



## CCF/CCF-II/MDH Transmission Guides

# **7.07 Deposits via CCF-II (CF2DEP): User's Guide**



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## Document History

### 1. Version 1.1 February 24, 1993

- Added 5 bytes of filler to Detail Record following "Share Quantity" field
- Added extra error fields and renumbered existing error fields in "Rejected Deposit Data Record" layout (see Record layout for details)

### 2. Version 1.2 May 27, 1995

- Added edit criteria for the "Deposit Activity Date" and corresponding error flags.

### 3. Version 2.0 October, 1995 (J. Ribalt/Y. Agard)

#### REORG Deposits

- Added documentation for REORG deposits
- Added REORG deposit transaction data types 20 and 25
- Added Rejected Deposit 20 and 25 records
- Added deposit types for REORG deposits.

#### Regular Deposits

- Added Fractional Shares for regular deposits type 10
- Added a fractional share indicator (col 42) to check trailer against DTC-calculated fractional shares
- Included fractional shares in the ADT record.

### 4. Version 2.1 July, 1996 (JR)

- Modified Acknowledgment Trailer Record layout description to reflect fractional shares; corrected positional length of error field



5. Reformatted August, 1997
6. Deleted all BDT references, added transmission processing status code 877 to CTL record, reorganized pages, September 1997.
7. September 01 - Added the Same Day/Next Day indicator to DEP REORG Transaction Data Record (DEP 20) and Regular DEP Transmission Data Record (DEP 10) records.
8. December 2010 - Added Regular Deposit Certificate Data Record (DEP 15). Reference number field in Regular Deposit Transaction Data Record (DEP 10) is now mandatory. Added paragraphs 4.3.2 and 6.4.2 describing input transaction and acknowledgement record for Certificate Data Record (DEP 15). Error flag #18 was added and error flags #5 and #8 updated in acknowledgment Regular Deposit record (DEP 10).
9. July 2011 - Reference number field in Reorg Deposit Transaction Data Record (DEP 20) is now mandatory. Added Registration field to Reorg Certificate Record (DEP 25). Error flag #18 was added in acknowledgment Reorg Deposit record (DEP 20). Value '1' means that mandatory reference number was not specified.



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## 1 CCF-II Overview

DTC's Computer-to-Computer Facility II (CCF-II) is a medium that enables the transmission of data back and forth between the Depository Trust & Clearing Corporation and its Participants and users. Users transmit data to DTC (transmission file) and then receive data in reply (acknowledgment file).

CCF-II transmissions to and from DTC use one of the following:

- IBM Remote Job Entry (RJE) software
- IBM Remote Job Entry/System Network Architecture (RJE/SNA) software
- Systems Center Network Data Mover (NDM) software.

To transmit data to DTC via CCF-II, it is necessary to perform the following steps:

1. Prepare an input transaction file in the DTC-specified format
2. Execute RJE-based JCL
3. Transmit the file to DTC's computer system.

After the transmission has been completed, DTC edits the input transmission file and returns an acknowledgment file to the user. This file indicates the status of the transmission and any errors that may have been detected in the input transmission.

### 1.1 Objectives of This Chapter

The objectives of this chapter are to give information about:

- The Deposits via CCF-II (CF2DEP) function
- The format of required information records.

### 1.2 Transmitting Transactions to DTC

To transmit data to DTC via CCF-II, it is necessary to prepare JCL as specified in any of the following User Guides:

- CCF-II/RJE User's Guide



- RJE System Network Architecture User's Guide
- Network Data Mover via CCF-II User's Guide

For a fuller understanding of specific JCL requirements, please consult the RJE, RJE/SNA, or NDM User Guides.

After creating a file of input transactions in the appropriate RJE, RJE/SNA, or NDM format, Users transmit the DTC-specified JCL in order to initiate a job within DTC's computer system. DTC then edits the input file records, and transmits back to Users any records that are in error. Valid transactions are processed as long as no "severe" errors are detected.

In order to indicate the CCF-II function to be processed, JCL must include the following generic procedure name and overriding parameter:

| Procedure name       | RJExxxxx, RJExxxx, or NDMxxxxx  |
|----------------------|---|
| Overriding parameter | FUNC=yyyyyy   |
| RJExxxxx             | = DTC's CCF-II/RJE processing procedure; xxxxx is the suffix referring to the transmitted function    |
| RJExxxx              | = DTC's CCF-II/RJE/SNA processing procedure; xxxx is the suffix referring to the transmitted function |
| NDMxxxxx             | = DTC's CCF-II/NDM processing procedure; xxxxx is the suffix referring to the transmitted function    |
| yyyyyy               | = the name of the CCF-II function being transmitted   |

## 2 CF2DEP Function: Introduction

This document describes DTC's CF2DEP function, used for transmission of DTC deposit transactions via DTC's Computer-to-Computer Facility II (CCF-II). CCF-II is described in *CCF-II System User's Guide*, available from DTC. It is recommended that Users be familiar not only with that guide, but also with DTC's operating procedures and computer operations in general, before reading this document. Appendix B of this document contains a summary of the CCF-II system.

The information in this document reflects Release I of the CCF-II software.

### 2.1 System Overview

CCF-II users can use the CF2DEP function to transmit deposit input information records to DTC and to receive responses indicating any errors that may have been detected in the input transmission. Users that consider any particular input



transmission to be critical are advised to prepare procedures to be used when CCF-II is unavailable. For information on this, see [7.1 - Backup for CCF-II](#) on page 45.

## **2.2 CF2DEP Transmission Cutoff Schedule**

Participants can use the CF2DEP function for all deposit input instructions as often as necessary, subject to the cutoff time of 8:00 p.m. (Eastern time).

Note that:

- Transactions that begin after the cutoff time will be rejected without further processing.
- If the cutoff time is reached during an input transmission, the transmission will not be accepted.

## **2.3 Initiating a CF2DEP Transmission**

In order to initiate a CF2DEP transmission, it is necessary to transmit to DTC appropriate JCL, either RJE-, RJE/SNA-, or NDM-based. For further information on JCL requirements, please consult on of the following: *CCF-II/RJE User's Guide*, *RJE System Network Architecture User's Guide*, or *Network Data Mover via CCF-II User's Guide*. These guides are available from DTC.

## **2.4 CF2DEP Transmission and Acknowledgment Files**

The characteristics of CF2DEP transmission and acknowledgment files are described below:

### **2.4.1 Transmission Files**

CF2DEP transmission files consist of 250-character records.

- When transmission takes place via CCF-II/NDM or RJE/SNA, the actual CF2DEP 250-character records are transmitted to DTC.
- When a CF2DEP file is transmitted via CCF-II/RJE, it arrives at DTC in 80-byte card-image format, transmitted in four card images per record. DTC reformats the card images into the 250-byte record required for edit processing.

### **2.4.2 Acknowledgment Files**

CF2DEP acknowledgment files consist of 300-character records.

- When an acknowledgment is transmitted via CCF-II/NDM, the actual CF2DEP 300-character records are transmitted to the User.
- When an acknowledgment is transmitted via CCF-II/RJE, it is reformatted from the 300-character format into the 80-byte card-image format. DTC then transmits to the User five card images per CF2DEP acknowledgment record.
- When an acknowledgment is transmitted via CCF-II/RJE/SNA, it is converted from the 300-character format reformatted into 255-byte format. DTC then transmits to the User two records per CF2DEP acknowledgment record.

All CF2DEP record-format descriptions in this document pertain to the 250-byte and 300-byte records. For further information on RJE card-image record formats, see the *CCF-II/RJE User's Guide*, available from DTC.



## 2.5 Testing the CF2DEP Function

Users can specify whether a transmission is for test or production purposes by specifying T or P in the processing option field of the Transmission Header Record. (See [4.2 - Transmission Header Record \(HDR\)](#) on page 12.) DTC has created the Test option in order to facilitate development of CCF-II functions in Participants' computer systems.

**Test.** The Test option applies to "No Deposit Instruction" transactions that affect Participant accounts. Such transactions are listed at DTC, and are returned to Participants if invalid. "Test" listings are available from DTC upon request.

**Production.** The Production option applies to all deposit transactions that comply with CF2DEP edit criteria, are deemed fully valid, and affect Participants' accounts.

### 3 Transmission File (Input)

The CCF-II Deposit Instructions Input file consists of four different types of records. The first two records and the last record on the input file—Security, Header and Trailer—are for control purposes only. The remaining Data record—one of three possible types—contains the specific CF2DEP transactions.

