



Delivery of FinalTerms via a System two System Solution

Functional Interface Specification

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1. Introduction

The way that Dutch issuers of prospectuses can deliver related Final Terms to the AFM is going to be automated by means of a System to System solution. For this solution this interface specification has been provided. It specifies the details of the technical interface. Since the interaction is mainly file based, an sFTP solution has been chosen. All Final Terms provided to AFM will be forwarded to the European Securities and Markets Authority (ESMA).

This document is intended for a technical audience.

1.1 Purpose of this document

This Interface Specifications defines the technical specifications of the IT solution, System to System (S2S), required for AFM and issuers of large amounts of Final Terms to meet their obligations in relation to the Prospectus Regulation (EU 2017/1129). The Interface Specification document aims at:

- detailing the required functionality;
- serving as input for the development of the technical components

Figure 1 shows the high level overview of the S2S interface and the involved systems.

This document will also describe what information is required by AFM in order for a S2S customer to be granted access to the S2S interface of the AFM. The S2S interface is based on secure file transfer protocol (sftp). The issuer will upload the Final Terms documents as a zipped file to an sFTP server which will be hosted by the AFM. Along with one or more Final Terms documents an Extensible Markup Language (XML) file must be included in the ZIP file describing all information related to each Final Terms document.

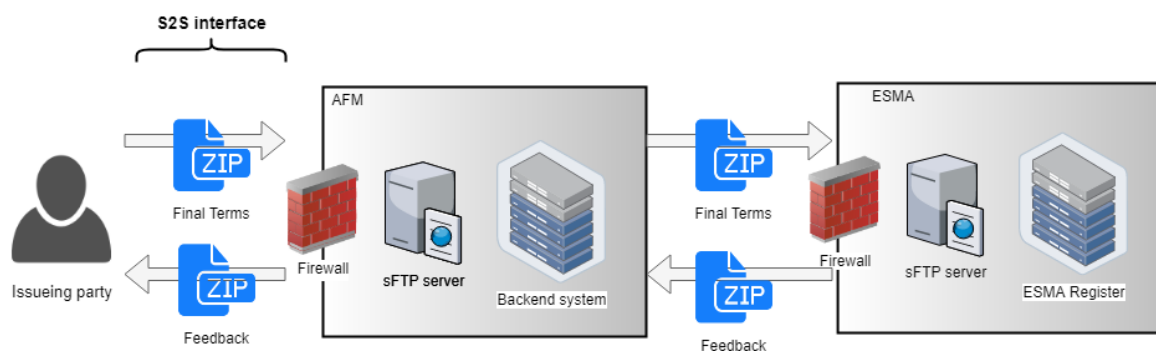


Figure 1 High level view S2S interface

The format of the ZIP file name, XML file name and their content has to comply with the requirements defined in this interface specification document.

1.2 Explanation of schema tables

In this document XML schemas are described with images and tables. It is expected that the reader of this document is familiar with XSD annotations. For clarification this section explains the cardinality column in the tables describing the XSD fields.

Card	Definition
1 .. 1	Single mandatory element. This field must exist in the XML and it must have a value
1 .. n	Recurring mandatory element. At least one instance of the element must exist. More than one instances are allowed
0 .. 1	Single optional element. This field is not mandatory. If it is included in the XML it should have a value
0 .. n	Recurring optional element. Zero or more instances are allowed.

2. System Overview

2.1 Business process diagram

The below diagram presents the high-level overview of the business process supported by the system. The AFM will port incoming requests to ESMA for publication on the ESMA Register and for notification to host member states

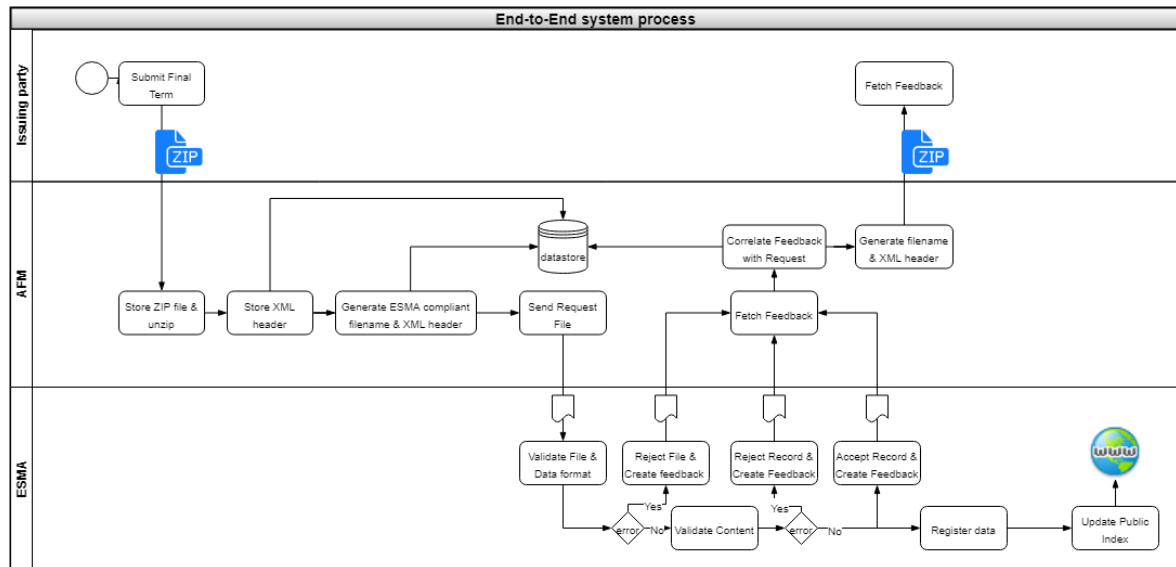


Figure 2 End to End System Process

The main role of the AFM system in this process is to transport all delivered files to ESMA. The AFM system will only convert the filename of the ZIP file to a naming convention complying to ESMA standards and in addition because of this naming convention only just a bare minimum has to be updated in the header in the input XML and Feedback XML for correlation purposes.

The following key principles were followed during the system design:

- All XML messages exchanged will be conform to ISO 20022 XML format.
- AFM is responsible for transporting the Final Term submissions to the ESMA
- All validations are to be performed by the ESMA Systems.
- ESMA is responsible for the administration of the ESMA Register.

2.2 Final Term document

The Final Term document that will be included in the zip file must be in PDF format. When applicable the issuance specific summary and all required translations of the summary will have to be included in the same single document.

2.3 Supported scenario's

The following scenarios are supported:

- New Final Term record
- Modification of Final Term record
- Correction of Final Term record
- Cancellation of Final Term record

2.4 SFTP transport

The AFM provides a Secure File Transfer Protocol (SFTP) server for S2S parties. SFTP is a secure protocol that allows to safely exchange (encrypted) files between parties. In addition to the SFTP protocol the AFM will also only allow access to the SFPT server based on the IP address of the connecting party (Whitelisting). So it is important that the IP address of the connecting server of the S2S party is known to the AFM.

The AFM will inform the S2S parties how and when the access to the SFTP server can be requested.

2.4.1 Folder structure on SFTP server of AFM

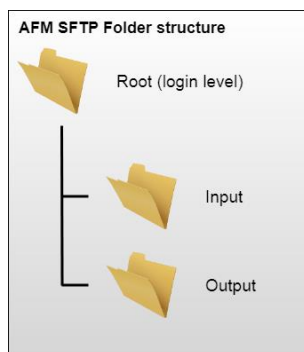


Figure 3SFTP folder structure

Once logged in the SFTP server of the AFM the S2S party has access to a number of folders.

- *Input*: This is the folder where ZIP files need to be submitted by S2S party.
- *Output*: The AFM system will put the response XML files in this folder. The S2S party can pull the response (Feedback) file from this folder.

2.5 File naming conventions

The XML files exchanged between a Submitting entity and AFM must comply with the following naming convention:

`<SenderCode>_<FileType>_<CustomCode>.xml`

Example: ABC123_DATPRI_1234567890.xml

The Submitting entity archives the XML file into a ZIP file and uploads onto the AFM sFTP server. Its name must comply with the same naming convention:

`<SenderCode>_<FileType>_<CustomCode>.zip`

Example: ABC123_DATPRI_1234567890.zip

As soon as AFM routes the response (feedback) file, it suffixes it with a timestamp in YYYYMMDDHHMMSS format (24h format, UTC). Therefore, as soon as the file is placed in the Submitting entity's Outgoing folder, the naming convention for the files becomes:

<SenderCode>_<FileType>_<CustomCode>_Timestamp.zip

Example: ABC123_FDBPRI_1234567890_20200515133010.zip

This response file will contain an XML file in the format:

<SenderCode>_<FileType>_<CustomCode>_Timestamp.xml

Example: ABC123_FDBPRI_1234567890_20200515133010.xml

2.5.1 Incoming direction

AFM downloads the file from the Incoming folder dedicated to it, unzips the ZIP file and checks that XML filename and ZIP filename are consistent.

The following table provides description of the components of the filename:

Component	Definition
SenderCode	6 CHAR identifier of sending party. This identifier will be supplied by AFM after requesting access to the AFM sFTP server
FileType	A 6-character attribute. This is the identifier of the type of file to be submitted. This shall be set to DATPRI
CustomCode	A unique 10-character (fixed length) identifier. This identifier can be a number or a string. This identifier will allow for correlating submitted files with returned feedback files. The sending party is responsible for making sure that each submitted file has a unique CustomCode. The CustomCode has to be unique for every file that is submitted. Submitting a file with the same name twice is not allowed.

Table 1 Incoming file naming conventions

2.5.2 Outgoing direction

The following table provides description of the components of the filename:

Component	Definition
SenderCode	6 CHAR identifier of sending party. This identifier will be supplied by AFM after requesting access to the AFM sFTP server
FileType	A 6-character attribute. This is the identifier of the type of file returned. This shall be set to

	FDBPRI
CustomCode	A unique 10-character (fixed length) identifier. This identifier can be a number or a string. This identifier will allow for correlating submitted files with returned feedback files. This identifier in the Outgoing direction correlates with the CustomCode in a previously submitted file.
Timestamp	A timestamp in YYYYMMDDHHMMSS format (24h format, UTC) indicating the time the Feedback file was returned by ESMA.

Table 2 Outgoing file naming conventions

2.6 File types

The following types of files are allowed for this system:

File Type code	Data	Category	AFM folder
DATPRI	File that contains data to be submitted to the ESMA Register.	Incoming file	Incoming
FDBPRI	Feedback files generated by the ESMA Register on a DAT file.	Feedback file	Outgoing

Table 3 File types

2.7 Folder structure within ZIP file (input)

The submitting parties are free to create file structures in the zip file that would be more convenient for them in order to place the physical documents. It is important that the included files and filepaths correspond to the filepaths in the XML.

However, the XML file must not be placed under a folder in a zip file but always be under the root of the zip.

Examples of possible paths for the physical documents:

1 <Pth>folder1/folder_a/physical_document1.pdf</Pth>

The physical document (physical_document.pdf) exists in the subfolder “folder_a” of the folder “folder1”. “folder1” can be found at the same level as the XML file.

The above example is indicative. The sending party can choose to create paths with more (sub)folders.

The folder structure will be:

ABC123_DATPRI_1234567890/ ABC123_DATPRI_1234567890.xml

ABC123_DATPRI_1234567890/ folder1/folder_a/physical_document1.pdf

2 <Pth>physical_document2.pdf</Pth>

The physical document (physical_document.pdf) exists in the same level as the XML file.

The folder structure will be:

ABC123_DATPRI_1234567890/ ABC123_DATPRI_1234567890.xml

ABC123_DATPRI_1234567890/ physical_document1.pdf

2.8 XML layout

The input and output message are ISO 20022 complaint XML messages. The input XML is structured as depicted in Figure 4 and the layout structure of the feedback XML is as shown in Figure 5. The Business Application Header (BAH) is a header that has been defined by the ISO 20022 community. The definition (head.001.001.01) of this message is generally combined with any other ISO 20022 message definition to form a business message.

