MT564 - Meeting Event Notification

Timing

The timing of notifications and notifications via SWIFT is largely dependent on the type of meeting event and how much notice Clearstream Banking has received. Typically, the following approach is adopted:

Prenotifications

No prenotifications are sent.

Notifications

Notifications are sent to customers on or after record date to advise them that they have received a securities meeting event entitlement based on their holding on record date. For meeting events that are not subject to a record date, Clearstream Banking will send notifications to customers upon receipt of the information.

Amendments

As soon as Clearstream Banking becomes aware of changes in the conditions of a meeting event for which a notification has been sent, a subsequent notification with function REPL is sent to the entitled holders. The SEME reference of the previous message is entered in the A1 linkage sequence with the qualifier :PREV.

Reminders

Reminders are sent to those customers who have not yet sent their voting instructions. A first reminder is sent to entitled holders on the seventh business day prior to the Clearstream Banking deadline date A second reminder is sent to entitled holders on the second business day prior to the Clearstream Banking deadline date. Additional reminders are sent on case by case basis and, if necessary, closer to the deadline.

Message content

An MT564 Notification message is sent per safekeeping account, ISIN and place of safekeeping. Subsequence B2 is therefore present only once in the message.

Sequence C and subsequences B1, E1, E1a and E2 are not used.

Custody instructions and reports

MT564 - Overview

The following table lists the fields in a Meeting Event Notification via MT564:

Sequence	Tag	Field Name	Content/Options	Qualifier	Page
A Mandatory Sequence - General Information					
	:16R:	Start of Block	GENL		
	:20C:	Corporate Action Reference	:4!c//16x	CORP	7–564–MN–4
	:20C:	Sender's Reference	:4!c//16x	SEME	7–564–MN–4
	:23G:	Function of the Message	4!c[/4!c]	-	7–564–MN–4
	:22F:	Corporate Action Event Indicator	:4!c/[8c]/4!c	CAEV	7–564–MN–4
	:22F:	Mandatory/Voluntary Indicator	:4!c/[8c]/4!c	CAMV	7–564–MN–5
	:98a:	Message Preparation Date/Time	C::4!c//8!n6!n	PREP	7–564–MN–5
	:25D:	Processing Status	:4!c/[8c]/4!c	PROC	7–564–MN–5
A1 Optional Repeatable Subsequence - Linkages					
	:16R:	Start of Block	LINK		
	:20C:	Previous Reference	:4!c//16x	PREV	7–564–MN–5
	:16S:	End of Block	LINK		
End of Subsequence A1 - Linkages					
	:16S:	End of Block	GENL		
End of Sequence A - General Information					
B Mandatory Sequence - Underlying Securities					
	:16R:	Start of Block	USECU		
	:35B:	Identification of the Underlying Securities	[ISIN1!e12!c] [4*35x]	-	7–564–MN–5
B1 Optional Subsequence - Financial Instrument Attributes (NOT REPORTED)					
B2 Mandatory Subsequence - Account Information					
	:16R:	Start of Block	ACCTINFO		
	:97a:	Safekeeping Account	Option A or C	SAFE	7–564–MN–6
	:94a:	Place of Safekeeping	F::4!c//4!c/4!a2!a2!c[3!c]	SAFE	7–564–MN–6
	:93a:	Blocked Balance	B::4!c/[8c]/4!c/[N]15d	BLOK	7–564–MN–6
	:93a:	Borrowed Balance	B::4!c/[8c]/4!c/[N]15d	BORR	7–564–MN–6
	:93a:	Collateral In Balance	B::4!c/[8c]/4!c/[N]15d	COLI	7–564–MN–6
	:93a:	Collateral Out Balance	B::4!c/[8c]/4!c/[N]15d	COLO	7–564–MN–6
	:93a:	Eligible Balance	B::4!c/[8c]/4!c/[N]15d	ELIG	7–564–MN–6
	:93a:	Instructed Balance	B::4!c/[8c]/4!c/[N]15d	INBA	7–564–MN–6
	:93a:	On Loan Balance	B::4!c/[8c]/4!c/[N]15d	LOAN	7–564–MN–6
	:93a:	Pending Delivery	B::4!c/[8c]/4!c/[N]15d	PEND	7–564–MN–6
	:93a:	Pending Receipt	B::4!c/[8c]/4!c/[N]15d	PENR	7–564–MN–6
	:93a:	Settled Position	B::4!c/[8c]/4!c/[N]15d	SETT	7–564–MN–6
	:93a:	Uninstructed Balance	Option B or C	UNBA	7–564–MN–6
	:16S:	End of Block	ACCTINFO		
End of Subsequence B2 - Account Information					
	:16S:	End of Block	USECU		
End of Sequence B - Underlying Securities					
C Optional Sequence - Intermediate Securities (NOT REPORTED)					
D Optional Sequence - Corporate Action Details					
	:16R:	Start of Block	CADETL		
	:98a:	Announcement Date	A::4!c//8!n	ANOU	7–564–MN–7
	:98a:	Meeting Date/Time	Option A or C	MEET	7–564–MN–7
	:98a:	Record Date	A::4!c//8!n	RDTE	7–564–MN–7
	:94G:	Meeting Place	:4!c//2*35x	MEET	7–564–MN–7

