

AIP Document Transfer Functionality & Additional Industry Enhancements 2022

PSE	<u>PSE – Effective Friday, October 14, 2022.</u>
Milestone	The new coding will be implemented after the 7:00pm EOD Cycle on Thursday, October 13, 2022 (ET)
Production	<u>Production – Effective Friday, November 18, 2022.</u>
Milestone	The new coding will be implemented after the 7:00pm EOD Cycle on Thursday, November 17, 2022 (ET)

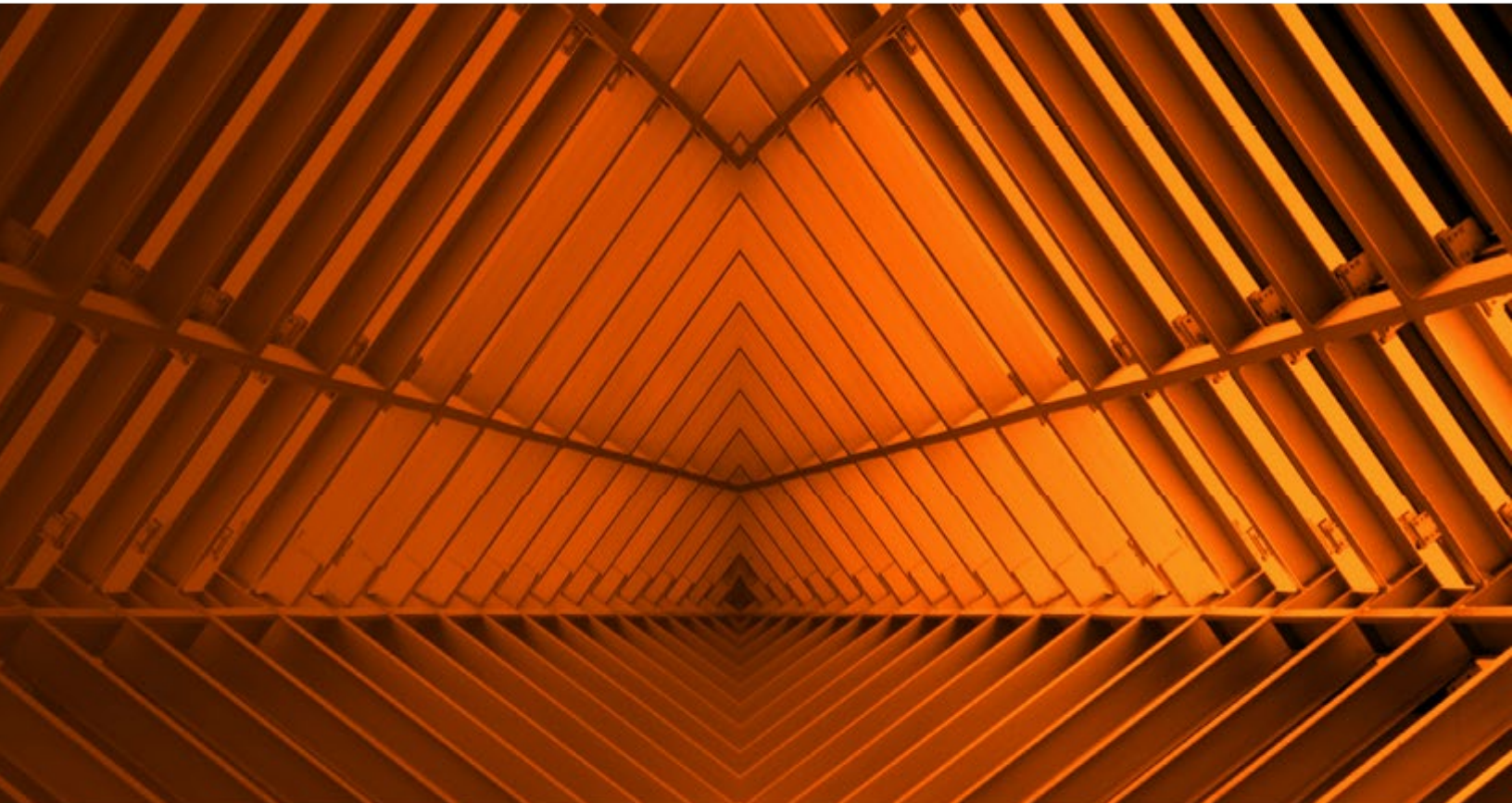


TABLE OF CONTENTS

BR-1 Document Transfer Requirements	4
1.1 Business Rules	4
1.2 AIP System Rejects	4
1.3 Audit Trail.....	4
1.4 Type of Connection.....	5
1.5 File Naming.....	5
1.6 DataTrak and AutoRoute.....	6
1.7 Service Hours	6
1.8 Billing Requirements	6
BR-2 New Document Transfer Manifest	7
2.1 Manifest Requirements.....	7
2.2 New Record layout for Document Transfer Manifest	8
BR-3 Add New Document Transfer Acknowledgement – Reject	12
3.1 Document Transfer Acknowledgement-Reject Requirements	12
Process Flowchart.....	12
Business Rules	12
3.2 New Record layout for Document Transfer Acknowledgement - Reject.....	13
3.3 Document Transfer Best Practices	17
BR-4 Security General Enhancements	18
4.1 Rename and add new values & descriptions to the existing ‘Drawdown Commitment Fund Indicator’ ...	18
4.2 Add new ‘Fund Tax indicator’ field.....	19
BR-5 Activity & Distribution Enhancements for Delayed NAV Purchases	20
5.1 Delayed NAV Purchase Flow Process & Best Practices	20
5.2 Add new Activity Transaction Type ‘74 = Delayed NAV Purchase’.....	21
5.3 Add additional requirement for the existing ‘Share Quantity’ field	21
5.4 Add additional requirement for the existing ‘Effective Date – (Business Date)’ field	22
5.5 Add additional requirement for the existing ‘Money Amount’ field	23
5.6 Add additional requirement and change condition for the existing ‘Price Per Share’ field.....	25

5.7 Add additional requirement for the existing 'Related Control Number' field..... 26

BR-6 New Firm-Fund Reject-Exit Codes & NSCC Reject Reason Codes..... 27

6.1 Add & Rename Firm-Fund Reject-Exit Codes & NSCC Reject Reason Codes 27

BR-1 Document Transfer Requirements

1.1 Business Rules

- The Document Transfer file submitted will be a Zip File
- Maximum size of the entire Zip is 50MB
- Any Member can send or receive from any other Member, regardless of their membership type (i.e., Firm to Fund, Fund to Firm, Firm to Firm, Fund to Fund)
- The Inbound Zip File must include one Manifest file but can have multiple Manifest records within the Manifest File. For each Manifest Record there must be a corresponding PDF document.
 - The PDF document name will be the Control Number with a “V” and the Version Number from the Manifest record (e.g., 00001234223650000001V01.pdf)
- Documents included in the Zip file must be in PDF format
