) on page 371

| CodeName | Name      | Definition                 |
|----------|-----------|----------------------------|
| CNFR     | Confirmed | Meeting date is confirmed. |
| TNTA     | Tentative | Meeting date is tentative. |

**3.4.6.3 QuorumRequired <QrmReqr>**

*Presence:* [0..1]

*Definition:* Indicates whether a minimum number of security representation is required to hold a meeting.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 388):

- *Meaning When True:* Yes
- *Meaning When False:* No

### 3.4.6.4 Location <Lctn>

*Presence:* [1..5]

*Definition:* Location at which the meeting will take place.

**Location <Lctn>** contains one of the following elements (see "[LocationFormat1Choice](#)" on page 281 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Address <Adr>           | [1..1] | ±       |             | 281  |
| Or} | LocationCode <LctnCd>   | [1..1] | CodeSet |             | 282  |

### 3.4.6.5 QuorumQuantity <QrmQty>

*Presence:* [0..1]

*Definition:* Minimum quantity of securities required to hold a meeting.

**QuorumQuantity <QrmQty>** contains one of the following elements (see "[QuorumQuantity1Choice](#)" on page 272 for details)

| Or  | MessageElement<XML Tag>               | Mult.  | Type | Constr. No. | Page |
|-----|---------------------------------------|--------|------|-------------|------|
| {Or | QuorumQuantity <QrmQty>               | [1..1] | Text |             | 272  |
| Or} | QuorumQuantityPercentage <QrmQtyPctg> | [1..1] | Rate |             | 272  |

### 3.4.6.6 URLAddress <URLAdr>

*Presence:* [0..1]

*Definition:* Address for the Universal Resource Locator (URL), for example, used over the www (HTTP) service.

*Datatype:* "[Max2048Text](#)" on page 391

## 3.4.7 Issuer <Issr>

*Presence:* [1..1]

*Definition:* Institution that is the issuer of the security to which the meeting applies.

**Issuer <Issr>** contains the following elements (see "[IssuerInformation3](#)" on page 287 for details)

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | Identification <Id>     | [1..1] | ±    |             | 287  |
|    | URLAddress <URLAdr>     | [0..1] | Text |             | 287  |

### 3.4.8 IssuerAgent <IssrAgt>

*Presence:* [0..10]

*Definition:* Agent of the issuer.

**IssuerAgent <IssrAgt>** contains the following elements (see "[IssuerAgent3](#)" on page 312 for details)

| Or | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|----|-------------------------|--------|---------|-------------|------|
|    | Identification <Id>     | [1..1] | ±       |             | 312  |
|    | Role <Role>             | [0..1] | CodeSet |             | 313  |

### 3.4.9 Security <Scty>

*Presence:* [1..200]

*Definition:* Financial instrument identification and net position of a segregated holding, in a single security, within the overall position held in a securities account.

**Security <Scty>** contains the following **SecurityPosition16** elements

| Or  | MessageElement<XML Tag>                                | Mult.     | Type    | Constr. No.             | Page |
|-----|--|-----------|---------|-------------------------|------|
|     | <b>FinancialInstrumentIdentification</b> <FinInstrmId> | [1..1]    | ±       | C10, C11, C15, C16, C18 | 51   |
|     | <b>Position</b> <Pos>                                  | [0..1000] |         | C1, C2, C3, C14, C21    | 52   |
|     | <b>AccountIdentification</b> <AcctId>                  | [0..1]    | Text    |                         | 53   |
|     | <b>BlockChainAddressOrWallet</b> <BlckChainAdrOrWlt>   | [0..1]    | Text    |                         | 53   |
|     | <b>AccountOwner</b> <AcctOwnr>                         | [0..1]    |         |                         | 53   |
| {Or | <b>LegalPerson</b> <LglPrsn>                           | [1..1]    | ±       |                         | 53   |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                        | [1..*]    | ±       |                         | 54   |
|     | <b>HoldingBalance</b> <HldgBal>                        | [0..15]   |         |                         | 54   |
|     | <b>Balance</b> <Bal>                                   | [1..1]    | ±       |                         | 55   |
|     | <b>BalanceType</b> <BalTp>                             | [1..1]    | CodeSet |                         | 55   |
|     | <b>SafekeepingPlace</b> <SfkpgPlc>                     | [0..1]    | ±       |                         | 56   |
|     | <b>Date</b> <Dt>                                       | [0..1]    | Date    |                         | 57   |
|     | <b>RightsHolder</b> <RghtsHldr>                        | [0..250]  |         |                         | 57   |
| {Or | <b>LegalPerson</b> <LglPrsn>                           | [1..1]    | ±       |                         | 57   |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                        | [1..*]    | ±       |                         | 58   |

### 3.4.9.1 FinancialInstrumentIdentification <FinInstrmId>

Presence: [1..1]

Definition: Identification of the security, as assigned under a formal or proprietary identification scheme.

Impacted by: C10 "DescriptionPresenceRule", C11 "DescriptionUsageRule", C15 "ISINGuideline", C16 "ISINPresenceRule", C18 "OtherIdentificationPresenceRule"

**FinancialInstrumentIdentification <FinInstrmId>** contains the following elements (see "SecurityIdentification19" on page 256 for details)

| Or | MessageElement<XML Tag>       | Mult.  | Type          | Constr. No. | Page |
|----|-------------------------------|--------|---------------|-------------|------|
|    | ISIN <ISIN>                   | [0..1] | IdentifierSet |             | 257  |
|    | OtherIdentification <OthrlId> | [0..*] |               |             | 257  |
|    | Identification <Id>           | [1..1] | Text          |             | 258  |
|    | Suffix <Sfx>                  | [0..1] | Text          |             | 258  |
|    | Type <Tp>                     | [1..1] | ±             |             | 258  |
|    | Description <Desc>            | [0..1] | Text          |             | 258  |

#### Constraints

- **DescriptionPresenceRule**

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

```
On Condition
  /Description is absent
Following Must be True
  /ISIN Must be present
Or   /OtherIdentification[*] Must be present
```

- **DescriptionUsageRule**

Description must be used alone as the last resort.

- **ISINGuideline**

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

- **ISINPresenceRule**

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

```
On Condition
  /ISIN is absent
Following Must be True
  /OtherIdentification[*] Must be present
Or   /Description Must be present
```

- **OtherIdentificationPresenceRule**

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

```
On Condition
  /OtherIdentification[*] is absent
Following Must be True
```

/ISIN Must be present  
Or /Description Must be present

### 3.4.9.2 Position <Pos>

Presence: [0..1000]

Definition: Amount of securities that are eligible for the vote.

Impacted by: C1 "AccountIdentificationOrBlockChainAddress1Rule", C2 "AccountIdentificationOrBlockChainAddress2Rule", C3 "AccountIdentificationOrBlockChainAddress3Rule", C14 "HoldingBalanceTypeRule", C21 "RightsHolderMultiplicity1Guideline"

Position <Pos> contains the following EligiblePosition13 elements

| Or  | MessageElement<XML Tag>                                | Mult.    | Type    | Constr. No. | Page |
|-----|--|----------|---------|-------------|------|
|     | <b>AccountIdentification</b> <AcctId>                  | [0..1]   | Text    |             | 53   |
|     | <b>BlockChainAddressOrWallet</b> <BlckChainAdrOrWllet> | [0..1]   | Text    |             | 53   |
|     | <b>AccountOwner</b> <AcctOwnr>                         | [0..1]   |         |             | 53   |
| {Or | <b>LegalPerson</b> <LglPrsn>                           | [1..1]   | ±       |             | 53   |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                        | [1..*]   | ±       |             | 54   |
|     | <b>HoldingBalance</b> <HldgBal>                        | [0..15]  |         |             | 54   |
|     | <b>Balance</b> <Bal>                                   | [1..1]   | ±       |             | 55   |
|     | <b>BalanceType</b> <BalTp>                             | [1..1]   | CodeSet |             | 55   |
|     | <b>SafekeepingPlace</b> <SfkpgPlc>                     | [0..1]   | ±       |             | 56   |
|     | <b>Date</b> <Dt>                                       | [0..1]   | Date    |             | 57   |
|     | <b>RightsHolder</b> <RghtsHldr>                        | [0..250] |         |             | 57   |
| {Or | <b>LegalPerson</b> <LglPrsn>                           | [1..1]   | ±       |             | 57   |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                        | [1..*]   | ±       |             | 58   |

#### Constraints

- **AccountIdentificationOrBlockChainAddress1Rule**

Either AccountIdentification or BlockChainAddressOrWallet must be present but not both.

Following Must be True

/AccountIdentification Must be present  
Or /BlockChainAddressOrWallet Must be present

- **AccountIdentificationOrBlockChainAddress2Rule**

If BlockChainAddressOrWallet is present then AccountIdentification must be absent.

On Condition

/BlockChainAddressOrWallet is present  
Following Must be True  
/AccountIdentification Must be absent

- **AccountIdentificationOrBlockchainAddress3Rule**

If AccountIdentification is present, then BlockchainAddressOrWallet must be absent.

```
On Condition
  /AccountIdentification is present
Following Must be True
  /BlockchainAddressOrWallet Must be absent
```

- **HoldingBalanceTypeRule**

In all occurrences of HoldingBalance, one and only one BalanceType may be ELIG (Eligible).

- **RightsHolderMultiplicity1Guideline**

It is recommended that RightsHolder is only present more than once if there is joint ownership.

### 3.4.9.2.1 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the securities account.

*Datatype:* "Max35Text" on page 391

### 3.4.9.2.2 BlockchainAddressOrWallet <BlckChainAdrOrWllt>

*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 390

### 3.4.9.2.3 AccountOwner <AcctOwnr>

*Presence:* [0..1]

*Definition:* Party that legally owns the account.

**AccountOwner <AcctOwnr>** contains one of the following **PartyIdentification231Choice** elements

| Or  | MessageElement<XML Tag>         | Mult.  | Type | Constr. No. | Page |
|-----|---------------------------------|--------|------|-------------|------|
| {Or | <b>LegalPerson</b> <LglPrsn>    | [1..1] | ±    |             | 53   |
| Or} | <b>NaturalPerson</b> <NtrlPrsn> | [1..*] | ±    |             | 54   |

#### 3.4.9.2.3.1 LegalPerson <LglPrsn>

*Presence:* [1..1]

*Definition:* Legal entity.

**LegalPerson <LgIPrsn>** contains the following elements (see "[PartyIdentification221](#)" on page 318 for details)

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>        | [1..1] |         |             | 318  |
|    | Name <Nm>                        | [1..1] | Text    |             | 319  |
|    | Address <Adr>                    | [0..1] |         |             | 319  |
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 320  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 320  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 320  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 320  |
|    | PostBox <PstBx>                  | [0..1] | Text    |             | 320  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 320  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 321  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 321  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 321  |
|    | EmailAddress <EmailAdr>          | [0..1] | Text    |             | 321  |
|    | Identification <Id>              | [1..1] | ±       |             | 321  |

#### 3.4.9.2.3.2 NaturalPerson <NtrIPrsn>

*Presence:* [1..\*]

*Definition:* Private person.

**NaturalPerson <NtrIPrsn>** contains the following elements (see "[PartyIdentification238](#)" on page 305 for details)

| Or | MessageElement<XML Tag>               | Mult.  | Type    | Constr. No. | Page |
|----|---------------------------------------|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>             | [1..1] | ±       |             | 305  |
|    | EmailAddress <EmailAdr>               | [0..1] | Text    |             | 306  |
|    | Identification <Id>                   | [1..1] | ±       |             | 306  |
|    | Nationality <Ntlty>                   | [0..1] | CodeSet | C3          | 306  |
|    | DateAndPlaceOfBirth <DtAndPlcOfBirth> | [0..1] | ±       |             | 307  |

#### 3.4.9.2.4 HoldingBalance <HldgBal>

*Presence:* [0..15]

*Definition:* Net position of a segregated holding of a single security within the overall position held in a securities account, for example, sub-balance per status.

**HoldingBalance <HldgBal>** contains the following **HoldingBalance11** elements

| Or | MessageElement<XML Tag>            | Mult.  | Type    | Constr. No. | Page |
|----|------------------------------------|--------|---------|-------------|------|
|    | <b>Balance</b> <Bal>               | [1..1] | ±       |             | 55   |
|    | <b>BalanceType</b> <BalTp>         | [1..1] | CodeSet |             | 55   |
|    | <b>SafekeepingPlace</b> <SfkpgPlc> | [0..1] | ±       |             | 56   |
|    | <b>Date</b> <Dt>                   | [0..1] | Date    |             | 57   |

#### 3.4.9.2.4.1 Balance <Bal>

*Presence:* [1..1]

*Definition:* Total quantity of financial instrument for the referenced holding.

**Balance <Bal>** contains the following elements (see "[SignedQuantityFormat14](#)" on page 343 for details)

| Or  | MessageElement<XML Tag>        | Mult.  | Type     | Constr. No. | Page |
|-----|--------------------------------|--------|----------|-------------|------|
|     | ShortLongPosition <ShrtLngPos> | [1..1] | CodeSet  |             | 343  |
|     | Quantity <Qty>                 | [1..1] |          | C9          | 343  |
| {Or | Unit <Unit>                    | [1..1] | Quantity |             | 344  |
| Or  | FaceAmount <FaceAmt>           | [1..1] | Amount   |             | 344  |
| Or} | DigitalTokenUnit <DgtlTknUnit> | [1..1] | Quantity |             | 344  |

#### 3.4.9.2.4.2 BalanceType <BalTp>

*Presence:* [1..1]

*Definition:* Reason a security is not available or additional information about the financial instrument for which the balance is given, for example, unregistered, registered in nominee name.

*Datatype:* "[SecuritiesEntryType2Code](#)" on page 380

| CodeName | Name            | Definition   |
|----------|-----------------|--|
| BLOK     | Blocked         | Balance of securities that are blocked or frozen. A financial instrument may be unavailable due to external circumstances such as a court order, death of beneficiary or account owner, or bankruptcy. |
| ELIG     | Eligible        | Total number of securities eligible for this event.  |
| PEND     | PendingDelivery | Balance of securities that are pending delivery.   |
| PENR     | PendingReceipt  | Balance of securities that are pending receipt.  |
| NOMI     | Registered      | Balance of securities that are registered (in the name of a nominee or of the beneficial owner).   |

| CodeName | Name                | Definition  |
|----------|---------------------|---|
| SETD     | Settled             | Balance of securities representing only settled transactions.   |
| BORR     | Borrowed            | Balance of securities that have been borrowed from another party.   |
| LOAN     | OnLoan              | Balance of securities that have been loaned to a third party.   |
| SPOS     | StreetPosition      | Balance of securities that remain registered in the name of the prior beneficial owner of securities.   |
| TRAD     | Traded              | Balance of securities representing traded transactions.   |
| COLI     | CollateralIn        | Balance of securities that belong to a third party and that are held for the purpose of collateralisation.  |
| COLO     | CollateralOut       | Balance of securities that belong to the safekeeping account indicated within this message, and are deposited with a third party for the purpose of collateralisation.              |
| UNBA     | UninstructedBalance | Balance of uninstructed position.   |
| INBA     | InstructedBalance   | Balance of instructed position.   |
| REGO     | OutForRegistration  | Balance of securities currently being processed by the institution responsible for registering the new beneficial owner (or nominee) of securities after a transaction has settled. |

### 3.4.9.2.4.3 SafekeepingPlace <SfkpgPlc>

*Presence:* [0..1]

*Definition:* Place where the securities are safe-kept, physically or notionally. This place can be, for example, a local custodian, a Central Securities Depository (CSD) or an International Central Securities Depository (ICSD).

**SafekeepingPlace <SfkpgPlc>** contains one of the following elements (see "SafekeepingPlaceFormat28Choice" on page 346 for details)

| Or  | MessageElement<XML Tag>           | Mult.  | Type          | Constr. No. | Page |
|-----|-----------------------------------|--------|---------------|-------------|------|
| {Or | Identification <Id>               | [1..1] |               |             | 346  |
|     | SafekeepingPlaceType <SfkpgPlcTp> | [1..1] | CodeSet       |             | 346  |
|     | Identification <Id>               | [0..1] | Text          |             | 347  |
| Or  | Country <Ctry>                    | [1..1] | CodeSet       | C3          | 347  |
| Or  | TypeAndIdentification <TpAndId>   | [1..1] |               |             | 347  |
|     | SafekeepingPlaceType <SfkpgPlcTp> | [1..1] | CodeSet       |             | 347  |
|     | Identification <Id>               | [1..1] | IdentifierSet | C1          | 348  |
| Or} | Proprietary <Prtry>               | [1..1] | ±             |             | 348  |

**3.4.9.2.4.4 Date <Dt>***Presence:* [0..1]*Definition:* Date of the entitlement.*Datatype:* "ISODate" on page 386**3.4.9.2.5 RightsHolder <RghtsHldr>***Presence:* [0..250]*Definition:* Owner of the voting rights.**RightsHolder <RghtsHldr>** contains one of the following **PartyIdentification246Choice** elements

| Or  | MessageElement<XML Tag>         | Mult.  | Type | Constr. No. | Page |
|-----|---------------------------------|--------|------|-------------|------|
| {Or | <b>LegalPerson</b> <LglPrsn>    | [1..1] | ±    |             | 57   |
| Or} | <b>NaturalPerson</b> <NtrlPrsn> | [1..*] | ±    |             | 58   |

**3.4.9.2.5.1 LegalPerson <LglPrsn>***Presence:* [1..1]*Definition:* Legal entity.

**LegalPerson <LgIPrsn>** contains the following elements (see "[PartyIdentification269](#)" on page 295 for details)

| Or | MessageElement<XML Tag>                                      | Mult.  | Type    | Constr. No. | Page |
|----|--|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>                                    | [1..1] |         |             | 296  |
|    | Name <Nm>  | [1..1] | Text    |             | 297  |
|    | Address <Adr>  | [0..1] |         |             | 297  |
|    | AddressType <AdrTp>  | [0..1] | CodeSet |             | 298  |
|    | AddressLine <AdrLine>  | [0..5] | Text    |             | 298  |
|    | StreetName <StrtNm>  | [0..1] | Text    |             | 298  |
|    | BuildingNumber <BldgNb>                                      | [0..1] | Text    |             | 298  |
|    | PostBox <PstBx>  | [0..1] | Text    |             | 298  |
|    | PostCode <PstCd>   | [0..1] | Text    |             | 298  |
|    | TownName <TwnNm>   | [0..1] | Text    |             | 299  |
|    | CountrySubDivision <CtrySubDvsn>                             | [0..1] | Text    |             | 299  |
|    | Country <Ctry>   | [1..1] | CodeSet | C3          | 299  |
|    | EmailAddress <EmailAdr>                                      | [0..1] | Text    |             | 299  |
|    | Identification <Id>  | [0..1] | ±       |             | 299  |
|    | CompanyRegisterShareholderIdentification <CpnyRegrShrhldrid> | [0..1] | Text    |             | 299  |
|    | CountryOfIncorporation <CtryOfIncorptrn>                     | [0..1] | CodeSet | C3          | 300  |

### 3.4.9.2.5.2 NaturalPerson <NtrIPrsn>

*Presence:* [1..\*]

*Definition:* Private person.

**NaturalPerson <NtrIPrsn>** contains the following elements (see "[PartyIdentification250](#)" on page 300 for details)

| Or | MessageElement<XML Tag>                                      | Mult.  | Type    | Constr. No. | Page |
|----|--|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>                                    | [1..1] | ±       |             | 300  |
|    | EmailAddress <EmailAdr>                                      | [0..1] | Text    |             | 301  |
|    | Identification <Id>  | [0..1] | ±       |             | 301  |
|    | Nationality <Ntlty>  | [0..1] | CodeSet | C3          | 301  |
|    | DateAndPlaceOfBirth <DtAndPlcOfBirth>                        | [0..1] | ±       |             | 302  |
|    | CompanyRegisterShareholderIdentification <CpnyRegrShrhldrid> | [0..1] | Text    |             | 302  |

### 3.4.10 Resolution <Rsltn>

*Presence:* [0..1000]

*Definition:* Detailed information of a resolution proposed to the vote.

*Impacted by:* C25 "VotingRightsTresholdForApproval1Rule"

**Resolution <Rsltn>** contains the following **Resolution7** elements

| Or | MessageElement<XML Tag>   | Mult.  | Type      | Constr. No. | Page |
|----|---|--------|-----------|-------------|------|
|    | <b>IssuerLabel</b> <IssrLbl>  | [1..1] | Text      |             | 59   |
|    | <b>Description</b> <Desc>   | [0..*] |           |             | 60   |
|    | <b>Language</b> <Lang>  | [1..1] | CodeSet   |             | 60   |
|    | <b>Title</b> <Titl>   | [0..1] | Text      |             | 60   |
|    | <b>Description</b> <Desc>   | [0..*] | Text      |             | 60   |
|    | <b>ListingGroupResolutionLabel</b> <ListgGrpRsltnLbl>               | [0..1] | Text      |             | 60   |
|    | <b>Type</b> <Tp>  | [0..1] | CodeSet   |             | 60   |
|    | <b>ForInformationOnly</b> <ForInfOnly>                              | [1..1] | Indicator |             | 61   |
|    | <b>VoteType</b> <VoteTp>  | [0..1] | CodeSet   |             | 61   |
|    | <b>Status</b> <Sts>   | [1..1] | CodeSet   |             | 61   |
|    | <b>SubmittedBySecurityHolder</b> <SubmittdBySctyHldr>               | [0..1] | Indicator |             | 61   |
|    | <b>RightToWithdrawIndicator</b> <RghtToWdrwInd>                     | [0..1] | Indicator |             | 62   |
|    | <b>VoteInstructionType</b> <VoteInstrTp>                            | [0..*] | ±         | C5          | 62   |
|    | <b>ManagementRecommendation</b> <MgmtRcmmndtn>                      | [0..1] | CodeSet   |             | 62   |
|    | <b>NotifyingPartyRecommendation</b> <NtifngPtyRcmmndtn>             | [0..1] | CodeSet   |             | 63   |
|    | <b>Entitlement</b> <Entitlmnt>                                      | [0..1] | ±         |             | 64   |
|    | <b>VotingRightsThresholdForApproval</b> <VtngRghtsThrshldForApprvl> | [0..*] | ±         |             | 64   |
|    | <b>URLAddress</b> <URLAdr>  | [0..1] | Text      |             | 64   |

#### Constraints

- **VotingRightsTresholdForApproval1Rule**

If VotingRightThresholdForApproval is present more than once, then ThresholdBasis is mandatory in each occurrence of VotingRightThresholdForApproval and the value of the ThresholdBasis/Code element must be different in each occurrence.

#### 3.4.10.1 IssuerLabel <IssrLbl>

*Presence:* [1..1]

*Definition:* Number of the resolution as specified by the issuer or its agent.

*Datatype:* "Max35Text" on page 391

### 3.4.10.2 Description <Desc>

*Presence:* [0..\*]

*Definition:* Language, title and textual description of an agenda resolution.

**Description <Desc>** contains the following **ItemDescription2** elements

| Or | MessageElement<XML Tag>   | Mult.  | Type    | Constr. No. | Page |
|----|---------------------------|--------|---------|-------------|------|
|    | <b>Language</b> <Lang>    | [1..1] | CodeSet |             | 60   |
|    | <b>Title</b> <Titl>       | [0..1] | Text    |             | 60   |
|    | <b>Description</b> <Desc> | [0..*] | Text    |             | 60   |

#### 3.4.10.2.1 Language <Lang>

*Presence:* [1..1]

*Definition:* Language used to provide a description of the item and specified in the ISO 639-1 language code standard.

*Datatype:* "ISO2ALanguageCode" on page 371

#### 3.4.10.2.2 Title <Titl>

*Presence:* [0..1]

*Definition:* Abbreviated description of the item.

*Datatype:* "Max1025Text" on page 390

#### 3.4.10.2.3 Description <Desc>

*Presence:* [0..\*]

*Definition:* Free textual description of the item in the specified language.

*Datatype:* "Max8000Text" on page 393

### 3.4.10.3 ListingGroupResolutionLabel <ListgGrpRslnLabl>

*Presence:* [0..1]

*Definition:* Identifies under the same label a group of agenda resolutions for which a vote in favour can be assigned to only one resolution of that group.

*Datatype:* "Max35Text" on page 391

### 3.4.10.4 Type <Tp>

*Presence:* [0..1]

*Definition:* Type of resolution.

*Datatype:* "ResolutionType2Code" on page 379

| CodeName | Name          | Definition  |
|----------|---------------|---|
| EXTR     | Extraordinary | Meeting resolution is extraordinary and may be subject to specific voting requirements.         |
| SPCL     | Special       | Resolution that is neither ordinary nor extraordinary (eg. decision on an investment strategy). |

### 3.4.10.5 ForInformationOnly <ForInfOnly>

*Presence:* [1..1]

*Definition:* Indicates whether the resolution is listed for information or for voting.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 388):

- *Meaning When True:* Yes
- *Meaning When False:* No

### 3.4.10.6 VoteType <VoteTp>

*Presence:* [0..1]

*Definition:* Impact of vote results on an agenda resolution.

*Datatype:* "[VoteType1Code](#)" on page 385

| CodeName | Name     | Definition  |
|----------|----------|---|
| ADVI     | Advisory | Results of a vote on a proposal is for advice only. |
| BNDG     | Binding  | Results of a vote on a proposal is binding.         |

### 3.4.10.7 Status <Sts>

*Presence:* [1..1]

*Definition:* Specifies whether the resolution is active or withdrawn.

*Datatype:* "[ResolutionStatus1Code](#)" on page 379

| CodeName | Name      | Definition   |
|----------|-----------|--|
| ACTV     | Active    | Meeting resolution has to be voted for by the participants to a general meeting. |
| WDRA     | Withdrawn | Meeting resolution has been withdrawn.   |

### 3.4.10.8 SubmittedBySecurityHolder <SubmittdBySctyHldr>

*Presence:* [0..1]

*Definition:* Indicates whether the resolution has been submitted by the security holder.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 388):

- *Meaning When True:* Yes
- *Meaning When False:* No

### 3.4.10.9 RightToWithdrawIndicator <RghtToWdrwInd>

Presence: [0..1]

Definition: Indicates whether a client who has not voted in favour of the resolutions which is finally approved, has the right to withdraw from a related corporate action event.

Datatype: One of the following values must be used (see "YesNoIndicator" on page 388):

- Meaning When True: Yes
- Meaning When False: No

### 3.4.10.10 VoteInstructionType <VoteInstrTp>

Presence: [0..\*]

Definition: Vote options allowed at the resolution level. When specified, it supersedes the vote options given for the meeting.

Impacted by: C5 "AdditionalInformationRule"

VoteInstructionType <VoteInstrTp> contains the following elements (see "VoteInstructionType1" on page 277 for details)

| Or | MessageElement<XML Tag>                 | Mult.  | Type | Constr. No. | Page |
|----|---|--------|------|-------------|------|
|    | VoteInstructionTypeCode <VoteInstrTpCd> | [1..1] | ±    |             | 277  |
|    | AdditionalInformation <AddtlInf>        | [0..1] | Text |             | 277  |

#### Constraints

- **AdditionalInformationRule**

If AdditionalInformation is present, then VoteInstructionTypeCode/Proprietary/Identification must be present.

On Condition

    /AdditionalInformation is present

Following Must be True

    /VoteInstructionTypeCode/Proprietary/Identification Must be present

### 3.4.10.11 ManagementRecommendation <MgmtRcmmdtn>

Presence: [0..1]

Definition: Specifies how the management of the issuing company wishes the security holders to vote.

Datatype: "VoteInstruction5Code" on page 383

| CodeName | Name     | Definition   |
|----------|----------|--|
| ABST     | Abstain  | Active vote expressed as abstain (no opinion).                       |
| CAGS     | Against  | Vote against a meeting resolution.                                   |
| CHRM     | Chairman | Rights holder gives authority to the chairman to vote on his behalf. |
| CFOR     | For      | Vote in favour of a meeting resolution.                              |
| NOAC     | NoAction | Do not vote.   |

| CodeName | Name             | Definition   |
|----------|------------------|--|
| WTHH     | Withhold         | Participant to a meeting withholds its vote for a meeting resolution. This action is usually taken in order to indicate a strong disagreement with a resolution (US market). |
| ONEY     | OneYear          | Vote in favour for one year for "say on pay" type of resolution.   |
| THRY     | ThreeYears       | Vote in favour for three years for "say on pay" type of resolution.  |
| TWOY     | TwoYears         | Vote in favour for two years for "say on pay" type of resolution.  |
| BLNK     | Blank            | Vote is cast as empty but the vote is counted.   |
| NREC     | NoRecommendation | No recommendation provided for the vote instruction type.  |

### 3.4.10.12 NotifyingPartyRecommendation <NtifngPtyRcmmndtn>

*Presence:* [0..1]

*Definition:* Specifies how the notifying party recommends that the security holders vote.

*Datatype:* "VoteInstruction5Code" on page 383

| CodeName | Name             | Definition   |
|----------|------------------|--|
| ABST     | Abstain          | Active vote expressed as abstain (no opinion).   |
| CAGS     | Against          | Vote against a meeting resolution.   |
| CHRM     | Chairman         | Rights holder gives authority to the chairman to vote on his behalf.   |
| CFOR     | For              | Vote in favour of a meeting resolution.  |
| NOAC     | NoAction         | Do not vote.   |
| WTHH     | Withhold         | Participant to a meeting withholds its vote for a meeting resolution. This action is usually taken in order to indicate a strong disagreement with a resolution (US market). |
| ONEY     | OneYear          | Vote in favour for one year for "say on pay" type of resolution.   |
| THRY     | ThreeYears       | Vote in favour for three years for "say on pay" type of resolution.  |
| TWOY     | TwoYears         | Vote in favour for two years for "say on pay" type of resolution.  |
| BLNK     | Blank            | Vote is cast as empty but the vote is counted.   |
| NREC     | NoRecommendation | No recommendation provided for the vote instruction type.  |

### 3.4.10.13 Entitlement <Entitlmnt>

*Presence:* [0..1]

*Definition:* Number of votes assigned per resolution to one security.

**Entitlement <Entitlmnt>** contains one of the following elements (see "[Entitlement1Choice](#)" on page 276 for details)

| Or  | MessageElement<XML Tag>                | Mult.  | Type     | Constr. No. | Page |
|-----|--|--------|----------|-------------|------|
| {Or | EntitlementRatio <EntitlmntRatio>      | [1..1] | Quantity |             | 277  |
| Or} | EntitlementDescription <EntitlmntDesc> | [1..1] | Text     |             | 277  |

### 3.4.10.14 VotingRightsThresholdForApproval <VtngRghtsThrshldForApprvl>

*Presence:* [0..\*]

*Definition:* Voting rights threshold and threshold basis to have a meeting resolution approved.

**VotingRightsThresholdForApproval <VtngRghtsThrshldForApprvl>** contains the following elements (see "[VotingRightsThreshold1](#)" on page 270 for details)

| Or  | MessageElement<XML Tag>      | Mult.  | Type    | Constr. No. | Page |
|-----|------------------------------|--------|---------|-------------|------|
|     | Threshold <Thrshld>          | [1..1] | ±       |             | 271  |
|     | ThresholdBasis <ThrshldBsis> | [0..1] |         |             | 271  |
| {Or | Code <Cd>                    | [1..1] | CodeSet |             | 271  |
| Or} | Proprietary <Prtry>          | [1..1] | ±       |             | 272  |

### 3.4.10.15 URLAddress <URLAdr>

*Presence:* [0..1]

*Definition:* Address to use over the www (HTTP) service where specific additional information on meeting resolutions may be found.

*Datatype:* "[Max2048Text](#)" on page 391

## 3.4.11 Vote <Vote>

*Presence:* [0..1]

*Definition:* Conditions for voting, the different voting methods and options, the voting deadlines and the parameters of the incentive premium.

**Vote <Vote>** contains the following **VoteParameters8** elements

| Or  | MessageElement<XML Tag>   | Mult.  | Type          | Constr. No. | Page |
|-----|---|--------|---------------|-------------|------|
|     | <b>SecuritiesQuantityRequiredToVote</b><br><SctiesQtyReqrdToVote>       | [0..1] | ±             |             | 65   |
|     | <b>PartialVoteAllowed</b> <PrtlVoteAllwd>                               | [1..1] | Indicator     |             | 66   |
|     | <b>SplitVoteAllowed</b> <SpltVoteAllwd>                                 | [1..1] | Indicator     |             | 66   |
|     | <b>VoteDeadline</b> <VoteDdln>  | [0..1] | ±             |             | 66   |
|     | <b>VoteMarketDeadline</b> <VoteMktDdln>                                 | [0..1] | ±             |             | 66   |
|     | <b>VoteMethods</b> <VoteMthds>  | [0..1] |               |             | 67   |
|     | <b>VoteThroughNetwork</b> <VoteThrghNtwk>                               | [0..1] |               |             | 67   |
| {Or | <b>VoteChannel</b> <VoteChanl>  | [1..1] | CodeSet       |             | 67   |
| Or} | <b>VoteDirectlyToIssuer</b> <VoteDrctlyToIssr>                          | [1..5] | IdentifierSet | C7          | 68   |
|     | <b>VoteByMail</b> <VoteByMail>  | [0..1] |               |             | 68   |
|     | <b>Correspondence</b> <Crspdc>  | [0..5] | ±             |             | 68   |
|     | <b>EmailAddress</b> <EmailAdr>  | [0..5] | Text          |             | 69   |
|     | <b>ElectronicVote</b> <ElctrncVote>                                     | [0..5] |               |             | 69   |
|     | <b>URLAddress</b> <URLAdr>  | [0..1] | Text          |             | 69   |
|     | <b>VoteByTelephone</b> <VoteByTel>                                      | [0..5] | Text          |             | 69   |
|     | <b>VotingBallotElectronicAddress</b> <VtngBlItElctrncAdr>               | [0..1] | ±             |             | 69   |
|     | <b>VotingBallotRequestAddress</b> <VtngBlItReqAdr>                      | [0..1] | ±             |             | 70   |
|     | <b>RevocabilityDeadline</b> <RvcbltyDdln>                               | [0..1] | ±             |             | 70   |
|     | <b>RevocabilityMarketDeadline</b> <RvcbltyMktDdln>                      | [0..1] | ±             |             | 70   |
|     | <b>BeneficialOwnerDisclosure</b> <BnfclOwnrDsclsr>                      | [0..1] | Indicator     |             | 71   |
|     | <b>EarlyIncentivePremium</b> <EarlyIncntivPrm>                          | [0..1] | ±             |             | 71   |
|     | <b>IncentivePremium</b> <IncntivPrm>                                    | [0..1] | ±             |             | 71   |
|     | <b>EarlyVoteWithPremiumDeadline</b><br><EarlyVoteWthPrmDdln>            | [0..1] | ±             |             | 72   |
|     | <b>VoteWithPremiumDeadline</b> <VoteWthPrmDdln>                         | [0..1] | ±             |             | 72   |
|     | <b>VoteWithPremiumMarketDeadline</b><br><VoteWthPrmMktDdln>             | [0..1] | ±             |             | 72   |
|     | <b>AdditionalVotingRequirements</b> <AddtlVtngRqrmnts>                  | [0..1] | Text          |             | 73   |
|     | <b>PreviousInstructionInvalidityIndicator</b><br><PrvsInstrlInvldtyInd> | [0..1] | Indicator     |             | 73   |

### 3.4.11.1 SecuritiesQuantityRequiredToVote <SctiesQtyReqrdToVote>

Presence: [0..1]

*Definition:* Number of holdings required for a vote.

**SecuritiesQuantityRequiredToVote <SctiesQtyReqrdToVote>** contains one of the following elements (see "[FinancialInstrumentQuantity18Choice](#)" on page 348 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type     | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Unit <Unit>             | [1..1] | Quantity |             | 349  |
| Or} | FaceAmount <FaceAmt>    | [1..1] | Amount   |             | 349  |

### 3.4.11.2 PartialVoteAllowed <PrtlVoteAllwd>

*Presence:* [1..1]

*Definition:* Indicates whether a vote can be on a part of the entire holding, that is, part of the position is un-voted.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 388):

- *Meaning When True:* Yes
- *Meaning When False:* No

### 3.4.11.3 SplitVoteAllowed <SpltVoteAllwd>

*Presence:* [1..1]

*Definition:* Indicates whether the vote can be split, that is, there could be different votes for different parts of the holding.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 388):

- *Meaning When True:* Yes
- *Meaning When False:* No

### 3.4.11.4 VoteDeadline <VoteDdln>

*Presence:* [0..1]

*Definition:* Date and time by which the vote instructions should be submitted to the intermediary.

**VoteDeadline <VoteDdln>** contains one of the following elements (see "[DateFormat58Choice](#)" on page 246 for details)

| Or  | MessageElement<XML Tag>   | Mult.  | Type    | Constr. No. | Page |
|-----|---------------------------|--------|---------|-------------|------|
| {Or | DateOrDateTime <DtOrDtTm> | [1..1] | ±       |             | 246  |
| Or} | DateCode <DtCd>           | [1..1] | CodeSet |             | 246  |

### 3.4.11.5 VoteMarketDeadline <VoteMktDdln>

*Presence:* [0..1]

*Definition:* Date and time by which the vote instructions should be submitted to the issuer.

**VoteMarketDeadline <VoteMktDdln>** contains one of the following elements (see "DateFormat58Choice" on page 246 for details)

| Or  | MessageElement<XML Tag>   | Mult.  | Type    | Constr. No. | Page |
|-----|---------------------------|--------|---------|-------------|------|
| {Or | DateOrDateTime <DtOrDtTm> | [1..1] | ±       |             | 246  |
| Or} | DateCode <DtCd>           | [1..1] | CodeSet |             | 246  |

### 3.4.11.6 VoteMethods <VoteMthds>

*Presence:* [0..1]

*Definition:* Specifies the different methods that can be used to vote.

**VoteMethods <VoteMthds>** contains the following **VoteMethods5** elements

| Or  | MessageElement<XML Tag>                        | Mult.  | Type          | Constr. No. | Page |
|-----|--|--------|---------------|-------------|------|
|     | <b>VoteThroughNetwork</b> <VoteThrghNtwk>      | [0..1] |               |             | 67   |
| {Or | <b>VoteChannel</b> <VoteChanl>                 | [1..1] | CodeSet       |             | 67   |
| Or} | <b>VoteDirectlyToIssuer</b> <VoteDrctlyToIssr> | [1..5] | IdentifierSet | C7          | 68   |
|     | <b>VoteByMail</b> <VoteByMail>                 | [0..1] |               |             | 68   |
|     | <b>Correspondence</b> <Crspdc>                 | [0..5] | ±             |             | 68   |
|     | <b>EmailAddress</b> <EmailAdr>                 | [0..5] | Text          |             | 69   |
|     | <b>ElectronicVote</b> <ElctrcVote>             | [0..5] |               |             | 69   |
|     | <b>URLAddress</b> <URLAdr>                     | [0..1] | Text          |             | 69   |
|     | <b>VoteByTelephone</b> <VoteByTel>             | [0..5] | Text          |             | 69   |

#### 3.4.11.6.1 VoteThroughNetwork <VoteThrghNtwk>

*Presence:* [0..1]

*Definition:* Network address through which a voting party can cast its vote via a structured message.

**VoteThroughNetwork <VoteThrghNtwk>** contains one of the following **VoteThroughNetwork1Choice** elements

| Or  | MessageElement<XML Tag>                        | Mult.  | Type          | Constr. No. | Page |
|-----|--|--------|---------------|-------------|------|
| {Or | <b>VoteChannel</b> <VoteChanl>                 | [1..1] | CodeSet       |             | 67   |
| Or} | <b>VoteDirectlyToIssuer</b> <VoteDrctlyToIssr> | [1..5] | IdentifierSet | C7          | 68   |

##### 3.4.11.6.1.1 VoteChannel <VoteChanl>

*Presence:* [1..1]

*Definition:* Voting is performed via message sent through an alternate network channel, that is, either via the chain of intermediaries or via the channel as described in the processing text for next intermediary information field.

*Datatype:* "VoteChannel1Code" on page 383

| CodeName | Name                             | Definition   |
|----------|----------------------------------|--|
| VOPI     | VoteAsPerIntermediaryInformation | Vote is as per described in the processing text for next intermediary information field. |
| VOCI     | VoteThroughChain                 | Vote is via the chain of intermediaries.   |

#### 3.4.11.6.1.2 VoteDirectlyToIssuer <VoteDrctlyToIssr>

*Presence:* [1..5]

*Definition:* Voting is performed by sending a vote message directly to the issuer.

*Impacted by:* C7 "AnyBIC"

*Datatype:* "AnyBICDec2014Identifier" on page 387

##### Constraints

- **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.

#### 3.4.11.6.2 VoteByMail <VoteByMail>

*Presence:* [0..1]

*Definition:* Address where the voting ballot can be sent.

**VoteByMail <VoteByMail>** contains the following **MailAddress1** elements

| Or | MessageElement<XML Tag>        | Mult.  | Type | Constr. No. | Page |
|----|--------------------------------|--------|------|-------------|------|
|    | <b>Correspondence</b> <Crspdc> | [0..5] | ±    |             | 68   |
|    | <b>EmailAddress</b> <EmailAdr> | [0..5] | Text |             | 69   |

##### 3.4.11.6.2.1 Correspondence <Crspdc>

*Presence:* [0..5]

*Definition:* Physical mail address for correspondence.

**Correspondence <Crspdc>** contains the following elements (see "[PostalAddress1](#)" on page 339 for details)

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 339  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 340  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 340  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 340  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 340  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 340  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 340  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 341  |

#### 3.4.11.6.2.2 EmailAddress <EmailAdr>

*Presence:* [0..5]

*Definition:* Address for electronic mail (e-mail).

*Datatype:* "[Max256Text](#)" on page 391

#### 3.4.11.6.3 ElectronicVote <ElctrncVote>

*Presence:* [0..5]

*Definition:* Electronic address, e-mail or web site, where a security holder can vote.

**ElectronicVote <ElctrncVote>** contains the following **CommunicationAddress12** elements

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | URLAddress <URLAdr>     | [0..1] | Text |             | 69   |

#### 3.4.11.6.3.1 URLAddress <URLAdr>

*Presence:* [0..1]

*Definition:* Address for the Universal Resource Locator (URL), for example used over the www (HTTP) service.

*Datatype:* "[Max2048Text](#)" on page 391

#### 3.4.11.6.4 VoteByTelephone <VoteByTel>

*Presence:* [0..5]

*Definition:* Telephone number providing access to an automated voting system.

*Datatype:* "[Max35Text](#)" on page 391

#### 3.4.11.7 VotingBallotElectronicAddress <VtngBlltElctrncAdr>

*Presence:* [0..1]

*Definition:* Electronic location, e-mail or URL address, where the voting ballot can be requested.

**VotingBallotElectronicAddress <VtngBlItElctrncAdr>** contains the following elements (see "CommunicationAddress11" on page 283 for details)

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | EmailAddress <EmailAdr> | [0..1] | Text |             | 284  |
|    | URLAddress <URLAdr>     | [0..1] | Text |             | 284  |

### 3.4.11.8 VotingBallotRequestAddress <VtngBlItReqAdr>

*Presence:* [0..1]

*Definition:* Postal address where the voting ballot can be requested.

**VotingBallotRequestAddress <VtngBlItReqAdr>** contains the following elements (see "PostalAddress1" on page 339 for details)

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 339  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 340  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 340  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 340  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 340  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 340  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 340  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 341  |

### 3.4.11.9 RevocabilityDeadline <RvcbltyDdln>

*Presence:* [0..1]

*Definition:* Date until which the instructing party can revoke, change or withdraw its voting instruction. This deadline is specified by an intermediary.

**RevocabilityDeadline <RvcbltyDdln>** contains one of the following elements (see "DateFormat58Choice" on page 246 for details)

| Or  | MessageElement<XML Tag>   | Mult.  | Type    | Constr. No. | Page |
|-----|---------------------------|--------|---------|-------------|------|
| {Or | DateOrDateTime <DtOrDtTm> | [1..1] | ±       |             | 246  |
| Or} | DateCode <DtCd>           | [1..1] | CodeSet |             | 246  |

### 3.4.11.10 RevocabilityMarketDeadline <RvcbltyMktDdln>

*Presence:* [0..1]

*Definition:* Date until which the instructing party can revoke, change or withdraw its voting instruction. This deadline is set by the issuer.

**RevocabilityMarketDeadline <RvcbltyMktDdln>** contains one of the following elements (see "DateFormat58Choice" on page 246 for details)

| Or  | MessageElement<XML Tag>   | Mult.  | Type    | Constr. No. | Page |
|-----|---------------------------|--------|---------|-------------|------|
| {Or | DateOrDateTime <DtOrDtTm> | [1..1] | ±       |             | 246  |
| Or} | DateCode <DtCd>           | [1..1] | CodeSet |             | 246  |

### 3.4.11.11 BeneficialOwnerDisclosure <BnfcIOwnrDsclsr>

*Presence:* [0..1]

*Definition:* Indicates whether beneficiary details, for example, name and address, must be supplied in order to take part in a meeting.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 388):

- *Meaning When True:* Yes
- *Meaning When False:* No

### 3.4.11.12 EarlyIncentivePremium <EarlyIncntivPrm>

*Presence:* [0..1]

*Definition:* Cash premium paid to the security holder when voting earlier (before the early vote with a premium deadline).

**EarlyIncentivePremium <EarlyIncntivPrm>** contains the following elements (see "IncentivePremium5" on page 279 for details)

| Or  | MessageElement<XML Tag>           | Mult.  | Type      | Constr. No. | Page |
|-----|-----------------------------------|--------|-----------|-------------|------|
|     | Description <Desc>                | [0..1] | Text      |             | 279  |
|     | Amount <Amt>                      | [1..1] | ±         |             | 279  |
|     | Type <Tp>                         | [1..1] |           |             | 279  |
| {Or | PerSecurity <PerScty>             | [1..1] | Quantity  |             | 280  |
| Or  | PerVote <PerVote>                 | [1..*] |           |             | 280  |
|     | VoteInstructionType <VoteInstrTp> | [1..1] | ±         |             | 280  |
|     | VoteQuantity <VoteQty>            | [1..1] | Quantity  |             | 280  |
| Or} | PerAttendee <PerAttndee>          | [1..1] | Indicator |             | 280  |
|     | PaymentDate <PmtDt>               | [0..1] | ±         |             | 281  |

### 3.4.11.13 IncentivePremium <IncntivPrm>

*Presence:* [0..1]

*Definition:* Cash premium paid to the security holder when voting.

**IncentivePremium <IncntivPrm>** contains the following elements (see "[IncentivePremium5](#)" on page 279 for details)

| Or  | MessageElement<XML Tag>           | Mult.  | Type      | Constr. No. | Page |
|-----|-----------------------------------|--------|-----------|-------------|------|
|     | Description <Desc>                | [0..1] | Text      |             | 279  |
|     | Amount <Amt>                      | [1..1] | ±         |             | 279  |
|     | Type <Tp>                         | [1..1] |           |             | 279  |
| {Or | PerSecurity <PerScty>             | [1..1] | Quantity  |             | 280  |
| Or  | PerVote <PerVote>                 | [1..*] |           |             | 280  |
|     | VoteInstructionType <VoteInstrTp> | [1..1] | ±         |             | 280  |
|     | VoteQuantity <VoteQty>            | [1..1] | Quantity  |             | 280  |
| Or} | PerAttendee <PerAttndee>          | [1..1] | Indicator |             | 280  |
|     | PaymentDate <PmtDt>               | [0..1] | ±         |             | 281  |

#### 3.4.11.14 EarlyVoteWithPremiumDeadline <EarlyVoteWthPrmDdln>

*Presence:* [0..1]

*Definition:* Date and time by which the vote instructions should be submitted to the intermediary to take advantage of the early incentive premium.

**EarlyVoteWithPremiumDeadline <EarlyVoteWthPrmDdln>** contains one of the following elements (see "[DateFormat58Choice](#)" on page 246 for details)

| Or  | MessageElement<XML Tag>   | Mult.  | Type    | Constr. No. | Page |
|-----|---------------------------|--------|---------|-------------|------|
| {Or | DateOrDateTime <DtOrDtTm> | [1..1] | ±       |             | 246  |
| Or} | DateCode <DtCd>           | [1..1] | CodeSet |             | 246  |

#### 3.4.11.15 VoteWithPremiumDeadline <VoteWthPrmDdln>

*Presence:* [0..1]

*Definition:* Date and time by which the vote instructions should be submitted to the intermediary to take advantage of the premium.

**VoteWithPremiumDeadline <VoteWthPrmDdln>** contains one of the following elements (see "[DateFormat58Choice](#)" on page 246 for details)

| Or  | MessageElement<XML Tag>   | Mult.  | Type    | Constr. No. | Page |
|-----|---------------------------|--------|---------|-------------|------|
| {Or | DateOrDateTime <DtOrDtTm> | [1..1] | ±       |             | 246  |
| Or} | DateCode <DtCd>           | [1..1] | CodeSet |             | 246  |

#### 3.4.11.16 VoteWithPremiumMarketDeadline <VoteWthPrmMktDdln>

*Presence:* [0..1]

*Definition:* Date and time by which the vote instructions should be submitted to the issuer to take advantage of the premium.

**VoteWithPremiumMarketDeadline <VoteWthPrmMktDdln>** contains one of the following elements (see "DateFormat58Choice" on page 246 for details)

| Or  | MessageElement<XML Tag>   | Mult.  | Type    | Constr. No. | Page |
|-----|---------------------------|--------|---------|-------------|------|
| {Or | DateOrDateTime <DtOrDtTm> | [1..1] | ±       |             | 246  |
| Or} | DateCode <DtCd>           | [1..1] | CodeSet |             | 246  |

### 3.4.11.17 AdditionalVotingRequirements <AddtlVtngRqrmnts>

*Presence:* [0..1]

*Definition:* Additional information on specific requirements for allowing a person to vote.

*Datatype:* "Max350Text" on page 391

### 3.4.11.18 PreviousInstructionInvalidityIndicator <PrvsInstrInvlDtyInd>

*Presence:* [0..1]

*Definition:* Indicates whether the previously sent instructions becomes invalid after a market deadline extension.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 388):

- *Meaning When True:* Yes
- *Meaning When False:* No

## 3.4.12 PowerOfAttorneyRequirements <PwrOfAttnyRqrmnts>

*Presence:* [0..1]

*Definition:* Information about the use of power of attorney.

*Impacted by:* C17 "OtherDocumentation1Guideline"

**PowerOfAttorneyRequirements <PwrOfAttnyRqrmnts>** contains the following **PowerOfAttorneyRequirements4** elements

| Or | MessageElement<XML Tag>                             | Mult.  | Type    | Constr. No. | Page |
|----|---|--------|---------|-------------|------|
|    | <b>LegalRequirement</b> <LglRqrmnt>                 | [0..4] | CodeSet |             | 74   |
|    | <b>OtherDocumentation</b> <OthrDcmnttn>             | [0..1] | Text    |             | 74   |
|    | <b>DocumentSubmissionDeadline</b> <DocSubmissnDdln> | [0..1] | ±       |             | 74   |

**Constraints**

- **OtherDocumentation1Guideline**

If power of attorney specific deadlines are announced, it is recommended that OtherDocumentation is used.

**3.4.12.1 LegalRequirement <LglRqrmnt>**

*Presence:* [0..4]

*Definition:* Authority that must validate the power of attorney.

*Datatype:* ["PowerOfAttorneyLegalisation1Code" on page 375](#)

| CodeName | Name           | Definition  |
|----------|----------------|---|
| NOTA     | Notary         | Indicates that the power of attorney must be legalised by a notary.           |
| LOCA     | LocalAuthority | Indicates that the power of attorney must be legalised by a local authority.  |
| APOS     | Apostilled     | Indicates that the power of attorney must be legalised by a legal officer.    |
| COUN     | Consularized   | Indicates that the power of attorney must be legalised by a consular officer. |

**3.4.12.2 OtherDocumentation <OthrDcmnttn>**

*Presence:* [0..1]

*Definition:* Documents needed to obtain a valid power of attorney.

*Datatype:* ["Max350Text" on page 391](#)

**3.4.12.3 DocumentSubmissionDeadline <DocSubmissnDdln>**

*Presence:* [0..1]

*Definition:* Date by which the requested documents must be provided.

**DocumentSubmissionDeadline <DocSubmissnDdln>** contains one of the following elements (see ["DateFormat58Choice" on page 246](#) for details)

| Or  | MessageElement<XML Tag>   | Mult.  | Type    | Constr. No. | Page |
|-----|---------------------------|--------|---------|-------------|------|
| {Or | DateOrDateTime <DtOrDtTm> | [1..1] | ±       |             | 246  |
| Or} | DateCode <DtCd>           | [1..1] | CodeSet |             | 246  |

**3.4.13 AdditionalInformation <AddtlInf>**

*Presence:* [0..1]

*Definition:* Additional narrative information about the meeting event.

**AdditionalInformation <AddtlInf>** contains the following **CorporateEventNarrative4** elements

| Or | MessageElement<XML Tag>  | Mult.  | Type    | Constr. No. | Page |
|----|--|--------|---------|-------------|------|
|    | <b>Disclaimer</b> <DscImr>                                     | [0..*] |         |             | 75   |
|    | <b>Language</b> <Lang>   | [1..1] | CodeSet |             | 75   |
|    | <b>AdditionalInformation</b> <AddtlInf>                        | [1..1] | Text    |             | 75   |
|    | <b>ProcessingTextForNextIntermediary</b> <PrcgTxtForNxtIntrmy> | [0..*] | Text    |             | 75   |

### 3.4.13.1 Disclaimer <DscImr>

*Presence:* [0..\*]

*Definition:* Issuer's disclaimer notice relative to the meeting announcement information provided. It may be ignored for automated processing.

**Disclaimer <DscImr>** contains the following **LanguageSpecifiedNarrative1** elements

| Or | MessageElement<XML Tag>                 | Mult.  | Type    | Constr. No. | Page |
|----|---|--------|---------|-------------|------|
|    | <b>Language</b> <Lang>                  | [1..1] | CodeSet |             | 75   |
|    | <b>AdditionalInformation</b> <AddtlInf> | [1..1] | Text    |             | 75   |

#### 3.4.13.1.1 Language <Lang>

*Presence:* [1..1]

*Definition:* Language used to provide additional information and using the ISO 639-1 language code standard.

*Datatype:* "ISO2ALanguageCode" on page 371

#### 3.4.13.1.2 AdditionalInformation <AddtlInf>

*Presence:* [1..1]

*Definition:* Provides additional textual information in the specified language.

*Datatype:* "Max8000Text" on page 393

#### 3.4.13.2 ProcessingTextForNextIntermediary <PrcgTxtForNxtIntrmy>

*Presence:* [0..\*]

*Definition:* Provides additional information from the account servicer or a service provider solely intended for the next immediate account holder to enable or facilitate event processing between parties.

*Datatype:* "Max8000Text" on page 393

### 3.4.14 SupplementaryData <SplmtryData>

*Presence:* [0..\*]

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

*Impacted by:* C22 "SupplementaryDataRule"

**SupplementaryData <SplmtryData>** contains the following elements (see "[SupplementaryData1](#)" on page 290 for details)

| Or | MessageElement<XML Tag> | Mult.  | Type              | Constr. No. | Page |
|----|-------------------------|--------|-------------------|-------------|------|
|    | PlaceAndName <PlcAndNm> | [0..1] | Text              |             | 290  |
|    | Envelope <Envlp>        | [1..1] | (External Schema) |             | 290  |

#### Constraints

- **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.

## 4 **seev.002.001.09** **MeetingCancellationV09**

### 4.1 **MessageDefinition Functionality**

#### Scope

The MeetingCancellation message is sent by the party that sent the MeetingNotification message to the original receiver. It is sent to cancel a previously announced meeting or to advise the withdrawal of a meeting.

#### Usage

The MeetingCancellation message is used to advise that the meeting has been cancelled by the account servicer or withdrawn by the issuer.

This message definition is intended for use with the Business Application Header (BAH).

#### Outline

The MeetingCancellationV09 MessageDefinition is composed of 4 MessageBuildingBlocks:

A. MeetingReference

Set of elements to allow the unambiguous identification of a meeting.

B. Security

Identification of the security for which the meeting was organised.

C. Reason

Justification for the cancellation.

D. SupplementaryData

Additional information that cannot be captured in the structured fields and/or any other specific block.

## 4.2 Structure

| Or  | MessageElement/BuildingBlock<XML Tag>                  | Mult.     | Type     | Constr. No.           | Page |
|-----|--|-----------|----------|-----------------------|------|
|     | Message root <Document> <MtgCxl>                       | [1..1]    |          | C5                    |      |
|     | <b>MeetingReference</b> <MtgRef>                       | [1..1]    |          |                       | 80   |
|     | <b>MeetingIdentification</b> <MtgId>                   | [1..1]    | Text     |                       | 80   |
|     | <b>IssuerMeetingIdentification</b> <IssrMtgId>         | [0..1]    | Text     |                       | 80   |
|     | <b>MeetingDateAndTime</b> <MtgDtAndTm>                 | [1..1]    | DateTime |                       | 81   |
|     | <b>Type</b> <Tp>                                       | [1..1]    | CodeSet  |                       | 81   |
|     | <b>Classification</b> <Clssfctn>                       | [0..1]    | ±        |                       | 81   |
|     | <b>Location</b> <Lctn>                                 | [0..5]    | ±        |                       | 82   |
|     | <b>Issuer</b> <Issr>                                   | [0..1]    | ±        |                       | 82   |
|     | <b>Security</b> <Scty>                                 | [1..200]  |          |                       | 82   |
|     | <b>FinancialInstrumentIdentification</b> <FinInstrmId> | [1..1]    | ±        | C7, C8, C11, C12, C13 | 83   |
|     | <b>Position</b> <Pos>                                  | [0..1000] |          | C1, C2, C3, C10, C14  | 84   |
|     | <b>AccountIdentification</b> <AcctId>                  | [0..1]    | Text     |                       | 86   |
|     | <b>BlockchainAddressOrWallet</b> <BlckChainAdrOrWllt>  | [0..1]    | Text     |                       | 86   |
|     | <b>AccountOwner</b> <AcctOwnr>                         | [0..1]    |          |                       | 86   |
| {Or | <b>LegalPerson</b> <LglPrsn>                           | [1..1]    | ±        |                       | 86   |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                        | [1..*]    | ±        |                       | 87   |
|     | <b>HoldingBalance</b> <HldgBal>                        | [0..15]   |          |                       | 87   |
|     | <b>Balance</b> <Bal>                                   | [1..1]    | ±        |                       | 88   |
|     | <b>BalanceType</b> <BalTp>                             | [1..1]    | CodeSet  |                       | 88   |
|     | <b>SafekeepingPlace</b> <SfkpgPlc>                     | [0..1]    | ±        |                       | 89   |
|     | <b>Date</b> <Dt>                                       | [0..1]    | Date     |                       | 90   |
|     | <b>RightsHolder</b> <RghtsHldr>                        | [0..250]  |          |                       | 90   |
| {Or | <b>LegalPerson</b> <LglPrsn>                           | [1..1]    | ±        |                       | 90   |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                        | [1..*]    | ±        |                       | 91   |
|     | <b>Reason</b> <Rsn>                                    | [1..1]    |          |                       | 92   |
|     | <b>CancellationReasonCode</b> <CxIRsnCd>               | [0..1]    |          |                       | 92   |

| Or  | MessageElement/BuildingBlock<XML Tag>  | Mult.  | Type    | Constr. No. | Page |
|-----|--|--------|---------|-------------|------|
| {Or | <b>Code</b> <Cd>                       | [1..1] | CodeSet |             | 92   |
| Or} | <b>Proprietary</b> <Prtry>             | [1..1] | ±       |             | 92   |
|     | <b>CancellationReason</b> <CxIRsn>     | [0..1] | Text    |             | 93   |
|     | <b>SupplementaryData</b> <SplmtryData> | [0..*] | ±       | C15         | 93   |

## 4.3 Constraints

### C1 AccountIdentificationOrBlockChainAddress1Rule

Either AccountIdentification or BlockChainAddressOrWallet must be present but not both.

### C2 AccountIdentificationOrBlockChainAddress2Rule

If BlockChainAddressOrWallet is present then AccountIdentification must be absent.

### C3 AccountIdentificationOrBlockChainAddress3Rule

If AccountIdentification is present, then BlockChainAddressOrWallet must be absent.

### C4 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.

### C5 Cancellation1Guideline

It is recommended that a meeting is cancelled with the use of MeetingReference/ MeetingIdentification, MeetingReference/Type and Security and Reason only. It is recommended that optional elements are not used.

*This constraint is defined at the MessageDefinition level.*

### C6 Country

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

### C7 DescriptionPresenceRule

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

### C8 DescriptionUsageRule

Description must be used alone as the last resort.

### C9 DigitalTokenUnitUsageRule

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

### C10 HoldingBalanceTypeRule

In all occurrences of HoldingBalance, one and only one BalanceType may be ELIG (Eligible).

**C11 ISINGuideline**

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

**C12 ISINPresenceRule**

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

**C13 OtherIdentificationPresenceRule**

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

**C14 RightsHolderMultiplicity1Guideline**

It is recommended that RightsHolder is only present more than once if there is joint ownership.

**C15 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.

## 4.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 4.4.1 MeetingReference <MtgRef>

*Presence:* [1..1]

*Definition:* Set of elements to allow the unambiguous identification of a meeting.

**MeetingReference <MtgRef>** contains the following **MeetingReference10** elements

| Or | MessageElement<XML Tag>                        | Mult.  | Type     | Constr. No. | Page |
|----|--|--------|----------|-------------|------|
|    | <b>MeetingIdentification</b> <MtgId>           | [1..1] | Text     |             | 80   |
|    | <b>IssuerMeetingIdentification</b> <IssrMtgId> | [0..1] | Text     |             | 80   |
|    | <b>MeetingDateAndTime</b> <MtgDtAndTm>         | [1..1] | DateTime |             | 81   |
|    | <b>Type</b> <Tp>                               | [1..1] | CodeSet  |             | 81   |
|    | <b>Classification</b> <Clssfctn>               | [0..1] | ±        |             | 81   |
|    | <b>Location</b> <Lctn>                         | [0..5] | ±        |             | 82   |
|    | <b>Issuer</b> <Issr>                           | [0..1] | ±        |             | 82   |

#### 4.4.1.1 MeetingIdentification <MtgId>

*Presence:* [1..1]

*Definition:* Identification assigned to the general meeting by the party that provides the meeting notification. It must be unique to the party providing the notification.

*Datatype:* "Max35Text" on page 391

#### 4.4.1.2 IssuerMeetingIdentification <IssrMtgId>

*Presence:* [0..1]

*Definition:* Identification assigned to the meeting by the issuer. It must be unique for the issuer.

*Datatype:* "Max35Text" on page 391

#### 4.4.1.3 MeetingDateAndTime <MtgDtAndTm>

*Presence:* [1..1]

*Definition:* Date and time at which the meeting will take place.

*Datatype:* "ISODateTime" on page 386

#### 4.4.1.4 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of meeting for which instructions are sent.

*Datatype:* "MeetingType4Code" on page 371

| CodeName | Name              | Definition   |
|----------|-------------------|--|
| XMET     | Extraordinary     | Meeting that takes place as needed, in addition to the general meetings, is extraordinary as per the bylaws. The resolutions are related to the unusual business of the company, for example, approval of takeovers or mergers or spin-offs. These meetings are always issuer initiated. |
| GMET     | General           | Includes annual and ordinary meetings. Statutory meeting(s) usually held at least once a year. The resolutions are related to the usual business of the company, for example, approval of dividends and directors. These meetings are always issuer initiated.                           |
| MIXD     | Mixed             | Meeting which contains both ordinary and extraordinary resolutions.  |
| SPCL     | Special           | Meeting that takes place as needed that is neither ordinary nor extraordinary.   |
| BMET     | BondHolderMeeting | Physical meeting of bond holders.  |
| CMET     | CourtMeeting      | Meeting is the result of a legal proceeding.   |

#### 4.4.1.5 Classification <Clssfctn>

*Presence:* [0..1]

*Definition:* Classification type of the meeting.

**Classification <Clssfctn>** contains one of the following elements (see "MeetingTypeClassification2Choice" on page 287 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd>               | [1..1] | CodeSet |             | 288  |
| Or} | Proprietary <Prtry>     | [1..1] | ±       |             | 288  |

#### 4.4.1.6 Location <Lctn>

*Presence:* [0..5]

*Definition:* Place of the company meeting for the scheduled meeting date.

**Location <Lctn>** contains the following elements (see "[PostalAddress1](#)" on page 339 for details)

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 339  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 340  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 340  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 340  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 340  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 340  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 340  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 341  |

#### 4.4.1.7 Issuer <Issr>

*Presence:* [0..1]

*Definition:* Institution that is the issuer of the security to which the meeting applies.

**Issuer <Issr>** contains one of the following elements (see "[PartyIdentification129Choice](#)" on page 323 for details)

| Or  | MessageElement<XML Tag>             | Mult.  | Type          | Constr. No. | Page |
|-----|-------------------------------------|--------|---------------|-------------|------|
| {Or | AnyBIC <AnyBIC>                     | [1..1] | IdentifierSet | C1          | 323  |
| Or  | ProprietaryIdentification <PrtryId> | [1..1] | ±             |             | 324  |
| Or  | NameAndAddress <NmAndAdr>           | [1..1] | ±             |             | 324  |
| Or} | LEI <LEI>                           | [1..1] | IdentifierSet |             | 324  |

#### 4.4.2 Security <Scty>

*Presence:* [1..200]

*Definition:* Identification of the security for which the meeting was organised.

**Security <Scty>** contains the following **SecurityPosition17** elements

| Or  | MessageElement<XML Tag>                                | Mult.     | Type    | Constr. No.           | Page |
|-----|--|-----------|---------|-----------------------|------|
|     | <b>FinancialInstrumentIdentification</b> <FinInstrmId> | [1..1]    | ±       | C7, C8, C11, C12, C13 | 83   |
|     | <b>Position</b> <Pos>                                  | [0..1000] |         | C1, C2, C3, C10, C14  | 84   |
|     | <b>AccountIdentification</b> <AcctId>                  | [0..1]    | Text    |                       | 86   |
|     | <b>BlockchainAddressOrWallet</b> <BlckChainAdrOrWlt>   | [0..1]    | Text    |                       | 86   |
|     | <b>AccountOwner</b> <AcctOwnr>                         | [0..1]    |         |                       | 86   |
| {Or | <b>LegalPerson</b> <LglPrsn>                           | [1..1]    | ±       |                       | 86   |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                        | [1..*]    | ±       |                       | 87   |
|     | <b>HoldingBalance</b> <HldgBal>                        | [0..15]   |         |                       | 87   |
|     | <b>Balance</b> <Bal>                                   | [1..1]    | ±       |                       | 88   |
|     | <b>BalanceType</b> <BalTp>                             | [1..1]    | CodeSet |                       | 88   |
|     | <b>SafekeepingPlace</b> <SfkpgPlc>                     | [0..1]    | ±       |                       | 89   |
|     | <b>Date</b> <Dt>                                       | [0..1]    | Date    |                       | 90   |
|     | <b>RightsHolder</b> <RghtsHldr>                        | [0..250]  |         |                       | 90   |
| {Or | <b>LegalPerson</b> <LglPrsn>                           | [1..1]    | ±       |                       | 90   |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                        | [1..*]    | ±       |                       | 91   |

#### 4.4.2.1 FinancialInstrumentIdentification <FinInstrmId>

*Presence:* [1..1]

*Definition:* Identification of the security, as assigned under a formal or proprietary identification scheme.

*Impacted by:* C7 "DescriptionPresenceRule", C8 "DescriptionUsageRule", C11 "ISINGuideline", C12 "ISINPresenceRule", C13 "OtherIdentificationPresenceRule"

**FinancialInstrumentIdentification <FinInstrmId>** contains the following elements (see "SecurityIdentification19" on page 256 for details)

| Or | MessageElement<XML Tag>       | Mult.  | Type          | Constr. No. | Page |
|----|-------------------------------|--------|---------------|-------------|------|
|    | ISIN <ISIN>                   | [0..1] | IdentifierSet |             | 257  |
|    | OtherIdentification <OthrlId> | [0..*] |               |             | 257  |
|    | Identification <Id>           | [1..1] | Text          |             | 258  |
|    | Suffix <Sfx>                  | [0..1] | Text          |             | 258  |
|    | Type <Tp>                     | [1..1] | ±             |             | 258  |
|    | Description <Desc>            | [0..1] | Text          |             | 258  |

### Constraints

- **DescriptionPresenceRule**

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

```
On Condition
  /Description is absent
Following Must be True
  /ISIN Must be present
Or   /OtherIdentification[*] Must be present
```

- **DescriptionUsageRule**

Description must be used alone as the last resort.

- **ISINGuideline**

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

- **ISINPresenceRule**

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

```
On Condition
  /ISIN is absent
Following Must be True
  /OtherIdentification[*] Must be present
Or   /Description Must be present
```

- **OtherIdentificationPresenceRule**

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

```
On Condition
  /OtherIdentification[*] is absent
Following Must be True
  /ISIN Must be present
Or   /Description Must be present
```

#### 4.4.2.2 Position <Pos>

*Presence:* [0..1000]

*Definition:* Amount of securities that are eligible for the vote.

Impacted by: C1 "AccountIdentificationOrBlockChainAddress1Rule", C2 "AccountIdentificationOrBlockChainAddress2Rule", C3 "AccountIdentificationOrBlockChainAddress3Rule", C10 "HoldingBalanceTypeRule", C14 "RightsHolderMultiplicity1Guideline"

Position <Pos> contains the following EligiblePosition14 elements

| Or  | MessageElement<XML Tag>                               | Mult.    | Type    | Constr. No. | Page |
|-----|---|----------|---------|-------------|------|
|     | <b>AccountIdentification</b> <AcctId>                 | [0..1]   | Text    |             | 86   |
|     | <b>BlockChainAddressOrWallet</b> <BlckChainAdrOrWlIt> | [0..1]   | Text    |             | 86   |
|     | <b>AccountOwner</b> <AcctOwnr>                        | [0..1]   |         |             | 86   |
| {Or | <b>LegalPerson</b> <LglPrsn>                          | [1..1]   | ±       |             | 86   |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                       | [1..*]   | ±       |             | 87   |
|     | <b>HoldingBalance</b> <HldgBal>                       | [0..15]  |         |             | 87   |
|     | <b>Balance</b> <Bal>                                  | [1..1]   | ±       |             | 88   |
|     | <b>BalanceType</b> <BalTp>                            | [1..1]   | CodeSet |             | 88   |
|     | <b>SafekeepingPlace</b> <StkpgPlc>                    | [0..1]   | ±       |             | 89   |
|     | <b>Date</b> <Dt>                                      | [0..1]   | Date    |             | 90   |
|     | <b>RightsHolder</b> <RghtsHldr>                       | [0..250] |         |             | 90   |
| {Or | <b>LegalPerson</b> <LglPrsn>                          | [1..1]   | ±       |             | 90   |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                       | [1..*]   | ±       |             | 91   |

**Constraints**

- **AccountIdentificationOrBlockChainAddress1Rule**

Either AccountIdentification or BlockChainAddressOrWallet must be present but not both.

```
Following Must be True
  /AccountIdentification Must be present
Or   /BlockChainAddressOrWallet Must be present
```

- **AccountIdentificationOrBlockChainAddress2Rule**

If BlockChainAddressOrWallet is present then AccountIdentification must be absent.

```
On Condition
  /BlockChainAddressOrWallet is present
Following Must be True
  /AccountIdentification Must be absent
```

- **AccountIdentificationOrBlockChainAddress3Rule**

If AccountIdentification is present, then BlockChainAddressOrWallet must be absent.

```
On Condition
  /AccountIdentification is present
Following Must be True
  /BlockChainAddressOrWallet Must be absent
```

- **HoldingBalanceTypeRule**

In all occurrences of HoldingBalance, one and only one BalanceType may be ELIG (Eligible).

- **RightsHolderMultiplicity1Guideline**

It is recommended that RightsHolder is only present more than once if there is joint ownership.

#### 4.4.2.2.1 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the securities account.

*Datatype:* "Max35Text" on page 391

#### 4.4.2.2.2 BlockChainAddressOrWallet <BlckChainAdrOrWllt>

*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 390

#### 4.4.2.2.3 AccountOwner <AcctOwnr>

*Presence:* [0..1]

*Definition:* Party that legally owns the account.

**AccountOwner <AcctOwnr>** contains one of the following **PartyIdentification231Choice** elements

| Or  | MessageElement<XML Tag>         | Mult.  | Type | Constr. No. | Page |
|-----|---------------------------------|--------|------|-------------|------|
| {Or | <b>LegalPerson</b> <LglPrsn>    | [1..1] | ±    |             | 86   |
| Or} | <b>NaturalPerson</b> <NtrlPrsn> | [1..*] | ±    |             | 87   |

#### 4.4.2.2.3.1 LegalPerson <LglPrsn>

*Presence:* [1..1]

*Definition:* Legal entity.

**LegalPerson <LgIPrsn>** contains the following elements (see "[PartyIdentification221](#)" on page 318 for details)

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>        | [1..1] |         |             | 318  |
|    | Name <Nm>                        | [1..1] | Text    |             | 319  |
|    | Address <Adr>                    | [0..1] |         |             | 319  |
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 320  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 320  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 320  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 320  |
|    | PostBox <PstBx>                  | [0..1] | Text    |             | 320  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 320  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 321  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 321  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 321  |
|    | EmailAddress <EmailAdr>          | [0..1] | Text    |             | 321  |
|    | Identification <Id>              | [1..1] | ±       |             | 321  |

#### 4.4.2.2.3.2 NaturalPerson <NtrIPrsn>

*Presence:* [1..\*]

*Definition:* Private person.

**NaturalPerson <NtrIPrsn>** contains the following elements (see "[PartyIdentification238](#)" on page 305 for details)

| Or | MessageElement<XML Tag>               | Mult.  | Type    | Constr. No. | Page |
|----|---------------------------------------|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>             | [1..1] | ±       |             | 305  |
|    | EmailAddress <EmailAdr>               | [0..1] | Text    |             | 306  |
|    | Identification <Id>                   | [1..1] | ±       |             | 306  |
|    | Nationality <Ntlty>                   | [0..1] | CodeSet | C3          | 306  |
|    | DateAndPlaceOfBirth <DtAndPlcOfBirth> | [0..1] | ±       |             | 307  |

#### 4.4.2.2.4 HoldingBalance <HldgBal>

*Presence:* [0..15]

*Definition:* Net position of a segregated holding of a single security within the overall position held in a securities account, for example, sub-balance per status.

