



## **CCF/CCF-II/MDH Transmission Guides**

# **13.13 Restricted Denomination Issues Change File (DRICHG) via CCF and CCF-II: Function User's Guide**



Copyright © 1999 by The Depository Trust Company (“DTC”). All rights reserved. This work is proprietary and is intended for the exclusive use of DTC’s Participants and other users of DTC’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 DTC’s prior written permission.



## 13.13 DRICHG User's Guide

### Table of Contents

Section	Page
<b>1. Objectives of This Chapter</b> .....	<b>1</b>
<b>2. Overview</b> .....	<b>1</b>
2.1 The DRICHG Function .....	1
2.2 DRICHG Transmission Modes .....	1
2.3 DRICHG Availability .....	1
2.4 Holiday Processing .....	2
<b>3. Record Formats</b> .....	<b>3</b>
3.1 CCF Header Record .....	3
3.2 CCF-II Header and Trailer Records .....	4
3.3 Standard ICM Transaction Header .....	5
3.4 The DRICHG Detail Record .....	6
<b>4. CCF and CCF-II Tape Backup Procedure</b> .....	<b>7</b>

## **1. Objectives of This Chapter**

The objectives of this chapter are to:

- Describe the DRICHG function
- Illustrate required file formats.

## **2. Overview**

The DTC DRICHG function permits a User/Participant to request a series of machine-readable records listing Restricted Denomination Issues. Each machine-readable record will contain the CUSIP number, eligible indicator, minimum shares allowed, usable increment of shares above the minimum, and MAA indicator.

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

### **2.1 The DRICHG Function**

The DRICHG function enables Participants to download a daily file of all Restricted Denomination Issue records on DTC's CUSIP master database. The information received via the DRICHG function will contain all the eligible CUSIPs which DTC shows to be in restricted denominations. This information is available in machine-readable format via CCF/CCF-II.

### **2.2 DRICHG Transmission Modes**

DRICHG files are available via CCF and CCF-II. Users requesting DRICHG via CCF receive a file consisting of a CCF Header Record followed by the DRICHG detail records. Users requesting DRICHG via CCF-II receive a file consisting of CCF-II Header and Trailer records separated by the detail records.

The formats for the CCF Header Record, CCF-II Header and Trailer Records and the DRICHG records are described in the following sections.

### **2.3 DRICHG Availability**

DRICHG is normally available from approximately 6:00 a.m. to 4:00 p.m. (Eastern Time) the following business day.

### **2.4 Holiday Processing**



- All Closed: Banks, Exchange and DTC Closed (New Year's Day, Martin Luther King Day, Presidents' Day, Memorial Day, July 4th, Labor Day, Thanksgiving Day, and Christmas Day) – The file for the business day preceding the holiday is generated that night, and will be available the morning of the holiday. The file will be available until a new file is generated the night of the next business day (i.e., the first business day after the holiday).
- Banks Closed, Exchange Open and DTC Open (Columbus Day, Veterans Day) – The file for the business day preceding the holiday will be generated that night, and will be available by the morning of the holiday. This file will be available until a new file is generated the night of the holiday.
- Banks and DTC Open, Exchange Closed (Good Friday) – The file for the business day preceding the holiday will be generated that night, and will be available by the morning of the holiday. This file will be available until a new file is generated the night of the holiday.



### 3. Record Formats

#### 3.1 CCF Header Record

The first record on the DRICHG function file is a Header Record when “Header=Yes” is specified as a CCFDTFDB parameter. It contains information regarding the creation of the file.

NDM users executing NDMDTF01, or RJE 3770 users executing RJESDTF2, will receive the CCF Header Record (below).

Position	Length	Format	Field Name	CCF Header Record Field Description
1	6	Character	Data Type Requested	<b>DRICHG.</b> (In special instances where data must be reloaded this name will correspond with the SPECx name.)
7	6	Character	Data Type Created	DRICHG.
13	8	Character	Creation date	mm/dd/yy.
21	8	Character	Spool Date	mm/dd/yy.
29	8	Character	Load Time	hh:mm:ss.
37	2	Numeric	Record Size	Size of each data record.
39	4	Numeric	Block Count	Number of data blocks input to CCFDTFDB.
43	4	Numeric	Record Count	Number of data records.
47	???	Character	Filler	For DTC use only.