Sequence	Tag	Field Name	Content/Options	Qualifier	Page
	:16S:	End of Block	CADETL		
End of Sequence D - Corporate Action Details					
E Optional Sequence - Corporate Action Options					
	:16R:	Start of Block	CAOPTN		
	:13A:	Corporate Action Option Number	:4!c//3!c	CAON	7–564–MN–7
	:22F:	Corporate Action Option Code	:4!c/[8c]/4!c	CAOP	7–564–MN–8
	:17B:	Default Processing Flag	:4!c//1!a	DFLT	7–564–MN–8
	:98a:	Early Response Deadline Date/Time	C::4!c//8!n6!n	EARD	7–564–MN–8
	:98a:	Market Deadline	Option A or C	MKDT	7–564–MN–8
	:98a:	Response Deadline Date/Time	C::4!c//8!n6!n	RDDT	7–564–MN–9
E1 Optional Repeatable Subsequence - Securities Movements (NOT REPORTED)					
E1a Optional Subsequence - Financial Instrument Attributes (NOT REPORTED)					
E2 Optional Repeatable Subsequence - Cash Movements (NOT REPORTED)					
	:16S:	End of Block	CAOPTN		
End of Sequence E - Corporate Action Options					
F Optional Sequence - Additional Information					
	:16R:	Start of Block	ADDINFO		
	:70E:	Additional Text	:4!c//10*35x	ADTX	7–564–MN–9
	:16S:	End of Block	ADDINFO		
End of Sequence F - Additional Information					

Custody instructions and reports

MT564 - Field specifications

MT564 contains data fields for a Meeting Event Notification as described below. These specifications are in addition to those provided in the SWIFT User Handbook. Values shown in quotation marks (" ") indicate a fixed value and are to be interpreted without the quotation marks.

A - General Information - mandatory, non-repeatable - GENL

:20C:	Corporate Action Reference	Mandatory Sequence A Non-repeatable General Information	Qualifier CORP

Format: `:4!c//16x`

Field purpose: This field contains the reference assigned by the sender to identify unambiguously the Corporate Action event that is the subject of the notification.

CBL usage: The internal meeting identification reference is made of a unique identifier for the meeting followed by a unique key:

    :20C:CORP//MeetingID/UniqueKey

:20C:	Sender's Reference	Mandatory Sequence A Non-repeatable General Information	Qualifier SEME

Format: `:4!c//16x`

Field purpose: This field contains the reference assigned by the sender to identify the message unambiguously.

CBL usage: The ISS internal unique message identification reference, made up of numeric characters, is used here.

:23G:	Function of the Message	Mandatory Sequence A Non-repeatable General Information	Qualifier -

Format: `4!c[/4!c]`

CBL usage: Describes the purpose/function of the message:

CANC	Cancellation of a previously sent message
NEWM	New message
REPL	Replacement of a previously sent message

:22F:	Corporate Action Event Indicator	Mandatory Sequence A Non-repeatable General Information	Qualifier CAEV

Format: `:4!c/[8c]/4!c`

Field purpose: Specifies the meeting type.

