

ISO 20022

**\_SRD2\_MX\_ShareholdersIdentificationDisclosure**

## Message Reference Guide

This document provides details of the Message Definitions for \_SRD2\_MX\_ShareholdersIdentificationDisclosure.

02 April 2019

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# 1 Message Set Overview

## 1.1 List of MessageDefinitions

The following table lists all MessageDefinitions described in this book.

MessageDefinition	Definition
DRAFT1seev.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 detailed information on the requesting party, on the receiving party to whom responses must be sent, the financial instrument concerned and the deadline to respond.
DRAFT1seev.046.001.01 ShareholdersIdentificationDisclosureCancellationAdviceV01	The ShareholdersIdentificationDisclosureCancellation Advice 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.
DRAFT1seev.047.001.01 ShareholdersIdentificationDisclosureResponseV01	The ShareholdersIdentificationDisclosureResponse message is sent by any intermediaries in a custody chain to the third party nominated by the issuer (such as a issuer's agent) who had previously requested the disclosure of the shareholders identity in order to provide the requested information on the identity of the shareholders and their accounts holdings serviced by the intermediary for the requested financial instrument.
DRAFT1seev.048.001.01 ShareholderIdentificationDisclosureResponseCancellationAdviceV01	The ShareholdersIdentificationDisclosureResponseCancellation Advice message is sent by any intermediaries in a custody chain to the third party nominated by the issuer (such as a issuer's agent) who had previously requested the disclosure of the shareholders identity in order to cancel the shareholder identification disclosure response message previously sent.

## 2 **DRAFT1seev.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 detailed information on the requesting party, on the receiving party to whom responses must be sent, the financial instrument concerned and the deadline to respond.

#### Outline

The ShareholdersIdentificationDisclosureRequestV01 MessageDefinition is composed of 11 MessageBuildingBlocks:

- A. IssuerDisclosureRequestIdentification  
Official and unique reference 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, the indicator may not be present.
- D. FinancialInstrumentIdentification  
Identifies the financial instrument.
- E. 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.
- F. 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.
- G. SharesQuantityThreshold  
Minimum number of shares held by a shareholder above which the identification must be disclosed.
- H. ShareOwnershipDateRequestType  
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. Issuer

Issuer of the financial instrument.

K. 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> <ShrhldrsldDsclsrReq>	[1..1]			
	IssuerDisclosureRequestIdentification <IssrDsclsrReqId>	[1..1]	Text		7
	DisclosureRequestType <DsclsrReqTp>	[1..1]	CodeSet		8
	ForwardRequestIndicator <FwdReqInd>	[0..1]	Indicator		8
	FinancialInstrumentIdentification <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	8
	ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt>	[1..1]	±		9
	IssuerDisclosureDeadline <IssrDsclsrDdln>	[1..1]	±		9
	SharesQuantityThreshold <ShrsQtyThrshld>	[0..1]	Quantity		10
	ShareOwnershipDateRequestType <ShrOwnrshDtReqTp>	[0..1]			10
{Or	DateCalculationMethod <DtClctnMtd>	[1..1]	CodeSet		10
Or}	DateCalculationDescription <DtClctnDesc>	[1..1]	Text		11
	DisclosureResponseRecipient <DsclsrRspnRcpt>	[1..1]			11
	Identification <Id>	[1..1]			11
{Or	ProprietaryIdentification <PrtryId>	[1..1]	±		12
Or}	LEI <LEI>	[1..1]	IdentifierSet		12
	RecipientName <RcptNm>	[1..1]	Text		12
	ResponseRecipientAddress <RspnRcptAdr>	[1..1]			12
	AnyBIC <AnyBIC>	[0..1]	IdentifierSet	C1	13
	PostalAddress <PstlAdr>	[0..1]			13
	AddressType <AdrTp>	[0..1]	CodeSet		14
	AddressLine <AdrLine>	[0..5]	Text		14
	StreetName <StrtNm>	[0..1]	Text		14
	BuildingNumber <BldgNb>	[0..1]	Text		14
	PostBox <PstBx>	[0..1]	Text		15
	PostCode <PstCd>	[0..1]	Text		15
	TownName <TwnNm>	[0..1]	Text		15
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		15
	Country <Ctry>	[1..1]	CodeSet	C2	15
	EmailAddress <EmailAdr>	[0..1]	Text		15

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>URLAddress</b> <URLAdr>	[0..1]	Text		15
	<b>Issuer</b> <Issr>	[0..1]	±		16
	<b>SupplementaryData</b> <SplmtryData>	[0..*]	±	C8	16

## 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 reference assigned to a shareholders identification disclosure request process by the issuer or third party nominated by it.

Datatype: "Max35Text" on page 96

## 2.4.2 DisclosureRequestType <DscIsrReqTp>

Presence: [1..1]

Definition: Specifies the type of disclosure request.

Datatype: "DisclosureRequestType1Code" on page 92

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, the indicator may not be present.

Datatype: One of the following values must be used (see "YesNoIndicator" on page 95):

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

## 2.4.4 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 80 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		81
	OtherIdentification <OthrId>	[0..*]			81
	Identification <Id>	[1..1]	Text		81
	Suffix <Sfx>	[0..1]	Text		81
	Type <Tp>	[1..1]	±		82
	Description <Desc>	[0..1]	Text		82

### 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

```

## 2.4.5 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 78 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		78
Or}	DateCode <DtCd>	[1..1]			78
{Or	Code <Cd>	[1..1]	CodeSet		78
Or}	Proprietary <Prtry>	[1..1]	±		78

## 2.4.6 IssuerDisclosureDeadline <IssrDsclsrDdln>

*Presence:* [1..1]

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

**IssuerDisclosureDeadline** <IssrDscIsrDdln> contains one of the following elements (see "DateFormat46Choice" on page 78 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		78
Or}	DateCode <DtCd>	[1..1]			78
{Or	Code <Cd>	[1..1]	CodeSet		78
Or}	Proprietary <Prtry>	[1..1]	±		78

## 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 95

## 2.4.8 ShareOwnershipDateRequestType <ShrOwnrshDtReqTp>

**Presence:** [0..1]

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

**ShareOwnershipDateRequestType** <ShrOwnrshDtReqTp> contains one of the following **ShareOwnershipDateRequestType1Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>DateCalculationMethod</b> <DtClctnMtd>	[1..1]	CodeSet		10
Or}	<b>DateCalculationDescription</b> <DtClctnDesc>	[1..1]	Text		11

### 2.4.8.1 DateCalculationMethod <DtClctnMtd>

**Presence:** [1..1]

**Definition:**

**Datatype:** "DateCalculationMethod1Code" on page 91

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

### 2.4.8.2 DateCalculationDescription <DtClctnDesc>

*Presence:* [1..1]

*Definition:*

*Datatype:* "Max350Text" on page 96

## 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 **PartyIdentification193** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification</b> <Id>	[1..1]			11
{Or	<b>ProprietaryIdentification</b> <PrtryId>	[1..1]	±		12
Or}	<b>LEI</b> <LEI>	[1..1]	IdentifierSet		12
	<b>RecipientName</b> <RcptNm>	[1..1]	Text		12
	<b>ResponseRecipientAddress</b> <RspnRcptAdr>	[1..1]			12
	<b>AnyBIC</b> <AnyBIC>	[0..1]	IdentifierSet	C1	13
	<b>PostalAddress</b> <PstlAdr>	[0..1]			13
	<b>AddressType</b> <AdrTp>	[0..1]	CodeSet		14
	<b>AddressLine</b> <AdrLine>	[0..5]	Text		14
	<b>StreetName</b> <StrtNm>	[0..1]	Text		14
	<b>BuildingNumber</b> <BldgNb>	[0..1]	Text		14
	<b>PostBox</b> <PstBx>	[0..1]	Text		15
	<b>PostCode</b> <PstCd>	[0..1]	Text		15
	<b>TownName</b> <TwnNm>	[0..1]	Text		15
	<b>CountrySubDivision</b> <CtrySubDvsn>	[0..1]	Text		15
	<b>Country</b> <Ctry>	[1..1]	CodeSet	C2	15
	<b>EmailAddress</b> <EmailAdr>	[0..1]	Text		15
	<b>URLAddress</b> <URLAdr>	[0..1]	Text		15

### 2.4.9.1 Identification <Id>

*Presence:* [1..1]

*Definition:*

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>ProprietaryIdentification &lt;PrtryId&gt;</b>	[1..1]	±		12
Or}	<b>LEI &lt;LEI&gt;</b>	[1..1]	IdentifierSet		12

#### 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 83 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		83
	Issuer <Issr>	[1..1]	Text		83
	SchemeName <SchmeNm>	[0..1]	Text		84

#### 2.4.9.1.2 LEI <LEI>

*Presence:* [1..1]

*Definition:* Legal entity identification of the party.

*Datatype:* "[LEIIdentifier](#)" on page 94

#### 2.4.9.2 RecipientName <RcptNm>

*Presence:* [1..1]

*Definition:*

*Datatype:* "[Max350Text](#)" on page 96

#### 2.4.9.3 ResponseRecipientAddress <RspnRcptAdr>

*Presence:* [1..1]

*Definition:*

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AnyBIC</b> <AnyBIC>	[0..1]	IdentifierSet	C1	13
	<b>PostalAddress</b> <PstlAdr>	[0..1]			13
	<b>AddressType</b> <AdrTp>	[0..1]	CodeSet		14
	<b>AddressLine</b> <AdrLine>	[0..5]	Text		14
	<b>StreetName</b> <StrtNm>	[0..1]	Text		14
	<b>BuildingNumber</b> <BldgNb>	[0..1]	Text		14
	<b>PostBox</b> <PstBx>	[0..1]	Text		15
	<b>PostCode</b> <PstCd>	[0..1]	Text		15
	<b>TownName</b> <TwnNm>	[0..1]	Text		15
	<b>CountrySubDivision</b> <CtrySubDvsn>	[0..1]	Text		15
	<b>Country</b> <Ctry>	[1..1]	CodeSet	C2	15
	<b>EmailAddress</b> <EmailAdr>	[0..1]	Text		15
	<b>URLAddress</b> <URLAdr>	[0..1]	Text		15

#### 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 94

##### 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
	<b>AddressType</b> <AdrTp>	[0..1]	CodeSet		14
	<b>AddressLine</b> <AdrLine>	[0..5]	Text		14
	<b>StreetName</b> <StrtNm>	[0..1]	Text		14
	<b>BuildingNumber</b> <BldgNb>	[0..1]	Text		14
	<b>PostBox</b> <PstBx>	[0..1]	Text		15
	<b>PostCode</b> <PstCd>	[0..1]	Text		15
	<b>TownName</b> <TwnNm>	[0..1]	Text		15
	<b>CountrySubDivision</b> <CtrySubDvsn>	[0..1]	Text		15
	<b>Country</b> <Ctry>	[1..1]	CodeSet	C2	15

#### 2.4.9.3.2.1 AddressType <AdrTp>

*Presence:* [0..1]

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

*Datatype:* "AddressType2Code" on page 91

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 97

#### 2.4.9.3.2.3 StreetName <StrtNm>

*Presence:* [0..1]

*Definition:* Name of a street or thoroughfare.

*Datatype:* "Max70Text" on page 97

#### 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 95

#### **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 95

#### **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 95

#### **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 96

#### **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 96

#### **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 91

##### **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 96

#### **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:* "Max256Text" on page 96

## 2.4.10 Issuer <Issr>

*Presence:* [0..1]

*Definition:* Issuer of the financial instrument.

**Issuer <Issr>** contains one of the following elements (see "[PartyIdentification129Choice](#)" on page 85 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	85
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		86
Or	NameAndAddress <NmAndAdr>	[1..1]	±		86
Or}	LEI <LEI>	[1..1]	IdentifierSet		86

## 2.4.11 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 84 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		85
	Envelope <Envlp>	[1..1]	(External Schema)		85

### 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 DRAFT1seev.046.001.01 ShareholdersIdentificationDisclosureCancellationAdviceV01

## 3.1 MessageDefinition Functionality

The ShareholdersIdentificationDisclosureCancellation Advice 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 ShareholdersIdentificationDisclosureCancellationAdviceV01 MessageDefinition is composed of 6 MessageBuildingBlocks:

A. IssuerDisclosureRequestIdentification

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

B. FinancialInstrumentIdentification

Identifies the financial instrument.

C. 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.

D. CancellationReason

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

E. Issuer

Issuer of the financial instrument.

F. 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> <ShrhldrsIdDsclsrCxlAdv>	[1..1]			
	<b>IssuerDisclosureRequestIdentification</b> <IssrDsclsrReqId>	[1..1]	Text		19
	<b>FinancialInstrumentIdentification</b> <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	19
	<b>ShareholdersDisclosureRecordDate</b> <ShrhldrsDsclsrRcrdDt>	[1..1]	±		20
	<b>CancellationReason</b> <CxlRsn>	[0..1]	CodeSet		20
	<b>Issuer</b> <Issr>	[0..1]	±		21
	<b>SupplementaryData</b> <SplmtryData>	[0..*]	±	C8	21

## 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 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 it.

*Datatype:* "Max35Text" on page 96

### 3.4.2 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 80 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		81
	OtherIdentification <OthrId>	[0..*]			81
	Identification <Id>	[1..1]	Text		81
	Suffix <Sfx>	[0..1]	Text		81
	Type <Tp>	[1..1]	±		82
	Description <Desc>	[0..1]	Text		82

#### 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
```

### 3.4.3 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 "[DateFormat39Choice](#)" on page 79 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		79
Or}	DateCode <DtCd>	[1..1]			79
{Or	Code <Cd>	[1..1]	CodeSet		79
Or}	Proprietary <Prtry>	[1..1]	±		80

### 3.4.4 CancellationReason <CxIRsn>

*Presence:* [0..1]

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

*Datatype:* "[DisclosureRequestCancellationReason1Code](#)" on page 92

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.

