



CCF/CCF-II/MDH Transmission Guides

7.01 Deposits (DEPC): Function User's Guide



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1. Objectives of This Chapter

The objectives of this chapter are to give information about:

- The Branch Deposit (DEPC) function (Section 2)
- The requirements for DEPC input transmission files (Sections 3 and 4)
- The requirements for DEPC response records (Sections 5 and 6)

2. The Deposit Function (DEPC): Overview

CCF Users can transmit deposit transaction files to DTC via the Deposit function (DEPC). In response, DTC transmits either machine-readable files indicating any errors that have been detected in those transactions, or a record confirming successful transmission of the deposit transaction file.

It is recommended that Users for whom DEPC transactions are critical should prepare backup procedures for any occasion when CCF is unavailable.

2.1 Transmitting Transactions to DTC

DTC's Computer-to-Computer Facility (CCF) enables data transmission between the Depository Trust Company and its Participants/Users. Users transmit data to DTC, and then receive data in reply from DTC.

To transmit data to DTC, Users must prepare an input file of transactions in the DTC-specified format and an output file to contain response data received from DTC.

The User then executes a software product supplied by DTC (CCFUSER) in order to communicate with DTC's computer system.

The CCFUSER software reads the transaction file and transmits its contents to DTC. DTC responds with a single summary-total record, which provides totals for Users' transactions. In addition, DTC responds with records that detail any errors detected in the transmitted transactions. Depending on the severity of errors detected, DTC can reject an entire transmission. Finally, the CCFUSER software receives the DTC response data and writes it to the User-specified output file.

2.2 DEPC Transmission Cutoff Schedule

The DEPC function is available as often as necessary daily, up to the Cutoff Time of 8:00 p.m. (Eastern Time). DTC processes all deposit transactions received before the cutoff time, but transmissions that begin after the cutoff are rejected without further processing. Likewise, transmissions that are incomplete at Cutoff Time are not accepted.

DTC accepts test DEPC transmissions (where TEST=YES on the CCFUSER control card) during PTS operating hours.



2.3 Required User Programming

Users are responsible for providing software for handling the following steps:

- **File Preparation.** Creating and formatting the Deposits transaction file to be transmitted to DTC via CCF, and the file to contain DTC responses. File preparation details are provided in Appendix C, File Preparation, on page 31.
- **Processing of Edit Error and Summary Total Response Records.** Receiving, processing, correcting, and retransmitting, if necessary, the edit error and summary total response records transmitted to the User in DTC's DEPC Response file. Further information on DEPC response records appears in Section 6, Response File (Output), on page 14, and Section 7, DEPC Response Record Templates, on page 15.

2.4 CCF Editing Criteria

The following standard CCF editing criteria apply to all DEPC Transmission records, unless otherwise specified:

- Numeric fields: right-aligned, with leading zeroes; numeric data only; if unused, initialize to zeroes
- Character fields: left-aligned, with trailing spaces; if unused, initialize to spaces

Failure to comply with the above criteria causes a DEPC record to be rejected. Please ensure that all unused DEPC fields, whether Filler, Optional, Reserved or Not Allowed, are initialized as described above. Any such field containing low values is considered an edit error and causes rejection of the DEPC record.



3. The DEPC Transmission File (Input)

3.1 Deposit Input Records

There are two deposit transaction types that can appear in the Deposit Information record transaction file:

- Regular Deposit Transaction record, Type 10
- REORG Deposit Transaction, consisting of two record types, Type 20 and Type 25

There is also the Transmission Trailer Record, making a total of four possible Records in the Deposit Information record transaction file. These records are listed below, together with the basic rules for their processing within the CCF system.

- **Regular Deposit Input (DEP) Transaction Data Record.** The Input Transaction Data record contains all detailed information regarding each Regular Deposit transaction. The DEPC data record is a Type 10 record.
- **REORG Deposit Input (DEP) Transaction Data Record.** The REORG Deposit Input Transaction Data Record contains all detailed information regarding each REORG DEP transaction. This is a Type 20 record and must always be followed by one or more Type 25 REORG Deposit Certificate Data Records.
- **REORG Deposit Certificate Data Record.** The REORG Deposit Certificate Data Record contains detailed information about each certificate as it relates to each REORG deposit. This is a Type 25 record and is required for each Type 20 record. DTC accepts a maximum of 20 Type 25 records in a REORG transaction group.
- **Transmission Trailer Record.** The Transmission Trailer Record contains control information for all DEPC transactions in a transmission. The DEPC Trailer Record is a type 99 record and must be included as the last record of the DEPC transmission, though it is not to be included in record count tabulations. DTC verifies totals appearing in the DEPC Trailer Record. If a trailer record is transmitted as anything but the last record of a transmission, DTC cancels the entire transmission.

