CCF/CCF-II/MDH Transmission Guides

14.11 Direct Registration System - ICM Input Processing Via CCF and CCF-II: XRS5 Function User's Guide

The Depository Trust & Clearing Corporation   **March 4th, 2013**

Document Change History

Sept. 02   - Added Reject Codes "11" and "12" to position 66 of the detail record. Added Section 4.1 Error Code Definitions

March. 13 - Added "If a value of "A" is in Position 65, you must insert 00 in Positions 66-67". Error Code Definitions

14.11   XRS5: Function User's Guide

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1   Objectives of This Chapter

This document describes the ICM File layout for the DRS (Direct Registration System). It will be used by Transfer Agents only. Transfer Agents may approve or reject transaction submitted by Participants either via PTS terminal or ICM file transmission. Participants can use the newly developed service for transmitting *your function name (such as withdrawal-by-transfer)* instructions to DTC.

This function is being offered over CCF and CCF-II.

Participants should familiarize themselves with the DTC document: INTERFACE CONTROL MANAGER CCF and CCF-II. This ICM document describes new standards for transaction processing using DTC's automated systems.

Specifics relating to the operation, error processing and recovery or CCF-II, FTP, and NDM transmissions are addressed in the ICM document.

2   XRS5 Function Description

The function names associated with each interface are as follows:

1) CCF - XRS5. Transmission times: 3:00 a.m. – 5:00 a.m., EST
                                        7:00 p.m. – 11:00 p.m., EST
2) CCF2 - XRS5. Transmission times: 3:00 a.m. – 5:00 a.m., EST
                                        7:00 p.m. – 11:00 p.m., EST

3 XRS ICM RECORD - Length 500

The input record layout for the DRS Profile Modification is defined below. This record contains a transaction header and application detail data and has a record length of 500. The transaction header is prefixed to every application record.

Position	Length	Format	Field Name	XRS5 ICM Record Description
1	1	Character	Feedback Indicator	Indicates if any errors occurred during processing. **This field is to be left blank on input.**
2	1	Character	Test/Production Indicator	Indicates if the transaction is to be processed in the Test or Production environment. **This is a required field.** Values are: T = Test P = Production
3	6	Character	Record Type	Value = "DRSPRO"
9	2	Numeric	Record Suffix	Indicates the Record # on single and multiple Data Records within a transaction.
11	2	Numeric	Version Number	Indicates the version (e.g., latest or previous format) the data is in.
13	6	Character	User Reference #	Used by the transmitting party to uniquely identify the transaction (optional).
19	8	Character	Addressee	The entity on behalf of which the transaction is being processed. Right justified, left zero filled for full numeric addressees or Mnnnnnnn for non-full numeric addressees.
27	8	Character	LPA number	The ID number of the LPA.
35	8	Character	Participant Number	The ID number of the Participant that initiated this request.
43	13	Character	Transaction ID	Transaction ID.

Position	Length	Format	Field Name	XRS5 ICM Record Description
56	9	Character	CUSIP number	An industry standard ID number used to identity a security.
65	1	Character	Action Indicator	Possible values: "A" - Approve "R" - Reject
66	2	Numeric	Reject Code	Reject code. Possible values: "01", "02", "03", "04", "05", "06", "07", "08", "09", "010", "11", "12", "99". See section 4.1 for list of error meanings. If a value of "A" is in Position 65, you must insert 00 in Positions 66-67."
68	65	Character	Reject Comments	Reason for rejecting a transmission. Required only for reject code "99".
133	20	Character	Reject LPA Contact	Name of the LPA contact. Required for all reject codes.
153	10	Character	Reject LPA Phone	Reject LPA phone number. Required for all reject codes.
163	2	Numeric	Reject Code #2	Second reject reason. All codes in section 4.1 apply
165	2	Numeric	Reject Code #3	Third reject reason .All codes in section 4.1 apply
167	1	Character	All Shares Indicator	"A", "T", "P" '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 or spaces
168	333	Character	Filler	Value = spaces

4 ICM Trailer Records

The input record layout for the DRS Profile Modification is defined below. This record contains a transaction header and application detail data and has a record length of 500. The transaction header is prefixed to every application record. The field layout of the 26 byte header is defined as:

Position	Length	Format	Field Name	DRS CCF Record Description
1	1	Character	Feedback Indicator	Indicates if any errors were encountered during processing. **This field is to be left blank on input.**
2	1	Character	Test/Production Indicator	Indicates if the transaction is to be processed in the Test or Production environment. **This is a required field.** Values are: T = Test P = Production
3	6	Character	Record Type	Value = "TRAILR"
9	2	Numeric	Record Suffix	Indicates the Record # on single and multiple Data Records within a transaction.
11	2	Numeric	Version Number	Indicates the version (e.g., latest or previous format) the data is in.
13	6	Character	User Reference Number	Used by the transmitting party to uniquely identify the transaction (optional).
19	8	Character	Addressee	The entity on behalf of which the transaction is being processed. Right justified, left zero filled for full numeric addressees or Mnnnnnnn for non-full numeric addressees.
27	7	Numeric	Total Record Count	Total number of data records in this transmission. This total excludes the trailer record and must be equal to DTC's calculated total record count.

Position	Length	Format	Field Name	DRS CCF Record Description
34	13	Numeric	Total Quantity amount	Not applicable, must be zero.
47	15	Numeric	Total Dollar amount	Not applicable, must be zero.
62	439	Character	Filler	Value = Spaces

4.1 Error Code Definitions

Direct Registration System DRS Profile Reject Codes	
Error Code	**Error Description**
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 Number Does Not Match Agent's Records
12	Agent Does Not Have An Existing DRS Account On File
99	Other (Comment Field)

5 Error Conditions

If any errors occur during processing, the following occurs:

CCF/CCF-II users receive their input record with 40 bytes of errors appended to the end of the record.

NOTE: Refer to the Interface Control Management document for specifics relating to the way errors are returned to your system. The following table lists the application errors which were detected by DTC.

* * * * * * *NO ERRORS ARE EDITED FOR DURING ICM PROCESSING * * * * * *
* * * * * * *RECORD VALIDATION WILL BE ACCOMPLISHED DURING * * * * * *
* * * * * * * A BATCH PROCESS AFTER ALL DATA COLLECTION HAS * * * * * *
* * * * * * * BEEN COMPLETED. * * * * * *