



Securities Processing

14.17 DWAC PARTICIPANT / TRANSFER AGENT BILLING FILE DATA TRANSMISSION FACILITY (DWCPAB): FUNCTION USER'S GUIDE

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OVERVIEW

This document describes DTC's DWCPAB function, used for transmission DWAC instructions via CCF/DTF DTC's Data Transmission Facilities.

THE DWCPAB FUNCTION

DTC creates this file daily.

Participants submit Deposit/Withdrawal instructions via online PTS functions PDWC and NDWC. These instructions must be approved/cancelled by the custodian.

The DWCPAB function will provide DWAC initiated Participant instructions with Transfer Agent billing information pertaining to current business date instructions approved by an authorized Transfer Agent.

The DWCPAB function will also provide DWAC initiated Participant instructions with Transfer Agent billing information pertaining to the current month's instructions approved by an authorized Transfer Agent.

Availability of DWCPAB

The DWCPAB will generally be available at 08:00 P.M. the current business day.

Holiday Processing

- All Closed - Banks, Exchange and DTC closed: (New Year's Day, Martin Luther King Day, Presidents Day, Memorial Day, July 4th, Labor Day, Thanksgiving Day, and Christmas Day)
– **Will Not Process.**
- Banks Closed, Exchange Open and DTC Open (Columbus Day, Veterans Day)
– **Will Process.**
- Banks Open, DTC Open, Exchange Closed (Good Friday)
– **Will Process.**

HEADER AND TRAILER RECORDS

The CCF Header Record

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

The **CCF** header record's format is as follows:

CCF Header Record Format				
Position	Length	Format	Field Name	Field Description
1	6	Character	Data Type Requested	DWCPAB
7	6	Character	Data Type Created	DWCPAB
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.

The CF2 Header and Trailer Records

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

NOTE

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

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	Sign-on ID	Sign-on ID
8	6	Character	Data Type Requested	DWCPAB
14	6	Character	Data Type Created	DWCPAB
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.

FTP- CF2 Header and Trailer Records

FTP users will get the following:

CF2 Header and Trailer Record Format - FTP				
Position	Length	Format	Field Name	Field Description
1	3	Character	Record ID	"HDR" or "TRL"
4	8	Character	Sign-on ID	Sign-on ID
12	6	Character	Data Type Requested	DWCPAB
18	6	Character	Data Type Created	DWCPAB
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.

DWCPAB RECORD FORMATS

The record layout for the DWAC Participant Transfer Agent Billing file is defined below.

The Participant Transfer Agent Billing file has four record layouts, identified by record type. Record types '01', '02' and '03' report Transfer Agent approved Participant DWAC instructions for the current business date. Record type '04' provides a running total recap summary of all Transfer Agent approved Participant instructions for the current business month.

Participants with current business date Transfer Agent approved instructions will receive all four record types in record type order, breaking on Transfer Agent. The four record types are defined as follows:

'01' record type - 'Participant Transfer Agent Current Business Date Instruction Detail' - will be generated for each DWAC instruction for the current business date, breaking on Transfer Agent.

'02' record type - 'Transfer Agent Current Business Date Summary', will provide summary totals of the '01' detail records for each Transfer Agent.

'03' record type - 'Participant Current Business Date Summary', provides summary totals for the current business date for the Participant.

'04' record type - 'Participant Monthly Summary', provides a running total recap of all DWAC transactions for the current business month for the Participant.

As an example, Participants will receive all '01' record types for one specific Transfer Agent, followed by a type '02' 'Transfer Agent Current Business Date Summary' record for that specific Transfer Agent. This will be followed by subsequent groups of agent specific '01's and their related '02'. Once all Transfer Agent specific data is completed, the file will have a type '03' followed by the '04'.

Participants who do not have any current business date Transfer Agent approved instructions, but have prior Transfer Agent approved instructions for the current month, will receive only a type '04' 'Participant Monthly Summary' record.

Participant / Transfer Agent Current Business Date Instruction Detail Record – Record Type '01'