There is no limit to the number of transactions the CCF/DEPC function accepts in any one transmission. It is suggested that the number of transactions in a single transmission be limited for recovery purposes.

3.2 DEPC Transmission Editing

DTC performs as much editing as possible in order to give Users maximum response information. However, if a transmission contains any of the following "severe" errors, DTC cancels the entire DEPC transmission:

- an invalid record type (not Types 10, 20, 25 or 99)
- a record sequence error; for example, the last record transmitted is not the Trailer (DEPC 99)



- a numeric Trailer Record field with non-numeric data
- a Trailer Record total does not match the DTC-calculated total for all data records received. This happens either if the Trailer total is incorrect or if the corresponding field on any data record contains non-numeric data.

3.3 DEPC Transaction Editing

The Deposit Input system accepts one Data Record for each Regular Deposit transaction and two records for each REORG Deposit Transaction. An edit error in a transaction causes that transaction record to be rejected. An error in one record can cause a two-record set transaction to be rejected.

However, DTC accepts partial transmissions for the DEPC function. If any DEP transactions are deemed valid, the DEPC transmission is considered accepted, and the valid DEPC records are processed by DTC, provided that no severe errors are detected.

The following edit errors cause a DEP transaction to be rejected:

- a field with invalid data
- a field not properly formatted; for example, non-numeric data in a numeric field
- an unused field not properly initialized (see Section 5, DEPC Transmission Record Templates, on page 5)



4. DEPC Transmission Record Templates

This section contains templates for DEPC Transmission Records. Please ensure that the CCF editing criteria apply in all cases (see Section 2.3, CCF Editing Criteria, on page 2).

4.1 DEP Transaction Data Record (DEP 10)

The DEP Transaction requires a single 250-character record, described in the following table.

DEP Data Record (DEP 10) Format (Part 1 of 3)				
Position	Length	Format	Field Name	Field Description
1	2	Character	Record Type	10
3	8	Numeric	Participant/ Depository Facility Number	00nnnnnn ID of the DTC Participant/depository facility submitting the Deposit instruction
11	2	Numeric	Filler	DTC use only; do not use.
13	9	Character	CUSIP Number	9-character issue identifier
22	1	Numeric	Filler	DTC use only; do not use.
23	13	Numeric	Share Quantity	The quantity of whole shares per Deposit instruction
36	5	Numeric	Fractional Share Quantity	The quantity of fractional shares per Deposit instruction (zeroes if not used)
41	3	Numeric	Deposit Type	<i>nnn</i> valid deposit type (see Appendix A. Valid Deposit Types on page 28) Note. Additional Deposit Types can be added in the future. For updates of Deposit Types, contact Participant Interface Planning.
44	5	Numeric	Number of Certificates	<i>nnnnn</i> total Number of certificates included in the deposit instruction (optional) If not used, initialize with zeroes
49	15	Character	Reference Number	15-character Participant-assigned customer identifier (optional) If not used, initialize with spaces



DEP Data Record (DEP 10) Format (Part 2 of 3)				
Position	Length	Format	Field Name	Field Description
64	8	Numeric	Participant Number	00nnnnnn ID of the depositing Participant; only if DEPOSIT TYPE = 003, 008, 013, 016, 019, 021 or 022, otherwise initialize to zeroes
72	8	Numeric	ADR Transfer Number	8-digit American Depository Receipt Number (optional); if not used, initialize to zeroes
80	8	Numeric	Deposit Activity Date	mmdccyy date of physical receipt of certificates at DTC and crediting to Participant's position; must be equal to or later than date of transmission
88	4	Numeric	Branch Number	nnnn ID of Participant's branch submitting the deposit (optional) If not used, initialize to zeroes
92	3	Numeric	Record Sequence Number	nnn number used to link this record with other records depositing certificates with the same: CUSIP Number, Participant Number and deposit type (optional) if not used, initialize to zeroes
95	12	Character	Certificate Number #1	12-digit number of the 1st certificate (optional); if not used, initialize to spaces
107	12	Character	Certificate Number #2	12-digit number of the 2nd certificate (optional); if not used, initialize to spaces
119	12	Character	Certificate Number #3	12-digit number of the 3rd certificate (optional); if not used, initialize to spaces
131	12	Character	Certificate Number #4	12-digit number of the 4th certificate (optional); if not used, initialize to spaces
143	12	Character	Certificate Number #5	12-digit number of the 5th certificate (optional); if not used, initialize to spaces
155	12	Character	Certificate Number #6	12-digit number of the 6th certificate (optional); if not used, initialize to spaces
167	12	Character	Certificate Number #7	12-digit number of the 7th certificate (optional); if not used, initialize to spaces



DEP Data Record (DEP 10) Format (Part 3 of 3)				
Position	Length	Format	Field Name	Field Description
179	12	Character	Certificate Number #8	12-digit number of the 8th certificate (optional); if not used, initialize to spaces
191	12	Character	Certificate Number #9	12-digit number of the 9th certificate (optional); if not used, initialize to spaces
203	12	Character	Certificate Number #10	12-digit number of the 10th certificate (optional); if not used, initialize to spaces
215	1	Character	Same Day/Next Day indicator	Optional field: 'N'; indicates Next Day Processing. All other values will be treated as Same Day.
216	35	Character	Filler	DTC use only; do not use.



