



CCF/CCF-II/MDH Transmission Guides

16.02 Voluntary Offering Instructions/Agent's Tender Offers Recap Report (ATO): User's Guide



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Document History:

- **April 2003:**
 - ✓ Added additional reports and available times to Section 2.2
 - ✓ Added new field in byte 336 of the Voluntary Offering Instruction Record layout. Changed value of the Afiller@ field.
 - ✓ Adjusted record length for the Agent's Tender Offer Recap to 390 Bytes.
- **May 2003:**
 - ✓ Converted from WordPerfect to Word.



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1. Objectives of This Chapter

The objectives of this chapter are to:

- Give information about DTC's Voluntary Offering (ATO) function
- Show the required formats for ATO records

2. Overview of Voluntary Offering Functions

Tender Agents with DTF capability can use the ATO function in order to receive Voluntary Offering Instructions (ATODTC) or their Tender Offers Recap Report (ATORCP) via CCF or CCF-II in a machine-readable format.

The information received via the ATO function can be used to automate the updating of User files and verify transaction processing sent to DTC.

2.1 Available Transmission Modes

ATO files are available via CCF and CCF-II.

- Users requesting ATO via CCF receive a file consisting of a CCF Header Record followed by the requested ATO records.
- Users requesting ATO via CCF-II receive a file consisting of CCF-II Header and Trailer Records separated by the requested ATO records.

The formats for the CCF Header Record, CCF-II Header and Trailer Records, followed by the Voluntary Offering Instructions and Agent's Tender Offers Recap Report records are described in Section 3, ATO Record Templates, beginning on page 3.



2.2 Availability of DTF/ATO Functions

The ATO function is normally available beginning at 12:30 p.m. (Eastern Time) for twenty hours each day.

Voluntary Offering Instructions from Participants are available three times during the day; the Agent's Tender Offers Recap Report is available once a day.

Voluntary Offering Instructions:

ATODT1	12:00 p.m.
ATODT2	3:00 p.m.
ATODT3	5:00 p.m.
ATOPDTC	6:30 p.m.

Agent Tender Offers Recap Report

ATORC1	12:00 p.m.
ATORC2	3.00 p.m.
ATORC	5:00 p.m.
ATORCP	6:30 p.m.

2.3 Holiday Processing

The ATO functions will be available on all non-bank holidays.



3. ATO Record Templates

As mentioned in Section 2.1 Available Transmission Modes (page 1), transmission record structure depends on whether a Participant is using CCF or CCF-II.

- For CCF Users, the record structure consists of the CCF Header Record, followed by the Voluntary Offerings Instructions Record
- For CCF-II Users, the record structure consists of the CCF-II Header Record, followed by the Voluntary Offerings Instructions Record, followed by the CCF-II Trailer Record.

The formats of these records are detailed in the remainder of this section, Subsections 3.1 through 3.4 on pages 4 through 9.



3.1 CCF Header Record

The first record on the function file is a Header Record when HEADER=YES is specified as a CCFDTFDB parameter. The Header Record contains information regarding the creation of the file. The CCF Header Record format is shown below.

Note: NDM Users executing NDMDTF01, and RJE 3770 Users executing RJE SDTF2, receive the CCF Header Record described below:

CCF Header Record Format				
Position	Length	Format	Field Name	Field Description
1	6	Character	Data Type Requested	ATODTC or ATORCP.
7	6	Character	Data Type Created	ATODTC or ATORCP.
13	8	Character	Data Date	<i>mm/dd/yy.</i>
21	8	Character	DTC Data Load Date	<i>mm/dd/yy.</i>
29	8	Character	DTC Data Load Time	<i>hh:mm:ss.</i>
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.



3.2 CCF-II Header and Trailer Record

The format of each CCF-II Header and Trailer Record is as 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 Identifier	HDR or TLR.1
4	4	Character	Signon ID	Signon ID.
8	6	Character	Data Type Requested	ATODTC or ATORCP.
14	6	Character	Data Type Created	ATODTC or ATORCP.
20	8	Character	Data Creation Date	<i>mm/dd/yy.</i>
28	8	Character	Data Load Date	<i>mm/dd/yy.</i>
36	8	Character	Data Load Time	<i>hh:mm:ss.</i>
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	Numeric	Filler	DTC use only; do not use.
75	6	Numeric	Sequence	Numbering sequence, used as a data integrity check. HDR 000000 TLR 999999



3.3 Voluntary Offering Instructions Record

The format for a Voluntary Offering Instructions record type is shown below:

