SID

Standing Instructions Database

2. Standing Instructions Database Output Notification Specification for Broker-Dealers (SIDINS)

Version 01
Release 02

2. Standing Instructions Database Output Notification Specifications for Broker-Dealers

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1. Introduction

The Standing Instructions Database (SID) is a relational database that serves as the central repository for all client/account and settlement information in the Interactive ID system. SID maintains client/account and settlement information for the purpose of inclusion in ID confirmations. This document describes the output record types, the types of information contained in the output records and the notification process, which is activated as a result of an added, updated or deleted record.

For a more detailed explanation of SID functionality please see the ID Manual, Chapter 10. Distribution of SID data is available via the Interface Control Manager in CCF/CCF-II/MDH protocols. This has made necessary the inclusion of a mailbox prefix (see page 6) and a transaction header on all SID records. A full description of this processing is available in the separate document entitled *Interface Control Management–General Function Users Guide for Output*.

2. Notification Processing

The purpose of SID Output Notifications is to communicate the following to affected Broker-Dealers:

- **Changes made by an institution on behalf of its client account**

  Whenever an institution performs an add, update, or delete transaction to one of its client accounts on the SID database, a set of notifications is generated. The set consists of several machine-readable records corresponding to the client account, together with information indicating what type of transaction was performed. This process occurs every 15 minutes between 8:00 am and 8:00 pm, Eastern Time, during DTC business days.

- **Changes made by an ID agent to its settlement instructions on behalf of all affected client accounts**

  Whenever an ID agent makes a change to any of its settlement instructions on the SID database, one or more sets of notification records are generated. Each set consists of several machine-readable records for each client account affected by the settlement instruction change, and also includes information relating to the settlement instruction change. These notifications are generated once daily at 8:00 pm, Eastern Time, on DTC business days.

2.1 Record Types

The SID system generates eight different machine-readable output record types:

01 Client Header Information
12 Client Detail Information
20 Client Contact at Institution Information
30 Interested Parties (M)
40 ID Agent Settlement Information (M)
50 ID Agent Split Currency Settlement Information (M)
60 Broker Internal Account Information
99 Trailer Information

2.2 Record Type Descriptions

Record Type 01, Client Header Information: General information identifying the institution and its client. This record type is always the first in a set.

Record Type 12, Client Detail Information: Detailed additional client information, including agent information, affirming party, and business decisions.

Record Type 20, Contact at Institution Information: Institution contact for client account.

Record Type 30, Interested Parties: Contains up to three ID interested parties and seven non-ID interested parties related to a client account maintained in SID. Additional information includes each party's name and address and phone number.

Record Type 40, ID Agent Settlement Information: ID agent settlement instructions for the client.

Record Type 50, ID Agent Split Currency Settlement Information: Currency bank settlement instructions, if record Type 40 indicates split currency settlement.

Record Type 60, Broker Internal Account Information: Broker's internal account numbers currently cross-referenced to the institution account.

Record Type 99, Trailer Information: A 5-character field for the number of records generated for each set of records. For example, if a set contains an 01, 12, 30, 40 and 99, then the field contains the count of 00005. This record is always generated to denote the end of each set of notifications for that client.

Each set of notification records indicates the activity performed on the client account by the institution. This activity, consisting of adds, updates, and deletes, is broken down into the following two levels:

Account Level: The main activity that was performed on the client account; this is found in the Activity Type Field in Record Type 01:

>   A = account added
>   U = account updated
>   D = account deleted

Account Data Level: Each data field in all record types is preceded by its own process indicator. If the Activity Type in Record Type 01 is A(added) or D(deleted), all field-level activity indicators are blank. However, if the Activity Type in Record Type 01 is U(updated), each updated field is preceded by its own process indicator (A, U, or D). This applies to all record types.

>   A = data added to an account after it was opened; for example, interested parties
>   U = data updated; applies to any data changed within an account
>   D = data deleted from an account; for example, contact at the institution

2.3 Notifications to Broker-Dealers

The following four-column table gives examples of the sets of records that can be generated as notification to Broker-Dealers, depending upon which ID entity is updating SID and for what reason(s). The first table lists information corresponding to institution activity; the second table lists information corresponding to agent activity.

>   **Column 1:** Institution or *ID* Agent activity.
>   **Column 2:** Record types the Broker-Dealer always receives on the basis of the activity.
>   **Column 3:** Record type(s) that may possibly be received, depending on what optional information exists for a specific account.
>   **Column 4:** Indicates when DTC generates output records depending on the type of activity performed.

Activity	Broker-Dealer Always Receives	Broker-Dealer Could Receive	When Generated
Institution Adds Client Information	01, 12, 40, 99	20, 30, 50, 60	Intra-day
Institution Changes Client Information	01, 12, 99	20, 30, 60	Intra-day
Institution Changes Client Beneficial Account Information	01, 12, 40, 99	60	Intra-day
Institution Deletes a Client	01, 12, 99	60	Intra-day
ID Agent Changes Settlement Instructions	01, 40, 99	50, 60	End of day

3. Broker Notification Profile

The Broker Notification Profile, maintained in the SID PTS function, enables brokers to define the type of output notifications they wish to receive. There are only three selections:

Linked Accounts (Default): Notifications only for institution accounts that a broker has cross-referenced

Unlinked Accounts (Optional): Notifications only for institution accounts that a broker has not cross-referenced

New Accounts (Optional)**:** Notifications for accounts newly assigned to a broker

Settlement Instruction Profile: Settlement instruction output consists of Record Types 40 and 50. Another option in the broker notification profile enables brokers to select settlement instruction output by settlement location. Notifications are always generated by default for DTC and U.S. Physical settlement locations. Optional selections are PTC, FED, CED, EUR and, ultimately, ALL.

4. Record Layouts

4.1 Message Prefix

For a full description of the following fields, please see the separate document entitled *Interface Control Management*.

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).

