ISO 20022


Transparency Of Holdings - Maintenance 2016-2017


# Message Definition Report Part 2

Approved by the Securities SEG on the 1st of February 2017.

This document provides details of the Message Definitions for Transparency Of Holdings - Maintenance 2016-2017.


01 February 2017

# Table of Contents

# 1 Message Set Overview

**Introduction**

This document contains the transparency of holdings reporting messages.

# 1.1 List of MessageDefinitions

The following table lists all MessageDefinitions described in this book.

| MessageDefinition | Definition |
|---|---|
| semt.041.001.02 SecuritiesBalanceTransparencyReportV02 | The SecuritiesBalanceTransparencyReport message is sent by an account servicer, such as a custodian, central securities depository or international central securities depository, to the account owner to provide holdings information for the accounts that it services, to disclose underlying details of holdings on an omnibus account that the sender owns or operates at the receiver. The receiver may also be a custodian, central securities depository, international central securities depository, and the ultimate receiver may be a registrar, transfer agent, fund company, official agent of the reported instrument(s) and/or other parties.<br><br>The SecuritiesBalanceTransparencyReport message provides transparency of holdings through layers of custody chains in a consolidated statement, to allow for an efficient gathering of investor data, which, in turn, may be used to measure marketing effectiveness, validation of compliance with prospectuses and regulatory requirements, and the calculation of trailer fees and other retrocessions. |
| semt.042.001.01 SecuritiesBalanceTransparencyReportStatusAdviceV01 | An account owner, such as a custodian, central securities depository, international securities depository or transfer agent, sends the SecuritiesBalanceTransparencyReportStatusAdvice message in response to a SecuritiesBalanceTransparencyReport, to accept or reject the statement of holdings as sent in a SecuritiesBalanceTransparencyReport. |

# 2 semt.041.001.02 SecuritiesBalanceTransparencyReportV02

## 2.1 MessageDefinition Functionality

Scope

The SecuritiesBalanceTransparencyReport message is sent by an account servicer, such as a custodian, central securities depository or international central securities depository, to the account owner to provide holdings information for the accounts that it services, to disclose underlying details of holdings on an omnibus account that the sender owns or operates at the receiver. The receiver may also be a custodian, central securities depository, international central securities depository, and the ultimate receiver may be a registrar, transfer agent, fund company, official agent of the reported instrument(s) and/or other parties.

The SecuritiesBalanceTransparencyReport message provides transparency of holdings through layers of custody chains in a consolidated statement, to allow for an efficient gathering of investor data, which, in turn, may be used to measure marketing effectiveness, validation of compliance with prospectuses and regulatory requirements, and the calculation of trailer fees and other retrocessions.

Usage

The SecuritiesBalanceTransparencyReport message is used to provide aggregated holdings information and a breakdown of holdings information.

A sender of the SecuritiesBalanceTransparencyReport message will identify its own safekeeping account (for example, an omnibus account in the ledger of the receiver) and holdings information at the level of account(s) for which the sender is the account servicer (that is, in the ledger of the sender). When relevant, the sender will aggregate its holdings information with holdings information of one or more sub levels and sub-sub levels of accounts, that is, with holdings information the sender has received from the owner(s) of the account(s) for which the sender is the account servicer.

A sender of the SecuritiesBalanceTransparencyReport message may also use it to send statements to its account owning customers, and these can be enrichments of statements that the respective account owners have previously provided to the sender.

Ultimately, the statement reaches the relevant fund company, for example, the transfer agent, that may use it for obtaining information about the custodians, distributors and commercial agreement references associated with holdings on an omnibus account at the ultimate place of safekeeping, for example, a central securities depository (CSD) or a register of shareholders.

When the message is sent by the owner of the account specified in SafekeepingAccountAndHoldings/ AccountIdentification, the message will disclose holding details of the underlying owner(s) of the sender's holdings with the receiver. This direction is commonly referred to as 'downstream'.

When the sender is the account servicer of an account owned by the receiver, for example, the account in AccountSubLevel1/AccountIdentification or AccountSubLevel2/AccountIdentification, the message is providing a statement of the receiver's holdings with sender. This direction is commonly referred to as 'upstream', and the safekeeping account should identify the ultimate place of safekeeping (for example, an account in a transfer agent's register of shareholders).

Outline

The SecuritiesBalanceTransparencyReportV02 MessageDefinition is composed of 7 MessageBuildingBlocks:

A. MessageIdentification

Unique and unambiguous identification of the message. When the report has multiple pages, one message equals one page. Therefore, the MessageIdentification uniquely identifies the page.

B. SenderIdentification

Identification of the party that is the sender of the message.

C. ReceiverIdentification

Identification of the party that is the receiver of the message.

D. Pagination

Page number of the message (within a statement) and continuation indicator to indicate that the statement is to continue or that the message is the last page of the statement.

E. StatementGeneralDetails

Provides general information on the statement.

F. SafekeepingAccountAndHoldings

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

G. SupplementaryData

Additional information that cannot be captured in the structured elements and/or any other specific block.

## 2.2    Structure

| Or | MessageElement/BuildingBlock<*XML Tag*> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | *Message root <Document> <SctiesBalTrnsprncyRpt>* | [1..1] | | | |
| | | | | | |
| | **MessageIdentification** <*MsgId*> | [1..1] | ± | | 10 |
| | **SenderIdentification** <*SndrId*> | [1..1] | ± | | 11 |
| | **ReceiverIdentification** <*RcvrId*> | [0..1] | ± | | 11 |
| | **Pagination** <*Pgntn*> | [1..1] | ± | | 11 |
| | **StatementGeneralDetails** <*StmtGnlDtls*> | [1..1] | | C6 | 11 |
| | **SenderBusinessRole** <*SndrBizRole*> | [1..1] | CodeSet | | 12 |
| | **StatementNumber** <*StmtNb*> | [0..1] | ± | | 12 |
| | **QueryReference** <*QryRef*> | [0..1] | Text | | 13 |
| | **StatementIdentification** <*StmtId*> | [1..1] | Text | | 13 |
| | **StatementDateTime** <*StmtDtTm*> | [1..1] | ± | | 13 |
| | **StatementPeriod** <*StmtPrd*> | [1..1] | ± | | 13 |
| | **Frequency** <*Frqcy*> | [0..1] | ± | | 13 |
| | **FrequencyGranularity** <*FrqcyGrnlrty*> | [0..1] | CodeSet | | 14 |
| | **UpdateType** <*UpdTp*> | [0..1] | ± | | 14 |
| | **ActivityIndicator** <*ActvtyInd*> | [1..1] | Indicator | | 14 |
| | **SafekeepingAccountAndHoldings** <*SfkpgAcctAndHldgs*> | [0..*] | | | 15 |
| | **AccountIdentification** <*AcctId*> | [1..1] | ± | | 19 |
| | **AccountOwner** <*AcctOwnr*> | [1..1] | ± | | 19 |
| | **AccountServicer** <*AcctSvcr*> | [1..1] | ± | | 19 |
| | **BeneficialOwner** <*BnfclOwnr*> | [0..*] | ± | | 20 |
| | **BalanceDetails** <*BalDtls*> | [0..*] | | | 20 |
| | **BalanceForAccount** <*BalForAcct*> | [1..*] | ± | | 21 |
| | **Agent** <*Agt*> | [0..*] | ± | C9 | 21 |
| | **AccountSubLevel1** <*AcctSubLvl1*> | [0..*] | | | 21 |
| | **AccountIdentification** <*AcctId*> | [1..1] | ± | | 24 |
| | **AccountOwner** <*AcctOwnr*> | [1..1] | ± | | 25 |
| | **AccountServicer** <*AcctSvcr*> | [1..1] | ± | | 25 |
| | **BeneficialOwner** <*BnfclOwnr*> | [0..*] | ± | | 25 |
| | **BalanceDetails** <*BalDtls*> | [0..*] | | | 26 |

| Or | MessageElement/BuildingBlock<*XML Tag*> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | **BalanceForAccount** <*BalForAcct*> | [1..*] | ± | | 26 |
| | **Agent** <*Agt*> | [0..*] | ± | C9 | 27 |
| | **AccountSubLevel2** <*AcctSubLvl2*> | [0..*] | | | 27 |
| | **AccountIdentification** <*AcctId*> | [1..1] | ± | | 30 |
| | **AccountOwner** <*AcctOwnr*> | [1..1] | ± | | 30 |
| | **AccountServicer** <*AcctSvcr*> | [1..1] | ± | | 31 |
| | **BeneficialOwner** <*BnfclOwnr*> | [0..*] | ± | | 31 |
| | **BalanceDetails** <*BalDtls*> | [0..*] | | | 32 |
| | **BalanceForAccount** <*BalForAcct*> | [1..*] | ± | | 32 |
| | **Agent** <*Agt*> | [0..*] | ± | C9 | 33 |
| | **AccountSubLevel3** <*AcctSubLvl3*> | [0..*] | | | 33 |
| | **AccountIdentification** <*AcctId*> | [1..1] | ± | | 36 |
| | **AccountOwner** <*AcctOwnr*> | [1..1] | ± | | 36 |
| | **AccountServicer** <*AcctSvcr*> | [1..1] | ± | | 36 |
| | **BeneficialOwner** <*BnfclOwnr*> | [0..*] | ± | | 37 |
| | **BalanceDetails** <*BalDtls*> | [0..*] | | | 37 |
| | **BalanceForAccount** <*BalForAcct*> | [1..*] | ± | | 38 |
| | **Agent** <*Agt*> | [0..*] | ± | C9 | 38 |
| | **AccountSubLevel4** <*AcctSubLvl4*> | [0..*] | | | 38 |
| | **AccountIdentification** <*AcctId*> | [1..1] | ± | | 40 |
| | **AccountOwner** <*AcctOwnr*> | [1..1] | ± | | 41 |
| | **AccountServicer** <*AcctSvcr*> | [1..1] | ± | | 41 |
| | **BeneficialOwner** <*BnfclOwnr*> | [0..*] | ± | | 41 |
| | **BalanceDetails** <*BalDtls*> | [0..*] | | | 42 |
| | **BalanceForAccount** <*BalForAcct*> | [1..*] | ± | | 42 |
| | **Agent** <*Agt*> | [0..*] | ± | C9 | 43 |
| | **AccountSubLevel5** <*AcctSubLvl5*> | [0..*] | | | 43 |
| | **AccountIdentification** <*AcctId*> | [1..1] | ± | | 45 |
| | **AccountOwner** <*AcctOwnr*> | [1..1] | ± | | 45 |
| | **AccountServicer** <*AcctSvcr*> | [1..1] | ± | | 46 |
| | **BeneficialOwner** <*BnfclOwnr*> | [0..*] | ± | | 46 |

| Or | MessageElement/BuildingBlock<*XML Tag*> | Mult. | Type | Constr. No. | Page |
|----|------------------------------------------|-------|------|-------------|------|
| | **BalanceDetails** <*BalDtls*> | [0..*] | | | 47 |
| | **BalanceForAccount** <*BalForAcct*> | [1..*] | ± | | 47 |
| | **Agent** <*Agt*> | [0..*] | ± | C9 | 48 |
| | **AccountSubLevel6** <*AcctSubLvl6*> | [0..*] | | | 48 |
| | **AccountIdentification** <*AcctId*> | [1..1] | ± | | 50 |
| | **AccountOwner** <*AcctOwnr*> | [1..1] | ± | | 50 |
| | **AccountServicer** <*AcctSvcr*> | [1..1] | ± | | 50 |
| | **BeneficialOwner** <*BnfclOwnr*> | [0..*] | ± | | 51 |
| | **BalanceDetails** <*BalDtls*> | [0..*] | | | 51 |
| | **BalanceForAccount** <*BalForAcct*> | [1..*] | ± | | 52 |
| | **Agent** <*Agt*> | [0..*] | ± | C9 | 52 |
| | **AccountSubLevel7** <*AcctSubLvl7*> | [0..*] | | | 52 |
| | **AccountIdentification** <*AcctId*> | [1..1] | ± | | 53 |
| | **AccountOwner** <*AcctOwnr*> | [1..1] | ± | | 54 |
| | **AccountServicer** <*AcctSvcr*> | [1..1] | ± | | 54 |
| | **BeneficialOwner** <*BnfclOwnr*> | [0..*] | ± | | 54 |
| | **BalanceDetails** <*BalDtls*> | [0..*] | | | 55 |
| | **BalanceForAccount** <*BalForAcct*> | [1..*] | ± | | 55 |
| | **Agent** <*Agt*> | [0..*] | ± | C9 | 56 |
| | **AccountSubLevel8** <*AcctSubLvl8*> | [0..*] | | | 56 |
| | **AccountIdentification** <*AcctId*> | [1..1] | ± | | 57 |
| | **AccountOwner** <*AcctOwnr*> | [1..1] | ± | | 57 |
| | **AccountServicer** <*AcctSvcr*> | [1..1] | ± | | 58 |
| | **BeneficialOwner** <*BnfclOwnr*> | [0..*] | ± | | 58 |
| | **BalanceDetails** <*BalDtls*> | [0..*] | | | 59 |
| | **BalanceForAccount** <*BalForAcct*> | [1..*] | ± | | 59 |
| | **Agent** <*Agt*> | [0..*] | ± | C9 | 60 |
| | **AccountSubLevel9** <*AcctSubLvl9*> | [0..*] | | | 60 |
| | **AccountIdentification** <*AcctId*> | [1..1] | ± | | 61 |
| | **AccountOwner** <*AcctOwnr*> | [1..1] | ± | | 61 |
| | **AccountServicer** <*AcctSvcr*> | [1..1] | ± | | 61 |

| Or | MessageElement/BuildingBlock<*XML Tag*> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | **BeneficialOwner** <*BnfclOwnr*> | [0..*] | ± | | 62 |
| | **BalanceDetails** <*BalDtls*> | [0..*] | | | 62 |
| | **BalanceForAccount** <*BalForAcct*> | [1..*] | ± | | 63 |
| | **Agent** <*Agt*> | [0..*] | ± | C9 | 63 |
| | **SupplementaryData** <*SplmtryData*> | [0..*] | ± | C11 | 63 |
| | **AccountSubLevel9Difference** <*AcctSubLvl9Diff*> | [0..*] | ± | | 64 |
| | **SupplementaryData** <*SplmtryData*> | [0..*] | ± | C11 | 64 |
| | **AccountSubLevel8Difference** <*AcctSubLvl8Diff*> | [0..*] | ± | | 65 |
| | **SupplementaryData** <*SplmtryData*> | [0..*] | ± | C11 | 65 |
| | **AccountSubLevel7Difference** <*AcctSubLvl7Diff*> | [0..*] | ± | | 65 |
| | **SupplementaryData** <*SplmtryData*> | [0..*] | ± | C11 | 66 |
| | **AccountSubLevel6Difference** <*AcctSubLvl6Diff*> | [0..*] | ± | | 66 |
| | **SupplementaryData** <*SplmtryData*> | [0..*] | ± | C11 | 66 |
| | **AccountSubLevel5Difference** <*AcctSubLvl5Diff*> | [0..*] | ± | | 67 |
| | **SupplementaryData** <*SplmtryData*> | [0..*] | ± | C11 | 67 |
| | **AccountSubLevel4Difference** <*AcctSubLvl4Diff*> | [0..*] | ± | | 68 |
| | **SupplementaryData** <*SplmtryData*> | [0..*] | ± | C11 | 68 |
| | **AccountSubLevel3Difference** <*AcctSubLvl3Diff*> | [0..*] | ± | | 68 |
| | **SupplementaryData** <*SplmtryData*> | [0..*] | ± | C11 | 69 |
| | **AccountSubLevel2Difference** <*AcctSubLvl2Diff*> | [0..*] | ± | | 69 |
| | **SupplementaryData** <*SplmtryData*> | [0..*] | ± | C11 | 69 |
| | **AccountSubLevel1Difference** <*AcctSubLvl1Diff*> | [0..*] | ± | | 70 |
| | **SupplementaryData** <*SplmtryData*> | [0..*] | ± | C11 | 70 |

# 2.3   Constraints

### C1   ActiveOrHistoricCurrency

The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged. (Algorithm)

### C2   AnyBIC

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

**C3    Country**

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

**C4    DescriptionPresenceRule**

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

**C5    DescriptionUsageRule**

Description must be used alone as the last resort.

**C6    FrequencyGranularityGuideline**

FrequencyGranularity should be within the limits of the Frequency, such as Frequency equals Monthly and FrequencyGranularity equals Daily.

**C7    ISINGuideline**

When a ISIN code exist, it is strongly recommended that the ISIN be used.

**C8    ISINPresenceRule**

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

**C9    OrderOriginatorEligibility1Rule**

OrderOriginatorEligibility may only be present if Role is either UCL1 or UCL2.

**C10    OtherIdentificationPresenceRule**

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

**C11    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    MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification of the message. When the report has multiple pages, one message equals one page. Therefore, the MessageIdentification uniquely identifies the page.

**MessageIdentification <MsgId>** contains the following elements (see "MessageIdentification1" on page 96 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | Identification *<Id>* | [1..1] | Text | | 96 |
| | CreationDateTime *<CreDtTm>* | [1..1] | DateTime | | 97 |

## 2.4.2　　SenderIdentification <SndrId>

*Presence:* [1..1]

*Definition:* Identification of the party that is the sender of the message.

**SenderIdentification <SndrId>** contains the following elements (see <u>"PartyIdentification100" on page 111</u> for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | Identification *<Id>* | [1..1] | ± | | 111 |
| | LEI *<LEI>* | [0..1] | IdentifierSet | | 111 |

## 2.4.3　　ReceiverIdentification <RcvrId>

*Presence:* [0..1]

*Definition:* Identification of the party that is the receiver of the message.

**ReceiverIdentification <RcvrId>** contains the following elements (see <u>"PartyIdentification100" on page 111</u> for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | Identification *<Id>* | [1..1] | ± | | 111 |
| | LEI *<LEI>* | [0..1] | IdentifierSet | | 111 |

## 2.4.4　　Pagination <Pgntn>

*Presence:* [1..1]

*Definition:* Page number of the message (within a statement) and continuation indicator to indicate that the statement is to continue or that the message is the last page of the statement.

**Pagination <Pgntn>** contains the following elements (see <u>"Pagination" on page 109</u> for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | PageNumber *<PgNb>* | [1..1] | Text | | 110 |
| | LastPageIndicator *<LastPgInd>* | [1..1] | Indicator | | 110 |

## 2.4.5　　StatementGeneralDetails <StmtGnlDtls>

*Presence:* [1..1]

*Definition:* Provides general information on the statement.

*Impacted by:* <u>C6 "FrequencyGranularityGuideline"</u>

**StatementGeneralDetails <StmtGnlDtls>** contains the following **Statement59** elements

| Or | MessageElement<*XML Tag*> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | **SenderBusinessRole** <*SndrBizRole*> | [1..1] | CodeSet | | 12 |
| | **StatementNumber** <*StmtNb*> | [0..1] | ± | | 12 |
| | **QueryReference** <*QryRef*> | [0..1] | Text | | 13 |
| | **StatementIdentification** <*StmtId*> | [1..1] | Text | | 13 |
| | **StatementDateTime** <*StmtDtTm*> | [1..1] | ± | | 13 |
| | **StatementPeriod** <*StmtPrd*> | [1..1] | ± | | 13 |
| | **Frequency** <*Frqcy*> | [0..1] | ± | | 13 |
| | **FrequencyGranularity** <*FrqcyGrnlrty*> | [0..1] | CodeSet | | 14 |
| | **UpdateType** <*UpdTp*> | [0..1] | ± | | 14 |
| | **ActivityIndicator** <*ActvtyInd*> | [1..1] | Indicator | | 14 |

**Constraints**

- **FrequencyGranularityGuideline**

  FrequencyGranularity should be within the limits of the Frequency, such as Frequency equals Monthly and FrequencyGranularity equals Daily.

## 2.4.5.1 SenderBusinessRole <SndrBizRole>

*Presence:* [1..1]

*Definition:* Specifies the business role of the message sender and, therefore, the business relationship between the sender and the receiver (or the interests represented by them, in those cases where another entity is acting on behalf of the sender or receiver). The message is exchanged between two entities, one being the account servicer and the other the account owner, and the message can be used with either one as the sender.

*Datatype:* "SenderBusinessRole1Code" on page 134

| CodeName | Name | Definition |
|---|---|---|
| AOWN | AccountOwner | Sender is the owner of the safekeeping account. The sender is disclosing the breakdown of the underlying owners of sender's holdings with the receiver. |
| ASER | AccountServicer | Sender is the account servicer of an account owned by the receiver. |

## 2.4.5.2 StatementNumber <StmtNb>

*Presence:* [0..1]

*Definition:* Sequential number of the report.

**StatementNumber <StmtNb>** contains one of the following elements (see "Number3Choice" on page 97 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|----|---------------------------|-------|------|-------------|------|
| {Or | Short *<Shrt>* | [1..1] | Text | | 97 |
| Or} | Long *<Lng>* | [1..1] | Text | | 97 |

### 2.4.5.3 QueryReference <QryRef>

*Presence:* [0..1]

*Definition:* Identification of the query message sent to request this statement.

*Datatype:* "Max35Text" on page 139

### 2.4.5.4 StatementIdentification <StmtId>

*Presence:* [1..1]

*Definition:* Reference common to all pages of the statement.

*Datatype:* "Max35Text" on page 139

### 2.4.5.5 StatementDateTime <StmtDtTm>

*Presence:* [1..1]

*Definition:* Date and time when the statement was created.

**StatementDateTime <StmtDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 89 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|----|---------------------------|-------|------|-------------|------|
| {Or | Date *<Dt>* | [1..1] | Date | | 89 |
| Or} | DateTime *<DtTm>* | [1..1] | DateTime | | 89 |

### 2.4.5.6 StatementPeriod <StmtPrd>

*Presence:* [1..1]

*Definition:* Date period for which the statement was created.

**StatementPeriod <StmtPrd>** contains one of the following elements (see "DatePeriod1Choice" on page 88 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|----|---------------------------|-------|------|-------------|------|
| {Or | Date *<Dt>* | [1..1] | Date | | 88 |
| Or | DateMonth *<DtMnth>* | [1..1] | YearMonth | | 88 |
| Or} | FromDateToDate *<FrDtToDt>* | [1..1] | ± | | 89 |

### 2.4.5.7 Frequency <Frqcy>

*Presence:* [0..1]

*Definition:* Frequency of the statement.

**Frequency <Frqcy>** contains one of the following elements (see "Frequency22Choice" on page 93 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|------|---------------------------|--------|---------|-------------|------|
| {Or | Code *<Cd>* | [1..1] | CodeSet | | 93 |
| Or} | Proprietary *<Prtry>* | [1..1] | ± | | 93 |

### 2.4.5.8 FrequencyGranularity <FrqcyGrnlrty>

*Presence:* [0..1]

*Definition:* Granularity of the frequency used for the reporting.

*Datatype:* "FrequencyGranularityType1Code" on page 124

| CodeName | Name | Definition |
|----------|---------------|------------|
| EMON | EndOfMonth | Event takes place at the end of each month or period of one month. |
| EWEK | EndOfWeek | Event takes place at the end of each week. |
| ESEM | EndOfSemester | Event takes place at the end of each six months (or two times a year). |
| EQRT | EndOfQuarter | Event takes place at the end of each period of three months (or four times a year). |
| EFRT | EndOfFortnight | Event takes place at the end of each two weeks. |
| EDAY | EndOfDay | Event takes place at the end of each day. |
| ENDY | EndOfYear | Event takes place at the end of each year. |

### 2.4.5.9 UpdateType <UpdTp>

*Presence:* [0..1]

*Definition:* Specifies whether the statement is complete or contains changes only.

**UpdateType <UpdTp>** contains one of the following elements (see "UpdateType4Choice" on page 108 for details)

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

### 2.4.5.10 ActivityIndicator <ActvtyInd>

*Presence:* [1..1]

*Definition:* Indicates whether there is activity or updated information reported in the statement.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 137):

- *Meaning When True:* Yes

- *Meaning When False:* No

## 2.4.6 SafekeepingAccountAndHoldings <SfkpgAcctAndHldgs>

*Presence:* [0..*]

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

**SafekeepingAccountAndHoldings <SfkpgAcctAndHldgs>** contains the following
**SafekeepingAccount7** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|-------|------|-------------|------|
| | **AccountIdentification** <AcctId> | [1..1] | ± | | 19 |
| | **AccountOwner** <AcctOwnr> | [1..1] | ± | | 19 |
| | **AccountServicer** <AcctSvcr> | [1..1] | ± | | 19 |
| | **BeneficialOwner** <BnflOwnr> | [0..*] | ± | | 20 |
| | **BalanceDetails** <BalDtls> | [0..*] | | | 20 |
| | **BalanceForAccount** <BalForAcct> | [1..*] | ± | | 21 |
| | **Agent** <Agt> | [0..*] | ± | C9 | 21 |
| | **AccountSubLevel1** <AcctSubLvl1> | [0..*] | | | 21 |
| | **AccountIdentification** <AcctId> | [1..1] | ± | | 24 |
| | **AccountOwner** <AcctOwnr> | [1..1] | ± | | 25 |
| | **AccountServicer** <AcctSvcr> | [1..1] | ± | | 25 |
| | **BeneficialOwner** <BnflOwnr> | [0..*] | ± | | 25 |
| | **BalanceDetails** <BalDtls> | [0..*] | | | 26 |
| | **BalanceForAccount** <BalForAcct> | [1..*] | ± | | 26 |
| | **Agent** <Agt> | [0..*] | ± | C9 | 27 |
| | **AccountSubLevel2** <AcctSubLvl2> | [0..*] | | | 27 |
| | **AccountIdentification** <AcctId> | [1..1] | ± | | 30 |
| | **AccountOwner** <AcctOwnr> | [1..1] | ± | | 30 |
| | **AccountServicer** <AcctSvcr> | [1..1] | ± | | 31 |
| | **BeneficialOwner** <BnflOwnr> | [0..*] | ± | | 31 |
| | **BalanceDetails** <BalDtls> | [0..*] | | | 32 |
| | **BalanceForAccount** <BalForAcct> | [1..*] | ± | | 32 |
| | **Agent** <Agt> | [0..*] | ± | C9 | 33 |
| | **AccountSubLevel3** <AcctSubLvl3> | [0..*] | | | 33 |
| | **AccountIdentification** <AcctId> | [1..1] | ± | | 36 |
| | **AccountOwner** <AcctOwnr> | [1..1] | ± | | 36 |
| | **AccountServicer** <AcctSvcr> | [1..1] | ± | | 36 |
| | **BeneficialOwner** <BnflOwnr> | [0..*] | ± | | 37 |
| | **BalanceDetails** <BalDtls> | [0..*] | | | 37 |
| | **BalanceForAccount** <BalForAcct> | [1..*] | ± | | 38 |

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | **Agent** *<Agt>* | [0..*] | ± | C9 | 38 |
| | **AccountSubLevel4** *<AcctSubLvl4>* | [0..*] | | | 38 |
| | **AccountIdentification** *<AcctId>* | [1..1] | ± | | 40 |
| | **AccountOwner** *<AcctOwnr>* | [1..1] | ± | | 41 |
| | **AccountServicer** *<AcctSvcr>* | [1..1] | ± | | 41 |
| | **BeneficialOwner** *<BnfclOwnr>* | [0..*] | ± | | 41 |
| | **BalanceDetails** *<BalDtls>* | [0..*] | | | 42 |
| | **BalanceForAccount** *<BalForAcct>* | [1..*] | ± | | 42 |
| | **Agent** *<Agt>* | [0..*] | ± | C9 | 43 |
| | **AccountSubLevel5** *<AcctSubLvl5>* | [0..*] | | | 43 |
| | **AccountIdentification** *<AcctId>* | [1..1] | ± | | 45 |
| | **AccountOwner** *<AcctOwnr>* | [1..1] | ± | | 45 |
| | **AccountServicer** *<AcctSvcr>* | [1..1] | ± | | 46 |
| | **BeneficialOwner** *<BnfclOwnr>* | [0..*] | ± | | 46 |
| | **BalanceDetails** *<BalDtls>* | [0..*] | | | 47 |
| | **BalanceForAccount** *<BalForAcct>* | [1..*] | ± | | 47 |
| | **Agent** *<Agt>* | [0..*] | ± | C9 | 48 |
| | **AccountSubLevel6** *<AcctSubLvl6>* | [0..*] | | | 48 |
| | **AccountIdentification** *<AcctId>* | [1..1] | ± | | 50 |
| | **AccountOwner** *<AcctOwnr>* | [1..1] | ± | | 50 |
| | **AccountServicer** *<AcctSvcr>* | [1..1] | ± | | 50 |
| | **BeneficialOwner** *<BnfclOwnr>* | [0..*] | ± | | 51 |
| | **BalanceDetails** *<BalDtls>* | [0..*] | | | 51 |
| | **BalanceForAccount** *<BalForAcct>* | [1..*] | ± | | 52 |
| | **Agent** *<Agt>* | [0..*] | ± | C9 | 52 |
| | **AccountSubLevel7** *<AcctSubLvl7>* | [0..*] | | | 52 |
| | **AccountIdentification** *<AcctId>* | [1..1] | ± | | 53 |
| | **AccountOwner** *<AcctOwnr>* | [1..1] | ± | | 54 |
| | **AccountServicer** *<AcctSvcr>* | [1..1] | ± | | 54 |
| | **BeneficialOwner** *<BnfclOwnr>* | [0..*] | ± | | 54 |
| | **BalanceDetails** *<BalDtls>* | [0..*] | | | 55 |

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | **BalanceForAccount** <BalForAcct> | [1..*] | ± | | 55 |
| | **Agent** <Agt> | [0..*] | ± | C9 | 56 |
| | **AccountSubLevel8** <AcctSubLvl8> | [0..*] | | | 56 |
| | **AccountIdentification** <AcctId> | [1..1] | ± | | 57 |
| | **AccountOwner** <AcctOwnr> | [1..1] | ± | | 57 |
| | **AccountServicer** <AcctSvcr> | [1..1] | ± | | 58 |
| | **BeneficialOwner** <BnfclOwnr> | [0..*] | ± | | 58 |
| | **BalanceDetails** <BalDtls> | [0..*] | | | 59 |
| | **BalanceForAccount** <BalForAcct> | [1..*] | ± | | 59 |
| | **Agent** <Agt> | [0..*] | ± | C9 | 60 |
| | **AccountSubLevel9** <AcctSubLvl9> | [0..*] | | | 60 |
| | **AccountIdentification** <AcctId> | [1..1] | ± | | 61 |
| | **AccountOwner** <AcctOwnr> | [1..1] | ± | | 61 |
| | **AccountServicer** <AcctSvcr> | [1..1] | ± | | 61 |
| | **BeneficialOwner** <BnfclOwnr> | [0..*] | ± | | 62 |
| | **BalanceDetails** <BalDtls> | [0..*] | | | 62 |
| | **BalanceForAccount** <BalForAcct> | [1..*] | ± | | 63 |
| | **Agent** <Agt> | [0..*] | ± | C9 | 63 |
| | **SupplementaryData** <SplmtryData> | [0..*] | ± | C11 | 63 |
| | **AccountSubLevel9Difference** <AcctSubLvl9Diff> | [0..*] | ± | | 64 |
| | **SupplementaryData** <SplmtryData> | [0..*] | ± | C11 | 64 |
| | **AccountSubLevel8Difference** <AcctSubLvl8Diff> | [0..*] | ± | | 65 |
| | **SupplementaryData** <SplmtryData> | [0..*] | ± | C11 | 65 |
| | **AccountSubLevel7Difference** <AcctSubLvl7Diff> | [0..*] | ± | | 65 |
| | **SupplementaryData** <SplmtryData> | [0..*] | ± | C11 | 66 |
| | **AccountSubLevel6Difference** <AcctSubLvl6Diff> | [0..*] | ± | | 66 |
| | **SupplementaryData** <SplmtryData> | [0..*] | ± | C11 | 66 |
| | **AccountSubLevel5Difference** <AcctSubLvl5Diff> | [0..*] | ± | | 67 |
| | **SupplementaryData** <SplmtryData> | [0..*] | ± | C11 | 67 |
| | **AccountSubLevel4Difference** <AcctSubLvl4Diff> | [0..*] | ± | | 68 |

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | **SupplementaryData** *<SplmtryData>* | [0..*] | ± | C11 | 68 |
| | **AccountSubLevel3Difference** *<AcctSubLvl3Diff>* | [0..*] | ± | | 68 |
| | **SupplementaryData** *<SplmtryData>* | [0..*] | ± | C11 | 69 |
| | **AccountSubLevel2Difference** *<AcctSubLvl2Diff>* | [0..*] | ± | | 69 |
| | **SupplementaryData** *<SplmtryData>* | [0..*] | ± | C11 | 69 |
| | **AccountSubLevel1Difference** *<AcctSubLvl1Diff>* | [0..*] | ± | | 70 |

## 2.4.6.1 AccountIdentification <AcctId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

**AccountIdentification <AcctId>** contains the following elements (see "SecuritiesAccount19" on page 78 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | Identification *<Id>* | [1..1] | Text | | 78 |
| | Type *<Tp>* | [0..1] | ± | | 78 |
| | Name *<Nm>* | [0..1] | Text | | 78 |

## 2.4.6.2 AccountOwner <AcctOwnr>

*Presence:* [1..1]

*Definition:* Party that legally owns the account.

