

DO Reason Code	Description
060	*Net balance order
061	Net balance order rec DK
062	Net balance order rec wrong qty
063	Net balance order rec wrong sec
064	Net balance order rec wrong money
065	Net balance order rec partial
066	Net balance order rec a/c info
067	Net balance order rec needs due bill
068	Net balance order reclaim partial–rec partial return
070	*Del vs pymt, use SPO for (D/B)
071	*Fail to deliver
072	Fail to deliver reclamation
073	Delivery to CNS
074	*SPO mark–to–market
075	SPO mark–to–market reclaim
076	Institutional delivery reclaim
077	*ID/NIDS
078	Trade–for–trade freeze
079	Frozen security reclamation
080	Inventory/free movement
081	Repo Tracking (SDFS Only – non Commercial Paper)
082	Generated CPI Issuance Delivery
083	CP Early Maturity
084	*PPO Options Premium
085	PPO Options Premium Reclaim
086	Municomparison Trade Settlement
087	*DVP–Due Bill, (D/B)/check spent
088	ACATS – 412 – DO
089	S/B "Night Secondary Offering"
090	S/B "DTC Input – Underwriting Dept"
091	DTC Correction

DO Reason Code	Description
092	Delivery on Warrant Exercise
093	DTC set – PTS Stock Loan
094	DTC set adj – Part PTS Problem
095	ACATS Valued (Reduces MEMO SEG Position)
096	DTC set adj - Reclaim Interface
097	Delivery vs. Payment (Reduces MEMO SEG Position)
098	Transfer of Account (Prevents MEMO SEG Position Reduction)
099	Bulk Transfer of Account
101	MMI Issuance DO Reclaim DK
102	MMI Issuance DO Reclaim Wrong Quantity
103	MMI Issuance DO Reclaim Wrong Security
104	MMI Issuance DO Reclaim Wrong Money
105	MMI Issuance DO Reclaim Partial
106	MMI Issue DO Reclaim Need More A/C Info
107	MMI Issuance DO Reclaim Needs Due Bill
108	MMI Issuance DO Reclaim Rec Partial Ret
109	MMI Issuance DO Wrong Rate
110	MMI Issue DO Wrong Safekeeping A/C NBR
111	MMI Issuance DO Wrong Maturity Date
112	MMI Issuance DO Should Be Discounted
113	MMI Issue DO Should Be Interest Bearing
120	MMI DO Redelivery
121	MMI DO Reclaim DK
122	MMI DO Reclaim Wrong Quantity
123	MMI DO Reclaim Wrong Security
124	MMI DO Reclaim Wrong Money
125	MMI DO Reclaim Partial
126	MMI DO Reclaim Need More A/C Info
127	MMI DO Reclaim Needs Due Bill
128	MMI DO Partial Rec Partial Ret
129	MMI DO Wrong Rate

DO Reason Code	Description
130	MMI DO Wrong Safekeeping A/C Number
131	MMI DO Wrong Maturity Date
132	MMI DO Should Be Discounted
133	MMI DO Should Be Interest Bearing
134	MMI SECONDARY DO - BYPASS FUNDING DECISION
135	MMI SECONDARY DO – RECLAIM BYPASS FUNDING DECISION
200	SFT Stock Loan Note All SFT Reason codes will only apply to DTC/NSCC account 881. Only Reason Code “200” can be input by the Participant; all others will be input by the SFT NSCC service.
201	SFT Stock Loan Return Note All SFT Reason codes will only apply to DTC/NSCC account 881. Only Reason Code “200” can be input by the Participant; all others will be input by the SFT NSCC service.
280	ADR Stock Loan (untracked)
281	ADR Stock Loan Reclaim DK
282	ADR Stock Loan Reclaim Wrong Quantity
283	ADR Stock Loan Reclaim Wrong Security
284	ADR Stock Loan Reclaim Wrong Money
285	ADR Stock Loan Reclaim Partial
286	ADR Stock Loan Need More A/C Info
287	ADR Stock Loan Needs Due Bill
288	ADR Stock Loan Partial Rec Partial Ret
290	ADR Stock Loan Return (untracked)
291	ADR Stock Loan Return DK
330	Direct Rollover To IRA
331	Direct Rollover To IRA Rec DK
332	Direct Rollover To IRA Rec Wrong Quantity
333	Direct Rollover To IRA Rec Wrong Security

DO Reason Code	Description
334	Direct Rollover To IRA Rec Wrong Money
335	Direct Rollover To IRA Rec Partial
336	Direct Rollover To IRA Rec Need More A/C Info
337	Direct Rollover To IRA Rec Needs Due Bill
338	Direct Rollover To IRA Rec Partial Rec Partial Ret
340	Direct Rollover To Qualified Plan
341	Direct Rollover To Qualified Plan Reclaim DK
342	Direct Rollover To Qualified Plan Rec Wrong Quantity
343	Direct Rollover To Qualified Plan Rec Wrong Security
344	Direct Rollover To Qualified Plan Rec Wrong Money
345	Direct Rollover To Qualified Plan Rec Partial
346	Direct Rollover To Qualified Plan Need More A/C Info
347	Direct Rollover To Qualified Plan Need Due Bill
348	Direct Rollover To Qualified Plan Partial Rec Partial Ret
530	IPO Direct Concession
531	IPO Direct Concession Reclaim DK
532	IPO Direct Concession Rec Wrong Quantity
533	IPO Direct Concession Rec Wrong Security
534	IPO Direct Concession Rec Wrong Money
535	IPO Direct Concession Rec Partial
536	IPO Direct Concession Rec Need A/C Info
537	IPO Direct Concession Rec Needs Due Bill
538	IPO Direct Concession Partial Rec Partial Ret
539	ID IPO Directed Concession
540	IPO Syndicate Over Subscribed
541	IPO Over Subscribed Reclaim DK
542	IPO Over Subscribed Rec Wrong Quantity
543	IPO Over Subscribed Rec Wrong Security
544	IPO Over Subscribed Rec Wrong Money
545	IPO Over Subscribed Rec Partial
546	IPO Over Subscribed Rec Need A/C Info

