



Standing Instructions Database

TradeSuite™

4. Broker and Agent Settlement Models (SIDBAM)

Version 02



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4. TradeSuite Broker and Agent Settlement Models (SIDBAM)

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1. Introduction

DTC's Standing Instructions Database (SID) is a relational database that serves as the central repository for all customer/account and settlement information for the purpose of inclusion in ID confirmations. This document describes the SIDBAM function, which allows ID Broker/Dealers to receive information extracted from the Standing Instructions Database (SID) via DTC's Data Transmission Facility (DTF).

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

2. The SIDBAM Function

The SIDBAM function uses DTC's Data Transfer Facility (DTF) to enable ID Broker/Dealers to receive Institution account information from the SID database in machine-readable format. This document provides basic information for the use of DTF as well as a description of the file produced by the SID system.

The SIDBAM file is produced daily and is available approximately between 7:00 p.m. and 3:00 p.m. of the following day.



3. SIDBAM Record Information

SIDBAM files are available via CCF and CCF-II.

Users requesting SIDBAM via CCF normally receive a file comprised of a CCF Header record followed by the SIDBAM detail Records.

Users requesting SIDBAM via CCF-II receive a file consisting of CCF-II Header and Trailer Records separated by the SIDBAM detail Records.

The CCF Header record, CCF-II Header and Trailer Records, and the SIDBAM record are described on the following pages.



4. Record Formats

4.1 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. The CCF Header Record format is as follows:

NDM Users executing NDMDTF01, or RJE3770 Users executing RJESDTF2, must note that they receive the CCF Header Record below.

| Position | Length | Format | Field Name | CCF Header Record Field Description |
|----------|--------|-------------------|-----------------------|--------------------------------------------------------------------|
| 1-6 | 6 | Character X(6) | Record Type Requested | Data type name with which this data was requested (function name). |
| 7-12 | 6 | Character X(6) | Record Type Created | Data type name with which this data was created (function name). |
| 13-20 | 8 | Character X(8) | Data Creation Date | Date of data in MM/DD/YY format. |
| 21-28 | 8 | Character X(8) | DTC Data Load Date | DTC data load date in MM/DD/YY format. |
| 29-36 | 8 | Character X(8) | DTC Data Load Time | DTC data load time in HH/MM/SS format. |
| 37-38 | 2 | Numeric 9(2) COMP | Record Size | Size of each data record. |
| 39-42 | 4 | Numeric 9(4) COMP | Block Count | Number of data blocks input to CCFDTFDB. |
| 43-46 | 4 | Numeric 9(4) COMP | Record Count | Number of data records. |
| 47-?? | 1 | Character X(1) | Filler | DTC use only; do not use. |



4.2 CCF-II Header and Trailer Records

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.

| Position | Length | Format | Field Name | CCF-II Header and Trailer Rec Field Descr (Page 1 of 1) |
|----------|--------|--------------------|------------------------------|-----------------------------------------------------------------------------------------------|
| 1-3 | 3 | Character X(3) | Record ID | Record ID: HDR or TLR. |
| 4-7 | 4 | Character X(4) | Signon ID | Signon ID. |
| 8-13 | 6 | Character X(6) | Data Type Requested | Data type requested: |
| 14-19 | 6 | Character X(6) | Data Type Created | Data type created: |
| 20-27 | 8 | Character X(8) | Data Creation Date | Data creation date in MM/DD/YY format. |
| 28-35 | 8 | Character X(8) | Data Load Date | Data load date in MM/DD/YY format. |
| 36-43 | 8 | Character X(8) | Data Load Time | Data load time in HH:MM:SS format. |
| 44-47 | 4 | Numeric 9(4) | Record Length | Record length of data requested. |
| 48-55 | 8 | Numeric 9(8) | Record Count | Number of data records in file. |
| 56-59 | 4 | Numeric 9(4) | Segments per Data Type | Number of 80-byte records per data type requested. |
| 60-74 | 15 | Character X(15) | Filler | DTC use only; do not use. |
| 75-?? | 6 | Numeric 9(6) | Numbering Sequence | Numbering sequence, used as a data integrity check. HDR 000000 TLR 999999 |

