

EXCHANGE TRADED FUND (ETF)

**RECORD LAYOUT: ENHANCED CONSOLIDATED PORTFOLIO COMPOSITION INPUT DATA FILE: DATATRAK
PRODUCTION 11301/TEST 41301**

JUNLY 1, 2020

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Title: Record Layout: Enhanced Consolidated Portfolio Composition Input Data File: DATATRAK Production 11301/Test 41301

Record Layout: Enhanced Consolidated Portfolio Composition Input Data File: DATATRAK Production 11301/Test 41301

The following sections show the consolidated PCF fields for the Enhanced Consolidated Portfolio Composition Input Data File: DATATRAK Production 11301/Test 41301 record layout.

Note

Values modified from the previous version appear in **red**. All record types are now 450 bytes in length due to the addition of new fields. Additionally, in response to industry requests, several exiting fields were expanded to handle additional decimal places. For example, Net Asset Value Per Creation Unit and Net Asset Value Per ETF. Due to the expansion of existing fields, subsequent fields have different start and end places within the specification, which demands modification even if ETF agents do not use the new data elements.

Type 1–Header Record

The following table show the type 1–Header Record details for DATATRAK Production 11301/Test 41301.

Type 1–Header Record

DATATRAK Production 11301/Test 41301 Type 1 – Header Record Required record type for all portfolios. Record length=450						
Seq	Description	Length	Start	Type	Comments	Required/Optional Field
1	Record Type	2	1	A/N	01 = Record Type 1	Required
2	File Description	25	3	A/N	Portfolio Composition	Optional
3	ETF Agent	8	28	N	NSCC Member Number. Right justified with leading zeros.	Required
4	File Identifier	8	36	A/N	Input File Number.	Optional
5	Processing Date	8	44	N	CCYYMMDD	Required
6	Processing Time	6	52	N	HHMMSS	Optional
7	Future Use	393	58			
END OF RECORD						

Type 2–Portfolio Header Record

The following table show the type 2–Portfolio Header record details for DATATRAK Production 11301/Test 41301.

Type 2–Portfolio Header Record

DATATRAK Production 11301/Test 41301 Type 2 – Portfolio Header Record Required record type for all portfolios. Record Length = 450						
Seq	Description	Length	Start	Type	Comments	Required/Optional Field
1	Record Type	2	1	A/N	02 = Record Type 2	Required
2	NSCC Portfolio ID	9	3	A/N	NSCC assigned Portfolio ID of the basket	Required
3	ETF Agent	8	12	N	NSCC member number. Right-justified with leading zeros.	Required
4	Component Count	8	20	N	99,999,999	Required
5	Estimated T-1 Cash Amount Per Creation Unit	14	28	N	999,999,999,999.99	Optional* *must be numeric
6	Sign field for Estimated T-1 Cash Amount Per Creation Unit	1	42	A/N	<ul style="list-style-type: none"> • "-" = Negative value • Space = Positive value • All other values are treated as a space (positive value) 	Optional
<p>Note: Sequence 7, 11, and 21 are existing fields that have been expanded from 5 to 6 decimal places. Due to this expansion, all subsequent fields have new placement within the file. ETF agents must adjust to the new placement of all fields.</p>						
7	Net Asset Value Per Creation Unit	18	43	N	999,999,999,999.999999 Decimal place expands to 6 digits.	Optional* *must be numeric
8	Sign field for Net Asset Value Per Creation Unit	1	61	A/N	<ul style="list-style-type: none"> • "-" = Negative value • Space = Positive value • All other values are treated as a space (positive value) 	Optional
9	Estimated T-1 Cash Amount Per ETF	14	62	N	999,999,999,999.99	Optional* *must be numeric

Type 2–Portfolio Header Record (Continued)