- The field definition of the Business Application Header is described in Annex 3 Business Application header.
- The business message layout for the input message is described in section 3.1
- The business message layout for the input message is described in section 3.2

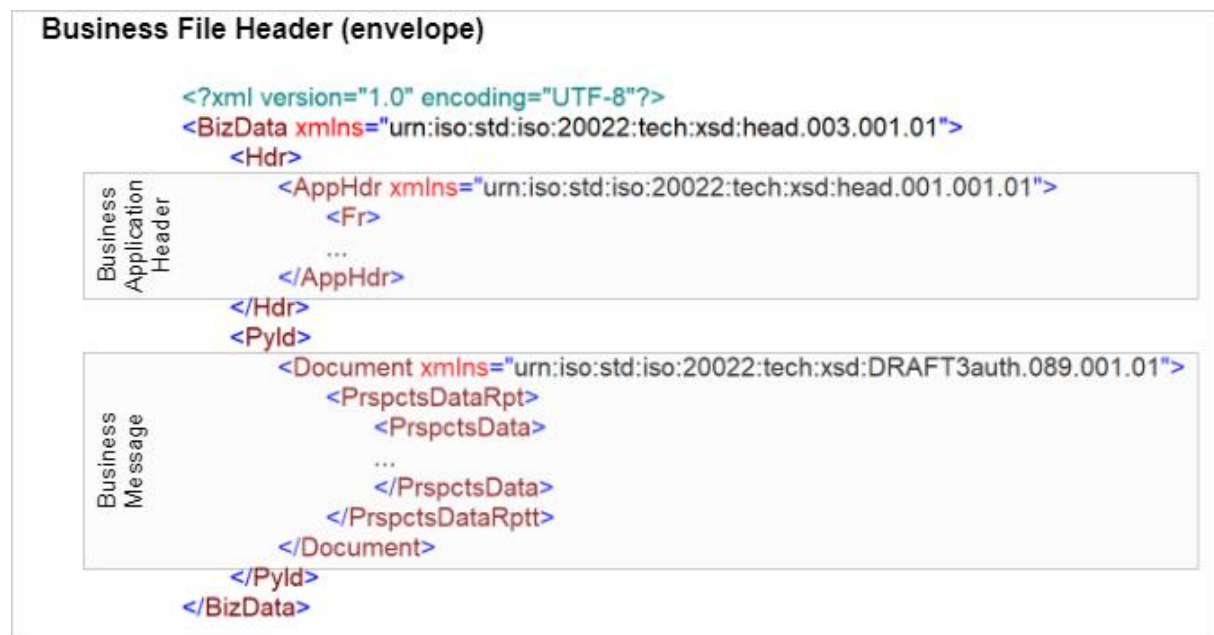


Figure 4 Layout of input XML

Business File Header (envelope)

```
<?xml version="1.0" encoding="UTF-8"?>
<BizData xmlns="urn:iso:std:iso:20022:tech:xsd:head.003.001.01">
  <Hdr>
    <AppHdr xmlns="urn:iso:std:iso:20022:tech:xsd:head.001.001.01">
      <Fr>
        ...
      </AppHdr>
    </Hdr>
  <Pyld>
    <Document xmlns="urn:iso:std:iso:20022:tech:xsd:auth.031.001.01">
      <FinInstrmRptgStsAdvc>
        <StsAdvc>
          ...
        </StsAdvc>
      </FinInstrmRptgStsAdvc>
    </Document>
  </Pyld>
</BizData>
```

Figure 5 Layout of output (feedback) XML

Message component	Direction from AFM point of view	ISO 20022 Derived Message Definition Identifier ¹	ISO 20022 Base Message Definition Identifier
Business Application Header (BAH) for Prospectus data report	Incoming	bah_ProspectusDataReportV01_DRAFT3auth_089.001.01.xsd	DRAFT3auth.089.001.01
Business Application Header (BAH) for Feedback	Outgoing	bah_Prospectus_FinancialInstrumentReportingStatusAdviceV01_auth_031_001_0.xsd	auth.031.001.01
Business File Header (BFH)	Incoming / Outgoing	Not applicable	head.003.001.01.xsd
Business fields of Incoming Prospectus data report	Incoming	Prospectus_Prospectus_ProspectusDataReportV01_DRAFT3auth.089.001.01.xsd	DRAFT3auth.089.001.01
Business fields of Feedback on incoming Prospectus data report	Outgoing	Prospectus_FinancialInstrumentReportingStatusAdviceV01_auth_031.001.01	auth.031.001.01

Table 4Prospectus Transactions Details

¹ XML Schema used for validation appropriate aspects of incoming message and generation of outgoing message.

The referred XSD files are provided as a separate files.

2.8.1 Input XML Example

```
<?xml version="1.0" encoding="UTF-8"?>
<BizData xmlns="urn:iso:std:iso:20022:tech:xsd:head.003.001.01">
  <Hdr>
    <AppHdr xmlns="urn:iso:std:iso:20022:tech:xsd:head.001.001.01">
      <Fr>
        <OrgId>
          <Id>
            <OrgId>
              <Othr>
                <Id>NCANL</Id>
              </Othr>
            </OrgId>
          </Id>
        </OrgId>
      </Fr>
      <To>
        <OrgId>
          <Id>
            <OrgId>
              <Othr>
                <Id>PRIII</Id>
              </Othr>
            </OrgId>
          </Id>
        </OrgId>
      </To>
      <BizMsgIdr>ABC123-1234567890 </BizMsgIdr>
      <MsgDefldr>DRAFT3auth.089.001.01</MsgDefldr>
      <CreDt>2016-05-01T00:00:00Z</CreDt>
    </AppHdr>
  </Hdr>
  <Pyld>
    <p:Document xmlns:p="urn:iso:std:iso:20022:tech:xsd:DRAFT3auth.089.001.01"
      xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
      xsi:schemaLocation="urn:iso:std:iso:20022:tech:xsd:DRAFT3auth.089.001.01
        Prospectus_Prospectus_ProspectusDataReportV01_DRAFT3auth.089.001.01.xsd">
      <p:PrspctsDataRpt>
        <p:PrspctsData>
          <p:Cret>
            <p:FnlTerm> <!-- final terms on prospectus -->
            <p:CmonPrspctsData>
              <p:ReqTp>NEWR</p:ReqTp>
              <p:DocId>
                <p:Tp>FTWS</p:Tp>
                <p:NtlDocId>
                  <p:Id> NL_549300B3KUPVAV01E075_20200514_000000001234</p:Id>
                  <p:Issr>NL</p:Issr>
                </p:NtlDocId>
              </p:DocId>
              <p:RltdDoc>
                <p:PrspctsId>
                  <p:Id>BSSNG_66</p:Id>
                </p:PrspctsId>
              </p:RltdDoc>
              <p:ApprvlOrFillgDt>2020-03-20</p:ApprvlOrFillgDt>
              <p: Cmnt>final terms on tripartite prospectus BSTR_0006</p:Cmnt>
              <p:Attchmnt>
                <p:Pth>asdf.pdf</p:Pth>
              </p:Attchmnt>
            </p:CmonPrspctsData>
            <p:IssrOfferrGuarntr>
              <p:Issr>
                <p:Id>
                  <p:Nm>Issuer_0006f</p:Nm>
                  <p:Ctry>NL</p:Ctry>
                </p:Id>
              </p:Issr>
            </p:IssrOfferrGuarntr>
          </p:Cret>
        </p:PrspctsData>
      </p:PrspctsDataRpt>
    </p:Document>
  </Pyld>
</BizData>
```

```

        </p:Issr>
        <p:Offerr>
          <p:Id>
            <p:Nm>Offeror_0006f</p:Nm>
            <p:Ctry>NL</p:Ctry>
          </p:Id>
        </p:Offerr>
        <p:Guarntr>
          <p:Id>
            <p:Nm>Guarantor_0006f</p:Nm>
            <p:Ctry>NL</p:Ctry>
          </p:Id>
        </p:Guarntr>
      </p:IssrOfferrGuarntr>
      <p:RcvgCtry>FR</p:RcvgCtry>
    </p:FnITerm>
  </p:Cret>
</p:PrspctsData>
</p:PrspctsDataRpt>
</p:Document>
</Pyld>
</BizData>

```

2.8.2 Output XML Examples

2.8.2.1 Success output XML example

```

<?xml version="1.0" encoding="UTF-8"?>
<BizData xmlns="urn:iso:std:iso:20022:tech:xsd:head.003.001.01">
  <Hdr>
    <AppHdr xmlns="urn:iso:std:iso:20022:tech:xsd:head.001.001.01">
      <Fr>
        <OrgId>
          <Id>
            <OrgId>
              <Othr>
                <Id>PRIII</Id>
              </Othr>
            </OrgId>
          </Id>
        </OrgId>
      </Fr>
      <To>
        <OrgId>
          <Id>
            <OrgId>
              <Othr>
                <Id>NCANL</Id>
              </Othr>
            </OrgId>
          </Id>
        </OrgId>
      </To>
      <BizMsgIdr>ABC123-1234567890</BizMsgIdr>
      <MsgDefIdr>auth.031.001.01</MsgDefIdr>
      <CreDt>2020-02-19T16:57:00.026Z</CreDt>
      <RItd>
        <Fr>
          <OrgId>
            <Id>
              <OrgId>
                <Othr>
                  <Id>NCANL</Id>
                </Othr>
              </OrgId>
            </Id>
          </OrgId>
        </Fr>

```

```

    <To>
      <OrgId>
        <Id>
          <OrgId>
            <Othr>
              <Id>>PRIII</Id>
            </Othr>
          </OrgId>
        </Id>
      </OrgId>
    </To>
    <BizMsgId> ABC123-1234567890</BizMsgId>
    <MsgDefId>DRAFT3auth.089.001.01</MsgDefId>
    <CreDt>2020-02-19T16:50:00Z</CreDt>
  </Rltd>
</AppHdr>
</Hdr>
<Pyld>
  <Document xmlns="urn:iso:std:iso:20022:tech:xsd:auth.031.001.01">
    <FinInstrmRptgStsAdv>
      <StsAdv>
        <MsgSts>
          <Sts>ACPT</Sts>
        </MsgSts>
      </StsAdv>
    </FinInstrmRptgStsAdv>
  </Document>
</Pyld>
</BizData>

```

2.8.2.2 Error output XML example

```

<?xml version="1.0" encoding="UTF-8"?>
<BizData xmlns="urn:iso:std:iso:20022:tech:xsd:head.003.001.01">
  <Hdr>
    <AppHdr xmlns="urn:iso:std:iso:20022:tech:xsd:head.001.001.01">
      <Fr>
        <OrgId>
          <Id>
            <OrgId>
              <Othr>
                <Id>>PRIII</Id>
              </Othr>
            </OrgId>
          </Id>
        </OrgId>
      </Fr>
      <To>
        <OrgId>
          <Id>
            <OrgId>
              <Othr>
                <Id>NCANL</Id>
              </Othr>
            </OrgId>
          </Id>
        </OrgId>
      </To>
      <BizMsgId> ABC123-1234567890</BizMsgId>
      <MsgDefId>auth.031.001.01</MsgDefId>
      <CreDt>2020-01-28T14:53:10.276Z</CreDt>
      <Rltd>
        <Fr>
          <OrgId>
            <Id>
              <OrgId>
                <Othr>
                  <Id>NCANL</Id>
                </Othr>
              </OrgId>
            </Id>
          </OrgId>
        </Fr>
      </Rltd>
    </AppHdr>
  </Hdr>
  <Pyld>
    <Document xmlns="urn:iso:std:iso:20022:tech:xsd:auth.031.001.01">
      <FinInstrmRptgStsAdv>
        <StsAdv>
          <MsgSts>
            <Sts>ACPT</Sts>
          </MsgSts>
        </StsAdv>
      </FinInstrmRptgStsAdv>
    </Document>
  </Pyld>
</BizData>

```

```

        </Othr>
      </Orgld>
    </ld>
  </Orgld>
</Fr>
<To>
  <Orgld>
    <ld>
      <Orgld>
        <Othr>
          <ld>PRIII</ld>
        </Othr>
      </Orgld>
    </ld>
  </Orgld>
</To>
<BizMsgldr> ABC123-1234567890</BizMsgldr>
<MsgDefldr>DRAFT3auth.089.001.01</MsgDefldr>
<CreDt>2020-01-28T14:50:10Z</CreDt>
</Rltd>
</AppHdr>
</Hdr>
<Pyld>
  <Document xmlns="urn:iso:std:iso:20022:tech:xsd:auth.031.001.01">
    <FinInstrmRptgStsAdvc>
      <StsAdvc>
        <MsgSts>
          <Sts>RJCT</Sts>
          <VldtnRule>
            <ld>FIL-117</ld>
            <Desc>The size of the xml file exceeds the maximum allowed.</Desc>
          </VldtnRule>
        </MsgSts>
      </StsAdvc>
    </FinInstrmRptgStsAdvc>
  </Document>
</Pyld>
</BizData>

```

3. Business message

3.1 Input XML

In this section the XML elements of the input XML is defined. This document refers to the XSD specification that has also been provided by the AFM. This XSD is derived from the XSD provided by ESMA to only support the submission of Final Terms.

