6.06 DMADEX:
Function User's Guide

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1.0   Overview

A CCF/CCF-II User may use the DMADEX function in order to receive DTC DMA/DMD WT Out-Transfer item information.

When using the DMADEX function, the User will receive a series of machine readable records. Each record can be one of six different record types and will be transmitted in the following sequence:

- File Header Record (Type 00)
- Batch Header Record (Type 01)
- Transfer Detail Records:
    - Security Detail Record (Type 05)
    - Certificate Addendum Record (Type 06)
- Batch Trailer Record (Type 88)
- File Trailer Record (Type 99)

These records constitute the Transfer Agent's information. The information obtained through the use of the DMADEX function may be used to automate the updating of a User's files and as input to the User's securities transfer system

1.1 Availability of DMADEX

DMADEX will generally be available from 2:00 p.m. to 10:00 a.m. (Eastern Time) the following business day.

2.0   The CCF/CCF-II Header/Trailer

2.1 The CCF Header Record

The first record on the function file will be a Header Record when "HEADER=YES" is specified as a CCFDTFDB parameter. The Header Record contains information regarding the creation of the file.

Note: NDM Users executing NDMDTF01 and RJE 3770 Users executing RJESDTF2 will receive the following CCF Header Record. These Users will not receive the CCF II Header and Trailer on the next page.

The CCF Header Record's format is as follows:

Format of the CCF Header Record

Position	Length	Format	Field Name	Field Description
1	6	Character	Data Type Requested	Constant value "DMADEX".
7	6	Character	Data Type Created	Constant value "DMADEX".
13	8	Character	Creation Date	Date of data (MM/DD/YY).
21	8	Character	Spool Date	DTC data load date (MM/DD/YY).
29	8	Character	Load Time	DTC data load time (HH:MM:SS).
37	2	Binary	Record Size	Size of each data record.
39	4	Binary	Block Count	Number of data blocks input to CCFDTFDB.
43	4	Binary	Record Count	Number of data records.
47	???	Character	Filler	DTC use only; do not use.

2.2 The CCF-II Header and Trailer Records

The format of each CCF-II Header and Trailer Record is as described below. Please note that the Header and Trailer Records are identical except for the first and last field of each record.

CCF-II Header and Trailer Record (DTC Transmits to User)

Position	Length	Format	Field Name	Field Description
1	3	Character	Record Identifier	Record ID "HDR" or "TLR".
4	4	Character	SIGNON ID	Signon ID.
8	6	Character	Data Type Requested	Constant value "DMADEX".
14	6	Character	Data Type Created	Constant value "DMADEX".
20	8	Character	Creation Date	Data Creation Date (MM/DD/YY).
28	8	Character	Spool Date	Data Load Date (MM/DD/YY).
36	8	Character	Load Time	Data Load Time (HH:MM:SS).
44	4	Numeric	Record Length	Record Length of data requested.
48	8	Numeric	Record Count	Number of data records in file.
56	4	Numeric	80-Byte Record Count	Number of 80-byte records per data type requested.
60	15	Character	Filler	DTC use only; do not use.
75	6	Numeric	Sequence Number	Numbering Sequence. Used as a data integrity check HDR ===> 000000 TLR ===> 999999

3.0   DMADEX Data Records

The DMADEX records are in a blocked format and include prefixes and headers as described previously. Each record will conform to the following formats.

3.1 DMADEX File Header Record

DMADEX File Header Record Type 00

Position	Length	Format	Field Name	Field Description
1	2	Character	Record Type	Constant value "00".
3	1	Character	Sending Institution Industry Code	Constant value "7" (for DTC).
4	4	Character	Sending Institution FINS Number	Constant value ="0001" (for DTC).
8	1	Character	Sending Institution Check Digit	Constant value = "3" (for DTC).
9	2	Character	Sending Institution Suffix	Constant value = "00" (for DTC).
11	20	Character	Sending Institution Name	Constant value = "DEPOSITORY TRUST CO".
31	1	Character	Receiving Institution Industry Code	Currently initialized to space.
32	4	Character	Receiving Institution Number	DTC Transfer Agent Number.
36	1	Character	Receiving Institution Check Digit	Currently initialized to space.
37	2	Character	Receiving Institution Suffix	Currently initialized to space.
39	20	Character	Receiving Institution Name	Name of the receiving institution.
59	3	Character	Record Length	Constant value = "740".
62	2	Character	Filler	DTC use only; do not use.
64	1	Character	Format Code	Constant value = "F".

