

ISO 20022

Shareholders Identification Disclosure Maintenance 2020 - 2021

Message Definition Report Part 2

Approved by the Securities SEG on the 25th of January 2021

This document provides details of the Message Definitions for Shareholders Identification Disclosure Maintenance 2020 - 2021.

February 2021

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1 Message Set Overview

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.045.001.03 ShareholdersIdentificationDisclosureRequestV03	<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 information on the receiving party to whom responses must be sent, on the financial instrument concerned and on the deadline to respond.</p>
seev.046.001.01 ShareholdersIdentificationDisclosureRequestCancellationAdviceV01	<p>The ShareholdersIdentificationDisclosureCancellationAdvice message is sent by an issuer or by a third party</p>

MessageDefinition	Definition
	<p>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.</p>
<p>seev.047.001.02 ShareholdersIdentificationDisclosureResponseV02</p>	<p>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.</p>
<p>seev.048.001.01 ShareholderIdentificationDisclosureResponseCancellationAdviceV01</p>	<p>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.</p>
<p>seev.049.001.01 ShareholderIdentificationDisclosureResponseStatusAdviceV01</p>	<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>

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 <Document> <AppHdr></i>	[1..1]		C5	
	CharacterSet <CharSet>	[0..1]	CodeSet	C6	10
	From <Fr>	[1..1]			10
{Or	OrganisationIdentification <OrgId>	[1..1]	±		10
Or}	FinancialInstitutionIdentification <FIId>	[1..1]	±		11
	To <To>	[1..1]			11
{Or	OrganisationIdentification <OrgId>	[1..1]	±		11
Or}	FinancialInstitutionIdentification <FIId>	[1..1]	±		11
	BusinessMessageIdentifier <BizMsgIdr>	[1..1]	Text		12
	MessageDefinitionIdentifier <MsgDefIdr>	[1..1]	Text		12
	BusinessService <BizSvc>	[0..1]	Text		12
	MarketPractice <MktPrctc>	[0..1]			12
	Registry <Regy>	[1..1]	Text		13
	Identification <Id>	[1..1]	Text		13
	CreationDate <CreDt>	[1..1]	DateTime		13
	BusinessProcessingDate <BizPrctDt>	[0..1]	DateTime		13
	CopyDuplicate <CpyDplct>	[0..1]	CodeSet		13
	PossibleDuplicate <PssblDplct>	[0..1]	Indicator		14
	Priority <Prty>	[0..1]	CodeSet	C7	14
	Signature <Sgntr>	[0..1]	(External Schema)		15
	Related <Rltd>	[0..*]			15
	CharacterSet <CharSet>	[0..1]	CodeSet	C6	16
	From <Fr>	[1..1]			16
{Or	OrganisationIdentification <OrgId>	[1..1]	±		16
Or}	FinancialInstitutionIdentification <FIId>	[1..1]	±		16
	To <To>	[1..1]			17
{Or	OrganisationIdentification <OrgId>	[1..1]	±		17
Or}	FinancialInstitutionIdentification <FIId>	[1..1]	±		17
	BusinessMessageIdentifier <BizMsgIdr>	[1..1]	Text		18
	MessageDefinitionIdentifier <MsgDefIdr>	[1..1]	Text		18

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	BusinessService <BizSvc>	[0..1]	Text		18
	CreationDate <CreDt>	[1..1]	DateTime		18
	CopyDuplicate <CpyDplct>	[0..1]	CodeSet		18
	PossibleDuplicate <PssblDplct>	[0..1]	Indicator		19
	Priority <Prty>	[0..1]	CodeSet	C7	19
	Signature <Sgntr>	[0..1]	(External Schema)		20

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 153

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	OrganisationIdentification <OrgId>	[1..1]	±		10
Or}	FinancialInstitutionIdentification <FIId>	[1..1]	±		11

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 94 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		94
	PostalAddress <PstlAdr>	[0..1]	±		94
	Identification <Id>	[0..1]	±		95
	CountryOfResidence <CtryOfRes>	[0..1]	CodeSet	C2	95
	ContactDetails <CtctDtls>	[0..1]	±		96

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 80 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstitutionIdentification <FinInstnId>	[1..1]	±		80
	BranchIdentification <BrnchId>	[0..1]	±		81

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	OrganisationIdentification <OrgId>	[1..1]	±		11
Or}	FinancialInstitutionIdentification <FIld>	[1..1]	±		11

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 94 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		94
	PostalAddress <PstlAdr>	[0..1]	±		94
	Identification <Id>	[0..1]	±		95
	CountryOfResidence <CtryOfRes>	[0..1]	CodeSet	C2	95
	ContactDetails <CtctDtls>	[0..1]	±		96

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 80 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstitutionIdentification <FinInstnId>	[1..1]	±		80
	BranchIdentification <BrnchId>	[0..1]	±		81

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 158

2.4.5 MessageDefinitionIdentifier <MsgDefldr>

Presence: [1..1]

Definition: Contains the MessageIdentifier that defines the BusinessMessage.

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

example camt.001.001.03.

Datatype: "[Max35Text](#)" on page 158

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 158

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
	Registry <Regy>	[1..1]	Text		13
	Identification <Id>	[1..1]	Text		13

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 158

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 157

2.4.8 CreationDate <CreDt>

Presence: [1..1]

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

Datatype: "ISODatetime" on page 154

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 154

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 147

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 <PssbIDpIct>

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 156):

- *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 147

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
	CharacterSet <CharSet>	[0..1]	CodeSet	C6	16
	From <Fr>	[1..1]			16
{Or	OrganisationIdentification <OrgId>	[1..1]	±		16
Or}	FinancialInstitutionIdentification <FIId>	[1..1]	±		16
	To <To>	[1..1]			17
{Or	OrganisationIdentification <OrgId>	[1..1]	±		17
Or}	FinancialInstitutionIdentification <FIId>	[1..1]	±		17
	BusinessMessageIdentifier <BizMsgIdr>	[1..1]	Text		18
	MessageDefinitionIdentifier <MsgDefIdr>	[1..1]	Text		18
	BusinessService <BizSvc>	[0..1]	Text		18
	CreationDate <CreDt>	[1..1]	DateTime		18
	CopyDuplicate <CpyDplct>	[0..1]	CodeSet		18
	PossibleDuplicate <PssblDplct>	[0..1]	Indicator		19
	Priority <Prty>	[0..1]	CodeSet	C7	19
	Signature <Sgntr>	[0..1]	(External Schema)		20

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 153

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	OrganisationIdentification <OrgId>	[1..1]	±		16
Or}	FinancialInstitutionIdentification <FIId>	[1..1]	±		16

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 94 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		94
	PostalAddress <PstlAdr>	[0..1]	±		94
	Identification <Id>	[0..1]	±		95
	CountryOfResidence <CtryOfRes>	[0..1]	CodeSet	C2	95
	ContactDetails <CtctDtls>	[0..1]	±		96

2.4.14.2.2 FinancialInstitutionIdentification <FIId>

Presence: [1..1]

Definition: Identification of a financial institution.

FinancialInstitutionIdentification <FIId> contains the following elements (see "[BranchAndFinancialInstitutionIdentification6](#)" on page 80 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstitutionIdentification <FinInstnId>	[1..1]	±		80
	BranchIdentification <BrnchId>	[0..1]	±		81

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	OrganisationIdentification <OrgId>	[1..1]	±		17
Or}	FinancialInstitutionIdentification <FIId>	[1..1]	±		17

2.4.14.3.1 OrganisationIdentification <OrgId>

Presence: [1..1]

Definition: Identification of a person or an organisation.

OrganisationIdentification <OrgId> contains the following elements (see "[PartyIdentification135](#)" on page 94 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		94
	PostalAddress <PstlAdr>	[0..1]	±		94
	Identification <Id>	[0..1]	±		95
	CountryOfResidence <CtryOfRes>	[0..1]	CodeSet	C2	95
	ContactDetails <CtctDtls>	[0..1]	±		96

2.4.14.3.2 FinancialInstitutionIdentification <FIId>

Presence: [1..1]

Definition: Identification of a financial institution.

FinancialInstitutionIdentification <FIId> contains the following elements (see "[BranchAndFinancialInstitutionIdentification6](#)" on page 80 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstitutionIdentification <FinInstnId>	[1..1]	±		80
	BranchIdentification <BrnchId>	[0..1]	±		81

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 158

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 158

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 158

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 154

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 147

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 156):

- *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 147

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-xmldsig-core-20080610/>.

3 **seev.045.001.03**

ShareholdersIdentificationDisclosureRequest V03

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 ShareholdersIdentificationDisclosureRequestV03 MessageDefinition is composed of 15 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. FinancialInstrumentIdentification
Identifies the financial instrument.
- H. 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.

I. SharesQuantityThreshold

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

J. 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.

K. DisclosureResponseRecipient

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

L. 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.

M. 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.

N. Issuer

Issuer of the financial instrument.

O. 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	
	IssuerDisclosureRequestIdentification <IssrDsclsrReqId>	[1..1]	Text		24
	DisclosureRequestType <DsclsrReqTp>	[1..1]	CodeSet		24
	PreviousDisclosureRequestIdentification <PrvsDsclsrReqId>	[0..1]	Text		25
	ForwardRequestIndicator <FwdReqInd>	[0..1]	Indicator		25
	ResponseThroughChainIndicator <RspnThrhChainInd>	[0..1]	Indicator		25
	ShareholderRightsDirectiveIndicator <ShrhldrRghtsDrctvInd>	[0..1]	Indicator		25
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	26
	ShareholdersDisclosureRecordDate <ShrhldrDsclsrRcrdDt>	[1..1]	±		27
	SharesQuantityThreshold <ShrsQtyThrshld>	[0..1]	Quantity		27
	RequestShareHeldDate <ReqShrHeldDt>	[0..1]	±		27
	DisclosureResponseRecipient <DsclsrRspnRcpt>	[1..1]	±		27
	IssuerDisclosureDeadline <IssrDsclsrDdln>	[1..1]	±		28
	DisclosureResponseDeadline <DsclsrRspnDdln>	[0..1]	±		29
	Issuer <Issr>	[0..1]	±		29
	SupplementaryData <SplmtryData>	[0..*]	±	C10	29

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 158

3.4.2 DisclosureRequestType <DsclsrReqTp>

Presence: [1..1]

Definition: Specifies the type of disclosure request.

Datatype: "DisclosureRequestType1Code" on page 149

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 158

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 156):

- *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 156):

- *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 156):

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

3.4.7 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 82 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		83
	OtherIdentification <OthrlId>	[0..*]			83
	Identification <Id>	[1..1]	Text		84
	Suffix <Sfx>	[0..1]	Text		84
	Type <Tp>	[1..1]	±		84
	Description <Desc>	[0..1]	Text		84

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

3.4.8 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 73 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		73
Or}	DateCode <DtCd>	[1..1]			73
{Or	Code <Cd>	[1..1]	CodeSet		73
Or}	Proprietary <Prtry>	[1..1]	±		74

3.4.9 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 156

3.4.10 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 90 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	DateCalculationMethod <DtClctnMtd>	[1..1]	CodeSet		90
Or}	DateCalculationDescription <DtClctnDesc>	[1..1]	Text		91

3.4.11 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 125 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			126
{Or	ProprietaryIdentification <PrtryId>	[1..1]	±		126
Or}	LEI <LEI>	[1..1]	IdentifierSet		126
	RecipientName <RcptNm>	[1..1]	Text		126
	ResponseRecipientAddress <RspnRcptAdr>	[1..1]		C8	126
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C2	127
	PostalAddress <PstlAdr>	[0..1]			128
	AddressType <AdrTp>	[0..1]	CodeSet		128
	AddressLine <AdrLine>	[0..5]	Text		128
	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		129
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		129
	Country <Ctry>	[1..1]	CodeSet	C2	129
	EmailAddress <EmailAdr>	[0..1]	Text		130
	URLAddress <URLAdr>	[0..1]	Text		130

3.4.12 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 73 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		73
Or}	DateCode <DtCd>	[1..1]			73
{Or	Code <Cd>	[1..1]	CodeSet		73
Or}	Proprietary <Prtry>	[1..1]	±		74

3.4.13 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 73 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		73
Or}	DateCode <DtCd>	[1..1]			73
{Or	Code <Cd>	[1..1]	CodeSet		73
Or}	Proprietary <Prtry>	[1..1]	±		74

3.4.14 Issuer <Issr>

Presence: [0..1]

Definition: Issuer of the financial instrument.