In the following sub sections the layout of the XSD is described with images and tables. In the tables there are highlighted fields that are optional and mandatory fields. The mandatory fields are technically enforced by the XSD. In addition there are fields that are optional in the XSD but they are required by the ESMA. Those fields

GENERAL REMARK: For each Final Term record provide as much details as possible when applicable. Some optional fields in de XSD may be required when applicable. These fields have been indicated with an asterisk (*) and their cell in the tables below has been highlighted.

3.1.1 High level input schema

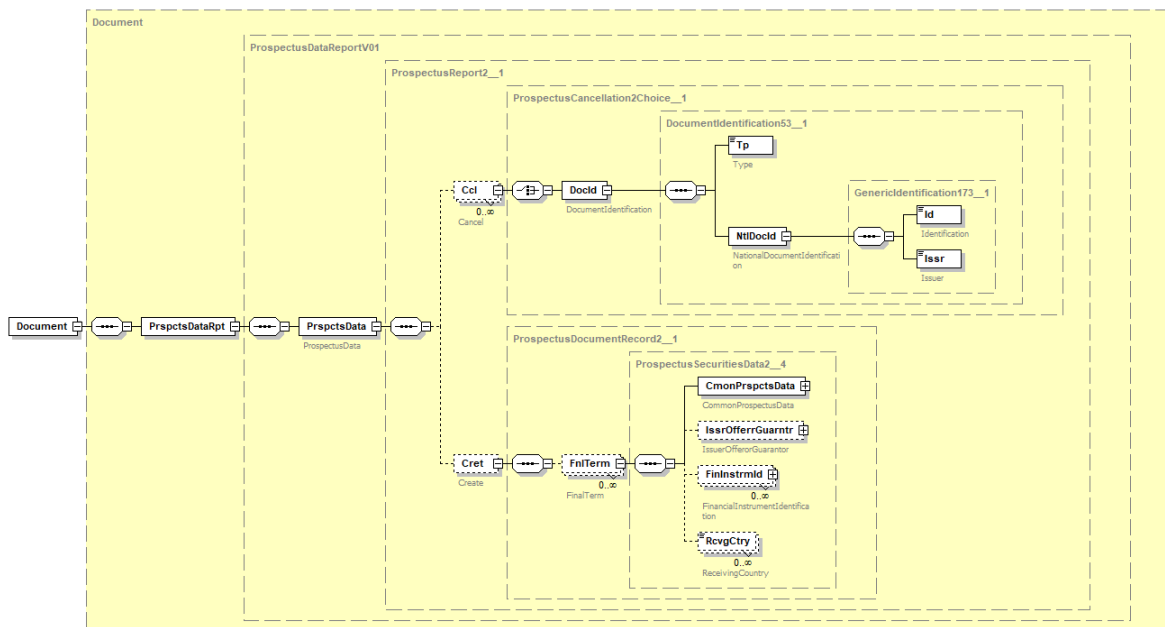


Figure 6 High level input XML schema

Figure 6 shows the high level XSD. In order to keep this document organized the following sections will describe each complex element in more details.

Name	Type	Card	Description
Document	ComplexType	1 .. 1	
PrspctsDataRpt	ComplexType	1 .. 1	
PrspctsData	ComplexType	1 .. 1	

Name	Type	Card	Description
Ccl	ComplexType	0 .. n	Used to cancel or withdraw a Final Term
DocId	ComplexType	1 .. 1	
Tp	ProspectusDocumentType1Code__10	1 .. 1	Specifies the type of the uploaded document: Always 'FTWS'
NtlDocId	GenericIdentification173__1	1 .. 1	Identification of the document of the uploaded record.
Id	String Length 1-50 char	1 .. 1	Unique Identification of a FinalTerm document. Format: NL_[LEI code]_[Date(YYYYMMDD)]_[Unique custom code of exact 12 character]
Issr	String [A-Z]{2,2}	1 .. 1	Entity that assigns the identification.(i.e. 'NL')
Cret	ComplexType	0 .. 1	Used to send a new, modified or corrected Final Term
FnlTerm	ComplexType	0 .. n	
CmonPrspctsData	ComplexType	1 .. 1	Data elements common to different prospectus document types.
IssrOfferrGuarnt	ComplexType	0 .. 1	Details on the issuer(s), the offeror(s) and the guarantor(s) of the financial instruments covered by the current prospectus record.
FinInstrmId	ComplexType	0 .. n	Attributes and characteristics of the financial instrument covered by the current record.
RcvgCtry	String [A-Z]{2,2}	0 .. n	Country of the competent authority where the record has to be passported through the supervising authority. The Receiving Member states of Final Terms must be a subset of the Master list of Receiving Member States of the Prospectus that the Final Terms relates to. Example "BE", "FR"

3.1.2 CmonPrspctsData

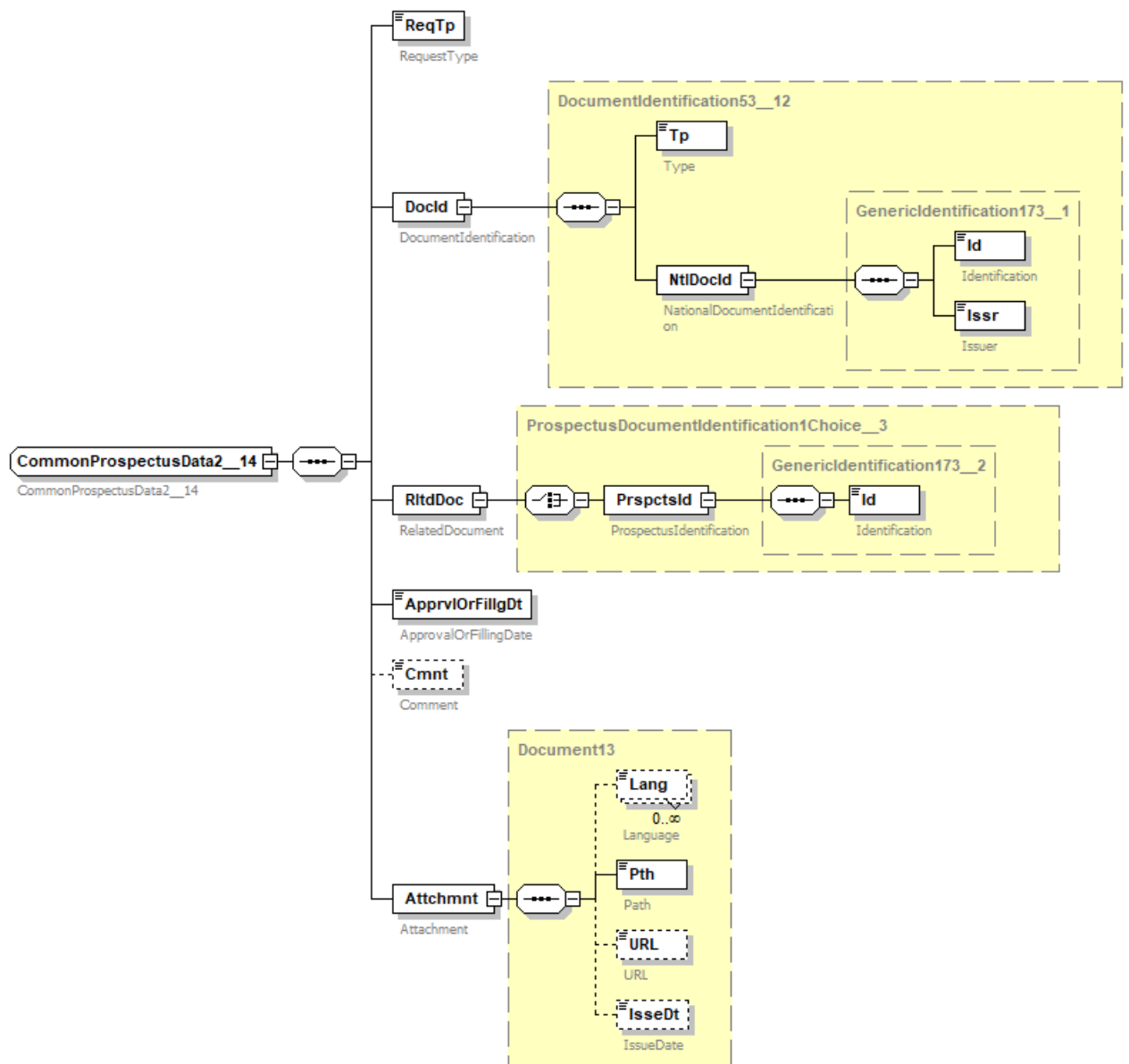


Figure 7 Complex Type CommonProspectusData2__14 used by CmonPrspctsData

Name	Type	Card	Description
CmonPrspctsData	CommonProspectusData2__14	1 .. 1	
ReqTp	RecordOperationType1Code	1 .. 1	Specifies whether the Final Term record is created, corrected or modified. One of the following code values must be used: CORR (Correction), MODF (Modification) NEWNR (New)
DocId	ComplexType	1 .. 1	Identification of the document as assigned by the sending national competent authority.
Tp	ProspectusDocumentType1Code__10	1 .. 1	Specifies the type of the uploaded document
NtlDocId	GenericIdentification173__1	1 .. 1	Identification of the document of the uploaded record.

Name		Type	Card	Description
	Id	String Length 1-50 char	1 .. 1	Unique Identification assigned by an institution. Format: NL_[LEI code]_[Date(YYYYMMDD)]_[Unique custom code of <u>exact</u> 12 character]
	Issr	String [A-Z]{2,2}	1 .. 1	Entity that assigns the identification.(i.e. 'NL')
	RltdDoc	ComplexType	1 .. 1	Identification of a related document as assigned by the sending competent authority.
	PrspctId	ComplexType	1	Identification of the related prospectus as assigned by the sending national competent authority.
	Id	String Length 1-50 char	1	
	ApprvlOrFillgDt	ComplexType	1 .. 1	Date on which the uploaded record was approved or filed.
	Cmnt	ComplexType	0 .. 1	Specifies comment of the sending competent authority.
	Attchmnt	ComplexType	1 .. 1	Further details of the document composing the current record.
	Lang	ISO2ALanguageCode	0 .. n	ISO language in which the document is drafted.
	Pth	Max350Text	1 .. 1	Path of the document in the compressed zip file.
	URL	Max2048Text	0 .. 1	URL (Uniform Resource Locator) related to the document.
	IsseDt	ISODate	0 .. 1	Finalization date stated within uploaded document and assigned by issuer.

