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Securities — Classification of Financial Instruments (CFI code)

iTeh STANDARD PREVIEW

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Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

Draft International Standards adopted by the technical committees are circulated to the member bodies for voting. Publication as an International Standard requires approval by at least 75 % of the member bodies casting a vote.

International Standard ISO 10962 was prepared by Technical Committee ISO/TC 68, *Banking, securities and other financial services*, Subcommittee SC 4, *Securities*.

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Annex A of this International Standard is for information only.

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Introduction

The Classification of Financial Instruments (CFI) code has been developed to address a number of problems which have concerned the financial community in the past few years. With the growth of cross-border trading, the requirement to improve communication of information among market participants has become critical.

The business problems centre around an inability to obtain information on securities due to the lack of a consistent and uniform approach to grouping financial instruments. With the explosive growth over the past ten years in new instruments and new features attached to financial instruments, a serious communication problem has developed.

Many market participants are using similar terminology for instruments having significantly different features. The problem is compounded when market participants look beyond their own national markets. They encounter the same words to describe instruments in another country that have significantly different features. Where the terminology is in a different language, the market participant encounters the problem of the same words being applied to different instruments along with the problems of translation which also can be misleading. In addition, the customs and practices of local markets vary considerably in the manner in which they structure financial instruments leaving foreign participants confused and perplexed. On careful analysis, it is often found that the characteristics and features of these instruments are similar to a domestic instrument. However, most market participants do not have the time and resources to do this analysis.

The inability to group securities in a consistent manner is another problem encountered by market participants. Reports of holdings by different sources for similar financial instruments often result in financial instruments being categorized differently. This not only affects comparability but causes a credibility issue with the reader. When relative performances are being measured, the ability to properly categorize holdings is essential if true comparisons are to be made.

The solution envisioned is twofold. One is to establish a series of codes which clearly classifies financial instruments having similar features. The other is to develop a glossary of terms and provide common definitions which allow market participants to easily understand terminology being used.

The benefits derived are many.

The CFI code system provides a set of codes which can be used by all market participants in an electronic data processing environment and permits electronic communication between participants. Readers of portfolio holdings will see reports from different sources using the same categories. Performance measurement will be more credible as the groupings for measurement will be the same.

The development of these codes will encourage market participants to take advantage of other ISO Standards, particularly ISINs and Securities Messages to simplify the communication process among market participants.

The improved understanding of the characteristics of financial instruments will lead to a better understanding by investors, giving them more confidence to make investment decisions and leading to more active markets and the resulting improvement in market liquidity.

It is understood that some users may not, for practical reasons, be in a position to implement this International Standard immediately. In order for the International Standard to fulfil its objective, users are however recommended to implement it as soon as possible.

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Securities — Classification of Financial Instruments (CFI code)

1 Scope

This International Standard is intended for use in any application in the trading and administration of securities in international securities business. In so far as the trading and the administration of securities do not affect other countries, the application of this International Standard remains at the discretion of the responsible national bodies, such as stock exchanges, banks, brokers, and other institutions active in the securities field.

This International Standard defines and describes codes for an internationally valid system to classify financial instruments. The classification system applies to financial instruments negotiated internationally as well as to domestic instruments. The term 'financial instruments' refers not only to classical securities; it also covers the innovative financial products that have recently emerged in different markets - a trend that is expected to continue in the future.

In principle, the CFI code reflects characteristics that are defined when a financial instrument is issued and that remain unchanged during its entire lifetime. However, a few events that may lead to a new CFI code for the same instrument are anticipated, such as the changing of voting rights or ownership restrictions by a stockholders' meeting.

The code has been developed to provide the most comprehensive information possible while at the same time maintaining the code manageability.

2 Normative reference

The following standard contains provisions which, through reference in this text, constitute provisions of this International Standard. At the time of publication, the edition indicated was valid. All standards are subject to revision, and parties to agreements based on this International Standard are encouraged to investigate the possibility of applying the most recent edition of the standard indicated below. Members of IEC and ISO maintain registers of currently valid International Standards.

