

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 7241
P&S# 6811
Date: July 8, 2011 **Revised August 8, 2011¹**
To: ALL PARTICIPANTS
Attention: MANAGER MUTUAL FUNDS OPERATIONS,
MANAGER DATA PROCESSING, MANAGER CASHIERS,
MANAGER P&S DEPARTMENT
From: WEALTH MANAGEMENT SERVICES – MUTUAL FUNDS
Subject: MUTUAL FUND FUND/SERV and NETWORKING
ENHANCEMENT RELEASE, INCLUDING TRANSMISSION
SCHEDULE CHANGES

Effective **Monday, October 17, 2011**, National Securities Clearing Corporation (NSCC) will implement enhancements to Fund/SERV and Networking. As part of this release, NSCC will be:

- Modifying Networking transmission schedules
- Enhance existing Networking records to further support the reconciliation of omnibus accounts
- Enhance the Standardized Data Reporting (SDR) records
- Add an Underlying Firm Symbol (UFS) to existing records
- Enhance existing records to support additional 529 account processing
- Add an additional ToRA reject reason code

The **Networking transmission schedule changes** will impact the following files:

- Networking Dividend Files
- Networking Dividend/Capital Gain Settlement Reversal Record
- Networking Fund Conversions
- Networking Share Aging Files

The following **Fund/SERV** records will be enhanced to add a UFS field, an additional ToRA reject value and enhance specific 529 fields:

- Fund Reject 100
- Full Registration 401

The following **Networking** records will be enhanced to further support omnibus reconciliation, addition of the UFS field, and enhancements to specific 529 fields:

- Account Conversion/Update A/B/T50, A/B/T51
- Transfer Detail/Fund Acknowledgment A/B/T52, F53
- Activity Reporting Detail Record F55

¹ **The relevant revisions are highlighted in yellow.**

- Activity/Balance Input/Output Trailer F56
- Position Detail Reporting F58
- Share Aging Detail B/F76
- Dividend/Capital Gain Reporting F63, F64, F65, F66, F67
- Networking Reject Codes

The following **Networking SDR** records will be enhanced as part of this release:

- SDR Request F20
- SDR Header B/U21
- SDR Detail B/U24
- SDR Summary B/U25
- SDR Trailer B/U27
- SDR Reject Codes

*Please note – NSCC will be sunsetting several SDR reject codes that have been deemed as vague by NSCC and the ICI SDR working group. Additional reject codes are being added as part of this release to better define the reject reason(s). An Important Notice will be distributed when dates for sunsetting of the reject codes have been finalized; the target date is currently Q1, 2012.

The SDR Best Practices and Technical guide have been revised to provide guidance for incorporating the changes within this release and are available. SDR documentation can be located at http://www.dtcc.com/products/wealthmgmt/members/networking_manuals.php. Additionally, an SDR reject matrix has been created and can be located at <http://www.dtcc.com/products/wealthmgmt/members/codes.php>.

Testing

Effective Monday, September 19, 2011 participants can begin testing in the Participant Services Environment (PSE) test region.

*The time changes affecting the Networking File Transmissions will **not** be modified in the PSE region.

Participants are encouraged to test and must contact their Relationship Manager before testing begins to ensure proper setup for the PSE region. Relationship Managers should be contacted at least three (3) days prior to testing.

Documentation

Networking Transmission Schedule Changes

The transmission schedule changes are available on the DTCC website. Schedules can be found at http://www.dtcc.com/products/wealthmgmt/members/transmission_schedules.php.

Fund/SERV and Networking technical guides and best practices will be updated and available prior to the October implementation date. An e-mail notification will be sent upon completion of these materials.

Record Layouts are available on DTCC's Wealth Management Services website located at http://www.dtcc.com/products/wealthmgmt/members/record_layouts.php.

**The record and field format information provided within this Important Notice is for informational purposes only and does not constitute the final Record Layouts. NSCC reserves the right to make additional changes to the Record Layouts prior to implementation.

Questions and comments regarding this Important Notice may be directed to your Wealth Management Services Relationship Manager at 212-855- 8877.

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Networking Transmission Schedule Changes

The Networking Account Conversion/Transfer/Acknowledgement, Dividend Reporting, and Share Aging file transmission schedules will be accelerated as detailed below. This schedule change will allow Firms to receive their information earlier and begin their reconciliation process in a more timely manner.

Current production schedule:

Production Environment								
Description	Input to NSCC				NSCC Output			
	DataTrak SYSID	Input By	Input Time		AutoRoute Numbers	Receives Output	Output Time	
			Mon – Fri	Sat			Mon - Fri	Sat
MFN Dividend File	26596	F	3:00 AM - 8:00 AM	3:00 AM - 12:00 noon	02102026	B/F	9:00 AM	1:00 PM
MFN Dividend Settling Trade Sum Report	N/A	N/A	N/A	N/A	02100188	B/F	9:00 AM	1:00 PM
MFN Dividend Settling Trade Sum File	N/A	N/A	N/A	N/A	02102193	B/F	9:00 AM	1:00 PM
MFN Dividend / Cap Gain Settlement Reversal Record	26195	F	3:00 AM - 8:00 AM	3:00 AM - 12:00 noon	02102026	B/F	9:00 AM	1:00 PM
MFN Fund Conversions	26598	F	8:00 AM – 11:00 AM	8:00 AM – 12:00 noon	02102084	B/F	12:00 PM	1:00 PM
MFN Share Aging (from firms)	26687	B	6:00 AM – 11:00 AM	6:00 AM – 12:00 noon	02100212	F/B	12:00 PM	1:00 PM
MFN Share Aging (from funds)	26688	F	6:00 AM – 11:00 AM	6:00 AM – 12:00 noon	02100212	B/F	12:00 PM	1:00 PM

New production schedule:

