



Standing Instructions Database

1. Broker-Dealer Internal Account Machine- Readable Input to Populate Standing Instructions Database Specification (SIDBIP)

Version 01

Release 02



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1. Broker-Dealer Internal Account Machine-Readable Input to Populate Standing Instructions Database Specification

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1. Introduction

This document describes procedures Broker-Dealers can use to link internal customer account number(s) with the institution's internal account information on the Standing Instructions Database (SID). SID is a relational database that serves as the central repository for all customer/account and settlement information in the Interactive ID system. It maintains customer/account and settlement information based on relationships developed between the institution, Broker-Dealer and ID agent. The institution and Broker-Dealer relationship is activated after an institution adds a customer to SID and the Broker-Dealer links its internal account number(s) to the institution. Only by establishing this link will the data in SID be used for trade confirmation and Institution Instructions (II) processing.

2. Description of Service

Before a Broker-Dealer links its internal account number to a corresponding institution internal account number via CCF/CCF-II/MDH, the Broker-Dealer must insure that the following have occurred:

- The institution and institution's internal number for the customer to whom the Broker-Dealer wants to link its internal account number has been set up on SID by the institution.
- If multiple internal account numbers (see page 5) pointing to one customer of an institution are going to be set up for this business reason, the Broker-Dealer must have obtained ID Numbers for its various branches from ID Support.
- If multiple internal account numbers pointing to one customer of an institution are going to be set up for this business reason, the Broker-Dealer must have obtained ID Numbers for Brokers of Credit from ID Support.

The Broker-Dealer generates Input Type 01 Broker-Dealer internal account records to update SID with its internal account numbers, and transmits them to DTC via CCF/CCF-II/MDH. When generating these Input Type 01 records, the following should be taken into consideration:

Transaction Header Section (bytes 1-26)

- Feedback Indicator must be equal to a space on input.
- Record Type must contain "SIDBIP."
- Record Suffix must contain "01."

Broker-Dealer Internal Account Input Information (bytes 27-128)

- Transaction Type must be an 'A' (ADD) or 'D' (DELETE). An 'A' instructs the SID system to add the Broker-Dealer's internal account number, thereby linking it to the institution's internal account number. A 'D' instructs the SID system to delete an existing Broker-Dealer internal account number that had been linked to an institution internal account number.

Note: To process a Delete, the values in the five "KEY" fields submitted must match the corresponding values contained in the associated fields in SID (see below "The last five fields").

- The Effective Trade Date must be entered with today's date or a future date for pending purposes.



- \$ Either the institution/institution internal account number or the ID agent/agent internal account number must be filled in so that SID can link the Broker-Dealer internal account number.
- \$ The last five fields to be filled in the input record (Broker-Dealer internal account number-required, Branch number-optional, Broker of Credit number-optional, Security Type-optional and Currency Code-optional) are "KEY" fields in updating SID. These fields enable the Broker-Dealer to have the same or different internal account numbers assigned to a customer relationship by varying the values in these fields. Therefore, in deleting a Broker-Dealer internal account that has been linked up to an institution internal account number, the values of these "KEY" fields must match the values contained in the associated fields in the SID database.

Note: To update an existing Broker-Dealer internal account number relationship (for example, change the broker of credit), the Broker-Dealer must generate both a Delete and an Add record. If the system cannot add or delete the internal account number for any reason, error records will be returned to the Broker-Dealer (see Error Processing section).

After generating the Input Type 01 records, the Broker-Dealer can transmit them to DTC via CCF/CCF-II/MDH following the procedures in the *Interface Control Management CCF-CCF-II-MDH General Function User's Guide for Transaction Input* document. DTC, upon receipt of the file, will validate the file/records (see Error Processing), and for all accepted records will update the SID database.

For records that have passed DTC's validation, Output Type 01 and Type 60 records are returned indicating what was updated in SID. The field RECORD TYPE, on the Output Type 01 record, is the overall process indicator of the transaction. The only values for RECORD TYPE are 'A', designating the Broker-Dealer internal account has been added to SID, or 'D', designating the Broker-Dealer internal account has been deleted from SID.

In addition, the process indicators for each field in the Output Type 01 and Type 60 records will contain one of the following values to designate what has transpired:

- \$ 'A' designates the field was added.
- \$ 'D' designates the field was deleted.
- \$ A blank (b) designates the field is for informational purposes only.