ISO 6166:1994, *Securities — International securities identification numbering system (ISIN)*.

3 Conventions and principles

The CFI Code consists of six alphabetic characters. The first character indicates the highest level of classification and differentiates between six generic categories: Equities, Debt instruments, Entitlements (Rights), Options, Futures, and Others. The second character indicates specific groups within each category: Equities, for example, are broken down into Shares, i.e. common/ordinary, Preferred shares, Convertible preferred shares, Units, i.e. unit trusts/mutual funds/OPCVM/OICVM, and Others. Within the category Debt instruments, the groups are Bonds, Convertible bonds, Bonds with warrants attached, Medium term notes, Money market instruments, and Others. For the complete classification breakdown, see 4. 'Codes and Definitions'.

The four last characters indicate the most important attributes applicable to each group: Whereas voting rights, restrictions, payment status and form are useful information in Equities, these features do not exist for Options, which have other attributes (underlying instruments, type of scheme, delivery, standardized/non-standardized).

In Equities, Debt instruments and Entitlements, the sixth (last) character indicates the form of the instrument.

X = not applicable, unknown, not available: If the information is not available or applicable at the time of assignment, the code 'X' is to be used for the respective element.

Classification procedure: The order given in 4. 'Codes and Definitions' is valid for the classification of ambiguous instruments. A financial instrument, for which the definitions of more than one category or group are correct, should be classified under the first possible category or group. For example, a financial instrument that gives the privilege to receive specific assets and is repaid by the issuer at maturity, thus classifiable both as 'Debt instruments' or 'Entitlements', should only be classified as 'Debt instruments'.

4 Codes and definitions

Categories:	E = Equities
	D = Debt Instruments
	R = Entitlements (Rights)
	O = Options
	F = Futures
	M = Others (Miscellaneous)

EQUITIES -E-*-**-*-**-

Financial instruments representing an ownership interest in an entity or pool of assets.

<u>Groups:</u>	S = Shares, i.e. common/ordinary
	P = Preferred shares
	C = Convertible shares
	U = Units, i.e. unit trusts/mutual funds/OPCVM/OICVM
	M = Others (Miscellaneous)

Shares, i.e. common/ordinary -E-S-*-**-*-**-

Holders typically being entitled to vote and receive dividends. In the event of liquidation, holders of shares usually rank behind the entity's creditors and holders of preferred shares.

1st attribute: **Voting right** (*indicates the kind of voting power conferred to the shareholder*):

V = Voting (<i>Each share has one vote</i>)	-E-S-V-*-**-*-**-
N = Non-voting (<i>Share has no voting right</i>)	-E-S-N-*-**-*-**-
R = Restricted voting (<i>The shareholder may be entitled to less than one vote per share</i>)	-E-S-R-*-**-*-**-
E = Enhanced voting (<i>The shareholder is entitled to more than one vote per share</i>)	-E-S-E-*-**-*-**-

2nd attribute: **Ownership/transfer restrictions:**

T = Restrictions (<i>The ownership or transfer of the security is subject to special conditions</i>)	-E-S-*-T-*-**-*-**-
U = Free (<i>Unrestricted; the ownership or transfer of the security is not subject to special conditions</i>)	-E-S-*-U-*-**-*-**-

3rd attribute: **Payment status:**

O = Nil paid	-E-S-*-**-*-O-*-**-
P = Partly paid	-E-S-*-**-*-P-*-**-
F = Fully paid	-E-S-*-**-*-F-*-**-

4th attribute: **Form:**

B = Bearer (<i>The owner is not registered in the books of the issuer or of the registrar.</i>)	-E-S-*-**-*-B-*-**-
R = Registered (<i>Securities are recorded in the name of the owner on the books of the issuer or the issuer's registrar and can only be transferred to another owner when endorsed by the registered owner.</i>)	-E-S-*-**-*-R-*-**-
N = Bearer/Registered (<i>Securities issued in both bearer and registered form but with the same identification number.</i>)	-E-S-*-**-*-N-*-**-
Z = Bearer depository receipt (<i>Receipt - in bearer form - for securities issued in a foreign market to promote trading outside the home country of the underlying securities.</i>)	-E-S-*-**-*-Z-*-**-
A = Registered depository receipt (<i>e.g. ADR; Receipt - in registered form - for securities issued in a foreign market to promote trading outside the home country of the underlying securities.</i>)	-E-S-*-**-*-A-*-**-