CBL usage: The following meeting event indicators are possible:

MEET	Annual / Ordinary General Meeting
XMET	Extraordinary General Meeting
CMET	Court Meeting

:22F:	Mandatory/Voluntary Indicator	Mandatory Sequence Non-repeatable General Information	A	Qualifier CAMV

Format: :4!c/[8c]/4!c

Field purpose: Indicates whether the Corporate Action is mandatory or voluntary.

CBL usage: The code VOLU will always be used on meeting notices.

:98a:	Preparation Date/Time	Mandatory Sequence Non-repeatable General Information	A	Qualifier PREP

Format: :98C::4!c//8!n6!n

Field purpose: States the date and time that the message was generated.

CBL usage: Option C is used with the date and time.

:25D:	Processing Status	Mandatory Sequence Non-repeatable General Information	A	Qualifier PROC

Format: :4!c/[8c]/4!c

Field purpose: Advises the status of the notification.

Statuses: The code COMP indicating complete is always used on ISS meeting notifications.

A1 - Linkages - optional, repeatable - LINK

:20C:	Previous Reference	Optional Subsequence Repeatable Linkages	A1 (1)	Qualifier PREV

Format: :4!c//16x

Field purpose: This field contains the reference in field :20C::SEME of the message previously sent for the same corporate action event.

B - Underlying Securities - mandatory, non-repeatable - USECU

:35B:	Identification of the Underlying Security	Mandatory Sequence Non-repeatable Underlying Securities	B	Qualifier -

Format: [ISIN1!e12!c]
[4*35x]

CBL usage: This field contains the ISIN and the description of the security that is the subject of the notification.

Custody instructions and reports

B2 - Account Information - mandatory, repeatable - ACCTINFO

:97a:	Safekeeping Account	Mandatory Subsequence B2 Repeatable Account Information	Qualifier SAFE

Format: `:97A::4!c//35x    :97C::4!c//4!c`

Field purpose: This field contains the safekeeping account that holds the underlying securities.

CBL usage: Option A is used except when not referring to a specific account of holding, otherwise Option C with code word GENR is used.

:94a:	Place of Safekeeping	Mandatory Subsequence B2 Repeatable Account Information	Qualifier SAFE

Format: `:94F::4!c//4!c/4!a2!a2!c[3!c]`

CBL usage: This field contains one of the following code words followed by a BIC as indicated:

CUST   followed by the BIC of CBL's common or specialised depository for securities deposited with other than CBL's domestic depository;

NCSD   followed by the BIC of the local CSD for securities deposited with CBL's domestic depository.

:93a:	Balances	Mandatory Subsequence B2 Repeatable Account Information	Qualifiers See description

Format: `:93B::4!c/[8c]/4!c/[N]15d`

Qualifiers: The following qualifiers can be used:

BLOK   Quantity of pledged securities. Pledged securities usually are frozen for collateral purposes, are on the account but are not available.

Quantity of drawn securities. Drawn securities are on the account but are not available as they are not of good delivery being drawn for redemption.

Quantity of blocked securities. Securities are blocked in relation to various security events such as proxy voting, subscriptions, etc. Blocked securities are not on account, are not available, but belong to the account.

BORR   Quantity of borrowed securities held on account.

COLI   Collateral in / Received Collateral Quantity: quantity of securities received as collateral.

COLO   Collateral out/ Delivered Collateral Quantity: quantity of securities delivered as collateral

ELIG   Quantity of securities expected to be settled, derived from the current SETT position plus COLO and PENR and minus COLI and PEND transactions.

INBA   Quantity of securities for which one or more instructions have been received. This is only used when the notification is a reminder (`:23G:RMDR`).

LOAN   Quantity of lent securities. Lent securities belong to the account but are not on the account.

PEND   Quantity of securities to be delivered pending settlement.

PENR   Quantity of securities to be received pending settlement.

SETT   Quantity of securities to be considered as a settled entitled position held on account. This quantity is derived from the booked position plus securities on loan, minus borrowed securities, plus pledged, drawn and blocked positions.

UNBA Quantity of securities for which no instruction has been received. This is only used when the notification is a reminder (`:23G:RMDR`).

