



CF2/MQ Transmission Guides

7.4 Branch Deposit System (BDS)

BDS1/5 Interface

Branch Deposit - Input Processing

BDS/Custody – Messaging

BDS/Custody – Non-messaging

Copyright

Copyright © 2016 by The Depository Trust Company (“DTC”). All rights reserved. This work is proprietary and is intended for the exclusive use of DTC’s Participants and other users of DTC’s services. No part of this work may be reproduced or distributed (including by transmission) in any form or by any means, or stored in any information storage and retrieval system, without DTC’s prior written permission.

All requests for additional copies of this work or inquiries about this work should be directed to DTC Participant Interface Planning, The Depository Trust Company, 55 Water Street, New York, NY 10041, USA.

Document History

- | | |
|----------|--|
| 09/10/15 | Document reformatted. |
| 11/03/15 | Combined BDS/CUS messaging and non-messaging input file layouts; removed output processing (to be placed in a new combined BDSERR messaging/non-messaging output file layout). |

Contents

Copyright	ii
Document History	iii
1. Overview	5
1.1 Objectives of This Chapter	6
1.2 Transmitting Transactions to DTC.....	6
2. BDS/Custody Transmission File (Input) - MESSAGING	7
2.1 BDS/Custody Transmission File Record Types (MESSAGING).....	7
2.2 Transmission Record Formats (MESSAGING).....	7
2.3 BDS/Custody Transaction Header (must be attached to each record).....	8
2.4 Transaction Record Layout – Type 50.....	9
2.5 Certificate Record Layout – Type 51.....	13
2.6 Custody Document Record Layout – Type 52.....	15
2.7 Transfer Record Layout – Type 53	16
2.8 Breakdown Record Layout – Type 54	18
2.9 Mail Record Layout – Type 55.....	19
2.10 Text Record Layout – Type 56.....	22
3. BDS/Custody Transmission File (Input) – NON-MESSAGING	23
3.1 BDS/Custody Transmission File Record Types (NON-MESSAGING).....	23
3.2 Transmission Record Formats (NON-MESSAGING).....	23
3.3 BDS Transaction Header (must be attached to every BDS record type).....	24
3.4 Main Record – Type 01	25
3.5 Certificate Record – Type 02.....	29
3.6 Document Record – Type 03.....	31
3.7 Comment Record – Type 04.....	32
3.8 Trailing Document Record – Type 05.....	33
3.9 Custody Record – Type 06.....	34

1. Overview

The Branch Deposit System (BDS) and Custody systems are DTC services that enable a participants' branch to send deposit items to the DTC system for processing without having to route them from the participants' main office.

After receiving deposits, DTC performs the following functions:

- Examines images and processes all deposits
- Send status reports on all activities during a particular day
- Routes completed items as directed by the participant
- Holds incomplete items as until necessary additional item(s) are met.

This document is divided into two parts: 1) BDS/CUS messaging (section 2); and 2) BDS/CUS non-messaging (section 3).

Messaging integrates the full range of BDS/CUS services by not only allowing for the deposit of securities into the free and Custody positions, but also allowing for withdrawals, box-to-box movement, and transfer of securities. For a somewhat less integrated Branch deposit / Custody service, the non-messaging option, using a different file layout to the messaging format, enables participants to respond to deposit errors (using the BDE1/5 function) by instructing DTC of which action to take for any given error. Non-messaging BDS/CUS allows for the deposit of securities into a participant's free or Custody accounts, as well as security transfers.

The Custody Services include the safekeeping and processing of Deposits, Withdrawals, Transfers, and other functions for securities that are not eligible for full DTC depository services – for example, restricted securities. The messaging protocol allows for the immediate interaction with the participant as the errors associated with the transactions are sent back to the participant, and it allows the participant to correct or respond to the errors with a new set of data. The process of sending a transaction through the messaging protocol is labeled a "route". For deposit transactions, the editing errors could be fixed with another transaction (re-route) that is linked to the original transaction. For all other Custody transactions (ex. CODs, Transfers, etc.), re-routes are not allowed. In these cases, to correct a previous transaction containing errors, a new route of that transaction will have to be transmitted.

1.1 Objectives of This Chapter

The objectives of this chapter are to give information about:

- The Branch Deposit System (BDS) and Custody Service (CUS)
- The required format for input files from the Participant for both the messaging (section 2) and non-messaging (section 3) formats

1.2 Transmitting Transactions to DTC

The BDS function (BDS1/5) is offered via MQ/NDM messaging protocol. Participants should contact the PIP team for access at the support number 1-888-382-2721, option 5;3 or email at PIPRequests@DTC.com.

BDS1 - The transmission time is from 03:00 to 23:00 (Eastern Time). *

BDS5 - The transmission time is from 03:00 to 18:30 (Eastern Time). *

*Contact your relationship manager for the physical processing guidelines for BDS/CUS.

