6.04 CF2WTC/WTM:
Function User's Guide

DOCUMENT HISTORY: 12/99 - Updated transaction codes: 014, 024 and 034. Added Trans. Codes; 011, 021 and 031.

1/00 - Page 58, Error Codes 12.1 - Error code U - changed code to Cede. P. 59, Trans. codes - added row 31.

6.04   CF2WTC/WTM: Function User's Guide

Table of Contents

1.0   Withdrawal by Transfer: Overview

The DTC Computer-to-Computer Facility (CCF-II) is a medium for transmitting data to and from DTC, with efficient control over computer resources.

The CCF-II CF2WTC and CF2WTM functions enable Participants to send Withdrawal-by-Transfer (WT) transactions to DTC.

- The CF2WTC function uses the format of the auto-WT magnetic tape system.
- The CF2WTM function uses the format of the auto-WT Mohawk system.

When using the CF2WTC and CF2WTM functions, CCF-II users submit WT transactions to DTC and receive responses indicating any control errors detected in the transmitted transactions. The editing process flags any fields that do not pass the edit criteria.

If any records are found to be invalid the entire transmission is returned with an AUDIT and a CONTROL record. Valid transactions are processed. Transmission status is shown on the control record.

The CF2WTC and CF2WTM function is available from 10:00 p.m. until 10:00 a.m. (Eastern Time) the following business day.

This manual gives details of the content and format of the records required to submit a WT transaction request.

Please Note: Withdrawal-by-Transfer records transmitted by Participants for DRS CUSIPS will be rejected by DTC if the DRS fields are not populated correctly. Participants can either correct these records and retransmit, or key-enter those items on PTS.

2.0 Withdrawal by Transfer Summary: Transmitting Transactions to DTC

CCF-II Users wishing to transmit data to DTC must do the following:

1. Prepare the request JCL as specified in this document or, the *CCF-II/RJE User's Guide*.

2. Transmit the DTC-specified JCL in order to initiate a job within the DTC Computer System.

CCF-II edits the input file and summary records; then processes valid transmissions and transmits records that are in error back to the User.

2.1 Setting Up JCL

The following procedure name and overriding parameter must be included in the transmitted JCL to indicate which function is being processed:

CF2WTC: procedure name RJEWTC01
           override parameter   FUNC=CF2WTC

CF2WTM: procedure name RJEWTM01
           override parameter   FUNC=CF2WTM

Thus the format of the EXEC JCL statement for a CCF-II/RJE User wishing to transmit CF2WTC transactions for processing by DTC would be

```
// EXEC RJEWTC01,FUNC=CF2WTC,TME=HHMMSS,DATE=MMDDYY,RMT=###,
//                 USERID=XXXX,TRANID=nnn
```

For further details, see the *CCF-II/RJE User's Guide*.

2.2 File Preparation

In order to use the CF2WTC and CF2WTM functions to transmit WITHDRAWAL BY TRANSFER transactions, the User must prepare one input file. The following illustration shows the structure of the input file:

```
                  INPUT FILE STRUCTURE

Instream data
Record length  =  750 BYTES (CF2WTC), 200 BYTES
                     (CF2WTM)
-.1st record   =  PSW record (Signon/Password
                     record)
-.2nd record   =  HDR record (Header record)
-.WT Transaction Records (see CF2WTC/CF2WTM Trans
Recd Desc)
                          •
                          •
                          •
-.Last record  =  TLR record  (Trailer record)
```
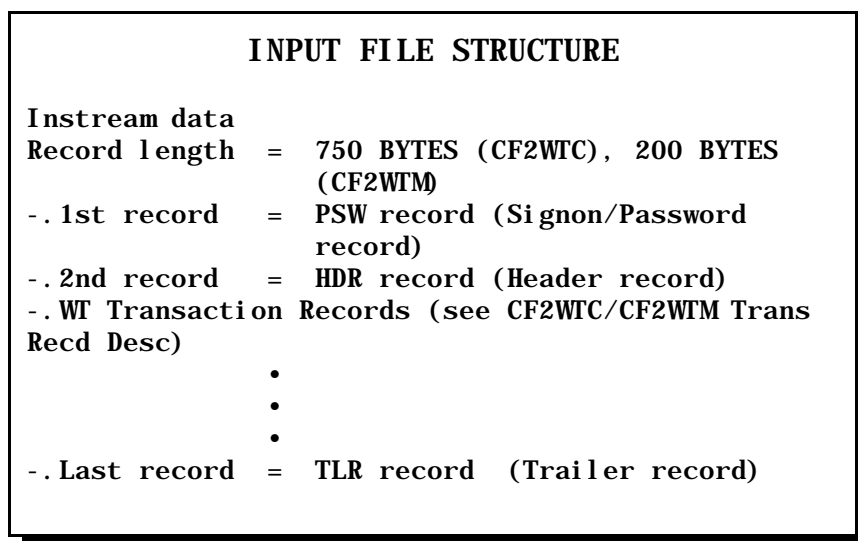
See the *CCF-II/RJE User's Guide* for further transmission method details.

2.3 CF2WTC and CF2WTM Transaction Record Descriptions

In order to facilitate the CF2WTC and CF2WTM FUNCTIONS, it is necessary to format the following records:

WT Header Records.
WT Transaction Data Records.
WT Participant Trailer Records.
WT Transmission Trailer Records.

Here are some basic rules for the above records. These rules are followed, in the rest of this manual, by details of record formats.

2.3 CF2WTC and CF2WTM Transaction Record Descriptions *(Continued)*

WT Header Record. One Header Record containing WT in positions 1 and 2. This Header Record immediately precedes the WT transaction data.

For CF2WTC:
- Single-Participant Transmissions contain SPT in positions 3–5.
- Multiple-Participant Transmissions (service bureaus) contain MPT in positions 3–5.

For CF2WTM:
- For Single-Participant Transmissions, positions 3–5 contain SHT.
- For Multiple-Participant Transmissions (service bureaus) positions 3–5 contain MHT

Header Records are not included in the WT Participant Trailer or WT Transmission Trailer transmission count tabulations.

Transaction Data Records. WT transaction data records contain detailed information regarding each WT transaction. These records are grouped by Participant number following the WT Header Record.