DATATRAK Production 11301/Test 41301 Type 2 – Portfolio Header Record Required record type for all portfolios. Record Length = 450						
Seq	Description	Length	Start	Type	Comments	Required/Optional Field
10	Sign field for Estimated T-1 Cash Amount Per ETF	1	76	A/N	<ul style="list-style-type: none"> • "-" = Negative value • Space = Positive value • All other values are treated as a space (positive value) 	Optional
11	Net Asset Value Per ETF	18	77	N	999,999,999,999.999999 Decimal place expands to 6 digits.	Optional* *must be numeric
12	Sign field for Net Asset Value Per ETF	1	95	A/N	<ul style="list-style-type: none"> • "-" = Negative value • Space = Positive value • All other values are treated as a space (positive value) 	Optional
13	Total Cash Amount Per Creation Unit	14	96	N	999,999,999,999.99	Optional* *must be numeric
14	Sign field for Total Cash Amount Per Creation Unit	1	110	A/N	<ul style="list-style-type: none"> • "-" = Negative value • Space = Positive value • All other values are treated as a space (positive value) 	Optional
15	Total Shares Outstanding Per ETF	12	111	N	999,999,999,999	Optional* *must be numeric
16	Dividend Amount Per ETF on T-1	14	123	N	999,999,999,999.99	Optional* *must be numeric
17	Sign field for Dividend Amount Per ETF on T-1	1	137	A/N	<ul style="list-style-type: none"> • "-" = Negative value • Space = Positive value • All other values are treated as a space (positive value) 	Optional

Type 2–Portfolio Header Record (Continued)

DATATRAK Production 11301/Test 41301 Type 2 – Portfolio Header Record Required record type for all portfolios. Record Length = 450						
Seq	Description	Length	Start	Type	Comments	Required/Optional Field
18	Estimated value of Cash-in-lieu Components per Creation Unit	14	138	N	999,999,999,999.99	Optional* *must be numeric
19	Cash Only Indicator	1	152	A/N	<ul style="list-style-type: none"> Y = Cash Only (Create/Redeem with Cash Only) Space = No restrictions (any combination of cash or securities) 	Optional
20	ETF Expense Ratio on T–1	3	153	N	Expressed in basis points.	Optional* *must be numeric
21	Total Net Asset Value of ETF Fund on T–1	18	156	N	999,999,999,999.999999 Decimal place expands to 6 digits.	Optional* *must be numeric
<p>Note: Sequence 22 is used for Rebalance baskets only allowing for different unit sizes on rebalancing. If supplied on the portfolio composition file (PCF), the ETF Basket Unit Size will be used to calculate ETF shares for settlement. If not supplied, NSCC calculates the ETF shares using the Creation Unit originally submitted when the NSCC Portfolio IDs are requested at the ETF launch.</p>						
22	ETF Basket Unit Size	9	174	N	Defines the size of this basket that is different from the ETF Creation Unit size. Specified only on Rebalance baskets. All zeroes if not provided. 999,999,999	Optional* *must be numeric
<p>Note: Sequence 23 through 32 are optional fields requested by the industry primarily for use in the Pricing and Negotiated basket types. All fields are optional, yet still need to be populated with zeros or spaces, as specified in the Required/Optional Field column of this table. These fields allow for submission of full fund PCFs with asset types that are not normally reported on the clearing eligible PCFs. Pricing baskets will never be clearing eligible.</p>						
23	Variable Fees	8	183	N	999,999.99	Optional* *must be numeric
24	Baby Bond Cash Value	10	191	N	99,999,999.99	Optional* *must be numeric

Type 2–Portfolio Header Record (Continued)

DATATRAK Production 11301/Test 41301 Type 2 – Portfolio Header Record Required record type for all portfolios. Record Length = 450						
Seq	Description	Length	Start	Type	Comments	Required/Optional Field
25	Fixed Income Face Value Adjustment	10	201	N	99,999,999.99	Optional* *must be numeric
26	Fund LEI	20	211	A/N	Legal entity identifier of the fund.	Optional
27	Fund Size	23	231	N	Fund AUM, at the share class or product level. 99,999,999,999.999999999999	Optional* *must be numeric
28	Share Class Apportionment Ratio	1	254	N	Identifies if the fund has share classes and the proportional ownership of the fund if it has share classes. For U.S., ETFs always = 1. Space if not provided.	Optional
29	Projected Transaction Fee	7	255	N	EMEA-specific: estimated transaction fee. 99,999.99	Optional* *must be numeric
30	Date for Projected Transaction Fee	8	262	N	Effective trade date of the basket, in CCYYMMDD format.	Optional* *must be numeric or spaces
31	Confirmed Transaction Fee	7	270	N	Actual cost of the transaction - also known as the Create/Redeem fee. 99,999.99	Optional* *must be numeric

