

## 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 14 is changed to optional and fields 10 and 11 are included to allow the identification of the receiving party of the response via proprietary identification. In addition, explanatory text is included in field 7.

<u>Section</u>	<u>Title</u>
Identification of shareholders and beneficial owners.	Request for information on shareholders and beneficial owners.

## **FORMAT seev.045.001.02**

### **General description**

It is a request for information from an issuer of a value code to entities with positions on the reference date so that they communicate the list of shareholders and/or beneficial owners of a security.

### **Origin/Destination**

**Issuer:** Issuers, CSD

**Receiver:** IBERCLEAR

**Issuer:** IBERCLEAR

**Receiver:** Participants, CSD

### **Main related messages**

Each seev.045 message implies that the recipient of the message responds with the information requested by the seev.047 message (response to the 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	<ShrhldrsIdDsclsrReq>	Shareholders Identification Disclosure Request V01
1	[1..1]		1	<IssrDsclsrReqId>	Issuer Disclosure Request Identification
2	[1..1]		1	<DsclsrReqTp>	Disclosure Request Type
3	[1..1]		1	<FwdReqInd>	Forward Request Indicator
4	[0..1]		1	<ShrhldrRghtsDrctvInd>	Shareholder Rights Directive Indicator
	[1..1]		1	<FinInstrmId>	Financial Instrument Identification
5	[1..1]		2	_<ISIN>	ISIN
	[1..1]		1	<ShrhldrsDsclsrRcrdDt>	Shareholders Disclosure Record Date
	[1..1]		2	_<Dt>	Date
6	[1..1]		3	__<Dt>	Date
7	[0..1]		1	<ShrsQtyThrshld>	Shares Quantity Threshold
	[0..1]		1	<ReqShrHeldDt>	Request Share Held Date
8	[1..1]	{Or	2	_<DtClctnMtd>	Date Calculation Method
9	[1..1]	Or}	2	_<DtClctnDesc>	Date Calculation Description
	[1..1]		1	<DsclsrRspnRcpt>	Disclosure Response Recipient
	[1..1]		2	_<Id>	Identification
	[1..1]	{Or	3	__<PrtryId>	Proprietary Identification
10	[1..1]		4	___<Id>	Identification
11	[1..1]		4	___<Issr>	Issuer
12	[1..1]	Or}	3	__<LEI>	LEI
13	[1..1]		2	_<RcptNm>	Recipient Name
	[1..1]		2	_<RspnRcptAdr>	Response Recipient Address
14	[0..1]		3	__<AnyBIC>	Any BIC
15	[0..1]		3	__<EmailAdr>	Email Address
16	[0..1]		3	__<URLAdr>	URL Address
	[1..1]		1	<IssrDsclsrDdln>	Issuer Disclosure Deadline
	[1..1]		2	_<Dt>	Date
17	[1..1]		3	__<DtTm>	Date Time

### Clarification of fields

- 1 Name: Issuer Disclosure Request Identification  
Format: Up to 35 alphanumeric positions.  
Content: Disclosure request reference. Official and unique reference assigned to the request for disclosure of the holders.
  
- 2 Name Disclosure Request Type  
Format: 4 alphabetical positions.  
Content: Request type. Shall be filled in with the following values:  
**NEWM:** New request.  
**REPL:** Replaces previously submitted request.
  
- 3 Name Forward Request Indicator  
Format: Indicator: Boolean {true, false}.  
Content: Indicator that determines if the request is sent by the intermediary chain. Shall be filled in with the following values:  
**True:** The recipient of the message should transfer the request to the next intermediary in the chain of custody.  
**False:** The recipient of the message must not transmit it through the chain of intermediaries.
  
- 4 Name Shareholder Rights Directive Indicator  
Format: Indicator: Boolean {true, false}.  
Content: Indicates whether the request was initiated by the first intermediary in the custody chain in accordance with SRD II. Shall be filled in with the following values:  
**True:** the request was initiated by the first intermediary in the custody chain in accordance with SRD II.  
**False:** the request was no initiated by the first intermediary in the custody chain in accordance with SRD II.
  