Preferred shares -E-P-*--*-***

Payment of dividends to holders normally takes preference over the payment of dividends to other classes of shares. In the event of liquidation, preferred shares normally rank above ordinary shares but behind creditors of the entity.

1st attribute: **Voting right** (see also *Equities, Shares, i.e. common/ordinary*):

V = Voting	-E-P-V-*-**-*-*
N = Non-voting	-E-P-N-*-**-*-*
R = Restricted voting	-E-P-R-*-**-*-*
E = Enhanced voting	-E-P-E-*-**-*-*

2nd attribute: **Ownership/transfer restrictions** (see also *Equities, Shares, i.e. common/ordinary*):

T = Restrictions	-E-P-*-T-*-**-*-*
U = Free (Unrestricted)	-E-P-*-U-*-**-*-*

3rd attribute: **Income** (indicates the kind of dividend income the shareholders are entitled to):

F = Fixed Rate Income (The shareholder periodically receives a stated income.)	-E-P-*-**F-*-*
C = Cumulative, Fixed Rate Income (The shareholder periodically receives a stated amount. Dividends not paid in any year accumulate and must be paid at a later date before dividends can be paid on the common/ordinary shares.)	-E-P-*-**C-*-*
P = Participating Income (Preferred shareholders, in addition to receiving their fixed rate of prior dividend, share with the common shareholders in further dividend distributions and in capital distributions.)	-E-P-*-**P-*-*
Q = Cumulative, Participating Income (Shareholders are entitled to dividends in excess of the stipulated preferential rate under specified conditions. Dividends not paid in any year accumulate and must be paid at a later date before dividends can be paid on the common/ordinary shares.)	-E-P-*-**Q-*-*
A = Adjustable Rate Income (The dividend rate is set periodically, usually based on a certain yield.)	-E-P-*-**A-*-*
N = Normal Rate Income (Shareholders are entitled to the same dividends as common/ordinary shareholders but have other privileges, e.g. as regards distribution of assets upon dissolution.)	-E-P-*-**N-*-*

4th attribute: **Form** (see also *Equities, Shares, i.e. common/ordinary*):

B = Bearer	-E-P-*-**B-*-*
R = Registered	-E-P-*-**R-*-*
N = Bearer/Registered	-E-P-*-**N-*-*
Z = Bearer depository receipt	-E-P-*-**Z-*-*
A = Registered depository receipt (e.g. ADR)	-E-P-*-**A-*-*

Convertible shares -E-C-*--*-***

Shares (common/ordinary or preferred) that, at the option of the holder, are convertible into other securities, usually common shares, at a designated rate. The conversion privilege may be perpetual or limited to a specified number of years.

1st attribute: **Voting right** (see also *Equities, Shares, i.e. common/ordinary*):

V = Voting	-E-C-V-*-**-*-*
N = Non-voting	-E-C-N-*-**-*-*
R = Restricted voting	-E-C-R-*-**-*-*
E = Enhanced voting	-E-C-E-*-**-*-*

2nd attribute: **Ownership/transfer restrictions** (see also *Equities, Shares, i.e. common/ordinary*):

T = Restrictions	-E-C-*-T-*-**-*-*
U = Free (Unrestricted)	-E-C-*-U-*-**-*-*

3rd attribute: **Income** (see also *Equities, Preferred shares*):

- F = Fixed Rate Income -E-C-**-F-*
- C = Cumulative, Fixed Rate Income -E-C-**-C-*
- P = Participating Income -E-C-**-P-*
- Q = Cumulative, Participating Income -E-C-**-Q-*
- A = Adjustable Rate Income -E-C-**-A-*
- N = Normal Rate Income -E-C-**-N-*