The following quantity type codes are used:

UNIT Shareholder meetings.

FAMT Bondholder meetings.

D - Corporate Action Details - optional, non-repeatable - CADETL

:98a:	Announcement Date	Optional Sequence D Non-repeatable Corporate Action Details	Qualifier ANOU

Format: `:98A::4!c//8!n`

CBL usage: This field contains the official date of announcement of the event to the market or the date Clearstream Banking was notified of the event.

:98a:	Meeting Date/Time	Optional Sequence D Non-repeatable Corporate Action Details	Qualifier MEET

Format: `:98A::4!c//8!n`   `:98C:://4!c//8!n6!n`

Field purpose: This field contains the date and local time scheduled for the company's general meeting.

:98a:	Record Date	Optional Sequence D Non-repeatable Corporate Action Details	Qualifier RDTE

Format: `:98A::4!c//8!n`

CBL usage: This field contains record date of the meeting (if applicable).

:94G:	Meeting Place	Optional Sequence D Non-repeatable Corporate Action Details	Qualifier MEET

Format: `:4!c//2*35x`

Field Purpose: This field contains the location of the meeting.

E - Corporate Action Options - optional, repeatable - CAOPTN

:13A:	Corporate Action Option Number	Optional Sequence E Repeatable Corporate Action Options	Qualifier CAON

Format: `:4!c//3!c`

CBL usage: Where more than one option is available, the numbers 001, 002 and so on are assigned to identify the different options.

Custody instructions and reports

| :22F: | Corporate Action Option Code | Optional Sequence
Repeatable
Corporate Action Options | E | Qualifier
CAOP |

Format: `:4!c/[8c]/4!c`

Field Purpose: This field contains the option code available for the event.

CBL usage: The following codes are used to define available options:

NOAC	The default option in the event that no instructions are received
CONY	Execute a for vote across all resolutions
CONN	Execute an against vote across all resolutions
ABST	Execute an abstain vote across all resolutions
PROX	Order an entrance card or request attendance (only present with RDDT)
SPLI	vary vote direction across resolutions

SPLI is present on all notifications to reflect the possibility to vote shares in a different way across multiple resolution. If a split vote within a resolution is allowed for the meeting/market it will be shown in field :70E:.

| :17B: | Default Processing Flag | Optional Sequence
Repeatable
Corporate Action Options | E | Qualifier
DFLT |

Format: `:4!c//1!a`

Field purpose: If set to "Y", the option in the sequence will be applied in the absence of an instruction from the account holder by the deadline.

| :98a: | Early Response Deadline Date/Time | Optional Sequence
Repeatable
Corporate Action Options | E | Qualifier
EARD |

Format: `:98A::4!c//8!n6!n`

Field purpose: Date and Time at which the account servicer has set a first early deadline to respond, with instructions, to an outstanding event possibly giving the holder eligibility to incentives. Can be shown in addition to RDDT with RDDT being the final deadline. Up to two values are possible.

| :98a: | Market Deadline | Optional Sequence
Repeatable
Corporate Action Options | E | Qualifier
MKDT |

Format: `:98A::4!c//8!n`   `:98C::4!c//8!n6!n`

Field purpose: This field contains the issuer or issuer's agent deadline to respond, with an election instruction, to an outstanding offer or privilege.

CBL usage: Option A is used when the market deadline date when no market deadline time is known.

Option C is used when both market deadline date and time are available.

The field is not present when there is no market deadline available.

MKDT will only be shown with RDDT. RDDT and EARD are exclusive within each CAOP number.

:98a:	**Response Deadline Date/Time**	**Optional Sequence** E **Repeatable** **Corporate Action Options**	**Qualifier** RDDT

Format: `:98C::4!c//8!n6!n`

Field purpose: This field contains the Clearstream Banking deadline date and time to participate in the specific event option, after which the default action will be applied.

F - Additional Information - optional, non-repeatable - ADDINFO

:70E:	**Additional Text**	**Optional Sequence** F **Non-repeatable** **Additional Information**	**Qualifier** ADTX

Format: `:4!c//10*35x`   **Repeatable**

CBL usage: This field contains information for which another field does not exist. It typically contains the agenda summary, vote restrictions or pre-requisites.

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