- 5 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.
  
- 6 Name Shareholders Disclosure Record Date  
Format: ISODate: YYYY-MM-DD.  
Content: Record date for which the identification of ownership of the positions is requested.
  
- 7 Name Shares Quantity Threshold  
Format: Up to 18 digits of which 17 can be decimal.  
Decimal point spacing (example: 125.3).  
If there is no sign the amount is positive, for negative amounts a minus sign (example: -658).  
Content: Minimum threshold or amount of securities at which the communication of ownership is 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.

- 8 Name Date Calculation Method  
Format: 4 alphabetical positions.  
Content: Method by which they have maintained the positions throughout the history of holding in the communication of ownership.  
Shall be filled in with the following values:  
**FIFO**: First In, First Out.  
**LIFO**: Last In, First Out.
- 9 Name Date Calculation Description  
Format: 350 alphanumeric characters.  
Content: If reported, it contains free text. If PFDT is indicated, it refers to the first holding date.
- 10 Name Proprietary Identification  
Format: 35 alphanumeric characters.  
Content: Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.
- 11 Name Issuer of Proprietary Identification  
Format: 35 alphanumeric characters.  
Content: Entity that assigns the identification.
- 12 Name LEI of the entity receiving the ownership identification responses  
Format: 20 alphanumeric positions [A-Z0-9] {18,18} [0-9] {2,2}.  
Content: LEI code of entity to which the seev. message is to be sent. 047 with the disclosure of the requested ownership.
- 13 Name Recipient Name  
Format: 350 alphanumeric characters.  
Content: Name of entity to which the seev. message is to be sent. 047 with the disclosure of the requested ownership.
- 14 Name BIC Recipient  
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 entity to which the seev. message is to be sent. 047 with the disclosure of the requested ownership.
- 15 Name Email Address Recipient  
Format: 256 alphanumeric characters.  
Content: E-mail address of the entity to which the seev message should be sent. 047 with the disclosure of the requested ownership.
- 16 Name URL Address Recipient  
Format: 2048 alphanumeric characters.  
Content: URL address of entity to which the seev. message is to be sent. 047 with the disclosure of the requested ownership.

- 17 Name Date Time Issuer Disclosure Deadline  
Format: ISODateTime:  
If GMT time: YYYY-MM-DDThh:mm:ss.sssZ.  
If local time: YYYY-MM-DDThh:mm:ss.sss.  
Content: Date-time limit for response to the request, limit defined by the issuer.

## DOCUMENT VERSIONS

<u>Version</u>	<u>Pages modified / Observations</u>
03/09/2020	First version of the document
03/09/2020	XML Tag of Proprietary Identification of legal person has been amended to <PrtryId>. Furthermore, a description about Identification Type equivalences Seev.047-HTITU12 has been added in fields 31 and 52.
03/09/2020	Fields 36, 46, 47, 48 and 55 are converted to mandatory fields. Furthermore, Ownership and Ownership Type are converted to mandatory in both legal and natural person. Also, Address of natural person is converted to mandatory.
21/01/2021	Second version of the document: the format of fields 42,43,62 and 63 are amended in order to clarify that the separation of decimals is done with a dot(.).
07/06/2021	Third version of the document: Field 9 is added to give the intermediary the possibility to identify himself through LEI and the content of field 8 is amended. In addition, field 15 is added to give the possibility of identifying the Account servicer through LEI and the content of field 14 is amended.

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

**FORMAT seev.047.001.01**

**General description**

It is the disclosure with information of the 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.047 message responds to a prior request from the seev.045 message recipient, responding with the requested ownership.

