



CF2/MQ Transmission Guides

8.11 Dividend Record Date Position Statement (DIVRDP): Function User's Guide

Copyright

Copyright © 2014 by The Depository Trust & Clearing Corporation (“DTCC”). All rights reserved. This work is proprietary and is intended for the exclusive use of DTCC’s Participants and other users of DTCC’s services. No part of this work may be reproduced or distributed (including by transmission) in any form or by any means, or stored in any information storage and retrieval system, without DTCC’s prior written permission.

All requests for additional copies of this work or inquiries about this work should be directed to DTCC Participant Interface Planning.

Document History

- 02/01/01 Added the following Activity Codes to section 2.0, Detail Record position 21; 03, 04, 05, 31, 32, 33, 34, 36, 38, 39, 40.
- 06/01/01 Added "R" for Reorganization to Sort Key, position 35.
- Added the following record types to section 2.0, Detail Record position 38
- 33 = Adj. To Prev Announced Stock Loans For Foreign Record Date
 - 35 = Adjustment to Prev. Announced Repos for Foreign Record Date
- Position
- Added the following Reorganization Activity Codes to section 2.0, Detail Record position 52;
- 50, 51, 52, 53, 54, 56, 58, 60, 61, 62, 63, 64, 65, 66, 67, 68, 69, 70, 71, 72, 73, 74, 75, 76, 77, 78, 79, 92, CP, CR, GL
- Added the FOSP Indicator (Foreign Ordinary Share Processing) to all record types as the last field and reduced filler.
- 04/01/10 Added Activity Type 24-Tax Credit Entitlement to section 2.0, Detail Record Position 52.
- 09/01/12 Added Process Event Code.
- 11/18/14 The following changes were made to bring the existing document up to current standards.
- Revised CCF Header Record description.
- Removed references to CCRDTFDB and added NDMDTFGP and NDMDTFSP.
- Revised CF2 Header and Trailer Records
- Changed CCF-II references to read CF2.
 - Identified existing CF2 HDR and TRL Record Format as NDM specific.
 - Corrected "TLR" in Field Description (position 1) to read "TRL".
 - Added (0001) to Field Description (position 56).
 - Expanded Filler (position 60) from 15 to ???

Removed Sequence Number field (position 75).

Added FTP specific CF2 Header and Trailer Record Format.

Contents

Copyright	ii
Document History	iii
1. Overview	5
1.1 The DIVRDP Function	5
1.2 DIVRDP Transmission Modes	5
1.3 DIVRDP Availability	5
1.4 Holiday Processing	5
2. Header and Trailer Records	7
2.1 The CCF Header Record	7
2.2 The CF2 Header and Trailer Records.....	8
2.2.1 NDM – CF2 Header and Trailer Records	8
2.2.2 FTP - CF2 Header and Trailer Records.....	9
3. DIVRDP Detail Record	10
3.1 Announcement Revision Record Type 20	19
3.2 Announcement Revision Record Type 30	22
3.3 Stock Loan Record Date Notices Type 32	25
3.4 Adjustments to Previously Announced Stock Loan Record Date Notices Type 33.....	29
3.5 Repo Record Date Notices Type 34.....	32
3.6 Adjustments to Previously Announced Repo Record Date Notices Type 35.....	36
3.7 Fail Tracking Adjustments to Previous Announced Positions Type 36	38
3.8 Stock Distribution Today Type 40	41
3.9 Stock Distribution Yesterday Type 50	42

1. Overview

The DTC DIVRDP function gives the User/Participant the ability to request Dividend Record Date Position Statement records from DTC.

This function is being offered via CF2 (FTP or NDM).

Users looking to retrieve this file should read the appropriate CF2 System User Guide.

1.1 The DIVRDP Function

The DIVRDP function enables Participants to receive their closing positions in record date securities. The function also contains all interim activity for previously announced record date securities, and any adjustments to these securities. There are separate categories for Stock Loan, Repo and Fail positions for each payment type. For cash payments, shares and dollar amount due are reported.

1.2 DIVRDP Transmission Modes

Users requesting DIVRDP via CF2 receive a file comprised of CF2 Header and Trailer records separated by the detail records. (NDM users may also receive the file with a CCF Header record followed by the DIVRDP detail records.)

The formats for the CCF Header record, CF2 Header and Trailer records, and the DIVRDP records are described in the following sections.

1.3 DIVRDP Availability

The DIVRDP function is normally available from approximately 04:00 through 16:30 daily.

1.4 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)

The DIVRDP function will not be available.

2. Banks Closed, Exchange Open and DTC Open (Columbus Day, Veterans Day)

The DIVRDP function will be available.

3. Banks Open, DTC Open, Exchange Closed (Good Friday)

The DIVRDP function will be available.

4. Exchange Open, Banks and DTC Closed (Martin Luther King Day)

The DIVRDP function will not be available.

2. Header and Trailer Records

2.1 The CCF Header Record

NDM users executing NDMDTF01, NDMDTFGP, or NDMDTFSP will receive the following CCF Header record.

The CCF header record's format is as follows:

CCF Header Record Format				
Position	Length	Format	Field Name	Field Description
1	6	Character	Data Type Requested	Value "DIVRDP". (In special instances where data must be reloaded this name will correspond with the SPECx name).
7	6	Character	Data Type Created	Value "DIVRDP"
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.

2.2 The CF2 Header and Trailer Records

The CF2 Header and Trailer records come in two different formats; NDM and FTP.

NOTE that the Header and Trailer records are identical except for the first and last field of each record.