2. BDS/Custody Transmission File (Input) - MESSAGING

The BDS1/5 Input Transmission file consists of seven different types of records for BDS/Custody messaging. **The Transaction Header Segment (prefix) must be attached to each record.** The Data records contain the specific transaction data types as noted in the below section.

Allows for:

- The deposit of securities into the BDS free or Custody box locations using the BDS1/5 messaging expectancy file (Start-of-day or intraday)
- BDS/CUS messaging discrepancies/errors are transmitted to participants using the BDSERR function via the message delivery protocol
- Error responses for BDS/CUS messaging are processed intraday using this same function (BDS1/5) by way of re-routes

2.1 BDS/Custody Transmission File Record Types (MESSAGING)

1. **Transaction Record Layout (Type 50)** contains the transaction information being sent. This record must be the first record sent in each message grouping. Always present.
2. **Certificate Record Layout (Type 51)** identifies the detailed certificate information that is attached to a transaction, if applicable.
3. **Document Record Layout (Type 52)** identifies the detailed document information that is attached to a transaction, if applicable.
4. **Transfer Record Layout (Type 53)** identifies the detailed transfer information for the transfer transaction.
5. **Breakdown Record Layout (Type 54)** identifies the detailed breakdown information related to the transfer instruction, if applicable. It is linked to the transfer record.
6. **Mail Record Layout (Type 55)** identifies the detailed mail information related to mail to customer withdrawal instruction, if applicable.
7. **Text Record Layout (Type 56)** is used by the RDS system, only for comments.

2.2 Transmission Record Formats (MESSAGING)

It is important to observe the following:

Numeric Fields: Right aligned with leading zeroes; numeric data only; if blank, initialize to zeroes.

Character Fields: Left aligned with trailing spaces; if blank initialize to spaces.

Failure to observe these rules causes a record to be rejected.

Please ensure that all fields that are not used—optional, reserved, not allowed—are initialized as described above. Any such field that contains low values is considered an edit error and results in the rejection of the record.

All fields labeled “Mandatory” must be populated as indicated or may be rejected.

2.3 BDS/Custody Transaction Header (must be attached to each record)

Position	Length	Format	Field Name	Mand /Opt	Comments
1	1	Character	Feedback Indicator	M	Spaces
2	1	Character	Production/Test Indicator	M	P = Production T = Test
3	6	Character	Record Type	M	'BDSDEP'
9	2	Numeric	Record Suffix	M	Denotes Record Type Suffix – Value '01'
11	2	Numeric	Version Number	M	Denotes Version of Record Type Value = '01'
13	6	Character	Filler		For Future Use
19	8	Character	Addressee	M	The entity on behalf of whom the transaction is being processed (Client Id)

2.4 Transaction Record Layout – Type 50

Position	Length	Format	Field Name	Mand /Opt	Comments
1	26	Character	Record Header		See Custody transaction header
27	2	Numeric	Record Type	M	Transaction Record Value = ‘50’
29	8	Character	Part Number	M	Participant Number
37	16	Character	Transaction Number	M	Transaction key to be processed. Left justified, space filled.
53	16	Character	Primary Transaction Number	O	Original Transaction Key. This secondary item is related to (Trailing Document). Left justified, space filled. Required for T-Docs and Splits.
69	20	Character	Customer Account	M	Customer account number. Left justified, space filled.
89	2	Character	CUSIP Identifier	M	Value ‘00’
91	9	Character	CUSIP Number	M	9 digit CUSIP Number
100	1	Character	International Check Digit	M	Value ‘0’
101	8	Character	Date	M	Date message was sent (CCYYMMDD).
109	8	Character	Time	M	Time message was sent
117	8	Numeric	Route Number	M	Route Number

Position	Length	Format	Field Name	Mand /Opt	Comments
125	210	Character	Account Stencil	M	Account name and address. 6 lines, 35 bytes per line.
335	3	Numeric	Num Certs	M	Number of certificates
338	3	Numeric	Num Docs	M	Number of documents
341	13	Numeric	Total Quantity	M	Number of shares (whole)
354	5	Numeric	Frac Qty	M	Number of shares (fraction) – Implied decimal (ie: ½ = 50000)
359	1	Character	Deferred Credit Indicator	O	Value ‘Y’ or ‘N’ or ‘ ’
360	1	Numeric	PLX Deposit Ind	O	PLX deposit ticket indicator
361	1	Character	Change Status	M	Flag to indicate processing status of transaction: ‘A’ = Add deposit ‘C’ = Route ‘E’ = Re-route ‘J’ = Reject ‘S’ = Split ‘T’ = Amendment ‘O’ = Customer Account Number Change
362	1	Character	Neg Code	M	Negotiability Code: ‘ ’ = Non-Negotiable ‘N’ = Negotiable
363	1	Character	Restricted Code	M	Legal Status for Custody Transaction: ‘0’ = Not Restricted ‘1’ = Restricted Route to Restricted Service: ‘F’ = Full Sale ‘P’ = Partial Sale ‘L’ = Legend Removal ‘G’ = Gift ‘B’ = Breakdown ‘C’ = Custody Only

