



## CF2/MQ Transmission Guides

### **07.08 BRANCH DEPOSIT SYSTEM (BDS) / BDSERR Interface**

**Branch Deposit - Output Processing**

**BDS/Custody – Messaging**

**BDS/Custody – Non-messaging**

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## 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.

Most eligible securities are routed to DTC’s normal deposit process. Ineligible securities or customer-name custody positions for eligible securities are routed as directed by the Participant branch.

During the day, any exceptional reporting to the Participant branch is processed via this function. Error and informational messages are placed in each Participant’s assigned mailbox, which can be accessed as often as needed. Messages are kept in the mailbox for up to three days. Participants are consequently responsible for keeping track of messages received.

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.

This document describes the messages DTC responds back with to the participant.

## 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 separate file formats DTC sends back to the participant - for both MESSAGING and NON-MESSAGING participants

## 1.2 Transmitting Transactions from DTC

This document describes DTC's BDSERR function, used to electronically populate participant mailboxes with BDS transaction information, including deposit acknowledgement and discrepancy information. 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](mailto:PIPRequests@DTC.com).

**The transmission time is from 06:30-19:00 (Eastern Time). \***

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

## 2. BDS/Custody Transmission (Output) - MESSAGING

The BDSERR Function consists of seven different types of records for BDS/Custody messaging. These records are sent to the participant in response to the BDS1/5 input function received by DTC from the participant. **The MDS Prefix Segment and Transaction Header Segment are always attached to each record (prefix).** The Data records contain the specific transaction data types as noted in the below section. The MDS record is used for transmission purposes and is for DTC use only – it is not present once transmitted.

Allows for:

- BDS/CUS non-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. **Message Transaction Header Record Layout (Type 70)** identifies the main record and is included with all messages sent.
2. **Message Certificate Record Layout (Type 71)** identifies the detailed certificate information that is attached to the main record, if applicable.
3. **Message Document Record Layout (Type 72)** identifies the detailed document information that is attached to the main record, if applicable.
4. **Custody Transaction Record Layout (Type 74)** identifies the custody transaction record main fields.
5. **Custody Certificate Record Layout (Type 75)** identifies the custody detailed certificate information that is attached to a transaction, if applicable.
6. **Custody Document Record Layout (Type 76)** identifies the custody detailed document information that is attached to a transaction, if applicable.
7. **Custody Transfer Record Layout (Type 78)** identifies the custody detailed transfer information for the transfer transaction, if applicable.

## 2.2 MDS Prefix Segment (For DTC use Only; must be attached to each record)

Position	Field Size	Field Name	Comments
1	X(1)	Filler	For future use
2	X(1)	Message Flag	'O' = Current day message 'R' = Current day reprint 'U' = Current day message requested out of sequence 'Y' = Prior day message
3	X(1)	Filler	For future use
4	X(10)	Destination ID	Identifies the message this queue message was retrieved from. It is composed of the 8-character User Signon and 2-character Destination
14	X(1)	Filler	For future use
15	9(6)	Message Number	Contains a unique message sequence number assigned by DTC's Message Delivery System



### 2.3 Transaction Header Segment (must be attached to each record)

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

## 2.4 Message Transaction Record Layout (BDS and Custody) – Type 70

Position	Field Size	Field Name	Comments
27	9(2)	Record Type	<b>Message Transaction Record</b> Value = ‘70’
29	X(8)	Part Number	Participant Number
37	X(16)	Transaction Number	Transaction key to be processed. Left justified, space filled.
53	X(2)	CUSIP Identifier	Value ‘00’
55	X(9)	CUSIP Number	9 digit CUSIP Number
64	X(1)	International Check Digit	Value ‘0’
65	X(8)	Date	Date of Original Route (CCYMMDD)
73	X(8)	Time	Time of Original Route
81	9(8)	Route Number	Number to Identify Original Route
89	9(4)	Msg Category	Main Message Category (refer to section 2.11 Message Numbers and Categories for BDS/Custody - MESSAGING)
93	9(4)	Msg Number	Detailed Number Denoting Status of Route (refer to Appendix II and III for Message Numbers)
97	X(120)	Msg Reason	Comments and Text
217	9(2)	Msg Seq Number	Error Message Sequence Number
219	X(8)	Aging Msg Date	Date Aging Message was Posted (CCYMMDD)
227	X(8)	Date To Agent	Date item was Resubmitted to Agent (CCYMMDD)
235	X(8)	Agent Confirm Date	Date item was received from Agent (CCYMMDD)
243	9(3)V 9(2)	TA Fee	TA Fee for Transfer
248	X(20)	Sender	Name and Telephone of sender
268	9(13)	Total Qty (whole)	Share Quantity (whole)
281	9(5)	Frac Qty	Share Quantity (fraction) Implied Decimal: i.e. ½ = 50000
286	9(2)	Filler	Value 00

Position	Field Size	Field Name	Comments
288	9(3)	Num Certs	Number of certificates
291	X(12)	Image Index	Index used to retrieve images
303	X(1)	Expedite Indicator	Values 'A' or space
304	X(8)	Ta Number	Restricted Issues
312	X(16)	Airbill Number	Airbill Number
328	X(16)	Winder Ticket Number	Window Ticket Number
344	9(13)	Deposit Total Qty (whole)	Total Share Quantity of Deposit (whole - physical)
357	9(5)	Deposit Frac Qty	Frac Share Quantity of Deposit (physical)
362	X(2)	CUSIP Identifier	Value '00'
364	X(9)	Deposit CUSIP	9 digit CUSIP number of Deposit (physical)
373	X(1)	International Check Digit	Value '0'
374	X(35)	Name	Name of person entering discrepancy
409	X(10)	Telephone	Telephone number of person entering discrepancy (BDS)
419	X(2)	Reorg Indicator	Type of Reorganization (BDS)
421	X(8)	Filler	For future use
429	X(1)	Eligibility Indicator	Custody eligibility only 'Y' = Yes 'N' = No
430	X(67)	Filler	For future use
497	X(1)	End Route Indicator	End of Route Indicator ' ' = Not end of route 'E' = End of route