Type 2–Portfolio Header Record (Continued)

DATATRAK Production 11301/Test 41301 Type 2 – Portfolio Header Record Required record type for all portfolios. Record Length = 450						
Seq	Description	Length	Start	Type	Comments	Required/Optional Field
32	Date for Confirmed Transaction Fee	8	277	N	Effective trade date of the basket, in CCYYMMDD format. Space if not provided.	Optional* *must be numeric or spaces
33	Projected Cash for Pricing Basket	14	285	N	Projected cash figure for trade date based on pricing basket. 999,999,999,999.99	Optional* *must be numeric or spaces
34	Baskets Outstanding	6	299	N	Number of basket/units outstanding in the fund, at the share class or product level. 999999	Optional* *must be numeric or spaces
<p>Note: Sequence 35, Pricing Usage Indicator, is used to specify if the Standard basket should be used as a Pricing basket for passive Index Funds. In cases where Y is submitted, the ETF Agent or Sponsor will not provide a full holdings pricing file. Consumers of the PCF output should use the Standard basket for pricing or continue current practices for pricing. If N is submitted the ETF Agent or Sponsor will submit a separate full fund holdings Pricing basket.</p> <p>The new Pricing Usage Indicator has the following edits and controls:</p> <ul style="list-style-type: none"> • If Y is submitted and a separate Pricing basket for the same fund is also submitted, the Pricing basket will be rejected. • If N is submitted and a separated Pricing basket is not submitted, a WARN message will be issued. • If a Pricing basket is submitted and no Standard basket for the same fund is submitted, the Pricing basket is rejected at the end of the day. <p>See message codes 268, 269, and 283 in the Message Codes and Descriptions section.</p>						
35	Pricing Usage Indicator	1	305	A	<ul style="list-style-type: none"> • Y = Standard Basket to be used as Pricing basket. • N = Full Fund Pricing basket will be submitted for this fund. • Space = Defaults to Y 	Optional

Type 2–Portfolio Header Record (Continued)

DATATRAK Production 11301/Test 41301 Type 2 – Portfolio Header Record Required record type for all portfolios. Record Length = 450							
Seq	Description	Length	Start	Type	Comments	Required/Optional Field	
36	Creation Order Usage	1	306	A	<ul style="list-style-type: none"> • Y = Standard NSCC Instruction ID to be used for Standard and Create orders. • N = Create Only basket (basket type 05) will be submitted and published on ETF output. The NSCC Portfolio ID associated with the type 05 basket is to be used for creation orders. • Space = Defaults to Y 	Optional	
37	Redemption Order Usage	1	307	A	<ul style="list-style-type: none"> • Y = Standard NSCC Instruction ID to be used for Standard and Redemption orders. • N = Redeem Only basket (basket type 06) submitted and published on ETF output. The NSCC Portfolio ID associated with the type 06 basket is to be used for redemption orders. • Space = Defaults to Y 	Optional	
38	Future Use	143	308		Spaces		
End of Record							

Type 3–Detail Component Record

The following table show the type 3–Detail Component record for DATATRAK Production 11301/Test 41301. This record type is required for portfolios, but optional for the Cash Only portfolio.

Type 3–Detail Component Record

DATATRAK Production 11301/Test 41301						
Type 3 – Detail Component Record						
Required record type, except for the optional Cash Only portfolio.						
Record length=450						
Seq	Description	Length	Start	Type	Comments	Required/Optional Field
1	Record Type	2	1	A/N	03 = Record Type 3 One per component.	Required
2	NSCC Portfolio ID	9	3	A/N	NSCC assigned Portfolio ID of the basket.	Required
3	Component ID Code	2	12	A/N	<ul style="list-style-type: none"> • 01 = CUSIP • 02 = SEDOL • 03 = ISIN • 04 = ISIN/SEDOL • 05 = Bloomberg • 06 = Reuters • 07 = ICE/NYSE Life • 99 = Other 	Required
Note: Type 99 Component ID Code is a catch all for underlying assets without standardized identifiers. Components with ID Code type 99 = Other do not require Component ID Sequence 4. NSCC passes only the description provided. In all other cases, NSCC passes the ID code provided in Sequence 4.						
4	Component ID	25	14	A/N	Defined by the value in the Component ID Code field.	Required
	• CUSIP	9	14	A/N	Identifies the domestic component.	
	• SEDOL	7	14	A/N	Official SEDOL number.	
	• ISIN	12	14	A/N	Official ISIN number. Identifies the foreign or domestic component.	
	• ISIN/SEDOL	19	14	A/N	Combination ISIN/SEDOL Recommended for non-US domiciled securities.	