**HoldingBalance <HldgBal>** contains the following **HoldingBalance11** elements

| Or | MessageElement<XML Tag>            | Mult.  | Type    | Constr. No. | Page |
|----|------------------------------------|--------|---------|-------------|------|
|    | <b>Balance</b> <Bal>               | [1..1] | ±       |             | 88   |
|    | <b>BalanceType</b> <BalTp>         | [1..1] | CodeSet |             | 88   |
|    | <b>SafekeepingPlace</b> <SfkpgPlc> | [0..1] | ±       |             | 89   |
|    | <b>Date</b> <Dt>                   | [0..1] | Date    |             | 90   |

#### 4.4.2.2.4.1 Balance <Bal>

*Presence:* [1..1]

*Definition:* Total quantity of financial instrument for the referenced holding.

**Balance <Bal>** contains the following elements (see "[SignedQuantityFormat14](#)" on page 343 for details)

| Or  | MessageElement<XML Tag>        | Mult.  | Type     | Constr. No. | Page |
|-----|--------------------------------|--------|----------|-------------|------|
|     | ShortLongPosition <ShrtLngPos> | [1..1] | CodeSet  |             | 343  |
|     | Quantity <Qty>                 | [1..1] |          | C9          | 343  |
| {Or | Unit <Unit>                    | [1..1] | Quantity |             | 344  |
| Or  | FaceAmount <FaceAmt>           | [1..1] | Amount   |             | 344  |
| Or} | DigitalTokenUnit <DgtlTknUnit> | [1..1] | Quantity |             | 344  |

#### 4.4.2.2.4.2 BalanceType <BalTp>

*Presence:* [1..1]

*Definition:* Reason a security is not available or additional information about the financial instrument for which the balance is given, for example, unregistered, registered in nominee name.

*Datatype:* "[SecuritiesEntryType2Code](#)" on page 380

| CodeName | Name            | Definition   |
|----------|-----------------|--|
| BLOK     | Blocked         | Balance of securities that are blocked or frozen. A financial instrument may be unavailable due to external circumstances such as a court order, death of beneficiary or account owner, or bankruptcy. |
| ELIG     | Eligible        | Total number of securities eligible for this event.  |
| PEND     | PendingDelivery | Balance of securities that are pending delivery.   |
| PENR     | PendingReceipt  | Balance of securities that are pending receipt.  |
| NOMI     | Registered      | Balance of securities that are registered (in the name of a nominee or of the beneficial owner).   |

| CodeName | Name                | Definition  |
|----------|---------------------|---|
| SETD     | Settled             | Balance of securities representing only settled transactions.   |
| BORR     | Borrowed            | Balance of securities that have been borrowed from another party.   |
| LOAN     | OnLoan              | Balance of securities that have been loaned to a third party.   |
| SPOS     | StreetPosition      | Balance of securities that remain registered in the name of the prior beneficial owner of securities.   |
| TRAD     | Traded              | Balance of securities representing traded transactions.   |
| COLI     | CollateralIn        | Balance of securities that belong to a third party and that are held for the purpose of collateralisation.  |
| COLO     | CollateralOut       | Balance of securities that belong to the safekeeping account indicated within this message, and are deposited with a third party for the purpose of collateralisation.              |
| UNBA     | UninstructedBalance | Balance of uninstructed position.   |
| INBA     | InstructedBalance   | Balance of instructed position.   |
| REGO     | OutForRegistration  | Balance of securities currently being processed by the institution responsible for registering the new beneficial owner (or nominee) of securities after a transaction has settled. |

#### 4.4.2.2.4.3 SafekeepingPlace <SfkpgPlc>

*Presence:* [0..1]

*Definition:* Place where the securities are safe-kept, physically or notionally. This place can be, for example, a local custodian, a Central Securities Depository (CSD) or an International Central Securities Depository (ICSD).

**SafekeepingPlace <SfkpgPlc>** contains one of the following elements (see "SafekeepingPlaceFormat28Choice" on page 346 for details)

| Or  | MessageElement<XML Tag>           | Mult.  | Type          | Constr. No. | Page |
|-----|-----------------------------------|--------|---------------|-------------|------|
| {Or | Identification <Id>               | [1..1] |               |             | 346  |
|     | SafekeepingPlaceType <SfkpgPlcTp> | [1..1] | CodeSet       |             | 346  |
|     | Identification <Id>               | [0..1] | Text          |             | 347  |
| Or  | Country <Ctry>                    | [1..1] | CodeSet       | C3          | 347  |
| Or  | TypeAndIdentification <TpAndId>   | [1..1] |               |             | 347  |
|     | SafekeepingPlaceType <SfkpgPlcTp> | [1..1] | CodeSet       |             | 347  |
|     | Identification <Id>               | [1..1] | IdentifierSet | C1          | 348  |
| Or} | Proprietary <Prtry>               | [1..1] | ±             |             | 348  |

**4.4.2.2.4.4 Date <Dt>**

*Presence:* [0..1]

*Definition:* Date of the entitlement.

*Datatype:* "ISODate" on page 386

**4.4.2.2.5 RightsHolder <RghtsHldr>**

*Presence:* [0..250]

*Definition:* Owner of the voting rights.

**RightsHolder <RghtsHldr>** contains one of the following **PartyIdentification246Choice** elements

| Or  | MessageElement<XML Tag>         | Mult.  | Type | Constr. No. | Page |
|-----|---------------------------------|--------|------|-------------|------|
| {Or | <b>LegalPerson</b> <LglPrsn>    | [1..1] | ±    |             | 90   |
| Or} | <b>NaturalPerson</b> <NtrlPrsn> | [1..*] | ±    |             | 91   |

**4.4.2.2.5.1 LegalPerson <LglPrsn>**

*Presence:* [1..1]

*Definition:* Legal entity.

**LegalPerson <LgIPrsn>** contains the following elements (see "[PartyIdentification269](#)" on page 295 for details)

| Or | MessageElement<XML Tag>                                      | Mult.  | Type    | Constr. No. | Page |
|----|--|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>                                    | [1..1] |         |             | 296  |
|    | Name <Nm>  | [1..1] | Text    |             | 297  |
|    | Address <Adr>  | [0..1] |         |             | 297  |
|    | AddressType <AdrTp>  | [0..1] | CodeSet |             | 298  |
|    | AddressLine <AdrLine>  | [0..5] | Text    |             | 298  |
|    | StreetName <StrtNm>  | [0..1] | Text    |             | 298  |
|    | BuildingNumber <BldgNb>                                      | [0..1] | Text    |             | 298  |
|    | PostBox <PstBx>  | [0..1] | Text    |             | 298  |
|    | PostCode <PstCd>   | [0..1] | Text    |             | 298  |
|    | TownName <TwnNm>   | [0..1] | Text    |             | 299  |
|    | CountrySubDivision <CtrySubDvsn>                             | [0..1] | Text    |             | 299  |
|    | Country <Ctry>   | [1..1] | CodeSet | C3          | 299  |
|    | EmailAddress <EmailAdr>                                      | [0..1] | Text    |             | 299  |
|    | Identification <Id>  | [0..1] | ±       |             | 299  |
|    | CompanyRegisterShareholderIdentification <CpnyRegrShrhldrid> | [0..1] | Text    |             | 299  |
|    | CountryOfIncorporation <CtryOfIncorptrn>                     | [0..1] | CodeSet | C3          | 300  |

#### 4.4.2.2.5.2 NaturalPerson <NtrIPrsn>

*Presence:* [1..\*]

*Definition:* Private person.

**NaturalPerson <NtrIPrsn>** contains the following elements (see "[PartyIdentification250](#)" on page 300 for details)

| Or | MessageElement<XML Tag>                                      | Mult.  | Type    | Constr. No. | Page |
|----|--|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>                                    | [1..1] | ±       |             | 300  |
|    | EmailAddress <EmailAdr>                                      | [0..1] | Text    |             | 301  |
|    | Identification <Id>  | [0..1] | ±       |             | 301  |
|    | Nationality <Ntlty>  | [0..1] | CodeSet | C3          | 301  |
|    | DateAndPlaceOfBirth <DtAndPlcOfBirth>                        | [0..1] | ±       |             | 302  |
|    | CompanyRegisterShareholderIdentification <CpnyRegrShrhldrid> | [0..1] | Text    |             | 302  |

### 4.4.3 Reason <Rsn>

*Presence:* [1..1]

*Definition:* Justification for the cancellation.

**Reason <Rsn>** contains the following **MeetingCancellationReason2** elements

| Or  | MessageElement<XML Tag>                  | Mult.  | Type    | Constr. No. | Page |
|-----|--|--------|---------|-------------|------|
|     | <b>CancellationReasonCode</b> <CxIRsnCd> | [0..1] |         |             | 92   |
| {Or | <b>Code</b> <Cd>                         | [1..1] | CodeSet |             | 92   |
| Or} | <b>Proprietary</b> <Prtry>               | [1..1] | ±       |             | 92   |
|     | <b>CancellationReason</b> <CxIRsn>       | [0..1] | Text    |             | 93   |

#### 4.4.3.1 CancellationReasonCode <CxIRsnCd>

*Presence:* [0..1]

*Definition:* Reason for cancelling a meeting.

**CancellationReasonCode <CxIRsnCd>** contains one of the following **MeetingCancellationReason1Choice** elements

| Or  | MessageElement<XML Tag>    | Mult.  | Type    | Constr. No. | Page |
|-----|----------------------------|--------|---------|-------------|------|
| {Or | <b>Code</b> <Cd>           | [1..1] | CodeSet |             | 92   |
| Or} | <b>Proprietary</b> <Prtry> | [1..1] | ±       |             | 92   |

##### 4.4.3.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Specifies the reason for cancelling a meeting in coded form.

*Datatype:* "MeetingCancellationReason2Code" on page 371

| CodeName | Name       | Definition   |
|----------|------------|--|
| QORM     | Quorum     | Cancellation due to insufficient participation to the vote.    |
| PROC     | Processing | Cancellation due to a processing error.                        |
| WITH     | Withdrawal | Cancellation due to the meeting being cancelled by the issuer. |

##### 4.4.3.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Specifies the reason for cancelling a meeting in free text form.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification13](#)" on page 258 for details)

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | Identification <Id>     | [1..1] | Text |             | 259  |
|    | SchemeName <SchmeNm>    | [0..1] | Text |             | 259  |
|    | Issuer <Issr>           | [1..1] | Text |             | 259  |

#### 4.4.3.2 CancellationReason <CxIRsn>

*Presence:* [0..1]

*Definition:* Provides more information on the reason for cancelling a meeting in free format form.

*Datatype:* "[Max140Text](#)" on page 390

#### 4.4.4 SupplementaryData <SplmtryData>

*Presence:* [0..\*]

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

*Impacted by:* [C15 "SupplementaryDataRule"](#)

**SupplementaryData <SplmtryData>** contains the following elements (see "[SupplementaryData1](#)" on page 290 for details)

| Or | MessageElement<XML Tag> | Mult.  | Type              | Constr. No. | Page |
|----|-------------------------|--------|-------------------|-------------|------|
|    | PlaceAndName <PlcAndNm> | [0..1] | Text              |             | 290  |
|    | Envelope <Envlp>        | [1..1] | (External Schema) |             | 290  |

#### Constraints

- **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.

# 5 **seev.003.001.09** **MeetingEntitlementNotificationV09**

## 5.1 **MessageDefinition Functionality**

### Scope

The MeetingEntitlementNotification is sent by an account servicer to the account owner to advise the entitlement in relation to a meeting.

### Usage

This message is sent to advise the quantity of securities held by an account owner. The balance is specified for the securities for which the meeting is taking place. The message is also used to amend a previously sent MeetingEntitlementNotification.

The MeetingEntitlementNotification message may be sent either before receiving a voting instruction to confirm the entitlement; or after having received a voting instruction to confirm details of the person attending the meeting.

The message may also be used in place of an attendance card or to confirm entitlements in the case of bearer shares.

This message definition is intended for use with the Business Application Header (BAH).

### Outline

The MeetingEntitlementNotificationV09 MessageDefinition is composed of 9 MessageBuildingBlocks:

- A. NotificationType  
Type of notification.
- B. PreviousEntitlementNotificationIdentification  
Identification of the original meeting notification entitlement message which is amended.
- C. MeetingReference  
Set of elements to allow the unambiguous identification of a meeting.
- D. Issuer  
Institution that is the issuer of the security to which the meeting applies.
- E. Security  
Security for which the meeting is organised, the account and the positions of the security holder.
- F. Eligibility  
Date determining eligibility.
- G. MeetingAttendee  
Person physically attending the meeting as a natural or legal person.
- H. Proxy

Third party agent assigned by the shareholder that is legally authorised to cast a vote on the shareholder's behalf at the general meeting.

I. SupplementaryData

Additional information that cannot be captured in the structured fields and/or any other specific block.

## 5.2 Structure

| Or  | MessageElement/BuildingBlock<XML Tag>  | Mult.     | Type     | Constr. No.           | Page |
|-----|--|-----------|----------|-----------------------|------|
|     | Message root <Document> <MtgEntitlmntNtfctn>                                 | [1..1]    |          | C13                   |      |
|     | <b>NotificationType</b> <NtfctnTp>   | [1..1]    | CodeSet  |                       | 98   |
|     | <b>PreviousEntitlementNotificationIdentification</b> <PrvsEntitlmntNtfctnId> | [0..1]    | Text     |                       | 99   |
|     | <b>MeetingReference</b> <MtgRef>   | [1..1]    |          |                       | 99   |
|     | <b>MeetingIdentification</b> <MtgId>   | [1..1]    | Text     |                       | 99   |
|     | <b>IssuerMeetingIdentification</b> <IssrMtgId>                               | [0..1]    | Text     |                       | 99   |
|     | <b>MeetingDateAndTime</b> <MtgDtAndTm>                                       | [1..1]    | DateTime |                       | 99   |
|     | <b>Type</b> <Tp>   | [1..1]    | CodeSet  |                       | 100  |
|     | <b>Classification</b> <Clssfctn>   | [0..1]    | ±        |                       | 100  |
|     | <b>Location</b> <Lctn>   | [0..5]    | ±        |                       | 100  |
|     | <b>Issuer</b> <Issr>   | [0..1]    | ±        |                       | 101  |
|     | <b>Issuer</b> <Issr>   | [1..1]    | ±        |                       | 101  |
|     | <b>Security</b> <Scty>   | [1..200]  |          |                       | 102  |
|     | <b>FinancialInstrumentIdentification</b> <FinInstrmId>                       | [1..1]    | ±        | C6, C7, C10, C11, C12 | 103  |
|     | <b>Position</b> <Pos>  | [0..1000] |          | C1, C2, C3, C9, C14   | 104  |
|     | <b>AccountIdentification</b> <AcctId>  | [0..1]    | Text     |                       | 105  |
|     | <b>BlockchainAddressOrWallet</b> <BlckChainAdrOrWlt>                         | [0..1]    | Text     |                       | 105  |
|     | <b>AccountOwner</b> <AcctOwnr>   | [0..1]    |          |                       | 105  |
|     | <b>Identification</b> <Id>   | [1..1]    |          |                       | 106  |
| {Or | <b>LegalPerson</b> <LglPrsn>   | [1..1]    | ±        |                       | 106  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>  | [1..*]    | ±        |                       | 107  |
|     | <b>AdditionalIdentificationInformation</b> <AddtlIdInf>                      | [0..1]    |          |                       | 107  |
| {Or | <b>BirthDate</b> <BirthDt>   | [1..1]    | Date     |                       | 108  |
| Or} | <b>RegistrationIdentification</b> <RegnId>                                   | [1..1]    | ±        |                       | 108  |
|     | <b>HoldingBalance</b> <HldgBal>  | [0..15]   |          |                       | 108  |
|     | <b>Balance</b> <Bal>   | [1..1]    | ±        |                       | 108  |
|     | <b>BalanceType</b> <BalTp>   | [1..1]    | CodeSet  |                       | 109  |

| Or  | MessageElement/BuildingBlock<XML Tag>                   | Mult.    | Type | Constr. No. | Page |
|-----|---|----------|------|-------------|------|
|     | <b>SafekeepingPlace</b> <SfkpgPlc>                      | [0..1]   | ±    |             | 110  |
|     | <b>Date</b> <Dt>  | [0..1]   | Date |             | 110  |
|     | <b>RightsHolder</b> <RghtsHldr>                         | [0..250] |      |             | 110  |
|     | <b>Identification</b> <Id>                              | [1..1]   |      |             | 111  |
| {Or | <b>LegalPerson</b> <LglPrsn>                            | [1..1]   | ±    |             | 111  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                         | [1..*]   | ±    |             | 112  |
|     | <b>AdditionalIdentificationInformation</b> <AddtlIdInf> | [0..1]   |      |             | 113  |
| {Or | <b>BirthDate</b> <BirthDt>                              | [1..1]   | Date |             | 113  |
| Or} | <b>RegistrationIdentification</b> <RegId>               | [1..1]   | ±    |             | 113  |
|     | <b>Eligibility</b> <Elgbly>                             | [1..1]   |      |             | 113  |
|     | <b>EntitlementFixingDate</b> <EntitlmtFxdt>             | [1..1]   | Date |             | 113  |
|     | <b>MeetingAttendee</b> <MtgAttndee>                     | [0..1]   |      |             | 114  |
| {Or | <b>LegalPerson</b> <LglPrsn>                            | [1..1]   | ±    |             | 114  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                         | [1..1]   | ±    |             | 114  |
|     | <b>Proxy</b> <Prxy>                                     | [0..1]   |      |             | 115  |
| {Or | <b>LegalPerson</b> <LglPrsn>                            | [1..1]   | ±    |             | 115  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                         | [1..1]   | ±    |             | 116  |
|     | <b>SupplementaryData</b> <SplmtryData>                  | [0..*]   | ±    | C15         | 116  |

## 5.3 Constraints

### C1 AccountIdentificationOrBlockchainAddress1Rule

Either AccountIdentification or BlockchainAddressOrWallet must be present but not both.

### C2 AccountIdentificationOrBlockchainAddress2Rule

If BlockchainAddressOrWallet is present then AccountIdentification must be absent.

### C3 AccountIdentificationOrBlockchainAddress3Rule

If AccountIdentification is present, then BlockchainAddressOrWallet must be absent.

### C4 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.

### C5 Country

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

**C6 DescriptionPresenceRule**

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

**C7 DescriptionUsageRule**

Description must be used alone as the last resort.

**C8 DigitalTokenUnitUsageRule**

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

**C9 HoldingBalanceTypeRule**

In all occurrences of HoldingBalance, one and only one BalanceType may be ELIG (Eligible).

**C10 ISINGuideline**

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

**C11 ISINPresenceRule**

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

**C12 OtherIdentificationPresenceRule**

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

**C13 PreviousEntitlementNotificationIdentificationRule**

If NotificationType is REPL (Replacement), then PreviousEntitlementNotificationIdentification must be present.

On Condition

/NotificationType is equal to value 'Replacement'

Following Must be True

/PreviousEntitlementNotificationIdentification Must be present

*This constraint is defined at the MessageDefinition level.*

**C14 RightsHolderMultiplicity1Guideline**

It is recommended that RightsHolder is only present more than once if there is joint ownership.

**C15 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.

## 5.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 5.4.1 NotificationType <NtfctnTp>

*Presence:* [1..1]

*Definition:* Type of notification.

*Datatype:* "NotificationType2Code" on page 373

| CodeName | Name        | Definition   |
|----------|-------------|--|
| NEWM     | New         | New notification.                                      |
| REPL     | Replacement | Notification replacing a previously sent notification. |

### 5.4.2 PreviousEntitlementNotificationIdentification <PrvsEntitlmntNtfctnId>

Presence: [0..1]

Definition: Identification of the original meeting notification entitlement message which is amended.

Datatype: "Max35Text" on page 391

### 5.4.3 MeetingReference <MtgRef>

Presence: [1..1]

Definition: Set of elements to allow the unambiguous identification of a meeting.

MeetingReference <MtgRef> contains the following MeetingReference10 elements

| Or | MessageElement<XML Tag>                 | Mult.  | Type     | Constr. No. | Page |
|----|---|--------|----------|-------------|------|
|    | MeetingIdentification <MtgId>           | [1..1] | Text     |             | 99   |
|    | IssuerMeetingIdentification <IssrMtgId> | [0..1] | Text     |             | 99   |
|    | MeetingDateAndTime <MtgDtAndTm>         | [1..1] | DateTime |             | 99   |
|    | Type <Tp>                               | [1..1] | CodeSet  |             | 100  |
|    | Classification <Clssfctn>               | [0..1] | ±        |             | 100  |
|    | Location <Lctn>                         | [0..5] | ±        |             | 100  |
|    | Issuer <Issr>                           | [0..1] | ±        |             | 101  |

#### 5.4.3.1 MeetingIdentification <MtgId>

Presence: [1..1]

Definition: Identification assigned to the general meeting by the party that provides the meeting notification. It must be unique to the party providing the notification.

Datatype: "Max35Text" on page 391

#### 5.4.3.2 IssuerMeetingIdentification <IssrMtgId>

Presence: [0..1]

Definition: Identification assigned to the meeting by the issuer. It must be unique for the issuer.

Datatype: "Max35Text" on page 391

#### 5.4.3.3 MeetingDateAndTime <MtgDtAndTm>

Presence: [1..1]

*Definition:* Date and time at which the meeting will take place.

*Datatype:* "ISODatetime" on page 386

#### 5.4.3.4 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of meeting for which instructions are sent.

*Datatype:* "MeetingType4Code" on page 371

| CodeName | Name              | Definition   |
|----------|-------------------|--|
| XMET     | Extraordinary     | Meeting that takes place as needed, in addition to the general meetings, is extraordinary as per the bylaws. The resolutions are related to the unusual business of the company, for example, approval of takeovers or mergers or spin-offs. These meetings are always issuer initiated. |
| GMET     | General           | Includes annual and ordinary meetings. Statutory meeting(s) usually held at least once a year. The resolutions are related to the usual business of the company, for example, approval of dividends and directors. These meetings are always issuer initiated.                           |
| MIXD     | Mixed             | Meeting which contains both ordinary and extraordinary resolutions.  |
| SPCL     | Special           | Meeting that takes place as needed that is neither ordinary nor extraordinary.   |
| BMET     | BondHolderMeeting | Physical meeting of bond holders.  |
| CMET     | CourtMeeting      | Meeting is the result of a legal proceeding.   |

#### 5.4.3.5 Classification <Clssfctn>

*Presence:* [0..1]

*Definition:* Classification type of the meeting.

**Classification <Clssfctn>** contains one of the following elements (see "MeetingTypeClassification2Choice" on page 287 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd>               | [1..1] | CodeSet |             | 288  |
| Or} | Proprietary <Prtry>     | [1..1] | ±       |             | 288  |

#### 5.4.3.6 Location <Lctn>

*Presence:* [0..5]

*Definition:* Place of the company meeting for the scheduled meeting date.

**Location <Lctn>** contains the following elements (see "PostalAddress1" on page 339 for details)

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 339  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 340  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 340  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 340  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 340  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 340  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 340  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 341  |

#### 5.4.3.7 Issuer <Issr>

*Presence:* [0..1]

*Definition:* Institution that is the issuer of the security to which the meeting applies.

**Issuer <Issr>** contains one of the following elements (see "PartyIdentification129Choice" on page 323 for details)

| Or  | MessageElement<XML Tag>             | Mult.  | Type          | Constr. No. | Page |
|-----|-------------------------------------|--------|---------------|-------------|------|
| {Or | AnyBIC <AnyBIC>                     | [1..1] | IdentifierSet | C1          | 323  |
| Or  | ProprietaryIdentification <PrtryId> | [1..1] | ±             |             | 324  |
| Or  | NameAndAddress <NmAndAdr>           | [1..1] | ±             |             | 324  |
| Or} | LEI <LEI>                           | [1..1] | IdentifierSet |             | 324  |

#### 5.4.4 Issuer <Issr>

*Presence:* [1..1]

*Definition:* Institution that is the issuer of the security to which the meeting applies.

**Issuer <Issr>** contains one of the following elements (see "PartyIdentification129Choice" on page 323 for details)

| Or  | MessageElement<XML Tag>             | Mult.  | Type          | Constr. No. | Page |
|-----|-------------------------------------|--------|---------------|-------------|------|
| {Or | AnyBIC <AnyBIC>                     | [1..1] | IdentifierSet | C1          | 323  |
| Or  | ProprietaryIdentification <PrtryId> | [1..1] | ±             |             | 324  |
| Or  | NameAndAddress <NmAndAdr>           | [1..1] | ±             |             | 324  |
| Or} | LEI <LEI>                           | [1..1] | IdentifierSet |             | 324  |

## 5.4.5 Security <Scty>

*Presence:* [1..200]

*Definition:* Security for which the meeting is organised, the account and the positions of the security holder.

**Security <Scty>** contains the following **SecurityPosition18** elements

| Or  | MessageElement<XML Tag>                                 | Mult.     | Type    | Constr. No.           | Page |
|-----|---|-----------|---------|-----------------------|------|
|     | <b>FinancialInstrumentIdentification</b> <FinInstrmId>  | [1..1]    | ±       | C6, C7, C10, C11, C12 | 103  |
|     | <b>Position</b> <Pos>                                   | [0..1000] |         | C1, C2, C3, C9, C14   | 104  |
|     | <b>AccountIdentification</b> <AcctId>                   | [0..1]    | Text    |                       | 105  |
|     | <b>BlockChainAddressOrWallet</b> <BlckChainAdrOrWlt>    | [0..1]    | Text    |                       | 105  |
|     | <b>AccountOwner</b> <AcctOwnr>                          | [0..1]    |         |                       | 105  |
|     | <b>Identification</b> <Id>                              | [1..1]    |         |                       | 106  |
| {Or | <b>LegalPerson</b> <LglPrsn>                            | [1..1]    | ±       |                       | 106  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                         | [1..*]    | ±       |                       | 107  |
|     | <b>AdditionalIdentificationInformation</b> <AddtlIdInf> | [0..1]    |         |                       | 107  |
| {Or | <b>BirthDate</b> <BirthDt>                              | [1..1]    | Date    |                       | 108  |
| Or} | <b>RegistrationIdentification</b> <RegnId>              | [1..1]    | ±       |                       | 108  |
|     | <b>HoldingBalance</b> <HldgBal>                         | [0..15]   |         |                       | 108  |
|     | <b>Balance</b> <Bal>                                    | [1..1]    | ±       |                       | 108  |
|     | <b>BalanceType</b> <BalTp>                              | [1..1]    | CodeSet |                       | 109  |
|     | <b>SafekeepingPlace</b> <SfkpgPlc>                      | [0..1]    | ±       |                       | 110  |
|     | <b>Date</b> <Dt>  | [0..1]    | Date    |                       | 110  |
|     | <b>RightsHolder</b> <RghtsHldr>                         | [0..250]  |         |                       | 110  |
|     | <b>Identification</b> <Id>                              | [1..1]    |         |                       | 111  |
| {Or | <b>LegalPerson</b> <LglPrsn>                            | [1..1]    | ±       |                       | 111  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                         | [1..*]    | ±       |                       | 112  |
|     | <b>AdditionalIdentificationInformation</b> <AddtlIdInf> | [0..1]    |         |                       | 113  |
| {Or | <b>BirthDate</b> <BirthDt>                              | [1..1]    | Date    |                       | 113  |
| Or} | <b>RegistrationIdentification</b> <RegnId>              | [1..1]    | ±       |                       | 113  |

### 5.4.5.1 FinancialInstrumentIdentification <FinInstrmId>

Presence: [1..1]

Definition: Identification of the security, as assigned under a formal or proprietary identification scheme.

Impacted by: C6 "DescriptionPresenceRule", C7 "DescriptionUsageRule", C10 "ISINGuideline", C11 "ISINPresenceRule", C12 "OtherIdentificationPresenceRule"

FinancialInstrumentIdentification <FinInstrmId> contains the following elements (see "SecurityIdentification19" on page 256 for details)

| Or | MessageElement<XML Tag>       | Mult.  | Type          | Constr. No. | Page |
|----|-------------------------------|--------|---------------|-------------|------|
|    | ISIN <ISIN>                   | [0..1] | IdentifierSet |             | 257  |
|    | OtherIdentification <OthrlId> | [0..*] |               |             | 257  |
|    | Identification <Id>           | [1..1] | Text          |             | 258  |
|    | Suffix <Sfx>                  | [0..1] | Text          |             | 258  |
|    | Type <Tp>                     | [1..1] | ±             |             | 258  |
|    | Description <Desc>            | [0..1] | Text          |             | 258  |

#### Constraints

- **DescriptionPresenceRule**

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

```
On Condition
  /Description is absent
Following Must be True
  /ISIN Must be present
Or   /OtherIdentification[*] Must be present
```

- **DescriptionUsageRule**

Description must be used alone as the last resort.

- **ISINGuideline**

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

- **ISINPresenceRule**

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

```
On Condition
  /ISIN is absent
Following Must be True
  /OtherIdentification[*] Must be present
Or   /Description Must be present
```

- **OtherIdentificationPresenceRule**

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

```
On Condition
  /OtherIdentification[*] is absent
Following Must be True
```

/ISIN Must be present  
Or /Description Must be present

### 5.4.5.2 Position <Pos>

Presence: [0..1000]

Definition: Amount of securities that are eligible for the vote.

Impacted by: C1 "AccountIdentificationOrBlockChainAddress1Rule", C2

"AccountIdentificationOrBlockChainAddress2Rule", C3

"AccountIdentificationOrBlockChainAddress3Rule", C9 "HoldingBalanceTypeRule", C14

"RightsHolderMultiplicity1Guideline"

Position <Pos> contains the following EligiblePosition15 elements

| Or  | MessageElement<XML Tag>                                 | Mult.    | Type    | Constr. No. | Page |
|-----|---|----------|---------|-------------|------|
|     | <b>AccountIdentification</b> <AcctId>                   | [0..1]   | Text    |             | 105  |
|     | <b>BlockChainAddressOrWallet</b> <BlckChainAdrOrWllt>   | [0..1]   | Text    |             | 105  |
|     | <b>AccountOwner</b> <AcctOwnr>                          | [0..1]   |         |             | 105  |
|     | <b>Identification</b> <Id>                              | [1..1]   |         |             | 106  |
| {Or | <b>LegalPerson</b> <LglPrsn>                            | [1..1]   | ±       |             | 106  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                         | [1..*]   | ±       |             | 107  |
|     | <b>AdditionalIdentificationInformation</b> <AddtlIdInf> | [0..1]   |         |             | 107  |
| {Or | <b>BirthDate</b> <BirthDt>                              | [1..1]   | Date    |             | 108  |
| Or} | <b>RegistrationIdentification</b> <RegnId>              | [1..1]   | ±       |             | 108  |
|     | <b>HoldingBalance</b> <HldgBal>                         | [0..15]  |         |             | 108  |
|     | <b>Balance</b> <Bal>                                    | [1..1]   | ±       |             | 108  |
|     | <b>BalanceType</b> <BalTp>                              | [1..1]   | CodeSet |             | 109  |
|     | <b>SafekeepingPlace</b> <SfkpgPlc>                      | [0..1]   | ±       |             | 110  |
|     | <b>Date</b> <Dt>  | [0..1]   | Date    |             | 110  |
|     | <b>RightsHolder</b> <RghtsHldr>                         | [0..250] |         |             | 110  |
|     | <b>Identification</b> <Id>                              | [1..1]   |         |             | 111  |
| {Or | <b>LegalPerson</b> <LglPrsn>                            | [1..1]   | ±       |             | 111  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                         | [1..*]   | ±       |             | 112  |
|     | <b>AdditionalIdentificationInformation</b> <AddtlIdInf> | [0..1]   |         |             | 113  |
| {Or | <b>BirthDate</b> <BirthDt>                              | [1..1]   | Date    |             | 113  |
| Or} | <b>RegistrationIdentification</b> <RegnId>              | [1..1]   | ±       |             | 113  |

**Constraints**

- **AccountIdentificationOrBlockchainAddress1Rule**

Either AccountIdentification or BlockchainAddressOrWallet must be present but not both.

Following Must be True

/AccountIdentification Must be present

Or /BlockchainAddressOrWallet Must be present

- **AccountIdentificationOrBlockchainAddress2Rule**

If BlockchainAddressOrWallet is present then AccountIdentification must be absent.

On Condition

/BlockchainAddressOrWallet is present

Following Must be True

/AccountIdentification Must be absent

- **AccountIdentificationOrBlockchainAddress3Rule**

If AccountIdentification is present, then BlockchainAddressOrWallet must be absent.

On Condition

/AccountIdentification is present

Following Must be True

/BlockchainAddressOrWallet Must be absent

- **HoldingBalanceTypeRule**

In all occurrences of HoldingBalance, one and only one BalanceType may be ELIG (Eligible).

- **RightsHolderMultiplicity1Guideline**

It is recommended that RightsHolder is only present more than once if there is joint ownership.

#### 5.4.5.2.1 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the securities account.

*Datatype:* "Max35Text" on page 391

#### 5.4.5.2.2 BlockchainAddressOrWallet <BlckChainAdrOrWllt>

*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 390

#### 5.4.5.2.3 AccountOwner <AcctOwnr>

*Presence:* [0..1]

*Definition:* Party that legally owns the account.

**AccountOwner <AcctOwnr>** contains the following **PartyIdentification241** elements

| Or  | MessageElement<XML Tag>                                       | Mult.  | Type | Constr. No. | Page |
|-----|---|--------|------|-------------|------|
|     | <b>Identification &lt;Id&gt;</b>                              | [1..1] |      |             | 106  |
| {Or | <b>LegalPerson &lt;LglPrsn&gt;</b>                            | [1..1] | ±    |             | 106  |
| Or} | <b>NaturalPerson &lt;NtrlPrsn&gt;</b>                         | [1..*] | ±    |             | 107  |
|     | <b>AdditionalIdentificationInformation &lt;AddtlIdInf&gt;</b> | [0..1] |      |             | 107  |
| {Or | <b>BirthDate &lt;BirthDt&gt;</b>                              | [1..1] | Date |             | 108  |
| Or} | <b>RegistrationIdentification &lt;RegnId&gt;</b>              | [1..1] | ±    |             | 108  |

**5.4.5.2.3.1 Identification <Id>**

*Presence:* [1..1]

*Definition:* Identification of the party.

**Identification <Id>** contains one of the following **PartyIdentification231Choice** elements

| Or  | MessageElement<XML Tag>               | Mult.  | Type | Constr. No. | Page |
|-----|---------------------------------------|--------|------|-------------|------|
| {Or | <b>LegalPerson &lt;LglPrsn&gt;</b>    | [1..1] | ±    |             | 106  |
| Or} | <b>NaturalPerson &lt;NtrlPrsn&gt;</b> | [1..*] | ±    |             | 107  |

**5.4.5.2.3.1.1 LegalPerson <LglPrsn>**

*Presence:* [1..1]

*Definition:* Legal entity.

**LegalPerson <LgIPrsn>** contains the following elements (see "[PartyIdentification221](#)" on page 318 for details)

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>        | [1..1] |         |             | 318  |
|    | Name <Nm>                        | [1..1] | Text    |             | 319  |
|    | Address <Adr>                    | [0..1] |         |             | 319  |
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 320  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 320  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 320  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 320  |
|    | PostBox <PstBx>                  | [0..1] | Text    |             | 320  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 320  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 321  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 321  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 321  |
|    | EmailAddress <EmailAdr>          | [0..1] | Text    |             | 321  |
|    | Identification <Id>              | [1..1] | ±       |             | 321  |

#### 5.4.5.2.3.1.2 NaturalPerson <NtrIPrsn>

*Presence:* [1..\*]

*Definition:* Private person.

**NaturalPerson <NtrIPrsn>** contains the following elements (see "[PartyIdentification238](#)" on page 305 for details)

| Or | MessageElement<XML Tag>               | Mult.  | Type    | Constr. No. | Page |
|----|---------------------------------------|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>             | [1..1] | ±       |             | 305  |
|    | EmailAddress <EmailAdr>               | [0..1] | Text    |             | 306  |
|    | Identification <Id>                   | [1..1] | ±       |             | 306  |
|    | Nationality <Ntlty>                   | [0..1] | CodeSet | C3          | 306  |
|    | DateAndPlaceOfBirth <DtAndPlcOfBirth> | [0..1] | ±       |             | 307  |

#### 5.4.5.2.3.2 AdditionalIdentificationInformation <AddtlIdInf>

*Presence:* [0..1]

*Definition:* Ancillary identification information about the party.

**AdditionalIdentificationInformation <AddtlIdInf>** contains one of the following **PartyAdditionalIdentification2Choice** elements

| Or  | MessageElement<XML Tag>                    | Mult.  | Type | Constr. No. | Page |
|-----|--|--------|------|-------------|------|
| {Or | <b>BirthDate</b> <BirthDt>                 | [1..1] | Date |             | 108  |
| Or} | <b>RegistrationIdentification</b> <RegnId> | [1..1] | ±    |             | 108  |

#### 5.4.5.2.3.2.1 BirthDate <BirthDt>

*Presence:* [1..1]

*Definition:* Date of birth of an individual person.

*Datatype:* "ISODate" on page 386

#### 5.4.5.2.3.2.2 RegistrationIdentification <RegnId>

*Presence:* [1..1]

*Definition:* Official identification of an organisation in a specific register.

**RegistrationIdentification <RegnId>** contains the following elements (see "OrganisationIdentification5" on page 275 for details)

| Or | MessageElement<XML Tag>     | Mult.  | Type | Constr. No. | Page |
|----|-----------------------------|--------|------|-------------|------|
|    | RegistrationNumber <RegnNb> | [1..1] | Text |             | 276  |
|    | RegisterName <RegrNm>       | [0..1] | Text |             | 276  |

#### 5.4.5.2.4 HoldingBalance <HldgBal>

*Presence:* [0..15]

*Definition:* Net position of a segregated holding of a single security within the overall position held in a securities account, for example, sub-balance per status.

**HoldingBalance <HldgBal>** contains the following **HoldingBalance11** elements

| Or | MessageElement<XML Tag>            | Mult.  | Type    | Constr. No. | Page |
|----|------------------------------------|--------|---------|-------------|------|
|    | <b>Balance</b> <Bal>               | [1..1] | ±       |             | 108  |
|    | <b>BalanceType</b> <BalTp>         | [1..1] | CodeSet |             | 109  |
|    | <b>SafekeepingPlace</b> <SfkpgPlc> | [0..1] | ±       |             | 110  |
|    | <b>Date</b> <Dt>                   | [0..1] | Date    |             | 110  |

#### 5.4.5.2.4.1 Balance <Bal>

*Presence:* [1..1]

*Definition:* Total quantity of financial instrument for the referenced holding.

**Balance <Bal>** contains the following elements (see "[SignedQuantityFormat14](#)" on page 343 for details)

| Or  | MessageElement<XML Tag>        | Mult.  | Type     | Constr. No. | Page |
|-----|--------------------------------|--------|----------|-------------|------|
|     | ShortLongPosition <ShrtLngPos> | [1..1] | CodeSet  |             | 343  |
|     | Quantity <Qty>                 | [1..1] |          | C9          | 343  |
| {Or | Unit <Unit>                    | [1..1] | Quantity |             | 344  |
| Or  | FaceAmount <FaceAmt>           | [1..1] | Amount   |             | 344  |
| Or} | DigitalTokenUnit <DgtlTknUnit> | [1..1] | Quantity |             | 344  |

#### 5.4.5.2.4.2 BalanceType <BalTp>

*Presence:* [1..1]

*Definition:* Reason a security is not available or additional information about the financial instrument for which the balance is given, for example, unregistered, registered in nominee name.

*Datatype:* "[SecuritiesEntryType2Code](#)" on page 380

| CodeName | Name            | Definition   |
|----------|-----------------|--|
| BLOK     | Blocked         | Balance of securities that are blocked or frozen. A financial instrument may be unavailable due to external circumstances such as a court order, death of beneficiary or account owner, or bankruptcy. |
| ELIG     | Eligible        | Total number of securities eligible for this event.  |
| PEND     | PendingDelivery | Balance of securities that are pending delivery.   |
| PENR     | PendingReceipt  | Balance of securities that are pending receipt.  |
| NOMI     | Registered      | Balance of securities that are registered (in the name of a nominee or of the beneficial owner).   |
| SETD     | Settled         | Balance of securities representing only settled transactions.  |
| BORR     | Borrowed        | Balance of securities that have been borrowed from another party.  |
| LOAN     | OnLoan          | Balance of securities that have been loaned to a third party.  |
| SPOS     | StreetPosition  | Balance of securities that remain registered in the name of the prior beneficial owner of securities.  |
| TRAD     | Traded          | Balance of securities representing traded transactions.  |
| COLI     | CollateralIn    | Balance of securities that belong to a third party and that are held for the purpose of collateralisation.   |

| CodeName | Name                | Definition  |
|----------|---------------------|---|
| COLO     | CollateralOut       | Balance of securities that belong to the safekeeping account indicated within this message, and are deposited with a third party for the purpose of collateralisation.              |
| UNBA     | UninstructedBalance | Balance of uninstructed position.   |
| INBA     | InstructedBalance   | Balance of instructed position.   |
| REGO     | OutForRegistration  | Balance of securities currently being processed by the institution responsible for registering the new beneficial owner (or nominee) of securities after a transaction has settled. |

#### 5.4.5.2.4.3 SafekeepingPlace <SfkpgPlc>

*Presence:* [0..1]

*Definition:* Place where the securities are safe-kept, physically or notionally. This place can be, for example, a local custodian, a Central Securities Depository (CSD) or an International Central Securities Depository (ICSD).

**SafekeepingPlace <SfkpgPlc>** contains one of the following elements (see "[SafekeepingPlaceFormat28Choice](#)" on page 346 for details)

| Or  | MessageElement<XML Tag>           | Mult.  | Type          | Constr. No. | Page |
|-----|-----------------------------------|--------|---------------|-------------|------|
| {Or | Identification <Id>               | [1..1] |               |             | 346  |
|     | SafekeepingPlaceType <SfkpgPlcTp> | [1..1] | CodeSet       |             | 346  |
|     | Identification <Id>               | [0..1] | Text          |             | 347  |
| Or  | Country <Ctry>                    | [1..1] | CodeSet       | C3          | 347  |
| Or  | TypeAndIdentification <TpAndId>   | [1..1] |               |             | 347  |
|     | SafekeepingPlaceType <SfkpgPlcTp> | [1..1] | CodeSet       |             | 347  |
|     | Identification <Id>               | [1..1] | IdentifierSet | C1          | 348  |
| Or} | Proprietary <Prtry>               | [1..1] | ±             |             | 348  |

#### 5.4.5.2.4.4 Date <Dt>

*Presence:* [0..1]

*Definition:* Date of the entitlement.

*Datatype:* "ISODate" on page 386

#### 5.4.5.2.5 RightsHolder <RghtsHldr>

*Presence:* [0..250]

*Definition:* Owner of the voting rights.

**RightsHolder <RghtsHldr>** contains the following **PartyIdentification270** elements

| Or  | MessageElement<XML Tag>                                       | Mult.  | Type | Constr. No. | Page |
|-----|---|--------|------|-------------|------|
|     | <b>Identification &lt;Id&gt;</b>                              | [1..1] |      |             | 111  |
| {Or | <b>LegalPerson &lt;LglPrsn&gt;</b>                            | [1..1] | ±    |             | 111  |
| Or} | <b>NaturalPerson &lt;NtrlPrsn&gt;</b>                         | [1..*] | ±    |             | 112  |
|     | <b>AdditionalIdentificationInformation &lt;AddtlIdInf&gt;</b> | [0..1] |      |             | 113  |
| {Or | <b>BirthDate &lt;BirthDt&gt;</b>                              | [1..1] | Date |             | 113  |
| Or} | <b>RegistrationIdentification &lt;RegnId&gt;</b>              | [1..1] | ±    |             | 113  |

**5.4.5.2.5.1 Identification <Id>**

*Presence:* [1..1]

*Definition:* Identification of the party.

**Identification <Id>** contains one of the following **PartyIdentification246Choice** elements

| Or  | MessageElement<XML Tag>               | Mult.  | Type | Constr. No. | Page |
|-----|---------------------------------------|--------|------|-------------|------|
| {Or | <b>LegalPerson &lt;LglPrsn&gt;</b>    | [1..1] | ±    |             | 111  |
| Or} | <b>NaturalPerson &lt;NtrlPrsn&gt;</b> | [1..*] | ±    |             | 112  |

**5.4.5.2.5.1.1 LegalPerson <LglPrsn>**

*Presence:* [1..1]

*Definition:* Legal entity.

**LegalPerson <LgIPrsn>** contains the following elements (see "[PartyIdentification269](#)" on page 295 for details)

| Or | MessageElement<XML Tag>                                      | Mult.  | Type    | Constr. No. | Page |
|----|--|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>                                    | [1..1] |         |             | 296  |
|    | Name <Nm>  | [1..1] | Text    |             | 297  |
|    | Address <Adr>  | [0..1] |         |             | 297  |
|    | AddressType <AdrTp>  | [0..1] | CodeSet |             | 298  |
|    | AddressLine <AdrLine>  | [0..5] | Text    |             | 298  |
|    | StreetName <StrtNm>  | [0..1] | Text    |             | 298  |
|    | BuildingNumber <BldgNb>                                      | [0..1] | Text    |             | 298  |
|    | PostBox <PstBx>  | [0..1] | Text    |             | 298  |
|    | PostCode <PstCd>   | [0..1] | Text    |             | 298  |
|    | TownName <TwnNm>   | [0..1] | Text    |             | 299  |
|    | CountrySubDivision <CtrySubDvsn>                             | [0..1] | Text    |             | 299  |
|    | Country <Ctry>   | [1..1] | CodeSet | C3          | 299  |
|    | EmailAddress <EmailAdr>                                      | [0..1] | Text    |             | 299  |
|    | Identification <Id>  | [0..1] | ±       |             | 299  |
|    | CompanyRegisterShareholderIdentification <CpnyRegrShrhldrid> | [0..1] | Text    |             | 299  |
|    | CountryOfIncorporation <CtryOfIncorptrn>                     | [0..1] | CodeSet | C3          | 300  |

#### 5.4.5.2.5.1.2 NaturalPerson <NtrlPrsn>

*Presence:* [1..\*]

*Definition:* Private person.

**NaturalPerson <NtrlPrsn>** contains the following elements (see "[PartyIdentification250](#)" on page 300 for details)

| Or | MessageElement<XML Tag>                                      | Mult.  | Type    | Constr. No. | Page |
|----|--|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>                                    | [1..1] | ±       |             | 300  |
|    | EmailAddress <EmailAdr>                                      | [0..1] | Text    |             | 301  |
|    | Identification <Id>  | [0..1] | ±       |             | 301  |
|    | Nationality <Ntlty>  | [0..1] | CodeSet | C3          | 301  |
|    | DateAndPlaceOfBirth <DtAndPlcOfBirth>                        | [0..1] | ±       |             | 302  |
|    | CompanyRegisterShareholderIdentification <CpnyRegrShrhldrid> | [0..1] | Text    |             | 302  |

**5.4.5.2.5.2 AdditionalIdentificationInformation <AddtlIdInf>**

*Presence:* [0..1]

*Definition:* Ancillary identification information about the party.

**AdditionalIdentificationInformation <AddtlIdInf>** contains one of the following **PartyAdditionalIdentification2Choice** elements

| Or  | MessageElement<XML Tag>                    | Mult.  | Type | Constr. No. | Page |
|-----|--|--------|------|-------------|------|
| {Or | <b>BirthDate</b> <BirthDt>                 | [1..1] | Date |             | 113  |
| Or} | <b>RegistrationIdentification</b> <RegnId> | [1..1] | ±    |             | 113  |

**5.4.5.2.5.2.1 BirthDate <BirthDt>**

*Presence:* [1..1]

*Definition:* Date of birth of an individual person.

*Datatype:* "ISODate" on page 386

**5.4.5.2.5.2.2 RegistrationIdentification <RegnId>**

*Presence:* [1..1]

*Definition:* Official identification of an organisation in a specific register.

**RegistrationIdentification <RegnId>** contains the following elements (see "OrganisationIdentification5" on page 275 for details)

| Or | MessageElement<XML Tag>     | Mult.  | Type | Constr. No. | Page |
|----|-----------------------------|--------|------|-------------|------|
|    | RegistrationNumber <RegnNb> | [1..1] | Text |             | 276  |
|    | RegisterName <RegrNm>       | [0..1] | Text |             | 276  |

**5.4.6 Eligibility <Elgblty>**

*Presence:* [1..1]

*Definition:* Date determining eligibility.

**Eligibility <Elgblty>** contains the following **EligibilityDates1** elements

| Or | MessageElement<XML Tag>                       | Mult.  | Type | Constr. No. | Page |
|----|---|--------|------|-------------|------|
|    | <b>EntitlementFixingDate</b> <EntitlmntFxdDt> | [1..1] | Date |             | 113  |

**5.4.6.1 EntitlementFixingDate <EntitlmntFxdDt>**

*Presence:* [1..1]

*Definition:* Date at which the positions are struck to note which parties will receive the entitlement, e.g. record date, book close date.

*Datatype:* "ISODate" on page 386

## 5.4.7 MeetingAttendee <MtgAttndee>

*Presence:* [0..1]

*Definition:* Person physically attending the meeting as a natural or legal person.

**MeetingAttendee <MtgAttndee>** contains one of the following **PartyIdentification232Choice** elements

| Or  | MessageElement<XML Tag>         | Mult.  | Type | Constr. No. | Page |
|-----|---------------------------------|--------|------|-------------|------|
| {Or | <b>LegalPerson</b> <LglPrsn>    | [1..1] | ±    |             | 114  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn> | [1..1] | ±    |             | 114  |

### 5.4.7.1 LegalPerson <LglPrsn>

*Presence:* [1..1]

*Definition:* Legal entity.

**LegalPerson <LglPrsn>** contains the following elements (see "[PartyIdentification221](#)" on page 318 for details)

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>        | [1..1] |         |             | 318  |
|    | Name <Nm>                        | [1..1] | Text    |             | 319  |
|    | Address <Adr>                    | [0..1] |         |             | 319  |
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 320  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 320  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 320  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 320  |
|    | PostBox <PstBx>                  | [0..1] | Text    |             | 320  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 320  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 321  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 321  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 321  |
|    | EmailAddress <EmailAdr>          | [0..1] | Text    |             | 321  |
|    | Identification <Id>              | [1..1] | ±       |             | 321  |

### 5.4.7.2 NaturalPerson <NtrlPrsn>

*Presence:* [1..1]

*Definition:* Private person.

**NaturalPerson <NtrlPrsn>** contains the following elements (see "PartyIdentification238" on page 305 for details)

| Or | MessageElement<XML Tag>               | Mult.  | Type    | Constr. No. | Page |
|----|---------------------------------------|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>             | [1..1] | ±       |             | 305  |
|    | EmailAddress <EmailAdr>               | [0..1] | Text    |             | 306  |
|    | Identification <Id>                   | [1..1] | ±       |             | 306  |
|    | Nationality <Ntlty>                   | [0..1] | CodeSet | C3          | 306  |
|    | DateAndPlaceOfBirth <DtAndPlcOfBirth> | [0..1] | ±       |             | 307  |

## 5.4.8 Proxy <Prxy>

*Presence:* [0..1]

*Definition:* Third party agent assigned by the shareholder that is legally authorised to cast a vote on the shareholder's behalf at the general meeting.

**Proxy <Prxy>** contains one of the following **PartyIdentification232Choice** elements

| Or  | MessageElement<XML Tag>         | Mult.  | Type | Constr. No. | Page |
|-----|---------------------------------|--------|------|-------------|------|
| {Or | <b>LegalPerson</b> <LglPrsn>    | [1..1] | ±    |             | 115  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn> | [1..1] | ±    |             | 116  |

### 5.4.8.1 LegalPerson <LglPrsn>

*Presence:* [1..1]

*Definition:* Legal entity.

**LegalPerson <LgIPrsn>** contains the following elements (see "[PartyIdentification221](#)" on page 318 for details)

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>        | [1..1] |         |             | 318  |
|    | Name <Nm>                        | [1..1] | Text    |             | 319  |
|    | Address <Adr>                    | [0..1] |         |             | 319  |
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 320  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 320  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 320  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 320  |
|    | PostBox <PstBx>                  | [0..1] | Text    |             | 320  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 320  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 321  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 321  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 321  |
|    | EmailAddress <EmailAdr>          | [0..1] | Text    |             | 321  |
|    | Identification <Id>              | [1..1] | ±       |             | 321  |

#### 5.4.8.2 NaturalPerson <NtrlPrsn>

*Presence:* [1..1]

*Definition:* Private person.

**NaturalPerson <NtrlPrsn>** contains the following elements (see "[PartyIdentification238](#)" on page 305 for details)

| Or | MessageElement<XML Tag>               | Mult.  | Type    | Constr. No. | Page |
|----|---------------------------------------|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>             | [1..1] | ±       |             | 305  |
|    | EmailAddress <EmailAdr>               | [0..1] | Text    |             | 306  |
|    | Identification <Id>                   | [1..1] | ±       |             | 306  |
|    | Nationality <Ntlty>                   | [0..1] | CodeSet | C3          | 306  |
|    | DateAndPlaceOfBirth <DtAndPlcOfBirth> | [0..1] | ±       |             | 307  |

#### 5.4.9 SupplementaryData <SplmtryData>

*Presence:* [0..\*]

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

*Impacted by:* [C15 "SupplementaryDataRule"](#)

**SupplementaryData <SplmtryData>** contains the following elements (see "[SupplementaryData1](#)" on page 290 for details)

| Or | MessageElement<XML Tag> | Mult.  | Type              | Constr. No. | Page |
|----|-------------------------|--------|-------------------|-------------|------|
|    | PlaceAndName <PlcAndNm> | [0..1] | Text              |             | 290  |
|    | Envelope <Envlp>        | [1..1] | (External Schema) |             | 290  |

#### Constraints

- **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.

# 6 **seev.004.001.09** **MeetingInstructionV09**

## 6.1 **MessageDefinition Functionality**

### Scope

The MeetingInstruction message is sent by a party holding the right to vote to an intermediary, the issuer or its agent to request the receiving party to act upon one or several instructions.

### Usage

The MeetingInstruction message is used to vote, to require attendance to a meeting, to request registration of securities and assign a proxy. One instruction or multiple instructions can be carried within the same message.

Once the message is sent, it cannot be modified. It must be cancelled by a MeetingInstructionCancellationRequest. Only after receipt of a confirmed cancelled status via the

MeetingInstructionStatus message, a new MeetingInstruction message can be sent.

This message definition is intended for use with the Business Application Header (BAH).

### Outline

The MeetingInstructionV09 MessageDefinition is composed of 9 MessageBuildingBlocks:

#### A. Pagination

Page number of the message and continuation indicator to indicate that the multi-part instruction is to continue or that the message is the last page of the multi-part instruction.

#### B. MeetingInstructionIdentification

Unique identification of the group of meeting instruction messages when the instruction is split in multiple (paginated) messages.

#### C. MeetingReference

Set of elements to allow the unambiguous identification of a meeting.

#### D. FinancialInstrumentIdentification

Security for which the meeting is organised.

#### E. InstructionCancellationRequestIdentification

Identification of the cancellation request message requesting cancellation of individual instruction(s).

#### F. CancelledInstructionIdentification

Identification of the message and individual instruction(s) for which the cancellation was requested.

#### G. OtherDocumentIdentification

Identification of other messages/documents as well as the messages/documents number.

#### H. Instruction

The position of the instructing party and the action that it wants to take.

I. SupplementaryData

Additional information that cannot be captured in the structured fields and/or any other specific block.

## 6.2 Structure

| Or | MessageElement/BuildingBlock<XML Tag>   | Mult.  | Type      | Constr. No.           | Page |
|----|---|--------|-----------|-----------------------|------|
|    | Message root <Document> <MtgInstr>  | [1..1] |           |                       |      |
|    | <b>Pagination</b> <Pgntn>   | [0..1] | ±         |                       | 124  |
|    | <b>MeetingInstructionIdentification</b> <MtgInstrId>                          | [0..1] | Text      |                       | 124  |
|    | <b>MeetingReference</b> <MtgRef>  | [1..1] |           |                       | 124  |
|    | <b>MeetingIdentification</b> <MtgId>  | [1..1] | Text      |                       | 125  |
|    | <b>IssuerMeetingIdentification</b> <IssrMtgId>                                | [0..1] | Text      |                       | 125  |
|    | <b>MeetingDateAndTime</b> <MtgDtAndTm>  | [1..1] | DateTime  |                       | 125  |
|    | <b>Type</b> <Tp>  | [1..1] | CodeSet   |                       | 125  |
|    | <b>Classification</b> <Clsfctn>   | [0..1] | ±         |                       | 126  |
|    | <b>Location</b> <Lctn>  | [0..5] | ±         |                       | 126  |
|    | <b>Issuer</b> <Issr>  | [0..1] | ±         |                       | 126  |
|    | <b>FinancialInstrumentIdentification</b> <FinInstrmId>                        | [1..1] | ±         | C7, C8, C11, C12, C15 | 127  |
|    | <b>InstructionCancellationRequestIdentification</b> <InstrCxlReqId>           | [0..*] |           |                       | 128  |
|    | <b>MeetingInstructionCancellationRequestIdentification</b> <MtgInstrCxlReqId> | [1..1] | Text      |                       | 128  |
|    | <b>SingleInstructionIdentification</b> <SnglInstrId>                          | [1..1] | Text      |                       | 128  |
|    | <b>CancelledInstructionIdentification</b> <CanclInstrId>                      | [0..*] |           |                       | 128  |
|    | <b>MeetingInstructionIdentification</b> <MtgInstrId>                          | [1..1] | Text      |                       | 129  |
|    | <b>SingleInstructionIdentification</b> <SnglInstrId>                          | [1..1] | Text      |                       | 129  |
|    | <b>OtherDocumentIdentification</b> <OthrDocId>                                | [0..*] | ±         |                       | 129  |
|    | <b>Instruction</b> <Instr>  | [1..*] |           | C13                   | 129  |
|    | <b>SingleInstructionIdentification</b> <SnglInstrId>                          | [1..1] | Text      |                       | 132  |
|    | <b>RequestedExecutionDate</b> <ReqdExctnDt>                                   | [0..1] | DateTime  |                       | 132  |
|    | <b>VoteExecutionConfirmation</b> <VoteExctnConf>                              | [1..1] | Indicator |                       | 132  |
|    | <b>AccountDetails</b> <AcctDtls>  | [1..1] |           | C1, C2, C3, C5, C17   | 132  |
|    | <b>AccountIdentification</b> <AcctId>   | [0..1] | Text      |                       | 134  |
|    | <b>BlockchainAddressOrWallet</b> <BlckChainAdrOrWlt>                          | [0..1] | Text      |                       | 134  |
|    | <b>AccountOwner</b> <AcctOwnr>  | [0..1] |           |                       | 134  |

| Or  | MessageElement/BuildingBlock<XML Tag>                                | Mult.     | Type      | Constr. No. | Page |
|-----|--|-----------|-----------|-------------|------|
| {Or | <b>LegalPerson</b> <LglPrsn>   | [1..1]    | ±         |             | 134  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                                      | [1..*]    | ±         |             | 135  |
|     | <b>SubAccountIdentification</b> <SubAcctId>                          | [0..1]    | Text      |             | 135  |
|     | <b>InstructedBalance</b> <InstdBal>                                  | [1..15]   |           |             | 136  |
|     | <b>Balance</b> <Bal>   | [1..1]    | ±         |             | 136  |
|     | <b>BalanceType</b> <BalTp>   | [0..1]    | CodeSet   |             | 136  |
|     | <b>SafekeepingPlace</b> <SfkpgPlc>                                   | [0..1]    | ±         |             | 137  |
|     | <b>RightsHolder</b> <RghtsHldr>                                      | [0..250]  |           |             | 138  |
| {Or | <b>LegalPerson</b> <LglPrsn>   | [1..1]    | ±         |             | 138  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                                      | [1..*]    | ±         |             | 139  |
|     | <b>PledgeDetails</b> <PldgDtls>                                      | [0..1]    |           |             | 140  |
|     | <b>Pledger</b> <Pldgr>   | [1..1]    |           |             | 140  |
| {Or | <b>LegalPerson</b> <LglPrsn>   | [1..1]    | ±         |             | 140  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                                      | [1..1]    | ±         |             | 141  |
|     | <b>ThirdParty</b> <ThrdPty>  | [0..1]    |           |             | 141  |
|     | <b>Role</b> <Role>   | [1..1]    | CodeSet   |             | 142  |
|     | <b>LegalPersonIdentification</b> <LglPrsnId>                         | [0..1]    | ±         |             | 142  |
|     | <b>PledgeType</b> <PldgTp>   | [1..1]    | ±         |             | 143  |
|     | <b>ReturnSecuritiesIndicator</b> <RtrScitiesInd>                     | [0..1]    | Indicator |             | 143  |
|     | <b>Proxy</b> <Prxy>  | [0..1]    |           | C16         | 143  |
|     | <b>ProxyType</b> <PrxyTp>  | [1..1]    | CodeSet   |             | 144  |
|     | <b>PersonDetails</b> <PrsnDtls>                                      | [0..1]    |           |             | 144  |
|     | <b>PreassignedProxy</b> <PrssgndPrxy>                                | [0..1]    |           |             | 144  |
| {Or | <b>LegalPerson</b> <LglPrsn>   | [1..1]    | ±         |             | 144  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                                      | [1..1]    | ±         |             | 145  |
|     | <b>EmployingParty</b> <EmplngPty>                                    | [0..1]    | ±         |             | 145  |
|     | <b>AttendanceCardDetails</b> <AttdncCardDtls>                        | [1..1]    | ±         | C14         | 146  |
|     | <b>VoteDetails</b> <VoteDtls>  | [0..1]    |           |             | 146  |
|     | <b>VoteInstructionForAgendaResolution</b><br><VoteInstrForAgndRsltn> | [1..1]    |           |             | 147  |
| {Or | <b>VotePerAgendaResolution</b> <VotePerAgndRsltn>                    | [1..1]    |           | C10         | 147  |
| {Or | <b>VoteInstruction</b> <VoteInstr>                                   | [1..1000] | ±         |             | 148  |

| Or  | MessageElement/BuildingBlock<XML Tag>                                | Mult.     | Type      | Constr. No. | Page |
|-----|--|-----------|-----------|-------------|------|
| Or} | <b>GlobalVoteInstruction</b> <GblVoteInstr>                          | [1..1000] |           |             | 149  |
|     | <b>IssuerLabel</b> <IssrLbl>   | [1..1]    | Text      |             | 149  |
|     | <b>VoteOption</b> <VoteOptn>   | [1..1]    | ±         |             | 149  |
| Or} | <b>VoteForAllAgendaResolutions</b> <VoteForAllAgndRsltns>            | [1..1]    | ±         |             | 150  |
|     | <b>VoteInstructionForMeetingResolution</b><br><VoteInstrForMtgRsltn> | [0..1]    |           |             | 150  |
| {Or | <b>VoteIndication</b> <VoteIndctn>                                   | [1..1]    | ±         |             | 150  |
| Or} | <b>Shareholder</b> <Shrhldr>   | [1..1]    | ±         |             | 150  |
|     | <b>MeetingAttendee</b> <MtgAtndee>                                   | [0..*]    |           |             | 151  |
|     | <b>Identification</b> <Id>   | [0..1]    |           |             | 151  |
| {Or | <b>LegalPerson</b> <LglPrsn>   | [1..1]    | ±         |             | 151  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                                      | [1..1]    | ±         |             | 152  |
|     | <b>ParticipationMethod</b> <PrtcptnMtd>                              | [0..1]    | CodeSet   |             | 152  |
|     | <b>EmployingParty</b> <EmplngPty>                                    | [0..1]    | ±         |             | 153  |
|     | <b>AttendanceCardDetails</b> <AtndncCardDtls>                        | [1..1]    | ±         | C14         | 153  |
|     | <b>SpecificInstructionRequest</b> <SpfcInstrReq>                     | [0..1]    |           |             | 153  |
|     | <b>ParticipationMethod</b> <PrtcptnMtd>                              | [0..1]    | ±         |             | 154  |
|     | <b>SecuritiesRegistration</b> <SctiesRegn>                           | [0..1]    | Indicator |             | 154  |
|     | <b>SupplementaryData</b> <SplmtryData>                               | [0..*]    | ±         | C20         | 154  |

## 6.3 Constraints

### C1 AccountIdentificationOrBlockchainAddress1Rule

Either AccountIdentification or BlockchainAddressOrWallet must be present but not both.

### C2 AccountIdentificationOrBlockchainAddress2Rule

If BlockchainAddressOrWallet is present then AccountIdentification must be absent.

### C3 AccountIdentificationOrBlockchainAddress3Rule

If AccountIdentification is present, then BlockchainAddressOrWallet must be absent.

### C4 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.

### C5 BalanceQall1Rule

If SubAccountIdentification is present, then InstructedBalance/Balance/Code "QALL" (AllSecurities) is not allowed in any occurrence of InstructedBalance.

**C6 Country**

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

**C7 DescriptionPresenceRule**

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

**C8 DescriptionUsageRule**

Description must be used alone as the last resort.

**C9 DigitalTokenUnitUsageRule**

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

**C10 InFavourListingGroup1Rule**

If two or more occurrences of the element VoteInstruction/ListingGroupResolutionLabel have the exact same textual value, then only a single occurrence of the VoteInstruction sequence amongst these occurrences may have the element "For" (vote in favour) being present.

**C11 ISINGuideline**

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

**C12 ISINPresenceRule**

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

**C13 MeetingAttendeeRule**

If at least one occurrence of MeetingAttendee is present, then SpecificInstructionRequest/ParticipationMethod/Code must be PHYS (InPerson).

**C14 OtherAddressCode1Rule**

If DeliveryMethod is OtherAddress "OADR", then OtherAddress must be present.

**C15 OtherIdentificationPresenceRule**

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

**C16 ProxyAppointment1Rule**

If ProxyType is DISC (Discretionary) or HLDR (SecurityHolder), then PersonDetails must be present.

**C17 RightsHolderMultiplicity1Guideline**

It is recommended that RightsHolder is only present more than once if there is joint ownership.

**C18 ShortLongNumberRule**

ShortNumber must contain the FIN message type number of the linked message. LongNumber must contain the XML message identifier of the linked message.

**C19 StructuredOrUnstructured1Guideline**

It is recommended that Structured be used.

**C20 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.

**C21 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.

## 6.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 6.4.1 Pagination <Pgntn>

*Presence:* [0..1]

*Definition:* Page number of the message and continuation indicator to indicate that the multi-part instruction is to continue or that the message is the last page of the multi-part instruction.

**Pagination <Pgntn>** contains the following elements (see "[Pagination1](#)" on page 288 for details)

| Or | MessageElement<XML Tag>       | Mult.  | Type      | Constr. No. | Page |
|----|-------------------------------|--------|-----------|-------------|------|
|    | PageNumber <PgNb>             | [1..1] | Text      |             | 288  |
|    | LastPageIndicator <LastPgInd> | [1..1] | Indicator |             | 289  |

### 6.4.2 MeetingInstructionIdentification <MtgInstrId>

*Presence:* [0..1]

*Definition:* Unique identification of the group of meeting instruction messages when the instruction is split in multiple (paginated) messages.

*Datatype:* "[Max35Text](#)" on page 391

### 6.4.3 MeetingReference <MtgRef>

*Presence:* [1..1]

*Definition:* Set of elements to allow the unambiguous identification of a meeting.

**MeetingReference <MtgRef>** contains the following **MeetingReference10** elements

| Or | MessageElement<XML Tag>                        | Mult.  | Type     | Constr. No. | Page |
|----|--|--------|----------|-------------|------|
|    | <b>MeetingIdentification</b> <MtgId>           | [1..1] | Text     |             | 125  |
|    | <b>IssuerMeetingIdentification</b> <IssrMtgId> | [0..1] | Text     |             | 125  |
|    | <b>MeetingDateAndTime</b> <MtgDtAndTm>         | [1..1] | DateTime |             | 125  |
|    | <b>Type</b> <Tp>                               | [1..1] | CodeSet  |             | 125  |
|    | <b>Classification</b> <Clssfctn>               | [0..1] | ±        |             | 126  |
|    | <b>Location</b> <Lctn>                         | [0..5] | ±        |             | 126  |
|    | <b>Issuer</b> <Issr>                           | [0..1] | ±        |             | 126  |

### 6.4.3.1 MeetingIdentification <MtgId>

*Presence:* [1..1]

*Definition:* Identification assigned to the general meeting by the party that provides the meeting notification. It must be unique to the party providing the notification.

*Datatype:* "Max35Text" on page 391

### 6.4.3.2 IssuerMeetingIdentification <IssrMtgId>

*Presence:* [0..1]

*Definition:* Identification assigned to the meeting by the issuer. It must be unique for the issuer.

*Datatype:* "Max35Text" on page 391

### 6.4.3.3 MeetingDateAndTime <MtgDtAndTm>

*Presence:* [1..1]

*Definition:* Date and time at which the meeting will take place.

*Datatype:* "ISODatetime" on page 386

### 6.4.3.4 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of meeting for which instructions are sent.

*Datatype:* "MeetingType4Code" on page 371

| CodeName | Name          | Definition   |
|----------|---------------|--|
| XMET     | Extraordinary | Meeting that takes place as needed, in addition to the general meetings, is extraordinary as per the bylaws. The resolutions are related to the unusual business of the company, for example, approval of takeovers or mergers or spin-offs. These meetings are always issuer initiated. |
| GMET     | General       | Includes annual and ordinary meetings. Statutory meeting(s) usually held at least  |

| CodeName | Name              | Definition   |
|----------|-------------------|--|
|          |                   | once a year. The resolutions are related to the usual business of the company, for example, approval of dividends and directors. These meetings are always issuer initiated. |
| MIXD     | Mixed             | Meeting which contains both ordinary and extraordinary resolutions.  |
| SPCL     | Special           | Meeting that takes place as needed that is neither ordinary nor extraordinary.   |
| BMET     | BondHolderMeeting | Physical meeting of bond holders.  |
| CMET     | CourtMeeting      | Meeting is the result of a legal proceeding.   |

#### 6.4.3.5 Classification <Clssfctn>

*Presence:* [0..1]

*Definition:* Classification type of the meeting.

**Classification <Clssfctn>** contains one of the following elements (see "[MeetingTypeClassification2Choice](#)" on page 287 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd>               | [1..1] | CodeSet |             | 288  |
| Or} | Proprietary <Prtry>     | [1..1] | ±       |             | 288  |

#### 6.4.3.6 Location <Lctn>

*Presence:* [0..5]

*Definition:* Place of the company meeting for the scheduled meeting date.

**Location <Lctn>** contains the following elements (see "[PostalAddress1](#)" on page 339 for details)

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 339  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 340  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 340  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 340  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 340  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 340  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 340  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 341  |

#### 6.4.3.7 Issuer <Issr>

*Presence:* [0..1]

*Definition:* Institution that is the issuer of the security to which the meeting applies.

**Issuer <Issr>** contains one of the following elements (see "[PartyIdentification129Choice](#)" on page 323 for details)

| Or  | MessageElement<XML Tag>             | Mult.  | Type          | Constr. No. | Page |
|-----|-------------------------------------|--------|---------------|-------------|------|
| {Or | AnyBIC <AnyBIC>                     | [1..1] | IdentifierSet | C1          | 323  |
| Or  | ProprietaryIdentification <PrtryId> | [1..1] | ±             |             | 324  |
| Or  | NameAndAddress <NmAndAdr>           | [1..1] | ±             |             | 324  |
| Or} | LEI <LEI>                           | [1..1] | IdentifierSet |             | 324  |

## 6.4.4 FinancialInstrumentIdentification <FinInstrmId>

*Presence:* [1..1]

*Definition:* Security for which the meeting is organised.

*Impacted by:* [C7 "DescriptionPresenceRule"](#), [C8 "DescriptionUsageRule"](#), [C11 "ISINGuideline"](#), [C12 "ISINPresenceRule"](#), [C15 "OtherIdentificationPresenceRule"](#)

**FinancialInstrumentIdentification <FinInstrmId>** contains the following elements (see "[SecurityIdentification19](#)" on page 256 for details)

| Or | MessageElement<XML Tag>      | Mult.  | Type          | Constr. No. | Page |
|----|------------------------------|--------|---------------|-------------|------|
|    | ISIN <ISIN>                  | [0..1] | IdentifierSet |             | 257  |
|    | OtherIdentification <OthrId> | [0..*] |               |             | 257  |
|    | Identification <Id>          | [1..1] | Text          |             | 258  |
|    | Suffix <Sfx>                 | [0..1] | Text          |             | 258  |
|    | Type <Tp>                    | [1..1] | ±             |             | 258  |
|    | Description <Desc>           | [0..1] | Text          |             | 258  |

### Constraints

- **DescriptionPresenceRule**

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

On Condition

/Description is absent

Following Must be True

/ISIN Must be present

Or /OtherIdentification[\*] Must be present

- **DescriptionUsageRule**

Description must be used alone as the last resort.

- **ISINGuideline**

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

- **ISINPresenceRule**

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

```
On Condition
  /ISIN is absent
Following Must be True
  /OtherIdentification[*] Must be present
Or    /Description Must be present
```

- **OtherIdentificationPresenceRule**

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

```
On Condition
  /OtherIdentification[*] is absent
Following Must be True
  /ISIN Must be present
Or    /Description Must be present
```

## 6.4.5 InstructionCancellationRequestIdentification <InstrCxlReqId>

*Presence:* [0..\*]

*Definition:* Identification of the cancellation request message requesting cancellation of individual instruction(s).

**InstructionCancellationRequestIdentification <InstrCxlReqId>** contains the following **MeetingInstructionCancellation1** elements

| Or | MessageElement<XML Tag>   | Mult.  | Type | Constr. No. | Page |
|----|---|--------|------|-------------|------|
|    | <b>MeetingInstructionCancellationRequestIdentification</b> <MtgInstrCxlReqId> | [1..1] | Text |             | 128  |
|    | <b>SingleInstructionIdentification</b> <SnglInstrId>                          | [1..1] | Text |             | 128  |

### 6.4.5.1 MeetingInstructionCancellationRequestIdentification <MtgInstrCxlReqId>

*Presence:* [1..1]

*Definition:* Identification of the meeting instruction cancellation request message containing the individual instruction(s) for which the cancellation was requested.

