

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.
22/11/2021	Fourth version of the document. The format is updated to version 2. <i>Year Of Incorporation</i> field is added. <i>Natural person</i> and <i>legal person</i> fields are modified to allow the communication of legal person co-ownership under the same safekeeping account and a mix of legal and natural persons as account owners.
18/11/2024	Fifth version of the document. The format is updated to version 3.

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

FORMAT seev.047.001.032

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	<ShrhldrsldDsclsrRspn>	Shareholders Identification Disclosure Response V03
	[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	___<ShrhldgBalOnCIntAcct>	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
	[0..25]		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
39	[0..1]		7	____<YrOfIncorprtn>	Year Of Incorporation
	[0..1]		7	____<InvstrTp>	Investor Type
	[1..1]		8	____<Prtry>	Proprietary
40	[1..1]		9	____<Id>	Identification
41	[1..1]		9	____<Issr>	Issuer
	[1..1]		7	____<Ownrsh>	Ownership
	[1..1]		8	____<OwnrshTp>	Ownership Type

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

	Mult.	Or	Lv	<XML Tag>	Message Item
66	[0..1]		8	____<UsfrctPctg>	Usufruct Percentage
	[1..1]		5	____<ShrhldgBal>	Shareholding Balance
67	[1..1]		6	____<ShrhldgTp>	Shareholding Type
	[1..1]		6	____<Qty>	Quantity
68	[1..1]	{Or	7	____<Unit>	Unit
69	[1..1]	Or}	7	____<FaceAmt>	Face Amount
	[0..1]		6	____<InitlDtOfShrhldg>	Initial Date Of Shareholding
70	[1..1]	{Or	7	____<Dt>	Date
	[1..1]	Or}	7	____<DtCd>	Date Code
71	[1..1]		8	____<Cd>	Code

Clarification of fields

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

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

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| 23 | Name
Format:
Content: | Face Amount (of Non Disclosed Shareholding Quantity in Account Sub Level)
Numeric of up to 18 positions, maximum 5 decimal places, depending on the Currency.
Face amount of the position, not disclosed. |
| 24 | Name
Format:
Content: | Unit (of Below Threshold Shareholding Quantity in Account Sub Level)
Numeric of up to 18 positions, maximum 17 decimal places.
Number of securities or units not reported because below the established threshold. |
| 25 | Name
Format:
Content: | Face Amount (of Below Threshold Shareholding Quantity in Account Sub Level)
Numeric of up to 18 positions, maximum 5 decimal places, depending on the Currency.
Face amount of the position not reported because below the established threshold. |
| 26 | Name
Format:
Content: | Safekeeping Account (of Disclosure)
Alphanumeric up to 35 positions.
Account code where the position is deposited (SAC or sub-account). |
| 27 | Name
Format:
Content: | Name (of legal Person in Account Holder of Disclosure)
Alphanumeric up to 350 positions.
Name of the legal person owning the disclosed position. |
| 28 | Name
Format:
Content: | Street Name
Text of up to 70 characters.
Free text to identify the street name. |
| 29 | Name
Format:
Content: | Post Code
Text of up to 16 characters.
Free text for post code. |
| 30 | Name
Format:
Content: | Town Name
Text of up to 35 characters.
Free text for town. |
| 31 | Name
Format:
Content: | Country
2-position alphabetic code.
Country code ISO3166. |
| 32 | Name
Format:
Content: | Email Address
Alphanumeric up to 256 positions.
Email. |
| 33 | Name
Format:
Content: | National registration Number (Identification of Legal Person)
Alphanumeric up to 35 positions.
Official number assigned by a national registration authority.
The information of this field will be transferred in HTITU12 format to the issuer as follows:
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	LEI of Legal Person
	Format:	20 alphanumeric positions [A-Z0-9] {18,18} [0-9] {2,2}.
	Content:	LEI code of the legal person.
35	Name	BIC of Legal Person
	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 legal person.
36	Name	Proprietary Identification (Identification of legal person)
	Format:	Alphanumeric up to 35 positions.
	Content:	Identification type assigned by a national registration authority that differs from the list of the three previous fields.
37	Name	Issuer of Proprietary Identification (Identification of legal person)
	Format:	Alphanumeric up to 35 positions.
	Content:	Entity that assigns the above identification.
38	Name	Country of Incorporation
	Format:	2-position alphabetic code.
	Content:	Country code ISO3166.
39	Name	Year of Incorporation
	Format:	4-position alphabetic code. Year represented by YYYY.
	Content:	Year during which the legal entity was officially incorporated. ISO8601.
40	Name	Proprietary Identification of Investor Type
	Format:	Alphanumeric with 4 positions.
	Content:	AEB Subscriber code.
41	Name	Issuer of Proprietary Identification (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.
42	Name	Code of Ownership Type
	Format:	Alphanumeric with 4 positions.
	Content:	Holder type code: USUF: Usufructuary.

OWNR: Owner.

BOWN: Bare owner.

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

- 54 Name Identification
Format: Alphanumeric up to 35 positions.
Content: Official (local) identification assigned by a national registration authority.
- 55 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).
- 56 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.
- 57 Name Issuer of Proprietary Identification code (Identification Type)
Format: Alphanumeric up to 35 positions.
Content: Entity that assigns the above identification.
- 58 Name Nationality
Format: 2-position alphabetic code.
Content: Nationality code of the natural person ISO3166.
- 59 Name Birth Date
Format: ISODate: YYYY-MM-DD.
Content: Date of birth.

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|----|-----------------------------|---|
| 60 | Name
Format:
Content: | Proprietary Identification of Investor Type
Alphanumeric with 4 positions.
AEB subscriber code. |
| 61 | Name
Format:
Content: | Issuer of Proprietary Identification of Investor Type.
Alphanumeric up to 35 positions.
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. |
| 62 | Name
Format:
Content: | Code of Ownership Type
Alphanumeric with 4 positions.
Holder type code:
USUF: Usufructuary
OWNR: Owner
BOWN: Bare owner. |
| 63 | Name
Format:
Content: | Identification of Proprietary (Ownership Type)
Alphanumeric up to 4 positions.
Holder type code:
REPR: Representative. |
| 64 | Name
Format:
Content: | Issuer of Proprietary Identification (Ownership Type)
Alphanumeric up to 35 positions.
Entity that assigns the above identification. |
| 65 | Name
Format:
Content: | Ownership Percentage
Numeric of up to 11 positions, including dot, maximum 10 decimal places.
Percentage ownership. |
| 66 | Name
Format:
Content: | Usufruct Percentage
Numeric of up to 11 positions, including dot, maximum 10 decimal places.
Usufruct percentage. |
| 67 | Name
Format:
Content: | Shareholding Type
Alphanumeric with 4 positions.
Owner Code:
BENE: Beneficial Shareholding.
NOMI: Nominee Shareholding.
OOAC: On Own Account.
UKWN: Unknown. |
| 68 | Name
Format:
Content: | Unit (of Shareholding Balance)
Numeric of up to 18 positions, maximum 17 decimal places.
Number of securities or units, declared position. |
| 69 | Name
Format:
Content: | Face Amount (of Shareholding Balance)
Numeric of up to 18 positions, maximum 5 decimal places, depending on the currency.
Face amount of the declared position. |

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|----|----------|--|
| 70 | Name | Date (Initial Date of Shareholding) |
| | Format: | ISODate: YYYY-MM-DD. |
| | Content: | Start date of the position. |
| 71 | Name | Code of Initial Date of Shareholding |
| | Format: | Alphanumeric with 4 positions. |
| | Content: | To indicate that it is unknown:
UKWN: Unknown. |