Production Environment								
Description	Input to NSCC				NSCC Output			
	DataTrak SYSID	Input By	Input Time		AutoRoute Numbers	Receives Output	Output Time	
			Mon – Fri	Sat			Mon - Fri	Sat
MFN Dividend File	26596	F	1:00AM - 5:00 AM	3:00 AM - 12:00 noon	02102026	B/F	6:00 AM	1:00 PM
MFN Dividend Settling Trade Sum Report	N/A	N/A	N/A	N/A	02100188	B/F	6:00 AM	1:00 PM
MFN Dividend Settling Trade Sum File	N/A	N/A	N/A	N/A	02102193	B/F	6:00 AM	1:00 PM
MFN Dividend / Cap Gain Settlement Reversal Record	26195	F	1:00AM - 5:00 AM	3:00 AM - 12:00 noon	02102026	B/F	6:00 AM	1:00 PM
MFN Fund Conversions	26598	F	1:00AM - 5:00 AM	8:00 AM – 12:00 noon	02102084	B/F	6:00 AM	1:00 PM
MFN Share Aging (from firms)	26687	B	3:00AM - 8:00 AM	6:00 AM – 12:00 noon	02100212	F/B	9:00 AM	1:00 PM
MFN Share Aging (from funds)	26688	F	3:00AM - 8:00 AM	6:00 AM – 12:00 noon	02100212	B/F	9:00 AM	1:00 PM

Fund/SERV Enhancements

(Mainframe and WebDirect screens)

Below are the expected changes that will impact Fund/SERV records (fixed and variable), fields and values as part of this release. This information is subject to change, the record layouts should be utilized for programming needs and are now available.

Fund Reject Record 100, Part 1, Record 2 of 2

➤ **Add Option ‘D’ (Account Type is Not ToRA eligible) to Delivering Fund Plan Type field**

This enhancement will allow funds to better reflect the reason for a ToRA reject, when an account is ineligible for ToRA processing.

Field Name	Start	End	Len	Type	Current Description	New Description	Opt/Req	Reject Code
Delivering Fund Plan Type field	32	32	1	A/N	Required if the Fund Reject Code = “704” 0 = IRA 1 = IRA Rollover 2 = SEP IRA 3 = 403B 4 = Roth IRA 5 = Simple IRA 6 = Education IRA 7 = SARSEP 8 = Roth Conversion IRA 9 = Traditional to Roth Conversion IRA A = Inherited Traditional IRA B = Inherited Roth IRA C = Inherited Roth Conversion IRA	Required if the Fund Reject Code = “704” 0 = IRA 1 = IRA Rollover 2 = SEP IRA 3 = 403B 4 = Roth IRA 5 = Simple IRA 6 = Education IRA 7 = SARSEP 8 = Roth Conversion IRA 9 = Traditional to Roth Conversion IRA A = Inherited Traditional IRA B = Inherited Roth IRA C = Inherited Roth Conversion IRA D = Account Type is Not ToRA eligible	OC	265

Full Registration Record 401 Part 2, Seq 2 of 32

➤ **Create a new Optional ‘Underlying Firm Symbol’ (UFS) field**

This enhancement will allow participants trading for underlying firms (Banks, Trusts, Recordkeepers, TPA’s, etc.) to communicate the underlying firm symbol. Underlying firm symbols can be found at:

<http://www.dtcc.com/products/wealthmgmt/members/ufs.php>

Note - Please note that NSCC will not validate the UFS symbol provided in this record to the UFS listing. NSCC will act as a pass through only of the data provided. Accuracy of this information is between the deliverer and receiver.

Field Name	Start	End	Len	Type	Change Description to	Opt/Req
Underlying Firm Symbol (UFS)	86	89	4	A/N	Number that identifies the Underlying Firm (Banks/Trusts/Record Keepers/ TPA’s) that clear through another entity	O

Full Registration Record 401 Part 2, Seq 9B of 32

➤ **Modify Beneficiary/Successor Owner Relationship Indicator field**

Fund participants may not be capturing the Beneficiary/Successor Owner relationship indicator on 529 accounts. Therefore, the requirement of this field was changed to optional.

Field Name	Start	End	Len	Type	Current Description	New Description	Opt/Req	New Opt/Req	Reject Code
Beneficiary/ Successor Owner Relationship Indicator	41	41	1	A/N	Required if Beneficiary/Successor Owner Address Option of 'C' is provided 1 = Spouse 2 = Non-Relative 3 = Grandchild 4 = Relative 5 = Child	1 = Spouse 2 = Non-Relative 3 = Grandchild 4 = Relative 5 = Child	OC	O	205

Networking Enhancements

(Mainframe and WebDirect screens)

Below are the expected changes that will impact Networking records, fields and values as part of this release. This information is subject to change. The record layouts should be utilized for programming needs and are now available.

A/B/T50, A/B/T/F51, Seq 4 Account Conversion/Update Record

- Seq 4 on a B50 record will continue to be required when Account Type (Seq 1) = 1 (Section 529 Account). Seq 4 will no longer be required by NSCC when a F51 is submitted if Account Type = 1 (Section 529 Account).

*Rule change only.

A/B/T50, A/B/T/F51, Seq 5 Account Conversion/Update

- Create a new Optional 'Underlying Firm Symbol' field

This enhancement will allow participants trading for underlying firms (Banks, Trusts, Recordkeepers, TPA's, etc.) to communicate the underlying firm symbol. Underlying firm symbols can be found at:

<http://www.dtcc.com/products/wealthgmt/members/ufs.php> .

Note - Please note that NSCC will not validate the UFS symbol provided in this record to the UFS listing. NSCC will act as a pass through only of the data provided. Accuracy of this information is between the deliverer and receiver.

Field Name	Start	End	Len	Type	Change Description to	Opt/Req
Underlying Firm Symbol (UFS)	64	67	4	A/N	Number that identifies the Underlying Firm (Banks/Trusts/Record Keepers/ TPA's) that clear through another entity	O/O

A/B/T50, A/B/T/F51, Sequences 13 through 36 Account Conversion/Update

- Modify Beneficiary/Successor Owner Relationship Indicator field

Fund participants may not be capturing the Beneficiary/Successor Owner relationship indicator on 529 accounts. Therefore, the requirement of this field was changed to optional.

Field Name	Start	End	Len	Type	Current Description	New Description	Opt/Req	New Opt/Req
Beneficiary/Successor Owner Relationship Indicator	30	30	1	A/N	Required if Beneficiary/Successor Owner Address Option of 'C' is provided 1 = Spouse 2 = Non-Relative 3 = Grandchild 4 = Relative 5 = Child	1 = Spouse 2 = Non-Relative 3 = Grandchild 4 = Relative 5 = Child	OC/O	O/O

A/B/T52, F53, Seq 1 Transfer Detail/Fund Acknowledgment

- **Modify NSCC Control Number or Reference Number field**
 - Eliminate Transaction Type = 8 (529 Rollover) from rule for Record Type F53
- **Modify Transaction Type field**
 - Eliminate option 8 (529 Rollover)

529 Rollover option is being eliminated, therefore, participants should communicate 529 transfers using the In-Kind option found on Seq 1 in the Transfer Reason Code field.