 - AIP will validate that the included documents are in PDF format
- The Outbound Zip File will be delivered in ‘real time’ to the recipient (not on a batch schedule)
- Each Outbound Zip File will include 1 Manifest file containing 1 Manifest record and 1 PDF document
- The Submitter, Sender, and Recipient (including applicable Service Bureau and/or Transfer Agents) must be setup in File Type Blocking Group 3 = Documentation
- The enhanced Document Transfer functionality will be supported via ‘mainframe’ only with SFTP or NDM; it is NOT supported via the Web (AIW or AIP Web Platform)
- The Document Transfer process does NOT support money settlement; however, if a related transaction is used, the related transaction can initiate money settlement, if eligible and it is specified

1.2 AIP System Rejects

- Missing/invalid fields in Manifest
- Missing PDF document(s)
- Submitter, Sender or Receiver not setup in File Type Blocking
- Rejects will be returned via Zip with PDF (if applicable), back to the submitter; the Manifest will have the reject code(s) populated
- Rejects will be returned as processed in ‘real time’ to the submitter (not on a batch schedule)

1.3 Audit Trail

- A request process will be created where DTCC will have the ability to retrieve a copy of the file within approximately 3 business days and provide it to the requestor; clients should contact AIP Product Management to initiate a request
- There will be a retention period of 14 months to retrieve a file

1.4 Type of Connection

- Zip file will be sent and received via SFTP or NDM Only

Type of Connection	Network	Transmission Protocol	File Type	Notes
Mainframe	SMART/ Internet	SFTP/NDM	Compressed	Input: Uses the DataTrak message handling service Output: Uses the AutoRoute message handling service

1.5 File Naming

- Input File Naming Conventions for CDTS for **PROD**
 - For files submitted through CDTS, there are naming conventions which are required.
 - DTSFTP.CXXXX.SZZZZ.SYYYY
 - XXXX is the originator (OCODE)
 - ZZZZZ is the DataTrak number
 - YYYYY is the suboriginator
 - Example
 - DTSFTP.CAIP0.S05386.S0000
- Input File Naming Conventions for CDTS for **PSE**
 - For files submitted through CDTS, there are naming conventions which are required.
 - DTSUTF.CXXXX.SZZZZ.SYYYY
 - XXXX is the originator (OCODE)
 - ZZZZZ is the PSE DataTrak number
 - YYYYY is the suboriginator
 - Example
 - DTSUTF.CAIP0.S45386.S0000

1.6 DataTrak and AutoRoute

- The Submitter must be subscribed to the Document Transfer DataTrak and AutoRoute products
 - New Document Transfer **DataTrak** Number

Description	Production ID	User Test (PSE) ID
AIP Document Transfer Zip Input	05386	45386

- New Document Transfer **AutoRoute** Number

Description	Production ID	User Test (PSE) ID
AIP Document Transfer Zip Output	02533918	02983918

