



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

### **8.02 DIREDA: Participant Report via CCF and CCF-II Function User's Guide**



Copyright © 1999 by The Depository Trust Company ("DTC"). All rights reserved. This work is proprietary and is intended for the exclusive use of DTC's Participants and other users of DTC's services. No part of this work may be reproduced or distributed (including by transmission) in any form or by any means, or stored in any information storage and retrieval system, without DTC's prior written permission.

All requests for additional copies of this work or inquiries about this work should be directed to DTC Participant Interface Planning, The Depository Trust Company, 55 Water Street, New York, NY 10041, USA.



## 8.02 DIREDA: Participant Report via CCF and CCF-II Function User's Guide

### Table of Contents

| Section   | Page     |
|---|----------|
| <b>1.0 Overview</b> .....                       | <b>1</b> |
| <b>2.0 The DIREDA Function</b> .....            | <b>2</b> |
| 2.1 Availability of DIREDA .....                | 2        |
| 2.2 Holiday Processing .....                    | 2        |
| <b>3.0 DIREDA Record Information</b> .....      | <b>3</b> |
| 3.1 The CCF Header Record .....                 | 3        |
| 3.2 The CCF-II Header and Trailer Records ..... | 4        |
| <b>4.0 The DIREDA Detail Record</b> .....       | <b>5</b> |



## 1.0 Overview

This document describes DTC's DIREDA function, the means by which DTC can supply Paying Agents with expected receipts information via DTF, DTC's Data Transmission Facility. This information is generated once a day.

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

Users who communicate with DTC via CCFUSER software should read the CCF User Guide before reading this document.

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



## 2.0 The DIREDA Function

A DTC Paying Agent may request the DIREDA function. This function gives Dividend- Dispersing Agents the ability to obtain expected receipts information via a DTF transmission in machine-readable format. This function provides the agent with expected receipts information before the payable date. The file contains information for agents to pre-balance or confirm their receivables. Such information will be provided to agents on the CUSIP level on a daily basis. It will be accompanied by pre-generated control numbers which will be used to DTC to identify confirmations and wire payments on the payable date.

When confirming, agents should include control numbers on confirmation and on wire payments.

An eligible user who is a DTC Participant may use the DIREDA function to receive his status in machine-readable format via DTF.

### 2.1 Availability of DIREDA

The DIREDA function will generally be available from approximately 5:00 a.m. to 5:00 p.m. the same day.

### 2.2 Holiday Processing

The following describes the DIREDA processing for the various types of holidays that DTC is subject to.

- 1 - All Closed - Banks, Exchange and DTC closed: (New Years Day, Presidents Day, Memorial Day, July 4th, Labor Day, Thanksgiving Day, and Christmas Day)  
*No DIREDA file will be created and no DIREDA file will be available.*
- 2 - Banks Closed, Exchange Open and DTC Open (Columbus Day, Veterans Day)  
*A DIREDA file will be created and will be available.*
- 3 - Banks Open, DTC Open, Exchange Closed (Good Friday)  
*A DIREDA file will be created and will be available.*
- 4 - Exchange Open, Banks and DTC Closed (Martin Luther King Day)  
*No DIREDA file will be created and no DIREDA file will be available.*



### 3.0 DIREDA Record Information

The DIREDA file is available via CCF and CCF-II.

Users requesting DIREDA via CCF will normally receive a file comprised of a CCF Header record followed by the DIREDA detail records.

Users requesting DIREDA via CCF-II will receive a file comprised of CCF-II Header and Trailer records separated by the DIREDA detail records.

### 3.1 The CCF Header Record

The first record on the function file will be a header record when “HEADER=YES” is specified as a CCFDTFDB parameter. The header record contains information regarding the creation of the file.

| Position | Length | Format    | Field contents   |
|----------|--------|-----------|--|
| 1-6      | 6      | Character | Data type name with which this data was requested (function name). |
| 7-12     | 6      | Character | Data type name with which data was created (function name).        |
| 13-20    | 8      | Character | Date of data (MM/DD/YY).   |
| 21-28    | 8      | Character | DTC data load date (MM/DD/YY).                                     |
| 29-36    | 8      | Character | DTC data load time (HH:MM:SS).                                     |
| 37-38    | 2      | Binary    | Size of each data record.  |
| 39-42    | 4      | Binary    | Number of data blocks input to CCFDTFDB.                           |
| 43-46    | 4      | Binary    | Number of data records.  |
| 47       | ???    | Character | Reserve space for future expansion.                                |



### 3.2 The CCF-II Header and Trailer Records

Please note that the Header and Trailer records are identical except for the first and last field of each record.

| Position | Length | Format    | Field Contents  |
|----------|--------|-----------|---|
| 1-3      | 3      | Character | Record ID "HDR" or "TLR".   |
| 4-7      | 4      | Character | Signon ID.  |
| 8-13     | 6      | Character | Data Type Requested.  |
| 14-19    | 6      | Character | Data Type Created.  |
| 20-27    | 8      | Character | Data Creation Date (MM/DD/YY).  |
| 28-35    | 8      | Character | Data Load Date (MM/DD/YY).  |
| 36-43    | 8      | Character | Data Load Time (HH:MM:SS).  |
| 44-47    | 4      | Numeric   | Record Length of data requested.  |
| 48-55    | 8      | Numeric   | Number of data records in file.   |
| 56-59    | 4      | Numeric   | Number of 80-byte records per data type requested.                                      |
| 60-74    | 15     | Character | Reserve space (zero-filled) for future use.   |
| 75-80    | 6      | Numeric   | Numbering Sequence. Used as a data integrity check.<br>HDR ==> 000000<br>TLR ==> 999999 |



