

Standards

Shareholders Identification Disclosure - November 2023

Standards MX

Message Definition Report Part 2

This document provides details of the messages for Shareholders Identification Disclosure - November 2023.

February 2023

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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.045.001.04 ShareholdersIdentificationDisclosureRequestV04	<p>The ShareholdersIdentificationDisclosureRequest message is sent by an issuer or by a third party nominated by the issuer (such as an issuer's agent) to the first intermediaries in a custody chain or is sent by any intermediaries in a custody chain to the next intermediary down the chain of intermediaries (towards the investor side of the chain) in order to request the disclosure of shareholders identity and provides 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>
<p>semt.001.001.04 SecuritiesMessageRejectionV04</p>	<p>An account servicer, for example, a registrar, transfer agent, first intermediary or custodian bank, sends the SecuritiesMessageRejection message to the sender (for example account owner, an investor, an issuer or its authorised agent), to reject a previously received message on which action cannot be taken.</p> <p>The message may also be sent by an executing party, for example, transfer agent to the instructing party, for example, investment manager or its authorised representative to reject a previously received message on which action cannot be taken.</p>

2 MX 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	11
	From <Fr>	[1..1]			12
{Or	OrganisationIdentification <OrgId>	[1..1]	±		12
Or}	FinancialInstitutionIdentification <FIId>	[1..1]	±		12
	To <To>	[1..1]			13
{Or	OrganisationIdentification <OrgId>	[1..1]	±		13
Or}	FinancialInstitutionIdentification <FIId>	[1..1]	±		13
	BusinessMessageIdentifier <BizMsgIdr>	[1..1]	Text		14
	MessageDefinitionIdentifier <MsgDefIdr>	[1..1]	Text		14
	BusinessService <BizSvc>	[0..1]	Text		14
	MarketPractice <MktPrctc>	[0..1]			14
	Registry <Regy>	[1..1]	Text		15
	Identification <Id>	[1..1]	Text		15
	CreationDate <CreDt>	[1..1]	DateTime		15
	BusinessProcessingDate <BizPrctDt>	[0..1]	DateTime		15
	CopyDuplicate <CpyDplct>	[0..1]	CodeSet		15
	PossibleDuplicate <PssblDplct>	[0..1]	Indicator		16
	Priority <Prty>	[0..1]	CodeSet	C7	16
	Signature <Sgntr>	[0..1]	(External Schema)		17
	Related <Rltd>	[0..*]			17
	CharacterSet <CharSet>	[0..1]	CodeSet	C6	17
	From <Fr>	[1..1]			18
{Or	OrganisationIdentification <OrgId>	[1..1]	±		18
Or}	FinancialInstitutionIdentification <FIId>	[1..1]	±		18
	To <To>	[1..1]			19
{Or	OrganisationIdentification <OrgId>	[1..1]	±		19
Or}	FinancialInstitutionIdentification <FIId>	[1..1]	±		19
	BusinessMessageIdentifier <BizMsgIdr>	[1..1]	Text		20
	MessageDefinitionIdentifier <MsgDefIdr>	[1..1]	Text		20

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	BusinessService <BizSvc>	[0..1]	Text		20
	CreationDate <CreDt>	[1..1]	DateTime		20
	CopyDuplicate <CpyDplct>	[0..1]	CodeSet		20
	PossibleDuplicate <PssblDplct>	[0..1]	Indicator		21
	Priority <Prty>	[0..1]	CodeSet	C7	21
	Signature <Sgntr>	[0..1]	(External Schema)		22

2.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AnyBIC

(Rule)

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. (Algorithm)

Error handling:

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

C2 BICFI

(Rule)

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. (Algorithm)

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00001
- *Error Text:* Invalid FI BIC.

C3 Country

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C4 OnlySignatureElement

(Rule)

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

(Rule)

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

If CopyDuplicate is present, then Related MUST be present. (CrossElementComplexRule)

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

Error handling:

- *Error severity:* Warning
- *Error Code:* H00001
- *Error Text:* Element Related is missing

This constraint is defined at the MessageDefinition level.

C6 ValidationByTable

(Rule)

(Algorithm)

C7 ValidationByTable

(Rule)

(Algorithm)

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 185](#)

Constraints

- **ValidationByTable**
(Rule)

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]	±		12
Or}	FinancialInstitutionIdentification <FIId>	[1..1]	±		12

2.4.2.1 OrganisationIdentification <OrgId>

Presence: [1..1]

Definition: Identification of a person or an organisation.

OrganisationIdentification <OrgId> contains the following elements (see [PartyIdentification135 on page 123](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		123
	PostalAddress <PstAdr>	[0..1]	±		123
	Identification <Id>	[0..1]	±		124
	CountryOfResidence <CtryOfRes>	[0..1]	CodeSet	C2	124
	ContactDetails <CtctDtls>	[0..1]	±		125

2.4.2.2 FinancialInstitutionIdentification <FIId>

Presence: [1..1]

Definition: Identification of a financial institution.

FinancialInstitutionIdentification <FIId> contains the following elements (see [BranchAndFinancialInstitutionIdentification6](#) on page 108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstitutionIdentification <FinInstnId>	[1..1]	±		108
	BranchIdentification <BrnchId>	[0..1]	±		109

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]	±		13
Or}	FinancialInstitutionIdentification <FIId>	[1..1]	±		13

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 123 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		123
	PostalAddress <PstlAdr>	[0..1]	±		123
	Identification <Id>	[0..1]	±		124
	CountryOfResidence <CtryOfRes>	[0..1]	CodeSet	C2	124
	ContactDetails <CtctDtls>	[0..1]	±		125

2.4.3.2 FinancialInstitutionIdentification <FIId>

Presence: [1..1]

Definition: Identification of a financial institution.

FinancialInstitutionIdentification <FIId> contains the following elements (see [BranchAndFinancialInstitutionIdentification6 on page 108](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstitutionIdentification <FinInstnId>	[1..1]	±		108
	BranchIdentification <BrnchId>	[0..1]	±		109

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 190](#)

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 190](#)

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 190](#)

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		15
	Identification <Id>	[1..1]	Text		15

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 190](#)

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 190](#)

2.4.8 CreationDate <CreDt>

Presence: [1..1]

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

Datatype: [ISODateTime on page 186](#)

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 186](#)

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 179](#)

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 188):

- *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 179

Constraints

- **ValidationByTable**
(Rule)

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	17
	From <Fr>	[1..1]			18
{Or	OrganisationIdentification <OrgId>	[1..1]	±		18
Or}	FinancialInstitutionIdentification <FIId>	[1..1]	±		18
	To <To>	[1..1]			19
{Or	OrganisationIdentification <OrgId>	[1..1]	±		19
Or}	FinancialInstitutionIdentification <FIId>	[1..1]	±		19
	BusinessMessageIdentifier <BizMsgIdr>	[1..1]	Text		20
	MessageDefinitionIdentifier <MsgDefIdr>	[1..1]	Text		20
	BusinessService <BizSvc>	[0..1]	Text		20
	CreationDate <CreDt>	[1..1]	DateTime		20
	CopyDuplicate <CpyDplct>	[0..1]	CodeSet		20
	PossibleDuplicate <PssblDplct>	[0..1]	Indicator		21
	Priority <Prty>	[0..1]	CodeSet	C7	21
	Signature <Sgntr>	[0..1]	(External Schema)		22

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 185

Constraints

- **ValidationByTable**

(Rule)

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]	±		18
Or}	FinancialInstitutionIdentification <FIId>	[1..1]	±		18

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 123 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		123
	PostalAddress <PstAdr>	[0..1]	±		123
	Identification <Id>	[0..1]	±		124
	CountryOfResidence <CtryOfRes>	[0..1]	CodeSet	C2	124
	ContactDetails <CtctDtls>	[0..1]	±		125

2.4.14.2.2 FinancialInstitutionIdentification <FIId>

Presence: [1..1]

Definition: Identification of a financial institution.

FinancialInstitutionIdentification <FIld> contains the following elements (see [BranchAndFinancialInstitutionIdentification6](#) on page 108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstitutionIdentification <FinInstnld>	[1..1]	±		108
	BranchIdentification <Brnchld>	[0..1]	±		109

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 <Orgld>	[1..1]	±		19
Or}	FinancialInstitutionIdentification <FIld>	[1..1]	±		19

2.4.14.3.1 OrganisationIdentification <Orgld>

Presence: [1..1]

Definition: Identification of a person or an organisation.

OrganisationIdentification <Orgld> contains the following elements (see [PartyIdentification135](#) on page 123 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[0..1]	Text		123
	PostalAddress <PstlAdr>	[0..1]	±		123
	Identification <Id>	[0..1]	±		124
	CountryOfResidence <CtryOfRes>	[0..1]	CodeSet	C2	124
	ContactDetails <CtctDtls>	[0..1]	±		125

2.4.14.3.2 FinancialInstitutionIdentification <FIld>

Presence: [1..1]

Definition: Identification of a financial institution.

FinancialInstitutionIdentification <FIId> contains the following elements (see [BranchAndFinancialInstitutionIdentification6](#) on page 108 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FinancialInstitutionIdentification <FinInstnId>	[1..1]	±		108
	BranchIdentification <BrnchId>	[0..1]	±		109

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 190

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 190

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 190

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 186

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 179](#)

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 188](#)):

- *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 179](#)

Constraints

- **ValidationByTable**
(Rule)

2.4.14.11 Signature <Sgntr>

Presence: [0..1]

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

Type: (External Schema)

The W3C XML Schema that specifies following standard signature:

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

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

3 MX seev.045.001.04 ShareholdersIdentificationDisclosureRequest V04

3.1 MessageDefinition Functionality

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

Outline

The ShareholdersIdentificationDisclosureRequestV04 MessageDefinition is composed of 17 MessageBuildingBlocks:

A. IssuerDisclosureRequestIdentification

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

B. DisclosureRequestType

Specifies the type of disclosure request.

C. PreviousDisclosureRequestIdentification

Identification of a previously sent shareholder identification disclosure request message.

D. ForwardRequestIndicator

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

E. ResponseThroughChainIndicator

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

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

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

F. ShareholderRightsDirectiveIndicator

Indicates whether the request was initiated by the first intermediary in the custody chain in accordance with SRD II.

G. PlaceOfJurisdiction

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

H. ApplicableLaw

Identification of the law which relates to the disclosure request.

- I. FinancialInstrumentIdentification
Identifies the financial instrument.
- J. ShareholdersDisclosureRecordDate
Date set by the issuer on which the shareholders identity is determined based on the settled positions struck in the books of the issuer CSD or any other first intermediary at the close of business day.
- K. SharesQuantityThreshold
Minimum number of shares held by a shareholder above which the identification must be disclosed.
- L. RequestShareHeldDate
Indicates whether the date from which the shares have been held must be communicated into the disclosure response and according to which method these dates have to be communicated. The method can be provided either with a predefined code or via a textual description.
- M. DisclosureResponseRecipient
Issuer or third party nominated by the issuer to whom the disclosure response shall be transmitted by the intermediary.
- N. IssuerDisclosureDeadline
Latest date/time set by the issuer or a third party appointed by the issuer at which a response to the request to disclose shareholder identity shall be provided by each intermediary to the recipient to whom the response must be sent.
- O. DisclosureResponseDeadline
Latest date/time set by an intermediary at which a response to the request to disclose shareholder identity shall be provided when sending the response through the chain of intermediaries.
- P. Issuer
Issuer of the financial instrument.
- Q. SupplementaryData
Additional information that can not be captured in the structured fields and/or any other specific block.

3.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <ShrhldrsldDsclsrReq>	[1..1]		C9	
	IssuerDisclosureRequestIdentification <IssrDsclsrReqId>	[1..1]	Text		28
	DisclosureRequestType <DsclsrReqTp>	[1..1]	CodeSet		28
	PreviousDisclosureRequestIdentification <PrvsDsclsrReqId>	[0..1]	Text		28
	ForwardRequestIndicator <FwdReqInd>	[0..1]	Indicator		28
	ResponseThroughChainIndicator <RspnThrhChainInd>	[0..1]	Indicator		28
	ShareholderRightsDirectiveIndicator <ShrhldrRghtsDrctvInd>	[0..1]	Indicator		29
	PlaceOfJurisdiction <PlcOfJursdctn>	[0..1]	CodeSet	C2	29
	ApplicableLaw <AplblLaw>	[0..1]	Text		29
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	29
	ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt>	[1..1]	±		31
	SharesQuantityThreshold <ShrsQtyThrshld>	[0..1]	Quantity		31
	RequestShareHeldDate <ReqShrHeldDt>	[0..1]	±		32
	DisclosureResponseRecipient <DsclsrRspnRcpt>	[1..1]	±		32
	IssuerDisclosureDeadline <IssrDsclsrDdln>	[1..1]	±		33
	DisclosureResponseDeadline <DsclsrRspnDdln>	[0..1]	±		34
	Issuer <Issr>	[0..1]	±		34
	SupplementaryData <SplmtryData>	[0..*]	±	C10	34

3.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AnyBIC

(Rule)

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. (Algorithm)

Error handling:

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

C2 Country

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C3 DescriptionPresenceRule

(Rule)

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

Error handling:

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

C4 DescriptionUsageRule

(Rule)

Description must be used alone as the last resort.

C5 ISINGuideline

(Rule)

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

C6 ISINPresenceRule

(Rule)

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

Error handling:

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

C7 OtherIdentificationPresenceRule

(Rule)

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

Error handling:

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

C8 PartyAddressRule

(Rule)

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. (CrossElementSimpleRule)

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00430
- *Error Text:* At least one type of address must be present.

C9 PreviousDisclosureRequestIdentificationRule

(Rule)

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

On Condition

`/DisclosureRequestType is equal to value 'Replacement'`

Following Must be True

`/PreviousDisclosureRequestIdentification Must be present`

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00494
- *Error Text:* Missing previous disclosure request message identification.

This constraint is defined at the MessageDefinition level.

C10 SupplementaryDataRule

(Rule)

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 190](#)

3.4.2 DisclosureRequestType <DsclsrReqTp>

Presence: [1..1]

Definition: Specifies the type of disclosure request.

Datatype: [DisclosureRequestType1Code on page 180](#)

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 190](#)

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 188](#)):

- *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 188):

- *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 188):

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

3.4.7 PlaceOfJurisdiction <PlcOfJursdctn>

Presence: [0..1]

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

Impacted by: C2 Country

Datatype: [CountryCode](#) on page 179

Constraints

- **Country**

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

3.4.8 ApplicableLaw <AplblLaw>

Presence: [0..1]

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

Datatype: [Max140Text](#) on page 189

3.4.9 FinancialInstrumentIdentification <FinInstrmId>

Presence: [1..1]

Definition: Identifies the financial instrument.

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

FinancialInstrumentIdentification <FinInstrmId> contains the following elements (see [SecurityIdentification19](#) on page 110 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		112
	OtherIdentification <OthrlId>	[0..*]			112
	Identification <Id>	[1..1]	Text		112
	Suffix <Sfx>	[0..1]	Text		112
	Type <Tp>	[1..1]	±		112
	Description <Desc>	[0..1]	Text		113

Constraints

- **DescriptionPresenceRule**

(Rule)