4.3 Record 40-Agent/Broker Settlement Instruction Information



| Position | Length | Format | Field Name | Record 40-Agent/Broker Sett. Information (Page 2 of 8) |
|---------------------------------------------------|--------|-----------|--------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Positions 1 through 26: Transaction Header | | | | |
| 1-1 | 1 | Character | Feedback Indicator | ? On output, to indicate that this record is returned with error(s) and cannot be processed by DTC. * (asterisk) on output, to indicate a valid record that updated SID. This field is used by DTC to indicate the return of this record due to errors. A full description of this processing is available in a separate document <i>Interface Control Management</i> . |
| 2-2 | 1 | Character | Production/ Test Indicator | Distinguishes between an actual production transaction and a test transaction: P = Production T = Test. |
| 3-8 | 6 | Character | Record Type | Identifies the type of data contained within this message: SIDBAM = Broker All Accounts. |
| 9-10 | 2 | Numeric | Record Suffix | 01 = Sequence number of multiple segmented records. |
| 11-12 | 2 | Numeric | Version Number | The version number of the input which defines the record format; this number is incremented as fields are added to or deleted from the format (see the cover page of this document for version number). |
| 13-18 | 6 | Character | User Reference Number | For future use. |
| 19-26 | 8 | Character | Addressee | The entity on whose behalf the transaction is being processed. |
| 27-28 | 2 | Character | Record Type | Record Type: 40 = Agent/Broker Settlement Information. |
| 29-29 | 1 | Character | Record Level Process Indicator | Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces. |
| 30-37 | 8 | Character | Effective Date | Effective date of settlement instructions in CCYYMMDD format. |



| Position | Length | Format | Field Name | Record 40-Agent/Broker Sett. Information (Page 3 of 8) |
|----------|--------|-----------|-----------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------|
| 38-38 | 1 | Character | Settlement Instruction Type | A = Agent Settlement Instruction Record. B = Broker Settlement Instruction Record. |
| 39-39 | 1 | Character | PI Agt Name/# | Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces. |
| 40-47 | 8 | Character | Agent/Broker DTC Id Number | Agent/Broker DTC Id number. Right justified, zero filled. |
| 48-58 | 11 | Character | Agent/Broker BIC Number | Optional. Agent/Broker BIC number. Left justified, trailing blanks. This field will be blank if not available or if a correlation does not exist. |
| 59-98 | 40 | Character | Agent/Broker Name | Agent/Broker Name as it appears on the Master Files. |
| 99-99 | 1 | Character | PI Set Loc. | Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces. |



| Position | Length | Format | Field Name | Record 40-Agent/Broker Sett. Information (Page 4 of 8) |
|----------|--------|-----------|---------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 100-102 | 3 | Character | Agent/Broker Settlement Location Code | <p>The location, denoted by either a Depository Code (listed below) or country code (see Chapter 3.04, <i>Interactive ID Input/Output Information</i>) where the security is to settle.</p> <p> BRC = Broker Custody CED = Cedel DTC = Depository Trust Company EUR = Euroclear FED = Federal Reserve Bank of New York FNB = First National Bank of Chicago-London GBL = Global PTC = Participants Trust Company US = US Physical OKB = OKB-AG CIK = Caisse Interprofessionnelle Kassa DBC = Deutsche Bourse Clearing AG BKI = BKITALIA MON = MONLETOL NEC = NECIGEF VPC = VPC INT = Intersettle SEG = SEGA CRS = CREST CGO = Central Gilts Office INS = Institutional Net Settlement HKS = Hong Kong Securities Clearance Corp. JAS = Japan Securities Clearance Corp BOJ = Bank of Japan Netting KSC = Korean Securities Clearance Corp OKR = OKR SCD = Singapore Central Depository SET = SET BOV = BOVESPA CDS = Canadian Depository Service IND = Indeval CDV = Caja De Valores S.A. MDV = Mercado De Valores de Buenos Aires SA </p> |
| 103-142 | 40 | Character | Agent/Broker Settlement Location Name | <p>Country or Depository in which the security is to be settled. Can be overridden by client beneficial account information associated with this client (for settlement location codes, see Chapter 3.04, <i>Interactive ID Input/Output Information</i>).</p> |
| 143-143 | 1 | Character | PI Agt SEC Type | <p>Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.</p> |