**2.5 Message Certificate Record Layout (BDS and Custody) – Type 71**

Position	Field Size	Field Name	Comments
27	9(2)	Record Type	<b>Certificate Record Value = ‘71’</b>
29	X(8)	Part Number	Participant Number
37	X(16)	Transaction Number	Transaction key to be processed. Left justified, space filled.
53	X(12)	Certificate Number	Certificate Number
65	9(13)	Certificate Qty (whole)	Certificate Quantity (whole)
78	9(5)	Certificate Qty (frac)	Certificate Quantity (frac)
83	9(2)	FILLER	Value 00
85	X(8)	Issue Date	Date of Issue
93	X(210)	Registration	Certificate Registration: 6 lines of registration, 35 bytes per line
303	X(2)	CUSIP Identifier	Value ‘00’
305	X(9)	CUSIP Number	9 digit CUSIP Number
314	X(1)	International Check Digit	Value ‘0’
315	X(8)	Next Coupon Date	Coupon date on the certificate (CCYYMMDD)
323	X(12)	Participant Certificate Number	Certificate number on expectancy file
335	9(13)	Participant Qty (whole)	Certificate quantity on the expectancy file (whole)
348	9(5)	Participant Qty (frac)	Certificate quantity on the expectancy file (fraction) Implied decimal: i.e. 2=50000
353	X(20)	Participant Account Number	Participant Account Number
373	X(124)	Filler	For future use
497	X(1)	End Route Indicator	End of Route Indicator ‘ ’ = Not end of route ‘E’ = End of route

## 2.6 Message Document Record Layout (BDS Only) – Type 79

Position	Field Size	Field Name	Comments
27	9(2)	Record Type	<b>Document Record Value = '79'</b>
29	X(8)	Part Number	Participant Number
37	X(16)	Transaction Number	Transaction Key to be processed. Left justified, space filled.
53	X(16)	Primary Transaction Number	Original Transaction Key this secondary item is related to. Left justified, space filled. <b>Required for T-Docs and Splits</b>
69	X(20)	Cust Acct	Customer Account Number. Left justified, space filled.
89	X(2)	CUSIP Identifier	Value '00'
91	X(9)	CUSIP Number	9 digit CUSIP Number
100	X(1)	International Check Digit	Value '0'
101	9(3)	Document Seq Number	Sequence number to identify the document
104	9(3)	Document Type	Number to identify type of document
107	9(8)	Document Expiration Date	Expiration date for this document
115	X(2)	State Code	State Code, i.e. NY
117	X(380)	Filler	For future use.
497	X(1)	End Route Indicator	End of Route Indicator ' ' = Not end of route 'E' = End of route

## 2.7 Custody Transaction Record Layout (Custody Only) – Type 74

Position	Field Size	Field Name	Comments
27	9(2)	Record Type	<b>Header Record</b> Value = '74'
29	X(8)	Part Number	Participant Number
37	X(16)	Transaction Number	Transaction key to be processed. Left justified, space filled.
53	X(16)	Primary Transaction Number	Original Transaction Key. This secondary item is related to (Trailing Document).
69	X(20)	Customer Account	Customer account number. Left justified, space filled.
89	X(2)	CUSIP Identifier	Value '00'
91	X(9)	CUSIP Number	9 digit CUSIP Number
100	X(1)	International Check Digit	Value '0'
101	X(8)	Date	Date message was sent (CCYYMMDD).
109	X(8)	Time	Time message was sent
117	9(8)	Route Number	Route Number
125	X(210)	Account Stencil	Account name and address. 6 lines, 35 bytes per line.
335	9(3)	Num Certs	Number of certificates
338	9(3)	Num Docs	Number of documents
341	9(13)	Total Quantity	Number of shares (whole)
354	9( 5)	Frac Qty	Number of shares (fraction) Implied decimal (ie: ½ = 50000)
359	9(2)	FILLER	Value 00
361	X(1)	Change Status	Flag to indicate processing status 'D' = DTC Automatic Route Message
362	X(2)	FILLER	For future use
364	X(7)	Origination Box	Box Location this item should be routed from. Left justified, space filled
371	X(7)	Destination Box	Box Location this item should be routed to. Left justified, space filled.
378	9(2)	Number of Reorg Transfers	Number of Reorg Transfers
380	X(117)	Filler	For future use
497	X(1)	End Route Indicator	End of Route Indicator ' ' = Not end of route 'E' = End of route

