



## CF2/MQ Transmission Guides

### **07.08 BRANCH DEPOSIT SYSTEM (BDS) / BDSERR Interface**

**Branch Deposit - Output Processing  
BDS/Custody – Messaging  
BDS/Custody – Non-messaging**

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## 1. Overview

The Branch Deposit System (BDS) and Custody systems are DTC services that enable a participants’ branch to send deposit items to the DTC system for processing without having to route them from the participants’ main office.

After receiving deposits, DTC performs the following functions:

- Examines images and processes all deposits.
- Send status reports on all activities during a particular day.
- Routes completed items as directed by the participant.
- Holds incomplete items as until necessary additional item(s) are met.

Most eligible securities are routed to DTC’s normal deposit process. Ineligible securities or customer-name custody positions for eligible securities are routed as directed by the Participant branch.

During the day, any exceptional reporting to the Participant branch is processed via this function. Error and informational messages are placed in each Participant’s assigned mailbox, which can be accessed as often as needed. Messages are kept in the mailbox for up to three days. Participants are consequently responsible for keeping track of messages received.

The Custody Services include the safekeeping and processing of Deposits, Withdrawals, Transfers, and other functions for securities that are not eligible for full DTC depository services – for example, restricted securities. The messaging protocol allows for the immediate interaction with the participant as the errors associated with the transactions are sent back to the participant, and it allows the participant to correct or respond to the errors with a new set of data. The process of sending a transaction through the messaging protocol is labeled a “route”. For deposit transactions, the editing errors could be fixed with another transaction (re-route) that is linked to the original transaction. For all other Custody transactions (ex. CODs, Transfers, etc.), re-routes are not allowed. In these cases, to correct a previous transaction containing errors, a new route of that transaction will have to be transmitted.

This document describes the messages DTC responds back with to the participant.

## 1.1 Objectives of This Chapter

The objectives of this chapter are to give information about:

- The Branch Deposit System (BDS) and Custody Service (CUS)
- The separate file formats DTC sends back to the participant - for both MESSAGING and NON-MESSAGING participants.

## 1.2 Transmitting Transactions from DTC

This document describes DTC’s BDSERR function, used to electronically populate participant mailboxes with BDS transaction information, including deposit acknowledgement and discrepancy information. Participants should contact the PIP team for access at the support number 1-888-382-2721, option 5;3 or email at [PIPRequests@DTC.com](mailto:PIPRequests@DTC.com).

**The transmission time is from 06:30-19:00 (Eastern Time). \***

**\*Contact your relationship manager for the physical processing guidelines for BDS/CUS.**

## 2. BDS/Custody Transmission (Output) - MESSAGING

The BDSERR Function consists of seven different types of records for BDS/Custody messaging. These records are sent to the participant in response to the BDS1/5 input function received by DTC from the participant. **The MDS Prefix Segment and Transaction Header Segment are always attached to each record (prefix).** The Data records contain the specific transaction data types as noted in the below section. The MDS record is used for transmission purposes and is for DTC use only – it is not present once transmitted.

Allows for:

- BDS/CUS non-messaging discrepancies/errors are transmitted to participants using the BDSERR function via the message delivery protocol.
- Error responses for BDS/CUS messaging are processed intraday using this same function (BDS1/5) by way of re-routes.

### 2.1 BDS/Custody Transmission File Record Types (MESSAGING)

1. **Message Transaction Header Record Layout (Type 70)** identifies the main record and is included with all messages sent.
2. **Message Certificate Record Layout (Type 71)** identifies the detailed certificate information that is attached to the main record, if applicable.
3. **Message Document Record Layout (Type 72)** identifies the detailed document information that is attached to the main record, if applicable.
4. **Custody Transaction Record Layout (Type 74)** identifies the custody transaction record main fields.
5. **Custody Certificate Record Layout (Type 75)** identifies the custody detailed certificate information that is attached to a transaction, if applicable.
6. **Custody Document Record Layout (Type 76)** identifies the custody detailed document information that is attached to a transaction, if applicable.
7. **Custody Transfer Record Layout (Type 78)** identifies the custody detailed transfer information for the transfer transaction, if applicable.

## 2.2 MDS Prefix Segment (For DTC use Only; must be attached to each record)

| Position | Field Size | Field Name     | Comments   |
|----------|------------|----------------|--|
| 1        | X(1)       | Filler         | For future use   |
| 2        | X(1)       | Message Flag   | 'O' = Current day message<br>'R' = Current day reprint<br>'U' = Current day message requested out of sequence<br>'Y' = Prior day message |
| 3        | X(1)       | Filler         | For future use   |
| 4        | X(10)      | Destination ID | Identifies the message this queue message was retrieved from. It is composed of the 8-character User Signon and 2-character Destination  |
| 14       | X(1)       | Filler         | For future use   |
| 15       | 9(6)       | Message Number | Contains a unique message sequence number assigned by DTC's Message Delivery System  |



## 2.3 Transaction Header Segment (must be attached to each record)

| Position | Field Size | Field Name                | Comments  |
|----------|------------|---------------------------|---|
| 1        | X(1)       | Feedback Indicator        | Spaces  |
| 2        | X(1)       | Production/Test Indicator | P = Production<br>T = Test  |
| 3        | X(6)       | Record Type               | 'BDSERR' Function Name  |
| 9        | 9(2)       | Record Suffix             | Denotes Record Type Suffix – Value '01'                                     |
| 11       | 9(2)       | Version Number            | Denotes Version of Record Type – Value '01'                                 |
| 13       | X(6)       | Filler                    | For Future Use  |
| 19       | X(8)       | Addressee                 | The entity on behalf of whom the transaction is being processed (Client Id) |

