

SWIFT ETD Library User's Guide

*Release 5.0.5 for Schema Run-time
Environment (SRE)*

Monk Version



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Preface

This guide describes the SWIFT ETD Library, including procedures for installing the Library on your Windows or UNIX-based system.

1.1 Intended Reader

The reader of this guide is presumed to be a developer or system administrator with responsibility for maintaining the e*Gate™ Integrator system, and have a working knowledge of the following:

- Operation and administration of the operating systems in use
- Windows-style GUI operations

1.2 Online Viewing

This user's guide is provided in Adobe Acrobat's Portable Document Format (PDF). It can be printed out on any printer or viewed online. When viewing online, you can take advantage of the extensive hyperlinking imbedded in the document to navigate quickly throughout the guide.

Hyperlinking is available in:

- The Table of Contents
- The Index
- Within the chapter text, indicated by **blue print**

Existence of a hyperlink *hotspot* is indicated when the hand cursor points to the text. Note that the hotspots in the Index are the *page numbers*, not the topics themselves. To return to the spot you hyperlinked from, right-click the mouse and select **Go Back** on the resulting menu.

Introduction

1.1 Overview

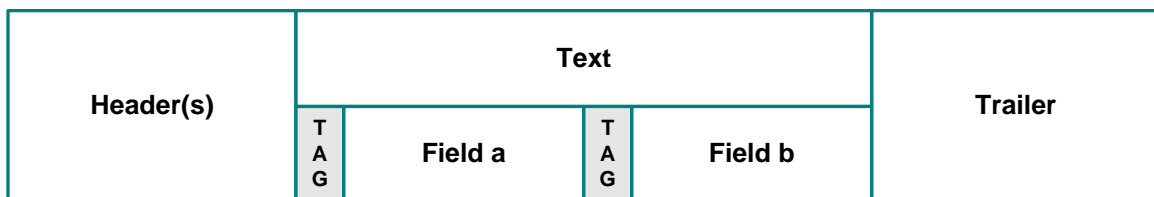
The SWIFT ETD Library contains pre-defined template Event Type Definitions (ETDs) for use with an e*Way Intelligent Adapter for MQSeries. These ETDs correspond to the SWIFT user-to-user message types used for the SWIFT network, as defined in the SWIFT Standards documentation.

1.2 SWIFT Message Structure

A message used by the SWIFT network has a maximum of five components:

- Basic header block
- Application header block
- User header block (optional)
- Text block
- Trailer block

Figure 1 SWIFT Message Structure



Each field component in the text block is preceded by a field tag; there are no field tags in the header and trailer blocks. The one exception to this format is MT 121, EDIFACT FINPAY, which has a single text field with no field tag identifier.

Information about a field that is common to all message types in which that field is used is found in the *Standards - General Field Definitions* volume of the *SWIFT User Handbook*. Information about a field that is specific to its use with a particular message

type is found in the field specifications section of the *Standards* volume of the *SWIFT User Handbook* for that message type.

1.3 Library Versions

SWIFT periodically revises their Message Types, adding to or subtracting from the total set of Message Types, and modifying the definitions of individual Message Types. Oracle releases new ETD libraries corresponding to these revised sets of SWIFT Message Types. The current release includes Monk templates supporting the same SWIFT Message Types as those listed in this guide.

New sets are identified with the year they are issued, for example, 2009 and 2010. The current version explained in this guide is 2010.

The library for the issue year is named according to the following format, **swiftXX**. For example, the libraries for the years 2009 and 2010 are named **swift09** and **swift10**, respectively.

1.4 Template Versions

1.4.1 Monk and Java

Beginning with e*Gate 4.5, Collaborations can be created in either Monk or Java. On Windows platforms, installing any SWIFT ETD Library installs both Monk and Java versions of the Library. The two versions are installed into different directory paths, and are accessed by the Monk or Java ETD Editors, respectively.

1.4.2 Full and Slim

Two versions of the templates are available for each library representation (Monk or Java): **full** and **slim**. The functional difference between the two is that the syntax checking performed by the **slim** versions is limited to field level, whereas the **full** versions check to the sub-field level. Using the **slim** versions assumes that the messages have been validated previously. If this is not the case, you must use the **full** versions to fully validate the messages.

