

Usage Guideline

Corporate Action Cancellation Advice seev.039.001.13

DTCC - US - CA - Announcements - SR 2025

This document describes a usage guideline restricting the base message **MX seev.039.001.13**. You can also consult [this information online](#).

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Message Functionality

Overview

Used to send corporate action cancellation as announced by DTC (as an asset servicer CSD).

Collection Description

Outline

The DTCC - US - CA - Announcements - SR 2025 / Corporate Action Cancellation Advice seev.039.001.13 message is composed of 15 building blocks

- a. CancellationAdviceGeneralInformation
General information about the event cancellation status and cancellation reason.
- b. CorporateActionGeneralInformation
General information about the corporate action event.
- c. AccountsDetails
General information about the safekeeping account and the account owner.
- d. CorporateActionDetails
Information about the corporate action event.
- e. AdditionalText
Provides additional information or specifies in more detail the content of a message. This field may only be used when the information to be transmitted, cannot be coded.
- f. IssuerAgent
Party appointed to administer the event on behalf of the issuer company/offoror. The party may be contacted for more information about the event.
- g. PayingAgent
Agent (principal or fiscal paying agent) appointed to execute the payment for the corporate action event on behalf of the issuer company/offoror.
- h. SubPayingAgent
Sub-agent appointed to execute the payment for the corporate action event on behalf of the issuer company/offoror.
- i. Registrar
Party/agent responsible for maintaining the register of a security.
- j. ResellingAgent
Broker-dealer responsible for reselling to new investors securities (usually bonds) that have been tendered for purchase by their owner.
- k. PhysicalSecuritiesAgent
Trust company, bank or similar financial institution assigned by an issuer to accept presentations of instruments, usually bonds, for transfer and or exchange.
- l. DropAgent

Trust company, bank or similar financial institution that acts on behalf of an out-of-town agent or event agent where securities can be delivered in person.

m. SolicitationAgent

Trust company, bank or similar financial institution assigned by an issuer to maintain records of investors and account balances and transactions for the consent of a material change.

n. InformationAgent

Trust company, bank or similar financial institution assigned by an Issuer to provide information and copies of the offering documentation.

o. SupplementaryData

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

1 Restriction summary

This Usage Guideline restricts the seev.039.001.13 message.

Restriction Type	See page
Removed elements	12, 13, 13, 14, 14, 15, 15, 16, 16, 22, 29, 31, 33, 36, 37, 37, 45, 47, 47, 47, 47, 47, 47, 47, 47, 48, 59, 68, 69, 69, 70, 73, 75, 76, 76, 77, 80, 82, 85, 86, 91, 91, 93, 94, 95, 96, 97, 97, 97, 99, 101, 110, 110, 112
Make mandatory	n.a.
Reduce Multiplicity	n.a.
Ignore	n.a.
Text rules	10, 17, 26, 26, 26, 32, 34, 44, 44, 48, 57, 58, 58, 66, 66, 79, 81, 84, 86, 89
Conditional rules	n.a.
Formal rules	n.a.
Fixed values	n.a.
Truncates	n.a.
Comments	12, 32, 32, 33, 34, 59, 69, 70, 71, 72, 72, 74, 74, 75, 76, 77, 78, 78, 79, 80, 81, 82, 82, 83, 84, 85, 86, 87, 87, 88, 88, 89, 90, 91, 92, 93, 93, 94, 95, 96, 97, 98, 98, 99, 100, 100
Annotations	24, 25
Changed datatypes	12, 19, 20, 26, 32, 32, 33, 38, 38, 38, 38, 38, 39, 39, 39, 39, 39, 39, 39, 39, 39, 39, 39, 40, 40, 40, 40, 40, 40, 40, 41, 41, 41, 41, 41, 41, 41, 41, 41, 41, 41, 41, 41, 42, 42, 42, 42, 42, 42, 42, 42, 42, 42, 43, 44, 46, 46, 46, 46, 46, 46, 46, 46, 46, 48, 56, 58
Extensions	n.a.

Restriction Type	See page
Synonyms	12, 24, 25, 26, 27, 28, 32, 32, 33, 34, 34, 34, 35, 49, 59, 61, 61, 62, 62, 66, 66, 69, 70, 70, 70, 71, 71, 72, 72, 72, 73, 73, 73, 74, 74, 75, 76, 77, 78, 78, 78, 79, 80, 81, 81, 82, 82, 83, 83, 83, 84, 84, 85, 86, 86, 87, 87, 87, 88, 88, 89, 90, 90, 90, 91, 92, 92, 93, 93, 94, 94, 95, 95, 96, 97, 98, 98, 99, 100, 100, 100

2 Structure

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	<i>CorporateActionCancellationAdviceV13</i>	<CorpActnCxlAdv<		[1..1]		10
	CancellationAdviceGeneralInformation	<CxlAdvGnllnf>		[1..1]		10
	CancellationReasonCode	<CxlRsnCd>		[1..1]		25
	CancellationReason	<CxlRsn>		[0..1]		26
	ProcessingStatus	<PrcgSts>		[1..1]		26
	CorporateActionGeneralInformation	<CorpActnGnllnf>		[1..1]		10
	CorporateActionEventIdentification	<CorpActnEvtld>		[1..1]		31
	OfficialCorporateActionEventIdentification	<OffclCorpActnEvtld>		[0..1]		32
	ClassActionNumber	<ClssActnNb>		[0..1]		32
	EventType	<EvtTp>		[1..1]		33
	MandatoryVoluntaryEventType	<MndtryVlntryEvtTp>		[1..1]		33
	FinancialInstrumentIdentification	<FinInstrmld>		[1..1]		34
	AccountsDetails	<AcctsDtls>		[1..1]		11
	ForAllAccounts	<ForAllAccts>	{Or	[1..1]		21
	AccountsList	<AcctsList>	Or}	[1..*]		21
	CorporateActionDetails	<CorpActnDtls>		[0..1]		11
	DateDetails	<DtDtls>		[0..1]		23
	EventStage	<EvtStag>		[0..1]		23
	AdditionalBusinessProcessIndicator	<AddtlBizPrclnd>		[0..*]		24
	LotteryType	<LtryTp>		[0..1]		24
	AdditionalText	<AddtlTxt>		[0..*]		12
	IssuerAgent	<IssrAgt>		[0..*]		12
	AnyBIC	<AnyBIC>	{Or	[1..1]		49
	ProprietaryIdentification	<Prtryld>	Or	[1..1]		49
	NameAndAddress	<NmAndAdr>	Or}	[1..1]		50
	PayingAgent	<PngAgt>		[0..*]		13
	AnyBIC	<AnyBIC>	{Or	[1..1]		49

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	ProprietaryIdentification	<PrtryId>	Or	[1..1]		49
	NameAndAddress	<NmAndAdr>	Or}	[1..1]		50
	SubPayingAgent	<SubPngAgt>		[0..*]	🚫	13
	AnyBIC	<AnyBIC>	{Or	[1..1]		49
	ProprietaryIdentification	<PrtryId>	Or	[1..1]		49
	NameAndAddress	<NmAndAdr>	Or}	[1..1]		50
	Registrar	<Regar>		[0..1]	🚫	14
	AnyBIC	<AnyBIC>	{Or	[1..1]		49
	ProprietaryIdentification	<PrtryId>	Or	[1..1]		49
	NameAndAddress	<NmAndAdr>	Or}	[1..1]		50
	ResellingAgent	<RsellingAgt>		[0..*]	🚫	14
	AnyBIC	<AnyBIC>	{Or	[1..1]		49
	ProprietaryIdentification	<PrtryId>	Or	[1..1]		49
	NameAndAddress	<NmAndAdr>	Or}	[1..1]		50
	PhysicalSecuritiesAgent	<PhysScitiesAgt>		[0..1]	🚫	14
	AnyBIC	<AnyBIC>	{Or	[1..1]		49
	ProprietaryIdentification	<PrtryId>	Or	[1..1]		49
	NameAndAddress	<NmAndAdr>	Or}	[1..1]		50
	DropAgent	<DrpAgt>		[0..1]	🚫	15
	AnyBIC	<AnyBIC>	{Or	[1..1]		49
	ProprietaryIdentification	<PrtryId>	Or	[1..1]		49
	NameAndAddress	<NmAndAdr>	Or}	[1..1]		50
	SolicitationAgent	<SlctnAgt>		[0..*]	🚫	15
	AnyBIC	<AnyBIC>	{Or	[1..1]		49
	ProprietaryIdentification	<PrtryId>	Or	[1..1]		49
	NameAndAddress	<NmAndAdr>	Or}	[1..1]		50
	InformationAgent	<InfAgt>		[0..1]	🚫	16
	AnyBIC	<AnyBIC>	{Or	[1..1]		49
	ProprietaryIdentification	<PrtryId>	Or	[1..1]		49
	NameAndAddress	<NmAndAdr>	Or}	[1..1]		50
	SupplementaryData	<SplmtryData>		[0..*]	⚠️	16

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		59
	Envelope	<Envlp>		[1..1]		59

3 Message Building Blocks

Note The following chapter identifies the building blocks of the DTCC - US - CA - Announcements - SR 2025 / Corporate Action Cancellation Advice seev.039.001.13 message definition.

Usage Guideline on Root Node

- on seev.039.001.13/
 - **Market Practice Usage Rule:**
Used to send corporate actions data as announced by DTC (as an asset servicer CSD).

3.1 CancellationAdviceGeneralInformation

XML Tag: CxlAdvGnlInf

Presence: [1..1]

Definition: General information about the event cancellation status and cancellation reason.

The **CxlAdvGnlInf** block contains the following elements (see datatype "CorporateActionCancellation3_1" on page 25 for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	CancellationReasonCode	<CxlRsnCd>		[1..1]		25
	CancellationReason	<CxlRsn>		[0..1]		26
	ProcessingStatus	<PrcgSts>		[1..1]		26

3.2 CorporateActionGeneralInformation

XML Tag: CorpActnGnlInf

Presence: [1..1]

Definition: General information about the corporate action event.

The **CorpActnGnlInf** block contains the following elements (see datatype "CorporateActionGeneralInformation174_1" on page 31 for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	CorporateActionEventIdentification	<CorpActnEvtId>		[1..1]		31

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	OfficialCorporateActionEventIdentification	<OffclCorpActnEvtId>		[0..1]	⚠	32
	ClassActionNumber	<ClsActnNb>		[0..1]	🚫 ⚠	32
	EventType	<EvtTp>		[1..1]	⚠	33
	MandatoryVoluntaryEventType	<MndtryVlntryEvtTp>		[1..1]	⚠	33
	FinancialInstrumentIdentification	<FinInstrmId>		[1..1]	⚠	34

3.3 AccountsDetails

XML Tag: AcctsDtls

Presence: [1..1]

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

The **AcctsDtls** block contains the following elements (see datatype "AccountIdentification73Choice__1" on page 21 for details)

🚫 Removed - 🚫 Partial Removed - ⬡ Ignored - ⬡ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	ForAllAccounts	<ForAllAccts>	{Or	[1..1]		21
	AccountsList	<AcctsList>	Or}	[1..*]	🚫	21

3.4 CorporateActionDetails

XML Tag: CorpActnDtls

Presence: [0..1]

Definition: Information about the corporate action event.

The **CorpActnDtls** block contains the following elements (see datatype "CorporateAction72__1" on page 23 for details)

🚫 Removed - 🚫 Partial Removed - ⬡ Ignored - ⬡ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	DateDetails	<DtDtls>		[0..1]		23
	EventStage	<EvtStag>		[0..1]	⚠	23
	AdditionalBusinessProcessIndicator	<AddtlBizPrInd>		[0..*]		24
	LotteryType	<LtryTp>		[0..1]	⚠	24

3.5 AdditionalText

XML Tag: AddtlTxt

Presence: [0..*]

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

Datatype: ["RestrictedFINZMax8000Text" on page 119](#)

Usage Guideline details

- **on seev.039.001.13/AdditionalText**
Type changed to: [RestrictedFINZMax8000Text on page 119](#)
- **on seev.039.001.13/AdditionalText**
 - **Annotation:** (empty)
- **on seev.039.001.13/AdditionalText**
Synonym (DTCC): Text (Vendor)
- **on seev.039.001.13/AdditionalText**
Comment:
Will include all comments

3.6 IssuerAgent

XML Tag: IssrAgt

Presence: [0..*]

Definition: Party appointed to administer the event on behalf of the issuer company/offoror. The party may be contacted for more information about the event.

The **IssrAgt** block contains the following elements (see datatype ["PartyIdentification120Choice__1" on page 49](#) for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	AnyBIC	<AnyBIC>	{Or	[1..1]		49
	ProprietaryIdentification	<PrtryId>	Or	[1..1]		49
	NameAndAddress	<NmAndAdr>	Or}	[1..1]		50

Usage Guideline details

- **This element(seev.039.001.13/IssuerAgent) is removed.**

3.7 PayingAgent

XML Tag: PngAgt

Presence: [0..*]

Definition: Agent (principal or fiscal paying agent) appointed to execute the payment for the corporate action event on behalf of the issuer company/offoror.

The **PngAgt** block contains the following elements (see datatype "[PartyIdentification120Choice__1](#)" on page 49 for details)

❌ Removed - ❌ Partial Removed - ❖ Ignored - ❖ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	AnyBIC	<AnyBIC>	{Or	[1..1]		49
	ProprietaryIdentification	<PrtryId>	Or	[1..1]		49
	NameAndAddress	<NmAndAdr>	Or}	[1..1]		50

Usage Guideline details

- This element(seev.039.001.13/PayingAgent) is removed.

3.8 SubPayingAgent

XML Tag: SubPngAgt

Presence: [0..*]

Definition: Sub-agent appointed to execute the payment for the corporate action event on behalf of the issuer company/offoror.

The **SubPngAgt** block contains the following elements (see datatype "[PartyIdentification120Choice__1](#)" on page 49 for details)

❌ Removed - ❌ Partial Removed - ❖ Ignored - ❖ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	AnyBIC	<AnyBIC>	{Or	[1..1]		49
	ProprietaryIdentification	<PrtryId>	Or	[1..1]		49
	NameAndAddress	<NmAndAdr>	Or}	[1..1]		50

Usage Guideline details

- This element(seev.039.001.13/SubPayingAgent) is removed.

3.9 Registrar

XML Tag: Regar

Presence: [0..1]

Definition: Party/agent responsible for maintaining the register of a security.

The **Regar** block contains the following elements (see datatype "[PartyIdentification120Choice__1](#)" on page 49 for details)

❌ Removed - ❌ Partial Removed - ❖ Ignored - ❖ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	AnyBIC	<AnyBIC>	{Or	[1..1]		49
	ProprietaryIdentification	<PrtryId>	Or	[1..1]		49
	NameAndAddress	<NmAndAdr>	Or}	[1..1]		50

Usage Guideline details

- This element(seev.039.001.13/Registrar) is removed.

3.10 ResellingAgent

XML Tag: RsellngAgt

Presence: [0..*]

Definition: Broker-dealer responsible for reselling to new investors securities (usually bonds) that have been tendered for purchase by their owner.

The **RsellngAgt** block contains the following elements (see datatype "[PartyIdentification120Choice__1](#)" on page 49 for details)

❌ Removed - ❌ Partial Removed - ❖ Ignored - ❖ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	AnyBIC	<AnyBIC>	{Or	[1..1]		49
	ProprietaryIdentification	<PrtryId>	Or	[1..1]		49
	NameAndAddress	<NmAndAdr>	Or}	[1..1]		50

Usage Guideline details

- This element(seev.039.001.13/ResellingAgent) is removed.