The six records, three control records and three types of data records, together with the basic rules for processing within the CCF-II system, are described in the following subsections, 3.1, 3.2 and 3.3:

#### 3.1 Transmission Records

An input instruction file consists of:

- A CCF-II Transmission Security Record (PSW) and a Transmission Header Record (HDR)—numbers 1 and 2 in the following list;
- A data record, either Deposit Input Transaction Data Record (DEP) with optional Deposit Certificate Data Record (DEP 15); or REORG Deposit Input Transaction Data Record (DEP 20) plus REORG Deposit Certificate Data Record (DEP 25)—numbers 3, 4, 5 and 6 in the following list
- Transmission Trailer Record (TLR)—number 7 in the following list:

- 1. CCF-II Transmission Security Record (PSW)** specifies the transmitter's sign-on ID and legitimate password, together with the unique identifying number of the transmission. The Security (PSW) record must be the first record in the file, but is considered a CCF-II record rather than a CF2DEP transmission record. Since this record is for security purposes only, it is not returned in DTC's acknowledgment file.
- 2. Transmission Header Record (HDR)** identifies the transmitter of the Deposit Input transaction and also identifies the transmission uniquely as one not previously transmitted. The Header Record must be the first record in the CF2DEP transmission file, but is not to be included in record count tabulations.
- 3. Deposit Input Transaction Data Record (DEP 10)** contains detailed information regarding each DEP transaction. It may be followed by one or more type 15 Certificate records which are not mandatory.
- 4. Deposit Certificate Data Record (DEP 15)** contains detailed information regarding each certificate as it relates to each deposit. The Deposit Certificate record is a type 15 record and is optional. DTC accepts up to twenty (20) Certificate type 15 records in a deposit transaction grouping.
- 5. REORG Deposit Input Transaction Data Record (DEP 20)** contains all detailed information regarding each REORG DEP transaction. The REORG DEP data record is a type 20 record and must always be followed by one or more type 25 REORG Certificate records.

- 6. REORG Deposit Certificate Data Record (DEP 25)** contains detailed information regarding each certificate as it relates to each REORG deposit. The REORG Deposit Certificate record is a type 25 record and is mandatory for each REORG Deposit (type 20) record. DTC accepts up to twenty (20) REORG Certificate type 25 records in a REORG transaction grouping.
- 7. Transmission Trailer Record (TLR)** contains control information for all CF2DEP transactions in a transmission. The TLR record must be included as the last record of the transmission; however it is not to be included in record count tabulations. Totals appearing in the Trailer Record are verified by DTC. If a Trailer Record is transmitted as anything other than the last record of a transmission, DTC cancels the entire transmission.

### 3.2 Transmission Editing

There are four basic levels of CF2DEP transmission file error editing:

**Security Error.** A security error causes an entire transmission file to be refused. This happens when the security (PSW) record fails to properly identify the transmitter to DTC's CCF-II system. When a security error is detected, the acknowledgment file contains a Single Error (ERR) Record.

**Header Error.** A header error causes the remainder of a transmission file to be refused. If the Header (HDR) Record fails to properly identify the transmission, that is, if the TranID is invalid, or if it contains other edit errors, the transmission is refused. When a header error is detected, the acknowledgment file contains only three records: the Control (CTL) Record, the rejected Header Record (HDR), and the Audit Record (ADT).

**Severe Error.** Any of the following severe errors cause an entire CF2DEP transmission to be cancelled. All records are returned unaccepted, but as much editing as possible will have been done, and error flags are set to provide the transmitter with maximum acknowledgment information. Severe errors are any of the following:

- The transmission was received after the cutoff time (8:00 p.m.).
- The transmission contains an invalid record type; that is, other than PSW, HDR, 10, 15, 20, 25, or TLR.
- A record sequence error has been detected; for example, the last record is not TLR.
- A numeric trailer record field contains non-numeric data
- A trailer record total does not match the DTC-calculated total for all records received. This occurs if either the trailer record total is incorrect or if the corresponding field in any data record contains non-numeric data.

**Edit Error.** A transaction edit error causes a transaction to be rejected. Provided that there is no security, header, or severe errors, DTC accepts and processes all CF2DEP transactions that are deemed valid. A more detailed discussion of transaction edit errors follows in [3.3 - Transaction Editing](#) on page 9.



### 3.3 Transaction Editing

The CCF-II Deposit Input Instruction system accepts one data record for each DEP transaction. An edit error in any transaction causes that transaction to be rejected. Deposit record (type 10 or 20) together with following Certificate records (type 15 or 25) are treated as one transaction. Edit error found in any record causes the whole group of records to be rejected.

If any of the following edit errors occur, the DEP transaction is rejected and the returned acknowledgment record contains appropriate error flags. An edit error occurs when:

- A field contains invalid data.
- A field is not properly formatted, for example, non-numeric data in a numeric field.
- Mandatory field is not populated.
- An unused field is not properly initialized (see [4 - Transmission Record Formats](#) on page 10).
- Error was found in one record of the 10-15 or 20-25 group of records.



## 4 Transmission Record Formats

Input transmission record formats are described in the following subsections.

To ensure that standard CCF-II editing criteria are followed, 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.

Note that all "Filler" fields are for DTC use only and must not be used.





#### 4.1 Transmission Security Report (PSW)

The CCF-II Security Record transmitted to DTC introduces and identifies the transmitter to the CCF-II system. This is done via the Signon ID and Password, which must always be valid and up to date. Where security is a consideration at a User's site, that record can be linked in a series in front of the data file from another source.

The Security record is for input purposes only and is therefore not returned in DTC's acknowledgment file. The format is described below:

| CCF-II Transmission Security Record Format |        |           |                 |  |
|--|--------|-----------|-----------------|--|
| Position                                   | Length | Format    | Field Name      | Description  |
| 1  | 3      | Character | Record Type     | Must contain value "PSW".  |
| 4  | 6      | Character | Signon ID       | <i>aaaaaa</i> valid DTC Participant<br>number<br><i>Gaaaaa</i> group user ID<br><br><b>Note:</b> Left aligned with trailing spaces |
| 10   | 6      | Character | Password        | Valid password, obtainable from DTC's Participant Interface Planning group.  |
| 16   | 6      | Character | Activity Type   | CF2DEP   |
| 22   | 3      | Numeric   | Transmission ID | <i>nnn</i> Unique transmission identifier; must agree with entry in TranID field in HDR record (page 12).                          |
| 25   | 226    | Character | Filler          | DTC use only; do not use.  |



## 4.2 Transmission Header Record (HDR)

The CF2DEP Header Record is considered the first record in the Deposit (input) Instruction file. The format is shown below.

| Transmission Header Record (HDR)–Format |        |           |                                     |   |
|---|--------|-----------|-------------------------------------|---|
| Position                                | Length | Format    | Field Name                          | Description   |
| 1                                       | 3      | Character | Record Type                         | HDR   |
| 4                                       | 8      | Character | Signon ID                           | Identifier of transmitting agent; always 4 spaces, followed by:<br><i>nnnn</i> for Participant<br><i>Gxxx</i> for group user  |
| 12                                      | 2      | Character | Individual User (Signon Department) | For future use; fill with spaces or zeroes.   |
| 14                                      | 6      | Character | Filler                              | DTC use only; do not use.   |
| 20                                      | 6      | Numeric   | Process Date                        | <i>mmddy</i> date the transmission is sent to DTC.  |
| 26                                      | 6      | Character | Activity Type                       | CF2DEP  |
| 32                                      | 3      | Numeric   | Transmission ID Number              | <i>nnn</i> unique non-zero numeric identifier of each transmission initiated by same sign-on ID.  |
| 35                                      | 1      | Character | Transmission Option                 | A = new transmission  |
| 36                                      | 1      | Character | Processing Option                   | Test/production indicator<br>T test<br>P production   |
| 37                                      | 10     | Numeric   | Header Record's Error Flags         | Ten 1-byte fields; enter zeroes on input<br><b>Note:</b> These flags may be used in the output acknowledgment file to indicate error type and severity (see <a href="#">6.1 - CCF-II Acknowledgment Error Record (ERR)</a> on page 25). |
| 47                                      | 204    | Character | Filler                              | DTC use only; do not use.   |



### 4.3 Regular DEP Transaction Data Record (DEP 10, DEP 15)

The regular DEP Transaction Data Record consists of two types of record, of 250 characters each. The first record is the Deposit Data Record (DEP 10), followed by one or more Deposit Certificate records (DEP 15). Record type 15 is not mandatory; Deposit record type 10 may be specified without following type 15 records. Up to 20 Certificate Records may be specified for single deposit record. Number of Certificate Records DEP 15 must match the number specified in 'Number of Certificates' field (pos 44) of the corresponding Deposit record DEP 10. The sum of denominations in all Certificate Records must equal to share quantity (pos 23) in the corresponding Deposit record. These records are described below in Sections 4.3.1 and 4.3.2 respectively.