4.2 DEP REORG Transaction Records (DEP 20 and 25)

The DEP REORG transaction consists of two types of records, each consisting of a 250-character record:

- REORG Deposit Input (DEP) Transaction Data Record (Type 20)
- REORG Deposit Certificate Data Record (Type 25)

The REORG Deposit Input Transaction Data Record must be followed by one or more REORG Deposit Certificate Data Records.

4.2.i REORG Deposit Input Transaction Data Record (Type 20)

The REORG Deposit Input Transaction Data Record requires a single 250-character record, described in the following table:

REORG Deposit Input Transaction Data Record–Type 20 (Part 1 of 3)				
Position	Length	Format	Field Name	Field Description
1	2	Character	Record Type	20 REORG Data Record
3	8	Numeric	Participant/Depository Facility Number	8-digit identifier of DTC Participant/depository facility submitting deposit instruction
11	2	Numeric	Filler	DTC use only; do not use.
13	9	Character	CUSIP Number	9-character issue identifier
22	1	Numeric	Filler	DTC use only; do not use.
23	13	Numeric	Share Quantity	Quantity of shares per REORG Deposit instruction
36	5	Numeric	Fractional Share Quantity	Quantity of fractional shares per REORG Deposit instruction Initialize to zeroes
41	3	Character	Deposit Type	<i>nnn</i> valid deposit type (see Appendix A, Valid Deposit Types, on page 28) Note: Additional Deposit Types can be added in the future. For updates of Deposit Types, contact Participant Interface Planning.



REORG Deposit Input Transaction Data Record–Type 20 (Part 2 of 3)				
Position	Length	Format	Field Name	Field Description
44	5	Numeric	Number of Certificates	<i>nnnnn</i> total number of REORG Type 25 certificates included in this DEP instruction
49	15	Character	Reference Number	(Optional) unique Participant-assigned customer identifier Spaces if not used
64	8	Numeric	Participant Number	8-digit identifier of depositing Participant, if deposit is submitted by a depository facility Initialize to zeroes
72	8	Numeric	ADR Transfer Number	(Optional) American Depository Receipt number Zeroes if not used
80	8	Numeric	Deposit Activity Date	<i>mmddccyy</i> date when DTC physically receives certificates and Participant's position is credited; must be same as or later than date of transmission
88	4	Numeric	Branch Number	<i>nnnn</i> (optional) number of Participant's branch submitting the deposit Zeroes if not used
92	3	Numeric	Filler	DTC use only; do not use.
95	8	Numeric	RIPS Redemption Date	<i>ccyymmdd</i> redemption date; Zeroes if not used Note: Required for REORG Partial Calls (Deposit Types 26, 27 and 28). Optional for other deposit types.



REORG Deposit Input Transaction Data Record–Type 20 (Part 3 of 3)				
Position	Length	Format	Field Name	Field Description
103	3	Numeric	Next Coupon Number	<i>nnn</i> next coupon number to be clipped Zeroes if not used Note: Required for REORG Partial Calls (Deposit Types 25 and 28). Optional for other deposit types.
106	1	Character	Same Day/Next Day indicator	Optional field: 'N'; indicates Next Day Processing. All other values will be treated as Same Day.
107	144	Character	Filler	DTC use only; do not use.



4.2.ii REORG Deposit Certificate Data Record (Type 25)

The REORG Deposit Certificate Data Record requires a single 250-character record, described in the following table.

REORG Deposit Certificate Data Record–Type 25				
Position	Length	Format	Field Name	Field Description
1	2	Character	Record Type	25 REORG Certificate Data record
3	8	Numeric	Participant/ Depository Facility Number	8-digit identifier of Participant or depository facility submitting the deposit instruction
11	2	Numeric	Filler	DTC use only; do not use.
13	9	Character	CUSIP Number	9-character issue identifier
22	1	Numeric	Filler	DTC use only; do not use.
23	5	Character	Certificate Prefix	Certificate prefix associated with deposit
28	7	Character	Certificate Number	Certificate number associated with deposit
35	13	Numeric	Called Quantity	Called quantity Zeroes if not used Note: Required for REORG Partial Calls (Deposit Types 26, 27 and 28. Optional for other deposit types.
48	13	Numeric	Certificate Denomination	Denomination of certificate
61	5	Numeric	Fractional Denomination	(Not currently available) Fractional denomination of certificate. Initialize to zeroes.
66	183	Character	Filler	DTC use only; do not use.