## 2.8 Custody Certificate Record Layout (Custody Only) – Type 75

Position	Field Size	Field Name	Comments
27	9(2)	Record Type	<b>Certificate Record Value = ‘75’</b>
29	X(8)	Part Number	Participant Number
37	X(16)	Transaction Number	Transaction key to be processed. Left justified, space filled.
53	X(16)	Primary Transaction Number	Original Transaction Key this secondary item is related to. Left justified, space filled.
69	X(20)	Cust Acct	Customer Account Number. Left justified, space filled
89	X(2)	CUSIP Identifier	Value ‘00’
91	X(9)	CUSIP Number	9 digit CUSIP Number
100	X(1)	International Check Digit	Value ‘0’
101	X(12)	Certificate Number	Certificate Number Right justified, left zero filled
113	9(13)	Certificate Denom (whole)	Certificate Denomination (whole)
126	9(5)	Certificate Denom (frac)	Certificate Denomination (fraction) Implied decimal (ie: ½ = 50000)
131	9(2)	Filler	Value 00.
133	9(8)	Certificate Issue Date	Issue Date of the certificate (CCYYMMDD)
141	9(8)	Next Coupon Date	Date of Next Coupon (CCYYMMDD)
149	X(1)	Restricted Indicator	Restricted or Not Restricted: ‘1’ = Restricted
150	9(8)	Restricted Expiration Date	Date of Expiration for Restricted Certificate (CCYYMMDD)
158	X(1)	Registration Type	Customer/Firm/FBO ‘C’ = Customer ‘F’ = Firm ‘B’ = FBO ‘T’ = Third Party ‘X’ = Bearer
159	X(1)	Bearer/Reg Ind	Bearer or Registered: ‘B’ = Bearer ‘R’ = Registered
160	X(35)	Registration Line 1	Registration Line 1

Position	Field Size	Field Name	Comments
195	X(35)	Registration Line 2	Registration Line 2
230	X(35)	Registration Line 3	Registration Line 3
265	X(35)	Registration Line 4	Registration Line 4
300	X(35)	Registration Line 5	Registration Line 5
335	X(35)	Registration Line 6	Registration Line 6
370	X(40)	User Ref Number	Free form Comments
410	X(87)	FILLER	For future use
497	X(1)	End Route Indicator	End of Route Indicator: ' ' = Not end of route 'E' = End of route



## 2.9 Custody Document Record Layout (Custody Only) – Type 76

Position	Field Size	Field Name	Comments
27	9(2)	Record Type	<b>Document Record Value = ‘76’</b>
29	X(8)	Part Number	Participant Number
37	X(16)	Transaction Number	Transaction Key to be processed. Left justified, space filled.
53	X(16)	Primary Transaction Number	Original Transaction Key this secondary item is related to. Left justified, space filled. <b>Required for T-Docs and Splits</b>
69	X(20)	Cust Acct	Customer Account Number. Left justified, space filled.
89	X(2)	CUSIP Identifier	Value ‘00’
91	X(9)	CUSIP Number	9 digit CUSIP Number
100	X(1)	International Check Digit	Value ‘0’
101	9(3)	Document Seq Number	Sequence number to identify the document
104	9(3)	Document Type	Number to identify type of document
107	9(8)	Document Expiration Date	Expiration date for this document (CCYYMMDD)
115	X(1)	Document Status	Status of the document ‘A’ = Attached ‘M’ = Missing
116	X(1)	Document Requirement	Document Requirement ‘A’ = Add document ‘D’ = Update Trailing Document ‘N’ = Original Trailing Document
117	X(380)	Filler	For future use.
497	X(1)	End Route Indicator	End of Route Indicator ‘ ’ = Not end of route ‘E’ = End of route

## 2.10 Custody Transfer Record Layout (Custody Only) – Type 78

Position	Field Size	Field Name	Comments
27	9(2)	Record Type	<b>Transfer Record Value = ‘78’</b>
29	X(8)	Part Number	Participant Number
37	X(16)	Transaction Number	Transaction Key to be processed. Left justified, space filled.
53	X(16)	Primary Transaction Number	Original Transaction Key this secondary item is related to. Left justified, space filled. <b>Required for T-Docs and Splits</b>
69	X(20)	Cust Acct	Customer Account Number. Left justified, space filled.
89	X(2)	CUSIP Identifier	Value ‘00’
91	X(9)	CUSIP Number	9 digit CUSIP Number
100	X(1)	International Check Digit	Value ‘0’
101	9(3)	Transfer Seq Number	Sequence number for this registration
104	9(3)	Filler	For future use
107	9(13)	Transfer Quantity (whole)	Share quantity to be transferred (whole)
120	9(5)	Transfer Quantity (frac)	Share quantity to be transferred (fraction) Implied decimal (ie: ½ = 50000)
125	9(2)	Filler	Value 00.
127	X(1)	Filler	For future use.
128	X(35)	Transfer Registration 1	Name for this registration – Line 1
163	X(35)	Transfer Registration 2	Address for this registration – Line 2
198	X(35)	Transfer Registration 3	Address for this registration – Line 3
233	X(35)	Transfer Registration 4	Address for this registration – Line 4
268	X(35)	Transfer Registration 5	Address for this registration – Line 5
303	X(35)	Transfer Registration 6	Address for this registration – Line 6

Position	Field Size	Field Name	Comments
338	X(10)	Tax Id	Id number for registration
348	X(1)	Direct Reinvestment Indicator	UIT Reinvest Type
350	X(1)	Citizenship Indicator	Citizenship Indicator '0' = Yes '1' = No
351	X(3)	Dividend Code	Special processing only
354	X(1)	Beneficial Ind	Special processing only
355	9(11)V 9(2)	Cash Amount	Cash amount
368	X(129)	Filler	For future use
497	X(1)	End Route Indicator	End of Route Indicator ' ' = Not end of route 'E' = End of route

## 2.11 Message Numbers and Categories for BDS/Custody - MESSAGING

This portion describes the message number and categories that DTC will send to our participants during the course of a transaction.

