



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

### **8.01 DIR6: Interface Control Query Request, Interface Control Query Response via CCF-II User's Guide**



Copyright © 1999 by The Depository Trust Company ("DTC"). All rights reserved. This work is proprietary and is intended for the exclusive use of DTC's Participants and other users of DTC's services. No part of this work may be reproduced or distributed (including by transmission) in any form or by any means, or stored in any information storage and retrieval system, without DTC's prior written permission.

All requests for additional copies of this work or inquiries about this work should be directed to DTC Participant Interface Planning, The Depository Trust Company, 55 Water Street, New York, NY 10041, USA.



## 8.01 DIR6: Interface Control Query request, Interface Control Query Response via CCF-II User's Guide

### Table of Contents

Section	Page
<b>1.0 Overview</b> .....	<b>1</b>
<b>2.0 The DIR6 Function</b> .....	<b>2</b>
2.1 Availability of DIR6 .....	2
<b>3.0 Input Request to DTC</b> .....	<b>3</b>
<b>4.0 Output Response from DTC</b> .....	<b>4</b>
<b>5.0 Appendices: Continuation Processing</b> .....	<b>5</b>
5.1 Transaction Header .....	5
5.2 Continuation Key .....	6
5.3 Error Conditions .....	7



## 1.0 Overview

This document describes how Paying Agents can use the newly developed service from DTC for requesting CUSIP detail information for expected money on upcoming payment dates in a “near” interactive mode.

This function is initially being offered over CCF-II and will be available at a future date over CCF and MDH. This User Guide describes DIRINQ - Dividend Receipting Inquiry on Request function - for CCF-II.



## **2.0 The DIR6 Function**

A new service in the Computer to Computer Facility II (CCF-II) has been developed to provide Paying Agents with an ability to pre-balance their upcoming payments in order to notify DTC of confirmed details on the payable date.

### **2.1 Availability of DIR6**

The DIR6 function will be available for CCF-II input between 3:00 a.m. and 11:30 p.m.



### 3.0 Input Request to DTC

The INTERFACE CONTROL QUERY REQUEST record contains a transaction header, application request data, a continuation field and an error field.

The continuation field is a 45 -bytes field containing the appropriate data required by DTC applications in order to continue a prior request. The format of a continuation key is described in Appendix 5.2.

The error field contains 40- bytes and is used only during a response when the request record is in error. See error processing. This field is initialized to spaces.

Position	Length	Format	Field Name	Input Request to DTC Record Field Description
1-26	26	Character	Transaction Header	See Appendix 4.1.
27-30	4	Numeric	Inquiry Response Code	The following are the values: 0000 = Original Request 0003 = Continuation Request
31-38	8	Character	Agent Number	Identifies the Paying Agent.
39-46	8	Character	From Payment Date	Identifies the start of a date range. Must be a valid date. Format = CCYYMMDD
47-54	8	Character	To Payment Date	Identifies the end of a date range. Must be a valid date. Format = CCYYMMDD
55-99	45	Alphanumeric	Continuation Field	See Appendix 5.2.



## 4.0 Output Response from DTC

The INTERFACE CONTROL QUERY RESPONSE record contains a transaction header and the application response data.

Position	Length	Format	Field Name	Output Response from DTC Record Field Description
1-26	26	Character	Transaction Header	See Appendix 4.1.
27-30	4	Numeric	Inquiry Response Code	The following are the values: 0001 = More Response records to come 0002 = No more Response records (end of response) 0003 = Continuation Response 0004 = No data is available for this request 0100 = Request in error
31-38	8	Character	Expected Payment Date	Identifies the date payment is expected by DTC.
39-46	8	Character	Paying Agent Number	Identifies the Paying Agent.
47-48	2	Character	Payment Method	The identifier used by DTC to identify the Agent's method of payment.
49-60	12	Character	Security CUSIP ID	The security number used to identify the issue.
61-68	8	Character	Announced Pay Date	Identifies the date the benefit will be distributed. Format = CCYYMMDD
69-70	2	Character	Announced Function Type	Identifies the type of benefit to be distributed.
71	1	Character	Security Issue Type	Identifies the type of the announced issue.
72-79	8	Character	Announced Record Date	Identifies the date that position must be owned in order to receive the benefit. Format = CCYYMMDD
80-94	15	Character	Amount Expected	Identifies the payment amount due DTC for the security. 9(13)v9(2)
95-107	13	Character	Cash Rate	Identifies the current cash rate used to calculate the payment amount. 9(7)v9(6)
108-113	6	Character	Wire Matching Control Number	Identifies a control number to be included on the wire payment.