Monk Representation

Note that the branches in the **slim** versions typically end with **Tag/Data** node pairs, whereas the **full** versions have branches ending in nodes representing the actual data fields. Although the files in this example are similar in size, the **full** version of a template *can* be several times the size of the **slim** version.

1.5 Logical Replies

Every Event sent between SWIFTAlliance via CAS and the MQSeries e*Way can be acknowledged by a logical reply. This confirms that the Event has been accepted. In addition, the SWIFT Transport Network sends a Delivery Report when the Event is delivered to the remote financial system. Other reports also can be produced.

The template files provided in the SWIFT ETD Library are the logical reply (**SWIFT_LRP.***) and network acknowledgement (**fin_ack.***) from the SWIFT network.

1.5.1 e*Gate Acknowledgment to SWIFT

If, and only if, e*Gate sends an acknowledgment to the e*Way (meaning it has stored the message successfully to some persistent store), the e*Way sends a logical reply to CAS, signalling a successful transmission. At this stage, the Event is deleted from the IQ.

If e*Gate cannot identify, translate or route an Event, it sends a negative acknowledgment to the e*Way, which stores the Event to a unique file in a configurable directory. The e*Way then sends a logical reply to CAS signifying that e*Gate has received the Event and has moved onto the next. This Event is then logged.

Application-level acknowledgments from the systems receiving SWIFT messages (or translated SWIFT messages) is returned via the outbound Event flow.

1.5.2 SWIFT Acknowledgment to e*Gate

After e*Gate has translated the Event into CAS message format it sends it to the outbound queue for the e*Way.

Note: *Only successfully translated Events are sent to the outbound e*Way.*

Successful messages

After the e*Way receives the Event, it stores it in an IQ. The Event is sent to CAS, which in turn, delivers it to the SWIFTAlliance.

SWIFTAlliance writes the Event to its outbound queue to the SWIFT Transport Network. It then sends the e*Way a logical reply signifying that the Event is stored in permanent memory. Only when the e*Way receives this successful logical reply does it signal the e*Gate system of a successful transmission by sending a *logical reply message*.

In the server, this *logical reply message* can be processed in any of the following ways:

- Passed back to the originating system either in its default format or in a user-defined format
- Sent to a file or database
- Sent to the Alert Notifier

Note: *The acknowledgment from the SWIFT Transport Network (that the message has been delivered to the recipient) is not returned from this flow. It is delivered as an inbound report to the e*Gate system from the SWIFT Transport Network. This message is routed back to the originating system.*

Unsuccessful messages

If CAS or SWIFTAlliance is down, the message remains in the e*Gate system until both are operational again.

If SWIFTAlliance finds any semantic or syntactical errors (block 4 errors) in an Event, the Event is placed in the Correction queue for manual intervention. Once the Event has been corrected, it is sent in the normal way. A successful logical reply (**LRP_SUCCESS**) is sent to CAS (and hence to the e*Way) when the Event is placed in the Correction queue, even though the Event is not transmitted straight away. When the Event is sent to the SWIFT network, a report is sent to CAS and the e*Way.

Events with errors in blocks 1 or 2 cannot be handled by SWIFT Alliance and a negative logical reply (**LRP_FAILURE**) is sent back to CAS and the e*Way. The e*Way sends an error message and the original Event back to the e*Gate system. The Schema Manager also registers and records this error and the e*Way also archives the Event to a unique file in a user-configurable directory.

Any errors in transmission are handled automatically and the Event re-sent until all Events are successfully delivered or result in an error condition.

The Event can be handled in any of the following ways:

- Passed back to the originating system, either in its default format or in a user-defined format
- Sent to a file or database
- Sent to the Alert Notifier—if desired, a user can be notified in real-time via e-mail or Web page of this event

Installation

This chapter covers requirements and procedures for installing the SWIFT ETD Library.

2.1 System Requirements

To use the SWIFT ETD Library, you must have approximately 120 MB of disk space.

Note: Installing any version of the SWIFT ETD library installs both the Monk and Java versions. The Java version is substantially larger than the Monk version.

2.2 Installing the SWIFT ETD Library

2.2.1 Windows Systems

To Install the SWIFT ETD Library on Windows Systems

- 1 Log on to the workstation on which the MQSeries e*Way resides.

Note: Be sure to install all of the template files in the directories suggested by the installation utility.