### 3.2 CCF-II Header and Trailer Records

The format of each CCF-II Header and Trailer Record is described below. Please note that the Header and Trailer Records are identical except for the first and last fields of each record.

NDM Users executing NDMDTF01 and RJE 3770 Users executing RJESDTF2 will receive the CCF Header Record shown on the previous page.

Position	Length	Format	Field Name	CCF-II Header and Trailer Record Field Description
1	3	Character	Record Identifier	HDR or TLR.
4	4	Character	Signon ID	Signon ID.
8	6	Character	Data Type Requested	DRICHG. (In special instances where data must be reloaded this name will correspond with the SPECx name.).
14	6	Character	Data Type Required	DRICHG.
20	8	Character	Creation Date	mm/dd/yy.
28	8	Character	Spool Date	mm/dd/yy.
36	8	Character	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.
60	15	Character	Filler	DTC use only.
75	6	Numeric	Sequence Number	Used as a Data Integrity Check. HDR 000000 TRL 999999



### 3.3 Standard ICM Transaction Header

The first 26 bytes of each record returned contains the following standard ICM header information:

Position	Length	Format	Field Name	ICM Transaction Header Field Description
1	1	Character/ Numeric	Feedback Indicator	An * (asterisk) indicates an output message in the new format.
2	1	Character/ Numeric	Test/Production Indicator	P = indicates a Production message. T = indicates a Test message.
3	6	Character/ Numeric	Record Type	Value is DRICHG.
9	2	Character/ Numeric	Record Suffix	Value is always "01."
11	2	Character/ Numeric	Version Number	Indicates which version of the data record formats are being used. The value for phase 1 is always "01."
13	6	Character/ Numeric	Filler	Spaces.
19	8	Character/ Numeric	Addressee	N/A on generic files. Default is Spaces.





### 3.4 The DRICHG Detail Record

Position	Length	Format	Field Name	ICM Transaction Header Field Description
27	2	Character	Filler	DTC use only; do not use.
29	9	Character	CUSIP Number	
38	1	Character	Filler	DTC use only; do not use.
39	9	Numeric	Minimum Share Quality Allowed	In units of 1 (no fractions).
48	9	Numeric	Incremental Share Quantity Allowed	In units of 1 (no fractions).
57	1	Numeric	MAA Indicator	*Minimum Authorized Amount (MAA) Indicator (see below) 0 = not subject to MAA editing 1 = subject to MAA editing.
58	1	Character	MAA Change	A = Add C = Change D = Delete.
59	42	Character/ Numeric	Filler	Spaces.

\* Minimum Authorized Amount (MAA) Indicator - This field indicates if a security is subject to minimum authorized amount editing. Certain issues establish minimum denomination levels for transactions in securities of the issue, usually to qualify for some exemption from regulatory requirements by limiting purchasers of the issue to larger, presumably sophisticated investors. If the issue is a debt issue and the value is greater than or equal to 100,000, the MAA indicator is set to 1.



#### 4. CCF and CCF-II Tape Backup Procedure

If critical data cannot be retrieved via CCF/CCF-II due to modem or telephone equipment failure, Users must contact the DTC Customer Support Center to arrange for a magnetic tape to be prepared containing the desired data. The User must then send a messenger to retrieve the tape.

The magnetic tape is formatted in the following ways:

For CCF Users

1. Non-labeled
2. 1600/6250 bpi
3. RECFM = VB
4. LRECL = 1504
5. BLKSIZE = 1508

For CCF-II Users

1. Non-labeled
2. 1600/6250 bpi
3. RECFM = FB
4. LRECL = Refer to the specific User Guide
5. BLKSIZE = Efficient block size

The tape is formatted like a CCF/CCFII transmission. CCF Users must use CCFDTFDB to deblock the tape.

If magnetic tape is not a viable alternative, users must either wait until their equipment problems are resolved or (if possible) use the Participant Terminal System (PTS). If problems are resolved same day and the function is available, the data can be received normally.

If the problems are not quickly resolved, DTC can make the User's data available within the next five business days by using a backup procedure for delivering non-current data. The data is spooled out to the database using a special data type name ("SPECx", where "x" is a one-character numeric) and must be requested by the User using this data type name.