

## SWIFT & Connectivity: Changes in November 2015

Clearstream Banking Frankfurt<sup>1</sup> would like to present the planned changes concerning the SWIFT Standard Release 2015 in the following announcement. These planned changes will come into effect on 23 November 2015.

The changes summarised in this document concern the following areas:

- SWIFT Standard Release;
- CBF Connectivity;
- Implementation within the Securities Markets Practice Groups (SMPGs);
- Standardisation of the different types of messages.

Each year SWIFT publishes specifications for the different ISO 15022 types of messages. These changed or enhanced specifications refer to the requirements of the National Market Practice Groups (NMPGs) and the SMPGs.

CBF will explain the technical background of the different changes/adjustments in the upgrade information.

In principle, all requirements are binding and must be adopted by all SWIFT users. The optional changes may be adopted.

The changes described below will be implemented by CBF within the framework of the SWIFT Release in November 2015.

These changes apply to messages in the ISO 15022 format which are received or sent via the SWIFT network, via IBM WebSphere MQ as well as via the File Transfer interface.

The corresponding changes for CBF are outlined below. The "network validation rules" changed by SWIFT are not presented in detail.

The information is divided into the following sections:

- Clearing and settlement services;
- Custody services.

The Client Services Connectivity is available to answer questions relating to this Release Information on +49-(0) 69-2 11-11590.

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<sup>1</sup> This announcement is published by Clearstream Banking AG (CBF), registered office at Mergenthalerallee 61, 65760 Eschborn, Germany, registered with the Commercial Register of the District Court in Frankfurt am Main, Germany, under number HRB 7500.

## 1. Clearing and settlement services

There will be changes to customer communications in the area of clearing and settlement services owing to preparatory measures for TARGET2-Securities (T2S) Wave 3. These measures were already published in the customer information document [CBF Release in November 2015: Advance announcement of changes](#) in June 2015 and are not given in detail again here.

## 2. Custody services

The changes for the CBF Custody Service, which will come into effect on 23 November 2015, are summarised in this chapter. The SWIFT messages MT564/566/568 are optional services and can be requested by the customer using [order form number 83A/B](#).

The changes described below to the SWIFT MT564 and MT566 message formats are being made owing to ongoing adjustments by CBF Custody Services to the National Market Practice (NMPGs) and International Market Practice (SMPG) and include the following focal points:

- Adjustments to the options (sequences E) of the MT564 for corporate actions, for which CBF requires instructions from its customers (TA280 with 22F::CAMV//CHOS) or customers can issue instructions (TA280 with 22F::CAMV//VOLU). These adjustments should therefore also be noted by the customer in future when issuing instructions using MT565.
- New insertion of the indicator 22F::DISF for information on the processing of fractional shares for TA280 CHOS events on the basis of interim securities
- Linking of MT564 messages from different settlement processes (with varying corporate action references) that should be assigned to the same event
- Display of an additional sub-sequence E1 in the cash option of an MT564 income notification in case the underlying security is also derecognised along with the cash distribution

### 2.1 MT564 Corporate Action Notification

#### 2.1.1 Income Events (income and redemptions)

##### **Inclusion of an additional sequence E1-SECMOVE to notify the derecognition of the underlying security**

In future, in the case of such income and redemptions for which cash is credited along with derecognition of the underlying security, derecognition of the securities will be notified in the MT564 by an additional sequence E1-Secmove in the cash option. The following KADI event types are affected by this:

- TA120 DVOP – Payments based on the cash line in a German optional dividend
- TA122 EXWA – Payments owing to exercise of warrants
- TA123 TEND – Payments owing to a squeeze out
- TA124 EXOF – Compensation or share buyback
- TA130 REDM / MCAL – Bond redemptions
- TA131 REDM / MCAL – Redemptions of participation rights
- TA132 REDM / MCAL – Redemptions of certificates
- TA133 LIQU – Liquidation of funds
- TA140 PCAL – Partial redemptions with change in nominal value

The table below shows the future message format for the MT564 Income. The changes and enhancements planned for November 2015 are highlighted therein.

Tag	Status	Field name	Format	Nov 2015 - Changes
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Mandatory Sequence A General Information

16R	M	Start of Block	GENL	
20C	M	CA Reference	:CORP//16x	
20C	M	Sender's Reference	:SEME//16x	
23G	M	Function of the Message	4!c	
22F	M	CA Event Indicator	:CAEV//4!c	
22F	M	Mandatory/Voluntary Indicator	:CAMV//MAND	
98C	O	Preparation Date	:PREP//8!n6!n	
25D	M	Processing Status	:PROC//4!c	

Repetitive Optional Subsequence A1 Linkages

16R	M	Start of Block	LINK	
13A	O	Linked Message	:LINK//3!c	
20C	M	Corporate Action Reference	:CORP//16x	
16S	M	End of Block	LINK	

End of Subsequence A1 Linkages

Repetitive Optional Subsequence A1 Linkages

16R	M	Start of Block	LINK	
20C	M	Previous Message Reference	:PREV//16x	
16S	M	End of Block	LINK	

End of Subsequence A1 Linkages

16S	M	End of Block	GENL	
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End of Sequence A General Information

Mandatory Sequence B Underlying Securities

16R	M	Start of Block	USECU	
35B	M	Identification of FI	[ISIN1!e12!c] [4*35x]	

Optional Subsequence B1 Financial Instrument Attributes

16R	M	Start of Block	FIA	
22F	O	Method of Interest Computation Indicator	:MICO//4!c	
11A	O	Currency of Denomination	:DENO//3!a	
92A	O	Previous Factor	:PRFC//[N]15d	
16S	M	End of Block	FIA	

End of Subsequence B1 Financial Instrument Attributes

Repetitive Mandatory Subsequence B2 Account Information

16R	M	Start of Block	ACCTINFO	
97A	M	Safekeeping Account	:SAFE//35x	
93B	O	Total Eligible for CA	:ELIG//4!c/15d	
93B	O	Settlement Position	:SETT//4!c/15d	
16S	M	End of Block	ACCTINFO	

End of Subsequence B2 Account Information

Tag	Status	Field name	Format	Nov 2015 - Changes
16S	M	End of Block	USECU	

End of Sequence B Underlying Securities

Optional Sequence D Corporate Action Details

16R	M	Start of Block	CADETL	
98A	0	Ex-Dividend or Distribution Date	:XDTE//8!n	
98A	0	Record Date	:RDTE//8!n	
98C	0	Deadline for Tax Breakdown Instructions	:TAXB//8!n6!n	
69A	0	Interest Period	:INPE//8!n/8!n	
99A	0	Number of Days Accrued	:DAAC//[N]3!n	
92A or 92F	0	Interest Rate	:INTR//[N]15d :INTR//3!a15d	
92A	0	Reinvestment Discount Rate to Market	:RDIS//[N]15d	
36B	0	Minimum Quantity Sought	:QTSO//4!c/15d	
17B	0	Certification Flag	:CERT//Y	
22F	0	Additional Business Process Indicator	:ADDB//4!c	
22F	0	Offer Type Indicator	:OFFE//SQUE	
16S	M	End of Block	CADETL	

End of Sequence D Corporate Action Details

Repetitive Optional Sequence E Corporate Action Options

16R	M	Start of Block	CAOPTN	
13A	M	CA Option Number	:CAON//3!c	
22F	M	CA Option Code	:CAOP//CASH	
17B	M	Default Processing Flag	:DFLT//Y	

**Additional subsequence "E1 Securities Movement" to notify the write-off of the underlying security**

<b>16R</b>	<b>M</b>	<b>Start of Block</b>	<b>SECMOVE</b>	
<b>22H</b>	<b>M</b>	<b>Credit/Debit Indicator</b>	<b>:CRDB//DEBT</b>	<b>Debit – The security will be written-off.</b>
<b>35B</b>	<b>M</b>	<b>Identification of the Financial Instrument</b>	<b>[ISIN1!e12!c] [4*35x]</b>	<b>ISIN of the security that will be written-off = (35B ISIN in sequence B)</b>
<b>98A</b>	<b>M</b>	<b>Payment Date</b>	<b>:PAYD//8!n</b>	<b>Write-off date</b>
<b>98A</b>	<b>0</b>	<b>Last Trading Date</b>	<b>:LTRD//8!n</b>	<b>Last trade of the security – Display only for KADI event types TA122, TA123 and TA124.</b>
<b>16S</b>	<b>M</b>	<b>End of Block</b>	<b>SECMOVE</b>	
<b>End of Subsequence E1 Securities Movement</b>				

Repetitive Optional Subsequence E2 Cash Movements

16R	M	Start of Block	CASHMOVE	
22H	M	Credit/Debit Indicator	:CRDB//CRED	
97A	0	Cash Account	:CASH//35x	
19B	M	Entitled Amount	:ENTL//3!a15d	