## 2.4 Message Transaction Record Layout (BDS and Custody) – Type 70

| Position | Field Size    | Field Name                | Comments   |
|----------|---------------|---------------------------|--|
| 27       | 9(2)          | Record Type               | <b>Message Transaction Record Value = '70'</b>   |
| 29       | X(8)          | Part Number               | Participant Number   |
| 37       | X(16)         | Transaction Number        | Transaction key to be processed. Left justified, space filled.   |
| 53       | X(2)          | CUSIP Identifier          | Value '00'   |
| 55       | X(9)          | CUSIP Number              | 9-digit CUSIP Number   |
| 64       | X(1)          | International Check Digit | Value '0'  |
| 65       | X(8)          | Date                      | Date of Original Route (CCYYMMDD)  |
| 73       | X(8)          | Time                      | Time of Original Route   |
| 81       | 9(8)          | Route Number              | Number to Identify Original Route  |
| 89       | 9(4)          | Msg Category              | Main Message Category (refer to section 2.11 Message Numbers and Categories for BDS/Custody - MESSAGING) |
| 93       | 9(4)          | Msg Number                | Detailed Number Denoting Status of Route (refer to Appendix II and III for Message Numbers)              |
| 97       | X(120)        | Msg Reason                | Comments and Text  |
| 217      | 9(2)          | Msg Seq Number            | Error Message Sequence Number  |
| 219      | X(8)          | Aging Msg Date            | Date Aging Message was Posted (CCYYMMDD)   |
| 227      | X(8)          | Date To Agent             | Date item was Resubmitted to Agent (CCYYMMDD)  |
| 235      | X(8)          | Agent Confirm Date        | Date item was received from Agent (CCYYMMDD)   |
| 243      | 9(3)V<br>9(2) | TA Fee                    | TA Fee for Transfer  |
| 248      | X(20)         | Sender                    | Name and Telephone of sender   |
| 268      | 9(13)         | Total Qty (whole)         | Share Quantity (whole)   |
| 281      | 9(5)          | Frac Qty                  | Share Quantity (fraction)<br>Implied Decimal: i.e., ½ = 50000  |
| 286      | 9(2)          | Filler                    | Value 00   |

| Position | Field Size | Field Name                | Comments   |
|----------|------------|---------------------------|--|
| 288      | 9(3)       | Num Certs                 | Number of certificates   |
| 291      | X(12)      | Image Index               | Index used to retrieve images  |
| 303      | X(1)       | Expedite Indicator        | Values ‘A’ or space  |
| 304      | X(8)       | Ta Number                 | Restricted Issues  |
| 312      | X(16)      | Airbill Number            | Airbill Number   |
| 328      | X(16)      | Winder Ticket Number      | Window Ticket Number   |
| 344      | 9(13)      | Deposit Total Qty (whole) | Total Share Quantity of Deposit (whole - physical)                     |
| 357      | 9(5)       | Deposit Frac Qty          | Frac Share Quantity of Deposit (physical)                              |
| 362      | X(2)       | CUSIP Identifier          | Value ‘00’   |
| 364      | X(9)       | Deposit CUSIP             | 9-digit CUSIP number of Deposit (physical)                             |
| 373      | X(1)       | International Check Digit | Value ‘0’  |
| 374      | X(35)      | Name                      | Name of person entering discrepancy                                    |
| 409      | X(10)      | Telephone                 | Telephone number of person entering discrepancy (BDS)                  |
| 419      | X(2)       | Reorg Indicator           | Type of Reorganization (BDS)   |
| 421      | X(8)       | Filler                    | For future use   |
| 429      | X(1)       | Eligibility Indicator     | Custody eligibility only<br>‘Y’ = Yes<br>‘N’ = No                      |
| 430      | X(67)      | Filler                    | For future use   |
| 497      | X(1)       | End Route Indicator       | End of Route Indicator<br>‘ ’ = Not end of route<br>‘E’ = End of route |

**2.5 Message Certificate Record Layout (BDS and Custody) – Type 71**

| Position | Field Size | Field Name                     | Comments   |
|----------|------------|--------------------------------|--|
| 27       | 9(2)       | Record Type                    | <b>Certificate Record Value = ‘71’</b>   |
| 29       | X(8)       | Part Number                    | Participant Number   |
| 37       | X(16)      | Transaction Number             | Transaction key to be processed. Left justified, space filled.                           |
| 53       | X(12)      | Certificate Number             | Certificate Number   |
| 65       | 9(13)      | Certificate Qty (whole)        | Certificate Quantity (whole)   |
| 78       | 9(5)       | Certificate Qty (frac)         | Certificate Quantity (frac)  |
| 83       | 9(2)       | FILLER                         | Value 00   |
| 85       | X(8)       | Issue Date                     | Date of Issue  |
| 93       | X(210)     | Registration                   | Certificate Registration:<br>6 lines of registration, 35 bytes per line                  |
| 303      | X(2)       | CUSIP Identifier               | Value ‘00’   |
| 305      | X(9)       | CUSIP Number                   | 9-digit CUSIP Number   |
| 314      | X(1)       | International Check Digit      | Value ‘0’  |
| 315      | X(8)       | Next Coupon Date               | Coupon date on the certificate (CCYYMMDD)  |
| 323      | X(12)      | Participant Certificate Number | Certificate number on expectancy file  |
| 335      | 9(13)      | Participant Qty (whole)        | Certificate quantity on the expectancy file (whole)                                      |
| 348      | 9(5)       | Participant Qty (frac)         | Certificate quantity on the expectancy file (fraction)<br>Implied decimal: i.e., 2=50000 |
| 353      | X(20)      | Participant Account Number     | Participant Account Number   |
| 373      | X(124)     | Filler                         | For future use   |
| 497      | X(1)       | End Route Indicator            | End of Route Indicator<br>‘ ’ = Not end of route<br>‘E’ = End of route                   |

## 2.6 Message Document Record Layout (BDS Only) – Type 79

| Position | Field Size | Field Name                 | Comments  |
|----------|------------|----------------------------|---|
| 27       | 9(2)       | Record Type                | <b>Document Record Value = ‘79’</b>   |
| 29       | X(8)       | Part Number                | Participant Number  |
| 37       | X(16)      | Transaction Number         | Transaction Key to be processed. Left justified, space filled.  |
| 53       | X(16)      | Primary Transaction Number | Original Transaction Key this secondary item is related to. Left justified, space filled. <b>Required for T-Docs and Splits</b> |
| 69       | X(20)      | Cust Acct                  | Customer Account Number. Left justified, space filled.  |
| 89       | X(2)       | CUSIP Identifier           | Value ‘00’  |
| 91       | X(9)       | CUSIP Number               | 9-digit CUSIP Number  |
| 100      | X(1)       | International Check Digit  | Value ‘0’   |
| 101      | 9(3)       | Document Seq Number        | Sequence number to identify the document  |
| 104      | 9(3)       | Document Type              | Number to identify type of document   |
| 107      | 9(8)       | Document Expiration Date   | Expiration date for this document   |
| 115      | X(2)       | State Code                 | State Code, i.e., NY  |
| 117      | X(380)     | Filler                     | For future use.   |
| 497      | X(1)       | End Route Indicator        | End of Route Indicator<br>‘ ’ = Not end of route<br>‘E’ = End of route  |

