

ISO 20022

## Shareholders Identification Disclosure - 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 Shareholders Identification Disclosure - 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.045.001.04 ShareholdersIdentificationDisclosureRequestV04</b> .....	22
3.1	MessageDefinition Functionality .....	22
3.2	Structure .....	24
3.3	Constraints .....	24
3.4	Message Building Blocks .....	25
<b>4</b>	<b>seev.046.001.01 ShareholdersIdentificationDisclosureRequestCancellationAdviceV01</b> .....	33
4.1	MessageDefinition Functionality .....	33
4.2	Structure .....	33
4.3	Constraints .....	34
4.4	Message Building Blocks .....	34
<b>5</b>	<b>seev.047.001.03 ShareholdersIdentificationDisclosureResponseV03</b> .....	38
5.1	MessageDefinition Functionality .....	38
5.2	Structure .....	39
5.3	Constraints .....	40
5.4	Message Building Blocks .....	41
<b>6</b>	<b>seev.048.001.01 ShareholderIdentificationDisclosureResponseCancellationAdviceV01</b> .....	65
6.1	MessageDefinition Functionality .....	65
6.2	Structure .....	66
6.3	Constraints .....	66
6.4	Message Building Blocks .....	67
<b>7</b>	<b>seev.049.001.01 ShareholderIdentificationDisclosureResponseStatusAdviceV01</b> .....	71
7.1	MessageDefinition Functionality .....	71
7.2	Structure .....	72
7.3	Constraints .....	72
7.4	Message Building Blocks .....	73
<b>8</b>	<b>semt.001.001.04 SecuritiesMessageRejectionV04</b> .....	80
8.1	MessageDefinition Functionality .....	80
8.2	Structure .....	81

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8.3	Constraints .....	82
8.4	Message Building Blocks .....	82
<b>9</b>	<b>Message Items Types</b> .....	<b>90</b>
9.1	MessageComponents .....	90
9.2	Message Datatypes .....	159

# 1 Message Set Overview

## Introduction

This document describes the Shareholders Identification Disclosure message set. It includes the new version of the MessageDefinitions that have been added as part of the maintenance cycle 2023-2024 (See MCR #1343) 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 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.045.001.04 ShareholdersIdentificationDisclosureRequestV04	<p>The ShareholdersIdentificationDisclosureRequest message is sent by an issuer or by a third party nominated by the issuer (such as an issuer's agent) to the first intermediaries in a custody chain or is sent by any intermediaries in a custody chain to the next intermediary down the chain of intermediaries (towards the investor side of the chain) in order to request the disclosure of shareholders identity and provides</p>

MessageDefinition	Definition
	information on the receiving party to whom responses must be sent, on the financial instrument concerned and on the deadline to respond.
seev.046.001.01 ShareholdersIdentificationDisclosureRequestCancellationAdviceV01	The ShareholdersIdentificationDisclosureCancellationAdvice message is sent by an issuer or by a third party nominated by the issuer (such as an issuer's agent) to the first intermediaries in a custody chain or is sent by any intermediaries in a custody chain to the next intermediary down the chain of intermediaries (towards the investor side of the chain) in order to withdraw/cancel the disclosure request of shareholders identity previously sent.
seev.047.001.03 ShareholdersIdentificationDisclosureResponseV03	The ShareholdersIdentificationDisclosureResponse message is sent in response to a shareholder identification disclosure request message by any intermediaries to the recipient designated by the issuer (such as an issuer's agent) in the disclosure request message in order to provide the requested information on the identity of the shareholders and their accounts holdings serviced by the intermediary for the requested financial instrument.
seev.048.001.01 ShareholderIdentificationDisclosureResponseCancellationAdviceV01	The ShareholdersIdentificationDisclosureResponseCancellationAdvice message is sent by any intermediaries to the recipient designated by the issuer (such as an issuer's agent) in the disclosure request message in order to cancel the shareholder identification disclosure response whether previously sent in a single message or in a set of multipart/paginated response messages.
seev.049.001.01 ShareholderIdentificationDisclosureResponseStatusAdviceV01	<p>The ShareholdersIdentificationDisclosureResponseStatusAdvice message is sent by an issuer or by a third party nominated by the issuer (such as an issuer's agent) to the intermediary in a custody chain in response to a ShareholderIdentificationDisclosureResponse message or in response to a multipart response report (sent with pagination in multiple messages) in order to report about the acceptance status of the received ShareholderIdentificationDisclosureResponse message/report.</p> <p>Usage: when the shareholder identification disclosure response is sent in a multipart response report (with several messages), a single response status advice only may be sent for the acceptance status of the whole report.</p>
semt.001.001.04 SecuritiesMessageRejectionV04	<p>An account servicer, for example, a registrar, transfer agent, first intermediary or custodian bank, sends the SecuritiesMessageRejection message to the sender (for example account owner, an investor, an issuer or its authorised agent), to reject a previously received message on which action cannot be taken.</p> <p>The message may also be sent by an executing party, for example, transfer agent to the instructing party, for example, investment manager or its authorised representative to reject a previously received message on which action cannot be taken.</p>

## 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
	<i>Message root &lt;Document&gt; &lt;AppHdr&gt;</i>	[1..1]		C5	
	<b>CharacterSet &lt;CharSet&gt;</b>	[0..1]	CodeSet	C6	11
	<b>From &lt;Fr&gt;</b>	[1..1]			11
{Or	<b>OrganisationIdentification &lt;OrgId&gt;</b>	[1..1]	±		11
Or}	<b>FinancialInstitutionIdentification &lt;FIId&gt;</b>	[1..1]	±		12
	<b>To &lt;To&gt;</b>	[1..1]			12
{Or	<b>OrganisationIdentification &lt;OrgId&gt;</b>	[1..1]	±		12
Or}	<b>FinancialInstitutionIdentification &lt;FIId&gt;</b>	[1..1]	±		12
	<b>BusinessMessageIdentifier &lt;BizMsgIdr&gt;</b>	[1..1]	Text		13
	<b>MessageDefinitionIdentifier &lt;MsgDefIdr&gt;</b>	[1..1]	Text		13
	<b>BusinessService &lt;BizSvc&gt;</b>	[0..1]	Text		13
	<b>MarketPractice &lt;MktPrctc&gt;</b>	[0..1]			13
	<b>Registry &lt;Regy&gt;</b>	[1..1]	Text		14
	<b>Identification &lt;Id&gt;</b>	[1..1]	Text		14
	<b>CreationDate &lt;CreDt&gt;</b>	[1..1]	DateTime		14
	<b>BusinessProcessingDate &lt;BizPrctgDt&gt;</b>	[0..1]	DateTime		14
	<b>CopyDuplicate &lt;CpyDplct&gt;</b>	[0..1]	CodeSet		14
	<b>PossibleDuplicate &lt;PssblDplct&gt;</b>	[0..1]	Indicator		15
	<b>Priority &lt;Prty&gt;</b>	[0..1]	CodeSet	C7	15
	<b>Signature &lt;Sgntr&gt;</b>	[0..1]	(External Schema)		16
	<b>Related &lt;Rltd&gt;</b>	[0..*]			16
	<b>CharacterSet &lt;CharSet&gt;</b>	[0..1]	CodeSet	C6	17
	<b>From &lt;Fr&gt;</b>	[1..1]			17
{Or	<b>OrganisationIdentification &lt;OrgId&gt;</b>	[1..1]	±		17
Or}	<b>FinancialInstitutionIdentification &lt;FIId&gt;</b>	[1..1]	±		17
	<b>To &lt;To&gt;</b>	[1..1]			18
{Or	<b>OrganisationIdentification &lt;OrgId&gt;</b>	[1..1]	±		18
Or}	<b>FinancialInstitutionIdentification &lt;FIId&gt;</b>	[1..1]	±		18
	<b>BusinessMessageIdentifier &lt;BizMsgIdr&gt;</b>	[1..1]	Text		19
	<b>MessageDefinitionIdentifier &lt;MsgDefIdr&gt;</b>	[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 167

#### 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 118 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		118
	PostalAddress <PstlAdr>	[0..1]	±		118
	Identification <Id>	[0..1]	±		119
	CountryOfResidence <CtryOfRes>	[0..1]	CodeSet	C2	119
	ContactDetails <CtctDtls>	[0..1]	±		120

### 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 101 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstitutionIdentification <FinInstnId>	[1..1]	±		101
	BranchIdentification <BrnchId>	[0..1]	±		102

### 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 118 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		118
	PostalAddress <PstlAdr>	[0..1]	±		118
	Identification <Id>	[0..1]	±		119
	CountryOfResidence <CtryOfRes>	[0..1]	CodeSet	C2	119
	ContactDetails <CtctDtls>	[0..1]	±		120

#### 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 101 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstitutionIdentification <FinInstnId>	[1..1]	±		101
	BranchIdentification <BrnchId>	[0..1]	±		102

## 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 172

## 2.4.5 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 172

## 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 172

## 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 171

### 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 171

## 2.4.8 CreationDate <CreDt>

*Presence:* [1..1]

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

*Datatype:* "ISODatetime" on page 167

## 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 167

## 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 160

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 169):

- *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 160

**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 167

#### 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 118 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		118
	PostalAddress <PstlAdr>	[0..1]	±		118
	Identification <Id>	[0..1]	±		119
	CountryOfResidence <CtryOfRes>	[0..1]	CodeSet	C2	119
	ContactDetails <CtctDtls>	[0..1]	±		120

#### 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 101 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstitutionIdentification <FinInstnld>	[1..1]	±		101
	BranchIdentification <Brnchld>	[0..1]	±		102

### 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 118 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		118
	PostalAddress <PstlAdr>	[0..1]	±		118
	Identification <Id>	[0..1]	±		119
	CountryOfResidence <CtryOfRes>	[0..1]	CodeSet	C2	119
	ContactDetails <CtctDtls>	[0..1]	±		120

#### 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 101 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstitutionIdentification <FinInstnId>	[1..1]	±		101
	BranchIdentification <BrnchId>	[0..1]	±		102

#### 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 172

#### 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 172

#### 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 172

#### 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 167

#### 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 160

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 169):

- *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 160

**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.045.001.04**

## **ShareholdersIdentificationDisclosureRequest V04**

### 3.1 **MessageDefinition Functionality**

The ShareholdersIdentificationDisclosureRequest message is sent by an issuer or by a third party nominated by the issuer (such as an issuer's agent) to the first intermediaries in a custody chain or is sent by any intermediaries in a custody chain to the next intermediary down the chain of intermediaries (towards the investor side of the chain) in order to request the disclosure of shareholders identity and provides information on the receiving party to whom responses must be sent, on the financial instrument concerned and on the deadline to respond.

#### Outline

The ShareholdersIdentificationDisclosureRequestV04 MessageDefinition is composed of 17 MessageBuildingBlocks:

- A. IssuerDisclosureRequestIdentification  
Official and unique identification assigned to a shareholder identification disclosure request process by the issuer or third party nominated by it.
- B. DisclosureRequestType  
Specifies the type of disclosure request.
- C. PreviousDisclosureRequestIdentification  
Identification of a previously sent shareholder identification disclosure request message.
- D. ForwardRequestIndicator  
Indicates whether the request is to be forwarded to and responded by the other intermediaries down the chain of intermediaries or not. If the request is not to be forwarded, the indicator may not be present.
- E. ResponseThroughChainIndicator  
Indicates whether the shareholder identification disclosure response is to be sent back down the chain of intermediaries or directly to the identified response recipient.  
  
If "true" or "1", the response must be sent back through the chain of intermediaries.  
  
If "false" or "0" or if the indicator is not present, the response must be sent directly to the identified response recipient.
- F. ShareholderRightsDirectiveIndicator  
Indicates whether the request was initiated by the first intermediary in the custody chain in accordance with SRD II.
- G. PlaceOfJurisdiction  
Governing law or place of jurisdiction where the disclosure request relates to.
- H. ApplicableLaw  
Identification of the law which relates to the disclosure request.

- I. FinancialInstrumentIdentification  
Identifies the financial instrument.
- J. ShareholdersDisclosureRecordDate  
Date set by the issuer on which the shareholders identity is determined based on the settled positions struck in the books of the issuer CSD or any other first intermediary at the close of business day.
- K. SharesQuantityThreshold  
Minimum number of shares held by a shareholder above which the identification must be disclosed.
- L. RequestShareHeldDate  
Indicates whether the date from which the shares have been held must be communicated into the disclosure response and according to which method these dates have to be communicated. The method can be provided either with a predefined code or via a textual description.
- M. DisclosureResponseRecipient  
Issuer or third party nominated by the issuer to whom the disclosure response shall be transmitted by the intermediary.
- N. IssuerDisclosureDeadline  
Latest date/time set by the issuer or a third party appointed by the issuer at which a response to the request to disclose shareholder identity shall be provided by each intermediary to the recipient to whom the response must be sent.
- O. DisclosureResponseDeadline  
Latest date/time set by an intermediary at which a response to the request to disclose shareholder identity shall be provided when sending the response through the chain of intermediaries.
- P. Issuer  
Issuer of the financial instrument.
- Q. SupplementaryData  
Additional information that can not 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> <ShrhldrIdDsclsrReq>	[1..1]		C9	
	<b>IssuerDisclosureRequestIdentification</b> <IssrDsclsrReqId>	[1..1]	Text		25
	<b>DisclosureRequestType</b> <DsclsrReqTp>	[1..1]	CodeSet		25
	<b>PreviousDisclosureRequestIdentification</b> <PrvsDsclsrReqId>	[0..1]	Text		26
	<b>ForwardRequestIndicator</b> <FwdReqInd>	[0..1]	Indicator		26
	<b>ResponseThroughChainIndicator</b> <RspnThrhChainInd>	[0..1]	Indicator		26
	<b>ShareholderRightsDirectiveIndicator</b> <ShrhldrRghtsDrctvInd>	[0..1]	Indicator		26
	<b>PlaceOfJurisdiction</b> <PlcOfJursdctn>	[0..1]	CodeSet	C2	27
	<b>ApplicableLaw</b> <AplblLaw>	[0..1]	Text		27
	<b>FinancialInstrumentIdentification</b> <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	27
	<b>ShareholdersDisclosureRecordDate</b> <ShrhldrDsclsrRcrdDt>	[1..1]	±		28
	<b>SharesQuantityThreshold</b> <ShrsQtyThrshld>	[0..1]	Quantity		28
	<b>RequestShareHeldDate</b> <ReqShrHeldDt>	[0..1]	±		29
	<b>DisclosureResponseRecipient</b> <DsclsrRspnRcpt>	[1..1]	±		29
	<b>IssuerDisclosureDeadline</b> <IssrDsclsrDdln>	[1..1]	±		30
	<b>DisclosureResponseDeadline</b> <DsclsrRspnDdln>	[0..1]	±		31
	<b>Issuer</b> <Issr>	[0..1]	±		31
	<b>SupplementaryData</b> <SplmtryData>	[0..*]	±	C10	31

## 3.3 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 PartyAddressRule**

At least one message element in the list (AnyBic, PostalAddress, EmailAddress, URLAddress) must be present. More than one message element in the list may be present.

**C9 PreviousDisclosureRequestIdentificationRule**

If DisclosureRequestType is REPL (Replacement), then PreviousDisclosureRequestIdentification must be present.

On Condition

/DisclosureRequestType is equal to value 'Replacement'

Following Must be True

/PreviousDisclosureRequestIdentification Must be present

*This constraint is defined at the MessageDefinition level.*

**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.

## 3.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 3.4.1 IssuerDisclosureRequestIdentification <IssrDsclsrReqId>

*Presence:* [1..1]

*Definition:* Official and unique identification assigned to a shareholder identification disclosure request process by the issuer or third party nominated by it.

*Datatype:* "Max35Text" on page 172

### 3.4.2 DisclosureRequestType <DsclsrReqTp>

*Presence:* [1..1]

*Definition:* Specifies the type of disclosure request.

*Datatype:* "DisclosureRequestType1Code" on page 162

CodeName	Name	Definition
NEWM	New	New disclosure request.
REPL	Replacement	Disclosure request replacing a previously sent request.

### 3.4.3 PreviousDisclosureRequestIdentification <PrvsDsclsrReqId>

*Presence:* [0..1]

*Definition:* Identification of a previously sent shareholder identification disclosure request message.

*Datatype:* "Max35Text" on page 172

### 3.4.4 ForwardRequestIndicator <FwdReqInd>

*Presence:* [0..1]

*Definition:* Indicates whether the request is to be forwarded to and responded by the other intermediaries down the chain of intermediaries or not. If the request is not to be forwarded, the indicator may not be present.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 169):

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

### 3.4.5 ResponseThroughChainIndicator <RspnThrhChainInd>

*Presence:* [0..1]

*Definition:* Indicates whether the shareholder identification disclosure response is to be sent back down the chain of intermediaries or directly to the identified response recipient.

If "true" or "1", the response must be sent back through the chain of intermediaries.

If "false" or "0" or if the indicator is not present, the response must be sent directly to the identified response recipient.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 169):

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

### 3.4.6 ShareholderRightsDirectiveIndicator <ShrhldrRghtsDrctvInd>

*Presence:* [0..1]

*Definition:* Indicates whether the request 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 169):

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

### 3.4.7 PlaceOfJurisdiction <PlcOfJursdctn>

*Presence:* [0..1]

*Definition:* Governing law or place of jurisdiction where the disclosure request relates to.

*Impacted by:* C2 "Country"

*Datatype:* "CountryCode" on page 161

#### Constraints

- **Country**

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

### 3.4.8 ApplicableLaw <ApblLaw>

*Presence:* [0..1]

*Definition:* Identification of the law which relates to the disclosure request.

*Datatype:* "Max140Text" on page 171

### 3.4.9 FinancialInstrumentIdentification <FinInstrmId>

*Presence:* [1..1]

*Definition:* Identifies the financial instrument.

*Impacted by:* C3 "DescriptionPresenceRule", C4 "DescriptionUsageRule", C5 "ISINGuideline", C6 "ISINPresenceRule", C7 "OtherIdentificationPresenceRule"

**FinancialInstrumentIdentification <FinInstrmId>** contains the following elements (see "SecurityIdentification19" on page 103 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		104
	OtherIdentification <OthrlId>	[0..*]			104
	Identification <Id>	[1..1]	Text		105
	Suffix <Sfx>	[0..1]	Text		105
	Type <Tp>	[1..1]	±		105
	Description <Desc>	[0..1]	Text		105

#### 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
```

### 3.4.10 ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt>

*Presence:* [1..1]

*Definition:* Date set by the issuer on which the shareholders identity is determined based on the settled positions struck in the books of the issuer CSD or any other first intermediary at the close of business day.

**ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt>** contains one of the following elements (see ["DateFormat46Choice"](#) on page 92 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		93
Or}	DateCode <DtCd>	[1..1]			93
{Or	Code <Cd>	[1..1]	CodeSet		93
Or}	Proprietary <Prtry>	[1..1]	±		93

### 3.4.11 SharesQuantityThreshold <ShrsQtyThrshld>

*Presence:* [0..1]

*Definition:* Minimum number of shares held by a shareholder above which the identification must be disclosed.

*Datatype:* "DecimalNumber" on page 169

### 3.4.12 RequestShareHeldDate <ReqShrHeldDt>

*Presence:* [0..1]

*Definition:* Indicates whether the date from which the shares have been held must be communicated into the disclosure response and according to which method these dates have to be communicated. The method can be provided either with a predefined code or via a textual description.

**RequestShareHeldDate <ReqShrHeldDt>** contains one of the following elements (see "RequestShareHeldDate1Choice" on page 115 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	DateCalculationMethod <DtClctnMtd>	[1..1]	CodeSet		115
Or}	DateCalculationDescription <DtClctnDesc>	[1..1]	Text		115

### 3.4.13 DisclosureResponseRecipient <DsclsrRspnRcpt>

*Presence:* [1..1]

*Definition:* Issuer or third party nominated by the issuer to whom the disclosure response shall be transmitted by the intermediary.

**DisclosureResponseRecipient <DsclsrRspnRcpt>** contains the following elements (see "PartyIdentification214" on page 134 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			135
{Or	ProprietaryIdentification <PrtryId>	[1..1]	±		135
Or}	LEI <LEI>	[1..1]	IdentifierSet		136
	RecipientName <RcptNm>	[1..1]	Text		136
	ResponseRecipientAddress <RspnRcptAdr>	[1..1]		C8	136
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C2	137
	PostalAddress <PstlAdr>	[0..1]			137
	AddressType <AdrTp>	[0..1]	CodeSet		137
	AddressLine <AdrLine>	[0..5]	Text		138
	StreetName <StrtNm>	[0..1]	Text		138
	BuildingNumber <BldgNb>	[0..1]	Text		138
	PostBox <PstBx>	[0..1]	Text		138
	PostCode <PstCd>	[0..1]	Text		138
	TownName <TwnNm>	[0..1]	Text		138
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		139
	Country <Ctry>	[1..1]	CodeSet	C2	139
	EmailAddress <EmailAdr>	[0..1]	Text		139
	URLAddress <URLAdr>	[0..1]	Text		139

### 3.4.14 IssuerDisclosureDeadline <IssrDsclsrDdln>

*Presence:* [1..1]

*Definition:* Latest date/time set by the issuer or a third party appointed by the issuer at which a response to the request to disclose shareholder identity shall be provided by each intermediary to the recipient to whom the response must be sent.

**IssuerDisclosureDeadline <IssrDsclsrDdln>** contains one of the following elements (see "DateFormat46Choice" on page 92 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		93
Or}	DateCode <DtCd>	[1..1]			93
{Or	Code <Cd>	[1..1]	CodeSet		93
Or}	Proprietary <Prtry>	[1..1]	±		93

### 3.4.15 DisclosureResponseDeadline <DsclsrRspnDdlIn>

*Presence:* [0..1]

*Definition:* Latest date/time set by an intermediary at which a response to the request to disclose shareholder identity shall be provided when sending the response through the chain of intermediaries.

**DisclosureResponseDeadline <DsclsrRspnDdlIn>** contains one of the following elements (see "[DateFormat46Choice](#)" on page 92 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		93
Or}	DateCode <DtCd>	[1..1]			93
{Or	Code <Cd>	[1..1]	CodeSet		93
Or}	Proprietary <Prtry>	[1..1]	±		93

### 3.4.16 Issuer <Issr>

*Presence:* [0..1]

*Definition:* Issuer of the financial instrument.

**Issuer <Issr>** contains one of the following elements (see "[PartyIdentification129Choice](#)" on page 140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C2	141
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		141
Or	NameAndAddress <NmAndAdr>	[1..1]	±		141
Or}	LEI <LEI>	[1..1]	IdentifierSet		142

### 3.4.17 SupplementaryData <SplmtryData>

*Presence:* [0..\*]

*Definition:* Additional information that can not 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 107 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		107
	Envelope <Envlp>	[1..1]	(External Schema)		108

### **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.046.001.01 ShareholdersIdentificationDisclosureRequest CancellationAdviceV01

## 4.1 MessageDefinition Functionality

The ShareholdersIdentificationDisclosureCancellationAdvice message is sent by an issuer or by a third party nominated by the issuer (such as an issuer's agent) to the first intermediaries in a custody chain or is sent by any intermediaries in a custody chain to the next intermediary down the chain of intermediaries (towards the investor side of the chain) in order to withdraw/cancel the disclosure request of shareholders identity previously sent.

### Outline

The ShareholdersIdentificationDisclosureRequestCancellationAdviceV01 MessageDefinition is composed of 4 MessageBuildingBlocks:

#### A. IssuerDisclosureRequestReference

Official and unique identification assigned to a shareholders identification disclosure request process by the issuer or third party nominated by it and for which a response is sent.

#### B. CancellationReason

Provides the reason for cancelling the request for shareholders identification disclosure.

#### C. Issuer

Issuer of the financial instrument.

#### D. SupplementaryData

Additional information that can not 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> <ShrhldrslDscslrReqCxlAdv>	[1..1]			
	IssuerDisclosureRequestReference <IssrDscslrReqRef>	[1..1]			34
	IssuerDisclosureRequestIdentification <IssrDscslrReqId>	[1..1]	Text		35
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	35
	ShareholdersDisclosureRecordDate <ShrhldrDscslrRcrdDt>	[1..1]	±		36
	CancellationReason <CxlRsn>	[0..1]	CodeSet		36
	Issuer <Issr>	[0..1]	±		37
	SupplementaryData <SplmtryData>	[0..*]	±	C8	37

## 4.3 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 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 IssuerDisclosureRequestReference <IssrDsclsrReqRef>

*Presence:* [1..1]

*Definition:* Official and unique identification assigned to a shareholders identification disclosure request process by the issuer or third party nominated by it and for which a response is sent.

**IssuerDisclosureRequestReference <IssrDsclsrReqRef>** contains the following **DisclosureRequestIdentification1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>IssuerDisclosureRequestIdentification</b> <IssrDsclsrReqId>	[1..1]	Text		35
	<b>FinancialInstrumentIdentification</b> <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	35
	<b>ShareholdersDisclosureRecordDate</b> <ShrhldrsDsclsrRcrdDt>	[1..1]	±		36

#### 4.4.1.1 IssuerDisclosureRequestIdentification <IssrDsclsrReqId>

*Presence:* [1..1]

*Definition:* Official and unique reference assigned to a shareholders identification disclosure request process by the issuer or third party nominated by him.

*Datatype:* "Max35Text" on page 172

#### 4.4.1.2 FinancialInstrumentIdentification <FinInstrmId>

*Presence:* [1..1]

*Definition:* Identifies the financial instrument.

*Impacted by:* C3 "DescriptionPresenceRule", C4 "DescriptionUsageRule", C5 "ISINGuideline", C6 "ISINPresenceRule", C7 "OtherIdentificationPresenceRule"

**FinancialInstrumentIdentification <FinInstrmId>** contains the following elements (see "SecurityIdentification19" on page 103 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		104
	OtherIdentification <OthrId>	[0..*]			104
	Identification <Id>	[1..1]	Text		105
	Suffix <Sfx>	[0..1]	Text		105
	Type <Tp>	[1..1]	±		105
	Description <Desc>	[0..1]	Text		105

#### 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
```

