

ISO 15022 Message Layouts

Segregation/Segregation Release/Memo Segregation/Investment ID/Investment ID Release Input



July 2011

Segregation

 Business Transaction: **Segregation**

Version: 1.0

 ISO Message Type: **MT524 - Intra-Position Instruction**

Sub-account segregation allows you to segregate securities from your general free account. Securities are segregated to make them unavailable for any transactions until you authorize DTC to release them to your free account.

 Key: **M** = Mandatory, **O** = Optional

Mandatory Sequence A - General Information

| M/O | Field Description | Tag | Qualifier(s) | Content Rules |
|----------|---|-------|--------------|---------------|
| M | Start of Block - General Information | :16R: | | GENL |
| M | Sender's Reference Number Sender's reference number | :20C: | :SEME// | 16x |
| M | Message Function Field that identifies the function of the message | :23G: | | NEWM |
| M | End of Block - General Information | :16S: | | GENL |

Mandatory Sequence B - Intra-Position Details

| M/O | Field Description | Tag | Qualifier(s) | Content Rules |
|----------|---|-------|-----------------|--|
| M | Start of Block - Intra-Position Details | :16R: | | INPOSDET |
| O | Participant Number | :95R: | :ACOW/DTCYPART/ | 00009999 0000 followed by 4 digits. All 4 digits are required. |
| M | Safekeeper - DTCC Identifies account where financial instruments are maintained. | :97A: | :SAFE// | DTCC |
| M | Quantity Quantity of financial instrument to be settled expressed as units such as share quantity. | :36B: | :SETT// | UNIT/999999999, At least 1 whole digit is required. No more than 9 may be present. Fractions are not allowed. A decimal comma is always required. |
| M | ISIN Identification of the financial Instrument (Country Code, CUSIP and Check Digit) | :35B: | | The literal "ISIN" followed by a space followed by the 12 character ISIN. Note-DTC does not accept Non U.S. ISIN Example-ISIN US1234567891. Note-DTC does not accept Non U.S. ISIN |

Optional Subsequence B1 - Financial Instrument Attributes

| M/O | Field Description | Tag | Qualifier(s) | Content Rules |
|----------|--|-------|--------------|---------------|
| M | Start of Block - Financial Instrument Attributes | :16R: | | FIA |
| M | Business Transaction ID | :22F: | :FORM/DTCY/ | SG01 |

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|---|--|-------|-------------|--|
| O | Serial Number Serial number supplied by the participant | :13B: | :VERN/DTCY/ | 7x Serial number provided by the participant. Permissible values are: 0000001 - 0000009 (Reg.) or 0000100 (Foreign Ownership) |
| O | Sequence Number | :70E: | :FIAN// | 5x |
| M | End of Block - Financial Instrument Attributes | :16S: | | FIA |

| M/O | Field Description | Tag | Qualifier(s) | Content Rules |
|-----|---|-------|--------------|---|
| M | Settlement Date Date on which the transaction should be settled. | :98A: | :SETT// | yyyymmdd |
| O | Narrative - DTC Comments Provides additional settlement processing information | :70E: | :SPRO// | 35x crlf 35x crlf 10x The maximum length DTC will accept is 80, 2 lines of 35 characters and 1 line of 10 characters. Each line should be separated by a CRLF (carriage return - line feed). |
| M | Balance From Balance from which the security is moving. Applies to Minimum Amount (MA) or Net Additions (NA) account position transfers. Also used to designate securities as available or blocked for segregation, memo segregation, and Investment ID. | :93A: | :FROM// | AVAI Balance from which the security is moving - Available |
| M | Balance To Balance to which the security is moving. For Minimum Amount (MA) account or Net Additions (NA) account position transfers. Also used to designate securities as available or blocked for segregation, memo segregation, and Investment ID. | :93A: | :TOBA// | BLOK Balance to which the security is moving - Blocked |
| M | End of Block - Intra-Position Details | :16S: | | INPOSDET |

Segregation Release

 Business Transaction: **Segregation Release**

Version: 1.0

 ISO Message Type: **MT524 - Intra-Position Instruction**

Segregation release allows you to instruct DTC to release segregated securities back to your general free account. Securities are segregated to make them unavailable for any transactions until you authorize DTC to release them to your free account.