3.11 PhysicalSecuritiesAgent

XML Tag: PhysSctiesAgt

Presence: [0..1]

Definition: Trust company, bank or similar financial institution assigned by an issuer to accept presentations of instruments, usually bonds, for transfer and or exchange.

The **PhysSctiesAgt** block contains the following elements (see datatype "PartyIdentification120Choice__1" on page 49 for details)

🚫 Removed - 🚫 Partial Removed - ⬜ Ignored - ⬜ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	AnyBIC	<AnyBIC>	{Or	[1..1]		49
	ProprietaryIdentification	<PrtryId>	Or	[1..1]		49
	NameAndAddress	<NmAndAdr>	Or}	[1..1]		50

Usage Guideline details

- This element(seev.039.001.13/PhysicalSecuritiesAgent) is removed.

3.12 DropAgent

XML Tag: DrpAgt

Presence: [0..1]

Definition: Trust company, bank or similar financial institution that acts on behalf of an out-of-town agent or event agent where securities can be delivered in person.

The **DrpAgt** block contains the following elements (see datatype "PartyIdentification120Choice__1" on page 49 for details)

🚫 Removed - 🚫 Partial Removed - ⬜ Ignored - ⬜ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	AnyBIC	<AnyBIC>	{Or	[1..1]		49
	ProprietaryIdentification	<PrtryId>	Or	[1..1]		49
	NameAndAddress	<NmAndAdr>	Or}	[1..1]		50

Usage Guideline details

- This element(seev.039.001.13/DropAgent) is removed.

3.13 SolicitationAgent

XML Tag: SlctnAgt

Presence: [0..*]

Definition: Trust company, bank or similar financial institution assigned by an issuer to maintain records of investors and account balances and transactions for the consent of a material change.

The **SlctnAgt** block contains the following elements (see datatype "[PartyIdentification120Choice__1](#)" on page 49 for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	AnyBIC	<AnyBIC>	{Or	[1..1]		49
	ProprietaryIdentification	<PrtryId>	Or	[1..1]		49
	NameAndAddress	<NmAndAdr>	Or}	[1..1]		50

Usage Guideline details

- This element(seev.039.001.13/SolicitationAgent) is removed.

3.14 InformationAgent

XML Tag: InfAgt

Presence: [0..1]

Definition: Trust company, bank or similar financial institution assigned by an Issuer to provide information and copies of the offering documentation.

The **InfAgt** block contains the following elements (see datatype "[PartyIdentification120Choice__1](#)" on page 49 for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	AnyBIC	<AnyBIC>	{Or	[1..1]		49
	ProprietaryIdentification	<PrtryId>	Or	[1..1]		49
	NameAndAddress	<NmAndAdr>	Or}	[1..1]		50

Usage Guideline details

- This element(seev.039.001.13/InformationAgent) is removed.

3.15 SupplementaryData

XML Tag: SplmtryData

Presence: [0..*]

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

The **SplmtryData** block contains the following elements (see datatype "[SupplementaryData1](#)" on [page 59](#) for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]		59
	Envelope	<Envlp>		[1..1]		59

Usage Guideline details

- on [seev.039.001.13/SupplementaryData](#)
 - **DTCC Supplementary Data Rule:**
Used to incorporate extension schema.

4 Message Components

Note The following chapter identifies the message components.

4.1 AccountIdentification10

Definition: Provides account identification information.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	IdentificationCode	<IdCd>		[1..1]		18

Used in element(s)

"ForAllAccounts" on page 21

4.1.1 IdentificationCode

XML Tag: IdCd

Presence: [1..1]

Definition: Standard code to specify that announcement applies to all safekeeping accounts that own underlying financial instrument.

Datatype: "SafekeepingAccountIdentification1Code" on page 120

4.2 AccountIdentification69__1

Definition: Provides account identification information.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	SafekeepingAccount	<SfkpgAcct>		[0..1]		19
	BlockChainAddressOrWallet	<BlckChainAdrOrWlt>		[0..1]		20
	AccountOwner	<AcctOwnr>		[0..1]		20
	SafekeepingPlace	<SfkpgPlc>		[0..1]		20

Rules

R8 SafekeepingPlaceRule

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

Error handling: Undefined

R9 SafekeepingAccountOrBlockChainAddress1Rule ✓

Either SafekeepingAccount or BlockChainAddressOrWallet must be present but not both.

Error handling:

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

R10 SafekeepingAccountOrBlockChainAddress2Rule ✓

If BlockChainAddressOrWallet is present then SafekeepingAccount must be absent.

Error handling:

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

R11 SafekeepingAccountOrBlockChainAddress3Rule ✓

If SafekeepingAccount is present, then BlockChainAddressOrWallet must be absent.

Error handling:

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

Used in element(s)

"AccountsList" on page 21

4.2.1 SafekeepingAccount

XML Tag: SfkpgAcct

Presence: [0..1]

Definition: Account where financial instruments are maintained.

Datatype: "RestrictedFINXMax35Text" on page 119

Usage Guideline details

- **on seev.039.001.13/AccountsDetails/AccountsList/SafekeepingAccount**
Type changed to: RestrictedFINXMax35Text on page 119

4.2.2 BlockChainAddressOrWallet

XML Tag: BlckChainAdrOrWllt

Presence: [0..1]

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

Datatype: "RestrictedFINXMax140Text" on page 117

Usage Guideline details

- on [seev.039.001.13/AccountsDetails/AccountsList/BlockChainAddressOrWallet](#)
Type changed to: RestrictedFINXMax140Text on page 117

4.2.3 AccountOwner

XML Tag: AcctOwnr

Presence: [0..1]

Definition: Party that legally owns the account.

The **AcctOwnr** block contains the following elements (see datatype "PartyIdentification127Choice__1" on page 50 for details)

❌ Removed - ❌ Partial Removed - ❖ Ignored - ❖ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	AnyBIC	<AnyBIC>	{Or	[1..1]		51
	ProprietaryIdentification	<PrtryId>	Or}	[1..1]		51

4.2.4 SafekeepingPlace

XML Tag: SfkpgPlc

Presence: [0..1]

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

The **SfkpgPlc** block contains the following elements (see datatype "SafekeepingPlaceFor-mat42Choice__1" on page 53 for details)

❌ Removed - ❌ Partial Removed - ❖ Ignored - ❖ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Identification	<Id>	{Or	[1..1]		53
	Country	<Ctry>	Or	[1..1]		54
	DigitalLedgerIdentification	<DgtlLdgrId>	Or	[1..1]		54

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	TypeAndIdentification	<TpAndId>	Or	[1..1]		54
	Proprietary	<Prtry>	Or}	[1..1]		54

4.3 AccountIdentification73Choice__1

Definition: Choice between all accounts (GENR - General in ISO 15022) or one or more selected accounts.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	ForAllAccounts	<ForAllAccts>	{Or	[1..1]		21
	AccountsList	<AcctsList>	Or}	[1..*]		21

Used in element(s)

"AccountsDetails" on page 11

4.3.1 ForAllAccounts

XML Tag: ForAllAccts

Presence: [1..1]

Definition: All safekeeping accounts that own underlying financial instrument.

The **ForAllAccts** block contains the following elements (see datatype "[AccountIdentification10](#)" on page 18 for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	IdentificationCode	<IdCd>		[1..1]		18

4.3.2 AccountsList

XML Tag: AcctsList

Presence: [1..*]

Definition: Selected safekeeping accounts list to which the corporate action event applies.

The **AcctsList** block contains the following elements (see datatype "[AccountIdentification69__1](#)" on page 18 for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	SafekeepingAccount	<SfkpgAcct>		[0..1]		19
	BlockChainAddressOrWallet	<BlckChainAdrOrWllt>		[0..1]		20
	AccountOwner	<AcctOwnr>		[0..1]		20
	SafekeepingPlace	<SfkpgPlc>		[0..1]		20

Usage Guideline details

- This element([seev.039.001.13/AccountsDetails/AccountsList](#)) is removed.

4.4 AdditionalBusinessProcessFormat15Choice__1

Definition: Choice between a standard code or proprietary code to specify the type of the additional business process.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Code	<Cd>	{Or	[1..1]		22
	Proprietary	<Prtry>	Or}	[1..1]		22

Used in element(s)

"[AdditionalBusinessProcessIndicator](#)" on page 24

4.4.1 Code

XML Tag: Cd

Presence: [1..1]

Definition: Standard code to specify the additional business process linked to a corporate action event.

Datatype: "[AdditionalBusinessProcess8Code](#)" on page 61

4.4.2 Proprietary

XML Tag: Prtry

Presence: [1..1]

Definition: Proprietary identification of the additional business process linked to a corporate action event.

The **Prtry** block contains the following elements (see datatype "[GenericIdentification30__1](#)" on page 37 for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Identification	<Id>		[1..1]		38
	Issuer	<Issr>		[1..1]	⚠	38
	SchemeName	<SchmeNm>		[0..1]	⚠	39

4.5 CorporateAction72__1

Definition: Provides information about the corporate action event.

🚫 Removed - 🚫 Partial Removed - 🔹 Ignored - 🔹 Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	DateDetails	<DtDtls>		[0..1]		23
	EventStage	<EvtStag>		[0..1]	⚠	23
	AdditionalBusinessProcessIndicator	<AddtlBizPrclnd>		[0..*]		24
	LotteryType	<LtryTp>		[0..1]	⚠	24

Used in element(s)

"CorporateActionDetails" on page 11

4.5.1 DateDetails

XML Tag: DtDtls

Presence: [0..1]

Definition: Provides information about the dates related to a corporate action event.

The **DtDtls** block contains the following elements (see datatype "CorporateActionDate86__1" on page 27 for details)

🚫 Removed - 🚫 Partial Removed - 🔹 Ignored - 🔹 Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	RecordDate	<RcrdDt>		[0..1]	⚠	27
	ExDividendDate	<ExDvddDt>		[0..1]	⚠	27

4.5.2 EventStage

XML Tag: EvtStag

Presence: [0..1]

Definition: Stage in the corporate action event life cycle.

The **EvtStag** block contains the following elements (see datatype "[CorporateActionEventStageFormat14Choice__1](#)" on page 28 for details)

🚫 Removed - 🚫 Partial Removed - ⬜ Ignored - ⬜ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Code	<Cd>	{Or	[1..1]		28
	Proprietary	<Prtry>	Or}	[1..1]	🚫	28

Usage Guideline details

- on [seev.039.001.13/CorporateActionDetails/EventStage](#)
 - **Applicability:**
true
 - **REDEML Trace:**
Lottery Type
- on [seev.039.001.13/CorporateActionDetails/EventStage](#)
Synonym (DTCC Redemptions): Event Stage

4.5.3 AdditionalBusinessProcessIndicator

XML Tag: AddtlBizPrclnd

Presence: [0..*]

Definition: Specifies the type of the additional business process linked to a corporate action event such as a claim compensation or tax refund.

The **AddtlBizPrclnd** block contains the following elements (see datatype "[AdditionalBusinessProcessFormat15Choice__1](#)" on page 22 for details)

🚫 Removed - 🚫 Partial Removed - ⬜ Ignored - ⬜ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Code	<Cd>	{Or	[1..1]		22
	Proprietary	<Prtry>	Or}	[1..1]		22

4.5.4 LotteryType

XML Tag: LtryTp

Presence: [0..1]

Definition: Specifies the type of lottery announced.

The **LtryTp** block contains the following elements (see datatype "[LotteryTypeFormat4Choice__1](#)" on page 44 for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Code	<Cd>	{Or	[1..1]		45
	Proprietary	<Prtry>	Or}	[1..1]		45

Usage Guideline details

- on [seev.039.001.13/CorporateActionDetails/LotteryType](#)
 - **Applicability:**
true
 - **REDEML Trace:**
Lottery Type
- on [seev.039.001.13/CorporateActionDetails/LotteryType](#)
Synonym (DTCC Redemptions): Lottery Type

4.6 CorporateActionCancellation3__1

Definition: Corporate action event cancellation status and reason.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	CancellationReasonCode	<CxIRsnCd>		[1..1]		25
	CancellationReason	<CxIRsn>		[0..1]		26
	ProcessingStatus	<PrcgSts>		[1..1]		26

Used in element(s)

["CancellationAdviceGeneralInformation" on page 10](#)

4.6.1 CancellationReasonCode

XML Tag: CxIRsnCd

Presence: [1..1]

Definition: Specifies reasons for cancellation of a corporate action event.

Datatype: ["CorporateActionCancellationReason1Code" on page 65](#)

Usage Guideline details

- on [seev.039.001.13/CancellationAdviceGeneralInformation/CancellationReasonCode](#)

– **DTCC Cancellation Reason Code Rule:**

Derived from Event Status field.

4.6.2 CancellationReason

XML Tag: CxlRsn

Presence: [0..1]

Definition: Additional information about cancellation of a corporate action event.

Datatype: "RestrictedFINXMax140Text" on page 117

Usage Guideline details

- on **seev.039.001.13/CancellationAdviceGeneralInformation/CancellationReason**
Type changed to: RestrictedFINXMax140Text on page 117
- on **seev.039.001.13/CancellationAdviceGeneralInformation/CancellationReason**
 - **Market Practice Usage Rule:**
Will contain the first 140 characters (permitted on the ISO message) remainder of the text will be extended.
- on **seev.039.001.13/CancellationAdviceGeneralInformation/CancellationReason**
Synonym (DTCC): Comments Text

4.6.3 ProcessingStatus

XML Tag: PrcgSts

Presence: [1..1]

Definition: Specifies the status of the details of the event.

The **PrcgSts** block contains the following elements (see datatype "CorporateActionEventStatus1" on page 29 for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	EventCompletenessStatus	<EvtCmpltnsSts>		[1..1]		29
	EventConfirmationStatus	<EvtConfSts>		[1..1]		29

Usage Guideline details

- on **seev.039.001.13/CancellationAdviceGeneralInformation/ProcessingStatus**
 - **DTCC Processing Status Rule:**

Code Complete is used when Event Status values are one of the following: Cancelled, Deleted.
 Code Confirmed is used when Event Status is Cancelled.
 Code Unconfirmed is used when Event Status is Deleted.

4.7 CorporateActionDate86__1

Definition: Specifies corporate action dates.

🚫 Removed - 🚫 Partial Removed - ⬜ Ignored - ⬜ Partial Ignored - ⚠ Details below -
 M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	RecordDate	<RcrdDt>		[0..1]	⚠	27
	ExDividendDate	<ExDvddDt>		[0..1]	⚠	27

Used in element(s)

"DateDetails" on page 23

4.7.1 RecordDate

XML Tag: RcrdDt

Presence: [0..1]

Definition: Date/time at which positions are struck at the end of the day to note which parties will receive the relevant amount of entitlement, due to be distributed on payment date.

The **RcrdDt** block contains the following elements (see datatype "DateFormat30Choice__1" on page 37 for details)

🚫 Removed - 🚫 Partial Removed - ⬜ Ignored - ⬜ Partial Ignored - ⚠ Details below -
 M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Date	<Dt>	{Or	[1..1]		37
	DateCode	<DtCd>	Or}	[1..1]		37

Usage Guideline details

- on seev.039.001.13/CorporateActionDetails/DateDetails/RecordDate
 Synonym (DTCC): Record Date

4.7.2 ExDividendDate

XML Tag: ExDvddDt

Presence: [0..1]

Definition: Date/time as from which trading (including exchange and OTC trading) occurs on the underlying security without the benefit.

