



General Meeting messages Market Practice

The Securities Market Practice Group is a group of experts that represents local markets or market infrastructures and who devote their time on a voluntary basis to define global and local market practices for the benefit of the securities industry. The time spent is sponsored by the market players. The market practice documentation and recommendations produced by this organisation are intended to solve common problems across the securities industry, from which financial institutions can derive clear benefits, to harmonise business processes and to facilitate the usage of message protocols ISO 15022 and ISO 20022. While the Securities Market Practice Group encourages the implementation of the market practices it develops it is up to the financial institutions within each market to implement the market practices according to their needs and agreements with their business counterparts to support their businesses as efficiently as possible. For more information on the MP release cycle please refer to the SMPG by-laws document section 4 on www.smpg.info.

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| Changes to previous versions | | | |
|------------------------------|-----------|--------------|---|
| V1.1 | 28-Aug-20 | VI.B IX.A | Add a note for the Resolution/Description element . Update table in the Meeting Instruction message. |
| | | | |

I. Introduction:

The amended Shareholders Rights Directive (EU) 2017/828 (hereinafter “SRD II”) and Implementing Regulation (EU) 2018/1212 (hereinafter “SRD II IR”) aim to encourage long-term shareholder engagement and to improve corporate governance in EU/EEA companies, traded on EU/EEA regulated markets, by enabling shareholders to exercise their voting rights and rights to information across borders. In SRD II, EU/EEA holders of shares traded on regulated markets are to receive notifications of general meetings and for intermediaries to enable shareholders to vote at these general meetings.

The market practice described in this document is based on SRD II and SRD II IR, as well as the Market Standards for General Meetings produced by the Joint Working Group for General Meetings (JWGGM) and the SRDII General Meeting Task Force.

As the SRD II IR is very specific and detailed on the messages to be used, the SMPG would like to highlight that only the ISO 20022 General Meeting messages are compliant with the IR. The use of corporate actions notifications and instructions (in ISO 15022) with corporate action event type code MEET/General meeting, is not compliant with SRD II, but will remain in the ISO standards for general meetings in markets that are not required to be compliant with SRD II.

As part of the migration to ISO 20022 General Meeting messages, it is recommended that any event already announced at the time of the migration is completed in the standard it was announced.

II. Scope and definitions:

The scope of this document is to describe the market practice for using the General Meeting messages, as per SRD II and SRD II IR.

The market practices described in this document are meant to be used exclusively with the following ISO 20022 messages and the business application header (BAH) - head.001.001.02:

| MessageDefinition | Abbreviated Name | Message Identifier |
|---------------------------------------|------------------|--------------------|
| MeetingNotification | MENO | seev.001.001.07 |
| MeetingCancellation | MECN | seev.002.001.06 |
| MeetingEntitlementNotification | MENT | seev.003.001.06 |
| MeetingInstruction | MEIN | seev.004.001.06 |
| MeetingInstructionCancellationRequest | MEIC | seev.005.001.06 |
| MeetingInstructionStatus | MEIS | seev.006.001.06 |
| MeetingVoteExecutionConfirmation | MECO | seev.007.001.06 |
| MeetingResultDissemination | MERD | seev.008.001.06 |

All documentation related to general meetings messages is available in the UHB on-line page on swift.com in the Knowledge Centre: <https://www2.swift.com/knowledgecentre/products/Standards%20MX>

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The updated general meeting messages are available on MyStandard at: <https://www2.swift.com/mystandards/#/ISO20022?businessDomain=Securities> in the “securities events” section. Both PDF or Excel or schemas (with an MS license) can be exported.

The documentation and schemas are also available on the www.ISO20022.org web site: https://www.iso20022.org/securities_messages.page under the “General Meetings” title.

III. Actors and Roles:

The main roles involved in this process:

1. Issuer

The party that has issued the shares and is holding a general meeting.

In the SRD II IR, the definition of issuer is: a company which has its registered office in a Member State¹ and the shares of which are admitted to trading on a regulated market situated or operating within a Member State or a third party nominated by such a company for the tasks set out in this Regulation.

When we refer to issuer in this document, we mean both the issuer and the agent mandated by the issuer (as defined below).

2. Registrar/issuer agent

The agent for the issuer. In the case the issuer CSD does not act as the primary register for the issuance, the registrar performs this function.

3. Issuer CSD

The issuer CSD is the CSD in which the shares have been issued. The issuer CSD is the primary register for the issuance, unless this function is performed by another party such as a registrar. The issuer CSD is in many markets the first intermediary, and it may also be the last intermediary, i.e. for a CSD member's proprietary account or for various types of end investors, in direct-holding markets.

In the SRD II IR, the definition of issuer CSD is: the central securities depository which provides the core service as defined in points 1 or 2 of Section A of the Annex to Regulation (EU) No 909/2014 of the European Parliament and of the Council with respect to the shares traded on a regulated market.

In the SRD II IR, the definition of first intermediary is: the issuer CSD or other intermediary nominated by the issuer, who maintains the share records of the issuer by book-entry at top tier level with respect to the shares traded on a regulated market, or holds those shares at top tier level on behalf of the shareholders of the issuer.

4. Local custodian

The party that acts as CSD member, holding assets on behalf of clients in one or more securities accounts in the books and records of the issuer CSD. The local custodian may be the last intermediary, i.e. a client may be the end investor.

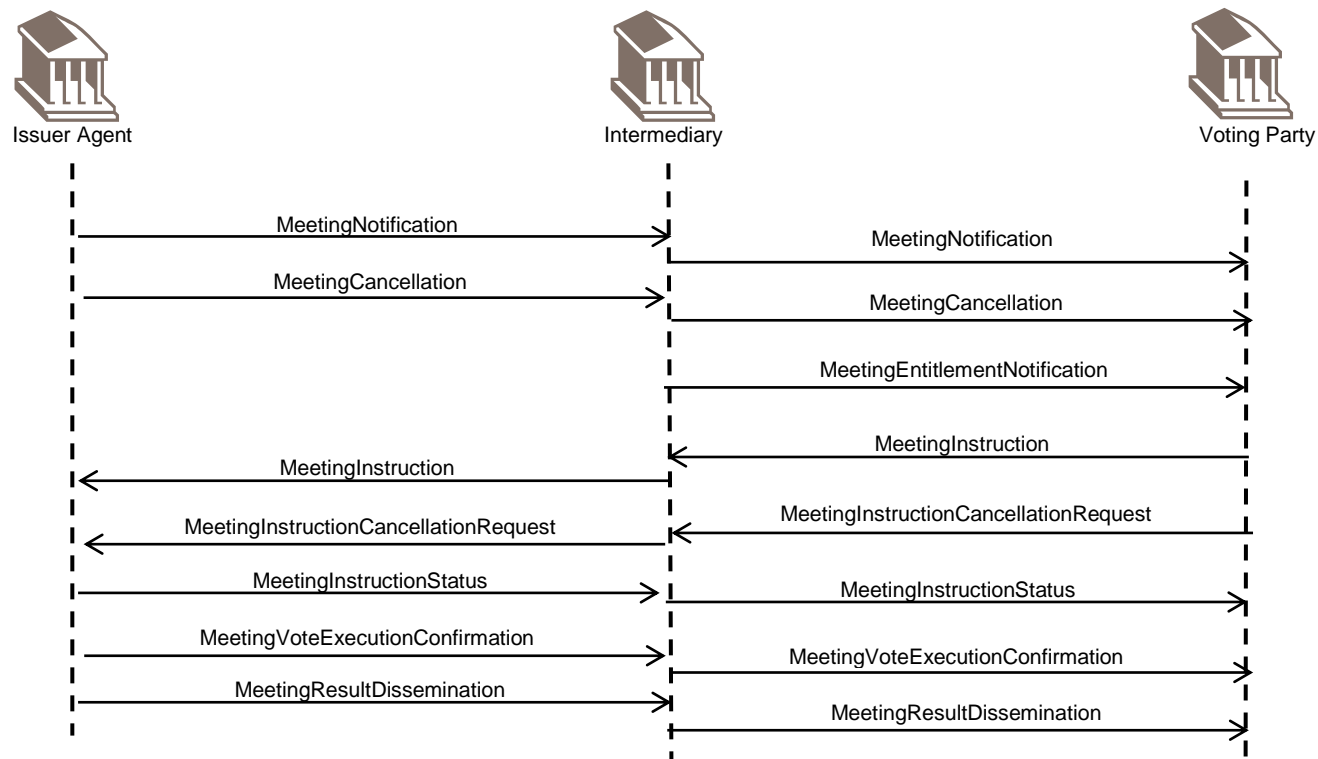
5. Global custodian

The party that acts as client of the CSD member, in turn holding assets on behalf of clients in one or more securities accounts in the books and records of the local custodian. The global custodian may be the last intermediary, i.e. a client may be the end investor.

There may be additional intermediaries. We will limit the market practice to the main roles and actors.

¹ Member state is to be read as EEA Member State.

IV. Activity Diagram:

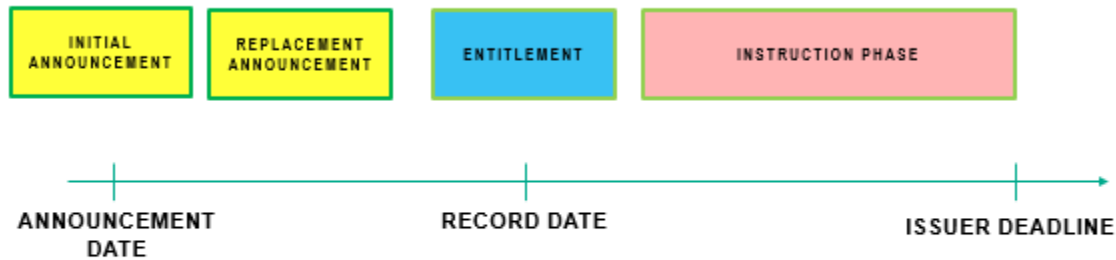


V. Communication Flow:



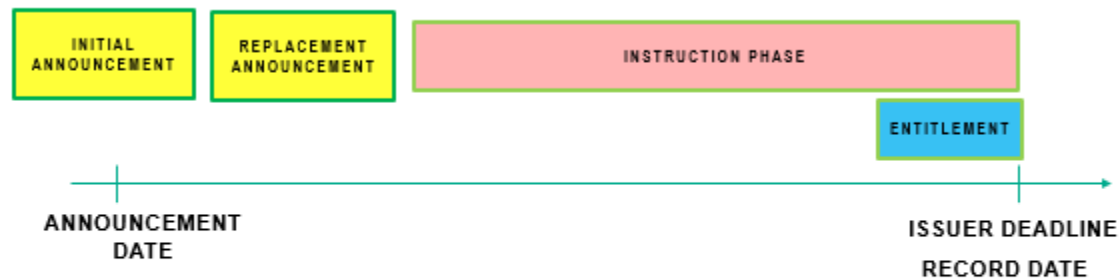
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Possible flows depending on the calendar followed by the issuers:



Announcement date – MENO NEWM
 If any change is made to the announcement – MENO REPL
 Record date – MENT
 During instruction phase – MENO RMDR

In case of events announced late (i.e. past record date), it is recommended that a MENO and a MENT are issued together, one immediately after the other.



Announcement date – MENO NEWM
 If any change is made to the announcement – MENO REPL
 During instruction phase – MENO RMDR
 Record date – MENT

VI. Meeting Notification

A. Scope.

The MeetingNotification message is sent by a notifying party, for example, an issuer, its agent or an intermediary to another intermediary, or a party holding the right to vote to announce a meeting.

For the above-described different communication needs, the following business data are required. Focus is on the processes described in the MP.

