SMPG IF WG

Reconciliation - Statements

20 November 2015

Table of Contents

[Table of Contents 2](#_Toc435527094)

[1 Introduction 3](#_Toc435527095)

[2 Scope 4](#_Toc435527096)

[3 Roles and Actors 6](#_Toc435527097)

[4 Activity Diagram 7](#_Toc435527098)

[5 Sequence Diagrams 8](#_Toc435527099)

[5.1 Custody Statement 8](#_Toc435527100)

[5.2 Transaction Statement 9](#_Toc435527101)

[6 Business Data Requirements 11](#_Toc435527102)

[6.1 Statements 11](#_Toc435527103)

[6.2 Cancellation of Statement 11](#_Toc435527104)

[6.3 Request and Status Advice 11](#_Toc435527105)

[7 Message Examples 12](#_Toc435527106)

[7.1 Statements 12](#_Toc435527107)

[7.2 Cancellation of Statement 17](#_Toc435527108)

[7.3 Request and Status Advice 19](#_Toc435527109)

[Revsision Record 22](#_Toc435527110)

# Introduction

This document contains the global market practice guidelines for the interpretation and usage of ISO 20022 statement messages by the players in the international investment funds industry.

It serves as a reference for the work of Investment Funds Working Group (IFWG) of the Securities Market Practice Group (SMPG) and is intended to be considered as a basis for market practices in the investment fund business. The definition of such market practices is an important task of the SMPG. It is intended for:

Sell side

* Fund management companies
* Transfer agents

Buy side

* Institutional investors
* Fund platforms and hubs
* Custodians
* Distributors of investment funds

However, its primary purpose is to provide a reference source of the ongoing development of national market practices - implementers are recommended to refer to relevant local market practice documentation in the first instance. The document was prepared in consultation with the following countries and organizations participating in the SMPG IFWG

* Brazil (BR)
* France (FR)
* Germany (DE)
* Ireland (IE)
* Italy (IT)
* Korea (KR)
* Luxembourg (LU)
* The Netherlands (NL)
* Norway (NO)
* Spain (ES)
* Switzerland (CH)
* Sweden (SE)
* United Kingdom (GB)
* United States (US)
* Clearstream (XS)
* Euroclear (XS)

This is a living document and is subject to future revision and addition as global market practice develops and evolves.

The main goal of this collaboration is to increase efficiency in the process of distribution and settlement in the cross border investment fund business, and is designed to complement the domestic market practice documents in each market

# Scope

The scope of this document covers the process of requesting and delivering investment fund holding and transaction statements using an automated messaging process. The recommendation of the SMPG is to communicate using the ISO 20022 message standard, which is non-proprietary and therefore network independent.

The process flows considered in this document are as follows:

* request for custody statement
* provision of custody statement
* cancellation of custody statement
* request for transaction statement
* provision of transaction statement
* cancellation of transaction statement
* associated status reporting

1. This market practice considers only the provision of statements provided by a fund manager or transfer agent, as the registrar of a fund. Market practice for the provision of statements by custodians and other account servicers downstream are created and maintained by the SMPG's Settlement & Reconciliation Working Group (see [www.smpg.info](http://www.smpg.info)).

Messages - Statements of Holdings

|  |  |  |  |
| --- | --- | --- | --- |
| Name | Identifier | Name | Identifier |
| Messages developed for funds | | Messages developed for Settlement & Reconciliation | |
| Custody Statement Of Holdings | semt.002.001.02 | Securities Balance Custody Report | semt.002.001.08 |
| Accounting Statement Of Holdings | semt.003.001.02 | Securities Balance Accounting Report | semt.003.001.08 |
| Custody Statement Of Holdings Cancellation | semt.004.001.02 | Securities Message Cancellation Advice | semt.020.001.04 |
| Accounting Statement Of Holdings Cancellation | semt.005.001.02 |

Version 2 of the semt.002 - 007 messages were developed as part of an investment funds message development project and are the result of a partial reverse engineering of the ISO 15022 message, the MT 535 Statement of Holdings.

Version 8 of the semt.002, 003 messages and the semt.020.001.04 message were developed as part of a settlement and reconciliation (S & R) message development project and are the result of a full reverse engineering of the ISO 15022 message, the MT 535 Statement of Holdings. They are said to be for generic securities use and will work for both investment funds and securities.

Funds has specific messages for the cancellation of previously sent statements, semt.004 and semt.005, whereas, in the message set developed for S & R, a single generic cancellation advice message (semt.020) is used.