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
```

Error handling:

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

- **DescriptionUsageRule**

(Rule)

Description must be used alone as the last resort.

- **ISINGuideline**

(Rule)

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

- **ISINPresenceRule**

(Rule)

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

Error handling:

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

• **OtherIdentificationPresenceRule**

(Rule)

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

Error handling:

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

3.4.10 ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt>

Presence: [1..1]

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

ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt> contains one of the following elements (see [DateFormat46Choice](#) on page 100 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		100
Or}	DateCode <DtCd>	[1..1]			100
{Or	Code <Cd>	[1..1]	CodeSet		100
Or}	Proprietary <Prtry>	[1..1]	±		101

3.4.11 SharesQuantityThreshold <ShrsQtyThrshld>

Presence: [0..1]

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

Datatype: [DecimalNumber](#) on page 188

3.4.12 RequestShareHeldDate <ReqShrHeldDt>

Presence: [0..1]

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

RequestShareHeldDate <ReqShrHeldDt> contains one of the following elements (see [RequestShareHeldDate1Choice](#) on page 120 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	DateCalculationMethod <DtClctnMtd>	[1..1]	CodeSet		120
Or}	DateCalculationDescription <DtClctnDesc>	[1..1]	Text		120

3.4.13 DisclosureResponseRecipient <DsclsrRspnRcpt>

Presence: [1..1]

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

DisclosureResponseRecipient <DsclsrRspnRcpt> contains the following elements (see [PartyIdentification214](#) on page 154 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			155
{Or	ProprietaryIdentification <PrtryId>	[1..1]	±		155
Or}	LEI <LEI>	[1..1]	IdentifierSet		156
	RecipientName <RcptNm>	[1..1]	Text		156
	ResponseRecipientAddress <RspnRcptAdr>	[1..1]		C8	156
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C2	157
	PostalAddress <PstlAdr>	[0..1]			157
	AddressType <AdrTp>	[0..1]	CodeSet		158
	AddressLine <AdrLine>	[0..5]	Text		158
	StreetName <StrtNm>	[0..1]	Text		158
	BuildingNumber <BldgNb>	[0..1]	Text		158
	PostBox <PstBx>	[0..1]	Text		159
	PostCode <PstCd>	[0..1]	Text		159
	TownName <TwnNm>	[0..1]	Text		159
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		159
	Country <Ctry>	[1..1]	CodeSet	C2	159
	EmailAddress <EmailAdr>	[0..1]	Text		160
	URLAddress <URLAdr>	[0..1]	Text		160

3.4.14 IssuerDisclosureDeadline <IssrDsclsrDdln>

Presence: [1..1]

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

IssuerDisclosureDeadline <IssrDsclsrDdln> contains one of the following elements (see [DateFormat46Choice](#) on page 100 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		100
Or}	DateCode <DtCd>	[1..1]			100
{Or	Code <Cd>	[1..1]	CodeSet		100
Or}	Proprietary <Prtry>	[1..1]	±		101

3.4.15 DisclosureResponseDeadline <DsclsrRspnDdlIn>

Presence: [0..1]

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

DisclosureResponseDeadline <DsclsrRspnDdlIn> contains one of the following elements (see [DateFormat46Choice](#) on page 100 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		100
Or}	DateCode <DtCd>	[1..1]			100
{Or	Code <Cd>	[1..1]	CodeSet		100
Or}	Proprietary <Prtry>	[1..1]	±		101

3.4.16 Issuer <Issr>

Presence: [0..1]

Definition: Issuer of the financial instrument.

Issuer <Issr> contains one of the following elements (see [PartyIdentification129Choice](#) on page 161 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C2	161
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		162
Or	NameAndAddress <NmAndAdr>	[1..1]	±		162
Or}	LEI <LEI>	[1..1]	IdentifierSet		162

3.4.17 SupplementaryData <SplmtryData>

Presence: [0..*]

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

Impacted by: [C10 SupplementaryDataRule](#)

SupplementaryData <SplmtryData> contains the following elements (see [SupplementaryData1](#) on page 115 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		115
	Envelope <Envlp>	[1..1]	(External Schema)		115

Constraints

- **SupplementaryDataRule**

(Rule)

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 **MX 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> <ShrhldrsldDsclsrReqCxlAdv>	[1..1]			
	IssuerDisclosureRequestReference <IssrDsclsrReqRef>	[1..1]			39
	IssuerDisclosureRequestIdentification <IssrDsclsrReqId>	[1..1]	Text		39
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	39
	ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt>	[1..1]	±		41
	CancellationReason <CxlRsn>	[0..1]	CodeSet		41
	Issuer <Issr>	[0..1]	±		42
	SupplementaryData <SplmtryData>	[0..*]	±	C8	42

4.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AnyBIC

(Rule)

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. (Algorithm)

Error handling:

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

C2 Country

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C3 DescriptionPresenceRule

(Rule)

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

Error handling:

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

C4 DescriptionUsageRule

(Rule)

Description must be used alone as the last resort.

C5 ISINGuideline

(Rule)

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

C6 ISINPresenceRule

(Rule)

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

Error handling:

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

C7 OtherIdentificationPresenceRule

(Rule)

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

Error handling:

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

C8 SupplementaryDataRule

(Rule)

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		39
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	39
	ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt>	[1..1]	±		41

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 190

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 110 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN </ISIN>	[0..1]	IdentifierSet		112
	OtherIdentification <OthrlId>	[0..*]			112
	Identification </Id>	[1..1]	Text		112
	Suffix <Sfx>	[0..1]	Text		112
	Type <Tp>	[1..1]	±		112
	Description <Desc>	[0..1]	Text		113

Constraints

- **DescriptionPresenceRule**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00192

– *Error Text:* At least one identification must be present.

- **DescriptionUsageRule**

(Rule)

Description must be used alone as the last resort.

- **ISINGuideline**

(Rule)

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

- **ISINPresenceRule**

(Rule)

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

Error handling:

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

• **OtherIdentificationPresenceRule**

(Rule)

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
```

Error handling:

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

4.4.1.3 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 100 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		100
Or}	DateCode <DtCd>	[1..1]			100
{Or	Code <Cd>	[1..1]	CodeSet		100
Or}	Proprietary <Prtry>	[1..1]	±		101

4.4.2 CancellationReason <CxIRsn>

Presence: [0..1]

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

Datatype: [DisclosureRequestCancellationReason1Code](#) on page 180

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 161 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C2	161
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		162
Or	NameAndAddress <NmAndAdr>	[1..1]	±		162
Or}	LEI <LEI>	[1..1]	IdentifierSet		162

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 115 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		115
	Envelope <Envlp>	[1..1]	(External Schema)		115

Constraints

- **SupplementaryDataRule**

(Rule)

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 **MX 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> <ShrhldrsldDsclsrRspn>	[1..1]			
	Pagination <Pgntn>	[0..1]	±		47
	IssuerDisclosureRequestReference <IssrDsclsrReqRef>	[1..1]			47
	IssuerDisclosureRequestIdentification <IssrDsclsrReqId>	[1..1]	Text		47
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C8	48
	ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt>	[1..1]	±		49
	DisclosureResponseIdentification <DsclsrRspnId>	[1..1]	Text		49
	RespondingIntermediary <RspndgIntrmy>	[1..1]	±		50
	DisclosureInformation <DsclsrInf>	[1..1]			50
{Or	NoDisclosure <NoDsclsr>	[1..1]	CodeSet		51
Or}	SafekeepingAccountAndHoldings <SfkpgAcctAndHldgs>	[1..*]			52
	SafekeepingAccount <SfkpgAcct>	[1..1]	Text		53
	AccountServicer <AcctSvcr>	[1..1]	±		54
	ShareholdingBalanceOnOwnAccount <ShrhldgBalOnOwnAcct>	[1..1]	±		54
	ShareholdingBalanceOnClientAccount <ShrhldgBalOnClntAcct>	[1..1]	±		54
	TotalShareholdingBalance <TtlShrhldgBal>	[1..1]	±		54
	AccountSubLevel <AcctSubLvl>	[0..1]			55
	NonDisclosedShareholdingQuantity <NonDsclsdShrhldgQty>	[0..1]	±		55
	BelowThresholdShareholdingQuantity <BlwThrshldShrhldgQty>	[0..1]	±		56
	Disclosure <Dsclsr>	[0..*]			56
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		57
	AccountHolder <AcctHldr>	[1..1]		C7	57
	LegalPerson <LglPrsn>	[0..*]	±		57
	NaturalPerson <NtrlPrsn>	[0..*]	±		58
	ShareholdingBalance <ShrhldgBal>	[1..*]			59
	ShareholdingType <ShrhldgTp>	[1..1]	CodeSet		60
	Quantity <Qty>	[1..1]	±		60

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	InitialDateOfShareholding <InitDtOfShrhldg>	[0..1]	±		61
	ThirdParty <ThrdPty>	[0..*]			61
	Role <Role>	[1..1]	±		61
	Identification <Id>	[1..1]			62
{Or	LegalPerson <LglPrsn>	[1..1]	±		62
Or}	NaturalPerson <NtrlPrsn>	[1..1]	±		62
	SupplementaryData <SplmtryData>	[0..*]	±	C9	63
	SupplementaryData <SplmtryData>	[0..*]	±	C9	64

5.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AnyBIC

(Rule)

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. (Algorithm)

Error handling:

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

C2 Country

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C3 DescriptionPresenceRule

(Rule)

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

Error handling:

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

C4 DescriptionUsageRule

(Rule)

Description must be used alone as the last resort.

C5 ISINGuideline

(Rule)

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

C6 ISINPresenceRule

(Rule)

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

Error handling:

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

C7 LegalPersonOrNaturalPersonRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00504
- *Error Text:* At least one occurrence of either NaturalPerson or LegalPerson must be present.

C8 OtherIdentificationPresenceRule

(Rule)

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

Error handling:

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

C9 SupplementaryDataRule

(Rule)

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 120 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		120
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		120

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		47
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C8	48
	ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt>	[1..1]	±		49

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 190

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 110 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		112
	OtherIdentification <OthrlId>	[0..*]			112
	Identification <Id>	[1..1]	Text		112
	Suffix <Sfx>	[0..1]	Text		112
	Type <Tp>	[1..1]	±		112
	Description <Desc>	[0..1]	Text		113

Constraints

- **DescriptionPresenceRule**

(Rule)

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

Error handling:

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

- **DescriptionUsageRule**

(Rule)

Description must be used alone as the last resort.

- **ISINGuideline**

(Rule)

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

- **ISINPresenceRule**

(Rule)

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
```

Error handling:

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

• **OtherIdentificationPresenceRule**

(Rule)

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
```

Error handling:

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

5.4.2.3 ShareholdersDisclosureRecordDate <ShrhldrsDscslrRcrdDt>

Presence: [1..1]

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

ShareholdersDisclosureRecordDate <ShrhldrsDscslrRcrdDt> contains one of the following elements (see [DateFormat46Choice](#) on page 100 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		100
Or}	DateCode <DtCd>	[1..1]			100
{Or	Code <Cd>	[1..1]	CodeSet		100
Or}	Proprietary <Prtry>	[1..1]	±		101

5.4.3 DisclosureResponseIdentification <DscslrRspnId>

Presence: [1..1]

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

Datatype: [Max35Text](#) on page 190

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 150 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NameAndAddress <NmAndAdr>	[1..1]			151
	Name <Nm>	[1..1]	Text		152
	Address <Adr>	[0..1]			152
	AddressType <AdrTp>	[0..1]	CodeSet		152
	AddressLine <AdrLine>	[0..5]	Text		152
	StreetName <StrtNm>	[0..1]	Text		153
	BuildingNumber <BldgNb>	[0..1]	Text		153
	PostBox <PstBx>	[0..1]	Text		153
	PostCode <PstCd>	[0..1]	Text		153
	TownName <TwnNm>	[0..1]	Text		153
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		153
	Country <Ctry>	[1..1]	CodeSet	C2	153
	Identification <Id>	[1..1]	±		154
	ContactPerson <CtctPrsn>	[0..1]	±		154

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		51
Or}	SafekeepingAccountAndHoldings <SfkpgAcctAndHldgs>	[1..*]			52
	SafekeepingAccount <SfkpgAcct>	[1..1]	Text		53
	AccountServicer <AcctSvcr>	[1..1]	±		54
	ShareholdingBalanceOnOwnAccount <ShrhldgBalOnOwnAcct>	[1..1]	±		54
	ShareholdingBalanceOnClientAccount <ShrhldgBalOnClntAcct>	[1..1]	±		54
	TotalShareholdingBalance <TtlShrhldgBal>	[1..1]	±		54
	AccountSubLevel <AcctSubLvl>	[0..1]			55
	NonDisclosedShareholdingQuantity <NonDsclsdShrhldgQty>	[0..1]	±		55
	BelowThresholdShareholdingQuantity <BlwThrshldShrhldgQty>	[0..1]	±		56
	Disclosure <Dsclsr>	[0..*]			56
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		57
	AccountHolder <AcctHldr>	[1..1]		C7	57
	LegalPerson <LglPrsn>	[0..*]	±		57
	NaturalPerson <NtrlPrsn>	[0..*]	±		58
	ShareholdingBalance <ShrhldgBal>	[1..*]			59
	ShareholdingType <ShrhldgTp>	[1..1]	CodeSet		60
	Quantity <Qty>	[1..1]	±		60
	InitialDateOfShareholding <InitlDtOfShrhldg>	[0..1]	±		61
	ThirdParty <ThrdPty>	[0..*]			61
	Role <Role>	[1..1]	±		61
	Identification <Id>	[1..1]			62
{Or	LegalPerson <LglPrsn>	[1..1]	±		62
Or}	NaturalPerson <NtrlPrsn>	[1..1]	±		62
	SupplementaryData <SplmtryData>	[0..*]	±	C9	63

5.4.5.1 NoDisclosure <NoDsclsr>

Presence: [1..1]

Definition: Shareholding information is not disclosed.

Datatype: NoReasonCode on page 183

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		53
	AccountServicer <AcctSvcr>	[1..1]	±		54
	ShareholdingBalanceOnOwnAccount <ShrhldgBalOnOwnAcct>	[1..1]	±		54
	ShareholdingBalanceOnClientAccount <ShrhldgBalOnClntAcct>	[1..1]	±		54
	TotalShareholdingBalance <TtlShrhldgBal>	[1..1]	±		54
	AccountSubLevel <AcctSubLvl>	[0..1]			55
	NonDisclosedShareholdingQuantity <NonDsclsdShrhldgQty>	[0..1]	±		55
	BelowThresholdShareholdingQuantity <BlwThrshldShrhldgQty>	[0..1]	±		56
	Disclosure <Dsclsr>	[0..*]			56
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		57
	AccountHolder <AcctHldr>	[1..1]		C7	57
	LegalPerson <LglPrsn>	[0..*]	±		57
	NaturalPerson <NtrlPrsn>	[0..*]	±		58
	ShareholdingBalance <ShrhldgBal>	[1..*]			59
	ShareholdingType <ShrhldgTp>	[1..1]	CodeSet		60
	Quantity <Qty>	[1..1]	±		60
	InitialDateOfShareholding <InitlDtOfShrhldg>	[0..1]	±		61
	ThirdParty <ThrdPty>	[0..*]			61
	Role <Role>	[1..1]	±		61
	Identification <Id>	[1..1]			62
{Or	LegalPerson <LglPrsn>	[1..1]	±		62
Or}	NaturalPerson <NtrlPrsn>	[1..1]	±		62
	SupplementaryData <SplmtryData>	[0..*]	±	C9	63

5.4.5.2.1 SafekeepingAccount <SfkpgAcct>

Presence: [1..1]

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

Datatype: Max35Text on page 190

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 118 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C2	119
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		119
Or}	LEI <LEI>	[1..1]	IdentifierSet		119

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 176 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		177
Or}	FaceAmount <FaceAmt>	[1..1]	Amount		177

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 176 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		177
Or}	FaceAmount <FaceAmt>	[1..1]	Amount		177

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 176 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		177
Or}	FaceAmount <FaceAmt>	[1..1]	Amount		177

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]	±		55
	BelowThresholdShareholdingQuantity <BlwThrshldShrhldgQty>	[0..1]	±		56
	Disclosure <Dsclsr>	[0..*]			56
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		57
	AccountHolder <AcctHldr>	[1..1]		C7	57
	LegalPerson <LglPrsn>	[0..*]	±		57
	NaturalPerson <NtrlPrsn>	[0..*]	±		58
	ShareholdingBalance <ShrhldgBal>	[1..*]			59
	ShareholdingType <ShrhldgTp>	[1..1]	CodeSet		60
	Quantity <Qty>	[1..1]	±		60
	InitialDateOfShareholding <InitDtOfShrhldg>	[0..1]	±		61
	ThirdParty <ThrdPty>	[0..*]			61
	Role <Role>	[1..1]	±		61
	Identification <Id>	[1..1]			62
{Or	LegalPerson <LglPrsn>	[1..1]	±		62
Or}	NaturalPerson <NtrlPrsn>	[1..1]	±		62
	SupplementaryData <SplmtryData>	[0..*]	±	C9	63

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 176 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		177
Or}	FaceAmount <FaceAmt>	[1..1]	Amount		177

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 176 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		177
Or}	FaceAmount <FaceAmt>	[1..1]	Amount		177

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		57
	AccountHolder <AcctHldr>	[1..1]		C7	57
	LegalPerson <LglPrsn>	[0..*]	±		57
	NaturalPerson <NtrlPrsn>	[0..*]	±		58
	ShareholdingBalance <ShrhldgBal>	[1..*]			59
	ShareholdingType <ShrhldgTp>	[1..1]	CodeSet		60
	Quantity <Qty>	[1..1]	±		60
	InitialDateOfShareholding <InitlDtOfShrhldg>	[0..1]	±		61
	ThirdParty <ThrdPty>	[0..*]			61
	Role <Role>	[1..1]	±		61
	Identification <Id>	[1..1]			62
{Or	LegalPerson <LglPrsn>	[1..1]	±		62
Or}	NaturalPerson <NtrlPrsn>	[1..1]	±		62
	SupplementaryData <SplmtryData>	[0..*]	±	C9	63

5.4.5.2.6.3.1 SafekeepingAccount <SfkpgAcct>

Presence: [0..1]

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

Datatype: Max35Text on page 190

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..*]	±		57
	NaturalPerson <NtrlPrsn>	[0..*]	±		58

Constraints

- **LegalPersonOrNaturalPersonRule**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00504

– *Error Text:* At least one occurrence of either NaturalPerson or LegalPerson 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 127 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NameAndAddress <NmAndAdr>	[1..1]			128
	Name <Nm>	[1..1]	Text		129
	Address <Adr>	[0..1]			129
	AddressType <AdrTp>	[0..1]	CodeSet		130
	AddressLine <AdrLine>	[0..5]	Text		130
	StreetName <StrtNm>	[0..1]	Text		130
	BuildingNumber <BldgNb>	[0..1]	Text		130
	PostBox <PstBx>	[0..1]	Text		130
	PostCode <PstCd>	[0..1]	Text		130
	TownName <TwnNm>	[0..1]	Text		131
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		131
	Country <Ctry>	[1..1]	CodeSet	C2	131
	EmailAddress <EmailAdr>	[0..1]	Text		131
	Identification <Id>	[1..1]	±		131
	CountryOfIncorporation <CtryOfIncorprtn>	[0..1]	CodeSet	C2	132
	YearOfIncorporation <YrOfIncorprtn>	[0..1]	Year		132
	ActivityIndicator <ActvtyInd>	[0..1]	IdentifierSet		132
	InvestorType <InvstrTp>	[0..1]			132
{Or	Code <Cd>	[1..1]	CodeSet		133
Or}	Proprietary <Prtry>	[1..1]	±		133
	Ownership <Ownrsh>	[0..1]			133
	OwnershipType <OwnrshTp>	[0..1]			134
{Or	Code <Cd>	[1..1]	CodeSet		134
Or}	Proprietary <Prtry>	[1..1]	±		134
	OwnershipPercentage <OwnrshPctg>	[0..1]	Rate		135
	UsufructPercentage <UsfrctPctg>	[0..1]	Rate		135

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 143 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NameAndAddress <NmAndAdr>	[1..1]			143
	NamePrefix <NmPrfx>	[0..1]	CodeSet		144
	FirstName <FrstNm>	[1..1]	Text		144
	Surname <SrnM>	[1..1]	Text		144
	Address <Adr>	[0..1]			145
	AddressType <AdrTp>	[0..1]	CodeSet		145
	AddressLine <AdrLine>	[0..5]	Text		145
	StreetName <StrtNm>	[0..1]	Text		145
	BuildingNumber <BldgNb>	[0..1]	Text		146
	PostBox <PstBx>	[0..1]	Text		146
	PostCode <PstCd>	[0..1]	Text		146
	TownName <TwnNm>	[0..1]	Text		146
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		146
	Country <Ctry>	[1..1]	CodeSet	C2	146
	EmailAddress <EmailAdr>	[0..1]	Text		147
	Identification <Id>	[1..1]	±		147
	Nationality <Ntlty>	[0..1]	CodeSet	C2	147
	DateAndPlaceOfBirth <DtAndPlcOfBirth>	[0..1]	±		148
	InvestorType <InvstrTp>	[0..1]			148
{Or	Code <Cd>	[1..1]	CodeSet		148
Or}	Proprietary <Prtry>	[1..1]	±		148
	Ownership <Ownrsh>	[0..1]			149
	OwnershipType <OwnrshTp>	[0..1]			149
{Or	Code <Cd>	[1..1]	CodeSet		149
Or}	Proprietary <Prtry>	[1..1]	±		150
	OwnershipPercentage <OwnrshPctg>	[0..1]	Rate		150
	UsufructPercentage <UsfrctPctg>	[0..1]	Rate		150

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		60
	Quantity <Qty>	[1..1]	±		60
	InitialDateOfShareholding <InitlDtOfShrhldg>	[0..1]	±		61
	ThirdParty <ThrdPty>	[0..*]			61
	Role <Role>	[1..1]	±		61
	Identification <Id>	[1..1]			62
{Or	LegalPerson <LglPrsn>	[1..1]	±		62
Or}	NaturalPerson <NtrlPrsn>	[1..1]	±		62
	SupplementaryData <SplmtryData>	[0..*]	±	C9	63

5.4.5.2.6.3.3.1 ShareholdingType <ShrhldgTp>

Presence: [1..1]

Definition: Identifies the category of shareholding.