## 2.7 Custody Transaction Record Layout (Custody Only) – Type 74

| Position | Field Size | Field Name                 | Comments   |
|----------|------------|----------------------------|--|
| 27       | 9(2)       | Record Type                | <b>Header Record<br/>Value = '74'</b>  |
| 29       | X(8)       | Part Number                | Participant Number   |
| 37       | X(16)      | Transaction Number         | Transaction key to be processed. Left justified, space filled.                   |
| 53       | X(16)      | Primary Transaction Number | Original Transaction Key. This secondary item is related to (Trailing Document). |
| 69       | X(20)      | Customer Account           | Customer account number. Left justified, space filled.                           |
| 89       | X(2)       | CUSIP Identifier           | Value '00'   |
| 91       | X(9)       | CUSIP Number               | 9-digit CUSIP Number   |
| 100      | X(1)       | International Check Digit  | Value '0'  |
| 101      | X(8)       | Date                       | Date message was sent (CCYYMMDD).  |
| 109      | X(8)       | Time                       | Time message was sent  |
| 117      | 9(8)       | Route Number               | Route Number   |
| 125      | X(210)     | Account Stencil            | Account name and address. 6 lines, 35 bytes per line.                            |
| 335      | 9(3)       | Num Certs                  | Number of certificates   |
| 338      | 9(3)       | Num Docs                   | Number of documents  |
| 341      | 9(13)      | Total Quantity             | Number of shares (whole)   |
| 354      | 9( 5)      | Frac Qty                   | Number of shares (fraction)<br>Implied decimal (i.e.: ½ = 50000)                 |
| 359      | 9(2)       | FILLER                     | Value 00   |
| 361      | X(1)       | Change Status              | Flag to indicate processing status<br>'D' = DTC Automatic Route Message          |
| 362      | X(2)       | FILLER                     | For future use   |
| 364      | X(7)       | Origination Box            | Box Location this item should be routed from.<br>Left justified, space filled    |
| 371      | X(7)       | Destination Box            | Box Location this item should be routed to.<br>Left justified, space filled.     |
| 378      | 9(2)       | Number of Reorg Transfers  | Number of Reorg Transfers  |
| 380      | X(117)     | Filler                     | For future use   |
| 497      | X(1)       | End Route Indicator        | End of Route Indicator<br>' ' = Not end of route<br>'E' = End of route           |

## 2.8 Custody Certificate Record Layout (Custody Only) – Type 75

| Position | Field Size | Field Name                 | Comments  |
|----------|------------|----------------------------|---|
| 27       | 9(2)       | Record Type                | <b>Certificate Record Value = '75'</b>  |
| 29       | X(8)       | Part Number                | Participant Number  |
| 37       | X(16)      | Transaction Number         | Transaction key to be processed.<br>Left justified, space filled.                                   |
| 53       | X(16)      | Primary Transaction Number | Original Transaction Key this secondary item is related to.<br>Left justified, space filled.        |
| 69       | X(20)      | Cust Acct                  | Customer Account Number.<br>Left justified, space filled  |
| 89       | X(2)       | CUSIP Identifier           | Value '00'  |
| 91       | X(9)       | CUSIP Number               | 9-digit CUSIP Number  |
| 100      | X(1)       | International Check Digit  | Value '0'   |
| 101      | X(12)      | Certificate Number         | Certificate Number<br>Right justified, left zero filled   |
| 113      | 9(13)      | Certificate Denom (whole)  | Certificate Denomination (whole)  |
| 126      | 9(5)       | Certificate Denom (frac)   | Certificate Denomination (fraction)<br>Implied decimal (i.e.: ½ = 50000)                            |
| 131      | 9(2)       | Filler                     | Value 00.   |
| 133      | 9(8)       | Certificate Issue Date     | Issue Date of the certificate (CCYYMMDD)  |
| 141      | 9(8)       | Next Coupon Date           | Date of Next Coupon (CCYYMMDD)  |
| 149      | X(1)       | Restricted Indicator       | Restricted or Not Restricted:<br>'1' = Restricted   |
| 150      | 9(8)       | Restricted Expiration Date | Date of Expiration for Restricted Certificate (CCYYMMDD)  |
| 158      | X(1)       | Registration Type          | Customer/Firm/FBO<br>'C' = Customer<br>'F' = Firm<br>'B' = FBO<br>'T' = Third Party<br>'X' = Bearer |
| 159      | X(1)       | Bearer/Reg Ind             | Bearer or Registered:<br>'B' = Bearer<br>'R' = Registered   |
| 160      | X(35)      | Registration Line 1        | Registration Line 1   |

| Position | Field Size | Field Name          | Comments  |
|----------|------------|---------------------|---|
| 195      | X(35)      | Registration Line 2 | Registration Line 2   |
| 230      | X(35)      | Registration Line 3 | Registration Line 3   |
| 265      | X(35)      | Registration Line 4 | Registration Line 4   |
| 300      | X(35)      | Registration Line 5 | Registration Line 5   |
| 335      | X(35)      | Registration Line 6 | Registration Line 6   |
| 370      | X(40)      | User Ref Number     | Free form Comments  |
| 410      | X(87)      | FILLER              | For future use  |
| 497      | X(1)       | End Route Indicator | End of Route Indicator:<br>' ' = Not end of route<br>'E' = End of route |



## 2.9 Custody Document Record Layout (Custody Only) – Type 76

| Position | Field Size | Field Name                 | Comments  |
|----------|------------|----------------------------|---|
| 27       | 9(2)       | Record Type                | <b>Document Record Value = ‘76’</b>   |
| 29       | X(8)       | Part Number                | Participant Number  |
| 37       | X(16)      | Transaction Number         | Transaction Key to be processed. Left justified, space filled.  |
| 53       | X(16)      | Primary Transaction Number | Original Transaction Key this secondary item is related to. Left justified, space filled. <b>Required for T-Docs and Splits</b> |
| 69       | X(20)      | Cust Acct                  | Customer Account Number. Left justified, space filled.  |
| 89       | X(2)       | CUSIP Identifier           | Value ‘00’  |
| 91       | X(9)       | CUSIP Number               | 9-digit CUSIP Number  |
| 100      | X(1)       | International Check Digit  | Value ‘0’   |
| 101      | 9(3)       | Document Seq Number        | Sequence number to identify the document  |
| 104      | 9(3)       | Document Type              | Number to identify type of document   |
| 107      | 9(8)       | Document Expiration Date   | Expiration date for this document (CCYYMMDD)  |
| 115      | X(1)       | Document Status            | Status of the document<br>‘A’ = Attached<br>‘M’ = Missing   |
| 116      | X(1)       | Document Requirement       | Document Requirement<br>‘A’ = Add document<br>‘D’ = Update Trailing Document<br>‘N’ = Original Trailing Document                |
| 117      | X(380)     | Filler                     | For future use.   |
| 497      | X(1)       | End Route Indicator        | End of Route Indicator<br>‘ ’ = Not end of route<br>‘E’ = End of route  |

