

ISO 20022

`_SRD2_MX_ShareholdersIdentificationDisclosure`

Message Reference Guide

This document provides details of the Message Definitions for `_SRD2_MX_ShareholdersIdentificationDisclosure`.

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Table of Contents

1	Message Set Overview	3
1.1	List of MessageDefinitions	3
2	DRAFT5seev.045.001.01 ShareholdersIdentificationDisclosureRequestV01	5
2.1	MessageDefinition Functionality	5
2.2	Structure	7
2.3	Constraints	8
2.4	Message Building Blocks	8
3	DRAFT5seev.046.001.01	
	ShareholdersIdentificationDisclosureRequestCancellationAdviceV01	19
3.1	MessageDefinition Functionality	19
3.2	Structure	19
3.3	Constraints	20
3.4	Message Building Blocks	20
4	DRAFT5seev.047.001.01 ShareholdersIdentificationDisclosureResponseV01	24
4.1	MessageDefinition Functionality	24
4.2	Structure	25
4.3	Constraints	30
4.4	Message Building Blocks	30
5	DRAFT5seev.048.001.01	
	ShareholderIdentificationDisclosureResponseCancellationAdviceV01	92
5.1	MessageDefinition Functionality	92
5.2	Structure	93
5.3	Constraints	93
5.4	Message Building Blocks	94
6	DRAFT5seev.049.001.01	
	ShareholderIdentificationDisclosureResponseStatusAdviceV01	99
6.1	MessageDefinition Functionality	99
6.2	Structure	100
6.3	Constraints	100
6.4	Message Building Blocks	101
7	Message Items Types	108
7.1	MessageComponents	108
7.2	Message Datatypes	120

1 Message Set Overview

Introduction

Shareholder Identification Disclosure compliant solution for SRD2.

1.1 List of MessageDefinitions

The following table lists all MessageDefinitions described in this book.

MessageDefinition	Definition
DRAFT5seev.045.001.01 ShareholdersIdentificationDisclosureRequestV01	The ShareholdersIdentificationDisclosureRequest message is sent by an issuer or by a third party nominated by the issuer (such as a issuer's agent) to the first intermediaries in a custody chain or is sent by any intermediaries in a custody chain to the next intermediary down the chain of intermediaries (towards the investor side of the chain) in order to request the disclosure of shareholders identity and provides information on the receiving party to whom responses must be sent, on the financial instrument concerned and on the deadline to respond.
DRAFT5seev.046.001.01 ShareholdersIdentificationDisclosureRequestCancellationAdviceV01	The ShareholdersIdentificationDisclosureCancellationAdvice message is sent by an issuer or by a third party nominated by the issuer (such as a issuer's agent) to the first intermediaries in a custody chain or is sent by any intermediaries in a custody chain to the next intermediary down the chain of intermediaries (towards the investor side of the chain) in order to withdraw/cancel the disclosure request of shareholders identity previously sent.
DRAFT5seev.047.001.01 ShareholdersIdentificationDisclosureResponseV01	The ShareholdersIdentificationDisclosureResponse message is sent in response to a shareholder identification disclosure request message by any intermediaries to the recipient designated by the issuer (such as a issuer's agent) in the disclosure request message in order to provide the requested information on the identity of the shareholders and their accounts holdings serviced by the intermerdiary for the requested financial instrument.
DRAFT5seev.048.001.01 ShareholderIdentificationDisclosureResponseCancellationAdviceV01	The ShareholdersIdentificationDisclosureResponseCancellationAdvice message is sent by any intermediaries to the recipient designated by the issuer (such as a issuer's agent) in the disclosure request message in order to cancel the shareholder identification disclosure response whether previously sent in a single message or in a set of multipart/paginated response messages.

MessageDefinition	Definition
<p>DRAFT5seev.049.001.01 ShareholderIdentificationDisclosureResponseStatusAdviceV01</p>	<p>The ShareholdersIdentificationDisclosureResponseStatusAdvice message is sent by an issuer or by a third party nominated by the issuer (such as a issuer's agent) to the intermediary in a custody chain in response to a ShareholderIdentificationDisclosureResponse message or in response to a multipart reponse report (sent with pagination in multiple messages) in order to report about the acceptance status of the received ShareholderIdentificationDisclosureResponse message/report.</p> <p>Usage: when the shareholder identification disclosure response is sent in a multipart response report (with several messages), a single reponse status advice only may be sent for the acceptance status of the whole report.</p>

2 **DRAFT5seev.045.001.01** **ShareholdersIdentificationDisclosureRequest** **V01**

2.1 **MessageDefinition Functionality**

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

Outline

The ShareholdersIdentificationDisclosureRequestV01 MessageDefinition is composed of 13 MessageBuildingBlocks:

- A. IssuerDisclosureRequestIdentification
Official and unique identification assigned to a shareholders identification disclosure request process by the issuer or third party nominated by it.
- B. DisclosureRequestType
Specifies the type of disclosure request.
- C. ForwardRequestIndicator
Indicates whether the request is to be forwarded to and responded by the other intermediaries down the chain of intermediaries or not.

If not to be forwarded, the indicator may not be present.
- D. ResponseThroughChainIndicator
Indicates whether the shareholder identification disclosure response is to be sent back down the chain of intermediaries or directly to the identified response recipient.

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

If "false" or "0", the response must be sent directly to the identified response recipient and the indicator may not be present.
- E. FinancialInstrumentIdentification
Identifies the financial instrument.
- F. ShareholdersDisclosureRecordDate
Date set by the issuer on which shareholders identity is determined based on the settled positions struck in the books of the Issuer CSD or any other first intermediary at the close of business day.
- G. SharesQuantityThreshold
Minimum number of shares held by a shareholder above which the identification must be disclosed.
- H. RequestShareHeldDate

Indicates whether the date from which the shares have been held must be communicated into the disclosure response and according to which method these dates have to be communicated.

I. DisclosureResponseRecipient

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

J. IssuerDisclosureDeadline

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

K. DisclosureResponseDeadline

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

L. Issuer

Issuer of the financial instrument.

M. SupplementaryData

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

2.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <ShrhldrldDsclsrReq>	[1..1]			
	IssuerDisclosureRequestIdentification <IssrDsclsrReqId>	[1..1]	Text		9
	DisclosureRequestType <DsclsrReqTp>	[1..1]	CodeSet		9
	ForwardRequestIndicator <FwdReqInd>	[0..1]	Indicator		9
	ResponseThroughChainIndicator <RspnThrhChainInd>	[0..1]	Indicator		9
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	10
	ShareholdersDisclosureRecordDate <ShrhldrDsclsrRcrdDt>	[1..1]	±		11
	SharesQuantityThreshold <ShrsQtyThrshld>	[0..1]	Quantity		11
	RequestShareHeldDate <ReqShrHeldDt>	[0..1]			11
{Or	DateCalculationMethod <DtClctnMtd>	[1..1]	CodeSet		11
Or}	DateCalculationDescription <DtClctnDesc>	[1..1]	Text		12
	DisclosureResponseRecipient <DsclsrRspnRcpt>	[1..1]			12
	Identification <Id>	[1..1]			13
{Or	ProprietaryIdentification <PrtryId>	[1..1]	±		13
Or}	LEI <LEI>	[1..1]	IdentifierSet		13
	RecipientName <RcptNm>	[1..1]	Text		13
	ResponseRecipientAddress <RspnRcptAdr>	[1..1]			13
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	14
	PostalAddress <PstlAdr>	[0..1]			14
	AddressType <AdrTp>	[0..1]	CodeSet		15
	AddressLine <AdrLine>	[0..5]	Text		15
	StreetName <StrtNm>	[0..1]	Text		15
	BuildingNumber <BldgNb>	[0..1]	Text		15
	PostBox <PstBx>	[0..1]	Text		16
	PostCode <PstCd>	[0..1]	Text		16
	TownName <TwnNm>	[0..1]	Text		16
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		16
	Country <Ctry>	[1..1]	CodeSet	C2	16
	EmailAddress <EmailAdr>	[0..1]	Text		16

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	URLAddress <URLAdr>	[0..1]	Text		16
	IssuerDisclosureDeadline <IssrDsclsrDdlIn>	[1..1]	±		17
	DisclosureResponseDeadline <DsclsrRspnDdlIn>	[0..1]	±		17
	Issuer <Issr>	[0..1]	±		17
	SupplementaryData <SplmtryData>	[0..*]	±	C8	18

2.3 Constraints

C1 AnyBIC

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

C2 Country

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

C3 DescriptionPresenceRule

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

C4 DescriptionUsageRule

Description must be used alone as the last resort.

C5 ISINGuideline

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

C6 ISINPresenceRule

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

C7 OtherIdentificationPresenceRule

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

C8 SupplementaryDataRule

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

2.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

2.4.1 IssuerDisclosureRequestIdentification <IssrDsclsrReqId>

Presence: [1..1]

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

Datatype: "Max35Text" on page 128

2.4.2 DisclosureRequestType <DsclsrReqTp>

Presence: [1..1]

Definition: Specifies the type of disclosure request.

Datatype: "DisclosureRequestType1Code" on page 121

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

2.4.3 ForwardRequestIndicator <FwdReqInd>

Presence: [0..1]

Definition: Indicates whether the request is to be forwarded to and responded by the other intermediaries down the chain of intermediaries or not.

If not to be forwarded, the indicator may not be present.

Datatype: One of the following values must be used (see "YesNoIndicator" on page 126):

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

2.4.4 ResponseThroughChainIndicator <RspnThrhChainInd>

Presence: [0..1]

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

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

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

Datatype: One of the following values must be used (see "YesNoIndicator" on page 126):

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

2.4.5 FinancialInstrumentIdentification <FinInstrmId>

Presence: [1..1]

Definition: Identifies the financial instrument.

Impacted by: [C3 "DescriptionPresenceRule"](#), [C4 "DescriptionUsageRule"](#), [C5 "ISINGuideline"](#), [C6 "ISINPresenceRule"](#), [C7 "OtherIdentificationPresenceRule"](#)

FinancialInstrumentIdentification <FinInstrmId> contains the following elements (see "[SecurityIdentification19](#)" on page 109 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		110
	OtherIdentification <OthrlId>	[0..*]			111
	Identification <Id>	[1..1]	Text		111
	Suffix <Sfx>	[0..1]	Text		111
	Type <Tp>	[1..1]	±		111
	Description <Desc>	[0..1]	Text		111

Constraints

- **DescriptionPresenceRule**

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

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

- **DescriptionUsageRule**

Description must be used alone as the last resort.

- **ISINGuideline**

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

- **ISINPresenceRule**

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

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

- **OtherIdentificationPresenceRule**

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

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

/ISIN Must be present
Or /Description Must be present

2.4.6 ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt>

Presence: [1..1]

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

ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt> contains one of the following elements (see "DateFormat46Choice" on page 108 for details)

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

2.4.7 SharesQuantityThreshold <ShrsQtyThrshld>

Presence: [0..1]

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

Datatype: "DecimalNumber" on page 126

2.4.8 RequestShareHeldDate <ReqShrHeldDt>

Presence: [0..1]

Definition: Indicates whether the date from which the shares have been held must be communicated into the disclosure reponse and according to which method theses dates have to be communicated.

RequestShareHeldDate <ReqShrHeldDt> contains one of the following **RequestShareHeldDate1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	DateCalculationMethod <DtClctnMtd>	[1..1]	CodeSet		11
Or}	DateCalculationDescription <DtClctnDesc>	[1..1]	Text		12

2.4.8.1 DateCalculationMethod <DtClctnMtd>

Presence: [1..1]

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

Datatype: "DateCalculationMethod1Code" on page 121

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

2.4.8.2 DateCalculationDescription <DtClctnDesc>

Presence: [1..1]

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

Datatype: "Max350Text" on page 128

2.4.9 DisclosureResponseRecipient <DsclsrRspnRcpt>

Presence: [1..1]

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

DisclosureResponseRecipient <DsclsrRspnRcpt> contains the following **PartyIdentification214** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]			13
{Or	ProprietaryIdentification <PrtryId>	[1..1]	±		13
Or}	LEI <LEI>	[1..1]	IdentifierSet		13
	RecipientName <RcptNm>	[1..1]	Text		13
	ResponseRecipientAddress <RspnRcptAdr>	[1..1]			13
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	14
	PostalAddress <PstlAdr>	[0..1]			14
	AddressType <AdrTp>	[0..1]	CodeSet		15
	AddressLine <AdrLine>	[0..5]	Text		15
	StreetName <StrtNm>	[0..1]	Text		15
	BuildingNumber <BldgNb>	[0..1]	Text		15
	PostBox <PstBx>	[0..1]	Text		16
	PostCode <PstCd>	[0..1]	Text		16
	TownName <TwnNm>	[0..1]	Text		16
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		16
	Country <Ctry>	[1..1]	CodeSet	C2	16
	EmailAddress <EmailAdr>	[0..1]	Text		16
	URLAddress <URLAdr>	[0..1]	Text		16

2.4.9.1 Identification <Id>

Presence: [1..1]

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

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	ProprietaryIdentification <PrtryId>	[1..1]	±		13
Or}	LEI <LEI>	[1..1]	IdentifierSet		13

2.4.9.1.1 ProprietaryIdentification <PrtryId>

Presence: [1..1]

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

ProprietaryIdentification <PrtryId> contains the following elements (see "[GenericIdentification36](#)" on page 112 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		113
	Issuer <Issr>	[1..1]	Text		113
	SchemeName <SchmeNm>	[0..1]	Text		113

2.4.9.1.2 LEI <LEI>

Presence: [1..1]

Definition: Legal entity identifier of the party.

Datatype: "[LEIIdentifier](#)" on page 126

2.4.9.2 RecipientName <RcptNm>

Presence: [1..1]

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

Datatype: "[Max350Text](#)" on page 128

2.4.9.3 ResponseRecipientAddress <RspnRcptAdr>

Presence: [1..1]

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

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	14
	PostalAddress <PstlAdr>	[0..1]			14
	AddressType <AdrTp>	[0..1]	CodeSet		15
	AddressLine <AdrLine>	[0..5]	Text		15
	StreetName <StrtNm>	[0..1]	Text		15
	BuildingNumber <BldgNb>	[0..1]	Text		15
	PostBox <PstBx>	[0..1]	Text		16
	PostCode <PstCd>	[0..1]	Text		16
	TownName <TwnNm>	[0..1]	Text		16
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		16
	Country <Ctry>	[1..1]	CodeSet	C2	16
	EmailAddress <EmailAdr>	[0..1]	Text		16
	URLAddress <URLAdr>	[0..1]	Text		16

2.4.9.3.1 AnyBIC <AnyBIC>

Presence: [0..1]

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

Impacted by: C1 "AnyBIC"

Datatype: "AnyBICDec2014Identifier" on page 125

Constraints

- **AnyBIC**

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

2.4.9.3.2 PostalAddress <PstlAdr>

Presence: [0..1]

Definition: Postal address of the party.

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		15
	AddressLine <AdrLine>	[0..5]	Text		15
	StreetName <StrtNm>	[0..1]	Text		15
	BuildingNumber <BldgNb>	[0..1]	Text		15
	PostBox <PstBx>	[0..1]	Text		16
	PostCode <PstCd>	[0..1]	Text		16
	TownName <TwnNm>	[0..1]	Text		16
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		16
	Country <Ctry>	[1..1]	CodeSet	C2	16

2.4.9.3.2.1 AddressType <AdrTp>

Presence: [0..1]

Definition: Identifies the nature of the postal address.

Datatype: "AddressType2Code" on page 120

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

2.4.9.3.2.2 AddressLine <AdrLine>

Presence: [0..5]

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

Datatype: "Max70Text" on page 129

2.4.9.3.2.3 StreetName <StrtNm>

Presence: [0..1]

Definition: Name of a street or thoroughfare.

Datatype: "Max70Text" on page 129

2.4.9.3.2.4 BuildingNumber <BldgNb>

Presence: [0..1]

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

Datatype: "Max16Text" on page 127

2.4.9.3.2.5 PostBox <PstBx>

Presence: [0..1]

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

Datatype: "Max16Text" on page 127

2.4.9.3.2.6 PostCode <PstCd>

Presence: [0..1]

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

Datatype: "Max16Text" on page 127

2.4.9.3.2.7 TownName <TwnNm>

Presence: [0..1]

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

Datatype: "Max35Text" on page 128

2.4.9.3.2.8 CountrySubDivision <CtrySubDvsn>

Presence: [0..1]

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

Datatype: "Max35Text" on page 128

2.4.9.3.2.9 Country <Ctry>

Presence: [1..1]

Definition: Nation with its own government.