Field Name	Start	End	Len	Type	Current Description	New Description	Opt/Req
NSCC Control Number or Reference Number	14	24	11	A/N	<p><u>For Record Type 52:</u> Must be space on input; NSCC will create control number on output.</p> <p><u>For Record Type 53:</u> Must be either NSCC Control Number when Transaction Type = 1, 2, 4, 5, or 8 or Firm Reference Number when Transaction Type = 3, 6 or 7.</p>	<p><u>For Record Type 52:</u> Must be space on input; NSCC will create control number on output.</p> <p><u>For Record Type 53:</u> Must be either NSCC Control Number when Transaction Type = 1, 2, 4 or 5 or Firm Reference Number when Transaction Type = 3, 6 or 7.</p>	R/R
Transaction Type	25	25	1	A/N	<p>1 = Sub-Account Credit 2 = Transfer 3 = Account Conversion / Update Acknowledgment 4 = Mass Broker to Broker Conversion 5 = Non-Networking Transfer 6 = Change in Broker/Dealer – Change to B/D 7 = Change in Broker/Dealer – Change from B/D Transaction Type 6 or 7 allowed for Record Type F53 only 8 = 529 Rollover</p>	<p>1 = Sub-Account Credit 2 = Transfer 3 = Account Conversion / Update Acknowledgment 4 = Mass Broker to Broker Conversion 5 = Non-Networking Transfer 6 = Change in Broker/Dealer – Change to B/D 7 = Change in Broker/Dealer – Change from B/D Transaction Type 6 or 7 allowed for Record Type F53 only</p>	R/R

A/B/T52, F53, Seq 3 Transfer Detail/Fund Acknowledgment

- **Modify Cost Basis Money Amount field**
 - Remove rule requirement
 - Change the Optional/Conditional requirement for both B52 and F53 to Optional for both records due to Transaction Type 8 being removed
- **Modify Earnings to Date Money Amount field**
 - Remove rule requirement
 - Change the Optional/Conditional requirement for both B52 and F53 to Optional for both records due to Transaction Type 8 being removed

Transaction Type 8 (529 Rollover) is being eliminated; therefore, it was necessary to remove the rule requirement on these fields.

Field Name	Start	End	Len	Type	Current Description	New Description	Opt/Req	New Opt/Req
Cost Basis Money Amount	53	68	16	N	Required (but allowed to be zero) if Transaction Type equals 8. 99,999,999,999,999.99	99,999,999,999,999.99	OC/OC	O/O
Earnings to Date Money Amount	69	84	16	N	Required (but allowed to be zero) if Transaction Type equals 8. 99,999,999,999,999.99	99,999,999,999,999.99	OC/OC	O/O

A/B/T52, F53, Seq #3 Transfer Detail/Fund Acknowledgment

- **Record Requirement Change**
 - Modify the optional/conditional rule for record sequence 3.

This record will no longer be required when Transaction Type is 8 (529 Rollover), as this transaction type is being eliminated.

Current Rule for 'Record'	New Rule for 'Record'
This record is required when the Transaction Type (located on record sequence #1) equals 4 or 8.	This record is required when the Transaction Type (located on record sequence #1) equals 4.

F55, Seq 1 – Activity Record

- **Transaction Type field**
 - Add option 32 'Accrual Adjustment' to Transaction Type field

This enhancement will allow Funds to communicate and transmit accrual adjustments to Firms.

- **Modify Dollar Amount field**
 - Modify the rule for Dollar Amount field from Required to Required/Conditional, since Dollar Amount field will not be required for the new Transaction Type of 32 - Accrual Adjustment

Field Name	Start	End	Len	Type	Current Description	New Description	Opt/Req	New Opt/Req
Transaction Type	23	24	2	A/N	01 = Direct Purchase 02 = Direct Redemption 03 = Pre-Authorized Check (PAC) 04 = Check Redemption 05 = LOI Adjustment 06 = ROA Adjustment 07 = Dividend Adjustment 08 = Long Term Capital Gain Adjustment 09 = Fund Price Adjustment 10 = Exchange Ex-Fund/SERV 11 = Fiduciary Fees 12 = Reinvest from other Fund 13 = Direct Transfer	01 = Direct Purchase 02 = Direct Redemption 03 = Pre-Authorized Check (PAC) 04 = Check Redemption 05 = LOI Adjustment 06 = ROA Adjustment 07 = Dividend Adjustment 08 = Long Term Capital Gain Adjustment 09 = Fund Price Adjustment 10 = Exchange Ex-Fund/SERV 11 = Fiduciary Fees 12 = Reinvest from other Fund 13 = Direct Transfer	R	-

					14 = Systematic Withdrawal Plan 15 = Exchange Fee 16 = Certificate Deposit 17 = Short Term Cap Gain Adjustment 18 = Dividend Related Transaction 19 = N/A 20 = N/A 21 = Share Adjustment 22 = Share Class Exchange 23 = Fund Merger Activity 24 = Purchase Cancellation 25 = Redemption Cancellation 26 = Gain on Collectables Adjustment 27 = Section 1202 Gain Adjustment 28 = Un-recaptured Section 1250 - Gain Adjustment 29 = Fund Closing 30 = Small Balance Liquidation 31 = Target Payment Plans 50 = Closing balance record	14 = Systematic Withdrawal Plan 15 = Exchange Fee 16 = Certificate Deposit 17 = Short Term Cap Gain Adjustment 18 = Dividend Related Transaction 19 = N/A 20 = N/A 21 = Share Adjustment 22 = Share Class Exchange 23 = Fund Merger Activity 24 = Purchase Cancellation 25 = Redemption Cancellation 26 = Gain on Collectables Adjustment 27 = Section 1202 Gain Adjustment 28 = Un-recaptured Section 1250 - Gain Adjustment 29 = Fund Closing 30 = Small Balance Liquidation 31 = Target Payment Plans 32 = Accrual Adjustment 50 = Closing balance record		
Dollar Amount	68	83	16	N	99,999,999,999,999.99	Optional if Transaction Type 32 (Accrual Adjustment)	R	RC
						99,999,999,999,999.99		

F55, Seq 1 – Activity Record – New Fields Added

- **Add new Required ‘Social Code’ field**
 - Assign existing Reject Code 68 (Social Code missing/invalid) to this new field.