DWCPAB - Participant/Transfer Agent Current Business Date Instruction Detail				
Record Type '01'				
- Length 290				
This application data has record type '01' defined as follows:				
Position	Length	Format	Field Name	DWAC DTF Record Description
1	8	Character X(08)	PART-SIGNON-ID	Value SPACES
9	2	Character X(02)	PART-01-FILLER	Value SPACES
11	2	Numeric 9(02)	Record type	Participant/Transfer Agent Current Business Date Instruction Detail. Record Type: '01'.
13	8	Numeric 9(08)	Participant's ID	Unique Participant Identifier.
21	20	Character X(20)	Participant's Name	Name of the Participant
41	8	Numeric 9(8)	Transfer Agents ID	Unique Transfer Agent Identifier.
49	20	Character X(20)	Transfer Agents Name	Name of the Transfer Agent.
69	1	Character X(01)	Instruction Type	Type Of DWAC Instruction: D = Deposit W= Withdrawal
70	9	Character X(09)	CUSIP ID	DWAC CUSIP
79	20	Character X(20)	CUSIP Description	Description of CUSIP
99	15	Numeric 9(10)V9(5)	Share Quaintly	Instruction share amount
114	7	Numeric 9(5)V9(02)	Fee Charged	Transfer Agent Billing Fee.
121	1	Character X(01)	Fee Type.	Instruction Fee Type: 'S' = Standard 'L' = Alternate used 'N' = Do not bill Spaces = No Instruction Fee Type Found
122	1	Character X(01)	Override Type	Override Type indicates that the Transfer Agent has overridden the Instruction Fee Type. 'N' = No override 'Y' = Yes overridden

DWCPAB - Participant/Transfer Agent Current Business Date Instruction Detail

Record Type '01'

- Length 290

This application data has record type '01' defined as follows:

Position	Length	Format	Field Name	DWAC DTF Record Description
123	10	Character X(10)	Custodian Sign On	Approver Custodian Sign-on.
133	8	Numeric 9(8)	Approval Date	Date Custodian Agent approved the instruction.
141	26	Character X(26)	Reference ID	Participant identifier that refers to a particular Instruction. Use by Custodian to distinguish between similar instructions.
167	78	Character X(78)	Participant Comments.	Participant entered comments.
245	56	Character X(56)	Filler	Reserved for DTCC use.

Participant / Transfer Agent Current Business Date Summary Detail Record – Record Type '02'

DWCPAB – Participant / Transfer Agent Current Business Summary Detail

- Record Type '02'

- Length 290

This application data has record type '02' defined as follows:

Position	Length	Format	Field Name	DWAC DTF Record Description
1	8	Character X(08)	PART-SIGNON-ID-TA-SUM	Value SPACES
9	2	Character X(02)	PART-02-FILLER	Value SPACES
11	2	Numeric 9(02)	Record Type	Transfer Agent Current Business Date Summary Detail. Record Type: '02'.
13	8	Numeric 9(08)	Transfer Agents ID	Unique Transfer Agent Identifier.
21	20	Character X(20)	Transfer Agents Name	Name of the Transfer Agent
41	13	Numeric 9(13)	Total Deposits Billed.	Total Current Business Date count of Deposit Instructions Billed.
54	15	Numeric 9(13)V99	Total Deposits Billed Fees	Total Current Business Date sum of Deposit Instructions Billed Fees
69	13	Numeric 9(13)	Total Deposits Not Billed.	Total Current Business Date count of Deposit Instructions Not Billed.
82	15	Numeric 9(13)V99	Total Deposit Not Billed Fees.	Total Current Business Date sum of Deposit Instructions Not Billed Fees.
97	13	Numeric 9(13)	Total Withdrawal Billed.	Total Current Business Date count of Withdrawal Instructions Billed.
110	15	Numeric 9(13)V99	Total Withdrawal Billed Fees	Total Current Business Date sum of Withdrawal Instructions Billed Fees.
125	13	Numeric 9(13)	Total Withdrawal Not Billed.	Total Current Business Date count of Withdrawal Instructions Not Billed.
138	15	Numeric 9(13)V99	Total Withdrawal Not Billed Fees	Total Current Business Date sum of Withdrawal Instructions Not Billed Fees.
153	13	Numeric 9(13)	Grand total Billed Items	Grand total Current Business Date count of Billed Instructions.
166	15	Numeric 9(13)V99	Grand total Billed Fees	Grand total Current Business Date sum of Billed Instruction Fees.

DWCPAB – Participant / Transfer Agent Current Business Summary Detail

- Record Type '02'

- Length 290

This application data has record type '02' defined as follows:

Position	Length	Format	Field Name	DWAC DTF Record Description
181	13	Numeric 9(13)	Grand total Not Billed items	Grand total Current Business Date of Not Billed Instructions.
194	15	Numeric 9(13)V99	Grand total Not Billed Fees	Grand total Current Business Date sum of Not Billed Instruction Fees
209	92	Character X(92)	Filler	Reserved for DTCC use.