B. Common mandatory business data requirements.

The SMPG recommends that all the below optional and mandatory fields be present in all Meeting Notification messages. M / C / O identifies whether the business data is mandatory, conditional or optional in the ISO 20022 standards.

| Common mandatory elements | Place | Detailed usage | M/C/O | SRD II reference |
|--|----------|--|-------|------------------|
| From, <Fr> | BAH | The sender from a business context, which can be different from the actual sender in the transport header (similar to MEOR in MT). BICFI is the preferred format | M | |
| To, <To> | BAH | The receiver from a business context, which can be different from the actual receiver in the transport header (similar to MERE in MT). BICFI is the preferred format | M | |
| BusinessMessageIdentifier, <BizMsgIdr> | BAH | The sender's unique ID/reference of the message | M | |
| MessageDefinitionIdentifier, <MsgDefIdr> | BAH | Contains the MessageIdentifier that defines the BusinessMessage, e.g. seev.001.001.06 | M | |
| CreationDate, <CreDt> | BAH | Date and time, using ISONormalisedDateTime format | M | |
| Notification General Information | | | | |
| NotificationType <NtfctnTp> | Document | A REPL message should only be sent in case of a change in the previously announced general meeting notification. | M | Table 3 – A2 |

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|---|----------|---|---|--|
| | | A RMDR can be sent by an account servicer to an account owner who has not responded providing its participation in a general meeting. This flow is optional and usage/timing is left to SLA. | | |
| NotificationStatus <NtfctnSts> – EventCompletenessStatus <EvtCmpltnsSts> | Document | As per global market practice, a Notification message may be considered complete when there are sufficient details for the client to make a decision. | M | |
| NotificationStatus <NtfctnSts> – EventConfirmationStatus <EvtConfSts> | Document | A Notification message is considered confirmed when officially announced by the issuer. | M | |
| ShareholderRightsDirectiveIndicator <ShrhldrRghtsDrctvInd> | Document | This indicator should be set by the issuer, issuer CSD or first intermediary as follows: <ul style="list-style-type: none"> • It should be set to YES (value “true”) only when the general meeting is in scope of SRD II and the notification/event information has been received from the issuer. Once the indicator has been set to YES because of an announcement received from the issuer CSD or first intermediary, it cannot be changed back to NO. • It should be set to NO (value “false”) when the general meeting is to be intended as in scope of SRDII but the issuer CSD or first intermediary did not receive the notification/event information from the issuer. | C | |

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| | | <ul style="list-style-type: none"> It should not be populated if the general meeting is outside the scope of SRDII. <p>Any other intermediary in the chain should report the value of this indicator as per the value received from the previous intermediary.</p> <p>However, the indicator can be set to NO by an account servicer that did not receive a notification with the indicator via the chain of intermediaries as per SRD II, but deems the event to be in scope of SRD II.</p> | | |
| Notification Update | | | | |
| PreviousNotificationIdentification <PrvsNtfctnId> | Document | It should always be present when sending a REPL or RMDR | C | |
| ReconfirmInstructions <RcnfrmInstrs> | Document | <p>This indicator should be set to YES (value “true”) only if there are changes to the agenda and/or resolutions that may affect previously received meeting instructions.</p> <p>If previously received meeting instructions can no longer be processed/accepted, they should be rejected (reason code OTHR should be used in seev.006).</p> <p>If any new resolution is added to the agenda, the indicator should be set to NO. Rightsholders who had already submitted their votes and want to vote for the new resolution(s) should cancel any previously submitted instruction and submit a new one.</p> | C | |
| Meeting | | | | |
| MeetingIdentification <MtgId> | Document | This is the account servicer identification for the general meeting. It is recommended | O | |

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| | | to be used in all cases, even if the issuer has provided an identification. | | |
| IssuerMeetingIdentification <IssrMtgId> | Document | It must always be used, if provided by the issuer. | O | Table 3 – A1 |
| Type <Tp> | Document | As announced by the issuer. | M | Table 3 – C3 |
| AnnouncementDate <AnncmntDt> | Document | As announced by the issuer. | O | |
| Participation – ParticipationMethod <PrctptnMtd> | Document | This should be used to report the participation method supported by the issuer. Code is the preferred format. <u>Please refer to the table at the end of this section to understand how participation method and vote methods should be used.</u> | M | Table 3 – D1 |
| Participation – IssuerDeadlineForVoting <IssrDdlnForVtng> | Document | To be populated with: <ul style="list-style-type: none"> meeting date and time for participation methods PHYS, PHNV & VIRT issuer deadline for participation methods MAIL, PRXY & EVOT Date/Time in UTC format is the preferred format (YYYY-MM-DDThh:mm:ss.sssZ (Z means Zulu Time ≡ UTC time ≡ zero UTC offset)) | M | Table 3 – D3 |
| AdditionalDocumentationURLAddress <AddtlDcmntnURLAdr> | Document | It should carry the URL to the issuer website where full information on the general meeting is provided. | O | Table 3 – C6 |
| EntitlementFixingDate <EntitlmntFxdDt> | Document | Date/Mode should not be used as record date should always be end of day ² . | O | Table 3 – C5 |
| Meeting Details | | | | |

² Based on the definition in the implementing regulation: “record date” means the date set by the issuer, on which the rights flowing from the shares, including the right to participate and vote in a general meeting, as well as the shareholder identity, shall be determined, based on the settled positions struck in the books of the issuer CSD or other first intermediary by book entry at the close of its business.

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| For meetings where two dates are announced (in case the quorum is not reached by the first date) – e.g. Italy – we recommend to report both dates in the same MENO by repeating meeting details. | | | | |
| DateAndTime <DtAndTm> | Document | DateTime in UTC format is the preferred format (YYYY-MM-DDThh:mm:ss.sssZ (Z means Zulu Time ≡ UTC time ≡ zero UTC offset)) | M | Table 3 – C1&2 |
| QuorumRequired <QrmReqr> | Document | This indicator should be set to YES (value “true”) only if a quorum is required by the issuer or the relevant national law. | M | |
| Location <Lctn> | Document | | M | Table 3 – C4 |
| QuorumQuantity <QrmQty> | Document | To be reported if QuorumRequired is set to YES | O | |
| Issuer <Issr> | Document | NameAndAddress is the preferred format | M | Table 3 – B2 |
| Security | | | | |
| FinancialInstrumentIdentification <FinInstrmId> | Document | ISIN is the preferred format. We recommend issuing a separate meeting notification per ISIN | M | Table 3 – B1 |
| Position – AccountIdentification <AcctId> | Document | Possible market practices: <ul style="list-style-type: none"> • one message per safekeeping account; • one message per client (without any mentioning of the safekeeping account details (equal to GENR in CA) without opening the Position block) • one message repeating account details in the Position block | C | |
| Resolution | | | | |
| IssuerLabel <IssrLabl> | Document | | M | Table 3 – E1 |
| Description <Desc> | Document | As the market practice regarding use of narrative in multiple languages remains pending, once the issuer’s announcement is received by the first intermediary and distributed along the chain of intermediaries, we recommend as an interim measure that the resolutions are transmitted only in English, unless | O | |

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|------------------------------------|----------|---|---|--------------|
| | | otherwise agreed by the receiving and transmitting parties in their SLA. <i>Note: Where the text of the resolution is too long to fit in the description, we recommend to use URLAddress instead.</i> | | |
| Title <Titl> | Document | As the market practice regarding use of narrative in multiple languages remains pending, once the issuer’s announcement is received by the first intermediary and distributed along the chain of intermediaries, we recommend as an interim measure that the resolutions are transmitted only in English, unless otherwise agreed by the receiving and transmitting parties in their SLA. | O | Table 3 – E2 |
| ForInformationOnly <ForInfOnly> | Document | | M | |
| VoteType <VoteTp> | Document | | O | Table 3 – E4 |
| Status <Sts> | Document | | M | |
| VoteInstructionType <VoteInstrTp> | Document | Type is the preferred format. | O | Table 3 – E5 |
| URLAddress <URLAdr> | Document | To be reported only if provided by the issuer | O | Table 3 – E3 |
| Vote | | | | |
| PartialVoteAllowed <PrtlVoteAllwd> | Document | | M | |
| SplitVoteAllowed <SplVoteAllwd> | Document | | M | |
| VoteDeadline <VoteDdln> | Document | To be used to report the account servicer deadline for vote through network. DateTime in UTC format is the preferred format (YYYY-MM-DDThh:mm:ss.sssZ (Z means Zulu Time ≡ UTC time ≡ zero UTC offset)) | O | |
| VoteMarketDeadline <VoteMktDdln> | Document | To be used to report the issuer deadline for electronic votes. | O | |

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|---|----------|---|---|--|
| | | DateTime in UTC format is the preferred format (YYYY-MM-DDThh:mm:ss.sssZ (Z means Zulu Time ≡ UTC time ≡ zero UTC offset)) | | |
| VoteMethods <VoteMthds> | Document | Intended as the direction/address where the vote should be sent to – please refer to the table below to identify how the vote method should be applied based on the participation method. If vote through network is not populated, then the account servicer is not supporting the vote or attendance. The vote deadline will also not be included. | O | |
| BeneficialOwnerDisclosure <BnfclOwnrDsclsr> | Document | This indicator should be set to YES (value “true”) if beneficial owner details should be disclosed when instructing. | M | |

C. Optional business data requirements.

The below optional fields may be provided in a Meeting Notification message but are optional. If used, they must be used as described in the “Detailed usage” column. It is to be noted that most of the usage rules are standards rules, not market practice recommendations. Any other fields not mentioned above or below are considered NOT needed for this specific type of message. If used, they will be market-specific.

| Common optional elements | Place | Detailed usage | M/C/O | SRD II reference |
|--|----------|---|-------|------------------|
| Events Linkage | | | | |
| EventIdentification <EvtId> | Document | To be used to report the details of another general meeting (e.g. a court meeting that will follow an extraordinary general meeting). IssuerMeetingIdentification is the preferred format. | O | |
| Meeting | | | | |
| Classification <Clssfctn> | Document | Only Code is recommended | O | |
| Attendance – AdmissionConditions <AdmssnConds> | Document | It should only be used if the method of participation is PHYS, PHNV or VIRT. | O | |

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| Attendance – ConfirmationInformation <ConfInf> | Document | It should be used to specify how the rightsholder should order the attendance card or give notice of attendance. It should only be used if the method of participation is PHYS, PHNV or VIRT | O | |
| Attendance – ConfirmationDeadline <ConfDdln> | Document | It indicates the account servicer deadline to request attendance. DateTime in UTC format is the preferred format (YYYY-MM-DDThh:mm:ss.sssZ (Z means Zulu Time ≡ UTC time ≡ zero UTC offset)) It should only be used if the method of participation is PHYS, PHNV or VIRT | O | |
| Attendance – ConfirmationMarketDeadline <ConfMktDdln> | Document | It indicates the issuer deadline to request attendance. DateTime in UTC format is the preferred format (YYYY-MM-DDThh:mm:ss.sssZ (Z means Zulu Time ≡ UTC time ≡ zero UTC offset)) It should only be used if the method of participation is PHYS, PHNV or VIRT | O | |
| AdditionalProcedureDetails – AdditionalRight | Document | In case of additional rights that can be exercised at the meeting, we recommend to at least use AdditionalRightDeadline <AddtlRghtDdln> and AdditionalRightMarketDeadline<AddtlRghtMktDdln>. DateTime in UTC format is the preferred format (YYYY-MM-DDThh:mm:ss.sssZ (Z means Zulu Time ≡ UTC time ≡ zero UTC offset)) | O | Table 3 – F1&2 |
| ProxyChoice – Proxy – RegistrationMethod <RegnMtd> | Document | To specify how to register the proxy. | O | |
| ProxyChoice – Proxy – Deadline | Document | To report the account servicer deadline by which the rightsholder needs to appoint a proxy. DateTime in UTC format is the preferred format (YYYY-MM-DDThh:mm:ss.sssZ (Z means Zulu Time ≡ UTC time ≡ zero UTC offset)) | O | |
| ProxyChoice – Proxy – Market Deadline | Document | To report the issuer deadline by which the rightsholder needs to appoint a proxy. | O | |

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|--|----------|---|---|--|
| | | DateTime in UTC format is the preferred format (YYYY-MM-DDThh:mm:ss.sssZ (Z means Zulu Time ≡ UTC time ≡ zero UTC offset)) | | |
| ProxyChoice – Proxy – AuthorisedProxy | Document | As announced by the issuer. Options available include: CHRM – chairman; DISC – discretionary – to be used when the issuer allows the rightsholder to appoint any third party as a proxy; HLDR – security holder- to be used when the proxy can/must be a security holder. To overcome C16 ProxyAppointment1Rule in the MENO, we recommend to put “name” in Name <Nm>, “country” in Country <Ctry> and “ID” in Identification <Id>. | O | |
| ProxyChoice – ProxyNotAllowed | Document | Only to be used if proxy is not allowed | O | |
| ResultPublicationDate <RsltPblctnDt> | Document | As announced by the issuer. | O | |
| SecuritiesBlockingPeriodEndDate <SctiesBlckgPrdEndDt> | Document | In line with SRDI & II, this should be equal to record date | O | |
| RegistrationSecuritiesDeadline <RegnSctiesDdln> | Document | To be used in those markets where shares need to be re-registered in order to vote/attend. DateTime in UTC format is the preferred format (YYYY-MM-DDThh:mm:ss.sssZ (Z means Zulu Time ≡ UTC time ≡ zero UTC offset)). | O | |
| RegistrationSecuritiesMarketDeadline <RegnSctiesMktDdln> | Document | To be used in those markets where shares need to be re-registered in order to vote/attend. DateTime in UTC format is the preferred format (YYYY-MM-DDThh:mm:ss.sssZ (Z means Zulu Time ≡ UTC time ≡ zero UTC offset)) | O | |
| RegistrationParticipationDeadline <RegnPrtcptnDdln> | Document | To report the account servicer deadline by which the rightsholder needs to register its intention to participate in the meeting process to be allowed to participate in the meeting event. DateTime in UTC format is the preferred format (YYYY-MM-DDThh:mm:ss.sssZ (Z means Zulu Time ≡ UTC time ≡ zero UTC offset)) | O | |

