

DOCUMENT VERSIONS

<u>Version</u>	<u>Pages modified / Observations</u>
03/09/2020	First version of the document
07/06/2021	Second version of the document: Field 7 is added to give the intermediary the option to identify himself through LEI and the content of field 6 is amended.

<u>Section</u>	<u>Title</u>
Identification of shareholders and beneficiaries	Cancellation of disclosure with information on shareholders and beneficial owners

FORMAT seev.048.001.01

General description

It is a cancellation of the disclosure with information on shareholders and/or beneficial owners of a security.

Origin/Destination

Issuer: IBERCLEAR

Recipient: Participants, CSDs, intermediaries.

Issuer: Participants, CSDs, intermediaries.

Recipient: IBERCLEAR

Main related messages

Each seev.048 message cancels a previous seev.047 disclosure that answered a request.

Relationship with Owner messages

It has an equivalent in HTITU12 to cancel a previous HTITU12.

Format structure

	Mult.	Or	Lv	<XML Tag>	Message Item
	[1..1]		0	<ShrhldrIdDsclsrRspnCxlAdv>	Shareholder Identification Disclosure Response Cancellation Advice V01
1	[1..1]		1	<DsclsrRspnId>	Disclosure Response Identification
	[1..1]		1	<IssrDsclsrReqRef>	Issuer Disclosure Request Reference
2	[1..1]		2	_<IssrDsclsrReqId>	Issuer Disclosure Request Identification
	[1..1]		2	_<FinInstrmId>	Financial Instrument Identification
3	[1..1]		3	__<ISIN>	ISIN
	[1..1]		2	_<ShrhldrsDsclsrRcrdDt>	Shareholders Disclosure Record Date
	[1..1]		3	__<Dt>	Date
4	[1..1]		4	___<Dt>	Date
	[1..1]		1	<RspndgIntrmy>	Responding Intermediary
5	[1..1]		2	_<Nm>	Name
	[1..1]		2	_<Id>	Identification
6	[1..1]	{Or	3	__<AnyBIC>	Any BIC
7	[1..1]	Or}	3	__<LEI>	LEI

Clarification of fields

- 1 Name: Disclosure Response Identification
Format: Alphanumeric up to 35 positions.
Content: Unique answer reference with disclosure seev.047 to cancel.
- 2 Name: Issuer Disclosure Request Identification
Format: Alphanumeric up to 35 positions.
Content: Official and unique reference assigned to the request for disclosure of the holders.
- 3 Name ISIN
Format: 12 alphanumeric positions. Coding ISO 6166 [AZ] {2,2} [A-Z0-9] {9,9} [0-9] {1,1}.
Content: Value code for which ownership identification is requested.
- 4 Name Shareholders Disclosure Record Date
Format: ISODate: YYYY-MM-DD.
Content: Record date for which the identification of ownership of the positions is requested.
- 5 Name Name of Responding Intermediary
Format: Alphanumeric up to 350 positions.
Content: Name of the intermediary that prepares the cancellation of the response of seev.047.
- 6 Name BIC of Responding Intermediary
Format: 11 alphanumeric positions [A-Z0-9] {4,4} [AZ] {2,2} [A-Z0-9] {2,2} [A-Z0-9] {3,3}.
Content: BIC code of the Intermediary that prepares the seev.048 cancelation. For participant entities of IBERLEAR, a BIC identifier must be informed.
- 7 Name LEI of Responding Intermediary
Format: 20 alphanumeric positions [A-Z0-9]{18,18}[0-9]{2,2}.
Content: LEI code of the Intermediary that prepares the seev.048 cancelation.

DOCUMENT VERSIONS

<u>Version</u>	<u>Pages modified / Observations</u>
03/09/2020	First version of the document subject to change
07/06/2021	Second version of the document: Field 7 is added to give the intermediary the option to identify himself through LEI and the content of field 6 is amended.

<u>Section</u>	<u>Title</u>
Identification of shareholders and beneficial owners	Disclosure communication statements with shareholder and beneficial owners information

FORMAT seev.049.001.01

General description

It is a communication with the state of the different disclosures with information on shareholders and/or beneficial owners of a security.

Origin/Destination

Issuer: IBERCLEAR
Receiver: Participants, CSD

Main related messages

Each seev.049 message communicates a state of previous seev.047 disclosures answering a request.

Relationship with Owner messages

It has an equivalent in HTITU12 for those who decide to receive a proprietary format.