Participant Current Business Date Summary Detail Record – Record Type '03'

DWCPAB – Participant Current Business Date Summary Detail

- Record Type '03'

- Length 290

This application data has record type '03' defined as follows:

Position	Length	Format	Field Name	DWAC DTF Record Description
1	8	Character X(08)	PART-SIGNON-PART-SUM	Value SPACES
9	2	Character X(02)	PART-03-FILLER	Value SPACES
11	2	Numeric 9(02)	Record Type	Participant Current Business Date Summary Detail. Record Type: '03'.
13	8	Numeric 9(08)	Participant ID	Unique Participant Identifier.
21	20	Character X(20)	Participant Name	Name of the Participant
41	13	Numeric 9(13)	Total Deposits Billed.	Total Current Business Date count of Deposit Instructions Billed.
54	15	Numeric 9(13)V99	Total Deposits Billed Fees	Total Current Business Date sum of Deposit Instructions Billed Fees.
69	13	Numeric 9(13)	Total Deposit Not Billed.	Total Current Business Date count of Deposit Instructions Not Billed.
82	15	Numeric 9(13)V99	Total Deposits Not Billed Fees	Total Current Business Date sum of Deposit Instructions Not Billed Fees.
97	13	Numeric 9(13)	Total Withdrawal Billed	Total Current Business Date count of Withdrawal Instructions Billed.
110	15	Numeric 9(13)V99	Total Withdrawal Billed Fees	Total Current Business Date sum of Withdrawal Instructions Billed Fees
125	13	Numeric 9(13)	Total withdrawal Not Billed.	Total Current Business Date count of Withdrawal Instructions Not Billed.
138	15	Numeric 9(13)V99	Total Withdrawal Not Billed Fees	Total Current Business Date sum of Withdrawal Not Billed Fees
153	13	Numeric 9(13)	Grand Total Instructions Billed.	Grand total Current Business Date count of Instructions Billed.
166	15	Numeric 9(13)V99	Grand Total Instructions Billed Fees	Grand total Current Business Date sum of Instructions Billed Fees

DWCPAB – Participant Current Business Date Summary Detail

- Record Type '03'

- Length 290

This application data has record type '03' defined as follows:

Position	Length	Format	Field Name	DWAC DTF Record Description
181	13	Numeric 9(13)	Grand Total Instructions Not Billed.	Grand total Current Business Date count of Instructions not Billed.
194	15	Numeric 9(13)V99	Grand Total Instructions Not Billed Fees	Grand total Current Business Date sum of Instructions Not Billed Fees
209	92	Character X(92)	Filler	Reserved for DTCC use.

Participant Monthly Summary Detail Record – Record Type '04'

DWCPAB – Participant Monthly Summary Detail				
Record Type '04'				
- Length 290				
This application data has record type '04' defined as follows:				
Position	Length	Format	Field Name	DWAC DTF Record Description
1	8	Character X(08)	PART-SIGNON-PART-MNTH	Value SPACES
9	2	Character X(02)	PART-04-FILLER	Value SPACES
11	2	Numeric 9(02)	Record Type	Participant Monthly Summary Detail. Record Type: '04'.
13	8	Numeric 9(08)	Participant ID	Unique Participant Identifier.
21	20	Character X(20)	Participant Name	Name of the Participant
41	13	Numeric 9(13)	Billed Deposit Items.	Total Monthly count of Billed Deposit Instructions.
54	15	Numeric 9(13)V99	Billed deposit Fee	Total Monthly sum of Billed Deposit Fees
69	13	Numeric 9(13)	Non-Billed Deposit Items.	Total Monthly Count of Non-Billed Deposit Instructions.
82	15	Numeric 9(13)V99	Non-Billed deposit Fee	Total Monthly sum of Non-Billed Deposit Fees
97	13	Numeric 9(13)	Billed Withdrawal Items.	Total Monthly count of Billed Withdrawal Instructions.
110	15	Numeric 9(13)V99	Billed Withdrawal Fee	Total Monthly sum of Billed Withdrawal Fees
125	13	Numeric 9(13)	Non-Billed withdrawal Items.	Total Monthly count of Non-Billed Withdrawal Instructions.
138	15	Numeric 9(13)V99	Non-Billed Withdrawal Fee	Total Monthly sum of Non-Billed Withdrawal Fees
153	13	Numeric 9(13)	Total Billed Items	Total Monthly count of Billed Items.
166	15	Numeric 9(13)V99	Billed Fee Total	Total Monthly sum total of Billed Fees
181	13	Numeric 9(13)	Total Non- Billed items	Total Monthly count of Non-Billed Items.

DWCPAB – Participant Monthly Summary Detail

Record Type '04'

- Length 290

This application data has record type '04' defined as follows:

Position	Length	Format	Field Name	DWAC DTF Record Description
194	15	Numeric 9(13)V99	Non-Billed Fee Total	Total Monthly sum total of Non-Billed Fees
209	92	Character X(92)	Filler	Reserved for DTCC use.

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