- 2 Exit all Windows programs and disable any anti-virus applications before running the setup program.
- 3 Insert the installation CD-ROM into the CD-ROM drive.
- 4 Launch the setup program.
 - A If the CD-ROM drive's Autorun feature is enabled, the setup program should launch automatically. Follow the on-screen instructions until the **Choose Product** dialog box appears. Check **Add-ons**, then click **Next**.
 - B If the setup program does not launch automatically, use the Windows Explorer or the Control Panel's **Add/Remove Applications** feature to launch the following file on the CD-ROM drive (this bypasses the **Choose Product** dialog):

setup\addons\setup.exe

- 5 Follow the on-screen instructions until the **Select Components** dialog box appears. Highlight—but do not check—**ETD Libraries** and then click **Change**.
- 6 When the **Select Sub-components** dialog box appears, check the desired library.

Note: *Installing the SWIFT libraries installs both the Monk and Java versions. The combined size is shown in the **Space Required** field.*

- 7 Click **Continue**, and the **Select Components** dialog box reappears, showing your selection.
- 8 Click **Next** and continue with the installation.

2.2.2 UNIX Systems

To Install the SWIFT ETD Library on UNIX Systems

- 1 Log on as **user** on the workstation containing the CD-ROM drive and, if necessary, mount the CD-ROM drive.

Note: *Be sure to install all of the template files in the directories suggested by the installation utility.*

- 2 Insert the CD-ROM into the drive.
- 3 At the shell prompt, type:
cd /cdrom
- 4 Start the installation script by typing:
setup.sh
A menu of options appears.
- 5 Select the **e*Gate Addon Applications** option.
- 6 Follow the rest of the on-screen instructions to install the SWIFT template files.

2.3 Files and Directories

Installing the SWIFT ETD templates places files within the e*Gate directory tree, and commits them to the default schema on the Registry Host. The Monk library files are placed in the following path:

```
eGate\Server\registry\repository\default\monk_scripts\templates  
  \swift<yy>\<type>\
```

Where **yy** is **09** or **10** and **type** is either **full** or **slim**. Both **full** and **slim** versions are installed automatically for the selected library year. The file names are identical for the **full** and **slim** versions, so they must be located in separate directories.

The Message Type template files comprise a set of three files for each SWIFT Message Type. Each set has the form:

mt<nnn>.ssc

Where **nnn** represents the three-digit SWIFT Message Type number. The full set of SWIFT Message Types for which ETDs are installed is listed in [Chapter 3](#).

In addition, **fin_ack** and **SWIFT_LRP** files also are installed in these same directories for use as Logical Reply templates (see [Logical Replies](#) on page 8):

Table 1 Installed Files

Monk Library Files	
\Swift<yy>\full\	fin_ack.ssc mt<nnn>.ssc SWIFT_LRP.ssc
\Swift<yy>\slim\	fin_ack.ssc mt<nnn>.ssc SWIFT_LRP.ssc

Where **yy** = the library year, for example **09**, and **nnn** = SWIFT Message Type number.

The SWIFT ETD Library

This chapter describes, and provides a cross-reference for, the SWIFT ETD Library.

3.1 SWIFT Message Types: Overview

SWIFT groups Message Types into the following categories:

Customer Payments and Cheques

- See [“Category 1 Messages” on page 14.](#)

Financial Institution Transfers

- See [“Category 2 Messages” on page 15.](#)

Treasury Markets: Foreign Exchange and Derivatives

- See [“Category 3 Messages” on page 16.](#)

Collections and Cash Letters

- See [“Category 4 Messages” on page 17.](#)

Securities Markets

- See [“Category 5 Messages” on page 18.](#)

Treasury Markets: Precious Metals and Syndications

- See [“Category 6 Messages” on page 21.](#)

Documentary Credits and Guarantees

- See [“Category 7 Messages” on page 22.](#)

Travellers Cheques

- See [“Category 8 Messages” on page 23.](#)

Cash Management and Customer Status

- See [“Category 9 Messages” on page 24.](#)

The ETDs in the SWIFT ETD Library are grouped into the same categories as the SWIFT Message Types. The remainder of this chapter explains these categories and the Message Types within each category.

