

FINplus Standards Release 2021

This document describes the Standards Release (SR) for FINplus

June 2021



Table of Contents

Preface.....	3
1 New messages introduced in FINplus Live with the Standards Release 2021	4
1.1 Securities – Clearing	4
1.2 Securities - Collateral	5
1.3 Securities – Corporate Actions.....	6
1.4 Securities – Market Claims	7
1.5 Securities – Management	8
1.6 Securities – Settlement	9
1.7 Tracking.....	10
2 Existing messages changing in FINplus Live with the Standards release 2021	11
2.1 Securities – CSDR Penalties Reporting.....	11
2.2 Securities – General Meeting (Proxy Voting).....	11
2.3 Securities – Shareholder Identification Disclosure.....	12
3 Messages being provisioned in the FINplus Pilot Future service with the Standards Release 2021	13
3.1 CBPR+ messages.....	13
3.2 Securities and tracking messages	14
Annex - Supplementary Data	15



Preface

About this document

This document describes the messages deployed in the FINplus service as part of Standards Release 2021.

Deployment pilot future (swift.finplus!pf) – 25th July 2021

Deployment live (swift.finplus) – 21st November 2021

Please note:

- All FINplus messages require RMA to the exception of the tracking (trck) messages where no RMA is required.
- The policy of the FINplus service is to support only one version of a message at any one time in the Live environment. The old version of a message is withdrawn from the FINplus service at the same time as the new version becomes available for live use.

Documentation:

FINplus service description: [click here](#)

FINplus messages introduction dates: [click here](#)

MyStandards Securities messages landing page: [click here](#)

MyStandards CBPR+ messages landing page: [click here](#)



1 New messages introduced in FINplus Live with the Standards Release 2021

1.1 Securities – Clearing

<u>Request Types</u>	<u>Description</u>	<u>Version</u>	<u>remark</u>
secl.001	TradeLegNotification	secl.001.001.03	
secl.002	TradeLegNotificationCancellation	secl.002.001.03	
secl.003	TradeLegStatement	secl.003.001.03	
secl.004	NetPosition	secl.004.001.03	
secl.005	MarginReport	secl.005.001.02	
secl.006	DefaultFundContributionReport	secl.006.001.02	
secl.007	BuyInNotification	secl.007.001.03	
secl.008	BuyInResponse	secl.008.001.03	
secl.009	BuyInConfirmation	secl.009.001.03	
secl.010	SettlementObligationReport	secl.010.001.03	

1.2 Securities - Collateral

Request Types	Description	Version	comment
colr.001	CollateralValueQuery	colr.001.001.01	
colr.002	CollateralValueReport	colr.002.001.01	
colr.003	MarginCallRequest	colr.003.001.04	
colr.004	MarginCallResponse	colr.004.001.04	
colr.005	CollateralManagementCancellationRequest	colr.005.001.05	
colr.006	CollateralManagementCancellationStatus	colr.006.001.04	
colr.007	CollateralProposal	colr.007.001.05	
colr.008	CollateralProposalResponse	colr.008.001.05	
colr.009	MarginCallDisputeNotification	colr.009.001.04	
colr.010	CollateralSubstitutionRequest	colr.010.001.04	
colr.011	CollateralSubstitutionResponse	colr.011.001.04	
colr.012	CollateralSubstitutionConfirmation	colr.012.001.04	
colr.013	InterestPaymentRequest	colr.013.001.04	
colr.014	InterestPaymentResponse	colr.014.001.04	
colr.015	InterestPaymentStatement	colr.015.001.04	
colr.016	CollateralAndExposureReport	colr.016.001.04	

1.3 Securities – Corporate Actions

<u>Request Types</u>	<u>Description</u>	<u>Version</u>	<u>remark</u>
seev.031	CorporateActionNotification	seev.031.001.11	
seev.032	CorporateActionEventProcessingStatus Advice	seev.032.001.08	
seev.033	CorporateActionInstruction	seev.033.001.11	
seev.034	CorporateActionInstructionStatusAdvice	seev.034.001.12	
seev.035	CorporateActionMovementPreliminary Advice	seev.035.001.12	
seev.036	CorporateActionMovementConfirmation	seev.036.001.12	
seev.037	CorporateActionMovementReversal Advice	seev.037.001.12	
seev.038	CorporateActionNarrative	seev.038.001.06	
seev.039	CorporateActionCancellationAdvice	seev.039.001.10	
seev.040	CorporateActionInstructionCancellation Request	seev.040.001.10	
seev.041	CorporateActionInstructionCancellation RequestStatusAdvice	seev.041.001.11	
seev.042	CorporateActionInstructionStatement Report	seev.042.001.10	
seev.044	CorporateActionMovementPreliminary AdviceCancellationAdvice	seev.044.001.10	
seev.045	ShareholdersIdentificationDisclosure Request	seev.045.001.03	
seev.046	ShareholdersIdentificationDisclosure RequestCancellationAdvice	seev.046.001.01	
seev.047	ShareholdersIdentificationDisclosure Response	seev.047.001.02	
seev.048	ShareholderIdentificationDisclosure ResponseCancellationAdvice	seev.048.001.01	
seev.049	ShareholderIdentificationDisclosure ResponseStatusAdvice	seev.049.001.01	

Please note - formalised DTCC supplementary data may be used with some of these seev messages. Refer to annex for more details.