#### 4.3.1 Regular DEP Transaction Data Record (DEP 10)

| Regular DEP Transmission Data Record (DEP 10) Format |        |           |                                 |  |
|--|--------|-----------|---------------------------------|--|
| Position   | Length | Format    | Field Name                      | Description  |
| 1  | 2      | Character | Record Type                     | 10 = data record   |
| 3  | 8      | Numeric   | Participant/Depository Facility | 8-digit identifier of DTC Participant/depository facility submitting the deposit instruction   |
| 11   | 2      | Numeric   | Filler                          | DTC use only; do not use.  |
| 13   | 9      | Character | CUSIP Number                    | 9-character issue identifier   |
| 22   | 1      | Numeric   | Filler                          | DTC use only; do not use.  |
| 23   | 13     | Numeric   | Share Quantity                  | 9(13) quantity of shares per deposit instruction<br>If this record type 10 is followed by one or more Certificate records type 15, value in this field must be equal to the sum of denominations from Certificate Records. |
| 36   | 5      | Numeric   | Fractional Share Quantity       | 9(05) quantity of fractional shares per deposit instruction; enter zeroes if not used.   |
| 41   | 3      | Character | Deposit Type                    | Valid 3-digit deposit type; see <a href="#">8 - Appendix A. Deposit Types</a> on page 47.  |



| <b>Regular DEP Transmission Data Record (DEP 10) Format</b> |               |               |                        |  |
|---|---------------|---------------|------------------------|--|
| <b>Position</b>   | <b>Length</b> | <b>Format</b> | <b>Field Name</b>      | <b>Description</b>   |
| 44  | 5             | Numeric       | Number of Certificates | (Optional if Certificate Records type 15 not supplied; Mandatory if Certificate Records follow)<br><br>Total number of certificates included in this DEP instruction.<br>Zeroes if not used.<br><br>If this record type 10 is followed by Certificate Records type 15, value in this field must be equal to the number of Certificate Records. |
| 49  | 15            | Character     | Reference Number       | (Mandatory)<br>Unique Participant-assigned customer identifier.<br>Record will be rejected if this field contains spaces.  |
| 64  | 8             | Numeric       | Participant Number     | (Only if Deposit Type entry = 003, 008, 013, 016, 019, 021, or 022)<br>8-digit depositing Participant identifier<br>Otherwise, enter zeroes.   |
| 72  | 8             | Numeric       | ADR Transfer Number    | (Optional)<br>9(08) American Depository Receipt number<br>Zeroes if not used   |
| 80  | 8             | Numeric       | Deposit Activity Date  | <i>mmdccyy</i> date when the physical certificates will be received at DTC and the Participant position will be credited; must equal date of transmission or future business day date.   |
| 88  | 4             | Numeric       | Branch Number          | (Optional) Participant branch submitting the deposit; zeroes if not used.  |
| 92  | 3             | Numeric       | Record Sequence Number | (Optional) number used to link this record with other records depositing certificates with the same CUSIP number, Participant number and deposit type; zeroes if not used.   |
| 95  | 12            | Character     | Certificate # 1        | (Optional) number of the first certificate; spaces if not used.  |
| 107   | 12            | Character     | Certificate # 2        | (Optional) number of the second certificate; spaces if not used.   |
| 119   | 12            | Character     | Certificate # 3        | (Optional) number of the third certificate; spaces if not used.  |



| <b>Regular DEP Transmission Data Record (DEP 10) Format</b> |               |               |                             |   |
|---|---------------|---------------|-----------------------------|---|
| <b>Position</b>   | <b>Length</b> | <b>Format</b> | <b>Field Name</b>           | <b>Description</b>  |
| 131   | 12            | Character     | Certificate #<br>4          | (Optional) number of the fourth certificate; spaces if not used.                                  |
| 143   | 12            | Character     | Certificate #<br>5          | (Optional) number of the fifth certificate; spaces if not used.                                   |
| 155   | 12            | Character     | Certificate #<br>6          | (Optional) number of the sixth certificate; spaces if not used.                                   |
| 167   | 12            | Character     | Certificate #<br>7          | (Optional) number of the seventh certificate; spaces if not used.                                 |
| 179   | 12            | Character     | Certificate #<br>8          | (Optional) number of the eighth certificate; spaces if not used.                                  |
| 191   | 12            | Character     | Certificate #<br>9          | (Optional) number of the ninth certificate; spaces if not used.                                   |
| 203   | 12            | Character     | Certificate #<br>10         | (Optional) number of the tenth certificate; spaces if not used.                                   |
| 215   | 1             | Character     | Same Day/Next Day indicator | Optional field: 'N'; indicates Next Day Processing. All other values will be treated as Same Day. |
| 216   | 1             | Character     | OFAC Indicator              | If Deposit Expectancy File Required "Y" = OFAC Confirmation Indicator                             |
| 217   | 34            | Character     | Filler                      | DTC Use Only: Do Not Use  |

**4.3.2 Regular DEP Certificate Record (DEP 15)**

| <b>Regular DEP Certificate Record (DEP 15) Format</b> |               |               |                                 |  |
|---|---------------|---------------|---------------------------------|--|
| <b>Position</b>                                       | <b>Length</b> | <b>Format</b> | <b>Field Name</b>               | <b>Description</b>   |
| 1   | 2             | Character     | Record Type                     | 15 = Certificate record  |
| 3   | 8             | Numeric       | Participant/Depository Facility | 8-digit identifier of DTC Participant/depository facility submitting the deposit instruction |



| <b>Regular DEP Certificate Record (DEP 15) Format</b> |               |               |                          |  |
|---|---------------|---------------|--------------------------|--|
| <b>Position</b>                                       | <b>Length</b> | <b>Format</b> | <b>Field Name</b>        | <b>Description</b>   |
| 11  | 2             | Numeric       | Filler                   | DTC use only; do not use.  |
| 13  | 9             | Character     | CUSIP Number             | 9-character issue identifier   |
| 22  | 1             | Numeric       | Filler                   | DTC use only; do not use.  |
| 23  | 5             | Character     | Certificate Prefix       | Prefix of certificate associated with deposit                                |
| 28  | 7             | Character     | Certificate Number       | Number of certificate associated with deposit                                |
| 35  | 13            | Numeric       | Certificate Denomination | 9(13) Denomination of a certificate  |
| 48  | 5             | Numeric       | Fractional Denomination  | 9(5) Fractional denomination of a certificate; for future use. Enter zeroes. |
| 53  | 30            | Character     | Registration             | First line of registration.  |
| 83  | 168           | Character     | Filler                   | DTC Use Only: Do Not Use   |



#### 4.4 DEP REORG Transaction Data Record (DEP 20, 25)

The DEP REORG Transaction Data Record consists of two types of record, of 250 characters each. The first record is the REORG Data Record (DEP 20), followed by one or more REORG certificate records (DEP 25). These records are described below in Sections 4.4.1 and 4.4.2 respectively.

##### 4.4.1 DEP REORG Transaction Data Record (DEP 20)

| DEP REORG Transaction Data Record (DEP 20) Format |        |           |  |  |
|---|--------|-----------|--|--|
| Position  | Length | Format    | Field Name                             | Description  |
| 1   | 2      | Character | Record Type                            | 20 = data record   |
| 3   | 8      | Numeric   | Participant/Depository Facility Number | 3-digit identifier of DTC Participant/depository facility submitting the deposit instruction                           |
| 11  | 2      | Numeric   | Filler                                 | DTC use only; do not use.  |
| 13  | 9      | Character | CUSIP Number                           | 9-character issue identifier   |
| 22  | 1      | Numeric   | Filler                                 | DTC use only; do not use.  |
| 23  | 13     | Numeric   | Share Quantity                         | 9(13) quantity of shares per deposit instruction   |
| 36  | 5      | Numeric   | Fractional Share Quantity              | Zeroes<br><b>Note:</b> This field, for quantity of fractional shares, is for future use.                               |
| 41  | 3      | Character | Deposit Type                           | Valid 3-digit deposit type; see <a href="#">8 - Appendix A. Deposit Types</a> on page 47.                              |
| 44  | 5      | Numeric   | Number of Certificates                 | 9(05) total number of REORG type 25 certificates included in this DEP instruction.                                     |
| 49  | 15     | Character | Reference Number                       | (Mandatory)<br>Unique Participant-assigned customer identifier. Record will be rejected if this field contains spaces. |
| 64  | 8      | Numeric   | Participant Number                     | Zeroes<br><b>Note:</b> This field, for depositing Participant identifier, is for future use.                           |



| <b>DEP REORG Transaction Data Record (DEP 20) Format</b> |               |               |                             |   |
|--|---------------|---------------|-----------------------------|---|
| <b>Position</b>  | <b>Length</b> | <b>Format</b> | <b>Field Name</b>           | <b>Description</b>  |
| 72   | 8             | Numeric       | ADR Transfer Number         | (Optional)<br>9(08) American Depository Receipt number; zeroes if not used.   |
| 80   | 8             | Numeric       | Deposit Activity Date       | <i>mmddccyy</i> date when the physical certificates will be received at DTC and the Participant's position will be credited; must equal date of transmission or future business date. |
| 88   | 4             | Numeric       | Branch Number               | (Optional)<br>Number of Participant's branch submitting the deposit; zeroes if not used.  |
| 92   | 3             | Numeric       | Filler                      | DTC use only; do not use.   |
| 95   | 8             | Numeric       | RIPS Redemption Date        | Required if Deposit Type entry = 26, 27, or 28<br><i>ccyymmdd</i> REORG Redemption date for partial calls<br><b>Note:</b> Optional for other deposit types; zeroes if not used.       |
| 103  | 3             | Numeric       | Next Coupon Number          | Required if Deposit Type entry = 25 or 28 (REORG bearers)<br>9(03) next coupon number to be clipped<br><b>Note:</b> Optional for other deposit types; zeroes if not used.             |
| 105  | 1             | Character     | Same Day/Next Day indicator | Optional field:<br>'N'; indicates Next Day Processing.<br>All other values will be treated as Same Day.   |
| 106  | 144           | Character     | Filler                      | DTC use only; do not use.   |
| 107  | 109           | Character     | Filler                      | DTC Use Only: Do Not Use  |
| 216  | 1             | Character     | OFAC Indicator              | If Deposit Expectancy File Required<br>"Y" = OFAC Confirmation Indicator  |
| 217  | 34            | Character     | Filler                      | DTC Use Only: Do Not Use  |