| Position | Length | Format | Field Name | Record 40-Agent/Broker Sett. Information (Page 5 of 8) |
|------------------------------------------------------------------------------|--------|-----------|-------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 144-146 | 3 | Character | Agent/Broker Security Type | Type of security that can be settled at the location; can be overridden by client beneficial account information associated with this client (see Appendix 5.3, Security Type Codes and Descriptions, on page 13). |
| 147-186 | 40 | Character | Agent/Broker Security Type Name | Description of Security Type (see Appendix 5.3, Security Type Codes and Descriptions, on page 13.) |
| 187-187 | 1 | Character | PI Sec Ty Parent | Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces. |
| 188-190 | 3 | Character | Security Type (Parent) | The parent of the type of security that can be settled at the location (see Appendix 5.3, Security Type Codes and Descriptions, on page 13). |
| Clearer Information fields from position 191-776 for a length of 586. | | | | |
| 191-191 | 1 | Character | PI Clr/Corr Name/# | Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces. |
| 192-199 | 8 | Character | Clearer/Correspondent DTC Id Number | Eight-character identifier of the Agent/Broker Clearer or Correspondent; = DTC Participant number if the settlement location is DTC. Right justified, zero filled. |
| 200-210 | 11 | Character | Clearer/Correspondent BIC Number | Optional. Clearer/Correspondent's BIC Number. This field will be blank if not available or if a correlation does not exist. |
| 211-250 | 40 | Character | Clearer/Correspondent Name | Clearing agent/correspondent name as it appears on the ID Master File. |
| 251-251 | 1 | Character | PI Clearer I/A # | Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces. |
| 252-286 | 35 | Character | Clearer Internal Account Number | Optional. Agent/Broker account number at the specified Clearer or Correspondent. |



| Position | Length | Format | Field Name | Record 40-Agent/Broker Sett. Information (Page 6 of 8) |
|----------|--------|-----------|----------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 287-289 | 3 | Character | Clearer Settlement Location Code | <p>The location, denoted by either a depository code (listed below) or country code (see Chapter 3.04, <i>Interactive ID Input/Output Information</i>) where the security is to settle.</p> <p> BRC = Broker Custody CED = Cedel DTC = Depository Trust Company EUR = Euroclear FED = Federal Reserve Bank of New York FNB = First National Bank of Chicago-London GBL = Global PTC = Participants Trust Company US = US Physical OKB = OKB-AG CIK = Caisse Interprofessionnelle Kassa DBC = Deutsche Bourse Clearing AG BKI = BKITALIA MON = MONLETOL NEC = NECIGEF VPC = VPC INT = Intersettle SEG = SEGA CRS = CREST CGO = Central Gilts Office INS = Institutional Net Settlement HKS = Hong Kong Securities Clearance Corp. JAS = Japan Securities Clearance Corp BOJ = Bank of Japan Netting KSC = Korean Securities Clearance Corp OKR = OKR SCD = Singapore Central Depository SET = SET BOV = BOVESPA CDS = Canadian Depository Service IND = Indeval CDV = Caja De Valores S.A. MDV = Mercado De Valores de Buenos Aires SA </p> |
| 290-292 | 3 | Character | Clearer Security Type | <p>Type of security that can be settled at the location (see Appendix 5.3, Security Type Codes and Descriptions, on page 13).</p> |