Issuer <Issr> contains one of the following elements (see "[PartyIdentification129Choice](#)" on page 131 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C2	131
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		132
Or	NameAndAddress <NmAndAdr>	[1..1]	±		132
Or}	LEI <LEI>	[1..1]	IdentifierSet		132

3.4.15 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 86 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		86
	Envelope <Envlp>	[1..1]	(External Schema)		87

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> <ShrhldrslDscslsrReqCxlAdv>	[1..1]			
	IssuerDisclosureRequestReference <IssrDsclsrReqRef>	[1..1]			32
	IssuerDisclosureRequestIdentification <IssrDsclsrReqId>	[1..1]	Text		33
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	33
	ShareholdersDisclosureRecordDate <ShrhldrDscslsrRcrdDt>	[1..1]	±		34
	CancellationReason <CxlRsn>	[0..1]	CodeSet		34
	Issuer <Issr>	[0..1]	±		35
	SupplementaryData <SplmtryData>	[0..*]	±	C8	35

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
	IssuerDisclosureRequestIdentification <IssrDsclsrReqId>	[1..1]	Text		33
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	33
	ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt>	[1..1]	±		34

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 158

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 82 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		83
	OtherIdentification <OthrlId>	[0..*]			83
	Identification <Id>	[1..1]	Text		84
	Suffix <Sfx>	[0..1]	Text		84
	Type <Tp>	[1..1]	±		84
	Description <Desc>	[0..1]	Text		84

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 73 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		73
Or}	DateCode <DtCd>	[1..1]			73
{Or	Code <Cd>	[1..1]	CodeSet		73
Or}	Proprietary <Prtry>	[1..1]	±		74

4.4.2 CancellationReason <CxlRsn>

Presence: [0..1]

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

Datatype: "DisclosureRequestCancellationReason1Code" on page 148

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 131 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C2	131
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		132
Or	NameAndAddress <NmAndAdr>	[1..1]	±		132
Or}	LEI <LEI>	[1..1]	IdentifierSet		132

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 86 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		86
	Envelope <Envlp>	[1..1]	(External Schema)		87

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.047.001.02**

ShareholdersIdentificationDisclosureResponseV02

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 ShareholdersIdentificationDisclosureResponseV02 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> <ShrhldrslDscslsrRspn>	[1..1]			
	Pagination <Pgntn>	[0..1]	±		39
	IssuerDisclosureRequestReference <IssrDscslsrReqRef>	[1..1]			39
	IssuerDisclosureRequestIdentification <IssrDscslsrReqId>	[1..1]	Text		39
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C8	39
	ShareholdersDisclosureRecordDate <ShrhldrDscslsrRcrdDt>	[1..1]	±		40
	DisclosureResponseIdentification <DscslsrRspnId>	[1..1]	Text		41
	RespondingIntermediary <RspndgIntrmy>	[1..1]	±		41
	DisclosureInformation <DscslsrInf>	[1..1]			42
{Or	NoDisclosure <NoDscslsr>	[1..1]	CodeSet		43
Or}	SafekeepingAccountAndHoldings <SfkpgAcctAndHldgs>	[1..*]			44
	SafekeepingAccount <SfkpgAcct>	[1..1]	Text		45
	AccountServicer <AcctSvcr>	[1..1]	±		46
	ShareholdingBalanceOnOwnAccount <ShrhldgBalOnOwnAcct>	[1..1]	±		46
	ShareholdingBalanceOnClientAccount <ShrhldgBalOnClntAcct>	[1..1]	±		46
	TotalShareholdingBalance <TtlShrhldgBal>	[1..1]	±		46
	AccountSubLevel <AcctSubLvl>	[0..1]			47
	NonDisclosedShareholdingQuantity <NonDscldShrhldgQty>	[0..1]	±		47
	BelowThresholdShareholdingQuantity <BlwThrshldShrhldgQty>	[0..1]	±		48
	Disclosure <Dscslsr>	[0..*]			48
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		49
	AccountHolder <AcctHldr>	[1..1]		C7	49
	LegalPerson <LglPrsn>	[0..*]	±		49
	NaturalPerson <NtrlPrsn>	[0..*]	±		50
	ShareholdingBalance <ShrhldgBal>	[1..*]			52
	ShareholdingType <ShrhldgTp>	[1..1]	CodeSet		52
	Quantity <Qty>	[1..1]	±		53

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	InitialDateOfShareholding <InitDtOfShrhldg>	[0..1]	±		53
	ThirdParty <ThrdPty>	[0..*]			53
	Role <Role>	[1..1]	±		54
	Identification <Id>	[1..1]			54
{Or	LegalPerson <LglPrsn>	[1..1]	±		54
Or}	NaturalPerson <NtrlPrsn>	[1..1]	±		55
	SupplementaryData <SplmtryData>	[0..*]	±	C9	56
	SupplementaryData <SplmtryData>	[0..*]	±	C9	56

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 91 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		91
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		91

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
	IssuerDisclosureRequestIdentification <IssrDsclsrReqId>	[1..1]	Text		39
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C8	39
	ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt>	[1..1]	±		40

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 158

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 82 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN </ISIN>	[0..1]	IdentifierSet		83
	OtherIdentification <OthrlId>	[0..*]			83
	Identification </Id>	[1..1]	Text		84
	Suffix </Sfx>	[0..1]	Text		84
	Type </Tp>	[1..1]	±		84
	Description </Desc>	[0..1]	Text		84

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 <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 73 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		73
Or}	DateCode <DtCd>	[1..1]			73
{Or	Code <Cd>	[1..1]	CodeSet		73
Or}	Proprietary <Prtry>	[1..1]	±		74

5.4.3 DisclosureResponseIdentification <DsclsrRspnId>

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 158

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 121 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NameAndAddress <NmAndAdr>	[1..1]			121
	Name <Nm>	[1..1]	Text		122
	Address <Adr>	[0..1]			122
	AddressType <AdrTp>	[0..1]	CodeSet		123
	AddressLine <AdrLine>	[0..5]	Text		123
	StreetName <StrtNm>	[0..1]	Text		123
	BuildingNumber <BldgNb>	[0..1]	Text		123
	PostBox <PstBx>	[0..1]	Text		123
	PostCode <PstCd>	[0..1]	Text		123
	TownName <TwnNm>	[0..1]	Text		124
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		124
	Country <Ctry>	[1..1]	CodeSet	C2	124
	Identification <Id>	[1..1]	±		124
	ContactPerson <CtctPrsn>	[0..1]	±		124

5.4.5 DisclosureInformation <DsclsrInf>

Presence: [1..1]

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

DisclosureInformation <DsclsInf> contains one of the following **Disclosure2Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoDisclosure <NoDsclsr>	[1..1]	CodeSet		43
Or}	SafekeepingAccountAndHoldings <SfkpgAcctAndHldgs>	[1..*]			44
	SafekeepingAccount <SfkpgAcct>	[1..1]	Text		45
	AccountServicer <AcctSvcr>	[1..1]	±		46
	ShareholdingBalanceOnOwnAccount <ShrhldgBalOnOwnAcct>	[1..1]	±		46
	ShareholdingBalanceOnClientAccount <ShrhldgBalOnClntAcct>	[1..1]	±		46
	TotalShareholdingBalance <TtlShrhldgBal>	[1..1]	±		46
	AccountSubLevel <AcctSubLvl>	[0..1]			47
	NonDisclosedShareholdingQuantity <NonDsclsdShrhldgQty>	[0..1]	±		47
	BelowThresholdShareholdingQuantity <BlwThrshldShrhldgQty>	[0..1]	±		48
	Disclosure <Dsclsr>	[0..*]			48
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		49
	AccountHolder <AcctHldr>	[1..1]		C7	49
	LegalPerson <LglPrsn>	[0..*]	±		49
	NaturalPerson <NtrlPrsn>	[0..*]	±		50
	ShareholdingBalance <ShrhldgBal>	[1..*]			52
	ShareholdingType <ShrhldgTp>	[1..1]	CodeSet		52
	Quantity <Qty>	[1..1]	±		53
	InitialDateOfShareholding <InitlDtOfShrhldg>	[0..1]	±		53
	ThirdParty <ThrdPty>	[0..*]			53
	Role <Role>	[1..1]	±		54
	Identification <Id>	[1..1]			54
{Or	LegalPerson <LglPrsn>	[1..1]	±		54
Or}	NaturalPerson <NtrlPrsn>	[1..1]	±		55
	SupplementaryData <SplmtryData>	[0..*]	±	C9	56

5.4.5.1 NoDisclosure <NoDsclsr>

Presence: [1..1]

Definition: Shareholding information is not disclosed.

Datatype: "NoReasonCode" on page 151

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 **SafekeepingAccount11** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingAccount <SfkpgAcct>	[1..1]	Text		45
	AccountServicer <AcctSvcr>	[1..1]	±		46
	ShareholdingBalanceOnOwnAccount <ShrhldgBalOnOwnAcct>	[1..1]	±		46
	ShareholdingBalanceOnClientAccount <ShrhldgBalOnClntAcct>	[1..1]	±		46
	TotalShareholdingBalance <TtlShrhldgBal>	[1..1]	±		46
	AccountSubLevel <AcctSubLvl>	[0..1]			47
	NonDisclosedShareholdingQuantity <NonDsclsdShrhldgQty>	[0..1]	±		47
	BelowThresholdShareholdingQuantity <BlwThrshldShrhldgQty>	[0..1]	±		48
	Disclosure <Dsclsr>	[0..*]			48
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		49
	AccountHolder <AcctHldr>	[1..1]		C7	49
	LegalPerson <LglPrsn>	[0..*]	±		49
	NaturalPerson <NtrlPrsn>	[0..*]	±		50
	ShareholdingBalance <ShrhldgBal>	[1..*]			52
	ShareholdingType <ShrhldgTp>	[1..1]	CodeSet		52
	Quantity <Qty>	[1..1]	±		53
	InitialDateOfShareholding <InitlDtOfShrhldg>	[0..1]	±		53
	ThirdParty <ThrdPty>	[0..*]			53
	Role <Role>	[1..1]	±		54
	Identification <Id>	[1..1]			54
{Or	LegalPerson <LglPrsn>	[1..1]	±		54
Or}	NaturalPerson <NtrlPrsn>	[1..1]	±		55
	SupplementaryData <SplmtryData>	[0..*]	±	C9	56

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 158

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 89 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C2	89
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		90
Or}	LEI <LEI>	[1..1]	IdentifierSet		90

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 145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		145
Or}	FaceAmount <FaceAmt>	[1..1]	Amount		146

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 145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		145
Or}	FaceAmount <FaceAmt>	[1..1]	Amount		146

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 145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		145
Or}	FaceAmount <FaceAmt>	[1..1]	Amount		146

5.4.5.2.6 AccountSubLevel <AcctSubLvl>

Presence: [0..1]

Definition: Shareholdings information at account sub level.

AccountSubLevel <AcctSubLvl> contains the following **AccountSubLevel22** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NonDisclosedShareholdingQuantity <NonDsclsdShrhldgQty>	[0..1]	±		47
	BelowThresholdShareholdingQuantity <BlwThrshldShrhldgQty>	[0..1]	±		48
	Disclosure <Dsclsr>	[0..*]			48
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		49
	AccountHolder <AcctHldr>	[1..1]		C7	49
	LegalPerson <LglPrsn>	[0..*]	±		49
	NaturalPerson <NtrlPrsn>	[0..*]	±		50
	ShareholdingBalance <ShrhldgBal>	[1..*]			52
	ShareholdingType <ShrhldgTp>	[1..1]	CodeSet		52
	Quantity <Qty>	[1..1]	±		53
	InitialDateOfShareholding <InitDtOfShrhldg>	[0..1]	±		53
	ThirdParty <ThrdPty>	[0..*]			53
	Role <Role>	[1..1]	±		54
	Identification <Id>	[1..1]			54
{Or	LegalPerson <LglPrsn>	[1..1]	±		54
Or}	NaturalPerson <NtrlPrsn>	[1..1]	±		55
	SupplementaryData <SplmtryData>	[0..*]	±	C9	56

5.4.5.2.6.1 NonDisclosedShareholdingQuantity <NonDsclsdShrhldgQty>

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 145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		145
Or}	FaceAmount <FaceAmt>	[1..1]	Amount		146

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 145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		145
Or}	FaceAmount <FaceAmt>	[1..1]	Amount		146

5.4.5.2.6.3 Disclosure <Dsclsr>

Presence: [0..*]

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

Disclosure <Dsclsr> contains the following **AccountSubLevel23** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		49
	AccountHolder <AcctHldr>	[1..1]		C7	49
	LegalPerson <LglPrsn>	[0..*]	±		49
	NaturalPerson <NtrlPrsn>	[0..*]	±		50
	ShareholdingBalance <ShrhldgBal>	[1..*]			52
	ShareholdingType <ShrhldgTp>	[1..1]	CodeSet		52
	Quantity <Qty>	[1..1]	±		53
	InitialDateOfShareholding <InitlDtOfShrhldg>	[0..1]	±		53
	ThirdParty <ThrdPty>	[0..*]			53
	Role <Role>	[1..1]	±		54
	Identification <Id>	[1..1]			54
{Or	LegalPerson <LglPrsn>	[1..1]	±		54
Or}	NaturalPerson <NtrlPrsn>	[1..1]	±		55
	SupplementaryData <SplmtryData>	[0..*]	±	C9	56

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 158**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 **PartyIdentification243** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	LegalPerson <LglPrsn>	[0..*]	±		49
	NaturalPerson <NtrlPrsn>	[0..*]	±		50

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 <LgIPrsn> contains the following elements (see "PartyIdentification237" on page 98 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NameAndAddress <NmAndAdr>	[1..1]			99
	Name <Nm>	[1..1]	Text		100
	Address <Adr>	[0..1]			100
	AddressType <AdrTp>	[0..1]	CodeSet		101
	AddressLine <AdrLine>	[0..5]	Text		101
	StreetName <StrtNm>	[0..1]	Text		101
	BuildingNumber <BldgNb>	[0..1]	Text		101
	PostBox <PstBx>	[0..1]	Text		101
	PostCode <PstCd>	[0..1]	Text		101
	TownName <TwnNm>	[0..1]	Text		102
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		102
	Country <Ctry>	[1..1]	CodeSet	C2	102
	EmailAddress <EmailAdr>	[0..1]	Text		102
	Identification <Id>	[1..1]	±		102
	CountryOfIncorporation <CtryOfIncorprtn>	[0..1]	CodeSet	C2	102
	YearOfIncorporation <YrOfIncorprtn>	[0..1]	Year		103
	ActivityIndicator <ActvtyInd>	[0..1]	IdentifierSet		103
	InvestorType <InvstrTp>	[0..1]			103
{Or	Code <Cd>	[1..1]	CodeSet		103
Or}	Proprietary <Prtry>	[1..1]	±		104
	Ownership <Ownrsh>	[0..1]			104
	OwnershipType <OwnrshTp>	[0..1]			104
{Or	Code <Cd>	[1..1]	CodeSet		104
Or}	Proprietary <Prtry>	[1..1]	±		105
	OwnershipPercentage <OwnrshPctg>	[0..1]	Rate		105
	UsufructPercentage <UsfrctPctg>	[0..1]	Rate		105

5.4.5.2.6.3.2.2 NaturalPerson <NtrlPrsn>

Presence: [0..*]

Definition: Private person.