- For CF2WTC, each transaction data record is processed as one transaction.
- For CF2WTM, each type 1 record is processed as one transaction.

Participant Trailer Records. Data transmission for more than one Participant can be accommodated through the use of a multiple Participant transmission. the data must be grouped by Participant number. Each Participant's WT transaction records must be followed by a Participant Trailer Record.

The Participant Trailer Record provides DTC with control information pertinent to the WT transactions contained on the input file for each Participant. In Single-Participant transmissions, Participant Trailer Records are not required.

Participant Trailer Records are not included in the WT Participant Trailer or WT Transmission Trailer transmission count tabulations.

Transmission Trailer Record. Each transmission must have a Transmission Trailer Record following the last group of transaction data records. This record contains control information for all WT transactions in the transmission. Totals in this Trailer Record are checked by the system.

Transmission Trailer Records are not included in the WT Participant Trailer or WT Transmission Trailer transmission count tabulations.

In addition, CCF-II requires the following:
CCF-II PASSWORD RECORD
CCF-II Header Record

2.3 CF2WTC and CF2WTM Transaction Record Descriptions *(Continued)*

CCF-II Trailer Record

2.4 Transmission Structure

The structure of a Single-Participant Transmission is as follows:

```
┌─────────────────────────────────────┐
│       CCF-II Password Record         │
└─────────────────────────────────────┘

┌─────────────────────────────────────┐
│        CCF-II Header Record          │
└─────────────────────────────────────┘

┌─────────────────────────────────────┐
│          WT Header Record            │
└─────────────────────────────────────┘

┌─────────────────────────────────────┐
│         WT Detail Record(s)          │
└─────────────────────────────────────┘

┌─────────────────────────────────────┐
│    WT Transmission Trailer Record    │
└─────────────────────────────────────┘

┌─────────────────────────────────────┐
│         CCF-II Trailer Record        │
└─────────────────────────────────────┘
```
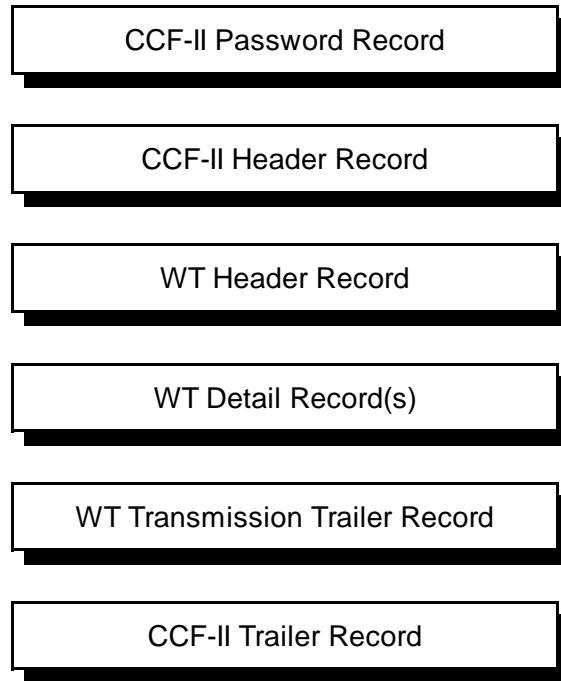
2.4   Transmission Structure *(Continued)*

The structure of a Multiple-Participant Transmission is as follows:

CCF-II Password Record

CCF-II Header Record

WT Header Record

Repeat for each Participant

o | WT Detail Record(s) |
|:---:|

o | WT Participant Trailer Record |
|:---:|

WT Transmission Trailer Record

CCF-II Trailer Record
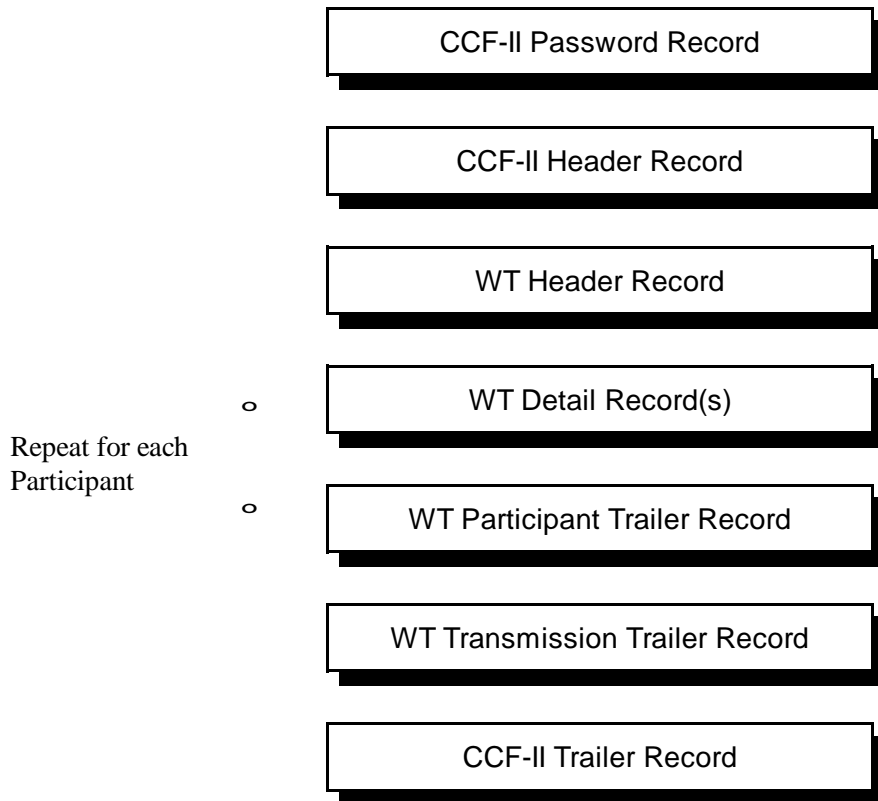
3.0   CF2WTC and CF2WTM Transmission Formats

3.1   CCF-II Signon/Password Record Format

The Password Record contains information regarding the eligibility of a Participant to use DTC Services. The format of the Password Record is shown below.