**Relationship with Owner messages**

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



## Format structure

	Mult.	Or	Lv	<XML Tag>	Message Item
	[1..1]		0	<ShrhldrsIdDsclsrRspn>	Shareholders Identification Disclosure Response V01
	[0..1]		1	<PgnTn>	Pagination
1	[1..1]		2	_<PgNb>	Page Number
2	[1..1]		2	_<LastPgInd>	Last Page Indicator
	[1..1]		1	<IssrDsclsrReqRef>	Issuer Disclosure Request Reference
3	[1..1]		2	_<IssrDsclsrReqId>	Issuer Disclosure Request Identification
	[1..1]		2	_<FinInstrmId>	Financial Instrument Identification
4	[1..1]		3	__<ISIN>	ISIN
	[1..1]		2	_<ShrhldrsDsclsrRcrdDt>	Shareholders Disclosure Record Date
	[1..1]		3	__<Dt>	Date
5	[1..1]		4	___<Dt>	Date
6	[1..1]		1	<DsclsrRspnId>	Disclosure Response Identification
	[1..1]		1	<RspndgIntrmy> >	Responding Intermediary
	[1..1]		2	_<NmAndAdr>	Name And Address
7	[1..1]		3	__<Nm>	Name
	[1..1]		2	_<Id>	Identification
8	[1..1]	{Or	3	__<AnyBIC>	Any BIC
9	[1..1]	Or}	3	__<LEI>	LEI
	[0..1]		2	_<CtctPrsn>	Contact Person
10	[1..1]		3	__<Nm>	Name
11	[0..1]		3	__<EmailAdr>	Email Address
	[1..1]		1	<DsclsrInf>	Disclosure Information
12	[1..1]	{Or	2	_<NoDsclinf>	No Disclosure
	[1..*]	Or}	2	_<SfkpgAcctAndHldgs>	Safekeeping Account And Holdings
13	[1..1]		3	__<SfkpgAcct>	Safekeeping Account
	[1..1]		3	__<AcctSvcr>	Account Servicer
14	[1..1]	{Or	4	___<AnyBic>	Any Bic
15	[1..1]	Or}	3	__<LEI>	LEI
	[1..1]		3	__<ShrhldgBalOnOwnAcct>	Shareholding Balance On Own Account
16	[1..1]	{Or	4	___<Unit>	Unit
17	[1..1]	Or}	4	___<FaceAmt>	Face Amount
	[1..1]		3	__<ShrhldgBalOnClntAcct>	Shareholding Balance On Client Account
18	[1..1]	{Or	4	___<Unit>	Unit
19	[1..1]	Or}	4	___<FaceAmt>	Face Amount

	Mult.	Or	Lv	<XML Tag>	Message Item
	[1..1]		3	__<TtlShrhldgBal>	Total Shareholding Balance
20	[1..1]	{Or	4	___<Unit>	Unit
21	[1..1]	Or}	4	___<FaceAmt>	Face Amount
	[0..1]		3	__<AcctSubLvl>	Account Sub Level
	[0..1]		4	___<NonDsclDShrhldgQty>	Non Disclosed Shareholding Quantity
22	[1..1]	{Or	5	___<Unit>	Unit
23	[1..1]	Or}	5	___<FaceAmt>	Face Amount
	[0..1]		4	___<BlwThrshldShrhldgQty>	Below Threshold Shareholding Quantity
24	[1..1]	{Or	5	___<Unit>	Unit
25	[1..1]	Or}	5	___<FaceAmt>	Face Amount
	[0..*]		4	___<Dsclsr>	Disclosure
26	[1..1]		5	___<SfkpgAcct>	Safekeeping Account
	[1..1]		5	___<AcctHldr>	Account Holder
	[1..1]	{Or	6	___<LglPrsn>	Legal Person
	[1..1]		7	_____<NmAndAdr>	Name And Address
27	[1..1]		8	_____<Nm>	Name
	[1..1]		8	_____<Adr>	Address
28	[1..1]		9	_____<StrtNm>	Street Name
29	[1..1]		9	_____<PstCd>	Post Code
30	[1..1]		9	_____<TwnNm>	Town Name
31	[1..1]		9	_____<Ctry>	Country
32	[0..1]		7	_____<EmailAdr>	Email Address
	[1..1]		7	_____<Id>	Identification
33	[1..1]	{Or	8	_____<NtlRegnNb>	National Registration Number
34	[1..1]	Or	8	_____<LEI>	LEI
35	[1..1]	Or	8	_____<AnyBIC>	Any BIC
	[1..1]	Or}	8	_____<PrtryId>	Proprietary Identification
36	[1..1]		9	_____<Id>	Identification
37	[1..1]		9	_____<Issr>	Issuer
38	[1..1]		7	_____<CtryOfIncorprtn>	Country Of Incorporation
	[0..1]		7	_____<InvstrTp>	Investor Type
	[1..1]		8	_____<Prtry>	Proprietary
39	[1..1]		9	_____<Id>	Identification
40	[1..1]		9	_____<Issr>	Issuer
	[1..1]		7	_____<Ownrsh>	Ownership
	[1..1]		8	_____<OwnrshTp>	Ownership Type
41	[1..1]	{Or	9	_____<Cd>	Code