**AccountOwner <AcctOwnr>** contains the following elements (see "PartyIdentification100" on page 111 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | Identification *<Id>* | [1..1] | ± | | 111 |
| | LEI *<LEI>* | [0..1] | IdentifierSet | | 111 |

## 2.4.6.3 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 the following elements (see "PartyIdentification100" on page 111 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | Identification <Id> | [1..1] | ± | | 111 |
| | LEI <LEI> | [0..1] | IdentifierSet | | 111 |

## 2.4.6.4 BeneficialOwner <BnfclOwnr>

*Presence:* [0..*]

*Definition:* Individual or entity that is ultimately entitled to the benefit of income and rights in a financial instrument, as opposed to a nominal or legal owner.

**BeneficialOwner <BnfclOwnr>** contains the following elements (see "BeneficialOwner2" on page 104 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | BeneficialOwnerIdentification <BnfclOwnrId> | [1..1] | ± | | 104 |
| | AdditionalIdentification <AddtlId> | [0..1] | | | 105 |
| | Identification <Id> | [1..1] | Text | | 105 |
| | Type <Tp> | [1..1] | | | 105 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 105 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 106 |
| | Issuer <Issr> | [0..1] | Text | | 107 |
| | IssueDate <IsseDt> | [0..1] | Date | | 107 |
| | ExpiryDate <XpryDt> | [0..1] | Date | | 107 |
| | IssuerCountry <IssrCtry> | [0..1] | CodeSet | | 107 |
| | Nationality <Ntlty> | [0..1] | CodeSet | | 107 |
| | DomicileCountry <DmclCtry> | [0..1] | CodeSet | | 107 |
| | NonDomicileCountry <NonDmclCtry> | [0..1] | CodeSet | | 107 |
| | CertificationIndicator <CertfctnInd> | [0..1] | Indicator | | 107 |
| | CertificationType <CertfctnTp> | [0..1] | ± | | 108 |
| | DeclarationDetails <DclrtnDtls> | [0..1] | Text | | 108 |

## 2.4.6.5 BalanceDetails <BalDtls>

*Presence:* [0..*]

*Definition:* Report on the net position of a financial instrument on the account, for a certain date. The agent, for example, a trade intermediary, may also be specified.

**BalanceDetails <BalDtls>** contains the following **AggregateHoldingBalance3** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|------------------------|-------|------|-------------|------|
| | **BalanceForAccount** <BalForAcct> | [1..*] | ± | | 21 |
| | **Agent** <Agt> | [0..*] | ± | C9 | 21 |

### 2.4.6.5.1 BalanceForAccount <BalForAcct>

*Presence:* [1..*]

*Definition:* Report on the net position of a financial instrument on the sub-account, for a certain date.

**BalanceForAccount <BalForAcct>** contains the following elements (see "AggregateHoldingBalance1" on page 81 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|------------------------|-------|------|-------------|------|
| | FinancialInstrumentIdentification <FinInstrmId> | [1..1] | ± | | 81 |
| | HoldingForm <HldgForm> | [0..1] | CodeSet | | 82 |
| | HoldingPhysicalType <HldgPhysTp> | [0..1] | CodeSet | | 82 |
| | BalanceForFinancialInstrument <BalForFinInstrm> | [1..*] | ± | | 82 |
| | SupplementaryData <SplmtryData> | [0..*] | ± | | 83 |

### 2.4.6.5.2 Agent <Agt>

*Presence:* [0..*]

*Definition:* Agent of the financial instrument, for example, a trade intermediary.

*Impacted by:* C9 "OrderOriginatorEligibility1Rule"

**Agent <Agt>** contains the following elements (see "Intermediary29" on page 112 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|------------------------|-------|------|-------------|------|
| | Identification <Id> | [1..1] | ± | | 112 |
| | Role <Role> | [1..1] | ± | | 112 |
| | OrderOriginatorEligibility <OrdrOrgtrElgblty> | [0..1] | CodeSet | | 112 |
| | SupplementaryData <SplmtryData> | [0..*] | ± | | 113 |

**Constraints**

- **OrderOriginatorEligibility1Rule**

  OrderOriginatorEligibility may only be present if Role is either UCL1 or UCL2.

### 2.4.6.6 AccountSubLevel1 <AcctSubLvl1>

*Presence:* [0..*]

*Definition:* Holdings of level 1.

**AccountSubLevel1 <AcctSubLvl1>** contains the following **AccountSubLevel11** elements

| Or | MessageElement<*XML Tag*> | Mult. | Type | Constr. No. | Page |
|----|---------------------------|-------|------|-------------|------|
| | **AccountIdentification** <*AcctId*> | [1..1] | ± | | 24 |
| | **AccountOwner** <*AcctOwnr*> | [1..1] | ± | | 25 |
| | **AccountServicer** <*AcctSvcr*> | [1..1] | ± | | 25 |
| | **BeneficialOwner** <*BnfclOwnr*> | [0..*] | ± | | 25 |
| | **BalanceDetails** <*BalDtls*> | [0..*] | | | 26 |
| | **BalanceForAccount** <*BalForAcct*> | [1..*] | ± | | 26 |
| | **Agent** <*Agt*> | [0..*] | ± | C9 | 27 |
| | **AccountSubLevel2** <*AcctSubLvl2*> | [0..*] | | | 27 |
| | **AccountIdentification** <*AcctId*> | [1..1] | ± | | 30 |
| | **AccountOwner** <*AcctOwnr*> | [1..1] | ± | | 30 |
| | **AccountServicer** <*AcctSvcr*> | [1..1] | ± | | 31 |
| | **BeneficialOwner** <*BnfclOwnr*> | [0..*] | ± | | 31 |
| | **BalanceDetails** <*BalDtls*> | [0..*] | | | 32 |
| | **BalanceForAccount** <*BalForAcct*> | [1..*] | ± | | 32 |
| | **Agent** <*Agt*> | [0..*] | ± | C9 | 33 |
| | **AccountSubLevel3** <*AcctSubLvl3*> | [0..*] | | | 33 |
| | **AccountIdentification** <*AcctId*> | [1..1] | ± | | 36 |
| | **AccountOwner** <*AcctOwnr*> | [1..1] | ± | | 36 |
| | **AccountServicer** <*AcctSvcr*> | [1..1] | ± | | 36 |
| | **BeneficialOwner** <*BnfclOwnr*> | [0..*] | ± | | 37 |
| | **BalanceDetails** <*BalDtls*> | [0..*] | | | 37 |
| | **BalanceForAccount** <*BalForAcct*> | [1..*] | ± | | 38 |
| | **Agent** <*Agt*> | [0..*] | ± | C9 | 38 |
| | **AccountSubLevel4** <*AcctSubLvl4*> | [0..*] | | | 38 |
| | **AccountIdentification** <*AcctId*> | [1..1] | ± | | 40 |
| | **AccountOwner** <*AcctOwnr*> | [1..1] | ± | | 41 |
| | **AccountServicer** <*AcctSvcr*> | [1..1] | ± | | 41 |
| | **BeneficialOwner** <*BnfclOwnr*> | [0..*] | ± | | 41 |
| | **BalanceDetails** <*BalDtls*> | [0..*] | | | 42 |
| | **BalanceForAccount** <*BalForAcct*> | [1..*] | ± | | 42 |
| | **Agent** <*Agt*> | [0..*] | ± | C9 | 43 |

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | **AccountSubLevel5** *<AcctSubLvl5>* | [0..*] | | | 43 |
| | **AccountIdentification** *<AcctId>* | [1..1] | ± | | 45 |
| | **AccountOwner** *<AcctOwnr>* | [1..1] | ± | | 45 |
| | **AccountServicer** *<AcctSvcr>* | [1..1] | ± | | 46 |
| | **BeneficialOwner** *<BnfclOwnr>* | [0..*] | ± | | 46 |
| | **BalanceDetails** *<BalDtls>* | [0..*] | | | 47 |
| | **BalanceForAccount** *<BalForAcct>* | [1..*] | ± | | 47 |
| | **Agent** *<Agt>* | [0..*] | ± | C9 | 48 |
| | **AccountSubLevel6** *<AcctSubLvl6>* | [0..*] | | | 48 |
| | **AccountIdentification** *<AcctId>* | [1..1] | ± | | 50 |
| | **AccountOwner** *<AcctOwnr>* | [1..1] | ± | | 50 |
| | **AccountServicer** *<AcctSvcr>* | [1..1] | ± | | 50 |
| | **BeneficialOwner** *<BnfclOwnr>* | [0..*] | ± | | 51 |
| | **BalanceDetails** *<BalDtls>* | [0..*] | | | 51 |
| | **BalanceForAccount** *<BalForAcct>* | [1..*] | ± | | 52 |
| | **Agent** *<Agt>* | [0..*] | ± | C9 | 52 |
| | **AccountSubLevel7** *<AcctSubLvl7>* | [0..*] | | | 52 |
| | **AccountIdentification** *<AcctId>* | [1..1] | ± | | 53 |
| | **AccountOwner** *<AcctOwnr>* | [1..1] | ± | | 54 |
| | **AccountServicer** *<AcctSvcr>* | [1..1] | ± | | 54 |
| | **BeneficialOwner** *<BnfclOwnr>* | [0..*] | ± | | 54 |
| | **BalanceDetails** *<BalDtls>* | [0..*] | | | 55 |
| | **BalanceForAccount** *<BalForAcct>* | [1..*] | ± | | 55 |
| | **Agent** *<Agt>* | [0..*] | ± | C9 | 56 |
| | **AccountSubLevel8** *<AcctSubLvl8>* | [0..*] | | | 56 |
| | **AccountIdentification** *<AcctId>* | [1..1] | ± | | 57 |
| | **AccountOwner** *<AcctOwnr>* | [1..1] | ± | | 57 |
| | **AccountServicer** *<AcctSvcr>* | [1..1] | ± | | 58 |
| | **BeneficialOwner** *<BnfclOwnr>* | [0..*] | ± | | 58 |
| | **BalanceDetails** *<BalDtls>* | [0..*] | | | 59 |
| | **BalanceForAccount** *<BalForAcct>* | [1..*] | ± | | 59 |

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | **Agent** *<Agt>* | [0..*] | ± | C9 | 60 |
| | **AccountSubLevel9** *<AcctSubLvl9>* | [0..*] | | | 60 |
| | **AccountIdentification** *<AcctId>* | [1..1] | ± | | 61 |
| | **AccountOwner** *<AcctOwnr>* | [1..1] | ± | | 61 |
| | **AccountServicer** *<AcctSvcr>* | [1..1] | ± | | 61 |
| | **BeneficialOwner** *<BnfclOwnr>* | [0..*] | ± | | 62 |
| | **BalanceDetails** *<BalDtls>* | [0..*] | | | 62 |
| | **BalanceForAccount** *<BalForAcct>* | [1..*] | ± | | 63 |
| | **Agent** *<Agt>* | [0..*] | ± | C9 | 63 |
| | **SupplementaryData** *<SplmtryData>* | [0..*] | ± | C11 | 63 |
| | **AccountSubLevel9Difference** *<AcctSubLvl9Diff>* | [0..*] | ± | | 64 |
| | **SupplementaryData** *<SplmtryData>* | [0..*] | ± | C11 | 64 |
| | **AccountSubLevel8Difference** *<AcctSubLvl8Diff>* | [0..*] | ± | | 65 |
| | **SupplementaryData** *<SplmtryData>* | [0..*] | ± | C11 | 65 |
| | **AccountSubLevel7Difference** *<AcctSubLvl7Diff>* | [0..*] | ± | | 65 |
| | **SupplementaryData** *<SplmtryData>* | [0..*] | ± | C11 | 66 |
| | **AccountSubLevel6Difference** *<AcctSubLvl6Diff>* | [0..*] | ± | | 66 |
| | **SupplementaryData** *<SplmtryData>* | [0..*] | ± | C11 | 66 |
| | **AccountSubLevel5Difference** *<AcctSubLvl5Diff>* | [0..*] | ± | | 67 |
| | **SupplementaryData** *<SplmtryData>* | [0..*] | ± | C11 | 67 |
| | **AccountSubLevel4Difference** *<AcctSubLvl4Diff>* | [0..*] | ± | | 68 |
| | **SupplementaryData** *<SplmtryData>* | [0..*] | ± | C11 | 68 |
| | **AccountSubLevel3Difference** *<AcctSubLvl3Diff>* | [0..*] | ± | | 68 |
| | **SupplementaryData** *<SplmtryData>* | [0..*] | ± | C11 | 69 |
| | **AccountSubLevel2Difference** *<AcctSubLvl2Diff>* | [0..*] | ± | | 69 |
| | **SupplementaryData** *<SplmtryData>* | [0..*] | ± | C11 | 69 |

### 2.4.6.6.1 AccountIdentification <AcctId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the sub-account between the account owner and the account servicer.

**AccountIdentification <AcctId>** contains the following elements (see "SecuritiesAccount19" on page 78 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | Identification *<Id>* | [1..1] | Text | | 78 |
| | Type *<Tp>* | [0..1] | ± | | 78 |
| | Name *<Nm>* | [0..1] | Text | | 78 |

### 2.4.6.6.2 AccountOwner <AcctOwnr>

*Presence:* [1..1]

*Definition:* Party that legally owns the sub-account.

**AccountOwner <AcctOwnr>** contains the following elements (see "PartyIdentification100" on page 111 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | Identification *<Id>* | [1..1] | ± | | 111 |
| | LEI *<LEI>* | [0..1] | IdentifierSet | | 111 |

### 2.4.6.6.3 AccountServicer <AcctSvcr>

*Presence:* [1..1]

*Definition:* Party that manages the sub-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 the following elements (see "PartyIdentification100" on page 111 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | Identification *<Id>* | [1..1] | ± | | 111 |
| | LEI *<LEI>* | [0..1] | IdentifierSet | | 111 |

### 2.4.6.6.4 BeneficialOwner <BnfclOwnr>

*Presence:* [0..*]

*Definition:* Individual or entity that is ultimately entitled to the benefit of income and rights in a financial instrument, as opposed to a nominal or legal owner.

**BeneficialOwner <BnfclOwnr>** contains the following elements (see for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | BeneficialOwnerIdentification *<BnfclOwnrId>* | [1..1] | ± | | 104 |
| | AdditionalIdentification *<AddtlId>* | [0..1] | | | 105 |
| | Identification *<Id>* | [1..1] | Text | | 105 |
| | Type *<Tp>* | [1..1] | | | 105 |
| {Or | Code *<Cd>* | [1..1] | CodeSet | | 105 |
| Or} | Proprietary *<Prtry>* | [1..1] | ± | | 106 |
| | Issuer *<Issr>* | [0..1] | Text | | 107 |
| | IssueDate *<IsseDt>* | [0..1] | Date | | 107 |
| | ExpiryDate *<XpryDt>* | [0..1] | Date | | 107 |
| | IssuerCountry *<IssrCtry>* | [0..1] | CodeSet | | 107 |
| | Nationality *<Ntlty>* | [0..1] | CodeSet | | 107 |
| | DomicileCountry *<DmclCtry>* | [0..1] | CodeSet | | 107 |
| | NonDomicileCountry *<NonDmclCtry>* | [0..1] | CodeSet | | 107 |
| | CertificationIndicator *<CertfctnInd>* | [0..1] | Indicator | | 107 |
| | CertificationType *<CertfctnTp>* | [0..1] | ± | | 108 |
| | DeclarationDetails *<DclrtnDtls>* | [0..1] | Text | | 108 |

### 2.4.6.6.5 BalanceDetails <BalDtls>

*Presence:* [0..*]

*Definition:* Report on the net position of a financial instrument on the sub-account (sub-account level 1), for a certain date. The agent, for example, a trade intermediary, may also be specified.

**BalanceDetails <BalDtls>** contains the following **AggregateHoldingBalance3** elements

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | **BalanceForAccount** *<BalForAcct>* | [1..*] | ± | | 26 |
| | **Agent** *<Agt>* | [0..*] | ± | C9 | 27 |

### 2.4.6.6.5.1 BalanceForAccount <BalForAcct>

*Presence:* [1..*]

*Definition:* Report on the net position of a financial instrument on the sub-account, for a certain date.

**BalanceForAccount <BalForAcct>** contains the following elements (see "AggregateHoldingBalance1" on page 81 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | FinancialInstrumentIdentification *<FinInstrmId>* | [1..1] | ± | | 81 |
| | HoldingForm *<HldgForm>* | [0..1] | CodeSet | | 82 |
| | HoldingPhysicalType *<HldgPhysTp>* | [0..1] | CodeSet | | 82 |
| | BalanceForFinancialInstrument *<BalForFinInstrm>* | [1..*] | ± | | 82 |
| | SupplementaryData *<SplmtryData>* | [0..*] | ± | | 83 |

### 2.4.6.6.5.2 Agent <Agt>

*Presence:* [0..*]

*Definition:* Agent of the financial instrument, for example, a trade intermediary.

*Impacted by:* C9 "OrderOriginatorEligibility1Rule"

**Agent <Agt>** contains the following elements (see "Intermediary29" on page 112 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | Identification *<Id>* | [1..1] | ± | | 112 |
| | Role *<Role>* | [1..1] | ± | | 112 |
| | OrderOriginatorEligibility *<OrdrOrgtrElgblty>* | [0..1] | CodeSet | | 112 |
| | SupplementaryData *<SplmtryData>* | [0..*] | ± | | 113 |

**Constraints**

- **OrderOriginatorEligibility1Rule**

  OrderOriginatorEligibility may only be present if Role is either UCL1 or UCL2.

### 2.4.6.6.6 AccountSubLevel2 <AcctSubLvl2>

*Presence:* [0..*]

*Definition:* Holdings of level 2.

**AccountSubLevel2 <AcctSubLvl2>** contains the following **AccountSubLevel12** elements

| Or | MessageElement<*XML Tag*> | Mult. | Type | Constr. No. | Page |
|----|---------------------------|-------|------|-------------|------|
| | **AccountIdentification** <*AcctId*> | [1..1] | ± | | 30 |
| | **AccountOwner** <*AcctOwnr*> | [1..1] | ± | | 30 |
| | **AccountServicer** <*AcctSvcr*> | [1..1] | ± | | 31 |
| | **BeneficialOwner** <*BnfclOwnr*> | [0..*] | ± | | 31 |
| | **BalanceDetails** <*BalDtls*> | [0..*] | | | 32 |
| | **BalanceForAccount** <*BalForAcct*> | [1..*] | ± | | 32 |
| | **Agent** <*Agt*> | [0..*] | ± | C9 | 33 |
| | **AccountSubLevel3** <*AcctSubLvl3*> | [0..*] | | | 33 |
| | **AccountIdentification** <*AcctId*> | [1..1] | ± | | 36 |
| | **AccountOwner** <*AcctOwnr*> | [1..1] | ± | | 36 |
| | **AccountServicer** <*AcctSvcr*> | [1..1] | ± | | 36 |
| | **BeneficialOwner** <*BnfclOwnr*> | [0..*] | ± | | 37 |
| | **BalanceDetails** <*BalDtls*> | [0..*] | | | 37 |
| | **BalanceForAccount** <*BalForAcct*> | [1..*] | ± | | 38 |
| | **Agent** <*Agt*> | [0..*] | ± | C9 | 38 |
| | **AccountSubLevel4** <*AcctSubLvl4*> | [0..*] | | | 38 |
| | **AccountIdentification** <*AcctId*> | [1..1] | ± | | 40 |
| | **AccountOwner** <*AcctOwnr*> | [1..1] | ± | | 41 |
| | **AccountServicer** <*AcctSvcr*> | [1..1] | ± | | 41 |
| | **BeneficialOwner** <*BnfclOwnr*> | [0..*] | ± | | 41 |
| | **BalanceDetails** <*BalDtls*> | [0..*] | | | 42 |
| | **BalanceForAccount** <*BalForAcct*> | [1..*] | ± | | 42 |
| | **Agent** <*Agt*> | [0..*] | ± | C9 | 43 |
| | **AccountSubLevel5** <*AcctSubLvl5*> | [0..*] | | | 43 |
| | **AccountIdentification** <*AcctId*> | [1..1] | ± | | 45 |
| | **AccountOwner** <*AcctOwnr*> | [1..1] | ± | | 45 |
| | **AccountServicer** <*AcctSvcr*> | [1..1] | ± | | 46 |
| | **BeneficialOwner** <*BnfclOwnr*> | [0..*] | ± | | 46 |
| | **BalanceDetails** <*BalDtls*> | [0..*] | | | 47 |
| | **BalanceForAccount** <*BalForAcct*> | [1..*] | ± | | 47 |
| | **Agent** <*Agt*> | [0..*] | ± | C9 | 48 |

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| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | **AccountSubLevel6** *<AcctSubLvl6>* | [0..*] | | | 48 |
| | **AccountIdentification** *<AcctId>* | [1..1] | ± | | 50 |
| | **AccountOwner** *<AcctOwnr>* | [1..1] | ± | | 50 |
| | **AccountServicer** *<AcctSvcr>* | [1..1] | ± | | 50 |
| | **BeneficialOwner** *<BnfclOwnr>* | [0..*] | ± | | 51 |
| | **BalanceDetails** *<BalDtls>* | [0..*] | | | 51 |
| | **BalanceForAccount** *<BalForAcct>* | [1..*] | ± | | 52 |
| | **Agent** *<Agt>* | [0..*] | ± | C9 | 52 |
| | **AccountSubLevel7** *<AcctSubLvl7>* | [0..*] | | | 52 |
| | **AccountIdentification** *<AcctId>* | [1..1] | ± | | 53 |
| | **AccountOwner** *<AcctOwnr>* | [1..1] | ± | | 54 |
| | **AccountServicer** *<AcctSvcr>* | [1..1] | ± | | 54 |
| | **BeneficialOwner** *<BnfclOwnr>* | [0..*] | ± | | 54 |
| | **BalanceDetails** *<BalDtls>* | [0..*] | | | 55 |
| | **BalanceForAccount** *<BalForAcct>* | [1..*] | ± | | 55 |
| | **Agent** *<Agt>* | [0..*] | ± | C9 | 56 |
| | **AccountSubLevel8** *<AcctSubLvl8>* | [0..*] | | | 56 |
| | **AccountIdentification** *<AcctId>* | [1..1] | ± | | 57 |
| | **AccountOwner** *<AcctOwnr>* | [1..1] | ± | | 57 |
| | **AccountServicer** *<AcctSvcr>* | [1..1] | ± | | 58 |
| | **BeneficialOwner** *<BnfclOwnr>* | [0..*] | ± | | 58 |
| | **BalanceDetails** *<BalDtls>* | [0..*] | | | 59 |
| | **BalanceForAccount** *<BalForAcct>* | [1..*] | ± | | 59 |
| | **Agent** *<Agt>* | [0..*] | ± | C9 | 60 |
| | **AccountSubLevel9** *<AcctSubLvl9>* | [0..*] | | | 60 |
| | **AccountIdentification** *<AcctId>* | [1..1] | ± | | 61 |
| | **AccountOwner** *<AcctOwnr>* | [1..1] | ± | | 61 |
| | **AccountServicer** *<AcctSvcr>* | [1..1] | ± | | 61 |
| | **BeneficialOwner** *<BnfclOwnr>* | [0..*] | ± | | 62 |
| | **BalanceDetails** *<BalDtls>* | [0..*] | | | 62 |
| | **BalanceForAccount** *<BalForAcct>* | [1..*] | ± | | 63 |

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | **Agent** *<Agt>* | [0..*] | ± | C9 | 63 |
| | **SupplementaryData** *<SplmtryData>* | [0..*] | ± | C11 | 63 |
| | **AccountSubLevel9Difference** *<AcctSubLvl9Diff>* | [0..*] | ± | | 64 |
| | **SupplementaryData** *<SplmtryData>* | [0..*] | ± | C11 | 64 |
| | **AccountSubLevel8Difference** *<AcctSubLvl8Diff>* | [0..*] | ± | | 65 |
| | **SupplementaryData** *<SplmtryData>* | [0..*] | ± | C11 | 65 |
| | **AccountSubLevel7Difference** *<AcctSubLvl7Diff>* | [0..*] | ± | | 65 |
| | **SupplementaryData** *<SplmtryData>* | [0..*] | ± | C11 | 66 |
| | **AccountSubLevel6Difference** *<AcctSubLvl6Diff>* | [0..*] | ± | | 66 |
| | **SupplementaryData** *<SplmtryData>* | [0..*] | ± | C11 | 66 |
| | **AccountSubLevel5Difference** *<AcctSubLvl5Diff>* | [0..*] | ± | | 67 |
| | **SupplementaryData** *<SplmtryData>* | [0..*] | ± | C11 | 67 |
| | **AccountSubLevel4Difference** *<AcctSubLvl4Diff>* | [0..*] | ± | | 68 |
| | **SupplementaryData** *<SplmtryData>* | [0..*] | ± | C11 | 68 |
| | **AccountSubLevel3Difference** *<AcctSubLvl3Diff>* | [0..*] | ± | | 68 |
| | **SupplementaryData** *<SplmtryData>* | [0..*] | ± | C11 | 69 |

### 2.4.6.6.6.1 AccountIdentification <AcctId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the sub-account between the account owner and the account servicer.

**AccountIdentification <AcctId>** contains the following elements (see "SecuritiesAccount19" on page 78 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | Identification *<Id>* | [1..1] | Text | | 78 |
| | Type *<Tp>* | [0..1] | ± | | 78 |
| | Name *<Nm>* | [0..1] | Text | | 78 |

### 2.4.6.6.6.2 AccountOwner <AcctOwnr>

*Presence:* [1..1]

*Definition:* Party that legally owns the sub-account.

**AccountOwner <AcctOwnr>** contains the following elements (see "PartyIdentification100" on page 111 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|----|---------------------------|-------|------|-------------|------|
|    | Identification *<Id>*     | [1..1] | ± |            | 111  |
|    | LEI *<LEI>*               | [0..1] | IdentifierSet |    | 111  |

### 2.4.6.6.6.3 AccountServicer <AcctSvcr>

*Presence:* [1..1]

*Definition:* Party that manages the sub-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 the following elements (see "PartyIdentification100" on page 111 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|----|---------------------------|-------|------|-------------|------|
|    | Identification *<Id>*     | [1..1] | ± |            | 111  |
|    | LEI *<LEI>*               | [0..1] | IdentifierSet |    | 111  |

### 2.4.6.6.6.4 BeneficialOwner <BnfclOwnr>

*Presence:* [0..*]

*Definition:* Individual or entity that is ultimately entitled to the benefit of income and rights in a financial instrument, as opposed to a nominal or legal owner.