At some stage, at a date still to be determined, the investment funds institutions may migrate to the 'generic' versions. This market practice covers the use of both the investment funds statements and the S & R statements and associated messages.

1. The IFWG considered the merits of using the AccountingStatementOfHoldings message (semt.003.001.02) in addition to, or instead of, CustodyStatementOfHoldings, but concluded that the custody statement provided all of the necessary functionality. The accounting statement includes mandatory pricing and valuation data, which in some cases will not be required and can be provided optionally in a custody statement.

Messages - Request For Statement

|  |  |
| --- | --- |
| Name | Identifier |
| Securities Statement Query | semt.021.001.05 |
| Securities Status Or Statement Query Status Advice | sese.022.001.03 |

Messages - Statement of Investment Fund Transaction

|  |  |
| --- | --- |
| Name | Identifier |
| Statement Of Investment Fund Transactions | semt.006.001.02 |
| Statement Of Investment Fund Transactions Cancellation | semt.007.001.02 |

Definitions

For the purposes of this document the term ‘investment fund’ and ‘fund’ include typical mutual fund and collective investment undertakings, such as unit trusts, open ended investment companies (OEIC[[1]](#footnote-1), SICAV[[2]](#footnote-2)) and contractual funds (FCP[[3]](#footnote-3)). Note that although it may be possible for alternative types of fund, for example, hedge funds, to follow the market practice, but the IFWG has not attempted to accommodate these specifically.

# Roles and Actors

This section describes the actors involved in the process outlined in this document, and the roles that they play.

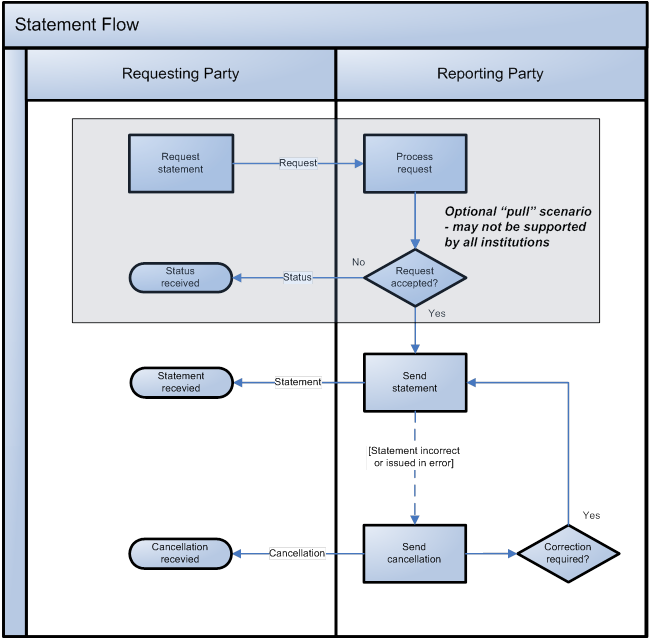
|  |  |
| --- | --- |
| Receiving Party | Reporting Party |
| The party that requests and receives a statement - usually the account owner or their agent | The party that issues the statement, either at an agreed frequency or on request from the Receiving Party. |

|  |  |  |  |
| --- | --- | --- | --- |
| Actor | Description | Examples/ synonyms | Typical Roles |
| Fund manager | The company that is responsible for the management and operation of the fund, for example, determines the investment strategy, appoints the service providers, and makes major decisions for the fund. It is usually responsible for promotion distribution and marketing of the fund. | Fund Company, Fund management company, Fund promoter | Reporting Party |
| Transfer agent | The entity that undertakes the execution of subscription, redemption and switch orders on behalf of the fund. |  | Reporting Party |
| Investor | The party whose money is invested. It can be one or more individuals or entities. |  | Receiving Party |
| Custodian | A party who holds the assets on behalf of an individual or institutional investor. They may be asked to send orders on behalf of the investor. |  | Receiving Party |
| Investment manager | An entity that may be appointed by an investor to make investment decisions on their behalf. |  | Receiving Party |
| Fund platform | An entity that collects and aggregates investor orders for placement with the registering party, and maintains the shares in its nominee account | Aggregator, consolidator | Receiving Party |
| Fund hub | An entity that manages and centralizes communication, settlement and coordination of individual orders among the various parties.  A Hub's services can range from managed order routing to settlement and asset servicing. | For example Vestima, Fundsettle, etc. | Receiving Party |
| Distributor | An entity through which investors may buy or sell funds units. This may be on an advisory or execution-only basis. | For example brokers, financial advisors, and banks. | Receiving Party |

# Activity Diagram

The following diagram provides an overview of the reporting process. The process is common to both custody and transaction statements.