Position	Length	Format	Field Name	Mand /Opt	Comments
364	7	Character	Origination Box	M	Box Location this item should be routed from. Right justified, space filled.
371	7	Character	Destination Box	M	Box Location this item should be routed to. Right justified, space filled.
378	8	Character	To Part	O	Inter-Participant box movement
386	4	Character	Part Correspondent Id	O	Correspondent Id
390	2	Character	Filler		For Future use
392	3		Number of Registrations	O	Number of Registrations
395	1	Character	Rush Ind	O	Rush Indicator: 'R' = Rush ' ' = N/A
396	1	Character	Comm Iss Ind	O	Comm Issue Indicator
397	1	Character	DRS Issue Ind	O	DRS Issue Indicator
398	1	Character	Image Ind	O	Image Indicator
399	1	Character	Cancel Indicator	M	Cancel, Return or Void Route ' ' = N/A 'C' = Cancel 'R' = Return 'V' = Void
400	2	Character	CUSIP Identifier	M	Value '00'
402	9	Character	To CUSIP	O	9 digit CUSIP Number, mixed with original deposit CUSIP (for splits)
411	1	Character	International Check Digit	O	Value '0'
412	13	Numeric	Redemption Qty	O	Redemption Quantity
425	28	Character	Participant Security Description	O	Security description assigned by the Participant
453	1	Character	Filler		For future use.

Position	Length	Format	Field Name	Mand /Opt	Comments
454	1	Character	OFAC Indicator	M	Confirm registration for the deposit is clear of OFAC violations. Value = 'Y'
455	1	Character	End Route Indicator	M	End of Route Indicator: ' ' = Not end of route 'E' = End of route

2.5 Certificate Record Layout – Type 51

Position	Length	Format	Field Name	Mand /Opt	Comments
1	26	Character	Record Header		See Custody transaction header
27	2	Numeric	Record Type	M	Certificate Record Value = ‘51’
29	8	Character	Part Number	M	Participant Number
37	16	Character	Transaction Number	M	Transaction key to be processed. Left justified, space filled.
53	16	Character	Primary Transaction Number	O	Original Transaction Key this secondary item is related to. Left justified, space filled.
69	20	Character	Cust Acct	M	Customer Account Number. Left justified, space filled
89	2	Character	CUSIP Identifier	M	Value ‘00’
91	9	Character	CUSIP Number	M	9 digit CUSIP Number
100	1	Character	Internal Check Digit	M	Value ‘0’
101	12	Character	Certificate Number	M	Certificate Number Right justified, left zero filled
113	13	Numeric	Certificate Denom (whole)	M	Certificate Denomination (whole)
126	5	Numeric	Certificate Denom (Frac)	M	Certificate Denomination (fraction) Implied decimal (ie: ½ = 50000)
131	2	Numeric	Filler		Value ‘00’.
133	8	Numeric	Certificate Issue Date	M	Issue Date of the certificate (CCYYMMDD)
141	8	Numeric	Next Coupon Date	O	Date of Next Coupon (CCYYMMDD)
149	1	Character	Restricted Indicator	M	Restricted or Not Restricted: ‘0’ = Not Restricted ‘1’ = Restricted

Position	Length	Format	Field Name	Mand /Opt	Comments
150	8	Numeric	Restricted Expiration Date	O	Date of Expiration for Restricted Certificate (CCYYMMDD) Required for Restricted
158	1	Character	Registration Type	M	Customer/Firm/FBO 'C' = Customer 'F' = Firm 'B' = FBO 'T' = Third Party 'X' = Bearer
159	1	Character	Bearer/Reg Ind	M	Bearer or Registered: 'B' = Bearer 'R' = Registered
160	35	Character	Registration Line 1	M	Registration Line 1
195	35	Character	Registration Line 2	M	Registration Line 2
230	35	Character	Registration Line 3	M	Registration Line 3
265	25	Character	Registration Line 4	O	Registration Line 4
300	35	Character	Registration Line 5	O	Registration Line 5
335	35	Character	Registration Line 6	O	Registration Line 6
370	40	Character	User Ref Number	O	Free form Comments
410	3	Character	Certificate Sequence Number	M	Certificate Sequence Number for Deposit = '000'
413	42	Character	Filler		For future use
455	1	Character	End Route Indicator	M	End of Route Indicator: ' ' = Not end of route 'E' = End of route