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|--|----------|--|---|--------------|
| | | <p>For <u>general meetings requiring physical attendance</u>, this date should not be used. Instead, we recommend using the attendance confirmation deadline (as above).</p> <p>For <u>general meetings allowing for electronic voting</u>, this date should not be used. Instead, we recommend using the vote deadline.</p> | | |
| RegistrationParticipationMarketDeadline <RegnPrtcptnMktDdlIn> | Document | <p>To report the issuer deadline by which the rightsholder needs to register its intention to participate in the meeting process to be allowed to participate in the meeting event.</p> <p>DateTime in UTC format is the preferred format (YYYY-MM-DDThh:mm:ss.sssZ (Z means Zulu Time ≡ UTC time ≡ zero UTC offset))</p> <p>For <u>general meetings requiring physical attendance</u>, this date should not be used. Instead, we recommend using the attendance confirmation market deadline (as above).</p> <p>For <u>general meetings allowing for electronic voting</u>, this date should not be used. Instead, we recommend using the vote market deadline.</p> | O | Table 3 – D2 |
| Meeting Details | | | | |
| DateStatus <DtSts> | Document | | O | |
| Security | | | | |
| Position - HoldingBalance <HldgBal> | Document | <p>For NEWM and REPL messages sent before record date, it is recommended not to report the ELIG balance type.</p> <p>For RMDR messages sent after record date, it is recommended to report ELIG, UNBA and INBA balance types.</p> <p>For RMDR messages sent before record date, the ELIG balance type can be included, along with UNBA and INBA, but it has to be considered as provisional as the message is sent prior to entitlement date.</p> | O | |
| Resolution | | | | |

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|--|----------|--|---|--|
| SubmittedBySecurityHolder <SubmittdBySctyHldr> | Document | Only to be used if set to YES | O | |
| ManagementRecommendation <MgmtRcmmndtn> | Document | Only to be used for resolutions submitted by rightsholders or any other party that is not the management | O | |
| VotingRightsThresholdForApproval <VtngRghtsThrshldForAprvl> | Document | Only to be used to report a threshold. | O | |
| Vote | | | | |
| RevocabilityDeadline <RvcbltyDdln> | Document | To report the account servicer deadline by which the instructing party can revoke, change or withdrawn its voting instruction. DateTime in UTC format is the preferred format (YYYY-MM-DDThh:mm:ss.sssZ (Z means Zulu Time ≡ UTC time ≡ zero UTC offset)) | O | |
| RevocabilityMarketDeadline <RvcbltyMktDdln> | Document | To report the issuer deadline by which the instructing party can revoke, change or withdrawn its voting instruction. DateTime in UTC format is the preferred format (YYYY-MM-DDThh:mm:ss.sssZ (Z means Zulu Time ≡ UTC time ≡ zero UTC offset)) | O | |
| IncentivePremium – Description | Document | Description of the premium | O | |
| IncentivePremium – Amount | Document | To record the amount of the premium. According to the practice in the Spanish market, this is an amount per vote, to be reported as currency and amount (e.g. €1.50). | O | |
| IncentivePremium – Type | Document | To indicate the type of premium: - per security - per vote - per attendee | O | |

| | | | | |
|--|----------|--|---|--|
| | | According to the practice in the Spanish market, this is an amount per vote. | | |
| IncentivePremium – PaymentDate | Document | Unless, the date is known at the time of the announcement, the recommendation is to report this as DateCode UKWN. | O | |
| VoteWithPremiumDeadline <VoteWthPrmDdln> | Document | To report the deadline by which the vote instructions should be submitted to the account servicer to take advantage of the premium. DateTime in UTC format is the preferred format (YYYY-MM-DDThh:mm:ss.sssZ (Z means Zulu Time ≡ UTC time ≡ zero UTC offset)) According to the practice in the Spanish market, this is the account servicer deadline to vote. | O | |
| VoteWithPremiumMarketDeadline <VoteWthPrmMktDdln> | Document | To report the deadline by which the vote instructions should be submitted to the issuer to take advantage of the premium. DateTime in UTC format is the preferred format (YYYY-MM-DDThh:mm:ss.sssZ (Z means Zulu Time ≡ UTC time ≡ zero UTC offset)) According to the practice in the Spanish market, this is the issuer deadline to vote. | O | |

| Participation method ³ | | Vote methods | |
|---|------|--|--------------------|
| Participation via mail – votes are submitted via a letter/card | MAIL | Votes are transmitted through the custody chain | VoteThroughNetwork |
| | | Votes are submitted to the issuer via post | VoteByMail |
| Participation in person (with voting) – Participation is needed to cast votes. Votes are registered by physical ballots or show of hands. | PHYS | Votes are transmitted through the custody chain and by requesting attendance for the rightsholder or an agent appointed by the rightsholder to attend the meeting. | VoteThroughNetwork |

³ They are not mutually exclusive and multiple can be used in the same notification if the issuer offers multiple methods. Due to network validation rule C12 in the MeetingInstruction message (ProxyRule), even if the custodians can offer a proxy service for meeting requiring physical attendance, both PHYS and PRXY should be used.

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| | | | |
|---|------|--|--------------------|
| <u>Participation in person without voting</u> | PHNV | N/A – this participation method is to request attendance without voting | N/A |
| <u>Participation through proxy</u> – issuer initiated by providing an unbiased middleman to cast the votes at the meeting. | PRXY | Votes are transmitted through the custody chain | VoteThroughNetwork |
| <u>Virtual participation</u> – the meeting is virtually held with votes submitted electronically or via phone. | VIRT | Votes are transmitted through the custody chain | VoteThroughNetwork |
| | | Votes are submitted to the issuer via attending a virtual meeting (e.g. via Skype) | URLAddress |
| | | Votes are submitted to the issuer via attending a conference call | VoteByTelephone |
| <u>Electronic voting (voting by correspondence)</u> – Vote participation is through electronic means such as dedicated standards messaging. | EVOT | Votes are transmitted through the custody chain | VoteThroughNetwork |

VII. Meeting Cancellation Advice

A. Scope.

The MeetingCancellation message is sent by the party that sent the MeetingNotification message to the original receiver. It is sent to cancel a previously announced meeting or to advise the withdrawal of a meeting. In case of meeting events with multiple meeting dates, the MeetingCancellation message should not be used to advise the cancellation of one of the meeting dates.

For the above-described different communication needs, the following business data are required. Focus is on the processes described in the MP.

B. Common mandatory business data requirements.

The SMPG recommends that all the below optional and mandatory fields be present in all Meeting Cancellation Advice messages. M / C / O identifies whether the business data is mandatory, conditional or optional in the ISO 20022 standards.

| Common mandatory elements | Place | Detailed usage | M/C/O | SRD II reference |
|--|----------|--|-------|------------------|
| From, <Fr> | BAH | The sender from a business context, which can be different from the actual sender in the transport header (similar to MEOR in MT). BICFI is the preferred format | M | |
| To, <To> | BAH | The receiver from a business context, which can be different from the actual receiver in the transport header (similar to MERE in MT). BICFI is the preferred format | M | |
| BusinessMessageIdentifier, <BizMsgIdr> | BAH | The sender's unique ID/reference of the message | M | |
| MessageDefinitionIdentifier, <MsgDefIdr> | BAH | Contains the MessageIdentifier that defines the BusinessMessage, e.g. seev.002.001.06 | M | |
| CreationDate, <CreDt> | BAH | Date and time, using ISONormalisedDateTime format | M | |
| Meeting Reference | | | | |
| MeetingIdentification <MtgId> | Document | This is the account servicer identification for the general meeting. It is recommended to be used in all cases, even if the issuer has provided an identification | M | |

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| | | | | |
|--|----------|---|---|--|
| IssuerMeetingIdentification <IssrMtgId> | Document | It must always be used, if provided by the issuer. | O | |
| Type <Tp> | Document | | M | |
| Security | | | | |
| FinancialInstrumentIdentification <FinInstrmId> | Document | ISIN is the preferred format. | M | |
| Position – AccountIdentification <AcctId> | Document | <p>Possible market practices:</p> <ul style="list-style-type: none"> • one message per safekeeping account; • one message per client (without any mentioning of the safekeeping account details (equal to GENR in CA) without opening the Position block) • one message repeating account details in the Position block | M | |
| Reason | | | | |
| CancellationReasonCode <CxlRsnCd> | Document | <p>WITH is to be used only in case of a cancellation/withdrawal triggered by the issuer.</p> <p>PROC is to be used in case of a processing error of the account servicer.</p> <p>QORC is to be used only if the meeting has not been held due to insufficient quorum. If the meeting has been held but no resolution approved due to lack of quorum, the meeting result dissemination could be used to report this.</p> | M | |



C. Optional business data requirements.

The below optional fields may be provided in a Meeting Cancellation Advice message but are optional. If used, they must be used as described in the “Detailed usage” column. It is to be noted that most of the usage rules are standards rules, not market practice recommendations. Any other fields not mentioned above or below are considered NOT needed for this specific type of message. If used, they will be market-specific.

| Common optional elements | Place | Detailed usage | M/C/O | SRD II reference |
|------------------------------------|----------|---|-------|------------------|
| Meeting Reference | | | | |
| MeetingDateAndTime <MtgDtAndTm> | Document | If used, only the first meeting date and time should be reported. | O | |

VIII. Meeting Entitlement Notification

A. Scope.

The MeetingEntitlementNotification is sent by an account servicer to the account owner to advise the entitlement in relation to a meeting.

For meeting with a record date, a MeetingEntitlementNotification should be issued after the record date has been struck. For events where record date is equal to issuer deadline, it could be generated on the issuer deadline, based on SLA arrangement between the parties.

For late events announced after the record date, both a MeetingNotification and a MeetingEntitlementNotification should be issued with the eligible balanced confirmed in the MeetingEntitlementNotification.

For the above-described different communication needs, the following business data are required. Focus is on the processes described in the MP.

B. Common mandatory business data requirements.

The SMPG recommends that all the below optional and mandatory fields be present in all Meeting Entitlement Notification messages. M / C / O identifies whether the business data is mandatory, conditional or optional in the ISO 20022 standards.

| Common mandatory elements | Place | Detailed usage | M/C/O | SRD II reference |
|--|----------|--|-------|------------------|
| From, <Fr> | BAH | The sender from a business context, which can be different from the actual sender in the transport header (similar to MEOR in MT). BICFI is the preferred format | M | |
| To, <To> | BAH | The receiver from a business context, which can be different from the actual receiver in the transport header (similar to MERE in MT). BICFI is the preferred format | M | |
| BusinessMessageIdentifier, <BizMsgIdr> | BAH | The sender's unique ID/reference of the message | M | Table 4 – A1 |
| MessageDefinitionIdentifier, <MsgDefIdr> | BAH | Contains the MessageIdentifier that defines the BusinessMessage, e.g. seev.003.001.06 | M | Table 4 – A4 |
| CreationDate, <CreDt> | BAH | Date and time, using ISONormalisedDateTime format | M | |
| Notification Type | | | | |
| NotificationType, <NtfctnTp> | Document | A REPL message should only be sent in case of a change in the previously announced entitlement. | M | |

| Previous Entitlement Notification Identification | | | | |
|---|----------|---|---|--------------|
| PreviousEntitlementNotificationIdentification, <PrvsEntitlmtNtfctnId> | Document | Recommended to be used for REPL | O | |
| Meeting Reference | | | | |
| MeetingIdentification <MtgId> | Document | This is the account servicer identification for the general meeting. It is recommended to be used in all cases, even if the issuer has provided an identification | O | |
| IssuerMeetingIdentification <IssrMtgId> | Document | It must always be used, if provided by the issuer. | O | Table 4 – A3 |
| MeetingDateAndTime <MtgDtAndTm> | Document | DateTime in UTC format is the preferred format (YYYY-MM-DDThh:mm:ss.sssZ (Z means Zulu Time ≡ UTC time ≡ zero UTC offset)) | M | |
| Type <Tp> | Document | | M | |
| Issuer | | | | |
| Issuer <Issr> | Document | NameAndAddress is the preferred format. | M | Table 4 – A2 |
| Security (the Message Building Block is repetitive, but SMPG recommends to only include one Security block per meeting event. | | | | |
| FinancialInstrumentIdentification <FinInstrmId> | Document | ISIN is the preferred format. It is recommended to have a separate confirmation of entitlement per meeting event and ISIN. | M | Table 4 – A5 |
| Position – AccountIdentification <AcctId> | Document | Possible market practices: <ul style="list-style-type: none"> • one message per safekeeping account; • one message repeating account details in the Position block | M | Table 4 – B3 |
| Position – HoldingBalance – Balance <Bal> | Document | | M | Table 4 – B2 |
| Position – HoldingBalance – BalanceType <BalTp> | Document | ELIG should always be present. | M | Table 4 – B2 |
| Eligibility | | | | |
| EntitlementFixingDate <EntitlmtFvgDt> | Document | ISODate should be used as the record date should always be end of day. | M | Table 4 – B1 |

C. Optional business data requirements.

The below optional fields may be provided in a Meeting Entitlement Notification message but are optional. If used, they must be used as described in the “Detailed usage” column. It is to be noted that most of the usage rules are standards rules, not market practice recommendations. Any other fields not mentioned above or below are considered NOT needed for this specific type of message. If used, they will be market-specific.

| Common optional elements | Place | Detailed usage | M/C/O | SRD II reference |
|-------------------------------------|----------|--|-------|------------------|
| MeetingReference | | | | |
| Classification <Clssfctn> | Document | Only Code is recommended | O | |
| Security | | | | |
| Position – AccountOwner <AcctOwnr> | Document | According to SRDII IR, the last intermediary should report the details of the account holder including: <ul style="list-style-type: none"> • Name⁴; • Identifier⁵. | O | Table 4 – B4 |
| Position – RightsHolder <RghtsHldr> | Document | According to SRDII IR, the last intermediary should report the details of the rightsholder including: <ul style="list-style-type: none"> • Name⁶; • Identifier⁷. | O | Table 4 – C1&2 |

⁴ Legal name for a legal person. For a natural person, first name and surname.

