

Appendix B1

Input transactions
Mandatory / optional fields

13 December 2017





Transaction description: Establish preadvice
Transaction code: TC200026
 Purpose: To submit a settlement instruction for settlement in VP or T2S.
 Length: 1417
 Service: ST20001 Transactions-preadvice

01 DATAFIELDS .	M / O	Additional constraints
05 NOTIFICATION .		
06 SENDER-REFERENCE	M	
05 TRADED-FOR .		
06 IDENTIFIER	O	When the instructing part is a Clearing Participant, either TRADED-FOR (IDENTIFIER) or TRADED-FOR-BIC must be specified.
05 PARTY-SEC-ACCOUNT-CONTROLLER .		
06 IDENTIFIER	O	Either PARTY-SEC-ACCOUNT-CONTROLLER (IDENTIFIER) or PARTY-SEC-ACC-CONTR-BIC must be specified.
05 PARTY-VP-ACCOUNT .		
06 NUMBER	M	
05 TRADED-WITH .		
06 IDENTIFIER	O	When the counterparty is a Clearing Participant, either TRADED-WITH (IDENTIFIER) or TRADED-WITH-BIC must be specified.
05 COUNTERPARTY-SEC-ACC-CONTR .		
06 IDENTIFIER	O	When the counterparty is a non-Clearing Participant, either COUNTERPARTY-SEC-ACCOUNT-CONTR (IDENTIFIER) or COUNTERPART-KI-BIC must be specified.
05 COUNTERPARTY-VP-ACCOUNT .		
06 NUMBER	O	When the counterparty is a non-Clearing Participant, either COUNTERPARTY-VP-ACCOUNT (NUMBER) or COUNTERPARTY-SEC-ACCOUNT-BIC must be specified.
05 INTENDED-SETTLEMENT-DAY .		
06 SETTLEMENT-DATE	M	
05 INTENDED-SETTLEMENT-BATCH .		
06 BATCH-NUMBER	O	Only relevant for settlement in VP.
05 TRADE-PRODUCT .		
06 ISIN	M	
05 PART-NON-PART-PLACE-OF-PAYMENT .		
06 REGISTRATION-NUMBER	O	Mandatory when the instructing part is a non-Clearing Participant. Must only be specified when AMOUNT is also specified.
05 CP-NON-PART-PLACE-OF-PAYMENT .		
06 REGISTRATION-NUMBER	O	Mandatory when the counterparty is a non-Clearing Participant and AMOUNT is specified and CREATE-COUNTERPARTY-CODE=1.
05 COUNTERPART-NOTIFICATION .		
06 SENDER-REFERENCE	O	Mandatory when the counterparty is a non-Clearing Participant and CREATE-COUNTERPARTY-CODE=1.
05 PREADVICE .		
06 QUANTITY-INCR-DECR-CODE	M	
06 QUANTITY	M	
06 AMOUNT-INCR-DECR-CODE	M	
06 AMOUNT	O	Mandatory when AMOUNT-INCR-DECR-CODE=1 or 2.
06 PARTY-NON-PART-CASH-ACCOUNT	O	Mandatory when the instructing part is a non-Clearing Participant. Must only be specified when AMOUNT is also specified.
06 CP-NON-PART-CASH-ACCOUNT	O	Mandatory when the counterparty is a non-Clearing Participant and AMOUNT is specified and CREATE-COUNTERPARTY-CODE=1.