The **ExDvddDt** block contains the following elements (see datatype "[DateFormat30Choice__1](#)" on page 37 for details)

🚫 Removed - 🚫 Partial Removed - ⬜ Ignored - ⬜ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Date	<Dt>	{Or	[1..1]		37
	DateCode	<DtCd>	Or}	[1..1]		37

Usage Guideline details

- on [seev.039.001.13/CorporateActionDetails/DateDetails/ExDividendDate](#)
Synonym (DTCC Distributions): Ex Date

4.8 CorporateActionEventStageFormat14Choice__1

Definition: Choice between a standard code or proprietary code to specify the event stage type.

🚫 Removed - 🚫 Partial Removed - ⬜ Ignored - ⬜ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Code	<Cd>	{Or	[1..1]		28
	Proprietary	<Prtry>	Or}	[1..1]	🚫	28

Used in element(s)

["EventStage"](#) on page 23

4.8.1 Code

XML Tag: Cd

Presence: [1..1]

Definition: Standard code to specify the stage of the corporate action event.

Datatype: "[CorporateActionEventStage4Code](#)" on page 67

4.8.2 Proprietary

XML Tag: Prtry

Presence: [1..1]

Definition: Proprietary identification of the stage of the corporate action event.

The **Prtry** block contains the following elements (see datatype "[GenericIdentification30__1](#)" on [page 37](#) for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Identification	<Id>		[1..1]		38
	Issuer	<Issr>		[1..1]		38
	SchemeName	<SchmeNm>		[0..1]		39

Usage Guideline details

- This element([seev.039.001.13/CorporateActionDetails/EventStage/Proprietary](#)) is removed.

4.9 CorporateActionEventStatus1

Definition: The process of notifying of an upcoming corporate action. It provides corporate action details including the different options.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	EventCompletenessStatus	<EvtCmpltnsSts>		[1..1]		29
	EventConfirmationStatus	<EvtConfSts>		[1..1]		29

Used in element(s)

"[ProcessingStatus](#)" on [page 26](#)

4.9.1 EventCompletenessStatus

XML Tag: EvtCmpltnsSts

Presence: [1..1]

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

Datatype: "[EventCompletenessStatus1Code](#)" on [page 111](#)

4.9.2 EventConfirmationStatus

XML Tag: EvtConfSts

Presence: [1..1]

Definition: Indicates the status of the occurrence of an event.

Datatype: "[EventConfirmationStatus1Code](#)" on [page 112](#)

4.10 CorporateActionEventType107Choice__1

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

🚫 Removed - !🚫 Partial Removed - ⬜ Ignored - !⬜ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Code	<Cd>	{Or	[1..1]		30
	Proprietary	<Prtry>	Or}	[1..1]	🚫	30

Rules

R2 EventTypeRule

If Code is present, the code OTHR (Other) must only be used if no other corporate action event code is appropriate.

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

If Code is present, the code REDM (Final Maturity) must only be used if the redemption is decided by the issuer and not by the securities holders.

Error handling: Undefined

Used in element(s)

["EventType" on page 33](#)

4.10.1 Code

XML Tag: Cd

Presence: [1..1]

Definition: Event type expressed as a code.

Datatype: ["CorporateActionEventType35Code" on page 68](#)

4.10.2 Proprietary

XML Tag: Prtry

Presence: [1..1]

Definition: Event type expressed as a proprietary code.

The **Prtry** block contains the following elements (see datatype ["GenericIdentification30__1" on page 37](#) for details)

🚫 Removed - !🚫 Partial Removed - ⬜ Ignored - !⬜ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Identification	<Id>		[1..1]		38
	Issuer	<Issr>		[1..1]	⚠	38
	SchemeName	<SchmeNm>		[0..1]	⚠	39

Usage Guideline details

- This element(seev.039.001.13/CorporateActionGeneralInformation/EventType/Proprietary) is removed.

4.11 CorporateActionGeneralInformation174__1

Definition: General information about the corporate action event.

⓪ Removed - !⓪ Partial Removed - ♦ Ignored - ♦⓪ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	CorporateActionEventIdentification	<CorpActnEvtId>		[1..1]	⚠	31
	OfficialCorporateActionEventIdentification	<OffclCorpActnEvtId>		[0..1]	⚠	32
	ClassActionNumber	<ClsActnNb>		[0..1]	⓪ ⚠	32
	EventType	<EvtTp>		[1..1]	⚠	33
	MandatoryVoluntaryEventType	<MndtryVlntryEvtTp>		[1..1]	⚠	33
	FinancialInstrumentIdentification	<FinInstrmId>		[1..1]	⚠	34

Rules

R1 OfficialCorporateActionEventReference

The Securities Market Practice Group (SMPG) has published market practice recommendations on the structure and usage of the Official Corporate Action Event Reference (COAF). Those recommendations are available in the SMPG Global Market Practices Part 1 document on www.smpg.info.

Error handling: Undefined

Used in element(s)

"CorporateActionGeneralInformation" on page 10

4.11.1 CorporateActionEventIdentification

XML Tag: CorpActnEvtId

Presence: [1..1]

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

Datatype: ["RestrictedFINXMax16Text" on page 118](#)

Usage Guideline details

- on [seev.039.001.13/CorporateActionGeneralInformation/CorporateActionEventIdentification](#)
Type changed to: [RestrictedFINXMax16Text on page 118](#)
- on [seev.039.001.13/CorporateActionGeneralInformation/CorporateActionEventIdentification](#)
Synonym (DTCC): CA ID
- on [seev.039.001.13/CorporateActionGeneralInformation/CorporateActionEventIdentification](#)
Comment:
DTCC unique identifier of the event.

4.11.2 OfficialCorporateActionEventIdentification

XML Tag: OffclCorpActnEvtId

Presence: [0..1]

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

Datatype: ["RestrictedFINXMax16Text" on page 118](#)

Usage Guideline details

- on [seev.039.001.13/CorporateActionGeneralInformation/OfficialCorporateActionEventIdentification](#)
Type changed to: [RestrictedFINXMax16Text on page 118](#)
- on [seev.039.001.13/CorporateActionGeneralInformation/OfficialCorporateActionEventIdentification](#)
– **Official Corporate Action Identification Rule:**
Provided for DTC Eligible securities only.
- on [seev.039.001.13/CorporateActionGeneralInformation/OfficialCorporateActionEventIdentification](#)
Synonym (DTCC): Official Reference CA ID
- on [seev.039.001.13/CorporateActionGeneralInformation/OfficialCorporateActionEventIdentification](#)
Comment:
Official corporate action unique identifier.

4.11.3 ClassActionNumber

XML Tag: ClssActnNb

Presence: [0..1]

Definition: Reference assigned by a court to a class action.

Datatype: ["RestrictedFINXMax16Text" on page 118](#)

Usage Guideline details

- This element([seev.039.001.13/CorporateActionGeneralInformation/ClassActionNumber](#)) is removed.
- on [seev.039.001.13/CorporateActionGeneralInformation/ClassActionNumber](#)
Type changed to: [RestrictedFINXMax16Text on page 118](#)

4.11.4 EventType

XML Tag: EvtTp

Presence: [1..1]

Definition: Type of corporate action event.

The **EvtTp** block contains the following elements (see datatype ["CorporateActionEventType107Choice__1" on page 30](#) for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Code	<Cd>	{Or	[1..1]		30
	Proprietary	<Prtry>	Or}	[1..1]		30

Usage Guideline details

- on [seev.039.001.13/CorporateActionGeneralInformation/EventType](#)
Synonym (DTCC): Event Type
- on [seev.039.001.13/CorporateActionGeneralInformation/EventType](#)
Comment:
Type of corporate action event. (e.g., Exchange Offer, Final Paydown).

4.11.5 MandatoryVoluntaryEventType

XML Tag: MndtryVlntryEvtTp

Presence: [1..1]

Definition: Specifies whether the event is mandatory, mandatory with options or voluntary.

The **MndtryVlntryEvtTp** block contains the following elements (see datatype ["CorporateActionMandatoryVoluntary3Choice__1" on page 35](#) for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Code	<Cd>	{Or	[1..1]		35
	Proprietary	<Prtry>	Or}	[1..1]		35

Usage Guideline details

- on seev.039.001.13/CorporateActionGeneralInformation/MandatoryVoluntaryEventType

- Market Practice Usage Rule:

The value is determined by the following rule: Issuer (market announced) and DTC processing values for mandatory voluntary event type are compared and highest "chosable" value is determined. For example if MAND and CHOS were evaluated, CHOS would prevail, if CHOS and VOLU were evaluated VOLU would prevail.

- on seev.039.001.13/CorporateActionGeneralInformation/MandatoryVoluntaryEventType

Synonym (DTCC): DTC Mandatory / Voluntary

- on seev.039.001.13/CorporateActionGeneralInformation/MandatoryVoluntaryEventType

Synonym (DTCC): Declared Mandatory / Voluntary

- on seev.039.001.13/CorporateActionGeneralInformation/MandatoryVoluntaryEventType

Comment:

Specifies the nature of the event as announced by the agent or issuer and processed by DTC.

4.11.6 FinancialInstrumentIdentification

XML Tag: FinInstrmId

Presence: [1..1]

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

The **FinInstrmId** block contains the following elements (see datatype "[SecurityIdentification19__1](#)" on [page 56](#) for details)

 Removed -  Partial Removed -  Ignored -  Partial Ignored -  Details below -

 Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	ISIN	<ISIN>		[0..1]		57
	OtherIdentification	<OthrId>		[0..*]		58
	Description	<Desc>		[0..1]		58

Usage Guideline details

- on seev.039.001.13/CorporateActionGeneralInformation/FinancialInstrumentIdentification

Synonym (DTCC): Event Security ID

- on [seev.039.001.13/CorporateActionGeneralInformation/FinancialInstrumentIdentification](#)
Synonym (DTCC): Event Security ID Type

4.12 CorporateActionMandatoryVoluntary3Choice__1

Definition: Choice between a standard code or a proprietary code to indicate if a corporate action event is mandatory or not.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Code	<Cd>	{Or	[1..1]		35
	Proprietary	<Prtry>	Or}	[1..1]		35

Used in element(s)

"MandatoryVoluntaryEventType" on page 33

4.12.1 Code

XML Tag: Cd

Presence: [1..1]

Definition: Standard code to specify whether the event is mandatory, mandatory with options or voluntary.

Datatype: ["CorporateActionMandatoryVoluntary1Code" on page 108](#)

4.12.2 Proprietary

XML Tag: Prtry

Presence: [1..1]

Definition: Proprietary identification of an event.

The **Prtry** block contains the following elements (see datatype ["GenericIdentification30__1" on page 37](#) for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Identification	<Id>		[1..1]		38
	Issuer	<Issr>		[1..1]		38
	SchemeName	<SchmeNm>		[0..1]		39

Usage Guideline details

- This element(seev.039.001.13/CorporateActionGeneralInformation/MandatoryVoluntaryEvent-Type/Proprietary) is removed.

4.13 DateCode19Choice__1

Definition: Choice between a code or a proprietary code for a date code.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Code	<Cd>	{Or	[1..1]		36
	Proprietary	<Prtry>	Or}	[1..1]		36

Used in element(s)

"DateCode" on page 37

4.13.1 Code

XML Tag: Cd

Presence: [1..1]

Definition: Standard code to specify the type of date.

Datatype: "DateType8Code" on page 110

4.13.2 Proprietary

XML Tag: Prtry

Presence: [1..1]

Definition: Proprietary identification of the type of date.

The **Prtry** block contains the following elements (see datatype "GenericIdentification30__1" on page 37 for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Identification	<Id>		[1..1]		38
	Issuer	<Issr>		[1..1]		38
	SchemeName	<SchmeNm>		[0..1]		39

Usage Guideline details

- This element([seev.039.001.13/CorporateActionDetails/DateDetails/ExDividendDate/Date-Code/Proprietary](#)) is removed.
- This element([seev.039.001.13/CorporateActionDetails/DateDetails/RecordDate/DateCode/Proprietary](#)) is removed.

4.14 DateFormat30Choice__1

Definition: Choice between an ISODate format or a date code.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Date	<Dt>	{Or	[1..1]		37
	DateCode	<DtCd>	Or}	[1..1]		37

Used in element(s)

["ExDividendDate" on page 27](#), ["RecordDate" on page 27](#)

4.14.1 Date

XML Tag: Dt

Presence: [1..1]

Definition: Date expressed as a calendar date.

Datatype: ["ISODate" on page 114](#)

4.14.2 DateCode

XML Tag: DtCd

Presence: [1..1]

Definition: Specifies the type of date.

The **DtCd** block contains the following elements (see datatype ["DateCode19Choice__1" on page 36](#) for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Code	<Cd>	{Or	[1..1]		36
	Proprietary	<Prtry>	Or}	[1..1]		36

4.15 GenericIdentification30__1

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

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Identification	<Id>		[1..1]		38
	Issuer	<Issr>		[1..1]	⚠	38
	SchemeName	<SchmeNm>		[0..1]	⚠	39

Used in element(s)

"Proprietary" on page 30, "Proprietary" on page 35, "Proprietary" on page 36, "Proprietary" on page 28, "Proprietary" on page 22, "Proprietary" on page 45, "Type" on page 43

4.15.1 Identification

XML Tag: Id

Presence: [1..1]

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

Datatype: "Exact4AlphaNumericText" on page 113

4.15.2 Issuer

XML Tag: Issr

Presence: [1..1]

Definition: Entity that assigns the identification.

Datatype: "Max4AlphaNumericText" on page 116

Usage Guideline details

- on **seev.039.001.13/AccountsDetails/AccountsList/SafekeepingPlace/Proprietary/Type/Issuer**
Type changed to: Max4AlphaNumericText on page 116
- on **seev.039.001.13/CorporateActionDetails/AdditionalBusinessProcessIndicator/Proprietary/Issuer**
Type changed to: Max4AlphaNumericText on page 116
- on **seev.039.001.13/CorporateActionDetails/DateDetails/ExDividendDate/DateCode/Proprietary/Issuer**
Type changed to: Max4AlphaNumericText on page 116
- on **seev.039.001.13/CorporateActionDetails/DateDetails/RecordDate/DateCode/Proprietary/Issuer**
Type changed to: Max4AlphaNumericText on page 116
- on **seev.039.001.13/CorporateActionDetails/EventStage/Proprietary/Issuer**

Type changed to: [Max4AlphaNumericText on page 116](#)

- on [seev.039.001.13/CorporateActionDetails/LotteryType/Proprietary/Issuer](#)

Type changed to: [Max4AlphaNumericText on page 116](#)

- on [seev.039.001.13/CorporateActionGeneralInformation/EventType/Proprietary/Issuer](#)

Type changed to: [Max4AlphaNumericText on page 116](#)

- on [seev.039.001.13/CorporateActionGeneralInformation/MandatoryVoluntaryEventType/Proprietary/Issuer](#)

Type changed to: [Max4AlphaNumericText on page 116](#)

4.15.3 SchemeName

XML Tag: SchmeNm

Presence: [0..1]

Definition: Short textual description of the scheme.