**4.4.2 DEP REORG Certificate Record (DEP 25)**

| <b>DEP REORG Certificate Record (DEP 25)–Format</b> |               |               |  |  |
|---|---------------|---------------|--|--|
| <b>Position</b>                                     | <b>Length</b> | <b>Format</b> | <b>Field Name</b>                                | <b>Description</b>   |
| 1   | 2             | Character     | Record Type                                      | 25 = data record   |
| 3   | 8             | Numeric       | Participant/<br>Depository<br>Facility<br>Number | 8-digit identifier of the DTC<br>Participant/depository facility submitting the<br>deposit instruction   |
| 11  | 2             | Numeric       | Filler   | DTC use only; do not use.  |
| 13  | 9             | Character     | CUSIP Number                                     | 9-character issue identifier   |
| 22  | 1             | Numeric       | Filler   | DTC use only; do not use.  |
| 23  | 5             | Character     | Certificate<br>Prefix                            | Prefix of certificate associated with deposit  |
| 28  | 7             | Character     | Certificate<br>Number                            | Number of certificate associated with deposit  |
| 35  | 13            | Numeric       | Called<br>Quantity                               | Required if Deposit Type entry = 26, 27, or 28<br>9(13) called quantity<br><b>Note:</b> Optional for other deposit types; zeroes if<br>not used. |
| 48  | 13            | Numeric       | Certificate<br>Denomination                      | 9(13) denomination of a certificate  |
| 61  | 5             | Numeric       | Fractional<br>Denomination                       | Fractional denomination of a certificate; for<br>future use<br>Enter zeroes.   |
| 66  | 30            | Character     | Registration                                     | (Optional) First line of registration. Spaces will<br>be accepted as valid value.  |
| 96  | 155           | Character     | Filler   | DTC use only; do not use.  |



#### 4.5 CF2DEP Transmission Trailer Record (TLR)

The 250-character Trailer Record described below is required as the last record of each CF2DEP transmission.

| Transmission Trailer Record (TLR)–Format  |        |           |                            |  |
|---|--------|-----------|----------------------------|--|
| Position  | Length | Format    | Field Name                 | Description  |
| 1   | 3      | Character | Record Type                | TLR = trailer record   |
| 4   | 8      | Character | Signon ID                  | Identifier of the deposit file transmitter; must = Signon ID entry in position 4 of header (HDR) record.   |
| 12  | 6      | Character | Activity Type              | CF2DEP   |
| 18  | 3      | Numeric   | Transmission ID Number     | 3-digit record identifier; must match the Transmission ID Number entry in position 32 of header (HDR) record.  |
| 21  | 7      | Numeric   | Total Record Count         | 9(07)total number of data records in the current transmission, not counting header and trailer records; must = DTC-calculated total record count.  |
| 28  | 14     | Numeric   | Total Share Quantity       | 9(14)total number of shares in all the data records in the current transmission; must = DTC-calculated total share quantity.   |
| 42  | 1      | Character | Fractional Share Indicator | Indicator of whether fractional shares exist in the trailer record<br>Space no fractional shares in the trailer record<br>F fractional shares exist in the trailer record<br><b>Note:</b> The entry here determines entries in positions 47–250 (see below). |
| 43  | 4      | Character | Filler                     | DTC use only; do not use.  |
| <b>Deposits with no fractional shares (if the entry in position 42 = space)</b> |        |           |                            |  |
| 47  | 10     | Numeric   | Trailer Record Error Flags | Ten 1-byte fields; enter zeroes on input.<br><b>Note:</b> These flags may be used in the output acknowledgment file to indicate error type and severity (see <a href="#">6.1 - CCF-II Acknowledgment Error Record (ERR)</a> on page 25).                     |
| 57  | 194    | Character | Filler                     | DTC use only; do not use.  |



| <b>Transmission Trailer Record (TLR)–Format</b>                          |               |               |                                 |  |
|--|---------------|---------------|---------------------------------|--|
| <b>Position</b>  | <b>Length</b> | <b>Format</b> | <b>Field Name</b>               | <b>Description</b>   |
| <b>Deposits with fractional shares (if the entry in position 42 = F)</b> |               |               |                                 |  |
| 47   | 15            | Numeric       | Total Fractional Share Quantity | 9(10)V9(5) total quantity of fractional shares in type 10 records in the current transmission; must = DTC-calculated total fractional share quantity.  |
| 62   | 10            | Numeric       | Trailer Record Error Flags      | Ten 1-byte fields; enter zeroes on input. <b>Note:</b> These flags may be used in the output acknowledgment file to indicate error type and severity (see <a href="#">6.1 - CCF-II Acknowledgment Error Record (ERR)</a> on page 25) |
| 72   | 179           | Character     | Filler                          | DTC use only; do not use.  |

## 5 Acknowledgment Files (Output)

The CCF-II Deposit Output Instruction Acknowledgment file consists of eight different types of records. The Error, Control, and Audit records are for control purposes. The remaining acknowledgment records are Rejected records, sent back with error flags to indicate the type and severity of edit errors that have been detected. Rejected HDR and TLR records have embedded error flags that are transmitted as part of the input record. Rejected DEP 10, 15, 20 and 25 records have appended error flags, which accounts for the expanded 300-character acknowledgment record size.

The acknowledgment file consists of:

- Either an Error (ERR) record only, if a security violation occurs

or

- A Control (CTL) record, plus
- A number of rejected HDR, DEP 10, 15, 20, 25 and TLR records, or none of these if the transmission is fully valid, plus
- An Audit (ADT) record describing data that have been accepted.

If the deposit transmission is accepted as fully valid, the acknowledgment file is returned to the transmitter, with summary information in the Control (CTL) and Audit (ADT) records.

### 5.1 Acknowledgment Records

The six record types that can appear in the CCF-II Deposit Input Instruction Acknowledgment file are listed below, together with basic conditions for their appearance:

- **CCF-II Acknowledgment Error Record.** Whenever the CF2DEP Security PSW record sign-on and/or password fail DTC's security check, the acknowledgment file contains only an Error (ERR) Record.

- **CF2DEP Acknowledgment Control Record (CTL).** If no security violations are detected, a Control record is the first record of the acknowledgment file.
- **CF2DEP Acknowledgment Rejected Header Record.** If a Header or Severe edit error is detected, a Rejected Header (HDR) follows the CTL record in the acknowledgment file. (For a definition of edit errors, see [3.3 - Transaction Editing](#) on page 9.) A header edit violation results in the HDR being the only rejected record in the acknowledgment file; that is, DTC does no further editing. A Severe edit error means that the input HDR was accepted, that the entire transmission has been rejected and that more rejected records are to follow.
- **Rejected DEP Transaction Data (DEP 10, 15, 20 and 25) Records.** Any DEP transaction that contains edit errors (see [3.3 - Transaction Editing](#) on page 9) is rejected and returned as an Acknowledgment Rejected (DEP 10, 15, 20, or 25) record with error flags appended. The DEP transaction may also be rejected and returned if the CF2DEP transmission contains severe edit errors.
- **CF2DEP Acknowledgment Rejected Trailer Record (TLR).** If a Severe edit error is detected, the Rejected Trailer is the penultimate record in the acknowledgment file. The Rejected TLR record gives details of the errors detected in the input trailer record.
- **CF2DEP Acknowledgment Audit Record (ADT).** This record is the last record of the acknowledgment file, provided that no security errors are detected. The ADT record gives summary details for all accepted CF2DEP transmission records.



## 5.2 Acknowledgment Error Flags

Error flags are either embedded within or appended to Rejected Acknowledgment records. Each of these flags is set to represent the severity and/or type of error that may have been detected in a specific field of any of the CF2DEP transmission records. Acknowledgment files may contain the following codes:

- 0 valid data detected
- 1 format error detected
- 2-9 logical edit error detected



## 6 Acknowledgment Record Formats

### 6.1 CCF-II Acknowledgment Error Record (ERR)

The CCF-II system creates a CF2DEP Acknowledgment Error (ERR) record, shown below, whenever a security violation occurs; that is, if the Security (PSW) record contains incorrect information. In such cases, the ERR record is the only acknowledgment record.

| <b>CCF-II Acknowledgment Error Record (ERR)–Format</b> |               |               |                        |  |
|--|---------------|---------------|------------------------|--|
| <b>Position</b>  | <b>Length</b> | <b>Format</b> | <b>Field Name</b>      | <b>Description</b>   |
| 1  | 3             | Character     | Record Type            | ERR = the only record returned because of detection of a security violation.   |
| 4  | 8             | Character     | Signon ID              | Equals Signon ID value received in the PSW record transmission, regardless of validity.  |
| 12   | 8             | Character     | Filler                 | DTC use only; do not use.  |
| 20   | 6             | Numeric       | Process Date           | <i>mmddyy</i> date when the CF2DEP file was received and edited.   |
| 26   | 6             | Numeric       | Activity Type          | Activity type submitted in the PSW record.   |
| 32   | 3             | Numeric       | Transmission ID Number | Transmission ID specified in the PSW record  |
| 35   | 2             | Character     | Filler                 | DTC use only; do not use.  |
| 37   | 3             | Character     | Error Status           | Indicator of type of security violation detected by DTC's CCF-II system<br>150 card image sequence error detected; see <i>CCF/RJE System User Guide</i> , or contact DTC<br>222 invalid password detected; use correct password, or contact DTC to obtain correct password<br>333 ineligible sign-on detected; sign-on ID submitted is ineligible for CF2DEP function; contact DTC |
| 40   | 5             | Character     | Filler                 | DTC use only; do not use   |
| 45   | 6             | Numeric       | Arrival Time           | <i>hhmmss</i> time when this CF2DEP transmission arrived at DTC  |
| 51   | 6             | Numeric       | Edit Com-              | <i>hhmmss</i> time when DTC  |