750/200 Character CCF-II Password Record Format				
Position	**Length**	**Format**	**Field Name**	**Field Description**
1	3	Character	Record Identifier	"PSW".
4	6	Character	Sign-On ID	Sign-on ID of transmitting Participant or Group User.
10	6	Character	Password	DTC-assigned password.
16	6	Character	Activity Type	"CF2WTC" or "CF2WTM".
22	3	Numeric	Transmission ID	Non-zero value, right-aligned and zero-filled.
25	726/176	Character	Filler	DTC use only; do not use.

3.2   CCF-II Header Record Format

The CCF-II CF2WTC/CF2WTM Header Record (format below) is included in all transactions after the password record.

750/200 Character Format of CCF-II Header Record				
Position	**Length**	**Format**	**Field Name**	**Field Description**
1	3	Character	Record ID	"HDR".
4	4	Character	Filler	DTC use only; do not use.
8	4	Character	Sign-On ID	Sign-on ID of the transmitting Participant or Group User.
12	6	Numeric	Transmission Date	MMDDYY.
18	6	Character	Activity Type	"CF2WTC" or "CF2WTM".
24	3	Numeric	Transmission ID	3-digit identifier (right-aligned, left zero filled).

3.2 CCF-II Header Record Format *(Continued)*

750/200 Character Format of CCF-II Header Record				
Position	**Length**	**Format**	**Field Name**	**Field Description**
27	1	Character	Filler	DTC use only; do not use.
28	1	Character	Processing Option	P = Production T = Test
29	6	Character	Error Indicators	1-letter error code; positions 29–34, indicates error type; code letter indicates specific error: "29" = Record Identifier "30" = Sign-on Identifier "31" = Transmission Date "32" = Activity Type "33" = Transmission Identifier "34" = Processing Option For explanation of codes, see "Appendix A, Error Codes" on page 57.
35	716/166	Character	Filler	DTC use only; do not use.

4.0   CF2WTC Record Formats

Formats of records required for the CF2WTC function are detailed in the following pages.

4.1   CF2WTC Header Record Format

The Header Record for WTC transactions indicates whether a transmission is a Single-Participant or Multiple-Participant Transmission.

<table>
<tr><th colspan="5">Format of CF2WTC Header Record</th></tr>
<tr><th>Position</th><th>Length</th><th>Format</th><th>Field Name</th><th>Field Description</th></tr>
<tr><td>1</td><td>2</td><td>Character</td><td>Data Type</td><td>Value WT</td></tr>
<tr><td>3</td><td>3</td><td>Character</td><td>Transmission Type</td><td>"SPT" = Single Participant
"MPT" = Multiple Participant (This must be specified for service bureaus or group Users.)</td></tr>
<tr><td>6</td><td>95</td><td>Character</td><td>Filler</td><td>DTC use only; do not use.</td></tr>
<tr><td>101</td><td>3</td><td>Character</td><td>Error Indicators</td><td>1-letter error code; positions 101–102, indicates error type; code letter indicates specific error:
"101" = Record Position
"102" = Valid Data Type
"103" = Valid Transmission Type
For explanation of codes, see "CCF-II Header Record Indicators" on page 44.</td></tr>
<tr><td>104</td><td>647/97</td><td>Character</td><td>Filler</td><td>DTC use only; do not use.</td></tr>
</table>

4.2   CF2WTC Transaction Data Record Format

The Transaction Data Record for WT transactions contains detailed information. The format of the WTC Transaction Data Record is shown below:

<table>
<tr><td colspan="5" align="center">Format of WTC Transaction Data Record (1 of 5)</td></tr>
<tr><th>Position</th><th>Length</th><th>Format</th><th>Field Name</th><th>Field Description</th></tr>
<tr>
<td>1</td><td>5</td><td>Character</td><td>Sequence Number</td>
<td>Sequence number of data record in this transmission, starting at "00001"; must contain leading zeroes and incremented by 1 for each record.</td>
</tr>
<tr>
<td>6</td><td>6</td><td>Character</td><td>Submission Date</td>
<td>MMDDYY.</td>
</tr>
<tr>
<td>12</td><td>6</td><td>Character</td><td>Participant Number</td>
<td>4-digit Participant number right aligned with zero fill.</td>
</tr>
<tr>
<td>18</td><td>9</td><td>Character</td><td>CUSIP Number</td>
<td>9-character identifier assigned to the eligible security.</td>
</tr>
<tr>
<td>27</td><td>7</td><td>Character</td><td>Total Quantity</td>
<td>Leading-zero filled.</td>
</tr>
<tr>
<td>34</td><td>100</td><td>Character</td><td>Issue Instructions</td>
<td>Ten 10-digit fields, positions each field as follows:
1–3   number of pieces
4–10 denomination
Zero fill blank positions and fields.</td>
</tr>
<tr>
<td>134</td><td>1</td><td>Character</td><td>Taxpayer Type</td>
<td>"1" = Individual (social security number), in the form NNN-NN-NNNN.
"2" = Business, in the form NN-NNNNNNN.
"3" = Non-resident alien in the form NRAbbbbbb (where bbbbb stands for blanks).</td>
</tr>
<tr>
<td>135</td><td>9</td><td>Character</td><td>Taxpayer ID</td>
<td>Taxpayer ID, as appropriate, of the primary owner of the securities described in this transfer code
Taxpayer Type = 1
Format NNNNNNNNN
Social Security Number
Taxpayer Type = 2
Format NNNNNNNNN
Employer Identification Number
Taxpayer Type =3
Format "NRAbbbbbb"
Non-resident alien, indicating that the owner is not subject to backup withholding (b=blank).</td>
</tr>
</table>

