

MT530 Transaction Processing Command Formatting Guidelines

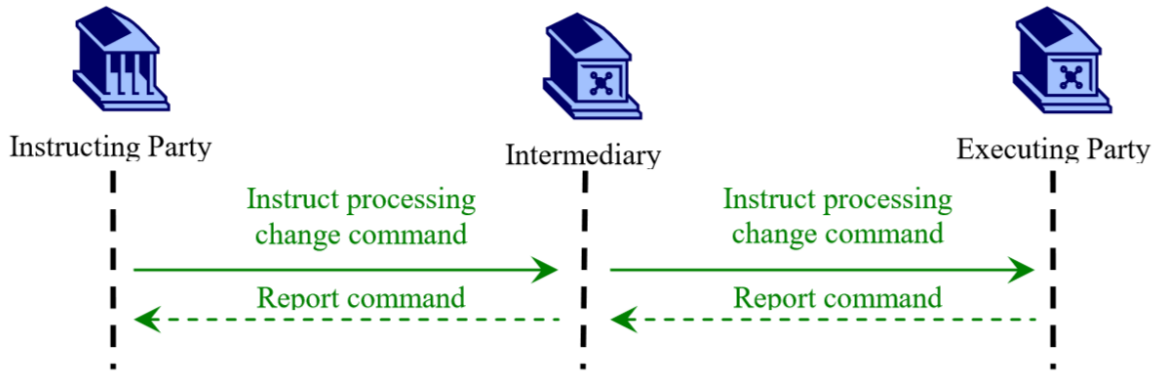
Contents

1 Purpose of the message MT530	3
2 Modular Structure: Provided by Credit Suisse	4
3 MT530 Transaction Processing Command	5
Formatting Guidelines	5
Sequence A – General Information	5
Sequence B – Request Details	5
Sequence C – Additional Information	6
4 Examples of MT530 Instructions	7

1 Purpose of the message MT530

Requests the modification of a processing indicator or other non-matching information

This message is sent by an account owner to an account servicer (account servicing institution). The account owner* will generally be a financial institution that has an account with a local Central Securities Depository (CSD) or with an International Central Securities Depository (ICSD). It is used to request the modification of a processing indicator or other non-matching information. In markets where this applies (for example, securities market infrastructures with no pre-settlement matching process), it is used by a party to approve, cancel or reject a transaction instructed by the counterparty.



<https://www.iso20022.org/15022/uhb/finmt530.htm>

2 Modular Structure: Provided by Credit Suisse

A: General Information (Mandatory)	Includes: sender's reference, function of the message, date and time of the instruction, account owner, safekeeping account
B: Request Details (Mandatory)	Includes: related trade reference, change indicator
B1 Linkages (Optional)	Includes: linkage type indicator, linked message, related trade reference
C: Additional Information (Optional)	Includes: account owner transaction identification, classification type, safekeeping account, identification of the financial instrument, quantity of financial instrument to be settled, date and time, party
C1 Status (Optional)	Includes: Instruction Processing Status
C1 Reason a: (Optional)	Includes: Reason Narrative

3 MT530 Transaction Processing Command Formatting Guidelines

The following tables describe the ISO 15022 SWIFT message types that you will be sending us. The following footnotes are used throughout the tables to clarify distinctions of field information applicable to settlement instructions:

Status M = Mandatory
O = Optional

STP = Straight Through Processing (no STP = exception generated, manual intervention necessary)

R3 = Repetitive field

a4 = Will be replaced by the chosen option e.g. 95a., Option P → 95P: or 98a., Option A → 98A:

O5 = Use of these Qualifiers can be mandatory depending on the market. Please refer to our respective market guides.