Datatype: [ShareholdingType1Code on page 184](#)

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

5.4.5.2.6.3.3.2 Quantity <Qty>

Presence: [1..1]

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

Quantity <Qty> contains one of the following elements (see [FinancialInstrumentQuantity18Choice](#) on page 176 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		177
Or}	FaceAmount <FaceAmt>	[1..1]	Amount		177

5.4.5.2.6.3.3.3 InitialDateOfShareholding <InitDtOfShrhldg>

Presence: [0..1]

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

InitialDateOfShareholding <InitDtOfShrhldg> contains one of the following elements (see [DateFormat57Choice](#) on page 101 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		101
Or}	DateCode <DtCd>	[1..1]			101
{Or	Code <Cd>	[1..1]	CodeSet		101
Or}	Proprietary <Prtry>	[1..1]	±		102

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]	±		61
	Identification <Id>	[1..1]			62
{Or	LegalPerson <LglPrsn>	[1..1]	±		62
Or}	NaturalPerson <NtrlPrsn>	[1..1]	±		62

5.4.5.2.6.3.3.4.1 Role <Role>

Presence: [1..1]

Definition: Role played by the third party.

Role <Role> contains one of the following elements (see [PartyRole6Choice](#) on page 118 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		118
Or}	Proprietary <Prtry>	[1..1]	±		118

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]	±		62
Or}	NaturalPerson <NtrlPrsn>	[1..1]	±		62

5.4.5.2.6.3.3.4.2.1 LegalPerson <LglPrsn>

Presence: [1..1]

Definition: Legal entity.

LegalPerson <LglPrsn> contains the following elements (see [PartyIdentification201](#) on page 139 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NameAndAddress <NmAndAdr>	[0..1]			139
	Name <Nm>	[1..1]	Text		140
	Address <Adr>	[0..1]			140
	AddressType <AdrTp>	[0..1]	CodeSet		141
	AddressLine <AdrLine>	[0..5]	Text		141
	StreetName <StrtNm>	[0..1]	Text		141
	BuildingNumber <BldgNb>	[0..1]	Text		141
	PostBox <PstBx>	[0..1]	Text		141
	PostCode <PstCd>	[0..1]	Text		141
	TownName <TwnNm>	[0..1]	Text		142
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		142
	Country <Ctry>	[1..1]	CodeSet	C2	142
	Identification <Id>	[1..1]	±		142

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 135 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NameAndAddress <NmAndAdr>	[1..1]			135
	FirstName <FrstNm>	[1..1]	Text		136
	Surname <SrnM>	[1..1]	Text		136
	Address <Adr>	[0..1]			136
	AddressType <AdrTp>	[0..1]	CodeSet		137
	AddressLine <AdrLine>	[0..5]	Text		137
	StreetName <StrtNm>	[0..1]	Text		137
	BuildingNumber <BldgNb>	[0..1]	Text		137
	PostBox <PstBx>	[0..1]	Text		138
	PostCode <PstCd>	[0..1]	Text		138
	TownName <TwnNm>	[0..1]	Text		138
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		138
	Country <Ctry>	[1..1]	CodeSet	C2	138
	Identification <Id>	[1..1]	±		139

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 115 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		115
	Envelope <Envlp>	[1..1]	(External Schema)		115

Constraints

- **SupplementaryDataRule**
(Rule)

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

5.4.6 SupplementaryData <SplmtryData>

Presence: [0..*]

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

Impacted by: [C9 SupplementaryDataRule](#)

SupplementaryData <SplmtryData> contains the following elements (see [SupplementaryData1](#) on page 115 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		115
	Envelope <Envlp>	[1..1]	(External Schema)		115

Constraints

- **SupplementaryDataRule**

(Rule)

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 MX 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		67
	IssuerDisclosureRequestReference <IssrDsclsrReqRef>	[1..1]			68
	IssuerDisclosureRequestIdentification <IssrDsclsrReqId>	[1..1]	Text		68
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C2, C3, C4, C5, C6	68
	ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt>	[1..1]	±		70
	RespondingIntermediary <RspndgIntrmy>	[1..1]			70
	Name <Nm>	[1..1]	Text		70
	Identification <Id>	[1..1]	±		70
	SupplementaryData <SplmtryData>	[0..*]	±	C7	71

6.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AnyBIC

(Rule)

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. (Algorithm)

Error handling:

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

C2 DescriptionPresenceRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00192

– *Error Text:* At least one identification must be present.

C3 DescriptionUsageRule

(Rule)

Description must be used alone as the last resort.

C4 ISINGuideline

(Rule)

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

C5 ISINPresenceRule

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00194

– *Error Text:* At least one identification must be present.

C6 OtherIdentificationPresenceRule

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00193

– *Error Text:* At least one identification must be present.

C7 SupplementaryDataRule

(Rule)

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 190](#)

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		68
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C2, C3, C4, C5, C6	68
	ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt>	[1..1]	±		70

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 190](#)

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 110](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		112
	OtherIdentification <OthrlId>	[0..*]			112
	Identification <Id>	[1..1]	Text		112
	Suffix <Sfx>	[0..1]	Text		112
	Type <Tp>	[1..1]	±		112
	Description <Desc>	[0..1]	Text		113

Constraints

- **DescriptionPresenceRule**

(Rule)

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
```

Error handling:

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

- **DescriptionUsageRule**

(Rule)

Description must be used alone as the last resort.

- **ISINGuideline**

(Rule)

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

- **ISINPresenceRule**

(Rule)

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
```

Error handling:

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

- **OtherIdentificationPresenceRule**

(Rule)

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
```

Error handling:

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

6.4.2.3 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 100 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		100
Or}	DateCode <DtCd>	[1..1]			100
{Or	Code <Cd>	[1..1]	CodeSet		100
Or}	Proprietary <Prtry>	[1..1]	±		101

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		70
	Identification <Id>	[1..1]	±		70

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 190

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 118 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C2	119
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		119
Or}	LEI <LEI>	[1..1]	IdentifierSet		119

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 115 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		115
	Envelope <Envlp>	[1..1]	(External Schema)		115

Constraints

- **SupplementaryDataRule**

(Rule)

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 **MX 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		75
	IssuerDisclosureRequestReference <IssrDsclsrReqRef>	[1..1]			75
	IssuerDisclosureRequestIdentification <IssrDsclsrReqId>	[1..1]	Text		75
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	75
	ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt>	[1..1]	±		77
	RespondingIntermediary <RspndgIntrmy>	[1..1]			77
	Name <Nm>	[1..1]	Text		78
	Identification <Id>	[1..1]	±		78
	ResponseReceptionStatus <RspnRcptnSts>	[1..1]			78
{Or	Accepted <Accptd>	[1..1]			79
	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		79
Or}	Rejected <Rjctd>	[1..1]			79
{Or	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		80
Or}	Reason <Rsn>	[1..*]		C1	80
	ReasonCode <RsnCd>	[1..1]			80
{Or	Code <Cd>	[1..1]	CodeSet		81
Or}	Proprietary <Prtry>	[1..1]	±		81
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		81
	SupplementaryData <SplmtryData>	[0..*]	±	C8	81

7.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AdditionalReasonInformationRule

(Rule)

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

C2 AnyBIC

(Rule)

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. (Algorithm)

Error handling:

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

C3 DescriptionPresenceRule

(Rule)

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

Error handling:

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

C4 DescriptionUsageRule

(Rule)

Description must be used alone as the last resort.

C5 ISINGuideline

(Rule)

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

C6 ISINPresenceRule

(Rule)

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

Error handling:

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

C7 OtherIdentificationPresenceRule

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* X00193

– *Error Text:* At least one identification must be present.

C8 SupplementaryDataRule

(Rule)

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 190](#)

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		75
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	75
	ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt>	[1..1]	±		77

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 190](#)

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 110 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		112
	OtherIdentification <OthrlId>	[0..*]			112
	Identification <Id>	[1..1]	Text		112
	Suffix <Sfx>	[0..1]	Text		112
	Type <Tp>	[1..1]	±		112
	Description <Desc>	[0..1]	Text		113

Constraints

- **DescriptionPresenceRule**

(Rule)

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
```

Error handling:

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

- **DescriptionUsageRule**

(Rule)

Description must be used alone as the last resort.

- **ISINGuideline**

(Rule)

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

- **ISINPresenceRule**

(Rule)

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

Error handling:

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

• **OtherIdentificationPresenceRule**

(Rule)

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

Error handling:

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

7.4.2.3 ShareholdersDisclosureRecordDate <ShrhldrsDscslrRcrdDt>

Presence: [1..1]

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

ShareholdersDisclosureRecordDate <ShrhldrsDscslrRcrdDt> contains one of the following elements (see [DateFormat46Choice](#) on page 100 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		100
Or}	DateCode <DtCd>	[1..1]			100
{Or	Code <Cd>	[1..1]	CodeSet		100
Or}	Proprietary <Prtry>	[1..1]	±		101

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		78
	Identification <Id>	[1..1]	±		78

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 190

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 118 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C2	119
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		119
Or}	LEI <LEI>	[1..1]	IdentifierSet		119

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]			79
	NoSpecifiedReason <NoSpcdfRsn>	[1..1]	CodeSet		79
Or}	Rejected <Rjctd>	[1..1]			79
{Or	NoSpecifiedReason <NoSpcdfRsn>	[1..1]	CodeSet		80
Or}	Reason <Rsn>	[1..*]		C1	80
	ReasonCode <RsnCd>	[1..1]			80
{Or	Code <Cd>	[1..1]	CodeSet		81
Or}	Proprietary <Prtry>	[1..1]	±		81
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		81

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 <NoSpcdfRsn>	[1..1]	CodeSet		79

7.4.4.1.1 NoSpecifiedReason <NoSpcdfRsn>

Presence: [1..1]

Definition: Reason not specified.

Datatype: [NoReasonCode on page 183](#)

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 <NoSpofdRsn>	[1..1]	CodeSet		80
Or}	Reason <Rsn>	[1..*]		C1	80
	ReasonCode <RsnCd>	[1..1]			80
{Or	Code <Cd>	[1..1]	CodeSet		81
Or}	Proprietary <Prtry>	[1..1]	±		81
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		81

7.4.4.2.1 NoSpecifiedReason <NoSpofdRsn>

Presence: [1..1]

Definition: Reason not specified.

Datatype: NoReasonCode on page 183

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]			80
{Or	Code <Cd>	[1..1]	CodeSet		81
Or}	Proprietary <Prtry>	[1..1]	±		81
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		81

Constraints

- **AdditionalReasonInformationRule**

(Rule)

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		81
Or}	Proprietary <Prtry>	[1..1]	±		81

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 184

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 113 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		114
	Issuer <Issr>	[1..1]	Text		114
	SchemeName <SchmeNm>	[0..1]	Text		114

7.4.4.2.2.2 AdditionalReasonInformation <AddtlRsnInf>

Presence: [0..1]

Definition: Provides additional information about the processed instruction.

Datatype: [Max350Text](#) on page 190

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 115 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		115
	Envelope <Envlp>	[1..1]	(External Schema)		115

Constraints

- **SupplementaryDataRule**

(Rule)

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 **MX semt.001.001.04** **SecuritiesMessageRejectionV04**

8.1 **MessageDefinition Functionality**

Scope

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

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

Usage

The SecuritiesMessageRejection message is used for the following reasons:

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

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

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

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

The message should be used with the business Application Header.

Outline

The SecuritiesMessageRejectionV04 MessageDefinition is composed of 2 MessageBuildingBlocks:

A. RelatedReference

Reference to a linked message that was previously received.

B. Reason

Reason to reject the message.

8.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <SctiesMsgRjctn>	[1..1]			
	RelatedReference <RltdRef>	[1..1]			86
	Reference <Ref>	[1..1]	Text		86
	Referencelssuer <RefIssr>	[0..1]			86
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	86
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		87
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		87
	MessageName <MsgNm>	[0..1]	Text		87
	MessageNumber <MsgNb>	[1..1]	±	C3	88
	Reason <Rsn>	[1..1]			88
	Reason <Rsn>	[1..1]	CodeSet		89
	AdditionalInformation <AddtlInf>	[0..1]	Text		90
	LinkedMessage <LkdMsg>	[0..1]			90
{Or	PreviousReference <PrvsRef>	[1..1]			91
	Reference <Ref>	[1..1]	Text		92
	Referencelssuer <RefIssr>	[0..1]			92
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	92
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		93
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		93
	MessageName <MsgNm>	[0..1]	Text		93
	MessageNumber <MsgNb>	[1..1]	±	C3	93
Or	OtherReference <OthrRef>	[1..1]			94
	Reference <Ref>	[1..1]	Text		94
	Referencelssuer <RefIssr>	[0..1]			94
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	95
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		95
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		95
	MessageName <MsgNm>	[0..1]	Text		96
	MessageNumber <MsgNb>	[1..1]	±	C3	96
Or}	RelatedReference <RltdRef>	[1..1]			96

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		97
	ReferenceIssuer <RefIssr>	[0..1]			97
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	97
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		98
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		98
	MessageName <MsgNm>	[0..1]	Text		98
	MessageNumber <MsgNb>	[1..1]	±	C3	98

8.3 Constraints

The tick symbol () means that the rule is validated on the SWIFT Network, if the message is part of a solution for which validation is enabled.

C1 AnyBIC

(Rule)

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. (Algorithm)

Error handling:

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

C2 Country

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

C3 ShortLongNumberRule

(Rule)

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

8.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

8.4.1 RelatedReference <RltdRef>

Presence: [1..1]

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

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		86
	Referencelssuer <RefIssr>	[0..1]			86
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	86
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		87
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		87
	MessageName <MsgNm>	[0..1]	Text		87
	MessageNumber <MsgNb>	[1..1]	±	C3	88

8.4.1.1 Reference <Ref>

Presence: [1..1]

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

Datatype: [Max35Text on page 190](#)

8.4.1.2 Referencelssuer <RefIssr>

Presence: [0..1]

Definition: Issuer of the reference.

Referencelssuer <RefIssr> contains one of the following **PartyIdentification247Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	86
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		87
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		87

8.4.1.2.1 AnyBIC <AnyBIC>

Presence: [1..1]

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

Impacted by: C1 AnyBIC

Datatype: AnyBICDec2014Identifier on page 186

Constraints

- **AnyBIC**

(Rule)

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

Error handling:

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

8.4.1.2.2 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 114 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		114
	Issuer <Issr>	[1..1]	Text		114
	SchemeName <SchmeNm>	[0..1]	Text		114

8.4.1.2.3 NameAndAddress <NmAndAdr>

Presence: [1..1]

Definition: Name and address of a party.

NameAndAddress <NmAndAdr> contains the following elements (see [NameAndAddress5](#) on page 169 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		169
	Address <Adr>	[0..1]	±		170

8.4.1.3 MessageName <MsgNm>

Presence: [0..1]

Definition: Name of a message.

Datatype: Max35Text on page 190

8.4.1.4 MessageNumber <MsgNb>

Presence: [1..1]

Definition: Identification of the type of message.

Impacted by: [C3 ShortLongNumberRule](#)

MessageNumber <MsgNb> contains one of the following elements (see [DocumentNumber5Choice](#) on page 102 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ShortNumber <ShrtNb>	[1..1]	Text		103
Or	LongNumber <LngNb>	[1..1]	Text		103
Or}	ProprietaryNumber <PrtryNb>	[1..1]	±		103

Constraints

- **ShortLongNumberRule**

(Rule)

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

8.4.2 Reason <Rsn>

Presence: [1..1]

Definition: Reason to reject the message.