For all Simple Type elements in the above table please refer to section

Annex 1 Simple Type element definitions and **formats**

3.1.3 IssrOfferrGuarnt

See also section 3.1.1 for the reference of IssrOfferrGuarnt. This complex element is of Complex type ProspectusParty2__1

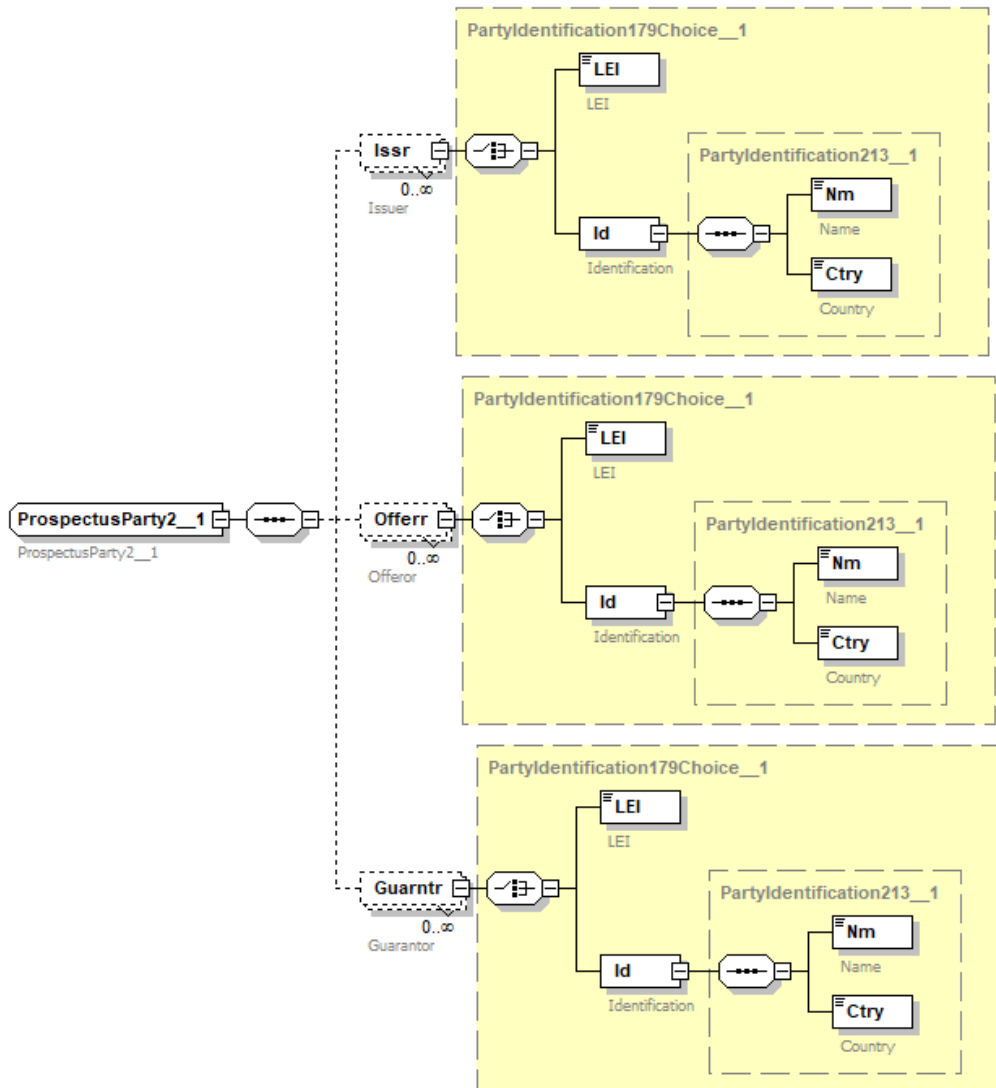


Figure 8 ComplexType ProspectusParty2__1 used by IssrOfferrGuarnt

Name	Type	Card	Description
IssrOfferrGuarnt	ProspectusParty2__1	1 .. 1	
Issr	PartyIdentification179Choice__1 (See section 3.1.3.1)	0 .. n	Identification of the market participant acting as the issuer of the financial instruments covered by the current record.
Offerr	PartyIdentification179Choice__1 (See section 3.1.3.1)	0 .. n	Identification of the market participant acting as the offeror of the financial instruments covered by the current record.
Guarnt	PartyIdentification179Choice__1	0 .. n	Identification of the market participant acting as the

Name	Type	Card	Description
	(See section 3.1.3.1)		guarantor of the financial instruments covered by the current record.

For all Simple Type elements in the above table please refer to section

Annex 1 Simple Type element definitions and **formats**.

3.1.3.1 PartyIdentification179Choice__1

Each of the complex elements Issr, Offerr and Guarnt are of the same type PartyIdentification179Choice__1.

Name	Type	Card	Description
Issr/Offerr/Guarnt	PartyIdentification179Choice__1	0 .. n	Identification of the market participant acting as the offeror of the financial instruments covered by the current record.
Choice			
LEI	LEIIdentifier	1 .. 1	Legal entity identification as an alternate identification for a party.
OR			
Id ²	PartyIdentification213__1	1 .. 1	Unique identification of the party.
Nm	Max280Text	1 .. 1	Defines the name of a party.
Ctry	CountryCode	1 .. 1	Defines the country in which a person resides (the place of a person's home). In the case of a company, it is the country from which the affairs of that company are directed.

For all Simple Type elements in the above table please refer to section

Annex 1 Simple Type element definitions and **formats**

² ISSUER may not be referenced by means of Nm and Ctry. So referencing to ISSUER is mandated by means of LEI code.

3.1.4 FinInstrmId

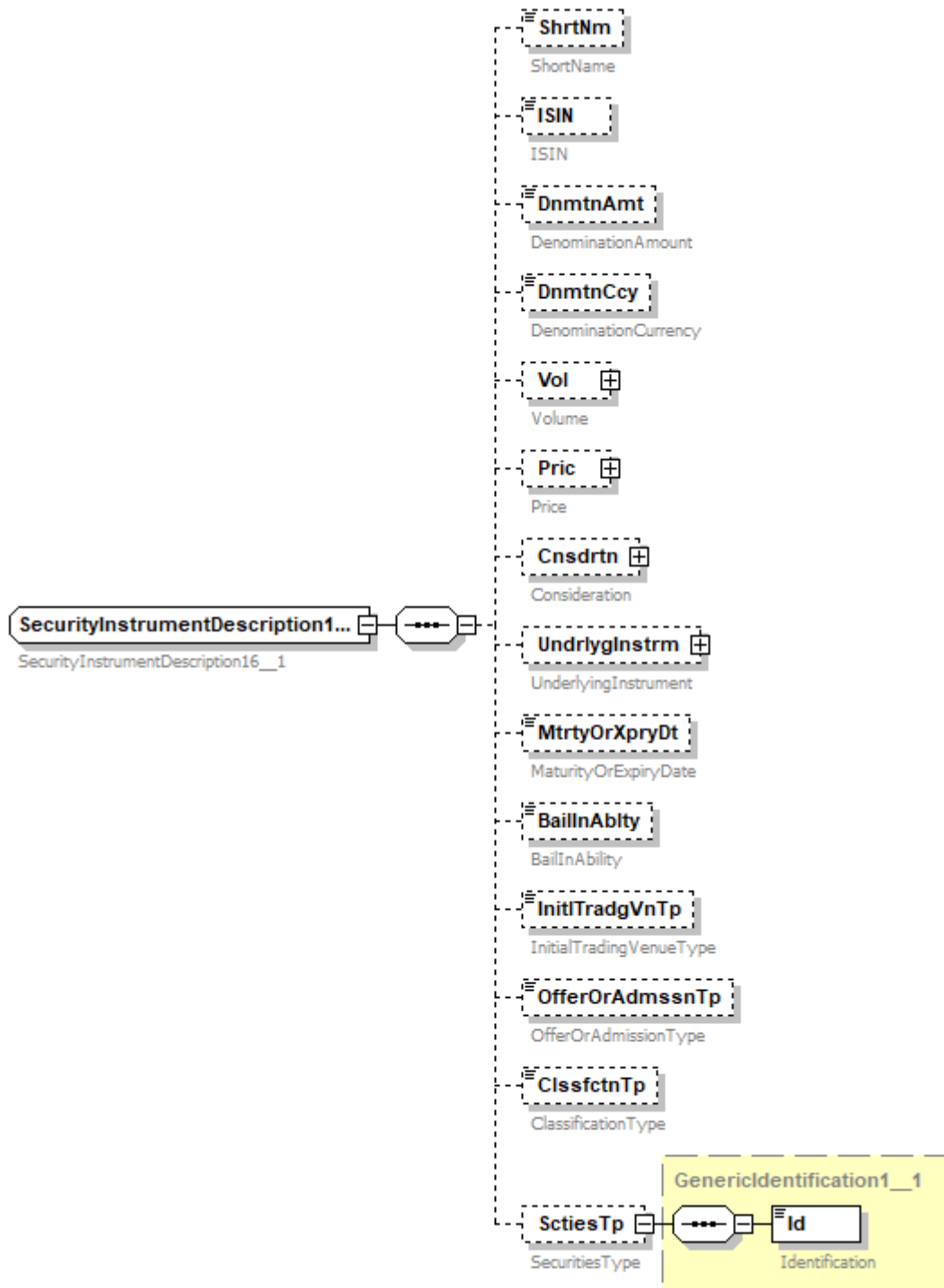


Figure 9 SecurityInstrumentDescription16__1 used by FinInstrmId

Name	Type	Card	Description
ShrtNm*	Max35Text	0 .. 1	Short name of financial instrument (FISN) in accordance with ISO 18774.
ISIN*	ISINOct2015Identifier	0 .. 1	International Securities Identification Number (ISIN). A numbering system designed by the United Nation's International

Name	Type	Card	Description
			Organization for Standardisation (ISO). The ISIN is composed of a 2-character prefix representing the country of issue, followed by the national security number (if one exists), and a check digit. Each country has a national numbering agency that assigns ISIN numbers for securities in that country.
DnmtnAmt*	ImpliedCurrencyAndAmount	0 .. 1	Nominal value or notional value per unit in the denomination currency.
DnmtnCcy*	ActiveOrHistoricCurrencyCode	0 .. 1	Represents the currency in which the nominal or notional value is denominated.
Vol*	ProspectusVolume1__1 (see section 3.1.4.1)	0 .. 1	Volume of the financial instrument.
Pric*	ProspectusAmount1__1 (see section 3.1.4.2)	0 .. 1	Price of the financial instrument.
Cnsdrtn*	ProspectusAmount1__1 (see section 3.1.4.2)	0 .. 1	Overall consideration of the financial instrument.
UndrlygInstrm*	SecurityIdentification33Choice__1	0 .. 1	Specifies the type(s) of underlying instrument(s) that make up the financial instrument.
MtrtyOrXpryDt*	ISODate	0 .. 1	Date of maturity or expiry date of the security, when applicable.
BailInAblty	TrueFalseIndicator	0 .. 1	Indicates whether the security is subject to bail-in rules under the current prospectus regulation.
InitlTradgVnTp*	TradingVenue4Code	0 .. 1	Identification of a trading venue where the financial instruments covered by the record are admitted to trading.
OfferOrAdmssnTp*	SecuritiesOfferAdmissionType1Code	0 .. 1	Type of offer or admission chosen by the market participant to offer or trade the financial instruments covered by the current record according to the current prospectus regulation.
ClssfctnTp*	CFIOct2015Identifier	0 .. 1	Classification type of the financial instrument, as per the ISO Classification of Financial Instrument (CFI) codification and the securities classification.
SctiesTp*	GenericIdentification1__1	0 .. 1	Classification of categories of equity and non-equity securities.
Id	SecuritiesTypeCode1	1 .. 1	Enumeration type {SECURITIES_TYPE}

For all Simple Type elements in the above table please refer to section

Annex 1 Simple Type element definitions and formats

3.1.4.1 ProspectusVolume1__1

This Complextype element is used by Vol.