*Datatype:* "Max35Text" on page 391

### 6.4.5.2 SingleInstructionIdentification <SnglInstrId>

*Presence:* [1..1]

*Definition:* Identification of the individual instruction for which the cancellation was requested.

*Datatype:* "Max35Text" on page 391

## 6.4.6 CancelledInstructionIdentification <CanclInstrId>

*Presence:* [0..\*]

*Definition:* Identification of the message and individual instruction(s) for which the cancellation was requested.

**CancelledInstructionIdentification <CancInstrId>** contains the following **MeetingInstructionIdentification1** elements

| Or | MessageElement<XML Tag>                              | Mult.  | Type | Constr. No. | Page |
|----|--|--------|------|-------------|------|
|    | <b>MeetingInstructionIdentification</b> <MtgInstrId> | [1..1] | Text |             | 129  |
|    | <b>SingleInstructionIdentification</b> <SnglInstrId> | [1..1] | Text |             | 129  |

#### 6.4.6.1 MeetingInstructionIdentification <MtgInstrId>

*Presence:* [1..1]

*Definition:* Identification of the previous meeting instruction message containing the individual instruction(s) for which the cancellation was requested.

*Datatype:* "Max35Text" on page 391

#### 6.4.6.2 SingleInstructionIdentification <SnglInstrId>

*Presence:* [1..1]

*Definition:* Identification of the individual instruction for which the cancellation was requested.

*Datatype:* "Max35Text" on page 391

### 6.4.7 OtherDocumentIdentification <OthrDocId>

*Presence:* [0..\*]

*Definition:* Identification of other messages/documents as well as the messages/documents number.

**OtherDocumentIdentification <OthrDocId>** contains the following elements (see "DocumentIdentification32" on page 247 for details)

| Or  | MessageElement<XML Tag>                               | Mult.  | Type | Constr. No. | Page |
|-----|---|--------|------|-------------|------|
|     | Identification <Id>                                   | [1..1] |      |             | 247  |
| {Or | AccountServicerDocumentIdentification <AcctSvcrDocId> | [1..1] | Text |             | 247  |
| Or} | AccountOwnerDocumentIdentification <AcctOwnrDocId>    | [1..1] | Text |             | 248  |
|     | DocumentNumber <DocNb>                                | [0..1] | ±    | C18         | 248  |
|     | LinkageType <LkgTp>                                   | [0..1] | ±    | C21         | 248  |

### 6.4.8 Instruction <Instr>

*Presence:* [1..\*]

*Definition:* The position of the instructing party and the action that it wants to take.

*Impacted by:* C13 "MeetingAttendeeRule"

**Instruction <Instr>** contains the following **Instruction7** elements

| Or  | MessageElement<XML Tag>                              | Mult.    | Type      | Constr. No.         | Page |
|-----|--|----------|-----------|---------------------|------|
|     | <b>SingleInstructionIdentification</b> <SnglInstrId> | [1..1]   | Text      |                     | 132  |
|     | <b>RequestedExecutionDate</b> <ReqdExctnDt>          | [0..1]   | DateTime  |                     | 132  |
|     | <b>VoteExecutionConfirmation</b> <VoteExctnConf>     | [1..1]   | Indicator |                     | 132  |
|     | <b>AccountDetails</b> <AcctDtls>                     | [1..1]   |           | C1, C2, C3, C5, C17 | 132  |
|     | <b>AccountIdentification</b> <AcctId>                | [0..1]   | Text      |                     | 134  |
|     | <b>BlockChainAddressOrWallet</b> <BlckChainAdrOrWlt> | [0..1]   | Text      |                     | 134  |
|     | <b>AccountOwner</b> <AcctOwnr>                       | [0..1]   |           |                     | 134  |
| {Or | <b>LegalPerson</b> <LglPrsn>                         | [1..1]   | ±         |                     | 134  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                      | [1..*]   | ±         |                     | 135  |
|     | <b>SubAccountIdentification</b> <SubAcctId>          | [0..1]   | Text      |                     | 135  |
|     | <b>InstructedBalance</b> <InstdBal>                  | [1..15]  |           |                     | 136  |
|     | <b>Balance</b> <Bal>                                 | [1..1]   | ±         |                     | 136  |
|     | <b>BalanceType</b> <BalTp>                           | [0..1]   | CodeSet   |                     | 136  |
|     | <b>SafekeepingPlace</b> <SfkpgPlc>                   | [0..1]   | ±         |                     | 137  |
|     | <b>RightsHolder</b> <RghtsHldr>                      | [0..250] |           |                     | 138  |
| {Or | <b>LegalPerson</b> <LglPrsn>                         | [1..1]   | ±         |                     | 138  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                      | [1..*]   | ±         |                     | 139  |
|     | <b>PledgeDetails</b> <PldgDtls>                      | [0..1]   |           |                     | 140  |
|     | <b>Pledger</b> <Pldgr>                               | [1..1]   |           |                     | 140  |
| {Or | <b>LegalPerson</b> <LglPrsn>                         | [1..1]   | ±         |                     | 140  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                      | [1..1]   | ±         |                     | 141  |
|     | <b>ThirdParty</b> <ThrdPty>                          | [0..1]   |           |                     | 141  |
|     | <b>Role</b> <Role>                                   | [1..1]   | CodeSet   |                     | 142  |
|     | <b>LegalPersonIdentification</b> <LglPrsnId>         | [0..1]   | ±         |                     | 142  |
|     | <b>PledgeType</b> <PldgTp>                           | [1..1]   | ±         |                     | 143  |
|     | <b>ReturnSecuritiesIndicator</b> <RtrScitiesInd>     | [0..1]   | Indicator |                     | 143  |
|     | <b>Proxy</b> <Prxy>                                  | [0..1]   |           | C16                 | 143  |
|     | <b>ProxyType</b> <PrxyTp>                            | [1..1]   | CodeSet   |                     | 144  |
|     | <b>PersonDetails</b> <PrsnDtls>                      | [0..1]   |           |                     | 144  |
|     | <b>PreassignedProxy</b> <PrssgndPrxy>                | [0..1]   |           |                     | 144  |

| Or  | MessageElement<XML Tag>  | Mult.     | Type      | Constr. No. | Page |
|-----|--|-----------|-----------|-------------|------|
| {Or | <b>LegalPerson</b> <LglPrsn>   | [1..1]    | ±         |             | 144  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                                      | [1..1]    | ±         |             | 145  |
|     | <b>EmployingParty</b> <EmpIngPty>                                    | [0..1]    | ±         |             | 145  |
|     | <b>AttendanceCardDetails</b> <AttdncCardDtls>                        | [1..1]    | ±         | C14         | 146  |
|     | <b>VoteDetails</b> <VoteDtls>  | [0..1]    |           |             | 146  |
|     | <b>VoteInstructionForAgendaResolution</b><br><VoteInstrForAgndRsltn> | [1..1]    |           |             | 147  |
| {Or | <b>VotePerAgendaResolution</b> <VotePerAgndRsltn>                    | [1..1]    |           | C10         | 147  |
| {Or | <b>VoteInstruction</b> <VoteInstr>                                   | [1..1000] | ±         |             | 148  |
| Or} | <b>GlobalVoteInstruction</b> <GblVoteInstr>                          | [1..1000] |           |             | 149  |
|     | <b>IssuerLabel</b> <IssrLbl>   | [1..1]    | Text      |             | 149  |
|     | <b>VoteOption</b> <VoteOptn>   | [1..1]    | ±         |             | 149  |
| Or} | <b>VoteForAllAgendaResolutions</b><br><VoteForAllAgndRsltns>         | [1..1]    | ±         |             | 150  |
|     | <b>VoteInstructionForMeetingResolution</b><br><VoteInstrForMtgRsltn> | [0..1]    |           |             | 150  |
| {Or | <b>VoteIndication</b> <VoteIndctn>                                   | [1..1]    | ±         |             | 150  |
| Or} | <b>Shareholder</b> <Shrhldr>   | [1..1]    | ±         |             | 150  |
|     | <b>MeetingAttendee</b> <MtgAttndee>                                  | [0..*]    |           |             | 151  |
|     | <b>Identification</b> <Id>   | [0..1]    |           |             | 151  |
| {Or | <b>LegalPerson</b> <LglPrsn>   | [1..1]    | ±         |             | 151  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                                      | [1..1]    | ±         |             | 152  |
|     | <b>ParticipationMethod</b> <PrtcptnMtd>                              | [0..1]    | CodeSet   |             | 152  |
|     | <b>EmployingParty</b> <EmpIngPty>                                    | [0..1]    | ±         |             | 153  |
|     | <b>AttendanceCardDetails</b> <AttdncCardDtls>                        | [1..1]    | ±         | C14         | 153  |
|     | <b>SpecificInstructionRequest</b> <SpfcInstrReq>                     | [0..1]    |           |             | 153  |
|     | <b>ParticipationMethod</b> <PrtcptnMtd>                              | [0..1]    | ±         |             | 154  |
|     | <b>SecuritiesRegistration</b> <SctiesRegn>                           | [0..1]    | Indicator |             | 154  |

## Constraints

- **MeetingAttendeeRule**

If at least one occurrence of MeetingAttendee is present, then SpecificInstructionRequest/ParticipationMethod/Code must be PHYS (InPerson).

On Condition

/MeetingAttendee[\*] is present

Following Must be True

/SpecificInstructionRequest/ParticipationMethod/Code Must be equal to value  
'InPerson'

#### 6.4.8.1 SingleInstructionIdentification <SnglInstrId>

*Presence:* [1..1]

*Definition:* Identification of the individual instruction.

*Datatype:* "Max35Text" on page 391

#### 6.4.8.2 RequestedExecutionDate <ReqdExctnDt>

*Presence:* [0..1]

*Definition:* Date at which the instruction must be executed.

*Datatype:* "ISODatetime" on page 386

#### 6.4.8.3 VoteExecutionConfirmation <VoteExctnConf>

*Presence:* [1..1]

*Definition:* Indicates that a vote execution confirmation is requested.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 388):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 6.4.8.4 AccountDetails <AcctDtls>

*Presence:* [1..1]

*Definition:* Identification of the securities account.

*Impacted by:* C1 "AccountIdentificationOrBlockChainAddress1Rule", C2 "AccountIdentificationOrBlockChainAddress2Rule", C3 "AccountIdentificationOrBlockChainAddress3Rule", C5 "BalanceQall1Rule", C17 "RightsHolderMultiplicity1Guideline"

**AccountDetails <AcctDtls>** contains the following **SafekeepingAccount15** elements

| Or  | MessageElement<XML Tag>                                | Mult.    | Type      | Constr. No. | Page |
|-----|--|----------|-----------|-------------|------|
|     | <b>AccountIdentification</b> <AcctId>                  | [0..1]   | Text      |             | 134  |
|     | <b>BlockChainAddressOrWallet</b> <BlckChainAdrOrWllet> | [0..1]   | Text      |             | 134  |
|     | <b>AccountOwner</b> <AcctOwnr>                         | [0..1]   |           |             | 134  |
| {Or | <b>LegalPerson</b> <LglPrsn>                           | [1..1]   | ±         |             | 134  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                        | [1..*]   | ±         |             | 135  |
|     | <b>SubAccountIdentification</b> <SubAcctId>            | [0..1]   | Text      |             | 135  |
|     | <b>InstructedBalance</b> <InstdBal>                    | [1..15]  |           |             | 136  |
|     | <b>Balance</b> <Bal>                                   | [1..1]   | ±         |             | 136  |
|     | <b>BalanceType</b> <BalTp>                             | [0..1]   | CodeSet   |             | 136  |
|     | <b>SafekeepingPlace</b> <SfkpgPlc>                     | [0..1]   | ±         |             | 137  |
|     | <b>RightsHolder</b> <RghtsHldr>                        | [0..250] |           |             | 138  |
| {Or | <b>LegalPerson</b> <LglPrsn>                           | [1..1]   | ±         |             | 138  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                        | [1..*]   | ±         |             | 139  |
|     | <b>PledgeDetails</b> <PldgDtls>                        | [0..1]   |           |             | 140  |
|     | <b>Pledger</b> <Pldgr>                                 | [1..1]   |           |             | 140  |
| {Or | <b>LegalPerson</b> <LglPrsn>                           | [1..1]   | ±         |             | 140  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                        | [1..1]   | ±         |             | 141  |
|     | <b>ThirdParty</b> <ThrdPty>                            | [0..1]   |           |             | 141  |
|     | <b>Role</b> <Role>                                     | [1..1]   | CodeSet   |             | 142  |
|     | <b>LegalPersonIdentification</b> <LglPrsnId>           | [0..1]   | ±         |             | 142  |
|     | <b>PledgeType</b> <PldgTp>                             | [1..1]   | ±         |             | 143  |
|     | <b>ReturnSecuritiesIndicator</b> <RtrScitiesInd>       | [0..1]   | Indicator |             | 143  |

**Constraints**

- **AccountIdentificationOrBlockChainAddress1Rule**

Either AccountIdentification or BlockChainAddressOrWallet must be present but not both.

Following Must be True

    /AccountIdentification Must be present

Or     /BlockChainAddressOrWallet Must be present

- **AccountIdentificationOrBlockChainAddress2Rule**

If BlockChainAddressOrWallet is present then AccountIdentification must be absent.

On Condition

    /BlockChainAddressOrWallet is present

Following Must be True  
 /AccountIdentification Must be absent

- **AccountIdentificationOrBlockChainAddress3Rule**

If AccountIdentification is present, then BlockChainAddressOrWallet must be absent.

On Condition  
 /AccountIdentification is present  
 Following Must be True  
 /BlockChainAddressOrWallet Must be absent

- **BalanceQall1Rule**

If SubAccountIdentification is present, then InstructedBalance/Balance/Code "QALL" (AllSecurities) is not allowed in any occurrence of InstructedBalance.

On Condition  
 /SubAccountIdentification is present  
 Following Must be True  
 /InstructedBalance[\*]/Balance/Quantity/Code Must be absent

- **RightsHolderMultiplicity1Guideline**

It is recommended that RightsHolder is only present more than once if there is joint ownership.

#### 6.4.8.4.1 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification of the securities account between the account owner and the account servicer.

*Datatype:* "Max35Text" on page 391

#### 6.4.8.4.2 BlockChainAddressOrWallet <BlckChainAdrOrWllt>

*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 390

#### 6.4.8.4.3 AccountOwner <AcctOwnr>

*Presence:* [0..1]

*Definition:* Party that legally owns the account.

**AccountOwner <AcctOwnr>** contains one of the following **PartyIdentification231Choice** elements

| Or  | MessageElement<XML Tag>         | Mult.  | Type | Constr. No. | Page |
|-----|---------------------------------|--------|------|-------------|------|
| {Or | <b>LegalPerson</b> <LglPrsn>    | [1..1] | ±    |             | 134  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn> | [1..*] | ±    |             | 135  |

#### 6.4.8.4.3.1 LegalPerson <LglPrsn>

*Presence:* [1..1]

*Definition:* Legal entity.

**LegalPerson <LgIPrsn>** contains the following elements (see "[PartyIdentification221](#)" on page 318 for details)

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>        | [1..1] |         |             | 318  |
|    | Name <Nm>                        | [1..1] | Text    |             | 319  |
|    | Address <Adr>                    | [0..1] |         |             | 319  |
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 320  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 320  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 320  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 320  |
|    | PostBox <PstBx>                  | [0..1] | Text    |             | 320  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 320  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 321  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 321  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 321  |
|    | EmailAddress <EmailAdr>          | [0..1] | Text    |             | 321  |
|    | Identification <Id>              | [1..1] | ±       |             | 321  |

#### 6.4.8.4.3.2 NaturalPerson <NtrIPrsn>

*Presence:* [1..\*]

*Definition:* Private person.

**NaturalPerson <NtrIPrsn>** contains the following elements (see "[PartyIdentification238](#)" on page 305 for details)

| Or | MessageElement<XML Tag>               | Mult.  | Type    | Constr. No. | Page |
|----|---------------------------------------|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>             | [1..1] | ±       |             | 305  |
|    | EmailAddress <EmailAdr>               | [0..1] | Text    |             | 306  |
|    | Identification <Id>                   | [1..1] | ±       |             | 306  |
|    | Nationality <Ntlty>                   | [0..1] | CodeSet | C3          | 306  |
|    | DateAndPlaceOfBirth <DtAndPlcOfBirth> | [0..1] | ±       |             | 307  |

#### 6.4.8.4.4 SubAccountIdentification <SubAcctId>

*Presence:* [0..1]

*Definition:* Identification of a subaccount within the safekeeping account.

*Datatype:* "[Max35Text](#)" on page 391

**6.4.8.4.5 InstructedBalance <InstdBal>***Presence:* [1..15]*Definition:* Quantity of securities to which this instruction applies.**InstructedBalance <InstdBal>** contains the following **HoldingBalance12** elements

| Or | MessageElement<XML Tag>                  | Mult.  | Type    | Constr. No. | Page |
|----|--|--------|---------|-------------|------|
|    | <b>Balance &lt;Bal&gt;</b>               | [1..1] | ±       |             | 136  |
|    | <b>BalanceType &lt;BalTp&gt;</b>         | [0..1] | CodeSet |             | 136  |
|    | <b>SafekeepingPlace &lt;SfkpgPlc&gt;</b> | [0..1] | ±       |             | 137  |

**6.4.8.4.5.1 Balance <Bal>***Presence:* [1..1]*Definition:* Total quantity of financial instrument for the referenced holding.**Balance <Bal>** contains the following elements (see "[SignedQuantityFormat15](#)" on page 344 for details)

| Or  | MessageElement<XML Tag>        | Mult.  | Type     | Constr. No. | Page |
|-----|--------------------------------|--------|----------|-------------|------|
|     | ShortLongPosition <ShrtLngPos> | [1..1] | CodeSet  |             | 345  |
|     | Quantity <Qty>                 | [1..1] |          | C9          | 345  |
| {Or | Unit <Unit>                    | [1..1] | Quantity |             | 345  |
| Or  | FaceAmount <FaceAmt>           | [1..1] | Amount   |             | 345  |
| Or  | DigitalTokenUnit <DgtITknUnit> | [1..1] | Quantity |             | 345  |
| Or} | Code <Cd>                      | [1..1] | CodeSet  |             | 346  |

**6.4.8.4.5.2 BalanceType <BalTp>***Presence:* [0..1]*Definition:* Reason a security is not available or additional information about the financial instrument for which the balance is given, for example, unregistered, registered in nominee name.*Datatype:* "[SecuritiesEntryType2Code](#)" on page 380

| CodeName | Name            | Definition   |
|----------|-----------------|--|
| BLOK     | Blocked         | Balance of securities that are blocked or frozen. A financial instrument may be unavailable due to external circumstances such as a court order, death of beneficiary or account owner, or bankruptcy. |
| ELIG     | Eligible        | Total number of securities eligible for this event.  |
| PEND     | PendingDelivery | Balance of securities that are pending delivery.   |

| CodeName | Name                | Definition  |
|----------|---------------------|---|
| PENR     | PendingReceipt      | Balance of securities that are pending receipt.   |
| NOMI     | Registered          | Balance of securities that are registered (in the name of a nominee or of the beneficial owner).  |
| SETD     | Settled             | Balance of securities representing only settled transactions.   |
| BORR     | Borrowed            | Balance of securities that have been borrowed from another party.   |
| LOAN     | OnLoan              | Balance of securities that have been loaned to a third party.   |
| SPOS     | StreetPosition      | Balance of securities that remain registered in the name of the prior beneficial owner of securities.   |
| TRAD     | Traded              | Balance of securities representing traded transactions.   |
| COLI     | CollateralIn        | Balance of securities that belong to a third party and that are held for the purpose of collateralisation.  |
| COLO     | CollateralOut       | Balance of securities that belong to the safekeeping account indicated within this message, and are deposited with a third party for the purpose of collateralisation.              |
| UNBA     | UninstructedBalance | Balance of uninstructed position.   |
| INBA     | InstructedBalance   | Balance of instructed position.   |
| REGO     | OutForRegistration  | Balance of securities currently being processed by the institution responsible for registering the new beneficial owner (or nominee) of securities after a transaction has settled. |

#### 6.4.8.4.5.3 SafekeepingPlace <SfkpgPlc>

*Presence:* [0..1]

*Definition:* Place where the securities are safe-kept, physically or notionally. This place can be, for example, a local custodian, a Central Securities Depository (CSD) or an International Central Securities Depository (ICSD).

**SafekeepingPlace <SfkpgPlc>** contains one of the following elements (see "SafekeepingPlaceFormat28Choice" on page 346 for details)

| Or  | MessageElement<XML Tag>           | Mult.  | Type          | Constr. No. | Page |
|-----|-----------------------------------|--------|---------------|-------------|------|
| {Or | Identification <Id>               | [1..1] |               |             | 346  |
|     | SafekeepingPlaceType <SfkpgPlcTp> | [1..1] | CodeSet       |             | 346  |
|     | Identification <Id>               | [0..1] | Text          |             | 347  |
| Or  | Country <Ctry>                    | [1..1] | CodeSet       | C3          | 347  |
| Or  | TypeAndIdentification <TpAndId>   | [1..1] |               |             | 347  |
|     | SafekeepingPlaceType <SfkpgPlcTp> | [1..1] | CodeSet       |             | 347  |
|     | Identification <Id>               | [1..1] | IdentifierSet | C1          | 348  |
| Or} | Proprietary <Prtry>               | [1..1] | ±             |             | 348  |

#### 6.4.8.4.6 RightsHolder <RghtsHldr>

*Presence:* [0..250]

*Definition:* Owner of the voting rights.

**RightsHolder <RghtsHldr>** contains one of the following **PartyIdentification246Choice** elements

| Or  | MessageElement<XML Tag>         | Mult.  | Type | Constr. No. | Page |
|-----|---------------------------------|--------|------|-------------|------|
| {Or | <b>LegalPerson</b> <LglPrsn>    | [1..1] | ±    |             | 138  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn> | [1..*] | ±    |             | 139  |

#### 6.4.8.4.6.1 LegalPerson <LglPrsn>

*Presence:* [1..1]

*Definition:* Legal entity.

**LegalPerson <LgIPrsn>** contains the following elements (see "[PartyIdentification269](#)" on page 295 for details)

| Or | MessageElement<XML Tag>                                      | Mult.  | Type    | Constr. No. | Page |
|----|--|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>                                    | [1..1] |         |             | 296  |
|    | Name <Nm>  | [1..1] | Text    |             | 297  |
|    | Address <Adr>  | [0..1] |         |             | 297  |
|    | AddressType <AdrTp>  | [0..1] | CodeSet |             | 298  |
|    | AddressLine <AdrLine>  | [0..5] | Text    |             | 298  |
|    | StreetName <StrtNm>  | [0..1] | Text    |             | 298  |
|    | BuildingNumber <BldgNb>                                      | [0..1] | Text    |             | 298  |
|    | PostBox <PstBx>  | [0..1] | Text    |             | 298  |
|    | PostCode <PstCd>   | [0..1] | Text    |             | 298  |
|    | TownName <TwnNm>   | [0..1] | Text    |             | 299  |
|    | CountrySubDivision <CtrySubDvsn>                             | [0..1] | Text    |             | 299  |
|    | Country <Ctry>   | [1..1] | CodeSet | C3          | 299  |
|    | EmailAddress <EmailAdr>                                      | [0..1] | Text    |             | 299  |
|    | Identification <Id>  | [0..1] | ±       |             | 299  |
|    | CompanyRegisterShareholderIdentification <CpnyRegrShrhldrid> | [0..1] | Text    |             | 299  |
|    | CountryOfIncorporation <CtryOfIncorptrn>                     | [0..1] | CodeSet | C3          | 300  |

#### 6.4.8.4.6.2 NaturalPerson <NtrIPrsn>

*Presence:* [1..\*]

*Definition:* Private person.

**NaturalPerson <NtrIPrsn>** contains the following elements (see "[PartyIdentification250](#)" on page 300 for details)

| Or | MessageElement<XML Tag>                                      | Mult.  | Type    | Constr. No. | Page |
|----|--|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>                                    | [1..1] | ±       |             | 300  |
|    | EmailAddress <EmailAdr>                                      | [0..1] | Text    |             | 301  |
|    | Identification <Id>  | [0..1] | ±       |             | 301  |
|    | Nationality <Ntlty>  | [0..1] | CodeSet | C3          | 301  |
|    | DateAndPlaceOfBirth <DtAndPlcOfBirth>                        | [0..1] | ±       |             | 302  |
|    | CompanyRegisterShareholderIdentification <CpnyRegrShrhldrid> | [0..1] | Text    |             | 302  |

**6.4.8.4.7 PledgeDetails <PldgDtls>***Presence:* [0..1]*Definition:* Detailed information about the pledge.**PledgeDetails <PldgDtls>** contains the following **PledgeInformation1** elements

| Or  | MessageElement<XML Tag>                          | Mult.  | Type      | Constr. No. | Page |
|-----|--|--------|-----------|-------------|------|
|     | <b>Pledger</b> <Pldgr>                           | [1..1] |           |             | 140  |
| {Or | <b>LegalPerson</b> <LglPrsn>                     | [1..1] | ±         |             | 140  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                  | [1..1] | ±         |             | 141  |
|     | <b>ThirdParty</b> <ThrdPty>                      | [0..1] |           |             | 141  |
|     | <b>Role</b> <Role>                               | [1..1] | CodeSet   |             | 142  |
|     | <b>LegalPersonIdentification</b> <LglPrsnId>     | [0..1] | ±         |             | 142  |
|     | <b>PledgeType</b> <PldgTp>                       | [1..1] | ±         |             | 143  |
|     | <b>ReturnSecuritiesIndicator</b> <RtrScitiesInd> | [0..1] | Indicator |             | 143  |

**6.4.8.4.7.1 Pledger <Pldgr>***Presence:* [1..1]*Definition:* Entity that provide assets to a counterparty as a guarantee.**Pledger <Pldgr>** contains one of the following **PartyIdentification232Choice** elements

| Or  | MessageElement<XML Tag>         | Mult.  | Type | Constr. No. | Page |
|-----|---------------------------------|--------|------|-------------|------|
| {Or | <b>LegalPerson</b> <LglPrsn>    | [1..1] | ±    |             | 140  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn> | [1..1] | ±    |             | 141  |

**6.4.8.4.7.1.1 LegalPerson <LglPrsn>***Presence:* [1..1]*Definition:* Legal entity.

**LegalPerson <LgIPrsn>** contains the following elements (see "[PartyIdentification221](#)" on page 318 for details)

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>        | [1..1] |         |             | 318  |
|    | Name <Nm>                        | [1..1] | Text    |             | 319  |
|    | Address <Adr>                    | [0..1] |         |             | 319  |
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 320  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 320  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 320  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 320  |
|    | PostBox <PstBx>                  | [0..1] | Text    |             | 320  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 320  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 321  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 321  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 321  |
|    | EmailAddress <EmailAdr>          | [0..1] | Text    |             | 321  |
|    | Identification <Id>              | [1..1] | ±       |             | 321  |

#### 6.4.8.4.7.1.2 NaturalPerson <NtrIPrsn>

*Presence:* [1..1]

*Definition:* Private person.

**NaturalPerson <NtrIPrsn>** contains the following elements (see "[PartyIdentification238](#)" on page 305 for details)

| Or | MessageElement<XML Tag>               | Mult.  | Type    | Constr. No. | Page |
|----|---------------------------------------|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>             | [1..1] | ±       |             | 305  |
|    | EmailAddress <EmailAdr>               | [0..1] | Text    |             | 306  |
|    | Identification <Id>                   | [1..1] | ±       |             | 306  |
|    | Nationality <Ntlty>                   | [0..1] | CodeSet | C3          | 306  |
|    | DateAndPlaceOfBirth <DtAndPlcOfBirth> | [0..1] | ±       |             | 307  |

#### 6.4.8.4.7.2 ThirdParty <ThrdPty>

*Presence:* [0..1]

*Definition:* Third party, usually a bank, involved in the pledge.

**ThirdParty <ThrdPty>** contains the following **ThirdPartyIdentification1** elements

| Or | MessageElement<XML Tag>                            | Mult.  | Type    | Constr. No. | Page |
|----|--|--------|---------|-------------|------|
|    | <b>Role &lt;Role&gt;</b>                           | [1..1] | CodeSet |             | 142  |
|    | <b>LegalPersonIdentification &lt;LglPrsnld&gt;</b> | [0..1] | ±       |             | 142  |

#### 6.4.8.4.7.2.1 Role <Role>

*Presence:* [1..1]

*Definition:* Role played by the third party.

*Datatype:* "PartyRole3Code" on page 374

| CodeName | Name      | Definition   |
|----------|-----------|--|
| GATR     | Guarantor | Legal entity, other than the issuer, who gives a guarantee. The guarantor becomes liable in case of default. |

#### 6.4.8.4.7.2.2 LegalPersonIdentification <LglPrsnld>

*Presence:* [0..1]

*Definition:* Identification of the third party legal entity.

**LegalPersonIdentification <LglPrsnld>** contains the following elements (see "[PartyIdentification221](#)" on [page 318](#) for details)

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>        | [1..1] |         |             | 318  |
|    | Name <Nm>                        | [1..1] | Text    |             | 319  |
|    | Address <Adr>                    | [0..1] |         |             | 319  |
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 320  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 320  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 320  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 320  |
|    | PostBox <PstBx>                  | [0..1] | Text    |             | 320  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 320  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 321  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 321  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 321  |
|    | EmailAddress <EmailAdr>          | [0..1] | Text    |             | 321  |
|    | Identification <Id>              | [1..1] | ±       |             | 321  |

**6.4.8.4.7.3 PledgeType <PldgTp>**

*Presence:* [1..1]

*Definition:* Identifies the type of pledge.

**PledgeType <PldgTp>** contains the following elements (see "[GenericIdentification36](#)" on page 260 for details)

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | Identification <Id>     | [1..1] | Text |             | 260  |
|    | Issuer <Issr>           | [1..1] | Text |             | 261  |
|    | SchemeName <SchmeNm>    | [0..1] | Text |             | 261  |

**6.4.8.4.7.4 ReturnSecuritiesIndicator <RtrScitiesInd>**

*Presence:* [0..1]

*Definition:* Indicates whether the pledger is entitled to vote, otherwise the right to vote is with the right holder.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 388):

- *Meaning When True:* Yes
- *Meaning When False:* No

**6.4.8.5 Proxy <Prxy>**

*Presence:* [0..1]

*Definition:* Identification of the person appointed by the security holder as the proxy.

*Impacted by:* [C16 "ProxyAppointment1Rule"](#)

**Proxy <Prxy>** contains the following **Proxy12** elements

| Or  | MessageElement<XML Tag>                       | Mult.  | Type    | Constr. No. | Page |
|-----|---|--------|---------|-------------|------|
|     | <b>ProxyType</b> <PrxyTp>                     | [1..1] | CodeSet |             | 144  |
|     | <b>PersonDetails</b> <PrsnDtls>               | [0..1] |         |             | 144  |
|     | <b>PreassignedProxy</b> <PrssgndPrxy>         | [0..1] |         |             | 144  |
| {Or | <b>LegalPerson</b> <LglPrsn>                  | [1..1] | ±       |             | 144  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>               | [1..1] | ±       |             | 145  |
|     | <b>EmployingParty</b> <EmplngPty>             | [0..1] | ±       |             | 145  |
|     | <b>AttendanceCardDetails</b> <AttdncCardDtls> | [1..1] | ±       | C14         | 146  |

**Constraints**

- **ProxyAppointment1Rule**

If ProxyType is DISC (Discretionary) or HLDR (SecurityHolder), then PersonDetails must be present.

On Condition

/ProxyType is equal to value 'Discretionary'

Or /ProxyType is equal to value 'SecurityHolder'  
 Following Must be True  
 /PersonDetails Must be present

**6.4.8.5.1 ProxyType <PrxyTp>**

*Presence:* [1..1]

*Definition:* Type of proxy.

*Datatype:* "ProxyType3Code" on page 376

| CodeName | Name           | Definition  |
|----------|----------------|---|
| CHRM     | Chairman       | Chairman of the meeting is the proxy.   |
| DISC     | Discretionary  | Any type of proxy is allowed.   |
| NEPR     | NeutralProxy   | Neutral proxy nominated by the issuer to execute votes on behalf of investors at the meeting. |
| HLDR     | SecurityHolder | Proxy can only be a security holder.  |

**6.4.8.5.2 PersonDetails <PrsnDtls>**

*Presence:* [0..1]

*Definition:* Person, other than the chairman of the meeting, assigned by the security holder as the proxy.

**PersonDetails <PrsnDtls>** contains the following **IndividualPerson42** elements

| Or  | MessageElement<XML Tag>                             | Mult.  | Type | Constr. No. | Page |
|-----|---|--------|------|-------------|------|
|     | <b>PreassignedProxy &lt;PrssgndPrxy&gt;</b>         | [0..1] |      |             | 144  |
| {Or | <b>LegalPerson &lt;LglPrsn&gt;</b>                  | [1..1] | ±    |             | 144  |
| Or} | <b>NaturalPerson &lt;NtrlPrsn&gt;</b>               | [1..1] | ±    |             | 145  |
|     | <b>EmployingParty &lt;EmplngPty&gt;</b>             | [0..1] | ±    |             | 145  |
|     | <b>AttendanceCardDetails &lt;AttdncCardDtls&gt;</b> | [1..1] | ±    | C14         | 146  |

**6.4.8.5.2.1 PreassignedProxy <PrssgndPrxy>**

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification of the proxy.

**PreassignedProxy <PrssgndPrxy>** contains one of the following **PartyIdentification232Choice** elements

| Or  | MessageElement<XML Tag>               | Mult.  | Type | Constr. No. | Page |
|-----|---------------------------------------|--------|------|-------------|------|
| {Or | <b>LegalPerson &lt;LglPrsn&gt;</b>    | [1..1] | ±    |             | 144  |
| Or} | <b>NaturalPerson &lt;NtrlPrsn&gt;</b> | [1..1] | ±    |             | 145  |

**6.4.8.5.2.1.1 LegalPerson <LglPrsn>**

*Presence:* [1..1]

*Definition:* Legal entity.

**LegalPerson <LgIPrsn>** contains the following elements (see "[PartyIdentification221](#)" on page 318 for details)

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>        | [1..1] |         |             | 318  |
|    | Name <Nm>                        | [1..1] | Text    |             | 319  |
|    | Address <Adr>                    | [0..1] |         |             | 319  |
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 320  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 320  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 320  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 320  |
|    | PostBox <PstBx>                  | [0..1] | Text    |             | 320  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 320  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 321  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 321  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 321  |
|    | EmailAddress <EmailAdr>          | [0..1] | Text    |             | 321  |
|    | Identification <Id>              | [1..1] | ±       |             | 321  |

#### 6.4.8.5.2.1.2 NaturalPerson <NtrIPrsn>

*Presence:* [1..1]

*Definition:* Private person.

**NaturalPerson <NtrIPrsn>** contains the following elements (see "[PartyIdentification238](#)" on page 305 for details)

| Or | MessageElement<XML Tag>               | Mult.  | Type    | Constr. No. | Page |
|----|---------------------------------------|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>             | [1..1] | ±       |             | 305  |
|    | EmailAddress <EmailAdr>               | [0..1] | Text    |             | 306  |
|    | Identification <Id>                   | [1..1] | ±       |             | 306  |
|    | Nationality <Ntlty>                   | [0..1] | CodeSet | C3          | 306  |
|    | DateAndPlaceOfBirth <DtAndPlcOfBirth> | [0..1] | ±       |             | 307  |

#### 6.4.8.5.2.2 EmployingParty <EmplngPty>

*Presence:* [0..1]

*Definition:* Organisation represented by the person, or for which the person works.

**EmployingParty <EmplngPty>** contains one of the following elements (see "PartyIdentification129Choice" on page 323 for details)

| Or  | MessageElement<XML Tag>             | Mult.  | Type          | Constr. No. | Page |
|-----|-------------------------------------|--------|---------------|-------------|------|
| {Or | AnyBIC <AnyBIC>                     | [1..1] | IdentifierSet | C1          | 323  |
| Or  | ProprietaryIdentification <PrtryId> | [1..1] | ±             |             | 324  |
| Or  | NameAndAddress <NmAndAdr>           | [1..1] | ±             |             | 324  |
| Or} | LEI <LEI>                           | [1..1] | IdentifierSet |             | 324  |

#### 6.4.8.5.2.3 AttendanceCardDetails <AttndncCardDtls>

*Presence:* [1..1]

*Definition:* Details related to the attendance card.

*Impacted by:* C14 "OtherAddressCode1Rule"

**AttendanceCardDetails <AttndncCardDtls>** contains the following elements (see "AttendanceCard3" on page 274 for details)

| Or | MessageElement<XML Tag>                    | Mult.  | Type    | Constr. No. | Page |
|----|--|--------|---------|-------------|------|
|    | AttendanceCardLabelling <AttndncCardLbllg> | [0..1] | Text    |             | 275  |
|    | DeliveryMethod <DlvryMtd>                  | [1..1] | CodeSet |             | 275  |
|    | OtherAddress <OthrAdr>                     | [0..1] | ±       |             | 275  |

#### Constraints

- **OtherAddressCode1Rule**

If DeliveryMethod is OtherAddress "OADR", then OtherAddress must be present.

On Condition

/DeliveryMethod is equal to value 'OtherAddress'

Following Must be True

/OtherAddress Must be present

#### 6.4.8.6 VoteDetails <VoteDtls>

*Presence:* [0..1]

*Definition:* Detailed voting instructions.

**VoteDetails <VoteDtls>** contains the following **VoteDetails6** elements

| Or  | MessageElement<XML Tag>  | Mult.     | Type | Constr. No. | Page |
|-----|--|-----------|------|-------------|------|
|     | <b>VoteInstructionForAgendaResolution</b><br><VoteInstrForAgndRsltn> | [1..1]    |      |             | 147  |
| {Or | <b>VotePerAgendaResolution</b> <VotePerAgndRsltn>                    | [1..1]    |      | C10         | 147  |
| {Or | <b>VoteInstruction</b> <VoteInstr>                                   | [1..1000] | ±    |             | 148  |
| Or} | <b>GlobalVoteInstruction</b> <GblVoteInstr>                          | [1..1000] |      |             | 149  |
|     | <b>IssuerLabel</b> <IssrLbl>   | [1..1]    | Text |             | 149  |
|     | <b>VoteOption</b> <VoteOptn>   | [1..1]    | ±    |             | 149  |
| Or} | <b>VoteForAllAgendaResolutions</b><br><VoteForAllAgndRsltns>         | [1..1]    | ±    |             | 150  |
|     | <b>VoteInstructionForMeetingResolution</b><br><VoteInstrForMtgRsltn> | [0..1]    |      |             | 150  |
| {Or | <b>VoteIndication</b> <VoteIndctn>                                   | [1..1]    | ±    |             | 150  |
| Or} | <b>Shareholder</b> <Shrhldr>   | [1..1]    | ±    |             | 150  |

#### 6.4.8.6.1 VoteInstructionForAgendaResolution <VoteInstrForAgndRsltn>

*Presence:* [1..1]

*Definition:* Vote instructions for the resolutions that are announced via the meeting agenda in advance of the meeting.

**VoteInstructionForAgendaResolution <VoteInstrForAgndRsltn>** contains one of the following **Vote15Choice** elements

| Or  | MessageElement<XML Tag>                                      | Mult.     | Type | Constr. No. | Page |
|-----|--|-----------|------|-------------|------|
| {Or | <b>VotePerAgendaResolution</b> <VotePerAgndRsltn>            | [1..1]    |      | C10         | 147  |
| {Or | <b>VoteInstruction</b> <VoteInstr>                           | [1..1000] | ±    |             | 148  |
| Or} | <b>GlobalVoteInstruction</b> <GblVoteInstr>                  | [1..1000] |      |             | 149  |
|     | <b>IssuerLabel</b> <IssrLbl>                                 | [1..1]    | Text |             | 149  |
|     | <b>VoteOption</b> <VoteOptn>                                 | [1..1]    | ±    |             | 149  |
| Or} | <b>VoteForAllAgendaResolutions</b><br><VoteForAllAgndRsltns> | [1..1]    | ±    |             | 150  |

##### 6.4.8.6.1.1 VotePerAgendaResolution <VotePerAgndRsltn>

*Presence:* [1..1]

*Definition:* Vote instruction is provided individually for each agenda resolution.

*Impacted by:* C10 "InFavourListingGroup1Rule"

**VotePerAgendaResolution <VotePerAgndRsIttn>** contains one of the following **Vote16Choice** elements

| Or  | MessageElement<XML Tag>                     | Mult.     | Type | Constr. No. | Page |
|-----|---|-----------|------|-------------|------|
| {Or | <b>VoteInstruction</b> <VoteInstr>          | [1..1000] | ±    |             | 148  |
| Or} | <b>GlobalVoteInstruction</b> <GblVoteInstr> | [1..1000] |      |             | 149  |
|     | <b>IssuerLabel</b> <IssrLbl>                | [1..1]    | Text |             | 149  |
|     | <b>VoteOption</b> <VoteOptn>                | [1..1]    | ±    |             | 149  |

**Constraints**

- **InFavourListingGroup1Rule**

If two or more occurrences of the element VoteInstruction/ListingGroupResolutionLabel have the exact same textual value, then only a single occurrence of the VoteInstruction sequence amongst these occurrences may have the element "For" (vote in favour) being present.

**6.4.8.6.1.1.1 VoteInstruction <VoteInstr>**

*Presence:* [1..1000]

*Definition:* Instruction specifying the instructed quantity of voting rights per resolution. Split votes can be indicated. If only one type of decision is indicated, the number of votes cast must not be adjusted if the position of the voting party increases.

**VoteInstruction <VoteInstr>** contains the following elements (see "Vote14" on page 263 for details)

| Or | MessageElement<XML Tag>                       | Mult.  | Type | Constr. No. | Page |
|----|---|--------|------|-------------|------|
|    | IssuerLabel <IssrLbl>                         | [1..1] | Text |             | 264  |
|    | ListingGroupResolutionLabel <ListgGrpRslnLbl> | [0..1] | Text |             | 264  |
|    | For <For>                                     | [0..1] | ±    |             | 264  |
|    | Against <Agnst>                               | [0..1] | ±    |             | 265  |
|    | Abstain <Abstn>                               | [0..1] | ±    |             | 265  |
|    | Withhold <Wthhd>                              | [0..1] | ±    |             | 265  |
|    | WithManagement <WthMgmt>                      | [0..1] | ±    |             | 265  |
|    | AgainstManagement <AgnstMgmt>                 | [0..1] | ±    |             | 266  |
|    | Discretionary <Dscrtnry>                      | [0..1] | ±    |             | 266  |
|    | OneYear <OneYr>                               | [0..1] | ±    |             | 266  |
|    | TwoYears <TwoYrs>                             | [0..1] | ±    |             | 266  |
|    | ThreeYears <ThreeYrs>                         | [0..1] | ±    |             | 267  |
|    | NoAction <NoActn>                             | [0..1] | ±    |             | 267  |
|    | Blank <Blnk>                                  | [0..1] | ±    |             | 267  |
|    | Proprietary <Prtry>                           | [0..4] |      |             | 267  |
|    | Code <Cd>                                     | [1..1] | ±    |             | 268  |
|    | Quantity <Qty>                                | [1..1] | ±    |             | 268  |

#### 6.4.8.6.1.1.2 GlobalVoteInstruction <GblVoteInstr>

*Presence:* [1..1000]

*Definition:* Instruction specifying a vote instruction per resolution for the entire entitlement.

**GlobalVoteInstruction <GblVoteInstr>** contains the following **Vote15** elements

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | IssuerLabel <IssrLbl>   | [1..1] | Text |             | 149  |
|    | VoteOption <VoteOptn>   | [1..1] | ±    |             | 149  |

#### 6.4.8.6.1.1.2.1 IssuerLabel <IssrLbl>

*Presence:* [1..1]

*Definition:* Number of the resolution as specified by the issuer or its agent.

*Datatype:* "Max35Text" on page 391

#### 6.4.8.6.1.1.2.2 VoteOption <VoteOptn>

*Presence:* [1..1]

*Definition:* Vote instructed.

**VoteOption <VoteOptn>** contains one of the following elements (see "[VoteInstructionType2Choice](#)" on page 262 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Type <Tp>               | [1..1] | CodeSet |             | 262  |
| Or} | Proprietary <Prtry>     | [1..1] | ±       |             | 263  |

#### 6.4.8.6.1.2 VoteForAllAgendaResolutions <VoteForAllAgndRsltns>

*Presence:* [1..1]

*Definition:* One single vote instruction is provided to cover all agenda resolutions.

**VoteForAllAgendaResolutions <VoteForAllAgndRsltns>** contains one of the following elements (see "[VoteInstructionType1Choice](#)" on page 284 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Type <Tp>               | [1..1] | CodeSet |             | 284  |
| Or} | Proprietary <Prtry>     | [1..1] | ±       |             | 285  |

#### 6.4.8.6.2 VoteInstructionForMeetingResolution <VoteInstrForMtgRsltnt>

*Presence:* [0..1]

*Definition:* Vote instructions for the resolutions that may arise or may be amended at the meeting but were not previously provided in the agenda.

**VoteInstructionForMeetingResolution <VoteInstrForMtgRsltnt>** contains one of the following **VoteInstructionForMeetingResolution3Choice** elements

| Or  | MessageElement<XML Tag>            | Mult.  | Type | Constr. No. | Page |
|-----|------------------------------------|--------|------|-------------|------|
| {Or | <b>VoteIndication</b> <VoteIndctn> | [1..1] | ±    |             | 150  |
| Or} | <b>Shareholder</b> <Shrhldr>       | [1..1] | ±    |             | 150  |

##### 6.4.8.6.2.1 VoteIndication <VoteIndctn>

*Presence:* [1..1]

*Definition:* Vote recommendation for resolutions added during the meeting.

**VoteIndication <VoteIndctn>** contains one of the following elements (see "[VoteInstructionType1Choice](#)" on page 284 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Type <Tp>               | [1..1] | CodeSet |             | 284  |
| Or} | Proprietary <Prtry>     | [1..1] | ±       |             | 285  |

##### 6.4.8.6.2.2 Shareholder <Shrhldr>

*Presence:* [1..1]

*Definition:* Name and address of the shareholder to whom the rights to vote are transferred for resolutions added during the meeting.

**Shareholder <Shrhldr>** contains the following elements (see "NameAndAddress9" on page 341 for details)

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | Name <Nm>               | [1..1] | Text |             | 341  |
|    | Address <Adr>           | [0..1] | ±    | C19         | 341  |

#### 6.4.8.7 MeetingAttendee <MtgAttndee>

*Presence:* [0..\*]

*Definition:* Identification of the security holder who will attend and vote at the meeting in person and/or the person assigned by the security holder to attend the meeting without having any voting rights or taking any action.

**MeetingAttendee <MtgAttndee>** contains the following **IndividualPerson41** elements

| Or  | MessageElement<XML Tag>                             | Mult.  | Type    | Constr. No. | Page |
|-----|---|--------|---------|-------------|------|
|     | <b>Identification &lt;Id&gt;</b>                    | [0..1] |         |             | 151  |
| {Or | <b>LegalPerson &lt;LglPrsn&gt;</b>                  | [1..1] | ±       |             | 151  |
| Or} | <b>NaturalPerson &lt;NtrlPrsn&gt;</b>               | [1..1] | ±       |             | 152  |
|     | <b>ParticipationMethod &lt;PrtcpnMtd&gt;</b>        | [0..1] | CodeSet |             | 152  |
|     | <b>EmployingParty &lt;EmplngPty&gt;</b>             | [0..1] | ±       |             | 153  |
|     | <b>AttendanceCardDetails &lt;AttdncCardDtls&gt;</b> | [1..1] | ±       | C14         | 153  |

##### 6.4.8.7.1 Identification <Id>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification of the proxy.

**Identification <Id>** contains one of the following **PartyIdentification232Choice** elements

| Or  | MessageElement<XML Tag>               | Mult.  | Type | Constr. No. | Page |
|-----|---------------------------------------|--------|------|-------------|------|
| {Or | <b>LegalPerson &lt;LglPrsn&gt;</b>    | [1..1] | ±    |             | 151  |
| Or} | <b>NaturalPerson &lt;NtrlPrsn&gt;</b> | [1..1] | ±    |             | 152  |

##### 6.4.8.7.1.1 LegalPerson <LglPrsn>

*Presence:* [1..1]

*Definition:* Legal entity.

**LegalPerson <LgIPrsn>** contains the following elements (see "[PartyIdentification221](#)" on page 318 for details)

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>        | [1..1] |         |             | 318  |
|    | Name <Nm>                        | [1..1] | Text    |             | 319  |
|    | Address <Adr>                    | [0..1] |         |             | 319  |
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 320  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 320  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 320  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 320  |
|    | PostBox <PstBx>                  | [0..1] | Text    |             | 320  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 320  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 321  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 321  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 321  |
|    | EmailAddress <EmailAdr>          | [0..1] | Text    |             | 321  |
|    | Identification <Id>              | [1..1] | ±       |             | 321  |

#### 6.4.8.7.1.2 NaturalPerson <NtrIPrsn>

*Presence:* [1..1]

*Definition:* Private person.

**NaturalPerson <NtrIPrsn>** contains the following elements (see "[PartyIdentification238](#)" on page 305 for details)

| Or | MessageElement<XML Tag>               | Mult.  | Type    | Constr. No. | Page |
|----|---------------------------------------|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>             | [1..1] | ±       |             | 305  |
|    | EmailAddress <EmailAdr>               | [0..1] | Text    |             | 306  |
|    | Identification <Id>                   | [1..1] | ±       |             | 306  |
|    | Nationality <Ntlty>                   | [0..1] | CodeSet | C3          | 306  |
|    | DateAndPlaceOfBirth <DtAndPlcOfBirth> | [0..1] | ±       |             | 307  |

#### 6.4.8.7.2 ParticipationMethod <PrtcptnMtd>

*Presence:* [0..1]

*Definition:* Method of voting participation to the general meeting.

*Datatype:* "[VotingParticipationMethod2Code](#)" on page 385

| CodeName | Name      | Definition  |
|----------|-----------|---|
| PHNV     | NotVoting | Participation to the meeting is in person but the person is not voting. |

### 6.4.8.7.3 EmployingParty <EmplngPty>

*Presence:* [0..1]

*Definition:* Organisation represented by the person, or for which the person works.

**EmployingParty <EmplngPty>** contains one of the following elements (see "PartyIdentification129Choice" on page 323 for details)

| Or  | MessageElement<XML Tag>             | Mult.  | Type          | Constr. No. | Page |
|-----|-------------------------------------|--------|---------------|-------------|------|
| {Or | AnyBIC <AnyBIC>                     | [1..1] | IdentifierSet | C1          | 323  |
| Or  | ProprietaryIdentification <PrtryId> | [1..1] | ±             |             | 324  |
| Or  | NameAndAddress <NmAndAdr>           | [1..1] | ±             |             | 324  |
| Or} | LEI <LEI>                           | [1..1] | IdentifierSet |             | 324  |

### 6.4.8.7.4 AttendanceCardDetails <AttdncCardDtls>

*Presence:* [1..1]

*Definition:* Details related to the attendance card.

*Impacted by:* C14 "OtherAddressCode1Rule"

**AttendanceCardDetails <AttdncCardDtls>** contains the following elements (see "AttendanceCard3" on page 274 for details)

| Or | MessageElement<XML Tag>                   | Mult.  | Type    | Constr. No. | Page |
|----|---|--------|---------|-------------|------|
|    | AttendanceCardLabelling <AttdncCardLbllg> | [0..1] | Text    |             | 275  |
|    | DeliveryMethod <DlvryMtd>                 | [1..1] | CodeSet |             | 275  |
|    | OtherAddress <OthrAdr>                    | [0..1] | ±       |             | 275  |

#### Constraints

- **OtherAddressCode1Rule**

If DeliveryMethod is OtherAddress "OADR", then OtherAddress must be present.

```
On Condition
  /DeliveryMethod is equal to value 'OtherAddress'
Following Must be True
  /OtherAddress Must be present
```

### 6.4.8.8 SpecificInstructionRequest <SpfcInstrReq>

*Presence:* [0..1]

*Definition:* Request to execute specific instructions, such as participation registration, securities registration or blocking of securities.

**SpecificInstructionRequest <SpfcInstrReq>** contains the following **SpecificInstructionRequest4** elements

| Or | MessageElement<XML Tag>                    | Mult.  | Type      | Constr. No. | Page |
|----|--|--------|-----------|-------------|------|
|    | <b>ParticipationMethod</b> <PrtcptnMtd>    | [0..1] | ±         |             | 154  |
|    | <b>SecuritiesRegistration</b> <SctiesRegn> | [0..1] | Indicator |             | 154  |

#### 6.4.8.8.1 ParticipationMethod <PrtcptnMtd>

*Presence:* [0..1]

*Definition:* Method of voting participation to the general meeting.

**ParticipationMethod <PrtcptnMtd>** contains one of the following elements (see "[ParticipationMethod3Choice](#)" on page 272 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd>               | [1..1] | CodeSet |             | 272  |
| Or} | Proprietary <Prtry>     | [1..1] | ±       |             | 273  |

#### 6.4.8.8.2 SecuritiesRegistration <SctiesRegn>

*Presence:* [0..1]

*Definition:* Indicates a request to register the securities for the meeting.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 388):

- *Meaning When True:* Yes
- *Meaning When False:* No

### 6.4.9 SupplementaryData <SplmtryData>

*Presence:* [0..\*]

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

*Impacted by:* [C20 "SupplementaryDataRule"](#)

**SupplementaryData <SplmtryData>** contains the following elements (see "[SupplementaryData1](#)" on page 290 for details)

| Or | MessageElement<XML Tag> | Mult.  | Type              | Constr. No. | Page |
|----|-------------------------|--------|-------------------|-------------|------|
|    | PlaceAndName <PlcAndNm> | [0..1] | Text              |             | 290  |
|    | Envelope <Envlp>        | [1..1] | (External Schema) |             | 290  |

#### Constraints

- **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.

# 7 **seev.005.001.09**

## **MeetingInstructionCancellationRequestV09**

### 7.1 **MessageDefinition Functionality**

#### Scope

The MeetingInstructionCancellationRequest message is sent by the same party that sent the MeetingInstruction message. It is sent to request the cancellation of one, some or all of the instructions included in the original MeetingInstruction message.

#### Usage

This message must be answered by a MeetingInstructionStatus message.

This message definition is intended for use with the Business Application Header (BAH).

#### Outline

The MeetingInstructionCancellationRequestV09 MessageDefinition is composed of 5 MessageBuildingBlocks:

A. MeetingInstructionIdentification

Identification of the original meeting instruction message for which the cancellation is requested or the original meeting instruction message containing the individual instruction(s) that is/are to be cancelled.

B. MeetingReference

Set of elements to allow the unambiguous identification of a meeting.

C. FinancialInstrumentIdentification

Security for which the meeting is organised.

D. ToBeCancelledInstruction

Specifies one or more instructions for which the cancellation is requested.

E. SupplementaryData

Additional information that cannot be captured in the structured fields and/or any other specific block.

## 7.2 Structure

| Or  | MessageElement/BuildingBlock<XML Tag>                  | Mult.    | Type     | Constr. No.           | Page |
|-----|--|----------|----------|-----------------------|------|
|     | Message root <Document> <MtgInstrCxlReq>               | [1..1]   |          | C6                    |      |
|     | <b>MeetingInstructionIdentification</b> <MtgInstrId>   | [1..1]   | Text     |                       | 158  |
|     | <b>MeetingReference</b> <MtgRef>                       | [1..1]   |          |                       | 158  |
|     | <b>MeetingIdentification</b> <MtgId>                   | [1..1]   | Text     |                       | 158  |
|     | <b>IssuerMeetingIdentification</b> <IssrMtgId>         | [0..1]   | Text     |                       | 159  |
|     | <b>MeetingDateAndTime</b> <MtgDtAndTm>                 | [1..1]   | DateTime |                       | 159  |
|     | <b>Type</b> <Tp>                                       | [1..1]   | CodeSet  |                       | 159  |
|     | <b>Classification</b> <Clsfctn>                        | [0..1]   | ±        |                       | 159  |
|     | <b>Location</b> <Lctn>                                 | [0..5]   | ±        |                       | 160  |
|     | <b>Issuer</b> <Issr>                                   | [0..1]   | ±        |                       | 160  |
|     | <b>FinancialInstrumentIdentification</b> <FinInstrmId> | [1..1]   | ±        | C8, C9, C11, C12, C13 | 160  |
|     | <b>ToBeCancelledInstruction</b> <ToBeCanclInstr>       | [0..*]   |          |                       | 161  |
|     | <b>SingleInstructionIdentification</b> <SnglInstrId>   | [1..1]   | Text     |                       | 162  |
|     | <b>InstructedPosition</b> <InstdPos>                   | [0..1]   |          | C1, C2, C3, C5, C14   | 162  |
|     | <b>AccountIdentification</b> <AcctId>                  | [0..1]   | Text     |                       | 164  |
|     | <b>BlockchainAddressOrWallet</b> <BlckChainAdrOrWlt>   | [0..1]   | Text     |                       | 164  |
|     | <b>AccountOwner</b> <AcctOwnr>                         | [0..1]   |          |                       | 164  |
| {Or | <b>LegalPerson</b> <LglPrsn>                           | [1..1]   | ±        |                       | 164  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                        | [1..*]   | ±        |                       | 165  |
|     | <b>SubAccountIdentification</b> <SubAcctId>            | [0..1]   | Text     |                       | 165  |
|     | <b>InstructedBalance</b> <InstdBal>                    | [1..15]  |          |                       | 166  |
|     | <b>Balance</b> <Bal>                                   | [1..1]   | ±        |                       | 166  |
|     | <b>BalanceType</b> <BalTp>                             | [0..1]   | CodeSet  |                       | 166  |
|     | <b>SafekeepingPlace</b> <SfkpgPlc>                     | [0..1]   | ±        |                       | 167  |
|     | <b>RightsHolder</b> <RghtsHldr>                        | [0..250] |          |                       | 168  |
| {Or | <b>LegalPerson</b> <LglPrsn>                           | [1..1]   | ±        |                       | 168  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                        | [1..*]   | ±        |                       | 169  |

| Or | MessageElement/BuildingBlock<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|---------------------------------------|--------|------|-------------|------|
|    | SupplementaryData <SplmtryData>       | [0..*] | ±    | C15         | 170  |

## 7.3 Constraints

### C1 AccountIdentificationOrBlockChainAddress1Rule

Either AccountIdentification or BlockChainAddressOrWallet must be present but not both.

### C2 AccountIdentificationOrBlockChainAddress2Rule

If BlockChainAddressOrWallet is present then AccountIdentification must be absent.

### C3 AccountIdentificationOrBlockChainAddress3Rule

If AccountIdentification is present, then BlockChainAddressOrWallet must be absent.

### C4 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.

### C5 BalanceQall1Rule

If SubAccountIdentification is present, then InstructedBalance/Balance/Quantity/Code "QALL" (AllSecurities) is not allowed in any occurrence of InstructedBalance.

### C6 Cancellation3Guideline

It is recommended that the request to cancel a meeting instruction with the use of MeetingInstructionIdentification only and that the optional elements are avoided, unless otherwise specified by market practice rules and or legislation. If any optional elements are included, they must be identical to the information in the meeting instruction message being cancelled.

*This constraint is defined at the MessageDefinition level.*

### C7 Country

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

### C8 DescriptionPresenceRule

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

### C9 DescriptionUsageRule

Description must be used alone as the last resort.

### C10 DigitalTokenUnitUsageRule

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

### C11 ISINGuideline

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

**C12 ISINPresenceRule**

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

**C13 OtherIdentificationPresenceRule**

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

**C14 RightsHolderMultiplicity1Guideline**

It is recommended that RightsHolder is only present more than once if there is joint ownership.

**C15 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.

## 7.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 7.4.1 MeetingInstructionIdentification <MtgInstrId>

*Presence:* [1..1]

*Definition:* Identification of the original meeting instruction message for which the cancellation is requested or the original meeting instruction message containing the individual instruction(s) that is/are to be cancelled.

*Datatype:* "Max35Text" on page 391

### 7.4.2 MeetingReference <MtgRef>

*Presence:* [1..1]

*Definition:* Set of elements to allow the unambiguous identification of a meeting.

**MeetingReference <MtgRef>** contains the following **MeetingReference10** elements

| Or | MessageElement<XML Tag>                        | Mult.  | Type     | Constr. No. | Page |
|----|--|--------|----------|-------------|------|
|    | <b>MeetingIdentification</b> <MtgId>           | [1..1] | Text     |             | 158  |
|    | <b>IssuerMeetingIdentification</b> <IssrMtgId> | [0..1] | Text     |             | 159  |
|    | <b>MeetingDateAndTime</b> <MtgDtAndTm>         | [1..1] | DateTime |             | 159  |
|    | <b>Type</b> <Tp>                               | [1..1] | CodeSet  |             | 159  |
|    | <b>Classification</b> <Clssfctn>               | [0..1] | ±        |             | 159  |
|    | <b>Location</b> <Lctn>                         | [0..5] | ±        |             | 160  |
|    | <b>Issuer</b> <Issr>                           | [0..1] | ±        |             | 160  |

#### 7.4.2.1 MeetingIdentification <MtgId>

*Presence:* [1..1]

*Definition:* Identification assigned to the general meeting by the party that provides the meeting notification. It must be unique to the party providing the notification.

*Datatype:* "Max35Text" on page 391

#### 7.4.2.2 IssuerMeetingIdentification <IssrMtgId>

*Presence:* [0..1]

*Definition:* Identification assigned to the meeting by the issuer. It must be unique for the issuer.

*Datatype:* "Max35Text" on page 391

#### 7.4.2.3 MeetingDateAndTime <MtgDtAndTm>

*Presence:* [1..1]

*Definition:* Date and time at which the meeting will take place.

*Datatype:* "ISODatetime" on page 386

#### 7.4.2.4 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of meeting for which instructions are sent.

*Datatype:* "MeetingType4Code" on page 371

| CodeName | Name              | Definition   |
|----------|-------------------|--|
| XMET     | Extraordinary     | Meeting that takes place as needed, in addition to the general meetings, is extraordinary as per the bylaws. The resolutions are related to the unusual business of the company, for example, approval of takeovers or mergers or spin-offs. These meetings are always issuer initiated. |
| GMET     | General           | Includes annual and ordinary meetings. Statutory meeting(s) usually held at least once a year. The resolutions are related to the usual business of the company, for example, approval of dividends and directors. These meetings are always issuer initiated.                           |
| MIXD     | Mixed             | Meeting which contains both ordinary and extraordinary resolutions.  |
| SPCL     | Special           | Meeting that takes place as needed that is neither ordinary nor extraordinary.   |
| BMET     | BondHolderMeeting | Physical meeting of bond holders.  |
| CMET     | CourtMeeting      | Meeting is the result of a legal proceeding.   |

#### 7.4.2.5 Classification <Clssfctn>

*Presence:* [0..1]

*Definition:* Classification type of the meeting.

**Classification <Clssfctn>** contains one of the following elements (see "[MeetingTypeClassification2Choice](#)" on page 287 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd>               | [1..1] | CodeSet |             | 288  |
| Or} | Proprietary <Prtry>     | [1..1] | ±       |             | 288  |

#### 7.4.2.6 Location <Lctn>

*Presence:* [0..5]

*Definition:* Place of the company meeting for the scheduled meeting date.

**Location <Lctn>** contains the following elements (see "[PostalAddress1](#)" on page 339 for details)

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 339  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 340  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 340  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 340  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 340  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 340  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 340  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 341  |

#### 7.4.2.7 Issuer <Issr>

*Presence:* [0..1]

*Definition:* Institution that is the issuer of the security to which the meeting applies.

**Issuer <Issr>** contains one of the following elements (see "[PartyIdentification129Choice](#)" on page 323 for details)

| Or  | MessageElement<XML Tag>             | Mult.  | Type          | Constr. No. | Page |
|-----|-------------------------------------|--------|---------------|-------------|------|
| {Or | AnyBIC <AnyBIC>                     | [1..1] | IdentifierSet | C1          | 323  |
| Or  | ProprietaryIdentification <PrtryId> | [1..1] | ±             |             | 324  |
| Or  | NameAndAddress <NmAndAdr>           | [1..1] | ±             |             | 324  |
| Or} | LEI <LEI>                           | [1..1] | IdentifierSet |             | 324  |

### 7.4.3 FinancialInstrumentIdentification <FinInstrmId>

*Presence:* [1..1]

*Definition:* Security for which the meeting is organised.

*Impacted by:* C8 "DescriptionPresenceRule", C9 "DescriptionUsageRule", C11 "ISINGuideline", C12 "ISINPresenceRule", C13 "OtherIdentificationPresenceRule"

**FinancialInstrumentIdentification <FinInstrmId>** contains the following elements (see "SecurityIdentification19" on page 256 for details)

| Or | MessageElement<XML Tag>       | Mult.  | Type          | Constr. No. | Page |
|----|-------------------------------|--------|---------------|-------------|------|
|    | ISIN </ISIN>                  | [0..1] | IdentifierSet |             | 257  |
|    | OtherIdentification <OthrlId> | [0..*] |               |             | 257  |
|    | Identification </Id>          | [1..1] | Text          |             | 258  |
|    | Suffix <Sfx>                  | [0..1] | Text          |             | 258  |
|    | Type <Tp>                     | [1..1] | ±             |             | 258  |
|    | Description <Desc>            | [0..1] | Text          |             | 258  |

### Constraints

- **DescriptionPresenceRule**

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

```
On Condition
  /Description is absent
Following Must be True
  /ISIN Must be present
Or
  /OtherIdentification[*] Must be present
```

- **DescriptionUsageRule**

Description must be used alone as the last resort.

- **ISINGuideline**

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

- **ISINPresenceRule**

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

```
On Condition
  /ISIN is absent
Following Must be True
  /OtherIdentification[*] Must be present
Or
  /Description Must be present
```

- **OtherIdentificationPresenceRule**

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

```
On Condition
  /OtherIdentification[*] is absent
Following Must be True
  /ISIN Must be present
Or
  /Description Must be present
```

## 7.4.4 ToBeCancelledInstruction <ToBeCanclInstr>

*Presence:* [0..\*]

*Definition:* Specifies one or more instructions for which the cancellation is requested.

**ToBeCancelledInstruction** <ToBeCanInstr> contains the following **CancellInstruction4** elements

| Or  | MessageElement<XML Tag>                              | Mult.    | Type    | Constr. No.         | Page |
|-----|--|----------|---------|---------------------|------|
|     | <b>SingleInstructionIdentification</b> <SnglInstrId> | [1..1]   | Text    |                     | 162  |
|     | <b>InstructedPosition</b> <InstdPos>                 | [0..1]   |         | C1, C2, C3, C5, C14 | 162  |
|     | <b>AccountIdentification</b> <AcctId>                | [0..1]   | Text    |                     | 164  |
|     | <b>BlockChainAddressOrWallet</b> <BlckChainAdrOrWlt> | [0..1]   | Text    |                     | 164  |
|     | <b>AccountOwner</b> <AcctOwnr>                       | [0..1]   |         |                     | 164  |
| {Or | <b>LegalPerson</b> <LglPrsn>                         | [1..1]   | ±       |                     | 164  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                      | [1..*]   | ±       |                     | 165  |
|     | <b>SubAccountIdentification</b> <SubAcctId>          | [0..1]   | Text    |                     | 165  |
|     | <b>InstructedBalance</b> <InstdBal>                  | [1..15]  |         |                     | 166  |
|     | <b>Balance</b> <Bal>                                 | [1..1]   | ±       |                     | 166  |
|     | <b>BalanceType</b> <BalTp>                           | [0..1]   | CodeSet |                     | 166  |
|     | <b>SafekeepingPlace</b> <SfkpgPlc>                   | [0..1]   | ±       |                     | 167  |
|     | <b>RightsHolder</b> <RghtsHldr>                      | [0..250] |         |                     | 168  |
| {Or | <b>LegalPerson</b> <LglPrsn>                         | [1..1]   | ±       |                     | 168  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                      | [1..*]   | ±       |                     | 169  |

#### 7.4.4.1 SingleInstructionIdentification <SnglInstrId>

*Presence:* [1..1]

*Definition:* Identification of the individual instruction previously sent.

*Datatype:* "Max35Text" on page 391

#### 7.4.4.2 InstructedPosition <InstdPos>

*Presence:* [0..1]

*Definition:* Account and instructed positions to which the meeting instruction cancellation request applies.

*Impacted by:* C1 "AccountIdentificationOrBlockChainAddress1Rule", C2 "AccountIdentificationOrBlockChainAddress2Rule", C3 "AccountIdentificationOrBlockChainAddress3Rule", C5 "BalanceQall1Rule", C14 "RightsHolderMultiplicity1Guideline"

**InstructedPosition <InstdPos>** contains the following **SafekeepingAccount16** elements

| Or  | MessageElement<XML Tag>                              | Mult.    | Type    | Constr. No. | Page |
|-----|--|----------|---------|-------------|------|
|     | <b>AccountIdentification</b> <AcctId>                | [0..1]   | Text    |             | 164  |
|     | <b>BlockChainAddressOrWallet</b> <BlckChainAdrOrWlt> | [0..1]   | Text    |             | 164  |
|     | <b>AccountOwner</b> <AcctOwnr>                       | [0..1]   |         |             | 164  |
| {Or | <b>LegalPerson</b> <LglPrsn>                         | [1..1]   | ±       |             | 164  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                      | [1..*]   | ±       |             | 165  |
|     | <b>SubAccountIdentification</b> <SubAcctId>          | [0..1]   | Text    |             | 165  |
|     | <b>InstructedBalance</b> <InstdBal>                  | [1..15]  |         |             | 166  |
|     | <b>Balance</b> <Bal>                                 | [1..1]   | ±       |             | 166  |
|     | <b>BalanceType</b> <BalTp>                           | [0..1]   | CodeSet |             | 166  |
|     | <b>SafekeepingPlace</b> <SfkpgPlc>                   | [0..1]   | ±       |             | 167  |
|     | <b>RightsHolder</b> <RghtsHldr>                      | [0..250] |         |             | 168  |
| {Or | <b>LegalPerson</b> <LglPrsn>                         | [1..1]   | ±       |             | 168  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                      | [1..*]   | ±       |             | 169  |

#### Constraints

- **AccountIdentificationOrBlockChainAddress1Rule**

Either AccountIdentification or BlockChainAddressOrWallet must be present but not both.

Following Must be True

/AccountIdentification Must be present

Or /BlockChainAddressOrWallet Must be present

- **AccountIdentificationOrBlockChainAddress2Rule**

If BlockChainAddressOrWallet is present then AccountIdentification must be absent.

On Condition

/BlockChainAddressOrWallet is present

Following Must be True

/AccountIdentification Must be absent

- **AccountIdentificationOrBlockChainAddress3Rule**

If AccountIdentification is present, then BlockChainAddressOrWallet must be absent.

On Condition

/AccountIdentification is present

Following Must be True

/BlockChainAddressOrWallet Must be absent

- **BalanceQall1Rule**

If SubAccountIdentification is present, then InstructedBalance/Balance/Quantity/Code "QALL" (AllSecurities) is not allowed in any occurrence of InstructedBalance.

On Condition

/SubAccountIdentification is present

Following Must be True  
/InstructedBalance[\*]/Balance/Quantity/Code Must be absent

- **RightsHolderMultiplicity1Guideline**

It is recommended that RightsHolder is only present more than once if there is joint ownership.

#### 7.4.4.2.1 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification of the securities account between the account owner and the account servicer.

*Datatype:* "Max35Text" on page 391

#### 7.4.4.2.2 BlockchainAddressOrWallet <BlckChainAdrOrWllt>

*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 390

#### 7.4.4.2.3 AccountOwner <AcctOwnr>

*Presence:* [0..1]

*Definition:* Party that legally owns the account.

**AccountOwner <AcctOwnr>** contains one of the following **PartyIdentification231Choice** elements

| Or  | MessageElement<XML Tag>         | Mult.  | Type | Constr. No. | Page |
|-----|---------------------------------|--------|------|-------------|------|
| {Or | <b>LegalPerson</b> <LglPrsn>    | [1..1] | ±    |             | 164  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn> | [1..*] | ±    |             | 165  |

##### 7.4.4.2.3.1 LegalPerson <LglPrsn>

*Presence:* [1..1]

*Definition:* Legal entity.

**LegalPerson <LgIPrsn>** contains the following elements (see "[PartyIdentification221](#)" on page 318 for details)

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>        | [1..1] |         |             | 318  |
|    | Name <Nm>                        | [1..1] | Text    |             | 319  |
|    | Address <Adr>                    | [0..1] |         |             | 319  |
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 320  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 320  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 320  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 320  |
|    | PostBox <PstBx>                  | [0..1] | Text    |             | 320  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 320  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 321  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 321  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 321  |
|    | EmailAddress <EmailAdr>          | [0..1] | Text    |             | 321  |
|    | Identification <Id>              | [1..1] | ±       |             | 321  |

#### 7.4.4.2.3.2 NaturalPerson <NtrIPrsn>

*Presence:* [1..\*]

*Definition:* Private person.

**NaturalPerson <NtrIPrsn>** contains the following elements (see "[PartyIdentification238](#)" on page 305 for details)

| Or | MessageElement<XML Tag>               | Mult.  | Type    | Constr. No. | Page |
|----|---------------------------------------|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>             | [1..1] | ±       |             | 305  |
|    | EmailAddress <EmailAdr>               | [0..1] | Text    |             | 306  |
|    | Identification <Id>                   | [1..1] | ±       |             | 306  |
|    | Nationality <Ntlty>                   | [0..1] | CodeSet | C3          | 306  |
|    | DateAndPlaceOfBirth <DtAndPlcOfBirth> | [0..1] | ±       |             | 307  |

#### 7.4.4.2.4 SubAccountIdentification <SubAcctId>

*Presence:* [0..1]

*Definition:* Identification of a subaccount within the safekeeping account.

*Datatype:* "[Max35Text](#)" on page 391

### 7.4.4.2.5 InstructedBalance <InstdBal>

*Presence:* [1..15]

*Definition:* Quantity of securities in the sub-balance.

**InstructedBalance <InstdBal>** contains the following **HoldingBalance12** elements

| Or | MessageElement<XML Tag>                  | Mult.  | Type    | Constr. No. | Page |
|----|--|--------|---------|-------------|------|
|    | <b>Balance &lt;Bal&gt;</b>               | [1..1] | ±       |             | 166  |
|    | <b>BalanceType &lt;BalTp&gt;</b>         | [0..1] | CodeSet |             | 166  |
|    | <b>SafekeepingPlace &lt;SfkpgPlc&gt;</b> | [0..1] | ±       |             | 167  |

#### 7.4.4.2.5.1 Balance <Bal>

*Presence:* [1..1]

*Definition:* Total quantity of financial instrument for the referenced holding.