**BeneficialOwner <BnfclOwnr>** contains the following elements (see "BeneficialOwner2" on page 104 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | BeneficialOwnerIdentification <BnfclOwnrId> | [1..1] | ± | | 104 |
| | AdditionalIdentification <AddtlId> | [0..1] | | | 105 |
| | Identification <Id> | [1..1] | Text | | 105 |
| | Type <Tp> | [1..1] | | | 105 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 105 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 106 |
| | Issuer <Issr> | [0..1] | Text | | 107 |
| | IssueDate <IsseDt> | [0..1] | Date | | 107 |
| | ExpiryDate <XpryDt> | [0..1] | Date | | 107 |
| | IssuerCountry <IssrCtry> | [0..1] | CodeSet | | 107 |
| | Nationality <Ntlty> | [0..1] | CodeSet | | 107 |
| | DomicileCountry <DmclCtry> | [0..1] | CodeSet | | 107 |
| | NonDomicileCountry <NonDmclCtry> | [0..1] | CodeSet | | 107 |
| | CertificationIndicator <CertfctnInd> | [0..1] | Indicator | | 107 |
| | CertificationType <CertfctnTp> | [0..1] | ± | | 108 |
| | DeclarationDetails <DclrtnDtls> | [0..1] | Text | | 108 |

### 2.4.6.6.6.5 BalanceDetails <BalDtls>

*Presence:* [0..*]

*Definition:* Report on the net position of a financial instrument on the sub-account (sub-account level 2), for a certain date. The agent, for example, a trade intermediary, may also be specified.

**BalanceDetails <BalDtls>** contains the following **AggregateHoldingBalance3** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | **BalanceForAccount** <BalForAcct> | [1..*] | ± | | 32 |
| | **Agent** <Agt> | [0..*] | ± | C9 | 33 |

### 2.4.6.6.6.5.1 BalanceForAccount <BalForAcct>

*Presence:* [1..*]

*Definition:* Report on the net position of a financial instrument on the sub-account, for a certain date.

**BalanceForAccount <BalForAcct>** contains the following elements (see "AggregateHoldingBalance1" on page 81 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | FinancialInstrumentIdentification *<FinInstrmId>* | [1..1] | ± | | 81 |
| | HoldingForm *<HldgForm>* | [0..1] | CodeSet | | 82 |
| | HoldingPhysicalType *<HldgPhysTp>* | [0..1] | CodeSet | | 82 |
| | BalanceForFinancialInstrument *<BalForFinInstrm>* | [1..*] | ± | | 82 |
| | SupplementaryData *<SplmtryData>* | [0..*] | ± | | 83 |

### 2.4.6.6.6.5.2 Agent <Agt>

*Presence:* [0..*]

*Definition:* Agent of the financial instrument, for example, a trade intermediary.

*Impacted by:* C9 "OrderOriginatorEligibility1Rule"

**Agent <Agt>** contains the following elements (see "Intermediary29" on page 112 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | Identification *<Id>* | [1..1] | ± | | 112 |
| | Role *<Role>* | [1..1] | ± | | 112 |
| | OrderOriginatorEligibility *<OrdrOrgtrElgblty>* | [0..1] | CodeSet | | 112 |
| | SupplementaryData *<SplmtryData>* | [0..*] | ± | | 113 |

**Constraints**

- **OrderOriginatorEligibility1Rule**

  OrderOriginatorEligibility may only be present if Role is either UCL1 or UCL2.

### 2.4.6.6.6.6 AccountSubLevel3 <AcctSubLvl3>

*Presence:* [0..*]

*Definition:* Holdings of level 3.

**AccountSubLevel3 <AcctSubLvl3>** contains the following **AccountSubLevel13** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | **AccountIdentification** <AcctId> | [1..1] | ± | | 36 |
| | **AccountOwner** <AcctOwnr> | [1..1] | ± | | 36 |
| | **AccountServicer** <AcctSvcr> | [1..1] | ± | | 36 |
| | **BeneficialOwner** <BnflOwnr> | [0..*] | ± | | 37 |
| | **BalanceDetails** <BalDtls> | [0..*] | | | 37 |
| | **BalanceForAccount** <BalForAcct> | [1..*] | ± | | 38 |
| | **Agent** <Agt> | [0..*] | ± | C9 | 38 |
| | **AccountSubLevel4** <AcctSubLvl4> | [0..*] | | | 38 |
| | **AccountIdentification** <AcctId> | [1..1] | ± | | 40 |
| | **AccountOwner** <AcctOwnr> | [1..1] | ± | | 41 |
| | **AccountServicer** <AcctSvcr> | [1..1] | ± | | 41 |
| | **BeneficialOwner** <BnfclOwnr> | [0..*] | ± | | 41 |
| | **BalanceDetails** <BalDtls> | [0..*] | | | 42 |
| | **BalanceForAccount** <BalForAcct> | [1..*] | ± | | 42 |
| | **Agent** <Agt> | [0..*] | ± | C9 | 43 |
| | **AccountSubLevel5** <AcctSubLvl5> | [0..*] | | | 43 |
| | **AccountIdentification** <AcctId> | [1..1] | ± | | 45 |
| | **AccountOwner** <AcctOwnr> | [1..1] | ± | | 45 |
| | **AccountServicer** <AcctSvcr> | [1..1] | ± | | 46 |
| | **BeneficialOwner** <BnfclOwnr> | [0..*] | ± | | 46 |
| | **BalanceDetails** <BalDtls> | [0..*] | | | 47 |
| | **BalanceForAccount** <BalForAcct> | [1..*] | ± | | 47 |
| | **Agent** <Agt> | [0..*] | ± | C9 | 48 |
| | **AccountSubLevel6** <AcctSubLvl6> | [0..*] | | | 48 |
| | **AccountIdentification** <AcctId> | [1..1] | ± | | 50 |
| | **AccountOwner** <AcctOwnr> | [1..1] | ± | | 50 |
| | **AccountServicer** <AcctSvcr> | [1..1] | ± | | 50 |
| | **BeneficialOwner** <BnfclOwnr> | [0..*] | ± | | 51 |
| | **BalanceDetails** <BalDtls> | [0..*] | | | 51 |
| | **BalanceForAccount** <BalForAcct> | [1..*] | ± | | 52 |
| | **Agent** <Agt> | [0..*] | ± | C9 | 52 |

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|----|---------------------------|-------|------|-------------|------|
| | **AccountSubLevel7** *<AcctSubLvl7>* | [0..*] | | | 52 |
| | **AccountIdentification** *<AcctId>* | [1..1] | ± | | 53 |
| | **AccountOwner** *<AcctOwnr>* | [1..1] | ± | | 54 |
| | **AccountServicer** *<AcctSvcr>* | [1..1] | ± | | 54 |
| | **BeneficialOwner** *<BnfclOwnr>* | [0..*] | ± | | 54 |
| | **BalanceDetails** *<BalDtls>* | [0..*] | | | 55 |
| | **BalanceForAccount** *<BalForAcct>* | [1..*] | ± | | 55 |
| | **Agent** *<Agt>* | [0..*] | ± | C9 | 56 |
| | **AccountSubLevel8** *<AcctSubLvl8>* | [0..*] | | | 56 |
| | **AccountIdentification** *<AcctId>* | [1..1] | ± | | 57 |
| | **AccountOwner** *<AcctOwnr>* | [1..1] | ± | | 57 |
| | **AccountServicer** *<AcctSvcr>* | [1..1] | ± | | 58 |
| | **BeneficialOwner** *<BnfclOwnr>* | [0..*] | ± | | 58 |
| | **BalanceDetails** *<BalDtls>* | [0..*] | | | 59 |
| | **BalanceForAccount** *<BalForAcct>* | [1..*] | ± | | 59 |
| | **Agent** *<Agt>* | [0..*] | ± | C9 | 60 |
| | **AccountSubLevel9** *<AcctSubLvl9>* | [0..*] | | | 60 |
| | **AccountIdentification** *<AcctId>* | [1..1] | ± | | 61 |
| | **AccountOwner** *<AcctOwnr>* | [1..1] | ± | | 61 |
| | **AccountServicer** *<AcctSvcr>* | [1..1] | ± | | 61 |
| | **BeneficialOwner** *<BnfclOwnr>* | [0..*] | ± | | 62 |
| | **BalanceDetails** *<BalDtls>* | [0..*] | | | 62 |
| | **BalanceForAccount** *<BalForAcct>* | [1..*] | ± | | 63 |
| | **Agent** *<Agt>* | [0..*] | ± | C9 | 63 |
| | **SupplementaryData** *<SplmtryData>* | [0..*] | ± | C11 | 63 |
| | **AccountSubLevel9Difference** *<AcctSubLvl9Diff>* | [0..*] | ± | | 64 |
| | **SupplementaryData** *<SplmtryData>* | [0..*] | ± | C11 | 64 |
| | **AccountSubLevel8Difference** *<AcctSubLvl8Diff>* | [0..*] | ± | | 65 |
| | **SupplementaryData** *<SplmtryData>* | [0..*] | ± | C11 | 65 |
| | **AccountSubLevel7Difference** *<AcctSubLvl7Diff>* | [0..*] | ± | | 65 |
| | **SupplementaryData** *<SplmtryData>* | [0..*] | ± | C11 | 66 |

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|----|---------------------------|-------|------|-------------|------|
| | **AccountSubLevel6Difference** *<AcctSubLvl6Diff>* | [0..*] | ± | | 66 |
| | **SupplementaryData** *<SplmtryData>* | [0..*] | ± | C11 | 66 |
| | **AccountSubLevel5Difference** *<AcctSubLvl5Diff>* | [0..*] | ± | | 67 |
| | **SupplementaryData** *<SplmtryData>* | [0..*] | ± | C11 | 67 |
| | **AccountSubLevel4Difference** *<AcctSubLvl4Diff>* | [0..*] | ± | | 68 |
| | **SupplementaryData** *<SplmtryData>* | [0..*] | ± | C11 | 68 |

### 2.4.6.6.6.6.1 AccountIdentification <AcctId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the sub-account between the account owner and the account servicer.

**AccountIdentification <AcctId>** contains the following elements (see "SecuritiesAccount19" on page 78 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|----|---------------------------|-------|------|-------------|------|
| | Identification *<Id>* | [1..1] | Text | | 78 |
| | Type *<Tp>* | [0..1] | ± | | 78 |
| | Name *<Nm>* | [0..1] | Text | | 78 |

### 2.4.6.6.6.6.2 AccountOwner <AcctOwnr>

*Presence:* [1..1]

*Definition:* Party that legally owns the sub-account.

**AccountOwner <AcctOwnr>** contains the following elements (see "PartyIdentification100" on page 111 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|----|---------------------------|-------|------|-------------|------|
| | Identification *<Id>* | [1..1] | ± | | 111 |
| | LEI *<LEI>* | [0..1] | IdentifierSet | | 111 |

### 2.4.6.6.6.6.3 AccountServicer <AcctSvcr>

*Presence:* [1..1]

*Definition:* Party that manages the sub-level 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 the following elements (see "PartyIdentification100" on page 111 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|----|---------------------------|-------|------|-------------|------|
| | Identification *<Id>* | [1..1] | ± | | 111 |
| | LEI *<LEI>* | [0..1] | IdentifierSet | | 111 |

### 2.4.6.6.6.6.4 BeneficialOwner <BnfclOwnr>

*Presence:* [0..*]

*Definition:* Individual or entity that is ultimately entitled to the benefit of income and rights in a financial instrument, as opposed to a nominal or legal owner.

**BeneficialOwner <BnfclOwnr>** contains the following elements (see "BeneficialOwner2" on page 104 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|----|---------------------------|-------|------|-------------|------|
| | BeneficialOwnerIdentification *<BnfclOwnrId>* | [1..1] | ± | | 104 |
| | AdditionalIdentification *<AddtlId>* | [0..1] | | | 105 |
| | Identification *<Id>* | [1..1] | Text | | 105 |
| | Type *<Tp>* | [1..1] | | | 105 |
| {Or | Code *<Cd>* | [1..1] | CodeSet | | 105 |
| Or} | Proprietary *<Prtry>* | [1..1] | ± | | 106 |
| | Issuer *<Issr>* | [0..1] | Text | | 107 |
| | IssueDate *<IsseDt>* | [0..1] | Date | | 107 |
| | ExpiryDate *<XpryDt>* | [0..1] | Date | | 107 |
| | IssuerCountry *<IssrCtry>* | [0..1] | CodeSet | | 107 |
| | Nationality *<Ntlty>* | [0..1] | CodeSet | | 107 |
| | DomicileCountry *<DmclCtry>* | [0..1] | CodeSet | | 107 |
| | NonDomicileCountry *<NonDmclCtry>* | [0..1] | CodeSet | | 107 |
| | CertificationIndicator *<Certfctnlnd>* | [0..1] | Indicator | | 107 |
| | CertificationType *<CertfctnTp>* | [0..1] | ± | | 108 |
| | DeclarationDetails *<DclrtnDtls>* | [0..1] | Text | | 108 |

### 2.4.6.6.6.6.5 BalanceDetails <BalDtls>

*Presence:* [0..*]

*Definition:* Report on the net position of a financial instrument on the sub-account (sub-account level 3), for a certain date. The agent, for example, a trade intermediary, may also be specified.

**BalanceDetails <BalDtls>** contains the following **AggregateHoldingBalance3** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | **BalanceForAccount** *<BalForAcct>* | [1..*] | ± | | 38 |
| | **Agent** *<Agt>* | [0..*] | ± | C9 | 38 |

### 2.4.6.6.6.6.5.1 BalanceForAccount <BalForAcct>

*Presence:* [1..*]

*Definition:* Report on the net position of a financial instrument on the sub-account, for a certain date.

**BalanceForAccount <BalForAcct>** contains the following elements (see "AggregateHoldingBalance1" on page 81 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | FinancialInstrumentIdentification *<FinInstrmId>* | [1..1] | ± | | 81 |
| | HoldingForm *<HldgForm>* | [0..1] | CodeSet | | 82 |
| | HoldingPhysicalType *<HldgPhysTp>* | [0..1] | CodeSet | | 82 |
| | BalanceForFinancialInstrument *<BalForFinInstrm>* | [1..*] | ± | | 82 |
| | SupplementaryData *<SplmtryData>* | [0..*] | ± | | 83 |

### 2.4.6.6.6.6.5.2 Agent <Agt>

*Presence:* [0..*]

*Definition:* Agent of the financial instrument, for example, a trade intermediary.

*Impacted by:* C9 "OrderOriginatorEligibility1Rule"

**Agent <Agt>** contains the following elements (see "Intermediary29" on page 112 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | Identification *<Id>* | [1..1] | ± | | 112 |
| | Role *<Role>* | [1..1] | ± | | 112 |
| | OrderOriginatorEligibility *<OrdrOrgtrElgblty>* | [0..1] | CodeSet | | 112 |
| | SupplementaryData *<SplmtryData>* | [0..*] | ± | | 113 |

**Constraints**

- **OrderOriginatorEligibility1Rule**

  OrderOriginatorEligibility may only be present if Role is either UCL1 or UCL2.

### 2.4.6.6.6.6.6 AccountSubLevel4 <AcctSubLvl4>

*Presence:* [0..*]

*Definition:* Holdings of level 4.

**AccountSubLevel4 <AcctSubLvl4>** contains the following **AccountSubLevel14** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | **AccountIdentification** <AcctId> | [1..1] | ± | | 40 |
| | **AccountOwner** <AcctOwnr> | [1..1] | ± | | 41 |
| | **AccountServicer** <AcctSvcr> | [1..1] | ± | | 41 |
| | **BeneficialOwner** <BnfclOwnr> | [0..*] | ± | | 41 |
| | **BalanceDetails** <BalDtls> | [0..*] | | | 42 |
| | **BalanceForAccount** <BalForAcct> | [1..*] | ± | | 42 |
| | **Agent** <Agt> | [0..*] | ± | C9 | 43 |
| | **AccountSubLevel5** <AcctSubLvl5> | [0..*] | | | 43 |
| | **AccountIdentification** <AcctId> | [1..1] | ± | | 45 |
| | **AccountOwner** <AcctOwnr> | [1..1] | ± | | 45 |
| | **AccountServicer** <AcctSvcr> | [1..1] | ± | | 46 |
| | **BeneficialOwner** <BnfclOwnr> | [0..*] | ± | | 46 |
| | **BalanceDetails** <BalDtls> | [0..*] | | | 47 |
| | **BalanceForAccount** <BalForAcct> | [1..*] | ± | | 47 |
| | **Agent** <Agt> | [0..*] | ± | C9 | 48 |
| | **AccountSubLevel6** <AcctSubLvl6> | [0..*] | | | 48 |
| | **AccountIdentification** <AcctId> | [1..1] | ± | | 50 |
| | **AccountOwner** <AcctOwnr> | [1..1] | ± | | 50 |
| | **AccountServicer** <AcctSvcr> | [1..1] | ± | | 50 |
| | **BeneficialOwner** <BnfclOwnr> | [0..*] | ± | | 51 |
| | **BalanceDetails** <BalDtls> | [0..*] | | | 51 |
| | **BalanceForAccount** <BalForAcct> | [1..*] | ± | | 52 |
| | **Agent** <Agt> | [0..*] | ± | C9 | 52 |
| | **AccountSubLevel7** <AcctSubLvl7> | [0..*] | | | 52 |
| | **AccountIdentification** <AcctId> | [1..1] | ± | | 53 |
| | **AccountOwner** <AcctOwnr> | [1..1] | ± | | 54 |
| | **AccountServicer** <AcctSvcr> | [1..1] | ± | | 54 |
| | **BeneficialOwner** <BnfclOwnr> | [0..*] | ± | | 54 |
| | **BalanceDetails** <BalDtls> | [0..*] | | | 55 |
| | **BalanceForAccount** <BalForAcct> | [1..*] | ± | | 55 |
| | **Agent** <Agt> | [0..*] | ± | C9 | 56 |

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | **AccountSubLevel8** *<AcctSubLvl8>* | [0..*] | | | 56 |
| | **AccountIdentification** *<AcctId>* | [1..1] | ± | | 57 |
| | **AccountOwner** *<AcctOwnr>* | [1..1] | ± | | 57 |
| | **AccountServicer** *<AcctSvcr>* | [1..1] | ± | | 58 |
| | **BeneficialOwner** *<BnfclOwnr>* | [0..*] | ± | | 58 |
| | **BalanceDetails** *<BalDtls>* | [0..*] | | | 59 |
| | **BalanceForAccount** *<BalForAcct>* | [1..*] | ± | | 59 |
| | **Agent** *<Agt>* | [0..*] | ± | C9 | 60 |
| | **AccountSubLevel9** *<AcctSubLvl9>* | [0..*] | | | 60 |
| | **AccountIdentification** *<AcctId>* | [1..1] | ± | | 61 |
| | **AccountOwner** *<AcctOwnr>* | [1..1] | ± | | 61 |
| | **AccountServicer** *<AcctSvcr>* | [1..1] | ± | | 61 |
| | **BeneficialOwner** *<BnfclOwnr>* | [0..*] | ± | | 62 |
| | **BalanceDetails** *<BalDtls>* | [0..*] | | | 62 |
| | **BalanceForAccount** *<BalForAcct>* | [1..*] | ± | | 63 |
| | **Agent** *<Agt>* | [0..*] | ± | C9 | 63 |
| | **SupplementaryData** *<SplmtryData>* | [0..*] | ± | C11 | 63 |
| | **AccountSubLevel9Difference** *<AcctSubLvl9Diff>* | [0..*] | ± | | 64 |
| | **SupplementaryData** *<SplmtryData>* | [0..*] | ± | C11 | 64 |
| | **AccountSubLevel8Difference** *<AcctSubLvl8Diff>* | [0..*] | ± | | 65 |
| | **SupplementaryData** *<SplmtryData>* | [0..*] | ± | C11 | 65 |
| | **AccountSubLevel7Difference** *<AcctSubLvl7Diff>* | [0..*] | ± | | 65 |
| | **SupplementaryData** *<SplmtryData>* | [0..*] | ± | C11 | 66 |
| | **AccountSubLevel6Difference** *<AcctSubLvl6Diff>* | [0..*] | ± | | 66 |
| | **SupplementaryData** *<SplmtryData>* | [0..*] | ± | C11 | 66 |
| | **AccountSubLevel5Difference** *<AcctSubLvl5Diff>* | [0..*] | ± | | 67 |
| | **SupplementaryData** *<SplmtryData>* | [0..*] | ± | C11 | 67 |

### 2.4.6.6.6.6.6.1 AccountIdentification <AcctId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the sub-account between the account owner and the account servicer.

**AccountIdentification <AcctId>** contains the following elements (see "SecuritiesAccount19" on page 78 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|----|----------------------------|-------|------|-------------|------|
|    | Identification *<Id>*      | [1..1] | Text |            | 78   |
|    | Type *<Tp>*                | [0..1] | ±    |            | 78   |
|    | Name *<Nm>*                | [0..1] | Text |            | 78   |

### 2.4.6.6.6.6.2 AccountOwner <AcctOwnr>

*Presence:* [1..1]

*Definition:* Party that legally owns the sub-account.

**AccountOwner <AcctOwnr>** contains the following elements (see "PartyIdentification100" on page 111 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|----|----------------------------|-------|------|-------------|------|
|    | Identification *<Id>*      | [1..1] | ±    |            | 111  |
|    | LEI *<LEI>*                | [0..1] | IdentifierSet |   | 111  |

### 2.4.6.6.6.6.3 AccountServicer <AcctSvcr>

*Presence:* [1..1]

*Definition:* Party that manages the sub-level 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 the following elements (see "PartyIdentification100" on page 111 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|----|----------------------------|-------|------|-------------|------|
|    | Identification *<Id>*      | [1..1] | ±    |            | 111  |
|    | LEI *<LEI>*                | [0..1] | IdentifierSet |   | 111  |

### 2.4.6.6.6.6.4 BeneficialOwner <BnfclOwnr>

*Presence:* [0..*]

*Definition:* Individual or entity that is ultimately entitled to the benefit of income and rights in a financial instrument, as opposed to a nominal or legal owner.

**BeneficialOwner <BnfclOwnr>** contains the following elements (see "BeneficialOwner2" on page 104 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | BeneficialOwnerIdentification *<BnfclOwnrId>* | [1..1] | ± | | 104 |
| | AdditionalIdentification *<AddtlId>* | [0..1] | | | 105 |
| | Identification *<Id>* | [1..1] | Text | | 105 |
| | Type *<Tp>* | [1..1] | | | 105 |
| {Or | Code *<Cd>* | [1..1] | CodeSet | | 105 |
| Or} | Proprietary *<Prtry>* | [1..1] | ± | | 106 |
| | Issuer *<Issr>* | [0..1] | Text | | 107 |
| | IssueDate *<IsseDt>* | [0..1] | Date | | 107 |
| | ExpiryDate *<XpryDt>* | [0..1] | Date | | 107 |
| | IssuerCountry *<IssrCtry>* | [0..1] | CodeSet | | 107 |
| | Nationality *<Ntlty>* | [0..1] | CodeSet | | 107 |
| | DomicileCountry *<DmclCtry>* | [0..1] | CodeSet | | 107 |
| | NonDomicileCountry *<NonDmclCtry>* | [0..1] | CodeSet | | 107 |
| | CertificationIndicator *<CertfctnInd>* | [0..1] | Indicator | | 107 |
| | CertificationType *<CertfctnTp>* | [0..1] | ± | | 108 |
| | DeclarationDetails *<DclrtnDtls>* | [0..1] | Text | | 108 |

### 2.4.6.6.6.6.6.5 BalanceDetails <BalDtls>

*Presence:* [0..*]

*Definition:* Report on the net position of a financial instrument on the sub-account (sub-account level 4), for a certain date. The agent, for example, a trade intermediary, may also be specified.

**BalanceDetails <BalDtls>** contains the following **AggregateHoldingBalance3** elements

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | **BalanceForAccount** *<BalForAcct>* | [1..*] | ± | | 42 |
| | **Agent** *<Agt>* | [0..*] | ± | C9 | 43 |

### 2.4.6.6.6.6.6.5.1 BalanceForAccount <BalForAcct>

*Presence:* [1..*]

*Definition:* Report on the net position of a financial instrument on the sub-account, for a certain date.

**BalanceForAccount <BalForAcct>** contains the following elements (see "AggregateHoldingBalance1" on page 81 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | FinancialInstrumentIdentification *<FinInstrmId>* | [1..1] | ± | | 81 |
| | HoldingForm *<HldgForm>* | [0..1] | CodeSet | | 82 |
| | HoldingPhysicalType *<HldgPhysTp>* | [0..1] | CodeSet | | 82 |
| | BalanceForFinancialInstrument *<BalForFinInstrm>* | [1..*] | ± | | 82 |
| | SupplementaryData *<SplmtryData>* | [0..*] | ± | | 83 |

### 2.4.6.6.6.6.6.5.2  Agent <Agt>

*Presence:* [0..*]

*Definition:* Agent of the financial instrument, for example, a trade intermediary.

*Impacted by:* C9 "OrderOriginatorEligibility1Rule"

**Agent <Agt>** contains the following elements (see "Intermediary29" on page 112 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | Identification *<Id>* | [1..1] | ± | | 112 |
| | Role *<Role>* | [1..1] | ± | | 112 |
| | OrderOriginatorEligibility *<OrdrOrgtrElgblty>* | [0..1] | CodeSet | | 112 |
| | SupplementaryData *<SplmtryData>* | [0..*] | ± | | 113 |

**Constraints**

- **OrderOriginatorEligibility1Rule**

  OrderOriginatorEligibility may only be present if Role is either UCL1 or UCL2.

### 2.4.6.6.6.6.6.6  AccountSubLevel5 <AcctSubLvl5>

*Presence:* [0..*]

*Definition:* Holdings of level 5.

**AccountSubLevel5 <AcctSubLvl5>** contains the following **AccountSubLevel15** elements

| Or | MessageElement<*XML Tag*> | Mult. | Type | Constr. No. | Page |
|----|---------------------------|-------|------|-------------|------|
| | **AccountIdentification** <*AcctId*> | [1..1] | ± | | 45 |
| | **AccountOwner** <*AcctOwnr*> | [1..1] | ± | | 45 |
| | **AccountServicer** <*AcctSvcr*> | [1..1] | ± | | 46 |
| | **BeneficialOwner** <*BnfclOwnr*> | [0..*] | ± | | 46 |
| | **BalanceDetails** <*BalDtls*> | [0..*] | | | 47 |
| | **BalanceForAccount** <*BalForAcct*> | [1..*] | ± | | 47 |
| | **Agent** <*Agt*> | [0..*] | ± | C9 | 48 |
| | **AccountSubLevel6** <*AcctSubLvl6*> | [0..*] | | | 48 |
| | **AccountIdentification** <*AcctId*> | [1..1] | ± | | 50 |
| | **AccountOwner** <*AcctOwnr*> | [1..1] | ± | | 50 |
| | **AccountServicer** <*AcctSvcr*> | [1..1] | ± | | 50 |
| | **BeneficialOwner** <*BnfclOwnr*> | [0..*] | ± | | 51 |
| | **BalanceDetails** <*BalDtls*> | [0..*] | | | 51 |
| | **BalanceForAccount** <*BalForAcct*> | [1..*] | ± | | 52 |
| | **Agent** <*Agt*> | [0..*] | ± | C9 | 52 |
| | **AccountSubLevel7** <*AcctSubLvl7*> | [0..*] | | | 52 |
| | **AccountIdentification** <*AcctId*> | [1..1] | ± | | 53 |
| | **AccountOwner** <*AcctOwnr*> | [1..1] | ± | | 54 |
| | **AccountServicer** <*AcctSvcr*> | [1..1] | ± | | 54 |
| | **BeneficialOwner** <*BnfclOwnr*> | [0..*] | ± | | 54 |
| | **BalanceDetails** <*BalDtls*> | [0..*] | | | 55 |
| | **BalanceForAccount** <*BalForAcct*> | [1..*] | ± | | 55 |
| | **Agent** <*Agt*> | [0..*] | ± | C9 | 56 |
| | **AccountSubLevel8** <*AcctSubLvl8*> | [0..*] | | | 56 |
| | **AccountIdentification** <*AcctId*> | [1..1] | ± | | 57 |
| | **AccountOwner** <*AcctOwnr*> | [1..1] | ± | | 57 |
| | **AccountServicer** <*AcctSvcr*> | [1..1] | ± | | 58 |
| | **BeneficialOwner** <*BnfclOwnr*> | [0..*] | ± | | 58 |
| | **BalanceDetails** <*BalDtls*> | [0..*] | | | 59 |
| | **BalanceForAccount** <*BalForAcct*> | [1..*] | ± | | 59 |
| | **Agent** <*Agt*> | [0..*] | ± | C9 | 60 |

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | **AccountSubLevel9** *<AcctSubLvl9>* | [0..*] | | | 60 |
| | **AccountIdentification** *<AcctId>* | [1..1] | ± | | 61 |
| | **AccountOwner** *<AcctOwnr>* | [1..1] | ± | | 61 |
| | **AccountServicer** *<AcctSvcr>* | [1..1] | ± | | 61 |
| | **BeneficialOwner** *<BnfclOwnr>* | [0..*] | ± | | 62 |
| | **BalanceDetails** *<BalDtls>* | [0..*] | | | 62 |
| | **BalanceForAccount** *<BalForAcct>* | [1..*] | ± | | 63 |
| | **Agent** *<Agt>* | [0..*] | ± | C9 | 63 |
| | **SupplementaryData** *<SplmtryData>* | [0..*] | ± | C11 | 63 |
| | **AccountSubLevel9Difference** *<AcctSubLvl9Diff>* | [0..*] | ± | | 64 |
| | **SupplementaryData** *<SplmtryData>* | [0..*] | ± | C11 | 64 |
| | **AccountSubLevel8Difference** *<AcctSubLvl8Diff>* | [0..*] | ± | | 65 |
| | **SupplementaryData** *<SplmtryData>* | [0..*] | ± | C11 | 65 |
| | **AccountSubLevel7Difference** *<AcctSubLvl7Diff>* | [0..*] | ± | | 65 |
| | **SupplementaryData** *<SplmtryData>* | [0..*] | ± | C11 | 66 |
| | **AccountSubLevel6Difference** *<AcctSubLvl6Diff>* | [0..*] | ± | | 66 |
| | **SupplementaryData** *<SplmtryData>* | [0..*] | ± | C11 | 66 |

### 2.4.6.6.6.6.6.6.1 AccountIdentification <AcctId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the sub-account between the account owner and the account servicer.

**AccountIdentification <AcctId>** contains the following elements (see "SecuritiesAccount19" on page 78 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | Identification *<Id>* | [1..1] | Text | | 78 |
| | Type *<Tp>* | [0..1] | ± | | 78 |
| | Name *<Nm>* | [0..1] | Text | | 78 |

### 2.4.6.6.6.6.6.6.2 AccountOwner <AcctOwnr>

*Presence:* [1..1]

*Definition:* Party that legally owns the sub-account.