Voluntary Offering Instructions Record				
Position	Length	Format	Field Name	Field Description
1	1	Character	Message Type Indicator	Used to indicate an output message. Value is '*'.
2	1	Character	Test/Production Indicator	Value is 'P'.
3	6	Character	Record Type	Description of the application data. Value is ATODTC.
9	2	Numeric	Record Suffix	Used as a sequence for long message (beyond 1384 chars). Value is '01'.
11	2	Numeric	Version Number	DTF will maintain up to two versions of an application's data at any time. Value is '01'.
13	6	Character	User Reference Number	Unique identification of the transaction supplied by the user. Value is Spaces.
19	8	Character	Addressee ID	ID of the Participant or other entity for whom this transaction was created.
27	8	Numeric	Tender Agent Number	CCF ID of Agent to Receive Data (left zero filled).
35	8	Numeric	Transaction Date	<i>ccyymmdd.</i>
43	6	Numeric	Transaction Time	<i>hhmmss.</i>
49	1	Character	Transaction Type	V = Voluntary Offering Instruction. C = Cover of Protect. P = Protect W = Withdrawal
50	9	Character	Target CUSIP	9-character identifier of issue being tendered.
59	9	Character	Contra CUSIP	9-character identifier of DTC-assigned User CUSIP for this offer.



Voluntary Offering Instructions Record				
Position	Length	Format	Field Name	Field Description
68	14	Numeric	VOI Number	Identifies the transaction. <i>nnnnydddhhmmss</i> <i>nnnn</i> <i>yddd</i> <i>hhmmss</i> transaction time.
82	5	Numeric	Sequence Number	Relative transaction number for this offer.
87	8	Numeric	Participant Number	DTC Participant Number.
95	10	Character	Participant Name	DTC Participant Name.
105	11	Numeric	Share Quantity	Quantity of shares tendered.
116	9	Character	Rights CUSIP (1)	First associated rights CUSIP required to be surrendered along with the target issue.
125	11	Numeric	Rights Quantity (1)	Quantity of rights tendered or withdrawn for first rights CUSIP to be surrendered along with the target issue.
136	9	Character	Rights CUSIP (2)	Second associated rights CUSIP required to be surrendered along with the target issue.
145	11	Numeric	Rights Quantity (2)	Quantity of rights tendered or withdrawn for second rights CUSIP to be surrendered along with the target issue.
156	9	Character	Rights CUSIP (3)	Third associated rights CUSIP required to be surrendered along with the target issue.
165	11	Numeric	Rights Quantity (3)	Quantity of rights tendered or withdrawn for third rights CUSIP to be surrendered along with the target issue.
176	9	Character	Rights CUSIP (4)	Fourth associated rights CUSIP required to be surrendered along with the target issue.
185	11	Numeric	Rights Quantity (4)	Quantity of rights tendered or withdrawn for fourth rights CUSIP to be surrendered along with the target issue.



Voluntary Offering Instructions Record				
Position	Length	Format	Field Name	Field Description
196	8	Character	Conditions Accepted	(Optional fields) each one of eight positions indicates the response to a free format condition; default value is blank; other valid values are Y or N.
204	9	Numeric	Bid Price	9(4)V9(5) (optional).
213	1	Character	Odd Lot Indicator	Optional Blank (default) Y = the quantity represents odd lot holder(s).
214	11	Numeric	Conditional Quantity	Optional Minimum quantity the shareholder stipulates must be accepted Default = zero.
225	20	Character	Participant Contact	(Free-form entry) name of person to contact in case of a problem.
245	10	Character	Contact Phone Number	Aaannnnnnn–Area code (aaa) and phone number (nnnnnn) of Participant contact
255	80	Character	Participant Comments	(Optional free-form entry) comments supplied by the Participant.
335	1	Character	Acceptance Indicator	Indicates if the offer was accepted. Value 'A'.
336	5	Numeric	Ticket Sequence	Ticket Sequence number
341	50	Character	Filler	DTC Use Only. Do not use



3.4 Agent's Tender Offers Recap Report Record

The format for the Agent's Tender Offers Recap Report record type is as follows:

Agent's Tender Offers Recap Report Record				
Position	Length	Format	Field Name	Field Description
1	1	Character	Message Type Indicator	Used to indicate an output message. Value is '*'.
2	1	Character	Test/Production Indicator	Value is 'P'.
3	6	Character	Record Type	Description of the application data. Value is ATORCP.
9	2	Numeric	Record Suffix	Used as a sequence for long message (beyond 1384 chars). Value is '01'.
11	2	Numeric	Version Number	DTF will maintain up to two versions of an application's data at any time. Value is '01'.
13	6	Character	User Reference Number	Unique identification of the transaction supplied by the user. Value is spaces.
19	8	Character	Addressee ID	ID of the Participant or other entity for whom this transaction was created.
27	8	Numeric	Tender Agent Number	CCF ID of Agent to Receive Data (left zero filled).
35	8	Numeric	Transaction Date	<i>ccyymmdd.</i>
43	6	Numeric	Transaction Time	<i>hhmmss.</i>
49	9	Character	Target CUSIP	CUSIP being tendered.
58	9	Character	Contra CUSIP Number	DTC-assigned User CUSIP for this offer.
67	5	Numeric	Prior VOI Count	Prior date VOI count total.
72	11	Numeric	Prior VOI Quantity	Prior date VOI share quantity total.
83	5	Numeric	Prior VOI Odd Lot Count	Prior date odd lot VOI count total.