Datatype: ["Max4AlphaNumericText" on page 116](#)

Usage Guideline details

- on [seev.039.001.13/AccountsDetails/AccountsList/SafekeepingPlace/Proprietary/Type/SchemeName](#)

Type changed to: [Max4AlphaNumericText on page 116](#)

- on [seev.039.001.13/CorporateActionDetails/AdditionalBusinessProcessIndicator/Proprietary/SchemeName](#)

Type changed to: [Max4AlphaNumericText on page 116](#)

- on [seev.039.001.13/CorporateActionDetails/DateDetails/ExDividendDate/DateCode/Proprietary/SchemeName](#)

Type changed to: [Max4AlphaNumericText on page 116](#)

- on [seev.039.001.13/CorporateActionDetails/DateDetails/RecordDate/DateCode/Proprietary/SchemeName](#)

Type changed to: [Max4AlphaNumericText on page 116](#)

- on [seev.039.001.13/CorporateActionDetails/EventStage/Proprietary/SchemeName](#)

Type changed to: [Max4AlphaNumericText on page 116](#)

- on [seev.039.001.13/CorporateActionDetails/LotteryType/Proprietary/SchemeName](#)

Type changed to: [Max4AlphaNumericText on page 116](#)

- on [seev.039.001.13/CorporateActionGeneralInformation/EventType/Proprietary/SchemeName](#)

Type changed to: [Max4AlphaNumericText on page 116](#)

- on [seev.039.001.13/CorporateActionGeneralInformation/MandatoryVoluntaryEventType/Proprietary/SchemeName](#)

Type changed to: [Max4AlphaNumericText on page 116](#)

4.16 GenericIdentification36__1

Definition: Identification using a proprietary scheme.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Identification	<Id>		[1..1]		40
	Issuer	<Issr>		[1..1]		41
	SchemeName	<SchmeNm>		[0..1]		42

Used in element(s)

"ProprietaryIdentification" on page 51, "ProprietaryIdentification" on page 49

4.16.1 Identification

XML Tag: Id

Presence: [1..1]

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

Datatype: ["RestrictedFINXMax34Text" on page 119](#)

Usage Guideline details

- on [seev.039.001.13/AccountsDetails/AccountsList/AccountOwner/ProprietaryIdentification/Identification](#)
 Type changed to: [RestrictedFINXMax34Text on page 119](#)
- on [seev.039.001.13/DropAgent/ProprietaryIdentification/Identification](#)
 Type changed to: [RestrictedFINXMax34Text on page 119](#)
- on [seev.039.001.13/InformationAgent/ProprietaryIdentification/Identification](#)
 Type changed to: [RestrictedFINXMax34Text on page 119](#)
- on [seev.039.001.13/IssuerAgent/ProprietaryIdentification/Identification](#)
 Type changed to: [RestrictedFINXMax34Text on page 119](#)
- on [seev.039.001.13/PayingAgent/ProprietaryIdentification/Identification](#)
 Type changed to: [RestrictedFINXMax34Text on page 119](#)
- on [seev.039.001.13/PhysicalSecuritiesAgent/ProprietaryIdentification/Identification](#)
 Type changed to: [RestrictedFINXMax34Text on page 119](#)
- on [seev.039.001.13/Registrar/ProprietaryIdentification/Identification](#)

Type changed to: [RestrictedFINXMax34Text on page 119](#)

- on [seev.039.001.13/ResellingAgent/ProprietaryIdentification/Identification](#)

Type changed to: [RestrictedFINXMax34Text on page 119](#)

- on [seev.039.001.13/SolicitationAgent/ProprietaryIdentification/Identification](#)

Type changed to: [RestrictedFINXMax34Text on page 119](#)

- on [seev.039.001.13/SubPayingAgent/ProprietaryIdentification/Identification](#)

Type changed to: [RestrictedFINXMax34Text on page 119](#)

4.16.2 Issuer

XML Tag: Issr

Presence: [1..1]

Definition: Entity that assigns the identification.

Datatype: ["Max4AlphaNumericText" on page 116](#)

Usage Guideline details

- on [seev.039.001.13/AccountsDetails/AccountsList/AccountOwner/ProprietaryIdentification/Issuer](#)

Type changed to: [Max4AlphaNumericText on page 116](#)

- on [seev.039.001.13/DropAgent/ProprietaryIdentification/Issuer](#)

Type changed to: [Max4AlphaNumericText on page 116](#)

- on [seev.039.001.13/InformationAgent/ProprietaryIdentification/Issuer](#)

Type changed to: [Max4AlphaNumericText on page 116](#)

- on [seev.039.001.13/IssuerAgent/ProprietaryIdentification/Issuer](#)

Type changed to: [Max4AlphaNumericText on page 116](#)

- on [seev.039.001.13/PayingAgent/ProprietaryIdentification/Issuer](#)

Type changed to: [Max4AlphaNumericText on page 116](#)

- on [seev.039.001.13/PhysicalSecuritiesAgent/ProprietaryIdentification/Issuer](#)

Type changed to: [Max4AlphaNumericText on page 116](#)

- on [seev.039.001.13/Registrar/ProprietaryIdentification/Issuer](#)

Type changed to: [Max4AlphaNumericText on page 116](#)

- on [seev.039.001.13/ResellingAgent/ProprietaryIdentification/Issuer](#)

Type changed to: [Max4AlphaNumericText on page 116](#)

- on [seev.039.001.13/SolicitationAgent/ProprietaryIdentification/Issuer](#)

Type changed to: [Max4AlphaNumericText on page 116](#)

- on [seev.039.001.13/SubPayingAgent/ProprietaryIdentification/Issuer](#)

Type changed to: [Max4AlphaNumericText on page 116](#)

4.16.3 SchemeName

XML Tag: SchmeNm

Presence: [0..1]

Definition: Short textual description of the scheme.

Datatype: ["Max4AlphaNumericText" on page 116](#)

Usage Guideline details

- on [seev.039.001.13/AccountsDetails/AccountsList/AccountOwner/ProprietaryIdentification/SchemeName](#)
Type changed to: [Max4AlphaNumericText on page 116](#)
- on [seev.039.001.13/DropAgent/ProprietaryIdentification/SchemeName](#)
Type changed to: [Max4AlphaNumericText on page 116](#)
- on [seev.039.001.13/InformationAgent/ProprietaryIdentification/SchemeName](#)
Type changed to: [Max4AlphaNumericText on page 116](#)
- on [seev.039.001.13/IssuerAgent/ProprietaryIdentification/SchemeName](#)
Type changed to: [Max4AlphaNumericText on page 116](#)
- on [seev.039.001.13/PayingAgent/ProprietaryIdentification/SchemeName](#)
Type changed to: [Max4AlphaNumericText on page 116](#)
- on [seev.039.001.13/PhysicalSecuritiesAgent/ProprietaryIdentification/SchemeName](#)
Type changed to: [Max4AlphaNumericText on page 116](#)
- on [seev.039.001.13/Registrar/ProprietaryIdentification/SchemeName](#)
Type changed to: [Max4AlphaNumericText on page 116](#)
- on [seev.039.001.13/ResellingAgent/ProprietaryIdentification/SchemeName](#)
Type changed to: [Max4AlphaNumericText on page 116](#)
- on [seev.039.001.13/SolicitationAgent/ProprietaryIdentification/SchemeName](#)
Type changed to: [Max4AlphaNumericText on page 116](#)
- on [seev.039.001.13/SubPayingAgent/ProprietaryIdentification/SchemeName](#)
Type changed to: [Max4AlphaNumericText on page 116](#)

4.17 GenericIdentification78__1

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

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

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

Used in element(s)

"Proprietary" on page 54

4.17.1 Type

XML Tag: Tp

Presence: [1..1]

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

The **Tp** block contains the following elements (see datatype "[GenericIdentification30__1](#)" on page 37 for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Identification	<Id>		[1..1]		38
	Issuer	<Issr>		[1..1]	⚠	38
	SchemeName	<SchmeNm>		[0..1]	⚠	39

4.17.2 Identification

XML Tag: Id

Presence: [0..1]

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

Datatype: "[RestrictedFINXMax30Text](#)" on page 118

Usage Guideline details

- on [seev.039.001.13/AccountsDetails/AccountsList/SafekeepingPlace/Proprietary/Identification](#)
Type changed to: [RestrictedFINXMax30Text](#) on page 118

4.18 IdentificationSource3Choice__1

Definition: Choice between source of identification of a financial instrument.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Code	<Cd>	{Or	[1..1]		44
	Proprietary	<Prtry>	Or}	[1..1]		44

Used in element(s)

["Type" on page 48](#)

4.18.1 Code

XML Tag: Cd

Presence: [1..1]

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

Datatype: ["ExternalFinancialInstrumentIdentificationType1Code" on page 113](#)

Usage Guideline details

- on [seev.039.001.13/CorporateActionGeneralInformation/FinancialInstrumentIdentification/OtherIdentification/Type/Code](#)

– Market Practice Usage Rule:

ExternalFinancialIdentifierCode must be used.

4.18.2 Proprietary

XML Tag: Prtry

Presence: [1..1]

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

Datatype: ["RestrictedFINExact2Text" on page 117](#)

Usage Guideline details

- on [seev.039.001.13/CorporateActionGeneralInformation/FinancialInstrumentIdentification/OtherIdentification/Type/Proprietary](#)

Type changed to: [RestrictedFINExact2Text on page 117](#)

- on [seev.039.001.13/CorporateActionGeneralInformation/FinancialInstrumentIdentification/OtherIdentification/Type/Proprietary](#)

– Market Practice Usage Rule:

Used when the security identifier type is a Contra CUSIP. Populated with "XX"

4.19 LotteryTypeFormat4Choice__1

Definition: Choice between a standard code or proprietary code to specify the type of lottery.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Code	<Cd>	{Or	[1..1]		45
	Proprietary	<Prtry>	Or}	[1..1]		45

Used in element(s)

"LotteryType" on page 24

4.19.1 Code

XML Tag: Cd

Presence: [1..1]

Definition: Standard code to specify the type of lottery announced.

Datatype: "LotteryType1Code" on page 115

4.19.2 Proprietary

XML Tag: Prtry

Presence: [1..1]

Definition: Proprietary identification of the type of lottery announced.

The **Prtry** block contains the following elements (see datatype "GenericIdentification30__1" on page 37 for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Identification	<Id>		[1..1]		38
	Issuer	<Issr>		[1..1]		38
	SchemeName	<SchmeNm>		[0..1]		39

Usage Guideline details

- This element(seev.039.001.13/CorporateActionDetails/LotteryType/Proprietary) is removed.

4.20 NameAndAddress5__1

Definition: Information that locates and identifies a party.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Name	<Nm>		[1..1]		46
	Address	<Adr>		[0..1]		46

Used in element(s)

["NameAndAddress" on page 50](#)

4.20.1 Name

XML Tag: Nm

Presence: [1..1]

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

Datatype: ["RestrictedFINXMax140Text" on page 117](#)

Usage Guideline details

- on [seev.039.001.13/DropAgent/NameAndAddress/Name](#)
Type changed to: [RestrictedFINXMax140Text on page 117](#)
- on [seev.039.001.13/InformationAgent/NameAndAddress/Name](#)
Type changed to: [RestrictedFINXMax140Text on page 117](#)
- on [seev.039.001.13/IssuerAgent/NameAndAddress/Name](#)
Type changed to: [RestrictedFINXMax140Text on page 117](#)
- on [seev.039.001.13/PayingAgent/NameAndAddress/Name](#)
Type changed to: [RestrictedFINXMax140Text on page 117](#)
- on [seev.039.001.13/PhysicalSecuritiesAgent/NameAndAddress/Name](#)
Type changed to: [RestrictedFINXMax140Text on page 117](#)
- on [seev.039.001.13/Registrar/NameAndAddress/Name](#)
Type changed to: [RestrictedFINXMax140Text on page 117](#)
- on [seev.039.001.13/ResellingAgent/NameAndAddress/Name](#)
Type changed to: [RestrictedFINXMax140Text on page 117](#)
- on [seev.039.001.13/SolicitationAgent/NameAndAddress/Name](#)
Type changed to: [RestrictedFINXMax140Text on page 117](#)
- on [seev.039.001.13/SubPayingAgent/NameAndAddress/Name](#)
Type changed to: [RestrictedFINXMax140Text on page 117](#)

4.20.2 Address

XML Tag: Adr

Presence: [0..1]

Definition: Postal address of the party.

The **Adr** block contains the following elements (see datatype "PostalAddress1" on page 51 for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	AddressType	<AdrTp>		[0..1]		52
	AddressLine	<AdrLine>		[0..5]		52
	StreetName	<StrtNm>		[0..1]		52
	BuildingNumber	<BldgNb>		[0..1]		52
	PostCode	<PstCd>		[0..1]		52
	TownName	<TwnNm>		[0..1]		52
	CountrySubDivision	<CtrySubDvsn>		[0..1]		53
	Country	<Ctry>		[1..1]		53

Usage Guideline details

- This element(seev.039.001.13/DropAgent/NameAndAddress/Address) is removed.
- This element(seev.039.001.13/InformationAgent/NameAndAddress/Address) is removed.
- This element(seev.039.001.13/IssuerAgent/NameAndAddress/Address) is removed.
- This element(seev.039.001.13/PayingAgent/NameAndAddress/Address) is removed.
- This element(seev.039.001.13/PhysicalSecuritiesAgent/NameAndAddress/Address) is removed.
- This element(seev.039.001.13/Registrar/NameAndAddress/Address) is removed.
- This element(seev.039.001.13/ResellingAgent/NameAndAddress/Address) is removed.
- This element(seev.039.001.13/SolicitationAgent/NameAndAddress/Address) is removed.
- This element(seev.039.001.13/SubPayingAgent/NameAndAddress/Address) is removed.

4.21 OtherIdentification1__1

Definition: Other accepted financial instrument's identification than ISIN.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Identification	<Id>		[1..1]		48
	Suffix	<Sfx>		[0..1]		48
	Type	<Tp>		[1..1]		48

Used in element(s)

"OtherIdentification" on page 58

4.21.1 Identification

XML Tag: Id

Presence: [1..1]

Definition: Identification of a security.

Datatype: "RestrictedFINXMax31Text" on page 118

Usage Guideline details

- on seev.039.001.13/CorporateActionGeneralInformation/FinancialInstrumentIdentification/OtherIdentification/Identification

Type changed to: [RestrictedFINXMax31Text on page 118](#)

- on seev.039.001.13/CorporateActionGeneralInformation/FinancialInstrumentIdentification/OtherIdentification/Identification

– Market Practice Usage Rule:

Used for Event Security ID

4.21.2 Suffix

XML Tag: Sfx

Presence: [0..1]

Definition: Identifies the suffix of the security identification.

Datatype: "Max16Text" on page 115

Usage Guideline details

- This element(seev.039.001.13/CorporateActionGeneralInformation/FinancialInstrumentIdentification/OtherIdentification/Suffix) is removed.

4.21.3 Type

XML Tag: Tp

Presence: [1..1]

Definition: Type of the identification.

The **Tp** block contains the following elements (see datatype "IdentificationSource3Choice__1" on page 43 for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Code	<Cd>	{Or	[1..1]		44
	Proprietary	<Prtry>	Or}	[1..1]		44

Usage Guideline details

- on [seev.039.001.13/CorporateActionGeneralInformation/FinancialInstrumentIdentification/OtherIdentification/Type](#)

Synonym (DTCC): Event Security ID Type

4.22 PartyIdentification120Choice__1

Definition: Choice between different formats for the identification of a party.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	AnyBIC	<AnyBIC>	{Or	[1..1]		49
	ProprietaryIdentification	<PrtryId>	Or	[1..1]		49
	NameAndAddress	<NmAndAdr>	Or}	[1..1]		50

Used in element(s)

["DropAgent" on page 15](#),
 ["InformationAgent" on page 16](#),
 ["IssuerAgent" on page 12](#),
 ["PayingAgent" on page 13](#),
 ["PhysicalSecuritiesAgent" on page 14](#),
 ["Registrar" on page 14](#),
 ["ResellingAgent" on page 14](#),
 ["SolicitationAgent" on page 15](#),
 ["SubPayingAgent" on page 13](#)

4.22.1 AnyBIC

XML Tag: AnyBIC

Presence: [1..1]

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

Datatype: ["AnyBICDec2014Identifier" on page 65](#)

4.22.2 ProprietaryIdentification

XML Tag: PrtryId

Presence: [1..1]

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

The **PrtryId** block contains the following elements (see datatype "[GenericIdentification36__1](#)" on [page 40](#) for details)

🚫 Removed - 🚫 Partial Removed - ⬜ Ignored - ⬜ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Identification	<Id>		[1..1]	⚠	40
	Issuer	<Issr>		[1..1]	⚠	41
	SchemeName	<SchmeNm>		[0..1]	⚠	42

4.22.3 NameAndAddress

XML Tag: NmAndAdr

Presence: [1..1]

Definition: Name and address of a party.