4.3 DEPC Transmission Trailer Record (DEPC 99)

The Trailer Record is required as the last record of each DEPC transmission. The 250-character DEPC 99 Trailer Record is described in the table below.

DEPC Trailer Record (DEPC 99) Format (Part 1 of 2)				
Position	Length	Format	Field Name	Field Description
1	2	Character	Record Type	99
3	1	Character	Filler	DTC use only; do not use.
4	8	Numeric	Signon ID	00nnnnnn ID of User submitting the DEPC trans-mission file
12	7	Numeric	Total Record Count	nnnnnnn total number of data records in this DEPC transmission, exclusive of the trailer record; must equal the DTC-calculated total record count
19	14	Numeric	Total Share Quantity	Total number of shares in all the data records in this DEPC transmission; must equal the DTC-calculated total share number
33	1	Character	Fractional Share Quantity Indicator	F there are fractional shares Space there are no fractional shares Note: Set to F if Regular Deposits record (Type 10) contains fractional shares; otherwise space
If Fractional Share Quantity Indicator = space				
34	217	Character	Filler	If Fractional Share Quantity Indicator (position 33) = Space: Spaces



DEPC Trailer Record (DEPC 99) Format (Part 2 of 2)				
Position	Length	Format	Field Name	Field Description
If Fractional Share Quantity Indicator = F				
34	15	Numeric	Total Fractional Share Quantity	9(10)V9(5) total quantity of fractional shares in Type 10 records in this DEPC transaction; must = DTC-calculated total fractional share quantity for Type 10 records
49	202	Character	Filler	DTC use only; do not use.



5. DEPC Response Records (Output)

After the end of DEPC transmission, DTC returns to Participants a Response file containing two types of computer-readable records: the DEPC Summary Total Record and the DEPC Control Error Record.

These response records are written by the CCFUSER software to the file specified by the DDOUT keyword on the FUNCTION control card. It is then the Users' responsibility to process the records for their own business needs; for example, to determine which of the DEPOSIT transactions have been accepted or rejected, or to obtain other information regarding the status of the DEPC transmission.

The DEPC Response file contains the DEPC Summary Total Record and the DEPC Control Error Record, which are described below.

5.1 DEPC Summary Total Record

Always the first record in the DEPC Response file, the DEPC Summary Total Record contains summary information regarding an entire DEPC transmission, including totals for accepted and rejected DEP records.

The Summary Total Record has an Error Severity Indicator at position 18 that contains a coded value to inform the User about the number of errors detected in the DEPC transmission. CCFUSER "ERROR" keyword processing (described in Appendix D, CCFUSER "ERROR" Keyword Processing, on page 32) is based on the value of this indicator.

5.2 DEPC Control Error Records

DEPC Control Error records, if any, follow the Summary Total Record and are returned to the User in response to any DEP edit errors within the DEPC transmission. One Control Error Record is created for each input transaction record in which one or more errors are detected.



6. DEPC Response Record Templates

6.1 DEPC Summary Total Record

A single, computer-readable Summary Total Record is always the first record in DTC's DEPC Response file. It contains summary information about the entire DEPC transmission.

The length of the Summary Total Record (including the 4-character MVS-required prefix for variable-length record files) is 350 bytes. The format of the Summary Total Record appears below.

DEPC Summary Total Record Format (Part 1 of 5)					
Position	Length	Format	Field Name	Field Description	
1	2	Binary	Record Length	9(04) COMP	summary total record length (standard MVS field for variable length record files)
3	2	Binary	(MVS field)	9(04) COMP	binary zeroes (standard MVS field for variable length record files)
5	1	Binary	Record Type	7	
6	1	Bits	CCF Flags	Bit 1 ON Bit 1 OFF	no control error records control error records follow Note: The first CCF Flag (bit) in this field indicates the existence of control error records in the DEPC Response file. The last seven bit-flags are currently not used.
7	3	Character	Filler	DTC use only; do not use.	
10	4	Binary	Record Sequence Number	9(08) COMP	always = 1



DEPC Summary Total Record Format (Part 2 of 5)				
Position	Length	Format	Field Name	Field Description
14	4	Binary	Number of Control Errors	9(08) COMP number of control error records to follow in the DEPC Response file Note: This also normally indicates the number of DEP transaction records for which edit errors were detected.
18	1	Character	Error Severity Indicator	A code for the number of errors detected; value used for ERROR keyword processing by CCFUSER 0 zero transactions in error 1 1–5 transactions in error 2 6–15 transactions in error 3 16+ transactions in error 9 a critical error occurred, resulting in cancellation of the entire transmission
19	5	Character	Filler	DTC use only; do not use.
Severe Error Flags				
A set of 10 one-character error flags, defined in the following boxed fields, specifying reasons for cancellation.				
<ul style="list-style-type: none"> • If the transmission is accepted, each flag contains the value "-". • If the transmission is cancelled, the flags containing the value "X" provide the reasons for cancellation. 				
24	1	Character	Flag #1	X Invalid record type found
25	1	Character	Flag #2	Not used
26	1	Character	Flag #3	X final record was not a Trailer Record (DEPC 99)
27	1	Character	Flag #4	X trailer record contains non-numeric fields
28	1	Character	Flag #5	X trailer record total(s) did not match DTC-calculated totals for records received