Impacted by: C2 "Country"

Datatype: "CountryCode" on page 120

Constraints

- **Country**

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

2.4.9.3.3 EmailAddress <EmailAdr>

Presence: [0..1]

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

Datatype: "Max256Text" on page 128

2.4.9.3.4 URLAddress <URLAdr>

Presence: [0..1]

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

Datatype: "Max2048Text" on page 127

2.4.10 IssuerDisclosureDeadline <IssrDscIsrDdIn>

Presence: [1..1]

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

IssuerDisclosureDeadline <IssrDscIsrDdIn> contains one of the following elements (see "DateFormat46Choice" on page 108 for details)

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

2.4.11 DisclosureResponseDeadline <DsclsrRspnDdIn>

Presence: [0..1]

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

DisclosureResponseDeadline <DsclsrRspnDdIn> contains one of the following elements (see "DateFormat46Choice" on page 108 for details)

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

2.4.12 Issuer <Issr>

Presence: [0..1]

Definition: Issuer of the financial instrument.

Issuer <Issr> contains one of the following elements (see "PartyIdentification129Choice" on page 114 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	115
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		115
Or	NameAndAddress <NmAndAdr>	[1..1]	±		115
Or}	LEI <LEI>	[1..1]	IdentifierSet		115

2.4.13 SupplementaryData <SplmtryData>

Presence: [0..*]

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

Impacted by: C8 "SupplementaryDataRule"

SupplementaryData <SplmtryData> contains the following elements (see "SupplementaryData1" on page 113 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		113
	Envelope <Envlp>	[1..1]	(External Schema)		114

Constraints

- **SupplementaryDataRule**

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

3 DRAFT5seev.046.001.01 ShareholdersIdentificationDisclosureRequest CancellationAdviceV01

3.1 MessageDefinition Functionality

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

Outline

The ShareholdersIdentificationDisclosureRequestCancellationAdviceV01 MessageDefinition is composed of 4 MessageBuildingBlocks:

A. IssuerDisclosureRequestReference

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

B. CancellationReason

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

C. Issuer

Issuer of the financial instrument.

D. SupplementaryData

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

3.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <ShrhldrslDscslsrReqCxlAdvc>	[1..1]			
	IssuerDisclosureRequestReference <IssrDsclsrReqRef>	[1..1]			20
	IssuerDisclosureRequestIdentification <IssrDsclsrReqId>	[1..1]	Text		21
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	21
	ShareholdersDisclosureRecordDate <ShrhldrDsclsrRcrdDt>	[1..1]	±		22
	CancellationReason <CxlRsn>	[0..1]	CodeSet		22
	Issuer <Issr>	[0..1]	±		23
	SupplementaryData <SplmtryData>	[0..*]	±	C8	23

3.3 Constraints

C1 AnyBIC

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

C2 Country

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

C3 DescriptionPresenceRule

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

C4 DescriptionUsageRule

Description must be used alone as the last resort.

C5 ISINGuideline

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

C6 ISINPresenceRule

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

C7 OtherIdentificationPresenceRule

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

C8 SupplementaryDataRule

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

3.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

3.4.1 IssuerDisclosureRequestReference <IssrDsclsrReqRef>

Presence: [1..1]

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

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IssuerDisclosureRequestIdentification <IssrDsclsrReqId>	[1..1]	Text		21
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	21
	ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt>	[1..1]	±		22

3.4.1.1 IssuerDisclosureRequestIdentification <IssrDsclsrReqId>

Presence: [1..1]

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

Datatype: "Max35Text" on page 128

3.4.1.2 FinancialInstrumentIdentification <FinInstrmId>

Presence: [1..1]

Definition: Identifies the financial instrument.

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

FinancialInstrumentIdentification <FinInstrmId> contains the following elements (see "SecurityIdentification19" on page 109 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		110
	OtherIdentification <OthrlId>	[0..*]			111
	Identification <Id>	[1..1]	Text		111
	Suffix <Sfx>	[0..1]	Text		111
	Type <Tp>	[1..1]	±		111
	Description <Desc>	[0..1]	Text		111

Constraints

- **DescriptionPresenceRule**

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

On Condition

 /Description is absent

Following Must be True

 /ISIN Must be present

Or /OtherIdentification[*] Must be present

- **DescriptionUsageRule**

Description must be used alone as the last resort.

- **ISINGuideline**

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

- **ISINPresenceRule**

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

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

- **OtherIdentificationPresenceRule**

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

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

3.4.1.3 ShareholdersDisclosureRecordDate <ShrhldrsDscslrRcrdDt>

Presence: [1..1]

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

ShareholdersDisclosureRecordDate <ShrhldrsDscslrRcrdDt> contains one of the following elements (see ["DateFormat46Choice"](#) on page 108 for details)

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

3.4.2 CancellationReason <CxlRsn>

Presence: [0..1]

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

Datatype: "DisclosureRequestCancellationReason1Code" on page 121

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

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

3.4.3 Issuer <Issr>

Presence: [0..1]

Definition: Issuer of the financial instrument.

Issuer <Issr> contains one of the following elements (see "[PartyIdentification129Choice](#)" on page 114 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	115
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		115
Or	NameAndAddress <NmAndAdr>	[1..1]	±		115
Or}	LEI <LEI>	[1..1]	IdentifierSet		115

3.4.4 SupplementaryData <SplmtryData>

Presence: [0..*]

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

Impacted by: C8 "SupplementaryDataRule"

SupplementaryData <SplmtryData> contains the following elements (see "[SupplementaryData1](#)" on page 113 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		113
	Envelope <Envlp>	[1..1]	(External Schema)		114

Constraints

- **SupplementaryDataRule**

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

4 DRAFT5seev.047.001.01 ShareholdersIdentificationDisclosureResponseV01

4.1 MessageDefinition Functionality

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

Outline

The ShareholdersIdentificationDisclosureResponseV01 MessageDefinition is composed of 6 MessageBuildingBlocks:

A. Pagination

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

B. IssuerDisclosureRequestReference

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

C. DisclosureResponseIdentification

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

D. RespondingIntermediary

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

E. SafekeepingAccountAndHoldings

Details of the account, account sub-levels and the holdings.

F. SupplementaryData

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

4.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <ShrhldrsldDsclsrRspn>	[1..1]			
	Pagination <Pgntn>	[0..1]	±		30
	IssuerDisclosureRequestReference <IssrDsclsrReqRef>	[1..1]			31
	IssuerDisclosureRequestIdentification <IssrDsclsrReqId>	[1..1]	Text		31
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	31
	ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt>	[1..1]	±		32
	DisclosureResponseIdentification <DsclsrRspnId>	[1..1]	Text		33
	RespondingIntermediary <RspndgIntrmy>	[1..1]			33
	NameAndAddress <NmAndAdr>	[1..1]			34
	Name <Nm>	[1..1]	Text		35
	Address <Adr>	[0..1]			35
	AddressType <AdrTp>	[0..1]	CodeSet		36
	AddressLine <AdrLine>	[0..5]	Text		36
	StreetName <StrtNm>	[0..1]	Text		36
	BuildingNumber <BldgNb>	[0..1]	Text		36
	PostBox <PstBx>	[0..1]	Text		36
	PostCode <PstCd>	[0..1]	Text		36
	TownName <TwnNm>	[0..1]	Text		37
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		37
	Country <Ctry>	[1..1]	CodeSet	C2	37
	Identification <Id>	[1..1]			37
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	37
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		38
Or}	LEI <LEI>	[1..1]	IdentifierSet		38
	ContactPerson <CtctPrsn>	[0..1]	±		38
	SafekeepingAccountAndHoldings <SfkpgAcctAndHldgs>	[1..*]			39
	SafekeepingAccount <SfkpgAcct>	[1..1]	Text		44
	AccountServicer <AcctSvcr>	[1..1]			44
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	44

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		45
Or}	LEI <LEI>	[1..1]	IdentifierSet		45
	ShareholdingBalanceOnOwnAccount <ShrhldgBalOnOwnAcct>	[1..1]	Quantity		45
	ShareholdingBalanceOnClientAccount <ShrhldgBalOnClntAcct>	[1..1]	Quantity		45
	TotalShareholdingBalance <TtlShrhldgBal>	[1..1]	Quantity		45
	AccountSubLevel <AcctSubLvl>	[0..*]			45
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		49
	AccountHolder <AcctHldr>	[1..1]			50
{Or	LegalPerson <LglPrsn>	[1..1]			53
	NameAndAddress <NmAndAdr>	[1..1]			55
	Name <Nm>	[1..1]	Text		55
	Address <Adr>	[0..1]			55
	AddressType <AdrTp>	[0..1]	CodeSet		56
	AddressLine <AdrLine>	[0..5]	Text		56
	StreetName <StrtNm>	[0..1]	Text		56
	BuildingNumber <BldgNb>	[0..1]	Text		56
	PostBox <PstBx>	[0..1]	Text		57
	PostCode <PstCd>	[0..1]	Text		57
	TownName <TwnNm>	[0..1]	Text		57
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		57
	Country <Ctry>	[1..1]	CodeSet	C2	57
	EmailAddress <EmailAdr>	[0..1]	Text		57
	Identification <Id>	[1..1]			57
{Or	NationalRegistrationNumber <NtlRegnNb>	[1..1]	Text		58
Or	LEI <LEI>	[1..1]	IdentifierSet		58
Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	58
Or	ClientIdentification <ClntId>	[1..1]	Text		58
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		58
	CountryOfIncorporation <CtryOfIncorprtn>	[0..1]	CodeSet	C2	59
	ActivityIndicator <ActvtyInd>	[0..1]	IdentifierSet		59
	InvestorType <InvstrTp>	[0..1]			59

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		59
Or}	Proprietary <Prtry>	[1..1]	±		60
	Ownership <Ownrsh>	[0..1]			60
	OwnershipType <OwnrshTp>	[0..1]			60
{Or	Code <Cd>	[1..1]	CodeSet		61
Or}	Proprietary <Prtry>	[1..1]	±		61
	OwnershipPercentage <OwnrshPctg>	[0..1]	Rate		61
	UsufructPercentage <UsfrctPctg>	[0..1]	Rate		61
Or}	NaturalPerson <NtrlPrsn>	[1..*]			61
	NamePrefix <NmPrfx>	[0..1]	CodeSet		63
	NameAndAddress <NmAndAdr>	[1..1]			63
	FirstName <FrstNm>	[1..1]	Text		64
	Surname <SrnM>	[1..1]	Text		64
	Address <Adr>	[0..1]			64
	AddressType <AdrTp>	[0..1]	CodeSet		64
	AddressLine <AdrLine>	[0..5]	Text		65
	StreetName <StrtNm>	[0..1]	Text		65
	BuildingNumber <BldgNb>	[0..1]	Text		65
	PostBox <PstBx>	[0..1]	Text		65
	PostCode <PstCd>	[0..1]	Text		65
	TownName <TwnNm>	[0..1]	Text		65
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		65
	Country <Ctry>	[1..1]	CodeSet	C2	65
	EmailAddress <EmailAdr>	[0..1]	Text		66
	Identification <Id>	[1..1]			66
	Identification <Id>	[1..1]	Text		66
	IdentificationType <IdTp>	[0..1]			66
{Or	Code <Cd>	[1..1]	CodeSet		66
Or}	Proprietary <Prtry>	[1..1]	±		67
	Nationality <Ntlty>	[0..1]	CodeSet	C2	67
	DateAndPlaceOfBirth <DtAndPlcOfBirth>	[0..1]			68

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	BirthDate <BirthDt>	[1..1]	Date		68
	ProvinceOfBirth <PrvcOfBirth>	[0..1]	Text		68
	CityOfBirth <CityOfBirth>	[0..1]	Text		68
	CountryOfBirth <CtryOfBirth>	[0..1]	CodeSet	C2	68
	InvestorType <InvstrTp>	[0..1]			69
{Or	Code <Cd>	[1..1]	CodeSet		69
Or}	Proprietary <Prtry>	[1..1]	±		69
	Ownership <Ownrsh>	[0..1]			69
	OwnershipType <OwnrshTp>	[0..1]			70
{Or	Code <Cd>	[1..1]	CodeSet		70
Or}	Proprietary <Prtry>	[1..1]	±		70
	OwnershipPercentage <OwnrshPctg>	[0..1]	Rate		71
	UsufructPercentage <UsfrctPctg>	[0..1]	Rate		71
	ShareholdingBalance <ShrhldgBal>	[1..*]			71
	ShareholdingType <ShrhldgTp>	[1..1]	CodeSet		73
	Quantity <Qty>	[1..1]	Quantity		74
	InitialDateOfShareholding <InitlDtOfShrhldg>	[0..1]			74
{Or	Date <Dt>	[1..1]	Date		74
Or}	DateCode <DtCd>	[1..1]			74
{Or	Code <Cd>	[1..1]	CodeSet		75
Or}	Proprietary <Prtry>	[1..1]	±		75
	ThirdParty <ThrdPty>	[0..*]			75
	Role <Role>	[1..1]			77
{Or	Code <Cd>	[1..1]	CodeSet		77
Or}	Proprietary <Prtry>	[1..1]	±		77
	Identification <Id>	[1..1]			78
{Or	LegalPerson <LglPrsn>	[1..1]			80
	NameAndAddress <NmAndAdr>	[0..1]			81
	Name <Nm>	[1..1]	Text		81
	Address <Adr>	[0..1]			81
	AddressType <AdrTp>	[0..1]	CodeSet		82

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressLine <AdrLine>	[0..5]	Text		82
	StreetName <StrtNm>	[0..1]	Text		82
	BuildingNumber <BldgNb>	[0..1]	Text		82
	PostBox <PstBx>	[0..1]	Text		83
	PostCode <PstCd>	[0..1]	Text		83
	TownName <TwnNm>	[0..1]	Text		83
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		83
	Country <Ctry>	[1..1]	CodeSet	C2	83
	Identification <Id>	[1..1]			83
{Or	NationalRegistrationNumber <NtlRegnNb>	[1..1]	Text		84
Or	LEI <LEI>	[1..1]	IdentifierSet		84
Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	84
Or	ClientIdentification <ClntId>	[1..1]	Text		84
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		84
Or}	NaturalPerson <NtrlPrsn>	[1..1]			85
	NameAndAddress <NmAndAdr>	[1..1]			85
	FirstName <FrstNm>	[1..1]	Text		86
	Surname <SrnM>	[1..1]	Text		86
	Address <Adr>	[0..1]			86
	AddressType <AdrTp>	[0..1]	CodeSet		87
	AddressLine <AdrLine>	[0..5]	Text		87
	StreetName <StrtNm>	[0..1]	Text		87
	BuildingNumber <BldgNb>	[0..1]	Text		87
	PostBox <PstBx>	[0..1]	Text		88
	PostCode <PstCd>	[0..1]	Text		88
	TownName <TwnNm>	[0..1]	Text		88
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		88
	Country <Ctry>	[1..1]	CodeSet	C2	88
	Identification <Id>	[1..1]			88
	Identification <Id>	[1..1]	Text		89
	IdentificationType <IdTp>	[0..1]			89

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		89
Or}	Proprietary <Prtry>	[1..1]	±		90
	SupplementaryData <SplmtryData>	[0..*]	±	C8	90
	BelowThresholdShareholdingQuantity <BlwThrshldShrhldgQty>	[0..1]	Quantity		90
	SupplementaryData <SplmtryData>	[0..*]	±	C8	91

4.3 Constraints

C1 AnyBIC

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

C2 Country

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

C3 DescriptionPresenceRule

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

C4 DescriptionUsageRule

Description must be used alone as the last resort.

C5 ISINGuideline

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

C6 ISINPresenceRule

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

C7 OtherIdentificationPresenceRule

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

C8 SupplementaryDataRule

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

4.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

4.4.1 Pagination <Pgntn>

Presence: [0..1]

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

Pagination <Pgntn> contains the following elements (see "Pagination1" on page 114 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		114
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		114

4.4.2 IssuerDisclosureRequestReference <IssrDsclsrReqRef>

Presence: [1..1]

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

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IssuerDisclosureRequestIdentification <IssrDsclsrReqId>	[1..1]	Text		31
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	31
	ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt>	[1..1]	±		32

4.4.2.1 IssuerDisclosureRequestIdentification <IssrDsclsrReqId>

Presence: [1..1]

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

Datatype: "Max35Text" on page 128

4.4.2.2 FinancialInstrumentIdentification <FinInstrmId>

Presence: [1..1]

Definition: Identifies the financial instrument.