### Message Category Types

List of categories:

- ‘0040’ – Good route acknowledgment
- ‘0045’ – Quantity change acknowledgment
- ‘0046’ – CUSIP change acknowledgment
- ‘0047’ – Quantity and CUSIP change acknowledgement
- ‘0050’ – up-front rejects errors
- ‘0057’ – Mailing notification
- ‘0058’ – Transfer rejects
- ‘0059’ – Reorg Sweep 2 route
- ‘0060’ – TA aging
- ‘0070’ – TA delays
- ‘0080’ – TA rejects
- ‘0090’ – Out-Transfer return
- ‘0091’ – Reorg Out-Transfer return
- ‘0095’ – Lost certificates
- ‘0100’ – Depository Rejects
- ‘0110’ – DTC document add
- ‘0111’ – Participant document add
- ‘0130’ – Deposit with transfer Rejects
- ‘0160’ - Route Cancel
- ‘0300’ - Operational errors

Msg. Category	Msg. Number	Description	Record Types Returned
0040	0000 *	Successful	70
0040	0001	Restricted – An item placed in PERD will receive credit in the 22-250 SEG location.	70
0040	0002	Restricted – When an item is given credit directly from PERD, the 22-250 SEG location is debited and the participant will receive credit in the 22-251 SEG location for sold shares and the 22-252 for unsold shares.	70
0040	9999	Successful (Transfer)	70,71

\*Reorg Branch Deposits to DTC Free are denoted by 'RD' in Reorg Indicator field position 419 record type '70'.

Msg. Category	Msg. Number	Description	Record Types Returned
0045	0000	Successful (Restricted, Reorg) Quantity Change	70

Msg. Category	Msg. Number	Description	Record Types Returned
0046	0000	Successful (Reorg) CUSIP Change	70

Msg. Category	Msg. Number	Description	Record Types Returned
0047	0000	Successful (Reorg) CUSIP & Quantity Change	70

Msg. Category	Msg. Number	Description	Record Types Returned
0050	0083	Chilled for Deposits – Possible Reorg Envelope missing	70
0050	0085	Not elig for reroute	70
0050	0086	Reorg Red Light – see RIPS comments	70
0050	0099*	Comments are in the Appendices.	70
0050	0901	Restricted – An item that is reversed from credit will debit the 22-251 and/or the 22-252 SEG location, placed in ‘PEND’ status and will generate a ‘0050/0901’ message	70
0050	0902	Restricted – An item that is reversed out of PERD will be debited from the 22-250 SEG location, placed in ‘PEND’ status and will generate a ‘0050/0902’ message.	70
0050	0903	Restricted – An item that is rejected directly out of PERD will be debited from the 22-250 SEG location, placed in ‘PEND’ status and will generate a ‘0050/0903’ reject message with a brief description and a ‘0040/0000’ acknowledgement message will be sent to the participant.	70
0050	0904	Restricted – If an item has been erroneously FRACed, it may be un-FRACed by the transfer agent within three business days. A ‘0050/0904’ message will be generated	70

Select CUS and RDS messages are put in the 0050/0099 category and message numbers. See Appendix II and III for descriptions of free form text. \*

Msg. Category	Msg. Number	Description	Record Types Returned
0057	0001	Item was mailed	70
0057	0002	Item Returned by Post Office	70



Msg. Category	Msg. Number	Description	Record Types Returned
0058	0001, *	Reorganization Rejects	70
0058	0000, 0099, *	Transfer Rejects	70
0058	0500	Date Of Trust Required	70
0058	0501	Incorrect/ Incomplete Stock Power	70
0058	0502	Release Power Of Attorney	70
0058	0503	Endorsement Incomplete	70
0058	0504	Endorsement Missing	70
0058	0505	Affidavit Of Domicile Of Stockholder At Time Of Death	70
0058	0506	Legal Opinion Of Company Counsel	70
0058	0507	Assignment By TTEE(s)/ Exec(s)/ Admin(s)/ Guard(s) Req Sign GTY	70
0058	0508	Legal-Corporate Resolution Req/Dated Within 6 Months	70
0058	0509	Legal-Certificate Of Appointment	70
0058	0510	Legal-Death Certificate Required	70
0058	0511	Legal-Certify Trustee	70
0058	0512	Citizenship Certification Required	70
0058	0513	Bearer-Missing/ Mutilated Coupons	70
0058	0514	Stop Transfer Of Certificate	70
0058	0515	State Legislative Status For Custodial Account	70
0058	0516	Birth/Death Certificate Authenticated by An Auth Officer	70
0058	0517	Type Of Tenancy Missing/ Not Acceptable	70
0058	0518	Certify Legal Given Name/Use of Initials	70
0058	0519	Trust Agreement Dated and Certified Within 90 Days of Receipt Required	70

Msg. Category	Msg. Number	Description	Record Types Returned
0058	0520	Certificate(s) Escheat To State	70
0058	0521	Certificate Reported Lost & Replaced	70
0058	0522	Certified Tax I/D Number Required	70
0058	0523	Copy Of PWR Of Atty Certified W/Sign GTFF Medallion Stamp	70
0058	0524	Fractional Share Issuance Not Accepted by TA	70
0058	0525	Court Certified Copy Of Court Order Aut. Sale or Distrib	70
0058	0526	Court Certifies DTD Within 60 Days Evid Appt Of Fiduciary	70
0058	0527	Declaration Of Transmission	70
0058	0528	Eligible In Bearer Form Only	70
0058	0529	Endorsement By Registered Holder(s)	70
0058	0530	Inheritance Tax Waiver	70
0058	0531	Legal-Date Of Trust Required	70
0058	0532	Minimum Denomination Required	70
0058	0533	Participant Request For Reject	70
0058	0534	Clarify Name Of Trust	70
0058	0535	Registration Incomplete/ Missing	70
0058	0536	Restricted Certificate(s)	70
0058	0537	Stock/Bond Power Misplaced/Replace and Re-Deposit	70
0058	0538	Bankrupt	70
0058	0539	No Shareholder Equity	70
0058	0540	New Stock (Entitlement)	70
0058	0541	Certificate(s) Confiscated	70
0058	0599	Other	70

\*Message Number in this case represents reject code

*Note:* Refer to message text (free form) for reject detail

Msg. Category	Msg. Number	Description	Record Types Returned
0059	0001	DTC Initiated Routes For Reorganization Sweep. Sweep 2: Route to Reorg Agent.	70,74,75,76,78

Msg. Category	Msg. Number	Description	Record Types Returned
0060	0000	Free Form	70
0060	0099	Free Form	70

## Restricted

*Note:* Aging items can generate various messages with a '0060/xxxx', depending on the reason.