**AccountOwner <AcctOwnr>** contains the following elements (see "PartyIdentification100" on page 111 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | Identification *<Id>* | [1..1] | ± | | 111 |
| | LEI *<LEI>* | [0..1] | IdentifierSet | | 111 |

### 2.4.6.6.6.6.6.6.3 AccountServicer <AcctSvcr>

*Presence:* [1..1]

*Definition:* Party that manages the sub-level 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 the following elements (see "PartyIdentification100" on page 111 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | Identification *<Id>* | [1..1] | ± | | 111 |
| | LEI *<LEI>* | [0..1] | IdentifierSet | | 111 |

### 2.4.6.6.6.6.6.6.4 BeneficialOwner <BnfclOwnr>

*Presence:* [0..*]

*Definition:* Individual or entity that is ultimately entitled to the benefit of income and rights in a financial instrument, as opposed to a nominal or legal owner.

**BeneficialOwner <BnfclOwnr>** contains the following elements (see "BeneficialOwner2" on page 104 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | BeneficialOwnerIdentification <BnfclOwnrId> | [1..1] | ± | | 104 |
| | AdditionalIdentification <AddtlId> | [0..1] | | | 105 |
| | Identification <Id> | [1..1] | Text | | 105 |
| | Type <Tp> | [1..1] | | | 105 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 105 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 106 |
| | Issuer <Issr> | [0..1] | Text | | 107 |
| | IssueDate <IsseDt> | [0..1] | Date | | 107 |
| | ExpiryDate <XpryDt> | [0..1] | Date | | 107 |
| | IssuerCountry <IssrCtry> | [0..1] | CodeSet | | 107 |
| | Nationality <Ntlty> | [0..1] | CodeSet | | 107 |
| | DomicileCountry <DmclCtry> | [0..1] | CodeSet | | 107 |
| | NonDomicileCountry <NonDmclCtry> | [0..1] | CodeSet | | 107 |
| | CertificationIndicator <CertfctnInd> | [0..1] | Indicator | | 107 |
| | CertificationType <CertfctnTp> | [0..1] | ± | | 108 |
| | DeclarationDetails <DclrtnDtls> | [0..1] | Text | | 108 |

### 2.4.6.6.6.6.6.6.5 BalanceDetails <BalDtls>

*Presence:* [0..*]

*Definition:* Report on the net position of a financial instrument on the sub-account (sub-account level 5), for a certain date. The agent, for example, a trade intermediary, may also be specified.

**BalanceDetails <BalDtls>** contains the following **AggregateHoldingBalance3** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | **BalanceForAccount** <BalForAcct> | [1..*] | ± | | 47 |
| | **Agent** <Agt> | [0..*] | ± | C9 | 48 |

### 2.4.6.6.6.6.6.6.5.1 BalanceForAccount <BalForAcct>

*Presence:* [1..*]

*Definition:* Report on the net position of a financial instrument on the sub-account, for a certain date.

**BalanceForAccount <BalForAcct>** contains the following elements (see "AggregateHoldingBalance1" on page 81 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|----|---------------------------|-------|------|-------------|------|
| | FinancialInstrumentIdentification *<FinInstrmId>* | [1..1] | ± | | 81 |
| | HoldingForm *<HldgForm>* | [0..1] | CodeSet | | 82 |
| | HoldingPhysicalType *<HldgPhysTp>* | [0..1] | CodeSet | | 82 |
| | BalanceForFinancialInstrument *<BalForFinInstrm>* | [1..*] | ± | | 82 |
| | SupplementaryData *<SplmtryData>* | [0..*] | ± | | 83 |

### 2.4.6.6.6.6.6.6.5.2  Agent <Agt>

*Presence:* [0..*]

*Definition:* Agent of the financial instrument, for example, a trade intermediary.

*Impacted by:* C9 "OrderOriginatorEligibility1Rule"

**Agent <Agt>** contains the following elements (see "Intermediary29" on page 112 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|----|---------------------------|-------|------|-------------|------|
| | Identification *<Id>* | [1..1] | ± | | 112 |
| | Role *<Role>* | [1..1] | ± | | 112 |
| | OrderOriginatorEligibility *<OrdrOrgtrElgblty>* | [0..1] | CodeSet | | 112 |
| | SupplementaryData *<SplmtryData>* | [0..*] | ± | | 113 |

**Constraints**

- **OrderOriginatorEligibility1Rule**

  OrderOriginatorEligibility may only be present if Role is either UCL1 or UCL2.

### 2.4.6.6.6.6.6.6.6  AccountSubLevel6 <AcctSubLvl6>

*Presence:* [0..*]

*Definition:* Holdings of level 5.

**AccountSubLevel6 <AcctSubLvl6>** contains the following **AccountSubLevel16** elements

| Or | MessageElement<*XML Tag*> | Mult. | Type | Constr. No. | Page |
|----|---------------------------|-------|------|-------------|------|
| | **AccountIdentification** <*AcctId*> | [1..1] | ± | | 50 |
| | **AccountOwner** <*AcctOwnr*> | [1..1] | ± | | 50 |
| | **AccountServicer** <*AcctSvcr*> | [1..1] | ± | | 50 |
| | **BeneficialOwner** <*BnfclOwnr*> | [0..*] | ± | | 51 |
| | **BalanceDetails** <*BalDtls*> | [0..*] | | | 51 |
| | **BalanceForAccount** <*BalForAcct*> | [1..*] | ± | | 52 |
| | **Agent** <*Agt*> | [0..*] | ± | C9 | 52 |
| | **AccountSubLevel7** <*AcctSubLvl7*> | [0..*] | | | 52 |
| | **AccountIdentification** <*AcctId*> | [1..1] | ± | | 53 |
| | **AccountOwner** <*AcctOwnr*> | [1..1] | ± | | 54 |
| | **AccountServicer** <*AcctSvcr*> | [1..1] | ± | | 54 |
| | **BeneficialOwner** <*BnfclOwnr*> | [0..*] | ± | | 54 |
| | **BalanceDetails** <*BalDtls*> | [0..*] | | | 55 |
| | **BalanceForAccount** <*BalForAcct*> | [1..*] | ± | | 55 |
| | **Agent** <*Agt*> | [0..*] | ± | C9 | 56 |
| | **AccountSubLevel8** <*AcctSubLvl8*> | [0..*] | | | 56 |
| | **AccountIdentification** <*AcctId*> | [1..1] | ± | | 57 |
| | **AccountOwner** <*AcctOwnr*> | [1..1] | ± | | 57 |
| | **AccountServicer** <*AcctSvcr*> | [1..1] | ± | | 58 |
| | **BeneficialOwner** <*BnfclOwnr*> | [0..*] | ± | | 58 |
| | **BalanceDetails** <*BalDtls*> | [0..*] | | | 59 |
| | **BalanceForAccount** <*BalForAcct*> | [1..*] | ± | | 59 |
| | **Agent** <*Agt*> | [0..*] | ± | C9 | 60 |
| | **AccountSubLevel9** <*AcctSubLvl9*> | [0..*] | | | 60 |
| | **AccountIdentification** <*AcctId*> | [1..1] | ± | | 61 |
| | **AccountOwner** <*AcctOwnr*> | [1..1] | ± | | 61 |
| | **AccountServicer** <*AcctSvcr*> | [1..1] | ± | | 61 |
| | **BeneficialOwner** <*BnfclOwnr*> | [0..*] | ± | | 62 |
| | **BalanceDetails** <*BalDtls*> | [0..*] | | | 62 |
| | **BalanceForAccount** <*BalForAcct*> | [1..*] | ± | | 63 |
| | **Agent** <*Agt*> | [0..*] | ± | C9 | 63 |

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|----|---------------------------|-------|------|-------------|------|
| | **SupplementaryData** *<SplmtryData>* | [0..*] | ± | C11 | 63 |
| | **AccountSubLevel9Difference** *<AcctSubLvl9Diff>* | [0..*] | ± | | 64 |
| | **SupplementaryData** *<SplmtryData>* | [0..*] | ± | C11 | 64 |
| | **AccountSubLevel8Difference** *<AcctSubLvl8Diff>* | [0..*] | ± | | 65 |
| | **SupplementaryData** *<SplmtryData>* | [0..*] | ± | C11 | 65 |
| | **AccountSubLevel7Difference** *<AcctSubLvl7Diff>* | [0..*] | ± | | 65 |
| | **SupplementaryData** *<SplmtryData>* | [0..*] | ± | C11 | 66 |

### 2.4.6.6.6.6.6.6.6.1 AccountIdentification <AcctId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the sub-account between the account owner and the account servicer.

**AccountIdentification <AcctId>** contains the following elements (see "SecuritiesAccount19" on page 78 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|----|---------------------------|-------|------|-------------|------|
| | Identification *<Id>* | [1..1] | Text | | 78 |
| | Type *<Tp>* | [0..1] | ± | | 78 |
| | Name *<Nm>* | [0..1] | Text | | 78 |

### 2.4.6.6.6.6.6.6.6.2 AccountOwner <AcctOwnr>

*Presence:* [1..1]

*Definition:* Party that legally owns the sub-account.

**AccountOwner <AcctOwnr>** contains the following elements (see "PartyIdentification100" on page 111 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|----|---------------------------|-------|------|-------------|------|
| | Identification *<Id>* | [1..1] | ± | | 111 |
| | LEI *<LEI>* | [0..1] | IdentifierSet | | 111 |

### 2.4.6.6.6.6.6.6.6.3 AccountServicer <AcctSvcr>

*Presence:* [1..1]

*Definition:* Party that manages the sub-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 the following elements (see "PartyIdentification100" on page 111 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | Identification <Id> | [1..1] | ± | | 111 |
| | LEI <LEI> | [0..1] | IdentifierSet | | 111 |

### 2.4.6.6.6.6.6.6.4 BeneficialOwner <BnfclOwnr>

*Presence:* [0..*]

*Definition:* Individual or entity that is ultimately entitled to the benefit of income and rights in a financial instrument, as opposed to a nominal or legal owner.

**BeneficialOwner <BnfclOwnr>** contains the following elements (see "BeneficialOwner2" on page 104 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | BeneficialOwnerIdentification <BnfclOwnrId> | [1..1] | ± | | 104 |
| | AdditionalIdentification <AddtlId> | [0..1] | | | 105 |
| | Identification <Id> | [1..1] | Text | | 105 |
| | Type <Tp> | [1..1] | | | 105 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 105 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 106 |
| | Issuer <Issr> | [0..1] | Text | | 107 |
| | IssueDate <IsseDt> | [0..1] | Date | | 107 |
| | ExpiryDate <XpryDt> | [0..1] | Date | | 107 |
| | IssuerCountry <IssrCtry> | [0..1] | CodeSet | | 107 |
| | Nationality <Ntlty> | [0..1] | CodeSet | | 107 |
| | DomicileCountry <DmclCtry> | [0..1] | CodeSet | | 107 |
| | NonDomicileCountry <NonDmclCtry> | [0..1] | CodeSet | | 107 |
| | CertificationIndicator <Certfctnlnd> | [0..1] | Indicator | | 107 |
| | CertificationType <CertfctnTp> | [0..1] | ± | | 108 |
| | DeclarationDetails <DclrtnDtls> | [0..1] | Text | | 108 |

### 2.4.6.6.6.6.6.6.5 BalanceDetails <BalDtls>

*Presence:* [0..*]

*Definition:* Report on the net position of a financial instrument on the sub-account (sub-account level 6), for a certain date. The agent, for example, a trade intermediary, may also be specified.

**BalanceDetails <BalDtls>** contains the following **AggregateHoldingBalance3** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | **BalanceForAccount** <BalForAcct> | [1..*] | ± | | 52 |
| | **Agent** <Agt> | [0..*] | ± | C9 | 52 |

### 2.4.6.6.6.6.6.6.5.1 BalanceForAccount <BalForAcct>

*Presence:* [1..*]

*Definition:* Report on the net position of a financial instrument on the sub-account, for a certain date.

**BalanceForAccount <BalForAcct>** contains the following elements (see "AggregateHoldingBalance1" on page 81 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | FinancialInstrumentIdentification <FinInstrmId> | [1..1] | ± | | 81 |
| | HoldingForm <HldgForm> | [0..1] | CodeSet | | 82 |
| | HoldingPhysicalType <HldgPhysTp> | [0..1] | CodeSet | | 82 |
| | BalanceForFinancialInstrument <BalForFinInstrm> | [1..*] | ± | | 82 |
| | SupplementaryData <SplmtryData> | [0..*] | ± | | 83 |

### 2.4.6.6.6.6.6.6.5.2 Agent <Agt>

*Presence:* [0..*]

*Definition:* Agent of the financial instrument, for example, a trade intermediary.

*Impacted by:* C9 "OrderOriginatorEligibility1Rule"

**Agent <Agt>** contains the following elements (see "Intermediary29" on page 112 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | Identification <Id> | [1..1] | ± | | 112 |
| | Role <Role> | [1..1] | ± | | 112 |
| | OrderOriginatorEligibility <OrdrOrgtrElgblty> | [0..1] | CodeSet | | 112 |
| | SupplementaryData <SplmtryData> | [0..*] | ± | | 113 |

**Constraints**

- **OrderOriginatorEligibility1Rule**

  OrderOriginatorEligibility may only be present if Role is either UCL1 or UCL2.

### 2.4.6.6.6.6.6.6.6 AccountSubLevel7 <AcctSubLvl7>

*Presence:* [0..*]

*Definition:* Holdings of level 7.

**AccountSubLevel7 <AcctSubLvl7>** contains the following **AccountSubLevel17** elements

| Or | MessageElement<*XML Tag*> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | **AccountIdentification** <*AcctId*> | [1..1] | ± | | 53 |
| | **AccountOwner** <*AcctOwnr*> | [1..1] | ± | | 54 |
| | **AccountServicer** <*AcctSvcr*> | [1..1] | ± | | 54 |
| | **BeneficialOwner** <*BnfclOwnr*> | [0..*] | ± | | 54 |
| | **BalanceDetails** <*BalDtls*> | [0..*] | | | 55 |
| | **BalanceForAccount** <*BalForAcct*> | [1..*] | ± | | 55 |
| | **Agent** <*Agt*> | [0..*] | ± | C9 | 56 |
| | **AccountSubLevel8** <*AcctSubLvl8*> | [0..*] | | | 56 |
| | **AccountIdentification** <*AcctId*> | [1..1] | ± | | 57 |
| | **AccountOwner** <*AcctOwnr*> | [1..1] | ± | | 57 |
| | **AccountServicer** <*AcctSvcr*> | [1..1] | ± | | 58 |
| | **BeneficialOwner** <*BnfclOwnr*> | [0..*] | ± | | 58 |
| | **BalanceDetails** <*BalDtls*> | [0..*] | | | 59 |
| | **BalanceForAccount** <*BalForAcct*> | [1..*] | ± | | 59 |
| | **Agent** <*Agt*> | [0..*] | ± | C9 | 60 |
| | **AccountSubLevel9** <*AcctSubLvl9*> | [0..*] | | | 60 |
| | **AccountIdentification** <*AcctId*> | [1..1] | ± | | 61 |
| | **AccountOwner** <*AcctOwnr*> | [1..1] | ± | | 61 |
| | **AccountServicer** <*AcctSvcr*> | [1..1] | ± | | 61 |
| | **BeneficialOwner** <*BnfclOwnr*> | [0..*] | ± | | 62 |
| | **BalanceDetails** <*BalDtls*> | [0..*] | | | 62 |
| | **BalanceForAccount** <*BalForAcct*> | [1..*] | ± | | 63 |
| | **Agent** <*Agt*> | [0..*] | ± | C9 | 63 |
| | **SupplementaryData** <*SplmtryData*> | [0..*] | ± | C11 | 63 |
| | **AccountSubLevel9Difference** <*AcctSubLvl9Diff*> | [0..*] | ± | | 64 |
| | **SupplementaryData** <*SplmtryData*> | [0..*] | ± | C11 | 64 |
| | **AccountSubLevel8Difference** <*AcctSubLvl8Diff*> | [0..*] | ± | | 65 |
| | **SupplementaryData** <*SplmtryData*> | [0..*] | ± | C11 | 65 |

### 2.4.6.6.6.6.6.6.6.6.1 AccountIdentification <AcctId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the sub-account between the account owner and the account servicer.

**AccountIdentification <AcctId>** contains the following elements (see "SecuritiesAccount19" on page 78 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|-------|------|-------------|------|
| | Identification *<Id>* | [1..1] | Text | | 78 |
| | Type *<Tp>* | [0..1] | ± | | 78 |
| | Name *<Nm>* | [0..1] | Text | | 78 |

### 2.4.6.6.6.6.6.6.6.2 AccountOwner <AcctOwnr>

*Presence:* [1..1]

*Definition:* Party that legally owns the sub-account.

**AccountOwner <AcctOwnr>** contains the following elements (see "PartyIdentification100" on page 111 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|-------|------|-------------|------|
| | Identification *<Id>* | [1..1] | ± | | 111 |
| | LEI *<LEI>* | [0..1] | IdentifierSet | | 111 |

### 2.4.6.6.6.6.6.6.6.3 AccountServicer <AcctSvcr>

*Presence:* [1..1]

*Definition:* Party that manages the sub-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 the following elements (see "PartyIdentification100" on page 111 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|-------|------|-------------|------|
| | Identification *<Id>* | [1..1] | ± | | 111 |
| | LEI *<LEI>* | [0..1] | IdentifierSet | | 111 |

### 2.4.6.6.6.6.6.6.6.4 BeneficialOwner <BnfclOwnr>

*Presence:* [0..*]

*Definition:* Individual or entity that is ultimately entitled to the benefit of income and rights in a financial instrument, as opposed to a nominal or legal owner.

**BeneficialOwner <BnfclOwnr>** contains the following elements (see "BeneficialOwner2" on page 104 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | BeneficialOwnerIdentification <BnfclOwnrId> | [1..1] | ± | | 104 |
| | AdditionalIdentification <AddtlId> | [0..1] | | | 105 |
| |   Identification <Id> | [1..1] | Text | | 105 |
| |   Type <Tp> | [1..1] | | | 105 |
| {Or |    Code <Cd> | [1..1] | CodeSet | | 105 |
| Or} |    Proprietary <Prtry> | [1..1] | ± | | 106 |
| |   Issuer <Issr> | [0..1] | Text | | 107 |
| |   IssueDate <IsseDt> | [0..1] | Date | | 107 |
| |   ExpiryDate <XpryDt> | [0..1] | Date | | 107 |
| |   IssuerCountry <IssrCtry> | [0..1] | CodeSet | | 107 |
| | Nationality <Ntlty> | [0..1] | CodeSet | | 107 |
| | DomicileCountry <DmclCtry> | [0..1] | CodeSet | | 107 |
| | NonDomicileCountry <NonDmclCtry> | [0..1] | CodeSet | | 107 |
| | CertificationIndicator <CertfctnInd> | [0..1] | Indicator | | 107 |
| | CertificationType <CertfctnTp> | [0..1] | ± | | 108 |
| | DeclarationDetails <DclrtnDtls> | [0..1] | Text | | 108 |

### 2.4.6.6.6.6.6.6.6.6.5  BalanceDetails <BalDtls>

*Presence:* [0..*]

*Definition:* Report on the net position of a financial instrument on the sub-account (sub-account level 7), for a certain date. The agent, for example, a trade intermediary, may also be specified.

**BalanceDetails <BalDtls>** contains the following **AggregateHoldingBalance3** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | **BalanceForAccount** <BalForAcct> | [1..*] | ± | | 55 |
| | **Agent** <Agt> | [0..*] | ± | C9 | 56 |

### 2.4.6.6.6.6.6.6.6.6.5.1  BalanceForAccount <BalForAcct>

*Presence:* [1..*]

*Definition:* Report on the net position of a financial instrument on the sub-account, for a certain date.

**BalanceForAccount <BalForAcct>** contains the following elements (see "AggregateHoldingBalance1" on page 81 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|------------------------|-------|------|-------------|------|
| | FinancialInstrumentIdentification *<FinInstrmId>* | [1..1] | ± | | 81 |
| | HoldingForm *<HldgForm>* | [0..1] | CodeSet | | 82 |
| | HoldingPhysicalType *<HldgPhysTp>* | [0..1] | CodeSet | | 82 |
| | BalanceForFinancialInstrument *<BalForFinInstrm>* | [1..*] | ± | | 82 |
| | SupplementaryData *<SplmtryData>* | [0..*] | ± | | 83 |

### 2.4.6.6.6.6.6.6.6.6.5.2  Agent <Agt>

*Presence:* [0..*]

*Definition:* Agent of the financial instrument, for example, a trade intermediary.

*Impacted by:* C9 "OrderOriginatorEligibility1Rule"

**Agent <Agt>** contains the following elements (see "Intermediary29" on page 112 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|------------------------|-------|------|-------------|------|
| | Identification *<Id>* | [1..1] | ± | | 112 |
| | Role *<Role>* | [1..1] | ± | | 112 |
| | OrderOriginatorEligibility *<OrdrOrgtrElgblty>* | [0..1] | CodeSet | | 112 |
| | SupplementaryData *<SplmtryData>* | [0..*] | ± | | 113 |

**Constraints**

- **OrderOriginatorEligibility1Rule**

  OrderOriginatorEligibility may only be present if Role is either UCL1 or UCL2.

### 2.4.6.6.6.6.6.6.6.6.6  AccountSubLevel8 <AcctSubLvl8>

*Presence:* [0..*]

*Definition:* Holdings of level 8.

**AccountSubLevel8 <AcctSubLvl8>** contains the following **AccountSubLevel18** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | **AccountIdentification** <AcctId> | [1..1] | ± | | 57 |
| | **AccountOwner** <AcctOwnr> | [1..1] | ± | | 57 |
| | **AccountServicer** <AcctSvcr> | [1..1] | ± | | 58 |
| | **BeneficialOwner** <BnfclOwnr> | [0..*] | ± | | 58 |
| | **BalanceDetails** <BalDtls> | [0..*] | | | 59 |
| | **BalanceForAccount** <BalForAcct> | [1..*] | ± | | 59 |
| | **Agent** <Agt> | [0..*] | ± | C9 | 60 |
| | **AccountSubLevel9** <AcctSubLvl9> | [0..*] | | | 60 |
| | **AccountIdentification** <AcctId> | [1..1] | ± | | 61 |
| | **AccountOwner** <AcctOwnr> | [1..1] | ± | | 61 |
| | **AccountServicer** <AcctSvcr> | [1..1] | ± | | 61 |
| | **BeneficialOwner** <BnfclOwnr> | [0..*] | ± | | 62 |
| | **BalanceDetails** <BalDtls> | [0..*] | | | 62 |
| | **BalanceForAccount** <BalForAcct> | [1..*] | ± | | 63 |
| | **Agent** <Agt> | [0..*] | ± | C9 | 63 |
| | **SupplementaryData** <SplmtryData> | [0..*] | ± | C11 | 63 |
| | **AccountSubLevel9Difference** <AcctSubLvl9Diff> | [0..*] | ± | | 64 |
| | **SupplementaryData** <SplmtryData> | [0..*] | ± | C11 | 64 |

### 2.4.6.6.6.6.6.6.6.6.6.1 AccountIdentification <AcctId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the sub-account between the account owner and the account servicer.

**AccountIdentification <AcctId>** contains the following elements (see "SecuritiesAccount19" on page 78 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | Identification <Id> | [1..1] | Text | | 78 |
| | Type <Tp> | [0..1] | ± | | 78 |
| | Name <Nm> | [0..1] | Text | | 78 |

### 2.4.6.6.6.6.6.6.6.6.6.2 AccountOwner <AcctOwnr>

*Presence:* [1..1]

*Definition:* Party that legally owns the sub-account.

**AccountOwner <AcctOwnr>** contains the following elements (see "PartyIdentification100" on page 111 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | Identification *<Id>* | [1..1] | ± | | 111 |
| | LEI *<LEI>* | [0..1] | IdentifierSet | | 111 |

### 2.4.6.6.6.6.6.6.6.6.3 AccountServicer <AcctSvcr>

*Presence:* [1..1]

*Definition:* Party that manages the sub-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 the following elements (see "PartyIdentification100" on page 111 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | Identification *<Id>* | [1..1] | ± | | 111 |
| | LEI *<LEI>* | [0..1] | IdentifierSet | | 111 |

### 2.4.6.6.6.6.6.6.6.6.4 BeneficialOwner <BnfclOwnr>

*Presence:* [0..*]

*Definition:* Individual or entity that is ultimately entitled to the benefit of income and rights in a financial instrument, as opposed to a nominal or legal owner.

**BeneficialOwner <BnfclOwnr>** contains the following elements (see "BeneficialOwner2" on page 104 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | BeneficialOwnerIdentification *<BnfclOwnrId>* | [1..1] | ± | | 104 |
| | AdditionalIdentification *<AddtlId>* | [0..1] | | | 105 |
| | Identification *<Id>* | [1..1] | Text | | 105 |
| | Type *<Tp>* | [1..1] | | | 105 |
| {Or | Code *<Cd>* | [1..1] | CodeSet | | 105 |
| Or} | Proprietary *<Prtry>* | [1..1] | ± | | 106 |
| | Issuer *<Issr>* | [0..1] | Text | | 107 |
| | IssueDate *<IsseDt>* | [0..1] | Date | | 107 |
| | ExpiryDate *<XpryDt>* | [0..1] | Date | | 107 |
| | IssuerCountry *<IssrCtry>* | [0..1] | CodeSet | | 107 |
| | Nationality *<Ntlty>* | [0..1] | CodeSet | | 107 |
| | DomicileCountry *<DmclCtry>* | [0..1] | CodeSet | | 107 |
| | NonDomicileCountry *<NonDmclCtry>* | [0..1] | CodeSet | | 107 |
| | CertificationIndicator *<CertfctnInd>* | [0..1] | Indicator | | 107 |
| | CertificationType *<CertfctnTp>* | [0..1] | ± | | 108 |
| | DeclarationDetails *<DclrtnDtls>* | [0..1] | Text | | 108 |

### 2.4.6.6.6.6.6.6.6.6.5  BalanceDetails <BalDtls>

*Presence:* [0..*]

*Definition:* Report on the net position of a financial instrument on the sub-account (sub-account level 8), for a certain date. The agent, for example, a trade intermediary, may also be specified.

**BalanceDetails <BalDtls>** contains the following **AggregateHoldingBalance3** elements

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | **BalanceForAccount** *<BalForAcct>* | [1..*] | ± | | 59 |
| | **Agent** *<Agt>* | [0..*] | ± | C9 | 60 |

### 2.4.6.6.6.6.6.6.6.6.5.1  BalanceForAccount <BalForAcct>

*Presence:* [1..*]

*Definition:* Report on the net position of a financial instrument on the sub-account, for a certain date.

**BalanceForAccount <BalForAcct>** contains the following elements (see "AggregateHoldingBalance1" on page 81 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | FinancialInstrumentIdentification <FinInstrmId> | [1..1] | ± | | 81 |
| | HoldingForm <HldgForm> | [0..1] | CodeSet | | 82 |
| | HoldingPhysicalType <HldgPhysTp> | [0..1] | CodeSet | | 82 |
| | BalanceForFinancialInstrument <BalForFinInstrm> | [1..*] | ± | | 82 |
| | SupplementaryData <SplmtryData> | [0..*] | ± | | 83 |

### 2.4.6.6.6.6.6.6.6.6.6.5.2  Agent <Agt>

*Presence:* [0..*]

*Definition:* Agent of the financial instrument, for example, a trade intermediary.

*Impacted by:* C9 "OrderOriginatorEligibility1Rule"

**Agent <Agt>** contains the following elements (see "Intermediary29" on page 112 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | Identification <Id> | [1..1] | ± | | 112 |
| | Role <Role> | [1..1] | ± | | 112 |
| | OrderOriginatorEligibility <OrdrOrgtrElgblty> | [0..1] | CodeSet | | 112 |
| | SupplementaryData <SplmtryData> | [0..*] | ± | | 113 |

**Constraints**

- **OrderOriginatorEligibility1Rule**

  OrderOriginatorEligibility may only be present if Role is either UCL1 or UCL2.

### 2.4.6.6.6.6.6.6.6.6.6.6  AccountSubLevel9 <AcctSubLvl9>

*Presence:* [0..*]

*Definition:* Holdings of level 9.

**AccountSubLevel9 <AcctSubLvl9>** contains the following **AccountSubLevel19** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|-------|------|-------------|------|
| | **AccountIdentification** <AcctId> | [1..1] | ± | | 61 |
| | **AccountOwner** <AcctOwnr> | [1..1] | ± | | 61 |
| | **AccountServicer** <AcctSvcr> | [1..1] | ± | | 61 |
| | **BeneficialOwner** <BnfclOwnr> | [0..*] | ± | | 62 |
| | **BalanceDetails** <BalDtls> | [0..*] | | | 62 |
| | **BalanceForAccount** <BalForAcct> | [1..*] | ± | | 63 |
| | **Agent** <Agt> | [0..*] | ± | C9 | 63 |
| | **SupplementaryData** <SplmtryData> | [0..*] | ± | C11 | 63 |

### 2.4.6.6.6.6.6.6.6.6.6.6.1  AccountIdentification <AcctId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the sub-account between the account owner and the account servicer.

**AccountIdentification <AcctId>** contains the following elements (see "SecuritiesAccount19" on page 78 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|-------|------|-------------|------|
| | Identification <Id> | [1..1] | Text | | 78 |
| | Type <Tp> | [0..1] | ± | | 78 |
| | Name <Nm> | [0..1] | Text | | 78 |

### 2.4.6.6.6.6.6.6.6.6.6.6.2  AccountOwner <AcctOwnr>

*Presence:* [1..1]

*Definition:* Party that legally owns the sub-account.