Other versions of the SWIFT ETD Library are available (see [Chapter 2](#)). This chapter explains only the 2010 SWIFT Message Types. For explanations of earlier versions, see the SWIFT Alliance Web site.

3.2 SWIFT Message Types Reference

This section provides a list of tables describing all of the current SWIFT Message Types.

3.2.1 Category 1 Messages

Table 2 explains the Category 1 Message Types, Customer Payments and Cheques, with the type designation MT 1xx.

Table 2 Customer Payments and Cheques

SWIFT Message Type	Description
MT 101	Request for Transfer
MT 102	Multiple Customer Credit Transfer
MT 102+(STP)	Multiple Customer Credit Transfer (STP)
MT 103	Single Customer Credit Transfer
MT 103+(REMIT)	Single Customer Credit Transfer (REMIT)
MT 103+(STP)	Single Customer Credit Transfer (STP)
MT 104	Customer Direct Debit
MT 105	EDIFACT Envelope
MT 107	General Direct Debit Message
MT 110	Advice of Cheque(s)
MT 111	Request for Stop Payment of a Cheque
MT 112	Status of a Request for Stop Payment of a Cheque
MT 190	Advice of Charges, Interest and Other Adjustments
MT 191	Request for Payment of Charges, Interest and Other Expenses
MT 192	Request for Cancellation
MT 195	Queries
MT 196	Answers
MT 198	Proprietary Message
MT 199	Free Format Message

3.2.2 Category 2 Messages

Table 3 explains the Category 2 Message Types, Financial Institution Transfers, with the type designation MT 2xx.

Table 3 Financial Institution Transfers

SWIFT Message Type	Description
MT 200	Financial Institution Transfer for its Own Account
MT 201	Multiple Financial Institution Transfer for its Own Account
MT 202	General Financial Institution Transfer
MT 202+(COV)	General Financial Institution Transfer (COV)
MT 203	Multiple General Financial Institution Transfer
MT 204	Financial Markets Direct Debit Message
MT 205	Financial Institution Transfer Execution
MT 205+(COV)	Financial Institution Transfer Execution (COV)
MT 206	Cheque Truncation Message
MT 210	Notice to Receive
MT 256	Advice of Non-Payment of Cheques
MT 290	Advice of Charges, Interest and Other Adjustments
MT 291	Request for Payment of Charges, Interest and Other Expenses
MT 292	Request for Cancellation
MT 295	Queries
MT 296	Answers
MT 298	Proprietary Message
MT 299	Free Format Message

3.2.3 Category 3 Messages

Table 4 explains the Category 3 Message Types, Treasury Markets, Foreign Exchange, Money Markets, and Derivatives, with the type designation MT 3xx.

Table 4 Treasury Markets, Foreign Exchange, Money Markets, and Derivatives

SWIFT Message Type	Description
MT 300	Foreign Exchange Confirmation
MT 303	Forex/Currency Option Allocation Instruction
MT 304	Advice/Instruction of a Third Party Deal
MT 305	Foreign Currency Option Confirmation
MT 306	Foreign Currency Option
MT 307	Advice/Instruction of a Third Party FX Deal
MT 320	Fixed Loan/Deposit Confirmation
MT 321	Instruction to Settle a Third Party Loan/Deposit
MT 330	Call/Notice Loan/Deposit Confirmation
MT 340	Forward Rate Agreement Confirmation
MT 341	Forward Rate Agreement Settlement Confirmation
MT 350	Advice of Loan/Deposit Interest Payment
MT 360	Single Currency Interest Rate Derivative Confirmation
MT 361	Cross Currency Interest Rate Swap Confirmation
MT 362	Interest Rate Reset/Advice of Payment
MT 364	Single Currency Interest Rate Derivative Termination/Recouping Confirmation
MT 365	Single Currency Interest Rate Swap Termination/Recouping Confirmation
MT 380	Foreign Exchange Order
MT 381	Foreign Exchange Order Confirmation
MT 390	Advice of Charges, Interest and Other Adjustments
MT 391	Request for Payment of Charges, Interest and Other Expenses
MT 392	Request for Cancellation
MT 395	Queries
MT 396	Answers
MT 398	Proprietary Message
MT 399	Free Format Message

3.2.4 Category 4 Messages

Table 5 explains the Category 4 Message Types, Collections and Cash Letters, with the type designation MT 4xx.