The addition of the social code on the activity record has been requested by omnibus firms to support omnibus reconciliation needs.

- **Add new Optional/Conditional ‘Membership Identifier’ field**
 - Assign new Reject Code ‘F9’ (Membership Identifier invalid) to this new field.

This field will allow Funds processing direct transfers to indicate if the direct transfer activity was generated from a Trust or TPA/Investment agent account.

Field Name	Start	End	Len	Type	New Description	Opt/Req	Reject Code
Social Code	90	91	2	A/N		R	68
Membership Identifier	92	93	2	A/N	Required for Transaction Type 13 (Direct Transfer) 00 = N/A² 01 = Trust 02 = TPA / Investment Agent	OC	F9

² This revision depicts valid values as indicated above for the “Membership Identifier” field and supersedes the previous values, which included invalid values (“03=TPP” and “blank=N/A”).

F55, Seq 3 – Activity Record

- **Modify TPA/Investment Agent Number field**
 - Change from Optional to Optional/Conditional
 - Add Rule ‘Required for Membership Identifier = 02’

Rule change will require Funds to populate the TPA/Investment Agent number for direct transfers when the Membership Identifier = 02 (02 = TPA Investment Agent)

- **Modify Transfer Disbursement Indicator – Accruals field**
 - Rename to ‘Accrual Indicator’
 - Change from Optional to Optional/Conditional
 - Add Rule ‘Required for Transaction Type 32 (Accrual Adjustment)’

The above enhancements will more accurately describe the field’s purpose and allow Funds to systematically indicate the type of accrual adjustment being reported.

- **Modify Accrual Money Amount/Accrual Money Account Balance**
 - Change from Optional to Optional/Conditional
 - Add Rule ‘Required if Transaction Type 32 (Accrual Adjustment)’

These enhancements will allow Funds to systematically transmit the “Accrual Money Amount” when an accrual adjustment occurs.

Current Field Name	New Field Name	Start	End	Len	Type	Current Description	New Description	Opt/Req	New Opt/Req
TPA/Investment Agent Number		66	69	4	A/N		Required for Membership Identifier 02 (TPA/Investment Agent)	O	OC
Transfer Disbursement Indicator – Accruals	Accrual Indicator	70	70	1	A/N	1 = Credit 2 = Debit 3 = Accrual Money Balance (Bucket Balance)	Required for Transaction Type 32 (Accrual Adjustment) 1 = Credit 2 = Debit 3 = Accrual Money Balance (Bucket Balance)	O	OC
Accrual Money Amount / Accrual Money Account Balance		72	87	16	N	99,999,999,999,999.99 This field should be: If Transaction type = 13, Accrual Money Amount; If Transaction type = 50, Accrual Money Account Balance	Required for Transaction Type 32 (Accrual Adjustment) 99,999,999,999,999.99 This field should be: If Transaction type = 13 or 32, Accrual Money Amount If Transaction type = 50, Accrual Money Account Balance	O	OC

F55, Seq 3 – Activity Record - Modifications to Rule on Record Requirement

- **Record Requirement - modify the optional/conditional rule for Sequence 3**
 - Add Transaction Type 32.
 - Add Membership Identifier = 02
 - Sequence 3 is required when Membership Identifier equals 02 due to TPA/Investment Agent Number being on this Sequence
 - Sequence 3 is required when Transaction Type equals 32 due to Accrual Indicator and Accrual Money Amount / Accrual Money Account Balance being on this Sequence

Current Rule for 'Record'	New Rule for 'Record'
<p>The record is required for:</p> <ul style="list-style-type: none"> • Transaction Type = 01 (including Transaction Description Codes starting with 'A'), 03, 09, 10 (including Transaction Description Codes starting with 'J'), and 24, if Load Type Indicator = 1; • Transaction Type = 02 (including Transaction Description Codes starting with 'B'), 07, 08, 14, 17, 29, 30, and 31. <p>Otherwise it is optional.</p>	<p>The record is required for:</p> <ul style="list-style-type: none"> • Transaction Type = 01 (including Transaction Description Codes starting with 'A'), 03, 09, 10 (including Transaction Description Codes starting with 'J'), and 24, if Load Type Indicator = 1; • Transaction Type = 02 (including Transaction Description Codes starting with 'B'), 07, 08, 14, 17, 29, 30, 31, and 32. • Membership Identifier = 02 (TPA/Investment Agent)

F55, Seq 4 – Activity Record

- **Modify Opposing Account Number field**
 - Rename 'Opposing Account Number' field to 'Opposing Fund Account Number'
 - Change from Optional to Optional/Conditional
 - Add Rule 'Required for Transaction Type 13 (Direct Transfer)'
 - Add new Reject Code N3 – 'Opposing Fund Account Number is missing' when no value is populated for Transaction Type 13

This modification, in conjunction with the addition of the Underlying Customer Account Number and Opposing Underlying Customer Account Number fields, will allow Funds to provide the transparency needed for Firms to reconcile their sub-account positions. The Opposing Fund Account Number is the account number at the Fund.

Current Field Name	New Field Name	Start	End	Len	Type	Current Description	New Description	Opt/Req	New Opt/Req	Reject Code
Opposing Account Number	Opposing Fund Account Number	39	58	20	A/N	Space	Required for Transaction Type 13 (Direct Transfer) Value is generated by the Fund	O	OC	N3

F55 – New Sequence 5 Record added

This Optional Record is being created based on participants' request for additional information to support the omnibus reconciliation process for Transaction Type = 13 (Direct Transfer). The new fields will allow Funds to provide the transparency needed for Firms to reconcile their sub-account positions.

➤ **Opposing Clearing/Settling Firm Number Field Added**

The Clearing/Settling Firm Number field currently exists on the F55 Record to identify only one of two contra-side parties involved. The addition of this field will allow the Firms to identify the opposing Firm to the transfer activity.