Type 3–Detail Component Record (Continued)

DATATRAK Production 11301/Test 41301 Type 3 – Detail Component Record Required record type, except for the optional Cash Only portfolio. Record length=450						
Seq	Description	Length	Start	Type	Comments	Required/Optional Field
	◦ ISIN	12	14	A/N	International Securities Identification Number.	
	◦ SEDOL	7	26	A/N	Stock Exchange Daily Official List.	
	• Bloomberg			A/N	Alternative market identifier code.	
	• Reuters			A/N	Reuters instrument code (RIC). Alternative market identifier code.	
	• ICE/NYSE Life			A/N	Alternative market identifier code.	
	• All other types	25	14	A/N	Free form field identifying other types of identifier codes.	
Note: Sequence 5 is an existing field that has been expanded for Fixed Income Clearing - Phase 2 updates. Due to this expansion, all subsequent fields have new placement within the file. ETF agents must adjust to the new placement of all fields.						
5	Component Quantity	21	39	N	Quantity of component per creation unit (par value for fixed income securities). 9,999,999,999.99999999	Required
6	Sign Field for Component Quantity	1	60	A/N	<ul style="list-style-type: none"> • "-" indicates negative value (short position) • Space = Positive value • All other values are treated as a space (positive value) Note: A component with negative quantity (short component) can only be created/redeemed for cash.	Optional
7	External Settlement Date	8	61	N	ETF agent provided settlement date for non-DTC settling components, in CCYYMMDD format.	Optional

Type 3–Detail Component Record (Continued)

DATATRAK Production 11301/Test 41301 Type 3 – Detail Component Record Required record type, except for the optional Cash Only portfolio. Record length=450						
Seq	Description	Length	Start	Type	Comments	Required/Optional Field
8	New Security Indicator	1	69	A/N	<ul style="list-style-type: none"> • N = New component in Portfolio • Space = Not new 	Optional
9	Cash In Lieu Indicator	1	70	A/N	<ul style="list-style-type: none"> • Y = ETF agent provided indicator for component to be substituted for cash in a create/redeem. • Space = No substitution <p>Note: CIL is set to X by NSCC if one of the following conditions is met for create / redeem eligible portfolios:</p> <ul style="list-style-type: none"> • Component is not in NSCC Security Master database • Portfolio is a cash only portfolio 	Optional
10	Component Description	60	71	A/N	ETF agent defined description.	Optional

Type 3–Detail Component Record (Continued)

DATATRAK Production 11301/Test 41301 Type 3 – Detail Component Record Required record type, except for the optional Cash Only portfolio. Record length=450						
Seq	Description	Length	Start	Type	Comments	Required/Optional Field
Notes:						
<ul style="list-style-type: none"> Sequence 11, 12, and 13 can be used on Pricing basket types. They have also been added in preparation for Phase 2, clearing of ETFs with Corporate and Municipal Fixed Income underlying assets. Sequence 12 and 13 take effect when the Phase 1 PCF Enhancements are deployed. For Sequence 12 and 13, the descriptions are expected to change after the deployment of ETF Phase 2. For more information about the full requirements, see the ETF Phase 2: Clearing Enhancements to Support Fixed Income Assets for Corporate, Municipal, and UIT (CMU) document. 						
11	When Issued Indicator	1	131	A/N	When Issued indicator: <ul style="list-style-type: none"> Y = When Issued N = Not When Issued 	Optional
12	<ul style="list-style-type: none"> Accrued Interest T1 (Phase 1) Accrued Interest Nonstandard Settlement (Phase 2) 	11	132	N	999,999,999.99	Optional* *must be numeric or spaces
13	<ul style="list-style-type: none"> Accrued Interest T2 (Phase 1) Accrued Interest Standard Settlement (Phase 2) 	11	143	N	999,999,999.99	Optional* *must be numeric or spaces
Note: Sequence 14 through 33 are optional fields requested by the industry primarily for use in Pricing and Negotiated basket types. All fields are optional, yet still need to be populated with zeros or spaces, as specified in the Required/Optional Field column of this table. These fields allow for submission of full holdings PCFs with asset types that are not normally reported on the clearing eligible PCFs. Pricing baskets will never be clearing eligible.						
14	Asset Class	27	154	A	Free form field to identify the asset class of the security.	Optional