DMADEX File Header Record Type 00

Position	Length	Format	Field Name	Field Description
65	6	Character	Filler	DTC use only; do not use.
71	4	Character	File Creation Time	Time of DMADEX file creation. Format HHMM.
75	1	Character	DP Servicing Institution Industry Code	Currently initialized to space.
76	4	Character	DP Servicing Institution Number	The number of the DP Servicing Institution processing for the Participant.
80	1	Character	DP Servicing Institution Check Digit	Currently initialized to space.
81	2	Character	DP Servicing Institution Suffix	Currently initialized to space.
83	10	Character	DP Servicing Institution Name	The name of the DP Servicing Institution processing for the Participant.
93	26	Character	Filler	DTC use only; do not use.
119	8	Numeric	Creation Date	Format CCYYMMDD.
127	605	Character	Filler	DTC use only; do not use.
732	3	Character	Julian Work Date	Day on which DTC processed the item.
735	6	Character	Record Number	Each Sequential record is assigned a sequence number in ascending order including all "01", "05", "06", "88" and "99" records. The File Header Record ("00") contains zeroes.

3.2 DMADEX Batch Header Record

DMADEX Batch Header Record Type 01

Position	Length	Format	Field Name	Field Description
1	2	Character	Record Type	Constant value "01".
3	9	Character	CUSIP Number	CUSIP number of the issue whose transfer details follow the batch Header Record.
12	20	Character	Security Description	Name of the security whose transfer items appear in the Security Detail Records for the batch.
32	1	Character	Issue Type	Indicator describing type of issue: "2"="DR "3"=Debt Issue "4"=Equity Issue
33	37	Character	Filler	DTC use only; do not use.
70	1	Character	*FAST* W/T Status	Indicator to identify the *FAST* status of a W/T: "0"=Normal "1"=*FAST* W/T
71	15	**SCL Reference Block**		Following 7 fields are SCL Reference fields.
	4	Character	SCL Julian Date	
	1	Character	SCL Record Date Indicator	"0"=Record date "1"=Non-record date
	1	Character	SCL Record Type	
	1	Character	SCL Type	
	5	Character	SCL Sequence Number	
	1	Character	SCL Check Digit	

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DMADEX Batch Header Record Type 01

Position	Length	Format	Field Name	Field Description
	2	Character	SCL Page Number	
86	1	Character	Mail-Rout	"1"=non-DMA/DMD "2"=DMD "3"=DMA
87	9	Character	Filler	DTC use only; do not use.
96	8	Numeric	Work Date	Format CCYYMMDD. Date upon which transfer item was processed by DTC.
104	522	Character	Filler	DTC use only; do not use.
626	1	Character	RSA/DM" Indicator	"1"=RS" "2"=DM"
627	100	Character	Filler	DTC use only; do not use.
727	14	**Sequence Number Block**		A record ID key which is assigned by the originating institution in association with the Work Date. The sequence number uniquely identifies each record in a file. Same format as 727-740 of "00" record.
	1	Character	TA Ind Code	
	4	Character	TA Number	
	3	Character	Julian Work Date	Day on which DTC processed the item.
	6	Character	Record Number	Sequence number in ascending order. Includes all records.

3.3 DMADEX Security Detail Record

DMADEX Security Detail Record Type 05

Position	Length	Format	Field Name	Field Description
1	2	Character	Record Type	Constant value "05".
3	1	Character	Industry Code	Currently initialized to space.
4	4	Character	Participant Number	
8	1	Character	Participant Check Digit	Currently initialized to space.
9	2	Character	Participant Suffix	Currently initialized to space.
11	8	Numeric	Transaction Date	Format CCYYMMDD. Date which transaction was sent by broker to DTC for transfer processing.
19	1	Character	Direct Registration System Request Indicator	" "=Non DRS Request. "S"=Statement Account for DRS. "C"=Issue Certificate. "Y"=Third Party Transfer "X"=Reverse Prior DRS Transaction.
20	1	Character	Depository Indicator	" "=Regular Non DRS WT Transaction "D"=DTC "P"=Philadelphia
21	2	Character	Filler	For DTC use only; do not use.
23	1	Numeric	Tax Waiver Code	Indicator which shows the tax status of this transfer according to New York State statute: "2"=Tax paid (future use) "3"=Tax waived

