



Annex 40 to the GTC of OeKB CSD
SWIFT Manual
for Issuers

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1. Introduction

This document was created on the occasion of the implementation of the Shareholders Rights Directive II EU 2017/828 (SRD II) in Austria, which is valid as of September 3rd, 2020.

It describes the content of the new SWIFT message types for General Meetings (GM) and Shareholder Identification (SI) in SWIFT ISO 20022 in the context of SRD II and in addition how an issuer (or its agent) can follow his responsibility to submit these messages to OeKB CSD.

2. Incoming SWIFT ISO 20022 Messages

The following message types can be accepted by OeKB CSD:

Message Type	Notification Type	On BIC/ENDPOINT	Technical Specification
seev.001.001.07	MeetingNotificationV07	OCSDATWW (FINplus)	swift
seev.002.001.06	MeetingCancellationV06	OCSDATWW (FINplus)	swift
seev.008.001.06	MeetingResultDisseminationV06	OCSDATWW (FINplus)	swift
seev.045.001.02	ShareholdersIdentificationDisclosureRequestV02	OCSDATWW (FINplus)	swift
seev.046.001.01	ShareholdersIdentificationDisclosureRequestCancellationAdviceV01	OCSDATWW (FINplus)	swift
seev.049.001.01	ShareholderIdentificationDisclosureResponseStatusAdviceV01	OCSDATWW (FINplus)	swift

Restrictions:

OeKB CSD does not accept any BIC/ENDPOINT not stated in the above list.

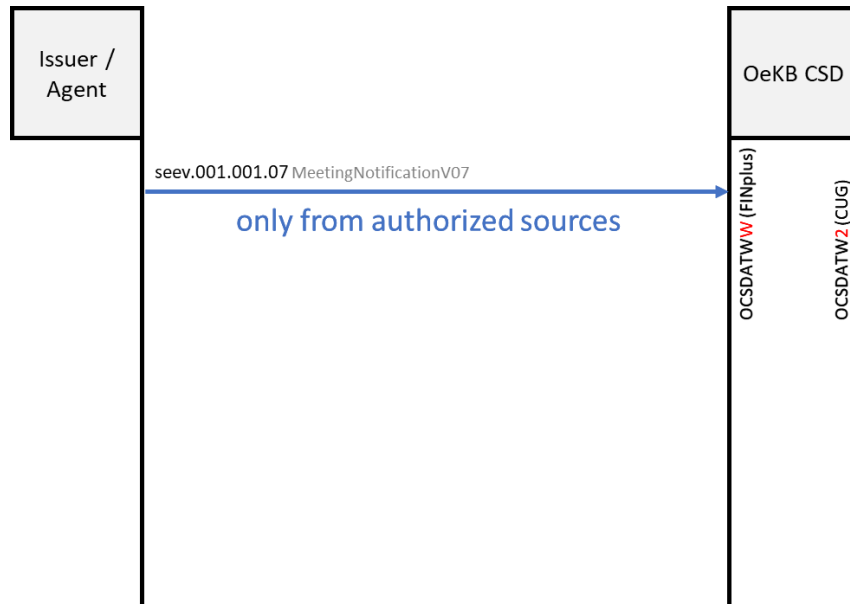
OeKB CSD does not accept any messages stated in the above list not meeting the SWIFT ISO 20022 format and semantics constraints.

OeKB CSD does not accept any messages stated in the above list not meeting the constraints outlined below.

OeKB CSD reserves the right to tacitly strip any information from accepted message if this information either

- exceeds the supported elements explicitly listed below or
- does not meet the general as well as element level constraints outlined below.

2.1 seev.001.001.07 (MeetingNotificationV07)



Please find below the official released descriptions by SMPG (fields not recommended by SMPG will not be considered in outgoing SWIFTS):

M/O: whether the field must be populated; **Mandatory:** must be populated for the message to be processed properly; **Optional:** processed if populated; any field **not** listed may tacitly be dropped during processing

POS: position of field in message (**B**usiness Application Header or **D**ocument Body)

Element: semantic container (ISO20022 XML Tag)

Clarifications, Details and Element Constraints: additional information on the usage of the element as well as constraints that have to be met with respect to the element

M/O	POS	Element	Clarifications, Details and Element Constraints
M	B	From, <Fr>	The sender from a business context, which can be different than the actual sender in the transport header (similar to MEOR in MT). BICFI is the only accepted format.
M	B	To, <To>	The receiver from a business context, which can be different than the actual receiver in the transport header (similar to MERE in MT). BICFI is the only accepted format.
M	B	Business Message Identifier, <BizMsgIdr>	The sender's unique ID/reference of the message

M/O	POS	Element	Clarifications, Details and Element Constraints
M	B	Message Definition Identifier, <MsgDefldr>	Contains the MessageIdentifier that defines the BusinessMessage, e.g. <seev.001.001.07>
M	B	CreationDate, <CreDt>	Date and time, using ISONormalisedDateTime format,
Notification General Information			
M	D	Notification Type <NtfctnTp>	<p>A <REPL> message should only be sent in case of a change in the previously announced general meeting notification.</p> <p>A <RMDR> can be sent by an account servicer to an account owner who has not responded providing its participation in a general meeting. This flow is optional and usage/timing is left to SLA.</p>
M	D	Notification Status <NtfctnSts> – Event Completeness Status <EvtCmpltnsSts>	As per global market practice, a Notification message may be considered complete when there are sufficient details for the client to make a decision.
M	D	Notification Status <NtfctnSts> – Event Confirmation Status <EvtConfSts>	A Notification message is considered confirmed when officially announced by the issuer.
M	D	Shareholder Rights Directive Indicator <ShrhldrRghtsDrctvInd>	<p>This indicator should be set to YES (value “true”) only when the general meeting is in scope of SRD II and the notification has been received from the issuer CSD or first intermediary, which in turn it has received it from the issuer.</p> <p>Any other intermediary in the chain should report the value of this indicator as per the value received from the previous intermediary.</p> <p>When the indicator is set to NO, the notification is to be intended as in scope of SRD II but not received from the issuer CSD or first intermediary or the issuer.</p> <p>If the general meeting is outside the scope of SRD II, this indicator should not be populated.</p>