NaturalPerson <NtrlPrsn> contains the following elements (see "PartyIdentification217" on page 112 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NameAndAddress <NmAndAdr>	[1..1]			114
	NamePrefix <NmPrfx>	[0..1]	CodeSet		114
	FirstName <FrstNm>	[1..1]	Text		114
	Surname <SrnM>	[1..1]	Text		115
	Address <Adr>	[0..1]			115
	AddressType <AdrTp>	[0..1]	CodeSet		115
	AddressLine <AdrLine>	[0..5]	Text		115
	StreetName <StrtNm>	[0..1]	Text		116
	BuildingNumber <BldgNb>	[0..1]	Text		116
	PostBox <PstBx>	[0..1]	Text		116
	PostCode <PstCd>	[0..1]	Text		116
	TownName <TwnNm>	[0..1]	Text		116
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		116
	Country <Ctry>	[1..1]	CodeSet	C2	116
	EmailAddress <EmailAdr>	[0..1]	Text		117
	Identification <Id>	[1..1]	±		117
	Nationality <Ntlty>	[0..1]	CodeSet	C2	117
	DateAndPlaceOfBirth <DtAndPlcOfBirth>	[0..1]			117
	BirthDate <BirthDt>	[1..1]	Date		118
	ProvinceOfBirth <PrvcOfBirth>	[0..1]	Text		118
	CityOfBirth <CityOfBirth>	[0..1]	Text		118
	CountryOfBirth <CtryOfBirth>	[0..1]	CodeSet	C2	118
	InvestorType <InvstrTp>	[0..1]			118
{Or	Code <Cd>	[1..1]	CodeSet		119
Or}	Proprietary <Prtry>	[1..1]	±		119
	Ownership <Ownrsh>	[0..1]			119
	OwnershipType <OwnrshTp>	[0..1]			120
{Or	Code <Cd>	[1..1]	CodeSet		120
Or}	Proprietary <Prtry>	[1..1]	±		120
	OwnershipPercentage <OwnrshPctg>	[0..1]	Rate		121

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	UsufructPercentage <UsfrctPctg>	[0..1]	Rate		121

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
	ShareholdingType <ShrhldgTp>	[1..1]	CodeSet		52
	Quantity <Qty>	[1..1]	±		53
	InitialDateOfShareholding <InitlDtOfShrhldg>	[0..1]	±		53
	ThirdParty <ThrdPty>	[0..*]			53
	Role <Role>	[1..1]	±		54
	Identification <Id>	[1..1]			54
{Or	LegalPerson <LglPrsn>	[1..1]	±		54
Or}	NaturalPerson <NtrlPrsn>	[1..1]	±		55
	SupplementaryData <SplmtryData>	[0..*]	±	C9	56

5.4.5.2.6.3.3.1 ShareholdingType <ShrhldgTp>

Presence: [1..1]

Definition: Identifies the category of shareholding.

Datatype: "ShareholdingType1Code" on page 152

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 comingles them with the one of their clients. Within

CodeName	Name	Definition
		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 145 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		145
Or}	FaceAmount <FaceAmt>	[1..1]	Amount		146

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 74 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		74
Or}	DateCode <DtCd>	[1..1]			74
{Or	Code <Cd>	[1..1]	CodeSet		74
Or}	Proprietary <Prtry>	[1..1]	±		75

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
	Role <Role>	[1..1]	±		54
	Identification <Id>	[1..1]			54
{Or	LegalPerson <LglPrsn>	[1..1]	±		54
Or}	NaturalPerson <NtrlPrsn>	[1..1]	±		55

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 88 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		88
Or}	Proprietary <Prtry>	[1..1]	±		89

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	LegalPerson <LglPrsn>	[1..1]	±		54
Or}	NaturalPerson <NtrlPrsn>	[1..1]	±		55

5.4.5.2.6.3.3.4.2.1 LegalPerson <LglPrsn>

Presence: [1..1]

Definition: Legal entity.

LegalPerson <LgIPrsn> contains the following elements (see "PartyIdentification201" on page 109 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NameAndAddress <NmAndAdr>	[0..1]			109
	Name <Nm>	[1..1]	Text		110
	Address <Adr>	[0..1]			110
	AddressType <AdrTp>	[0..1]	CodeSet		111
	AddressLine <AdrLine>	[0..5]	Text		111
	StreetName <StrtNm>	[0..1]	Text		111
	BuildingNumber <BldgNb>	[0..1]	Text		111
	PostBox <PstBx>	[0..1]	Text		111
	PostCode <PstCd>	[0..1]	Text		111
	TownName <TwnNm>	[0..1]	Text		112
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		112
	Country <Ctry>	[1..1]	CodeSet	C2	112
	Identification <Id>	[1..1]	±		112

5.4.5.2.6.3.3.4.2.2 NaturalPerson <NtrlPrsn>

Presence: [1..1]

Definition: Private person.

NaturalPerson <NtrlPrsn> contains the following elements (see "[PartyIdentification202](#)" on page 105 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NameAndAddress <NmAndAdr>	[1..1]			106
	FirstName <FrstNm>	[1..1]	Text		107
	Surname <SrnM>	[1..1]	Text		107
	Address <Adr>	[0..1]			107
	AddressType <AdrTp>	[0..1]	CodeSet		107
	AddressLine <AdrLine>	[0..5]	Text		108
	StreetName <StrtNm>	[0..1]	Text		108
	BuildingNumber <BldgNb>	[0..1]	Text		108
	PostBox <PstBx>	[0..1]	Text		108
	PostCode <PstCd>	[0..1]	Text		108
	TownName <TwnNm>	[0..1]	Text		108
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		108
	Country <Ctry>	[1..1]	CodeSet	C2	108
	Identification <Id>	[1..1]	±		109

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 86 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		86
	Envelope <Envlp>	[1..1]	(External Schema)		87

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 <SpmtryData> contains the following elements (see "SupplementaryData1" on page 86 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		86
	Envelope <Envlp>	[1..1]	(External Schema)		87

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> <ShrhldrldDsclsrRspnCxlAdv>	[1..1]			
	DisclosureResponseIdentification <DsclsrRspnId>	[1..1]	Text		60
	IssuerDisclosureRequestReference <IssrDsclsrReqRef>	[1..1]			60
	IssuerDisclosureRequestIdentification <IssrDsclsrReqId>	[1..1]	Text		60
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C2, C3, C4, C5, C6	60
	ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt>	[1..1]	±		61
	RespondingIntermediary <RspndgIntrmy>	[1..1]			62
	Name <Nm>	[1..1]	Text		62
	Identification <Id>	[1..1]	±		62
	SupplementaryData <SplmtryData>	[0..*]	±	C7	63

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 158

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
	IssuerDisclosureRequestIdentification <IssrDsclsrReqId>	[1..1]	Text		60
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C2, C3, C4, C5, C6	60
	ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt>	[1..1]	±		61

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 158

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 82 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		83
	OtherIdentification <OthrlId>	[0..*]			83
	Identification <Id>	[1..1]	Text		84
	Suffix <Sfx>	[0..1]	Text		84
	Type <Tp>	[1..1]	±		84
	Description <Desc>	[0..1]	Text		84

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 73 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		73
Or}	DateCode <DtCd>	[1..1]			73
{Or	Code <Cd>	[1..1]	CodeSet		73
Or}	Proprietary <Prtry>	[1..1]	±		74

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
	Name <Nm>	[1..1]	Text		62
	Identification <Id>	[1..1]	±		62

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 158

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 89 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C2	89
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		90
Or}	LEI <LEI>	[1..1]	IdentifierSet		90

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 86 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		86
	Envelope <Envlp>	[1..1]	(External Schema)		87

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]			
	DisclosureResponseIdentification <DsclsrRspnId>	[1..1]	Text		66
	IssuerDisclosureRequestReference <IssrDsclsrReqRef>	[1..1]			66
	IssuerDisclosureRequestIdentification <IssrDsclsrReqId>	[1..1]	Text		67
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	67
	ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt>	[1..1]	±		68
	RespondingIntermediary <RspndgIntrmy>	[1..1]			68
	Name <Nm>	[1..1]	Text		68
	Identification <Id>	[1..1]	±		68
	ResponseReceptionStatus <RspnRcptnSts>	[1..1]			69
{Or	Accepted <Acptd>	[1..1]			69
	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		69
Or}	Rejected <Rjctd>	[1..1]			70
{Or	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		70
Or}	Reason <Rsn>	[1..*]		C1	70
	ReasonCode <RsnCd>	[1..1]			71
{Or	Code <Cd>	[1..1]	CodeSet		71
Or}	Proprietary <Prtry>	[1..1]	±		71
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		71
	SupplementaryData <SplmtryData>	[0..*]	±	C8	72

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 158

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
	IssuerDisclosureRequestIdentification <IssrDsclsrReqId>	[1..1]	Text		67
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	67
	ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt>	[1..1]	±		68

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 158

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 82 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		83
	OtherIdentification <OthrlId>	[0..*]			83
	Identification <Id>	[1..1]	Text		84
	Suffix <Sfx>	[0..1]	Text		84
	Type <Tp>	[1..1]	±		84
	Description <Desc>	[0..1]	Text		84

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 73 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		73
Or}	DateCode <DtCd>	[1..1]			73
{Or	Code <Cd>	[1..1]	CodeSet		73
Or}	Proprietary <Prtry>	[1..1]	±		74

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
	Name <Nm>	[1..1]	Text		68
	Identification <Id>	[1..1]	±		68

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 158

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 89 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C2	89
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		90
Or}	LEI <LEI>	[1..1]	IdentifierSet		90

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	Accepted <Accptd>	[1..1]			69
	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		69
Or}	Rejected <Rjctd>	[1..1]			70
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		70
Or}	Reason <Rsn>	[1..*]		C1	70
	ReasonCode <RsnCd>	[1..1]			71
{Or	Code <Cd>	[1..1]	CodeSet		71
Or}	Proprietary <Prtry>	[1..1]	±		71
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		71

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
	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		69

7.4.4.1.1 NoSpecifiedReason <NoSpcfdRsn>

Presence: [1..1]

Definition: Reason not specified.

Datatype: "[NoReasonCode](#)" on page 151

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	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		70
Or}	Reason <Rsn>	[1..*]		C1	70
	ReasonCode <RsnCd>	[1..1]			71
{Or	Code <Cd>	[1..1]	CodeSet		71
Or}	Proprietary <Prtry>	[1..1]	±		71
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		71

7.4.4.2.1 NoSpecifiedReason <NoSpdfdRsn>

Presence: [1..1]

Definition: Reason not specified.

Datatype: "NoReasonCode" on page 151

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
	ReasonCode <RsnCd>	[1..1]			71
{Or	Code <Cd>	[1..1]	CodeSet		71
Or}	Proprietary <Prtry>	[1..1]	±		71
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		71

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	Code <Cd>	[1..1]	CodeSet		71
Or}	Proprietary <Prtry>	[1..1]	±		71

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 152

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 85 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		85
	Issuer <Issr>	[1..1]	Text		85
	SchemeName <SchmeNm>	[0..1]	Text		85

7.4.4.2.2.2 AdditionalReasonInformation <AddtlRsnInf>

Presence: [0..1]

Definition: Provides additional information about the processed instruction.

Datatype: "Max350Text" on page 158

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 86 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		86
	Envelope <Envlp>	[1..1]	(External Schema)		87

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 Message Items Types

8.1 MessageComponents

8.1.1 Date Time

8.1.1.1 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]	±		73
Or}	DateCode <DtCd>	[1..1]			73
{Or	Code <Cd>	[1..1]	CodeSet		73
Or}	Proprietary <Prtry>	[1..1]	±		74

8.1.1.1.1 Date <Dt>

Presence: [1..1]

Definition: Date expressed as a calendar date.

Date <Dt> contains one of the following elements (see "[DateAndDateTime2Choice](#)" on page 75 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		75
Or}	DateTime <DtTm>	[1..1]	DateTime		75

8.1.1.1.2 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		73
Or}	Proprietary <Prtry>	[1..1]	±		74

8.1.1.1.2.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to indicate the date is unknown.

Datatype: "[DateType1Code](#)" on page 148

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

8.1.1.1.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of date.

Proprietary <Prtry> contains the following elements (see "[GenericIdentification30](#)" on page 85 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		85
	Issuer <Issr>	[1..1]	Text		85
	SchemeName <SchmeNm>	[0..1]	Text		85

8.1.1.2 DateFormat57Choice

Definition: Provides the date.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		74
Or}	DateCode <DtCd>	[1..1]			74
{Or	Code <Cd>	[1..1]	CodeSet		74
Or}	Proprietary <Prtry>	[1..1]	±		75

8.1.1.2.1 Date <Dt>

Presence: [1..1]

Definition: Date expressed as a calendar date.

Datatype: "[ISODate](#)" on page 154

8.1.1.2.2 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		74
Or}	Proprietary <Prtry>	[1..1]	±		75

8.1.1.2.2.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to indicate the date is unknown.

Datatype: "DateType1Code" on page 148

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

8.1.1.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of date.

Proprietary <Prtry> contains the following elements (see "[GenericIdentification30](#)" on page 85 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		85
	Issuer <Issr>	[1..1]	Text		85
	SchemeName <SchmeNm>	[0..1]	Text		85

8.1.1.3 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		75
Or}	DateTime <DtTm>	[1..1]	DateTime		75

8.1.1.3.1 Date <Dt>

Presence: [1..1]

Definition: Specified date.

Datatype: "ISODate" on page 154

8.1.1.3.2 DateTime <DtTm>

Presence: [1..1]

Definition: Specified date and time.

Datatype: "ISODatetime" on page 154

8.1.2 Financial Institution Identification

8.1.2.1 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]	±		76
	MemberIdentification <Mmbld>	[1..1]	Text		76

8.1.2.1.1 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 146 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		146
Or}	Proprietary <Prtry>	[1..1]	Text		146

8.1.2.1.2 MemberIdentification <Mmbld>

Presence: [1..1]

Definition: Identification of a member of a clearing system.

