Securities Processing

17.03 PARTICIPANT CUSTODY PROCESSING–BULK EOD CUSTOMER ACCOUNT UPDATE - OUTPUT (AIMASR) VIA CCF/CCF-II: FUNCTION USER'S GUIDE

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OBJECTIVES OF THIS CHAPTER

The objectives of this chapter are to:

- Describe the Bulk-EOD Customer Account Update Output via CCF/CCF-II (AIMASR) function:

- Illustrate record formats.

AIMASR OVERVIEW

What AIMASR Does

AIMASR, implemented to support DTC Custody Services, enables Participants to pick up Bulk-EOD Customer Account Update reply files. The reply files contain a Summary Record for every valid customer account swing record input that day by a Participant, together with a Trailer Record for the Participant. The reply file also contains a Summary Record following all the Summary Records to mark the end of the reply file for a Participant.

For file layout and processing of submitting input requests, see Chapter 17.1, Participant Custody Processing– Bulk-EOD Customer Account Update Inp (AMS5) for detailed information.

The Summary Record contains the number of shares, whole and fractional, for a specific CUSIP within a specific box that was updated for the customer. If no updates were performed, that is, no customer account was found, the Summary Record contains spaces in the CUSIP number and in the box fields.

The 99 Trailer Record provides a total number of Summary Records posted for the requesting Participant.

Transmission Mode

Users that communicate with DTC via CCF-II (NDM, RJE, or SNA/RJE) should read the appropriate CCF-II User Guide. Users that communicate with DTC via CCFUSER software should read the CCF User Guide in conjunction with this document.

RECORD FORMATS

CCF Header Record

The first record on the function file is a Header Record when HEADER=YES is specified as a CCFDTFDB parameter. The Header Record gives information about the creation of the file. The CCF Header Record format is shown below.

Note:

NDM users executing NDMDTF01, and RJE 3770 users executing RJESDTF2, receive the CCF Header record described below:

Position	Length	Format	Field Name	CCF Header Record Field Description
1	6	Character	Data Type Requested	AIMASR
7	6	Character	Data Type Created	AIMASR
13	8	Character	Data Date	*mm/dd/yy*
21	8	Character	DTC Data Load Date	*mm/dd/yy*
29	8	Character	DTC Data Load Time	*hh:mm:ss*
37	2	Binary	Record Size	Size of each data record.
39	4	Binary	Block Count	Number of data blocks input to CCFDTFDB.
43	4	Binary	Record Count	Number of data records.
47	244	Character	Filler	DTC use only; do not use.

CCF-II Header and Trailer Record

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

Position	Length	Format	Field Name	CCF-II Header and Trailer Record (DTC Transmits to User) Field Description
1	3	Character	Record Identifier	HDR or TLR
4	4	Character	Signon ID	Signon ID
8	6	Character	Data Type Requested	AIMASR
14	6	Character	Data Type Created	AIMASR
20	8	Character	Data Creation Date	*mm/dd/yy*
28	8	Character	Data Load Date	*mm/dd/yy*
36	8	Character	Data Load Time	*hh:mm:ss*

Position	Length	Format	Field Name	CCF-II Header and Trailer Record (DTC Transmits to User) Field Description
44	4	Numeric	Record Length	Record Length of data requested.
48	8	Numeric	Record Count	Number of data records in file.
56	4	Numeric	80-byte Record Count	Number of 80-byte records per data type requested.
60	15	Numeric	Filler	DTC use only; do not use.
75	6	Numeric	Sequence	Numbering sequence, used as a data integrity check. HDR 000000 TLR 999999

Transaction Record Header

Position	Length	Format	Field Name	Transaction Record Header Format
1	1	Character	Feedback Indicator	Indicator of presence or absence of errors found during processing ? request returned with errors; cannot be processed by DTC * valid output response/
2	1	Character	Production/Test Indicator	T = test P = production
3	6	Character	Record Type	AIMASR account swing reply.
9	2	Numeric	Record Suffix	Identifier of record number in a multiple-record transaction 01 (default)
11	2	Numeric	Version Number	Identifier of data-format version 01 (default).
13	6	Character	User Reference Number	Spaces not applicable to this application.
19	8	Character	Addressee	8-character identifier of entity on whose behalf the transaction is to be processed; right aligned, left zero fill.

Bulk-EOD Customer Account Summary Information

Position	Length	Format	Field Name	Bulk-EOD Customer Account Summary Information Format (Part 1 of 1, 1)
27	2	Character	Application Rec Type	01 summary valid record 02 summary error record.
29	8	Character	Participant Number	Participant number; right aligned, left zero filled.
37	20	Character	Old Account Number	Old customer account number, from input record.
57	20	Character	New Account Number	New customer account number, from input record.
77	12	Character	CUSIP ID	International CUSIP ID; format: 00 9-character issue identifier 0 **Note:** If no records were updated for a customer swing account, this field contains spaces.
89	13	Numeric	Quantity/Whole Shares	Whole share quantity; right aligned, leading zeros.
102	7	Numeric	Quantity/Frac Shares	Fractional share quantity; left aligned, zero filled.
109	7	Character	Box Number	Box number (spaces if no records updated for a customer swing record).
116	2	Character	Error Reason/Type	Error code: 00 valid application record 01 file and tran summaries mismatch on share totals 02 no valid customer account found to swing 03 swing for customer account already occurred.
118	5	Numeric	Total-swings-req	Total number of certificate records swung per CUSIP per box.
123	3	Character	Activity type	Activity type for customer transaction
126	25	Character	Filler	DTC use only; do not use.

Bulk-EOD Customer Account Update Trailer Information

Position	Length	Format	Field Name	Bulk-EOD Customer Account Update Trailer Information Format
27	2	Character	Application Record Type	99 Trailer Record
29	7	Numeric	Total Records	Total number of data records in this transmission, including Trailer Record; right aligned, zero filled
36	13	Numeric	Total Quantity Amount	Total quantity amount in all data records in this transmission; right aligned, zero filled
49	15	Numeric	Total Dollar Amount	9(13)V9(2) Total dollar amount in all the data records in this transmission; right justified, zero filled.
64	5	Numeric	Total Swings post	Total number of records swung for Participant.
69	82	Character	Filler	DTC use only; do not use.

For More Information

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