**Balance <Bal>** contains the following elements (see "[SignedQuantityFormat15](#)" on page 344 for details)

| Or  | MessageElement<XML Tag>        | Mult.  | Type     | Constr. No. | Page |
|-----|--------------------------------|--------|----------|-------------|------|
|     | ShortLongPosition <ShrtLngPos> | [1..1] | CodeSet  |             | 345  |
|     | Quantity <Qty>                 | [1..1] |          | C9          | 345  |
| {Or | Unit <Unit>                    | [1..1] | Quantity |             | 345  |
| Or  | FaceAmount <FaceAmt>           | [1..1] | Amount   |             | 345  |
| Or  | DigitalTokenUnit <DgtlTknUnit> | [1..1] | Quantity |             | 345  |
| Or} | Code <Cd>                      | [1..1] | CodeSet  |             | 346  |

#### 7.4.4.2.5.2 BalanceType <BalTp>

*Presence:* [0..1]

*Definition:* Reason a security is not available or additional information about the financial instrument for which the balance is given, for example, unregistered, registered in nominee name.

*Datatype:* "[SecuritiesEntryType2Code](#)" on page 380

| CodeName | Name            | Definition   |
|----------|-----------------|--|
| BLOK     | Blocked         | Balance of securities that are blocked or frozen. A financial instrument may be unavailable due to external circumstances such as a court order, death of beneficiary or account owner, or bankruptcy. |
| ELIG     | Eligible        | Total number of securities eligible for this event.  |
| PEND     | PendingDelivery | Balance of securities that are pending delivery.   |

| CodeName | Name                | Definition  |
|----------|---------------------|---|
| PENR     | PendingReceipt      | Balance of securities that are pending receipt.   |
| NOMI     | Registered          | Balance of securities that are registered (in the name of a nominee or of the beneficial owner).  |
| SETD     | Settled             | Balance of securities representing only settled transactions.   |
| BORR     | Borrowed            | Balance of securities that have been borrowed from another party.   |
| LOAN     | OnLoan              | Balance of securities that have been loaned to a third party.   |
| SPOS     | StreetPosition      | Balance of securities that remain registered in the name of the prior beneficial owner of securities.   |
| TRAD     | Traded              | Balance of securities representing traded transactions.   |
| COLI     | CollateralIn        | Balance of securities that belong to a third party and that are held for the purpose of collateralisation.  |
| COLO     | CollateralOut       | Balance of securities that belong to the safekeeping account indicated within this message, and are deposited with a third party for the purpose of collateralisation.              |
| UNBA     | UninstructedBalance | Balance of uninstructed position.   |
| INBA     | InstructedBalance   | Balance of instructed position.   |
| REGO     | OutForRegistration  | Balance of securities currently being processed by the institution responsible for registering the new beneficial owner (or nominee) of securities after a transaction has settled. |

#### 7.4.4.2.5.3 SafekeepingPlace <SfkpgPlc>

*Presence:* [0..1]

*Definition:* Place where the securities are safe-kept, physically or notionally. This place can be, for example, a local custodian, a Central Securities Depository (CSD) or an International Central Securities Depository (ICSD).

**SafekeepingPlace <SfkpgPlc>** contains one of the following elements (see "SafekeepingPlaceFormat28Choice" on page 346 for details)

| Or  | MessageElement<XML Tag>           | Mult.  | Type          | Constr. No. | Page |
|-----|-----------------------------------|--------|---------------|-------------|------|
| {Or | Identification <Id>               | [1..1] |               |             | 346  |
|     | SafekeepingPlaceType <SfkpgPlcTp> | [1..1] | CodeSet       |             | 346  |
|     | Identification <Id>               | [0..1] | Text          |             | 347  |
| Or  | Country <Ctry>                    | [1..1] | CodeSet       | C3          | 347  |
| Or  | TypeAndIdentification <TpAndId>   | [1..1] |               |             | 347  |
|     | SafekeepingPlaceType <SfkpgPlcTp> | [1..1] | CodeSet       |             | 347  |
|     | Identification <Id>               | [1..1] | IdentifierSet | C1          | 348  |
| Or} | Proprietary <Prtry>               | [1..1] | ±             |             | 348  |

#### 7.4.4.2.6 RightsHolder <RghtsHldr>

*Presence:* [0..250]

*Definition:* Owner of the voting rights.

**RightsHolder <RghtsHldr>** contains one of the following **PartyIdentification246Choice** elements

| Or  | MessageElement<XML Tag>         | Mult.  | Type | Constr. No. | Page |
|-----|---------------------------------|--------|------|-------------|------|
| {Or | <b>LegalPerson</b> <LglPrsn>    | [1..1] | ±    |             | 168  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn> | [1..*] | ±    |             | 169  |

##### 7.4.4.2.6.1 LegalPerson <LglPrsn>

*Presence:* [1..1]

*Definition:* Legal entity.

**LegalPerson <LgIPrsn>** contains the following elements (see "[PartyIdentification269](#)" on page 295 for details)

| Or | MessageElement<XML Tag>                                      | Mult.  | Type    | Constr. No. | Page |
|----|--|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>                                    | [1..1] |         |             | 296  |
|    | Name <Nm>  | [1..1] | Text    |             | 297  |
|    | Address <Adr>  | [0..1] |         |             | 297  |
|    | AddressType <AdrTp>  | [0..1] | CodeSet |             | 298  |
|    | AddressLine <AdrLine>  | [0..5] | Text    |             | 298  |
|    | StreetName <StrtNm>  | [0..1] | Text    |             | 298  |
|    | BuildingNumber <BldgNb>                                      | [0..1] | Text    |             | 298  |
|    | PostBox <PstBx>  | [0..1] | Text    |             | 298  |
|    | PostCode <PstCd>   | [0..1] | Text    |             | 298  |
|    | TownName <TwnNm>   | [0..1] | Text    |             | 299  |
|    | CountrySubDivision <CtrySubDvsn>                             | [0..1] | Text    |             | 299  |
|    | Country <Ctry>   | [1..1] | CodeSet | C3          | 299  |
|    | EmailAddress <EmailAdr>                                      | [0..1] | Text    |             | 299  |
|    | Identification <Id>  | [0..1] | ±       |             | 299  |
|    | CompanyRegisterShareholderIdentification <CpnyRegrShrhldrid> | [0..1] | Text    |             | 299  |
|    | CountryOfIncorporation <CtryOfIncorptrn>                     | [0..1] | CodeSet | C3          | 300  |

#### 7.4.4.2.6.2 NaturalPerson <NtrIPrsn>

*Presence:* [1..\*]

*Definition:* Private person.

**NaturalPerson <NtrIPrsn>** contains the following elements (see "[PartyIdentification250](#)" on page 300 for details)

| Or | MessageElement<XML Tag>                                      | Mult.  | Type    | Constr. No. | Page |
|----|--|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>                                    | [1..1] | ±       |             | 300  |
|    | EmailAddress <EmailAdr>                                      | [0..1] | Text    |             | 301  |
|    | Identification <Id>  | [0..1] | ±       |             | 301  |
|    | Nationality <Ntlty>  | [0..1] | CodeSet | C3          | 301  |
|    | DateAndPlaceOfBirth <DtAndPlcOfBirth>                        | [0..1] | ±       |             | 302  |
|    | CompanyRegisterShareholderIdentification <CpnyRegrShrhldrid> | [0..1] | Text    |             | 302  |

## 7.4.5 SupplementaryData <SplmtryData>

*Presence:* [0..\*]

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

*Impacted by:* C15 "SupplementaryDataRule"

**SupplementaryData <SplmtryData>** contains the following elements (see "[SupplementaryData1](#)" on page 290 for details)

| Or | MessageElement<XML Tag> | Mult.  | Type              | Constr. No. | Page |
|----|-------------------------|--------|-------------------|-------------|------|
|    | PlaceAndName <PlcAndNm> | [0..1] | Text              |             | 290  |
|    | Envelope <Envlp>        | [1..1] | (External Schema) |             | 290  |

### Constraints

- **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.

# 8 **seev.006.001.10** **MeetingInstructionStatusV10**

## 8.1 **MessageDefinition Functionality**

### Scope

The MeetingInstructionStatus message is sent by an intermediary to the sender of an instruction to confirm the status of such an instruction. The message gives the status of a complete message or of one or more specific instructions within the message.

The message may also be sent by the issuer or the intermediary to confirm that a vote has been cast.

### Usage

The MeetingInstructionStatus message is used for four purposes.

First, it is used to provide a global processing or rejection status of a MeetingInstruction message.

Second, it provides the status on the processing of a MeetingInstructionCancellationRequest message, for example, whether the request message is rejected or accepted.

Third, it is used to provide a detailed processing or rejection status of one or more instructions within the MeetingInstruction message, for example, for each instruction in the MeetingInstruction message the processing or rejection status is individually reported by using the SingleInstructionIdentification element. This identification allows the receiver of the status message to link the status confirmation to its original instruction.

Fourth, it is used to confirm that the related vote instruction has been confirmed as cast by the issuer or its agent.

This message definition is intended for use with the Business Application Header (BAH).

### Outline

The MeetingInstructionStatusV10 MessageDefinition is composed of 9 MessageBuildingBlocks:

- A. InstructionType  
Type of instruction.
- B. MeetingReference  
Set of elements to allow the unambiguous identification of a meeting.
- C. FinancialInstrumentIdentification  
Security for which the meeting is organised.
- D. InstructionTypeStatus  
Type of instruction status.
- E. Position  
Balance status for securities that are eligible for the vote.
- F. ConfirmingParty

Party that confirms the receipt of the vote cast.

G. VoteCastingParty

Party that cast the voting ballot.

H. RightsHolder

Owner of the voting rights.

I. SupplementaryData

Additional information that cannot be captured in the structured fields and/or any other specific block.

## 8.2 Structure

| Or  | MessageElement/BuildingBlock<XML Tag>                     | Mult.  | Type     | Constr. No.             | Page |
|-----|---|--------|----------|-------------------------|------|
|     | Message root <Document> <MtgInstrSts>                     | [1..1] |          | C19, C20                |      |
|     | <b>InstructionType</b> <InstrTp>                          | [1..1] |          |                         | 176  |
| {Or | <b>InstructionIdentification</b> <InstrId>                | [1..1] | Text     |                         | 176  |
| Or} | <b>InstructionCancellationIdentification</b> <InstrCxIId> | [1..1] | Text     |                         | 176  |
|     | <b>MeetingReference</b> <MtgRef>                          | [1..1] |          |                         | 177  |
|     | <b>MeetingIdentification</b> <MtgId>                      | [1..1] | Text     |                         | 177  |
|     | <b>IssuerMeetingIdentification</b> <IssrMtgId>            | [0..1] | Text     |                         | 177  |
|     | <b>MeetingDateAndTime</b> <MtgDtAndTm>                    | [1..1] | DateTime |                         | 177  |
|     | <b>Type</b> <Tp>  | [1..1] | CodeSet  |                         | 177  |
|     | <b>Classification</b> <Clssfctn>                          | [0..1] | ±        |                         | 178  |
|     | <b>Location</b> <Lctn>                                    | [0..5] | ±        |                         | 178  |
|     | <b>Issuer</b> <Issr>                                      | [0..1] | ±        |                         | 179  |
|     | <b>FinancialInstrumentIdentification</b> <FinInstrmId>    | [1..1] | ±        | C12, C13, C16, C17, C18 | 179  |
|     | <b>InstructionTypeStatus</b> <InstrTpSts>                 | [1..1] |          |                         | 180  |
| {Or | <b>InstructionStatus</b> <InstrSts>                       | [1..*] |          | C21                     | 181  |
|     | <b>SingleInstructionIdentification</b> <SnglInstrId>      | [1..1] | Text     |                         | 182  |
|     | <b>AccountIdentification</b> <AcctId>                     | [0..1] | Text     |                         | 182  |
|     | <b>SubAccountIdentification</b> <SubAcctId>               | [0..1] | Text     |                         | 182  |
|     | <b>InstructionStatus</b> <InstrSts>                       | [1..1] |          |                         | 182  |
| {Or | <b>ProcessingStatus</b> <ProgSts>                         | [1..1] | ±        | C10                     | 182  |
| Or  | <b>Rejected</b> <Rjctd>                                   | [1..1] | ±        |                         | 183  |
| Or} | <b>Pending</b> <Pdg>                                      | [1..1] | ±        |                         | 183  |
| Or} | <b>CancellationStatus</b> <CxISts>                        | [1..1] | ±        |                         | 183  |
|     | <b>Position</b> <Pos>                                     | [0..1] |          | C1, C2, C3, C15         | 184  |
|     | <b>AccountIdentification</b> <AcctId>                     | [0..1] | Text     |                         | 185  |
|     | <b>BlockchainAddressOrWallet</b> <BlckChainAdrOrWllt>     | [0..1] | Text     |                         | 185  |
|     | <b>AccountOwner</b> <AcctOwnr>                            | [0..1] |          |                         | 185  |

| Or  | MessageElement/BuildingBlock<XML Tag>  | Mult.    | Type    | Constr. No. | Page |
|-----|--|----------|---------|-------------|------|
| {Or | <b>LegalPerson</b> <LglPrsn>           | [1..1]   | ±       |             | 185  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>        | [1..*]   | ±       |             | 186  |
|     | <b>HoldingBalance</b> <HldgBal>        | [1..3]   |         |             | 186  |
|     | <b>Balance</b> <Bal>                   | [1..1]   | ±       |             | 187  |
|     | <b>BalanceType</b> <BalTp>             | [1..1]   | CodeSet |             | 187  |
|     | <b>ConfirmingParty</b> <CnfrmgPty>     | [1..1]   |         |             | 187  |
| {Or | <b>LegalPerson</b> <LglPrsn>           | [1..1]   | ±       |             | 188  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>        | [1..1]   | ±       |             | 188  |
|     | <b>VoteCastingParty</b> <VoteCstgPty>  | [1..1]   |         |             | 189  |
| {Or | <b>LegalPerson</b> <LglPrsn>           | [1..1]   | ±       |             | 189  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>        | [1..1]   | ±       |             | 190  |
|     | <b>RightsHolder</b> <RghtsHldr>        | [0..250] |         |             | 191  |
| {Or | <b>LegalPerson</b> <LglPrsn>           | [1..1]   | ±       |             | 191  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>        | [1..*]   | ±       |             | 192  |
|     | <b>SupplementaryData</b> <SplmtryData> | [0..*]   | ±       | C23         | 193  |

## 8.3 Constraints

### C1 AccountIdentificationOrBlockChainAddress1Rule

Either AccountIdentification or BlockChainAddressOrWallet must be present but not both.

### C2 AccountIdentificationOrBlockChainAddress2Rule

If BlockChainAddressOrWallet is present then AccountIdentification must be absent.

### C3 AccountIdentificationOrBlockChainAddress3Rule

If AccountIdentification is present, then BlockChainAddressOrWallet must be absent.

### C4 AccountServicerDeadlineMissedGuideline

When ReasonCode/Code is ADEA (Account Servicer Deadline Missed), the instruction is assumed to be processed "on a best effort basis" by the account servicer.

### C5 AdditionalReasonInformationRule

AdditionalReasonInformation element must not contain information that can be provided in a structured field unless bilaterally agreed.

### C6 AdditionalReasonInformationRule

AdditionalReasonInformation element must not contain information that can be provided in a structured field unless bilaterally agreed.

**C7 AdditionalReasonInformationRule**

AdditionalReasonInformation element must not contain information that can be provided in a structured field unless bilaterally agreed.

**C8 AdditionalReasonInformationRule**

AdditionalReasonInformation must not contain information that can be provided in a structured field unless bilaterally agreed.

**C9 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.

**C10 AttendanceCardNumber1Rule**

If AttendanceCardNumber is present, then Status must be ATTC (AttendanceConfirmed).

**C11 Country**

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

**C12 DescriptionPresenceRule**

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

**C13 DescriptionUsageRule**

Description must be used alone as the last resort.

**C14 DigitalTokenUnitUsageRule**

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

**C15 HoldingBalanceTypeRule**

In all occurrences of HoldingBalance, one and only one BalanceType may be ELIG (Eligible).

**C16 ISINGuideline**

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

**C17 ISINPresenceRule**

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

**C18 OtherIdentificationPresenceRule**

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

**C19 Status1Rule**

If InstructionType/InstructionIdentification is present, then InstructionTypeStatus/InstructionStatus must be present.

On Condition

/InstructionType/InstructionIdentification is present

Following Must be True

/InstructionTypeStatus/InstructionStatus[\*] Must be present

*This constraint is defined at the MessageDefinition level.*

**C20 Status2Rule**

If InstructionType/InstructionCancellationIdentification is present, then InstructionTypeStatus/CancellationStatus must be present.

On Condition  
 /InstructionType/InstructionCancellationIdentification is present  
 Following Must be True  
 /InstructionTypeStatus/CancellationStatus Must be present

*This constraint is defined at the MessageDefinition level.*

**C21 SubAccount1Rule**

If SubAccountIdentification is present, then AccountIdentification must be present.

**C22 SubAccount1Rule**

If SubAccountIdentification is present, then AccountIdentification must be present.

**C23 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.

## 8.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 8.4.1 InstructionType <InstrTp>

*Presence:* [1..1]

*Definition:* Type of instruction.

**InstructionType <InstrTp>** contains one of the following **InstructionType2Choice** elements

| Or  | MessageElement<XML Tag>                                  | Mult.  | Type | Constr. No. | Page |
|-----|--|--------|------|-------------|------|
| {Or | <b>InstructionIdentification</b> <InstrId>               | [1..1] | Text |             | 176  |
| Or} | <b>InstructionCancellationIdentification</b> <InstrCxId> | [1..1] | Text |             | 176  |

#### 8.4.1.1 InstructionIdentification <InstrId>

*Presence:* [1..1]

*Definition:* Identification of the original meeting instruction message for which the global status or the status(es) of one or more individual instructions are provided.

*Datatype:* "Max35Text" on page 391

#### 8.4.1.2 InstructionCancellationIdentification <InstrCxId>

*Presence:* [1..1]

*Definition:* Identification of the original meeting instruction cancellation request message for which the global status or the status(es) of one or more individual instruction cancellation requests are provided.

*Datatype:* "Max35Text" on page 391

## 8.4.2 MeetingReference <MtgRef>

*Presence:* [1..1]

*Definition:* Set of elements to allow the unambiguous identification of a meeting.

**MeetingReference <MtgRef>** contains the following **MeetingReference10** elements

| Or | MessageElement<XML Tag>                        | Mult.  | Type     | Constr. No. | Page |
|----|--|--------|----------|-------------|------|
|    | <b>MeetingIdentification</b> <MtgId>           | [1..1] | Text     |             | 177  |
|    | <b>IssuerMeetingIdentification</b> <IssrMtgId> | [0..1] | Text     |             | 177  |
|    | <b>MeetingDateAndTime</b> <MtgDtAndTm>         | [1..1] | DateTime |             | 177  |
|    | <b>Type</b> <Tp>                               | [1..1] | CodeSet  |             | 177  |
|    | <b>Classification</b> <Clssfctn>               | [0..1] | ±        |             | 178  |
|    | <b>Location</b> <Lctn>                         | [0..5] | ±        |             | 178  |
|    | <b>Issuer</b> <Issr>                           | [0..1] | ±        |             | 179  |

### 8.4.2.1 MeetingIdentification <MtgId>

*Presence:* [1..1]

*Definition:* Identification assigned to the general meeting by the party that provides the meeting notification. It must be unique to the party providing the notification.

*Datatype:* "Max35Text" on page 391

### 8.4.2.2 IssuerMeetingIdentification <IssrMtgId>

*Presence:* [0..1]

*Definition:* Identification assigned to the meeting by the issuer. It must be unique for the issuer.

*Datatype:* "Max35Text" on page 391

### 8.4.2.3 MeetingDateAndTime <MtgDtAndTm>

*Presence:* [1..1]

*Definition:* Date and time at which the meeting will take place.

*Datatype:* "ISODatetime" on page 386

### 8.4.2.4 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of meeting for which instructions are sent.

*Datatype:* "MeetingType4Code" on page 371

| CodeName | Name          | Definition  |
|----------|---------------|---|
| XMET     | Extraordinary | Meeting that takes place as needed, in addition to the general meetings, is extraordinary as per the bylaws. The resolutions are related to the unusual business of the company, for example, |

| CodeName | Name              | Definition   |
|----------|-------------------|--|
|          |                   | approval of takeovers or mergers or spin-offs. These meetings are always issuer initiated.   |
| GMET     | General           | Includes annual and ordinary meetings. Statutory meeting(s) usually held at least once a year. The resolutions are related to the usual business of the company, for example, approval of dividends and directors. These meetings are always issuer initiated. |
| MIXD     | Mixed             | Meeting which contains both ordinary and extraordinary resolutions.  |
| SPCL     | Special           | Meeting that takes place as needed that is neither ordinary nor extraordinary.   |
| BMET     | BondHolderMeeting | Physical meeting of bond holders.  |
| CMET     | CourtMeeting      | Meeting is the result of a legal proceeding.   |

#### 8.4.2.5 Classification <Clssfctn>

*Presence:* [0..1]

*Definition:* Classification type of the meeting.

**Classification <Clssfctn>** contains one of the following elements (see "[MeetingTypeClassification2Choice](#)" on page 287 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd>               | [1..1] | CodeSet |             | 288  |
| Or} | Proprietary <Prtry>     | [1..1] | ±       |             | 288  |

#### 8.4.2.6 Location <Lctn>

*Presence:* [0..5]

*Definition:* Place of the company meeting for the scheduled meeting date.

**Location <Lctn>** contains the following elements (see "[PostalAddress1](#)" on page 339 for details)

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 339  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 340  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 340  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 340  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 340  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 340  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 340  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 341  |

#### 8.4.2.7 Issuer <Issr>

*Presence:* [0..1]

*Definition:* Institution that is the issuer of the security to which the meeting applies.

**Issuer <Issr>** contains one of the following elements (see "[PartyIdentification129Choice](#)" on page 323 for details)

| Or  | MessageElement<XML Tag>             | Mult.  | Type          | Constr. No. | Page |
|-----|-------------------------------------|--------|---------------|-------------|------|
| {Or | AnyBIC <AnyBIC>                     | [1..1] | IdentifierSet | C1          | 323  |
| Or  | ProprietaryIdentification <PrtryId> | [1..1] | ±             |             | 324  |
| Or  | NameAndAddress <NmAndAdr>           | [1..1] | ±             |             | 324  |
| Or} | LEI <LEI>                           | [1..1] | IdentifierSet |             | 324  |

### 8.4.3 FinancialInstrumentIdentification <FinInstrmId>

*Presence:* [1..1]

*Definition:* Security for which the meeting is organised.

*Impacted by:* [C12 "DescriptionPresenceRule"](#), [C13 "DescriptionUsageRule"](#), [C16 "ISINGuideline"](#), [C17 "ISINPresenceRule"](#), [C18 "OtherIdentificationPresenceRule"](#)

**FinancialInstrumentIdentification <FinInstrmId>** contains the following elements (see "SecurityIdentification19" on page 256 for details)

| Or | MessageElement<XML Tag>       | Mult.  | Type          | Constr. No. | Page |
|----|-------------------------------|--------|---------------|-------------|------|
|    | ISIN <ISIN>                   | [0..1] | IdentifierSet |             | 257  |
|    | OtherIdentification <OthrlId> | [0..*] |               |             | 257  |
|    | Identification <Id>           | [1..1] | Text          |             | 258  |
|    | Suffix <Sfx>                  | [0..1] | Text          |             | 258  |
|    | Type <Tp>                     | [1..1] | ±             |             | 258  |
|    | Description <Desc>            | [0..1] | Text          |             | 258  |

**Constraints**

- **DescriptionPresenceRule**

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

```
On Condition
  /Description is absent
Following Must be True
  /ISIN Must be present
Or    /OtherIdentification[*] Must be present
```

- **DescriptionUsageRule**

Description must be used alone as the last resort.

- **ISINGuideline**

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

- **ISINPresenceRule**

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

```
On Condition
  /ISIN is absent
Following Must be True
  /OtherIdentification[*] Must be present
Or    /Description Must be present
```

- **OtherIdentificationPresenceRule**

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

```
On Condition
  /OtherIdentification[*] is absent
Following Must be True
  /ISIN Must be present
Or    /Description Must be present
```

### 8.4.4 InstructionTypeStatus <InstrTpSts>

*Presence:* [1..1]

*Definition:* Type of instruction status.

**InstructionTypeStatus <InstrTpSts>** contains one of the following **InstructionTypeStatus6Choice** elements

| Or  | MessageElement<XML Tag>                                    | Mult.  | Type | Constr. No. | Page |
|-----|--|--------|------|-------------|------|
| {Or | <b>InstructionStatus &lt;InstrSts&gt;</b>                  | [1..*] |      | C21         | 181  |
|     | <b>SingleInstructionIdentification &lt;SnglInstrId&gt;</b> | [1..1] | Text |             | 182  |
|     | <b>AccountIdentification &lt;AcctId&gt;</b>                | [0..1] | Text |             | 182  |
|     | <b>SubAccountIdentification &lt;SubAcctId&gt;</b>          | [0..1] | Text |             | 182  |
|     | <b>InstructionStatus &lt;InstrSts&gt;</b>                  | [1..1] |      |             | 182  |
| {Or | <b>ProcessingStatus &lt;PrcgSts&gt;</b>                    | [1..1] | ±    | C10         | 182  |
| Or  | <b>Rejected &lt;Rjctd&gt;</b>                              | [1..1] | ±    |             | 183  |
| Or} | <b>Pending &lt;Pdg&gt;</b>                                 | [1..1] | ±    |             | 183  |
| Or} | <b>CancellationStatus &lt;CxlSts&gt;</b>                   | [1..1] | ±    |             | 183  |

#### 8.4.4.1 InstructionStatus <InstrSts>

*Presence:* [1..\*]

*Definition:* Status of each individual meeting instruction(s) included in the instruction message identified in InstructionType/InstructionIdentification.

*Impacted by:* C21 "SubAccount1Rule"

**InstructionStatus <InstrSts>** contains the following **DetailedInstructionStatus20** elements

| Or  | MessageElement<XML Tag>                                    | Mult.  | Type | Constr. No. | Page |
|-----|--|--------|------|-------------|------|
|     | <b>SingleInstructionIdentification &lt;SnglInstrId&gt;</b> | [1..1] | Text |             | 182  |
|     | <b>AccountIdentification &lt;AcctId&gt;</b>                | [0..1] | Text |             | 182  |
|     | <b>SubAccountIdentification &lt;SubAcctId&gt;</b>          | [0..1] | Text |             | 182  |
|     | <b>InstructionStatus &lt;InstrSts&gt;</b>                  | [1..1] |      |             | 182  |
| {Or | <b>ProcessingStatus &lt;PrcgSts&gt;</b>                    | [1..1] | ±    | C10         | 182  |
| Or  | <b>Rejected &lt;Rjctd&gt;</b>                              | [1..1] | ±    |             | 183  |
| Or} | <b>Pending &lt;Pdg&gt;</b>                                 | [1..1] | ±    |             | 183  |

#### Constraints

- **SubAccount1Rule**

If SubAccountIdentification is present, then AccountIdentification must be present.

On Condition

/SubAccountIdentification is present

Following Must be True  
 /AccountIdentification Must be present

**8.4.4.1.1 SingleInstructionIdentification <SnglInstrId>**

Presence: [1..1]

Definition: Identification of the specific individual instruction from the original meeting instruction message element InstructionIdentification, for which the status is provided.

Datatype: "Max35Text" on page 391

**8.4.4.1.2 AccountIdentification <AcctId>**

Presence: [0..1]

Definition: Identification of the securities account.

Datatype: "Max35Text" on page 391

**8.4.4.1.3 SubAccountIdentification <SubAcctId>**

Presence: [0..1]

Definition: Identification of the subaccount within the safekeeping account.

Datatype: "Max35Text" on page 391

**8.4.4.1.4 InstructionStatus <InstrSts>**

Presence: [1..1]

Definition: Status of the individual meeting instruction.

**InstructionStatus <InstrSts>** contains one of the following **InstructionStatus12Choice** elements

| Or  | MessageElement<XML Tag>           | Mult.  | Type | Constr. No. | Page |
|-----|-----------------------------------|--------|------|-------------|------|
| {Or | <b>ProcessingStatus</b> <PrcgSts> | [1..1] | ±    | C10         | 182  |
| Or  | <b>Rejected</b> <Rjctd>           | [1..1] | ±    |             | 183  |
| Or} | <b>Pending</b> <Pdg>              | [1..1] | ±    |             | 183  |

**8.4.4.1.4.1 ProcessingStatus <PrcgSts>**

Presence: [1..1]

Definition: Status advising on the processing of the instruction.

Impacted by: C10 "AttendanceCardNumber1Rule"

**ProcessingStatus <PrcgSts>** contains the following elements (see "InstructionProcessingStatus5" on page 273 for details)

| Or | MessageElement<XML Tag>             | Mult.  | Type    | Constr. No. | Page |
|----|-------------------------------------|--------|---------|-------------|------|
|    | Status <Sts>                        | [1..1] | CodeSet |             | 274  |
|    | AttendanceCardNumber <AttdncCardNb> | [0..1] | Text    |             | 274  |
|    | AdditionalInformation <AddtlInf>    | [0..1] | Text    |             | 274  |

**Constraints**

- **AttendanceCardNumber1Rule**

If AttendanceCardNumber is present, then Status must be ATTC (AttendanceConfirmed).

On Condition

/AttendanceCardNumber is present

Following Must be True

/Status Must be equal to value 'AttendanceConfirmed'

**8.4.4.1.4.2 Rejected <Rjctd>**

*Presence:* [1..1]

*Definition:* Status advising on the rejection of the instruction and on the reason for the rejection.

**Rejected <Rjctd>** contains one of the following elements (see "[RejectedStatus55Choice](#)" on page 351 for details)

| Or  | MessageElement<XML Tag>                   | Mult.  | Type    | Constr. No. | Page |
|-----|---|--------|---------|-------------|------|
| {Or | NoSpecifiedReason <NoSpcfdRsn>            | [1..1] | CodeSet |             | 352  |
| Or} | Reason <Rsn>                              | [1..*] |         | C5          | 352  |
|     | ReasonCode <RsnCd>                        | [1..1] |         |             | 352  |
| {Or | Code <Cd>                                 | [1..1] | CodeSet |             | 353  |
| Or} | Proprietary <Prtry>                       | [1..1] | ±       |             | 354  |
|     | AdditionalReasonInformation <AddtlRsnInf> | [0..1] | Text    |             | 354  |

**8.4.4.1.4.3 Pending <Pdg>**

*Presence:* [1..1]

*Definition:* Status advising that the instruction is pending and advising on the reason for the pending status.

**Pending <Pdg>** contains one of the following elements (see "[PendingStatus70Choice](#)" on page 350 for details)

| Or  | MessageElement<XML Tag>                   | Mult.  | Type    | Constr. No. | Page |
|-----|---|--------|---------|-------------|------|
| {Or | NoSpecifiedReason <NoSpcfdRsn>            | [1..1] | CodeSet |             | 350  |
| Or} | Reason <Rsn>                              | [1..*] |         | C6          | 351  |
|     | ReasonCode <RsnCd>                        | [1..1] | ±       |             | 351  |
|     | AdditionalReasonInformation <AddtlRsnInf> | [0..1] | Text    |             | 351  |

**8.4.4.2 CancellationStatus <CxlSts>**

*Presence:* [1..1]

*Definition:* Status of the meeting instruction cancellation request message or of the individual meeting instruction cancellation request(s). The message is identified in InstructionType/ InstructionCancellationIdentification.

**CancellationStatus <CxISts>** contains one of the following elements (see "CancellationStatus27Choice" on page 355 for details)

| Or  | MessageElement<XML Tag>                                      | Mult.  | Type | Constr. No. | Page |
|-----|--|--------|------|-------------|------|
| {Or | GlobalCancellationStatus <GblCxlSts>                         | [1..1] | ±    |             | 356  |
| Or} | DetailedCancellationStatus <DtldCxlSts>                      | [1..*] |      | C22         | 356  |
|     | SingleInstructionCancellationIdentification <SnglInstrCxlId> | [1..1] | Text |             | 357  |
|     | AccountIdentification <AcctId>                               | [0..1] | Text |             | 357  |
|     | SubAccountIdentification <SubAcctId>                         | [0..1] | Text |             | 357  |
|     | InstructionCancellationStatus <InstrCxlSts>                  | [1..1] | ±    |             | 357  |

## 8.4.5 Position <Pos>

*Presence:* [0..1]

*Definition:* Balance status for securities that are eligible for the vote.

*Impacted by:* [C1 "AccountIdentificationOrBlockChainAddress1Rule"](#), [C2 "AccountIdentificationOrBlockChainAddress2Rule"](#), [C3 "AccountIdentificationOrBlockChainAddress3Rule"](#), [C15 "HoldingBalanceTypeRule"](#)

**Position <Pos>** contains the following **EligiblePosition17** elements

| Or  | MessageElement<XML Tag>                               | Mult.  | Type    | Constr. No. | Page |
|-----|---|--------|---------|-------------|------|
|     | <b>AccountIdentification</b> <AcctId>                 | [0..1] | Text    |             | 185  |
|     | <b>BlockChainAddressOrWallet</b> <BlckChainAdrOrWlIt> | [0..1] | Text    |             | 185  |
|     | <b>AccountOwner</b> <AcctOwnr>                        | [0..1] |         |             | 185  |
| {Or | <b>LegalPerson</b> <LglPrsn>                          | [1..1] | ±       |             | 185  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                       | [1..*] | ±       |             | 186  |
|     | <b>HoldingBalance</b> <HldgBal>                       | [1..3] |         |             | 186  |
|     | <b>Balance</b> <Bal>                                  | [1..1] | ±       |             | 187  |
|     | <b>BalanceType</b> <BalTp>                            | [1..1] | CodeSet |             | 187  |

### Constraints

- **AccountIdentificationOrBlockChainAddress1Rule**

Either AccountIdentification or BlockChainAddressOrWallet must be present but not both.

Following Must be True

    /AccountIdentification Must be present

    Or     /BlockChainAddressOrWallet Must be present

- **AccountIdentificationOrBlockChainAddress2Rule**

If BlockChainAddressOrWallet is present then AccountIdentification must be absent.

On Condition  
 /BlockchainAddressOrWallet is present  
 Following Must be True  
 /AccountIdentification Must be absent

• **AccountIdentificationOrBlockchainAddress3Rule**

If AccountIdentification is present, then BlockchainAddressOrWallet must be absent.

On Condition  
 /AccountIdentification is present  
 Following Must be True  
 /BlockchainAddressOrWallet Must be absent

• **HoldingBalanceTypeRule**

In all occurrences of HoldingBalance, one and only one BalanceType may be ELIG (Eligible).

**8.4.5.1 AccountIdentification <AcctId>**

*Presence:* [0..1]

*Definition:* Identification of the securities account.

*Datatype:* "Max35Text" on page 391

**8.4.5.2 BlockchainAddressOrWallet <BlckChainAdrOrWlIt>**

*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 390

**8.4.5.3 AccountOwner <AcctOwnr>**

*Presence:* [0..1]

*Definition:* Party that legally owns the account.

**AccountOwner <AcctOwnr>** contains one of the following **PartyIdentification231Choice** elements

| Or  | MessageElement<XML Tag>         | Mult.  | Type | Constr. No. | Page |
|-----|---------------------------------|--------|------|-------------|------|
| {Or | <b>LegalPerson</b> <LglPrsn>    | [1..1] | ±    |             | 185  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn> | [1..*] | ±    |             | 186  |

**8.4.5.3.1 LegalPerson <LglPrsn>**

*Presence:* [1..1]

*Definition:* Legal entity.

**LegalPerson <LgIPrsn>** contains the following elements (see "[PartyIdentification221](#)" on page 318 for details)

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>        | [1..1] |         |             | 318  |
|    | Name <Nm>                        | [1..1] | Text    |             | 319  |
|    | Address <Adr>                    | [0..1] |         |             | 319  |
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 320  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 320  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 320  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 320  |
|    | PostBox <PstBx>                  | [0..1] | Text    |             | 320  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 320  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 321  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 321  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 321  |
|    | EmailAddress <EmailAdr>          | [0..1] | Text    |             | 321  |
|    | Identification <Id>              | [1..1] | ±       |             | 321  |

#### 8.4.5.3.2 NaturalPerson <NtrlPrsn>

*Presence:* [1..\*]

*Definition:* Private person.

**NaturalPerson <NtrlPrsn>** contains the following elements (see "[PartyIdentification238](#)" on page 305 for details)

| Or | MessageElement<XML Tag>               | Mult.  | Type    | Constr. No. | Page |
|----|---------------------------------------|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>             | [1..1] | ±       |             | 305  |
|    | EmailAddress <EmailAdr>               | [0..1] | Text    |             | 306  |
|    | Identification <Id>                   | [1..1] | ±       |             | 306  |
|    | Nationality <Ntlty>                   | [0..1] | CodeSet | C3          | 306  |
|    | DateAndPlaceOfBirth <DtAndPlcOfBirth> | [0..1] | ±       |             | 307  |

#### 8.4.5.4 HoldingBalance <HldgBal>

*Presence:* [1..3]

*Definition:* Net position of a segregated holding of a single security within the overall position held in a securities account, for example, sub-balance per status.

**HoldingBalance <HldgBal>** contains the following **HoldingBalance13** elements

| Or | MessageElement<XML Tag>    | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------|--------|---------|-------------|------|
|    | <b>Balance</b> <Bal>       | [1..1] | ±       |             | 187  |
|    | <b>BalanceType</b> <BalTp> | [1..1] | CodeSet |             | 187  |

#### 8.4.5.4.1 Balance <Bal>

*Presence:* [1..1]

*Definition:* Total quantity of financial instrument for the referenced holding.

**Balance <Bal>** contains the following elements (see "[SignedQuantityFormat14](#)" on page 343 for details)

| Or  | MessageElement<XML Tag>        | Mult.  | Type     | Constr. No. | Page |
|-----|--------------------------------|--------|----------|-------------|------|
|     | ShortLongPosition <ShrtLngPos> | [1..1] | CodeSet  |             | 343  |
|     | Quantity <Qty>                 | [1..1] |          | C9          | 343  |
| {Or | Unit <Unit>                    | [1..1] | Quantity |             | 344  |
| Or  | FaceAmount <FaceAmt>           | [1..1] | Amount   |             | 344  |
| Or} | DigitalTokenUnit <DgtlTknUnit> | [1..1] | Quantity |             | 344  |

#### 8.4.5.4.2 BalanceType <BalTp>

*Presence:* [1..1]

*Definition:* Reason a security is not available or additional information about the financial instrument for which the balance is given, for example, unregistered, registered in nominee name.

*Datatype:* "[SecuritiesEntryType3Code](#)" on page 381

| CodeName | Name                | Definition  |
|----------|---------------------|---|
| ELIG     | Eligible            | Total number of securities eligible for this event. |
| UNBA     | UninstructedBalance | Balance of uninstructed position.                   |
| INBA     | InstructedBalance   | Balance of instructed position.                     |

## 8.4.6 ConfirmingParty <CnfrmgPty>

*Presence:* [1..1]

*Definition:* Party that confirms the receipt of the vote cast.

**ConfirmingParty <CnfrmgPty>** contains one of the following **PartyIdentification226Choice** elements

| Or  | MessageElement<XML Tag>         | Mult.  | Type | Constr. No. | Page |
|-----|---------------------------------|--------|------|-------------|------|
| {Or | <b>LegalPerson</b> <LglPrsn>    | [1..1] | ±    |             | 188  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn> | [1..1] | ±    |             | 188  |

### 8.4.6.1 LegalPerson <LglPrsn>

*Presence:* [1..1]

*Definition:* Legal entity.

**LegalPerson <LglPrsn>** contains the following elements (see "[PartyIdentification224](#)" on page 308 for details)

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>        | [1..1] |         |             | 309  |
|    | Name <Nm>                        | [1..1] | Text    |             | 310  |
|    | Address <Adr>                    | [0..1] |         |             | 310  |
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 310  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 310  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 311  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 311  |
|    | PostBox <PstBx>                  | [0..1] | Text    |             | 311  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 311  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 311  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 311  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 311  |
|    | EmailAddress <EmailAdr>          | [0..1] | Text    |             | 312  |
|    | Identification <Id>              | [0..1] | ±       |             | 312  |

### 8.4.6.2 NaturalPerson <NtrlPrsn>

*Presence:* [1..1]

*Definition:* Private person.

**NaturalPerson <NtrlPrsn>** contains the following elements (see "PartyIdentification222" on page 313 for details)

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>        | [1..1] |         |             | 314  |
|    | FirstName <FrstNm>               | [1..1] | Text    |             | 315  |
|    | Surname <SrnM>                   | [1..1] | Text    |             | 315  |
|    | Address <Adr>                    | [0..1] |         |             | 315  |
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 316  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 316  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 316  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 316  |
|    | PostBox <PstBx>                  | [0..1] | Text    |             | 317  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 317  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 317  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 317  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 317  |
|    | EmailAddress <EmailAdr>          | [0..1] | Text    |             | 317  |
|    | Identification <Id>              | [1..1] | ±       |             | 317  |

## 8.4.7 VoteCastingParty <VoteCstgPty>

*Presence:* [1..1]

*Definition:* Party that cast the voting ballot.

**VoteCastingParty <VoteCstgPty>** contains one of the following **PartyIdentification226Choice** elements

| Or  | MessageElement<XML Tag>               | Mult.  | Type | Constr. No. | Page |
|-----|---------------------------------------|--------|------|-------------|------|
| {Or | <b>LegalPerson &lt;LglPrsn&gt;</b>    | [1..1] | ±    |             | 189  |
| Or} | <b>NaturalPerson &lt;NtrlPrsn&gt;</b> | [1..1] | ±    |             | 190  |

### 8.4.7.1 LegalPerson <LglPrsn>

*Presence:* [1..1]

*Definition:* Legal entity.

**LegalPerson <LgIPrsn>** contains the following elements (see "PartyIdentification224" on page 308 for details)

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>        | [1..1] |         |             | 309  |
|    | Name <Nm>                        | [1..1] | Text    |             | 310  |
|    | Address <Adr>                    | [0..1] |         |             | 310  |
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 310  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 310  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 311  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 311  |
|    | PostBox <PstBx>                  | [0..1] | Text    |             | 311  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 311  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 311  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 311  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 311  |
|    | EmailAddress <EmailAdr>          | [0..1] | Text    |             | 312  |
|    | Identification <Id>              | [0..1] | ±       |             | 312  |

#### 8.4.7.2 NaturalPerson <NtrlPrsn>

*Presence:* [1..1]

*Definition:* Private person.

**NaturalPerson <NtrlPrsn>** contains the following elements (see "PartyIdentification222" on page 313 for details)

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>        | [1..1] |         |             | 314  |
|    | FirstName <FrstNm>               | [1..1] | Text    |             | 315  |
|    | Surname <SrnM>                   | [1..1] | Text    |             | 315  |
|    | Address <Adr>                    | [0..1] |         |             | 315  |
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 316  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 316  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 316  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 316  |
|    | PostBox <PstBx>                  | [0..1] | Text    |             | 317  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 317  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 317  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 317  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 317  |
|    | EmailAddress <EmailAdr>          | [0..1] | Text    |             | 317  |
|    | Identification <Id>              | [1..1] | ±       |             | 317  |

## 8.4.8 RightsHolder <RghtsHldr>

*Presence:* [0..250]

*Definition:* Owner of the voting rights.

**RightsHolder <RghtsHldr>** contains one of the following **PartyIdentification246Choice** elements

| Or  | MessageElement<XML Tag>         | Mult.  | Type | Constr. No. | Page |
|-----|---------------------------------|--------|------|-------------|------|
| {Or | <b>LegalPerson</b> <LglPrsn>    | [1..1] | ±    |             | 191  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn> | [1..*] | ±    |             | 192  |

### 8.4.8.1 LegalPerson <LglPrsn>

*Presence:* [1..1]

*Definition:* Legal entity.

**LegalPerson <LgIPrsn>** contains the following elements (see "[PartyIdentification269](#)" on page 295 for details)

| Or | MessageElement<XML Tag>                                      | Mult.  | Type    | Constr. No. | Page |
|----|--|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>                                    | [1..1] |         |             | 296  |
|    | Name <Nm>  | [1..1] | Text    |             | 297  |
|    | Address <Adr>  | [0..1] |         |             | 297  |
|    | AddressType <AdrTp>  | [0..1] | CodeSet |             | 298  |
|    | AddressLine <AdrLine>  | [0..5] | Text    |             | 298  |
|    | StreetName <StrtNm>  | [0..1] | Text    |             | 298  |
|    | BuildingNumber <BldgNb>                                      | [0..1] | Text    |             | 298  |
|    | PostBox <PstBx>  | [0..1] | Text    |             | 298  |
|    | PostCode <PstCd>   | [0..1] | Text    |             | 298  |
|    | TownName <TwnNm>   | [0..1] | Text    |             | 299  |
|    | CountrySubDivision <CtrySubDvsn>                             | [0..1] | Text    |             | 299  |
|    | Country <Ctry>   | [1..1] | CodeSet | C3          | 299  |
|    | EmailAddress <EmailAdr>                                      | [0..1] | Text    |             | 299  |
|    | Identification <Id>  | [0..1] | ±       |             | 299  |
|    | CompanyRegisterShareholderIdentification <CpnyRegrShrhldrid> | [0..1] | Text    |             | 299  |
|    | CountryOfIncorporation <CtryOfIncorptrn>                     | [0..1] | CodeSet | C3          | 300  |

#### 8.4.8.2 NaturalPerson <NtrlPrsn>

*Presence:* [1..\*]

*Definition:* Private person.

**NaturalPerson <NtrlPrsn>** contains the following elements (see "[PartyIdentification250](#)" on page 300 for details)

| Or | MessageElement<XML Tag>                                      | Mult.  | Type    | Constr. No. | Page |
|----|--|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>                                    | [1..1] | ±       |             | 300  |
|    | EmailAddress <EmailAdr>                                      | [0..1] | Text    |             | 301  |
|    | Identification <Id>  | [0..1] | ±       |             | 301  |
|    | Nationality <Ntlty>  | [0..1] | CodeSet | C3          | 301  |
|    | DateAndPlaceOfBirth <DtAndPlcOfBirth>                        | [0..1] | ±       |             | 302  |
|    | CompanyRegisterShareholderIdentification <CpnyRegrShrhldrid> | [0..1] | Text    |             | 302  |

## 8.4.9 SupplementaryData <SplmtryData>

*Presence:* [0..\*]

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

*Impacted by:* C23 "SupplementaryDataRule"

**SupplementaryData <SplmtryData>** contains the following elements (see "SupplementaryData1" on page 290 for details)

| Or | MessageElement<XML Tag> | Mult.  | Type              | Constr. No. | Page |
|----|-------------------------|--------|-------------------|-------------|------|
|    | PlaceAndName <PlcAndNm> | [0..1] | Text              |             | 290  |
|    | Envelope <Envlp>        | [1..1] | (External Schema) |             | 290  |

### Constraints

- **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.

# 9 **seev.007.001.10**

## **MeetingVoteExecutionConfirmationV10**

### 9.1 **MessageDefinition Functionality**

#### Scope

The MeetingVoteExecutionConfirmation message is sent by an issuer, its agent or an intermediary to another intermediary, a party holding the right to vote, a registered security holder or to a beneficial holder to confirm, to the Sender of the MeetingInstruction message, that their vote has been recorded and counted by the Issuer.

#### Usage

This message is sent after the shareholders meeting has taken place. The Sender of this message confirms the execution of the vote at the meeting.

This messages is sent if the Sender of the MeetingInstruction message has requested such a confirmation or if market practice or regulation stipulates the need for a full audit trail.

This message definition is intended for use with the Business Application Header (BAH).

#### Outline

The MeetingVoteExecutionConfirmationV10 MessageDefinition is composed of 8 MessageBuildingBlocks:

#### A. Pagination

Page number of the message and continuation indicator to indicate that the multi-part vote execution confirmation message is to continue or that the message is the last page of the multi-part vote execution confirmation.

#### B. VoteExecutionConfirmationIdentification

Unique identification of the group of vote execution confirmation messages when the vote execution confirmation is split in multiple (paginated) messages.

#### C. MeetingInstructionIdentification

Identification of the original meeting instruction message for which the vote execution confirmation is provided.

#### D. MeetingReference

Set of elements to allow the unambiguous identification of a meeting.

#### E. FinancialInstrumentIdentification

Security for which the meeting is organised.

#### F. VoteInstructions

Specifies how a party has voted for each agenda item.

#### G. VoteInstructionsConfirmationURLAddress

Address to use over the www (HTTP) service where the confirmations of the vote instructions can be found.

#### H. SupplementaryData

Additional information that cannot be captured in the structured fields and/or any other specific block.

## 9.2 Structure

| Or  | MessageElement/BuildingBlock<XML Tag>                            | Mult.    | Type      | Constr. No.        | Page |
|-----|--|----------|-----------|--------------------|------|
|     | Message root <Document> <MtgVoteExctnConf>                       | [1..1]   |           |                    |      |
|     | <b>Pagination</b> <Pgntn>  | [0..1]   | ±         |                    | 198  |
|     | <b>VoteExecutionConfirmationIdentification</b> <VoteExctnConfId> | [0..1]   | Text      |                    | 198  |
|     | <b>MeetingInstructionIdentification</b> <MtgInstrId>             | [1..1]   | Text      |                    | 199  |
|     | <b>MeetingReference</b> <MtgRef>                                 | [1..1]   |           |                    | 199  |
|     | <b>MeetingIdentification</b> <MtgId>                             | [1..1]   | Text      |                    | 199  |
|     | <b>IssuerMeetingIdentification</b> <IssrMtgId>                   | [0..1]   | Text      |                    | 199  |
|     | <b>MeetingDateAndTime</b> <MtgDtAndTm>                           | [1..1]   | DateTime  |                    | 199  |
|     | <b>Type</b> <Tp>   | [1..1]   | CodeSet   |                    | 200  |
|     | <b>Classification</b> <Clsfctn>                                  | [0..1]   | ±         |                    | 200  |
|     | <b>Location</b> <Lctn>   | [0..5]   | ±         |                    | 200  |
|     | <b>Issuer</b> <Issr>   | [0..1]   | ±         |                    | 201  |
|     | <b>FinancialInstrumentIdentification</b> <FinInstrmId>           | [1..1]   | ±         | C3, C4, C5, C6, C7 | 201  |
|     | <b>VoteInstructions</b> <VoteInstrs>                             | [0..*]   |           | C8, C9             | 202  |
|     | <b>SingleInstructionIdentification</b> <SnglInstrId>             | [1..1]   | Text      |                    | 205  |
|     | <b>AccountIdentification</b> <AcctId>                            | [0..1]   | Text      |                    | 205  |
|     | <b>AccountOwner</b> <AcctOwnr>                                   | [0..1]   |           |                    | 205  |
| {Or | <b>LegalPerson</b> <LglPrsn>                                     | [1..1]   | ±         |                    | 205  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                                  | [1..*]   | ±         |                    | 206  |
|     | <b>SubAccountIdentification</b> <SubAcctId>                      | [0..1]   | Text      |                    | 206  |
|     | <b>RightsHolder</b> <RghtsHldr>                                  | [0..250] |           |                    | 207  |
| {Or | <b>LegalPerson</b> <LglPrsn>                                     | [1..1]   | ±         |                    | 207  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                                  | [1..*]   | ±         |                    | 207  |
|     | <b>Proxy</b> <Prxy>  | [0..1]   |           |                    | 208  |
| {Or | <b>LegalPerson</b> <LglPrsn>                                     | [1..1]   | ±         |                    | 208  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                                  | [1..1]   | ±         |                    | 209  |
|     | <b>StandingInstruction</b> <StglInstr>                           | [0..1]   | Indicator |                    | 209  |
|     | <b>ModalityOfCounting</b> <ModltyOfCntg>                         | [1..1]   | ±         |                    | 210  |
|     | <b>VoteReceiptDateTime</b> <VoteRctDtTm>                         | [0..1]   | ±         |                    | 210  |

| Or | MessageElement/BuildingBlock<XML Tag>                                   | Mult.     | Type      | Constr. No. | Page |
|----|---|-----------|-----------|-------------|------|
|    | <b>VotePerResolution</b> <VotePerRsln>                                  | [0..1000] |           |             | 210  |
|    | <b>IssuerLabel</b> <IssrLbl>  | [1..1]    | Text      |             | 211  |
|    | <b>Description</b> <Desc>   | [0..*]    |           |             | 211  |
|    | <b>Language</b> <Lang>  | [1..1]    | CodeSet   |             | 212  |
|    | <b>Title</b> <Titl>   | [0..1]    | Text      |             | 212  |
|    | <b>Description</b> <Desc>   | [0..*]    | Text      |             | 212  |
|    | <b>SubStatus</b> <SubSts>   | [0..1]    | CodeSet   |             | 212  |
|    | <b>For</b> <For>  | [0..1]    | ±         |             | 212  |
|    | <b>Against</b> <Agnst>  | [0..1]    | ±         |             | 213  |
|    | <b>Abstain</b> <Abstn>  | [0..1]    | ±         |             | 213  |
|    | <b>Withhold</b> <Wthhld>  | [0..1]    | ±         |             | 213  |
|    | <b>WithManagement</b> <WthMgmt>   | [0..1]    | ±         |             | 213  |
|    | <b>AgainstManagement</b> <AgnstMgmt>                                    | [0..1]    | ±         |             | 214  |
|    | <b>Discretionary</b> <Dscrtnry>   | [0..1]    | ±         |             | 214  |
|    | <b>OneYear</b> <OneYr>  | [0..1]    | ±         |             | 214  |
|    | <b>TwoYears</b> <TwoYrs>  | [0..1]    | ±         |             | 214  |
|    | <b>ThreeYears</b> <ThreeYrs>  | [0..1]    | ±         |             | 215  |
|    | <b>NoAction</b> <NoActn>  | [0..1]    | ±         |             | 215  |
|    | <b>Blank</b> <Blnk>   | [0..1]    | ±         |             | 215  |
|    | <b>Proprietary</b> <Prtry>  | [0..4]    | ±         |             | 215  |
|    | <b>Withdrawn</b> <Wdrwn>  | [0..1]    | Indicator |             | 216  |
|    | <b>VoteInstructionsConfirmationURLAddress</b><br><VoteInstrsConfURLAdr> | [0..1]    | Text      |             | 216  |
|    | <b>SupplementaryData</b> <SplmtryData>                                  | [0..*]    | ±         | C10         | 216  |

## 9.3 Constraints

### C1 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.

### C2 Country

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

**C3 DescriptionPresenceRule**

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

**C4 DescriptionUsageRule**

Description must be used alone as the last resort.

**C5 ISINGuideline**

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

**C6 ISINPresenceRule**

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

**C7 OtherIdentificationPresenceRule**

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

**C8 RightsHolderMultiplicity1Guideline**

It is recommended that RightsHolder is only present more than once if there is joint ownership.

**C9 SubAccount1Rule**

If SubAccountIdentification is present, then AccountIdentification must be present.

**C10 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.

## 9.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 9.4.1 Pagination <Pgntn>

*Presence:* [0..1]

*Definition:* Page number of the message and continuation indicator to indicate that the multi-part vote execution confirmation message is to continue or that the message is the last page of the multi-part vote execution confirmation.

**Pagination <Pgntn>** contains the following elements (see "[Pagination1](#)" on page 288 for details)

| Or | MessageElement<XML Tag>       | Mult.  | Type      | Constr. No. | Page |
|----|-------------------------------|--------|-----------|-------------|------|
|    | PageNumber <PgNb>             | [1..1] | Text      |             | 288  |
|    | LastPageIndicator <LastPgInd> | [1..1] | Indicator |             | 289  |

### 9.4.2 VoteExecutionConfirmationIdentification <VoteExctnConfld>

*Presence:* [0..1]

*Definition:* Unique identification of the group of vote execution confirmation messages when the vote execution confirmation is split in multiple (paginated) messages.

*Datatype:* "Max35Text" on page 391

### 9.4.3 MeetingInstructionIdentification <MtgInstrId>

*Presence:* [1..1]

*Definition:* Identification of the original meeting instruction message for which the vote execution confirmation is provided.

*Datatype:* "Max35Text" on page 391

### 9.4.4 MeetingReference <MtgRef>

*Presence:* [1..1]

*Definition:* Set of elements to allow the unambiguous identification of a meeting.

**MeetingReference <MtgRef>** contains the following **MeetingReference10** elements

| Or | MessageElement<XML Tag>                        | Mult.  | Type     | Constr. No. | Page |
|----|--|--------|----------|-------------|------|
|    | <b>MeetingIdentification</b> <MtgId>           | [1..1] | Text     |             | 199  |
|    | <b>IssuerMeetingIdentification</b> <IssrMtgId> | [0..1] | Text     |             | 199  |
|    | <b>MeetingDateAndTime</b> <MtgDtAndTm>         | [1..1] | DateTime |             | 199  |
|    | <b>Type</b> <Tp>                               | [1..1] | CodeSet  |             | 200  |
|    | <b>Classification</b> <Clssfctn>               | [0..1] | ±        |             | 200  |
|    | <b>Location</b> <Lctn>                         | [0..5] | ±        |             | 200  |
|    | <b>Issuer</b> <Issr>                           | [0..1] | ±        |             | 201  |

#### 9.4.4.1 MeetingIdentification <MtgId>

*Presence:* [1..1]

*Definition:* Identification assigned to the general meeting by the party that provides the meeting notification. It must be unique to the party providing the notification.

*Datatype:* "Max35Text" on page 391

#### 9.4.4.2 IssuerMeetingIdentification <IssrMtgId>

*Presence:* [0..1]

*Definition:* Identification assigned to the meeting by the issuer. It must be unique for the issuer.

*Datatype:* "Max35Text" on page 391

#### 9.4.4.3 MeetingDateAndTime <MtgDtAndTm>

*Presence:* [1..1]

*Definition:* Date and time at which the meeting will take place.

*Datatype:* "ISODatetime" on page 386

**9.4.4.4 Type <Tp>***Presence:* [1..1]*Definition:* Type of meeting for which instructions are sent.*Datatype:* "MeetingType4Code" on page 371

| CodeName | Name              | Definition   |
|----------|-------------------|--|
| XMET     | Extraordinary     | Meeting that takes place as needed, in addition to the general meetings, is extraordinary as per the bylaws. The resolutions are related to the unusual business of the company, for example, approval of takeovers or mergers or spin-offs. These meetings are always issuer initiated. |
| GMET     | General           | Includes annual and ordinary meetings. Statutory meeting(s) usually held at least once a year. The resolutions are related to the usual business of the company, for example, approval of dividends and directors. These meetings are always issuer initiated.                           |
| MIXD     | Mixed             | Meeting which contains both ordinary and extraordinary resolutions.  |
| SPCL     | Special           | Meeting that takes place as needed that is neither ordinary nor extraordinary.   |
| BMET     | BondHolderMeeting | Physical meeting of bond holders.  |
| CMET     | CourtMeeting      | Meeting is the result of a legal proceeding.   |

**9.4.4.5 Classification <Clssfctn>***Presence:* [0..1]*Definition:* Classification type of the meeting.**Classification <Clssfctn>** contains one of the following elements (see "[MeetingTypeClassification2Choice](#)" on page 287 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd>               | [1..1] | CodeSet |             | 288  |
| Or} | Proprietary <Prtry>     | [1..1] | ±       |             | 288  |

**9.4.4.6 Location <Lctn>***Presence:* [0..5]*Definition:* Place of the company meeting for the scheduled meeting date.

**Location <Lctn>** contains the following elements (see "[PostalAddress1](#)" on page 339 for details)

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 339  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 340  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 340  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 340  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 340  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 340  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 340  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 341  |

#### 9.4.4.7 Issuer <Issr>

*Presence:* [0..1]

*Definition:* Institution that is the issuer of the security to which the meeting applies.

**Issuer <Issr>** contains one of the following elements (see "[PartyIdentification129Choice](#)" on page 323 for details)

| Or  | MessageElement<XML Tag>             | Mult.  | Type          | Constr. No. | Page |
|-----|-------------------------------------|--------|---------------|-------------|------|
| {Or | AnyBIC <AnyBIC>                     | [1..1] | IdentifierSet | C1          | 323  |
| Or  | ProprietaryIdentification <PrtryId> | [1..1] | ±             |             | 324  |
| Or  | NameAndAddress <NmAndAdr>           | [1..1] | ±             |             | 324  |
| Or} | LEI <LEI>                           | [1..1] | IdentifierSet |             | 324  |

### 9.4.5 FinancialInstrumentIdentification <FinInstrmId>

*Presence:* [1..1]

*Definition:* Security for which the meeting is organised.

*Impacted by:* C3 "DescriptionPresenceRule", C4 "DescriptionUsageRule", C5 "ISINGuideline", C6 "ISINPresenceRule", C7 "OtherIdentificationPresenceRule"

**FinancialInstrumentIdentification <FinInstrmId>** contains the following elements (see "SecurityIdentification19" on page 256 for details)

| Or | MessageElement<XML Tag>       | Mult.  | Type          | Constr. No. | Page |
|----|-------------------------------|--------|---------------|-------------|------|
|    | ISIN <ISIN>                   | [0..1] | IdentifierSet |             | 257  |
|    | OtherIdentification <OthrlId> | [0..*] |               |             | 257  |
|    | Identification <Id>           | [1..1] | Text          |             | 258  |
|    | Suffix <Sfx>                  | [0..1] | Text          |             | 258  |
|    | Type <Tp>                     | [1..1] | ±             |             | 258  |
|    | Description <Desc>            | [0..1] | Text          |             | 258  |

### Constraints

- **DescriptionPresenceRule**

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

```
On Condition
  /Description is absent
Following Must be True
  /ISIN Must be present
  Or   /OtherIdentification[*] Must be present
```

- **DescriptionUsageRule**

Description must be used alone as the last resort.

- **ISINGuideline**

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

- **ISINPresenceRule**

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

```
On Condition
  /ISIN is absent
Following Must be True
  /OtherIdentification[*] Must be present
  Or   /Description Must be present
```

- **OtherIdentificationPresenceRule**

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

```
On Condition
  /OtherIdentification[*] is absent
Following Must be True
  /ISIN Must be present
  Or   /Description Must be present
```

## 9.4.6 VoteInstructions <VoteInstrs>

*Presence:* [0..\*]

*Definition:* Specifies how a party has voted for each agenda item.

*Impacted by:* C8 "RightsHolderMultiplicity1Guideline", C9 "SubAccount1Rule"

**VoteInstructions <VoteInstrs>** contains the following **DetailedInstructionStatus19** elements

| Or  | MessageElement<XML Tag>                              | Mult.     | Type      | Constr. No. | Page |
|-----|--|-----------|-----------|-------------|------|
|     | <b>SingleInstructionIdentification</b> <SnglInstrId> | [1..1]    | Text      |             | 205  |
|     | <b>AccountIdentification</b> <AcctId>                | [0..1]    | Text      |             | 205  |
|     | <b>AccountOwner</b> <AcctOwnr>                       | [0..1]    |           |             | 205  |
| {Or | <b>LegalPerson</b> <LglPrsn>                         | [1..1]    | ±         |             | 205  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                      | [1..*]    | ±         |             | 206  |
|     | <b>SubAccountIdentification</b> <SubAcctId>          | [0..1]    | Text      |             | 206  |
|     | <b>RightsHolder</b> <RghtsHldr>                      | [0..250]  |           |             | 207  |
| {Or | <b>LegalPerson</b> <LglPrsn>                         | [1..1]    | ±         |             | 207  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                      | [1..*]    | ±         |             | 207  |
|     | <b>Proxy</b> <Prxy>                                  | [0..1]    |           |             | 208  |
| {Or | <b>LegalPerson</b> <LglPrsn>                         | [1..1]    | ±         |             | 208  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                      | [1..1]    | ±         |             | 209  |
|     | <b>StandingInstruction</b> <StgInstr>                | [0..1]    | Indicator |             | 209  |
|     | <b>ModalityOfCounting</b> <ModltyOfCntg>             | [1..1]    | ±         |             | 210  |
|     | <b>VoteReceiptDateTime</b> <VoteRctDtTm>             | [0..1]    | ±         |             | 210  |
|     | <b>VotePerResolution</b> <VotePerRsltn>              | [0..1000] |           |             | 210  |
|     | <b>IssuerLabel</b> <IssrLbl>                         | [1..1]    | Text      |             | 211  |
|     | <b>Description</b> <Desc>                            | [0..*]    |           |             | 211  |
|     | <b>Language</b> <Lang>                               | [1..1]    | CodeSet   |             | 212  |
|     | <b>Title</b> <Titl>                                  | [0..1]    | Text      |             | 212  |
|     | <b>Description</b> <Desc>                            | [0..*]    | Text      |             | 212  |
|     | <b>SubStatus</b> <SubSts>                            | [0..1]    | CodeSet   |             | 212  |
|     | <b>For</b> <For>                                     | [0..1]    | ±         |             | 212  |
|     | <b>Against</b> <Agnst>                               | [0..1]    | ±         |             | 213  |
|     | <b>Abstain</b> <Abstn>                               | [0..1]    | ±         |             | 213  |
|     | <b>Withhold</b> <Wthhld>                             | [0..1]    | ±         |             | 213  |
|     | <b>WithManagement</b> <WthMgmt>                      | [0..1]    | ±         |             | 213  |
|     | <b>AgainstManagement</b> <AgnstMgmt>                 | [0..1]    | ±         |             | 214  |
|     | <b>Discretionary</b> <Dscrtnry>                      | [0..1]    | ±         |             | 214  |
|     | <b>OneYear</b> <OneYr>                               | [0..1]    | ±         |             | 214  |
|     | <b>TwoYears</b> <TwoYrs>                             | [0..1]    | ±         |             | 214  |

| Or | MessageElement<XML Tag>      | Mult.  | Type      | Constr. No. | Page |
|----|------------------------------|--------|-----------|-------------|------|
|    | <b>ThreeYears</b> <ThreeYrs> | [0..1] | ±         |             | 215  |
|    | <b>NoAction</b> <NoActn>     | [0..1] | ±         |             | 215  |
|    | <b>Blank</b> <Blnk>          | [0..1] | ±         |             | 215  |
|    | <b>Proprietary</b> <Prtry>   | [0..4] | ±         |             | 215  |
|    | <b>Withdrawn</b> <Wdrwn>     | [0..1] | Indicator |             | 216  |

**Constraints**

- **RightsHolderMultiplicity1Guideline**

It is recommended that RightsHolder is only present more than once if there is joint ownership.

- **SubAccount1Rule**

If SubAccountIdentification is present, then AccountIdentification must be present.

```
On Condition
  /SubAccountIdentification is present
Following Must be True
  /AccountIdentification Must be present
```

**9.4.6.1 SingleInstructionIdentification <SnglInstrld>**

*Presence:* [1..1]

*Definition:* Identification of the specific individual instruction from the original meeting instruction message for which the confirmation is provided.

*Datatype:* "Max35Text" on page 391

**9.4.6.2 AccountIdentification <Acctld>**

*Presence:* [0..1]

*Definition:* Identification of the safekeeping account.

*Datatype:* "Max35Text" on page 391

**9.4.6.3 AccountOwner <AcctOwnr>**

*Presence:* [0..1]

*Definition:* Party that legally owns the account.

**AccountOwner <AcctOwnr>** contains one of the following **PartyIdentification231Choice** elements

| Or  | MessageElement<XML Tag>         | Mult.  | Type | Constr. No. | Page |
|-----|---------------------------------|--------|------|-------------|------|
| {Or | <b>LegalPerson</b> <LglPrsn>    | [1..1] | ±    |             | 205  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn> | [1..*] | ±    |             | 206  |

**9.4.6.3.1 LegalPerson <LglPrsn>**

*Presence:* [1..1]

*Definition:* Legal entity.

**LegalPerson <LgIPrsn>** contains the following elements (see "[PartyIdentification221](#)" on page 318 for details)

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>        | [1..1] |         |             | 318  |
|    | Name <Nm>                        | [1..1] | Text    |             | 319  |
|    | Address <Adr>                    | [0..1] |         |             | 319  |
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 320  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 320  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 320  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 320  |
|    | PostBox <PstBx>                  | [0..1] | Text    |             | 320  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 320  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 321  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 321  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 321  |
|    | EmailAddress <EmailAdr>          | [0..1] | Text    |             | 321  |
|    | Identification <Id>              | [1..1] | ±       |             | 321  |

#### 9.4.6.3.2 NaturalPerson <NtrlPrsn>

*Presence:* [1..\*]

*Definition:* Private person.

**NaturalPerson <NtrlPrsn>** contains the following elements (see "[PartyIdentification238](#)" on page 305 for details)

| Or | MessageElement<XML Tag>               | Mult.  | Type    | Constr. No. | Page |
|----|---------------------------------------|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>             | [1..1] | ±       |             | 305  |
|    | EmailAddress <EmailAdr>               | [0..1] | Text    |             | 306  |
|    | Identification <Id>                   | [1..1] | ±       |             | 306  |
|    | Nationality <Ntlty>                   | [0..1] | CodeSet | C3          | 306  |
|    | DateAndPlaceOfBirth <DtAndPlcOfBirth> | [0..1] | ±       |             | 307  |

#### 9.4.6.4 SubAccountIdentification <SubAcctId>

*Presence:* [0..1]

*Definition:* Identification of the subaccount within the safekeeping account.

*Datatype:* "[Max35Text](#)" on page 391

### 9.4.6.5 RightsHolder <RghtsHldr>

*Presence:* [0..250]

*Definition:* Owner of the voting rights.

**RightsHolder <RghtsHldr>** contains one of the following **PartyIdentification246Choice** elements

| Or  | MessageElement<XML Tag>         | Mult.  | Type | Constr. No. | Page |
|-----|---------------------------------|--------|------|-------------|------|
| {Or | <b>LegalPerson</b> <LglPrsn>    | [1..1] | ±    |             | 207  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn> | [1..*] | ±    |             | 207  |

#### 9.4.6.5.1 LegalPerson <LglPrsn>

*Presence:* [1..1]

*Definition:* Legal entity.

**LegalPerson <LglPrsn>** contains the following elements (see "[PartyIdentification269](#)" on page 295 for details)

| Or | MessageElement<XML Tag>                                     | Mult.  | Type    | Constr. No. | Page |
|----|---|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>                                   | [1..1] |         |             | 296  |
|    | Name <Nm>   | [1..1] | Text    |             | 297  |
|    | Address <Adr>   | [0..1] |         |             | 297  |
|    | AddressType <AdrTp>   | [0..1] | CodeSet |             | 298  |
|    | AddressLine <AdrLine>                                       | [0..5] | Text    |             | 298  |
|    | StreetName <StrtNm>   | [0..1] | Text    |             | 298  |
|    | BuildingNumber <BldgNb>                                     | [0..1] | Text    |             | 298  |
|    | PostBox <PstBx>   | [0..1] | Text    |             | 298  |
|    | PostCode <PstCd>  | [0..1] | Text    |             | 298  |
|    | TownName <TwnNm>  | [0..1] | Text    |             | 299  |
|    | CountrySubDivision <CtrySubDvsn>                            | [0..1] | Text    |             | 299  |
|    | Country <Ctry>  | [1..1] | CodeSet | C3          | 299  |
|    | EmailAddress <EmailAdr>                                     | [0..1] | Text    |             | 299  |
|    | Identification <Id>   | [0..1] | ±       |             | 299  |
|    | CompanyRegisterShareholderIdentification <CpnyRegrShrhdrid> | [0..1] | Text    |             | 299  |
|    | CountryOfIncorporation <CtryOfIncorprtn>                    | [0..1] | CodeSet | C3          | 300  |

#### 9.4.6.5.2 NaturalPerson <NtrlPrsn>

*Presence:* [1..\*]

*Definition:* Private person.

**NaturalPerson <NtrlPrsn>** contains the following elements (see "PartyIdentification250" on page 300 for details)

| Or | MessageElement<XML Tag>                                      | Mult.  | Type    | Constr. No. | Page |
|----|--|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>                                    | [1..1] | ±       |             | 300  |
|    | EmailAddress <EmailAdr>                                      | [0..1] | Text    |             | 301  |
|    | Identification <Id>  | [0..1] | ±       |             | 301  |
|    | Nationality <Ntlty>  | [0..1] | CodeSet | C3          | 301  |
|    | DateAndPlaceOfBirth <DtAndPlcOfBirth>                        | [0..1] | ±       |             | 302  |
|    | CompanyRegisterShareholderIdentification <CpnyRegrShrhldrid> | [0..1] | Text    |             | 302  |

#### 9.4.6.6 Proxy <Prxy>

*Presence:* [0..1]

*Definition:* Identification of the person appointed by the security holder as the proxy.

**Proxy <Prxy>** contains one of the following **PartyIdentification232Choice** elements

| Or  | MessageElement<XML Tag>         | Mult.  | Type | Constr. No. | Page |
|-----|---------------------------------|--------|------|-------------|------|
| {Or | <b>LegalPerson</b> <LglPrsn>    | [1..1] | ±    |             | 208  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn> | [1..1] | ±    |             | 209  |

##### 9.4.6.6.1 LegalPerson <LglPrsn>

*Presence:* [1..1]

*Definition:* Legal entity.

**LegalPerson <LgIPrsn>** contains the following elements (see "[PartyIdentification221](#)" on page 318 for details)

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>        | [1..1] |         |             | 318  |
|    | Name <Nm>                        | [1..1] | Text    |             | 319  |
|    | Address <Adr>                    | [0..1] |         |             | 319  |
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 320  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 320  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 320  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 320  |
|    | PostBox <PstBx>                  | [0..1] | Text    |             | 320  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 320  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 321  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 321  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 321  |
|    | EmailAddress <EmailAdr>          | [0..1] | Text    |             | 321  |
|    | Identification <Id>              | [1..1] | ±       |             | 321  |

#### 9.4.6.6.2 NaturalPerson <NtrlPrsn>

*Presence:* [1..1]

*Definition:* Private person.