➤ **Opposing Network Control Indicator field**

The Network Control Indicator field currently exists on the F55 record to identify the account network control indicator from only one of two contra-side parties. The addition of this field will allow Firms to identify the opposing Firm's network control indicator on the account to assist in determining when additional information is required; i.e., share-lot information for cost basis and tax reporting.

➤ **Opposing Underlying Customer Account Number field**

This field will allow Funds to indicate the opposing Firms' underlying client accounts (sub-accounts) for a direct transfer. Funds receiving instructions from the firm to process the direct transfer may be supplied with the underlying customer account number; therefore, the underlying customer account number may be transmitted through the F55 record.

➤ **Omnibus Account Indicator field**

This field will allow the receiving Firm to identify whether the account on the F55 record for a direct transfer is an omnibus account on the Fund's books

➤ **Cost Basis Money Amount field**

➤ **Earnings to Date Money Indicator field**

➤ **Negative Earnings to Date Indicator field**

The above 3 fields have been added to allow Cost Basis and Earnings to date information to be communicated for 529 accounts.

➤ **Reject Codes**

- Add new Reject Code 'N0' to 'Opposing Clearing/Settling Firm Number' field in the event an invalid value is populated
- Add new Reject Code 'N1' to 'Opposing Network Control Indicator' field in the event an invalid value is populated
- Add new Reject Code 'N2' to 'Omnibus Account Indicator' field in the event an invalid value is populated
- Assign Reject Code 'J6' to 'Cost Basis Money Amount' field in the event an invalid value is populated
- Assign Reject Code 'J7' to 'Earnings to Date Money Indicator' field in the event an invalid value is populated
- Assign Reject Code 'J8' to 'Negative Earnings to Date Indicator' field in the event an invalid value is Populated

Field Name	Start	End	Len	Type	New Description	Opt/Req
System Code	1	1	1	A/N	F = Fund	R
Record Type	2	3	2	N	55 = Activity Detail	R
Sequence Number	4	5	2	A/N	05	R
Clearing/Settling Firm Number	6	9	4	N		R
Clearing /Settling Fund Number	10	13	4	A/N		R
Security Issue Number	14	22	9	A/N		R
Opposing Clearing/Settling Firm Number	23	26	4	N	NSCC participant number of the firm or Fund (in the case of a direct Level 0 Account)	O

Opposing Network Control Indicator	27	27	1	A/N	0 = Level 0 1 = Level 1 2 = Level 2 3 = Level 3 4 = Level 4	O
Opposing Underlying Customer Account Number	28	47	20	A/N		O
Omnibus Account Indicator	48	48	1	A/N	Omnibus Account Indicator Flag 0 or Blank = N; 1 = Y	O
Cost Basis Money Amount	49	64	16	N	99,999,999,999,999.99 This field should be populated for 529 accounts, when applicable	O
Earnings to Date Money Amount	65	80	16	N	99,999,999,999,999.99 This field should be populated for 529 accounts, when applicable	O
Negative Earnings to Date Indicator	81	81	1	A/N	N = Negative Space = Positive This field should be populated for 529 accounts, when applicable	O
Filler	82	100	19	A/N	Space	R

F56, Seq 1 – Activity/Balance Input/Output Trailer

- Add ‘Total Number of Accrual Adjustment Transactions’ field

The addition of this field will provide the total number of “Accrual Adjustments” for new Transaction Type 32 (Accrual Adjustment)

Field Name	Start	End	Len	Type	New Description	Opt/Req
Total Number of Accrual Adjustment Transactions	83	87	5	N	Total for Transaction Type 32	O

Social code fields have been added to the following Networking records as requested by omnibus firms to support omnibus reconciliation needs:

F58, Seq 1 – Position Detail

- Add new Required ‘Social Code’ field
 - Assign Reject Code 68 (Social Code missing/invalid)

Field Name	Start	End	Len	Type	New Description	Opt/Req	Reject Code
Social Code	95	96	2	A/N		R	68

B/F 75, Record 1 of 3 – Share Aging Header³

- Add new Required ‘Social Code’ field
 - Assign Reject Code 68 (Social Code missing/invalid)

Field Name	Start	End	Len	Type	New Description	Opt/Req	Reject Code
Social Code	52	53	2	A/N		R	68
Filler	54	91	38	A/N	Space	R	

F63, Dividend/Capital Gain Detail for Cash Accounts Not Subject to Withholding

- Add new Required ‘Social Code’ field
 - Assign Reject Code 68 (Social Code missing/invalid)

Field Name	Start	End	Len	Type	New Description	Opt/Req	Reject Code
Social Code	88	89	2	A/N		R	68

F64, Seq 1 – Dividend/Capital Gain Detail for Cash Accounts Subject to Withholding

- Add new Required ‘Social Code’ field
 - Assign Reject Code 68 (Social Code missing/invalid)

Field Name	Start	End	Len	Type	New Description	Opt/Req	Reject Code
Social Code	88	89	2	A/N		R	68

F65, Seq 1 – Dividend/Capital Gain Detail for Reinvest Accounts Not Subject to Withholding

- Add new Required ‘Social Code’ field
 - Assign Reject Code 68 (Social Code missing/invalid)

Field Name	Start	End	Len	Type	New Description	Opt/Req	Reject Code
Social Code	104	105	2	A/N		R	68

F66, Seq 2 – Dividend/Capital Gain Detail for Reinvest Accounts Subject to Withholding

- Add new Required ‘Social Code’ field
 - Assign Reject Code 68 (Social Code is missing/invalid)

³ This revision supersedes the original requirement to add the social code to the Share Aging Detail (B/F 76), record 1 of 2. There will be no modifications to the Share Aging Detail (B/F 76) record as part of this release. The Social Code field will be added to the Share Aging Header (B/F 75) as indicated above.

*The addition of this field will change the F66 #2 record from Optional/Conditional to Required.