	Mult.	Or	Lv	<XML Tag>	Message Item
	[1..1]	Or}	9	_____<Prtry>	Proprietary
42	[1..1]		10	_____<Id>	Identification
43	[1..1]		10	_____<Issr>	Issuer
44	[0..1]		8	_____<OwnrshPctg>	Ownership Percentage
45	[0..1]		8	_____<UsfrctPctg>	Usufruct Percentage
	[1..25]	Or}	6	_____<NtrlPrsn>	Natural Person
	[1..1]		7	_____<NmAndAdr>	Name And Address
46	[1..1]		8	_____<FrstNm>	First Name
47	[1..1]		8	_____<SrNm>	Surname
	[1..1]		8	_____<Adr>	Address
48	[1..1]		9	_____<StrtNm>	Street Name
49	[1..1]		9	_____<PstCd>	Post Code
50	[1..1]		9	_____<TwnNm>	Town Name
51	[1..1]		9	_____<Ctry>	Country
52	[0..1]		7	_____<EmailAdr>	Email Address
	[1..1]		7	_____<Id>	Identification
53	[1..1]		8	_____<Id>	Identification
	[0..1]		8	_____<IdTp>	Identification Type
54	[1..1]	{Or	9	_____<Cd>	Code
	[1..1]	Or}	9	_____<Prtry>	Proprietary
55	[1..1]		10	_____<Id>	Identification
56	[1..1]		10	_____<Issr>	Issuer
57	[1..1]		7	_____<Ntlty>	Nationality
	[0..1]		7	_____<DtAndPlcOfBirth>	Date And Place Of Birth
58	[1..1]		8	_____<BirthDt>	Birth Date
	[0..1]		7	_____<InvstrTp>	Investor type
	[1..1]		8	_____<Prtry>	Proprietary
59	[1..1]		9	_____<Id>	Identification
60	[1..1]		9	_____<Issr>	Issuer
	[1..1]		7	_____<Ownrsh>	Ownership
	[1..1]		8	_____<OwnrshTp>	Ownership Type
61	[1..1]	{Or	9	_____<Cd>	Code
	[1..1]	Or}	9	_____<Prtry>	Proprietary
62	[1..1]		10	_____<Id>	Identification
63	[1..1]		10	_____<Issr>	Issuer
64	[0..1]		8	_____<OwnrshPctg>	Ownership Percentage
65	[0..1]		8	_____<UsfrctPctg>	Usufruct Percentage

	<b>Mult.</b>	<b>Or</b>	<b>Lv</b>	<b>&lt;XML Tag&gt;</b>	<b>Message Item</b>
	[1..1]		5	____<ShrhldgBal>	Shareholding Balance
66	[1..1]		6	____<ShrhldgTp>	Shareholding Type
	[1..1]		6	____<Qty>	Quantity
67	[1..1]	{Or	7	____<Unit>	Unit
68	[1..1]	Or}	7	____<FaceAmt>	Face Amount
	[0..1]		6	____<InitlDtOfShrhldg>	Initial Date Of Shareholding
69	[1..1]	{Or	7	____<Dt>	Date
	[1..1]	Or}	7	____<DtCd>	Date Code
70	[1..1]		8	____<Cd>	Code