Datatype: "[Max35Text](#)" on page 158

8.1.2.2 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	76
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		77
	LEI <LEI>	[0..1]	IdentifierSet		77
	Name <Nm>	[0..1]	Text		77
	PostalAddress <PstlAdr>	[0..1]	±		77
	Other <Othr>	[0..1]	±		78

8.1.2.2.1 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 155

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.

8.1.2.2.2 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 75](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ClearingSystemIdentification <ClrSysId>	[0..1]	±		76
	MemberIdentification <Mmbld>	[1..1]	Text		76

8.1.2.2.3 LEI <LEI>

Presence: [0..1]

Definition: Legal entity identifier of the financial institution.

Datatype: "[LEIIdentifier](#)" on [page 156](#)

8.1.2.2.4 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 157](#)

8.1.2.2.5 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 140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			141
{Or	Code <Cd>	[1..1]	CodeSet		141
Or}	Proprietary <Prtry>	[1..1]	±		141
	Department <Dept>	[0..1]	Text		141
	SubDepartment <SubDept>	[0..1]	Text		142
	StreetName <StrtNm>	[0..1]	Text		142
	BuildingNumber <BldgNb>	[0..1]	Text		142
	BuildingName <BldgNm>	[0..1]	Text		142
	Floor <Flr>	[0..1]	Text		142
	PostBox <PstBx>	[0..1]	Text		142
	Room <Room>	[0..1]	Text		142
	PostCode <PstCd>	[0..1]	Text		142
	TownName <TwnNm>	[0..1]	Text		143
	TownLocationName <TwnLctnNm>	[0..1]	Text		143
	DistrictName <DstrctNm>	[0..1]	Text		143
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		143
	Country <Ctry>	[0..1]	CodeSet	C2	143
	AddressLine <AdrLine>	[0..7]	Text		143

8.1.2.2.6 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 81 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		81
	SchemeName <SchmeNm>	[0..1]			82
{Or	Code <Cd>	[1..1]	CodeSet		82
Or}	Proprietary <Prtry>	[1..1]	Text		82
	Issuer <Issr>	[0..1]	Text		82

8.1.2.3 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		79
	LEI <LEI>	[0..1]	IdentifierSet		79
	Name <Nm>	[0..1]	Text		79
	PostalAddress <PstAdr>	[0..1]	±		79

8.1.2.3.1 Identification <Id>

Presence: [0..1]

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

Datatype: "Max35Text" on page 158

8.1.2.3.2 LEI <LEI>

Presence: [0..1]

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

Datatype: "LEIIdentifier" on page 156

8.1.2.3.3 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 157

8.1.2.3.4 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 140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			141
{Or	Code <Cd>	[1..1]	CodeSet		141
Or}	Proprietary <Prtry>	[1..1]	±		141
	Department <Dept>	[0..1]	Text		141
	SubDepartment <SubDept>	[0..1]	Text		142
	StreetName <StrtNm>	[0..1]	Text		142
	BuildingNumber <BldgNb>	[0..1]	Text		142
	BuildingName <BldgNm>	[0..1]	Text		142
	Floor <Flr>	[0..1]	Text		142
	PostBox <PstBx>	[0..1]	Text		142
	Room <Room>	[0..1]	Text		142
	PostCode <PstCd>	[0..1]	Text		142
	TownName <TwnNm>	[0..1]	Text		143
	TownLocationName <TwnLctnNm>	[0..1]	Text		143
	DistrictName <DstrctNm>	[0..1]	Text		143
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		143
	Country <Ctry>	[0..1]	CodeSet	C2	143
	AddressLine <AdrLine>	[0..7]	Text		143

8.1.2.4 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]	±		80
	BranchIdentification <BrnchId>	[0..1]	±		81

8.1.2.4.1 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 76 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C2	76
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		77
	LEI <LEI>	[0..1]	IdentifierSet		77
	Name <Nm>	[0..1]	Text		77
	PostalAddress <PstlAdr>	[0..1]	±		77
	Other <Othr>	[0..1]	±		78

8.1.2.4.2 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 79 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		79
	LEI <LEI>	[0..1]	IdentifierSet		79
	Name <Nm>	[0..1]	Text		79
	PostalAddress <PstlAdr>	[0..1]	±		79

8.1.2.5 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		81
	SchemeName <SchmeNm>	[0..1]			82
{Or	Code <Cd>	[1..1]	CodeSet		82
Or}	Proprietary <Prtry>	[1..1]	Text		82
	Issuer <Issr>	[0..1]	Text		82

8.1.2.5.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identification of a person.

Datatype: "Max35Text" on page 158

8.1.2.5.2 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		82
Or}	Proprietary <Prtry>	[1..1]	Text		82

8.1.2.5.2.1 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 149

8.1.2.5.2.2 Proprietary <Prtry>

Presence: [1..1]

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

Datatype: "Max35Text" on page 158

8.1.2.5.3 Issuer <Issr>

Presence: [0..1]

Definition: Entity that assigns the identification.

Datatype: "Max35Text" on page 158

8.1.3 Financial Instrument

8.1.3.1 SecurityIdentification19

Definition: Identification of a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		83
	OtherIdentification <OthrlId>	[0..*]			83
	Identification <Id>	[1..1]	Text		84
	Suffix <Sfx>	[0..1]	Text		84
	Type <Tp>	[1..1]	±		84
	Description <Desc>	[0..1]	Text		84

Constraints

- **DescriptionPresenceRule**

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

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

- **DescriptionUsageRule**

Description must be used alone as the last resort.

- **ISINGuideline**

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

- **ISINPresenceRule**

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

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

- **OtherIdentificationPresenceRule**

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

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

8.1.3.1.1 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 155

8.1.3.1.2 OtherIdentification <Othrid>

Presence: [0..*]

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

OtherIdentification <Othrid> contains the following **OtherIdentification1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		84
	Suffix <Sfx>	[0..1]	Text		84
	Type <Tp>	[1..1]	±		84

8.1.3.1.2.1 Identification <Id>

Presence: [1..1]

Definition: Identification of a security.

Datatype: "Max35Text" on page 158

8.1.3.1.2.2 Suffix <Sfx>

Presence: [0..1]

Definition: Identifies the suffix of the security identification.

Datatype: "Max16Text" on page 157

8.1.3.1.2.3 Type <Tp>

Presence: [1..1]

Definition: Type of the identification.

Type <Tp> contains one of the following elements (see "IdentificationSource3Choice" on page 84 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		85
Or}	Proprietary <Prtry>	[1..1]	Text		85

8.1.3.1.3 Description <Desc>

Presence: [0..1]

Definition: Textual description of a security instrument.

Datatype: "Max140Text" on page 157

8.1.4 Identification Information

8.1.4.1 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		85
Or}	Proprietary <Prtry>	[1..1]	Text		85

8.1.4.1.1 Code <Cd>

Presence: [1..1]

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

Datatype: "ExternalFinancialInstrumentIdentificationType1Code" on page 150

8.1.4.1.2 Proprietary <Prtry>

Presence: [1..1]

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

Datatype: "Max35Text" on page 158

8.1.4.2 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		85
	Issuer <Issr>	[1..1]	Text		85
	SchemeName <SchmeNm>	[0..1]	Text		85

8.1.4.2.1 Identification <Id>

Presence: [1..1]

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

Datatype: "Exact4AlphaNumericText" on page 157

8.1.4.2.2 Issuer <Issr>

Presence: [1..1]

Definition: Entity that assigns the identification.

Datatype: "Max35Text" on page 158

8.1.4.2.3 SchemeName <SchmeNm>

Presence: [0..1]

Definition: Short textual description of the scheme.

Datatype: "Max35Text" on page 158

8.1.4.3 GenericIdentification36

Definition: Identification using a proprietary scheme.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		86
	Issuer <Issr>	[1..1]	Text		86
	SchemeName <SchmeNm>	[0..1]	Text		86

8.1.4.3.1 Identification <Id>

Presence: [1..1]

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

Datatype: "Max35Text" on page 158

8.1.4.3.2 Issuer <Issr>

Presence: [1..1]

Definition: Entity that assigns the identification.

Datatype: "Max35Text" on page 158

8.1.4.3.3 SchemeName <SchmeNm>

Presence: [0..1]

Definition: Short textual description of the scheme.

Datatype: "Max35Text" on page 158

8.1.5 Miscellaneous

8.1.5.1 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		86
	Envelope <Envlp>	[1..1]	(External Schema)		87

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.

8.1.5.1.1 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 158

8.1.5.1.2 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.

8.1.5.2 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		87
	IdentificationType <IdTp>	[0..1]			87
{Or	Code <Cd>	[1..1]	CodeSet		87
Or}	Proprietary <Prtry>	[1..1]	±		88

8.1.5.2.1 Identification <Id>

Presence: [1..1]

Definition: Natural person local identification.

Datatype: "Max35Text" on page 158

8.1.5.2.2 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		87
Or}	Proprietary <Prtry>	[1..1]	±		88

8.1.5.2.2.1 Code <Cd>

Presence: [1..1]

Definition: Type of identification expressed as a code.

Datatype: "TypeOfIdentification4Code" on page 153

CodeName	Name	Definition
ARNU	AlienRegistrationNumber	Number assigned by a government agency to identify foreign nationals.

CodeName	Name	Definition
CUST	Concat	Number assigned by an issuer to identify a customer via the concatenation of the birthdate and characters of the first name and surname.
CORP	CorporateIdentification	Number assigned to a corporate entity.
DRLC	DriverLicenseNumber	Number assigned to a driver's license.
IDCD	IdentityCardNumber	Number assigned by a national authority to an identity card.
NRIN	NationalRegistrationIdentificationNumber	National registration identification number. In Singapore this is known as the NRIC.
CCPT	PassportNumber	Number assigned by a passport authority.
SOCS	SocialSecurityNumber	Number assigned by a social security agency.
TXID	TaxIdentificationNumber	Number assigned by a tax authority to an entity.

8.1.5.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of identification expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see "[GenericIdentification30](#)" on page 85 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		85
	Issuer <Issr>	[1..1]	Text		85
	SchemeName <SchmeNm>	[0..1]	Text		85

8.1.5.3 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		88
Or}	Proprietary <Prtry>	[1..1]	±		89

8.1.5.3.1 Code <Cd>

Presence: [1..1]

Definition: Role expressed as a code.

Datatype: "[PartyRole2Code](#)" on page 151

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.

8.1.5.3.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Role expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see "[GenericIdentification30](#)" on page 85 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		85
	Issuer <Issr>	[1..1]	Text		85
	SchemeName <SchmeNm>	[0..1]	Text		85

8.1.5.4 PartyIdentification195Choice

Definition: Identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C2	89
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		90
Or}	LEI <LEI>	[1..1]	IdentifierSet		90

8.1.5.4.1 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 154

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.

8.1.5.4.2 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 85 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		86
	Issuer <Issr>	[1..1]	Text		86
	SchemeName <SchmeNm>	[0..1]	Text		86

8.1.5.4.3 LEI <LEI>

Presence: [1..1]

Definition: Legal entity identifier of the party.

Datatype: "[LEIIdentifier](#)" on page 156

8.1.5.5 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		90
Or}	DateCalculationDescription <DtClctnDesc>	[1..1]	Text		91

8.1.5.5.1 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 148

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

8.1.5.5.2 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 158

8.1.5.6 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		91
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		91

8.1.5.6.1 PageNumber <PgNb>

Presence: [1..1]

Definition: Page number.

Datatype: "Max5NumericText" on page 159

8.1.5.6.2 LastPageIndicator <LastPgInd>

Presence: [1..1]

Definition: Indicates the last page.

Datatype: One of the following values must be used (see "YesNoIndicator" on page 156):

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

8.1.6 Organisation Identification

8.1.6.1 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	92
	LEI <LEI>	[0..1]	IdentifierSet		92
	Other <Othr>	[0..*]			92
	Identification <Id>	[1..1]	Text		93
	SchemeName <SchmeNm>	[0..1]			93
{Or	Code <Cd>	[1..1]	CodeSet		93
Or}	Proprietary <Prtry>	[1..1]	Text		93
	Issuer <Issr>	[0..1]	Text		93

8.1.6.1.1 AnyBIC <AnyBIC>

Presence: [0..1]

Definition: Business identification code of the organisation.

Impacted by: C2 "AnyBIC"

Datatype: "AnyBICDec2014Identifier" on page 154

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.

8.1.6.1.2 LEI <LEI>

Presence: [0..1]

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

Datatype: "LEIIdentifier" on page 156

8.1.6.1.3 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		93
	SchemeName <SchmeNm>	[0..1]			93
{Or	Code <Cd>	[1..1]	CodeSet		93
Or}	Proprietary <Prtry>	[1..1]	Text		93
	Issuer <Issr>	[0..1]	Text		93

8.1.6.1.3.1 Identification <Id>

Presence: [1..1]

Definition: Identification assigned by an institution.

Datatype: "Max35Text" on page 158

8.1.6.1.3.2 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		93
Or}	Proprietary <Prtry>	[1..1]	Text		93

8.1.6.1.3.2.1 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 150

8.1.6.1.3.2.2 Proprietary <Prtry>

Presence: [1..1]

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

Datatype: "Max35Text" on page 158

8.1.6.1.3.3 Issuer <Issr>

Presence: [0..1]

Definition: Entity that assigns the identification.