#### 4.4.1.3 ShareholdersDisclosureRecordDate <ShrhldrsDscslrRcrdDt>

*Presence:* [1..1]

*Definition:* Date set by the issuer on which shareholders identity is determined based on the settled positions struck in the books of the Issuer CSD or any other first intermediary at the close of business day.

**ShareholdersDisclosureRecordDate <ShrhldrsDscslrRcrdDt>** contains one of the following elements (see ["DateFormat46Choice"](#) on page 92 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		93
Or}	DateCode <DtCd>	[1..1]			93
{Or	Code <Cd>	[1..1]	CodeSet		93
Or}	Proprietary <Prtry>	[1..1]	±		93

#### 4.4.2 CancellationReason <CxIRsn>

*Presence:* [0..1]

*Definition:* Provides the reason for cancelling the request for shareholders identification disclosure.

*Datatype:* "DisclosureRequestCancellationReason1Code" on page 161

CodeName	Name	Definition
PROC	Processing	The cancellation of the disclosure request is due to a processing error.

CodeName	Name	Definition
WITH	Withdrawal	The cancellation of the disclosure request is due to the withdrawal of the request by the issuer.

### 4.4.3 Issuer <Issr>

*Presence:* [0..1]

*Definition:* Issuer of the financial instrument.

**Issuer <Issr>** contains one of the following elements (see "[PartyIdentification129Choice](#)" on page 140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C2	141
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		141
Or	NameAndAddress <NmAndAdr>	[1..1]	±		141
Or}	LEI <LEI>	[1..1]	IdentifierSet		142

### 4.4.4 SupplementaryData <SplmtryData>

*Presence:* [0..\*]

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

*Impacted by:* [C8 "SupplementaryDataRule"](#)

**SupplementaryData <SplmtryData>** contains the following elements (see "[SupplementaryData1](#)" on page 107 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		107
	Envelope <Envlp>	[1..1]	(External Schema)		108

#### 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.047.001.03**

## **ShareholdersIdentificationDisclosureResponseV03**

### 5.1 **MessageDefinition Functionality**

The ShareholdersIdentificationDisclosureResponse message is sent in response to a shareholder identification disclosure request message by any intermediaries to the recipient designated by the issuer (such as an issuer's agent) in the disclosure request message in order to provide the requested information on the identity of the shareholders and their accounts holdings serviced by the intermediary for the requested financial instrument.

#### Outline

The ShareholdersIdentificationDisclosureResponseV03 MessageDefinition is composed of 6 MessageBuildingBlocks:

#### A. Pagination

Page number of the message and continuation indicator to indicate that the identification disclosure response, when split in several parts (messages), is to continue or that the message is the last page of the multi-part identification disclosure response.

#### B. IssuerDisclosureRequestReference

Official and unique identification assigned to a shareholders identification disclosure request process by the issuer or third party nominated by it and for which a response is sent.

#### C. DisclosureResponseIdentification

Unique identification of the disclosure response. The same disclosure response identification number is to be used when the response is split in multiple (paginated) messages.

#### D. RespondingIntermediary

Unique identification of the intermediary party responding to the shareholders identification disclosure request.

#### E. DisclosureInformation

Specifies detailed shareholding disclosure information or specifies that disclosure information is not provided.

#### F. SupplementaryData

Additional information that can not 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> <ShrhldrsldDsclsrRspn>	[1..1]			
	<b>Pagination</b> <Pgntn>	[0..1]	±		41
	<b>IssuerDisclosureRequestReference</b> <IssrDsclsrReqRef>	[1..1]			41
	<b>IssuerDisclosureRequestIdentification</b> <IssrDsclsrReqId>	[1..1]	Text		42
	<b>FinancialInstrumentIdentification</b> <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C8	42
	<b>ShareholdersDisclosureRecordDate</b> <ShrhldrsDsclsrRcrdDt>	[1..1]	±		43
	<b>DisclosureResponseIdentification</b> <DsclsrRspnId>	[1..1]	Text		43
	<b>RespondingIntermediary</b> <RspndgIntrmy>	[1..1]	±		43
	<b>DisclosureInformation</b> <DsclsrInf>	[1..1]			44
{Or	<b>NoDisclosure</b> <NoDsclsr>	[1..1]	CodeSet		46
Or}	<b>SafekeepingAccountAndHoldings</b> <SfkpgAcctAndHldgs>	[1..*]			46
	<b>SafekeepingAccount</b> <SfkpgAcct>	[1..1]	Text		48
	<b>AccountServicer</b> <AcctSvcr>	[1..1]	±		48
	<b>ShareholdingBalanceOnOwnAccount</b> <ShrhldgBalOnOwnAcct>	[1..1]	±		48
	<b>ShareholdingBalanceOnClientAccount</b> <ShrhldgBalOnClntAcct>	[1..1]	±		49
	<b>TotalShareholdingBalance</b> <TtlShrhldgBal>	[1..1]	±		49
	<b>AccountSubLevel</b> <AcctSubLvl>	[0..1]			49
	<b>NonDisclosedShareholdingQuantity</b> <NonDsclsdShrhldgQty>	[0..1]	±		51
	<b>BelowThresholdShareholdingQuantity</b> <BlwThrshldShrhldgQty>	[0..1]	±		51
	<b>Disclosure</b> <Dsclsr>	[0..*]			51
	<b>SafekeepingAccount</b> <SfkpgAcct>	[0..1]	Text		53
	<b>AccountHolder</b> <AcctHldr>	[1..1]		C7	53
	<b>LegalPerson</b> <LglPrsn>	[0..*]			54
	<b>NameAndAddress</b> <NmAndAdr>	[1..1]	±		54
	<b>EmailAddress</b> <EmailAdr>	[0..1]	Text		55
	<b>Identification</b> <Id>	[1..1]	±		55
	<b>CountryOfIncorporation</b> <CtryOfIncorprtn>	[0..1]	CodeSet	C2	55

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>YearOfIncorporation</b> <YrOfIncorprtn>	[0..1]	Year		55
	<b>ActivityIndicator</b> <ActvtyInd>	[0..1]	±		55
	<b>InvestorType</b> <InvstrTp>	[0..1]	±		56
	<b>Ownership</b> <Ownrsh>	[0..1]	±		56
	<b>NaturalPerson</b> <NtrlPrsn>	[0..*]			56
	<b>NameAndAddress</b> <NmAndAdr>	[1..1]	±		57
	<b>EmailAddress</b> <EmailAdr>	[0..1]	Text		57
	<b>Identification</b> <Id>	[1..1]	±		58
	<b>Nationality</b> <Ntlty>	[0..1]	CodeSet	C2	58
	<b>DateAndPlaceOfBirth</b> <DtAndPlcOfBirth>	[0..1]	±		58
	<b>InvestorType</b> <InvstrTp>	[0..1]	±		58
	<b>Ownership</b> <Ownrsh>	[0..1]	±		59
	<b>ShareholdingBalance</b> <ShrhldgBal>	[1..*]			59
	<b>ShareholdingType</b> <ShrhldgTp>	[1..1]	CodeSet		59
	<b>Quantity</b> <Qty>	[1..1]	±		60
	<b>InitialDateOfShareholding</b> <InittDtOfShrhldg>	[0..1]	±		60
	<b>ThirdParty</b> <ThrdPty>	[0..*]			61
	<b>Role</b> <Role>	[1..1]	±		61
	<b>Identification</b> <Id>	[1..1]			61
{Or	<b>LegalPerson</b> <LglPrsn>	[1..1]	±		62
Or}	<b>NaturalPerson</b> <NtrlPrsn>	[1..1]	±		62
	<b>SupplementaryData</b> <SplmtryData>	[0..*]	±	C9	63
	<b>SupplementaryData</b> <SplmtryData>	[0..*]	±	C9	63

## 5.3 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 LegalPersonOrNaturalPersonRule**

At least one occurrence of either NaturalPerson or LegalPerson must be present.

**C8 OtherIdentificationPresenceRule**

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

**C9 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 Pagination <Pgntn>

*Presence:* [0..1]

*Definition:* Page number of the message and continuation indicator to indicate that the identification disclosure response, when split in several parts (messages), is to continue or that the message is the last page of the multi-part identification disclosure response.

**Pagination <Pgntn>** contains the following elements (see "[Pagination1](#)" on page 115 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		115
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		116

### 5.4.2 IssuerDisclosureRequestReference <IssrDsclsrReqRef>

*Presence:* [1..1]

*Definition:* Official and unique identification assigned to a shareholders identification disclosure request process by the issuer or third party nominated by it and for which a response is sent.

**IssuerDisclosureRequestReference <IssrDsclsrReqRef>** contains the following **DisclosureRequestIdentification1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>IssuerDisclosureRequestIdentification</b> <IssrDsclsrReqId>	[1..1]	Text		42
	<b>FinancialInstrumentIdentification</b> <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C8	42
	<b>ShareholdersDisclosureRecordDate</b> <ShrhldrsDsclsrRcrdDt>	[1..1]	±		43

#### 5.4.2.1 IssuerDisclosureRequestIdentification <IssrDsclsrReqId>

*Presence:* [1..1]

*Definition:* Official and unique reference assigned to a shareholders identification disclosure request process by the issuer or third party nominated by him.

*Datatype:* "Max35Text" on page 172

#### 5.4.2.2 FinancialInstrumentIdentification <FinInstrmId>

*Presence:* [1..1]

*Definition:* Identifies the financial instrument.

*Impacted by:* C3 "DescriptionPresenceRule", C4 "DescriptionUsageRule", C5 "ISINGuideline", C6 "ISINPresenceRule", C8 "OtherIdentificationPresenceRule"

**FinancialInstrumentIdentification <FinInstrmId>** contains the following elements (see "SecurityIdentification19" on page 103 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		104
	OtherIdentification <OthrlId>	[0..*]			104
	Identification <Id>	[1..1]	Text		105
	Suffix <Sfx>	[0..1]	Text		105
	Type <Tp>	[1..1]	±		105
	Description <Desc>	[0..1]	Text		105

#### 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

### 5.4.2.3 ShareholdersDisclosureRecordDate <ShrhldrsDscslrRcrdDt>

*Presence:* [1..1]

*Definition:* Date set by the issuer on which shareholders identity is determined based on the settled positions struck in the books of the Issuer CSD or any other first intermediary at the close of business day.

**ShareholdersDisclosureRecordDate <ShrhldrsDscslrRcrdDt>** contains one of the following elements (see ["DateFormat46Choice"](#) on page 92 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		93
Or}	DateCode <DtCd>	[1..1]			93
{Or	Code <Cd>	[1..1]	CodeSet		93
Or}	Proprietary <Prtry>	[1..1]	±		93

### 5.4.3 DisclosureResponseIdentification <DscslrRspnId>

*Presence:* [1..1]

*Definition:* Unique identification of the disclosure response. The same disclosure response identification number is to be used when the response is split in multiple (paginated) messages.

*Datatype:* "Max35Text" on page 172

### 5.4.4 RespondingIntermediary <RspndgIntrmy>

*Presence:* [1..1]

*Definition:* Unique identification of the intermediary party responding to the shareholders identification disclosure request.

**RespondingIntermediary <RspndgIntrmy>** contains the following elements (see "PartyIdentification219" on page 130 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NameAndAddress <NmAndAdr>	[1..1]			131
	Name <Nm>	[1..1]	Text		132
	Address <Adr>	[0..1]			132
	AddressType <AdrTp>	[0..1]	CodeSet		132
	AddressLine <AdrLine>	[0..5]	Text		132
	StreetName <StrtNm>	[0..1]	Text		133
	BuildingNumber <BldgNb>	[0..1]	Text		133
	PostBox <PstBx>	[0..1]	Text		133
	PostCode <PstCd>	[0..1]	Text		133
	TownName <TwnNm>	[0..1]	Text		133
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		133
	Country <Ctry>	[1..1]	CodeSet	C2	133
	Identification <Id>	[1..1]	±		134
	ContactPerson <CtctPrsn>	[0..1]	±		134

## 5.4.5 DisclosureInformation <DscslrInf>

*Presence:* [1..1]

*Definition:* Specifies detailed shareholding disclosure information or specifies that disclosure information is not provided.

**DisclosureInformation <DsclsInf>** contains one of the following **Disclosure3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>NoDisclosure</b> <NoDscls>	[1..1]	CodeSet		46
Or}	<b>SafekeepingAccountAndHoldings</b> <SfkpgAcctAndHldgs>	[1..*]			46
	<b>SafekeepingAccount</b> <SfkpgAcct>	[1..1]	Text		48
	<b>AccountServicer</b> <AcctSvcr>	[1..1]	±		48
	<b>ShareholdingBalanceOnOwnAccount</b> <ShrhldgBalOnOwnAcct>	[1..1]	±		48
	<b>ShareholdingBalanceOnClientAccount</b> <ShrhldgBalOnClntAcct>	[1..1]	±		49
	<b>TotalShareholdingBalance</b> <TtlShrhldgBal>	[1..1]	±		49
	<b>AccountSubLevel</b> <AcctSubLvl>	[0..1]			49
	<b>NonDisclosedShareholdingQuantity</b> <NonDsclsdShrhldgQty>	[0..1]	±		51
	<b>BelowThresholdShareholdingQuantity</b> <BlwThrshldShrhldgQty>	[0..1]	±		51
	<b>Disclosure</b> <Dscls>	[0..*]			51
	<b>SafekeepingAccount</b> <SfkpgAcct>	[0..1]	Text		53
	<b>AccountHolder</b> <AcctHldr>	[1..1]		C7	53
	<b>LegalPerson</b> <LglPrsn>	[0..*]			54
	<b>NameAndAddress</b> <NmAndAdr>	[1..1]	±		54
	<b>EmailAddress</b> <EmailAdr>	[0..1]	Text		55
	<b>Identification</b> <Id>	[1..1]	±		55
	<b>CountryOfIncorporation</b> <CtryOfIncorprtn>	[0..1]	CodeSet	C2	55
	<b>YearOfIncorporation</b> <YrOfIncorprtn>	[0..1]	Year		55
	<b>ActivityIndicator</b> <ActvtyInd>	[0..1]	±		55
	<b>InvestorType</b> <InvstrTp>	[0..1]	±		56
	<b>Ownership</b> <Ownrsh>	[0..1]	±		56
	<b>NaturalPerson</b> <NtrlPrsn>	[0..*]			56
	<b>NameAndAddress</b> <NmAndAdr>	[1..1]	±		57
	<b>EmailAddress</b> <EmailAdr>	[0..1]	Text		57
	<b>Identification</b> <Id>	[1..1]	±		58
	<b>Nationality</b> <Ntlty>	[0..1]	CodeSet	C2	58
	<b>DateAndPlaceOfBirth</b> <DtAndPlcOfBirth>	[0..1]	±		58
	<b>InvestorType</b> <InvstrTp>	[0..1]	±		58

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Ownership</b> <Ownrsh>	[0..1]	±		59
	<b>ShareholdingBalance</b> <ShrhldgBal>	[1..*]			59
	<b>ShareholdingType</b> <ShrhldgTp>	[1..1]	CodeSet		59
	<b>Quantity</b> <Qty>	[1..1]	±		60
	<b>InitialDateOfShareholding</b> <InitlDtOfShrhldg>	[0..1]	±		60
	<b>ThirdParty</b> <ThrdPty>	[0..*]			61
	<b>Role</b> <Role>	[1..1]	±		61
	<b>Identification</b> <Id>	[1..1]			61
{Or	<b>LegalPerson</b> <LglPrsn>	[1..1]	±		62
Or}	<b>NaturalPerson</b> <NtrlPrsn>	[1..1]	±		62
	<b>SupplementaryData</b> <SplmtryData>	[0..*]	±	C9	63

#### 5.4.5.1 NoDisclosure <NoDsclsr>

*Presence:* [1..1]

*Definition:* Shareholding information is not disclosed.

*Datatype:* "NoReasonCode" on page 164

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

#### 5.4.5.2 SafekeepingAccountAndHoldings <SfkpgAcctAndHldgs>

*Presence:* [1..\*]

*Definition:* Details of the account, account sub-levels and holdings.

**SafekeepingAccountAndHoldings <SfkpgAcctAndHldgs>** contains the following  
**SafekeepingAccount17** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>SafekeepingAccount</b> <SfkpgAcct>	[1..1]	Text		48
	<b>AccountServicer</b> <AcctSvcr>	[1..1]	±		48
	<b>ShareholdingBalanceOnOwnAccount</b> <ShrhldgBalOnOwnAcct>	[1..1]	±		48
	<b>ShareholdingBalanceOnClientAccount</b> <ShrhldgBalOnCIntAcct>	[1..1]	±		49
	<b>TotalShareholdingBalance</b> <TtlShrhldgBal>	[1..1]	±		49
	<b>AccountSubLevel</b> <AcctSubLvl>	[0..1]			49
	<b>NonDisclosedShareholdingQuantity</b> <NonDsclsdShrhldgQty>	[0..1]	±		51
	<b>BelowThresholdShareholdingQuantity</b> <BlwThrshldShrhldgQty>	[0..1]	±		51
	<b>Disclosure</b> <Dsclsr>	[0..*]			51
	<b>SafekeepingAccount</b> <SfkpgAcct>	[0..1]	Text		53
	<b>AccountHolder</b> <AcctHldr>	[1..1]		C7	53
	<b>LegalPerson</b> <LglPrsn>	[0..*]			54
	<b>NameAndAddress</b> <NmAndAdr>	[1..1]	±		54
	<b>EmailAddress</b> <EmailAdr>	[0..1]	Text		55
	<b>Identification</b> <Id>	[1..1]	±		55
	<b>CountryOfIncorporation</b> <CtryOfIncorprtn>	[0..1]	CodeSet	C2	55
	<b>YearOfIncorporation</b> <YrOfIncorprtn>	[0..1]	Year		55
	<b>ActivityIndicator</b> <ActvtyInd>	[0..1]	±		55
	<b>InvestorType</b> <InvstrTp>	[0..1]	±		56
	<b>Ownership</b> <Ownrsh>	[0..1]	±		56
	<b>NaturalPerson</b> <NtrlPrsn>	[0..*]			56
	<b>NameAndAddress</b> <NmAndAdr>	[1..1]	±		57
	<b>EmailAddress</b> <EmailAdr>	[0..1]	Text		57
	<b>Identification</b> <Id>	[1..1]	±		58
	<b>Nationality</b> <Ntlty>	[0..1]	CodeSet	C2	58
	<b>DateAndPlaceOfBirth</b> <DtAndPlcOfBirth>	[0..1]	±		58
	<b>InvestorType</b> <InvstrTp>	[0..1]	±		58
	<b>Ownership</b> <Ownrsh>	[0..1]	±		59

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ShareholdingBalance</b> <ShrhldgBal>	[1..*]			59
	<b>ShareholdingType</b> <ShrhldgTp>	[1..1]	CodeSet		59
	<b>Quantity</b> <Qty>	[1..1]	±		60
	<b>InitialDateOfShareholding</b> <InitlDtOfShrhldg>	[0..1]	±		60
	<b>ThirdParty</b> <ThrdPty>	[0..*]			61
	<b>Role</b> <Role>	[1..1]	±		61
	<b>Identification</b> <Id>	[1..1]			61
{Or	<b>LegalPerson</b> <LglPrsn>	[1..1]	±		62
Or}	<b>NaturalPerson</b> <NtrlPrsn>	[1..1]	±		62
	<b>SupplementaryData</b> <SplmtryData>	[0..*]	±	C9	63

#### 5.4.5.2.1 SafekeepingAccount <SfkpgAcct>

*Presence:* [1..1]

*Definition:* Account where financial instruments are maintained. Account held by the responding intermediary with its account servicer.