Statements may be sent by the Reporting Party automatically at frequency or following specific events, as agreed between the Reporting Party and the Receiving Party.



# Sequence Diagrams

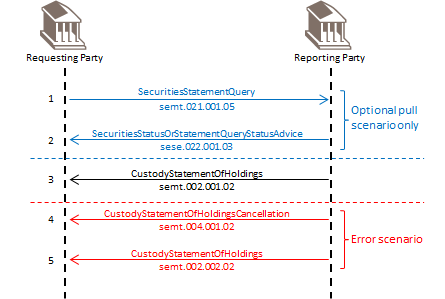
The following diagrams describe the communication flows for the request and provision of custody and transaction statements. They illustrate the exchange of messages between the Requesting Party and Reporting for the full end-to-end process, including the cancellation and re-issue of an incorrect statement.

Note that the Reporting and Receiving Parties will often agree that statements will be sent (pushed) automatically at a particular frequency or following specific events and, indeed, some institutions may not support the "pull" scenario. In the "push" scenario, the process will commence at step 3.

## Custody Statement

### Investment Funds Version of Custody Statement

This diagram describes the flow of messages with regard to the provision of a custody statement.



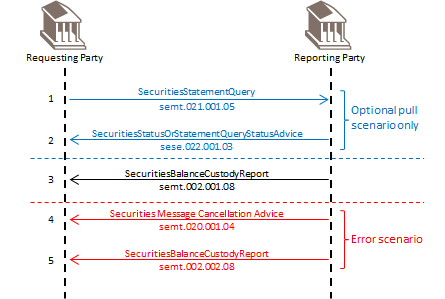
1. Where the "pull" scenario is supported, a request for a custody statement is sent by the Requesting Party to the Reporting Party.
2. If the request is not accepted by the Reporting Party, it sends a status message to the Requesting Party rejecting the request and specifying the reason for rejection.
3. If the request is accepted by the Reporting Party, it sends the custody statement to the Requesting Party. In the "push" scenario, the Reporting Party sends a custody statement to the Receiving Party at the agreed frequency.

Error scenario

1. If the statement is found to have been issued in error or contains incorrect information, a statement cancellation message is sent by the Reporting Party to the Requesting Party specifying the reason for cancellation.
2. If the cancellation is because the statement contained incorrect information, the Reporting Party sends a new custody statement to the Requesting Party.
3. The generic Securities Message Cancellation Advice (semt.020.001.04) message may be used in the above flow instead of the Custody Statement Of Holdings Cancellation (semt.004.001.02) message.

### Generic Custody Statement

This diagram describes the flow of messages with regard to the provision of a custody statement.



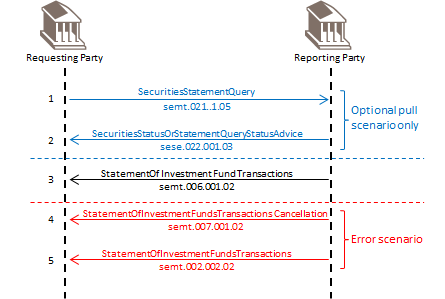
1. Where the "pull" scenario is supported, a request for a custody statement is sent by the Requesting Party to the Reporting Party.
2. If the request is not accepted by the Reporting Party, it sends a status message to the Requesting Party rejecting the request and specifying the reason for rejection.
3. If the request is accepted by the Reporting Party, it sends the custody statement to the Requesting Party. In the "push" scenario, the Reporting Party sends a custody statement to the Receiving Party at the agreed frequency.

Error scenario

1. If the statement is found to have been issued in error or contains incorrect information, a statement cancellation message is sent by the Reporting Party to the Requesting Party specifying the reason for cancellation.
2. If the cancellation is because the statement contained incorrect information, the Reporting Party sends a new custody statement to the Requesting Party.

## Transaction Statement

This diagram describes the flow of messages with regard to the provision of a transaction statement.



1. Where the "pull" scenario is supported, a request for a transaction statement is sent by the Requesting Party to the Reporting Party.
2. If the request is not accepted by the Reporting Party, it sends a status message to the Requesting Party rejecting the request and specifying the reason for rejection.
3. If the request is accepted by the Reporting Party, it sends the transaction statement to the Requesting Party. In the "push" scenario, the Reporting Party sends a custody statement to the Receiving Party at the agreed frequency.