DMADEX Security Detail Record Type 05

Position	Length	Format	Field Name	Field Description
24	1	Character	Taxpayer ID Code	Type of taxpayer ID shown in this record: "0"=Not available "1"=Social Security Number "2"=Employer Identification Number "3"=Non-resident alien (in the form NRAbbbbbb, where bbbbbb stands for blanks).
25	9	Character	Taxpayer ID Number	The number (as defined in previous filed) of the primary owner of the securities described in this transfer code. If Taxpayer ID Code = "3", owner is not subject to backup withholding.
34	2	Character	Social Code	Defines the type of registration to be used for the security by the Transfer Agent. This code is set by the DMA/DMD WT Out-Transfer system during processing: "00"=Unknown "01"=Single Registrant - Male "02"=Single Registrant - Female "03"=Individual - Sex Undetermined "04"=Tenants in Common "05"=Tenants by the Entireties "06"=Joint Tenancy "07"=Community Property "08"=Uniform Gifts to Minors "09"=Fiduciary "10"=Business

PIP_Other Issues

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The following field has multiple definitions dependent on transaction indicated

DMADEX Security Detail Record Type 05

Position	Length	Format	Field Name	Field Description
			For Regular W/T Transactions	
36	40	Character	Participant Reference Number	A free format identification number that is assigned by the submitting Participant to identify this transfer item. It should be used in any correspondence to the submitting institution concerning the item.
			For DRS Items ONLY	
36	37	Character	Broker/Dealer Customer Account Number	For DRS items, this field will be used for the DRS broker-dealer customer account number instead of the broker reference number.
73	3	Character	Filler	For DTC use only; do not use.
76	11	Character	Filler	DTC use only; do not use.
87	1	Character	Mail-Rout	"1"=reg "2"=DMD "3"=DMA
88	1	Character	Filler	DTC use only; do not use.
89	4	Character	Broker ID	DTC use only; do not use.
93	2	Character	Transfer Transaction Code	"30"=Credit (Transfer Instructions). Defines type of transfer processing requested.
95	2	Character	Return Code	For returned items, reason why item was rejected by the processing institution: Refer to Appendix A for a complete list of error codes.
97	1	Character	Filler	DTC use only; do not use.

DMADEX Security Detail Record Type 05

Position	Length	Format	Field Name	Field Description
98	1	Character	DMA Direct Mailing Code	Defines procedure which will be used for returning the transferred securities to the registered owner. Blank or "0" = "1"=DMA using registration for mailing "2"=DMA using third party address.
99	45	Character	Filler	DTC use only; do not use.
144	1	Character	Syntax Code	"1"=Formatted record "2"=Unreformatted record
145	210	Character	Assignment	If Syntax Code (pos 144) = "1", the assignment field will be 7 lines of 30 characters each because it has been processed by DTC's RSA program. If Syntax Code (pos 144) = "2", the assignment field will be 6 lines of 35 characters each (the format in which DTC received the input from a DTC participant) because the RSA program could not reformat the item.
355	180	Character	DMA Third Party Mailing	When Direct Mailing Code (pos 98) = "2", this field contains address to which transferred securities are mailed.
535	9	Character	UIT Reinvestment CUSIP	For Unit Investment Trust Securities only.
544	1	Character	Participant Input Mode	"1"=Four Phase System "2"=PTS (Participant Terminal System) "3"=Tape, CF2, Mohawk.
545	1	Character	Security Communi-cation Code	"0"=Not a communication issue "1"=Communication issue

DMADEX Security Detail Record Type 05

Position	Length	Format	Field Name	Field Description
546	1	Character	*FAST* Security Code	"0"=Non-*FAST* Security "1"=*FAST* Security
547	1	Character	Backup Withholding Code	" "=not applicable """=Failure to provide TIN "B"=Failure to certify TIN "C"=Notification of incorrect TIN to Secretary of Treasury "D"=Failure to certify backup withholding status "E"=Voluntary disclosure from payee of affirmative backup withholding status "F"=Notification to commence backup withholding from Secretary of Treasury for underreporting dividends and/ or interest payments
548	2	Character	Filler	DTC use only; do not use.
550	5	Character	DMA Item Charge by the TA	Format 9(3)V9(2).
555	5	Character	DMA Other Charge by the TA	Format 9(3)V9(2).
560	5	Character	Filler	DTC use only; do not use.
565	12	Numeric	Whole/ Fractional Quantity	Format 9(7)V9(5).
577	40	Character	DTC Participant or Correspondent Name	For DRS indicator "S" or "Y", this field must contain data.
617	20	Character	DRS Plan Customer Account Number	For DRS items, this field will contain the DRS Plan Customer Account Number.
637	65	Character	Filler	DTC use only; do not use.