*Datatype:* "Max35Text" on page 172

#### 5.4.5.2.2 AccountServicer <AcctSvcr>

*Presence:* [1..1]

*Definition:* Party that manages the account on behalf of the account owner, that is, manages the registration and booking of entries on the account, calculates balances on the account and provides information about the account.

**AccountServicer <AcctSvcr>** contains one of the following elements (see "PartyIdentification195Choice" on page 114 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>AnyBIC</b> <AnyBIC>	[1..1]	IdentifierSet	C2	114
Or	<b>ProprietaryIdentification</b> <PrtryId>	[1..1]	±		114
Or}	<b>LEI</b> <LEI>	[1..1]	IdentifierSet		115

#### 5.4.5.2.3 ShareholdingBalanceOnOwnAccount <ShrhldgBalOnOwnAcct>

*Presence:* [1..1]

*Definition:* Number of shares held by the responding intermediary on its own account.

**ShareholdingBalanceOnOwnAccount <ShrhldgBalOnOwnAcct>** contains one of the following elements (see "[FinancialInstrumentQuantity18Choice](#)" on page 158 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		158
Or}	FaceAmount <FaceAmt>	[1..1]	Amount		159

#### 5.4.5.2.4 ShareholdingBalanceOnClientAccount <ShrhldgBalOnClntAcct>

*Presence:* [1..1]

*Definition:* Number of shares held by the responding intermediary on account of someone else.

**ShareholdingBalanceOnClientAccount <ShrhldgBalOnClntAcct>** contains one of the following elements (see "[FinancialInstrumentQuantity18Choice](#)" on page 158 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		158
Or}	FaceAmount <FaceAmt>	[1..1]	Amount		159

#### 5.4.5.2.5 TotalShareholdingBalance <TtlShrhldgBal>

*Presence:* [1..1]

*Definition:* Total number of shares held by the responding intermediary.

**TotalShareholdingBalance <TtlShrhldgBal>** contains one of the following elements (see "[FinancialInstrumentQuantity18Choice](#)" on page 158 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		158
Or}	FaceAmount <FaceAmt>	[1..1]	Amount		159

#### 5.4.5.2.6 AccountSubLevel <AcctSubLvl>

*Presence:* [0..1]

*Definition:* Shareholdings information at account sub level.

**AccountSubLevel <AcctSubLvl>** contains the following **AccountSubLevel24** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>NonDisclosedShareholdingQuantity</b> <NonDscldShrhldgQty>	[0..1]	±		51
	<b>BelowThresholdShareholdingQuantity</b> <BlwThrshldShrhldgQty>	[0..1]	±		51
	<b>Disclosure</b> <Dsclsr>	[0..*]			51
	<b>SafekeepingAccount</b> <SfkpgAcct>	[0..1]	Text		53
	<b>AccountHolder</b> <AcctHldr>	[1..1]		C7	53
	<b>LegalPerson</b> <LglPrsn>	[0..*]			54
	<b>NameAndAddress</b> <NmAndAdr>	[1..1]	±		54
	<b>EmailAddress</b> <EmailAdr>	[0..1]	Text		55
	<b>Identification</b> <Id>	[1..1]	±		55
	<b>CountryOfIncorporation</b> <CtryOfIncorprtn>	[0..1]	CodeSet	C2	55
	<b>YearOfIncorporation</b> <YrOfIncorprtn>	[0..1]	Year		55
	<b>ActivityIndicator</b> <ActvtyInd>	[0..1]	±		55
	<b>InvestorType</b> <InvstrTp>	[0..1]	±		56
	<b>Ownership</b> <Ownrsh>	[0..1]	±		56
	<b>NaturalPerson</b> <NtrlPrsn>	[0..*]			56
	<b>NameAndAddress</b> <NmAndAdr>	[1..1]	±		57
	<b>EmailAddress</b> <EmailAdr>	[0..1]	Text		57
	<b>Identification</b> <Id>	[1..1]	±		58
	<b>Nationality</b> <Ntlty>	[0..1]	CodeSet	C2	58
	<b>DateAndPlaceOfBirth</b> <DtAndPlcOfBirth>	[0..1]	±		58
	<b>InvestorType</b> <InvstrTp>	[0..1]	±		58
	<b>Ownership</b> <Ownrsh>	[0..1]	±		59
	<b>ShareholdingBalance</b> <ShrhldgBal>	[1..*]			59
	<b>ShareholdingType</b> <ShrhldgTp>	[1..1]	CodeSet		59
	<b>Quantity</b> <Qty>	[1..1]	±		60
	<b>InitialDateOfShareholding</b> <InitlDtOfShrhldg>	[0..1]	±		60
	<b>ThirdParty</b> <ThrdPty>	[0..*]			61
	<b>Role</b> <Role>	[1..1]	±		61
	<b>Identification</b> <Id>	[1..1]			61
{Or	<b>LegalPerson</b> <LglPrsn>	[1..1]	±		62

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
Or}	NaturalPerson <NtrlPrsn>	[1..1]	±		62
	SupplementaryData <SplmtryData>	[0..*]	±	C9	63

#### 5.4.5.2.6.1 NonDisclosedShareholdingQuantity <NonDscldShrhldgQty>

*Presence:* [0..1]

*Definition:* Quantity of shares for which shareholding details are not disclosed.

**NonDisclosedShareholdingQuantity <NonDscldShrhldgQty>** contains one of the following elements (see "FinancialInstrumentQuantity18Choice" on page 158 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		158
Or}	FaceAmount <FaceAmt>	[1..1]	Amount		159

#### 5.4.5.2.6.2 BelowThresholdShareholdingQuantity <BlwThrshldShrhldgQty>

*Presence:* [0..1]

*Definition:* Quantity of shares for which shareholding details are not reported as the quantity of shares owned by the shareholder is under the threshold limit.

**BelowThresholdShareholdingQuantity <BlwThrshldShrhldgQty>** contains one of the following elements (see "FinancialInstrumentQuantity18Choice" on page 158 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		158
Or}	FaceAmount <FaceAmt>	[1..1]	Amount		159

#### 5.4.5.2.6.3 Disclosure <Dsclsr>

*Presence:* [0..\*]

*Definition:* Details of the account sub-levels and holdings.

**Disclosure <Dsclsr>** contains the following **AccountSubLevel25** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>SafekeepingAccount</b> <SfkpgAcct>	[0..1]	Text		53
	<b>AccountHolder</b> <AcctHldr>	[1..1]		C7	53
	<b>LegalPerson</b> <LglPrsn>	[0..*]			54
	<b>NameAndAddress</b> <NmAndAdr>	[1..1]	±		54
	<b>EmailAddress</b> <EmailAdr>	[0..1]	Text		55
	<b>Identification</b> <Id>	[1..1]	±		55
	<b>CountryOfIncorporation</b> <CtryOfIncorprtn>	[0..1]	CodeSet	C2	55
	<b>YearOfIncorporation</b> <YrOfIncorprtn>	[0..1]	Year		55
	<b>ActivityIndicator</b> <ActvtyInd>	[0..1]	±		55
	<b>InvestorType</b> <InvstrTp>	[0..1]	±		56
	<b>Ownership</b> <Ownrsh>	[0..1]	±		56
	<b>NaturalPerson</b> <NtrlPrsn>	[0..*]			56
	<b>NameAndAddress</b> <NmAndAdr>	[1..1]	±		57
	<b>EmailAddress</b> <EmailAdr>	[0..1]	Text		57
	<b>Identification</b> <Id>	[1..1]	±		58
	<b>Nationality</b> <Ntlty>	[0..1]	CodeSet	C2	58
	<b>DateAndPlaceOfBirth</b> <DtAndPlcOfBirth>	[0..1]	±		58
	<b>InvestorType</b> <InvstrTp>	[0..1]	±		58
	<b>Ownership</b> <Ownrsh>	[0..1]	±		59
	<b>ShareholdingBalance</b> <ShrhldgBal>	[1..*]			59
	<b>ShareholdingType</b> <ShrhldgTp>	[1..1]	CodeSet		59
	<b>Quantity</b> <Qty>	[1..1]	±		60
	<b>InitialDateOfShareholding</b> <InitlDtOfShrhldg>	[0..1]	±		60
	<b>ThirdParty</b> <ThrdPty>	[0..*]			61
	<b>Role</b> <Role>	[1..1]	±		61
	<b>Identification</b> <Id>	[1..1]			61
{Or	<b>LegalPerson</b> <LglPrsn>	[1..1]	±		62
Or}	<b>NaturalPerson</b> <NtrlPrsn>	[1..1]	±		62
	<b>SupplementaryData</b> <SplmtryData>	[0..*]	±	C9	63

**5.4.5.2.6.3.1 SafekeepingAccount <SfkpgAcct>**

*Presence:* [0..1]

*Definition:* Account where financial instruments are maintained. Account serviced by the responding intermediary for an account holder.

*Datatype:* "Max35Text" on page 172

**5.4.5.2.6.3.2 AccountHolder <AcctHldr>**

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

*Impacted by:* C7 "LegalPersonOrNaturalPersonRule"

**AccountHolder <AcctHldr>** contains the following **PartyIdentification276** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>LegalPerson</b> <LglPrsn>	[0..*]			54
	<b>NameAndAddress</b> <NmAndAdr>	[1..1]	±		54
	<b>EmailAddress</b> <EmailAdr>	[0..1]	Text		55
	<b>Identification</b> <Id>	[1..1]	±		55
	<b>CountryOfIncorporation</b> <CtryOfIncorprtn>	[0..1]	CodeSet	C2	55
	<b>YearOfIncorporation</b> <YrOfIncorprtn>	[0..1]	Year		55
	<b>ActivityIndicator</b> <ActvtyInd>	[0..1]	±		55
	<b>InvestorType</b> <InvstrTp>	[0..1]	±		56
	<b>Ownership</b> <Ownrsh>	[0..1]	±		56
	<b>NaturalPerson</b> <NtrlPrsn>	[0..*]			56
	<b>NameAndAddress</b> <NmAndAdr>	[1..1]	±		57
	<b>EmailAddress</b> <EmailAdr>	[0..1]	Text		57
	<b>Identification</b> <Id>	[1..1]	±		58
	<b>Nationality</b> <Ntlty>	[0..1]	CodeSet	C2	58
	<b>DateAndPlaceOfBirth</b> <DtAndPlcOfBirth>	[0..1]	±		58
	<b>InvestorType</b> <InvstrTp>	[0..1]	±		58
	<b>Ownership</b> <Ownrsh>	[0..1]	±		59

**Constraints**

- **LegalPersonOrNaturalPersonRule**

At least one occurrence of either NaturalPerson or LegalPerson must be present.

Following Must be True  
 /LegalPerson[\*] Must be present  
 Or /NaturalPerson[\*] Must be present

#### 5.4.5.2.6.3.2.1 LegalPerson <LglPrsn>

*Presence:* [0..\*]

*Definition:* Legal entity.

**LegalPerson <LglPrsn>** contains the following **PartyIdentification275** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>NameAndAddress</b> <NmAndAdr>	[1..1]	±		54
	<b>EmailAddress</b> <EmailAdr>	[0..1]	Text		55
	<b>Identification</b> <Id>	[1..1]	±		55
	<b>CountryOfIncorporation</b> <CtryOfIncorprtn>	[0..1]	CodeSet	C2	55
	<b>YearOfIncorporation</b> <YrOfIncorprtn>	[0..1]	Year		55
	<b>ActivityIndicator</b> <ActvtyInd>	[0..1]	±		55
	<b>InvestorType</b> <InvstrTp>	[0..1]	±		56
	<b>Ownership</b> <Ownrsh>	[0..1]	±		56

#### 5.4.5.2.6.3.2.1.1 NameAndAddress <NmAndAdr>

*Presence:* [1..1]

*Definition:* Name and address of the party.

**NameAndAddress <NmAndAdr>** contains the following elements (see "[NameAndAddress17](#)" on page 90 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		90
	Address <Adr>	[0..1]			90
	AddressType <AdrTp>	[0..1]	CodeSet		91
	AddressLine <AdrLine>	[0..5]	Text		91
	StreetName <StrtNm>	[0..1]	Text		91
	BuildingNumber <BldgNb>	[0..1]	Text		91
	PostBox <PstBx>	[0..1]	Text		92
	PostCode <PstCd>	[0..1]	Text		92
	TownName <TwnNm>	[0..1]	Text		92
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		92
	Country <Ctry>	[1..1]	CodeSet	C2	92

**5.4.5.2.6.3.2.1.2 EmailAddress <EmailAdr>***Presence:* [0..1]*Definition:* Address for electronic mail (e-mail).*Datatype:* "Max256Text" on page 171**5.4.5.2.6.3.2.1.3 Identification <Id>***Presence:* [1..1]*Definition:* Identification of the party.**Identification <Id>** contains one of the following elements (see "PartyIdentification198Choice" on page 121 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NationalRegistrationNumber <NtlRegnNb>	[1..1]	Text		122
Or	LEI <LEI>	[1..1]	IdentifierSet		122
Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C2	122
Or	ClientIdentification <CIntId>	[1..1]	Text		122
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		122

**5.4.5.2.6.3.2.1.4 CountryOfIncorporation <CtrOfIncorprtn>***Presence:* [0..1]*Definition:* Country in which the company is incorporated or legally registered.*Impacted by:* C2 "Country"*Datatype:* "CountryCode" on page 161**Constraints**

- **Country**

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

**5.4.5.2.6.3.2.1.5 YearOfIncorporation <YrOfIncorprtn>***Presence:* [0..1]*Definition:* Year during which the legal entity was officially incorporated.*Datatype:* "ISOYear" on page 173**5.4.5.2.6.3.2.1.6 ActivityIndicator <ActvtyInd>***Presence:* [0..1]*Definition:* Economical activity of the investor.

**ActivityIndicator <ActvtyInd>** contains one of the following elements (see "[ActivityIndicator1Choice](#)" on page 110 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISICIdentifier <ISICldr>	[1..1]	IdentifierSet		110
Or}	ProprietaryIndicator <PrtryInd>	[1..1]	±		110

#### 5.4.5.2.6.3.2.1.7 InvestorType <InvstrTp>

*Presence:* [0..1]

*Definition:* Type of investor.

**InvestorType <InvstrTp>** contains one of the following elements (see "[InvestorType1Choice](#)" on page 109 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		109
Or}	Proprietary <Prtry>	[1..1]	±		110

#### 5.4.5.2.6.3.2.1.8 Ownership <Ownrsh>

*Presence:* [0..1]

*Definition:* Information about the ownership on an asset.

**Ownership <Ownrsh>** contains the following elements (see "[Ownership1](#)" on page 108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnershipType <OwnrshTp>	[0..1]			108
{Or	Code <Cd>	[1..1]	CodeSet		108
Or}	Proprietary <Prtry>	[1..1]	±		109
	OwnershipPercentage <OwnrshPctg>	[0..1]	Rate		109
	UsufructPercentage <UsfrctPctg>	[0..1]	Rate		109

#### 5.4.5.2.6.3.2.2 NaturalPerson <NtrlPrsn>

*Presence:* [0..\*]

*Definition:* Private person.

**NaturalPerson <NtrlPrsn>** contains the following **PartyIdentification217** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>NameAndAddress</b> <NmAndAdr>	[1..1]	±		57
	<b>EmailAddress</b> <EmailAdr>	[0..1]	Text		57
	<b>Identification</b> <Id>	[1..1]	±		58
	<b>Nationality</b> <Ntity>	[0..1]	CodeSet	C2	58
	<b>DateAndPlaceOfBirth</b> <DtAndPlcOfBirth>	[0..1]	±		58
	<b>InvestorType</b> <InvstrTp>	[0..1]	±		58
	<b>Ownership</b> <Ownrsh>	[0..1]	±		59

#### 5.4.5.2.6.3.2.2.1 NameAndAddress <NmAndAdr>

*Presence:* [1..1]

*Definition:* Name and address of the party.

**NameAndAddress <NmAndAdr>** contains the following elements (see ["PersonName3"](#) on page 143 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]	CodeSet		144
	FirstName <FrstNm>	[1..1]	Text		144
	Surname <Snm>	[1..1]	Text		144
	Address <Adr>	[0..1]			145
	AddressType <AdrTp>	[0..1]	CodeSet		145
	AddressLine <AdrLine>	[0..5]	Text		145
	StreetName <StrtNm>	[0..1]	Text		145
	BuildingNumber <BldgNb>	[0..1]	Text		146
	PostBox <PstBx>	[0..1]	Text		146
	PostCode <PstCd>	[0..1]	Text		146
	TownName <TwnNm>	[0..1]	Text		146
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		146
	Country <Ctry>	[1..1]	CodeSet	C2	146

#### 5.4.5.2.6.3.2.2.2 EmailAddress <EmailAdr>

*Presence:* [0..1]

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

*Datatype:* ["Max256Text"](#) on page 171

**5.4.5.2.6.3.2.2.3 Identification <Id>***Presence:* [1..1]*Definition:* Natural person identification details.**Identification <Id>** contains the following elements (see "[NaturalPersonIdentification1](#)" on page 111 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		112
	IdentificationType <IdTp>	[0..1]			112
{Or	Code <Cd>	[1..1]	CodeSet		112
Or}	Proprietary <Prtry>	[1..1]	±		113

**5.4.5.2.6.3.2.2.4 Nationality <Ntlty>***Presence:* [0..1]*Definition:* Nationality of the person.*Impacted by:* C2 "Country"*Datatype:* "[CountryCode](#)" on page 161**Constraints**

- **Country**

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

**5.4.5.2.6.3.2.2.5 DateAndPlaceOfBirth <DtAndPlcOfBirth>***Presence:* [0..1]*Definition:* Date on which and place at which a person is born.**DateAndPlaceOfBirth <DtAndPlcOfBirth>** contains the following elements (see "[DateAndPlaceOfBirth2](#)" on page 111 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BirthDate <BirthDt>	[1..1]	Date		111
	ProvinceOfBirth <PrvcOfBirth>	[0..1]	Text		111
	CityOfBirth <CityOfBirth>	[0..1]	Text		111
	CountryOfBirth <CtryOfBirth>	[0..1]	CodeSet	C2	111

**5.4.5.2.6.3.2.2.6 InvestorType <InvstrTp>***Presence:* [0..1]*Definition:* Type of investor.

**InvestorType <InvstrTp>** contains one of the following elements (see "InvestorType1Choice" on page 109 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		109
Or}	Proprietary <Prtry>	[1..1]	±		110

#### 5.4.5.2.6.3.2.2.7 Ownership <Ownrsh>

*Presence:* [0..1]

*Definition:* Provides information about the ownership on an asset.

**Ownership <Ownrsh>** contains the following elements (see "Ownership1" on page 108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnershipType <OwnrshTp>	[0..1]			108
{Or	Code <Cd>	[1..1]	CodeSet		108
Or}	Proprietary <Prtry>	[1..1]	±		109
	OwnershipPercentage <OwnrshPctg>	[0..1]	Rate		109
	UsufructPercentage <UsfrctPctg>	[0..1]	Rate		109

#### 5.4.5.2.6.3.3 ShareholdingBalance <ShrhldgBal>

*Presence:* [1..\*]

*Definition:* Detailed shareholding balance information for an account.

**ShareholdingBalance <ShrhldgBal>** contains the following **ShareholdingBalance1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ShareholdingType</b> <ShrhldgTp>	[1..1]	CodeSet		59
	<b>Quantity</b> <Qty>	[1..1]	±		60
	<b>InitialDateOfShareholding</b> <InitlDtOfShrhldg>	[0..1]	±		60
	<b>ThirdParty</b> <ThrdPty>	[0..*]			61
	<b>Role</b> <Role>	[1..1]	±		61
	<b>Identification</b> <Id>	[1..1]			61
{Or	<b>LegalPerson</b> <LglPrsn>	[1..1]	±		62
Or}	<b>NaturalPerson</b> <NtrlPrsn>	[1..1]	±		62
	<b>SupplementaryData</b> <SplmtryData>	[0..*]	±	C9	63

#### 5.4.5.2.6.3.3.1 ShareholdingType <ShrhldgTp>

*Presence:* [1..1]

*Definition:* Identifies the category of shareholding.

*Datatype:* "ShareholdingType1Code" on page 165

CodeName	Name	Definition
BENE	BeneficialShareholding	Shares are held on behalf of the beneficial owner.  Usage: this type should be used to report assets the intermediary holds on behalf of a final beneficial owner.
NOMI	NomineeShareholding	Shares are held on behalf of an intermediary.  Usage: this type should be used to report assets the intermediary holds on behalf of another intermediary.
OOAC	OnOwnAccount	Shares are held by the responding intermediary for its own account.  Usage: this type should only be used to report the intermediary's own assets if and when the intermediary commingles them with the one of their clients. Within jurisdictions where commingling is not allowed, this type should not be used.
UKWN	Unknown	Shareholding type is unknown.  Usage: this type should be used when the intermediary's client hasn't been classified.

#### 5.4.5.2.6.3.3.2 Quantity <Qty>

*Presence:* [1..1]

*Definition:* Number of shares of this type of shareholding or with this date of shareholding held by the account owner.

**Quantity <Qty>** contains one of the following elements (see "[FinancialInstrumentQuantity18Choice](#)" on page 158 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		158
Or}	FaceAmount <FaceAmt>	[1..1]	Amount		159

#### 5.4.5.2.6.3.3.3 InitialDateOfShareholding <InitIDtOfShrhldg>

*Presence:* [0..1]

*Definition:* Date as from when the shares have been held by the shareholder on its account.