### Clarification of fields

- |    |  |
|----|--|
| 1  | <p>Name: Page Number<br/>Format: Up to 5 numerical positions.<br/>Content: Page number.</p>  |
| 2  | <p>Name: Last Page Indicator<br/>Format: Boolean Y/N.<br/>Content: Last page indicator:<br/><b>True.</b><br/><b>False.</b></p>   |
| 3  | <p>Name: Issuer Disclosure Request Identification<br/>Format: Alphanumeric up to 35 positions.<br/>Content: Official and unique reference assigned to the request for disclosure of the holders.</p>   |
| 4  | <p>Name: ISIN<br/>Format: 12 alphanumeric positions. Coding ISO 6166 [AZ] {2,2} [A-Z0-9] {9,9} [0-9] {1,1}.<br/>Content: Value code for which ownership identification is requested.</p>   |
| 5  | <p>Name: Shareholders Disclosure Record Date<br/>Format: ISODate: YYYY-MM-DD.<br/>Content: Record date for which the identification of ownership of the positions is requested.</p>  |
| 6  | <p>Name: Disclosure response Identification.<br/>Format: Alphanumeric up to 35 positions.<br/>Content: Unique answer reference with disclosures.</p>   |
| 7  | <p>Name: Name of Responding Intermediary<br/>Format: Alphanumeric up to 350 positions.<br/>Content: Name of intermediary that produces the seev.047 response.</p>  |
| 8  | <p>Name: BIC of Responding Intermediary<br/>Format: 11 alphanumeric positions [A-Z0-9] {4,4} [AZ] {2,2} [A-Z0-9] {2,2} [A-Z0-9] {3,3}<br/>Content: BIC code of the Intermediary that prepares the seev.047 response. For participant entities of IBERCLEAR, a BIC Code must be informed.</p> |
| 9  | <p>Name: LEI of Responding Intermediary<br/>Format: 20 alphanumeric positions [A-Z0-9]{18,18}[0-9]{2,2}.<br/>Content: LEI code of the Intermediary that prepares the seev.047 response.</p>  |
| 10 | <p>Name: Name of Contact Person<br/>Format: Alphanumeric up to 35 positions.<br/>Content: Primary name. First surname.</p>   |
| 11 | <p>Name: Email Address of Contact Person<br/>Format: Alphanumeric up to 256 positions.<br/>Content: Email.</p>   |