### 3.4.5 Issuer <Issr>

*Presence:* [0..1]

*Definition:* Issuer of the financial instrument.

**Issuer <Issr>** contains one of the following elements (see "PartyIdentification129Choice" on page 85 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C1	85
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		86
Or	NameAndAddress <NmAndAdr>	[1..1]	±		86
Or}	LEI <LEI>	[1..1]	IdentifierSet		86

### 3.4.6 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 84 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		85
	Envelope <Envlp>	[1..1]	(External Schema)		85

#### 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 DRAFT1seev.047.001.01 ShareholdersIdentificationDisclosureResponseV01**

### **4.1 MessageDefinition Functionality**

The ShareholdersIdentificationDisclosureResponse message is sent by any intermediaries in a custody chain to the third party nominated by the issuer (such as a issuer's agent) who had previously requested the disclosure of the shareholders identity 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 4 MessageBuildingBlocks:

**A. IssuerDisclosureRequestIdentification**

Specifications of the original disclosure request to which a response is provided.

**B. RespondingIntermediaryIdentification**

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

**C. SafekeepingAccountAndHoldings**

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

**D. SupplementaryData**

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

## 4.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <ShrhldrsIdDsclsrRspn>	[1..1]			
	<b>IssuerDisclosureRequestIdentification</b> <IssrDsclsrReqId>	[1..1]			27
	<b>IssuerDisclosureRequestIdentification</b> <IssrDsclsrReqId>	[1..1]	Text		28
	<b>FinancialInstrumentIdentification</b> <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	28
	<b>ShareholdersDisclosureRecordDate</b> <ShrhldrsDsclsrRcrdDt>	[1..1]	±		29
	<b>RespondingIntermediaryIdentification</b> <RspndgIntrmyId>	[1..1]			29
	<b>NameAndAddress</b> <NmAndAdr>	[1..1]			30
	<b>Name</b> <Nm>	[1..1]	Text		31
	<b>Address</b> <Adr>	[0..1]			31
	<b>AddressType</b> <AdrTp>	[0..1]	CodeSet		32
	<b>AddressLine</b> <AdrLine>	[0..5]	Text		32
	<b>StreetName</b> <StrtNm>	[0..1]	Text		32
	<b>BuildingNumber</b> <BldgNb>	[0..1]	Text		32
	<b>PostBox</b> <PstBx>	[0..1]	Text		32
	<b>PostCode</b> <PstCd>	[0..1]	Text		32
	<b>TownName</b> <TwnNm>	[0..1]	Text		33
	<b>CountrySubDivision</b> <CtrySubDvsn>	[0..1]	Text		33
	<b>Country</b> <Ctry>	[1..1]	CodeSet	C2	33
	<b>Identification</b> <Id>	[1..1]			33
{Or	<b>AnyBIC</b> <AnyBIC>	[1..1]	IdentifierSet	C1	33
Or	<b>ProprietaryIdentification</b> <PrtryId>	[1..1]	±		34
Or}	<b>LEI</b> <LEI>	[1..1]	IdentifierSet		34
	<b>ContactPerson</b> <CtctPrsn>	[0..1]	±		34
	<b>SafekeepingAccountAndHoldings</b> <SfkpgAcctAndHldgs>	[1..*]			35
	<b>SafekeepingAccount</b> <SfkpgAcct>	[1..1]	Text		39
	<b>AccountOwner</b> <AcctOwnr>	[0..1]			39
{Or	<b>AnyBIC</b> <AnyBIC>	[1..1]	IdentifierSet	C1	39
Or	<b>ProprietaryIdentification</b> <PrtryId>	[1..1]	±		39
Or}	<b>LEI</b> <LEI>	[1..1]	IdentifierSet		40

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>AccountServicer</b> <AcctSvcr>	[1..1]			40
{Or	<b>AnyBIC</b> <AnyBIC>	[1..1]	IdentifierSet	C1	40
Or	<b>ProprietaryIdentification</b> <PrtryId>	[1..1]	±		40
Or}	<b>LEI</b> <LEI>	[1..1]	IdentifierSet		41
	<b>ShareholdingBalanceOnOwnAccount</b> <ShrhldgBalOnOwnAcct>	[1..1]	Quantity		41
	<b>ShareholdingBalanceOnClientAccount</b> <ShrhldgBalOnClntAcct>	[1..1]	Quantity		41
	<b>TotalShareholdingBalance</b> <TtlShrhldgBal>	[1..1]	Quantity		41
	<b>AccountSubLevel</b> <AcctSubLvl>	[0..*]			41
	<b>SafekeepingAccount</b> <SfkpgAcct>	[1..1]	Text		44
	<b>AccountHolder</b> <AcctHldr>	[1..1]			44
{Or	<b>LegalPerson</b> <LglPrsn>	[1..1]			46
	<b>NameAndAddress</b> <NmAndAdr>	[1..1]			46
	<b>Name</b> <Nm>	[1..1]	Text		47
	<b>Address</b> <Adr>	[0..1]			47
	<b>AddressType</b> <AdrTp>	[0..1]	CodeSet		48
	<b>AddressLine</b> <AdrLine>	[0..5]	Text		48
	<b>StreetName</b> <StrtNm>	[0..1]	Text		48
	<b>BuildingNumber</b> <BldgNb>	[0..1]	Text		48
	<b>PostBox</b> <PstBx>	[0..1]	Text		48
	<b>PostCode</b> <PstCd>	[0..1]	Text		48
	<b>TownName</b> <TwnNm>	[0..1]	Text		49
	<b>CountrySubDivision</b> <CtrySubDvsn>	[0..1]	Text		49
	<b>Country</b> <Ctry>	[1..1]	CodeSet	C2	49
	<b>EmailAddress</b> <EmailAdr>	[0..1]	Text		49
	<b>Identification</b> <Id>	[1..1]			49
{Or	<b>NationalRegistrationNumber</b> <NtlRegnNb>	[1..1]	Text		49
Or	<b>LEI</b> <LEI>	[1..1]	IdentifierSet		50
Or	<b>AnyBIC</b> <AnyBIC>	[1..1]	IdentifierSet	C1	50
Or	<b>ClientIdentification</b> <ClntId>	[1..1]	Text		50
Or}	<b>ProprietaryIdentification</b> <PrtryId>	[1..1]	±		50
Or}	<b>NaturalPerson</b> <NtrlPrsn>	[1..*]			50



Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>NameAndAddress</b> <NmAndAdr>	[1..1]			51
	<b>FirstName</b> <FrstNm>	[1..1]	Text		52
	<b>Surname</b> <Snm>	[1..1]	Text		52
	<b>Address</b> <Adr>	[0..1]			52
	<b>AddressType</b> <AdrTp>	[0..1]	CodeSet		53
	<b>AddressLine</b> <AdrLine>	[0..5]	Text		53
	<b>StreetName</b> <StrtNm>	[0..1]	Text		53
	<b>BuildingNumber</b> <BldgNb>	[0..1]	Text		53
	<b>PostBox</b> <PstBx>	[0..1]	Text		54
	<b>PostCode</b> <PstCd>	[0..1]	Text		54
	<b>TownName</b> <TwnNm>	[0..1]	Text		54
	<b>CountrySubDivision</b> <CtrySubDvsn>	[0..1]	Text		54
	<b>Country</b> <Ctry>	[1..1]	CodeSet	C2	54
	<b>EmailAddress</b> <EmailAdr>	[0..1]	Text		54
	<b>Identification</b> <Id>	[1..1]	Text		54
	<b>ShareholdingBalanceDetails</b> <ShrhldgBalDtls>	[1..*]			55
	<b>ShareholdingType</b> <ShrhldgTp>	[1..1]	CodeSet		57
	<b>ShareholdingBalance</b> <ShrhldgBal>	[1..1]	Quantity		57
	<b>InitialDateOfShareholding</b> <InitlDtOfShrhldg>	[0..1]			57
{Or	<b>Date</b> <Dt>	[1..1]	Date		58
Or}	<b>DateCode</b> <DtCd>	[1..1]			58
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		58
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		58
	<b>AssetManager</b> <AsstMgr>	[0..1]			59
{Or	<b>LegalPerson</b> <LglPrsn>	[1..1]			61
	<b>NameAndAddress</b> <NmAndAdr>	[0..1]			61
	<b>Name</b> <Nm>	[1..1]	Text		62
	<b>Address</b> <Adr>	[0..1]			62
	<b>AddressType</b> <AdrTp>	[0..1]	CodeSet		63
	<b>AddressLine</b> <AdrLine>	[0..5]	Text		63
	<b>StreetName</b> <StrtNm>	[0..1]	Text		63

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>BuildingNumber</b> <BldgNb>	[0..1]	Text		63
	<b>PostBox</b> <PstBx>	[0..1]	Text		63
	<b>PostCode</b> <PstCd>	[0..1]	Text		63
	<b>TownName</b> <TwnNm>	[0..1]	Text		64
	<b>CountrySubDivision</b> <CtrySubDvsn>	[0..1]	Text		64
	<b>Country</b> <Ctry>	[1..1]	CodeSet	C2	64
	<b>Identification</b> <Id>	[1..1]			64
{Or	<b>NationalRegistrationNumber</b> <NtlRegnNb>	[1..1]	Text		64
Or	<b>LEI</b> <LEI>	[1..1]	IdentifierSet		64
Or	<b>AnyBIC</b> <AnyBIC>	[1..1]	IdentifierSet	C1	65
Or	<b>ClientIdentification</b> <ClnId>	[1..1]	Text		65
Or}	<b>ProprietaryIdentification</b> <PrtryId>	[1..1]	±		65
Or}	<b>NaturalPerson</b> <NtrlPrsn>	[1..1]			65
	<b>NameAndAddress</b> <NmAndAdr>	[1..1]			66
	<b>FirstName</b> <FrstNm>	[1..1]	Text		67
	<b>Surname</b> <SrnM>	[1..1]	Text		67
	<b>Address</b> <Adr>	[0..1]			67
	<b>AddressType</b> <AdrTp>	[0..1]	CodeSet		68
	<b>AddressLine</b> <AdrLine>	[0..5]	Text		68
	<b>StreetName</b> <StrtNm>	[0..1]	Text		68
	<b>BuildingNumber</b> <BldgNb>	[0..1]	Text		68
	<b>PostBox</b> <PstBx>	[0..1]	Text		69
	<b>PostCode</b> <PstCd>	[0..1]	Text		69
	<b>TownName</b> <TwnNm>	[0..1]	Text		69
	<b>CountrySubDivision</b> <CtrySubDvsn>	[0..1]	Text		69
	<b>Country</b> <Ctry>	[1..1]	CodeSet	C2	69
	<b>Identification</b> <Id>	[1..1]	Text		69
	<b>SupplementaryData</b> <SplmtryData>	[0..*]	±	C8	69
	<b>SupplementaryData</b> <SplmtryData>	[0..*]	±	C8	70

## 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 IssuerDisclosureRequestIdentification <IssrDsclsrReqId>

*Presence:* [1..1]

*Definition:* Specifications of the original disclosure request to which a response is provided.

**IssuerDisclosureRequestIdentification <IssrDsclsrReqId>** contains the following **DisclosureRequestIdentification1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>IssuerDisclosureRequestIdentification</b> <IssrDsclsrReqId>	[1..1]	Text		28
	<b>FinancialInstrumentIdentification</b> <FinInstrmId>	[1..1]	±	C3, C4, C5, C6, C7	28
	<b>ShareholdersDisclosureRecordDate</b> <ShrhldrsDsclsrRcrdDt>	[1..1]	±		29

#### 4.4.1.1 IssuerDisclosureRequestIdentification <IssrDsclsrReqId>

*Presence:* [1..1]

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

*Datatype:* "Max35Text" on page 96

#### 4.4.1.2 FinancialInstrumentIdentification <FinInstrmId>

*Presence:* [1..1]

*Definition:* Identifies the financial instrument.