Type 3–Detail Component Record (Continued)

DATATRAK Production 11301/Test 41301 Type 3 – Detail Component Record Required record type, except for the optional Cash Only portfolio. Record length=450							
Seq	Description	Length	Start	Type	Comments	Required/Optional Field	
15	Excluded From Pricing	21	181	N	<p>Pricing Basket Only</p> <p>Quantity of securities owned by the fund per basket/unit, but difficult to price.</p> <p>Securities that should be priced intraday, but cannot be priced on the NAV date.</p> <p>Pre-corporate action prices and shares would be included as part of this basket.</p> <p>Examples: Complex corporate actions and fair-valued names.</p> <p>9,999,999,999,999.99999999</p>	Optional* *must be numeric or spaces	
16	Price (in Fund Base Currency)	24	202	N	<p>Pricing Basket Only</p> <p>Price of the security on the NAV date.</p> <p>999,999,999,999,999.999999</p>	Optional* *must be numeric or spaces	
17	Local Currency	3	226	A	Identifies the currency of the security. For example, USD.	Optional	
18	Factor	24	229	N	<p>Decimal value reflecting a proportion of the outstanding principal value of the factor bonds that changes over time. Also applies to equity factors, such as stock split on ex date.</p> <p>999,999,999,999,999.999999</p>	Optional* *must be numeric or spaces	

Type 3–Detail Component Record (Continued)

DATATRAK Production 11301/Test 41301 Type 3 – Detail Component Record Required record type, except for the optional Cash Only portfolio. Record length=450						
Seq	Description	Length	Start	Type	Comments	Required/Optional Field
19	Synthetics Local Currency	3	253	A	Identifies the currency of the security. For example, USD.	Optional
20	Synthetics Price Multiplier	24	256	N	Designated price multiplier. 999,999,999,999,999,999.999999	Optional* *must be numeric or spaces
21	Synthetics Contract Size	24	280	N	Agreed notional size of the futures contract. 999,999,999,999,999,999.999999	Optional* *must be numeric or spaces
22	Synthetics Average Contract Open Price	24	304	N	Average of the future trade price. 999,999,999,999,999,999.999999	Optional* *must be numeric or spaces
23	FX Rates Base Currency	3	328	A	Identifies the base currency of the fund. For example, USD	Optional
24	FX Rates Currencies	3	331	A	Spot FX rates of respective currencies against the base currency of the fund. For example, EUR, GBR, and USD.	Optional
25	FX Forwards Currency Pair	6	334	A	Identifies the currency pair associated with the FX forward. For example, EURUSD	Optional
26	FX Forwards Value Date	8	340	N	Settlement date of the FX forward, in CCYYMMDD format.	Optional* *must be numeric or spaces
27	FX Forwards Quantity	9	348	N	Fund hedged quantity. 9,999,999.99	Optional* *must be numeric or spaces

Type 3–Detail Component Record (Continued)

DATATRAK Production 11301/Test 41301 Type 3 – Detail Component Record Required record type, except for the optional Cash Only portfolio. Record length=450							
Seq	Description	Length	Start	Type	Comments	Required/Optional	Field
28	FX Forwards Rate	7	357	N	Interpolated rate: rate used for NAV calculation, including forward point interpolation. 9.999999	Optional*	*must be numeric or spaces
29	FX Forwards Value	9	364	N	Currency market value of the FX forward. 9,999,999.99	Optional*	*must be numeric or spaces
30	FX Forwards Currency	3	373	A	Identifies the base currency of the FX forward contract. For example, EUR	Optional	
31	SWAPs Notional Value	7	376	N	Total amount of a security's underlying asset. 9,999,999	Optional*	*must be numeric or spaces
32	SWAPs Spread	5	383	N	Cost of the underlying fee from the SWAP counterparty. 9.9999	Optional*	*must be numeric or spaces
33	SWAPs Market Value	9	388	N	Agreed upon price of the SWAP. 9,999,999.99	Optional*	*must be numeric or spaces
34	Future Use	54	397		Spaces		
END OF RECORD							

Type 4–Custom/Restricted Distribution Record

The following table show the Type 4–Custom Distribution Record for DATATRAK Production 11301/Test 41301.