Please note that for every additional valid Input Type 01 record submitted to update SID-referencing the identical transaction type, effective trade date, institution number, institution internal account number, ID agent number, and agent internal account number-SID generates a set of one Output Type 01 record and multiple Output Type 60 records. The Output Type 99 record is generated at the end of each set and has a five-character field that contains a count of the number of records generated for each set (including the Type 99 record).

For rejected records, the Broker-Dealer will receive the returned original Type 01 input record with errors appended to the back of the record.



3. Error Processing

Error processing for the CCF/CCF-II/MDH Broker-Dealer internal account Input processing is done in two stages:

While the user is on the line. The first stage of editing, done while the user is on the line, consists of:

- \$ Validation of the sign-on to the data entered to ensure the submitter can enter data for the records being processed.
- \$ Determination if receipt of the data is within the appropriate time frame.
- \$ Validation of input fields.

If an error is detected during this stage, the submitter will receive the input record(s) back with the Feedback Indicator (Field 1 of the Transaction Header Section) set to "?" and an error block (Section 5.6) appended to the end of the record indicating the specific errors.

After the submitter has completed the transmission. The second stage of CCF/CCF-II/MDH edit processing occurs after the submitter has completed the transmission. This type of editing consists of a final validation of input fields prior to updating SID.

- \$ If the record is accepted and SID is updated, Output Type 01, Type 60 and Type 99 records are generated showing the record has updated SID, a message prefix (Section 5.5) is appended to the front of the records, the Feedback indicator is set to an "*" (asterisk), the Record Type Field in the transaction header is set to "SIDBUP" and the record is logged to the submitter's mailbox for output receipt.
- \$ If errors are found at this point in processing, a message prefix (Section 5.5) is appended to the front of the record, the Feedback Indicator is set to "?" and the Record Type field in the Transaction Header is set to "SIDBIP". In addition, an error block (Section 5.6) is appended to the end of the original Type 01 input record indicating the specific errors. The record is then logged to the submitter's mailbox for output receipt.

For a full description of message prefix and error block processing, please refer to the separate document entitled *Interface Control Management-General Function User's Guide for Output*.



4. Multiple Internal Account Numbers

Some Broker-Dealers assign multiple internal account numbers that point to a single institution internal account number. Business reasons for this purpose include:

- \$ An institution trading out of more than one branch of a Broker-Dealer.
- \$ A Broker-Dealer that has to accommodate Broker of Credit processing.
- \$ A Broker-Dealer that has separate internal account numbers based on the security type or settlement currency transacted.

Consider the following table:

INSTITUTION	SID 5 KEY FIELDS				
	Broker-Dealer	Attribute 1	Attribute 2	Attribute 3	Attribute 4
Institution Internal A/C #	Broker-Dealer Internal A/C #	Branch	Broker of Credit	Security Type	Currency Code
I-12345	BD-10010-0	01234			
I-12345	BD-10020-0	01235			
I-12345	BD-10030-0	01236		SHS	
I-12345	BD-10030-0	01236		GDS	
I-12345	BD-10040-0		90001		
I-12345	BD-10050-0		90002		

In the preceding table, the institution has one internal account number for its customer/account pointing to multiple Broker-Dealer internal account numbers. By the assignment of a unique 'set' of attributes to the Broker-Dealer internal account number, SID can extract the appropriate Broker-Dealer internal account number for processing Institution Instructions. With one or more of the attribute fields entered on the Institution Instructions, DTC uses the data in those fields to create the "KEY" needed to search its database and select the appropriate Broker-Dealer internal account number.

Note that if the Broker-Dealer has only one internal account for an institution internal account number, then the above attributes are not applicable and must be left blank.



5. Record Layouts

The following subsections give details of record layouts required for Broker-Dealer internal account machine-readable input.

5.1 (Input) 01 Broker-Dealer Internal Account Input

The length of the 01 Broker-Dealer Internal Account input is 128, including the Transaction Header (positions 1 through 26).