⁵ For a legal person: LEI, unique national registration number preceded by the country code for its country of registration, BIC code or unique client code. For a natural person, as defined in article 6 of Commission Delegated Regulation (EU) 2017/590.

⁶ Legal name for a legal person. For a natural person, first name and surname.

⁷ For a legal person: LEI, unique national registration number preceded by the country code for its country of registration, BIC code or unique client code. For a natural person, as defined in article 6 of Commission Delegated Regulation (EU) 2017/590.

IX. Meeting Instruction

A. Scope.

The MeetingInstruction message is sent by a party holding the right to vote to an intermediary, the issuer or its agent to request the receiving party to act upon one or several instructions.

We have listed below three possible scenarios on how rightsholders can use the MeetingInstruction message to pass on their instructions:

- electronic vote and/or vote through network;
- attendance request;
- re-registration

The examples are not mutually exclusive and can be used in the same message if applicable to the market or service.

When a rightsholder wants to instruct multiple actions for the same meeting (e.g. pass on its votes and request attendance), we recommend to have all such elements in the same instruction (e.g. one instruction to provide voting details and request attendance), unless otherwise specified in local market practice. As a result, unless significantly different deadlines apply to each element, where an instruction has been sent for only one element (e.g. registration), a cancellation should be sent prior to send a complete instruction (registration + vote + attendance).

For the above-described different communication needs, the following business data are required. Focus is on the processes described in the MP. Please refer to the enclosed table to better understand how the message should be formatted across the various “voting” scenarios:

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| Method of participation MENO | Voting Scenarios | Proxy block MEIN | Proxy Type MEIN | Vote Details block MEIN | Meeting Attendee block MEIN | Meeting Attendee details MEIN | Method of participation MEIN | Message restrictions |
|--|--|----------------------------|---|--|---------------------------------------|---|--|--|
| EVOT | Holder wants to cast electronic votes | NO | N/A | YES | NO | N/A | EVOT | none |
| PHYS PRXY | Holder appoints chairman | YES | CHMR – no PrssgndPrxy or AttndncCardDtls needed | YES | NO | N/A | PRXY | C12 – PRXY in the MENO C16 – it's only a guideline & we agreed to ignore it |
| PHYS PRXY | Holder appoints own lawyer (or similar) to attend & vote | YES | DISC – PrssgndPrxy to record name and ID of lawyer AttndncCardDtls to record delivery method | NO YES only if votes have to be disclosed in advance of the meeting | NO | N/A | PRXY | C11 – OK C12 – we need to recommend PRXY in the MENO even if the correct method of participation is PHYS C16 to be ignored |
| PHYS PRXY | Holder appoints another holder to attend & vote | YES | HLDR – PrssgndPrxy to record name and ID of holder AttndncCardDtls to record delivery method | NO YES only if votes have to be disclosed in advance of the meeting | NO | N/A | PRXY | C11 – OK C12 – we need to recommend PRXY in the MENO even if the correct method of participation is PHYS C16 to be ignored |

| | | | | | | | | |
|--------------|---|-----|---|--|-----|---|------|--|
| PHYS PRXY | Holder appoints the custodian to attend & vote (where a generic POA is in place to grant representation) | NO | N/A | YES | NO | N/A | PRXY | |
| PHYS PRXY | Holder appoints the custodian to attend & vote (where a meeting specific POA is needed to grant representation) | YES | DISC – PrssendPrxy to record name and ID of the sub-custodian AttdncCardDtls to record delivery method | YES | NO | N/A | PRXY | C11 – OK C12 – we need to recommend PRXY in the MENO even if the correct method of participation is PHYS C16 to be ignored |
| PHYS | Holder wants to attend & vote at the meeting | NO | N/A | NO YES only if votes have to be disclosed in advance of the meeting | YES | Only Delivery Method | PHYS | C8 - OK |
| PHNV PHYS | Holder wants to request for a representative to attend & NOT vote at the meeting | NO | N/A | NO | YES | PrssendPrxy to record name and ID of holder AttdncCardDtls to record delivery method | PHYS | C8 - OK |

Scenario 1 – electronic vote and/or vote through network

The account owner can:

- i. send one instruction per message or several instructions within the same message;
- i. vote for the resolutions that are part of the agenda and also provide a vote indication for resolutions that may arise at the meeting;
- ii. when voting for the resolutions that are part of the agenda, provide vote instructions for each resolution or provide one single vote instruction to cover all agenda resolutions;
- iii. when providing votes for each resolution, instruct specifying the instructed quantity of voting rights per resolution or specifying a vote instruction per resolution for the entire entitlement.

Scenario 1 is applicable

- for voting instructions sent for meetings with electronic voting;

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- for voting instructions sent “through network” for meetings with voting representation service (physical attendance markets, where the local/sub custodian provides a representative);
- for voting instructions sent “through network” for meetings with proxy voting (the local/sub custodian sends a proxy to the issuer/registrar);

All three “sub-scenarios” should be as similar as possible from an instruction perspective. For the last two cases, the intermediary that forwards the instruction to the CSD/registrar/issuer will add the details, if any, necessary to comply with local requirements.

If the rightsholder wants to appoint the chairman of the meeting or another party as proxy, it should use the Proxy <Prxy> part of the MeetingInstruction message reporting CHRM, DISC or HLDR, based on the options notified in the MENO (seev.001).

All voting instructions, whether electronic voting is allowed or proxy is used, should be provided using the Vote Details block and not the Proxy one, despite the guidelines indicated in C16 VoteInstruction1Guideline.

For re-registration/registration markets, if SecuritiesRegistration <SctiesRegn> is included in the instruction, it must be set to Yes. If SecuritiesRegistration <SctiesRegn> is not included, the registration request is “assumed” as otherwise the voting instruction cannot be executed.

For markets where notification of participation/attendance card is required, unless specific details are required due to national regulation or market practice, a voting instruction should not include any such details, as the notification process will be performed by the provider as otherwise the voting instruction cannot be executed.

B. Common mandatory business data requirements.

The SMPG recommends that all the below optional and mandatory fields be present in all Meeting instruction messages. M / C / O identifies whether the business data is mandatory, conditional or optional in the ISO 20022 standards.

| Common mandatory elements | Place | Detailed usage | M/C/O | SRD II reference |
|---------------------------|-------|--|-------|------------------|
| From, <Fr> | BAH | The sender from a business context, which can be different from the actual sender in the transport header (similar to MEOR in MT). BICFI is the preferred format | M | |
| To, <To> | BAH | The receiver from a business context, which can be different from the actual receiver in the transport header (similar to MERE in MT). BICFI is the preferred format | M | |

| | | | | |
|---|----------|---|---|--------------|
| BusinessMessageIdentifier, <BizMsgIdr> | BAH | The sender's unique ID/reference of the message | M | |
| MessageDefinitionIdentifier, <MsgDefIdr> | BAH | Contains the MessageIdentifier that defines the BusinessMessage, e.g. seev.004.001.06 | M | Table 5 – A2 |
| CreationDate, <CreDt> | BAH | Date and time, using ISONormalisedDateTime format | M | |
| Meeting Reference | | | | |
| MeetingIdentification <MtgId> | Document | This is the account servicer identification for the general meeting. It is recommended to be used in all cases, even if the issuer has provided an identification | O | |
| IssuerMeetingIdentification <IssrMtgId> | Document | It could be used, if provided by the issuer, in addition to the MeetingIdentification, based on the SLA in place between the account servicer and account owner. | C | Table 5 – A3 |
| MeetingDateAndTime <MtgDtAndTm> | Document | DateTime in UTC format is the preferred format (YYYY-MM-DDThh:mm:ss.sssZ (Z means Zulu Time ≡ UTC time ≡ zero UTC offset)) | M | |
| Type <Tp> | Document | | M | |
| Financial Instrument Identification | | | | |
| FinancialInstrumentIdentification <FinInstrmId> | Document | ISIN is the preferred format. | M | Table 5 – A4 |
| Instruction | | | | |
| SingleInstructionIdentification <SnglInstrId> | Document | This is the account owner's reference for each individual instruction that is part of the MeetingInstruction message. | M | Table 5 – A1 |
| VoteExecutionConfirmation <VoteExctnConf> | Document | This indicator should be set to YES (value "true") to have the voting instruction confirmed in a VoteExecutionConfirmation message. | M | |
| AccountDetails - AccountIdentification <AcctId> | Document | | M | |

| | | | | |
|---|----------|--|---|----------------|
| AccountDetails - InstructedBalance - Balance <Bal> | Document | QALL should only be used if the intermediary's deadline is prior to record date and the assets are held in an individually segregated account. | M | |
| AccountDetails - RightsHolder <RghtsHldr> | Document | According to SRDII IR, the intermediary should report the details of the rightsholder including: <ul style="list-style-type: none"> • Name⁸; • Identifier⁹. The last intermediary may provide the details of the rightsholders based on SLA arrangement. | O | Table 5 – B2&3 |
| Proxy – to be used only if the rightsholder wants to appoint his/her “own” representative (i.e. not one offered by the issuer and/or local custodians) or the chairman. | | | | |
| ProxyType <PrxyTp> | Document | CHRM to be used to appoint the chairman. Vote instructions for the chairman are to be reported under VoteDetails. If DISC or HLDR are used to appoint the rightsholder's own representative, the personal details of the representative are to be included in this block (PersonDetails <PrsnDtls> - PreassignedProxy <PrssgndPrxy>) along with the delivery method in the AttendanceCardDetails. No vote details are to be indicated in VoteDetails as the personal representative of the rightsholder will attend the meeting and the Meeting Attendee block should not be used for the personal representative. | C | |
| PersonDetails <PrsnDtls> - PreassignedProxy <PrssgndPrxy> | Document | According to SRDII IR, the intermediary should report the details of the proxy including: | C | Table 5 – B4&5 |

⁸ Legal name for a legal person. For a natural person, first name and surname.

⁹ For a legal person: LEI, unique national registration number preceded by the country code for its country of registration, BIC code or unique client code. For a natural person, as defined in article 6 of Commission Delegated Regulation (EU) 2017/590.

| | | | | |
|--|----------|---|---|----------------|
| | | <ul style="list-style-type: none"> • Name¹⁰; • Identifier¹¹. | | |
| AttendanceCardDetails <AttndncCardDtls> | Document | As stated above, to be used for attendance card details for the personal representative of the rightsholder. | | |
| Vote Details | | | | |
| VoteDetails - VoteInstructionForAgendaResolution | Document | To provide vote instructions for the resolutions that are announced via the meeting agenda. | C | |
| OPTION A VoteDetails – VoteInstructionForAgendaResolution - VotePerAgendaResolution <VotePerAgndRsltn> | Document | Vote instruction is provided individually for each agenda resolution. To be repeated for all resolutions in the agenda. | C | |
| OPTION A.1 VotePerAgendaResolution - VoteInstruction <VoteInstr> | Document | Instruction specifying the instructed quantity of voting rights per resolution. <u>This option is to be used for split votes</u> , e.g. when the rightsholder will, for a specific resolution, vote For for part of the instructed balance and Against for part of the instructed balance. | C | |
| VotePerAgendaResolution - VoteInstruction - IssuerLabel <IssrLabl> | Document | | C | Table 5 – C1 |
| VotePerAgendaResolution - VoteInstruction - For <For> | Document | Number of votes in favour – the number of votes reported per VoteInstructionType should be equal to the instructed balance. | C | Table 5 – C2&3 |
| VotePerAgendaResolution - VoteInstruction - Against <Agnst> | Document | Number of votes against – the number of votes reported per VoteInstructionType should be equal to the instructed balance. | C | Table 5 – C2&3 |
| VotePerAgendaResolution - VoteInstruction - Abstain <Abstn> | Document | Number of abstention votes – the number of votes reported per VoteInstructionType should be equal to the instructed balance. | C | Table 5 – C2&3 |

¹⁰ Legal name for a legal person. For a natural person, first name and surname.