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

FinancialInstrumentIdentification <FinInstrmId> contains the following elements (see "SecurityIdentification19" on page 109 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		110
	OtherIdentification <OthrlId>	[0..*]			111
	Identification <Id>	[1..1]	Text		111
	Suffix <Sfx>	[0..1]	Text		111
	Type <Tp>	[1..1]	±		111
	Description <Desc>	[0..1]	Text		111

Constraints

- **DescriptionPresenceRule**

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

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

- **DescriptionUsageRule**

Description must be used alone as the last resort.

- **ISINGuideline**

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

- **ISINPresenceRule**

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

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

- **OtherIdentificationPresenceRule**

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

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

4.4.2.3 ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt>

Presence: [1..1]

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

ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt> contains one of the following elements (see "DateFormat46Choice" on page 108 for details)

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

4.4.3 DisclosureResponseIdentification <DsclsrRspnId>

Presence: [1..1]

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

Datatype: "Max35Text" on page 128

4.4.4 RespondingIntermediary <RspndgIntrmy>

Presence: [1..1]

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

RespondingIntermediary <RspndgIntrmy> contains the following **PartyIdentification219** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NameAndAddress <NmAndAdr>	[1..1]			34
	Name <Nm>	[1..1]	Text		35
	Address <Adr>	[0..1]			35
	AddressType <AdrTp>	[0..1]	CodeSet		36
	AddressLine <AdrLine>	[0..5]	Text		36
	StreetName <StrtNm>	[0..1]	Text		36
	BuildingNumber <BldgNb>	[0..1]	Text		36
	PostBox <PstBx>	[0..1]	Text		36
	PostCode <PstCd>	[0..1]	Text		36
	TownName <TwnNm>	[0..1]	Text		37
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		37
	Country <Ctry>	[1..1]	CodeSet	C2	37
	Identification <Id>	[1..1]			37
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	37
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		38
Or}	LEI <LEI>	[1..1]	IdentifierSet		38
	ContactPerson <CtctPrsn>	[0..1]	±		38

4.4.4.1 NameAndAddress <NmAndAdr>

Presence: [1..1]

Definition: Name and address of the party.

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		35
	Address <Adr>	[0..1]			35
	AddressType <AdrTp>	[0..1]	CodeSet		36
	AddressLine <AdrLine>	[0..5]	Text		36
	StreetName <StrtNm>	[0..1]	Text		36
	BuildingNumber <BldgNb>	[0..1]	Text		36
	PostBox <PstBx>	[0..1]	Text		36
	PostCode <PstCd>	[0..1]	Text		36
	TownName <TwnNm>	[0..1]	Text		37
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		37
	Country <Ctry>	[1..1]	CodeSet	C2	37

4.4.4.1.1 Name <Nm>

Presence: [1..1]

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

Datatype: "Max350Text" on page 128

4.4.4.1.2 Address <Adr>

Presence: [0..1]

Definition: Postal address of the party.

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		36
	AddressLine <AdrLine>	[0..5]	Text		36
	StreetName <StrtNm>	[0..1]	Text		36
	BuildingNumber <BldgNb>	[0..1]	Text		36
	PostBox <PstBx>	[0..1]	Text		36
	PostCode <PstCd>	[0..1]	Text		36
	TownName <TwnNm>	[0..1]	Text		37
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		37
	Country <Ctry>	[1..1]	CodeSet	C2	37

4.4.4.1.2.1 AddressType <AdrTp>

Presence: [0..1]

Definition: Identifies the nature of the postal address.

Datatype: "AddressType2Code" on page 120

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

4.4.4.1.2.2 AddressLine <AdrLine>

Presence: [0..5]

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

Datatype: "Max70Text" on page 129

4.4.4.1.2.3 StreetName <StrtNm>

Presence: [0..1]

Definition: Name of a street or thoroughfare.

Datatype: "Max70Text" on page 129

4.4.4.1.2.4 BuildingNumber <BldgNb>

Presence: [0..1]

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

Datatype: "Max16Text" on page 127

4.4.4.1.2.5 PostBox <PstBx>

Presence: [0..1]

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

Datatype: "Max16Text" on page 127

4.4.4.1.2.6 PostCode <PstCd>

Presence: [0..1]

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

Datatype: "Max16Text" on page 127

4.4.4.1.2.7 TownName <TwnNm>

Presence: [0..1]

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

Datatype: "Max35Text" on page 128

4.4.4.1.2.8 CountrySubDivision <CtrySubDvsn>

Presence: [0..1]

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

Datatype: "Max35Text" on page 128

4.4.4.1.2.9 Country <Ctry>

Presence: [1..1]

Definition: Nation with its own government.

Impacted by: C2 "Country"

Datatype: "CountryCode" on page 120

Constraints

- **Country**

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

4.4.4.2 Identification <Id>

Presence: [1..1]

Definition: Identification of the party.

Identification <Id> contains one of the following **PartyIdentification195Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	37
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		38
Or}	LEI <LEI>	[1..1]	IdentifierSet		38

4.4.4.2.1 AnyBIC <AnyBIC>

Presence: [1..1]

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

Impacted by: C1 "AnyBIC"

Datatype: "AnyBICDec2014Identifier" on page 125

Constraints

- **AnyBIC**

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

4.4.4.2.2 ProprietaryIdentification <Prtryld>

Presence: [1..1]

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

ProprietaryIdentification <Prtryld> contains the following elements (see "[GenericIdentification36](#)" on page 112 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		113
	Issuer <Issr>	[1..1]	Text		113
	SchemeName <SchmeNm>	[0..1]	Text		113

4.4.4.2.3 LEI <LEI>

Presence: [1..1]

Definition: Legal entity identifier of the party.

Datatype: "[LEIIdentifier](#)" on page 126

4.4.4.3 ContactPerson <CtctPrsn>

Presence: [0..1]

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

ContactPerson <CtctPrsn> contains the following elements (see "[ContactIdentification2](#)" on page 116 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]	CodeSet		116
	GivenName <GvnNm>	[0..1]	Text		116
	Name <Nm>	[1..1]	Text		116
	PhoneNumber <PhneNb>	[0..1]	Text		116
	MobileNumber <MobNb>	[0..1]	Text		117
	FaxNumber <FaxNb>	[0..1]	Text		117
	EmailAddress <EmailAdr>	[0..1]	Text		117

4.4.5 SafekeepingAccountAndHoldings <SfkpgAcctAndHldgs>

Presence: [1..*]

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

SafekeepingAccountAndHoldings <SfkpgAcctAndHldgs> contains the following
SafekeepingAccount8 elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingAccount <SfkpgAcct>	[1..1]	Text		44
	AccountServicer <AcctSvcr>	[1..1]			44
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	44
Or	ProprietaryIdentification <Prtryld>	[1..1]	±		45
Or}	LEI <LEI>	[1..1]	IdentifierSet		45
	ShareholdingBalanceOnOwnAccount <ShrhldgBalOnOwnAcct>	[1..1]	Quantity		45
	ShareholdingBalanceOnClientAccount <ShrhldgBalOnClntAcct>	[1..1]	Quantity		45
	TotalShareholdingBalance <TtlShrhldgBal>	[1..1]	Quantity		45
	AccountSubLevel <AcctSubLvl>	[0..*]			45
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		49
	AccountHolder <AcctHldr>	[1..1]			50
{Or	LegalPerson <LglPrsn>	[1..1]			53
	NameAndAddress <NmAndAdr>	[1..1]			55
	Name <Nm>	[1..1]	Text		55
	Address <Adr>	[0..1]			55
	AddressType <AdrTp>	[0..1]	CodeSet		56
	AddressLine <AdrLine>	[0..5]	Text		56
	StreetName <StrtNm>	[0..1]	Text		56
	BuildingNumber <BldgNb>	[0..1]	Text		56
	PostBox <PstBx>	[0..1]	Text		57
	PostCode <PstCd>	[0..1]	Text		57
	TownName <TwnNm>	[0..1]	Text		57
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		57
	Country <Ctry>	[1..1]	CodeSet	C2	57
	EmailAddress <EmailAdr>	[0..1]	Text		57
	Identification <Id>	[1..1]			57
{Or	NationalRegistrationNumber <NtlRegnNb>	[1..1]	Text		58
Or	LEI <LEI>	[1..1]	IdentifierSet		58
Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	58

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
Or	ClientIdentification <Clntld>	[1..1]	Text		58
Or}	ProprietaryIdentification <Prtryld>	[1..1]	±		58
	CountryOfIncorporation <CtryOfIncorprtn>	[0..1]	CodeSet	C2	59
	ActivityIndicator <ActvtyInd>	[0..1]	IdentifierSet		59
	InvestorType <InvstrTp>	[0..1]			59
{Or	Code <Cd>	[1..1]	CodeSet		59
Or}	Proprietary <Prtry>	[1..1]	±		60
	Ownership <Ownrsh>	[0..1]			60
	OwnershipType <OwnrshTp>	[0..1]			60
{Or	Code <Cd>	[1..1]	CodeSet		61
Or}	Proprietary <Prtry>	[1..1]	±		61
	OwnershipPercentage <OwnrshPctg>	[0..1]	Rate		61
	UsufructPercentage <UsfrctPctg>	[0..1]	Rate		61
Or}	NaturalPerson <NtrlPrsn>	[1..*]			61
	NamePrefix <NmPrfx>	[0..1]	CodeSet		63
	NameAndAddress <NmAndAdr>	[1..1]			63
	FirstName <FrstNm>	[1..1]	Text		64
	Surname <SrnM>	[1..1]	Text		64
	Address <Adr>	[0..1]			64
	AddressType <AdrTp>	[0..1]	CodeSet		64
	AddressLine <AdrLine>	[0..5]	Text		65
	StreetName <StrtNm>	[0..1]	Text		65
	BuildingNumber <BldgNb>	[0..1]	Text		65
	PostBox <PstBx>	[0..1]	Text		65
	PostCode <PstCd>	[0..1]	Text		65
	TownName <TwnNm>	[0..1]	Text		65
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		65
	Country <Ctry>	[1..1]	CodeSet	C2	65
	EmailAddress <EmailAdr>	[0..1]	Text		66
	Identification <Id>	[1..1]			66
	Identification <Id>	[1..1]	Text		66

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IdentificationType <IdTp>	[0..1]			66
{Or	Code <Cd>	[1..1]	CodeSet		66
Or}	Proprietary <Prtry>	[1..1]	±		67
	Nationality <Ntlty>	[0..1]	CodeSet	C2	67
	DateAndPlaceOfBirth <DtAndPlcOfBirth>	[0..1]			68
	BirthDate <BirthDt>	[1..1]	Date		68
	ProvinceOfBirth <PrvcOfBirth>	[0..1]	Text		68
	CityOfBirth <CityOfBirth>	[0..1]	Text		68
	CountryOfBirth <CtryOfBirth>	[0..1]	CodeSet	C2	68
	InvestorType <InvstrTp>	[0..1]			69
{Or	Code <Cd>	[1..1]	CodeSet		69
Or}	Proprietary <Prtry>	[1..1]	±		69
	Ownership <Ownrsh>	[0..1]			69
	OwnershipType <OwnrshTp>	[0..1]			70
{Or	Code <Cd>	[1..1]	CodeSet		70
Or}	Proprietary <Prtry>	[1..1]	±		70
	OwnershipPercentage <OwnrshPctg>	[0..1]	Rate		71
	UsufructPercentage <UsfrctPctg>	[0..1]	Rate		71
	ShareholdingBalance <ShrhldgBal>	[1..*]			71
	ShareholdingType <ShrhldgTp>	[1..1]	CodeSet		73
	Quantity <Qty>	[1..1]	Quantity		74
	InitialDateOfShareholding <InitlDtOfShrhldg>	[0..1]			74
{Or	Date <Dt>	[1..1]	Date		74
Or}	DateCode <DtCd>	[1..1]			74
{Or	Code <Cd>	[1..1]	CodeSet		75
Or}	Proprietary <Prtry>	[1..1]	±		75
	ThirdParty <ThrdPty>	[0..*]			75
	Role <Role>	[1..1]			77
{Or	Code <Cd>	[1..1]	CodeSet		77
Or}	Proprietary <Prtry>	[1..1]	±		77
	Identification <Id>	[1..1]			78

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	LegalPerson <LglPrsn>	[1..1]			80
	NameAndAddress <NmAndAdr>	[0..1]			81
	Name <Nm>	[1..1]	Text		81
	Address <Adr>	[0..1]			81
	AddressType <AdrTp>	[0..1]	CodeSet		82
	AddressLine <AdrLine>	[0..5]	Text		82
	StreetName <StrtNm>	[0..1]	Text		82
	BuildingNumber <BldgNb>	[0..1]	Text		82
	PostBox <PstBx>	[0..1]	Text		83
	PostCode <PstCd>	[0..1]	Text		83
	TownName <TwnNm>	[0..1]	Text		83
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		83
	Country <Ctry>	[1..1]	CodeSet	C2	83
	Identification <Id>	[1..1]			83
{Or	NationalRegistrationNumber <NtlRegnNb>	[1..1]	Text		84
Or	LEI <LEI>	[1..1]	IdentifierSet		84
Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	84
Or	ClientIdentification <ClntId>	[1..1]	Text		84
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		84
Or}	NaturalPerson <NtrlPrsn>	[1..1]			85
	NameAndAddress <NmAndAdr>	[1..1]			85
	FirstName <FrstNm>	[1..1]	Text		86
	Surname <Srm>	[1..1]	Text		86
	Address <Adr>	[0..1]			86
	AddressType <AdrTp>	[0..1]	CodeSet		87
	AddressLine <AdrLine>	[0..5]	Text		87
	StreetName <StrtNm>	[0..1]	Text		87
	BuildingNumber <BldgNb>	[0..1]	Text		87
	PostBox <PstBx>	[0..1]	Text		88
	PostCode <PstCd>	[0..1]	Text		88
	TownName <TwnNm>	[0..1]	Text		88

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		88
	Country <Ctry>	[1..1]	CodeSet	C2	88
	Identification <Id>	[1..1]			88
	Identification <Id>	[1..1]	Text		89
	IdentificationType <IdTp>	[0..1]			89
{Or	Code <Cd>	[1..1]	CodeSet		89
Or}	Proprietary <Prtry>	[1..1]	±		90
	SupplementaryData <SplmtryData>	[0..*]	±	C8	90
	BelowThresholdShareholdingQuantity <BlwThrshldShrhldgQty>	[0..1]	Quantity		90

4.4.5.1 SafekeepingAccount <SfkpgAcct>

Presence: [1..1]

Definition: Account where financial instruments are maintained.

Datatype: "Max35Text" on page 128

4.4.5.2 AccountServicer <AcctSvcr>

Presence: [1..1]

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

AccountServicer <AcctSvcr> contains one of the following **PartyIdentification195Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	44
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		45
Or}	LEI <LEI>	[1..1]	IdentifierSet		45

4.4.5.2.1 AnyBIC <AnyBIC>

Presence: [1..1]

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

Impacted by: C1 "AnyBIC"

Datatype: "AnyBICDec2014Identifier" on page 125

Constraints

- **AnyBIC**

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

4.4.5.2.2 ProprietaryIdentification <Prtryld>

Presence: [1..1]

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

ProprietaryIdentification <Prtryld> contains the following elements (see "[GenericIdentification36](#)" on page 112 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		113
	Issuer <Issr>	[1..1]	Text		113
	SchemeName <SchmeNm>	[0..1]	Text		113

4.4.5.2.3 LEI <LEI>

Presence: [1..1]

Definition: Legal entity identifier of the party.

Datatype: "[LEIIdentifier](#)" on page 126

4.4.5.3 ShareholdingBalanceOnOwnAccount <ShrhldgBalOnOwnAcct>

Presence: [1..1]

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

Datatype: "[DecimalNumber](#)" on page 126

4.4.5.4 ShareholdingBalanceOnClientAccount <ShrhldgBalOnClntAcct>

Presence: [1..1]

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

Datatype: "[DecimalNumber](#)" on page 126

4.4.5.5 TotalShareholdingBalance <TtlShrhldgBal>

Presence: [1..1]

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

Datatype: "[DecimalNumber](#)" on page 126

4.4.5.6 AccountSubLevel <AcctSubLvl>

Presence: [0..*]

Definition: Shareholdings information at account sub level.

