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# Securities Processing

## 17.04 AMD5: CUSTODY - VOID DOCUMENT PROCESSING FUNCTION USER'S GUIDE

SEPTEMBER 29, 2023

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# INTRODUCTION

In supporting the DTC Custody Services, DTC has implemented a CCF/CCF-II function, "AMD5," that will allow the Participant to submit a file containing void document transaction records - i.e., a "VOID Document" record - that will mark a document as being voided on the DTC AIM-Custody database.

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**Note:**

If the unit of work becomes non-negotiable because this document has been voided [no good], the participant may want to send in activity records to update the unit of work to non-negotiable.

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These Void document transactions will be validated immediately and applied to the AIM-Custody database within 20 minutes of receipt.

## Description of Service

When using this function, the Participant will generate and submit, via the CCF/CCF-II file transmission facility, one void record for each document that it wants voided. Once the request passes the ICM security checking, the records will be edited for valid record- type, application-type, and CUSIP number. Should errors occur in the editing, a 40-byte error message will be generated and passed back to the User. If editing is successful, the record will be passed to the update process. When DTC processes the records (within 20 minutes), all matching update records will update the AIM database while all non- updated records will be captured by the Message Delivery System. Participants can dial into the Message Delivery System to access the non-updated records. The error conditions that may occur are as follows:

1. Invalid Document Type.
2. No Matching Control-ID/ARF.

Either/or conditions, previously set-up on the DTC AIM-Custody database, will remain intact.

Participants should familiarize themselves with the DTC document, *Interface Control Management CCF, CCF-II and MDH User's Guide*, for transaction input. This ICM document describes standards for transaction processing using DTC's automated systems. Specifics relating to the operation, error processing and recovery for CCF, CCF-II and MDH transmissions are addressed in the ICM document.

Users who communicate with DTC via CCF-II (NDM, RJE or SNA/RJE) 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.

## Cutoff Times

The function name and cutoff times associated with this CCF/CCF-II ICM interface are:

CCF - AMD5 - available between 3:00 a.m. - 5:00 p.m. (Eastern Time).

CCF-II - AMD5 - available between 3:00 a.m. - 5:00 p.m. (Eastern Time).

The function will be available every day that DTC is open for business.

# PARTICIPANT CUSTODY PROCESSING

## Transaction Header Record

Transaction Header (1 of 2)				
Position	Length	Format	Field Name	Field Description
1	1	Character	Feedback Indicator	Used to indicate if any errors were encountered during processing. This field contains: " " - (blank) on input "?" - to indicate when this request is returned with error(s) and cannot be processed by DTC. "**" - to indicate valid output response.
2	1	Character	Production/Test Indicator	Used to indicate whether the transaction is to be processed in the "Test" or "Production" environment. <b>This is a required field.</b> "T" = Test "P" = Production.
3	6	Character	Record Type	Used to indicate the type of data to be processed - refer to the individual application User Guide for the record name. <b>This is a required field.</b> "AIMVAD" = Void instruction.
9	2	Numeric	Record Suffix	Used to indicate the "Record Number" on single and multiple data records within a transaction. Default is "01" in this application.
11	2	Numeric	Version Number	Used to indicate which version ("latest" or "previous" format) the data is in. Default is 01.

Transaction Header (2 of 2)				
Position	Length	Format	Field Name	Field Description
13	6	Character	User Reference Number	Used by transmitting party to uniquely identify the transaction (optional). N/A to this application.
19	8	Character	Addressee	The entity on behalf of whom the transaction is processed. Right aligned left zero filled.

# PARTICIPANT CUSTODY PROCESSING

## Void Document Update Record

Void Document Update Record				
Position	Length	Format	Field Name	Field Description
27	2	Numeric	Application Record Type	01 = Detail Record
29	2	Numeric	Application Update Type	01 = Void Expired document on file.
31	12	Character	CUSIP Input	International CUSIP -ID. 31-32 = 00 33-41 = CUSIP Number 42 = 0.
43	16	Character	Control ID/ARF	Unique control number - unit of work document is associated with (as on file).
59	3	Character	Primary Document Type	Primary type of document being void.
62	59	Character	Filler	DTC use only; do not use.

## Field ID, Error Codes and Descriptions

Field Id	Error Code	Field Description	Error code description
AAAB	9AAN	Transaction Header - Record Type	Not eligible for processing.
AAAB	9ABE	Transaction Header- Record type	Transaction Header Required
AAAI	9AAA	Transaction Header - Production/Test Indicator	Invalid.
AAAH	9AAL	Past Cutoff time	
AAAI	9AAM	Transaction Header	Not available
AAAI	9ABE	Transaction Header - Production/Test Indicator	Required.
AZZZ	IABL	Transaction data record	Update info same as current.
GAAA	9AA1	CUSIP ID	Invalid check digit.
GAAA	9AAA	CUSIP ID	Invalid.
GAAA	9AAN	CUSIP ID	Not eligible for processing.
GAAA	9ABB	CUSIP ID	Not found.
GAAA	9ABE	CUSIP ID	Required.
HADD	9AAA	Application Record Type	Invalid.
HADD	9ABE	Application Record Type	Required.
HADE	9AAA	Application Update Type	Invalid.
HADE	9ABE	Application Update Type	Required.
HADJ	9ABB	Matching certificate	Not found.
HADK	9ABB	Document	Not found.
HADK	9ADB	Document	Expired
HADL	9ABE	Control Id/ARF	Required.
HADM	9AAA	Primary document type	Invalid.
HADM	9ABE	Primary document type	Required.
HADN	9AAA	Secondary document type	Invalid
HADN	9ABE	Secondary document type	Required.

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**Doc Date:** September 29, 2023

**Publication Code:** AS183

**Service:** Securities Processing

**Title:** 17.04 AMD5: Custody - Void Document Processing Function User's Guide

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