4.2 Record 01–Client Header Information

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

Position	Length	Format	Field Name	Record 01–Client Header Field Description (Page 1 of 3)
				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
3–8	06	Character X(06)	Record Type	Identifies the type of data contained within this message: SIDINS = Institution Output Notification
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 is incremented as fields are added to or deleted from the format (see the cover page of this document for version number).
13–18	06	Character X(06)	User Reference Number	For future use.
19–26	08	Character X(08)	Addressee	The entity on whose behalf the transaction is being processed.
27–30	04	Numeric 9(04)	Filler	DTC use only; do not use.

Position	Length	Format	Field Name	Record 01–Client Header Field Description (Page 2 of 3)
31–32	02	Character X(02)	Output Record Type	Output record type: 01 = Client Header Record
33–40	08	Character X(08)	Institution ID Number	ID number for the Institution that controls the client account. Right justified, zero filled.
41–56	16	Character X(16)	Institution Internal Account Number	The institution's client internal account number.

57–59	03	Character X(03)	Receiver Role	The role of the ID entity recipient receiving the output:
				
				  IXA = ID Agent
				  IXB = Broker-Dealer

60–67	08	Character X(08)	Receiver ID Number	ID Number of the ID entity receiving the output. 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 client of the Institution.
88–95	08	Character X(08)	Effective Date	Effective date of activity in CCYYMMDD format.

96–96	01	Character X(01)	Activity Type	Process performed on the client account:
				
				  A = Add
				  U = Update
				  D = Delete

97–97	01	Character X(01)	PI Inst Name	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.

Position	Length	Format	Field Name	Record 01–Client Header Field Description (Page 3 of 3)
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)	PI I/A Name	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
139–178	40	Character X(40)	Institution Internal Account Name	The Institution's Internal Account name for the client's account; default is the institution's name.
179–228	50	Character X(50)	Filler	DTC use only; do not use.
229–229	01	Character X(01)	PI Inst ID #	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
230–237	08	Character X(08)	Institution ID Number (Parent)	ID number for the parent institution associated with the child institution that controls the client account.

4.3 Record 12–Client Detail Information

The length of Record 12–Client Detail Information is 323 bytes, including the Transaction Header (positions 1 through 26).

Position	Length	Format	Field Name	Record 12–Client Detail Info Field Description (Page 1 of 8)
				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: SIDINS Institution Output Notification
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 is incremented as fields are added to or deleted from the format (see the cover page of this document for version number).
13–18	06	Character X(06)	User Reference Number	For future use.
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.

Position	Length	Format	Field Name	Record 12–Client Detail Info Field Description (Page 2 of 8)
31–32	02	Character X(02)	Output Record Type	Output record type: 12 = Client Detail Information Record.
33–40	08	Character X(08)	Institution Number	ID of the institution that controls the client account. Right justified, zero filled.
41–56	16	Character X(16)	Institution Internal Account Number	Institution's client internal account number. Left justified, trailing blanks.
57–64	08	Character X(08)	Effective Date	Effective date of transaction in CCYYMMDD format.
65–65	01	Character X(01)	PI Bank ID Code #	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
66–76	11	Character X(11)	Bank Identification Code Number	Bank Identification Code of the Institution maintained by SWIFT.
77–77	01	Character X(01)	PI SS/Tax Type	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
78–78	01	Character X(01)	SS/Tax Type	Type of Tax Identifier: S = Social Security Number T = Tax Identifier Number
79–79	01	Character X(01)	PI SS/Tax Number	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
80–90	11	Character X(11)	SS/Tax Number	Valid SSN or Tax identifier for client.
91–91	01	Character X(01)	PI Disclose Non-ID	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
92–92	01	Character X(01)	Disclose Non-ID Client on Confirm	Indicator of whether the institution wishes the Broker-Dealer to suppress mailed confirmation to non-ID clients. Y = Suppress N = Don't suppress

Position	Length	Format	Field Name	Record 12–Client Detail Info Field Description (Page 3 of 8)
93–93	01	Character X(01)	PI Sup Bkr Cfm to Ins	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
94–94	01	Character X(01)	Suppress Broker Mail Confirm to Institution	Indicator of whether the institution has signed Broker Mail Confirm Elimination Agreement (BMCEA) filed with DTC. Y = Agreement filed with DTC N = No agreement signed
95–95	01	Character X(01)	PI Sup Mnthly Stmt to Inst	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
96–96	01	Character X(01)	Suppress Monthly Statement to Institution	Indicator of whether the institution wishes the Broker-Dealer to suppress the monthly statement to the institution. Y = Suppress N = Don't suppress
97–97	01	Character X(01)	PI Sup Bkr Mail Cfm	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
98–98	01	Character X(01)	Suppress Broker Confirm to Client	Indicator of whether the institution wishes the Broker-Dealer to suppress the mailed confirmations to the client. Y = Suppress N = Don't suppress
99–99	01	Character X(01)	PI Sup Mthly Stmt to Client	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
100–100	01	Character X(01)	Suppress Monthly Statement to Client	Indicator of whether the institution wishes the Broker-Dealer to suppress the monthly statement to the client. Y = Suppress N = Don't suppress
101–101	01	Character X(01)	PI ID Agt Eff. Date	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
102–109	08	Character X(08)	ID Agent Effective Date	Effective date when the ID agent has been assigned to the client in CCYYMMDD format.

Position	Length	Format	Field Name	Record 12–Client Detail Info Field Description (Page 4 of 8)
110–110	01	Character X(01)	PI ID Agent #	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
111–118	08	Character X(08)	ID Agent Number	Agent's ID number. Right justified, zero filled.
119–119	01	Character X(01)	PI ID Agent Name	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
120–159	40	Character X(40)	ID Agent Name	ID Agent's name as it appears in the ID Master File.
160–160	01	Character X(01)	PI ID Agent I/A Identifier	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
161–172	12	Character X(12)	ID Agent Internal Account Identifier	ID Agent's internal account number for the institution's client.
173–173	01	Character X(01)	PI ID Agent I/A Name	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
174–213	40	Character X(40)	ID Agent Internal Account Name	ID Agent's name for the above internal account (position 161).
214–214	01	Character X(01)	PI ID Agent Model Ident	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
215–217	03	Character X(03)	ID Agent Model Identifier	Settlement model number that points to the specific settlement model of the ID agent; default = 000.
218–218	01	Character X(01)	PI Beneficial Cust.	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.