The **NmAndAdr** block contains the following elements (see datatype "[NameAndAddress5__1](#)" on [page 45](#) for details)

🚫 Removed - 🚫 Partial Removed - ⬜ Ignored - ⬜ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Name	<Nm>		[1..1]	⚠	46
	Address	<Adr>		[0..1]	🚫	46

4.23 PartyIdentification127Choice__1

Definition: Choice of identification of a party.

🚫 Removed - 🚫 Partial Removed - ⬜ Ignored - ⬜ Partial Ignored - ⚠ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	AnyBIC	<AnyBIC>	{Or	[1..1]		51
	ProprietaryIdentification	<PrtryId>	Or}	[1..1]		51

Used in element(s)

["AccountOwner"](#) on [page 20](#)

4.23.1 AnyBIC

XML Tag: AnyBIC

Presence: [1..1]

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

Datatype: "AnyBICDec2014Identifier" on page 65

4.23.2 ProprietaryIdentification

XML Tag: PrtryId

Presence: [1..1]

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

The **PrtryId** block contains the following elements (see datatype "[GenericIdentification36__1](#)" on page 40 for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Identification	<Id>		[1..1]		40
	Issuer	<Issr>		[1..1]		41
	SchemeName	<SchmeNm>		[0..1]		42

4.24 PostalAddress1

Definition: Information that locates and identifies a specific address, as defined by postal services.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	AddressType	<AdrTp>		[0..1]		52
	AddressLine	<AdrLine>		[0..5]		52
	StreetName	<StrtNm>		[0..1]		52
	BuildingNumber	<BldgNb>		[0..1]		52
	PostCode	<PstCd>		[0..1]		52
	TownName	<TwnNm>		[0..1]		52
	CountrySubDivision	<CtrySubDvsn>		[0..1]		53
	Country	<Ctry>		[1..1]		53

Used in element(s)

"Address" on page 46

4.24.1 **AddressType**

XML Tag: AdrTp

Presence: [0..1]

Definition: Identifies the nature of the postal address.

Datatype: "AddressType2Code" on page 64

4.24.2 **AddressLine**

XML Tag: 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 117

4.24.3 **StreetName**

XML Tag: StrtNm

Presence: [0..1]

Definition: Name of a street or thoroughfare.

Datatype: "Max70Text" on page 117

4.24.4 **BuildingNumber**

XML Tag: BldgNb

Presence: [0..1]

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

Datatype: "Max16Text" on page 115

4.24.5 **PostCode**

XML Tag: 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 115

4.24.6 **TownName**

XML Tag: TwnNm

Presence: [0..1]

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

Datatype: "Max35Text" on page 116

4.24.7 CountrySubDivision

XML Tag: CtrySubDvsn

Presence: [0..1]

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

Datatype: "Max35Text" on page 116

4.24.8 Country

XML Tag: Ctry

Presence: [1..1]

Definition: Nation with its own government.

Datatype: "CountryCode" on page 109

4.25 SafekeepingPlaceFormat42Choice__1

Definition: Choice of formats for a place of safekeeping.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Identification	<Id>	{Or	[1..1]		53
	Country	<Ctry>	Or	[1..1]		54
	DigitalLedgerIdentification	<DgtlLdgrId>	Or	[1..1]		54
	TypeAndIdentification	<TpAndId>	Or	[1..1]		54
	Proprietary	<Prtry>	Or}	[1..1]		54

Used in element(s)

"SafekeepingPlace" on page 20

4.25.1 Identification

XML Tag: Id

Presence: [1..1]

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

The **Id** block contains the following elements (see datatype "SafekeepingPlaceTypeAndText6__1" on page 55 for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	SafekeepingPlaceType	<SfkpgPlcTp>		[1..1]		56
	Identification	<Id>		[0..1]		56

4.25.2 Country

XML Tag: Ctry

Presence: [1..1]

Definition: Place of safekeeping expressed with a country code.

Datatype: "CountryCode" on page 109

4.25.3 DigitalLedgerIdentification

XML Tag: DgtlLdgrId

Presence: [1..1]

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

Datatype: "DTI2024Identifier" on page 110

4.25.4 TypeAndIdentification

XML Tag: TpAndId

Presence: [1..1]

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

The **TpAndId** block contains the following elements (see datatype "SafekeepingPlaceTypeAndIdentification1" on page 55 for details)

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	SafekeepingPlaceType	<SfkpgPlcTp>		[1..1]		55
	Identification	<Id>		[1..1]		55

4.25.5 Proprietary

XML Tag: Prtry

Presence: [1..1]

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

The **Prtry** block contains the following elements (see datatype "GenericIdentification78__1" on page 42 for details)

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

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

4.26 SafekeepingPlaceTypeAndIdentification1

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

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	SafekeepingPlaceType	<SfkpgPlcTp>		[1..1]		55
	Identification	<Id>		[1..1]		55

Used in element(s)

"TypeAndIdentification" on page 54

4.26.1 SafekeepingPlaceType

XML Tag: SfkpgPlcTp

Presence: [1..1]

Definition: Place of safekeeping as a code.

Datatype: "SafekeepingPlace1Code" on page 120

4.26.2 Identification

XML Tag: Id

Presence: [1..1]

Definition: Place of safekeeping.

Datatype: "AnyBICDec2014Identifier" on page 65

4.27 SafekeepingPlaceTypeAndText6__1

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

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	SafekeepingPlaceType	<SfkpgPlcTp>		[1..1]		56
	Identification	<Id>		[0..1]		56

Used in element(s)

"Identification" on page 53

4.27.1 SafekeepingPlaceType

XML Tag: SfkpgPlcTp

Presence: [1..1]

Definition: Place of safekeeping as a code.

Datatype: "SafekeepingPlace2Code" on page 121

4.27.2 Identification

XML Tag: Id

Presence: [0..1]

Definition: Additional information about the place of safekeeping.

Datatype: "RestrictedFINXMax30Text" on page 118

Usage Guideline details

- on seev.039.001.13/AccountsDetails/AccountsList/SafekeepingPlace/Identification/Identification

Type changed to: [RestrictedFINXMax30Text on page 118](#)

4.28 SecurityIdentification19__1

Definition: Identification of a security.

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

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	ISIN	<ISIN>		[0..1]		57
	OtherIdentification	<OthrId>		[0..*]		58
	Description	<Desc>		[0..1]		58

Rules

R3 DescriptionPresenceRule ✓

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

Error handling:

- Error severity: Fatal
- Error Code: X00192

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

R4 OtherIdentificationPresenceRule ✓

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

Error handling:

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

R5 ISINPresenceRule ✓

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

Error handling:

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

R6 DescriptionUsageRule

Description must be used alone as the last resort.

Error handling: Undefined

R7 ISINGuideline

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

Error handling: Undefined

Used in element(s)

"FinancialInstrumentIdentification" on page 34

4.28.1 ISIN

XML Tag: ISIN

Presence: [0..1]

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

Datatype: "ISINOct2015Identifier" on page 114

Usage Guideline details

- on [seev.039.001.13/CorporateActionGeneralInformation/FinancialInstrumentIdentification/ISIN](#)
 - **Market Practice Implementation Rules:**

Security ID Type will not be mapped in this case because this tag assumes it is ISIN.

- on [seev.039.001.13/CorporateActionGeneralInformation/FinancialInstrumentIdentification/ISIN](#)
 - **Market Practice Usage Rule:**
Used when security identifier ISIN is available.

4.28.2 OtherIdentification

XML Tag: OthrlId

Presence: [0..*]

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

The **OthrlId** block contains the following elements (see datatype "[OtherIdentification1__1](#)" on page 47 for details)

🚫 Removed - 🚫 Partial Removed - 🔹 Ignored - 🔹 Partial Ignored - ⚠️ Details below -
M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	Identification	<Id>		[1..1]	⚠️	48
	Suffix	<Sfx>		[0..1]	🚫	48
	Type	<Tp>		[1..1]	⚠️	48

Usage Guideline details

- on [seev.039.001.13/CorporateActionGeneralInformation/FinancialInstrumentIdentification/OtherIdentification](#)
 - **Market Practice Usage Rule:**
Used when other than ISIN security identifiers are available. This component will be repeated for every identifier available.

4.28.3 Description

XML Tag: Desc

Presence: [0..1]

Definition: Textual description of a security instrument.

Datatype: "[RestrictedFINXMax140Text](#)" on page 117

Usage Guideline details

- on [seev.039.001.13/CorporateActionGeneralInformation/FinancialInstrumentIdentification/Description](#)
Type changed to: [RestrictedFINXMax140Text](#) on page 117

- on seev.039.001.13/CorporateActionGeneralInformation/FinancialInstrumentIdentification/Description
Synonym (DTCC): Event Security Description
- on seev.039.001.13/CorporateActionGeneralInformation/FinancialInstrumentIdentification/Description
Comment:
Description of the security.

4.29 SupplementaryData1

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

🚫 Removed - 🚫 Partial Removed - ⬜ Ignored - ⬜ Partial Ignored - ⚠ Details below -
 M Mandatory - R[x..x] Repeatability[details]

Index	Message Item	<XML Tag>	Or	Mult.	Usage Guidelines	Page
	PlaceAndName	<PlcAndNm>		[0..1]	🚫	59
	Envelope	<Envlp>		[1..1]		59

Rules

R14 SupplementaryDataRule

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

Error handling: Undefined

Used in element(s)

"SupplementaryData" on page 16

4.29.1 PlaceAndName

XML Tag: PlcAndNm

Presence: [0..1]

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

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

Datatype: "Max350Text" on page 116

Usage Guideline details

- This element(seev.039.001.13/SupplementaryData/PlaceAndName) is removed.

4.29.2 Envelope

XML Tag: Envp

Presence: [1..1]

Definition: Technical element wrapping the supplementary data.

5 Message Datatypes

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

5.1 AdditionalBusinessProcess8Code

Definition: Specifies the additional business process linked to a corporate action event such as an automatic market claim.

Type: CodeSet

Code	Name	Definition
CONS	Consent	Relates to a consent within a corporate action event other than a Consent event (: 22F:: CAEV//CONS). Usage Guideline restrictions for this code on seev.039.001.13/Corporate-ActionDetails/AdditionalBusinessProcessIndicator/Code/Consent Synonym (DTCC): Consent
FPRE	FullPrefunding	Full pre-funding of a debt instrument by the issuer prior to original maturity when the issuer deposits assets in trust. Applicable only in the frame of a partial defeasance corporate action event. Usage Guideline restrictions for this code on seev.039.001.13/Corporate-ActionDetails/AdditionalBusinessProcessIndicator/Code/FullPrefunding Synonym (DTCC): Full Prerefunding
PPRE	PartialPreFunding	Partial pre-funding of a debt instrument prior to maturity drawn through a lottery process. One new security is issued with an earlier maturity date for the refunded (called portion) and the other new security is issued with the original maturity date for the non refunded (remaining) portion. Applicable only in the frame of a partial defeasance corporate action event.

Code	Name	Definition
		Usage Guideline restrictions for this code • on seev.039.001.13/Corporate-ActionDetails/AdditionalBusinessProcessIndicator/Code/PartialPreFunding Synonym (DTCC): Partial Pre Re-funding
PPUT	PartialMandatoryPutRedemption	Partial mandatory exchange of a portion of bonds where the exchanged securities are usually remarketed. The issuer may offer holders the right to retain instead of exchanging their securities. A lottery will be used to determine eligibility for the event. Usage Guideline restrictions for this code • on seev.039.001.13/Corporate-ActionDetails/AdditionalBusinessProcessIndicator/Code/PartialMandatoryPutRedemption Synonym (DTCC): Partial Mandatory Put

Used in element(s)

"Code" on page 22

Restricts

"AdditionalBusinessProcessCode" on page 62

5.2 AdditionalBusinessProcessCode

Definition: Specifies the additional business process linked to a corporate action event such as an automatic market claim.

Type: CodeSet

Code	Name	Definition
ACLA	AutomaticMarketClaim	Will automatically give rise to market claims by the account servicer, for example, a Central Securities Depository (CSD).
ATXF	SubjectToTransformation	As a result of the corporate action, all transactions in the underlying security

Code	Name	Definition
		will be cancelled by the system and replaced with transactions in the outturn resource(s).
CLAI	ClaimOrCompensation	Relates to a claim on the associated corporate action event.
CLFT	FullTransferOfReceivedProceeds	Market Claim is to transfer proceeds received from the issuer to the entitled party.
CLNT	PartialTransferOfReceivedProceeds	Market Claim is to transfer proceeds partially received from the issuer to the entitled party. Part is compensated in cash by the party that failed to fulfil its obligation.
CLPT	NoTransferOfReceivedProceeds	Market Claim is to compensate the entitled party in cash by the party that failed to fulfil its obligation. No proceeds have been received from the issuer.
CNTR	CancelUnderlyingTrades	As a result of the corporate action, all transactions in the underlying security will be cancelled by the system.
CONS	Consent	Relates to a consent within a corporate action event other than a Consent event (: 22F:: CAEV//CONS).
FPRE	FullPrefunding	Full pre-funding of a debt instrument by the issuer prior to original maturity when the issuer deposits assets in trust. Applicable only in the frame of a partial defeasance corporate action event.
INCP	IncentivePremiumPayment	The event is a payment of an incentive premium related to the voting conditions prescribed at a general meeting.
NAMC	NoAutomaticMarketClaimsAndTransformations	Event will not automatically give rise to market claims and transformations by the account servicer, for example, a Central Securities Depository (CSD).
NPLE	NoSplitElection	Issuer only allows a single option to be selected per designated holding.
PPRE	PartialPreFunding	Partial pre-funding of a debt instrument prior to maturity drawn through a lottery process. One new security is issued with an earlier maturity date for the refunded (called portion) and the other new security is issued with the original maturity date for the non refunded (remaining) portion. Applicable only in the frame of a partial defeasance corporate action event.
PPUT	PartialMandatoryPutRedemption	Partial mandatory exchange of a portion of bonds where the exchanged securities are usually remarketed. The issuer may offer holders the right to retain instead of exchanging their securities. A lottery will be used to determine eligibility for the event.

Code	Name	Definition
REAC	RequiredAction	Proceeds / entitlements of the mandatory event can only be paid if specified action is taken by the account owner.
REVR	NotificationOfReversal	Indicates a preadvice of movement reversal.
SCHM	SchemeOrPlanOfArrangement	Component event of a scheme/plan of arrangement: a reorganisation of a company or a group of companies, and their capital.
TAXR	TaxRefund	Relates to a tax refund from the authorities on the associated corporate action event.

Is restricted by

["AdditionalBusinessProcess8Code" on page 61](#)

5.3 AddressType2Code

Definition: Specifies the type of address.

Type: CodeSet

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

Used in element(s)

["AddressType" on page 52](#)

Restricts

["AddressTypeCode" on page 64](#)

5.4 AddressTypeCode

Definition: Specifies the type of address.