**CCF-II Acknowledgment Error Record (ERR)–Format**

| <b>Position</b> | <b>Length</b> | <b>Format</b> | <b>Field Name</b> | <b>Description</b>                                   |
|-----------------|---------------|---------------|-------------------|--|
|                 |               |               | pletion Time      | completed editing this CF2DEP transmission           |
| 57              | 70            | Character     | Error Description | Free-form text description of the security violation |
| 127             | 174           | Character     | Filler            | DTC use only; do not use                             |





## 6.2 Acknowledgment Control Record (CTL)

| <b>Acknowledgment Control Record (CTL)–Format</b> |               |               |                                     |  |
|---|---------------|---------------|-------------------------------------|--|
| <b>Position</b>                                   | <b>Length</b> | <b>Format</b> | <b>Field Name</b>                   | <b>Description</b>   |
| 1   | 3             | Character     | Record Type                         | CTL = first record of CF2DEP acknowledgment file when no security violations have been detected. |
| 4   | 8             | Character     | Signon ID                           | Equals Signon ID value received in the HDR record transmission, regardless of validity.          |
| 12  | 2             | Character     | Individual User (Signon Department) | Equals Individual User received in the HDR record transmission, regardless of validity.          |
| 14  | 6             | Character     | Filler                              | DTC use only; do not use   |
| 20  | 6             | Numeric       | Process Date                        | <i>mmddyy</i> date when DTC processed the CF2DEP input transmission.                             |
| 26  | 6             | Character     | Activity Type                       | Equals Activity Type received in the HDR record transmission, regardless of validity.            |
| 32  | 3             | Numeric       | Transmission ID Number              | Equals TranID Number received in the HDR record transmission, regardless of validity.            |
| 35  | 1             | Character     | Transmission Option                 | Equals Transmission Option received in the HDR record transmission, regardless of validity.      |
| 36  | 1             | Character     | Processing Option                   | Equals Processing Option received in the HDR record transmission, regardless of validity.        |



| <b>Acknowledgment Control Record (CTL)–Format</b> |               |               |                                     |   |
|---|---------------|---------------|-------------------------------------|---|
| <b>Position</b>                                   | <b>Length</b> | <b>Format</b> | <b>Field Name</b>                   | <b>Description</b>  |
| 37  | 3             | Character     | Transmission Processing Status Code | Indicator of the status of the CF2DEP transmission, as processed by CCF-II system.<br>000 transmission fully accepted; no invalid DEP transactions.<br>010 transmission partially accepted; invalid DEP transactions to follow.<br>Status codes above 099 indicate that header, trailer, or cutoff time errors occurred; the entire transmission will be returned.<br>444 transmission rejected; no file received.<br>555 transmission rejected; received outside cutoff parameter.<br>600 transmission rejected; function was not CF2DEP.<br>666 transmission rejected; function CF2DEP unavailable.<br>777 transmission rejected; trailer totals do not match DTC's calculated totals.<br>800 transmission rejected; record sequence error, or invalid record type received, or trailer was not last record on input file.<br>877 transmission rejected; record sequence error or invalid record type received or trailer was not last record on file.<br>888 transmission rejected; trailer contains invalid data. |
| 37  | 3             | Character     | Transmission Processing Status Code | 999 transmission rejected; header contains invalid data.  |
| 40  | 7             | Numeric       | Returned Error Count                | 9(07) total number of erroneous detail records returned to the transmitter (excluding header and trailer records, if they exist).   |
| 47  | 6             | Numeric       | Arrival Time                        | <i>hhmmss</i> time when the transmission arrived at DTC.  |
| 53  | 6             | Numeric       | Edit Completion Time                | Time when DTC finished editing this transmission.   |
| 59  | 242           | Character     | Filler                              | DTC use only; do not use.   |



### 6.3 Acknowledgment Rejected Header Record (HDR)

Whenever a header edit error is detected, the remainder of the CF2DEP transmission file is rejected. In this case, the acknowledgment file contains only two records: the CTL record and the Rejected HDR record. A header edit error is distinguished by a non-zero value in one or more of the error flags in the Rejected HDR record.

Severe edit errors also cause the Rejected HDR record to appear in the acknowledgment file, but in such cases each of the error flags in the HDR record contains zeroes. A Rejected HDR record with all of its error flags set at zero means that a severe edit error has been detected and that each subsequent record of the CF2DEP input transmission file will, in turn, appear as a rejected record in the CF2DEP acknowledgment file.

The format of the Rejected Header record follows:

| Rejected Header Record (HDR)–Format   |        |           |                                    |   |
|---|--------|-----------|------------------------------------|---|
| Position  | Length | Format    | Field Name                         | Description   |
| 1   | 3      | Character | Record Type                        | HDR if CF2DEP input file arrived in correct sequence; otherwise = positions 1–3 of first record in CF2DEP transmission. |
| 4   | 33     | Character | Input Header Record Positions 4–36 | Information received in positions 4–36 of CF2DEP transmission HDR record (or of first record received).                 |
| Positions 37–46: Header Record Error Flags—a series of ten 1-byte fields indicating the type and severity of errors that may have occurred. |        |           |                                    |   |
| 37  | 1      | Numeric   | Flag #1: Record Type               | 0 first record was HDR.<br>1 first record was not HDR.  |
| 38  | 1      | Numeric   | Flag #2: Signon ID                 | 0 signon ID was accepted<br>1 signon ID was not accepted.   |
| 39  | 1      | Numeric   | Flag #3: Individual User           | 0 individual user (for signon) was accepted.<br>1 individual user (for signon) was not accepted.                        |



| <b>Rejected Header Record (HDR)–Format</b> |               |               |                                    |  |
|--|---------------|---------------|------------------------------------|--|
| <b>Position</b>                            | <b>Length</b> | <b>Format</b> | <b>Field Name</b>                  | <b>Description</b>   |
| 40   | 1             | Numeric       | Flag #4:<br>Process Date           | 0 process date was accepted.<br>1 process date was invalid.<br>2 process date was not the same as transmission date.                 |
| 41   | 1             | Numeric       | Flag #5:<br>Activity Type          | 0 activity type was CF2DEP.<br>1 activity type was not CF2DEP.   |
| 42   | 1             | Numeric       | Flag #6:<br>Transmission ID Number | 0 transmission ID was accepted.<br>1 transmission ID was zero or non-numeric.<br>2 transmission ID was not unique today.             |
| 43   | 1             | Numeric       | Flag #7:<br>Transmission Option    | 0 transmission option was A.<br>1 transmission option was not A.   |
| 44   | 1             | Numeric       | Flag #8:<br>Processing Option      | 0 processing option was T or P.<br>1 processing option was not T or P.   |
| 45   | 1             | Numeric       | Flag #9                            | Unused; set to 0.  |
| 46   | 1             | Numeric       | Flag #10                           | Unused; set to 0.  |
| 47   | 204           | Character     | Filler                             | Contains the information received in positions 47-250 of the CF2DEP Transmission's file "HDR" record (or the first record received). |
| 251  | 50            | Character     | Filler                             | DTC use only; do not use.  |



## 6.4 Rejected DEP Data Record

Whenever an edit error is detected in a DEP Data (DEP 10, 15, 20 or 25) record, it is returned in the acknowledgment file, with one or more of its 50 appended error flags set to indicate the type of error encountered. The formats of the 300-character Rejected DEP 10, 15, 20 and 25 Data records are shown below.