Agent's Tender Offers Recap Report Record				
Position	Length	Format	Field Name	Field Description
88	11	Numeric	Prior VOI Odd Lot Quantity	Prior date odd lot VOI share quantity total.
99	5	Numeric	Prior VOI Conditional Count Total	Prior date conditional VOI count total.
104	11	Numeric	Prior VOI Conditional Qty	Prior date conditional VOI share quantity total.
115	5	Numeric	Prior Cover of Protect	Prior date cover of protects VOI count total.
120	11	Numeric	Prior Cover of Protect Qty	Prior date cover of protects share quantity total.
131	5	Numeric	Prior Cover of Protect Odd Lot Count	Prior date cover of protects odd lot VOI count total.
136	11	Numeric	Prior Cover of Protect Odd Lot Quantity	Prior date cover of protects odd lot share quantity total.
147	5	Numeric	Prior Cover of Protect Conditional Count	Prior date cover of protects conditional VOI count total.
152	11	Numeric	Prior Cover of Protect Conditional Quantity	Prior date cover of protects conditional share quantity total.
163	5	Numeric	Current Voluntary Offerings Count	Today's VOI count total.
168	11	Numeric	Current Voluntary Offerings Qty	Today's VOI share quantity total.
179	5	Numeric	Current Voluntary Offerings Odd Lot Count	Today's odd lot VOI count total.
184	11	Numeric	Current Voluntary Offerings Odd Lot Qty	Today's odd lot share quantity total.
195	5	Numeric	Current Voluntary Offerings Conditional Count	Today's conditional VOI count total.
200	11	Numeric	Current Voluntary Offerings Conditional Qty	Today's conditional share quantity total.



Agent's Tender Offers Recap Report Record				
Position	Length	Format	Field Name	Field Description
211	5	Numeric	Current Cover of Protect Count	Today's cover of protect VOI count total.
216	11	Numeric	Current Cover of Protect Quantity	Today's cover of protect share quantity total.
227	5	Numeric	Current Cover of Protect Odd Lot Count	Today's cover of protect odd lot VOI count total.
232	11	Numeric	Current Cover of Protect Odd Lot Quantity	Today's cover of protect odd lot share quantity total.
243	5	Numeric	Current Cover of Protect Conditional Count	Today's cover of protect conditional VOI count total.
248	11	Numeric	Current Cover of Protect Conditional Qty	Today's cover of protect conditional share quantity total.
259	5	Numeric	Current Voluntary Offerings Withdrawal Count	Today's VOI withdrawal count total.
264	11	Numeric	Current Voluntary Offerings Withdrawal Qty	Today's withdrawal share quantity total.
275	5	Numeric	Current Voluntary Offerings Odd Lot Withdrawal Count	Today's VOI odd lot withdrawal count total.
280	11	Numeric	Current Voluntary Offerings Odd Lot Withdrawal Qty	Today's odd lot withdrawal share quantity total.
291	5	Numeric	Current Voluntary Offerings Conditional Withdrawal Count	Today's VOI conditional withdrawal count total.
296	11	Numeric	Current Voluntary Offerings Conditional Withdrawal Qty	Today's conditional withdrawal share quantity total.
307	5	Numeric	Current Cover of Protect Withdrawal Count	Today's cover of protect withdrawal count total.



Agent's Tender Offers Recap Report Record				
Position	Length	Format	Field Name	Field Description
312	11	Numeric	Current Cover of Protect Withdrawal Qty	Today's cover of protect withdrawal share quantity total.
323	5	Numeric	Current Cover of Protect Odd Lot Withdrawal Count	Today's cover of protect odd lot withdrawal count total.
328	11	Numeric	Current Cover of Protect Odd Lot Withdrawal Qty	Today's cover of protect odd lot withdrawal share quantity total.
339	5	Numeric	Current Cover of Protect Conditional Withdrawal Count	Today's cover of protect conditional withdrawal count total.
344	11	Numeric	Current Cover of Protect Conditional Withdrawal Qty	Today's cover of protect conditional withdrawal share quantity total.
355	36	Character	Filler	DTC use only; do not use.