#### 4.0 The DIREDA Detail Record

| Position | Length | Format    | Field Name                | DIREDA Detail Record Field Description   |
|----------|--------|-----------|---------------------------|--|
| 1-26     | 26     |           |                           | TRANSACTION HEADER   |
| 1-1      | 1      | Character | Feedback Indicator        | A constant "*" indicates an output message in the new format.                                      |
| 2-2      | 1      | Character | Test/Production Indicator | For this function a constant "P" indicates a production system message.                            |
| 3-8      | 6      | Character | Record Type               | A constant DIREDA indicating the name of the function.   |
| 9-10     | 2      | Numeric   | Record Suffix             | A constant "01."   |
| 11-12    | 2      | Numeric   | Version Number            | The version number associated with this record format; a constant "01."                            |
| 13-18    | 6      | Character | Filler                    | For DTC use only.  |
| 19-26    | 8      | Character | Addressee ID              | The dispersing agent who is responsible for paying the dividend.                                   |
| 27-34    | 8      | Character | Expected Payment Date     | Date payment is expected by DTC. May be different from announcement pay date.<br>FORMAT = CCYYMMDD |
| 35-42    | 8      | Character | Dividend Payment Date     | The agent who is responsible for paying the dividend.  |
| 43-44    | 2      | Character | Payment Method            | Identifies the agent's method of payment.  |
| 45-56    | 12     | Character | Security CUSIP Type       | The security number used to identify the issue.  |
| 57-64    | 8      | Character | Announcement Pay Date     | Identifies the date the benefit will be distributed.<br>FORMAT = CCYYMMDD                          |





| Position | Length | Format    | Field Name                    | DIREDA Detail Record Field Description  |
|----------|--------|-----------|-------------------------------|---|
| 65-66    | 2      | Character | Announcement<br>Function Type | <p>The type of benefit to be distributed.</p> <p><u>Applicable to cash dividends</u></p> <ul style="list-style-type: none"> <li>07 - Cash pn increased shares</li> <li>08 - Cash dividends</li> <li>13 - Cash bonds interest</li> <li>14 - Option dividends setup</li> <li>17 - Option dividends to cash</li> <li>19 - Cash options dividends functions</li> <li>35 - Tax exempt dividends</li> </ul> <p><u>Applicable to stock dividends</u></p> <ul style="list-style-type: none"> <li>02 - Stock split</li> <li>06 - Stock dividends</li> <li>11 - Stock spinoffs - ineligible</li> <li>12 - Stock spinoffs - eligible</li> <li>14 - Option dividends setup</li> <li>15 - Option dividends to stock</li> <li>16 - Option dividends 15 &amp; 17</li> <li>18 - Option dividends to stock</li> <li>20 - Stock option dividends fraction roundup</li> <li>21 - Stock option dividends fraction roundup</li> <li>25 - Principal payment, pass throughs</li> <li>30 - Dividend reinvestment service</li> </ul> |



| Position | Length | Format    | Field Name               | DIREDA Detail Record Field Description   |
|----------|--------|-----------|--------------------------|--|
| 67       | 1      | Character | Security Issue Type      | <p>The type of announcement issue.</p> <p><u>Description of issue types</u></p> <ul style="list-style-type: none"> <li>0 - Common, ordinary etc.</li> <li>1 - Preferred, preference etc.</li> <li>2 - Warrant or right</li> <li>3 - Convertible bond</li> <li>4 - Unit</li> <li>5 - Municipal bond</li> <li>6 - Corporate or Government debt issues</li> <li>7 - Mutual fund</li> <li>8 - Certificate</li> <li>9 - Foreign</li> <li>A - Other</li> <li>B - Option</li> <li>C - Contracts: commodities, T-bill futures, foreign currencies</li> <li>D - Unit trust - Corporate</li> <li>E - Unit trust - Muni</li> <li>F - Non NASDAQ OTC</li> <li>G - Convertible preferred</li> <li>H - U.S. Treasury notes</li> <li>I - U.S. Treasury bonds</li> <li>J - U.S. Treasury bills</li> <li>K - Federal home loan banks</li> <li>L - Federal Home Loan Mortgage Corps.</li> <li>M - Federal land banks</li> <li>N - Federal national mortgage assoc</li> <li>O - Federal national mortgage assoc partnership</li> <li>P - Government national mortgage assoc</li> <li>R - Farmers home administration</li> <li>S - General service administration</li> <li>T - Twelve federal land banks</li> <li>U - Twelve federal international credit banks</li> <li>V - Thirteen banks for cooperatives</li> <li>W - International American development bank</li> <li>X - International bank for reconstruction and development</li> <li>Y - Export Import</li> <li>Z - Other government: <ul style="list-style-type: none"> <li>- U.S. Postal Service</li> <li>- Tennessee Valley Authority</li> </ul> </li> </ul> |
| 68-75    | 8      | Character | Announcement Record Date | <p>The date the position must be owned in order to receive the benefit.</p> <p>FORMAT = CCYYMMDD</p>   |