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

**FinancialInstrumentIdentification <FinInstrmId>** contains the following elements (see "SecurityIdentification19" on page 80 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		81
	OtherIdentification <OthrId>	[0..*]			81
	Identification <Id>	[1..1]	Text		81
	Suffix <Sfx>	[0..1]	Text		81
	Type <Tp>	[1..1]	±		82
	Description <Desc>	[0..1]	Text		82

#### Constraints

- **DescriptionPresenceRule**

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

On Condition

/Description is absent

Following Must be True

/ISIN Must be present

Or /OtherIdentification[\*] Must be present

- **DescriptionUsageRule**

Description must be used alone as the last resort.

- **ISINGuideline**

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

- **ISINPresenceRule**

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

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

- **OtherIdentificationPresenceRule**

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

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

#### 4.4.1.3 ShareholdersDisclosureRecordDate <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 78 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	±		78
Or}	DateCode <DtCd>	[1..1]			78
{Or	Code <Cd>	[1..1]	CodeSet		78
Or}	Proprietary <Prtry>	[1..1]	±		78

#### 4.4.2 RespondingIntermediaryIdentification <RspndgIntrmyId>

*Presence:* [1..1]

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

**RespondingIntermediaryIdentification <RspndgIntrmyId>** contains the following  
**PartyIdentification204** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>NameAndAddress</b> <NmAndAdr>	[1..1]			30
	<b>Name</b> <Nm>	[1..1]	Text		31
	<b>Address</b> <Adr>	[0..1]			31
	<b>AddressType</b> <AdrTp>	[0..1]	CodeSet		32
	<b>AddressLine</b> <AdrLine>	[0..5]	Text		32
	<b>StreetName</b> <StrtNm>	[0..1]	Text		32
	<b>BuildingNumber</b> <BldgNb>	[0..1]	Text		32
	<b>PostBox</b> <PstBx>	[0..1]	Text		32
	<b>PostCode</b> <PstCd>	[0..1]	Text		32
	<b>TownName</b> <TwnNm>	[0..1]	Text		33
	<b>CountrySubDivision</b> <CtrySubDvsn>	[0..1]	Text		33
	<b>Country</b> <Ctry>	[1..1]	CodeSet	C2	33
	<b>Identification</b> <Id>	[1..1]			33
{Or	<b>AnyBIC</b> <AnyBIC>	[1..1]	IdentifierSet	C1	33
Or	<b>ProprietaryIdentification</b> <PrtryId>	[1..1]	±		34
Or}	<b>LEI</b> <LEI>	[1..1]	IdentifierSet		34
	<b>ContactPerson</b> <CtctPrsn>	[0..1]	±		34

#### 4.4.2.1 NameAndAddress <NmAndAdr>

*Presence:* [1..1]

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

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Name</b> <Nm>	[1..1]	Text		31
	<b>Address</b> <Adr>	[0..1]			31
	<b>AddressType</b> <AdrTp>	[0..1]	CodeSet		32
	<b>AddressLine</b> <AdrLine>	[0..5]	Text		32
	<b>StreetName</b> <StrtNm>	[0..1]	Text		32
	<b>BuildingNumber</b> <BldgNb>	[0..1]	Text		32
	<b>PostBox</b> <PstBx>	[0..1]	Text		32
	<b>PostCode</b> <PstCd>	[0..1]	Text		32
	<b>TownName</b> <TwnNm>	[0..1]	Text		33
	<b>CountrySubDivision</b> <CtrySubDvsn>	[0..1]	Text		33
	<b>Country</b> <Ctry>	[1..1]	CodeSet	C2	33

#### 4.4.2.1.1 Name <Nm>

*Presence:* [1..1]

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

*Datatype:* "Max350Text" on page 96

#### 4.4.2.1.2 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
	<b>AddressType</b> <AdrTp>	[0..1]	CodeSet		32
	<b>AddressLine</b> <AdrLine>	[0..5]	Text		32
	<b>StreetName</b> <StrtNm>	[0..1]	Text		32
	<b>BuildingNumber</b> <BldgNb>	[0..1]	Text		32
	<b>PostBox</b> <PstBx>	[0..1]	Text		32
	<b>PostCode</b> <PstCd>	[0..1]	Text		32
	<b>TownName</b> <TwnNm>	[0..1]	Text		33
	<b>CountrySubDivision</b> <CtrySubDvsn>	[0..1]	Text		33
	<b>Country</b> <Ctry>	[1..1]	CodeSet	C2	33

**4.4.2.1.2.1 AddressType <AdrTp>**

*Presence:* [0..1]

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

*Datatype:* "AddressType2Code" on page 91

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.

**4.4.2.1.2.2 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 97

**4.4.2.1.2.3 StreetName <StrtNm>**

*Presence:* [0..1]

*Definition:* Name of a street or thoroughfare.

*Datatype:* "Max70Text" on page 97

**4.4.2.1.2.4 BuildingNumber <BldgNb>**

*Presence:* [0..1]

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

*Datatype:* "Max16Text" on page 95

**4.4.2.1.2.5 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 95

**4.4.2.1.2.6 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 95



**4.4.2.1.2.7 TownName <TwNm>**

*Presence:* [0..1]

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

*Datatype:* "Max35Text" on page 96

**4.4.2.1.2.8 CountrySubDivision <CtrySubDvsn>**

*Presence:* [0..1]

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

*Datatype:* "Max35Text" on page 96

**4.4.2.1.2.9 Country <Ctry>**

*Presence:* [1..1]

*Definition:* Nation with its own government.

*Impacted by:* C2 "Country"

*Datatype:* "CountryCode" on page 91

**Constraints**

- **Country**

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

**4.4.2.2 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	<b>AnyBIC</b> <AnyBIC>	[1..1]	IdentifierSet	C1	33
Or	<b>ProprietaryIdentification</b> <PrtryId>	[1..1]	±		34
Or}	<b>LEI</b> <LEI>	[1..1]	IdentifierSet		34

**4.4.2.2.1 AnyBIC <AnyBIC>**

*Presence:* [1..1]

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

*Impacted by:* C1 "AnyBIC"

*Datatype:* "AnyBICDec2014Identifier" on page 94

**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.

**4.4.2.2.2 ProprietaryIdentification <PrtryId>**

*Presence:* [1..1]

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

**ProprietaryIdentification <PrtryId>** contains the following elements (see "[GenericIdentification36](#)" on page 83 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		83
	Issuer <Issr>	[1..1]	Text		83
	SchemeName <SchmeNm>	[0..1]	Text		84

**4.4.2.2.3 LEI <LEI>**

*Presence:* [1..1]

*Definition:* Legal entity identification of the party.

*Datatype:* "[LEIIdentifier](#)" on page 94

**4.4.2.3 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 86 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]	CodeSet		87
	GivenName <GvnNm>	[0..1]	Text		87
	Name <Nm>	[1..1]	Text		87
	PhoneNumber <PhneNb>	[0..1]	Text		87
	MobileNumber <MobNb>	[0..1]	Text		87
	FaxNumber <FaxNb>	[0..1]	Text		88
	EmailAddress <EmailAdr>	[0..1]	Text		88

### 4.4.3      **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
	<b>SafekeepingAccount</b> <SfkpgAcct>	[1..1]	Text		39
	<b>AccountOwner</b> <AcctOwnr>	[0..1]			39
{Or	<b>AnyBIC</b> <AnyBIC>	[1..1]	IdentifierSet	C1	39
Or	<b>ProprietaryIdentification</b> <PrtryId>	[1..1]	±		39
Or}	<b>LEI</b> <LEI>	[1..1]	IdentifierSet		40
	<b>AccountServicer</b> <AcctSvcr>	[1..1]			40
{Or	<b>AnyBIC</b> <AnyBIC>	[1..1]	IdentifierSet	C1	40
Or	<b>ProprietaryIdentification</b> <PrtryId>	[1..1]	±		40
Or}	<b>LEI</b> <LEI>	[1..1]	IdentifierSet		41
	<b>ShareholdingBalanceOnOwnAccount</b> <ShrhldgBalOnOwnAcct>	[1..1]	Quantity		41
	<b>ShareholdingBalanceOnClientAccount</b> <ShrhldgBalOnClntAcct>	[1..1]	Quantity		41
	<b>TotalShareholdingBalance</b> <TtlShrhldgBal>	[1..1]	Quantity		41
	<b>AccountSubLevel</b> <AcctSubLvl>	[0..*]			41
	<b>SafekeepingAccount</b> <SfkpgAcct>	[1..1]	Text		44
	<b>AccountHolder</b> <AcctHldr>	[1..1]			44
{Or	<b>LegalPerson</b> <LglPrsn>	[1..1]			46
	<b>NameAndAddress</b> <NmAndAdr>	[1..1]			46
	<b>Name</b> <Nm>	[1..1]	Text		47
	<b>Address</b> <Adr>	[0..1]			47
	<b>AddressType</b> <AdrTp>	[0..1]	CodeSet		48
	<b>AddressLine</b> <AdrLine>	[0..5]	Text		48
	<b>StreetName</b> <StrtNm>	[0..1]	Text		48
	<b>BuildingNumber</b> <BldgNb>	[0..1]	Text		48
	<b>PostBox</b> <PstBx>	[0..1]	Text		48
	<b>PostCode</b> <PstCd>	[0..1]	Text		48
	<b>TownName</b> <TwnNm>	[0..1]	Text		49
	<b>CountrySubDivision</b> <CtrySubDvsn>	[0..1]	Text		49
	<b>Country</b> <Ctry>	[1..1]	CodeSet	C2	49
	<b>EmailAddress</b> <EmailAdr>	[0..1]	Text		49

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Identification</b> <Id>	[1..1]			49
{Or	<b>NationalRegistrationNumber</b> <NtlRegnNb>	[1..1]	Text		49
Or	<b>LEI</b> <LEI>	[1..1]	IdentifierSet		50
Or	<b>AnyBIC</b> <AnyBIC>	[1..1]	IdentifierSet	C1	50
Or	<b>ClientIdentification</b> <CIntId>	[1..1]	Text		50
Or}	<b>ProprietaryIdentification</b> <PrtryId>	[1..1]	±		50
Or}	<b>NaturalPerson</b> <NtrlPrsn>	[1..*]			50
	<b>NameAndAddress</b> <NmAndAdr>	[1..1]			51
	<b>FirstName</b> <FrstNm>	[1..1]	Text		52
	<b>Surname</b> <Snm>	[1..1]	Text		52
	<b>Address</b> <Adr>	[0..1]			52
	<b>AddressType</b> <AdrTp>	[0..1]	CodeSet		53
	<b>AddressLine</b> <AdrLine>	[0..5]	Text		53
	<b>StreetName</b> <StrtNm>	[0..1]	Text		53
	<b>BuildingNumber</b> <BldgNb>	[0..1]	Text		53
	<b>PostBox</b> <PstBx>	[0..1]	Text		54
	<b>PostCode</b> <PstCd>	[0..1]	Text		54
	<b>TownName</b> <TwnNm>	[0..1]	Text		54
	<b>CountrySubDivision</b> <CtrySubDvsn>	[0..1]	Text		54
	<b>Country</b> <Ctry>	[1..1]	CodeSet	C2	54
	<b>EmailAddress</b> <EmailAdr>	[0..1]	Text		54
	<b>Identification</b> <Id>	[1..1]	Text		54
	<b>ShareholdingBalanceDetails</b> <ShrhldgBalDtls>	[1..*]			55
	<b>ShareholdingType</b> <ShrhldgTp>	[1..1]	CodeSet		57
	<b>ShareholdingBalance</b> <ShrhldgBal>	[1..1]	Quantity		57
	<b>InitialDateOfShareholding</b> <InitlDtOfShrhldg>	[0..1]			57
{Or	<b>Date</b> <Dt>	[1..1]	Date		58
Or}	<b>DateCode</b> <DtCd>	[1..1]			58
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		58
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		58
	<b>AssetManager</b> <AsstMgr>	[0..1]			59

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>LegalPerson</b> <LglPrsn>	[1..1]			61
	<b>NameAndAddress</b> <NmAndAdr>	[0..1]			61
	<b>Name</b> <Nm>	[1..1]	Text		62
	<b>Address</b> <Adr>	[0..1]			62
	<b>AddressType</b> <AdrTp>	[0..1]	CodeSet		63
	<b>AddressLine</b> <AdrLine>	[0..5]	Text		63
	<b>StreetName</b> <StrtNm>	[0..1]	Text		63
	<b>BuildingNumber</b> <BldgNb>	[0..1]	Text		63
	<b>PostBox</b> <PstBx>	[0..1]	Text		63
	<b>PostCode</b> <PstCd>	[0..1]	Text		63
	<b>TownName</b> <TwnNm>	[0..1]	Text		64
	<b>CountrySubDivision</b> <CtrySubDvsn>	[0..1]	Text		64
	<b>Country</b> <Ctry>	[1..1]	CodeSet	C2	64
	<b>Identification</b> <Id>	[1..1]			64
{Or	<b>NationalRegistrationNumber</b> <NtlRegnNb>	[1..1]	Text		64
Or	<b>LEI</b> <LEI>	[1..1]	IdentifierSet		64
Or	<b>AnyBIC</b> <AnyBIC>	[1..1]	IdentifierSet	C1	65
Or	<b>ClientIdentification</b> <ClnId>	[1..1]	Text		65
Or}	<b>ProprietaryIdentification</b> <PrtryId>	[1..1]	±		65
Or}	<b>NaturalPerson</b> <NtrlPrsn>	[1..1]			65
	<b>NameAndAddress</b> <NmAndAdr>	[1..1]			66
	<b>FirstName</b> <FrstNm>	[1..1]	Text		67
	<b>Surname</b> <SrnNm>	[1..1]	Text		67
	<b>Address</b> <Adr>	[0..1]			67
	<b>AddressType</b> <AdrTp>	[0..1]	CodeSet		68
	<b>AddressLine</b> <AdrLine>	[0..5]	Text		68
	<b>StreetName</b> <StrtNm>	[0..1]	Text		68
	<b>BuildingNumber</b> <BldgNb>	[0..1]	Text		68
	<b>PostBox</b> <PstBx>	[0..1]	Text		69
	<b>PostCode</b> <PstCd>	[0..1]	Text		69
	<b>TownName</b> <TwnNm>	[0..1]	Text		69

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CountrySubDivision</b> <CtrySubDvsn>	[0..1]	Text		69
	<b>Country</b> <Ctry>	[1..1]	CodeSet	C2	69
	<b>Identification</b> <Id>	[1..1]	Text		69
	<b>SupplementaryData</b> <SplmtryData>	[0..*]	±	C8	69

#### 4.4.3.1 SafekeepingAccount <SfkpgAcct>

*Presence:* [1..1]

*Definition:* Account where financial instruments are maintained.