M/O	POS	Element	Clarifications, Details and Element Constraints
Notification Update			
M	D	Previous Notification Identification <PrvsNtfctnId>	It should always be present when sending a REPL or RMDR
M	D	Reconfirm Instructions <RcnfrmInstrs>	This indicator should be set to YES (value "true") only if previously received meeting instructions can no longer be processed due to changes in the agenda or resolutions and new instructions are accordingly required.
Meeting			
M	D	Meeting Identification <MtgId>	This is the account servicer identification for the general meeting. It is recommended to be used in all cases, even if the issuer has provided an identification
M	D	Issuer Meeting Identification <IssrMtgId>	It must always be used, if provided by the issuer (its agent or third party nominated by it)
M	D	Type <Tp>	
M	D	Announcement Date <AnncmntDt>	As announced by the issuer
M	D	Participation – Participation Method <PrtcptnMtd>	This should be used to report the participation method supported by the issuer. Code is the only accepted format. Please refer to the table at the end of this section to understand how participation method and vote methods should be used.
M	D	Participation – Issuer Deadline For Voting <IssrDdlnForVtng >	To be populated with: <ul style="list-style-type: none"> · meeting date for PHYS, PNHV & VIRT · issuer deadline for MAIL, PRXY & EVOT DateTime in UTC format is the only accepted format (YYYY-MM-DDThh:mm:ss.sssZ (Z means Zulu Time ≡ UTC time ≡ zero UTC offset))

M/O	POS	Element	Clarifications, Details and Element Constraints
M	D	Additional Documentation URL Address <AddtlDcmnttnURLAdr>	It should carry the URL to the issuer website where full information on the general meeting is provided.
M	D	Entitlement Fixing Date <EntitlmntFxdt>	DateMode should not be used as record date should always be end of day.
M	D	Registration Participation Deadline <RegnPrtcptnDdln>	To report the account servicer deadline by which the rights holder needs to register its intention to participate in the meeting process to be allowed to participate in the meeting event. DateTime in UTC format is the only accepted format (YYYY-MM-DDThh:mm:ss.sssZ (Z means Zulu Time ≡ UTC time ≡ zero UTC offset))
M	D	Registration Participation Market Deadline <RegnPrtcptnMktDdln>	To report the issuer deadline by which the rights holder needs to register its intention to participate in the meeting process to be allowed to participate in the meeting event. DateTime in UTC format is the only accepted format (YYYY-MM-DDThh:mm:ss.sssZ (Z means Zulu Time ≡ UTC time ≡ zero UTC offset))
Meeting Details			
M	D	Date And Time <DtAndTm>	DateTime in UTC format is the only accepted format (YYYY-MM-DDThh:mm:ss.sssZ (Z means Zulu Time ≡ UTC time ≡ zero UTC offset))
M	D	Quorum Required <QrmReqr>	
M	D	Location <Lctn>	
M	D	Quorum Quantity <QrmQty>	To be reported if QuorumRequired is set to YES
M	D	Issuer <Issr>	NameAndAddress is the only accepted format

M/O	POS	Element	Clarifications, Details and Element Constraints
	D	Security	
M	D	Financial Instrument Identification <FinInstrmId>	ISIN is the only accepted format. Separate meeting event per ISIN
M	D	Position – Account Identification <AcctId>	Possible market practices: · one message per safekeeping account · one message per client (without any mentioning of the safekeeping account details (equal to GENR in CA) without opening the Position block) · one message repeating account details in the Position block
M	D	Resolution	Number of resolution
M	D	Issuer Label <IssrLabl>	
M	D	Description <Desc>	Where the issuer announce the resolution items in both the national language and English, we recommend that the resolutions include both languages, at the same time, in any notification message. Each language should be preceded by the ISO 639-1 code of the language. If for any reason, the resolutions are not announced in both languages at the same time, once the details in the other language are announced, a replacement message (REPL) should be issued with the resolutions updated to include the wording in such language.
M	D	Title <Titl>	Where the issuer announce the resolution items in both the national language and English, we recommend that the resolutions include both languages, at the same time, in any notification message. Each language should be preceded by the ISO 639-1 code of the language. If for any reason, the resolutions are not announced in both languages at the same time, once the details in the other language are announced, a replacement message (REPL) should be issued with the resolutions updated to include the wording in such language.

M/O	POS	Element	Clarifications, Details and Element Constraints
M	D	For Information Only <ForInfOnly>	
M	D	VoteType <VoteTp>	
M	D	Status <Sts>	
M	D	Vote Instruction Type <VoteInstrTp>	Type is the only accepted format.
M	D	URL Address <URLAdr>	To be reported only if provided by the issuer
Vote			
M	D	Partial Vote Allowed <PrtlVoteAllwd>	
M	D	Split Vote Allowed <SplVoteAllwd>	
M	D	Vote Deadline <VoteDdln>	To be used to report the account servicer deadline for vote through network. DateTime in UTC format is the only accepted format (YYYY-MM-DDThh:mm:ss.sssZ (Z means Zulu Time ≡ UTC time ≡ zero UTC offset))
M	D	Vote Market Deadline <VoteMktDdln>	To be used to report the issuer CSD or market platform deadline for electronic vote. DateTime in UTC format is the only accepted format (YYYY-MM-DDThh:mm:ss.sssZ (Z means Zulu Time ≡ UTC time ≡ zero UTC offset))

M/O	POS	Element	Clarifications, Details and Element Constraints
M	D	Vote Methods <VoteMthds>	<p>Intended as the direction/address where the vote should be sent to – please refer to the table below to identify how the vote method should be applied based on the participation method.</p> <p>If vote through network is not populated, then the account servicer is not supporting the vote or attendance. The vote deadline will also not be included.</p>
M	D	Beneficial Owner Disclosure <BnfclOwnrDsclsr>	

Events Linkage

O	D	Event Identification <EvtId>	<p>To be used to report the details of another general meeting.</p> <p>IssuerMeetingIdentification is the only accepted format.</p>
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Meeting

O	D	Classification <Clssfctn>	Only Code is permitted.
O	D	Attendance – Admission Conditions <AdmssnConds>	<p>Code is the only accepted format.</p> <p>It should only be used if the method of participation is PHYS or VIRT.</p>
O	D	Attendance – Confirmation Information <ConfInf>	<p>It should be used to specify how the rightsholder should order the attendance card or to give notice of attendance.</p> <p>It should only be used if the method of participation is PHYS or VIRT</p>
O	D	Attendance – Confirmation Deadline <ConfDdln>	<p>It indicates the account servicer deadline to request attendance.</p> <p>DateTime in UTC format is the only accepted format (YYYY-MM-DDThh:mm:ss.sssZ (Z means Zulu Time ≡ UTC time ≡ zero UTC offset))</p> <p>It should only be used if the method of participation is PHYS or VIRT</p>