4.2   CF2WTC Transaction Data Record Format *(Continued)*

Format of WTC Transaction Data Record (2 of 5)				
Position	Length	Format	Field Name	Field Description
144	1	Character	Social Code	"0" = Unknown "1" = Male "2" = Female "3" = Joint Tenancy "4" = Fiduciary Style "5" = Business Style "9" = Depository.
145	1	Character	Assignment Type	"1" = Participant's own name, for example, Goldman, Sachs & Co. "2" = Free Form Assignment, that is, no special arrangement of data within the 210 character assignment field. "3" = Fixed Format Assignment, that is, the 210 character assignment field are defined with specific areas for last name, address, zip code, etc. "4" = Bypass RSA Processing.
146	210	Character	Assignment	A 210 character field that, when type of assignment equals 1 or 2, is printed as 6 lines of 35 characters.
For Non-DRS Items Only				
356	37	Character	Unique ID	Unique ID is available for Participant's own use and is a major field when deleting a pending transaction. The field will be available on all output media for correlation to internal records.
For DRS Items ONLY				
356	37	Character	Broker/Dealer Customer Account Number	Direct Registration System transaction broker/ dealer customer account number.
393	3	Character	DMD Mail Advice	Value "DTC".
396	6	Character	Deletion Date	Format MMDDYY. Used only when deleting a pending transaction. Date must equal original input date of pending item.
402	1	Character	Tax Waiver	Value "3". Takes the place of tax exemption certificate and signature. Value of 3 indicates a tax exemption certificate.

4.2 CF2WTC Transaction Data Record Format *(Continued)*

Format of WTC Transaction Data Record (3 of 5)				
Position	**Length**	**Format**	**Field Name**	**Field Description**
403	3	Character	Transaction Code	Type of processing required for: delete transaction(s), new transaction(s) – pend and new transaction(s) – do not pend. The field is also used to return the status of a updated, rejected or pended record. For a full explanation of transaction codes see "Appendix B, Transaction Codes" on page 59.
406	1	Character	Fingerprint Bypass Processing	Blank Do Fingerprint "0" = Do Fingerprint "1" = Bypass Fingerprint.
407	1	Character	Citizenship Certification	"0" = U.S. Citizenship "1" = Alien For communication and maritime issues only. Otherwise space.
408	1	Character	DMD Withhold Feature	Blank Not a mail withholding item. "0" = Not a mail withholding item. "1" = A mail withholding item.
For DRS Items ONLY				
409	40	Character	Participant or Correspondent Name	For DRS Indicator "S" or "Y", this field **must** contain the Participant or Correspondent name.
449	10	Character	Filler	DTC use only; do not use.
For Non-DRS Items ONLY				
409	50	Character	Fractional Share Denominations	Fields of five characters occurring 10 times each which describe the number of pieces and the denominational breakdown of the pieces. If only one piece for the total quantity is desired then these fields may be zero filled.
459	3	Character	Original Transaction Code	Used when deleting a pending transaction. Transaction code used when item was initially submitted for transfer.
462	5	Character	Deletion Sequence Number	Sequence number assigned to the item at initial submission for transfer.

4.2 CF2WTC Transaction Data Record Format *(Continued)*

Format of WTC Transaction Data Record (4 of 5)				
Position	**Length**	**Format**	**Field Name**	**Field Description**
467	1	Character	Unit Investment Transfers Code	Blank Not Applicable "0" = Not Applicable "1" = All Cash "2" = Principal and Interest "4" = Principal Only "5" = Interest Only.
468	9	Character	Reinvestment CUSIP Number	Optional if UIT Code entry (previous field) = "1", "2", "4", or "5". 9-digit identifier assigned to the eligible Selected Reinvestment Fund when there are Multiple Funds to choose from.
477	1	Character	Backup Withholding Code	Blank Not applicable. "A" = Failure to provide TIN. "B" = Failure to certify TIN. "C" = Notification of incorrect TIN from Secretary of Treasury. "D" = Failure to Certify backup withholding status. "E" = Voluntary Disclosure from payee of affirmative backup withholding status. "F" = Notification from Secretary of Treasury to begin backup withholding for under-reporting dividends and/or interest payments.
478	5	Numeric	Fractional Share Quantity	
483	8	Character	Agent ID	ID of the custodian bank or broker who is responsible for receiving or delivering the securities on behalf of the institution or its customer. Maximum of eight digits. Optional for IPO tracked issues.
491	12	Character	Agent Internal Account Number	Internal account number used by Participant to identify its clients. Required for IPO tracked issues.
503	8	Character	Correspondent Account	Account number used by broker-dealer or clearing bank to identify its correspondent. Only for IPO tracked issues. Optional.
511	13	Character	Filler	DTC use only; do not use.

4.2 CF2WTC Transaction Data Record Format *(Continued)*

<table>
<tr><th colspan="5">Format of WTC Transaction Data Record (5 of 5)</th></tr>
<tr><th>Position</th><th>Length</th><th>Format</th><th>Field Name</th><th>Field Description</th></tr>
<tr>
<td>524</td>
<td>1</td>
<td>Character</td>
<td>Direct Registration System Request Indicator</td>
<td>" " = Non DRS request
"S" = Statement account for DRS
"C" = Issue Certificate
"Y" = Third party transfer
"X" = Reverse prior DRS transaction.

Note: for DRS request the indicator **must** include one of the following values: "S", "C", "Y" or "X".</td>
</tr>
<tr>
<td>525</td>
<td>1</td>
<td>Character</td>
<td>DMA Status</td>
<td>Blank Non-DMA
"0" = Non-DMA
"1" = DMA - use registration address for mailing.
"2" = DMA - use DMA-DATA (next field) for Third Party Mailing.</td>
</tr>
<tr>
<td>526</td>
<td>180</td>
<td>Character</td>
<td>Third Party Mailing Address</td>
<td>If position 525 entry = 2. Free-form entry is 6 lines of 30 characters in each line.</td>
</tr>
<tr>
<td>706</td>
<td>1</td>
<td>Character</td>
<td></td>
<td>DTC internal use (Alphanumeric)
Blank Participant Tape Input
"1" = 4 PH Input
"2" = PTS Input.</td>
</tr>
<tr>
<td>707</td>
<td>13</td>
<td>Character</td>
<td>Transaction Identification Number</td>
<td>For DRS indicator "X", this field **must** contain the Transaction Identification number.</td>
</tr>
<tr>
<td>720</td>
<td>1</td>
<td>Character</td>
<td>Custody Indicator</td>
<td>" " or "N" = Standard WT Transaction
"Y" = Custom WT Transaction</td>
</tr>
<tr>
<td>721</td>
<td>10</td>
<td>Character</td>
<td>Filler</td>
<td>DTC use only; do not use.</td>
</tr>
<tr>
<td>731</td>
<td>4</td>
<td>Character</td>
<td>Error Indicators</td>
<td>1-letter error code; positions 731–734 indicates error type; code letter indicates specific error:
731   Participant Sequence
732   Record Position
733   Part Eligible For User
734   DRS Indicator Invalid
For explanation of codes, see Appendix A, Error Codes, on page 57.</td>
</tr>
<tr>
<td>735</td>
<td>16</td>
<td>Character</td>
<td>Filler</td>
<td>DTC use only; do not use.</td>
</tr>
</table>