**AccountOwner <AcctOwnr>** contains the following elements (see "PartyIdentification100" on page 111 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|-------|------|-------------|------|
| | Identification <Id> | [1..1] | ± | | 111 |
| | LEI <LEI> | [0..1] | IdentifierSet | | 111 |

### 2.4.6.6.6.6.6.6.6.6.6.6.3  AccountServicer <AcctSvcr>

*Presence:* [1..1]

*Definition:* Party that manages the sub-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 the following elements (see "PartyIdentification100" on page 111 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | Identification <Id> | [1..1] | ± | | 111 |
| | LEI <LEI> | [0..1] | IdentifierSet | | 111 |

### 2.4.6.6.6.6.6.6.6.6.6.6.4 BeneficialOwner <BnfclOwnr>

*Presence:* [0..*]

*Definition:* Individual or entity that is ultimately entitled to the benefit of income and rights in a financial instrument, as opposed to a nominal or legal owner.

**BeneficialOwner <BnfclOwnr>** contains the following elements (see "BeneficialOwner2" on page 104 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | BeneficialOwnerIdentification <BnfclOwnrId> | [1..1] | ± | | 104 |
| | AdditionalIdentification <AddtlId> | [0..1] | | | 105 |
| | Identification <Id> | [1..1] | Text | | 105 |
| | Type <Tp> | [1..1] | | | 105 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 105 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 106 |
| | Issuer <Issr> | [0..1] | Text | | 107 |
| | IssueDate <IsseDt> | [0..1] | Date | | 107 |
| | ExpiryDate <XpryDt> | [0..1] | Date | | 107 |
| | IssuerCountry <IssrCtry> | [0..1] | CodeSet | | 107 |
| | Nationality <Ntlty> | [0..1] | CodeSet | | 107 |
| | DomicileCountry <DmclCtry> | [0..1] | CodeSet | | 107 |
| | NonDomicileCountry <NonDmclCtry> | [0..1] | CodeSet | | 107 |
| | CertificationIndicator <Certfctnlnd> | [0..1] | Indicator | | 107 |
| | CertificationType <CertfctnTp> | [0..1] | ± | | 108 |
| | DeclarationDetails <DclrtnDtls> | [0..1] | Text | | 108 |

### 2.4.6.6.6.6.6.6.6.6.6.6.5 BalanceDetails <BalDtls>

*Presence:* [0..*]

*Definition:* Report on the net position of a financial instrument on the sub-account (sub-account level 9), for a certain date. The agent, for example, a trade intermediary, may also be specified.

**BalanceDetails <BalDtls>** contains the following **AggregateHoldingBalance3** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | **BalanceForAccount** <BalForAcct> | [1..*] | ± | | 63 |
| | **Agent** <Agt> | [0..*] | ± | C9 | 63 |

#### 2.4.6.6.6.6.6.6.6.6.6.6.5.1 BalanceForAccount <BalForAcct>

*Presence:* [1..*]

*Definition:* Report on the net position of a financial instrument on the sub-account, for a certain date.

**BalanceForAccount <BalForAcct>** contains the following elements (see "AggregateHoldingBalance1" on page 81 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | FinancialInstrumentIdentification <FinInstrmId> | [1..1] | ± | | 81 |
| | HoldingForm <HldgForm> | [0..1] | CodeSet | | 82 |
| | HoldingPhysicalType <HldgPhysTp> | [0..1] | CodeSet | | 82 |
| | BalanceForFinancialInstrument <BalForFinInstrm> | [1..*] | ± | | 82 |
| | SupplementaryData <SplmtryData> | [0..*] | ± | | 83 |

#### 2.4.6.6.6.6.6.6.6.6.6.6.5.2 Agent <Agt>

*Presence:* [0..*]

*Definition:* Agent of the financial instrument, for example, a trade intermediary.

*Impacted by:* C9 "OrderOriginatorEligibility1Rule"

**Agent <Agt>** contains the following elements (see "Intermediary29" on page 112 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | Identification <Id> | [1..1] | ± | | 112 |
| | Role <Role> | [1..1] | ± | | 112 |
| | OrderOriginatorEligibility <OrdrOrgtrElgblty> | [0..1] | CodeSet | | 112 |
| | SupplementaryData <SplmtryData> | [0..*] | ± | | 113 |

**Constraints**

- **OrderOriginatorEligibility1Rule**

  OrderOriginatorEligibility may only be present if Role is either UCL1 or UCL2.

#### 2.4.6.6.6.6.6.6.6.6.6.6.6 SupplementaryData <SplmtryData>

*Presence:* [0..*]

*Definition:* Additional information that cannot be captured in the structured elements and/or any other specific block.

*Impacted by:* C11 "SupplementaryDataRule"

**SupplementaryData <SplmtryData>** contains the following elements (see "SupplementaryData1" on page 109 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|----|---------------------------|-------|------|-------------|------|
| | PlaceAndName *<PlcAndNm>* | [0..1] | Text | | 109 |
| | Envelope *<Envlp>* | [1..1] | (External Schema) | | 109 |

**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.

### 2.4.6.6.6.6.6.6.6.6.7  AccountSubLevel9Difference <AcctSubLvl9Diff>

*Presence:* [0..*]

*Definition:* Difference in holdings between the sub-account at level 8 and the sub-accounts of level 9.

**AccountSubLevel9Difference <AcctSubLvl9Diff>** contains the following elements (see "AggregateHoldingBalance2" on page 80 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|----|---------------------------|-------|------|-------------|------|
| | FinancialInstrumentIdentification *<FinInstrmId>* | [1..1] | ± | | 80 |
| | BalanceForFinancialInstrument *<BalForFinInstrm>* | [1..*] | ± | | 81 |
| | SupplementaryData *<SplmtryData>* | [0..*] | ± | | 81 |

### 2.4.6.6.6.6.6.6.6.6.8  SupplementaryData <SplmtryData>

*Presence:* [0..*]

*Definition:* Additional information that cannot be captured in the structured elements and/or any other specific block.

*Impacted by:* C11 "SupplementaryDataRule"

**SupplementaryData <SplmtryData>** contains the following elements (see "SupplementaryData1" on page 109 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|----|---------------------------|-------|------|-------------|------|
| | PlaceAndName *<PlcAndNm>* | [0..1] | Text | | 109 |
| | Envelope *<Envlp>* | [1..1] | (External Schema) | | 109 |

**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.

### 2.4.6.6.6.6.6.6.6.7 AccountSubLevel8Difference <AcctSubLvl8Diff>

*Presence:* [0..*]

*Definition:* Difference in holdings between the sub-account at level 7 and the sub-accounts of level 8.

**AccountSubLevel8Difference <AcctSubLvl8Diff>** contains the following elements (see "AggregateHoldingBalance2" on page 80 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|----|---------------------------|-------|------|-------------|------|
| | FinancialInstrumentIdentification *<FinInstrmId>* | [1..1] | ± | | 80 |
| | BalanceForFinancialInstrument *<BalForFinInstrm>* | [1..*] | ± | | 81 |
| | SupplementaryData *<SplmtryData>* | [0..*] | ± | | 81 |

### 2.4.6.6.6.6.6.6.6.8 SupplementaryData <SplmtryData>

*Presence:* [0..*]

*Definition:* Additional information that cannot be captured in the structured elements and/or any other specific block.

*Impacted by:* C11 "SupplementaryDataRule"

**SupplementaryData <SplmtryData>** contains the following elements (see "SupplementaryData1" on page 109 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|----|---------------------------|-------|------|-------------|------|
| | PlaceAndName *<PlcAndNm>* | [0..1] | Text | | 109 |
| | Envelope *<Envlp>* | [1..1] | (External Schema) | | 109 |

**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.

### 2.4.6.6.6.6.6.6.6.7 AccountSubLevel7Difference <AcctSubLvl7Diff>

*Presence:* [0..*]

*Definition:* Difference in holdings between the sub-account at level 6 and the sub-accounts of level 7.

**AccountSubLevel7Difference <AcctSubLvl7Diff>** contains the following elements (see "AggregateHoldingBalance2" on page 80 for details)

| Or | MessageElement<*XML Tag*> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | FinancialInstrumentIdentification *<FinInstrmId>* | [1..1] | ± | | 80 |
| | BalanceForFinancialInstrument *<BalForFinInstrm>* | [1..*] | ± | | 81 |
| | SupplementaryData *<SplmtryData>* | [0..*] | ± | | 81 |

### 2.4.6.6.6.6.6.6.8 SupplementaryData <SplmtryData>

*Presence:* [0..*]

*Definition:* Additional information that cannot be captured in the structured elements and/or any other specific block.

*Impacted by:* C11 "SupplementaryDataRule"

**SupplementaryData <SplmtryData>** contains the following elements (see "SupplementaryData1" on page 109 for details)

| Or | MessageElement<*XML Tag*> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | PlaceAndName *<PlcAndNm>* | [0..1] | Text | | 109 |
| | Envelope *<Envlp>* | [1..1] | (External Schema) | | 109 |

**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.

### 2.4.6.6.6.6.6.6.7 AccountSubLevel6Difference <AcctSubLvl6Diff>

*Presence:* [0..*]

*Definition:* Difference in holdings between the safekeeping account and the sub-accounts of level 6.

**AccountSubLevel6Difference <AcctSubLvl6Diff>** contains the following elements (see "AggregateHoldingBalance2" on page 80 for details)

| Or | MessageElement<*XML Tag*> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | FinancialInstrumentIdentification *<FinInstrmId>* | [1..1] | ± | | 80 |
| | BalanceForFinancialInstrument *<BalForFinInstrm>* | [1..*] | ± | | 81 |
| | SupplementaryData *<SplmtryData>* | [0..*] | ± | | 81 |

### 2.4.6.6.6.6.6.6.8 SupplementaryData <SplmtryData>

*Presence:* [0..*]

*Definition:* Additional information that cannot be captured in the structured elements and/or any other specific block.

*Impacted by:* C11 "SupplementaryDataRule"

**SupplementaryData <SplmtryData>** contains the following elements (see "SupplementaryData1" on page 109 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|------------------------|-------|------|-------------|------|
| | PlaceAndName <PlcAndNm> | [0..1] | Text | | 109 |
| | Envelope <Envlp> | [1..1] | (External Schema) | | 109 |

**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.

### 2.4.6.6.6.6.6.7 AccountSubLevel5Difference <AcctSubLvl5Diff>

*Presence:* [0..*]

*Definition:* Difference in holdings between the sub-account at level 4 and the sub-accounts of level 5.

**AccountSubLevel5Difference <AcctSubLvl5Diff>** contains the following elements (see "AggregateHoldingBalance2" on page 80 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|------------------------|-------|------|-------------|------|
| | FinancialInstrumentIdentification <FinInstrmId> | [1..1] | ± | | 80 |
| | BalanceForFinancialInstrument <BalForFinInstrm> | [1..*] | ± | | 81 |
| | SupplementaryData <SplmtryData> | [0..*] | ± | | 81 |

### 2.4.6.6.6.6.6.8 SupplementaryData <SplmtryData>

*Presence:* [0..*]

*Definition:* Additional information that cannot be captured in the structured elements and/or any other specific block.

*Impacted by:* C11 "SupplementaryDataRule"

**SupplementaryData <SplmtryData>** contains the following elements (see "SupplementaryData1" on page 109 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|------------------------|-------|------|-------------|------|
| | PlaceAndName <PlcAndNm> | [0..1] | Text | | 109 |
| | Envelope <Envlp> | [1..1] | (External Schema) | | 109 |

**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.

### 2.4.6.6.6.6.7 AccountSubLevel4Difference <AcctSubLvl4Diff>

*Presence:* [0..*]

*Definition:* Difference in holdings between the sub-account at level 3 and the sub-accounts of level 4.

**AccountSubLevel4Difference <AcctSubLvl4Diff>** contains the following elements (see "AggregateHoldingBalance2" on page 80 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | FinancialInstrumentIdentification *<FinInstrmId>* | [1..1] | ± | | 80 |
| | BalanceForFinancialInstrument *<BalForFinInstrm>* | [1..*] | ± | | 81 |
| | SupplementaryData *<SplmtryData>* | [0..*] | ± | | 81 |

### 2.4.6.6.6.6.8 SupplementaryData <SplmtryData>

*Presence:* [0..*]

*Definition:* Additional information that cannot be captured in the structured elements and/or any other specific block.

*Impacted by:* C11 "SupplementaryDataRule"

**SupplementaryData <SplmtryData>** contains the following elements (see "SupplementaryData1" on page 109 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | PlaceAndName *<PlcAndNm>* | [0..1] | Text | | 109 |
| | Envelope *<Envlp>* | [1..1] | (External Schema) | | 109 |

**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.

### 2.4.6.6.6.6.7 AccountSubLevel3Difference <AcctSubLvl3Diff>

*Presence:* [0..*]

*Definition:* Difference in holdings between the sub-account at level 2 and the sub-accounts of level 3.

**AccountSubLevel3Difference <AcctSubLvl3Diff>** contains the following elements (see "AggregateHoldingBalance2" on page 80 for details)

| Or | MessageElement<*XML Tag*> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | FinancialInstrumentIdentification <*FinInstrmId*> | [1..1] | ± | | 80 |
| | BalanceForFinancialInstrument <*BalForFinInstrm*> | [1..*] | ± | | 81 |
| | SupplementaryData <*SplmtryData*> | [0..*] | ± | | 81 |

### 2.4.6.6.6.8 SupplementaryData <SplmtryData>

*Presence:* [0..*]

*Definition:* Additional information that cannot be captured in the structured elements and/or any other specific block.

*Impacted by:* C11 "SupplementaryDataRule"

**SupplementaryData <SplmtryData>** contains the following elements (see "SupplementaryData1" on page 109 for details)

| Or | MessageElement<*XML Tag*> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | PlaceAndName <*PlcAndNm*> | [0..1] | Text | | 109 |
| | Envelope <*Envlp*> | [1..1] | (External Schema) | | 109 |

**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.

### 2.4.6.6.7 AccountSubLevel2Difference <AcctSubLvl2Diff>

*Presence:* [0..*]

*Definition:* Difference in holdings between the sub-account at level 1 and sub-accounts of level 2.

**AccountSubLevel2Difference <AcctSubLvl2Diff>** contains the following elements (see "AggregateHoldingBalance2" on page 80 for details)

| Or | MessageElement<*XML Tag*> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | FinancialInstrumentIdentification <*FinInstrmId*> | [1..1] | ± | | 80 |
| | BalanceForFinancialInstrument <*BalForFinInstrm*> | [1..*] | ± | | 81 |
| | SupplementaryData <*SplmtryData*> | [0..*] | ± | | 81 |

### 2.4.6.6.8 SupplementaryData <SplmtryData>

*Presence:* [0..*]

*Definition:* Additional information that cannot be captured in the structured elements and/or any other specific block.

*Impacted by:* C11 "SupplementaryDataRule"

**SupplementaryData <SplmtryData>** contains the following elements (see "SupplementaryData1" on page 109 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | PlaceAndName *<PlcAndNm>* | [0..1] | Text | | 109 |
| | Envelope *<Envlp>* | [1..1] | (External Schema) | | 109 |

**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.

### 2.4.6.7 AccountSubLevel1Difference <AcctSubLvl1Diff>

*Presence:* [0..*]

*Definition:* Difference in holdings between the safekeeping account and the sub-accounts of level 1.

**AccountSubLevel1Difference <AcctSubLvl1Diff>** contains the following elements (see "AggregateHoldingBalance2" on page 80 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | FinancialInstrumentIdentification *<FinInstrmId>* | [1..1] | ± | | 80 |
| | BalanceForFinancialInstrument *<BalForFinInstrm>* | [1..*] | ± | | 81 |
| | SupplementaryData *<SplmtryData>* | [0..*] | ± | | 81 |

## 2.4.7　　　SupplementaryData <SplmtryData>

*Presence:* [0..*]

*Definition:* Additional information that cannot be captured in the structured elements and/or any other specific block.

*Impacted by:* C11 "SupplementaryDataRule"

**SupplementaryData <SplmtryData>** contains the following elements (see "SupplementaryData1" on page 109 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | PlaceAndName *<PlcAndNm>* | [0..1] | Text | | 109 |
| | Envelope *<Envlp>* | [1..1] | (External Schema) | | 109 |

**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 semt.042.001.01 SecuritiesBalanceTransparencyReportStatus AdviceV01

## 3.1 MessageDefinition Functionality

SCOPE

An account owner, such as a custodian, central securities depository, international securities depository or transfer agent, sends the SecuritiesBalanceTransparencyReportStatusAdvice message in response to a SecuritiesBalanceTransparencyReport, to accept or reject the statement of holdings as sent in a SecuritiesBalanceTransparencyReport.

USAGE

The SecuritiesBalanceTransparencyReportStatusAdvice is used to accept (Accepted), partially accept (Accepted With Exception) or reject (Rejected) a previously received SecuritiesBalanceTransparencyReport.

Outline

The SecuritiesBalanceTransparencyReportStatusAdviceV01 MessageDefinition is composed of 7 MessageBuildingBlocks:

A. MessageIdentification

Unique and unambiguous identification of the status advice message.

B. SenderIdentification

Identification of the party that is the sender of the status advice message.

C. ReceiverIdentification

Identification of the party that is the receiver of the status advice message.

D. RelatedStatement

Reference of the statement for which the status advice has been issued.

E. Status

Status of the referenced statement.

F. NumberOfItemsPerStatus

Number of items for each identical transaction status.

G. SupplementaryData

Additional information that cannot be captured in the structured elements and/or any other specific block.

# 3.2    Structure

| Or | MessageElement/BuildingBlock<*XML Tag*> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | *Message root <Document> <SctiesBalTrnsprncyRptStsAdvc>* | [1..1] | | | |
| | | | | | |
| | **MessageIdentification** <*MsgId*> | [1..1] | ± | | 73 |
| | **SenderIdentification** <*SndrId*> | [1..1] | ± | | 73 |
| | **ReceiverIdentification** <*RcvrId*> | [0..1] | ± | | 73 |
| | **RelatedStatement** <*RltdStmt*> | [1..1] | | | 74 |
| | **StatementIdentification** <*StmtId*> | [1..1] | Text | | 74 |
| | **StatementDateTime** <*StmtDtTm*> | [1..1] | ± | | 74 |
| | **Pagination** <*Pgntn*> | [0..1] | ± | | 74 |
| | **Status** <*Sts*> | [1..1] | | | 75 |
| {Or | **Accepted** <*Accptd*> | [1..1] | CodeSet | | 75 |
| Or | **AcceptedWithException** <*AccptdWthXcptn*> | [1..*] | ± | | 75 |
| Or} | **Rejected** <*Rjctd*> | [1..1] | ± | | 76 |
| | **NumberOfItemsPerStatus** <*NbOfItmsPerSts*> | [0..2] | | | 76 |
| | **Status** <*Sts*> | [1..1] | CodeSet | | 77 |
| | **NumberOfItems** <*NbOfItms*> | [1..1] | Text | | 77 |
| | **SupplementaryData** <*SplmtryData*> | [0..*] | ± | C8 | 77 |

# 3.3    Constraints

**C1    AnyBIC**

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

**C2    Country**

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

**C3    DescriptionPresenceRule**

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

**C4    DescriptionUsageRule**

Description must be used alone as the last resort.

**C5    ISINGuideline**

When a ISIN code exist, 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. (CrossElementComplexRule)

C7 **OtherIdentificationPresenceRule**

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

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 MessageIdentification <MsgId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification of the status advice message.

**MessageIdentification <MsgId>** contains the following elements (see "MessageIdentification1" on page 96 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|----|---------------------------|-------|------|-------------|------|
| | Identification *<Id>* | [1..1] | Text | | 96 |
| | CreationDateTime *<CreDtTm>* | [1..1] | DateTime | | 97 |

## 3.4.2 SenderIdentification <SndrId>

*Presence:* [1..1]

*Definition:* Identification of the party that is the sender of the status advice message.

**SenderIdentification <SndrId>** contains the following elements (see "PartyIdentification100" on page 111 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|----|---------------------------|-------|------|-------------|------|
| | Identification *<Id>* | [1..1] | ± | | 111 |
| | LEI *<LEI>* | [0..1] | IdentifierSet | | 111 |

## 3.4.3 ReceiverIdentification <RcvrId>

*Presence:* [0..1]

*Definition:* Identification of the party that is the receiver of the status advice message.

**ReceiverIdentification <Rcvrld>** contains the following elements (see "PartyIdentification100" on page 111 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | Identification *<Id>* | [1..1] | ± | | 111 |
| | LEI *<LEI>* | [0..1] | IdentifierSet | | 111 |

# 3.4.4        RelatedStatement <RltdStmt>

*Presence:* [1..1]

*Definition:* Reference of the statement for which the status advice has been issued.

**RelatedStatement <RltdStmt>** contains the following **StatementReference1** elements

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | **StatementIdentification** *<StmtId>* | [1..1] | Text | | 74 |
| | **StatementDateTime** *<StmtDtTm>* | [1..1] | ± | | 74 |
| | **Pagination** *<Pgntn>* | [0..1] | ± | | 74 |

## 3.4.4.1 StatementIdentification <StmtId>

*Presence:* [1..1]

*Definition:* Reference common to all pages of the statement for which the status advice is sent.

*Datatype:* "Max35Text" on page 139

## 3.4.4.2 StatementDateTime <StmtDtTm>

*Presence:* [1..1]

*Definition:* Date and time the statement was created.

**StatementDateTime <StmtDtTm>** contains one of the following elements (see "DateAndDateTimeChoice" on page 89 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| {Or | Date *<Dt>* | [1..1] | Date | | 89 |
| Or} | DateTime *<DtTm>* | [1..1] | DateTime | | 89 |

## 3.4.4.3 Pagination <Pgntn>

*Presence:* [0..1]

*Definition:* Page number of the related message (within the statement) and continuation indicator to indicate that the statement is to continue or that the related message is the last page of the statement.

**Pagination <Pgntn>** contains the following elements (see "Pagination" on page 109 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | PageNumber *<PgNb>* | [1..1] | Text | | 110 |
| | LastPageIndicator *<LastPgInd>* | [1..1] | Indicator | | 110 |

# 3.4.5        Status <Sts>

*Presence:* [1..1]

*Definition:* Status of the referenced statement.

**Status <Sts>** contains one of the following **ReportItemStatus1Choice** elements

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| {Or | **Accepted** *<Accptd>* | [1..1] | CodeSet | | 75 |
| Or | **AcceptedWithException** *<AccptdWthXcptn>* | [1..*] | ± | | 75 |
| Or} | **Rejected** *<Rjctd>* | [1..1] | ± | | 76 |

## 3.4.5.1  Accepted <Accptd>

*Presence:* [1..1]

*Definition:* Statement is accepted.

*Datatype:* "NoReasonCode" on page 130

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

## 3.4.5.2  AcceptedWithException <AccptdWthXcptn>

*Presence:* [1..*]

*Definition:* Statement is accepted with an exception/s.

**AcceptedWithException <AccptdWthXcptn>** contains the following elements (see "ReportItemStatus1" on page 118 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | Exception *<Xcptn>* | [1..1] | ± | | 118 |
| | AdditionalReasonInformation *<AddtlRsnInf>* | [0..1] | Text | | 119 |
| | ReportItem *<RptItm>* | [0..*] | | | 119 |
| | AccountIdentification *<AcctId>* | [1..1] | ± | | 119 |
| | AccountLevel *<AcctLvl>* | [1..1] | CodeSet | | 119 |
| | FinancialInstrumentIdentification *<FinInstrmId>* | [0..1] | ± | | 120 |
| | ItemDate *<ItmDt>* | [0..1] | Date | | 120 |

### 3.4.5.3 Rejected <Rjctd>

*Presence:* [1..1]

*Definition:* Statement is rejected.

**Rejected <Rjctd>** contains the following elements (see "ReportItemStatus1" on page 118 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | Exception *<Xcptn>* | [1..1] | ± | | 118 |
| | AdditionalReasonInformation *<AddtlRsnInf>* | [0..1] | Text | | 119 |
| | ReportItem *<RptItm>* | [0..*] | | | 119 |
| | AccountIdentification *<AcctId>* | [1..1] | ± | | 119 |
| | AccountLevel *<AcctLvl>* | [1..1] | CodeSet | | 119 |
| | FinancialInstrumentIdentification *<FinInstrmId>* | [0..1] | ± | | 120 |
| | ItemDate *<ItmDt>* | [0..1] | Date | | 120 |

## 3.4.6    NumberOfItemsPerStatus <NbOfItmsPerSts>

*Presence:* [0..2]

*Definition:* Number of items for each identical transaction status.

**NumberOfItemsPerStatus <NbOfItmsPerSts>** contains the following **NumberOfItemsPerStatus1** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | **Status** *<Sts>* | [1..1] | CodeSet | | 77 |
| | **NumberOfItems** *<NbOfItms>* | [1..1] | Text | | 77 |

### 3.4.6.1 Status <Sts>

*Presence:* [1..1]

*Definition:* Common status of the report items for which the number of report items is specified in NumberOfItems.

*Datatype:* "ReportItemStatus1Code" on page 132

| CodeName | Name | Definition |
|---|---|---|
| ACPD | Accepted | Entry has been accepted by the receiver of the report. |
| REJT | Rejected | Entry has been rejected by the receiver of the report. |

### 3.4.6.2 NumberOfItems <NbOfItms>

*Presence:* [1..1]

*Definition:* Number of items for the status.

*Datatype:* "Max15NumericText" on page 138

# 3.4.7 SupplementaryData <SplmtryData>

*Presence:* [0..*]

*Definition:* Additional information that cannot be captured in the structured elements and/or any other specific block.

*Impacted by:* C8 "SupplementaryDataRule"

**SupplementaryData <SplmtryData>** contains the following elements (see "SupplementaryData1" on page 109 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | PlaceAndName *<PlcAndNm>* | [0..1] | Text | | 109 |
| | Envelope *<Envlp>* | [1..1] | (External Schema) | | 109 |

**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 Message Items Types

## 4.1 MessageComponents

### 4.1.1 Account

#### 4.1.1.1 SecuritiesAccount19

*Definition:* Account to or from which a securities entry is made.

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|----|---------------------------|-------|------|-------------|------|
|    | Identification *<Id>* | [1..1] | Text | | 78 |
|    | Type *<Tp>* | [0..1] | ± | | 78 |
|    | Name *<Nm>* | [0..1] | Text | | 78 |

#### 4.1.1.1.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unambiguous identification for the account between the account owner and the account servicer.

*Datatype:* "Max35Text" on page 139

#### 4.1.1.1.2 Type <Tp>

*Presence:* [0..1]

*Definition:* Specifies the type of securities account.

**Type <Tp>** contains the following elements (see "GenericIdentification30" on page 94 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|----|---------------------------|-------|------|-------------|------|
|    | Identification *<Id>* | [1..1] | Text | | 94 |
|    | Issuer *<Issr>* | [1..1] | Text | | 95 |
|    | SchemeName *<SchmeNm>* | [0..1] | Text | | 95 |

#### 4.1.1.1.3 Name <Nm>

*Presence:* [0..1]

*Definition:* Description of the account.

*Datatype:* "Max70Text" on page 140

### 4.1.2 Balance

#### 4.1.2.1 SubBalanceQuantity5Choice

*Definition:* Choice between formats for the balance information.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| {Or | Quantity <*Qty*> | [1..1] | ± | | 79 |
| Or} | Proprietary <*Prtry*> | [1..1] | ± | | 79 |

### 4.1.2.1.1 Quantity <Qty>

*Presence:* [1..1]

*Definition:* Quantity of financial instrument in the sub-balance.

**Quantity <Qty>** contains one of the following elements (see "FinancialInstrumentQuantity1Choice" on page 92 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| {Or | Unit <*Unit*> | [1..1] | Quantity | | 92 |
| Or | FaceAmount <*FaceAmt*> | [1..1] | Amount | | 92 |
| Or} | AmortisedValue <*AmtsdVal*> | [1..1] | Amount | | 92 |

### 4.1.2.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Quantity of financial instrument in the sub-balance expressed in a proprietary format.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification56" on page 95 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | Identification <*Id*> | [1..1] | Text | | 96 |
| | Issuer <*Issr*> | [1..1] | Text | | 96 |
| | SchemeName <*SchmeNm*> | [0..1] | Text | | 96 |
| | Balance <*Bal*> | [1..1] | Quantity | | 96 |

## 4.1.2.2 SubBalanceBreakdown1

*Definition:* Net position of a segregated holding of a single financial instrument within the overall position held in the securities account, for example, sub-balance per status.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | SubBalanceType <*SubBalTp*> | [1..1] | ± | | 79 |
| | Quantity <*Qty*> | [1..1] | ± | | 80 |

### 4.1.2.2.1 SubBalanceType <SubBalTp>

*Presence:* [1..1]

*Definition:* Reason for the sub-balance.

**SubBalanceType <SubBalTp>** contains one of the following elements (see "SubBalanceType9Choice" on page 86 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| {Or | Code <Cd> | [1..1] | CodeSet | | 86 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 88 |

### 4.1.2.2.2 Quantity <Qty>

*Presence:* [1..1]

*Definition:* Quantity of financial instrument in the sub-balance.

**Quantity <Qty>** contains one of the following elements (see "SubBalanceQuantity5Choice" on page 78 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| {Or | Quantity <Qty> | [1..1] | ± | | 79 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 79 |

## 4.1.2.3 AggregateHoldingBalance2

*Definition:* Overall holding position, in a single financial instrument, held in a securities account at a specified place of safekeeping.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | FinancialInstrumentIdentification <FinInstrmId> | [1..1] | ± | | 80 |
| | BalanceForFinancialInstrument <BalForFinInstrm> | [1..*] | ± | | 81 |
| | SupplementaryData <SplmtryData> | [0..*] | ± | | 81 |

### 4.1.2.3.1 FinancialInstrumentIdentification <FinInstrmId>

*Presence:* [1..1]

*Definition:* Identification of the financial instrument for which the balance information is specified.

**FinancialInstrumentIdentification <FinInstrmId>** contains the following elements (see "SecurityIdentification19" on page 90 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | ISIN <ISIN> | [0..1] | IdentifierSet | | 91 |
| | OtherIdentification <OthrId> | [0..*] | | | 91 |
| | Identification <Id> | [1..1] | Text | | 91 |
| | Suffix <Sfx> | [0..1] | Text | | 91 |
| | Type <Tp> | [1..1] | ± | | 91 |
| | Description <Desc> | [0..1] | Text | | 92 |

#### 4.1.2.3.2 BalanceForFinancialInstrument <BalForFinInstrm>

*Presence:* [1..*]

*Definition:* Balance breakdown on the net position of a financial instrument.