AccountSubLevel <AcctSubLvl> contains the following **AccountSubLevel20** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	SafekeepingAccount <SfkpgAcct>	[0..1]	Text		49
	AccountHolder <AcctHldr>	[1..1]			50
{Or	LegalPerson <LglPrsn>	[1..1]			53
	NameAndAddress <NmAndAdr>	[1..1]			55
	Name <Nm>	[1..1]	Text		55
	Address <Adr>	[0..1]			55
	AddressType <AdrTp>	[0..1]	CodeSet		56
	AddressLine <AdrLine>	[0..5]	Text		56
	StreetName <StrtNm>	[0..1]	Text		56
	BuildingNumber <BldgNb>	[0..1]	Text		56
	PostBox <PstBx>	[0..1]	Text		57
	PostCode <PstCd>	[0..1]	Text		57
	TownName <TwnNm>	[0..1]	Text		57
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		57
	Country <Ctry>	[1..1]	CodeSet	C2	57
	EmailAddress <EmailAdr>	[0..1]	Text		57
	Identification <Id>	[1..1]			57
{Or	NationalRegistrationNumber <NtlRegnNb>	[1..1]	Text		58
Or	LEI <LEI>	[1..1]	IdentifierSet		58
Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	58
Or	ClientIdentification <ClntId>	[1..1]	Text		58
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		58
	CountryOfIncorporation <CtryOfIncorprtn>	[0..1]	CodeSet	C2	59
	ActivityIndicator <ActvtyInd>	[0..1]	IdentifierSet		59
	InvestorType <InvstrTp>	[0..1]			59
{Or	Code <Cd>	[1..1]	CodeSet		59
Or}	Proprietary <Prtry>	[1..1]	±		60
	Ownership <Ownrsh>	[0..1]			60
	OwnershipType <OwnrshTp>	[0..1]			60
{Or	Code <Cd>	[1..1]	CodeSet		61
Or}	Proprietary <Prtry>	[1..1]	±		61

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnershipPercentage <OwnrshPctg>	[0..1]	Rate		61
	UsufructPercentage <UsfrctPctg>	[0..1]	Rate		61
Or}	NaturalPerson <NtrlPrsn>	[1..*]			61
	NamePrefix <NmPrfx>	[0..1]	CodeSet		63
	NameAndAddress <NmAndAdr>	[1..1]			63
	FirstName <FrstNm>	[1..1]	Text		64
	Surname <Snm>	[1..1]	Text		64
	Address <Adr>	[0..1]			64
	AddressType <AdrTp>	[0..1]	CodeSet		64
	AddressLine <AdrLine>	[0..5]	Text		65
	StreetName <StrtNm>	[0..1]	Text		65
	BuildingNumber <BldgNb>	[0..1]	Text		65
	PostBox <PstBx>	[0..1]	Text		65
	PostCode <PstCd>	[0..1]	Text		65
	TownName <TwnNm>	[0..1]	Text		65
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		65
	Country <Ctry>	[1..1]	CodeSet	C2	65
	EmailAddress <EmailAdr>	[0..1]	Text		66
	Identification <Id>	[1..1]			66
	Identification <Id>	[1..1]	Text		66
	IdentificationType <IdTp>	[0..1]			66
{Or	Code <Cd>	[1..1]	CodeSet		66
Or}	Proprietary <Prtry>	[1..1]	±		67
	Nationality <Ntlty>	[0..1]	CodeSet	C2	67
	DateAndPlaceOfBirth <DtAndPlcOfBirth>	[0..1]			68
	BirthDate <BirthDt>	[1..1]	Date		68
	ProvinceOfBirth <PrvcOfBirth>	[0..1]	Text		68
	CityOfBirth <CityOfBirth>	[0..1]	Text		68
	CountryOfBirth <CtryOfBirth>	[0..1]	CodeSet	C2	68
	InvestorType <InvstrTp>	[0..1]			69
{Or	Code <Cd>	[1..1]	CodeSet		69

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
Or}	Proprietary <Prtry>	[1..1]	±		69
	Ownership <Ownrsh>	[0..1]			69
	OwnershipType <OwnrshTp>	[0..1]			70
{Or	Code <Cd>	[1..1]	CodeSet		70
Or}	Proprietary <Prtry>	[1..1]	±		70
	OwnershipPercentage <OwnrshPctg>	[0..1]	Rate		71
	UsufructPercentage <UsfrctPctg>	[0..1]	Rate		71
	ShareholdingBalance <ShrhldgBal>	[1..*]			71
	ShareholdingType <ShrhldgTp>	[1..1]	CodeSet		73
	Quantity <Qty>	[1..1]	Quantity		74
	InitialDateOfShareholding <InitlDtOfShrhldg>	[0..1]			74
{Or	Date <Dt>	[1..1]	Date		74
Or}	DateCode <DtCd>	[1..1]			74
{Or	Code <Cd>	[1..1]	CodeSet		75
Or}	Proprietary <Prtry>	[1..1]	±		75
	ThirdParty <ThrdPty>	[0..*]			75
	Role <Role>	[1..1]			77
{Or	Code <Cd>	[1..1]	CodeSet		77
Or}	Proprietary <Prtry>	[1..1]	±		77
	Identification <Id>	[1..1]			78
{Or	LegalPerson <LglPrsn>	[1..1]			80
	NameAndAddress <NmAndAdr>	[0..1]			81
	Name <Nm>	[1..1]	Text		81
	Address <Adr>	[0..1]			81
	AddressType <AdrTp>	[0..1]	CodeSet		82
	AddressLine <AdrLine>	[0..5]	Text		82
	StreetName <StrtNm>	[0..1]	Text		82
	BuildingNumber <BldgNb>	[0..1]	Text		82
	PostBox <PstBx>	[0..1]	Text		83
	PostCode <PstCd>	[0..1]	Text		83
	TownName <TwnNm>	[0..1]	Text		83

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		83
	Country <Ctry>	[1..1]	CodeSet	C2	83
	Identification <Id>	[1..1]			83
{Or	NationalRegistrationNumber <NtlRegnNb>	[1..1]	Text		84
Or	LEI <LEI>	[1..1]	IdentifierSet		84
Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	84
Or	ClientIdentification <ClntId>	[1..1]	Text		84
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		84
Or}	NaturalPerson <NtrlPrsn>	[1..1]			85
	NameAndAddress <NmAndAdr>	[1..1]			85
	FirstName <FrstNm>	[1..1]	Text		86
	Surname <SrnM>	[1..1]	Text		86
	Address <Adr>	[0..1]			86
	AddressType <AdrTp>	[0..1]	CodeSet		87
	AddressLine <AdrLine>	[0..5]	Text		87
	StreetName <StrtNm>	[0..1]	Text		87
	BuildingNumber <BldgNb>	[0..1]	Text		87
	PostBox <PstBx>	[0..1]	Text		88
	PostCode <PstCd>	[0..1]	Text		88
	TownName <TwnNm>	[0..1]	Text		88
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		88
	Country <Ctry>	[1..1]	CodeSet	C2	88
	Identification <Id>	[1..1]			88
	Identification <Id>	[1..1]	Text		89
	IdentificationType <IdTp>	[0..1]			89
{Or	Code <Cd>	[1..1]	CodeSet		89
Or}	Proprietary <Prtry>	[1..1]	±		90
	SupplementaryData <SplmtryData>	[0..*]	±	C8	90

4.4.5.6.1 SafekeepingAccount <SfkpgAcct>

Presence: [0..1]

Definition: Account where financial instruments are maintained.

Datatype: "Max35Text" on page 128

4.4.5.6.2 AccountHolder <AcctHldr>

Presence: [1..1]

Definition: Party that legally owns the account.

AccountHolder <AcctHldr> contains one of the following **PartyIdentification196Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	LegalPerson <LglPrsn>	[1..1]			53
	NameAndAddress <NmAndAdr>	[1..1]			55
	Name <Nm>	[1..1]	Text		55
	Address <Adr>	[0..1]			55
	AddressType <AdrTp>	[0..1]	CodeSet		56
	AddressLine <AdrLine>	[0..5]	Text		56
	StreetName <StrtNm>	[0..1]	Text		56
	BuildingNumber <BldgNb>	[0..1]	Text		56
	PostBox <PstBx>	[0..1]	Text		57
	PostCode <PstCd>	[0..1]	Text		57
	TownName <TwnNm>	[0..1]	Text		57
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		57
	Country <Ctry>	[1..1]	CodeSet	C2	57
	EmailAddress <EmailAdr>	[0..1]	Text		57
	Identification <Id>	[1..1]			57
{Or	NationalRegistrationNumber <NtlRegnNb>	[1..1]	Text		58
Or	LEI <LEI>	[1..1]	IdentifierSet		58
Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	58
Or	ClientIdentification <Cintld>	[1..1]	Text		58
Or}	ProprietaryIdentification <Prtryld>	[1..1]	±		58
	CountryOfIncorporation <CtryOfIncorprtn>	[0..1]	CodeSet	C2	59
	ActivityIndicator <ActvtyInd>	[0..1]	IdentifierSet		59
	InvestorType <InvstrTp>	[0..1]			59
{Or	Code <Cd>	[1..1]	CodeSet		59
Or}	Proprietary <Prtry>	[1..1]	±		60
	Ownership <Ownrsh>	[0..1]			60
	OwnershipType <OwnrshTp>	[0..1]			60
{Or	Code <Cd>	[1..1]	CodeSet		61
Or}	Proprietary <Prtry>	[1..1]	±		61
	OwnershipPercentage <OwnrshPctg>	[0..1]	Rate		61
	UsufructPercentage <UsfrctPctg>	[0..1]	Rate		61

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
Or}	NaturalPerson <NtrlPrsn>	[1..*]			61
	NamePrefix <NmPrfx>	[0..1]	CodeSet		63
	NameAndAddress <NmAndAdr>	[1..1]			63
	FirstName <FrstNm>	[1..1]	Text		64
	Surname <Snm>	[1..1]	Text		64
	Address <Adr>	[0..1]			64
	AddressType <AdrTp>	[0..1]	CodeSet		64
	AddressLine <AdrLine>	[0..5]	Text		65
	StreetName <StrtNm>	[0..1]	Text		65
	BuildingNumber <BldgNb>	[0..1]	Text		65
	PostBox <PstBx>	[0..1]	Text		65
	PostCode <PstCd>	[0..1]	Text		65
	TownName <TwnNm>	[0..1]	Text		65
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		65
	Country <Ctry>	[1..1]	CodeSet	C2	65
	EmailAddress <EmailAdr>	[0..1]	Text		66
	Identification <Id>	[1..1]			66
	Identification <Id>	[1..1]	Text		66
	IdentificationType <IdTp>	[0..1]			66
{Or	Code <Cd>	[1..1]	CodeSet		66
Or}	Proprietary <Prtry>	[1..1]	±		67
	Nationality <Ntlty>	[0..1]	CodeSet	C2	67
	DateAndPlaceOfBirth <DtAndPlcOfBirth>	[0..1]			68
	BirthDate <BirthDt>	[1..1]	Date		68
	ProvinceOfBirth <PrvcOfBirth>	[0..1]	Text		68
	CityOfBirth <CityOfBirth>	[0..1]	Text		68
	CountryOfBirth <CtryOfBirth>	[0..1]	CodeSet	C2	68
	InvestorType <InvstrTp>	[0..1]			69
{Or	Code <Cd>	[1..1]	CodeSet		69
Or}	Proprietary <Prtry>	[1..1]	±		69
	Ownership <Ownrsh>	[0..1]			69

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnershipType <OwrrshTp>	[0..1]			70
{Or	Code <Cd>	[1..1]	CodeSet		70
Or}	Proprietary <Prtry>	[1..1]	±		70
	OwnershipPercentage <OwrrshPctg>	[0..1]	Rate		71
	UsufructPercentage <UsfrctPctg>	[0..1]	Rate		71

4.4.5.6.2.1 LegalPerson <LglPrsn>

Presence: [1..1]

Definition: Legal entity.

LegalPerson <LgIPrsn> contains the following PartyIdentification216 elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NameAndAddress <NmAndAdr>	[1..1]			55
	Name <Nm>	[1..1]	Text		55
	Address <Adr>	[0..1]			55
	AddressType <AdrTp>	[0..1]	CodeSet		56
	AddressLine <AdrLine>	[0..5]	Text		56
	StreetName <StrtNm>	[0..1]	Text		56
	BuildingNumber <BldgNb>	[0..1]	Text		56
	PostBox <PstBx>	[0..1]	Text		57
	PostCode <PstCd>	[0..1]	Text		57
	TownName <TwnNm>	[0..1]	Text		57
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		57
	Country <Ctry>	[1..1]	CodeSet	C2	57
	EmailAddress <EmailAdr>	[0..1]	Text		57
	Identification <Id>	[1..1]			57
{Or	NationalRegistrationNumber <NtlRegnNb>	[1..1]	Text		58
Or	LEI <LEI>	[1..1]	IdentifierSet		58
Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	58
Or	ClientIdentification <ClntId>	[1..1]	Text		58
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		58
	CountryOfIncorporation <CtryOfIncorprtn>	[0..1]	CodeSet	C2	59
	ActivityIndicator <ActvtyInd>	[0..1]	IdentifierSet		59
	InvestorType <InvstrTp>	[0..1]			59
{Or	Code <Cd>	[1..1]	CodeSet		59
Or}	Proprietary <Prtry>	[1..1]	±		60
	Ownership <Ownrsh>	[0..1]			60
	OwnershipType <OwnrshTp>	[0..1]			60
{Or	Code <Cd>	[1..1]	CodeSet		61
Or}	Proprietary <Prtry>	[1..1]	±		61
	OwnershipPercentage <OwnrshPctg>	[0..1]	Rate		61
	UsufructPercentage <UsfrctPctg>	[0..1]	Rate		61

4.4.5.6.2.1.1 NameAndAddress <NmAndAdr>

Presence: [1..1]

Definition: Name and address of the party.

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		55
	Address <Adr>	[0..1]			55
	AddressType <AdrTp>	[0..1]	CodeSet		56
	AddressLine <AdrLine>	[0..5]	Text		56
	StreetName <StrtNm>	[0..1]	Text		56
	BuildingNumber <BldgNb>	[0..1]	Text		56
	PostBox <PstBx>	[0..1]	Text		57
	PostCode <PstCd>	[0..1]	Text		57
	TownName <TwnNm>	[0..1]	Text		57
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		57
	Country <Ctry>	[1..1]	CodeSet	C2	57

4.4.5.6.2.1.1.1 Name <Nm>

Presence: [1..1]

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

Datatype: "Max350Text" on page 128

4.4.5.6.2.1.1.2 Address <Adr>

Presence: [0..1]

Definition: Postal address of the party.

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		56
	AddressLine <AdrLine>	[0..5]	Text		56
	StreetName <StrtNm>	[0..1]	Text		56
	BuildingNumber <BldgNb>	[0..1]	Text		56
	PostBox <PstBx>	[0..1]	Text		57
	PostCode <PstCd>	[0..1]	Text		57
	TownName <TwnNm>	[0..1]	Text		57
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		57
	Country <Ctry>	[1..1]	CodeSet	C2	57

4.4.5.6.2.1.1.2.1 AddressType <AdrTp>

Presence: [0..1]

Definition: Identifies the nature of the postal address.

Datatype: "AddressType2Code" on page 120

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

4.4.5.6.2.1.1.2.2 AddressLine <AdrLine>

Presence: [0..5]

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

Datatype: "Max70Text" on page 129

4.4.5.6.2.1.1.2.3 StreetName <StrtNm>

Presence: [0..1]

Definition: Name of a street or thoroughfare.

Datatype: "Max70Text" on page 129

4.4.5.6.2.1.1.2.4 BuildingNumber <BldgNb>

Presence: [0..1]

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

Datatype: "Max16Text" on page 127

4.4.5.6.2.1.1.2.5 PostBox <PstBx>

Presence: [0..1]

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

Datatype: "Max16Text" on page 127

4.4.5.6.2.1.1.2.6 PostCode <PstCd>

Presence: [0..1]

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

Datatype: "Max16Text" on page 127

4.4.5.6.2.1.1.2.7 TownName <TwnNm>

Presence: [0..1]

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

Datatype: "Max35Text" on page 128

4.4.5.6.2.1.1.2.8 CountrySubDivision <CtrySubDvsn>

Presence: [0..1]

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

Datatype: "Max35Text" on page 128

4.4.5.6.2.1.1.2.9 Country <Ctry>

Presence: [1..1]

Definition: Nation with its own government.