DEPC Summary Total Record Format (Part 3 of 5)				
Position	Length	Format	Field Name	Field Description
29	1	Character	Flag #6	X every data (DEP 10 or 20) record contains errors.
30	1	Character	Flag #7	X trailer record signon ID not equal to transmission signon ID
31	3	Character	Flags #8-10	Not used
34	5	Numeric	Total Valid Records	<i>nnnnn</i> number of valid error-free Type 10, 20 and 25 records received by DTC
39	5	Numeric	Total Invalid Records	<i>nnnnn</i> number of records containing errors received by DTC Note: Any record not included within TOTAL VALID RECORDS is included here, including invalid DEPC 99 records.
44	5	Numeric	Total Record Received	<i>nnnnn</i> number of all records, including DEPC 99 records, received by DTC
49	5	Numeric	Total Valid Deposits	<i>nnnnn</i> number of valid Type 10 Records received
54	5	Numeric	Total Invalid Deposits	<i>nnnnn</i> number of invalid Type 10 records received, including unidentifiable record types
59	14	Numeric	Total Valid Share Quantity	Number of valid shares received for Type 10 records
73	14	Numeric	Total Invalid Share Quantity	Number of invalid shares received for Type 10 records, including unidentifiable record types
87	14	Numeric	Total Share Quantity	Total number of shares received for Type 10 records



DEPC Summary Total Record Format (Part 4 of 5)				
Position	Length	Format	Field Name	Field Description
101	50	Character	Filler	DTC use only; do not use.
151	1	Character	Test Transmission Indicator	Y test transmission N live (production) transmission
152	4	Numeric	Transmission ID Number	<i>nnnn</i> User-assigned number of this DEPC transmission
156	4	Character	CCF Function Name	DEPC
160	8	Character	Response Transmission Date	<i>mm/dd/yy</i> date the DEPC Response transmission was sent
168	8	Character	Response Transmission Time	<i>hh:mm:ss</i> time the DEPC Response transmission was sent
Positions 176 through 220: Fractional Shares Type 10 (spaces if not used)				
176	15	Numeric	Total Valid Type 10 Fractional Share Quantity	9(10)V9(5) number of valid Type 10 fractional shares received by DTC
191	15	Numeric	Total Invalid Type 10 Fractional Share Quantity	9(10)V9(5) number of invalid Type 10 fractional shares received by DTC
206	15	Numeric	Total Type 10 Fractional Share Quantity	9(10)V9(5) total number of Type 10 fractional shares received by DTC
Positions 221 through 287: REORG Deposits Types 20 and 25 (spaces if not used)				
221	5	Numeric	Total All REORG Records	<i>nnnnn</i> number of all REORG records received by DTC, including both Type 20 and Type 25 records



DEPC Summary Total Record Format (Part 5 of 5)				
Position	Length	Format	Field Name	Field Description
226	5	Numeric	Total Valid Type 20 REORG Records	<i>nnnnn</i> number of valid (error-free) Type 20 REORG records received by DTC
231	5	Numeric	Total Invalid Type 20 REORG Records	<i>nnnnn</i> number of Type 20 records containing errors received by DTC (any records not included in position 226, Total Valid Type 20 REORG Records)
236	5	Numeric	Total Valid Type 25 REORG Records	<i>nnnnn</i> number of valid (error-free) Type 25 REORG records received by DTC
241	5	Numeric	Total Invalid Type 25 REORG Records	<i>nnnnn</i> number of Type 25 records containing errors received by DTC (any records not included in position 236, Total Valid Type 25 REORG Records)
246	14	Numeric	Total Valid Type 20 Share Quantity	Number of valid Type 20 shares received by DTC
260	14	Numeric	Total Invalid Type 20 Share Quantity	Number of invalid Type 20 shares received by DTC
274	14	Numeric	Total Type 20 Share Quantity	Number of Type 20 shares received by DTC
288	63	Character	Filler	DTC use only; do not use.



6.2 DEPC Control Error Record

If any errors are encountered when DTC edits the DEPC transactions, a Control Error Record follows the Summary Total Record in DTC's DEPC Response file.

One Control Error Record is created for each input transaction record in which edit errors are detected; that is, multiple errors detected in a single DEPC Transaction record are reported in a single Control Error Record. In some cases, however, a single User error can cause multiple Control Error Records.