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reason <Rsn>	[1..1]	CodeSet		89
	AdditionalInformation <AddtlInf>	[0..1]	Text		90
	LinkedMessage <LkdMsg>	[0..1]			90
{Or	PreviousReference <PrvsRef>	[1..1]			91
	Reference <Ref>	[1..1]	Text		92
	Referencelssuer <RefIssr>	[0..1]			92
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	92
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		93
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		93
	MessageName <MsgNm>	[0..1]	Text		93
	MessageNumber <MsgNb>	[1..1]	±	C3	93
Or	OtherReference <OthrRef>	[1..1]			94
	Reference <Ref>	[1..1]	Text		94
	Referencelssuer <RefIssr>	[0..1]			94
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	95
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		95
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		95
	MessageName <MsgNm>	[0..1]	Text		96
	MessageNumber <MsgNb>	[1..1]	±	C3	96
Or}	RelatedReference <RltdRef>	[1..1]			96
	Reference <Ref>	[1..1]	Text		97
	Referencelssuer <RefIssr>	[0..1]			97
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	97
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		98
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		98
	MessageName <MsgNm>	[0..1]	Text		98
	MessageNumber <MsgNb>	[1..1]	±	C3	98

8.4.2.1 Reason <Rsn>

Presence: [1..1]

Definition: Reason to reject the message.

Datatype: [MessageRejectedReason2Code on page 182](#)

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

8.4.2.2 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the rejection reason.

Datatype: [Max350Text on page 190](#)

8.4.2.3 LinkedMessage <LkdMsg>

Presence: [0..1]

Definition: Identification of the invalid or unrecognised reference.

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	PreviousReference <PrvsRef>	[1..1]			91
	Reference <Ref>	[1..1]	Text		92
	ReferenceIssuer <RefIssr>	[0..1]			92
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	92
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		93
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		93
	MessageName <MsgNm>	[0..1]	Text		93
	MessageNumber <MsgNb>	[1..1]	±	C3	93
Or	OtherReference <OthrRef>	[1..1]			94
	Reference <Ref>	[1..1]	Text		94
	ReferenceIssuer <RefIssr>	[0..1]			94
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	95
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		95
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		95
	MessageName <MsgNm>	[0..1]	Text		96
	MessageNumber <MsgNb>	[1..1]	±	C3	96
Or}	RelatedReference <RltdRef>	[1..1]			96
	Reference <Ref>	[1..1]	Text		97
	ReferenceIssuer <RefIssr>	[0..1]			97
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	97
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		98
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		98
	MessageName <MsgNm>	[0..1]	Text		98
	MessageNumber <MsgNb>	[1..1]	±	C3	98

8.4.2.3.1 PreviousReference <PrvsRef>

Presence: [1..1]

Definition: Linked previous reference.

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		92
	Referencelssuer <RefIssr>	[0..1]			92
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	92
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		93
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		93
	MessageName <MsgNm>	[0..1]	Text		93
	MessageNumber <MsgNb>	[1..1]	±	C3	93

8.4.2.3.1.1 Reference <Ref>

Presence: [1..1]

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

Datatype: Max35Text on page 190

8.4.2.3.1.2 Referencelssuer <RefIssr>

Presence: [0..1]

Definition: Issuer of the reference.

Referencelssuer <RefIssr> contains one of the following **PartyIdentification247Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	92
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		93
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		93

8.4.2.3.1.2.1 AnyBIC <AnyBIC>

Presence: [1..1]

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

Impacted by: C1 AnyBIC

Datatype: AnyBICDec2014Identifier on page 186

Constraints

- **AnyBIC**

(Rule)

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

Error handling:

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

8.4.2.3.1.2.2 ProprietaryIdentification <Prtryld>

Presence: [1..1]

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

ProprietaryIdentification <Prtryld> contains the following elements (see [GenericIdentification36](#) on page 114 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		114
	Issuer <Issr>	[1..1]	Text		114
	SchemeName <SchmeNm>	[0..1]	Text		114

8.4.2.3.1.2.3 NameAndAddress <NmAndAdr>

Presence: [1..1]

Definition: Name and address of a party.

NameAndAddress <NmAndAdr> contains the following elements (see [NameAndAddress5](#) on page 169 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		169
	Address <Adr>	[0..1]	±		170

8.4.2.3.1.3 MessageName <MsgNm>

Presence: [0..1]

Definition: Name of a message.

Datatype: [Max35Text](#) on page 190

8.4.2.3.1.4 MessageNumber <MsgNb>

Presence: [1..1]

Definition: Identification of the type of message.

Impacted by: [C3 ShortLongNumberRule](#)

MessageNumber <MsgNb> contains one of the following elements (see [DocumentNumber5Choice](#) on page 102 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ShortNumber <ShrtNb>	[1..1]	Text		103
Or	LongNumber <LngNb>	[1..1]	Text		103
Or}	ProprietaryNumber <PrtryNb>	[1..1]	±		103

Constraints

- **ShortLongNumberRule**

(Rule)

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

8.4.2.3.2 OtherReference <OthrRef>

Presence: [1..1]

Definition: Linked other reference.

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		94
	Referencelssuer <RefIssr>	[0..1]			94
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	95
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		95
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		95
	MessageName <MsgNm>	[0..1]	Text		96
	MessageNumber <MsgNb>	[1..1]	±	C3	96

8.4.2.3.2.1 Reference <Ref>

Presence: [1..1]

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

Datatype: [Max35Text](#) on page 190

8.4.2.3.2.2 Referencelssuer <RefIssr>

Presence: [0..1]

Definition: Issuer of the reference.

ReferenceIssuer <RefIssr> contains one of the following **PartyIdentification247Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	95
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		95
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		95

8.4.2.3.2.2.1 AnyBIC <AnyBIC>

Presence: [1..1]

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

Impacted by: C1 AnyBIC

Datatype: AnyBICDec2014Identifier on page 186

Constraints

- **AnyBIC**

(Rule)

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

Error handling:

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

8.4.2.3.2.2.2 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 114 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		114
	Issuer <Issr>	[1..1]	Text		114
	SchemeName <SchmeNm>	[0..1]	Text		114

8.4.2.3.2.2.3 NameAndAddress <NmAndAdr>

Presence: [1..1]

Definition: Name and address of a party.

NameAndAddress <NmAndAdr> contains the following elements (see [NameAndAddress5](#) on page 169 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		169
	Address <Adr>	[0..1]	±		170

8.4.2.3.2.3 MessageName <MsgNm>

Presence: [0..1]

Definition: Name of a message.

Datatype: [Max35Text](#) on page 190

8.4.2.3.2.4 MessageNumber <MsgNb>

Presence: [1..1]

Definition: Identification of the type of message.

Impacted by: [C3 ShortLongNumberRule](#)

MessageNumber <MsgNb> contains one of the following elements (see [DocumentNumber5Choice](#) on page 102 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ShortNumber <ShrtNb>	[1..1]	Text		103
Or	LongNumber <LngNb>	[1..1]	Text		103
Or}	ProprietaryNumber <PrtryNb>	[1..1]	±		103

Constraints

- **ShortLongNumberRule**

(Rule)

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

8.4.2.3.3 RelatedReference <RltdRef>

Presence: [1..1]

Definition: Linked related reference.

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]	Text		97
	Referencelssuer <RefIssr>	[0..1]			97
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	97
Or	ProprietaryIdentification <Prtryld>	[1..1]	±		98
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		98
	MessageName <MsgNm>	[0..1]	Text		98
	MessageNumber <MsgNb>	[1..1]	±	C3	98

8.4.2.3.3.1 Reference <Ref>

Presence: [1..1]

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

Datatype: Max35Text on page 190

8.4.2.3.3.2 Referencelssuer <RefIssr>

Presence: [0..1]

Definition: Issuer of the reference.

Referencelssuer <RefIssr> contains one of the following **PartyIdentification247Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	97
Or	ProprietaryIdentification <Prtryld>	[1..1]	±		98
Or}	NameAndAddress <NmAndAdr>	[1..1]	±		98

8.4.2.3.3.2.1 AnyBIC <AnyBIC>

Presence: [1..1]

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

Impacted by: C1 AnyBIC

Datatype: AnyBICDec2014Identifier on page 186

Constraints

- **AnyBIC**

(Rule)

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

Error handling:

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

8.4.2.3.3.2 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 114 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		114
	Issuer <Issr>	[1..1]	Text		114
	SchemeName <SchmeNm>	[0..1]	Text		114

8.4.2.3.3.2.3 NameAndAddress <NmAndAdr>

Presence: [1..1]

Definition: Name and address of a party.

NameAndAddress <NmAndAdr> contains the following elements (see [NameAndAddress5](#) on page 169 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		169
	Address <Adr>	[0..1]	±		170

8.4.2.3.3.3 MessageName <MsgNm>

Presence: [0..1]

Definition: Name of a message.

Datatype: [Max35Text](#) on page 190

8.4.2.3.3.4 MessageNumber <MsgNb>

Presence: [1..1]

Definition: Identification of the type of message.

Impacted by: [C3 ShortLongNumberRule](#)

MessageNumber <MsgNb> contains one of the following elements (see [DocumentNumber5Choice](#) on page 102 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ShortNumber <ShrtNb>	[1..1]	Text		103
Or	LongNumber <LngNb>	[1..1]	Text		103
Or}	ProprietaryNumber <PrtryNb>	[1..1]	±		103

Constraints

- **ShortLongNumberRule**

(Rule)

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

9 Message Items Types

9.1 MessageComponents

9.1.1 Date Time

9.1.1.1 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]	±		100
Or}	DateCode <DtCd>	[1..1]			100
{Or	Code <Cd>	[1..1]	CodeSet		100
Or}	Proprietary <Prtry>	[1..1]	±		101

9.1.1.1.1 Date <Dt>

Presence: [1..1]

Definition: Date expressed as a calendar date.

Date <Dt> contains one of the following elements (see [DateAndDateTime2Choice](#) on page 102 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		102
Or}	DateTime <DtTm>	[1..1]	DateTime		102

9.1.1.1.2 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		100
Or}	Proprietary <Prtry>	[1..1]	±		101

9.1.1.1.2.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to indicate the date is unknown.

Datatype: [DateType1Code](#) on page 180

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

9.1.1.1.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of date.

Proprietary <Prtry> contains the following elements (see [GenericIdentification30](#) on page 113 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		114
	Issuer <Issr>	[1..1]	Text		114
	SchemeName <SchmeNm>	[0..1]	Text		114

9.1.1.2 DateFormat57Choice

Definition: Provides the date.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		101
Or}	DateCode <DtCd>	[1..1]			101
{Or	Code <Cd>	[1..1]	CodeSet		101
Or}	Proprietary <Prtry>	[1..1]	±		102

9.1.1.2.1 Date <Dt>

Presence: [1..1]

Definition: Date expressed as a calendar date.

Datatype: [ISODate](#) on page 185

9.1.1.2.2 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		101
Or}	Proprietary <Prtry>	[1..1]	±		102

9.1.1.2.2.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to indicate the date is unknown.

Datatype: [DateType1Code](#) on page 180

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

9.1.1.2.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of date.

Proprietary <Prtry> contains the following elements (see [GenericIdentification30](#) on page 113 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		114
	Issuer <Issr>	[1..1]	Text		114
	SchemeName <SchmeNm>	[0..1]	Text		114

9.1.1.3 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		102
Or}	DateTime <DtTm>	[1..1]	DateTime		102

9.1.1.3.1 Date <Dt>

Presence: [1..1]

Definition: Specified date.

Datatype: [ISODate](#) on page 185

9.1.1.3.2 DateTime <DtTm>

Presence: [1..1]

Definition: Specified date and time.

Datatype: [ISODateTime](#) on page 186

9.1.2 Document

9.1.2.1 DocumentNumber5Choice

Definition: Choice between a short document number, a long document number or a proprietary document number.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ShortNumber <ShrtNb>	[1..1]	Text		103
Or	LongNumber <LngNb>	[1..1]	Text		103
Or}	ProprietaryNumber <PrtryNb>	[1..1]	±		103

Constraints

- **ShortLongNumberRule**

(Rule)

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

9.1.2.1.1 ShortNumber <ShrtNb>

Presence: [1..1]

Definition: Message type number of the document referenced.

Datatype: [Exact3NumericText on page 189](#)

9.1.2.1.2 LongNumber <LngNb>

Presence: [1..1]

Definition: MX Message identifier of the referenced document.

Datatype: [ISO20022MessageIdentificationText on page 189](#)

9.1.2.1.3 ProprietaryNumber <PrtryNb>

Presence: [1..1]

Definition: Proprietary document identification.

ProprietaryNumber <PrtryNb> contains the following elements (see [GenericIdentification36 on page 114](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		114
	Issuer <Issr>	[1..1]	Text		114
	SchemeName <SchmeNm>	[0..1]	Text		114

9.1.3 Financial Institution Identification

9.1.3.1 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]	±		104
	MemberIdentification <Mmbld>	[1..1]	Text		104

9.1.3.1.1 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 177 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		177
Or}	Proprietary <Prtry>	[1..1]	Text		177

9.1.3.1.2 MemberIdentification <Mmbld>

Presence: [1..1]

Definition: Identification of a member of a clearing system.

Datatype: [Max35Text](#) on page 190

9.1.3.2 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	104
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		105
	LEI <LEI>	[0..1]	IdentifierSet		105
	Name <Nm>	[0..1]	Text		105
	PostalAddress <PstlAdr>	[0..1]	±		105
	Other <Othr>	[0..1]	±		106

9.1.3.2.1 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 187

Constraints

- **BICFI**

(Rule)

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.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00001
- *Error Text:* Invalid FI BIC.

9.1.3.2.2 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 103 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ClearingSystemIdentification <ClrSysId>	[0..1]	±		104
	MemberIdentification <Mmbld>	[1..1]	Text		104

9.1.3.2.3 LEI <LEI>

Presence: [0..1]

Definition: Legal entity identifier of the financial institution.

Datatype: [LEIIdentifier](#) on page 188

9.1.3.2.4 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 189

9.1.3.2.5 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 170 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			171
{Or	Code <Cd>	[1..1]	CodeSet		171
Or}	Proprietary <Prtry>	[1..1]	±		172
	Department <Dept>	[0..1]	Text		172
	SubDepartment <SubDept>	[0..1]	Text		172
	StreetName <StrtNm>	[0..1]	Text		172
	BuildingNumber <BldgNb>	[0..1]	Text		172
	BuildingName <BldgNm>	[0..1]	Text		173
	Floor <Flr>	[0..1]	Text		173
	PostBox <PstBx>	[0..1]	Text		173
	Room <Room>	[0..1]	Text		173
	PostCode <PstCd>	[0..1]	Text		173
	TownName <TwnNm>	[0..1]	Text		173
	TownLocationName <TwnLctnNm>	[0..1]	Text		173
	DistrictName <DstrctNm>	[0..1]	Text		173
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		174
	Country <Ctry>	[0..1]	CodeSet	C2	174
	AddressLine <AdrLine>	[0..7]	Text		174

9.1.3.2.6 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 109 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		109
	SchemeName <SchmeNm>	[0..1]			110
{Or	Code <Cd>	[1..1]	CodeSet		110
Or}	Proprietary <Prtry>	[1..1]	Text		110
	Issuer <Issr>	[0..1]	Text		110

9.1.3.3 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		107
	LEI <LEI>	[0..1]	IdentifierSet		107
	Name <Nm>	[0..1]	Text		107
	PostalAddress <PstlAdr>	[0..1]	±		107

9.1.3.3.1 Identification <Id>

Presence: [0..1]

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

Datatype: Max35Text on page 190

9.1.3.3.2 LEI <LEI>

Presence: [0..1]

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

Datatype: LEIIdentifier on page 188

9.1.3.3.3 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 189

9.1.3.3.4 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 170 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			171
{Or	Code <Cd>	[1..1]	CodeSet		171
Or}	Proprietary <Prtry>	[1..1]	±		172
	Department <Dept>	[0..1]	Text		172
	SubDepartment <SubDept>	[0..1]	Text		172
	StreetName <StrtNm>	[0..1]	Text		172
	BuildingNumber <BldgNb>	[0..1]	Text		172
	BuildingName <BldgNm>	[0..1]	Text		173
	Floor <Flr>	[0..1]	Text		173
	PostBox <PstBx>	[0..1]	Text		173
	Room <Room>	[0..1]	Text		173
	PostCode <PstCd>	[0..1]	Text		173
	TownName <TwnNm>	[0..1]	Text		173
	TownLocationName <TwnLctnNm>	[0..1]	Text		173
	DistrictName <DstrctNm>	[0..1]	Text		173
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		174
	Country <Ctry>	[0..1]	CodeSet	C2	174
	AddressLine <AdrLine>	[0..7]	Text		174

9.1.3.4 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]	±		108
	BranchIdentification <BrnchId>	[0..1]	±		109

9.1.3.4.1 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 104 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BICFI <BICFI>	[0..1]	IdentifierSet	C2	104
	ClearingSystemMemberIdentification <ClrSysMmbld>	[0..1]	±		105
	LEI <LEI>	[0..1]	IdentifierSet		105
	Name <Nm>	[0..1]	Text		105
	PostalAddress <PstlAdr>	[0..1]	±		105
	Other <Othr>	[0..1]	±		106

9.1.3.4.2 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 107 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[0..1]	Text		107
	LEI <LEI>	[0..1]	IdentifierSet		107
	Name <Nm>	[0..1]	Text		107
	PostalAddress <PstlAdr>	[0..1]	±		107

9.1.3.5 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		109
	SchemeName <SchmeNm>	[0..1]			110
{Or	Code <Cd>	[1..1]	CodeSet		110
Or}	Proprietary <Prtry>	[1..1]	Text		110
	Issuer <Issr>	[0..1]	Text		110

9.1.3.5.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identification of a person.

