



IMPORTANT NOTICE

National Securities Clearing Corporation

A #:	9733
P&S:	9306
Date:	March 25, 2026
To:	ALL MEMBERS AND LIMITED MEMBERS
Category:	FUND SOLUTIONS
From:	WEALTH & INVESTMENT SOLUTIONS – FUND SOLUTIONS
Attention:	MANAGER MUTUAL FUNDS OPERATIONS, MANAGER DATA PROCESSING, MANAGER CASHIERS, MANAGER P&S DEPARTMENT
Subject:	Mutual Fund to ETF Share Class Exchange – Liquidation of Residual Shares Automated Solution, Accelerated Settlement for Networking Activity Files, and Additional Enhancements to Fund/SERV to Support MF to ETF Share Class Exchanges

Effective **July 13, 2026**, National Securities Clearing Corporation (NSCC) will deliver an **automated solution for Residual Shares resulting from a Mutual Fund to ETF Share Class Exchange**.

A Mutual Fund to ETF Share Class Exchange may result in a residual balance of mutual fund shares in the shareholder’s account, which may either be retained in the account or liquidated. NSCC has defined and developed a **streamlined, automated solution for liquidation of the residual amounts via Networking Activity Record F55**.

This advancement represents a significant milestone in NSCC’s support and automation of ETF Dual Share Classes through its Fund Solutions’ offerings. With the automation of the MF to ETF Share Class Exchange process via Fund/SERV¹ and the implementation of MF Info Xchange “MF to ETF Share Class Exchange Blackout Period” communication template² well underway, the Residual Amount Liquidation capabilities will further enhance automation for ETF Dual Share Classes.

Additionally, Networking Activity Records F55 submitted to NSCC after midnight, reflect activity processed at the fund on the previous business day. These transactions are settled one business day following their receipt at NSCC, thus resulting in a T+2 settlement from the transaction date at the fund. **To accelerate the settlement of all Networking Activity transactions** (including Residual Amount Liquidations) processed via Networking Activity Record F55, all transactions received within the cycle time outlined by the Transmission

¹ Important Notices a9680 (issued on November 24, 2025) and a9692 (issued on December 16, 2025).

² Important Notice a9722 (issued on February 26, 2026).

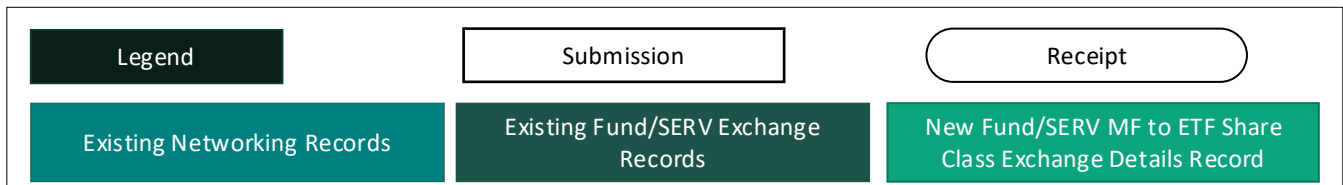
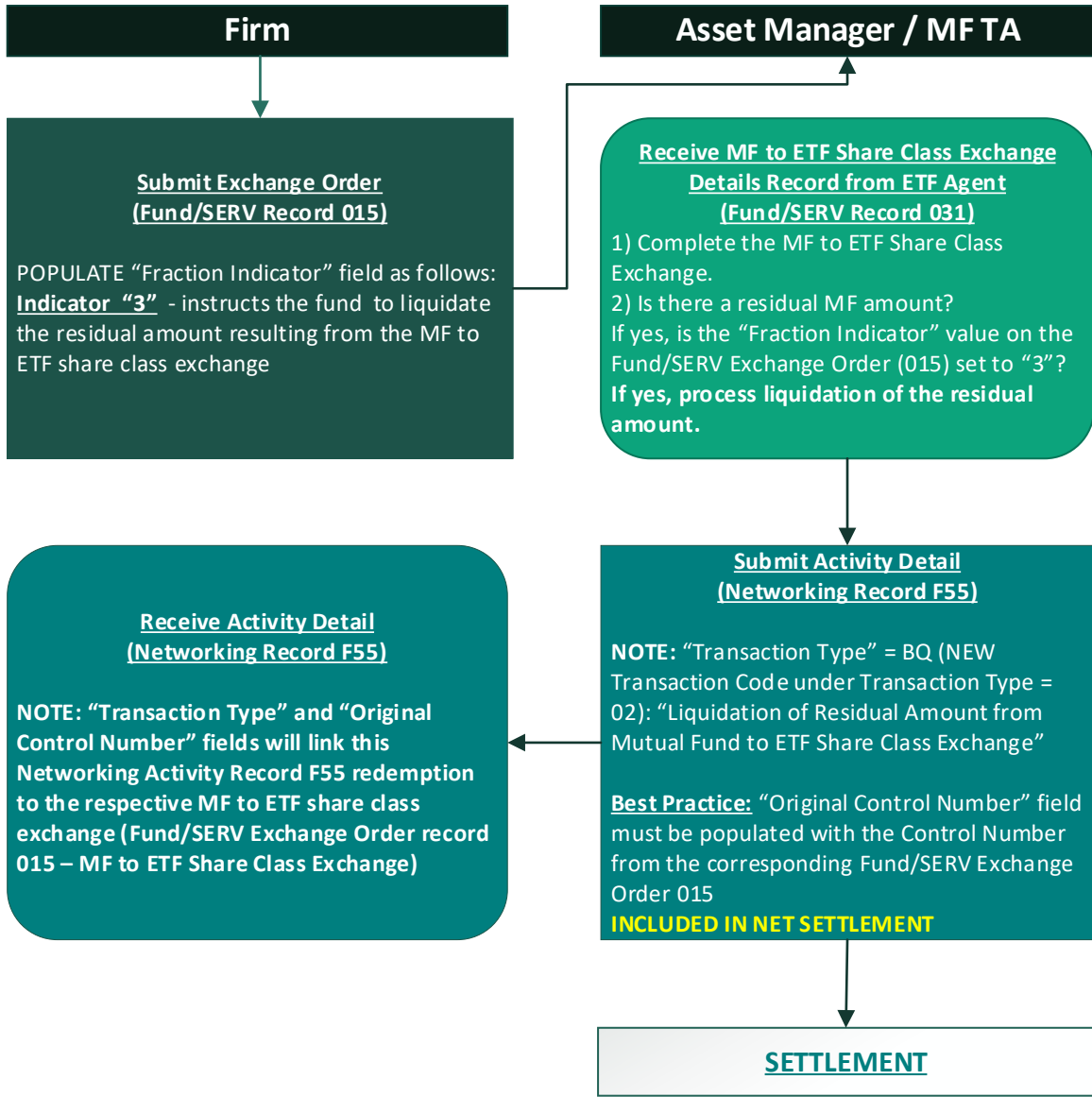
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Schedule on a business day will be settled on that same business day. Transitioning to same-day settlement at NSCC will enhance operational efficiency and align all Networking payments (including Residual Amount Liquidations) with the T+1 industry standard.

The table below illustrates the current and updated accelerated settlement timeline for transactions processed via Networking Activity Record F55:

Transaction processed at the Fund on:	Networking Activity Record F55 Received by NSCC on (the next day since after midnight):	Current Settlement Is on (which is T+2 from Transaction Processing at the Fund):	Updated Settlement Will be on (which will be T+1 from Fund Processing):
Monday	Tuesday (1AM – 5AM ET)	Wednesday	Tuesday
Tuesday	Wednesday (1AM – 5AM ET)	Thursday	Wednesday
Wednesday	Thursday (1AM – 5AM ET)	Friday	Thursday
Thursday	Friday (1AM – 5AM ET)	Monday	Friday
Friday	Saturday (1AM – 5AM ET)	Monday	Monday
Saturday	Monday (1AM – 5AM ET)	Tuesday	Monday

Pictorial view of the Residual Amount Liquidation Flow



To facilitate seamless Residual Amount Liquidation, NSCC will enhance Fund/SERV and Networking as follows:

1. Fund/SERV Enhancements

- To allow firms to instruct funds to liquidate a residual amount resulting from a MF to ETF Share Class Exchange transaction, a new indicator will be added to the existing “Fraction Indicator” field on the Fund/SERV Exchange Order record 015:

Field Name	Len	Type	Description	O/R	Reject Code
Fraction Indicator	1	A/N	1 = Issue fraction 2 = Liquidation fraction 3 = Liquidate residual amount resulting from MF to ETF Share Class Exchange “3” is allowed when “Transaction Type” = “E”. Not allowed otherwise. <u>Best Practice:</u> “3” will instruct the fund to liquidate any residual amount resulting from the MF to ETF Share Class Exchange. In the event the MF to ETF Share Class Exchange resulted in a residual amount and this indicator is populated with “3”, the fund will liquidate the residual amount via Networking Activity Record F55.	R	014

- Add a new indicator to the existing “Fraction Indicator” field on the Fund/SERV Exchange Confirmation record 016:

Field Name	Len	Type	Description	O/R	Reject Code
Fraction Indicator	1	A/N	1 = Issue fraction 2 = Liquidation fraction 3 = Liquidate residual amount resulting from MF to ETF Share Class Exchange “3” is allowed when “Transaction Type” = “E”. Not allowed otherwise. <u>Best Practice:</u> The value in this field must match the value provided by the firm on the corresponding Exchange Order 015 record.	R	014

2. Networking Activity Record F55 Enhancements:

- To clearly indicate a residual amount liquidation, a new Transaction Code “BQ” will be added under Transaction Type = “02”. Records with Transaction Type “BQ” will be included in net settlement.

Field Name	Len	Type	Description	O/R
Transaction Type	2	A/N	01 = Direct Purchase 02 = Direct Redemption Create new sub-code “BQ” under Transaction Type “02” – “Liquidation of Residual Amount from MF to ETF Share Class Exchange” 03 = Pre-Authorized Check (PAC) 04 = Check Redemption 05 = LOI Adjustment 06 = ROA Adjustment 07 = Dividend Adjustment 08 = Long Term Capital Gain Adjustment 09 = Fund Price Adjustment 10 = Exchange Ex-Fund/SERV 11 = Fiduciary Fees 12 = Reinvest from other Fund 13 = Direct Transfer 14 = Systematic Withdrawal Plan 15 = Exchange Fee 16 = Certificate Deposit 17 = Short Term Cap Gain Adjustment 18 = Dividend Related Transaction 19 = N/A 20 = N/A 21 = Share Adjustment 22 = Share Class Exchange 23 = Fund Merger Activity 24 = Purchase Cancellation 25 = Redemption Cancellation 26 = Gain on Collectables Adjustment 27 = Section 1202 Gain Adjustment 28 = Un-recaptured Section 1250 - Gain Adjustment 29 = Fund Closing 30 = Small Balance Liquidation 31 = Target Payment Plans 32 = Accrual Adjustment 33 = Transfer From - Cancellation 34 = Transfer To - Cancellation 35 = Direct Voluntary Cross Class Exchange 50 = Closing balance record Note: Transaction Description Codes can also be used. For a complete list of Transaction Description Codes please refer to the “Networking Transaction Codes” list at https://dtcclearning.com/products-and-services/mutual-fund-services/codes.html Transaction Description Codes “AZ=Initial Purchase” and “A@=Subsequent Purchase” added as sub-category codes under Transaction Type “01=Direct Purchase”.	R

Field Name	Len	Type	Description	O/R
			<u>Best Practice for direct purchase transaction description codes:</u> <ul style="list-style-type: none"> Transaction Description Codes "AZ=Initial Purchase" and "A@=Subsequent Purchase" should be used in lieu of Transaction Type "01=Direct Purchase". Direct Purchase transactions that utilize Transaction Description Codes (other than AZ and A@) listed under Transaction Type "01=Direct Purchase" on the Networking Transaction Codes list should continue to provide these sub-category codes. 	

- To link the residual amount liquidation activity to the respective Fund/SERV MF to ETF Share Class Exchange transaction, the "Original Control Number" field will be Required for Transaction Type = BQ and the "Original Control Number Indicator" field must be set to "1".

Field Name	Len	Type	Description	O/R
Original Control Number	15	A/N	Required if Transaction Type 13 ("Direct Transfer") or BQ ("Liquidation of Residual Amount from MF to ETF Share Class Exchange") in record F55 sequence #1. Best Practice: When Transaction Type = BQ ("Liquidation of Residual Amount from MF to ETF Share Class Exchange"), this field must be populated with the "Control Number" from the corresponding Fund/SERV Exchange Order 015.	OC
Original Control Number Indicator	1	A/N	Required if Original Control Number field in record F55 sequence #4 is populated. 1 = Fund/SERV Control Number 2 = Networking Control Number 3 = Manual Reference Number "1" is Required if Transaction Type = BQ ("Liquidation of Residual Amount from MF to ETF Share Class Exchange")	OC

Note: Networking Activity F55 transactions with Transaction Type = BQ will be settled in accordance with the established settlement process applicable to all Transaction Type = 02 transactions, including those with associated sub-codes. In order to include these transactions in net settlement, "Cash Disbursement Indicator" field must be set to "0" or "6":

Field Name	Len	Type	Description	O/R
Cash Disbursement Indicator	1	A/N	Required for Transaction Type 02 (including Transaction Description Code starting with 'B'), 07, 08, 14, 17, 29, 30, and 31. <ul style="list-style-type: none"> 0 = Cash To Firm (Settlement through NSCC Generates Record (N75) for Transaction Types 02 (including Transaction Description Code starting with 'B'), 14, 29, 30 and 31 only) 1 = Firm 2 = Customer 3 = Payee (for Dividends) 4 = Cross Fund Reinvestment 5 = 1099 Update Only 6 = Cash to Trust (Settlement through NSCC Generates Record (N75) for Transaction Types 02 (including Transaction Description Code starting with 'B'), 14, 29, 30 and 31 only) 	OC

To build on the upcoming automated MF to ETF Share Class Exchange solution, NSCC will make improvements to Fund/SERV as outlined below:

To process a MF to ETF Share Class Exchange, firms require both “From” and “To” information on the Fund/SERV Exchange Confirmation 016 Record. This includes the number of shares, dollar amount and NAV. While most of the pertinent “From” and “To” fields are required on Record 016, the “Exch From Share Quantity” field is Optional/Conditional.

To maintain consistency in reporting the number of exchanged Mutual Fund shares, the “Exch From Share Quantity” field on the Exchange Confirmation 016 Record will be Required when Transaction Type = E.

Field Name	Start	End	Len	Type	Description	Opt/Req	Reject Code
Exch From Share Quantity	8	21	14	N	9,999,999,999.9999 Required if Transaction Code = 06 and Exch From Money Amount (Gross) = 0 <u>Required if Transaction Type = E.</u> Must be populated with the exact number of mutual fund shares which will be exchanged out of the shareholder's account.	OC	019

TESTING

Effective **June 12, 2026**, clients can begin testing in the Participant Services Environment (PSE).

Clients are strongly encouraged to test and must contact their Relationship Manager before testing begins if access to PSE has not been previously established.

DOCUMENTATION

Updated documentation will be available on the DTCC Learning website on or about **April 30, 2026**.

Clients can find more information on Fund/SERV and Networking at <https://dtcclearning.com/>.

Questions and comments regarding this Important Notice may be directed to your Relationship Manager or Wealth & Investment Solutions by visiting the [DTCC Client Center](#).

Yana Granovskiy
Product Manager

DTCC Wealth & Investment Solutions

Appendix

Record layouts

The Appendix is for informational purposes only and may not represent the final record layouts. NSCC reserves the right to make additional changes prior to implementation.