2.6 Custody Document Record Layout – Type 52

Position	Length	Format	Field Name	Mand /Opt	Comments
1	26	Character	Record Header		See Custody transaction header
27	2	Numeric	Record Type	M	Document Record Value = ‘52’
29	8	Character	Part Number	M	Participant Number
37	16	Character	Transaction Number	M	Transaction Key to be processed. Left justified, space filled.
53	16	Character	Primary Transaction Number	O	Original Transaction Key this secondary item is related to. Left justified, space filled.
69	20	Character	Cust Acct	M	Customer Account Number. Left justified, space filled.
89	2	Character	CUSIP Identifier	M	Value ‘00’
91	9	Character	CUSIP Number	M	9 digit CUSIP Number
100	1	Character	Internal Check Digit	M	Value ‘0’
101	3	Numeric	Document Seq Number	M	Sequence number to identify the document
104	3	Numeric	Document Type	M	Number to identify type of document
107	8	Numeric	Document Expiration Date	O	Expiration date for this document
115	1	Character	Document Attached Indicator	M	Indicates whether the document is attached or not ‘N’ = Not attached ‘Y’ = Attached
116	339	Character	Filler		For future use.
455	1	Character	End Route Indicator	M	End of Route Indicator ‘ ’ = Not end of route ‘E’ = End of route

2.7 Transfer Record Layout – Type 53

Position	Length	Format	Field Name	Mand /Opt	Comments
1	26	Character	Record Header		See Custody transaction header
27	2	Numeric	Record Type	M	Transfer Record Value = ‘53’
29	8	Character	Part Number	M	Participant Number
37	16	Character	Transaction Number	M	Transaction Key to be processed. Left justified, space filled.
53	16	Character	Primary Transaction Number	O	Original Transaction Key this secondary item is related to. Left justified, space filled.
69	20	Character	Cust Acct	M	Customer Account Number. Left justified, space filled.
89	2	Character	CUSIP Identifier	M	Value ‘00’
91	9	Character	CUSIP Number	M	9 digit CUSIP Number
100	1	Character	Internal Check Digit	M	Value ‘0’
101	3	Numeric	Transfer Seq Number	M	Sequence number for this registration
104	3	Character	Transfer Type	M	Type of transfer ‘R’ = Restricted ‘C’ = Customer ‘F’ = Firm Right justified, padded with spaces
107	13	Numeric	Transfer Quantity (whole)	M	Share quantity to be transferred (whole)
120	5	Numeric	Transfer Quantity (frac)	M	Share quantity to be transferred (fraction) Implied decimal (ie: ½ = 50000)
125	2	Numeric	Filler		Value ‘00’.
127	1	Character	Filler		For future use.
128	35	Character	Transfer Registration 1	M	Name for this registration – Line 1

Position	Length	Format	Field Name	Mand /Opt	Comments
163	35	Character	Transfer Registration 2	M	Address for this registration – Line 2
198	35	Character	Transfer Registration 3	M	Address for this registration – Line 3
233	35	Character	Transfer Registration 4	O	Address for this registration – Line 4
268	35	Character	Transfer Registration 5	O	Address for this registration – Line 5
303	35	Character	Transfer Registration 6	O	Address for this registration – Line 6
338	10	Character	Tax Id	M	Id number for registration
348	1	Character	Reinvestment Type	O	Not currently used. Populate with spaces.
350	1	Character	Citizen Ind	O	Citizenship Indicator '0' = Yes '1' = No
351	3	Character	Dividend Type	O	Not currently used. Populate with spaces.
354	1	Character	Beneficial Ind	O	Not currently used. Populate with spaces.
355	13	Numeric	Redemption Amount	O	Optional (Special Processing) 9(11)V9(2)
368	1	Character	Filler		For future use
369	7	Character	Destination Box	M	Destination Box for Return Transfer
376	1	Character	Restricted Charitable Indicator	O	Charitable Indicator for gifts 'Y' = Charitable Gift 'N' = Not Charitable Gift
377	78	Character	Filler		For future use
455	1	Character	End Route Indicator	M	End of Route Indicator ' ' = Not end of route 'E' = End of route