Tag	Status	Field name	Format	Nov 2015 - Changes
19B	0	Gross Amount	:GRSS//3!a15d	
19B	0	Withholding Tax Amount	:TAXR//3!a15d	
19B	0	Withholding of Foreign Tax	:WITF//3!a15d	
19B	0	Additional Tax	:ATAX//3!a15d	
98A	M	Payment Date	:PAYD//8!n	
98A, B	M	Value Date	:VALU//8!n :VALU//UKWN	
92F	0	Gross Dividend Rate	:GRSS//3!a15d	
92J	0	Proportional Disbursement of Dividend – Domestic DE	:GRSS//INCO/3! a15d/ACTU	
92J	0	Proportional Disbursement of Interest	:GRSS//INTR/3! 15d/ACTU	
92J	0	Proportional Disbursement of Dividend – Abroad	:GRSS//SOIC/3! 15d/ACTU	
92J	0	Proportional Disbursement of Dividend – Real Estate	:GRSS//REES/3! a15d/ACTU	
92J	0	Tax Related Rate	:TAXE//WITL/3! 15d/ACTU	
92J	0	Taxable Portion	:GRSS//TXBL/3! a15d/ACTU	
92J	0	Tax Free Portion	:GRSS//TXFR/3! a15d/ACTU	
92A	0	Withholding of Tax Amount	:TAXR//[N]15d	
92A	0	Withholding of Foreign Tax	:WITF//[N]15d	
92A	0	Additional Tax	:ATAX//[N]15d	
92A	0	Applicable Rate	:RATE//[N]15d	
92A or 92F	0	Interest Rate Used for Payment	:INTP//[N]15d :INTP//3!a15d	
90A or 90B	0	Generic Cash Price Received per Product	:OFFR//PRCT/15 d :OFFR//ACTU/3! a15d	
16S	M	End of Block	CASHMOVE	

End of Subsequence E2 Cash Movements

16S	M	End of Block	CAOPTN	
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End of Sequence E Corporate Action Options

Optional Sequence F Additional Information

16R	M	Start of Block	ADDINFO	
70E	0	Additional Text	:ADTX//10*35x	
70E	0	Taxation Conditions	:TAXE//10*35x	
70E	0	Narrative Version	:TXNR //10*35x	
95Q	0	Paying Agent	:PAYA//4*35x	
16S	M	End of Block	ADDINFO	

End of Sequence F Additional Information

## Change to the corporation action event indicator for settlement of the cash distribution as part of “bonus shares, alternatively in cash”

The cash distribution for the “bonus shares, alternatively in cash” event is currently processed by the KADI event type TA120 with the corporate action event indicator 22F::CAEV//BONU in the MT564 notification. In future, the CAEV “BONU” will be replaced by “DVOP”.

### 2.1.2 2-event scenario: TA210 RHD1 – TA280 EXRI

As part of the two-event scenario “capital increase in return for cash payment”, the following changes will be made in the second event (TA280 EXRI – Rights issue):

- The (sequence E) “NOAC” option will be replaced by “LAPS” (22F::CAOP//LAPS).
- The 92D::NEW0 field will be deleted in the (sequence E) “EXER” option, sub-sequence E1 “derecognition of rights”. The field will continue to be displayed in the sub-sequence E1 “booking of relevant securities”.

The table below shows the future message format for the MT564 in TA280 EXRI (second event in the 2-event scenario TA210 RHD1 – TA280 EXRI). The changes and enhancements planned for November 2015 are highlighted therein.

Tag	Status	Field name	Format	Nov 2015 - Changes
Mandatory Sequence A General Information				
16R	M	Start of Block	GENL	
20C	M	CA Reference	:CORP//16x	
20C	M	Sender’s Reference	:SEME//16x	
23G	M	Function of the Message	4!c	
22F	M	CA Event Indicator	:CAEV//EXRI	
22F	M	Mandatory/Voluntary Indicator	:CAMV//CHOS	
98C	O	Preparation Date	:PREP//8!n6!n	
25D	M	Processing Status	:PROC//4!c	
Repetitive Optional Subsequence A1 Linkages				
16R	M	Start of Block	LINK	
13A	O	Linked Message	:LINK//3!c	
20C	M	Corporate Action Reference	:CORP//16x	
16S	M	End of Block	LINK	
End of Subsequence A1 Linkages				
Repetitive Optional Subsequence A1 Linkages				
16R	M	Start of Block	LINK	
20C	M	Previous Message Reference	:PREV//16x	
16S	M	End of Block	LINK	
End of Subsequence A1 Linkages				
16S	M	End of Block	GENL	
End of Sequence A General Information				
Mandatory Sequence B Underlying Securities				
16R	M	Start of Block	USECU	
35B	M	Identification of FI	[ISIN1!e12!c]	

Tag	Status	Field name	Format	Nov 2015 - Changes
			[4*35x]	

Repetitive Mandatory Subsequence B2 Account Information

16R	M	Start of Block	ACCTINFO	
97A	M	Safekeeping Account	:SAFE//35x	
93B	0	Total Eligible for CA	:ELIG//4!c/[N]15d	
93B	0	Uninstructed Balance	:UNBA//4!c/[N]15d	
93B	0	Instructed Balance	:INBA//4!c/[N]15d	
16S	M	End of Block	ACCTINFO	

End of Subsequence B2 Account Information

16S	M	End of Block	USECU	
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End of Sequence B Underlying Securities

Repetitive Optional Sequence E Corporate Action Options (EXER)

16R	M	Start of Block	CAOPTN	
13A	0	CA Option Number	:CAON//3!c	
22F	M	CA Option Code	:CAOP//EXER	
22F	0	Option Features Indicator	:OPTF//4!c	
17B	M	Default Processing Flag	:DFLT//N	
98C	0	Early Response Deadline Date/Time	:EARD//8!n6!n	
98C	0	Response Deadline Date/Time	:RDDT//8!n6!n	
98C	0	Market Deadline Date/Time	:MKDT//8!n6!n	
69A	0	Period of Action	:PWAL//8!n/8!n	

Repetitive Optional Subsequence E1 Securities Movement

16R	M	Start of Block	SECMOVE	
22H	M	Credit/Debit Indicator	:CRDB//DEBT	
35B	M	Identification of the Financial Instrument	[ISIN1!e12!c] [4*35x]	
<b>92D</b>	<b>0</b>	<b>New to Old</b>	<b>:NEWO//15d/15d</b>	<b>The field 92D::NEWO will be removed from E1debit.</b>
98A, B	M	Payment Date	:PAYD//8!n :PAYD//4!c	
16S	M	End of Block	SECMOVE	

End of Subsequence E1 Securities Movement

Repetitive Optional Subsequence E1 Securities Movement

16R	M	Start of Block	SECMOVE	
22H	M	Credit/Debit Indicator	:CRDB//CRED	
35B	M	Identification of the Financial Instrument	[ISIN1!e12!c] [4*35x]	
92D	0	New to Old	:NEWO//15d/15d	
98A, B	M	Payment Date	:PAYD//8!n :PAYD//4!c	



Tag	Status	Field name	Format	Nov 2015 - Changes
98A	O	Dividend Ranking Date	:DIVR//8!n	
16S	M	End of Block	SECMOVE	

End of Subsequence E1 Securities Movement

Repetitive Optional Subsequence E2 Cash Movements

16R	M	Start of Block	CASHMOVE	
22H	M	Credit/Debit Indicator	:CRDB//DEBT	
97A	O	Cash Account	:CASH//35x	
98A, B	M	Payment Date	:PAYD//8!n :PAYD//4!c	
90A, B	O	Generic Cash Price Paid per Product	:PRPP//4!c/15d :PRPP//4!c/3!a1 5d	
16S	M	End of Block	CASHMOVE	

End of Subsequence E2 Cash Movements

70E	O	Additional Text	:ADTX//10*35x	
16S	M	End of Block	CAOPTN	

End of Sequence E Corporate Action Options

Repetitive Optional Sequence E Corporate Action Options (BUYA)

16R	M	Start of Block	CAOPTN	
13A	O	CA Option Number	:CAON//3!c	
22F	M	CA Option Code	:CAOP//BUYA	
22F	O	Option Features Indicator	:OPTF//4!c	
17B	M	Default Processing Flag	:DFLT//N	
98C	O	Response Deadline Date/Time	:RDDT//8!n6!n	
69A	O	Period of Action	:PWAL//8!n/8!n	

Repetitive Optional Subsequence E1 Securities Movement

16R	M	Start of Block	SECMOVE	
22H	M	Credit/Debit Indicator	:CRDB//CRED	
35B	M	Identification of the Financial Instrument	[ISIN1!e12!c] [4*35x]	
98B	M	Payment Date	:PAYD//ONGO	
16S	M	End of Block	SECMOVE	

End of Subsequence E1 Securities Movement

Repetitive Optional Subsequence E2 Cash Movements

16R	M	Start of Block	CASHMOVE	
22H	M	Credit/Debit Indicator	:CRDB//DEBT	
97A	O	Cash Account	:CASH//35x	
98B	M	Payment Date	:PAYD//ONGO	
16S	M	End of Block	CASHMOVE	

End of Subsequence E2 Cash Movements

16S	M	End of Block	CAOPTN	
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Tag	Status	Field name	Format	Nov 2015 - Changes
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End of Sequence E Corporate Action Options

Repetitive Optional Sequence E Corporate Action Options (SLLE)

16R	M	Start of Block	CAOPTN	
13A	O	CA Option Number	:CAON//3!c	
22F	M	CA Option Code	:CAOP//SLLE	
22F	O	Option Features Indicator	:OPTF//4!c	
17B	M	Default Processing Flag	:DFLT//N	
98C	O	Response Deadline Date/Time	:RDDT//8!n6!n	
69A	O	Period of Action	:PWAL//8!n/8!n	