**BalanceForFinancialInstrument <BalForFinInstrm>** contains the following elements (see "FinancialInstrumentAggregateBalance1" on page 85 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | ItemDate *<ItmDt>* | [1..1] | Date | | 85 |
| | Holdings *<Hldgs>* | [1..1] | ± | | 85 |
| | Price *<Pric>* | [0..*] | ± | | 85 |

#### 4.1.2.3.3 SupplementaryData <SplmtryData>

*Presence:* [0..*]

*Definition:* Additional information that cannot be captured in the structured elements and/or any other specific block.

**SupplementaryData <SplmtryData>** contains the following elements (see "SupplementaryData1" on page 109 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | PlaceAndName *<PlcAndNm>* | [0..1] | Text | | 109 |
| | Envelope *<Envlp>* | [1..1] | (External Schema) | | 109 |

### 4.1.2.4 AggregateHoldingBalance1

*Definition:* Overall holding position, in a single financial instrument, held in a securities account at a specified place of safekeeping.

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | FinancialInstrumentIdentification *<FinInstrmId>* | [1..1] | ± | | 81 |
| | HoldingForm *<HldgForm>* | [0..1] | CodeSet | | 82 |
| | HoldingPhysicalType *<HldgPhysTp>* | [0..1] | CodeSet | | 82 |
| | BalanceForFinancialInstrument *<BalForFinInstrm>* | [1..*] | ± | | 82 |
| | SupplementaryData *<SplmtryData>* | [0..*] | ± | | 83 |

#### 4.1.2.4.1 FinancialInstrumentIdentification <FinInstrmId>

*Presence:* [1..1]

*Definition:* Identification of the financial instrument for which the balance information is specified.

**FinancialInstrumentIdentification <FinInstrmId>** contains the following elements (see "SecurityIdentification19" on page 90 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | ISIN <ISIN> | [0..1] | IdentifierSet | | 91 |
| | OtherIdentification <OthrId> | [0..*] | | | 91 |
| | Identification <Id> | [1..1] | Text | | 91 |
| | Suffix <Sfx> | [0..1] | Text | | 91 |
| | Type <Tp> | [1..1] | ± | | 91 |
| | Description <Desc> | [0..1] | Text | | 92 |

### 4.1.2.4.2 HoldingForm <HldgForm>

*Presence:* [0..1]

*Definition:* Form of ownership of the holding.

*Datatype:* "FormOfSecurity1Code" on page 124

| CodeName | Name | Definition |
|---|---|---|
| BEAR | Bearer | The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate. |
| REGD | Registered | Shareholder name of the financial instrument appears in the corporation/ funds books. |

### 4.1.2.4.3 HoldingPhysicalType <HldgPhysTp>

*Presence:* [0..1]

*Definition:* Specifies whether the holding is physically delivered or is a book entry only.

*Datatype:* "PhysicalTransferType1Code" on page 131

| CodeName | Name | Definition |
|---|---|---|
| DEMT | Dematerialised | Dematerialised transfer. |
| PHYS | Physical | Physical transfer. |

### 4.1.2.4.4 BalanceForFinancialInstrument <BalForFinInstrm>

*Presence:* [1..*]

*Definition:* Balance breakdown on the net position of the financial instrument.

**BalanceForFinancialInstrument <BalForFinInstrm>** contains the following elements (see "FinancialInstrumentAggregateBalance1" on page 85 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|------------------------|-------|------|-------------|------|
|    | ItemDate <ItmDt>       | [1..1] | Date |            | 85   |
|    | Holdings <Hldgs>       | [1..1] | ±    |            | 85   |
|    | Price <Pric>           | [0..*] | ±    |            | 85   |

### 4.1.2.4.5 SupplementaryData <SplmtryData>

*Presence:* [0..*]

*Definition:* Additional information that cannot be captured in the structured elements and/or any other specific block.

**SupplementaryData <SplmtryData>** contains the following elements (see "SupplementaryData1" on page 109 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|------------------------|-------|------|-------------|------|
|    | PlaceAndName <PlcAndNm> | [0..1] | Text | | 109 |
|    | Envelope <Envlp>       | [1..1] | (External Schema) | | 109 |

## 4.1.2.5 FinancialInstrumentAggregateBalance2

*Definition:* Aggregated position held in a securities account for a specified financial instrument.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|------------------------|-------|------|-------------|------|
|    | SettledBalance <SttldBal> | [0..1] | ± | | 83 |
|    | TradedBalance <TraddBal> | [0..1] | ± | | 83 |
|    | BalanceBreakdown <BalBrkdwn> | [0..*] | ± | | 84 |

### 4.1.2.5.1 SettledBalance <SttldBal>

*Presence:* [0..1]

*Definition:* Balance of settled transactions.

**SettledBalance <SttldBal>** contains one of the following elements (see "FinancialInstrumentQuantity1Choice" on page 92 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|------------------------|-------|------|-------------|------|
| {Or | Unit <Unit> | [1..1] | Quantity | | 92 |
| Or | FaceAmount <FaceAmt> | [1..1] | Amount | | 92 |
| Or} | AmortisedValue <AmtsdVal> | [1..1] | Amount | | 92 |

### 4.1.2.5.2 TradedBalance <TraddBal>

*Presence:* [0..1]

*Definition:* Balance of settled transactions and transactions pending settlement.

**TradedBalance <TraddBal>** contains one of the following elements (see "FinancialInstrumentQuantity1Choice" on page 92 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|------|----------------------------|--------|----------|-------------|------|
| {Or | Unit *<Unit>* | [1..1] | Quantity | | 92 |
| Or | FaceAmount *<FaceAmt>* | [1..1] | Amount | | 92 |
| Or} | AmortisedValue *<AmtsdVal>* | [1..1] | Amount | | 92 |

### 4.1.2.5.3 BalanceBreakdown <BalBrkdwn>

*Presence:* [0..*]

*Definition:* Breakdown of the balances of holdings into sub-balances.

**BalanceBreakdown <BalBrkdwn>** contains the following elements (see "SubBalanceBreakdown1" on page 79 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|------|----------------------------|--------|------|-------------|------|
| | SubBalanceType *<SubBalTp>* | [1..1] | ± | | 79 |
| | Quantity *<Qty>* | [1..1] | ± | | 80 |

### 4.1.2.6 FinancialInstrumentAggregateBalance1Choice

*Definition:* Choice of holding indicator and aggregated position of holdings.

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|------|----------------------------|--------|-----------|-------------|------|
| {Or | HoldingsIndicator *<HldgsInd>* | [1..1] | Indicator | | 84 |
| Or} | HoldingBalance *<HldgBal>* | [1..1] | ± | | 84 |

### 4.1.2.6.1 HoldingsIndicator <HldgsInd>

*Presence:* [1..1]

*Definition:* Indicates whether holdings are present.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 137):

- *Meaning When True:* Yes

- *Meaning When False:* No

### 4.1.2.6.2 HoldingBalance <HldgBal>

*Presence:* [1..1]

*Definition:* Balance of holdings.

**HoldingBalance <HldgBal>** contains the following elements (see "FinancialInstrumentAggregateBalance2" on page 83 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | SettledBalance <SttldBal> | [0..1] | ± | | 83 |
| | TradedBalance <TraddBal> | [0..1] | ± | | 83 |
| | BalanceBreakdown <BalBrkdwn> | [0..*] | ± | | 84 |

## 4.1.2.7 FinancialInstrumentAggregateBalance1

*Definition:* Aggregated position of holdings held in a securities account for a specified financial instrument.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | ItemDate <ItmDt> | [1..1] | Date | | 85 |
| | Holdings <Hldgs> | [1..1] | ± | | 85 |
| | Price <Pric> | [0..*] | ± | | 85 |

### 4.1.2.7.1 ItemDate <ItmDt>

*Presence:* [1..1]

*Definition:* Date of the line of holding in the statement.

*Datatype:* "ISODate" on page 135

### 4.1.2.7.2 Holdings <Hldgs>

*Presence:* [1..1]

*Definition:* Balances and sub-balances attributed to the holding.

**Holdings <Hldgs>** contains one of the following elements (see "FinancialInstrumentAggregateBalance1Choice" on page 84 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| {Or | HoldingsIndicator <HldgsInd> | [1..1] | Indicator | | 84 |
| Or} | HoldingBalance <HldgBal> | [1..1] | ± | | 84 |

### 4.1.2.7.3 Price <Pric>

*Presence:* [0..*]

*Definition:* Details on the price value, type and source.

**Price <Pric>** contains the following elements (see "Price6" on page 116 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | RateOrAmount <RateOrAmt> | [1..1] | ± | | 116 |
| | Type <Tp> | [1..1] | CodeSet | | 116 |
| | Source <Src> | [1..1] | CodeSet | | 118 |

## 4.1.2.8 SubBalanceType9Choice

*Definition:* Choice of format for the sub-balance.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| {Or | Code <Cd> | [1..1] | CodeSet | | 86 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 88 |

### 4.1.2.8.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Reason a financial instrument is not available or additional information about the financial instrument for which the balance is given, for example, unregistered, registered in nominee name.

*Datatype:* "SecuritiesBalanceType14Code" on page 132

| CodeName | Name | Definition |
|---|---|---|
| AWAS | AvailableWithNoAdditionalStatus | Balance of financial instruments that are freely available with no specific additional status. |
| BTRA | BeingTransferred | Financial instrument is unavailable as a result of a transfer order, pending movement in the shareholders' register. |
| BLOK | Blocked | Balance of financial instruments that are blocked. |
| BLOV | BlockedAuthenticity | Balance of financial instruments that are blocked for verification of authenticity. |
| BLCA | BlockedCorporateAction | Balance of financial instrument blocked following a corporate action, including proxy activities. |
| BLOT | BlockedTrading | Balance of financial instruments that are blocked for trading. |
| BORR | Borrowed | Balance of financial instruments that have been borrowed from another party. |
| OPNT | OverdueNetPending | Net balance of financial instrument that is traded pending settlement and settlement is overdue. |
| PNET | NetPending | Net balance of financial instrument that is traded pending settlement. |

| CodeName | Name | Definition |
|---|---|---|
| COLI | CollateralIn | Balance of securities that belong to a third party and that are held for the purpose of collateralisation. |
| COLO | CollateralOut | Balance of securities that belong to the safekeeping account indicated within this message, and are deposited with a third party for the purpose of collateralisation. |
| MARG | DerivativesMargin | Account is used when financing is by the broker/dealer. |
| DRAW | Drawn | Settlement transactions relates to drawn securities. |
| TRAN | InTransshipment | Transaction has been generated due to transformation following a corporate action. |
| LOAN | OnLoan | Loan for consumption. |
| REGO | OutForRegistration | Balance of financial instruments currently being processed by the institution responsible for registering the new beneficial owner (or nominee). |
| BODE | PendingBorrowedDelivery | Balance of financial instruments that are pending delivery in relation to a borrow transaction. |
| BORE | PendingBorrowedReceipt | Balance of financial instruments that are pending receipt in relation to a borrow transaction. |
| PEDA | PendingCorporateActionDelivery | Balance of financial instrument pending delivery following a corporate action. |
| PECA | PendingCorporateActionReceipt | Balance of financial instrument pending receipt following a corporate action. |
| PEND | PendingDelivery | Processing has not been completed. |
| LODE | PendingOnLoanDelivery | Balance of financial instruments that are pending delivery in relation to a lending transaction. |
| LORE | PendingOnLoanReceipt | Balance of financial instruments that are pending receipt in relation to a lending transaction. |
| PENR | PendingReceipt | The instruction is pending receipt of securities, for example, from a purchase, loan etc. |
| PLED | Pledged | Balance of securities that belong to and is kept in the safekeeping account indicated within this message, and that are pledged. |
| RSTR | Restricted | Balance of financial instruments that may only be sold under certain conditions or require legal documents. |
| OTHR | Unclassified | Other. See Narrative. |
| WDOC | WaitingDocumentation | Financial instrument is unavailable due to missing or incomplete documentation |

| CodeName | Name | Definition |
|---|---|---|
| | | pertaining to the account, or due to a missing or incomplete order. |
| GRP1 | PurchasedInvestmentFundTaxGroupUnit1 | Purchased investment fund units that were purchased prior to the last ex-div date. |
| GRP2 | PurchasedInvestmentFundTaxGroupUnit2 | Purchased investment fund units that were purchased since the ex-div date, and that benefit from the tax exemption. |

### 4.1.2.8.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Reason a financial instrument is not available or additional information about the financial instrument for which the balance is given, for example, unregistered, registered in nominee name.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification30" on page 94 for details)

| Or | MessageElement<*XML Tag*> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | Identification <*Id*> | [1..1] | Text | | 94 |
| | Issuer <*Issr*> | [1..1] | Text | | 95 |
| | SchemeName <*SchmeNm*> | [0..1] | Text | | 95 |

# 4.1.3        Date Period

## 4.1.3.1 DatePeriod1Choice

*Definition:* Period as a date, a month or a date time span for which the statement is provided.

| Or | MessageElement<*XML Tag*> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| {Or | Date <*Dt*> | [1..1] | Date | | 88 |
| Or | DateMonth <*DtMnth*> | [1..1] | YearMonth | | 88 |
| Or} | FromDateToDate <*FrDtToDt*> | [1..1] | ± | | 89 |

### 4.1.3.1.1 Date <Dt>

*Presence:* [1..1]

*Definition:* Time span defined by a specific date.

*Datatype:* "ISODate" on page 135

### 4.1.3.1.2 DateMonth <DtMnth>

*Presence:* [1..1]

*Definition:* Time span defined by a month and a year.

*Datatype:* "ISOYearMonth" on page 140

### 4.1.3.1.3 FromDateToDate <FrDtToDt>

*Presence:* [1..1]

*Definition:* Time span defined by a start date and an end date.

**FromDateToDate <FrDtToDt>** contains the following elements (see <u>"Period2" on page 89</u> for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|----|---------------------------|-------|------|-------------|------|
|    | FromDate *<FrDt>*         | [1..1] | Date |            | 89   |
|    | ToDate *<ToDt>*           | [1..1] | Date |            | 90   |

# 4.1.4    Date Time

## 4.1.4.1 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 |            | 89   |
| Or} | DateTime *<DtTm>*       | [1..1] | DateTime |        | 89   |

### 4.1.4.1.1 Date <Dt>

*Presence:* [1..1]

*Definition:* Specified date.

*Datatype:* <u>"ISODate" on page 135</u>

### 4.1.4.1.2 DateTime <DtTm>

*Presence:* [1..1]

*Definition:* Specified date and time.

*Datatype:* <u>"ISODateTime" on page 136</u>

## 4.1.4.2 Period2

*Definition:* Time span defined by a start date and time, and an end date and time.

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|----|---------------------------|-------|------|-------------|------|
|    | FromDate *<FrDt>*         | [1..1] | Date |            | 89   |
|    | ToDate *<ToDt>*           | [1..1] | Date |            | 90   |

### 4.1.4.2.1 FromDate <FrDt>

*Presence:* [1..1]

*Definition:* Date and time at which the range starts.

*Datatype:* <u>"ISODate" on page 135</u>

### 4.1.4.2.2 ToDate <ToDt>

*Presence:* [1..1]

*Definition:* Date and time at which the range ends.

*Datatype:* "ISODate" on page 135

# 4.1.5        Financial Instrument

### 4.1.5.1 SecurityIdentification19

*Definition:* Identification of a security.

| Or | MessageElement<*XML Tag*> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | ISIN <*ISIN*> | [0..1] | IdentifierSet | | 91 |
| | OtherIdentification <*OthrId*> | [0..*] | | | 91 |
| | Identification <*Id*> | [1..1] | Text | | 91 |
| | Suffix <*Sfx*> | [0..1] | Text | | 91 |
| | Type <*Tp*> | [1..1] | ± | | 91 |
| | Description <*Desc*> | [0..1] | Text | | 92 |