2.2.1 NDM – CF2 Header and Trailer Records

NDM users executing NDMDTF02 or NDMDTFGH will receive the following:

CF2 Header and Trailer Record Format - NDM				
Position	Length	Format	Field Name	Field Description
1	3	Character	Record ID	"HDR" or "TRL"
4	4	Character	Signon ID	Signon ID
8	6	Character	Data Type Requested	Value "DIVRDP". (In special instances where data must be reloaded this name will correspond with the SPECx name).
14	6	Character	Data Type Created	Value "DIVRDP"
20	8	Character	Creation Date	Data Creation Date (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. (0001)
60	???	Character	Filler	DTC use only. Do not use.

2.2.2 FTP - CF2 Header and Trailer Records

FTP users will get the following:

CF2 Header and Trailer Record Format - FTP				
Position	Length	Format	Field Name	Field Description
1	3	Character	Record ID	"HDR" or "TRL"
4	8	Character	Sign-on ID	Sign-on ID
12	6	Character	Data Type Requested	Value "DIVRDP". (In special instances where data must be reloaded this name will correspond with the SPECx name).
18	6	Character	Data Type Created	Value "DIVRDP"
24	8	Character	Creation Date	Data Creation Date (MM/DD/YY)
32	8	Character	Spool Date	Data Load Date (MM/DD/YY)
40	8	Character	Load Time	Data Load Time (HH:MM:SS)
48	4	Numeric	Record Length	Record Length of data requested
52	8	Numeric	Record Count	Number of data records in file.
60	4	Numeric	80-Byte Record Count	Number of 80-byte records per data type requested. (0001)
64	???	Character	Filler	DTC use only. Do not use.

3. DIVRDP Detail Record

The format of the DIVRDP Detail Record is described below. The first 73 bytes of this record are appended to the front of all DIVRDP records (Positions 1-26 are known as the Transaction Header, positions 27-73 are known as the Sort Key.)

Position	Length	Format	Field Name	Field Description
Transaction Header				
1	1	Character	Feedback Indicator	A constant "*" indicates an output message in the new format.
2	1	Character	Production/ Test Indicator	A constant "P" indicates a production message
3	6	Character	Record Type	A constant "DIVRDP" indicates the name of this function.
9	2	Numeric	Version Number	A constant "01".
11	2	Numeric	Suffix Number	A constant "01".
13	6	Character	User Reference Number	Constant spaces.
19	8	Character	Addressee ID	Identifies the receiver of the transmission (in this case - a Participant id.)
Start of Sort Key				
27	8	Character	Participant Number	Participant number
35	1	Character	Record Type	A constant "D" - Dividends; "R" Reorganization
36	2	Numeric	Transaction Category	05 = Cash Dividend 10 = U.I.T. 15 = Pass Throughs 20 = Corporate Bonds 25 = Municipal Bonds 30 = Stock Distribution 35 = Optional Dividend

Position	Length	Format	Field Name	Field Description
				38 = Foreign Record Date Notices 40 = Dividend Re-investment 41 = Tax Exempt Dividend Service (TEDS) 42 = DRS/TEDS 43 = Special Distribution 45 = Reorganization 46 = Recapitalization Record Date Notices 47 = Liquidation Record Date Notices 48 = Sales of Assets Record Date Notices 49 = Redemptions Record Date Notices
38	2	Numeric	Record Type	10 = Record Date Notices 20 = Announcement Revisions 30 = Adjustments to Previous Announced Positions 32 = Stock Loan Record Date Notices 33 = Adj. To Prev Announced Stock Loans For Foreign Record Date Position 34 = Repo Record Date Notices 35 = Adjustment to Prev. Announced Repos for Foreign Record Date Position 36 = Fail Tracking Adjustments 40 = Stock Distribution Today 50 = Stock Distribution Yesterday
40	12	Character	CUSIP Number	Format: 40-41 = Int'l Country Code 42-51 = CUSIP Number 52 = Int'l Check Digit
52	2	Character	Activity Type	02 = Cash in lieu of fractions from stock split distribution 03 = Foreign Debt Unfavorable Tax Rate 04 = Foreign Debt Favorable Tax Rate 05 = Foreign Debt Exempt Tax Rate 06 = Cash in lieu of fractions from stock dividend distribution 07 = Cash dividend - payable on increase shares 08 = Cash dividend

Position	Length	Format	Field Name	Field Description
				09 = Foreign Cash dividend (unfavorable) 11 = Cash in lieu of fractions from a DTC ineligible spin-off 12 = Cash in lieu of fractions from a DTC eligible spin-off 13 = Bond interest payment 14-21 = Any records within activity 14-21 are various methods of paying optional dividends. 23 = Municipal Bond interest payment 24 = Tax Credit Entitlement 25 = Principal payment 30 = Dividend re-investment service distribution 31 = Automated Dividend Reinvestment 32 = Long Term Capital Gains 33 = Short Term Capital Gains 34 = Return of Capital 35 = Tax exempt dividend 36 = Sale of Rights ADR 37 = Foreign Cash dividend 38 = Pay in Kind Bonds 39 = Rights Distributions 40 = Foreign Tax Refunds 43 = Special distribution 44 = Recapitalization 45 = Liquidation 46 = Sale of assets 47 = Redemption of rights 49 = Capital gain Activity Type for Reorg Records 50 = Exchange distribution. 51 = Rights. 52 = Tender payment. 53 = Rights Redemption. 54 = Conversion. 56 = Rollover. 58 = Optional repayment.