4.3   CF2WTC Participant Trailer Record Format

The Participant Trailer Record for WT transactions provides DTC with control information about the WT transactions contained on the file for each Participant. Participant Trailer Records follow data records in Multiple-Participant Trans-missions (see page 8). The Participant Trailer Record is omitted on Single-Participant Transmissions. The format of the CF2WTC Participant Trailer Record is shown below.

Format of WTC Participant Trailer Record (Part 1 of 2)				
Position	Length	Format	Field Name	Field Description
1	5	Character	Record Sequence Number	Sequence number of data record in this transmission, starting at 00001; must contain leading zeroes and incremented by 1 for each record.
6	6	Character	Participant Number	4-digit Participant number right aligned with zero fill.
12	6	Character	Constant of Eights	Value "888888".
18	5	Character	WT-Records	Number of WTC Transaction Data Records for the Participant.
23	10	Character	Total Shares	Total number of shares for the Participant.
33	1	Character	Fractional Shares Indicator	Indicates if Fractional Shares exist on the Trailer Record. " " = no Fractional Shares in the Participant Trailer Record. "F" = Fractional Shares in the Participant Trailer Record.
34	15	Numeric	Sum of Fractional Shares	Format 9(10)V9(5). Sum of Fractional Shares for that Participant's records. Must be numeric if Indicator (pos 33) equals "F".
49	52	Character	Filler	DTC use only; do not use.
101	6	Character	Error Indicators	101 - Participant Sequence 102 - Record Count 103 - Share Quantity 104 - Record Position 105 - Participant User Eligibility 106 - Sum of Fractional Share
107	644	Character	Filler	DTC use only; do not use.

4.4 CF2WTC Transmission Trailer Record Format

The Transmission Trailer Record for WT Transactions provides DTC with control information pertinent to the WT transactions contained on the transmission for ALL Participants. The format of the CF2WTC Transmission Trailer Record is shown below:

				Format of CF2WTC Transmission Trailer Record (Part 1 of 2)
Position	**Length**	**Format**	**Field Name**	**Field Description**
1	5	Character	Record Sequence Number	Sequence number of data record in this transmission, starting at 00001; must contain leading zeroes and incremented by 1 for each record.
6	12	Character	Constant of Nines	Value "999999999999".
18	5	Character	WT Total	Number of WT transactions on the file (excluding headers and trailers).
23	10	Character	Total Shares	Number of shares included in all transactions on the file.
33	1	Character	Fractional Shares Indicator	Indicates if Fractional Shares exist on the Trailer Record. " " = No Fractional Shares in the Participant Trailer Record. "F" = Fractional Shares in the Participant Trailer Record.
34	15	Numeric	Sum of Fractional Shares	Format 9(10)V9(5). Sum of Fractional Shares for that Participant's records. Must be numeric if Indicator (pos 33) equals "F".
49	52	Character	Filler	DTC use only; do not use.
101	4	Character	Error Indicators	Pos 101 Participant Sequence. Pos 102 Record Count. Pos 103 Share Quantity. Pos 104 Sum of Fractional Share. For explanation of codes, see "Appendix A, Error Codes" on page 57.
105	646	Character	Filler	DTC use only; do not use.

5.0   CF2WTM Record Formats

5.1   CF2WTM Header Record Format

The Header Record for WT transaction indicates whether this transmission is a Single-Participant or Multiple-Participant Transmission. The format of the CF2WTM Header Record is shown below:

<table>
<tr><td colspan="5" align="center">Format of the CF2WTM Header Record</td></tr>
<tr><td>Position</td><td>Length</td><td>Format</td><td>Field Name</td><td>Field Description</td></tr>
<tr><td>1</td><td>2</td><td>Character</td><td>Data Type</td><td>Value "WT".</td></tr>
<tr><td>3</td><td>3</td><td>Character</td><td>Type of Transmission</td><td>"SHT" = Single Participant.
"MHT" = Multiple Participant (for Service Bureaus or Group Users).</td></tr>
<tr><td>6</td><td>95</td><td>Character</td><td>Filler</td><td>DTC use only; do not use.</td></tr>
<tr><td>101</td><td>2</td><td>Character</td><td>Error Indicators</td><td>101 Record Position
102 Valid Fields
For explanation of codes, see Appendix A, Error Codes, on page 57.</td></tr>
<tr><td>103</td><td>98</td><td>Character</td><td>Filler</td><td>DTC use only; do not use.</td></tr>
</table>

5.2   CF2WTM Transaction Data Record Format

The CF2WTM function provides for five different record types that constitute a single logical WT transaction. These records must appear in numerical order, Type 1, then Type 2, and so forth.

5.2.a   CF2WTM Record Type 1

The format of the Type 1 CF2WTM Transaction Data Record is shown below.

Position	Length	Format	Field Name	Field Description
Format of the CF2WTM Transaction Data Record - Type 1 (1 of 3)				
1	5	Character	Sequence Number	Sequence number of data record in this transmission, starting at "00001"; must contain leading zeroes and incremented by 1 for each record.
6	6	Numeric	Participant Number	4-digit Participant number right aligned with zero fill.
12	1	Character	Record Type	Value "1".
13	5	Character	Sequence Number	Starting at 00001. repeated on corresponding record types 2 through 5.
18	6	Character	Submission Date	MMDDYY.
24	9	Character	CUSIP Number	9-digit identifier assigned to the eligible Selected Reinvestment Fund when there are Multiple Funds to choose from.
33	7	Character	Total Quantity	Number of shares included in all transactions on the file (must be leading-zero filled).
40	100	Character	Issue Instructions	Ten 10-digit fields, positions each field as follows: 1–3 number of pieces 4–10 denomination Zero fill blank positions and fields.