Error scenario

1. If the statement is found to have been issued in error or contains incorrect information, a statement cancellation message is sent by the Reporting Party to the Requesting Party specifying the reason for cancellation.
2. If the cancellation is because the statement contained incorrect information, the Reporting Party sends a new transaction statement to the Requesting Party.

# Business Data Requirements

This section describes the business information that will be needed for the process to take place.

## Statements

For the detailed global market practice, see MyStandards:

|  |  |
| --- | --- |
| Collection Name | Message Usage Guidelines |
| SMPG-Global-IF-Statements-CONSOLIDATED-Draft (2015-11-20) | 01\_CustodyStatementOfHoldingsV02\_semt.002.001.02 |
| 02\_SecuritiesBalanceCustodyReportV08\_semt.002.001.08 |
| 03\_StatementOfInvestmentFundTransactionsV02\_semt.006.001.02 |

## Cancellation of Statement

For the detailed global market practice, see MyStandards:

|  |  |
| --- | --- |
| Collection Name | Message Usage Guidelines |
| SMPG-Global-IF-Statements-CONSOLIDATED-Draft (2015-11-20) | 04\_CustodyStatementOfHoldingsCancellationV02\_semt.004.001.02 |
| 05\_StatementOfInvestmentFundTransactionsCancellationV02\_semt.007.001.02 |
| 06\_SecuritiesMessageCancellationAdviceV04\_semt.020.001.04 |

## Request and Status Advice

For the detailed global market practice, see MyStandards:

|  |  |
| --- | --- |
| Collection Name | Message Usage Guidelines |
| SMPG-Global-IF-Statements-CONSOLIDATED-Draft (2015-11-20) | 07\_SecuritiesStatementQueryV01\_semt.021.001.001.05 |
| 08\_SecuritiesStatusOrStatementQueryStatusAdviceV03\_sese.022.001.03 |

# Message Examples

An simple illustration is shown of each message included in the market practice. The account owner is PEFIGBLL and the account servicer is TATALULL. When a message from the 'settlement and reconciliation messages' (semt.002.001.08, semt.020.001.04, semt.021.001.05, sese.022.001.03) is illustrated, the ISO Business Application Header (BAH) is also shown, since these messages are explicitly designed to be used with the BAH.

## Statements

### CustodyStatementOfHoldings semt.002.001.02

The statement reports on two holdings, ISIN LU1234567890 and LU0987456123.

|  |  |
| --- | --- |
| Message | Comment |
| <Document xmlns=" urn:iso:std:iso:20022:tech:xsd:semt.002.001.02"> |  |
| <CtdyStmtOfHldgsV02> |  |
| <MsgId> |  |
| <Id>ASS001</Id> | Technical reference, typically system generated. |
| <CreDtTm>2015-11-30T09:00:00</CreDtTm> | Technical, typically system generated. |
| </MsgId> |  |
| <MsgPgntn> |  |
| <PgNb>1</PgNb> | Statement has one page |
| <LastPgInd>true</LastPgInd> |
| </MsgPgntn> |  |
| <StmtGnlDtls> |  |
| <Ref>CustStat111</Ref> | Reference for the statement |
| <StmtDtTm> |  |
| <Dt>2015-11-30</Dt> | Statement date. |
| </StmtDtTm> |  |
| <Frqcy> |  |
| <FrqcyAsCd>MNTH</FrqcyAsCd> | This is a monthly statement. |
| </Frqcy> |  |
| <UpdTp> |  |
| <StmtUpdTpAsCd>COMP</StmtUpdTpAsCd> | Statement is complete. |
| </UpdTp> |  |
| <ActvtyInd>true</ActvtyInd> |  |
| <StmtBsis> |  |
| <StmtBsisAsCd>TRAD</StmtBsisAsCd> | Statement based on trade date positions. |
| </StmtBsis> |  |
| </StmtGnlDtls> |  |
| <AcctDtls> |  |
| <Id> |  |
| <SmplId> |  |
| <Prtry> |  |
| <Id>11111111</Id> | Account for which the statement is issued. |
| </Prtry> |  |
| </SmplId> |  |
| </Id> |  |
| <FngbInd>true</FngbInd> |  |
| </AcctDtls> |  |
| <BalForAcct> | Balance For Account Repetition 1 |
| <AggtQty> |  |
| <Qty> |  |
| <Unit>1000</Unit> | Aggregate quantity is 1000 units. |
| </Qty> |  |
| </AggtQty> |  |
| <FinInstrmDtls> |  |
| <Id> |  |
| <ISIN>LU1234567890</ISIN> | Financial instrument. |
| </Id> |  |
| </FinInstrmDtls> |  |
| </BalForAcct> |  |
| <BalForAcct> | Balance For Account Repetition 2 |
| <AggtQty> |  |
| <Qty> |  |
| <Unit>750</Unit> | Aggregate quantity is 75 units. |
| </Qty> |  |
| </AggtQty> |  |
| <FinInstrmDtls> |  |
| <Id> |  |
| <ISIN>LU0987456123</ISIN> | Financial instrument. |
| </Id> |  |
| </FinInstrmDtls> |  |
| </BalForAcct> |  |
| </CtdyStmtOfHldgsV02> |  |
| </Document> |  |