(Column 5: Val = Validate)

Position	Length	Format	Field Name	Val	(Input) 01 Broker-Dlr Int Acct Input Fld Desc
Positions 1 through 26: Transaction Header					
1-1	01	Character X(01)	Feedback Indicator	N	b (blank) on input
2-2	01	Character X(01)	Production/Test Indicator	Y	Distinguishes between an actual production transaction and a test transaction. P = Production T = Test (for future use)
3-8	06	Character X(06)	Record Type	Y	Identifies the type of data contained within this message. SIDBIP = Broker-Dealer internal account input and error output SIDBUP = Broker-Dealer internal account updated SID
9-10	02	Numeric 9(02)	Record Suffix	Y	Identifies the record number as more than one record that may include a logical record. INPUT 01 = Broker-Dealer internal account input OUTPUT 01 = Broker-Dealer customer header information 60 = Broker-Dealer internal account updated information 99 = trailer information
11-12	02	Numeric 9(02)	Version Number	Y	The version number of the input which defines the record format; this number will be incremented as fields are added to or deleted from the format (refer to the cover page of this document for version number).
13-18	06	Character X(06)	User Reference Number	N	(Optional) reference assigned by the submitter.



Position	Length	Format	Field Name	Val	(Input) 01 Broker-Dlr Int Acct Input Fld Desc
19-26	08	Character X(08)	Addressee	N	The entity on whose behalf the transaction is being processed.
27-27	01	Character X(01)	Transaction Type	Y	REQUIRED: To identify the type of update to SID. A = Add Broker-Dealer internal account to the specified institution or ID agent internal account D = Delete this Broker-Dealer internal account from the specified institution or ID agent internal account
28-35	08	Character X(08)	Effective Date	Y	REQUIRED: Date when the Broker-Dealer's internal account number is to be effective on SID; must be today's date or a future date, in CCYYMMDD format.
NOTE: Either the Institution/Institution Internal Account Number (positions 36 through 59) or the ID agent/ID agent internal account number (positions 60 through 79) must be filled in or the record will be rejected.					
36-43	08	Character X(08)	Institution Number	Y	REQUIRED: ID number for the institution that controls the customer account; right justified, zero filled.
44-59	16	Character X(16)	Institution's Internal Account Number	Y	OPTIONAL: The institution's customer internal account number; left justified, trailing spaces.
60-67	08	Character X(08)	ID Agent Number	Y	OPTIONAL: ID number for the ID agent; right justified, zero filled.
68-79	12	Character X(12)	ID Agent Internal Account Number	Y	OPTIONAL: The ID agent's internal account number for the institution's customer.
80-87	08	Character X(08)	Executing Broker Number	Y	REQUIRED: ID number for the Broker-Dealer; right justified, zero filled.
88-90	03	Character X(03)	Executing Broker Model Number	Y	OPTIONAL: Settlement Model Number that points to the specific settlement model of the Broker-Dealer; default = 000 General Model.
91-91	01	Character X(01)	Executing Broker Accepts Notification Indicator	Y	OPTIONAL: Indicates when the Broker-Dealer is to be notified of an update to the institution/customer information. Y = Immediately N = At time of first Institutional Instruction



Position	Length	Format	Field Name	Val	(Input) 01 Broker-Dlr Int Acct Input Fld Desc
92-103	12	Character X(12)	Broker Internal Account Number	N	REQUIRED: Internal account number of the Broker-Dealer for this Customer; left justified, trailing spaces.
104-111	08	Character X(08)	Branch Number	Y	OPTIONAL: ID Number for Broker-Dealers that identify their internal account by their Branch; right justified, zero filled.
112-119	08	Character X(08)	Broker of Credit Number	Y	OPTIONAL: ID Number for Broker-Dealers that identify their internal account by their Broker of Credit; right justified, zero filled.
120-122	03	Character X(03)	Security Type	Y	OPTIONAL: A 3-character code for Broker-Dealers that identify their internal account by a Security Type; for example, SHS = Equity, MUN = Municipal Bonds (see Appendix 6.2, Security Type Codes and Description, on page 23).
123-125	03	Character X(03)	Currency Code	Y	OPTIONAL: A 3-character code for Broker-Dealers that identify their internal account by a Currency Code; for example, USD = US Dollars, FRF = French Franc (for country and currency codes, see Chapter 3.04, Institutional Delivery System Input/Output Information).
126-126	01	Character X(01)	Account Type Indicator	Y	REQUIRED: Indicates whether the Broker Internal Account is a test or production account. T = Test Account P = Production Account (Default)
127-128	02	Character X(02)	Reserved	N	OPTIONAL: Reserved for future use.