Position	Length	Format	Field Name	Field Description
				60 = Subscription. 61 = Warrant redemption. 62 = Monthly put payment. 63 = Optional C.D. repayment. 64 = Unit sep/comb. 65 = Mandatory put purchase. 66 = Accrued int-corp redemption. 67 = Accrued int-muni redemption. 68 = Accrued div-corp redemption. 69 = Part/full conv redemption. 70 = CD redemption. 71 = Merger. 72 = Cash merger. 73 = Reverse split. 74 = Corporate call payment. 75 = Corp redemption payment. 76 = Municipal call payment. 77 = Muni redemption payment. 78 = Stock liquidation. 79 = Liquidation distribution. 92 = ADR Installment Payment. CP = Claim payment. CR = Claim reversal. GL = General Ledger adjustment.
54	8	Numeric	Record Date	Format CCYYMMDD.
62	8	Numeric	Payable Date	Format CCYYMMDD.
70	3	Numeric	Sequence Number	Uniquely identifies a primary or supplemental announcement.
73	1	Character	RDP Issue Type	0 = Common, Ordinary etc. 1 = Preferred, Preference etc. 2 = Warrant or Right 3 = Convertible bond 4 = Unit 5 = Municipal bond 6 = Corporate or Government debt issue 7 = Mutual fund

Position	Length	Format	Field Name	Field Description
				8 = Certificate 9 = Foreign A = Other B = Option C = Contracts: commodities, T-bills, Foreign currencies D = Unit trust -Corporate E = Unit trust -Muni F = Non NASDAQ OTC G = Convertible preferred H = U.S. Treasury notes I = U.S. Treasury bonds J = U.S. Treasury bills K = Federal Home Loan Banks L = Federal Home Loan Mortgage Corps. M N = Federal National Mortgage Association O = Federal National Mortgage Association Partnership P = Government National Mortgage Association R = Farmers Home Administration S = General Service Administration T = Twelve Federal banks U = Twelve Federal International Credit banks V = Thirteen banks for cooperatives W = International American Development bank X = International bank for reconstruction and development Y = Export Import Z = Other government: <ul style="list-style-type: none"> • U.S. Postal Service • Tennessee Valley Authority
End of Sort Key Bytes 74 - End are redefined for each record type.				
74	11	Numeric	Stock Rate	Format 9(5)V9(6). The rate of the Dividend payable in Stock rather than Cash.

Position	Length	Format	Field Name	Field Description
85	11	Numeric	Cash Rate	Format 9(5)V9(6). The rate of the Dividend payable in Cash.
96	8	Numeric	Settlement Date	Format CCYYMMDD.
104	8	Numeric	Cutoff Date	Format CCYYMMDD. When securities are transferred outside of New York City, DTC may establish a cut-off day in advance of a record day for the start of a modified Interim Account processing.
112	90	Character	Descriptive Information	Any descriptive information pertaining to the dividend.
202	1	Character	Payment Method	<ul style="list-style-type: none"> A Rights B Warrants C Issue called D Reserved E Dividend omitted S Same day funds settlement V \$ 1.00 Service charge for options W \$ 1.50 Service charge for options X \$ 2.00 Service charge for options Y \$ 2.50 Service charge for options Z \$ 3.00 Service charge for options 1 Payment in U.S. currency 2 Payment in Canadian currency 3 Payment in Other currency 4 Optional dividend rate shown is in cash 5 Stock dividend 6 Stock split 7 Payable in stock or another issue or issuer 8 Payable by an exchange of stock 9 Optional dividend rate shown is in stock Space Default, value unspecified
203	1	Character	Tax Base	<ul style="list-style-type: none"> A Net before taxes to U.S. residents B Net after taxes to U.S. residents (ADR's) C Subject to 15% tax (options) D Subject to 25% tax (options) M For stock

Position	Length	Format	Field Name	Field Description
				0 No special tax situation applies 1 Subject to 105 non-resident tax 2 Subject to 15% non-resident tax 3 Subject to other, uniform, or variable tax 4 U.S. tax not withheld from non-resident aliens 5 Income and capital gains distributions 6 Partially or completely tax exempt 7 Both 5 and 6 apply 8 Capital gains distribution only
204	1	Character	Payment Options	A Fractions in cash B Short payment C Long payment D Represents payment from sale of liquidation of assets E Fractions in stock F Multiply dividend rate by 10 G Multiply dividend rate by 100 H Multiply dividend rate by 1000 I Divide dividend rate by 10 J Divide dividend rate by 100 K Divide dividend rate by 1000 L Dividend amount is approximate M For stock holder of record P Divide dividend rate by 10 Q Divide dividend rate by 100 R Divide dividend rate by 1000 S Reverse split T Multiply dividend rate by 10 U Multiply dividend rate by 100 V Multiply dividend rate by 1000 W Dividend rate is approximate Z Flat trading 0 No special payment order 1 Apply this dividend after stock split 2 Apply this dividend after stock dividend 3 Dividend rate is distribution rate or supplemental 4 Initial dividend 5 Approximate rate 6 Rate not known

Position	Length	Format	Field Name	Field Description
				7 Extras or capital gains included in dividend 8 Represents payment of arrears due on cumulative preferred stock 9 Extra, special, capital gain or additional dividend Space Default, value unspecified
205	48	Character	Security Description	As described on DTC Master File.
253	4	Character	Filler	DTC use only. Do not use.
257	12	Character	Additional CUSIP Number	Additional CUSIP number
269	48	Character	Security Description	This description is for the additional CUSIP number.
317	15	Numeric	Share Quantity	Expressed in unit of 1. Format S9(15).
332	18	Numeric	Cash Rate Dollar Amount	Format S9 (16) V9 (2). This amount is based on cash rate.
350	18	Numeric	Shares Due	Format S9 (12) V9 (6).
368	14	Numeric	CMO Principal Factor	Format S9 (2) V9 (12).
382	16	Numeric	Fractional Share Quantity	Format S9 (10) V9 (6). This field was created for future use. It will contain zeroes.
398	18	Numeric	Fractional Dollar Amount	Format S9(16)V99. This field was created for future use. It will contain zeroes.
416	1	Character	FOSP Indicator	Eligibility for Foreign Ordinary Share Processing. "0" -- Not eligible "1" -- Eligible

Position	Length	Format	Field Name	Field Description
417	2	Character	Process Event Code	Event code used to process Stock Dividend and Stock Split Announcements. This code will determine which ATP Activity Code is used when processing the event. Currently, this code is only used for the following Function Codes: <ul style="list-style-type: none">• 02 – Stock Split• 06 – Stock Dividend
419	42	Character	Filler	DTC use only. Do not use.

