

# INTERNATIONAL STANDARD

**ISO**  
**8532**

Second edition  
1995-12-15

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## **Securities — Format for transmission of certificate numbers**

*Valeurs mobilières — Format pour la transmission des numéros de titres et  
de certificats*

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INTERNATIONAL

ISO



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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 8532 was prepared by Technical Committee ISO/TC 68, *Banking and related financial services*, Subcommittee SC 4, *Securities*.

This second edition cancels and replaces the first edition (ISO 8532:1986), of which it constitutes a technical revision.

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## Introduction

The widespread application of automated data processing (ADP) has led to a growing need to record and transmit the certificate numbers of securities using electronic media.

Automated processing of these numbers requires that their format be defined and standardized at international level.

This International Standard takes into account the great variety of security and certificate numbers already in existence. The structure of the certificate numbers of future security issues are, however, governed by ISO 9019.

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# Securities — Format for transmission of certificate numbers

## 1 Scope

This International Standard specifies the format required for the transmission on electronic media of certificate numbers to other organizations or establishments (for example as part of a securities message, in accordance with ISO 7775).

This International Standard is applicable to all types of securities regardless of issuer or country of issuance.

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## 2 Normative references

The following standards contain provisions which, through reference in this text, constitute provisions of this International Standard. At the time of publication, the editions indicated were 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 editions of the standards indicated below. Members of IEC and ISO maintain registers of currently valid International Standards.

ISO 7775:1991, *Securities — Scheme for message types*.

ISO 9019:1995, *Securities — Numbering of certificates*.

## 3 Definitions

For the purposes of this International Standard, the following definitions apply.

**3.1 certificate number:** Number identifying one specific document of any security issue.

NOTE 1 This definition includes transferable or negotiable receipts representing underlying securities.

**3.2 denomination:** Face value expressed in terms of either nominal amount or number of shares/units represented by the security document.

## 4 Specifications for the transmission of certificate numbers

**4.1** The necessary information shall be transmitted as one datafield or as multiple datafields of variable length.

**4.2** Each datafield comprises only the numbers of certificates of the same denomination. When there are multiple denominations, they shall be transmitted in the order from highest to lowest.

**4.3** Each datafield consists of the following subfields which shall be transmitted in the following sequence.

**4.3.1** Quantity of certificate(s).

**4.3.2** Denomination of certificate(s) without mentioning additional specifications such as currency.

**4.3.3** Certificate number(s).

NOTE 2 The order of the certificate numbers within this subfield is left to the discretion of the sender unless otherwise agreed.

**4.4** Each transmission of a datafield or of multiple datafields shall be preceded by the field name or the field code (for example "Certificate numbers" or "35E" in accordance with ISO 7775).

**4.5** The following character set shall be used:

0 to 9 (according to the number on the certificate);

A to Z (according to the letters on the certificate; only capital letters shall be used);

: (colon) separates fields where the transmission contains multiple datafields;

+ (plus sign) separates the subfields within a datafield;

, (comma) separates individual numbers and/or number sequences;

- (hyphen) links the first certificate number to the last certificate number in cases where numerical sequence occurs (see 5.1),

or,  
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 links the first sequence of certificate numbers to the last sequence of certificate numbers in cases where two or more sequences are expressed as a range of sequences (see 5.3);

/ (solidus) links the first number to the last number of the underlying securities where a sequence of numbers appears on one certificate that does not have its own number (see 5.1);

. (full stop) separates the series designation and the certificate number itself (see 4.7).

NOTE 3 No space should be used either in front of or after any of the datafields, subfields or characters mentioned above.

**4.6** When letters are shown separately on the certificate ("Litteria"), they shall be considered part of the certificate number and shall appear without separation marks in front of the certificate number.

**4.7** Where a series designation exists and is not already expressed in the security identification, the certificate number shall be preceded by the series designation.

## 5 Miscellaneous

**5.1** When transmitting numerical sequences, the "to"-number consists of only that part of the number which differs from the "from"-number, and which is required to identify the range.

Where the existence of check digits renders the definition of a numerical sequence impossible, a sequence should not be used and each certificate must be identified separately.

**5.2** If a certificate representing underlying securities has its own number, only this number shall be transmitted.

NOTE 4 When requested, the underlying security number(s) may be transmitted in a special message.

**5.3** If a certificate representing underlying securities does not have its own number, then the numbers of the underlying securities shall be transmitted.

Where two or more certificates represent underlying securities, the numbers of the underlying securities may be transmitted as a range of sequences, provided the quantity of underlying securities contained in each sequence is identical.

In this case, the first element of the range shall be the first certificate number sequence denoted by a "from"-number and a "to"-number separated by a solidus (/), the "from"-number appearing first. The second element of the range shall be the last certificate number sequence denoted by a "from"-number and a "to"-number separated by a solidus, the "from"-number appearing first. The first element shall be separated from the second element by a hyphen (-).