1.7 Service Hours

- Service Hours
 - Submission
 - Files can be sent 24 x 7 except 9:00pm Saturday to 10:00am Sunday
 - Delivery:

Monday to Friday	3:00am – 12:00 midnight
Saturday	3:00am – 6:00am
Sunday	Closed
Holidays	Follow the AIP Holiday Processing Schedule

1.8 Billing Requirements

- Billing
 - The sender and the receiver will each be billed a fee for each accepted Manifest based on the following criteria: rejects and resubmissions will NOT be billed
 - Firms: \$1.00 per PDF/Document
 - Activity ID - NSCAIP0HF003001
 - New Fee ID
 - Funds: \$1.00 per PDF/Document
 - Activity ID - NSCAIP0CI000039
 - The following Transaction Types will be billed
 - 01 = Purchase/Subscription
 - 02 = Redemption/Tender
 - 03 = Transfers
 - 04 = Maintenance
 - 05 = Other
 - 06 = Resubmission/Follow-up/Additional Documentation
 Transaction Type 06 are resubmissions and will not be billed

BR-2 New Document Transfer Manifest

2.1 Manifest Requirements

- The record type is 799 = Document Transfer Manifest
- The Manifest should NOT include a DataTrak header nor DataTrak trailer record
- If the Document Transfer Zip file is submitted or received by a Service Bureau or Transfer Agent, they must be setup in File Type Blocking Group 3 = Documentation
- This record type will be included in the Zip file with the PDF document(s) that it is related to.
- The file name in the zipped file must be Manifest.CSV or Manifest.MRO
 - There will be 1 record in the manifest for each PDF being sent
- The Sender Number can be a Firm or Fund
- The Recipient Number can be a Firm or Fund
- The NSCC Security Issue Number is Optional Conditional (required if Series NSCC Security Issue Number not populated), but if populated, must exist in the Security General Table
- The Series NSCC Security Issue Number is Optional Conditional (required if NSCC Security Issue Number not populated)
- The Control Number and Version Number fields are required and must be in the correct format
- The Control Number and the Version Number will identify the PDF document and the Manifest record it is related to.
 - The initial submission Version Number must be 01
 - If there is a subsequent submission (06 = Resubmission/Follow-up/Additional Documentation) then the Version Number should be incremented with each subsequent submission in sequential order (e.g., 01 then 02; 01 cannot be followed by 03)
 - 06 = Resubmission/Follow-up/Additional Documentation Version Number must be greater than 01
 - For Transaction type 06 = Resubmission/Follow-up/Additional Documentation the Document Transfer Manifest Control Number must have already been submitted
- The Transaction Type is required and will identify the document type the Manifest is related to
 - 01 = Purchase/Subscription
 - 02 = Redemption/Tender
 - 03 = Transfers
 - 04 = Maintenance
 - 05 = Other
 - 06 = Resubmission/Follow-up/Additional Documentation
- The Related Transaction Indicator indicates if the document is related to another AIP transaction, such as an AIP Order, and can be 0 = No or 1 = Yes
- The Firm Account Number is Optional (special characters are allowed)
- The Fund Account Number is Optional (special characters are allowed)
- Data Dictionary will be updated
- Excel Macro will be updated

2.2 New Record layout for Document Transfer Manifest

Field Name	Start	End	Length	Type	Opt/Req	Values	Definition	Reject Code
Record Length	1	4	4	N	R			0001
Originator Type	5	5	1	A/N	R	B = Firm F = Fund		0002
Sender Number	6	13	8	A/N	R		The NSCC ID of the Sender of the Manifest	0638
Recipient Number	14	21	8	A/N	R	The Sender must designate a specific Recipient Number in this field.	The NSCC ID of the Firm, Custodian Firm or Fund	0167
Record Type	22	24	3	A/N	R	799 - Document Transfer Manifest		0005
NSCC Security Issue Number	25	40	16	A/N	OC	ppppppppnnnnnnnn Where: pppppppp = Fund Number nnnnnnnn = Unique sequential number assigned by NSCC Required if Series NSCC Security Issue Number not populated	The NSCC Security Issue Number was issued when the initial Security General Profile and/or Security Announcement record was established by the Fund. The combination of the Share Class field, Security Identifier field and Security Issue ID will trigger the creation of this number. If NSCC Security Issue Number and Series NSCC Security Issue Number are left blank, NSCC will reject the transaction.	0006
Control Number	41	60	20	A/N	R	ppppppppyydddnnnnnnnn Where: pppppppp = Originator Participant Number yy = Year ddd = Julian date nnnnnnnn = Unique Sequential Number.	The control number input by the Sender must be unique unless it is a resubmission (06 = Resubmission/Follow-up/Additional Documentation) for an already submitted Document	0009