 Key: **M** = Mandatory, **O** = Optional

Mandatory Sequence A - General Information

| M/O | Field Description | Tag | Qualifier(s) | Content Rules |
|----------|---|-------|--------------|---------------|
| M | Start of Block - General Information | :16R: | | GENL |
| M | Sender's Reference Number Sender's reference number | :20C: | :SEME// | 16x |
| M | Message Function Field that identifies the function of the message | :23G: | | NEWM |
| M | End of Block - General Information | :16S: | | GENL |

Mandatory Sequence B - Intra-Position Details

| M/O | Field Description | Tag | Qualifier(s) | Content Rules |
|----------|---|-------|-----------------|--|
| M | Start of Block - Intra-Position Details | :16R: | | INPOSDET |
| O | Participant Number | :95R: | :ACOW/DTCYPART/ | 00009999 0000 followed by 4 digits. All 4 digits are required. |
| M | Safekeeper - DTCC Identifies account where financial instruments are maintained. | :97A: | :SAFE// | DTCC |
| M | Quantity Quantity of financial instrument to be settled expressed as units such as share quantity. | :36B: | :SETT// | UNIT/999999999, At least 1 whole digit is required. No more than 9 may be present. Fractions are not allowed. A decimal comma is always required. |
| M | ISIN Identification of the financial Instrument (Country Code, CUSIP and Check Digit) | :35B: | | The literal "ISIN" followed by a space followed by the 12 character ISIN. Note-DTC does not accept Non U.S. ISIN Example-ISIN US1234567891. Note-DTC does not accept Non U.S. ISIN |

Optional Subsequence B1 - Financial Instrument Attributes

| M/O | Field Description | Tag | Qualifier(s) | Content Rules |
|----------|--|-------|--------------|---------------|
| M | Start of Block - Financial Instrument Attributes | :16R: | | FIA |

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|----------|--|-------|-------------|--|
| M | Business Transaction ID | :22F: | :FORM/DTCY/ | SG02 |
| O | Serial Number Serial number supplied by the participant | :13B: | :VERN/DTCY/ | 7x Serial number provided by the participant. Permissible values are: 0000001 - 0000009 (Reg.) or 0000100 (Foreign Ownership) |
| O | Sequence Number | :70E: | :FIAN// | 5x |
| M | End of Block - Financial Instrument Attributes | :16S: | | FIA |

| M/O | Field Description | Tag | Qualifier(s) | Content Rules |
|----------|---|-------|--------------|---|
| M | Settlement Date Date on which the transaction should be settled. | :98A: | :SETT// | yyyymmdd |
| O | Narrative - DTC Comments Provides additional settlement processing information | :70E: | :SPRO// | 35x crlf 35x crlf 10x The maximum length DTC will accept is 80, 2 lines of 35 characters and 1 line of 10 characters. Each line should be separated by a CRLF (carriage return - line feed). |
| M | Balance From Balance from which the security is moving. Applies to Minimum Amount (MA) or Net Additions (NA) account position transfers. Also used to designate securities as available or blocked for segregation, memo segregation, and Investment ID. | :93A: | :FROM// | BLOK Balance from which the security is moving - Blocked |
| M | Balance To Balance to which the security is moving. For Minimum Amount (MA) account or Net Additions (NA) account position transfers. Also used to designate securities as available or blocked for segregation, memo segregation, and Investment ID. | :93A: | :TOBA// | AVAI Balance to which the security is moving - Available |
| M | End of Block - Intra-Position Details | :16S: | | INPOSDET |

Memo Segregation

 Business Transaction: **Memo Segregation**

Version: 1.0

 ISO Message Type: **MT524 - Intra-Position Instruction**

Memo Segregation allows you to create a memo position within your general free account to protect securities that your customers have paid for in full. Memo segregation is similar to segregation. However, whereas Segregation allows you to move only existing positions, Memo Segregation allows you to create memo-segregated positions within your free account, thus allowing you to protect anticipated, fully-paid-for customer securities.