Impacted by: C2 "Country"

Datatype: "CountryCode" on page 120

Constraints

- **Country**

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

4.4.5.6.2.1.2 EmailAddress <EmailAdr>

Presence: [0..1]

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

Datatype: "Max256Text" on page 128

4.4.5.6.2.1.3 Identification <Id>

Presence: [1..1]

Definition: Identification of the party.

Identification <Id> contains one of the following **PartyIdentification198Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NationalRegistrationNumber <NtlRegnNb>	[1..1]	Text		58
Or	LEI <LEI>	[1..1]	IdentifierSet		58
Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	58
Or	ClientIdentification <ClntId>	[1..1]	Text		58
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		58

4.4.5.6.2.1.3.1 NationalRegistrationNumber <NtlRegnNb>

Presence: [1..1]

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

Datatype: "Max35Text" on page 128

4.4.5.6.2.1.3.2 LEI <LEI>

Presence: [1..1]

Definition: Legal entity identifier of the party.

Datatype: "LEIIdentifier" on page 126

4.4.5.6.2.1.3.3 AnyBIC <AnyBIC>

Presence: [1..1]

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

Impacted by: C1 "AnyBIC"

Datatype: "AnyBICDec2014Identifier" on page 125

Constraints

- **AnyBIC**

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

4.4.5.6.2.1.3.4 ClientIdentification <ClntId>

Presence: [1..1]

Definition: Unique and unambiguous identification of the client counterparty.

Datatype: "Max50Text" on page 128

4.4.5.6.2.1.3.5 ProprietaryIdentification <PrtryId>

Presence: [1..1]

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

ProprietaryIdentification <PrtryId> contains the following elements (see "[GenericIdentification36](#)" on page 112 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		113
	Issuer <Issr>	[1..1]	Text		113
	SchemeName <SchmeNm>	[0..1]	Text		113

4.4.5.6.2.1.4 CountryOfIncorporation <CtryOfIncorprtn>

Presence: [0..1]

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

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

Datatype: "[CountryCode](#)" on page 120

Constraints

- **Country**

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

4.4.5.6.2.1.5 ActivityIndicator <ActvtyInd>

Presence: [0..1]

Definition: Economical activity of the investor.

Datatype: "[ISICIdentifier](#)" on page 125

4.4.5.6.2.1.6 InvestorType <InvstrTp>

Presence: [0..1]

Definition: Type of investor.

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		59
Or}	Proprietary <Prtry>	[1..1]	±		60

4.4.5.6.2.1.6.1 Code <Cd>

Presence: [1..1]

Definition: Investor type expressed as an ISO 20022 code.

Datatype: "[Eligibility1Code](#)" on page 121

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

4.4.5.6.2.1.6.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Investor type expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see "[GenericIdentification30](#)" on page 112 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		112
	Issuer <Issr>	[1..1]	Text		112
	SchemeName <SchmeNm>	[0..1]	Text		112

4.4.5.6.2.1.7 Ownership <Ownrsh>

Presence: [0..1]

Definition: Provides information about the ownership on an asset.

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnershipType <OwnrshTp>	[0..1]			60
{Or	Code <Cd>	[1..1]	CodeSet		61
Or}	Proprietary <Prtry>	[1..1]	±		61
	OwnershipPercentage <OwnrshPctg>	[0..1]	Rate		61
	UsufructPercentage <UsfrctPctg>	[0..1]	Rate		61

4.4.5.6.2.1.7.1 OwnershipType <OwnrshTp>

Presence: [0..1]

Definition: Specifies the type of ownership.

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		61
Or}	Proprietary <Prtry>	[1..1]	±		61

4.4.5.6.2.1.7.1.1 Code <Cd>

Presence: [1..1]

Definition: Owner type expressed as an ISO 20022 code.

Datatype: "AccountOwnershipType5Code" on page 120

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

4.4.5.6.2.1.7.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Owner type expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see "[GenericIdentification30](#)" on page 112 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		112
	Issuer <Issr>	[1..1]	Text		112
	SchemeName <SchmeNm>	[0..1]	Text		112

4.4.5.6.2.1.7.2 OwnershipPercentage <OwnrshPctg>

Presence: [0..1]

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

Datatype: "PercentageRate" on page 127

4.4.5.6.2.1.7.3 UsufructPercentage <UsfrctPctg>

Presence: [0..1]

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

Datatype: "PercentageRate" on page 127

4.4.5.6.2.2 NaturalPerson <NtrlPrsn>

Presence: [1..*]

Definition: Private person.

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]	CodeSet		63
	NameAndAddress <NmAndAdr>	[1..1]			63
	FirstName <FrstNm>	[1..1]	Text		64
	Surname <SrnM>	[1..1]	Text		64
	Address <Adr>	[0..1]			64
	AddressType <AdrTp>	[0..1]	CodeSet		64
	AddressLine <AdrLine>	[0..5]	Text		65
	StreetName <StrtNm>	[0..1]	Text		65
	BuildingNumber <BldgNb>	[0..1]	Text		65
	PostBox <PstBx>	[0..1]	Text		65
	PostCode <PstCd>	[0..1]	Text		65
	TownName <TwnNm>	[0..1]	Text		65
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		65
	Country <Ctry>	[1..1]	CodeSet	C2	65
	EmailAddress <EmailAdr>	[0..1]	Text		66
	Identification <Id>	[1..1]			66
	Identification <Id>	[1..1]	Text		66
	IdentificationType <IdTp>	[0..1]			66
{Or	Code <Cd>	[1..1]	CodeSet		66
Or}	Proprietary <Prtry>	[1..1]	±		67
	Nationality <Ntlty>	[0..1]	CodeSet	C2	67
	DateAndPlaceOfBirth <DtAndPlcOfBirth>	[0..1]			68
	BirthDate <BirthDt>	[1..1]	Date		68
	ProvinceOfBirth <PrvcOfBirth>	[0..1]	Text		68
	CityOfBirth <CityOfBirth>	[0..1]	Text		68
	CountryOfBirth <CtryOfBirth>	[0..1]	CodeSet	C2	68
	InvestorType <InvstrTp>	[0..1]			69
{Or	Code <Cd>	[1..1]	CodeSet		69
Or}	Proprietary <Prtry>	[1..1]	±		69
	Ownership <Ownrsh>	[0..1]			69
	OwnershipType <OwnrshTp>	[0..1]			70

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		70
Or}	Proprietary <Prtry>	[1..1]	±		70
	OwnershipPercentage <OwnrshPctg>	[0..1]	Rate		71
	UsufructPercentage <UsfrctPctg>	[0..1]	Rate		71

4.4.5.6.2.2.1 NamePrefix <NmPrfx>

Presence: [0..1]

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

Datatype: "NamePrefix2Code" on page 122

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

4.4.5.6.2.2.2 NameAndAddress <NmAndAdr>

Presence: [1..1]

Definition: Name and address of the party.

NameAndAddress <NmAndAdr> contains the following **PersonName1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FirstName <FrstNm>	[1..1]	Text		64
	Surname <SrnM>	[1..1]	Text		64
	Address <Adr>	[0..1]			64
	AddressType <AdrTp>	[0..1]	CodeSet		64
	AddressLine <AdrLine>	[0..5]	Text		65
	StreetName <StrtNm>	[0..1]	Text		65
	BuildingNumber <BldgNb>	[0..1]	Text		65
	PostBox <PstBx>	[0..1]	Text		65
	PostCode <PstCd>	[0..1]	Text		65
	TownName <TwnNm>	[0..1]	Text		65
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		65
	Country <Ctry>	[1..1]	CodeSet	C2	65

4.4.5.6.2.2.2.1 FirstName <FrstNm>

Presence: [1..1]

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

Datatype: "Max350Text" on page 128

4.4.5.6.2.2.2.2 Surname <SrnM>

Presence: [1..1]

Definition: Name (s) by which a natural person is known and which is usually used to identify that party.

Datatype: "Max350Text" on page 128

4.4.5.6.2.2.2.3 Address <Adr>

Presence: [0..1]

Definition: Postal address of the party.

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		64
	AddressLine <AdrLine>	[0..5]	Text		65
	StreetName <StrtNm>	[0..1]	Text		65
	BuildingNumber <BldgNb>	[0..1]	Text		65
	PostBox <PstBx>	[0..1]	Text		65
	PostCode <PstCd>	[0..1]	Text		65
	TownName <TwnNm>	[0..1]	Text		65
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		65
	Country <Ctry>	[1..1]	CodeSet	C2	65

4.4.5.6.2.2.2.3.1 AddressType <AdrTp>

Presence: [0..1]

Definition: Identifies the nature of the postal address.

Datatype: "AddressType2Code" on page 120

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

4.4.5.6.2.2.2.3.2 AddressLine <AdrLine>

Presence: [0..5]

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

Datatype: "Max70Text" on page 129

4.4.5.6.2.2.2.3.3 StreetName <StrtNm>

Presence: [0..1]

Definition: Name of a street or thoroughfare.

Datatype: "Max70Text" on page 129

4.4.5.6.2.2.2.3.4 BuildingNumber <BldgNb>

Presence: [0..1]

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

Datatype: "Max16Text" on page 127

4.4.5.6.2.2.2.3.5 PostBox <PstBx>

Presence: [0..1]

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

Datatype: "Max16Text" on page 127

4.4.5.6.2.2.2.3.6 PostCode <PstCd>

Presence: [0..1]

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

Datatype: "Max16Text" on page 127

4.4.5.6.2.2.2.3.7 TownName <TwnNm>

Presence: [0..1]

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

Datatype: "Max35Text" on page 128

4.4.5.6.2.2.2.3.8 CountrySubDivision <CtrySubDvsn>

Presence: [0..1]

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

Datatype: "Max35Text" on page 128

4.4.5.6.2.2.2.3.9 Country <Ctry>

Presence: [1..1]

Definition: Nation with its own government.

Impacted by: C2 "Country"

Datatype: "CountryCode" on page 120

Constraints

- **Country**

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

4.4.5.6.2.2.3 EmailAddress <EmailAdr>

Presence: [0..1]

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

Datatype: "Max256Text" on page 128

4.4.5.6.2.2.4 Identification <Id>

Presence: [1..1]

Definition: Natural person identification details.

Identification <Id> contains the following **NaturalPersonIdentification1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		66
	IdentificationType <IdTp>	[0..1]			66
{Or	Code <Cd>	[1..1]	CodeSet		66
Or}	Proprietary <Prtry>	[1..1]	±		67

4.4.5.6.2.2.4.1 Identification <Id>

Presence: [1..1]

Definition: Natural person national identification.

Datatype: "Max35Text" on page 128

4.4.5.6.2.2.4.2 IdentificationType <IdTp>

Presence: [0..1]

Definition: Specifies the type of identification of the person identified.

IdentificationType <IdTp> contains one of the following **IdentificationType45Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		66
Or}	Proprietary <Prtry>	[1..1]	±		67

4.4.5.6.2.2.4.2.1 Code <Cd>

Presence: [1..1]

Definition: Type of identification using a predefined code.

Datatype: "TypeOfIdentification4Code" on page 124

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

4.4.5.6.2.2.4.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of identification is defined using a data source scheme.

Proprietary <Prtry> contains the following elements (see "[GenericIdentification30](#)" on page 112 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		112
	Issuer <Issr>	[1..1]	Text		112
	SchemeName <SchmeNm>	[0..1]	Text		112

4.4.5.6.2.2.5 Nationality <Ntlty>

Presence: [0..1]

Definition: Nationality of the person.

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

Datatype: ["CountryCode"](#) on page 120

Constraints

- **Country**

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

4.4.5.6.2.2.6 DateAndPlaceOfBirth <DtAndPlcOfBirth>

Presence: [0..1]

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

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BirthDate <BirthDt>	[1..1]	Date		68
	ProvinceOfBirth <PrvcOfBirth>	[0..1]	Text		68
	CityOfBirth <CityOfBirth>	[0..1]	Text		68
	CountryOfBirth <CtryOfBirth>	[0..1]	CodeSet	C2	68

4.4.5.6.2.2.6.1 BirthDate <BirthDt>

Presence: [1..1]

Definition: Date on which a person is born.

Datatype: "ISODate" on page 124

4.4.5.6.2.2.6.2 ProvinceOfBirth <PrvcOfBirth>

Presence: [0..1]

Definition: Province where a person was born.

Datatype: "Max35Text" on page 128

4.4.5.6.2.2.6.3 CityOfBirth <CityOfBirth>

Presence: [0..1]

Definition: City where a person was born.

Datatype: "Max35Text" on page 128

4.4.5.6.2.2.6.4 CountryOfBirth <CtryOfBirth>

Presence: [0..1]

Definition: Country where a person was born.

Impacted by: C2 "Country"

Datatype: "CountryCode" on page 120

Constraints

- **Country**

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

4.4.5.6.2.2.7 InvestorType <InvstrTp>

Presence: [0..1]

Definition: Type of investor.

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		69
Or}	Proprietary <Prtry>	[1..1]	±		69

4.4.5.6.2.2.7.1 Code <Cd>

Presence: [1..1]

Definition: Investor type expressed as an ISO 20022 code.

Datatype: "Eligibility1Code" on page 121

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

4.4.5.6.2.2.7.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Investor type expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see "[GenericIdentification30](#)" on page 112 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		112
	Issuer <Issr>	[1..1]	Text		112
	SchemeName <SchmeNm>	[0..1]	Text		112

4.4.5.6.2.2.8 Ownership <Ownrsh>

Presence: [0..1]

Definition: Provides information about the ownership on an asset.

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	OwnershipType <OwnrshTp>	[0..1]			70
{Or	Code <Cd>	[1..1]	CodeSet		70
Or}	Proprietary <Prtry>	[1..1]	±		70
	OwnershipPercentage <OwnrshPctg>	[0..1]	Rate		71
	UsufructPercentage <UsfrctPctg>	[0..1]	Rate		71

4.4.5.6.2.2.8.1 OwnershipType <OwnrshTp>

Presence: [0..1]

Definition: Specifies the type of ownership.

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		70
Or}	Proprietary <Prtry>	[1..1]	±		70

4.4.5.6.2.2.8.1.1 Code <Cd>

Presence: [1..1]

Definition: Owner type expressed as an ISO 20022 code.

Datatype: "AccountOwnershipType5Code" on page 120

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

4.4.5.6.2.2.8.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Owner type expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see "[GenericIdentification30](#)" on page 112 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		112
	Issuer <Issr>	[1..1]	Text		112
	SchemaName <SchmeNm>	[0..1]	Text		112

4.4.5.6.2.2.8.2 OwnershipPercentage <OwnrshPctg>

Presence: [0..1]

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

Datatype: "[PercentageRate](#)" on page 127

4.4.5.6.2.2.8.3 UsufructPercentage <UsfrctPctg>

Presence: [0..1]

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

Datatype: "[PercentageRate](#)" on page 127

4.4.5.6.3 ShareholdingBalance <ShrhldgBal>

Presence: [1..*]

Definition: Detailed shareholding balance information for an account.

