CA362 - Handling CAPA at the beneficiary owner level?

In some specific cases, Polish CSD must provide securities and/or cash movements, at the level of particular beneficial owner, and not at the aggregated account level. This requires assigning movements to beneficial owners, with their id given in narrative.

Would the example given below be acceptable from GMP perspective?

*Example:*

Below is a single CAPA message (seev.035.001.03) providing movement details for two beneficial owners, whose ids are provided in narrative. Both <CorpActnMvmntDtls> relate to the same OptnNb **001**, and same OptnTp Cd **CASH**. CAPA is followed by CACO message (seev.036.001.03), confirming payment.

**CAPA** (*seev.035.001.03, Business Application Header omitted*)

|  |
| --- |
| <CorpActnMvmntPrlimryAdvc> |
|  <MvmntPrlimryAdvcGnlInf> |
|  <Tp>**REPL**</Tp> |
|  <PrcgSts> |
|  <Cd> |
|  <EvtSts>  |
|  <EvtCmpltnsSts>**COMP**</EvtCmpltnsSts> |
|  <EvtConfSts>**CONF**</EvtConfSts> |
|  </EvtSts> |
|  </Cd> |
|  </PrcgSts> |
|  </MvmntPrlimryAdvcGnlInf> |
|  <PrvsMvmntPrlimryAdvcId> |
|  <Id>**4423456789010203**</Id> |
|  </PrvsMvmntPrlimryAdvcId> |
|  <NtfctnId> |
|  <Id>**1123456789010203**</Id> |
|  </NtfctnId> |
|  <CorpActnGnlInf> |
|  <CorpActnEvtId>**4100DVCA01020304**</CorpActnEvtId> |
|  <EvtPrcgTp> |
|  <Cd>**DISN**</Cd> |
|  </EvtPrcgTp> |
|  <EvtTp> |
|  <Cd>**DVCA**</Cd> |
|  </EvtTp> |
|  <MndtryVlntryEvtTp> |
|  <Cd>**MAND**</Cd> |
|  </MndtryVlntryEvtTp> |
|  <UndrlygScty> |
|  <FinInstrmId> |
|  <ISIN>**PL0123456789**</ISIN> |
|  <Desc>**4100 Emitent S.A.**</Desc> |
|  </FinInstrmId> |
|  </UndrlygScty> |
|  </CorpActnGnlInf> |
|  <AcctDtls> |
|  <AcctsListAndBalDtls> |
|  <SfkpgAcct>**01000100**</SfkpgAcct> |
|  <AcctOwnr> |
|  <PrtryId> |
|  <Id>**FFFF**</Id> |
|  <Issr>**KDPW**</Issr> |
|  </PrtryId> |
|  </AcctOwnr> |
|  <SfkpgPlc> |
|  <TpAndId> |
|  <SfkpgPlcTp>**NCSD**</SfkpgPlcTp> |
|  <Id>**KDPWPLPW**</Id> |
|  </TpAndId> |
|  </SfkpgPlc> |
|  <Bal> |
|  <TtlElgblBal> |
|  <QtyChc> |
|  <SgndQty> |
|  <ShrtLngPos>**LONG**</ShrtLngPos> |
|  <Qty> |
|  <Unit>**40000**</Unit> |
|  </Qty> |
|  </SgndQty> |
|  </QtyChc> |
|  </TtlElgblBal> |
|  <SttlmPosBal> |
|  <Bal> |
|  <ShrtLngPos>**LONG**</ShrtLngPos> |
|  <QtyChc> |
|  <Qty> |
|  <Unit>**40000**</Unit> |
|  </Qty> |
|  </QtyChc> |
|  </Bal> |
|  </SttlmPosBal> |
|  </Bal> |
|  </AcctsListAndBalDtls> |
|  </AcctDtls> |