*Datatype:* "Max35Text" on page 96

#### 4.4.3.2 AccountOwner <AcctOwnr>

*Presence:* [0..1]

*Definition:* Party that legally owns the account.

**AccountOwner <AcctOwnr>** contains one of the following **PartyIdentification195Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>AnyBIC</b> <AnyBIC>	[1..1]	IdentifierSet	C1	39
Or	<b>ProprietaryIdentification</b> <PrtryId>	[1..1]	±		39
Or}	<b>LEI</b> <LEI>	[1..1]	IdentifierSet		40

##### 4.4.3.2.1 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 94

##### 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.

##### 4.4.3.2.2 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 83 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		83
	Issuer <Issr>	[1..1]	Text		83
	SchemeName <SchmeNm>	[0..1]	Text		84

#### 4.4.3.2.3 LEI <LEI>

*Presence:* [1..1]

*Definition:* Legal entity identification of the party.

*Datatype:* "[LEIIdentifier](#)" on page 94

#### 4.4.3.3 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	<b>AnyBIC</b> <AnyBIC>	[1..1]	IdentifierSet	C1	40
Or	<b>ProprietaryIdentification</b> <PrtryId>	[1..1]	±		40
Or}	<b>LEI</b> <LEI>	[1..1]	IdentifierSet		41

##### 4.4.3.3.1 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 94

##### 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.

##### 4.4.3.3.2 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 83 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification </Id>	[1..1]	Text		83
	Issuer </Issr>	[1..1]	Text		83
	SchemeName <SchmeNm>	[0..1]	Text		84

#### 4.4.3.3.3 LEI <LEI>

*Presence:* [1..1]

*Definition:* Legal entity identification of the party.

*Datatype:* "LEIIdentifier" on page 94

#### 4.4.3.4 ShareholdingBalanceOnOwnAccount <ShrhldgBalOnOwnAcct>

*Presence:* [1..1]

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

*Datatype:* "DecimalNumber" on page 95

#### 4.4.3.5 ShareholdingBalanceOnClientAccount <ShrhldgBalOnClntAcct>

*Presence:* [1..1]

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

*Datatype:* "DecimalNumber" on page 95

#### 4.4.3.6 TotalShareholdingBalance <TtlShrhldgBal>

*Presence:* [1..1]

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

*Datatype:* "DecimalNumber" on page 95

#### 4.4.3.7 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
	<b>SafekeepingAccount</b> <SfkpgAcct>	[1..1]	Text		44
	<b>AccountHolder</b> <AcctHldr>	[1..1]			44
{Or	<b>LegalPerson</b> <LglPrsn>	[1..1]			46
	<b>NameAndAddress</b> <NmAndAdr>	[1..1]			46
	<b>Name</b> <Nm>	[1..1]	Text		47
	<b>Address</b> <Adr>	[0..1]			47
	<b>AddressType</b> <AdrTp>	[0..1]	CodeSet		48
	<b>AddressLine</b> <AdrLine>	[0..5]	Text		48
	<b>StreetName</b> <StrtNm>	[0..1]	Text		48
	<b>BuildingNumber</b> <BldgNb>	[0..1]	Text		48
	<b>PostBox</b> <PstBx>	[0..1]	Text		48
	<b>PostCode</b> <PstCd>	[0..1]	Text		48
	<b>TownName</b> <TwnNm>	[0..1]	Text		49
	<b>CountrySubDivision</b> <CtrySubDvsn>	[0..1]	Text		49
	<b>Country</b> <Ctry>	[1..1]	CodeSet	C2	49
	<b>EmailAddress</b> <EmailAdr>	[0..1]	Text		49
	<b>Identification</b> <Id>	[1..1]			49
{Or	<b>NationalRegistrationNumber</b> <NtlRegnNb>	[1..1]	Text		49
Or	<b>LEI</b> <LEI>	[1..1]	IdentifierSet		50
Or	<b>AnyBIC</b> <AnyBIC>	[1..1]	IdentifierSet	C1	50
Or	<b>ClientIdentification</b> <ClntId>	[1..1]	Text		50
Or}	<b>ProprietaryIdentification</b> <PrtryId>	[1..1]	±		50
Or}	<b>NaturalPerson</b> <NtrlPrsn>	[1..*]			50
	<b>NameAndAddress</b> <NmAndAdr>	[1..1]			51
	<b>FirstName</b> <FrstNm>	[1..1]	Text		52
	<b>Surname</b> <Srm>	[1..1]	Text		52
	<b>Address</b> <Adr>	[0..1]			52
	<b>AddressType</b> <AdrTp>	[0..1]	CodeSet		53
	<b>AddressLine</b> <AdrLine>	[0..5]	Text		53
	<b>StreetName</b> <StrtNm>	[0..1]	Text		53
	<b>BuildingNumber</b> <BldgNb>	[0..1]	Text		53

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>PostBox</b> <PstBx>	[0..1]	Text		54
	<b>PostCode</b> <PstCd>	[0..1]	Text		54
	<b>TownName</b> <TwnNm>	[0..1]	Text		54
	<b>CountrySubDivision</b> <CtrySubDvsn>	[0..1]	Text		54
	<b>Country</b> <Ctry>	[1..1]	CodeSet	C2	54
	<b>EmailAddress</b> <EmailAdr>	[0..1]	Text		54
	<b>Identification</b> <Id>	[1..1]	Text		54
	<b>ShareholdingBalanceDetails</b> <ShrhldgBalDtls>	[1..*]			55
	<b>ShareholdingType</b> <ShrhldgTp>	[1..1]	CodeSet		57
	<b>ShareholdingBalance</b> <ShrhldgBal>	[1..1]	Quantity		57
	<b>InitialDateOfShareholding</b> <InitlDtOfShrhldg>	[0..1]			57
{Or	<b>Date</b> <Dt>	[1..1]	Date		58
Or}	<b>DateCode</b> <DtCd>	[1..1]			58
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		58
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		58
	<b>AssetManager</b> <AsstMgr>	[0..1]			59
{Or	<b>LegalPerson</b> <LglPrsn>	[1..1]			61
	<b>NameAndAddress</b> <NmAndAdr>	[0..1]			61
	<b>Name</b> <Nm>	[1..1]	Text		62
	<b>Address</b> <Adr>	[0..1]			62
	<b>AddressType</b> <AdrTp>	[0..1]	CodeSet		63
	<b>AddressLine</b> <AdrLine>	[0..5]	Text		63
	<b>StreetName</b> <StrtNm>	[0..1]	Text		63
	<b>BuildingNumber</b> <BldgNb>	[0..1]	Text		63
	<b>PostBox</b> <PstBx>	[0..1]	Text		63
	<b>PostCode</b> <PstCd>	[0..1]	Text		63
	<b>TownName</b> <TwnNm>	[0..1]	Text		64
	<b>CountrySubDivision</b> <CtrySubDvsn>	[0..1]	Text		64
	<b>Country</b> <Ctry>	[1..1]	CodeSet	C2	64
	<b>Identification</b> <Id>	[1..1]			64
{Or	<b>NationalRegistrationNumber</b> <NtlRegnNb>	[1..1]	Text		64

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
Or	<b>LEI</b> <LEI>	[1..1]	IdentifierSet		64
Or	<b>AnyBIC</b> <AnyBIC>	[1..1]	IdentifierSet	C1	65
Or	<b>ClientIdentification</b> <ClntId>	[1..1]	Text		65
Or}	<b>ProprietaryIdentification</b> <PrtryId>	[1..1]	±		65
Or}	<b>NaturalPerson</b> <NtrlPrsn>	[1..1]			65
	<b>NameAndAddress</b> <NmAndAdr>	[1..1]			66
	<b>FirstName</b> <FrstNm>	[1..1]	Text		67
	<b>Surname</b> <SrnNm>	[1..1]	Text		67
	<b>Address</b> <Adr>	[0..1]			67
	<b>AddressType</b> <AdrTp>	[0..1]	CodeSet		68
	<b>AddressLine</b> <AdrLine>	[0..5]	Text		68
	<b>StreetName</b> <StrtNm>	[0..1]	Text		68
	<b>BuildingNumber</b> <BldgNb>	[0..1]	Text		68
	<b>PostBox</b> <PstBx>	[0..1]	Text		69
	<b>PostCode</b> <PstCd>	[0..1]	Text		69
	<b>TownName</b> <TwnNm>	[0..1]	Text		69
	<b>CountrySubDivision</b> <CtrySubDvsn>	[0..1]	Text		69
	<b>Country</b> <Ctry>	[1..1]	CodeSet	C2	69
	<b>Identification</b> <Id>	[1..1]	Text		69
	<b>SupplementaryData</b> <SplmtryData>	[0..*]	±	C8	69

#### 4.4.3.7.1 SafekeepingAccount <SfkpgAcct>

*Presence:* [1..1]

*Definition:* Account where financial instruments are maintained.

*Datatype:* "Max35Text" on page 96

#### 4.4.3.7.2 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	<b>LegalPerson</b> <LglPrsn>	[1..1]			46
	<b>NameAndAddress</b> <NmAndAdr>	[1..1]			46
	<b>Name</b> <Nm>	[1..1]	Text		47
	<b>Address</b> <Adr>	[0..1]			47
	<b>AddressType</b> <AdrTp>	[0..1]	CodeSet		48
	<b>AddressLine</b> <AdrLine>	[0..5]	Text		48
	<b>StreetName</b> <StrtNm>	[0..1]	Text		48
	<b>BuildingNumber</b> <BldgNb>	[0..1]	Text		48
	<b>PostBox</b> <PstBx>	[0..1]	Text		48
	<b>PostCode</b> <PstCd>	[0..1]	Text		48
	<b>TownName</b> <TwnNm>	[0..1]	Text		49
	<b>CountrySubDivision</b> <CtrySubDvsn>	[0..1]	Text		49
	<b>Country</b> <Ctry>	[1..1]	CodeSet	C2	49
	<b>EmailAddress</b> <EmailAdr>	[0..1]	Text		49
	<b>Identification</b> <Id>	[1..1]			49
{Or	<b>NationalRegistrationNumber</b> <NtlRegnNb>	[1..1]	Text		49
Or	<b>LEI</b> <LEI>	[1..1]	IdentifierSet		50
Or	<b>AnyBIC</b> <AnyBIC>	[1..1]	IdentifierSet	C1	50
Or	<b>ClientIdentification</b> <ClnId>	[1..1]	Text		50
Or}	<b>ProprietaryIdentification</b> <PrtryId>	[1..1]	±		50
Or}	<b>NaturalPerson</b> <NtrlPrsn>	[1..*]			50
	<b>NameAndAddress</b> <NmAndAdr>	[1..1]			51
	<b>FirstName</b> <FrstNm>	[1..1]	Text		52
	<b>Surname</b> <Snm>	[1..1]	Text		52
	<b>Address</b> <Adr>	[0..1]			52
	<b>AddressType</b> <AdrTp>	[0..1]	CodeSet		53
	<b>AddressLine</b> <AdrLine>	[0..5]	Text		53
	<b>StreetName</b> <StrtNm>	[0..1]	Text		53
	<b>BuildingNumber</b> <BldgNb>	[0..1]	Text		53
	<b>PostBox</b> <PstBx>	[0..1]	Text		54
	<b>PostCode</b> <PstCd>	[0..1]	Text		54

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>TownName</b> <TwnNm>	[0..1]	Text		54
	<b>CountrySubDivision</b> <CtrySubDvsn>	[0..1]	Text		54
	<b>Country</b> <Ctry>	[1..1]	CodeSet	C2	54
	<b>EmailAddress</b> <EmailAdr>	[0..1]	Text		54
	<b>Identification</b> <Id>	[1..1]	Text		54

#### 4.4.3.7.2.1 LegalPerson <LglPrsn>

*Presence:* [1..1]

*Definition:* Legal entity.