## 2.10 Custody Transfer Record Layout (Custody Only) – Type 78

| Position | Field Size | Field Name                 | Comments  |
|----------|------------|----------------------------|---|
| 27       | 9(2)       | Record Type                | <b>Transfer Record Value = ‘78’</b>   |
| 29       | X(8)       | Part Number                | Participant Number  |
| 37       | X(16)      | Transaction Number         | Transaction Key to be processed. Left justified, space filled.  |
| 53       | X(16)      | Primary Transaction Number | Original Transaction Key this secondary item is related to. Left justified, space filled. <b>Required for T-Docs and Splits</b> |
| 69       | X(20)      | Cust Acct                  | Customer Account Number. Left justified, space filled.  |
| 89       | X(2)       | CUSIP Identifier           | Value ‘00’  |
| 91       | X(9)       | CUSIP Number               | 9-digit CUSIP Number  |
| 100      | X(1)       | International Check Digit  | Value ‘0’   |
| 101      | 9(3)       | Transfer Seq Number        | Sequence number for this registration   |
| 104      | 9(3)       | Filler                     | For future use  |
| 107      | 9(13)      | Transfer Quantity (whole)  | Share quantity to be transferred (whole)  |
| 120      | 9(5)       | Transfer Quantity (frac)   | Share quantity to be transferred (fraction) Implied decimal (i.e.: ½ = 50000)   |
| 125      | 9(2)       | Filler                     | Value 00.   |
| 127      | X(1)       | Filler                     | For future use.   |
| 128      | X(35)      | Transfer Registration 1    | Name for this registration – Line 1   |
| 163      | X(35)      | Transfer Registration 2    | Address for this registration – Line 2  |
| 198      | X(35)      | Transfer Registration 3    | Address for this registration – Line 3  |
| 233      | X(35)      | Transfer Registration 4    | Address for this registration – Line 4  |
| 268      | X(35)      | Transfer Registration 5    | Address for this registration – Line 5  |
| 303      | X(35)      | Transfer Registration 6    | Address for this registration – Line 6  |

| Position | Field Size     | Field Name                    | Comments   |
|----------|----------------|-------------------------------|--|
| 338      | X(10)          | Tax Id                        | Id number for registration   |
| 348      | X(1)           | Direct Reinvestment Indicator | UIT Reinvest Type  |
| 350      | X(1)           | Citizenship Indicator         | Citizenship Indicator<br>'0' = Yes<br>'1' = No                         |
| 351      | X(3)           | Dividend Code                 | Special processing only  |
| 354      | X(1)           | Beneficial Ind                | Special processing only  |
| 355      | 9(11)V<br>9(2) | Cash Amount                   | Cash amount  |
| 368      | X(129)         | Filler                        | For future use   |
| 497      | X(1)           | End Route Indicator           | End of Route Indicator<br>' ' = Not end of route<br>'E' = End of route |

## 2.11 Message Numbers and Categories for BDS/Custody - MESSAGING

This portion describes the message number and categories that DTC will send to our participants during the course of a transaction.

### Message Category Types

List of categories:

- ‘0040’ – Good route acknowledgment
- ‘0045’ – Quantity change acknowledgment
- ‘0046’ – CUSIP change acknowledgment
- ‘0047’ – Quantity and CUSIP change acknowledgement
- ‘0050’ – up-front rejects errors
- ‘0057’ – Mailing notification
- ‘0058’ – Transfer rejects
- ‘0059’ – Reorg Sweep 2 route
- ‘0060’ – TA aging
- ‘0070’ – TA delays
- ‘0080’ – TA rejects
- ‘0090’ – Out-Transfer return
- ‘0091’ – Reorg Out-Transfer return
- ‘0095’ – Lost certificates
- ‘0100’ – Depository Rejects
- ‘0110’ – DTC document add
- ‘0111’ – Participant document add
- ‘0130’ – Deposit with transfer Rejects
- ‘0160’ - Route Cancel
- ‘0300’ - Operational errors

| Msg. Category | Msg. Number | Description  | Record Types Returned |
|---------------|-------------|--|-----------------------|
| 0040          | 0000 *      | Successful   | 70                    |
| 0040          | 0001        | Restricted – An item placed in PERD will receive credit in the 22-250 SEG location.  | 70                    |
| 0040          | 0002        | Restricted – When an item is given credit directly from PERD, the 22-250 SEG location is debited, and the participant will receive credit in the 22-251 SEG location for sold shares and the 22-252 for unsold shares. | 70                    |
| 0040          | 9999        | Successful (Transfer)  | 70,71                 |

\*Reorg Branch Deposits to DTC Free are denoted by ‘RD’ in Reorg Indicator field position 419 record type ‘70’.

| Msg. Category | Msg. Number | Description                                    | Record Types Returned |
|---------------|-------------|--|-----------------------|
| 0045          | 0000        | Successful (Restricted, Reorg) Quantity Change | 70                    |

| Msg. Category | Msg. Number | Description                     | Record Types Returned |
|---------------|-------------|---------------------------------|-----------------------|
| 0046          | 0000        | Successful (Reorg) CUSIP Change | 70                    |

| Msg. Category | Msg. Number | Description                                | Record Types Returned |
|---------------|-------------|--|-----------------------|
| 0047          | 0000        | Successful (Reorg) CUSIP & Quantity Change | 70                    |

| Msg. Category | Msg. Number | Description   | Record Types Returned |
|---------------|-------------|---|-----------------------|
| 0050          | 0083        | Chilled for Deposits – Possible Reorg Envelope missing  | 70                    |
| 0050          | 0085        | Not elig for reroute  | 70                    |
| 0050          | 0086        | Reorg Red Light – see RIPS comments   | 70                    |
| 0050          | 0099*       | Comments are in the Appendices.   | 70                    |
| 0050          | 0901        | Restricted – An item that is reversed from credit will debit the 22-251 and/or the 22-252 SEG location, placed in ‘PEND’ status and will generate a ‘0050/0901’ message   | 70                    |
| 0050          | 0902        | Restricted – An item that is reversed out of PERD will be debited from the 22-250 SEG location, placed in ‘PEND’ status and will generate a ‘0050/0902’ message.  | 70                    |
| 0050          | 0903        | Restricted – An item that is rejected directly out of PERD will be debited from the 22-250 SEG location, placed in ‘PEND’ status and will generate a ‘0050/0903’ reject message with a brief description and a ‘0040/0000’ acknowledgement message will be sent to the participant. | 70                    |
| 0050          | 0904        | Restricted – If an item has been erroneously FRACed, it may be un-FRACed by the transfer agent within three business days. A ‘0050/0904’ message will be generated  | 70                    |