Repetitive Optional Subsequence E1 Securities Movement

16R	M	Start of Block	SECMOVE	
22H	M	Credit/Debit Indicator	:CRDB//DEBT	
35B	M	Identification of the Financial Instrument	[ISIN1!e12!c] [4*35x]	
98B	M	Payment Date	:PAYD//ONGO	
16S	M	End of Block	SECMOVE	

End of Subsequence E1 Securities Movement

Repetitive Optional Subsequence E2 Cash Movements

16R	M	Start of Block	CASHMOVE	
22H	M	Credit/Debit Indicator	:CRDB//CRED	
97A	O	Cash Account	:CASH//35x	
98AB	M	Payment Date	:PAYD//ONGO	
16S	M	End of Block	CASHMOVE	

End of Subsequence E2 Cash Movements

16S	M	End of Block	CAOPTN	
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End of Sequence E Corporate Action Options

Repetitive Optional Sequence E Corporate Action Options (OVER)

16R	M	Start of Block	CAOPTN	
13A	O	CA Option Number	:CAON//3!c	
22F	M	CA Option Code	:CAOP//OVER	
22F	O	Option Features Indicator	:OPTF//4!c	
17B	M	Default Processing Flag	:DFLT//N	
98C	O	Early Response Deadline Date/Time	:EARD//8!n6!n	
98C	O	Response Deadline Date/Time	:RDDT//8!n6!n	
98C	O	Market Deadline Date/Time	:MKDT//8!n6!n	
69A	O	Period of Action	:PWAL//8!n/8!n	

Repetitive Optional Subsequence E1 Securities Movement

16R	M	Start of Block	SECMOVE	
22H	M	Credit/Debit Indicator	:CRDB//CRED	
35B	M	Identification of the Financial Instrument	[ISIN1!e12!c] [4*35x]	

Tag	Status	Field name	Format	Nov 2015 - Changes
98B	M	Payment Date	:PAYD//UKWN	
98A	O	Dividend Ranking Date	:DIVR//8!n	
16S	M	End of Block	SECMOVE	

End of Subsequence E1 Securities Movement

Repetitive Optional Subsequence E2 Cash Movements

16R	M	Start of Block	CASHMOVE	
22H	M	Credit/Debit Indicator	:CRDB//DEBT	
97A	O	Cash Account	:CASH//35x	
98A, B	M	Payment Date	:PAYD//8!n :PAYD//4!c	
90A, B	O	Generic Cash Price Paid per Product	:PRPP//4!c/15d :PRPP//4!c/3!a1 5d	
16S	M	End of Block	CASHMOVE	

End of Subsequence E2 Cash Movements

16S	M	End of Block	CAOPTN	
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End of Sequence E Corporate Action Options

Repetitive Optional Sequence E Corporate Action Options (LAPS)				Option "NOAC" will be replaced by "LAPS".
16R	M	Start of Block	CAOPTN	
13A	O	CA Option Number	:CAON//3!c	
22F	M	CA Option Code	:CAOP//LAPS	<b>LAPS instead of NOAC</b>
22F	O	Option Features Indicator	:OPTF//4!c	
17B	M	Default Processing Flag	:DFLT//Y	

Repetitive Optional Subsequence E1 Securities Movement

16R	M	Start of Block	SECMOVE	
22H	M	Credit/Debit Indicator	:CRDB//DEBT	
35B	M	Identification of the Financial Instrument	[ISIN1!e12!c] [4*35x]	
98A	M	Payment Date	:PAYD//8!n	
16S	M	End of Block	SECMOVE	

End of Subsequence E1 Securities Movement

16S	M	End of Block	CAOPTN	
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End of Sequence E Corporate Action Options

Optional Sequence F Additional Information

16R	M	Start of Block	ADDINFO	
70E	O	Additional Text	:ADTX// 10*35x	
16S	M	End of Block	ADDINFO	

End of Sequence F Additional Information

### 2.1.3 2-event scenario: TA211 BONU/DVSE/PINK/SPLF/SOFF – TA280 EXOF

As part of the two-event scenario “bonus shares/stock split/spin-off/payment-in-kind notes” with distribution of interim securities, the following changes will be made in the second event (TA280 EXOF – Issue of interim securities):

- The 22F::DISF//RDDN field will be newly inserted in the (sequence E) “SECU” option. Thus, customers will be notified of the settlement of fractional shares.

SWIFT 22F::DISF indicator	Meaning
22F::DISF//BUYU	Purchase of fractional shares
22F::DISF//CINL	Sale of fractional shares
22F::DISF//DIST	Allotment of fractional shares
22F::DISF//RDDN	Round down
22F::DISF//RDUP	Round up
22F::DISF//UKWN	Unknown

- The payment date is displayed with 98B::PAYD//ONGO in the (sequence E) “SECU” option, sub-sequence E1 “derecognition of interim securities”. The 92D::NEWO field has been deleted. The field will continue to be displayed in the sub-sequence E1 “booking of relevant securities”.
- The payment date is displayed with 98B::PAYD//ONGO in the (sequence E) “SECU” option, sub-sequence E1 “booking of relevant securities”.
- The (sequence E) “NOAC” option has been deleted from the message as the “SECU” option is always the default option. The default flag is set in the “SECU” option for this (17B::DFLT//Y).
- The (sequence E) “BUYA” option is only displayed if the interim securities are tradeable.
- The (sequence E) “SLLE” option is displayed.

The table below shows the future message format for the MT564 in TA280 EXOF (second event in the 2-event scenario TA211 BONU/DVSE/PINK/SPLF/SOFF – TA280 EXOF). The changes and enhancements planned for November 2015 are highlighted therein.

Tag	Status	Field name	Format	Nov 2015 - Changes
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Mandatory Sequence A General Information

16R	M	Start of Block	GENL	
20C	M	CA Reference	:CORP//16x	
20C	M	Sender's Reference	:SEME//16x	
23G	M	Function of the Message	4!c	
22F	M	CA Event Indicator	:CAEV//EXOF	
22F	M	Mandatory/Voluntary Indicator	:CAMV//CHOS	
98C	O	Preparation Date	:PREP//8!n6!n	
25D	M	Processing Status	:PROC//4!c	

Repetitive Optional Subsequence A1 Linkages

16R	M	Start of Block	LINK	
13A	O	Linked Message	:LINK//3!c	
20C	M	Corporate Action Reference	:CORP//16x	
16S	M	End of Block	LINK	

End of Subsequence A1 Linkages

Repetitive Optional Subsequence A1 Linkages

16R	M	Start of Block	LINK	
20C	M	Previous Message Reference	:PREV//16x	
16S	M	End of Block	LINK	

End of Subsequence A1 Linkages

16S	M	End of Block	GENL	
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End of Sequence A General Information

Mandatory Sequence B Underlying Securities

16R	M	Start of Block	USECU	
35B	M	Identification of FI	[ISIN1!e12!c] [4*35x]	

Repetitive Mandatory Subsequence B2 Account Information

16R	M	Start of Block	ACCTINFO	
97A	M	Safekeeping Account	:SAFE//35x	
93B	O	Total Eligible for CA	:ELIG//4!c/[N]15d	
93B	O	Uninstructed Balance	:UNBA//4!c/[N]15d	
93B	O	Instructed Balance	:INBA//4!c/[N]15d	
16S	M	End of Block	ACCTINFO	

End of Subsequence B2 Account Information

16S	M	End of Block	USECU	
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End of Sequence B Underlying Securities

Repetitive Optional Sequence E Corporate Action Options (SECU)

16R	M	Start of Block	CAOPTN	
13A	O	CA Option Number	:CAON//3!c	
22F	M	CA Option Code	:CAOP//SECU	

Tag	Status	Field name	Format	Nov 2015 - Changes
<b>22F</b>	<b>0</b>	<b>Disposition of Fractions Indicator</b>	<b>::DISF//4!c</b>	<b>Entry of the fraction indicator. See explanations at the beginning of this section.</b>
22F	0	Option Features Indicator	:OPTF//4!c	
17B	M	Default Processing Flag	:DFLT//Y	<b>SECU is the default option.</b>
98C	0	Early Response Deadline Date/Time	:EARD//8!n6!n	
98C	0	Response Deadline Date/Time	:RDDT//8!n6!n	
98C	0	Market Deadline Date/Time	:MKDT//8!n6!n	
69A	0	Period of Action	:PWAL//8!n/8!n	

Repetitive Optional Subsequence E1 Securities Movement

16R	M	Start of Block	SECMOVE	
22H	M	Credit/Debit Indicator	:CRDB//DEBT	
35B	M	Identification of the Financial Instrument	[ISIN1!e12!c] [4*35x]	
<b>92D</b>	<b>0</b>	<b><del>New to Old</del></b>	<b><del>:NEW0//15d/15d</del></b>	<b>The field 92D::NEW0 will be removed from E1 debit.</b>
98B	M	Payment Date	::PAYD//ONGO	<b>Display of ONGO</b>
16S	M	End of Block	SECMOVE	

End of Subsequence E1 Securities Movement

Repetitive Optional Subsequence E1 Securities Movement

16R	M	Start of Block	SECMOVE	
22H	M	Credit/Debit Indicator	:CRDB//CRED	
35B	M	Identification of the Financial Instrument	[ISIN1!e12!c] [4*35x]	
92D	0	New to Old	:NEW0//15d/15d	
98B	M	Payment Date	:PAYD//ONGO	<b>Display of ONGO</b>
98A	0	Dividend Ranking Date	:DIVR//8!n	
16S	M	End of Block	SECMOVE	