							The PDF documents name will be the Control Number with a “V” and the Version Number from the Manifest record. (0000123422365000001V01.pdf)	
Version Number	61	62	2	A/N	R	01-99 The initial submission should be 01 and if there is a subsequent submission (06 = Resubmission/Follow-up/Additional Documentation) then the number should be incremented with each subsequent submission	Identifies the version number of the Document Transfer Manifest(s) The subsequent version number be greater than the value in the AIP database and must be incremented in sequential order for each submission 01 = The first (initial) submission 06 = Resubmission/Follow-up/Additional Documentation must be greater than 01-Initial submission	0609
Transaction Type	63	64	2	A/N	R	01 = Purchase/Subscription 02 = Redemption/Tender 03 = Transfers 04 = Maintenance 05 = Other 06 = Resubmission/Follow-up/Additional Documentation	Identifies the Transaction the Control Number is associated with. For Transaction type - 06 = Resubmission/Follow-up/Additional Documentation the Document Transfer Manifest control number must have already been submitted	0144
Related Transaction Indicator	65	65	1	N	R	0 = No 1 = Yes	Indicates if an AIP Transaction (e.g., Order) will be submitted for the document	0639

Firm Account Number	66	85	20	A/N	O	The Broker Dealer account number Special characters are allowed		0026
Fund Account Number	86	105	20	A/N	O	The Fund or Fund Administrator account number Special characters are allowed		0027
Series NSCC Security Issue Number	106	121	16	A/N	OC	ppppppppnnnnnnnn Where: pppppppp = Fund Number nnnnnnnn = Unique sequential number assigned by NSCC Required if NSCC Security Issue Number not populated	Series is a group of shares issued each time the Fund receives a new or additional subscription. All subscriptions that occur at the same time belong to the same series. All shareholders in the same series pay performance fees on those shares at the same time. The Series NSCC Security Issue Number was issued when the initial Security Announcement Type 24 (Series Creation) record was established by the Fund. If both the NSCC Security Issue Number and Series NSCC Security Issue Number are not populated, NSCC will reject the transaction.	0508
NSCC Reject Indicator	122	122	1	A/N	R	Input: Spaces Output: Populated by NSCC Space = Accepted by NSCC 1 = Rejected by NSCC		0014
NSCC Reject Reason Code 1	123	126	4	A/N	R	Input: Spaces Output: Populated by NSCC Space = Accepted by NSCC Reject Code = Rejected by NSCC		0015

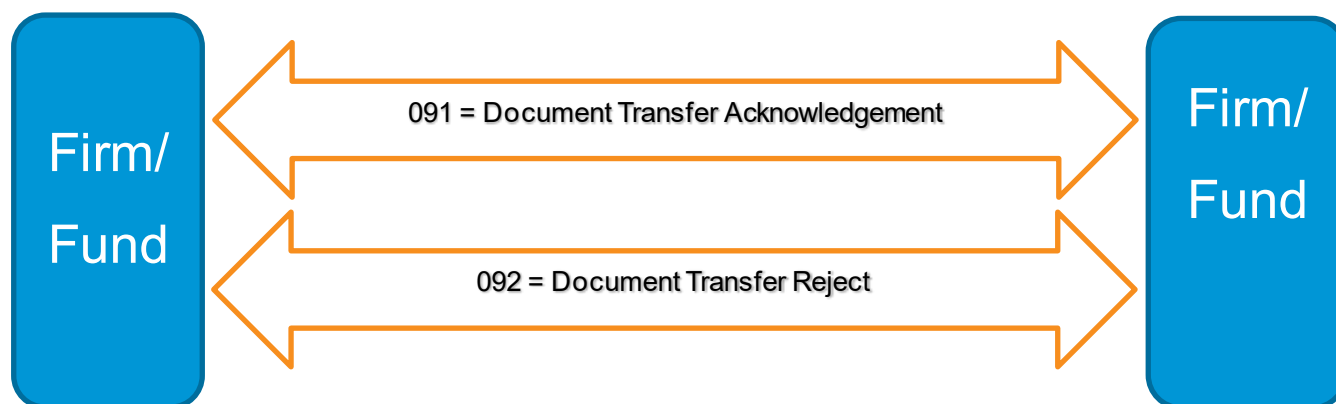
NSSC Reject Reason Code 2	127	130	4	A/N	R	Input: Spaces Output: Populated by NSSC Space = Accepted by NSSC Reject Code = Rejected by NSSC		0015
NSSC Reject Reason Code 3	131	134	4	A/N	R	Input: Spaces Output: Populated by NSSC Space = Accepted by NSSC Reject Code = Rejected by NSSC		0015
NSSC Reject Reason Code 4	135	138	4	A/N	R	Input: Spaces Output: Populated by NSSC Space = Accepted by NSSC Reject Code = Rejected by NSSC		0015

BR-3 Add New Document Transfer Acknowledgement – Reject

3.1 Document Transfer Acknowledgement-Reject Requirements

- Impacted records
- Add 2 new records
 - 091 = Document Transfer Acknowledgement
 - 092 = Document Transfer Reject