Datatype: "Max35Text" on page 158

8.1.7 Party Identification

8.1.7.1 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		94
	PostalAddress <PstlAdr>	[0..1]	±		94
	Identification <Id>	[0..1]	±		95
	CountryOfResidence <CtryOfRes>	[0..1]	CodeSet	C2	95
	ContactDetails <CtctDtls>	[0..1]	±		96

8.1.7.1.1 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 157

8.1.7.1.2 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 140 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			141
{Or	Code <Cd>	[1..1]	CodeSet		141
Or}	Proprietary <Prtry>	[1..1]	±		141
	Department <Dept>	[0..1]	Text		141
	SubDepartment <SubDept>	[0..1]	Text		142
	StreetName <StrtNm>	[0..1]	Text		142
	BuildingNumber <BldgNb>	[0..1]	Text		142
	BuildingName <BldgNm>	[0..1]	Text		142
	Floor <Flr>	[0..1]	Text		142
	PostBox <PstBx>	[0..1]	Text		142
	Room <Room>	[0..1]	Text		142
	PostCode <PstCd>	[0..1]	Text		142
	TownName <TwnNm>	[0..1]	Text		143
	TownLocationName <TwnLctnNm>	[0..1]	Text		143
	DistrictName <DstrctNm>	[0..1]	Text		143
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		143
	Country <Ctry>	[0..1]	CodeSet	C2	143
	AddressLine <AdrLine>	[0..7]	Text		143

8.1.7.1.3 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 130 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	OrganisationIdentification <OrgId>	[1..1]	±		130
Or}	PrivateIdentification <PrvtId>	[1..1]	±		131

8.1.7.1.4 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 148

Constraints

- **Country**

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

8.1.7.1.5 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 134 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]	CodeSet		134
	Name <Nm>	[0..1]	Text		135
	PhoneNumber <PhneNb>	[0..1]	Text		135
	MobileNumber <MobNb>	[0..1]	Text		135
	FaxNumber <FaxNb>	[0..1]	Text		135
	EmailAddress <EmailAdr>	[0..1]	Text		135
	EmailPurpose <EmailPurp>	[0..1]	Text		135
	JobTitle <JobTitl>	[0..1]	Text		135
	Responsibility <Rspnsblty>	[0..1]	Text		136
	Department <Dept>	[0..1]	Text		136
	Other <Othr>	[0..*]			136
	ChannelType <ChanITp>	[1..1]	Text		136
	Identification <Id>	[0..1]	Text		136
	PreferredMethod <PrefrdMtd>	[0..1]	CodeSet		136

8.1.7.2 PartyIdentification198Choice

Definition: Identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NationalRegistrationNumber <NtlRegnNb>	[1..1]	Text		97
Or	LEI <LEI>	[1..1]	IdentifierSet		97
Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C2	97
Or	ClientIdentification <Clntld>	[1..1]	Text		97
Or}	ProprietaryIdentification <Prtryld>	[1..1]	±		97

8.1.7.2.1 NationalRegistrationNumber <NtlRegnNb>

Presence: [1..1]

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

Datatype: "Max35Text" on page 158

8.1.7.2.2 LEI <LEI>

Presence: [1..1]

Definition: Legal entity identifier of the party.

Datatype: "LEIIdentifier" on page 156

8.1.7.2.3 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 154

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.

8.1.7.2.4 ClientIdentification <Clntld>

Presence: [1..1]

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

Datatype: "Max50Text" on page 158

8.1.7.2.5 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 85 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		86
	Issuer <Issr>	[1..1]	Text		86
	SchemeName <SchmeNm>	[0..1]	Text		86

8.1.7.3 PartyIdentification237

Definition: Identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NameAndAddress <NmAndAdr>	[1..1]			99
	Name <Nm>	[1..1]	Text		100
	Address <Adr>	[0..1]			100
	AddressType <AdrTp>	[0..1]	CodeSet		101
	AddressLine <AdrLine>	[0..5]	Text		101
	StreetName <StrtNm>	[0..1]	Text		101
	BuildingNumber <BldgNb>	[0..1]	Text		101
	PostBox <PstBx>	[0..1]	Text		101
	PostCode <PstCd>	[0..1]	Text		101
	TownName <TwnNm>	[0..1]	Text		102
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		102
	Country <Ctry>	[1..1]	CodeSet	C2	102
	EmailAddress <EmailAdr>	[0..1]	Text		102
	Identification <Id>	[1..1]	±		102
	CountryOfIncorporation <CtryOfIncorprtn>	[0..1]	CodeSet	C2	102
	YearOfIncorporation <YrOfIncorprtn>	[0..1]	Year		103
	ActivityIndicator <ActvtyInd>	[0..1]	IdentifierSet		103
	InvestorType <InvstrTp>	[0..1]			103
{Or	Code <Cd>	[1..1]	CodeSet		103
Or}	Proprietary <Prtry>	[1..1]	±		104
	Ownership <Ownrsh>	[0..1]			104
	OwnershipType <OwnrshTp>	[0..1]			104
{Or	Code <Cd>	[1..1]	CodeSet		104
Or}	Proprietary <Prtry>	[1..1]	±		105
	OwnershipPercentage <OwnrshPctg>	[0..1]	Rate		105
	UsufructPercentage <UsfrctPctg>	[0..1]	Rate		105

8.1.7.3.1 NameAndAddress <NmAndAdr>

Presence: [1..1]

Definition: Name and address of the party.

NameAndAddress <NmAndAdr> contains the following **NameAndAddress17** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		100
	Address <Adr>	[0..1]			100
	AddressType <AdrTp>	[0..1]	CodeSet		101
	AddressLine <AdrLine>	[0..5]	Text		101
	StreetName <StrtNm>	[0..1]	Text		101
	BuildingNumber <BldgNb>	[0..1]	Text		101
	PostBox <PstBx>	[0..1]	Text		101
	PostCode <PstCd>	[0..1]	Text		101
	TownName <TwnNm>	[0..1]	Text		102
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		102
	Country <Ctry>	[1..1]	CodeSet	C2	102

8.1.7.3.1.1 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 158

8.1.7.3.1.2 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		101
	AddressLine <AdrLine>	[0..5]	Text		101
	StreetName <StrtNm>	[0..1]	Text		101
	BuildingNumber <BldgNb>	[0..1]	Text		101
	PostBox <PstBx>	[0..1]	Text		101
	PostCode <PstCd>	[0..1]	Text		101
	TownName <TwnNm>	[0..1]	Text		102
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		102
	Country <Ctry>	[1..1]	CodeSet	C2	102

8.1.7.3.1.2.1 AddressType <AdrTp>

Presence: [0..1]

Definition: Identifies the nature of the postal address.

Datatype: "AddressType2Code" on page 147

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.

8.1.7.3.1.2.2 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 159

8.1.7.3.1.2.3 StreetName <StrtNm>

Presence: [0..1]

Definition: Name of a street or thoroughfare.

Datatype: "Max70Text" on page 159

8.1.7.3.1.2.4 BuildingNumber <BldgNb>

Presence: [0..1]

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

Datatype: "Max16Text" on page 157

8.1.7.3.1.2.5 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 157

8.1.7.3.1.2.6 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 157

8.1.7.3.1.2.7 TownName <TwnNm>

Presence: [0..1]

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

Datatype: "Max35Text" on page 158

8.1.7.3.1.2.8 CountrySubDivision <CtrySubDvsn>

Presence: [0..1]

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

Datatype: "Max35Text" on page 158

8.1.7.3.1.2.9 Country <Ctry>

Presence: [1..1]

Definition: Nation with its own government.

Impacted by: C2 "Country"

Datatype: "CountryCode" on page 148

Constraints

- **Country**

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

8.1.7.3.2 EmailAddress <EmailAdr>

Presence: [0..1]

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

Datatype: "Max256Text" on page 158

8.1.7.3.3 Identification <Id>

Presence: [1..1]

Definition: Identification of the party.

Identification <Id> contains one of the following elements (see "PartyIdentification198Choice" on page 96 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NationalRegistrationNumber <NtlRegnNb>	[1..1]	Text		97
Or	LEI <LEI>	[1..1]	IdentifierSet		97
Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C2	97
Or	ClientIdentification <CIntId>	[1..1]	Text		97
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		97

8.1.7.3.4 CountryOfIncorporation <CtryOfIncorprtn>

Presence: [0..1]

Definition: Country in which the company is incorporated or legally registered.

Impacted by: C2 "Country"

Datatype: "CountryCode" on page 148

Constraints

- **Country**

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

8.1.7.3.5 YearOfIncorporation <YrOfIncorprtn>

Presence: [0..1]

Definition: Year during which the legal entity was officially incorporated.

Datatype: "ISOYear" on page 159

8.1.7.3.6 ActivityIndicator <ActvtyInd>

Presence: [0..1]

Definition: Economical activity of the investor.

Datatype: "ISICIdentifier" on page 155

8.1.7.3.7 InvestorType <InvstrTp>

Presence: [0..1]

Definition: Type of investor.

InvestorType <InvstrTp> contains one of the following **InvestorType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		103
Or}	Proprietary <Prtry>	[1..1]	±		104

8.1.7.3.7.1 Code <Cd>

Presence: [1..1]

Definition: Investor type expressed as an ISO 20022 code.

Datatype: "Eligibility1Code" on page 149

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.

8.1.7.3.7.2 Proprietary <Prtry>*Presence:* [1..1]*Definition:* Investor type expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification30](#)" on page 85 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		85
	Issuer <Issr>	[1..1]	Text		85
	SchemeName <SchmeNm>	[0..1]	Text		85

8.1.7.3.8 Ownership <Ownrsh>*Presence:* [0..1]*Definition:* Information about the ownership on an asset.**Ownership <Ownrsh>** contains the following **Ownership1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnershipType <OwnrshTp>	[0..1]			104
{Or	Code <Cd>	[1..1]	CodeSet		104
Or}	Proprietary <Prtry>	[1..1]	±		105
	OwnershipPercentage <OwnrshPctg>	[0..1]	Rate		105
	UsufructPercentage <UsfrctPctg>	[0..1]	Rate		105

8.1.7.3.8.1 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		104
Or}	Proprietary <Prtry>	[1..1]	±		105

8.1.7.3.8.1.1 Code <Cd>*Presence:* [1..1]*Definition:* Owner type expressed as an ISO 20022 code.*Datatype:* "[AccountOwnershipType5Code](#)" on page 147

CodeName	Name	Definition
USUF	Usufructuary	The person is ...

CodeName	Name	Definition
OWNR	Owner	A person has full ownership on the asset.
BOWN	BareOwner	A person has bare ownership on the asset.

8.1.7.3.8.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Owner type expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see "[GenericIdentification30](#)" on page 85 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		85
	Issuer <Issr>	[1..1]	Text		85
	SchemeName <SchmeNm>	[0..1]	Text		85

8.1.7.3.8.2 OwnershipPercentage <OwnrshPctg>

Presence: [0..1]

Definition: Percentage of ownership that a person has on an asset.

Datatype: "[PercentageRate](#)" on page 156

8.1.7.3.8.3 UsufructPercentage <UsfrctPctg>

Presence: [0..1]

Definition: Percentage of usufruct that a person has on an asset.

Datatype: "[PercentageRate](#)" on page 156

8.1.7.4 PartyIdentification202

Definition: Identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NameAndAddress <NmAndAdr>	[1..1]			106
	FirstName <FrstNm>	[1..1]	Text		107
	Surname <SrnM>	[1..1]	Text		107
	Address <Adr>	[0..1]			107
	AddressType <AdrTp>	[0..1]	CodeSet		107
	AddressLine <AdrLine>	[0..5]	Text		108
	StreetName <StrtNm>	[0..1]	Text		108
	BuildingNumber <BldgNb>	[0..1]	Text		108
	PostBox <PstBx>	[0..1]	Text		108
	PostCode <PstCd>	[0..1]	Text		108
	TownName <TwnNm>	[0..1]	Text		108
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		108
	Country <Ctry>	[1..1]	CodeSet	C2	108
	Identification <Id>	[1..1]	±		109

8.1.7.4.1 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		107
	Surname <SrnM>	[1..1]	Text		107
	Address <Adr>	[0..1]			107
	AddressType <AdrTp>	[0..1]	CodeSet		107
	AddressLine <AdrLine>	[0..5]	Text		108
	StreetName <StrtNm>	[0..1]	Text		108
	BuildingNumber <BldgNb>	[0..1]	Text		108
	PostBox <PstBx>	[0..1]	Text		108
	PostCode <PstCd>	[0..1]	Text		108
	TownName <TwnNm>	[0..1]	Text		108
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		108
	Country <Ctry>	[1..1]	CodeSet	C2	108

8.1.7.4.1.1 FirstName <FrstNm>*Presence:* [1..1]*Definition:* First name(s) by which a natural person is known.*Datatype:* "Max350Text" on page 158**8.1.7.4.1.2 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 158**8.1.7.4.1.3 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		107
	AddressLine <AdrLine>	[0..5]	Text		108
	StreetName <StrtNm>	[0..1]	Text		108
	BuildingNumber <BldgNb>	[0..1]	Text		108
	PostBox <PstBx>	[0..1]	Text		108
	PostCode <PstCd>	[0..1]	Text		108
	TownName <TwnNm>	[0..1]	Text		108
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		108
	Country <Ctry>	[1..1]	CodeSet	C2	108

8.1.7.4.1.3.1 AddressType <AdrTp>*Presence:* [0..1]*Definition:* Identifies the nature of the postal address.*Datatype:* "AddressType2Code" on page 147

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.

8.1.7.4.1.3.2 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 159

8.1.7.4.1.3.3 StreetName <StrtNm>

Presence: [0..1]

Definition: Name of a street or thoroughfare.

Datatype: "Max70Text" on page 159

8.1.7.4.1.3.4 BuildingNumber <BldgNb>

Presence: [0..1]

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

Datatype: "Max16Text" on page 157

8.1.7.4.1.3.5 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 157

8.1.7.4.1.3.6 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 157

8.1.7.4.1.3.7 TownName <TwnNm>

Presence: [0..1]

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

Datatype: "Max35Text" on page 158

8.1.7.4.1.3.8 CountrySubDivision <CtrySubDvsn>

Presence: [0..1]

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

Datatype: "Max35Text" on page 158

8.1.7.4.1.3.9 Country <Ctry>

Presence: [1..1]

Definition: Nation with its own government.