M/O	POS	Element	Clarifications, Details and Element Constraints
O	D	Attendance – Confirmation Market Deadline <ConfMktDdln>	<p>It indicates the issuer deadline to request attendance.</p> <p>DateTime in UTC format is the only accepted format (YYYY-MM-DDThh:mm:ss.sssZ (Z means Zulu Time ≡ UTC time ≡ zero UTC offset))</p> <p>It should only be used if the method of participation is PHYS or VIRT</p>
O	D	Additional Procedure Details –Additional Right	<p>In case of additional rights that can be exercised at the meeting, we recommend to at least use AdditionalRightDeadline <AddtlRghtDdln> and AdditionalRightMarketDeadline<AddtlRghtMktDdln>.</p> <p>DateTime in UTC format is the only accepted format (YYYY-MM-DDThh:mm:ss.sssZ (Z means Zulu Time ≡ UTC time ≡ zero UTC offset))</p>
O	D	Securities Blocking Period End Date <SctiesBlckgPrdEndDt>	In line with SRDI & II, this should be equal to record date
O	D	Registration Securities Deadline <RegnSctiesDdln>	<p>To be used in those markets where shares need to be re-registered in order to vote/attend.</p> <p>DateTime in UTC format is the only accepted format (YYYY-MM-DDThh:mm:ss.sssZ (Z means Zulu Time ≡ UTC time ≡ zero UTC offset)).</p>
O	D	Registration Securities Market Deadline <RegnSctiesMktDdln>	To be used in those markets where shares need to be re-registered in order to vote/attend.DateTime in UTC format is the only accepted format (YYYY-MM-DDThh:mm:ss.sssZ (Z means Zulu Time ≡ UTC time ≡ zero UTC offset))

Meeting Details

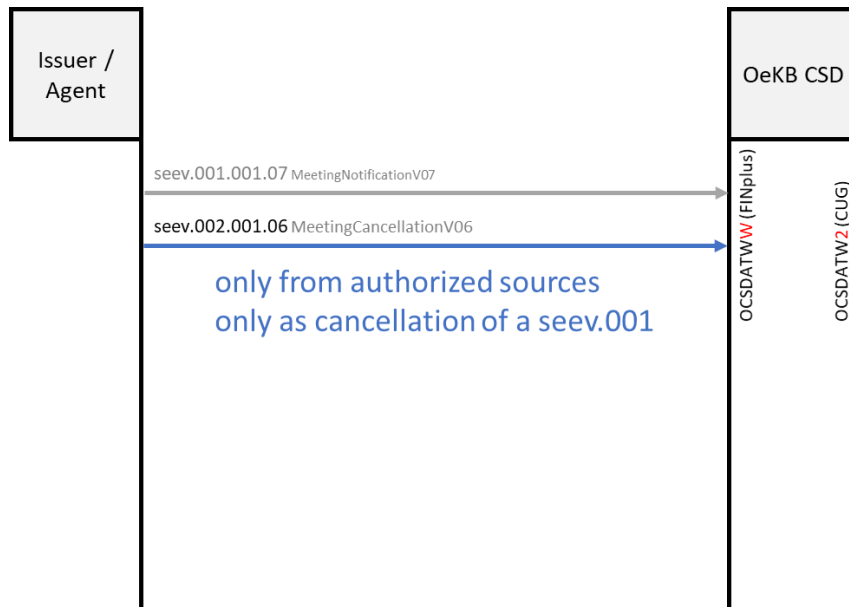
O	D	DateStatus <DtSts>	
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Security

O	D	Holding Balance <HldgBal>	For NEWM and REPL messages sent before record date, it's strongly recommend not to report the ELIG balance type.
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M/O	POS	Element	Clarifications, Details and Element Constraints
			<p>For RMDR messages sent after record date, it's recommended to report ELIG, UNBA and INBA balance types.</p> <p>For RMDR messages sent before record date, the ELIG balance type can be included, along with UNBA and INBA, but it has to be considered as provisional as the message is sent prior to entitlement date.</p>
Resolution			
O	D	Submitted By Security Holder <SubmittdBySctyHldr>	Only to be used if set to YES
O	D	Management Recommendation <MgmtRcmmndtn>	Only to be used for resolutions submitted by rightholders or any other party that is not the management
O	D	Voting Rights Threshold For Approval <VtngRghtsThrshldForAprvl>	<p>Only to be used to report a threshold.</p> <p>Percentage is the permitted format.</p>

2.2 seev.002.001.06 (MeetingCancellationV06)



Please find below the official released descriptions by SMPG (fields not recommended by SMPG will not be considered in outgoing SWIFTS):

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POS: position of field in message (**B**usiness Application Header or **D**ocument Body)

Element: semantic container (ISO20022 XML Tag)

Clarifications, Details and Element Constraints: additional information on the usage of the element as well as constraints that have to be met with respect to the element

M/O	POS	Element	Clarifications, Details and Element Constraints
M	B	From, <Fr>	The sender from a business context, which can be different than the actual sender in the transport header (similar to MEOR in MT). BICFI is the only accepted format.
M	B	To, <To>	The receiver from a business context, which can be different than the actual receiver in the transport header (similar to MERE in MT). BICFI is the only accepted format.
M	B	Business Message Identifier, <BizMsgIdr>	The sender's unique ID/reference of the message

M/O	POS	Element	Clarifications, Details and Element Constraints
M	B	Message Definition Identifier, <MsgDefldr>	Contains the MessageIdentifier that defines the BusinessMessage, e.g. seev.002.001.06
M	B	Creation Date, <CreDt>	Date and time, using ISONormalisedDateTime format

Meeting Reference

M	D	Meeting Identification <MtgId>	This is the account servicer identification for the general meeting. It is recommended to be used in all cases, even if the issuer has provided an identification
M	D	Issuer Meeting Identification <IssrMtgId>	It must always be used, if provided by the issuer.
M	D	Type <Tp>	

Security

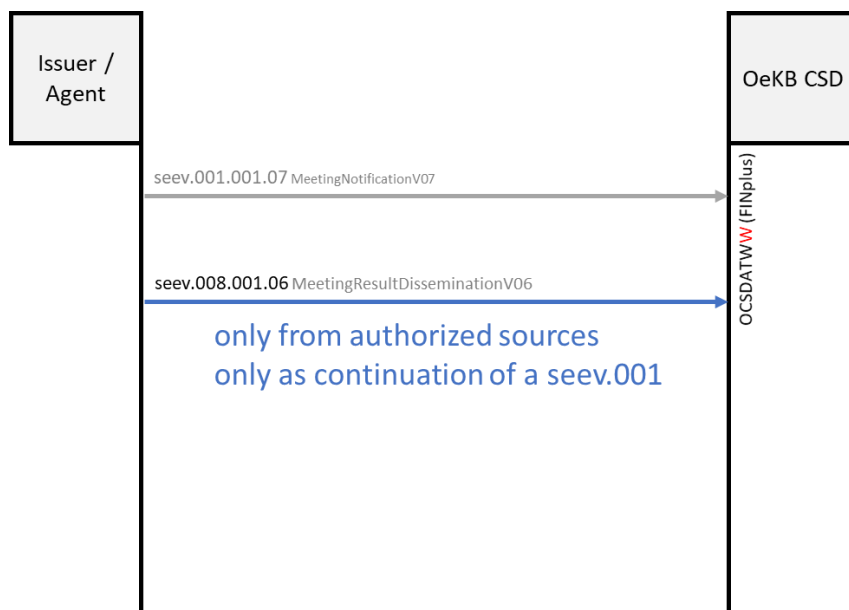
M	D	Financial Instrument Identification <FinInstrmId>	ISIN is the only accepted format.
M	D	Position – Account Identification <AcctId>	<p>Possible market practices:</p> <ul style="list-style-type: none"> · one message per safekeeping account; · one message per client (without any mentioning of the safekeeping account details (equal to GENR in CA) without opening the Position block) · one message repeating account details in the Position block

