DTCC

SECURITIES PROCESSING

CF2/MQ TRANSMISSION GUIDES

06.14 DIRECT REGISTRATION SYSTEM – OUTPUT

DRSRT1/DRSRT2/DRSRT3 FUNCTION GUIDE

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1. OBJECTIVES OF THIS CHAPTER

The objectives of this chapter are to:

- Give an overview of DRSRT1/DRSRT2/DRSRT3 functions.
- Illustrate the formats of required records.

2. THE DRSRT1/DRSRT2/DRSRT3 FUNCTIONS:

OVERVIEW

This document describes the File layout for the DRS (Direct Registration System). It will be used by the participants to pick up responses to DRS Profile instructions transmitted to DTCC. This will give participants an automated alternative to viewing responses via the PTS function DRSP.

The DRSRT1/DRSRT2/DRSRT3 functions are available via NDM and FTP.

The DRSRT1/DRSRT2/DRSRT3 Functions availability

Function Name	Transmitted to Users	Available to User
DRSRT1	6:45AM – 7:15AM	7:15AM – 3:15AM (next day)
DRSRT2	1:15PM – 1:45PM	1:45PM – 9:45AM (next day)
DRSRT3	4:30PM – 5:00PM	5:00PM – 1:00PM (next day)

Holiday Processing

1. All Closed - Banks, Exchange and DTC closed: (New Year's Day, Presidents Day, Memorial Day, July
2. 4th, Labor Day, Thanksgiving Day, and Christmas Day)
3. **Functions will <u>not</u> be available.**
4. Banks Closed, Exchange Open and DTC Open (Columbus Day, Veterans Day)
5. **Functions will be available.**
6. Banks Open, DTC Open, Exchange Closed (Good Friday)
7. **Functions will be available.**
8. Exchange Open, Banks and DTC Closed (Martin Luther King Day)
9. **Functions will be available**.

3. HEADER AND TRAILER RECORDS

3.1 The CCF Header Record

NDM users executing NDMDTF01, NDMDTFGP, or NDMDTFSP will receive the following CCF Header record.

The CCF header record's format is as follows:

Position	Length	Format	Field Name	Field Description
1	6	Character	Data Type Requested	DRSRT1/2/3
7	6	Character	Data Type Created	DRSRT1/2/3
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.

3.2 The CF2 Header and Trailer Records

The CF2 Header and Trailer records come in two different formats; NDM and FTP.

Note

That the Header and Trailer records are identical except for the first and last field of each record.

3.2.1 NDM – CF2 Header and Trailer Records

NDM users executing NDMDTF02 or NDMDTFGH will receive the following:

CF2 Header and Trailer Record Format - NDM				
Position	**Length**	**Format**	**Field Name**	**Field Description**
1	3	Character	Record ID	"HDR" or "TRL"
4	4	Character	Signon ID	Signon ID
8	6	Character	Data Type Requested	DRSRT1/2/3
14	6	Character	Data Type Created	DRSRT1/2/3
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. (0001)
60	???	Character	Filler	DTC use only. Do not use.

3.2.2 FTP - CF2 Header and Trailer Records

FTP users will get the following:

Position	Length	Format	Field Name	Field Description
CF2 Header and Trailer Record Format - FTP				
1	3	Character	Record ID	"HDR" or "TRL"
4	8	Character	Sign-on ID	Sign-on ID
12	6	Character	Data Type Requested	DRSRT1/2/3
18	6	Character	Data Type Created	DRSRT1/2/3
24	8	Character	Creation Date	Data Creation Date (MM/DD/YY)
32	8	Character	Spool Date	Data Load Date (MM/DD/YY)
40	8	Character	Load Time	Data Load Time (HH:MM:SS)
48	4	Numeric	Record Length	Record Length of data requested
52	8	Numeric	Record Count	Number of data records in file.
60	4	Numeric	80-Byte Record Count	Number of 80-byte records per data type requested. (0001)
64	???	Character	Filler	DTC use only. Do not use.