Position	Length	Format	Field Name	Record 12–Client Detail Info Field Description (Page 5 of 8)
219–221	03	Character X(03)	Beneficial Customer	Designation of beneficial customer for this account. Blank = Not designated INS = Institution IXA = ID agent IP1 = ID Interested Party 1 IP2 = ID Interested Party 2 IP3 = ID Interested Party 3 NI1= Non-ID interested party 1 NI2= Non-ID interested party 2 NI3= Non-ID interested party 3 NI4= Non-ID interested party 4 NI5= Non-ID interested party 5
222–222	01	Character X(01)	PI Orig. Cfm Stmt	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
223–225	03	Character X(03)	Original Confirm Statement	Designation of receiver of original confirm statement for this account. Blank = Not designated INS = Institution IXA = ID agent IP1 = ID Interested Party 1 IP2 = ID Interested Party 2 IP3 = ID Interested Party 3 NI1= Non-ID interested party 1 NI2= Non-ID interested party 2 NI3= Non-ID interested party 3 NI4= Non-ID interested party 4 NI5= Non-ID interested party 5
226–248	23	Character X(23)	Filler	DTC use only; do not use.
249–249	01	Character X(01)	PI Release Cfm to Agt	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
250–250	01	Character X(01)	Release Confirm to Agent	Indicator of whether the institution releases its copy of the ID confirm to the agent bank. Y = Release confirm N = Do not release confirm

Position	Length	Format	Field Name	Record 12–Client Detail Info Field Description (Page 6 of 8)
251–251	01	Character X(01)	PI Sup Bkr Mail Cfm	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
252–252	01	Character X(01)	Suppress Broker Mail Confirm to Agent	Indicator of whether the ID Agent has a signed Broker Mail Confirm Elimination Agreement (BMCEA) filed with DTC. Y = Agreement filed with DTC N = No agreement signed
253–253	01	Character X(01)	PI Sup Mthly Stmt to Agent	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
254–254	01	Character X(01)	Suppress Monthly Statement to Agent	Indicator of whether the institution wishes the broker-dealer to suppress the monthly statement to the ID Agent. Y = Suppression N = No suppression
255–255	01	Character X(01)	PI Effective Date	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
256–263	08	Character X(08)	Affirming Party Effective on Trade Date	Date the ID entity has been assigned as the affirming party in format CCYYMMDD.
264–264	01	Character X(01)	PI Aff. Party Type	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
265–265	01	Character X(01)	Affirming Party Type	Identifies which party can affirm the trade: I = Institution A = ID Agent B = Both the institution and ID agent P = Interested party
266–266	01	Character X(01)	PI Affirming Party #	DTC use only; do not use
267–274	08	Character X(08)	Affirming Party Number	• If Affirming Party Type (position 265) = P: 8-character identifier of interested party • If Affirming Party Type (position 265) ... P: Spaces

Position	Length	Format	Field Name	Record 12–Client Detail Info Field Description (Page 7 of 8)
275–275	01	Character X(01)	PI Aff Party Name	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
276–315	40	Character X(40)	Affirming Party Name	• If Affirming Party Type (position 265) = P: Affirming party name as defined on the ID Master File • If Affirming Party Type (position 265) ... P: Spaces
316–316	01	Character X(01)	PI Inst Match to Bkr	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
317–317	01	Character X(01)	Institution Match to Executing Broker	Indicates whether an institution wishes to participate in the matching program for institutional trades. Y = Match N = No match
318–318	01	Character X(01)	PI Match on Trd Date	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
319–319	01	Character X(01)	Match on Trade Date Indicator	Indicates whether the institution wants to perform matching on trade date; used in conjunction with the Institution Match to Executing Broker indicator (position 317). Y = Yes N = No
320–320	01	Character X(01)	PI Match on Price	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
321–321	01	Character X(01)	Match on Trade Price Indicator	Indicates whether the institution wants to perform matching on trade price; used in conjunction with the Institution Match to Executing Broker indicator (position 317). Y = Yes N = No
322–322	01	Character X(01)	PI Advice of Corr.	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.

Position	Length	Format	Field Name	Record 12–Client Detail Info Field Description (Page 8 of 8)
323–323	01	Character X(01)	Advice of Correction Indicator	Indicates whether the institution is to receive a copy of the original confirm when an advice of correction is received. Y = Yes N = No

4.4   Record 20–Client Contact at Institution

The length of Record 20–Client Address is 330 bytes, including the Transaction Header (positions 1 through 26).

Position	Length	Format	Field Name	Record 20–Client Contact at Inst Fld Descrip (Page 1 of 2)
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: SIDINS Institution Output Notification
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 is incremented as fields are added to or deleted from the format (see the cover page of this document for version number).
13–18	06	Character X(06)	User Reference Number	For future use.
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: 20 = Client contact at institution

Position	Length	Format	Field Name	Record 20–Client Contact at Inst Fld Descrip (Page 2 of 2)
33–40	08	Character X(08)	Institution Number	Eight-character identifier of the Institution that controls the client account. Right justified, zero filled.
41–56	16	Character X(16)	Institution Internal Account Number	The Institution's client internal account number. Left justified, trailing blanks.
57–64	08	Character X(08)	Effective Date	Effective date of transaction in CCYYMMDD format.
65–68	04	Character X(04)	Filler	DTC use only; do not use.
69–69	01	Character X(01)	PI Client First Name	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
70–84	15	Character X(15)	Client First Name	First name of the client contact.
85–85	01	Character X(01)	PI Client Last Name	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
86–110	25	Character X(25)	Client Last Name	Last name of the client contact.
111–297	186	Character X(178)	Filler	DTC use only; do not use.
298–298	01	Character X(01)	PI Client Phone Type	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
299–299	01	Character X(01)	Client Phone Type	Phone type (see Appendix 5.3, Eligible Telephone Types and Masks, page 48).
300–300	01	Character X(01)	PI Client Ph Type Descrip	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
301–330	30	Character X(30)	Client Phone Type Description	Phone type description (see Appendix 5.3, Eligible Telephone Types and Masks, page 48).