**InitialDateOfShareholding <InitIDtOfShrhldg>** contains one of the following elements (see "DateFormat57Choice" on page 94 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		94
Or}	DateCode <DtCd>	[1..1]			94
{Or	Code <Cd>	[1..1]	CodeSet		94
Or}	Proprietary <Prtry>	[1..1]	±		95

#### 5.4.5.2.6.3.3.4 ThirdParty <ThrdPty>

*Presence:* [0..\*]

*Definition:* Third party who is authorised to take specific actions on behalf of the shareholder.

**ThirdParty <ThrdPty>** contains the following **PartyIdentification218** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Role &lt;Role&gt;</b>	[1..1]	±		61
	<b>Identification &lt;Id&gt;</b>	[1..1]			61
{Or	<b>LegalPerson &lt;LglPrsn&gt;</b>	[1..1]	±		62
Or}	<b>NaturalPerson &lt;NtrlPrsn&gt;</b>	[1..1]	±		62

#### 5.4.5.2.6.3.3.4.1 Role <Role>

*Presence:* [1..1]

*Definition:* Role played by the third party.

**Role <Role>** contains one of the following elements (see "PartyRole6Choice" on page 113 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		113
Or}	Proprietary <Prtry>	[1..1]	±		113

#### 5.4.5.2.6.3.3.4.2 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of the third party.

**Identification <Id>** contains one of the following **PartyIdentification205Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>LegalPerson &lt;LglPrsn&gt;</b>	[1..1]	±		62
Or}	<b>NaturalPerson &lt;NtrlPrsn&gt;</b>	[1..1]	±		62

**5.4.5.2.6.3.3.4.2.1 LegalPerson <LgIPrsn>***Presence:* [1..1]*Definition:* Legal entity.**LegalPerson <LgIPrsn>** contains the following elements (see "[PartyIdentification201](#)" on page 127 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NameAndAddress <NmAndAdr>	[0..1]			127
	Name <Nm>	[1..1]	Text		128
	Address <Adr>	[0..1]			128
	AddressType <AdrTp>	[0..1]	CodeSet		129
	AddressLine <AdrLine>	[0..5]	Text		129
	StreetName <StrtNm>	[0..1]	Text		129
	BuildingNumber <BldgNb>	[0..1]	Text		129
	PostBox <PstBx>	[0..1]	Text		129
	PostCode <PstCd>	[0..1]	Text		129
	TownName <TwnNm>	[0..1]	Text		130
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		130
	Country <Ctry>	[1..1]	CodeSet	C2	130
	Identification <Id>	[1..1]	±		130

**5.4.5.2.6.3.3.4.2.2 NaturalPerson <NtrIPrsn>***Presence:* [1..1]*Definition:* Private person.

**NaturalPerson <NtrlPrsn>** contains the following elements (see "[PartyIdentification202](#)" on page 123 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NameAndAddress <NmAndAdr>	[1..1]			123
	FirstName <FrstNm>	[1..1]	Text		124
	Surname <SrnM>	[1..1]	Text		124
	Address <Adr>	[0..1]			124
	AddressType <AdrTp>	[0..1]	CodeSet		125
	AddressLine <AdrLine>	[0..5]	Text		125
	StreetName <StrtNm>	[0..1]	Text		125
	BuildingNumber <BldgNb>	[0..1]	Text		125
	PostBox <PstBx>	[0..1]	Text		126
	PostCode <PstCd>	[0..1]	Text		126
	TownName <TwnNm>	[0..1]	Text		126
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		126
	Country <Ctry>	[1..1]	CodeSet	C2	126
	Identification <Id>	[1..1]	±		126

#### 5.4.5.2.6.3.3.5 SupplementaryData <SplmtryData>

*Presence:* [0..\*]

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

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

**SupplementaryData <SplmtryData>** contains the following elements (see "[SupplementaryData1](#)" on page 107 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		107
	Envelope <Envlp>	[1..1]	(External Schema)		108

#### 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.

## 5.4.6 SupplementaryData <SplmtryData>

*Presence:* [0..\*]

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

*Impacted by:* C9 "SupplementaryDataRule"

**SupplementaryData <SplmtryData>** contains the following elements (see "SupplementaryData1" on page 107 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		107
	Envelope <Envlp>	[1..1]	(External Schema)		108

### 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.048.001.01** **ShareholderIdentificationDisclosureResponseCancellationAdviceV01**

## 6.1 **MessageDefinition Functionality**

The ShareholdersIdentificationDisclosureResponseCancellationAdvice message is sent by any intermediaries to the recipient designated by the issuer (such as an issuer's agent) in the disclosure request message in order to cancel the shareholder identification disclosure response whether previously sent in a single message or in a set of multipart/paginated response messages.

### Outline

The ShareholderIdentificationDisclosureResponseCancellationAdviceV01 MessageDefinition is composed of 4 MessageBuildingBlocks:

#### A. DisclosureResponseIdentification

Unique identification of the disclosure response for which a cancellation advice is sent.

The same disclosure response identification number is to be used when cancelling a response which is split in multiple messages.

#### B. IssuerDisclosureRequestReference

Official and unique identification assigned to a shareholders identification disclosure request process by the issuer or third party nominated by it and for which a response is sent.

#### C. RespondingIntermediary

Unique identification of the intermediary party responding to the shareholders identification disclosure request.

#### D. SupplementaryData

Additional information that can not 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> <ShrhldrldDsclsrRspnCxlAdvc>	[1..1]			
	<b>DisclosureResponseIdentification</b> <DsclsrRspnld>	[1..1]	Text		67
	<b>IssuerDisclosureRequestReference</b> <IssrDsclsrReqRef>	[1..1]			67
	<b>IssuerDisclosureRequestIdentification</b> <IssrDsclsrReqld>	[1..1]	Text		67
	<b>FinancialInstrumentIdentification</b> <FinInstrmld>	[1..1]	±	C2, C3, C4, C5, C6	67
	<b>ShareholdersDisclosureRecordDate</b> <ShrhldrsDsclsrRcrdDt>	[1..1]	±		68
	<b>RespondingIntermediary</b> <RspndgIntrmy>	[1..1]			69
	<b>Name</b> <Nm>	[1..1]	Text		69
	<b>Identification</b> <Id>	[1..1]	±		69
	<b>SupplementaryData</b> <SplmtryData>	[0..*]	±	C7	70

## 6.3 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 DescriptionPresenceRule

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

### C3 DescriptionUsageRule

Description must be used alone as the last resort.

### C4 ISINGuideline

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

### C5 ISINPresenceRule

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

### C6 OtherIdentificationPresenceRule

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

### C7 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.

## 6.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 6.4.1 DisclosureResponseIdentification <DsclsrRspnId>

*Presence:* [1..1]

*Definition:* Unique identification of the disclosure response for which a cancellation advice is sent.

The same disclosure response identification number is to be used when cancelling a response which is split in multiple messages.

*Datatype:* "Max35Text" on page 172

### 6.4.2 IssuerDisclosureRequestReference <IssrDsclsrReqRef>

*Presence:* [1..1]

*Definition:* Official and unique identification assigned to a shareholders identification disclosure request process by the issuer or third party nominated by it and for which a response is sent.

**IssuerDisclosureRequestReference <IssrDsclsrReqRef>** contains the following **DisclosureRequestIdentification1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>IssuerDisclosureRequestIdentification</b> <IssrDsclsrReqId>	[1..1]	Text		67
	<b>FinancialInstrumentIdentification</b> <FinInstrmId>	[1..1]	±	C2, C3, C4, C5, C6	67
	<b>ShareholdersDisclosureRecordDate</b> <ShrhldrsDsclsrRcrdDt>	[1..1]	±		68

#### 6.4.2.1 IssuerDisclosureRequestIdentification <IssrDsclsrReqId>

*Presence:* [1..1]

*Definition:* Official and unique reference assigned to a shareholders identification disclosure request process by the issuer or third party nominated by him.

*Datatype:* "Max35Text" on page 172

#### 6.4.2.2 FinancialInstrumentIdentification <FinInstrmId>

*Presence:* [1..1]

*Definition:* Identifies the financial instrument.

*Impacted by:* C2 "DescriptionPresenceRule", C3 "DescriptionUsageRule", C4 "ISINGuideline", C5 "ISINPresenceRule", C6 "OtherIdentificationPresenceRule"

**FinancialInstrumentIdentification <FinInstrmId>** contains the following elements (see "SecurityIdentification19" on page 103 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		104
	OtherIdentification <OthrlId>	[0..*]			104
	Identification <Id>	[1..1]	Text		105
	Suffix <Sfx>	[0..1]	Text		105
	Type <Tp>	[1..1]	±		105
	Description <Desc>	[0..1]	Text		105