Msg. Category	Msg. Number	Description	Record Types Returned
0070	0000	Items re-submitted to TA	70
0070	0099	Free Form	70

Msg. Category	Msg. Number	Description	Record Types Returned
0080	0000	Free form	70
0080	0599	Other	70

### Restricted

*Note:* Transfer agent rejects are deposited back to a Custody vault location. A '0080/xxxx' message will be generated based on reason for reject.

Msg. Category	Msg. Number	Description	Record Types Returned
0090	0001	Item Successfully Completed Transfer (Custody)	70

Msg. Category	Msg. Number	Description	Record Types Returned
0091	0001	Reorg Deposit Successfully Completed Transfer	70
0091	0002	Conversion/Warrants Successfully Completed Transfer	70
0091	0003	Reorg Deposit Successfully Completed Transfer – Registration type change to CEDE	70
0091	0004	Reorg Deposit Successfully Completed Transfer – Registration type change to Firm Name	70
0091	0005	Reorg Deposit Successfully Completed Transfer – Registration type change to Customer Name	70

Msg. Category	Msg. Number	Description	Record Types Returned
0095	0001	Receipt of Replacement Certificate	70

Msg. Category	Msg. Number	Description	Record Types Returned
0100	*	*	70, 71, 74, 75, 76

\*All Depository Rejects Message Numbers will correspond to those in Message Category Type 0080

\* Limited use by specific client

Msg. Category	Msg. Number	Description	Record Types Returned
0110	0000	Added document	70, 71, 76

Msg. Category	Msg. Number	Description	Record Types Returned
0111	0000	Added document	70

\*Limited use by specific client

Msg. Category	Msg. Number	Description	Record Types Returned
0130	0000	Automatic routes to participant	70,74,75,76
0130	0500-0599	Free form	70, 74, 75

Msg. Category	Msg. Number	Description	Record Types Returned
0199	0000	These are automated routes initiated by DTC to Participants. Foreign securities returned as non-transferable	70, 74, 75

Msg. Category	Msg. Number	Description	Record Types Returned
0300	1001	Item Received. Not Expected	70. 71. 79
0300	1002	Item Not Received, But Expected	70. 71. 79
0300	1003	ZZZs CUSIP	70. 71. 79
0300	1004	New CUSIP Assigned	70. 71. 79
0300	1005	CUSIP Assigned Different From Participant	70. 71. 79
0300	1006	BDS Cancel	70. 71. 79
0300	2003	CUSIP Number Difference	70. 71. 79
0300	5001	Restricted Legend On Physical But Receive Not Flagged As Restricted	70. 71. 79
0300	5002	Regulation “S”	70. 71. 79
0300	5003	Registration Difference	70. 71. 79
0300	5007	Certificate Missing Future Due Coupons	70. 71. 79
0300	5008	Certificates With Past Due Coupons Attached	70. 71. 79
0300	5009	Certificate Mixed Issues	70. 71. 79
0300	5016	Certificate Cancelled	70. 71. 79
0300	5017	Certificate Restricted (Legend Stamp)	70. 71. 79
0300	5018	Certificate Mutilated	70. 71. 79
0300	5019	Coupon Mutilated	70. 71. 79
0300	5020	Unverified Possible SIC Hit	70. 71. 79
0300	5021	Mixed ADR Certificate (Multi TA)	70. 71. 79
0300	5022	Verified Not SIC Hit	70. 71. 79
0300	5023	Possible SIC Hit- FYI ONLY	70. 71. 79
0300	5024	Missing Next Payable Coupon	70. 71. 79
0300	5025	Certificate Over	70. 71. 79
0300	5029	Denom Difference	70. 71. 79
0300	5030	Certificate Over/Under	70. 71. 79
0300	5031	Certificate Number Difference	70. 71. 79
0300	5032	SCA Date Difference	70. 71. 79
0300	5034	Issue/Dated Date Difference	70. 71. 79
0300	5035	Certificate Stamped For	70. 71. 79



Msg. Category	Msg. Number	Description	Record Types Returned
		Liquidation	
0300	5036	Certificate Stopped	70, 71, 79
0300	5037	Certificate Lost And Replaced	70, 71, 79
0300	5038	Mixed Registration	70, 71, 79
0300	7001	Document Required But Missing	70, 79
0300	7003	Stock/Bond Power Under Assigned	70, 79
0300	7004	Medallion Signature Guarantee Missing From Nominee Bank (Stock Power)	70, 79
0300	7006	Photocopy Received, Original Required For- Birth/Death Certificate, Resolution, Inheritance Tax Waiver, Court Affidavit, Stock/Bond Power	70, 79
0300	7008	Resolution Does Not Authorize Sale Of Securities	70, 79
0300	7009	Resolution & Assignment Cannot Be Endorsed By Same Officer	70, 79
0300	7010	Document Incomplete	70, 79
0300	7012	Certificate Of Incumbency Required	70, 79
0300	7014	PWR Attorney Does Not Authorize Sale Of Securities	70, 79
0300	7016	Seal Or Notary Missing	70, 79
0300	7019	Copy Of Will Missing	70, 79
0300	7020	Temp/Supervised Admin Court Order Authorizing Sale Missing	70, 79
0300	7021	Blanket Inheritance Tax Waiver Unacceptable	70, 79
0300	7022	Inheritance Tax Waiver Does Not Match Security	70, 79
0300	7023	Incorrect Quantity On Inheritance Tax Waiver	70, 79
0300	7028	Trailing Document Received Not For Original Deposit	70, 79
0300	7029	Document Expected But Not	70, 79