Impacted by: C2 "Country"

Datatype: "CountryCode" on page 148

Constraints

- **Country**

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

8.1.7.4.2 Identification <Id>

Presence: [1..1]

Definition: CONCAT

Identification <Id> contains the following elements (see "[NaturalPersonIdentification1](#)" on page 87 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		87
	IdentificationType <IdTp>	[0..1]			87
{Or	Code <Cd>	[1..1]	CodeSet		87
Or}	Proprietary <Prtry>	[1..1]	±		88

8.1.7.5 PartyIdentification201

Definition: Identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NameAndAddress <NmAndAdr>	[0..1]			109
	Name <Nm>	[1..1]	Text		110
	Address <Adr>	[0..1]			110
	AddressType <AdrTp>	[0..1]	CodeSet		111
	AddressLine <AdrLine>	[0..5]	Text		111
	StreetName <StrtNm>	[0..1]	Text		111
	BuildingNumber <BldgNb>	[0..1]	Text		111
	PostBox <PstBx>	[0..1]	Text		111
	PostCode <PstCd>	[0..1]	Text		111
	TownName <TwnNm>	[0..1]	Text		112
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		112
	Country <Ctry>	[1..1]	CodeSet	C2	112
	Identification <Id>	[1..1]	±		112

8.1.7.5.1 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		110
	Address <Adr>	[0..1]			110
	AddressType <AdrTp>	[0..1]	CodeSet		111
	AddressLine <AdrLine>	[0..5]	Text		111
	StreetName <StrtNm>	[0..1]	Text		111
	BuildingNumber <BldgNb>	[0..1]	Text		111
	PostBox <PstBx>	[0..1]	Text		111
	PostCode <PstCd>	[0..1]	Text		111
	TownName <TwnNm>	[0..1]	Text		112
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		112
	Country <Ctry>	[1..1]	CodeSet	C2	112

8.1.7.5.1.1 Name <Nm>

Presence: [1..1]

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

Datatype: "Max350Text" on page 158

8.1.7.5.1.2 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		111
	AddressLine <AdrLine>	[0..5]	Text		111
	StreetName <StrtNm>	[0..1]	Text		111
	BuildingNumber <BldgNb>	[0..1]	Text		111
	PostBox <PstBx>	[0..1]	Text		111
	PostCode <PstCd>	[0..1]	Text		111
	TownName <TwnNm>	[0..1]	Text		112
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		112
	Country <Ctry>	[1..1]	CodeSet	C2	112

8.1.7.5.1.2.1 AddressType <AdrTp>

Presence: [0..1]

Definition: Identifies the nature of the postal address.

Datatype: "AddressType2Code" on page 147

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.

8.1.7.5.1.2.2 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 159

8.1.7.5.1.2.3 StreetName <StrtNm>

Presence: [0..1]

Definition: Name of a street or thoroughfare.

Datatype: "Max70Text" on page 159

8.1.7.5.1.2.4 BuildingNumber <BldgNb>

Presence: [0..1]

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

Datatype: "Max16Text" on page 157

8.1.7.5.1.2.5 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 157

8.1.7.5.1.2.6 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 157

8.1.7.5.1.2.7 TownName <TwnNm>

Presence: [0..1]

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

Datatype: ["Max35Text" on page 158](#)

8.1.7.5.1.2.8 CountrySubDivision <CtrySubDvsn>

Presence: [0..1]

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

Datatype: ["Max35Text" on page 158](#)

8.1.7.5.1.2.9 Country <Ctry>

Presence: [1..1]

Definition: Nation with its own government.

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

Datatype: ["CountryCode" on page 148](#)

Constraints**• Country**

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

8.1.7.5.2 Identification <Id>

Presence: [1..1]

Definition: Identification of the party.

Identification <Id> contains one of the following elements (see ["PartyIdentification198Choice" on page 96](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NationalRegistrationNumber <NtlRegnNb>	[1..1]	Text		97
Or	LEI <LEI>	[1..1]	IdentifierSet		97
Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C2	97
Or	ClientIdentification <ClnId>	[1..1]	Text		97
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		97

8.1.7.6 PartyIdentification217

Definition: Identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NameAndAddress <NmAndAdr>	[1..1]			114
	NamePrefix <NmPrfx>	[0..1]	CodeSet		114
	FirstName <FrstNm>	[1..1]	Text		114
	Surname <SrnM>	[1..1]	Text		115
	Address <Adr>	[0..1]			115
	AddressType <AdrTp>	[0..1]	CodeSet		115
	AddressLine <AdrLine>	[0..5]	Text		115
	StreetName <StrtNm>	[0..1]	Text		116
	BuildingNumber <BldgNb>	[0..1]	Text		116
	PostBox <PstBx>	[0..1]	Text		116
	PostCode <PstCd>	[0..1]	Text		116
	TownName <TwnNm>	[0..1]	Text		116
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		116
	Country <Ctry>	[1..1]	CodeSet	C2	116
	EmailAddress <EmailAdr>	[0..1]	Text		117
	Identification <Id>	[1..1]	±		117
	Nationality <Ntlty>	[0..1]	CodeSet	C2	117
	DateAndPlaceOfBirth <DtAndPlcOfBirth>	[0..1]			117
	BirthDate <BirthDt>	[1..1]	Date		118
	ProvinceOfBirth <PrvcOfBirth>	[0..1]	Text		118
	CityOfBirth <CityOfBirth>	[0..1]	Text		118
	CountryOfBirth <CtryOfBirth>	[0..1]	CodeSet	C2	118
	InvestorType <InvstrTp>	[0..1]			118
{Or	Code <Cd>	[1..1]	CodeSet		119
Or}	Proprietary <Prtry>	[1..1]	±		119
	Ownership <Ownrsh>	[0..1]			119
	OwnershipType <OwnrshTp>	[0..1]			120
{Or	Code <Cd>	[1..1]	CodeSet		120
Or}	Proprietary <Prtry>	[1..1]	±		120
	OwnershipPercentage <OwnrshPctg>	[0..1]	Rate		121
	UsufructPercentage <UsfrctPctg>	[0..1]	Rate		121

8.1.7.6.1 NameAndAddress <NmAndAdr>*Presence:* [1..1]*Definition:* Name and address of the party.**NameAndAddress <NmAndAdr>** contains the following **PersonName3** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]	CodeSet		114
	FirstName <FrstNm>	[1..1]	Text		114
	Surname <Snm>	[1..1]	Text		115
	Address <Adr>	[0..1]			115
	AddressType <AdrTp>	[0..1]	CodeSet		115
	AddressLine <AdrLine>	[0..5]	Text		115
	StreetName <StrtNm>	[0..1]	Text		116
	BuildingNumber <BldgNb>	[0..1]	Text		116
	PostBox <PstBx>	[0..1]	Text		116
	PostCode <PstCd>	[0..1]	Text		116
	TownName <TwnNm>	[0..1]	Text		116
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		116
	Country <Ctry>	[1..1]	CodeSet	C2	116

8.1.7.6.1.1 NamePrefix <NmPrfx>*Presence:* [0..1]*Definition:* Prefix, as a title before a person's name.*Datatype:* "NamePrefix2Code" on page 151

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).

8.1.7.6.1.2 FirstName <FrstNm>*Presence:* [1..1]*Definition:* First name(s) by which a natural person is known.*Datatype:* "Max350Text" on page 158

8.1.7.6.1.3 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 158**8.1.7.6.1.4 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		115
	AddressLine <AdrLine>	[0..5]	Text		115
	StreetName <StrtNm>	[0..1]	Text		116
	BuildingNumber <BldgNb>	[0..1]	Text		116
	PostBox <PstBx>	[0..1]	Text		116
	PostCode <PstCd>	[0..1]	Text		116
	TownName <TwnNm>	[0..1]	Text		116
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		116
	Country <Ctry>	[1..1]	CodeSet	C2	116

8.1.7.6.1.4.1 AddressType <AdrTp>*Presence:* [0..1]*Definition:* Identifies the nature of the postal address.*Datatype:* "AddressType2Code" on page 147

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.

8.1.7.6.1.4.2 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 159

8.1.7.6.1.4.3 StreetName <StrtNm>

Presence: [0..1]

Definition: Name of a street or thoroughfare.

Datatype: "Max70Text" on page 159

8.1.7.6.1.4.4 BuildingNumber <BldgNb>

Presence: [0..1]

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

Datatype: "Max16Text" on page 157

8.1.7.6.1.4.5 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 157

8.1.7.6.1.4.6 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 157

8.1.7.6.1.4.7 TownName <TwnNm>

Presence: [0..1]

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

Datatype: "Max35Text" on page 158

8.1.7.6.1.4.8 CountrySubDivision <CtrySubDvsn>

Presence: [0..1]

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

Datatype: "Max35Text" on page 158

8.1.7.6.1.4.9 Country <Ctry>

Presence: [1..1]

Definition: Nation with its own government.

Impacted by: C2 "Country"

Datatype: "CountryCode" on page 148

Constraints

- **Country**

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

8.1.7.6.2 EmailAddress <EmailAdr>

Presence: [0..1]

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

Datatype: "Max256Text" on page 158

8.1.7.6.3 Identification <Id>

Presence: [1..1]

Definition: Natural person identification details.

Identification <Id> contains the following elements (see "NaturalPersonIdentification1" on page 87 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		87
	IdentificationType <IdTp>	[0..1]			87
{Or	Code <Cd>	[1..1]	CodeSet		87
Or}	Proprietary <Prtry>	[1..1]	±		88

8.1.7.6.4 Nationality <Ntlty>

Presence: [0..1]

Definition: Nationality of the person.

Impacted by: C2 "Country"

Datatype: "CountryCode" on page 148

Constraints

- **Country**

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

8.1.7.6.5 DateAndPlaceOfBirth <DtAndPlcOfBirth>

Presence: [0..1]

Definition: Date on which and place at which a person is born.

DateAndPlaceOfBirth <DtAndPlcOfBirth> contains the following **DateAndPlaceOfBirth2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BirthDate <BirthDt>	[1..1]	Date		118
	ProvinceOfBirth <PrvcOfBirth>	[0..1]	Text		118
	CityOfBirth <CityOfBirth>	[0..1]	Text		118
	CountryOfBirth <CtryOfBirth>	[0..1]	CodeSet	C2	118

8.1.7.6.5.1 BirthDate <BirthDt>

Presence: [1..1]

Definition: Date on which a person is born.

Datatype: "ISODate" on page 154

8.1.7.6.5.2 ProvinceOfBirth <PrvcOfBirth>

Presence: [0..1]

Definition: Province where a person was born.

Datatype: "Max35Text" on page 158

8.1.7.6.5.3 CityOfBirth <CityOfBirth>

Presence: [0..1]

Definition: City where a person was born.

Datatype: "Max35Text" on page 158

8.1.7.6.5.4 CountryOfBirth <CtryOfBirth>

Presence: [0..1]

Definition: Country where a person was born.

Impacted by: C2 "Country"

Datatype: "CountryCode" on page 148

Constraints

- **Country**

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

8.1.7.6.6 InvestorType <InvstrTp>

Presence: [0..1]

Definition: Type of investor.

InvestorType <InvstrTp> contains one of the following **InvestorType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		119
Or}	Proprietary <Prtry>	[1..1]	±		119

8.1.7.6.6.1 Code <Cd>

Presence: [1..1]

Definition: Investor type expressed as an ISO 20022 code.

Datatype: "Eligibility1Code" on page 149

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.

8.1.7.6.6.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Investor type expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see "[GenericIdentification30](#)" on page 85 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		85
	Issuer <Issr>	[1..1]	Text		85
	SchemeName <SchmeNm>	[0..1]	Text		85

8.1.7.6.7 Ownership <Ownrsh>

Presence: [0..1]

Definition: Provides information about the ownership on an asset.

Ownership <Ownrsh> contains the following **Ownership1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnershipType <OwnrshTp>	[0..1]			120
{Or	Code <Cd>	[1..1]	CodeSet		120
Or}	Proprietary <Prtry>	[1..1]	±		120
	OwnershipPercentage <OwnrshPctg>	[0..1]	Rate		121
	UsufructPercentage <UsfrctPctg>	[0..1]	Rate		121

8.1.7.6.7.1 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		120
Or}	Proprietary <Prtry>	[1..1]	±		120

8.1.7.6.7.1.1 Code <Cd>

Presence: [1..1]

Definition: Owner type expressed as an ISO 20022 code.

Datatype: "AccountOwnershipType5Code" on page 147

CodeName	Name	Definition
USUF	Usufructuary	The person is ...
OWNR	Owner	A person has full ownership on the asset.
BOWN	BareOwner	A person has bare ownership on the asset.

8.1.7.6.7.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Owner type expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see "GenericIdentification30" on page 85 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		85
	Issuer <Issr>	[1..1]	Text		85
	SchemeName <SchmeNm>	[0..1]	Text		85

8.1.7.6.7.2 OwnershipPercentage <OwnrshPctg>*Presence:* [0..1]*Definition:* Percentage of ownership that a person has on an asset.*Datatype:* "PercentageRate" on page 156**8.1.7.6.7.3 UsufructPercentage <UsfrctPctg>***Presence:* [0..1]*Definition:* Percentage of usufruct that a person has on an asset.*Datatype:* "PercentageRate" on page 156**8.1.7.7 PartyIdentification219***Definition:* Identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NameAndAddress <NmAndAdr>	[1..1]			121
	Name <Nm>	[1..1]	Text		122
	Address <Adr>	[0..1]			122
	AddressType <AdrTp>	[0..1]	CodeSet		123
	AddressLine <AdrLine>	[0..5]	Text		123
	StreetName <StrtNm>	[0..1]	Text		123
	BuildingNumber <BldgNb>	[0..1]	Text		123
	PostBox <PstBx>	[0..1]	Text		123
	PostCode <PstCd>	[0..1]	Text		123
	TownName <TwnNm>	[0..1]	Text		124
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		124
	Country <Ctry>	[1..1]	CodeSet	C2	124
	Identification <Id>	[1..1]	±		124
	ContactPerson <CtctPrsn>	[0..1]	±		124

8.1.7.7.1 NameAndAddress <NmAndAdr>*Presence:* [1..1]*Definition:* Name and address of the party.

NameAndAddress <NmAndAdr> contains the following **PersonName2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		122
	Address <Adr>	[0..1]			122
	AddressType <AdrTp>	[0..1]	CodeSet		123
	AddressLine <AdrLine>	[0..5]	Text		123
	StreetName <StrtNm>	[0..1]	Text		123
	BuildingNumber <BldgNb>	[0..1]	Text		123
	PostBox <PstBx>	[0..1]	Text		123
	PostCode <PstCd>	[0..1]	Text		123
	TownName <TwnNm>	[0..1]	Text		124
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		124
	Country <Ctry>	[1..1]	CodeSet	C2	124

8.1.7.7.1.1 Name <Nm>

Presence: [1..1]

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

Datatype: "Max350Text" on page 158

8.1.7.7.1.2 Address <Adr>

Presence: [0..1]

Definition: Postal address of the party.