4. FILE SPECIFICATIONS

4.1 DRS Detail Record Format

Position	Length	Format	Field Name	Field Description
1	1	Character	Filler	**Blank** Space
2	1	Character	Test/ Production Indicator	Used to indicator whether the transaction is to be processed in the "Test" or "Production" environment. T = Test P = Production
3	6	Character	Record Type	Identifies Function type DRSRT1/DRSRT2/DRSRT3
9	2	Numeric	Record Suffix	Used to indicate the "Record #' on single and multiple data records within a transaction. Suffix - Value '01'
11	2	Numeric	Version Number	Used to indicate which version (e.g.: 'latest' or 'previous' format) the data is in. (e.g. '01', '02' etc.)
13	6	Character	User Reference #	For this function the value is always spaces.
19	8	Character	Addressee	The entity on behalf of whom the transaction is being processed. Right justified, zero filled for numeric addressee or 'Mnnnnnnn' for non-numeric addressee.
27	8	Character	Part Number	Participant number
35	12	Character	CUSIP	CUSIP number Format: "00" Pos, 1-2 Number Pos. 3 –11 "0" Pos. 12 Format: "00" Pos, 1-2
47	25	Character	DRS Account Id	Investor's DRS account number at the Transfer Agent
72	9	Numeric	Tax Id	Customer tax id – From the investor's transfer agent statement ('999999999' if non-resident alien)
81	35	Character	Registration line 1	Registration line 1 (Required)
116	35	Character	Registration line 2	Registration line 2 (Optional)
151	35	Character	Registration line 3	Registration line 3

Position	Length	Format	Field Name	Field Description
				(Only if registration line 2 is filled)
186	35	Character	Registration line 4	Registration line 4 (Only if registration line 3 is filled)
221	35	Character	Registration line 5	Registration line 5 (Only if registration line 4 is filled)
256	35	Character	Registration line 6	Registration line 6 (Only if registration line 5 is filled)
291	8	Character	Surety no.	Profile Surety Number
299	37	Character	Customer Account Number	This 37 byte field is the Customer's Broker Dealer Account Number + Unique Identifier (left justified space filled). **Please note that only the first 30 characters represent the Cost Basis Reporting Service (CBRS) Transfer Control Number (which is a 30 character field).**
336	9	Numeric	Quantity	Transfer quantity (whole)
345	8	Numeric	Date	Date transaction was sent to DTCC – CCYYMMDD
353	6	Numeric	Time	Time transaction was sent to DTCC -HHMMSS
359	20	Character	Contact name	Participant contact name
379	10	Character	Contact phone	Participant contact telephone number
389	1	Character	Item status	Identifies status of completed transaction 'A' – t.a. approved 'R' – t.a. rejected 'E' – front-end reject
390	1	Character	Origination type	Identifies where transacted originated from. 'T' – transmission 'P' – PTS
391	13	Character	Tran Id	DTCC generated transaction number

Position	Length	Format	Field Name	Field Description
404	2	Character	Reject Code	Reject Code '01' – DRS account number does not match registration '02' – Registration Incomplete '03' – Value of transaction exceeds profile surety coverage '04" – Insufficient book-entry shares '05' – Chilled position – books closed '06' – Restricted shares '07' – Adverse claim on position '08' – Stop placed on account '09' – Account closed '10' – No longer agent '11' – TIN number/ SS num does not match agent's records '12' – Agent does not have an existing account on file '13' – Non-billable reject '99' – Other
406	62	Character	Reject Desc	Reject Comments
468	1	Character	Move All Available Whole Shares Code	Options to move all available whole shares 'A' - move all available whole shares, sell fractions 'T' - move all available whole shares, sell fractions, terminate the account 'P' - move all available whole shares, keep fractions
469	20	Character	TA contact name	Transfer agent contact name
489	10	Character	TA contact phone	Transfer agent contact number
499	1	Character	Multi reject code indicator	Multiple reject reasons indicator. Values include: '0' – No Multiple reject reasons exist '2' – Two reject reasons exist '3' – Three reject reasons exist
500	1	Character	Multi tax ID indicator	Multiple Tax ID Indicator. Values include: 'N' – No Multiple Tax IDs 'Y' – Multiple Tax IDs (Customer Tax ID and Trust Tax ID)

5. RELEASE NOTES

This is the document history reflecting changes to the file.

Date	Description
05/28/2020	Replaced position 404 filler field with positions 404 a Reject Code field, and 406 a Reject Comments field. Clarified length across positions 391 Tran ID, 404 Reject Code, 406 Reject Comments, and 468 Move All Available Shares.
04/30/2020	The following changes were made to bring this document up to current standards: • Made general updates to remove outdated references and reformat the document.
01/04/2019	Added description for Customer's Broker Account Number in Position 299 of which the first 30 characters represent the CBRS Transfer Control Number.
12/12/2014	Clarified values for positions 13 User Reference Number, 499 Multi Reject Code indicator, and 500 Multi Tax ID indicator.
05/06/2014	Revised Holiday Processing section to note that functions will be available on Good Friday.
04/09/2014	The following changes were made to bring the existing document up to current standards. • Added CCF Header Record description. • Added CF2 Header and Trailer Records • Added FTP specific CF2 Header and Trailer Record Format.

FOR MORE INFORMATION

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