Reason

M	D	Cancellation Reason Code <CxlRsnCd>	WITH is to be used only in case of a cancellation/withdrawal triggered by the issuer.
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M/O	POS	Element	Clarifications, Details and Element Constraints
			PROC is to be used in case of a processing error of the account servicer.
Meeting Reference			
O	D	MeetingDateAndTime <MtgDtAndTm>	

2.3 seev.008.001.06 (MeetingResultDisseminationV06)



Please find below the official released descriptions by SMPG (fields not recommended by SMPG will not be considered in outgoing SWIFTS):

M/O: whether the field must be populated; **Mandatory:** must be populated for the message to be processed properly; **Optional:** processed if populated; any field **not** listed may tacitly be dropped during processing

POS: position of field in message (**B**usiness Application Header or **D**ocument Body)

Element: semantic container (ISO20022 XML Tag)

Clarifications, Details and Element Constraints: additional information on the usage of the element as well as constraints that have to be met with respect to the element

M/O	POS	Element	Clarifications, Details and Element Constraints
M	B	From, <Fr>	The sender from a business context, which can be different than the actual sender in the transport header (similar to MEOR in MT). BICFI is the only accepted format.
M	B	To, <To>	The receiver from a business context, which can be different than the actual receiver in the transport header (similar to MERE in MT). BICFI is the only accepted format.
M	B	Business Message Identifier, <BizMsgIdr>	The sender's unique ID/reference of the message
M	B	Message Definition Identifier, <MsgDefldr>	Contains the MessageIdentifier that defines the BusinessMessage, e.g. seev.001.001.07
M	B	CreationDate, <CreDt>	Date and time, using ISONormalisedDateTime format

Meeting Results Dissemination Type

M	D	MeetingResultsDisseminationType <MtgRsltsDssmntnTp>	A REPL message should only be sent in case of a change in the previously disseminated results.
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Meeting Reference

M	D	MeetingIdentification <MtgId>	This is the account servicer identification for the general meeting. It is recommended to be used in all cases, even if the issuer has provided an identification
M	D	IssuerMeetingIdentification <IssrMtgId>	It could be used, if provided by the issuer, in addition to the MeetingIdentification, based on the SLA in place between the account servicer and account owner.
M	D	MeetingDateAndTime <MtgDtAndTm>	DateTime in UTC format is the only accepted format (YYYY-MM-DDThh:mm:ss.sssZ (Z means Zulu Time ≡ UTC time ≡ zero UTC offset))

M/O	POS	Element	Clarifications, Details and Element Constraints
M	D	Type <Tp>	
Security (the Message Building Block is repetitive, but recommended to only include one Security block per meeting event).			
M	D	FinancialInstrumentIdentification <FinInstrmId>	<p>ISIN is the only accepted format.</p> <p>It is recommend to have a separate result dissemination per meeting event and ISIN</p>
M	D	Position – AccountIdentification <AcctId>	<p>Possible market practices:</p> <ul style="list-style-type: none"> · one message per safekeeping account; · one message repeating account details in the Position block
Vote Result			
M	D	IssuerLabel <IssrLabl>	
M	D	ResolutionStatus <RsltnSts>	
Meeting Reference			
O	D	Classification <Clssfctn>	Only Code is permitted
Vote Result			
O	D	For <For>	
O	D	Against <Agnst>	
O	D	Abstain <Abstn>	
O	D	Withhold <Wthhld>	

M/O	POS	Element	Clarifications, Details and Element Constraints
O	D	WithManagement <WthMgmt>	
O	D	AgainstManagement <AgnstMgmt>	
O	D	Discretionary <Dscrtnry>	
O	D	OneYear <OneYr>	
O	D	TwoYears <TwoYrs>	
O	D	ThreeYears <ThreeYrs>	
O	D	NoAction <NoActn>	
O	D	Blank <Blnk>	
Participation			
O	D	TotalNumberOfVotingRights <TtlNbOfVtngRghts>	

2.4 seev.045.001.02 (ShareholdersIdentificationDisclosureRequestV02)



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M/O: whether the field must be populated; **Mandatory:** must be populated for the message to be processed properly; **Optional:** processed if populated; any field **not** listed may tacitly be dropped during processing

POS: position of field in message (**B**usiness Application Header or **D**ocument Body)

Element: semantic container (ISO20022 XML Tag)

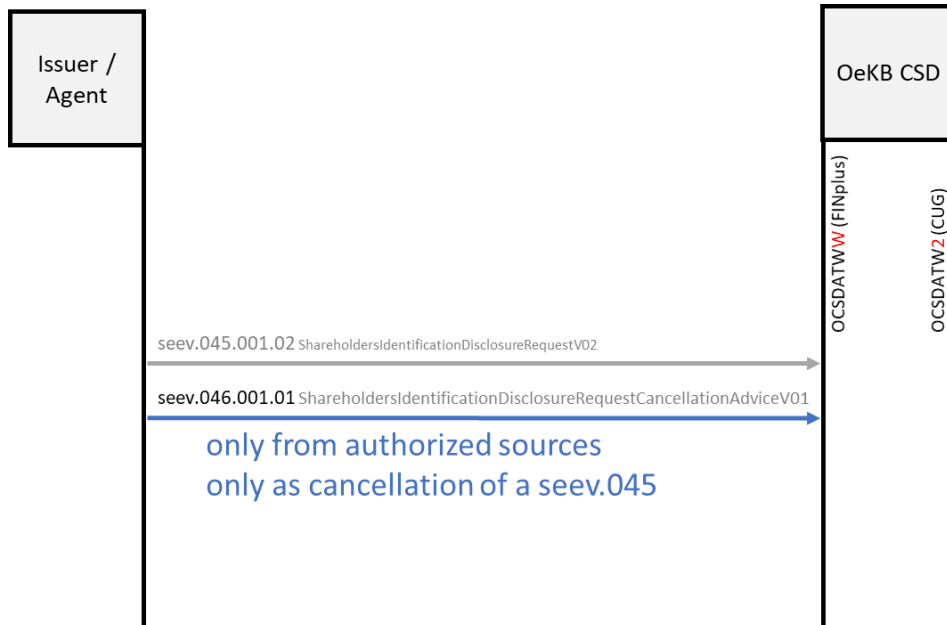
Clarifications, Details and Element Constraints: additional information on the usage of the element as well as constraints that have to be met with respect to the element

