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SECURITIES PROCESSING

CF2/MQ TRANSMISSION GUIDES / 14.16 DIRECT REGISTRATION SYSTEM -
DRSPRO FUNCTION GUIDE

JANUARY 4, 2019



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Doc Info: January 4, 2019

Publication Code: DEP103

Service: Securities Processing

Title: CF2/MQ Transmission Guides

14.16 Direct Registration System - DRSPRO Function Guide

DOCUMENT HISTORY

01/04/19 Added description for Customer's Broker Dealer Account Number in Position 65 of which the first 30 characters represent the CBRS Transfer Control Number.

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- 2. DRS ICM RECORD - Length 5006

1. OBJECTIVES OF THIS CHAPTER

This document describes the ICM File layout for the DRS (Direct Registration System).

DTC sends a daily (transmission time to be determined) CCF Transmission of all the new DRS requests initiated by Participants to the Transfer Agents (TA). The TA may approve or reject these requests via the PTS terminal or by sending an ICM transmission back to DTC.

2. DRS ICM RECORD - LENGTH 500

The input record layout for the DRS Profile Modification is defined below. This record contains a transaction header and application detail data and has a record length of 500. The transaction header is prefixed to every application record. The field layout of the 26 byte header is defined as:

Position	Length	Format	Field Name	DRS CCF Record Description
1	1	Character	Message Type Indicator	Indicates an output message. This field is to be left blank on input.
2	1	Character	Test/Production Indicator	Indicates if the transaction is to be processed in the Test or Production environment. This is a required field. Values are: T = Test P = Production Must be "P" for all DTF messages.
3	6	Character	Record Type	Value = "DRSPRO"
9	2	Numeric	Record Suffix	Indicates the Record # on single and multiple Data Records within a transaction.
11	2	Numeric	Version Number	Indicates the version (e.g., latest or previous format) the data is in.
13	6	Character	User Reference Number	Used by the transmitting party to uniquely identify the transaction (optional).
19	8	Character	Addressee	The entity on behalf of which the transaction is being processed. Right justified, left zero filled for full numeric addressees or Mnnnnnnn for non-full numeric addressees.
DRS Profile Modification Record - Length 474				
This application data has 1 record type defined as follows:				
27	8	Character	LPA number	The ID number of the LPA.
35	8	Character	Participant Number	The ID number of the Participant that initiated this request.
43	13	Character	Transaction ID	Transaction ID.
56	9	Character	CUSIP number	An industry standard ID number used to identify a security.
65	37	Character	Customer Account Number	This 37 byte field is the Customer's Broker Dealer Account Number + Unique Identifier (left justified space filled). Please note that only the first 30 characters represent the Cost Basis Reporting Service

Position	Length	Format	Field Name	DRS CCF Record Description
				(CBRS) Transfer Control Number (which is a 30 character field).
102	25	Character	DRS Account number	DRS Account Number.
127	9	Character	Tax ID	Tax ID will equal: 999999999 (Non-Resident Alien) Or 111111111 (US Investor, Tax ID Unknown)
136	8	Character	Surety or Insurance Number	Profile Surety / Profile Insurance Number
144	40	Character	Broker Dealer/ Correspondent	Participant's firm name or Correspondent's name.
184	9	Numeric	Transfer Quantity	Quantity being transferred. Will be zeroes when the 'Move All Available Whole Shares Code' (position 413) equals 'A', 'T' or 'P'; otherwise, the quantity will be greater than zeros.
193	210	Character	Customer Registration	Registration required if tax ID equal: 999999999 (Non-Resident Alien) Or 111111111 (US Investor, Tax ID Unknown) Exactly as noted on customer's statement
403	1	Character	NRA Indicator	"Y" = Non-Resident Alien (Foreign Investor)
404	9	Character	Second Tax ID	Second Tax ID Number
413	1	Character	Move All Available Whole Shares Code	Option to move all shares 'A' – move all available whole shares, sell fractions 'T' – move all available whole shares, sell fractions, terminate the account 'P' – move all available whole shares, keep fractions
414	8	Numeric	Process Date	CCYYMMDD – Date the broker's profile request was approved by the T/A. This field to be used at a future date to be determined.
422	8	Numeric	Return Date	CCYYMMDD – Date the LPA delivered the shares to the broker. This field to be used at a future date to be determined.
430	71	Character	Filler	Value = Spaces

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