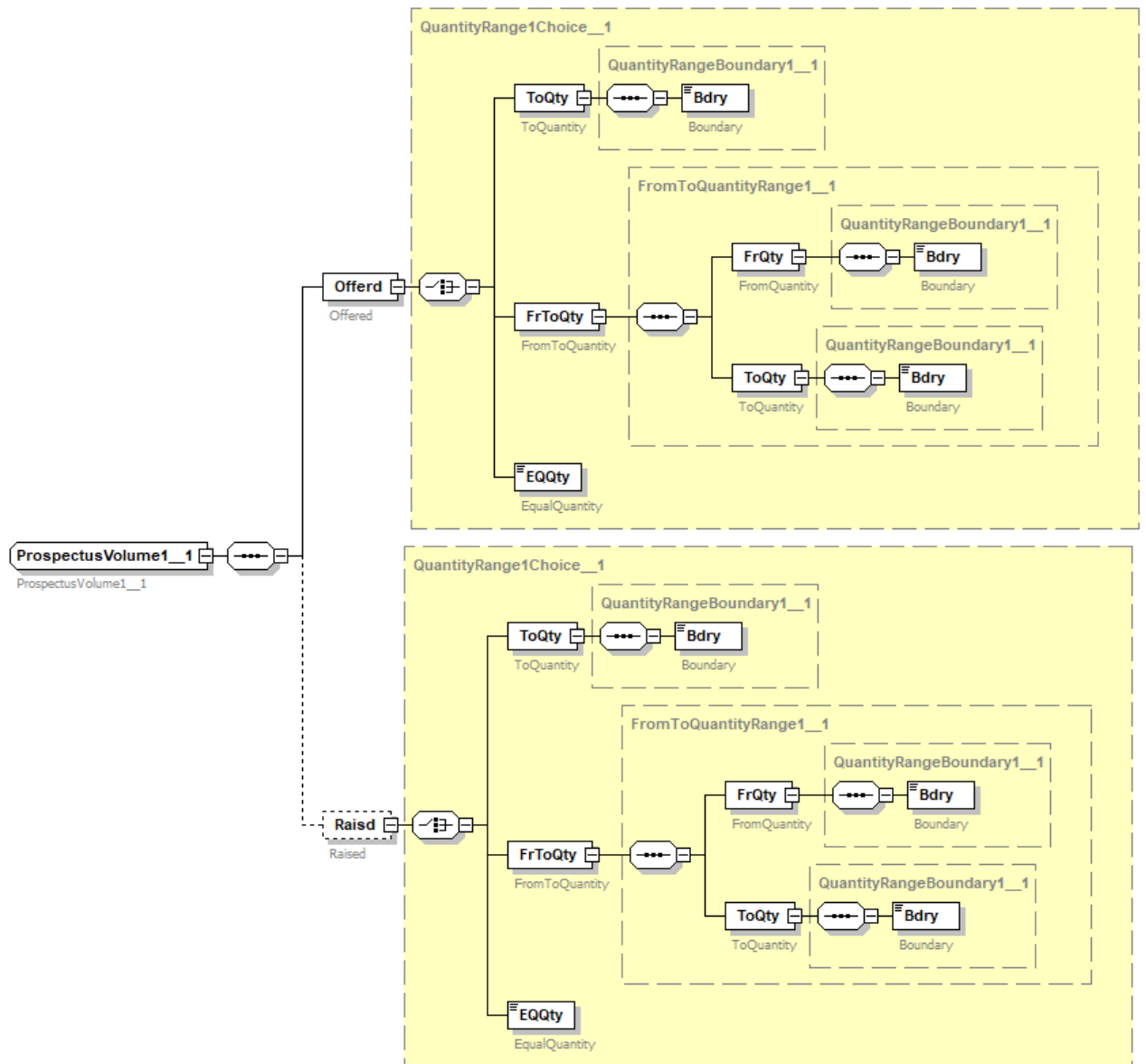


Figure 10Complex Type ProspectusVolume1__1 used by Complex element Vol

Name	Type	Card	Description
Offerd	QuantityRange1Choice__1 (see section 3.1.4.1.1)	1 .. 1	Number of securities offered.
Raised	QuantityRange1Choice__1 (see section 3.1.4.1.1)	0 .. 1	Volume per unit raised, in monetary value of the denomination currency.

3.1.4.1.1 QuantityRange1Choice__1

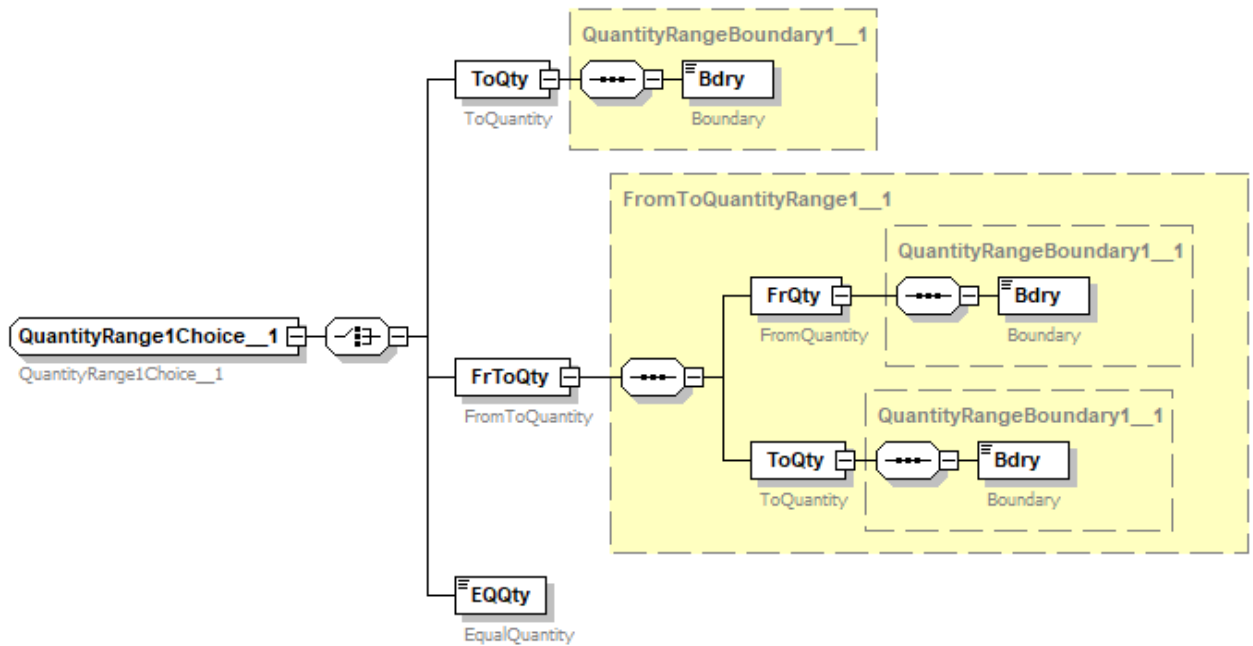


Figure 11Complex Type QuantityRange1Choice__1 used by Offerd, Raised

Name	Type	Card	Description
ToQty	QuantityRangeBoundary1__1	1 .. 1	Upper boundary of a range of quantity values.
Bdry	DecimalNumberFraction5	1 .. 1	Quantity value of the range limit.
FrToQty	FromToQuantityRange1__1	1 .. 1	Range of valid quantity values.
ToQty	QuantityRangeBoundary1__1	1 .. 1	Lower boundary of a range of quantity values.
Bdry	DecimalNumberFraction5	1 .. 1	Quantity value of the range limit.
FrQty	QuantityRangeBoundary1__1	1 .. 1	Upper boundary of a range of quantity values.
Bdry	DecimalNumberFraction5	1 .. 1	Quantity value of the range limit.
EQQty	DecimalNumberFraction5	1 .. 1	Exact value a quantity must match to be considered valid.

For all Simple Type elements in the above table please refer to section

Annex 1 Simple Type element definitions and formats

3.1.4.2 ProspectusAmount1__1

ProspectusAmount1__1 is used by elements Pric and Cnsdrtn.