4.5   Record 30–Interested Parties

Transaction Header (positions 1 through 26).

Position	Length	Format	Field Name	Record 30–Interested Parties Field Descrip (Page 1 of 6)
all: **Positions 1 through 26: Transaction Header**					

Position	Length	Format	Field Name	Record 30–Interested Parties Field Descrip (Page 1 of 6)
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(01)	Record Type	Identifies the type of data contained within this message: SIDINS = Institution output notification
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 is incremented as fields are added to or deleted from the format (see the cover page of this document for version number).
13–18	06	Character X(06)	User Reference Number	For future use.
19–26	08	Character X(08)	Addressee	The entity on whose behalf the transaction is being processed.
27–30	04	Character X(04)	Unused	Unused.
31–32	02	Character X(02)	Output Record Type	Output record type: 30 = Interested Parties

Position	Length	Format	Field Name	Record 30–Interested Parties Field Descrip (Page 2 of 6)
33–40	08	Character X(08)	Institution Number	Eight-character identifier of the institution that controls the client account. Right justified, zero filled.
41–56	16	Character X(16)	Institution Internal Account Number	The Institution's Client Internal Account Number. Left justified, trailing blanks.
57–64	08	Character X(08)	Effective Date	Effective date of transaction in CCYYMMDD format.
65–65	01	Character X(01)	PI I/P Type	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
66–66	01	Character X(01)	Interested Party Type	Identifies type of Interested Party. I = ID N = Non-ID C = ID Customer M = Institution A = Agent
67–67	01	Character X(01)	PI I/P Role #	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
68–68	01	Character X(01)	Interested Party Role Number	The role of the Interested Party. 1 = First, 2 = Second, 3 = Third, etc Not applicable for Institution and Agent.
69–69	01	Character X(01)	PI I/P #	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
70–77	08	Character X(08)	Interested Party Number	An ID Interested Party, Institution or Agent number as defined on the ID Master File or given by the Institution if a Non-ID Interested Party.
78–78	01	Character X(01)	PI I/P Name	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.

Position	Length	Format	Field Name	Record 30–Interested Parties Field Descrip (Page 3 of 6)
79–118	40	Character X(40)	Interested Party Name	Institution, Agent or Interested Party name as defined on the ID Master File or as given by the Institution if it is a Non-ID Interested Party.
119–119	01	Character X(01)	PI I/P I/A #	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
120–131	12	Character X(12)	Interested Party Internal Account Number	Internal Account Number at the Interested Party for this client. Not applicable for Institution and Agent.
132–132	01	Character X(01)	PI I/P Spl	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
133–157	25	Character X(25)	Interested Party Internal Account Name 1	Internal Account Name 1 for the customer at the Interested Party. Displayed on SID as two 25- character fields. (Please note: SID may default to the Interested Party's name if not entered). Not applicable for Institution and Agent.
158–158	01	Character X(01)	PI I/P Spl	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
159–183	25	Character X(25)	Interested Party Internal Account Name 2	Internal Account Name 1 for the customer at the Interested Party. Displayed on SID as two 25- character fields. (Please note: SID may default to the Interested Party's name if not entered). Not applicable for Institution and Agent.
184–184	01	Character X(01)	PI 1st Name	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
185–199	15	Character X(15)	Interested Party Contact First Name	First name of the contact.
200–200	01	Character X(01)	PI Last Name	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.

Position	Length	Format	Field Name	Record 30–Interested Parties Field Descrip (Page 4 of 6)
201–225	25	Character X(25)	Interested Party Contact Last Name	Last name of the contact.
226–226	01	Character X(01)	PI I/P Role	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
227–229	03	Character X(03)	Interested Party Role	Indicates the role of the contact: DOM = Domestic INT = International
230–230	01	Character X(01)	PI I/P Title	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
231–233	03	Character X(03)	Interested Party Title	Title of the Interested Party.
234–237	04	Character X(04)	Filler	DTC use only; do not use.
238–238	01	Character X(01)	PI Address 1	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
239–278	40	Character X(40)	Interested Party Address 1	Address line 1 for the interested party.
279–279	01	Character X(01)	PI Address 2	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
280–319	40	Character X(40)	Interested Party Address 2	Address line 2 for the Interested Party.
320–320	01	Character X(01)	PI I/P City	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
321–360	40	Character X(40)	Interested Party City	City where the interested party is located.

Position	Length	Format	Field Name	Record 30–Interested Parties Field Descrip (Page 5 of 6)
361–361	01	Character X(01)	PI I/P State	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
362–363	02	Character X(02)	Interested Party State/Province	State or province where the interested party is located (see Appendix 5.2, Eligible State/Province Codes, page 47).
364–364	01	Character X(01)	PI Postal Cde	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
365–379	15	Character X(15)	Interested Party Postal Code	User-formatted postal code; can be alpha-numeric; initialized to blanks.
380–380	01	Character X(01)	PI Country	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
381–382	02	Character X(02)	Interested Party Country	Country where the Interested Party is located; valid country codes only accepted by the ID/SID system (for country codes, see Interactive ID Input/Output Information).
382–383	01	Character X(01)	PI Ph Mask	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
384–385	02	Character X(02)	Interested Party Phone Mask	A mask used to format the phone number based on geographical locations (see Appendix 5.3, Eligible Telephone Types and Masks, page 48).
386–386	01	Character X(01)	PI Phone #	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
387–410	24	Character X(24)	Interested Party Phone Number	Formatted phone number string; for example, (212) 898-8000.
411–411	01	Character X(01)	PI Extension	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
412–416	05	Character X(05)	Interested Party Phone Extension	Unformatted extension number; if not defined, is filled with blanks.

