



## **CCF/CCF-II/MDH Transmission Guides**

### **15.01 Customer Level Detail File (IPOCLD) via CCF/CCF-II Function User's Guide**



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# 15.01 Customer Level Detail File (IPOCLD) via CCF/CCF-II: Function User's Guide

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## 1. Objectives of This Chapter

The objectives of this chapter are to:

- Give an overview of the Customer Level Detail File (IPOCLD) function
- Illustrate the formats of required records

## 2. IPOCLD Function: Overview

DTC's IPOCLD function allows Participants to receive customer-level detail information via DTF, DTC'S Data Transmission Facility, in a file that is generated once a day.

IPOCLD is available via CCF (CCFUSER) and CCF-II (RJE, SNA/RJE, or NDM). It is recommended that users have access to the appropriate CCF or CCF-II System User Guide. A DTF User's Guide will be distributed shortly.

Additional prerequisites for a thorough understanding of this document are a familiarity with DTC operating procedures and a familiarity with computer operations.

### 2.1 Function Details

The IPOCLD function enables Participants to receive customer-level detail information via DTF, DTC'S Data Transmission Facility. The file contains customer-level detail information for

- Participants' retail customers
- Participants' institutional customers for which they are custodians
- Participants' own institutional customers that hold custody at another Participant

A file in Participant ID order is generated once a day. This file is in machine-readable format.

### 2.2 Availability of IPOCLD

The IPOCLD functions is available from approximately 4:00 am through 5:00 pm the same day (Eastern Time).



### 3. IPOCLD Record Information

IPOCLD files are available via CCF and CCF-II.

- Users requesting IPOCLD via CCF normally receive files consisting of a CCF Header record followed by IPOCLD detail records.
- Users requesting IPOCLD via CCF-II receive files consisting of CCF-II Header and Trailer records separated by IPOCLD detail records.

The CCF Header record, CCF-II Header and Trailer records, and the IPOCLD Detail records are described in the following section, Section 4, File Specifications, beginning on page 3.



## 4. File Specifications

### 4.1 CCF Header Record

When HEADER=YES is specified as a CCFDTFDB parameter, the first record on the function file is the CCF header record. The header record contains information regarding the creation of the file. The CCF Header Record format is shown below.

**Note:** NDM users executing NDMDTF01 and RJE 3770 users executing RJSDF2 receive the CCF Header record described below.

CCF Header Record Format				
Position	Length	Format	Field Name	Description
1	6	Character	Data Type Requested	IPOCLD
7	6	Character	Data Type Created	IPOCLD
13	8	Character	Creation Date	<i>mm/dd/yy</i> data creation date.
21	8	Character	Load Date	<i>mm/dd/yy</i> DTC data load date.
29	8	Character	Load Time	<i>hh:mm:ss</i> DTC data load time.
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.



## 4.2 CCF-II Header and Trailer Records

The CCF-II Header and Trailer records, described below, are the first and last records of an IPOCLD information file for users of CCF-II. Please note that the Header and Trailer records are identical except for the first and last field of each record.

CCF-II Header/Trailer Record Format				
Position	Length	Format	Field Name	Description
1	3	Character	Record ID	HDR or TLR
4	4	Character	Signon ID	Signon ID
8	6	Character	Data Type Requested	IPOCLD
14	6	Character	Data Type Created	IPOCLD
20	8	Character	Creation Date	<i>mm/dd/yy</i> data creation date.
28	8	Character	Load Date	<i>mm/dd/yy</i> data load date.
36	8	Character	Load Time	<i>hh:mm:ss</i> data load time.
44	4	Numeric	Record Length	Record length of data requested.
48	8	Numeric	Record Count	Number of data records in file.
56	4	Numeric	Segments per Data Type	Number of 80-byte records per data type requested.
60	15	Character	Filler	DTC use only; do not use.
75	6	Numeric	Sequence Number	Numbering sequence, used as a data integrity check. HDR 000000 TLR 999999



### 4.3 Transaction Header and Application Data Record

The Transaction Header and Detail information is common to every record. The format is shown below. This record consists of the transaction header, positions 1 through 26, followed by one of two possible application data records, each beginning at position 27:

- IPOCLD Detail Record (Type I = IPO)–pages 6 through 7
- IPOCLD Detail Record (Type F = Free)–page 8

