

IFT Output File Structure Examples

1 - Carrier Output - 6:30pm Cycle (Cycle 3)

Carriers can receive the following transactions at 6:30pm

- CAT (output to Carrier)
- REP
- BIN
- BEN
- System Rejects from Carrier Submitted transactions (CAT Confirm, REP Confirm, BEN Confirm and BIN Confirm)

Sequence of transactions in output file:

- CAT output transactions will always be first in the file under separate submitting and contra headers (one for each B/D).
- System Rejects will always be at the end of the file.
- REP, BEN and BIN can be mixed together under one contra header for a particular broker/dealer. The order of these transactions will be based on NSCC Control Number sequence.

This is a sample of how a Carrier file would look based on the following example:

Carrier 6:30 output cycle – receives 4 CAT transactions from two different B/D's (each transfer type included), 2 REP transactions, 3 Rejected CAT Confirm Transactions.

D70 Broker 1
D72 Carrier 1 - Output Type - CPL
D73-01 CAT
D73-04 – Transfer Type 1
D73-30
D73-01 CAT
D73-04 – Transfer Type 2
D73-10
D73-12
D73-13
D73-20
D73-22
D73-23
D73-30
D70 - Broker 2
D72 - Carrier 1 - Output Tye - CPL
D73-01 CAT

2/18/2005

Page 1 of 6

K:\PUB\PROJ\IPS-Documents\IFT\Standard Usage\IFT Output File Structure Examples.doc

D73-04 – Transfer Type 3
D73-10
D73-12
D73-13
D73-20
D73-30
D73-01 CAT
D73-04 – Transfer Type 4
D73-10
D73-12
D73-13
D73-20
D73-22
D73-23
D73-30
B70 Broker 1
B72 Carrier 1 - Output Type - CPL
B73-01 REP
B73-30
B73-01 REP
B73-30
B73-30
C70 Carrier 1
C72 Broker 1 - - output type - REJ
C73-01
C73-04
C73-30 - Rej - REP SSN Missing
C73-01
C73-04 - Rej - ACATS Control Number Invalid
C73-01 - Rej - NSCC Control Number Invalid

2 - Distributor Output - 6:30pm Cycle - this is a reject output cycle only

Distributors can only receive system rejects from files that they submitted during this output cycle. Rejects could occur for the following transactions:

- REP
- BIN
- BEN

3 - Carrier Output - 9:30am Cycle (Cycle 1)

Carriers can receive the following transactions at 9:30am:

- REP
- BIN
- BEN

- System Rejects from Carrier Submitted transactions (CAT Confirm, REP Confirm, BEN Confirm and BIN Confirm)
- TEX

Sequence of transactions:

- REP, BEN and BIN will be first in the file and can be mixed together under on contra header. They will be sorted by NSCC control Number Sequence.
- System Rejects will always be at the end of the file unless there are TEX transactions, then second to last. TEX transactions will always be last.

This is a sample of how a Carrier file would look based on the following example:

Carrier 9:30 output cycle – 2 REP transactions, 2 BEN transactions, 3 Rejected REP Confirm Transactions, and 2 TEX transactions

B70
 B72 Output Type - CPL
 B73-01 REP
 B73-30
 B73-01 REP
 B73-30
 B73-30
 B73-01 BEN
 B73-04
 B73-20
 B73-22
 B73-23
 B73-01 BEN
 B73-04
 B73-20
 B73-22
 B73-23
 C70 output type - REJ
 C72
 C73-01
 C73-04
 C73-30 - Rej - REP SSN Missing
 C73-01
 C73-04 - Rej - ACATS Control Number Invalid
 C73-01 - Rej - NSCC Control Number Invalid
 D70
 D72 Output Type - CPL
 D73-01 TEX

2/18/2005

D73-04
D73-01 TEX
D73-04

4 - Distributor Output - 9:30am Cycle

Distributors can receive the following transactions at 9:30am:

- CAT Confirm (output to Carrier)
- REP Confirm
- BIN Confirm
- BEN Confirm
- System Rejects from Carrier Submitted transactions (CAT Confirm, REP Confirm, BEN Confirm and BIN Confirm)
- TEX

Sequence of transactions:

- CAT, REP, BEN and BIN confirms will be first in the file and can be mixed together under on contra header. They will be sorted by NSCC control Number Sequence.
- System Rejects will always be at the end of the file unless there are TEX transactions, then second to last. TEX transaction will always be last.

This is a sample of how a Distributor file would look based on the following example:

Distributor 9:30 output cycle – receives 4 CAT confirms, 2 REP transactions, 3 Rejected REP Transactions, and 2 TEX transactions

C70 Carrier 1
C72 Broker 1 - Output Type - CPL
C73-01 CAT - ACK
C73-04
C73-30
C73-01 CAT - ACK
C73-04
C73-10
C73-12
C73-13
C73-20
C73-22
C73-23
C73-30
C73-01 REP - ACK
C73-30
C73-01 CAT - HRJ
2/18/2005
K:\PUB\PROJ\IPS-Documents\IFT\Standard Usage\IFT Output File Structure
Examples.doc

C73-04
C73-10
C73-12
C73-13
C73-20
C73-30
C73-01 CAT - SRJ
C73-04
C73-10
C73-12
C73-13
C73-20
C73-22
C73-23
C73-30
C73-01 REP - HRJ
C73-30
C73-30
B70 output type - REJ
B72
B73-01
B73-04
B73-30 - Rej - REP SSN Missing
B73-01
B73-04 - Rej - ACATS Control Number Invalid
B73-01 - Rej - NSCC Control Number Invalid
D70
D72 Output Type - CPL
D73-01 TEX
D73-04
D73-01 TEX
D73-04

5 - Carrier Output - 2:30pm Cycle (Cycle 2)

Carrier can receive the following transactions at 2:30pm

- REP
- BIN
- BEN
- System Rejects from Carrier Submitted transactions (CAT Confirm, REP Confirm, BEN Confirm and BIN Confirm)

Sequence of transactions:

- System Rejects will always be at the end of the file

- REP, BEN and BIN confirms will be in between based on order of receipt into the IPS system from the Distributor.

This is a sample of how a Carrier file would look based on the following example:

Carrier 2:30 output cycle – 2 REP transactions, 2 BEN transactions, 3 Rejected REP Confirm Transactions

B70
 B72 Output Type - CPL
 B73-01 REP
 B73-30
 B73-01 REP
 B73-30
 B73-30
 B73-01 BEN
 B73-04
 B73-20
 B73-22
 B73-23
 B73-01 BEN
 B73-04
 B73-20
 B73-22
 B73-23
 C70 output type - REJ
 C72
 C73-01
 C73-04
 C73-30 - Rej - REP SSN Missing
 C73-01
 C73-04 - Rej - ACATS Control Number Invalid
 C73-01 - Rej - NSCC Control Number Invalid

6 - Distributor Output - 2:30pm Cycle

Distributors can only receive system rejects from files that they submitted for the following transactions:

- REP
- BIN
- BEN