Table 5 Collections and Cash Letters

SWIFT Message Type	Description
MT 400	Collections: Advice of Payment
MT 405	Collections: Clean Collection
MT 410	Collections: Acknowledgment
MT 412	Collections: Advice of Acceptance
MT 416	Collections: Advice of Non-Payment/Non-Acceptance
MT 420	Collections: Tracer
MT 422	Collections: Advice of Fate and Request for Instructions
MT 430	Collections: Amendment of Instructions
MT 450	Cash Letters: Cash Letter Credit Advice
MT 455	Cash Letters: Cash Letter Credit Adjustment Advice
MT 456	Cash Letters: Advice of Dishonor
MT 490	Advice of Charges, Interest and Other Adjustments
MT 491	Request for Payment of Charges, Interest and Other Expenses
MT 492	Request for Cancellation
MT 495	Queries
MT 496	Answers
MT 498	Proprietary Message
MT 499	Free Format Message

3.2.5 Category 5 Messages

Table 6 explains the Category 5 Message Types, Securities Markets, with the type designation MT 5xx.

Table 6 Securities Markets

SWIFT Message Type	Description
MT 500	Instruction to Register
MT 501	Confirmation of Registration or Modification
MT 502	Order to Buy or Sell
MT 503	Collateral Claim
MT 504	Collateral Proposal
MT 505	Collateral Substitution
MT 506	Collateral and Exposure Statement
MT 507	Collateral Status and Processing Advice
MT 508	Intra-Position Advice
MT 509	Trade Status Message
MT 510	Registration Status and Processing Advice
MT 513	Client Advice of Execution
MT 514	Trade Allocation Instruction
MT 515	Client Confirmation of Purchase or Sale
MT 516	Securities Loan Confirmation
MT 517	Trade Confirmation Affirmation
MT 518	Market-Side Securities Trade Confirmation
MT 519	Modification of Client Details
MT 524	Intra-Position Instruction
MT 526	General Securities Lending/Borrowing Message
MT 527	Triparty Collateral Instruction
MT 528	ETC Client-Side Settlement Instruction
MT 529	ETC Market-Side Settlement Instruction
MT 530	Transaction Processing Command
MT 535	Statement of Holdings
MT 536	Statement of Transactions
MT 537	Statement of Pending Transactions
MT 538	Statement of Intra-Position Advice
MT 540	Receive Free
MT 541	Receive Against Payment Instruction
MT 542	Deliver Free

Table 6 Securities Markets (Continued)

SWIFT Message Type	Description
MT 543	Deliver Against Payment Instruction
MT 544	Receive Free Confirmation
MT 545	Receive Against Payment Confirmation
MT 546	Deliver Free Confirmation
MT 547	Deliver Against Payment Confirmation
MT 548	Settlement Status and Processing Advice
MT 549	Request for Statement/Status Advice
MT 558	Triparty Collateral Status and Processing Advice
MT 559	Paying Agent's Claim
MT 564	Corporate Action Notification
MT 565	Corporate Action Instruction
MT 566	Corporate Action Confirmation
MT 567	Corporate Action Status and Processing Advice
MT 568	Corporate Action Narrative
MT 569	Triparty Collateral and Exposure Statement
MT 574 (IRSLST)	IRS 1441 NRA Beneficial Owners' List
MT 574 (W8BENO)	IRS 1441 NRA Beneficial Owner Withholding Statement
MT 575	Statement of Combined Activity
MT 576	Statement of Open Orders
MT 577	Statement of Numbers
MT 578	Statement of Allegement
MT 579	Certificate Numbers
MT 581	Collateral Adjustment Message
MT 582	Reimbursement Claim or Advice
MT 584	Statement of ETC Pending Trades
MT 586	Statement of Settlement Allegements
MT 587	Depository Receipt Instruction
MT 588	Depository Receipt Confirmation
MT 589	Depository Receipt Status and Processing Advice
MT 590	Advice of Charges, Interest and Other Adjustments
MT 591	Request for Payment of Charges, Interest and Other Expenses
MT 592	Request for Cancellation
MT 595	Queries

Table 6 Securities Markets (Continued)

SWIFT Message Type	Description
MT 596	Answers
MT 598	Proprietary Message
MT 599	Free Format Message

3.2.6 Category 6 Messages

Table 7 explains the Category 6 Message Types, Treasury Markets, Precious Metals, with the type designation MT 6xx.