**LegalPerson** <LglPrsn> contains the following **PartyIdentification197** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>NameAndAddress</b> <NmAndAdr>	[1..1]			46
	<b>Name</b> <Nm>	[1..1]	Text		47
	<b>Address</b> <Adr>	[0..1]			47
	<b>AddressType</b> <AdrTp>	[0..1]	CodeSet		48
	<b>AddressLine</b> <AdrLine>	[0..5]	Text		48
	<b>StreetName</b> <StrtNm>	[0..1]	Text		48
	<b>BuildingNumber</b> <BldgNb>	[0..1]	Text		48
	<b>PostBox</b> <PstBx>	[0..1]	Text		48
	<b>PostCode</b> <PstCd>	[0..1]	Text		48
	<b>TownName</b> <TwnNm>	[0..1]	Text		49
	<b>CountrySubDivision</b> <CtrySubDvsn>	[0..1]	Text		49
	<b>Country</b> <Ctry>	[1..1]	CodeSet	C2	49
	<b>EmailAddress</b> <EmailAdr>	[0..1]	Text		49
	<b>Identification</b> <Id>	[1..1]			49
{Or	<b>NationalRegistrationNumber</b> <NtlRegnNb>	[1..1]	Text		49
Or	<b>LEI</b> <LEI>	[1..1]	IdentifierSet		50
Or	<b>AnyBIC</b> <AnyBIC>	[1..1]	IdentifierSet	C1	50
Or	<b>ClientIdentification</b> <ClntId>	[1..1]	Text		50
Or}	<b>ProprietaryIdentification</b> <PrtryId>	[1..1]	±		50

##### 4.4.3.7.2.1.1 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
	<b>Name &lt;Nm&gt;</b>	[1..1]	Text		47
	<b>Address &lt;Adr&gt;</b>	[0..1]			47
	<b>AddressType &lt;AdrTp&gt;</b>	[0..1]	CodeSet		48
	<b>AddressLine &lt;AdrLine&gt;</b>	[0..5]	Text		48
	<b>StreetName &lt;StrtNm&gt;</b>	[0..1]	Text		48
	<b>BuildingNumber &lt;BldgNb&gt;</b>	[0..1]	Text		48
	<b>PostBox &lt;PstBx&gt;</b>	[0..1]	Text		48
	<b>PostCode &lt;PstCd&gt;</b>	[0..1]	Text		48
	<b>TownName &lt;TwnNm&gt;</b>	[0..1]	Text		49
	<b>CountrySubDivision &lt;CtrySubDvsn&gt;</b>	[0..1]	Text		49
	<b>Country &lt;Ctry&gt;</b>	[1..1]	CodeSet	C2	49

#### 4.4.3.7.2.1.1.1 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 96

#### 4.4.3.7.2.1.1.2 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
	<b>AddressType &lt;AdrTp&gt;</b>	[0..1]	CodeSet		48
	<b>AddressLine &lt;AdrLine&gt;</b>	[0..5]	Text		48
	<b>StreetName &lt;StrtNm&gt;</b>	[0..1]	Text		48
	<b>BuildingNumber &lt;BldgNb&gt;</b>	[0..1]	Text		48
	<b>PostBox &lt;PstBx&gt;</b>	[0..1]	Text		48
	<b>PostCode &lt;PstCd&gt;</b>	[0..1]	Text		48
	<b>TownName &lt;TwnNm&gt;</b>	[0..1]	Text		49
	<b>CountrySubDivision &lt;CtrySubDvsn&gt;</b>	[0..1]	Text		49
	<b>Country &lt;Ctry&gt;</b>	[1..1]	CodeSet	C2	49

**4.4.3.7.2.1.1.2.1 AddressType <AdrTp>**

*Presence:* [0..1]

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

*Datatype:* "AddressType2Code" on page 91

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.

**4.4.3.7.2.1.1.2.2 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 97

**4.4.3.7.2.1.1.2.3 StreetName <StrtNm>**

*Presence:* [0..1]

*Definition:* Name of a street or thoroughfare.

*Datatype:* "Max70Text" on page 97

**4.4.3.7.2.1.1.2.4 BuildingNumber <BldgNb>**

*Presence:* [0..1]

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

*Datatype:* "Max16Text" on page 95

**4.4.3.7.2.1.1.2.5 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 95

**4.4.3.7.2.1.1.2.6 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 95



**4.4.3.7.2.1.1.2.7 TownName <TwnNm>***Presence:* [0..1]*Definition:* Name of a built-up area, with defined boundaries, and a local government.*Datatype:* "Max35Text" on page 96**4.4.3.7.2.1.1.2.8 CountrySubDivision <CtrySubDvsn>***Presence:* [0..1]*Definition:* Identifies a subdivision of a country for example, state, region, county.*Datatype:* "Max35Text" on page 96**4.4.3.7.2.1.1.2.9 Country <Ctry>***Presence:* [1..1]*Definition:* Nation with its own government.*Impacted by:* C2 "Country"*Datatype:* "CountryCode" on page 91**Constraints**

- Country**

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

**4.4.3.7.2.1.2 EmailAddress <EmailAdr>***Presence:* [0..1]*Definition:* Address for electronic mail (e-mail).*Datatype:* "Max256Text" on page 96**4.4.3.7.2.1.3 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	<b>NationalRegistrationNumber</b> <NtlRegnNb>	[1..1]	Text		49
Or	<b>LEI</b> <LEI>	[1..1]	IdentifierSet		50
Or	<b>AnyBIC</b> <AnyBIC>	[1..1]	IdentifierSet	C1	50
Or	<b>ClientIdentification</b> <ClnId>	[1..1]	Text		50
Or}	<b>ProprietaryIdentification</b> <PrtryId>	[1..1]	±		50

**4.4.3.7.2.1.3.1 NationalRegistrationNumber <NtlRegnNb>***Presence:* [1..1]*Definition:* Number assigned by a national registration authority to an entity.

*Datatype:* "Max35Text" on page 96

#### 4.4.3.7.2.1.3.2 LEI <LEI>

*Presence:* [1..1]

*Definition:* Legal entity identification of the party.

*Datatype:* "LEIIdentifier" on page 94

#### 4.4.3.7.2.1.3.3 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 94

#### 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.

#### 4.4.3.7.2.1.3.4 ClientIdentification <CIntId>

*Presence:* [1..1]

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

*Datatype:* "Max50Text" on page 97

#### 4.4.3.7.2.1.3.5 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 83 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		83
	Issuer <Issr>	[1..1]	Text		83
	SchemeName <SchmeNm>	[0..1]	Text		84

#### 4.4.3.7.2.2 NaturalPerson <NtrIPrsn>

*Presence:* [1..\*]

*Definition:* Private person.

**NaturalPerson <NtrlPrsn>** contains the following **PartyIdentification199** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>NameAndAddress</b> <NmAndAdr>	[1..1]			51
	<b>FirstName</b> <FrstNm>	[1..1]	Text		52
	<b>Surname</b> <SrnM>	[1..1]	Text		52
	<b>Address</b> <Adr>	[0..1]			52
	<b>AddressType</b> <AdrTp>	[0..1]	CodeSet		53
	<b>AddressLine</b> <AdrLine>	[0..5]	Text		53
	<b>StreetName</b> <StrtNm>	[0..1]	Text		53
	<b>BuildingNumber</b> <BldgNb>	[0..1]	Text		53
	<b>PostBox</b> <PstBx>	[0..1]	Text		54
	<b>PostCode</b> <PstCd>	[0..1]	Text		54
	<b>TownName</b> <TwnNm>	[0..1]	Text		54
	<b>CountrySubDivision</b> <CtrySubDvsn>	[0..1]	Text		54
	<b>Country</b> <Ctry>	[1..1]	CodeSet	C2	54
	<b>EmailAddress</b> <EmailAdr>	[0..1]	Text		54
	<b>Identification</b> <Id>	[1..1]	Text		54

#### 4.4.3.7.2.2.1 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
	<b>FirstName</b> <FrstNm>	[1..1]	Text		52
	<b>Surname</b> <Srnrm>	[1..1]	Text		52
	<b>Address</b> <Adr>	[0..1]			52
	<b>AddressType</b> <AdrTp>	[0..1]	CodeSet		53
	<b>AddressLine</b> <AdrLine>	[0..5]	Text		53
	<b>StreetName</b> <StrtNm>	[0..1]	Text		53
	<b>BuildingNumber</b> <BldgNb>	[0..1]	Text		53
	<b>PostBox</b> <PstBx>	[0..1]	Text		54
	<b>PostCode</b> <PstCd>	[0..1]	Text		54
	<b>TownName</b> <TwnNm>	[0..1]	Text		54
	<b>CountrySubDivision</b> <CtrySubDvsn>	[0..1]	Text		54
	<b>Country</b> <Ctry>	[1..1]	CodeSet	C2	54

#### 4.4.3.7.2.2.1.1 **FirstName <FrstNm>**

*Presence:* [1..1]

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

*Datatype:* "Max350Text" on page 96

#### 4.4.3.7.2.2.1.2 **Surname <Srnrm>**

*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 96

#### 4.4.3.7.2.2.1.3 **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
	<b>AddressType</b> <AdrTp>	[0..1]	CodeSet		53
	<b>AddressLine</b> <AdrLine>	[0..5]	Text		53
	<b>StreetName</b> <StrtNm>	[0..1]	Text		53
	<b>BuildingNumber</b> <BldgNb>	[0..1]	Text		53
	<b>PostBox</b> <PstBx>	[0..1]	Text		54
	<b>PostCode</b> <PstCd>	[0..1]	Text		54
	<b>TownName</b> <TwnNm>	[0..1]	Text		54
	<b>CountrySubDivision</b> <CtrySubDvsn>	[0..1]	Text		54
	<b>Country</b> <Ctry>	[1..1]	CodeSet	C2	54

#### 4.4.3.7.2.2.1.3.1 AddressType <AdrTp>

*Presence:* [0..1]

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

*Datatype:* "AddressType2Code" on page 91

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.

#### 4.4.3.7.2.2.1.3.2 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 97

#### 4.4.3.7.2.2.1.3.3 StreetName <StrtNm>

*Presence:* [0..1]

*Definition:* Name of a street or thoroughfare.

*Datatype:* "Max70Text" on page 97

#### 4.4.3.7.2.2.1.3.4 BuildingNumber <BldgNb>

*Presence:* [0..1]

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

*Datatype:* "Max16Text" on page 95

#### **4.4.3.7.2.2.1.3.5 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 95

#### **4.4.3.7.2.2.1.3.6 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 95

#### **4.4.3.7.2.2.1.3.7 TownName <TwnNm>**

*Presence:* [0..1]

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

*Datatype:* "Max35Text" on page 96

#### **4.4.3.7.2.2.1.3.8 CountrySubDivision <CtrySubDvsn>**

*Presence:* [0..1]

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

*Datatype:* "Max35Text" on page 96

#### **4.4.3.7.2.2.1.3.9 Country <Ctry>**

*Presence:* [1..1]

*Definition:* Nation with its own government.

*Impacted by:* C2 "Country"

*Datatype:* "CountryCode" on page 91

##### **Constraints**

- **Country**

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

#### **4.4.3.7.2.2.2 EmailAddress <EmailAdr>**

*Presence:* [0..1]

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

*Datatype:* "Max256Text" on page 96

#### **4.4.3.7.2.2.3 Identification <Id>**

*Presence:* [1..1]

*Definition:* Natural person national identification.