### 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
```

### 6.4.2.3 ShareholdersDisclosureRecordDate <ShrhldrsDsclsRcrdDt>

*Presence:* [1..1]

*Definition:* Date set by the issuer on which shareholders identity is determined based on the settled positions struck in the books of the Issuer CSD or any other first intermediary at the close of business day.

**ShareholdersDisclosureRecordDate** <ShrHldrsDsclsrRcrdDt> contains one of the following elements (see "DateFormat46Choice" on page 92 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		93
Or}	DateCode <DtCd>	[1..1]			93
{Or	Code <Cd>	[1..1]	CodeSet		93
Or}	Proprietary <Prtry>	[1..1]	±		93

### 6.4.3 RespondingIntermediary <RspndgIntrmy>

*Presence:* [1..1]

*Definition:* Unique identification of the intermediary party responding to the shareholders identification disclosure request.

**RespondingIntermediary** <RspndgIntrmy> contains the following **PartyIdentification215** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Name</b> <Nm>	[1..1]	Text		69
	<b>Identification</b> <Id>	[1..1]	±		69

#### 6.4.3.1 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 171

#### 6.4.3.2 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of the party.

**Identification** <Id> contains one of the following elements (see "PartyIdentification195Choice" on page 114 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C2	114
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		114
Or}	LEI <LEI>	[1..1]	IdentifierSet		115

## 6.4.4 SupplementaryData <SplmtryData>

*Presence:* [0..\*]

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

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

**SupplementaryData <SplmtryData>** contains the following elements (see "[SupplementaryData1](#)" on [page 107](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		107
	Envelope <Envlp>	[1..1]	(External Schema)		108

### 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.049.001.01**

## **ShareholderIdentificationDisclosureResponseStatusAdviceV01**

### 7.1 **MessageDefinition Functionality**

The ShareholdersIdentificationDisclosureResponseStatusAdvice message is sent by an issuer or by a third party nominated by the issuer (such as an issuer's agent) to the intermediary in a custody chain in response to a ShareholderIdentificationDisclosureResponse message or in response to a multipart response report (sent with pagination in multiple messages) in order to report about the acceptance status of the received ShareholderIdentificationDisclosureResponse message/report.

Usage: when the shareholder identification disclosure response is sent in a multipart response report (with several messages), a single response status advice only may be sent for the acceptance status of the whole report.

#### Outline

The ShareholderIdentificationDisclosureResponseStatusAdviceV01 MessageDefinition is composed of 5 MessageBuildingBlocks:

A. DisclosureResponseIdentification

Unique identification of the disclosure response for which the status advice is sent.

B. IssuerDisclosureRequestReference

Official and unique identification assigned to a shareholders identification disclosure request process by the issuer or third party nominated by it and for which a response is sent.

C. RespondingIntermediary

Unique identification of the intermediary party responding to the shareholders identification disclosure request.

D. ResponseReceptionStatus

Acceptance status of the shareholder disclosure Identification Response message/report.

E. SupplementaryData

Additional information that can not 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> <ShrhldrldDsclsrRspnStsAdv>	[1..1]			
	<b>DisclosureResponseIdentification</b> <DsclsrRspnId>	[1..1]	Text		73
	<b>IssuerDisclosureRequestReference</b> <IssrDsclsrReqRef>	[1..1]			73
	<b>IssuerDisclosureRequestIdentification</b> <IssrDsclsrReqId>	[1..1]	Text		74
	<b>FinancialInstrumentIdentification</b> <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	74
	<b>ShareholdersDisclosureRecordDate</b> <ShrhldrsDsclsrRcrdDt>	[1..1]	±		75
	<b>RespondingIntermediary</b> <RspndgIntrmy>	[1..1]			75
	<b>Name</b> <Nm>	[1..1]	Text		75
	<b>Identification</b> <Id>	[1..1]	±		75
	<b>ResponseReceptionStatus</b> <RspnRcptnSts>	[1..1]			76
{Or	<b>Accepted</b> <Acptd>	[1..1]			76
	<b>NoSpecifiedReason</b> <NoSpdfdRsn>	[1..1]	CodeSet		76
Or}	<b>Rejected</b> <Rjctd>	[1..1]			77
{Or	<b>NoSpecifiedReason</b> <NoSpdfdRsn>	[1..1]	CodeSet		77
Or}	<b>Reason</b> <Rsn>	[1..*]		C1	77
	<b>ReasonCode</b> <RsnCd>	[1..1]			78
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		78
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		78
	<b>AdditionalReasonInformation</b> <AddtlRsnInf>	[0..1]	Text		78
	<b>SupplementaryData</b> <SplmtryData>	[0..*]	±	C8	79

## 7.3 Constraints

### C1 AdditionalReasonInformationRule

The AdditionalReasonInformation element must not contain information that can be provided in a structured field unless bilaterally agreed.

### C2 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.

**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 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 DisclosureResponseIdentification <DsclsrRspnId>

*Presence:* [1..1]

*Definition:* Unique identification of the disclosure response for which the status advice is sent.

*Datatype:* "Max35Text" on page 172

### 7.4.2 IssuerDisclosureRequestReference <IssrDsclsrReqRef>

*Presence:* [1..1]

*Definition:* Official and unique identification assigned to a shareholders identification disclosure request process by the issuer or third party nominated by it and for which a response is sent.

**IssuerDisclosureRequestReference <IssrDsclsrReqRef>** contains the following **DisclosureRequestIdentification1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>IssuerDisclosureRequestIdentification</b> <IssrDsclsrReqId>	[1..1]	Text		74
	<b>FinancialInstrumentIdentification</b> <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	74
	<b>ShareholdersDisclosureRecordDate</b> <ShrhldrsDsclsrRcrdDt>	[1..1]	±		75

**7.4.2.1 IssuerDisclosureRequestIdentification <IssrDsclsrReqId>**

*Presence:* [1..1]

*Definition:* Official and unique reference assigned to a shareholders identification disclosure request process by the issuer or third party nominated by him.

*Datatype:* "Max35Text" on page 172

**7.4.2.2 FinancialInstrumentIdentification <FinInstrmId>**

*Presence:* [1..1]

*Definition:* Identifies the financial instrument.

*Impacted by:* C3 "DescriptionPresenceRule", C4 "DescriptionUsageRule", C5 "ISINGuideline", C6 "ISINPresenceRule", C7 "OtherIdentificationPresenceRule"

**FinancialInstrumentIdentification <FinInstrmId>** contains the following elements (see "SecurityIdentification19" on page 103 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		104
	OtherIdentification <OthrlId>	[0..*]			104
	Identification <Id>	[1..1]	Text		105
	Suffix <Sfx>	[0..1]	Text		105
	Type <Tp>	[1..1]	±		105
	Description <Desc>	[0..1]	Text		105

**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

### 7.4.2.3 ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt>

*Presence:* [1..1]

*Definition:* Date set by the issuer on which shareholders identity is determined based on the settled positions struck in the books of the Issuer CSD or any other first intermediary at the close of business day.

**ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt>** contains one of the following elements (see "[DateFormat46Choice](#)" on page 92 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		93
Or}	DateCode <DtCd>	[1..1]			93
{Or	Code <Cd>	[1..1]	CodeSet		93
Or}	Proprietary <Prtry>	[1..1]	±		93

### 7.4.3 RespondingIntermediary <RspndgIntrmy>

*Presence:* [1..1]

*Definition:* Unique identification of the intermediary party responding to the shareholders identification disclosure request.

**RespondingIntermediary <RspndgIntrmy>** contains the following **PartyIdentification215** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Name</b> <Nm>	[1..1]	Text		75
	<b>Identification</b> <Id>	[1..1]	±		75

#### 7.4.3.1 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 171

#### 7.4.3.2 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of the party.

**Identification <Id>** contains one of the following elements (see "PartyIdentification195Choice" on page 114 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C2	114
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		114
Or}	LEI <LEI>	[1..1]	IdentifierSet		115

## 7.4.4 ResponseReceptionStatus <RspnRcptnSts>

*Presence:* [1..1]

*Definition:* Acceptance status of the shareholder disclosure Identification Response message/report.

**ResponseReceptionStatus <RspnRcptnSts>** contains one of the following **ResponseProcessingStatus1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Accepted</b> <Accptd>	[1..1]			76
	<b>NoSpecifiedReason</b> <NoSpcdfRsn>	[1..1]	CodeSet		76
Or}	<b>Rejected</b> <Rjctd>	[1..1]			77
{Or	<b>NoSpecifiedReason</b> <NoSpcdfRsn>	[1..1]	CodeSet		77
Or}	<b>Reason</b> <Rsn>	[1..*]		C1	77
	<b>ReasonCode</b> <RsnCd>	[1..1]			78
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		78
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		78
	<b>AdditionalReasonInformation</b> <AddtlRsnInf>	[0..1]	Text		78

### 7.4.4.1 Accepted <Accptd>

*Presence:* [1..1]

*Definition:* The received message or the multipart received report (sent with pagination in multiple messages) is accepted.

**Accepted <Accptd>** contains the following **AcceptedStatus1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>NoSpecifiedReason</b> <NoSpcdfRsn>	[1..1]	CodeSet		76

#### 7.4.4.1.1 NoSpecifiedReason <NoSpcdfRsn>

*Presence:* [1..1]

*Definition:* Reason not specified.

*Datatype:* "NoReasonCode" on page 164

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

### 7.4.4.2 Rejected <Rjctd>

*Presence:* [1..1]

*Definition:* The received message or the multipart received report (sent with pagination in multiple messages) is rejected.

**Rejected <Rjctd>** contains one of the following **RejectedStatus29Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>NoSpecifiedReason</b> <NoSpcfdRsn>	[1..1]	CodeSet		77
Or}	<b>Reason</b> <Rsn>	[1..*]		C1	77
	<b>ReasonCode</b> <RsnCd>	[1..1]			78
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		78
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		78
	<b>AdditionalReasonInformation</b> <AddtlRsnInf>	[0..1]	Text		78

#### 7.4.4.2.1 NoSpecifiedReason <NoSpcfdRsn>

*Presence:* [1..1]

*Definition:* Reason not specified.

*Datatype:* "NoReasonCode" on page 164

CodeName	Name	Definition
NORE	NoReason	No reason to report or no reason available to report.

#### 7.4.4.2.2 Reason <Rsn>

*Presence:* [1..\*]

*Definition:* Reason for the rejected status.

*Impacted by:* C1 "AdditionalReasonInformationRule"

**Reason <Rsn>** contains the following **RejectedStatusReason29** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ReasonCode</b> <RsnCd>	[1..1]			78
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		78
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		78
	<b>AdditionalReasonInformation</b> <AddtlRsnInf>	[0..1]	Text		78

**Constraints**

- **AdditionalReasonInformationRule**

The AdditionalReasonInformation element must not contain information that can be provided in a structured field unless bilaterally agreed.

**7.4.4.2.2.1 ReasonCode <RsnCd>**

*Presence:* [1..1]

*Definition:* Specifies the reason why the instruction or instruction cancellation has been rejected.

**ReasonCode <RsnCd>** contains one of the following **RejectedReason30Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>Code &lt;Cd&gt;</b>	[1..1]	CodeSet		78
Or}	<b>Proprietary &lt;Prtry&gt;</b>	[1..1]	±		78

**7.4.4.2.2.1.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Standard code to specify the reason why the instruction/cancellation request has a rejected status.

*Datatype:* "RejectionReason52Code" on page 165

CodeName	Name	Definition
IDRI	InvalidDisclosureRequestIdentification	Disclosure request identification is invalid or unknown.
IDRJ	InvalidDisclosureResponseIdentification	Disclosure response identification is invalid or unknown.
SVNO	ServiceNotOffered	Service for which the information was sent is not offered.

**7.4.4.2.2.1.2 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 106 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		106
	Issuer <Issr>	[1..1]	Text		106
	SchemeName <SchmeNm>	[0..1]	Text		106

**7.4.4.2.2.2 AdditionalReasonInformation <AddtlRsnInf>**

*Presence:* [0..1]

*Definition:* Provides additional information about the processed instruction.

---

*Datatype:* "Max350Text" on page 171

---

## 7.4.5 SupplementaryData <SplmtryData>

*Presence:* [0..\*]

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

*Impacted by:* C8 "SupplementaryDataRule"

**SupplementaryData <SplmtryData>** contains the following elements (see "SupplementaryData1" on page 107 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		107
	Envelope <Envlp>	[1..1]	(External Schema)		108

### 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 **semt.001.001.04** **SecuritiesMessageRejectionV04**

## 8.1 **MessageDefinition Functionality**

### Scope

An account servicer, for example, a registrar, transfer agent, first intermediary or custodian bank, sends the SecuritiesMessageRejection message to the sender (for example account owner, an investor, an issuer or its authorised agent), to reject a previously received message on which action cannot be taken.

The message may also be sent by an executing party, for example, transfer agent to the instructing party, for example, investment manager or its authorised representative to reject a previously received message on which action cannot be taken.

### Usage

The SecuritiesMessageRejection message is used for the following reasons:

- the executing party does not recognise the linked reference, so the executing party cannot process the message
- the instructing party should not have sent the message.

Reasons that a receiver does not expect a message include no SLA in place between the Sender and the Receiver.

The sender doesn't comply with minimum requirements to allow processing at first intermediary level (for example for seev.045, seev.001, seev.031).

The SecuritiesMessageRejection message must not be used to reject an instruction message (for example sese.023, seev.004, seev.047, seev.033) that cannot be processed for business reasons, for example, if information is missing in an instruction message or because securities are not available for settlement.

The message should be used with the business Application Header.

### Outline

The SecuritiesMessageRejectionV04 MessageDefinition is composed of 2 MessageBuildingBlocks:

A. RelatedReference

Reference to a linked message that was previously received.

B. Reason

Reason to reject the message.

## 8.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<i>Message root &lt;Document&gt; &lt;SctiesMsgRjctn&gt;</i>	[1..1]			
	<b>RelatedReference</b> <RltdRef>	[1..1]			82
	<b>Reference</b> <Ref>	[1..1]	Text		82
	<b>Referencelssuer</b> <RefIssr>	[0..1]	±		82
	<b>MessageName</b> <MsgNm>	[0..1]	Text		83
	<b>MessageNumber</b> <MsgNb>	[1..1]	±	C3	83
	<b>Reason</b> <Rsn>	[1..1]			83
	<b>Reason</b> <Rsn>	[1..1]	CodeSet		84
	<b>AdditionalInformation</b> <AddtlInf>	[0..1]	Text		84
	<b>LinkedMessage</b> <LkdMsg>	[0..1]			85
{Or	<b>PreviousReference</b> <PrvsRef>	[1..1]			85
	<b>Reference</b> <Ref>	[1..1]	Text		85
	<b>Referencelssuer</b> <RefIssr>	[0..1]	±		86
	<b>MessageName</b> <MsgNm>	[0..1]	Text		86
	<b>MessageNumber</b> <MsgNb>	[1..1]	±	C3	86
Or	<b>OtherReference</b> <OthrRef>	[1..1]			86
	<b>Reference</b> <Ref>	[1..1]	Text		87
	<b>Referencelssuer</b> <RefIssr>	[0..1]	±		87
	<b>MessageName</b> <MsgNm>	[0..1]	Text		87
	<b>MessageNumber</b> <MsgNb>	[1..1]	±	C3	87
Or}	<b>RelatedReference</b> <RltdRef>	[1..1]			88
	<b>Reference</b> <Ref>	[1..1]	Text		88
	<b>Referencelssuer</b> <RefIssr>	[0..1]	±		88
	<b>MessageName</b> <MsgNm>	[0..1]	Text		89
	<b>MessageNumber</b> <MsgNb>	[1..1]	±	C3	89

## 8.3 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 ShortLongNumberRule

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

## 8.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

### 8.4.1 RelatedReference <RltdRef>

*Presence:* [1..1]

*Definition:* Reference to a linked message that was previously received.

**RelatedReference <RltdRef>** contains the following **AdditionalReference14** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Reference</b> <Ref>	[1..1]	Text		82
	<b>Referencelssuer</b> <RefIssr>	[0..1]	±		82
	<b>MessageName</b> <MsgNm>	[0..1]	Text		83
	<b>MessageNumber</b> <MsgNb>	[1..1]	±	C3	83

#### 8.4.1.1 Reference <Ref>

*Presence:* [1..1]

*Definition:* Business reference of a message assigned by the party issuing the message. This reference must be unique amongst all messages of the same name sent by the same party.

*Datatype:* "Max35Text" on page 172

#### 8.4.1.2 Referencelssuer <RefIssr>

*Presence:* [0..1]

*Definition:* Issuer of the reference.

**ReferenceIssuer <RefIssr>** contains one of the following elements (see "[PartyIdentification247Choice](#)" on page 120 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C2	121
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		121
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		121

### 8.4.1.3 MessageName <MsgNm>

*Presence:* [0..1]

*Definition:* Name of a message.

*Datatype:* "[Max35Text](#)" on page 172

### 8.4.1.4 MessageNumber <MsgNb>

*Presence:* [1..1]

*Definition:* Identification of the type of message.

*Impacted by:* [C3 "ShortLongNumberRule"](#)

**MessageNumber <MsgNb>** contains one of the following elements (see "[DocumentNumber5Choice](#)" on page 95 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ShortNumber <ShrtNb>	[1..1]	Text		96
Or	LongNumber <LngNb>	[1..1]	Text		96
Or}	ProprietaryNumber <PrtryNb>	[1..1]	±		96

#### 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.

## 8.4.2 Reason <Rsn>

*Presence:* [1..1]

*Definition:* Reason to reject the message.

**Reason <Rsn>** contains the following **RejectionReason69** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Reason &lt;Rsn&gt;</b>	[1..1]	CodeSet		84
	<b>AdditionalInformation &lt;AddtlInf&gt;</b>	[0..1]	Text		84
	<b>LinkedMessage &lt;LkdMsg&gt;</b>	[0..1]			85
{Or	<b>PreviousReference &lt;PrvsRef&gt;</b>	[1..1]			85
	<b>Reference &lt;Ref&gt;</b>	[1..1]	Text		85
	<b>Referencelssuer &lt;RefIssr&gt;</b>	[0..1]	±		86
	<b>MessageName &lt;MsgNm&gt;</b>	[0..1]	Text		86
	<b>MessageNumber &lt;MsgNb&gt;</b>	[1..1]	±	C3	86
Or	<b>OtherReference &lt;OthrRef&gt;</b>	[1..1]			86
	<b>Reference &lt;Ref&gt;</b>	[1..1]	Text		87
	<b>Referencelssuer &lt;RefIssr&gt;</b>	[0..1]	±		87
	<b>MessageName &lt;MsgNm&gt;</b>	[0..1]	Text		87
	<b>MessageNumber &lt;MsgNb&gt;</b>	[1..1]	±	C3	87
Or}	<b>RelatedReference &lt;RltdRef&gt;</b>	[1..1]			88
	<b>Reference &lt;Ref&gt;</b>	[1..1]	Text		88
	<b>Referencelssuer &lt;RefIssr&gt;</b>	[0..1]	±		88
	<b>MessageName &lt;MsgNm&gt;</b>	[0..1]	Text		89
	<b>MessageNumber &lt;MsgNb&gt;</b>	[1..1]	±	C3	89

#### 8.4.2.1 Reason <Rsn>

*Presence:* [1..1]

*Definition:* Reason to reject the message.

*Datatype:* "MessageRejectedReason2Code" on page 164

CodeName	Name	Definition
NALO	NotAllowedRequest	Sending party is not allowed to send this request.
REFE	InvalidOrUnrecognisedReference	Request contains an invalid or unrecognised business reference.

#### 8.4.2.2 AdditionalInformation <AddtlInf>

*Presence:* [0..1]

*Definition:* Additional information about the rejection reason.

*Datatype:* "Max350Text" on page 171

### 8.4.2.3 LinkedMessage <LkdMsg>

*Presence:* [0..1]

*Definition:* Identification of the invalid or unrecognised reference.

**LinkedMessage <LkdMsg>** contains one of the following **LinkedMessage6Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>PreviousReference</b> <PrvsRef>	[1..1]			85
	<b>Reference</b> <Ref>	[1..1]	Text		85
	<b>ReferenceIssuer</b> <RefIssr>	[0..1]	±		86
	<b>MessageName</b> <MsgNm>	[0..1]	Text		86
	<b>MessageNumber</b> <MsgNb>	[1..1]	±	C3	86
Or	<b>OtherReference</b> <OthrRef>	[1..1]			86
	<b>Reference</b> <Ref>	[1..1]	Text		87
	<b>ReferenceIssuer</b> <RefIssr>	[0..1]	±		87
	<b>MessageName</b> <MsgNm>	[0..1]	Text		87
	<b>MessageNumber</b> <MsgNb>	[1..1]	±	C3	87
Or}	<b>RelatedReference</b> <RltdRef>	[1..1]			88
	<b>Reference</b> <Ref>	[1..1]	Text		88
	<b>ReferenceIssuer</b> <RefIssr>	[0..1]	±		88
	<b>MessageName</b> <MsgNm>	[0..1]	Text		89
	<b>MessageNumber</b> <MsgNb>	[1..1]	±	C3	89

#### 8.4.2.3.1 PreviousReference <PrvsRef>

*Presence:* [1..1]

*Definition:* Linked previous reference.

**PreviousReference <PrvsRef>** contains the following **AdditionalReference14** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Reference</b> <Ref>	[1..1]	Text		85
	<b>ReferenceIssuer</b> <RefIssr>	[0..1]	±		86
	<b>MessageName</b> <MsgNm>	[0..1]	Text		86
	<b>MessageNumber</b> <MsgNb>	[1..1]	±	C3	86

#### 8.4.2.3.1.1 Reference <Ref>

*Presence:* [1..1]

*Definition:* Business reference of a message assigned by the party issuing the message. This reference must be unique amongst all messages of the same name sent by the same party.

*Datatype:* "Max35Text" on page 172

#### 8.4.2.3.1.2 Referencelssuer <RefIssr>

*Presence:* [0..1]

*Definition:* Issuer of the reference.

**Referencelssuer <RefIssr>** contains one of the following elements (see "PartyIdentification247Choice" on page 120 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C2	121
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		121
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		121

#### 8.4.2.3.1.3 MessageName <MsgNm>

*Presence:* [0..1]

*Definition:* Name of a message.

*Datatype:* "Max35Text" on page 172

#### 8.4.2.3.1.4 MessageNumber <MsgNb>

*Presence:* [1..1]

*Definition:* Identification of the type of message.

*Impacted by:* C3 "ShortLongNumberRule"

**MessageNumber <MsgNb>** contains one of the following elements (see "DocumentNumber5Choice" on page 95 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ShortNumber <ShrtNb>	[1..1]	Text		96
Or	LongNumber <LngNb>	[1..1]	Text		96
Or}	ProprietaryNumber <PrtryNb>	[1..1]	±		96

#### 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.

#### 8.4.2.3.2 OtherReference <OthrRef>

*Presence:* [1..1]

*Definition:* Linked other reference.

**OtherReference <OthrRef>** contains the following **AdditionalReference14** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Reference</b> <Ref>	[1..1]	Text		87
	<b>Referencelssuer</b> <RefIssr>	[0..1]	±		87
	<b>MessageName</b> <MsgNm>	[0..1]	Text		87
	<b>MessageNumber</b> <MsgNb>	[1..1]	±	C3	87

#### 8.4.2.3.2.1 Reference <Ref>

*Presence:* [1..1]

*Definition:* Business reference of a message assigned by the party issuing the message. This reference must be unique amongst all messages of the same name sent by the same party.

*Datatype:* "Max35Text" on page 172

#### 8.4.2.3.2.2 Referencelssuer <RefIssr>

*Presence:* [0..1]

*Definition:* Issuer of the reference.

**Referencelssuer <RefIssr>** contains one of the following elements (see "PartyIdentification247Choice" on page 120 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C2	121
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		121
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		121

#### 8.4.2.3.2.3 MessageName <MsgNm>

*Presence:* [0..1]

*Definition:* Name of a message.

*Datatype:* "Max35Text" on page 172

#### 8.4.2.3.2.4 MessageNumber <MsgNb>

*Presence:* [1..1]

*Definition:* Identification of the type of message.

*Impacted by:* C3 "ShortLongNumberRule"

**MessageNumber <MsgNb>** contains one of the following elements (see "[DocumentNumber5Choice](#)" on page 95 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ShortNumber <ShrtNb>	[1..1]	Text		96
Or	LongNumber <LngNb>	[1..1]	Text		96
Or}	ProprietaryNumber <PrtryNb>	[1..1]	±		96

#### 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.

#### 8.4.2.3.3 RelatedReference <RltdRef>

*Presence:* [1..1]

*Definition:* Linked related reference.

**RelatedReference <RltdRef>** contains the following **AdditionalReference14** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Reference &lt;Ref&gt;</b>	[1..1]	Text		88
	<b>Referencelssuer &lt;RefIssr&gt;</b>	[0..1]	±		88
	<b>MessageName &lt;MsgNm&gt;</b>	[0..1]	Text		89
	<b>MessageNumber &lt;MsgNb&gt;</b>	[1..1]	±	C3	89

#### 8.4.2.3.3.1 Reference <Ref>

*Presence:* [1..1]

*Definition:* Business reference of a message assigned by the party issuing the message. This reference must be unique amongst all messages of the same name sent by the same party.

*Datatype:* "[Max35Text](#)" on page 172

#### 8.4.2.3.3.2 Referencelssuer <RefIssr>

*Presence:* [0..1]

*Definition:* Issuer of the reference.

**Referencelssuer <RefIssr>** contains one of the following elements (see "[PartyIdentification247Choice](#)" on page 120 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C2	121
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		121
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		121

**8.4.2.3.3.3 MessageName <MsgNm>**

*Presence:* [0..1]

*Definition:* Name of a message.

*Datatype:* "Max35Text" on page 172

**8.4.2.3.3.4 MessageNumber <MsgNb>**

*Presence:* [1..1]

*Definition:* Identification of the type of message.

*Impacted by:* C3 "ShortLongNumberRule"

**MessageNumber <MsgNb>** contains one of the following elements (see "DocumentNumber5Choice" on page 95 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ShortNumber <ShrtNb>	[1..1]	Text		96
Or	LongNumber <LngNb>	[1..1]	Text		96
Or}	ProprietaryNumber <PrtryNb>	[1..1]	±		96

**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.

## 9 Message Items Types

### 9.1 MessageComponents

#### 9.1.1 Address

##### 9.1.1.1 NameAndAddress17

*Definition:* Information that locates and identifies a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		90
	Address <Adr>	[0..1]			90
	AddressType <AdrTp>	[0..1]	CodeSet		91
	AddressLine <AdrLine>	[0..5]	Text		91
	StreetName <StrtNm>	[0..1]	Text		91
	BuildingNumber <BldgNb>	[0..1]	Text		91
	PostBox <PstBx>	[0..1]	Text		92
	PostCode <PstCd>	[0..1]	Text		92
	TownName <TwnNm>	[0..1]	Text		92
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		92
	Country <Ctry>	[1..1]	CodeSet	C2	92

##### 9.1.1.1.1 Name <Nm>

*Presence:* [1..1]

*Definition:* Name by which a party is known and which is usually used to identify that party.

*Datatype:* "Max350Text" on page 171

##### 9.1.1.1.2 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		91
	AddressLine <AdrLine>	[0..5]	Text		91
	StreetName <StrtNm>	[0..1]	Text		91
	BuildingNumber <BldgNb>	[0..1]	Text		91
	PostBox <PstBx>	[0..1]	Text		92
	PostCode <PstCd>	[0..1]	Text		92
	TownName <TwnNm>	[0..1]	Text		92
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		92
	Country <Ctry>	[1..1]	CodeSet	C2	92

#### 9.1.1.1.2.1 AddressType <AdrTp>

*Presence:* [0..1]

*Definition:* Identifies the nature of the postal address.

*Datatype:* "AddressType2Code" on page 160

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.

#### 9.1.1.1.2.2 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 172

#### 9.1.1.1.2.3 StreetName <StrtNm>

*Presence:* [0..1]

*Definition:* Name of a street or thoroughfare.

*Datatype:* "Max70Text" on page 172

#### 9.1.1.1.2.4 BuildingNumber <BldgNb>

*Presence:* [0..1]

*Definition:* Number that identifies the position of a building on a street.

*Datatype:* "Max16Text" on page 171

#### 9.1.1.1.2.5 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 171

#### 9.1.1.1.2.6 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 171

#### 9.1.1.1.2.7 TownName <TwnNm>

*Presence:* [0..1]

*Definition:* Name of a built-up area, with defined boundaries, and a local government.

*Datatype:* "Max35Text" on page 172

#### 9.1.1.1.2.8 CountrySubDivision <CtrySubDvsn>

*Presence:* [0..1]

*Definition:* Identifies a subdivision of a country for example, state, region, county.

*Datatype:* "Max35Text" on page 172

#### 9.1.1.1.2.9 Country <Ctry>

*Presence:* [1..1]

*Definition:* Nation with its own government.

*Impacted by:* C2 "Country"

*Datatype:* "CountryCode" on page 161

#### Constraints

- **Country**

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

## 9.1.2 Date Time

### 9.1.2.1 DateFormat46Choice

*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]	±		93
Or}	DateCode <DtCd>	[1..1]			93
{Or	Code <Cd>	[1..1]	CodeSet		93
Or}	Proprietary <Prtry>	[1..1]	±		93

**9.1.2.1.1 Date <Dt>**

*Presence:* [1..1]

*Definition:* Date expressed as a calendar date.

**Date <Dt>** contains one of the following elements (see "[DateAndDateTime2Choice](#)" on page 95 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		95
Or}	DateTime <DtTm>	[1..1]	DateTime		95

**9.1.2.1.2 DateCode <DtCd>**

*Presence:* [1..1]

*Definition:* Specifies the type of date.

**DateCode <DtCd>** contains one of the following **DateCode20Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		93
Or}	Proprietary <Prtry>	[1..1]	±		93

**9.1.2.1.2.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Standard code to indicate the date is unknown.

*Datatype:* "[DateType1Code](#)" on page 161

CodeName	Name	Definition
UKWN	Unknown	Date is unknown by the sender or has not been established.

**9.1.2.1.2.2 Proprietary <Prtry>**

*Presence:* [1..1]

*Definition:* Proprietary identification of the type of date.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification30](#)" on page 106 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		106
	Issuer <Issr>	[1..1]	Text		106
	SchemeName <SchmeNm>	[0..1]	Text		106

### 9.1.2.2 DateFormat57Choice

*Definition:* Provides the date.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		94
Or}	DateCode <DtCd>	[1..1]			94
{Or	Code <Cd>	[1..1]	CodeSet		94
Or}	Proprietary <Prtry>	[1..1]	±		95

#### 9.1.2.2.1 Date <Dt>

*Presence:* [1..1]

*Definition:* Date expressed as a calendar date.

*Datatype:* "[ISODate](#)" on page 167

#### 9.1.2.2.2 DateCode <DtCd>

*Presence:* [1..1]

*Definition:* Date is expressed using a code.

**DateCode <DtCd>** contains one of the following **DateCode20Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		94
Or}	Proprietary <Prtry>	[1..1]	±		95

#### 9.1.2.2.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Standard code to indicate the date is unknown.

*Datatype:* "[DateType1Code](#)" on page 161

CodeName	Name	Definition
UKWN	Unknown	Date is unknown by the sender or has not been established.

**9.1.2.2.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Proprietary identification of the type of date.**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification30](#)" on page 106 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		106
	Issuer <Issr>	[1..1]	Text		106
	SchemeName <SchmeNm>	[0..1]	Text		106

**9.1.2.3 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		95
Or}	DateTime <DtTm>	[1..1]	DateTime		95

**9.1.2.3.1 Date <Dt>***Presence:* [1..1]*Definition:* Specified date.*Datatype:* "[ISODate](#)" on page 167**9.1.2.3.2 DateTime <DtTm>***Presence:* [1..1]*Definition:* Specified date and time.*Datatype:* "[ISODatetime](#)" on page 167**9.1.3 Document****9.1.3.1 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		96
Or	LongNumber <LngNb>	[1..1]	Text		96
Or}	ProprietaryNumber <PrtryNb>	[1..1]	±		96

**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.

**9.1.3.1.1 ShortNumber <ShrtNb>**

*Presence:* [1..1]

*Definition:* Message type number of the document referenced.

*Datatype:* "Exact3NumericText" on page 170

**9.1.3.1.2 LongNumber <LngNb>**

*Presence:* [1..1]

*Definition:* MX Message identifier of the referenced document.

*Datatype:* "ISO20022MessageIdentificationText" on page 170

**9.1.3.1.3 ProprietaryNumber <PrtryNb>**

*Presence:* [1..1]

*Definition:* Proprietary document identification.

**ProprietaryNumber <PrtryNb>** contains the following elements (see "GenericIdentification36" on page 106 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		107
	Issuer <Issr>	[1..1]	Text		107
	SchemeName <SchmeNm>	[0..1]	Text		107

**9.1.4 Financial Institution Identification****9.1.4.1 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]	±		96
	MemberIdentification <MmblId>	[1..1]	Text		97

**9.1.4.1.1 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 159 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		159
Or}	Proprietary <Prtry>	[1..1]	Text		159

#### 9.1.4.1.2 MemberIdentification <Mmbld>

*Presence:* [1..1]

*Definition:* Identification of a member of a clearing system.

*Datatype:* "[Max35Text](#)" on page 172

#### 9.1.4.2 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	97
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		97
	LEI <LEI>	[0..1]	IdentifierSet		98
	Name <Nm>	[0..1]	Text		98
	PostalAddress <PstlAdr>	[0..1]	±		98
	Other <Othr>	[0..1]	±		99

##### 9.1.4.2.1 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 168

##### 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.

##### 9.1.4.2.2 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 96 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ClearingSystemIdentification <ClrSysId>	[0..1]	±		96
	MemberIdentification <Mmbld>	[1..1]	Text		97

#### 9.1.4.2.3 LEI <LEI>

*Presence:* [0..1]

*Definition:* Legal entity identifier of the financial institution.

*Datatype:* "[LEIIdentifier](#)" on page 169

#### 9.1.4.2.4 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 171

#### 9.1.4.2.5 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 153 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			154
{Or	Code <Cd>	[1..1]	CodeSet		154
Or}	Proprietary <Prtry>	[1..1]	±		154
	Department <Dept>	[0..1]	Text		154
	SubDepartment <SubDept>	[0..1]	Text		155
	StreetName <StrtNm>	[0..1]	Text		155
	BuildingNumber <BldgNb>	[0..1]	Text		155
	BuildingName <BldgNm>	[0..1]	Text		155
	Floor <Flr>	[0..1]	Text		155
	PostBox <PstBx>	[0..1]	Text		155
	Room <Room>	[0..1]	Text		155
	PostCode <PstCd>	[0..1]	Text		155
	TownName <TwnNm>	[0..1]	Text		156
	TownLocationName <TwnLctnNm>	[0..1]	Text		156
	DistrictName <DstrctNm>	[0..1]	Text		156
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		156
	Country <Ctry>	[0..1]	CodeSet	C2	156
	AddressLine <AdrLine>	[0..7]	Text		156

#### 9.1.4.2.6 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 102 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		102
	SchemeName <SchmeNm>	[0..1]			103
{Or	Code <Cd>	[1..1]	CodeSet		103
Or}	Proprietary <Prtry>	[1..1]	Text		103
	Issuer <Issr>	[0..1]	Text		103

### 9.1.4.3 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		100
	LEI <LEI>	[0..1]	IdentifierSet		100
	Name <Nm>	[0..1]	Text		100
	PostalAddress <PstAdr>	[0..1]	±		100

#### 9.1.4.3.1 Identification <Id>

*Presence:* [0..1]

*Definition:* Unique and unambiguous identification of a branch of a financial institution.

*Datatype:* "Max35Text" on page 172

#### 9.1.4.3.2 LEI <LEI>

*Presence:* [0..1]

*Definition:* Legal entity identification for the branch of the financial institution.

*Datatype:* "LEIIdentifier" on page 169

#### 9.1.4.3.3 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 171

#### 9.1.4.3.4 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 153 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			154
{Or	Code <Cd>	[1..1]	CodeSet		154
Or}	Proprietary <Prtry>	[1..1]	±		154
	Department <Dept>	[0..1]	Text		154
	SubDepartment <SubDept>	[0..1]	Text		155
	StreetName <StrtNm>	[0..1]	Text		155
	BuildingNumber <BldgNb>	[0..1]	Text		155
	BuildingName <BldgNm>	[0..1]	Text		155
	Floor <Flr>	[0..1]	Text		155
	PostBox <PstBx>	[0..1]	Text		155
	Room <Room>	[0..1]	Text		155
	PostCode <PstCd>	[0..1]	Text		155
	TownName <TwnNm>	[0..1]	Text		156
	TownLocationName <TwnLctnNm>	[0..1]	Text		156
	DistrictName <DstrctNm>	[0..1]	Text		156
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		156
	Country <Ctry>	[0..1]	CodeSet	C2	156
	AddressLine <AdrLine>	[0..7]	Text		156

#### 9.1.4.4 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]	±		101
	BranchIdentification <BrnchId>	[0..1]	±		102

##### 9.1.4.4.1 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 97 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C2	97
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		97
	LEI <LEI>	[0..1]	IdentifierSet		98
	Name <Nm>	[0..1]	Text		98
	PostalAddress <PstlAdr>	[0..1]	±		98
	Other <Othr>	[0..1]	±		99

#### 9.1.4.4.2 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 100 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		100
	LEI <LEI>	[0..1]	IdentifierSet		100
	Name <Nm>	[0..1]	Text		100
	PostalAddress <PstlAdr>	[0..1]	±		100

#### 9.1.4.5 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		102
	SchemeName <SchmeNm>	[0..1]			103
{Or	Code <Cd>	[1..1]	CodeSet		103
Or}	Proprietary <Prtry>	[1..1]	Text		103
	Issuer <Issr>	[0..1]	Text		103

##### 9.1.4.5.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification of a person.

*Datatype:* "Max35Text" on page 172

#### 9.1.4.5.2 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		103
Or}	Proprietary <Prtry>	[1..1]	Text		103

##### 9.1.4.5.2.1 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 162

##### 9.1.4.5.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Name of the identification scheme, in a free text form.

*Datatype:* "Max35Text" on page 172

##### 9.1.4.5.3 Issuer <Issr>

*Presence:* [0..1]

*Definition:* Entity that assigns the identification.

*Datatype:* "Max35Text" on page 172

## 9.1.5 Financial Instrument

### 9.1.5.1 SecurityIdentification19

*Definition:* Identification of a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		104
	OtherIdentification <OthrlId>	[0..*]			104
	Identification <Id>	[1..1]	Text		105
	Suffix <Sfx>	[0..1]	Text		105
	Type <Tp>	[1..1]	±		105
	Description <Desc>	[0..1]	Text		105

**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
```

**9.1.5.1.1 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 169

**9.1.5.1.2 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		105
	Suffix <Sfx>	[0..1]	Text		105
	Type <Tp>	[1..1]	±		105

#### 9.1.5.1.2.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of a security.

*Datatype:* "Max35Text" on page 172

#### 9.1.5.1.2.2 Suffix <Sfx>

*Presence:* [0..1]

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

*Datatype:* "Max16Text" on page 171

#### 9.1.5.1.2.3 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of the identification.

**Type <Tp>** contains one of the following elements (see "IdentificationSource3Choice" on page 105 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		106
Or}	Proprietary <Prtry>	[1..1]	Text		106

#### 9.1.5.1.3 Description <Desc>

*Presence:* [0..1]

*Definition:* Textual description of a security instrument.