M/O	POS	Element	Clarifications, Details and Element Constraints
M	B	From, <Fr>	The sender from a business context, which can be different than the actual sender in the transport header (similar to MEOR in MT). BICFI is the only accepted format.
M	B	To, <To>	The receiver from a business context, which can be different than the actual receiver in the transport header (similar to MERE in MT). BICFI is the only accepted format.
M	B	BusinessMessage Identifier, <BizMsgIdr>	The sender's unique ID/reference of the message

M/O	POS	Element	Clarifications, Details and Element Constraints
M	B	MessageDefinitionIdentifier, <MsgDefldr>	Contains the MessageIdentifier that defines the BusinessMessage, e.g. seev.045.001.02
M	B	CreationDate, <CreDt>	Date and time, using ISONormalisedDateTime format
M	D	Issuer Disclosure Request Identification, <IssrDsclsrReqId>	
M	D	Disclosure Request Type, <DsclsrReqTp>	A REPL message should only be sent in case of a change in the issuer deadline of a previously announced request. In case any other element in the request changes, the request should be withdrawn/cancelled and a new request should be sent
M	D	Forward Request Indicator, <FwdReqInd>	Whether the request is to be forwarded in the custody chain. This indicator should always be present to avoid any misunderstanding.
M	D	ShareholderRightsDirectiveIndicator or <ShrhldrRghtsDrctvInd>	Indication whether the request is in Scope of the SRD II.
M	D	Financial Instrument Identification, <FinInstrmId>	ISIN is the only accepted format.
M	D	Shareholders Disclosure Record Date, <ShrhldrDsclsrRcrdDt >	Date (YYYY-MM-DD) is the only accepted format.
M	D	Disclosure Response Recipient - Identification, <Id>	LEI is the only accepted format.

M/O	POS	Element	Clarifications, Details and Element Constraints
M	D	Disclosure Response Recipient - Recipient Name, <RcptNm>	
M	D	Disclosure Response Recipient - Response Recipient Address, <RspnRcptAdr>	AnyBIC is the only accepted format.
M	D	Issuer Disclosure Deadline, <IssrDsclsrDdln>	DateTime in UTC format is the only accepted format (YYYY-MM-DDThh:mm:ss.sssZ (Z means Zulu Time = UTC time = zero UTC offset))
O	D	Response Through Chain Indicator, <RspnThrhChainInd>	If present the indicator will be ignored by OeKB CSD. Response through the chain is not supported.
O	D	Shares Quantity Threshold, <ShrsQtyThrshld>	If used, it has to be provided by the issuer as a quantity of shares
O	D	Request Share Held Date, <ReqShrHeldDt>	If present the indicator will be ignored by OeKB CSD.
O	D	Date Calculation Method, <DtClctnMtd>	Only to be used if the Request Share Held Date is present If present the indicator will be ignored by OeKB CSD.
O	D	Disclosure Response Deadline <DsclsrRspnDdln>	If present the indicator will be ignored by OeKB CSD.

2.5 **seev.046.001.01**
(ShareholdersIdentificationDisclosureRequestCancellationAdviceV01)



Please find below the official released descriptions by SMPG (fields not recommended by SMPG will not be considered in outgoing SWIFTS):

M/O: whether the field must be populated; **Mandatory**: must be populated for the message to be processed properly; **Optional**: processed if populated; any field **not** listed may tacitly be dropped during processing

POS: position of field in message (**B**usiness Application Header or **D**ocument Body)

Element: semantic container (ISO20022 XML Tag)

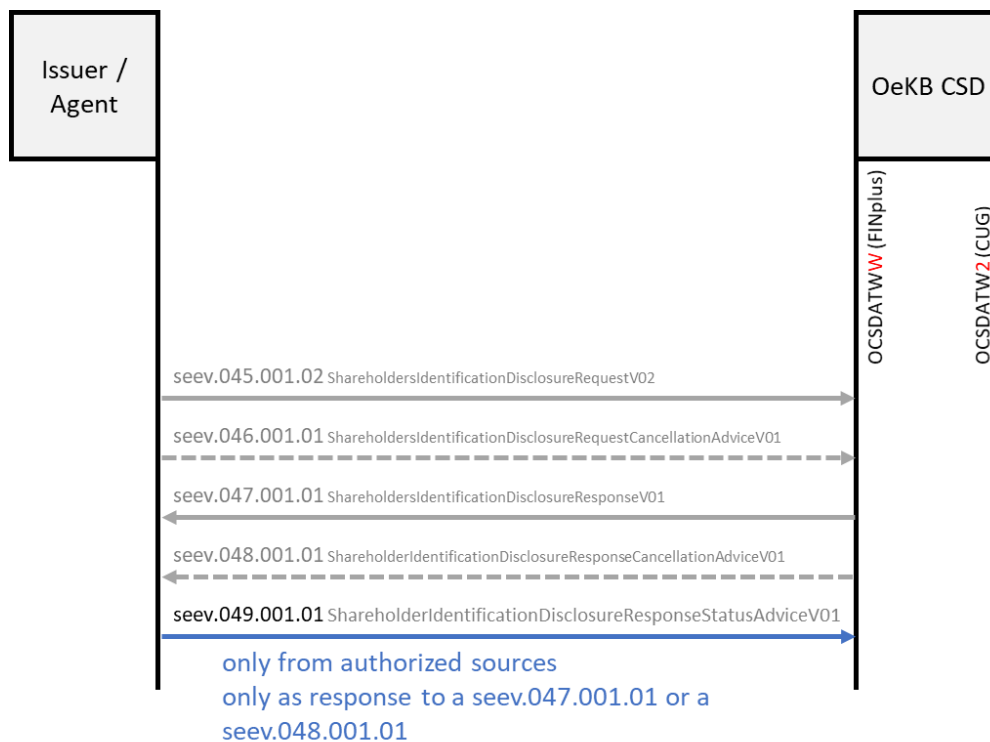
Clarifications, Details and Element Constraints: additional information on the usage of the element as well as constraints that have to be met with respect to the element

M/O	POS	Element	Clarifications, Details and Element Constraints
M	B	From, <Fr>	The sender from a business context, which can be different than the actual sender in the transport header (similar to MEOR in MT). BICFI is the only accepted format.
M	B	To, <To>	The receiver from a business context, which can be different than the actual receiver in the transport header (similar to MERE in MT). BICFI is the only accepted format.
M	B	BusinessMessageIdentifier, <BizMsgIdr>	The sender's unique ID/reference of the message

M/O	POS	Element	Clarifications, Details and Element Constraints
M	B	MessageDefinitionIdentifier, <MsgDefldr>	Contains the MessageIdentifier that defines the BusinessMessage, e.g. seev.046.001.02
M	B	CreationDate, <CreDt>	Date and time, using ISONormalisedDateTime format
M	D	Issuer Disclosure Request Identification, <IssrDsclsrReqId>	
M	D	Financial Instrument Identification, <FinInstrmId>	ISIN is the only accepted format.
M	D	Shareholders Disclosure Record Date, <ShrhldrsDsclsrRcrdDt >	Date (YYYY-MM-DD) is the only accepted format.
M	D	CancellationReason, <CxlRsn>	WITH is ONLY to be used in case of a cancellation triggered by the issuer or the third party appointed by the issuer.
O	B	Related – From, <Fr>	Optional block in the header, for the related message: the sender from a business context, which can be different than the actual sender in the transport header (similar to MEOR in MT). BICFI is the only supported format
O	B	Related – To, <To>	Optional block in the header, for the related message: the receiver from a business context, which can be different than the actual receiver in the transport header (similar to MERE in MT). BICFI is the only supported format To be used if and only if <Fr> is used.
O	B	Related – BusinessMessageIdentifier, <BizMsgldr>	Optional block in the BAH, for the related message: the sender's unique ID/reference of the message To be used if and only if <Fr> is used.