5.2 (Output) 01 Customer Header Information

The length of the (Output) 01 Customer Header Information is 237, including the Transaction Header (positions 1 through 26).

Position	Length	Format	Field Name	(Output) 01 Cust Header Info Field Descrip
Positions 1 through 26: Transaction Header				
1-1	01	Character X(01)	Feedback Indicator	<p>Contains a 'b' (blank) on input.</p> <p>Contains a '?' to indicate when this request is returned with error(s) and cannot be processed by DTC.</p> <p>Contains an '*' on output to indicate a valid response.</p>
2-2	01	Character X(01)	Production/Test Indicator	<p>Distinguishes between an actual production transaction and a test transaction.</p> <p>P = Production T = Test (for future use)</p>
3-8	06	Character X(06)	Record Type	<p>Identifies the type of data contained within this message.</p> <p>SIDBIP = Broker-Dealer internal account input and error output SIDBUP = Broker-Dealer internal account updated SID</p>
9-10	02	Character X(02)	Record Suffix	<p>Identifies the record number as more than one record that may include a logical record.</p> <p>INPUT 01 = Broker-Dealer internal account input</p> <p>OUTPUT 01 = Broker-Dealer customer header information 60 = Broker-Dealer internal account updated information 99 = Trailer information</p>
11-12	02	Character X(02)	Version Number	<p>The version number of the input which defines the record format; this number will be incremented as fields are added to or deleted from the format (refer to the cover page of this document for version number).</p>
13-18	06	Character X(06)	User Reference Number	<p>(Optional) reference assigned by the submitter.</p>



Position	Length	Format	Field Name	(Output) 01 Cust Header Info Field Descrip
19-26	08	Character X(08)	Addressee	The entity on whose behalf the transaction is being processed.
27-30	04	Numeric 9(04)	Inquiry Response Code	The Inquiry response code indicating the type of response performed for this request. 0000 = Not an inquiry response 0001 = More responses to follow 0002 = Final response for this request 0003 = Continuation of response 0004 = No information available 0100 = Request in error See ICM General Function User Guide for Inquiries.
31-32	02	Character X(02)	Output Type	OUTPUT 01 = Customer Header
33-40	08	Character X(08)	Institution Number	ID number for the Institution that controls the customer account; right justified, zero filled.
41-56	16	Character X(16)	Institution Internal Account Number	The Institution's Customer Internal Account Number.
57-59	03	Character X(03)	Receiver Role	The role of the ID entity recipient. IXA= ID Agent IXB= Broker-Dealer
60-67	08	Character X(08)	Receiver Number	ID Number for the ID entity recipient; right justified, zero filled.
68-75	08	Character X(08)	ID Agent Number	ID number for the ID Agent; right Justified, zero filled.
76-87	12	Character X(12)	ID Agent Internal Account Number	The ID Agent's Internal Account number for the customer of the Institution.
88-95	08	Character X(08)	Effective on Trade Date	Date when customer is to be effective on SID, in CCYYMMDD format.
96-96	01	Character X(01)	Record Type	Overall indicator what this record designates. A = Add U = Update D = Delete
97-97	01	Character X(01)	Process Indicator	



Position	Length	Format	Field Name	(Output) 01 Cust Header Info Field Descrip
98-137	40	Character X(40)	Institution Name	Institution's name as it appears on the ID Master File.
138-138	01	Character X(01)	Process Indicator	
139-178	40	Character X(40)	Institution Internal Account Name	The Institution's Internal Account name for the customer's account; default is the institution's name.
179-179	01	Character X(01)	Process Indicator	
180-187	08	Character X(08)	Customer Number	Customer number as defined on the ID Master file if an ID entity.
188-188	01	Character X(01)	Process Indicator	
189-228	40	Character X(40)	Customer Name	Customer name as defined on the ID Master file if an ID entity.
229-229	01	Character X(01)	Process Indicator	
230-237	08	Character X(08)	Institution Number (Parent)	ID number for the parent institution associated with the child institution that controls the customer account.



5.3 Record 60 Broker-Dealer Internal Account Information

The length of the "60" Broker-Dealer Internal Acct is 260, including the Transaction Header (positions 1 through 26).

