ASSET SERVICES

14.20 DISASTER RECOVERY TRANSFER AGENT ACTIVITY (DTFTAP) FUNCTION USER'S GUIDE

JULY 6, 2022

CONTENTS

1. THE DISASTER RECOVERY DTFTAP FUNCTION

A CF2 User may use the DTFTAP function, which is a function that generates the current date Transfer Agent transactions for reconciliation. When using the DTFTAP function, the CF2 User will receive a series of machine-readable records. Each record will show the current state of Transfer Agent transactions at a defined point in time.

The DTFTAP output will be available to Transfer Agents five times daily, specifically at 9:30 am, 11:30 am; 1:30 pm, 3:30 pm and 6:30 pm. Records picked up at each of these times will be cumulative for the current day. The DTFTAP function may also be run on demand in the event of a Disaster Recovery, whose output will be used to reconcile the last known state of these transactions.

2. HEADER AND TRAILER RECORDS

2.1 The CCF Header Record

NDM users executing NDMDTF01 or NDMDTFGP procedures will receive the following format:

CCF Header Record Format				
Position	**Length**	**Format**	**Field Name**	**Field Description**
1	6	Character	Data Type Requested	DTFTAP
7	6	Character	Data Type Created	DTFTAP
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	4	Character	Signon ID	Signon ID
51	6	Character	Header ID	Text 'HEADER'
57	???	Character	Filler	DTC use only. Do not use

2.2 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.

2.2.1 NDM – CF2 Header and Trailer Records

NDM users executing NDMDTF02 or NDMDTFGH procedures will receive the following:

Position	Length	Format	Field Name	Field Description
**CF2 Header and Trailer Record Format - NDM**
1	3	Character	Record ID	"HDR" or "TRL"
4	4	Character	Signon ID	Signon ID
8	6	Character	Data Type Requested	DTFTAP
14	6	Character	Data Type Created	DTFTAP
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	500-Byte Record Count	Number of 500-byte records per data type requested. (0001)
60	???	Character	Filler	DTC use only. Do not use

2.2.2 FTP - CF2 Header and Trailer Records

FTP users will receive 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	DTFTAP
18	6	Character	Data Type Created	DTFTAP
24	8	Character	Creation Date	Data Creation Date (YYYYMMDD)
32	8	Character	Spool Date	Data Load Date (YYYYMMDD)
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	500-Byte Record Count	Number of 500-byte records per data type requested (0001)
64	???	Character	Filler	DTC use only. Do not use

3. DTFTAP DATA RECORD

The remaining records on the file will be DTFTAP data records. The format of DTFTAP data records is described below.

Position	Length	Format	Field Name	Field Description
1	8	Character	Transfer Agent ID	Transfer Agent number
9	30	Character	Transfer Agent Name	Name of Transfer Agent
39	1	Character	Data Type	'D' = DRS 'W' = DWAC 'S' = SCL Transfer
40	1	Character	Status Code	Status of Transaction: When Data Type = 'D' (DRS Profiles) 'O' = Open 'A' = Approved 'R' = Rejected 'X' = Dropped 'D' = Deleted 'E' = Upfront error from transmission When Data Type ='D' (DRS DO) '1' = Open '2' = Deposit Made '3' = Deposit Dropped '4' = DO Dropped '5' = Both Dropped '6' = Both Made '7' = Recycled '8' = ATP Error '9' = Cancel '0' = Closed Cancel When Data Type = 'W' '1' = Made '2' = Recycle '3' = Recycle Made '4' = Dropped '5' = Reversed '6' = Approved By TA '7' = Cancelled By TA

Position	Length	Format	Field Name	Field Description
				'8' = Rejected
				When Data Type = 'S'
				'0' = In Transfer
				'1' = Out Transfer
				'2' = Trouble Shooting
				'3' = In House
41	12	Character	CUSIP	CUSIP Number
53	2	Character	Transaction Type	Type of Transaction
				When Data Type = 'D':
				'09' = DRS Deposit
				'10' = Sale
				'11' = Front-End WT Reversals
				'12' = Cancel Sale
				When Data Type = 'W':
				'37' = DWAC Deposit
				'21 = DWAC Withdrawal
				When Data Type = 'S':
				Set based upon the SCL Activity (Bytes 5-7 of the SCL Number) See Appendix 4.1 for values/meanings
55	8	Character	Contra Party	Sending/Receiving Client (Participant) ID
63	36	Character	Reference ID	Reference ID supplied by the client
99	12	Numeric	Quantity – Whole	Whole Shares
111	5	Numeric	Quantity – Fractional	Fractional Shares
116	8	Character	Time	Last update time on the current day for the given transaction in HH:MM:SS format
124	13	Character	SCL ID Number	SCL Identifier. Populated when Data Type = 'S'
137	2	Character	SCL Page Number	SCL Page Number. Populated when Data Type = 'S'
139	2	Character	SCL Line Number	SCL Line Number. Populated when Data Type = 'S'
141	13	Character	DRS Transaction ID	DRS Transaction Number. Populated when Data Type = 'D'