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|----|-----------------------------|--|
| 12 | Name<br>Format:<br>Content: | No disclosure (Disclosure Information)<br>4-position code.<br>To indicate that there are no disclosures to communicate. Supported value:<br><b>NORE.</b> <i>No reason.</i>   |
| 13 | Name<br>Format:<br>Content: | Safekeeping Account<br>Alphanumeric up to 35 positions.<br>Securities account code with position.  |
| 14 | Name<br>Format:<br>Content: | BIC of Account Servicer<br>11 alphanumeric positions [A-Z0-9] {4.4} [AZ] {2.2} [A-Z0-9] {2.2} [A-Z0-9] {3.3}<br>BIC code of the institution that owns the account with position. For participant entities of IBERCLEAR, a BIC Code must be informed. |
| 15 | Name<br>Format:<br>Content: | LEI of Account Servicer<br>20 alphanumeric positions [A-Z0-9]{18,18}[0-9]{2,2}.<br>LEI code of the institution that owns the account with position.  |
| 16 | Name<br>Format:<br>Content: | Unit (of Shareholding Balance On Own Account)<br>Numeric of up to 18 positions, maximum 17 decimal places.<br>Number of securities or units owned by the institution that responds to the request for identification of ownership.                   |
| 17 | Name<br>Format:<br>Content: | Face Amount (of Shareholding Balance On Own Account)<br>Numeric of up to 18 positions, maximum 5 decimal places, depending on the Currency.<br>Face amount owned by the institution that responds to the ownership identification request.           |
| 18 | Name<br>Format:<br>Content: | Unit (of Shareholding Balance On Client Account)<br>Numeric of up to 18 positions, maximum 17 decimal places.<br>Number of securities or units that are owned by third parties.  |
| 19 | Name<br>Format:<br>Content: | Face Amount (of Shareholding Balance On Client Account)<br>Numeric of up to 18 positions, maximum 5 decimal places, depending on the Currency.<br>Face amount of the position owned by third parties.  |
| 20 | Name<br>Format:<br>Content: | Unit (of Total Shareholding Balance)<br>Numeric of up to 18 positions, maximum 17 decimal places.<br>Total number of securities or units: Own positions + third party positions.   |
| 21 | Name<br>Format:<br>Content: | Face Amount (of Total Shareholding Balance)<br>Numeric of up to 18 positions, maximum 5 decimal places, depending on the Currency.<br>Total face amount: Own positions + third party positions.  |
| 22 | Name<br>Format:<br>Content: | Unit (of Non Disclosed Shareholding Quantity in Account Sub Level)<br>Numeric of up to 18 positions, maximum 17 decimal places.<br>Number of securities or units, not disclosed.   |

- |    |                             |  |
|----|-----------------------------|--|
| 23 | Name<br>Format:<br>Content: | Face Amount (of Non Disclosed Shareholding Quantity in Account Sub Level)<br>Numeric of up to 18 positions, maximum 5 decimal places, depending on the Currency.<br>Face amount of the position, not disclosed.  |
| 24 | Name<br>Format:<br>Content: | Unit (of Below Threshold Shareholding Quantity in Account Sub Level)<br>Numeric of up to 18 positions, maximum 17 decimal places.<br>Number of securities or units not reported because below the established threshold.   |
| 25 | Name<br>Format:<br>Content: | Face Amount (of Below Threshold Shareholding Quantity in Account Sub Level)<br>Numeric of up to 18 positions, maximum 5 decimal places, depending on the Currency.<br>Face amount of the position not reported because below the established threshold.  |
| 26 | Name<br>Format:<br>Content: | Safekeeping Account (of Disclosure)<br>Alphanumeric up to 35 positions.<br>Account code where the position is deposited (SAC or sub-account).  |
| 27 | Name<br>Format:<br>Content: | Name (of legal Person in Account Holder of Disclosure)<br>Alphanumeric up to 350 positions.<br>Name of the legal person owning the disclosed position.   |
| 28 | Name<br>Format:<br>Content: | Street Name<br>Text of up to 70 characters.<br>Free text to identify the street name.  |
| 29 | Name<br>Format:<br>Content: | Post Code<br>Text of up to 16 characters.<br>Free text for post code.  |
| 30 | Name<br>Format:<br>Content: | Town Name<br>Text of up to 35 characters.<br>Free text for town.   |
| 31 | Name<br>Format:<br>Content: | Country<br>2-position alphabetic code.<br>Country code ISO3166.  |
| 32 | Name<br>Format:<br>Content: | Email Address<br>Alphanumeric up to 256 positions.<br>Email.   |
| 33 | Name<br>Format:<br>Content: | National registration Number (Identification of Legal Person)<br>Alphanumeric up to 35 positions.<br>Official number assigned by a national registration authority.<br>The information of this field will be transferred in HTITU12 format to the issuer as follows:<br>If it is a legal person with Spanish nationality, the content will be validated according to the structure of a CIF: |

- ❖ In the case of passing the validations, Ownership will be recorded in the system as a CIF (C).
- ❖ In the case of not passing the validations, Ownership will be rejected.