**NaturalPerson <NtrlPrsn>** contains the following elements (see "[PartyIdentification238](#)" on page 305 for details)

| Or | MessageElement<XML Tag>               | Mult.  | Type    | Constr. No. | Page |
|----|---------------------------------------|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>             | [1..1] | ±       |             | 305  |
|    | EmailAddress <EmailAdr>               | [0..1] | Text    |             | 306  |
|    | Identification <Id>                   | [1..1] | ±       |             | 306  |
|    | Nationality <Ntlty>                   | [0..1] | CodeSet | C3          | 306  |
|    | DateAndPlaceOfBirth <DtAndPlcOfBirth> | [0..1] | ±       |             | 307  |

#### 9.4.6.7 StandingInstruction <StgInstr>

*Presence:* [0..1]

*Definition:* Indicates whether standing instructions have been applied or not.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 388):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 9.4.6.8 ModalityOfCounting <ModltyOfCntg>

*Presence:* [1..1]

*Definition:* Modality through which the votes that have been recorded and counted were received by the issuer, including whether this is ahead of the meeting or at the meeting.

**ModalityOfCounting <ModltyOfCntg>** contains one of the following elements (see "[ModalityOfCounting1Choice](#)" on page 283 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd>               | [1..1] | CodeSet |             | 283  |
| Or} | Proprietary <Prtry>     | [1..1] | ±       |             | 283  |

#### 9.4.6.9 VoteReceiptDateTime <VoteRctDtTm>

*Presence:* [0..1]

*Definition:* Date or date and time at which the votes that have been recorded and counted were received.

**VoteReceiptDateTime <VoteRctDtTm>** contains one of the following elements (see "[DateAndDateTime1Choice](#)" on page 243 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type     | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Date <Dt>               | [1..1] | Date     |             | 243  |
| Or} | DateTime <DtTm>         | [1..1] | DateTime |             | 244  |

#### 9.4.6.10 VotePerResolution <VotePerRsltn>

*Presence:* [0..1000]

*Definition:* Details of the vote.

**VotePerResolution <VotePerRsIttn>** contains the following **Vote19** elements

| Or | MessageElement<XML Tag>              | Mult.  | Type      | Constr. No. | Page |
|----|--------------------------------------|--------|-----------|-------------|------|
|    | <b>IssuerLabel</b> <IssrLbl>         | [1..1] | Text      |             | 211  |
|    | <b>Description</b> <Desc>            | [0..*] |           |             | 211  |
|    | <b>Language</b> <Lang>               | [1..1] | CodeSet   |             | 212  |
|    | <b>Title</b> <Titl>                  | [0..1] | Text      |             | 212  |
|    | <b>Description</b> <Desc>            | [0..*] | Text      |             | 212  |
|    | <b>SubStatus</b> <SubSts>            | [0..1] | CodeSet   |             | 212  |
|    | <b>For</b> <For>                     | [0..1] | ±         |             | 212  |
|    | <b>Against</b> <Agnst>               | [0..1] | ±         |             | 213  |
|    | <b>Abstain</b> <Abstn>               | [0..1] | ±         |             | 213  |
|    | <b>Withhold</b> <Wthhld>             | [0..1] | ±         |             | 213  |
|    | <b>WithManagement</b> <WthMgmt>      | [0..1] | ±         |             | 213  |
|    | <b>AgainstManagement</b> <AgnstMgmt> | [0..1] | ±         |             | 214  |
|    | <b>Discretionary</b> <Dscrtnry>      | [0..1] | ±         |             | 214  |
|    | <b>OneYear</b> <OneYr>               | [0..1] | ±         |             | 214  |
|    | <b>TwoYears</b> <TwoYrs>             | [0..1] | ±         |             | 214  |
|    | <b>ThreeYears</b> <ThreeYrs>         | [0..1] | ±         |             | 215  |
|    | <b>NoAction</b> <NoActn>             | [0..1] | ±         |             | 215  |
|    | <b>Blank</b> <Blnk>                  | [0..1] | ±         |             | 215  |
|    | <b>Proprietary</b> <Prtry>           | [0..4] | ±         |             | 215  |
|    | <b>Withdrawn</b> <Wdrwn>             | [0..1] | Indicator |             | 216  |

#### 9.4.6.10.1 IssuerLabel <IssrLbl>

*Presence:* [1..1]

*Definition:* Number of the resolution as specified by the issuer or its agent.

*Datatype:* "Max35Text" on page 391

#### 9.4.6.10.2 Description <Desc>

*Presence:* [0..\*]

*Definition:* Language, title and textual description of an agenda resolution.

**Description <Desc>** contains the following **ItemDescription2** elements

| Or | MessageElement<XML Tag>   | Mult.  | Type    | Constr. No. | Page |
|----|---------------------------|--------|---------|-------------|------|
|    | <b>Language</b> <Lang>    | [1..1] | CodeSet |             | 212  |
|    | <b>Title</b> <Titl>       | [0..1] | Text    |             | 212  |
|    | <b>Description</b> <Desc> | [0..*] | Text    |             | 212  |

**9.4.6.10.2.1 Language <Lang>**

*Presence:* [1..1]

*Definition:* Language used to provide a description of the item and specified in the ISO 639-1 language code standard.

*Datatype:* "ISO2ALanguageCode" on page 371

**9.4.6.10.2.2 Title <Titl>**

*Presence:* [0..1]

*Definition:* Abbreviated description of the item.

*Datatype:* "Max1025Text" on page 390

**9.4.6.10.2.3 Description <Desc>**

*Presence:* [0..\*]

*Definition:* Free textual description of the item in the specified language.

*Datatype:* "Max8000Text" on page 393

**9.4.6.10.3 SubStatus <SubSts>**

*Presence:* [0..1]

*Definition:* Specifies whether the resolution is a new or an amended resolution.

*Datatype:* "ResolutionSubStatus1Code" on page 379

| CodeName | Name              | Definition                                   |
|----------|-------------------|--|
| AMDR     | AmendedResolution | Resolution voted at the meeting was amended. |
| NEWR     | NewResolution     | Resolution voted at the meeting is new.      |

**9.4.6.10.4 For <For>**

*Presence:* [0..1]

*Definition:* Number of votes in favour of one resolution.

**For <For>** contains one of the following elements (see "FinancialInstrumentQuantity18Choice" on page 348 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type     | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Unit <Unit>             | [1..1] | Quantity |             | 349  |
| Or} | FaceAmount <FaceAmt>    | [1..1] | Amount   |             | 349  |

**9.4.6.10.5 Against <Agnst>***Presence:* [0..1]*Definition:* Number of votes against one resolution.**Against <Agnst>** contains one of the following elements (see "[FinancialInstrumentQuantity18Choice](#)" on page 348 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type     | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Unit <Unit>             | [1..1] | Quantity |             | 349  |
| Or} | FaceAmount <FaceAmt>    | [1..1] | Amount   |             | 349  |

**9.4.6.10.6 Abstain <Abstn>***Presence:* [0..1]*Definition:* Number of votes expressed as abstain for one resolution.**Abstain <Abstn>** contains one of the following elements (see "[FinancialInstrumentQuantity18Choice](#)" on page 348 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type     | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Unit <Unit>             | [1..1] | Quantity |             | 349  |
| Or} | FaceAmount <FaceAmt>    | [1..1] | Amount   |             | 349  |

**9.4.6.10.7 Withhold <Wthhld>***Presence:* [0..1]*Definition:* Number of votes withheld for one resolution.**Withhold <Wthhld>** contains one of the following elements (see "[FinancialInstrumentQuantity18Choice](#)" on page 348 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type     | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Unit <Unit>             | [1..1] | Quantity |             | 349  |
| Or} | FaceAmount <FaceAmt>    | [1..1] | Amount   |             | 349  |

**9.4.6.10.8 WithManagement <WthMgmt>***Presence:* [0..1]*Definition:* Number of votes in line with the votes of the management.**WithManagement <WthMgmt>** contains one of the following elements (see "[FinancialInstrumentQuantity18Choice](#)" on page 348 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type     | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Unit <Unit>             | [1..1] | Quantity |             | 349  |
| Or} | FaceAmount <FaceAmt>    | [1..1] | Amount   |             | 349  |

**9.4.6.10.9 AgainstManagement <AgnstMgmt>***Presence:* [0..1]*Definition:* Number of votes against the voting recommendation of the management.**AgainstManagement <AgnstMgmt>** contains one of the following elements (see "[FinancialInstrumentQuantity18Choice](#)" on page 348 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type     | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Unit <Unit>             | [1..1] | Quantity |             | 349  |
| Or} | FaceAmount <FaceAmt>    | [1..1] | Amount   |             | 349  |

**9.4.6.10.10 Discretionary <Dscrtrny>***Presence:* [0..1]*Definition:* Number of votes for which decision is left to the party that will exercise the voting right.**Discretionary <Dscrtrny>** contains one of the following elements (see "[FinancialInstrumentQuantity18Choice](#)" on page 348 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type     | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Unit <Unit>             | [1..1] | Quantity |             | 349  |
| Or} | FaceAmount <FaceAmt>    | [1..1] | Amount   |             | 349  |

**9.4.6.10.11 OneYear <OneYr>***Presence:* [0..1]*Definition:* Number of votes in favour for one year for "say on pay" type of resolution.**OneYear <OneYr>** contains one of the following elements (see "[FinancialInstrumentQuantity18Choice](#)" on page 348 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type     | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Unit <Unit>             | [1..1] | Quantity |             | 349  |
| Or} | FaceAmount <FaceAmt>    | [1..1] | Amount   |             | 349  |

**9.4.6.10.12 TwoYears <TwoYrs>***Presence:* [0..1]*Definition:* Number of votes in favour of two years for "say on pay" type of resolution.**TwoYears <TwoYrs>** contains one of the following elements (see "[FinancialInstrumentQuantity18Choice](#)" on page 348 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type     | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Unit <Unit>             | [1..1] | Quantity |             | 349  |
| Or} | FaceAmount <FaceAmt>    | [1..1] | Amount   |             | 349  |

**9.4.6.10.13 ThreeYears <ThreeYrs>***Presence:* [0..1]*Definition:* Number of votes in favour of three years for "say on pay" type of resolution.**ThreeYears <ThreeYrs>** contains one of the following elements (see "[FinancialInstrumentQuantity18Choice](#)" on page 348 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type     | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Unit <Unit>             | [1..1] | Quantity |             | 349  |
| Or} | FaceAmount <FaceAmt>    | [1..1] | Amount   |             | 349  |

**9.4.6.10.14 NoAction <NoActn>***Presence:* [0..1]*Definition:* Number of votes for which no action has been taken.**NoAction <NoActn>** contains one of the following elements (see "[FinancialInstrumentQuantity18Choice](#)" on page 348 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type     | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Unit <Unit>             | [1..1] | Quantity |             | 349  |
| Or} | FaceAmount <FaceAmt>    | [1..1] | Amount   |             | 349  |

**9.4.6.10.15 Blank <Blnk>***Presence:* [0..1]*Definition:* Vote is cast as empty but the vote is counted.**Blank <Blnk>** contains one of the following elements (see "[FinancialInstrumentQuantity18Choice](#)" on page 348 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type     | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Unit <Unit>             | [1..1] | Quantity |             | 349  |
| Or} | FaceAmount <FaceAmt>    | [1..1] | Amount   |             | 349  |

**9.4.6.10.16 Proprietary <Prtry>***Presence:* [0..4]*Definition:* Other type of vote expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "[ProprietaryVote2](#)" on page 278 for details)

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | Code <Cd>               | [1..1] | ±    |             | 278  |
|    | Quantity <Qty>          | [1..1] | ±    |             | 278  |

**9.4.6.10.17 Withdrawn <Wdrwn>**

*Presence:* [0..1]

*Definition:* Indicates the resolution was withdrawn at the meeting.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 388):

- *Meaning When True:* Yes
- *Meaning When False:* No

**9.4.7 VoteInstructionsConfirmationURLAddress  
<VoteInstrsConfURLAdr>**

*Presence:* [0..1]

*Definition:* Address to use over the www (HTTP) service where the confirmations of the vote instructions can be found.

*Datatype:* "[Max2048Text](#)" on page 391

**9.4.8 SupplementaryData <SplmtryData>**

*Presence:* [0..\*]

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

*Impacted by:* [C10 "SupplementaryDataRule"](#)

**SupplementaryData <SplmtryData>** contains the following elements (see "[SupplementaryData1](#)" on page 290 for details)

| Or | MessageElement<XML Tag> | Mult.  | Type              | Constr. No. | Page |
|----|-------------------------|--------|-------------------|-------------|------|
|    | PlaceAndName <PlcAndNm> | [0..1] | Text              |             | 290  |
|    | Envelope <Envlp>        | [1..1] | (External Schema) |             | 290  |

**Constraints**

- **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.

# 10 **seev.008.001.09**

## **MeetingResultDisseminationV09**

### 10.1 **MessageDefinition Functionality**

#### Scope

The MeetingResultDissemination message is sent by an issuer, its agent or an intermediary to another intermediary, a party holding the right to vote, a registered security holder or to a beneficial holder to provide information on the voting results of a shareholders meeting.

#### Usage

The MeetingResultDissemination message is used to provide the vote results per resolution. It may also provide information on the level of participation.

This message is also used to notify an update or amendment to a previously sent MeetingResultDissemination message.

This message definition is intended for use with the Business Application Header (BAH).

#### Outline

The MeetingResultDisseminationV09 MessageDefinition is composed of 10 MessageBuildingBlocks:

##### A. Pagination

Page number of the message and continuation indicator to indicate that the multi-part result dissemination message is to continue or that the message is the last page of the multi-part result dissemination.

##### B. MeetingResultDisseminationIdentification

Unique identification of the group of result dissemination messages when the result dissemination is split in multiple (paginated) messages.

##### C. MeetingResultsDisseminationType

Type of dissemination report, that is, whether the report is new or a replacement.

##### D. PreviousMeetingResultsDisseminationIdentification

Identification of the previously sent meeting result dissemination message.

##### E. MeetingReference

Set of elements to allow the unambiguous identification of a meeting.

##### F. Security

Securities for which the meeting is organised.

##### G. VoteResult

Results per resolution.

##### H. Participation

Information about the participation to the voting process.

I. AdditionalInformation

Information on where additional information can be received.

J. SupplementaryData

Additional information that cannot be captured in the structured fields and/or any other specific block.

## 10.2 Structure

| Or  | MessageElement/BuildingBlock<XML Tag>   | Mult.     | Type     | Constr. No.                    | Page |
|-----|---|-----------|----------|--------------------------------|------|
|     | Message root <Document> <MtgRsltDssmntn>  | [1..1]    |          | C13                            |      |
|     | <b>Pagination</b> <Pgntn>   | [0..1]    | ±        |                                | 222  |
|     | <b>MeetingResultDisseminationIdentification</b><br><MtgRsltDssmntnId>               | [0..1]    | Text     |                                | 222  |
|     | <b>MeetingResultsDisseminationType</b> <MtgRsltsDssmntnTp>                          | [1..1]    | CodeSet  |                                | 222  |
|     | <b>PreviousMeetingResultsDisseminationIdentification</b><br><PrvsMtgRsltsDssmntnId> | [0..1]    | Text     |                                | 223  |
|     | <b>MeetingReference</b> <MtgRef>  | [1..1]    |          |                                | 223  |
|     | <b>MeetingIdentification</b> <MtgId>  | [1..1]    | Text     |                                | 223  |
|     | <b>IssuerMeetingIdentification</b> <IssrMtgId>                                      | [0..1]    | Text     |                                | 223  |
|     | <b>MeetingDateAndTime</b> <MtgDtAndTm>  | [1..1]    | DateTime |                                | 223  |
|     | <b>Type</b> <Tp>  | [1..1]    | CodeSet  |                                | 223  |
|     | <b>Classification</b> <Clssfctn>  | [0..1]    | ±        |                                | 224  |
|     | <b>Location</b> <Lctn>  | [0..5]    | ±        |                                | 224  |
|     | <b>Issuer</b> <Issr>  | [0..1]    | ±        |                                | 225  |
|     | <b>Security</b> <Scty>  | [1..200]  |          |                                | 225  |
|     | <b>FinancialInstrumentIdentification</b> <FinInstrmId>                              | [1..1]    | ±        | C6, C7,<br>C10,<br>C11,<br>C12 | 226  |
|     | <b>Position</b> <Pos>   | [0..1000] |          | C1, C2,<br>C3, C9,<br>C14      | 227  |
|     | <b>AccountIdentification</b> <AcctId>   | [0..1]    | Text     |                                | 229  |
|     | <b>BlockchainAddressOrWallet</b> <BlckChainAdrOrWlIt>                               | [0..1]    | Text     |                                | 229  |
|     | <b>AccountOwner</b> <AcctOwnr>  | [0..1]    |          |                                | 229  |
| {Or | <b>LegalPerson</b> <LglPrsn>  | [1..1]    | ±        |                                | 229  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>   | [1..*]    | ±        |                                | 230  |
|     | <b>HoldingBalance</b> <HldgBal>   | [0..15]   |          |                                | 230  |
|     | <b>Balance</b> <Bal>  | [1..1]    | ±        |                                | 231  |
|     | <b>BalanceType</b> <BalTp>  | [1..1]    | CodeSet  |                                | 231  |
|     | <b>SafekeepingPlace</b> <SfkgPlc>   | [0..1]    | ±        |                                | 232  |
|     | <b>Date</b> <Dt>  | [0..1]    | Date     |                                | 233  |
|     | <b>RightsHolder</b> <RghtsHldr>   | [0..250]  |          |                                | 233  |

| Or  | MessageElement/BuildingBlock<XML Tag>                               | Mult.     | Type     | Constr. No. | Page |
|-----|---|-----------|----------|-------------|------|
| {Or | <b>LegalPerson</b> <LglPrsn>  | [1..1]    | ±        |             | 233  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                                     | [1..*]    | ±        |             | 234  |
|     | <b>VoteResult</b> <VoteRslt>  | [1..1000] |          |             | 235  |
|     | <b>IssuerLabel</b> <IssrLbl>  | [1..1]    | Text     |             | 235  |
|     | <b>Description</b> <Desc>   | [0..*]    |          |             | 235  |
|     | <b>Language</b> <Lang>  | [1..1]    | CodeSet  |             | 236  |
|     | <b>Title</b> <Titl>   | [0..1]    | Text     |             | 236  |
|     | <b>Description</b> <Desc>   | [0..*]    | Text     |             | 236  |
|     | <b>ResolutionStatus</b> <RsltnSts>                                  | [1..1]    | CodeSet  |             | 236  |
|     | <b>SubStatus</b> <SubSts>   | [0..1]    | CodeSet  |             | 236  |
|     | <b>For</b> <For>  | [0..1]    | ±        |             | 237  |
|     | <b>Against</b> <Agnst>  | [0..1]    | ±        |             | 237  |
|     | <b>Abstain</b> <Abstn>  | [0..1]    | ±        |             | 237  |
|     | <b>Withhold</b> <Wthhld>  | [0..1]    | ±        |             | 237  |
|     | <b>WithManagement</b> <WthMgmt>                                     | [0..1]    | ±        |             | 238  |
|     | <b>AgainstManagement</b> <AgnstMgmt>                                | [0..1]    | ±        |             | 238  |
|     | <b>Discretionary</b> <Dscrtnry>                                     | [0..1]    | ±        |             | 238  |
|     | <b>OneYear</b> <OneYr>  | [0..1]    | ±        |             | 238  |
|     | <b>TwoYears</b> <TwoYrs>  | [0..1]    | ±        |             | 239  |
|     | <b>ThreeYears</b> <ThreeYrs>  | [0..1]    | ±        |             | 239  |
|     | <b>NoAction</b> <NoActn>  | [0..1]    | ±        |             | 239  |
|     | <b>Blank</b> <Blnk>   | [0..1]    | ±        |             | 239  |
|     | <b>Proprietary</b> <Prtry>  | [0..4]    | ±        |             | 240  |
|     | <b>Participation</b> <Prtcpn>                                       | [0..1]    |          |             | 240  |
|     | <b>TotalNumberOfVotingRights</b> <TtlNbOfVtngRghts>                 | [0..1]    | Quantity |             | 240  |
|     | <b>PercentageOfVotingRights</b> <PctgOfVtngRghts>                   | [0..1]    | Rate     |             | 240  |
|     | <b>TotalNumberOfSecuritiesOutstanding</b><br><TtlNbOfSctiesOutsdng> | [0..1]    | ±        |             | 241  |
|     | <b>CalculationDate</b> <ClctnDt>                                    | [0..1]    | Date     |             | 241  |
|     | <b>AdditionalInformation</b> <AddtlInf>                             | [0..1]    | ±        |             | 241  |
|     | <b>SupplementaryData</b> <SplmtryData>                              | [0..*]    | ±        | C15         | 241  |

## 10.3 Constraints

### C1 AccountIdentificationOrBlockChainAddress1Rule

Either AccountIdentification or BlockChainAddressOrWallet must be present but not both.

### C2 AccountIdentificationOrBlockChainAddress2Rule

If BlockChainAddressOrWallet is present then AccountIdentification must be absent.

### C3 AccountIdentificationOrBlockChainAddress3Rule

If AccountIdentification is present, then BlockChainAddressOrWallet must be absent.

### C4 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.

### C5 Country

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

### C6 DescriptionPresenceRule

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

### C7 DescriptionUsageRule

Description must be used alone as the last resort.

### C8 DigitalTokenUnitUsageRule

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

### C9 HoldingBalanceTypeRule

In all occurrences of HoldingBalance, one and only one BalanceType may be ELIG (Eligible).

### C10 ISINGuideline

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

### C11 ISINPresenceRule

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

### C12 OtherIdentificationPresenceRule

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

### C13 PreviousMeetingResultsDisseminationIdentificationRule

If MeetingResultsDisseminationType is REPL (Replacement), then PreviousMeetingResultsDisseminationIdentification must be present.

On Condition

/MeetingResultsDisseminationType is equal to value 'Replacement'

Following Must be True

/PreviousMeetingResultsDisseminationIdentification Must be present

*This constraint is defined at the MessageDefinition level.*

**C14 RightsHolderMultiplicity1Guideline**

It is recommended that RightsHolder is only present more than once if there is joint ownership.

**C15 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.

## 10.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 10.4.1 Pagination <Pgntn>

*Presence:* [0..1]

*Definition:* Page number of the message and continuation indicator to indicate that the multi-part result dissemination message is to continue or that the message is the last page of the multi-part result dissemination.

**Pagination <Pgntn>** contains the following elements (see "Pagination1" on page 288 for details)

| Or | MessageElement<XML Tag>       | Mult.  | Type      | Constr. No. | Page |
|----|-------------------------------|--------|-----------|-------------|------|
|    | PageNumber <PgNb>             | [1..1] | Text      |             | 288  |
|    | LastPageIndicator <LastPgInd> | [1..1] | Indicator |             | 289  |

### 10.4.2 MeetingResultDisseminationIdentification <MtgRsltDssmntnId>

*Presence:* [0..1]

*Definition:* Unique identification of the group of result dissemination messages when the result dissemination is split in multiple (paginated) messages.

*Datatype:* "Max35Text" on page 391

### 10.4.3 MeetingResultsDisseminationType <MtgRsltsDssmntnTp>

*Presence:* [1..1]

*Definition:* Type of dissemination report, that is, whether the report is new or a replacement.

*Datatype:* "NotificationType2Code" on page 373

| CodeName | Name        | Definition   |
|----------|-------------|--|
| NEWM     | New         | New notification.                                      |
| REPL     | Replacement | Notification replacing a previously sent notification. |

## 10.4.4 PreviousMeetingResultsDisseminationIdentification <PrvsMtgRsItsDssmntnId>

*Presence:* [0..1]

*Definition:* Identification of the previously sent meeting result dissemination message.

*Datatype:* "Max35Text" on page 391

## 10.4.5 MeetingReference <MtgRef>

*Presence:* [1..1]

*Definition:* Set of elements to allow the unambiguous identification of a meeting.

**MeetingReference <MtgRef>** contains the following **MeetingReference10** elements

| Or | MessageElement<XML Tag>                        | Mult.  | Type     | Constr. No. | Page |
|----|--|--------|----------|-------------|------|
|    | <b>MeetingIdentification</b> <MtgId>           | [1..1] | Text     |             | 223  |
|    | <b>IssuerMeetingIdentification</b> <IssrMtgId> | [0..1] | Text     |             | 223  |
|    | <b>MeetingDateAndTime</b> <MtgDtAndTm>         | [1..1] | DateTime |             | 223  |
|    | <b>Type</b> <Tp>                               | [1..1] | CodeSet  |             | 223  |
|    | <b>Classification</b> <Clssfctn>               | [0..1] | ±        |             | 224  |
|    | <b>Location</b> <Lctn>                         | [0..5] | ±        |             | 224  |
|    | <b>Issuer</b> <Issr>                           | [0..1] | ±        |             | 225  |

### 10.4.5.1 MeetingIdentification <MtgId>

*Presence:* [1..1]

*Definition:* Identification assigned to the general meeting by the party that provides the meeting notification. It must be unique to the party providing the notification.

*Datatype:* "Max35Text" on page 391

### 10.4.5.2 IssuerMeetingIdentification <IssrMtgId>

*Presence:* [0..1]

*Definition:* Identification assigned to the meeting by the issuer. It must be unique for the issuer.

*Datatype:* "Max35Text" on page 391

### 10.4.5.3 MeetingDateAndTime <MtgDtAndTm>

*Presence:* [1..1]

*Definition:* Date and time at which the meeting will take place.

*Datatype:* "ISODatetime" on page 386

### 10.4.5.4 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of meeting for which instructions are sent.

*Datatype:* "MeetingType4Code" on page 371

| CodeName | Name              | Definition   |
|----------|-------------------|--|
| XMET     | Extraordinary     | Meeting that takes place as needed, in addition to the general meetings, is extraordinary as per the bylaws. The resolutions are related to the unusual business of the company, for example, approval of takeovers or mergers or spin-offs. These meetings are always issuer initiated. |
| GMET     | General           | Includes annual and ordinary meetings. Statutory meeting(s) usually held at least once a year. The resolutions are related to the usual business of the company, for example, approval of dividends and directors. These meetings are always issuer initiated.                           |
| MIXD     | Mixed             | Meeting which contains both ordinary and extraordinary resolutions.  |
| SPCL     | Special           | Meeting that takes place as needed that is neither ordinary nor extraordinary.   |
| BMET     | BondHolderMeeting | Physical meeting of bond holders.  |
| CMET     | CourtMeeting      | Meeting is the result of a legal proceeding.   |

#### 10.4.5.5 Classification <Clssfctn>

*Presence:* [0..1]

*Definition:* Classification type of the meeting.

**Classification <Clssfctn>** contains one of the following elements (see "[MeetingTypeClassification2Choice](#)" on page 287 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd>               | [1..1] | CodeSet |             | 288  |
| Or} | Proprietary <Prtry>     | [1..1] | ±       |             | 288  |

#### 10.4.5.6 Location <Lctn>

*Presence:* [0..5]

*Definition:* Place of the company meeting for the scheduled meeting date.

**Location <Lctn>** contains the following elements (see "PostalAddress1" on page 339 for details)

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 339  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 340  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 340  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 340  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 340  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 340  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 340  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 341  |

#### 10.4.5.7 Issuer <Issr>

*Presence:* [0..1]

*Definition:* Institution that is the issuer of the security to which the meeting applies.

**Issuer <Issr>** contains one of the following elements (see "PartyIdentification129Choice" on page 323 for details)

| Or  | MessageElement<XML Tag>             | Mult.  | Type          | Constr. No. | Page |
|-----|-------------------------------------|--------|---------------|-------------|------|
| {Or | AnyBIC <AnyBIC>                     | [1..1] | IdentifierSet | C1          | 323  |
| Or  | ProprietaryIdentification <PrtryId> | [1..1] | ±             |             | 324  |
| Or  | NameAndAddress <NmAndAdr>           | [1..1] | ±             |             | 324  |
| Or} | LEI <LEI>                           | [1..1] | IdentifierSet |             | 324  |

#### 10.4.6 Security <Scty>

*Presence:* [1..200]

*Definition:* Securities for which the meeting is organised.

**Security <Scty>** contains the following **SecurityPosition19** elements

| Or  | MessageElement<XML Tag>                                | Mult.     | Type    | Constr. No.           | Page |
|-----|--|-----------|---------|-----------------------|------|
|     | <b>FinancialInstrumentIdentification</b> <FinInstrmId> | [1..1]    | ±       | C6, C7, C10, C11, C12 | 226  |
|     | <b>Position</b> <Pos>                                  | [0..1000] |         | C1, C2, C3, C9, C14   | 227  |
|     | <b>AccountIdentification</b> <AcctId>                  | [0..1]    | Text    |                       | 229  |
|     | <b>BlockchainAddressOrWallet</b> <BlckChainAdrOrWlt>   | [0..1]    | Text    |                       | 229  |
|     | <b>AccountOwner</b> <AcctOwnr>                         | [0..1]    |         |                       | 229  |
| {Or | <b>LegalPerson</b> <LglPrsn>                           | [1..1]    | ±       |                       | 229  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                        | [1..*]    | ±       |                       | 230  |
|     | <b>HoldingBalance</b> <HldgBal>                        | [0..15]   |         |                       | 230  |
|     | <b>Balance</b> <Bal>                                   | [1..1]    | ±       |                       | 231  |
|     | <b>BalanceType</b> <BalTp>                             | [1..1]    | CodeSet |                       | 231  |
|     | <b>SafekeepingPlace</b> <SfkpgPlc>                     | [0..1]    | ±       |                       | 232  |
|     | <b>Date</b> <Dt>                                       | [0..1]    | Date    |                       | 233  |
|     | <b>RightsHolder</b> <RghtsHldr>                        | [0..250]  |         |                       | 233  |
| {Or | <b>LegalPerson</b> <LglPrsn>                           | [1..1]    | ±       |                       | 233  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                        | [1..*]    | ±       |                       | 234  |

#### 10.4.6.1 FinancialInstrumentIdentification <FinInstrmId>

*Presence:* [1..1]

*Definition:* Identification of the security, as assigned under a formal or proprietary identification scheme.

*Impacted by:* C6 "DescriptionPresenceRule", C7 "DescriptionUsageRule", C10 "ISINGuideline", C11 "ISINPresenceRule", C12 "OtherIdentificationPresenceRule"

**FinancialInstrumentIdentification <FinInstrmId>** contains the following elements (see "SecurityIdentification19" on page 256 for details)

| Or | MessageElement<XML Tag>       | Mult.  | Type          | Constr. No. | Page |
|----|-------------------------------|--------|---------------|-------------|------|
|    | ISIN <ISIN>                   | [0..1] | IdentifierSet |             | 257  |
|    | OtherIdentification <OthrlId> | [0..*] |               |             | 257  |
|    | Identification <Id>           | [1..1] | Text          |             | 258  |
|    | Suffix <Sfx>                  | [0..1] | Text          |             | 258  |
|    | Type <Tp>                     | [1..1] | ±             |             | 258  |
|    | Description <Desc>            | [0..1] | Text          |             | 258  |

### Constraints

- **DescriptionPresenceRule**

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

```
On Condition
  /Description is absent
Following Must be True
  /ISIN Must be present
Or   /OtherIdentification[*] Must be present
```

- **DescriptionUsageRule**

Description must be used alone as the last resort.

- **ISINGuideline**

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

- **ISINPresenceRule**

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

```
On Condition
  /ISIN is absent
Following Must be True
  /OtherIdentification[*] Must be present
Or   /Description Must be present
```

- **OtherIdentificationPresenceRule**

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

```
On Condition
  /OtherIdentification[*] is absent
Following Must be True
  /ISIN Must be present
Or   /Description Must be present
```

### 10.4.6.2 Position <Pos>

*Presence:* [0..1000]

*Definition:* Amount of securities that are eligible for the vote.

Impacted by: C1 "AccountIdentificationOrBlockChainAddress1Rule", C2 "AccountIdentificationOrBlockChainAddress2Rule", C3 "AccountIdentificationOrBlockChainAddress3Rule", C9 "HoldingBalanceTypeRule", C14 "RightsHolderMultiplicity1Guideline"

Position <Pos> contains the following EligiblePosition16 elements

| Or  | MessageElement<XML Tag>                                | Mult.    | Type    | Constr. No. | Page |
|-----|--|----------|---------|-------------|------|
|     | <b>AccountIdentification</b> <AcctId>                  | [0..1]   | Text    |             | 229  |
|     | <b>BlockChainAddressOrWallet</b> <BlckChainAdrOrWllet> | [0..1]   | Text    |             | 229  |
|     | <b>AccountOwner</b> <AcctOwnr>                         | [0..1]   |         |             | 229  |
| {Or | <b>LegalPerson</b> <LglPrsn>                           | [1..1]   | ±       |             | 229  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                        | [1..*]   | ±       |             | 230  |
|     | <b>HoldingBalance</b> <HldgBal>                        | [0..15]  |         |             | 230  |
|     | <b>Balance</b> <Bal>                                   | [1..1]   | ±       |             | 231  |
|     | <b>BalanceType</b> <BalTp>                             | [1..1]   | CodeSet |             | 231  |
|     | <b>SafekeepingPlace</b> <StkpgPlc>                     | [0..1]   | ±       |             | 232  |
|     | <b>Date</b> <Dt>                                       | [0..1]   | Date    |             | 233  |
|     | <b>RightsHolder</b> <RghtsHldr>                        | [0..250] |         |             | 233  |
| {Or | <b>LegalPerson</b> <LglPrsn>                           | [1..1]   | ±       |             | 233  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn>                        | [1..*]   | ±       |             | 234  |

**Constraints**

- **AccountIdentificationOrBlockChainAddress1Rule**

Either AccountIdentification or BlockChainAddressOrWallet must be present but not both.

```
Following Must be True
  /AccountIdentification Must be present
Or   /BlockChainAddressOrWallet Must be present
```

- **AccountIdentificationOrBlockChainAddress2Rule**

If BlockChainAddressOrWallet is present then AccountIdentification must be absent.

```
On Condition
  /BlockChainAddressOrWallet is present
Following Must be True
  /AccountIdentification Must be absent
```

- **AccountIdentificationOrBlockChainAddress3Rule**

If AccountIdentification is present, then BlockChainAddressOrWallet must be absent.

```
On Condition
  /AccountIdentification is present
Following Must be True
  /BlockChainAddressOrWallet Must be absent
```

- **HoldingBalanceTypeRule**

In all occurrences of HoldingBalance, one and only one BalanceType may be ELIG (Eligible).

- **RightsHolderMultiplicity1Guideline**

It is recommended that RightsHolder is only present more than once if there is joint ownership.

#### 10.4.6.2.1 AccountIdentification <AcctId>

*Presence:* [0..1]

*Definition:* Identification of the securities account.

*Datatype:* "Max35Text" on page 391

#### 10.4.6.2.2 BlockChainAddressOrWallet <BlckChainAdrOrWlIt>

*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 390

#### 10.4.6.2.3 AccountOwner <AcctOwnr>

*Presence:* [0..1]

*Definition:* Party that legally owns the account.

**AccountOwner <AcctOwnr>** contains one of the following **PartyIdentification231Choice** elements

| Or  | MessageElement<XML Tag>         | Mult.  | Type | Constr. No. | Page |
|-----|---------------------------------|--------|------|-------------|------|
| {Or | <b>LegalPerson</b> <LglPrsn>    | [1..1] | ±    |             | 229  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn> | [1..*] | ±    |             | 230  |

##### 10.4.6.2.3.1 LegalPerson <LglPrsn>

*Presence:* [1..1]

*Definition:* Legal entity.

**LegalPerson <LgIPrsn>** contains the following elements (see "[PartyIdentification221](#)" on page 318 for details)

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>        | [1..1] |         |             | 318  |
|    | Name <Nm>                        | [1..1] | Text    |             | 319  |
|    | Address <Adr>                    | [0..1] |         |             | 319  |
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 320  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 320  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 320  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 320  |
|    | PostBox <PstBx>                  | [0..1] | Text    |             | 320  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 320  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 321  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 321  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 321  |
|    | EmailAddress <EmailAdr>          | [0..1] | Text    |             | 321  |
|    | Identification <Id>              | [1..1] | ±       |             | 321  |

#### 10.4.6.2.3.2 NaturalPerson <NtrlPrsn>

*Presence:* [1..\*]

*Definition:* Private person.

**NaturalPerson <NtrlPrsn>** contains the following elements (see "[PartyIdentification238](#)" on page 305 for details)

| Or | MessageElement<XML Tag>               | Mult.  | Type    | Constr. No. | Page |
|----|---------------------------------------|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>             | [1..1] | ±       |             | 305  |
|    | EmailAddress <EmailAdr>               | [0..1] | Text    |             | 306  |
|    | Identification <Id>                   | [1..1] | ±       |             | 306  |
|    | Nationality <Ntlty>                   | [0..1] | CodeSet | C3          | 306  |
|    | DateAndPlaceOfBirth <DtAndPlcOfBirth> | [0..1] | ±       |             | 307  |

#### 10.4.6.2.4 HoldingBalance <HldgBal>

*Presence:* [0..15]

*Definition:* Net position of a segregated holding of a single security within the overall position held in a securities account, for example, sub-balance per status.

**HoldingBalance <HldgBal>** contains the following **HoldingBalance11** elements

| Or | MessageElement<XML Tag>            | Mult.  | Type    | Constr. No. | Page |
|----|------------------------------------|--------|---------|-------------|------|
|    | <b>Balance</b> <Bal>               | [1..1] | ±       |             | 231  |
|    | <b>BalanceType</b> <BalTp>         | [1..1] | CodeSet |             | 231  |
|    | <b>SafekeepingPlace</b> <SfkpgPlc> | [0..1] | ±       |             | 232  |
|    | <b>Date</b> <Dt>                   | [0..1] | Date    |             | 233  |

#### 10.4.6.2.4.1 Balance <Bal>

*Presence:* [1..1]

*Definition:* Total quantity of financial instrument for the referenced holding.

**Balance <Bal>** contains the following elements (see "[SignedQuantityFormat14](#)" on page 343 for details)

| Or  | MessageElement<XML Tag>        | Mult.  | Type     | Constr. No. | Page |
|-----|--------------------------------|--------|----------|-------------|------|
|     | ShortLongPosition <ShrtLngPos> | [1..1] | CodeSet  |             | 343  |
|     | Quantity <Qty>                 | [1..1] |          | C9          | 343  |
| {Or | Unit <Unit>                    | [1..1] | Quantity |             | 344  |
| Or  | FaceAmount <FaceAmt>           | [1..1] | Amount   |             | 344  |
| Or} | DigitalTokenUnit <DgtlTknUnit> | [1..1] | Quantity |             | 344  |

#### 10.4.6.2.4.2 BalanceType <BalTp>

*Presence:* [1..1]

*Definition:* Reason a security is not available or additional information about the financial instrument for which the balance is given, for example, unregistered, registered in nominee name.

*Datatype:* "[SecuritiesEntryType2Code](#)" on page 380

| CodeName | Name            | Definition   |
|----------|-----------------|--|
| BLOK     | Blocked         | Balance of securities that are blocked or frozen. A financial instrument may be unavailable due to external circumstances such as a court order, death of beneficiary or account owner, or bankruptcy. |
| ELIG     | Eligible        | Total number of securities eligible for this event.  |
| PEND     | PendingDelivery | Balance of securities that are pending delivery.   |
| PENR     | PendingReceipt  | Balance of securities that are pending receipt.  |
| NOMI     | Registered      | Balance of securities that are registered (in the name of a nominee or of the beneficial owner).   |

| CodeName | Name                | Definition  |
|----------|---------------------|---|
| SETD     | Settled             | Balance of securities representing only settled transactions.   |
| BORR     | Borrowed            | Balance of securities that have been borrowed from another party.   |
| LOAN     | OnLoan              | Balance of securities that have been loaned to a third party.   |
| SPOS     | StreetPosition      | Balance of securities that remain registered in the name of the prior beneficial owner of securities.   |
| TRAD     | Traded              | Balance of securities representing traded transactions.   |
| COLI     | CollateralIn        | Balance of securities that belong to a third party and that are held for the purpose of collateralisation.  |
| COLO     | CollateralOut       | Balance of securities that belong to the safekeeping account indicated within this message, and are deposited with a third party for the purpose of collateralisation.              |
| UNBA     | UninstructedBalance | Balance of uninstructed position.   |
| INBA     | InstructedBalance   | Balance of instructed position.   |
| REGO     | OutForRegistration  | Balance of securities currently being processed by the institution responsible for registering the new beneficial owner (or nominee) of securities after a transaction has settled. |

#### 10.4.6.2.4.3 SafekeepingPlace <SfkpgPlc>

*Presence:* [0..1]

*Definition:* Place where the securities are safe-kept, physically or notionally. This place can be, for example, a local custodian, a Central Securities Depository (CSD) or an International Central Securities Depository (ICSD).

**SafekeepingPlace <SfkpgPlc>** contains one of the following elements (see "SafekeepingPlaceFormat28Choice" on page 346 for details)

| Or  | MessageElement<XML Tag>           | Mult.  | Type          | Constr. No. | Page |
|-----|-----------------------------------|--------|---------------|-------------|------|
| {Or | Identification <Id>               | [1..1] |               |             | 346  |
|     | SafekeepingPlaceType <SfkpgPlcTp> | [1..1] | CodeSet       |             | 346  |
|     | Identification <Id>               | [0..1] | Text          |             | 347  |
| Or  | Country <Ctry>                    | [1..1] | CodeSet       | C3          | 347  |
| Or  | TypeAndIdentification <TpAndId>   | [1..1] |               |             | 347  |
|     | SafekeepingPlaceType <SfkpgPlcTp> | [1..1] | CodeSet       |             | 347  |
|     | Identification <Id>               | [1..1] | IdentifierSet | C1          | 348  |
| Or} | Proprietary <Prtry>               | [1..1] | ±             |             | 348  |

**10.4.6.2.4.4 Date <Dt>***Presence:* [0..1]*Definition:* Date of the entitlement.*Datatype:* "ISODate" on page 386**10.4.6.2.5 RightsHolder <RghtsHldr>***Presence:* [0..250]*Definition:* Owner of the voting rights.**RightsHolder <RghtsHldr>** contains one of the following **PartyIdentification246Choice** elements

| Or  | MessageElement<XML Tag>         | Mult.  | Type | Constr. No. | Page |
|-----|---------------------------------|--------|------|-------------|------|
| {Or | <b>LegalPerson</b> <LglPrsn>    | [1..1] | ±    |             | 233  |
| Or} | <b>NaturalPerson</b> <NtrlPrsn> | [1..*] | ±    |             | 234  |

**10.4.6.2.5.1 LegalPerson <LglPrsn>***Presence:* [1..1]*Definition:* Legal entity.

**LegalPerson <LgIPrsn>** contains the following elements (see "[PartyIdentification269](#)" on page 295 for details)

| Or | MessageElement<XML Tag>                                      | Mult.  | Type    | Constr. No. | Page |
|----|--|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>                                    | [1..1] |         |             | 296  |
|    | Name <Nm>  | [1..1] | Text    |             | 297  |
|    | Address <Adr>  | [0..1] |         |             | 297  |
|    | AddressType <AdrTp>  | [0..1] | CodeSet |             | 298  |
|    | AddressLine <AdrLine>  | [0..5] | Text    |             | 298  |
|    | StreetName <StrtNm>  | [0..1] | Text    |             | 298  |
|    | BuildingNumber <BldgNb>                                      | [0..1] | Text    |             | 298  |
|    | PostBox <PstBx>  | [0..1] | Text    |             | 298  |
|    | PostCode <PstCd>   | [0..1] | Text    |             | 298  |
|    | TownName <TwnNm>   | [0..1] | Text    |             | 299  |
|    | CountrySubDivision <CtrySubDvsn>                             | [0..1] | Text    |             | 299  |
|    | Country <Ctry>   | [1..1] | CodeSet | C3          | 299  |
|    | EmailAddress <EmailAdr>                                      | [0..1] | Text    |             | 299  |
|    | Identification <Id>  | [0..1] | ±       |             | 299  |
|    | CompanyRegisterShareholderIdentification <CpnyRegrShrhldrid> | [0..1] | Text    |             | 299  |
|    | CountryOfIncorporation <CtryOfIncorptrn>                     | [0..1] | CodeSet | C3          | 300  |

#### 10.4.6.2.5.2 NaturalPerson <NtrlPrsn>

*Presence:* [1..\*]

*Definition:* Private person.

**NaturalPerson <NtrlPrsn>** contains the following elements (see "[PartyIdentification250](#)" on page 300 for details)

| Or | MessageElement<XML Tag>                                      | Mult.  | Type    | Constr. No. | Page |
|----|--|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>                                    | [1..1] | ±       |             | 300  |
|    | EmailAddress <EmailAdr>                                      | [0..1] | Text    |             | 301  |
|    | Identification <Id>  | [0..1] | ±       |             | 301  |
|    | Nationality <Ntlty>  | [0..1] | CodeSet | C3          | 301  |
|    | DateAndPlaceOfBirth <DtAndPlcOfBirth>                        | [0..1] | ±       |             | 302  |
|    | CompanyRegisterShareholderIdentification <CpnyRegrShrhldrid> | [0..1] | Text    |             | 302  |

## 10.4.7 VoteResult <VoteRslt>

*Presence:* [1..1000]

*Definition:* Results per resolution.

**VoteResult <VoteRslt>** contains the following **Vote20** elements

| Or | MessageElement<XML Tag>              | Mult.  | Type    | Constr. No. | Page |
|----|--------------------------------------|--------|---------|-------------|------|
|    | <b>IssuerLabel</b> <IssrLbl>         | [1..1] | Text    |             | 235  |
|    | <b>Description</b> <Desc>            | [0..*] |         |             | 235  |
|    | <b>Language</b> <Lang>               | [1..1] | CodeSet |             | 236  |
|    | <b>Title</b> <Titl>                  | [0..1] | Text    |             | 236  |
|    | <b>Description</b> <Desc>            | [0..*] | Text    |             | 236  |
|    | <b>ResolutionStatus</b> <RsltnSts>   | [1..1] | CodeSet |             | 236  |
|    | <b>SubStatus</b> <SubSts>            | [0..1] | CodeSet |             | 236  |
|    | <b>For</b> <For>                     | [0..1] | ±       |             | 237  |
|    | <b>Against</b> <Agnst>               | [0..1] | ±       |             | 237  |
|    | <b>Abstain</b> <Abstn>               | [0..1] | ±       |             | 237  |
|    | <b>Withhold</b> <Wthhld>             | [0..1] | ±       |             | 237  |
|    | <b>WithManagement</b> <WthMgmt>      | [0..1] | ±       |             | 238  |
|    | <b>AgainstManagement</b> <AgnstMgmt> | [0..1] | ±       |             | 238  |
|    | <b>Discretionary</b> <Dscrtrny>      | [0..1] | ±       |             | 238  |
|    | <b>OneYear</b> <OneYr>               | [0..1] | ±       |             | 238  |
|    | <b>TwoYears</b> <TwoYrs>             | [0..1] | ±       |             | 239  |
|    | <b>ThreeYears</b> <ThreeYrs>         | [0..1] | ±       |             | 239  |
|    | <b>NoAction</b> <NoActn>             | [0..1] | ±       |             | 239  |
|    | <b>Blank</b> <Blnk>                  | [0..1] | ±       |             | 239  |
|    | <b>Proprietary</b> <Prtry>           | [0..4] | ±       |             | 240  |

### 10.4.7.1 IssuerLabel <IssrLbl>

*Presence:* [1..1]

*Definition:* Number of the resolution as specified by the issuer or its agent.

*Datatype:* "Max35Text" on page 391

### 10.4.7.2 Description <Desc>

*Presence:* [0..\*]

*Definition:* Language, title and textual description of an agenda resolution.

**Description <Desc>** contains the following **ItemDescription2** elements

| Or | MessageElement<XML Tag>   | Mult.  | Type    | Constr. No. | Page |
|----|---------------------------|--------|---------|-------------|------|
|    | <b>Language</b> <Lang>    | [1..1] | CodeSet |             | 236  |
|    | <b>Title</b> <Titl>       | [0..1] | Text    |             | 236  |
|    | <b>Description</b> <Desc> | [0..*] | Text    |             | 236  |

#### 10.4.7.2.1 Language <Lang>

*Presence:* [1..1]

*Definition:* Language used to provide a description of the item and specified in the ISO 639-1 language code standard.

*Datatype:* "ISO2ALanguageCode" on page 371

#### 10.4.7.2.2 Title <Titl>

*Presence:* [0..1]

*Definition:* Abbreviated description of the item.

*Datatype:* "Max1025Text" on page 390

#### 10.4.7.2.3 Description <Desc>

*Presence:* [0..\*]

*Definition:* Free textual description of the item in the specified language.

*Datatype:* "Max8000Text" on page 393

#### 10.4.7.3 ResolutionStatus <RslnSts>

*Presence:* [1..1]

*Definition:* Acceptance status of the resolution.

*Datatype:* "ResolutionStatus2Code" on page 379

| CodeName | Name      | Definition                             |
|----------|-----------|--|
| ACPT     | Accepted  | Meeting resolution has been accepted.  |
| REJT     | Rejected  | Meeting resolution has been rejected.  |
| WDRA     | Withdrawn | Meeting resolution has been withdrawn. |

#### 10.4.7.4 SubStatus <SubSts>

*Presence:* [0..1]

*Definition:* Specifies whether the resolution is a new or an amended resolution.

*Datatype:* "ResolutionSubStatus1Code" on page 379

| CodeName | Name              | Definition                                   |
|----------|-------------------|--|
| AMDR     | AmendedResolution | Resolution voted at the meeting was amended. |

| CodeName | Name          | Definition                              |
|----------|---------------|---|
| NEWR     | NewResolution | Resolution voted at the meeting is new. |

#### 10.4.7.5 For <For>

*Presence:* [0..1]

*Definition:* Number of votes in favour of one resolution.

**For <For>** contains one of the following elements (see "[FinancialInstrumentQuantity18Choice](#)" on page 348 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type     | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Unit <Unit>             | [1..1] | Quantity |             | 349  |
| Or} | FaceAmount <FaceAmt>    | [1..1] | Amount   |             | 349  |

#### 10.4.7.6 Against <Agnst>

*Presence:* [0..1]

*Definition:* Number of votes against one resolution.

**Against <Agnst>** contains one of the following elements (see "[FinancialInstrumentQuantity18Choice](#)" on page 348 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type     | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Unit <Unit>             | [1..1] | Quantity |             | 349  |
| Or} | FaceAmount <FaceAmt>    | [1..1] | Amount   |             | 349  |

#### 10.4.7.7 Abstain <Abstn>

*Presence:* [0..1]

*Definition:* Number of abstention votes.

**Abstain <Abstn>** contains one of the following elements (see "[FinancialInstrumentQuantity18Choice](#)" on page 348 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type     | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Unit <Unit>             | [1..1] | Quantity |             | 349  |
| Or} | FaceAmount <FaceAmt>    | [1..1] | Amount   |             | 349  |

#### 10.4.7.8 Withhold <Wthhd>

*Presence:* [0..1]

*Definition:* Total votes withheld, for example, in the case where a shareholder wishes not to endorse the election of a board member.

**Withhold <Wthhld>** contains one of the following elements (see "FinancialInstrumentQuantity18Choice" on page 348 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type     | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Unit <Unit>             | [1..1] | Quantity |             | 349  |
| Or} | FaceAmount <FaceAmt>    | [1..1] | Amount   |             | 349  |

#### 10.4.7.9 WithManagement <WthMgmt>

*Presence:* [0..1]

*Definition:* Number of votes in line with the votes of the management.

**WithManagement <WthMgmt>** contains one of the following elements (see "FinancialInstrumentQuantity18Choice" on page 348 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type     | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Unit <Unit>             | [1..1] | Quantity |             | 349  |
| Or} | FaceAmount <FaceAmt>    | [1..1] | Amount   |             | 349  |

#### 10.4.7.10 AgainstManagement <AgnstMgmt>

*Presence:* [0..1]

*Definition:* Number of votes against the voting recommendation of the management.

**AgainstManagement <AgnstMgmt>** contains one of the following elements (see "FinancialInstrumentQuantity18Choice" on page 348 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type     | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Unit <Unit>             | [1..1] | Quantity |             | 349  |
| Or} | FaceAmount <FaceAmt>    | [1..1] | Amount   |             | 349  |

#### 10.4.7.11 Discretionary <Dscrtrny>

*Presence:* [0..1]

*Definition:* Number of votes for which the decision is left to the party that will exercise the voting right.

**Discretionary <Dscrtrny>** contains one of the following elements (see "FinancialInstrumentQuantity18Choice" on page 348 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type     | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Unit <Unit>             | [1..1] | Quantity |             | 349  |
| Or} | FaceAmount <FaceAmt>    | [1..1] | Amount   |             | 349  |

#### 10.4.7.12 OneYear <OneYr>

*Presence:* [0..1]

*Definition:* Number of votes in favour for one year for "say on pay" type of resolution.

**OneYear <OneYr>** contains one of the following elements (see "[FinancialInstrumentQuantity18Choice](#)" on page 348 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type     | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Unit <Unit>             | [1..1] | Quantity |             | 349  |
| Or} | FaceAmount <FaceAmt>    | [1..1] | Amount   |             | 349  |

#### 10.4.7.13 TwoYears <TwoYrs>

*Presence:* [0..1]

*Definition:* Number of votes in favour of two years for "say on pay" type of resolution.

**TwoYears <TwoYrs>** contains one of the following elements (see "[FinancialInstrumentQuantity18Choice](#)" on page 348 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type     | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Unit <Unit>             | [1..1] | Quantity |             | 349  |
| Or} | FaceAmount <FaceAmt>    | [1..1] | Amount   |             | 349  |

#### 10.4.7.14 ThreeYears <ThreeYrs>

*Presence:* [0..1]

*Definition:* Number of votes in favour of three years for "say on pay" type of resolution.

**ThreeYears <ThreeYrs>** contains one of the following elements (see "[FinancialInstrumentQuantity18Choice](#)" on page 348 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type     | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Unit <Unit>             | [1..1] | Quantity |             | 349  |
| Or} | FaceAmount <FaceAmt>    | [1..1] | Amount   |             | 349  |

#### 10.4.7.15 NoAction <NoActn>

*Presence:* [0..1]

*Definition:* Number of votes for which no action has been taken.

**NoAction <NoActn>** contains one of the following elements (see "[FinancialInstrumentQuantity18Choice](#)" on page 348 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type     | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Unit <Unit>             | [1..1] | Quantity |             | 349  |
| Or} | FaceAmount <FaceAmt>    | [1..1] | Amount   |             | 349  |

#### 10.4.7.16 Blank <Blnk>

*Presence:* [0..1]

*Definition:* Vote is cast as empty but the vote is counted.

**Blank <Blnk>** contains one of the following elements (see "[FinancialInstrumentQuantity18Choice](#)" on page 348 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type     | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Unit <Unit>             | [1..1] | Quantity |             | 349  |
| Or} | FaceAmount <FaceAmt>    | [1..1] | Amount   |             | 349  |

#### 10.4.7.17 Proprietary <Prtry>

*Presence:* [0..4]

*Definition:* Other type of vote expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[ProprietaryVote2](#)" on page 278 for details)

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | Code <Cd>               | [1..1] | ±    |             | 278  |
|    | Quantity <Qty>          | [1..1] | ±    |             | 278  |

### 10.4.8 Participation <Prtcptn>

*Presence:* [0..1]

*Definition:* Information about the participation to the voting process.

**Participation <Prtcptn>** contains the following **Participation5** elements

| Or | MessageElement<XML Tag>   | Mult.  | Type     | Constr. No. | Page |
|----|---|--------|----------|-------------|------|
|    | <b>TotalNumberOfVotingRights</b> <TtINbOfVtngRghts>               | [0..1] | Quantity |             | 240  |
|    | <b>PercentageOfVotingRights</b> <PctgOfVtngRghts>                 | [0..1] | Rate     |             | 240  |
|    | <b>TotalNumberOfSecuritiesOutstanding</b> <TtINbOfScitiesOutsdng> | [0..1] | ±        |             | 241  |
|    | <b>CalculationDate</b> <ClctnDt>                                  | [0..1] | Date     |             | 241  |

#### 10.4.8.1 TotalNumberOfVotingRights <TtINbOfVtngRghts>

*Presence:* [0..1]

*Definition:* Number of rights admitted to the vote.

*Datatype:* "[Number](#)" on page 389

#### 10.4.8.2 PercentageOfVotingRights <PctgOfVtngRghts>

*Presence:* [0..1]

*Definition:* Percentage of rights participating to the vote versus total voting rights.

*Datatype:* "[PercentageRate](#)" on page 389

### 10.4.8.3 TotalNumberOfSecuritiesOutstanding <TtINbOfSctiesOutsdng>

*Presence:* [0..1]

*Definition:* Number of securities admitted to the vote, expressed as a number of units or a face amount.

**TotalNumberOfSecuritiesOutstanding <TtINbOfSctiesOutsdng>** contains one of the following elements (see "[FinancialInstrumentQuantity18Choice](#)" on page 348 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type     | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Unit <Unit>             | [1..1] | Quantity |             | 349  |
| Or} | FaceAmount <FaceAmt>    | [1..1] | Amount   |             | 349  |

### 10.4.8.4 CalculationDate <ClctnDt>

*Presence:* [0..1]

*Definition:* Date of calculation of the total number of outstanding securities.

*Datatype:* "[ISODate](#)" on page 386

## 10.4.9 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Information on where additional information can be received.

**AdditionalInformation <AddtlInf>** contains the following elements (see "[CommunicationAddress11](#)" on page 283 for details)

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | EmailAddress <EmailAdr> | [0..1] | Text |             | 284  |
|    | URLAddress <URLAdr>     | [0..1] | Text |             | 284  |

## 10.4.10 SupplementaryData <SplmtryData>

*Presence:* [0..\*]

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

*Impacted by:* [C15 "SupplementaryDataRule"](#)

**SupplementaryData <SplmtryData>** contains the following elements (see "[SupplementaryData1](#)" on page 290 for details)

| Or | MessageElement<XML Tag> | Mult.  | Type              | Constr. No. | Page |
|----|-------------------------|--------|-------------------|-------------|------|
|    | PlaceAndName <PlcAndNm> | [0..1] | Text              |             | 290  |
|    | Envelope <Envlp>        | [1..1] | (External Schema) |             | 290  |

### **Constraints**

- **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.

# 11 Message Items Types

## 11.1 MessageComponents

### 11.1.1 Cancellation Right

#### 11.1.1.1 DateFormat3Choice

*Definition:* Choice between the formats to express a date.

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Date <Dt>               | [1..1] | Date    |             | 243  |
| Or} | DateCode <DtCd>         | [1..1] | CodeSet |             | 243  |

##### 11.1.1.1.1 Date <Dt>

*Presence:* [1..1]

*Definition:* Date expressed as a calendar date.

*Datatype:* "ISODate" on page 386

##### 11.1.1.1.2 DateCode <DtCd>

*Presence:* [1..1]

*Definition:* Indicates that date is unknown.

*Datatype:* "DateType1Code" on page 368

| CodeName | Name    | Definition   |
|----------|---------|--|
| UKWN     | Unknown | Date is unknown by the sender or has not been established. |

## 11.1.2 Date Time

### 11.1.2.1 DateAndDateTime1Choice

*Definition:* Choice between a date or a date and time format.

| Or  | MessageElement<XML Tag> | Mult.  | Type     | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Date <Dt>               | [1..1] | Date     |             | 243  |
| Or} | DateTime <DtTm>         | [1..1] | DateTime |             | 244  |

#### 11.1.2.1.1 Date <Dt>

*Presence:* [1..1]

*Definition:* Numeric representation of the day of the month and year.

*Datatype:* "ISODate" on page 386

### 11.1.2.1.2 DateTime <DtTm>

*Presence:* [1..1]

*Definition:* Numeric representation of time of the day and the day of the month and year.

*Datatype:* "ISODatetime" on page 386

### 11.1.2.2 DateFormat60Choice

*Definition:* Choice between an ISODate or ISODatetime format or a date code.

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Date <Dt>               | [1..1] | ±       |             | 244  |
| Or} | DateCode <DtCd>         | [1..1] |         |             | 244  |
| {Or | Code <Cd>               | [1..1] | CodeSet |             | 244  |
| Or} | Proprietary <Prtry>     | [1..1] | ±       |             | 245  |

#### 11.1.2.2.1 Date <Dt>

*Presence:* [1..1]

*Definition:* Date expressed as a calendar date.

**Date <Dt>** contains one of the following elements (see "DateAndDateTime2Choice" on page 246 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type     | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Date <Dt>               | [1..1] | Date     |             | 247  |
| Or} | DateTime <DtTm>         | [1..1] | DateTime |             | 247  |

#### 11.1.2.2.2 DateCode <DtCd>

*Presence:* [1..1]

*Definition:* Specifies the type of date.

**DateCode <DtCd>** contains one of the following **DateCode34Choice** elements

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd>               | [1..1] | CodeSet |             | 244  |
| Or} | Proprietary <Prtry>     | [1..1] | ±       |             | 245  |

##### 11.1.2.2.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to specify the type of date.

*Datatype:* "DateType10Code" on page 368

| CodeName | Name                           | Definition  |
|----------|--------------------------------|---|
| MEET     | BlockingTillMeetingDate        | Blocking occurs until and inclusive of the meeting date.                                    |
| UKWN     | Unknown                        | Date is unknown by the sender or has not been established.                                  |
| NARR     | NarrativeUnblockingDate        | Refer to additional information element for the date until when the securities are blocked. |
| RDTE     | BlockingTillRecordDate         | Blocking occurs until and inclusive of the record date of the event.                        |
| PPYD     | BlockingTillPremiumPaymentDate | Unblocking will occur on payment date of the premium.                                       |

#### 11.1.2.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Proprietary identification of the type of date.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification30](#)" on page 260 for details)

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | Identification <Id>     | [1..1] | Text |             | 260  |
|    | Issuer <Issr>           | [1..1] | Text |             | 260  |
|    | SchemeName <SchmeNm>    | [0..1] | Text |             | 260  |

#### 11.1.2.3 DateFormat1

*Definition:* Format to express a date and a date mode.

| Or | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|----|-------------------------|--------|---------|-------------|------|
|    | Date <Dt>               | [1..1] | ±       |             | 245  |
|    | DateMode <DtMd>         | [0..1] | CodeSet |             | 246  |

##### 11.1.2.3.1 Date <Dt>

*Presence:* [1..1]

*Definition:* Date at which the event occurs.

**Date <Dt>** contains one of the following elements (see "[DateFormat3Choice](#)" on page 243 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Date <Dt>               | [1..1] | Date    |             | 243  |
| Or} | DateCode <DtCd>         | [1..1] | CodeSet |             | 243  |

**11.1.2.3.2 DateMode <DtMd>***Presence:* [0..1]*Definition:* Specifies whether an event for which a date is provided occurs typically at the "beginning of day" or at the "end of day".*Datatype:* "DateMode1Code" on page 368

| CodeName | Name | Definition        |
|----------|------|-------------------|
| BODY     | BODY | Beginning of day. |
| EODY     | EODY | End of day.       |

**11.1.2.4 DateFormat58Choice***Definition:* Choice between an ISODate or ISODateTime format or a date code.

| Or  | MessageElement<XML Tag>   | Mult.  | Type    | Constr. No. | Page |
|-----|---------------------------|--------|---------|-------------|------|
| {Or | DateOrDateTime <DtOrDtTm> | [1..1] | ±       |             | 246  |
| Or} | DateCode <DtCd>           | [1..1] | CodeSet |             | 246  |

**11.1.2.4.1 DateOrDateTime <DtOrDtTm>***Presence:* [1..1]*Definition:* Date expressed as a calendar date.**DateOrDateTime <DtOrDtTm>** contains one of the following elements (see "DateAndDateTime2Choice" on page 246 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type     | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Date <Dt>               | [1..1] | Date     |             | 247  |
| Or} | DateTime <DtTm>         | [1..1] | DateTime |             | 247  |

**11.1.2.4.2 DateCode <DtCd>***Presence:* [1..1]*Definition:* Type of date.*Datatype:* "DateType1Code" on page 368

| CodeName | Name    | Definition   |
|----------|---------|--|
| UKWN     | Unknown | Date is unknown by the sender or has not been established. |

**11.1.2.5 DateAndDateTime2Choice***Definition:* Choice between a date or a date and time format.

| Or  | MessageElement<XML Tag> | Mult.  | Type     | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Date <Dt>               | [1..1] | Date     |             | 247  |
| Or} | DateTime <DtTm>         | [1..1] | DateTime |             | 247  |

### 11.1.2.5.1 Date <Dt>

*Presence:* [1..1]

*Definition:* Specified date.

*Datatype:* "ISODate" on page 386

### 11.1.2.5.2 DateTime <DtTm>

*Presence:* [1..1]

*Definition:* Specified date and time.

*Datatype:* "ISODatetime" on page 386

## 11.1.3 Document

### 11.1.3.1 DocumentIdentification32

*Definition:* Identification of a document as well as the document number and type of link.

| Or  | MessageElement<XML Tag>                               | Mult.  | Type | Constr. No. | Page |
|-----|---|--------|------|-------------|------|
|     | Identification <Id>                                   | [1..1] |      |             | 247  |
| {Or | AccountServicerDocumentIdentification <AcctSvcrDocId> | [1..1] | Text |             | 247  |
| Or} | AccountOwnerDocumentIdentification <AcctOwnrDocId>    | [1..1] | Text |             | 248  |
|     | DocumentNumber <DocNb>                                | [0..1] | ±    | C18         | 248  |
|     | LinkageType <LkgTp>                                   | [0..1] | ±    | C21         | 248  |

#### 11.1.3.1.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique identifier of the document (message) assigned either by the account servicer or the account owner.

**Identification <Id>** contains one of the following **DocumentIdentification3Choice** elements

| Or  | MessageElement<XML Tag>                               | Mult.  | Type | Constr. No. | Page |
|-----|---|--------|------|-------------|------|
| {Or | AccountServicerDocumentIdentification <AcctSvcrDocId> | [1..1] | Text |             | 247  |
| Or} | AccountOwnerDocumentIdentification <AcctOwnrDocId>    | [1..1] | Text |             | 248  |

#### 11.1.3.1.1.1 AccountServicerDocumentIdentification <AcctSvcrDocId>

*Presence:* [1..1]

*Definition:* Identification of the document assigned by the account servicer.

*Datatype:* "Max35Text" on page 391

**11.1.3.1.1.2 AccountOwnerDocumentIdentification <AcctOwnrDocId>**

*Presence:* [1..1]

*Definition:* Identification of the document assigned by the account owner.

*Datatype:* "Max35Text" on page 391

**11.1.3.1.2 DocumentNumber <DocNb>**

*Presence:* [0..1]

*Definition:* Identification of the type of document.

*Impacted by:* C18 "ShortLongNumberRule"

**DocumentNumber <DocNb>** contains one of the following elements (see "[DocumentNumber5Choice](#)" on page 249 for details)

| Or  | MessageElement<XML Tag>     | Mult.  | Type | Constr. No. | Page |
|-----|-----------------------------|--------|------|-------------|------|
| {Or | ShortNumber <ShrtNb>        | [1..1] | Text |             | 249  |
| Or  | LongNumber <LngNb>          | [1..1] | Text |             | 249  |
| Or} | ProprietaryNumber <PrtryNb> | [1..1] | ±    |             | 249  |

**Constraints**

- **ShortLongNumberRule**

ShortNumber must contain the FIN message type number of the linked message. LongNumber must contain the XML message identifier of the linked message.

**11.1.3.1.3 LinkageType <LkgTp>**

*Presence:* [0..1]

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

*Impacted by:* C21 "WithLinkageRule"

**LinkageType <LkgTp>** contains one of the following elements (see "[ProcessingPosition7Choice](#)" on page 289 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd>               | [1..1] | CodeSet |             | 289  |
| Or} | Proprietary <Prtry>     | [1..1] | ±       |             | 289  |

**Constraints**

- **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.

### 11.1.3.2 DocumentNumber5Choice

*Definition:* Choice between a short document number, a long document number or a proprietary document number.

| Or  | MessageElement<XML Tag>     | Mult.  | Type | Constr. No. | Page |
|-----|-----------------------------|--------|------|-------------|------|
| {Or | ShortNumber <ShrtNb>        | [1..1] | Text |             | 249  |
| Or  | LongNumber <LngNb>          | [1..1] | Text |             | 249  |
| Or} | ProprietaryNumber <PrtryNb> | [1..1] | ±    |             | 249  |

#### Constraints

- **ShortLongNumberRule**

ShortNumber must contain the FIN message type number of the linked message. LongNumber must contain the XML message identifier of the linked message.

#### 11.1.3.2.1 ShortNumber <ShrtNb>

*Presence:* [1..1]

*Definition:* Message type number of the document referenced.

*Datatype:* "Exact3NumericText" on page 389

#### 11.1.3.2.2 LongNumber <LngNb>

*Presence:* [1..1]

*Definition:* MX Message identifier of the referenced document.

*Datatype:* "ISO20022MessageIdentificationText" on page 390

#### 11.1.3.2.3 ProprietaryNumber <PrtryNb>

*Presence:* [1..1]

*Definition:* Proprietary document identification.

**ProprietaryNumber <PrtryNb>** contains the following elements (see "GenericIdentification36" on page 260 for details)

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | Identification <Id>     | [1..1] | Text |             | 260  |
|    | Issuer <Issr>           | [1..1] | Text |             | 261  |
|    | SchemeName <SchmeNm>    | [0..1] | Text |             | 261  |

## 11.1.4 Financial Institution Identification

### 11.1.4.1 ClearingSystemMemberIdentification2

*Definition:* Unique identification, as assigned by a clearing system, to unambiguously identify a member of the clearing system.

| Or | MessageElement<XML Tag>                 | Mult.  | Type | Constr. No. | Page |
|----|---|--------|------|-------------|------|
|    | ClearingSystemIdentification <ClrSysId> | [0..1] | ±    |             | 250  |
|    | MemberIdentification <Mmbld>            | [1..1] | Text |             | 250  |

#### 11.1.4.1.1 ClearingSystemIdentification <ClrSysId>

*Presence:* [0..1]

*Definition:* Specification of a pre-agreed offering between clearing agents or the channel through which the payment instruction is processed.

**ClearingSystemIdentification <ClrSysId>** contains one of the following elements (see "[ClearingSystemIdentification2Choice](#)" on page 363 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd>               | [1..1] | CodeSet |             | 363  |
| Or} | Proprietary <Prtry>     | [1..1] | Text    |             | 363  |

#### 11.1.4.1.2 MemberIdentification <Mmbld>

*Presence:* [1..1]

*Definition:* Identification of a member of a clearing system.

*Datatype:* "[Max35Text](#)" on page 391

### 11.1.4.2 FinancialInstitutionIdentification18

*Definition:* Specifies the details to identify a financial institution.

| Or | MessageElement<XML Tag>                          | Mult.  | Type          | Constr. No. | Page |
|----|--|--------|---------------|-------------|------|
|    | BICFI <BICFI>                                    | [0..1] | IdentifierSet | C2          | 250  |
|    | ClearingSystemMemberIdentification <ClrSysMmbld> | [0..1] | ±             |             | 251  |
|    | LEI <LEI>  | [0..1] | IdentifierSet |             | 251  |
|    | Name <Nm>  | [0..1] | Text          |             | 251  |
|    | PostalAddress <PstAdr>                           | [0..1] | ±             |             | 251  |
|    | Other <Othr>                                     | [0..1] | ±             |             | 252  |

#### 11.1.4.2.1 BICFI <BICFI>

*Presence:* [0..1]

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

*Impacted by:* C2 "BICFI"

*Datatype:* "BICFIDec2014Identifier" on page 387

#### Constraints

- **BICFI**

Valid BICs for financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consist of eight (8) or eleven (11) contiguous characters.

#### 11.1.4.2.2 ClearingSystemMemberIdentification <ClrSysMmbld>

*Presence:* [0..1]

*Definition:* Information used to identify a member within a clearing system.

**ClearingSystemMemberIdentification <ClrSysMmbld>** contains the following elements (see "ClearingSystemMemberIdentification2" on page 250 for details)

| Or | MessageElement<XML Tag>                 | Mult.  | Type | Constr. No. | Page |
|----|---|--------|------|-------------|------|
|    | ClearingSystemIdentification <ClrSysId> | [0..1] | ±    |             | 250  |
|    | MemberIdentification <Mmbld>            | [1..1] | Text |             | 250  |

#### 11.1.4.2.3 LEI <LEI>

*Presence:* [0..1]

*Definition:* Legal entity identifier of the financial institution.

*Datatype:* "LEIIdentifier" on page 388

#### 11.1.4.2.4 Name <Nm>

*Presence:* [0..1]

*Definition:* Name by which an agent is known and which is usually used to identify that agent.

*Datatype:* "Max140Text" on page 390

#### 11.1.4.2.5 PostalAddress <PstlAdr>

*Presence:* [0..1]

*Definition:* Information that locates and identifies a specific address, as defined by postal services.

**PostalAddress <PstIAdr>** contains the following elements (see "[PostalAddress24](#)" on page 335 for details)

| Or  | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|-----|----------------------------------|--------|---------|-------------|------|
|     | AddressType <AdrTp>              | [0..1] |         |             | 336  |
| {Or | Code <Cd>                        | [1..1] | CodeSet |             | 336  |
| Or} | Proprietary <Prtry>              | [1..1] | ±       |             | 337  |
|     | Department <Dept>                | [0..1] | Text    |             | 337  |
|     | SubDepartment <SubDept>          | [0..1] | Text    |             | 337  |
|     | StreetName <StrtNm>              | [0..1] | Text    |             | 337  |
|     | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 337  |
|     | BuildingName <BldgNm>            | [0..1] | Text    |             | 338  |
|     | Floor <Flr>                      | [0..1] | Text    |             | 338  |
|     | PostBox <PstBx>                  | [0..1] | Text    |             | 338  |
|     | Room <Room>                      | [0..1] | Text    |             | 338  |
|     | PostCode <PstCd>                 | [0..1] | Text    |             | 338  |
|     | TownName <TwnNm>                 | [0..1] | Text    |             | 338  |
|     | TownLocationName <TwnLctnNm>     | [0..1] | Text    |             | 338  |
|     | DistrictName <DstrctNm>          | [0..1] | Text    |             | 338  |
|     | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 339  |
|     | Country <Ctry>                   | [0..1] | CodeSet | C3          | 339  |
|     | AddressLine <AdrLine>            | [0..7] | Text    |             | 339  |

#### 11.1.4.2.6 Other <Othr>

*Presence:* [0..1]

*Definition:* Unique identification of an agent, as assigned by an institution, using an identification scheme.