DO Reason Code	Description
547	IPO Over Subscribed Rec Needs Due Bill
548	IPO Over Subscribed Partial Rec Partial Ret
549	ID IPO Over Subscribed
550	IPO Syndicate Directed and Over Subscribed
551	IPO Syndicate (550) Reclaim DK
552	IPO Syndicate (550) Rec Wrong Quantity
553	IPO Syndicate (550) Rec Wrong Security
554	IPO Syndicate (550) Rec Wrong Money
555	IPO Syndicate (550) Rec Partial
556	IPO Syndicate (550) Rec Need A/C Info
557	IPO Syndicate (550) Rec Needs Due Bill
558	IPO Syndicate (550) Rec Partial Rec Partial Ret
559	ID IPO Syndicate Directed and Over Subscribed
560	ID Foreign Distribution
600	Collateral DO
601	Collateral DO Reclaim DK
602	Collateral DO Rec Wrong Quantity
603	Collateral DO Rec Wrong Security
605	Collateral DO Rec Partial
606	Collateral DO Rec Needs A/C Info
607	Collateral DO Rec Needs Due Bill
608	Collateral DO Prtl Rec Partial Ret
609	Collateral DO Recall
610	Collateral DO Return
611	Collateral DO Ret Rec DK
612	Collateral DO Ret Rec Wrong Qty
613	Collateral DO Ret Rec Wrong Sec
615	Collateral DO Ret Rec Partial
616	Collateral DO Ret Rec A/C Info
617	Collateral DO Ret Rec Need Due Bill
618	Collateral DO Ret Prtl Rec Prtl Ret

DO Reason Code	Description
619	Collateral DO Recall Reclamation
620	Balance Order
621	Balance Order Rec DK
622	Balance Order Rec Wrong Qty
623	Balance Order Rec Wrong Sec
624	Balance Order Rec Wrong Money
625	Balance Order Rec PRTL
626	Balance Order Rec A/C Info
627	Balance Order Rec Due Bill
628	Balance Order Prtl Rec Prtl Ret

4.4 Valid PO Reason Codes

The DTC-defined reason (for payment) code. Valid PPO (Premium Payment Order), SPO (Premium Payment Order), and SFT (Securities Financing Transaction) Clearing service reason codes are shown below:

PO Reason Code	Description
PO	PPO Options Premium Payment - Put
P1	PPO Options Premium - Put Reclaim
P2	PPO Options Premium Payment - Call
P3	PPO Options Premium - Call Reclaim
SO	SPO Mark to Market
S1	SPO Mark to Market Reclaim
S2	SPO Due Bill Redemptions
S3	SPO Due Bill Redemptions Reclaim
S4	SPO Mark to Market/Fail
S5	SPO Mark to Market/Fail Reclaim
S6	SPO Buy in/Pair Off
S7	SPO Buy in/Pair Off Reclaim
S8	SPO Fail Pair Off
S9	SPO Fail Pair Off Reclaim
SE	<p>SFT Price Differentials</p> <p>SFT Price Differentials are considered payment orders. These are systemically processed by NSCC with no manual input required.</p> <hr/> <p>Note</p> <p>All SFT Reason codes will only apply to DTC/NSCC account 881. Only Reason Code "200" can be input by the Participant; all others will be input by the SFT NSCC service.</p> <hr/>

RELEASE NOTES

- 09/02/2021 As part of the Securities Financing Transaction (SFT) Clearing service, added Reason codes "200" SFT Stock Loan and "201" for SFT Stock Loan Return. SFT Price Differentials, which are considered payment orders, have a Reason code of "SE." All SFT Reason codes will only apply to DTC/NSCC account 881. Only Reason Code "200" can be input by the Participant; all others will be input by the SFT NSCC service.
- Updated the document to remove references to the Security Holder Tracking Service. E.g., Removed "042" Security Holder Tracking Service from position 417 in the Expanded Transaction Type field.
- 08/19/2019 Revised position 55 Action Code to include "3" Overlay. Revised positions 56 Transaction Type, 417 Expanded Transaction Type, and 545 New Expanded Transaction Type to include "014" Payment Order; "130" Memo Seg; as well as "210" and "211" for Stock Loan and Repo. Revised position 420 Expanded Account Type to include "MSG" for Memo Seg, "SLN" for Stock Loan, and "RPO" for Repo.
- 10/02/2018 Revised position 3 Status Code to include code "8" Submitted to Optimizer.
- 09/05/2018 Created document. In the event of a needed Disaster Recovery—used for settlement status transaction reconciliation.

Note

Items in red show the differences between this disaster recovery function DTFMTX and DTFPART.

FOR MORE INFORMATION

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