Datatype: [Max35Text on page 190](#)

9.1.3.5.2 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		110
Or}	Proprietary <Prtry>	[1..1]	Text		110

9.1.3.5.2.1 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 181](#)

9.1.3.5.2.2 Proprietary <Prtry>

Presence: [1..1]

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

Datatype: [Max35Text on page 190](#)

9.1.3.5.3 Issuer <Issr>

Presence: [0..1]

Definition: Entity that assigns the identification.

Datatype: [Max35Text on page 190](#)

9.1.4 Financial Instrument

9.1.4.1 SecurityIdentification19

Definition: Identification of a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		112
	OtherIdentification <OthrlId>	[0..*]			112
	Identification <Id>	[1..1]	Text		112
	Suffix <Sfx>	[0..1]	Text		112
	Type <Tp>	[1..1]	±		112
	Description <Desc>	[0..1]	Text		113

Constraints

- **DescriptionPresenceRule**

(Rule)

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
```

Error handling:

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

- **DescriptionUsageRule**

(Rule)

Description must be used alone as the last resort.

- **ISINGuideline**

(Rule)

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

- **ISINPresenceRule**

(Rule)

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
```

Error handling:

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

- **OtherIdentificationPresenceRule**

(Rule)

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
```

Error handling:

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

9.1.4.1.1 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 187](#)

9.1.4.1.2 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		112
	Suffix <Sfx>	[0..1]	Text		112
	Type <Tp>	[1..1]	±		112

9.1.4.1.2.1 Identification <Id>

Presence: [1..1]

Definition: Identification of a security.

Datatype: [Max35Text on page 190](#)

9.1.4.1.2.2 Suffix <Sfx>

Presence: [0..1]

Definition: Identifies the suffix of the security identification.

Datatype: [Max16Text on page 189](#)

9.1.4.1.2.3 Type <Tp>

Presence: [1..1]

Definition: Type of the identification.

Type <Tp> contains one of the following elements (see [IdentificationSource3Choice](#) on page 113 for details)

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

9.1.4.1.3 Description <Desc>

Presence: [0..1]

Definition: Textual description of a security instrument.

Datatype: [Max140Text](#) on page 189

9.1.5 Identification Information

9.1.5.1 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		113
Or}	Proprietary <Prtry>	[1..1]	Text		113

9.1.5.1.1 Code <Cd>

Presence: [1..1]

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

Datatype: [ExternalFinancialInstrumentIdentificationType1Code](#) on page 181

9.1.5.1.2 Proprietary <Prtry>

Presence: [1..1]

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

Datatype: [Max35Text](#) on page 190

9.1.5.2 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		114
	Issuer <Issr>	[1..1]	Text		114
	SchemeName <SchmeNm>	[0..1]	Text		114

9.1.5.2.1 Identification <Id>

Presence: [1..1]

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

Datatype: Exact4AlphaNumericText on page 189

9.1.5.2.2 Issuer <Issr>

Presence: [1..1]

Definition: Entity that assigns the identification.

Datatype: Max35Text on page 190

9.1.5.2.3 SchemeName <SchmeNm>

Presence: [0..1]

Definition: Short textual description of the scheme.

Datatype: Max35Text on page 190

9.1.5.3 GenericIdentification36

Definition: Identification using a proprietary scheme.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		114
	Issuer <Issr>	[1..1]	Text		114
	SchemeName <SchmeNm>	[0..1]	Text		114

9.1.5.3.1 Identification <Id>

Presence: [1..1]

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

Datatype: Max35Text on page 190

9.1.5.3.2 Issuer <Issr>

Presence: [1..1]

Definition: Entity that assigns the identification.

Datatype: Max35Text on page 190

9.1.5.3.3 SchemeName <SchmeNm>

Presence: [0..1]

Definition: Short textual description of the scheme.

Datatype: Max35Text on page 190

9.1.6 Miscellaneous

9.1.6.1 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		115
	Envelope <Envlp>	[1..1]	(External Schema)		115

Constraints

- **SupplementaryDataRule**

(Rule)

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

9.1.6.1.1 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 190

9.1.6.1.2 Envelope <Envlp>

Presence: [1..1]

Definition: Technical element wrapping the supplementary data.

Type: (External Schema)

Technical component that contains the validated supplementary data information. This technical envelope allows to segregate the supplementary data information from any other information.

9.1.6.2 DateAndPlaceOfBirth2

Definition: Date and place of birth of a person.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BirthDate <BirthDt>	[1..1]	Date		116
	ProvinceOfBirth <PrvcOfBirth>	[0..1]	Text		116
	CityOfBirth <CityOfBirth>	[0..1]	Text		116
	CountryOfBirth <CtryOfBirth>	[0..1]	CodeSet	C2	116

9.1.6.2.1 BirthDate <BirthDt>

Presence: [1..1]

Definition: Date on which a person is born.

Datatype: ISODate on page 185

9.1.6.2.2 ProvinceOfBirth <PrvcOfBirth>

Presence: [0..1]

Definition: Province where a person was born.

Datatype: Max35Text on page 190

9.1.6.2.3 CityOfBirth <CityOfBirth>

Presence: [0..1]

Definition: City where a person was born.

Datatype: Max35Text on page 190

9.1.6.2.4 CountryOfBirth <CtrtyOfBirth>

Presence: [0..1]

Definition: Country where a person was born.

Impacted by: C2 Country

Datatype: CountryCode on page 179

Constraints

- **Country**

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

9.1.6.3 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		117
	IdentificationType <IdTp>	[0..1]			117
{Or	Code <Cd>	[1..1]	CodeSet		117
Or}	Proprietary <Prtry>	[1..1]	±		117

9.1.6.3.1 Identification <Id>

Presence: [1..1]

Definition: Natural person local identification.

Datatype: [Max35Text on page 190](#)

9.1.6.3.2 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		117
Or}	Proprietary <Prtry>	[1..1]	±		117

9.1.6.3.2.1 Code <Cd>

Presence: [1..1]

Definition: Type of identification expressed as a code.

Datatype: [TypeOfIdentification4Code on page 185](#)

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	Corporateldentification	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.

9.1.6.3.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of identification expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification30](#) on page 113 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		114
	Issuer <Issr>	[1..1]	Text		114
	SchemeName <SchmeNm>	[0..1]	Text		114

9.1.6.4 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		118
Or}	Proprietary <Prtry>	[1..1]	±		118

9.1.6.4.1 Code <Cd>

Presence: [1..1]

Definition: Role expressed as a code.

Datatype: [PartyRole2Code](#) on page 183

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

9.1.6.4.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Role expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification30](#) on page 113 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		114
	Issuer <Issr>	[1..1]	Text		114
	SchemeName <SchmeNm>	[0..1]	Text		114

9.1.6.5 PartyIdentification195Choice

Definition: Identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C2	119
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		119
Or}	LEI <LEI>	[1..1]	IdentifierSet		119

9.1.6.5.1 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 186

Constraints

- **AnyBIC**

(Rule)

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

Error handling:

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

9.1.6.5.2 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 114](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		114
	Issuer <Issr>	[1..1]	Text		114
	SchemeName <SchmeNm>	[0..1]	Text		114

9.1.6.5.3 LEI <LEI>

Presence: [1..1]

Definition: Legal entity identifier of the party.

Datatype: [LEIdentifier on page 188](#)

9.1.6.6 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		120
Or}	DateCalculationDescription <DtClctnDesc>	[1..1]	Text		120

9.1.6.6.1 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 180](#)

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

9.1.6.6.2 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 190](#)

9.1.6.7 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		120
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		120

9.1.6.7.1 PageNumber <PgNb>

Presence: [1..1]

Definition: Page number.

Datatype: [Max5NumericText on page 191](#)

9.1.6.7.2 LastPageIndicator <LastPgInd>

Presence: [1..1]

Definition: Indicates the last page.

Datatype: One of the following values must be used (see [YesNoIndicator](#) on page 188):

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

9.1.7 Organisation Identification

9.1.7.1 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	121
	LEI <LEI>	[0..1]	IdentifierSet		121
	Other <Othr>	[0..*]			122
	Identification <Id>	[1..1]	Text		122
	SchemeName <SchmeNm>	[0..1]			122
{Or	Code <Cd>	[1..1]	CodeSet		122
Or}	Proprietary <Prtry>	[1..1]	Text		122
	Issuer <Issr>	[0..1]	Text		123

9.1.7.1.1 AnyBIC <AnyBIC>

Presence: [0..1]

Definition: Business identification code of the organisation.

Impacted by: C2 AnyBIC

Datatype: [AnyBICDec2014Identifier](#) on page 186

Constraints

- **AnyBIC**

(Rule)

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

Error handling:

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

9.1.7.1.2 LEI <LEI>

Presence: [0..1]

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

Datatype: [LEIdentifier](#) on page 188

9.1.7.1.3 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		122
	SchemeName <SchmeNm>	[0..1]			122
{Or	Code <Cd>	[1..1]	CodeSet		122
Or}	Proprietary <Prtry>	[1..1]	Text		122
	Issuer <Issr>	[0..1]	Text		123

9.1.7.1.3.1 Identification <Id>

Presence: [1..1]

Definition: Identification assigned by an institution.

Datatype: [Max35Text](#) on page 190

9.1.7.1.3.2 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		122
Or}	Proprietary <Prtry>	[1..1]	Text		122

9.1.7.1.3.2.1 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 182

9.1.7.1.3.2.2 Proprietary <Prtry>

Presence: [1..1]

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

Datatype: [Max35Text](#) on page 190

9.1.7.1.3.3 Issuer <Issr>

Presence: [0..1]

Definition: Entity that assigns the identification.

Datatype: Max35Text on page 190

9.1.8 Party Identification

9.1.8.1 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		123
	PostalAddress <PstIAdr>	[0..1]	±		123
	Identification <Id>	[0..1]	±		124
	CountryOfResidence <CtryOfRes>	[0..1]	CodeSet	C2	124
	ContactDetails <CtctDtls>	[0..1]	±		125

9.1.8.1.1 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 189

9.1.8.1.2 PostalAddress <PstIAdr>

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 170 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]			171
{Or	Code <Cd>	[1..1]	CodeSet		171
Or}	Proprietary <Prtry>	[1..1]	±		172
	Department <Dept>	[0..1]	Text		172
	SubDepartment <SubDept>	[0..1]	Text		172
	StreetName <StrtNm>	[0..1]	Text		172
	BuildingNumber <BldgNb>	[0..1]	Text		172
	BuildingName <BldgNm>	[0..1]	Text		173
	Floor <Flr>	[0..1]	Text		173
	PostBox <PstBx>	[0..1]	Text		173
	Room <Room>	[0..1]	Text		173
	PostCode <PstCd>	[0..1]	Text		173
	TownName <TwnNm>	[0..1]	Text		173
	TownLocationName <TwnLctnNm>	[0..1]	Text		173
	DistrictName <DstrctNm>	[0..1]	Text		173
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		174
	Country <Ctry>	[0..1]	CodeSet	C2	174
	AddressLine <AdrLine>	[0..7]	Text		174

9.1.8.1.3 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 160 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	OrganisationIdentification <OrgId>	[1..1]	±		160
Or}	PrivateIdentification <PrvtId>	[1..1]	±		160

9.1.8.1.4 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 179](#)

Constraints

- **Country**

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

9.1.8.1.5 ContactDetails <CtctDtIs>

Presence: [0..1]

Definition: Set of elements used to indicate how to contact the party.

ContactDetails <CtctDtIs> contains the following elements (see [Contact4 on page 164](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]	CodeSet		164
	Name <Nm>	[0..1]	Text		165
	PhoneNumber <PhneNb>	[0..1]	Text		165
	MobileNumber <MobNb>	[0..1]	Text		165
	FaxNumber <FaxNb>	[0..1]	Text		165
	EmailAddress <EmailAdr>	[0..1]	Text		165
	EmailPurpose <EmailPurp>	[0..1]	Text		165
	JobTitle <JobTitl>	[0..1]	Text		165
	Responsibility <Rspnsblty>	[0..1]	Text		166
	Department <Dept>	[0..1]	Text		166
	Other <Othr>	[0..*]			166
	ChannelType <ChanlTp>	[1..1]	Text		166
	Identification <Id>	[0..1]	Text		166
	PreferredMethod <PrefrdMtd>	[0..1]	CodeSet		166

9.1.8.2 PartyIdentification198Choice

Definition: Identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NationalRegistrationNumber <NtlRegnNb>	[1..1]	Text		126
Or	LEI <LEI>	[1..1]	IdentifierSet		126
Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C2	126
Or	ClientIdentification <CIntld>	[1..1]	Text		126
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		127

9.1.8.2.1 NationalRegistrationNumber <NtlRegnNb>

Presence: [1..1]

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

Datatype: Max35Text on page 190

9.1.8.2.2 LEI <LEI>

Presence: [1..1]

Definition: Legal entity identifier of the party.

Datatype: LEIIdentifier on page 188

9.1.8.2.3 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 186

Constraints

- **AnyBIC**

(Rule)

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

Error handling:

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

9.1.8.2.4 ClientIdentification <CIntld>

Presence: [1..1]

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

Datatype: [Max50Text](#) on page 191

9.1.8.2.5 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 114 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		114
	Issuer <Issr>	[1..1]	Text		114
	SchemeName <SchmeNm>	[0..1]	Text		114

9.1.8.3 PartyIdentification237

Definition: Identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NameAndAddress <NmAndAdr>	[1..1]			128
	Name <Nm>	[1..1]	Text		129
	Address <Adr>	[0..1]			129
	AddressType <AdrTp>	[0..1]	CodeSet		130
	AddressLine <AdrLine>	[0..5]	Text		130
	StreetName <StrtNm>	[0..1]	Text		130
	BuildingNumber <BldgNb>	[0..1]	Text		130
	PostBox <PstBx>	[0..1]	Text		130
	PostCode <PstCd>	[0..1]	Text		130
	TownName <TwnNm>	[0..1]	Text		131
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		131
	Country <Ctry>	[1..1]	CodeSet	C2	131
	EmailAddress <EmailAdr>	[0..1]	Text		131
	Identification <Id>	[1..1]	±		131
	CountryOfIncorporation <CtryOfIncorprtn>	[0..1]	CodeSet	C2	132
	YearOfIncorporation <YrOfIncorprtn>	[0..1]	Year		132
	ActivityIndicator <ActvtyInd>	[0..1]	IdentifierSet		132
	InvestorType <InvstrTp>	[0..1]			132
{Or	Code <Cd>	[1..1]	CodeSet		133
Or}	Proprietary <Prtry>	[1..1]	±		133
	Ownership <Ownrsh>	[0..1]			133
	OwnershipType <OwnrshTp>	[0..1]			134
{Or	Code <Cd>	[1..1]	CodeSet		134
Or}	Proprietary <Prtry>	[1..1]	±		134
	OwnershipPercentage <OwnrshPctg>	[0..1]	Rate		135
	UsufructPercentage <UsfrctPctg>	[0..1]	Rate		135

9.1.8.3.1 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		129
	Address <Adr>	[0..1]			129
	AddressType <AdrTp>	[0..1]	CodeSet		130
	AddressLine <AdrLine>	[0..5]	Text		130
	StreetName <StrtNm>	[0..1]	Text		130
	BuildingNumber <BldgNb>	[0..1]	Text		130
	PostBox <PstBx>	[0..1]	Text		130
	PostCode <PstCd>	[0..1]	Text		130
	TownName <TwnNm>	[0..1]	Text		131
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		131
	Country <Ctry>	[1..1]	CodeSet	C2	131

9.1.8.3.1.1 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 190](#)

9.1.8.3.1.2 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		130
	AddressLine <AdrLine>	[0..5]	Text		130
	StreetName <StrtNm>	[0..1]	Text		130
	BuildingNumber <BldgNb>	[0..1]	Text		130
	PostBox <PstBx>	[0..1]	Text		130
	PostCode <PstCd>	[0..1]	Text		130
	TownName <TwnNm>	[0..1]	Text		131
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		131
	Country <Ctry>	[1..1]	CodeSet	C2	131

9.1.8.3.1.2.1 AddressType <AdrTp>

Presence: [0..1]

Definition: Identifies the nature of the postal address.

Datatype: [AddressType2Code on page 178](#)

CodeName	Name	Definition
ADDR	Postal	Address is the complete postal address.
PBOX	POBox	Address is a postal office (PO) box.
HOME	Residential	Address is the home address.
BIZZ	Business	Address is the business address.
MLTO	MailTo	Address is the address to which mail is sent.
DLVY	DeliveryTo	Address is the address to which delivery is to take place.

9.1.8.3.1.2.2 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 191](#)

9.1.8.3.1.2.3 StreetName <StrtNm>

Presence: [0..1]

Definition: Name of a street or thoroughfare.

Datatype: [Max70Text on page 191](#)

9.1.8.3.1.2.4 BuildingNumber <BldgNb>

Presence: [0..1]

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

Datatype: [Max16Text on page 189](#)

9.1.8.3.1.2.5 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 189](#)

9.1.8.3.1.2.6 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 189](#)

9.1.8.3.1.2.7 TownName <TwnNm>

Presence: [0..1]

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

Datatype: Max35Text on page 190

9.1.8.3.1.2.8 CountrySubDivision <CtrySubDvsn>

Presence: [0..1]

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

Datatype: Max35Text on page 190

9.1.8.3.1.2.9 Country <Ctry>

Presence: [1..1]

Definition: Nation with its own government.

Impacted by: C2 Country

Datatype: CountryCode on page 179

Constraints

- **Country**

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

9.1.8.3.2 EmailAddress <EmailAdr>

Presence: [0..1]

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