### SecuritiesBalanceCustodyReport semt.002.001.08

The statement reports on two holdings, ISIN LU1234567890 and LU0987456123..

|  |  |
| --- | --- |
| Message | Comment |
| <AppHdr xmlns="urn:iso:std:iso:20022:tech:xsd:head.001.001.01"> |  |
| <Fr> |  |
| <OrgId> |  |
| <Id> |  |
| <OrgId> |  |
| <AnyBIC>TATALULL</AnyBIC> | Sender of the message. |
| </OrgId> |  |
| </Id> |  |
| </OrgId> |  |
| </Fr> |  |
| <To> |  |
| <OrgId> |  |
| <Id> |  |
| <OrgId> |  |
| <AnyBIC> PEFIGB22</AnyBIC> | Receiver of the message. |
| </OrgId> |  |
| </Id> |  |
| </OrgId> |  |
| </To> |  |
| <BizMsgIdr>ASS001</BizMsgIdr> | Message identification |
| <MsgDefIdr>sese.002.001.08</MsgDefIdr> | Message specified in the <Document> |
| <CreDt>2015-11-17T09:00:00Z</CreDt> | Date and time message created. |
| </AppHdr> |  |
|  |  |
| <Document xmlns="urn:iso:std:iso:20022:tech:xsd:semt.002.001.08"> |  |
| <SctiesBalCtdyRpt> |  |
| <Pgntn> |  |
| <PgNb>1</PgNb> | Statement has one page |
| <LastPgInd>true</LastPgInd> |  |
| </Pgntn> |  |
| <StmtGnlDtls> |  |
| <StmtId>CustStat111</StmtId> | Reference for the statement |
| <StmtDtTm> |  |
| <Dt>2015-11-30</Dt> | Statement date |
| </StmtDtTm> |  |
| <Frqcy> |  |
| <Cd>MNTH</Cd> | This is a monthly statement. |
| </Frqcy> |  |
| <UpdTp> |  |
| <Cd>COMP</Cd> | Statement is complete |
| </UpdTp> |  |
| <StmtBsis> |  |
| <Cd>TRAD</Cd> | Statement based on trade date positions. |
| </StmtBsis> |  |
| <ActvtyInd>true</ActvtyInd> |  |
| <SubAcctInd>true</SubAcctInd> |  |
| </StmtGnlDtls> |  |
| <SfkpgAcct> |  |
| <Id>11111111</Id> | Account for which the statement is issued. |
| </SfkpgAcct> |  |
| <BalForAcct> | Balance For Account Repetition 1 |
| <FinInstrmId> |  |
| <ISIN>LU1234567890</ISIN> | Financial instrument. |
| </FinInstrmId> |  |
| <AggtBal> |  |
| <ShrtLngInd>LONG</ShrtLngInd> | Balance is positive. |
| <Qty> |  |
| <Qty> |  |
| <Qty> |  |
| <Unit>1000</Unit> | Aggregate quantity is 1000 units. |
| </Qty> |  |
| </Qty> |  |
| </Qty> |  |
| </AggtBal> |  |
| </BalForAcct> |  |
| <BalForAcct> |  |
| <FinInstrmId> |  |
| <ISIN>LU0987456123</ISIN> | Financial instrument. |
| </FinInstrmId> |  |
| <AggtBal> |  |
| <ShrtLngInd>LONG</ShrtLngInd> | Balance is positive. |
| <Qty> |  |
| <Qty> |  |
| <Qty> |  |
| <Unit>750</Unit> | Aggregate quantity is 1000 units. |
| </Qty> |  |
| </Qty> |  |
| </Qty> |  |
| </AggtBal> |  |
| </BalForAcct> |  |
| </SctiesBalCtdyRpt> |  |
| </Document> |  |