3.1 Announcement Revision Record Type 20

Position	Length	Format	Field Name	Field Description
74	48	Character	Security Description	As described on DTC Master File.
122	2	Numeric	Revision Count	The number of revisions that will follow. Each revision consists of a revision code and revised value. Any or all revision codes and values following revision #1 may be blank, depending on the revision count.
124	2	Character	Code #1	<p>Indicates the type of revision, or the field that has been revised. Valid values are:</p> <ul style="list-style-type: none"> 01 'Delete announcement' 02 'Stock rate' 03 'Cash rate' 04 'Price' 05 'Action' 06 'Payment order' 07 'Payment method' 08 'Tax base' 09 'Function code' 10 'Payment date' 11 Undefined 12 Undefined 13 Undefined 14 Undefined 15 Undefined 16 Undefined
126	12	Character	Value #1	<p>Announcement revision value #1</p> <p>The new value of the field as indicated by the revision code #1.</p>
138	2	Character	Code #2	Announcement revision code #2 (see above)
140	12	Character	Value #2	Announcement revision value #2
152	2	Character	Code #3	Announcement revision code #3 (see above)
154	12	Character	Value #3	Announcement revision value #3
166	2	Character	Code #4	Announcement revision code #4 (see above)

Position	Length	Format	Field Name	Field Description
168	12	Character	Value #4	Announcement revision value #4
180	2	Character	Code #5	Announcement revision code #5 (see above)
182	12	Character	Value #5	Announcement revision value #5
194	2	Character	Code #6	Announcement revision code #6 (see above)
196	12	Character	Value #6	Announcement revision value #6
208	2	Character	Code #7	Announcement revision code #7 (see above)
210	12	Character	Value #7	Announcement revision value #7
222	2	Character	Code #8	Announcement revision code #8 (see above)
224	12	Character	Value #8	Announcement revision value #8
236	2	Character	Code #9	Announcement revision code #9 (see above)
238	12	Character	Value #9	Announcement revision value #9
250	2	Character	Code #10	Announcement revision code #10 (see above)
252	12	Character	Value #10	Announcement revision value #10
264	2	Character	Code #11	Announcement revision code #11 (see above)
266	12	Character	Value #11	Announcement revision value #11
278	2	Character	Code #12	Announcement revision code #12 (see above)
280	12	Character	Value #12	Announcement revision value #12
292	2	Character	Code #13	Announcement revision code #13 (see above)
294	12	Character	Value #13	Announcement revision value #13
306	2	Character	Code #14	Announcement revision code #14 (see above)
308	12	Character	Value #14	Announcement revision value #14
320	2	Character	Code #15	Announcement revision code #15 (see above)
322	12	Character	Value #15	Announcement revision value #15
334	2	Character	Code #16	Announcement revision code #16 (see above)
336	12	Character	Value #16	Announcement revision value #16
348	15	Numeric	Share Quantity	Expressed in unit of 1. Format PIC S9(15).
363	18	Numeric	Cash Rate Dollar Amount	Format S9(16)V99. This amount is calculated by using the cash rate. The field will be populated only if the announcement revision code #3 is present, otherwise, it will contain zeroes.

Position	Length	Format	Field Name	Field Description
381	18	Numeric	Shares Due	Format S9(12)V9(6). The field will be populated only if the announcement revision code #2 is present, otherwise, it will contain zeroes.
399	14	Numeric	CMO Principal Factor	Format S9(2)V9(12).
413	16	Numeric	Fractional Share Quantity	Format S9(10)V9(6). This field was created for future use. It will contain zeroes.
429	18	Numeric	Fractional Dollar Amount	Format S9(16)V99. This field was created for future use. It will contain zeroes.
448	1	Character	FOSP Indicator	Eligibility for Foreign Ordinary Share Processing. "0" -- Not eligible "1" -- Eligible
449	2	Character	Process Event Code	Event code used to process Stock Dividend and Stock Split Announcements. This code will determine which ATP Activity Code is used when processing the event. Currently, this code is only used for the following Function Codes: <ul style="list-style-type: none"> • 02 – Stock Split • 06 – Stock Dividend
451	11	Character	Filler	DTC use only. Do not use.

3.2 Announcement Revision Record Type 30

Position	Length	Format	Field Name	Field Description
74	11	Character	Stock Rate	The rate of the dividend payable in stock
85	11	Character	Cash Rate	The rate of the dividend payable in cash
96	8	Numeric	As Of Date	CCYYMMDD. Effective date of the adjustment to the Participant account.
104	48	Character	Security Description	As described on the DTC Master File.
152	3	Character	Adjustment Code	RA Rate adjustment FA Facility adjustment COI Cash on increased shares DOA Delivery order adjustment COD COD adjustment DEP Deposit adjustment AD Accrued dividend DIC Dividend/interest claim CR Claim reversal CP Claim payment ROD Return of overpayment (depositories) SS Settlement of sale SP Settlement of purchase LAT Late announcement adjustment DRD DRS deletion DRA TEX TEX TEDS deletion TEA TEDS addition TED TEDS instructions ADJ Special adjustment (see Notice) FAC Facility SWG Swing over FCP Foreign currency payment DPU Unstamped record date deposit FSA Foreign security adjustment MBP MBS PUT payment adjustment
152	3	Character	Adjustment Code (cont.)	MBC MBS Call payment adjustment PLD Pending legal deposit HAB Hold and bust BDP Branch deposit