Msg. Category	Msg. Number	Description	Record Types Returned
		Received	
0300	7030	Document Required From Different State	70, 79
0300	7033	Document Altered	70, 79
0300	7035	Acceptance Letter Required From Successor Custodian	70, 79
0300	7050	Stock/Bond Pwr Must Be Endorsed By Reg Holder	70, 79
0300	7051	Stock/Bond Pwr Must Be Endorsed By Trustee	70, 79
0300	7070	Document Received With Stock Not Indicated On Expectancy File	70, 79
0300	7071	Additional Document Received For An Item In Legal Hold But Not Expected	70, 79
0300	7072	Document Received, Not Required	70, 79
0300	7073	Document Expired	70, 79
0300	7074	Endorsement Incomplete Or Insufficient	70, 79
0300	7075	Expected. Not Received/Not Required	70, 79
0300	9999	Other	70, 79

## 2.12 Appendix I Message Error Categories

Message category 300 reflects errors in branch deposit. There are 4 categories of errors:

1. 1001 – 1999 – errors that pertain to an entire deposit
2. 2001 – 2999 – errors related to a CUSIP
3. 5001 – 5999 – errors related to a specific certificate within a deposit
4. 7001 – 7999 – errors related to documents

## 2.13 Appendix II CUS Up-Front Error Messages - MESSAGING

This portion describes the Custody (CUS) up-front error messages. These will all be "Message Category = 0050" and "Message Number = 0099".

- 'Account number cannot be spaces'
- 'Certificate count/quantity does not equal the unit of work on AIM database'
- 'Certificate count/quantity does not equal the unit-of-work on AI
- M database'
- 'Certificate count/quantity does not equal transaction quantity on AIM '
- 'Certificate denomination cannot be zero'
- 'Certificate issue date cannot be zero'
- 'Certificate not on aim database '
- 'Certificate number cannot be spaces'
- 'Certificates must not be provided when using an existing control id'
- 'Control id already exists '
- 'Control id is not eligible for re-route'
- 'Control id is not eligible for reroute '
- 'Control id is not eligible for return '
- 'Control id is not eligible for void '
- 'Control id not on AIM database'
- 'Control id was not previously routed for error/void/return'
- 'Control id was not previously routed for split'
- 'Correspondent must be provided'
- 'Cusip has a reorg red light - see rips comments'
- 'Cusip is chilled for deposits'
- 'Cusip is globally locked'
- 'Cusip is not eligible for fractional shares '
- 'Cusip is not eligible for fractional shares(certificate record)'
- 'Custody only issue'
- 'Denominations breakdown does not equal transfer quantity'
- 'Deposit with transfer not allowed for rush items'
- 'Destination box must be provided'
- 'Document record must be provided'
- 'DTC has item chilled for deposits, possible reorg envelope missing'
- 'Duplicate certificates on AIM database'
- 'Ineligible for transfer – reorg'
- 'Invalid bearer/registered indicator'
- 'Invalid cancel indicator'
- 'Invalid certificate issue date'
- 'Invalid certificate number '
- 'Invalid change status'

- 'Invalid control id'
- 'Invalid cusip'
- 'Invalid destination box '
- 'Invalid destination box for rush items'
- 'Invalid destination box on reroute/split'
- 'Invalid document attached indicator'
- 'Invalid document or indicator'
- 'Invalid document type'
- 'Invalid mail letter type'
- 'Invalid negotiable indicator' (header record)
- 'Invalid origination and destination boxes'
- 'Invalid origination box'
- 'Invalid origination box for rush items'
- 'Invalid origination/destination box for document update transaction'
- 'Invalid out transfer box'
- 'Invalid registration type'
- 'Invalid restricted indicator' (certificate record)
- 'Invalid special legal indicator'
- 'Invalid state code on mailing instruction '
- 'Invalid taxpayer id '
- 'Invalid transaction type'
- 'Invalid transfer type'
- 'Mailing city address cannot be spaces'
- 'Mailing extended zip code must be numeric'
- 'Mailing name & address cannot be spaces'
- 'Mailing name cannot be spaces'
- 'Mailing record must be provided '
- 'Mailing state cannot be spaces'
- 'Mailing street address cannot be spaces'
- 'Mailing zip code cannot be spaces'
- 'Mailing zip code must be numeric'
- 'No duplicate trf arfs are allowed'
- 'Non-transferable security'
- 'Not all certs called''
- 'Number of certificates does not equal certificate count'
- 'Number of documents does not equal document count'
- 'OFAC indicator invalid'
- 'Original control id must not be provided'
- 'Origination box does not match box on AIM database'
- 'Origination box does not match serial number on AIM database'

- 'Partial processing not allowed for single cert deposit'
- 'Quantity cannot be zero'
- 'Registration cannot be spaces'
- 'Reorg red light - see rips comments'
- 'Restricted indicator in conflict with expiration date'
- 'Route number cannot be zero'
- 'Sealed envelope deposits are not allowed'
- 'Taxpayer id must be provided'
- 'The current box on reroute does not match the original box'
- 'There is an active transaction for this control id'
- 'Total certificates quantity does not equal transaction quantity'
- 'Transaction received after cutoff time'
- 'Transaction received after cutoff time for rush items'
- 'Transfer control id must be provided'
- 'Transfer quantities do not equal route quantity'
- 'Transfer quantity cannot be zero'
- 'Transfer record must be provided'
- 'Transfer registration must be provided'

## 2.14 Appendix III (RDS Up-Front Error Messages)

This portion describes the RDS up-front error messages. These will all be “Message Category = 0050” and “Message Number = 0099” (free form text).