5.2.a   CF2WTM Record Type 1 (Continued)

Format of the CF2WTM Transaction Data Record - Type 1 (2 of 3)				
Position	**Length**	**Format**	**Field Name**	**Field Description**
140	1	Character	Type of Taxpayer ID	1 = Individual Social Security number in the format NNNNNNNNN. 2 = Business, in the form NN-NNNNNNN. 3 = Non-resident alien in the NRAbbbbbb (where bbbbbb stands for blanks).
141	9	Character	Taxpayer ID	Taxpayer ID, as appropriate, of the primary owner of the securities described in this transfer code Taxpayer Type = 1 Format NNNNNNNNN Social Security Number Taxpayer Type = 2 Format NNNNNNNNN Employer Identification Number Taxpayer Type =3 Format "NRAbbbbbb" Non-resident alien, indicating that the owner is not subject to backup withholding (b=blank).
150	1	Character	Social Code	"0" = Unknown, "1" = Male, "2" = Female, "3" = Joint Tenancy, "4" = Fiduciary Style, "5" = Business Style, "9" = Depository.
151	1	Character	Unit Investment Transfer Code	Blank Not Applicable "0" = Not Applicable "1" = All Cash "2" = Principal and Interest "4" = Principal Only "5" = Interest Only.
152	9	Character	Reinvestment CUSIP Number	Optional if UIT Code entry (previous field) = "1", "2", "4", or "5". 9-digit identifier assigned to the eligible Selected Reinvestment Fund when there are Multiple Funds to choose from.
161	20	Character	Filler	DTC use only; do not use.

5.2.a   CF2WTM Record Type 1 *(Continued)*

<table>
<tr><td colspan="5">Format of the CF2WTM Transaction Data Record - Type 1 (3 of 3)</td></tr>
<tr><th>Position</th><th>Length</th><th>Format</th><th>Field Name</th><th>Field Description</th></tr>
<tr>
<td>181</td>
<td>4</td>
<td>Character</td>
<td>Error Indicators</td>
<td>1-letter error code; positions 181–184, indicates error type; code letter indicates specific error:
181   Participant Sequence
182   Record Position
183   Part Eligible For User
184   Filler (value zero).
For explanation of codes, see "CF2WTM Detail Type 1", on page 46.</td>
</tr>
<tr>
<td>185</td>
<td>16</td>
<td>Character</td>
<td>Filler</td>
<td>DTC use only; do not use.</td>
</tr>
</table>

5.2.b CF2WTM Record Type 2

The format of the Type 2 CF2WTM Transaction Data Record is shown below.

Format of the CF2WTM Transaction Data Record - Type 2 (1 of 2)				
Position	**Length**	**Format**	**Field Name**	**Field Description**
1	5	Character	Sequence Number	Same as corresponding Type 1 Record.
6	6	Character	Participant Number	4-digit Participant Number right aligned with zero fill.
12	1	Character	Record Type	Value "2".
13	5	Character	Sequence Number	Same as corresponding Type 1 Record.
18	1	Character	Type of Assignment	"1" = Participant's own name, for example, Goldman, Sachs & Co. "2" = Free Form Assignment, that is, no special arrangement of data within the 210 character assignment field. "3" = Fixed Format Assignment, that is, the 210 character assignment field is defined with specific areas for last name, address, zip code, etc. "4" = Bypass RSA 9 Registration Syntactical Analysis) processing.
19	35	Character	Assignment Line 1	First line of assignment, if type of assignment entry = 1 or 2.
54	35	Character	Assignment Line 2	Second line of assignment, if type of assignment entry = 1 or 2.
89	35	Character	Assignment Line 3	Third line of assignment, if type of assignment entry = 1 or 2.
124	35	Character	Assignment Line 4	Fourth line of assignment, if type of assignment entry = 1 or 2.

5.2.b CF2WTM Record Type 2 (Continued)

Position	**Length**	**Format**	**Field Name**	**Field Description**
159	1	Character	Backup Withholding Code	Blank = Not applicable. "A" = Failure to provide TIN. "B" = Failure to certify TIN. "C" = Notification of incorrect TIN from Secretary of Treasury. "D" = Failure to certify backup withholding status. "E" = Voluntary disclosure from payee of affirmative backup withholding status. "F" = Notification to begin backup withholding from Secretary of Treasury for underreporting dividends and/or interest payments.
160	21	Character	Filler	DTC use only; do not use.
181	4	Character	Error Indicators	1-letter error code; positions 181–184, indicates error type; code letter indicates specific error: 181 Participant Sequence 182 Record Position 183 Filler (value zero) 184 DRS Request Indicator For explanation of codes, see "CF2WTM Record Types 2-5" , on page 47.
185	16	Character	Filler	DTC use only; do not use.

Format of the CF2WTM Transaction Data Record - Type 2 (2 of 2)

5.2.c   *CF2WTM Record Type 3*

The format of the Type 3 CF2WTM Transaction Data Record is shown below.

Format of the CF2WTM Transaction Data Record - Type 3 (Part 1 of 3)				
Position	**Length**	**Format**	**Field Name**	**Field Description**
1	5	Character	Sequence Number	Same as corresponding Type 1 record.
6	6	Character	Participant Number	4-digit Participant number right aligned with zero fill.
12	1	Character	Record Type	Value "3".
13	5	Character	Sequence Number	Same as corresponding Type 1 record.
18	35	Character	Assignment Line 5	Fifth line of assignment, if type of assignment entry = 1 or 2.
53	35	Character	Assignment Line 6	Sixth line of assignment if type of assignment entry = 1 or 2.
For Non-DRS Items Only				
88	37	Character	Unique ID	Unique ID is available for Participant's own use and is a major field when deleting a pending transaction. The field will be available on all output media for correlation to internal records.
For DRS Items ONLY				
88	37	Character	Broker/Dealer Customer Account Number	Direct registration System transaction broker/ dealer customer account number.
125	3	Character	DMD Mail Advice	Value "DTC".
128	6	Character	Deletion Date	Format MMDDYY. Used only when deleting a pending transaction. Date must equal original input date of pending item.
134	1	Character	Tax Waiver	Value "3". Takes the place of tax exemption certificate and signature. Value of 3 indicates a tax exemption certificate.