End of Subsequence E1 Securities Movement

70E	0	Additional Text	:ADTX//10*35x	
16S	M	End of Block	CAOPTN	

End of Sequence E Corporate Action Options

Repetitive Optional Sequence E Corporate Action Options (BUYA)

**Option (sequence E) "BUYA" will only be displayed, if the interim certificates are tradable.**

16R	M	Start of Block	CAOPTN	
13A	0	CA Option Number	:CAON//3!c	
22F	M	CA Option Code	:CAOP//BUYA	
22F	0	Option Features Indicator	:OPTF//4!c	
17B	M	Default Processing Flag	:DFLT//N	
98C	0	Response Deadline Date/Time	:RDDT//8!n6!n	
69A	0	Period of Action	:PWAL//8!n/8!n	

Tag	Status	Field name	Format	Nov 2015 - Changes
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Repetitive Optional Subsequence E1 Securities Movement

16R	M	Start of Block	SECMOVE	
22H	M	Credit/Debit Indicator	:CRDB//CRED	
35B	M	Identification of the Financial Instrument	[ISIN1!e12!c] [4*35x]	
98B	M	Payment Date	:PAYD//ONGO	
16S	M	End of Block	SECMOVE	

End of Subsequence E1 Securities Movement

Repetitive Optional Subsequence E2 Cash Movements

16R	M	Start of Block	CASHMOVE	
22H	M	Credit/Debit Indicator	:CRDB//DEBT	
97A	O	Cash Account	:CASH//35x	
98B	M	Payment Date	:PAYD//ONGO	
16S	M	End of Block	CASHMOVE	

End of Subsequence E2 Cash Movements

16S	M	End of Block	CAOPTN	
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End of Sequence E Corporate Action Options

Repetitive Optional Sequence E Corporate Action Options (SLLE)

**Generally option (sequence E)  
"SLLE" will be displayed.**

16R	M	Start of Block	CAOPTN	
13A	O	CA Option Number	:CAON//3!c	
22F	M	CA Option Code	:CAOP//SLLE	
22F	O	Option Features Indicator	:OPTF//4!c	
17B	M	Default Processing Flag	:DFLT//N	
98C	O	Response Deadline Date/Time	:RDDT//8!n6!n	
69A	O	Period of Action	:PWAL//8!n/8!n	

Repetitive Optional Subsequence E1 Securities Movement

16R	M	Start of Block	SECMOVE	
22H	M	Credit/Debit Indicator	:CRDB//DEBT	
35B	M	Identification of the Financial Instrument	[ISIN1!e12!c] [4*35x]	
98B	M	Payment Date	:PAYD//ONGO	
16S	M	End of Block	SECMOVE	

End of Subsequence E1 Securities Movement

Repetitive Optional Subsequence E2 Cash Movements

16R	M	Start of Block	CASHMOVE	
22H	M	Credit/Debit Indicator	:CRDB//CRED	
97A	O	Cash Account	:CASH//35x	
98AB	M	Payment Date	:PAYD//ONGO	
16S	M	End of Block	CASHMOVE	

End of Subsequence E2 Cash Movements

Tag	Status	Field name	Format	Nov 2015 - Changes
16S	M	End of Block	CAOPTN	

End of Sequence E Corporate Action Options

Repetitive Optional Sequence E Corporate Action Options (NOAC)

**Option (sequence E) "NOAC" will be removed.**

16R	M	Start of Block	CAOPTN	
13A	0	CA Option Number	:CAON//3!c	
22F	M	CA Option Code	:CAOP//NOAC	
22F	0	Option Features Indicator	:OPTF//4!c	
17B	M	Default Processing Flag	:DFLT//N	

~~Repetitive Optional Subsequence E1 Securities Movement~~

16R	M	Start of Block	SECMOVE	
22H	M	Credit/Debit Indicator	:CRDB//DEBT	
35B	M	Identification of the Financial Instrument	{[SIN1!e12!c] — [4*35x]}	
98A	M	Payment Date	:PAYD//8!n	
16S	M	End of Block	SECMOVE	

~~End of Subsequence E1 Securities Movement~~

16S	M	End of Block	CAOPTN	
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End of Sequence E Corporate Action Options

Optional Sequence F Additional Information

16R	M	Start of Block	ADDINFO	
70E	0	Additional Text	:ADTX// 10*35x	
16S	M	End of Block	ADDINFO	

End of Sequence F Additional Information

## 2.1.4 2-event scenario: TA211 RHDI – TA280 DVOP

As part of the two-event scenario "German optional dividend with distribution of a cash line", the following changes will be made in the second event (TA280 DVOP – Rights offering for cash line):

- The (sequence E) "CASH" option is supplemented by a sub-sequence E1 "derecognition of the cash line". Thus, the derecognition of the cash line is notified, which takes place after the cash distribution (KADI event type TA120 DVOP) via the KADI event type TA222 DVOP.
- The 92D::NEWO field will be deleted in the (sequence E) "SECU" option, sub-sequence E1 "derecognition of the cash line". The field will continue to be displayed in the sub-sequence E1 "booking of the securities line".

The table below shows the future message format for the MT564 in TA280 DVOP (second event in the 2-event scenario TA211 RHDI – TA280 DVOP). The changes and enhancements planned for November 2015 are highlighted therein.



Tag	Status	Field name	Format	Nov 2015 - Changes
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Mandatory Sequence A General Information

16R	M	Start of Block	GENL	
20C	M	CA Reference	:CORP//16x	
20C	M	Sender's Reference	:SEME//16x	
23G	M	Function of the Message	4!c	
22F	M	CA Event Indicator	:CAEV//DVOP	
22F	M	Mandatory/Voluntary Indicator	:CAMV//CHOS	
98C	O	Preparation Date	:PREP//8!n6!n	
25D	M	Processing Status	:PROC//4!c	

Repetitive Optional Subsequence A1 Linkages

16R	M	Start of Block	LINK	
13A	O	Linked Message	:LINK//3!c	
20C	M	Corporate Action Reference	:CORP//16x	
16S	M	End of Block	LINK	

End of Subsequence A1 Linkages

Repetitive Optional Subsequence A1 Linkages

16R	M	Start of Block	LINK	
20C	M	Previous Message Reference	:PREV//16x	
16S	M	End of Block	LINK	

End of Subsequence A1 Linkages

16S	M	End of Block	GENL	
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End of Sequence A General Information

Mandatory Sequence B Underlying Securities

16R	M	Start of Block	USECU	
35B	M	Identification of FI	[ISIN1!e12!c] [4*35x]	

Repetitive Mandatory Subsequence B2 Account Information

16R	M	Start of Block	ACCTINFO	
97A	M	Safekeeping Account	:SAFE//35x	
93B	O	Total Eligible for CA	:ELIG//4!c/[N]15 d	
93B	O	Uninstructed Balance	:UNBA//4!c/[N]1 5d	
93B	O	Instructed Balance	:INBA//4!c/[N]15 d	
16S	M	End of Block	ACCTINFO	

Tag	Status	Field name	Format	Nov 2015 - Changes
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End of Subsequence B2 Account Information

16S	M	End of Block	USECU	
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End of Sequence B Underlying Securities

Repetitive Optional Sequence E Corporate Action Options (SECU)

16R	M	Start of Block	CAOPTN	
13A	O	CA Option Number	:CAON//3!c	
22F	M	CA Option Code	:CAOP//SECU	
22F	O	Option Features Indicator	:OPTF//4!c	
17B	M	Default Processing Flag	:DFLT//1!a	
98C	O	Early Response Deadline Date/Time	:EARD//8!n6!n	
98C	O	Response Deadline Date/Time	:RDDT//8!n6!n	
98C	O	Market Deadline Date/Time	:MKDT//8!n6!n	
69A	O	Period of Action	:PWAL//8!n/8!n	

Repetitive Optional Subsequence E1 Securities Movement

16R	M	Start of Block	SECMOVE	
22H	M	Credit/Debit Indicator	:CRDB//DEBT	
35B	M	Identification of the Financial Instrument	[ISIN1!e12!c] [4*35x]	
<b>92D</b>	<b>Ø</b>	<b>New to Old</b>	<b>NEWO//15d/15d</b>	<b>Field 92D::NEWO will be removed from E1 debit.</b>
98A, B	M	Payment Date	:PAYD//8!n :PAYD//4!c	
16S	M	End of Block	SECMOVE	

End of Subsequence E1 Securities Movement

Repetitive Optional Subsequence E1 Securities Movement

16R	M	Start of Block	SECMOVE	
22H	M	Credit/Debit Indicator	:CRDB//CRED	
35B	M	Identification of the Financial Instrument	[ISIN1!e12!c] [4*35x]	
92D	O	New to Old	:NEWO//15d/15d	
98A, B	M	Payment Date	:PAYD//8!n :PAYD//4!c	
98A	O	Dividend Ranking Date	:DIVR//8!n	
16S	M	End of Block	SECMOVE	

End of Subsequence E1 Securities Movement

70E	O	Additional Text	:ADTX//10*35x	
16S	M	End of Block	CAOPTN	

End of Sequence E Corporate Action Options

Tag	Status	Field name	Format	Nov 2015 - Changes
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Repetitive Optional Sequence E Corporate Action Options (CASH – first currency)