¹¹ For a legal person: LEI, unique national registration number preceded by the country code for its country of registration, BIC code or unique client code. For a natural person, as defined in article 6 of Commission Delegated Regulation (EU) 2017/590.

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| | | | | |
|---|----------|--|---|----------------|
| VotePerAgendaResolution - VoteInstruction - Withhold <Wthhld> | Document | Number of votes withheld – the number of votes reported per VoteInstructionType should be equal to the instructed balance. | C | Table 5 – C2&3 |
| VotePerAgendaResolution - VoteInstruction - WithManagement <WthMgmt> | Document | Number of votes in line with the votes of the management – the number of votes reported per VoteInstructionType should be equal to the instructed balance. | C | Table 5 – C2&3 |
| VotePerAgendaResolution - VoteInstruction - AgainstManagement <AgnstMgmt> | Document | Number of votes against the voting recommendation of the management – the number of votes reported per VoteInstructionType should be equal to the instructed balance. | C | Table 5 – C2&3 |
| VotePerAgendaResolution - VoteInstruction - OneYear <OneYr> | Document | Number of votes in favour for one year for "say on pay" type of resolution – the number of votes reported per VoteInstructionType should be equal to the instructed balance. | C | Table 5 – C2&3 |
| VotePerAgendaResolution - VoteInstruction - TwoYears <TwoYrs> | Document | Number of votes in favour of two years for "say on pay" type of resolution – the number of votes reported per VoteInstructionType should be equal to the instructed balance. | C | Table 5 – C2&3 |
| VotePerAgendaResolution - VoteInstruction - ThreeYears <ThreeYrs> | Document | Number of votes in favour of three years for "say on pay" type of resolution – the number of votes reported per VoteInstructionType should be equal to the instructed balance. | C | Table 5 – C2&3 |
| VotePerAgendaResolution - VoteInstruction - NoAction <NoActn> | Document | No action – the number of votes reported per VoteInstructionType should be equal to the instructed balance. | C | Table 5 – C2&3 |
| VotePerAgendaResolution - VoteInstruction - Blank <Blnk> | Document | Vote is cast as empty but the vote is counted – the number of votes reported per VoteInstructionType should be equal to the instructed balance. | C | Table 5 – C2&3 |
| OPTION A.2 VotePerAgendaResolution - GlobalVoteInstruction <GblVoteInstr> | Document | Instruction specifying a vote instruction per resolution for the instructed balance. | C | |

| | | | | |
|---|----------|--|---|------------------|
| VotePerAgendaResolution - GlobalVoteInstruction - IssuerLabel <IssrLabl> | Document | | C | Table 5 – C1 |
| VotePerAgendaResolution - GlobalVoteInstruction – VoteOption <VoteOptn> | Document | Type is the recommended format. CHRM and DISC should not be used. | C | Table 5 – C2&3 |
| OPTION B VoteDetails – VoteInstructionForAgendaResolution - VoteForAllAgendaResolutions <VoteForAllAgndRsltns> | Document | One single vote instruction is provided to cover all agenda resolutions. To be used for a vote instruction where all resolutions receive the same vote type. Type is the recommended format. CHRM and DISC should not be used. | C | Table 5 – C1,2&3 |
| VoteDetails – VoteInstructionForMeetingResolution <VoteInstrForMtgRsltn> | Document | To provide vote instructions for the resolutions that that may arise at the meeting but were not previously provided in the agenda. | C | |
| VoteDetails – VoteInstructionForMeetingResolution - VoteIndication <VoteIndctn> | Document | Vote recommendation for resolutions added during the meeting. Type is the recommended format. | C | |
| Specific Instruction Request | | | | |
| ParticipationMethod <PrtcpnMtd> | Document | Code is the preferred format. Please refer to the above table. | M | Table 5 – B1 |
| SecuritiesRegistration <SctiesRegn> | Document | When used, it should be set to YES (value True) to instruct the account servicer to perform share re-registration. | O | |

C. Optional business data requirements.

The below optional fields may be provided in a Meeting Instruction message but are optional. If used, they must be used as described in the “Detailed usage” column. It is to be noted that most of the usage rules are standards rules, not market practice recommendations. Any other fields not mentioned above or below are considered NOT needed for this specific type of message. If used, they will be market-specific.

| Optional elements | Place | Detailed usage | M/C/O | SRD II reference |
|---------------------------|----------|--------------------------|-------|------------------|
| Meeting Reference | | | | |
| Classification <Clssfctn> | Document | Only Code is recommended | O | |

| Instruction | | | | |
|--|----------|--|---|--|
| AccountDetails - InstructedBalance - BalanceType <BalTp> | Document | | O | |
| AccountDetails - InstructedBalance - SafekeepingPlace <SfkpgPlc> | Document | | O | |

- VoteForAllAgendaResolutions is used where the instruction is sent per rightsholder/end investor (as defined in the country of issuance) and the rightsholder votes the same way for all agenda resolutions;
- VotePerAgendaResolution:
 - GlobalVoteInstruction is used where the instruction is sent per rightsholder/end investor (as defined in the country of issuance) and the rightsholder does not vote the same way for all agenda resolutions;
 - VoteInstruction is only used if the rightsholder/end investor (as defined in the country of issuance) is allowed to split its vote for an agenda resolution.
- If the rightsholder appoints the chairman of the meeting as proxy, this is done under Proxy.

Scenario 2 – requesting an attendance card for the rightsholder and/or his/her representative without right to vote (“non-voting” personal representative)

A. Common mandatory business data requirements.

This scenario is for when the rightsholder and/or its representative will attend the general meeting his-/herself and hence not send a vote instruction through network. Only the attendance card is requested.

The SMPG recommends that all the below optional and mandatory fields be present in all Meeting instruction messages. M / C / O identifies whether the business data is mandatory, conditional or optional in the ISO 20022 standards.

| Common mandatory elements | Place | Detailed usage | M/C/O | SRD II reference |
|---------------------------|-------|--|-------|------------------|
| From, <Fr> | BAH | The sender from a business context, which can be different from the actual sender in the transport header (similar to MEOR in MT). BICFI is the preferred format | M | |
| To, <To> | BAH | The receiver from a business context, which can be different from the actual receiver in the | M | |

| | | | | |
|---|----------|---|---|--------------|
| | | transport header (similar to MERE in MT). BICFI is the preferred format | | |
| BusinessMessageIdentifier, <BizMsgIdr> | BAH | The sender's unique ID/reference of the message | M | |
| MessageDefinitionIdentifier, <MsgDefIdr> | BAH | Contains the MessageIdentifier that defines the BusinessMessage, e.g. seev.004.001.06 | M | Table 5 – A2 |
| CreationDate, <CreDt> | BAH | Date and time, using ISONormalisedDateTime format | M | |
| Meeting Reference | | | | |
| MeetingIdentification <MtgId> | Document | This is the account servicer identification for the general meeting. It is recommended to be used in all cases, even if the issuer has provided an identification | O | |
| IssuerMeetingIdentification <IssrMtgId> | Document | It could be used, if provided by the issuer, in addition to the MeetingIdentification, based on the SLA in place between the account servicer and account owner. | O | Table 5 – A3 |
| MeetingDateAndTime <MtgDtAndTm> | Document | DateTime in UTC format is the preferred format (YYYY-MM-DDThh:mm:ss.sssZ (Z means Zulu Time ≡ UTC time ≡ zero UTC offset)) | M | |
| Type <Tp> | Document | | M | |
| Financial Instrument Identification | | | | |
| FinancialInstrumentIdentification <FinInstrmId> | Document | ISIN is the preferred format. | M | Table 5 – A4 |
| Instruction | | | | |
| SingleInstructionIdentification <SnglInstrId> | Document | This is the account owner's reference for each individual instruction that may be part of the MeetingInstruction message. | M | Table 5 – A1 |
| VoteExecutionConfirmation <VoteExctnConf> | Document | This indicator should be set to YES (value "true") to have the voting instruction confirmed in a VoteExecutionConfirmation message. In this scenario, it is recommended that the indicator is set to NO (value "false"). | M | |

| | | | | |
|--|----------|---|---|----------------|
| AccountDetails - AccountIdentification <AcctId> | Document | | M | |
| AccountDetails - InstructedBalance - Balance <Bal> | Document | QALL should not be used. | M | |
| AccountDetails - RightsHolder <RghtsHldr> | Document | According to SRDII IR, the intermediary should report the details of the rightsholder including: <ul style="list-style-type: none"> • Name¹²; • Identifier¹³. | O | Table 5 – B2&3 |
| Meeting Attendee | | | | |
| MeetingAttendee <MtgAttndee> - PreassignedProxy <PrssgndPrxy> | Document | Only used to record the details of a “non-voting” personal representative of the rightsholder. The intermediary should report the details of the meeting attendee including: <ul style="list-style-type: none"> • Name¹⁴; Identifier¹⁵. | C | |
| EmployingParty <EmplngPty> | Document | To be used if the person appointed to attend is an employee of the rightsholder | C | |
| MeetingAttendee <MtgAttndee> - AttendanceCardDetails <AttndncCardDtls> - DeliveryMethod <DlvryMtd> | Document | | C | |
| Specific Instruction Request | | | | |
| ParticipationMethod <PrtcpnMtd> | Document | Code is the preferred format. For meeting attendance, the participation method to use is either PHYS (if the rightholder is to attend) or PHNV (“non-voting” personal representative of the rightsholder). | M | Table 5 – B1 |

¹² Legal name for a legal person. For a natural person, first name and surname.

¹³ For a legal person: LEI, unique national registration number preceded by the country code for its country of registration, BIC code or unique client code. For a natural person, as defined in article 6 of Commission Delegated Regulation (EU) 2017/590.

¹⁴ Legal name for a legal person. For a natural person, first name and surname.

¹⁵ For a legal person: LEI, unique national registration number preceded by the country code for its country of registration, BIC code or unique client code. For a natural person, as defined in article 6 of Commission Delegated Regulation (EU) 2017/590.

| | | | | |
|--|--|---|--|--|
| | | If the same instruction contains both vote details, appointment of a proxy and a meeting attendee request (scenario 1), only the primary method of participation should be indicated (in this example is PRXY). | | |
|--|--|---|--|--|

B. Optional business data requirements.

The below optional fields may be provided in a Meeting Instruction message but are optional. If used, they must be used as described in the “Detailed usage” column. It is to be noted that most of the usage rules are standards rules, not market practice recommendations. Any other fields not mentioned above or below are considered NOT needed for this specific type of message. If used, they will be market-specific.

| Optional elements | Place | Detailed usage | M/C/O | SRD II reference |
|--|----------|--------------------------|-------|------------------|
| Meeting Reference | | | | |
| Classification <Clssfctn> | Document | Only Code is recommended | O | |
| Instruction | | | | |
| AccountDetails - InstructedBalance - BalanceType <BalTp> | Document | | O | |

- If the rightsholder is a legal entity and wants to send an employee as its representative, the PreassignedProxy and EmployingParty in the Meeting Attendee should be used to provide the details of the representative.
- If the shareholder (as specified in RightsHolder) wants to have an attendance card issued in its name, the AttendanceCardDetails under MeetingAttendee is used to specify the delivery method. (The first two elements are not used in this case.)

Scenario 3 – requesting share re-registration

This scenario should be used:

- for requesting share re-registration/voting rights registration when the rightsholder will not send a voting instruction “through network”, e.g. the rightsholder will attend and vote his/herself. In case an instruction requesting share re-registration/voting rights registration has been sent, and the rightsholder then decides to also send a voting instruction, the first instruction needs to be cancelled before the new/voting instruction is sent (then in accordance with scenario 1)
- when the deadline for share re-registration is prior to the deadline to vote and votes can only be accepted if the shares have already been re-registered.