M/O	POS	Element	Clarifications, Details and Element Constraints
O	B	Related – MessageDefinitionIdentifier, <MsgDefldr>	Optional block in the header, for the related message: contains the MessageIdentifier that defines the BusinessMessage, e.g. seev.045.001.02 To be used if and only if <Fr> is used.
O	B	Related – CreationDate, <CreDt>	Optional block in the BAH, for the related message: date and time, using ISONormalisedDateTime format To be used if and only if <Fr> is used.

2.6 seev.049.001.01 (ShareholderIdentificationDisclosureResponseStatusAdviceV01)



Please find below the official released descriptions by SMPG (fields not recommended by SMPG will not be considered in outgoing SWIFTS):

M/O: whether the field must be populated; **Mandatory**: must be populated for the message to be processed properly; **Optional**: processed if populated; any field **not** listed may tacitly be dropped during processing

POS: position of field in message (**B**usiness Application Header or **D**ocument Body)

Element: semantic container (ISO20022 XML Tag)

Clarifications, Details and Element Constraints: additional information on the usage of the element as well as constraints that have to be met with respect to the element

M/O	POS	Element	Clarifications, Details and Element Constraints
M	B	From, <Fr>	The sender from a business context, which can be different than the actual sender in the transport header (similar to MEOR in MT). BICFI is the only accepted format.
M	B	To, <To>	The receiver from a business context, which can be different than the actual receiver in the transport header (similar to MERE in MT). BICFI is the only accepted format.
M	B	BusinessMessage Identifier, <BizMsgIdr>	The sender's unique ID/reference of the message
M	B	MessageDefinition Identifier, <MsgDefIdr>	Contains the MessageIdentifier that defines the BusinessMessage, e.g. seev.046.001.02
M	B	CreationDate, <CreDt>	Date and time, using ISO Normalised DateTime format
M	D	Disclosure Response Identification, <DsclsrRspnId>	
M	D	Issuer Disclosure Request Identification, <IssrDsclsrReqId>	
M	D	Financial Instrument Identification, <FinInstrmId>	ISIN is the only accepted format.
M	D	Shareholders Disclosure Record Date, <ShrhldrsDsclsrRcrdDt >	Date (YYYY-MM-DD) is the only accepted format.

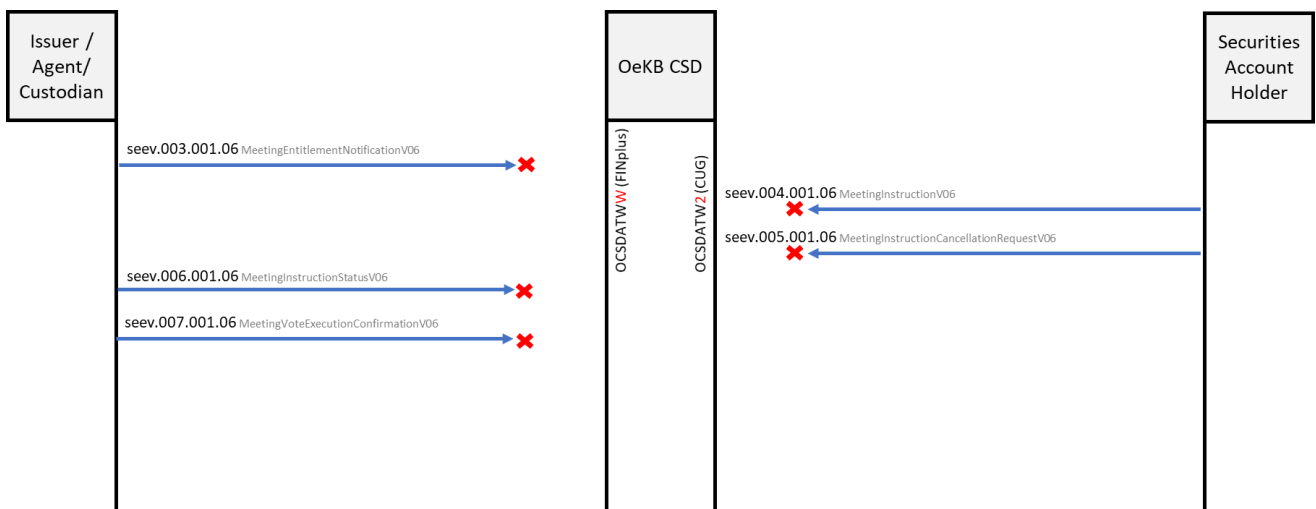
M/O	POS	Element	Clarifications, Details and Element Constraints
M	D	Responding Intermediary – Name, <Nm>	
M	D	Responding Intermediary – Identification, <Id>	LEI is the only accepted format.
M	D	Response Reception Status, <RspnRcptnSts>	It can only contain the status as “accepted” or “rejected”. In case of a rejection, a rejection reason can be specified
O	B	Related – From, <Fr>	Optional block in the header, for the related message: the sender from a business context, which can be different than the actual sender in the transport header (similar to MEOR in MT). BICFI is the only supported format
O	B	Related – To, <To>	Optional block in the header, for the related message: the receiver from a business context, which can be different than the actual receiver in the transport header (similar to MERE in MT). BICFI is the only supported format To be used if and only if <Fr> is used.
O	B	Related – BusinessMessage Identifier, <BizMsgldr>	Optional block in the BAH, for the related message: the sender’s unique ID/reference of the message To be used if and only if <Fr> is used.
O	B	Related – MessageDefinitionIdentifier, <MsgDefldr>	Optional block in the header, for the related message: contains the MessageIdentifier that defines the BusinessMessage, e.g. seev.045.001.02 To be used if and only if <Fr> is used.
O	B	Related – CreationDate, <CreDt>	Optional block in the BAH, for the related message: date and time, using ISONormalisedDateTime format To be used if and only if <Fr> is used.