If it is a legal person with nationality other than Spanish, the content will be validated according to the structure of a CIF:

- ❖ In the case of passing the validations, Ownership will be recorded in the system as a CIF (C).
- ❖ In the case of not passing the validations, Ownership will be recorded in the system as OTROS (O).

- |    |                             |   |
|----|-----------------------------|---|
| 34 | Name<br>Format:<br>Content: | LEI of Legal Person<br>20 alphanumeric positions [A-Z0-9] {18,18} [0-9] {2,2}.<br>LEI code of the legal person.   |
| 35 | Name<br>Format:<br>Content: | BIC of Legal Person<br>11 alphanumeric positions [A-Z0-9] {4.4} [AZ] {2.2} [A-Z0-9] {2.2} [A-Z0-9] {3.3}.<br>BIC code of the legal person.  |
| 36 | Name<br>Format:<br>Content: | Proprietary Identification (Identification of legal person)<br>Alphanumeric up to 35 positions.<br>Identification type assigned by a national registration authority that differs from the list of the three previous fields.   |
| 37 | Name<br>Format:<br>Content: | Issuer of Proprietary Identification (Identification of legal person)<br>Alphanumeric up to 35 positions.<br>Entity that assigns the above identification.  |
| 38 | Name<br>Format:<br>Content: | Country of Incorporation<br>2-position alphabetic code.<br>Country code ISO3166.  |
| 39 | Name<br>Format:<br>Content: | Proprietary Identification of Investor Type<br>Alphanumeric with 4 positions.<br>AEB Subscriber code.   |
| 40 | Name<br>Format:<br>Content: | Issuer of Proprietary Identification (Investor Type)<br>Alphanumeric up to 35 positions.<br>Entity that assigns the above identification. Must be completed with "AEB" in the first three positions to identify the code assigned by the Spanish Banking Association. |
| 41 | Name<br>Format:<br>Content: | Code of Ownership Type<br>Alphanumeric with 4 positions.<br>Holder type code:<br><b>USUF:</b> Usufructuary.<br><b>OWNR:</b> Owner.<br><b>BOWN:</b> Bare owner.  |
| 42 | Name                        | Identification of Proprietary (Ownership Type)  |



- Format: Alphanumeric with 4 positions.  
Content: Proprietary code different from those described in the previous field.
- 43 Name Issuer of Proprietary Identification (Ownership Type)  
Format: Alphanumeric up to 35 positions.  
Content: Entity that assigns the above identification.
- 44 Name Ownership Percentage  
Format: Numeric of up to 11 positions, including dot, maximum 10 decimal places.  
Content: Percentage ownership.
- 45 Name Usufruct Percentage  
Format: Numeric of up to 11 positions, including dot, maximum 10 decimal places.  
Content: Usufruct percentage.
- 46 Name First Name (of Natural Person in Account Holder of Disclosure)  
Format: Alphanumeric up to 350 positions.  
Content: First name of the natural person who owns the disclosed position.  
First name.
- 47 Name Surname (of Natural Person in Account Holder of Disclosure)  
Format: Alphanumeric up to 350 positions.  
Content: Primary name of the natural person who owns the disclosed position.  
Person's surname. To identify two surnames they must be separated by a "/".
- 48 Name Street Name  
Format: Text of up to 70 characters.  
Content: Free text to identify the street name.
- 49 Name Post Code  
Format: Text of up to 16 characters.  
Content: Free text for post code.
- 50 Name Town Name  
Format: Text of up to 35 characters.  
Content: Free text for town.
- 51 Name Country  
Format: 2-position alphabetic code.  
Content: Country code ISO3166.
- 52 Name Email Address  
Format: Alphanumeric up to 256 positions.  
Content: Email.
- 53 Name Identification  
Format: Alphanumeric up to 35 positions.  
Content: Official (local) identification assigned by a national registration authority.

