

## DOCUMENT VERSIONS

Version	Pages modified / Observations
07/06/2021	First version of the document.
07/06/2021	Second version of the document. The length of the format has been amended to 8032 positions.
07/06/2021	Third version of the document. Three fields are included in the format: 5, 6 and 15. These are related to the holding date calculation method, the holding date and the Minimum threshold of securities. Furthermore, field 29 is modified to optional in line with Seev.047 message. Finally, the length of the format is changed to 8062 characters.
07/06/2021	Fourth version of the document. The literal for the "General description" section is amended. Field 13 is added to give the intermediary the option to identify himself through LEI and field 12. Lastly, the length of the format is amended to 8074 characters.

Section	Title
Notification of beneficial owners to issuers	Notifying beneficial owners at the issuer's request

## HTITU13 FORMAT

### General description

This format will be used:

IBERCLEAR notifies to the issuers or to the CNMV, the ownership communicated by the intermediaries under the scope of application of the *Shareholder Rights Directive 2*. The following will be communicated:

- Assuming that it is possible to reconcile the entire chain of custody, the ownership of the ultimate beneficiaries will be communicated (BENE).
- If the chain of custody can only be partially reconciled, the last reconciled ownership of the chain will be communicated (NOMI, OOAC, UKWN).
- If the chain of custody cannot be reconciled, the ownerships received will be notified (BENE, NOMI, OOAC, UKWN).

It is a complementary format to the HTITU12 file, that is, the prior request of shareholders by the issuer will be recommended to know the ownership of all the shareholders and last beneficial owners. The ownership of the shareholders declared as nominee in the previous HTITU12 should be completed with the ownerships communicated in the HTITU13 file.

Each shareholder identified as nominee will be identified in the HTITU12 with its entity BIC, CCV and securities account opened at Iberclear. The file HTITU13 will link the data of the nominee shareholder with the data of ownership communicated in the HTITU13 file: both the tax and address data, as well as your securities account, number of securities and type of holding. Also, this format will indicate if the information is reconciled.

### Origin and destination

**Issuer:** IBERCLEAR

**Recipient:** Issuers

**Format structure**

**VARIABLE LENGTH**

**MAXIMUM LENGTH: 8.074**

NUM	FIELD	DESCRIPTION	LON	EN	DEC	TIP	OBSERV.
1	T2CFORMAT	Format identifier	8	8		X	HTITU13
2	T2FECOMU	Notification date and time	14	14		N	YYYYMMDD HHMMSS
3	T2REFERCO	Communication reference	35	35		X	
4	T2REFSERV	Owner identification request reference	35	35		X	
5	T2VUMBRL	Minimum threshold of securities with obligation to notify ownership.	18	16	2	N	
6	T2CCALCF	Holding date calculation method	4	4		X	PFDT
7	T2CVALOR	ISIN code	12	12		X	ISO 6166
8	T2FEVALO	Record date	8	8		N	YYYYMMDD
9	T2COBICP	Participant BIC code	11	11		X	
10	T2RCUENTV	Securities account number	35	35		X	
11	T2RCLIENT	CCV Reference (shareholder)	20	20		X	
12	T2COIDEN	Last Intermediary Identification Code	3	3		X	BIC/LEI
13	T2IDENIN	Last Intermediary Identification	20	20		X	
14	T2RCLLV	Last intermediary account reference	35	35		X	
15	T2CTIPTN	Type of holding of the securities	4	4		X	BENE/NOMI /OOAC/UKW N
16	T2FTNPFT	Securities holding date	8	8		N	YYYYMMDD
17	T2URCONC	Reconciled Y/N indicator	1	1		X	Y/N
18	T2UPTEDSG	Indicator pending disclosure Y/N	1	1		X	Y/N
19	T2IDCOT	Trading indicator in nominal amount or units	1	1		X	N/U
20	T2VALOR	Amount of securities	25	16	9	N	
21	T2NREGIST	Number of the holder records	5	5		N	1-25
22	T2NREGISD	Number of address records	5	5		N	1
<b>Beneficiary ownership data</b>							
23	T2UREG01	Holder number	2	2		N	01-25
24	T2DNOMBR	Name or corporate name	140	140		X	
25	T2DAPELLI1	First surname	40	40		X	
26	T2DAPELLI2	Second surname	40	40		X	
27	T2DIDENTIF	Holder identification	50	50		X	