Select CUS and RDS messages are put in the 0050/0099 category and message numbers. See Appendix II and III for descriptions of free form text. \*

| Msg. Category | Msg. Number | Description                  | Record Types Returned |
|---------------|-------------|------------------------------|-----------------------|
| 0057          | 0001        | Item was mailed              | 70                    |
| 0057          | 0002        | Item Returned by Post Office | 70                    |



| Msg. Category | Msg. Number   | Description  | Record Types Returned |
|---------------|---------------|--|-----------------------|
| 0058          | 0001, *       | Reorganization Rejects   | 70                    |
| 0058          | 0000, 0099, * | Transfer Rejects   | 70                    |
| 0058          | 0500          | Date Of Trust Required   | 70                    |
| 0058          | 0501          | Incorrect/ Incomplete Stock Power                                      | 70                    |
| 0058          | 0502          | Release Power Of Attorney  | 70                    |
| 0058          | 0503          | Endorsement Incomplete   | 70                    |
| 0058          | 0504          | Endorsement Missing  | 70                    |
| 0058          | 0505          | Affidavit Of Domicile Of Stockholder At Time Of Death                  | 70                    |
| 0058          | 0506          | Legal Opinion Of Company Counsel                                       | 70                    |
| 0058          | 0507          | Assignment By TTEE(s)/ Exec(s)/ Admin(s)/ Guard(s) Req Sign GTY        | 70                    |
| 0058          | 0508          | Legal-Corporate Resolution Req/Dated Within 6 Months                   | 70                    |
| 0058          | 0509          | Legal-Certificate Of Appointment                                       | 70                    |
| 0058          | 0510          | Legal-Death Certificate Required                                       | 70                    |
| 0058          | 0511          | Legal-Certify Trustee  | 70                    |
| 0058          | 0512          | Citizenship Certification Required                                     | 70                    |
| 0058          | 0513          | Bearer-Missing/ Mutilated Coupons                                      | 70                    |
| 0058          | 0514          | Stop Transfer Of Certificate   | 70                    |
| 0058          | 0515          | State Legislative Status For Custodial Account                         | 70                    |
| 0058          | 0516          | Birth/Death Certificate Authenticated by An Auth Officer               | 70                    |
| 0058          | 0517          | Type Of Tenancy Missing/ Not Acceptable                                | 70                    |
| 0058          | 0518          | Certify Legal Given Name/Use of Initials                               | 70                    |
| 0058          | 0519          | Trust Agreement Dated and Certified Within 90 Days of Receipt Required | 70                    |

| Msg. Category | Msg. Number | Description   | Record Types Returned |
|---------------|-------------|---|-----------------------|
| 0058          | 0520        | Certificate(s) Escheat To State                           | 70                    |
| 0058          | 0521        | Certificate Reported Lost & Replaced                      | 70                    |
| 0058          | 0522        | Certified Tax I/D Number Required                         | 70                    |
| 0058          | 0523        | Copy Of PWR Of Atty Certified W/Sign GTFF Medallion Stamp | 70                    |
| 0058          | 0524        | Fractional Share Issuance Not Accepted by TA              | 70                    |
| 0058          | 0525        | Court Certified Copy Of Court Order Aut. Sale or Distrib  | 70                    |
| 0058          | 0526        | Court Certifies DTD Within 60 Days Evid Appt Of Fiduciary | 70                    |
| 0058          | 0527        | Declaration Of Transmission                               | 70                    |
| 0058          | 0528        | Eligible In Bearer Form Only                              | 70                    |
| 0058          | 0529        | Endorsement By Registered Holder(s)                       | 70                    |
| 0058          | 0530        | Inheritance Tax Waiver                                    | 70                    |
| 0058          | 0531        | Legal-Date Of Trust Required                              | 70                    |
| 0058          | 0532        | Minimum Denomination Required                             | 70                    |
| 0058          | 0533        | Participant Request For Reject                            | 70                    |
| 0058          | 0534        | Clarify Name Of Trust                                     | 70                    |
| 0058          | 0535        | Registration Incomplete/ Missing                          | 70                    |
| 0058          | 0536        | Restricted Certificate(s)                                 | 70                    |
| 0058          | 0537        | Stock/Bond Power Misplaced/Replace and Re-Deposit         | 70                    |
| 0058          | 0538        | Bankrupt  | 70                    |
| 0058          | 0539        | No Shareholder Equity                                     | 70                    |
| 0058          | 0540        | New Stock (Entitlement)                                   | 70                    |
| 0058          | 0541        | Certificate(s) Confiscated                                | 70                    |
| 0058          | 0599        | Other   | 70                    |

\*Message Number in this case represents reject code

*Note:* Refer to message text (free form) for reject detail

| Msg. Category | Msg. Number | Description  | Record Types Returned |
|---------------|-------------|--|-----------------------|
| 0059          | 0001        | DTC Initiated Routes For Reorganization Sweep.<br>Sweep 2: Route to Reorg Agent. | 70,74,75,76,78        |

| Msg. Category | Msg. Number | Description | Record Types Returned |
|---------------|-------------|-------------|-----------------------|
| 0060          | 0000        | Free Form   | 70                    |
| 0060          | 0099        | Free Form   | 70                    |

### Restricted

*Note:* Aging items can generate various messages with a '0060/xxxx', depending on the reason.

| Msg. Category | Msg. Number | Description              | Record Types Returned |
|---------------|-------------|--------------------------|-----------------------|
| 0070          | 0000        | Items re-submitted to TA | 70                    |
| 0070          | 0099        | Free Form                | 70                    |

| Msg. Category | Msg. Number | Description | Record Types Returned |
|---------------|-------------|-------------|-----------------------|
| 0080          | 0000        | Free form   | 70                    |
| 0080          | 0599        | Other       | 70                    |

### Restricted

*Note:* Transfer agent rejects are deposited back to a Custody vault location. A '0080/xxxx' message will be generated based on reason for reject.