Process Flowchart



Business Rules

- All Document Transfer Acknowledgement or Reject records must have an active Security General Profile record, and at least one active Security Contact record (AIP will use the Fund Number of the Security General Profile record to verify the existence of an active Security Contact record for that Fund Number).
- A Control Number is required to be inputted by the submitter and it should be the same Control Number as the Document Transfer Manifest Control Number PDF.
- The Control Number must be in the Document Transfer Manifest table
- There are no reminders for Document Transfer Acknowledgement or Reject records
- The recipient will provide a "091 = Document Transfer Acknowledgement" or "092 = Document Transfer Reject" in the existing AIP Input File, which will be returned to the original submitter in the existing AIP Records Output File
- The Document Transfer process does NOT support money settlement; however, if a related transaction is used, the related transaction can initiate money settlement, if eligible and that is specified
- Participants can send Acknowledgement or Reject records to AIP in the same file as other records or in separate files
- Acknowledgement or Reject output records, will be sent in the same files as other AIP records
- These new Acknowledgement and Reject records will be added to File Type Blocking Group 003 - Documentation
- There will be no charge for these records
- Data Dictionary will be updated
- Excel Macro will be updated

3.2 New Record layout for Document Transfer Acknowledgement - Reject

Document Transfer Acknowledgement - Reject									
Field Name	Start	End	Length	Type	Opt/ Req	Values	Definition	Reject Code	Reject Code Definition
Record Length	1	4	4	N	R			0001	Record Length missing/invalid
Originator Type	5	5	1	A/N	R	B = Firm F = Fund		0002	Originator Type missing/invalid
Sender Number	6	13	8	A/N	R		The NSCC ID of the Broker Dealer Firm or Fund Company.	0638	Sender Number missing/invalid
Recipient Number	14	21	8	A/N	R		The NSCC ID of the Broker Dealer Firm or Fund Company.	0167	Recipient Number missing/invalid
Record Type	22	24	3	A/N	R	091 = Document Transfer Acknowledgement 092 = Document Transfer Reject		0005	Record Type missing/invalid
NSCC Security Issue Number	25	40	16	A/N	OC	ppppppppnnnnnnnn Where: pppppppp = Fund Number nnnnnnnn = Unique sequential number assigned by NSCC	The NSCC Security Issue Number was issued when the initial Security General Profile and/or Security Announcement record was established by the Fund. The combination of the Share Class field, Security Identifier field and Security Issue ID will trigger the	0006	NSCC Security Issue Number missing/invalid

							creation of this number.		
Filler	41	51	11	A/N	R				
Control Number	52	71	20	A/N	R	<p>ppppppppyydddnnn nnnn</p> <p>Where: pppppppp = Originator Participant Number yy = Year ddd = Julian Date nnnnnnn = Unique Sequential Number</p>	The unique control number inputted by the submitter to identify the trade.	0009	Control Number missing/invalid
Version Number	72	73	2	A/N	R	<p>01-99</p> <p>The version number must match the Document Transfer Manifest version number you are Acknowledging or Rejecting</p>	The version number must match the Document Transfer Manifest version number you are Acknowledging or Rejecting	0609	Version Number missing/invalid
Submission Date	74	81	8	N	R	mmddccyy	Submission date of the transaction.	0011	Submission Date missing/invalid
Series NSCC Security Issue Number	82	97	16	A/N	OC	<p>ppppppppnnnnnnnn</p> <p>Where: pppppppp = Fund Number nnnnnnnn = Unique sequential number assigned by NSCC</p> <p>Required if NSCC Security Issue</p>	Series is a group of shares issued each time the Fund receives a new or additional subscription. All subscriptions that occur at the same time belong to the same series. All shareholders in	0508	Series NSCC Security Issue Number missing/invalid

						Number not populated	the same series pay performance fees on those shares at the same time. The Series NSCC Security Issue Number was issued when the initial Security Announcement Type 24 (Series Creation) record was established by the Fund. If both the NSCC Security Issue Number and Series NSCC Security Issue Number not populated, NSCC will reject the transaction.		
Filler	98	104	7	A/N	R				
NSCC Reject Indicator	105	105	1	A/N	R	Input: Spaces Output: Populated by NSCC Space = Accepted by NSCC 1 = Rejected by NSCC 2 = Accepted with errors		0014	NSCC Reject Indicator invalid

NSCC Reject Reason Code 1	106	109	4	A/N	R	Input: Spaces Output: Populated by NSCC Space = Accepted by NSCC Reject Code = Rejected by NSCC		0015	NSCC Reject Code invalid
NSCC Reject Reason Code 2	110	113	4	A/N	R	Input: Spaces Output: Populated by NSCC Space = Accepted by NSCC Reject Code = Rejected by NSCC		0015	NSCC Reject Code invalid
NSCC Reject Reason Code 3	114	117	4	A/N	R	Input: Spaces Output: Populated by NSCC Space = Accepted by NSCC Reject Code = Rejected by NSCC		0015	NSCC Reject Code invalid
NSCC Reject Reason Code 4	118	121	4	A/N	R	Input: Spaces Output: Populated by NSCC Space = Accepted by NSCC Reject Code = Rejected by NSCC		0015	NSCC Reject Code invalid