Datatype: Max256Text on page 190

9.1.8.3.3 Identification <Id>

Presence: [1..1]

Definition: Identification of the party.

Identification <Id> contains one of the following elements (see [PartyIdentification198Choice](#) on page 125 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NationalRegistrationNumber <NtlRegnNb>	[1..1]	Text		126
Or	LEI <LEI>	[1..1]	IdentifierSet		126
Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C2	126
Or	ClientIdentification <ClntId>	[1..1]	Text		126
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		127

9.1.8.3.4 CountryOfIncorporation <CtryOfIncorprtn>

Presence: [0..1]

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

Impacted by: [C2 Country](#)

Datatype: [CountryCode](#) on page 179

Constraints

- **Country**

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

9.1.8.3.5 YearOfIncorporation <YrOfIncorprtn>

Presence: [0..1]

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

Datatype: [ISOYear](#) on page 192

9.1.8.3.6 ActivityIndicator <ActvtyInd>

Presence: [0..1]

Definition: Economical activity of the investor.

Datatype: [ISICIdentifier](#) on page 187

9.1.8.3.7 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		133
Or}	Proprietary <Prtry>	[1..1]	±		133

9.1.8.3.7.1 Code <Cd>

Presence: [1..1]

Definition: Investor type expressed as an ISO 20022 code.

Datatype: [Eligibility1Code](#) on page 180

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

9.1.8.3.7.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Investor type expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification30](#) on page 113 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		114
	Issuer <Issr>	[1..1]	Text		114
	SchemeName <SchmeNm>	[0..1]	Text		114

9.1.8.3.8 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]			134
{Or	Code <Cd>	[1..1]	CodeSet		134
Or}	Proprietary <Prtry>	[1..1]	±		134
	OwnershipPercentage <OwnrshPctg>	[0..1]	Rate		135
	UsufructPercentage <UsfrctPctg>	[0..1]	Rate		135

9.1.8.3.8.1 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		134
Or}	Proprietary <Prtry>	[1..1]	±		134

9.1.8.3.8.1.1 Code <Cd>

Presence: [1..1]

Definition: Owner type expressed as an ISO 20022 code.

Datatype: [AccountOwnershipType5Code](#) on page 178

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.

9.1.8.3.8.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Owner type expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification30](#) on page 113 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		114
	Issuer <Issr>	[1..1]	Text		114
	SchemeName <SchmeNm>	[0..1]	Text		114

9.1.8.3.8.2 OwnershipPercentage <OwnrshPctg>

Presence: [0..1]

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

Datatype: [PercentageRate](#) on page 188

9.1.8.3.8.3 UsufructPercentage <UsfrctPctg>

Presence: [0..1]

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

Datatype: [PercentageRate](#) on page 188

9.1.8.4 PartyIdentification202

Definition: Identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NameAndAddress <NmAndAdr>	[1..1]			135
	FirstName <FrstNm>	[1..1]	Text		136
	Surname <Snm>	[1..1]	Text		136
	Address <Adr>	[0..1]			136
	AddressType <AdrTp>	[0..1]	CodeSet		137
	AddressLine <AdrLine>	[0..5]	Text		137
	StreetName <StrtNm>	[0..1]	Text		137
	BuildingNumber <BldgNb>	[0..1]	Text		137
	PostBox <PstBx>	[0..1]	Text		138
	PostCode <PstCd>	[0..1]	Text		138
	TownName <TwnNm>	[0..1]	Text		138
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		138
	Country <Ctry>	[1..1]	CodeSet	C2	138
	Identification <Id>	[1..1]	±		139

9.1.8.4.1 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		136
	Surname <SrnM>	[1..1]	Text		136
	Address <Adr>	[0..1]			136
	AddressType <AdrTp>	[0..1]	CodeSet		137
	AddressLine <AdrLine>	[0..5]	Text		137
	StreetName <StrtNm>	[0..1]	Text		137
	BuildingNumber <BldgNb>	[0..1]	Text		137
	PostBox <PstBx>	[0..1]	Text		138
	PostCode <PstCd>	[0..1]	Text		138
	TownName <TwnNm>	[0..1]	Text		138
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		138
	Country <Ctry>	[1..1]	CodeSet	C2	138

9.1.8.4.1.1 FirstName <FrstNm>

Presence: [1..1]

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

Datatype: Max350Text on page 190

9.1.8.4.1.2 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 190

9.1.8.4.1.3 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		137
	AddressLine <AdrLine>	[0..5]	Text		137
	StreetName <StrtNm>	[0..1]	Text		137
	BuildingNumber <BldgNb>	[0..1]	Text		137
	PostBox <PstBx>	[0..1]	Text		138
	PostCode <PstCd>	[0..1]	Text		138
	TownName <TwnNm>	[0..1]	Text		138
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		138
	Country <Ctry>	[1..1]	CodeSet	C2	138

9.1.8.4.1.3.1 AddressType <AdrTp>

Presence: [0..1]

Definition: Identifies the nature of the postal address.

Datatype: [AddressType2Code on page 178](#)

CodeName	Name	Definition
ADDR	Postal	Address is the complete postal address.
PBOX	POBox	Address is a postal office (PO) box.
HOME	Residential	Address is the home address.
BIZZ	Business	Address is the business address.
MLTO	MailTo	Address is the address to which mail is sent.
DLVY	DeliveryTo	Address is the address to which delivery is to take place.

9.1.8.4.1.3.2 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 191](#)

9.1.8.4.1.3.3 StreetName <StrtNm>

Presence: [0..1]

Definition: Name of a street or thoroughfare.

Datatype: [Max70Text on page 191](#)

9.1.8.4.1.3.4 BuildingNumber <BldgNb>

Presence: [0..1]

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

Datatype: Max16Text on page 189

9.1.8.4.1.3.5 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 189

9.1.8.4.1.3.6 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 189

9.1.8.4.1.3.7 TownName <TwnNm>

Presence: [0..1]

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

Datatype: Max35Text on page 190

9.1.8.4.1.3.8 CountrySubDivision <CtrySubDvsn>

Presence: [0..1]

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

Datatype: Max35Text on page 190

9.1.8.4.1.3.9 Country <Ctry>

Presence: [1..1]

Definition: Nation with its own government.

Impacted by: C2 Country

Datatype: CountryCode on page 179

Constraints

- **Country**

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004

– *Error Text: Invalid Country Code.*

9.1.8.4.2 Identification <Id>

Presence: [1..1]

Definition: CONCAT

Identification <Id> contains the following elements (see [NaturalPersonIdentification1](#) on page 116 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		117
	IdentificationType <IdTp>	[0..1]			117
{Or	Code <Cd>	[1..1]	CodeSet		117
Or}	Proprietary <Prtry>	[1..1]	±		117

9.1.8.5 PartyIdentification201

Definition: Identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NameAndAddress <NmAndAdr>	[0..1]			139
	Name <Nm>	[1..1]	Text		140
	Address <Adr>	[0..1]			140
	AddressType <AdrTp>	[0..1]	CodeSet		141
	AddressLine <AdrLine>	[0..5]	Text		141
	StreetName <StrtNm>	[0..1]	Text		141
	BuildingNumber <BldgNb>	[0..1]	Text		141
	PostBox <PstBx>	[0..1]	Text		141
	PostCode <PstCd>	[0..1]	Text		141
	TownName <TwnNm>	[0..1]	Text		142
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		142
	Country <Ctry>	[1..1]	CodeSet	C2	142
	Identification <Id>	[1..1]	±		142

9.1.8.5.1 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		140
	Address <Adr>	[0..1]			140
	AddressType <AdrTp>	[0..1]	CodeSet		141
	AddressLine <AdrLine>	[0..5]	Text		141
	StreetName <StrtNm>	[0..1]	Text		141
	BuildingNumber <BldgNb>	[0..1]	Text		141
	PostBox <PstBx>	[0..1]	Text		141
	PostCode <PstCd>	[0..1]	Text		141
	TownName <TwnNm>	[0..1]	Text		142
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		142
	Country <Ctry>	[1..1]	CodeSet	C2	142

9.1.8.5.1.1 Name <Nm>

Presence: [1..1]

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

Datatype: [Max350Text on page 190](#)

9.1.8.5.1.2 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		141
	AddressLine <AdrLine>	[0..5]	Text		141
	StreetName <StrtNm>	[0..1]	Text		141
	BuildingNumber <BldgNb>	[0..1]	Text		141
	PostBox <PstBx>	[0..1]	Text		141
	PostCode <PstCd>	[0..1]	Text		141
	TownName <TwnNm>	[0..1]	Text		142
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		142
	Country <Ctry>	[1..1]	CodeSet	C2	142

9.1.8.5.1.2.1 AddressType <AdrTp>

Presence: [0..1]

Definition: Identifies the nature of the postal address.

Datatype: [AddressType2Code on page 178](#)

CodeName	Name	Definition
ADDR	Postal	Address is the complete postal address.
PBOX	POBox	Address is a postal office (PO) box.
HOME	Residential	Address is the home address.
BIZZ	Business	Address is the business address.
MLTO	MailTo	Address is the address to which mail is sent.
DLVY	DeliveryTo	Address is the address to which delivery is to take place.

9.1.8.5.1.2.2 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 191](#)

9.1.8.5.1.2.3 StreetName <StrtNm>

Presence: [0..1]

Definition: Name of a street or thoroughfare.

Datatype: [Max70Text on page 191](#)

9.1.8.5.1.2.4 BuildingNumber <BldgNb>

Presence: [0..1]

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

Datatype: [Max16Text on page 189](#)

9.1.8.5.1.2.5 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 189](#)

9.1.8.5.1.2.6 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 189](#)

9.1.8.5.1.2.7 TownName <TwnNm>

Presence: [0..1]

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

Datatype: [Max35Text on page 190](#)

9.1.8.5.1.2.8 CountrySubDivision <CtrySubDvsn>

Presence: [0..1]

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

Datatype: [Max35Text on page 190](#)

9.1.8.5.1.2.9 Country <Ctry>

Presence: [1..1]

Definition: Nation with its own government.

Impacted by: [C2 Country](#)

Datatype: [CountryCode on page 179](#)

Constraints

- **Country**

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

9.1.8.5.2 Identification <Id>

Presence: [1..1]

Definition: Identification of the party.

Identification <Id> contains one of the following elements (see [PartyIdentification198Choice on page 125](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NationalRegistrationNumber <NtlRegnNb>	[1..1]	Text		126
Or	LEI <LEI>	[1..1]	IdentifierSet		126
Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C2	126
Or	ClientIdentification <ClntId>	[1..1]	Text		126
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		127

9.1.8.6 PartyIdentification217

Definition: Identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NameAndAddress <NmAndAdr>	[1..1]			143
	NamePrefix <NmPrfx>	[0..1]	CodeSet		144
	FirstName <FrstNm>	[1..1]	Text		144
	Surname <SrnM>	[1..1]	Text		144
	Address <Adr>	[0..1]			145
	AddressType <AdrTp>	[0..1]	CodeSet		145
	AddressLine <AdrLine>	[0..5]	Text		145
	StreetName <StrtNm>	[0..1]	Text		145
	BuildingNumber <BldgNb>	[0..1]	Text		146
	PostBox <PstBx>	[0..1]	Text		146
	PostCode <PstCd>	[0..1]	Text		146
	TownName <TwnNm>	[0..1]	Text		146
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		146
	Country <Ctry>	[1..1]	CodeSet	C2	146
	EmailAddress <EmailAdr>	[0..1]	Text		147
	Identification <Id>	[1..1]	±		147
	Nationality <Ntlty>	[0..1]	CodeSet	C2	147
	DateAndPlaceOfBirth <DtAndPlcOfBirth>	[0..1]	±		148
	InvestorType <InvstrTp>	[0..1]			148
{Or	Code <Cd>	[1..1]	CodeSet		148
Or}	Proprietary <Prtry>	[1..1]	±		148
	Ownership <Ownrsh>	[0..1]			149
	OwnershipType <OwnrshTp>	[0..1]			149
{Or	Code <Cd>	[1..1]	CodeSet		149
Or}	Proprietary <Prtry>	[1..1]	±		150
	OwnershipPercentage <OwnrshPctg>	[0..1]	Rate		150
	UsufructPercentage <UsfrctPctg>	[0..1]	Rate		150

9.1.8.6.1 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		144
	FirstName <FrstNm>	[1..1]	Text		144
	Surname <SrnM>	[1..1]	Text		144
	Address <Adr>	[0..1]			145
	AddressType <AdrTp>	[0..1]	CodeSet		145
	AddressLine <AdrLine>	[0..5]	Text		145
	StreetName <StrtNm>	[0..1]	Text		145
	BuildingNumber <BldgNb>	[0..1]	Text		146
	PostBox <PstBx>	[0..1]	Text		146
	PostCode <PstCd>	[0..1]	Text		146
	TownName <TwnNm>	[0..1]	Text		146
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		146
	Country <Ctry>	[1..1]	CodeSet	C2	146

9.1.8.6.1.1 NamePrefix <NmPrfx>

Presence: [0..1]

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

Datatype: [NamePrefix2Code](#) on page 183

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

9.1.8.6.1.2 FirstName <FrstNm>

Presence: [1..1]

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

Datatype: [Max350Text](#) on page 190

9.1.8.6.1.3 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 190](#)

9.1.8.6.1.4 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		145
	AddressLine <AdrLine>	[0..5]	Text		145
	StreetName <StrtNm>	[0..1]	Text		145
	BuildingNumber <BldgNb>	[0..1]	Text		146
	PostBox <PstBx>	[0..1]	Text		146
	PostCode <PstCd>	[0..1]	Text		146
	TownName <TwnNm>	[0..1]	Text		146
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		146
	Country <Ctry>	[1..1]	CodeSet	C2	146

9.1.8.6.1.4.1 AddressType <AdrTp>

Presence: [0..1]

Definition: Identifies the nature of the postal address.

Datatype: [AddressType2Code on page 178](#)

CodeName	Name	Definition
ADDR	Postal	Address is the complete postal address.
PBOX	POBox	Address is a postal office (PO) box.
HOME	Residential	Address is the home address.
BIZZ	Business	Address is the business address.
MLTO	MailTo	Address is the address to which mail is sent.
DLVY	DeliveryTo	Address is the address to which delivery is to take place.

9.1.8.6.1.4.2 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 191](#)

9.1.8.6.1.4.3 StreetName <StrtNm>

Presence: [0..1]

Definition: Name of a street or thoroughfare.

Datatype: [Max70Text on page 191](#)

9.1.8.6.1.4.4 BuildingNumber <BldgNb>

Presence: [0..1]

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

Datatype: [Max16Text on page 189](#)

9.1.8.6.1.4.5 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 189](#)

9.1.8.6.1.4.6 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 189](#)

9.1.8.6.1.4.7 TownName <TwnNm>

Presence: [0..1]

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

Datatype: [Max35Text on page 190](#)

9.1.8.6.1.4.8 CountrySubDivision <CtrySubDvsn>

Presence: [0..1]

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

Datatype: [Max35Text on page 190](#)

9.1.8.6.1.4.9 Country <Ctry>

Presence: [1..1]

Definition: Nation with its own government.

Impacted by: [C2 Country](#)

Datatype: [CountryCode on page 179](#)

Constraints

- **Country**

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

9.1.8.6.2 EmailAddress <EmailAdr>

Presence: [0..1]

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

Datatype: Max256Text on page 190

9.1.8.6.3 Identification <Id>

Presence: [1..1]

Definition: Natural person identification details.

Identification <Id> contains the following elements (see NaturalPersonIdentification1 on page 116 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		117
	IdentificationType <IdTp>	[0..1]			117
{Or	Code <Cd>	[1..1]	CodeSet		117
Or}	Proprietary <Prtry>	[1..1]	±		117

9.1.8.6.4 Nationality <Ntlty>

Presence: [0..1]

Definition: Nationality of the person.

Impacted by: C2 Country

Datatype: CountryCode on page 179

Constraints

• **Country**

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004

– *Error Text:* Invalid Country Code.

9.1.8.6.5 DateAndPlaceOfBirth <DtAndPlcOfBirth>

Presence: [0..1]

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

DateAndPlaceOfBirth <DtAndPlcOfBirth> contains the following elements (see [DateAndPlaceOfBirth2](#) on page 115 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BirthDate <BirthDt>	[1..1]	Date		116
	ProvinceOfBirth <PrvcOfBirth>	[0..1]	Text		116
	CityOfBirth <CityOfBirth>	[0..1]	Text		116
	CountryOfBirth <CtryOfBirth>	[0..1]	CodeSet	C2	116

9.1.8.6.6 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		148
Or}	Proprietary <Prtry>	[1..1]	±		148

9.1.8.6.6.1 Code <Cd>

Presence: [1..1]

Definition: Investor type expressed as an ISO 20022 code.

Datatype: [Eligibility1Code](#) on page 180

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

9.1.8.6.6.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Investor type expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification30](#) on page 113 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		114
	Issuer <Issr>	[1..1]	Text		114
	SchemeName <SchmeNm>	[0..1]	Text		114

9.1.8.6.7 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]			149
{Or	Code <Cd>	[1..1]	CodeSet		149
Or}	Proprietary <Prtry>	[1..1]	±		150
	OwnershipPercentage <OwnrshPctg>	[0..1]	Rate		150
	UsufructPercentage <UsfrctPctg>	[0..1]	Rate		150

9.1.8.6.7.1 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		149
Or}	Proprietary <Prtry>	[1..1]	±		150

9.1.8.6.7.1.1 Code <Cd>

Presence: [1..1]

Definition: Owner type expressed as an ISO 20022 code.

Datatype: [AccountOwnershipType5Code](#) on page 178

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.

9.1.8.6.7.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Owner type expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification30](#) on page 113 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		114
	Issuer <Issr>	[1..1]	Text		114
	SchemeName <SchmeNm>	[0..1]	Text		114

9.1.8.6.7.2 OwnershipPercentage <OwnrshPctg>

Presence: [0..1]

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

Datatype: [PercentageRate](#) on page 188

9.1.8.6.7.3 UsufructPercentage <UsfrctPctg>

Presence: [0..1]

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

Datatype: [PercentageRate](#) on page 188

9.1.8.7 PartyIdentification219

Definition: Identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NameAndAddress <NmAndAdr>	[1..1]			151
	Name <Nm>	[1..1]	Text		152
	Address <Adr>	[0..1]			152
	AddressType <AdrTp>	[0..1]	CodeSet		152
	AddressLine <AdrLine>	[0..5]	Text		152
	StreetName <StrtNm>	[0..1]	Text		153
	BuildingNumber <BldgNb>	[0..1]	Text		153
	PostBox <PstBx>	[0..1]	Text		153