Sequence A – General Information

Status ¹	Tag	Qualifier	Code	Field Name	Example Content	Comments	Rep. ³
Mandatory Sequence A General Information							
M	16R		GENL	Start of Block	:16R:GENL		1
M	20C	SEME		Sender's Message Reference	:20C::SEME//16x		2
M	23G		NEWM	Function of the Message New Message	:23G::NEWM	Please do not use any subfunctions as your swift instruction would not be processed.	3
O	98a ⁴	PREP		Preparation Date/Time	:98C::PREP//YYYYMMDDHHM MSS	Please use option C or E only	4
O	95a			Party	:95R::DEAG/SCOM/CH100164 :95P::DEAG//CRESCHZZ80A	Option L is not accepted	5
M	97a	SAFE		Account	:97A::SAFE//0835-0123456-05- 000	Only Option A is supported.	6
M	16S		GENL	End of Block			7
End of Sequence A General Information							

Sequence B – Request Details

Status ¹	Tag	Qualifier	Code	Field Name	Example Content	Comments	Rep. ³
Mandatory Repetitive Sequence B Request Details							
M	16R		REQD	Start of Block	:16R::REQD		8
M	20C	PREV		Reference	:20C::PREV//16x	Any other qualifiers will be ignored.	9
M	22F	SETT	NPRE YPRE	Indicator	22F::SETT//NPRE 22F::SETT//YPRE		10
		PRIR PRTL			:22F::PRIR//0003 :22F::PRTL//PART		
		COEX	NPAR PART PARQ PARC		:22F::PRTL/COEX/PARC	Inhouse (Swiss market), this information will be ignored, for Cross-border orders, information will be forwarded.	
Optional Repetitive Subsequence B1 Linkages (not to be used, will be ignored)							
M	16R		LINK	Start of Block	:16R::LINK		11
O	22F	LINK	AFTE BEFO WITH	Indicator			12
O	13a	LINK		Number Identification			13
M	20a	POOL PREV RELA TRRF COMM MITI PCTI		Reference			14
M	16S		LINK	End of Block			15
End of Subsequence B1 Linkages							

M	16S	REQD	End of Block	16
---	-----	------	--------------	----

End of Sequence B Request Details

Sequence C – Additional Information (not to be used, will be ignored)

Status ¹	Tag	Qualifier	Code	Field Name	Example Content	Comments	Rep. ³
Optional Repetitive Sequence C Additional Information							
M	16R			ADDINFO Start of Block	:16R:ADDINFO		17
O	20C	ACOW		Account Owner	:36B::SETT//FAMT/2000000	Any input will be ignored	18
O	12A	CLAS		Classification Type		Any input will be ignored.	19
O	97a	SAFE		Account	:97A::SAFE//0835-0123456-05-000	Only Option A is supported. Option B no STP ² .	20
O	35B			Identification of the Financial Instrument	:35B::ISIN CH0012410517 :35B:/CH/1203204	When available ISIN must be used (market practice rules).	21
O	36B	SETT	AMOR FAMT UNIT	Quantity of Financial Instrument to be settled			22
O	98a	EFFD EXPI COFF		Date/Time	:97A::EXPI// YYYYMMDDHHMMSS		23
O	17B	BYIY		Flag			24
O	95a	SAFE	CUST ICSD NCSD SHHE	Party	:95R::DEAG/SCOM/CH100164 :95P::DEAG//CRESCHZZ80A	Option L is not accepted	25
Optional Subsequence C1 Status							
M	16R		STAT	Start of Block			26
O	25D	IPRC	CAND PACK REJT	Instruction Processing Status			27
Optional Repetitive Subsequence C1a Reason							
M	16R		REAS	Start of Block	:16R::REAS		28
M	24B		CAND PACK REJT	Reason Code			29
O	70D	REAS		Reason Narrative			30
M	16S		REAS	End of Block			31
End of Subsequence C1a Reason							
M	16S		STAT	End of Block			32
End of Subsequence C1 Status							
M	16S			ADDINFO End of Block			33

End of Sequence C – Additional Information

4 Examples of MT530 Instructions

Credit Suisse supports one processing change in its MT530 (multiple changes are not supported).