*Datatype:* "Max50Text" on page 97

#### **4.4.3.7.3 ShareholdingBalanceDetails <ShrhldgBalDtls>**

*Presence:* [1..\*]

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

**ShareholdingBalanceDetails** <ShrhldgBalDtls> contains the following **ShareholdingBalance1** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>ShareholdingType</b> <ShrhldgTp>	[1..1]	CodeSet		57
	<b>ShareholdingBalance</b> <ShrhldgBal>	[1..1]	Quantity		57
	<b>InitialDateOfShareholding</b> <InitlDtOfShrhldg>	[0..1]			57
{Or	<b>Date</b> <Dt>	[1..1]	Date		58
Or}	<b>DateCode</b> <DtCd>	[1..1]			58
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		58
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		58
	<b>AssetManager</b> <AsstMgr>	[0..1]			59
{Or	<b>LegalPerson</b> <LglPrsn>	[1..1]			61
	<b>NameAndAddress</b> <NmAndAdr>	[0..1]			61
	<b>Name</b> <Nm>	[1..1]	Text		62
	<b>Address</b> <Adr>	[0..1]			62
	<b>AddressType</b> <AdrTp>	[0..1]	CodeSet		63
	<b>AddressLine</b> <AdrLine>	[0..5]	Text		63
	<b>StreetName</b> <StrtNm>	[0..1]	Text		63
	<b>BuildingNumber</b> <BldgNb>	[0..1]	Text		63
	<b>PostBox</b> <PstBx>	[0..1]	Text		63
	<b>PostCode</b> <PstCd>	[0..1]	Text		63
	<b>TownName</b> <TwnNm>	[0..1]	Text		64
	<b>CountrySubDivision</b> <CtrySubDvsn>	[0..1]	Text		64
	<b>Country</b> <Ctry>	[1..1]	CodeSet	C2	64
	<b>Identification</b> <Id>	[1..1]			64
{Or	<b>NationalRegistrationNumber</b> <NtlRegnNb>	[1..1]	Text		64
Or	<b>LEI</b> <LEI>	[1..1]	IdentifierSet		64
Or	<b>AnyBIC</b> <AnyBIC>	[1..1]	IdentifierSet	C1	65
Or	<b>ClientIdentification</b> <ClnId>	[1..1]	Text		65
Or}	<b>ProprietaryIdentification</b> <PrtryId>	[1..1]	±		65
Or}	<b>NaturalPerson</b> <NtrlPrsn>	[1..1]			65
	<b>NameAndAddress</b> <NmAndAdr>	[1..1]			66
	<b>FirstName</b> <FrstNm>	[1..1]	Text		67



Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Surname</b> <Snm>	[1..1]	Text		67
	<b>Address</b> <Adr>	[0..1]			67
	<b>AddressType</b> <AdrTp>	[0..1]	CodeSet		68
	<b>AddressLine</b> <AdrLine>	[0..5]	Text		68
	<b>StreetName</b> <StrtNm>	[0..1]	Text		68
	<b>BuildingNumber</b> <BldgNb>	[0..1]	Text		68
	<b>PostBox</b> <PstBx>	[0..1]	Text		69
	<b>PostCode</b> <PstCd>	[0..1]	Text		69
	<b>TownName</b> <TwnNm>	[0..1]	Text		69
	<b>CountrySubDivision</b> <CtrySubDvsn>	[0..1]	Text		69
	<b>Country</b> <Ctry>	[1..1]	CodeSet	C2	69
	<b>Identification</b> <Id>	[1..1]	Text		69
	<b>SupplementaryData</b> <SplmtryData>	[0..*]	±	C8	69

#### 4.4.3.7.3.1 ShareholdingType <ShrhldgTp>

*Presence:* [1..1]

*Definition:* Identifies the category of shareholding.

*Datatype:* "ShareholdingType1Code" on page 93

CodeName	Name	Definition
BENE	BeneficiaryShareholding	Shares are held on behalf of the beneficial owner.
NOMI	NomineeShareholding	Shares are held on behalf of an intermediary.
OOAC	OnOwnAccount	Shares are held by the responding intermediary for its own account.
UKWN	Unknown	Shareholding type is unknown.

#### 4.4.3.7.3.2 ShareholdingBalance <ShrhldgBal>

*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 95

#### 4.4.3.7.3.3 InitialDateOfShareholding <InitlDtOfShrhldg>

*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	<b>Date</b> <Dt>	[1..1]	Date		58
Or}	<b>DateCode</b> <DtCd>	[1..1]			58
{Or	<b>Code</b> <Cd>	[1..1]	CodeSet		58
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		58

#### 4.4.3.7.3.3.1 Date <Dt>

*Presence:* [1..1]

*Definition:* Date expressed as a calendar date.

*Datatype:* "ISODate" on page 93

#### 4.4.3.7.3.3.2 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	<b>Code</b> <Cd>	[1..1]	CodeSet		58
Or}	<b>Proprietary</b> <Prtry>	[1..1]	±		58

#### 4.4.3.7.3.3.2.1 Code <Cd>

*Presence:* [1..1]

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

*Datatype:* "DateType1Code" on page 92

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

#### 4.4.3.7.3.3.2.2 Proprietary <Prtry>

*Presence:* [1..1]

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

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification30](#)" on page 82 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		83
	Issuer <Issr>	[1..1]	Text		83
	SchemeName <SchmeNm>	[0..1]	Text		83

#### 4.4.3.7.3.4 AssetManager <AsstMgr>

*Presence:* [0..1]

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

**AssetManager <AsstMgr>** contains one of the following **PartyIdentification200Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	<b>LegalPerson</b> <LglPrsn>	[1..1]			61
	<b>NameAndAddress</b> <NmAndAdr>	[0..1]			61
	<b>Name</b> <Nm>	[1..1]	Text		62
	<b>Address</b> <Adr>	[0..1]			62
	<b>AddressType</b> <AdrTp>	[0..1]	CodeSet		63
	<b>AddressLine</b> <AdrLine>	[0..5]	Text		63
	<b>StreetName</b> <StrtNm>	[0..1]	Text		63
	<b>BuildingNumber</b> <BldgNb>	[0..1]	Text		63
	<b>PostBox</b> <PstBx>	[0..1]	Text		63
	<b>PostCode</b> <PstCd>	[0..1]	Text		63
	<b>TownName</b> <TwnNm>	[0..1]	Text		64
	<b>CountrySubDivision</b> <CtrySubDvsn>	[0..1]	Text		64
	<b>Country</b> <Ctry>	[1..1]	CodeSet	C2	64
	<b>Identification</b> <Id>	[1..1]			64
{Or	<b>NationalRegistrationNumber</b> <NtlRegnNb>	[1..1]	Text		64
Or	<b>LEI</b> <LEI>	[1..1]	IdentifierSet		64
Or	<b>AnyBIC</b> <AnyBIC>	[1..1]	IdentifierSet	C1	65
Or	<b>ClientIdentification</b> <CIntId>	[1..1]	Text		65
Or}	<b>ProprietaryIdentification</b> <PrtryId>	[1..1]	±		65
Or}	<b>NaturalPerson</b> <NtrlPrsn>	[1..1]			65
	<b>NameAndAddress</b> <NmAndAdr>	[1..1]			66
	<b>FirstName</b> <FrstNm>	[1..1]	Text		67
	<b>Surname</b> <Snm>	[1..1]	Text		67
	<b>Address</b> <Adr>	[0..1]			67
	<b>AddressType</b> <AdrTp>	[0..1]	CodeSet		68
	<b>AddressLine</b> <AdrLine>	[0..5]	Text		68
	<b>StreetName</b> <StrtNm>	[0..1]	Text		68
	<b>BuildingNumber</b> <BldgNb>	[0..1]	Text		68
	<b>PostBox</b> <PstBx>	[0..1]	Text		69
	<b>PostCode</b> <PstCd>	[0..1]	Text		69
	<b>TownName</b> <TwnNm>	[0..1]	Text		69

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>CountrySubDivision</b> <CtrySubDvsn>	[0..1]	Text		69
	<b>Country</b> <Ctry>	[1..1]	CodeSet	C2	69
	<b>Identification</b> <Id>	[1..1]	Text		69

#### 4.4.3.7.3.4.1 LegalPerson <LglPrsn>

*Presence:* [1..1]

*Definition:* Legal entity.

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>NameAndAddress</b> <NmAndAdr>	[0..1]			61
	<b>Name</b> <Nm>	[1..1]	Text		62
	<b>Address</b> <Adr>	[0..1]			62
	<b>AddressType</b> <AdrTp>	[0..1]	CodeSet		63
	<b>AddressLine</b> <AdrLine>	[0..5]	Text		63
	<b>StreetName</b> <StrtNm>	[0..1]	Text		63
	<b>BuildingNumber</b> <BldgNb>	[0..1]	Text		63
	<b>PostBox</b> <PstBx>	[0..1]	Text		63
	<b>PostCode</b> <PstCd>	[0..1]	Text		63
	<b>TownName</b> <TwnNm>	[0..1]	Text		64
	<b>CountrySubDivision</b> <CtrySubDvsn>	[0..1]	Text		64
	<b>Country</b> <Ctry>	[1..1]	CodeSet	C2	64
	<b>Identification</b> <Id>	[1..1]			64
{Or	<b>NationalRegistrationNumber</b> <NtlRegnNb>	[1..1]	Text		64
Or	<b>LEI</b> <LEI>	[1..1]	IdentifierSet		64
Or	<b>AnyBIC</b> <AnyBIC>	[1..1]	IdentifierSet	C1	65
Or	<b>ClientIdentification</b> <ClntId>	[1..1]	Text		65
Or}	<b>ProprietaryIdentification</b> <PrtryId>	[1..1]	±		65

##### 4.4.3.7.3.4.1.1 NameAndAddress <NmAndAdr>

*Presence:* [0..1]

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

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Name &lt;Nm&gt;</b>	[1..1]	Text		62
	<b>Address &lt;Adr&gt;</b>	[0..1]			62
	<b>AddressType &lt;AdrTp&gt;</b>	[0..1]	CodeSet		63
	<b>AddressLine &lt;AdrLine&gt;</b>	[0..5]	Text		63
	<b>StreetName &lt;StrtNm&gt;</b>	[0..1]	Text		63
	<b>BuildingNumber &lt;BldgNb&gt;</b>	[0..1]	Text		63
	<b>PostBox &lt;PstBx&gt;</b>	[0..1]	Text		63
	<b>PostCode &lt;PstCd&gt;</b>	[0..1]	Text		63
	<b>TownName &lt;TwnNm&gt;</b>	[0..1]	Text		64
	<b>CountrySubDivision &lt;CtrySubDvsn&gt;</b>	[0..1]	Text		64
	<b>Country &lt;Ctry&gt;</b>	[1..1]	CodeSet	C2	64

#### 4.4.3.7.3.4.1.1.1 Name <Nm>

*Presence:* [1..1]

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

*Datatype:* "Max350Text" on page 96

#### 4.4.3.7.3.4.1.1.2 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
	<b>AddressType &lt;AdrTp&gt;</b>	[0..1]	CodeSet		63
	<b>AddressLine &lt;AdrLine&gt;</b>	[0..5]	Text		63
	<b>StreetName &lt;StrtNm&gt;</b>	[0..1]	Text		63
	<b>BuildingNumber &lt;BldgNb&gt;</b>	[0..1]	Text		63
	<b>PostBox &lt;PstBx&gt;</b>	[0..1]	Text		63
	<b>PostCode &lt;PstCd&gt;</b>	[0..1]	Text		63
	<b>TownName &lt;TwnNm&gt;</b>	[0..1]	Text		64
	<b>CountrySubDivision &lt;CtrySubDvsn&gt;</b>	[0..1]	Text		64
	<b>Country &lt;Ctry&gt;</b>	[1..1]	CodeSet	C2	64

**4.4.3.7.3.4.1.1.2.1 AddressType <AdrTp>**

*Presence:* [0..1]

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

*Datatype:* "AddressType2Code" on page 91

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.

**4.4.3.7.3.4.1.1.2.2 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 97

**4.4.3.7.3.4.1.1.2.3 StreetName <StrtNm>**

*Presence:* [0..1]

*Definition:* Name of a street or thoroughfare.

*Datatype:* "Max70Text" on page 97

**4.4.3.7.3.4.1.1.2.4 BuildingNumber <BldgNb>**

*Presence:* [0..1]

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

*Datatype:* "Max16Text" on page 95

**4.4.3.7.3.4.1.1.2.5 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 95

**4.4.3.7.3.4.1.1.2.6 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 95

**4.4.3.7.3.4.1.1.2.7 TownName <TwnNm>***Presence:* [0..1]*Definition:* Name of a built-up area, with defined boundaries, and a local government.*Datatype:* "Max35Text" on page 96**4.4.3.7.3.4.1.1.2.8 CountrySubDivision <CtrySubDvsn>***Presence:* [0..1]*Definition:* Identifies a subdivision of a country for example, state, region, county.*Datatype:* "Max35Text" on page 96**4.4.3.7.3.4.1.1.2.9 Country <Ctry>***Presence:* [1..1]*Definition:* Nation with its own government.*Impacted by:* C2 "Country"*Datatype:* "CountryCode" on page 91**Constraints**

- Country**

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

**4.4.3.7.3.4.1.2 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	<b>NationalRegistrationNumber</b> <NtlRegnNb>	[1..1]	Text		64
Or	<b>LEI</b> <LEI>	[1..1]	IdentifierSet		64
Or	<b>AnyBIC</b> <AnyBIC>	[1..1]	IdentifierSet	C1	65
Or	<b>ClientIdentification</b> <ClnId>	[1..1]	Text		65
Or}	<b>ProprietaryIdentification</b> <PrtryId>	[1..1]	±		65

**4.4.3.7.3.4.1.2.1 NationalRegistrationNumber <NtlRegnNb>***Presence:* [1..1]*Definition:* Number assigned by a national registration authority to an entity.*Datatype:* "Max35Text" on page 96**4.4.3.7.3.4.1.2.2 LEI <LEI>***Presence:* [1..1]*Definition:* Legal entity identification of the party.