The length of each Control Error Record (including the 4-character MVS-required prefix for variable-length record files) is 350 characters. The format of the Control Error Record is described in the table below. Please note that the CCF standard 64 bytes of error flags (boxed fields) begins in position 287.

DEPC Control Error Record Format (Part 1 of 8)				
Position	Length	Format	Field	Field Description
1	2	Binary	Record Length	9(04) COMP control error record length (standard MVS field for variable-length record files)
3	2	Binary	(MVS field)	9(04) COMP binary zeroes (standard MVS field for variable-length record files)
5	1	Binary	Record Type	9
6	1	Bits	CCF Flags	Bit 1 ON this is the last control error record Bit 1 OFF more control error records follow Note: The first CCF Flag (bit) in this field indicates the final control error record; that is, the end of the DEPC Response file. The last seven bit-flags are currently not used.
7	3	Character	Filler	DTC use only; do not use.



DEPC Control Error Record Format (Part 2 of 8)				
Position	Length	Format	Field	Field Description
10	4	Binary	Record Sequence Number	9(04) COMP sequence number of this record, relative to the beginning of the DEPC Response file Note: The sequence number of the first Control Error Record is 2.
14	5	Character	Filler	DTC use only; do not use.
19	7	Character	DEPC (Input) Transmission Record Sequence Number	Sequence number of the DEPC (Input) Transmission record that corresponds to this Control Error Record, relative to the beginning of the DEPC Transmission file Example: If the 10th DEPC Transmission contained edit errors, its corresponding Control Error Record contains 10 in this field. Note: If this is a mixed transmission, regular deposits (Type 10) can be placed before REORG deposits (Types 20 and 25).
26	11	Character	Filler	DTC use only; do not use.
37	250	Character	Erroneous DEPC Transmission Record	A copy of the entire erroneous DEPC Transmission record appears in this field



DEPC Control Error Record Format (Part 3 of 8)

Position	Length	Format	Field	Field Description
Error Flags 1–64				
<p>Each of the sixty-four 1-character error flags defined in the following boxed fields specify why the record is considered to contain an error. A record can be in error for one or more reasons.</p> <p>There are four sets of error flags, corresponding to the records in the input transmission:</p> <ul style="list-style-type: none"> • General Error Flags (see below on page 22) • Deposit Data 10 Record Error Flags (see below on page 22) • Deposit Data 20 Record Error Flags (see below on page 24) • Deposit Data 25 Record Error Flags (see below on page 26) • DEPC Trailer 99 Record Error Flags (see below on page 27) <p>To interpret the flags:</p> <ul style="list-style-type: none"> • If the flag is set to "X", the corresponding reason applies to this record. • If the flag is set to '-', the corresponding reason does not apply to this record. <p>Of the 64 flags, some are not currently in use and many apply only to specific record types.</p>				
General Error Flags				
287	1	Character	Flag #1: Record Type	X record type is not equal to 10, 20, 25 or 99
288	58	Character	Flags #2–59	Not used
346	1	Character	Flag #60: Record Out of Sequence	X record does not follow the required REORG group sequence
Deposit Data 10 Record Error Flags				
288	1	Character	Flag #2: Participant/ Depository Facility Number	X Participant/depository facility number not supplied or not valid
289	1	Character	Flag #3: Participant/ Depository Facility Number	X Participant/depository facility number not equal to SIGNON
290	1	Character	Flag #4: CUSIP Number	X CUSIP number is invalid



DEPC Control Error Record Format (Part 4 of 8)				
Position	Length	Format	Field	Field Description
291	1	Character	Flag #5: Share Quantity	X share quantity is not greater than zero or non-numeric
292	1	Character	Flag #6: Fractional Share Quantity	X fractional share quantity is non-numeric
293	1	Character	Flag #7: Deposit Type	X deposit type is not a valid type
294	1	Character	Flag #8: Deposit Type	X deposit type = a FACILITY deposit and the Participant number = zero
295	1	Character	Flag #9: Number of Certificates	X number of certificates is non-numeric
296	1	Character	Flag #10: Participant Number	X Participant number is non-numeric
297	1	Character	Flag #11: Participant Number	X Participant number greater than zero and deposit type not equal to 003, 008, 013, 016, 019, 021 or 022
298	1	Character	Flag #12: ADR Transfer Number	X ADR transfer number is non-numeric
299	1	Character	Flag #13: Deposit Activity Date	X deposit activity date is non-numeric; or not equal to or greater than current date; or not a DTC business date
300	1	Character	Flag #14: Branch Number	X branch number is non-numeric
301	1	Character	Flag #15: Record Sequence Number	X record sequence number is non-numeric
302	1	Character	Flag #16: Cutoff Time	X past cutoff time for deposit function
303	1	Character	Flag #17: CUSIP Fractional Shares	X CUSIP not eligible for fractional shares