06 INTERNAL-TEXT	O	
06 EXTERNAL-TEXT	O	
06 REGISTRATION-CODE	O	When QUANTITY-INCR-DECR-CODE=2 and CREATE-COUNTERPARTY-CODE=1 and REGISTRATION-CODE=1, the increase will be registered.
06 PAYMENT-RESERVATION-CODE	O	Only relevant for settlement in VP. Can only be specified when the instructing part is a Clearing Participant (FH) and the counterparty is a non-Clearing Participant and QUANTITY-INCR-DECR-CODE=2 and AMOUNT=0.
06 PARTY-HOLD-INDICATOR	O	
06 CREATE-COUNTERPARTY-CODE	O	Only relevant for settlement in VP. Can only be specified when the counterparty is a non-Clearing Participant.
06 FORCE-MARK-CODE	O	Only relevant for settlement in VP.
06 PLEDGE-REQUEST-CODE	O	Only relevant for settlement in VP. Can only be specified for a “receive” instruction when the instructing part is a non-Clearing Participant (AI, UI, PR) and AMOUNT is specified. Can also be specified for a “delivery” instruction when the instructing part is a Clearing Participant and CREATE-COUNTERPARTY-CODE=1 and AMOUNT is specified.
06 PART-SEC-ACCOUNT-BIC	O	Can only be specified when the instructing party is a non-Clearing Participant.
06 COUNTERPARTY-SEC-ACCOUNT-BIC	O	Can only be specified when the counterparty is a non-Clearing Participant.
06 TRADE-DATE	M	
06 TRADED-FOR-BIC	O	When the instructing part is a Clearing Participant, either TRADED-FOR (IDENTIFIER) or TRADED-FOR-BIC must be specified.
06 PARTY-SEC-ACC-CONTR-BIC	O	Either PARTY-SEC-ACCOUNT-CONTROLLER (IDENTIFIER) or PARTY-SEC-ACC-CONTR-BIC must be specified.
06 TRADED-WITH-BIC	O	When the counterparty is a Clearing Participant, either TRADED-WITH (IDENTIFIER) or TRADED-WITH-BIC must be specified.
06 COUNTERPART-KI-BIC	O	When the counterparty is a non-Clearing Participant, either COUNTERPARTY-SEC-ACCOUNT-CONTR (IDENTIFIER) or COUNTERPART-KI-BIC must be specified.
06 SECURITIES-TRANSACTION-TYPE	M	
06 PLACE-OF-CLEARING-ID	O	
06 PLACE-OF-TRADING-ID	O	
06 SETTLEMENT-PRIORITY	O	Only relevant for settlement in T2S.
06 PARTIAL-SETTLEMENT-INDICATOR	O	Only relevant for settlement in T2S.
06 TRADE-REFERENCE	O	
06 ADEA-CODE	O	Only relevant for settlement in T2S.
05 CA-ON-FLOW .		
06 CA-ON-FLOW-PART-CODE	O	
06 COUPON-CODE	O	
05 CURRENCY .		
06 ISO-CODE	O	Mandatory when AMOUNT is specified.
05 PARTICIPANT-CASH-ACCOUNT .		
06 REGISTRATION-NUMBER	O	Can only be specified when the instructing part is a Clearing Participant.
06 ACCOUNT-NUMBER	O	Can only be specified when the instructing part is a Clearing Participant.
05 T2S-CASH-ACCOUNT .		
06 CASH-ACCOUNT-ID	O	Only relevant for settlement in T2S.
05 PARTY-SUB-ID .		
06 SUB-ID-BIC	O	
06 SUB-ID-NUMBER	O	
06 DATASOURCE-ISSUER	O	Mandatory when SUB-ID-NUMBER is specified.
06 DATASOURCE-SCHEME-NAME	O	



05 COUNTERPART-SUB-ID .		
06 SUB-ID-BIC	O	
06 SUB-ID-NUMBER	O	
06 DATASOURCE-ISSUER	O	Mandatory when SUB-ID-NUMBER is specified.
06 DATASOURCE-SCHEME-NAME	O	
05 SUB-BALANCE-TYPE .		
06 CODE	O	Only relevant for settlement in T2S.
05 QUANTITY-BREAKDOWN .		
06 IDENTIFICATION	O	Only relevant for settlement in T2S. Mandatory if required by the type specified in SUB-BALANCE-TYPE.
05 LINK-INFORMATION OCCURS 20 .		
06 LINKED-SUBMITTER	O	Only relevant for settlement in T2S. Mandatory when LINKED-REFERENCE is specified.
06 LINKED-REFERENCE	O	Only relevant for settlement in T2S. Mandatory when LINKED-SUBMITTER is specified.
06 PROCESSING-POSITION-CODE	O	Only relevant for settlement in T2S. Mandatory when either LINKED-REFERENCE or T2S-REFERENCE is specified.
06 T2S-REFERENCE	O	Only relevant for settlement in T2S. Mandatory when PROCESSING-POSITION-CODE is specified and the instruction was submitted to T2S by a DCP.