**Other <Othr>** contains the following elements (see "[GenericFinancialIdentification1](#)" on page 255 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
|     | Identification <Id>     | [1..1] | Text    |             | 255  |
|     | SchemeName <SchmeNm>    | [0..1] |         |             | 256  |
| {Or | Code <Cd>               | [1..1] | CodeSet |             | 256  |
| Or} | Proprietary <Prtry>     | [1..1] | Text    |             | 256  |
|     | Issuer <Issr>           | [0..1] | Text    |             | 256  |

### 11.1.4.3 BranchData3

*Definition:* Information that locates and identifies a specific branch of a financial institution.

| Or | MessageElement<XML Tag> | Mult.  | Type          | Constr. No. | Page |
|----|-------------------------|--------|---------------|-------------|------|
|    | Identification <Id>     | [0..1] | Text          |             | 253  |
|    | LEI <LEI>               | [0..1] | IdentifierSet |             | 253  |
|    | Name <Nm>               | [0..1] | Text          |             | 253  |
|    | PostalAddress <PstAdr>  | [0..1] | ±             |             | 253  |

#### 11.1.4.3.1 Identification <Id>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification of a branch of a financial institution.

*Datatype:* "Max35Text" on page 391

#### 11.1.4.3.2 LEI <LEI>

*Presence:* [0..1]

*Definition:* Legal entity identification for the branch of the financial institution.

*Datatype:* "LEIIdentifier" on page 388

#### 11.1.4.3.3 Name <Nm>

*Presence:* [0..1]

*Definition:* Name by which an agent is known and which is usually used to identify that agent.

*Datatype:* "Max140Text" on page 390

#### 11.1.4.3.4 PostalAddress <PstAdr>

*Presence:* [0..1]

*Definition:* Information that locates and identifies a specific address, as defined by postal services.

**PostalAddress <PstIAdr>** contains the following elements (see "PostalAddress24" on page 335 for details)

| Or  | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|-----|----------------------------------|--------|---------|-------------|------|
|     | AddressType <AdrTp>              | [0..1] |         |             | 336  |
| {Or | Code <Cd>                        | [1..1] | CodeSet |             | 336  |
| Or} | Proprietary <Prtry>              | [1..1] | ±       |             | 337  |
|     | Department <Dept>                | [0..1] | Text    |             | 337  |
|     | SubDepartment <SubDept>          | [0..1] | Text    |             | 337  |
|     | StreetName <StrtNm>              | [0..1] | Text    |             | 337  |
|     | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 337  |
|     | BuildingName <BldgNm>            | [0..1] | Text    |             | 338  |
|     | Floor <Flr>                      | [0..1] | Text    |             | 338  |
|     | PostBox <PstBx>                  | [0..1] | Text    |             | 338  |
|     | Room <Room>                      | [0..1] | Text    |             | 338  |
|     | PostCode <PstCd>                 | [0..1] | Text    |             | 338  |
|     | TownName <TwnNm>                 | [0..1] | Text    |             | 338  |
|     | TownLocationName <TwnLctnNm>     | [0..1] | Text    |             | 338  |
|     | DistrictName <DstrctNm>          | [0..1] | Text    |             | 338  |
|     | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 339  |
|     | Country <Ctry>                   | [0..1] | CodeSet | C3          | 339  |
|     | AddressLine <AdrLine>            | [0..7] | Text    |             | 339  |

#### 11.1.4.4 BranchAndFinancialInstitutionIdentification6

*Definition:* Unique and unambiguous identification of a financial institution or a branch of a financial institution.

| Or | MessageElement<XML Tag>                         | Mult.  | Type | Constr. No. | Page |
|----|---|--------|------|-------------|------|
|    | FinancialInstitutionIdentification <FinInstnId> | [1..1] | ±    |             | 254  |
|    | BranchIdentification <BrnchId>                  | [0..1] | ±    |             | 255  |

##### 11.1.4.4.1 FinancialInstitutionIdentification <FinInstnId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification of a financial institution, as assigned under an internationally recognised or proprietary identification scheme.

**FinancialInstitutionIdentification <FinInstnId>** contains the following elements (see "FinancialInstitutionIdentification18" on page 250 for details)

| Or | MessageElement<XML Tag>                          | Mult.  | Type          | Constr. No. | Page |
|----|--|--------|---------------|-------------|------|
|    | BICFI <BICFI>                                    | [0..1] | IdentifierSet | C2          | 250  |
|    | ClearingSystemMemberIdentification <ClrSysMmbld> | [0..1] | ±             |             | 251  |
|    | LEI <LEI>  | [0..1] | IdentifierSet |             | 251  |
|    | Name <Nm>  | [0..1] | Text          |             | 251  |
|    | PostalAddress <PstlAdr>                          | [0..1] | ±             |             | 251  |
|    | Other <Othr>                                     | [0..1] | ±             |             | 252  |

#### 11.1.4.4.2 BranchIdentification <BrnchId>

*Presence:* [0..1]

*Definition:* Identifies a specific branch of a financial institution.

*Usage:* This component should be used in case the identification information in the financial institution component does not provide identification up to branch level.

**BranchIdentification <BrnchId>** contains the following elements (see "BranchData3" on page 253 for details)

| Or | MessageElement<XML Tag> | Mult.  | Type          | Constr. No. | Page |
|----|-------------------------|--------|---------------|-------------|------|
|    | Identification <Id>     | [0..1] | Text          |             | 253  |
|    | LEI <LEI>               | [0..1] | IdentifierSet |             | 253  |
|    | Name <Nm>               | [0..1] | Text          |             | 253  |
|    | PostalAddress <PstlAdr> | [0..1] | ±             |             | 253  |

#### 11.1.4.5 GenericFinancialIdentification1

*Definition:* Information related to an identification of a financial institution.

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
|     | Identification <Id>     | [1..1] | Text    |             | 255  |
|     | SchemeName <SchmeNm>    | [0..1] |         |             | 256  |
| {Or | Code <Cd>               | [1..1] | CodeSet |             | 256  |
| Or} | Proprietary <Prtry>     | [1..1] | Text    |             | 256  |
|     | Issuer <Issr>           | [0..1] | Text    |             | 256  |

##### 11.1.4.5.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification of a person.

*Datatype:* "Max35Text" on page 391

#### 11.1.4.5.2 SchemeName <SchmeNm>

*Presence:* [0..1]

*Definition:* Name of the identification scheme.

**SchemeName <SchmeNm>** contains one of the following **FinancialIdentificationSchemeName1Choice** elements

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd>               | [1..1] | CodeSet |             | 256  |
| Or} | Proprietary <Prtry>     | [1..1] | Text    |             | 256  |

##### 11.1.4.5.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Name of the identification scheme, in a coded form as published in an external list.

*Datatype:* "ExternalFinancialInstitutionIdentification1Code" on page 369

##### 11.1.4.5.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Name of the identification scheme, in a free text form.

*Datatype:* "Max35Text" on page 391

##### 11.1.4.5.3 Issuer <Issr>

*Presence:* [0..1]

*Definition:* Entity that assigns the identification.

*Datatype:* "Max35Text" on page 391

## 11.1.5 Financial Instrument

### 11.1.5.1 SecurityIdentification19

*Definition:* Identification of a security.

| Or | MessageElement<XML Tag>       | Mult.  | Type          | Constr. No. | Page |
|----|-------------------------------|--------|---------------|-------------|------|
|    | ISIN <ISIN>                   | [0..1] | IdentifierSet |             | 257  |
|    | OtherIdentification <OthrlId> | [0..*] |               |             | 257  |
|    | Identification <Id>           | [1..1] | Text          |             | 258  |
|    | Suffix <Sfx>                  | [0..1] | Text          |             | 258  |
|    | Type <Tp>                     | [1..1] | ±             |             | 258  |
|    | Description <Desc>            | [0..1] | Text          |             | 258  |

**Constraints**

- **DescriptionPresenceRule**

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

```
On Condition
  /Description is absent
Following Must be True
  /ISIN Must be present
Or    /OtherIdentification[*] Must be present
```

- **DescriptionUsageRule**

Description must be used alone as the last resort.

- **ISINGuideline**

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

- **ISINPresenceRule**

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

```
On Condition
  /ISIN is absent
Following Must be True
  /OtherIdentification[*] Must be present
Or    /Description Must be present
```

- **OtherIdentificationPresenceRule**

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

```
On Condition
  /OtherIdentification[*] is absent
Following Must be True
  /ISIN Must be present
Or    /Description Must be present
```

**11.1.5.1.1 ISIN <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 387

**11.1.5.1.2 OtherIdentification <Othrid>**

*Presence:* [0..\*]

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

**OtherIdentification <Othrlid>** contains the following **OtherIdentification1** elements

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | Identification <Id>     | [1..1] | Text |             | 258  |
|    | Suffix <Sfx>            | [0..1] | Text |             | 258  |
|    | Type <Tp>               | [1..1] | ±    |             | 258  |

#### 11.1.5.1.2.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of a security.

*Datatype:* "Max35Text" on page 391

#### 11.1.5.1.2.2 Suffix <Sfx>

*Presence:* [0..1]

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

*Datatype:* "Max16Text" on page 391

#### 11.1.5.1.2.3 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of the identification.

**Type <Tp>** contains one of the following elements (see "IdentificationSource3Choice" on page 261 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd>               | [1..1] | CodeSet |             | 261  |
| Or} | Proprietary <Prtry>     | [1..1] | Text    |             | 261  |

#### 11.1.5.1.3 Description <Desc>

*Presence:* [0..1]

*Definition:* Textual description of a security instrument.

*Datatype:* "Max140Text" on page 390

## 11.1.6 Identification Information

### 11.1.6.1 GenericIdentification13

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

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | Identification <Id>     | [1..1] | Text |             | 259  |
|    | SchemeName <SchmeNm>    | [0..1] | Text |             | 259  |
|    | Issuer <Issr>           | [1..1] | Text |             | 259  |

**11.1.6.1.1 Identification <Id>**

*Presence:* [1..1]

*Definition:* Identification assigned by an institution.

*Datatype:* "Max4AlphaNumericText" on page 392

**11.1.6.1.2 SchemeName <SchmeNm>**

*Presence:* [0..1]

*Definition:* Name of the identification scheme.

*Datatype:* "Max35Text" on page 391

**11.1.6.1.3 Issuer <Issr>**

*Presence:* [1..1]

*Definition:* Entity that assigns the identification.

*Datatype:* "Max35Text" on page 391

**11.1.6.2 GenericIdentification78**

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

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | Type <Tp>               | [1..1] | ±    |             | 259  |
|    | Identification <Id>     | [0..1] | Text |             | 259  |

**11.1.6.2.1 Type <Tp>**

*Presence:* [1..1]

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

**Type <Tp>** contains the following elements (see "GenericIdentification30" on page 260 for details)

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | Identification <Id>     | [1..1] | Text |             | 260  |
|    | Issuer <Issr>           | [1..1] | Text |             | 260  |
|    | SchemeName <SchmeNm>    | [0..1] | Text |             | 260  |

**11.1.6.2.2 Identification <Id>**

*Presence:* [0..1]

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

*Datatype:* "Max35Text" on page 391

### 11.1.6.3 GenericIdentification30

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

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | Identification <Id>     | [1..1] | Text |             | 260  |
|    | Issuer <Issr>           | [1..1] | Text |             | 260  |
|    | SchemeName <SchmeNm>    | [0..1] | Text |             | 260  |

#### 11.1.6.3.1 Identification <Id>

*Presence:* [1..1]

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

*Datatype:* "Exact4AlphaNumericText" on page 390

#### 11.1.6.3.2 Issuer <Issr>

*Presence:* [1..1]

*Definition:* Entity that assigns the identification.

*Datatype:* "Max35Text" on page 391

#### 11.1.6.3.3 SchemeName <SchmeNm>

*Presence:* [0..1]

*Definition:* Short textual description of the scheme.

*Datatype:* "Max35Text" on page 391

### 11.1.6.4 GenericIdentification36

*Definition:* Identification using a proprietary scheme.

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | Identification <Id>     | [1..1] | Text |             | 260  |
|    | Issuer <Issr>           | [1..1] | Text |             | 261  |
|    | SchemeName <SchmeNm>    | [0..1] | Text |             | 261  |

#### 11.1.6.4.1 Identification <Id>

*Presence:* [1..1]

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

*Datatype:* "Max35Text" on page 391

**11.1.6.4.2 Issuer <Issr>***Presence:* [1..1]*Definition:* Entity that assigns the identification.*Datatype:* "Max35Text" on page 391**11.1.6.4.3 SchemeName <SchmeNm>***Presence:* [0..1]*Definition:* Short textual description of the scheme.*Datatype:* "Max35Text" on page 391**11.1.6.5 IdentificationSource3Choice***Definition:* Choice between source of identification of a financial instrument.

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd>               | [1..1] | CodeSet |             | 261  |
| Or} | Proprietary <Prtry>     | [1..1] | Text    |             | 261  |

**11.1.6.5.1 Code <Cd>***Presence:* [1..1]*Definition:* Unique and unambiguous identification source, as assigned via a pre-determined code list.*Datatype:* "ExternalFinancialInstrumentIdentificationType1Code" on page 370**11.1.6.5.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Unique and unambiguous identification source using a proprietary identification scheme.*Datatype:* "Max35Text" on page 391**11.1.7 Miscellaneous****11.1.7.1 AdditionalRightCode1Choice***Definition:* Choice of additional right code.

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd>               | [1..1] | CodeSet |             | 261  |
| Or} | Proprietary <Prtry>     | [1..1] | ±       |             | 262  |

**11.1.7.1.1 Code <Cd>***Presence:* [1..1]*Definition:* Identifies the additional right code.*Datatype:* "AdditionalRight1Code" on page 365

| CodeName | Name                    | Definition                           |
|----------|-------------------------|--------------------------------------|
| WQPS     | WrittenQuestionProposal | Defines a written question proposal. |
| RSPS     | ResolutionProposal      | Defines a resolution proposal.       |
| AIPS     | AgendaItemProposal      | Defines a resolution proposal.       |

### 11.1.7.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* This code can be used in case another reason is required.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification13](#)" on page 258 for details)

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | Identification <Id>     | [1..1] | Text |             | 259  |
|    | SchemeName <SchmeNm>    | [0..1] | Text |             | 259  |
|    | Issuer <Issr>           | [1..1] | Text |             | 259  |

### 11.1.7.2 VoteInstructionType2Choice

*Definition:* Choice between a predefined code value or a proprietary code value for a vote instruction type.

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Type <Tp>               | [1..1] | CodeSet |             | 262  |
| Or} | Proprietary <Prtry>     | [1..1] | ±       |             | 263  |

#### 11.1.7.2.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Vote option expressed as a code.

*Datatype:* "[VoteInstruction7Code](#)" on page 385

| CodeName | Name              | Definition   |
|----------|-------------------|--|
| ABST     | Abstain           | Active vote expressed as abstain (no opinion).                               |
| CAGS     | Against           | Vote against a meeting resolution.   |
| AMGT     | AgainstManagement | Vote instruction is in against the voting recommendations of the management. |
| BLNK     | Blank             | Vote is cast as empty but the vote is counted.                               |
| CFOR     | For               | Vote in favour of a meeting resolution.                                      |
| NOAC     | NoAction          | Do not vote.   |
| ONEY     | OneYear           | Vote in favour for one year for "say on pay" type of resolution.             |

| CodeName | Name           | Definition   |
|----------|----------------|--|
| THRY     | ThreeYears     | Vote in favour for three years for "say on pay" type of resolution.  |
| TWOY     | TwoYears       | Vote in favour for two years for "say on pay" type of resolution.  |
| WTHH     | Withhold       | Participant to a meeting withholds its vote for a meeting resolution. This action is usually taken in order to indicate a strong disagreement with a resolution (US market). |
| WMGT     | WithManagement | Vote instruction is in line with the voting recommendations of the management.   |

### 11.1.7.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Vote option expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification30](#)" on page 260 for details)

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | Identification <Id>     | [1..1] | Text |             | 260  |
|    | Issuer <Issr>           | [1..1] | Text |             | 260  |
|    | SchemeName <SchmeNm>    | [0..1] | Text |             | 260  |

### 11.1.7.3 Vote14

*Definition:* Vote expressed for one resolution.

| Or | MessageElement<XML Tag>                       | Mult.  | Type | Constr. No. | Page |
|----|---|--------|------|-------------|------|
|    | IssuerLabel <IssrLbl>                         | [1..1] | Text |             | 264  |
|    | ListingGroupResolutionLabel <ListgGrpRslnLbl> | [0..1] | Text |             | 264  |
|    | For <For>                                     | [0..1] | ±    |             | 264  |
|    | Against <Agnst>                               | [0..1] | ±    |             | 265  |
|    | Abstain <Abstn>                               | [0..1] | ±    |             | 265  |
|    | Withhold <Wthld>                              | [0..1] | ±    |             | 265  |
|    | WithManagement <WthMgmt>                      | [0..1] | ±    |             | 265  |
|    | AgainstManagement <AgnstMgmt>                 | [0..1] | ±    |             | 266  |
|    | Discretionary <Dscrtnry>                      | [0..1] | ±    |             | 266  |
|    | OneYear <OneYr>                               | [0..1] | ±    |             | 266  |
|    | TwoYears <TwoYrs>                             | [0..1] | ±    |             | 266  |
|    | ThreeYears <ThreeYrs>                         | [0..1] | ±    |             | 267  |
|    | NoAction <NoActn>                             | [0..1] | ±    |             | 267  |
|    | Blank <Blnk>                                  | [0..1] | ±    |             | 267  |
|    | Proprietary <Prtry>                           | [0..4] |      |             | 267  |
|    | Code <Cd>                                     | [1..1] | ±    |             | 268  |
|    | Quantity <Qty>                                | [1..1] | ±    |             | 268  |

#### 11.1.7.3.1 IssuerLabel <IssrLbl>

*Presence:* [1..1]

*Definition:* Number of the resolution as specified by the issuer or its agent.

*Datatype:* "Max35Text" on page 391

#### 11.1.7.3.2 ListingGroupResolutionLabel <ListgGrpRslnLbl>

*Presence:* [0..1]

*Definition:* Identifies under the same label a group of agenda resolutions for which a vote in favour can be assigned to only one resolution of that group.

*Datatype:* "Max35Text" on page 391

#### 11.1.7.3.3 For <For>

*Presence:* [0..1]

*Definition:* Number of votes in favour of one resolution.

**For <For>** contains one of the following elements (see "[QuantityOrCode1Choice](#)" on page 349 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Quantity <Qty>          | [1..1] | ±       |             | 349  |
| Or} | Code <Cd>               | [1..1] | CodeSet |             | 349  |

#### 11.1.7.3.4 Against <Agnst>

*Presence:* [0..1]

*Definition:* Number of votes against one resolution.

**Against <Agnst>** contains one of the following elements (see "[QuantityOrCode1Choice](#)" on page 349 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Quantity <Qty>          | [1..1] | ±       |             | 349  |
| Or} | Code <Cd>               | [1..1] | CodeSet |             | 349  |

#### 11.1.7.3.5 Abstain <Abstn>

*Presence:* [0..1]

*Definition:* Number of abstention votes for one resolution.

**Abstain <Abstn>** contains one of the following elements (see "[QuantityOrCode1Choice](#)" on page 349 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Quantity <Qty>          | [1..1] | ±       |             | 349  |
| Or} | Code <Cd>               | [1..1] | CodeSet |             | 349  |

#### 11.1.7.3.6 Withhold <Wthhld>

*Presence:* [0..1]

*Definition:* Number of votes withheld for one resolution.

**Withhold <Wthhld>** contains one of the following elements (see "[QuantityOrCode1Choice](#)" on page 349 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Quantity <Qty>          | [1..1] | ±       |             | 349  |
| Or} | Code <Cd>               | [1..1] | CodeSet |             | 349  |

#### 11.1.7.3.7 WithManagement <WthMgmt>

*Presence:* [0..1]

*Definition:* Number of votes in line with the votes of the management.

**WithManagement <WthMgmt>** contains one of the following elements (see "[QuantityOrCode1Choice](#)" on page 349 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Quantity <Qty>          | [1..1] | ±       |             | 349  |
| Or} | Code <Cd>               | [1..1] | CodeSet |             | 349  |

#### 11.1.7.3.8 AgainstManagement <AgnstMgmt>

*Presence:* [0..1]

*Definition:* Number of votes against the voting recommendation of the management.

**AgainstManagement <AgnstMgmt>** contains one of the following elements (see "[QuantityOrCode1Choice](#)" on page 349 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Quantity <Qty>          | [1..1] | ±       |             | 349  |
| Or} | Code <Cd>               | [1..1] | CodeSet |             | 349  |

#### 11.1.7.3.9 Discretionary <Dscrtrny>

*Presence:* [0..1]

*Definition:* Number of votes for which decision is left to the party that will exercise the voting right.

**Discretionary <Dscrtrny>** contains one of the following elements (see "[QuantityOrCode1Choice](#)" on page 349 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Quantity <Qty>          | [1..1] | ±       |             | 349  |
| Or} | Code <Cd>               | [1..1] | CodeSet |             | 349  |

#### 11.1.7.3.10 OneYear <OneYr>

*Presence:* [0..1]

*Definition:* Number of votes in favour for one year for "say on pay" type of resolution.

**OneYear <OneYr>** contains one of the following elements (see "[QuantityOrCode1Choice](#)" on page 349 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Quantity <Qty>          | [1..1] | ±       |             | 349  |
| Or} | Code <Cd>               | [1..1] | CodeSet |             | 349  |

#### 11.1.7.3.11 TwoYears <TwoYrs>

*Presence:* [0..1]

*Definition:* Number of votes in favour of two years for "say on pay" type of resolution.

**TwoYears <TwoYrs>** contains one of the following elements (see "[QuantityOrCode1Choice](#)" on page 349 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Quantity <Qty>          | [1..1] | ±       |             | 349  |
| Or} | Code <Cd>               | [1..1] | CodeSet |             | 349  |

#### 11.1.7.3.12 ThreeYears <ThreeYrs>

*Presence:* [0..1]

*Definition:* Number of votes in favour of three years for "say on pay" type of resolution.

**ThreeYears <ThreeYrs>** contains one of the following elements (see "[QuantityOrCode1Choice](#)" on page 349 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Quantity <Qty>          | [1..1] | ±       |             | 349  |
| Or} | Code <Cd>               | [1..1] | CodeSet |             | 349  |

#### 11.1.7.3.13 NoAction <NoActn>

*Presence:* [0..1]

*Definition:* Do not vote.

**NoAction <NoActn>** contains one of the following elements (see "[QuantityOrCode1Choice](#)" on page 349 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Quantity <Qty>          | [1..1] | ±       |             | 349  |
| Or} | Code <Cd>               | [1..1] | CodeSet |             | 349  |

#### 11.1.7.3.14 Blank <Blnk>

*Presence:* [0..1]

*Definition:* Vote is cast as empty but the vote is counted.

**Blank <Blnk>** contains one of the following elements (see "[QuantityOrCode1Choice](#)" on page 349 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Quantity <Qty>          | [1..1] | ±       |             | 349  |
| Or} | Code <Cd>               | [1..1] | CodeSet |             | 349  |

#### 11.1.7.3.15 Proprietary <Prtry>

*Presence:* [0..4]

*Definition:* Other type of vote expressed as a proprietary code.

**Proprietary <Prtry>** contains the following **ProprietaryVote1** elements

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | Code <Cd>               | [1..1] | ±    |             | 268  |
|    | Quantity <Qty>          | [1..1] | ±    |             | 268  |

#### 11.1.7.3.15.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Other type of vote expressed as a proprietary code.

**Code <Cd>** contains the following elements (see "[GenericIdentification30](#)" on page 260 for details)

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | Identification <Id>     | [1..1] | Text |             | 260  |
|    | Issuer <Issr>           | [1..1] | Text |             | 260  |
|    | SchemeName <SchmeNm>    | [0..1] | Text |             | 260  |

#### 11.1.7.3.15.2 Quantity <Qty>

*Presence:* [1..1]

*Definition:* Quantity of securities voted.

**Quantity <Qty>** contains one of the following elements (see "[QuantityOrCode1Choice](#)" on page 349 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Quantity <Qty>          | [1..1] | ±       |             | 349  |
| Or} | Code <Cd>               | [1..1] | CodeSet |             | 349  |

#### 11.1.7.4 ProxyAppointmentInformation6

*Definition:* Information about the registration of a proxy.

| Or | MessageElement<XML Tag>       | Mult.   | Type | Constr. No. | Page |
|----|-------------------------------|---------|------|-------------|------|
|    | RegistrationMethod <RegnMtd>  | [0..1]  | Text |             | 268  |
|    | Deadline <Ddln>               | [0..1]  | ±    |             | 269  |
|    | MarketDeadline <MktDdln>      | [0..1]  | ±    |             | 269  |
|    | AuthorisedProxy <AuthrsdPrxy> | [0..10] | ±    |             | 269  |

#### 11.1.7.4.1 RegistrationMethod <RegnMtd>

*Presence:* [0..1]

*Definition:* Specifies how to register the proxy.

*Datatype:* "[Max350Text](#)" on page 391

**11.1.7.4.2 Deadline <DdlIn>***Presence:* [0..1]*Definition:* Date by which the information on the proxy assignment must be received by the intermediary.**Deadline <DdlIn>** contains one of the following elements (see "[DateFormat58Choice](#)" on page 246 for details)

| Or  | MessageElement<XML Tag>   | Mult.  | Type    | Constr. No. | Page |
|-----|---------------------------|--------|---------|-------------|------|
| {Or | DateOrDateTime <DtOrDtTm> | [1..1] | ±       |             | 246  |
| Or} | DateCode <DtCd>           | [1..1] | CodeSet |             | 246  |

**11.1.7.4.3 MarketDeadline <MktDdlIn>***Presence:* [0..1]*Definition:* Date by which the information on the proxy assignment must be received by the issuer.**MarketDeadline <MktDdlIn>** contains one of the following elements (see "[DateFormat58Choice](#)" on page 246 for details)

| Or  | MessageElement<XML Tag>   | Mult.  | Type    | Constr. No. | Page |
|-----|---------------------------|--------|---------|-------------|------|
| {Or | DateOrDateTime <DtOrDtTm> | [1..1] | ±       |             | 246  |
| Or} | DateCode <DtCd>           | [1..1] | CodeSet |             | 246  |

**11.1.7.4.4 AuthorisedProxy <AuthrsdPrxy>***Presence:* [0..10]*Definition:* Proxy person that is authorised by the issuer.**AuthorisedProxy <AuthrsdPrxy>** contains the following elements (see "[Proxy11](#)" on page 302 for details)

| Or  | MessageElement<XML Tag>        | Mult.  | Type    | Constr. No. | Page |
|-----|--------------------------------|--------|---------|-------------|------|
|     | ProxyType <PrxyTp>             | [1..1] | CodeSet |             | 302  |
|     | PersonDetails <PrsnDtls>       | [0..1] |         |             | 303  |
|     | PreassignedProxy <PrssgndPrxy> | [0..1] |         |             | 303  |
| {Or | LegalPerson <LglPrsn>          | [1..1] | ±       |             | 303  |
| Or} | NaturalPerson <NtrlPrsn>       | [1..1] | ±       |             | 304  |
|     | EmployingParty <EmplngPty>     | [0..1] | ±       |             | 304  |

**11.1.7.5 DateAndPlaceOfBirth2***Definition:* Date and place of birth of a person.

| Or | MessageElement<XML Tag>       | Mult.  | Type    | Constr. No. | Page |
|----|-------------------------------|--------|---------|-------------|------|
|    | BirthDate <BirthDt>           | [1..1] | Date    |             | 270  |
|    | ProvinceOfBirth <PrvcOfBirth> | [0..1] | Text    |             | 270  |
|    | CityOfBirth <CityOfBirth>     | [0..1] | Text    |             | 270  |
|    | CountryOfBirth <CtryOfBirth>  | [0..1] | CodeSet | C3          | 270  |

#### 11.1.7.5.1 BirthDate <BirthDt>

*Presence:* [1..1]

*Definition:* Date on which a person is born.

*Datatype:* "ISODate" on page 386

#### 11.1.7.5.2 ProvinceOfBirth <PrvcOfBirth>

*Presence:* [0..1]

*Definition:* Province where a person was born.

*Datatype:* "Max35Text" on page 391

#### 11.1.7.5.3 CityOfBirth <CityOfBirth>

*Presence:* [0..1]

*Definition:* City where a person was born.

*Datatype:* "Max35Text" on page 391

#### 11.1.7.5.4 CountryOfBirth <CtryOfBirth>

*Presence:* [0..1]

*Definition:* Country where a person was born.

*Impacted by:* C3 "Country"

*Datatype:* "CountryCode" on page 367

##### Constraints

- **Country**

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

#### 11.1.7.6 VotingRightsThreshold1

*Definition:* Specifies a threshold level and a threshold basis for passing resolutions at general meetings.

| Or  | MessageElement<XML Tag>      | Mult.  | Type    | Constr. No. | Page |
|-----|------------------------------|--------|---------|-------------|------|
|     | Threshold <Thrshld>          | [1..1] | ±       |             | 271  |
|     | ThresholdBasis <ThrshldBsis> | [0..1] |         |             | 271  |
| {Or | Code <Cd>                    | [1..1] | CodeSet |             | 271  |
| Or} | Proprietary <Prtry>          | [1..1] | ±       |             | 272  |

#### 11.1.7.6.1 Threshold <Thrshld>

*Presence:* [1..1]

*Definition:* Voting rights threshold required for a resolution to pass in percentage or in quantity.

**Threshold <Thrshld>** contains one of the following elements (see "[NumberOrPercentage1Choice](#)" on page 276 for details)

| Or  | MessageElement<XML Tag>           | Mult.  | Type     | Constr. No. | Page |
|-----|-----------------------------------|--------|----------|-------------|------|
| {Or | ThresholdPercentage <ThrshldPctg> | [1..1] | Rate     |             | 276  |
| Or} | ThresholdNumber <ThrshldNb>       | [1..1] | Quantity |             | 276  |

#### 11.1.7.6.2 ThresholdBasis <ThrshldBsis>

*Presence:* [0..1]

*Definition:* Nature of the quantity used as a basis to set a threshold for voting on resolutions at general meetings.

**ThresholdBasis <ThrshldBsis>** contains one of the following **ThresholdBasis1Choice** elements

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd>               | [1..1] | CodeSet |             | 271  |
| Or} | Proprietary <Prtry>     | [1..1] | ±       |             | 272  |

##### 11.1.7.6.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Nature of the quantity used as a basis to set a threshold for voting on resolutions at general meetings and provided as a code value.

*Datatype:* "[ThresholdBasis1Code](#)" on page 382

| CodeName | Name                          | Definition   |
|----------|-------------------------------|--|
| ALSH     | AllIssuedShares               | Basis is the total number of shares issued.                                  |
| ALSM     | AllSharesRepresentedAtMeeting | Basis is the total number of shares represented at the meeting by attendees. |
| ALVO     | AllVoteCast                   | Basis is the total number of vote cast for a resolution.                     |

**11.1.7.6.2 Proprietary <Prtry>**

*Presence:* [1..1]

*Definition:* Nature of the quantity used as a basis to set a threshold for voting on resolutions at general meetings and defined as a proprietary value.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification30](#)" on page 260 for details)

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | Identification <Id>     | [1..1] | Text |             | 260  |
|    | Issuer <Issr>           | [1..1] | Text |             | 260  |
|    | SchemeName <SchmeNm>    | [0..1] | Text |             | 260  |

**11.1.7.7 QuorumQuantity1Choice**

*Definition:* Choice of quorum quantity.

| Or  | MessageElement<XML Tag>               | Mult.  | Type | Constr. No. | Page |
|-----|---------------------------------------|--------|------|-------------|------|
| {Or | QuorumQuantity <QrmQty>               | [1..1] | Text |             | 272  |
| Or} | QuorumQuantityPercentage <QrmQtyPctg> | [1..1] | Rate |             | 272  |

**11.1.7.7.1 QuorumQuantity <QrmQty>**

*Presence:* [1..1]

*Definition:* Minimum quantity of securities required to hold a meeting.

*Datatype:* "[Max35Text](#)" on page 391

**11.1.7.7.2 QuorumQuantityPercentage <QrmQtyPctg>**

*Presence:* [1..1]

*Definition:* Minimum quantity of securities, expressed as a percentage, required to hold a meeting.

*Datatype:* "[PercentageRate](#)" on page 389

**11.1.7.8 ParticipationMethod3Choice**

*Definition:* Choice between a predefined code value or a proprietary code value for a general meeting voting participation method.

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd>               | [1..1] | CodeSet |             | 272  |
| Or} | Proprietary <Prtry>     | [1..1] | ±       |             | 273  |

**11.1.7.8.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Method of participation in the general meeting vote expressed as a code.

Datatype: "VotingParticipationMethod3Code" on page 386

| CodeName | Name             | Definition   |
|----------|------------------|--|
| MAIL     | Correspondence   | Vote participation is via documents sent through physical post / mail.   |
| EVOT     | ElectronicVoting | Vote participation is through electronic means like dedicated standards messaging or web based voting applications.        |
| PHYS     | InPerson         | Vote participation is through physical attendance.   |
| PHNV     | NotVoting        | Participation to the meeting is in person but the person is not voting.  |
| PRXY     | Proxy            | Vote participation is through a proxy person.  |
| VIRT     | Virtual          | Vote participation is through virtual meeting attendance method like multimedia and web based video or audio conferencing. |

### 11.1.7.8.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Method of participation in the general meeting vote expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see "GenericIdentification30" on page 260 for details)

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | Identification <Id>     | [1..1] | Text |             | 260  |
|    | Issuer <Issr>           | [1..1] | Text |             | 260  |
|    | SchemeName <SchmeNm>    | [0..1] | Text |             | 260  |

### 11.1.7.9 InstructionProcessingStatus5

Definition: Status advising on the processing of the instruction.

| Or | MessageElement<XML Tag>             | Mult.  | Type    | Constr. No. | Page |
|----|-------------------------------------|--------|---------|-------------|------|
|    | Status <Sts>                        | [1..1] | CodeSet |             | 274  |
|    | AttendanceCardNumber <AttdncCardNb> | [0..1] | Text    |             | 274  |
|    | AdditionalInformation <AddtlInf>    | [0..1] | Text    |             | 274  |

#### Constraints

- AttendanceCardNumber1Rule

If AttendanceCardNumber is present, then Status must be ATTC (AttendanceConfirmed).

On Condition  
/AttendanceCardNumber is present

Following Must be True  
/Status Must be equal to value 'AttendanceConfirmed'

### 11.1.7.9.1 Status <Sts>

*Presence:* [1..1]

*Definition:* Status code.

*Datatype:* "Status9Code" on page 381

| CodeName | Name                             | Definition   |
|----------|----------------------------------|--|
| PACK     | Accepted                         | Instruction has been accepted and is validated for further processing.   |
| ATTC     | AttendanceConfirmed              | Attendance is confirmed at the meeting.  |
| CAND     | Cancelled                        | Instruction has been cancelled.  |
| CSUB     | CancelledBySubcustodian          | Instruction has been cancelled by the agent, for example, due to an event deadline extension.                    |
| FRWD     | Forwarded                        | Accepted and sent along the chain.   |
| RCIS     | ReceivedByIssuerOrRegistrar      | Instruction has been received by Issuer, equivalent to the confirmation of receipt of votes cast electronically. |
| REGM     | RegisteredToParticipateAtMeeting | Rights holder has been registered to participate to the meeting.   |
| STIN     | StandingInstruction              | Standing instruction is applied.   |

### 11.1.7.9.2 AttendanceCardNumber <AttdncCardNb>

*Presence:* [0..1]

*Definition:* Number of the admission ticket that has been granted by the custodian or the issuer.

*Datatype:* "Max35Text" on page 391

### 11.1.7.9.3 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the status.

*Datatype:* "Max350Text" on page 391

### 11.1.7.10 AttendanceCard3

*Definition:* Specifies details related to the attendance card.

| Or | MessageElement<XML Tag>                   | Mult.  | Type    | Constr. No. | Page |
|----|---|--------|---------|-------------|------|
|    | AttendanceCardLabelling <AttdncCardLbllg> | [0..1] | Text    |             | 275  |
|    | DeliveryMethod <DlvryMtd>                 | [1..1] | CodeSet |             | 275  |
|    | OtherAddress <OthrAdr>                    | [0..1] | ±       |             | 275  |

**Constraints**

- **OtherAddressCode1Rule**

If DeliveryMethod is OtherAddress "OADR", then OtherAddress must be present.

On Condition

/DeliveryMethod is equal to value 'OtherAddress'

Following Must be True

/OtherAddress Must be present

**11.1.7.10.1 AttendanceCardLabelling <AttndncCardLbllg>**

*Presence:* [0..1]

*Definition:* Information to be indicated on the attendance card.

*Datatype:* "Max105Text" on page 390

**11.1.7.10.2 DeliveryMethod <DivryMtd>**

*Presence:* [1..1]

*Definition:* Specifies where the attendance card must be delivered.

*Datatype:* "DeliveryPlace3Code" on page 368

| CodeName | Name            | Definition   |
|----------|-----------------|--|
| EMAL     | Email           | Card needs to be sent via e-mail.                                    |
| EMPL     | Employer        | Card needs to be mailed to employer's address.                       |
| INDI     | Individual      | Card needs to be mailed to the individual specified in PersonDetail. |
| ENTR     | MeetingEntrance | Card needs to be available at the entrance of the meeting.           |
| OADR     | OtherAddress    | Cards needs to be send to another specified address.                 |

**11.1.7.10.3 OtherAddress <OthrAdr>**

*Presence:* [0..1]

*Definition:* Name and address of the party.

**OtherAddress <OthrAdr>** contains the following elements (see "[NameAndAddress9](#)" on page 341 for details)

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | Name <Nm>               | [1..1] | Text |             | 341  |
|    | Address <Adr>           | [0..1] | ±    | C19         | 341  |

**11.1.7.11 OrganisationIdentification5**

*Definition:* Official identification of an organisation (legal entity) in a specific register.

| Or | MessageElement<XML Tag>     | Mult.  | Type | Constr. No. | Page |
|----|-----------------------------|--------|------|-------------|------|
|    | RegistrationNumber <RegnNb> | [1..1] | Text |             | 276  |
|    | RegisterName <RegrNm>       | [0..1] | Text |             | 276  |

#### 11.1.7.11.1 RegistrationNumber <RegnNb>

*Presence:* [1..1]

*Definition:* Name of the register of legal entities.

*Datatype:* "Max35Text" on page 391

#### 11.1.7.11.2 RegisterName <RegrNm>

*Presence:* [0..1]

*Definition:* Name of the register managed by a registration authority.

*Datatype:* "Max35Text" on page 391

#### 11.1.7.12 NumberOrPercentage1Choice

*Definition:* Choice between a percentage and number for a threshold.

| Or  | MessageElement<XML Tag>           | Mult.  | Type     | Constr. No. | Page |
|-----|-----------------------------------|--------|----------|-------------|------|
| {Or | ThresholdPercentage <ThrshldPctg> | [1..1] | Rate     |             | 276  |
| Or} | ThresholdNumber <ThrshldNb>       | [1..1] | Quantity |             | 276  |

#### 11.1.7.12.1 ThresholdPercentage <ThrshldPctg>

*Presence:* [1..1]

*Definition:* Threshold provided as a percentage rate.

*Datatype:* "PercentageRate" on page 389

#### 11.1.7.12.2 ThresholdNumber <ThrshldNb>

*Presence:* [1..1]

*Definition:* Threshold provided as a decimal number.

*Datatype:* "Number" on page 389

#### 11.1.7.13 Entitlement1Choice

*Definition:* Choice of entitlement calculation method.

| Or  | MessageElement<XML Tag>                | Mult.  | Type     | Constr. No. | Page |
|-----|--|--------|----------|-------------|------|
| {Or | EntitlementRatio <EntitlmntRatio>      | [1..1] | Quantity |             | 277  |
| Or} | EntitlementDescription <EntitlmntDesc> | [1..1] | Text     |             | 277  |

### 11.1.7.13.1 EntitlementRatio <EntitmntRatio>

*Presence:* [1..1]

*Definition:* Number of votes assigned to one security.

*Datatype:* "DecimalNumber" on page 388

### 11.1.7.13.2 EntitlementDescription <EntitmntDesc>

*Presence:* [1..1]

*Definition:* Specifies the calculation method of the number of votes assigned to one security. This element should be used when the entitlement calculation rule is complex.

*Datatype:* "Max35Text" on page 391

### 11.1.7.14 VoteInstructionType1

*Definition:* Vote options for a resolution.

| Or | MessageElement<XML Tag>                 | Mult.  | Type | Constr. No. | Page |
|----|---|--------|------|-------------|------|
|    | VoteInstructionTypeCode <VoteInstrTpCd> | [1..1] | ±    |             | 277  |
|    | AdditionalInformation <AddtlInf>        | [0..1] | Text |             | 277  |

#### Constraints

- **AdditionalInformationRule**

If AdditionalInformation is present, then VoteInstructionTypeCode/Proprietary/Identification must be present.

On Condition

/AdditionalInformation is present

Following Must be True

/VoteInstructionTypeCode/Proprietary/Identification Must be present

### 11.1.7.14.1 VoteInstructionTypeCode <VoteInstrTpCd>

*Presence:* [1..1]

*Definition:* Vote option allowed at the resolution level.

**VoteInstructionTypeCode <VoteInstrTpCd>** contains one of the following elements (see "VoteInstructionType1Choice" on page 284 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Type <Tp>               | [1..1] | CodeSet |             | 284  |
| Or} | Proprietary <Prtry>     | [1..1] | ±       |             | 285  |

### 11.1.7.14.2 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the vote instruction type code when expressed as a proprietary code.

*Datatype:* "Max350Text" on page 391

### 11.1.7.15 AdditionalRightThreshold1Choice

*Definition:* Choice of additional right threshold.

| Or  | MessageElement<XML Tag>                                   | Mult.  | Type | Constr. No. | Page |
|-----|---|--------|------|-------------|------|
| {Or | AdditionalRightThreshold <AddtlRghtThrshld>               | [1..1] | Text |             | 278  |
| Or} | AdditionalRightThresholdPercentage <AddtlRghtThrshldPctg> | [1..1] | Rate |             | 278  |

#### 11.1.7.15.1 AdditionalRightThreshold <AddtlRghtThrshld>

*Presence:* [1..1]

*Definition:* Additional right granted to specify the minimum stake in share capital or cash value or number of security holders required to table resolutions.

*Datatype:* "Max35Text" on page 391

#### 11.1.7.15.2 AdditionalRightThresholdPercentage <AddtlRghtThrshldPctg>

*Presence:* [1..1]

*Definition:* Additional right granted to specify the minimum stake in share capital or cash value or number of security holders required to table resolutions. This minimum is expressed as a percentage.

*Datatype:* "PercentageRate" on page 389

### 11.1.7.16 ProprietaryVote2

*Definition:* Proprietary vote type and quantity voted.

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | Code <Cd>               | [1..1] | ±    |             | 278  |
|    | Quantity <Qty>          | [1..1] | ±    |             | 278  |

#### 11.1.7.16.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Other type of vote expressed as a proprietary code.

**Code <Cd>** contains the following elements (see "GenericIdentification30" on page 260 for details)

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | Identification <Id>     | [1..1] | Text |             | 260  |
|    | Issuer <Issr>           | [1..1] | Text |             | 260  |
|    | SchemeName <SchmeNm>    | [0..1] | Text |             | 260  |

#### 11.1.7.16.2 Quantity <Qty>

*Presence:* [1..1]

*Definition:* Quantity of securities voted.

**Quantity <Qty>** contains one of the following elements (see "[FinancialInstrumentQuantity18Choice](#)" on page 348 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type     | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Unit <Unit>             | [1..1] | Quantity |             | 349  |
| Or} | FaceAmount <FaceAmt>    | [1..1] | Amount   |             | 349  |

### 11.1.7.17 IncentivePremium5

*Definition:* Cash premium made available if the securities holder consents or participates to an event.

| Or  | MessageElement<XML Tag>           | Mult.  | Type      | Constr. No. | Page |
|-----|-----------------------------------|--------|-----------|-------------|------|
|     | Description <Desc>                | [0..1] | Text      |             | 279  |
|     | Amount <Amt>                      | [1..1] | ±         |             | 279  |
|     | Type <Tp>                         | [1..1] |           |             | 279  |
| {Or | PerSecurity <PerScty>             | [1..1] | Quantity  |             | 280  |
| Or  | PerVote <PerVote>                 | [1..*] |           |             | 280  |
|     | VoteInstructionType <VoteInstrTp> | [1..1] | ±         |             | 280  |
|     | VoteQuantity <VoteQty>            | [1..1] | Quantity  |             | 280  |
| Or} | PerAttendee <PerAttndee>          | [1..1] | Indicator |             | 280  |
|     | PaymentDate <PmtDt>               | [0..1] | ±         |             | 281  |

#### 11.1.7.17.1 Description <Desc>

*Presence:* [0..1]

*Definition:* Description of the premium.

*Datatype:* "[Max350Text](#)" on page 391

#### 11.1.7.17.2 Amount <Amt>

*Presence:* [1..1]

*Definition:* Cash premium paid per security, per vote or per attendee.

**Amount <Amt>** contains one of the following elements (see "[PriceRateOrAmount3Choice](#)" on page 342 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type   | Constr. No. | Page |
|-----|-------------------------|--------|--------|-------------|------|
| {Or | Rate <Rate>             | [1..1] | Rate   |             | 342  |
| Or} | Amount <Amt>            | [1..1] | Amount | C4          | 343  |

#### 11.1.7.17.3 Type <Tp>

*Presence:* [1..1]

*Definition:* Specifies which voting related criteria gives rights to an incentive premium.

**Type <Tp>** contains one of the following **IncentivePremiumType2Choice** elements

| Or  | MessageElement<XML Tag>           | Mult.  | Type      | Constr. No. | Page |
|-----|-----------------------------------|--------|-----------|-------------|------|
| {Or | PerSecurity <PerScty>             | [1..1] | Quantity  |             | 280  |
| Or  | PerVote <PerVote>                 | [1..*] |           |             | 280  |
|     | VoteInstructionType <VoteInstrTp> | [1..1] | ±         |             | 280  |
|     | VoteQuantity <VoteQty>            | [1..1] | Quantity  |             | 280  |
| Or} | PerAttendee <PerAttndee>          | [1..1] | Indicator |             | 280  |

**11.1.7.17.3.1 PerSecurity <PerScty>**

*Presence:* [1..1]

*Definition:* Number of securities giving right to a premium.

*Datatype:* "Number" on page 389

**11.1.7.17.3.2 PerVote <PerVote>**

*Presence:* [1..\*]

*Definition:* Quantity of votes per type of vote giving right to a premium.

**PerVote <PerVote>** contains the following **VoteTypeAndQuantity1** elements

| Or | MessageElement<XML Tag>           | Mult.  | Type     | Constr. No. | Page |
|----|-----------------------------------|--------|----------|-------------|------|
|    | VoteInstructionType <VoteInstrTp> | [1..1] | ±        |             | 280  |
|    | VoteQuantity <VoteQty>            | [1..1] | Quantity |             | 280  |

**11.1.7.17.3.2.1 VoteInstructionType <VoteInstrTp>**

*Presence:* [1..1]

*Definition:* Types of vote instruction allowed for resolutions to be voted on in general meeting.

**VoteInstructionType <VoteInstrTp>** contains one of the following elements (see "VoteInstructionType1Choice" on page 284 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Type <Tp>               | [1..1] | CodeSet |             | 284  |
| Or} | Proprietary <Prtry>     | [1..1] | ±       |             | 285  |

**11.1.7.17.3.2.2 VoteQuantity <VoteQty>**

*Presence:* [1..1]

*Definition:* Quantity of vote expressed for the specified type of vote instruction.

*Datatype:* "Number" on page 389

**11.1.7.17.3.3 PerAttendee <PerAttndee>**

*Presence:* [1..1]

*Definition:* Indicates that the premium is given per attendee.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 388):

- *Meaning When True:* Yes
- *Meaning When False:* No

#### 11.1.7.17.4 PaymentDate <PmtDt>

*Presence:* [0..1]

*Definition:* Date/time for the payment of the premium.

**PaymentDate <PmtDt>** contains one of the following elements (see "[DateFormat3Choice](#)" on page 243 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Date <Dt>               | [1..1] | Date    |             | 243  |
| Or} | DateCode <DtCd>         | [1..1] | CodeSet |             | 243  |

#### 11.1.7.18 LocationFormat1Choice

*Definition:* Choice between the formats to indicate the location of the meeting.

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Address <Adr>           | [1..1] | ±       |             | 281  |
| Or} | LocationCode <LctnCd>   | [1..1] | CodeSet |             | 282  |

#### 11.1.7.18.1 Address <Adr>

*Presence:* [1..1]

*Definition:* Specifies physical address of the meeting.

**Address <Adr>** contains the following elements (see "[PostalAddress1](#)" on page 339 for details)

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 339  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 340  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 340  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 340  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 340  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 340  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 340  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 341  |

**11.1.7.18.2 LocationCode <LctnCd>**

*Presence:* [1..1]

*Definition:* Indicates that the location is unknown.

*Datatype:* "PlaceType1Code" on page 375

| CodeName | Name    | Definition                    |
|----------|---------|-------------------------------|
| UKWN     | Unknown | The type of place is unknown. |

**11.1.7.19 AttendanceAdmissionConditions2**

*Definition:* Physical attendance admission conditions for a meeting.

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | Code <Cd>                        | [1..1] | CodeSet |             | 282  |
|    | AdditionalInformation <AddtlInf> | [0..1] | Text    |             | 283  |

**11.1.7.19.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Condition for physical admittance to the general meeting.

*Datatype:* "AttendanceAdmissionConditions2Code" on page 366

| CodeName | Name                                     | Definition   |
|----------|--|--|
| MASH     | AllowedForShareholder                    | Any attendee must be a shareholder themselves.   |
| MASL     | AllowedIfRegisteredInStockLedger         | Attendee must be a shareholder registered in company stock ledger book.  |
| MAPO     | AllowedOnBehalf                          | Attendees acting on behalf of registered holder must have a valid power of attorney (POA) and/or proof of holding.                           |
| MAAL     | AllowedWithAttendeeList                  | Attendees will be placed on a attendee list and must bring photographic identification with them.  |
| MALR     | AllowedWithLetterOfRepresentation        | Attendees will be placed on a attendee list or issued with a letter of representation, and must bring photographic identification with them. |
| MAHI     | AllowedWithProof                         | Attendees must request proof of holding and register for attendance directly with Issuer.  |
| MATK     | AllowedWithTicket                        | Attendees will be issued an admission ticket and must bring photographic identification with them.   |
| MADS     | DelegateAllowedIfRegisteredInStockLedger | Attendee must be a delegate of the shareholder registered in the company stock ledger book.  |
| MANP     | NotPossible                              | Meeting attendance is not possible.  |

**11.1.7.19.2 AdditionalInformation <AddtlInf>**

*Presence:* [0..1]

*Definition:* Additional information on the conditions for physical admittance to the general meeting.

*Datatype:* "Max350Text" on page 391

**11.1.7.20 ModalityOfCounting1Choice**

*Definition:* Modality of counting as a predefined or proprietary code value.

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd>               | [1..1] | CodeSet |             | 283  |
| Or} | Proprietary <Prtry>     | [1..1] | ±       |             | 283  |

**11.1.7.20.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Modality of counting expressed as a code.

*Datatype:* "ModalityOfCounting1Code" on page 372

| CodeName | Name                | Definition   |
|----------|---------------------|--|
| EVAM     | ElectronicAtMeeting | Electronic vote recorded and counted at the meeting.       |
| EVBM     | ElectronicBefore    | Electronic vote recorded and counted ahead of the meeting. |
| PVBM     | PaperBefore         | Paper vote recorded and counted ahead of the meeting.      |
| PVAM     | PhysicalAtMeeting   | Physical attendance with vote at the meeting.              |

**11.1.7.20.2 Proprietary <Prtry>**

*Presence:* [1..1]

*Definition:* Modality of counting expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification30](#)" on page 260 for details)

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | Identification <Id>     | [1..1] | Text |             | 260  |
|    | Issuer <Issr>           | [1..1] | Text |             | 260  |
|    | SchemeName <SchmeNm>    | [0..1] | Text |             | 260  |

**11.1.7.21 CommunicationAddress11**

*Definition:* Communication device number or electronic address used for communication.

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | EmailAddress <EmailAdr> | [0..1] | Text |             | 284  |
|    | URLAddress <URLAdr>     | [0..1] | Text |             | 284  |

#### 11.1.7.21.1 EmailAddress <EmailAdr>

*Presence:* [0..1]

*Definition:* Address for electronic mail (e-mail).

*Datatype:* "Max256Text" on page 391

#### 11.1.7.21.2 URLAddress <URLAdr>

*Presence:* [0..1]

*Definition:* Address for the Universal Resource Locator (URL), for example used over the www (HTTP) service.

*Datatype:* "Max2048Text" on page 391

#### 11.1.7.22 VoteInstructionType1Choice

*Definition:* Choice between a predefined code value or a proprietary code value for a vote instruction type.

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Type <Tp>               | [1..1] | CodeSet |             | 284  |
| Or} | Proprietary <Prtry>     | [1..1] | ±       |             | 285  |

#### 11.1.7.22.1 Type <Tp>

*Presence:* [1..1]

*Definition:* Vote option expressed as a code.

*Datatype:* "VoteInstruction6Code" on page 384

| CodeName | Name              | Definition   |
|----------|-------------------|--|
| ABST     | Abstain           | Active vote expressed as abstain (no opinion).                               |
| CAGS     | Against           | Vote against a meeting resolution.   |
| AMGT     | AgainstManagement | Vote instruction is in against the voting recommendations of the management. |
| BLNK     | Blank             | Vote is cast as empty but the vote is counted.                               |
| CHRM     | Chairman          | Rights holder gives authority to the chairman to vote on his behalf.         |
| DISC     | Discretionary     | Voting party is assigned discretionary right to vote for one resolution.     |
| CFOR     | For               | Vote in favour of a meeting resolution.                                      |

| CodeName | Name           | Definition   |
|----------|----------------|--|
| NOAC     | NoAction       | Do not vote.   |
| ONEY     | OneYear        | Vote in favour for one year for "say on pay" type of resolution.   |
| THRY     | ThreeYears     | Vote in favour for three years for "say on pay" type of resolution.  |
| TWOY     | TwoYears       | Vote in favour for two years for "say on pay" type of resolution.  |
| WTHH     | Withhold       | Participant to a meeting withholds its vote for a meeting resolution. This action is usually taken in order to indicate a strong disagreement with a resolution (US market). |
| WMGT     | WithManagement | Vote instruction is in line with the voting recommendations of the management.   |

### 11.1.7.22.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Vote option expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see ["GenericIdentification30"](#) on page 260 for details)

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | Identification <Id>     | [1..1] | Text |             | 260  |
|    | Issuer <Issr>           | [1..1] | Text |             | 260  |
|    | SchemeName <SchmeNm>    | [0..1] | Text |             | 260  |

### 11.1.7.23 NaturalPersonIdentification1

*Definition:* Identification number and identification type of a natural person.

| Or  | MessageElement<XML Tag>   | Mult.  | Type    | Constr. No. | Page |
|-----|---------------------------|--------|---------|-------------|------|
|     | Identification <Id>       | [1..1] | Text    |             | 285  |
|     | IdentificationType <IdTp> | [0..1] |         |             | 286  |
| {Or | Code <Cd>                 | [1..1] | CodeSet |             | 286  |
| Or} | Proprietary <Prtry>       | [1..1] | ±       |             | 286  |

#### 11.1.7.23.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Natural person local identification.

*Datatype:* ["Max35Text"](#) on page 391

**11.1.7.23.2 IdentificationType <IdTp>***Presence:* [0..1]*Definition:* Type of local identification for a natural person.**IdentificationType <IdTp>** contains one of the following **IdentificationType45Choice** elements

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd>               | [1..1] | CodeSet |             | 286  |
| Or} | Proprietary <Prtry>     | [1..1] | ±       |             | 286  |

**11.1.7.23.2.1 Code <Cd>***Presence:* [1..1]*Definition:* Type of identification expressed as a code.*Datatype:* "TypeOfIdentification4Code" on page 382

| CodeName | Name                                     | Definition   |
|----------|--|--|
| ARNU     | AlienRegistrationNumber                  | Number assigned by a government agency to identify foreign nationals.  |
| CUST     | Concat                                   | Number assigned by an issuer to identify a customer via the concatenation of the birthdate and characters of the first name and surname. |
| CORP     | CorporateIdentification                  | Number assigned to a corporate entity.   |
| DRLC     | DriverLicenseNumber                      | Number assigned to a driver's license.   |
| IDCD     | IdentityCardNumber                       | Number assigned by a national authority to an identity card.   |
| NRIN     | NationalRegistrationIdentificationNumber | National registration identification number. In Singapore this is known as the NRIC.   |
| CCPT     | PassportNumber                           | Number assigned by a passport authority.   |
| SOCS     | SocialSecurityNumber                     | Number assigned by a social security agency.   |
| TXID     | TaxIdentificationNumber                  | Number assigned by a tax authority to an entity.   |

**11.1.7.23.2.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Type of identification expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification30](#)" on page 260 for details)

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | Identification <Id>     | [1..1] | Text |             | 260  |
|    | Issuer <Issr>           | [1..1] | Text |             | 260  |
|    | SchemeName <SchmeNm>    | [0..1] | Text |             | 260  |

### 11.1.7.24 IssuerInformation3

*Definition:* Identification of an organisation.

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | Identification <Id>     | [1..1] | ±    |             | 287  |
|    | URLAddress <URLAdr>     | [0..1] | Text |             | 287  |

#### 11.1.7.24.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous way to identify the organisation.

**Identification <Id>** contains one of the following elements (see "[PartyIdentification129Choice](#)" on page 323 for details)

| Or  | MessageElement<XML Tag>             | Mult.  | Type          | Constr. No. | Page |
|-----|-------------------------------------|--------|---------------|-------------|------|
| {Or | AnyBIC <AnyBIC>                     | [1..1] | IdentifierSet | C1          | 323  |
| Or  | ProprietaryIdentification <PrtryId> | [1..1] | ±             |             | 324  |
| Or  | NameAndAddress <NmAndAdr>           | [1..1] | ±             |             | 324  |
| Or} | LEI <LEI>                           | [1..1] | IdentifierSet |             | 324  |

#### 11.1.7.24.2 URLAddress <URLAdr>

*Presence:* [0..1]

*Definition:* Address for the Universal Resource Locator (URL), for example, used over the www (HTTP) service.

*Datatype:* "[Max2048Text](#)" on page 391

### 11.1.7.25 MeetingTypeClassification2Choice

*Definition:* Choice of meeting type classification.

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd>               | [1..1] | CodeSet |             | 288  |
| Or} | Proprietary <Prtry>     | [1..1] | ±       |             | 288  |

**11.1.7.25.1 Code <Cd>***Presence:* [1..1]*Definition:* Type of meeting expressed as a code.*Datatype:* "MeetingTypeClassification2Code" on page 372

| CodeName | Name                        | Definition  |
|----------|-----------------------------|---|
| AMET     | Annual                      | Meeting held periodically to approve the financial statements and to elect the board members and the auditors.  |
| CLAS     | Class                       | Meeting for holders of a specific type of asset, for example, preferred shares, bonds.  |
| ISSU     | IssuerInitiated             | Meeting is the result of an obligation or a decision made by the issuer as opposed to voting rights holder initiated, for example, contested meeting. |
| OMET     | Ordinary                    | Meeting which is planned in the by-laws.  |
| VRHI     | VotingRightsHolderInitiated | Meeting is the result of a request or an action of a voting right holder(s), for example, contested meeting.  |

**11.1.7.25.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Type of meeting expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification13](#)" on page 258 for details)

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | Identification <Id>     | [1..1] | Text |             | 259  |
|    | SchemeName <SchmeNm>    | [0..1] | Text |             | 259  |
|    | Issuer <Issr>           | [1..1] | Text |             | 259  |

**11.1.7.26 Pagination1***Definition:* Number used to sequence pages when it is not possible for data to be conveyed in a single message and the data has to be split across several pages (messages).

| Or | MessageElement<XML Tag>       | Mult.  | Type      | Constr. No. | Page |
|----|-------------------------------|--------|-----------|-------------|------|
|    | PageNumber <PgNb>             | [1..1] | Text      |             | 288  |
|    | LastPageIndicator <LastPgInd> | [1..1] | Indicator |             | 289  |

**11.1.7.26.1 PageNumber <PgNb>***Presence:* [1..1]*Definition:* Page number.*Datatype:* "Max5NumericText" on page 392

### 11.1.7.26.2 LastPageIndicator <LastPgInd>

*Presence:* [1..1]

*Definition:* Indicates the last page.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 388):

- *Meaning When True:* Yes
- *Meaning When False:* No

### 11.1.7.27 ProcessingPosition7Choice

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

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd>               | [1..1] | CodeSet |             | 289  |
| Or} | Proprietary <Prtry>     | [1..1] | ±       |             | 289  |

#### Constraints

- **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.

### 11.1.7.27.1 Code <Cd>

*Presence:* [1..1]

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

*Datatype:* "ProcessingPosition3Code" on page 376

| CodeName | Name        | Definition  |
|----------|-------------|---|
| AFTE     | After       | Specifies that the transaction/instruction is to be executed after the linked transaction/instruction.  |
| WITH     | With        | Specifies that the transaction/instruction is to be executed with 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.                  |

### 11.1.7.27.2 Proprietary <Prtry>

*Presence:* [1..1]

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

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification30](#)" on page 260 for details)

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | Identification <Id>     | [1..1] | Text |             | 260  |
|    | Issuer <Issr>           | [1..1] | Text |             | 260  |
|    | SchemeName <SchmeNm>    | [0..1] | Text |             | 260  |

### 11.1.7.28 SupplementaryData1

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

| Or | MessageElement<XML Tag> | Mult.  | Type              | Constr. No. | Page |
|----|-------------------------|--------|-------------------|-------------|------|
|    | PlaceAndName <PlcAndNm> | [0..1] | Text              |             | 290  |
|    | Envelope <Envlp>        | [1..1] | (External Schema) |             | 290  |

#### Constraints

- **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.

#### 11.1.7.28.1 PlaceAndName <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 391

#### 11.1.7.28.2 Envelope <Envlp>

*Presence:* [1..1]

*Definition:* Technical element wrapping the supplementary data.

*Type:* (External Schema)

Technical component that contains the validated supplementary data information. This technical envelope allows to segregate the supplementary data information from any other information.

## 11.1.8 Organisation Identification

### 11.1.8.1 OrganisationIdentification29

*Definition:* Unique and unambiguous way to identify an organisation.

| Or  | MessageElement<XML Tag> | Mult.  | Type          | Constr. No. | Page |
|-----|-------------------------|--------|---------------|-------------|------|
|     | AnyBIC <AnyBIC>         | [0..1] | IdentifierSet | C1          | 291  |
|     | LEI <LEI>               | [0..1] | IdentifierSet |             | 291  |
|     | Other <Othr>            | [0..*] |               |             | 291  |
|     | Identification <Id>     | [1..1] | Text          |             | 292  |
|     | SchemeName <SchmeNm>    | [0..1] |               |             | 292  |
| {Or | Code <Cd>               | [1..1] | CodeSet       |             | 292  |
| Or} | Proprietary <Prtry>     | [1..1] | Text          |             | 292  |
|     | Issuer <Issr>           | [0..1] | Text          |             | 292  |

#### 11.1.8.1.1 AnyBIC <AnyBIC>

*Presence:* [0..1]

*Definition:* Business identification code of the organisation.

*Impacted by:* C1 "AnyBIC"

*Datatype:* ["AnyBICDec2014Identifier" on page 387](#)

##### Constraints

- **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.

#### 11.1.8.1.2 LEI <LEI>

*Presence:* [0..1]

*Definition:* Legal entity identification as an alternate identification for a party.

*Datatype:* ["LEIIdentifier" on page 388](#)

#### 11.1.8.1.3 Other <Othr>

*Presence:* [0..\*]

*Definition:* Unique identification of an organisation, as assigned by an institution, using an identification scheme.

**Other <Othr>** contains the following **GenericOrganisationIdentification1** elements

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
|     | Identification <Id>     | [1..1] | Text    |             | 292  |
|     | SchemeName <SchmeNm>    | [0..1] |         |             | 292  |
| {Or | Code <Cd>               | [1..1] | CodeSet |             | 292  |
| Or} | Proprietary <Prtry>     | [1..1] | Text    |             | 292  |
|     | Issuer <Issr>           | [0..1] | Text    |             | 292  |

#### 11.1.8.1.3.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification assigned by an institution.

*Datatype:* "Max35Text" on page 391

#### 11.1.8.1.3.2 SchemeName <SchmeNm>

*Presence:* [0..1]

*Definition:* Name of the identification scheme.

**SchemeName <SchmeNm>** contains one of the following **OrganisationIdentificationSchemeName1Choice** elements

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd>               | [1..1] | CodeSet |             | 292  |
| Or} | Proprietary <Prtry>     | [1..1] | Text    |             | 292  |

#### 11.1.8.1.3.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Name of the identification scheme, in a coded form as published in an external list.

*Datatype:* "ExternalOrganisationIdentification1Code" on page 370

#### 11.1.8.1.3.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Name of the identification scheme, in a free text form.

*Datatype:* "Max35Text" on page 391

#### 11.1.8.1.3.3 Issuer <Issr>

*Presence:* [0..1]

*Definition:* Entity that assigns the identification.

*Datatype:* "Max35Text" on page 391

## 11.1.9 Party Identification

### 11.1.9.1 PartyIdentification135

*Definition:* Specifies the identification of a person or an organisation.

| Or | MessageElement<XML Tag>        | Mult.  | Type    | Constr. No. | Page |
|----|--------------------------------|--------|---------|-------------|------|
|    | Name <Nm>                      | [0..1] | Text    |             | 293  |
|    | PostalAddress <PstlAdr>        | [0..1] | ±       |             | 293  |
|    | Identification <Id>            | [0..1] | ±       |             | 294  |
|    | CountryOfResidence <CtryOfRes> | [0..1] | CodeSet | C3          | 294  |
|    | ContactDetails <CtctDtls>      | [0..1] | ±       |             | 295  |

#### 11.1.9.1.1 Name <Nm>

*Presence:* [0..1]

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

*Datatype:* "Max140Text" on page 390

#### 11.1.9.1.2 PostalAddress <PstlAdr>

*Presence:* [0..1]

*Definition:* Information that locates and identifies a specific address, as defined by postal services.

**PostalAddress <PstAdr>** contains the following elements (see "[PostalAddress24](#)" on page 335 for details)

| Or  | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|-----|----------------------------------|--------|---------|-------------|------|
|     | AddressType <AdrTp>              | [0..1] |         |             | 336  |
| {Or | Code <Cd>                        | [1..1] | CodeSet |             | 336  |
| Or} | Proprietary <Prtry>              | [1..1] | ±       |             | 337  |
|     | Department <Dept>                | [0..1] | Text    |             | 337  |
|     | SubDepartment <SubDept>          | [0..1] | Text    |             | 337  |
|     | StreetName <StrtNm>              | [0..1] | Text    |             | 337  |
|     | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 337  |
|     | BuildingName <BldgNm>            | [0..1] | Text    |             | 338  |
|     | Floor <Flr>                      | [0..1] | Text    |             | 338  |
|     | PostBox <PstBx>                  | [0..1] | Text    |             | 338  |
|     | Room <Room>                      | [0..1] | Text    |             | 338  |
|     | PostCode <PstCd>                 | [0..1] | Text    |             | 338  |
|     | TownName <TwnNm>                 | [0..1] | Text    |             | 338  |
|     | TownLocationName <TwnLctnNm>     | [0..1] | Text    |             | 338  |
|     | DistrictName <DstrctNm>          | [0..1] | Text    |             | 338  |
|     | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 339  |
|     | Country <Ctry>                   | [0..1] | CodeSet | C3          | 339  |
|     | AddressLine <AdrLine>            | [0..7] | Text    |             | 339  |

#### 11.1.9.1.3 Identification <Id>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification of a party.

**Identification <Id>** contains one of the following elements (see "[Party38Choice](#)" on page 321 for details)

| Or  | MessageElement<XML Tag>            | Mult.  | Type | Constr. No. | Page |
|-----|------------------------------------|--------|------|-------------|------|
| {Or | OrganisationIdentification <OrgId> | [1..1] | ±    |             | 322  |
| Or} | PrivateIdentification <PrvtId>     | [1..1] | ±    |             | 322  |

#### 11.1.9.1.4 CountryOfResidence <CtryOfRes>

*Presence:* [0..1]

*Definition:* Country in which a person resides (the place of a person's home). In the case of a company, it is the country from which the affairs of that company are directed.

*Impacted by:* C3 "Country"

*Datatype:* "CountryCode" on page 367

### Constraints

- **Country**

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

#### 11.1.9.1.5 ContactDetails <CtctDtls>

*Presence:* [0..1]

*Definition:* Set of elements used to indicate how to contact the party.

**ContactDetails <CtctDtls>** contains the following elements (see "Contact4" on page 329 for details)

| Or | MessageElement<XML Tag>     | Mult.  | Type    | Constr. No. | Page |
|----|-----------------------------|--------|---------|-------------|------|
|    | NamePrefix <NmPrfx>         | [0..1] | CodeSet |             | 329  |
|    | Name <Nm>                   | [0..1] | Text    |             | 330  |
|    | PhoneNumber <PhneNb>        | [0..1] | Text    |             | 330  |
|    | MobileNumber <MobNb>        | [0..1] | Text    |             | 330  |
|    | FaxNumber <FaxNb>           | [0..1] | Text    |             | 330  |
|    | EmailAddress <EmailAdr>     | [0..1] | Text    |             | 330  |
|    | EmailPurpose <EmailPurp>    | [0..1] | Text    |             | 330  |
|    | JobTitle <JobTitl>          | [0..1] | Text    |             | 330  |
|    | Responsibility <Rspnsblty>  | [0..1] | Text    |             | 331  |
|    | Department <Dept>           | [0..1] | Text    |             | 331  |
|    | Other <Othr>                | [0..*] |         |             | 331  |
|    | ChannelType <ChanITp>       | [1..1] | Text    |             | 331  |
|    | Identification <Id>         | [0..1] | Text    |             | 331  |
|    | PreferredMethod <PrefrdMtd> | [0..1] | CodeSet |             | 331  |

#### 11.1.9.2 PartyIdentification269

*Definition:* Identification of a party.

| Or | MessageElement<XML Tag>                                      | Mult.  | Type    | Constr. No. | Page |
|----|--|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>                                    | [1..1] |         |             | 296  |
|    | Name <Nm>  | [1..1] | Text    |             | 297  |
|    | Address <Adr>  | [0..1] |         |             | 297  |
|    | AddressType <AdrTp>  | [0..1] | CodeSet |             | 298  |
|    | AddressLine <AdrLine>  | [0..5] | Text    |             | 298  |
|    | StreetName <StrtNm>  | [0..1] | Text    |             | 298  |
|    | BuildingNumber <BldgNb>                                      | [0..1] | Text    |             | 298  |
|    | PostBox <PstBx>  | [0..1] | Text    |             | 298  |
|    | PostCode <PstCd>   | [0..1] | Text    |             | 298  |
|    | TownName <TwnNm>   | [0..1] | Text    |             | 299  |
|    | CountrySubDivision <CtrySubDvsn>                             | [0..1] | Text    |             | 299  |
|    | Country <Ctry>   | [1..1] | CodeSet | C3          | 299  |
|    | EmailAddress <EmailAdr>                                      | [0..1] | Text    |             | 299  |
|    | Identification <Id>  | [0..1] | ±       |             | 299  |
|    | CompanyRegisterShareholderIdentification <CpnyRegrShrhldrId> | [0..1] | Text    |             | 299  |
|    | CountryOfIncorporation <CtryOfIncorprtn>                     | [0..1] | CodeSet | C3          | 300  |

### 11.1.9.2.1 NameAndAddress <NmAndAdr>

*Presence:* [1..1]

*Definition:* Name and address of the party.

**NameAndAddress <NmAndAdr>** contains the following **PersonName2** elements

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | Name <Nm>                        | [1..1] | Text    |             | 297  |
|    | Address <Adr>                    | [0..1] |         |             | 297  |
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 298  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 298  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 298  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 298  |
|    | PostBox <PstBx>                  | [0..1] | Text    |             | 298  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 298  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 299  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 299  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 299  |

#### 11.1.9.2.1.1 Name <Nm>

*Presence:* [1..1]

*Definition:* First name(s) by which a natural person is known.

*Datatype:* "Max350Text" on page 391

#### 11.1.9.2.1.2 Address <Adr>

*Presence:* [0..1]

*Definition:* Postal address of the party.

**Address <Adr>** contains the following **PostalAddress26** elements

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 298  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 298  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 298  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 298  |
|    | PostBox <PstBx>                  | [0..1] | Text    |             | 298  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 298  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 299  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 299  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 299  |

**11.1.9.2.1.2.1 AddressType <AdrTp>**

*Presence:* [0..1]

*Definition:* Identifies the nature of the postal address.

*Datatype:* "AddressType2Code" on page 365

| CodeName | Name        | Definition   |
|----------|-------------|--|
| ADDR     | Postal      | Address is the complete postal address.                    |
| PBOX     | POBox       | Address is a postal office (PO) box.                       |
| HOME     | Residential | Address is the home address.                               |
| BIZZ     | Business    | Address is the business address.                           |
| MLTO     | MailTo      | Address is the address to which mail is sent.              |
| DLVY     | DeliveryTo  | Address is the address to which delivery is to take place. |

**11.1.9.2.1.2.2 AddressLine <AdrLine>**

*Presence:* [0..5]

*Definition:* Information that locates and identifies a specific address, as defined by postal services, that is presented in free format text.

*Datatype:* "Max70Text" on page 392

**11.1.9.2.1.2.3 StreetName <StrtNm>**

*Presence:* [0..1]

*Definition:* Name of a street or thoroughfare.

*Datatype:* "Max70Text" on page 392

**11.1.9.2.1.2.4 BuildingNumber <BldgNb>**

*Presence:* [0..1]

*Definition:* Number that identifies the position of a building on a street.

*Datatype:* "Max16Text" on page 391

**11.1.9.2.1.2.5 PostBox <PstBx>**

*Presence:* [0..1]

*Definition:* Numbered box in a post office, assigned to a person or organisation, where letters are kept until called for.

*Datatype:* "Max16Text" on page 391

**11.1.9.2.1.2.6 PostCode <PstCd>**

*Presence:* [0..1]

*Definition:* Identifier consisting of a group of letters and/or numbers that is added to a postal address to assist the sorting of mail.