16R	M	Start of Block	CAOPTN	
13A	O	CA Option Number	:CAON//3!c	
22F	M	CA Option Code	:CAOP//CASH	
22F	O	Option Features Indicator	:OPTF//4!c	
17B	M	Default Processing Flag	:DFLT//1!a	
98C	O	Early Response Deadline Date/Time	:EARD//8!n6!n	
98C	O	Response Deadline Date/Time	:RDDT//8!n6!n	
98C	O	Market Deadline Date/Time	:MKDT//8!n6!n	

**Repetitive Optional Subsequence E1 Securities Movement**

**New subsequence E1 to notify the write-off of the cash line for cash payments**

<b>16R</b>	<b>M</b>	<b>Start of Block</b>	<b>SECMOVE</b>	
<b>22H</b>	<b>M</b>	<b>Credit/Debit Indicator</b>	<b>:CRDB//DEBT</b>	
<b>35B</b>	<b>M</b>	<b>Identification of the Financial Instrument</b>	<b>[ISIN1!e12!c] [4*35x]</b>	<b>ISIN of the cash line (= ISIN In sequence B)</b>
<b>98A, B</b>	<b>M</b>	<b>Payment Date</b>	<b>:PAYD//8!n :PAYD//4!c</b>	<b>Ex-date of the cash payment (TA120 DVOP)</b>
<b>16S</b>	<b>M</b>	<b>End of Block</b>	<b>SECMOVE</b>	
<b>End of Subsequence E1 Securities Movement</b>				

Repetitive Optional Subsequence E2 Cash Movements

16R	M	Start of Block	CASHMOVE	
22H	M	Credit/Debit Indicator	:CRDB//CRED	
97A	O	Cash Account	:CASH//35x	
98A, B	M	Payment Date	:PAYD//8!n :PAYD//4!c	
92F	O	Gross Dividend Rate	:GRSS//3!a15d	
16S	M	End of Block	CASHMOVE	

End of Subsequence E2 Cash Movements

16S	M	End of Block	CAOPTN	
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End of Sequence E Corporate Action Options

Repetitive Optional Sequence E Corporate Action Options (CASH – second, optional currency)

16R	M	Start of Block	CAOPTN	
13A	O	CA Option Number	:CAON//3!c	
22F	M	CA Option Code	:CAOP//CASH	
22F	O	Option Features Indicator	:OPTF//4!c	
11A	O	Currency Option	:OPTN//3!a	
17B	M	Default Processing Flag	:DFLT//N	
98C	O	Early Response Deadline Date/Time	:EARD//8!n6!n	
98C	O	Response Deadline Date/Time	:RDDT//8!n6!n	
98C	O	Market Deadline Date/Time	:MKDT//8!n6!n	
16S	M	End of Block	CAOPTN	

Tag	Status	Field name	Format	Nov 2015 - Changes
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End of Sequence E Corporate Action Options

Repetitive Optional Sequence E Corporate Action Options (BUYA)

16R	M	Start of Block	CAOPTN	
13A	O	CA Option Number	:CAON//3!c	
22F	M	CA Option Code	:CAOP//BUYA	
22F	O	Option Features Indicator	:OPTF//4!c	
17B	M	Default Processing Flag	:DFLT//N	
98C	O	Response Deadline Date/Time	:RDDT//8!n6!n	
69A	O	Period of Action	:PWAL//8!n/8!n	

Repetitive Optional Subsequence E1 Securities Movement

16R	M	Start of Block	SECMOVE	
22H	M	Credit/Debit Indicator	:CRDB//CRED	
35B	M	Identification of the Financial Instrument	[ISIN1!e12!c] [4*35x]	
98B	M	Payment Date	:PAYD//ONGO	
16S	M	End of Block	SECMOVE	

End of Subsequence E1 Securities Movement

Repetitive Optional Subsequence E2 Cash Movements

16R	M	Start of Block	CASHMOVE	
22H	M	Credit/Debit Indicator	:CRDB//DEBT	
97A	O	Cash Account	:CASH//35x	
98B	M	Payment Date	:PAYD//ONGO	
16S	M	End of Block	CASHMOVE	

End of Subsequence E2 Cash Movements

16S	M	End of Block	CAOPTN	
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End of Sequence E Corporate Action Options

Repetitive Optional Sequence E Corporate Action Options (SLLE)

16R	M	Start of Block	CAOPTN	
13A	O	CA Option Number	:CAON//3!c	
22F	M	CA Option Code	:CAOP//SLLE	
22F	O	Option Features Indicator	:OPTF//4!c	
17B	M	Default Processing Flag	:DFLT//N	
98C	O	Response Deadline Date/Time	:RDDT//8!n6!n	
69A	O	Period of Action	:PWAL//8!n/8!n	

Repetitive Optional Subsequence E1 Securities Movement

16R	M	Start of Block	SECMOVE	
22H	M	Credit/Debit Indicator	:CRDB//DEBT	
35B	M	Identification of the Financial Instrument	[ISIN1!e12!c] [4*35x]	
98B	M	Payment Date	:PAYD//ONGO	
16S	M	End of Block	SECMOVE	

Tag	Status	Field name	Format	Nov 2015 - Changes
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End of Subsequence E1 Securities Movement

Repetitive Optional Subsequence E2 Cash Movements

16R	M	Start of Block	CASHMOVE	
22H	M	Credit/Debit Indicator	:CRDB//CRED	
97A	O	Cash Account	:CASH//35x	
98AB	M	Payment Date	:PAYD//ONGO	
16S	M	End of Block	CASHMOVE	

End of Subsequence E2 Cash Movements

16S	M	End of Block	CAOPTN	
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End of Sequence E Corporate Action Options

Optional Sequence F Additional Information

16R	M	Start of Block	ADDINFO	
70E	O	Additional Text	:ADTX// 10*35x	
16S	M	End of Block	ADDINFO	

End of Sequence F Additional Information

### 2.1.5 2-event scenario: TA211 RHDH – TA280 BONU

As part of the two-event scenario “bonus shares alternatively in cash”, the following changes will be made in the second event (TA280 BONU – Rights offering based on the interim ISIN):

- The corporate action event indicator 22F::CAEV in the MT564 of the second event (TA280) will be changed from “BONU” to “DVOP”.

### 2.1.6 2-event scenario: TA232 DECR – TA280 EXOF

As part of the two-event scenario “capital reduction for settlement via interim securities”, the following changes will be made in the second event (TA280 EXOF – Rights offering based on interim securities):

- The 22F::DISF//RDDN field will be newly inserted in the (sequence E) “SECU” option. Thus, customers will be notified of the settlement of fractional shares.

SWIFT 22F::DISF indicator	Meaning
22F::DISF//BUYU	Purchase of fractional shares
22F::DISF//CINL	Sale of fractional shares
22F::DISF//DIST	Allotment of fractional shares
22F::DISF//RDDN	Round down
22F::DISF//RDUP	Round up
22F::DISF//UKWN	Unknown

- The payment date is displayed with 98B::PAYD//ONGO in the (sequence E) “SECU” option, sub-sequence E1 “derecognition of interim securities”.

- The payment date is displayed with 98B::PAYD//ONGO in the (sequence E) “SECU” option, sub-sequence E1 “booking of final securities”.
- The (sequence E) “NOAC” option has been deleted from the message as the “SECU” option is always the default option. The default flag is set in the “SECU” option for this (17B::DFLT//Y).

The table below shows the future message format for the MT564 in TA280 EXOF (second event in the 2-event scenario TA232 DECR – TA280 EXOF). The changes and enhancements planned for November 2015 are highlighted therein.

Tag	Status	Field name	Format	Nov 2015 - Changes
<b>Mandatory Sequence A General Information</b>				
16R	M	Start of Block	GENL	
20C	M	CA Reference	:CORP//16x	
20C	M	Sender’s Reference	:SEME//16x	
23G	M	Function of the Message	4!c	
22F	M	CA Event Indicator	:CAEV//EXOF	
22F	M	Mandatory/Voluntary Indicator	:CAMV//CHOS	
98C	O	Preparation Date	:PREP//8!n6!n	
25D	M	Processing Status	:PROC//4!c	
<b>Repetitive Optional Subsequence A1 Linkages</b>				
16R	M	Start of Block	LINK	
13A	O	Linked Message	:LINK//232	
20C	M	Corporate Action Reference	:CORP//16x	Corporate action reference of the event type TA232
16S	M	End of Block	LINK	
<b>End of Subsequence A1 Linkages</b>				
<b>Repetitive Optional Subsequence A1 Linkages</b>				
16R	M	Start of Block	LINK	
20C	M	Previous Message Reference	:PREV//16x	
16S	M	End of Block	LINK	
<b>End of Subsequence A1 Linkages</b>				
16S	M	End of Block	GENL	
<b>End of Sequence A General Information</b>				
<b>Mandatory Sequence B Underlying Securities</b>				
16R	M	Start of Block	USECU	
35B	M	Identification of FI	[ISIN1!e12!c] [4*35x]	ISIN of the interim certificates
<b>Repetitive Mandatory Subsequence B2 Account Information</b>				
16R	M	Start of Block	ACCTINFO	
97A	M	Safekeeping Account	:SAFE//35x	
93B	O	Total Eligible for CA	:ELIG//4!c/[N]15d	
93B	O	Uninstructed Balance	:UNBA//4!c/[N]15d	
93B	O	Instructed Balance	:INBA//4!c/[N]15d	
16S	M	End of Block	ACCTINFO	