4th attribute: **Form** (see also *Equities, Shares, i.e. common/ordinary*):

- B = Bearer -E-C-**-B-
- R = Registered -E-C-**-R-
- N = Bearer/Registered -E-C-**-N-
- Z = Bearer depository receipt -E-C-**-Z-
- A = Registered depository receipt (e.g. ADR) -E-C-**-A-

Units, i.e. unit trusts/mutual funds/OPCVM/OICVM -E-U--**-***

Securities representing a portion of assets pooled by investors: run by a management company whose share capital remains separate from such assets.

1st attribute: **Closed/open-end** (indicates whether units are traded or whether funds continually stand ready to sell new units and to redeem the outstanding units on demand):

- C = Closed-end (Units are sold on either an organized exchange or in the over-the-counter market and are usually not redeemed.) -E-U-C-**-**-
- O = Open-end (Funds permanently sell new units to the public and redeem outstanding units on demand, resulting in an increase or decrease of outstanding capital.) -E-U-O-**-**-

2nd attribute: **Distribution policy** (indicates the fund's normal distribution policy):

- I = Income funds (The fund regularly distributes its investment profits.) -E-U-**-I-**-
- G = Growth funds (The fund normally reinvests its investment profits.) -E-U-**-G-**-
- M = Mixed funds (Investment profits are partly distributed, partly reinvested.) -E-U-**-M-**-

3rd attribute: **Assets** (indicates the investment policy/objective of the fund as set forth in its prospectus):

- R = Real estate (Fund invests exclusively in real estate.) -E-U-**-R-**-
- S = Securities (Fund invests in securities/financial instruments.) -E-U-**-S-**-
- M = Mixed-general (Fund invests in different assets.) -E-U-**-M-**-
- C = Commodities (Fund invests exclusively in commodities.) -E-U-**-C-**-
- D = 'Derivatives' (Fund invests in derivatives.) -E-U-**-D-**-

4th attribute: **Form** (see also *Equities, Shares, i.e. common/ordinary*):

- B = Bearer -E-U-**-B-
- R = Registered -E-U-**-R-
- N = Bearer/Registered -E-U-**-N-
- Z = Bearer depository receipt -E-U-**-Z-
- A = Registered depository receipt (e.g. ADR) -E-U-**-A-

Others (Miscellaneous) -E-M-X-X-X-*

Equities which do not fit into any of the above Groups.

- 1st attribute: X = Not applicable/Undefined -E-M-X-**-**-
- 2nd attribute: X = Not applicable/Undefined -E-M-**-X-**-
- 3rd attribute: X = Not applicable/Undefined -E-M-**-X-**-

4th attribute: **Form** (see also *Equities, Shares, i.e. common/ordinary*):

B = Bearer	-E-M-X-X-X- B -
R = Registered	-E-M-X-X-X- R -
N = Bearer/Registered	-E-M-X-X-X- N -
Z = Bearer depository receipt	-E-M-X-X-X- Z -
A = Registered depository receipt (e.g. ADR)	-E-M-X-X-X- A -

** Guidelines for Mixed Units (e.g. consisting of shares, bonds and warrants):

Mixed Units consisting of

- share(s), bond(s) and warrant(s),
- share(s) and bond(s),
- share(s) and warrant(s),
- a number of shares

are classified under the category 'Equity', group 'Other'.

** Guidelines for Baskets (consisting of a number of stocks, used in program trading):

Baskets are classified under the category 'Equity', group 'Other'.

DEBT INSTRUMENTS -D-*--*-***

Financial instruments evidencing moneys owed by the issuer to the holder on terms as specified.

Groups:

- B** = Bonds
 - C** = Convertible bonds
 - W** = Bonds with warrants attached
 - T** = Medium-term notes
 - Y** = Money market instruments
 - M** = Others (Miscellaneous)
- <http://standards.iteh.ai/catalog/standards/sist/bbb5169d-7552-4709-8a82-4d1824a7124a/iso-10962-1997>

Bonds -D-B-*--*-***

Any interest-bearing or discounted security that normally obliges the issuer to pay the bondholder a contracted sum of money and to repay the principal amount of the debt.