	PostCode <PstCd>	[0..1]	Text		153
	TownName <TwnNm>	[0..1]	Text		153
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		153
	Country <Ctry>	[1..1]	CodeSet	C2	153
	Identification <Id>	[1..1]	±		154
	ContactPerson <CtctPrsn>	[0..1]	±		154

9.1.8.7.1 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		152
	Address <Adr>	[0..1]			152
	AddressType <AdrTp>	[0..1]	CodeSet		152
	AddressLine <AdrLine>	[0..5]	Text		152
	StreetName <StrtNm>	[0..1]	Text		153
	BuildingNumber <BldgNb>	[0..1]	Text		153
	PostBox <PstBx>	[0..1]	Text		153
	PostCode <PstCd>	[0..1]	Text		153
	TownName <TwnNm>	[0..1]	Text		153
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		153
	Country <Ctry>	[1..1]	CodeSet	C2	153

9.1.8.7.1.1 Name <Nm>

Presence: [1..1]

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

Datatype: [Max350Text on page 190](#)

9.1.8.7.1.2 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		152
	AddressLine <AdrLine>	[0..5]	Text		152
	StreetName <StrtNm>	[0..1]	Text		153
	BuildingNumber <BldgNb>	[0..1]	Text		153
	PostBox <PstBx>	[0..1]	Text		153
	PostCode <PstCd>	[0..1]	Text		153
	TownName <TwnNm>	[0..1]	Text		153
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		153
	Country <Ctry>	[1..1]	CodeSet	C2	153

9.1.8.7.1.2.1 AddressType <AdrTp>

Presence: [0..1]

Definition: Identifies the nature of the postal address.

Datatype: [AddressType2Code on page 178](#)

CodeName	Name	Definition
ADDR	Postal	Address is the complete postal address.
PBOX	POBox	Address is a postal office (PO) box.
HOME	Residential	Address is the home address.
BIZZ	Business	Address is the business address.
MLTO	MailTo	Address is the address to which mail is sent.
DLVY	DeliveryTo	Address is the address to which delivery is to take place.

9.1.8.7.1.2.2 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 191](#)

9.1.8.7.1.2.3 StreetName <StrtNm>

Presence: [0..1]

Definition: Name of a street or thoroughfare.

Datatype: [Max70Text on page 191](#)

9.1.8.7.1.2.4 BuildingNumber <BldgNb>

Presence: [0..1]

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

Datatype: [Max16Text on page 189](#)

9.1.8.7.1.2.5 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 189](#)

9.1.8.7.1.2.6 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 189](#)

9.1.8.7.1.2.7 TownName <TwnNm>

Presence: [0..1]

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

Datatype: [Max35Text on page 190](#)

9.1.8.7.1.2.8 CountrySubDivision <CtrySubDvsn>

Presence: [0..1]

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

Datatype: [Max35Text on page 190](#)

9.1.8.7.1.2.9 Country <Ctry>

Presence: [1..1]

Definition: Nation with its own government.

Impacted by: [C2 Country](#)

Datatype: [CountryCode on page 179](#)

Constraints

- **Country**
(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

9.1.8.7.2 Identification <Id>

Presence: [1..1]

Definition: Identification of the party.

Identification <Id> contains one of the following elements (see [PartyIdentification195Choice](#) on page 118 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C2	119
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		119
Or}	LEI <LEI>	[1..1]	IdentifierSet		119

9.1.8.7.3 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 162 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]	CodeSet		163
	GivenName <GvnNm>	[0..1]	Text		163
	Name <Nm>	[1..1]	Text		163
	PhoneNumber <PhneNb>	[0..1]	Text		163
	MobileNumber <MobNb>	[0..1]	Text		163
	FaxNumber <FaxNb>	[0..1]	Text		164
	EmailAddress <EmailAdr>	[0..1]	Text		164

9.1.8.8 PartyIdentification214

Definition: Identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			155
{Or	ProprietaryIdentification <PrtryId>	[1..1]	±		155
Or}	LEI <LEI>	[1..1]	IdentifierSet		156
	RecipientName <RcptNm>	[1..1]	Text		156
	ResponseRecipientAddress <RspnRcptAdr>	[1..1]		C8	156
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C2	157
	PostalAddress <PstlAdr>	[0..1]			157
	AddressType <AdrTp>	[0..1]	CodeSet		158
	AddressLine <AdrLine>	[0..5]	Text		158
	StreetName <StrtNm>	[0..1]	Text		158
	BuildingNumber <BldgNb>	[0..1]	Text		158
	PostBox <PstBx>	[0..1]	Text		159
	PostCode <PstCd>	[0..1]	Text		159
	TownName <TwnNm>	[0..1]	Text		159
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		159
	Country <Ctry>	[1..1]	CodeSet	C2	159
	EmailAddress <EmailAdr>	[0..1]	Text		160
	URLAddress <URLAdr>	[0..1]	Text		160

9.1.8.8.1 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]	±		155
Or}	LEI <LEI>	[1..1]	IdentifierSet		156

9.1.8.8.1.1 ProprietaryIdentification <PrtryId>

Presence: [1..1]

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

ProprietaryIdentification <Prtryld> contains the following elements (see [GenericIdentification36](#) on page 114 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		114
	Issuer <Issr>	[1..1]	Text		114
	SchemeName <SchmeNm>	[0..1]	Text		114

9.1.8.8.1.2 LEI <LEI>

Presence: [1..1]

Definition: Legal entity identifier of the party.

Datatype: [LEIIdentifier](#) on page 188

9.1.8.8.2 RecipientName <RcptNm>

Presence: [1..1]

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

Datatype: [Max350Text](#) on page 190

9.1.8.8.3 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	157
	PostalAddress <PstlAdr>	[0..1]			157
	AddressType <AdrTp>	[0..1]	CodeSet		158
	AddressLine <AdrLine>	[0..5]	Text		158
	StreetName <StrtNm>	[0..1]	Text		158
	BuildingNumber <BldgNb>	[0..1]	Text		158
	PostBox <PstBx>	[0..1]	Text		159
	PostCode <PstCd>	[0..1]	Text		159
	TownName <TwnNm>	[0..1]	Text		159
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		159
	Country <Ctry>	[1..1]	CodeSet	C2	159
	EmailAddress <EmailAdr>	[0..1]	Text		160
	URLAddress <URLAdr>	[0..1]	Text		160

Constraints

- **PartyAddressRule**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* X00430

– *Error Text:* At least one type of address must be present.

9.1.8.8.3.1 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 186

Constraints

- **AnyBIC**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00008

– *Error Text:* Invalid BIC.

9.1.8.8.3.2 PostalAddress <PstlAdr>

Presence: [0..1]

Definition: Postal address of the party.

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		158
	AddressLine <AdrLine>	[0..5]	Text		158
	StreetName <StrtNm>	[0..1]	Text		158
	BuildingNumber <BldgNb>	[0..1]	Text		158
	PostBox <PstBx>	[0..1]	Text		159
	PostCode <PstCd>	[0..1]	Text		159
	TownName <TwnNm>	[0..1]	Text		159
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		159
	Country <Ctry>	[1..1]	CodeSet	C2	159

9.1.8.8.3.2.1 AddressType <AdrTp>

Presence: [0..1]

Definition: Identifies the nature of the postal address.

Datatype: [AddressType2Code on page 178](#)

CodeName	Name	Definition
ADDR	Postal	Address is the complete postal address.
PBOX	POBox	Address is a postal office (PO) box.
HOME	Residential	Address is the home address.
BIZZ	Business	Address is the business address.
MLTO	MailTo	Address is the address to which mail is sent.
DLVY	DeliveryTo	Address is the address to which delivery is to take place.

9.1.8.8.3.2.2 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 191](#)

9.1.8.8.3.2.3 StreetName <StrtNm>

Presence: [0..1]

Definition: Name of a street or thoroughfare.

Datatype: [Max70Text on page 191](#)

9.1.8.8.3.2.4 BuildingNumber <BldgNb>

Presence: [0..1]

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

Datatype: Max16Text on page 189

9.1.8.8.3.2.5 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 189

9.1.8.8.3.2.6 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 189

9.1.8.8.3.2.7 TownName <TwnNm>

Presence: [0..1]

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

Datatype: Max35Text on page 190

9.1.8.8.3.2.8 CountrySubDivision <CtrySubDvsn>

Presence: [0..1]

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

Datatype: Max35Text on page 190

9.1.8.8.3.2.9 Country <Ctry>

Presence: [1..1]

Definition: Nation with its own government.

Impacted by: C2 Country

Datatype: CountryCode on page 179

Constraints

- **Country**

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004

– *Error Text:* Invalid Country Code.

9.1.8.8.3.3 EmailAddress <EmailAdr>

Presence: [0..1]

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

Datatype: [Max256Text](#) on page 190

9.1.8.8.3.4 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 190

9.1.8.9 Party38Choice

Definition: Nature or use of the account.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	OrganisationIdentification <OrgId>	[1..1]	±		160
Or}	PrivatIdentification <PrvtId>	[1..1]	±		160

9.1.8.9.1 OrganisationIdentification <OrgId>

Presence: [1..1]

Definition: Unique and unambiguous way to identify an organisation.

OrganisationIdentification <OrgId> contains the following elements (see [OrganisationIdentification29](#) on page 121 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C2	121
	LEI <LEI>	[0..1]	IdentifierSet		121
	Other <Othr>	[0..*]			122
	Identification <Id>	[1..1]	Text		122
	SchemeName <SchmeNm>	[0..1]			122
{Or	Code <Cd>	[1..1]	CodeSet		122
Or}	Proprietary <Prtry>	[1..1]	Text		122
	Issuer </ssr>	[0..1]	Text		123

9.1.8.9.2 PrivatIdentification <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 167 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DateAndPlaceOfBirth <DtAndPlcOfBirth>	[0..1]			167
	BirthDate <BirthDt>	[1..1]	Date		167
	ProvinceOfBirth <PrvcOfBirth>	[0..1]	Text		168
	CityOfBirth <CityOfBirth>	[1..1]	Text		168
	CountryOfBirth <CtryOfBirth>	[1..1]	CodeSet	C2	168
	Other <Othr>	[0..*]			168
	Identification <Id>	[1..1]	Text		169
	SchemeName <SchmeNm>	[0..1]			169
{Or	Code <Cd>	[1..1]	CodeSet		169
Or}	Proprietary <Prtry>	[1..1]	Text		169
	Issuer </ssr>	[0..1]	Text		169

9.1.8.10 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	161
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		162
Or	NameAndAddress <NmAndAdr>	[1..1]	±		162
Or}	LEI <LEI>	[1..1]	IdentifierSet		162

9.1.8.10.1 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 186

Constraints

- **AnyBIC**

(Rule)

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

Error handling:

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

9.1.8.10.2 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 114](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		114
	Issuer <Issr>	[1..1]	Text		114
	SchemeName <SchmeNm>	[0..1]	Text		114

9.1.8.10.3 NameAndAddress <NmAndAdr>

Presence: [1..1]

Definition: Name and address of a party.

NameAndAddress <NmAndAdr> contains the following elements (see [NameAndAddress5 on page 169](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		169
	Address <Adr>	[0..1]	±		170

9.1.8.10.4 LEI <LEI>

Presence: [1..1]

Definition: Legal entity identification of the party.

Datatype: [LEIIdentifier on page 188](#)

9.1.9 Person Identification

9.1.9.1 ContactIdentification2

Definition: Information needed to contact a physical person.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]	CodeSet		163
	GivenName <GvnNm>	[0..1]	Text		163
	Name <Nm>	[1..1]	Text		163
	PhoneNumber <PhneNb>	[0..1]	Text		163
	MobileNumber <MobNb>	[0..1]	Text		163
	FaxNumber <FaxNb>	[0..1]	Text		164
	EmailAddress <EmailAdr>	[0..1]	Text		164

9.1.9.1.1 NamePrefix <NmPrfx>

Presence: [0..1]

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

Datatype: [NamePrefix1Code on page 182](#)

CodeName	Name	Definition
DOCT	Doctor	Title of the person is Doctor or Dr.
MIST	Mister	Title of the person is Mister or Mr.
MISS	Miss	Title of the person is Miss.
MADM	Madam	Title of the person is Madam.

9.1.9.1.2 GivenName <GvnNm>

Presence: [0..1]

Definition: First name of a person.

Datatype: [Max35Text on page 190](#)

9.1.9.1.3 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 190](#)

9.1.9.1.4 PhoneNumber <PhneNb>

Presence: [0..1]

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

Datatype: [PhoneNumber on page 191](#)

9.1.9.1.5 MobileNumber <MobNb>

Presence: [0..1]

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

Datatype: [PhoneNumber on page 191](#)

9.1.9.1.6 FaxNumber <FaxNb>

Presence: [0..1]

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

Datatype: [PhoneNumber on page 191](#)

9.1.9.1.7 EmailAddress <EmailAdr>

Presence: [0..1]

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

Datatype: [Max256Text on page 190](#)

9.1.9.2 Contact4

Definition: Specifies the details of the contact person.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]	CodeSet		164
	Name <Nm>	[0..1]	Text		165
	PhoneNumber <PhneNb>	[0..1]	Text		165
	MobileNumber <MobNb>	[0..1]	Text		165
	FaxNumber <FaxNb>	[0..1]	Text		165
	EmailAddress <EmailAdr>	[0..1]	Text		165
	EmailPurpose <EmailPurp>	[0..1]	Text		165
	JobTitle <JobTitl>	[0..1]	Text		165
	Responsibility <Rspnsblty>	[0..1]	Text		166
	Department <Dept>	[0..1]	Text		166
	Other <Othr>	[0..*]			166
	ChannelType <ChanlTp>	[1..1]	Text		166
	Identification <Id>	[0..1]	Text		166
	PreferredMethod <PrefrdMtd>	[0..1]	CodeSet		166

9.1.9.2.1 NamePrefix <NmPrfx>

Presence: [0..1]

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

Datatype: [NamePrefix2Code on page 183](#)

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).

9.1.9.2.2 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 189](#)

9.1.9.2.3 PhoneNumber <PhneNb>

Presence: [0..1]

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

Datatype: [PhoneNumber on page 191](#)

9.1.9.2.4 MobileNumber <MobNb>

Presence: [0..1]

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

Datatype: [PhoneNumber on page 191](#)

9.1.9.2.5 FaxNumber <FaxNb>

Presence: [0..1]

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

Datatype: [PhoneNumber on page 191](#)

9.1.9.2.6 EmailAddress <EmailAdr>

Presence: [0..1]

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

Datatype: [Max2048Text on page 190](#)

9.1.9.2.7 EmailPurpose <EmailPurp>

Presence: [0..1]

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

Datatype: [Max35Text on page 190](#)

9.1.9.2.8 JobTitle <JobTitl>

Presence: [0..1]

Definition: Title of the function.

Datatype: [Max35Text on page 190](#)

9.1.9.2.9 Responsibility <Rspnsbly>

Presence: [0..1]

Definition: Role of a person in an organisation.

Datatype: [Max35Text on page 190](#)

9.1.9.2.10 Department <Dept>

Presence: [0..1]

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

Datatype: [Max70Text on page 191](#)

9.1.9.2.11 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 <ChanITp>	[1..1]	Text		166
	Identification <Id>	[0..1]	Text		166

9.1.9.2.11.1 ChannelType <ChanITp>

Presence: [1..1]

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

Datatype: [Max4Text on page 190](#)

9.1.9.2.11.2 Identification <Id>

Presence: [0..1]

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

Datatype: [Max128Text on page 189](#)

9.1.9.2.12 PreferredMethod <PrefrdMtd>

Presence: [0..1]

Definition: Preferred method used to reach the contact.

Datatype: [PreferredContactMethod1Code on page 183](#)

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.

9.1.9.3 PersonIdentification13

Definition: Unique and unambiguous way to identify a person.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	DateAndPlaceOfBirth <DtAndPlcOfBirth>	[0..1]			167
	BirthDate <BirthDt>	[1..1]	Date		167
	ProvinceOfBirth <PrvcOfBirth>	[0..1]	Text		168
	CityOfBirth <CityOfBirth>	[1..1]	Text		168
	CountryOfBirth <CtryOfBirth>	[1..1]	CodeSet	C2	168
	Other <Othr>	[0..*]			168
	Identification <Id>	[1..1]	Text		169
	SchemeName <SchmeNm>	[0..1]			169
{Or	Code <Cd>	[1..1]	CodeSet		169
Or}	Proprietary <Prtry>	[1..1]	Text		169
	Issuer <Issr>	[0..1]	Text		169

9.1.9.3.1 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		167
	ProvinceOfBirth <PrvcOfBirth>	[0..1]	Text		168
	CityOfBirth <CityOfBirth>	[1..1]	Text		168
	CountryOfBirth <CtryOfBirth>	[1..1]	CodeSet	C2	168

9.1.9.3.1.1 BirthDate <BirthDt>

Presence: [1..1]

Definition: Date on which a person is born.

Datatype: ISODate on page 185

9.1.9.3.1.2 ProvinceOfBirth <PrvcOfBirth>

Presence: [0..1]

Definition: Province where a person was born.

Datatype: Max35Text on page 190

9.1.9.3.1.3 CityOfBirth <CityOfBirth>

Presence: [1..1]

Definition: City where a person was born.

Datatype: Max35Text on page 190

9.1.9.3.1.4 CountryOfBirth <CtrOfBirth>

Presence: [1..1]

Definition: Country where a person was born.

Impacted by: C2 Country

Datatype: CountryCode on page 179

Constraints

- **Country**

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

9.1.9.3.2 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		169
	SchemeName <SchmeNm>	[0..1]			169
{Or	Code <Cd>	[1..1]	CodeSet		169
Or}	Proprietary <Prtry>	[1..1]	Text		169
	Issuer <Issr>	[0..1]	Text		169

9.1.9.3.2.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identification of a person.

Datatype: [Max35Text on page 190](#)

9.1.9.3.2.2 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		169
Or}	Proprietary <Prtry>	[1..1]	Text		169

9.1.9.3.2.2.1 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 182](#)

9.1.9.3.2.2.2 Proprietary <Prtry>

Presence: [1..1]

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

Datatype: [Max35Text on page 190](#)

9.1.9.3.2.3 Issuer <Issr>

Presence: [0..1]

Definition: Entity that assigns the identification.

Datatype: [Max35Text on page 190](#)

9.1.10 Postal Address

9.1.10.1 NameAndAddress5

Definition: Information that locates and identifies a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		169
	Address <Adr>	[0..1]	±		170

9.1.10.1.1 Name <Nm>

Presence: [1..1]

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

Datatype: [Max350Text](#) on page 190

9.1.10.1.2 Address <Adr>

Presence: [0..1]

Definition: Postal address of the party.

Address <Adr> contains the following elements (see [PostalAddress1](#) on page 174 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		175