Field Name	Start	End	Len	Type	New Description	Opt/Req	Reject Code
Social Code	4	5	2	A/N		R	68

F67, Dividend/Capital Gain Detail Record Reinvest Accounts - Supplemental

- **Add new Required 'Social Code' field**
 - Assign Reject Code 68 (Social Code is missing/invalid)

Field Name	Start	End	Len	Type	New Description	Opt/Req	Reject Code
Social Code	88	89	2	A/N		R	68

Reject Code Changes for Networking

- **New Reject Codes Added**
 - Add 5 new reject codes

Reject Code	Description
FW	529 Crossover Account
N0	Opposing Clearing/Settling Firm Number is invalid
N1	Opposing Network Control Indicator is invalid
N2	Omnibus Account Indicator is invalid
N3	Opposing Fund Account Number is missing

- **Networking Reject Code – Description Changes**
 - Change description for reject code 03
 - Change description for reject code F9
 - Change description for reject code H6

Reject Code	Current Description	Change to New Description
03	Clearing Settling Broker Number missing/invalid	Clearing Settling Firm Number missing/invalid
F9	Membership Identified invalid	Membership Identifier invalid
H6	Transfer Disbursement Indicator – Accruals invalid	Accrual Indicator missing/invalid

Standardized Data Reporting (SDR) Enhancements

(Mainframe)

F20, 2 of 2 - SDR Fund Request

➤ **Add Rule to Record Requirement⁴**

- Add Rule 'This record is required if "SDR Request Type" field on F20, Record 1 equals 02 (Plan Level) or 03 (Investor Omnibus Account Level)'
- Record 2 is required when the "SDR Request Type" field on F20, Record 1 equals 02 or 03 due to the "Plan ID/Investor Omnibus Account Number" being on this Record.

Current Rule for 'Record'	New Rule for 'Record'
N/A. This is currently an optional record.	This record is required if "SDR Request Type" field on F20, Record 1 equals 02 (Plan Level) or 03 (Investor Omnibus Account Level).

➤ **Modify Plan ID/Investor Omnibus Account Number field**

- Add Rule 'Required if SDR Request Type equals one of the following'
- Add options 02 (Plan Level) and 03 (Investor Omnibus Account Level) as part of rule
- Change from Optional to Optional/Conditional

This enhancement will provide further detail regarding what level of information is being requested.

➤ **Modify Threshold Amount field**

- Modify Description field to include phrase "Threshold Amount is equal to or greater than (=>) Amount Requested".

This modification is being made to better define the field.

Field Name	Start	End	Len	Type	Current Description	New Description	Opt/Req	New Opt/Req	SDR Reject Code
Plan ID/Investor Omnibus Account Number	6	25	20	A/N		Required if SDR Request Type equals one of the following: 02 (Plan Level) or 03 (Investor Omnibus Account Level)	O	OC	14
Threshold Amount	78	86	9	N	999,999,999	999,999,999 Threshold Amount is equal to or greater than (=>) Amount Requested.	O	-	24

B/U21 2 of 2 – SDR Header

➤ **Correction to 'End' byte field to 24**

Field Name	Start	Current End	Change End Byte field to	Len	Type	Description	Opt/Req	SDR Reject Code
Firm Number	21	246	24	4	A/N		R	06

⁴ This revision adds a rule requirement for F20, Record 2 when the "SDR Request Type" field on F20, Record 1 equals 02 or 03 due to the "Plan ID/Investor Omnibus Account Number" being on this Record.

B/U24 1 of 2 - SDR Detail

➤ **Modify Omnibus Account Indicator field**

- Add Rule “Required if Plan ID/Investor Omnibus Account Number is provided”
- Change from Optional to Optional/Conditional

This enhancement will communicate whether Plan or Omnibus Account is being provided.

➤ **Modify Transaction Code field**

- Change option 53 description from ‘Automated Investment’ to ‘Automated or Systematic’ Transaction

This enhancement better defines transaction code option 53.

Field Name	Start	End	Len	Type	Current Description	New Description	Opt/Req	New Opt/Req	SDR Reject Code
Omnibus Account Indicator	26	26	1	A/N	0 = Plan ID 1 = Investor Omnibus Account	Required if Plan ID/Investor Omnibus Account Number is provided 0 = Plan ID 1 = Investor Omnibus Account	O	OC	15
Transaction Code	47	48	2	A/N	01 = Employee Contribution 02 = Employer Contribution 03 = Additional Contribution 04 = Loan repayment-principal 05 = Loan repayment-interest 06 = Forfeiture 07 = Adjustments 08 = Fund Transfer 09 = Exchange 10 = Conversion Balance Transfer 11 = Non-discrimination refund 12 = Loan Distribution 13 = In-service distribution 14 = Installment Distribution 15 = Termination Distribution 16 = Hardship Distribution 17 = Lump Sum Distribution 18 = QDRO Distributions 19 = Required Minimum Distribution 20 = STR Fee 21 = CDSC Fee 22 = Other Fees 23 = Rebalance 24 = Return of Excess Distribution 25 = Rollover 50 = Initial/Subsequent Purchase 51 = Sell/Redemption 52 = Physical Transfer of Shares 53 = Automated Investment Transaction 60 = Credits 61 = Free Look 62 = Annuitization 63 = Reversals	01 = Employee Contribution 02 = Employer Contribution 03 = Additional Contribution 04 = Loan repayment-principal 05 = Loan repayment-interest 06 = Forfeiture 07 = Adjustments 08 = Fund Transfer 09 = Exchange 10 = Conversion Balance Transfer 11 = Non-discrimination refund 12 = Loan Distribution 13 = In-service distribution 14 = Installment Distribution 15 = Termination Distribution 16 = Hardship Distribution 17 = Lump Sum Distribution 18 = QDRO Distributions 19 = Required Minimum Distribution 20 = STR Fee 21 = CDSC Fee 22 = Other Fees 23 = Rebalance 24 = Return of Excess Distribution 25 = Rollover 50 = Initial/Subsequent Purchase 51 = Sell/Redemption 52 = Physical Transfer of Shares 53 = Automated or Systematic Transaction 60 = Credits 61 = Free Look 62 = Annuitization 63 = Reversals	O	-	34

B/U24, 2 of 2 – SDR Detail

Existing reject codes have been added to the record for the following fields and participants should send the appropriate reject code for these fields:

Registered Representative Number

- Assign existing reject code 20 (RR Number Missing or Invalid)

RR Branch field with Existing Reject Code

- Assign existing reject code 21 (RR Branch Missing or Invalid)

RR Firm field with Existing Reject Code

- Assign existing reject code 22 (RR Firm Missing or Invalid)

Field Name	Start	End	Len	Type	Description	Opt/Req	SDR Reject Code	New Reject Code
Registered Representative (RR) Number	21	29	9	A/N		O	-	20
RR Branch	30	38	9	A/N		O	-	21
RR Firm	39	46	8	A/N		O	-	22

B/U25, 1 of 2 – SDR Summary

➤ Modify Plan ID/Investor Omnibus Account Number field

- Change wording for existing rule from ‘Required if Investor Omnibus Account Number is not provided’ to ‘One of the following is required: Plan ID or Investor Omnibus Account Number’

The modification to this field’s rule will clarify what level of information is being provided.