1.4 Securities – Market Claims

<u>Request Types</u>	<u>Description</u>	<u>Version</u>	<u>remark</u>
seev.050	MarketClaimCreation	seev.050.001.01	
seev.051	MarketClaimCancellationRequest	seev.051.001.01	
seev.052	MarketClaimStatusAdvice	seev.052.001.01	
seev.053	MarketClaimCancellationRequest StatusAdvice	seev.053.001.01	

1.5 Securities – Management

Request Types	Description	Version	remark
semt.001	SecuritiesMessageRejection	semt.001.001.03	
semt.002	CustodyStatementOfHoldings	semt.002.001.10	
semt.003	AccountingStatementOfHoldings	semt.003.001.10	
semt.004	CustodyStatementOfHoldings Cancellation	semt.004.001.02	
semt.005	AccountingStatementOfHoldings Cancellation	semt.005.001.02	
semt.013	IntraPositionMovementInstruction	semt.013.001.05	
semt.014	IntraPositionMovementStatusAdvice	semt.014.001.06	
semt.015	IntraPositionMovementConfirmation	semt.015.001.08	
semt.016	IntraPositionMovementPostingReport	semt.016.001.08	
semt.017	SecuritiesTransactionPostingReport	semt.017.001.11	
semt.018	SecuritiesTransactionPendingReport	semt.018.001.12	
semt.019	SecuritiesSettlementTransaction AllegementReport	semt.019.001.09	
semt.020	SecuritiesMessageCancellationAdvice	semt.020.001.06	
semt.021	SecuritiesStatementQuery	semt.021.001.07	
semt.022	SecuritiesSettlementTransactionAudit TrailReport	semt.022.001.04	
semt.023	SecuritiesEndOfProcessReport	semt.023.001.01	
semt.024	TotalPortfolioValuationReport	semt.024.001.01	
semt.041	SecuritiesBalanceTransparencyReport	semt.041.001.02	
semt.042	SecuritiesBalanceTransparencyReport StatusAdvice	semt.042.001.01	

1.6 Securities – Settlement

Request Types	Description	Version	remark
sese.020	SecuritiesTransactionCancellationRequest	sese.020.001.06	
sese.021	SecuritiesTransactionStatusQuery	sese.021.001.05	
sese.022	SecuritiesStatusOrStatementQuery StatusAdvice	sese.022.001.05	
sese.023	SecuritiesSettlementTransaction Instruction	sese.023.001.10	
sese.024	SecuritiesSettlementTransactionStatus Advice	sese.024.001.11	
sese.025	SecuritiesSettlementTransaction Confirmation	sese.025.001.10	
sese.026	SecuritiesSettlementTransaction ReversalAdvice	sese.026.001.09	
sese.027	SecuritiesTransactionCancellation RequestStatusAdvice	sese.027.001.06	
sese.028	SecuritiesSettlementTransaction AllegementNotification	sese.028.001.09	
sese.029	SecuritiesSettlementAllegement RemovalAdvice	sese.029.001.05	
sese.030	SecuritiesSettlementConditions ModificationRequest	sese.030.001.08	
sese.031	SecuritiesSettlementCondition ModificationStatusAdvice	sese.031.001.08	
sese.032	SecuritiesSettlementTransaction GenerationNotification	sese.032.001.10	
sese.033	SecuritiesFinancingInstruction	sese.033.001.10	
sese.034	SecuritiesFinancingStatusAdvice	sese.034.001.08	
sese.035	SecuritiesFinancingConfirmation	sese.035.001.10	
sese.036	SecuritiesFinancingModification Instruction	sese.036.001.07	
sese.037	PortfolioTransferNotification	sese.037.001.06	
sese.038	SecuritiesSettlementTransaction ModificationRequest	sese.038.001.08	
sese.039	SecuritiesSettlementTransaction ModificationRequestStatusAdvice	sese.039.001.05	
sese.040	SecuritiesSettlementTransaction Counterparty Response	sese.040.001.03	
sese.041	BuyInRegulatoryAdvice	sese.041.001.01	
sese.042	BuyInRegulatoryAdviceResponse	sese.042.001.01	

1.7 Tracking

RMA is not applicable for those messages.