#### Transaction Header and Application Data Record Format (Part 1 of 4)

Position	Length	Format	Field Name	Description
<b>Positions 1 through 26: Transaction Header</b>				
1	1	Character	Feedback Indicator	* (asterisk) indicator of an output message in the new format.
2	1	Character	Test/Production P Indicator	indicator of a production system message.
3	6	Character	Record Type	IPOCLD
9	2	Character	Record Suffix	01
11	2	Character	Version Number	01 version number associated with this record format.
13	6	Character	User Reference Number	<b>S</b> paces
19	8	Character	Participant ID	8-character identifier of the Participant for whom this transaction was created (right justified, zero filled.)

**Transaction Header and Application Data Record Format (Part 2 of 4)**

Position	Length	Format	Field Name	Description
<b>IPOCLD Detail Record (Record Type I = IPO)</b>				
27	1	Character	Customer Level Detail	I for IPO
28	12	Character	International Security Identifier	12-character international security identifier; format: 00 (zeroes) international CUSIP country code. 9-character valid CUSIP Number 0 (zero) international check digit.
40	8	Character	Participant Identifier	8-character Participant identifier of customer's shares custodian.
48	8	Character	ID Agent Identifier	(For agent banks) 8-character ID Agent Identifier.
56	12	Character	Internal Account Number	Participant's client identifier.
68	8	Character	Syndicate Member	8-character identifier of syndicate member Participant.
76	8	Character	Account Number	8-character account number used by broker-dealer or clearing bank to identify a correspondent.
84	12	Numeric	Broker Internal Account Number	Broker internal account number used by Participants (executing broker) to identify client.



**Transaction Header and Application Data Record Format (Part 3 of 4)**

Position	Length	Format	Field Name	Description
96	1	Character	Direct Concession Indicator	Indicator of whether the Participant is an agent bank or prime broker that received shares as a result of a directed concession: Y direct concession (the lead underwriter knows who the syndicate member is; see Participant Identifier pos'n 40); that is, the Participant is the syndicate member N non directed concession.
97	1	Character	Reason Track	1 for customer account transfer.
98	13	Numeric	Allocated Share Quantity (Whole)	S9(13) allocated share quantity (whole).
111	7	Numeric	Allocated Share Quantity (Fraction)	SV9(7) allocated share quantity (fraction).
118	13	Numeric	Available Share Quantity (Whole)	S9(13) available share quantity (whole).
131	7	Numeric	Available Share Quantity (Fraction)	SV9(7) available share quantity (fraction).
138	13	Numeric	Flipped Share Quantity (Whole)	S9(13) flipped share quantity (whole).
151	7	Numeric	Flipped Share Quantity (Fraction)	SV9(7) flipped share quantity (fraction).
158	8	Numeric	Creation Date	ccyyymmdd date of file creation
166	3	Character	Filler	DTC use only; do not use.



**Transaction Header and Application Data Record Format (Part 4 of 4)**

Position	Length	Format	Field Name	Description
<b>IPOCLD Detail Record (Record Type F = Free)</b>				
27	1	Character	Customer-Level Detail Type	F free
28	12	Character	International Security Identifier	12-character international security identifier; format: 00 (zeroes) international CUSIP country code 9-character valid CUSIP Number 0 (zero) international check digit.
40	8	Character	Participant Identifier	8-character Participant identifier of the custodian for the customer's shares.
48	8	Character	ID Agent Identifier	(For Agent Banks) 8-character ID Agent Identifier.
56	12	Character	Internal Account Number	Participant's internal account number for client identification.
68	13	Numeric	Free Share Quantity (Whole)	S9(13) free share quantity (whole).
81	7	Numeric	Free Share Quantity (Fraction)	SV9(7) free share quantity (fraction).
88	8	Numeric	File Creation Date	<i>ccmmyydd</i> date of file creation.
96	73	Character	Filler	DTC use only; do not use.



## Appendix A. Document Modification History

A list of modifications to this document follows. Changes to fields described in the record format tables are denoted by an asterisk (\*) in the "Position" column.

1. Version# 1.0–October 4, 1996 (Original Document)
2. Miscellaneous corrections–May 21, 1997
3. Global change to "Filler" fields description–July 1997