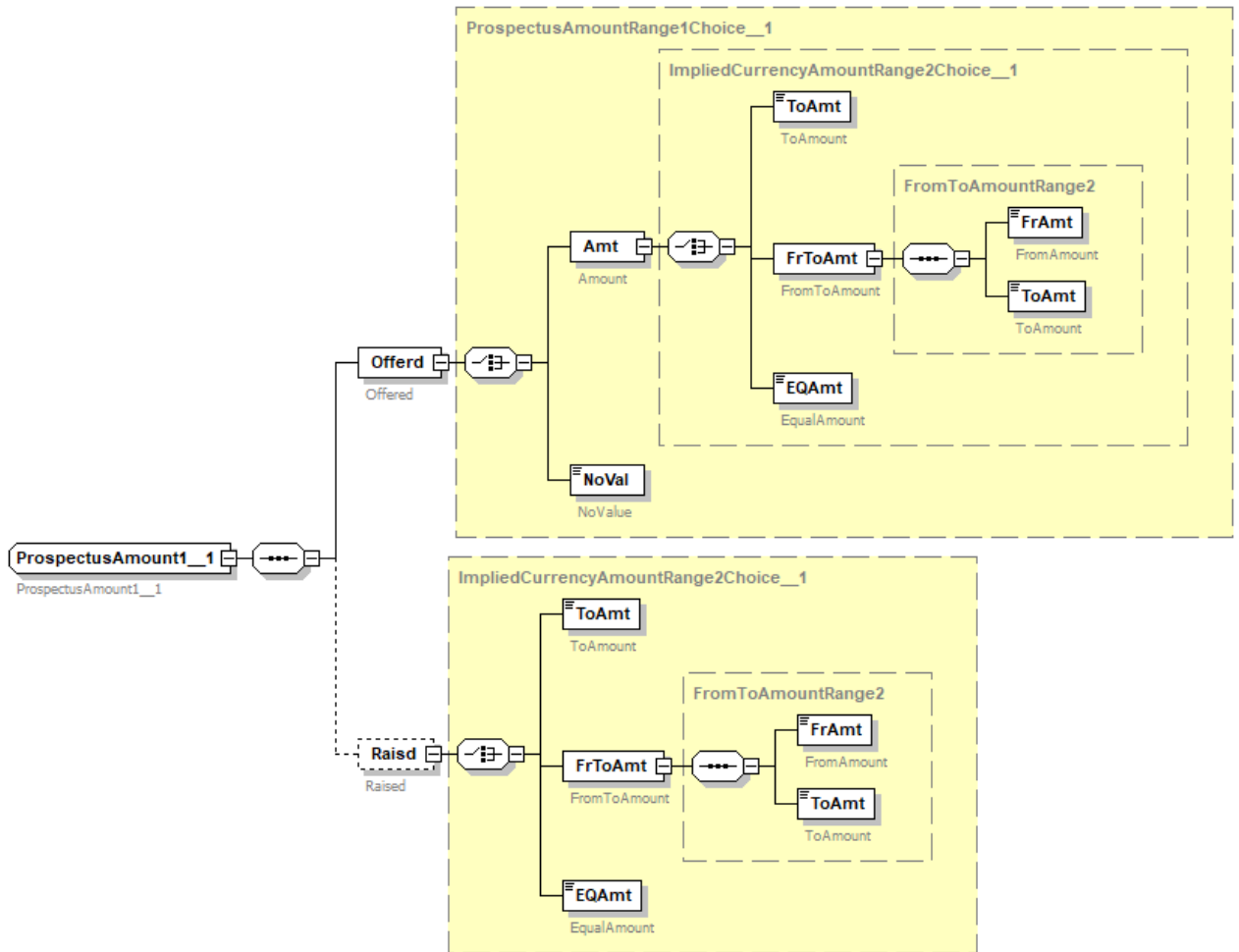


Figure 12Complex element ProspectusAmount1__1 used by Pric and Cnsdrtn

Name	Type	Card	Description
Pric / Cnsdrtn	ProspectusAmount1__1	1 .. 1	
Offerd	ProspectusAmountRange1Choice__1	1 .. 1	Amount offered.
Amt	ImpliedCurrencyAmountRange2Choice__1	1 .. 1	Overall consideration of the financial instrument in monetary value when the amount is known.
ToAmt	ImpliedCurrencyAndAmount	1 .. 1	Upper boundary of a range of amount values.
FrToAmt	FromToAmountRange2	1 .. 1	Range of valid amount values.
FrAmt	ImpliedCurrencyAndAmount	1 .. 1	Lower boundary of a range of amount values.
ToAmt	ImpliedCurrencyAndAmount	1 .. 1	Upper boundary of a range of amount values.
EQAmt	ImpliedCurrencyAndAmount	1 .. 1	Exact value an amount must match to be considered valid.
NoVal	PriceStatus1Code	1 .. 1	Reason when the amount cannot be provided.
Raisd*	ImpliedCurrencyAmountRange2Choice__1	0 .. 1	Amount raised.
ToAmt	ImpliedCurrencyAndAmount	1 .. 1	Upper boundary of a range of amount values.
FrToAmt	FromToAmountRange2	1 .. 1	Range of valid amount values.

Name	Type	Card	Description
FrAmt	ImpliedCurrencyAndAmount	1 .. 1	Lower boundary of a range of amount values.
ToAmt	ImpliedCurrencyAndAmount	1 .. 1	Upper boundary of a range of amount values.
EQAmt	ImpliedCurrencyAndAmount	1 .. 1	Exact value an amount must match to be considered valid.

For all Simple Type elements in the above table please refer to section

Annex 1 Simple Type element definitions and formats

3.1.4.3 SecurityIdentification33Choice__1

SecurityIdentification33Choice__1 is used by element UndrlygInstrm

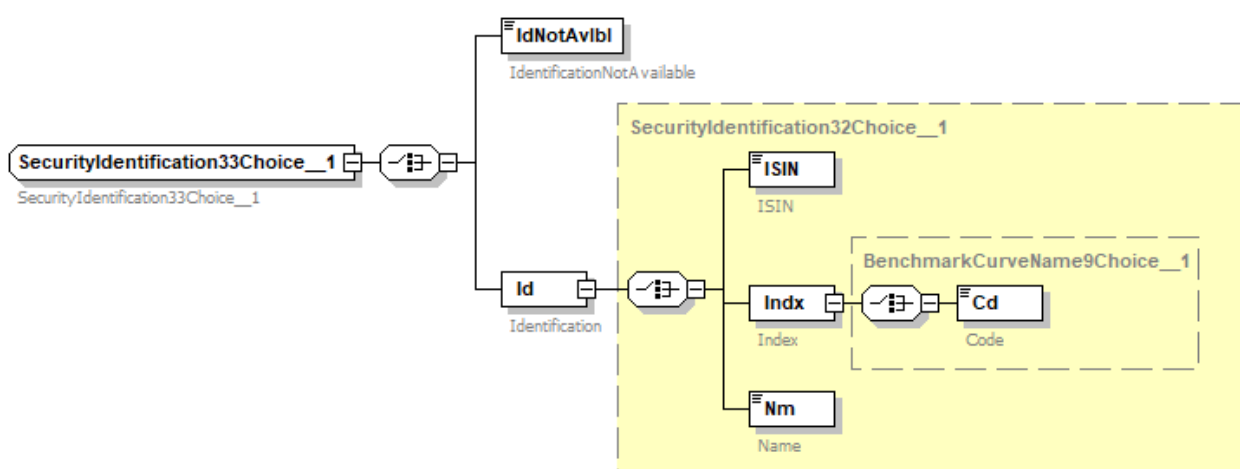


Figure 13Complex Type SecurityIdentification33Choice__1 used by element UndrlygInstrm

Name	Type	Card	Description
UndrlygInstrm	SecurityIdentification33Choice__1	1 .. 1	
IdNotAvlbl	UnderlyingIdentification2Code	1 .. 1	Indicates that underlying identification is not available.
Id	SecurityIdentification32Choice__1	1 .. 1	Indicates the index upon which the financial instrument is based.
Choice			
ISIN	ISINOct2015Identifier	1 .. 1	International Securities Identification Number (ISIN). A numbering system designed by the United Nation's International Organization for Standardisation (ISO). The ISIN is composed of a 2-character prefix representing the country of issue, followed by the national security number (if one exists), and a check digit. Each country has a national numbering agency that assigns ISIN numbers for securities in that country.
OR			
Indx	BenchmarkCurveName9Choice__1	1 .. 1	Index name where the underlying is an index.
Cd	GenericIdentification1Code	1 .. 1	Benchmark curve name expressed as an ISO 20022 code.

Name	Type	Card	Description
OR			
Nm	Max50Text	1 .. 1	Proprietary identification of the index on which the financial instrument is based.

For all Simple Type elements in the above table please refer to section

Annex 1 Simple Type element definitions and formats

3.2 Feedback XML

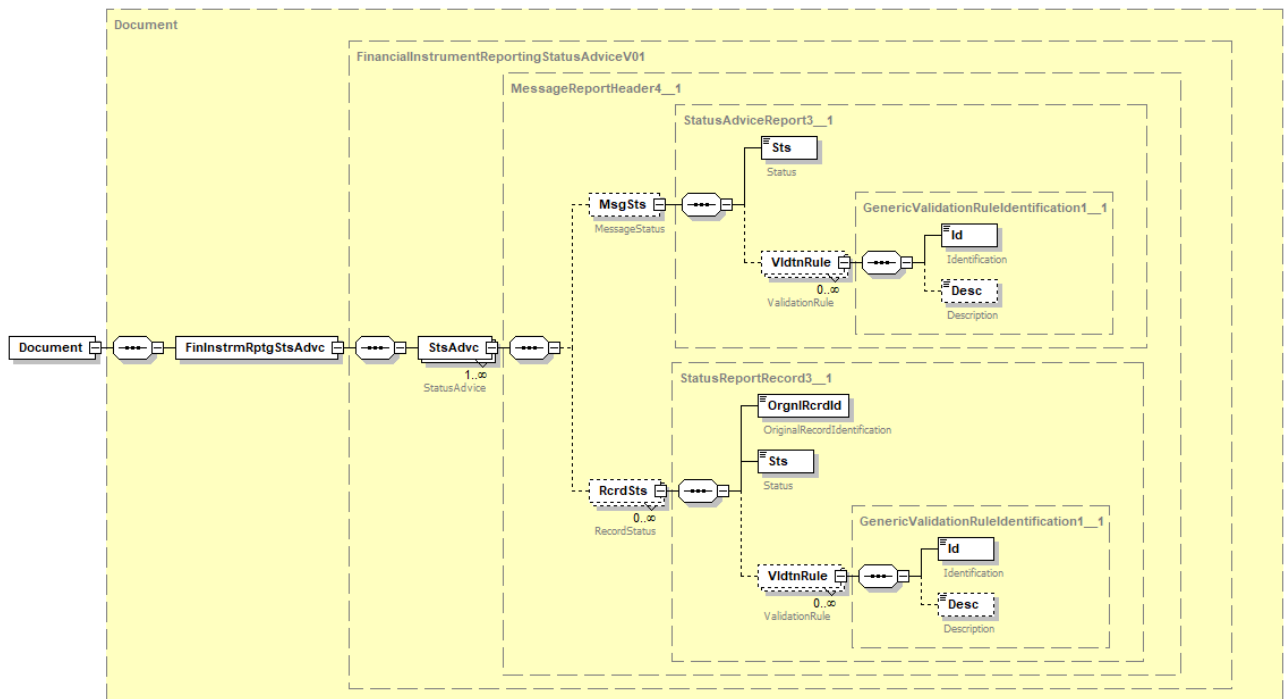


Figure 14 Feedback XML schema

Name	Type	Card	Description
Document	Document	1 .. 1	
FinInstrmRptgStsAdvc	FinancialInstrumentReportingStatusAdviceV01	1 .. 1	
StsAdvc	MessageReportHeader4__1	1 .. n	Status advice report.
MsgSts	StatusAdviceReport3__1	0 .. 1	Details the status of the whole message that has been received.
Sts	ReportingMessageStatus1Code__1	1 .. 1	Provides the status for the full message.
VldtnRule	GenericValidationRuleIdentification1__1	0 .. n	Provides the details of the rule which could not be validated.
Id	Max35Text	1 .. 1	Unique and unambiguous identification of a validation rule.
Desc	Max350Text	0 .. 1	Further information on the validation rule as identified in the Identification.
RcrdSts	StatusReportRecord3__1	0 .. n	Provides per record status on the report that has been received.

Name				Type	Card	Description
			OrgnlRcrdId	Max140Text	1 .. 1	Unique and unambiguous technical identification of the original data for which the status is provided.
			Sts	ReportingRecordStatus1Code__1	1 .. 1	Defines status of the reported transaction.
			VldtnRule	GenericValidationRuleIdentification1__1	0 .. n	Provides the details of the rule which could not be validated.
			Id	Max35Text	1 .. 1	Unique and unambiguous identification of a validation rule.
			Desc	Max350Text	0 .. 1	Further information on the validation rule as identified in the Identification.

3.2.1 Structure of the Feedback file

A feedback report (status advice message) comprises the Status Advice message component, which contains two distinct components:

- A. Message Status component, i.e., validation information regarding the full received incoming data report, containing:
 - a. Status (i.e. status of the whole message):
 - i. ACPT for accepted report
 - ii. PART for partially accepted
 - iii. RJCT for rejected report
 - iv. CRPT in case the file that contains the incoming data report is corrupted
 - b. Validation Rule (File format or Transmission error), containing information on the rule which failed. This element reports rules that may be violated which are not bound to a specific record but instead relate to the whole report. The specific sub-elements are:
 - i. Identification (unique identification of the validation rule)
 - ii. Description (further information on the validation rule)
- B. Record Status component, i.e., validation information regarding specific erroneous record(s) included in the received feedback report. This element reports rules that may be violated which are bound to a specific record. The specific sub-elements are:
 - a. Original Record Identification, as defined in chapter 3.2.1.1.1 Original Record Identifier
 - b. Status
 - i. RJCT for a record that contains a blocking error
 - ii. WARN for a record that contains a non-blocking error

c. Validation Rule (Content validation), this element reports rules that may be violated which are bound to a specific record. The specific sub-elements are:

i. Identification (unique identification of the validation rule)

ii. Description (further information on the validation rule)

Note: As any other ISO 20022 message, the status advice message should be sent together with the Business Application Header. The complex element Related of the Business Application Header shall contain the reference to the original message which the feedback message is related to.