*Datatype:* "Max140Text" on page 171

## 9.1.6 Identification Information

### 9.1.6.1 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		106
Or}	Proprietary <Prtry>	[1..1]	Text		106

**9.1.6.1.1 Code <Cd>**

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification source, as assigned via a pre-determined code list.

*Datatype:* "ExternalFinancialInstrumentIdentificationType1Code" on page 163

**9.1.6.1.2 Proprietary <Prtry>**

*Presence:* [1..1]

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

*Datatype:* "Max35Text" on page 172

**9.1.6.2 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		106
	Issuer <Issr>	[1..1]	Text		106
	SchemeName <SchmeNm>	[0..1]	Text		106

**9.1.6.2.1 Identification <Id>**

*Presence:* [1..1]

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

*Datatype:* "Exact4AlphaNumericText" on page 170

**9.1.6.2.2 Issuer <Issr>**

*Presence:* [1..1]

*Definition:* Entity that assigns the identification.

*Datatype:* "Max35Text" on page 172

**9.1.6.2.3 SchemeName <SchmeNm>**

*Presence:* [0..1]

*Definition:* Short textual description of the scheme.

*Datatype:* "Max35Text" on page 172

**9.1.6.3 GenericIdentification36**

*Definition:* Identification using a proprietary scheme.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		107
	Issuer <Issr>	[1..1]	Text		107
	SchemeName <SchmeNm>	[0..1]	Text		107

### 9.1.6.3.1 Identification <Id>

*Presence:* [1..1]

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

*Datatype:* "Max35Text" on page 172

### 9.1.6.3.2 Issuer <Issr>

*Presence:* [1..1]

*Definition:* Entity that assigns the identification.

*Datatype:* "Max35Text" on page 172

### 9.1.6.3.3 SchemeName <SchmeNm>

*Presence:* [0..1]

*Definition:* Short textual description of the scheme.

*Datatype:* "Max35Text" on page 172

## 9.1.7 Miscellaneous

### 9.1.7.1 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		107
	Envelope <Envlp>	[1..1]	(External Schema)		108

#### 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.

#### 9.1.7.1.1 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 171

### 9.1.7.1.2 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.

### 9.1.7.2 Ownership1

*Definition:* Provides ownership details of a person on an asset.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnershipType <OwnrshTp>	[0..1]			108
{Or	Code <Cd>	[1..1]	CodeSet		108
Or}	Proprietary <Prtry>	[1..1]	±		109
	OwnershipPercentage <OwnrshPctg>	[0..1]	Rate		109
	UsufructPercentage <UsfrctPctg>	[0..1]	Rate		109

#### 9.1.7.2.1 OwnershipType <OwnrshTp>

*Presence:* [0..1]

*Definition:* Specifies the type of ownership.

**OwnershipType <OwnrshTp>** contains one of the following **OwnershipType3Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		108
Or}	Proprietary <Prtry>	[1..1]	±		109

#### 9.1.7.2.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Owner type expressed as an ISO 20022 code.

*Datatype:* "AccountOwnershipType5Code" on page 160

CodeName	Name	Definition
USUF	Usufructuary	Person having the temporary right to use and derive income or benefit from someone else's property.
OWNR	Owner	A person has full ownership on the asset.
BOWN	BareOwner	A person has bare ownership on the asset.

**9.1.7.2.1.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Owner type expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification30](#)" on page 106 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		106
	Issuer <Issr>	[1..1]	Text		106
	SchemeName <SchmeNm>	[0..1]	Text		106

**9.1.7.2.2 OwnershipPercentage <OwnrshPctg>***Presence:* [0..1]*Definition:* Percentage of ownership that a person has on an asset.*Datatype:* "[PercentageRate](#)" on page 170**9.1.7.2.3 UsufructPercentage <UsfrctPctg>***Presence:* [0..1]*Definition:* Percentage of usufruct that a person has on an asset.*Datatype:* "[PercentageRate](#)" on page 170**9.1.7.3 InvestorType1Choice***Definition:* Choice of format for the investor type.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		109
Or}	Proprietary <Prtry>	[1..1]	±		110

**9.1.7.3.1 Code <Cd>***Presence:* [1..1]*Definition:* Investor type expressed as an ISO 20022 code.*Datatype:* "[Eligibility1Code](#)" on page 162

CodeName	Name	Definition
ELIG	EligibleCounterparty	Eligible customers are the most sophisticated level of investor, able to opt out of some the protections afforded by conduct of business rules.
RETL	RetailClient	Retail customers are the least sophisticated level of investor.

CodeName	Name	Definition
PROF	ProfessionalClient	Professional customers are, for example, investment firms, credit institutions, insurance companies.

### 9.1.7.3.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Investor type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification30](#)" on page 106 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		106
	Issuer <Issr>	[1..1]	Text		106
	SchemeName <SchmeNm>	[0..1]	Text		106

### 9.1.7.4 ActivityIndicator1Choice

*Definition:* Choice of format for the activity indicator.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ISICIdentifier <ISICIdr>	[1..1]	IdentifierSet		110
Or}	ProprietaryIndicator <PrtryInd>	[1..1]	±		110

#### 9.1.7.4.1 ISICIdentifier <ISICIdr>

*Presence:* [1..1]

*Definition:* Activity indicator expressed as an ISIC identifier code.

*Datatype:* "[ISICIdentifier](#)" on page 168

#### 9.1.7.4.2 ProprietaryIndicator <PrtryInd>

*Presence:* [1..1]

*Definition:* Activity indicator expressed as a proprietary indicator code.

**ProprietaryIndicator <PrtryInd>** contains the following elements (see "[GenericIdentification36](#)" on page 106 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		107
	Issuer <Issr>	[1..1]	Text		107
	SchemeName <SchmeNm>	[0..1]	Text		107

### 9.1.7.5 DateAndPlaceOfBirth2

*Definition:* Date and place of birth of a person.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BirthDate <BirthDt>	[1..1]	Date		111
	ProvinceOfBirth <PrvcOfBirth>	[0..1]	Text		111
	CityOfBirth <CityOfBirth>	[0..1]	Text		111
	CountryOfBirth <CtryOfBirth>	[0..1]	CodeSet	C2	111

#### 9.1.7.5.1 BirthDate <BirthDt>

*Presence:* [1..1]

*Definition:* Date on which a person is born.

*Datatype:* "ISODate" on page 167

#### 9.1.7.5.2 ProvinceOfBirth <PrvcOfBirth>

*Presence:* [0..1]

*Definition:* Province where a person was born.

*Datatype:* "Max35Text" on page 172

#### 9.1.7.5.3 CityOfBirth <CityOfBirth>

*Presence:* [0..1]

*Definition:* City where a person was born.

*Datatype:* "Max35Text" on page 172

#### 9.1.7.5.4 CountryOfBirth <CtryOfBirth>

*Presence:* [0..1]

*Definition:* Country where a person was born.

*Impacted by:* C2 "Country"

*Datatype:* "CountryCode" on page 161

#### Constraints

- **Country**

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

### 9.1.7.6 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		112
	IdentificationType <IdTp>	[0..1]			112
{Or	Code <Cd>	[1..1]	CodeSet		112
Or}	Proprietary <Prtry>	[1..1]	±		113

#### 9.1.7.6.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Natural person local identification.

*Datatype:* "Max35Text" on page 172

#### 9.1.7.6.2 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		112
Or}	Proprietary <Prtry>	[1..1]	±		113

#### 9.1.7.6.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of identification expressed as a code.

*Datatype:* "TypeOfIdentification4Code" on page 166

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.

CodeName	Name	Definition
SOCS	SocialSecurityNumber	Number assigned by a social security agency.
TXID	TaxIdentificationNumber	Number assigned by a tax authority to an entity.

#### 9.1.7.6.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of identification expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification30](#)" on page 106 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		106
	Issuer <Issr>	[1..1]	Text		106
	SchemeName <SchmeNm>	[0..1]	Text		106

#### 9.1.7.7 PartyRole6Choice

*Definition:* Choice between a code and or a data source scheme to determine the role of the party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		113
Or}	Proprietary <Prtry>	[1..1]	±		113

##### 9.1.7.7.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Role expressed as a code.

*Datatype:* "[PartyRole2Code](#)" on page 165

CodeName	Name	Definition
DIST	Distributor	Party that act as an wholesaler of funds.
LGRD	LegalGuardian	Party that has been appointed by a legal authority to act on behalf of a person judged to be incapacitated.
DECM	DecisionMaker	Party that is authorised to take investment decisions on behalf of the shareholder.

##### 9.1.7.7.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Role expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification30](#)" on page 106 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		106
	Issuer <Issr>	[1..1]	Text		106
	SchemeName <SchmeNm>	[0..1]	Text		106

### 9.1.7.8 PartyIdentification195Choice

*Definition:* Identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C2	114
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		114
Or}	LEI <LEI>	[1..1]	IdentifierSet		115

#### 9.1.7.8.1 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:* [C2 "AnyBIC"](#)

*Datatype:* "[AnyBICDec2014Identifier](#)" on page 168

#### 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.

#### 9.1.7.8.2 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 106 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		107
	Issuer <Issr>	[1..1]	Text		107
	SchemeName <SchmeNm>	[0..1]	Text		107

**9.1.7.8.3 LEI <LEI>**

*Presence:* [1..1]

*Definition:* Legal entity identifier of the party.

*Datatype:* "LEIIdentifier" on page 169

**9.1.7.9 RequestShareHeldDate1Choice**

*Definition:* Choice between different ways of specifying the method to determine as from when shares have been held by an investor.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	DateCalculationMethod <DtClctnMtd>	[1..1]	CodeSet		115
Or}	DateCalculationDescription <DtClctnDesc>	[1..1]	Text		115

**9.1.7.9.1 DateCalculationMethod <DtClctnMtd>**

*Presence:* [1..1]

*Definition:* Indicates what is the logical method to be used to determine and communicate from which date the shares have been held.

*Datatype:* "DateCalculationMethod1Code" on page 161

CodeName	Name	Definition
FIFO	Fifo	First in, first out.
LIFO	Lifo	Last in, first out.

**9.1.7.9.2 DateCalculationDescription <DtClctnDesc>**

*Presence:* [1..1]

*Definition:* Provides the description on how the date from which the shares have been held should be determined and communicated.

*Datatype:* "Max350Text" on page 171

**9.1.7.10 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		115
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		116

**9.1.7.10.1 PageNumber <PgNb>**

*Presence:* [1..1]

*Definition:* Page number.

*Datatype:* "Max5NumericText" on page 172

### 9.1.7.10.2 LastPageIndicator <LastPgInd>

*Presence:* [1..1]

*Definition:* Indicates the last page.

*Datatype:* One of the following values must be used (see "[YesNoIndicator](#)" on page 169):

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

## 9.1.8 Organisation Identification

### 9.1.8.1 OrganisationIdentification29

*Definition:* Unique and unambiguous way to identify an organisation.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C2	116
	LEI <LEI>	[0..1]	IdentifierSet		116
	Other <Othr>	[0..*]			117
	Identification <Id>	[1..1]	Text		117
	SchemeName <SchmeNm>	[0..1]			117
{Or	Code <Cd>	[1..1]	CodeSet		117
Or}	Proprietary <Prtry>	[1..1]	Text		117
	Issuer </Issr>	[0..1]	Text		117

#### 9.1.8.1.1 AnyBIC <AnyBIC>

*Presence:* [0..1]

*Definition:* Business identification code of the organisation.

*Impacted by:* [C2 "AnyBIC"](#)

*Datatype:* "[AnyBICDec2014Identifier](#)" on page 168

#### 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.

#### 9.1.8.1.2 LEI <LEI>

*Presence:* [0..1]

*Definition:* Legal entity identification as an alternate identification for a party.

*Datatype:* "[LEIIdentifier](#)" on page 169

### 9.1.8.1.3 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		117
	SchemeName <SchmeNm>	[0..1]			117
{Or	Code <Cd>	[1..1]	CodeSet		117
Or}	Proprietary <Prtry>	[1..1]	Text		117
	Issuer <Issr>	[0..1]	Text		117

#### 9.1.8.1.3.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification assigned by an institution.

*Datatype:* "Max35Text" on page 172

#### 9.1.8.1.3.2 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		117
Or}	Proprietary <Prtry>	[1..1]	Text		117

#### 9.1.8.1.3.2.1 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 163

#### 9.1.8.1.3.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Name of the identification scheme, in a free text form.

*Datatype:* "Max35Text" on page 172

#### 9.1.8.1.3.3 Issuer <Issr>

*Presence:* [0..1]

*Definition:* Entity that assigns the identification.

*Datatype:* "Max35Text" on page 172

## 9.1.9 Party Identification

### 9.1.9.1 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		118
	PostalAddress <PstlAdr>	[0..1]	±		118
	Identification <Id>	[0..1]	±		119
	CountryOfResidence <CtryOfRes>	[0..1]	CodeSet	C2	119
	ContactDetails <CtctDtls>	[0..1]	±		120

#### 9.1.9.1.1 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 171

#### 9.1.9.1.2 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 153 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			154
{Or	Code <Cd>	[1..1]	CodeSet		154
Or}	Proprietary <Prtry>	[1..1]	±		154
	Department <Dept>	[0..1]	Text		154
	SubDepartment <SubDept>	[0..1]	Text		155
	StreetName <StrtNm>	[0..1]	Text		155
	BuildingNumber <BldgNb>	[0..1]	Text		155
	BuildingName <BldgNm>	[0..1]	Text		155
	Floor <Flr>	[0..1]	Text		155
	PostBox <PstBx>	[0..1]	Text		155
	Room <Room>	[0..1]	Text		155
	PostCode <PstCd>	[0..1]	Text		155
	TownName <TwnNm>	[0..1]	Text		156
	TownLocationName <TwnLctnNm>	[0..1]	Text		156
	DistrictName <DstrctNm>	[0..1]	Text		156
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		156
	Country <Ctry>	[0..1]	CodeSet	C2	156
	AddressLine <AdrLine>	[0..7]	Text		156

### 9.1.9.1.3 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 139 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	OrganisationIdentification <OrgId>	[1..1]	±		139
Or}	PrivateIdentification <PrvtId>	[1..1]	±		140

### 9.1.9.1.4 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: C2 "Country"

Datatype: "CountryCode" on page 161

#### Constraints

- **Country**

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

#### 9.1.9.1.5 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 146 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]	CodeSet		147
	Name <Nm>	[0..1]	Text		147
	PhoneNumber <PhneNb>	[0..1]	Text		147
	MobileNumber <MobNb>	[0..1]	Text		148
	FaxNumber <FaxNb>	[0..1]	Text		148
	EmailAddress <EmailAdr>	[0..1]	Text		148
	EmailPurpose <EmailPurp>	[0..1]	Text		148
	JobTitle <JobTitl>	[0..1]	Text		148
	Responsibility <Rspnsblty>	[0..1]	Text		148
	Department <Dept>	[0..1]	Text		148
	Other <Othr>	[0..*]			148
	ChannelType <ChanlTp>	[1..1]	Text		149
	Identification <Id>	[0..1]	Text		149
	PreferredMethod <PrefrdMtd>	[0..1]	CodeSet		149

#### 9.1.9.2 PartyIdentification247Choice

Definition: Choice of identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C2	121
Or	ProprietaryIdentification <Prtryld>	[1..1]	±		121
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		121

**9.1.9.2.1 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:* C2 "AnyBIC"

*Datatype:* "AnyBICDec2014Identifier" on page 168

**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.

**9.1.9.2.2 ProprietaryIdentification <Prtryld>**

*Presence:* [1..1]

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

**ProprietaryIdentification <Prtryld>** contains the following elements (see "GenericIdentification36" on page 106 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		107
	Issuer <Issr>	[1..1]	Text		107
	SchemeName <SchmeNm>	[0..1]	Text		107

**9.1.9.2.3 NameAndAddress <NmAndAdr>**

*Presence:* [1..1]

*Definition:* Name and address of a party.

**NameAndAddress <NmAndAdr>** contains the following elements (see "NameAndAddress5" on page 152 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		152
	Address <Adr>	[0..1]	±		152

**9.1.9.3 PartyIdentification198Choice**

*Definition:* Identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NationalRegistrationNumber <NtlRegnNb>	[1..1]	Text		122
Or	LEI <LEI>	[1..1]	IdentifierSet		122
Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C2	122
Or	ClientIdentification <Clntld>	[1..1]	Text		122
Or}	ProprietaryIdentification <Prtryld>	[1..1]	±		122

#### 9.1.9.3.1 NationalRegistrationNumber <NtlRegnNb>

*Presence:* [1..1]

*Definition:* Number assigned by a national registration authority to an entity.

*Datatype:* "Max35Text" on page 172

#### 9.1.9.3.2 LEI <LEI>

*Presence:* [1..1]

*Definition:* Legal entity identifier of the party.

*Datatype:* "LEIIdentifier" on page 169

#### 9.1.9.3.3 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:* C2 "AnyBIC"

*Datatype:* "AnyBICDec2014Identifier" on page 168

#### 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.

#### 9.1.9.3.4 ClientIdentification <Clntld>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification of the client's counterparty.

*Datatype:* "Max50Text" on page 172

#### 9.1.9.3.5 ProprietaryIdentification <Prtryld>

*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 106 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		107
	Issuer <Issr>	[1..1]	Text		107
	SchemeName <SchmeNm>	[0..1]	Text		107

#### 9.1.9.4 PartyIdentification202

*Definition:* Identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NameAndAddress <NmAndAdr>	[1..1]			123
	FirstName <FrstNm>	[1..1]	Text		124
	Surname <SrnM>	[1..1]	Text		124
	Address <Adr>	[0..1]			124
	AddressType <AdrTp>	[0..1]	CodeSet		125
	AddressLine <AdrLine>	[0..5]	Text		125
	StreetName <StrtNm>	[0..1]	Text		125
	BuildingNumber <BldgNb>	[0..1]	Text		125
	PostBox <PstBx>	[0..1]	Text		126
	PostCode <PstCd>	[0..1]	Text		126
	TownName <TwnNm>	[0..1]	Text		126
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		126
	Country <Ctry>	[1..1]	CodeSet	C2	126
	Identification <Id>	[1..1]	±		126

##### 9.1.9.4.1 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		124
	Surname <SrnM>	[1..1]	Text		124
	Address <Adr>	[0..1]			124
	AddressType <AdrTp>	[0..1]	CodeSet		125
	AddressLine <AdrLine>	[0..5]	Text		125
	StreetName <StrtNm>	[0..1]	Text		125
	BuildingNumber <BldgNb>	[0..1]	Text		125
	PostBox <PstBx>	[0..1]	Text		126
	PostCode <PstCd>	[0..1]	Text		126
	TownName <TwnNm>	[0..1]	Text		126
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		126
	Country <Ctry>	[1..1]	CodeSet	C2	126

#### 9.1.9.4.1.1 FirstName <FrstNm>

*Presence:* [1..1]

*Definition:* First name(s) by which a natural person is known.