1. Fund/SERV Exchange Order 015 – Fixed

Exchange Order (015) Record 1 of 5

Required

Record 1 of 5 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Physical Sequence Number	1	2	2	A/N		R	004
Logical Sequence Number	3	4	2	A/N	01	R	004
Originator Type	5	5	1	A/N	A = Investment Agent B = Firm T = TPA S = Service Provider for B = Firm P = Service Provider for T = TPA V = TPP (Third Party Provider)	R	187
Filler	6	7	2	A/N	Space	R	
Firm Number	8	11	4	N		R	008
Filler	12	14	3	A/N	Space	R	
Record Type	15	17	3	A/N	015 = Exchange Order Not permitted if the Security Issue Type field value is 63 and Settlement Override Reason Code field value is space	RC	002/275
Test Indicator	18	18	1	A/N	0 = Production 1 = Test	R	122
Filler	19	19	1	A/N	Space	R	
Fund Number	20	23	4	N		O	100
Filler	24	26	3	A/N	Space	R	

Record 1 of 5 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Security Issue Country Code (Exch From)	27	28	2	A/N	Space. For future use	R	
Security Issue ID (Exch From)	29	37	9	A/N		R	007
Security Issue Check Digit (Exch From)	38	38	1	A/N	Space. For future use	R	
Security Issue Type (Exch From)	39	40	2	A/N	<p>Required if 24 (Money Market)</p> <hr/> <p>Notes:</p> <p>Input: With the exception of Security Issue Type = 24, NSCC does not validate the value against the Fund/SERV Security master file. NSCC leverages the Fund/SERV Security master file to determine value and associated processing rules.</p> <p>Output: NSCC populates with the value in the Fund/SERV Security master file.</p> <hr/>	OC	150
Control Number	41	55	15	A/N		R	005
Filler	56	56	1	A/N	Space	R	
Transaction Type	57	57	1	A/N	<p>6 = Exchange to new account</p> <p>7 = Exchange to existing account</p> <p>C = Voluntary Cross Class Exchange to new account</p> <p>D = Voluntary Cross Class Exchange to existing account</p> <p>E = Exchange to ETF Share Class*</p> <p>*No settlement when Transaction Type = E (Exchange to ETF Share Class). Therefore, Exchange Money Amounts will not appear in the settlement/x-settlement reports.</p>	R	017
Transaction Code	58	59	2	A/N	<p>05 = Full exchange</p> <p>06 = Partial exchange</p>	R	018
Submission Date	60	67	8	N	mmddccyy	R	101

Record 1 of 5 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Trade Date	68	75	8	N	mmddccyy	R	016
Book/Physical Share Indicator	76	76	1	A/N	1 = Exchange from book shares to book shares 2 = Exchange from book shares to physical shares	R	015
PI Delivery Indicator	77	77	1	A/N	Required if Book/Physical Share Indicator = 2. 0 = Deliver to customer 1 = Deliver to firm 2 = Deliver to agent for firm	OC	039
Filler	78	78	1	A/N	Space	R	
Settlement Override Reason Code	79	80	2	A/N	Required (but must not be 04) if Anticipated Settlement Date is provided. 01 = Wrap fee account 02 = 401K 03 = Other 04 = X-settlement 05 = Section 529 Account—Qualified State Tuition Program 06 = X-settlement offshore enhanced (allowed for Security Type 62 and 63 only) Not allowed when Transaction Type = E* *No settlement when Transaction Type = E (Exchange to ETF Share Class). Therefore, Exchange Money Amounts will not appear in the settlement/x-settlement reports.	OC	179
NSCC Rejection Indicator	81	81	1	A/N	Input: Space Output: 0 = Accepted by NSCC 1 = Rejected by NSCC 2 = Rejected by NSCC, multiple errors	R	
NSCC Reject Code	82	84	3	A/N	Input: Space Output: Reject code	R	

Record 1 of 5 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
TPA/Investment Agent/TPP Number	85	88	4	A/N	Required if: Originator Type = (T or P or A or V) OR Membership Identifier = 02 or 03.	OC	188
Service Provider Number	89	92	4	A/N	Required if Originator Type = S or P	OC	215
SSN/EIN Start Sequence Number	93	94	2	A/N	See SSN/EIN Start Sequence Number in the Introduction section. Required if SSN/EIN Suffix is provided. Not allowed otherwise.	OC	257
Total SSN/EIN Records	95	96	2	N	Required if SSN/EIN Suffix is provided. Not allowed otherwise.	OC	258
ETF Agent Number	97	100	4	N	ETF Agent NSCC Participant Number. Must be blank on input. DTCC will populate on the output when Transaction Type = E; blank otherwise. DTCC will validate if the "To" Security Issue ID exists on the DTCC ETF Master File and the associated ETF Agent's participant number; will populate this information when passing the record to the receivers. If this field is populated by the submitter and the security issue id is not listed under the ETF agent that is populated, or this is an invalid ETF Agent number, DTCC will reject with reject code 289.	OC	289

Exchange Order (015) Record 2 of 5

Required

Record 2 of 5 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Physical Sequence Number	1	2	2	A/N		R	004
Logical Sequence Number	3	4	2	A/N	02	R	004
Filler	5	7	3	A/N	Space	R	
Exch From Share Quantity	8	21	14	N	9,999,999,999.9999 Required if Transaction Code = 06 and Exch From Money Amount = 0	OC	019
Customer Account Number at Firm	22	41	20	A/N	Optional if Settlement Override Reason Code = 04 or 06 or if Membership Identifier is provided. Required when Transaction Type = E. Intermediary's BIN is required for MF to ETF Share Class Exchanges.	RC	020
New Registration Indicator	42	42	1	A/N	0 = No registration required 1 = Registration required for Exchange To	R	040
Exch From Account Number at Fund	43	62	20	A/N	Required if Network Control Ind (for From Account) = 0	OC	011
Filler	63	63	1	A/N	Space	R	
Agent for Firm Number	64	67	4	A/N	Required if Originator Type = V (TPP).	OC	271
Network Control Indicator (for the From Account)	68	68	1	A/N	0 = Non-networked 3 = Matrix level 3 4 = Matrix level 4	R	047

Record 2 of 5 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Fraction Indicator	69	69	1	A/N	<p>1 = Issue fraction 2 = Liquidation fraction 3 = Liquidate residual amount resulting from MF to ETF Share Class Exchange</p> <p>“3” is allowed when “transaction Type” = “E”. Not allowed otherwise.</p> <p>Best Practice: “3” will instruct the fund to liquidate any residual amount resulting from MF to ETF Share Class Exchange.</p> <p>In the event the MF to ETF Share Class Exchange resulted in a residual amount and this indicator is populated with “3”, the fund will liquidate the residual amount via Networking Activity Record F55.</p>	R	014
Filler	70	70	1	A/N	Space	R	
Transaction Received Time	71	76	6	N	<p>hhmmss Eastern Time 000000 (midnight) to 235959</p> <p>Required when “Money Market Liquidity Fee Indicator” = “F” (Fund).</p>	OC	168
Membership Identifier	77	78	2	A/N	<p>01 = Trust member 02 = Networking info required for TPA/Investment Agent 03 = TPP (Third Party Provider)</p>	O	181

Record 2 of 5 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Multiple Firm Numbers Indicator	79	79	1	A/N	<p>1 = Introducing firm has one participant number</p> <p>2 = Introducing firm has two participant numbers</p> <p>Required when "Transaction Type" = E. Not allowed otherwise.</p> <p>If the firm has a second DTC participant number (equity side), "Multiple Firm Numbers Indicator" must be set to "2" and the second participant number must be provided in the "Firm DTC Number".</p>	RC	288
Firm DTC Number	80	83	4	N	<p>Required when "Transaction Type" = E and "Multiple Firm Numbers Indicator" = 2. Not allowed otherwise.</p> <p>If the firm has a second DTC participant number (equity side), "Multiple Firm Numbers Indicator" must be set to "2" and the second participant number must be provided in the "Firm DTC Number".</p>	RC	008
Filler	84	100	17	A/N	Space	R	

Exchange Order (015) Record 3 of 5

Required.

Record 3 of 5 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Physical Sequence Number	1	2	2	A/N		R	004
Logical Sequence Number	3	4	2	A/N	03	R	004
Filler	5	7	3	A/N	Space	R	
Exch From Money Amount	8	23	16	N	99,999,999,999,999.99 Required if Transaction Code = 06 and Exch From Share Quantity = 0	OC	019
Exch From Currency Indicator	24	26	3	A/N		O	110

Record 3 of 5 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Anticipated Settlement Date	27	34	8	A/N	<p>mmddccyy</p> <p>Required if Settlement Override Reason Code is provided and is not 04 or 06 (x-settlement).</p> <p>Not allowed if Settlement Override Reason Code = 04.</p> <p>Not allowed when Transaction Type = E*</p> <p>*No settlement when Transaction Type = E (Exchange to ETF Share Class). Therefore, Exchange Money Amounts will not appear in the settlement/x-settlement reports.</p> <p><u>Reject Code 180 will be returned under the following conditions:</u></p> <ul style="list-style-type: none"> The Anticipated Settlement Date field contains an invalid format. The Anticipated Settlement Date is earlier than the Trade Date. <p><u>Reject Code 179 will be returned under the following conditions:</u></p> <ul style="list-style-type: none"> The Settlement Override Reason Code is set to 04, while the Anticipated Settlement Date is populated (which is not allowed). The Settlement Override Reason Code is blank (space), but the Anticipated Settlement Date is still populated (which is also not allowed). 	OC	179 / 180
Branch Identification Number	35	43	9	A/N	Optional under the following conditions:	RC	035
Related Trade Indicator	44	44	1	A/N	0 = No 1 = Yes	R	065
Related Trade Identifier	45	46	2	A/N	Required if Related Trade Indicator = 1	OC	105

Record 3 of 5 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Customer Name	47	66	20	A/N		R	063
Exch From Sales Charge Rate	67	70	4	N	9.999	O	025
As-Of Indicator	71	71	1	A/N	0 = Regular Exchange 1 = As-Of Exchange	O	021
Discount Type	72	72	1	A/N	1 = Letter of intent 2 = Rights of accumulation 3 = Net asset value	O	208
Filler	73	77	5	A/N	Space	R	
NAV Reason Code	78	78	1	A/N	Required if Discount Type = 3. 0 = Other 1 = Net asset value transfer 2 = Repurchase 3 = Employee 4 = Error correction 5 = Wrap fee account 6 = NAV commissionable 7 = Commissionable defined contribution plan 8 = Non-commissionable defined contribution plan 9 = Section 529 Account—Qualified State Tuition Program A = Dividend reinvestment trade B = Trust Company NAV per Agreement D = Deminimis Amount Processed at NAV E = Self Directed Brokerage Account	OC	104

Record 3 of 5 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
As-Of Reason Code	79	80	2	A/N	Required if As-Of Indicator = 1 01 = Incorrect Firm/Fund Account Number 02 = Incorrect Share Quantity/Dollar Quantity 03 = Incorrect security issue ID 04 = Customer renege 05 = Incorrect Sales Charge Breakpoint 07 = Blue sky violation 09 = Delay in Firm Trade Transmission 10 = With Fund's Permission 11 = Resubmitted Fund/SERV Reject 12 = DCC&S (see Asset Type Indicator) 13 = Distribution Reversal 14 = Prospectus Violation	OC	109
Redemption Fee Indicator	81	81	1	A/N	0 = Short-Term Redemption (STR) 1 = STR with CDSC 2 = Money Market Liquidity Fee 3 = Money Market Liquidity Fee with CDSC	O	248

Record 3 of 5 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Short-Term Redemption Fee Waiver Indicator	82	82	1	A/N	1 = STR waiver due to correction 2 = Death 3 = Disability 4 = Mandatory distribution 5 = Systematic withdrawal 6 = Defined contribution 7 = Hardship 8 = Auto Rebalance 9 = DC–Termination Distribution A = DC–Involuntary Distribution B = DC–Forfeitures C = DC–Loans D = DC–Excess Contributions E = Wrap Program F = Fund of Funds G = Divorce/QDRO H = Plan fees QDRO	O	249
Filler	83	99	17	A/N	Space	R	
Trade Date Forward Indicator	100	100	1	A/N	0 = Trade Date not forwarded 1 = Trade Date forwarded Must be 1 if Trade Date is later than Submission Date. Trade Date forwarded is only allowed if Security Type = 62 or 63.	OC	229

Exchange Order (015) Record 4 of 5

Required

Record 4 of 5 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Physical Sequence Number	1	2	2	A/N		R	004
Logical Sequence Number	3	4	2	A/N	04	R	004
Filler	5	7	3	A/N	Space	R	

Record 4 of 5 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Security Issue Country Code (Exch To)	8	9	2	A/N	Space. For future use	R	
Security Issue ID (Exch To)	10	18	9	A/N		R	041
Security Issue Check Digit (Exch To)	19	19	1	A/N	Space. For future use	R	
Security Issue Type (Exch To)	20	21	2	A/N	<p>Required if 24 (Money Market)</p> <hr/> <p>Notes:</p> <p>Input: With the exception of Security Issue Type = 24, NSCC does not validate the value against the Fund/SERV Security master file. NSCC leverages the Fund/SERV Security master file to determine value and associated processing rules.</p> <p>Output: NSCC populates with the value in the Fund/SERV Security master file.</p> <p>This field will be BLANK (for ETF Share Class securities) on the output when Transaction Type = E.</p>	OC	150
Exch To Account Number	22	41	20	A/N	<p>Required if Transaction Type = 7 (Exchange to existing account number) or D (Voluntary Cross Class Exchange to existing account number)</p> <p>Required when Transaction Type = E.</p> <p><u>Best practice for Transaction Type = E:</u> ETF Agents will deliver the ETF share class securities into this account; must be provided on the DTC DO transaction.</p>	OC	011
Exch To Account Number Indicator	42	42	1	A/N	<p>Required if Exch To Account Number is provided.</p> <p>1 = Fund 2 = Firm</p> <p><u>Best practice for Transaction Type = E:</u> must be "2" = Firm</p>	OC	048

Record 4 of 5 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Network Control Indicator (for the To Account)	43	43	1	A/N	0 = Non-networked 3 = Matrix level 3 4 = Matrix level 4	R	047
Exch To Sales Charge Rate	44	47	4	N	9.999	O	025
ROA/LOI Value	48	63	16	N	99,999,999,999,999.99	O	064
LOI Number/Date	64	71	8	A/N		O	
State of Sale (State Code)	72	73	2	A/N	Required for all exchanges	R	012
Money Market Liquidity Fee Indicator	74	74	1	A/N	F = Fund. B = Intermediary	O	282
Transaction Received Date	75	82	8	A/N	mmddccyy Required when "Money Market Liquidity Fee Indicator" = "F" (Fund).	OC	283
Aggregated Order Indicator	83	83	1	A/N	Required when "Money Market Liquidity Fee Indicator" = "F" or "B". <ul style="list-style-type: none"> • 1 = Transactions are not aggregated • 2 = Transactions are aggregated by "like" orders (purchases separate from redemptions) • 3 = Transactions are net of purchases and redemptions • 4 = Unknown at time of placement 	OC	284
Filler	84	93	10	A/N	Space	R	
Standard ID	94	99	6	A/N		O	
Program Transaction Indicator	100	100	1	A/N	1 = Systematic Exchange	O	259

Exchange Order (015) Record 5 of 5

Required when Redemption Fee Indicator is provided.