Address <Adr> contains the following **PostalAddress26** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		123
	AddressLine <AdrLine>	[0..5]	Text		123
	StreetName <StrtNm>	[0..1]	Text		123
	BuildingNumber <BldgNb>	[0..1]	Text		123
	PostBox <PstBx>	[0..1]	Text		123
	PostCode <PstCd>	[0..1]	Text		123
	TownName <TwnNm>	[0..1]	Text		124
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		124
	Country <Ctry>	[1..1]	CodeSet	C2	124

8.1.7.7.1.2.1 AddressType <AdrTp>

Presence: [0..1]

Definition: Identifies the nature of the postal address.

Datatype: "AddressType2Code" on page 147

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.

8.1.7.7.1.2.2 AddressLine <AdrLine>

Presence: [0..5]

Definition: Information that locates and identifies a specific address, as defined by postal services, that is presented in free format text.

Datatype: "Max70Text" on page 159

8.1.7.7.1.2.3 StreetName <StrtNm>

Presence: [0..1]

Definition: Name of a street or thoroughfare.

Datatype: "Max70Text" on page 159

8.1.7.7.1.2.4 BuildingNumber <BldgNb>

Presence: [0..1]

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

Datatype: "Max16Text" on page 157

8.1.7.7.1.2.5 PostBox <PstBx>

Presence: [0..1]

Definition: Numbered box in a post office, assigned to a person or organisation, where letters are kept until called for.

Datatype: "Max16Text" on page 157

8.1.7.7.1.2.6 PostCode <PstCd>

Presence: [0..1]

Definition: Identifier consisting of a group of letters and/or numbers that is added to a postal address to assist the sorting of mail.

Datatype: "Max16Text" on page 157

8.1.7.7.1.2.7 TownName <TwnNm>*Presence:* [0..1]*Definition:* Name of a built-up area, with defined boundaries, and a local government.*Datatype:* "Max35Text" on page 158**8.1.7.7.1.2.8 CountrySubDivision <CtrySubDvsn>***Presence:* [0..1]*Definition:* Identifies a subdivision of a country for example, state, region, county.*Datatype:* "Max35Text" on page 158**8.1.7.7.1.2.9 Country <Ctry>***Presence:* [1..1]*Definition:* Nation with its own government.*Impacted by:* C2 "Country"*Datatype:* "CountryCode" on page 148**Constraints**

- **Country**

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

8.1.7.7.2 Identification <Id>*Presence:* [1..1]*Definition:* Identification of the party.

Identification <Id> contains one of the following elements (see "PartyIdentification195Choice" on page 89 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C2	89
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		90
Or}	LEI <LEI>	[1..1]	IdentifierSet		90

8.1.7.7.3 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 132 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]	CodeSet		133
	GivenName <GvnNm>	[0..1]	Text		133
	Name <Nm>	[1..1]	Text		133
	PhoneNumber <PhneNb>	[0..1]	Text		133
	MobileNumber <MobNb>	[0..1]	Text		133
	FaxNumber <FaxNb>	[0..1]	Text		134
	EmailAddress <EmailAdr>	[0..1]	Text		134

8.1.7.8 PartyIdentification214

Definition: Identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			126
{Or	ProprietaryIdentification <PrtryId>	[1..1]	±		126
Or}	LEI <LEI>	[1..1]	IdentifierSet		126
	RecipientName <RcptNm>	[1..1]	Text		126
	ResponseRecipientAddress <RspnRcptAdr>	[1..1]		C8	126
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C2	127
	PostalAddress <PstlAdr>	[0..1]			128
	AddressType <AdrTp>	[0..1]	CodeSet		128
	AddressLine <AdrLine>	[0..5]	Text		128
	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		129
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		129
	Country <Ctry>	[1..1]	CodeSet	C2	129
	EmailAddress <EmailAdr>	[0..1]	Text		130
	URLAddress <URLAdr>	[0..1]	Text		130

8.1.7.8.1 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]	±		126
Or}	LEI <LEI>	[1..1]	IdentifierSet		126

8.1.7.8.1.1 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 85 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		86
	Issuer <Issr>	[1..1]	Text		86
	SchemeName <SchmeNm>	[0..1]	Text		86

8.1.7.8.1.2 LEI <LEI>

Presence: [1..1]

Definition: Legal entity identifier of the party.

Datatype: "[LEIIdentifier](#)" on page 156

8.1.7.8.2 RecipientName <RcptNm>

Presence: [1..1]

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

Datatype: "[Max350Text](#)" on page 158

8.1.7.8.3 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	127
	PostalAddress <PstlAdr>	[0..1]			128
	AddressType <AdrTp>	[0..1]	CodeSet		128
	AddressLine <AdrLine>	[0..5]	Text		128
	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		129
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		129
	Country <Ctry>	[1..1]	CodeSet	C2	129
	EmailAddress <EmailAdr>	[0..1]	Text		130
	URLAddress <URLAdr>	[0..1]	Text		130

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

8.1.7.8.3.1 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 154

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.

8.1.7.8.3.2 PostalAddress <PstAdr>

Presence: [0..1]

Definition: Postal address of the party.

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		128
	AddressLine <AdrLine>	[0..5]	Text		128
	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		129
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		129
	Country <Ctry>	[1..1]	CodeSet	C2	129

8.1.7.8.3.2.1 AddressType <AdrTp>

Presence: [0..1]

Definition: Identifies the nature of the postal address.

Datatype: "AddressType2Code" on page 147

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.

8.1.7.8.3.2.2 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 159

8.1.7.8.3.2.3 StreetName <StrtNm>

Presence: [0..1]

Definition: Name of a street or thoroughfare.

Datatype: "Max70Text" on page 159

8.1.7.8.3.2.4 BuildingNumber <BldgNb>

Presence: [0..1]

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

Datatype: "Max16Text" on page 157

8.1.7.8.3.2.5 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 157

8.1.7.8.3.2.6 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 157

8.1.7.8.3.2.7 TownName <TwnNm>

Presence: [0..1]

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

Datatype: "Max35Text" on page 158

8.1.7.8.3.2.8 CountrySubDivision <CtrySubDvsn>

Presence: [0..1]

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

Datatype: "Max35Text" on page 158

8.1.7.8.3.2.9 Country <Ctry>

Presence: [1..1]

Definition: Nation with its own government.

Impacted by: C2 "Country"

Datatype: "CountryCode" on page 148

Constraints

- **Country**

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

8.1.7.8.3.3 EmailAddress <EmailAdr>

Presence: [0..1]

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

Datatype: "Max256Text" on page 158

8.1.7.8.3.4 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 157

8.1.7.9 Party38Choice

Definition: Nature or use of the account.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	OrganisationIdentification <OrgId>	[1..1]	±		130
Or}	PrivateIdentification <PrvtId>	[1..1]	±		131

8.1.7.9.1 OrganisationIdentification <OrgId>

Presence: [1..1]

Definition: Unique and unambiguous way to identify an organisation.

OrganisationIdentification <OrgId> contains the following elements (see "[OrganisationIdentification29](#)" on page 91 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C2	92
	LEI <LEI>	[0..1]	IdentifierSet		92
	Other <Othr>	[0..*]			92
	Identification <Id>	[1..1]	Text		93
	SchemeName <SchmeNm>	[0..1]			93
{Or	Code <Cd>	[1..1]	CodeSet		93
Or}	Proprietary <Prtry>	[1..1]	Text		93
	Issuer <Issr>	[0..1]	Text		93

8.1.7.9.2 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 137 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DateAndPlaceOfBirth <DtAndPlcOfBirth>	[0..1]			137
	BirthDate <BirthDt>	[1..1]	Date		137
	ProvinceOfBirth <PrvcOfBirth>	[0..1]	Text		138
	CityOfBirth <CityOfBirth>	[1..1]	Text		138
	CountryOfBirth <CtryOfBirth>	[1..1]	CodeSet	C2	138
	Other <Othr>	[0..*]			138
	Identification <Id>	[1..1]	Text		138
	SchemeName <SchmeNm>	[0..1]			138
{Or	Code <Cd>	[1..1]	CodeSet		139
Or}	Proprietary <Prtry>	[1..1]	Text		139
	Issuer <Issr>	[0..1]	Text		139

8.1.7.10 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	131
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		132
Or	NameAndAddress <NmAndAdr>	[1..1]	±		132
Or}	LEI <LEI>	[1..1]	IdentifierSet		132

8.1.7.10.1 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 154

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.

8.1.7.10.2 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 85 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		86
	Issuer <Issr>	[1..1]	Text		86
	SchemeName <SchmeNm>	[0..1]	Text		86

8.1.7.10.3 NameAndAddress <NmAndAdr>

Presence: [1..1]

Definition: Name and address of a party.

NameAndAddress <NmAndAdr> contains the following elements (see "[NameAndAddress5](#)" on page 139 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		139
	Address <Adr>	[0..1]	±		139

8.1.7.10.4 LEI <LEI>

Presence: [1..1]

Definition: Legal entity identification of the party.

Datatype: "[LEIIdentifier](#)" on page 156

8.1.8 Person Identification**8.1.8.1 ContactIdentification2**

Definition: Information needed to contact a physical person.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]	CodeSet		133
	GivenName <GvnNm>	[0..1]	Text		133
	Name <Nm>	[1..1]	Text		133
	PhoneNumber <PhneNb>	[0..1]	Text		133
	MobileNumber <MobNb>	[0..1]	Text		133
	FaxNumber <FaxNb>	[0..1]	Text		134
	EmailAddress <EmailAdr>	[0..1]	Text		134

8.1.8.1.1 NamePrefix <NmPrfx>

Presence: [0..1]

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

Datatype: "NamePrefix1Code" on page 151

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.

8.1.8.1.2 GivenName <GvnNm>

Presence: [0..1]

Definition: First name of a person.

Datatype: "Max35Text" on page 158

8.1.8.1.3 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 158

8.1.8.1.4 PhoneNumber <PhneNb>

Presence: [0..1]

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

Datatype: "PhoneNumber" on page 159

8.1.8.1.5 MobileNumber <MobNb>

Presence: [0..1]

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

Datatype: ["PhoneNumber" on page 159](#)

8.1.8.1.6 FaxNumber <FaxNb>

Presence: [0..1]

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

Datatype: ["PhoneNumber" on page 159](#)

8.1.8.1.7 EmailAddress <EmailAdr>

Presence: [0..1]

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

Datatype: ["Max256Text" on page 158](#)

8.1.8.2 Contact4

Definition: Specifies the details of the contact person.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]	CodeSet		134
	Name <Nm>	[0..1]	Text		135
	PhoneNumber <PhneNb>	[0..1]	Text		135
	MobileNumber <MobNb>	[0..1]	Text		135
	FaxNumber <FaxNb>	[0..1]	Text		135
	EmailAddress <EmailAdr>	[0..1]	Text		135
	EmailPurpose <EmailPurp>	[0..1]	Text		135
	JobTitle <JobTitl>	[0..1]	Text		135
	Responsibility <Rspnsblty>	[0..1]	Text		136
	Department <Dept>	[0..1]	Text		136
	Other <Othr>	[0..*]			136
	ChannelType <ChanlTp>	[1..1]	Text		136
	Identification <Id>	[0..1]	Text		136
	PreferredMethod <PrefrdMtd>	[0..1]	CodeSet		136

8.1.8.2.1 NamePrefix <NmPrfx>

Presence: [0..1]

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

Datatype: ["NamePrefix2Code" on page 151](#)

CodeName	Name	Definition
DOCT	Doctor	Title of the person is Doctor or Dr.

CodeName	Name	Definition
MADM	Madam	Title of the person is Madam.
MISS	Miss	Title of the person is Miss.
MIST	Mister	Title of the person is Mister or Mr.
MIKS	GenderNeutral	Title of the person is gender neutral (Mx).

8.1.8.2.2 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 157

8.1.8.2.3 PhoneNumber <PhneNb>

Presence: [0..1]

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

Datatype: "PhoneNumber" on page 159

8.1.8.2.4 MobileNumber <MobNb>

Presence: [0..1]

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

Datatype: "PhoneNumber" on page 159

8.1.8.2.5 FaxNumber <FaxNb>

Presence: [0..1]

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

Datatype: "PhoneNumber" on page 159

8.1.8.2.6 EmailAddress <EmailAdr>

Presence: [0..1]

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

Datatype: "Max2048Text" on page 157

8.1.8.2.7 EmailPurpose <EmailPurp>

Presence: [0..1]

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

Datatype: "Max35Text" on page 158

8.1.8.2.8 JobTitle <JobTitl>

Presence: [0..1]

Definition: Title of the function.

Datatype: "Max35Text" on page 158

8.1.8.2.9 Responsibility <Rspnsblty>

Presence: [0..1]

Definition: Role of a person in an organisation.