2.8 Breakdown Record Layout – Type 54

Position	Length	Format	Field Name	Mand /Opt	Comments
1	26	Character	Record Header		See Custody transaction header
27	2	Numeric	Record Type	M	Breakdown Record Value = ‘54’
29	8	Character	Part Number	M	Participant Number
37	16	Character	Transaction Number	M	Transaction Key to be processed. Left justified, space filled.
53	16	Character	Primary Transaction Number	O	Original Transaction Key this secondary item is related to. Left justified, space filled.
69	20	Character	Cust Acct	M	Customer Account Number. Left justified, space filled.
89	2	Character	CUSIP Identifier	M	Value ‘00’
91	9	Character	CUSIP Number	M	9 digit CUSIP Number
100	1	Character	Internal Check Digit	M	Value ‘0’
101	3	Numeric	Number of Breakdown	M	Number of Breakdowns (Max value is 10)
104 thru 313	9(210)		The following 3 Data Elements occur 10 times	M	Each data element must be numeric
104	3	Numeric	Number of Certs	M	Number of Certificates
107	13	Numeric	Denomination (whole)	M	Denomination for this Certificate (whole)
120	5	Numeric	Denomination (fraction)	M	Denomination for this Certificate (fraction) Implied Decimal (ie: ½ = 50000)
314	2	Numeric	Filler		Value ‘00’
316	139	Character	Filler		For future use
455	1	Character	End Route Indicator	M	End of Route Indicator ‘ ’ = Not end of route ‘E’ = End of route

2.9 Mail Record Layout – Type 55

Position	Length	Format	Field Name	Mand /Opt	Comments
1	26	Character	Record Header		See Custody transaction header
27	2	Numeric	Record Type	M	Mail Record Value = ‘55’
29	8	Character	Part Number	M	Participant Number
37	16	Character	Transaction Number	M	Transaction Key to be processed. Left justified, space filled.
53	16	Character	Primary Transaction Number	O	Original Transaction Key this secondary item is related to. Left justified, space filled.
69	29	Character	Cust Acct	M	Customer Account Number. Left justified, space filled.
89	2	Character	CUSIP Identifier	M	Value ‘00’
91	9	Character	CUSIP Number	M	9 digit CUSIP Number
100	1	Character	Internal Check Digit	M	Value ‘0’
101	2	Character	Letter Type	M	Type of Letter to be generated

Position	Length	Format	Field Name	Mand /Opt	Comments
103	2	Character	Reason Code	M	Indicator for Reason for Return to be printed in return letter (special processing only) '01' - non-transferable '02' - securities expired '03' - restricted mutual funds '04' - escheated '05' - securities confiscated by TA '06' - lost and replaced '07' - too old for redemption '08' - non-transferable/cannot hold in account '09' - no market value '10' - missing documents '11' - Coupon Past due '12' - Security in Default '13' - Regulation S '14' - Customer Request '15' - Branch Request '16' - No Transfer Agent '17' - Israeli Bonds
105	2	Character	Mail Type	O	Mail Type '01' = 1st Class '02' = Fed Ex '03' = Pick Up '04' = Deliver '05' = DHL '06' = UPS '07' = AIRBORNE
107	35	Character	Mail Name & Address 1	M	Mailing Address Line 1
142	35	Character	Mail Name & Address 2	M	Mailing Address Line 2
177	35	Character	Mail Name & Address 3	M	Mailing Address Line 3
212	35	Character	Mail Name & Address 4	O	Mailing Address Line 4
247	35	Character	Mail Name & Address 5	O	Mailing Address Line 5
282	35	Character	Mail Name & Address 6	O	Mailing Address Line 6

Position	Length	Format	Field Name	Mand /Opt	Comments
317	120	Character	Comments	O	Comments to be used in Letter(s)
437	1	Numeric	Signature Indicator	M	Indicates the persons' signature
438	17	Character	Filler		For future use
455	1	Character	End Route Indicator	M	End of Route Indicator ' ' = Not end of route 'E' = End of route

2.10 Text Record Layout – Type 56

Position	Field Size	Format	Field Name	Mand /Opt	Comments
1	26	Character	Record Header		See Custody transaction header
27	2	Numeric	Record Type	M	Text Record Value = '56'
29	8	Character	Part Number	M	Participant Number
37	16	Character	Transaction Number	M	Transaction Key to be processed. Left justified, space filled.
53	8	Character	Date	M	Date message was sent (CCYYMMDD)
61	8	Character	Time	M	Time Message was sent
69	8	Numeric	Route Number	M	Number to Identify the Route
77	120	Character	Text	M	Text Message
197	20	Character	Sender	O	Name and telephone number of the sender
217	210	Character	Name Address	O	Address of sender
427	28	Character	Filler		For future use
455	1	Character	End Route Indicator	M	End of Route Indicator ' ' = Not end of route 'E' = End of route

3. BDS/Custody Transmission File (Input) – NON-MESSAGING

The BDS1/5 Input Transmission file consists of six different types of records for BDS/Custody non-messaging. **The Transaction Header Segment (prefix) must be attached to each record.** The Data records contain the specific transaction data types as noted in the below section.

Allows for:

- The deposit of securities into the BDS free or Custody box locations using the BDS1/5 non-messaging expectancy file (Start-of-day or intraday)
- BDS/CUS non-messaging errors are transmitted to participants using the BDSERR function via the message delivery protocol
- Error responses for BDS/CUS non-messaging are processed via the BDE1/5 error response function

3.1 BDS/Custody Transmission File Record Types (NON-MESSAGING)

1. **Main Record (Type 01)**
2. **Certificate Record (Type 02)**
3. **Document Record (Type 03)**
4. **Comment Record (Type 04)**
5. **Trailing Document Record (Type 05)**
6. **Custody Record (Type 06)**

3.2 Transmission Record Formats (NON-MESSAGING)

It is important to observe the following:

Numeric Fields: Right aligned with leading zeroes; numeric data only; if blank, initialize to zeroes.