3.3 Document Transfer Best Practices

- The PDF sent should include everything needed for the request/work object, e.g., for a purchase, a single PDF will include the subscription agreement, W-9, and all supporting documentation
- If there is an AIP transaction related to the Document, Senders should submit the transaction before the Document, but both should be submitted on the same day
- Recipients are expected to Acknowledge or Reject Documents within 24 hours
- If a Document is sent to an incorrect recipient, please follow the existing protocols used today for AIP records and/or documents sent outside of AIP
- If a Document passed DTCC's validation but is rejected by the Recipient, the Sender and Recipient need to communicate outside of AIP what the issue is and/or how to address it over existing channels
- Although the Firm Account Number and Fund Account Number fields are optional, the Firm should populate one of these fields, likely the BIN, whenever possible

BR-4 Security General Enhancements

Impacted Record

- 061- Security General Profile

4.1 Rename and add new values & descriptions to the existing 'Drawdown Commitment Fund Indicator'

- Existing Field – Drawdown Commitment Fund Indicator
 - Existing Values & Descriptions
 - 0 = No
 - 1 = Yes
- New Field Name – Purchase Order Process Indicator
 - New Values & Descriptions
 - 0 = Settlement Post-NAV Calculation
 - 1 = Settlement Pre-NAV calculation
 - 2 = Escrow Trade
 - 3 = Commitment/Call/Drawdown
- Rename Firm-Fund Reject-Exit Code & NSCC Reject Reason Code – 0619 Purchase Order Process Indicator missing/invalid
- Excel Macro will be updated
- Data Dictionary will be updated

Field Name	Start	End	Length	Type	Opt/R eq	Values	Reject Code
Current Security General Profile Record (061)							
Drawdown Commitment Fund Indicator	291	291	1	A/N	R	0 = No 1 = Yes	0619
New Security General Profile Record (061)							
Purchase Order Process Indicator	291	291	1	A/N	R	0 = Settlement Post-NAV Calculation 1 = Settlement Pre-NAV Calculation 2 = Escrow Trade 3 = Commitment/Call/Drawdown	0619
Firm-Fund Reject/ Exit Code							
Reject/Exit Codes	New Description						
0619	Purchase Order Process Indicator missing/invalid						
NSCC Reject Reason Code							
NSCC Reject Code	New Description						
0619	Purchase Order Process Indicator missing/invalid						

4.2 Add new 'Fund Tax indicator' field

- Add new Fund Tax Indicator field name, length, condition, type values and descriptions and reject codes to an existing 'filler' space
 - Add New Field Name: Fund Tax Indicator
 - Add New Field length: 1 byte
 - Add New Condition: Required
 - Add New Type: A/N – Alpha/Numeric
 - Add New Reject Code – 0640 Fund Tax Indicator missing/invalid
 - Add New Values and Descriptions:
 - 1 = 1099
 - 2 = K1
 - 3 = Other

- Excel Macro will be updated
- Data Dictionary will be updated

Field Name	Star t	End	Lengt h	Typ e	Opt /Re q	Values	Reject Code
Current Security General Profile Record (061)							
Filler	610	610	1	A/N	R		
New Security General Profile Record (061)							
Fund Tax Indicator	610	610	1	A/N	R	1 = 1099 2 = K1 3 = Other	0640