Record 5 of 5 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Physical Sequence Number	1	2	2	A/N		R	004
Logical Sequence Number	3	4	2	A/N	04	R	004
Filler	5	7	3	A/N	Space	R	
Account Representative Number	8	16	9	A/N		O	
Account Representative Name	17	31	15	A/N		O	
Confirm Number	32	43	12	A/N		O	
Memo Field	44	63	20	A/N		O	
Redemption Fee Rate	64	70	7	N	99.99999 Not allowed if "Redemption Fee Indicator" is not provided. Required when "Redemption Fee Indicator" is populated with either '2' (Money Market Liquidity Fee) or '3' (Money Market Liquidity Fee with CDSC). Zero value is not allowed when this field is required, and "Redemption Fee Indicator" is = '2' or '3'. If "Redemption Fee Indicator" = 0 or 1, this field will be utilized to communicate a Short-Term Redemption (STR) Fee Rate.	OC	250

Record 5 of 5 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
STR Fee Share Quantity	71	84	14	N	<p>9,999,999,999.9999</p> <p>Required when "Redemption Fee Indicator" is provided and "Redemption Fee Money Amount" = 0 or Space.</p> <p>Not allowed if "Redemption Fee Indicator" is not provided or if "Redemption Fee Money Amount" > 0.</p> <p>Not allowed when "Redemption Fee Indicator" is populated with either '2' (Money Market Liquidity Fee) or '3' (Money Market Liquidity Fee with CDSC).</p>	OC	251
Redemption Fee Money Amount	85	100	16	N	<p>99,999,999,999,999.99</p> <p>Required when "Redemption Fee Indicator" is provided and "STR Fee Share Quantity" = 0 or Space.</p> <p>Not allowed if "Redemption Fee Indicator" is not provided or if "STR Fee Share Quantity" > 0.</p> <p>Required when "Redemption Fee Indicator" is populated with either '2' (Money Market Liquidity Fee) or '3' (Money Market Liquidity Fee with CDSC).</p> <p>Zero value is not allowed when this field is required.</p> <p>If "Redemption Fee Indicator" =0 or 1, this field will be utilized to communicate a Short-Term Redemption (STR) Fee Money Amount.</p>	OC	252

2. Fund/SERV Exchange Order 015 – Variable

Exchange Order (015)

Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Record Length	1	4	4	N	<u>With no SSN/EIN Suffix:</u> 0383, 0476 <u>With SSN/EIN Suffix:</u> Up to 1499	R	152
Physical Sequence Number	5	6	2	A/N	01	R	004
Logical Sequence Number	7	8	2	A/N	01	R	004
Originator Type	9	9	1	A/N	A = Investment Agent B = Firm T = TPA S = Service Provider for B = Firm P = Service Provider for T = TPA V = TPP (Third Party Provider)	R	187
Filler	10	11	2	A/N	Space	R	
Firm Number	12	15	4	N		R	008
Filler	16	18	3	A/N	Space	R	
Record Type	19	21	3	A/N	015 = Exchange Order Not permitted if the Security Issue Type field value is 63 and Settlement Override Reason Code field value is space.	RC	002/275
Test Indicator	22	22	1	A/N	0 = Production 1 = Test	R	122
Filler	23	23	1	A/N	Space	R	
Fund Number	24	27	4	N		O	100
Filler	28	30	3	A/N	Space	R	
Security Issue Country Code (Exch From)	31	32	2	A/N	Space. For future use	R	
Security Issue ID (Exch From)	33	41	9	A/N		R	007

Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Security Issue Check Digit (Exch From)	42	42	1	A/N	Space. For future use	R	
Security Issue Type (Exch From)	43	44	2	A/N	Required if 24 (Money Market) <u>Notes:</u> Input: With the exception of Security Issue Type = 24, NSCC does not validate the value against the Fund/SERV Security master file. NSCC leverages the Fund/SERV Security master file to determine value and associated processing rules. Output: NSCC populates with the value in the Fund/SERV Security master file.	OC	150
Control Number	45	59	15	A/N		R	005
Filler	60	60	1	A/N	Space	R	
Transaction Type	61	61	1	A/N	6 = Exchange to new account 7 = Exchange to existing account C = Voluntary Cross Class Exchange to new account D = Voluntary Cross Class Exchange to existing account E = Exchange to ETF Share Class* *No settlement when Transaction Type = E (Exchange to ETF Share Class). Therefore, Exchange Money Amounts will not appear in the settlement/x-settlement reports.	R	017
Transaction Code	62	63	2	A/N	05 = Full exchange 06 = Partial exchange	R	018
Submission Date	64	71	8	N	mmddccyy	R	101
Trade Date	72	79	8	N	mmddccyy	R	016

Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Book/Physical Share Indicator	80	80	1	A/N	1 = Exchange from book shares to book shares 2 = Exchange from book shares to physical shares	R	015
PI Delivery Indicator	81	81	1	A/N	Required if Book/Physical Share Indicator = 2. 0 = Deliver to customer 1 = Deliver to firm 2 = Deliver to agent for firm	OC	039
Filler	82	82	1	A/N	Space	R	
Settlement Override Reason Code	83	84	2	A/N	Required (but must not be 04) if Anticipated Settlement Date is provided. 01 = Wrap fee account 02 = 401K 03 = Other 04 = X-settlement 05 = Section 529 Account - Qualified State Tuition Program 06 = X-settlement offshore enhanced (allowed for Security Types 62 and 63 only) Not allowed when Transaction Type = E* *No settlement when Transaction Type = E (Exchange to ETF Share Class). Therefore, Exchange Money Amounts will not appear in the settlement/x-settlement reports.	OC	179
NSCC Rejection Indicator	85	85	1	A/N	Input: Space Output: 0 = Accepted by NSCC 1 = Rejected by NSCC 2 = Rejected by NSCC, multiple errors	R	
NSCC Reject Code	86	88	3	A/N	Input: Space Output: Reject code	R	

Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
TPA/Investment Agent/TPP Number	89	92	4	A/N	Required if: Originator Type = (T or P or A or V) OR Membership Identifier = 02 or 03.	OC	188
Service Provider Number	93	96	4	A/N	Required if Originator Type = S or P	OC	215
SSN/EIN Start Section Number	97	98	2	A/N	See SSN/EIN Start Section Number in the Introduction section. Required if SSN/EIN Suffix is provided. Not allowed otherwise.	OC	257
Total SSN/EIN Sections	99	100	2	N	Required if SSN/EIN Suffix is provided. Not allowed otherwise.	OC	258
ETF Agent Number	101	104	4	N	ETF Agent NSCC Participant Number. Must be blank on input. DTCC will populate on the output when Transaction Type = E, blank otherwise. DTCC will validate if the "To" Security Issue ID exists on the DTCC ETF Master File and the associated ETF Agent's participant number; will populate this information when passing the record to the receivers. If this field is populated by the submitter and the security issue id is not listed under the ETF agent that is populated, or this is an invalid ETF Agent number, DTCC will reject with reject code 289.	OC	289
Exch From Share Quantity	105	118	14	N	9,999,999,999.9999 Required if Transaction Code = 06 and Exch From Money Amount = 0	OC	019
Customer Account Number at Firm	119	138	20	A/N	Optional if Settlement Override Reason Code = 04 or 06 or if Membership Identifier is provided. Required when Transaction Type = E. Intermediary's BIN is required for MF to ETF Share Class Exchanges.	RC	020

Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
New Registration Indicator	139	139	1	A/N	0 = No registration required 1 = Registration required for Exchange To	R	040
Exch From Account Number at Fund	140	159	20	A/N	Required if Network Control Ind (for From Account) = 0	OC	011
Filler	160	160	1	A/N	Space	R	
Agent for Firm Number	161	164	4	A/N	Required if Originator Type = V (TPP)	OC	271
Network Control Indicator (for the From Account)	165	165	1	A/N	0 = Non-networked 3 = Matrix level 3 4 = Matrix level 4	R	047
Fraction Indicator	166	166	1	A/N	1 = Issue fraction 2 = Liquidation fraction 3 = Liquidate residual amount resulting from MF to ETF Share Class Exchange "3" is allowed when "Transaction Type" = "E". Not allowed otherwise. Best Practice: "3" will instruct the fund to liquidate any residual amount resulting from the MF to ETF Share Class Exchange. In the event the MF to ETF Share Class Exchange resulted in a residual amount and this indicator is populated with "3", the fund will liquidate the residual amount via Networking Activity Record F55	R	014
Filler	167	167	1	A/N	Space	R	
Transaction Received Time	168	173	6	N	hhmmss Eastern Time 000000 (midnight) to 235959 Required when "Money Market Liquidity Fee Indicator" = "F" (Fund).	OC	168

Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Membership Identifier	174	175	2	A/N	01 = Trust member 02 = Networking info required for TPA/Investment Agent 03 = TPP (Third Party Provider)	O	181
Multiple Firm Numbers Indicator	176	176	1	A/N	1 = Introducing firm has one participant number 2 = Introducing firm has two participant numbers Required when "Transaction Type" = E. Not allowed otherwise. If the firm has a second DTC participant number (equity side), "Multiple Firm Numbers Indicator" must be set to "2" and the second participant number must be provided in the "Firm DTC Number".	RC	288
Firm DTC Number	177	180	4	N	Required when "Transaction Type" = E and "Multiple Firm Numbers Indicator" = 2. Not allowed otherwise. If the firm has a second DTC participant number (equity side), "Multiple Firm Numbers Indicator" must be set to "2" and the second participant number must be provided in the "Firm DTC Number".	RC	008
Filler	181	197	17	A/N	Space	R	
Exch From Money Amount	198	213	16	N	99,999,999,999,999.99 Required if Transaction Code = 06 and Exch From Share Quantity = 0	OC	019
Exch From Currency Indicator	214	216	3	A/N		O	110

Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Anticipated Settlement Date	217	224	8	A/N	<p>mmddccyy</p> <p>Required if Settlement Override Reason Code is provided and is not 04 or 06 (x-settlement).</p> <p>Not allowed if Settlement Override Reason Code = 04.</p> <p>Not allowed when Transaction Type = E*</p> <p>*No settlement when Transaction Type = E (Exchange to ETF Share Class). Therefore, Exchange Money Amounts will not appear in the settlement/x-settlement reports.</p> <p><u>Reject Code 180 will be returned under the following conditions:</u></p> <ul style="list-style-type: none"> The Anticipated Settlement Date field contains an invalid format. The Anticipated Settlement Date is earlier than the Trade Date. <p><u>Reject Code 179 will be returned under the following conditions:</u></p> <ul style="list-style-type: none"> The Settlement Override Reason Code is set to 04, while the Anticipated Settlement Date is populated (which is not allowed). The Settlement Override Reason Code is blank (space), but the Anticipated Settlement Date is still populated (which is also not allowed). 	OC	179 / 180
Branch Identification Number	225	233	9	A/N	Optional under the following conditions:	RC	035
Related Trade Indicator	234	234	1	A/N	0 = No 1 = Yes	R	065
Related Trade Identifier	235	236	2	A/N	Required if Related Trade Indicator = 1	OC	105

Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Customer Name	237	256	20	A/N		R	063
Exch From Sales Charge Rate	257	260	4	N	9.999	O	025
As-Of Indicator	261	261	1	A/N	0 = Regular Exchange 1 = As-Of Exchange	O	021
Discount Type	262	262	1	A/N	1 = Letter of intent 2 = Rights of accumulation 3 = Net asset value	O	208
Filler	263	267	5	A/N	Space	R	
NAV Reason Code	268	268	1	A/N	Required if Discount Type = 3. 0 = Other 1 = Net asset value transfer 2 = Repurchase 3 = Employee 4 = Error correction 5 = Wrap fee account 6 = NAV commissionable 7 = Commissionable defined contribution plan 8 = Non-commissionable defined contribution plan 9 = Section 529 Account - Qualified State Tuition Program A = Dividend reinvestment trade B = Trust Company NAV per Agreement D = Deminimis Amount Processed at NAV E = Self Directed Brokerage Account	OC	104

Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
As-Of Reason Code	269	270	2	A/N	Required if As-Of Indicator = 1 01 = Incorrect Firm/Fund Account Number 02 = Incorrect Share Quantity/Dollar Quantity 03 = Incorrect security issue ID 04 = Customer renege 05 = Incorrect Sales Charge Breakpoint 07 = Blue sky violation 09 = Delay in Firm Trade Transmission 10 = With Fund's Permission 11 = Resubmitted Fund/SERV Reject 12 = DCC&S (see Asset Type Indicator) 13 = Distribution Reversal 14 = Prospectus Violation	OC	109
Redemption Fee Indicator	271	271	1	A/N	0 = Short-Term Redemption (STR) 1 = STR with CDSC 2 = Money Market Liquidity Fee 3 = Money Market Liquidity Fee with CDSC	O	248

Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Short-Term Redemption Fee Waiver Indicator	272	272	1	A/N	1 = STR waiver due to correction 2 = Death 3 = Disability 4 = Mandatory distribution 5 = Systematic withdrawal 6 = Defined contribution 7 = Hardship 8 = Auto Rebalance 9 = DC – Termination Distribution A = DC – Involuntary Distribution B = DC – Forfeitures C = DC – Loans D = DC – Excess Contributions E = Wrap Program F = Fund of Funds G = Divorce/QDRO H = Plan fees QDRO	O	249
Filler	273	289	17	A/N	Space	R	
Trade Date Forward Indicator	290	290	1	A/N	0 = Trade Date not forwarded 1 = Trade Date forwarded Must be 1 if Trade Date is later than Submission Date. Trade date forwarded is only allowed if Security Type = 62 or 63	OC	229
Security Issue Country Code (Exch To)	291	292	2	A/N	Space. For future use	R	
Security Issue ID (Exch To)	293	301	9	A/N		R	041
Security Issue Check Digit (Exch To)	302	302	1	A/N	Space. For future use	R	

Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Security Issue Type (Exch To)	303	304	2	A/N	<p>Required if 24 (Money Market)</p> <hr/> <p>Notes:</p> <p>Input: With the exception of Security Issue Type = 24, NSCC does not validate the value against the Fund/SERV Security master file. NSCC leverages the Fund/SERV Security master file to determine value and associated processing rules.</p> <p>Output: NSCC populates with the value in the Fund/SERV Security master file.</p> <p>This field will be BLANK (for ETF Share Class securities) on the output when Transaction Type=E.</p> <hr/>	OC	150
Exch To Account Number	305	324	20	A/N	<p>Required if Transaction Type = 7 (Exchange to existing account number) or</p> <p>D (Voluntary Cross Class Exchange to existing account number)</p> <p>Required when Transaction Type = E.</p> <p><u>Best practice for Transaction Type = E:</u> ETF Agents will deliver the ETF share class securities into this account; must be provided on the DTC DO transaction.</p>	OC	011
Exch To Account Number Indicator	325	325	1	A/N	<p>Required if Exch To Account Number is provided.</p> <p>1 = Fund</p> <p>2 = Firm</p> <p><u>Best practice for Transaction Type = E:</u> must be "2" = Firm</p>	OC	048
Network Control Indicator (for the To Account)	326	326	1	A/N	<p>0 = Non-networked</p> <p>3 = Matrix level 3</p> <p>4 = Matrix level 4</p>	R	047
Exch To Sales Charge Rate	327	330	4	N	9.999	O	025
ROA/LOI Value	331	346	16	N	99,999,999,999,999.99	O	064
LOI Number/Date	347	354	8	A/N		O	

Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
State of Sale (State Code)	355	356	2	A/N	Required for all exchanges	R	012
Money Market Liquidity Fee Indicator	357	357	1	A/N	F = Fund. B = Intermediary	O	282
Transaction Received Date	358	365	8	A/N	mmddccyy Required if the "Money Market Liquidity Fee Indicator" = "F".	OC	283
Aggregated Order Indicator	366	366	1	A/N	Required if the "Money Market Liquidity Fee Indicator" = "F" or "B". <ul style="list-style-type: none"> 1 = Transactions are not aggregated 2 = Transactions are aggregated by "like" orders (purchases separate from redemptions) 3 = Transactions are net of purchases and redemptions 4 = Unknown at time of placement 	OC	284
Filler	367	376	10	A/N	Space	R	
Standard ID	377	382	6	A/N		O	
Program Transaction Indicator	383	383	1	A/N	1 = Systematic Exchange	O	259
Account Representative Number	384	392	9	A/N		O	
Account Representative Name	393	407	15	A/N		O	
Confirm Number	408	419	12	A/N		O	
Memo Field	420	439	20	A/N		O	

Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Redemption Fee Rate	440	446	7	N	<p>99.99999</p> <p>Not allowed if "Redemption Fee Indicator" is not provided.</p> <p>Required when "Redemption Fee Indicator" is populated with either '2' (Money Market Liquidity Fee) or '3' (Money Market Liquidity Fee with CDSC).</p> <p>Zero value is not allowed when this field is required and "Redemption Fee Indicator" =2 or 3.</p> <p>If "Redemption Fee Indicator" = 0 or 1, this field will be utilized to communicate a Short-Term Redemption (STR) Fee Rate.</p>	OC	250
STR Fee Share Quantity	447	460	14	N	<p>9,999,999,999.9999</p> <p>Required when "Redemption Fee Indicator" is provided and "Redemption Fee Money Amount" = 0 or Space.</p> <p>Not allowed if "Redemption Fee Indicator" is not provided or if "Redemption Fee Money Amount" > 0.</p> <p>Not allowed when "Redemption Fee Indicator" is populated with either '2' (Money Market Liquidity Fee) or '3' (Money Market Liquidity Fee with CDSC).</p>	OC	251

Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Redemption Fee Money Amount	461	476	16	N	<p>99,999,999,999,999.99</p> <p>Required when "Redemption Fee Indicator" is provided and "STR Fee Share Quantity" = 0 or Space.</p> <p>Not allowed if "Redemption Fee Indicator" is not provided or if "STR Fee Share Quantity" > 0.</p> <p>Required when "Redemption Fee Indicator" is populated with either '2' (Money Market Liquidity Fee) or '3' (Money Market Liquidity Fee with CDSC).</p> <p>Zero value is not allowed when this field is required.</p> <p>If "Redemption Fee Indicator" =0 or 1, this field will be utilized to communicate a Short-Term Redemption (STR) Fee Money Amount.</p>	OC	252

3. Fund/SERV Exchange Confirmation 016 – Fixed

Exchange Confirmation (016) Record 1 of 12

Required

Record 1 of 12 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Physical Sequence Number	1	2	2	A/N		R	004
Logical Sequence Number	3	4	2	A/N	01	R	004
Originator Type	5	5	1	A/N	F = Fund	R	187
Filler	6	7	2	A/N	Space	R	
Firm Number	8	11	4	N		R	008
Filler	12	14	3	A/N	Space	R	
Record Type	15	17	3	A/N	016 = Exchange Confirmation 017 = Exchange Reconfirmation 021 = Post Settlement Exchange Cancellation Not permitted if the Security Issue Type field value is 63 and Settlement Override Reason Code field value is space	RC	002/275
Test Indicator	18	18	1	A/N	0 = Production 1 = Test	R	122
Filler	19	19	1	A/N	Space	R	
Fund Number	20	23	4	N		O	100
Filler	24	26	3	A/N	Space	R	
Security Issue Country Code (Exch From)	27	28	2	A/N	Space. For future use	R	
Security Issue ID (Exch From)	29	37	9	A/N		R	007
Security Issue Check Digit (Exch From)	38	38	1	A/N	Space. For future use	R	
Security Issue Type (Exch From)	39	40	2	A/N	Required if 24 (Money Market)	OC	150

Record 1 of 12 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
					<u>Notes:</u> Input: With the exception of Security Issue Type = 24, NSCC does not validate the value against the Fund/SERV Security master file. NSCC leverages the Fund/SERV Security master file to determine value and associated processing rules. Output: NSCC populates with the value in the Fund/SERV Security master file.		
Control Number	41	55	15	A/N		R	005
Correction Indicator	56	56	1	A/N	Required for record type 021. Not allowed for record type 017. P = Post settlement cancellation	OC	006
Transaction Type	57	57	1	A/N	6 = Exchange to new account 7 = Exchange to existing account C = Voluntary Cross Class Exchange to new account D = Voluntary Cross Class Exchange to existing account E = Exchange to ETF Share Class* *No settlement when Transaction Type = E (Exchange to ETF Share Class). Therefore, Exchange Money Amounts will not appear in the settlement/x-settlement reports.	R	017
Transaction Code	58	59	2	A/N	05 = Full exchange 06 = Partial exchange	R	018
Submission Date	60	67	8	N	mmddccyy	R	101
Trade Date	68	75	8	N	mmddccyy	R	016
Book/Physical Share Indicator	76	76	1	A/N	1 = Exchange from book shares to book shares 2 = Exchange from book shares to physical shares	R	015
PI Delivery Indicator	77	77	1	A/N	Required if Book/Physical Share Indicator = 2. 0 = Deliver to customer	OC	039

Record 1 of 12 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
					1 = Deliver to firm 2 = Deliver to agent for firm		
Filler	78	78	1	A/N	Space	R	
Settlement Override Reason Code	79	80	2	A/N	Not allowed if Correction Indicator = P. 01 = Wrap fee account 02 = 401K 03 = Other 04 = X-settlement 05 = Section 529 Account - Qualified State Tuition Program 06 = X-settlement offshore enhanced (allowed for Security Types 62 and 63 only) Not allowed when Transaction Type = E* *No settlement when Transaction Type = E (Exchange to ETF Share Class). Therefore, Exchange Money Amounts will not appear in the settlement/x-settlement reports.	OC	179
NSCC Rejection Indicator	81	81	1	A/N	Input: Space Output: 0 = Accepted by NSCC 1 = Rejected by NSCC 2 = Rejected by NSCC, multiple errors	R	
NSCC Reject Code	82	84	3	A/N	Input: Space Output: Reject code	R	
TPA/Investment Agent/TPP Number	85	88	4	A/N	Required if Membership Identifier = 02 or 03	OC	188
Service Provider Number	89	92	4	A/N		OC	215
Multiple Firm Numbers Indicator	93	93	1	A/N	1 = Introducing firm has one participant number 2 = Introducing firm has two participant numbers	RC	288

Record 1 of 12 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
					<p>Required when "Transaction Type" = E. Not allowed otherwise.</p> <p>If the firm has a second DTC participant number (equity side), "Multiple Firm Numbers Indicator" must be set to "2" and the second participant number must be provided in the "Firm DTC Number".</p> <p>Must match the value provided by the intermediary on the Exchange Order record (015)</p>		
Firm DTC Number	94	97	4	N	<p>Required when "Transaction Type" = E and "Multiple Firm Numbers Indicator" = 2. Not allowed otherwise.</p> <p>If the firm has a second DTC participant number (equity side), "Multiple Firm Numbers Indicator" must be set to "2" and the second participant number must be provided in the "Firm DTC Number".</p> <p>Must match the value provided by the intermediary on the Exchange Order record (015)</p>	RC	008
Filler	98	100	3	A/N	Space	R	

Exchange Confirmation (016) Record 2 of 12

Required

Record 2 of 12 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Physical Sequence Number	1	2	2	A/N		R	004
Logical Sequence Number	3	4	2	A/N	02	R	004
Filler	5	7	3	A/N	Space	R	
Exch From Share Quantity	8	21	14	N	<p>9,999,999,999.9999</p> <p>Required if Transaction Code = 06</p>	OC	019

Record 2 of 12 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
					and Exch From Money Amount (Gross) = 0 <u>Required if Transaction Type = E.</u> Must be populated with the exact number of mutual fund shares which will be exchanged out of the shareholder's account..		
Customer Account Number at Firm	22	41	20	A/N	Optional if Settlement Override Reason Code = 04 or 06 or if Membership Identifier is provided. Required when Transaction Type = E. Intermediary's BIN is required for MF to ETF Share Class Exchanges. Must match the value provided by the intermediary on the Exchange Order record (015).	RC	020
New Registration Indicator	42	42	1	A/N	0 = No registration required 1 = Registration required for Exchange To	R	040
Exch From Account Number at Fund	43	62	20	A/N	Required if Network Control Ind (for From Account) = 0	OC	011
Filler	63	63	1	A/N	Space	R	
Agent for Firm Number	64	67	4	A/N		O	
Network Control Indicator (for the From Account)	68	68	1	A/N	0 = Non-networked 3 = Matrix level 3 4 = Matrix level 4	R	047
Fraction Indicator	69	69	1	A/N	1 = Issue fraction 2 = Liquidation fraction 3 = Liquidate residual amount resulting from MF to ETF Share Class Exchange "3" is allowed when "Transaction Type" = "E". Not allowed otherwise. Best Practice: The value in this field must match the value provided by the firm on the corresponding Exchange Order 015 record.	R	014

Record 2 of 12 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Filler	70	70	1	A/N	Space	R	
Transaction Received Time	71	76	6	N	hhmmss Eastern Time 000000 (midnight) to 235959 Required when "Money Market Liquidity Fee Indicator" = "F" (Fund). <u>For Record types 016 and 017</u> Must contain the same value as provided on the Exchange transaction (record type 015). NSCC will reject if a fund provided value is different from the value submitted by the firm.	OC	168
Membership Identifier	77	78	2	A/N	01 = Trust member 02 = Networking info required for TPA/Investment Agent 03 = TPP (Third Party Provider)	O	181
ETF Agent Number	79	82	4	N	Required when Transaction Type = E. ETF Agent NSCC Participant Number. Must match the "ETF Agent Number" field value received on the corresponding Exchange Order record (015) and the MF to ETF Share Class Exchange Details record (031).	RC	289
Filler	83	100	18	A/N	Space	R	

Exchange Confirmation (016) Record 3 of 12

Required

Record 3 of 12 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Physical Sequence Number	1	2	2	A/N		R	004
Logical Sequence Number	3	4	2	A/N	03	R	004
Filler	5	7	3	A/N	Space	R	

Record 3 of 12 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Exch From Money Amount (Gross)	8	23	16	N	99,999,999,999,999.99 Required if Transaction Code = 06 and Exch From Share Quantity = 0	OC	019
Exch From Currency Indicator (Gross)	24	26	3	A/N		O	110
Anticipated Settlement Date	27	34	8	A/N	mmddccyy Required if Settlement Override Reason Code is provided and is not = 04 (x-settlement domestic). Not allowed if Settlement Override Reason Code = 04. Not allowed when Transaction Type = E* *No settlement when Transaction Type = E (Exchange to ETF Share Class). Therefore, Exchange Money Amounts will not appear in the settlement/x-settlement reports. <u>Reject Code 180 will be returned under the following conditions:</u> <ul style="list-style-type: none"> The Anticipated Settlement Date field contains an invalid format. The Anticipated Settlement Date is earlier than the Trade Date. <u>Reject Code 179 will be returned under the following conditions:</u> <ul style="list-style-type: none"> The Settlement Override Reason Code is set to 04, while the Anticipated Settlement Date is populated (which is not allowed). The Settlement Override Reason Code is blank (space), but the Anticipated Settlement Date is still populated (which is also not allowed). 	OC	179 / 180
Branch Identification Number	35	43	9	A/N	Optional if Membership Identifier = 01 or 02 and Agent for Firm Number is not provided.	RC	035
Related Trade Indicator	44	44	1	A/N	0 = No 1 = Yes	R	065

Record 3 of 12 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Related Trade Identifier	45	46	2	A/N	Required if Related Trade Indicator = 1	OC	105
Customer Name	47	66	20	A/N		R	063
Exch From Sales Charge Rate	67	70	4	N	9.999	O	025
As-Of Indicator	71	71	1	A/N	0 = Regular Exchange 1 = As-Of Exchange	O	021
Discount Type	72	72	1	A/N	1 = Letter of intent 2 = Rights of accumulation 3 = Net asset value	O	208
Filler	73	77	5	A/N	Space	R	
NAV Reason Code	78	78	1	A/N	Required if Discount Type = 3. 0 = Other 1 = Net asset value transfer 2 = Repurchase 3 = Employee 4 = Error correction 5 = Wrap fee account 6 = NAV commissionable 7 = Commissionable defined contribution plan 8 = Non-commissionable defined contribution plan 9 = Section 529 Account – Qualified State Tuition Program A = Dividend reinvestment trade B = Trust Company NAV per Agreement D = Deminimis Amount Processed at NAV E = Self Directed Brokerage Account	OC	104

Record 3 of 12 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
As-Of Reason Code	79	80	2	A/N	<p>Required if As-Of Indicator = 1</p> <p>01 = Incorrect Firm/Fund Account Number</p> <p>02 = Incorrect Share Quantity/Dollar Quantity</p> <p>03 = Incorrect security issue ID</p> <p>04 = Customer renege</p> <p>05 = Incorrect Sales Charge Breakpoint</p> <p>07 = Blue sky violation</p> <p>09 = Delay in Firm Trade Transmission</p> <p>10 = With Fund's Permission</p> <p>11 = Resubmitted Fund/SERV Reject</p> <p>12 = DCC&S (see Asset Type Indicator)</p> <p>13 = Distribution Reversal</p> <p>14 = Prospectus Violation</p>	OC	109
Redemption Fee Indicator	81	81	1	A/N	<p>0 = Short-Term Redemption (STR)</p> <p>1 = STR with CDSC</p> <p>2 = Money Market Liquidity Fee</p> <p>3 = Money Market Liquidity Fee with CDSC</p> <p>Values "0" and "1" are not allowed for record types 016 and 017 if this field was blank on the original Exchange transaction (record type 015).</p> <p>Values "2" and "3" are allowed for record types 016 and 017 if this field was blank on the original Exchange transaction (record type 015).</p>	O	248

Record 3 of 12 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Short Term Redemption Fee Waiver Indicator	82	82	1	A/N	1 = STR waiver due to correction 2 = Death 3 = Disability 4 = Mandatory distribution 5 = Systematic withdrawal 6 = Defined contribution 7 = Hardship 8 = Auto Rebalance 9 = DC-Termination Distribution A = DC-Involuntary Distribution B = DC-Forfeitures C = DC-Loans D = DC-Excess Contributions E = Wrap Program F = Fund of Funds G = Divorce/QDRO H = Plan QDRO	O	249
Filler	83	99	17	A/N	Space	R	
Trade Date Forward Indicator	100	100	1	A/N	0 = Trade Date not forwarded 1 = Trade Date forwarded. <u>For record type 016 and 017:</u> must be same as on original exchange	OC	229

Exchange Confirmation (016) Record 4 of 12

Required

Record 4 of 12 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Physical Sequence Number	1	2	2	A/N		R	004
Logical Sequence Number	3	4	2	A/N	04	R	004
Filler	5	7	3	A/N	Space	R	

Record 4 of 12 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Security Issue Country Code (Exch To)	8	9	2	A/N	Space. For future use.	R	
Security Issue ID (Exch To)	10	18	9	A/N		R	041
Security Issue Check Digit (Exch To)	19	19	1	A/N	Space. For future use.	R	
Security Issue Type (Exch To)	20	21	2	A/N	<p>Required if 24 (Money Market)</p> <hr/> <p>Notes:</p> <p>Input: With the exception of Security Issue Type = 24, NSCC does not validate the value against the Fund/SERV Security master file. NSCC leverages the Fund/SERV Security master file to determine value and associated processing rules.</p> <p>Output: NSCC populates with the value in the Fund/SERV Security master file.</p> <p>This field will be BLANK (for ETF Share Class securities) on the output when Transaction Type=E.</p>	OC	150
Exch To Account Number	22	41	20	A/N	<p>Required if Book/Physical Share Indicator = 2</p> <p>Required when Transaction Type = E. Must match the value provided by the intermediary on the Exchange Order record (015).</p> <p><u>Best practice for Transaction Type=E:</u> ETF Agents will deliver ETF share class securities into this account; must be provided on the DTC DO transaction.</p>	OC	011
Exch To Account Number Indicator	42	42	1	A/N	<p>Required if Exch To Account Number is provided.</p> <p>1 = Fund 2 = Firm</p> <p>Must match the value provided by the intermediary on the Exchange Order record (015).</p> <p><u>Best practice for Transaction Type = E:</u> must be "2" = Firm</p>	OC	048