MT530 instruction to put a trade on hold

```
:16R:GENL
:20C::SEME//SENDERREF
:23G:NEWM
:98C::PREP//20191120113928
:97A::SAFE//0835-1234567-15-123
:16S:GENL
:16R:REQD
:20C::PREV//PREVIOUSREF      <-- Client needs to mention the reference of the previous sent MT54x message
:22F::SETT//NPRE             <-- Client needs to mention the type of modification
:16S:REQD
```

MT530 instruction to release a trade

```
:16R:GENL
:20C::SEME//SENDERREF
:23G:NEWM
:98C::PREP//20191120113928
:97A::SAFE//0835-1234567-15-123
:16S:GENL
:16R:REQD
:20C::PREV//PREVIOUSREF      <-- Client needs to mention the reference of the previous sent MT54x message
:22F::SETT//YPRE             <-- The client needs to mention the type of modification
```

MT530 instruction to prioritize a trade

```
:16R:GENL
:20C::SEME//SENDERREF
:23G:NEWM
:98C::PREP//20191120113928
:97A::SAFE//0835-1234567-15-123
:16S:GENL
:16R:REQD
:20C::PREV//PREVIOUSREF      <-- Client needs to mention the reference of the previous sent MT54x message
:22F::PRIR//nnnn             <-- Request to change the priority of the order to priority nnnn (whereas nnnn must be a number from
:16S:REQD                     0001 to 9999 and acceptable by the market. 0001 is the highest priority.) For more detailed
                               information, please refer to our market settlement quick guide.
```

MT530 instruction to enable partial settlement

```
:16R:GENL
:20C::SEME//SENDERREF
:23G:NEWM
:98C::PREP//20191120113928
:97A::SAFE//0835-1234567-15-123
:16S:GENL
:16R:REQD
:20C::PREV//PREVIOUSREF      <-- Client needs to mention the reference of the previous sent MT54x message
:22F::PRTL//PART             <-- Client needs to mention the type of modification
:16S:REQD
```

MT530 instruction to disable partial settlement

:16R:GENL
:20C::SEME//SENDERREF
:23G:NEWM
:98C::PREP//20191120113928
:97A::SAFE//0835-1234567-15-123
:16S:GENL
:16R:REQD
:20C::PREV//PREVIOUSREF <-- The client needs to mention the reference of the previous sent MT54x message
:22F::PRTL//NPAR <-- The client needs to mention the type of modification
:16S:REQD

Partial settlement feature is not supported by SECOM (Swiss Market), but available in most of CSDR in scope markets. For more detailed information, please refer to our market settlement quick guide.



CREDIT SUISSE (Switzerland) Ltd.

Financial Institutions
Uetlibergstrasse 231
CH-8070 Zurich
Switzerland

www.credit-suisse.com/financialinstitutions

Important Legal Information:

This document was produced by Credit Suisse Group AG and/or its affiliates (hereafter "CS") with the greatest of care and to the best of its knowledge and belief. However, CS provides no guarantee with regard to its content and completeness and does not accept any liability for losses which might arise from making use of this information. The opinions expressed in this document are those of CS at the time of writing and are subject to change at any time without notice. If nothing is indicated to the contrary, all figures are unaudited. This document is provided for information purposes only and is for the exclusive use of the recipient. It does not constitute an offer or a recommendation to buy or sell financial instruments or banking services and does not release the recipient from exercising his/her own judgment. The recipient is in particular recommended to check that the information provided is in line with his/her own circumstances with regard to any legal, regulatory, tax or other consequences, if necessary with the help of a professional advisor. This document may not be reproduced either in part or in full without the written permission of CS. It is expressly not intended for persons who, due to their nationality or place of residence, are not permitted access to such information under local law. Unless an exception applies, neither this document nor any copy thereof may be sent, taken into or distributed in the United States or to any U. S. person (within the meaning of Regulation S under the US Securities Act of 1933, as amended). Every investment involves risk, especially with regard to fluctuations in value and return. Investments in foreign currencies involve the additional risk that the foreign currency might lose value against the investor's reference currency. It should be noted that historical returns and financial market scenarios are not reliable indicators of future performance.

Copyright © 2021 Credit Suisse Group AG and/or its affiliates. All rights reserved.