 Key: **M** = Mandatory, **O** = Optional

Mandatory Sequence A - General Information

| M/O | Field Description | Tag | Qualifier(s) | Content Rules |
|----------|---|-------|--------------|---------------|
| M | Start of Block - General Information | :16R: | | GENL |
| M | Sender's Reference Number Sender's reference number | :20C: | :SEME// | 16x |
| M | Message Function Field that identifies the function of the message | :23G: | | NEWM |
| M | End of Block - General Information | :16S: | | GENL |

Mandatory Sequence B - Intra-Position Details

| M/O | Field Description | Tag | Qualifier(s) | Content Rules |
|----------|---|-------|-----------------|---|
| M | Start of Block - Intra-Position Details | :16R: | | INPOSDET |
| O | Participant Number | :95R: | :ACOW/DTCYPART/ | 00009999 0000 followed by 4 digits. All 4 digits are required. |
| M | Safekeeper - DTCC Identifies account where financial instruments are maintained. | :97A: | :SAFE// | DTCC |
| M | Quantity Quantity of financial instrument to be settled expressed as units such as share quantity. | :36B: | :SETT// | UNIT/999999999, At least 1 whole digit is required. No more than 9 may be present. Fractions are not allowed. A decimal comma is always required. |
| M | ISIN Identification of the financial Instrument (Country Code, CUSIP and Check Digit) | :35B: | | The literal "ISIN" followed by a space followed by the 12 character ISIN. Note-DTC does not accept Non U.S. ISIN Example-ISIN US1234567891. Note-DTC does not accept Non U.S. ISIN |

Optional Subsequence B1 - Financial Instrument Attributes

| M/O | Field Description | Tag | Qualifier(s) | Content Rules |
|-----|-------------------|-----|--------------|---------------|
|-----|-------------------|-----|--------------|---------------|

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|----------|--|-------|-------------|---|
| M | Start of Block - Financial Instrument Attributes | :16R: | | FIA |
| M | Business Transaction ID | :22F: | :FORM/DTCY/ | MS01 |
| O | Action Code | :22F: | :PADI/DTCY/ | ADDS or SUBS or OVRL Must be one of the following values: ADDS - Add to existing shares, SUBS - Subtract from existing shares, OVRL - Overlay existing shares |
| O | Sequence Number | :70E: | :FIAN// | 5x |
| M | End of Block - Financial Instrument Attributes | :16S: | | FIA |

| M/O | Field Description | Tag | Qualifier(s) | Content Rules |
|----------|---|-------|--------------|---|
| M | Settlement Date Date on which the transaction should be settled. | :98A: | :SETT// | yyyyMMdd |
| O | Narrative - DTC Comments Provides additional settlement processing information | :70E: | :SPRO// | 35x crlf 35x crlf 10x The maximum length DTC will accept is 80, 2 lines of 35 characters and 1 line of 10 characters. Each line should be separated by a CRLF (carriage return - line feed). |
| M | Balance From Balance from which the security is moving. Applies to Minimum Amount (MA) or Net Additions (NA) account position transfers. Also used to designate securities as available or blocked for segregation, memo segregation, and Investment ID. | :93A: | :FROM// | AVAI Balance from which the security is moving - Available |
| M | Balance To Balance to which the security is moving. For Minimum Amount (MA) account or Net Additions (NA) account position transfers. Also used to designate securities as available or blocked for segregation, memo segregation, and Investment ID. | :93A: | :TOBA// | BLOK Balance to which the security is moving - Blocked |
| M | End of Block - Intra-Position Details | :16S: | | INPOSDET |

Investment ID

 Business Transaction: **Investment ID**

Version: 1.0

 ISO Message Type: **MT524 - Intra-Position Instruction**

Investment Identification allows you to segregate securities for a Firm, Partner, or Omnibus account that were purchased for investment reasons. The securities are delivered from your general free account into your Investment Identification account. The Investment ID account is used for reporting information to the IRS about securities purchased for investment purposes.