Format structure

	Mult.	Or	Lv	<XML Tag>	Message Item
	[1..1]		0	<ShrhldrIdDsclsrRspnStsAdv>	Shareholder Identification Disclosure Response Status Advice V01
1	[1..1]		1	<DsclsrRspnId>	Disclosure Response Identification
	[1..1]		1	<IssrDsclsrReqRef>	Issuer Disclosure Request Reference
2	[1..1]		2	_<IssrDsclsrReqId>	Issuer Disclosure Request Identification
	[1..1]		2	_<FinInstrmId>	Financial Instrument Identification
3	[1..1]		3	__<ISIN>	ISIN
	[1..1]		2	_<ShrhldrsDsclsrRcrdDt>	Shareholders Disclosure Record Date
	[1..1]		3	__<Dt>	Date
4	[1..1]		4	___<Dt>	Date
	[1..1]		1	<RspndgIntrmy>	Responding Intermediary
5	[1..1]		2	_<Nm>	Name
	[1..1]		2	_<Id>	Identification
6	[1..1]	{Or	3	__<AnyBIC>	Any BIC
7	[1..1]	Or}	3	__<LEI>	LEI
	[1..1]		1	<RspnRcptnSts>	Response Reception Status
	[1..1]	{Or	2	_<Accptd>	Accepted
8	[1..1]		3	__<NoSpdfdRsn>	No Specified reason
	[1..1]	Or}	2	_<Rjctd>	Rejected
9	[1..1]	{Or	3	__<NoSpdfdRsn>	No Specified reason
	[1..*]	Or}	3	__<Rsn>	Reason
	[1..1]		4	___<RsnCd>	ReasonCode
10	[1..1]	{Or	5	_____<Cd>	Code
	[1..1]	Or}	5	_____<Prtry>	Proprietary
11	[1..1]		6	_____<Id>	Identification
12	[1..1]		6	_____<Issr>	Issuer
13	[0..1]		5	_____<AddtlRsnInf >	Additional Reason Information

Clarification of fields

- 1 Name: Disclosure Response Identification
Format: Alphanumeric up to 35 positions.
Content: Unique reference of the response of seev.047 to report its status.
- 2 Name: Issuer Disclosure Request Identification
Format: Alphanumeric up to 35 positions.
Content: Official and unique reference assigned to the request for disclosure of the holders.
- 3 Name: ISIN
Format: 12 alphanumeric positions. Coding ISO 6166 [AZ] {2,2} [A-Z0-9] {9,9} [0-9] {1,1}.
Content: Value code for which ownership identification is requested.
- 4 Name: Shareholders Disclosure Record Date
Format: ISODate: YYYY-MM-DD.
Content: Record date for which the identification of ownership of the positions is requested.
- 5 Name: Name of Responding Intermediary
Format: Alphanumeric up to 350 positions.
Content: Name of the broker that prepares the response from seev.047 and that receives the status communication.
- 6 Name: BIC of Responding Intermediary
Format: 11 alphanumeric positions [A-Z0-9] {4,4} [AZ] {2,2} [A-Z0-9] {2,2} [A-Z0-9] {3,3}.
Content: BIC code of Intermediary that prepares the response from seev.047 and that receives the status communication. For participant entities of IBERCLEAR, a BIC Code must be informed.
- 7 Name: LEI of Responding Intermediary
Format: 20 alphanumeric positions [A-Z0-9]{18,18}[0-9]{2,2}.
Content: LEI code of Intermediary that prepares the response from seev.047 and that receives the status communication.
- 8 Name: Accepted status
Format: Alphanumeric with 4 positions.
Content: Supported value:
NORE. No reason.
- 9 Name: Rejected status without Specified Reason Code
Format: Alphanumeric with 4 positions.
Content: Supported value:
NORE. No reason.
- 10 Name: Rejected status with Reason Code
Format: Alphanumeric with 4 positions.
Content: Supported values:
IDRI. Invalid Disclosure Request Identification.

IDRJ. Invalid Disclosure Response Identification.

SVNO. Service Not Offered.

- 11 Name Proprietary Identification of Reason Code
 Format: Alphanumeric with 4 positions.
 Content: **CERR.** Error in some disclosures (Iberclear error codes).
CERS. Error in the Safekeeping Account with position (Iberclear error codes).
CERF. Global error in the disclosure response (Iberclear error codes).
- 12 Name Proprietary Issuer of Reason Code
 Format: Alphanumeric up to 35 positions.
 Content: Entity that assigns the above identification. BIC Code of IBERCLEAR.
- 13 Name Additional Reason Information
 Format: Alphanumeric up to 350 positions.
 Content: Additional information about the reason for the rejection.
 It will be a field of 350 positions, where the first 46 positions will have the following structure:
 When the Proprietary Identification of Reason Code (field 10) = 'CERR':
 Position 01-10: Iberclear error code.
 Position 11-11: Information separator a hyphen "-".
 Position 12-46: Safekeeping Account where the position is deposited (SAC or sub-account) and reported in rejected seev.047 that has the error.
 Position 47-47: Information separator a hyphen "-".
 Position 48-97: Holder identification.
 When the Proprietary Identification of Reason Code (field 10) = 'CERS':
 Position 01-10: Iberclear error code.
 Position 11-11: Information separator a hyphen "-".
 Position 12-46: Securities Account with position reported in seev.047 that has the error.
 When the Proprietary Identification of Reason Code (field 10) = 'CERF':
 Position 01-10: Iberclear error code.
 Position 11-11: Information separator a hyphen "-".
 Position 12-46: Issuer Disclosure Request Identification reported in seev.047 that has the error.
 Position 47-47: Information separator a hyphen "-".
 Position 48-82: Disclosure response Identification reported in seev.047 that has the error.