	AddressLine <AdrLine>	[0..5]	Text		175
	StreetName <StrtNm>	[0..1]	Text		175
	BuildingNumber <BldgNb>	[0..1]	Text		175
	PostCode <PstCd>	[0..1]	Text		176
	TownName <TwnNm>	[0..1]	Text		176
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		176
	Country <Ctry>	[1..1]	CodeSet	C2	176

9.1.10.2 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]			171
{Or	Code <Cd>	[1..1]	CodeSet		171
Or}	Proprietary <Prtry>	[1..1]	±		172
	Department <Dept>	[0..1]	Text		172
	SubDepartment <SubDept>	[0..1]	Text		172
	StreetName <StrtNm>	[0..1]	Text		172
	BuildingNumber <BldgNb>	[0..1]	Text		172
	BuildingName <BldgNm>	[0..1]	Text		173
	Floor <Flr>	[0..1]	Text		173
	PostBox <PstBx>	[0..1]	Text		173
	Room <Room>	[0..1]	Text		173
	PostCode <PstCd>	[0..1]	Text		173
	TownName <TwnNm>	[0..1]	Text		173
	TownLocationName <TwnLctnNm>	[0..1]	Text		173
	DistrictName <DstrctNm>	[0..1]	Text		173
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		174
	Country <Ctry>	[0..1]	CodeSet	C2	174
	AddressLine <AdrLine>	[0..7]	Text		174

9.1.10.2.1 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		171
Or}	Proprietary <Prtry>	[1..1]	±		172

9.1.10.2.1.1 Code <Cd>

Presence: [1..1]

Definition: Type of address expressed as a code.

Datatype: [AddressType2Code](#) on page 178

CodeName	Name	Definition
ADDR	Postal	Address is the complete postal address.

CodeName	Name	Definition
PBOX	POBox	Address is a postal office (PO) box.
HOME	Residential	Address is the home address.
BIZZ	Business	Address is the business address.
MLTO	MailTo	Address is the address to which mail is sent.
DLVY	DeliveryTo	Address is the address to which delivery is to take place.

9.1.10.2.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of address expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see [GenericIdentification30](#) on page 113 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		114
	Issuer <Issr>	[1..1]	Text		114
	SchemeName <SchmeNm>	[0..1]	Text		114

9.1.10.2.2 Department <Dept>

Presence: [0..1]

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

Datatype: [Max70Text](#) on page 191

9.1.10.2.3 SubDepartment <SubDept>

Presence: [0..1]

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

Datatype: [Max70Text](#) on page 191

9.1.10.2.4 StreetName <StrtNm>

Presence: [0..1]

Definition: Name of a street or thoroughfare.

Datatype: [Max70Text](#) on page 191

9.1.10.2.5 BuildingNumber <BldgNb>

Presence: [0..1]

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

Datatype: [Max16Text](#) on page 189

9.1.10.2.6 BuildingName <BldgNm>

Presence: [0..1]

Definition: Name of the building or house.

Datatype: Max35Text on page 190

9.1.10.2.7 Floor <Flr>

Presence: [0..1]

Definition: Floor or storey within a building.

Datatype: Max70Text on page 191

9.1.10.2.8 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 189

9.1.10.2.9 Room <Room>

Presence: [0..1]

Definition: Building room number.

Datatype: Max70Text on page 191

9.1.10.2.10 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 189

9.1.10.2.11 TownName <TwnNm>

Presence: [0..1]

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

Datatype: Max35Text on page 190

9.1.10.2.12 TownLocationName <TwnLctnNm>

Presence: [0..1]

Definition: Specific location name within the town.

Datatype: Max35Text on page 190

9.1.10.2.13 DistrictName <DstrctNm>

Presence: [0..1]

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

Datatype: Max35Text on page 190

9.1.10.2.14 CountrySubDivision <CtrySubDvsn>

Presence: [0..1]

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

Datatype: Max35Text on page 190

9.1.10.2.15 Country <Ctry>

Presence: [0..1]

Definition: Nation with its own government.

Impacted by: C2 Country

Datatype: CountryCode on page 179

Constraints

- **Country**

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

9.1.10.2.16 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 191

9.1.10.3 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		175
	AddressLine <AdrLine>	[0..5]	Text		175
	StreetName <StrtNm>	[0..1]	Text		175
	BuildingNumber <BldgNb>	[0..1]	Text		175
	PostCode <PstCd>	[0..1]	Text		176
	TownName <TwnNm>	[0..1]	Text		176
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		176
	Country <Ctry>	[1..1]	CodeSet	C2	176

9.1.10.3.1 AddressType <AdrTp>

Presence: [0..1]

Definition: Identifies the nature of the postal address.

Datatype: [AddressType2Code on page 178](#)

CodeName	Name	Definition
ADDR	Postal	Address is the complete postal address.
PBOX	POBox	Address is a postal office (PO) box.
HOME	Residential	Address is the home address.
BIZZ	Business	Address is the business address.
MLTO	MailTo	Address is the address to which mail is sent.
DLVY	DeliveryTo	Address is the address to which delivery is to take place.

9.1.10.3.2 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 191](#)

9.1.10.3.3 StreetName <StrtNm>

Presence: [0..1]

Definition: Name of a street or thoroughfare.

Datatype: [Max70Text on page 191](#)

9.1.10.3.4 BuildingNumber <BldgNb>

Presence: [0..1]

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

Datatype: [Max16Text on page 189](#)

9.1.10.3.5 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 189](#)

9.1.10.3.6 TownName <TwnNm>

Presence: [0..1]

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

Datatype: [Max35Text on page 190](#)

9.1.10.3.7 CountrySubDivision <CtrySubDvsn>

Presence: [0..1]

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

Datatype: [Max35Text on page 190](#)

9.1.10.3.8 Country <Ctry>

Presence: [1..1]

Definition: Nation with its own government.

Impacted by: [C2 Country](#)

Datatype: [CountryCode on page 179](#)

Constraints

- **Country**

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004
- *Error Text:* Invalid Country Code.

9.1.11 Securities Quantity

9.1.11.1 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		177
Or}	FaceAmount <FaceAmt>	[1..1]	Amount		177

9.1.11.1.1 Unit <Unit>

Presence: [1..1]

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

Datatype: [DecimalNumber on page 188](#)

9.1.11.1.2 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 178](#)

9.1.12 System Identification

9.1.12.1 ClearingSystemIdentification2Choice

Definition: Choice of a clearing system identifier.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		177
Or}	Proprietary <Prtry>	[1..1]	Text		177

9.1.12.1.1 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 181](#)

9.1.12.1.2 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 190](#)

9.2 Message Datatypes

9.2.1 Amount

9.2.1.1 ImpliedCurrencyAndAmount

Definition: Number of monetary units specified in a currency where the unit of currency is implied by the context and compliant with ISO 4217. The decimal separator is a dot.

Note: a zero amount is considered a positive amount.

Type: Amount

Format

minInclusive	0
totalDigits	18
fractionDigits	5

9.2.2 CodeSet

9.2.2.1 AccountOwnershipType5Code

Definition: Specifies the type of account ownership.

Type: CodeSet

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

9.2.2.2 AddressType2Code

Definition: Specifies the type of address.

Type: CodeSet

CodeName	Name	Definition
ADDR	Postal	Address is the complete postal address.
PBOX	POBox	Address is a postal office (PO) box.
HOME	Residential	Address is the home address.
BIZZ	Business	Address is the business address.
MLTO	MailTo	Address is the address to which mail is sent.
DLVY	DeliveryTo	Address is the address to which delivery is to take place.

9.2.2.3 BusinessMessagePriorityCode

Definition: Specifies the priority levels for the BusinessMessage.

The different priorities are typically user / service / implementation dependent. The semantics of the different values for a Message (Set) need to be defined by the relevant user community (SEG.).

Type: CodeSet

Constraints

- **ValidationByTable**

(Rule)

9.2.2.4 CopyDuplicate1Code

Definition: Specifies if this document is a copy, a duplicate, or a duplicate of a copy.

Type: CodeSet

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

9.2.2.5 CountryCode

Definition: Code to identify a country, a dependency, or another area of particular geopolitical interest, on the basis of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Type: CodeSet

Format

pattern [A-Z]{2,2}

Constraints

- **Country**

(Rule)

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

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00004

– *Error Text:* Invalid Country Code.

9.2.2.6 DateCalculationMethod1Code

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

Type: CodeSet

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

9.2.2.7 DateType1Code

Definition: Specifies when date is unknown.

Type: CodeSet

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

9.2.2.8 DisclosureRequestCancellationReason1Code

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

Type: CodeSet

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

9.2.2.9 DisclosureRequestType1Code

Definition: Type of disclosure request.

Type: CodeSet

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

9.2.2.10 Eligibility1Code

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

Type: CodeSet

CodeName	Name	Definition
ELIG	EligibleCounterparty	Eligible customers are the most sophisticated level of investor, able to

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

9.2.2.11 ExternalClearingSystemIdentification1Code

Definition: Specifies the clearing system identification code, as published in an external clearing system identification code list.

External code sets can be downloaded from www.iso20022.org.

Type: CodeSet

Format

minLength	1
maxLength	5

9.2.2.12 ExternalFinancialInstitutionIdentification1Code

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

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

External code sets can be downloaded from www.iso20022.org.

Type: CodeSet

Format

minLength	1
maxLength	4

9.2.2.13 ExternalFinancialInstrumentIdentificationType1Code

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

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

External code sets can be downloaded from www.iso20022.org.

Type: CodeSet

Format

minLength	1
maxLength	4

9.2.2.14 ExternalOrganisationIdentification1Code

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

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

External code sets can be downloaded from www.iso20022.org.

Type: CodeSet

Format

minLength	1
maxLength	4

9.2.2.15 ExternalPersonIdentification1Code

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

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

External code sets can be downloaded from www.iso20022.org.

Type: CodeSet

Format

minLength	1
maxLength	4

9.2.2.16 MessageRejectedReason2Code

Definition: Specifies the reason for a message rejected status.

Type: CodeSet

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

9.2.2.17 NamePrefix1Code

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

Type: CodeSet

CodeName	Name	Definition
DOCT	Doctor	Title of the person is Doctor or Dr.
MIST	Mister	Title of the person is Mister or Mr.
MISS	Miss	Title of the person is Miss.

CodeName	Name	Definition
MADM	Madam	Title of the person is Madam.

9.2.2.18 NamePrefix2Code

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

Type: CodeSet

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

9.2.2.19 NoReasonCode

Definition: Specifies that there is no reason available.

Type: CodeSet

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

9.2.2.20 PartyRole2Code

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

Type: CodeSet

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

9.2.2.21 PreferredContactMethod1Code

Definition: Preferred method used to reach the individual contact within an organisation.

Type: CodeSet

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

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

9.2.2.22 RejectionReason52Code

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

Type: CodeSet

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

9.2.2.23 ShareholdingType1Code

Definition: Specifies the type of shareholding.

Type: CodeSet

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

9.2.2.24 TypeOfIdentification4Code

Definition: Specifies the type of alternate identification which can be used to give an alternate identification of the party identified.

Type: CodeSet

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

9.2.2.25 UnicodeChartsCode

Definition: codelist containing the names of the UNICODE code block name as specified on <http://unicode.org/Public/UNIDATA/Blocks.txt>.

Type: CodeSet

Constraints

- **ValidationByTable**
(Rule)

9.2.3 Date

9.2.3.1 ISODate

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

Type: Date

9.2.4 DateTime

9.2.4.1 ISODateTime

Definition: A particular point in the progression of time defined by a mandatory date and a mandatory time component, expressed in either UTC time format (YYYY-MM-DDThh:mm:ss.sssZ), local time with UTC offset format (YYYY-MM-DDThh:mm:ss.sss+/-hh:mm), or local time format (YYYY-MM-DDThh:mm:ss.sss). These representations are defined in "XML Schema Part 2: Datatypes Second Edition - W3C Recommendation 28 October 2004" which is aligned with ISO 8601.

Note on the time format:

1) beginning / end of calendar day

00:00:00 = the beginning of a calendar day

24:00:00 = the end of a calendar day

2) fractions of second in time format

Decimal fractions of seconds may be included. In this case, the involved parties shall agree on the maximum number of digits that are allowed.

Type: DateTime

9.2.5 IdentifierSet

9.2.5.1 AnyBICDec2014Identifier

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

Type: IdentifierSet

Identification scheme: SWIFT; AnyBICIdentifier

Format

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

Constraints

- **AnyBIC**

(Rule)

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

Error handling:

– *Error severity:* Fatal

– *Error Code:* D00008

– *Error Text:* Invalid BIC.

9.2.5.2 BICFI Dec2014 Identifier

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**

(Rule)

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.

Error handling:

- *Error severity:* Fatal
- *Error Code:* D00001
- *Error Text:* Invalid FI BIC.

9.2.5.3 ISIC Identifier

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

Type: IdentifierSet

Identification scheme: ISIC Identifier

Format

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

9.2.5.4 ISIN Oct2015 Identifier

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

Type: IdentifierSet

Identification scheme: ANNA; ISINIdentifier

Format

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

9.2.5.5 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}

9.2.6 Indicator

9.2.6.1 YesNoIndicator

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

Type: Indicator

Meaning When True: Yes

Meaning When False: No

9.2.7 Quantity

9.2.7.1 DecimalNumber

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

Type: Quantity

Format

totalDigits 18

fractionDigits 17

9.2.8 Rate

9.2.8.1 PercentageRate

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

Type: Rate

Format

totalDigits 11

fractionDigits 10

baseValue 100.0

9.2.9 Text

9.2.9.1 Exact3NumericText

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

Type: Text

Format

pattern [0-9]{3}

9.2.9.2 Exact4AlphaNumericText

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

Type: Text

Format

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

9.2.9.3 ISO20022MessageIdentificationText

Definition: ISO 20022 Message identifier of an MX message.

Type: Text

Format

pattern [a-z]{4}\.[0-9]{3}\.[0-9]{3}\.[0-9]{2}

9.2.9.4 Max128Text

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

Type: Text

Format

minLength	1
maxLength	128

9.2.9.5 Max140Text

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

Type: Text

Format

minLength	1
maxLength	140

9.2.9.6 Max16Text

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

Type: Text

Format

minLength	1
maxLength	16

9.2.9.7 Max2048Text

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

Type: Text

Format

minLength	1
maxLength	2048

9.2.9.8 Max256Text

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

Type: Text

Format

minLength	1
maxLength	256

9.2.9.9 Max350Text

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

Type: Text

Format

minLength	1
maxLength	350

9.2.9.10 Max35Text

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

Type: Text

Format

minLength	1
maxLength	35

9.2.9.11 Max4Text

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

Type: Text

Format

minLength	1
maxLength	4

9.2.9.12 Max50Text

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

Type: Text

Format

minLength	1
maxLength	50

9.2.9.13 Max5NumericText

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

Type: Text

Format

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

9.2.9.14 Max70Text

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

Type: Text

Format

minLength	1
maxLength	70

9.2.9.15 PhoneNumber

Definition: The collection of information which identifies a specific phone or FAX number as defined by telecom services.

It consists of a "+" followed by the country code (from 1 to 3 characters) then a "-" and finally, any combination of numbers, "(", ")", "+", and "-" (up to 30 characters).

Type: Text

Format

pattern	\+[0-9]{1,3}-[0-9()+\-]{1,30}
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9.2.10 Year

9.2.10.1 ISOYear

Definition: Year represented by YYYY (ISO 8601).

Type: Year

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