*Datatype:* ["LEIIdentifier"](#) on page 94

#### 4.4.3.7.3.4.1.2.3 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 94

#### 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.

#### 4.4.3.7.3.4.1.2.4 ClientIdentification <CIntId>

*Presence:* [1..1]

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

*Datatype:* ["Max50Text"](#) on page 97

#### 4.4.3.7.3.4.1.2.5 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 83 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		83
	Issuer <Issr>	[1..1]	Text		83
	SchemeName <SchmeNm>	[0..1]	Text		84

#### 4.4.3.7.3.4.2 NaturalPerson <NtrlPrsn>

*Presence:* [1..1]

*Definition:* Private person.

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>NameAndAddress &lt;NmAndAdr&gt;</b>	[1..1]			66
	<b>FirstName &lt;FrstNm&gt;</b>	[1..1]	Text		67
	<b>Surname &lt;SrnM&gt;</b>	[1..1]	Text		67
	<b>Address &lt;Adr&gt;</b>	[0..1]			67
	<b>AddressType &lt;AdrTp&gt;</b>	[0..1]	CodeSet		68
	<b>AddressLine &lt;AdrLine&gt;</b>	[0..5]	Text		68
	<b>StreetName &lt;StrtNm&gt;</b>	[0..1]	Text		68
	<b>BuildingNumber &lt;BldgNb&gt;</b>	[0..1]	Text		68
	<b>PostBox &lt;PstBx&gt;</b>	[0..1]	Text		69
	<b>PostCode &lt;PstCd&gt;</b>	[0..1]	Text		69
	<b>TownName &lt;TwnNm&gt;</b>	[0..1]	Text		69
	<b>CountrySubDivision &lt;CtrySubDvsn&gt;</b>	[0..1]	Text		69
	<b>Country &lt;Ctry&gt;</b>	[1..1]	CodeSet	C2	69
	<b>Identification &lt;Id&gt;</b>	[1..1]	Text		69

#### 4.4.3.7.3.4.2.1 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
	<b>FirstName</b> <FrstNm>	[1..1]	Text		67
	<b>Surname</b> <Srnm>	[1..1]	Text		67
	<b>Address</b> <Adr>	[0..1]			67
	<b>AddressType</b> <AdrTp>	[0..1]	CodeSet		68
	<b>AddressLine</b> <AdrLine>	[0..5]	Text		68
	<b>StreetName</b> <StrtNm>	[0..1]	Text		68
	<b>BuildingNumber</b> <BldgNb>	[0..1]	Text		68
	<b>PostBox</b> <PstBx>	[0..1]	Text		69
	<b>PostCode</b> <PstCd>	[0..1]	Text		69
	<b>TownName</b> <TwnNm>	[0..1]	Text		69
	<b>CountrySubDivision</b> <CtrySubDvsn>	[0..1]	Text		69
	<b>Country</b> <Ctry>	[1..1]	CodeSet	C2	69

#### 4.4.3.7.3.4.2.1.1 FirstName <FrstNm>

*Presence:* [1..1]

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

*Datatype:* "Max350Text" on page 96

#### 4.4.3.7.3.4.2.1.2 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 96

#### 4.4.3.7.3.4.2.1.3 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
	<b>AddressType</b> <AdrTp>	[0..1]	CodeSet		68
	<b>AddressLine</b> <AdrLine>	[0..5]	Text		68
	<b>StreetName</b> <StrtNm>	[0..1]	Text		68
	<b>BuildingNumber</b> <BldgNb>	[0..1]	Text		68
	<b>PostBox</b> <PstBx>	[0..1]	Text		69
	<b>PostCode</b> <PstCd>	[0..1]	Text		69
	<b>TownName</b> <TwnNm>	[0..1]	Text		69
	<b>CountrySubDivision</b> <CtrySubDvsn>	[0..1]	Text		69
	<b>Country</b> <Ctry>	[1..1]	CodeSet	C2	69

#### 4.4.3.7.3.4.2.1.3.1 AddressType <AdrTp>

*Presence:* [0..1]

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

*Datatype:* "AddressType2Code" on page 91

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.

#### 4.4.3.7.3.4.2.1.3.2 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 97

#### 4.4.3.7.3.4.2.1.3.3 StreetName <StrtNm>

*Presence:* [0..1]

*Definition:* Name of a street or thoroughfare.

*Datatype:* "Max70Text" on page 97

#### 4.4.3.7.3.4.2.1.3.4 BuildingNumber <BldgNb>

*Presence:* [0..1]

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

*Datatype:* "Max16Text" on page 95

#### **4.4.3.7.3.4.2.1.3.5 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 95

#### **4.4.3.7.3.4.2.1.3.6 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 95

#### **4.4.3.7.3.4.2.1.3.7 TownName <TwnNm>**

*Presence:* [0..1]

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

*Datatype:* "Max35Text" on page 96

#### **4.4.3.7.3.4.2.1.3.8 CountrySubDivision <CtrySubDvsn>**

*Presence:* [0..1]

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

*Datatype:* "Max35Text" on page 96

#### **4.4.3.7.3.4.2.1.3.9 Country <Ctry>**

*Presence:* [1..1]

*Definition:* Nation with its own government.

*Impacted by:* C2 "Country"

*Datatype:* "CountryCode" on page 91

##### **Constraints**

- **Country**

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

#### **4.4.3.7.3.4.2.2 Identification <Id>**

*Presence:* [1..1]

*Definition:* CONCAT

*Datatype:* "Max50Text" on page 97

#### **4.4.3.7.3.5 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 84 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		85
	Envelope <Envlp>	[1..1]	(External Schema)		85

#### 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.

## 4.4.4 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 84 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		85
	Envelope <Envlp>	[1..1]	(External Schema)		85

#### 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 DRAFT1seev.048.001.01 ShareholderIdentificationDisclosureResponseCancellationAdviceV01

## 5.1 MessageDefinition Functionality

The ShareholdersIdentificationDisclosureResponseCancellation Advice message is sent by any intermediaries in a custody chain to the third party nominated by the issuer (such as a issuer's agent) who had previously requested the disclosure of the shareholders identity in order to cancel the shareholder identification disclosure response message previously sent.

### Outline

The ShareholderIdentificationDisclosureResponseCancellationAdviceV01 MessageDefinition is composed of 4 MessageBuildingBlocks:

A. ShareholderDisclosureResponseIdentification

Specifications of the original disclosure request to which a response is provided.

B. RespondingIntermediaryIdentification

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

C. FinancialInstrumentIdentification

Identifies the financial instrument.

D. 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.

## 5.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <ShrhldrldDsclsrRspnCxlAdv>	[1..1]			
	<b>ShareholderDisclosureResponseIdentification</b> <ShrhldrDsclsrRspnld>	[1..1]	Text		73
	<b>RespondingIntermediaryIdentification</b> <Rspndglntrmyld>	[1..1]			73
	<b>Name</b> <Nm>	[1..1]	Text		73
	<b>Identification</b> <Id>	[1..1]			73
{Or	<b>AnyBIC</b> <AnyBIC>	[1..1]	IdentifierSet	C1	73
Or	<b>ProprietaryIdentification</b> <Prtryld>	[1..1]	±		74
Or}	<b>LEI</b> <LEI>	[1..1]	IdentifierSet		74
	<b>FinancialInstrumentIdentification</b> <FinInstrmld>	[1..1]	±	C2, C3, C4, C5, C6	74
	<b>ShareholdersDisclosureRecordDate</b> <ShrhldrsDsclsrRcrdDt>	[1..1]	Date		75

## 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.

## 5.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.



## 5.4.1 ShareholderDisclosureResponseIdentification <ShrhldrDscslrRspnld>

*Presence:* [1..1]

*Definition:* Specifications of the original disclosure request to which a response is provided.

*Datatype:* "Max35Text" on page 96

## 5.4.2 RespondingIntermediaryIdentification <RspndgIntrmyld>

*Presence:* [1..1]

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

**RespondingIntermediaryIdentification <RspndgIntrmyld>** contains the following **PartyIdentification194** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	<b>Name &lt;Nm&gt;</b>	[1..1]	Text		73
	<b>Identification &lt;Id&gt;</b>	[1..1]			73
{Or	<b>AnyBIC &lt;AnyBIC&gt;</b>	[1..1]	IdentifierSet	C1	73
Or	<b>ProprietaryIdentification &lt;Prtryld&gt;</b>	[1..1]	±		74
Or}	<b>LEI &lt;LEI&gt;</b>	[1..1]	IdentifierSet		74

### 5.4.2.1 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 96

### 5.4.2.2 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	<b>AnyBIC &lt;AnyBIC&gt;</b>	[1..1]	IdentifierSet	C1	73
Or	<b>ProprietaryIdentification &lt;Prtryld&gt;</b>	[1..1]	±		74
Or}	<b>LEI &lt;LEI&gt;</b>	[1..1]	IdentifierSet		74

#### 5.4.2.2.1 AnyBIC <AnyBIC>

*Presence:* [1..1]

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

*Impacted by:* C1 "AnyBIC"

*Datatype:* "AnyBICDec2014Identifier" on page 94

#### 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.

#### 5.4.2.2.2 ProprietaryIdentification <PrtryId>

*Presence:* [1..1]

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

**ProprietaryIdentification <PrtryId>** contains the following elements (see "GenericIdentification36" on page 83 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		83
	Issuer <Issr>	[1..1]	Text		83
	SchemeName <SchmeNm>	[0..1]	Text		84

#### 5.4.2.2.3 LEI <LEI>

*Presence:* [1..1]

*Definition:* Legal entity identification of the party.

*Datatype:* "LEIIdentifier" on page 94

### 5.4.3 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 80 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		81
	OtherIdentification <OthrId>	[0..*]			81
	Identification <Id>	[1..1]	Text		81
	Suffix <Sfx>	[0..1]	Text		81
	Type <Tp>	[1..1]	±		82
	Description <Desc>	[0..1]	Text		82

#### 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
```

## 5.4.4 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.

*Datatype:* "ISODate" on page 93

## 6 Message Items Types

### 6.1 MessageComponents

#### 6.1.1 Date Time

##### 6.1.1.1 DateAndDateTimeChoice

*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		77
Or}	DateTime <DtTm>	[1..1]	DateTime		77

##### 6.1.1.1.1 Date <Dt>

*Presence:* [1..1]

*Definition:* Specified date.

*Datatype:* ["ISODate" on page 93](#)

##### 6.1.1.1.2 DateTime <DtTm>

*Presence:* [1..1]

*Definition:* Specified date and time.

*Datatype:* ["ISODateTime" on page 93](#)

##### 6.1.1.2 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		77
Or}	DateTime <DtTm>	[1..1]	DateTime		77

##### 6.1.1.2.1 Date <Dt>

*Presence:* [1..1]

*Definition:* Specified date.

*Datatype:* ["ISODate" on page 93](#)

##### 6.1.1.2.2 DateTime <DtTm>

*Presence:* [1..1]

*Definition:* Specified date and time.

*Datatype:* ["ISODateTime" on page 93](#)

### 6.1.1.3 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]	±		78
Or}	DateCode <DtCd>	[1..1]			78
{Or	Code <Cd>	[1..1]	CodeSet		78
Or}	Proprietary <Prtry>	[1..1]	±		78

#### 6.1.1.3.1 Date <Dt>

*Presence:* [1..1]

*Definition:* Date expressed as a calendar date.

**Date <Dt>** contains one of the following elements (see ["DateAndDateTime2Choice"](#) on page 77 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		77
Or}	DateTime <DtTm>	[1..1]	DateTime		77

#### 6.1.1.3.2 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		78
Or}	Proprietary <Prtry>	[1..1]	±		78

##### 6.1.1.3.2.1 Code <Cd>

*Presence:* [1..1]

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

*Datatype:* ["DateType1Code"](#) on page 92

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

##### 6.1.1.3.2.2 Proprietary <Prtry>

*Presence:* [1..1]

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

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification30](#)" on page 82 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		83
	Issuer <Issr>	[1..1]	Text		83
	SchemeName <SchmeNm>	[0..1]	Text		83

#### 6.1.1.4 DateFormat39Choice

*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]	±		79
Or}	DateCode <DtCd>	[1..1]			79
{Or	Code <Cd>	[1..1]	CodeSet		79
Or}	Proprietary <Prtry>	[1..1]	±		80

##### 6.1.1.4.1 Date <Dt>

*Presence:* [1..1]

*Definition:* Date expressed as a calendar date.

**Date <Dt>** contains one of the following elements (see "[DateAndDateTimeChoice](#)" on page 77 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		77
Or}	DateTime <DtTm>	[1..1]	DateTime		77

##### 6.1.1.4.2 DateCode <DtCd>

*Presence:* [1..1]

*Definition:* Specifies the type of date.

**DateCode <DtCd>** contains one of the following **DateCode27Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		79
Or}	Proprietary <Prtry>	[1..1]	±		80

##### 6.1.1.4.2.1 Code <Cd>

*Presence:* [1..1]

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

Datatype: "DateType1Code" on page 92

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

#### 6.1.1.4.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of date.

**Proprietary <Prtry>** contains the following elements (see "[GenericIdentification47](#)" on page 84 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		84
	Issuer <Issr>	[1..1]	Text		84
	SchemeName <SchmeNm>	[0..1]	Text		84

## 6.1.2 Financial Instrument

### 6.1.2.1 SecurityIdentification19

Definition: Identification of a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		81
	OtherIdentification <OthrId>	[0..*]			81
	Identification <Id>	[1..1]	Text		81
	Suffix <Sfx>	[0..1]	Text		81
	Type <Tp>	[1..1]	±		82
	Description <Desc>	[0..1]	Text		82

#### 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
```