A. Common mandatory business data requirements.

The SMPG recommends that all the below optional and mandatory fields be present in all Meeting instruction messages. M / C / O identifies whether the business data is mandatory, conditional or optional in the ISO 20022 standards.

| Common mandatory elements | Place | Detailed usage | M/C/O | SRD II reference |
|--|----------|--|-------|------------------|
| From, <Fr> | BAH | The sender from a business context, which can be different from the actual sender in the transport header (similar to MEOR in MT). BICFI is the preferred format | M | |
| To, <To> | BAH | The receiver from a business context, which can be different from the actual receiver in the transport header (similar to MERE in MT). BICFI is the preferred format | M | |
| BusinessMessageIdentifier, <BizMsgIdr> | BAH | The sender's unique ID/reference of the message | M | |
| MessageDefinitionIdentifier, <MsgDefIdr> | BAH | Contains the MessageIdentifier that defines the BusinessMessage, e.g. seev.004.001.06 | M | |
| CreationDate, <CreDt> | BAH | Date and time, using ISONormalisedDateTime format | M | |
| Meeting Reference | | | | |
| MeetingIdentification <MtgId> | Document | This is the account servicer identification for the general meeting. It is recommended to be used in all cases, even if the issuer has provided an identification | O | |
| IssuerMeetingIdentification <IssrMtgId> | Document | It could be used, if provided by the issuer, in addition to the MeetingIdentification, based on the SLA in place between the account servicer and account owner. | O | |
| MeetingDateAndTime <MtgDtAndTm> | Document | DateTime in UTC format is the preferred format (YYYY-MM-DDThh:mm:ss.sssZ (Z means Zulu Time ≡ UTC time ≡ zero UTC offset)) | M | |
| Type <Tp> | Document | | M | |
| Financial Instrument Identification | | | | |

| | | | | |
|---|----------|---|---|--|
| FinancialInstrumentIdentification <FinInstrmId> | Document | ISIN is the preferred format. | M | |
| Instruction | | | | |
| SingleInstructionIdentification <SnglInstrId> | Document | This is the account owner’s reference for each individual instruction that may be part of the MeetingInstruction message. | M | |
| VoteExecutionConfirmation <VoteExctnConf> | Document | This indicator should be set to YES (value “true”) to have the voting instruction confirmed in a VoteExecutionConfirmation message. In this scenario, it is recommended that the indicator is set to NO (value “false”). | M | |
| AccountDetails - AccountIdentification <AcctId> | Document | | M | |
| AccountDetails - InstructedBalance - Balance <Bal> | Document | QALL should not be used. | M | |
| AccountDetails - RightsHolder <RghtsHldr> | Document | According to SRDII IR, the intermediary should report the details of the rightsholder including: <ul style="list-style-type: none">• Name¹⁶;• Identifier¹⁷. | O | |
| Specific Instruction Request | | | | |
| ParticipationMethod <PrtcpnMtd> | Document | Code is the preferred format. One of the participation methods, as stated in the meeting notification, should be used, even if it will be ignored for this scenario. | M | |

¹⁶ Legal name for a legal person. For a natural person, first name and surname.

¹⁷ For a legal person: LEI, unique national registration number preceded by the country code for its country of registration, BIC code or unique client code. For a natural person, as defined in article 6 of Commission Delegated Regulation (EU) 2017/590.

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| | | | | |
|-------------------------------------|----------|---|---|--|
| SecuritiesRegistration <SctiesRegn> | Document | This indicator should be set to YES (value “true”) in order to request the share re-registration. | O | |
|-------------------------------------|----------|---|---|--|

B. Optional business data requirements.

The below optional fields may be provided in a Meeting Instruction message but are optional. If used, they must be used as described in the “Detailed usage” column. It is to be noted that most of the usage rules are standards rules, not market practice recommendations.

Any other fields not mentioned above or below are considered NOT needed for this specific type of message. If used, they will be market-specific.

| Optional elements | Place | Detailed usage | M/C/O | SRD II reference |
|--|----------|--------------------------|-------|------------------|
| Meeting Reference | | | | |
| Classification <Clssfctn> | Document | Only Code is recommended | O | |
| Instruction | | | | |
| AccountDetails - InstructedBalance - BalanceType <BalTp> | Document | | O | |

X. Meeting Instruction Cancellation Request

A. Scope.

The MeetingInstructionCancellationRequest is sent by the same party that sent the MeetingInstruction message. It is sent to request the cancellation of one, some or all of the instructions included in the original MeetingInstruction message.

For the above-described different communication needs, the following business data are required. Focus is on the processes described in the MP:

B. Common mandatory business data requirements.

The SMPG recommends that all the below optional and mandatory fields be present in all Meeting Instruction Cancellation Request messages. M / C / O identifies whether the business data is mandatory, conditional or optional in the ISO 20022 standards.

| Common mandatory elements | Place | Detailed usage | M/C/O | SRD II reference |
|---|----------|---|-------|------------------|
| From, <Fr> | BAH | The sender from a business context, which can be different from the actual sender in the transport header (similar to MEOR in MT). BICFI is the preferred format | M | |
| To, <To> | BAH | The receiver from a business context, which can be different from the actual receiver in the transport header (similar to MERE in MT). BICFI is the preferred format | M | |
| BusinessMessageIdentifier, <BizMsgIdr> | BAH | The sender's unique ID/reference of the message | M | |
| MessageDefinitionIdentifier, <MsgDefIdr> | BAH | Contains the MessageIdentifier that defines the BusinessMessage, e.g. seev.005.001.06 | M | |
| CreationDate, <CreDt> | BAH | Date and time, using ISONormalisedDateTime format | M | |
| Meeting Instruction Identification | | | | |
| MeetingInstructionIdentification <MtgInstrId> | Document | This is the account owner's reference, intended as the message reference (BusinessMessageIdentifier, <BizMsgIdr>) of the MEIN containing the instruction(s) that should be cancelled. | M | |
| Meeting Reference | | | | |

| | | | | |
|---|----------|--|---|--|
| MeetingIdentification <MtgId> | Document | This is the account servicer identification for the general meeting. It is recommended to be used in all cases, even if the issuer has provided an identification | O | |
| IssuerMeetingIdentification <IssrMtgId> | Document | It could be used, if provided by the issuer, in addition to the MeetingIdentification, based on the SLA in place between the account servicer and account owner. | O | |
| MeetingDateAndTime <MtgDtAndTm> | Document | DateTime in UTC format is the preferred format (YYYY-MM-DDThh:mm:ss.sssZ (Z means Zulu Time ≡ UTC time ≡ zero UTC offset)) | M | |
| Type <Tp> | Document | | M | |
| Financial Instrument Identification | | | | |
| FinancialInstrumentIdentification <FinInstrmId> | Document | ISIN is the preferred format. | M | |
| To Be Cancelled Instruction – this block is to be used only if some of the instructions contained in the previously sent MeetingInstruction message are to be cancelled | | | | |
| SingleInstructionIdentification <SnglInstrId> | Document | This is the account owner’s reference, intended as the individual instruction reference (SingleInstructionIdentification <SnglInstrId>) indicated by the account owner in the Meeting Instruction message (MEIN – seev.004). | M | |
| InstructedPosition <InstdPos> - AccountIdentification <AcctId> | Document | | M | |
| InstructedPosition <InstdPos> - InstructedBalance <InstdBal> - Balance <Bal> | Document | | M | |

C. Optional business data requirements.

The below optional fields may be provided in a Meeting Instruction Cancellation Request message but are optional. If used, they must be used as described in the “Detailed usage” column. It is to be noted that most of the usage rules are standards rules, not market practice recommendations. Any other fields not mentioned above or below are considered NOT needed for this specific type of message. If used, they will be market-specific.

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| Common optional elements | Place | Detailed usage | M/C/O | SRD II reference |
|--------------------------|-------|----------------|-------|------------------|
| | | | | |
| | | | | |
| | | | | |

If the rightsholder/account owner wants to cancel a vote in a previously sent instruction, it should send a cancellation of the whole instruction. It is recommended to cancel the previously sent MeetingInstruction message in its entirety only if all instructions in the message are to be cancelled. If only some of the instructions should be cancelled, it is recommended to only cancel those instructions by using the “To Be Cancelled Instruction” block in the MeetingInstructionCancellationRequest.

XI. Meeting Instruction Status

A. Scope.

The MeetingInstructionStatus message is sent by an intermediary to the sender of an instruction to confirm the status of such an instruction.

The message gives the status of a complete message or of one or more specific instructions within the message.

The message may also be sent by the Issuer or the intermediary to confirm that a vote has been cast.

We have listed below three possible scenarios on how the account servicer can use the MeetingInstructionStatus message to confirm the status of previously received instructions:

- to confirm receipt of an instruction;
- to pass on the confirmation received from the issuer that the vote has been cast;
- to confirm the status of a cancellation instruction.

For the above-described different communication needs, the following business data are required. Focus is on the processes described in the MP.

Scenario 1: The MeetingInstructionStatus message is sent by an intermediary to the sender of an instruction to confirm the status of such an instruction.

The account servicer can decide to confirm the status of the entire MeetingInstruction message or a single instruction within the same MEIN message.

It is recommended that all intermediaries in the chain provide instruction status confirmation at the level of each instruction (option B below)¹⁸.

A. Common mandatory business data requirements.

The SMPG recommends that all the below optional and mandatory fields be present in all Meeting Instruction Status messages. M / C / O identifies whether the business data is mandatory, conditional or optional in the ISO 20022 standards.

| Common mandatory elements | Place | Detailed usage | M/C/O | SRD II reference |
|---------------------------|-------|--|-------|------------------|
| From, <Fr> | BAH | The sender from a business context, which can be different from the actual sender in the transport header (similar to MEOR in MT). BICFI is the preferred format | M | |
| To, <To> | BAH | The receiver from a business context, which can be different from the actual receiver in the | M | |

¹⁸ A change request will be put forward for SR2021 to remove option A from seev.006.

| | | | | |
|---|----------|--|---|--|
| | | transport header (similar to MERE in MT). BICFI is the preferred format | | |
| BusinessMessageIdentifier, <BizMsgIdr> | BAH | The sender's unique ID/reference of the message | M | |
| MessageDefinitionIdentifier, <MsgDefIdr> | BAH | Contains the MessageIdentifier that defines the BusinessMessage, e.g. seev.006.001.06 | M | |
| CreationDate, <CreDt> | BAH | Date and time, using ISONormalisedDateTime format | M | |
| Instruction Type | | | | |
| InstructionType - InstructionIdentification <InstrId> | Document | This is the account owner's reference, intended as the message reference (BusinessMessageIdentifier, <BizMsgIdr>) of the MEIN containing the instruction that should be confirmed. | M | |
| Meeting Reference | | | | |
| MeetingIdentification <MtgId> | Document | This is the account servicer identification for the general meeting. It is recommended to be used in all cases, even if the issuer has provided an identification | O | |
| IssuerMeetingIdentification <IssrMtgId> | Document | It could be used, if provided by the issuer, in addition to the MeetingIdentification, based on the SLA in place between the account servicer and account owner. | O | |
| MeetingDateAndTime <MtgDtAndTm> | Document | DateTime in UTC format is the preferred format (YYYY-MM-DDThh:mm:ss.sssZ (Z means Zulu Time ≡ UTC time ≡ zero UTC offset)) | M | |
| Type <Tp> | Document | | M | |
| Issuer <Issr> | Document | NameAndAddress is the preferred format | O | |
| Financial Instrument Identification | | | | |
| FinancialInstrumentIdentification <FinInstrmId> | Document | ISIN is the preferred format. | M | |
| Instruction Type Status | | | | |
| OPTION A | Document | To be used to confirm the status of the entire Instruction message received | C | |

| | | | | |
|--|----------|--|---|--|
| GlobalInstructionStatus <GblInstrSts> | | | | |
| OPTION A.1 ProcessingStatus <PrcgSts> | Document | PACK is the recommended status to confirm that the instruction message has been accepted and is validated for further processing. | C | |
| OPTION A.2 Rejected <Rjctd> | Document | If the instruction message is to be rejected, it is recommended to use ReasonCode <RsnCd> where only Code is recommended | C | |
| OPTION A.3 Pending <Pdg> | Document | If the instruction message is on hold at the account servicer, it is recommended to use ReasonCode <RsnCd> where only Code is recommended | C | |
| OPTION B DetailedInstructionStatus <DtldInstrSts> | Document | To be used to confirm the status of each individual instruction within the Instruction message received | C | |
| SingleInstructionIdentification <SnglInstrId> | Document | This is the account owner’s reference, intended as the individual instruction reference (SingleInstructionIdentification <SnglInstrId>) indicated by the account owner in the Meeting Instruction message (MEIN – seev.004). | C | |
| OPTION B.1 InstructionStatus <InstrSts> - ProcessingStatus <PrcgSts> | Document | PACK is the recommended status to confirm that the instruction message has been accepted and is validated for further processing. | C | |
| OPTION B.2 InstructionStatus <InstrSts> - Rejected <Rjctd> | Document | If the instruction is to be rejected, it is recommended to use ReasonCode <RsnCd> where only Code is recommended | C | |
| OPTION B.3 InstructionStatus <InstrSts> - Pending <Pdg> | Document | If the instruction is on hold at the account servicer, it is recommended to use ReasonCode <RsnCd> where only Code is recommended | C | |
| Confirming Party | | | | |
| ConfirmingParty <CnfrmgPty> | Document | It should contain the details of the account servicer as the party confirming the status of the instruction. It is recommended to use Name <Nm> and LEI <LEI> | M | |

| | | | | |
|--------------------------------|----------|---|---|--|
| | | The details of the ConfirmingParty will be amended by each intermediary along the chain. | | |
| Vote Casting Party | | | | |
| VoteCastingParty <VoteCstgPty> | Document | <p>It should contain:</p> <ul style="list-style-type: none"> - the details of the rightsholder if it is the entity casting the vote via a direct relationship with the account servicer, or - the account owner as the party lodging the instruction on behalf of the rightsholder. In this case, it is recommended to use Name <Nm> and LEI <LEI> <p>The details of the VoteCastingParty will be amended by each intermediary along the chain.</p> | M | |
| RightsHolder | | | | |
| RightsHolder <RghtsHldr> | Document | <p>It should contain the details of the rightsholder as indicated by the account owner in the Meeting Instruction message (MEIN – seev.004).</p> <p>Not to be used if the MeetingInstructionStatus is used to confirm the overall status of a Meeting Instruction message.</p> | C | |