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ShareholdingType <ShrhldgTp>	[1..1]	CodeSet		73
	Quantity <Qty>	[1..1]	Quantity		74
	InitialDateOfShareholding <InitlDtOfShrhldg>	[0..1]			74
{Or	Date <Dt>	[1..1]	Date		74
Or}	DateCode <DtCd>	[1..1]			74
{Or	Code <Cd>	[1..1]	CodeSet		75
Or}	Proprietary <Prtry>	[1..1]	±		75
	ThirdParty <ThrdPty>	[0..*]			75
	Role <Role>	[1..1]			77
{Or	Code <Cd>	[1..1]	CodeSet		77
Or}	Proprietary <Prtry>	[1..1]	±		77
	Identification <Id>	[1..1]			78
{Or	LegalPerson <LglPrsn>	[1..1]			80
	NameAndAddress <NmAndAdr>	[0..1]			81
	Name <Nm>	[1..1]	Text		81
	Address <Adr>	[0..1]			81
	AddressType <AdrTp>	[0..1]	CodeSet		82
	AddressLine <AdrLine>	[0..5]	Text		82
	StreetName <StrtNm>	[0..1]	Text		82
	BuildingNumber <BldgNb>	[0..1]	Text		82
	PostBox <PstBx>	[0..1]	Text		83
	PostCode <PstCd>	[0..1]	Text		83
	TownName <TwnNm>	[0..1]	Text		83
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		83
	Country <Ctry>	[1..1]	CodeSet	C2	83
	Identification <Id>	[1..1]			83
{Or	NationalRegistrationNumber <NtlRegnNb>	[1..1]	Text		84
Or	LEI <LEI>	[1..1]	IdentifierSet		84
Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	84
Or	ClientIdentification <ClntId>	[1..1]	Text		84
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		84

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
Or}	NaturalPerson <NtrlPrsn>	[1..1]			85
	NameAndAddress <NmAndAdr>	[1..1]			85
	FirstName <FrstNm>	[1..1]	Text		86
	Surname <SrnM>	[1..1]	Text		86
	Address <Adr>	[0..1]			86
	AddressType <AdrTp>	[0..1]	CodeSet		87
	AddressLine <AdrLine>	[0..5]	Text		87
	StreetName <StrtNm>	[0..1]	Text		87
	BuildingNumber <BldgNb>	[0..1]	Text		87
	PostBox <PstBx>	[0..1]	Text		88
	PostCode <PstCd>	[0..1]	Text		88
	TownName <TwnNm>	[0..1]	Text		88
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		88
	Country <Ctry>	[1..1]	CodeSet	C2	88
	Identification <Id>	[1..1]			88
	Identification <Id>	[1..1]	Text		89
	IdentificationType <IdTp>	[0..1]			89
{Or	Code <Cd>	[1..1]	CodeSet		89
Or}	Proprietary <Prtry>	[1..1]	±		90
	SupplementaryData <SplmtryData>	[0..*]	±	C8	90

4.4.5.6.3.1 ShareholdingType <ShrhldgTp>

Presence: [1..1]

Definition: Identifies the category of shareholding.

Datatype: "ShareholdingType1Code" on page 123

CodeName	Name	Definition
BENE	BeneficialShareholding	Shares are held on behalf of the beneficial owner. Usage: this type should be used to report assets the intermediary holds on behalf of a final beneficial owner.
NOMI	NomineeShareholding	Shares are held on behalf of an intermediary. Usage: this type should be used to report assets the intermediary holds on behalf of another intermediary.

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

4.4.5.6.3.2 Quantity <Qty>

Presence: [1..1]

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

Datatype: "DecimalNumber" on page 126

4.4.5.6.3.3 InitialDateOfShareholding <InitIDtOfShrhldg>

Presence: [0..1]

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

InitialDateOfShareholding <InitIDtOfShrhldg> contains one of the following **DateFormat57Choice** elements

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

4.4.5.6.3.3.1 Date <Dt>

Presence: [1..1]

Definition: Date expressed as a calendar date.

Datatype: "ISODate" on page 124

4.4.5.6.3.3.2 DateCode <DtCd>

Presence: [1..1]

Definition: Date is expressed using a code.

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

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

4.4.5.6.3.3.2.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to indicate the date is unknown.

Datatype: "DateType1Code" on page 121

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

4.4.5.6.3.3.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of date.

Proprietary <Prtry> contains the following elements (see "[GenericIdentification30](#)" on page 112 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		112
	Issuer <Issr>	[1..1]	Text		112
	SchemeName <SchmeNm>	[0..1]	Text		112

4.4.5.6.3.4 ThirdParty <ThrdPty>

Presence: [0..*]

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

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Role <Role>	[1..1]			77
{Or	Code <Cd>	[1..1]	CodeSet		77
Or}	Proprietary <Prtry>	[1..1]	±		77
	Identification <Id>	[1..1]			78
{Or	LegalPerson <LglPrsn>	[1..1]			80
	NameAndAddress <NmAndAdr>	[0..1]			81
	Name <Nm>	[1..1]	Text		81
	Address <Adr>	[0..1]			81
	AddressType <AdrTp>	[0..1]	CodeSet		82
	AddressLine <AdrLine>	[0..5]	Text		82
	StreetName <StrtNm>	[0..1]	Text		82
	BuildingNumber <BldgNb>	[0..1]	Text		82
	PostBox <PstBx>	[0..1]	Text		83
	PostCode <PstCd>	[0..1]	Text		83
	TownName <TwnNm>	[0..1]	Text		83
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		83
	Country <Ctry>	[1..1]	CodeSet	C2	83
	Identification <Id>	[1..1]			83
{Or	NationalRegistrationNumber <NtlRegnNb>	[1..1]	Text		84
Or	LEI <LEI>	[1..1]	IdentifierSet		84
Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	84
Or	ClientIdentification <ClntId>	[1..1]	Text		84
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		84
Or}	NaturalPerson <NtrlPrsn>	[1..1]			85
	NameAndAddress <NmAndAdr>	[1..1]			85
	FirstName <FrstNm>	[1..1]	Text		86
	Surname <Snm>	[1..1]	Text		86
	Address <Adr>	[0..1]			86
	AddressType <AdrTp>	[0..1]	CodeSet		87
	AddressLine <AdrLine>	[0..5]	Text		87
	StreetName <StrtNm>	[0..1]	Text		87

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	BuildingNumber <BldgNb>	[0..1]	Text		87
	PostBox <PstBx>	[0..1]	Text		88
	PostCode <PstCd>	[0..1]	Text		88
	TownName <TwnNm>	[0..1]	Text		88
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		88
	Country <Ctry>	[1..1]	CodeSet	C2	88
	Identification <Id>	[1..1]			88
	Identification <Id>	[1..1]	Text		89
	IdentificationType <IdTp>	[0..1]			89
{Or	Code <Cd>	[1..1]	CodeSet		89
Or}	Proprietary <Prtry>	[1..1]	±		90

4.4.5.6.3.4.1 Role <Role>

Presence: [1..1]

Definition: Role played by the third party.

Role <Role> contains one of the following **PartyRole6Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		77
Or}	Proprietary <Prtry>	[1..1]	±		77

4.4.5.6.3.4.1.1 Code <Cd>

Presence: [1..1]

Definition: Role expressed as a code.

Datatype: "PartyRole2Code" on page 123

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

4.4.5.6.3.4.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Role expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see "[GenericIdentification30](#)" on page 112 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		112
	Issuer <Issr>	[1..1]	Text		112
	SchemeName <SchmeNm>	[0..1]	Text		112

4.4.5.6.3.4.2 Identification <Id>

Presence: [1..1]

Definition: Identification of the third party.

Identification <Id> contains one of the following PartyIdentification205Choice elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	LegalPerson <LglPrsn>	[1..1]			80
	NameAndAddress <NmAndAdr>	[0..1]			81
	Name <Nm>	[1..1]	Text		81
	Address <Adr>	[0..1]			81
	AddressType <AdrTp>	[0..1]	CodeSet		82
	AddressLine <AdrLine>	[0..5]	Text		82
	StreetName <StrtNm>	[0..1]	Text		82
	BuildingNumber <BldgNb>	[0..1]	Text		82
	PostBox <PstBx>	[0..1]	Text		83
	PostCode <PstCd>	[0..1]	Text		83
	TownName <TwnNm>	[0..1]	Text		83
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		83
	Country <Ctry>	[1..1]	CodeSet	C2	83
	Identification <Id>	[1..1]			83
{Or	NationalRegistrationNumber <NtlRegnNb>	[1..1]	Text		84
Or	LEI <LEI>	[1..1]	IdentifierSet		84
Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	84
Or	ClientIdentification <ClnId>	[1..1]	Text		84
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		84
Or}	NaturalPerson <NtrlPrsn>	[1..1]			85
	NameAndAddress <NmAndAdr>	[1..1]			85
	FirstName <FrstNm>	[1..1]	Text		86
	Surname <Snm>	[1..1]	Text		86
	Address <Adr>	[0..1]			86
	AddressType <AdrTp>	[0..1]	CodeSet		87
	AddressLine <AdrLine>	[0..5]	Text		87
	StreetName <StrtNm>	[0..1]	Text		87
	BuildingNumber <BldgNb>	[0..1]	Text		87
	PostBox <PstBx>	[0..1]	Text		88
	PostCode <PstCd>	[0..1]	Text		88
	TownName <TwnNm>	[0..1]	Text		88

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		88
	Country <Ctry>	[1..1]	CodeSet	C2	88
	Identification <Id>	[1..1]			88
	Identification <Id>	[1..1]	Text		89
	IdentificationType <IdTp>	[0..1]			89
{Or	Code <Cd>	[1..1]	CodeSet		89
Or}	Proprietary <Prtry>	[1..1]	±		90

4.4.5.6.3.4.2.1 LegalPerson <LgIPrsn>

Presence: [1..1]

Definition: Legal entity.

LegalPerson <LgIPrsn> contains the following **PartyIdentification201** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NameAndAddress <NmAndAdr>	[0..1]			81
	Name <Nm>	[1..1]	Text		81
	Address <Adr>	[0..1]			81
	AddressType <AdrTp>	[0..1]	CodeSet		82
	AddressLine <AdrLine>	[0..5]	Text		82
	StreetName <StrtNm>	[0..1]	Text		82
	BuildingNumber <BldgNb>	[0..1]	Text		82
	PostBox <PstBx>	[0..1]	Text		83
	PostCode <PstCd>	[0..1]	Text		83
	TownName <TwnNm>	[0..1]	Text		83
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		83
	Country <Ctry>	[1..1]	CodeSet	C2	83
	Identification <Id>	[1..1]			83
{Or	NationalRegistrationNumber <NtlRegnNb>	[1..1]	Text		84
Or	LEI <LEI>	[1..1]	IdentifierSet		84
Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	84
Or	ClientIdentification <ClntId>	[1..1]	Text		84
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		84

4.4.5.6.3.4.2.1.1 NameAndAddress <NmAndAdr>

Presence: [0..1]

Definition: Name and address of the party.

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		81
	Address <Adr>	[0..1]			81
	AddressType <AdrTp>	[0..1]	CodeSet		82
	AddressLine <AdrLine>	[0..5]	Text		82
	StreetName <StrtNm>	[0..1]	Text		82
	BuildingNumber <BldgNb>	[0..1]	Text		82
	PostBox <PstBx>	[0..1]	Text		83
	PostCode <PstCd>	[0..1]	Text		83
	TownName <TwnNm>	[0..1]	Text		83
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		83
	Country <Ctry>	[1..1]	CodeSet	C2	83

4.4.5.6.3.4.2.1.1.1 Name <Nm>

Presence: [1..1]

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

Datatype: "Max350Text" on page 128

4.4.5.6.3.4.2.1.1.2 Address <Adr>

Presence: [0..1]

Definition: Postal address of the party.

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		82
	AddressLine <AdrLine>	[0..5]	Text		82
	StreetName <StrtNm>	[0..1]	Text		82
	BuildingNumber <BldgNb>	[0..1]	Text		82
	PostBox <PstBx>	[0..1]	Text		83
	PostCode <PstCd>	[0..1]	Text		83
	TownName <TwnNm>	[0..1]	Text		83
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		83
	Country <Ctry>	[1..1]	CodeSet	C2	83

4.4.5.6.3.4.2.1.1.2.1 AddressType <AdrTp>

Presence: [0..1]

Definition: Identifies the nature of the postal address.

Datatype: "AddressType2Code" on page 120

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

4.4.5.6.3.4.2.1.1.2.2 AddressLine <AdrLine>

Presence: [0..5]

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

Datatype: "Max70Text" on page 129

4.4.5.6.3.4.2.1.1.2.3 StreetName <StrtNm>

Presence: [0..1]

Definition: Name of a street or thoroughfare.

Datatype: "Max70Text" on page 129

4.4.5.6.3.4.2.1.1.2.4 BuildingNumber <BldgNb>

Presence: [0..1]

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

Datatype: "Max16Text" on page 127

4.4.5.6.3.4.2.1.1.2.5 PostBox <PstBx>

Presence: [0..1]

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

Datatype: "Max16Text" on page 127

4.4.5.6.3.4.2.1.1.2.6 PostCode <PstCd>

Presence: [0..1]

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

Datatype: "Max16Text" on page 127

4.4.5.6.3.4.2.1.1.2.7 TownName <TwnNm>

Presence: [0..1]

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

Datatype: "Max35Text" on page 128

4.4.5.6.3.4.2.1.1.2.8 CountrySubDivision <CtrySubDvsn>

Presence: [0..1]

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

Datatype: "Max35Text" on page 128

4.4.5.6.3.4.2.1.1.2.9 Country <Ctry>

Presence: [1..1]

Definition: Nation with its own government.

Impacted by: C2 "Country"

Datatype: "CountryCode" on page 120

Constraints

- **Country**

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

4.4.5.6.3.4.2.1.2 Identification <Id>

Presence: [1..1]

Definition: Identification of the party.

Identification <Id> contains one of the following **PartyIdentification198Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NationalRegistrationNumber <NtlRegnNb>	[1..1]	Text		84
Or	LEI <LEI>	[1..1]	IdentifierSet		84
Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	84
Or	ClientIdentification <CIntId>	[1..1]	Text		84
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		84

4.4.5.6.3.4.2.1.2.1 NationalRegistrationNumber <NtlRegnNb>

Presence: [1..1]

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

Datatype: "Max35Text" on page 128

4.4.5.6.3.4.2.1.2.2 LEI <LEI>

Presence: [1..1]

Definition: Legal entity identifier of the party.

Datatype: "LEIIdentifier" on page 126

4.4.5.6.3.4.2.1.2.3 AnyBIC <AnyBIC>

Presence: [1..1]

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

Impacted by: C1 "AnyBIC"

Datatype: "AnyBICDec2014Identifier" on page 125

Constraints

- **AnyBIC**

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

4.4.5.6.3.4.2.1.2.4 ClientIdentification <CIntId>

Presence: [1..1]

Definition: Unique and unambiguous identification of the client counterparty.

Datatype: "Max50Text" on page 128

4.4.5.6.3.4.2.1.2.5 ProprietaryIdentification <PrtryId>

Presence: [1..1]

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

ProprietaryIdentification <PrtryId> contains the following elements (see "[GenericIdentification36](#)" on page 112 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		113
	Issuer <Issr>	[1..1]	Text		113
	SchemeName <SchmeNm>	[0..1]	Text		113

4.4.5.6.3.4.2.2 NaturalPerson <NtrlPrsn>

Presence: [1..1]

Definition: Private person.

NaturalPerson <NtrlPrsn> contains the following **PartyIdentification202** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NameAndAddress <NmAndAdr>	[1..1]			85
	FirstName <FrstNm>	[1..1]	Text		86
	Surname <SrnM>	[1..1]	Text		86
	Address <Adr>	[0..1]			86
	AddressType <AdrTp>	[0..1]	CodeSet		87
	AddressLine <AdrLine>	[0..5]	Text		87
	StreetName <StrtNm>	[0..1]	Text		87
	BuildingNumber <BldgNb>	[0..1]	Text		87
	PostBox <PstBx>	[0..1]	Text		88
	PostCode <PstCd>	[0..1]	Text		88
	TownName <TwnNm>	[0..1]	Text		88
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		88
	Country <Ctry>	[1..1]	CodeSet	C2	88
	Identification <Id>	[1..1]			88
	Identification <Id>	[1..1]	Text		89
	IdentificationType <IdTp>	[0..1]			89
{Or	Code <Cd>	[1..1]	CodeSet		89
Or}	Proprietary <Prtry>	[1..1]	±		90

4.4.5.6.3.4.2.2.1 NameAndAddress <NmAndAdr>

Presence: [1..1]

Definition: Name and address of the party.

NameAndAddress <NmAndAdr> contains the following **PersonName1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	FirstName <FrstNm>	[1..1]	Text		86
	Surname <SrnM>	[1..1]	Text		86
	Address <Adr>	[0..1]			86
	AddressType <AdrTp>	[0..1]	CodeSet		87
	AddressLine <AdrLine>	[0..5]	Text		87
	StreetName <StrtNm>	[0..1]	Text		87
	BuildingNumber <BldgNb>	[0..1]	Text		87
	PostBox <PstBx>	[0..1]	Text		88
	PostCode <PstCd>	[0..1]	Text		88
	TownName <TwnNm>	[0..1]	Text		88
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		88
	Country <Ctry>	[1..1]	CodeSet	C2	88

4.4.5.6.3.4.2.2.1.1 **FirstName** <FrstNm>

Presence: [1..1]

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

Datatype: "Max350Text" on page 128

4.4.5.6.3.4.2.2.1.2 **Surname** <SrnM>

Presence: [1..1]

Definition: Name (s) by which a natural person is known and which is usually used to identify that party.

Datatype: "Max350Text" on page 128

4.4.5.6.3.4.2.2.1.3 **Address** <Adr>

Presence: [0..1]

Definition: Postal address of the party.