3.2.1.1 Feedback file status

The below table presents the list of statuses that can be used in the feedback file:

Msg Status Code	Name	Definition	Record Status Code (RcrdSts)
ACPT	Accepted	File has been accepted and all records within a file have been accepted (blocking or non-blocking errors have not been identified).	NA
ACPT	Accepted	File has been accepted and one or more records have been identified with non-blocking errors.	WARN
PART	Partially Accepted	File has been partially accepted. A number of records have been accepted, whereas another number of records have been rejected. In case of records rejection, the status and error code for each rejected record should be also provided in the RcrdSts element.	WARN (for records with non-blocking errors) RJCT (for records with blocking errors)
RJCT	Rejected	Whole file has been rejected, with the following error codes FIL-102, FIL-103, FIL-104, FIL-105, , FIL-107, FIL-115, FIL-116	NA
RJCT	Rejected	All records in a file have been rejected.	RJCT
CRPT	Corrupted	The file containing the report is corrupted. This status code is used in case the whole file is considered erroneous and cannot be opened.	NA

Table 5 Feedback Message Status

3.2.1.1.1 Original Record Identifier

For each record of the Feedback file, the field OrgnlRcrdId provides the identification of the record or document of the submitted file that returned the specific error.

In the feedback file, the field OrgnlRcrdId will be generated by the ESMA Register as follows:

[Sending Member State country code]-[Document type]-[Document ID]

Example:

- For a Final Terms document with National Document ID= PROSP3, the OrgnlRcdId will be:

NL- FTWS-[PROSP3]

3.2.2 Feedback error codes

3.2.2.1 Transmission validation rules

The transmission validations that the ESMA Register performs are the following:

Error code	Error Message	Control
FIL-101	The file cannot be decompressed.	All files on the ESMA Register are compressed in zip format. When treating a file, the first step is the decompression of the zip file. This error is returned by the system if the file cannot be decompressed.
FIL-102	The file contains no or more than 1 XML file.	Once the file is decompressed, the ESMA Register checks that the decompressed container zip file contains exactly one XML file (which must not be placed under any folder within the zip file). This error is returned by the system when no XML or more than one file is found.
FIL-103	The name of the XML file is not consistent with the name of its container ZIP file.	Once the file is decompressed and that exactly only one XML file is submitted, the ESMA Register checks that name of the XML file and of the ZIP file are equal. This error is returned by the system when the names are not equal.
FIL-116	At least one physical document is not listed in the XML file, or is not in PDF or XBRL format.	Check if each physical document is listed in the XML file and that it is in PDF or XBRL format.

Table 6 - Transmission validation rules

3.2.2.2 File format validation rules

The file format validations that the ESMA Register performs are the following:

Error code	Error Message	Control
FIL-104	The ISO 20022 Message Identifier is not valid.	The ISO 20022 Message Identifier in the BAH must refer to the latest schema approved by ITMG.
FIL-105	The file structure does not correspond to the XML schema: [result of XML validation].	Validate that the file sent fits to the corresponding XML schema.

Error code	Error Message	Control
FIL-107	File <Filename> has already been submitted once.	<p>When a file is received, the system checks whether it exists in the ESMA Register a record which filename is composed of the same sender, filetype, recipient, CustomCode1, CustomCode2, Year.</p> <p>The timestamp of the file should not be taken into account for this validation.</p>
FIL-115	The Sender country code <SenderCode> at the filename is not consistent with the Sender Country code <Country code of the XML header> of the XML file.	<p>Validate that the Country code reported in the Filename is the same as the Country code reported in the header of the XML file.</p> <p>The validation will also check that exactly one country will be reported in the header.</p> <p>The Country code must be provided as per ISO 3166.</p>
FIL-117	The size of the xml file exceeds the maximum allowed.	<p>Validate that the size of the submitted file does not exceed the [Maximum_filesize].</p>

Table 7 - Format validation rules

3.2.2.3 Content validations

The attached file (Validations Rules v1.0.xlsx) can be used as a reference for all error codes that can be returned by the ESMA Register. Note that this list contains more validations than just the validations that are relevant for submissions of Final Terms. So not all validations in the sheet are applicable for the Final Terms submitted via the AFM S2S solution.

4. Availability

Apart for planned service interruptions, the IT system should operate 24/7, and Submitting parties should be able to upload data 24/7.

Support will be available during working days and hours. If an incident occurs on a non-working day or outside of AFM working hours, it will be analyzed on the next working day and handled according to AFM's support process.

5. Annex 1 Simple Type element definitions and formats

ID	urd	Definition	Format and standards	XSD Path(s)
1.	Request type	The type of request (New, Modify, Correct).	{REQUEST_TYPE}	PrspctsDataRpt/PrspctsData/Cret/FnlTerm/CmonPrspctsData/ReqTp
2.	Document type	The type of uploaded document.	{DOCUMENT_TYPE}	PrspctsDataRpt/PrspctsData/Cret/FnlTerm/CmonPrspctsData/DocId/Tp
3.	National Document ID	The identifier of the document of the uploaded record. It is used in case of submission of a Final Term document (FTWS).	String, max 50 characters, UTF-8 Required format: NL_[LEI code]_[Date(YYYYMMDD)]_[Unique custom code of <u>exact</u> 12 character] Example: NL_549300B3KUPVAV01E075_20200514_000000001234	PrspctsDataRpt/PrspctsData/Cret/FnlTerm/CmonPrspctsData/DocId/NtlDocId/Id
4.	Sending Member State	Country code of the Member State which approved the uploaded record or with which the uploaded record was filed.	ISO 3166-1 alpha-2 EEA country	PrspctsDataRpt/PrspctsData/Cret/FnlTerm/CmonPrspctsData/DocId/NtlDocId/Issr
5.	Related Prospectus ID	Identifier of the related Prospectus. If the Related Prospectus is a Single document Prospectus, the	String, max 50 characters, UTF-8	PrspctsDataRpt/PrspctsData/Cret/FnlTerm/CmonPrspctsData/RltdDoc/PrspctsId/Id

ID	Field	Definition	Format and standards	XSD Path(s)
		National Document ID of the submitted document will be used. If the Related Prospectus is a Tripartite Prospectus, the Prospectus ID of the submitted document will be used.		
13	Filing date	The date on which the uploaded record was filed.	ISO 8601 date format: YYYY-MM-DD Dates shall be reported in UTC	PrspctsDataRpt/PrspctsData/Cret/FnlTerm/CmonPrspctsData/ApprovOrFillgDt
14	Comment	A comment filled in by the sending NCA.	String, max 350 characters, UTF-8	PrspctsDataRpt/PrspctsData/Cret/FnlTerm/CmonPrspctsData/Cmnt
List of Document Languages:				
15	Language	List of the EU languages in which uploaded document is drafted. Choose the most relevant languages in the prospectus, when applicable.	Language as defined in ISO 639-1	PrspctsDataRpt/PrspctsData/Cret/FnlTerm/CmonPrspctsData/Attchmnt/Lang
16	Document path	The path of the document in the zip file.	String, max 350 characters, UTF-8	PrspctsDataRpt/PrspctsData/Cret/FnlTerm/CmonPrspctsData/Attchmnt/Pth
17	Document URL	URL of the document. This field is	String, max 2048 characters, UTF-8	PrspctsDataRpt/PrspctsData/Cret/FnlTerm/CmonPrspcts

ID	Field	Definition	Format and standards	XSD Path(s)
		applicable only for the migrated records from the OMNIBUS Prospectus and the Final Terms Registers.		Data/Attachment/URL
18	Document Issue date	Finalization date stated within uploaded document and assigned by issuer.	ISO 8601 date format: YYYY-MM-DD Dates shall be reported in UTC	PrsptsDataRpt/PrsptsData/Cret/FnlTerm/CmonPrsptsData/Attachment/URL
List of Issuers:				
19	Issuer LEI	Legal Entity Identifier of the issuer.	Legal entity identifier as defined in ISO 17442	PrsptsDataRpt/PrsptsData/Cret/FnlTerm/IssrOfferrGuarnter/Issr/LEI
20	Issuer Standardised name	Name and surname of the issuer. The field will be forbidden, through content error, for the records related to the new-regime prospectus documents.	String, max 280 characters, UTF-8	PrsptsDataRpt/PrsptsData/Cret/FnlTerm/IssrOfferrGuarnter/Issr/Id/Nm
21	Issuer residency	Country of the issuer. The field will be forbidden, through content error, for the records related to the new-regime prospectus documents.	ISO 3166-1 alpha-2	PrsptsDataRpt/PrsptsData/Cret/FnlTerm/IssrOfferrGuarnter/Issr/Id/Ctry
List of Offerors:				
22	Offeror LEI	Legal Entity Identifier	Legal entity identifier as	PrsptsDataRpt/PrsptsData/Cret/FnlTerm/IssrOfferrGuarnter/Issr/LEI

ID	urd	Definition	Format and standards	XSD Path(s)
		of the offeror.	defined in ISO 17442	tsData/Cret/ FnIterm/IssrOfferrGu arntr/Offerr/LEI
23	Offeror standardise d name	Name and surname of the offeror in case the offeror is a natural person.	String, max 280 characters, UTF-8	PrspctsDataRpt/Prspc tsData/Cret/ FnIterm/IssrOfferrGu arntr/Offerr/Id/Nm
24	Offeror residency	Country of the offeror in case the offeror is a natural person.	ISO 3166-1 alpha-2	PrspctsDataRpt/Prspc tsData/Cret/ FnIterm/IssrOfferrGu arntr/Offerr/Id/Ctry
List of Guarantors:				
25	Guarantor LEI	Legal Entity Identifier of the guarantor.	Legal entity identifier as defined in ISO 17442	PrspctsDataRpt/Prspc tsData/Cret/ FnIterm/IssrOfferrGu arntr/Guarnt/LEI
26	Guarantor standardise d name	Name and surname of the guarantor in case the guarantor is a natural person.	String, max 280 characters, UTF-8	PrspctsDataRpt/Prspc tsData/Cret/ FnIterm/IssrOfferrGu arntr/Guarnt/Id/Nm
27	Guarantor residency	Country of the guarantor in case the offeror is a natural person.	ISO 3166-1 alpha-2	PrspctsDataRpt/Prspc tsData/Cret/ FnIterm/IssrOfferrGu arntrGuarnt/Id/Ctry
List of Financial Instruments:				
28	FISN	Financial Instrument Short Name of the security. This field should be repeated for each security (ISIN).	FISN code, as defined in ISO 18774	PrspctsDataRpt/Prspc tsData/Cret/ FnIterm//FinInstrmId /ShrtNm
29	ISIN	International	ISIN code, as defined in ISO	PrspctsDataRpt/Prspc

ID	urd	Definition	Format and standards	XSD Path(s)
		Securities Identification Number.	6166	tsData/Cret/ FnlTerm//FinInstrmId /ISIN
30	Denominati on per unit	<p>Nominal value or notional value per unit in the issuance currency.</p> <p>This field should be repeated for each security (ISIN).</p> <p>Field applicable to securities with defined denomination.</p>	{DECIMAL-18/5}	PrspctsDataRpt/Prspc tsData/Cret/ FnlTerm//FinInstrmId /DnmtnAmt
31	Issuance currency	<p>Code representing the currency in which the nominal or notional value is denominated.</p> <p>This field should be repeated for each security (ISIN).</p>	3 letter currency code, as defined by ISO 4217 currency codes	PrspctsDataRpt/Prspc tsData/Cret/ FnlTerm//FinInstrmId /DnmtnCcy
32	Volume offered	<p>Number of securities offered.</p> <p>Field applicable only to equity.</p> <p>This field should be repeated for each security (ISIN).</p>	<p>One of the following with format {DECIMAL-18/5} [1] :</p> <p>Volume offered to Or Volume offered from and Volume offered to or Volume offered</p>	PrspctsDataRpt/Prspc tsData/Cret/ FnlTerm//FinInstrmId /Vol/Offerd