- 'Route passed the cutoff time'
- 'Invalid deposit restricted type' - valid values 'f', 'p', 'l', 'g', 'b', 'c'
- 'Invalid cusip for restricted deposit type other than "c"'
- 'Invalid cusip for restricted deposit type "c"'
- 'Invalid rush indicator'
- 'Quantity cannot be zero'
- 'Invalid quantity (fractional shares for non-fractional cusip)'
- 'Quantity exceeds rds limit' - 999999999.99999
- 'Transaction-id number must be provided'
- 'Invalid transaction-id number' - format 'ccyymmddxxxx9999'
- 'Invalid transaction-id'
- 'Route number cannot be zero'
- 'Invalid process date' - format ccy-mm-dd
- 'Invalid cusip' - not on the master table
- 'Cusip is not eligible for RDS'
- 'Cusip is globally locked - cannot process'
- 'Cusip is chilled'
- 'Contra cusip cannot be processed'
- 'Duplicate combination part/transaction-id'
- 'Invalid origination box' - box 10 is invalid, and all custody boxes are valid
- 'Origination box must be provided' - valid custody box
- 'Transaction-id already exists on AIM database' - for consolidated deposits the transaction-id is always new transaction-id
- 'Transaction-id not found on AIM database for uow deposit' – uow items should be on AIM
- 'Registration count must be provided'
- 'Certificates count exceeds rds limit' - 99 certs
- 'Customer account must be provided'
- 'Number of certificates does not equal certificate count' - cert\_cn field should be the number of 51 records type
- 'Total certificates quantity does not equal transaction quantity'
- 'Multiple documents for the letter of opinion'
- 'For rush deposit opinion letter must be provided'
- 'Number of documents does not equal document count'
- 'Certificate record not required for unit-of-work deposit' - for uow 50 record type, 52 record type, and 55 record type'

- 'Certificate record must be provided for partial/consolidated deposit'
- 'Certificates not found on AIM database in this seg location for this transaction'
- 'Total certificates quantity does not equal transaction quantity'
- 'Certificate number cannot be spaces'
- 'Certificate denomination cannot be zero'
- 'Invalid certificate denomination (fractional shares for non-fractional cusip)'
- 'Certificate issue date cannot be zero'
- 'Invalid certificate issue date'
- 'Registration cannot be spaces'
- 'Certificate not on AIM database'
- 'Duplicate certificates on AIM database'
- 'Invalid certificate registration type' - 'c' and 'f' are valid values
- 'Certificate denomination does not match denomination on AIM database'
- 'Certificates not found on AIM database for this uow transaction'
- 'Origination box does not match AIM seg location'
- 'Invalid document type'
- 'Document attached indicator must be provided'
- 'Invalid document attached indicator'
- 'Transfer record must be provided for restricted deposit "f", "l"'
- 'Transfer records must be provided for unsold part of restricted deposit "p"'
- 'Transfer record must be provided for sold part of restricted deposit "p"'
- 'Transfer records must be provided for restricted deposit "p"'
- 'Transfer records must be provided for restricted deposit "g", "b", "c"'
- 'Transfer quantities do not equal route quantity'
- 'Transfer transaction-id number must be provided'
- 'Invalid transfer transaction-id number' - position 9 through 11 on the 54 record type should be 'trc'-customer or 'trf' – firm
- 'Invalid transfer quantity (fractional shares for non-fractional cusip)'
- 'Taxpayer id must be provided'
- 'Invalid taxpayer id' - value 000000000 and 0000000000 are invalid
- 'Transfer registration must be provided'
- 'Transfer registration must be provided for restricted type "b"'
- 'Customer account not required for transfer going back to DTC'
- 'Customer account must be provided for transfer going back to Custody'
- 'Charity indicator not allowed for the restricted deposit "f", "p", "b", "l", "c"'
- 'Charity indicator must be provided'
- 'Invalid charity indicator' - 'y' and 'n' are valid values
- 'Invalid transfer transaction-id number for deposit type "f", "l"'
- 'Invalid transfer transaction-id number for deposit type "g", "c", "b"'
- 'Only one trf allowed for the sold part of deposit'
- 'Transfer box for the sold quantity must be provided'

- 'Invalid transfer box for the sold quantity' - only box 10 is valid for 'trf' portion
- 'Invalid transfer box for the unsold quantity' - only custody box is valid for 'trc' portion
- 'Invalid custody transfer box'
- 'Denominations breakdown not allowed for deposit type "f", "l"'
- 'Denominations breakdown count exceeds limit' - max 10
- 'Denominations breakdown does not equal transfer quantity'
- 'Invalid transfer denomination (fractional shares for non-fractional cusip)'



### 3. BDS/Custody Transmission (Output) – NON-MESSAGING

The BDSERR Function consists of three different types of records for BDS/Custody non-messaging. These records are sent to the participant in response to the BDS1/5 input function received by DTC from the participant. **The MDS Prefix Segment and Transaction Header Segment are always attached to each record (prefix).** The Data records contain the specific transaction data types as noted in the below section. The MDS record is used for transmission purposes and is for DTC use only – it is not present once transmitted.