### 6.4.1 Rejected DEP 10 Data Record

| Rejected DEP 10 Data Record Format   |        |           |  |   |
|--|--------|-----------|--|---|
| Position   | Length | Format    | Field Name   | Description   |
| 1  | 250    | Character | Rejected Input DEP 10 Record                                 | Contents of the rejected DEP 10 record.   |
| Positions 251–300: a series of fifty 1-byte fields that indicate the type and severity of errors that may have occurred. |        |           |  |   |
| 251  | 1      | Numeric   | Flag #1:<br>Record Set Error                                 | 0 record set is valid.<br>1 this record rejected because of subsequent edit error(s) or severe transmission error.  |
| 252  | 1      | Numeric   | Flag #2:<br>Record Type                                      | 0 record type is valid.<br>1 record type is not valid.  |
| 253  | 1      | Numeric   | Flag #3:<br>Participant/<br>Depository<br>Facility<br>Number | 0 Participant/depository facility number is valid.<br>1 Participant/depository facility number is not valid.<br>2 Participant/depository facility not equal to signon.  |
| 254  | 1      | Numeric   | Flag #4:<br>CUSIP<br>Number                                  | 0 CUSIP number is valid.<br>1 CUSIP number is not valid.<br>2 CUSIP is ineligible for fractional shares.  |
| 255  | 1      | Numeric   | Flag #5:<br>Share<br>Quantity                                | 0 share quantity is valid.<br>1 share quantity is non-numeric.<br>2 share quantity is not greater than zero.<br>3 share quantity is not equal to the sum of all certificate denominations on records type 15. |



| <b>Rejected DEP 10 Data Record Format</b> |               |               |   |  |
|---|---------------|---------------|---|--|
| <b>Position</b>                           | <b>Length</b> | <b>Format</b> | <b>Field Name</b>                           | <b>Description</b>   |
| 256                                       | 1             | Numeric       | Flag #6:<br>Fractional<br>Share<br>Quantity | 0 fractional share quantity is valid.<br>1 fractional share quantity is non-numeric.   |
| 257                                       | 1             | Numeric       | Flag #7:<br>Deposit<br>Type                 | 0 deposit type is valid.<br>1 deposit type is invalid.<br>2 deposit type is equal to facility type and Participant number = zero.  |
| 258                                       | 1             | Numeric       | Flag #8:<br>Number of<br>Certificates       | 0 number of certificates is valid.<br>1 number of certificates is non-numeric<br>2 number of certificates does not equal the number of following type 15 records<br>3 number of certificates exceeds the limit of 20 records per Deposit.                                      |
| 259                                       | 1             | Numeric       | Flag #9:<br>Participant<br>Number           | 0 Participant number is valid.<br>1 Participant number is non-numeric.<br>2 Participant number = zero and deposit type indicates that it is not a facility deposit.<br>3 Participant number is greater than zero and deposit type indicates that it is not a facility deposit. |
| 260                                       | 1             | Numeric       | Flag #10:<br>ADR<br>Transfer<br>Number      | 0 ADR transfer number is valid.<br>1 ADR transfer number is non-numeric.   |
| 261                                       | 1             | Numeric       | Flag #11:<br>Deposit<br>Activity Date       | 0 deposit activity date is valid.<br>1 deposit activity date is non-numeric.<br>2 deposit activity date = spaces.<br>3 deposit activity date does not equal today's date or future date.<br>4 deposit activity date is not a DTC business date.                                |
| 262                                       | 1             | Numeric       | Flag #12:<br>Branch<br>Number               | 0 branch number is valid.<br>1 branch number is non-numeric.   |



| <b>Rejected DEP 10 Data Record Format</b> |               |               |   |   |
|---|---------------|---------------|---|---|
| <b>Position</b>                           | <b>Length</b> | <b>Format</b> | <b>Field Name</b>                         | <b>Description</b>  |
| 263                                       | 1             | Numeric       | Flag #13:<br>Record<br>Sequence<br>Number | 0 record number is valid.<br>1 record number is non-numeric.  |
| 264                                       | 1             | Numeric       | Flag #14<br>Cutoff Time                   | 0 before cutoff time.<br>1 past cutoff time.  |
| 265                                       | 1             | Numeric       | Flag #15                                  | Flag #15 is not used for record type 10 and is set to zero.   |
| 266                                       | 1             | Numeric       | Flag #16                                  | Flag #16 is not used for record type 10 and is set to zero.   |
| 267                                       | 1             | Numeric       | Flag #17:<br>Deposit<br>Group Error       | 0 type 10 and all type 15 records valid.<br>1 error in type 10 record or type 15 record.<br><b>Note:</b> If any errors are found in either type 10 or any of the type 15 records, the entire group is rejected. |
| 268                                       | 1             | Numeric       | Flag #18<br>Reference<br>Number           | 0 Reference number specified.<br>1 Mandatory Reference Number not specified.  |
| 269                                       | 32            | Numeric       | Flags #19–<br>50                          | Flags #19–50 are unused and are set to zero.  |

**6.4.2 Rejected DEP 15 Data Record**

| <b>Rejected DEP 15 Data Record Format</b>  |               |               |                                    |   |
|--|---------------|---------------|------------------------------------|---|
| <b>Position</b>  | <b>Length</b> | <b>Format</b> | <b>Field Name</b>                  | <b>Description</b>                      |
| 1  | 250           | Character     | Rejected<br>Input DEP 15<br>Record | Contents of the rejected DEP 15 record. |
| Positions 251–300: a series of fifty 1-byte fields that indicate the type and severity of errors that may have occurred. |               |               |                                    |   |



| <b>Rejected DEP 15 Data Record Format</b> |               |               |   |   |
|---|---------------|---------------|---|---|
| <b>Position</b>                           | <b>Length</b> | <b>Format</b> | <b>Field Name</b>   | <b>Description</b>  |
| 251                                       | 1             | Numeric       | Flag #1:<br>Record Set<br>Error                             | 0 record set is valid.<br>1 this record rejected because of subsequent edit error(s) or severe transmission error.<br>2 sequence error; this record received after CF2DEP trailer record; and <i>will not be edited further</i> .<br>3 sequence error; this record does not follow the required DEP group sequence. |
| 252                                       | 1             | Numeric       | Flag #2:<br>Record Type                                     | 0 record type is valid.<br>1 record type is not valid.  |
| 253                                       | 1             | Numeric       | Flag#3:<br>Participant/<br>Depository<br>Facility<br>Number | 0 Participant/depository facility number is valid.<br>1 Participant/depository facility number is not valid.<br>2 Participant/depository facility not equal to signon.<br>3 Participant/depository facility number does not match record type 10 Participant/depository.  |
| 254                                       | 1             | Numeric       | Flag #4:<br>CUSIP<br>Number                                 | 0 CUSIP number is valid.<br>1 CUSIP number is not valid.<br>2 CUSIP number does not match record type 10 CUSIP.   |
| 255                                       | 1             | Numeric       | Flag #5:<br>Certificate<br>Prefix                           | 0 certificate prefix is valid.<br>1 certificate prefix is not valid.  |
| 256                                       | 1             | Numeric       | Flag #6:<br>Certificate<br>Number                           | 0 certificate number is valid.<br>1 certificate number is not valid.  |
| 257                                       | 1             | Numeric       | Flag #7:  | Flag #7 is unused and is set to zero.   |
| 258                                       | 1             | Numeric       | Flag #8:<br>Certificate<br>Denomination                     | 0 certificate denomination is valid.<br>1 certificate denomination is non-numeric.  |
| 259                                       | 1             | Numeric       | Flag #9:<br>Fractional<br>Certificate<br>Denomination       | For future use; this flag set to zero.<br>0 fractional certificate denomination is valid<br>1 fractional certificate denomination is non-numeric.   |





| Rejected DEP 15 Data Record Format |        |         |  |  |
|------------------------------------|--------|---------|--|--|
| Position                           | Length | Format  | Field Name                             | Description  |
| 260                                | 1      | Numeric | Flag #10:<br>Deposit Group<br>Error    | 0 type 10 and all type 15 records valid.<br>1 error in type 10 record or type 15 record.<br><b>Note:</b> If any errors are found in either type 10 record or any of the type 15 records, the entire group is rejected. |
| 261                                | 1      | Numeric | Flag #11:<br>Number of<br>Certificates | 0 number of certificates is within the limit of 20.<br>1 number of certificates exceeds the limit of 20 records per REORG type 25 grouping.  |
| 262                                | 2      | Numeric | Flags #12-<br>#13                      | Flags #12-#13 are unused and are set to zeroes.  |
| 264                                | 1      | Numeric | Flag #14:<br>Cutoff Time               | 0 before cutoff time.<br>1 past cutoff time.   |
| 265                                | 36     | Numeric | Flags #15-<br>#50                      | Flags #15-#50 are not used and are set to zeroes.  |

### 6.4.3 Rejected DEP 20 Data Record

| Rejected DEP 20 Data Record Format   |        |           |                                    |  |
|--|--------|-----------|------------------------------------|--|
| Position   | Length | Format    | Field Name                         | Description  |
| 1  | 250    | Character | Rejected<br>Input DEP<br>20 Record | Contents of the rejected DEP 20 record.  |
| Positions 251-300: a series of fifty 1-byte fields that indicate the type and severity of errors that may have occurred. |        |           |                                    |  |
| 251  | 1      | Numeric   | Flag #1:<br>Record Set<br>Error    | 0 record set is valid.<br>1 this record rejected. because of subsequent edit error(s) or severe transmission error.<br>2 sequence error; this record received after CF2DEP trailer record; and <i>will not be edited further</i> .<br>3 sequence error; this record does not follow the required REORG group sequence. |
| 252  | 1      | Numeric   | Flag #2:<br>Record Type            | 0 record type is valid.<br>1 record type is not valid.   |