Character Fields: Left aligned with trailing spaces; if blank initialize to spaces.

Failure to observe these rules causes a record to be rejected.

Please ensure that all fields that are not used—optional, reserved, not allowed—are initialized as described above. Any such field that contains low values is considered an edit error and results in the rejection of the record.

All fields labeled “Mandatory” must be populated as indicated or may be rejected.

3.3 BDS Transaction Header (must be attached to every BDS record type)

Position	Length	Format	Field Name	Mand /Opt	Comments
1	1	Character	Feedback Indicator	M	Error indicator; leave blank.
2	1	Character	Production/ Test Indicator	M	Indicator of whether the transaction is to be processed in the Test (T) or Production (P) environment; Required Field : values T or P
3	6	Character	Record Type	M	BDSDEP
9	2	Numeric	Record Suffix	M	nn record number of single/multiple data records within a transaction.
11	2	Numeric	Version Number	M	01 data version indicator.
13	6	Character	User Reference Number		nnnnnn (Optional) unique identifier assigned by transmitting party.
19	8	Character	Addressee ID	M	8-character identifier of the entity on whose behalf the transaction is being processed. Full numeric format: nnnnnnnn Full Non-numeric addresses: Format: Mnnnnnnn

3.4 Main Record – Type 01

Position	Length	Format	Field Name	Mand /Opt	Comments
1	26	Character	Record Header	M	See BDS transaction header
27	2	Numeric	Record Type	M	01
29	8	Numeric	Participant Number	M	00nnnnnn Identifier of the Participant submitting the deposit.
37	8	Numeric	Deposit Create Date	M	ccyyymmdd Date when the Deposit was created.
45	4	Character	Branch ID	M	aaaa 4-character identifier of the Participant branch office submitting the deposit.
49	4	Numeric	Branch Sequence Number	M	nnnn branch assigned number to uniquely identify the deposit.
53	2	Numeric	Courier ID	M	nn ID number of the courier delivering this deposit 01 Airborne Express 02 Brinks 03 Brooks 04 DHL 05 Eastern Connection 06 Express Mail 07 Federal Armored 08 Federal Express 09 Ledfoot 10 Network 11 United Parcel Service 12 Virginia Express 13 Messenger Walk In
55	16	Character	Package Air-bill Number	O	16-character package ID assigned by the delivering courier
71	2	Numeric	Deposit Type	M	Type of deposit 01 regular 02 legal 06 Reorg
73	9	Character	CUSIP Number	M	Industry standard security identifier
82	15	Numeric	Deposit Quantity	M	9(10)V9(5) Total amount of shares for this deposit

Position	Length	Format	Field Name	Mand /Opt	Comments
97	3	Numeric	Certificate Count	M	nnn number of securities associated with this deposit (maximum = 100)
100	3	Numeric	Document Count	M	nnn number of documents associated with this deposit
103	20	Character	Customer Account Number	O	Participant-assigned customer account number
123	35	Character	Registration Line-1	O	(Free-form text) first line of the customer account registration
158	35	Character	Registration Line-2	O	(Free-form text) second line of the customer account registration
193	35	Character	Registration Line-3	O	(Free-form text) third line of the customer account registration
228	35	Character	Registration Line-4	O	(Free-form text) fourth line of the customer account registration
263	35	Character	Registration Line-5	O	(Free-form text) fifth line of the customer account registration
298	35	Character	Registration Line-6	O	(Free-form text) sixth line of the customer account registration
333	12	Character	Participant Security ID	O	12-character security ID number assigned by the Participant (for internal use)
345	28	Character	Participant Security Description	O	(Free-form text) A security description assigned by the Participant (for internal use)
373	1	Character	Filler		DTC use only; do not use.
374	1	Character	OFAC Indicator	M	IF Deposit Expectancy Files Required “ Y ” = OFAC Confirmation Indicator
375	1	Character	Customer Second Name indicator	M	Indicator of whether Participant has a Second Letter on file for a customer; required to deposit certificate registered in other than the account title: “ Y ” – Second name letter is on file “ N ” – NO second name letter on file