Position	Length	Format	Field Name	Field Description
				POW Branch deposit missing powers PDL Late branch deposit MWC SLM Stock loan interim activity RPM Repo interim activity WTA W/T adjustment WTM
155	5	Character	DTC Adjustment Code	10120 DTC withdrawal (COD) 10220 DTC withdrawal (COD) 10130 DTC deposit 10230 DTC deposit 10126 DTC delivery order (DEL) 10226 DTC delivery order (DEL) 10127 DTC delivery order (REC) 10227 DTC delivery order (REC) 18134 DTC investment I.D. 10234 DTC investment I.D. 10144 DTC investment I.D. reversal 18244 DTC investment I.D. reversal 14151 DTC pledge 10251 DTC pledge 10156 DTC pledge release 14256 DTC pledge release 10180 DTC transfer 10280 DTC transfer 10195 DTC Reorg 10295 DTC Reorg 10197 DTC Redemp 10297 DTC Redemp
160	12	Character	Additional CUSIP Number	To be used if dividend is payable in the stock of another corporation (Spin-off). If this field is not used it will contain blanks.
172	48	Character	Security Description for Additional CUSIP	To be used if dividend is payable in the stock of another corporation (Spin-off). If this field is not used it will contain blanks.

Position	Length	Format	Field Name	Field Description
220	8	Character	Contra Participant Number	This field will contain the contra Participant number of the failed DO.
228	17	Character	Deliverer Account Number	Account number at Deliverer's site
245	17	Character	Receiver Account Number	Account number at Receiver's site.
262	8	Numeric	Delivery Date	CCYYMMDD
270	15	Numeric	Share Quantity	Expressed in unit of 1. Format PIC S9(15).
285	18	Numeric	Cash Rate Dollar Amount	Format S9(16)V99. This amount is calculated by using the cash rate.
303	18	Numeric	Shares Due	Format S9(12)V9(6).
321	14	Numeric	CMO Principal Factor	Format S9(2)V9(12).
335	16	Numeric	Fractional Share Quantity	Format S9(10)V9(6). This field was created for future use. It will contain zeroes.
351	18	Numeric	Fractional Dollar Amount	Format S9(16)V99. This field was created for future use. It will contain zeroes.
369	1	Character	FOSP Indicator	Eligibility for Foreign Ordinary Share Processing. "0" -- Not eligible "1" -- Eligible
370	2	Character	Process Event Code	Event code used to process Stock Dividend and Stock Split Announcements. This code will determine which ATP Activity Code is used when processing the event. Currently, this code is only used for the following Function Codes: <ul style="list-style-type: none"> • 02 – Stock Split • 06 – Stock Dividend
372	89	Character	Filler	DTC use only. Do not use.

3.3 Stock Loan Record Date Notices Type 32

Position	Length	Format	Field Name	Field Description
74	11	Numeric	Stock Rate	Format 9(5)V9(6). The rate of the Dividend payable in Stock rather than Cash.
85	11	Numeric	Cash Rate	Format 9(5)V9(6). The rate of the Dividend payable in Cash.
96	8	Numeric	Settlement Date	CCYYMMDD.
104	8	Numeric	Cutoff Date	CCYYMMDD. When securities are transferred outside of New York City, DTC may establish a cut-off day in advance of a record day for the start of a modified Interim Account processing.
112	90	Character	Descriptive Information	
202	1	Character	Payment Method	A Rights B Warrants C Issue called D Reserved E Dividend omitted S Same day funds settlement V \$ 1.00 Service charge for options W \$ 1.50 Service charge for options X \$ 2.00 Service charge for options Y \$ 2.50 Service charge for options Z \$ 3.00 Service charge for options 1 Payment in U.S. currency 2 Payment in Canadian currency 3 Payment in Other currency 4 Optional dividend rate shown is in cash 5 Stock dividend 6 Stock split 7 Payable in stock or another issue or issuer 8 Payable by an exchange of stock 9 Optional dividend rate shown is in stock Space Default, value unspecified
203	1	Character	Tax Base	A Net before taxes to U.S. residents B Net after taxes to U.S. residents (ADR's)

Position	Length	Format	Field Name	Field Description
				C Subject to 15% tax (options) D Subject to 25% tax (options) M For stock 0 No special tax situation applies 1 Subject to 105 non-resident tax 2 Subject to 15% non-resident tax 3 Subject to other, uniform, or variable tax 4 U.S. tax not withheld from non-resident aliens 5 Income and capital gains distributions 6 Partially or completely tax exempt 7 Both 5 and 6 apply 8 Capital gains distribution only
204	1	Character	Payment Options	A Fractions in cash B Short payment C Long payment D Represents payment from sale of liquidation of assets E Fractions in stock F Multiply dividend rate by 10 G Multiply dividend rate by 100 H Multiply dividend rate by 1000 I Divide dividend rate by 10 J Divide dividend rate by 100 K Divide dividend rate by 1000 L Dividend amount is approximate M For stock holder of record P Divide dividend rate by 10 Q Divide dividend rate by 100 R Divide dividend rate by 1000 S Reverse split T Multiply dividend rate by 10 U Multiply dividend rate by 100 V Multiply dividend rate by 1000 W Dividend rate is approximate Z Flat trading 0 No special payment order 1 Apply this dividend after stock split 2 Apply this dividend after stock dividend

Position	Length	Format	Field Name	Field Description
				3 Dividend rate is distribution rate or supplemental 4 Initial dividend 5 Approximate rate 6 Rate not known 7 Extras or capital gains included in dividend 8 Represents payment of arrears due on cumulative preferred stock 9 Extra, special, capital gain or additional dividend Space Default, value unspecified
205	48	Character	Security Description	As described in DTC Master File
253	4	Character	Filler	DTC use only. Do not use.
257	12	Character	Additional CUSIP No.	Additional CUSIP number
269	48	Character	Security Description for Additional CUSIP	This description is for the additional CUSIP number.
317	15	Numeric	Share Quantity	Expressed in unit of 1. Format PIC S9(15).
332	8	Character	Contra Participant Number	Stock loan contra Participant number.
340	18	Numeric	Cash Rate Dollar Amount	Format S9(16)V99. This amount is based on cash rate.
358	18	Numeric	Stock Rate Dollar Amount	Format S9(12)V9(6). This amount is based on stock rate.
376	16	Numeric	Fractional Share Quantity	Format S9(10)V9(6). This field was created for future use. It will contain zeroes.