Type: CodeSet

Code	Name	Definition
ADDR	Postal	Address is the complete postal address.
BIZZ	Business	Address is the business address.

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

Is restricted by

["AddressType2Code" on page 64](#)

5.5 AnyBICDec2014Identifier

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

Type: IdentifierSet

Format

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

Rules

R12 AnyBIC ✓

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

Error handling:

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

Used in element(s)

["AnyBIC" on page 51](#), ["AnyBIC" on page 49](#), ["Identification" on page 55](#)

5.6 CorporateActionCancellationReason1Code

Definition: Specifies reasons for cancellation of a corporate action event.

Type: CodeSet

Code	Name	Definition
PROC	Processing	Cancellation due to a processing error.

Code	Name	Definition
		Usage Guideline restrictions for this code • on seev.039.001.13/CancellationAdviceGeneralInformation/CancellationReason-Code/Processing – DTCC Processing Rule: Event was deleted by the validation service due to error. • on seev.039.001.13/CancellationAdviceGeneralInformation/CancellationReason-Code/Processing Synonym (DTCC): Deleted
WITH	Withdrawal	Cancellation due to the corporate action event being cancelled by the issuer. Usage Guideline restrictions for this code • on seev.039.001.13/CancellationAdviceGeneralInformation/CancellationReason-Code/Withdrawal – DTCC Withdrawal Rule: Event was withdrawn by the issuer or offeror. • on seev.039.001.13/CancellationAdviceGeneralInformation/CancellationReason-Code/Withdrawal Synonym (DTCC): Cancelled

Used in element(s)

"CancellationReasonCode" on page 25

Restricts

"CorporateActionCancellationReasonCode" on page 66

5.7 CorporateActionCancellationReasonCode

Definition: Specifies reasons for cancellation of a corporate action event.

Type: CodeSet

Code	Name	Definition
PROC	Processing	Cancellation due to a processing error.
WITH	Withdrawal	Cancellation due to the corporate action event being cancelled by the issuer.

Is restricted by

"CorporateActionCancellationReason1Code" on page 65

5.8 CorporateActionEventStage4Code

Definition: Specifies the stage of the CA lottery event.

Type: CodeSet

Code	Name	Definition
FULL	CancellationAndReRun	Cancellation and re-run of an original lottery or an original and supplemental lottery. A subsequent lottery will be performed under a new event.
PART	SupplementalCancellationAndReRun	Cancellation and re-run of a supplemental lottery only. A subsequent new supplemental lottery will be performed under the original event.
RESC	SupplementalCancellation	A supplemental lottery is being cancelled by the issuer. No subsequent lottery will be performed.

Used in element(s)

"Code" on page 28

Restricts

"CorporateActionEventStageV2Code" on page 67

5.9 CorporateActionEventStageV2Code

Definition: Specifies the stage of the corporate action event.

Type: CodeSet

Code	Name	Definition
APPD	Approved	Approved at the relevant meeting, for example, dividend.
CLDE	Deactivated	Offer is closed for acceptance.
FULL	CancellationAndReRun	Cancellation and re-run of an original lottery or an original and supplemental lottery. A subsequent lottery will be performed under a new event.

Code	Name	Definition
LAPS	Lapsed	Event/offer conditions have not been met and the event/offer is terminated or lapsed.
PART	SupplementalCancellationAndReRun	Cancellation and re-run of a supplemental lottery only. A subsequent new supplemental lottery will be performed under the original event.
PWAL	ActionPeriod	Open for acceptance until the next specified deadline in the announcement (if any).
RESC	SupplementalCancellation	A supplemental lottery is being cancelled by the issuer. No subsequent lottery will be performed.
SUAP	SubjectToApproval	Subject to approval at the relevant meeting, for example, dividend.
UNAC	UnconditionalAsToAcceptance	The required level of acceptances specified in the terms of the offer has been achieved but there are still outstanding conditions to fulfil.
WHOU	WhollyUnconditional	Wholly unconditional; all conditions specified in the offer document have been satisfied.

Is restricted by

"CorporateActionEventStage4Code" on page 67

5.10 CorporateActionEventType35Code

Definition: Specifies the corporate action event type.

Type: CodeSet

Code	Name	Definition
ACCU	Accumulation	Funds related event in which the income (for example accumulation units) that accrues during an accounting period is retained within the fund instead of being paid away to investors. The retained income is nonetheless deemed to have been distributed to investors for tax purposes. Usage Guideline restrictions for this code • This code(seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/Accumulation) is removed.

Code	Name	Definition
ACTV	ActiveTradingStatus	Trading in the security has commenced or security has been re-activated after a suspension in trading. Usage Guideline restrictions for this code • This code(seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/ActiveTradingStatus) is removed.
ATTI	Attachment	Combination of different security types to create a unit. Units are usually comprised of warrants and bonds or warrants and equities. Securities may be combined at the request of the security holder or based on market convention. Usage Guideline restrictions for this code • This code(seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/Attachment) is removed.
BIDS	RepurchaseOffer	Repurchase offer / issuer bid / reverse rights. Offer to existing holders by the issuing company to repurchase its own securities. The objective of the offer is to reduce the number of outstanding securities. Usage Guideline restrictions for this code • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/RepurchaseOffer Synonym (DTCC): Tender Offer • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/RepurchaseOffer Comment: Offer made to security holders, requesting them to sell (tender) their securities for a specified price (usually at

Code	Name	Definition
		a premium over prevailing market prices).
BONU	BonusIssue	Bonus or capitalisation issue. Security holders receive additional assets free of payment from the issuer, in proportion to their holding. Usage Guideline restrictions for this code • This code(seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/BonusIssue) is removed.
BPUT	PutRedemption	Early redemption of a security at the election of the holder subject to the terms and condition of the issue with no reduction in nominal value. Usage Guideline restrictions for this code • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/PutRedemption Synonym (DTCC): Mandatory Put • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/PutRedemption Synonym (DTCC): Put • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/PutRedemption Synonym (DTCC): Partial Mandatory Put • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/PutRedemption Comment: Mandatory Put: mandatory exchange of all outstanding bonds (with a Put feature) for cash. The issuer may offer holders the right to retain their se-

Code	Name	Definition
		curities instead of exchanging them. Partial Mandatory Put: mandatory exchange of a portion of bonds, where the exchanged securities maybe remarketed. The issuer may offer holders the right to retain instead of exchanging their securities. Put: feature of a bond that entitles the holder to elect to surrender the bond for cash during a predetermined time period, with a predetermined payable date.
BRUP	Bankruptcy	Legal status of a company unable to pay creditors. Bankruptcy usually involves a formal court ruling. Securities may become valueless. Usage Guideline restrictions for this code • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/Bankruptcy Synonym (DTCC): Plan of Reorganisation (Vote) • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/Bankruptcy Comment: Plan of Reorganisation (Vote): reorganisation plan devised by the company or trustees that is usually associated with a bankruptcy filing. Identifies an event where a vote/consent is sought for the plan of reorganisation.
CAPD	CapitalDistribution	Corporate event pays shareholders an amount in cash issued from the capital account. There is no reduction to the face value of a single share (or the share has no par value). The number of circulating shares remains unchanged. Usage Guideline restrictions for this code • on seev.039.001.13/CorporateActionGeneralInforma-

Code	Name	Definition
		tion/EventType/Code/CapitalDistribution Synonym (DTCC): Return of Capital (Opt Out) • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/CapitalDistribution Synonym (DTCC): Return of Capital • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/CapitalDistribution Synonym (DTCC): Return of Capital (DRIP DTC Only) • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/CapitalDistribution Comment: Distribution of cash resulting from the sale of a capital asset or securities, or any other transaction unrelated to retained earnings. Security holders may have to adjust the 'cost basis' of their holding to account for the payment.
CAPG	CapitalGainsDistribution	Event is the distribution of profits resulting from the sale of securities. Shareholders of mutual funds, unit trusts, or SICAVs are recipients of capital gains distributions and are often reinvested in additional shares of the fund. Usage Guideline restrictions for this code • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/CapitalGainsDistribution Synonym (DTCC): Capital Gains Distribution • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/CapitalGainsDistribution Comment:

Code	Name	Definition
		Distribution of cash that the issuer has determined will be declared as income financed from capital gains and not ordinary income.
CAPI	Capitalisation	Increase of the current principal of a debt instrument without increasing the nominal value. It normally arises from the incorporation of due but unpaid interest into the principal. This is commonly done by increasing the pool factor value, for example, capitalisation, and negative amortisation. Usage Guideline restrictions for this code on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/Capitalisation Synonym (DTCC): Principal
CERT	NonUSTEFRADCertification	Non-US beneficial owner certification requirement for exchange of temporary to permanent notes. Usage Guideline restrictions for this code This code(seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/NonUSTEFRADCertification) is removed.
CHAN	Change	Information regarding a change further described in the corporate action details. Usage Guideline restrictions for this code - on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/Change Synonym (DTCC): Name Change - on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/Change Synonym (DTCC): Change

Code	Name	Definition
		• on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/Change Comment: Change: issuer is announcing a change in company or security details. Name Change: issuer changes its name or the name of its security(ies). This may involve surrendering physical securities. A new security identifier may be assigned to the new name, especially when new securities are issued.
CLSA	ClassActionProposedSettlement	Situation where interested parties seek restitution for financial loss. The security holder may be offered the opportunity to join a class action proceeding and would need to respond with an instruction. Usage Guideline restrictions for this code • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/ClassActionProposedSettlement Synonym (DTCC): Class Action
CONS	Consent	Procedure that aims to obtain consent of holder to a proposal by the issuer or a third party without convening a meeting. For example, consent to change the terms of a bond. Usage Guideline restrictions for this code • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/Consent Synonym (DTCC): Consent • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/Consent Comment: Solicitation to security holders for their agreement (consent) to proposed changes in the terms of the security, usually without a formal gen-

Code	Name	Definition
		eral meeting. A fee may be paid to the security holder.
CONV	Conversion	Conversion of securities (generally convertible bonds or preferred shares) into another form of securities (usually common shares) at a pre-stated price/ratio. Usage Guideline restrictions for this code • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/Conversion Synonym (DTCC): Conversion • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/Conversion Comment: Conversion of securities (generally convertible bonds or preferred shares) into another form of securities (usually common shares) at a pre-stated price or rate.
COOP	CompanyOption	Company option may be granted by the company, allowing the holder to take up shares at some future date(s) at a pre arranged price in the company. A company may not grant options which enable the holder to take up unissued shares at a time which is five or more years from the date of the grant. Option holders are not members of a company. They are contingent creditors of a company and hence may, in some instances, be entitled to vote on and be bound by a scheme of arrangement between the creditors and the company. As many options have multiple exercise periods a company option will either lapse or carry on to the next expiry date. Usage Guideline restrictions for this code • This code(seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/CompanyOption) is removed.

Code	Name	Definition
CREV	CreditEvent	Occurrence of credit derivative for which the issuer of one or several underlying securities is unable to fulfill its financial obligations (as defined in terms and conditions). Usage Guideline restrictions for this code • This code(seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/CreditEvent) is removed.
DECR	DecreaseInValue	Reduction of face value of a single share or the value of fund assets. The number of circulating shares/units remains unchanged. This event may include a cash payout to holders. Usage Guideline restrictions for this code • This code(seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/DecreaseInValue) is removed.
DETI	Detachment	Separation of components that comprise a security, for example, usually units comprised of warrants and bond or warrants and equity. Units may be broken up at the request of the security holder or based on market convention. Usage Guideline restrictions for this code • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/Detachment Synonym (DTCC): Security Separation • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/Detachment Comment: Separation of a "unit" security (which consists of 2 or more securities that were original-

Code	Name	Definition
		ly issued) back into individual components.
DFLT	BondDefault	Failure by the company to perform obligations defined as default events under the bond agreement and that have not been remedied. Usage Guideline restrictions for this code • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/BondDefault Synonym (DTCC): Default • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/BondDefault Comment: Notice of failure by the issuer to honor commitments made within the terms of the issued security. It usually relates to making timely payments of interest and principal as they come due. A payment may be made in lieu of reinstituting the original payments.
DLST	TradingStatusDelisted	Security is no longer able to comply with the listing requirements of a stock exchange and is removed from official board quotation. Usage Guideline restrictions for this code • This code(seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/TradingStatusDelisted) is removed.
DRAW	Drawing	Securities are redeemed in part before the scheduled final maturity date. It is done without any pool factor reduction. The redemption is reflected in a debit of the face amount (FAMT). Drawing is distinct from partial call since drawn bonds are chosen by lottery. Therefore, not every holder is affected in the same way.

Code	Name	Definition
		Usage Guideline restrictions for this code • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/Drawing Synonym (DTCC): Partial Call • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/Drawing Comment: Securities are redeemed by the issuer for cash, in part, before their scheduled maturity date. The outstanding amount of securities will be proportionally reduced based on a specific percentage of holding. A lottery may be run where pooled securities are held.
DRCA	CashDistributionFromNonEligibleSecurities-Sales	Distribution to shareholders of cash resulting from the selling of non-eligible securities, for example, in the frame of a depositary receipt program. Usage Guideline restrictions for this code • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/CashDistributionFromNonEligibleSecuritiesSales Synonym (DTCC): Sale of Rights (ADR) • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/CashDistributionFromNonEligibleSecuritiesSales Synonym (DTCC): Return of Capital (Sale of Assets) • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/CashDistributionFromNonEligibleSecuritiesSales Comment: This event will be used for the scenarios where securities are

Code	Name	Definition
		subject to redemptions other than full and partial calls. Specifically, when there is a feature of the security that allows the issuer to make a payment to the security holder. Sale of Rights (ADR) is defined as a corporate action event where the rights are ineligible and must be sold, thus the holder can only receive cash for them. Return of Capital (ADR) is defined as corporate action event where the securities other than rights are ineligible and must be sold, thus the holder can only receive cash.
DRIP	DividendReinvestment	Dividend payment where holders can keep cash or have the cash reinvested in the market by the issuer into additional shares in the issuing company. To be distinguished from DVOP as the company invests the dividend in the market rather than creating new share capital in exchange for the dividend. Usage Guideline restrictions for this code • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/DividendReinvestment – Market Practice Implementation Rules: Used when the event type is Automatic Dividend Reinvestment or Cash Dividend or Special Dividend with sub event type Issuer DRIP (dividend reinvestment). • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/DividendReinvestment Synonym (DTCC): Automatic Dividend Reinvestment • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/DividendReinvestment Comment: Automatic Dividend Reinvestment: mandatory event for which

Code	Name	Definition
		the dividend payment is paid only in additional shares of the same security. This event type will predominantly be used for US securities and differs from the Dividend Reinvestment option (a voluntary portion of the event that applies to non-US securities). "DRIP" also appears as an option under relevant events.
DSCL	Disclosure	Requirement for holders or beneficial owners to disclose their name, location and holdings of any issue to the issuer. Usage Guideline restrictions for this code • This code (see v.039.001.13/CorporateActionGeneralInformation/EventType/Code/Disclosure) is removed.
DTCH	DutchAuction	Action by a party wishing to acquire a security. Holders of the security are invited to make an offer to sell, within a specific price range. The acquiring party will buy from the holder with lowest offer. Usage Guideline restrictions for this code • on see v.039.001.13/CorporateActionGeneralInformation/EventType/Code/DutchAuction Synonym (DTCC): Dutch Auction • on see v.039.001.13/CorporateActionGeneralInformation/EventType/Code/DutchAuction Comment: Identifies a tender event in which the corporation offers to purchase up to a certain amount of securities within a price range. Holders must submit a specific price within that range that they would be willing to accept. The actual tender price is not determined until the end of the offer.
DVCA	CashDividend	Distribution of cash to holders, in proportion to their equity holding. Ordinary dividends are recurring and regular. Hold-