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		87
	AddressLine <AdrLine>	[0..5]	Text		87
	StreetName <StrtNm>	[0..1]	Text		87
	BuildingNumber <BldgNb>	[0..1]	Text		87
	PostBox <PstBx>	[0..1]	Text		88
	PostCode <PstCd>	[0..1]	Text		88
	TownName <TwnNm>	[0..1]	Text		88
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		88
	Country <Ctry>	[1..1]	CodeSet	C2	88

4.4.5.6.3.4.2.2.1.3.1 AddressType <AdrTp>

Presence: [0..1]

Definition: Identifies the nature of the postal address.

Datatype: "AddressType2Code" on page 120

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

4.4.5.6.3.4.2.2.1.3.2 AddressLine <AdrLine>

Presence: [0..5]

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

Datatype: "Max70Text" on page 129

4.4.5.6.3.4.2.2.1.3.3 StreetName <StrtNm>

Presence: [0..1]

Definition: Name of a street or thoroughfare.

Datatype: "Max70Text" on page 129

4.4.5.6.3.4.2.2.1.3.4 BuildingNumber <BldgNb>

Presence: [0..1]

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

Datatype: "Max16Text" on page 127

4.4.5.6.3.4.2.2.1.3.5 PostBox <PstBx>

Presence: [0..1]

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

Datatype: "Max16Text" on page 127

4.4.5.6.3.4.2.2.1.3.6 PostCode <PstCd>

Presence: [0..1]

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

Datatype: "Max16Text" on page 127

4.4.5.6.3.4.2.2.1.3.7 TownName <TwnNm>

Presence: [0..1]

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

Datatype: "Max35Text" on page 128

4.4.5.6.3.4.2.2.1.3.8 CountrySubDivision <CtrySubDvsn>

Presence: [0..1]

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

Datatype: "Max35Text" on page 128

4.4.5.6.3.4.2.2.1.3.9 Country <Ctry>

Presence: [1..1]

Definition: Nation with its own government.

Impacted by: C2 "Country"

Datatype: "CountryCode" on page 120

Constraints

- **Country**

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

4.4.5.6.3.4.2.2.2 Identification <Id>

Presence: [1..1]

Definition: CONCAT

Identification <Id> contains the following **NaturalPersonIdentification1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		89
	IdentificationType <IdTp>	[0..1]			89
{Or	Code <Cd>	[1..1]	CodeSet		89
Or}	Proprietary <Prtry>	[1..1]	±		90

4.4.5.6.3.4.2.2.2.1 Identification <Id>

Presence: [1..1]

Definition: Natural person national identification.

Datatype: "Max35Text" on page 128

4.4.5.6.3.4.2.2.2.2 IdentificationType <IdTp>

Presence: [0..1]

Definition: Specifies the type of identification of the person identified.

IdentificationType <IdTp> contains one of the following **IdentificationType45Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		89
Or}	Proprietary <Prtry>	[1..1]	±		90

4.4.5.6.3.4.2.2.2.2.1 Code <Cd>

Presence: [1..1]

Definition: Type of identification using a predefined code.

Datatype: "TypeOfIdentification4Code" on page 124

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

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

4.4.5.6.3.4.2.2.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of identification is defined using a data source scheme.

Proprietary <Prtry> contains the following elements (see "[GenericIdentification30](#)" on page 112 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		112
	Issuer <Issr>	[1..1]	Text		112
	SchemeName <SchmeNm>	[0..1]	Text		112

4.4.5.6.3.5 SupplementaryData <SplmtryData>

Presence: [0..*]

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

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

SupplementaryData <SplmtryData> contains the following elements (see "[SupplementaryData1](#)" on page 113 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		113
	Envelope <Envlp>	[1..1]	(External Schema)		114

Constraints

- **SupplementaryDataRule**

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

4.4.5.7 BelowThresholdShareholdingQuantity <BlwThrshldShrhldgQty>

Presence: [0..1]

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

Datatype: "[DecimalNumber](#)" on page 126

4.4.6 SupplementaryData <SplmtryData>

Presence: [0..*]

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

Impacted by: C8 "SupplementaryDataRule"

SupplementaryData <SplmtryData> contains the following elements (see "[SupplementaryData1](#)" on page 113 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		113
	Envelope <Envlp>	[1..1]	(External Schema)		114

Constraints

- **SupplementaryDataRule**

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

5 DRAFT5seev.048.001.01 ShareholderIdentificationDisclosureResponseCancellationAdviceV01

5.1 MessageDefinition Functionality

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

Outline

The ShareholderIdentificationDisclosureResponseCancellationAdviceV01 MessageDefinition is composed of 4 MessageBuildingBlocks:

A. DisclosureResponseIdentification

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

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

B. IssuerDisclosureRequestReference

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

C. RespondingIntermediary

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

D. SupplementaryData

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

5.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <ShrhldrldDsclsrRspnCxlAdvc>	[1..1]			
	DisclosureResponseIdentification <DsclsrRspnld>	[1..1]	Text		94
	IssuerDisclosureRequestReference <IssrDsclsrReqRef>	[1..1]			94
	IssuerDisclosureRequestIdentification <IssrDsclsrReqld>	[1..1]	Text		94
	FinancialInstrumentIdentification <FinInstrmld>	[1..1]	±	C2, C3, C4, C5, C6	94
	ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt>	[1..1]	±		95
	RespondingIntermediary <RspndgIntrmy>	[1..1]			96
	Name <Nm>	[1..1]	Text		96
	Identification <Id>	[1..1]			96
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	97
Or	ProprietaryIdentification <Prtryld>	[1..1]	±		97
Or}	LEI <LEI>	[1..1]	IdentifierSet		97
	SupplementaryData <SplmtryData>	[0..*]	±	C7	97

5.3 Constraints

C1 AnyBIC

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

C2 DescriptionPresenceRule

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

C3 DescriptionUsageRule

Description must be used alone as the last resort.

C4 ISINGuideline

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

C5 ISINPresenceRule

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

C6 OtherIdentificationPresenceRule

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

C7 SupplementaryDataRule

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

5.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

5.4.1 DisclosureResponseIdentification <DsclsrRspnId>

Presence: [1..1]

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

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

Datatype: "Max35Text" on page 128

5.4.2 IssuerDisclosureRequestReference <IssrDsclsrReqRef>

Presence: [1..1]

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

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IssuerDisclosureRequestIdentification <IssrDsclsrReqId>	[1..1]	Text		94
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C2, C3, C4, C5, C6	94
	ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt>	[1..1]	±		95

5.4.2.1 IssuerDisclosureRequestIdentification <IssrDsclsrReqId>

Presence: [1..1]

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

Datatype: "Max35Text" on page 128

5.4.2.2 FinancialInstrumentIdentification <FinInstrmId>

Presence: [1..1]

Definition: Identifies the financial instrument.

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

FinancialInstrumentIdentification <FinInstrmId> contains the following elements (see "SecurityIdentification19" on page 109 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		110
	OtherIdentification <OthrlId>	[0..*]			111
	Identification <Id>	[1..1]	Text		111
	Suffix <Sfx>	[0..1]	Text		111
	Type <Tp>	[1..1]	±		111
	Description <Desc>	[0..1]	Text		111

Constraints

- **DescriptionPresenceRule**

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

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

- **DescriptionUsageRule**

Description must be used alone as the last resort.

- **ISINGuideline**

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

- **ISINPresenceRule**

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

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

- **OtherIdentificationPresenceRule**

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

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

5.4.2.3 ShareholdersDisclosureRecordDate <ShrhldrsDsclsRcrdDt>

Presence: [1..1]

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

ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt> contains one of the following elements (see "DateFormat46Choice" on page 108 for details)

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

5.4.3 RespondingIntermediary <RspndgIntrmy>

Presence: [1..1]

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

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		96
	Identification <Id>	[1..1]			96
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	97
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		97
Or}	LEI <LEI>	[1..1]	IdentifierSet		97

5.4.3.1 Name <Nm>

Presence: [1..1]

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

Datatype: "Max350Text" on page 128

5.4.3.2 Identification <Id>

Presence: [1..1]

Definition: Identification of the party.

Identification <Id> contains one of the following **PartyIdentification195Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	97
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		97
Or}	LEI <LEI>	[1..1]	IdentifierSet		97

5.4.3.2.1 AnyBIC <AnyBIC>

Presence: [1..1]

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

Impacted by: C1 "AnyBIC"

Datatype: "AnyBICDec2014Identifier" on page 125

Constraints

- **AnyBIC**

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

5.4.3.2.2 ProprietaryIdentification <PrtryId>

Presence: [1..1]

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

ProprietaryIdentification <PrtryId> contains the following elements (see "[GenericIdentification36](#)" on page 112 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		113
	Issuer <Issr>	[1..1]	Text		113
	SchemeName <SchmeNm>	[0..1]	Text		113

5.4.3.2.3 LEI <LEI>

Presence: [1..1]

Definition: Legal entity identifier of the party.

Datatype: "LEIIdentifier" on page 126

5.4.4 SupplementaryData <SplmtryData>

Presence: [0..*]

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

Impacted by: C7 "SupplementaryDataRule"

SupplementaryData <SplmtryData> contains the following elements (see "SupplementaryData1" on page 113 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		113
	Envelope <Envlp>	[1..1]	(External Schema)		114

Constraints

- **SupplementaryDataRule**

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

6 DRAFT5seev.049.001.01 ShareholderIdentificationDisclosureResponse StatusAdviceV01

6.1 MessageDefinition Functionality

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

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

Outline

The ShareholderIdentificationDisclosureResponseStatusAdviceV01 MessageDefinition is composed of 5 MessageBuildingBlocks:

A. DisclosureResponseIdentification

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

B. IssuerDisclosureRequestReference

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

C. RespondingIntermediary

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

D. ResponseReceptionStatus

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

E. SupplementaryData

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

6.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <ShrhldrldDsclsrRspnStsAdv>	[1..1]			
	DisclosureResponseIdentification <DsclsrRspnId>	[1..1]	Text		101
	IssuerDisclosureRequestReference <IssrDsclsrReqRef>	[1..1]			101
	IssuerDisclosureRequestIdentification <IssrDsclsrReqId>	[1..1]	Text		101
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C2, C3, C4, C5, C6	102
	ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt>	[1..1]	±		103
	RespondingIntermediary <RspndgIntrmy>	[1..1]			103
	Name <Nm>	[1..1]	Text		103
	Identification <Id>	[1..1]			104
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	104
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		104
Or}	LEI <LEI>	[1..1]	IdentifierSet		104
	ResponseReceptionStatus <RspnRcptnSts>	[1..1]			105
{Or	Accepted <Acctpd>	[1..1]			105
	NoSpecifiedReason <NoSpofdRsn>	[1..1]	CodeSet		105
Or}	Rejected <Rjctd>	[1..1]			105
{Or	NoSpecifiedReason <NoSpofdRsn>	[1..1]	CodeSet		106
Or}	Reason <Rsn>	[1..*]			106
	ReasonCode <RsnCd>	[1..1]	±		106
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		106
	SupplementaryData <SplmtryData>	[0..*]	±	C7	107

6.3 Constraints

C1 AnyBIC

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

C2 DescriptionPresenceRule

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

C3 DescriptionUsageRule

Description must be used alone as the last resort.

C4 ISINGuideline

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

C5 ISINPresenceRule

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

C6 OtherIdentificationPresenceRule

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

C7 SupplementaryDataRule

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

6.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

6.4.1 DisclosureResponseIdentification <DsclsrRspnId>

Presence: [1..1]

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

Datatype: "Max35Text" on page 128

6.4.2 IssuerDisclosureRequestReference <IssrDsclsrReqRef>

Presence: [1..1]

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

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	IssuerDisclosureRequestIdentification <IssrDsclsrReqId>	[1..1]	Text		101
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C2, C3, C4, C5, C6	102
	ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt>	[1..1]	±		103

6.4.2.1 IssuerDisclosureRequestIdentification <IssrDsclsrReqId>

Presence: [1..1]

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

Datatype: "Max35Text" on page 128

6.4.2.2 FinancialInstrumentIdentification <FinInstrmId>

Presence: [1..1]

Definition: Identifies the financial instrument.

Impacted by: [C2 "DescriptionPresenceRule"](#), [C3 "DescriptionUsageRule"](#), [C4 "ISINGuideline"](#), [C5 "ISINPresenceRule"](#), [C6 "OtherIdentificationPresenceRule"](#)

FinancialInstrumentIdentification <FinInstrmId> contains the following elements (see ["SecurityIdentification19" on page 109](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		110
	OtherIdentification <OthrId>	[0..*]			111
	Identification <Id>	[1..1]	Text		111
	Suffix <Sfx>	[0..1]	Text		111
	Type <Tp>	[1..1]	±		111
	Description <Desc>	[0..1]	Text		111

Constraints

- **DescriptionPresenceRule**

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

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

- **DescriptionUsageRule**

Description must be used alone as the last resort.

- **ISINGuideline**

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

- **ISINPresenceRule**

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

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

• **OtherIdentificationPresenceRule**

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

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

6.4.2.3 ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt>

Presence: [1..1]

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

ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt> contains one of the following elements (see "DateFormat46Choice" on page 108 for details)

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

6.4.3 RespondingIntermediary <RspndgIntrmy>

Presence: [1..1]

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

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		103
	Identification <Id>	[1..1]			104
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	104
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		104
Or}	LEI <LEI>	[1..1]	IdentifierSet		104

6.4.3.1 Name <Nm>

Presence: [1..1]

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

Datatype: "Max350Text" on page 128

6.4.3.2 Identification <Id>

Presence: [1..1]

Definition: Identification of the party.

Identification <Id> contains one of the following **PartyIdentification195Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	104
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		104
Or}	LEI <LEI>	[1..1]	IdentifierSet		104

6.4.3.2.1 AnyBIC <AnyBIC>

Presence: [1..1]

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

Impacted by: C1 "AnyBIC"

Datatype: "AnyBICDec2014Identifier" on page 125

Constraints

- **AnyBIC**

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

6.4.3.2.2 ProprietaryIdentification <PrtryId>

Presence: [1..1]

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

ProprietaryIdentification <PrtryId> contains the following elements (see "[GenericIdentification36](#)" on page 112 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		113
	Issuer <Issr>	[1..1]	Text		113
	SchemeName <SchmeNm>	[0..1]	Text		113

6.4.3.2.3 LEI <LEI>

Presence: [1..1]

Definition: Legal entity identifier of the party.

Datatype: "LEIIdentifier" on page 126

6.4.4 ResponseReceptionStatus <RspnRcptnSts>

Presence: [1..1]

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

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Accepted <Accptd>	[1..1]			105
	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		105
Or}	Rejected <Rjctd>	[1..1]			105
{Or	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		106
Or}	Reason <Rsn>	[1..*]			106
	ReasonCode <RsnCd>	[1..1]	±		106
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		106

6.4.4.1 Accepted <Accptd>

Presence: [1..1]

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

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NoSpecifiedReason <NoSpdfdRsn>	[1..1]	CodeSet		105

6.4.4.1.1 NoSpecifiedReason <NoSpdfdRsn>

Presence: [1..1]

Definition: Reason not specified.

Datatype: "NoReasonCode" on page 123

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

6.4.4.2 Rejected <Rjctd>

Presence: [1..1]

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

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcfdRsn>	[1..1]	CodeSet		106
Or}	Reason <Rsn>	[1..*]			106
	ReasonCode <RsnCd>	[1..1]	±		106
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		106

6.4.4.2.1 NoSpecifiedReason <NoSpcfdRsn>

Presence: [1..1]

Definition: Reason not specified.

Datatype: "NoReasonCode" on page 123

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

6.4.4.2.2 Reason <Rsn>

Presence: [1..*]

Definition: Reason for the rejected status.

Reason <Rsn> contains the following **RejectedStatusReason1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ReasonCode <RsnCd>	[1..1]	±		106
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		106

6.4.4.2.2.1 ReasonCode <RsnCd>

Presence: [1..1]

Definition: Proprietary reason code.

ReasonCode <RsnCd> contains the following elements (see "GenericIdentification30" on page 112 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		112
	Issuer <Issr>	[1..1]	Text		112
	SchemeName <SchmeNm>	[0..1]	Text		112

6.4.4.2.2.2 AdditionalReasonInformation <AddtlRsnInf>

Presence: [0..1]

Definition: Provides additional information about the reason of the message/report rejection.

