



CCF/CCF-II/MDH Transmission Guides

17.07 AMT5: Custody CUSIP Certificate Batch Inquiry Input - Same Day Reply Function User's Guide



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Document History:

8/99 - Added the word "CUSIP" to the cover page. Section 1.1: changed "Same Day Custody Certificate Batch Inquiry - Output" to "Custody CUSIP Certificate Batch Inquiry Output - Same Day Reply."
Section 2.3: Added 6 rows to end of table.



17.07 AMT5: Function User's Guide

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1.0 Introduction

In supporting the DTC Custody Services, DTC has implemented a CCF/CCF-II Function AMT5 which provides a Participant with the capability to submit a Custody CUSIP Certificate/Registration Inquiry, up to 30 days in the past, into the DTC AIM Certificate Database and get back the information the same day. At the end of day, the reply back will contain all the Certificate/Registration information for a given CUSIP that DTC is holding in Custody, for that Participant, for the requested day.

Upon receiving the inquiry prior to cutoff, DTC will data capture the requests, process them as one batch at cutoff time and generate one consolidated output file per Participant, containing all the Certificate/Registration detail records resulting from the different queries. This document describes the use of this CCF/CCF-II function, the input data structure and the error codes associated with the batch inquiry processing.

1.1 Description of Service

When using this function, the Participant will generate and submit, via the CCF/CCF-II file transmission facility, one record per every CUSIP/As-of-Date for every inquiry. Once the request passes the ICM security checking, the participant number, CUSIP number, and the As-of-Date field will be edited (current and future dates will be edited and rejected). Should errors occur in the editing, a 40-byte error message will be generated and passed back to the User. If editing is successful, the record will be data-captured and processed at the scheduled time. Please note, DTC will return the appropriate Certificate/Registration information for those certificates it was holding at the close-of-business of the date contained in the As-of-Date field.

After completion of processing, a consolidated output file containing all the query detail records will be available same day for participant to pick up through the CCF/DTF file transmission protocol. Please see document *Custody CUSIP Certificate Batch Inquiry Output - Same Day Reply* for file layout and processing. Participants should familiarize themselves with the DTC document Interface Control Management CCF, CCF-II and MDH User's Guide for transaction input. This ICM document describes standards for transaction processing - using DTC's automated systems. Specifics relating to the operation, error processing and recovery for CCF, CCF-II and MDH transmissions are addressed in the ICM document.

Users who communicate with DTC via CCF-II (NDM, RJE or SNA/RJE) should read the appropriate CCF-II System User Guide. Users who communicate with DTC via CCFUSER software should read the CCF User Guide before reading this document.



1.2 Cutoff Times

The function name and cutoff times associated with this CCF/CCF-II ICM interface are:

CCF - AMT5 - available between 8 a.m. and 12 noon (Eastern Time).

CCF-II-AMT5 - available between 8 a.m. and 12 noon (Eastern Time).

The function will be available every day that DTC is open for business.



2.0 Custody CUSIP Certificate Batch Inquiry Input for Same-Day Reply

2.1 Transaction Record Header

Transaction Header (1 of 1)				
Position	Length	Format	Field Name	Field Description
1	1	Character	Feedback Indicator	Used to indicate if any errors were encountered during processing. This field contains: “ ” - (Blank) on input. “?” - to indicate when this request is returned with error(s) and can not be processed by DTC. “*” - To indicate valid output response
2	1	Character	Production/ Test Indicator	Used to indicate whether the transaction is to be processed in the “Test” or “Production” environment. This is a required field. T = Test P = Production
3	6	Character	Record Type	Used to indicate the type of data to be processed - refer to the individual application User Guide for the record name. This is a required field. AIMCBI = Batch Inquiry Input.
9	2	Numeric	Record Suffix	Used to indicate the “Record #” on a single and multiple data records within a transaction. Default is “01” in this application.
11	2	Numeric	Version Number	Used to indicate which version (Latest or Previous format) the data is in. Default is “01”.
13	6	Character	User Reference Number	Used by transmitting party to uniquely identify the transaction (optional). N/A to this application.
19	8	Character	Addressee	The entity on behalf of whom the transaction is processed. Right aligned; left zero filled.



2.2 Input Inquiry Record

Input Inquiry Record				
Position	Length	Format	Field Name	Field Description
27	12	Character	CUSIP ID	Required: International CUSIP ID. Format = (00 1-9 S&P CUSIP 0).
39	8	Numeric	Request As Of Date	Query request As-of-Date (ccymmdd). Should contain current date minus 1 to current date minus 29.
47	54	Character	Filler	DTC use only; do not use.



2.3 Error Message Description

Field Id	Error Code	Field Description	Error Code Description
AAAB	9AAA	Transaction Header Record Type	Invalid.
AAAB	9AAN	Transaction Header - Record Type	Not eligible for processing.
AAAB	9ABE	Transaction Header Record Type	Required.
AAAH	9AAL	Transaction Primary Participant	Past Cutoff Time.
AAAH	9AAM	Transaction Primary Participant	Not available.
AAAI	9AAA	Transaction Header - Production/ Test Indicator	Invalid.
AAAI	9ABE	Transaction Header Record Type Test/Prod indicator	Required.
AZZZ	IABZ	Transaction data record	Database busy. Please try later.
BAAH	9AAA	Request As-Of Date	Invalid format.
BAAH	9AAE	Request As-Of Date	Invalid data.
BAAH	9AAF	Request As-Of Date	Non-numeric data.
BAAH	9ABE	Request As-Of Date	Required.
BAAH	9ABL	Request As-Of Date	Greater than current date.
BAAH	9AEI	Request As-Of Date	Equal to current date.
CAAY	9AAA	Participant ID	Invalid.
CAAY	9AAT	Participant ID	Not on master table.
CAAY	9ABE	Participant ID	Required.
CAAY	IACA	Participant ID	A fatal database error has occurred, contact software support.
GAAA	9AAA	CUSIP Number	Invalid.
GAAA	9AA1	CUSIP Number	Invalid check digit.
GAAA	9ABB	CUSIP Number	Not found.
GAAA	9ABE	CUSIP Number	Required.