Position	Length	Format	Field Name	Field Description
154	2	Character	Reject Code	DRS Reject Code. Populated when Data Type = 'D' (DRS Profiles) '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/SSI Num Does Not Match Agent's Records '12' = Agent Does Not Have an Existing Account on File '13' = Non-Billable Reject '99' = Other
156	100	Character	Comments	Transfer Agent or Participant comments associated with the transaction For the Transaction type '10', '11', and '12', the comments field will contain two fields: • Customer SSN ID • Customer Registration Line 1 Text The two fields will be separated by a semicolon.
256	10	Character	TA Signon ID	User signon at Transfer Agent affecting most recent manual update to the transaction

4. APPENDICES

4.1 Transaction Types for STP Data

Descriptions for the Transaction Types for STP Data (Data Type 'S') are listed below. The setting of the Transaction Type is based upon the value in bytes 5-7 of the SCL Number referred here as the SCL Activity.

4.1.1 Transaction Types for Data Type 'S' (position 53-54)

SCL Activity	Description	Transaction Type
002	Record date Legal Deposit	30
003	Record Date Deposit	30
004	Branch Record Date Legal Deposit	30
005	Branch Record Date Deposit	30
100	Special Deposit	30
102	Legal Deposit	30
103	Regular Deposit	30
107	Restricted Deposit	30
108	Underwriting Deposit	03
143	Regular WT	80
145	Special WT	80
173	FAST Drawdown	04
174	Rush FAST Drawdown	04
175	Reorg Conversion Drawdown	04
176	Warrant FAST Drawdown	04
177	Warrant FAST Payment	04
183	FAST Add-To-Balance	03
184	Dividend FAST Add-to-Balance	03
188	Special Inventory for FAST Issues	03
193	Initial FAST Balance	03
202	Legal Mandatory Reorg Deposit	30
206	CMOP FAST Deposit	30
243	Rush WT	80

SCL Activity	Description	Transaction Type
274	FAST Drawdown for Redemptions (Cash)	04
384	Reorg Deposit Partial Redemption - FAST	04
444	Custody Rush WT - Free to Custody	80
543	Rush WT - Custody to Custody	80
544	Merrill Rush WT - Custody to Custody	80
605	Merrill Custody Reorg Deposit - Partial Call	30
606	Merrill Custody Reorg Deposit - Mandatory Exchange	30
607	RDS Restricted Deposit	30
643	Custody WT	80
644	Merrill Custody WT	80
655	Registered Muni Partial Call - NDFS	30
703	Custody-to-Free Deposit	30
704	Merrill Custody-to-Free Deposit	30
743	Custody WT - Free to Custody	80
744	Merrill Custody WT - Free to Custody	80
802	Special Legal Deposit Record Date	30
803	Mandatory Reorg Deposit > 3 years	30
804	Merrill Custody Restricted Deposit	30
843	DRS WT	80
844	Merrill Custody Restricted WT - Custody to Custody	80
883	Mandatory Reorg - FAST	30
944	Merrill Custody Rush WT - Free-to-Custody	80

5. RELEASE NOTES

This is the document history reflecting changes to the file.

07/06/2022	In position 40, DTFTAP Data Record Field Description, added Status of Transaction values for (DRS Profiles) and (DRS DO).
05/02/2022	In position 39, Data Type field, added value for SCL Transfer. In position 53, Transaction Type field, added values for Sale, Front-End WT Reversals, and Cancel Sale. In position 156, added two comments fields (Customer SSN ID and Customer Registration Line 1 Text) separated by a semicolon that are for Transaction Types 10, 11, and 12. In position 141, changed field name from DRS Profile to DRS Transaction ID.
03/10/2020	Made small text edits, corrected pagination, and reformatted.
12/06/2019	Created document. Used for Transfer Agent transaction reconciliation in the event of a Disaster Recovery.

FOR MORE INFORMATION

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http://www.dtcc.com/client-center