| Msg. Category | Msg. Number | Description                                    | Record Types Returned |
|---------------|-------------|--|-----------------------|
| 0090          | 0001        | Item Successfully Completed Transfer (Custody) | 70                    |

| Msg. Category | Msg. Number | Description   | Record Types Returned |
|---------------|-------------|---|-----------------------|
| 0091          | 0001        | Reorg Deposit Successfully Completed Transfer   | 70                    |
| 0091          | 0002        | Conversion/Warrants Successfully Completed Transfer                                       | 70                    |
| 0091          | 0003        | Reorg Deposit Successfully Completed Transfer – Registration type change to CEDE          | 70                    |
| 0091          | 0004        | Reorg Deposit Successfully Completed Transfer – Registration type change to Firm Name     | 70                    |
| 0091          | 0005        | Reorg Deposit Successfully Completed Transfer – Registration type change to Customer Name | 70                    |

| Msg. Category | Msg. Number | Description                        | Record Types Returned |
|---------------|-------------|------------------------------------|-----------------------|
| 0095          | 0001        | Receipt of Replacement Certificate | 70                    |

| Msg. Category | Msg. Number | Description | Record Types Returned |
|---------------|-------------|-------------|-----------------------|
| 0100          | *           | *           | 70, 71, 74, 75, 76    |

\*All Depository Rejects Message Numbers will correspond to those in Message Category Type 0080

\* Limited use by specific client

| Msg. Category | Msg. Number | Description    | Record Types Returned |
|---------------|-------------|----------------|-----------------------|
| 0110          | 0000        | Added document | 70, 71, 76            |

| Msg. Category | Msg. Number | Description    | Record Types Returned |
|---------------|-------------|----------------|-----------------------|
| 0111          | 0000        | Added document | 70                    |

\*Limited use by specific client

| Msg. Category | Msg. Number | Description                     | Record Types Returned |
|---------------|-------------|---------------------------------|-----------------------|
| 0130          | 0000        | Automatic routes to participant | 70,74,75,76           |
| 0130          | 0500-0599   | Free form                       | 70, 74, 75            |

| Msg. Category | Msg. Number | Description  | Record Types Returned |
|---------------|-------------|--|-----------------------|
| 0199          | 0000        | These are automated routes initiated by DTC to Participants. Foreign securities returned as non-transferable | 70, 74, 75            |

| Msg. Category | Msg. Number | Description   | Record Types Returned |
|---------------|-------------|---|-----------------------|
| 0300          | 1001        | Item Received. Not Expected   | 70. 71. 79            |
| 0300          | 1002        | Item Not Received, But Expected                                     | 70. 71. 79            |
| 0300          | 1003        | ZZZs CUSIP  | 70. 71. 79            |
| 0300          | 1004        | New CUSIP Assigned  | 70. 71. 79            |
| 0300          | 1005        | CUSIP Assigned Different From Participant                           | 70. 71. 79            |
| 0300          | 1006        | BDS Cancel  | 70. 71. 79            |
| 0300          | 2003        | CUSIP Number Difference   | 70. 71. 79            |
| 0300          | 5001        | Restricted Legend On Physical But Receive Not Flagged As Restricted | 70. 71. 79            |
| 0300          | 5002        | Regulation “S”  | 70. 71. 79            |
| 0300          | 5003        | Registration Difference   | 70. 71. 79            |
| 0300          | 5007        | Certificate Missing Future Due Coupons                              | 70. 71. 79            |
| 0300          | 5008        | Certificates With Past Due Coupons Attached                         | 70. 71. 79            |
| 0300          | 5009        | Certificate Mixed Issues  | 70. 71. 79            |
| 0300          | 5016        | Certificate Cancelled   | 70. 71. 79            |
| 0300          | 5017        | Certificate Restricted (Legend Stamp)                               | 70. 71. 79            |
| 0300          | 5018        | Certificate Mutilated   | 70. 71. 79            |
| 0300          | 5019        | Coupon Mutilated  | 70. 71. 79            |
| 0300          | 5020        | Unverified Possible SIC Hit   | 70. 71. 79            |
| 0300          | 5021        | Mixed ADR Certificate (Multi TA)                                    | 70. 71. 79            |
| 0300          | 5022        | Verified Not SIC Hit  | 70. 71. 79            |
| 0300          | 5023        | Possible SIC Hit- FYI ONLY  | 70. 71. 79            |
| 0300          | 5024        | Missing Next Payable Coupon   | 70. 71. 79            |
| 0300          | 5025        | Certificate Over  | 70. 71. 79            |
| 0300          | 5029        | Denom Difference  | 70. 71. 79            |
| 0300          | 5030        | Certificate Over/Under  | 70. 71. 79            |
| 0300          | 5031        | Certificate Number Difference                                       | 70. 71. 79            |
| 0300          | 5032        | SCA Date Difference   | 70. 71. 79            |
| 0300          | 5034        | Issue/Dated Date Difference   | 70. 71. 79            |
| 0300          | 5035        | Certificate Stamped For   | 70. 71. 79            |



| Msg. Category | Msg. Number | Description   | Record Types Returned |
|---------------|-------------|---|-----------------------|
|               |             | Liquidation   |                       |
| 0300          | 5036        | Certificate Stopped   | 70, 71, 79            |
| 0300          | 5037        | Certificate Lost And Replaced   | 70, 71, 79            |
| 0300          | 5038        | Mixed Registration  | 70, 71, 79            |
| 0300          | 7001        | Document Required But Missing   | 70, 79                |
| 0300          | 7003        | Stock/Bond Power Under Assigned   | 70, 79                |
| 0300          | 7004        | Medallion Signature Guarantee Missing From Nominee Bank (Stock Power)   | 70, 79                |
| 0300          | 7006        | Photocopy Received, Original Required For- Birth/Death Certificate, Resolution, Inheritance Tax Waiver, Court Affidavit, Stock/Bond Power | 70, 79                |
| 0300          | 7008        | Resolution Does Not Authorize Sale Of Securities  | 70, 79                |
| 0300          | 7009        | Resolution & Assignment Cannot Be Endorsed By Same Officer  | 70, 79                |
| 0300          | 7010        | Document Incomplete   | 70, 79                |
| 0300          | 7012        | Certificate Of Incumbency Required  | 70, 79                |
| 0300          | 7014        | PWR Attorney Does Not Authorize Sale Of Securities  | 70, 79                |
| 0300          | 7016        | Seal Or Notary Missing  | 70, 79                |
| 0300          | 7019        | Copy Of Will Missing  | 70, 79                |
| 0300          | 7020        | Temp/Supervised Admin Court Order Authorizing Sale Missing  | 70, 79                |
| 0300          | 7021        | Blanket Inheritance Tax Waiver Unacceptable   | 70, 79                |
| 0300          | 7022        | Inheritance Tax Waiver Does Not Match Security  | 70, 79                |
| 0300          | 7023        | Incorrect Quantity On Inheritance Tax Waiver  | 70, 79                |
| 0300          | 7028        | Trailing Document Received Not For Original Deposit   | 70, 79                |
| 0300          | 7029        | Document Expected But Not   | 70, 79                |

