

# IMPORTANT NOTICE

**The Depository Trust Company**



**B#:** B0811-11  
**Date:** 05/24/2011  
**To:** All Participants  
**Category:** Operations  
**From:** Product Management  
**Attention:** Managing Partner/Officer; Cashier; Operations, Data Processing and Underwriting  
**Subject:** Enhancements to DTC 's Data Delivery Service files and Eligible Securities files (ELIS)

DTC's Data Delivery Service files and Eligible Securities files (ELIS) are being enhanced to include additional data elements. There is no disruption to existing processing as the new data elements are being added to available filler on each record. The record lengths will not change and no action is required unless a Participant wishes to process the new data elements.

These changes will be implemented on June 10, 2011.

## New data elements

**Issue Type** describes the category of the Security. Possible values are 1 – Equity or 5 – Corporate.

**Issue Type** is being added to the:

- Eligible Corporate Securities file (ELISC)
- Eligible Corporate Securities Changes file (ELISCA)

The **Global Lock Indicator** is used to determine if a Security is currently frozen and globally locked for any activity at DTC. Valid values are 'Y' – Yes and 'N' – No. .

The **Global Lock Reason Code** provides a reason when the Global Lock Indicator is set the 'Y'. Valid values are space and '0' to '9'.

- This field is set to space when the Global Lock Indicator = 'N'. It means the Global Lock Reason Code is not applicable.
- A Global Lock Reason Code = '0' means the Security is globally locked.
- A Global Lock Reason Code = '1' means the Security has been globally locked by DTC operations for regulatory control reasons. Values '2' through '9' are reserved for future use.

The **Global Lock Indicator** and the **Global Lock Reason Code** are being added to the:

DTCC is now offering enhanced access to all important notices via a new, Web-based subscription service. The new notification system leverages RSS Newsfeeds, providing significant benefits including real-time updates and customizable delivery. To learn more and to set up your own DTCC RSS alerts, visit [http://www.dtcc.com/subscription\\_form.php](http://www.dtcc.com/subscription_form.php).

To remove your name from the former system of email notifications, send a message to [unsubscribe@dtcc.com](mailto:unsubscribe@dtcc.com).

- Data Delivery Service files, Deposit Status Message (D06) record
- Eligible Corporate Securities file (ELISC)
- Eligible Corporate Securities Changes file (ELISCA)
- Eligible Municipal Securities file (ELISM)
- Eligible Municipal Securities Changes file (ELISMA)

Updated specifications are attached and will be available on the DTCC Website on June 10, 2011.

- Eligible Security files specifications are available under [CCF files](#) in the Underwriting section.
- Data Delivery Service are available at this link: [Data Delivery Service](#).

Questions regarding this notice should be directed to John Yelle, Product Manager, Customer and Security Reference Data at [jyelle@dtcc.com](mailto:jyelle@dtcc.com).