Code	Name	Definition
		er must take cash and may be offered a choice of currencies. Usage Guideline restrictions for this code • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/CashDividend – Market Practice Implementation Rules: Used when the event type is Cash Dividend with no sub event type, or sub event types DTC DRIP (DTC announcement dividend reinvestment and opt out, or special dividend event type. When event type is special dividend, DividendType:SPEC code must be used in core schema. • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/CashDividend Synonym (DTCC): Special Dividend • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/CashDividend Synonym (DTCC): Cash Dividend • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/CashDividend Comment: Cash Dividend: distribution of cash to shareholders, paid by the issuer, usually based upon current earnings and/or accumulated profits as declared by the board of directors. Special Dividend: cash payment to shareholders that represents an extra or non-regular payment.
DVOP	DividendOption	Distribution of a dividend to holders with a choice of benefit to receive additional

Code	Name	Definition
		securities or cash. To be distinguished from DRIP as the company creates new share capital in exchange for the dividend rather than investing the dividend in the market. Usage Guideline restrictions for this code • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/DividendOption Synonym (DTCC): Dividend With Option • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/DividendOption Comment: Distribution of a dividend to shareholders with the choice of payment method. The shareholder has the option to choose the form of payment (e.g. securities, cash, or both).
DVSC	ScripDividend	Dividend or interest paid in the form of scrip. Usage Guideline restrictions for this code • This code(seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/ScripDividend) is removed.
DVSE	StockDividend	Dividend paid to shareholders in the form of equities of the issuing corporation. Usage Guideline restrictions for this code • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/StockDividend Synonym (DTCC): Stock Dividend • on seev.039.001.13/CorporateActionGeneralInforma-

Code	Name	Definition
		tion/EventType/Code/StockDividend Comment: Dividend paid to shareholders in the form of shares of stock of the same security.
EXOF	Exchange	Exchange of holdings for other securities and/or cash. The exchange can be either mandatory or voluntary involving the exchange of outstanding securities for different securities and/or cash. For example "exchange offer", "capital reorganisation" or "funds separation". Usage Guideline restrictions for this code • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/Exchange Synonym (DTCC): Exchange Offer • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/Exchange Synonym (DTCC): Mandatory Exchange • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/Exchange Synonym (DTCC): Termination • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/Exchange Comment: Exchange Offer: offer to surrender securities in exchange for other securities or a combination of securities and cash. The exchange may also include a consent solicitation. Mandatory Exchange: required surrender of certificates to be exchanged for a new security or cash. Termination: security, usually a form of a derivative for which the agent or issuer has decided to terminate the derivative based on a change to

Code	Name	Definition
		the underlying security(ies) or a change in strategy.
EXRI	CallOnIntermediateSecurities	Call or exercise on nil paid securities or intermediate securities resulting from an intermediate securities distribution (RHD). This code is used for the second event, when an intermediate securities' issue (rights/coupons) is composed of two events, the first event being the distribution of intermediate securities. Usage Guideline restrictions for this code • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/CallOnIntermediateSecurities – Market Practice Usage Rule: Identifies Rights Subscription. Rights are announced as two separate events: Rights Distribution and Rights Subscription events. • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/CallOnIntermediateSecurities Synonym (DTCC): Rights Subscription • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/CallOnIntermediateSecurities Synonym (DTCC): Sale of Rights (Poison Pill) • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/CallOnIntermediateSecurities Comment: Rights Subscription is defined as privilege granted to holders of rights to purchase new or additional securities. Rights are often tradable in a secondary market. Sale of Rights (Poison Pill) is defined as an event where the

Code	Name	Definition
		issuer redeems poison pill rights for cash.
EXTM	MaturityExtension	As stipulated in the security's Terms and Conditions, the issuer or the holder may prolong the maturity date of a security. After extension, the security details may differ from the original issue. An issuer initiated extension may be subject to holder's approval. Usage Guideline restrictions for this code • This code(seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/MaturityExtension) is removed.
EXWA	WarrantExercise	Option offered to holders to buy (call warrant) or to sell (put warrant) a specific amount of stock, cash, or commodity, at a predetermined price, during a predetermined period of time (which usually corresponds to the life of the issue). Usage Guideline restrictions for this code • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/WarrantExercise Synonym (DTCC): Warrants Exercise • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/WarrantExercise Comment: Feature of a security that permits the holder to exercise an option to exchange the security into another form (usually, warrants into shares). The exercise will commonly require a payment based upon a predetermined value and time.
INCR	IncreaseInValue	Increase in the face value of a single security. The number of circulating securities remains unchanged.

Code	Name	Definition
		Usage Guideline restrictions for this code • This code(seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/IncreaseIn-Value) is removed.
INFO	Information	Information provided by the issuer having no accounting/financial impact on the holder. Usage Guideline restrictions for this code • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/Information Synonym (General Info): DTCC
INTR	InterestPayment	Interest payment distributed to holders of an interest bearing asset. Usage Guideline restrictions for this code • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/Interest-Payment – Market Practice Usage Rule: Interest and Principal event types are announced as separate events. • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/Interest-Payment Synonym (DTCC): Interest • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/Interest-Payment Comment: Payment of an obligation that the issuer agrees to make to holders of an interest-bearing security. Usually, the pay-

Code	Name	Definition
		ment is made in cash and on a scheduled basis.
LIQU	LiquidationDividend	Distribution of cash, assets or both. Debt may be paid in order of priority based on preferred claims to assets specified by the security. Usage Guideline restrictions for this code • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/LiquidationDividend Synonym (DTCC): Liquidation • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/LiquidationDividend Comment: Company reports its intentions to dismantle its business, paying off debts in order of priority and distributing the remaining assets in cash and/or securities to the owners of the securities. The payment of proceeds may require the presentation of securities.
MCAL	FullCall	Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, before final maturity. Usage Guideline restrictions for this code • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/FullCall Synonym (DTCC): Final Paydown • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/FullCall Synonym (DTCC): Full Call • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/FullCall Comment:

Code	Name	Definition
		Final Paydown: final distribution of principal due on a security, typically CMOs. Full Call: security is redeemed for cash in its entirety on a date that is prior to the maturity date, and for which the holders receive the principal amount of the security.
MRGR	Merger	Exchange of outstanding securities, initiated by the issuer which may include options, as the result of two or more companies combining assets, that is, an external, third party company. Cash payments may accompany share exchange. Usage Guideline restrictions for this code • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/Merger Synonym (DTCC): Merger • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/Merger Comment: Exchange of one company's security for another company's security, cash, or a combination of cash and securities.
NOOF	NonOfficialOffer	Offers that are not supervised or regulated by an official entity and being offered by a party, for example a broker, usually at a discount price, for example broker offer, mini-tender, mini odd lot offer or third party offer. Usage Guideline restrictions for this code • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/NonOfficialOffer Synonym (DTCC): Tender Offer (Mini) • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/NonOfficialOffer

Code	Name	Definition
		Comment: Identifies a tender offer event presented by a third party to shareholders of the target company, in which the conditions of the offer (e.g., quantity sought) are less than the requirements established by market regulators. As such, regulatory approval is not required.
ODLT	OddLotSalePurchase	Sale or purchase of odd-lots to/from the issuing company, initiated either by the holder of the security or through an offer made by the issuer. Usage Guideline restrictions for this code • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/OddLotSalePurchase Synonym (DTCC): Odd Lot Offer • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/OddLotSalePurchase Comment: Identifies a tender offer event made by the corporation or its agent to purchase/sell shares from/to odd-lot shareholders. An odd-lot shareholder typically refers to a holder of less than 100 shares of stock.
OTHR	OtherEvent	Other event, use only when no other event type applies, for example, a new event type. Usage Guideline restrictions for this code • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/OtherEvent – Market Practice Usage Rule: Identifies DTCC events that do not have ISO equivalent definition. Additional identifiers in the message will provide a one to one map-

Code	Name	Definition
		ping for the DTCC event. "Unknown" event type will also be created for the announcement not recognised by the validation service. • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/OtherEvent Synonym (DTCC): Reorganisation • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/OtherEvent Synonym (DTCC): Distribution • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/OtherEvent Synonym (DTCC): Rights Plan Adoption • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/OtherEvent Comment: Distribution: General distribution by the issuer that cannot be classified as a specific event. A distribution can be eligible for dividend reinvestment, also there is a sub category of such events as tax credit distribution. Reorganization: A reorganization event announced by the issuer that cannot be classified as another event. Rights Plan Adoption: General information provided by the issuer that should not result in material changes to the security.
PARI	PariPassu	Occurs when securities with different characteristics, for example, shares with different entitlements to dividend or voting rights, become identical in all respects, for example, pari-passu or assimilation. May be scheduled in advance, for example, shares resulting from a bonus may become fungible after a pre-set period of time, or may result from outside events, for example, merg-

Code	Name	Definition
		er, reorganisation, issue of supplementary tranches. Usage Guideline restrictions for this code • This code(seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/PariPassu) is removed. • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/PariPassu Comment: Assimilation occurs when securities with different characteristics (for example, shares with different entitlements to dividends), become identical in all respects (pari passu). It may be scheduled in advance (for instance, shares resulting from a bonus may become fungible after a pre-set period of time) or result from outside events (such as a merger, reorganization, rights issue, etc.)
PCAL	PartialRedemptionWithoutPoolFactorReduction	Securities are redeemed in part before their scheduled final maturity date. It is done without any pool factor reduction. The redemption is reflected in a debit of the face amount (FAMT). Usage Guideline restrictions for this code • This code(seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/PartialRedemptionWithoutPoolFactorReduction) is removed.
PDEF	Prefunding	Also called partial defeasance. Issuer has money set aside to redeem a portion of an issue and the indenture states that the securities could be called earlier than the stated maturity. Usage Guideline restrictions for this code • on seev.039.001.13/CorporateActionGeneralInforma-

Code	Name	Definition
		tion/EventType/Code/Prefunding Synonym (DTCC): Partial Prerefunding • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/Prefunding Synonym (DTCC): Full Prerefunding • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/Prefunding Synonym (DTCC): Partial Defeasance • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/Prefunding Comment: Full Prerefunding: exercise of a privilege by the issuer to repay, in full, any debt security prior to maturity when the issuer deposits assets in trust. This irrevocably restricts their use to satisfaction of the debt. Partial Prerefunding: similar to a full prerefunding, a partial prerefunding is the exercise of a privilege by the issuer to repay, in part, any debt security prior to maturity when the issuer deposits assets in trust. This irrevocably restricts their use to satisfaction of the debt. New securities are issued for the portion prerefunded. Partial Defeasance: issuer sets aside cash in escrow to pay off a portion of the issue on the maturity date. New securities are issued for the portion defeased.
PINK	PayInKind	Interest payment, in any kind except cash, distributed to holders of an interest bearing asset.

Code	Name	Definition
		Usage Guideline restrictions for this code • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/PayInKind Synonym (DTCC): Pay In Kind • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/PayInKind Comment: Income on interest-bearing securities where the payment is made in additional securities rather than cash.
PLAC	PlaceOfIncorporation	Changes in the state of incorporation for US companies and changes in the place of incorporation for foreign companies. Where shares need to be registered following the incorporation change, the holder(s) may have to elect the registrar. Usage Guideline restrictions for this code • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/PlaceOfIncorporation Synonym (DTCC): Change (Domicile) • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/PlaceOfIncorporation Comment: Identifies a change event where the issuer has changed the domicile of the corporation.
PPMT	InstalmentCall	Instalment towards the purchase of equity capital, subject to an agreement between an issuer and a purchaser. Usage Guideline restrictions for this code • This code(seev.039.001.13/CorporateActionGeneralInforma-

Code	Name	Definition
		tion/EventType/Code/Instalment-Call) is removed.
PRED	PartialRedemptionWithPoolFactorReduction	Securities are redeemed in part before their scheduled final maturity date. The redemption is reflected in a pool factor reduction. No movement of securities occurs. Usage Guideline restrictions for this code on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/PartialRedemptionWithPoolFactorReduction Synonym (DTCC): Principal
PRI0	PriorityIssue	Form of open or public offer where, due to a limited amount of securities available, priority is given to existing shareholders. Usage Guideline restrictions for this code This code(seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/PriorityIssue) is removed.
RCLA	Reclassification	Securities related event which reclassifies the distribution in various types of income for US tax withholding purposes. Usage Guideline restrictions for this code - on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/Reclassification Synonym (DTCC): Tax Event - on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/Reclassification Comment: Used for US Tax Event 1042-S

Code	Name	Definition
REDM	FinalMaturity	Redemption of an entire issue outstanding of securities, for example, bonds, preferred equity, funds, by the issuer or its agent, for example, asset manager, at final maturity. Usage Guideline restrictions for this code • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/FinalMaturity Synonym (DTCC): Redemption of Warrants • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/FinalMaturity Synonym (DTCC): Maturity • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/FinalMaturity Comment: Maturity: repayment, usually in cash, by an issuer for the entire issue, or remaining outstanding securities of a specific security on a specified date. Redemption of Warrants: issuer pays proceeds to holders at or after the expiration date of the warrant rather than expire the warrant for no cash (worthless).
REDO	Redenomination	Event by which the unit (currency and/or nominal) of a security is restated, for example, nominal/par value of security in a national currency is restated in another currency. Usage Guideline restrictions for this code • This code(seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/Redenomination) is removed.
REMK	RemarketingAgreement	Purchase and sale of remarketed preferred equities/bonds through the negoti-

Code	Name	Definition
		ation of interest rate between the issuers and the holders. Usage Guideline restrictions for this code • This code(seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/RemarketingAgreement) is removed.
RHDI	IntermediateSecuritiesDistribution	Distribution of intermediate securities that gives the holder the right to take part in a future event. Usage Guideline restrictions for this code • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/IntermediateSecuritiesDistribution Synonym (DTCC): Rights Distribution • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/IntermediateSecuritiesDistribution Comment: Rights Distribution: Securities distributed to common stock holders of a company that grant the option to purchase new or additional securities of the same company during a predetermined time period at a predetermined price. A Rights Distribution is accompanied by a corresponding Rights Subscription, which provides the details related to exercising the rights. In some cases, DTC will allocate rights that are not issued by the company to process a subscription offer. Rights Distribution:
RHTS	RightsIssue	Offer to holders of a security to subscribe for additional securities via the distribution of an intermediate security. Both processes are included in the same event.