Position	Length	Format	Field Name	Mand /Opt	Comments
376	1	Character	Security Name Change Indicator	M	Indicator of whether a security has undergone a name change; required to allow the deposit of a certificate having a CUSIP number other than the file CUSIP number. “Y” – Name change HAS been made “N” – NO name change has been made
377	9	Character	Previous CUSIP Number	O	(If entry = “Y” in position 376) previous CUSIP number as it appears on the certificates
386	1	Character	Security Reorganization Indicator	M	Indicator whether the security has been involved in reorganization. “Y” – Security is involved in a reorganization “N” – Security is not involved in a reorganization
387	1	Character	Priority Handling Indicator	M	Indicator of whether the deposit must receive priority handling Y - priority handling N - no priority handling S - SIC Only R - Deferred Reorg
388	2	Numeric	Routing Type Indicator	M	Routing instruction code for this deposit 01 deposit at DTC 02 return to Participant 03 NSCC window 04 custody deposit at DTC 05 custody transfer
390	10	Character	Employee Number	O	ID of the employee at the Participant who sent the deposit
400	40	Character	Participant Reference Number	O	Unique Participant-assigned reference number
440	8	Numeric	Original Deposit Create Date	O	ccyyymmdd create date of the original deposit with which this deposit is associated
448	4	Character	Original Branch ID	O	aaaa branch ID of the original deposit with which this deposit is associated

Position	Length	Format	Field Name	Mand /Opt	Comments
452	4	Numeric	Original Branch Sequence Number	O	nnnn sequence number of the original deposit with which this deposit is associated

3.5 Certificate Record – Type 02

Position	Length	Format	Field Name	Mand /Opt	Comments
1	26	Character	Record Header	M	See BDS transaction header
27	2	Numeric	Record Type	M	02
29	8	Character	Participant Number	M	00nnnnnn Identifier of the Participant submitting the deposit.
37	8	Numeric	Deposit Create Date	M	Ccyyymmdd date when the Deposit was created.
45	4	Character	Branch ID	M	aaaa 4-character identifier of the Participant branch office submitting the deposit.
49	4	Numeric	Branch Sequence Number	M	nnnn branch assigned number to uniquely identify the deposit.
53	3	Numeric	Certificate Sequence Number	M	Nnn - sequential number to identify the certificate within the deposit
56	5	Character	Filler	M	DTC use only; do not use.
61	12	Numeric	Certificate Number	M	Certificate number
73	15	Numeric	Certificate Denomination	M	9(10)V9(5) face value amount on the certificate
88	8	Numeric	Certificate Issue Date	M	Ccyyymmdd date the certificate was issued
96	8	Numeric	Next Coupon Payable Date	O	Ccyyymmdd payable date of the next coupon (bearer certificates only)
104	3	Numeric	Next Coupon Number	O	Nnn number of the next coupon (bearer certificates only)
107	1	Character	SIC Check Indicator	M	Indicator of whether the certificate must be verified with the Securities Information Center (SIC) to protect against loss Y requires verification with SIC N does not require verification with SIC
108	1	Character	Restrict Indicator	O	Y restricted N not restricted

Position	Length	Format	Field Name	Mand /Opt	Comments
109	8	Numeric	Restrict Expiration Date	O	Ccymmdd if position 108 entry = “Y” Zeroes if Position 108 entry = “N”
117	35	Character	Registration Line 1	M	First line of the customer's account registration
152	35	Character	Registration Line 2	M	Second line of the customer's account registration
187	35	Character	Registration Line 3	M	Third line of the customer's account registration
222	35	Character	Registration Line 4	O	Fourth line of the customer's account registration
257	35	Character	Registration Line 5	O	Fifth line of the customer's account registration
292	35	Character	Registration Line 6	O	Sixth line of the customer's account registration
327	1	Character	Registration Type	M	Type of registration on the certificate F firm name C customer name T third party B FBO (for benefit of) X bearer
328	40	Character	User Reference Text	O	Free form text field that the user can use as a reference.
368	88	Character	Filler		DTC use only; do not use.

3.6 Document Record – Type 03

Position	Length	Format	Field Name	Mand /Opt	Comments
1	26	Character	Record Header	M	See BDS transaction header
27	2	Numeric	Record Type	M	03
29	8	Character	Participant Number	M	00nnnnnn Identifier of the Participant submitting the deposit.
37	8	Numeric	Deposit Create Date	M	ccyymmdd date when the Deposit was created.
45	4	Character	Branch ID	M	aaaa 4-character identifier of the Participant branch office submitting the deposit.
49	4	Numeric	Branch Sequence Number	M	nnnn branch assigned number to uniquely identify the deposit.
53	3	Numeric	Document Sequence Number	M	nnn sequential number used to identify the document within the deposit
56	3	Numeric	Document Type	M	nnn document type indicator
59	8	Numeric	Document Expiration Date	O	ccyymmdd document's expiration date
67	1	Character	Document Sent Indicator	M	An indicator to specify whether the document has been sent or not Y document was sent N document was not sent
68	16	Character	Document Air-bill	O	Air-bill number for use if the document is a trailing document.
84	372	Character	Filler		DTC use only; do not use.