| <b>Rejected DEP 20 Data Record Format</b> |               |               |  |   |
|---|---------------|---------------|--|---|
| <b>Position</b>                           | <b>Length</b> | <b>Format</b> | <b>Field Name</b>  | <b>Description</b>  |
| 253                                       | 1             | Numeric       | Flag #3:<br>Participant/<br>Depository<br>Facility<br>Number | 0 Participant/depository facility number is valid.<br>1 Participant/depository facility number is not valid.<br>2 Participant/depository facility not equal to signon.  |
| 254                                       | 1             | Numeric       | Flag #4:<br>CUSIP<br>Number                                  | 0 CUSIP number is valid.<br>1 CUSIP number is not valid.  |
| 255                                       | 1             | Numeric       | Flag #5:<br>Share<br>Quantity                                | 0 share quantity is valid.<br>1 share quantity is non-numeric.<br>2 share quantity is not greater than zero.<br>3 share quantity is not equal to the sum of all certificate denominations on record type 25.  |
| 256                                       | 1             | Numeric       | Flag #6:<br>Fractional<br>Share<br>Quantity                  | For future use; this flag set to zero.<br>0 fractional share quantity is valid.<br>1 fractional share quantity is non-numeric.  |
| 257                                       | 1             | Numeric       | Flag #7:<br>Deposit<br>Type                                  | 0 deposit type is valid.<br>1 deposit type is invalid.<br>2 deposit type is equal to facility type and Participant number = zero.   |
| 258                                       | 1             | Numeric       | Flag #8:<br>Number of<br>Certificates                        | 0 number of certificates is valid.<br>1 number of certificates is non-numeric or = zero.<br>2 number of certificates does not equal the sum of all type 25 records.<br>3 number of certificates exceeds the limit of 20 records per REORG type 25 grouping. |
| 259                                       | 1             | Numeric       | Flag #9:<br>Participant<br>Number                            | For future use; this flag set to zero.<br>0 Participant number is valid<br>1 Participant number is non-numeric.<br>2 Participant number = zero and deposit type indicates a facility deposit.   |
| 260                                       | 1             | Numeric       | Flag #10:<br>ADR<br>Transfer<br>Number                       | 0 ADR transfer number is valid.<br>1 ADR transfer number is non-numeric.  |



| Rejected DEP 20 Data Record Format |        |         |   |   |
|------------------------------------|--------|---------|---|---|
| Position                           | Length | Format  | Field Name                              | Description   |
| 261                                | 1      | Numeric | Flag #11:<br>Deposit<br>Activity Date   | 0 deposit activity date is valid.<br>1 deposit activity date is non-numeric.<br>2 deposit activity date = spaces.<br>3 deposit activity date does not equal today's date or future date.<br>4 deposit activity date is not a DTC business date. |
| 262                                | 1      | Numeric | Flag #12:<br>Branch<br>Number           | 0 branch number is valid<br>1 branch number is non-numeric.   |
| 263                                | 1      | Numeric | Flag #13                                | Not used for DEP 20 records.  |
| 264                                | 1      | Numeric | Flag #14:<br>Cutoff Time                | 0 before cutoff time.<br>1 past cutoff time.  |
| 265                                | 1      | Numeric | Flag #15:<br>RIPS<br>Redemption<br>Date | 0 redemption date is valid.<br>1 redemption date is non-numeric.<br>2 redemption date is invalid or not specified for deposit types 26, 27 and 28.  |
| 266                                | 1      | Numeric | Flag #16:<br>Next<br>Coupon<br>Number   | 0 next coupon number is valid.<br>1 next coupon number is non-numeric.<br>2 next coupon number is invalid for deposit types 25 and 28.  |
| 267                                | 1      | Numeric | Flag #17:<br>REORG<br>Group Error       | 0 type 20 and all type 25 records valid.<br>1 error in type 20 record or type 25 record.<br><b>Note:</b> If any errors are found in either type 20 or any of the type 25 records, the entire group is rejected.                                 |
| 268                                | 1      | Numeric | Flag #18<br>Reference<br>Number         | 0 Reference number specified.<br>1 Mandatory Reference Number not specified.  |
| 269                                | 32     | Numeric | Flags #19-<br>#50                       | Flags #18-#50 are unused and are set to zeroes.   |



**6.4.4 Rejected DEP 25 Data Record**

| <b>Rejected DEP 25 Data Record Format</b>  |               |               |   |   |
|--|---------------|---------------|---|---|
| <b>Position</b>  | <b>Length</b> | <b>Format</b> | <b>Field Name</b>   | <b>Description</b>  |
| 1  | 250           | Character     | Rejected Input DEP 25 Record                                | Contents of the rejected DEP 25 record.   |
| Positions 251–300: a series of fifty 1-byte fields that indicate the type and severity of errors that may have occurred. |               |               |   |   |
| 251  | 1             | Numeric       | Flag #1:<br>Record Set Error                                | 0 record set is valid.<br>1 this record rejected because of subsequent edit error(s) or severe transmission error.<br>2 sequence error; this record received after CF2DEP trailer record; and <i>will not be edited further</i> .<br>3 sequence error; this record does not follow the required REORG group sequence. |
| 252  | 1             | Numeric       | Flag #2:<br>Record Type                                     | 0 record type is valid.<br>1 record type is not valid.  |
| 253  | 1             | Numeric       | Flag#3:<br>Participant/D<br>epository<br>Facility<br>Number | 0 Participant/depository facility number is valid.<br>1 Participant/depository facility number is not valid.<br>2 Participant/depository facility not equal to signon.<br>3 Participant/depository facility number does not match record type 20 CUSIP.   |
| 254  | 1             | Numeric       | Flag #4:<br>CUSIP<br>Number                                 | 0 CUSIP number is valid.<br>1 CUSIP number is not valid.<br>2 CUSIP number does not match record type 20 CUSIP.   |
| 255  | 1             | Numeric       | Flag #5:<br>Certificate<br>Prefix                           | 0 certificate prefix is valid.<br>1 certificate prefix is not valid.  |
| 256  | 1             | Numeric       | Flag #6:<br>Certificate<br>Number                           | 0 certificate number is valid.<br>1 certificate number is not valid.  |



| Rejected DEP 25 Data Record Format |        |         |   |  |
|------------------------------------|--------|---------|---|--|
| Position                           | Length | Format  | Field Name  | Description  |
| 257                                | 1      | Numeric | Flag #7:<br>Called<br>Quantity                            | 0 called quantity is valid.<br>1 called quantity is non-numeric.<br>2 called quantity is invalid for types 26, 27, and 28.   |
| 258                                | 1      | Numeric | Flag #8:<br>Certificate<br>Denominatio<br>n               | 0 certificate denomination is valid.<br>1 certificate denomination is non-numeric.   |
| 259                                | 1      | Numeric | Flag #9:<br>Fractional<br>Certificate<br>Denominatio<br>n | For future use; this flag set to zero.<br>0 fractional certificate denomination is valid<br>1 fractional certificate denomination is non-numeric.  |
| 260                                | 1      | Numeric | Flag #10:<br>REORG<br>Group Error                         | 0 type 20 and all type 25 records valid.<br>1 error in type 20 record or type 25 record.<br><b>Note:</b> If any errors are found in either type 20 record or any of the type 25 records, the entire group is rejected. |
| 261                                | 1      | Numeric | Flag #11:<br>Number of<br>Certificates                    | 0 number of certificates is within the limit of 20.<br>1 number of certificates exceeds the limit of 20 records per REORG type 25 grouping.  |
| 262                                | 2      | Numeric | Flags #12-<br>#13   | Flags #12-#13 are unused and are set to zeroes.  |
| 264                                | 1      | Numeric | Flag #14:<br>Cutoff Time                                  | 0 before cutoff time.<br>1 past cutoff time.   |
| 265                                | 36     | Numeric | Flags #15-<br>#50   | Flags #15-#50 are not used and are set to zeroes.  |



### 6.5 Acknowledgment Rejected Trailer Record (TLR)

A Severe edit error causes the Rejected Trailer Record (TLR) to be returned in the acknowledgment file.

- If each of the error flags in the Rejected Trailer Record contains zero, the CF2DEP transmission was rejected because of a Non-Trailer Severe error.
- If any of the error flags in the Rejected Trailer Record is not zero, then the input Trailer record was the source of the Severe Edit error.

There are two formats for the 300-character Rejected Trailer Record, depending on whether or not the record contains fractional shares. These formats are illustrated below.

#### 6.5.1 Rejected Trailer Record–No Fractional Shares

| Rejected Trailer Record–No Fractional Shares   |        |           |                                     |   |
|--|--------|-----------|-------------------------------------|---|
| Position   | Length | Format    | Field Name                          | Description   |
| 1  | 3      | Character | Record Type                         | TLR if CF2DEP input TLR file was the last record in the CF2DEP transmission; otherwise = positions 1–3 of last record in CF2DEP transmission. |
| 4  | 43     | Character | Input Trailer Record Positions 4–46 | Contents of positions 4–46 of the CF2DEP transmission trailer record, or of last record in the transmission.                                  |
| Positions 47–56: a series of ten 1-byte fields indicating the type and severity of any error that may have occurred. |        |           |                                     |   |
| 47   | 1      | Numeric   | Flag #1: Record Type                | 0 last record type was TLR.<br>1 last record type was not TLR.  |
| 48   | 1      | Numeric   | Flag #2: Signon ID                  | 0 signon ID was accepted.<br>1 signon ID did not match HDR record signon ID.  |
| 49   | 1      | Numeric   | Flag #3: Activity Type              | 0 activity type was CF2DEP<br>1 activity type was not CF2DEP  |
| 50   | 1      | Numeric   | Flag #4: Transmission ID Number     | 0 transmission ID was accepted<br>1 transmission ID did not match HDR record transmission ID  |



| <b>Rejected Trailer Record–No Fractional Shares</b> |               |               |                               |   |
|---|---------------|---------------|-------------------------------|---|
| <b>Position</b>                                     | <b>Length</b> | <b>Format</b> | <b>Field Name</b>             | <b>Description</b>  |
| 51  | 1             | Numeric       | Flag #5: Total Record Count   | 0 total record count agrees with DTC's calculated total<br>1 total record count is non-numeric<br>2 total record count does not agree with DTC's calculated total       |
| 52  | 1             | Numeric       | Flag #6: Total Share Quantity | 0 total share quantity agrees with DTC's calculated total<br>1 total share quantity is non-numeric<br>2 total share quantity does not agree with DTC's calculated total |
| 53  | 1             | Numeric       | Flags #7–#10                  | Flags #7–#10 are unused and are set to zero   |
| 57  | 194           | Character     | Filler                        | DTC use only; do not use  |
| 251   | 50            | Character     | Filler                        | DTC use only; do not use  |