Datatype: "Max210Text" on page 128

6.4.5 SupplementaryData <SplmtryData>

Presence: [0..*]

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

Impacted by: C7 "SupplementaryDataRule"

SupplementaryData <SplmtryData> contains the following elements (see "SupplementaryData1" on page 113 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		113
	Envelope <Envlp>	[1..1]	(External Schema)		114

Constraints

- **SupplementaryDataRule**

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

7 Message Items Types

7.1 MessageComponents

7.1.1 Date Time

7.1.1.1 DateFormat46Choice

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

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

7.1.1.1.1 Date <Dt>

Presence: [1..1]

Definition: Date expressed as a calendar date.

Date <Dt> contains one of the following elements (see "[DateAndDateTime2Choice](#)" on page 109 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		109
Or}	DateTime <DtTm>	[1..1]	DateTime		109

7.1.1.1.2 DateCode <DtCd>

Presence: [1..1]

Definition: Specifies the type of date.

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

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

7.1.1.1.2.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to indicate the date is unknown.

Datatype: "[DateType1Code](#)" on page 121

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

7.1.1.1.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of date.

Proprietary <Prtry> contains the following elements (see "[GenericIdentification30](#)" on page 112 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		112
	Issuer <Issr>	[1..1]	Text		112
	SchemeName <SchmeNm>	[0..1]	Text		112

7.1.1.2 DateAndDateTime2Choice

Definition: Choice between a date or a date and time format.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		109
Or}	DateTime <DtTm>	[1..1]	DateTime		109

7.1.1.2.1 Date <Dt>

Presence: [1..1]

Definition: Specified date.

Datatype: "[ISODate](#)" on page 124

7.1.1.2.2 DateTime <DtTm>

Presence: [1..1]

Definition: Specified date and time.

Datatype: "[ISODatetime](#)" on page 124

7.1.2 Financial Instrument

7.1.2.1 SecurityIdentification19

Definition: Identification of a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		110
	OtherIdentification <Othrlid>	[0..*]			111
	Identification <Id>	[1..1]	Text		111
	Suffix <Sfx>	[0..1]	Text		111
	Type <Tp>	[1..1]	±		111
	Description <Desc>	[0..1]	Text		111

Constraints

- **DescriptionPresenceRule**

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

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

- **DescriptionUsageRule**

Description must be used alone as the last resort.

- **ISINGuideline**

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

- **ISINPresenceRule**

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

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

- **OtherIdentificationPresenceRule**

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

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

7.1.2.1.1 ISIN <ISIN>

Presence: [0..1]

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

Datatype: ["ISINOct2015Identifier" on page 126](#)

7.1.2.1.2 OtherIdentification <Othrid>

Presence: [0..*]

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

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		111
	Suffix <Sfx>	[0..1]	Text		111
	Type <Tp>	[1..1]	±		111

7.1.2.1.2.1 Identification <Id>

Presence: [1..1]

Definition: Identification of a security.

Datatype: ["Max35Text" on page 128](#)

7.1.2.1.2.2 Suffix <Sfx>

Presence: [0..1]

Definition: Identifies the suffix of the security identification.

Datatype: ["Max16Text" on page 127](#)

7.1.2.1.2.3 Type <Tp>

Presence: [1..1]

Definition: Type of the identification.

Type <Tp> contains one of the following elements (see ["IdentificationSource3Choice" on page 111](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		112
Or}	Proprietary <Prtry>	[1..1]	Text		112

7.1.2.1.3 Description <Desc>

Presence: [0..1]

Definition: Textual description of a security instrument.

Datatype: ["Max140Text" on page 127](#)

7.1.3 Identification Information

7.1.3.1 IdentificationSource3Choice

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		112
Or}	Proprietary <Prtry>	[1..1]	Text		112

7.1.3.1.1 Code <Cd>

Presence: [1..1]

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

Datatype: "ExternalFinancialInstrumentIdentificationType1Code" on page 122

7.1.3.1.2 Proprietary <Prtry>

Presence: [1..1]

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

Datatype: "Max35Text" on page 128

7.1.3.2 GenericIdentification30

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		112
	Issuer <Issr>	[1..1]	Text		112
	SchemeName <SchmeNm>	[0..1]	Text		112

7.1.3.2.1 Identification <Id>

Presence: [1..1]

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

Datatype: "Exact4AlphaNumericText" on page 127

7.1.3.2.2 Issuer <Issr>

Presence: [1..1]

Definition: Entity that assigns the identification.

Datatype: "Max35Text" on page 128

7.1.3.2.3 SchemeName <SchmeNm>

Presence: [0..1]

Definition: Short textual description of the scheme.

Datatype: "Max35Text" on page 128

7.1.3.3 GenericIdentification36

Definition: Identification using a proprietary scheme.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		113
	Issuer <Issr>	[1..1]	Text		113
	SchemeName <SchmeNm>	[0..1]	Text		113

7.1.3.3.1 Identification <Id>

Presence: [1..1]

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

Datatype: "Max35Text" on page 128

7.1.3.3.2 Issuer <Issr>

Presence: [1..1]

Definition: Entity that assigns the identification.

Datatype: "Max35Text" on page 128

7.1.3.3.3 SchemeName <SchmeNm>

Presence: [0..1]

Definition: Short textual description of the scheme.

Datatype: "Max35Text" on page 128

7.1.4 Miscellaneous

7.1.4.1 SupplementaryData1

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		113
	Envelope <Envlp>	[1..1]	(External Schema)		114

Constraints

- **SupplementaryDataRule**

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

7.1.4.1.1 PlaceAndName <PlcAndNm>

Presence: [0..1]

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

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

Datatype: ["Max350Text" on page 128](#)

7.1.4.1.2 Envelope <Envlp>

Presence: [1..1]

Definition: Technical element wrapping the supplementary data.

Type: (External Schema)

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

7.1.4.2 Pagination1

Definition: Number used to sequence pages when it is not possible for data to be conveyed in a single message and the data has to be split across several pages (messages).

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PageNumber <PgNb>	[1..1]	Text		114
	LastPageIndicator <LastPgInd>	[1..1]	Indicator		114

7.1.4.2.1 PageNumber <PgNb>

Presence: [1..1]

Definition: Page number.

Datatype: ["Max5NumericText" on page 129](#)

7.1.4.2.2 LastPageIndicator <LastPgInd>

Presence: [1..1]

Definition: Indicates the last page.

Datatype: One of the following values must be used (see ["YesNoIndicator" on page 126](#)):

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

7.1.5 Party Identification

7.1.5.1 PartyIdentification129Choice

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	115
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		115
Or	NameAndAddress <NmAndAdr>	[1..1]	±		115
Or}	LEI <LEI>	[1..1]	IdentifierSet		115

7.1.5.1.1 AnyBIC <AnyBIC>

Presence: [1..1]

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

Impacted by: C1 "AnyBIC"

Datatype: "AnyBICDec2014Identifier" on page 125

Constraints

- **AnyBIC**

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

7.1.5.1.2 ProprietaryIdentification <Prtryld>

Presence: [1..1]

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

ProprietaryIdentification <Prtryld> contains the following elements (see "[GenericIdentification36](#)" on page 112 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		113
	Issuer <Issr>	[1..1]	Text		113
	SchemeName <SchmeNm>	[0..1]	Text		113

7.1.5.1.3 NameAndAddress <NmAndAdr>

Presence: [1..1]

Definition: Name and address of a party.

NameAndAddress <NmAndAdr> contains the following elements (see "[NameAndAddress5](#)" on page 117 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		117
	Address <Adr>	[0..1]	±		117

7.1.5.1.4 LEI <LEI>

Presence: [1..1]

Definition: Legal entity identification of the party.

Datatype: "LEIIdentifier" on page 126

7.1.6 Person Identification

7.1.6.1 ContactIdentification2

Definition: Information needed to contact a physical person.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]	CodeSet		116
	GivenName <GvnNm>	[0..1]	Text		116
	Name <Nm>	[1..1]	Text		116
	PhoneNumber <PhneNb>	[0..1]	Text		116
	MobileNumber <MobNb>	[0..1]	Text		117
	FaxNumber <FaxNb>	[0..1]	Text		117
	EmailAddress <EmailAdr>	[0..1]	Text		117

7.1.6.1.1 NamePrefix <NmPrfx>

Presence: [0..1]

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

Datatype: "NamePrefix1Code" on page 122

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

7.1.6.1.2 GivenName <GvnNm>

Presence: [0..1]

Definition: First name of a person.

Datatype: "Max35Text" on page 128

7.1.6.1.3 Name <Nm>

Presence: [1..1]

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

Datatype: "Max35Text" on page 128

7.1.6.1.4 PhoneNumber <PhneNb>

Presence: [0..1]

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

Datatype: "PhoneNumber" on page 129

7.1.6.1.5 MobileNumber <MobNb>

Presence: [0..1]

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

Datatype: "PhoneNumber" on page 129

7.1.6.1.6 FaxNumber <FaxNb>

Presence: [0..1]

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

Datatype: "PhoneNumber" on page 129

7.1.6.1.7 EmailAddress <EmailAdr>

Presence: [0..1]

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

Datatype: "Max256Text" on page 128

7.1.7 Postal Address

7.1.7.1 NameAndAddress5

Definition: Information that locates and identifies a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		117
	Address <Adr>	[0..1]	±		117

7.1.7.1.1 Name <Nm>

Presence: [1..1]

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

Datatype: "Max350Text" on page 128

7.1.7.1.2 Address <Adr>

Presence: [0..1]

Definition: Postal address of the party.

Address <Adr> contains the following elements (see "[PostalAddress1](#)" on page 118 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		118
	AddressLine <AdrLine>	[0..5]	Text		119
	StreetName <StrtNm>	[0..1]	Text		119
	BuildingNumber <BldgNb>	[0..1]	Text		119
	PostCode <PstCd>	[0..1]	Text		119
	TownName <TwnNm>	[0..1]	Text		119
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		119
	Country <Ctry>	[1..1]	CodeSet	C2	119

7.1.7.2 PostalAddress1

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		118
	AddressLine <AdrLine>	[0..5]	Text		119
	StreetName <StrtNm>	[0..1]	Text		119
	BuildingNumber <BldgNb>	[0..1]	Text		119
	PostCode <PstCd>	[0..1]	Text		119
	TownName <TwnNm>	[0..1]	Text		119
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		119
	Country <Ctry>	[1..1]	CodeSet	C2	119

7.1.7.2.1 AddressType <AdrTp>

Presence: [0..1]

Definition: Identifies the nature of the postal address.

Datatype: "[AddressType2Code](#)" on page 120

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

CodeName	Name	Definition
DLVY	DeliveryTo	Address is the address to which delivery is to take place.

7.1.7.2.2 AddressLine <AdrLine>

Presence: [0..5]

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

Datatype: "Max70Text" on page 129

7.1.7.2.3 StreetName <StrtNm>

Presence: [0..1]

Definition: Name of a street or thoroughfare.

Datatype: "Max70Text" on page 129

7.1.7.2.4 BuildingNumber <BldgNb>

Presence: [0..1]

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

Datatype: "Max16Text" on page 127

7.1.7.2.5 PostCode <PstCd>

Presence: [0..1]

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

Datatype: "Max16Text" on page 127

7.1.7.2.6 TownName <TwnNm>

Presence: [0..1]

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

Datatype: "Max35Text" on page 128

7.1.7.2.7 CountrySubDivision <CtrySubDvsn>

Presence: [0..1]

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

Datatype: "Max35Text" on page 128

7.1.7.2.8 Country <Ctry>

Presence: [1..1]

Definition: Nation with its own government.

Impacted by: C2 "Country"

Datatype: "CountryCode" on page 120

Constraints

- **Country**

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

7.2 Message Datatypes

7.2.1 CodeSet

7.2.1.1 AccountOwnershipType5Code

Definition: Specifies the type of account ownership.

Type: CodeSet

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

7.2.1.2 AddressType2Code

Definition: Specifies the type of address.

Type: CodeSet

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

7.2.1.3 CountryCode

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

Type: CodeSet

Format

pattern [A-Z]{2,2}

Constraints

- **Country**

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

7.2.1.4 DateCalculationMethod1Code

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

Type: CodeSet

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

7.2.1.5 DateType1Code

Definition: Specifies when date is unknown.

Type: CodeSet

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

7.2.1.6 DisclosureRequestCancellationReason1Code

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

Type: CodeSet

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

7.2.1.7 DisclosureRequestType1Code

Definition: Type of disclosure request.

Type: CodeSet

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

7.2.1.8 Eligibility1Code

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

Type: CodeSet

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

7.2.1.9 ExternalFinancialInstrumentIdentificationType1Code

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

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

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

Type: CodeSet

Format

minLength	1
maxLength	4

7.2.1.10 NamePrefix1Code

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

Type: CodeSet

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

7.2.1.11 NamePrefix2Code

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

Type: CodeSet

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

CodeName	Name	Definition
MIKS	GenderNeutral	Title of the person is gender neutral (Mx).

7.2.1.12 NoReasonCode

Definition: Specifies that there is no reason available.

Type: CodeSet

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

7.2.1.13 PartyRole2Code

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

Type: CodeSet

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

7.2.1.14 ShareholdingType1Code

Definition: Specifies the type of shareholding.

Type: CodeSet

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

CodeName	Name	Definition
UKWN	Unknown	Shareholding type is unknown. Usage: this type should be used when the intermediary's client hasn't been classified.

7.2.1.15 TypeOfIdentification4Code

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

Type: CodeSet

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

7.2.2 Date

7.2.2.1 ISODate

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

Type: Date

7.2.3 DateTime

7.2.3.1 ISODateTime

Definition: A particular point in the progression of time defined by a mandatory date and a mandatory time component, expressed in either UTC time format (YYYY-MM-DDThh:mm:ss.sssZ), local time with UTC offset format (YYYY-MM-DDThh:mm:ss.sss+/-hh:mm), or local time format (YYYY-MM-

DDThh:mm:ss.sss). These representations are defined in "XML Schema Part 2: Datatypes Second Edition - W3C Recommendation 28 October 2004" which is aligned with ISO 8601.

Note on the time format:

1) beginning / end of calendar day

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

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

2) fractions of second in time format

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

Type: DateTime

7.2.4 IdentifierSet

7.2.4.1 AnyBICDec2014Identifier

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

Type: IdentifierSet

Identification scheme: SWIFT; AnyBICIdentifier

Format

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

Constraints

- **AnyBIC**

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

7.2.4.2 ISICIdentifier

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

Type: IdentifierSet

Identification scheme: ISIC Identifier

Format

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

7.2.4.3 ISINOct2015Identifier

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

Type: IdentifierSet

Identification scheme: ANNA; ISINIdentifier

Format

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

7.2.4.4 LEIdentifier

Definition: Legal Entity Identifier is a code allocated to a party as described in ISO 17442 "Financial Services - Legal Entity Identifier (LEI)".

Type: IdentifierSet

Identification scheme: Global LEI System; LEIdentifier

Format

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

7.2.5 Indicator

7.2.5.1 YesNoIndicator

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

Type: Indicator

Meaning When True: Yes

Meaning When False: No

7.2.6 Quantity

7.2.6.1 DecimalNumber

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

Type: Quantity

Format

totalDigits 18

fractionDigits 17

7.2.7 Rate

7.2.7.1 PercentageRate

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

Type: Rate

Format

totalDigits	11
fractionDigits	10
baseValue	100.0

7.2.8 Text

7.2.8.1 Exact4AlphaNumericText

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

Type: Text

Format

pattern	[a-zA-Z0-9]{4}
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7.2.8.2 Max140Text

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

Type: Text

Format

minLength	1
maxLength	140

7.2.8.3 Max16Text

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

Type: Text

Format

minLength	1
maxLength	16

7.2.8.4 Max2048Text

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

Type: Text

Format

minLength	1
maxLength	2048

7.2.8.5 Max210Text

Definition: Specifies a character string with a maximum length of 210 characters.

Type: Text

Format

minLength	1
maxLength	210

7.2.8.6 Max256Text

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

Type: Text

Format

minLength	1
maxLength	256

7.2.8.7 Max350Text

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

Type: Text

Format

minLength	1
maxLength	350

7.2.8.8 Max35Text

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

Type: Text

Format

minLength	1
maxLength	35

7.2.8.9 Max50Text

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

Type: Text

Format

minLength	1
maxLength	50

7.2.8.10 Max5NumericText

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

Type: Text

Format

pattern	[0-9]{1,5}
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7.2.8.11 Max70Text

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

Type: Text

Format

minLength	1
maxLength	70

7.2.8.12 PhoneNumber

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

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

Type: Text

Format

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