**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 a ISIN code exist, 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
```

### 4.1.5.1.1 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 136

### 4.1.5.1.2 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 | | 91 |
| | Suffix *<Sfx>* | [0..1] | Text | | 91 |
| | Type *<Tp>* | [1..1] | ± | | 91 |

### 4.1.5.1.2.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of a security.

*Datatype:* "Max35Text" on page 139

### 4.1.5.1.2.2 Suffix <Sfx>

*Presence:* [0..1]

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

*Datatype:* "Max16Text" on page 139

### 4.1.5.1.2.3 Type <Tp>

*Presence:* [1..1]

*Definition:* Type of the identification.

**Type <Tp>** contains one of the following elements (see "IdentificationSource3Choice" on page 94 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| {Or | Code *<Cd>* | [1..1] | CodeSet | | 94 |
| Or} | Proprietary *<Prtry>* | [1..1] | Text | | 94 |

### 4.1.5.1.3 Description <Desc>

*Presence:* [0..1]

*Definition:* Textual description of a security instrument.

*Datatype:* "Max140Text" on page 138

# 4.1.6 Financial Instrument Quantity

## 4.1.6.1 FinancialInstrumentQuantity1Choice

*Definition:* Choice between formats for the quantity of security.

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| {Or | Unit *<Unit>* | [1..1] | Quantity | | 92 |
| Or | FaceAmount *<FaceAmt>* | [1..1] | Amount | | 92 |
| Or} | AmortisedValue *<AmtsdVal>* | [1..1] | Amount | | 92 |

### 4.1.6.1.1 Unit <Unit>

*Presence:* [1..1]

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

*Datatype:* "DecimalNumber" on page 137

### 4.1.6.1.2 FaceAmount <FaceAmt>

*Presence:* [1..1]

*Definition:* Quantity expressed as an amount representing the face amount, that is, the principal, of a debt instrument.

*Datatype:* "ImpliedCurrencyAndAmount" on page 121

### 4.1.6.1.3 AmortisedValue <AmtsdVal>

*Presence:* [1..1]

*Definition:* Quantity expressed as an amount representing the current amortised face amount of a bond, for example, a periodic reduction/increase of a bond's principal amount.

*Datatype:* "ImpliedCurrencyAndAmount" on page 121

# 4.1.7 Frequency

## 4.1.7.1 Frequency22Choice

*Definition:* Choice of format for a frequency, for example, the frequency of delivery of a statement.

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| {Or | Code *<Cd>* | [1..1] | CodeSet | | 93 |
| Or} | Proprietary *<Prtry>* | [1..1] | ± | | 93 |

### 4.1.7.1.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Frequency expressed as an ISO 20022 code.

*Datatype:* "EventFrequency7Code" on page 123

| CodeName | Name | Definition |
|---|---|---|
| YEAR | Annual | Event takes place every year or once a year. |
| ADHO | Adhoc | Event takes place as necessary. |
| MNTH | Monthly | Event takes place every month or once a month. |
| DAIL | Daily | Event takes place every day. |
| INDA | IntraDay | Event takes place several times a day. |
| WEEK | Weekly | Event takes place once a week. |
| SEMI | SemiAnnual | Event takes place every six months or two times a year. |
| QUTR | Quarterly | Event takes place every three months or four times a year. |
| TOMN | EveryTwoMonths | Event takes place every two months. |
| TOWK | EveryTwoWeeks | Event takes place every two weeks. |
| TWMN | TwiceAMonth | Event takes place two times a month. |
| OVNG | Overnight | Event takes place overnight. |
| ONDE | OnDemand | Event takes place on demand. |

### 4.1.7.1.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Frequency expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see <u>"GenericIdentification30" on page 94</u> for details)

| Or | MessageElement<*XML Tag*> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | Identification <*Id*> | [1..1] | Text | | 94 |
| | Issuer <*Issr*> | [1..1] | Text | | 95 |
| | SchemeName <*SchmeNm*> | [0..1] | Text | | 95 |

# 4.1.8 Identification Information

## 4.1.8.1 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 | | 94 |
| Or} | Proprietary <*Prtry*> | [1..1] | Text | | 94 |

### 4.1.8.1.1 Code <Cd>

*Presence:* [1..1]

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

*Datatype:* <u>"ExternalFinancialInstrumentIdentificationType1Code" on page 124</u>

### 4.1.8.1.2 Proprietary <Prtry>

*Presence:* [1..1]

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

*Datatype:* <u>"Max35Text" on page 139</u>

## 4.1.8.2 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 | | 94 |
| | Issuer <*Issr*> | [1..1] | Text | | 95 |
| | SchemeName <*SchmeNm*> | [0..1] | Text | | 95 |

### 4.1.8.2.1 Identification <Id>

*Presence:* [1..1]

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

*Datatype:* <u>"Exact4AlphaNumericText" on page 138</u>

### 4.1.8.2.2 Issuer <Issr>

*Presence:* [1..1]

*Definition:* Entity that assigns the identification.

*Datatype:* "Max35Text" on page 139

### 4.1.8.2.3 SchemeName <SchmeNm>

*Presence:* [0..1]

*Definition:* Short textual description of the scheme.

*Datatype:* "Max35Text" on page 139

## 4.1.8.3 GenericIdentification36

*Definition:* Identification using a proprietary scheme.

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | Identification *<Id>* | [1..1] | Text | | 95 |
| | Issuer *<Issr>* | [1..1] | Text | | 95 |
| | SchemeName *<SchmeNm>* | [0..1] | Text | | 95 |

### 4.1.8.3.1 Identification <Id>

*Presence:* [1..1]

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

*Datatype:* "Max35Text" on page 139

### 4.1.8.3.2 Issuer <Issr>

*Presence:* [1..1]

*Definition:* Entity that assigns the identification.

*Datatype:* "Max35Text" on page 139

### 4.1.8.3.3 SchemeName <SchmeNm>

*Presence:* [0..1]

*Definition:* Short textual description of the scheme.

*Datatype:* "Max35Text" on page 139

## 4.1.8.4 GenericIdentification56

*Definition:* Proprietary information related to a balance.

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|----|----------------------------|-------|------|-------------|------|
| | Identification *<Id>* | [1..1] | Text | | 96 |
| | Issuer *<Issr>* | [1..1] | Text | | 96 |
| | SchemeName *<SchmeNm>* | [0..1] | Text | | 96 |
| | Balance *<Bal>* | [1..1] | Quantity | | 96 |

### 4.1.8.4.1 Identification <Id>

*Presence:* [1..1]

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

*Datatype:* "Exact4AlphaNumericText" on page 138

### 4.1.8.4.2 Issuer <Issr>

*Presence:* [1..1]

*Definition:* Entity that assigns the identification.

*Datatype:* "Max35Text" on page 139

### 4.1.8.4.3 SchemeName <SchmeNm>

*Presence:* [0..1]

*Definition:* Short textual description of the scheme.

*Datatype:* "Max35Text" on page 139

### 4.1.8.4.4 Balance <Bal>

*Presence:* [1..1]

*Definition:* Value of the balance.

*Datatype:* "DecimalNumber" on page 137

## 4.1.8.5 MessageIdentification1

*Definition:* Identifies a message by a unique identifier and the date and time when the message was created by the sender.

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|----|----------------------------|-------|------|-------------|------|
| | Identification *<Id>* | [1..1] | Text | | 96 |
| | CreationDateTime *<CreDtTm>* | [1..1] | DateTime | | 97 |

### 4.1.8.5.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Identification of the message.

*Datatype:* "Max35Text" on page 139

### 4.1.8.5.2 CreationDateTime <CreDtTm>

*Presence:* [1..1]

*Definition:* Date of creation of the message.

*Datatype:* "ISODateTime" on page 136

# 4.1.9 Miscellaneous

## 4.1.9.1 Number3Choice

*Definition:* Choice of 3 and 5 exact numeric number.

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|----|---------------------------|-------|------|-------------|------|
| {Or | Short *<Shrt>* | [1..1] | Text | | 97 |
| Or} | Long *<Lng>* | [1..1] | Text | | 97 |

### 4.1.9.1.1 Short <Shrt>

*Presence:* [1..1]

*Definition:* Number of maximum 3 numeric text.

*Datatype:* "Exact3NumericText" on page 138

### 4.1.9.1.2 Long <Lng>

*Presence:* [1..1]

*Definition:* Number of maximum 5 numeric text. Is only to be used in a delta statement.

*Datatype:* "Exact5NumericText" on page 138

## 4.1.9.2 BeneficiaryCertificationType9Choice

*Definition:* Choice between a standard code or proprietary code to specify the type of beneficiary certification required.

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|----|---------------------------|-------|------|-------------|------|
| {Or | Code *<Cd>* | [1..1] | CodeSet | | 97 |
| Or} | Proprietary *<Prtry>* | [1..1] | ± | | 98 |

### 4.1.9.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Beneficial owner certification type expressed in a coded form.

*Datatype:* "BeneficiaryCertificationType4Code" on page 122

| CodeName | Name | Definition |
|----------|------|------------|
| ACCI | AccreditedInvestor | The holder of the security has to irrevocably certify that it is an Accredited Investor as defined in US Securities and Exchange Commission Regulation D. |

| CodeName | Name | Definition |
|---|---|---|
| DOMI | DomicileCountry | The holder of the security has to certify his domicile. |
| NDOM | NonDomicileCountry | The holder of the security has to certify, in line with the terms of the corporate action, that it is not domiciled in the country indicated. |
| FULL | FullBeneficialOwnerBreakdown | The holder of the security has to provide his beneficial owner details for disclosure/instruction purpose. |
| NCOM | NonCompany | The holder of the security has to certify he is an Non-Company related person. |
| QIBB | QIBCertification | The holder of the security has to irrevocably certify that it is a Qualified Institutional Buyer as defined in US Securities and Exchange Commission Rule 144A. |
| TRBD | TaxRateBreakdown | The holder of the security has to provide basic details on nominals and associated tax rate to be used by the account servicer. |
| PAPW | BeneficialOwnerPaperwork | Indicates if the Beneficial Owner is responsible to fill in the paperwork. |
| PABD | ICSDParticipantBreakdown | The (I)CSD has to provide its participants' details for disclosure purpose to the issuer/issuer's agent. |
| FRAC | FractionBreakdown | Indicates that the rounding rule in the Fraction Disposition component at the option level can be offered at the beneficial owner level. |

### 4.1.9.2.2  Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Beneficial owner certification type expressed in a proprietary form.

**Proprietary <Prtry>** contains the following elements (see <u>"GenericIdentification30" on page 94</u> for details)

| Or | MessageElement<*XML Tag*> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | Identification *<Id>* | [1..1] | Text | | 94 |
| | Issuer *<Issr>* | [1..1] | Text | | 95 |
| | SchemeName *<SchmeNm>* | [0..1] | Text | | 95 |

### 4.1.9.3  ReportItemRejectionReason1Choice

*Definition:* Provides the report item rejection reason in a coded or proprietary form.

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| {Or | Code *<Cd>* | [1..1] | CodeSet | | 99 |
| Or} | Proprietary *<Prtry>* | [1..1] | ± | | 102 |

### 4.1.9.3.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Status reason expressed as a code.

*Datatype:* "HoldingRejectionReason41Code" on page 125

| CodeName | Name | Definition |
|---|---|---|
| INPR | InvalidPrice | Price does not comply with the financial instrument's characteristics. |
| INID | InvalidIdentification | Instruction contains an invalid message identification, identification is unknown. |
| AGIN | InvalidAgent | Invalid agent identification supplied. |
| INTE | Intermediary | Intermediary is not recognised or is invalid. |
| CERT | IncorrectCertification | Instruction is rejected since the provided certification is incorrect or incomplete. |
| BPAR | BusinessPartnerNumberRejection | Unrecognised or invalid business partner number. |
| BREF | BankReferenceNumberRejection | Unrecognised or invalid bank reference number. |
| DADR | AddressDetailsRejection | Address details are incorrect or cannot be recognised. |
| DCUS | DeliveringCustodian | Unrecognised or invalid delivering custodian. |
| IACT | IncorrectActivityType | Incorrect activity type specified, for example, pre-release conversion. |
| INVA | InvalidForTaxAuthorities | For tax reclaim, the reclaim is invalid for the tax authorities. |
| INDT | InvalidDetails | Message details specified in the instruction/request are inconsistent with those that were specified in the relating original message. |
| OPTI | InvalidOption | Invalid combination of corporate action option code and corporate action option number. |
| OPTY | InvalidOptionType | Invalid option type. |
| INMO | InvalidMovementInformation | Details specified in the movement general information block are inconsistent with those that were specified in the relating original message. |
| INVM | InvalidModificationRequest | Invalid or unrecognized modification request. |

| CodeName | Name | Definition |
|---|---|---|
| INUS | InvalidUnderlyingSecurity | Underlying security identification does not correspond with the corporate action reference supplied. |
| DSEC | InvalidSecurity | Unrecognised or invalid financial instrument identification. |
| ENDP | MissingPeriodEndDate | Period ending date or code is missing. |
| STAR | MissingPeriodStartDate | Period starting date or code is missing. |
| SECO | MissingOption | Second option is mandatory. |
| NOHO | NoHolding | No holding for the specified underlying security. |
| NINS | NoInstrumentMarket | Referred instrument does not exist in combination with the mentioned market. |
| NOAP | NotApplicable | Instruction type is not applicable for mandatory events. |
| NAUT | NotAuthorised | Permission to be processed is not granted. |
| AGID | NotDefinedAgent | Party is not defined as an agent. |
| DISP | NotEligibleDisperseSecurity | Disperse security is not eligible in the (ICSD) service provider owner. |
| CORR | NotIdentifiedCorrespondentBank | Unable to identify correspondent bank. |
| INPS | PlaceOfSafekeeping | Unrecognised, invalid or missing place of safekeeping. |
| PLCE | PlaceOfTrade | Unrecognised or invalid place of trade. |
| PRIC | PriceExceeds | Price in the execution exceeds the order price. |
| IVAG | ReceivingAgent | Receiving agent is not recognised or is invalid. |
| QUNP | QuantityUnitType | Quantity unit type is not provided. |
| DQUA | QuantityRejection | Unrecognised or invalid instructed quantity. |
| EQTY | QuantityExceeds | Quantity in the execution exceeds the ordered quantity. |
| DEPT | ReceivingDeliveringDepository | Unrecognised or invalid depository. |
| RCUS | ReceivingCustodian | Unrecognised or invalid receiving agent. |
| SAFE | SafekeepingAccountRejection | Unrecognised or invalid message sender's safekeeping account. |
| DMON | SettlementAmountRejection | Unrecognised or invalid settlement amount. |
| NCRR | SettlementAmountCurrencyRejection | Unrecognised or invalid settlement amount currency. |
| TQNP | TradedSecuritiesQuantity | Traded securities quantity not provided. |
| SETR | SettlementTransactionRejection | Unrecognised or invalid settlement transaction type. |

| CodeName | Name | Definition |
|---|---|---|
| UKWN | UnknownSymbol | Financial instrument's symbol has not been recognized. |
| DDEA | DealPrice | Unrecognised or invalid deal price. |
| TERM | ClosingDateTimeRejection | Unrecognised or invalid closing date/time. |
| ULNK | InvalidReference | Linked reference is unknown. |
| NARR | NarrativeReason | See narrative field for reason. |
| NRGN | NotFoundRejection | Instruction could not be found. |
| INVB | InvalidBalance | Instruction aims at using an invalid balance. |
| ADEA | AccountServicerDeadlineMissed | Transaction/instruction received after the account servicer's specified deadline. |
| CASH | CashAccount | Unrecognised or invalid cash account. |
| COMC | CommercializationContractRejection | Unrecognised or invalid commercialisation contract. |
| CONL | ConcentrationLimitExceeded | Concentration limit was exceeded. |
| INHO | InsufficientBalance | Insufficient balance. |
| ICOL | InsufficientCollateral | Insufficient collateral proposed. |
| INVE | InvalidInvestorParty | Unrecognised or invalid investor party. May be used by an executing party to reject an instruction for an investor (or portfolio) for which it is not authorised to act. |
| INVN | InvalidLotNumber | Invalid or unrecognized lot number. |
| INVL | InvalidLink | Invalid or unrecognized link. |
| VALR | InvalidRule | Account servicer validation rule rejection. |
| INUK | InvestorNameAddressUnknown | Investor name and address is not recognised. |
| LATT | Late | Instruction/Request arrives too late. |
| MINO | MinimumSettlementQuantity | Quantity instructed is lower than the minimum existing settlement quantity for the financial instrument. |
| BOIS | MissingBeneficiaryOwnerDetails | Rejected due to missing beneficiary owner details. |
| MCER | MissingCertification | Certification has not been filled in. |
| IPOA | MissingOrInvalidPOA | Missing or invalid power of attorney. |
| MUNO | MultipleSettlementQuantity | Quantity instructed is not a multiple of an existing settlement quantity lot for the financial instrument. |
| INNA | NarrativeInformationRejection | Unrecognised or invalid service level agreement pre-agreed narrative information. |
| NINV | NoInventory | Requested financial instrument is not available. |

| CodeName | Name | Definition |
|----------|------|------------|
| ELIG | NonEligibleSecurity | Security is not eligible. |
| PERI | PeriodEndDateBeforeStartDate | Period ending date is before period starting date. |
| REFE | ReferenceRejection | Instruction has a reference identical to another previously received instruction. |
| SAID | SameIdentification | Several messages with the same identification. |
| OWNT | TypeOfOwnershipRejection | Type of ownership indicated is not correct. |
| NTAV | NotAvailable | Reason is not available or unknown. |

### 4.1.9.3.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Status reason expressed as a proprietary code

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification30" on page 94 for details)

| Or | MessageElement<*XML Tag*> | Mult. | Type | Constr. No. | Page |
|----|---------------------------|-------|------|-------------|------|
| | Identification <*Id*> | [1..1] | Text | | 94 |
| | Issuer <*Issr*> | [1..1] | Text | | 95 |
| | SchemeName <*SchmeNm*> | [0..1] | Text | | 95 |

## 4.1.9.4 Role5Choice

*Definition:* Choice of format for a party role.

| Or | MessageElement<*XML Tag*> | Mult. | Type | Constr. No. | Page |
|----|---------------------------|-------|------|-------------|------|
| {Or | Code <*Cd*> | [1..1] | CodeSet | | 102 |
| Or} | Proprietary <*Prtry*> | [1..1] | ± | | 103 |

### 4.1.9.4.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Role expressed in as a code.

*Datatype:* "InvestmentFundRole2Code" on page 129

| CodeName | Name | Definition |
|----------|------|------------|
| FMCO | FundManagementCompany | Party that sets up a fund, decides upon the investment strategy, appoints agents, and is responsible for the promotion and the marketing of the fund. This party makes all the strategic decisions related to a fund. |
| REGI | Registrar | Party responsible for keeping track of the owners of securities. In the investment |

| CodeName | Name | Definition |
|---|---|---|
| | | fund business, this party keeps the investor registry of the fund, and administers investor accounts and related records. It is appointed by the fund management company. |
| TRAG | TransferAgent | Party appointed by the fund management company. This party updates records of investor accounts to reflect the daily investor purchases, redemptions, switches, transfers, and re-registrations. It ensures the timely settlement of transactions, and may provide tax information to the investor and/or to its intermediaries. It may calculate, collect, and rebate commissions. It prepares and distributes confirmations reflecting transactions, resulting in unit or cash account movements to the investor or the investor's intermediary. It responds to inquiries concerning account status, and processes the income distribution. |
| INTR | Intermediary | Party that provides services to investors relating to financial products. These services may include some, or all of, provision of information and advice on products, placement of investment orders, transmission of payment, custody of assets, and the administration of rights and benefits. In the specific framework of investment funds industry, an intermediary may present information about funds to potential investors, and solicit orders for the fund. This intermediary may facilitate the transmission of the orders and information from/to the investors and/or other intermediaries. The intermediary receives commission from the Fund and/or fees from the investor. |
| DIST | Distributor | Party that act as an wholesaler of funds. |
| CONC | Concentrator | Party that acts as an aggregator of funds, also called a funds hub. |
| UCL1 | UnderlyingClient1 | Underlying client of the intermediary. |
| UCL2 | UnderlyingClient2 | Underlying client of underlying client 1. |
| TRAN | TransmittingAgent | Party that transmits the instruction, advice, notification or report. |

### 4.1.9.4.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Role expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see <u>"GenericIdentification36" on page 95</u> for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|-------|------|-------------|------|
| | Identification <Id> | [1..1] | Text | | 95 |
| | Issuer <Issr> | [1..1] | Text | | 95 |
| | SchemeName <SchmeNm> | [0..1] | Text | | 95 |

## 4.1.9.5  BeneficialOwner2

*Definition:* Provides information about the beneficial owner of the securities.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|-------|------|-------------|------|
| | BeneficialOwnerIdentification <BnfclOwnrId> | [1..1] | ± | | 104 |
| | AdditionalIdentification <AddtlId> | [0..1] | | | 105 |
| | Identification <Id> | [1..1] | Text | | 105 |
| | Type <Tp> | [1..1] | | | 105 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 105 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 106 |
| | Issuer <Issr> | [0..1] | Text | | 107 |
| | IssueDate <IsseDt> | [0..1] | Date | | 107 |
| | ExpiryDate <XpryDt> | [0..1] | Date | | 107 |
| | IssuerCountry <IssrCtry> | [0..1] | CodeSet | | 107 |
| | Nationality <Ntlty> | [0..1] | CodeSet | | 107 |
| | DomicileCountry <DmclCtry> | [0..1] | CodeSet | | 107 |
| | NonDomicileCountry <NonDmclCtry> | [0..1] | CodeSet | | 107 |
| | CertificationIndicator <CertfctnInd> | [0..1] | Indicator | | 107 |
| | CertificationType <CertfctnTp> | [0..1] | ± | | 108 |
| | DeclarationDetails <DclrtnDtls> | [0..1] | Text | | 108 |

### 4.1.9.5.1  BeneficialOwnerIdentification <BnfclOwnrId>

*Presence:* [1..1]

*Definition:* Identification of the party that is the beneficial owner of the specified financial instrument.

**BeneficialOwnerIdentification <BnfclOwnrId>** contains the following elements (see "PartyIdentification100" on page 111 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | Identification <Id> | [1..1] | ± | | 111 |
| | LEI <LEI> | [0..1] | IdentifierSet | | 111 |

### 4.1.9.5.2 AdditionalIdentification <AddtlId>

*Presence:* [0..1]

*Definition:* Additional identification of the party that is the beneficial owner of the specified financial instrument.

**AdditionalIdentification <AddtlId>** contains the following **AlternateIdentification4** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | Identification <Id> | [1..1] | Text | | 105 |
| | Type <Tp> | [1..1] | | | 105 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 105 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 106 |
| | Issuer <Issr> | [0..1] | Text | | 107 |
| | IssueDate <IsseDt> | [0..1] | Date | | 107 |
| | ExpiryDate <XpryDt> | [0..1] | Date | | 107 |
| | IssuerCountry <IssrCtry> | [0..1] | CodeSet | | 107 |

### 4.1.9.5.2.1 Identification <Id>

*Presence:* [1..1]

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

*Datatype:* "Max35Text" on page 139

### 4.1.9.5.2.2 Type <Tp>

*Presence:* [1..1]

*Definition:* Specifies the nature of the identification.

**Type <Tp>** contains one of the following **OtherIdentification4Choice** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| {Or | Code <Cd> | [1..1] | CodeSet | | 105 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 106 |

### 4.1.9.5.2.2.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Type of identification expressed as a code.

*Datatype:* "PersonIdentificationType6Code" on page 130

| CodeName | Name | Definition |
|---|---|---|
| AREG | AlienRegistrationNumber | Number assigned by a government agency to identify foreign nationals. |
| CPFA | CPFAccountNumber | Account issued by the Central Provident Fund Board (Singapore). |
| DRLC | DriversLicenseNumber | Number assigned by a license authority to a driver's license. |
| EMID | EmployerIdentificationNumber | Number assigned to an employer by a registration authority. |
| IDCD | IdentityCardNumber | Number assigned by a national authority to an identity card. |
| NRIN | NationalRegistrationIdentificationNumber | National registration identification number. In Singapore this is known as the NRIC. |
| OTHR | Other | Another type of identification type. |
| PASS | PassportNumber | Number assigned by a passport authority to a passport. |
| POCD | PostOfficeCardNumber | Post office card number as assigned by a national post office. |
| SOCS | SocialSecurityNumber | Number assigned by a social security agency. |
| SRSA | SRSAccountNumber | Supplementary retirement scheme account number. |
| GUNL | GunLicenseNumber | Gun license number as assigned by a gun licensing authority. |
| ATIN | AdoptionTaxpayerIdentificationNumber | Temporary tax processing number (used in the domestic adoption of a child). |
| GTIN | GenericTaxIdentificationNumber | Generic tax identification number. |
| ITIN | IndividualTaxpayerIdentificationNumber | Tax processing number. |

### 4.1.9.5.2.2.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Type of identification expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification36" on page 95 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | Identification <Id> | [1..1] | Text | | 95 |
| | Issuer <Issr> | [1..1] | Text | | 95 |
| | SchemeName <SchmeNm> | [0..1] | Text | | 95 |

### 4.1.9.5.2.3 Issuer <Issr>

*Presence:* [0..1]

*Definition:* Entity that assigns the identifier.

*Datatype:* "Max35Text" on page 139

### 4.1.9.5.2.4 IssueDate <IsseDt>

*Presence:* [0..1]

*Definition:* Date at which the identification was issued.

*Datatype:* "ISODate" on page 135

### 4.1.9.5.2.5 ExpiryDate <XpryDt>

*Presence:* [0..1]

*Definition:* Date at which the identification expires.

*Datatype:* "ISODate" on page 135

### 4.1.9.5.2.6 IssuerCountry <IssrCtry>

*Presence:* [0..1]

*Definition:* Country that issued the identification document.

*Datatype:* "CountryCode" on page 123

### 4.1.9.5.3 Nationality <Ntlty>

*Presence:* [0..1]

*Definition:* Nationality of the beneficial owner.

*Datatype:* "CountryCode" on page 123

### 4.1.9.5.4 DomicileCountry <DmclCtry>

*Presence:* [0..1]

*Definition:* Country in which the person is permanently domiciled (the place of a person's permanent home).

*Datatype:* "CountryCode" on page 123

### 4.1.9.5.5 NonDomicileCountry <NonDmclCtry>

*Presence:* [0..1]

*Definition:* Country for which the holder of the financial instrument must specify that it is not domiciled. (The holder must certify, in line with the terms of the corporate action, that it is not domiciled in the country indicated.)

*Datatype:* "CountryCode" on page 123

### 4.1.9.5.6 CertificationIndicator <Certfctnlnd>

*Presence:* [0..1]

*Definition:* Indicates whether certification is required from the account owner. (Yes means that certification is required. No means certification is not required.)

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 137):

- *Meaning When True:* Yes

- *Meaning When False:* No

### 4.1.9.5.7 CertificationType <Certfctn Tp>

*Presence:* [0..1]

*Definition:* Type of beneficial owner certification that is required.

**CertificationType <CertfctnTp>** contains one of the following elements (see "BeneficiaryCertificationType9Choice" on page 97 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|----|---------------------------|-------|------|-------------|------|
| {Or | Code *<Cd>* | [1..1] | CodeSet | | 97 |
| Or} | Proprietary *<Prtry>* | [1..1] | ± | | 98 |

### 4.1.9.5.8 DeclarationDetails <DclrtnDtls>

*Presence:* [0..1]

*Definition:* Declaration details related to the financial instrument, for example, beneficial ownership.

*Datatype:* "Max350Text" on page 139

## 4.1.9.6 UpdateType4Choice

*Definition:* Choice of format for the update information.

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

### 4.1.9.6.1 Code <Cd>

*Presence:* [1..1]

*Definition:* Update type expressed in coded form.

*Datatype:* "StatementUpdateType1Code" on page 134

| CodeName | Name | Definition |
|----------|------|------------|
| COMP | Complete | Statement is complete. |
| DELT | Delta | Statement contains changes only. |

### 4.1.9.6.2 Proprietary <Prtry>

*Presence:* [1..1]

*Definition:* Update type expressed as a proprietary code.

**Proprietary <Prtry>** contains the following elements (see "GenericIdentification30" on page 94 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | Identification <Id> | [1..1] | Text | | 94 |
| | Issuer <Issr> | [1..1] | Text | | 95 |
| | SchemeName <SchmeNm> | [0..1] | Text | | 95 |

## 4.1.9.7 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 | | 109 |
| | Envelope <Envlp> | [1..1] | (External Schema) | | 109 |

**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.

### 4.1.9.7.1 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 139

### 4.1.9.7.2 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.

## 4.1.9.8 Pagination

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

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | PageNumber *<PgNb>* | [1..1] | Text | | 110 |
| | LastPageIndicator *<LastPgInd>* | [1..1] | Indicator | | 110 |

### 4.1.9.8.1 PageNumber <PgNb>

*Presence:* [1..1]

*Definition:* Page number.

*Datatype:* "Max5NumericText" on page 139

### 4.1.9.8.2 LastPageIndicator <LastPgInd>

*Presence:* [1..1]

*Definition:* Indicates the last page.

*Datatype:* One of the following values must be used (see "YesNoIndicator" on page 137):

• *Meaning When True:* Yes

• *Meaning When False:* No

# 4.1.10 Party Identification

## 4.1.10.1 PartyIdentification71Choice

*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 | | 110 |
| Or | ProprietaryIdentification *<PrtryId>* | [1..1] | ± | | 110 |
| Or} | NameAndAddress *<NmAndAdr>* | [1..1] | ± | | 111 |

### 4.1.10.1.1 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)".

*Datatype:* "AnyBICIdentifier" on page 136

### 4.1.10.1.2 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 95 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | Identification *<Id>* | [1..1] | Text | | 95 |
| | Issuer *<Issr>* | [1..1] | Text | | 95 |
| | SchemeName *<SchmeNm>* | [0..1] | Text | | 95 |

### 4.1.10.1.3  NameAndAddress <NmAndAdr>

*Presence:* [1..1]

*Definition:* Name and address of a party.

**NameAndAddress <NmAndAdr>** contains the following elements (see "NameAndAddress5" on page 113 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | Name *<Nm>* | [1..1] | Text | | 113 |
| | Address *<Adr>* | [0..1] | ± | | 113 |

## 4.1.10.2  PartyIdentification100

*Definition:* Identification of the party.

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | Identification *<Id>* | [1..1] | ± | | 111 |
| | LEI *<LEI>* | [0..1] | IdentifierSet | | 111 |

### 4.1.10.2.1  Identification <Id>

*Presence:* [1..1]

*Definition:* Unique identification of the party.

**Identification <Id>** contains one of the following elements (see "PartyIdentification71Choice" on page 110 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| {Or | AnyBIC *<AnyBIC>* | [1..1] | IdentifierSet | | 110 |
| Or | ProprietaryIdentification *<PrtryId>* | [1..1] | ± | | 110 |
| Or} | NameAndAddress *<NmAndAdr>* | [1..1] | ± | | 111 |

### 4.1.10.2.2  LEI <LEI>

*Presence:* [0..1]

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

---

*Datatype:* "LEIIdentifier" on page 137

### 4.1.10.3 Intermediary29

*Definition:* Party that provides services to investors relating to financial products.

| Or | MessageElement<*XML Tag*> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | Identification <*Id*> | [1..1] | ± | | 112 |
| | Role <*Role*> | [1..1] | ± | | 112 |
| | OrderOriginatorEligibility <*OrdrOrgtrElgblty*> | [0..1] | CodeSet | | 112 |
| | SupplementaryData <*SplmtryData*> | [0..*] | ± | | 113 |

**Constraints**

- **OrderOriginatorEligibility1Rule**

  OrderOriginatorEligibility may only be present if Role is either UCL1 or UCL2.

#### 4.1.10.3.1 Identification <Id>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identifier of the intermediary.

**Identification <Id>** contains the following elements (see "PartyIdentification100" on page 111 for details)

| Or | MessageElement<*XML Tag*> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | Identification <*Id*> | [1..1] | ± | | 111 |
| | LEI <*LEI*> | [0..1] | IdentifierSet | | 111 |

#### 4.1.10.3.2 Role <Role>

*Presence:* [1..1]

*Definition:* Function performed by the intermediary.

**Role <Role>** contains one of the following elements (see "Role5Choice" on page 102 for details)

| Or | MessageElement<*XML Tag*> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| {Or | Code <*Cd*> | [1..1] | CodeSet | | 102 |
| Or} | Proprietary <*Prtry*> | [1..1] | ± | | 103 |

#### 4.1.10.3.3 OrderOriginatorEligibility <OrdrOrgtrElgblty>

*Presence:* [0..1]

*Definition:* Counterparties eligibility as defined by article 24 of the EU MiFID Directive applicable to transactions executed by investment firms for eligible counterparties.

*Datatype:* "OrderOriginatorEligibility1Code" on page 130

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| CodeName | Name | Definition |
|---|---|---|
| ELIG | Eligible | Eligible counterparty - MiFID classification of counterparty. Eligible customers are the most sophisticated level of investor, able to opt out of some the protections afforded by conduct of business rules defined under MiFID. |
| RETL | Retail | Retail client - MiFID classification of counterparty. Retail customers are the least sophisticated level of investor. |
| PROF | Professional | Professional client - MiFID classification of counterparty. Professional customers are, for example, investment firms, credit institutions, insurance companies. |

### 4.1.10.3.4 SupplementaryData <SplmtryData>

*Presence:* [0..*]

*Definition:* Additional information that cannot be captured in the structured elements and/or any other specific block.

**SupplementaryData <SplmtryData>** contains the following elements (see "SupplementaryData1" on page 109 for details)

| Or | MessageElement<*XML Tag*> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
|  | PlaceAndName <*PlcAndNm*> | [0..1] | Text |  | 109 |
|  | Envelope <*Envlp*> | [1..1] | (External Schema) |  | 109 |

# 4.1.11    Postal Address

## 4.1.11.1  NameAndAddress5

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

| Or | MessageElement<*XML Tag*> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
|  | Name <*Nm*> | [1..1] | Text |  | 113 |
|  | Address <*Adr*> | [0..1] | ± |  | 113 |

### 4.1.11.1.1 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 139

### 4.1.11.1.2 Address <Adr>

*Presence:* [0..1]

*Definition:* Postal address of a party.

**Address <Adr>** contains the following elements (see "PostalAddress1" on page 114 for details)

| Or | MessageElement<*XML Tag*> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | AddressType <*AdrTp*> | [0..1] | CodeSet | | 114 |
| | AddressLine <*AdrLine*> | [0..5] | Text | | 115 |
| | StreetName <*StrtNm*> | [0..1] | Text | | 115 |
| | BuildingNumber <*BldgNb*> | [0..1] | Text | | 115 |
| | PostCode <*PstCd*> | [0..1] | Text | | 115 |
| | TownName <*TwnNm*> | [0..1] | Text | | 115 |
| | CountrySubDivision <*CtrySubDvsn*> | [0..1] | Text | | 115 |
| | Country <*Ctry*> | [1..1] | CodeSet | | 115 |

## 4.1.11.2  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 | | 114 |
| | AddressLine <*AdrLine*> | [0..5] | Text | | 115 |
| | StreetName <*StrtNm*> | [0..1] | Text | | 115 |
| | BuildingNumber <*BldgNb*> | [0..1] | Text | | 115 |
| | PostCode <*PstCd*> | [0..1] | Text | | 115 |
| | TownName <*TwnNm*> | [0..1] | Text | | 115 |
| | CountrySubDivision <*CtrySubDvsn*> | [0..1] | Text | | 115 |
| | Country <*Ctry*> | [1..1] | CodeSet | | 115 |

### 4.1.11.2.1  AddressType <AdrTp>

*Presence:* [0..1]

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

*Datatype:* "AddressType2Code" on page 122

| 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. |

### 4.1.11.2.2 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 140

### 4.1.11.2.3 StreetName <StrtNm>

*Presence:* [0..1]

*Definition:* Name of a street or thoroughfare.

*Datatype:* "Max70Text" on page 140

### 4.1.11.2.4 BuildingNumber <BldgNb>

*Presence:* [0..1]

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

*Datatype:* "Max16Text" on page 139

### 4.1.11.2.5 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 139

### 4.1.11.2.6 TownName <TwnNm>

*Presence:* [0..1]

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

*Datatype:* "Max35Text" on page 139

### 4.1.11.2.7 CountrySubDivision <CtrySubDvsn>

*Presence:* [0..1]

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

*Datatype:* "Max35Text" on page 139

### 4.1.11.2.8 Country <Ctry>

*Presence:* [1..1]

*Definition:* Nation with its own government.

*Datatype:* "CountryCode" on page 123

# 4.1.12       Price

## 4.1.12.1  PriceRateOrAmountChoice

*Definition:* Choice of formats for the price.

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|----|---------------------------|-------|------|-------------|------|
| {Or | Rate *<Rate>* | [1..1] | Rate | | 116 |
| Or} | Amount *<Amt>* | [1..1] | Amount | | 116 |

### 4.1.12.1.1  Rate <Rate>

*Presence:* [1..1]

*Definition:* Price expressed as a rate, that is percentage.

*Datatype:* "PercentageRate" on page 137

### 4.1.12.1.2  Amount <Amt>

*Presence:* [1..1]

*Definition:* Price expressed as a currency and value.

*Datatype:* "ActiveOrHistoricCurrencyAnd13DecimalAmount" on page 121

## 4.1.12.2  Price6

*Definition:* Provides the value, type and source of price.

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|----|---------------------------|-------|------|-------------|------|
| | RateOrAmount *<RateOrAmt>* | [1..1] | ± | | 116 |
| | Type *<Tp>* | [1..1] | CodeSet | | 116 |
| | Source *<Src>* | [1..1] | CodeSet | | 118 |

### 4.1.12.2.1  RateOrAmount <RateOrAmt>

*Presence:* [1..1]

*Definition:* Value of the price expressed as a currency and value or as a rate.

**RateOrAmount <RateOrAmt>** contains one of the following elements (see "PriceRateOrAmountChoice" on page 116 for details)

| Or | MessageElement*<XML Tag>* | Mult. | Type | Constr. No. | Page |