Position	Length	Format	Field Name	Field Description
392	18	Numeric	Fractional Dollar Amount	Format S9(16)V99. This field was created for future use. It will contain zeroes.
410	1	Character	FOSP Indicator	Eligibility for Foreign Ordinary Share Processing. "0" -- Not eligible "1" -- Eligible
411	2	Character	Process Event Code	Event code used to process Stock Dividend and Stock Split Announcements. This code will determine which ATP Activity Code is used when processing the event. Currently, this code is only used for the following Function Codes: <ul style="list-style-type: none"> • 02 – Stock Split • 06 – Stock Dividend
413	48	Character	Filler	DTC use only. Do not use.

3.4 Adjustments to Previously Announced Stock Loan Record Date Notices Type 33

Position	Length	Format	Field Name	Field Description
74	11	Numeric	Stock Rate	The rate of the dividend payable in stock. Format 9(5)V9(6).
85	11	Numeric	Cash Rate	The rate of the dividend payable in cash. Format 9(5)V9(6).
96	8	Numeric	As Of Date	CCYYMMDD. Effective date of the adjustment to the Participant account.
104	48	Character	Security Description	As described in DTC Master File
152	3	Character	Adjustment Code	Stock Loan adjustment
155	5	Character	DTC Adjustment Code	10120 DTC withdrawal (COD) 10220 DTC withdrawal (COD) 10130 DTC deposit 10230 DTC deposit 10126 DTC delivery order (DEL) 10226 DTC delivery order (DEL) 10127 DTC delivery order (REC) 10227 DTC delivery order (REC) 18134 DTC investment I.D. 10234 DTC investment I.D. 10144 DTC investment I.D. reversal 18244 DTC investment I.D. reversal 14151 DTC pledge 10251 DTC pledge 10156 DTC pledge release 14256 DTC pledge release 10180 DTC transfer 10280 DTC transfer 10195 DTC Reorg 10295 DTC Reorg 10197 DTC Redemp 10297 DTC Redemp

Position	Length	Format	Field Name	Field Description
160	12	Character	Additional CUSIP Number	To be used if dividend is payable in the stock of another corporation (Spin-off). If this field is not used it will contain blanks.
172	48	Character	Security Description for Additional CUSIP	To be used if dividend is payable in the stock of another corporation (Spin-off). If this field is not used it will contain blanks.
220	8	Character	Contra Participant Number	Contra Participant number This field will contain the contra Participant number.
228	17	Character	Filler	DTC use only. Do not use.
245	17	Character	Filler	DTC use only. Do not use.
262	8	Numeric	Filler	DTC use only. Do not use.
270	15	Numeric	Share Quantity	Expressed in unit of 1. Format S9(15).
285	18	Numeric	Cash Rate Dollar Amount	Format S9(16)V99. This amount is calculated by using the cash rate.
303	18	Numeric	Shares Due	Format S9(12)V9(6).
321	16	Numeric	Fractional Share Quantity	Format S9(10)V9(6). This field was created for future use. It will contain zeroes.
337	18	Numeric	Fractional Dollar Amount	Format S9(16)V99. This field was created for future use. It will contain zeroes.
355	1	Character	FOSP Indicator	Eligibility for Foreign Ordinary Share Processing. "0" -- Not eligible "1" -- Eligible
356	2	Character	Process Event Code	Event code used to process Stock Dividend and Stock Split Announcements. This code will determine which ATP Activity Code is used when processing the event. Currently, this code is only used for the following Function Codes: <ul style="list-style-type: none"> • 02 – Stock Split • 06 – Stock Dividend

Position	Length	Format	Field Name	Field Description
358	103	Character	Filler	DTC use only. Do not use.

3.5 Repo Record Date Notices Type 34

Position	Length	Format	Field Name	Field Description
74	11	Numeric	Stock Rate	Format 9(5)V9(6). The rate of the Dividend payable in Stock rather than Cash.
85	11	Numeric	Cash Rate	Format 9(5)V9(6). The rate of the Dividend payable in Cash.
96	8	Numeric	Settlement Date	CCYYMMDD.
104	8	Numeric	Cutoff Date	CCYYMMDD. When securities are transferred outside of New York City, DTC may establish a cut-off day in advance of a record day for the start of a modified Interim Account processing.
112	90	Character	Descriptive Information	Descriptive information
202	1	Character	Payment Method	A Rights B Warrants C Issue called D Reserved E Dividend omitted S Same day funds settlement V \$ 1.00 Service charge for options W \$ 1.50 Service charge for options X \$ 2.00 Service charge for options Y \$ 2.50 Service charge for options Z \$ 3.00 Service charge for options 1 Payment in U.S. currency 2 Payment in Canadian currency 3 Payment in Other currency 4 Optional dividend rate shown is in cash 5 Stock dividend 6 Stock split 7 Payable in stock or another issue or issuer 8 Payable by an exchange of stock 9 Optional dividend rate shown is in stock Space Default, value unspecified
203	1	Character	Tax Base	A Net before taxes to U.S. residents B Net after taxes to U.S. residents (ADR's)