Position	Length	Format	Field Name	Record 30–Interested Parties Field Descrip (Page 6 of 6)
417–417	01	Character X(01)	PI Ph Type	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
418–418	01	Character X(01)	Interested Party Phone Type	Phone type (see Appendix 5.3, Eligible Telephone Types and Masks, page 48).
419–419	01	Character X(01)	PI Descrip	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
420–449	30	Character X(30)	Interested Party Phone Type Description	Phone type description (see Appendix 5.3, Eligible Telephone Types and Masks, page 48).
450–450	01	Character X(01)	PI Monthly	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
451–451	01	Character X(01)	Suppress Monthly Statement	Indicates whether the institution wishes the broker-dealer to suppress the monthly statement to the interested party: Y = Suppression N = No suppression. Not applicable to Institution and Agent.
452–452	01	Character X(01)	PI Bkr Cfn	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
453–453	01	Character X(01)	Suppress Broker Confirm	Indicates whether the institution wishes the broker-dealer to suppress the broker confirm to the interested party: Y = Suppression N = No Suppression. Not Applicable to Institution and Agent.

4.6 Record 40–ID Agent Security Settlement Information

The length of Record 40–ID Agent Security Settlement Information is 603 bytes, including the Transaction Header (positions 1 through 26).

Position	Length	Format	Field Name	Record 40–ID Agt Sec Sttlemt Info Fld Descr (Page 1 of 7)
				Positions 1 through 26: Transaction Header
1–1	01	Character X(01)	Feedback Indicator	Contains a 'b̶' (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: SIDINS Institution Output Notification
9–10	02	Character X(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 is incremented as fields are added to or deleted from the format (see the cover page of this document for version number).
13–18	06	Character X(06)	User Reference Number	For future use.
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.

Position	Length	Format	Field Name	Record 40–ID Agt Sec Sttlemt Info Fld Descr (Page 2 of 7)
31–32	02	Character X(02)	Output Type	Output record type: 40 = ID Agent security settlement
33–40	08	Character X(08)	Institution Number	Eight-character identifier of the institution that controls the client account. Right justified, zero filled.
41–56	16	Character X(16)	Institution Internal Account Number	The institution's client internal account number. Left justified, trailing blanks.
57–64	08	Character X(08)	Effective Date	Effective date of ID Agent settlement instructions in CCYYMMDD format.
65–65	01	Character X(01)	PI ID Agent Model #	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
66–68	03	Character X(03)	ID Agent Model Number	Settlement Model Number that points to the specific settlement model of the ID agent; default = 000 General Model.
69–69	01	Character X(01)	PI ID Agent Model Name	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
70–99	30	Character X(30)	ID Agent Model Name	Settlement model name that describes the specific settlement model of the ID agent; default = GENERAL.
100–100	01	Character X(01)	PI Location Name	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
101–103	03	Character X(03)	ID Agent Settlement Location (Country/ Depository)	Country or Depository in which the security is to be settled; can be overridden by client beneficial account information associated with this client (for settlement location codes, see Chapter 3.04, Interactive ID Input/Output Information).
104–104	01	Character X(01)	PI Settlement Location	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.

Position	Length	Format	Field Name	Record 40–ID Agt Sec Sttlemt Info Fld Descr (Page 3 of 7)
105–144	40	Character X(40)	ID Agent Settlement Location Name (Country/ Depository)	Name of country or depository in which the security is to be settled (for country codes, see Chapter 3.04, Interactive ID Input/Output Information).
145–145	01	Character X(01)	PI Agent Sec. Type	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
146–148	03	Character X(03)	ID Agent Security Type	Type of security that can be settled at the location; can be overridden by Customer Beneficial Account Information associated to this customer. See Appendix 5.4, Security Type Codes and Descriptions, on page 49. **Note:** Parent–Child Security Type relationships have not been finalized as of this printing.
149–149	01	Character X(01)	PI Sec. Type Name	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
150–189	40	Character X(40)	ID Agent Security Type Name	Description of Security Type.
190–190	01	Character X(01)	PI Clearer/Corrt #	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
191–198	08	Character X(08)	Clearer/Correspon-dent Number	Eight-character identifier of the Agent's Clearer or Correspondent; = DTC Participant number if the settlement location is DTC. Right justified, zero filled.
199–199	01	Character X(01)	PI Clearer/Corr Name	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
200–239	40	Character X(40)	Clearer/Correspon-dent Name	Clearing agent/correspondent name as it appears on the ID Master File.
240–240	01	Character X(01)	PI Clearer I/A #	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.

Position	Length	Format	Field Name	Record 40–ID Agt Sec Sttlemt Info Fld Descr (Page 4 of 7)
241–256	16	Character X(16)	Clearer Internal Account Number	ID Agent's account number at the specified Clearer or Correspondent; can be overridden by client beneficial account information associated with this client.
257–257	01	Character X(01)	PI Stlmt Suffix	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
258–282	25	Character X(25)	Settlement Suffix	Settlement-instruction related text; can be overridden by client beneficial account information associated with this client.
283–283	01	Character X(01)	PI Clearer Model #	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
284–286	03	Character X(03)	Clearer Model Number	Settlement model number that points to the specific settlement model of the clearing agent; default = 000 General Model.
287–287	01	Character X(01)	PI Clearer Model Name	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
288–317	30	Character X(30)	Clearer Model Name	Settlement model name that describes the specific settlement model of the clearing agent; default = GENERAL.
318–318	01	Character X(01)	PI Effective Date	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
319–326	08	Character X(08)	Effective Date	Effective date of clearing agent settlement instructions in CCYYMMDD format.
327–327	01	Character X(01)	PI Clearer Set. Loc.	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
328–330	03	Character X(03)	Clearer Settlement Location (Country/ Depository)	Country or depository in which the security is to be settled (for settlement location codes, see Chapter 3.04, Interactive ID Input/Output Information).
331–331	01	Character X(01)	PI Set. Location Name	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.