DMADEX Security Detail Record Type 05

Position	Length	Format	Field Name	Field Description
702	15		**SCL Reference Block**	Same as "01" Record position 71-85.
	4	Character	SCL Julian Date	
	1	Character	SCL Record Date Indicator	"0"=Record date "1"=Non-record date
	1	Character	SCL Record Type	
	1	Character	SCL Type	
	5	Character	SCL Sequence Number	
	1	Character	SCL Check Digit	
	2	Character	SCL Page Number	
717	1	Character	UIT Reinvestment Code	"0"=Not applicable for UIT "1"=All Cash "2"=Reinvest Principal and Interest "4"=Reinvest Principal Only "5"=Reinvest Interest Only
718	9	Character	CUSIP Number	
727	14		**Sequence Number Block**	A record ID key which is assigned by the originating institution in association with the Work Date. The sequence number uniquely identifies each record in a file. Same format as 727-740 of "05" record.
	1	Character	TA Ind Code	
	4	Character	TA Number	
	3	Character	Julian Work Date	Day on which DTC processed the item.

DMADEX Security Detail Record Type 05

Position	Length	Format	Field Name	Field Description
	6	Character	Record Number	Sequence number in ascending order. Includes all records.

3.4 DMADEX Certificate Addendum Record

DMADEX Certificate Addendum Record Type 06

Position	Length	Format	Field Name	Field Description
1	2	Character	Record Type	Constant value "06".
3	1	Character	Filler	DTC use only; do not use.
4	560	Character	DMA Number of Pieces	A group of up to twenty 28-position fields describing the requested certificates covered by the transaction. The format of each item is as follows: Number of Certificates (3) Certificate Denomination/ Fractional (format 9(7)V9(5)). Starting Certificate Number: Certificate Prefix (5) Certificate Number (6) Certificate Suffix (2) **Note: for DRS purposes, the <u>Certificate Number</u> will be equivalent to a transaction identification number.**
564	8	Numeric	DMA Issue Date	This field has multiple definitions: <u>DMA Issue Date (for Regular W/T Transactions)</u> Format CCYYMMDD. <u>Issue Date (for DRS items)</u> For DRS indicators "S" or "Y", the Issue Date field must be provided. Format CCYYMMDD.
572	8	Numeric	DMA Mail Date	Format CCYYMMDD.
580	3	Character	Filler	DTC use only; do not use.

DMADEX Certificate Addendum Record Type 06

Position	Length	Format	Field Name	Field Description
583	120	Character	Rejection Explanation	If applicable. Note: if code "99" appears in position 95 of the "05" record, an explanation of the reject will appear here.
703	15		**SCL Reference Block**	Same as "01" Record position 71-85.
	4	Character	SCL Julian Date	
	1	Character	SCL Record Date Indicator	"0"=Record date "1"=Non-record date
	1	Character	SCL Record Type	
	1	Character	SCL Type	
	5	Character	SCL Sequence Number	
	1	Character	SCL Check Digit	
	2	Character	SCL Page Number	
718	9	Character	CUSIP Number	
727	14		**Sequence Number Block**	A record ID key that is assigned by the originating institution in association with the Work Date. The sequence number uniquely identifies each record in a file. Same format as 727-740 of "00" record.
	1	Character	TA Ind Code	
	4	Character	TA Number	

DMADEX Certificate Addendum Record Type 06

Position	Length	Format	Field Name	Field Description
	3	Character	Julian Work Date	Day on which DTC processed the item.
	6	Character	Record Number	Sequence number in ascending order. Includes all records.