Table 7 Treasury Markets, Precious Metals

SWIFT Message Type	Description
MT 600	Precious Metal Trade Confirmation
MT 601	Precious Metal Option Confirmation
MT 604	Precious Metal Transfer/Delivery Order
MT 605	Precious Metal Notice to Receive
MT 606	Precious Metal Debit Advice
MT 607	Precious Metal Credit Advice
MT 608	Statement of a Metal Account
MT 609	Statement of Metal Contracts
MT 620	Metal Fixed Loan/Deposit Confirmation
MT 643	Notice of Drawdown/Renewal
MT 644	Advice of Rate and Amount Fixing
MT 646	Payment of Principal and/or Interest
MT 649	General Syndicated Facility Message
MT 690	Advice of Charges, Interest and Other Adjustments
MT 691	Request for Payment of Charges, Interest and Other Expenses
MT 692	Request for Cancellation
MT 695	Queries
MT 696	Answers
MT 698	Proprietary Message
MT 699	Free Format Message

3.2.7 Category 7 Messages

Table 8 explains the Category 7 Message Types, Treasury Markets, Syndication, with the type designation MT 7xx.

Table 8 Treasury Markets, Syndication

SWIFT Message Type	Description
MT 700	Issue of a Documentary Credit
MT 701	Issue of a Documentary Credit
MT 705	Pre-Advice of a Documentary Credit
MT 707	Amendment to a Documentary Credit
MT 710	Advice of a Third Bank's Documentary Credit
MT 711	Advice of a Third Bank's Documentary Credit
MT 720	Transfer of a Documentary Credit
MT 721	Transfer of a Documentary Credit
MT 730	Acknowledgment
MT 732	Advice of Discharge
MT 734	Advice of Refusal
MT 740	Authorization to Reimburse
MT 742	Reimbursement Claim
MT 747	Amendment to an Authorization to Reimburse
MT 750	Advice of Discrepancy
MT 752	Authorization to Pay, Accept or Negotiate
MT 754	Advice of Payment/Acceptance/Negotiation
MT 756	Advice of Reimbursement or Payment
MT 760	Guarantee
MT 767	Guarantee Amendment
MT 768	Acknowledgment of a Guarantee Message
MT 769	Advice of Reduction or Release
MT 790	Advice of Charges, Interest and Other Adjustments
MT 791	Request for Payment of Charges, Interest and Other Expenses
MT 792	Request for Cancellation
MT 795	Queries
MT 796	Answers
MT 798	Proprietary Message
MT 799	Free Format Message

3.2.8 Category 8 Messages

Table 9 explains the Category 8 Message Types, Travellers Cheques, with the type designation MT 8xx.

Table 9 Travellers Cheques

SWIFT Message Type	Description
MT 800	T/C Sales and Settlement Advice [Single]
MT 801	T/C Multiple Sales Advice
MT 802	T/C Settlement Advice
MT 824	T/C Inventory Destruction/Cancellation Notice
MT 890	Advice of Charges, Interest and Other Adjustments
MT 891	Request for Payment of Charges, Interest and Other Expenses
MT 892	Request for Cancellation
MT 895	Queries
MT 896	Answers
MT 898	Proprietary Message
MT 899	Free Format Message

3.2.9 Category 9 Messages

Table 10 explains the Category 9 Message Types, Cash Management and Customer Status, with the type designation MT 9xx.

Table 10 Cash Management and Customer Status

SWIFT Message Type	Description
MT 900	Confirmation of Debit
MT 910	Confirmation of Credit
MT 920	Request Message
MT 935	Rate Change Advice
MT 940	Customer Statement Message
MT 941	Balance Report
MT 942	Interim Transaction Report
MT 950	Statement Message
MT 970	Netting Statement
MT 971	Netting Balance Report
MT 972	Netting Interim Statement
MT 973	Netting Request Message
MT 985	Status Inquiry
MT 986	Status Report
MT 990	Advice of Charges, Interest and Other Adjustments
MT 991	Request for Payment of Charges, Interest and Other Expenses
MT 992	Request for Cancellation
MT 995	Queries
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MT 998	Proprietary Message
MT 999	Free Format Message

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