B. Optional business data requirements.

The below optional fields may be provided in a Meeting Instruction Status message but are optional. If used, they must be used as described in the “Detailed usage” column. It is to be noted that most of the usage rules are standards rules, not market practice recommendations. Any other fields not mentioned above or below are considered NOT needed for this specific type of message. If used, they will be market-specific.

| Common optional elements | Place | Detailed usage | M/C/O | SRD II reference |
|---------------------------|----------|--------------------------|-------|------------------|
| Meeting Reference | | | | |
| Classification <Clssfctn> | Document | Only Code is recommended | O | |
| Instruction Type Status | | | | |

| | | | | |
|--|----------|---|---|--|
| SingleInstructionIdentification - AccountIdentification <AcctId> | Document | To report the account details the instruction is related to | O | |
|--|----------|---|---|--|

- Upon receipt of a MeetingInstruction message, the account servicer should confirm the status using PACK to indicate the instruction has been accepted and is validated for further processing. This normally means, the instruction can still be cancelled.
- Once the instruction has been forwarded to the next intermediary along the chain, the account servicer should confirm the change of status using FRWD. This normally means, the instruction may no longer be cancelled.

Scenario 2: The MeetingInstructionStatus message is sent by an intermediary to the sender of an instruction to transmit the Vote Receipt received from the issuer.

The account servicer should transmit the vote receipt as received by the issuer. It is recommended that the vote receipt is sent per single instruction within the MeetingInstruction message.

It is recommended that all intermediaries in the chain provide instruction status confirmation at the level of each instruction (option B below)¹⁹.

A. Common mandatory business data requirements.

The SMPG recommends that all the below optional and mandatory fields be present in all Meeting Instruction Status messages. M / C / O identifies whether the business data is mandatory, conditional or optional in the ISO 20022 standards.

| Common mandatory elements | Place | Detailed usage | M/C/O | SRD II reference |
|--|-------|--|-------|------------------|
| From, <Fr> | BAH | The sender from a business context, which can be different from the actual sender in the transport header (similar to MEOR in MT). BICFI is the preferred format | M | |
| To, <To> | BAH | The receiver from a business context, which can be different from the actual receiver in the transport header (similar to MERE in MT). BICFI is the preferred format | M | |
| BusinessMessageIdentifier, <BizMsgIdr> | BAH | The sender’s unique ID/reference of the message | M | Table 6 – A1 |
| MessageDefinitionIdentifier, <MsgDefIdr> | BAH | Contains the MessageIdentifier that defines the BusinessMessage, e.g. seev.006.001.06 | M | Table 6 – A2 |

¹⁹ A change request will be put forward for SR2021 to remove option A from seev.006.

| | | | | |
|---|----------|--|---|--------------|
| CreationDate, <CreDt> | BAH | Date and time, using ISONormalisedDateTime format | M | |
| Instruction Type | | | | |
| InstructionIdentification <InstrId> | Document | This is the account owner’s reference, intended as the message reference (BusinessMessageIdentifier, <BizMsgIdr>) of the MEIN containing the instruction that should be confirmed. | M | |
| Meeting Reference | | | | |
| MeetingIdentification <MtgId> | Document | This is the account servicer identification for the general meeting. It is recommended to be used in all cases, even if the issuer has provided an identification | O | |
| IssuerMeetingIdentification <IssrMtgId> | Document | It could be used, if provided by the issuer, in addition to the MeetingIdentification, based on the SLA in place between the account servicer and account owner. | O | Table 6 – A3 |
| MeetingDateAndTime <MtgDtAndTm> | Document | DateTime in UTC format is the preferred format (YYYY-MM-DDThh:mm:ss.sssZ (Z means Zulu Time ≡ UTC time ≡ zero UTC offset)) | M | Table 6 – A5 |
| Type <Tp> | Document | | M | |
| Issuer <Issr> | Document | NameAndAddress is the preferred format | O | Table 6 – A6 |
| Financial Instrument Identification | | | | |
| FinancialInstrumentIdentification <FinInstrmId> | Document | ISIN is the preferred format. | M | Table 6 – A4 |
| Instruction Type Status | | | | |
| DetailedInstructionStatus <DtldInstrSts> | Document | To be used to confirm the status of each individual instruction within the Instruction message received | M | |
| SingleInstructionIdentification <SnglInstrId> | Document | This is the account owner’s reference, intended as the individual instruction reference (SingleInstructionIdentification <SnglInstrId>) indicated by the account owner in the Meeting Instruction message (MEIN – seev.004). | M | |

| | | | | |
|---|----------|---|---|--------------|
| InstructionStatus <InstrSts> - ProcessingStatus <PrcgSts> | Document | RCIS is the recommended status to provide the vote receipt received from the issuer. | M | |
| Confirming Party | | | | |
| ConfirmingParty <CnfrmgPty> | Document | It should contain the details of the account servicer as the party transmitting the receipt. It is recommended to use Name <Nm> and LEI <LEI> The details of the ConfirmingParty will be amended by each intermediary along the chain. | M | Table 6 – A7 |
| Vote Casting Party | | | | |
| VoteCastingParty <VoteCstgPty> | Document | It should contain: - the details of the rightsholder if it is the entity casting the vote via a direct relationship with the account servicer, or - the account owner as the party lodging the instruction on behalf of the rightsholder. In this case, it is recommended to use Name <Nm> and LEI <LEI> The details of the VoteCastingParty will be amended by each intermediary along the chain. | M | Table 6 – A8 |
| RightsHolder | | | | |
| RightsHolder <RghtsHldr> | Document | It should contain the details of the rightsholder as indicated by the account owner in the Meeting Instruction message (MEIN – seev.004). | C | Table 6 – A9 |

B. Optional business data requirements.

The below optional fields may be provided in a Meeting Instruction Status message but are optional. If used, they must be used as described in the “Detailed usage” column. It is to be noted that most of the usage rules are standards rules, not market practice recommendations. Any other fields not mentioned above or below are considered NOT needed for this specific type of message. If used, they will be market-specific.

| Common optional elements | Place | Detailed usage | M/C/O | SRD II reference |
|--------------------------|-------|----------------|-------|------------------|
|--------------------------|-------|----------------|-------|------------------|

| | | | | |
|--|----------|---|---|--|
| Meeting Reference | | | | |
| Classification <Clssfctn> | Document | Only Code is recommended | O | |
| Instruction Type Status | | | | |
| SingleInstructionIdentification - AccountIdentification <AcctId> | Document | To report the account details the instruction is related to | O | |

Scenario 3: The MeetingInstructionStatus message is sent by an intermediary to the sender of an instruction to confirm the status of a cancellation instruction.

The account servicer can decide to confirm the status of the entire MeetingInstructionCancellationRequest message or a single cancellation request within the same MEIC message.

It is recommended that all intermediaries in the chain provide instruction status confirmation at the level of each instruction (option B below)²⁰.

A. Common mandatory business data requirements.

The SMPG recommends that all the below optional and mandatory fields be present in all Meeting Instruction Status messages. M / C / O identifies whether the business data is mandatory, conditional or optional in the ISO 20022 standards.

| Common mandatory elements | Place | Detailed usage | M/C/O | SRD II reference |
|--|-------|--|-------|------------------|
| From, <Fr> | BAH | The sender from a business context, which can be different from the actual sender in the transport header (similar to MEOR in MT). BICFI is the preferred format | M | |
| To, <To> | BAH | The receiver from a business context, which can be different from the actual receiver in the transport header (similar to MERE in MT). BICFI is the preferred format | M | |
| BusinessMessageIdentifier, <BizMsgIdr> | BAH | The sender's unique ID/reference of the message | M | |
| MessageDefinitionIdentifier, <MsgDefIdr> | BAH | Contains the MessageIdentifier that defines the BusinessMessage, e.g. seev.006.001.06 | M | |

²⁰ A change request will be put forward for SR2021 to remove option A from seev.006.

| | | | | |
|--|----------|---|---|--|
| CreationDate, <CreDt> | BAH | Date and time, using ISONormalisedDateTime format | M | |
| Instruction Type | | | | |
| InstructionCancellationIdentification <InstrId> | Document | This is the account owner’s reference, intended as the message reference (BusinessMessageIdentifier, <BizMsgIdr>) of the MEIC containing the cancellation request instruction that should be confirmed. | M | |
| Meeting Reference | | | | |
| MeetingIdentification <MtgId> | Document | This is the account servicer identification for the general meeting. It is recommended to be used in all cases, even if the issuer has provided an identification | O | |
| IssuerMeetingIdentification <IssrMtgId> | Document | It could be used, if provided by the issuer, in addition to the MeetingIdentification, based on the SLA in place between the account servicer and account owner. | O | |
| MeetingDateAndTime <MtgDtAndTm> | Document | DateTime in UTC format is the preferred format (YYYY-MM-DDThh:mm:ss.sssZ (Z means Zulu Time ≡ UTC time ≡ zero UTC offset)) | M | |
| Type <Tp> | Document | | M | |
| Issuer <Issr> | Document | NameAndAddress is the preferred format | O | |
| Financial Instrument Identification | | | | |
| FinancialInstrumentIdentification <FinInstrmId> | Document | ISIN is the preferred format. | M | |
| CancellationStatus | | | | |
| OPTION A GlobalCancellationStatus <GblCxlSts> | Document | To be used to confirm the status of the entire instruction cancellation request message received | C | |
| OPTION A.1 ProcessingStatus <PrcgSts> | Document | PACK is the recommended status to confirm that the cancellation request message has been received and has been accepted for further processing. | C | |

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| | | | | |
|--|----------|---|---|--|
| OPTION A.2 Rejected <Rjctd> | Document | If the cancellation request instruction message is to be rejected, it is recommended to use ReasonCode <RsnCd> where only Code is recommended | C | |
| OPTION A.3 PendingCancellation <PdgCxl> | Document | If the cancellation request instruction message is on hold at the account servicer, it is recommended to use ReasonCode <RsnCd> where only Code is recommended | C | |
| OPTION B DetailedCancellationStatus <DtldCxlSts> | Document | To be used to confirm the status of each individual cancellation request within the Instruction message received | C | |
| SingleInstructionCancellationIdentification <SnglInstrCxlId> | Document | This is the account owner's reference, intended as the individual instruction reference (SingleInstructionIdentification <SnglInstrId>) indicated by the account owner in the Meeting Instruction Cancellation Request message (MEIC – seev.005). | C | |
| OPTION B.1 InstructionCancellationStatus <InstrCxlSts> - ProcessingStatus <PrcgSts> | Document | PACK is the recommended status to confirm that the cancellation request has been received and has been accepted for further processing. | C | |
| OPTION B.2 InstructionCancellationStatus <InstrCxlSts> - Rejected <Rjctd> | Document | If the cancellation request is to be rejected, it is recommended to use ReasonCode <RsnCd> where only Code is recommended | C | |
| OPTION B.3 InstructionCancellationStatus <InstrCxlSts> - Pending <Pdg> | Document | If the cancellation request is on hold at the account servicer, it is recommended to use ReasonCode <RsnCd> where only Code is recommended | C | |
| Confirming Party | | | | |
| ConfirmingParty <CnfrmgPty> | Document | It should contain the details of the account servicer as the party confirming the status of the instruction. It is recommended to use Name <Nm> and LEI <LEI> | M | |

| | | | | |
|--------------------------------|----------|---|---|--|
| | | The details of the ConfirmingParty will be amended by each intermediary along the chain. | | |
| Vote Casting Party | | | | |
| VoteCastingParty <VoteCstgPty> | Document | <p>It should contain:</p> <ul style="list-style-type: none"> - the details of the rightsholder if it is the entity casting the vote via a direct relationship with the account servicer, or - the account owner as the party lodging the instruction on behalf of the rightsholder. In this case, it is recommended to use Name <Nm> and LEI <LEI> <p>The details of the VoteCastingParty will be amended by each intermediary along the chain.</p> | M | |
| RightsHolder | | | | |
| RightsHolder <RghtsHldr> | Document | It should contain the details of the rightsholder as indicated by the account owner in the Meeting Instruction message (MEIN – seev.004). | C | |