Position	Length	Format	Field Name	Record 40–ID Agt Sec Sttlemt Info Fld Descr (Page 5 of 7)
332–371	40	Character X(40)	Clearer Settlement Location Name (Country/ Depository)	Name of Country or Depository in which the security is to be settled (for settlement location codes, see Chapter 3.04, Interactive ID Input/Output Information).
372–372	01	Character X(01)	PI Clearer Sec. Type	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
373–375	03	Character X(03)	Clearer Security Type	Type of security that can be settled at the location; can be overridden by Customer Beneficial Account Information associated to this customer. See Appendix 5.4, Security Type Codes and Descriptions, on page 49. **Note:** Parent–Child Security Type relationships have not been finalized as of this printing.
376–376	01	Character X(01)	PI Security Type Name	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
377–416	40	Character X(40)	Clearer Security Type Name	Description of Security Type.
417–417	01	Character X(01)	PI Clearer Split Currency Ind.	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
418–418	01	Character X(01)	Clearer Split Currency Indicator	Indicator of whether securities and currencies are to settle in different Locations. N = No Y = Yes
419–419	01	Character X(01)	PI Subcust./Br./ Depository #	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
420–427	08	Character X(08)	Subcustodian/ Branch/ Depository Number	Eight-character identifier of the Subcustodian, branch or depository as defined on the ID Master File.

Position	Length	Format	Field Name	Record 40–ID Agt Sec Sttlemt Info Fld Descr (Page 6 of 7)
428–428	01	Character X(01)	PI Subcust./Br./ Depository Nm	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
429–468	40	Character X(40)	Subcustodian/ Branch/Depository Name	The name of the Subcustodian, branch or depository as defined on the ID Master File.
469–469	01	Character X(01)	PI Subcust./Br./ Depos. I/A #	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
470–485	16	Character X(16)	Subcustodian/ Branch/Depository Internal Account Number	The clearing agent's internal account number at the Subcustodian, branch or depository; for example, for a bank clearing at the Federal Reserve Bank (FED), it contains the bank's ABA number.
486–486	01	Character X(01)	PI Settlement Prefix	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
487–511	25	Character X(25)	Settlement Prefix	Free-form settlement-related instructions.
512–512	01	Character X(01)	PI Settlement Instructions 1	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
513–552	40	Character X(40)	Settlement Instructions 1	Free-form settlement-related instruction text.
553–553	01	Character X(01)	PI Settlement Instructions 2	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
554–593	40	Character X(40)	Settlement Instructions 2	Free-form settlement-related instruction text.
594–595	02	Character X(02)	Filler	DTC use only; do not use.
596–596	01	Character X(01)	PI ID Agent Sec. Type	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.

Position	Length	Format	Field Name	Record 40–ID Agt Sec Sttlemt Info Fld Descr (Page 7 of 7)
597–599	03	Character X(03)	ID Agent Security Type (Parent)	The parent of the type of security that can be settled at the location; can be overridden by Customer Beneficial Account Information associated to this customer. See Appendix 5.4, Security Type Codes and Descriptions, on page 49. **Note:** Parent–Child Security Type relationships have not been finalized as of this printing.
600–600	01	Character X(01)	PI Clr Agent Sec Type	Process Indicator: (A)dd, (U)pdate, (D)elete, or spaces.
601–603	03	Character X(03)	Clearing Agent Security Type (Parent)	The parent of the type of security that can be settled at the location; can be overridden by Customer Beneficial Account Information associated to this customer. See Appendix 5.4, Security Type Codes and Descriptions, on page 49. **Note:** Parent–Child Security Type relationships have not been finalized as of this printing.

4.7 Record 50–ID Agent Split Currency Settlement Information

The length of the 50–ID Agent Currency Settlement Information is 616 bytes, including the Transaction Header (positions 1 through 26).

Position	Length	Format	Field Name	Record 50–ID Agent Split Curr Info Fld Descr (Page 1 of 7)
				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
3–8	06	Character X(06)	Record Type	Identifies the type of data contained within this message: SIDINS = Institution Output Notification
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 is incremented as fields are added to or deleted from the format (see the cover page of this document for version number).
13–18	06	Character X(06)	User Reference Number	For future use.
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.

Position	Length	Format	Field Name	Record 50–ID Agent Split Curr Info Fld Descr (Page 2 of 7)
31–32	02	Character X(02)	Output Type	Output record type: 50 = ID agent currency settlement
33–40	08	Character X(08)	Institution Number	Eight-character identifier of the Institution that controls the client account. Right justified, zero filled.
41–56	16	Character X(16)	Institution Internal Account Number	The institution's client internal account number; left justified, trailing blanks.
57–64	08	Character X(08)	Effective Date	Effective date of ID agent settlement instructions in CCYYMMDD format.
65–65	01	Character X(01)	PI ID Agent Model #	DTC use only; do not use.
66–68	03	Character X(03)	ID Agent Model Number	Settlement model number that points to the specific settlement model of the ID Agent; default = 000 General Model.
69–69	01	Character X(01)	PI ID Agent Model Name	DTC use only; do not use.
70–99	30	Character X(30)	ID Agent Model Name	Settlement model name that describes the specific settlement model of the ID Agent; default = GENERAL.
100–100	01	Character X(01)	PI Agt Settlement Loc	DTC use only; do not use.
101–103	03	Character X(03)	ID Agent Settlement Location (Country/ Depository)	Country or depository in which the security is to be settled; can be overridden by client beneficial account information associated to this client (for settlement location codes, see Chapter 3.04, Interactive ID Input/Output Information).
104–104	01	Character X(01)	PI Agt Settlement Loc Nm	DTC use only; do not use

Position	Length	Format	Field Name	Record 50–ID Agent Split Curr Info Fld Descr　　(Page 3 of 7)
105–144	40	Character X(40)	ID Agent Settlement Location Name (Country/ Depository)	Name of Country or Depository in which the security is to be settled (for settlement location codes, see Chapter 3.04, Interactive ID Input/Output Information).
145–145	01	Character X(01)	PI ID Agt Sec. Type	DTC use only; do not use
146–148	03	Character X(03)	ID Agent Security Type	Type of security that can be settled at the location; can be overridden by Customer Beneficial Account Information associated to this customer. See Appendix 5.4, Security Type Codes and Descriptions, on page 49. **Note:** Parent–Child Security Type relationships have not been finalized as of this printing.
149–149	01	Character X(01)	PI Agt Sec. Type Name	DTC use only; do not use.
150–189	40	Character X(40)	ID Agent Security Type Name	Description of security type.
190–190	01	Character X(01)	PI Clr/Corr #	DTC use only; do not use.
191–198	08	Character X(08)	Clearer/Correspon-dent Number	Eight-character identifier of the agent's clearer or correspondent.
199–199	01	Character X(01)	PI Clr/Corr Name	DTC use only; do not use.
200–239	40	Character X(40)	Clearer/Correspon-dent Name	Clearing agent/correspondent name as it appears on the ID master file.
240–240	01	Character X(01)	PI Clr I/A #	DTC use only; do not use.