Tag	Status	Field name	Format	Nov 2015 - Changes
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End of Subsequence B2 Account Information

16S	M	End of Block	USECU	
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End of Sequence B Underlying Securities

Repetitive Optional Sequence E Corporate Action Options (SECU)

16R	M	Start of Block	CAOPTN	
13A	O	CA Option Number	:CAON//3!c	
22F	M	CA Option Code	:CAOP//SECU	
<b>22F</b>	<b>O</b>	<b>Disposition of Fractions</b>	<b>:DISF//4!c</b>	<b>Entry of the fraction indicator. See explanations at the beginning of this section.</b>
17B	M	Default Processing Flag	:DFLT//Y	<b>SECU is the default option.</b>
98C	O	Early Response Deadline Date/Time	:EARD//8!n6!n	
98C	O	Response Deadline Date/Time	:RDDT//8!n6!n	
98C	O	Market Deadline Date/Time	:MKDT//8!n6!n	
69A	O	Period of Action	:PWAL//8!n/8!n	

Repetitive Optional Subsequence E1 Securities Movement

16R	M	Start of Block	SECMOVE	
22H	M	Credit/Debit Indicator	:CRDB//DEBT	The interim certificates will be written-off
35B	M	Identification of the Financial Instrument	[ISIN1!e12!c] [4*35x]	ISIN of the interim certificates
98B	M	Payment Date	<b>:PAYD//ONGO</b>	<b>Display of ONGO</b>
16S	M	End of Block	SECMOVE	

End of Subsequence E1 Securities Movement

Repetitive Optional Subsequence E1 Securities Movement

16R	M	Start of Block	SECMOVE	
22H	M	Credit/Debit Indicator	:CRDB//CRED	The final certificates will be booked
35B	M	Identification of the Financial Instrument	[ISIN1!e12!c] [4*35x]	ISIN of the final certificates
92D	O	New to Old	:NEWO//15d/15d	
98B	M	Payment Date	<b>:PAYD//ONGO</b>	<b>Display of ONGO</b>
16S	M	End of Block	SECMOVE	

End of Subsequence E1 Securities Movement

16S	M	End of Block	CAOPTN	
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End of Sequence E Corporate Action Options

Repetitive Optional Sequence E Corporate Action Options (SLLE)

16R	M	Start of Block	CAOPTN	
13A	O	CA Option Number	:CAON//3!c	
22F	M	CA Option Code	:CAOP//SLLE	
17B	M	Default Processing Flag	:DFLT//N	
98C	O	Response Deadline Date/Time	:RDDT//8!n6!n	

Tag	Status	Field name	Format	Nov 2015 - Changes
69A	0	Period of Action	:PWAL//8!n/8!n	

Repetitive Optional Subsequence E1 Securities Movement

16R	M	Start of Block	SECMOVE	
22H	M	Credit/Debit Indicator	:CRDB//DEBT	The interim certificates will be written-off
35B	M	Identification of the Financial Instrument	[ISIN1!e12!c] [4*35x]	ISIN of the interim certificates
98B	M	Payment Date	:PAYD//ONGO	
16S	M	End of Block	SECMOVE	

End of Subsequence E1 Securities Movement

Repetitive Optional Subsequence E2 Cash Movements

16R	M	Start of Block	CASHMOVE	
22H	M	Credit/Debit Indicator	:CRDB//CRED	The compensation amount will be credited.
97A	0	Cash Account	:CASH//35x	
98B	M	Payment Date	:PAYD//ONGO	
16S	M	End of Block	CASHMOVE	

End of Subsequence E2 Cash Movements

16S	M	End of Block	CAOPTN	
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End of Sequence E Corporate Action Options

End of Subsequence E1 Securities Movement

16S	M	End of Block	CAOPTN	
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End of Sequence E Corporate Action Options

Repetitive Optional Sequence E Corporate Action Options (NOAC)

**Option (sequence E) "NOAC" will be removed.**

<b>16R</b>	<b>M</b>	<b>Start of Block</b>	<b>CAOPTN</b>	
<b>13A</b>	<b>0</b>	<b>CA Option Number</b>	<b>:CAON//3!c</b>	
<b>22F</b>	<b>M</b>	<b>CA Option Code</b>	<b>:CAOP//NOAC</b>	
<b>17B</b>	<b>M</b>	<b>Default Processing Flag</b>	<b>:DFLT//Y</b>	

Repetitive Optional Subsequence E1 Securities Movement

<b>16R</b>	<b>M</b>	<b>Start of Block</b>	<b>SECMOVE</b>	
<b>22H</b>	<b>M</b>	<b>Credit/Debit Indicator</b>	<b>:CRDB//DEBT</b>	
<b>35B</b>	<b>M</b>	<b>Identification of the Financial Instrument</b>	<b>[ISIN1!e12!c] — [4*35x]</b>	
<b>98A, B</b>	<b>M</b>	<b>Payment Date</b>	<b>:PAYD//8!n :PAYD//4!c</b>	
<b>16S</b>	<b>M</b>	<b>End of Block</b>	<b>SECMOVE</b>	

End of Subsequence E1 Securities Movement

16S	M	End of Block	CAOPTN	
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End of Sequence E Corporate Action Options

Optional Sequence F Additional Information

16R	M	Start of Block	ADDINFO	
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Tag	Status	Field name	Format	Nov 2015 - Changes
70E	O	Additional Text	:ADTX// 10*35x	
16S	M	End of Block	ADDINFO	

End of Sequence F Additional Information

## 2.1.7 2-event scenario: TA232 MRGR/SPLR – TA280 EXOF

### Enhancement of the existing two-event scenario “capital reduction for settlement via interim securities” for further conversion reasons

The existing two-event scenario TA232 DECR / TA280 EXOF will be enhanced for further conversion reasons. Thus, the two-event scenario will also apply, for example, in the case of the settlement of mergers or reverse splits via interim securities:

- The first event is shown by an MT564 in the KADI event type TA232 with 22F::CAMV//MAND and 22F::CAEV//MRGR or 22F::CAEV//SPLR. The format of the MT564 notification is described in the [CBF Connectivity Manual Part 3, chapter 2.18.1](#) and is taken over unchanged.
- The second event is shown via an MT564 in the KADI event type TA280 based on the interim ISIN with 22F::CAMV//CHOS and 22F::CAEV//EXOF. The format of the MT564 notification corresponds to the format in the “DECR” case [see chapter [2.1.6](#)].

## 2.1.8 1-event scenario: TA280 BIDS/BPUT/CONV/TEND/EXOF

As part of a one-event scenario “Offerings without adding an interim ISIN”, the following changes will be made in the TA280 BIDS/BPUT/CONV/TEND/EXOF event:

- The (sequence E) “CASH” and “SECU” options are supplemented by a sub-sequence E1 “derecognition of the underlying ISIN/parent line”. Thus, derecognition or segregation of the underlying ISIN is notified, which takes place if participating in the offering.
- The sub-sequence E2 cashmove will be deleted in the (sequence E) “SECU” and/or “EXER” option for the KADI event type TA280 with corporate action event indicator “CONV” (Conversion). The conversion price represented by the field 90a::PRPP will in future be displayed in the sub-sequence E1 “booking new ISIN”.

The table below shows the future message format for the MT564 in TA280 BIDS/BPUT/CONV/TEND/EXOF (in the 1-event scenario). The changes and enhancements planned for November 2015 are highlighted therein.

Tag	Status	Field name	Format	Nov 2015 - Changes
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Mandatory Sequence A General Information

16R	M	Start of Block	GENL	
20C	M	CA Reference	:CORP//16x	
20C	M	Sender's Reference	:SEME//16x	
23G	M	Function of the Message	4!c	
22F	M	CA Event Indicator	:CAEV//4!c	
22F	M	Mandatory/Voluntary Indicator	:CAMV//VOLU	
98C	O	Preparation Date	:PREP//8!n6!n	
25D	M	Processing Status	:PROC//4!c	

Repetitive Optional Subsequence A1 Linkages

16R	M	Start of Block	LINK	
13A	O	Linked Message	:LINK//3!c	
20C	M	Corporate Action Reference	:CORP//16x	
16S	M	End of Block	LINK	

End of Subsequence A1 Linkages

Repetitive Optional Subsequence A1 Linkages

16R	M	Start of Block	LINK	
20C	M	Previous Message Reference	:PREV//16x	
16S	M	End of Block	LINK	

End of Subsequence A1 Linkages

16S	M	End of Block	GENL	
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End of Sequence A General Information

Mandatory Sequence B Underlying Securities

16R	M	Start of Block	USECU	
35B	M	Identification of FI	[ISIN!e12!c] [4*35x]	

Mandatory Subsequence B2 Account Information (Main Account)

16R	M	Start of Block	ACCTINFO	
97A	M	Safekeeping Account	:SAFE//35x	
93B	O	Uninstructed Balance	:UNBA//4!c/[N]1 5d	
16S	M	End of Block	ACCTINFO	

End of Subsequence B2 Account Information (Main Account)

Repetitive Mandatory Subsequence B2 Account Information (Sub Accounts)

16R	M	Start of Block	ACCTINFO	
97A	M	Safekeeping Account	:SAFE//35x	
93B	O	Uninstructed Balance or Instructed Balance	:UNBA//4!c/[N]1 5d :INBA//4!c/[N]15 d	
16S	M	End of Block	ACCTINFO	

End of Subsequence B2 Account Information (Sub Accounts)