DEPC Control Error Record Format (Part 5 of 8)				
Position	Length	Format	Field	Field Description
304	47	Character	Flags # 18–64	Not used for Type 10 records
Deposit Data 20 Record Error Flags				
288	1	Character	Flag #2: Participant/ Depository Facility Number	X Participant/depository facility number not supplied or not valid
289	1	Character	Flag #3: Participant/ Depository Facility Number	X Participant/depository facility number not equal to SIGNON
290	1	Character	Flag #4: CUSIP Number	X CUSIP number is not valid
291	1	Character	Flag #5: Share Quantity	X share quantity is not greater than zero or is non- numeric
292	1	Character	Flag #6: Fractional Share Quantity	X (not currently available) fractional share quantity is non-numeric
293	1	Character	Flag #7: Deposit Type	X deposit type is not a valid type
294	1	Character	Flag #8	Not used for DEP Type 20 record
295	1	Character	Flag #9: Number of Certificates	X number of certificates is non-numeric or = zero
296	1	Character	Flag #10: Participant Number	X Participant number is non-numeric
297	1	Character	Flag #11	Not used for DEP Type 20 record
298	1	Character	Flag #12: ADR Transfer Number	X ADR transfer number is non-numeric



DEPC Control Error Record Format (Part 6 of 8)				
Position	Length	Format	Field	Field Description
299	1	Character	Flag #13: Deposit Activity Date	X deposit activity date is non-numeric; or not equal to or greater than current date; or not a DTC business date
300	1	Character	Flag #14: Branch Number	X branch number is non-numeric
301	1	Character	Flag #15	Not used for DEP Type 20 record
302	1	Character	Flag #16: Cutoff Time	X past cutoff for deposit function
303	1	Character	Flag #17: CUSIP Fractional Shares	X (not currently available) CUSIP not eligible for fractional shares
304	1	Character	Flag #18: Number of Certificates	X number of certificates does not equal the sum of all Type 25 records; or exceeds the limit of 20 records per REORG Type 25 grouping
305	1	Character	Flag #19: Share Quantity	X share quantity does not equal to the sum of all certificate denominations on Type 25 record
306	1	Character	Flag #20: RIPS Redemption Date	X redemption date is non-numeric or is invalid for deposit Types 26, 27 or 28
307	1	Character	Flag #21: Next Coupon Number	X next coupon number is non-numeric or is invalid for deposit Types 25 or 28
308	38	Character	Flags #22–59	Not used for DEP Type 20 record
346	1	Character	Flag #60: Filler	DTC use only; do not use.
347	1	Character	Flag #61: REORG Group Error	X error in Type 20 or Type 25 record (causes rejection of entire group)
348	3	Character	Flags #62–64	Not used for DEP Type 20 record



DEPC Control Error Record Format (Part 7 of 8)				
Position	Length	Format	Field	Field Description
Deposit Data 25 Record Error Flags				
288	1	Character	Flag #2: Participant/ Depository Facility Number	X Participant/depository facility number not supplied, or is invalid, or is not equal to record Type 20 Participant number
289	1	Character	Flag #3: Participant/ Depository Facility Number	X Participant/depository facility number not equal to SIGNON
290	1	Character	Flag #4: CUSIP Number	X CUSIP number is invalid or is not equal to CUSIP number in Type 20 record
291	1	Character	Flag #5: Certificate Prefix	X certificate prefix is invalid
292	1	Character	Flag #6: Certificate Number	X certificate number is invalid
293	1	Character	Flag #7: Called Quantity	X called quantity is non-numeric or is not valid for deposit Types 26, 27 or 28
294	1	Character	Flag #8: Certificate Denomination	X certificate denomination is non-numeric
295	1	Character	Flag #9: Fractional Certificate Denomination	X (not currently available) fractional certificate denomination is non-numeric
296	8	Character	Flags #10–17	Not used for DEP Type 25 record
304	1	Character	Flag #18: Number of Certificates	X number of certificates exceeds the limit of 20 records per REORG Type 25 grouping
305	41	Character	Flags #19–59	Not used for DEP Type 25 record
346	1	Character	Flag #60 Filler	DTC use only; do not use.



DEPC Control Error Record Format (Part 8 of 8)				
Position	Length	Format	Field	Field Description
347	1	Character	Flag #61: REORG Group Error	X error in Type 20 or Type 25 record (causes rejection of entire group)
348	3	Character	Flags #62–64	Not used for DEP Type 25 record
DEPC Trailer 99 Record Error Flags				
287	1	Character	Flag #1 Record Type	X record type not equal to trailer type 99
288	59	Character	Flags #2–60	Not used for DEPC Trailer Record
347	1	Character	Flag #61: Signon Number	X Signon ID does not match Participant/Depository Facility Number
348	1	Character	Flag #62: Total Record Count	X total record count non-numeric or does not match DTC-calculated record count.
349	1	Character	Flag #63: Total Share Quantity	X total share quantity is non-numeric or does not match DTC-calculated Share Quantity Total
350	1	Character	Flag #64: Total Fractional Share Quantity	X total fractional share quantity is non-numeric or does not match DTC-calculated fractional share quantity total (for Type 10)



Appendix A. Valid Deposit Types

Additional Deposit Types can be added in the future. For updates of Deposit Types, please contact Participant Interface Planning at DTC.