Position	Length	Format	Field Name	(Output) Record 60 Broker-Dlr Int Acct Info
Positions 1 through 26: Transaction Header				
1-1	01	Character X(01)	Feedback Indicator	Contains a 'b' (blank) on input. Contains a '?' to indicate when this request is returned with error(s) and cannot be processed by DTC. Contains an '*' on output to indicate a valid response.
2-2	01	Character X(01)	Production/Test Indicator	Distinguishes between an actual production transaction and a test transaction: P = Production T = Test (for future use)
3-8	06	Character X(06)	Record Type	Identifies the type of data contained within this message SIDBIP = Broker-Dealer internal account input and error output SIDBUP = Broker-Dealer internal account updated SID
9-10	02	Numeric 9(02)	Record Suffix	01 = Sequence number of multiple segmented records.
11-12	02	Numeric 9(02)	Version Number	The version number of the input which defines the record format; this number will be incremented as fields are added to or deleted from the format (refer to the cover page of this document for version number).
13-18	06	Character X(06)	User Reference Number	(Optional) reference assigned by the submitter.
19-26	08	Character X(08)	Addressee	The entity on whose behalf the transaction is being processed.
27-30	04	Character X(04)	Filler	DTC use only; do not use.
31-32	02	Character X(02)	Output Record Type	Output record type: 60 = Broker Internal Account information
33-40	08	Character X(08)	Institution Number	ID Number for the institution that controls the client account. Right justified, zero filled.



Position	Length	Format	Field Name	(Output) Record 60 Broker-Dlr Int Acct Info
41-56	16	Character X(16)	Institution Internal Account	The institution's client internal account number. Left justified, trailing blanks.
57-64	08	Character X(08)	Effective Date	Effective date of broker internal account information in CCYYMMDD format.
65-65	01	Character X(01)	PI Exec. Bkr #	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
66-73	08	Character X(08)	Executing Broker Number	ID number for the broker-dealer. Right justified, zero filled.
74-74	01	Character X(01)	PI Exec. Bkr Name	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
75-114	40	Character X(40)	Executing Broker Name	Broker-dealer's name as it appears on the ID Master File.
115-115	01	Character X(01)	PI Exec. Bkr Model #	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
116-118	03	Character X(03)	Executing Broker Model Number	Settlement Model Number that points to the specific settlement model of the broker-dealer; default = 000 General Model.
119-119	01	Character X(01)	PI Exec. Bkr Model Name	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
120-149	30	Character X(30)	Executing Broker Model Name	Settlement Model Name that describes the specific settlement model of the broker-dealer; default GENERAL.
150-150	01	Character X(01)	PI Bkr I/A #	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
151-162	12	Character X(12)	Broker Internal Account Number	Internal account number of the broker-dealer for the client of the institution.
163-163	01	Character X(01)	PI Branch #	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
164-171	08	Character X(08)	Branch Number	Branch number assigned to a broker internal account. Right justified, zero filled.
172-172	01	Character X(01)	PI Bkr of Credit #	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
173-180	08	Character X(08)	Broker of Credit Number	Broker of credit number assigned to a broker internal account. Right justified, zero filled.



Position	Length	Format	Field Name	(Output) Record 60 Broker-Dlr Int Acct Info
181-181	01	Character X(01)	PI Security Type	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
182-184	03	Character X(03)	Security Type	Type of security traded by the broker-dealer's account; can be overridden by Customer Beneficial Account Information associated with this customer. See Appendix 6.2, Security Type Codes and Descriptions, on page 23. Note: Parent-Child Security Type relationships have not been finalized as of this printing.
185-185	01	Character X(01)	PI Sec. Type Desc.	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
186-225	40	Character X(40)	Security Type Description	Description of Security Type.
226-226	01	Character X(01)	PI Currency Code	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
227-229	03	Character X(03)	Currency Code	The Currency Code of the currency in which the security is traded (for currency codes, see Chapter 3.04, Interactive ID Input/Output Information).
230-230	01	Character X(01)	PI Currency Desc.	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
231-260	30	Character X(30)	Currency Code Description	The currency Description in which the security is to be traded (for currency codes, see Chapter 3.04, Interactive ID Input/Output Information).