1st attribute: **Type of interest:**

F = Fixed rate (All interest payments are known at issuance and remain constant for the life of the issue.)	-D-B- F -**-*-*
Z = Zero rate / Discounted (No periodical interest payments are made; the interest charge (discount) is the difference between maturity value and proceeds at time of acquisition.)	-D-B- Z -**-*-*
V = Variable (The interest rate is subject to adjustment through the life of the issue; includes graduated, i.e. step-up/step-down, floating and indexed interest rates.)	-D-B- V -**-*-*

2nd attribute: **Guarantee** (indicates, in the case of the issuer's insolvency, whether the debt issue is additionally secured):

T = Government/Treasury guarantee (The debt instrument is guaranteed by a federal or state government.)	-D-B-*- T -**-*-*
G = Guaranteed (The debt instrument is guaranteed by an entity other than the issuer; not a federal or state government).	-D-B-*- G -**-*-*
S = Secured (A debt issue against which specific assets are pledged to secure the obligation e.g. mortgage, receivables).	-D-B-*- S -**-*-*
U = Unsecured / unguaranteed (The direct obligations of the issuer rest solely on its general credit.)	-D-B-*- U -**-*-*

<u>3rd attribute:</u>	Redemption/Reimbursement (<i>indicates the retirement provisions made for the debt issue</i>):	
	F = Fixed maturity (<i>The principal amount is repaid in full at maturity.</i>)	-D-B-*-F-*
	G = Fixed maturity with call feature (<i>The issue may be called for redemption prior to the fixed maturity date.</i>)	-D-B-*-G-*
	A = Amortization plan (<i>Reduction of principal by regular payments.</i>)	-D-B-*-A-*
	B = Amortization plan with call feature (<i>The redemption of principal may occur as the result of the outstanding portion of the bond being called.</i>)	-D-B-*-B-*
	P = Perpetual (<i>The debt instrument has no fixed maturity date and is only due for redemption in the case of the issuer's liquidation.</i>)	-D-B-*-P-*
	Q = Perpetual with call feature (<i>The issue may be called for redemption at some time in the future.</i>)	-D-B-*-Q-*
<u>4th attribute:</u>	Form (<i>see also Equities, Shares, i.e. common/ordinary</i>):	
	B = Bearer	-D-B-*-B-
	R = Registered	-D-B-*-R-
	N = Bearer/Registered	-D-B-*-N-
	Z = Bearer depository receipt	-D-B-*-Z-
	A = Registered depository receipt (e.g. ADR)	-D-B-*-A-

Convertible bonds -D-C-*-*-*

A bond that can be converted into other securities.

<u>1st attribute:</u>	Type of interest (<i>see also Debt Instruments, Bonds</i>):	
	F = Fixed rate	-D-C-F-*-*
	Z = Zero rate / Discounted	-D-C-Z-*-*
	V = Variable	-D-C-V-*-*
<u>2nd attribute:</u>	Guarantee (<i>see also Debt Instruments, Bonds</i>):	
	T = Gov't/Treasury guarantee	-D-C-T-*-*
	G = Guaranteed	-D-C-G-*-*
	S = Secured	-D-C-S-*-*
	U = Unsecured / unguaranteed	-D-C-U-*-*
<u>3rd attribute:</u>	Redemption/Reimbursement (<i>see also Debt Instruments, Bonds</i>):	
	F = Fixed maturity	-D-C-*-F-*
	G = Fixed maturity with call feature	-D-C-*-G-*
	A = Amortization plan	-D-C-*-A-*
	B = Amortization plan with call feature	-D-C-*-B-*
	P = Perpetual	-D-C-*-P-*
	Q = Perpetual with call feature	-D-C-*-Q-*
<u>4th attribute:</u>	Form (<i>see also Equities, Shares, i.e. common/ordinary</i>):	
	B = Bearer	-D-C-*-B-
	R = Registered	-D-C-*-R-
	N = Bearer/Registered	-D-C-*-N-
	Z = Bearer depository receipt	-D-C-*-Z-
	A = Registered depository receipt (e.g. ADR)	-D-C-*-A-

Bonds with warrants attached -D-W-*-*-*

A bond that is issued together with one or more warrant(s) attached as part of the offer, the warrant(s) granting the holder the right to purchase a designated security, often the common stock of the issuer of the debt, at a specified price.