Type 4–Custom Distribution Record

DATATRAK Production 11301/Test 41301						
Type 4 – Custom/Restricted Distribution Record						
Required record type for Restricted (Custom) and Rebalance portfolios.						
Record length=450						
Seq	Description	Length	Start	Type	Comments	Required/Optional Field
1	Record Type	2	1	A/N	04 = Record Type 4	Required
2	NSCC Portfolio ID	9	3	A/N	NSCC assigned Portfolio ID of the basket	Required
3	Specified recipient	8	12	A/N	Clearing number of the authorized participant to receive this file. - or - LIST = Distribution of authorized participants associated with the ETF agent. - or - ALL = Distribute to all subscribers that are subscribed to the standard basket.	Required
4	Future Use	431	20		Spaces	
END OF RECORD						

Note

In addition to distribution of Custom baskets, Record 4 will also be used for distribution of the new Rebalance baskets. For more information about the Rebalance basket distribution rules, see [Rebalance Basket](#).

Type 5–Negotiated Record

The following table show the Type 5–Negotiated record for DATATRAK Production 11301/Test 41301.

Note

For added flexibility and customization, NSCC has developed a negotiated basket type to allow ETF agents and issuers to submit orders on trade date for specified authorized participants with negotiated underlying components.

Agents will request a Negotiated NSCC Portfolio ID when submitting the Product Information Form (PIF) to DTCC Underwriting. The Negotiated PCF will be submitted with the Type 5- Negotiated Record, which includes the trade date and transaction ID. This transaction ID must match the transaction ID submitted when the Create/Redeem instruction is submitted through the DATATRAK Production 11300/PSE 41300 file. This allows for multiple orders to be submitted for more than one authorized participant with different underlying components. For the DATATRAK Production 11300/PSE 41300 file, see the [NSCC File Formats for ETF](#) section in the DTCC Learning Center.

PCF file submissions through the DATATRAK Production 11301 that DO NOT use a Negotiated NSCC Portfolio ID do not require this Type 5-Negotiated Record. PCF files submitted with a Negotiated NSCC Portfolio must have this Type 5-Negotiated Record with a valid Transaction ID and Trade Date. For additional edit details and submission rules, see [Negotiated Basket](#).

Type 5–Negotiated Record

DATATRAK Production 11301/Test 41301						
Type 5 – Negotiated Record						
Required record type only for Negotiated portfolios.						
Record length=450						
Seq	Description	Length	Start	Type	Comments	Required/Optional Field
1	Record Type	2	1	A/N	05 = Record Type 5	Required
2	NSCC Portfolio ID	9	3	A/N	NSCC assigned portfolio ID of the basket.	Required
3	Transaction ID	12	12	N	Transaction ID 999999999999 Note: This transaction ID must match the transaction ID on the DATATRAK 11300 order for this negotiated basket.	Required
4	Trade Date	8	24	N	CCYYMMDD	Required
5	Future Use	419	32		Spaces	
END OF RECORD						

Type 99–Trailer Record

The following table show the Type 99–Trailer Record for DATATRAK Production 11301/Test 41301.

Type 99–Trailer Record

DATATRAK Production 11301/Test 41301 Type 99 – Trailer Record (New Record) Required record type for all portfolios. Record Length = 450						
Seq	Description	Length	Start	Type	Comments	Required/Optional Field
1	Record Type	2	1	A/N	99 = Trailer Record One per file.	Required, but if not submitted, the ETF agent receives a warning on end of day output AutoRoute 02260421/Test 02980421.
2	Final Transmission	1	3	A/N	No longer supported. Spaces.	Optional
3	Record Count	13	4	N	Number of records in transmission (including trailer).	Required
4	Future Use	434	17		Spaces	
END OF RECORD						

FOR MORE INFORMATION

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