5.2.c   *CF2WTM Record Type 3 (Continued)*

<table>
<tr><td colspan="5" align="center">Format of the CF2WTM Transaction Data Record - Type 3 (Part 2 of 3)</td></tr>
<tr><th>Position</th><th>Length</th><th>Format</th><th>Field Name</th><th>Field Description</th></tr>
<tr>
<td>135</td>
<td>3</td>
<td>Character</td>
<td>Transaction Code</td>
<td>Type of processing required for: delete transaction(s), new transaction(s) – pend and new transaction(s) – do not pend.
The field is also used to return the status of a updated, rejected or pended record. For a full explanation of transaction codes see "Appendix B, Transaction Codes" on page 59.</td>
</tr>
<tr>
<td>138</td>
<td>5</td>
<td>Character</td>
<td>Deletion Sequence Number</td>
<td>Sequence number assigned to the item at initial submission for transfer.</td>
</tr>
<tr>
<td>143</td>
<td>1</td>
<td>Character</td>
<td>Fingerprint Bypass Processing</td>
<td>Blank   do fingerprint
"0"   =   do fingerprint
"1"   =   bypass fingerprint   .</td>
</tr>
<tr>
<td>144</td>
<td>1</td>
<td>Character</td>
<td>Citizenship Certification</td>
<td>"0"   =   U.S. Citizenship
"1"   =   Alien
For communication and maritime issues only. Otherwise space.</td>
</tr>
<tr>
<td>145</td>
<td>1</td>
<td>Character</td>
<td>DMD Withhold Feature</td>
<td>Blank   Not a mail withholding item.
"0"   =   Not a mail withholding item.
"1"   =   A mail withholding item.</td>
</tr>
<tr>
<td>146</td>
<td>8</td>
<td>Character</td>
<td>Agent ID</td>
<td>ID of the custodian bank or broker who is responsible for receiving or delivering the securities on behalf of the institution or its customer. Maximum of eight digits. Only for IPO tracked issues; Optional.</td>
</tr>
<tr>
<td>154</td>
<td>1</td>
<td>Character</td>
<td>Direct Registration System Request Indicator</td>
<td>" " = Non DRS request
"S" = Statement account for DRS
"C" = Issue Certificate
"Y" = Third party transfer
"X" = Reverse prior DRS transaction

Note: for DRS request the indicator <u>must</u> include one of the following values: "S", "C", "Y" or "X".</td>
</tr>
<tr>
<td>155</td>
<td>26</td>
<td>Character</td>
<td>Filler</td>
<td>DTC use only; do not use.</td>
</tr>
</table>

5.2.c   *CF2WTM Record Type 3 (Continued)*

Format of the CF2WTM Transaction Data Record - Type 3 (Part 3 of 3)				
Position	**Length**	**Format**	**Field Name**	**Field Description**
181	4	Character	Error Indicators	1-letter error code; positions 181–184, indicates error type; code letter indicates specific error: 181 Participant Sequence 182 Record Position 183 Filler (value zero) 184 DRS Request Indicator For explanation of codes, see "CF2WTM Detail Types 2-5" on page 47.
185	16	Character	Filler	DTC use only; do not use.

5.2.d   *CF2WTM Record Type 4*

The format of the Type 4 CF2WTM Transaction Data Record is shown below.

Format of the CF2WTM Transaction Data Record - Type 4 (Part 1 of 2)				
Position	**Length**	**Format**	**Field Name**	**Field Description**
1	5	Character	Sequence Number	Same as corresponding Type 1 record.
6	6	Character	Participant Number	4-digit Participant number, right aligned with zero fill.
12	1	Character	Record Type	Value "4".
13	5	Character	Sequence Number	Same as corresponding Type 1 record.
18	12	Character	Agent Internal Account Number	Internal account number used by Participant to identify its clients. required for IPO tracked issues.
30	8	Character	Correspondent Account	Account number used by broker-dealer or clearing bank to identify its correspondent. Only for IPO tracked issues. Optional.
38	2	Character	Filler	DTC use only; do not use.
40	1	Character	DMA Mail Advice	Blank = Non-DMA "0" = Non-DMA "1" = DMA: use registration (assignment) for mailing purposes. "2" = DMA: USE DMA-DATA for third-party mailing purposes.
41	30	Character	Address 1	First line of direct mail address, if DMA Mail Advice entry = "2".
71	30	Character	Address 2	Second line of direct mail address, if DMA Mail Advice entry = "2".
101	30	Character	Address 3	Third line of direct mail address, if DMA Mail Advice entry = "2".
131	30	Character	Address 4	Fourth line of direct mail address, if DMA Mail Advice entry = "2".
161	20	Character	Filler	DTC use only; do not use.

6.04.05.02.04   CF2WTM Record Type 4 (Continued)

<table>
<tr><th colspan="5">Format of the CF2WTM Transaction Data Record - Type 4 (Part 2 of 2)</th></tr>
<tr><th>Position</th><th>Length</th><th>Format</th><th>Field Name</th><th>Field Description</th></tr>
<tr>
<td>181</td>
<td>4</td>
<td>Character</td>
<td>Error Indicators</td>
<td>181   Participant Sequence
182   Record Position
183   Filler (value zero)
184   DRS Request Indicator
For explanation of codes, see "CF2WTM Detail Types 2-5" on page 47.</td>
</tr>
<tr>
<td>185</td>
<td>16</td>
<td>Character</td>
<td>Filler</td>
<td>DTC use only; do not use.</td>
</tr>
</table>

5.2.e CF2WTM Record Type 5

The format of the Type 5 CF2WTM Transaction Data Record is shown below.