<u>Request Types (RT)</u>	<u>MX Description</u>	<u>Version</u>	<u>Request Subtype</u>
trck.001	PaymentStatusTrackerUpdate (Universal Confirmation)	SWIFT Community Payment Services	swift.uc.01
trck.001	PaymentStatusTrackerUpdate (gFIT)	SWIFT GPI	swift.gpi.gfit.01
trck.001	PaymentStatusTrackerUpdate (gCCINST)	SWIFT GPI	swift.gpi.gcctinst.01
trck.001	PaymentStatusTrackerUpdate (gCOV)	SWIFT GPI	swift.gpi.gcov.01
trck.001	PaymentStatusTrackerUpdate (gCCT)	SWIFT GPI	swift.gpi.gcct.01
trck.001	PaymentStatusTrackerUpdate (SWIFTGo)	SWIFT GPI	swift.gpi.swiftgo.01
trck.002	PaymentStatusTrackerReport (gFIT)	SWIFT GPI	swift.gpi.gfit.01
trck.002	PaymentStatusTrackerReport (gCCINST)	SWIFT GPI	swift.gpi.gcctinst.01
trck.002	PaymentStatusTrackerReport (gCOV)	SWIFT GPI	swift.gpi.gcov.01
trck.002	PaymentStatusTrackerReport (gCCT)	SWIFT GPI	swift.gpi.gcct.01
trck.002	PaymentStatusTrackerReport (SWIFTGo)	SWIFT GPI	swift.gpi.swiftgo.01
trck.003	TrackerAlertNotification	SWIFT GPI	swift.gpi.01
trck.004	Payment Status Customer Tracker Report (g4C)	SWIFT GPI	swift.gpi.g4c.01

2 Existing messages changing in FINplus Live with the Standards release 2021

For the new version of the below messages, often referred to as the SRD II messages (section 2.2 & 2.3), with the standards release 2021, the 'Request subtype / Usage identifier' will not be used anymore on FINplus as of November 21st, 2021 in the live service and as of July 25th, 2021 in the pilot future service. If used, the messages will fail the central validation and will be NACK.

Three messages (seev.046, seev.048 & seev.049) are not impacted by the standards release 2021, and therefore can still be sent with the request subtype populated with the usage identifier. The central validation will continue to accept them. SWIFT however recommends to stop populating the 'Request subtype / Usage identifier' as of November 21st, 2021 in the live service and as of July 25th, 2021 in the pilot future service.

2.1 Securities – CSDR Penalties Reporting

<u>Request Types</u>	<u>Description</u>	<u>Version</u>	<u>remark</u>
semt.044	SecuritiesTransactionPenaltiesReport	DRAFT5semt.044.001.01	New draft version of the T2S message for the penalties (not formally registered by T2S with ISO 20022)

2.2 Securities – General Meeting (Proxy Voting)

<u>Request Types</u>	<u>Description</u>	<u>Version</u>	<u>remark</u>
seev.001	MeetingNotification	seev.001.001.08	New version of the message
seev.002	MeetingCancellation	seev.002.001.07	New version of the message
seev.003	MeetingEntitlementNotification	seev.003.001.07	New version of the message
seev.004	MeetingInstruction	seev.004.001.07	New version of the message
seev.005	MeetingInstructionCancellationRequest	seev.005.001.07	New version of the message
seev.006	MeetingInstructionStatus	seev.006.001.07	New version of the message
seev.007	MeetingVoteExecutionConfirmation	seev.007.001.07	New version of the message
seev.008	MeetingResultDissemination	seev.008.001.07	New version of the message

2.3 Securities – Shareholder Identification Disclosure

<u>Request Types</u>	<u>Description</u>	<u>Version</u>	<u>remark</u>
seev.045	ShareholdersIdentificationDisclosure Request	seev.045.001.03	New version of the message
seev.046	ShareholdersIdentificationDisclosure RequestCancellationAdvice	seev.046.001.01	Same version, but the 'Request subtype / Usage identifier' should no longer be used.
seev.047	ShareholdersIdentificationDisclosure Response	seev.047.001.02	New version of the message
seev.048	ShareholderIdentificationDisclosure ResponseCancellationAdvice	seev.048.001.01	Same version, but the 'Request subtype / Usage identifier' should no longer be used.
seev.049	ShareholderIdentificationDisclosure ResponseStatusAdvice	seev.049.001.01	Same version, but the 'Request subtype / Usage identifier' should no longer be used.

3 Messages being provisioned in the FINplus Pilot Future service with the Standards Release 2021

Attention, contrary to the other messages, the CBPR+ messages will not be provisioned in the FINplus live service on the 21st of November 2021, but on the 20th of November 2022.