 Key: **M** = Mandatory, **O** = Optional

Mandatory Sequence A - General Information

| M/O | Field Description | Tag | Qualifier(s) | Content Rules |
|----------|---|-------|--------------|---------------|
| M | Start of Block - General Information | :16R: | | GENL |
| M | Sender's Reference Number Sender's reference number | :20C: | :SEME// | 16x |
| M | Message Function Field that identifies the function of the message | :23G: | | NEWM |
| M | End of Block - General Information | :16S: | | GENL |

Mandatory Sequence B - Intra-Position Details

| M/O | Field Description | Tag | Qualifier(s) | Content Rules |
|----------|---|-------|-----------------|---|
| M | Start of Block - Intra-Position Details | :16R: | | INPOSDET |
| O | Participant Number | :95R: | :ACOW/DTCYPART/ | 00009999 0000 followed by 4 digits. All 4 digits are required. |
| M | Safekeeper - DTCC Identifies account where financial instruments are maintained. | :97A: | :SAFE// | DTCC |
| M | Quantity Quantity of financial instrument to be settled expressed as units such as share quantity. | :36B: | :SETT// | UNIT/999999999, At least 1 whole digit is required. No more than 9 may be present. Fractions are not allowed. A decimal comma is always required. |
| M | ISIN Identification of the financial Instrument (Country Code, CUSIP and Check Digit) | :35B: | | The literal "ISIN" followed by a space followed by the 12 character ISIN. Note-DTC does not accept Non U.S. ISIN Example-ISIN US1234567891. Note-DTC does not accept Non U.S. ISIN |

Optional Subsequence B1 - Financial Instrument Attributes

| M/O | Field Description | Tag | Qualifier(s) | Content Rules |
|-----|-------------------|-----|--------------|---------------|
|-----|-------------------|-----|--------------|---------------|

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|----------|--|-------|-------------|--|
| M | Start of Block - Financial Instrument Attributes | :16R: | | FIA |
| M | Business Transaction ID | :22F: | :FORM/DTCY/ | IN01 |
| O | Serial Number Serial number supplied by the participant | :13B: | :VERN/DTCY/ | 7x Serial number provided by the participant. Permissible values are: 0100001 - 0199999 (Firm), 0200001 - 0299999 (Partner), 0300001 - 0399999 (Omnibus) |
| O | Sequence Number | :70E: | :FIAN// | 5x |
| M | End of Block - Financial Instrument Attributes | :16S: | | FIA |

| M/O | Field Description | Tag | Qualifier(s) | Content Rules |
|----------|---|-------|--------------|---|
| M | Settlement Date Date on which the transaction should be settled. | :98A: | :SETT// | yyyymmdd |
| O | Narrative - DTC Comments Provides additional settlement processing information | :70E: | :SPRO// | 35x crlf 35x crlf 10x The maximum length DTC will accept is 80, 2 lines of 35 characters and 1 line of 10 characters. Each line should be separated by a CRLF (carriage return - line feed). |
| M | Balance From Balance from which the security is moving. Applies to Minimum Amount (MA) or Net Additions (NA) account position transfers. Also used to designate securities as available or blocked for segregation, memo segregation, and Investment ID. | :93A: | :FROM// | AVAI Balance from which the security is moving - Available |
| M | Balance To Balance to which the security is moving. For Minimum Amount (MA) account or Net Additions (NA) account position transfers. Also used to designate securities as available or blocked for segregation, memo segregation, and Investment ID. | :93A: | :TOBA// | BLOK Balance to which the security is moving - Blocked |
| M | End of Block - Intra-Position Details | :16S: | | INPOSDET |

Investment ID Release

 Business Transaction: **Investment ID Release**

Version: 1.0

 ISO Message Type: **MT524 - Intra-Position Instruction**

Securities that are segregated via Investment Identification for Internal Revenue Service purposes can be released back to your general free account. Use Investment ID Release to release securities segregated specifically for investment purposes.