| Msg. Category | Msg. Number | Description   | Record Types Returned |
|---------------|-------------|---|-----------------------|
|               |             | Received  |                       |
| 0300          | 7030        | Document Required From Different State                                  | 70, 79                |
| 0300          | 7033        | Document Altered  | 70, 79                |
| 0300          | 7035        | Acceptance Letter Required From Successor Custodian                     | 70, 79                |
| 0300          | 7050        | Stock/Bond Pwr Must Be Endorsed By Reg Holder                           | 70, 79                |
| 0300          | 7051        | Stock/Bond Pwr Must Be Endorsed By Trustee                              | 70, 79                |
| 0300          | 7070        | Document Received With Stock Not Indicated On Expectancy File           | 70, 79                |
| 0300          | 7071        | Additional Document Received For An Item In Legal Hold But Not Expected | 70, 79                |
| 0300          | 7072        | Document Received, Not Required   | 70, 79                |
| 0300          | 7073        | Document Expired  | 70, 79                |
| 0300          | 7074        | Endorsement Incomplete Or Insufficient                                  | 70, 79                |
| 0300          | 7075        | Expected. Not Received/Not Required                                     | 70, 79                |
| 0300          | 9999        | Other   | 70, 79                |

## 2.12 Appendix I Message Error Categories

Message category 300 reflects errors in branch deposit. There are 4 categories of errors:

1. 1001 – 1999 – errors that pertain to an entire deposit
2. 2001 – 2999 – errors related to a CUSIP
3. 5001 – 5999 – errors related to a specific certificate within a deposit
4. 7001 – 7999 – errors related to documents

## 2.13 Appendix II CUS Up-Front Error Messages - MESSAGING

This portion describes the Custody (CUS) up-front error messages. These will all be "Message Category = 0050" and "Message Number = 0099".

- 'Account number cannot be spaces'
- 'Certificate count/quantity does not equal the unit of work on AIM database'
- 'Certificate count/quantity does not equal the unit-of-work on AIM database'
- 'Certificate count/quantity does not equal transaction quantity on AIM'
- 'Certificate denomination cannot be zero'
- 'Certificate issue date cannot be zero'
- 'Certificate not on aim database '
- 'Certificate number cannot be spaces'
- 'Certificates must not be provided when using an existing control id'
- 'Control id already exists '
- 'Control id is not eligible for re-route'
- 'Control id is not eligible for reroute '
- 'Control id is not eligible for return '
- 'Control id is not eligible for void '
- 'Control id not on AIM database'
- 'Control id was not previously routed for error/void/return'
- 'Control id was not previously routed for split'
- 'Correspondent must be provided'
- 'Cusip has a reorg red light - see rips comments'
- 'Cusip is chilled for deposits'
- 'Cusip is globally locked'
- 'Cusip is not eligible for fractional shares '
- 'Cusip is not eligible for fractional shares(certificare record)'
- 'Custody only issue'
- 'Denominations breakdown does not equal transfer quantity'
- 'Deposit with transfer not allowed for rush items'
- 'Destination box must be provided'
- 'Document record must be provided'
- 'DTC has item chilled for deposits, possible reorg envelope missing'
- 'Duplicate certificates on AIM database'
- 'Ineligible for transfer – reorg'
- 'Invalid bearer/registered indicator'
- 'Invalid cancel indicator'
- 'Invalid certificate issue date'
- 'Invalid certificate number '
- 'Invalid change status'

- 'Invalid control id'
- 'Invalid cusip'
- 'Invalid destination box '
- 'Invalid destination box for rush items'
- 'Invalid destination box on reroute/split'
- 'Invalid document attached indicator'
- 'Invalid document or indicator'
- 'Invalid document type'
- 'Invalid mail letter type'
- 'Invalid negotiable indicator' (header record)
- 'Invalid origination and destination boxes'
- 'Invalid origination box'
- 'Invalid origination box for rush items'
- 'Invalid origination/destination box for document update transaction'
- 'Invalid out transfer box'
- 'Invalid registration type'
- 'Invalid restricted indicator' (certificate record)
- 'Invalid special legal indicator'
- 'Invalid state code on mailing instruction '
- 'Invalid taxpayer id '
- 'Invalid transaction type'
- 'Invalid transfer type'
- 'Mailing city address cannot be spaces'
- 'Mailing extended zip code must be numeric'
- 'Mailing name & address cannot be spaces'
- 'Mailing name cannot be spaces'
- 'Mailing record must be provided '
- 'Mailing state cannot be spaces'
- 'Mailing street address cannot be spaces'
- 'Mailing zip code cannot be spaces'
- 'Mailing zip code must be numeric'
- 'No duplicate trf arfs are allowed'
- 'Non-transferable security'
- 'Not all certs called''
- 'Number of certificates does not equal certificate count'
- 'Number of documents does not equal document count'
- 'OFAC indicator invalid'
- 'Original control id must not be provided'
- 'Origination box does not match box on AIM database'
- 'Origination box does not match serial number on AIM database'

- 'Partial processing not allowed for single cert deposit'
- 'Quantity cannot be zero'
- 'Registration cannot be spaces'
- 'Reorg red light - see rips comments'
- 'Restricted indicator in conflict with expiration date'
- 'Route number cannot be zero'
- 'Sealed envelope deposits are not allowed'
- 'Taxpayer id must be provided'
- 'The current box on reroute does not match the original box'
- 'There is an active transaction for this control id'
- 'Total certificates quantity does not equal transaction quantity'
- 'Transaction received after cutoff time'
- 'Transaction received after cutoff time for rush items'
- 'Transfer control id must be provided'
- 'Transfer quantities do not equal route quantity'
- 'Transfer quantity cannot be zero'
- 'Transfer record must be provided'
- 'Transfer registration must be provided'

## 2.14 Appendix III (RDS Up-Front Error Messages)

This portion describes the RDS up-front error messages. These will all be “Message Category = 0050” and “Message Number = 0099” (free form text).