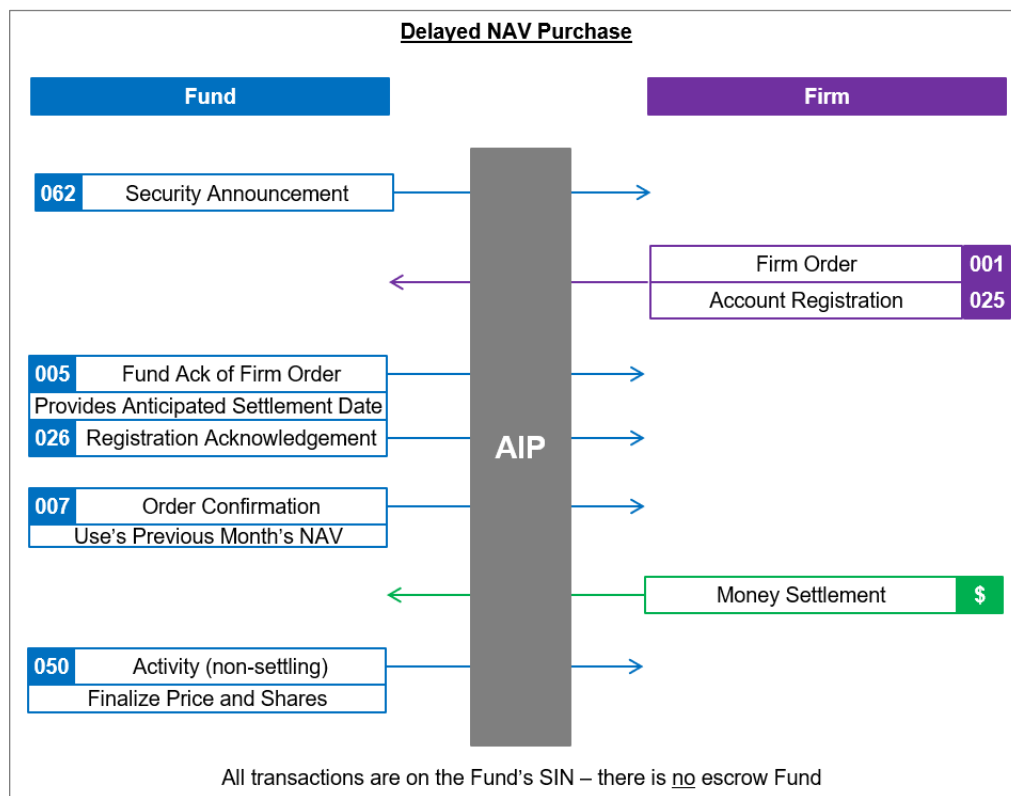
Firm-Fund Reject/ Exit Code	
Reject/Exit Codes	New Description
0640	Fund Tax Indicator missing/invalid
NSCC Reject Reason Code	
NSCC Reject Code	New Description
0640	Fund Tax Indicator missing/invalid

BR-5 Activity & Distribution Enhancements for Delayed NAV Purchases

Impacted Records

- 050 – Activity and Distribution
- 056 – Activity Confirmation

5.1 Delayed NAV Purchase Flow Process & Best Practices



- The 'Estimated or Actual Value Indicator' on the Order Confirmation should be populated with 1 = Estimated
- The Price on the Order Confirmation should be based on the previous month's NAV
- AIP Orders will complete on Settlement Date and the Final NAV/Shares will be reported on a non-settling Activity record a few weeks later
- The 'Related Control Number' should be populated with the Control Number of the Order
- Position records should not be sent on any new investment until after the NAV has struck

5.2 Add new Activity Transaction Type '74 = Delayed NAV Purchase'

- Add new Activity Transaction Type to the list on the Activity Transaction Type Tab
 - New Activity Transaction Type – 74 = Delayed NAV Purchase
 - Settling Activity – This transaction type is a pass through and does not require a response from the recipient
 - Non-Settling Activity - This transaction type is a pass through and does not require a response from the recipient
 - Data Dictionary will be updated

Activity Transaction Types

[I.O.C](#)

Transaction Type	Transaction Type Definition	Settling Activity	Non-Settling Activity
74 = Delayed NAV Purchase	An update to the purchase details	Pass Through	Pass Through

5.3 Add additional requirement for the existing 'Share Quantity' field

- Add additional validation edit on the existing 'Share Quantity' field
 - New Validation Rule – Required if the Transaction Type is: 74 = Delayed NAV Purchase
 - Excel Macro will be updated
 - Data Dictionary will be updated

Field Name	Start	End	Length	Type	Opt/Req	Values	Reject Code
Current Activity Distribution Records (050, 056)							
Share Quantity	183	196	14	N	OC	99999999.999999 Required if Money Amount field is not populated	0024
New Activity Distribution Records (050, 056)							
Share Quantity	183	196	14	N	OC	99999999.999999 Required if Money Amount field is not populated or Required if the Transaction Type is: 74 = Delayed NAV Purchase	0024

5.4 Add additional requirement for the existing 'Effective Date – (Business Date)' field

- Add additional validation edit on the existing 'Effective Date – (Business Date)' field
 - New Validation Rule – Required if the Transaction Type is: 74 = Delayed NAV Purchase
 - Excel Macro will be updated
 - Data Dictionary will be updated

Field Name	Start	End	Length	Type	Opt/Req	Values	Reject Code
Current Activity Distribution Records (050, 056)							
Effective Date – (Business Date)	198	205	8	N	OC	mmddccyy Required if the Transaction Type is: 01 = Direct Purchase 02 = Direct Redemption 64 = Escrow Redemption 67 = Final Fund Purchase	0426
New Activity Distribution Records (050, 056)							
Effective Date – (Business Date)	198	205	8	N	OC	mmddccyy Required if the Transaction Type is: 01 = Direct Purchase 02 = Direct Redemption 64 = Escrow Redemption 67 = Final Fund Purchase 74 = Delayed NAV Purchase	0426

5.5 Add additional requirement for the existing 'Money Amount' field

- Add additional validation edit on the existing 'Money Amount' field
 - New Validation Rule – Required if the Transaction Type is: 74 = Delayed NAV Purchase
- Excel Macro will be updated
- Data Dictionary will be updated