Position	Length	Format	Field Name	Record 50–ID Agent Split Curr Info Fld Descr (Page 4 of 7)
241–256	16	Character X(16)	Clearer Internal Account Number	ID agent's account number at the specified clearer or correspondent; can be overridden by client beneficial account information associated with this client.
257–257	01	Character X(01)	PI Settle Suffx	DTC use only; do not use.
258–282	25	Character X(25)	Settlement Suffix	Free-form settlement instructions text.
283–283	01	Character X(01)	PI Clr Modl #	DTC use only; do not use.
284–286	03	Character X(03)	Clearer Model Number	Settlement model number that points to the specific settlement model of the clearing agent; default = 000 General Model.
287–287	01	Character X(01)	PI Clr Modl Name	DTC use only; do not use.
288–317	30	Character X(30)	Clearer Model Name	Settlement model name that describes the specific settlement model of the clearing agent; default = GENERAL.
318–318	01	Character X(01)	PI Effective Date	DTC use only; do not use.
319–326	08	Character X(08)	Effective Date	Effective date of clearing agent settlement instruction in CCYYMMDD format.
327–327	01	Character X(01)	PI Clr Settle Loc	DTC use only; do not use.
328–330	03	Character X(03)	Clearer Settlement Location (Country/ Depository)	Country or Depository in which the security is to be settled; (for settlement location codes, see Chapter 3.04, Interactive ID Input/Output Information).
331–331	01	Character X(01)	PI Clr Settle Loc Name	DTC use only; do not use.

Position	Length	Format	Field Name	Record 50–ID Agent Split Curr Info Fld Descr (Page 5 of 7)
332–371	40	Character X(40)	Clearer Settlement Location Name (Country/ Depository)	Name of Country or Depository in which the security is to be settled (for settlement location codes, see Chapter 3.04, Interactive ID Input/Output Information).
372–372	01	Character X(01)	PI Clr Security Type	DTC use only; do not use.
373–375	03	Character X(03)	Clearer Security Type	Type of security that can be settled at the location; can be overridden by Customer Beneficial Account Information associated to this customer. See Appendix 5.4, Security Type Codes and Descriptions, on page 49. **Note:** Parent–Child Security Type relationships have not been finalized as of this printing.
376–376	01	Character X(01)	PI Clr Security Type Name	DTC use only; do not use.
377–416	40	Character X(40)	Clearer Security Type Name	Description of security type.
417–417	01	Character X(01)	PI Clr Split Currency Ind	DTC use only; do not use.
418–418	01	Character X(01)	Clearer Split Currency Indicator	Indicator of whether securities and currencies settle in different locations. N = No Y = Yes
419–419	01	Character X(01)	PI Currency Settlement In	DTC use only; do not use.
420–422	03	Character X(03)	Currency Settlement In	Code of the currency in which the security is to be settled (for ISO currency codes, see Chapter 3.04, Interactive ID Input/ Output Information).

Position	Length	Format	Field Name	Record 50–ID Agent Split Curr Info Fld Descr (Page 6 of 7)
423–423	01	Character X(01)	PI Currency Bank #	DTC use only; do not use.
424–434	11	Character X(11)	Currency Bank Number	The Bank Identifier code; for example, BIC Number, for the bank where the currency is being transacted.
435–435	01	Character X(01)	PI Currency Bank Name	DTC use only; do not use.
436–450	15	Character X(15)	Currency Bank Name	The name of the bank where the currency is being transacted.
451–451	01	Character X(01)	PI Currency Bank I/A #	DTC use only; do not use.
452–467	16	Character X(16)	Currency Bank Internal Account Number	Clearing agent's account number at the Currency Bank.
468–468	01	Character X(01)	PI Currency Bnk I/A Nm 1	DTC use only; do not use.
469–491	23	Character X(23)	Currency Bank Internal Account Name 1	Free-form text of currency bank account special instructions line 1.
492–492	01	Character X(01)	PI Currency Bnk I/A Nm 2	DTC use only; do not use.
493–524	32	Character X(32)	Currency Bank Internal Account Name 2	Free-form text of currency bank account special instructions line 2.
525–525	01	Character X(01)	PI Currency Instructions 1	DTC use only; do not use.

Position	Length	Format	Field Name	Record 50–ID Agent Split Curr Info Fld Descr (Page 7 of 7)
526–565	40	Character X(40)	Currency Instructions 1	Free-form text of currency bank settlement instructions line 1.
566–566	01	Character X(01)	PI Currency Instructions 2	DTC use only; do not use.
567–606	40	Character X(40)	Currency Instructions 2	Free-form text of currency bank settlement instructions line 2.
607–608	02	Character X(2)	Filler	DTC use only; do not use.
609–609	01	Character X(01)	PI ID Agt Sec. Type (Parent)	DTC use only; do not use.
610–612	03	Character X(03)	ID Agent Security Type (Parent)	The parent of the type of security that can be settled at the location; can be overridden by Customer Beneficial Account Information associated to this customer. See Appendix 5.4, Security Type Codes and Descriptions, on page 49. **Note:** Parent–Child Security Type relationships have not been finalized as of this printing.
613–613	01	Character X(01)	PI Clr Agt Sec Type (Parent)	DTC use only; do not use.
614–616	03	Character X(03)	Clearing Agent Security Type (Parent)	The parent of the type of security that can be settled at the location; can be overridden by Customer Beneficial Account Information associated to this customer. See Appendix 5.4, Security Type Codes and Descriptions, on page 49. **Note:** Parent–Child Security Type relationships have not been finalized as of this printing.