3.1 CBPR+ messages

Request Types (RT)	MX Description	Version	Request Subtype
camt.029	ResolutionOfInvestigation	camt.029.001.09	swift.cbprplus.01
camt.052	BankToCustomerAccountReport	camt.052.001.08	swift.cbprplus.01
camt.053	BankToCustomerStatement	camt.053.001.08	swift.cbprplus.01
camt.054	BankToCustomerDebitCreditNotification	camt.054.001.08	swift.cbprplus.01
camt.056	FIToFIPaymentCancellationRequest	camt.056.001.08	swift.cbprplus.01
camt.057	NotificationToReceive	camt.057.001.06	swift.cbprplus.01
camt.060	AccountReportingRequest	camt.060.001.05	swift.cbprplus.01
pacs.002	PaymentStatusReport	pacs.002.001.10	swift.cbprplus.01
pacs.004	PaymentReturn	pacs.004.001.09	swift.cbprplus.01
pacs.008	FIToFICustomerCreditTransfer	pacs.008.001.08	swift.cbprplus.01
pacs.008 STP	FIToFICustomerCreditTransfer STP	pacs.008.001.08	swift.cbprplus.stp.01
pacs.009	FinancialInstitutionCreditTransfer	pacs.009.001.08	swift.cbprplus.01
pacs.009 ADV	FinancialInstitutionCreditTransfer Advise	pacs.009.001.08	swift.cbprplus.adv.01
pacs.009 COV	FinancialInstitutionCreditTransfer Cov	pacs.009.001.08	swift.cbprplus.cov.01
pacs.010	FinancialInstitutionDirectDebit	pacs.010.001.03	swift.cbprplus.01
pain.001	CustomerCreditTransferInitiation	pain.001.001.09	swift.cbprplus.01
pain.002	PaymentStatusReport	pain.002.001.10	swift.cbprplus.01

3.2 Securities and tracking messages

The same messages listed in section 1 and 2 of this document. As a reminder, for all the securities messages, the 'Request subtype / Usage identifier' will not be used anymore on FINplus as of 21st November 2021. If used, the messages will fail the central validation and will be NACK.

Three messages (seev.046, seev.048 & seev.049) are not impacted by the standards release 2021, and therefore can still be sent with the request subtype populated with the usage identifier. The central validation will continue to accept them. SWIFT however recommends to stop populating the 'Request subtype / Usage identifier' as of November 21st, 2021 in the live service and as of July 25th, 2021 in the pilot future service.

Annex - Supplementary Data

<u>Request Types</u>	<u>Description</u>	<u>Version</u>	<u>remark</u>
supl.001	DTCC Announcement CSD Extension	supl.001.001.13	Associated with: seev.031.002.11
supl.006	DTCC Announcement Cancellation Advice Extension	supl.006.001.10	Associated with: seev.039.002.10
supl.007	DTCC Announcement Eligible Balance Extension	supl.007.001.10	Associated with: seev.031.002.11
supl.008	DTCC Instruction Extension	supl.008.001.06	Associated with: seev.033.002.11
supl.009	DTCC Movement Preliminary Advice Extension	supl.009.001.09	Associated with: seev.035.002.12
supl.010	DTCC Event Processing Status Advice Extension	supl.010.001.08	Associated with: seev.032.002.08
supl.011	DTCC Movement Confirmation Extension	supl.011.001.09	Associated with: seev.036.002.12
supl.025	DTCC Reversal Advice Extension	supl.025.001.03	Associated with: seev.037.002.12
supl.030	DTCC Instruction Status Advice Extension	supl.030.001.05	Associated with: seev.034.002.12
supl.031	DTCC Instruction Statement Report Extension	supl.031.001.04	Associated with: seev.042.002.10
supl.032	DTCC Instruction Cancellation Request Extension	supl.032.001.02	Associated with: seev.040.002.10
supl.033	DTCC Instruction Cancellation Request Status Advice Extension	supl.033.001.02	Associated with: seev.041.002.11
supl.034	DTCC Movement Preliminary Advice Cancellation Advice Extension	supl.034.001.03	Associated with: seev.044.002.10
supl.001	DTCC Announcement CSD Extension	supl.001.001.13	Associated with: seev.031.002.11
supl.006	DTCC Announcement Cancellation Advice Extension	supl.006.001.10	Associated with: seev.039.002.10
supl.007	DTCC Announcement Eligible Balance Extension	supl.007.001.10	Associated with: seev.031.002.11
supl.008	DTCC Instruction Extension	supl.008.001.06	Associated with: seev.033.002.11
supl.009	DTCC Movement Preliminary Advice Extension	supl.009.001.09	Associated with: seev.035.002.12
supl.010	DTCC Event Processing Status Advice Extension	supl.010.001.08	Associated with: seev.032.002.08
supl.011	DTCC Movement Confirmation Extension	supl.011.001.09	Associated with: seev.036.002.12

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