B. Optional business data requirements.

The below optional fields may be provided in a Meeting Instruction Status message but are optional. If used, they must be used as described in the “Detailed usage” column. It is to be noted that most of the usage rules are standards rules, not market practice recommendations. Any other fields not mentioned above or below are considered NOT needed for this specific type of message. If used, they will be market-specific.

| Common optional elements | Place | Detailed usage | M/C/O | SRD II reference |
|--|----------|---|-------|------------------|
| Meeting Reference | | | | |
| Classification <Clssfctn> | Document | Only Code is recommended | O | |
| Instruction Type Status | | | | |
| SingleInstructionIdentification - AccountIdentification <AcctId> | Document | To report the account details the instruction is related to | O | |

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- Upon receipt of a MeetingInstructionCancellationRequest message, the account servicer should confirm the status using PACK to indicate the instruction has been accepted and is validated for further processing.
- Once the instruction has been accepted and the previous instruction cancelled, the account servicer should:
 - confirm the change status of the MeetingInstructionCancellationRequest using CAND – Complete;
 - confirm the change status of the previously accepted MeetingInstruction using CAND – Cancelled.

XII. Meeting Vote Execution Confirmation

A. Scope.

The MeetingVoteExecutionConfirmation message is sent by an issuer, its agent or an intermediary to another intermediary or a party holding the right to vote to confirm that their vote has been recorded and counted by the Issuer.

For the above-described different communication needs, the following business data are required. Focus is on the processes described in the MP.

B. Common mandatory business data requirements.

The SMPG recommends that all the below optional and mandatory fields be present in all Meeting Vote Execution Confirmation messages. M / C / O identifies whether the business data is mandatory, conditional or optional in the ISO 20022 standards.

| Common mandatory elements | Place | Detailed usage | M/C/O | SRD II reference |
|---|----------|--|-------|------------------|
| From, <Fr> | BAH | The sender from a business context, which can be different from the actual sender in the transport header (similar to MEOR in MT). BICFI is the preferred format | M | |
| To, <To> | BAH | The receiver from a business context, which can be different from the actual receiver in the transport header (similar to MERE in MT). BICFI is the preferred format | M | |
| BusinessMessageIdentifier, <BizMsgIdr> | BAH | The sender's unique ID/reference of the message | M | Table 7 – A1 |
| MessageDefinitionIdentifier, <MsgDefIdr> | BAH | Contains the MessageIdentifier that defines the BusinessMessage, e.g. seev.007.001.06 | M | Table 7 – A2 |
| CreationDate, <CreDt> | BAH | Date and time, using ISONormalisedDateTime format | M | |
| Meeting Instruction Identification | | | | |
| MeetingInstructionIdentification <MtgInstrId> | Document | This is the account owner's reference, intended as the message reference (BusinessMessageIdentifier, <BizMsgIdr>) of the MEIN containing the instruction that should be confirmed. | M | |
| Meeting Reference | | | | |

| | | | | |
|---|----------|--|---|---------------|
| MeetingIdentification <MtgId> | Document | This is the account servicer identification for the general meeting. It is recommended to be used in all cases, even if the issuer has provided an identification | O | |
| IssuerMeetingIdentification <IssrMtgId> | Document | It could be used, if provided by the issuer, in addition to the MeetingIdentification, based on the SLA in place between the account servicer and account owner. | O | Table 7 – A3 |
| MeetingDateAndTime <MtgDtAndTm> | Document | DateTime in UTC format is the preferred format (YYYY-MM-DDThh:mm:ss.sssZ (Z means Zulu Time ≡ UTC time ≡ zero UTC offset)) | M | Table 7 – A5 |
| Type <Tp> | Document | | M | |
| Issuer <Issr> | Document | NameAndAddress is the preferred format | O | Table 7 – A6 |
| Financial Instrument Identification | | | | |
| FinancialInstrumentIdentification <FinInstrmId> | Document | ISIN is the preferred format. | M | Table 7 – A4 |
| Vote Instructions | | | | |
| SingleInstructionIdentification <SnglInstrId> | Document | This is the account owner’s reference, intended as the individual instruction reference (SingleInstructionIdentification <SnglInstrId>) indicated by the account owner in the Meeting Instruction message (MEIN – seev.004). | M | Table 7 – A11 |
| AccountIdentification <AcctId> | Document | | O | |
| RightsHolder <RghtsHldr> | Document | According to SRDII IR, the issuer/intermediary should report the name ²¹ details of the rightsholder. | O | Table 7 – A7 |
| ModalityOfCounting <ModltyOfCntg> | Document | | O | Table 7 – A9 |
| VoteReceiptDateTime <VoteRctDtTm> | Document | DateTime in UTC format is the preferred format (YYYY-MM-DDThh:mm:ss.sssZ (Z means Zulu Time ≡ UTC time ≡ zero UTC offset)) | O | Table 7 – A10 |

²¹ Legal name for a legal person. For a natural person, first name and surname.

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| | | | | |
|--|----------|--|---|--|
| VotePerResolution <VotePerRsltn> - IssuerLabel <IssrLabl> | Document | | M | |
| VotePerResolution <VotePerRsltn> - For <For> | Document | | O | |
| VotePerResolution <VotePerRsltn> - Against <Agnst> | Document | | O | |
| VotePerResolution <VotePerRsltn> - Abstain <Abstn> | Document | | O | |
| VotePerResolution <VotePerRsltn> - Withhold <Wthhld> | Document | | O | |
| VotePerResolution <VotePerRsltn> - WithManagement <WthMgmt> | Document | | O | |
| VotePerResolution <VotePerRsltn> - AgainstManagement <AgnstMgmt> | Document | | O | |
| VotePerResolution <VotePerRsltn> - Discretionary <Dsctrnry> | Document | | O | |
| VotePerResolution <VotePerRsltn> - OneYear <OneYr> | Document | | O | |
| VotePerResolution <VotePerRsltn> - TwoYears <TwoYrs> | Document | | O | |
| VotePerResolution <VotePerRsltn> - ThreeYears <ThreeYrs> | Document | | O | |
| VotePerResolution <VotePerRsltn> - NoAction <NoActn> | Document | | O | |
| VotePerResolution <VotePerRsltn> - Blank <Blnk> | Document | | O | |

C. Optional business data requirements.

The below optional fields may be provided in a Meeting Vote Execution Confirmation message but are optional. If used, they must be used as described in the “Detailed usage” column. It is to be noted that most of the usage rules are standards rules, not market practice recommendations. Any other fields not mentioned above or below are considered NOT needed for this specific type of message. If used, they will be market-specific.

| Common optional elements | Place | Detailed usage | M/C/O | SRD II reference |
|--------------------------|-------|----------------|-------|------------------|
|--------------------------|-------|----------------|-------|------------------|

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| Meeting Reference | | | | |
|--|----------|--|---|--------------|
| Classification <Clssfctn> | Document | Only Code is recommended | O | |
| Vote Instructions | | | | |
| Proxy <Prxy> | Document | Identification of the person appointed by the rightsholder as the proxy. According to SRDII IR, the issuer/intermediary should report the name ²² details of the proxy appointed by the rightsholder. | O | Table 7 – A8 |
| VoteInstructionsConfirmationURLAddress <VoteInstrsConfURLAdr> | Document | | O | |

²² Legal name for a legal person. For a natural person, first name and surname.

XIII. Meeting Result Dissemination

A. Scope.

The MeetingResultDissemination message is sent by an issuer, its agent or an intermediary to another intermediary or a party holding the right to vote to provide information on the voting results of a general meeting.

For the above-described different communication needs, the following business data are required. Focus is on the processes described in the MP.

B. Common mandatory business data requirements.

The SMPG recommends that all the below optional and mandatory fields be present in all Meeting Result Dissemination messages. M / C / O identifies whether the business data is mandatory, conditional or optional in the ISO 20022 standards.

| Common mandatory elements | Place | Detailed usage | M/C/O | SRD II reference |
|--|----------|--|-------|------------------|
| From, <Fr> | BAH | The sender from a business context, which can be different from the actual sender in the transport header (similar to MEOR in MT). BICFI is the preferred format | M | |
| To, <To> | BAH | The receiver from a business context, which can be different from the actual receiver in the transport header (similar to MERE in MT). BICFI is the preferred format | M | |
| BusinessMessageIdentifier, <BizMsgIdr> | BAH | The sender's unique ID/reference of the message | M | |
| MessageDefinitionIdentifier, <MsgDefIdr> | BAH | Contains the MessageIdentifier that defines the BusinessMessage, e.g. seev.008.001.06 | M | |
| CreationDate, <CreDt> | BAH | Date and time, using ISONormalisedDateTime format | M | |
| Meeting Results Dissemination Type | | | | |
| MeetingResultsDisseminationType <MtgRsltsDssmntnTp> | Document | A REPL message should only be sent in case of a change in the previously disseminated results. | M | |
| Previous Meeting Results Dissemination Identification | | | | |
| PreviousMeetingResultsDisseminationIdentification | Document | Recommended to be used for REPL | C | |

| | | | | |
|--|----------|--|---|--|
| <PrvsMtgRsItsDssmntnId> | | | | |
| Meeting Reference | | | | |
| MeetingIdentification <MtgId> | Document | This is the account servicer identification for the general meeting. It is recommended to be used in all cases, even if the issuer has provided an identification | O | |
| IssuerMeetingIdentification <IssrMtgId> | Document | It could be used, if provided by the issuer, in addition to the MeetingIdentification, based on the SLA in place between the account servicer and account owner. | O | |
| MeetingDateAndTime <MtgDtAndTm> | Document | DateTime in UTC format is the preferred format (YYYY-MM-DDThh:mm:ss.sssZ (Z means Zulu Time ≡ UTC time ≡ zero UTC offset)) | M | |
| Type <Tp> | Document | | M | |
| Security (the Message Building Block is repetitive, but SMPG recommends to only include one Security block per meeting event). | | | | |
| FinancialInstrumentIdentification <FinInstrmId> | Document | ISIN is the preferred format. It is recommended to have a separate result dissemination per meeting event and ISIN | M | |
| Position – AccountIdentification <AcctId> | Document | Possible market practices: <ul style="list-style-type: none"> • one message per safekeeping account; • one message repeating account details in the Position block | O | |
| Vote Result | | | | |
| IssuerLabel <IssrLbl> | Document | | M | |
| ResolutionStatus <RsltnSts> | Document | | M | |

C. Optional business data requirements.

The below optional fields may be provided in a Meeting Result Dissemination message but are optional. If used, they must be used as described in the “Detailed usage” column. It is to be noted that most of the usage rules are standards rules, not market practice recommendations. Any other fields not mentioned above or below are considered NOT needed for this specific type of message. If used, they will be market-specific.

| Common optional elements | Place | Detailed usage | M/C/O | SRD II reference |
|--------------------------|-------|----------------|-------|------------------|
|--------------------------|-------|----------------|-------|------------------|

General Meeting messages Market Practice



| | | | | |
|---|----------|--------------------------|---|--|
| MeetingReference | | | | |
| Classification <Clssfctn> | Document | Only Code is recommended | O | |
| Vote Result | | | | |
| For <For> | Document | | O | |
| Against <Agnst> | Document | | O | |
| Abstain <Abstn> | Document | | O | |
| Withhold <Wthhld> | Document | | O | |
| WithManagement <WthMgmt> | Document | | O | |
| AgainstManagement <AgnstMgmt> | Document | | O | |
| Discretionary <Dscrtnry> | Document | | O | |
| OneYear <OneYr> | Document | | O | |
| TwoYears <TwoYrs> | Document | | O | |
| ThreeYears <ThreeYrs> | Document | | O | |
| NoAction <NoActn> | Document | | O | |
| Blank <Blnk> | Document | | O | |
| Participation | | | | |
| TotalNumberOfVotingRights <TtlNbOfVtngRghts> | Document | | O | |