➤ Modify wording for existing rule from ‘Required if all the following are not provided’ to ‘Required if none of the following are provided’ for the following 4 fields:

- Dollar Value of ALL Participant/Shareholder Buys
- Dollar Value of ALL Participant/Shareholder Sells
- Dollar Value of CATEGORY 1 Participant/Shareholder Buys
- Dollar Value of CATEGORY 1 Participant/Shareholder Sells

The language change to these fields has been requested by SDR participants, to better define the field.

Field Name	Start	End	Len	Type	Current Description	New Description	Opt/Req	Reject Code
Plan ID/Investor Omnibus Account Number	6	25	20	A/N	Required if Investor Omnibus Account Number is not provided	One of the following is required: Plan ID or Investor Omnibus Account Number	R	14
Dollar Value of ALL Participant/ Shareholder Buys	35	50	16	N	99,999,999,999,999.99 Required if all the following are not provided: - Dollar Value of ALL Participant/Shareholder Sells; - Dollar Value of CATEGORY 1	99,999,999,999,999.99 Required if none of the following are provided: - Dollar Value of ALL Participant/Shareholder Sells; - Dollar Value of CATEGORY 1	OC	47

					Participant/Shareholder Buys; - Dollar Value of CATEGORY 1 Participant/Shareholder Sells; - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Sell-Side); - Dollar Value of CATEGORY 1 Participant /Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of CATEGORY 1 Participant /Shareholder Exchanges (Intra-Fund Sell-Side).	Participant/Shareholder Buys; - Dollar Value of CATEGORY 1 Participant/Shareholder Sells; - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Sell-Side); - Dollar Value of CATEGORY 1 Participant /Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of CATEGORY 1 Participant /Shareholder Exchanges (Intra-Fund Sell-Side).		
Dollar Value of ALL Participant/Shareholder Sells	51	66	16	N	99,999,999,999,999.99 Required if all the following are not provided: - Dollar Value of ALL Participant/Shareholder Buys; - Dollar Value of CATEGORY 1 Participant/Shareholder Sells; - Dollar Value of CATEGORY 1 Participant/Shareholder Buys; - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Sell-Side); - Dollar Value of CATEGORY 1 Participant /Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of CATEGORY 1 Participant /Shareholder Exchanges (Intra-Fund Sell-Side).	99,999,999,999,999.99 Required if none of the following are provided: - Dollar Value of ALL Participant/Shareholder Buys; - Dollar Value of CATEGORY 1 Participant/Shareholder Sells; - Dollar Value of CATEGORY 1 Participant/Shareholder Buys; - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Sell-Side); - Dollar Value of CATEGORY 1 Participant /Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of CATEGORY 1 Participant /Shareholder Exchanges (Intra-Fund Sell-Side).	OC	48
Dollar Value of CATEGORY 1 Participant/Shareholder Buys	67	82	16	N	99,999,999,999,999.99 Required if all the following are not provided: - Dollar Value of ALL Participant/Shareholder Buys; - Dollar Value of ALL Participant/Shareholder Sells; - Dollar Value of CATEGORY 1 Participant/Shareholder Sells; - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Sell-Side); - Dollar Value of	99,999,999,999,999.99 Required if none of the following are provided: - Dollar Value of ALL Participant/Shareholder Buys; - Dollar Value of ALL Participant/Shareholder Sells; - Dollar Value of CATEGORY 1 Participant/Shareholder Sells; - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Sell-Side);	OC	49

					CATEGORY 1 Participant /Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of CATEGORY 1 Participant /Shareholder Exchanges (Intra-Fund Sell-Side).	- Dollar Value of CATEGORY 1 Participant/ Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of CATEGORY 1 Participant/ Shareholder Exchanges (Intra-Fund Sell-Side).		
Dollar Value of CATEGORY 1 Participant/ Shareholder Sells	83	98	16	N	99,999,999,999,999.99 Required if all the following are not provided: - Dollar Value of ALL Participant/ Shareholder Sells; - Dollar Value of ALL Participant/Shareholder Buys; - Dollar Value of CATEGORY 1 Participant/Shareholder Buys; - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Sell-Side); - Dollar Value of CATEGORY 1 Participant /Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of CATEGORY 1 Participant /Shareholder Exchanges (Intra-Fund Sell-Side).	99,999,999,999,999.99 Required if none of the following are provided: - Dollar Value of ALL Participant/ Shareholder Sells; - Dollar Value of ALL Participant/Shareholder Buys; - Dollar Value of CATEGORY 1 Participant/Shareholder Buys; - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Sell-Side); - Dollar Value of CATEGORY 1 Participant /Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of CATEGORY 1 Participant /Shareholder Exchanges (Intra-Fund Sell-Side).	OC	50

B/U25, 2 of 2 – SDR Summary

- **Modify wording for existing rule from ‘Required if all the following are not provided’ to ‘Required if none of the following are provided’ for the following 4 fields:**
 - Dollar Value of ALL Participant/Shareholder Exchanges (Intra Fund Buy-Side)
 - Dollar Value of ALL Participant/Shareholder Exchanges (Intra Fund Sell-Side)
 - Dollar Value of CATEGORY 1 of Participant/Shareholder Exchanges (Intra Fund Buy-Side)
 - Dollar Value of CATEGORY 1 of Participant/Shareholder Exchanges (Intra Fund Sell-Side)

The language change to these fields has been requested by SDR participants, to better define the field.