2.7 Not accepted Incoming Messages

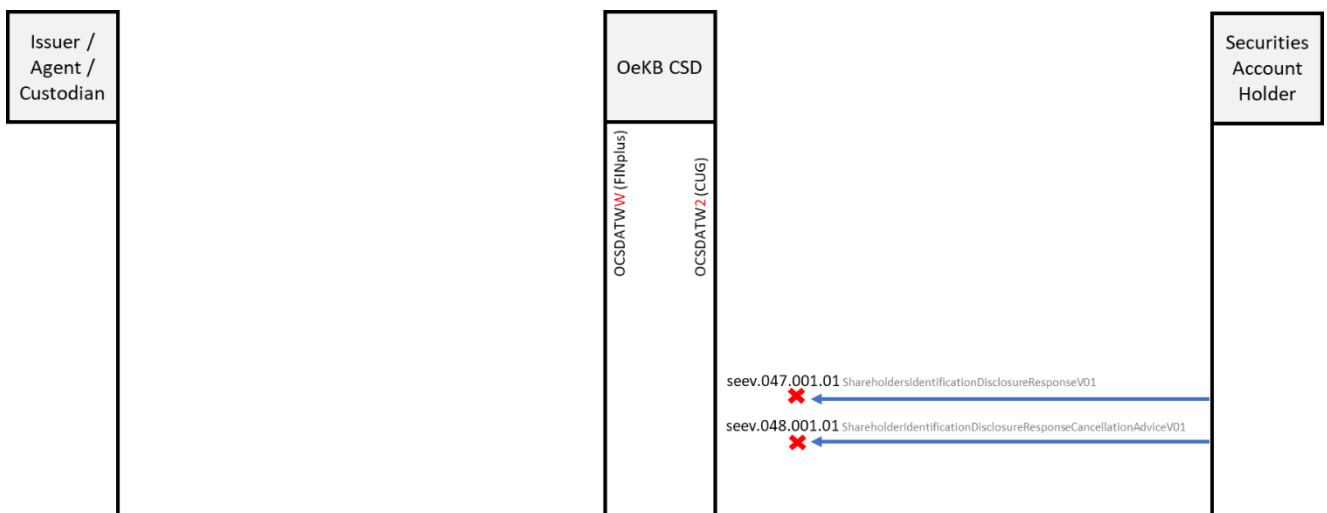
OeKB CSD does **not** accept any other message type or version on any BIC/ENDPOINT, especially:

Message Type	Notification Type	Reason
seev.006.001.06	MeetingInstructionStatusV06	instructions and voting not be communicated via the chain but directly
seev.007.001.06	MeetingVoteExecutionConfirmationV06	instructions and voting not be communicated via the chain but directly

General Meetings



Disclosure Request

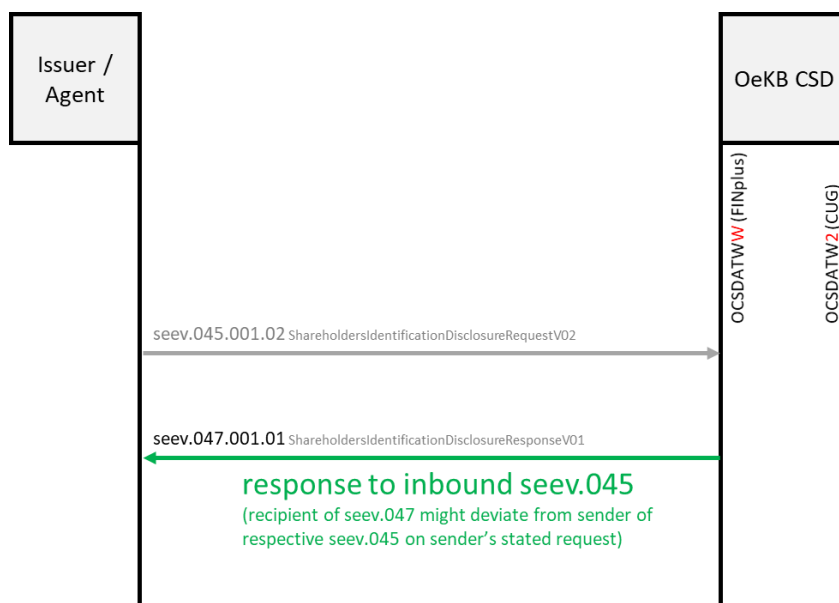


3. Outgoing SWIFT ISO 20022 Messages

The following message types are sent by OeKB CSD:

Message Type	Notification Type	On BIC/ENDPOINT	Technical Specification
seev.047.001.01	ShareholdersIdentificationDisclosureResponseV01	OCSDATWW (FINplus)	<u>swift</u>
seev.048.001.01	ShareholderIdentificationDisclosureResponseCancellationAdviceV01	OCSDATWW (FINplus)	<u>swift</u>

3.1 seev.047.001.01 (ShareholdersIdentificationDisclosureResponseV01)



Please find below the official released descriptions by SMPG (fields not recommended by SMPG will not be considered in outgoing SWIFTS):

M/O: whether the field always is present/populated; **Mandatory:** always is populated; **Optional:** present/populated under certain conditions only

POS: position of field in message (**B**usiness Application Header or **D**ocument Body)

Element: semantic container (ISO20022 XML Tag)

Clarifications, Details and Element Constraints: additional information on the usage of the element as well as constraints that have to be met with respect to the element

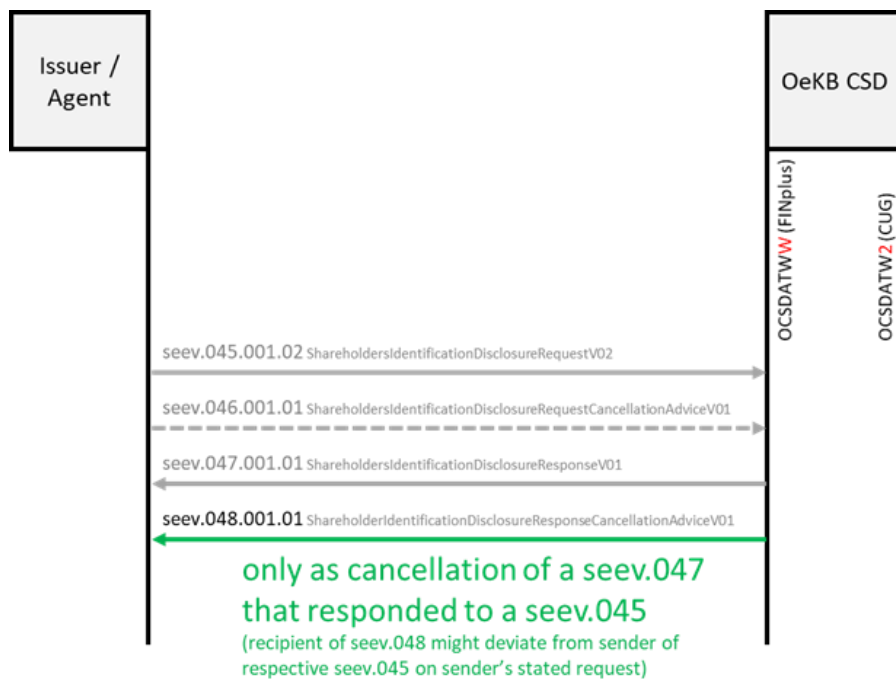
M/O	POS	Element	Clarifications, Details and Element Constraints
M	B	From, <Fr>	BICFI (OCSDATWW)
M	B	To, <To>	BICFI (receiving party started in inbound seev.045.001.02 <RspnRcptAdr>)
M	B	BusinessMessage Identifier, <BizMsgIdr>	
M	B	MessageDefinitionIdentifier, <MsgDefIdr>	seev.047.001.02
M	B	CreationDate, <CreDt>	Date and time, using ISONormalisedDateTime format
M	D	Pagination	
M	D	Issuer Disclosure Request Identification, <IssrDsclsrReqId>	taken from inbound seev.045.001.02
M	D	Financial Instrument Identification, <FinInstrmId>	ISIN, taken from inbound seev.045.001.02
M	D	Shareholders Disclosure Record Date, <ShrhldrsDsclsrRcrdDt>	Date (YYYY-MM-DD), taken from inbound seev.045.001.02
M	D	Disclosure Response Identification, <DsclsrRspnId>	
M	D	Responding Intermediary – Name, <Nm>	OeKB CSD