Record 4 of 12 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Network Control Indicator (for the To Account)	43	43	1	A/N	0 = Non-networked 3 = Matrix level 3 4 = Matrix level 4	R	047
Exch To Sales Charge Rate	44	47	4	N	9.999 Must be provided (but allowed to be zero) if Exch To Load Type Indicator = 1	OC	025
ROA/LOI Value	48	63	16	N	99,999,999,999,999.99	O	064
LOI Number/Date	64	71	8	A/N		O	
State of Sale (State Code)	72	73	2	A/N	Required for all exchanges	R	012
Money Market Liquidity Fee Indicator	74	74	1	A/N	F = Fund. B = Intermediary <u>For Record Types 016 & 017</u> Must contain the same value as provided on the Exchange transaction (record type 015). NSCC will reject if a fund provided value is different from the value submitted by the firm.	O	282
Transaction Received Date	75	82	8	A/N	mmddccyy Required if the "Money Market Liquidity Fee Indicator" = "F" <u>For Record Types 016 & 017</u> Must contain the same value as provided on the Exchange transaction (record type 015). NSCC will reject if a fund provided value is different from the value submitted by the firm.	OC	283

Record 4 of 12 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Aggregated Order Indicator	83	83	1	A/N	<p>Required if the "Money Market Liquidity Fee Indicator" = "F" or "B".</p> <ul style="list-style-type: none"> • 1 = Transactions are not aggregated • 2 = Transactions are aggregated by "like" orders (purchases separate from redemptions) • 3 = Transactions are net of purchases and redemptions • 4 = Unknown at time of placement <p><u>For Record Types 016 & 017</u></p> <p>Must contain the same value as provided on the Exchange transaction (record type 015).</p> <p>NSSC will reject if a fund provided value is different from the value submitted by the firm.</p>	OC	284
Filler	84	93	10	A/N	Space	R	
Standard ID	94	99	6	A/N		O	
Program Transaction Indicator	100	100	1	A/N	1 = Systematic Exchange	O	259

Exchange Confirmation (016) Record 5 of 12

Required when Redemption Fee Indicator is provided.

Record 5 of 12 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Physical Sequence Number	1	2	2	A/N		R	004
Logical Sequence Number	3	4	2	A/N	05	R	004
Filler	5	7	3	A/N	Space	R	
Account Representative Number	8	16	9	A/N		O	
Account Representative Name	17	31	15	A/N		O	
Confirm Number	32	43	12	A/N		O	

Record 5 of 12 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Memo Field	44	63	20	A/N		O	
Redemption Fee Rate	64	70	7	N	<p>99.99999</p> <p>Not allowed if "Redemption Fee Indicator" is not provided.</p> <p>Required when "Redemption Fee Indicator" is populated with either '2' (Money Market Liquidity Fee) or '3' (Money Market Liquidity Fee with CDSC).</p> <p>Zero value is not allowed when this field is required and "Redemption Fee Indicator" = 2 or 3.</p> <p>If "Redemption Fee Indicator" = 0 or 1, this field will be utilized to communicate a Short-Term Redemption (STR) Fee Rate.</p>	OC	250
STR Fee Share Quantity	71	84	14	N	<p>9,999,999,999.9999</p> <p><u>For all record types</u></p> <p>Not allowed if "Redemption Fee Indicator" is not provided.</p> <p><u>For record types 016 and 017:</u></p> <p>If zero or Space, will not override the "STR Fee Share Quantity" in the database.</p> <p><u>For all record types</u></p> <p>Not allowed when "Redemption Fee Indicator" is populated with either '2' (Money Market Liquidity Fee) or '3' (Money Market Liquidity Fee with CDSC).</p>	O	251

Record 5 of 12 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Redemption Fee Money Amount	85	100	16	N	<p>99,999,999,999,999.99</p> <p><u>For all record types</u> Not allowed if "Redemption Fee Indicator" is not provided.</p> <p><u>For record types 016 and 017:</u> Required when "Redemption Fee Indicator" is provided.</p> <p><u>For all record types</u> Required when "Redemption Fee Indicator" is populated with either '2' (Money Market Liquidity Fee) or '3' (Money Market Liquidity Fee with CDSC). Zero value is not allowed when this field is required.</p> <p>If "Redemption Fee Indicator" = 0 or 1, this field will be utilized to communicate a Short-Term Redemption (STR) Fee Money Amount.</p>	OC	252

Exchange Confirmation (016) Record 6 of 12

Required.

Record 6 of 12 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Physical Sequence Number	1	2	2	A/N		R	004
Logical Sequence Number	3	4	2	A/N	06	R	004
Filler	5	7	3	A/N	Space	R	
Exch From Money Amount Due	8	23	16	N	<p>99,999,999,999,999.99</p> <p>This amount will be settled by NSCC as follows:</p>	R	026

Record 6 of 12 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
					<p>If Correction Ind = space: Credit firm, debit fund.</p> <p>If Correction Ind = P: Debit firm, credit fund.</p> <p><u>For Transaction Type = E only:</u></p> <ul style="list-style-type: none"> <u>Best Practice:</u> Must match the value provided by the ETF Agent in the 'Money Amount / Market Value (Exchange To)' field on the MF to ETF Share Class Exchange Details (031) record. No settlement when Transaction Type = E. Therefore, Exchange Money Amounts will not appear in the settlement/x- settlement reports. 		
Exch From Currency Indicator Due	24	26	3	A/N		O	110
Invoke Indicator	27	27	1	A/N	<p>1 = Yes (postpone settlement until reconfirmed)</p> <p>2 = No (settle Exchange).</p> <p>Must be 2 for record type 017 or if Correction Indicator = P</p>	R	043
Tefra Withholding	28	28	1	A/N	<p>0 = No withholding</p> <p>1 = 20% withholding</p>	R	050
Exch From Price Per Share	29	40	12	N	999,999.999999	R	027
Filler	41	44	4	A/N	Space	R	
Exch From Sales Charge Amount	45	53	9	N	9,999,999.99	O	088
Number of Records Beyond Record #7	54	55	2	N	Maximum of 05	R	049
Exch To Account Number #2	56	75	20	A/N		O	
Exch To Account Number #2 Indicator	76	76	1	A/N	<p>Required if Exch To Account Number #2 is provided.</p> <p>1 = Fund</p> <p>2 = Firm</p>	OC	048
Exchange Fee	77	84	8	N	999,999.99	O	042

Record 6 of 12 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Filler	85	98	14	A/N	Space	R	
Breakpoint Change Reason Code	99	99	1	A/N	1 = ROA value at fund 2 = LOI at fund 3 = The higher of cost or market value at fund 4 = Jumbo Pricing 5 = Wrap Account 6 = NAV Account 7 = Amount Processed at NAV	O	246
Filler	100	100	1	A/N	Space	R	

Exchange Confirmation (016) Record 7 of 12

Optional

Record 7 of 12 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Physical Sequence Number	1	2	2	A/N		R	004
Logical Sequence Number	3	4	2	A/N	07	R	004
Filler	5	7	3	A/N	Space	R	
Original Control Number	8	22	15	A/N		O	
Original Correction Indicator	23	23	1	A/N	C-N = Pre-settlement correction P = Post settlement correction/cancellation Space = No correction	O	164
Filler	24	100	77	A/N	Space	R	

Exchange Confirmation (016) Record 8 of 12

Required if Invoke Indicator = 2

Record 8 of 12 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Physical Sequence Number	1	2	2	A/N		R	004
Logical Sequence Number	3	4	2	A/N	08	R	004
Filler	5	7	3	A/N	Space	R	
Exch To Gross Money Amount	8	23	16	N	99,999,999,999,999.99	R	019
Exch To Money Amount Due	24	39	16	N	99,999,999,999,999.99	R	026
Exch To Total Share Quantity	40	53	14	N	9,999,999,999.9999 Represents the total for the entire Exchange transaction. This is the settled quantity. <u>Best Practice for Transaction Type = E only:</u> Must match the value provided by the ETF Agent in the 'ETF Share Quantity (Exchange To)' field on the MF to ETF Share Class Exchange Details (031) record.	R	019
Exch To Price Per Share	54	65	12	N	999,999.999999 <u>Best Practice for Transaction Type = E only:</u> Must match the value provided by the ETF Agent in the 'ETF Price (NAV) (Exchange To)' field on the MF to ETF Share Class Exchange Details (031) record.	R	027
Exch To Firm Concession	66	74	9	N	9,999,999.99	O	044
Exch To Total Money Amount Due	75	90	16	N	99,999,999,999,999.99 Represents the total for the entire Exchange transaction. This amount will be settled by NSCC as follows: If Correction Ind = space: Debit firm, credit fund.	R	026

Record 8 of 12 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
					If Correction Ind = P: Credit firm, debit fund. <u>For Transaction Type = E only:</u> <ul style="list-style-type: none"> <u>Best Practice:</u> Must match the value provided by the ETF Agent in the 'Money Amount / Market Value (Exchange To)' field on the MF to ETF Share Class Exchange Details (031) record. No settlement when Transaction Type = E. Therefore, Exchange Money Amounts will not appear in the settlement/x- settlement reports. 		
Exch To Currency Indicator	91	93	3	A/N		O	110
Exch To Load Type Indicator	94	94	1	A/N	0 = Other 1 = Front-End Load	R	247
Filler	95	100	6	A/N	Space	R	

Exchange Confirmation (016) Record 9 of 12

Optional. Used to report additional sales charge rate

Record 9 of 12 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Physical Sequence Number	1	2	2	A/N		R	004
Logical Sequence Number	3	4	2	A/N	09	R	004
Filler	5	7	3	A/N	Space	R	
Exch To Gross Money Amount	8	23	16	N	99,999,999,999,999.99	R	019
Exch To Money Amount Due	24	39	16	N	99,999,999,999,999.99	R	026
Exch To Total Share Quantity	40	53	14	N	9,999,999,999.9999	R	019

Record 9 of 12 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Exch To Price Per Share	54	65	12	N	999,999.999999	R	027
Exch To Firm Concession	66	74	9	N	9,999,999.99	O	044
Exch To Sales Charge Rate	75	78	4	N	9.999 Must be provided (but allowed to be zero) if Exch To Load Type Indicator = 1	OC	027
Filler	79	100	22	A/N	Space	R	

Exchange Confirmation (016) Record 10 of 12

Optional. Used to report additional sales charge rate

Record 10 of 12 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Physical Sequence Number	1	2	2	A/N		R	004
Logical Sequence Number	3	4	2	A/N	10	R	004
Filler	5	7	3	A/N	Space	R	
Exch To Gross Money Amount	8	23	16	N	99,999,999,999,999.99	R	019
Exch To Money Amount Due	24	39	16	N	99,999,999,999,999.99	R	026
Exch To Total Share Quantity	40	53	14	N	9,999,999,999.9999	R	019
Exch To Price Per Share	54	65	12	N	999,999.999999	R	027
Exch To Firm Concession	66	74	9	N	9,999,999.99	O	044
Exch To Sales Charge Rate	75	78	4	N	9.999 Must be provided (but allowed to be zero) if Exch To Load Type Indicator = 1	OC	025
Filler	79	100	22	A/N	Space	R	

Exchange Confirmation (016) Record 11 of 12

Optional. Used to report additional sales charge rate

Record 11 of 12 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Physical Sequence Number	1	2	2	A/N		R	004
Logical Sequence Number	3	4	2	A/N	11	R	004
Filler	5	7	3	A/N	Space	R	
Exch To Gross Money Amount	8	23	16	N	99,999,999,999,999.99	R	019
Exch To Money Amount Due	24	39	16	N	99,999,999,999,999.99	R	026
Exch To Total Share Quantity	40	53	14	N	9,999,999,999.9999	R	019
Exch To Price Per Share	54	65	12	N	999,999.999999	R	027
Exch To Firm Concession	66	74	9	N	9,999,999.99	O	044
Exch To Sales Charge Rate	75	78	4	N	9.999 Must be provided (but allowed to be zero) if Exch To Load Type Indicator = 1	OC	025
Filler	79	100	22	A/N	Space	R	

Exchange Confirmation (016) Record 12 of 12

Optional. Used to report additional sales charge rate

Record 12 of 12 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Physical Sequence Number	1	2	2	A/N		R	004
Logical Sequence Number	3	4	2	A/N	12	R	004
Filler	5	7	3	A/N	Space	R	

Record 12 of 12 Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Exch To Gross Money Amount	8	23	16	N	99,999,999,999,999.99	R	019
Exch To Money Amount Due	24	39	16	N	99,999,999,999,999.99	R	026
Exch To Total Share Quantity	40	53	14	N	9,999,999,999.9999	R	019
Exch To Price Per Share	54	65	12	N	999,999.999999	R	027
Exch To Firm Concession	66	74	9	N	9,999,999.99	O	044
Exch To Sales Charge Rate	75	78	4	N	9.999 Must be provided (but allowed to be zero) if Exch To Load Type Indicator = 1	OC	025
Filler	79	100	22	A/N	Space	R	

4. Fund/SERV Exchange Confirmation 016 – Variable

Exchange Confirmation (016)

Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Record Length	1	4	4	N	0569, 0662 = No 'To' sections included 0755 = 'To' sections #1 included 0848 = 'To' sections #1 and #2 0941 = 'To' sections #1, #2 and #3 included 1034 = 'To' sections #1, #2, #3, and #4 1127 = 'To' sections #1, #2, #3, #4 and #5 included	R	152
Physical Sequence Number	5	6	2	A/N	01	R	004
Logical Sequence Number	7	8	2	A/N	01	R	004
Originator Type	9	9	1	A/N	F = Fund	R	187
Filler	10	11	2	A/N	Space	R	
Firm Number	12	15	4	N		R	008
Filler	16	18	3	A/N	Space	R	
Record Type	19	21	3	A/N	016 = Exchange Confirmation 017 = Exchange Reconfirmation 021 = Post Settlement Exchange Cancellation Not permitted if the Security Issue Type field value is 63 and Settlement Override Reason Code field value is space.	RC	002/275
Test Indicator	22	22	1	A/N	0 = Production 1 = Test	R	122
Filler	23	23	1	A/N	Space	R	
Fund Number	24	27	4	N		O	100
Filler	28	30	3	A/N	Space	R	

Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Security Issue Country Code (Exch From)	31	32	2	A/N	Space. For future use	R	
Security Issue ID (Exch From)	33	41	9	A/N		R	007
Security Issue Check Digit (Exch From)	42	42	1	A/N	Space. For future use	R	
Security Issue Type (Exch From)	43	44	2	A/N	Required if 24 (Money Market) <u>Notes:</u> Input: With the exception of Security Issue Type = 24, NSCC does not validate the value against the Fund/SERV Security master file. NSCC leverages the Fund/SERV Security master file to determine value and associated processing rules. Output: NSCC populates with the value in the Fund/SERV Security master file.	OC	150
Control Number	45	59	15	A/N		R	005
Correction Indicator	60	60	1	A/N	Required for record type 021. Not allowed for record type 017. P = Post settlement cancellation	OC	006
Transaction Type	61	61	1	A/N	6 = Exchange to new account 7 = Exchange to existing account C = Voluntary Cross Class Exchange to new account D = Voluntary Cross Class Exchange to existing account E = Exchange to ETF Share Class* *No settlement when Transaction Type = E (Exchange to ETF Share Class). Therefore, Exchange Money Amounts will not appear in the settlement/x-settlement reports.	R	017
Transaction Code	62	63	2	A/N	05 = Full exchange 06 = Partial exchange	R	018
Submission Date	64	71	8	N	mmddccyy	R	101

Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Trade Date	72	79	8	N	mmddccyy	R	016
Book/Physical Share Indicator	80	80	1	A/N	1 = Exchange from book shares to book shares 2 = Exchange from book shares to physical shares	R	015
PI Delivery Indicator	81	81	1	A/N	Required if Book/Physical Share Indicator = 2. 0 = Deliver to customer 1 = Deliver to firm 2 = Deliver to agent for firm	OC	039
Filler	82	82	1	A/N	Space	R	
Settlement Override Reason Code	83	84	2	A/N	Not allowed if Correction Indicator = P. 01 = Wrap fee account 02 = 401K 03 = Other 04 = X-settlement 05 = Section 529 Account – Qualified State Tuition Program 06 = X-settlement offshore enhanced (allowed for Security Types 62 and 63 only) Not allowed when Transaction Type = E* *No settlement when Transaction Type = E (Exchange to ETF Share Class). Therefore, Exchange Money Amounts will not appear in the settlement/x-settlement reports.	OC	179
NSCC Rejection Indicator	85	85	1	A/N	Input: Space Output: 0 = Accepted by NSCC 1 = Rejected by NSCC 2 = Rejected by NSCC, multiple errors	R	
NSCC Reject Code	86	88	3	A/N	Input: Space Output: Reject code	R	

Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
TPA/Investment Agent/TPP Number	89	92	4	A/N	Required if Membership Identifier = 02 or 03	OC	188
Service Provider Number	93	96	4	A/N		O	215
Multiple Firm Numbers Indicator	97	97	1	A/N	<p>1 = Introducing firm has one participant number 2 = Introducing firm has two participant numbers</p> <p>Required when "Transaction Type" = E. Not allowed otherwise.</p> <p>If the firm has a second DTC participant number (equity side), "Multiple Firm Numbers Indicator" must be set to "2" and the second participant number must be provided in the "Firm DTC Number".</p> <p>Must match the value provided by the intermediary on the Exchange Order record (015)</p>	R/C	288
Firm DTC Number	98	101	4	N	<p>Required when "Transaction Type" = E and "Multiple Firm Numbers Indicator" = 2. Not allowed otherwise.</p> <p>If the firm has a second DTC participant number (equity side), "Multiple Firm Numbers Indicator" must be set to "2" and the second participant number must be provided in the "Firm DTC Number".</p> <p>Must match the value provided by the intermediary on the Exchange Order record (015)</p>	R/C	008
Filler	102	104	3	A/N	Space	R	

Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Exch From Share Quantity	105	118	14	N	9,999,999,999.9999 Required if Transaction Code = 06 and Exch From Money Amount (Gross) = 0 <u>Required if Transaction Type = E.</u> Must be populated with the exact number of mutual fund shares which will be exchanged out of the shareholder's account.	OC	019
Customer Account Number at Firm	119	138	20	A/N	Optional if Settlement Override Reason Code = 04 or 06 or if Membership Identifier is provided. Required when Transaction Type = E. Intermediary's BIN is required for MF to ETF Share Class Exchanges. Must match the value provided by the intermediary on the Exchange Order record (015).	RC	020
New Registration Indicator	139	139	1	A/N	0 = No registration required 1 = Registration required for Exchange To	R	040
Exch From Account Number at Fund	140	159	20	A/N	Required if Network Control Ind (for From Account) = 0	OC	011
Filler	160	160	1	A/N	Space	R	
Agent for Firm Number	161	164	4	A/N		O	
Network Control Indicator (for the From Account)	165	165	1	A/N	0 = Non-networked 3 = Matrix level 3 4 = Matrix level 4	R	047

Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Fraction Indicator	166	166	1	A/N	1 = Issue fraction 2 = Liquidation fraction 3 = Liquidate residual amount resulting from MF to ETF Share Class Exchange "3" is allowed when "Transaction Type" = "E". Not allowed otherwise. Best Practice: The value in this field must match the value provided by the firm on the corresponding Exchange Order 015 record.	R	014
Filler	167	167	1	A/N	Space	R	
Transaction Received Time	168	173	6	N	hhmmss Eastern Time 000000 (midnight) to 235959 Required when "Money Market Liquidity Fee Indicator" = "F" (Fund). <u>For Record types 016 and 017</u> Must contain the same value as provided on the Exchange transaction (record type 015). NSCC will reject if a fund provided value is different from the value submitted by the firm.	OC	168
Membership Identifier	174	175	2	A/N	01 = Trust member 02 = Networking info required for TPA/Investment Agent 03 = TPP (Third Party Provider)	O	181
ETF Agent Number	176	179	4	N	Required when Transaction Type = E. ETF Agent NSCC Participant Number. Must match the "ETF Agent Number" field value received on the corresponding Exchange Order record (015) and the MF to ETF share class exchange details record (031).	R/C	289
Filler	180	197	18	A/N	Space	R	
Exch From Money Amount (Gross)	198	213	16	N	99,999,999,999,999.99 Required if Transaction Code = 06 and Exch From Share Quantity = 0	OC	019

Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Exch From Currency Indicator (Gross)	214	216	3	A/N		O	110
Anticipated Settlement Date	217	224	8	A/N	<p>mmddccyy</p> <p>Required if Settlement Override Reason Code is provided and is not = 04 (x-settlement domestic).</p> <p>Not allowed if Settlement Override Reason Code = 04.</p> <p>Not allowed when Transaction Type = E*</p> <p>*No settlement when Transaction Type = E (Exchange to ETF Share Class). Therefore, Exchange Money Amounts will not appear in the settlement/x-settlement reports.</p> <p><u>Reject Code 180 will be returned under the following conditions:</u></p> <ul style="list-style-type: none"> The Anticipated Settlement Date field contains an invalid format. The Anticipated Settlement Date is earlier than the Trade Date. <p><u>Reject Code 179 will be returned under the following conditions:</u></p> <ul style="list-style-type: none"> The Settlement Override Reason Code is set to 04, while the Anticipated Settlement Date is populated (which is not allowed). The Settlement Override Reason Code is blank (space), but the Anticipated Settlement Date is still populated (which is also not allowed). 	OC	179/180
Branch Identification Number	225	233	9	A/N	Optional if Membership Identifier = 01 or 02 and Agent for Firm Number is not provided.	RC	035
Related Trade Indicator	234	234	1	A/N	0 = No 1 = Yes	R	065
Related Trade Identifier	235	236	2	A/N	Required if Related Trade Indicator = 1	OC	105

Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Customer Name	237	256	20	A/N		R	063
Exch From Sales Charge Rate	257	260	4	N	9.999	O	025
As-Of Indicator	261	261	1	A/N	0 = Regular Exchange 1 = As-Of Exchange	O	021
Discount Type	262	262	1	A/N	1 = Letter of intent 2 = Rights of accumulation 3 = Net asset value	O	208
Filler	263	267	5	A/N	Space	R	
NAV Reason Code	268	268	1	A/N	Required if Discount Type = 3. 0 = Other 1 = Net asset value transfer 2 = Repurchase 3 = Employee 4 = Error correction 5 = Wrap fee account 6 = NAV commissionable 7 = Commissionable defined contribution plan 8 = Non-commissionable defined contribution plan 9 = Section 529 Account – Qualified State Tuition Program A = Dividend reinvestment trade B = Trust Company NAV per Agreement D = Deminimis Amount Processed at NAV E = Self Directed Brokerage Account	OC	104

Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
As-Of Reason Code	269	270	2	A/N	<p>Required if As-Of Indicator = 1</p> <p>01 = Incorrect Firm/Fund Account Number</p> <p>02 = Incorrect Share Quantity/Dollar Quantity</p> <p>03 = Incorrect security issue ID</p> <p>04 = Customer renege</p> <p>05 = Incorrect Sales Charge Breakpoint</p> <p>07 = Blue sky violation</p> <p>09 = Delay in Firm Trade Transmission</p> <p>10 = With Fund's Permission</p> <p>11 = Resubmitted Fund/SERV Reject</p> <p>12 = DCC&S (see Asset Type Indicator)</p> <p>13 = Distribution Reversal</p> <p>14 = Prospectus Violation</p>	OC	109
Redemption Fee Indicator	271	271	1	A/N	<p>0 = Short-Term Redemption (STR)</p> <p>1 = STR with CDSC</p> <p>2 = Money Market Liquidity Fee</p> <p>3 = Money Market Liquidity Fee with CDSC</p> <p>Values "0" and "1" are not allowed for record types 016 and 017 if this field was blank on the original Exchange transaction (record type 015).</p> <p>Values "2" and "3" are allowed for record types 016 and 017 if this field was blank on the original Exchange transaction (record type 015).</p>	O	248

Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Short-Term Redemption Fee Waiver Indicator	272	272	1	A/N	1 = STR waiver due to correction 2 = Death 3 = Disability 4 = Mandatory distribution 5 = Systematic withdrawal 6 = Defined contribution 7 = Hardship 8 = Auto Rebalance 9 = DC – Termination Distribution A = DC – Involuntary Distribution B = DC – Forfeitures C = DC – Loans D = DC – Excess Contributions E = Wrap Program F = Fund of Funds G = Divorce/QDRO H = Plan fees QDRO	O	249
Filler	273	289	17	A/N	Space	R	
Trade Date Forward Indicator	290	290	1	A/N	0 = Trade Date not forwarded 1 = Trade Date forwarded. <u>For record type 016 and 017:</u> Must be same as on original exchange	OC	229
Security Issue Country Code (Exch To)	291	292	2	A/N	Space. For future use	R	
Security Issue ID (Exch To)	293	301	9	A/N		R	041
Security Issue Check Digit (Exch To)	302	302	1	A/N	Space. For future use	R	

Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Security Issue Type (Exch To)	303	304	2	A/N	<p>Required if 24 (Money Market)</p> <hr/> <p>Notes:</p> <p>Input: With the exception of Security Issue Type = 24, NSCC does not validate the value against the Fund/SERV Security master file. NSCC leverages the Fund/SERV Security master file to determine value and associated processing rules.</p> <p>Output: NSCC populates with the value in the Fund/SERV Security master file.</p> <p>This field will be BLANK (for ETF Share Class securities) on the output when Transaction Type=E.</p>	OC	150
Exch To Account Number	305	324	20	A/N	<p>Required if Book/Physical Share Indicator = 2</p> <p>Required when Transaction Type = E. Must match the value provided by the intermediary on the Exchange Order record (015).</p> <p><u>Best practice for Transaction Type=E:</u> ETF Agents will deliver ETF share class securities into this account; must be provided on the DTC DO transaction.</p>	OC	011
Exch To Account Number Indicator	325	325	1	A/N	<p>Required if Exch To Account Number is provided.</p> <p>1 = Fund 2 = Firm</p> <p>Must match the value provided by the intermediary on the Exchange Order record (015).</p> <p><u>Best practice for Transaction Type = E:</u> must be "2" = Firm</p>	OC	048
Network Control Indicator (for the To Account)	326	326	1	A/N	<p>0 = Non-networked 3 = Matrix level 3 4 = Matrix level 4</p>	R	047

Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Exch To Sales Charge Rate	327	330	4	N	9.999 Must be provided (but allowed to be zero) if Exch To Load Type Indicator = 1	OC	025
ROA/LOI Value	331	346	16	N	99,999,999,999,999.99	O	064
LOI Number/Date	347	354	8	A/N		O	
State of Sale (State Code)	355	356	2	A/N	Required for all exchanges	R	012
Money Market Liquidity Fee Indicator	357	357	1	A/N	F = Fund. B = Intermediary <u>For Record Types 016 & 017</u> Must contain the same value as provided on the Exchange transaction (record type 015). NSCC will reject if a fund provided value is different from the value submitted by the firm.	O	282
Transaction Received Date	358	365	8	A/N	mmddccyy Required if the "Money Market Liquidity Fee Indicator" = "F". <u>For Record Types 016 & 017</u> Must contain the same value as provided on the Exchange transaction (record type 015). NSCC will reject if a fund provided value is different from the value submitted by the firm.	OC	283

Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Aggregated Order Indicator	366	366	1	A/N	<p>Required when "Money Market Liquidity Fee Indicator" = "F" or "B".</p> <ul style="list-style-type: none"> • 1 = Transactions are not aggregated • 2 = Transactions are aggregated by "like" orders (purchases separate from redemptions) • 3 = Transactions are net of purchases and redemptions • 4 = Unknown at time of placement <p><u>For Record Types 016 & 017</u></p> <p>Must contain the same value as provided on the Exchange transaction (record type 015).</p> <p>NSCC will reject if a fund provided value is different from the value submitted by the firm.</p>	OC	284
Filler	367	376	10	A/N	Space	R	
Standard ID	377	382	6	A/N		O	
Program Transaction Indicator	383	383	1	A/N	1 = Systematic Exchange	O	259
Account Representative Number	384	392	9	A/N		O	
Account Representative Name	393	407	15	A/N		O	
Confirm Number	408	419	12	A/N		O	
Memo Field	420	439	20	A/N		O	

Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Redemption Fee Rate	440	446	7	N	<p>99.99999</p> <p>Not allowed if "Redemption Fee Indicator" is not provided.</p> <p>Required when "Redemption Fee Indicator" is populated with either '2' (Money Market Liquidity Fee) or '3' (Money Market Liquidity Fee with CDSC).</p> <p>Zero value is not allowed when this field is required and "Redemption Fee Indicator" =2 or 3.</p> <p>If "Redemption Fee Indicator" = 0 or 1, this field will be utilized to communicate a Short-Term Redemption (STR) Fee Rate.</p>	OC	250
STR Fee Share Quantity	447	460	14	N	<p>9,999,999,999.9999</p> <p><u>For all record types</u></p> <p>Not allowed if "Redemption Fee Indicator" is not provided.</p> <p><u>For record types 016 and 017:</u></p> <p>If zero or Space, will not override the "STR Fee Share Quantity" in the database.</p> <p><u>For all record types</u></p> <p>Not allowed when "Redemption Fee Indicator" is populated with either '2' (Money Market Liquidity Fee) or '3' (Money Market Liquidity Fee with CDSC).</p>	O	251

Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Redemption Fee Money Amount	461	476	16	N	<p>99,999,999,999,999.99</p> <p><u>For all record types</u> Not allowed if “Redemption Fee Indicator” is not provided.</p> <p><u>For record types 016 and 017:</u> Required when “Redemption Fee Indicator” is provided.</p> <p><u>For all record types</u> Required when “Redemption Fee Indicator” is populated with either ‘2’ (Money Market Liquidity Fee) or ‘3’ (Money Market Liquidity Fee with CDSC). Zero value is not allowed when this field is required.</p> <p>If “Redemption Fee Indicator” = 0 or 1, this field will be utilized to communicate a Short-Term Redemption (STR) Fee Money Amount.</p>	OC	252
Exch From Money Amount Due	477	492	16	N	<p>99,999,999,999,999.99</p> <p>This amount will be settled by NSCC as follows:</p> <p>If Correction Ind = space: Credit firm, debit fund;</p> <p>If Correction Ind = P: Debit firm, credit fund.</p> <p><u>For Transaction Type = E only:</u></p> <ul style="list-style-type: none"> <u>Best Practice:</u> Must match the value provided by the ETF Agent in the ‘Money Amount / Market Value (Exchange To)’ field on the MF to ETF Share Class Exchange Details (031) record. No settlement when Transaction Type = E. Therefore, Exchange Money Amounts will not appear in the settlement/x- settlement reports. 	R	026

Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Exch From Currency Indicator Due	493	495	3	A/N		O	110
Invoke Indicator	496	496	1	A/N	1 = Yes (postpone settlement until reconfirmed) 2 = No (settle Exchange). Must be 2 for record type 017 or if Correction Indicator = P	R	043
Tefra Withholding	497	497	1	A/N	0 = No withholding 1 = 20% withholding	R	050
Exch From Price Per Share	498	509	12	N	999,999.999999	R	027
Filler	510	513	4	A/N	Space	R	
Exch From Sales Charge Amount	514	522	9	N	9,999,999.99	O	088
Number of 'To' sections	523	524	2	N	00-05 Must correspond Record Length	R	049
Exch To Account Number #2	525	544	20	A/N		O	
Exch To Account Number #2 Indicator	545	545	1	A/N	Required if Exch To Account Number #2 is provided. 1 = Fund 2 = Firm	OC	048
Exchange Fee	546	553	8	N	999,999.99	O	042
Filler	554	567	14	A/N	Space	R	
Breakpoint Change Reason Code	568	568	1	A/N	1 = ROA value at fund 2 = LOI at fund 3 = The higher of cost or market value at fund 4 = Jumbo Pricing 5 = Wrap Account 6 = NAV Account 7 = Amount Processed at NAV	O	246
Filler	569	569	1	A/N	Space	R	
Original Control Number	570	584	15	A/N		O	

Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Original Correction Indicator	585	585	1	A/N	C-N = Pre-settlement correction P = Post settlement correction/cancellation Space = No correction	O	164
Filler	586	662	77	A/N	Space	R	
Start of 'To' section #1 (required if Invoke Indicator = 2)							
Exch To Gross Money Amount 1	663	678	16	N	99,999,999,999,999.99	R	019
Exch To Money Amount Due 1	679	694	16	N	99,999,999,999,999.99	R	026
Exch To Total Share Quantity 1	695	708	14	N	9,999,999,999.9999 Represents the total for the entire Exchange transaction. This is the settled quantity <u>Best Practice for Transaction Type = E only:</u> Must match the value provided by the ETF Agent in the 'ETF Share Quantity (Exchange To)' field on the MF to ETF Share Class Exchange Details (031) record.	R	019
Exch To Price Per Share 1	709	720	12	N	999,999.999999 <u>Best Practice for Transaction Type = E only:</u> Must match the value provided by the ETF Agent in the 'ETF Price (NAV) (Exchange To)' field on the MF to ETF Share Class Exchange Details (031) record.	R	027
Exch To Firm Concession 1	721	729	9	N	9,999,999.99	O	044

Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Exch To Total Money Amount Due	730	745	16	N	99,999,999,999,999.99 Represents the total for the entire Exchange transaction. This amount will be settled by NSCC as follows: If Correction Ind = space: Debit firm, credit fund; If Correction Ind = P: Credit firm, debit fund. <u>For Transaction Type = E only:</u> <ul style="list-style-type: none"> Best Practice: Must match the value provided by the ETF Agent in the 'Money Amount / Market Value (Exchange To)' field on the MF to ETF Share Class Exchange Details (031) record. No settlement when Transaction Type = E. Therefore, Exchange Money Amounts will not appear in the settlement/x- settlement reports. 	R	026
Exch To Currency Indicator	746	748	3	A/N		O	110
Exch To Load Type Indicator	749	749	1	A/N	0 = Other 1 = Front-End Load	R	247
Filler	750	755	6	A/N	Space	R	
Start of 'To' section #2 (optional, used to report additional sales charge rate)							
Exch To Gross Money Amount 2	756	771	16	N	99,999,999,999,999.99	R	019
Exch To Money Amount Due 2	772	787	16	N	99,999,999,999,999.99	R	026
Exch To Total Share Quantity 2	788	801	14	N	9,999,999,999.9999	R	019
Exch To Price Per Share 2	802	813	12	N	999,999.999999	R	027
Exch To Firm Concession 2	814	822	9	N	9,999,999.99	O	044

Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Exch To Sales Charge Rate 2	823	826	4	N	9.999 Must be provided (but allowed to be zero) if Exch To Load Type Indicator = 1	OC	025
Filler	827	848	22	A/N	Space	R	
Start of 'To' section #3 (optional, used to report additional sales charge rate)							
Exch To Gross Money Amount 3	849	864	16	N	99,999,999,999,999.99	R	019
Exch To Money Amount Due 3	865	880	16	N	99,999,999,999,999.99	R	026
Exch To Total Share Quantity 3	881	894	14	N	9,999,999,999.9999	R	019
Exch To Price Per Share 3	895	906	12	N	999,999.999999	R	027
Exch To Firm Concession 3	907	915	9	N	9,999,999.99	O	044
Exch To Sales Charge Rate 3	916	919	4	N	9.999 Must be provided (but allowed to be zero) if Exch To Load Type Indicator = 1	OC	025
Filler	920	941	22	A/N	Space	R	
Start of 'To' section #4 (optional, used to report additional sales charge rate)							
Exch To Gross Money Amount 4	942	957	16	N	99,999,999,999,999.99	R	019
Exch To Money Amount Due 4	958	973	16	N	99,999,999,999,999.99	R	026
Exch To Total Share Quantity	974	987	14	N	9,999,999,999.9999	R	019
Exch To Price Per Share 4	988	999	12	N	999,999.999999	R	027
Exch To Firm Concession 4	1000	1008	9	N	9,999,999.99	O	044
Exch To Sales Charge Rate 4	1009	1012	4	N	9.999 Must be provided (but allowed to be zero) if Exch To Load Type Indicator = 1	OC	025
Filler	1013	1034	22	A/N	Space	R	

Field Name	Start	End	Len	Type	Description	Opt/ Req	Reject Code
Start of 'To' section #5 (optional, used to report additional sales charge rate)							
Exch To Gross Money Amount 5	1035	1050	16	N	99,999,999,999,999.99	R	019
Exch To Money Amount Due 5	1051	1066	16	N	99,999,999,999,999.99	R	026
Exch To Total Share Quantity 5	1067	1080	14	N	9,999,999,999.9999	R	019
Exch To Price Per Share 5	1081	1092	12	N	999,999.999999	R	027
Exch To Firm Concession 5	1093	1101	9	N	9,999,999.99	O	044
Exch To Sales Charge Rate 5	1102	1105	4	N	9.999 Must be provided (but allowed to be zero) if Exch To Load Type Indicator = 1	OC	025
Filler	1106	1127	22	A/N	Space	R	

5. Networking Activity F55

Activity Detail (F55) #1

Required Record

Input from Fund

Output from NSCC to Firm

The Networking activity detail record is used by the fund to report non-Fund/SERV trade information to the firm.

Activity Reporting Records Activity Detail (F55) #1

#1 of 6 Field Name	Start	End	Len	Type	Description	Opt/ Req
System Code	1	1	1	A/N	F = Fund	R
Record Type	2	3	2	A/N	55 = Activity Detail	R
Sequence Number	4	5	2	A/N	01	R
Clearing/Settling Firm Number	6	9	4	N		R
Clearing/Settling Fund Number	10	13	4	N		R
Security Issue ID Number	14	22	9	N		R
Transaction Type	23	24	2	A/N	01 = Direct Purchase 02 = Direct Redemption Create new sub-code "BQ" under Transaction Type "02" – "Liquidation of Residual Amount from MF to ETF Share Class Exchange" 03 = Pre-Authorized Check (PAC) 04 = Check Redemption 05 = LOI Adjustment 06 = ROA Adjustment 07 = Dividend Adjustment 08 = Long Term Capital Gain Adjustment 09 = Fund Price Adjustment 10 = Exchange Ex-Fund/SERV 11 = Fiduciary Fees 12 = Reinvest from other Fund 13 = Direct Transfer	R

#1 of 6 Field Name	Start	End	Len	Type	Description	Opt/ Req
					14 = Systematic Withdrawal Plan 15 = Exchange Fee 16 = Certificate Deposit 17 = Short Term Cap Gain Adjustment 18 = Dividend Related Transaction 19 = N/A 20 = N/A 21 = Share Adjustment 22 = Share Class Exchange 23 = Fund Merger Activity 24 = Purchase Cancellation 25 = Redemption Cancellation 26 = Gain on Collectables Adjustment 27 = Section 1202 Gain Adjustment 28 = Un-recaptured Section 1250 - Gain Adjustment 29 = Fund Closing 30 = Small Balance Liquidation 31 = Target Payment Plans 32 = Accrual Adjustment 33 = Transfer From - Cancellation 34 = Transfer To - Cancellation 35 = Direct Voluntary Cross Class Exchange 50 = Closing balance record	
					Note: Transaction Description Codes can also be used. For a complete list of Transaction Description Codes please refer to the "Networking Transaction Codes" list at https://dtcclearning.com/products-and-services/mutual-fund-services/codes.html	
					Transaction Description Codes "AZ=Initial Purchase" and "A@=Subsequent Purchase" added as sub-category codes under Transaction Type "01=Direct Purchase".	

#1 of 6 Field Name	Start	End	Len	Type	Description	Opt/ Req
					<u>Best Practice for direct purchase transaction description codes:</u> <ul style="list-style-type: none"> Transaction Description Codes "AZ=Initial Purchase" and "A@=Subsequent Purchase" should be used in lieu of Transaction Type "01=Direct Purchase". Direct Purchase transactions that utilize Transaction Description Codes (other than AZ and A@) listed under Transaction Type "01=Direct Purchase" on the Networking Transaction Codes list should continue to provide these sub-category codes. 	
Firm/Fund Identification Number	25	44	20	A/N		R
Effective Date	45	52	8	N	mmddccyy	R
Share/Balance Amount	53	65	13	N	999,999,999.9999 Required if Share/Balance Amount - Extended is NOT provided in record F55 sequence #4. Otherwise, it is not allowed.	OC
Share/Balance Indicator	66	66	1	A/N	1 = Book Shares 2 = Physical Shares	R
Debit/Credit Indicator	67	67	1	A/N	1 = Debit (Shares and Money) 2 = Credit (Shares and Money) 3 = N/A (for Transaction Type 50)	R
Dollar Amount	68	83	16	N	Optional if Transaction Type 32 (Accrual Adjustment). 99,999,999,999,999.99	RC
Network Control Indicator	84	84	1	A/N	0 = Matrix Level 0 3 = Matrix Level 3 4 = Matrix Level 4	R
Dividend Code	85	85	1	N	0 = Dividend Cash/Ltcg- Cash/Stcg- Cash 1 = Dividend Reinvest/Ltcg- Reinvest/Stcg- Reinvest 2 = Dividend Cash/Ltcg- Cash/Stcg- Reinvest 3 = Dividend Cash/Ltcg- Reinvest/Stcg-Reinvest 4 = Dividend Cash/Ltcg- Reinvest/Stcg-Cash 5 = Dividend Reinvest/Ltcg- Cash/Stcg-Cash 6 = Dividend Reinvest/Ltcg- Reinvest/Stcg-Cash 7 = Dividend Reinvest/Ltcg- Cash/Stcg-Reinvest	R

#1 of 6 Field Name	Start	End	Len	Type	Description	Opt/ Req
Margin Account Indicator	86	86	1	A/N	0 = No 1 = Yes	R
Combined TEFRA/NRA Indicator	87	87	1	A/N	1 = Tefra 2 = NRA 3 = None	R
Load Type Indicator	88	88	1	A/N	Required for Transaction Types 01 (including Transaction Description Codes starting with 'A'), 03, 09, 10 (including Transaction Description Codes starting with 'J'), and 24. <ul style="list-style-type: none">0 = Other1 = Front-End Load	OC
Firm/Fund Identification Indicator	89	89	1	A/N	1 = Fund (FIN) 2 = Firm (BIN)	R
Social Code	90	91	2	A/N	See Social Code list at https://dtcclearning.com/documents/mutual-fund-services-1/mfs-cross-product/codes-8/2498-social-codes/file.html	R
Membership Identifier	92	93	2	A/N	Required for Transaction Type = 13 (Direct Transfer), 33 (Transfer from – Cancellation), 34 (Transfer to – Cancellation). 00 = N/A 01 = Trust 02 = TPA/Investment Agent	OC
Opposing Membership Identifier	94	95	2	A/N	Required if Transaction Type = 13 (Direct Transfer); 33 (Transfer From – Cancellation); 34 (Transfer To – Cancellation). Opposing Membership Identifiers: 00 = N/A 01 = Trust	OC
Filler	96	98	3	A/N	Space	R
Filler/Reject Code	99	100	2	A/N	Input: Space Output: Reject Code	R

Activity Detail (F55) #2

Optional Conditional Record

Input from Fund

Output from NSCC to Firm

This record is required for all transaction types with the exception of types 11 and 50.

Activity Reporting Records Activity Detail (F55) #2

#2 of 6 Field Name	Start	End	Len	Type	Description	Opt/ Req
System Code	1	1	1	A/N	F = Fund	R
Record Type	2	3	2	N	55 = Activity Detail	R
Sequence Number	4	5	2	A/N	02	R
Clearing/Settling Firm Number	6	9	4	N		R
Clearing/Settling Fund Number	10	13	4	N		R
Security Issue Number	14	22	9	A/N		R
Original Trade Date/ Payable Date for Dividend Adj	23	30	8	N	mmddccyy	R
Price	31	42	12	N	999999.999999	R
Currency Indicator	43	45	3	A/N	USD or spaces	R
IRA Year of Contribution Code	46	46	1	A/N	1 = Current Year 2 = Prior Year 3 = N/A	R
Cross Security Issue Number	47	55	9	A/N	Required for Transaction Types 10 = Exchange Ex-Fund/SERV 12 = Reinvest from other Fund 22 = Share Class Exchange 23 = Fund Merger Activity 35 = Direct Voluntary Cross Class Exchange Also Required for Transaction Description Codes starting with 'J' and 'W'	OC
Description	56	84	29	A/N	Required for Transaction Type 21 (including Transaction Description Code starting with 'U')	OC

#2 of 6 Field Name	Start	End	Len	Type	Description	Opt/ Req
Dividend Rate	85	89	5	N	99.999 Required for Transaction Type 07 and 08	OC
Agent for Firm Number	90	93	4	A/N		O
529 Transfer Reason Code	94	94	1	A/N	1 = Owner – Resignation 2 = Owner – Death 3 = Owner – Divorce 4 = Beneficiary Change - In Family 5 = Beneficiary Change - Out of Family 6 = In Kind 7 = UGMA/UTMA (Age of Majority)	O
IRS 529 Annual Strategy Change Counter	95	95	1	A/N	0 thru 9	O
Filler	96	98	3	A/N	Space	R
Filler/Reject Code	99	100	2	A/N	Input: Space Output: Reject Code	R

Activity Detail (F55) #3 – Supplemental Record

Optional Conditional Record

Input from Fund

Output from NSCC to Firm

This record is used to report financial trade information from direct fund activity where reporting responsibility is with the firm.

The record is required for:

- Transaction Type = 01 (including Transaction Description Codes starting with 'A'), 03, 09, 10 (including Transaction Description Codes starting with 'J'), and 24, if Load Type Indicator = 1;
- Transaction Type = 02 (including Transaction Description Codes starting with 'B'), 07, 08, 14, 17, 29, 30, 31, and 32.
- Membership Identifier = 02 (TPA/Investment Agent).