Field Name	Start	End	Len	Type	Current Description	New Description	Opt/Req	Reject Code
Dollar Value of ALL Participant/ Shareholder Exchanges (Intra Fund Buy-Side)	6	21	16	N	99,999,999,999,999.99 Required if all the following are not provided: - Dollar Value of ALL Participant/Shareholder Sells; - Dollar Value of CATEGORY 1 Participant/Shareholder Buys; - Dollar Value of CATEGORY 1 Participant/Shareholder Sells; - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Buy-Side);	99,999,999,999,999.99 Required if none of the following are provided: - Dollar Value of ALL Participant/Shareholder Sells; - Dollar Value of CATEGORY 1 Participant/Shareholder Buys; - Dollar Value of CATEGORY 1 Participant/Shareholder Sells; - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Buy-Side);	OC	54

					- Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Sell-Side); - Dollar Value of CATEGORY 1 Participant /Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of CATEGORY 1 Participant /Shareholder Exchanges (Intra-Fund Sell-Side).	- Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Sell-Side); - Dollar Value of CATEGORY 1 Participant /Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of CATEGORY 1 Participant /Shareholder Exchanges (Intra-Fund Sell-Side).		
Dollar Value of ALL Participant/ Shareholder Exchanges (Intra Fund Sell-Side)	22	37	16	N	99,999,999,999,999.99 Required if all the following are not provided: - Dollar Value of ALL Participant/Shareholder Buys; - Dollar Value of CATEGORY 1 Participant/ Shareholder Sells; - Dollar Value of CATEGORY 1 Participant/Shareholder Buys; - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Sell-Side); - Dollar Value of CATEGORY 1 Participant /Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of CATEGORY 1 Participant /Shareholder Exchanges (Intra-Fund Sell-Side).	99,999,999,999,999.99 Required if none of the following are provided: - Dollar Value of ALL Participant/Shareholder Buys; - Dollar Value of CATEGORY 1 Participant/ Shareholder Sells; - Dollar Value of CATEGORY 1 Participant/Shareholder Buys; - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Sell-Side); - Dollar Value of CATEGORY 1 Participant /Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of CATEGORY 1 Participant /Shareholder Exchanges (Intra-Fund Sell-Side).	OC	55
Dollar Value of CATEGORY 1 of Participant/ Shareholder Exchanges (Intra Fund Buy-Side)	38	53	16	N	99,999,999,999,999.99 Required if all the following are not provided: - Dollar Value of ALL Participant/Shareholder Buys; - Dollar Value of ALL Participant/Shareholder Sells; - Dollar Value of CATEGORY 1 Participant/ Shareholder Sells; - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Sell-Side); - Dollar Value of CATEGORY 1 Participant /Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of CATEGORY 1 Participant /Shareholder Exchanges (Intra-Fund Sell-Side).	99,999,999,999,999.99 Required if none of the following are provided: - Dollar Value of ALL Participant/ Shareholder Buys; - Dollar Value of ALL Participant/Shareholder Sells; - Dollar Value of CATEGORY 1 Participant/ Shareholder Sells; - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Sell-Side); - Dollar Value of CATEGORY 1 Participant/ Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of CATEGORY 1 Participant/ Shareholder Exchanges (Intra-Fund Sell-Side).	OC	56

Dollar Value of CATEGORY 1 Participant/ Shareholder Exchanges (Intra Fund Sell-Side)	54	69	16	N	99,999,999,999,999.99 Required if all the following are not provided: - Dollar Value of ALL Participant/ Shareholder Sells; - Dollar Value of ALL Participant/Shareholder Buys; - Dollar Value of CATEGORY 1 Participant/Shareholder Buys; - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Sell-Side); - Dollar Value of CATEGORY 1 Participant /Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of CATEGORY 1 Participant /Shareholder Exchanges (Intra-Fund Sell-Side).	99,999,999,999,999.99 Required if none of the following are provided: - Dollar Value of ALL Participant/ Shareholder Sells; - Dollar Value of ALL Participant/Shareholder Buys; - Dollar Value of CATEGORY 1 Participant/Shareholder Buys; - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Sell-Side); - Dollar Value of CATEGORY 1 Participant /Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of CATEGORY 1 Participant /Shareholder Exchanges (Intra-Fund Sell-Side).	OC	57
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B/U27, 1 of 2 – SDR Trailer

Existing reject codes have been added to the record for the following fields and participants should send the appropriate reject code for these fields:

Modify Total Acknowledgment field

- Assign existing reject code 88 (Total firm Acknowledgment Items Missing or Invalid)

Modify Total Reject Items field

- Assign existing reject code 89 (Total Firm Reject Items Missing or Invalid)

Modify Total Detail Items field

- Assign existing reject code 62 (Total Detail Items Missing or Invalid)

Modify Total Summary Items field

- Assign existing reject code 63 (Total Summary Items Missing or Invalid)

Total Records field

- Assign existing reject code 64 (Total Records Missing or Invalid)

These changes will identify specific reject codes to be used.

Field Name	Start	End	Len	Type	Description	Opt/Req	SDR Reject Code	New Reject Code
Total Acknowledgment Items	57	65	9	A/N	999,999,999 Number of record type 22 with sequence 01 within this group (Zero Allowed)	R	-	88
Total Reject Items	66	74	9	A/N	999,999,999 Number of record type 23 with sequence 01 within this group (Zero Allowed).	R	-	89

Total Detail Items	75	83	9	A/N	999,999,999 Number of record type 24 with sequence 01 within this group (Zeroes Allowed).	R	-	62
Total Summary Items	84	92	9	A/N	999,999,999 Number of record type 25 with sequence 01 within this group (Zeroes Allowed).	R	-	63
Total Records	93	101	9	A/N	999,999,999 Total Number of PHYSICAL Records (including SDR headers and trailers) within the group.	R	-	64

Reject Code Changes for SDR (Standardized Data Reporting)

New Reject Codes Added

- Create new A2 reject code
- Create new A3 reject code

These additional reject codes have been created to better define rejects that are being passed with a 31 reject code (Did Not Find Data that Matches the Request).

Reject code 31 will be eliminated. It is recommended that programming changes be made at this time to avoid future issues.

New Reject Code	Description
A2	Plan ID Requested is Closed
A3	Requested Criteria Matched – No Transaction Activity Exists

SDR Reject Code – Maintenances

- Change description for reject code 30
- Change description for reject code 71
- Change description for reject code 74

These modifications will provide better explanation as to why rejection occurred.

Reject Code	Current Description	Change to New Description
30	Correction Indicator Invalid	Correction Indicator Provided is Not a Valid Option Found on the Record Layout
71	Date Range Not Supported	Intermediary Does Not Maintain Data for Time Period Requested
74	Named Firm Does Not Have Information	This Tier of Intermediary Does Not Maintain the Requested Data