Tag	Status	Field name	Format	Nov 2015 - Changes
16S	M	End of Block	USECU	

End of Sequence B Underlying Securities

Optional Sequence D Corporate Action Details

16R	M	Start of Block	CADETL	
98A	O	Trading Suspended Date	:TSDT//8!n	
98A	O	Record Date	:RDTE//8!n	
36B	O	Quantity of Financial Instrument	:QTSO//4!c/15d :MQSO//4!c/15d	
16S	M	End of Block	CADETL	

End of Sequence D Corporate Action Details

Repetitive Optional Sequence E Corporate Action Options

16R	M	Start of Block	CAOPTN	
13A	O	CA Option Number	:CAON//001	
22F	M	CA Option Code	:CAOP//4!a	
22F	O	Option Features Indicator	:OPTF//4!c	
17B	M	Default Processing Flag	:DFLT//N	
98C	O	Early Response Deadline Date/Time	:EARD//8!n6!n	
98C	O	Response Deadline Date/Time	:RDDT//8!n6!n	
98C	O	Market Deadline Date/Time	:MKDT//8!n6!n	
69A	O	Period of Action	:PWAL//8!n/8!n	

**Repetitive Optional Subsequence E1 Securities Movement**

**New subsequence E1 within the option (sequence E) "SECU" and „CASH" to notify the write-off or separation of the underlying ISIN**

<b>16R</b>	<b>M</b>	<b>Start of Block</b>	<b>SECMOVE</b>	
<b>22H</b>	<b>M</b>	<b>Credit/Debit Indicator</b>	<b>:CRDB//DEBT</b>	
<b>35B</b>	<b>M</b>	<b>Identification of the Financial Instrument</b>	<b>[ISIN1!e12!c] [4*35x]</b>	<b>Underlying ISIN (= ISIN in sequence B)</b>
<b>98B</b>	<b>M</b>	<b>Payment Date</b>	<b>:PAYD//ONGO</b>	
<b>16S</b>	<b>M</b>	<b>End of Block</b>	<b>SECMOVE</b>	

**End of Subsequence E1 Securities Movement**

Repetitive Optional Subsequence E1 Securities Movement

16R	M	Start of Block	SECMOVE	
22H	M	Credit/Debit Indicator	:CRDB//CRED	
35B	M	Identification of the Financial Instrument	[ISIN1!e12!c] [4*35x]	
<b>90A, B</b>	<b>O</b>	<b>Generic Cash Price Paid per Product</b>	<b>:PRPP//4!c/15d :PRPP//4!c/3!a1 5d</b>	<b>For 22F::CAEV//CONV, this field will show the conversion price.</b>
98A, B	M	Payment Date	:PAYD//8!n :PAYD//4!c	
92D	O	New to Old	:NEWO//15d/15d	
16S	M	End of Block	SECMOVE	

End of Subsequence E1 Securities Movement

Tag	Status	Field name	Format	Nov 2015 - Changes
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Repetitive Optional Subsequence E2 Cash Movements

16R	M	Start of Block	CASHMOVE	<b>For 22F::CAEV//CONV subsequence E2 will be removed.</b>
22H	M	Credit/Debit Indicator	:CRDB//4!c	
97A	O	Cash Account	:CASH//35x	
98A, B	M	Payment Date	:PAYD//8!n :PAYD//4!c	
92B	O	Exchange Rate	:EXCH//3!a/3!a/1 5d	
90A, B	O	Generic Cash Price Received per Product	:OFFR//4!c/15d :OFFR//4!c/3!a1 5d	
90A, B	O	Generic Cash Price Paid per Product	:PRPP//4!c/15d :PRPP//4!c/3!a1 5d	
16S	M	End of Block	CASHMOVE	

End of Subsequence E2 Cash Movements

16S	M	End of Block	CAOPTN	
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End of Sequence E Corporate Action Options

Repetitive Optional Sequence E Corporate Action Options (NOAC)

16R	M	Start of Block	CAOPTN	
13A	O	CA Option Number	:CAON//002	
22F	M	CA Option Code	:CAOP//NOAC	
22F	O	Option Features Indicator	:OPTF//4!c	
17B	M	Default Processing Flag	:DFLT//Y	
16S	M	End of Block	CAOPTN	

End of Sequence E Corporate Action Options

Optional Sequence F Additional Information

16R	M	Start of Block	ADDINFO	
70E	O	Additional Text	:ADTX// 10*35x	
16S	M	End of Block	ADDINFO	

End of Sequence F Additional Information

## 2.1.9 1-event scenario: TA280 CONS

As part of a consent offer, the following changes will be made in the MT564 notification for KADI event type TA280 CONS:

- The sub-sequence E1 "booking securities" will be deleted in the (sequence E) "CONY" option.

The table below shows the future message format for the MT564 in TA280 CONS. The changes and enhancements planned for November 2015 are highlighted therein.

Tag	Status	Field name	Format	Nov 2015 - Changes
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Mandatory Sequence A General Information

16R	M	Start of Block	GENL	
20C	M	CA Reference	:CORP//16x	
20C	M	Sender's Reference	:SEME//16x	
23G	M	Function of the Message	4!c	
22F	M	CA Event Indicator	:CAEV//CONS	
22F	M	Mandatory/Voluntary Indicator	:CAMV//VOLU	
98C	O	Preparation Date	:PREP//8!n6!n	
25D	M	Processing Status	:PROC//4!c	

Repetitive Optional Subsequence A1 Linkages

16R	M	Start of Block	LINK	
13A	O	Linked Message	:LINK//3!c	
20C	M	Corporate Action Reference	:CORP//16x	
16S	M	End of Block	LINK	

End of Subsequence A1 Linkages

Repetitive Optional Subsequence A1 Linkages

16R	M	Start of Block	LINK	
20C	M	Previous Message Reference	:PREV//16x	
16S	M	End of Block	LINK	

End of Subsequence A1 Linkages

16S	M	End of Block	GENL	
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End of Sequence A General Information

Mandatory Sequence B Underlying Securities

16R	M	Start of Block	USECU	
35B	M	Identification of FI	[ISIN1!e12!c] [4*35x]	

Mandatory Subsequence B2 Account Information (Main Account)

16R	M	Start of Block	ACCTINFO	
97A	M	Safekeeping Account	:SAFE//35x	
93B	O	Uninstructed Balance	:UNBA//4!c/[N]1 5d	
16S	M	End of Block	ACCTINFO	

End of Subsequence B2 Account Information (Main Account)

Repetitive Mandatory Subsequence B2 Account Information (Sub Accounts)

16R	M	Start of Block	ACCTINFO	
97A	M	Safekeeping Account	:SAFE//35x	
93B	O	Uninstructed Balance or Instructed Balance	:UNBA//4!c/[N]1 5d :INBA//4!c/[N]15 d	
16S	M	End of Block	ACCTINFO	

End of Subsequence B2 Account Information (Sub Accounts)

Tag	Status	Field name	Format	Nov 2015 - Changes
16S	M	End of Block	USECU	

End of Sequence B Underlying Securities

Optional Sequence D Corporate Action Details

16R	M	Start of Block	CADETL	
98A	O	Trading Suspended Date	:TSDT//8!n	
36B	O	Quantity of Financial Instrument	:QTSO//4!c/15d :MQSO//4!c/15d	
16S	M	End of Block	CADETL	

End of Sequence D Corporate Action Details

Repetitive Optional Sequence E Corporate Action Options

16R	M	Start of Block	CAOPTN	
13A	O	CA Option Number	:CAON//001	
22F	M	CA Option Code	:CAOP//CONY	
22F	O	Option Features Indicator	:OPTF//4!c	
17B	M	Default Processing Flag	:DFLT//N	
98C	O	Early Response Deadline Date/Time	:EARD//8!n6!n	
98C	O	Response Deadline Date/Time	:RDDT//8!n6!n	
98C	O	Market Deadline Date/Time	:MKDT//8!n6!n	
69A	O	Period of Action	:PWAL//8!n/8!n	

**Repetitive Optional Subsequence E1 Securities Movement**

**For CAEV = CONY the subsequence E1 "booking of certificates" will be removed.**

<b>16R</b>	<b>M</b>	<b>Start of Block</b>	<b>SECMOVE</b>	
<b>22H</b>	<b>M</b>	<b>Credit/Debit Indicator</b>	<b>:CRDB//CRED</b>	
<b>35B</b>	<b>M</b>	<b>Identification of the Financial Instrument</b>	<b>[ISIN!e12!c]</b> <b>_____</b> <b>{4*35x}</b>	
<b>98A, B</b>	<b>M</b>	<b>Payment Date</b>	<b>:PAYD//8!n</b> <b>:PAYD//4!c</b>	
<b>92D</b>	<b>O</b>	<b>New to Old</b>	<b>:NEWO//15d/15d</b>	
<b>16S</b>	<b>M</b>	<b>End of Block</b>	<b>SECMOVE</b>	

**End of Subsequence E1 Securities Movement**

Repetitive Optional Subsequence E2 Cash Movements

16R	M	Start of Block	CASHMOVE	
22H	M	Credit/Debit Indicator	:CRDB//4!c	
97A	O	Cash Account	:CASH//35x	
98A, B	M	Payment Date	:PAYD//8!n :PAYD//4!c	
90A, B	O	Generic Cash Price Received per Product	:OFFR//4!c/15d :OFFR//4!c/3!a15d	
90A, B	O	Generic Cash Price Paid per Product	:PRPP//4!c/15d	

