

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.
22/11/2021	Third version of the document. Format is updated to version 3. <i>Previous Disclosure Request Identification</i> field is added to allow the communication of a previous message reference.
20/11/2023	Fourth version of the document. Format is updated to version 4.

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

FORMAT seev.045.001.03 4

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 V04
1	[1..1]		1	<IssrDsclsrReqId>	Issuer Disclosure Request Identification
2	[1..1]		1	<DsclsrReqTp>	Disclosure Request Type
3	[0..1]		1	<PrvsDsclsrReqId>	Previous Disclosure Request Identification
4	[1..1]		1	<FwdReqInd>	Forward Request Indicator
5	[0..1]		1	<ShrhldrRghtsDrctvInd>	Shareholder Rights Directive Indicator
	[1..1]		1	<FinInstrmId>	Financial Instrument Identification
6	[1..1]		2	_<ISIN>	ISIN
	[1..1]		1	<ShrhldrsDsclsrRcrdDt>	Shareholders Disclosure Record Date
	[1..1]		2	_<Dt>	Date
7	[1..1]		3	__<Dt>	Date
8	[0..1]		1	<ShrsQtyThrshld>	Shares Quantity Threshold
	[0..1]		1	<ReqShrHeldDt>	Request Share Held Date
9	[1..1]	{Or	2	_<DtClctnMtd>	Date Calculation Method
10	[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
11	[1..1]		4	___<Id>	Identification
12	[1..1]		4	___<Issr>	Issuer
13	[1..1]	Or}	3	__<LEI>	LEI
14	[1..1]		2	_<RcptNm>	Recipient Name
	[1..1]		2	_<RspnRcptAdr>	Response Recipient Address
15	[0..1]		3	__<AnyBIC>	Any BIC
16	[0..1]		3	__<EmailAdr>	Email Address
17	[0..1]		3	__<URLAdr>	URL Address
	[1..1]		1	<IssrDsclsrDdln>	Issuer Disclosure Deadline
	[1..1]		2	_<Dt>	Date
18	[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: Previous Disclosure Request Identification
Format: Up to 35 alphanumeric positions.
Content: Identification of the unique reference assigned in the header of the previously Seev.045 message. It will be always informed if the request type is REPL.

- 4 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.

- 5 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.

- 6 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.

- 7 Name: Shareholders Disclosure Record Date
Format: ISODate: YYYY-MM-DD.
Content: Record date for which the identification of ownership of the positions is requested.

- 8 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.
- 9 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.
- 10 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.
- 11 Name Proprietary Identification
Format: 35 alphanumeric characters.
Content: Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.
- 12 Name Issuer of Proprietary Identification
Format: 35 alphanumeric characters.
Content: Entity that assigns the identification.
- 13 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.
- 14 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.
- 15 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.
- 16 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.

- 17 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.

- 18 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.