Datatype: "Max35Text" on page 158

8.1.8.2.10 Department <Dept>

Presence: [0..1]

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

Datatype: "Max70Text" on page 159

8.1.8.2.11 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 <ChanTp>	[1..1]	Text		136
	Identification <Id>	[0..1]	Text		136

8.1.8.2.11.1 ChannelType <ChanTp>

Presence: [1..1]

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

Datatype: "Max4Text" on page 158

8.1.8.2.11.2 Identification <Id>

Presence: [0..1]

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

Datatype: "Max128Text" on page 157

8.1.8.2.12 PreferredMethod <PrefrdMtd>

Presence: [0..1]

Definition: Preferred method used to reach the contact.

Datatype: "PreferredContactMethod1Code" on page 152

CodeName	Name	Definition
LETT	Letter	Preferred method used to reach the contact is per letter.
MAIL	Email	Preferred method used to reach the contact is per email.
PHON	Phone	Preferred method used to reach the contact is per phone.

CodeName	Name	Definition
FAXX	Fax	Preferred method used to reach the contact is per fax.
CELL	MobileOrCellPhone	Preferred method used to reach the contact is per mobile or cell phone.

8.1.8.3 PersonIdentification13

Definition: Unique and unambiguous way to identify a person.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DateAndPlaceOfBirth <DtAndPlcOfBirth>	[0..1]			137
	BirthDate <BirthDt>	[1..1]	Date		137
	ProvinceOfBirth <PrvcOfBirth>	[0..1]	Text		138
	CityOfBirth <CityOfBirth>	[1..1]	Text		138
	CountryOfBirth <CtryOfBirth>	[1..1]	CodeSet	C2	138
	Other <Othr>	[0..*]			138
	Identification <Id>	[1..1]	Text		138
	SchemeName <SchmeNm>	[0..1]			138
{Or	Code <Cd>	[1..1]	CodeSet		139
Or}	Proprietary <Prtry>	[1..1]	Text		139
	Issuer <Issr>	[0..1]	Text		139

8.1.8.3.1 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		137
	ProvinceOfBirth <PrvcOfBirth>	[0..1]	Text		138
	CityOfBirth <CityOfBirth>	[1..1]	Text		138
	CountryOfBirth <CtryOfBirth>	[1..1]	CodeSet	C2	138

8.1.8.3.1.1 BirthDate <BirthDt>

Presence: [1..1]

Definition: Date on which a person is born.

Datatype: "ISODate" on page 154

8.1.8.3.1.2 ProvinceOfBirth <PrvcOfBirth>*Presence:* [0..1]*Definition:* Province where a person was born.*Datatype:* "Max35Text" on page 158**8.1.8.3.1.3 CityOfBirth <CityOfBirth>***Presence:* [1..1]*Definition:* City where a person was born.*Datatype:* "Max35Text" on page 158**8.1.8.3.1.4 CountryOfBirth <CtrOfBirth>***Presence:* [1..1]*Definition:* Country where a person was born.*Impacted by:* C2 "Country"*Datatype:* "CountryCode" on page 148**Constraints**

- **Country**

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

8.1.8.3.2 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		138
	SchemeName <SchmeNm>	[0..1]			138
{Or	Code <Cd>	[1..1]	CodeSet		139
Or}	Proprietary <Prtry>	[1..1]	Text		139
	Issuer <Issr>	[0..1]	Text		139

8.1.8.3.2.1 Identification <Id>*Presence:* [1..1]*Definition:* Unique and unambiguous identification of a person.*Datatype:* "Max35Text" on page 158**8.1.8.3.2.2 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		139
Or}	Proprietary <Prtry>	[1..1]	Text		139

8.1.8.3.2.2.1 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 150

8.1.8.3.2.2.2 Proprietary <Prtry>

Presence: [1..1]

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

Datatype: "Max35Text" on page 158

8.1.8.3.2.3 Issuer <Issr>

Presence: [0..1]

Definition: Entity that assigns the identification.

Datatype: "Max35Text" on page 158

8.1.9 Postal Address

8.1.9.1 NameAndAddress5

Definition: Information that locates and identifies a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		139
	Address <Adr>	[0..1]	±		139

8.1.9.1.1 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 158

8.1.9.1.2 Address <Adr>

Presence: [0..1]

Definition: Postal address of the party.

Address <Adr> contains the following elements (see "PostalAddress1" on page 143 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		144
	AddressLine <AdrLine>	[0..5]	Text		144
	StreetName <StrtNm>	[0..1]	Text		144
	BuildingNumber <BldgNb>	[0..1]	Text		144
	PostCode <PstCd>	[0..1]	Text		145
	TownName <TwnNm>	[0..1]	Text		145
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		145
	Country <Ctry>	[1..1]	CodeSet	C2	145

8.1.9.2 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]			141
{Or	Code <Cd>	[1..1]	CodeSet		141
Or}	Proprietary <Prtry>	[1..1]	±		141
	Department <Dept>	[0..1]	Text		141
	SubDepartment <SubDept>	[0..1]	Text		142
	StreetName <StrtNm>	[0..1]	Text		142
	BuildingNumber <BldgNb>	[0..1]	Text		142
	BuildingName <BldgNm>	[0..1]	Text		142
	Floor <Flr>	[0..1]	Text		142
	PostBox <PstBx>	[0..1]	Text		142
	Room <Room>	[0..1]	Text		142
	PostCode <PstCd>	[0..1]	Text		142
	TownName <TwnNm>	[0..1]	Text		143
	TownLocationName <TwnLctnNm>	[0..1]	Text		143
	DistrictName <DstrctNm>	[0..1]	Text		143
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		143
	Country <Ctry>	[0..1]	CodeSet	C2	143
	AddressLine <AdrLine>	[0..7]	Text		143

8.1.9.2.1 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		141
Or}	Proprietary <Prtry>	[1..1]	±		141

8.1.9.2.1.1 Code <Cd>*Presence:* [1..1]*Definition:* Type of address expressed as a code.*Datatype:* "AddressType2Code" on page 147

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.

8.1.9.2.1.2 Proprietary <Prtry>*Presence:* [1..1]*Definition:* Type of address expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "GenericIdentification30" on page 85 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		85
	Issuer <Issr>	[1..1]	Text		85
	SchemeName <SchmeNm>	[0..1]	Text		85

8.1.9.2.2 Department <Dept>*Presence:* [0..1]*Definition:* Identification of a division of a large organisation or building.*Datatype:* "Max70Text" on page 159

8.1.9.2.3 SubDepartment <SubDept>

Presence: [0..1]

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

Datatype: "Max70Text" on page 159

8.1.9.2.4 StreetName <StrtNm>

Presence: [0..1]

Definition: Name of a street or thoroughfare.

Datatype: "Max70Text" on page 159

8.1.9.2.5 BuildingNumber <BldgNb>

Presence: [0..1]

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

Datatype: "Max16Text" on page 157

8.1.9.2.6 BuildingName <BldgNm>

Presence: [0..1]

Definition: Name of the building or house.

Datatype: "Max35Text" on page 158

8.1.9.2.7 Floor <Flr>

Presence: [0..1]

Definition: Floor or storey within a building.

Datatype: "Max70Text" on page 159

8.1.9.2.8 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 157

8.1.9.2.9 Room <Room>

Presence: [0..1]

Definition: Building room number.

Datatype: "Max70Text" on page 159

8.1.9.2.10 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 157

8.1.9.2.11 TownName <TwnNm>

Presence: [0..1]

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

Datatype: "Max35Text" on page 158

8.1.9.2.12 TownLocationName <TwnLctnNm>

Presence: [0..1]

Definition: Specific location name within the town.

Datatype: "Max35Text" on page 158

8.1.9.2.13 DistrictName <DstrctNm>

Presence: [0..1]

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

Datatype: "Max35Text" on page 158

8.1.9.2.14 CountrySubDivision <CtrySubDvsn>

Presence: [0..1]

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

Datatype: "Max35Text" on page 158

8.1.9.2.15 Country <Ctry>

Presence: [0..1]

Definition: Nation with its own government.

Impacted by: C2 "Country"

Datatype: "CountryCode" on page 148

Constraints

- **Country**

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

8.1.9.2.16 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 159

8.1.9.3 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		144
	AddressLine <AdrLine>	[0..5]	Text		144
	StreetName <StrtNm>	[0..1]	Text		144
	BuildingNumber <BldgNb>	[0..1]	Text		144
	PostCode <PstCd>	[0..1]	Text		145
	TownName <TwnNm>	[0..1]	Text		145
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		145
	Country <Ctry>	[1..1]	CodeSet	C2	145

8.1.9.3.1 AddressType <AdrTp>

Presence: [0..1]

Definition: Identifies the nature of the postal address.

Datatype: "AddressType2Code" on page 147

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.

8.1.9.3.2 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 159

8.1.9.3.3 StreetName <StrtNm>

Presence: [0..1]

Definition: Name of a street or thoroughfare.

Datatype: "Max70Text" on page 159

8.1.9.3.4 BuildingNumber <BldgNb>

Presence: [0..1]

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

Datatype: "Max16Text" on page 157

8.1.9.3.5 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 157

8.1.9.3.6 TownName <TwnNm>

Presence: [0..1]

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

Datatype: "Max35Text" on page 158

8.1.9.3.7 CountrySubDivision <CtrySubDvsn>

Presence: [0..1]

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

Datatype: "Max35Text" on page 158

8.1.9.3.8 Country <Ctry>

Presence: [1..1]

Definition: Nation with its own government.

Impacted by: C2 "Country"

Datatype: "CountryCode" on page 148

Constraints

- **Country**

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

8.1.10 Securities Quantity

8.1.10.1 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		145
Or}	FaceAmount <FaceAmt>	[1..1]	Amount		146

8.1.10.1.1 Unit <Unit>

Presence: [1..1]

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

Datatype: ["DecimalNumber" on page 156](#)

8.1.10.1.2 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 146](#)

8.1.11 System Identification

8.1.11.1 ClearingSystemIdentification2Choice

Definition: Choice of a clearing system identifier.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		146
Or}	Proprietary <Prtry>	[1..1]	Text		146

8.1.11.1.1 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 149](#)

8.1.11.1.2 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 158](#)

8.2 Message Datatypes

8.2.1 Amount

8.2.1.1 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

8.2.2 CodeSet

8.2.2.1 AccountOwnershipType5Code

Definition: Specifies the type of account ownership.

Type: CodeSet

CodeName	Name	Definition
USUF	Usufructuary	The person is ...
OWNR	Owner	A person has full ownership on the asset.
BOWN	BareOwner	A person has bare ownership on the asset.

8.2.2.2 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.

8.2.2.3 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**

8.2.2.4 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.

8.2.2.5 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).

8.2.2.6 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.

8.2.2.7 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.

8.2.2.8 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.

8.2.2.9 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.

8.2.2.10 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.

8.2.2.11 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.

Type: CodeSet

Format

minLength	1
maxLength	5

8.2.2.12 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.

Type: CodeSet

Format

minLength	1
maxLength	4

8.2.2.13 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.

Type: CodeSet

Format

minLength	1
maxLength	4

8.2.2.14 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.

Type: CodeSet

Format

minLength	1
maxLength	4

8.2.2.15 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.

Type: CodeSet

Format

minLength	1
maxLength	4

8.2.2.16 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.

8.2.2.17 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).

8.2.2.18 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.

8.2.2.19 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.

CodeName	Name	Definition
DECM	DecisionMaker	Party that is authorised to take investment decisions on behalf of the shareholder.

8.2.2.20 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.

8.2.2.21 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.

8.2.2.22 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.

CodeName	Name	Definition
		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.

8.2.2.23 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.
TXID	TaxIdentificationNumber	Number assigned by a tax authority to an entity.

8.2.2.24 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**

8.2.3 Date**8.2.3.1 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

8.2.4 DateTime**8.2.4.1 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

8.2.5 IdentifierSet**8.2.5.1 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.

8.2.5.2 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.

8.2.5.3 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}

8.2.5.4 ISINOct2015Identifier

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.

Type: IdentifierSet

Identification scheme: ANNA; ISINIdentifier

Format

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

8.2.5.5 LEIdentifier

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; LEIdentifier

Format

pattern [A-Z0-9]{18,18}[0-9]{2,2}

8.2.6 Indicator

8.2.6.1 YesNoIndicator

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

Type: Indicator

Meaning When True: Yes

Meaning When False: No

8.2.7 Quantity

8.2.7.1 DecimalNumber

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

Type: Quantity

Format

totalDigits 18

fractionDigits 17

8.2.8 Rate

8.2.8.1 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

8.2.9 Text

8.2.9.1 Exact4AlphaNumericText

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

Type: Text

Format

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

8.2.9.2 Max128Text

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

Type: Text

Format

minLength 1
maxLength 128

8.2.9.3 Max140Text

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

Type: Text

Format

minLength 1
maxLength 140

8.2.9.4 Max16Text

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

Type: Text

Format

minLength 1
maxLength 16

8.2.9.5 Max2048Text

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

Type: Text

Format

minLength 1
maxLength 2048

8.2.9.6 Max256Text

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

Type: Text

Format

minLength	1
maxLength	256

8.2.9.7 Max350Text

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

Type: Text

Format

minLength	1
maxLength	350

8.2.9.8 Max35Text

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

Type: Text

Format

minLength	1
maxLength	35

8.2.9.9 Max4Text

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

Type: Text

Format

minLength	1
maxLength	4

8.2.9.10 Max50Text

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

Type: Text

Format

minLength	1
maxLength	50

8.2.9.11 Max5NumericText

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

Type: Text

Format

pattern [0-9]{1,5}

8.2.9.12 Max70Text

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

Type: Text

Format

minLength 1
maxLength 70

8.2.9.13 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}

8.2.10 Year

8.2.10.1 ISOYear

Definition: Year represented by YYYY (ISO 8601).

Type: Year