Position	Length	Format	Field Name	Field Description
				C Subject to 15% tax (options) D Subject to 25% tax (options) M For stock 0 No special tax situation applies 1 Subject to 105 non-resident tax 2 Subject to 15% non-resident tax 3 Subject to other, uniform, or variable tax 4 U.S. tax not withheld from non-resident aliens 5 Income and capital gains distributions 6 Partially or completely tax exempt 7 Both 5 and 6 apply 8 Capital gains distribution only
204	1	Character	Payment Options	A Fractions in cash B Short payment C Long payment D Represents payment from sale of liquidation of assets E Fractions in stock F Multiply dividend rate by 10 G Multiply dividend rate by 100 H Multiply dividend rate by 1000 I Divide dividend rate by 10 J Divide dividend rate by 100 K Divide dividend rate by 1000 L Dividend amount is approximate M For stock holder of record P Divide dividend rate by 10 Q Divide dividend rate by 100 R Divide dividend rate by 1000 S Reverse split T Multiply dividend rate by 10 U Multiply dividend rate by 100 V Multiply dividend rate by 1000 W Dividend rate is approximate Z Flat trading 0 No special payment order

Position	Length	Format	Field Name	Field Description
				1 Apply this dividend after stock split 2 Apply this dividend after stock dividend 3 Dividend rate is distribution rate or supplemental 4 Initial dividend 5 Approximate rate 6 Rate not known 7 Extras or capital gains included in dividend 8 Represents payment of arrears due on cumulative preferred stock 9 Extra, special, capital gain or additional dividend Space Default, value unspecified
205	48	Character	Security Description	As described in DTC Master File.
253	4	Character	Filler	DTC use only. Do not use.
257	12	Character	Additional CUSIP Number	Additional CUSIP number
269	48	Character	Security Description for Additional CUSIP	This description is for the additional CUSIP number.
317	15	Numeric	Share Quantity	Expressed in unit of 1. Format S9(15).
332	8	Character	Contra Participant Number	Repo contra Participant number.
340	18	Numeric	Cash Rate Dollar Amount	Format S9(16)V99. This amount is calculated by using the cash rate.
358	18	Numeric	Shares Due	Format S9(12)V9(6).
376	16	Numeric	Fractional Share Quantity	Format S9(10)V9(6). This field was created for future use. It will contain zeroes.

Position	Length	Format	Field Name	Field Description
392	18	Numeric	Fractional Dollar Amount	Format S9(16)V99. This field was created for future use. It will contain zeroes.
410	1	Character	FOSP Indicator	Eligibility for Foreign Ordinary Share Processing. "0" -- Not eligible "1" -- Eligible
411	2	Character	Process Event Code	Event code used to process Stock Dividend and Stock Split Announcements. This code will determine which ATP Activity Code is used when processing the event. Currently, this code is only used for the following Function Codes: <ul style="list-style-type: none"> • 02 – Stock Split • 06 – Stock Dividend
413	48	Character	Filler	DTC use only. Do not use.

3.6 Adjustments to Previously Announced Repo Record Date Notices Type 35

Position	Length	Format	Field Name	Field Description
74	11	Numeric	Stock Rate	The rate of the dividend payable in stock. Format 9(5)V9(6).
85	11	Numeric	Cash Rate	The rate of the dividend payable in cash. Format 9(5)V9(6).
96	8	Numeric	As Of Date	CCYYMMDD. Effective date of the adjustment to the Participant account.
104	48	Character	Security Description	As described in DTC Master File
152	3	Character	Adjustment Code	Repo adjustment
155	5	Character	DTC Adjustment Code	10120 DTC withdrawal (COD) 10220 DTC withdrawal (COD) 10130 DTC deposit 10230 DTC deposit 10126 DTC delivery order (DEL) 10226 DTC delivery order (DEL) 10127 DTC delivery order (REC) 10227 DTC delivery order (REC) 18134 DTC investment I.D. 10234 DTC investment I.D. 10144 DTC investment I.D. reversal 18244 DTC investment I.D. reversal 14151 DTC pledge 10251 DTC pledge 10156 DTC pledge release 14256 DTC pledge release 10180 DTC transfer 10280 DTC transfer 10195 DTC Reorg 10295 DTC Reorg 10197 DTC Redemp 10297 DTC Redemp
160	12	Character	Additional CUSIP No.	To be used if dividend is payable in the stock of another corporation (Spin-off). If this field is not used it will contain blanks.

Position	Length	Format	Field Name	Field Description
172	48	Character	Security Description for Additional CUSIP	To be used if dividend is payable in the stock of another corporation (Spin-off). If this field is not used it will contain blanks.
220	8	Character	Contra Participant Number	This field will contain the contra Participant number.
228	17	Character	Filler	DTC use only. Do not use.
245	17	Character	Filler	DTC use only. Do not use.
262	8	Numeric	Filler	DTC use only. Do not use.
270	15	Numeric	Share Quantity	Expressed in unit of 1. Format S9(15).
285	18	Numeric	Cash Rate Dollar Amount	Format S9(16)V99. This amount is calculated by using the cash rate.
303	18	Numeric	Shares Due	Format S9(12)V9(6).
321	16	Numeric	Fractional Share Quantity	Format S9(10)V9(6). This field was created for future use. It will contain zeroes.
337	18	Numeric	Fractional Dollar Amount	Format S9(16)V99. This field was created for future use. It will contain zeroes.
355	1	Character	FOSP Indicator	Eligibility for Foreign Ordinary Share Processing. "0" -- Not eligible "1" -- Eligible
356	2	Character	Process Event Code	Event code used to process Stock Dividend and Stock Split Announcements. This code will determine which ATP Activity Code is used when processing the event. Currently, this code is only used for the following Function Codes: <ul style="list-style-type: none"> • 02 – Stock Split • 06 – Stock Dividend
358	103	Character	Filler	DTC use only. Do not use.