4.8 Record 60–Broker-Dealer Internal Account Information

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

Position	Length	Format	Field Name	(Output) Record 60 Broker-Dlr Int Acct Info (Page 1 of 4)
				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 SIDINS = Institutional Input Notification
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.

Position	Length	Format	Field Name	(Output) Record 60 Broker-Dlr Int Acct Info (Page 2 of 4)
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.
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.

Position	Length	Format	Field Name	(Output) Record 60 Broker-Dlr Int Acct Info (Page 3 of 4)
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.
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 5.4, Security Type Codes and Descriptions, on page 49. **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.

Position	Length	Format	Field Name	(Output) Record 60 Broker-Dlr Int Acct Info (Page 4 of 4)
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).

4.9   Record 99–Trailer Settlement Information

Position	Length	Format	Field Name	Record 99–Trailer Settlement Info Field Descr (Page 1 of 2)
				Positions 1 through 26: Transaction Header
1–1	01	Character X(01)	Feedback	Contains a 'b̶' (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: SIDINS = Institution Output Notification
9–10	02	Character X(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 is incremented as fields are added to or deleted from the format (see the cover page of this document for version number).
13–18	06	Character X(06)	User Reference Number	For future use.
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 Type	Output record type: 99 = Trailer Information

Position	Length	Format	Field Name	Record 99–Trailer Settlement Info Field Descr (Page 2 of 2)
33–40	08	Character X(08)	Institution Number	ID number of the institution that controls the client account. Right justified, zero filled.
41–56	16	Character X(16)	Institution Internal Account Number	The institution's client internal account number. Left justified, trailing blanks.
57–64	08	Character X(08)	Effective Date	Date when the set of client information is to be effective on SID in CCYYMMDD format.
65–69	05	Character X(05)	Trailer Set Count	A five-character counter indicating the number of records the user receives for each set of records, including the trailer; for example, a set of 01, 12, 30, 40 and 99 = 00005 as a trailer set count.

5. Appendices

5.1 Depository 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
PTC	Participants Trust Company
US	US Physical

5.2   Eligible State/Province Codes

Code	Description	Code	Description	Code	Description
AB	Alberta	LB	Labrador	OK	Oklahoma
AK	Alaska	MA	Massachusetts	ON	Ontario
AL	Alabama	MB	Manitoba	OR	Oregon
AR	Arkansas	MD	Maryland	PA	Pennsylvania
AS	American Samoa	ME	Maine	PE	Prince Edward
AZ	Arizona	MH	Marshall Islands	PQ	Quebec
BC	British Columbia	MI	Michigan	PR	Puerto Rico
CA	California	MO	Missouri	PW	Palau
CO	Colorado	MP	Northern Mariana Is	RI	Rhode Island
CT	Connecticut	MS	Mississippi	SC	South Carolina
DC	District of Columbia	MT	Montana	SD	South Dakota
DE	Delaware	NB	New Brunswick	SK	Saskatchewan
FL	Florida	NC	North Carolina	TN	Tennessee
FM	Fed Sts of Micronesia	ND	North Dakota	TX	Texas
GA	Georgia	NE	Nebraska	UT	Utah
GU	Guam	NF	Newfoundland	VA	Virginia
HI	Hawaii	NH	New Hampshire	VI	Virgin Islands
IA	Iowa	NJ	New Jersey	VT	Vermont
ID	Idaho	NM	New Mexico	WA	Washington
IL	Illinois	NS	Nova Scotia	WI	Wisconsin
IN	Indiana	NT	Northwest Territories	WV	West Virginia
KS	Kansas	NV	Nevada	WY	Wyoming
KY	Kentucky	NY	New York	YT	Yukon Territory
LA	Louisiana	OH	Ohio		

5.3   Eligible Telephone Types and Masks

Phone Type	Description
B	Beeper
C	Cellular
D	Disaster Recovery
F	Fax
H	Home
M	Modem/Data Phone
T	Telex
W	Work

Phone Mask	Description
(...)-...-....	AG Argentina
(....)-....-....	F1 France (specific)
(...)-(..)-...-....	IN International
(...)-....-....	I2 International
(...)......	I3 International
(....)-...-....	I4 International
...(...)-..-..-..	LX Luxembourg
(...)-...-....	US United States

5.4 Security Type Codes and Descriptions

Type	Description		Type	Description
ABS	Asset-Backed Security		MBS	Mortgage Backed Securities
AGS	Agencies		MMI	Money Market Instruments
BAS	Banker's Acceptances		MSC	Miscellaneous
CDS	Corporate Debt Securities		MTN	Medium Term Notes
CER	Representative Certificates		MUN	Municipal Bonds
CMO	Collateralized Mortgage Obligation		NSD	Non-US Sovereign Debt
COD	Certificate of Deposit		OMB	Other Mortgage Backed Securities
CON	Convertible Bond		OMM	Other Money Market Instruments
CPA	Commercial Paper		OPC	Options Contracts
CPN	Coupons		OPS	Option Shares
CSH	Cash		PRC	Premium Contracts
EBD	Eurobonds		PRS	Premium Shares
ECD	Euro CD		RTE	Rentes
ECP	Euro CP		RTS	Rights
ENT	Euronotes		SHS	Equities (Shares)
FMR	Freddie Mac REMICS		TBI	Treasury
FNM	Fannie Mae		TEM	Tax Exempt Money Markets
FPA	Face or Principal or Nominal Amount		TRB	Treasury Bonds
FRM	Freddie Mac		TRN	Treasury Notes
GDS	Government Debt Securities		UNT	Units
GMR	Ginnie Mae REMICS		WTS	Warrants
GNM	Ginnie Mae		XCP	Tax Exempt Commercial Paper
ITS	Indexed Treasury Securities		Spaces	Not determined