| Position | Length | Format | Field Name | Record 40–Agent/Broker Sett. Information (Page 7 of 8) |
|----------|--------|-----------|------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 293-295 | 3 | Character | Clearer Method Type | Optional. Identifies another organization at a location that the Clearer clears through, such as a CSD within a country. See Appendix 5.2, Settlement Method Code. |
| 296-298 | 3 | Character | Clearer Currency Type | Optional. The type of currency used in the cash settlement for the trade. This field is associated with the cash account ID. (For Country Codes, see Chapter 3.04, <i>Interactive ID Input/Output Information</i>). |
| 299-301 | 3 | Character | Clearer Security Type Parent | The parent of the type of security that can be settled at the location (see Appendix 5.3, Security Type Codes and Descriptions, on page 13). |
| 302-302 | 1 | Character | PI A/C Type | Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces. |
| 303-304 | 2 | Character | Account Type | Optional. Sub Custodian Safekeeping Account profile. |
| 305-305 | 1 | Character | PI Domicile | Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces. |
| 306-307 | 2 | Character | Domicile | Optional. Country of Domicile for this instruction. (For Country Codes, see Chapter 3.04, <i>Interactive ID Input/Output Information</i>). |
| 308-308 | 1 | Character | PI Tax Rate | Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces. |
| 309-310 | 2 | Numeric | Tax Rate | Optional. Tax rate applicable to this Settlement Instruction. |
| 311-311 | 1 | Character | PI SubCust Name/# | Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces. |
| 312-319 | 8 | Character | Sub-Custodian DTC Id Number | Eight-character identifier of the Subcustodian, branch or depository as defined on the ID Master File. |
| 320-330 | 11 | Character | Sub-Custodian BIC Number | Optional. Sub Custodian’s BIC Number. This field will be blank if not available or if a correlation does not exist. |
| 331-370 | 40 | Character | Sub-Custodian Name | The name of the Subcustodian, branch or depository as defined on the ID Master File. |
| 371-371 | 1 | Character | PI SubCust. Safe # | Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces. |



| Position | Length | Format | Field Name | Record 40-Agent/Broker Sett. Information (Page 8 of 8) |
|----------|--------|-----------|------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 372-406 | 35 | Character | Sub-Custodian Safekeeping Account Number | The safekeeping account number used in the cash side of the trade. |
| 407-407 | 1 | Character | PI Sub Safe Name | Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces. |
| 408-442 | 35 | Character | Sub-Custodian Safekeeping Name | The safekeeping account name at the Sub-Custodian, branch or depository. |
| 443-443 | 1 | Character | PI SubCust. Cash # | Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces. |
| 444-478 | 35 | Character | Sub-Custodian Cash Account Number | Optional. The Demand Deposit Account used in the cash side of the trade. |
| 479-479 | 1 | Character | PI CSD BIC # | Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces. |
| 480-490 | 11 | Character | CSD BIC Number | Optional. Central Securities Depository's BIC Number. This field will be blank if not available or if a correlation does not exist. |
| 491-491 | 1 | Character | PI CSD-Safe # | Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces. |
| 492-526 | 35 | Character | CSD Safekeeping Account Number | Optional. The Central Securities Depository Safekeeping Account Number used in the security side of the trade. |
| 527-527 | 1 | Character | PI CSD Cash A/C # | Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces. |
| 528-562 | 35 | Character | CSD Cash Account Number | Optional. The Central Securities Depository Demand Deposit Account used in the cash side of the trade. |
| 563-563 | 1 | Character | PI Corr Bank BIC # | Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces. |
| 564-574 | 11 | Character | Correspondent Bank BIC Number | Optional. Correspondent Bank BIC Identifier uniquely identifies the bank for cash settlement other than the sub-custodian. This field will be blank if not available or if a correlation does not exist. |
| 575-575 | 1 | Character | PI Corr Cash # | Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces. |