Field Name	Start	End	Length	Type	Opt/Req	Values	Reject Code
Current Activity Distribution Records (050, 056)							
Money Amount	206	221	16	N	OC	99999999999999.99 Maximum is 99999999999999.99 per day This amount will be settled by NSCC if Settlement Indicator = 1 Required if Share Quantity is not populated or the Settlement Indicator = 1 Required for the following Transaction Types and the value must be greater than zero (0): 29 = Dividend Reinvestment 49 = Dividend 52 = Return of Capital 55 = LTG Reinvest 56 = LTG Cash 57 = STG Reinvest 58 = STG Cash 59 = Dividend Cash 65 = Interest Income Reinvested 72 = Call Event - Client Debit 73 = Reinvested Return of Capital If the Settlement Indicator = 1, the money amount must be greater than zero (0).	0021 0153
New Activity Distribution Records (050, 056)							
Money Amount	206	221	16	N	OC	99999999999999.99 Maximum is 99999999999999.99 per day This amount will be settled by NSCC if Settlement Indicator = 1	0021 0153

					<p>Required if Share Quantity is not populated or the Settlement Indicator = 1</p> <p>Required for the following Transaction Types and the value must be greater than zero (0):</p> <p>29 = Dividend Reinvestment</p> <p>49 = Dividend</p> <p>52 = Return of Capital</p> <p>55 = LTG Reinvest</p> <p>56 = LTG Cash</p> <p>57 = STG Reinvest</p> <p>58 = STG Cash</p> <p>59 = Dividend Cash</p> <p>65 = Interest Income Reinvested</p> <p>72 = Call Event - Client Debit</p> <p>73 = Reinvested Return of Capital</p> <p>74 = Delayed NAV Purchase</p> <p>If the Settlement Indicator = 1, the money amount must be greater than zero (0).</p>	
--	--	--	--	--	--	--

5.6 Add additional requirement and change condition for the existing 'Price Per Share' field

- Add additional validation edit on the existing 'Price Per Share' field
 - New Validation Rule – Required if the Transaction Type is: 74 = Delayed NAV Purchase
 - Change condition from 'Optional' to 'Optional Conditional' on the existing 'Price Per Share' field
 - New Condition – Optional Conditional
- Excel Macro will be updated
 - Data Dictionary will be updated

Field Name	Start	End	Length	Type	Opt/Req	Values	Reject Code
Current Activity Distribution Records (050, 056)							
Price Per Share	251	262	12	N	O	999999.999999	0156
New Activity Distribution Records (050, 056)							
Price Per Share	251	262	12	N	OC	999999.999999 Required if the Transaction Type is: 74 = Delayed NAV Purchase	0156

5.7 Add additional requirement for the existing 'Related Control Number' field

- Add additional validation edit on the existing 'Related Control Number' field
 - New Validation Rule – Required if the Transaction Type is: 74 = Delayed NAV Purchase
- Excel Macro will be updated
- Data Dictionary will be updated

Field Name	Start	End	Length	Type	Opt/Req	Values	Reject Code
Current Activity Distribution Records (050, 056)							
Related Control Number	428	447	20	A/N	OC	ppppppppydddnnnnnn Where: pppppppp = Originator Participant Number yy = Year ddd = Julian date nnnnnnn = Unique Sequential Number Required for Transaction Type 63 = Withholding for Reinvested Accounts	0366
New Activity Distribution Records (050, 056)							
Related Control Number	428	447	20	A/N	OC	ppppppppydddnnnnnn Where: pppppppp = Originator Participant Number yy = Year ddd = Julian date nnnnnnn = Unique Sequential Number Required if the Transaction Type is: 63 = Withholding for Reinvested Accounts 74 = Delayed NAV Purchase	0366

BR-6 New Firm-Fund Reject-Exit Codes & NSCC Reject Reason Codes

6.1 Add & Rename Firm-Fund Reject-Exit Codes & NSCC Reject Reason Codes

- New Reject Codes in **Red**
- Updated Descriptions in **Green**

Firm-Fund Reject/Exit Codes	
Reject/Exit Codes	New Description
0619	Purchase Order Process missing/invalid
0638	Sender Number missing/invalid
0639	Related Transaction Indicator missing/invalid
0640	Fund Tax Indicator missing/invalid
0641	Document Transfer PDF Document missing/invalid
0642	Document Transfer PDF Document with Manifest Record missing/invalid
0643	Manifest File missing/invalid
0644	Multiple Manifest Files included in Zip File
NSCC Reject Reason Codes	
NSCC Reject Code	New Description
0619	Purchase Order Process missing/invalid
0638	Sender Number missing/invalid
0639	Related Transaction Indicator missing/invalid
0640	Fund Tax Indicator missing/invalid
0641	Document Transfer PDF Document missing/invalid
0642	Document Transfer PDF Document with Manifest Record missing/invalid
0643	Manifest File missing/invalid
0644	Multiple Manifest Files included in Zip File