*Datatype:* "Max350Text" on page 171

#### 9.1.9.4.1.2 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 171

#### 9.1.9.4.1.3 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		125
	AddressLine <AdrLine>	[0..5]	Text		125
	StreetName <StrtNm>	[0..1]	Text		125
	BuildingNumber <BldgNb>	[0..1]	Text		125
	PostBox <PstBx>	[0..1]	Text		126
	PostCode <PstCd>	[0..1]	Text		126
	TownName <TwnNm>	[0..1]	Text		126
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		126
	Country <Ctry>	[1..1]	CodeSet	C2	126

#### 9.1.9.4.1.3.1 AddressType <AdrTp>

*Presence:* [0..1]

*Definition:* Identifies the nature of the postal address.

*Datatype:* "AddressType2Code" on page 160

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.

#### 9.1.9.4.1.3.2 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 172

#### 9.1.9.4.1.3.3 StreetName <StrtNm>

*Presence:* [0..1]

*Definition:* Name of a street or thoroughfare.

*Datatype:* "Max70Text" on page 172

#### 9.1.9.4.1.3.4 BuildingNumber <BldgNb>

*Presence:* [0..1]

*Definition:* Number that identifies the position of a building on a street.

*Datatype:* "Max16Text" on page 171

#### **9.1.9.4.1.3.5 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 171

#### **9.1.9.4.1.3.6 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 171

#### **9.1.9.4.1.3.7 TownName <TwnNm>**

*Presence:* [0..1]

*Definition:* Name of a built-up area, with defined boundaries, and a local government.

*Datatype:* "Max35Text" on page 172

#### **9.1.9.4.1.3.8 CountrySubDivision <CtrySubDvsn>**

*Presence:* [0..1]

*Definition:* Identifies a subdivision of a country for example, state, region, county.

*Datatype:* "Max35Text" on page 172

#### **9.1.9.4.1.3.9 Country <Ctry>**

*Presence:* [1..1]

*Definition:* Nation with its own government.

*Impacted by:* C2 "Country"

*Datatype:* "CountryCode" on page 161

#### **Constraints**

- **Country**

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

#### **9.1.9.4.2 Identification <Id>**

*Presence:* [1..1]

*Definition:* CONCAT

**Identification <Id>** contains the following elements (see "NaturalPersonIdentification1" on page 111 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		112
	IdentificationType <IdTp>	[0..1]			112
{Or	Code <Cd>	[1..1]	CodeSet		112
Or}	Proprietary <Prtry>	[1..1]	±		113

### 9.1.9.5 PartyIdentification201

*Definition:* Identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NameAndAddress <NmAndAdr>	[0..1]			127
	Name <Nm>	[1..1]	Text		128
	Address <Adr>	[0..1]			128
	AddressType <AdrTp>	[0..1]	CodeSet		129
	AddressLine <AdrLine>	[0..5]	Text		129
	StreetName <StrtNm>	[0..1]	Text		129
	BuildingNumber <BldgNb>	[0..1]	Text		129
	PostBox <PstBx>	[0..1]	Text		129
	PostCode <PstCd>	[0..1]	Text		129
	TownName <TwnNm>	[0..1]	Text		130
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		130
	Country <Ctry>	[1..1]	CodeSet	C2	130
	Identification <Id>	[1..1]	±		130

#### 9.1.9.5.1 NameAndAddress <NmAndAdr>

*Presence:* [0..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		128
	Address <Adr>	[0..1]			128
	AddressType <AdrTp>	[0..1]	CodeSet		129
	AddressLine <AdrLine>	[0..5]	Text		129
	StreetName <StrtNm>	[0..1]	Text		129
	BuildingNumber <BldgNb>	[0..1]	Text		129
	PostBox <PstBx>	[0..1]	Text		129
	PostCode <PstCd>	[0..1]	Text		129
	TownName <TwnNm>	[0..1]	Text		130
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		130
	Country <Ctry>	[1..1]	CodeSet	C2	130

#### 9.1.9.5.1.1 Name <Nm>

*Presence:* [1..1]

*Definition:* First name(s) by which a natural person is known.

*Datatype:* "Max350Text" on page 171

#### 9.1.9.5.1.2 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		129
	AddressLine <AdrLine>	[0..5]	Text		129
	StreetName <StrtNm>	[0..1]	Text		129
	BuildingNumber <BldgNb>	[0..1]	Text		129
	PostBox <PstBx>	[0..1]	Text		129
	PostCode <PstCd>	[0..1]	Text		129
	TownName <TwnNm>	[0..1]	Text		130
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		130
	Country <Ctry>	[1..1]	CodeSet	C2	130

**9.1.9.5.1.2.1 AddressType <AdrTp>**

*Presence:* [0..1]

*Definition:* Identifies the nature of the postal address.

*Datatype:* "AddressType2Code" on page 160

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.

**9.1.9.5.1.2.2 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 172

**9.1.9.5.1.2.3 StreetName <StrtNm>**

*Presence:* [0..1]

*Definition:* Name of a street or thoroughfare.

*Datatype:* "Max70Text" on page 172

**9.1.9.5.1.2.4 BuildingNumber <BldgNb>**

*Presence:* [0..1]

*Definition:* Number that identifies the position of a building on a street.

*Datatype:* "Max16Text" on page 171

**9.1.9.5.1.2.5 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 171

**9.1.9.5.1.2.6 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 171

**9.1.9.5.1.2.7 TownName <TwnNm>**

*Presence:* [0..1]

*Definition:* Name of a built-up area, with defined boundaries, and a local government.

*Datatype:* ["Max35Text" on page 172](#)

**9.1.9.5.1.2.8 CountrySubDivision <CtrySubDvsn>**

*Presence:* [0..1]

*Definition:* Identifies a subdivision of a country for example, state, region, county.

*Datatype:* ["Max35Text" on page 172](#)

**9.1.9.5.1.2.9 Country <Ctry>**

*Presence:* [1..1]

*Definition:* Nation with its own government.

*Impacted by:* [C2 "Country"](#)

*Datatype:* ["CountryCode" on page 161](#)

**Constraints****• Country**

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

**9.1.9.5.2 Identification <Id>**

*Presence:* [1..1]

*Definition:* Identification of the party.

**Identification <Id>** contains one of the following elements (see ["PartyIdentification198Choice" on page 121](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NationalRegistrationNumber <NtlRegnNb>	[1..1]	Text		122
Or	LEI <LEI>	[1..1]	IdentifierSet		122
Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C2	122
Or	ClientIdentification <CIntId>	[1..1]	Text		122
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		122

**9.1.9.6 PartyIdentification219**

*Definition:* Identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NameAndAddress <NmAndAdr>	[1..1]			131
	Name <Nm>	[1..1]	Text		132
	Address <Adr>	[0..1]			132
	AddressType <AdrTp>	[0..1]	CodeSet		132
	AddressLine <AdrLine>	[0..5]	Text		132
	StreetName <StrtNm>	[0..1]	Text		133
	BuildingNumber <BldgNb>	[0..1]	Text		133
	PostBox <PstBx>	[0..1]	Text		133
	PostCode <PstCd>	[0..1]	Text		133
	TownName <TwnNm>	[0..1]	Text		133
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		133
	Country <Ctry>	[1..1]	CodeSet	C2	133
	Identification <Id>	[1..1]	±		134
	ContactPerson <CtctPrsn>	[0..1]	±		134

#### 9.1.9.6.1 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		132
	Address <Adr>	[0..1]			132
	AddressType <AdrTp>	[0..1]	CodeSet		132
	AddressLine <AdrLine>	[0..5]	Text		132
	StreetName <StrtNm>	[0..1]	Text		133
	BuildingNumber <BldgNb>	[0..1]	Text		133
	PostBox <PstBx>	[0..1]	Text		133
	PostCode <PstCd>	[0..1]	Text		133
	TownName <TwnNm>	[0..1]	Text		133
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		133
	Country <Ctry>	[1..1]	CodeSet	C2	133

**9.1.9.6.1.1 Name <Nm>***Presence:* [1..1]*Definition:* First name(s) by which a natural person is known.*Datatype:* "Max350Text" on page 171**9.1.9.6.1.2 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		132
	AddressLine <AdrLine>	[0..5]	Text		132
	StreetName <StrtNm>	[0..1]	Text		133
	BuildingNumber <BldgNb>	[0..1]	Text		133
	PostBox <PstBx>	[0..1]	Text		133
	PostCode <PstCd>	[0..1]	Text		133
	TownName <TwnNm>	[0..1]	Text		133
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		133
	Country <Ctry>	[1..1]	CodeSet	C2	133

**9.1.9.6.1.2.1 AddressType <AdrTp>***Presence:* [0..1]*Definition:* Identifies the nature of the postal address.*Datatype:* "AddressType2Code" on page 160

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.

**9.1.9.6.1.2.2 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 172

#### **9.1.9.6.1.2.3 StreetName <StrtNm>**

*Presence:* [0..1]

*Definition:* Name of a street or thoroughfare.

*Datatype:* "Max70Text" on page 172

#### **9.1.9.6.1.2.4 BuildingNumber <BldgNb>**

*Presence:* [0..1]

*Definition:* Number that identifies the position of a building on a street.

*Datatype:* "Max16Text" on page 171

#### **9.1.9.6.1.2.5 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 171

#### **9.1.9.6.1.2.6 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 171

#### **9.1.9.6.1.2.7 TownName <TwnNm>**

*Presence:* [0..1]

*Definition:* Name of a built-up area, with defined boundaries, and a local government.

*Datatype:* "Max35Text" on page 172

#### **9.1.9.6.1.2.8 CountrySubDivision <CtrySubDvsn>**

*Presence:* [0..1]

*Definition:* Identifies a subdivision of a country for example, state, region, county.

*Datatype:* "Max35Text" on page 172

#### **9.1.9.6.1.2.9 Country <Ctry>**

*Presence:* [1..1]

*Definition:* Nation with its own government.

*Impacted by:* C2 "Country"

*Datatype:* "CountryCode" on page 161

**Constraints**

- **Country**

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

**9.1.9.6.2 Identification <Id>**

*Presence:* [1..1]

*Definition:* Identification of the party.

**Identification <Id>** contains one of the following elements (see "[PartyIdentification195Choice](#)" on page 114 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C2	114
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		114
Or}	LEI <LEI>	[1..1]	IdentifierSet		115

**9.1.9.6.3 ContactPerson <CtctPrsn>**

*Presence:* [0..1]

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

**ContactPerson <CtctPrsn>** contains the following elements (see "[ContactIdentification2](#)" on page 142 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]	CodeSet		142
	GivenName <GvnNm>	[0..1]	Text		142
	Name <Nm>	[1..1]	Text		143
	PhoneNumber <PhneNb>	[0..1]	Text		143
	MobileNumber <MobNb>	[0..1]	Text		143
	FaxNumber <FaxNb>	[0..1]	Text		143
	EmailAddress <EmailAdr>	[0..1]	Text		143

**9.1.9.7 PartyIdentification214**

*Definition:* Identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			135
{Or	ProprietaryIdentification <PrtryId>	[1..1]	±		135
Or}	LEI <LEI>	[1..1]	IdentifierSet		136
	RecipientName <RcptNm>	[1..1]	Text		136
	ResponseRecipientAddress <RspnRcptAdr>	[1..1]		C8	136
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C2	137
	PostalAddress <PstlAdr>	[0..1]			137
	AddressType <AdrTp>	[0..1]	CodeSet		137
	AddressLine <AdrLine>	[0..5]	Text		138
	StreetName <StrtNm>	[0..1]	Text		138
	BuildingNumber <BldgNb>	[0..1]	Text		138
	PostBox <PstBx>	[0..1]	Text		138
	PostCode <PstCd>	[0..1]	Text		138
	TownName <TwnNm>	[0..1]	Text		138
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		139
	Country <Ctry>	[1..1]	CodeSet	C2	139
	EmailAddress <EmailAdr>	[0..1]	Text		139
	URLAddress <URLAdr>	[0..1]	Text		139

#### 9.1.9.7.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of the party to which the disclosure response must be sent.

**Identification <Id>** contains one of the following **PartyIdentification203Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ProprietaryIdentification <PrtryId>	[1..1]	±		135
Or}	LEI <LEI>	[1..1]	IdentifierSet		136

##### 9.1.9.7.1.1 ProprietaryIdentification <PrtryId>

*Presence:* [1..1]

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

**ProprietaryIdentification <Prtryld>** contains the following elements (see "[GenericIdentification36](#)" on page 106 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		107
	Issuer <Issr>	[1..1]	Text		107
	SchemeName <SchmeNm>	[0..1]	Text		107

#### 9.1.9.7.1.2 LEI <LEI>

*Presence:* [1..1]

*Definition:* Legal entity identifier of the party.

*Datatype:* "[LEIIdentifier](#)" on page 169

#### 9.1.9.7.2 RecipientName <RcptNm>

*Presence:* [1..1]

*Definition:* Name of the party to which the disclosure response must be sent.

*Datatype:* "[Max350Text](#)" on page 171

#### 9.1.9.7.3 ResponseRecipientAddress <RspnRcptAdr>

*Presence:* [1..1]

*Definition:* Address of the party to which the disclosure response must be sent.

*Impacted by:* [C8 "PartyAddressRule"](#)

**ResponseRecipientAddress <RspnRcptAdr>** contains the following **PartyAddress1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C2	137
	PostalAddress <PstlAdr>	[0..1]			137
	AddressType <AdrTp>	[0..1]	CodeSet		137
	AddressLine <AdrLine>	[0..5]	Text		138
	StreetName <StrtNm>	[0..1]	Text		138
	BuildingNumber <BldgNb>	[0..1]	Text		138
	PostBox <PstBx>	[0..1]	Text		138
	PostCode <PstCd>	[0..1]	Text		138
	TownName <TwnNm>	[0..1]	Text		138
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		139
	Country <Ctry>	[1..1]	CodeSet	C2	139
	EmailAddress <EmailAdr>	[0..1]	Text		139
	URLAddress <URLAdr>	[0..1]	Text		139

**Constraints**

- **PartyAddressRule**

At least one message element in the list (AnyBic, PostalAddress, EmailAddress, URLAddress) must be present. More than one message element in the list may be present.

Following Must be True

/AnyBIC Must be present

Or /PostalAddress Must be present

Or /EmailAddress Must be present

Or /URLAddress Must be present

**9.1.9.7.3.1 AnyBIC <AnyBIC>**

*Presence:* [0..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:* C2 "AnyBIC"

*Datatype:* "AnyBICDec2014Identifier" on page 168

**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.

**9.1.9.7.3.2 PostalAddress <PstlAdr>**

*Presence:* [0..1]

*Definition:* Postal address of the party.

**PostalAddress <PstlAdr>** contains the following **PostalAddress26** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		137
	AddressLine <AdrLine>	[0..5]	Text		138
	StreetName <StrtNm>	[0..1]	Text		138
	BuildingNumber <BldgNb>	[0..1]	Text		138
	PostBox <PstBx>	[0..1]	Text		138
	PostCode <PstCd>	[0..1]	Text		138
	TownName <TwnNm>	[0..1]	Text		138
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		139
	Country <Ctry>	[1..1]	CodeSet	C2	139

**9.1.9.7.3.2.1 AddressType <AdrTp>**

*Presence:* [0..1]

*Definition:* Identifies the nature of the postal address.

*Datatype:* "AddressType2Code" on page 160

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.

#### 9.1.9.7.3.2.2 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 172

#### 9.1.9.7.3.2.3 StreetName <StrtNm>

*Presence:* [0..1]

*Definition:* Name of a street or thoroughfare.

*Datatype:* "Max70Text" on page 172

#### 9.1.9.7.3.2.4 BuildingNumber <BldgNb>

*Presence:* [0..1]

*Definition:* Number that identifies the position of a building on a street.

*Datatype:* "Max16Text" on page 171

#### 9.1.9.7.3.2.5 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 171

#### 9.1.9.7.3.2.6 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 171

#### 9.1.9.7.3.2.7 TownName <TwnNm>

*Presence:* [0..1]

*Definition:* Name of a built-up area, with defined boundaries, and a local government.

*Datatype:* "Max35Text" on page 172

**9.1.9.7.3.2.8 CountrySubDivision <CtrySubDvsn>**

*Presence:* [0..1]

*Definition:* Identifies a subdivision of a country for example, state, region, county.

*Datatype:* "Max35Text" on page 172

**9.1.9.7.3.2.9 Country <Ctry>**

*Presence:* [1..1]

*Definition:* Nation with its own government.

*Impacted by:* C2 "Country"

*Datatype:* "CountryCode" on page 161

**Constraints**

- **Country**

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

**9.1.9.7.3.3 EmailAddress <EmailAdr>**

*Presence:* [0..1]

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

*Datatype:* "Max256Text" on page 171

**9.1.9.7.3.4 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 171

**9.1.9.8 Party38Choice**

*Definition:* Nature or use of the account.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	OrganisationIdentification <OrgId>	[1..1]	±		139
Or}	PrivateIdentification <PrvtId>	[1..1]	±		140

**9.1.9.8.1 OrganisationIdentification <OrgId>**

*Presence:* [1..1]

*Definition:* Unique and unambiguous way to identify an organisation.

**OrganisationIdentification <OrgId>** contains the following elements (see "[OrganisationIdentification29](#)" on page 116 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C2	116
	LEI <LEI>	[0..1]	IdentifierSet		116
	Other <Othr>	[0..*]			117
	Identification <Id>	[1..1]	Text		117
	SchemeName <SchmeNm>	[0..1]			117
{Or	Code <Cd>	[1..1]	CodeSet		117
Or}	Proprietary <Prtry>	[1..1]	Text		117
	Issuer <Issr>	[0..1]	Text		117

#### 9.1.9.8.2 PrivateIdentification <PrvtId>

*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 149 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DateAndPlaceOfBirth <DtAndPlcOfBirth>	[0..1]			150
	BirthDate <BirthDt>	[1..1]	Date		150
	ProvinceOfBirth <PrvcOfBirth>	[0..1]	Text		150
	CityOfBirth <CityOfBirth>	[1..1]	Text		150
	CountryOfBirth <CtryOfBirth>	[1..1]	CodeSet	C2	151
	Other <Othr>	[0..*]			151
	Identification <Id>	[1..1]	Text		151
	SchemeName <SchmeNm>	[0..1]			151
{Or	Code <Cd>	[1..1]	CodeSet		152
Or}	Proprietary <Prtry>	[1..1]	Text		152
	Issuer <Issr>	[0..1]	Text		152

#### 9.1.9.9 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	C2	141
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		141
Or	NameAndAddress <NmAndAdr>	[1..1]	±		141
Or}	LEI <LEI>	[1..1]	IdentifierSet		142

#### 9.1.9.9.1 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:* C2 "AnyBIC"

*Datatype:* "AnyBICDec2014Identifier" on page 168

#### 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.

#### 9.1.9.9.2 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 106 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		107
	Issuer <Issr>	[1..1]	Text		107
	SchemeName <SchmeNm>	[0..1]	Text		107

#### 9.1.9.9.3 NameAndAddress <NmAndAdr>

*Presence:* [1..1]

*Definition:* Name and address of a party.

**NameAndAddress <NmAndAdr>** contains the following elements (see ["NameAndAddress5" on page 152](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		152
	Address <Adr>	[0..1]	±		152

#### 9.1.9.9.4 LEI <LEI>

*Presence:* [1..1]

*Definition:* Legal entity identification of the party.

*Datatype:* ["LEIIdentifier" on page 169](#)

## 9.1.10 Person Identification

### 9.1.10.1 ContactIdentification2

*Definition:* Information needed to contact a physical person.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]	CodeSet		142
	GivenName <GvnNm>	[0..1]	Text		142
	Name <Nm>	[1..1]	Text		143
	PhoneNumber <PhneNb>	[0..1]	Text		143
	MobileNumber <MobNb>	[0..1]	Text		143
	FaxNumber <FaxNb>	[0..1]	Text		143
	EmailAddress <EmailAdr>	[0..1]	Text		143

#### 9.1.10.1.1 NamePrefix <NmPrfx>

*Presence:* [0..1]

*Definition:* Specifies the terms used to formally address a person.

*Datatype:* ["NamePrefix1Code" on page 164](#)

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.

#### 9.1.10.1.2 GivenName <GvnNm>

*Presence:* [0..1]

*Definition:* First name of a person.

*Datatype:* "Max35Text" on page 172

#### **9.1.10.1.3 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 172

#### **9.1.10.1.4 PhoneNumber <PhneNb>**

*Presence:* [0..1]

*Definition:* Collection of information that identifies a phone number, as defined by telecom services.

*Datatype:* "PhoneNumber" on page 173

#### **9.1.10.1.5 MobileNumber <MobNb>**

*Presence:* [0..1]

*Definition:* Collection of information that identifies a mobile phone number, as defined by telecom services.

*Datatype:* "PhoneNumber" on page 173

#### **9.1.10.1.6 FaxNumber <FaxNb>**

*Presence:* [0..1]

*Definition:* Collection of information that identifies a FAX number, as defined by telecom services.

*Datatype:* "PhoneNumber" on page 173

#### **9.1.10.1.7 EmailAddress <EmailAdr>**

*Presence:* [0..1]

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

*Datatype:* "Max256Text" on page 171

#### **9.1.10.2 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		144
	FirstName <FrstNm>	[1..1]	Text		144
	Surname <SrnM>	[1..1]	Text		144
	Address <Adr>	[0..1]			145
	AddressType <AdrTp>	[0..1]	CodeSet		145
	AddressLine <AdrLine>	[0..5]	Text		145
	StreetName <StrtNm>	[0..1]	Text		145
	BuildingNumber <BldgNb>	[0..1]	Text		146
	PostBox <PstBx>	[0..1]	Text		146
	PostCode <PstCd>	[0..1]	Text		146
	TownName <TwnNm>	[0..1]	Text		146
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		146
	Country <Ctry>	[1..1]	CodeSet	C2	146

#### 9.1.10.2.1 NamePrefix <NmPrfx>

*Presence:* [0..1]

*Definition:* Prefix, as a title before a person's name.

*Datatype:* "NamePrefix2Code" on page 164

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).

#### 9.1.10.2.2 FirstName <FrstNm>

*Presence:* [1..1]

*Definition:* First name(s) by which a natural person is known.

*Datatype:* "Max350Text" on page 171

#### 9.1.10.2.3 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 171

**9.1.10.2.4 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		145
	AddressLine <AdrLine>	[0..5]	Text		145
	StreetName <StrtNm>	[0..1]	Text		145
	BuildingNumber <BldgNb>	[0..1]	Text		146
	PostBox <PstBx>	[0..1]	Text		146
	PostCode <PstCd>	[0..1]	Text		146
	TownName <TwnNm>	[0..1]	Text		146
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		146
	Country <Ctry>	[1..1]	CodeSet	C2	146

**9.1.10.2.4.1 AddressType <AdrTp>***Presence:* [0..1]*Definition:* Identifies the nature of the postal address.*Datatype:* "AddressType2Code" on page 160

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.