Allows for:

- 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 intraday via the BDE1/5 error response function

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

The Branch Deposits Error Notification Record, defined in the following subsections, has a total record length of 477 bytes: the first 26 bytes is the ICM Transaction Header; the remaining 451 bytes are for application data.

### 3.2 MDS Prefix Segment (For DTC use Only; must be attached to each record)

Position	Field Size	Field Name	Comments
1	X(1)	Filler	For future use
2	X(1)	Message Flag	'O' = Current day message 'R' = Current day reprint 'U' = Current day message requested out of sequence 'Y' = Prior day message
3	X(1)	Filler	For future use
4	X(10)	Destination ID	Identifies the message this queue message was retrieved from. It is composed of the 8-character User Signon and 2-character Destination
14	X(1)	Filler	For future use
15	9(6)	Message Number	Contains a unique message sequence number assigned by DTC's Message Delivery System

### 3.3 Transaction Header Segment (must be attached to each record)

The Standard Transaction Header, shown below, is prefixed to every application record.

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

There are three record types for application data: Numeric Type Error Records (01), Alphanumeric Type Error Records (02), and Over/Under Type Error Records (03). These records are illustrated in the following subsections:

### 3.4 Numeric Type Error Record (BDS and Custody) – Type 01

Position	Field Size	Field Name	Comments
27	9(2)	Record Type	<b>Value = 01</b>
29	X(8)	Part Number	8-digit identifier of participant submitting the deposit
37	9(8)	Deposit Create Date	Date when the deposit was created (CCYYMMDD)
45	X(4)	Branch ID	4-digit identifier of the branch office submitting the deposit
49	9(4)	Branch Sequence Number	Branch-assigned unique deposit identifier
53	9(2)	Error Sequence ID	Sequence number of the transmitted deposit in error
55	9(4)	Error Category	Category of the transmitted deposit in error
59	9(4)	Error Code	Error code associated with the transmitted deposit in error
63	9(15)	DTC Numeric Value	Details of any numeric values (quantity, etc.) associated with the physical deposit
78	9(15)	Participant Numeric Value	Details of any numeric values associated with the participant’s expectancy file
93	X(40)	Participant Reference Number	Unique participant-assigned deposit identifier
133	X(20)	Image Index	Image identifier for retrieving images relating to this deposit
153	X(50)	DTC Internal Comments	Free-form text area for DTC comments relating to the error
203	X(50)	DTC External Comments	Free-form text area for DTC comments relating to the error
253	9(8)	Document Expiration Date	Date when the received document expires; applies only to certain legal documents (CCYYMMDD)
261	X(2)	Document State Code	2-letter state postal abbreviation of the document received; applies only to certain legal documents
263	X(215)	Filler	DTC use only; do not use

**3.5 Alphanumeric Type Error Record (BDS and Custody) – Type 02**

Position	Field Size	Field Name	Comments
27	9(2)	Record Type	<b>Value = 02</b>
29	X(8)	Part Number	8-digit identifier of participant submitting the deposit
37	9(8)	Deposit Create Date	Date when the deposit was created (CCYYMMDD)
45	X(4)	Branch ID	4-digit identifier of the branch office submitting the deposit
49	9(4)	Branch Sequence Number	Branch-assigned unique deposit identifier
53	9(2)	Error Sequence ID	Sequence number of the transmitted deposit in error
55	9(4)	Error Category	Category of the transmitted deposit in error
59	9(4)	Error Code	Error code associated with the transmitted deposit in error
63	X(35)	DTC Alphanumeric Value	Details of any alphanumeric values (CUSIP, etc.) associated with the physical deposit
98	X(35)	Participant Alphanumeric Value	Details of any alphanumeric values associated with the participant’s expectancy file
133	X(40)	Participant Reference Number	Unique participant-assigned deposit identifier
173	X(20)	Image Index	Image identifier for retrieving images relating to this deposit
193	X(50)	DTC Internal Comments	Free-form text area for DTC comments relating to the error
243	X(50)	DTC External Comments	Free-form text area for DTC comments relating to the error
293	X(185)	Filler	DTC use only; do not use

**3.6 Over/Under Type Error Record (BDS and Custody) – Type 03**

Position	Field Size	Field Name	Comments
27	9(2)	Record Type	<b>Value = 03</b>
29	X(8)	Part Number	8-digit identifier of participant submitting the deposit
37	9(8)	Deposit Create Date	Date when the deposit was created (CCYYMMDD)
45	X(4)	Branch ID	4-digit identifier of the branch office submitting the deposit
49	9(4)	Branch Sequence Number	Branch-assigned unique deposit identifier
53	9(2)	Error Sequence ID	Sequence number of the transmitted deposit in error
55	9(4)	Error Category	Category of the transmitted deposit in error
59	9(4)	Error Code	Error code associated with the transmitted deposit in error
63	X(9)	CUSIP Number	9-character issue identifier
72	9(10) V9(5)	Deposit Quantity	Total amount of shares for this deposit; 9(10)V9(5)
87	X(35)	Registration Line 1	First line of the customer registration
122	X(35)	Registration Line 2	Second line of the customer registration
157	X(35)	Registration Line 3	Third line of the customer registration
192	X(35)	Registration Line 4	Fourth line of the customer registration
227	X(35)	Registration Line 5	Fifth line of the customer registration
262	X(35)	Registration Line 6	Sixth line of the customer registration
297	X(40)	Participant Reference Number	Unique participant-assigned deposit identifier
337	X(20)	Customer Account Number	Participant-assigned customer account number
357	X(20)	Image Index	Image identifier for retrieving images relating to this deposit
377	X(50)	DTC Internal Comments	Free-form text area for DTC comments relating to the error
427	X(50)	DTC External Comments	Free-form text area for DTC comments relating to the error