<u>1st attribute:</u>	Type of interest (see also <i>Debt Instruments, Bonds</i>):	
	F = Fixed rate	-D-W-F-**-*-
	Z = Zero rate / Discounted	-D-W-Z-**-*-
	V = Variable	-D-W-V-**-*-
<u>2nd attribute:</u>	Guarantee (see also <i>Debt Instruments, Bonds</i>):	
	T = Gov't/Treasury guarantee	-D-W-*-T-**-*
	G = Guaranteed	-D-W-*-G-**-*
	S = Secured	-D-W-*-S-**-*
	U = Unsecured / unguaranteed	-D-W-*-U-**-*
<u>3rd attribute:</u>	Redemption/Reimbursement (see also <i>Debt Instruments, Bonds</i>):	
	F = Fixed maturity	-D-W-*-*-F-**-*
	G = Fixed maturity with call feature	-D-W-*-*-G-**-*
	A = Amortization plan	-D-W-*-*-A-**-*
	B = Amortization plan with call feature	-D-W-*-*-B-**-*
	P = Perpetual	-D-W-*-*-P-**-*
	Q = Perpetual with call feature	-D-W-*-*-Q-**-*
<u>4th attribute:</u>	Form (see also <i>Equities, Shares, i.e. common/ordinary</i>):	
	B = Bearer	-D-W-***-B-
	R = Registered	-D-W-***-R-
	N = Bearer/Registered	-D-W-***-N-
	Z = Bearer depository receipt	-D-W-***-Z-
	A = Registered depository receipt (e.g. ADR)	-D-W-***-A-

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Medium-term notes -D-T-**-*-* ([standards.iteh.ai](https://standards.iteh.ai/catalog/standards/sist/bbb5169d-7552-4709-8a62-4d1824a7124a/iso-10962-1997))

Negotiable debt instruments offered under a program agreement through one or more dealers upon request of the issuer. The program defines the terms and conditions of the notes.

<u>1st attribute:</u>	Type of interest (see also <i>Debt Instruments, Bonds</i>):	
	F = Fixed rate	-D-T-F-**-*-
	Z = Zero rate / Discounted	-D-T-Z-**-*-
	V = Variable	-D-T-V-**-*-
<u>2nd attribute:</u>	Guarantee (see also <i>Debt Instruments, Bonds</i>):	
	T = Gov't/Treasury guarantee	-D-T-*-T-**-*
	G = Guaranteed	-D-T-*-G-**-*
	S = Secured	-D-T-*-S-**-*
	U = Unsecured / unguaranteed	-D-T-*-U-**-*
<u>3rd attribute:</u>	Redemption/Reimbursement (see also <i>Debt Instruments, Bonds</i>):	
	F = Fixed maturity	-D-T-***-F-**-*
	G = Fixed maturity with call feature	-D-T-***-G-**-*
	A = Amortization plan	-D-T-***-A-**-*
	B = Amortization plan with call feature	-D-T-***-B-**-*
	P = Perpetual	-D-T-***-P-**-*
	Q = Perpetual with call feature	-D-T-***-Q-**-*
<u>4th attribute:</u>	Form (see also <i>Equities, Shares, i.e. common/ordinary</i>):	
	B = Bearer	-D-T-***-B-
	R = Registered	-D-T-***-R-
	N = Bearer/Registered	-D-T-***-N-
	Z = Bearer depository receipt	-D-T-***-Z-
	A = Registered depository receipt (e.g. ADR)	-D-T-***-A-