- 54 Name Code of identification Type  
 Format: Alphanumeric up to 4 positions.  
 Content: Type of official identification assigned by a national registration authority:  
 Alien Registration Number [ARNU]  
 Concat [CUST]  
 Corporate Identification [CORP]  
 Driver License Number [DRLC]  
 Identity Card Number [IDCD]  
 National Registration Identification Number [NRIN]  
 Passport Number [CCPT]  
 Social Security Number [SOCS]  
 Tax Identification Number [TXID]  
 The information reported under the NRIN Code (National Registration Identification Number) will be transferred in HTITU12 format to the issuer as follows:  
 If it is a natural person with Spanish nationality, the content will be validated according to the structure of a NIF:
- ❖ In the case of passing the validations, Ownership will be recorded in the system as a NIF (N).
  - ❖ In the case of not passing the validations, Ownership will be rejected.
- If it is a natural person with nationality other than Spanish, the content will be validated according to the structure of a NIF:
- ❖ In the case of passing the validations, Ownership will be recorded in the system as a NIF (N)
  - ❖ In the case of not passing the validations, Ownership will be recorded in the system as IDENTIFICACIÓN EN EL PAÍS DE ORIGEN (I).
- 55 Name Proprietary Identification Code (Identification Type)  
 Format: Alphanumeric up to 4 positions.  
 Content: Official Identification type assigned by a national registration authority that differs from the list of the previous field.
- 56 Name Issuer of Proprietary Identification code (Identification Type)  
 Format: Alphanumeric up to 35 positions.  
 Content: Entity that assigns the above identification.
- 57 Name Nationality  
 Format: 2-position alphabetic code.  
 Content: Nationality code of the natural person ISO3166.
- 58 Name Birth Date  
 Format: ISODate: YYYY-MM-DD.  
 Content: Date of birth.
- 59 Name Proprietary Identification of Investor Type  
 Format: Alphanumeric with 4 positions.  
 Content: AEB subscriber code.

- 60 Name Issuer of Proprietary Identification of Investor Type.  
Format: Alphanumeric up to 35 positions.  
Content: Entity that assigns the above identification. Must be completed with "AEB" in the first three positions to identify the code assigned by the Spanish Banking Association.
- 61 Name Code of Ownership Type  
Format: Alphanumeric with 4 positions.  
Content: Holder type code:  
**USUF:** Usufructuary  
**OWNR:** Owner  
**BOWN:** Bare owner.
- 62 Name Identification of Proprietary (Ownership Type)  
Format: Alphanumeric up to 4 positions.  
Content: Holder type code:  
**REPR:** Representative.
- 63 Name Issuer of Proprietary Identification (Ownership Type)  
Format: Alphanumeric up to 35 positions.  
Content: Entity that assigns the above identification.
- 64 Name Ownership Percentage  
Format: Numeric of up to 11 positions, including dot, maximum 10 decimal places.  
Content: Percentage ownership.
- 65 Name Usufruct Percentage  
Format: Numeric of up to 11 positions, including dot, maximum 10 decimal places.  
Content: Usufruct percentage.
- 66 Name Shareholding Type  
Format: Alphanumeric with 4 positions.  
Content: Owner Code:  
**BENE:** Beneficial Shareholding.  
**NOMI:** Nominee Shareholding.  
**OOAC:** On Own Account.  
**UKWN:** Unknown.
- 67 Name Unit (of Shareholding Balance)  
Format: Numeric of up to 18 positions, maximum 17 decimal places.  
Content: Number of securities or units, declared position.
- 68 Name Face Amount (of Shareholding Balance)  
Format: Numeric of up to 18 positions, maximum 5 decimal places, depending on the currency.  
Content: Face amount of the declared position.
- 69 Name Date (Initial Date of Shareholding)  
Format: ISODate: YYYY-MM-DD.  
Content: Start date of the position.

70 Name Code of Initial Date of Shareholding  
Format: Alphanumeric with 4 positions.  
Content: To indicate that it is unknown:  
**UKWN:** Unknown.

## 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	_<ShrhldrDsclsrRcrdDt>	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.