 Key: **M** = Mandatory, **O** = Optional

Mandatory Sequence A - General Information

| M/O | Field Description | Tag | Qualifier(s) | Content Rules |
|----------|---|-------|--------------|---------------|
| M | Start of Block - General Information | :16R: | | GENL |
| M | Sender's Reference Number Sender's reference number | :20C: | :SEME// | 16x |
| M | Message Function Field that identifies the function of the message | :23G: | | NEWM |
| M | End of Block - General Information | :16S: | | GENL |

Mandatory Sequence B - Intra-Position Details

| M/O | Field Description | Tag | Qualifier(s) | Content Rules |
|----------|---|-------|-----------------|---|
| M | Start of Block - Intra-Position Details | :16R: | | INPOSDET |
| O | Participant Number | :95R: | :ACOW/DTCYPART/ | 00009999 0000 followed by 4 digits. All 4 digits are required. |
| M | Safekeeper - DTCC Identifies account where financial instruments are maintained. | :97A: | :SAFE// | DTCC |
| M | Quantity Quantity of financial instrument to be settled expressed as units such as share quantity. | :36B: | :SETT// | UNIT/999999999, At least 1 whole digit is required. No more than 9 may be present. Fractions are not allowed. A decimal comma is always required. |
| M | ISIN Identification of the financial Instrument (Country Code, CUSIP and Check Digit) | :35B: | | The literal "ISIN" followed by a space followed by the 12 character ISIN. Note-DTC does not accept Non U.S. ISIN Example-ISIN US1234567891. Note-DTC does not accept Non U.S. ISIN |

Optional Subsequence B1 - Financial Instrument Attributes

| M/O | Field Description | Tag | Qualifier(s) | Content Rules |
|----------|--|-------|--------------|---------------|
| M | Start of Block - Financial Instrument Attributes | :16R: | | FIA |

| | | | | |
|----------|--|-------|-------------|---|
| M | Business Transaction ID | :22F: | :FORM/DTCY/ | IN02 |
| O | Serial Number Serial number supplied by the participant | :13B: | :VERN/DTCY/ | 7x Serial number provided by the participant. Permissible values are: 0100001 - 0199999 (Firm), 0200001 - 0299999 (Partner), 0300001 - 0399999 (Omnibus) |
| O | Sequence Number | :70E: | :FIAN// | 5x |
| M | End of Block - Financial Instrument Attributes | :16S: | | FIA |

| M/O | Field Description | Tag | Qualifier(s) | Content Rules |
|----------|---|-------|--------------|---|
| M | Settlement Date Date on which the transaction should be settled. | :98A: | :SETT// | yyyymmdd |
| O | Narrative - DTC Comments Provides additional settlement processing information | :70E: | :SPRO// | 35x crlf 35x crlf 10x The maximum length DTC will accept is 80, 2 lines of 35 characters and 1 line of 10 characters. Each line should be separated by a CRLF (carriage return - line feed). |
| M | Balance From Balance from which the security is moving. Applies to Minimum Amount (MA) or Net Additions (NA) account position transfers. Also used to designate securities as available or blocked for segregation, memo segregation, and Investment ID. | :93A: | :FROM// | BLOK Balance from which the security is moving - Blocked |
| M | Balance To Balance to which the security is moving. For Minimum Amount (MA) account or Net Additions (NA) account position transfers. Also used to designate securities as available or blocked for segregation, memo segregation, and Investment ID. | :93A: | :TOBA// | AVAI Balance to which the security is moving - Available |
| M | End of Block - Intra-Position Details | :16S: | | INPOSDET |