*Datatype:* "Max16Text" on page 391

**11.1.9.2.1.2.7 TownName <TwnNm>**

*Presence:* [0..1]

*Definition:* Name of a built-up area, with defined boundaries, and a local government.

*Datatype:* "Max35Text" on page 391

**11.1.9.2.1.2.8 CountrySubDivision <CtrySubDvsn>**

*Presence:* [0..1]

*Definition:* Identifies a subdivision of a country for example, state, region, county.

*Datatype:* "Max35Text" on page 391

**11.1.9.2.1.2.9 Country <Ctry>**

*Presence:* [1..1]

*Definition:* Nation with its own government.

*Impacted by:* C3 "Country"

*Datatype:* "CountryCode" on page 367

**Constraints**

- **Country**

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

**11.1.9.2.2 EmailAddress <EmailAdr>**

*Presence:* [0..1]

*Definition:* Address for electronic mail (e-mail).

*Datatype:* "Max256Text" on page 391

**11.1.9.2.3 Identification <Id>**

*Presence:* [0..1]

*Definition:* Identification of the party.

**Identification <Id>** contains one of the following elements (see "PartyIdentification198Choice" on page 307 for details)

| Or  | MessageElement<XML Tag>                | Mult.  | Type          | Constr. No. | Page |
|-----|--|--------|---------------|-------------|------|
| {Or | NationalRegistrationNumber <NtlRegnNb> | [1..1] | Text          |             | 307  |
| Or  | LEI <LEI>                              | [1..1] | IdentifierSet |             | 307  |
| Or  | AnyBIC <AnyBIC>                        | [1..1] | IdentifierSet | C1          | 308  |
| Or  | ClientIdentification <ClntId>          | [1..1] | Text          |             | 308  |
| Or} | ProprietaryIdentification <PrtryId>    | [1..1] | ±             |             | 308  |

**11.1.9.2.4 CompanyRegisterShareholderIdentification <CpnyRegrShrhldId>**

*Presence:* [0..1]

*Definition:* Identification of the shareholder in the company share register.

*Datatype:* "Max35Text" on page 391

### 11.1.9.2.5 CountryOfIncorporation <CtryOfIncorprtn>

*Presence:* [0..1]

*Definition:* Country in which the company is incorporated or legally registered.

*Impacted by:* C3 "Country"

*Datatype:* "CountryCode" on page 367

#### Constraints

- **Country**

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

### 11.1.9.3 PartyIdentification250

*Definition:* Identification of a party.

| Or | MessageElement<XML Tag>                                      | Mult.  | Type    | Constr. No. | Page |
|----|--|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>                                    | [1..1] | ±       |             | 300  |
|    | EmailAddress <EmailAdr>                                      | [0..1] | Text    |             | 301  |
|    | Identification <Id>  | [0..1] | ±       |             | 301  |
|    | Nationality <Ntlty>  | [0..1] | CodeSet | C3          | 301  |
|    | DateAndPlaceOfBirth <DtAndPlcOfBirth>                        | [0..1] | ±       |             | 302  |
|    | CompanyRegisterShareholderIdentification <CpnyRegrShrhldrId> | [0..1] | Text    |             | 302  |

#### 11.1.9.3.1 NameAndAddress <NmAndAdr>

*Presence:* [1..1]

*Definition:* Name and address of the party.

**NameAndAddress <NmAndAdr>** contains the following elements (see "[PersonName3](#)" on page 326 for details)

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | NamePrefix <NmPrfx>              | [0..1] | CodeSet |             | 326  |
|    | FirstName <FrstNm>               | [1..1] | Text    |             | 327  |
|    | Surname <SrnM>                   | [1..1] | Text    |             | 327  |
|    | Address <Adr>                    | [0..1] |         |             | 327  |
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 327  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 328  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 328  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 328  |
|    | PostBox <PstBx>                  | [0..1] | Text    |             | 328  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 328  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 328  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 328  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 329  |

#### 11.1.9.3.2 EmailAddress <EmailAdr>

*Presence:* [0..1]

*Definition:* Address for electronic mail (e-mail).

*Datatype:* "[Max256Text](#)" on page 391

#### 11.1.9.3.3 Identification <Id>

*Presence:* [0..1]

*Definition:* Natural person local identification and type.

**Identification <Id>** contains the following elements (see "[NaturalPersonIdentification1](#)" on page 285 for details)

| Or  | MessageElement<XML Tag>   | Mult.  | Type    | Constr. No. | Page |
|-----|---------------------------|--------|---------|-------------|------|
|     | Identification <Id>       | [1..1] | Text    |             | 285  |
|     | IdentificationType <IdTp> | [0..1] |         |             | 286  |
| {Or | Code <Cd>                 | [1..1] | CodeSet |             | 286  |
| Or} | Proprietary <Prtry>       | [1..1] | ±       |             | 286  |

#### 11.1.9.3.4 Nationality <Ntlty>

*Presence:* [0..1]

*Definition:* Nationality of the person.

*Impacted by:* C3 "Country"

*Datatype:* "CountryCode" on page 367

#### Constraints

- **Country**

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

#### 11.1.9.3.5 DateAndPlaceOfBirth <DtAndPlcOfBirth>

*Presence:* [0..1]

*Definition:* Date on which and place at which a born person is born.

**DateAndPlaceOfBirth <DtAndPlcOfBirth>** contains the following elements (see "DateAndPlaceOfBirth2" on page 269 for details)

| Or | MessageElement<XML Tag>       | Mult.  | Type    | Constr. No. | Page |
|----|-------------------------------|--------|---------|-------------|------|
|    | BirthDate <BirthDt>           | [1..1] | Date    |             | 270  |
|    | ProvinceOfBirth <PrvcOfBirth> | [0..1] | Text    |             | 270  |
|    | CityOfBirth <CityOfBirth>     | [0..1] | Text    |             | 270  |
|    | CountryOfBirth <CtryOfBirth>  | [0..1] | CodeSet | C3          | 270  |

#### 11.1.9.3.6 CompanyRegisterShareholderIdentification <CpnyRegrShrhldrId>

*Presence:* [0..1]

*Definition:* Identification of the shareholder in the company share register.

*Datatype:* "Max35Text" on page 391

#### 11.1.9.4 Proxy11

*Definition:* Identification of a proxy appointed to represent a party authorised to vote at a shareholders meeting.

| Or  | MessageElement<XML Tag>        | Mult.  | Type    | Constr. No. | Page |
|-----|--------------------------------|--------|---------|-------------|------|
|     | ProxyType <PrxyTp>             | [1..1] | CodeSet |             | 302  |
|     | PersonDetails <PrsnDtls>       | [0..1] |         |             | 303  |
|     | PreassignedProxy <PrssgndPrxy> | [0..1] |         |             | 303  |
| {Or | LegalPerson <LglPrsn>          | [1..1] | ±       |             | 303  |
| Or} | NaturalPerson <NtrlPrsn>       | [1..1] | ±       |             | 304  |
|     | EmployingParty <EmplngPty>     | [0..1] | ±       |             | 304  |

#### 11.1.9.4.1 ProxyType <PrxyTp>

*Presence:* [1..1]

*Definition:* Type of proxy.

Datatype: "ProxyType3Code" on page 376

| CodeName | Name           | Definition  |
|----------|----------------|---|
| CHRM     | Chairman       | Chairman of the meeting is the proxy.   |
| DISC     | Discretionary  | Any type of proxy is allowed.   |
| NEPR     | NeutralProxy   | Neutral proxy nominated by the issuer to execute votes on behalf of investors at the meeting. |
| HLDR     | SecurityHolder | Proxy can only be a security holder.  |

#### 11.1.9.4.2 PersonDetails <PrsnDtls>

*Presence:* [0..1]

*Definition:* Person, other than the chairman of the meeting, assigned by the security holder as the proxy.

**PersonDetails <PrsnDtls>** contains the following **IndividualPerson43** elements

| Or  | MessageElement<XML Tag>        | Mult.  | Type | Constr. No. | Page |
|-----|--------------------------------|--------|------|-------------|------|
|     | PreassignedProxy <PrssgndPrxy> | [0..1] |      |             | 303  |
| {Or | LegalPerson <LglPrsn>          | [1..1] | ±    |             | 303  |
| Or} | NaturalPerson <NtrlPrsn>       | [1..1] | ±    |             | 304  |
|     | EmployingParty <EmplngPty>     | [0..1] | ±    |             | 304  |

##### 11.1.9.4.2.1 PreassignedProxy <PrssgndPrxy>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification of the proxy.

**PreassignedProxy <PrssgndPrxy>** contains one of the following **PartyIdentification232Choice** elements

| Or  | MessageElement<XML Tag>  | Mult.  | Type | Constr. No. | Page |
|-----|--------------------------|--------|------|-------------|------|
| {Or | LegalPerson <LglPrsn>    | [1..1] | ±    |             | 303  |
| Or} | NaturalPerson <NtrlPrsn> | [1..1] | ±    |             | 304  |

##### 11.1.9.4.2.1.1 LegalPerson <LglPrsn>

*Presence:* [1..1]

*Definition:* Legal entity.

**LegalPerson <LgIPrsn>** contains the following elements (see "[PartyIdentification221](#)" on page 318 for details)

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>        | [1..1] |         |             | 318  |
|    | Name <Nm>                        | [1..1] | Text    |             | 319  |
|    | Address <Adr>                    | [0..1] |         |             | 319  |
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 320  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 320  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 320  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 320  |
|    | PostBox <PstBx>                  | [0..1] | Text    |             | 320  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 320  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 321  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 321  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 321  |
|    | EmailAddress <EmailAdr>          | [0..1] | Text    |             | 321  |
|    | Identification <Id>              | [1..1] | ±       |             | 321  |

#### 11.1.9.4.2.1.2 NaturalPerson <NtrlPrsn>

*Presence:* [1..1]

*Definition:* Private person.

**NaturalPerson <NtrlPrsn>** contains the following elements (see "[PartyIdentification238](#)" on page 305 for details)

| Or | MessageElement<XML Tag>               | Mult.  | Type    | Constr. No. | Page |
|----|---------------------------------------|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>             | [1..1] | ±       |             | 305  |
|    | EmailAddress <EmailAdr>               | [0..1] | Text    |             | 306  |
|    | Identification <Id>                   | [1..1] | ±       |             | 306  |
|    | Nationality <Ntlty>                   | [0..1] | CodeSet | C3          | 306  |
|    | DateAndPlaceOfBirth <DtAndPlcOfBirth> | [0..1] | ±       |             | 307  |

#### 11.1.9.4.2.2 EmployingParty <EmplngPty>

*Presence:* [0..1]

*Definition:* Organisation represented by the person, or for which the person works.

**EmployingParty <EmplngPty>** contains one of the following elements (see "PartyIdentification129Choice" on page 323 for details)

| Or  | MessageElement<XML Tag>             | Mult.  | Type          | Constr. No. | Page |
|-----|-------------------------------------|--------|---------------|-------------|------|
| {Or | AnyBIC <AnyBIC>                     | [1..1] | IdentifierSet | C1          | 323  |
| Or  | ProprietaryIdentification <PrtryId> | [1..1] | ±             |             | 324  |
| Or  | NameAndAddress <NmAndAdr>           | [1..1] | ±             |             | 324  |
| Or} | LEI <LEI>                           | [1..1] | IdentifierSet |             | 324  |

### 11.1.9.5 PartyIdentification238

*Definition:* Identification of a party.

| Or | MessageElement<XML Tag>               | Mult.  | Type    | Constr. No. | Page |
|----|---------------------------------------|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>             | [1..1] | ±       |             | 305  |
|    | EmailAddress <EmailAdr>               | [0..1] | Text    |             | 306  |
|    | Identification <Id>                   | [1..1] | ±       |             | 306  |
|    | Nationality <Ntlty>                   | [0..1] | CodeSet | C3          | 306  |
|    | DateAndPlaceOfBirth <DtAndPlcOfBirth> | [0..1] | ±       |             | 307  |

#### 11.1.9.5.1 NameAndAddress <NmAndAdr>

*Presence:* [1..1]

*Definition:* Name and address of the party.

**NameAndAddress <NmAndAdr>** contains the following elements (see "[PersonName3](#)" on page 326 for details)

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | NamePrefix <NmPrfx>              | [0..1] | CodeSet |             | 326  |
|    | FirstName <FrstNm>               | [1..1] | Text    |             | 327  |
|    | Surname <SrnM>                   | [1..1] | Text    |             | 327  |
|    | Address <Adr>                    | [0..1] |         |             | 327  |
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 327  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 328  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 328  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 328  |
|    | PostBox <PstBx>                  | [0..1] | Text    |             | 328  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 328  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 328  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 328  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 329  |

#### 11.1.9.5.2 EmailAddress <EmailAdr>

*Presence:* [0..1]

*Definition:* Address for electronic mail (e-mail).

*Datatype:* "[Max256Text](#)" on page 391

#### 11.1.9.5.3 Identification <Id>

*Presence:* [1..1]

*Definition:* Natural person local identification and type.

**Identification <Id>** contains the following elements (see "[NaturalPersonIdentification1](#)" on page 285 for details)

| Or  | MessageElement<XML Tag>   | Mult.  | Type    | Constr. No. | Page |
|-----|---------------------------|--------|---------|-------------|------|
|     | Identification <Id>       | [1..1] | Text    |             | 285  |
|     | IdentificationType <IdTp> | [0..1] |         |             | 286  |
| {Or | Code <Cd>                 | [1..1] | CodeSet |             | 286  |
| Or} | Proprietary <Prtry>       | [1..1] | ±       |             | 286  |

#### 11.1.9.5.4 Nationality <Ntlty>

*Presence:* [0..1]

*Definition:* Nationality of the person.

*Impacted by:* [C3 "Country"](#)

*Datatype:* ["CountryCode" on page 367](#)

#### Constraints

- **Country**

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

#### 11.1.9.5.5 DateAndPlaceOfBirth <DtAndPlcOfBirth>

*Presence:* [0..1]

*Definition:* Date on which and place at which a born person is born.

**DateAndPlaceOfBirth <DtAndPlcOfBirth>** contains the following elements (see ["DateAndPlaceOfBirth2" on page 269](#) for details)

| Or | MessageElement<XML Tag>       | Mult.  | Type    | Constr. No. | Page |
|----|-------------------------------|--------|---------|-------------|------|
|    | BirthDate <BirthDt>           | [1..1] | Date    |             | 270  |
|    | ProvinceOfBirth <PrvcOfBirth> | [0..1] | Text    |             | 270  |
|    | CityOfBirth <CityOfBirth>     | [0..1] | Text    |             | 270  |
|    | CountryOfBirth <CtryOfBirth>  | [0..1] | CodeSet | C3          | 270  |

#### 11.1.9.6 PartyIdentification198Choice

*Definition:* Identification of a party.

| Or  | MessageElement<XML Tag>                | Mult.  | Type          | Constr. No. | Page |
|-----|--|--------|---------------|-------------|------|
| {Or | NationalRegistrationNumber <NtlRegnNb> | [1..1] | Text          |             | 307  |
| Or  | LEI <LEI>                              | [1..1] | IdentifierSet |             | 307  |
| Or  | AnyBIC <AnyBIC>                        | [1..1] | IdentifierSet | C1          | 308  |
| Or  | ClientIdentification <ClntId>          | [1..1] | Text          |             | 308  |
| Or} | ProprietaryIdentification <PrtryId>    | [1..1] | ±             |             | 308  |

##### 11.1.9.6.1 NationalRegistrationNumber <NtlRegnNb>

*Presence:* [1..1]

*Definition:* Number assigned by a national registration authority to an entity.

*Datatype:* ["Max35Text" on page 391](#)

##### 11.1.9.6.2 LEI <LEI>

*Presence:* [1..1]

*Definition:* Legal entity identifier of the party.

*Datatype:* ["LEIIdentifier" on page 388](#)

### 11.1.9.6.3 AnyBIC <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)".

*Impacted by:* C1 "AnyBIC"

*Datatype:* "AnyBICDec2014Identifier" on page 387

#### Constraints

- **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.

### 11.1.9.6.4 ClientIdentification <ClntId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification of the client's counterparty.

*Datatype:* "Max50Text" on page 392

### 11.1.9.6.5 ProprietaryIdentification <PrtryId>

*Presence:* [1..1]

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

**ProprietaryIdentification <PrtryId>** contains the following elements (see "[GenericIdentification36](#)" on page 260 for details)

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | Identification <Id>     | [1..1] | Text |             | 260  |
|    | Issuer <Issr>           | [1..1] | Text |             | 261  |
|    | SchemeName <SchmeNm>    | [0..1] | Text |             | 261  |

### 11.1.9.7 PartyIdentification224

*Definition:* Identification of a party.

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>        | [1..1] |         |             | 309  |
|    | Name <Nm>                        | [1..1] | Text    |             | 310  |
|    | Address <Adr>                    | [0..1] |         |             | 310  |
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 310  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 310  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 311  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 311  |
|    | PostBox <PstBx>                  | [0..1] | Text    |             | 311  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 311  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 311  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 311  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 311  |
|    | EmailAddress <EmailAdr>          | [0..1] | Text    |             | 312  |
|    | Identification <Id>              | [0..1] | ±       |             | 312  |

#### 11.1.9.7.1 NameAndAddress <NmAndAdr>

*Presence:* [1..1]

*Definition:* Name and address of the party.

**NameAndAddress <NmAndAdr>** contains the following **PersonName2** elements

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | Name <Nm>                        | [1..1] | Text    |             | 310  |
|    | Address <Adr>                    | [0..1] |         |             | 310  |
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 310  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 310  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 311  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 311  |
|    | PostBox <PstBx>                  | [0..1] | Text    |             | 311  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 311  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 311  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 311  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 311  |

**11.1.9.7.1.1 Name <Nm>***Presence:* [1..1]*Definition:* First name(s) by which a natural person is known.*Datatype:* "Max350Text" on page 391**11.1.9.7.1.2 Address <Adr>***Presence:* [0..1]*Definition:* Postal address of the party.**Address <Adr>** contains the following **PostalAddress26** elements

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 310  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 310  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 311  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 311  |
|    | PostBox <PstBx>                  | [0..1] | Text    |             | 311  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 311  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 311  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 311  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 311  |

**11.1.9.7.1.2.1 AddressType <AdrTp>***Presence:* [0..1]*Definition:* Identifies the nature of the postal address.*Datatype:* "AddressType2Code" on page 365

| CodeName | Name        | Definition   |
|----------|-------------|--|
| ADDR     | Postal      | Address is the complete postal address.                    |
| PBOX     | POBox       | Address is a postal office (PO) box.                       |
| HOME     | Residential | Address is the home address.                               |
| BIZZ     | Business    | Address is the business address.                           |
| MLTO     | MailTo      | Address is the address to which mail is sent.              |
| DLVY     | DeliveryTo  | Address is the address to which delivery is to take place. |

**11.1.9.7.1.2.2 AddressLine <AdrLine>***Presence:* [0..5]*Definition:* Information that locates and identifies a specific address, as defined by postal services, that is presented in free format text.

*Datatype:* "Max70Text" on page 392

#### **11.1.9.7.1.2.3 StreetName <StrtNm>**

*Presence:* [0..1]

*Definition:* Name of a street or thoroughfare.

*Datatype:* "Max70Text" on page 392

#### **11.1.9.7.1.2.4 BuildingNumber <BldgNb>**

*Presence:* [0..1]

*Definition:* Number that identifies the position of a building on a street.

*Datatype:* "Max16Text" on page 391

#### **11.1.9.7.1.2.5 PostBox <PstBx>**

*Presence:* [0..1]

*Definition:* Numbered box in a post office, assigned to a person or organisation, where letters are kept until called for.

*Datatype:* "Max16Text" on page 391

#### **11.1.9.7.1.2.6 PostCode <PstCd>**

*Presence:* [0..1]

*Definition:* Identifier consisting of a group of letters and/or numbers that is added to a postal address to assist the sorting of mail.

*Datatype:* "Max16Text" on page 391

#### **11.1.9.7.1.2.7 TownName <TwnNm>**

*Presence:* [0..1]

*Definition:* Name of a built-up area, with defined boundaries, and a local government.

*Datatype:* "Max35Text" on page 391

#### **11.1.9.7.1.2.8 CountrySubDivision <CtrySubDvsn>**

*Presence:* [0..1]

*Definition:* Identifies a subdivision of a country for example, state, region, county.

*Datatype:* "Max35Text" on page 391

#### **11.1.9.7.1.2.9 Country <Ctry>**

*Presence:* [1..1]

*Definition:* Nation with its own government.

*Impacted by:* C3 "Country"

*Datatype:* "CountryCode" on page 367

**Constraints**

- **Country**

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

**11.1.9.7.2 EmailAddress <EmailAdr>**

*Presence:* [0..1]

*Definition:* Address for electronic mail (e-mail).

*Datatype:* "Max256Text" on page 391

**11.1.9.7.3 Identification <Id>**

*Presence:* [0..1]

*Definition:* Identification of the party.

**Identification <Id>** contains one of the following elements (see "PartyIdentification198Choice" on page 307 for details)

| Or  | MessageElement<XML Tag>                | Mult.  | Type          | Constr. No. | Page |
|-----|--|--------|---------------|-------------|------|
| {Or | NationalRegistrationNumber <NtlRegnNb> | [1..1] | Text          |             | 307  |
| Or  | LEI <LEI>                              | [1..1] | IdentifierSet |             | 307  |
| Or  | AnyBIC <AnyBIC>                        | [1..1] | IdentifierSet | C1          | 308  |
| Or  | ClientIdentification <CIntId>          | [1..1] | Text          |             | 308  |
| Or} | ProprietaryIdentification <PrtryId>    | [1..1] | ±             |             | 308  |

**11.1.9.8 IssuerAgent3**

*Definition:* Identification of the issuer and its role.

| Or | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|----|-------------------------|--------|---------|-------------|------|
|    | Identification <Id>     | [1..1] | ±       |             | 312  |
|    | Role <Role>             | [0..1] | CodeSet |             | 313  |

**11.1.9.8.1 Identification <Id>**

*Presence:* [1..1]

*Definition:* Identification of the issuer agent.

**Identification <Id>** contains one of the following elements (see "PartyIdentification129Choice" on page 323 for details)

| Or  | MessageElement<XML Tag>             | Mult.  | Type          | Constr. No. | Page |
|-----|-------------------------------------|--------|---------------|-------------|------|
| {Or | AnyBIC <AnyBIC>                     | [1..1] | IdentifierSet | C1          | 323  |
| Or  | ProprietaryIdentification <PrtryId> | [1..1] | ±             |             | 324  |
| Or  | NameAndAddress <NmAndAdr>           | [1..1] | ±             |             | 324  |
| Or} | LEI <LEI>                           | [1..1] | IdentifierSet |             | 324  |

### 11.1.9.8.2 Role <Role>

*Presence:* [0..1]

*Definition:* Role of the issuer agent.

*Datatype:* "AgentRole1Code" on page 366

| CodeName | Name           | Definition  |
|----------|----------------|---|
| PRIN     | PrincipalAgent | Identification of the agent acting as main agent.               |
| SUBA     | SubAgent       | Identification of the agent acting as co-domicile or sub agent. |

### 11.1.9.9 PartyIdentification222

*Definition:* Identification of a party.

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>        | [1..1] |         |             | 314  |
|    | FirstName <FrstNm>               | [1..1] | Text    |             | 315  |
|    | Surname <SrnM>                   | [1..1] | Text    |             | 315  |
|    | Address <Adr>                    | [0..1] |         |             | 315  |
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 316  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 316  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 316  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 316  |
|    | PostBox <PstBx>                  | [0..1] | Text    |             | 317  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 317  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 317  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 317  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 317  |
|    | EmailAddress <EmailAdr>          | [0..1] | Text    |             | 317  |
|    | Identification <Id>              | [1..1] | ±       |             | 317  |

#### 11.1.9.9.1 NameAndAddress <NmAndAdr>

*Presence:* [1..1]

*Definition:* Name and address of the party.

**NameAndAddress <NmAndAdr>** contains the following **PersonName1** elements

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | FirstName <FrstNm>               | [1..1] | Text    |             | 315  |
|    | Surname <SrnM>                   | [1..1] | Text    |             | 315  |
|    | Address <Adr>                    | [0..1] |         |             | 315  |
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 316  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 316  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 316  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 316  |
|    | PostBox <PstBx>                  | [0..1] | Text    |             | 317  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 317  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 317  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 317  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 317  |

#### 11.1.9.9.1.1 FirstName <FrstNm>

*Presence:* [1..1]

*Definition:* First name(s) by which a natural person is known.

*Datatype:* "Max350Text" on page 391

#### 11.1.9.9.1.2 Surname <SrnM>

*Presence:* [1..1]

*Definition:* Name (s) by which a natural person is known and which is usually used to identify that party.

*Datatype:* "Max350Text" on page 391

#### 11.1.9.9.1.3 Address <Adr>

*Presence:* [0..1]

*Definition:* Postal address of the party.

**Address <Adr>** contains the following **PostalAddress26** elements

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 316  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 316  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 316  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 316  |
|    | PostBox <PstBx>                  | [0..1] | Text    |             | 317  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 317  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 317  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 317  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 317  |

#### 11.1.9.9.1.3.1 AddressType <AdrTp>

*Presence:* [0..1]

*Definition:* Identifies the nature of the postal address.

*Datatype:* "AddressType2Code" on page 365

| CodeName | Name        | Definition   |
|----------|-------------|--|
| ADDR     | Postal      | Address is the complete postal address.                    |
| PBOX     | POBox       | Address is a postal office (PO) box.                       |
| HOME     | Residential | Address is the home address.                               |
| BIZZ     | Business    | Address is the business address.                           |
| MLTO     | MailTo      | Address is the address to which mail is sent.              |
| DLVY     | DeliveryTo  | Address is the address to which delivery is to take place. |

#### 11.1.9.9.1.3.2 AddressLine <AdrLine>

*Presence:* [0..5]

*Definition:* Information that locates and identifies a specific address, as defined by postal services, that is presented in free format text.

*Datatype:* "Max70Text" on page 392

#### 11.1.9.9.1.3.3 StreetName <StrtNm>

*Presence:* [0..1]

*Definition:* Name of a street or thoroughfare.

*Datatype:* "Max70Text" on page 392

#### 11.1.9.9.1.3.4 BuildingNumber <BldgNb>

*Presence:* [0..1]

*Definition:* Number that identifies the position of a building on a street.

*Datatype:* "Max16Text" on page 391

#### **11.1.9.9.1.3.5 PostBox <PstBx>**

*Presence:* [0..1]

*Definition:* Numbered box in a post office, assigned to a person or organisation, where letters are kept until called for.

*Datatype:* "Max16Text" on page 391

#### **11.1.9.9.1.3.6 PostCode <PstCd>**

*Presence:* [0..1]

*Definition:* Identifier consisting of a group of letters and/or numbers that is added to a postal address to assist the sorting of mail.

*Datatype:* "Max16Text" on page 391

#### **11.1.9.9.1.3.7 TownName <TwnNm>**

*Presence:* [0..1]

*Definition:* Name of a built-up area, with defined boundaries, and a local government.

*Datatype:* "Max35Text" on page 391

#### **11.1.9.9.1.3.8 CountrySubDivision <CtrySubDvsn>**

*Presence:* [0..1]

*Definition:* Identifies a subdivision of a country for example, state, region, county.

*Datatype:* "Max35Text" on page 391

#### **11.1.9.9.1.3.9 Country <Ctry>**

*Presence:* [1..1]

*Definition:* Nation with its own government.

*Impacted by:* C3 "Country"

*Datatype:* "CountryCode" on page 367

##### **Constraints**

- **Country**

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

#### **11.1.9.9.2 EmailAddress <EmailAdr>**

*Presence:* [0..1]

*Definition:* Address for electronic mail (e-mail).

*Datatype:* "Max256Text" on page 391

#### **11.1.9.9.3 Identification <Id>**

*Presence:* [1..1]

*Definition:* Natural person local identification and type.

**Identification <Id>** contains the following elements (see "NaturalPersonIdentification1" on page 285 for details)

| Or  | MessageElement<XML Tag>   | Mult.  | Type    | Constr. No. | Page |
|-----|---------------------------|--------|---------|-------------|------|
|     | Identification <Id>       | [1..1] | Text    |             | 285  |
|     | IdentificationType <IdTp> | [0..1] |         |             | 286  |
| {Or | Code <Cd>                 | [1..1] | CodeSet |             | 286  |
| Or} | Proprietary <Prtry>       | [1..1] | ±       |             | 286  |

### 11.1.9.10 PartyIdentification221

*Definition:* Identification of a party.

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | NameAndAddress <NmAndAdr>        | [1..1] |         |             | 318  |
|    | Name <Nm>                        | [1..1] | Text    |             | 319  |
|    | Address <Adr>                    | [0..1] |         |             | 319  |
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 320  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 320  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 320  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 320  |
|    | PostBox <PstBx>                  | [0..1] | Text    |             | 320  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 320  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 321  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 321  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 321  |
|    | EmailAddress <EmailAdr>          | [0..1] | Text    |             | 321  |
|    | Identification <Id>              | [1..1] | ±       |             | 321  |

#### 11.1.9.10.1 NameAndAddress <NmAndAdr>

*Presence:* [1..1]

*Definition:* Name and address of the party.

**NameAndAddress <NmAndAdr>** contains the following **PersonName2** elements

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | Name <Nm>                        | [1..1] | Text    |             | 319  |
|    | Address <Adr>                    | [0..1] |         |             | 319  |
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 320  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 320  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 320  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 320  |
|    | PostBox <PstBx>                  | [0..1] | Text    |             | 320  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 320  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 321  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 321  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 321  |

#### 11.1.9.10.1.1 Name <Nm>

*Presence:* [1..1]

*Definition:* First name(s) by which a natural person is known.

*Datatype:* "Max350Text" on page 391

#### 11.1.9.10.1.2 Address <Adr>

*Presence:* [0..1]

*Definition:* Postal address of the party.

**Address <Adr>** contains the following **PostalAddress26** elements

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 320  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 320  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 320  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 320  |
|    | PostBox <PstBx>                  | [0..1] | Text    |             | 320  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 320  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 321  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 321  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 321  |

**11.1.9.10.1.2.1 AddressType <AdrTp>**

*Presence:* [0..1]

*Definition:* Identifies the nature of the postal address.

*Datatype:* "AddressType2Code" on page 365

| CodeName | Name        | Definition   |
|----------|-------------|--|
| ADDR     | Postal      | Address is the complete postal address.                    |
| PBOX     | POBox       | Address is a postal office (PO) box.                       |
| HOME     | Residential | Address is the home address.                               |
| BIZZ     | Business    | Address is the business address.                           |
| MLTO     | MailTo      | Address is the address to which mail is sent.              |
| DLVY     | DeliveryTo  | Address is the address to which delivery is to take place. |

**11.1.9.10.1.2.2 AddressLine <AdrLine>**

*Presence:* [0..5]

*Definition:* Information that locates and identifies a specific address, as defined by postal services, that is presented in free format text.

*Datatype:* "Max70Text" on page 392

**11.1.9.10.1.2.3 StreetName <StrtNm>**

*Presence:* [0..1]

*Definition:* Name of a street or thoroughfare.

*Datatype:* "Max70Text" on page 392

**11.1.9.10.1.2.4 BuildingNumber <BldgNb>**

*Presence:* [0..1]

*Definition:* Number that identifies the position of a building on a street.

*Datatype:* "Max16Text" on page 391

**11.1.9.10.1.2.5 PostBox <PstBx>**

*Presence:* [0..1]

*Definition:* Numbered box in a post office, assigned to a person or organisation, where letters are kept until called for.

*Datatype:* "Max16Text" on page 391

**11.1.9.10.1.2.6 PostCode <PstCd>**

*Presence:* [0..1]

*Definition:* Identifier consisting of a group of letters and/or numbers that is added to a postal address to assist the sorting of mail.

*Datatype:* "Max16Text" on page 391

**11.1.9.10.1.2.7 TownName <TwnNm>**

*Presence:* [0..1]

*Definition:* Name of a built-up area, with defined boundaries, and a local government.

*Datatype:* "Max35Text" on page 391

**11.1.9.10.1.2.8 CountrySubDivision <CtrySubDvsn>**

*Presence:* [0..1]

*Definition:* Identifies a subdivision of a country for example, state, region, county.

*Datatype:* "Max35Text" on page 391

**11.1.9.10.1.2.9 Country <Ctry>**

*Presence:* [1..1]

*Definition:* Nation with its own government.

*Impacted by:* C3 "Country"

*Datatype:* "CountryCode" on page 367

**Constraints**

- **Country**

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

**11.1.9.10.2 EmailAddress <EmailAdr>**

*Presence:* [0..1]

*Definition:* Address for electronic mail (e-mail).

*Datatype:* "Max256Text" on page 391

**11.1.9.10.3 Identification <Id>**

*Presence:* [1..1]

*Definition:* Identification of the party.

**Identification <Id>** contains one of the following elements (see "PartyIdentification198Choice" on page 307 for details)

| Or  | MessageElement<XML Tag>                | Mult.  | Type          | Constr. No. | Page |
|-----|--|--------|---------------|-------------|------|
| {Or | NationalRegistrationNumber <NtlRegnNb> | [1..1] | Text          |             | 307  |
| Or  | LEI <LEI>                              | [1..1] | IdentifierSet |             | 307  |
| Or  | AnyBIC <AnyBIC>                        | [1..1] | IdentifierSet | C1          | 308  |
| Or  | ClientIdentification <ClntId>          | [1..1] | Text          |             | 308  |
| Or} | ProprietaryIdentification <PrtryId>    | [1..1] | ±             |             | 308  |

**11.1.9.11 Party38Choice**

*Definition:* Nature or use of the account.

| Or  | MessageElement<XML Tag>            | Mult.  | Type | Constr. No. | Page |
|-----|------------------------------------|--------|------|-------------|------|
| {Or | OrganisationIdentification <Orgld> | [1..1] | ±    |             | 322  |
| Or} | Privateldentification <Prvtld>     | [1..1] | ±    |             | 322  |

#### 11.1.9.11.1 OrganisationIdentification <Orgld>

*Presence:* [1..1]

*Definition:* Unique and unambiguous way to identify an organisation.

**OrganisationIdentification <Orgld>** contains the following elements (see "[OrganisationIdentification29](#)" on page 290 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type          | Constr. No. | Page |
|-----|-------------------------|--------|---------------|-------------|------|
|     | AnyBIC <AnyBIC>         | [0..1] | IdentifierSet | C1          | 291  |
|     | LEI <LEI>               | [0..1] | IdentifierSet |             | 291  |
|     | Other <Othr>            | [0..*] |               |             | 291  |
|     | Identification <Id>     | [1..1] | Text          |             | 292  |
|     | SchemeName <SchmeNm>    | [0..1] |               |             | 292  |
| {Or | Code <Cd>               | [1..1] | CodeSet       |             | 292  |
| Or} | Proprietary <Prtry>     | [1..1] | Text          |             | 292  |
|     | Issuer <Issr>           | [0..1] | Text          |             | 292  |

#### 11.1.9.11.2 Privateldentification <Prvtld>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification of a person, for example a passport.

**PrivateIdentification <PrvtId>** contains the following elements (see "[PersonIdentification13](#)" on page 332 for details)

| Or  | MessageElement<XML Tag>               | Mult.  | Type    | Constr. No. | Page |
|-----|---------------------------------------|--------|---------|-------------|------|
|     | DateAndPlaceOfBirth <DtAndPlcOfBirth> | [0..1] |         |             | 332  |
|     | BirthDate <BirthDt>                   | [1..1] | Date    |             | 332  |
|     | ProvinceOfBirth <PrvcOfBirth>         | [0..1] | Text    |             | 333  |
|     | CityOfBirth <CityOfBirth>             | [1..1] | Text    |             | 333  |
|     | CountryOfBirth <CtryOfBirth>          | [1..1] | CodeSet | C3          | 333  |
|     | Other <Othr>                          | [0..*] |         |             | 333  |
|     | Identification <Id>                   | [1..1] | Text    |             | 333  |
|     | SchemeName <SchmeNm>                  | [0..1] |         |             | 333  |
| {Or | Code <Cd>                             | [1..1] | CodeSet |             | 334  |
| Or} | Proprietary <Prtry>                   | [1..1] | Text    |             | 334  |
|     | Issuer </ssr>                         | [0..1] | Text    |             | 334  |

### 11.1.9.12 PartyIdentification129Choice

*Definition:* Choice between different formats for the identification of a party.

| Or  | MessageElement<XML Tag>             | Mult.  | Type          | Constr. No. | Page |
|-----|-------------------------------------|--------|---------------|-------------|------|
| {Or | AnyBIC <AnyBIC>                     | [1..1] | IdentifierSet | C1          | 323  |
| Or  | ProprietaryIdentification <PrtryId> | [1..1] | ±             |             | 324  |
| Or  | NameAndAddress <NmAndAdr>           | [1..1] | ±             |             | 324  |
| Or} | LEI <LEI>                           | [1..1] | IdentifierSet |             | 324  |

#### 11.1.9.12.1 AnyBIC <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)".

*Impacted by:* C1 "AnyBIC"

*Datatype:* "[AnyBICDec2014Identifier](#)" on page 387

**Constraints**

- **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.

**11.1.9.12.2 ProprietaryIdentification <PrtryId>**

*Presence:* [1..1]

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

**ProprietaryIdentification <PrtryId>** contains the following elements (see "[GenericIdentification36](#)" on page 260 for details)

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | Identification <Id>     | [1..1] | Text |             | 260  |
|    | Issuer <Issr>           | [1..1] | Text |             | 261  |
|    | SchemeName <SchmeNm>    | [0..1] | Text |             | 261  |

**11.1.9.12.3 NameAndAddress <NmAndAdr>**

*Presence:* [1..1]

*Definition:* Name and address of a party.

**NameAndAddress <NmAndAdr>** contains the following elements (see "[NameAndAddress5](#)" on page 341 for details)

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | Name <Nm>               | [1..1] | Text |             | 342  |
|    | Address <Adr>           | [0..1] | ±    |             | 342  |

**11.1.9.12.4 LEI <LEI>**

*Presence:* [1..1]

*Definition:* Legal entity identification of the party.

*Datatype:* "[LEIIdentifier](#)" on page 388

**11.1.10 Person Identification****11.1.10.1 ContactIdentification1**

*Definition:* Information needed to contact a physical person.

| Or | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|----|-------------------------|--------|---------|-------------|------|
|    | Name <Nm>               | [1..1] | Text    |             | 325  |
|    | NamePrefix <NmPrfx>     | [0..1] | CodeSet |             | 325  |
|    | GivenName <GvnNm>       | [0..1] | Text    |             | 325  |
|    | Role <Role>             | [0..1] | Text    |             | 325  |
|    | PhoneNumber <PhneNb>    | [0..1] | Text    |             | 325  |
|    | FaxNumber <FaxNb>       | [0..1] | Text    |             | 326  |
|    | EmailAddress <EmailAdr> | [0..1] | Text    |             | 326  |

#### 11.1.10.1.1 Name <Nm>

*Presence:* [1..1]

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

*Datatype:* "Max35Text" on page 391

#### 11.1.10.1.2 NamePrefix <NmPrfx>

*Presence:* [0..1]

*Definition:* Specifies the terms used to formally address a person.

*Datatype:* "NamePrefix1Code" on page 372

| CodeName | Name   | Definition                           |
|----------|--------|--------------------------------------|
| DOCT     | Doctor | Title of the person is Doctor or Dr. |
| MIST     | Mister | Title of the person is Mister or Mr. |
| MISS     | Miss   | Title of the person is Miss.         |
| MADM     | Madam  | Title of the person is Madam.        |

#### 11.1.10.1.3 GivenName <GvnNm>

*Presence:* [0..1]

*Definition:* First name of a person.

*Datatype:* "Max35Text" on page 391

#### 11.1.10.1.4 Role <Role>

*Presence:* [0..1]

*Definition:* Role of the party in the activity.

*Datatype:* "Max35Text" on page 391

#### 11.1.10.1.5 PhoneNumber <PhneNb>

*Presence:* [0..1]

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

*Datatype:* "PhoneNumber" on page 393

**11.1.10.1.6 FaxNumber <FaxNb>***Presence:* [0..1]*Definition:* Collection of information that identifies a FAX number, as defined by telecom services.*Datatype:* "PhoneNumber" on page 393**11.1.10.1.7 EmailAddress <EmailAdr>***Presence:* [0..1]*Definition:* Address for electronic mail (e-mail).*Datatype:* "Max256Text" on page 391**11.1.10.2 PersonName3***Definition:* Identifies a person via its first name and surname.

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | NamePrefix <NmPrfx>              | [0..1] | CodeSet |             | 326  |
|    | FirstName <FrstNm>               | [1..1] | Text    |             | 327  |
|    | Surname <Snm>                    | [1..1] | Text    |             | 327  |
|    | Address <Adr>                    | [0..1] |         |             | 327  |
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 327  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 328  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 328  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 328  |
|    | PostBox <PstBx>                  | [0..1] | Text    |             | 328  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 328  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 328  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 328  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 329  |

**11.1.10.2.1 NamePrefix <NmPrfx>***Presence:* [0..1]*Definition:* Prefix, as a title before a person's name.*Datatype:* "NamePrefix2Code" on page 373

| CodeName | Name   | Definition                           |
|----------|--------|--------------------------------------|
| DOCT     | Doctor | Title of the person is Doctor or Dr. |
| MADM     | Madam  | Title of the person is Madam.        |
| MISS     | Miss   | Title of the person is Miss.         |
| MIST     | Mister | Title of the person is Mister or Mr. |

| CodeName | Name          | Definition                                  |
|----------|---------------|---|
| MIKS     | GenderNeutral | Title of the person is gender neutral (Mx). |

#### 11.1.10.2.2 FirstName <FrstNm>

*Presence:* [1..1]

*Definition:* First name(s) by which a natural person is known.

*Datatype:* "Max350Text" on page 391

#### 11.1.10.2.3 Surname <SrnM>

*Presence:* [1..1]

*Definition:* Name (s) by which a natural person is known and which is usually used to identify that party.

*Datatype:* "Max350Text" on page 391

#### 11.1.10.2.4 Address <Adr>

*Presence:* [0..1]

*Definition:* Postal address of the party.

**Address <Adr>** contains the following **PostalAddress26** elements

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 327  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 328  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 328  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 328  |
|    | PostBox <PstBx>                  | [0..1] | Text    |             | 328  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 328  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 328  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 328  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 329  |

#### 11.1.10.2.4.1 AddressType <AdrTp>

*Presence:* [0..1]

*Definition:* Identifies the nature of the postal address.

*Datatype:* "AddressType2Code" on page 365

| CodeName | Name        | Definition                              |
|----------|-------------|---|
| ADDR     | Postal      | Address is the complete postal address. |
| PBOX     | POBox       | Address is a postal office (PO) box.    |
| HOME     | Residential | Address is the home address.            |

| CodeName | Name       | Definition   |
|----------|------------|--|
| BIZZ     | Business   | Address is the business address.                           |
| MLTO     | MailTo     | Address is the address to which mail is sent.              |
| DLVY     | DeliveryTo | Address is the address to which delivery is to take place. |

#### 11.1.10.2.4.2 AddressLine <AdrLine>

*Presence:* [0..5]

*Definition:* Information that locates and identifies a specific address, as defined by postal services, that is presented in free format text.

*Datatype:* "Max70Text" on page 392

#### 11.1.10.2.4.3 StreetName <StrtNm>

*Presence:* [0..1]

*Definition:* Name of a street or thoroughfare.

*Datatype:* "Max70Text" on page 392

#### 11.1.10.2.4.4 BuildingNumber <BldgNb>

*Presence:* [0..1]

*Definition:* Number that identifies the position of a building on a street.

*Datatype:* "Max16Text" on page 391

#### 11.1.10.2.4.5 PostBox <PstBx>

*Presence:* [0..1]

*Definition:* Numbered box in a post office, assigned to a person or organisation, where letters are kept until called for.

*Datatype:* "Max16Text" on page 391

#### 11.1.10.2.4.6 PostCode <PstCd>

*Presence:* [0..1]

*Definition:* Identifier consisting of a group of letters and/or numbers that is added to a postal address to assist the sorting of mail.

*Datatype:* "Max16Text" on page 391

#### 11.1.10.2.4.7 TownName <TwnNm>

*Presence:* [0..1]

*Definition:* Name of a built-up area, with defined boundaries, and a local government.

*Datatype:* "Max35Text" on page 391

#### 11.1.10.2.4.8 CountrySubDivision <CtrySubDvsn>

*Presence:* [0..1]

*Definition:* Identifies a subdivision of a country for example, state, region, county.

*Datatype:* "Max35Text" on page 391

#### 11.1.10.2.4.9 Country <Ctry>

*Presence:* [1..1]

*Definition:* Nation with its own government.

*Impacted by:* C3 "Country"

*Datatype:* "CountryCode" on page 367

#### Constraints

- **Country**

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

#### 11.1.10.3 Contact4

*Definition:* Specifies the details of the contact person.

| Or | MessageElement<XML Tag>     | Mult.  | Type    | Constr. No. | Page |
|----|-----------------------------|--------|---------|-------------|------|
|    | NamePrefix <NmPrfx>         | [0..1] | CodeSet |             | 329  |
|    | Name <Nm>                   | [0..1] | Text    |             | 330  |
|    | PhoneNumber <PhneNb>        | [0..1] | Text    |             | 330  |
|    | MobileNumber <MobNb>        | [0..1] | Text    |             | 330  |
|    | FaxNumber <FaxNb>           | [0..1] | Text    |             | 330  |
|    | EmailAddress <EmailAdr>     | [0..1] | Text    |             | 330  |
|    | EmailPurpose <EmailPurp>    | [0..1] | Text    |             | 330  |
|    | JobTitle <JobTitl>          | [0..1] | Text    |             | 330  |
|    | Responsibility <Rspnsblty>  | [0..1] | Text    |             | 331  |
|    | Department <Dept>           | [0..1] | Text    |             | 331  |
|    | Other <Othr>                | [0..*] |         |             | 331  |
|    | ChannelType <ChanlTp>       | [1..1] | Text    |             | 331  |
|    | Identification <Id>         | [0..1] | Text    |             | 331  |
|    | PreferredMethod <PrefrdMtd> | [0..1] | CodeSet |             | 331  |

#### 11.1.10.3.1 NamePrefix <NmPrfx>

*Presence:* [0..1]

*Definition:* Specifies the terms used to formally address a person.

*Datatype:* "NamePrefix2Code" on page 373

| CodeName | Name   | Definition                           |
|----------|--------|--------------------------------------|
| DOCT     | Doctor | Title of the person is Doctor or Dr. |

| CodeName | Name          | Definition                                  |
|----------|---------------|---|
| MADM     | Madam         | Title of the person is Madam.               |
| MISS     | Miss          | Title of the person is Miss.                |
| MIST     | Mister        | Title of the person is Mister or Mr.        |
| MIKS     | GenderNeutral | Title of the person is gender neutral (Mx). |

#### 11.1.10.3.2 Name <Nm>

*Presence:* [0..1]

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

*Datatype:* "Max140Text" on page 390

#### 11.1.10.3.3 PhoneNumber <PhneNb>

*Presence:* [0..1]

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

*Datatype:* "PhoneNumber" on page 393

#### 11.1.10.3.4 MobileNumber <MobNb>

*Presence:* [0..1]

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

*Datatype:* "PhoneNumber" on page 393

#### 11.1.10.3.5 FaxNumber <FaxNb>

*Presence:* [0..1]

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

*Datatype:* "PhoneNumber" on page 393

#### 11.1.10.3.6 EmailAddress <EmailAdr>

*Presence:* [0..1]

*Definition:* Address for electronic mail (e-mail).

*Datatype:* "Max2048Text" on page 391

#### 11.1.10.3.7 EmailPurpose <EmailPurp>

*Presence:* [0..1]

*Definition:* Purpose for which an email address may be used.

*Datatype:* "Max35Text" on page 391

#### 11.1.10.3.8 JobTitle <JobTitl>

*Presence:* [0..1]

*Definition:* Title of the function.

*Datatype:* "Max35Text" on page 391

### 11.1.10.3.9 Responsibility <Rspnsblty>

*Presence:* [0..1]

*Definition:* Role of a person in an organisation.

*Datatype:* "Max35Text" on page 391

### 11.1.10.3.10 Department <Dept>

*Presence:* [0..1]

*Definition:* Identification of a division of a large organisation or building.

*Datatype:* "Max70Text" on page 392

### 11.1.10.3.11 Other <Othr>

*Presence:* [0..\*]

*Definition:* Contact details in another form.

**Other <Othr>** contains the following **OtherContact1** elements

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | ChannelType <ChanITp>   | [1..1] | Text |             | 331  |
|    | Identification <Id>     | [0..1] | Text |             | 331  |

### 11.1.10.3.11.1 ChannelType <ChanITp>

*Presence:* [1..1]

*Definition:* Method used to contact the financial institution's contact for the specific tax region.

*Datatype:* "Max4Text" on page 392

### 11.1.10.3.11.2 Identification <Id>

*Presence:* [0..1]

*Definition:* Communication value such as phone number or email address.

*Datatype:* "Max128Text" on page 390

### 11.1.10.3.12 PreferredMethod <PrefrdMtd>

*Presence:* [0..1]

*Definition:* Preferred method used to reach the contact.

*Datatype:* "PreferredContactMethod1Code" on page 375

| CodeName | Name   | Definition  |
|----------|--------|---|
| LETT     | Letter | Preferred method used to reach the contact is per letter. |
| MAIL     | Email  | Preferred method used to reach the contact is per email.  |
| PHON     | Phone  | Preferred method used to reach the contact is per phone.  |

| CodeName | Name              | Definition  |
|----------|-------------------|---|
| FAXX     | Fax               | Preferred method used to reach the contact is per fax.                  |
| CELL     | MobileOrCellPhone | Preferred method used to reach the contact is per mobile or cell phone. |

#### 11.1.10.4 PersonIdentification13

*Definition:* Unique and unambiguous way to identify a person.

| Or  | MessageElement<XML Tag>               | Mult.  | Type    | Constr. No. | Page |
|-----|---------------------------------------|--------|---------|-------------|------|
|     | DateAndPlaceOfBirth <DtAndPlcOfBirth> | [0..1] |         |             | 332  |
|     | BirthDate <BirthDt>                   | [1..1] | Date    |             | 332  |
|     | ProvinceOfBirth <PrvcOfBirth>         | [0..1] | Text    |             | 333  |
|     | CityOfBirth <CityOfBirth>             | [1..1] | Text    |             | 333  |
|     | CountryOfBirth <CtryOfBirth>          | [1..1] | CodeSet | C3          | 333  |
|     | Other <Othr>                          | [0..*] |         |             | 333  |
|     | Identification <Id>                   | [1..1] | Text    |             | 333  |
|     | SchemeName <SchmeNm>                  | [0..1] |         |             | 333  |
| {Or | Code <Cd>                             | [1..1] | CodeSet |             | 334  |
| Or} | Proprietary <Prtry>                   | [1..1] | Text    |             | 334  |
|     | Issuer <Issr>                         | [0..1] | Text    |             | 334  |

##### 11.1.10.4.1 DateAndPlaceOfBirth <DtAndPlcOfBirth>

*Presence:* [0..1]

*Definition:* Date and place of birth of a person.

**DateAndPlaceOfBirth <DtAndPlcOfBirth>** contains the following **DateAndPlaceOfBirth1** elements

| Or | MessageElement<XML Tag>       | Mult.  | Type    | Constr. No. | Page |
|----|-------------------------------|--------|---------|-------------|------|
|    | BirthDate <BirthDt>           | [1..1] | Date    |             | 332  |
|    | ProvinceOfBirth <PrvcOfBirth> | [0..1] | Text    |             | 333  |
|    | CityOfBirth <CityOfBirth>     | [1..1] | Text    |             | 333  |
|    | CountryOfBirth <CtryOfBirth>  | [1..1] | CodeSet | C3          | 333  |

##### 11.1.10.4.1.1 BirthDate <BirthDt>

*Presence:* [1..1]

*Definition:* Date on which a person is born.

*Datatype:* "ISODate" on page 386

**11.1.10.4.1.2 ProvinceOfBirth <PrvcOfBirth>***Presence:* [0..1]*Definition:* Province where a person was born.*Datatype:* "Max35Text" on page 391**11.1.10.4.1.3 CityOfBirth <CityOfBirth>***Presence:* [1..1]*Definition:* City where a person was born.*Datatype:* "Max35Text" on page 391**11.1.10.4.1.4 CountryOfBirth <CtryOfBirth>***Presence:* [1..1]*Definition:* Country where a person was born.*Impacted by:* C3 "Country"*Datatype:* "CountryCode" on page 367**Constraints**

- **Country**

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

**11.1.10.4.2 Other <Othr>***Presence:* [0..\*]*Definition:* Unique identification of a person, as assigned by an institution, using an identification scheme.**Other <Othr>** contains the following **GenericPersonIdentification1** elements

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
|     | Identification <Id>     | [1..1] | Text    |             | 333  |
|     | SchemeName <SchmeNm>    | [0..1] |         |             | 333  |
| {Or | Code <Cd>               | [1..1] | CodeSet |             | 334  |
| Or} | Proprietary <Prtry>     | [1..1] | Text    |             | 334  |
|     | Issuer <Issr>           | [0..1] | Text    |             | 334  |

**11.1.10.4.2.1 Identification <Id>***Presence:* [1..1]*Definition:* Unique and unambiguous identification of a person.*Datatype:* "Max35Text" on page 391**11.1.10.4.2.2 SchemeName <SchmeNm>***Presence:* [0..1]

*Definition:* Name of the identification scheme.

**SchemeName <SchmeNm>** contains one of the following **PersonIdentificationSchemeName1Choice** elements

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd>               | [1..1] | CodeSet |             | 334  |
| Or} | Proprietary <Prtry>     | [1..1] | Text    |             | 334  |

#### 11.1.10.4.2.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Name of the identification scheme, in a coded form as published in an external list.

*Datatype:* ["ExternalPersonIdentification1Code" on page 370](#)

#### 11.1.10.4.2.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Name of the identification scheme, in a free text form.

*Datatype:* ["Max35Text" on page 391](#)

#### 11.1.10.4.2.3 Issuer <Issr>

*Presence:* [0..1]

*Definition:* Entity that assigns the identification.

*Datatype:* ["Max35Text" on page 391](#)

## 11.1.11 Postal Address

### 11.1.11.1 LongPostalAddress2Choice

*Definition:* Information that locates and identifies a specific address, as defined by postal services either in a structured or unstructured way.

| Or  | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|-----|-------------------------|--------|------|-------------|------|
| {Or | Unstructured <Ustrd>    | [1..1] | Text |             | 334  |
| Or} | Structured <Strd>       | [1..1] | ±    |             | 335  |

#### Constraints

- **StructuredOrUnstructured1Guideline**

It is recommended that Structured be used.

#### 11.1.11.1.1 Unstructured <Ustrd>

*Presence:* [1..1]

*Definition:* Information that locates and identifies a specific address, as defined by postal services, that is presented in free format text.

*Datatype:* "Max350Text" on page 391

#### 11.1.11.1.2 Structured <Strd>

*Presence:* [1..1]

*Definition:* Information that locates and identifies a specific address, as defined by postal services, that is presented in a formal structure.

**Structured <Strd>** contains the following elements (see "PostalAddress1" on page 339 for details)

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 339  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 340  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 340  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 340  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 340  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 340  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 340  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 341  |

#### 11.1.11.2 PostalAddress24

*Definition:* Information that locates and identifies a specific address, as defined by postal services.

| Or  | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|-----|----------------------------------|--------|---------|-------------|------|
|     | AddressType <AdrTp>              | [0..1] |         |             | 336  |
| {Or | Code <Cd>                        | [1..1] | CodeSet |             | 336  |
| Or} | Proprietary <Prtry>              | [1..1] | ±       |             | 337  |
|     | Department <Dept>                | [0..1] | Text    |             | 337  |
|     | SubDepartment <SubDept>          | [0..1] | Text    |             | 337  |
|     | StreetName <StrtNm>              | [0..1] | Text    |             | 337  |
|     | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 337  |
|     | BuildingName <BldgNm>            | [0..1] | Text    |             | 338  |
|     | Floor <Flr>                      | [0..1] | Text    |             | 338  |
|     | PostBox <PstBx>                  | [0..1] | Text    |             | 338  |
|     | Room <Room>                      | [0..1] | Text    |             | 338  |
|     | PostCode <PstCd>                 | [0..1] | Text    |             | 338  |
|     | TownName <TwnNm>                 | [0..1] | Text    |             | 338  |
|     | TownLocationName <TwnLctnNm>     | [0..1] | Text    |             | 338  |
|     | DistrictName <DstrctNm>          | [0..1] | Text    |             | 338  |
|     | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 339  |
|     | Country <Ctry>                   | [0..1] | CodeSet | C3          | 339  |
|     | AddressLine <AdrLine>            | [0..7] | Text    |             | 339  |

**11.1.11.2.1 AddressType <AdrTp>**

*Presence:* [0..1]

*Definition:* Identifies the nature of the postal address.

**AddressType <AdrTp>** contains one of the following **AddressType3Choice** elements

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd>               | [1..1] | CodeSet |             | 336  |
| Or} | Proprietary <Prtry>     | [1..1] | ±       |             | 337  |

**11.1.11.2.1.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Type of address expressed as a code.

*Datatype:* "AddressType2Code" on page 365

| CodeName | Name   | Definition                              |
|----------|--------|---|
| ADDR     | Postal | Address is the complete postal address. |

| CodeName | Name        | Definition   |
|----------|-------------|--|
| PBOX     | POBox       | Address is a postal office (PO) box.                       |
| HOME     | Residential | Address is the home address.                               |
| BIZZ     | Business    | Address is the business address.                           |
| MLTO     | MailTo      | Address is the address to which mail is sent.              |
| DLVY     | DeliveryTo  | Address is the address to which delivery is to take place. |

#### 11.1.11.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of address expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification30](#)" on page 260 for details)

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | Identification <Id>     | [1..1] | Text |             | 260  |
|    | Issuer <Issr>           | [1..1] | Text |             | 260  |
|    | SchemeName <SchmeNm>    | [0..1] | Text |             | 260  |

#### 11.1.11.2.2 Department <Dept>

*Presence:* [0..1]

*Definition:* Identification of a division of a large organisation or building.

*Datatype:* "[Max70Text](#)" on page 392

#### 11.1.11.2.3 SubDepartment <SubDept>

*Presence:* [0..1]

*Definition:* Identification of a sub-division of a large organisation or building.

*Datatype:* "[Max70Text](#)" on page 392

#### 11.1.11.2.4 StreetName <StrtNm>

*Presence:* [0..1]

*Definition:* Name of a street or thoroughfare.

*Datatype:* "[Max70Text](#)" on page 392

#### 11.1.11.2.5 BuildingNumber <BldgNb>

*Presence:* [0..1]

*Definition:* Number that identifies the position of a building on a street.

*Datatype:* "[Max16Text](#)" on page 391

**11.1.11.2.6 BuildingName <BldgNm>**

*Presence:* [0..1]

*Definition:* Name of the building or house.

*Datatype:* "Max35Text" on page 391

**11.1.11.2.7 Floor <Flr>**

*Presence:* [0..1]

*Definition:* Floor or storey within a building.

*Datatype:* "Max70Text" on page 392

**11.1.11.2.8 PostBox <PstBx>**

*Presence:* [0..1]

*Definition:* Numbered box in a post office, assigned to a person or organisation, where letters are kept until called for.

*Datatype:* "Max16Text" on page 391

**11.1.11.2.9 Room <Room>**

*Presence:* [0..1]

*Definition:* Building room number.

*Datatype:* "Max70Text" on page 392

**11.1.11.2.10 PostCode <PstCd>**

*Presence:* [0..1]

*Definition:* Identifier consisting of a group of letters and/or numbers that is added to a postal address to assist the sorting of mail.

*Datatype:* "Max16Text" on page 391

**11.1.11.2.11 TownName <TwnNm>**

*Presence:* [0..1]

*Definition:* Name of a built-up area, with defined boundaries, and a local government.

*Datatype:* "Max35Text" on page 391

**11.1.11.2.12 TownLocationName <TwnLctnNm>**

*Presence:* [0..1]

*Definition:* Specific location name within the town.

*Datatype:* "Max35Text" on page 391

**11.1.11.2.13 DistrictName <DstrctNm>**

*Presence:* [0..1]

*Definition:* Identifies a subdivision within a country sub-division.

*Datatype:* "Max35Text" on page 391

**11.1.11.2.14 CountrySubDivision <CtrySubDvsn>**

*Presence:* [0..1]

*Definition:* Identifies a subdivision of a country such as state, region, county.

*Datatype:* "Max35Text" on page 391

**11.1.11.2.15 Country <Ctry>**

*Presence:* [0..1]

*Definition:* Nation with its own government.

*Impacted by:* C3 "Country"

*Datatype:* "CountryCode" on page 367

**Constraints****• Country**

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

**11.1.11.2.16 AddressLine <AdrLine>**

*Presence:* [0..7]

*Definition:* Information that locates and identifies a specific address, as defined by postal services, presented in free format text.

*Datatype:* "Max70Text" on page 392

**11.1.11.3 PostalAddress1**

*Definition:* Information that locates and identifies a specific address, as defined by postal services.

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 339  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 340  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 340  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 340  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 340  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 340  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 340  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 341  |

**11.1.11.3.1 AddressType <AdrTp>**

*Presence:* [0..1]

*Definition:* Identifies the nature of the postal address.

*Datatype:* "AddressType2Code" on page 365

| CodeName | Name        | Definition   |
|----------|-------------|--|
| ADDR     | Postal      | Address is the complete postal address.                    |
| PBOX     | POBox       | Address is a postal office (PO) box.                       |
| HOME     | Residential | Address is the home address.                               |
| BIZZ     | Business    | Address is the business address.                           |
| MLTO     | MailTo      | Address is the address to which mail is sent.              |
| DLVY     | DeliveryTo  | Address is the address to which delivery is to take place. |

#### 11.1.11.3.2 AddressLine <AdrLine>

*Presence:* [0..5]

*Definition:* Information that locates and identifies a specific address, as defined by postal services, that is presented in free format text.

*Datatype:* "Max70Text" on page 392

#### 11.1.11.3.3 StreetName <StrtNm>

*Presence:* [0..1]

*Definition:* Name of a street or thoroughfare.

*Datatype:* "Max70Text" on page 392

#### 11.1.11.3.4 BuildingNumber <BldgNb>

*Presence:* [0..1]

*Definition:* Number that identifies the position of a building on a street.

*Datatype:* "Max16Text" on page 391

#### 11.1.11.3.5 PostCode <PstCd>

*Presence:* [0..1]

*Definition:* Identifier consisting of a group of letters and/or numbers that is added to a postal address to assist the sorting of mail.

*Datatype:* "Max16Text" on page 391

#### 11.1.11.3.6 TownName <TwnNm>

*Presence:* [0..1]

*Definition:* Name of a built-up area, with defined boundaries, and a local government.

*Datatype:* "Max35Text" on page 391

#### 11.1.11.3.7 CountrySubDivision <CtrySubDvsn>

*Presence:* [0..1]

*Definition:* Identifies a subdivision of a country for example, state, region, county.

*Datatype:* "Max35Text" on page 391

**11.1.11.3.8 Country <Ctry>**

*Presence:* [1..1]

*Definition:* Nation with its own government.

*Impacted by:* C3 "Country"

*Datatype:* "CountryCode" on page 367

**Constraints**

- **Country**

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

**11.1.11.4 NameAndAddress9**

*Definition:* Information that locates and identifies a party.

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | Name <Nm>               | [1..1] | Text |             | 341  |
|    | Address <Adr>           | [0..1] | ±    | C19         | 341  |

**11.1.11.4.1 Name <Nm>**

*Presence:* [1..1]

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

*Datatype:* "Max350Text" on page 391

**11.1.11.4.2 Address <Adr>**

*Presence:* [0..1]

*Definition:* Postal address of a party.

*Impacted by:* C19 "StructuredOrUnstructured1Guideline"

**Address <Adr>** contains one of the following elements (see "[LongPostalAddress2Choice](#)" on page 334 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|-----|-------------------------|--------|------|-------------|------|
| {Or | Unstructured <Ustrd>    | [1..1] | Text |             | 334  |
| Or} | Structured <Strd>       | [1..1] | ±    |             | 335  |

**Constraints**

- **StructuredOrUnstructured1Guideline**

It is recommended that Structured be used.

**11.1.11.5 NameAndAddress5**

*Definition:* Information that locates and identifies a party.

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | Name <Nm>               | [1..1] | Text |             | 342  |
|    | Address <Adr>           | [0..1] | ±    |             | 342  |

#### 11.1.11.5.1 Name <Nm>

*Presence:* [1..1]

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

*Datatype:* "Max350Text" on page 391

#### 11.1.11.5.2 Address <Adr>

*Presence:* [0..1]

*Definition:* Postal address of the party.

**Address <Adr>** contains the following elements (see "[PostalAddress1](#)" on page 339 for details)

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | AddressType <AdrTp>              | [0..1] | CodeSet |             | 339  |
|    | AddressLine <AdrLine>            | [0..5] | Text    |             | 340  |
|    | StreetName <StrtNm>              | [0..1] | Text    |             | 340  |
|    | BuildingNumber <BldgNb>          | [0..1] | Text    |             | 340  |
|    | PostCode <PstCd>                 | [0..1] | Text    |             | 340  |
|    | TownName <TwnNm>                 | [0..1] | Text    |             | 340  |
|    | CountrySubDivision <CtrySubDvsn> | [0..1] | Text    |             | 340  |
|    | Country <Ctry>                   | [1..1] | CodeSet | C3          | 341  |

## 11.1.12 Price

### 11.1.12.1 PriceRateOrAmount3Choice

*Definition:* Choice of formats for the price.

| Or  | MessageElement<XML Tag> | Mult.  | Type   | Constr. No. | Page |
|-----|-------------------------|--------|--------|-------------|------|
| {Or | Rate <Rate>             | [1..1] | Rate   |             | 342  |
| Or} | Amount <Amt>            | [1..1] | Amount | C4          | 343  |

#### 11.1.12.1.1 Rate <Rate>

*Presence:* [1..1]

*Definition:* Price expressed as a rate, that is percentage.

*Datatype:* "PercentageRate" on page 389

### 11.1.12.1.2 Amount <Amt>

*Presence:* [1..1]

*Definition:* Price expressed as a currency and value.

*Impacted by:* C4 "ActiveOrHistoricCurrency"

*Datatype:* "ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 364

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

## 11.1.13 Quantity

### 11.1.13.1 SignedQuantityFormat14

*Definition:* Signed quantity of a security for various quantity formats.

| Or  | MessageElement<XML Tag>        | Mult.  | Type     | Constr. No. | Page |
|-----|--------------------------------|--------|----------|-------------|------|
|     | ShortLongPosition <ShrtLngPos> | [1..1] | CodeSet  |             | 343  |
|     | Quantity <Qty>                 | [1..1] |          | C9          | 343  |
| {Or | Unit <Unit>                    | [1..1] | Quantity |             | 344  |
| Or  | FaceAmount <FaceAmt>           | [1..1] | Amount   |             | 344  |
| Or} | DigitalTokenUnit <DgtlTknUnit> | [1..1] | Quantity |             | 344  |

#### 11.1.13.1.1 ShortLongPosition <ShrtLngPos>

*Presence:* [1..1]

*Definition:* Sign of the quantity of securities.

*Datatype:* "ShortLong1Code" on page 381

| CodeName | Name  | Definition   |
|----------|-------|--|
| SHOR     | Short | Position is short, that is, the balance is negative. |
| LONG     | Long  | Position is long, that is, the balance is positive.  |

#### 11.1.13.1.2 Quantity <Qty>

*Presence:* [1..1]

*Definition:* Quantity of securities.

*Impacted by:* C9 "DigitalTokenUnitUsageRule"

**Quantity <Qty>** contains one of the following **FinancialInstrumentQuantity45Choice** elements

| Or  | MessageElement<XML Tag>        | Mult.  | Type     | Constr. No. | Page |
|-----|--------------------------------|--------|----------|-------------|------|
| {Or | Unit <Unit>                    | [1..1] | Quantity |             | 344  |
| Or  | FaceAmount <FaceAmt>           | [1..1] | Amount   |             | 344  |
| Or} | DigitalTokenUnit <DgtITknUnit> | [1..1] | Quantity |             | 344  |

#### Constraints

- **DigitalTokenUnitUsageRule**

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

#### 11.1.13.1.2.1 Unit <Unit>

*Presence:* [1..1]

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

*Datatype:* "DecimalNumber" on page 388

#### 11.1.13.1.2.2 FaceAmount <FaceAmt>

*Presence:* [1..1]

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

*Datatype:* "ImpliedCurrencyAndAmount" on page 364

#### 11.1.13.1.2.3 DigitalTokenUnit <DgtITknUnit>

*Presence:* [1..1]

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

*Datatype:* "Max30DecimalNumber" on page 389

#### 11.1.13.2 SignedQuantityFormat15

*Definition:* Signed quantity of a security for various quantity formats.

| Or  | MessageElement<XML Tag>        | Mult.  | Type     | Constr. No. | Page |
|-----|--------------------------------|--------|----------|-------------|------|
|     | ShortLongPosition <ShrtLngPos> | [1..1] | CodeSet  |             | 345  |
|     | Quantity <Qty>                 | [1..1] |          | C9          | 345  |
| {Or | Unit <Unit>                    | [1..1] | Quantity |             | 345  |
| Or  | FaceAmount <FaceAmt>           | [1..1] | Amount   |             | 345  |
| Or  | DigitalTokenUnit <DgtITknUnit> | [1..1] | Quantity |             | 345  |
| Or} | Code <Cd>                      | [1..1] | CodeSet  |             | 346  |

**11.1.13.2.1 ShortLongPosition <ShrtLngPos>**

*Presence:* [1..1]

*Definition:* Sign of the quantity of securities.

*Datatype:* "ShortLong1Code" on page 381

| CodeName | Name  | Definition   |
|----------|-------|--|
| SHOR     | Short | Position is short, that is, the balance is negative. |
| LONG     | Long  | Position is long, that is, the balance is positive.  |

**11.1.13.2.2 Quantity <Qty>**

*Presence:* [1..1]

*Definition:* Quantity of securities.

*Impacted by:* C9 "DigitalTokenUnitUsageRule"

**Quantity <Qty>** contains one of the following **FinancialInstrumentQuantity46Choice** elements

| Or  | MessageElement<XML Tag>        | Mult.  | Type     | Constr. No. | Page |
|-----|--------------------------------|--------|----------|-------------|------|
| {Or | Unit <Unit>                    | [1..1] | Quantity |             | 345  |
| Or  | FaceAmount <FaceAmt>           | [1..1] | Amount   |             | 345  |
| Or  | DigitalTokenUnit <DgtlTknUnit> | [1..1] | Quantity |             | 345  |
| Or} | Code <Cd>                      | [1..1] | CodeSet  |             | 346  |

**Constraints**

- **DigitalTokenUnitUsageRule**

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

**11.1.13.2.2.1 Unit <Unit>**

*Presence:* [1..1]

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

*Datatype:* "DecimalNumber" on page 388

**11.1.13.2.2.2 FaceAmount <FaceAmt>**

*Presence:* [1..1]

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

*Datatype:* "ImpliedCurrencyAndAmount" on page 364

**11.1.13.2.2.3 DigitalTokenUnit <DgtlTknUnit>**

*Presence:* [1..1]

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

*Datatype:* ["Max30DecimalNumber" on page 389](#)

#### 11.1.13.2.2.4 Code <Cd>

*Presence:* [1..1]

*Definition:* Quantity expressed as a code.

*Datatype:* ["Quantity1Code" on page 377](#)

| CodeName | Name          | Definition   |
|----------|---------------|--|
| QALL     | AllSecurities | Instruction applies to the entire eligible balance of underlying securities. |

## 11.1.14 Safekeeping Place

### 11.1.14.1 SafekeepingPlaceFormat28Choice

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

| Or  | MessageElement<XML Tag>           | Mult.  | Type          | Constr. No. | Page |
|-----|-----------------------------------|--------|---------------|-------------|------|
| {Or | Identification <Id>               | [1..1] |               |             | 346  |
|     | SafekeepingPlaceType <SfkpgPlcTp> | [1..1] | CodeSet       |             | 346  |
|     | Identification <Id>               | [0..1] | Text          |             | 347  |
| Or  | Country <Ctry>                    | [1..1] | CodeSet       | C3          | 347  |
| Or  | TypeAndIdentification <TpAndId>   | [1..1] |               |             | 347  |
|     | SafekeepingPlaceType <SfkpgPlcTp> | [1..1] | CodeSet       |             | 347  |
|     | Identification <Id>               | [1..1] | IdentifierSet | C1          | 348  |
| Or} | Proprietary <Prtry>               | [1..1] | ±             |             | 348  |

#### 11.1.14.1.1 Identification <Id>

*Presence:* [1..1]

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

**Identification <Id>** contains the following **SafekeepingPlaceTypeAndText6** elements

| Or | MessageElement<XML Tag>           | Mult.  | Type    | Constr. No. | Page |
|----|-----------------------------------|--------|---------|-------------|------|
|    | SafekeepingPlaceType <SfkpgPlcTp> | [1..1] | CodeSet |             | 346  |
|    | Identification <Id>               | [0..1] | Text    |             | 347  |

#### 11.1.14.1.1.1 SafekeepingPlaceType <SfkpgPlcTp>

*Presence:* [1..1]

*Definition:* Place of safekeeping as a code.

*Datatype:* ["SafekeepingPlace2Code" on page 380](#)

| CodeName | Name                | Definition   |
|----------|---------------------|--|
| 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. |
| ALLP     | AllPlaces           | All places of safekeeping where the financial instrument is held.  |

#### 11.1.14.1.1.2 Identification <Id>

*Presence:* [0..1]

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

*Datatype:* "Max35Text" on page 391

#### 11.1.14.1.2 Country <Ctry>

*Presence:* [1..1]

*Definition:* Place of safekeeping expressed with a country code.