## 5.0 Appendices: Continuation Processing

In the event a problem is detected after a partial response is generated, DTC will return to the users a response record consisting of the original input request, with an appended continuation key. The users next ICQ transaction should return this request record with the appended continuation key to receive the remaining data for the original request. Refer to DTC document “Interface Control Management CCF-II User’s Guide for Transaction Inquires” for processing information.

### 5.1 Transaction Header

Position	Length	Format	Field Name	Output Response from DTC Record Field Description
1-1	1	Character	Feedback Indicator	Used to indicate if any errors were encountered during processing. <u>This field is to be left blank on input.</u>
2-2	1	Character	Test/Production Indicator	Used to indicate whether the transaction is to be processed in the “Test” or “Production” environment. <u>This is a required field.</u> T = Test P = Production
3-8	6	Character	Record Type	Used to indicate the type of data to be processed - refer to the individual application user guide for the record name. Request record: DIRINQ Response record: DIRRSP
9-10	2	Numeric	Record Suffix	Used to indicate the “Record #” on single and multiple data records within a transaction.
11-12	2	Numeric	Version Number	Used to indicate which version (e.g. “latest” or “previous” format) the data is in.
13-18	6	Character	User Reference Number	Used by transmitting party to uniquely identify the transaction. <u>It is strongly recommended that user enter a valid sequential number.</u>
19-26	8	Character	Addressee	The entity on behalf of whom the transaction is being processed. Right justified, zero filled for full numeric addresses or “Mnnnnnnn” for non-full numeric addressees.





## 5.2 Continuation Key

Position	Length	Format	Field Name	Output Response from DTC Record Field Description
55-66	12	Character	Security CUSIP ID	The security number used to identify the issue.
67-74	8	Numeric	Announced Pay Date	Identifies the date the benefit will be distributed. Format = CCYYMMDD
75-76	2	Character	Announced Function Type	Identifies the type of benefit to be distributed.
77	1	Character	DTC Department	Identifies the Dividend department at DTC. A constant "D".
78	1	Character	Security Issue Type	Identifies the type of the announced issue.
79-86	8	Numeric	Announced Record Date	Identifies the date that position must be owned in order to receive the benefit.
87-89	3	Numeric	Announced Issue Sequence Number	Identifies the sequence number of the announcement.
90-93	4	Character	Internal Account at DTC	Identifies DTC internal account number.
94-99	6	Character	Wire Matching Control Number	Identifies a control number to be included on the wire payment.



### 5.3 Error Conditions

If any errors occur during processing, the following occurs:

- C CCF-II users receive their input record with 40 bytes of errors appended to the end of the record.
- C CCF-II users receive a CF2ERR record when a transmission to DTC is rejected (i.e. password, past cutoff, invalid function, invalid user ID).

The CCF-II users will receive the request record with a Feedback Indicator (Field 1 of the Transaction Header section) set to “?” and error block (40 bytes) appended to the end of the request indicating the specific errors. A response code of 100 will be moved to the response code field. If abnormal termination takes place after a partial response was processed a continuation key will be appended to the request record. The request record together with a Feedback Indicator of “?” and an Error block will then return back to the users. See Continuation Processing.

The following describes the errors that can be received during the edit of a DIRINQ transaction. This error list describes both the Field Identifier and the Error Code. These codes are defined in the DTF files:

- C ICMFLD for Field Identifiers
- C ICMERR for Error Codes

**Note:** Refer to the Interface Control Management document for specifics relating to the way errors are returned to your system. Inquiry records which contain one or more of these errors will be returned to the submitter.

Error Description	Error Field Code	Error Message code
Invalid record type. Valid record type is “DIRINQ”	AAAB	9AAA
DDA number is invalid. Must not be spaces, low values, high values or zeroes.	CABD	9AAA
Invalid “FROM” Payment date. Must be valid payment date, zeroes not allowed.	BABF	9AAJ
Invalid “TO” Payment date. Must be valid payment date, zeroes not allowed.	BABG	9AAJ
Paying Agent not found on DTC INFO table.	CAAK	9ABM
Invalid signon on DTC INFO table.	JAAD	9AAA
Invalid continuation key.	QAAA	9AAA