9.15 Partial Redemption Information Records (RDCERT): Function User's Guide

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1.0   Overview

The DTC RDCERT function gives the user the ability to request the Partial Redemption Information records from DTC. This function is being offered over CCF and CCF-II. This is a combined user guide describing the RDCERT for CCF and CCF-II.

User who communicate with DTC via CCFUSER software should read the CCF User Guide before reading this document. Users who communicate with DTC via CCF-II (RJE, RJE/SNA or NDM) should read the appropriate CCF-II User Guide.

2.0   The RDCERT Function

The Partial Redemption Information records from DTC will detail information regarding Partial Redemptions, Partial Prefunding and Partially Defeased issues. This file will also contain called certificated data for each activity. This information is available in machine-readable format from CCF/CCF-II.

2.1   RDCERT Transmission Modes

RDCERT files are available via CCF and CCF-II. Users requisitioning RDCERT via CCF receive a file consisting of a CCF Header record followed by the RDCERT Detail records. Users requesting RDCERT via CCF-II receive a file comprised of CCF-II Header and Trailer records separated by the Detail records.

2.2   RDCERT Availability

The RDCERT function is normally available from approximately 11:30 p.m. through 7:30 p.m. the next day.

2.2.a Holiday Processing

1. All Closed - Banks, Exchange and DTC closed: (New Year's Day, Presidents' Day, Memorial Day, July 4th, Labor Day, Thanksgiving Day and Christmas Day) No Processing.
2. Banks Closed, Exchange and DTC Open (Columbus Day, Veterans Day) File Available.
3. Banks and DTC Open, Exchange Closed (Good Friday) File Available.
4. Exchange Open, Banks and DTC Closed (Martin Luther King Day) No Processing.

3.0   The CCF Header Record

The first record on the function file will be a header record when "HEADER=YES" is specified as a CCFDTFDB parameter. The header record contains information regarding the creation of the file.

Note: NDM users executing NDMDTF01 and RJE 3770 Users executing RJESDTF2 will receive the CCF Header record. These users will not receive the CCF-II Header and Trailer records described on the following page.

The CCF Header record's format is as follows:

Format of the CCF Header Record

Position	Length	Format	Field Name	Field Description
1	6	Character	Data Type Requested	Value "RDCERT" (In special instances when data must be reloaded, this name will correspond with the SPECx name).
7	6	Character	Data Type Created	Value "RDCERT".
13	8	Character	Creation Date	Date of data (MM/DD/YY).
21	8	Character	Spool Date	DTC data load date (MM/DD/YY).
29	8	Character	Load Time	DTC data load time (HH:MM:SS).
37	2	Binary	Record Size	Size of each data record.
39	4	Binary	Block Count	Number of data blocks input to CCFDTFDB.
43	4	Binary	Record Count	Number of data records.
47	???	Character	Filler	DTC use only. Do not use.

4.0 The CCF-II Header and Trailer Records

The format of each CCF-II Header and Trailer record is described below. Please note that the Header and Trailer records are identical except for the first and last field of each record.

CCF-II Header and Trailer Record (DTC Transmits to User)

Position	Length	Format	Field Name	Field Description
1	3	Character	Record ID	Value "HDR" or "TLR".
4	4	Character	Signon ID	Signon ID.
8	6	Character	Data Type Requested	Value "RDCERT" (In special instances when data must be reloaded, this name will correspond with the SPECx name)..
14	6	Character	Data Type Created	Value "RDCERT".
20	8	Character	Creation Date	Format MM/DD/YY.
28	8	Character	Spool Date	Data Load Date (MM/DD/YY).
36	8	Character	Load Time	Data Load Time (HH:MM:SS).
44	4	Numeric	Record Length	Record Length of data requested.
48	8	Numeric	Record Count	Number of data records in file.
56	4	Numeric	80-Byte Record Count	Number of 80-byte records per data type requested.
60	15	Character	Filler	DTC use only. Do not use.
75	6	Numeric	Sequence Number	Numbering Sequence. Used as a data integrity check. HDR ===> 000000 TLR ===> 999999

5.0 RDCERT Detail Record

The format of the RDCERT Detail record is described below.

RDCERT Detail Record (1 of 4)				
Position	**Length**	**Format**	**Field Name**	**Field Description**
Transaction Header				
1	1	Character	Feedback Indicator	* (asterisk) indicates an output message
2	1	Character	Test/ Production Indicator	"P" = Production "T" = Test
3	6	Character	Record Type	Value "RDCERT".
9	2	Character	Record Suffix	Value "01".
11	2	Numeric	Version Number	Value "01".
13	6	Character	User Reference Number	Constant spaces.
19	8	Character	Filler	DTC use only. Do not use.
27	8	Character	Participant Number	8-character Participant identifier.
35	3	Character	Activity Type	
38	2	Character	Country Code	Not currently used.
40	9	Character	CUSIP Number	
49	1	Character	International Check Digit	Not currently used.
50	48	Character	CUSIP Description	

5.0 RDCERT Detail Record *(Continued)*

RDCERT Detail Record (2 of 4)

Position	Length	Format	Field Name	Field Description
98	20	Character	Custody Customer Account Number	
118	8	Numeric	Create Date	Format MMDDYYYY.
126	8	Numeric	Publication Date	Format MMDDYYYY.