**6.5.2 Rejected Trailer Record with Fractional Shares**

| <b>Rejected Trailer Record with Fractional Shares</b>  |               |               |  |   |
|--|---------------|---------------|--|---|
| <b>Position</b>  | <b>Length</b> | <b>Format</b> | <b>Field Name</b>                        | <b>Description</b>  |
| 1  | 3             | Character     | Record Type                              | TLR if CF2DEP input TLR file was the last record in the CF2DEP transmission; otherwise = positions 1–3 of last record in CF2DEP transmission.   |
| 4  | 58            | Character     | Input Trailer Record Positions 4–46      | Contents of positions 4–61 of the CF2DEP transmission trailer record, or of last record in the transmission.  |
| Positions 62–71: a series of ten 1-byte fields indicating the type and severity of any error that may have occurred. |               |               |  |   |
| 62   | 1             | Numeric       | Flag #1: Record Type                     | 0 last record type was TLR<br>1 last record type was not TLR.   |
| 63   | 1             | Numeric       | Flag #2: Signon ID                       | 0 signon ID was accepted<br>1 signon ID did not match HDR record signon ID.   |
| 64   | 1             | Numeric       | Flag #3: Activity Type                   | 0 activity type was CF2DEP<br>1 activity type was not CF2DEP.   |
| 65   | 1             | Numeric       | Flag #4: Transmission ID Number          | 0 transmission ID was accepted.<br>1 transmission ID did not match HDR record transmission ID.  |
| 66   | 1             | Numeric       | Flag #5: Total Record Count              | 0 total record count agrees with DTC's calculated total.<br>1 total record count is non-numeric.<br>2 total record count does not agree with DTC's calculated total.  |
| 67   | 1             | Numeric       | Flag #6: Total Share Quantity            | 0 total share quantity agrees with DTC's calculated total<br>1 total share quantity is non-numeric.<br>2 total share quantity does not agree with DTC's calculated total.   |
| 68   | 1             | Numeric       | Flag #7: Total Fractional Share Quantity | 0 total fractional share quantity agrees with DTC's calculated total.<br>1 total fractional share quantity non-numeric (when fractional shares indicator =F).<br>2 total fractional share quantity does not agree |





| <b>Rejected Trailer Record with Fractional Shares</b> |               |               |                   |   |
|---|---------------|---------------|-------------------|---|
| <b>Position</b>                                       | <b>Length</b> | <b>Format</b> | <b>Field Name</b> | <b>Description</b>  |
|   |               |               |                   | with DTC's calculated total.<br><b>Note:</b> This flag set to zero if not used. |
| 69  | 3             | Numeric       | Flags #7-#10      | Flags #7-#10 are unused and are set to zero.                                    |
| 72  | 179           | Character     | Filler            | DTC use only; do not use.   |

### 6.6 Acknowledgment Audit Record (ADT)

The Audit (ADT) record is the last record of the CF2DEP acknowledgment file, except when the incoming transmission experiences "security"-edit errors. If no security errors have been detected, the Control (CTL) and Audit (ADT) Records in the acknowledgment file bracket any acknowledgment rejected records that may be returned.

The audit (ADT) record has a format similar to that of the CF2DEP input Trailer Record. However, its identifying fields are derived from the input transmission Header Record (if any) and its totals are derived from Accepted DEP records only.

When transmitted, the 500-byte ADT record described below is the final CF2DEP acknowledgment record:

| <b>Acknowledgment Audit Record (ADT) Format</b> |               |               |                             |  |
|---|---------------|---------------|-----------------------------|--|
| <b>Position</b>                                 | <b>Length</b> | <b>Format</b> | <b>Field Name</b>           | <b>Description</b>   |
| 1   | 3             | Character     | Record Type                 | ADT = audit record   |
| 4   | 8             | Character     | Signon ID                   | Transmitter identifier, from CF2DEP input transmission HDR record.                                     |
| 12  | 6             | Character     | Activity Type               | CF2DEP   |
| 18  | 3             | Numeric       | Transmission ID Number      | 3-digit identifier, from CF2DEP input transmission HDR record.   |
| 21  | 7             | Numeric       | Total Accepted Record Count | Total number of data records in this CF2DEP transmission that were accepted, as calculated by DTC.     |
| 28  | 14            | Numeric       | Total Share Quantity        | Total share quantity from all accepted data records in this CF2DEP transmission, as calculated by DTC. |



**Acknowledgment Audit Record (ADT) Format**

| <b>Position</b> | <b>Length</b> | <b>Format</b> | <b>Field Name</b>               | <b>Description</b>   |
|-----------------|---------------|---------------|---------------------------------|--|
| 42              | 15            | Numeric       | Total Fractional Share Quantity | If fractional share indicator in a trailer record = F:<br>9(10)V9(3) combined total of fractional shares from all accepted data records in this CF2DEP transmission, as calculated by DTC.<br>If fractional share indicator in a trailer record = blank:<br>Spaces = no fractional shares. |
| 57              | 244           | Character     | Filler                          | DTC use only; do not use.  |



## 7 Recovery Procedures

Restart capability is available for CCF-II users. If it is necessary to restart, follow the procedures provided in the *CCF-II System User's Guide*, in the section "Recovery/Restart Procedures."

### 7.1 Backup for CCF-II

If, for any reason, it is impossible to enter a transmission as scheduled via CCF-II, Participants must notify DTC Participant Interface Planning immediately.

Participants that cannot enter a transmission via CCF-II because of modem or telephone-line equipment failure at the Participant site have the option of creating a magnetic tape in the format of the specific CCF-II transmission involved—in this case Deposit Input Instructions, CF2DEP—and sending it to DTC via messenger. The tape must have the following characteristics:

- Non-labeled
- 1600/6250 bpi
- RECFM = FB
- LRECL = 80 (RJE), 250 (NDM), or 250 (RJE/SNA)
- BLKSIZE = Efficient block size for (RJE), (RJE/SNA) or (NDM)

DTC will input the transaction from the tape and then return it to the User.

Participants who, in an emergency, are not able to deliver a magnetic tape to DTC via messenger before the appropriate Cutoff Time for Deposit processing (see [2.2 - CF2DEP Transmission Cutoff Schedule](#) on page 3), are responsible for making other arrangements for backup in case of modem or telephone equipment failures.

Participants must realize that when using CCF to submit transactions to DTC, they are bound by computer and data communications equipment availability at their site. DTC can not afford to delay its entire processing cycle in order to accommodate equipment failures at any participant site. *It is strongly suggested that all Deposit Users maintain redundant CCF equipment (computers, communication controllers, modems, telephone lines, etc.).*



**IN NO EVENT will DTC accept ANY responsibility for a Participant's inability to submit Deposit transactions.**



## 8 Appendix A. Deposit Types

Valid deposit types are listed below. Please note further deposit types may be added in the future. For an update of deposit types, contact DTC Participant Interface Planning at (212) 898-1467.

| <b>Deposit Types</b> |                                    |
|----------------------|------------------------------------|
| <b>Deposit Code</b>  | <b>Deposit Type</b>                |
| 001                  | Regular                            |
| 002                  | Legal                              |
| 003                  | Facility                           |
| 004                  | CNS                                |
| 005                  | Full Service                       |
| 008                  | Facility Legal                     |
| 009                  | CNS Legal                          |
| 011                  | ADR Regular                        |
| 012                  | ADR Legal                          |
| 013                  | ADR Facility                       |
| 014                  | ADR CNS                            |
| 015                  | ADR Full Service                   |
| 016                  | ADR Facility Legal                 |
| 017                  | ADR CNS Legal                      |
| 018                  | CNS Full Service                   |
| 019                  | Facility Full Service              |
| 020                  | ADR CNS Full Service               |
| 021                  | ADR Facility Full Service          |
| 022                  | CNS Facility                       |
| 023                  | REORG Corporate Maturity/Full Call |



| <b>Deposit Types</b> |  |
|----------------------|--|
| <b>Deposit Code</b>  | <b>Deposit Type</b>                      |
| 024                  | REORG Muni Registered Maturity/Full Call |
| 025                  | REORG Muni Bearer Maturity/Full Call     |
| 026                  | REORG Corporate Partial Call             |
| 027                  | REORG Registered Partial Call            |
| 028                  | REORG Muni Bearer Partial Call           |
| 029                  | Mandatory REORG                          |