5.4 (Output) 99 Trailer Information

The length of the "99" Trailer Information is 69, including the Transaction Header (positions 1 through 26).

Position	Length	Format	Field Name	(Output) 99 Trailer Information Field Desc
Positions 1 through 26: Transaction Header				
1-1	01	Character X(01)	Feedback Indicator	Contains a 'b' (blank) on input. Contains a '?' to indicate when this request is returned with error(s) and cannot be processed by DTC. Contains an '*' on output to indicate a valid response.
2-2	01	Character X(01)	Production/Test Indicator	Distinguishes between an actual production transaction and a test transaction. P = Production T = Test (for future use)
3-8	06	Character X(06)	Record Type	Identifies the type of data contained within this message. SIDBIP = Broker-Dealer internal account input and error output SIDBUP = Broker-Dealer internal account updated SID
9-10	02	Numeric 9(02)	Record Suffix	Identifies the record number as more than one record that may include a logical record. INPUT 01 = Broker-Dealer internal account input OUTPUT 01 = Broker-Dealer customer header information 60 = Broker-Dealer internal account updated information 99 = Trailer information
11-12	02	Numeric 9(02)	Version Number	The version number of the input which defines the record format; this number will be incremented as fields are added to or deleted from the format (refer to the cover page of this document for version number).
13-18	06	Character X(06)	User Reference Number	(Optional) reference assigned by the submitter.



Position	Length	Format	Field Name	(Output) 99 Trailer Information Field Desc
19-26	08	Character X(08)	Addressee	The entity on whose behalf the transaction is being processed.
27-30	04	Numeric 9(04)	Inquiry Response Code	The Inquiry response code indicating the type of response performed for this request. 0000 = Not an inquiry response 0001 = More responses to follow 0002 = Final response for this request 0003 = Continuation of response 0004 = No information available 0100 = Request in error
31-32	02	Character (02)	Output Type	OUTPUT 99 = Trailer information
33-40	08	Character (08)	Institution Number	ID Number for the Institution that controls the customer account; right justified, zero filled.
41-56	16	Character (16)	Institution Internal Account Number	The Institution's Customer Internal Account Number; left justified, trailing blanks.
57-64	08	Character (08)	Effective Date	Date when the set of customer information is to be effective on SID in CCYYMMDD format.
65-69	05	Character (05)	Trailer Set Count	A 5-character counter indicating the number of records the user receives for each set of records, including the trailer; that is, a set of 01, 12, 30, 40 and 99 = 00005 as a trailer set count.



5.5 Message Prefix Specification

For a full description of the following fields, please refer to the separate document *Interface Control Management-General Function User's Guide for Output*.

Position	Length	Format	Field Name	Message Prefix Field Description
1-1	01	Character X(01)	Filler	DTC use only; do not use.
2-2	01	Character X(01)	Message Flag	O = Current day message R = Current day reprint U = Current day message requested out of sequence Y = Prior day message
3-3	01	Character X(01)	Filler	DTC use only; do not use.
4-13	10	Character X(10)	Destination ID	Identifies the message queue from which this message was retrieved: 8-character user signon and 2-character destination.
14-14	01	Character X(01)	Filler	- = Constant value.
15-20	06	Numeric 9(06)	Message Sequence Number	Unique message sequence number assigned by DTC's message delivery system for each destination ID (position 4).



5.6 Error Block Specification

For a full description of the following fields, please refer to the separate document *Interface Control Management-General Function User's Guide for Output*, and to Appendix 6.5, Broker-Dealer Internal Account Error Codes, on page 24.

Error Block Specification				
Field Name	Format	Length	Position	Description
Error Code 1	Character	08	1-8	In each error code, positions 1-4 identify the field, and positions 5-8 identify the reason why the field is erroneous (see Appendix 6.3, Broker-Dealer Internal Account Error Codes, on page 24, for error code values).
Error Code 2	Character	08	9-16	
Error Code 3	Character	08	17-24	
Error Code 4	Character	08	25-32	
Error Code 5	Character	08	33-40	



6. Appendices

6.1 Settlement Location Codes

The following is a list of Depository codes in alphabetical order.