Activity Reporting Records Activity Detail (F55) #3

#3 of 6 Field Name	Start	End	Len	Type	Description	Opt/ Req
System Code	1	1	1	A/N	F = Fund	R
Record Type	2	3	2	N	55 = Activity Detail	R
Sequence Number	4	5	2	A/N	03	R
Clearing/Settling Firm Number	6	9	4	N		R
Clearing/Settling Fund Number	10	13	4	N		R
Security Issue Number	14	22	9	A/N		R
Withholding Indicator	23	23	1	A/N	1 = NRA 2 = TEFRA Backup 3 = TEFRA Pension	O
Withholding Amount	24	39	16	N	99,999,999,999,999.99	O
Exchange Fee	40	43	4	N	99.99	O
Sales Charge Rate	44	47	4	N	9.999 If Load Type Indicator = 1, must be provided (but allowed to be zero) for the Transaction Type 01 (including Transaction Description Code starting with 'A'), 03, 09, 10 (including Transaction Description Code starting with 'J'), and 24.	OC

#3 of 6 Field Name	Start	End	Len	Type	Description	Opt/ Req
Commission/CDSC Amount	48	63	16	N	99,999,999,999,999.99	O
Cash Disbursement Indicator	64	64	1	A/N	Required for Transaction Type 02 (including Transaction Description Code starting with 'B'), 07, 08, 14, 17, 29, 30, and 31. <ul style="list-style-type: none"> 0 = Cash To Firm (Settlement through NSCC Generates Record (N75) for Transaction Types 02 (including Transaction Description Code starting with 'B'), 14, 29, 30 and 31 only) 1 = Firm 2 = Customer 3 = Payee (for Dividends) 4 = Cross Fund Reinvestment 5 = 1099 Update Only 6 = Cash to Trust (Settlement through NSCC Generates Record (N75) for Transaction Types 02 (including Transaction Description Code starting with 'B'), 14, 29, 30 and 31 only) 	OC
Buy/Sell Indicator	65	65	1	A/N	1 = Buy 2 = Sell 3 or Spaces = N/A	O
TPA/Investment Agent Number	66	69	4	A/N	Required for Membership Identifier 02 (TPA/Investment Agent)	OC
Accrual Indicator	70	70	1	A/N	Required for Transaction Type 32 (Accrual Adjustment). 1 = Credit 2 = Debit 3 = Accrual Money Balance (Bucket Balance)	OC
Transfer Disbursement Option – Accruals	71	71	1	A/N	2 = Cash to Customer – Delivering Firm 4 = Reinvest – Receiving Firm (bucket to bucket)	O
Accrual Money Amount / Accrual Money Account Balance	72	87	16	N	Required for Transaction Type 32 (Accrual Adjustment). 99,999,999,999,999.99 This field should be: If Transaction type = 13 or 32, Accrual Money Amount; If Transaction type = 50, Accrual Money Account Balance	OC
Filler	88	98	11	A/N	Space	O

#3 of 6 Field Name	Start	End	Len	Type	Description	Opt/ Req
Filler/Reject Code	99	100	2	A/N	Input: Space Output: Reject Code	R

Activity Detail (F55) #4

Optional Conditional Record

Input from Fund

Output from NSCC to Firm

This record is used to report financial trade information from direct fund activity where reporting responsibility is with the firm.

This record is required:

- If Share/Balance Amount is NOT provided in record F55 sequence #1.
- If Transaction Type in the record F55 sequence #1 equals:
 - 13 (Direct Transfer) or
 - 33 (Transfer From – Cancellation) or
 - 34 (Transfer To – Cancellation).
 - **BQ (“Liquidation of Residual Amount from MF to ETF Share Class Exchange”)**

Otherwise, it is optional.

Activity Reporting Records Activity Detail (F55) #4

#4 of 6 Field Name	Start	End	Len	Type	Description	Opt/ Req
System Code	1	1	1	A/N	F = Fund	R
Record Type	2	3	2	N	55 = Activity Detail	R
Sequence Number	4	5	2	A/N	04	R
Clearing/Settling Firm Number	6	9	4	N		R
Clearing/Settling Fund Number	10	13	4	N		R
Security Issue Number	14	22	9	A/N		R

#4 of 6 Field Name	Start	End	Len	Type	Description	Opt/ Req
Original Control Number	23	37	15	A/N	Required if Transaction Type 13 (“Direct Transfer”) or BQ (“Liquidation of Residual Amount from MF to ETF Share Class Exchange”) in record F55 sequence #1. Best Practice: When Transaction Type = BQ (“Liquidation of Residual Amount from MF to ETF Share Class Exchange”), this field must be populated with the “Control Number” from the corresponding Fund/SERV Exchange Order 015.	OC
Control Number Correction Indicator	38	38	1	A/N	Space or ‘C’ through ‘Z’	O
Opposing Fund Account Number	39	58	20	A/N	Required if Transaction Type = 13 (Direct Transfer) 33 (Transfer From – Cancellation) 34 (Transfer To – Cancellation) Value is generated by the Fund	OC
Share/Balance Amount – Extended	59	74	16	N	999,999,999,999.9999 Required if Share/Balance Amount is NOT provided in record F55 sequence #1. Otherwise, it is not allowed.	OC
Original Control Number Indicator	75	75	1	A/N	Required if Original Control Number field in record F55 sequence #4 is populated. 1 = Fund/SERV Control Number 2 = Networking Control Number 3 = Manual Reference Number “1” is required if Transaction Type = BQ (“Liquidation of Residual Amount from MF to ETF Share Class Exchange”)	OC
Underlying Customer Account Number	76	95	20	A/N	Underlying Customer Account Number at the Firm receiving the F55 record	O
Filler	96	98	3	A/N	Space	R
Filler/Reject Code	99	100	2	A/N	Input: Space Output: Reject Code	R

Activity Detail (F55) #5

Optional Conditional Record

Input from Fund

Output from NSCC to Firm

This record is required if the Transaction Type in the record F55 sequence #1 equals:

- 13 (Direct Transfer);
- 33 (Transfer From – Cancellation);
- 34 (Transfer To – Cancellation).

Otherwise, it is optional.

Activity Reporting Records Activity Detail (F55) #5

#5 of 6 Field Name	Start	End	Len	Type	Description	Opt/ Req
System Code	1	1	1	A/N	F = Fund	R
Record Type	2	3	2	N	55 = Activity Detail	R
Sequence Number	4	5	2	A/N	05	R
Clearing/Settling Firm Number	6	9	4	N		R
Clearing/Settling Fund Number	10	13	4	N		R
Security Issue Number	14	22	9	A/N		R
Opposing Clearing/Settling Firm Number	23	26	4	N	NSCC participant number of the Firm or Fund (in the case of a direct Level 0 Account). Required if Transaction Type = 13 (Direct Transfer) 33 (Transfer From – Cancellation) 34 (Transfer To – Cancellation)	OC

#5 of 6 Field Name	Start	End	Len	Type	Description	Opt/ Req
Opposing Network Control Indicator	27	27	1	A/N	0 = Matrix Level 0 3 = Matrix Level 3 4 = Matrix Level 4 Required if Transaction Type = 13 (Direct Transfer), 33 (Transfer From – Cancellation), 34 (Transfer To – Cancellation).	OC
Opposing Underlying Customer Account Number	28	47	20	A/N		O
Omnibus Account Indicator	48	48	1	A/N	Omnibus Account Indicator Flag 0 or blank = N; 1 = Y	O
Cost Basis Money Amount	49	64	16	N	99,999,999,999,999.99 This field should be populated for 529 accounts, when applicable.	O
Earnings to Date Money Amount	65	80	16	N	99,999,999,999,999.99 This field should be populated for 529 accounts, when applicable.	O
Negative Earnings to Date Indicator	81	81	1	A/N	N = Negative Space = Positive This field should be populated for 529 accounts, when applicable.	O
Opposing Originating/Underlying Firm Number	82	85	4	A/N	Opposing Originating Broker Firm number (The underlying firm's NSCC ID number, for firms transacting through an MF Agent)	O
Originating/Underlying Firm Number	86	89	4	A/N	Originating Broker Firm number (The underlying firm's NSCC ID number, for firms transacting through an MF Agent)	O
Filler	90	98	9	A/N	Space	R
Filler/Reject Code	99	100	2	A/N	Input: Space Output: Reject Code	R

Activity Detail (F55) #6

Optional Conditional Record

Input from Fund

Output from NSCC to Firm

This record is required if "Transaction Type" on record F55 sequence #1 equals:

- BN - Money Market Liquidity Fee or
- BO - Money Market Liquidity Fee with CDSC.

Otherwise, it is optional.

Activity Reporting Records Activity Detail (F55) #6

#6 of 6 Field Name	Start	End	Len	Type	Description	Opt/ Req
System Code	1	1	1	A/N	F = Fund	R
Record Type	2	3	2	N	55 = Activity Detail	R
Sequence Number	4	5	2	A/N	06	R
Clearing/Settling Firm Number	6	9	4	N		R
Clearing/Settling Fund Number	10	13	4	N		R
Security Issue Number	14	22	9	A/N		R
FATCA Withholding Indicator	23	23	1	A/N	0 = No 1 = Yes	O
FATCA Withholding Rate	24	25	2	N	.99 Required for FATCA Withholding Indicator 1 (Yes). Zeroes allowed.	OC
FATCA Withholding Amount	26	41	16	N	99,999,999,999,999.99 Required for FATCA Withholding Indicator 1 (Yes). Zeroes allowed.	OC

#6 of 6 Field Name	Start	End	Len	Type	Description	Opt/ Req
Redemption Fee Rate	42	48	7	N	<p>99.99999</p> <p>Required when "Transaction Type" field is populated with one of the following "Transaction Description Codes":</p> <ul style="list-style-type: none"> • 'BN'=Money Market Liquidity Fee or • 'BO'=Money Market Liquidity Fee with CDSC <p>Zero value is not allowed when this field is required.</p> <p>This field can be utilized to pass the Redemption Fee Rate for the following fee types:</p> <ul style="list-style-type: none"> • Money Market Liquidity Fee • Short Term Redemption (STR) Fee <p>This field can be utilized to communicate a Short Term Redemption (STR) Fee Rate if "Transaction Type" field is populated with one of the following "Transaction Description Codes":</p> <ul style="list-style-type: none"> • 'BH'=Short Term Redemption Fee or • 'BI'=Short Term Redemption Fee with CDSC 	OC
Redemption Fee Money Amount	49	64	16	N	<p>99,999,999,999,999.99</p> <p>Required when "Transaction Type" field is populated with one of the following "Transaction Description Codes":</p> <ul style="list-style-type: none"> • 'BN'=Money Market Liquidity Fee or • 'BO'=Money Market Liquidity Fee with CDSC <p>Zero value is not allowed when this field is required.</p> <p>This field can be utilized to pass the Redemption Fee Money Amount for the following fee types:</p> <ul style="list-style-type: none"> • Money Market Liquidity Fee • Short Term Redemption (STR) Fee <p>This field can be utilized to communicate a Short Term Redemption (STR) Fee Money Amount if "Transaction Type" field is populated with one of the following "Transaction Description Codes":</p> <ul style="list-style-type: none"> • 'BH'=Short Term Redemption Fee or • 'BI'=Short Term Redemption Fee with CDSC 	OC

#6 of 6 Field Name	Start	End	Len	Type	Description	Opt/ Req
Account Representative ID	65	73	9	A/N	Account Representative ID	O
Branch Identification Number	74	82	9	A/N	Branch ID Number	O
Account Open Date	83	90	8	A/N	mmddccyy Must be a valid calendar date <u>Best Practice:</u> Date of account establishment for the particular Security Issue ID. This is NOT the date of account funding.	O
Filler	91	98	8	A/N	Space	R
Filler/Reject Code	99	100	2	A/N	Input: Space Output: Reject Code	R

Networking Transaction Codes

Code	Description
Transaction Type 01 (Direct Purchase)	
A0	EFT Purchase
A1	Payroll Deduction
A2	Bank Wire
A3	Automated Voice Response System Purchase
A4	Money Fund Draft Purchase (draft drawn on same fund family)
A5	Government Allotment Purchase
A6	Current Year Contribution
A7	Prior Year Contribution
A8	IRA Rollover
A9	Trustee Transfer
AA	Stock Split
AB to AP	Reserved to Indicate Hold Period on Purchased Shares
AB	Hold 1 Day
AC to AP	Hold 2 Days to 15 Days
AQ	Non-IRA Rollover
AR	Roth Conversion
AS	IRA Re-Characterization
AT	Non-Current Contribution beyond prior year
AU	529 Rollover Contribution The AU transaction code can be utilized when submitting: <ul style="list-style-type: none"> A single purchase transaction containing both the basis and earnings Two separate purchase transactions; one for basis and one for earnings. In this case, AU should be used for basis and AV or AW for earnings
AV	529 Rollover Contribution – Earnings Portion
AW	529 Rollover Contribution – Negative Earnings Portion
AX	529 Rollover Contribution – Rollover
AY	529 – Aged Based Roll
AZ	Initial Purchase
A@	Subsequent Purchase

Code	Description
Transaction Type: 02 (Direct Redemption)	
B0	EFT
B1	Bank Wire
B2	Automated Voice Response System Redemption
B3	Telephone Redemption
B4	Annual Custodian Fee
B5	Federal Taxes Withheld
B6	Alien Taxes Withheld
B7	Draft Reorder Fee
B8	Bank Wire Fee
B9	Exchange Fee
BA	Full Redemption
BB	Partial Redemption
BC	Reverse Stock Split
BD	Distribution - Death
BE	Distribution - Divorce
BF	Distribution - Premature
BG	Distribution - Hardship
BH	Short-Term Redemption Fee
BI	STR with CDSC
BJ	529 Redemption The BJ transaction code can be utilized when submitting: <ul style="list-style-type: none"> • A single redemption transaction containing both the basis and earnings • Two separate redemption transactions; one for basis and one for earnings. In this case, BJ should be used for basis and BK or BL for earnings
BK	529 Redemption - Earnings Portion
BL	529 Redemption – Negative Earnings Portion
BM	529 Redemption – Rollover
BN	Money Market Liquidity Fee
BO	Money Market Liquidity Fee with CDSC
BP	529 Redemption – 529 to Roth IRA Distribution

Code	Description
BQ	Liquidation of Residual Amount from MF to ETF Share Class Exchange (Effective 7/13/2026)
Transaction Type: 10 (Exchange Ex-Fund/SERV)	
J0	Systematic Exchange
J1	529 Exchange
Transaction Type: 11 (Fiduciary Fees)	
K0	Account Setup Fee
K1	Annual Custodian Maintenance
K2	Bank Wire
K3	Account Fee
K4	Trustee Fee
K5	Account Set Up Fee Reversal
K6	Annual Custodian Maintenance Fee Reversal
Transaction Type: 15 (Exchange Fee)	
O0	Asset Allocation Advisory Fee
Transaction Type: 16 (Certificate Deposit)	
P0	Certificate Issued
Transaction Type: 18 (Dividend Related Transaction)	
R0	Liquidation Due to Dividend Stock Reversal
R1	Share Adjustment Due to Dividend Stock Reversal
R2	Dividend Adjustment Due to Full Exchange
R3	Dividend Adjustment Due to Full Transfer
R4	Dividend Adjustment Due to Full Liquidation
R5	Dividend Withholding
R6	Dividend Withholding Adjustment
R7	Short Term Cap Gain
R8	Short Term Cap Gain Withholding
R9	Short Term Cap Gain Withholding Adjustment
RA	Long Term Cap Gain
RB	Long Term Cap Gain Withholding

Code	Description
RC	Long Term Cap Gain Withholding Adjustment
Transaction Type: 21 (Share Adjustment)	
U0	Stock Split Adjustment
U1	State Withholding
U2	State Withholding Adjustment
U3	Federal Withholding Adjustment
U4	Alien Taxes Withholding Adjustment
Transaction Type: 22 (Share Class Exchange)	
V0	Asset Allocation Rebalance Exchange
Transaction Type: 23 (Fund Merger Activity)	
W0	Fund Merger Non-taxable
W1	Fund Merger Taxable