### StatementOfInvestmentFundTransactions semt.006.001.02

The statement of transaction is for the month of November and reports two transactions for ISIN LU3333333333..

|  |  |
| --- | --- |
| Message | Comment |
| <Document xmlns=" urn:iso:std:iso:20022:tech:xsd:semt.006.001.02"> |  |
| <StmtOfInvstmtFndTxsV02> |  |
| <MsgId> |  |
| <Id>BSS001</Id> | Technical reference, typically system generated. |
| <CreDtTm>2015-11-30T09:00:00</CreDtTm> | Technical, typically system generated. |
| </MsgId> |  |
| <MsgPgntn> |  |
| <PgNb>1</PgNb> | Statement has one page |
| <LastPgInd>true</LastPgInd> |
| </MsgPgntn> |  |
| <StmtGnlDtls> |  |
| <Ref>TransStat111</Ref> | Reference for the statement |
| <StmtPrd> |  |
| <FrDt>2015-11-01</FrDt> | Statement period start date. |
| <ToDt>2015-11-30</ToDt> | Statement period end date |
| </StmtPrd> |  |
| <UpdTp>COMP</UpdTp> | Statement is complete. |
| <ActvtyInd>true</ActvtyInd> |  |
| </StmtGnlDtls> |  |
| <InvstmtAcctDtls> |  |
| <Id> |  |
| <Prtry> |  |
| <Id>11111111</Id> | Account for which the statement is issued. |
| </Prtry> |  |
| </Id> |  |
| </InvstmtAcctDtls> |  |
| <TxOnAcct> |  |
| <Id> |  |
| <ISIN>LU3333333333</ISIN> | Financial instrument. |
| </Id> |  |
| <TxDtls> | Transaction Details Repetition 1 |
| <TxTp>SUBS</TxTp> | Transaction is a subscription |
| <SttldTxInd>true</SttldTxInd> |  |
| <RegdTxInd>true</RegdTxInd> |  |
| <UnitsQty> |  |
| <Unit>1500</Unit> | Number of units subscribed. |
| </UnitsQty> |  |
| <CdtDbt>CRDT</CdtDbt> | Securities are received (credited). |
| <SttlmAmt Ccy="EUR">15000</SttlmAmt> | Settlement amount (price x units in this example) |
| <TradDtTm> |  |
| <Dt>2015-11-05</Dt> | Trade date. |
| </TradDtTm> |  |
| <CumDvddInd>true</CumDvddInd> |  |
| <PrtlyExctdInd>false</PrtlyExctdInd> |  |
| <PricDtls> |  |
| <Tp>NAVL</Tp> | Price type. |
| <Val> |  |
| <Amt Ccy="EUR">10</Amt> | Price. |
| </Val> |  |
| </PricDtls> |  |
| </TxDtls> |  |
| <TxDtls> | Transaction Details Repetition 2 |
| <TxTp>REDM</TxTp> | Transaction is a redemption |
| <SttldTxInd>true</SttldTxInd> |  |
| <RegdTxInd>true</RegdTxInd> |  |
| <UnitsQty> |  |
| <Unit>800</Unit> | Number of units redeemed. |
| </UnitsQty> |  |
| <CdtDbt>DBIT</CdtDbt> | Securities are delivered (debited). |
| <SttlmAmt Ccy="EUR">8000</SttlmAmt> | Settlement amount (price x units in this example) |
| <TradDtTm> |  |
| <Dt>2015-11-16</Dt> | Trade date. |
| </TradDtTm> |  |
| <CumDvddInd>true</CumDvddInd> |  |
| <PrtlyExctdInd>false</PrtlyExctdInd> |  |
| <PricDtls> |  |
| <Tp>NAVL</Tp> | Price type. |
| <Val> |  |
| <Amt Ccy="EUR">10</Amt> | Price. |
| </Val> |  |
| </PricDtls> |  |
| </TxDtls> |  |
| </TxOnAcct> |  |
| </StmtOfInvstmtFndTxsV02> |  |
| </Document> |  |

## Cancellation of Statement

### CustodyStatementOfHoldingsCancellation semt.004.001.02

The cancellation is the cancellation of a custody statement of holdings message with message identification ASS001.

|  |  |
| --- | --- |
| Message | Comment |
| <Document xmlns=" urn:iso:std:iso:20022:tech:xsd:semt.004.001.02"> |  |
| <CtdyStmtOfHldgsCxlV02> |  |
| <MsgId> |  |
| <Id>ASS022</Id> | Technical reference, typically system generated. |
| <CreDtTm>2015-11-30T10:00:00</CreDtTm> | Technical, typically system generated. |
| </MsgId> |  |
| <PrvsRef> |  |
| <Ref>ASS001</Ref> | Reference of the statement cancelled. |
| <MsgNm>semt.002.001.02</MsgNm> | Identifier of the statement message cancelled |
| </PrvsRef> |  |
| <MsgPgntn> |  |
| <PgNb>1</PgNb> |  |
| <LastPgInd>true</LastPgInd> |  |
| </MsgPgntn> |  |
| </CtdyStmtOfHldgsCxlV02> |  |
| </Document> |  |

### SecuritiesMessageCancellationAdvice semt.020.001.04

The cancellation is the cancellation of a custody statement of holdings message with reference CustStat111.

|  |  |
| --- | --- |
| Message | Comment |
| <AppHdr xmlns="urn:iso:std:iso:20022:tech:xsd:head.001.001.01"> |  |
| <Fr> |  |
| <OrgId> |  |
| <Id> |  |
| <OrgId> |  |
| <AnyBIC>PEFIGB22</AnyBIC> | Sender of the message. |
| </OrgId> |  |
| </Id> |  |
| </OrgId> |  |
| </Fr> |  |
| <To> |  |
| <OrgId> |  |
| <Id> |  |
| <OrgId> |  |
| <AnyBIC>TATALULL</AnyBIC> | Receiver of the message. |
| </OrgId> |  |
| </Id> |  |
| </OrgId> |  |
| </To> |  |
| <BizMsgIdr>ASS022</BizMsgIdr> | Message identification |
| <MsgDefIdr>sese.020.001.04</MsgDefIdr> | Message specified in the <Document> |
| <CreDt>2015-11-17T10:00:00Z</CreDt> | Date and time message created. |
| </AppHdr> |  |
|  |  |
| <Document xmlns="urn:iso:std:iso:20022:tech:xsd:semt.020.001.04"> |  |
| <SctiesMsgCxlAdvc> |  |
| <Ref> |  |
| <SctiesBalCtdyRptId>ASS001</SctiesBalCtdyRptId> | Reference of the message cancelled. |
| </Ref> |  |
| <SfkpgAcct> |  |
| <Id>11111111</Id> | Account for which the statement is cancelled (mandatory) |
| </SfkpgAcct> |  |
| </SctiesMsgCxlAdvc> |  |
| </Document> |  |

### StatementOfInvestmentFundTransactionsCancellation semt.006.001.02

The cancellation is the cancellation of a statement of investment fund transactions statement message with message identification BSS001.

|  |  |
| --- | --- |
| Message | Comment |
| <Document xmlns=" urn:iso:std:iso:20022:tech:xsd:semt.007.001.02"> |  |
| <StmtOfInvstmtFndTxsCxlV02> |  |
| <MsgId> |  |
| <Id>BSS045</Id> | Technical reference, typically system generated. |
| <CreDtTm>2001-12-17T09:30:47Z</CreDtTm> | Technical, typically system generated. |
| </MsgId> |  |
| <PrvsRef> |  |
| <Ref>BSS001</Ref> | Reference of the statement cancelled. |
| <MsgNm>semt.006.002.02</MsgNm> | Message identifier of the statement message cancelled |
| </PrvsRef> |  |
| <MsgPgntn> |  |
| <PgNb>1</PgNb> |  |
| <LastPgInd>true</LastPgInd> |  |
| </MsgPgntn> |  |
| </StmtOfInvstmtFndTxsCxlV02> |  |
| </Document> |  |

## Request and Status Advice

### SecuritiesStatementQuery semt.021.001.05

The request is a request for a Custody Statement of Holdings semt.002.002.02 message for account 11111111.

|  |  |
| --- | --- |
| Message | Comment |
| <AppHdr xmlns="urn:iso:std:iso:20022:tech:xsd:head.001.001.01"> |  |
| <Fr> |  |
| <OrgId> |  |
| <Id> |  |
| <OrgId> |  |
| <AnyBIC>PEFIGB22</AnyBIC> | Sender of the statement request |
| </OrgId> |  |
| </Id> |  |
| </OrgId> |  |
| </Fr> |  |
| <To> |  |
| <OrgId> |  |
| <Id> |  |
| <OrgId> |  |
| <AnyBIC>TATALULL</AnyBIC> | Receiver of the statement request |
| </OrgId> |  |
| </Id> |  |
| </OrgId> |  |
| </To> |  |
| <BizMsgIdr>CA00001</BizMsgIdr> | Message identification |
| <MsgDefIdr>sese.021.001.05</MsgDefIdr> | Message specified in the <Document> |
| <CreDt>2015-11-17T08:15:47Z</CreDt> | Date and time message created. |
| </AppHdr> |  |
|  |  |
| <Document xmlns="urn:iso:std:iso:20022:tech:xsd:semt.021.001.05"> |  |
| <SctiesStmtQry> |  |
| <StmtReqd> |  |
| <Nb> |  |
| <LngNb>semt.002.001.02</LngNb> | Statement type requested (custody statement of holdings) |
| </Nb> |  |
| </StmtReqd> |  |
| <SfkpgAcct> |  |
| <Id>11111111</Id> | Account for which the statement is requested. |
| </SfkpgAcct> |  |
| </SctiesStmtQry> |  |
| </Document> |  |

### SecuritiesStatusOrStatementQueryStatusAdvice sese.022.001.03

The Securities Status Or Statement Query Status Advice sese.022.001.03 is sent in response to a request for statement message.

|  |  |
| --- | --- |
| Message | Comment |
| <AppHdr xmlns="urn:iso:std:iso:20022:tech:xsd:head.001.001.01"> |  |
| <Fr> |  |
| <OrgId> |  |
| <Id> |  |
| <OrgId> |  |
| <AnyBIC>TATALULL</AnyBIC> | Sender of the message. |
| </OrgId> |  |
| </Id> |  |
| </OrgId> |  |
| </Fr> |  |
| <To> |  |
| <OrgId> |  |
| <Id> |  |
| <OrgId> |  |
| <AnyBIC>PEFIGB22</AnyBIC> | Receiver of the message. |
| </OrgId> |  |
| </Id> |  |
| </OrgId> |  |
| </To> |  |
| <BizMsgIdr>DF00001</BizMsgIdr> | Message identification |
| <MsgDefIdr>sese.022.001.03</MsgDefIdr> | Message specified in the <Document> |
| <CreDt>2015-11-17T08:25:47Z</CreDt> | Date and time message created. |
| </AppHdr> |  |
|  |  |
| <Document xmlns="urn:iso:std:iso:20022:tech:xsd:sese.022.001.03"> |  |
| <SctiesStsOrStmtQryStsAdvc> |  |
| <QryDtls> |  |
| <MsgNb> |  |
| <LngNb>semt.021.001.05</LngNb> | Identifier of the message for which the status is given. |
| </MsgNb> |  |
| <Ref> |  |
| <Id>CA00001</Id> | Reference of the message for which the status is given. |
| </Ref> |  |
| </QryDtls> |  |
| <SfkpgAcct> |  |
| <Id>11111111</Id> | Account for which the statement was requested |
| </SfkpgAcct> |  |
| <PrcgSts> |  |
| <AckdAccptd> | Status is 'acknowldged'. |
| <NoSpcfdRsn>NORE</NoSpcfdRsn> |  |
| </AckdAccptd> |  |
| </PrcgSts> |  |
| </SctiesStsOrStmtQryStsAdvc> |  |
| </Document> |  |

# Revision Record

|  |  |  |  |
| --- | --- | --- | --- |
| Version | Status | Comment | Date |
| 0.0.0.1 | Draft | First draft | August 2011 |
| 0.0.0.2 | Draft | Amendments to activity and sequence diagrams to highlight that "push" scenario is likely to be the most common | January 2012 |
| 0.0.0.3 | Draft | Amended to make reference to MyStandards usage guidelines instead of spreadsheets | March 2014 |
| 0.0.0.4 | Draft | Amended to include use of the Settlement and Reconciliation version of semt.002 and other associated messages.  Re-worked using new word template. | 20 November 2015 |

1. Open-Ended Investment Company [↑](#footnote-ref-1)
2. Société d’Investissement a Capital Variable [↑](#footnote-ref-2)
3. Fonds Commun de Placement [↑](#footnote-ref-3)