



## **CCF/CCF-II/MDH Transmission Guides**

# **14.06 FAST Deposit Shipment Control Lists (DTFSCL) via CCF and CCF-II: Function User's Guide**



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## 14.06 DTFSCCL: Function User's Guide

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## 1.0 *FAST* Deposit SCL Confirm/Reject System

The purpose of the *FAST* Deposit shipment Control List (SCL) Confirm/Reject system is to provide Transfer Agents and Service Bureaus with an efficient way to confirm or reject *FAST* Deposit shipment Control Lists (SCLs) and return that information to DTC in a more expedient manner. The confirmation or rejection of SCLs would give DTC and the Transfer Agent the ability to update their *FAST* Balances on a more timely basis.

### 1.1 The DTFSCS Functions

A User may use the DTFSCS functions to receive *FAST* Deposit SCL information.

When using the DTFSCS functions, the User will receive a series of machine-readable records. Each record would correspond to a *FAST* Deposit SCL Confirm/Reject transaction.

The DTFSCS functions will contain all of the *FAST* Deposit SCL transactions processed by DTC during a day's processing cycle for the deposit items being shipped to the User (Transfer Agent).

The DTFSCS functions consist of the following two data types available for transmission, at various times of the business day, to the User:

- C **DSCLT1** - Will contain "record date" information data to be confirmed or rejected the same day.
- C **DSCLT2** - Will contain all other normal *FAST* deposits processed during the business day.

The information received through the DTFSCS functions will be used by the User to confirm or reject *FAST* Deposit SCLs.

### 1.2 DTFSCS Availability Schedule

The DTFSCS functions would be available twice daily.

The following lists the availability for each of the two DTFSCS functions.

- C **DSCLT1** - Available from approximately 2:00 p.m. until approx 10:00 a.m. (Eastern Time) the next business day.
- C **DSCLT2** - Available from approximately 12:00 a.m. until 5:00 p.m. (Eastern Time).



## 2.0 The DTFSCSCL Transmission File

The *FAST* Deposit SCL Confirm/Reject DTFSCSCL transmission file consists of six transaction records. The first record on the transmission file, (DTFSCSCL Header Record) is for control purposes. The other records contain information relating to the SCL.

The six record types which may appear in the *FAST* Deposit SCL Confirm/Reject DTFSCSCL transmission, along with the basic rules for their processing within the CCF system, are described in “DTFSCSCL Transaction Records” in the following section.

### 2.1 DTFSCSCL Transaction Records

When using the DTFSCSCL functions, the User will receive the following six record types listed below.

1. **DTFSCSCL Header Record:** contains control information regarding the DTFSCSCL transmission. This record is OPTIONAL (FOR CCF USERS ONLY, CCF-II will always receive this record) for each of the DTFSCSCL functions received by the User.
2. **TA Header Record:** contains control information regarding the User’s eligibility to use DTC’s services. The TA Header Record is a type “00” record. This record is MANDATORY for each DTFSCSCL transmission received by the User.
3. **SCL Header Record:** contains control information regarding the SCL. The SCL Header Record is a type “01” record. This record is MANDATORY for each DTFSCSCL transaction received by the User.
4. **SCL Detail record:** contains line item information regarding the SCL. The SCL Detail record is a type “05” record. This record is MANDATORY for the DTFSCSCL transaction received by the User.
5. **SCL Trailer Record:** contains control information regarding the total detail records and the total SCL securities in a SCL. The SCL Trailer Record is a type “88” record. This record is MANDATORY for each DTFSCSCL transaction received by the User.
6. **TA Trailer Record:** contains control information regarding the total SCL transaction records and the total securities being shipped to the Transfer Agent as described in the DTFSCSCL transmission stream. The TA Trailer Record is a type “99” record. This record is MANDATORY for each DTFSCSCL transmission received by the User.



## 2.2 DTFSCS Transaction Structure

A DTFSCS transaction contains the SCL information. It should contain ONE type "01" record, ONE or more type "05" records and ONE type "88" record.

The following is an example of a DTFSCS transaction:

```
SCL Header Record      (type "01")
  SCL DETAIL RECORD    (type "05")
  .
  .
  .
SCL Trailer Record     (type "88")
```

## 2.3 DTFSCS Transmission Structure

There should only be ONE TA Header (type "00"), ONE TA Trailer (type "99" and ONE DTFSCS Header Record (if requested) per DTFSCS transmission; however, in the case of a Service Bureau, where there are multiple Transfer Agents, there can be multiple TA Headers (type "00"), SCL Headers (type "01"), SCL Trailers (type "88") and TA Trailers (type "99") records.