3.5 DMADEX Batch Trailer Record

DMADEX Batch Trailer Record Type 88

Position	Length	Format	Field Name	Field Description
1	2	Character	Record Type	Constant value "88".
3	7	Character	Filler	DTC use only; do not use.
10	7	Character	Detail Record Count	Count of total number of Security Detail and addendum records (Types "05" and "06") contained in the batch.
17	14	Character	Filler	DTC use only; do not use.
31	15	Character	Entry Hash Total	Accumulation of positions 732-740 from all transfer detail records ("05", "06") within the batch. All "88" records (position 31-45) are added to form the "99" record Entry Hash Total.
46	1	Character	SCL ID End	"0"=CUSIP number of next record will not change "1"=End of CUSIP number
47	41	Character	Filler	DTC use only; do not use.
88	12	Numeric	Whole/ Fractional Debit Total Quantity	Format 9(7)V9(5).
100	12	Numeric	Whole/ Fractional Credit Total Quantity	Format 9(7)V9(5).
112	16	Character	Filler	DTC use only; do not use.
128	16	Numeric	Whole/ Fractional Credit Total Share Quantity Overflow	Format 9(11)V9(5).
144	568	Character	Filler	DTC use only; do not use.

DMADEX Batch Trailer Record Type 88

Position	Length	Format	Field Name	Field Description
712	15	**SCL Reference Block**		Same as "01" Record position 71-85.
	4	Character	SCL Julian Date	
	1	Character	SCL Record Date Indicator	"0"=Record date "1"=Non-record date
	1	Character	SCL Record Type	
	1	Character	SCL Type	
	5	Character	SCL Sequence Number	
	1	Character	SCL Check Digit	
	2	Character	SCL Page Number	
727	14	**Sequence Number Block**		A record ID key that is assigned by the originating institution in association with the Work Date. The sequence number uniquely identifies each record in a file. Same format as 727-740 of "00" record.
	1	Character	TA Ind Code	
	4	Character	TA Number	
	3	Character	Julian Work Date	Day on which DTC processed the item.
	6	Character	Record Number	Sequence number in ascending order. Includes all records.

3.6 DMADEX File Trailer Record

DMADEX File Trailer Record Type 99

Position	Length	Format	Field Name	Field Description
1	2	Character	Record Type	Constant value "99".
3	7	Character	Batch Count	Count of the total number of batches contained on the file.
10	7	Character	Detail Record Count	Count of total number of Security Detail and addendum records (Types "05 and "06") contained in the file.
17	14	Character	Filler	DTC use only; do not use.
31	15	Character	Entry Hash Total	Accumulation of positions 732-740 from all transfer detail records within the file and all "88" records.
46	42	Character	Filler	DTC use only; do not use.
88	12	Numeric	Whole/ Fractional Debit Total Quantity	Format 9(7)V9(5).
100	12	Numeric	Whole/ Fractional Credit Total Quantity	Format 9(7)V9(5).
112	16	Character	Filler	DTC use only; do not use.
128	16	Numeric	Whole/ Fractional Credit Total Share Overflow Quantity	Format 9(11)V9(5).
144	583	Character	Filler	DTC use only; do not use.

DMADEX File Trailer Record Type 99

Position	Length	Format	Field Name	Field Description
727	14	**Sequence Number Block**		A record ID key that is assigned by the originating institution in association with the Work Date. The sequence number uniquely identifies each record in a file. Same format as 727-740 of "00" record.
	1	Character	TA Ind Code	
	4	Character	TA Number	
	3	Character	Julian Work Date	Day on which DTC processed the item.
	6	Character	Record Number	Sequence number in ascending order. Includes all records.

Appendix A.

"00" =   Transfer completed
"01" =   Registration Requires Clarification
"02" =   Date of Trust Required
"03" =   Address incomplete/Missing
"30" =   Book Entry Only - No Physical Certificated Accepted
"31" =   Type of Tenancy Missing/Not Acceptable
"32" =   Certify Legal Given Name/Use of Initials
"33" =   Books Closed
"39" =   Certified Tax ID Number Required
"63" =   Issue is in Bankruptcy
"64" =   Issue Marked for Deletion
"68" =   Called Stocks/Bonds
"70" =   Minimum Denominations Required
"76" =   Incorrect Breakdown on W/T Request
"77" =   New T/A has Incomplete Records on File
"79" =   Participant Request for Reject
"80" =   Clarify Name of Trust
"85" =   Registration Incomplete/Missing

"86" =   A Temporarily Out of Certificates

"99" =   TA rejected (other). Note: if a code 99 is used here, see "06" record
             position 583.