NUM	FIELD	DESCRIPTION	LON	EN	DEC	TIP	OBSERV.
28	T2UIDENTIF	Identification type	1	1		X	N/E/O/C/B/I /L/P/T
29	T2UCLASEP	Indication of whether natural or legal person	1	1		X	F/J
30	TIFENAC	Date of birth	8	8		N	YYYYMMDD
31	T2CPAIS	Nationality	3	3		N	ISO3166
32	T2UEXTRA	National/foreign indicator	1	1		X	N/E
33	T2UTIPOTI	Holder type	1	1		X	T/N/U/R
34	T2QPROPIE	Percentage ownership:	5	3	2	N	
35	T2QUSUFUFRU	Usufruct percentage	5	3	2	N	
<b>Beneficiary address data</b>							
36	T2UREGIDM	Record type	2	2		X	DM
37	T2DOMICILI	Address	40	40		X	
38	T2DPOBLAC	Location	35	35		X	
39	T2CPOSTAL	Post code	5	5		N	
40	T2CPAISRE	Country of residence	3	3		N	ISO3166
41	T2DMAILTO	Recipient's email	256	256		X	

\*N: Numeric  
X: Alphanumeric

## Clarification of fields

- 1    Name:            Format identifier  
      Content:        It will always be completed with the HTITU13 identifier.  
                      Required field.
- 2    Name:            Notification date and time  
      Content:        File transmission date and time.  
                      Required field.
- 3    Name:            Communication reference  
      Content:        Reference allocated by Iberclear to HTITU13.  
                      Required field.
- 4    Name:            Ownership identification request reference  
      Content:        Unique and official reference assigned by the issuer or a third party designated by it  
                      to the request for identification of shareholders + beneficiaries or beneficiaries only.  
                      Required field.
- 5    Name:            Minimum threshold of securities with obligation to notify ownership.  
      Content:        Minimum number of securities for communication of ownership to be mandatory.  
                      This field will only be reported in requests that require a minimum threshold to carry  
                      out the ownership identification, otherwise it will be reported to spaces.  
                      Optional field, supports spaces.
- 6    Name:            Holding date calculation method  
      Content:        In the case of a request in which the first holding date has been required, this field  
                      will be filled in with the content "PFDT". Otherwise, it will be reported to spaces.  
                      Optional field.
- 7    Name:            ISIN code  
      Content:        ISIN code of the security for which the holders have been requested at the  
                      reference date. ISO 6166 code.  
                      Required field.
- 8    Name:            Record date  
      Content:        Record date in YYYYMMDD format. The ownership of the securities registered at the  
                      closing of this value date will be reported.  
                      Required field.

- 9 Name: BIC participant code  
Content: Identification of the entity that owns the CCV with NOMI ownership in the HTITU12. Mandatory field, it will always be reported.
- 10 Name: Securities account number  
Content: Identification of the account of the entity that owns the CCV with NOMI ownership in the HTITU12. Mandatory field, it will always be reported.
- 11 Name: CCV Reference  
Content: CCV assigned to the entity that owns the CCV with NOMI ownership in the HTITU12. Required field.
- 12 Name: Last Intermediary Identification Code  
Content: Identification Code of last intermediary that owns the account of the holder of the securities that it lists. Supported values:  
**BIC**  
**LEI**  
Mandatory field.
- 13 Name: Last Intermediary Identification  
Content: Identification of last intermediary that owns the account of the holder of the securities that it lists. According to the code selected in field 12, the corresponding identification must be reported.  
Mandatory field.
- 14 Name: Last intermediary account reference  
Content: Reference that the last intermediary has allocated to the account of the holder of the securities that it lists.  
Required field.
- 15 Name: Type of holding of the securities  
Content: Characteristic of the owner of the declared securities. Supported values:  
**BENE**: Ultimate beneficiary  
**NOMI**: Nominee (financial intermediary).  
**OOAC**: Proprietary securities of a participant in the omnibus account or of third parties.  
**UKNW**: Unknown.  
Required field.

