



Securities Processing

14.19 DEPOSIT/WITHDRAWAL AT CUSTODIAN (DWAC) TRANSACTION - APPROVAL FILE VIA CF2: DWAP01 THRU DWAP24 FUNCTIONS - USER'S GUIDE

AUGUST 31, 2023

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OBJECTIVES OF THIS DOCUMENT

The objectives of this document are to:

- Give an overview of the Deposit/Withdrawal at Custodian Approval File (DWAP01 thru DWAP24 functions.)
- Illustrate the formats of the required records.

OVERVIEW

DWAC transactions are Fast Automated Stock Transfer (FAST) deposits or withdrawals made by a DTCC participant to/from an eligible transfer agent. The DWAC CF2 system gives the transfer agents the vehicle to receive DWAC participant transactions that are pending transfer agent approval.

THE DWAP01-DWAP24 FUNCTIONS

This DWAC system CF2 function supplies 'pending approval' transactions captured from the DWAC system. The file will be created every 30 minutes, between the hours of 6:00am and 5:00pm (23 times). A final slice will be run at 5:20pm. Each file slice will have its own function name. For example, the function name for the 6:00am file is DWAP01, the 6:30am - DWAP02, the 7:00am - DWAP03, etc. The final function name, which runs at 5:20pm, is DWAP24.

DWAPnn Schedule

<u>Time</u>	<u>Function</u>
0600	DWAP01
0630	DWAP02
0700	DWAP03
0730	DWAP04
0800	DWAP05
0830	DWAP06
0900	DWAP07
0930	DWAP08
1000	DWAP09
1030	DWAP10
1100	DWAP11
1130	DWAP12
1200	DWAP13
1230	DWAP14
1300	DWAP15
1330	DWAP16
1400	DWAP17
1430	DWAP18
1500	DWAP19
1530	DWAP20
1600	DWAP21

1630 DWAP22

1700 DWAP23

1720 DWAP24

Modes of Transmission

All files are available via CF2. Users requesting via CF2 receive a file consisting of 'DWAPnn' Detail Records. The format for the CF2 Detail Records is described in the following sections.

Availability

Note:

Times are all Eastern Time.

- The DWAPnn functions are normally available for approximately 20 hours after creation.
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Holiday Processing

The availability of processing for the various holiday types that DTC is subject to is as follows:

- All Closed Banks, Exchange and DTC closed: (New Years Day, Presidents Day, Memorial Day, July 4th, Labor Day, Thanksgiving Day, and Christmas Day): No processing and the file will not be available.
- Banks Closed, Exchange Open and DTC Open: (Columbus Day, Veterans Day) File will be available.
- Banks Open, DTC Open, Exchange Closed: (Good Friday) File will be available.
- Exchange Open, Banks and DTC Closed: (Martin Luther King Day) File will be available.

HEADER AND TRAILER RECORDS

The CCF Header Record

NDM users executing NDMDTF01, NDMDTFGP, or NDMDTFSP will receive the following CCF 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	Dependent upon time slice requested – DWAP01, DWAP02, DWAP03... DWAP24
7	6	Character	Data Type Created	Dependent upon time slice requested – DWAP01, DWAP02, DWAP03... DWAP24
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	Signon ID	Signon ID
8	6	Character	Data Type Requested	Dependent upon time slice requested – DWAP01, DWAP02, DWAP03... DWAP24
14	6	Character	Data Type Created	Dependent upon time slice requested – DWAP01, DWAP02, DWAP03... DWAP24
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	15	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	Dependent upon time slice requested – DWAP01, DWAP02, DWAP03... DWAP24
18	6	Character	Data Type Created	Dependent upon time slice requested – DWAP01, DWAP02, DWAP03... DWAP24
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.

RECORD FORMATS

DWAPnn Detail Record

The format of the DWAPnn Detail Record is described below. File length = 250 bytes.

DEPOSIT/WITHDRAWAL AT CUSTODIAN TRANSACTION APPROVAL				
POSITION	LENGTH	FORMAT	FIELD NAME	FIELD CONTENTS
1	10	Character	Ta-signon	
11	8	Character	Participant Number	Identifying number of the participant that submitted the DWAC transaction
19	10	Character	Participant Name	The name of the DWAC participant
29	1	Character	DWAC Type	'D' – Deposit 'W' - Withdrawal
30	12	Character	CUSIP Number	Position 1-2 '00' Position 3- 11 9-character CUSIP ID Position 12 '0'.
42	9	Numeric 9(9)	Share Quantity (whole)	Share quantity (whole).
51	5	Numeric V9(5)	Share Quantity (fractional)	Share quantity (fractional).
56	26	Character	Reference Id	Information entered by the participant that refers to a particular transaction – used by participants and custodians to distinguish between similar transactions. Also used as the TIN for the Cost Basis Reporting System (CBRS).
82	78	Character	Comments	Participant comments related to the DWAC transaction.
160	8	Character	Transfer Agent Number	Identifying number of the transfer agent whose approval is required to process the DWAC transaction.
168	20	Character	Contact Name	Name of participant contact
188	10	Character	Contact Phone Number	Phone number of participant contact
198	5	Character	Contact Phone Extension	Phone extension of participant contact
203	7	Numeric 9(5)V9(2)	Standard Fee Amount	Standard fee charged to the participant
210	7	Numeric 9(5)V9(2)	Alternate Fee Amount	Alternate fee charged to the participant

DEPOSIT/WITHDRAWAL AT CUSTODIAN TRANSACTION APPROVAL				
POSITION	LENGTH	FORMAT	FIELD NAME	FIELD CONTENTS
217	1	Character	Default Fee Type	Determines whether a standard, alternate or no fee will be charged- 'S' – Standard fee 'L' – Alternate fee 'N' – No fee
218	43	Character	Filler	For future use.

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