Code	Name	Definition
		Usage Guideline restrictions for this code • This code(seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/RightsIssue) is removed.
SHPR	SharesPremiumDividend	Corporate event pays shareholders an amount in cash issued from the shares premium reserve. It is similar to a dividend but with different tax implications. Usage Guideline restrictions for this code • This code(seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/SharesPremiumDividend) is removed.
SMAL	SmallestNegotiableUnit	Modification of the smallest negotiable unit of shares in order to obtain a new negotiable unit. Usage Guideline restrictions for this code • This code(seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/SmallestNegotiableUnit) is removed.
SOFF	SpinOff	Distribution of securities issued by another company. The distributed securities may either be of a newly created or of an existing company. For example, spin-off, demerger, unbundling, divestment. Usage Guideline restrictions for this code • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/SpinOff Synonym (DTCC): Spin-Off • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/SpinOff

Code	Name	Definition
		Comment: Distribution of subsidiary securities to the shareholders of the parent company without a surrender of securities or payment. A spin-off represents a form of divestiture resulting in an independent company.
SPLF	StockSplit	Increase in a corporation's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are reduced accordingly. Usage Guideline restrictions for this code • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/StockSplit Synonym (DTCC): Stock Split • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/StockSplit Comment: Increase in a company's number of outstanding shares of stock without any change in the shareholder's equity or the aggregate market value at the time of the split. The share price is normally reduced. Forward split events are included here.
SPLR	ReverseStockSplit	Decrease in a company's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are increased accordingly. Usage Guideline restrictions for this code • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/ReverseStockSplit Synonym (DTCC): Reverse Stock Split • on seev.039.001.13/CorporateActionGeneralInforma-

Code	Name	Definition
		tion/EventType/Code/ReverseStockSplit Comment: Exchange of a company's security for the same company's new security at a preset rate. This corporate action reduces the number of shares outstanding.
SUSP	TradingStatusSuspended	Trading in the security has been suspended. Usage Guideline restrictions for this code • This code(seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/TradingStatusSuspended) is removed.
TEND	Tender	Offer made to holders by a third party, requesting them to sell (tender) or exchange their securities. Usage Guideline restrictions for this code • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/Tender Synonym (DTCC): Tender Offer • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/Tender Comment: Offer made to security holders, normally by a third party, requesting them to sell (tender) their securities for a specified price (usually at a premium over prevailing market prices). Generally, the objective of a tender offer is to take control of the target company.
TNDP	TaxOnNonDistributedProceeds	Taxable component on non-distributed proceeds, for example, Australian deemed income or US 871m income regulation.

Code	Name	Definition
		Usage Guideline restrictions for this code • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/TaxOn-NonDistributedProceeds Synonym (DTCC): Tax Event
TREC	TaxReclaim	Event related to tax reclaim activities. Usage Guideline restrictions for this code • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/TaxReclaim Synonym (DTCC): Tax Refund • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/TaxReclaim Comment: Event that enables DTC to make a withholding tax refund, usually non U.S. dividends.
WRTH	Worthless	Booking out of valueless securities. Usage Guideline restrictions for this code • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/Worthless Synonym (DTCC): Worthless • on seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/Worthless Comment: DTCC advising its participants that their positions in that security will be taken down. The announcement is created when DTC receives a formal letter advising that securities held are worthless.

Code	Name	Definition
WTRC	WithholdingTaxReliefCertification	Certification process for withholding tax reduction or exemption based on the tax status of the holder. Usage Guideline restrictions for this code • This code(seev.039.001.13/CorporateActionGeneralInformation/EventType/Code/Withholding-TaxReliefCertification) is removed.

Used in element(s)

"Code" on page 30

Restricts

"CorporateActionEventTypeV7Code" on page 101

5.11 CorporateActionEventTypeV7Code

Definition: Specifies the corporate action event type.

Type: CodeSet

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

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

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

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

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

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

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

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

Is restricted by

"CorporateActionEventType35Code" on page 68

5.12 CorporateActionMandatoryVoluntary1Code

Definition: Specifies whether the event is mandatory, mandatory with options or voluntary.

Type: CodeSet

Code	Name	Definition
CHOS	MandatoryWithOptions	Participation in the corporate action is mandatory and further instructions from the account owner are required, unless a default option has been specified.
MAND	Mandatory	Participation in CA event is mandatory. Further instructions from the account owner are not required.

Code	Name	Definition
VOLU	Voluntary	Participation in the corporate action is voluntary. If the owner wishes to take part in the event, instructions from the account owner are required.

Used in element(s)

"Code" on page 35

Restricts

"CorporateActionMandatoryVoluntaryCode" on page 109

5.13 CorporateActionMandatoryVoluntaryCode

Definition: Specifies whether the event is mandatory, mandatory with options or voluntary.

Type: CodeSet

Code	Name	Definition
CHOS	MandatoryWithOptions	Participation in the corporate action is mandatory and further instructions from the account owner are required, unless a default option has been specified.
MAND	Mandatory	Participation in CA event is mandatory. Further instructions from the account owner are not required.
VOLU	Voluntary	Participation in the corporate action is voluntary. If the owner wishes to take part in the event, instructions from the account owner are required.

Is restricted by

"CorporateActionMandatoryVoluntary1Code" on page 108

5.14 CountryCode

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

Type: CodeSet

Format

pattern [A-Z]{2,2}

Rules

R13 Country ✓

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

Error handling:

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

Used in element(s)

"Country" on page 54, "Country" on page 53

5.15 DTI2024Identifier

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

Type: IdentifierSet

Format

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

Used in element(s)

"DigitalLedgerIdentification" on page 54

5.16 DateType8Code

Definition: Specifies the type of dates.

Type: CodeSet

Code	Name	Definition
ONGO	Ongoing	Ongoing basis, which indicates that the date is determined by "ongoing basis" process, for example "au fil de l'eau". Usage Guideline restrictions for this code • This code(seev.039.001.13/CorporateActionDetails/DateDetails/Ex-DividendDate/DateCode/Code/Ongoing) is removed. • This code(seev.039.001.13/CorporateActionDetails/DateDetails/RecordDate/DateCode/Code/Ongoing) is removed.
UKWN	Unknown	Date is unknown by the sender or has not been established.

Used in element(s)"Code" on page 36**Restricts**"DateTypeCode" on page 111

5.17 DateTypeCode

Definition: Ongoing basis, which indicates that the date is determined by "ongoing basis" process, for example "au fil de l'eau".

Type: CodeSet

Code	Name	Definition
MEET	BlockingTillMeetingDate	Blocking occurs until and inclusive of the meeting date.
MKDT	BlockingTillMarketDeadline	Blocking occurs until and inclusive of the market deadline of the option.
NARR	NarrativeUnblockingDate	Refer to additional information element for the date until when the securities are blocked.
ONGO	Ongoing	Ongoing basis, which indicates that the date is determined by "ongoing basis" process, for example "au fil de l'eau".
OPEN	Open	Open-dated, which indicates that the date has not been established.
PAYD	BlockingTillPaymentDate	Unblocking will occur on payment date of the option.
PPYD	BlockingTillPremiumPaymentDate	Unblocking will occur on payment date of the premium.
PWAL	BlockingTillEndOfElectionPeriod	Blocking occurs until and inclusive of the end of the election period of the option.
RDDT	BlockingTillResponseDeadline	Blocking occurs until and inclusive of the account servicer deadline for the option.
RDTE	BlockingTillRecordDate	Blocking occurs until and inclusive of the record date of the event.
UKWN	Unknown	Date is unknown by the sender or has not been established.
VARI	Various	Partial trades have occurred over a period of two or more days.

Is restricted by"DateType8Code" on page 110

5.18 EventCompletenessStatus1Code

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

Type: CodeSet

Code	Name	Definition
COMP	Complete	Event details are complete.
INCO	Incomplete	Event details are not complete.
		Usage Guideline restrictions for this code This code(seev.039.001.13/CancellationAdviceGeneralInformation/ProcessingStatus/EventCompletenessStatus/Incomplete) is removed.

Used in element(s)

"EventCompletenessStatus" on page 29

Restricts

"EventCompletenessStatusCode" on page 112

5.19 EventCompletenessStatusCode

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

Type: CodeSet

Code	Name	Definition
COMP	Complete	Event details are complete.
INCO	Incomplete	Event details are not complete.

Is restricted by

"EventCompletenessStatus1Code" on page 111

5.20 EventConfirmationStatus1Code

Definition: Indicates the status of the occurrence of an event.

Type: CodeSet

Code	Name	Definition
CONF	Confirmed	Occurrence of the event has been confirmed.
UCON	Unconfirmed	Occurrence of the event has not been confirmed.

Used in element(s)

"EventConfirmationStatus" on page 29

Restricts

["EventConfirmationStatusCode" on page 113](#)

5.21 EventConfirmationStatusCode

Definition: Indicates the status of the occurrence of an event.

Type: CodeSet

Code	Name	Definition
CONF	Confirmed	Occurrence of the event has been confirmed.
PDNG	Pending	Occurrence of the event is pending.
UCON	Unconfirmed	Occurrence of the event has not been confirmed.

Is restricted by

["EventConfirmationStatus1Code" on page 112](#)

5.22 Exact4AlphaNumericText

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

Type: Text

Format

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

Used in element(s)

["Identification" on page 38](#)

5.23 ExternalFinancialInstrument-IdentificationType1Code

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

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

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

Type: CodeSet

Format

maxLength 4
minLength 1

Used in element(s)

["Code" on page 44](#)

Restricts

["ExternalFinancialInstrumentIdentificationTypeCode" on page 114](#)

5.24 ExternalFinancialInstrument-IdentificationTypeCode

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

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

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

Type: CodeSet

Format

maxLength	4
minLength	1

Is restricted by

["ExternalFinancialInstrumentIdentificationType1Code" on page 113](#)

5.25 ISINOct2015Identifier

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

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

Type: IdentifierSet

Format

pattern	[A-Z]{2,2}[A-Z0-9]{9,9}[0-9]{1,1}
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Used in element(s)

["ISIN" on page 57](#)

5.26 ISODate

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

Type: Date

Used in element(s)

["Date" on page 37](#)

5.27 LotteryType1Code

Definition: Specifies the type of lottery.

Type: CodeSet

Code	Name	Definition
ORIG	OriginalLotteryNotification	Original lottery that has been announced for a specific amount and date.
SUPP	SupplementalLotteryNotification	Supplemental or additional quantity called on a previously announced original lottery.

Used in element(s)

["Code" on page 45](#)

Restricts

["LotteryTypeCode" on page 115](#)

5.28 LotteryTypeCode

Definition: Specifies the type of lottery.

Type: CodeSet

Code	Name	Definition
ORIG	OriginalLotteryNotification	Original lottery that has been announced for a specific amount and date.
SUPP	SupplementalLotteryNotification	Supplemental or additional quantity called on a previously announced original lottery.

Is restricted by

["LotteryType1Code" on page 115](#)

5.29 Max16Text

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

Type: Text

Format

maxLength	16
minLength	1

Used in element(s)

"BuildingNumber" on page 52, "PostCode" on page 52, "Suffix" on page 48

5.30 Max350Text

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

Type: Text

Format

maxLength	350
minLength	1

Used in element(s)

"PlaceAndName" on page 59

5.31 Max35Text

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

Type: Text

Format

maxLength	35
minLength	1

Used in element(s)

"CountrySubDivision" on page 53, "TownName" on page 52

5.32 Max4AlphaNumericText

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

Type: Text

Format

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

Used in element(s)

["Issuer" on page 38](#), ["Issuer" on page 41](#), ["SchemeName" on page 39](#), ["SchemeName" on page 42](#)

5.33 Max70Text

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

Type: Text

Format

maxLength	70
minLength	1

Used in element(s)

["AddressLine" on page 52](#), ["StreetName" on page 52](#)

5.34 RestrictedFINExact2Text

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

Type: Text

Format

length	2
pattern	XX TS

Used in element(s)

["Proprietary" on page 44](#)

5.35 RestrictedFINXMax140Text

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

Type: Text

Format

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

Used in element(s)

["BlockchainAddressOrWallet" on page 20](#), ["CancellationReason" on page 26](#), ["Description" on page 58](#), ["Name" on page 46](#)

5.36 RestrictedFINXMax16Text

Definition: Specifies a character string with a maximum length of 16 characters. It has a pattern that disables the use of characters that is not part of the character set X, that is, that is not a-z A-Z / - ? : () . , ' + , and disable the use of slash "/" at the beginning and end of line and double slash "/" within the line.

Type: Text

Format

maxLength	16
minLength	1
pattern	<code>(([0-9a-zA-Z\-\?:(\)\.,\'+] ([0-9a-zA-Z\-\?:(\)\.,\'+])*([0-9a-zA-Z\-\?:(\)\.,\'+])?))*</code>

Used in element(s)

["ClassActionNumber" on page 32](#), ["CorporateActionEventIdentification" on page 31](#),
["OfficialCorporateActionEventIdentification" on page 32](#)

5.37 RestrictedFINXMax30Text

Definition: Specifies a character string with a maximum length of 30 characters. It has a pattern that disables the use of characters that is not part of the character set X, that is, that is not a-z A-Z / - ? : () . , ' + , and disable the use of slash "/" at the beginning and end of line and double slash "/" within the line.

Type: Text

Format

maxLength	30
minLength	1
pattern	<code>(([0-9a-zA-Z\-\?:(\)\.,\'+] ([0-9a-zA-Z\-\?:(\)\.,\'+])*([0-9a-zA-Z\-\?:(\)\.,\'+])?))*</code>

Used in element(s)

["Identification" on page 56](#), ["Identification" on page 43](#)

5.38 RestrictedFINXMax31Text

Definition: Specifies a character string with a maximum length of 31 characters limited to character set X, that is, a-z A-Z / - ? : () . , ' + .

Type: Text

Format

maxLength	31
minLength	1
pattern	<code>[0-9a-zA-Z\-\?:(\)\.,\'+]{1,31}</code>

Used in element(s)

["Identification" on page 48](#)

5.39 RestrictedFINXMax34Text

Definition: Specifies a character string with a maximum length of 34 characters. It has a pattern that disables the use of characters that is not part of the character set X, that is, that is not a-z A-Z / - ? : () . , ' + , and disable the use of slash "/" at the beginning and end of line and double slash "/" within the line.

Type: Text

Format

maxLength	34
minLength	1
pattern	$([0-9a-zA-Z\-\?:(\)\.,'+]([0-9a-zA-Z\-\?:(\)\.,'+]*(/[0-9a-zA-Z\-\?:(\)\.,'+])?*))$

Used in element(s)

["Identification" on page 40](#)

5.40 RestrictedFINXMax35Text

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

Type: Text

Format

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

Used in element(s)

["SafekeepingAccount" on page 19](#)

5.41 RestrictedFINZMax8000Text

Definition: Specifies a character string with a maximum length of 8000 characters limited to character set Z, that is, a-z A-Z / - ? : () . , ' += ! " % & * < > ; @ # .

Type: Text

Format

maxLength	8000
minLength	1
pattern	$[0-9a-zA-Z!"'%&*;<>\.,\(\)\n\r/= \+:\?@#\{-_]\{1,8000\}$

5.42 SafekeepingAccountIdentification1Code

Definition: Specifies the account identification via a code.

Type: CodeSet

Code	Name	Definition
GENR	General	Announcement applies to all safekeeping accounts that own underlying financial instrument. (Used for general or preliminary announcements.).

Used in element(s)

"IdentificationCode" on page 18

Restricts

"SafekeepingAccountIdentificationCode" on page 120

5.43 SafekeepingAccountIdentificationCode

Definition: Specifies the account identification via a code.

Type: CodeSet

Code	Name	Definition
GENR	General	Announcement applies to all safekeeping accounts that own underlying financial instrument. (Used for general or preliminary announcements.).

Is restricted by

"SafekeepingAccountIdentification1Code" on page 120

5.44 SafekeepingPlace1Code

Definition: Specifies the type of place of safekeeping.

Type: CodeSet

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

Used in element(s)

["SafekeepingPlaceType" on page 55](#)

Restricts

["SafekeepingPlaceCode" on page 121](#)

5.45 SafekeepingPlace2Code

Definition: Specifies the type of place of safekeeping.

Type: CodeSet

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

Used in element(s)

["SafekeepingPlaceType" on page 56](#)

Restricts

["SafekeepingPlaceCode" on page 121](#)

5.46 SafekeepingPlaceCode

Definition: Specifies the type of place of safekeeping.

Type: CodeSet

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

Is restricted by

["SafekeepingPlace1Code" on page 120](#), ["SafekeepingPlace2Code" on page 121](#)

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