*Impacted by:* C3 "Country"

*Datatype:* "CountryCode" on page 367

#### Constraints

- **Country**

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

#### 11.1.14.1.3 TypeAndIdentification <TpAndId>

*Presence:* [1..1]

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

**TypeAndIdentification <TpAndId>** contains the following **SafekeepingPlaceTypeAndIdentification1** elements

| Or | MessageElement<XML Tag>           | Mult.  | Type          | Constr. No. | Page |
|----|-----------------------------------|--------|---------------|-------------|------|
|    | SafekeepingPlaceType <SfkpgPlcTp> | [1..1] | CodeSet       |             | 347  |
|    | Identification <Id>               | [1..1] | IdentifierSet | C1          | 348  |

#### 11.1.14.1.3.1 SafekeepingPlaceType <SfkpgPlcTp>

*Presence:* [1..1]

*Definition:* Place of safekeeping as a code.

*Datatype:* "SafekeepingPlace1Code" on page 379

| CodeName | Name                       | Definition                                       |
|----------|----------------------------|--|
| CUST     | SharesHeldAtLocalCustodian | Financial instruments held at a local custodian. |

| CodeName | Name                | Definition   |
|----------|---------------------|--|
| 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. |

**11.1.14.1.3.2 Identification <Id>**

*Presence:* [1..1]

*Definition:* Place of safekeeping.

*Impacted by:* C1 "AnyBIC"

*Datatype:* "AnyBICDec2014Identifier" on page 387

**Constraints**

- **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.

**11.1.14.1.4 Proprietary <Prtry>**

*Presence:* [1..1]

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

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification78" on page 259 for details)

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | Type <Tp>               | [1..1] | ±    |             | 259  |
|    | Identification <Id>     | [0..1] | Text |             | 259  |

**11.1.15 Securities Quantity**

**11.1.15.1 FinancialInstrumentQuantity18Choice**

*Definition:* Choice between formats for the quantity of security.

| Or  | MessageElement<XML Tag> | Mult.  | Type     | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Unit <Unit>             | [1..1] | Quantity |             | 349  |
| Or} | FaceAmount <FaceAmt>    | [1..1] | Amount   |             | 349  |

### 11.1.15.1.1 Unit <Unit>

*Presence:* [1..1]

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

*Datatype:* "DecimalNumber" on page 388

### 11.1.15.1.2 FaceAmount <FaceAmt>

*Presence:* [1..1]

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

*Datatype:* "ImpliedCurrencyAndAmount" on page 364

### 11.1.15.2 QuantityOrCode1Choice

*Definition:* Choice between a quantity or a code value.

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Quantity <Qty>          | [1..1] | ±       |             | 349  |
| Or} | Code <Cd>               | [1..1] | CodeSet |             | 349  |

#### 11.1.15.2.1 Quantity <Qty>

*Presence:* [1..1]

*Definition:* Quantity expressed as a number.

**Quantity <Qty>** contains one of the following elements (see "FinancialInstrumentQuantity18Choice" on page 348 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type     | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Unit <Unit>             | [1..1] | Quantity |             | 349  |
| Or} | FaceAmount <FaceAmt>    | [1..1] | Amount   |             | 349  |

#### 11.1.15.2.2 Code <Cd>

*Presence:* [1..1]

*Definition:* Quantity expressed as a code.

*Datatype:* "Quantity1Code" on page 377

| CodeName | Name          | Definition   |
|----------|---------------|--|
| QALL     | AllSecurities | Instruction applies to the entire eligible balance of underlying securities. |

## 11.1.16 Status

### 11.1.16.1 CancellationProcessingStatus2

*Definition:* Status advising on the processing of the cancellation request.

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | Status <Sts>                     | [1..1] | CodeSet |             | 350  |
|    | AdditionalInformation <AddtlInf> | [0..1] | Text    |             | 350  |

### 11.1.16.1.1 Status <Sts>

Presence: [1..1]

Definition: Status code.

Datatype: "CancellationStatus6Code" on page 367

| CodeName | Name                        | Definition  |
|----------|-----------------------------|---|
| PACK     | Accepted                    | Cancellation instruction / request has been received and has been acknowledged / accepted for further processing. |
| CAND     | Complete                    | Cancellation instruction / request has been accepted and processed, the cancellation is complete.                 |
| RCIS     | ReceivedByIssuerOrRegistrar | Cancellation instruction / request has been received by issuer or registrar.                                      |

### 11.1.16.1.2 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the status.

Datatype: "Max350Text" on page 391

### 11.1.16.2 PendingStatus70Choice

Definition: Choice between a reason and no reason for the general meeting instruction processing pending status.

| Or  | MessageElement<XML Tag>                   | Mult.  | Type    | Constr. No. | Page |
|-----|---|--------|---------|-------------|------|
| {Or | NoSpecifiedReason <NoSpdfdRsn>            | [1..1] | CodeSet |             | 350  |
| Or} | Reason <Rsn>                              | [1..*] |         | C6          | 351  |
|     | ReasonCode <RsnCd>                        | [1..1] | ±       |             | 351  |
|     | AdditionalReasonInformation <AddtlRsnInf> | [0..1] | Text    |             | 351  |

#### 11.1.16.2.1 NoSpecifiedReason <NoSpdfdRsn>

Presence: [1..1]

Definition: Reason not specified.

Datatype: "NoReasonCode" on page 373

| CodeName | Name     | Definition  |
|----------|----------|---|
| NORE     | NoReason | No reason to report or no reason available to report. |

### 11.1.16.2.2 Reason <Rsn>

*Presence:* [1..\*]

*Definition:* Reason why the meeting instruction message or the individual meeting instruction is pending.

*Impacted by:* C6 "AdditionalReasonInformationRule"

**Reason <Rsn>** contains the following **PendingStatusReason26** elements

| Or | MessageElement<XML Tag>                   | Mult.  | Type | Constr. No. | Page |
|----|---|--------|------|-------------|------|
|    | ReasonCode <RsnCd>                        | [1..1] | ±    |             | 351  |
|    | AdditionalReasonInformation <AddtlRsnInf> | [0..1] | Text |             | 351  |

#### Constraints

- **AdditionalReasonInformationRule**

AdditionalReasonInformation element must not contain information that can be provided in a structured field unless bilaterally agreed.

#### 11.1.16.2.2.1 ReasonCode <RsnCd>

*Presence:* [1..1]

*Definition:* Reason for the pending status.

**ReasonCode <RsnCd>** contains one of the following elements (see "PendingReason67Choice" on page 354 for details)

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd>               | [1..1] | CodeSet |             | 354  |
| Or} | Proprietary <Prtry>     | [1..1] | ±       |             | 355  |

#### 11.1.16.2.2.2 AdditionalReasonInformation <AddtlRsnInf>

*Presence:* [0..1]

*Definition:* Additional information about the pending status.

*Datatype:* "Max350Text" on page 391

### 11.1.16.3 RejectedStatus55Choice

*Definition:* Choice between a reason and no reason for the general meeting instruction processing rejected status.

| Or  | MessageElement<XML Tag>                   | Mult.  | Type    | Constr. No. | Page |
|-----|---|--------|---------|-------------|------|
| {Or | NoSpecifiedReason <NoSpcfdRsn>            | [1..1] | CodeSet |             | 352  |
| Or} | Reason <Rsn>                              | [1..*] |         | C5          | 352  |
|     | ReasonCode <RsnCd>                        | [1..1] |         |             | 352  |
| {Or | Code <Cd>                                 | [1..1] | CodeSet |             | 353  |
| Or} | Proprietary <Prtry>                       | [1..1] | ±       |             | 354  |
|     | AdditionalReasonInformation <AddtlRsnInf> | [0..1] | Text    |             | 354  |

### 11.1.16.3.1 NoSpecifiedReason <NoSpcfdRsn>

*Presence:* [1..1]

*Definition:* Reason not specified.

*Datatype:* "NoReasonCode" on page 373

| CodeName | Name     | Definition  |
|----------|----------|---|
| NORE     | NoReason | No reason to report or no reason available to report. |

### 11.1.16.3.2 Reason <Rsn>

*Presence:* [1..\*]

*Definition:* Reason why the meeting instruction message or the individual meeting instruction is rejected.

*Impacted by:* C5 "AdditionalReasonInfformationRule"

**Reason <Rsn>** contains the following **RejectedStatusReason54** elements

| Or  | MessageElement<XML Tag>                   | Mult.  | Type    | Constr. No. | Page |
|-----|---|--------|---------|-------------|------|
|     | ReasonCode <RsnCd>                        | [1..1] |         |             | 352  |
| {Or | Code <Cd>                                 | [1..1] | CodeSet |             | 353  |
| Or} | Proprietary <Prtry>                       | [1..1] | ±       |             | 354  |
|     | AdditionalReasonInformation <AddtlRsnInf> | [0..1] | Text    |             | 354  |

#### Constraints

- **AdditionalReasonInfformationRule**

AdditionalReasonInformation element must not contain information that can be provided in a structured field unless bilaterally agreed.

### 11.1.16.3.2.1 ReasonCode <RsnCd>

*Presence:* [1..1]

*Definition:* Reason for the rejected status.

**ReasonCode <RsnCd>** contains one of the following **RejectedReason57Choice** elements

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd>               | [1..1] | CodeSet |             | 353  |
| Or} | Proprietary <Prtry>     | [1..1] | ±       |             | 354  |

#### 11.1.16.3.2.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Rejection reason specified as a code.

*Datatype:* "RejectionReason82Code" on page 377

| CodeName | Name                           | Definition  |
|----------|--------------------------------|---|
| ADEA     | AccountServicerDeadlineMissed  | Transaction/instruction received after the account servicer's specified deadline. |
| ADDM     | AdditionalDocumentationMissing | Requested additional documentation is missing.                                    |
| MCAN     | EventCancelled                 | Event has been cancelled.   |
| DQUA     | QuantityRejection              | Unrecognised or invalid instructed quantity.                                      |
| DREM     | DeadlineToRegisterMissed       | Deadline to register is missed.   |
| DSEC     | InvalidSecurity                | Unrecognised or invalid financial instrument identification.                      |
| EVNM     | UnrecognisedIdentification     | Unrecognised event number.  |
| FULL     | MissingBeneficiaryOwnerDetails | Rejected due to missing beneficiary owner details.                                |
| IPOA     | MissingOrInvalidPOA            | Missing or invalid power of attorney.   |
| IPOS     | InsufficientThresholdPosition  | Position is less than required threshold.   |
| IREG     | RegistrationDiscrepancy        | Invalid registration information.   |
| LATE     | MarketDeadlineMissed           | Received after market deadline.   |
| NPOS     | NoRegisteredPosition           | Insufficient or no registered position.   |
| OTHR     | Other                          | Other. See Narrative.   |
| PART     | PartialVoteNotAllowed          | Partial voting is not allowed.  |
| PRXY     | ProxyCardDiscrepancy           | Invalid proxy information.  |
| RBIS     | RejectedByIssuerOrRegistrar    | Issuer or registrar has rejected the instruction.                                 |
| RESN     | ResolutionNumberDiscrepancy    | Resolution number provided discrepancy.   |
| SAFE     | SafekeepingAccountRejection    | Unrecognised or invalid message sender's safekeeping account.                     |
| SPLT     | SplitVoteNotAllowed            | Split voting is not allowed.  |
| ULNK     | InvalidReference               | Linked reference is unknown.  |
| OPTY     | InvalidOptionType              | Invalid option type.  |

| CodeName | Name                              | Definition   |
|----------|-----------------------------------|--|
| LACK     | LackofSecurities                  | Instructed position exceeds the eligible balance.  |
| LIST     | InvalidVoteInFavourInGroupListing | Instruction is invalid due to multiple resolutions instructed as vote "For" and belonging to the same listing group resolution label number. |
| NOSL     | NotRegisteredInInStockLedger      | Invalid instruction as the shareholder or its delegate is not registered in the company stock ledger book.                                   |
| PMNS     | ParticipationMethodNotSupported   | Instruction rejected due to the method of participation not supported by the account servicer.   |
| IPED     | InstructionPriorToEntitlementDate | Instruction was received prior to entitlement date.  |
| DUPL     | DuplicateInstruction              | Instruction is rejected due to duplicate business message identifier.  |

#### 11.1.16.3.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Rejection reason specified as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification30](#)" on page 260 for details)

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | Identification <Id>     | [1..1] | Text |             | 260  |
|    | Issuer <Issr>           | [1..1] | Text |             | 260  |
|    | SchemeName <SchmeNm>    | [0..1] | Text |             | 260  |

#### 11.1.16.3.2.2 AdditionalReasonInformation <AddtlRsnInf>

*Presence:* [0..1]

*Definition:* Additional information about the rejection status.

*Datatype:* "[Max350Text](#)" on page 391

#### 11.1.16.4 PendingReason67Choice

*Definition:* Choice between a standard code and a proprietary code to specify the reason why the instruction/event has a pending status.

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd>               | [1..1] | CodeSet |             | 354  |
| Or} | Proprietary <Prtry>     | [1..1] | ±       |             | 355  |

#### 11.1.16.4.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Pending reason specified as a code.

*Datatype:* "PendingReason25Code" on page 374

| CodeName | Name                              | Definition  |
|----------|-----------------------------------|---|
| ADEA     | AccountServicerDeadlineMissed     | Instruction was received after the account servicer's deadline. Processed on best effort basis. |
| ADDM     | AdditionalDocumentationMissing    | Additional documents requested missing.   |
| DQUA     | QuantityDisagreement              | Quantity of financial instruments does not match.   |
| DREM     | DeadlineToRegisterMissed          | Deadline to register is missed.   |
| FULL     | PendingBeneficiaryOwnerDetails    | Pending receipt of beneficiary owner details.   |
| IPOA     | MissingOrInvalidPOA               | Missing or invalid power of attorney.   |
| IPOS     | InsufficientThresholdPosition     | Position is less than required threshold.   |
| LACK     | LackOfSecurities                  | Insufficient financial instruments in your account.   |
| LATE     | MarketDeadlineMissed              | Instruction was received after market deadline.   |
| NPOS     | NoRegisteredPosition              | Insufficient or no registered position.   |
| IREG     | RegistrationDiscrepancy           | Invalid registration discrepancy.   |
| OTHR     | Other                             | Other. See Narrative.   |
| PRXY     | ProxyCardDiscrepancy              | Invalid Proxy Information.  |
| PENR     | PendingReceipt                    | The instruction is pending receipt of securities, for example, from a purchase or loan.         |
| IPED     | InstructionPriorToEntitlementDate | Instruction was received prior to entitlement date.   |

#### 11.1.16.4.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Pending reason specified as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification30](#)" on page 260 for details)

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | Identification <Id>     | [1..1] | Text |             | 260  |
|    | Issuer <Issr>           | [1..1] | Text |             | 260  |
|    | SchemeName <SchmeNm>    | [0..1] | Text |             | 260  |

#### 11.1.16.5 CancellationStatus27Choice

*Definition:* Status applying to the instruction cancellation request received.

| Or  | MessageElement<XML Tag>                                      | Mult.  | Type | Constr. No. | Page |
|-----|--|--------|------|-------------|------|
| {Or | GlobalCancellationStatus <GblCxlSts>                         | [1..1] | ±    |             | 356  |
| Or} | DetailedCancellationStatus <DtldCxlSts>                      | [1..*] |      | C22         | 356  |
|     | SingleInstructionCancellationIdentification <SnglInstrCxlId> | [1..1] | Text |             | 357  |
|     | AccountIdentification <AcctId>                               | [0..1] | Text |             | 357  |
|     | SubAccountIdentification <SubAcctId>                         | [0..1] | Text |             | 357  |
|     | InstructionCancellationStatus <InstrCxlSts>                  | [1..1] | ±    |             | 357  |

### 11.1.16.5.1 GlobalCancellationStatus <GblCxlSts>

*Presence:* [1..1]

*Definition:* Status applicable globally to the meeting instruction cancellation request message.

**GlobalCancellationStatus <GblCxlSts>** contains one of the following elements (see "CancellationStatus26Choice" on page 357 for details)

| Or  | MessageElement<XML Tag>      | Mult.  | Type | Constr. No. | Page |
|-----|------------------------------|--------|------|-------------|------|
| {Or | ProcessingStatus <PrpgSts>   | [1..1] | ±    |             | 357  |
| Or  | Rejected <Rjctd>             | [1..1] | ±    |             | 358  |
| Or} | PendingCancellation <PdgCxl> | [1..1] | ±    |             | 358  |

### 11.1.16.5.2 DetailedCancellationStatus <DtldCxlSts>

*Presence:* [1..\*]

*Definition:* Status of individual instruction cancellation request that were received within the instruction cancellation message identified in InstructionType/InstructionCancellationIdentification.

*Impacted by:* C22 "SubAccount1Rule"

**DetailedCancellationStatus <DtldCxlSts>** contains the following **DetailedInstructionCancellationStatus14** elements

| Or | MessageElement<XML Tag>                                      | Mult.  | Type | Constr. No. | Page |
|----|--|--------|------|-------------|------|
|    | SingleInstructionCancellationIdentification <SnglInstrCxlId> | [1..1] | Text |             | 357  |
|    | AccountIdentification <AcctId>                               | [0..1] | Text |             | 357  |
|    | SubAccountIdentification <SubAcctId>                         | [0..1] | Text |             | 357  |
|    | InstructionCancellationStatus <InstrCxlSts>                  | [1..1] | ±    |             | 357  |

#### Constraints

- **SubAccount1Rule**

If SubAccountIdentification is present, then AccountIdentification must be present.

On Condition  
 /SubAccountIdentification is present  
 Following Must be True  
 /AccountIdentification Must be present

**11.1.16.5.2.1 SingleInstructionCancellationIdentification <SnglInstrCxlId>**

*Presence:* [1..1]

*Definition:* Identification of the specific individual instruction cancellation request from the original meeting instruction cancellation request message identified in InstructionType/ InstructionCancellationIdentification, for which the status is provided.

*Datatype:* "Max35Text" on page 391

**11.1.16.5.2.2 AccountIdentification <AcctId>**

*Presence:* [0..1]

*Definition:* Identification of the securities account.

*Datatype:* "Max35Text" on page 391

**11.1.16.5.2.3 SubAccountIdentification <SubAcctId>**

*Presence:* [0..1]

*Definition:* Identification of the subaccount within the safekeeping account.

*Datatype:* "Max35Text" on page 391

**11.1.16.5.2.4 InstructionCancellationStatus <InstrCxlSts>**

*Presence:* [1..1]

*Definition:* Status of an individual meeting instruction cancellation request.

**InstructionCancellationStatus <InstrCxlSts>** contains one of the following elements (see "CancellationStatus26Choice" on page 357 for details)

| Or  | MessageElement<XML Tag>      | Mult.  | Type | Constr. No. | Page |
|-----|------------------------------|--------|------|-------------|------|
| {Or | ProcessingStatus <PrcgSts>   | [1..1] | ±    |             | 357  |
| Or  | Rejected <Rjctd>             | [1..1] | ±    |             | 358  |
| Or} | PendingCancellation <PdgCxl> | [1..1] | ±    |             | 358  |

**11.1.16.6 CancellationStatus26Choice**

*Definition:* Status applying to the instruction cancellation request received.

| Or  | MessageElement<XML Tag>      | Mult.  | Type | Constr. No. | Page |
|-----|------------------------------|--------|------|-------------|------|
| {Or | ProcessingStatus <PrcgSts>   | [1..1] | ±    |             | 357  |
| Or  | Rejected <Rjctd>             | [1..1] | ±    |             | 358  |
| Or} | PendingCancellation <PdgCxl> | [1..1] | ±    |             | 358  |

**11.1.16.6.1 ProcessingStatus <PrcgSts>**

*Presence:* [1..1]

*Definition:* Status advising on the processing of the instruction cancellation request.

**ProcessingStatus <PrcgSts>** contains the following elements (see "[CancellationProcessingStatus2](#)" on page 349 for details)

| Or | MessageElement<XML Tag>          | Mult.  | Type    | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
|    | Status <Sts>                     | [1..1] | CodeSet |             | 350  |
|    | AdditionalInformation <AddtlInf> | [0..1] | Text    |             | 350  |

#### 11.1.16.6.2 Rejected <Rjctd>

*Presence:* [1..1]

*Definition:* Status advising on the rejection of the instruction cancellation request and on the reason for the rejection.

**Rejected <Rjctd>** contains one of the following elements (see "[RejectedStatus31Choice](#)" on page 361 for details)

| Or  | MessageElement<XML Tag>                   | Mult.  | Type    | Constr. No. | Page |
|-----|---|--------|---------|-------------|------|
| {Or | NoSpecifiedReason <NoSpcfdRsn>            | [1..1] | CodeSet |             | 361  |
| Or} | Reason <Rsn>                              | [1..*] |         | C7          | 361  |
|     | ReasonCode <RsnCd>                        | [1..1] |         |             | 362  |
| {Or | Code <Cd>                                 | [1..1] | CodeSet |             | 362  |
| Or} | Proprietary <Prtry>                       | [1..1] | ±       |             | 363  |
|     | AdditionalReasonInformation <AddtlRsnInf> | [0..1] | Text    |             | 363  |

#### 11.1.16.6.3 PendingCancellation <PdgCxl>

*Presence:* [1..1]

*Definition:* Status advising that the instruction cancellation request is pending and advising on the reason for the pending status.

**PendingCancellation <PdgCxl>** contains one of the following elements (see "[PendingCancellationStatus10Choice](#)" on page 359 for details)

| Or  | MessageElement<XML Tag>                   | Mult.  | Type    | Constr. No. | Page |
|-----|---|--------|---------|-------------|------|
| {Or | NotSpecifiedReason <NotSpcfdRsn>          | [1..1] | CodeSet |             | 359  |
| Or} | Reason <Rsn>                              | [1..*] |         | C4, C8      | 359  |
|     | ReasonCode <RsnCd>                        | [1..1] |         |             | 360  |
| {Or | Code <Cd>                                 | [1..1] | CodeSet |             | 360  |
| Or} | Proprietary <Prtry>                       | [1..1] | ±       |             | 360  |
|     | AdditionalReasonInformation <AddtlRsnInf> | [0..1] | Text    |             | 361  |

### 11.1.16.7 PendingCancellationStatus10Choice

*Definition:* Choice between a reason or no reason for the corporate action instruction cancellation pending cancellation status.

| Or  | MessageElement<XML Tag>                   | Mult.  | Type    | Constr. No. | Page |
|-----|---|--------|---------|-------------|------|
| {Or | NotSpecifiedReason <NotSpcfdRsn>          | [1..1] | CodeSet |             | 359  |
| Or} | Reason <Rsn>                              | [1..*] |         | C4, C8      | 359  |
|     | ReasonCode <RsnCd>                        | [1..1] |         |             | 360  |
| {Or | Code <Cd>                                 | [1..1] | CodeSet |             | 360  |
| Or} | Proprietary <Prtry>                       | [1..1] | ±       |             | 360  |
|     | AdditionalReasonInformation <AddtlRsnInf> | [0..1] | Text    |             | 361  |

#### 11.1.16.7.1 NotSpecifiedReason <NotSpcfdRsn>

*Presence:* [1..1]

*Definition:* Reason not specified.

*Datatype:* "NoReasonCode" on page 373

| CodeName | Name     | Definition  |
|----------|----------|---|
| NORE     | NoReason | No reason to report or no reason available to report. |

#### 11.1.16.7.2 Reason <Rsn>

*Presence:* [1..\*]

*Definition:* Reason why the meeting instruction cancellation request message or the individual meeting instruction cancellation request is pending.

*Impacted by:* C4 "AccountServicerDeadlineMissedGuideline", C8 "AdditionalReasonInformationRule"

**Reason <Rsn>** contains the following **PendingCancellationStatusReason10** elements

| Or  | MessageElement<XML Tag>                   | Mult.  | Type    | Constr. No. | Page |
|-----|---|--------|---------|-------------|------|
|     | ReasonCode <RsnCd>                        | [1..1] |         |             | 360  |
| {Or | Code <Cd>                                 | [1..1] | CodeSet |             | 360  |
| Or} | Proprietary <Prtry>                       | [1..1] | ±       |             | 360  |
|     | AdditionalReasonInformation <AddtlRsnInf> | [0..1] | Text    |             | 361  |

**Constraints**

- **AccountServicerDeadlineMissedGuideline**

When ReasonCode/Code is ADEA (Account Servicer Deadline Missed), the instruction is assumed to be processed "on a best effort basis" by the account servicer.

- **AdditionalReasonInformationRule**

AdditionalReasonInformation must not contain information that can be provided in a structured field unless bilaterally agreed.

**11.1.16.7.2.1 ReasonCode <RsnCd>**

*Presence:* [1..1]

*Definition:* Reason for the pending status.

**ReasonCode <RsnCd>** contains one of the following **PendingCancellationReason7Choice** elements

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd>               | [1..1] | CodeSet |             | 360  |
| Or} | Proprietary <Prtry>     | [1..1] | ±       |             | 360  |

**11.1.16.7.2.1.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Pending reason specified as a code.

*Datatype:* "PendingCancellationReason6Code" on page 374

| CodeName | Name                          | Definition  |
|----------|-------------------------------|---|
| DQUA     | QuantityRejection             | Unrecognised or invalid instructed quantity.                                      |
| LATE     | MarketDeadlineMissed          | Received after market deadline.   |
| OTHR     | Other                         | Other. See Narrative.   |
| ADEA     | AccountServicerDeadlineMissed | Transaction/instruction received after the account servicer's specified deadline. |

**11.1.16.7.2.1.2 Proprietary <Prtry>**

*Presence:* [1..1]

*Definition:* Pending reason specified as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification30](#)" on page 260 for details)

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | Identification <Id>     | [1..1] | Text |             | 260  |
|    | Issuer <Issr>           | [1..1] | Text |             | 260  |
|    | SchemeName <SchmeNm>    | [0..1] | Text |             | 260  |

**11.1.16.7.2.2 AdditionalReasonInformation <AddtlRsnInf>**

*Presence:* [0..1]

*Definition:* Additional information about the pending status.

*Datatype:* "Max350Text" on page 391

**11.1.16.8 RejectedStatus31Choice**

*Definition:* Choice between a reason or no reason for the corporate action instruction processing rejected status.

| Or  | MessageElement<XML Tag>                   | Mult.  | Type    | Constr. No. | Page |
|-----|---|--------|---------|-------------|------|
| {Or | NoSpecifiedReason <NoSpdfdRsn>            | [1..1] | CodeSet |             | 361  |
| Or} | Reason <Rsn>                              | [1..*] |         | C7          | 361  |
|     | ReasonCode <RsnCd>                        | [1..1] |         |             | 362  |
| {Or | Code <Cd>                                 | [1..1] | CodeSet |             | 362  |
| Or} | Proprietary <Prtry>                       | [1..1] | ±       |             | 363  |
|     | AdditionalReasonInformation <AddtlRsnInf> | [0..1] | Text    |             | 363  |

**11.1.16.8.1 NoSpecifiedReason <NoSpdfdRsn>**

*Presence:* [1..1]

*Definition:* Reason not specified.

*Datatype:* "NoReasonCode" on page 373

| CodeName | Name     | Definition  |
|----------|----------|---|
| NORE     | NoReason | No reason to report or no reason available to report. |

**11.1.16.8.2 Reason <Rsn>**

*Presence:* [1..\*]

*Definition:* Reason why the meeting instruction cancellation request message or the individual meeting instruction cancellation request is rejected.

*Impacted by:* C7 "AdditionalReasonInformationRule"

**Reason <Rsn>** contains the following **RejectedStatusReason28** elements

| Or  | MessageElement<XML Tag>                   | Mult.  | Type    | Constr. No. | Page |
|-----|---|--------|---------|-------------|------|
|     | ReasonCode <RsnCd>                        | [1..1] |         |             | 362  |
| {Or | Code <Cd>                                 | [1..1] | CodeSet |             | 362  |
| Or} | Proprietary <Prtry>                       | [1..1] | ±       |             | 363  |
|     | AdditionalReasonInformation <AddtlRsnInf> | [0..1] | Text    |             | 363  |

**Constraints**

- **AdditionalReasonInformationRule**

AdditionalReasonInformation element must not contain information that can be provided in a structured field unless bilaterally agreed.

**11.1.16.8.2.1 ReasonCode <RsnCd>**

*Presence:* [1..1]

*Definition:* Reason for the rejected status.

**ReasonCode <RsnCd>** contains one of the following **RejectedReason29Choice** elements

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd>               | [1..1] | CodeSet |             | 362  |
| Or} | Proprietary <Prtry>     | [1..1] | ±       |             | 363  |

**11.1.16.8.2.1.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Standard code to specify the reason why the instruction/cancellation request has a rejected status.

*Datatype:* "RejectionReason51Code" on page 377

| CodeName | Name                          | Definition   |
|----------|-------------------------------|--|
| ADEA     | AccountServicerDeadlineMissed | Transaction/instruction received after the account servicer's specified deadline.                            |
| DQUA     | QuantityRejection             | Unrecognised or invalid instructed quantity.   |
| DCAN     | RejectedSinceAlreadyCancelled | Cancellation request was rejected since the instruction has already been cancelled.                          |
| DPRG     | RejectedSinceInProgress       | Cancellation request has been rejected because the instruction process is in progress or has been processed. |
| DSEC     | InvalidSecurity               | Unrecognised or invalid financial instrument identification.   |
| EVNM     | UnrecognisedIdentification    | Unrecognised event number.   |
| INIR     | InstructionIrrevocable        | Instruction is irrevocable.  |
| LATE     | MarketDeadlineMissed          | Received after market deadline.  |
| OTHR     | Other                         | Other. See Narrative.  |
| RBIS     | RejectedByIssuerOrRegistrar   | Issuer or registrar has rejected the instruction.  |
| SAFE     | SafekeepingAccountRejection   | Unrecognised or invalid message sender's safekeeping account.  |
| ULNK     | InvalidReference              | Linked reference is unknown.   |

**11.1.16.8.2.1.2 Proprietary <Prtry>**

*Presence:* [1..1]

*Definition:* Proprietary identification of the reason why the instruction/cancellation request has a rejected status.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification30](#)" on page 260 for details)

| Or | MessageElement<XML Tag> | Mult.  | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
|    | Identification <Id>     | [1..1] | Text |             | 260  |
|    | Issuer <Issr>           | [1..1] | Text |             | 260  |
|    | SchemeName <SchmeNm>    | [0..1] | Text |             | 260  |

**11.1.16.8.2.2 AdditionalReasonInformation <AddtlRsnInf>**

*Presence:* [0..1]

*Definition:* Additional information about the rejection status.

*Datatype:* "[Max350Text](#)" on page 391

**11.1.17 System Identification****11.1.17.1 ClearingSystemIdentification2Choice**

*Definition:* Choice of a clearing system identifier.

| Or  | MessageElement<XML Tag> | Mult.  | Type    | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd>               | [1..1] | CodeSet |             | 363  |
| Or} | Proprietary <Prtry>     | [1..1] | Text    |             | 363  |

**11.1.17.1.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Identification of a clearing system, in a coded form as published in an external list.

*Datatype:* "[ExternalClearingSystemIdentification1Code](#)" on page 369

**11.1.17.1.2 Proprietary <Prtry>**

*Presence:* [1..1]

*Definition:* Identification code for a clearing system, that has not yet been identified in the list of clearing systems.

*Datatype:* "[Max35Text](#)" on page 391

## 11.2 Message Datatypes

### 11.2.1 Amount

#### 11.2.1.1 ActiveOrHistoricCurrencyAnd13DecimalAmount

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

Note: The decimal separator is a dot.

*Type:* Amount

This data type contains the following XML attribute:

| Name     | Attribute XML Name | Datatype                                   |
|----------|--------------------|--|
| Currency | Ccy                | "ActiveOrHistoricCurrencyCode" on page 365 |

#### Format

|                |    |
|----------------|----|
| minInclusive   | 0  |
| totalDigits    | 18 |
| fractionDigits | 13 |

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

#### 11.2.1.2 ImpliedCurrencyAndAmount

*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

|                |    |
|----------------|----|
| minInclusive   | 0  |
| totalDigits    | 18 |
| fractionDigits | 5  |

## 11.2.2 CodeSet

### 11.2.2.1 ActiveOrHistoricCurrencyCode

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

*Type:* CodeSet

#### Format

pattern [A-Z]{3,3}

#### Constraints

- **ActiveOrHistoricCurrency**

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

### 11.2.2.2 AdditionalRight1Code

*Definition:* Define specific rights that the shareholder has (for example, the right to ask questions, the right to add items to the agenda or table draft resolutions).

*Type:* CodeSet

| CodeName | Name                    | Definition                           |
|----------|-------------------------|--------------------------------------|
| WQPS     | WrittenQuestionProposal | Defines a written question proposal. |
| RSPS     | ResolutionProposal      | Defines a resolution proposal.       |
| AIPS     | AgendaItemProposal      | Defines a resolution proposal.       |

### 11.2.2.3 AddressType2Code

*Definition:* Specifies the type of address.

*Type:* CodeSet

| CodeName | Name        | Definition   |
|----------|-------------|--|
| ADDR     | Postal      | Address is the complete postal address.                    |
| PBOX     | POBox       | Address is a postal office (PO) box.                       |
| HOME     | Residential | Address is the home address.                               |
| BIZZ     | Business    | Address is the business address.                           |
| MLTO     | MailTo      | Address is the address to which mail is sent.              |
| DLVY     | DeliveryTo  | Address is the address to which delivery is to take place. |

### 11.2.2.4 AgentRole1Code

*Definition:* Specifies the role of the Issuer agent.

*Type:* CodeSet

| CodeName | Name           | Definition  |
|----------|----------------|---|
| PRIN     | PrincipalAgent | Identification of the agent acting as main agent.               |
| SUBA     | SubAgent       | Identification of the agent acting as co-domicile or sub agent. |

### 11.2.2.5 AttendanceAdmissionConditions2Code

*Definition:* Specifies the conditions for physical admittance to a general meeting.

*Type:* CodeSet

| CodeName | Name                                     | Definition   |
|----------|--|--|
| MASH     | AllowedForShareholder                    | Any attendee must be a shareholder themselves.   |
| MASL     | AllowedIfRegisteredInStockLedger         | Attendee must be a shareholder registered in company stock ledger book.  |
| MAPO     | AllowedOnBehalf                          | Attendees acting on behalf of registered holder must have a valid power of attorney (POA) and/or proof of holding.                           |
| MAAL     | AllowedWithAttendeeList                  | Attendees will be placed on a attendee list and must bring photographic identification with them.  |
| MALR     | AllowedWithLetterOfRepresentation        | Attendees will be placed on a attendee list or issued with a letter of representation, and must bring photographic identification with them. |
| MAHI     | AllowedWithProof                         | Attendees must request proof of holding and register for attendance directly with Issuer.  |
| MATK     | AllowedWithTicket                        | Attendees will be issued an admission ticket and must bring photographic identification with them.   |
| MADS     | DelegateAllowedIfRegisteredInStockLedger | Attendee must be a delegate of the shareholder registered in the company stock ledger book.  |
| MANP     | NotPossible                              | Meeting attendance is not possible.  |

### 11.2.2.6 BusinessMessagePriorityCode

*Definition:* Specifies the priority levels for the BusinessMessage.

The different priorities are typically user / service / implementation dependent. The semantics of the different values for a Message (Set) need to be defined by the relevant user community (SEG.).

*Type:* CodeSet

**Constraints**

- **ValidationByTable**

**11.2.2.7 CancellationStatus6Code**

*Definition:* Specifies the cancellation status.

*Type:* CodeSet

| CodeName | Name                        | Definition  |
|----------|-----------------------------|---|
| PACK     | Accepted                    | Cancellation instruction / request has been received and has been acknowledged / accepted for further processing. |
| CAND     | Complete                    | Cancellation instruction / request has been accepted and processed, the cancellation is complete.                 |
| RCIS     | ReceivedByIssuerOrRegistrar | Cancellation instruction / request has been received by issuer or registrar.                                      |

**11.2.2.8 CopyDuplicate1Code**

*Definition:* Specifies if this document is a copy, a duplicate, or a duplicate of a copy.

*Type:* CodeSet

| CodeName | Name          | Definition   |
|----------|---------------|--|
| CODU     | CopyDuplicate | Message is being sent as a copy to a party other than the account owner, for information purposes and the message is a duplicate of a message previously sent. |
| COPY     | Copy          | Message is being sent as a copy to a party other than the account owner, for information purposes.   |
| DUPL     | Duplicate     | Message is for information/confirmation purposes. It is a duplicate of a message previously sent.  |

**11.2.2.9 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}

**Constraints**

- **Country**

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

**11.2.2.10 DateMode1Code**

*Definition:* Specifies, for a date, when the event or operation is to take place, for example at the beginning or end of the day.

*Type:* CodeSet

| CodeName | Name | Definition        |
|----------|------|-------------------|
| BODY     | BODY | Beginning of day. |
| EODY     | EODY | End of day.       |

**11.2.2.11 DateType10Code**

*Definition:* Date is specified as a fixed code value.

*Type:* CodeSet

| CodeName | Name                           | Definition  |
|----------|--------------------------------|---|
| MEET     | BlockingTillMeetingDate        | Blocking occurs until and inclusive of the meeting date.                                    |
| UKWN     | Unknown                        | Date is unknown by the sender or has not been established.                                  |
| NARR     | NarrativeUnblockingDate        | Refer to additional information element for the date until when the securities are blocked. |
| RDTE     | BlockingTillRecordDate         | Blocking occurs until and inclusive of the record date of the event.                        |
| PPYD     | BlockingTillPremiumPaymentDate | Unblocking will occur on payment date of the premium.                                       |

**11.2.2.12 DateType1Code**

*Definition:* Specifies when date is unknown.

*Type:* CodeSet

| CodeName | Name    | Definition   |
|----------|---------|--|
| UKWN     | Unknown | Date is unknown by the sender or has not been established. |

**11.2.2.13 DeliveryPlace3Code**

*Definition:* Specifies the place of delivery.

*Type:* CodeSet

| CodeName | Name  | Definition                        |
|----------|-------|-----------------------------------|
| EMAL     | Email | Card needs to be sent via e-mail. |

| CodeName | Name            | Definition   |
|----------|-----------------|--|
| EMPL     | Employer        | Card needs to be mailed to employer's address.                       |
| INDI     | Individual      | Card needs to be mailed to the individual specified in PersonDetail. |
| ENTR     | MeetingEntrance | Card needs to be available at the entrance of the meeting.           |
| OADR     | OtherAddress    | Cards needs to be send to another specified address.                 |

#### 11.2.2.14 EventCompletenessStatus1Code

*Definition:* Indicates whether the details provided about an event are complete or incomplete.

*Type:* CodeSet

| CodeName | Name       | Definition                      |
|----------|------------|---------------------------------|
| COMP     | Complete   | Event details are complete.     |
| INCO     | Incomplete | Event details are not complete. |

#### 11.2.2.15 EventConfirmationStatus1Code

*Definition:* Indicates the status of the occurrence of an event.

*Type:* CodeSet

| CodeName | Name        | Definition                                      |
|----------|-------------|---|
| CONF     | Confirmed   | Occurrence of the event has been confirmed.     |
| UCON     | Unconfirmed | Occurrence of the event has not been confirmed. |

#### 11.2.2.16 ExternalClearingSystemIdentification1Code

*Definition:* Specifies the clearing system identification code, as published in an external clearing system identification code list.

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

*Type:* CodeSet

##### Format

|           |   |
|-----------|---|
| minLength | 1 |
| maxLength | 5 |

#### 11.2.2.17 ExternalFinancialInstitutionIdentification1Code

*Definition:* Specifies the external financial institution identification 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**

|           |   |
|-----------|---|
| minLength | 1 |
| maxLength | 4 |

### 11.2.2.18 ExternalFinancialInstrumentIdentificationType1Code

*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**

|           |   |
|-----------|---|
| minLength | 1 |
| maxLength | 4 |

### 11.2.2.19 ExternalOrganisationIdentification1Code

*Definition:* Specifies the external organisation identification 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**

|           |   |
|-----------|---|
| minLength | 1 |
| maxLength | 4 |

### 11.2.2.20 ExternalPersonIdentification1Code

*Definition:* Specifies the external person identification 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**

|           |   |
|-----------|---|
| minLength | 1 |
|-----------|---|

maxLength 4

### 11.2.2.21 ISO2ALanguageCode

*Definition:* Identification of the language name according to the ISO 639-1 codes. The type is validated by the list of values coded with two alphabetic characters, defined in the standard.

*Type:* CodeSet

#### Format

pattern [a-z]{2,2}

### 11.2.2.22 MeetingCancellationReason2Code

*Definition:* Specifies the reason for cancelling a meeting.

*Type:* CodeSet

| CodeName | Name       | Definition   |
|----------|------------|--|
| QORM     | Quorum     | Cancellation due to insufficient participation to the vote.    |
| PROC     | Processing | Cancellation due to a processing error.                        |
| WITH     | Withdrawal | Cancellation due to the meeting being cancelled by the issuer. |

### 11.2.2.23 MeetingDateStatus2Code

*Definition:* Specifies a status for a meeting date.

*Type:* CodeSet

| CodeName | Name      | Definition                 |
|----------|-----------|----------------------------|
| CNFR     | Confirmed | Meeting date is confirmed. |
| TNTA     | Tentative | Meeting date is tentative. |

### 11.2.2.24 MeetingType4Code

*Definition:* Specifies a type of security holders meeting.

*Type:* CodeSet

| CodeName | Name          | Definition   |
|----------|---------------|--|
| XMET     | Extraordinary | Meeting that takes place as needed, in addition to the general meetings, is extraordinary as per the bylaws. The resolutions are related to the unusual business of the company, for example, approval of takeovers or mergers or spin-offs. These meetings are always issuer initiated. |
| GMET     | General       | Includes annual and ordinary meetings. Statutory meeting(s) usually held at least once a year. The resolutions are related to the usual business of the company, for example, approval of dividends and  |

| CodeName | Name              | Definition   |
|----------|-------------------|--|
|          |                   | directors. These meetings are always issuer initiated.                         |
| MIXD     | Mixed             | Meeting which contains both ordinary and extraordinary resolutions.            |
| SPCL     | Special           | Meeting that takes place as needed that is neither ordinary nor extraordinary. |
| BMET     | BondHolderMeeting | Physical meeting of bond holders.  |
| CMET     | CourtMeeting      | Meeting is the result of a legal proceeding.                                   |

### 11.2.2.25 MeetingTypeClassification2Code

*Definition:* Classifies the meeting type.

*Type:* CodeSet

| CodeName | Name                        | Definition  |
|----------|-----------------------------|---|
| AMET     | Annual                      | Meeting held periodically to approve the financial statements and to elect the board members and the auditors.  |
| CLAS     | Class                       | Meeting for holders of a specific type of asset, for example, preferred shares, bonds.  |
| ISSU     | IssuerInitiated             | Meeting is the result of an obligation or a decision made by the issuer as opposed to voting rights holder initiated, for example, contested meeting. |
| OMET     | Ordinary                    | Meeting which is planned in the by-laws.  |
| VRHI     | VotingRightsHolderInitiated | Meeting is the result of a request or an action of a voting right holder(s), for example, contested meeting.  |

### 11.2.2.26 ModalityOfCounting1Code

*Definition:* Specifies the modality through which the votes that have been recorded and counted.

*Type:* CodeSet

| CodeName | Name                | Definition   |
|----------|---------------------|--|
| EVAM     | ElectronicAtMeeting | Electronic vote recorded and counted at the meeting.       |
| EVBM     | ElectronicBefore    | Electronic vote recorded and counted ahead of the meeting. |
| PVBM     | PaperBefore         | Paper vote recorded and counted ahead of the meeting.      |
| PVAM     | PhysicalAtMeeting   | Physical attendance with vote at the meeting.              |

### 11.2.2.27 NamePrefix1Code

*Definition:* Specifies the terms used to formally address a person.

Type: CodeSet

| CodeName | Name   | Definition                           |
|----------|--------|--------------------------------------|
| DOCT     | Doctor | Title of the person is Doctor or Dr. |
| MIST     | Mister | Title of the person is Mister or Mr. |
| MISS     | Miss   | Title of the person is Miss.         |
| MADM     | Madam  | Title of the person is Madam.        |

### 11.2.2.28 NamePrefix2Code

*Definition:* Specifies the terms used to formally address a person.

Type: CodeSet

| CodeName | Name          | Definition                                  |
|----------|---------------|---|
| DOCT     | Doctor        | Title of the person is Doctor or Dr.        |
| MADM     | Madam         | Title of the person is Madam.               |
| MISS     | Miss          | Title of the person is Miss.                |
| MIST     | Mister        | Title of the person is Mister or Mr.        |
| MIKS     | GenderNeutral | Title of the person is gender neutral (Mx). |

### 11.2.2.29 NoReasonCode

*Definition:* Specifies that there is no reason available.

Type: CodeSet

| CodeName | Name     | Definition  |
|----------|----------|---|
| NORE     | NoReason | No reason to report or no reason available to report. |

### 11.2.2.30 NotificationType2Code

*Definition:* Specifies a type of notification.

Type: CodeSet

| CodeName | Name        | Definition   |
|----------|-------------|--|
| NEWM     | New         | New notification.                                      |
| REPL     | Replacement | Notification replacing a previously sent notification. |

### 11.2.2.31 NotificationType3Code

*Definition:* Specifies a type of notification.

Type: CodeSet

| CodeName | Name | Definition        |
|----------|------|-------------------|
| NEWM     | New  | New notification. |

| CodeName | Name        | Definition  |
|----------|-------------|---|
| REPL     | Replacement | Notification replacing a previously sent notification.    |
| RMDR     | Reminder    | Notification sent as a reminder of an event taking place. |

### 11.2.2.32 PartyRole3Code

*Definition:* Specifies the role of the party in the transaction.

*Type:* CodeSet

| CodeName | Name      | Definition   |
|----------|-----------|--|
| GATR     | Guarantor | Legal entity, other than the issuer, who gives a guarantee. The guarantor becomes liable in case of default. |

### 11.2.2.33 PendingCancellationReason6Code

*Definition:* Specifies a reason why the cancellation request has a pending status.

*Type:* CodeSet

| CodeName | Name                          | Definition  |
|----------|-------------------------------|---|
| DQUA     | QuantityRejection             | Unrecognised or invalid instructed quantity.                                      |
| LATE     | MarketDeadlineMissed          | Received after market deadline.   |
| OTHR     | Other                         | Other. See Narrative.   |
| ADEA     | AccountServicerDeadlineMissed | Transaction/instruction received after the account servicer's specified deadline. |

### 11.2.2.34 PendingReason25Code

*Definition:* Specifies a reason why the instruction is pending.

*Type:* CodeSet

| CodeName | Name                           | Definition  |
|----------|--------------------------------|---|
| ADEA     | AccountServicerDeadlineMissed  | Instruction was received after the account servicer's deadline. Processed on best effort basis. |
| ADDM     | AdditionalDocumentationMissing | Additional documents requested missing.   |
| DQUA     | QuantityDisagreement           | Quantity of financial instruments does not match.   |
| DREM     | DeadlineToRegisterMissed       | Deadline to register is missed.   |
| FULL     | PendingBeneficiaryOwnerDetails | Pending receipt of beneficiary owner details.   |
| IPOA     | MissingOrInvalidPOA            | Missing or invalid power of attorney.   |
| IPOS     | InsufficientThresholdPosition  | Position is less than required threshold.   |

| CodeName | Name                              | Definition  |
|----------|-----------------------------------|---|
| LACK     | LackOfSecurities                  | Insufficient financial instruments in your account.                                     |
| LATE     | MarketDeadlineMissed              | Instruction was received after market deadline.   |
| NPOS     | NoRegisteredPosition              | Insufficient or no registered position.   |
| IREG     | RegistrationDiscrepancy           | Invalid registration discrepancy.   |
| OTHR     | Other                             | Other. See Narrative.   |
| PRXY     | ProxyCardDiscrepancy              | Invalid Proxy Information.  |
| PENR     | PendingReceipt                    | The instruction is pending receipt of securities, for example, from a purchase or loan. |
| IPED     | InstructionPriorToEntitlementDate | Instruction was received prior to entitlement date.                                     |

### 11.2.2.35 PlaceType1Code

*Definition:* Type of date.

*Type:* CodeSet

| CodeName | Name    | Definition                    |
|----------|---------|-------------------------------|
| UKWN     | Unknown | The type of place is unknown. |

### 11.2.2.36 PowerOfAttorneyLegalisation1Code

*Definition:* Indicates the legal constraint on the Power of Attorney.

*Type:* CodeSet

| CodeName | Name           | Definition  |
|----------|----------------|---|
| NOTA     | Notary         | Indicates that the power of attorney must be legalised by a notary.           |
| LOCA     | LocalAuthority | Indicates that the power of attorney must be legalised by a local authority.  |
| APOS     | Apostilled     | Indicates that the power of attorney must be legalised by a legal officer.    |
| COUN     | Consularized   | Indicates that the power of attorney must be legalised by a consular officer. |

### 11.2.2.37 PreferredContactMethod1Code

*Definition:* Preferred method used to reach the individual contact within an organisation.

*Type:* CodeSet

| CodeName | Name   | Definition  |
|----------|--------|---|
| LETT     | Letter | Preferred method used to reach the contact is per letter. |
| MAIL     | Email  | Preferred method used to reach the contact is per email.  |

| CodeName | Name              | Definition  |
|----------|-------------------|---|
| PHON     | Phone             | Preferred method used to reach the contact is per phone.                |
| FAXX     | Fax               | Preferred method used to reach the contact is per fax.                  |
| CELL     | MobileOrCellPhone | Preferred method used to reach the contact is per mobile or cell phone. |

### 11.2.2.38 ProcessingPosition3Code

*Definition:* Specifies the processing position.

*Type:* CodeSet

| CodeName | Name        | Definition  |
|----------|-------------|---|
| AFTE     | After       | Specifies that the transaction/instruction is to be executed after the linked transaction/instruction.  |
| WITH     | With        | Specifies that the transaction/instruction is to be executed with 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.                  |

### 11.2.2.39 ProxyNotAllowed1Code

*Definition:* Indicates that the assignment of a proxy is not allowed for the meeting.

*Type:* CodeSet

| CodeName | Name       | Definition         |
|----------|------------|--------------------|
| NPRO     | NotAllowed | Proxy not allowed. |

### 11.2.2.40 ProxyType3Code

*Definition:* Specifies the type of proxy person.

*Type:* CodeSet

| CodeName | Name           | Definition  |
|----------|----------------|---|
| CHRM     | Chairman       | Chairman of the meeting is the proxy.   |
| DISC     | Discretionary  | Any type of proxy is allowed.   |
| NEPR     | NeutralProxy   | Neutral proxy nominated by the issuer to execute votes on behalf of investors at the meeting. |
| HLDR     | SecurityHolder | Proxy can only be a security holder.  |

**11.2.2.41 Quantity1Code**

*Definition:* Specifies quantity of a financial instrument.

*Type:* CodeSet

| CodeName | Name          | Definition   |
|----------|---------------|--|
| QALL     | AllSecurities | Instruction applies to the entire eligible balance of underlying securities. |

**11.2.2.42 RejectionReason51Code**

*Definition:* Specifies a reason why the instruction/cancellation request has a rejected status.

*Type:* CodeSet

| CodeName | Name                          | Definition   |
|----------|-------------------------------|--|
| ADEA     | AccountServicerDeadlineMissed | Transaction/instruction received after the account servicer's specified deadline.                            |
| DQUA     | QuantityRejection             | Unrecognised or invalid instructed quantity.   |
| DCAN     | RejectedSinceAlreadyCancelled | Cancellation request was rejected since the instruction has already been cancelled.                          |
| DPRG     | RejectedSinceInProgress       | Cancellation request has been rejected because the instruction process is in progress or has been processed. |
| DSEC     | InvalidSecurity               | Unrecognised or invalid financial instrument identification.   |
| EVNM     | UnrecognisedIdentification    | Unrecognised event number.   |
| INIR     | InstructionIrrevocable        | Instruction is irrevocable.  |
| LATE     | MarketDeadlineMissed          | Received after market deadline.  |
| OTHR     | Other                         | Other. See Narrative.  |
| RBIS     | RejectedByIssuerOrRegistrar   | Issuer or registrar has rejected the instruction.  |
| SAFE     | SafekeepingAccountRejection   | Unrecognised or invalid message sender's safekeeping account.  |
| ULNK     | InvalidReference              | Linked reference is unknown.   |

**11.2.2.43 RejectionReason82Code**

*Definition:* Specifies a reason why the instruction has a rejected status.

*Type:* CodeSet

| CodeName | Name                           | Definition  |
|----------|--------------------------------|---|
| ADEA     | AccountServicerDeadlineMissed  | Transaction/instruction received after the account servicer's specified deadline. |
| ADDM     | AdditionalDocumentationMissing | Requested additional documentation is missing.                                    |
| MCAN     | EventCancelled                 | Event has been cancelled.   |

| <b>CodeName</b> | <b>Name</b>                       | <b>Definition</b>  |
|-----------------|-----------------------------------|--|
| DQUA            | QuantityRejection                 | Unrecognised or invalid instructed quantity.   |
| DREM            | DeadlineToRegisterMissed          | Deadline to register is missed.  |
| DSEC            | InvalidSecurity                   | Unrecognised or invalid financial instrument identification.   |
| EVNM            | UnrecognisedIdentification        | Unrecognised event number.   |
| FULL            | MissingBeneficiaryOwnerDetails    | Rejected due to missing beneficiary owner details.   |
| IPOA            | MissingOrInvalidPOA               | Missing or invalid power of attorney.  |
| IPOS            | InsufficientThresholdPosition     | Position is less than required threshold.  |
| IREG            | RegistrationDiscrepancy           | Invalid registration information.  |
| LATE            | MarketDeadlineMissed              | Received after market deadline.  |
| NPOS            | NoRegisteredPosition              | Insufficient or no registered position.  |
| OTHR            | Other                             | Other. See Narrative.  |
| PART            | PartialVoteNotAllowed             | Partial voting is not allowed.   |
| PRXY            | ProxyCardDiscrepancy              | Invalid proxy information.   |
| RBIS            | RejectedByIssuerOrRegistrar       | Issuer or registrar has rejected the instruction.  |
| RESN            | ResolutionNumberDiscrepancy       | Resolution number provided discrepancy.  |
| SAFE            | SafekeepingAccountRejection       | Unrecognised or invalid message sender's safekeeping account.  |
| SPLT            | SplitVoteNotAllowed               | Split voting is not allowed.   |
| ULNK            | InvalidReference                  | Linked reference is unknown.   |
| OPTY            | InvalidOptionType                 | Invalid option type.   |
| LACK            | LackofSecurities                  | Instructed position exceeds the eligible balance.  |
| LIST            | InvalidVoteInFavourInGroupListing | Instruction is invalid due to multiple resolutions instructed as vote "For" and belonging to the same listing group resolution label number. |
| NOSL            | NotRegisteredInInStockLedger      | Invalid instruction as the shareholder or its delegate is not registered in the company stock ledger book.                                   |
| PMNS            | ParticipationMethodNotSupported   | Instruction rejected due to the method of participation not supported by the account servicer.   |
| IPED            | InstructionPriorToEntitlementDate | Instruction was received prior to entitlement date.  |
| DUPL            | DuplicateInstruction              | Instruction is rejected due to duplicate business message identifier.  |

**11.2.2.44 ResolutionStatus1Code**

*Definition:* Specifies whether a resolution in an agenda is still active or has been deleted.

*Type:* CodeSet

| CodeName | Name      | Definition   |
|----------|-----------|--|
| ACTV     | Active    | Meeting resolution has to be voted for by the participants to a general meeting. |
| WDRA     | Withdrawn | Meeting resolution has been withdrawn.   |

**11.2.2.45 ResolutionStatus2Code**

*Definition:* Specifies the status of a resolution in a meeting agenda.

*Type:* CodeSet

| CodeName | Name      | Definition                             |
|----------|-----------|--|
| ACPT     | Accepted  | Meeting resolution has been accepted.  |
| REJT     | Rejected  | Meeting resolution has been rejected.  |
| WDRA     | Withdrawn | Meeting resolution has been withdrawn. |

**11.2.2.46 ResolutionSubStatus1Code**

*Definition:* Specifies the sub-status of a resolution.

*Type:* CodeSet

| CodeName | Name              | Definition                                   |
|----------|-------------------|--|
| AMDR     | AmendedResolution | Resolution voted at the meeting was amended. |
| NEWR     | NewResolution     | Resolution voted at the meeting is new.      |

**11.2.2.47 ResolutionType2Code**

*Definition:* Specifies the type of resolution.

*Type:* CodeSet

| CodeName | Name          | Definition  |
|----------|---------------|---|
| EXTR     | Extraordinary | Meeting resolution is extraordinary and may be subject to specific voting requirements.         |
| SPCL     | Special       | Resolution that is neither ordinary nor extraordinary (eg. decision on an investment strategy). |

**11.2.2.48 SafekeepingPlace1Code**

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

*Type:* CodeSet

| CodeName | 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. |

### 11.2.2.49 SafekeepingPlace2Code

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

*Type:* CodeSet

| CodeName | Name                | Definition   |
|----------|---------------------|--|
| 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. |
| ALLP     | AllPlaces           | All places of safekeeping where the financial instrument is held.  |

### 11.2.2.50 SecuritiesEntryType2Code

*Definition:* Specifies the type of securities entry on an account.

*Type:* CodeSet

| CodeName | Name            | Definition   |
|----------|-----------------|--|
| BLOK     | Blocked         | Balance of securities that are blocked or frozen. A financial instrument may be unavailable due to external circumstances such as a court order, death of beneficiary or account owner, or bankruptcy. |
| ELIG     | Eligible        | Total number of securities eligible for this event.  |
| PEND     | PendingDelivery | Balance of securities that are pending delivery.   |
| PENR     | PendingReceipt  | Balance of securities that are pending receipt.  |
| NOMI     | Registered      | Balance of securities that are registered (in the name of a nominee or of the beneficial owner).   |
| SETD     | Settled         | Balance of securities representing only settled transactions.  |
| BORR     | Borrowed        | Balance of securities that have been borrowed from another party.  |

| CodeName | Name                | Definition  |
|----------|---------------------|---|
| LOAN     | OnLoan              | Balance of securities that have been loaned to a third party.   |
| SPOS     | StreetPosition      | Balance of securities that remain registered in the name of the prior beneficial owner of securities.   |
| TRAD     | Traded              | Balance of securities representing traded transactions.   |
| COLI     | CollateralIn        | Balance of securities that belong to a third party and that are held for the purpose of collateralisation.  |
| COLO     | CollateralOut       | Balance of securities that belong to the safekeeping account indicated within this message, and are deposited with a third party for the purpose of collateralisation.              |
| UNBA     | UninstructedBalance | Balance of uninstructed position.   |
| INBA     | InstructedBalance   | Balance of instructed position.   |
| REGO     | OutForRegistration  | Balance of securities currently being processed by the institution responsible for registering the new beneficial owner (or nominee) of securities after a transaction has settled. |

### 11.2.2.51 SecuritiesEntryType3Code

*Definition:* Specifies the type of securities entry on an account.

*Type:* CodeSet

| CodeName | Name                | Definition  |
|----------|---------------------|---|
| ELIG     | Eligible            | Total number of securities eligible for this event. |
| UNBA     | UninstructedBalance | Balance of uninstructed position.                   |
| INBA     | InstructedBalance   | Balance of instructed position.                     |

### 11.2.2.52 ShortLong1Code

*Definition:* Specifies whether the securities position is short or long, that is, whether the balance is a negative or positive balance.

*Type:* CodeSet

| CodeName | Name  | Definition   |
|----------|-------|--|
| SHOR     | Short | Position is short, that is, the balance is negative. |
| LONG     | Long  | Position is long, that is, the balance is positive.  |

### 11.2.2.53 Status9Code

*Definition:* Specifies the status of an instruction.

*Type:* CodeSet

| CodeName | Name                             | Definition   |
|----------|----------------------------------|--|
| PACK     | Accepted                         | Instruction has been accepted and is validated for further processing.   |
| ATTC     | AttendanceConfirmed              | Attendance is confirmed at the meeting.  |
| CAND     | Cancelled                        | Instruction has been cancelled.  |
| CSUB     | CancelledBySubcustodian          | Instruction has been cancelled by the agent, for example, due to an event deadline extension.                    |
| FRWD     | Forwarded                        | Accepted and sent along the chain.   |
| RCIS     | ReceivedByIssuerOrRegistrar      | Instruction has been received by Issuer, equivalent to the confirmation of receipt of votes cast electronically. |
| REGM     | RegisteredToParticipateAtMeeting | Rights holder has been registered to participate to the meeting.   |
| STIN     | StandingInstruction              | Standing instruction is applied.   |

#### 11.2.2.54 ThresholdBasis1Code

*Definition:* Nature of the quantity used as a basis to set a threshold for voting on resolutions at general meetings.

*Type:* CodeSet

| CodeName | Name                          | Definition   |
|----------|-------------------------------|--|
| ALSH     | AllIssuedShares               | Basis is the total number of shares issued.                                  |
| ALSM     | AllSharesRepresentedAtMeeting | Basis is the total number of shares represented at the meeting by attendees. |
| ALVO     | AllVoteCast                   | Basis is the total number of vote cast for a resolution.                     |

#### 11.2.2.55 TypeOfIdentification4Code

*Definition:* Specifies the type of alternate identification which can be used to give an alternate identification of the party identified.

*Type:* CodeSet

| CodeName | Name                    | Definition   |
|----------|-------------------------|--|
| ARNU     | AlienRegistrationNumber | Number assigned by a government agency to identify foreign nationals.  |
| CUST     | Concat                  | Number assigned by an issuer to identify a customer via the concatenation of the birthdate and characters of the first name and surname. |
| CORP     | CorporateIdentification | Number assigned to a corporate entity.   |
| DRLC     | DriverLicenseNumber     | Number assigned to a driver's license.   |
| IDCD     | IdentityCardNumber      | Number assigned by a national authority to an identity card.   |

| CodeName | Name                                     | Definition   |
|----------|--|--|
| NRIN     | NationalRegistrationIdentificationNumber | National registration identification number. In Singapore this is known as the NRIC. |
| CCPT     | PassportNumber                           | Number assigned by a passport authority.   |
| SOCS     | SocialSecurityNumber                     | Number assigned by a social security agency.   |
| TXID     | TaxIdentificationNumber                  | Number assigned by a tax authority to an entity.                                     |

### 11.2.2.56 UnicodeChartsCode

*Definition:* codelist containing the names of the UNICODE code block name as specified on <http://unicode.org/Public/UNIDATA/Blocks.txt>.

*Type:* CodeSet

#### Constraints

- **ValidationByTable**

### 11.2.2.57 VoteChannel1Code

*Definition:* Specifies the network channel through which the vote should be sent.

*Type:* CodeSet

| CodeName | Name                             | Definition   |
|----------|----------------------------------|--|
| VOPI     | VoteAsPerIntermediaryInformation | Vote is as per described in the processing text for next intermediary information field. |
| VOCI     | VoteThroughChain                 | Vote is via the chain of intermediaries.   |

### 11.2.2.58 VoteInstruction5Code

*Definition:* Specifies a type of voting instruction that can be part of a recommendation to vote.

*Type:* CodeSet

| CodeName | Name     | Definition  |
|----------|----------|---|
| ABST     | Abstain  | Active vote expressed as abstain (no opinion).  |
| CAGS     | Against  | Vote against a meeting resolution.  |
| CHRM     | Chairman | Rights holder gives authority to the chairman to vote on his behalf.  |
| CFOR     | For      | Vote in favour of a meeting resolution.   |
| NOAC     | NoAction | Do not vote.  |
| WTHH     | Withhold | Participant to a meeting withholds its vote for a meeting resolution. This action is usually taken in order to indicate a |

| CodeName | Name             | Definition  |
|----------|------------------|---|
|          |                  | strong disagreement with a resolution (US market).                  |
| ONEY     | OneYear          | Vote in favour for one year for "say on pay" type of resolution.    |
| THRY     | ThreeYears       | Vote in favour for three years for "say on pay" type of resolution. |
| TWOY     | TwoYears         | Vote in favour for two years for "say on pay" type of resolution.   |
| BLNK     | Blank            | Vote is cast as empty but the vote is counted.                      |
| NREC     | NoRecommendation | No recommendation provided for the vote instruction type.           |

### 11.2.2.59 VoteInstruction6Code

*Definition:* Specifies a type of voting instructions.

*Type:* CodeSet

| CodeName | Name              | Definition   |
|----------|-------------------|--|
| ABST     | Abstain           | Active vote expressed as abstain (no opinion).   |
| CAGS     | Against           | Vote against a meeting resolution.   |
| AMGT     | AgainstManagement | Vote instruction is in against the voting recommendations of the management.   |
| BLNK     | Blank             | Vote is cast as empty but the vote is counted.   |
| CHRM     | Chairman          | Rights holder gives authority to the chairman to vote on his behalf.   |
| DISC     | Discretionary     | Voting party is assigned discretionary right to vote for one resolution.   |
| CFOR     | For               | Vote in favour of a meeting resolution.  |
| NOAC     | NoAction          | Do not vote.   |
| ONEY     | OneYear           | Vote in favour for one year for "say on pay" type of resolution.   |
| THRY     | ThreeYears        | Vote in favour for three years for "say on pay" type of resolution.  |
| TWOY     | TwoYears          | Vote in favour for two years for "say on pay" type of resolution.  |
| WTHH     | Withhold          | Participant to a meeting withholds its vote for a meeting resolution. This action is usually taken in order to indicate a strong disagreement with a resolution (US market). |
| WMGT     | WithManagement    | Vote instruction is in line with the voting recommendations of the management.   |

**11.2.2.60 VoteInstruction7Code**

*Definition:* Specifies a type of voting instructions.

*Type:* CodeSet

| CodeName | Name              | Definition   |
|----------|-------------------|--|
| ABST     | Abstain           | Active vote expressed as abstain (no opinion).   |
| CAGS     | Against           | Vote against a meeting resolution.   |
| AMGT     | AgainstManagement | Vote instruction is in against the voting recommendations of the management.   |
| BLNK     | Blank             | Vote is cast as empty but the vote is counted.   |
| CFOR     | For               | Vote in favour of a meeting resolution.  |
| NOAC     | NoAction          | Do not vote.   |
| ONEY     | OneYear           | Vote in favour for one year for "say on pay" type of resolution.   |
| THRY     | ThreeYears        | Vote in favour for three years for "say on pay" type of resolution.  |
| TWOY     | TwoYears          | Vote in favour for two years for "say on pay" type of resolution.  |
| WTHH     | Withhold          | Participant to a meeting withholds its vote for a meeting resolution. This action is usually taken in order to indicate a strong disagreement with a resolution (US market). |
| WMGT     | WithManagement    | Vote instruction is in line with the voting recommendations of the management.   |

**11.2.2.61 VoteType1Code**

*Definition:* Specifies the impact of a vote on an agenda resolution in general meetings.

*Type:* CodeSet

| CodeName | Name     | Definition  |
|----------|----------|---|
| ADVI     | Advisory | Results of a vote on a proposal is for advice only. |
| BNDG     | Binding  | Results of a vote on a proposal is binding.         |

**11.2.2.62 VotingParticipationMethod2Code**

*Definition:* Specifies the different methods allowed for participating to the vote of agenda resolutions in a general meeting.

*Type:* CodeSet

| CodeName | Name      | Definition  |
|----------|-----------|---|
| PHNV     | NotVoting | Participation to the meeting is in person but the person is not voting. |

### 11.2.2.63 VotingParticipationMethod3Code

*Definition:* Specifies the different methods allowed for participating to the vote of agenda resolutions in a general meeting.

*Type:* CodeSet

| CodeName | Name             | Definition   |
|----------|------------------|--|
| MAIL     | Correspondence   | Vote participation is via documents sent through physical post / mail.   |
| EVOT     | ElectronicVoting | Vote participation is through electronic means like dedicated standards messaging or web based voting applications.        |
| PHYS     | InPerson         | Vote participation is through physical attendance.   |
| PHNV     | NotVoting        | Participation to the meeting is in person but the person is not voting.  |
| PRXY     | Proxy            | Vote participation is through a proxy person.  |
| VIRT     | Virtual          | Vote participation is through virtual meeting attendance method like multimedia and web based video or audio conferencing. |

## 11.2.3 Date

### 11.2.3.1 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

## 11.2.4 DateTime

### 11.2.4.1 ISODateTime

*Definition:* A particular point in the progression of time defined by a mandatory date and a mandatory time component, expressed in either UTC time format (YYYY-MM-DDThh:mm:ss.sssZ), local time with UTC offset format (YYYY-MM-DDThh:mm:ss.sss+/-hh:mm), or local time format (YYYY-MM-DDThh:mm:ss.sss). These representations are defined in "XML Schema Part 2: Datatypes Second Edition - W3C Recommendation 28 October 2004" which is aligned with ISO 8601.

Note on the time format:

- 1) beginning / end of calendar day
  - 00:00:00 = the beginning of a calendar day
  - 24:00:00 = the end of a calendar day
- 2) fractions of second in time format

Decimal fractions of seconds may be included. In this case, the involved parties shall agree on the maximum number of digits that are allowed.

*Type:* DateTime

## 11.2.5 IdentifierSet

### 11.2.5.1 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

*Identification scheme:* SWIFT; AnyBICIdentifier

#### Format

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

#### Constraints

- **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.

### 11.2.5.2 BICFIDec2014Identifier

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

*Type:* IdentifierSet

*Identification scheme:* SWIFT; BICIdentifier

#### Format

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

#### Constraints

- **BICFI**

Valid BICs for financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consist of eight (8) or eleven (11) contiguous characters.

### 11.2.5.3 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

*Identification scheme:* ANNA; ISINIdentifier

#### Format

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

### 11.2.5.4 LEIIdentifier

*Definition:* Legal Entity Identifier is a code allocated to a party as described in ISO 17442 "Financial Services - Legal Entity Identifier (LEI)".

*Type:* IdentifierSet

*Identification scheme:* Global LEI System; LEIIdentifier

#### Format

pattern [A-Z0-9]{18,18}[0-9]{2,2}

### 11.2.5.5 MICIdentifier

*Definition:* Market Identifier Code. The identification of a financial market, as stipulated in the norm ISO 10383 'Codes for exchanges and market identifications'.

*Type:* IdentifierSet

*Identification scheme:* SWIFT; MICIdentifier

#### Format

pattern [A-Z0-9]{4,4}

## 11.2.6 Indicator

### 11.2.6.1 YesNoIndicator

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

*Type:* Indicator

*Meaning When True:* Yes

*Meaning When False:* No

## 11.2.7 Quantity

### 11.2.7.1 DecimalNumber

*Definition:* Number of objects represented as a decimal number, for example 0.75 or 45.6.

*Type:* Quantity

**Format**

|                |    |
|----------------|----|
| totalDigits    | 18 |
| fractionDigits | 17 |

**11.2.7.2 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**

|                |    |
|----------------|----|
| totalDigits    | 30 |
| fractionDigits | 29 |

**11.2.7.3 Number**

*Definition:* Number of objects represented as an integer.

*Type:* Quantity

**Format**

|                |    |
|----------------|----|
| totalDigits    | 18 |
| fractionDigits | 0  |

**11.2.8 Rate****11.2.8.1 PercentageRate**

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

*Type:* Rate

**Format**

|                |       |
|----------------|-------|
| totalDigits    | 11    |
| fractionDigits | 10    |
| baseValue      | 100.0 |

**11.2.9 Text****11.2.9.1 Exact3NumericText**

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

*Type:* Text

**Format**

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

**11.2.9.2 Exact4AlphaNumericText**

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

*Type:* Text

**Format**

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

**11.2.9.3 ISO20022MessageIdentificationText**

*Definition:* ISO 20022 Message identifier of an MX message.

*Type:* Text

**Format**

pattern [a-z]{4}\.[0-9]{3}\.[0-9]{3}\.[0-9]{2}

**11.2.9.4 Max1025Text**

*Definition:* Specifies a character string with a maximum length of 1025 characters.

*Type:* Text

**Format**

minLength 1  
maxLength 1025

**11.2.9.5 Max105Text**

*Definition:* Specifies a character string with a maximum length of 105 characters.

*Type:* Text

**Format**

minLength 1  
maxLength 105

**11.2.9.6 Max128Text**

*Definition:* Specifies a character string with a maximum length of 128 characters.

*Type:* Text

**Format**

minLength 1  
maxLength 128

**11.2.9.7 Max140Text**

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

*Type:* Text

**Format**

|           |     |
|-----------|-----|
| minLength | 1   |
| maxLength | 140 |

### 11.2.9.8 Max16Text

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

*Type:* Text

**Format**

|           |    |
|-----------|----|
| minLength | 1  |
| maxLength | 16 |

### 11.2.9.9 Max2048Text

*Definition:* Specifies a character string with a maximum length of 2048 characters.

*Type:* Text

**Format**

|           |      |
|-----------|------|
| minLength | 1    |
| maxLength | 2048 |

### 11.2.9.10 Max256Text

*Definition:* Specifies a character string with a maximum length of 256 characters.

*Type:* Text

**Format**

|           |     |
|-----------|-----|
| minLength | 1   |
| maxLength | 256 |

### 11.2.9.11 Max350Text

*Definition:* Specifies a character string with a maximum length of 350 characters.

*Type:* Text

**Format**

|           |     |
|-----------|-----|
| minLength | 1   |
| maxLength | 350 |

### 11.2.9.12 Max35Text

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

*Type:* Text

**Format**

|           |    |
|-----------|----|
| minLength | 1  |
| maxLength | 35 |

### 11.2.9.13 Max4AlphaNumericText

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

*Type:* Text

**Format**

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

### 11.2.9.14 Max4Text

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

*Type:* Text

**Format**

|           |   |
|-----------|---|
| minLength | 1 |
| maxLength | 4 |

### 11.2.9.15 Max50Text

*Definition:* Specifies a character string with a maximum length of 50 characters.

*Type:* Text

**Format**

|           |    |
|-----------|----|
| minLength | 1  |
| maxLength | 50 |

### 11.2.9.16 Max5NumericText

*Definition:* Specifies a numeric string with a maximum length of 5 digits.

*Type:* Text

**Format**

|         |            |
|---------|------------|
| pattern | [0-9]{1,5} |
|---------|------------|

### 11.2.9.17 Max70Text

*Definition:* Specifies a character string with a maximum length of 70 characters.

*Type:* Text

**Format**

|           |    |
|-----------|----|
| minLength | 1  |
| maxLength | 70 |

### 11.2.9.18 Max8000Text

*Definition:* Specifies a character string with a maximum length of 8000 characters.

*Type:* Text

**Format**

|           |      |
|-----------|------|
| minLength | 1    |
| maxLength | 8000 |

### 11.2.9.19 PhoneNumber

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

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

*Type:* Text

**Format**

|         |                               |
|---------|-------------------------------|
| pattern | \+[0-9]{1,3}-[0-9()+\-]{1,30} |
|---------|-------------------------------|