ID	urd	Definition	Format and standards	XSD Path(s)
33	Volume raised	<p>Volume per unit raised, in monetary value of the issuance currency.</p> <p>This field should be repeated for each security (ISIN).</p>	<p>One of the following with format {DECIMAL-18/5}:</p> <p>Volume raised to or Volume raised from and Volume raised to or Volume raised</p>	PrspctsDataRpt/PrspctsData/Cret/FnlTerm//FinInstrmId/Vol/Raisd
34	Price offered	<p>Price per security offered, in monetary value.</p> <p>The currency of the price is the issuance currency.</p> <p>Field applicable only to equity.</p> <p>This field should be repeated for each security (ISIN).</p>	<p>One of the following:</p> <p>A) One of the following with format {DECIMAL-18/5}:</p> <ul style="list-style-type: none"> - Price offered to (Amount) or - Price offered from (Amount) and Price offered to (Amount) or - Price offered <p>B) {NO_VALUE_TYPE}</p>	PrspctsDataRpt/PrspctsData/Cret/FnlTerm//FinInstrmId/Pric/Offerd
35	Price raised	<p>Price per unit raised, in monetary value of the issuance currency.</p> <p>This field should be repeated for each security (ISIN).</p>	<p>One of the following with format {DECIMAL-18/5}:</p> <p>Price raised to (Amount) or Price raised from (Amount) and Price raised to (Amount) or Price raised (Amount)</p>	PrspctsDataRpt/PrspctsData/Cret/FnlTerm//FinInstrmId/Pric/Raisd

ID	Field Name	Definition	Format and standards	XSD Path(s)
36	Consideration offered	<p>Consideration per security offered, in monetary value.</p> <p>This field should be repeated for each security (ISIN).</p>	<p>One of the following:</p> <p>A) One of the following with format {DECIMAL-18/5}: Consideration offered to (Amount) or Consideration offered from (Amount) and Consideration offered to (Amount) or Consideration offered</p> <p>B) {NO_VALUE_TYPE}</p>	PrspctsDataRpt/PrspctsData/Cret/FnlTerm//FinInstrmId/Cnsdrtn/Offerd
37	Consideration raised	<p>Consideration per unit raised, in monetary value of the issuance currency.</p> <p>This field should be repeated for each security (ISIN).</p>	<p>One of the following with format {DECIMAL-18/5}: Consideration raised to or Consideration raised from and Consideration raised to or Consideration raised</p>	PrspctsDataRpt/PrspctsData/Cret/FnlTerm//FinInstrmId/Cnsdrtn/Raisd
38	Identifier or name of the underlying	<p>ISIN code of the underlying security/index or name of the underlying security/index if an ISIN does not exist.</p> <p>When basket of securities, to be identified accordingly.</p> <p>Field applicable to securities with defined underlying.</p>	<p>For unique underlying:</p> <ul style="list-style-type: none"> - In case of security or index with existing ISIN: {ISIN} - In case the index has no ISIN: {INDEX} - Otherwise: {ALPHANUM-50} <p>For multiple underlyings (more than one): 'BSKT'</p>	PrspctsDataRpt/PrspctsData/Cret/FnlTerm//FinInstrmId/UndrlygInstrm

ID	Field Name	Definition	Format and standards	XSD Path(s)
		This field should be repeated for each security (ISIN).		
39	Maturity or expiry date	<p>Date of maturity or expiry date of the security, when applicable.</p> <p>This field should be repeated for each security (ISIN).</p> <p>Field applicable to securities with defined maturity.</p>	<p>ISO 8601 date format: YYYY-MM-DD</p> <p>Dates shall be reported in UTC</p>	PrspctsDataRpt/PrspctsData/Cret/FnlTerm//FinInstrmId/MtrtyOrXpryDt
40	Bail-in-ability	<p>Indicator about whether the security is subject to bail-in rules under Directive 2014/59/EU.</p> <p>This field should be repeated for each security (ISIN).</p>	TRUE/FALSE indicator	PrspctsDataRpt/PrspctsData/Cret/FnlTerm//FinInstrmId/BailInAblty
41	Characteristics of the trading venue	<p>Taxonomy according to PR and MiFID / MIFIR.</p> <p>This field should be repeated for each security (ISIN).</p>	{TV_CHARACTERISTICS}	PrspctsDataRpt/PrspctsData/Cret/FnlTerm//FinInstrmId/InitlTradgVnTp
42	Type of offer / admission	Taxonomy according to PR and MiFID / MIFIR.	{OFFER_ADMISSION_TYPE}	PrspctsDataRpt/PrspctsData/Cret/FnlTerm//FinInstrmId

ID	urd	Definition	Format and standards	XSD Path(s)
		This field should be repeated for each security (ISIN).		/OfferOrAdmssnTp
43	CFI	<p>Classification of Financial Instrument code.</p> <p>This field should be repeated for each security (ISIN).</p>	CFI code, as defined in ISO 10962	PrspctsDataRpt/PrspctsData/Cret/FnlTerm//FinInstrmld/ClssfctnTp
44	Type of securities	<p>Classification of categories of equity and non-equity securities.</p> <p>This field should be repeated for each security (ISIN).</p>	{SECURITIES_TYPE}	PrspctsDataRpt/PrspctsData/Cret/FnlTerm//FinInstrmld/SctiesTp
List of Receiving Member States:				
45	Receiving Member State	<p>List of country codes of the Member States to which the uploaded record is to be notified or communicated.</p> <p>When multiple Member States shall be communicated, the field shall be reported as many times as necessary.</p>	<p>ISO 3166-1 alpha-2</p> <p>List of EEA countries</p>	PrspctsDataRpt/PrspctsData/Cret/FnlTerm/RcvgCtry

Table 1 Simple Type element definitions and formats

6. Annex 2: Table of enumerated values

The table below indicates the enumerated values used for the reporting of certain fields, which are filled in with the use of a predefined list, according to the Table of Fields (2.4.1).

Lists	Values
{OFFER_ADMISSION_TYPE}	A.Initial offer without admission to trading / listing - IOWA B.Secondary offer without admission to trading / listing - SOWA C.Initial admission to trading on regulated market - IRMT D. Initial admission to trading on regulated market from previously being traded on MTF - IPTM E.Initial admission to trading on MTF with offer to the public - IMTF F.Secondary issuance on regulated market or MTF - SIRM
{TV_CHARACTERISTICS}	A.Regulated market open to all investors - RMKT B.RM, or segment thereof, limited to qualified investors - RMQI C.MTF which is an SME growth market - MSGM D. MTF which is not an SME growth market - MLTF
{DOCUMENT_TYPE}	A.Final terms, including the summary of the individual issue annexed to them - FTWS
{SECURITY_NOTES_TYPE}	A.Security note with Final terms – SNFT B.Security note without Final terms - SNWO
{NO_VALUE_TYPE}	A.Not applicable - NOAP B.Pending - PNDG
{REQUEST_TYPE}	A.Correction of a document record – CORR B.New document record – NEWR C.Modification of a document record - MODF
{INDEX}	A.EONIA – EONA B.EONIA SWAP – EONS C.EURIBOR – EURI D. EuroSwiss – EUUS E.GCF REPO – GCFR F. ISDAFIX – ISDA G. LIBID – LIBI H. LIBOR – LIBO I. Muni AAA – MAAA J. Pfandbriefe – PFAN K.TIBOR – TIBO L. STIBOR – STBO M. BBSW – BBSW N. JIBAR – JIBA

Lists	Values
	O. BUBOR – BUBO P. CDOR – CDOR Q. CIBOR – CIBO R. MOSPRIM – MOSP S. NIBOR – NIBO T. PRIBOR – PRBO U. TELBOR – TLBO V. WIBOR – WIBO W. Treasury – TREA X. SWAP – SWAP Y. Future SWA – FUSW
{SME_CATEGORY}	A. SME under PR Article 15(1)(a) - S15A B. Issuer other than SME under PR Article 15(1)(b) - I15B C. Issuer other than SME under PR Article 15(1)(c) - I15C D. Offeror of securities under PR Article 15(1)(d) - O15D
{SECURITIES_TYPE}	A. Equity <ul style="list-style-type: none"> i. Shares – SHRS ii. Units or shares in closed end funds – UCEF iii. Convertible securities – CVTS iv. Other - OTHR B. Debt <ul style="list-style-type: none"> i. Debt with denomination < €100.000 – DWHD ii. Debt with denomination ≥ €100.000 – DWLD iii. Debt with denomination < €100.000 available only to qualified investors - DLRM C. Depository receipts - DPRS D. ABS - ABSE E. Derivative securities - DERV

Table 8 - Table of enumerated values

7. Annex 3 Business Application header

The Business Application Header (BAH) is a header that has been defined by the ISO 20022 community that can form part of an ISO 20022 business message. Specifically, the BAH is an ISO 20022 message definition (head.001.001.01) which can be combined with any other ISO 20022 message definition to form a business message.

It gathers together, in one place, data about the message, such as which organization has sent the business message, which organization should be receiving it, the identity of the message itself, a reference for the message and so on.

The purpose of the BAH is to provide a consistent and predictable way for this data to be conveyed with the message, regardless of implementation factors such as the choice of network.

The use of the BAH in messages is mandatory.

The below table presents the list of mandatory elements of the BAH that should be included in all messages and how they should be populated:

Element	Description	Usage in reporting message sent by submitting entities	Usage in messages sent by ESMA, i.e. Feedback, Output
From	Identifies the Organization sending the message	Fr/OrgId/Id/OrgId/Othr/Issr : NCANL .	Fr/OrgId/Id/OrgId/Othr/Issr : 'PRIII'
To	Identifies the Organization receiving the message	To/OrgId/Id/OrgId/Othr/Issr : 'PRIII'	For feedback file: To/OrgId/Id/OrgId/Othr/Id : 'NCANL' For output file: To/OrgId/Id/OrgId/Othr/Issr : 'NCANL'

Business Message Identifier	Unambiguously identifies the Business Message to the MessagingEndpoint that has created the Business Message.	BizMsgIdr SenderCode -CustomCode The SenderCode is the SenderCode of the original incoming message. The CustomCode is the CustomCode of the original incoming message.	BizMsgIdr For feedback file: SenderCode-CustomCode For output file: SenderCode-CustomCode- The SenderCode is the SenderCode of the original incoming message both for feedback and output file. The CustomCode is the CustomCode of the original incoming message both for the feedback and the output file.
Message Definition Identifier	Identification of the type of the message (ISO 20022 message identifier).	MsgDefIdr ISO 20022 Message Definition Identifier of the submitted message.	MsgDefIdr ISO 20022 Message Definition Identifier of the generated message.
Creation Date	Date and time when this Business Message was created	CreDt Date and time in ISO 8601 format.	CreDt UTC Date and time in ISO 8601 format. Must end with Z
Related	Specifies the Business Application Header of the Business Message to which this Business Message relates.	Not applicable	For feedback file: The copy of the BAH of the referred data message (it allows to link the status advice and the data message). For output file: Not applicable

Table 9 - Fields of Business Application Header

Example business header:

```

<?xml version="1.0"?>
<Hdr>
  <AppHdr>
    <Fr>
      <OrgId>
        <Id>
          <OrgId>
            <Othr>
              <Id>NCANL</Id>
            </Othr>
          </OrgId>
        </Id>
      </OrgId>
    </Fr>
    <To>
      <OrgId>
        <Id>
          <OrgId>
            <Othr>
              <Id>PRIII</Id>
            </Othr>
          </OrgId>
        </Id>
      </OrgId>
    </To>
    <BizMsgIdr>ABC123_1234567890</BizMsgIdr>
    <MsgDefIdr>DRAFT3auth.089.001.01</MsgDefIdr>
    <CreDt>2020-05-16T13:32:52Z</CreDt>
  </AppHdr>
</Hdr>

```

The data files received from submitting entities or generated by the ESMA Register contain an envelope (the Business File Header (BFH)) that encapsulate the Business Application Header (BAH) and the Business fields that correspond to each type of file.

- Business Application Header shall be encapsulated under “BizData/Hdr”
- Business Fields shall be encapsulated under “BizData/Pyld”

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