M/O	POS	Element	Clarifications, Details and Element Constraints
M	D	Responding Intermediary – Identification, <Id>	LEI of OeKB CSD
M	D	Responding Intermediary – Contact Person, <CtctPrsn>	Name and email address
M	D	Safekeeping Account, <SfkpgAcct>	Safekeeping account that the responding intermediary has with the intermediary up the chain. ,N/A' for securities issued at OeKB CSD
M	D	Account Servicer, <AcctSvcr>	Intermediary up the chain from the responding intermediary – LEI ,N/A' for securities issued at OeKB CSD
M	D	Shareholding Balance On Own Account, <ShrhldgBalOnOwnAcct>	Zero (0)
M	D	Shareholding Balance On Client Account, <ShrhldgBalOnClientAcct>	Securities quantity held by OeKB CSD on behalf of clients
M	D	Total Shareholding Balance, <TtlShrhldgBal>	Securities quantity held by OeKB CSD on behalf of clients
M	D	Safekeeping Account, <SfkpgAcct>	Account number at the Account Servicer (if populated)

M/O	POS	Element	Clarifications, Details and Element Constraints
M	D	Securities Account Holder – Legal Person – Name And Address, <NmAndAdr>	Disclosed Securities Account Holder name and address
M	D	Securities Account Holder – Legal Person – Identification, <Id>	Disclosed Securities Account Holder LEI
M	D	Shareholding Type, <ShrhldgTp>	,U'
M	D	Quantity, <Qty>	Securities quantity held by OeKB CSD on behalf of Securities Account Holder
O	D	Non Disclosed Shareholding Quantity, <NonDsclDShrhldgQty>	This element used to indicate any securities quantity held by customers of OeKB CSD who have prohibited disclosure (if populated)
O	D	Below Threshold Shareholding Quantity, <BlwThrshldShrhldgQty>	This element used to indicate any securities quantity held by customers of OeKB CSD having a balance below threshold (if populated)
O	D	Initial Date Of Shareholding, <InitlDtOfShrhldg>	Date (YYYY-MM-DD) if populated
O	D	Third Party – Role, <Role>	To be used with code DECM, to report the details of the third party who is authorised to take investment decisions on behalf of the shareholder
O	D	Third Party – Name, <Nm>	To be used to report the name of the third party

M/O	POS	Element	Clarifications, Details and Element Constraints
O	D	Third Party – Identification, <Id>	LEI if populated

3.2 seev.048.001.01 (ShareholderIdentificationDisclosureResponseCancellationAdviceV01)



Please find below the official released descriptions by SMPG (fields not recommended by SMPG will not be considered in outgoing SWIFTS):

M/O: whether the field always is present/populated; **Mandatory:** always is populated; **Optional:** present/populated under certain conditions only

POS: position of field in message (Business Application Header or Document **Body**)

Element: semantic container (ISO20022 XML Tag)

Clarifications, Details and Element Constraints: additional information on the usage of the element as well as constraints that have to be met with respect to the element

M/O	POS	Element	Clarifications, Details and Element Constraints
M	B	From, <Fr>	BICFI (OCSDATWW)

M/O	POS	Element	Clarifications, Details and Element Constraints
M	B	To, <To>	BICFI (receiving party started in inbound seev.045.001.02 <RspnRcptAdr>)
M	B	BusinessMessage Identifier, <BizMsgldr>	
M	B	MessageDefinitionIdentifier, <MsgDefldr>	seev.048.001.02
M	B	CreationDate, <CreDt>	Date and time, using ISONormalisedDateTime format
M	D	Issuer Disclosure Request Identification, <IssrDsclsrReqId>	taken from inbound seev.045.001.02
M	D	Financial Instrument Identification, <FinInstrmId>	ISIN, taken from inbound seev.045.001.02
M	D	Shareholders Disclosure Record Date, <ShrhldrsDsclsrRcrdDt>	Date (YYYY-MM-DD), taken from inbound seev.045.001.02
M	D	Disclosure Response Identification, <DsclsrRspnId>	
M	D	Responding Intermediary – Name, <Nm>	OeKB CSD
M	D	Responding Intermediary – Identification, <Id>	LEI of OeKB CSD

M/O	POS	Element	Clarifications, Details and Element Constraints
O	B	Related – From, <Fr>	not used, reserved for future use
O	B	Related – To, <To>	not used, reserved for future use
O	B	Related – BusinessMessage Identifier, <BizMsgIdr>	not used, reserved for future use
O	B	Related – MessageDefinitio nIdentifier, <MsgDefldr>	not used, reserved for future use
O	B	Related – CreationDate, <CreDt>	not used, reserved for future use

4. Issuer Agent – Information Provider

Issuers have the possibility to authorize an Information Provider for submitting information to OeKB CSD for the safekeeping and administration with regard to General Meetings and Disclosure Requests. Therefore a legally binding form signed by the Issuer has to be sent according to Annex 10 Authorization Information Provider, see also section 2.6 (3) GTC of OeKB CSD.

4.1 Issuer Information also via SWIFT ISO 15022

Issuers are required to submit information according to Annex 9 Information required for the Safekeeping and Administration of the Securities Categories.

If an issuer intends to send messages in SWIFT ISO 15022 the following mandatory key field should be included in the message:

:97A: :SAFE//Dummy account No

Option A	:4!c//35x	(Qualifier)(Account Number)
Option C	:4!c//4!c	(Qualifier)(Account Code)