Certificate/Called Certificate Information

Position	Length	Format	Field Name	Field Description
134	12	Character	Certificate Number	
146	10	Numeric	Certificate Quantity	
156	10	Numeric	Certificate Called Quantity	
166	3	Numeric	Box Location	DTC Seg Acct.
169	8	Numeric	Redemption Date	Format MMDDYYYY.

Partial Pre-refunding/Non-Pre-refunding
(Following fields pertain to Activity 76P)

Position	Length	Format	Field Name	Field Description
177	2	Character	Pre-Ref Country Code	
179	9	Character	Pre-Ref CUSIP	
188	1	Character	Pre-Ref International Check Digit	

5.0 RDCERT Detail Record *(Continued)*

RDCERT Detail Record (3 of 4)

Position	Length	Format	Field Name	Field Description
189	1	Character	Pre-Ref Contra Indicator	Indicates whether the Pre-Ref CUSIP is an actual Pre-Ref CUSIP or a contra-CUSIP. "Y" = A contra-CUSIP was used. "N" = An actual Pre-Ref CUSIP was used.
190	48	Character	Pre-Ref Description	
238	8	Numeric	New Maturity Date	Format MMDDYYYY.
246	2	Character	Non-Pre-Ref Country Code	
248	9	Character	Non-Pre-Ref CUSIP	
257	1	Character	Non-Pre-Ref International Check Digit	
258	1	Character	Non-Pre-Ref Contra Indicator	Indicates whether the Non-Pre-Ref CUSIP is an actual Non-Pre-Ref CUSIP or a contra-CUSIP. "Y" = A contra-CUSIP was used. "N" = An actual Non-Pre-Ref CUSIP was used.

Partial Defeasance/Non Defeasance
(Following fields pertain to Activity 76D)

Position	Length	Format	Field Name	Field Description
259	2	Character	Def Country Code	
261	9	Character	Def CUSIP	
270	1	Character	Def International Check Digit	

5.0 RDCERT Detail Record *(Continued)*

RDCERT Detail Record (4 of 4)

Position	Length	Format	Field Name	Field Description
271	1	Character	Def Contra-Indicator	Indicates whether the Def CUSIP is an actual Def CUSIP or a contra-CUSIP. "Y" = A contra-CUSIP was used. "N" = An actual Def CUSIP was used.
272	2	Character	Non-Def Country Code	
274	9	Character	Non-Def CUSIP	
283	1	Character	Non-Def International Check Digit	
284	1	Character	Non-Def Contra-Indicator	Indicates whether the Non-Def CUSIP is an actual Non-Def CUSIP or a contra-CUSIP. "Y" = A contra-CUSIP was used. "N" = An actual Non-Def CUSIP was used.
285	1	Character	Record Type	
286	20	Character	Filler	DTC use only. Do not use.

6.0   CCF and CCF-II Tape Backup Procedure

If a user is not able to retrieve data via CCF/CCF-II because of modem, telephone line or equipment failure at their site, and the data is critical, the user should call DTC Customer Support Center to specify the data type desired and make arrangements to have a magnetic tape picked up via messenger.

When the magnetic tape is created by DTC, it will have the following format:

For CCF Users:
1. Non-Labeled
2. 1600/6250 BPI
3. RECFM = VB
4. LRECL = 1504
5. BLKSIZE = 1508

The tape will contain the data in exactly the same format as it would have been received at the user's computer site. **CCF users must use CCFDTFDB to deblock the tape.**

For CCF-II Users:
1. Non-Labeled
2. 1600/6250 BPI
3. RECFM = FB
4. LRECL = Refer to the specific User Guide.
5. BLKSIZE = Efficient block size.

The tape will contain the data in exactly the same format as it would have been received at the user's computer site.

If the user is unable to pick up a magnetic tape at DTC (as in the case of a regional Participant), their alternative at the present time is to wait until their equipment problems are resolved or to fall back to an alternative method of communication such as PTS. If the problem is resolved within the same day, and the function is available, the user can receive the function normally.

6.0   CCF and CCF-II Tape Backup Procedure *(Continued)*

If the problem is not quickly resolved, DTC, using a backup procedure for delivering non-current data, can make the user's data available anytime within the next five business days. This data will be spooled out to the database using a special data type name ("SPECx" where "x" is a one-character numeric) and must be requested by the user using this data type name.