Nasdaq

GUIDELINES OF ESTABLISHING RMA WITH NASDAQ CSD

BACKGROUND INFORMATION

Nasdaq CSD has prepared this guidance document on SWIFT Relationship Management Application ("RMA") and it is intended to provide broader guidance for managing customer and non-customer RMAs for the new messages in relation to the Shareholders Rights Directive II (SRDII).

SWIFT RMA is a message security feature enabling the members of the SWIFT network to exchange messages over the network in a controlled fashion. The use of RMA is mandatory for sending and receiving SWIFT FINplus messages. RMA Authorisations are used to declare the permitted incoming message flow for the members of the SWIFT network.

Nasdaq CSD encourages intermediaries who hold SRDII Baltic instruments registered with Nasdaq CSD as Issuer CSD to initiate an RMA Authorisation exchange for SWIFTNet FINplus. In addition, all Nasdaq CSD participants able to receive or send SRDII messages[1] through SWIFT are required to initiate RMA Authorization exchange for SWIFTNet FINplus with Nasdaq CSD by September 1st 2020.

ESTABLISHING RMA WITH NASDAQ CSD

RMA Authorizations for test and live usage can be exchanged before SWIFTNet FINplus is fully available, as the authorization are exchanged using dedicated SWIFTNet services 'swift.rma' (live RMA) and 'swift.rma !p' (test & training RMA).

Production environment

Please send your live RMA Authorization for service 'swift.finplus' to the SWIFTNet Responder DN "o=lcdelv22,o=swift", BIC code LCDELV22. We will accept and reciprocate upon message reception.

Test & Training environment

Should you wish to establish test & training SRD-II traffic with Nasdaq CSD, you will need to set up RMA Authorizations for the test & training service. If so, please send your test & training RMA Authorization for service 'swift.finplus!pc' to the SWIFTNet Responder DN "o=lcdelv22,o=swift", BIC code LCDELV22. We will accept and reciprocate upon message reception. Note that the BIC-8 used is the live BIC-8.

Test & Training environment for Future Mode

Should you wish to establish test & training SRD-II traffic with Nasdaq CSD using message standards from a future release, you will need to set up RMA Authorizations for the future mode test & training service. If so, please send your test & training RMA Authorization for service 'swift.finplus!pf' to the SWIFTNet Responder DN "o=lcdelv22,o=swift", BIC code LCDELV22. We will accept and reciprocate upon message reception. Note that the BIC-8 used is the live BIC-8.

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[1] See Annex for complete list of the messages

ENVELOPE FORMAT

The exact details of the outer envelope used to transmit messages onto SWIFTNet services will depend on the particular software used, but the following elements will always be part of it:

XPath field reference	Value
DataPDU/Header/Message/SenderReference	Message reference to identify this message instance.
DataPDU/Header/Message/MessageIdentifier	ISO20022 Message type
DataPDU/Header/Message/Sender/DN	The SWIFTNet Requestor DN of your institution in three levels, ie "ou=xxx,o=banksess,o=swift"
DataPDU/Header/Message/Receiver/DN	Always "ou=xxx,o=lcdelv22,o=swift" for communicating with Nasdaq CSD
DataPDU/Header/Message/NetworkInfo/Service	Either one of "swift.finplus" (for live traffic) "swift.finplus!pc" (for test, current mode) "swift.finplus!pf" (for test, future mode)
DataPDU/Body/AppHdr/	The Business application header, see below

The above elements XPath expressions are valid for the SWIFTAlliance Access software, your system may use different syntax. Please consult your system documentation.

BUSINESS APPLICATION HEADER FORMAT

The Business Application Header is standardized by SWIFT, and will be part of the message you send to Nasdaq CSD. The following elements are the minimum possible BAH subset:

Partial XPath field reference	Value
AppHdr/Fr/FIId/FinInstId/BICFI	The live BIC11 of your institution
AppHdr/To/FIId/FinInstId/BICFI	Always "LCDELV22XXX"
AppHdr/BizMsgIdr	Universally Unique message ID
AppHdr/MsgDefIdr	ISO20022 Message type
AppHdr/CreDt	Date and time of message creation with timezone

Please note that here Nasdaq CSD will use live BIC codes for the Business Application Header even in Test & Training contexts, and Nasdaq CSD expects incoming messages to do the same.

ANNEX 1 – **LIST OF SRDII MESSAGES EXCHANGED VIA SWIFTNet FINplus**

Business function	Message Identifier	Direction
Shareholder identification disclosure request	seev.045.001.02	▪ Issuer /agent / Issuer CSD → Nasdaq CSD ▪ Nasdaq CSD → Nasdaq CSD participant
Shareholder identification disclosure request cancellation advice	seev.046.001.01	▪ Issuer /agent / Issuer CSD → Nasdaq CSD ▪ Nasdaq CSD → Nasdaq CSD participant
Shareholder identification disclosure response	seev.047.001.01	▪ Nasdaq CSD → Issuer /agent / Issuer CSD ▪ Nasdaq CSD participants → Nasdaq CSD ▪ Nasdaq CSD participants → Issuer /agent / Issuer CSD ▪ Global custodians → Nasdaq CSD
Shareholder identification disclosure response cancellation advice	seev.048.001.01	▪ Nasdaq CSD → Issuer /agent / Issuer CSD ▪ Nasdaq CSD participant → Nasdaq CSD ▪ Nasdaq CSD participants → Issuer /agent / Issuer CSD ▪ Global custodian → Nasdaq CSD
Shareholder identification disclosure response status advice	seev.049.001.01	▪ Issuer /agent / Issuer CSD → Nasdaq CSD ▪ Nasdaq CSD → Nasdaq CSD participant ▪ Issuer /agent / Issuer CSD → Nasdaq CSD participant ▪ Nasdaq CSD → Global custodian
Meeting Notification	seev.001.001.07	▪ Issuer /agent / Issuer CSD → Nasdaq CSD ▪ Nasdaq CSD → Nasdaq CSD participant
Meeting Cancellation	seev.002.001.06	▪ Issuer /agent / Issuer CSD → Nasdaq CSD ▪ Nasdaq CSD → Nasdaq CSD participant
Meeting Entitlement Notification	seev.003.001.06	▪ Nasdaq CSD → Nasdaq CSD participant
Meeting Instruction	seev.004.001.06	▪ Nasdaq CSD participant → Nasdaq CSD ▪ Nasdaq CSD → Issuer /agent / Issuer CSD
Meeting Instruction Cancellation Request	seev.005.001.06	▪ Nasdaq CSD participant → Nasdaq CSD ▪ Nasdaq CSD → Issuer /agent / Issuer CSD
Meeting Instruction Status	seev.006.001.06	▪ Nasdaq CSD → Nasdaq CSD participant ▪ Issuer /agent / Issuer CSD → Nasdaq CSD
Meeting Vote Execution Confirmation	seev.007.001.06	▪ Issuer /agent / Issuer CSD → Nasdaq CSD ▪ Nasdaq CSD → Nasdaq CSD participant
Meeting Result Dissemination	seev.008.001.06	▪ Nasdaq CSD → Nasdaq CSD participant ▪ Issuer /agent / Issuer CSD → Nasdaq CSD