There will be ONE SCL Detail (type "05" record for each line item number on the SCL. The following are examples of DTFSCS transmissions.

```
TRANSFER AGENT
=====
DTFSC Header Record    (optional)
TA Header Record       (type "00")
  SCL Header Record    (type "01")
  SCL DETAIL RECORD    (type "05")
  .
  .
  .
  SCL Trailer Record   (type "88")
TA Trailer Record      (type "99")
```

```
or
TRANSFER AGENT
=====
DTFSCS Header Record  (optional)
TA Header Record       (type "00")
  SCL Header Record    (type "01")
  SCL DETAIL RECORD    (type "05")
  .
  .
  .
  SCL Trailer Record   (type "88")
```



SCL Header Record (type "01")  
SCL DETAIL RECORD (type "05")  
.  
SCL Trailer Record (type "88")  
TA Trailer Record (type "99")

SERVICE BUREAU

DTFSCL Header Record (optional)  
TA Header Record (type "00")  
SCL Header Record (type "01")  
SCL DETAIL RECORD (type "05")  
.  
SCL Trailer Record (type "88")  
  
SCL Header Record (type "01")  
SCL DETAIL RECORD (type "05")  
.  
SCL Trailer Record (type "88")  
TA Trailer Record (type "99")  
  
TA Header Record (type "00")  
SCL Header Record (type "01")  
SCL DETAIL RECORD (type "05")  
.  
SCL Trailer Record (type "88")  
  
SCL Header Record (type "01")  
SCL DETAIL RECORD (type "05")  
.  
SCL Trailer Record (type "88")  
TA Trailer Record (type "99")



### 3.0 DTFSCS Transmission Record Formats

#### 3.1 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 CCF Header Record below.

The CCF Header Record’s format is as follows:

Position	Length	Format	Field Name	CCF Header Record Contents
1	6	Character	Data Type Requested	Value “DTFSCL”.
7	6	Character	Data Type Created	Value “DTFSCL”.
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 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.

Position	Length	Format	Field Name	CCF-II Header and Trailer Record Contents
1	3	Character	Record Identifier	Record ID "HDR" or "TLR".
4	4	Character	SIGNON ID	Signon ID.
8	6	Character	Data Type Requested	Value "DTFSCL".
14	6	Character	Data Type Created	Value "DTFSCL".
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



### 3.3 SCL Header Transaction Record ("01")

This record contains control information regarding the SCL. This record is MANDATORY for each DTFSCS transcription received by the User, and it would denote a new SCL. There should be one SCL Header for each SCL being received. See "DTFSCS Transaction Structure" on page 3, and "DTFSCS Transmission Structure" on page 3.

The SCL Header Record MUST be included in the TA Trailer Record count tabulation. The SCL Header Record requires a single 70-character record, described in the following table:

Position	Length	Format	Field	SCL Header Record ("01") Format Description
1	2	Character	Record Type	Constant value "01".
3	12	Character	CUSIP Number	The security number used to identify the SCL issued. CUSIP number consists of three parts: positions 1-2     = zeroes; positions 3-11    = CUSIP; position 12       = zero.
15	20	Character	Security Description	The abbreviated name of the security contained in the SCL.
35	15	Numeric	SCL ID	The SCL ID number. This is established by DTC's Security Transfer System during the creation of each SCL.
50	6	Numeric	Issue Date	Must contain zeroes.
56	10	Character	Filler	DTC use only; do not use.
66	5	Numeric	Sequence Number	Must contain a value in ascending order, indicating the number of this record on the DTFSCS transmission file.



### 3.4 SCL Detail Transaction Record ("05")

This record contains line item information regarding the SCL. The record is MANDATORY for each DTFSCSCL transaction received by the User.

There should be one SCL Detail record for each line item on the SCL (see "DTFSCSCL Transaction Structure" on page 3, and "DTFSCSCL Transmission Structure" on page 3), and it must be included in the TA Trailer Record count tabulation.