| Position | Length | Format | Field Name | Record 40-Agent/Broker Sett. Information (Page 9 of 8) |
|----------|--------|-----------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------|
| 576-610 | 35 | Character | Correspondent Bank Cash Account Number | Optional. The cash account owned by the Custodian at the Correspondent Bank used in the cash side of the trade. |
| 611-611 | 1 | Character | PI Bene A/C1 Name | Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces. |
| 612-634 | 23 | Character | Beneficial Account Name 1 | Optional. Name (1) of Beneficial account. |
| 635-635 | 1 | Character | PI Bene A/C2 Name | Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces. |
| 636-667 | 32 | Character | Beneficial Account Name 2 | Optional. Name (2) of Beneficial account. |
| 668-668 | 1 | Character | PI Cust A/C Text | Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces. |
| 669-693 | 25 | Character | Custodian Account Text | Optional. Free-form account text. |
| 694-694 | 1 | Character | PI Set Instr. Text | Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces. |
| 695-774 | 80 | Character | Settlement Instruction Text | Optional. Free form Settlement Instruction text. |
| 775-775 | 1 | Character | PI Override Ind | Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces. |
| 776-776 | 1 | Character | Override Indicator | Optional. Indicates that the institution has overridden this instruction. Y = Override. |

RECORD LENGTH: 776



5. Appendix

5.1 Security Type Codes and Descriptions

| Security Type Code | | Security Type Description | (Page 1 of 3) |
|--------------------|-------|-------------------------------------|---------------|
| Parent | Child | | |
| ALL | | All Security Types | |
| CDS | | Corporate-Debt | |
| CER | | Representative Certificate | |
| CON | | Convertible Bonds | |
| CPN | | Coupons | |
| CSH | | U.S. Cash Wire | |
| | CS1 | U.S. Cash Wire number 1 | |
| | CS2 | U.S. Cash Wire number 2 | |
| | CS3 | U.S. Cash Wire number 3 | |
| | CS4 | U.S. Cash Wire number 4 | |
| | CS5 | U.S. Cash Wire number 5 | |
| EBD | | Eurobonds | |
| ECP | | Euro CP | |
| ENT | | Euronotes | |
| FIN | REP | Financial | |
| FPA | | Face or Principal or Nominal Amount | |
| GDS | | Government Debt Securities | |
| | AGS | Agencies | |
| | ITS | Indexed Treasury Securities | |
| | TBI | Treasury Bills | |
| | TRB | Treasury Bonds | |



| Security Type Code | | Security Type Description | (Page 2 of 3) |
|--------------------|-------|------------------------------------|---------------|
| Parent | Child | | |
| | TRN | Treasury Notes | |
| | TBI | Treasury Bills | |
| | TRN | Treasury Notes | |
| | TRB | Treasury Bonds | |
| | TRS | Treasury Strips | |
| MBS | | Mortgage-Backed Securities | |
| | ABS | Asset-Backed Security | |
| | CMO | Collateralized Mortgage Obligation | |
| | FMR | Freddie MAC REMICS | |
| | FNM | Fannie MAE | |
| | FNR | Fannie MAE REMICS | |
| | FRM | Freddie MAC | |
| | GMR | Ginnie MAE REMICS | |
| | GNM | Ginnie MAE | |
| | OMB | Other Mortgage Backed Securities | |
| MMI | | Money Market Instruments | |
| | BAS | Banker's Acceptances | |
| | COD | Certificate Of Deposit | |
| | CPA | Commercial Paper | |
| | ECD | Euro CD | |
| | MTN | Medium Term Notes | |
| | OMM | Other Money Market Instruments | |
| MSC | | Miscellaneous | |
| MUN | | Non-U.S. Sovereign Debt | |



| Security Type Code | | Security Type Description | (Page 3 of 3) |
|--------------------|-------|-----------------------------|---------------|
| Parent | Child | | |
| OPC | | Option Contracts | |
| OPS | | Option Shares | |
| PRC | | Premium Contracts | |
| PRS | | Premium Shares | |
| RTE | | Rentes | |
| RTS | | Rights | |
| SHS | | Equities (Shares) | |
| | WTS | Warrants | |
| TEM | | Tax Exempt Money Markets | |
| | XCP | Tax Exempt Commercial Paper | |
| UNT | | Units | |