3.7 Comment Record – Type 04

Position	Length	Format	Field Name	Mand /Opt	Comments
1	26	Character	Record Header	M	See BDS transaction header
27	2	Numeric	Record Type	M	04
29	8	Character	Participant Number	M	00nnnnnn Identifier of the Participant submitting the deposit.
37	8	Numeric	Deposit Create Date	M	ccyymmdd date when the Deposit was created.
45	4	Character	Branch ID	M	aaaa 4-character identifier of the Participant branch office submitting the deposit.
49	4	Numeric	Branch Sequence Number	M	nnnn branch assigned number to uniquely identify the deposit.
53	1	Numeric	Comment Sequence Number	M	A sequential number used to identify the comment within a deposit
54	79	Character	Comment Text	M	Free form comments
133	323	Character	Filler		DTC use only; do not use.

3.8 Trailing Document Record – Type 05

Position	Length	Format	Field Name	Mand /Opt	Comments
1	26	Character	Record Header	M	See BDS transaction header
27	2	Numeric	Record Type	M	05
29	8	Character	Participant Number	M	00nnnnnn Identifier of the Participant submitting the deposit.
37	8	Numeric	Deposit Create Date	M	ccyymmdd date when the Deposit was created.
45	4	Character	Branch ID	M	aaaa 4-character identifier of the Participant branch office submitting the deposit.
49	4	Numeric	Branch Sequence Number	M	nnnn branch assigned number to uniquely identify the deposit.
53	3	Numeric	Document Sequence Number	M	Sequential number used for identifying the document within the deposit
56	3	Numeric	Document Type	M	nnn document-type indicator
59	8	Numeric	Document Expiration Date	O	ccyymmdd date when the document expires
67	1	Character	Document Sent Indicator	M	Indicator specifying whether the document has been sent “Y” Document was sent “N” Document was not sent
68	16	Character	Package Air-bill Number	O	If entry in position 67 = Y, ID of the courier package in which the trailing document was sent if entry in position 67 = N SPACES
84	372	Character	Filler		DTC use only; do not use.

3.9 Custody Record – Type 06

Position	Length	Format	Field Name	Mand /Opt	Comments
1	26	Character	Record Header	M	See BDS transaction header
27	2	Numeric	Record Type	M	06
29	8	Character	Participant Number	M	00nnnnnn Identifier of the Participant submitting the deposit.
37	8	Numeric	Deposit Create Date	M	ccyymmdd date when the Deposit was created.
45	4	Character	Branch ID	M	aaaa 4-character identifier of the Participant branch office submitting the deposit.
49	4	Numeric	Branch Sequence Number	M	nnnn branch assigned number to uniquely identify the deposit.
53	1	Character	Negotiable Indicator	M	Indicator of whether or not the incoming deposit is negotiable “Y” negotiable “N” non-negotiable
54	7	Numeric	Custody Destination Code	M	DTC custody account where the deposit is to be booked in
61	7	Numeric	Custody Transfer Destination Code	O	DTC custody account to which deposit is to be transferred
68	15	Numeric	Custody Transfer Share Quantity	M	9(10)V9(5) share quantity to be transferred
83	35	Character	Custody Registration Line 1	M	First line of the transfer registration
118	35	Character	Custody Registration Line 2	M	Second line of the transfer registration
153	35	Character	Custody Registration Line 3	M	Third line of the transfer registration

Position	Length	Format	Field Name	Mand /Opt	Comments
188	35	Character	Custody Registration Line 4	O	Fourth line of the transfer registration
223	35	Character	Custody Registration Line 5	O	Fifth line of the transfer registration
258	35	Character	Custody Registration Line 6	O	Sixth line of the transfer registration
293	90	Numeric	Custody Transfer Breakdown	O	Transfer number of pieces, a group of up to five 18-position fields describing the requested certificate breakdown of the transfer; format for each line: nnn number of certificates, followed by 9(10)V9(5) Denomination (whole/fraction)
383	9	Character	Custody Transfer Taxpayer ID	O	Taxpayer ID number (social security number or employee identification number) of the primary owner of the securities described in this transfer
392	1	Character	Custody Transfer TEFRA Code	O	Tax withholding code: Blank not applicable A - failure to provide TIN B - failure to certify TIN C - notification of incorrect TIN from the Secretary of the Treasury D - Failure to certify withholding status E - voluntary disclosure by payee of affirmative backup withholding status F - notification to begin backup withholding from the Secretary of the Treasury for under-reporting of dividends and interest payment

Position	Length	Format	Field Name	Mand /Opt	Comments
393	1	Character	Communication Issue Indicator	M	Indicator of whether CUSIP is in communications issue Blank non-communications issue 0 US citizen 1 non-resident alien
394	62	Character	Filler		DTC use only; do not use.