M = Mandatory / O = Optional



Transaction description: Cancel settlement instruction and T2S intra position movement
Transaction code: TU200052
Purpose: To request cancellation of a settlement instruction or T2S intra position movement.
Length: 37
Service: ST20143 Modification of settlement transaction and T2S intra position movement

01 DATAFIELDS .	M / O	Additional constraints
05 NOTIFICATION .		
06 SENDER-REFERENCE	M	
05 ORIGINAL-NOTIFICATION .		
06 IDENTIFIER	M	
06 SENDER-REFERENCE	M	

M = Mandatory / O = Optional



Transaction description: **Hold Settlement Instruction**
Transaction code: **TU200062**
Purpose: To set a settlement instruction on hold.
Length: 37
Service: ST20143 Modification of settlement transaction and T2S intra position movement

01 DATAFIELDS .	M / O	Additional constraints
05 NOTIFICATION .		
06 SENDER-REFERENCE	M	
05 ORIGINAL-NOTIFICATION .		
06 IDENTIFIER	M	
06 SENDER-REFERENCE	M	

M = Mandatory / O = Optional



Transaction description: **Release Settlement Instruction**
Transaction code: **TU200082**
Purpose: To release a settlement instruction.
Length: 54
Service: ST20143 Modification of settlement transaction and T2S intra position movement

01 DATAFIELDS .	M / O	Additional constraints
05 NOTIFICATION .		
06 SENDER-REFERENCE	M	
05 ORIGINAL-NOTIFICATION .		
06 IDENTIFIER	O	Mandatory when releasing a settlement instruction or T2S intra position movement.
06 SENDER-REFERENCE	O	Mandatory when releasing a settlement instruction or T2S intra position movement.
05 ORIG-T2S-GENERATED-INSTRUCTION .		
06 SENDER-REFERENCE	O	Mandatory when releasing a T2S generated instruction.
05 MODIFICATION-REQUEST .		
06 FORCE-MARK-CODE	O	Only relevant for settlement in VP.

M = Mandatory / O = Optional



Transaction description: Request for securities account holding - online
Transaction code: TR200175
Purpose: To request information about the holding in an interval of ISINs on a given securities account.
Length: 46
Service: ST20011 Request for extract of holding - online

01 DATAFIELDS .	M / O	Additional constraints
04 SECURITIES-ACCOUNT-CONTROLLER .		
05 IDENTIFIER	M	
04 SECURITIES-ACCOUNT .		
05 NUMBER	M	
04 START-ISIN-INTERVAL .		
05 ISIN	O	
04 END-ISIN-INTERVAL .		
05 ISIN	O	

M = Mandatory / O = Optional



Transaction description: Establish T2S Transfer Instruction
Transaction code: TC204781
Purpose: To transfer securities from a VP account to a T2S account, or vice versa.
Length: 308
Service: ST20144 Transactions - T2S transfer

01 DATAFIELDS .	M / O	Additional constraints
05 DELIVERER-NOTIFICATION .		
06 SENDER-REFERENCE	M	
05 DELIVERER-SAC .		
06 IDENTIFIER	M	
05 DELIVERER-VP-ACCOUNT .		
06 NUMBER	M	
05 RECEIVER-NOTIFICATION .		
06 SENDER-REFERENCE	M	
05 RECEIVER-SAC .		
06 IDENTIFIER	M	
05 RECEIVER-VP-ACCOUNT .		
06 NUMBER	M	
05 INTENDED-SETTLEMENT-DAY .		
06 SETTLEMENT-DATE	M	
05 INTENDED-SETTLEMENT-BATCH .		
06 BATCH-NUMBER	O	Only for transfer from VP account to T2S account.
05 TRADE-PRODUCT .		
06 ISIN	M	
05 T2S-TRANSFER .		
06 QUANTITY	M	
06 EXTERNAL-TEXT	O	
06 REGISTRATION-CODE	O	
06 PARTY-HOLD-INDICATOR	O	
06 FORCE-MARK-CODE	O	Only for transfer from VP account to T2S account.
06 SETTLEMENT-PRIORITY	O	Only for transfer from T2S account to VP account.
06 PARTIAL-SETTLEMENT-INDICATOR	O	Only for transfer from T2S account to VP account.
05 DELI-SUB-IDENT-INFORMATION .		
06 SUB-ID-BIC	O	
06 SUB-ID-NUMBER	O	
06 DATASOURCE-ISSUER	O	Mandatory when SUB-ID-NUMBER is specified.
06 DATASOURCE-SCHEME-NAME	O	
05 RECE-SUB-IDENT-INFORMATION .		
06 SUB-ID-BIC	O	
06 SUB-ID-NUMBER	O	
06 DATASOURCE-ISSUER	O	Mandatory when SUB-ID-NUMBER is specified.