|  <CorpActnMvmntDtls> |
|  <OptnNb>**001**</OptnNb> |
|  <OptnTp> |
|  <Cd>**CASH**</Cd> |
|  </OptnTp> |
|  <CcyOptn>**PLN**</CcyOptn> |
|  <DfltPrcgOrStgInstr> |
|  <DfltOptnInd>**true**</DfltOptnInd> |
|  </DfltPrcgOrStgInstr> |
|  <CshMvmntDtls> |
|  <CdtDbtInd>**CRDT**<CdtDbtInd> |
|  <AmtDtls> |
|  <GrssCshAmt Ccy=**”PLN”**>**105000.00**</GrssCshAmt> |
|  <NetCshAmt Ccy=**”PLN”**>**94500.00**</NetCshAmt> |
|  <WhldgTaxAmt Ccy=**”PLN”**>**10500.00**</WhldgTaxAmt> |
|  <EntitldAmt Ccy=**”PLN”**>**94500.00**</EntitldAmt> |
|  </AmtDtls> |
|  <DtDtls> |
|  <PmtDt> |
|  <Dt><Dt>**2012-07-16**</Dt></Dt> |
|  </PmtDt> |
|  <ValDt> |
|  <Dt><Dt>**2012-07-16**</Dt></Dt> |
|  </ValDt> |
|  <EarlstPmtDt> |
|  <Dt><Dt>**2012-07-16**</Dt></Dt> |
|  </EarlstPmtDt> |
|  </DtDtls> |
|  <RateAndAmtDtls> |
|  <GrssDvddRate>  |
|  <Amt Ccy=**”PLN”**>**3.50**</Amt>  |
|  </GrssDvddRate> |
|  <WhldgTaxRate> |
|  <Rate>**10.00**</Rate> |
|  </WhldgTaxRate> |
|  </RateAndAmtDtls> |
|  </CshMvmntDtls> |
|  <AddtlInf> |
|  <AddtlTxt> |
|  <AddtlInf>PrtryId//**0123456789**</AddtlInf> |
|  </AddtlTxt> |
|  </AddtlInf> |
|  </CorpActnMvmntDtls> |
|  <CorpActnMvmntDtls> |
|  <OptnNb>**001**</OptnNb> |
|  <OptnTp> |
|  <Cd>**CASH**</Cd> |
|  </OptnTp> |
|  <CcyOptn>**PLN**</CcyOptn> |
|  <DfltPrcgOrStgInstr> |
|  <DfltOptnInd>**true**</DfltOptnInd> |
|  </DfltPrcgOrStgInstr> |
|  <CshMvmntDtls> |
|  <CdtDbtInd>**CRDT**<CdtDbtInd> |
|  <AmtDtls> |
|  <GrssCshAmt Ccy=**”PLN”**>**35000.00**</GrssCshAmt> |
|  <NetCshAmt Ccy=**”PLN”**>**29750.00**</NetCshAmt> |
|  <WhldgTaxAmt Ccy=**”PLN”**>**5250.00**</WhldgTaxAmt> |
|  <EntitldAmt Ccy=**”PLN”**>**29750.00**</EntitldAmt> |
|  </AmtDtls> |
|  <DtDtls> |
|  <PmtDt> |
|  <Dt><Dt>**2012-07-16**</Dt></Dt> |
|  </PmtDt> |
|  <ValDt> |
|  <Dt><Dt>**2012-07-16**</Dt></Dt> |
|  </ValDt> |
|  <EarlstPmtDt> |
|  <Dt><Dt>**2012-07-16**</Dt></Dt> |
|  </EarlstPmtDt> |
|  </DtDtls> |
|  <RateAndAmtDtls> |
|  <GrssDvddRate>  |
|  <Amt Ccy=**”PLN”**>**3.50**</Amt>  |
|  </GrssDvddRate> |
|  <WhldgTaxRate> |
|  <Rate>**15.00**</Rate> |
|  </WhldgTaxRate> |
|  </RateAndAmtDtls> |
|  </CshMvmntDtls> |
|  <AddtlInf> |
|  <AddtlTxt> |
|  <AddtlInf>PrtryId//**1123456789**</AddtlInf> |
|  </AddtlTxt> |
|  </AddtlInf> |
|  </CorpActnMvmntDtls> |
|  <AddtlInf> |
|  <AddtlTxt> |
|  <AddtlInf>**Informacje dodatkowe**</AddtlInf> |
|  </AddtlTxt> |
|  </AddtlInf> |
| </CorpActnMvmntPrlimryAdvc> |