- 16 Name: Securities holding date  
Content: In the case of a request in which the first holding date has been required, this field will be optional. Otherwise, it will be reported to spaces.  
Optional field.
- 17 Name: Reconciled Y/N indicator  
Content: Indicates whether the total of the securities broken down for a CCV in HTITU13 matches the number of securities declared in HTITU12 for that CCV.  
Indicator pending disclosure Y/N.  
Required field.
- 18 Name: Indicator pending disclosure Y/N  
Content: Indicates whether the declarer of the securities has to be broken down by one more level because it is a NOMI.  
'S' must be re-broken down 'until the final beneficiary is reported.  
'N' is not pending breakdown, it has reported the final beneficiary.  
Required field.
- 19 Name: Trading indicator in nominal values or monetary units  
Content: Indicator of the representation of the values in units (U) or nominal (N).  
Required field in the response of the participants.
- 20 Name: Amount of securities  
Content: Amount of securities or nominal declared in the CCV. It must be greater than zero.  
Required field.
- 21 Name: Number of the holder records  
Content: Minimum value 1, maximum 25.  
Required field.
- 22 Name: Number of address records  
Content: Minimum value 1, maximum 1.  
Required field.
- Ownership data of the beneficiaries**
- 23 Name: Holder number  
Content: Sequence of the holders' registers.  
From 01 first holder to 25 holders at the most  
Required field.

- 24 Name: Name or corporate name  
Content: Will be filled in with the full name if it is a natural person, and with the corporate purpose if it is a legal person.  
Required field.
- 25 Name: First surname  
Content: Will only be filled in if it is a natural person. If not, left blank.  
Required field.
- 26 Name: Second surname  
Content: Will only be filled in if it is a natural person. If not, left blank.  
Required field.
- 27 Name: Holder identification  
Content: The identification of the owner will be reported according to the type of identification communicated. This field will be required and its content will be validated according to the established validation rules:  
**Natural person:** Tax ID number (NIF), foreign resident number (NIE), national identification in the country of origin, passport, CONCAT or other identification  
**Legal person:** LEI, CIF, BIC or other identification
- 28 Name: Identification type  
Content: Indicate the holder identification type. Will be filled in with the following values:  
For natural person:  
**N:** Tax ID No  
**E:** Foreigner ID No.  
**I:** National identification of the holder in country of origin.  
**P:** Holder's passport.  
**T:** CONCAT  
**O:** Other identification.  
For legal person:  
**L:** LEI  
**C:** Tax ID number (CIF):  
**B:** BIC  
**O:** Other identification.  
Required field.
- 29 Name: Indication of whether natural or legal person  
Content: This will be completed with the following values:  
**F:** Natural personality.

**J:** Legal personality.  
Required field.

- 30 Name: Date of birth  
Content: Holder date of birth. YYYYMMDD format.  
Mandatory field for natural persons.
- 31 Name: Nationality  
Content: Will be reported with the code of the holder's country of nationality.  
ISO3166 code. Three-digit numerical code (724 Spain).  
Optional field.
- 32 Name: National/foreign indicator  
Content: It will be stated whether the holder is Spanish or foreign This will be completed with the following values:  
**N:** National (nationality 724, Spanish).  
**E:** Foreign (nationality other than 724).  
Required field.
- 33 Name: Holder type  
Content: This will be completed with the following values:  
**T:** Holder.  
**N:** Bare owner.  
**U:** Usufructuary.  
**R:** Representative.  
Required field.
- 34 Name: Percentage ownership:  
Content: If it is notified, the ownership percentage in property is indicated. If it is not notified, it will be filled in with zeros.  
Optional field.
- 35 Name: Usufruct percentage  
Content: If it is notified, the ownership percentage in the usufruct will be indicated. If it is not notified, it will be filled in with zeros.  
Optional field.

#### **Address data of the beneficiaries**

- 36 Name: Record type  
Content: It will be reported with the value of DM.

Required field.

- 37 Name: Address  
Content: Will be notified with the holder's address.  
Required field.
- 38 Name: Location  
Content: Will be notified with the holder's city.  
Required field.
- 39 Name: Post code  
Content: If the address is in Spain, it will be reported with the post code of the city.  
If the domicile is abroad, it will be configured as 99nnn, with nnn being the 3-digit numeric country code in accordance with ISO3166.  
Required field.
- 40 Name: Country of residence  
Content: Will report the country of residence.  
ISO3166 code. Three-digit numerical code (724 Spain).  
Required field.
- 41 Name Recipient's email  
Content: Optional field.