Securities Processing

17.15 CUSTODY CERTIFICATE AND DOCUMENT DETAIL POSITION FILE OUTPUT (AIMCPI): VERSION 01, RELEASE 01

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DOCUMENT HISTORY

08/2023:   Reformatted document to fit the current template.

OBJECTIVES OF THIS CHAPTER

The objectives of this chapter are to:

- Describe Custody Certificate and Document Detail Position File (AIMCPI) function;
- Provide formats for required data records.

AIMCPI OVERVIEW

As part of DTC's custody service, the DTC AIM/Custody system generates the Custody Certificate and Document Detail Position file. This file contains close-of-business information for each requesting Participant. There are two record layouts for this file; a certificate file and a document file. The document file contains two different record types. One is for active physical documents and one is for missing documents. Participants may want to retrieve this file after the completion of the AIM/Custody end-of-day process and reconcile their internal Custody systems to DTC's Custody position.

This document contains the record layouts of the Custody Certificate and Document Detail Position file.

Transmission Mode

The Custody Certificate and Document Detail Position file is offered via the FTP or NDM data transmission facility, under the function name AIMCPI.

RECORD FORMATS

Transaction Header

The 26-byte transaction header, shown below, is prefixed to every Certificate Detail Position Information Record.

Position	Length	Format	Field Name	Standard Transaction Header Format
1	8	Character	Info Sign on	
9	1	Character	Info Eligible Indicator	
10	1	Character	Filler	**Value space**
11	1	Character	Feedback Indicator	* (asterisk)
12	1	Character	Production/Test Indicator	T = test P = production
13	6	Character	Record Type	AIMCPI = certificate and document detail records. Indicates the type of data to be processed. This is a required field.
19	2	Numeric	Record Suffix	01 Certificate Detail information. Indicates the record number on a single and multiple data record within a transaction. Default is 01 in this application.
21	2	Numeric	Version Number	nn Version number that defines the record format; this number is incremented by DTC as fields are added or deleted. See the cover of this document for current version number.
23	6	Character	User Reference	For future use.
29	8	Character	Addressee	*nnnnnnnn* 8-digit identifier of the entity on whose behalf the transaction is being processed; right aligned, zero filled. *Mnnnnnnn* 8-character identifier for non-numeric addressee; right aligned, zero filled.

Custody Certificate Detail Position Layout (Record Id = '01')

Position	Length	Format	Field Name	Description
37	8	Numeric	Participant Id	Identifier of the Participant Submitting the deposit
45	16	Character	Control Id	Contains the Transaction Number (ARF Id) for Full Service Participants, Control Id for Non-Full Service Participants.
61	2	Character	Record Id	Value = '01'
63	12	Character	Cusip Number	Security Identifier
75	1	Character	Issue Type	The type of issue. Values = '1' – Equity '5' – Corporate Bond '7' – Municipal Bond
76	1	Character	Certificate Activity Indicator	Value = spaces
78	7	Character	DTC Processing Sequence	Value = spaces
85	12	Character	Cert Id	Certificate Id
97	3	Character	Cert Seq	Certificate Sequence
100	1	Character	Regular/Bearer Ind	Indicates whether this is a regular or bearer issue. Values = 'R' or 'B'
101	20	Character	Cusip Description	Security description.
121	7	Character	Seg Serial Id	Serial number for the seg account.
128	20	Character	Participant Customer Account	Participant Customer Acccount
148	8	Numeric	Certificate Issue Date	The issue date of the certificate. CCYYMMDD
156	10	Character	Custody Id	The Custody Identification Number
166	8	Numeric	Last Activity Date	If a journal processing date exists, it uses that date, otherwise, it uses the activity date. CCYYMMDD
174	8	Numeric	Original Deposit Date	The date of the original deposit.
182	13	Numeric	Whole Denomination	Whole portion of the denomination.
195	7	Numeric	Fractional Denomination	Fractional portion of the denomination.
202	1	Character	Negotiable Indicator	Indicates whether the certificate is negotiable. Values = 'Y' or 'N'

Position	Length	Format	Field Name	Description
203	1	Character	Restricted Indicator	Indicate whether the certificate is restricted. Values = '0' – Not Restricted '1' - Restricted
204	8	Decimal	Restricted Date	The restricted date. Zero if not restricted. CCYYMMDD
212	1	Character	Transfer Indicator	Indicates whether the certificate is transferable. Values = 'Y' or 'N'
213	1	Character	Document Indicator	Document required indicator.
214	1	Character	Registration Type	Values = 'F' – Firm 'C' – Customer 'T' – 3rd Party 'B' – FBO ' X' – Bearer ' ' - Not Available
215	1	Character	Journal Processing Indicator	Indicator of whether the entry was original or journal. Values = 'O' – Original 'J' – Journal
216	40	Character	Participant Reference Id	Participant free-form user reference.
256	8	Character	Location Id	Identifies the location of the certificate.
264	1	Character	Custody Indicator	Value = '1' if the certificate is not eligible for the free account.
265	37	Character	Filler	DTC use only, do not use

Custody Document Detail Position Layout (Record Id = '02', '03')

Position	Length	Format	Field Name	Description
37	8	Numeric	Participant Id	Identifier of the Participant Submitting the deposit
45	16	Character	Control Id	Contains the Transaction Number (ARF Id) for Full Service Participants, Control Id for Non-Full Service Participants.
61	2	Character	Record Id	Value = '02' for all active physical documents. Value = '03' for all missing documents.
63	10	Numeric	Custody Id	The Custody Identification Number
73	20	Character	Participant Account	Customer Account Id
93	8	Numeric	Last Activity Date	If a journal processing date exists, it uses that date, otherwise, it uses the activity date. CCYYMMDD
101	8	Numeric	Expiration Date	The document's expiration date if applicable. CCYYMMDD
109	3	Character	Document Type	The document id.
112	26	Character	Document Description	The document description.
138	173	Character	Filler	DTC use only, do not use.

Note:

Record Id '01': Certificate Position File Layout

Record Id '02': Active Physical Document Position File Layout

Record Id '03': Missing Document Position File Layout

For More Information

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