06 DATASOURCE-SCHEME-NAME	O	
05 SUB-BALANCE-TYPE .		
06 CODE	O	
05 QUANTITY-BREAKDOWN .		
06 IDENTIFICATION	O	Only for transfer from T2S account to VP account. Mandatory if required by the type specified in SUB-BALANCE-TYPE.

M = Mandatory / O = Optional



Transaction description: Establish T2S Intra Position Movement Instruction
Transaction code: TC204791
Purpose: To transfer securities between two sub balance types.
Length: 942
Service: ST20145 Transactions - T2S intra position movement

01 DATAFIELDS .	M / O	Additional constraints
03 NOTIFICATION .		
04 SENDER-REFERENCE	M	
03 SECURITIES-ACCOUNT-CONTROLLER .		
04 IDENTIFIER	M	
03 VP-ACCOUNT .		
04 NUMBER	M	
03 TRADE-PRODUCT .		
04 ISIN	M	
03 REQUESTED-SETTLEMENT-DATE .		
04 SETTLEMENT-DATE	M	
03 T2S-INTRA-POSITION-MOVEMENT .		
04 SETTLEMENT-PRIORITY	O	
04 QUANTITY	M	
03 FROM-SUB-BALANCE-TYPE .		
04 CODE	M	
03 TO-SUB-BALANCE-TYPE .		
04 CODE	M	
03 QUANTITY-BREAKDOWN .		
04 IDENTIFICATION	O	Mandatory if required by the type specified in either FROM-SUB-BALANCE-TYPE or TO-SUB-BALANCE-TYPE.
03 LINK-INFORMATION OCCURS 20 .		
04 LINKED-SUBMITTER	O	Mandatory when LINKED-REFERENCE is specified.
04 LINKED-REFERENCE	O	Mandatory when LINKED-SUBMITTER is specified.
04 PROCESSING-POSITION-CODE	O	Mandatory when either LINKED-REFERENCE or T2S-REFERENCE is specified.
04 T2S-REFERENCE	O	Mandatory when PROCESSING-POSITION-CODE is specified and the instruction was submitted to T2S by a DCP.

M = Mandatory / O = Optional



Transaction description: Modification of settlement instruction and T2S intra position movement
Transaction code: TU204801
Purpose: To modify settlement conditions of a T2S settlement instruction or T2S intra position movement.
Length: 459
Service: ST20143 Modification of settlement transaction and T2S intra position movement

01 DATAFIELDS .	M / O	Additional constraints
05 NOTIFICATION .		
06 SENDER-REFERENCE	M	
05 ORIGINAL-NOTIFICATION .		
06 IDENTIFIER	M	
06 SENDER-REFERENCE	M	
05 MODIFICATION-REQUEST .		
06 LINKAGE-CODE	O	
06 SETTLEMENT-PRIORITY	O	
06 PARTIAL-SETTLEMENT-INDICATOR	O	
05 LINK-INFORMATION OCCURS 10 .		
06 LINKED-SUBMITTER	O	When LINKAGE-CODE is specified and the instruction was not submitted to T2S by a DCP, LINKED-SUBMITTER must also be specified.
06 LINKED-REFERENCE	O	When LINKAGE-CODE is specified and the instruction was not submitted to T2S by a DCP, LINKED-REFERENCE must also be specified.
06 PROCESSING-POSITION-CODE	O	Mandatory when LINKAGE-CODE is specified.
06 T2S-REFERENCE	O	Mandatory when LINKAGE-CODE is specified and the instruction was submitted to T2S by a DCP.

M = Mandatory / O = Optional