Valid DEPOSIT Types	
Deposit Code	Deposit Type
001	Regular
002	Legal
003	Facility
004	CNS
005	Full Service
008	Facility Legal
009	CNS Legal
011	ADR Regular
012	ADR Legal
013	ADR Facility
014	ADR CNS
015	ADR Full Service
016	ADR Facility Legal
017	ADR CNS Legal
018	CNS Full Service
019	Facility Full Service
020	ADR CNS Full Service
021	ADR Facility Full Service
022	CNS Facility
023	REORG Corporate Maturity/Full Call
024	REORG Muni Registered Maturity/Full Call
025	REORG Muni Bearer Maturity/Full Call
026	REORG Corporate Partial Call
027	REORG Registered Partial Call
028	REORG Muni Bearer Partial Call
029	Mandatory REORG



Appendix B. CCF Recovery and Backup Procedures

If a Deposit transmission abnormally terminates while the User is transmitting data to DTC, the User is required to retransmit that batch in its entirety. DTC strongly suggests that Users limit the amount of transactions in any single transmission. (An approximate restriction might be 2,000 transactions.)

Details of the exact procedures to be followed in the event that restart is necessary are provided the CCF User's Guide (Section titled *The CCF User Using the CCFUSER Software: Recovery Procedures*).

I. Backup for CCF

If, for any reason, a User is unable to use CCF to submit his Deposit Information Record transactions via CCF, DTC Participant Interface Planning must be notified immediately, and the User must refer to Appendix B.II, Magnetic Tape Backup, below.

II. Magnetic Tape Backup

The User must prepare a magnetic tape containing his Deposit Information Record transactions. This magnetic tape must have the following characteristics:

- Non-labelled
- 1600/6250 bpi
- RECFM = FB
- LRECL = 250
- BLKSIZE = Efficient Block Size

The User must send this tape with the appropriate external label to DTC via messenger. DTC submits the transactions from the magnetic tape and returns the magnetic tape containing the transactions to the User.

Participants that, in an emergency, are not able to deliver a magnetic tape to DTC via messenger before the appropriate Cutoff Time for Deposit processing (see Section 2.1, DEPC Transmission Cutoff Schedule, on page 1), are responsible for making other arrangements for backup in case of modem or telephone equipment failures.



Participants must realize that when using CCF to submit transactions to DTC, they are bound by computer and data communications equipment availability at their site. DTC can not afford to delay its entire processing cycle in order to accommodate equipment failures at any Participant site. *It is strongly suggested that all Deposit Users maintain redundant CCF equipment (computers, communication controllers, modems, telephone lines, etc).*

IN NO EVENT WILL DTC ACCEPT ANY RESPONSIBILITY FOR A PARTICIPANT'S INABILITY TO SUBMIT DEPOSIT TRANSACTIONS.



Appendix C File Preparation

In order to use the DEPC function to transmit Deposits Transactions, Users must prepare two files:

- A transaction file containing the DEPC Transactions (see Section 3. The DEPC Transmission File [Input], on page 5). The DEPC Transaction File must have the following characteristics:

RECFM	F or FB
LRECL	250
BLKSIZE	any valid multiple of 250

The DDNAME representing this file must be specified as the value for the DDIN keyword on the FUNCTION=DEPC control card input to CCFUSER.

- A file to contain the DEPC responses received from DTC. The DEPC response file must have the following characteristics:

RECFM	VB
LRECL	1504
BLKSIZE	1508

The DDNAME representing this file must be specified as the value for the DDOUT keyword on the FUNCTION=DEPC control card input to CCFUSER.

This file must be set up to contain enough space for one Error Record per input transaction record, plus One Summary Total Record for the entire transmission. See Section 5, DEPC Response Records (Output), on page 14.



Appendix D CCFUSER “ERROR” Keyword Processing

The CCF User's Guide describes an “ERROR” keyword that can be coded on the FUNCTION=DEPC control card that is part of the input to CCFUSER. CCFUSER processes DEPC transmission errors, as discussed in the CCF User's Guide, on the basis of the instructions passed via the “ERROR” keyword.

“ERROR” keyword processing by CCFUSER is also based on the value of the Error Severity Indicator in the Summary Total Record. A value of zero indicates that no edit errors were detected, while a non-zero value indicates the existence of errors.