**CACO** (*seev.036.001.03, Business Application Header omitted*)

|  |
| --- |
| <CorpActnMvmntConf> |
|  <NtfctnId> |
|  <Id>**1123456789010203**</Id> |
|  </NtfctnId> |
|  <MvmntPrlimryAdvcId> |
|  <Id>**2123456789010203**</Id> |
|  </MvmntPrlimryAdvcId> |
|  <CorpActnGnlInf> |
|  <CorpActnEvtId>**4100DVCA01020304**</CorpActnEvtId> |
|  <EvtTp> |
|  <Cd>**DVCA**</Cd> |
|  </EvtTp> |
|  <FinInstrmId> |
|  <ISIN>**PL0123456789**</ISIN> |
|  <Desc>**4100 Emitent S.A.**</Desc> |
|  </FinInstrmId> |
|  </CorpActnGnlInf> |
|  <AcctDtls> |
|  <SfkpgAcct>**01000100**</SfkpgAcct> |
|  <AcctOwnr> |
|  <PrtryId> |
|  <Id>**FFFF**</Id> |
|  <Issr>**KDPW**</Issr> |
|  </PrtryId> |
|  </AcctOwnr> |
|  <SfkpgPlc> |
|  <TpAndId> |
|  <SfkpgPlcTp>**NCSD**</SfkpgPlcTp> |
|  <Id>**KDPWPLPW**</Id> |
|  </TpAndId> |
|  </SfkpgPlc> |
|  <Bal> |
|  <ConfdBal> |
|  <Bal> |
|  <ShrtLngPos>**LONG**</ShrtLngPos> |
|  <QtyChc> |
|  <Qty> |
|  <Unit>**40000**</Unit> |
|  </Qty> |
|  </QtyChc> |
|  </Bal> |
|  </ConfdBal> |
|  <TtlElgblBal> |
|  <QtyChc> |
|  <SgndQty> |
|  <ShrtLngPos>**LONG**</ShrtLngPos> |
|  <Qty> |
|  <Unit>**40000**</Unit> |
|  </Qty> |
|  </SgndQty> |
|  </QtyChc> |
|  </TtlElgblBal> |
|  <SttlmPosBal> |
|  <Bal> |
|  <ShrtLngPos>**LONG**</ShrtLngPos> |
|  <QtyChc> |
|  <Qty> |
|  <Unit>**40000**</Unit> |
|  </Qty> |
|  </QtyChc> |
|  </Bal> |
|  </SttlmPosBal> |
|  </Bal> |
|  </AcctDtls> |
|  <CorpActnConfDtls> |
|  <OptnNb> |
|  <Nb>**001**</Nb> |
|  </OptnNb> |
|  <OptnTp> |
|  <Cd>**CASH**</Cd> |
|  </OptnTp> |
|  <CcyOptn>**PLN**</CcyOptn> |
|  <CshMvmntDtls> |
|  <CdtDbtInd>**CRDT**<CdtDbtInd> |
|  <AmtDtls> |
|  <PstngAmt Ccy=**”PLN”**>**94500.00**</PstngAmt> |
|  <GrssCshAmt Ccy=**”PLN”**>**105000.00**</GrssCshAmt> |
|  <NetCshAmt Ccy=**”PLN”**>**94500.00**</NetCshAmt> |
|  <WhldgTaxAmt Ccy=**”PLN”**>**10500.00**</WhldgTaxAmt> |
|  </AmtDtls> |
|  <DtDtls> |
|  <PstngDt> |
|  <Dt><Dt>**2012-07-17**</Dt></Dt> |
|  </PstngDt> |
|  <ValDt> |
|  <Dt><Dt>**2012-07-16**</Dt></Dt> |
|  </ValDt> |
|  <PmtDt> |
|  <Dt><Dt>**2012-07-16**</Dt></Dt> |
|  </PmtDt> |
|  </DtDtls> |
|  <RateAndAmtDtls> |
|  <GrssDvddRate>  |
|  <Amt Ccy=**”PLN”**>**3.50**</Amt>  |
|  </GrssDvddRate> |
|  <WhldgTaxRate> |
|  <Rate>**10.00**</Rate> |
|  </WhldgTaxRate> |
|  </RateAndAmtDtls> |
|  </CshMvmntDtls> |
|  <CshMvmntDtls> |
|  <CdtDbtInd>**CRDT**<CdtDbtInd> |
|  <AmtDtls> |
|  <PstngAmt Ccy=**”PLN”**>**29750.00**</PstngAmt> |
|  <GrssCshAmt Ccy=**”PLN”**>**35000.00**</GrssCshAmt> |
|  <NetCshAmt Ccy=**”PLN”**>**29750.00**</NetCshAmt> |
|  <WhldgTaxAmt Ccy=**”PLN”**>**5250.00**</WhldgTaxAmt> |
|  </AmtDtls> |
|  <DtDtls> |
|  <PstngDt> |
|  <Dt><Dt>**2012-07-17**</Dt></Dt> |
|  </PstngDt> |
|  <ValDt> |
|  <Dt><Dt>**2012-07-16**</Dt></Dt> |
|  </ValDt> |
|  <PmtDt> |
|  <Dt><Dt>**2012-07-16**</Dt></Dt> |
|  </PmtDt> |
|  </DtDtls> |
|  <RateAndAmtDtls> |
|  <GrssDvddRate>  |
|  <Amt Ccy=**”PLN”**>**3.50**</Amt>  |
|  </GrssDvddRate> |
|  <WhldgTaxRate> |
|  <Rate>**15.00**</Rate> |
|  </WhldgTaxRate> |
|  </RateAndAmtDtls> |
|  </CshMvmntDtls> |
|  </CorpActnConfDtls> |
|  <AddtlInf> |
|  <AddtlTxt>**Informacje dodatkowe**</AddtlTxt> |
|  </AddtlInf> |
| </CorpActnMvmntConf> |