Depository Code	Depository Name
BRC	Broker Custody
CED	Cedel
DTC	The Depository Trust Company
EUR	Euroclear
FED	The Federal Reserve Bank of New York
FNB	First National Bank of Chicago-London
MST	Midwest Depository
PHL	Philadelphia Depository
PTC	Participants Trust Company
US	US Physical



6.2 Security Type Codes and Descriptions

Security Type Code	Security Type Description
ABS	Asset-Backed Security
CDS	Corporate Debt
CER	Representative Certificate
CPN	Coupons
ECD	Euro CD
ECP	Euro CP
FPA	Face/Principal/Nominal Amount
GDS	Government Debt Securities
MBS	Mortgage-Backed Securities
MMI	Money Market Instruments
MSC	Miscellaneous

Security Type Code	Security Type Description
MUN	Municipal Bonds
OPC	Option Contract
OPS	Option Shares
PRC	Premium Contract
PRS	Premium Shares
RTE	Rente
RTS	Rights
SHS	Equities
UNT	Units
WTS	Warrants



6.3 Broker-Dealer Internal Account Error Codes

The combination of field code and reason code formulates the error code. Broker-Dealer internal account records that contain one or more of these errors will be returned to the submitter.

Field Code	Reason Code	Broker-Dealer Internal Account Error Code Description
AAAA		Transaction Header
	9AAA	Invalid Record Type.
	9AAE	Invalid Data in one of the Transaction Header Fields.
	9AAL	Past Cutoff Time for this function.
	9AAM	Function not available.
AAAB		Transaction Header Record Type
	9AAE	Invalid Function Name.
AAAH		Transaction Primary Participant/Party
	9AAN	Broker Signon not found.
BAAB		Trade Date
	9AAJ	Effective Date not Numeric.
	9ABQ	Invalid-Greater than one year from Current Date.
	9AA8	Effective Date is less than Current Date.
CAAA		Institution Number
	9AAF	Non Numeric Institution Number.
	9AAN	ID Number is not an Institution.
	9ABB	ID Institution Number not found.
	9AA6	Internal SID Error; Duplicate Institution Number.
CAAB		Executing Broker/Dealer
	9AAF	Non Numeric Broker/Dealer Number.
	9AAN	ID Number is not a Broker.
	9ABB	ID Number not found.



Field Code	Reason Code	Broker-Dealer Internal Account Error Code Description
CAAH		ID Agent Number
	9AAF	Non Numeric Broker/Dealer Number.
	9AAN	ID Number is not a Broker.
	9ABB	ID Number not found.
CAAN	9AA6	Internal SID Error; Duplicate ID Agent Number.
		ID Broker of Credit
	9AAF	Non Numeric Broker/Dealer Number.
	9AAN	ID Number is not a Broker.
CAAR	9ABB	ID Number not found.
	9AA6	Internal SID Error; Duplicate ID Agent Number.
		Branch Number
CAAT	9AAF	Non Numeric Branch Number.
	9AAN	ID Number is not a Branch.
CAAV		Executing Broker Model Number
	9AAB	Executing Broker Model not found.
CAAU		Broker Internal Account Number
	9AA5	Broker Dealer Internal Account number is equal to spaces.
	9AA6	Broker Internal Account Number already exists.
	9ABB	Broker Internal Account Number not found for delete.
	9ABN	Broker Internal Account Number already exists for another Institution Internal Account.
9ABP	Cannot process record; Detail records still exist.	
CAAU		ID Agent Internal Account Number
	9ABB	ID Agent Internal Account Number not found.
	9AA6	ID Agent Internal Account Number already exists.
	IABF	Institution Internal Account and Agent Internal Account number combination on input does not match SID.



Field Code	Reason Code	Broker-Dealer Internal Account Error Code Description
EAAB		Broker Accept Notification Indicator
	9AAE	Indicator not equal to spaces 'Y' or 'N'.
GAAE		Security Type
	9ABB	Security Type not found.
	9AA6	Internal SID Error; Duplicate Security Type.
GAAI		Currency Code
	9ABB	Currency Type not found.
GABN		Transaction Type
	9AAE	Transaction Type not equal to 'A' or 'D'.
GABQ		Institution Internal Account Number
	9ABB	Institution Internal Account Number not found.
	9AA6	Internal SID Error; Duplicate Institution Internal Account number.
	IABF	Institution Internal Account and Agent Internal Account number combination on input does not match SID.