#### 6.1.2.1.1 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 94

#### 6.1.2.1.2 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		81
	Suffix <Sfx>	[0..1]	Text		81
	Type <Tp>	[1..1]	±		82

#### 6.1.2.1.2.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of a security.

*Datatype:* "Max35Text" on page 96

#### 6.1.2.1.2.2 Suffix <Sfx>

*Presence:* [0..1]

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

*Datatype:* "Max16Text" on page 95

#### 6.1.2.1.2.3 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of the identification.

**Type <Tp>** contains one of the following elements (see "IdentificationSource3Choice" on page 82 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		82
Or}	Proprietary <Prtry>	[1..1]	Text		82

#### 6.1.2.1.3 Description <Desc>

*Presence:* [0..1]

*Definition:* Textual description of a security instrument.

*Datatype:* "Max140Text" on page 95

### 6.1.3 Identification Information

#### 6.1.3.1 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		82
Or}	Proprietary <Prtry>	[1..1]	Text		82

##### 6.1.3.1.1 Code <Cd>

*Presence:* [1..1]

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

*Datatype:* "ExternalFinancialInstrumentIdentificationType1Code" on page 92

##### 6.1.3.1.2 Proprietary <Prtry>

*Presence:* [1..1]

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

*Datatype:* "Max35Text" on page 96

#### 6.1.3.2 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		83
	Issuer <Issr>	[1..1]	Text		83
	SchemeName <SchmeNm>	[0..1]	Text		83

#### 6.1.3.2.1 Identification <Id>

*Presence:* [1..1]

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

*Datatype:* "Exact4AlphaNumericText" on page 95

#### 6.1.3.2.2 Issuer <Issr>

*Presence:* [1..1]

*Definition:* Entity that assigns the identification.

*Datatype:* "Max35Text" on page 96

#### 6.1.3.2.3 SchemeName <SchmeNm>

*Presence:* [0..1]

*Definition:* Short textual description of the scheme.

*Datatype:* "Max35Text" on page 96

#### 6.1.3.3 GenericIdentification36

*Definition:* Identification using a proprietary scheme.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		83
	Issuer <Issr>	[1..1]	Text		83
	SchemeName <SchmeNm>	[0..1]	Text		84

#### 6.1.3.3.1 Identification <Id>

*Presence:* [1..1]

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

*Datatype:* "Max35Text" on page 96

#### 6.1.3.3.2 Issuer <Issr>

*Presence:* [1..1]

*Definition:* Entity that assigns the identification.

*Datatype:* "Max35Text" on page 96

### 6.1.3.3.3 SchemeName <SchmeNm>

*Presence:* [0..1]

*Definition:* Short textual description of the scheme.

*Datatype:* "Max35Text" on page 96

### 6.1.3.4 GenericIdentification47

*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		84
	Issuer <Issr>	[1..1]	Text		84
	SchemeName <SchmeNm>	[0..1]	Text		84

#### 6.1.3.4.1 Identification <Id>

*Presence:* [1..1]

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

*Datatype:* "Exact4AlphaNumericText" on page 95

#### 6.1.3.4.2 Issuer <Issr>

*Presence:* [1..1]

*Definition:* Entity that assigns the identification.

*Datatype:* "Max4AlphaNumericText" on page 96

#### 6.1.3.4.3 SchemeName <SchmeNm>

*Presence:* [0..1]

*Definition:* Short textual description of the scheme.

*Datatype:* "Max4AlphaNumericText" on page 96

## 6.1.4 Miscellaneous

### 6.1.4.1 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		85
	Envelope <Envlp>	[1..1]	(External Schema)		85

**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.

**6.1.4.1.1 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 96

**6.1.4.1.2 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.

**6.1.5 Party Identification****6.1.5.1 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	85
Or	ProprietaryIdentification <PrtryId>	[1..1]	±		86
Or	NameAndAddress <NmAndAdr>	[1..1]	±		86
Or}	LEI <LEI>	[1..1]	IdentifierSet		86

**6.1.5.1.1 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 94

**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.

**6.1.5.1.2 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 83 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		83
	Issuer <Issr>	[1..1]	Text		83
	SchemeName <SchmeNm>	[0..1]	Text		84

**6.1.5.1.3 NameAndAddress <NmAndAdr>**

*Presence:* [1..1]

*Definition:* Name and address of a party.

**NameAndAddress <NmAndAdr>** contains the following elements (see "[NameAndAddress5](#)" on page 88 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		88
	Address <Adr>	[0..1]	±		88

**6.1.5.1.4 LEI <LEI>**

*Presence:* [1..1]

*Definition:* Legal entity identification of the party.

*Datatype:* "[LEIIdentifier](#)" on page 94

**6.1.6 Person Identification****6.1.6.1 ContactIdentification2**

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	NamePrefix <NmPrfx>	[0..1]	CodeSet		87
	GivenName <GvnNm>	[0..1]	Text		87
	Name <Nm>	[1..1]	Text		87
	PhoneNumber <PhneNb>	[0..1]	Text		87
	MobileNumber <MobNb>	[0..1]	Text		87
	FaxNumber <FaxNb>	[0..1]	Text		88
	EmailAddress <EmailAdr>	[0..1]	Text		88

#### 6.1.6.1.1 NamePrefix <NmPrfx>

*Presence:* [0..1]

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

*Datatype:* "NamePrefix1Code" on page 93

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.

#### 6.1.6.1.2 GivenName <GvnNm>

*Presence:* [0..1]

*Definition:* First name of a person.

*Datatype:* "Max35Text" on page 96

#### 6.1.6.1.3 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 96

#### 6.1.6.1.4 PhoneNumber <PhneNb>

*Presence:* [0..1]

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

*Datatype:* "PhoneNumber" on page 97

#### 6.1.6.1.5 MobileNumber <MobNb>

*Presence:* [0..1]

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

*Datatype:* ["PhoneNumber" on page 97](#)

#### 6.1.6.1.6 FaxNumber <FaxNb>

*Presence:* [0..1]

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

*Datatype:* ["PhoneNumber" on page 97](#)

#### 6.1.6.1.7 EmailAddress <EmailAdr>

*Presence:* [0..1]

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

*Datatype:* ["Max256Text" on page 96](#)

### 6.1.7 Postal Address

#### 6.1.7.1 NameAndAddress5

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

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Name <Nm>	[1..1]	Text		88
	Address <Adr>	[0..1]	±		88

##### 6.1.7.1.1 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 96](#)

##### 6.1.7.1.2 Address <Adr>

*Presence:* [0..1]

*Definition:* Postal address of the party.



**Address <Adr>** contains the following elements (see "PostalAddress1" on page 89 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AddressType <AdrTp>	[0..1]	CodeSet		89
	AddressLine <AdrLine>	[0..5]	Text		90
	StreetName <StrtNm>	[0..1]	Text		90
	BuildingNumber <BldgNb>	[0..1]	Text		90
	PostCode <PstCd>	[0..1]	Text		90
	TownName <TwnNm>	[0..1]	Text		90
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		90
	Country <Ctry>	[1..1]	CodeSet	C2	90

### 6.1.7.2 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		89
	AddressLine <AdrLine>	[0..5]	Text		90
	StreetName <StrtNm>	[0..1]	Text		90
	BuildingNumber <BldgNb>	[0..1]	Text		90
	PostCode <PstCd>	[0..1]	Text		90
	TownName <TwnNm>	[0..1]	Text		90
	CountrySubDivision <CtrySubDvsn>	[0..1]	Text		90
	Country <Ctry>	[1..1]	CodeSet	C2	90

#### 6.1.7.2.1 AddressType <AdrTp>

*Presence:* [0..1]

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

*Datatype:* "AddressType2Code" on page 91

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.

#### 6.1.7.2.2 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 97

#### 6.1.7.2.3 StreetName <StrtNm>

*Presence:* [0..1]

*Definition:* Name of a street or thoroughfare.

*Datatype:* "Max70Text" on page 97

#### 6.1.7.2.4 BuildingNumber <BldgNb>

*Presence:* [0..1]

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

*Datatype:* "Max16Text" on page 95

#### 6.1.7.2.5 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 95

#### 6.1.7.2.6 TownName <TwnNm>

*Presence:* [0..1]

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

*Datatype:* "Max35Text" on page 96

#### 6.1.7.2.7 CountrySubDivision <CtrySubDvsn>

*Presence:* [0..1]

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

*Datatype:* "Max35Text" on page 96

#### 6.1.7.2.8 Country <Ctry>

*Presence:* [1..1]

*Definition:* Nation with its own government.

*Impacted by:* C2 "Country"

*Datatype:* "CountryCode" on page 91

**Constraints**

- **Country**

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

## 6.2 Message Datatypes

### 6.2.1 CodeSet

#### 6.2.1.1 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.

#### 6.2.1.2 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).

#### 6.2.1.3 DateCalculationMethod1Code

*Definition:*

*Type:* CodeSet

CodeName	Name	Definition
FIFO	Fifo	First in, first out.

CodeName	Name	Definition
LIFO	Lifo	Last in, last out.

#### 6.2.1.4 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.

#### 6.2.1.5 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.

#### 6.2.1.6 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.

#### 6.2.1.7 ExternalFinancialInstrumentIdentificationType1Code

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

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

External code sets can be downloaded from [www.iso20022.org](http://www.iso20022.org).

*Type:* CodeSet

##### Format

minLength	1
maxLength	4

### 6.2.1.8 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.

### 6.2.1.9 ShareholdingType1Code

*Definition:* Specifies the type of shareholding.

*Type:* CodeSet

CodeName	Name	Definition
BENE	BeneficiaryShareholding	Shares are held on behalf of the beneficial owner.
NOMI	NomineeShareholding	Shares are held on behalf of an intermediary.
OOAC	OnOwnAccount	Shares are held by the responding intermediary for its own account.
UKWN	Unknown	Shareholding type is unknown.

## 6.2.2 Date

### 6.2.2.1 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

## 6.2.3 DateTime

### 6.2.3.1 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

## 6.2.4 IdentifierSet

### 6.2.4.1 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.

### 6.2.4.2 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}

### 6.2.4.3 LEIIdentifier

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

*Type:* IdentifierSet

*Identification scheme:* Global LEI System; LEIIdentifier

### Format

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

### 6.2.5.1 YesNoIndicator

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

*Type:* Indicator

*Meaning When True:* Yes

*Meaning When False:* No

## 6.2.6 Quantity

### 6.2.6.1 DecimalNumber

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

*Type:* Quantity

### Format

totalDigits	18
fractionDigits	17

## 6.2.7 Text

### 6.2.7.1 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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### 6.2.7.2 Max140Text

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

*Type:* Text

### Format

minLength	1
maxLength	140

### 6.2.7.3 Max16Text

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

*Type:* Text

**Format**

minLength	1
maxLength	16

#### 6.2.7.4 Max256Text

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

*Type:* Text

**Format**

minLength	1
maxLength	256

#### 6.2.7.5 Max350Text

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

*Type:* Text

**Format**

minLength	1
maxLength	350

#### 6.2.7.6 Max35Text

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

*Type:* Text

**Format**

minLength	1
maxLength	35

#### 6.2.7.7 Max4AlphaNumericText

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

*Type:* Text

**Format**

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



### 6.2.7.8 Max50Text

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

*Type:* Text

#### Format

minLength	1
maxLength	50

### 6.2.7.9 Max70Text

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

*Type:* Text

#### Format

minLength	1
maxLength	70

### 6.2.7.10 PhoneNumber

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

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

*Type:* Text

#### Format

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