**5.4** Spaces and special symbols within a certificate number and/or denomination and/or quantity (such as triad separation, signs separating certificate numbers in parts) shall not be transmitted.

**6 Examples**

The following examples illustrate the application of this International Standard. Also included are some examples which provide guidelines concerning older securities issues whose certificate numbering regime is not structured according to ISO 9019.

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**6.1 90 XY-shares represented by 3 certificates of 30 shares each**

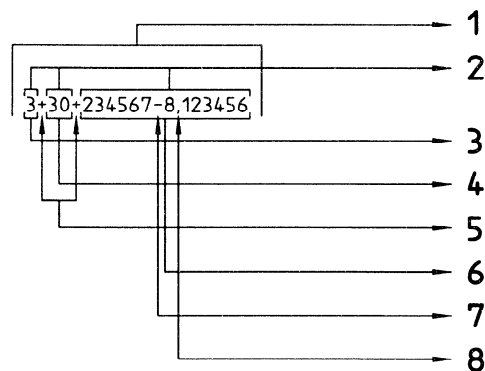
1 certificate No. 234567

1 certificate No. 234568

1 certificate No. 123456

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Application of this International Standard results in the following format:



- 1 Datafield (4.1)
- 2 Subfields (4.3)
- 3 Quantity (4.3.1)
- 4 Denomination (4.3.2)
- 5 Separates subfields (4.5)
- 6 Certificate numbers (4.3.3)
- 7 Links first to last number of sequence, or first to last sequence of range of sequences (4.5)
- 8 Separates numbers

## 6.2 Shares with series and "Litera"-designation

Certificates show their own number; series designation is part of the designation of the issue and the series has a special securities identification number (for example ISIN). The issue is traded per unit (as opposed to nominal amount per share or per cent).

161 Martin Miller Corp. shares series C of USD 1.-, represented by

1 certificate representing	100 shares	Lit F No. 000358
1 certificate representing	50 shares	Lit C No. 047658
11 certificates representing	1 share each	Lit A No. 148659
		Lit A No. 148660
		Lit A No. 148661
		Lit A No. 148662
		Lit A No. 148663
		Lit A No. 148664
		Lit A No. 148665
		Lit A No. 148666
		Lit A No. 148667
		Lit A No. 148668
		Lit A No. 148669

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Application of this International Standard results in the following format:

1+100+F358:1+50+C47658:11+1+A148659-69

NOTE 5 Indication of leading zeros in the final string of digits within a certificate number is optional.  
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## 6.3 Bonds divided in series for redemption to be drawn by lot

USD 75 000 10 % European Investment Bank Bonds due 1987/91 represented by 5 bonds in the denomination of USD 1 000 and 7 bonds in the denomination of USD 10 000.

USD 1 000	Series A No. 157232
	Series A No. 157321
	Series A No. 157322
	Series A No. 157323
	Series A No. 157327
USD 10 000	Series C No. 234691
	Series D No. 431062
	Series D No. 431063
	Series D No. 431064
	Series D No. 431065
	Series D No. 431066
	Series D No. 519230

Application of this International Standard results in the following format:

7+10000+C.234691,D.431062-6,D.519230:5+1000+A.157232,A.157321-3,A.157327



#### 6.4 Share certificates bearing only the numbers of the underlying shares

115 Bayer AG-Aktien represented by

1 certificate representing 100 shares

No. 113100-99

3 certificates representing 5 shares each

No. 246445-246449

No. 281300-281304

No. 317865-317869

Application of this International Standard results in the following format:

1+100+113100/99:3+5+246445/9,281300/4,317865/9

#### 6.5 Range of certificate number sequences

140 VEBA AG shares represented by 7 certificates

1 certificate representing 20 underlying shares

No. 0050451

3 certificates representing 20 underlying shares each

Lit B No. 0095981-0095990

Lit B No. 0095991-0096000

Lit B No. 0096001-0096010

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NOTE 6 Each underlying certificate number represents 2 shares.

3 certificates representing 20 underlying shares each

No. 0099941-0099960

No. 0099961-0099980

No. 0099981-0100000

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NOTE 7 Each underlying certificate number represents 1 share.

Application of this International Standard results in the following format:

7+20+50451,B95981/90-6001/10,99941/60-81/100000

#### 6.6 Spaces and special symbols in certificate numbers

30 USX Corporation shares represented by

3 certificates representing 10 shares each

No. 69-YVN-2474

No. ZQ 87-QYS-2521

No. ZQ 90 S006615

Application of this International Standard results in the following format:

3+10+69YVN2474,ZQ87QYS2521,ZQ90S6615

300 Astra CIA Argentinian de Petroleo shares represented by

3 certificates representing 100 shares each

No. 139691-3

No. 139692-5

No. 139693-9