|----|---------------------------|-------|------|-------------|------|
| {Or | Rate *<Rate>* | [1..1] | Rate | | 116 |
| Or} | Amount *<Amt>* | [1..1] | Amount | | 116 |

### 4.1.12.2.2  Type <Tp>

*Presence:* [1..1]

*Definition:* Specification of the price type.

*Datatype:* "TypeOfPrice13Code" on page 134

| CodeName | Name | Definition |
|---|---|---|
| BIDE | Bid | Price is the calculated bid price of a dual-priced fund (offer-bid prices), ie, the selling price of the units for the investor. |
| OFFR | Offer | Price is the calculated offer price of a dual-priced investment fund (offer-bid prices), ie, the buying price of the units for an investor. |
| NAVL | NetAssetValue | Price is the net asset value per unit that is used either as a transacting price for a single-priced investment fund class, or as a notional price for the calculation of other prices. |
| CREA | Creation | Price is the calculated creation price of a dual-priced investment fund (creation-cancellation prices) and the highest possible buying price of the units before the initial charge. The actual buying or offer price, which includes charges, will be higher. |
| CANC | Cancellation | Price is the calculated cancellation price of a dual-priced investment fund (creation-cancellation price), and the lowest possible valuation of the units on any one-day. The actual selling or bid price is usually higher. |
| INTE | Interim | Price is the non-official interim price given to an investor before the executed price. |
| SWNG | Swing | Price is the calculated net asset value price of a single-priced investment fund. The price is adjusted to take into account the dealing costs due to individual large deals, or due to a significant imbalance in volumes of subscriptions vs redemptions, as an alternative to dilution levy. |
| MIDD | Mid | Price is the average price between the bid and offer prices. |
| RINV | Reinvestment | Price is the price used when reinvesting units after distribution. |
| NAVS | SidePocketNAV | Price is the estimated net asset value for the side pocket. |
| SWIC | Switch | Price is the price used when transferring units between products. |
| GAVL | GrossAssetValue | Price is the gross asset value per unit and includes the performance fee per share. It is used as the transacting price for a fund with equalisation. GAVL price minus the NAVL price = performance fee. |
| DDVR | DailyDividendRate | Price is the net income of a financial instrument, calculated on each dealing |

| CodeName | Name | Definition |
|---|---|---|
|  |  | day, and divided by all the units outstanding on that day. |
| ACTU | Actual | True offer price. |
| EGAV | EstimatedGAV | Price is the estimated gross asset value per unit and includes the performance fee per share. It is used as the transacting price for a fund with equalisation. GAVL price minus the NAVL price = performance fee. |

### 4.1.12.2.3 Source <Src>

*Presence:* [1..1]

*Definition:* Source for the price valuation.

*Datatype:* "PriceSource2Code" on page 131

| CodeName | Name | Definition |
|---|---|---|
| FUND | Fund | Source of price quotation is a fund, eg, transfer agent, fund itself. |
| THEO | Theoretical | Source of price quotation is a theoretical value based on the market yield. |
| VEND | Vendor | Source of price quotation is an external vendor. |
| EXCH | StockExchange | Source of price quotation is a stock exchange. |

# 4.1.13        Status

## 4.1.13.1 ReportItemStatus1

*Definition:* Status information of the report item.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
|  | Exception <Xcptn> | [1..1] | ± |  | 118 |
|  | AdditionalReasonInformation <AddtlRsnInf> | [0..1] | Text |  | 119 |
|  | ReportItem <RptItm> | [0..*] |  |  | 119 |
|  | AccountIdentification <AcctId> | [1..1] | ± |  | 119 |
|  | AccountLevel <AcctLvl> | [1..1] | CodeSet |  | 119 |
|  | FinancialInstrumentIdentification <FinInstrmId> | [0..1] | ± |  | 120 |
|  | ItemDate <ItmDt> | [0..1] | Date |  | 120 |

### 4.1.13.1.1 Exception <Xcptn>

*Presence:* [1..1]

*Definition:* Reason for the exception status.

---

**Exception <Xcptn>** contains one of the following elements (see <u>"ReportItemRejectionReason1Choice"</u> <u>on page 98</u> for details)

| Or | MessageElement<*XML Tag*> | Mult. | Type | Constr. No. | Page |
|----|---------------------------|-------|------|-------------|------|
| {Or | Code <*Cd*> | [1..1] | CodeSet | | 99 |
| Or} | Proprietary <*Prtry*> | [1..1] | ± | | 102 |

### 4.1.13.1.2 AdditionalReasonInformation <AddtlRsnInf>

*Presence:* [0..1]

*Definition:* Additional information about the reason for the status that cannot be provided in a structured field.

*Datatype:* <u>"Max210Text" on page 139</u>

### 4.1.13.1.3 ReportItem <RptItm>

*Presence:* [0..*]

*Definition:* Details of the report item.

**ReportItem <RptItm>** contains the following **ReportItem1** elements

| Or | MessageElement<*XML Tag*> | Mult. | Type | Constr. No. | Page |
|----|---------------------------|-------|------|-------------|------|
| | AccountIdentification <*AcctId*> | [1..1] | ± | | 119 |
| | AccountLevel <*AcctLvl*> | [1..1] | CodeSet | | 119 |
| | FinancialInstrumentIdentification <*FinInstrmId*> | [0..1] | ± | | 120 |
| | ItemDate <*ItmDt*> | [0..1] | Date | | 120 |

#### 4.1.13.1.3.1 AccountIdentification <AcctId>

*Presence:* [1..1]

*Definition:* Unique and unambiguous identification for the account between the account owner and the account servicer.

**AccountIdentification <AcctId>** contains the following elements (see <u>"SecuritiesAccount19" on</u> <u>page 78</u> for details)

| Or | MessageElement<*XML Tag*> | Mult. | Type | Constr. No. | Page |
|----|---------------------------|-------|------|-------------|------|
| | Identification <*Id*> | [1..1] | Text | | 78 |
| | Type <*Tp*> | [0..1] | ± | | 78 |
| | Name <*Nm*> | [0..1] | Text | | 78 |

#### 4.1.13.1.3.2 AccountLevel <AcctLvl>

*Presence:* [1..1]

*Definition:* Level of the safekeeping account or sub-account of the report item.

*Datatype:* <u>"HoldingAccountLevel1Code" on page 125</u>

| CodeName | Name | Definition |
|---|---|---|
| SAFE | SafekeepingAccount | Holding account is defined as the safekeeping account (Level 0). |
| LVL1 | Level1 | Holding account is defined as the sub-level 1 account. |
| LVL2 | Level2 | Holding account is defined as the sub-level 2 account. |
| LVL3 | Level3 | Holding account is defined as the sub-level 3 account. |
| LVL4 | Level4 | Holding account is defined as the sub-level 4 account. |
| LVL5 | Level5 | Holding account is defined as the sub-level 5 account. |
| LVL6 | Level6 | Holding account is defined as the sub-level 6 account. |
| LVL7 | Level7 | Holding account is defined as the sub-level 7 account. |
| LVL8 | Level8 | Holding account is defined as the sub-level 8 account. |
| LVL9 | Level9 | Holding account is defined as the sub-level 9 account. |

### 4.1.13.1.3.3 FinancialInstrumentIdentification <FinInstrmId>

*Presence:* [0..1]

*Definition:* Financial instrument identification of the report item.

**FinancialInstrumentIdentification <FinInstrmId>** contains the following elements (see "SecurityIdentification19" on page 90 for details)

| Or | MessageElement<*XML Tag*> | Mult. | Type | Constr. No. | Page |
|---|---|---|---|---|---|
| | ISIN <*ISIN*> | [0..1] | IdentifierSet | | 91 |
| | OtherIdentification <*OthrId*> | [0..*] | | | 91 |
| | Identification <*Id*> | [1..1] | Text | | 91 |
| | Suffix <*Sfx*> | [0..1] | Text | | 91 |
| | Type <*Tp*> | [1..1] | ± | | 91 |
| | Description <*Desc*> | [0..1] | Text | | 92 |

### 4.1.13.1.3.4 ItemDate <ItmDt>

*Presence:* [0..1]

*Definition:* Date of the report item.

*Datatype:* "ISODate" on page 135

# 4.2      Message Datatypes

## 4.2.1       Amount

### 4.2.1.1 ActiveOrHistoricCurrencyAnd13DecimalAmount

*Definition:* A number of monetary units specified in an active or a historic currency where the unit of currency is explicit and compliant with ISO 4217. The number of fractional digits (or minor unit of currency) is not checked as per ISO 4217: It must be lesser than or equal to 13.

Note: The decimal separator is a dot.

*Type:* Amount

This data type contains the following XML attribute:

| Name | Attribute XML Name | Datatype |
|---|---|---|
| Currency | Ccy | "ActiveOrHistoricCurrencyCode" on page 122 |

**Format**

| | |
|---|---|
| minInclusive | 0 |
| totalDigits | 18 |
| fractionDigits | 13 |

**Constraints**

- **ActiveOrHistoricCurrency**

  The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

### 4.2.1.2 ImpliedCurrencyAndAmount

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

Note: a zero amount is considered a positive amount.

*Type:* Amount

**Format**

| | |
|---|---|
| minInclusive | 0 |
| totalDigits | 18 |
| fractionDigits | 5 |

# 4.2.2      CodeSet

## 4.2.2.1 ActiveOrHistoricCurrencyCode

*Definition:* A code allocated to a currency by a Maintenance Agency under an international identification scheme, as described in the latest edition of the international standard ISO 4217 "Codes for the representation of currencies and funds".

*Type:* CodeSet

**Format**

| | |
|---|---|
| pattern | [A-Z]{3,3} |

**Constraints**

- **ActiveOrHistoricCurrency**

  The Currency Code must be registered, or have already been registered. Valid active or historic currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and may be or not be withdrawn on the day the message containing the Currency is exchanged.

## 4.2.2.2 AddressType2Code

*Definition:* Specifies the type of address.

*Type:* CodeSet

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

## 4.2.2.3 BeneficiaryCertificationType4Code

*Definition:* Specifies the type of certification required.

*Type:* CodeSet

| CodeName | Name | Definition |
|---|---|---|
| ACCI | AccreditedInvestor | The holder of the security has to irrevocably certify that it is an Accredited Investor as defined in US Securities and Exchange Commission Regulation D. |
| DOMI | DomicileCountry | The holder of the security has to certify his domicile. |
| NDOM | NonDomicileCountry | The holder of the security has to certify, in line with the terms of the corporate |

| CodeName | Name | Definition |
|----------|------|------------|
| | | action, that it is not domiciled in the country indicated. |
| FULL | FullBeneficialOwnerBreakdown | The holder of the security has to provide his beneficial owner details for disclosure/instruction purpose. |
| NCOM | NonCompany | The holder of the security has to certify he is an Non-Company related person. |
| QIBB | QIBCertification | The holder of the security has to irrevocably certify that it is a Qualified Institutional Buyer as defined in US Securities and Exchange Commission Rule 144A. |
| TRBD | TaxRateBreakdown | The holder of the security has to provide basic details on nominals and associated tax rate to be used by the account servicer. |
| PAPW | BeneficialOwnerPaperwork | Indicates if the Beneficial Owner is responsible to fill in the paperwork. |
| PABD | ICSDParticipantBreakdown | The (I)CSD has to provide its participants' details for disclosure purpose to the issuer/issuer's agent. |
| FRAC | FractionBreakdown | Indicates that the rounding rule in the Fraction Disposition component at the option level can be offered at the beneficial owner level. |

## 4.2.2.4  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).

## 4.2.2.5  EventFrequency7Code

*Definition:* Specifies the regularity of an event.

*Type:* CodeSet

| CodeName | Name | Definition |
|----------|------|------------|
| YEAR | Annual | Event takes place every year or once a year. |
| ADHO | Adhoc | Event takes place as necessary. |

| CodeName | Name | Definition |
|---|---|---|
| MNTH | Monthly | Event takes place every month or once a month. |
| DAIL | Daily | Event takes place every day. |
| INDA | IntraDay | Event takes place several times a day. |
| WEEK | Weekly | Event takes place once a week. |
| SEMI | SemiAnnual | Event takes place every six months or two times a year. |
| QUTR | Quarterly | Event takes place every three months or four times a year. |
| TOMN | EveryTwoMonths | Event takes place every two months. |
| TOWK | EveryTwoWeeks | Event takes place every two weeks. |
| TWMN | TwiceAMonth | Event takes place two times a month. |
| OVNG | Overnight | Event takes place overnight. |
| ONDE | OnDemand | Event takes place on demand. |

### 4.2.2.6  ExternalFinancialInstrumentIdentificationType1Code

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

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

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

*Type:* CodeSet

**Format**

| | |
|---|---|
| minLength | 1 |
| maxLength | 4 |

### 4.2.2.7  FormOfSecurity1Code

*Definition:* Form of a financial instrument.

*Type:* CodeSet

| CodeName | Name | Definition |
|---|---|---|
| BEAR | Bearer | The financial instrument does not specify any registration of ownership, and is payable to whomever possesses the certificate. |
| REGD | Registered | Shareholder name of the financial instrument appears in the corporation/ funds books. |

### 4.2.2.8  FrequencyGranularityType1Code

*Definition:* Defines the granularity of the frequency used for the reporting.

*Type:* CodeSet

| CodeName | Name | Definition |
|----------|------|------------|
| EMON | EndOfMonth | Event takes place at the end of each month or period of one month. |
| EWEK | EndOfWeek | Event takes place at the end of each week. |
| ESEM | EndOfSemester | Event takes place at the end of each six months (or two times a year). |
| EQRT | EndOfQuarter | Event takes place at the end of each period of three months (or four times a year). |
| EFRT | EndOfFortnight | Event takes place at the end of each two weeks. |
| EDAY | EndOfDay | Event takes place at the end of each day. |
| ENDY | EndOfYear | Event takes place at the end of each year. |

## 4.2.2.9  HoldingAccountLevel1Code

*Definition:* Specifies the level at which the safekeeping holding account has been defined.

*Type:* CodeSet

| CodeName | Name | Definition |
|----------|------|------------|
| SAFE | SafekeepingAccount | Holding account is defined as the safekeeping account (Level 0). |
| LVL1 | Level1 | Holding account is defined as the sub-level 1 account. |
| LVL2 | Level2 | Holding account is defined as the sub-level 2 account. |
| LVL3 | Level3 | Holding account is defined as the sub-level 3 account. |
| LVL4 | Level4 | Holding account is defined as the sub-level 4 account. |
| LVL5 | Level5 | Holding account is defined as the sub-level 5 account. |
| LVL6 | Level6 | Holding account is defined as the sub-level 6 account. |
| LVL7 | Level7 | Holding account is defined as the sub-level 7 account. |
| LVL8 | Level8 | Holding account is defined as the sub-level 8 account. |
| LVL9 | Level9 | Holding account is defined as the sub-level 9 account. |

## 4.2.2.10  HoldingRejectionReason41Code

*Definition:* Specifies the reason the report item is rejected.

*Type:* CodeSet

| CodeName | Name | Definition |
|---|---|---|
| INPR | InvalidPrice | Price does not comply with the financial instrument's characteristics. |
| INID | InvalidIdentification | Instruction contains an invalid message identification, identification is unknown. |
| AGIN | InvalidAgent | Invalid agent identification supplied. |
| INTE | Intermediary | Intermediary is not recognised or is invalid. |
| CERT | IncorrectCertification | Instruction is rejected since the provided certification is incorrect or incomplete. |
| BPAR | BusinessPartnerNumberRejection | Unrecognised or invalid business partner number. |
| BREF | BankReferenceNumberRejection | Unrecognised or invalid bank reference number. |
| DADR | AddressDetailsRejection | Address details are incorrect or cannot be recognised. |
| DCUS | DeliveringCustodian | Unrecognised or invalid delivering custodian. |
| IACT | IncorrectActivityType | Incorrect activity type specified, for example, pre-release conversion. |
| INVA | InvalidForTaxAuthorities | For tax reclaim, the reclaim is invalid for the tax authorities. |
| INDT | InvalidDetails | Message details specified in the instruction/request are inconsistent with those that were specified in the relating original message. |
| OPTI | InvalidOption | Invalid combination of corporate action option code and corporate action option number. |
| OPTY | InvalidOptionType | Invalid option type. |
| INMO | InvalidMovementInformation | Details specified in the movement general information block are inconsistent with those that were specified in the relating original message. |
| INVM | InvalidModificationRequest | Invalid or unrecognized modification request. |
| INUS | InvalidUnderlyingSecurity | Underlying security identification does not correspond with the corporate action reference supplied. |
| DSEC | InvalidSecurity | Unrecognised or invalid financial instrument identification. |
| ENDP | MissingPeriodEndDate | Period ending date or code is missing. |
| STAR | MissingPeriodStartDate | Period starting date or code is missing. |
| SECO | MissingOption | Second option is mandatory. |

| CodeName | Name | Definition |
|---|---|---|
| NOHO | NoHolding | No holding for the specified underlying security. |
| NINS | NoInstrumentMarket | Referred instrument does not exist in combination with the mentioned market. |
| NOAP | NotApplicable | Instruction type is not applicable for mandatory events. |
| NAUT | NotAuthorised | Permission to be processed is not granted. |
| AGID | NotDefinedAgent | Party is not defined as an agent. |
| DISP | NotEligibleDisperseSecurity | Disperse security is not eligible in the (ICSD) service provider owner. |
| CORR | NotIdentifiedCorrespondentBank | Unable to identify correspondent bank. |
| INPS | PlaceOfSafekeeping | Unrecognised, invalid or missing place of safekeeping. |
| PLCE | PlaceOfTrade | Unrecognised or invalid place of trade. |
| PRIC | PriceExceeds | Price in the execution exceeds the order price. |
| IVAG | ReceivingAgent | Receiving agent is not recognised or is invalid. |
| QUNP | QuantityUnitType | Quantity unit type is not provided. |
| DQUA | QuantityRejection | Unrecognised or invalid instructed quantity. |
| EQTY | QuantityExceeds | Quantity in the execution exceeds the ordered quantity. |
| DEPT | ReceivingDeliveringDepository | Unrecognised or invalid depository. |
| RCUS | ReceivingCustodian | Unrecognised or invalid receiving agent. |
| SAFE | SafekeepingAccountRejection | Unrecognised or invalid message sender's safekeeping account. |
| DMON | SettlementAmountRejection | Unrecognised or invalid settlement amount. |
| NCRR | SettlementAmountCurrencyRejection | Unrecognised or invalid settlement amount currency. |
| TQNP | TradedSecuritiesQuantity | Traded securities quantity not provided. |
| SETR | SettlementTransactionRejection | Unrecognised or invalid settlement transaction type. |
| UKWN | UnknownSymbol | Financial instrument's symbol has not been recognized. |
| DDEA | DealPrice | Unrecognised or invalid deal price. |
| TERM | ClosingDateTimeRejection | Unrecognised or invalid closing date/time. |
| ULNK | InvalidReference | Linked reference is unknown. |
| NARR | NarrativeReason | See narrative field for reason. |
| NRGN | NotFoundRejection | Instruction could not be found. |

| CodeName | Name | Definition |
|----------|------|------------|
| INVB | InvalidBalance | Instruction aims at using an invalid balance. |
| ADEA | AccountServicerDeadlineMissed | Transaction/instruction received after the account servicer's specified deadline. |
| CASH | CashAccount | Unrecognised or invalid cash account. |
| COMC | CommercializationContractRejection | Unrecognised or invalid commercialisation contract. |
| CONL | ConcentrationLimitExceeded | Concentration limit was exceeded. |
| INHO | InsufficientBalance | Insufficient balance. |
| ICOL | InsufficientCollateral | Insufficient collateral proposed. |
| INVE | InvalidInvestorParty | Unrecognised or invalid investor party. May be used by an executing party to reject an instruction for an investor (or portfolio) for which it is not authorised to act. |
| INVN | InvalidLotNumber | Invalid or unrecognized lot number. |
| INVL | InvalidLink | Invalid or unrecognized link. |
| VALR | InvalidRule | Account servicer validation rule rejection. |
| INUK | InvestorNameAddressUnknown | Investor name and address is not recognised. |
| LATT | Late | Instruction/Request arrives too late. |
| MINO | MinimumSettlementQuantity | Quantity instructed is lower than the minimum existing settlement quantity for the financial instrument. |
| BOIS | MissingBeneficiaryOwnerDetails | Rejected due to missing beneficiary owner details. |
| MCER | MissingCertification | Certification has not been filled in. |
| IPOA | MissingOrInvalidPOA | Missing or invalid power of attorney. |
| MUNO | MultipleSettlementQuantity | Quantity instructed is not a multiple of an existing settlement quantity lot for the financial instrument. |
| INNA | NarrativeInformationRejection | Unrecognised or invalid service level agreement pre-agreed narrative information. |
| NINV | NoInventory | Requested financial instrument is not available. |
| ELIG | NonEligibleSecurity | Security is not eligible. |
| PERI | PeriodEndDateBeforeStartDate | Period ending date is before period starting date. |
| REFE | ReferenceRejection | Instruction has a reference identical to another previously received instruction. |
| SAID | SameIdentification | Several messages with the same identification. |

| CodeName | Name | Definition |
|----------|------|------------|
| OWNT | TypeOfOwnershipRejection | Type of ownership indicated is not correct. |
| NTAV | NotAvailable | Reason is not available or unknown. |

## 4.2.2.11 InvestmentFundRole2Code

*Definition:* Specifies the role played by an actor in an investment fund transaction.

*Type:* CodeSet

| CodeName | Name | Definition |
|----------|------|------------|
| FMCO | FundManagementCompany | Party that sets up a fund, decides upon the investment strategy, appoints agents, and is responsible for the promotion and the marketing of the fund. This party makes all the strategic decisions related to a fund. |
| REGI | Registrar | Party responsible for keeping track of the owners of securities. In the investment fund business, this party keeps the investor registry of the fund, and administers investor accounts and related records. It is appointed by the fund management company. |
| TRAG | TransferAgent | Party appointed by the fund management company. This party updates records of investor accounts to reflect the daily investor purchases, redemptions, switches, transfers, and re-registrations. It ensures the timely settlement of transactions, and may provide tax information to the investor and/or to its intermediaries. It may calculate, collect, and rebate commissions. It prepares and distributes confirmations reflecting transactions, resulting in unit or cash account movements to the investor or the investor's intermediary. It responds to inquiries concerning account status, and processes the income distribution. |
| INTR | Intermediary | Party that provides services to investors relating to financial products. These services may include some, or all of, provision of information and advice on products, placement of investment orders, transmission of payment, custody of assets, and the administration of rights and benefits. In the specific framework of investment funds industry, an intermediary may present information about funds to potential investors, and solicit orders for the fund. This intermediary may facilitate the transmission of the orders and information from/to the investors and/or other intermediaries. The intermediary receives commission from the Fund and/or fees from the investor. |

| CodeName | Name | Definition |
|---|---|---|
| DIST | Distributor | Party that act as an wholesaler of funds. |
| CONC | Concentrator | Party that acts as an aggregator of funds, also called a funds hub. |
| UCL1 | UnderlyingClient1 | Underlying client of the intermediary. |
| UCL2 | UnderlyingClient2 | Underlying client of underlying client 1. |
| TRAN | TransmittingAgent | Party that transmits the instruction, advice, notification or report. |

## 4.2.2.12  NoReasonCode

*Definition:* Specifies that there is no reason available.

*Type:* CodeSet

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

## 4.2.2.13  OrderOriginatorEligibility1Code

*Definition:* Specifies the type of the counterparties eligibility as defined by article 24 of the EU MiFID Directive applicable to transactions executed by investment firms for eligible counterparties.

*Type:* CodeSet

| CodeName | Name | Definition |
|---|---|---|
| ELIG | Eligible | Eligible counterparty - MiFID classification of counterparty. Eligible customers are the most sophisticated level of investor, able to opt out of some the protections afforded by conduct of business rules defined under MiFID. |
| RETL | Retail | Retail client - MiFID classification of counterparty. Retail customers are the least sophisticated level of investor. |
| PROF | Professional | Professional client - MiFID classification of counterparty. Professional customers are, for example, investment firms, credit institutions, insurance companies. |

## 4.2.2.14  PersonIdentificationType6Code

*Definition:* Specifies an alternative identification of an individual person, for example, national registration identification number, passport number.

*Type:* CodeSet

| CodeName | Name | Definition |
|---|---|---|
| AREG | AlienRegistrationNumber | Number assigned by a government agency to identify foreign nationals. |
| CPFA | CPFAccountNumber | Account issued by the Central Provident Fund Board (Singapore). |

| CodeName | Name | Definition |
|---|---|---|
| DRLC | DriversLicenseNumber | Number assigned by a license authority to a driver's license. |
| EMID | EmployerIdentificationNumber | Number assigned to an employer by a registration authority. |
| IDCD | IdentityCardNumber | Number assigned by a national authority to an identity card. |
| NRIN | NationalRegistrationIdentificationNumber | National registration identification number. In Singapore this is known as the NRIC. |
| OTHR | Other | Another type of identification type. |
| PASS | PassportNumber | Number assigned by a passport authority to a passport. |
| POCD | PostOfficeCardNumber | Post office card number as assigned by a national post office. |
| SOCS | SocialSecurityNumber | Number assigned by a social security agency. |
| SRSA | SRSAccountNumber | Supplementary retirement scheme account number. |
| GUNL | GunLicenseNumber | Gun license number as assigned by a gun licensing authority. |
| ATIN | AdoptionTaxpayerIdentificationNumber | Temporary tax processing number (used in the domestic adoption of a child). |
| GTIN | GenericTaxIdentificationNumber | Generic tax identification number. |
| ITIN | IndividualTaxpayerIdentificationNumber | Tax processing number. |

### 4.2.2.15  PhysicalTransferType1Code

*Definition:* Specifies whether the financial instrument is to be physically delivered or is a dematerilized transfer.

*Type:* CodeSet

| CodeName | Name | Definition |
|---|---|---|
| DEMT | Dematerialised | Dematerialised transfer. |
| PHYS | Physical | Physical transfer. |

### 4.2.2.16  PriceSource2Code

*Definition:* Specifies the source of a price quotation.

*Type:* CodeSet

| CodeName | Name | Definition |
|---|---|---|
| FUND | Fund | Source of price quotation is a fund, eg, transfer agent, fund itself. |
| THEO | Theoretical | Source of price quotation is a theoretical value based on the market yield. |

| CodeName | Name | Definition |
|---|---|---|
| VEND | Vendor | Source of price quotation is an external vendor. |
| EXCH | StockExchange | Source of price quotation is a stock exchange. |

## 4.2.2.17 ReportItemStatus1Code

*Definition:* Specifies the status of an entry in a report.

*Type:* CodeSet

| CodeName | Name | Definition |
|---|---|---|
| ACPD | Accepted | Entry has been accepted by the receiver of the report. |
| REJT | Rejected | Entry has been rejected by the receiver of the report. |

## 4.2.2.18 SecuritiesBalanceType14Code

*Definition:* Specifies the type of the securities or investment fund balance.

*Type:* CodeSet

| CodeName | Name | Definition |
|---|---|---|
| AWAS | AvailableWithNoAdditionalStatus | Balance of financial instruments that are freely available with no specific additional status. |
| BTRA | BeingTransferred | Financial instrument is unavailable as a result of a transfer order, pending movement in the shareholders' register. |
| BLOK | Blocked | Balance of financial instruments that are blocked. |
| BLOV | BlockedAuthenticity | Balance of financial instruments that are blocked for verification of authenticity. |
| BLCA | BlockedCorporateAction | Balance of financial instrument blocked following a corporate action, including proxy activities. |
| BLOT | BlockedTrading | Balance of financial instruments that are blocked for trading. |
| BORR | Borrowed | Balance of financial instruments that have been borrowed from another party. |
| OPNT | OverdueNetPending | Net balance of financial instrument that is traded pending settlement and settlement is overdue. |
| PNET | NetPending | Net balance of financial instrument that is traded pending settlement. |
| COLI | CollateralIn | Balance of securities that belong to a third party and that are held for the purpose of collateralisation. |
| COLO | CollateralOut | Balance of securities that belong to the safekeeping account indicated within this |

| CodeName | Name | Definition |
|---|---|---|
| | | message, and are deposited with a third party for the purpose of collateralisation. |
| MARG | DerivativesMargin | Account is used when financing is by the broker/dealer. |
| DRAW | Drawn | Settlement transactions relates to drawn securities. |
| TRAN | InTransshipment | Transaction has been generated due to transformation following a corporate action. |
| LOAN | OnLoan | Loan for consumption. |
| REGO | OutForRegistration | Balance of financial instruments currently being processed by the institution responsible for registering the new beneficial owner (or nominee). |
| BODE | PendingBorrowedDelivery | Balance of financial instruments that are pending delivery in relation to a borrow transaction. |
| BORE | PendingBorrowedReceipt | Balance of financial instruments that are pending receipt in relation to a borrow transaction. |
| PEDA | PendingCorporateActionDelivery | Balance of financial instrument pending delivery following a corporate action. |
| PECA | PendingCorporateActionReceipt | Balance of financial instrument pending receipt following a corporate action. |
| PEND | PendingDelivery | Processing has not been completed. |
| LODE | PendingOnLoanDelivery | Balance of financial instruments that are pending delivery in relation to a lending transaction. |
| LORE | PendingOnLoanReceipt | Balance of financial instruments that are pending receipt in relation to a lending transaction. |
| PENR | PendingReceipt | The instruction is pending receipt of securities, for example, from a purchase, loan etc. |
| PLED | Pledged | Balance of securities that belong to and is kept in the safekeeping account indicated within this message, and that are pledged. |
| RSTR | Restricted | Balance of financial instruments that may only be sold under certain conditions or require legal documents. |
| OTHR | Unclassified | Other. See Narrative. |
| WDOC | WaitingDocumentation | Financial instrument is unavailable due to missing or incomplete documentation pertaining to the account, or due to a missing or incomplete order. |
| GRP1 | PurchasedInvestmentFundTaxGroupUnit1 | Purchased investment fund units that were purchased prior to the last ex-div date. |

| CodeName | Name | Definition |
|---|---|---|
| GRP2 | PurchasedInvestmentFundTaxGroupUnit2 | Purchased investment fund units that were purchased since the ex-div date, and that benefit from the tax exemption. |

### 4.2.2.19 SenderBusinessRole1Code

*Definition:* Specifies whether an account owner or account servicer sends the message.

*Type:* CodeSet

| CodeName | Name | Definition |
|---|---|---|
| AOWN | AccountOwner | Sender is the owner of the safekeeping account. The sender is disclosing the breakdown of the underlying owners of sender's holdings with the receiver. |
| ASER | AccountServicer | Sender is the account servicer of an account owned by the receiver. |

### 4.2.2.20 StatementUpdateType1Code

*Definition:* Specifies the nature of a statement update, for example, it is a complete statement.

*Type:* CodeSet

| CodeName | Name | Definition |
|---|---|---|
| COMP | Complete | Statement is complete. |
| DELT | Delta | Statement contains changes only. |

### 4.2.2.21 TypeOfPrice13Code

*Definition:* Specifies the type of price and information about the price.

*Type:* CodeSet

| CodeName | Name | Definition |
|---|---|---|
| BIDE | Bid | Price is the calculated bid price of a dual-priced fund (offer-bid prices), ie, the selling price of the units for the investor. |
| OFFR | Offer | Price is the calculated offer price of a dual-priced investment fund (offer-bid prices), ie, the buying price of the units for an investor. |
| NAVL | NetAssetValue | Price is the net asset value per unit that is used either as a transacting price for a single-priced investment fund class, or as a notional price for the calculation of other prices. |
| CREA | Creation | Price is the calculated creation price of a dual-priced investment fund (creation-cancellation prices) and the highest possible buying price of the units before the initial charge. The actual buying or offer price, which includes charges, will be higher. |

| CodeName | Name | Definition |
|---|---|---|
| CANC | Cancellation | Price is the calculated cancellation price of a dual-priced investment fund (creation-cancellation price), and the lowest possible valuation of the units on any one-day. The actual selling or bid price is usually higher. |
| INTE | Interim | Price is the non-official interim price given to an investor before the executed price. |
| SWNG | Swing | Price is the calculated net asset value price of a single-priced investment fund. The price is adjusted to take into account the dealing costs due to individual large deals, or due to a significant imbalance in volumes of subscriptions vs redemptions, as an alternative to dilution levy. |
| MIDD | Mid | Price is the average price between the bid and offer prices. |
| RINV | Reinvestment | Price is the price used when reinvesting units after distribution. |
| NAVS | SidePocketNAV | Price is the estimated net asset value for the side pocket. |
| SWIC | Switch | Price is the price used when transferring units between products. |
| GAVL | GrossAssetValue | Price is the gross asset value per unit and includes the performance fee per share. It is used as the transacting price for a fund with equalisation. GAVL price minus the NAVL price = performance fee. |
| DDVR | DailyDividendRate | Price is the net income of a financial instrument, calculated on each dealing day, and divided by all the units outstanding on that day. |
| ACTU | Actual | True offer price. |
| EGAV | EstimatedGAV | Price is the estimated gross asset value per unit and includes the performance fee per share. It is used as the transacting price for a fund with equalisation. GAVL price minus the NAVL price = performance fee. |

## 4.2.3 Date

### 4.2.3.1 ISODate

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

*Type:* Date

# 4.2.4 DateTime

### 4.2.4.1 ISODateTime

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

Note on the time format:

1) beginning / end of calendar day

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

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

2) fractions of second in time format

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

*Type:* DateTime

# 4.2.5 IdentifierSet

### 4.2.5.1 AnyBICIdentifier

*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)".

*Type:* IdentifierSet

*Identification scheme:* SWIFT; AnyBICIdentifier

**Format**

| | |
|---|---|
| pattern | [A-Z]{6,6}[A-Z2-9][A-NP-Z0-9]([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 by the ISO 9362 Registration Authority in the BIC directory, and consists of eight (8) or eleven (11) contiguous characters.

### 4.2.5.2 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} |

### 4.2.5.3 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:* SWIFT and DTCC; LEIIdentifier

**Format**

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

## 4.2.6 Indicator

### 4.2.6.1 YesNoIndicator

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

*Type:* Indicator

*Meaning When True:* Yes

*Meaning When False:* No

## 4.2.7 Quantity

### 4.2.7.1 DecimalNumber

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

*Type:* Quantity

**Format**

| | |
|---|---|
| totalDigits | 18 |
| fractionDigits | 17 |

## 4.2.8 Rate

### 4.2.8.1 PercentageRate

*Definition:* Rate expressed as a percentage, ie, in hundredths, eg, 0.7 is 7/10 of a percent, and 7.0 is 7%.

*Type:* Rate

**Format**

| | |
|---|---|
| totalDigits | 11 |
| fractionDigits | 10 |
| baseValue | 100.0 |

# 4.2.9　　Text

### 4.2.9.1　Exact3NumericText

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

*Type:* Text

**Format**

| | |
|---|---|
| pattern | [0-9]{3} |

### 4.2.9.2　Exact4AlphaNumericText

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

*Type:* Text

**Format**

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

### 4.2.9.3　Exact5NumericText

*Definition:* Specifies a numeric string with an exact length of 5 digits.

*Type:* Text

**Format**

| | |
|---|---|
| pattern | [0-9]{5} |

### 4.2.9.4　Max140Text

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

*Type:* Text

**Format**

| | |
|---|---|
| minLength | 1 |
| maxLength | 140 |

### 4.2.9.5　Max15NumericText

*Definition:* Specifies a numeric string with a maximum length of 15 digits.

*Type:* Text

**Format**

| | |
|---|---|
| pattern | [0-9]{1,15} |

### 4.2.9.6 Max16Text

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

*Type:* Text

**Format**

| | |
|---|---|
| minLength | 1 |
| maxLength | 16 |

### 4.2.9.7 Max210Text

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

*Type:* Text

**Format**

| | |
|---|---|
| minLength | 1 |
| maxLength | 210 |

### 4.2.9.8 Max350Text

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

*Type:* Text

**Format**

| | |
|---|---|
| minLength | 1 |
| maxLength | 350 |

### 4.2.9.9 Max35Text

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

*Type:* Text

**Format**

| | |
|---|---|
| minLength | 1 |
| maxLength | 35 |

### 4.2.9.10 Max5NumericText

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

*Type:* Text

**Format**

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

### 4.2.9.11 Max70Text

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

*Type:* Text

**Format**

| | |
|---|---|
| minLength | 1 |
| maxLength | 70 |

## 4.2.10　　YearMonth

### 4.2.10.1 ISOYearMonth

*Definition:* Month within a particular calendar year represented by YYYY-MM (ISO 8601).

*Type:* YearMonth