3.7 Fail Tracking Adjustments to Previous Announced Positions Type 36

Position	Length	Format	Field Name	Field Description
74	11	Numeric	Stock Rate	The rate of the dividend payable in stock. Format 9(5)V9(6).
85	11	Numeric	Cash Rate	The rate of the dividend payable in cash. Format 9(5)V9(6).
96	8	Numeric	As Of Date	CCYYMMDD. Effective date of the adjustment to the Participant account.
104	48	Character	Security Description	As described in DTC master File.
152	3	Character	Adjustment Code	Fail tracking adjustment Fail tracking adjustment late announcement
155	5	Character	DTC Adjustment Code	10120 DTC withdrawal (COD) 10220 DTC withdrawal (COD) 10130 DTC deposit 10230 DTC deposit 10126 DTC delivery order (DEL) 10226 DTC delivery order (DEL) 10127 DTC delivery order (REC) 10227 DTC delivery order (REC) 18134 DTC investment I.D. 10234 DTC investment I.D. 10144 DTC investment I.D. reversal 18244 DTC investment I.D. reversal 14151 DTC pledge 10251 DTC pledge 10156 DTC pledge release 14256 DTC pledge release 10180 DTC transfer 10280 DTC transfer 10195 DTC Reorg 10295 DTC Reorg 10197 DTC Redemp 10297 DTC Redemp

Position	Length	Format	Field Name	Field Description
160	12	Character	Additional CUSIP Number	To be used if dividend is payable in the stock of another corporation (Spin-off). If this field is not used it will contain blanks.
172	48	Character	Security Description for Additional CUSIP	To be used if dividend is payable in the stock of another corporation (Spin-off). If this field is not used it will contain blanks.
220	8	Character	Contra Participant Number	This field will contain the contra Participant number of the failed DO.
228	17	Character	Deliverer Account No.	Account number at Deliver's site.
245	17	Character	Receiver Account No.	Account number at Receiver's site.
262	8	Numeric	Delivery Date	CCYYMMDD.
270	15	Numeric	Share Qty.	Expressed in unit of 1. Format S9(15).
285	18	Numeric	Cash Rate Dollar Amount	Format S9(16)V99. This amount is calculated by using the cash rate.
303	18	Numeric	Shares Due	Format S9(12)V9(6).
321	16	Numeric	Fractional Share Quantity	Format S9(10)V9(6). This field was created for future use. It will contain zeroes.
337	18	Numeric	Fractional Dollar Amount	Format S9(16)V99. This field was created for future use. It will contain zeroes.
355	1	Character	FOSP Indicator	Eligibility for Foreign Ordinary Share Processing. "0" -- Not eligible "1" -- Eligible
356	2	Character	Process Event Code	Event code used to process Stock Dividend and Stock Split Announcements. This code will determine which ATP Activity Code is used when processing the event. Currently, this code is only used for the following Function Codes: <ul style="list-style-type: none"> • 02 – Stock Split • 06 – Stock Dividend

Position	Length	Format	Field Name	Field Description
358	103	Character	Filler	DTC use only. Do not use.

3.8 Stock Distribution Today Type 40

Position	Length	Format	Field Name	Field Description
74	48	Character	Security Description	As described in DTC Master File.
122	12	Character	Additional CUSIP Number	To be used if the dividend is payable in the stock if another corporation (Spin-off). If this field is not used it will contain blanks.
134	48	Character	Security Description for Additional CUSIP	To be used if the dividend is payable in the stock of another corporation (Spin-off). If this field is not used it will contain blanks.
182	4	Character	Filler	DTC use only. Do not use.
186	15	Numeric	Share Quantity	Expressed in units of 1. Format S9(15).
201	8	Character	Contra Participant Number	Contra Participant number.
209	18	Numeric	Shares Allocated	Format S9(12)V9(6).
227	16	Numeric	Fractional Share Quantity	Format S9(10)V9(6). This field was created for future use. It will contain zeroes.
243	18	Numeric	Fractional Dollar Amount	Format S9(16)V99. This field was created for future use. It will contain zeroes.
261	1	Character	FOSP Indicator	Eligibility for Foreign Ordinary Share Processing. "0" -- Not eligible "1" -- Eligible
262	2	Character	Process Event Code	Event code used to process Stock Dividend and Stock Split Announcements. This code will determine which ATP Activity Code is used when processing the event. Currently, this code is only used for the following Function Codes: <ul style="list-style-type: none"> • 02 – Stock Split • 06 – Stock Dividend
264	197	Character	Filler	DTC use only. Do not use.

3.9 Stock Distribution Yesterday Type 50

Position	Length	Format	Field Name	Field Description
74	48	Character	Security Description	As described in DTC Master File.
122	12	Character	Additional CUSIP Number	To be used if the dividend is payable in the stock if another corporation (Spin-off). If this field is not used it will contain blanks.
134	48	Character	Security Description for Additional CUSIP	To be used if the dividend is payable in the stock of another corporation (Spin-off). If this field is not used it will contain blanks.
182	3	Character	Filler	DTC use only. Do not use.
185	8	Character	Contra Participant Number	Contra Participant number
193	15	Numeric	Share Quantity	Expressed in units of 1. Format S9(15).
208	18	Numeric	Shares Allocated	Format S9(12)V9(6).
226	16	Numeric	Fractional Share Quantity	Format S9(10)V9(6). This field was created for future use. It will contain zeroes.
242	18	Numeric	Fractional Dollar Amount	Format S9(16)V99. This field was created for future use. It will contain zeroes.
260	1	Character	FOSP Indicator	Eligibility for Foreign Ordinary Share Processing. "0" -- Not eligible "1" -- Eligible
261	2	Character	Process Event Code	Event code used to process Stock Dividend and Stock Split Announcements. This code will determine which ATP Activity Code is used when processing the event. Currently, this code is only used for the following Function Codes: <ul style="list-style-type: none"> • 02 – Stock Split • 06 – Stock Dividend
263	198	Character	Filler	DTC use only. Do not use.