The SCL Detail record requires a single 70-character record, described in the following table:

Position	Length	Format	Field Name	SCL Detail Record ("05") Format Description (Part 1 of 2)
1	2	Character	Record Type	Constant value "05".
3	12	Character	CUSIP Number	The security number used to identify the SCL issued. CUSIP number consists of 3 parts: positions 1-2       = zeroes; positions 3-11     = CUSIP; position 12         = zero. This CUSIP number MUST be the same CUSIP number used in the SCL Header Record.
15	15	Numeric	SCL I.D.	The SCL ID number is established by DTC's Security Transfer System during the creation of each SCL. This SCL ID MUST be the same SCL ID used in the SCL Header Record.
30	8	Numeric	Participant Number	The number of the DTC Participant associated with the line item number (I.E. the DTC Participant who originated and presented the physical deposit item to DTC). Right-aligned with leading zeroes.
38	2	Numeric	Line Item Number	The number representing the deposit item as listed on the SCL. NOTE: The line numbers cannot exceed "45" for each SCL.
40	7	Numeric	Filler	DTC use only; do not use.
47	3	Numeric	Reject Code	Must contain zeroes for the DTFSCSCL functions.
50	9	Numeric	Security Quantity	The number of shares in the SCL line item, in units of 1.
59	5	Numeric	Fractional Share Quantity	Format V99999.
64	2	Character	Filler	DTC use only; do not use.



Position	Length	Format	Field Name	SCL Detail Record ("05") Format Description (Part 2 of 2)
66	5	Numeric	Sequence Number	Must contain a value in ascending order, indicating the number of this record on the DTFSCS Transmission File.



### 3.5 SCL Trailer Transaction Record (“88”)

This record contains control information regarding the total Detail Records and the total SCL securities in a DTFSCS transaction. This record is MANDATORY for a SCL transaction received by a User, and it would denote the end of one SCL. There should be one SCL Trailer Record for each SCL being transmitted. See “DTFSCS Transaction Structure” on page 3, and “DTFSCS Transmission Structure” on page 3.

The SCL Trailer Record MUST be included in the TA Trailer Record count tabulation. The SCL Trailer Record requires a single 70-character record, described in the following table.

Position	Length	Format	Field Name	SCL Trailer Record (“88”) Format Description
1	2	Character	Record Type	Constant value “88”.
3	12	Character	CUSIP Number	The security number used to identify the SCL issued. CUSIP number consists of 3 parts: positions 1-2       = zeroes; positions 3-11     = CUSIP; position 12        = zero. This CUSIP number MUST be the same CUSIP number used in the SCL Header Record and the SCL Detail record respectively.
15	7	Numeric	Total Detail Records	Contains the total number of detail records being sent in the DTFSCS transaction (right-aligned with leading zeroes).
22	9	Numeric	Total Fractional Shares	Contains the total number of Fract shares being confirmed or rejected for the SCL (right aligned with leading zeroes). Represented as PIC 9999V99999.
31	6	Numeric	Filler	DTC use only; do not use.
37	15	Numeric	SCL ID	The SCL ID number is established by DTC’s Security Transfer System during the creation of each SCL. This SCL ID MUST be the same SCL ID used in the SCL Header Record and SCL Detail Record respectively.
52	14	Numeric	Total Security Quantity	The total number of shares to be confirmed for this SCL, in units of 1.
66	5	Numeric	Sequence Number	Must contain a value in ascending order, indicating the number of this record on the DTFSCS transmission file.



### 3.6 TA Trailer Transaction Record (“99”)

This record contains control information regarding the total records and total SCL securities being shipped to the Transfer Agent as described in the DTFSCS transmission stream. This record is MANDATORY for a SCL transmission received by a User, and it would denote the end of a DTFSCS transmission for the Transfer Agent. In the case of a Service Bureau where there are multiple Transfer Agents, there should be one TA Trailer Record for each of the Transfer Agents being serviced by that bureau. The TA Trailer Record MUST be preceded by the type “88” record. See “DTFSCS Transmission Structure” on page 3.

The record count tabulation would include all transaction records, including the TA Trailer Record. The TA Trailer Record requires a single 70-character record, described in the following table:

Position	Length	Format	Field Name	TA Trailer Record (“99”) Format Description
1	2	Character	Record Type	Constant value “99”.
3	7	Numeric	Total Records	Contains the total number of transaction records in the DTFSCS transmission, including the TA Trailer Record. (right-aligned with leading zeroes).
10	15	Numeric	Filler	DTC use only; do not use.
25	15	Numeric	Total Security Quantity	The total number of shares for this DSCLT1 or DSCLT2 transmission, in units of 1.
40	9	Numeric	Total Fractional Share Quantity	Contains the total number of fractional shares in the SCLC transmission (right aligned with leading zeroes). Represented as 9999V99999.
49	17	Character	Filler	DTC use only; do not use.
66	5	Numeric	Sequence Number	Must contain a constant value indicating the number of this record on the DTFSCS transmission file.