- 'Route passed the cutoff time'
- 'Invalid deposit restricted type' - valid values 'f', 'p', 'l', 'g', 'b', 'c'
- 'Invalid cusip for restricted deposit type other than "c"'
- 'Invalid cusip for restricted deposit type "c"'
- 'Invalid rush indicator'
- 'Quantity cannot be zero'
- 'Invalid quantity (fractional shares for non-fractional cusip)'
- 'Quantity exceeds rds limit' - 999999999.99999
- 'Transaction-id number must be provided'
- 'Invalid transaction-id number' - format 'ccyymmddxxxx9999'
- 'Invalid transaction-id'
- 'Route number cannot be zero'
- 'Invalid process date' - format ccy-mm-dd
- 'Invalid cusip' - not on the master table
- 'Cusip is not eligible for RDS'
- 'Cusip is globally locked - cannot process'
- 'Cusip is chilled'
- 'Contra cusip cannot be processed'
- 'Duplicate combination part/transaction-id'
- 'Invalid origination box' - box 10 is invalid, and all custody boxes are valid
- 'Origination box must be provided' - valid custody box
- 'Transaction-id already exists on AIM database' - for consolidated deposits the transaction-id is always new transaction-id
- 'Transaction-id not found on AIM database for uow deposit' – uow items should be on AIM
- 'Registration count must be provided'
- 'Certificates count exceeds rds limit' - 99 certs
- 'Customer account must be provided'
- 'Number of certificates does not equal certificate count' - cert\_cn field should be the number of 51 records type
- 'Total certificates quantity does not equal transaction quantity'
- 'Multiple documents for the letter of opinion'
- 'For rush deposit opinion letter must be provided'
- 'Number of documents does not equal document count'
- 'Certificate record not required for unit-of-work deposit' - for uow 50 record type, 52 record type, and 55 record type'

- 'Certificate record must be provided for partial/consolidated deposit'
- 'Certificates not found on AIM database in this seg location for this transaction'
- 'Total certificates quantity does not equal transaction quantity'
- 'Certificate number cannot be spaces'
- 'Certificate denomination cannot be zero'
- 'Invalid certificate denomination (fractional shares for non-fractional cusip)'
- 'Certificate issue date cannot be zero'
- 'Invalid certificate issue date'
- 'Registration cannot be spaces'
- 'Certificate not on AIM database'
- 'Duplicate certificates on AIM database'
- 'Invalid certificate registration type' - 'c' and 'f' are valid values
- 'Certificate denomination does not match denomination on AIM database'
- 'Certificates not found on AIM database for this uow transaction'
- 'Origination box does not match AIM seg location'
- 'Invalid document type'
- 'Document attached indicator must be provided'
- 'Invalid document attached indicator'
- 'Transfer record must be provided for restricted deposit "f", "l"'
- 'Transfer records must be provided for unsold part of restricted deposit "p"'
- 'Transfer record must be provided for sold part of restricted deposit "p"'
- 'Transfer records must be provided for restricted deposit "p"'
- 'Transfer records must be provided for restricted deposit "g", "b", "c"'
- 'Transfer quantities do not equal route quantity'
- 'Transfer transaction-id number must be provided'
- 'Invalid transfer transaction-id number' - position 9 through 11 on the 54 record type should be 'trc'-customer or 'trf' – firm
- 'Invalid transfer quantity (fractional shares for non-fractional cusip)'
- 'Taxpayer id must be provided'
- 'Invalid taxpayer id' - value 000000000 and 0000000000 are invalid
- 'Transfer registration must be provided'
- 'Transfer registration must be provided for restricted type "b"'
- 'Customer account not required for transfer going back to DTC'
- 'Customer account must be provided for transfer going back to Custody'
- 'Charity indicator not allowed for the restricted deposit "f", "p", "b", "l", "c"'
- 'Charity indicator must be provided'
- 'Invalid charity indicator' - 'y' and 'n' are valid values
- 'Invalid transfer transaction-id number for deposit type "f", "l"'
- 'Invalid transfer transaction-id number for deposit type "g", "c", "b"'
- 'Only one trf allowed for the sold part of deposit'
- 'Transfer box for the sold quantity must be provided'

- 'Invalid transfer box for the sold quantity' - only box 10 is valid for 'trf' portion
- 'Invalid transfer box for the unsold quantity' - only custody box is valid for 'trc' portion
- 'Invalid custody transfer box'
- 'Denominations breakdown not allowed for deposit type "f", "l"'
- 'Denominations breakdown count exceeds limit' - max 10
- 'Denominations breakdown does not equal transfer quantity'
- 'Invalid transfer denomination (fractional shares for non-fractional cusip)'



### 3. BDS/Custody Transmission (Output) – NON-MESSAGING

The BDSERR Function consists of three different types of records for BDS/Custody non-messaging. These records are sent to the participant in response to the BDS1/5 input function received by DTC from the participant. **The MDS Prefix Segment and Transaction Header Segment are always attached to each record (prefix).** The Data records contain the specific transaction data types as noted in the below section. The MDS record is used for transmission purposes and is for DTC use only – it is not present once transmitted.

Allows for:

- BDS/CUS non-messaging errors are transmitted to participants using the BDSERR function via the message delivery protocol.
- Error responses for BDS/CUS non-messaging are processed intraday via the BDE1/5 error response function.

#### 3.1 BDS/Custody Transmission File Record Types (Non-MESSAGING)

The Branch Deposits Error Notification Record, defined in the following subsections, has a total record length of 477 bytes: the first 26 bytes is the ICM Transaction Header; the remaining 451 bytes are for application data.

## 3.2 MDS Prefix Segment (For DTC use Only; must be attached to each record)

| Position | Field Size | Field Name     | Comments   |
|----------|------------|----------------|--|
| 1        | X(1)       | Filler         | For future use   |
| 2        | X(1)       | Message Flag   | 'O' = Current day message<br>'R' = Current day reprint<br>'U' = Current day message requested out of sequence<br>'Y' = Prior day message |
| 3        | X(1)       | Filler         | For future use   |
| 4        | X(10)      | Destination ID | Identifies the message this queue message was retrieved from. It is composed of the 8-character User Signon and 2-character Destination  |
| 14       | X(1)       | Filler         | For future use   |
| 15       | 9(6)       | Message Number | Contains a unique message sequence number assigned by DTC's Message Delivery System  |

### 3.3 Transaction Header Segment (must be attached to each record)

The Standard Transaction Header, shown below, is prefixed to every application record.

| Position | Field Size | Field Name                | Comments  |
|----------|------------|---------------------------|---|
| 1        | X(1)       | Feedback Indicator        | Spaces  |
| 2        | X(1)       | Production/Test Indicator | P = Production<br>T = Test  |
| 3        | X(6)       | Record Type               | 'BDSERR' Function Name  |
| 9        | 9(2)       | Record Suffix             | Denotes Record Type Suffix – Value '01'                                     |
| 11       | 9(2)       | Version Number            | Denotes Version of Record Type – Value '01'                                 |
| 13       | X(6)       | Filler                    | For Future Use  |
| 19       | X(8)       | Addressee                 | The entity on behalf of whom the transaction is being processed (Client Id) |

There are three record types for application data: Numeric Type Error Records (01), Alphanumeric Type Error Records (02), and Over/Under Type Error Records (03). These records are illustrated in the following subsections:





