

Annex 1

Settlement instructions where the delivering and receiving party is the same

TransType	Description	Long Description	Underlying Trade?	Buy-In	Comments
CONV	DR Conversion	Relates to a depository receipt conversion.	N	N	Initiator of the conversion is the is delivering and receiving party
OWNE	External Account Transfer	Relates to an account transfer involving more than one instructing party (messages sender) and/or account servicer (messages receiver).	N	N	Own Account Transfer - not a trade
OWNI	Internal Account Transfer	Relates to an account transfer involving one instructing party (messages sender) at one account servicer (messages receiver).	N	N	Own Account Transfer - not a trade
PORT	Portfolio Move	Relates to a portfolio move from one investment manager to another and/or from an account servicer to another. It is generally charged differently than another account transfer (OWNE, OWNI, INSP), hence the need to identify this type of transfer as such.	N	N	Portfolio Transfer - not a trade, but used to move depositories, initiator is beneficiary of positions in both entities
REAL	Realignment	Relates to a realignment of positions.	N	N	Used for depot-transfers in case of settlements in a different CSD than the positions are located, ordering party equals receiving party
REDI	Withdrawal	Relates to the withdrawal of specified amounts from specified sub-accounts.	N	N	Corporate Action process
RELE	DR Release/Cancellation	Relates to a release (into/from local) of Depository Receipt operation.	N	N	Initiator is the is delivering and receiving party
SBRE	Borrowing Reallocation	Internal reallocation of a borrowed holding from one safekeeping account to another.	N	N	done for bookkeeping purposes
SLRE	Lending Reallocation	Internal reallocation of a holding on loan from one safekeeping account to another.	N	N	done for bookkeeping purposes

Primary Market Operations

TransType	Description	Long Description	Underlying Trade?	Buy-In	Comments
ETFT	Exchange Traded Funds	Relates to an exchange traded fund (ETF) creation or redemption.	N	N	Issuance Process
ISSU	Issuance	Relates to the issuance of a security such as an equity or a depository receipt.	N	N	Primary Market Operation
NSYN	Non-Syndicated	Relates to the issue of medium and short-term paper (CP, CD, MTN, notes ...) under a program and without syndication arrangement.	N	N	Primary Market Operation
PLAC	Placement	Relates to the placement/new issue of a financial instrument.	N	N	Primary Market Operation
REDM	Redemption (Funds)	Relates to a redemption of Funds (Funds Industry ONLY).	N	N	Primary Market Operation
RELE	DR Release/Cancellation	Relates to a release (into/from local) of Depository Receipt operation.	N	N	Primary Market Operation
SUBS	Subscription (Funds)	Relates to a subscription to funds (Funds Industry ONLY).	N	N	Primary Market Operation
SYND	Syndicate of Underwriters	Relates to the issue of financial instruments through a syndicate of underwriters and a Lead Manager.	N	N	Primary Market Operation
TBAC	TBA Closing	Relates to a To Be Announced (TBA) closing trade.	N	N	Issuance Process
SWIF	Fonds Switch From		N	N	Primary Market Operation
SWIT	Fonds Switch To		N	N	Primary Market Operation

Settlement instructions in which there is no delivering and receiving trading parties

TransType	Description	Long Description	Underlying Trade?	Buy-In	Comments
CNCB	Central Bank Collateral Operation	Relates to a collateral delivery/receipt to a National Central Bank for central bank credit operations.	N	N	Collateral delivery is not a trade hence no buy-in possible
COLI	Collateral In	Relates to a collateral transaction, from the point of view of the collateral taker or its agent.	N	N	No Trading Party, but rather Collateral allocation
COLO	Collateral Out	Relates to a collateral transaction, from the point of view of the collateral giver or its agent.	N	N	No Trading Party, but rather Collateral allocation