**9.1.10.2.4.2 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 172**9.1.10.2.4.3 StreetName <StrtNm>***Presence:* [0..1]*Definition:* Name of a street or thoroughfare.

*Datatype:* "Max70Text" on page 172

#### **9.1.10.2.4.4 BuildingNumber <BldgNb>**

*Presence:* [0..1]

*Definition:* Number that identifies the position of a building on a street.

*Datatype:* "Max16Text" on page 171

#### **9.1.10.2.4.5 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 171

#### **9.1.10.2.4.6 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 171

#### **9.1.10.2.4.7 TownName <TwnNm>**

*Presence:* [0..1]

*Definition:* Name of a built-up area, with defined boundaries, and a local government.

*Datatype:* "Max35Text" on page 172

#### **9.1.10.2.4.8 CountrySubDivision <CtrySubDvsn>**

*Presence:* [0..1]

*Definition:* Identifies a subdivision of a country for example, state, region, county.

*Datatype:* "Max35Text" on page 172

#### **9.1.10.2.4.9 Country <Ctry>**

*Presence:* [1..1]

*Definition:* Nation with its own government.

*Impacted by:* C2 "Country"

*Datatype:* "CountryCode" on page 161

#### **Constraints**

- **Country**

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

### **9.1.10.3 Contact4**

*Definition:* Specifies the details of the contact person.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]	CodeSet		147
	Name <Nm>	[0..1]	Text		147
	PhoneNumber <PhneNb>	[0..1]	Text		147
	MobileNumber <MobNb>	[0..1]	Text		148
	FaxNumber <FaxNb>	[0..1]	Text		148
	EmailAddress <EmailAdr>	[0..1]	Text		148
	EmailPurpose <EmailPurp>	[0..1]	Text		148
	JobTitle <JobTitl>	[0..1]	Text		148
	Responsibility <Rspnsblty>	[0..1]	Text		148
	Department <Dept>	[0..1]	Text		148
	Other <Othr>	[0..*]			148
	ChannelType <ChanITp>	[1..1]	Text		149
	Identification <Id>	[0..1]	Text		149
	PreferredMethod <PrefrdMtd>	[0..1]	CodeSet		149

### 9.1.10.3.1 NamePrefix <NmPrfx>

*Presence:* [0..1]

*Definition:* Specifies the terms used to formally address a person.

*Datatype:* "NamePrefix2Code" on page 164

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).

### 9.1.10.3.2 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 171

### 9.1.10.3.3 PhoneNumber <PhneNb>

*Presence:* [0..1]

*Definition:* Collection of information that identifies a phone number, as defined by telecom services.

*Datatype:* "PhoneNumber" on page 173

#### **9.1.10.3.4 MobileNumber <MobNb>**

*Presence:* [0..1]

*Definition:* Collection of information that identifies a mobile phone number, as defined by telecom services.

*Datatype:* "PhoneNumber" on page 173

#### **9.1.10.3.5 FaxNumber <FaxNb>**

*Presence:* [0..1]

*Definition:* Collection of information that identifies a FAX number, as defined by telecom services.

*Datatype:* "PhoneNumber" on page 173

#### **9.1.10.3.6 EmailAddress <EmailAdr>**

*Presence:* [0..1]

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

*Datatype:* "Max2048Text" on page 171

#### **9.1.10.3.7 EmailPurpose <EmailPurp>**

*Presence:* [0..1]

*Definition:* Purpose for which an email address may be used.

*Datatype:* "Max35Text" on page 172

#### **9.1.10.3.8 JobTitle <JobTitl>**

*Presence:* [0..1]

*Definition:* Title of the function.

*Datatype:* "Max35Text" on page 172

#### **9.1.10.3.9 Responsibility <Rspnsblty>**

*Presence:* [0..1]

*Definition:* Role of a person in an organisation.

*Datatype:* "Max35Text" on page 172

#### **9.1.10.3.10 Department <Dept>**

*Presence:* [0..1]

*Definition:* Identification of a division of a large organisation or building.

*Datatype:* "Max70Text" on page 172

#### **9.1.10.3.11 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		149
	Identification <Id>	[0..1]	Text		149

**9.1.10.3.11.1 ChannelType <ChanITp>**

*Presence:* [1..1]

*Definition:* Method used to contact the financial institution's contact for the specific tax region.

*Datatype:* "Max4Text" on page 172

**9.1.10.3.11.2 Identification <Id>**

*Presence:* [0..1]

*Definition:* Communication value such as phone number or email address.

*Datatype:* "Max128Text" on page 170

**9.1.10.3.12 PreferredMethod <PrefrdMtd>**

*Presence:* [0..1]

*Definition:* Preferred method used to reach the contact.

*Datatype:* "PreferredContactMethod1Code" on page 165

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.
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.

**9.1.10.4 PersonIdentification13**

*Definition:* Unique and unambiguous way to identify a person.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DateAndPlaceOfBirth <DtAndPlcOfBirth>	[0..1]			150
	BirthDate <BirthDt>	[1..1]	Date		150
	ProvinceOfBirth <PrvcOfBirth>	[0..1]	Text		150
	CityOfBirth <CityOfBirth>	[1..1]	Text		150
	CountryOfBirth <CtryOfBirth>	[1..1]	CodeSet	C2	151
	Other <Othr>	[0..*]			151
	Identification <Id>	[1..1]	Text		151
	SchemeName <SchmeNm>	[0..1]			151
{Or	Code <Cd>	[1..1]	CodeSet		152
Or}	Proprietary <Prtry>	[1..1]	Text		152
	Issuer </ssr>	[0..1]	Text		152

#### 9.1.10.4.1 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		150
	ProvinceOfBirth <PrvcOfBirth>	[0..1]	Text		150
	CityOfBirth <CityOfBirth>	[1..1]	Text		150
	CountryOfBirth <CtryOfBirth>	[1..1]	CodeSet	C2	151

##### 9.1.10.4.1.1 BirthDate <BirthDt>

*Presence:* [1..1]

*Definition:* Date on which a person is born.

*Datatype:* "ISODate" on page 167

##### 9.1.10.4.1.2 ProvinceOfBirth <PrvcOfBirth>

*Presence:* [0..1]

*Definition:* Province where a person was born.

*Datatype:* "Max35Text" on page 172

##### 9.1.10.4.1.3 CityOfBirth <CityOfBirth>

*Presence:* [1..1]

*Definition:* City where a person was born.

*Datatype:* "Max35Text" on page 172

**9.1.10.4.1.4 CountryOfBirth <CtryOfBirth>**

*Presence:* [1..1]

*Definition:* Country where a person was born.

*Impacted by:* C2 "Country"

*Datatype:* "CountryCode" on page 161

**Constraints**

- **Country**

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

**9.1.10.4.2 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		151
	SchemeName <SchmeNm>	[0..1]			151
{Or	Code <Cd>	[1..1]	CodeSet		152
Or}	Proprietary <Prtry>	[1..1]	Text		152
	Issuer <Issr>	[0..1]	Text		152

**9.1.10.4.2.1 Identification <Id>**

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification of a person.

*Datatype:* "Max35Text" on page 172

**9.1.10.4.2.2 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		152
Or}	Proprietary <Prtry>	[1..1]	Text		152

**9.1.10.4.2.2.1 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 163**9.1.10.4.2.2.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Name of the identification scheme, in a free text form.*Datatype:* "Max35Text" on page 172**9.1.10.4.2.3 Issuer <Issr>***Presence:* [0..1]*Definition:* Entity that assigns the identification.*Datatype:* "Max35Text" on page 172**9.1.11 Postal Address****9.1.11.1 NameAndAddress5***Definition:* Information that locates and identifies a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		152
	Address <Adr>	[0..1]	±		152

**9.1.11.1.1 Name <Nm>***Presence:* [1..1]*Definition:* Name by which a party is known and which is usually used to identify that party.*Datatype:* "Max350Text" on page 171**9.1.11.1.2 Address <Adr>***Presence:* [0..1]*Definition:* Postal address of the party.

**Address <Adr>** contains the following elements (see "[PostalAddress1](#)" on page 156 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		157
	AddressLine <AdrLine>	[0..5]	Text		157
	StreetName <StrtNm>	[0..1]	Text		157
	BuildingNumber <BldgNb>	[0..1]	Text		157
	PostCode <PstCd>	[0..1]	Text		158
	TownName <TwnNm>	[0..1]	Text		158
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		158
	Country <Ctry>	[1..1]	CodeSet	C2	158

### 9.1.11.2 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]			154
{Or	Code <Cd>	[1..1]	CodeSet		154
Or}	Proprietary <Prtry>	[1..1]	±		154
	Department <Dept>	[0..1]	Text		154
	SubDepartment <SubDept>	[0..1]	Text		155
	StreetName <StrtNm>	[0..1]	Text		155
	BuildingNumber <BldgNb>	[0..1]	Text		155
	BuildingName <BldgNm>	[0..1]	Text		155
	Floor <Flr>	[0..1]	Text		155
	PostBox <PstBx>	[0..1]	Text		155
	Room <Room>	[0..1]	Text		155
	PostCode <PstCd>	[0..1]	Text		155
	TownName <TwnNm>	[0..1]	Text		156
	TownLocationName <TwnLctnNm>	[0..1]	Text		156
	DistrictName <DstrctNm>	[0..1]	Text		156
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		156
	Country <Ctry>	[0..1]	CodeSet	C2	156
	AddressLine <AdrLine>	[0..7]	Text		156

**9.1.11.2.1 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		154
Or}	Proprietary <Prtry>	[1..1]	±		154

**9.1.11.2.1.1 Code <Cd>***Presence:* [1..1]*Definition:* Type of address expressed as a code.*Datatype:* "AddressType2Code" on page 160

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.

**9.1.11.2.1.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Type of address expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "GenericIdentification30" on page 106 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		106
	Issuer <Issr>	[1..1]	Text		106
	SchemeName <SchmeNm>	[0..1]	Text		106

**9.1.11.2.2 Department <Dept>***Presence:* [0..1]*Definition:* Identification of a division of a large organisation or building.*Datatype:* "Max70Text" on page 172

**9.1.11.2.3 SubDepartment <SubDept>**

*Presence:* [0..1]

*Definition:* Identification of a sub-division of a large organisation or building.

*Datatype:* "Max70Text" on page 172

**9.1.11.2.4 StreetName <StrtNm>**

*Presence:* [0..1]

*Definition:* Name of a street or thoroughfare.

*Datatype:* "Max70Text" on page 172

**9.1.11.2.5 BuildingNumber <BldgNb>**

*Presence:* [0..1]

*Definition:* Number that identifies the position of a building on a street.

*Datatype:* "Max16Text" on page 171

**9.1.11.2.6 BuildingName <BldgNm>**

*Presence:* [0..1]

*Definition:* Name of the building or house.

*Datatype:* "Max35Text" on page 172

**9.1.11.2.7 Floor <Flr>**

*Presence:* [0..1]

*Definition:* Floor or storey within a building.

*Datatype:* "Max70Text" on page 172

**9.1.11.2.8 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 171

**9.1.11.2.9 Room <Room>**

*Presence:* [0..1]

*Definition:* Building room number.

*Datatype:* "Max70Text" on page 172

**9.1.11.2.10 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 171

**9.1.11.2.11 TownName <TwnNm>**

*Presence:* [0..1]

*Definition:* Name of a built-up area, with defined boundaries, and a local government.

*Datatype:* "Max35Text" on page 172

**9.1.11.2.12 TownLocationName <TwnLctnNm>**

*Presence:* [0..1]

*Definition:* Specific location name within the town.

*Datatype:* "Max35Text" on page 172

**9.1.11.2.13 DistrictName <DstrctNm>**

*Presence:* [0..1]

*Definition:* Identifies a subdivision within a country sub-division.

*Datatype:* "Max35Text" on page 172

**9.1.11.2.14 CountrySubDivision <CtrySubDvsn>**

*Presence:* [0..1]

*Definition:* Identifies a subdivision of a country such as state, region, county.

*Datatype:* "Max35Text" on page 172

**9.1.11.2.15 Country <Ctry>**

*Presence:* [0..1]

*Definition:* Nation with its own government.

*Impacted by:* C2 "Country"

*Datatype:* "CountryCode" on page 161

**Constraints**

- **Country**

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

**9.1.11.2.16 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 172

**9.1.11.3 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		157
	AddressLine <AdrLine>	[0..5]	Text		157
	StreetName <StrtNm>	[0..1]	Text		157
	BuildingNumber <BldgNb>	[0..1]	Text		157
	PostCode <PstCd>	[0..1]	Text		158
	TownName <TwnNm>	[0..1]	Text		158
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		158
	Country <Ctry>	[1..1]	CodeSet	C2	158

### 9.1.11.3.1 AddressType <AdrTp>

*Presence:* [0..1]

*Definition:* Identifies the nature of the postal address.

*Datatype:* "AddressType2Code" on page 160

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.

### 9.1.11.3.2 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 172

### 9.1.11.3.3 StreetName <StrtNm>

*Presence:* [0..1]

*Definition:* Name of a street or thoroughfare.

*Datatype:* "Max70Text" on page 172

### 9.1.11.3.4 BuildingNumber <BldgNb>

*Presence:* [0..1]

*Definition:* Number that identifies the position of a building on a street.

*Datatype:* "Max16Text" on page 171

### 9.1.11.3.5 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 171

### 9.1.11.3.6 TownName <TwnNm>

*Presence:* [0..1]

*Definition:* Name of a built-up area, with defined boundaries, and a local government.

*Datatype:* "Max35Text" on page 172

### 9.1.11.3.7 CountrySubDivision <CtrySubDvsn>

*Presence:* [0..1]

*Definition:* Identifies a subdivision of a country for example, state, region, county.

*Datatype:* "Max35Text" on page 172

### 9.1.11.3.8 Country <Ctry>

*Presence:* [1..1]

*Definition:* Nation with its own government.

*Impacted by:* C2 "Country"

*Datatype:* "CountryCode" on page 161

#### Constraints

- **Country**

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

## 9.1.12 Securities Quantity

### 9.1.12.1 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		158
Or}	FaceAmount <FaceAmt>	[1..1]	Amount		159

#### 9.1.12.1.1 Unit <Unit>

*Presence:* [1..1]

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

*Datatype:* ["DecimalNumber" on page 169](#)

### 9.1.12.1.2 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 159](#)

## 9.1.13 System Identification

### 9.1.13.1 ClearingSystemIdentification2Choice

*Definition:* Choice of a clearing system identifier.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		159
Or}	Proprietary <Prtry>	[1..1]	Text		159

#### 9.1.13.1.1 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 162](#)

#### 9.1.13.1.2 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 172](#)

## 9.2 Message Datatypes

### 9.2.1 Amount

#### 9.2.1.1 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

## 9.2.2 CodeSet

### 9.2.2.1 AccountOwnershipType5Code

*Definition:* Specifies the type of account ownership.

*Type:* CodeSet

CodeName	Name	Definition
USUF	Usufructuary	Person having the temporary right to use and derive income or benefit from someone else's property.
OWNR	Owner	A person has full ownership on the asset.
BOWN	BareOwner	A person has bare ownership on the asset.

### 9.2.2.2 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.

### 9.2.2.3 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**

### 9.2.2.4 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.

### 9.2.2.5 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).

### 9.2.2.6 DateCalculationMethod1Code

*Definition:* Indicates the calculation method to be used to determine on which dates the shares have been acquired.

*Type:* CodeSet

CodeName	Name	Definition
FIFO	Fifo	First in, first out.
LIFO	Lifo	Last in, first out.

### 9.2.2.7 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.

### 9.2.2.8 DisclosureRequestCancellationReason1Code

*Definition:* Specifies the reason for the cancellation of the disclosure request.

Type: CodeSet

CodeName	Name	Definition
PROC	Processing	The cancellation of the disclosure request is due to a processing error.
WITH	Withdrawal	The cancellation of the disclosure request is due to the withdrawal of the request by the issuer.

### 9.2.2.9 DisclosureRequestType1Code

*Definition:* Type of disclosure request.

Type: CodeSet

CodeName	Name	Definition
NEWM	New	New disclosure request.
REPL	Replacement	Disclosure request replacing a previously sent request.

### 9.2.2.10 Eligibility1Code

*Definition:* Identifies the type of investor. The rules that apply to each type of client are different.

Type: CodeSet

CodeName	Name	Definition
ELIG	EligibleCounterparty	Eligible customers are the most sophisticated level of investor, able to opt out of some the protections afforded by conduct of business rules.
RETL	RetailClient	Retail customers are the least sophisticated level of investor.
PROF	ProfessionalClient	Professional customers are, for example, investment firms, credit institutions, insurance companies.

### 9.2.2.11 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

### 9.2.2.12 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

### 9.2.2.13 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

### 9.2.2.14 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

### 9.2.2.15 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

**9.2.2.16 MessageRejectedReason2Code**

*Definition:* Specifies the reason for a message rejected status.

*Type:* CodeSet

CodeName	Name	Definition
NALO	NotAllowedRequest	Sending party is not allowed to send this request.
REFE	InvalidOrUnrecognisedReference	Request contains an invalid or unrecognised business reference.

**9.2.2.17 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.

**9.2.2.18 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).

**9.2.2.19 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.

### 9.2.2.20 PartyRole2Code

*Definition:* Specifies the role of the party in the transaction.

*Type:* CodeSet

CodeName	Name	Definition
DIST	Distributor	Party that act as an wholesaler of funds.
LGRD	LegalGuardian	Party that has been appointed by a legal authority to act on behalf of a person judged to be incapacitated.
DECM	DecisionMaker	Party that is authorised to take investment decisions on behalf of the shareholder.

### 9.2.2.21 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.
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.

### 9.2.2.22 RejectionReason52Code

*Definition:* Specifies the reason why the identification disclosure response has a rejected status.

*Type:* CodeSet

CodeName	Name	Definition
IDRI	InvalidDisclosureRequestIdentification	Disclosure request identification is invalid or unknown.
IDRJ	InvalidDisclosureResponseIdentification	Disclosure response identification is invalid or unknown.
SVNO	ServiceNotOffered	Service for which the information was sent is not offered.

### 9.2.2.23 ShareholdingType1Code

*Definition:* Specifies the type of shareholding.

*Type:* CodeSet

CodeName	Name	Definition
BENE	BeneficialShareholding	Shares are held on behalf of the beneficial owner.  Usage: this type should be used to report assets the intermediary holds on behalf of a final beneficial owner.
NOMI	NomineeShareholding	Shares are held on behalf of an intermediary.  Usage: this type should be used to report assets the intermediary holds on behalf of another intermediary.
OOAC	OnOwnAccount	Shares are held by the responding intermediary for its own account.  Usage: this type should only be used to report the intermediary's own assets if and when the intermediary commingles them with the one of their clients. Within jurisdictions where commingling is not allowed, this type should not be used.
UKWN	Unknown	Shareholding type is unknown.  Usage: this type should be used when the intermediary's client hasn't been classified.

#### 9.2.2.24 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.
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.

CodeName	Name	Definition
TXID	TaxIdentificationNumber	Number assigned by a tax authority to an entity.

### 9.2.2.25 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

## 9.2.3 Date

### 9.2.3.1 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

## 9.2.4 DateTime

### 9.2.4.1 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

## 9.2.5 IdentifierSet

### 9.2.5.1 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.

### 9.2.5.2 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.

### 9.2.5.3 ISICIdentifier

*Definition:* Identifier of economic activities by ISIC (United Nations' International Standard Industrial Classification of all Economic Activities).

*Type:* IdentifierSet

*Identification scheme:* ISIC Identifier

#### Format

pattern [A-U]{1,1}[0-9]{0,4}

### 9.2.5.4 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}

### 9.2.5.5 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}

## 9.2.6 Indicator

### 9.2.6.1 YesNoIndicator

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

*Type:* Indicator

*Meaning When True:* Yes

*Meaning When False:* No

## 9.2.7 Quantity

### 9.2.7.1 DecimalNumber

*Definition:* Number of objects represented as a decimal number, for example 0.75 or 45.6.

*Type:* Quantity

#### Format

totalDigits	18
fractionDigits	17

## 9.2.8 Rate

### 9.2.8.1 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

## 9.2.9 Text

### 9.2.9.1 Exact3NumericText

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

*Type:* Text

#### Format

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

### 9.2.9.2 Exact4AlphaNumericText

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

*Type:* Text

#### Format

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

### 9.2.9.3 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}
---------	--

### 9.2.9.4 Max128Text

*Definition:* Specifies a character string with a maximum length of 128 characters.

*Type:* Text

#### Format

minLength	1
-----------	---

maxLength	128
-----------	-----

### 9.2.9.5 Max140Text

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

*Type:* Text

#### Format

minLength	1
maxLength	140

### 9.2.9.6 Max16Text

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

*Type:* Text

#### Format

minLength	1
maxLength	16

### 9.2.9.7 Max2048Text

*Definition:* Specifies a character string with a maximum length of 2048 characters.

*Type:* Text

#### Format

minLength	1
maxLength	2048

### 9.2.9.8 Max256Text

*Definition:* Specifies a character string with a maximum length of 256 characters.

*Type:* Text

#### Format

minLength	1
maxLength	256

### 9.2.9.9 Max350Text

*Definition:* Specifies a character string with a maximum length of 350 characters.

*Type:* Text

#### Format

minLength	1
-----------	---

maxLength	350
-----------	-----

### 9.2.9.10 Max35Text

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

*Type:* Text

#### Format

minLength	1
maxLength	35

### 9.2.9.11 Max4Text

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

*Type:* Text

#### Format

minLength	1
maxLength	4

### 9.2.9.12 Max50Text

*Definition:* Specifies a character string with a maximum length of 50 characters.

*Type:* Text

#### Format

minLength	1
maxLength	50

### 9.2.9.13 Max5NumericText

*Definition:* Specifies a numeric string with a maximum length of 5 digits.

*Type:* Text

#### Format

pattern	[0-9]{1,5}
---------	------------

### 9.2.9.14 Max70Text

*Definition:* Specifies a character string with a maximum length of 70 characters.

*Type:* Text

#### Format

minLength	1
maxLength	70

### 9.2.9.15 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}`

## 9.2.10 Year

### 9.2.10.1 ISOYear

*Definition:* Year represented by YYYY (ISO 8601).

*Type:* Year