Tag	Status	Field name	Format	Nov 2015 - Changes
			:PRPP//4!c/3!a15d	
16S	M	End of Block	CASHMOVE	

End of Subsequence E2 Cash Movements

16S	M	End of Block	CAOPTN	
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End of Sequence E Corporate Action Options

Repetitive Optional Sequence E Corporate Action Options

16R	M	Start of Block	CAOPTN	
13A	O	CA Option Number	:CAON//002	
22F	M	CA Option Code	:CAOP//CONN	
22F	O	Option Features Indicator	:OPTF//4!c	
17B	M	Default Processing Flag	:DFLT//N	
16S	M	End of Block	CAOPTN	

End of Sequence E Corporate Action Options

Repetitive Optional Sequence E Corporate Action Options (NOAC)

16R	M	Start of Block	CAOPTN	
13A	O	CA Option Number	:CAON//003	
22F	M	CA Option Code	:CAOP//NOAC	
22F	O	Option Features Indicator	:OPTF//4!c	
17B	M	Default Processing Flag	:DFLT//Y	
16S	M	End of Block	CAOPTN	

End of Sequence E Corporate Action Options

Optional Sequence F Additional Information

16R	M	Start of Block	ADDINFO	
70E	O	Additional Text	:ADTX// 10*35x	
16S	M	End of Block	ADDINFO	

End of Sequence F Additional Information

## 2.1.10 TA232 Conversion

### TA232 DVOP in a German optional dividend

Within a German optional dividend, the securities line is currently converted to the final security by processing the KADI event type TA232. 22F::CAEV//DVOP is currently used as the corporate action event indicator in the MT564 notification for TA232. In future, the indicator 22F::CAEV//EXOF will be shown in the MT564.

In future, CBF will also use TA120 with 22F::CAEV//DVOP unchanged for processing the cash distribution based on the cash line.

### TA232 CONV (Conversion)

For certain WSS conversion reasons (UD008A), the indicators 22F::CAEV//EXOF or 22F::CAEV//CHAN will in future be used, instead of the corporate action event indicator 22F::CAEV//CONV, in the MT564 for TA232. The table below lists the conversion reasons for which the current 22F::CAEV//CONV is being replaced.

Conversion reason (UD008A)	Description	New 22F ::CAEV in MT564 for TA232
AM	Notice of withdrawal of shares	EXOF
CF, CG, CH, CI, CJ, CK, CL	Conversion owing to ISIN change	EXOF
CM	Conversion from/into Global Bearer Certificates (GBCs)	EXOF
CO	ISIN change owing to name change	CHAN
CQ	ISIN change owing to coupon renewal as a result of conversion of securities	EXOF
CR	ISIN change owing to conversion into no-par value shares	EXOF
CS	ISIN change owing to Scheme of Arrangement/Plan of Arrangement	EXOF
CT	ISIN change owing to conversion into fractional shares	EXOF
CU	ISIN change owing to reassignment of the ISIN	EXOF
CV	Conversion owing to correction of one of the ISIN wrongly assigned to WKN (WKN remains unchanged)	EXOF
CX	Conversion owing to cross-over correction of wrong ISIN/WKN classification	EXOF

### 2.1.11 TA281 REDM for redemption rights

The MT564 in TA281 (22F::CAEV//REDM, 22F::CAMV//MAND) will be restructured as an information event for rights to redeem shares and bonds for the (sequence E) options. The structure of the options depends on the assignment of both WSS fields type of performance 1 (UD061) and type of performance 2 (UD062). The table below gives an overview of the structure of the sequences E. If the applicability of an option (sequence E) does not depend on the customer's decision, but rather on the conditions specified by the issuer (e.g. price dependency), this is expressed in the sequence E by the indicator 22F::OPTF//CAOS.

#### Performance by delivery of securities

Sequence E-SECU with

17B::DFLT//Y

Sub-sequence E1 – Derecognition of ISIN underlying

Sub-sequence E1 – Booking of the new security

#### Performance by payment of a cash settlement/balance settlement

Sequence E-CASH with

17B::DFLT//Y

Sub-sequence E1 – Derecognition of ISIN underlying

Sub-sequence E2 – Booking of cash settlement/balance settlement

#### Performance by delivery of securities or payment of a cash settlement/balance settlement

1. Sequence E-SECU with



17B::DFLT//N  
 22F::OPTF//CAOS  
 Sub-sequence E1 – Derecognition of ISIN underlying  
 Sub-sequence E1 – Booking of the new security

2. Sequence E-CASH with  
 17B::DFLT//N  
 22F::OPTF//CAOS  
 Sub-sequence E1 – Derecognition of ISIN underlying  
 Sub-sequence E2 – Booking of cash settlement/balance settlement

**Performance by delivery of securities and/or payment of a cash settlement/balance settlement**

1. Sequence E-CASH with  
 17B::DFLT//N  
 22F::OPTF//CAOS  
 Sub-sequence E1 – Derecognition of ISIN underlying  
 Sub-sequence E2 – Booking of cash settlement/balance settlement

2. Sequence E-SECU with  
 17B::DFLT//N  
 22F::OPTF//CAOS  
 Sub-sequence E1 – Derecognition of ISIN underlying  
 Sub-sequence E2 – Booking of the new security

3. Sequence E-CASE with  
 17B::DFLT//N  
 22F::OPTF//CAOS  
 Sub-sequence E1 – Derecognition of ISIN underlying  
 Sub-sequence E1 – Booking of the new security  
 Sub-sequence E2 – Booking of cash settlement/balance settlement

**2.1.12 Enhancement of the linking of MT564 Notifications**

MT564 messages are currently linked as part of the 2-event scenario. The table below summarises the additional linking of MT564 messages which result from different settlement processes but are classified as the same event. Linking takes place via an additional sub-sequence A1 linkages and is supplemented in the MT564 messages, which are listed in the column “Linking of MT564”.

Overriding event	Linking	
	Of MT564	With MT564
Parallel settlement of cash (TA124/TA125) and securities (TA232) following an offering (TA280). The cash distribution and conversion of securities are carried out on the basis of the same WSS conversion segment.	TA124 / TA125	TA232
	TA232	TA124 / TA125
Redemption in securities (TA231) with cash settlement (TA134) Based on a WSS redemption segment.	TA231	TA134
	TA134	TA231

Overriding event	Linking	
	Of MT564	With MT564
Repayment in securities (TA231) with or without cash settlement (TA134) in the event of a prior redemption notice (TA281)	TA134 and/or TA231	TA281
Cash distribution for a warrant (TA122) following an offering (TA280) or a redemption notice (TA281)	TA122	TA280 / TA281
Repayment of a certificate (TA132) following to a redemption notice (TA281)	TA132	TA281

Linking is always shown by a reference to the message type “MT564” and corporate action reference of the referenced MT564.

Example of the representation of an additional A1 Linkages:

```
16R:LINK
13A::LINK//564
20C::CORP//1342015080158900
16S:LINK
```

## 2.2 MT566 Corporate Action Confirmation

### TA232 DVOP in a German optional dividend

Within a German optional dividend, the securities line is currently converted to the final security by processing the KADI event type TA232. 22F::CAEV//DVOP is currently used as the corporate action event indicator in the MT566 confirmation for TA232. In future, the indicator 22F::CAEV//EXOF will be shown in the MT566.

In future, CBF will also continue to use the corporate action event indicator 22F::CAEV//DVOP for confirming the cash distribution based on the cash line (TA120 DVOP).

### Change to the corporation action event indicator for settlement of the cash distribution as part of “bonus shares, alternatively in cash”

The cash distribution for the “bonus shares, alternatively in cash” event is currently processed by the KADI event type TA120 with the corporate action event indicator 22F::CAEV//BONU in the MT566 confirmation. In future, the CAEV “BONU” will be replaced by “DVOP”.

Derecognition of the interim securities via TA222 initiated by the event type TA120 is currently also confirmed by an MT566 with CAEV “BONU”. Here too the CAEV has been changed to “DVOP”.

### TA232 CONV (Conversion)

For certain WSS conversion reasons (UD008A), the indicators 22F::CAEV//EXOF or 22F::CAEV//CHAN will in future be used, instead of the corporate action event indicator 22F::CAEV//CONV, in the MT566 confirmation for TA232. The table below lists the conversion reasons for which the current 22F::CAEV//CONV is being replaced.

Conversion reason (UD008A)	Description	New 22F ::CAEV in MT566 for TA232
AM	Notice of withdrawal of shares	EXOF
CF, CG, CH, CI, CJ, CK, CL	Conversion owing to ISIN change	EXOF
CM	Conversion from/into Global Bearer Certificates (GBCs)	EXOF
CO	ISIN change owing to name change	CHAN
CQ	ISIN change owing to coupon renewal as a result of conversion of securities	EXOF
CR	ISIN change owing to conversion into no-par value shares	EXOF
CS	ISIN change owing to Scheme of Arrangement/Plan of Arrangement	EXOF
CT	ISIN change owing to conversion into fractional shares	EXOF
CU	ISIN change owing to reassignment of the ISIN	EXOF
CV	Conversion owing to correction of one of the ISIN wrongly assigned to WKN (WKN remains unchanged)	EXOF
CX	Conversion owing to cross-over correction of wrong ISIN/WKN classification	EXOF