Format of the CF2WTM Transaction Data Record - Type 5 (Part 1 of 2)				
Position	**Length**	**Format**	**Field Name**	**Field Description**
1	5	Character	Sequence Number	Same as corresponding Type 1 record.
6	6	Character	Participant Number	4-digit Participant number, right aligned with zero fill.
12	1	Character	Record Type	Value "5".
13	5	Character	Sequence Number	Same as corresponding Type 1 record.
18	1	Character	Filler	DTC use only; do not use.
19	30	Character	Address 5	Fifth line of direct mail address, if DMA Mail Advice entry = "2".
49	30	Character	Address 6	Sixth line of direct mail address, if DMA Mail Advice entry = "2".
For DRS Items ONLY				
79	40	Character	Participant or Correspondent Name	For DRS Indicator "S" or "Y", this field **must** contain the Participant or Correspondent name.
119	10	Character	Filler	DTC use only; do not use.
For Non-DRS Items ONLY				
79	50	Character	Fractional Share Denominations	Fields of five characters occurring 10 times each which describe the number of pieces and the denominational breakdown of the pieces. If only one piece for the total quantity is desired then these fields may be zero filled.
129	5	Numeric	Fractional Share Quantity	
134	13	Character	Transaction Identification Number	For DRS indicator "X", this field **must** contain the Transaction Identification number.
147	1	Character	Custody Indicator	" " or "N" = Standard WT Transaction "Y" = Custody WT Transaction.
148	33	Character	Filler	DTC use only; do not use

6.04.05.02.05   *CF2WTM Record Type 5 (Continued)*

<table>
<tr>
<th colspan="5">Format of the CF2WTM Transaction Data Record - Type 5 (Part 2 of 2)</th>
</tr>
<tr>
<th>Position</th>
<th>Length</th>
<th>Format</th>
<th>Field Name</th>
<th>Field Description</th>
</tr>
<tr>
<td>181</td>
<td>4</td>
<td>Character</td>
<td>Error Indicators</td>
<td>1-letter error code; positions 181–184, indicates error type; code letter indicates specific error:
181   Participant Sequence
182   Record Position
183   Filler (value zero)
184   DRS Request Indicator
For explanation of codes, see "CF2WTM Detail Types 2-5" on page 47.</td>
</tr>
<tr>
<td>185</td>
<td>16</td>
<td>Character</td>
<td>Filler</td>
<td>DTC use only; do not use.</td>
</tr>
</table>

5.3 Trailer Record Formats

5.3.a CF2WTM Participant Trailer Record

The Participant Trailer Record for WT transaction provides DTC with control information about the WT transactions contained on the file for each Participant. Trailer Records came after data records in Multiple-Participant Transmissions (see page 8). The Participant Trailer Record is omitted on Single-Participant Transmissions. The format of the CF2WTM Participant Trailer Record is shown below:

Format of the CF2WTM Participant Trailer Record (Part 1 of 2)				
Position	**Length**	**Format**	**Field Name**	**Field Description**
1	5	Character	Sequence Number	Sequence Number.
6	6	Character	Participant Number	4-digit Participant number, right aligned with zero fill.
12	1	Character	Record Type	Value "8".
13	5	Character	Sequence Number	Value "88888".
18	5	Character	Number of Transactions	Total number of withdrawal by transfer Type 1 detail records transmitted for the Participant (contains leading zeroes).
23	10	Character	Number of Shares	Total number of shares covering Participant's withdrawal by transfer records (with leading zeroes).
33	1	Character	Fractional Shares Indicator	Indicates if Fractional Shares exist on the Trailer Record. " " = no Fractional Shares in the Participant Trailer Record. "F" = Fractional Shares in the Participant Trailer Record.
34	15	Numeric	Sum of Fractional Shares	Format 9(10)V9(5). Sum of Fractional Shares for that Participant's records. Must be numeric if Indicator (pos 33) equals "F".
49	52	Character	Filler	DTC use only; do not use.

5.3.a   *CF2WTM Participant Trailer Record (Continued)*

Format of the CF2WTM Participant Trailer Record (Part 2 of 2)				
Position	**Length**	**Format**	**Field Name**	**Field Description**
101	6	Character	Error Indicators	1-letter error code; positions 101–106, indicates error type; code letter indicates specific error: 101 Participant Sequence 102 Record Count 103 Share Quantity 104 Record Position 105 Participant User Eligibility 106 Fractional Shares For explanation of codes, see "CF2WTM Trailer Record Error Indicators" on page 48.
107	94	Character	Filler	DTC use only; do not use.

5.3.b   *CF2WTM Transmission Trailer Record Format*

The Transmission Trailer Record for WT transactions provides DTC with control information on the WT transactions contained on the file for all Participants. Transmission Trailer Records follow Participant Trailer Records (see page 12). The format of the CF2WTM Transmission Trailer Record is shown below.

Format of the CF2WTM Transmission Trailer Record (Part 1 of 2)				
Position	**Length**	**Format**	**Field Name**	**Field Description**
1	5	Character	Sequence Number	Sequence Number
6	6	Character	Participant Number	Value "999999".
12	1	Character	Record Type	Value "9".
13	5	Character	Sequence Number	Value "99999".
18	5	Character	Total Number of Transactions	Total number of CF2WTM Type 1 detail records on the file.
23	10	Character	Total Number of Shares	Total number of shares covering all Withdrawal by Transfer transactions on the file (with leading zeroes).
33	1	Character	Fractional Shares Indicator	Indicates if Fractional Shares exist on the Trailer Record. " " = no Fractional Shares in the Participant Trailer Record. "F" = Fractional Shares in the Participant Trailer Record.
34	15	Numeric	Sum of Fractional Shares	Format 9(10)V9(5). Sum of Fractional Shares for that Participant's records. Must be numeric if Indicator (pos 33) equals "F".
49	52	Character	Filler	DTC use only; do not use.
101	4	Character	Error Indicators	101 Record Position 102 Record Count 103 Share Quantity 104 Sum of Fractional Share For explanation of codes, see "CF2WTC/CF2WTM Transmission Trailer Error Indicators" on page 49.
105	96	Character	Filler	DTC use only; do not use.

5.3.c CCF-II Trailer Record Format

The Trailer Record contains control totals of the number of detail records in the transmission. The format of the Trailer Record is shown below:

Position	Length	Format	Field Name	Field Description
		750/200 Character CCF-II Trailer Record Format (Part 1 of 2)		
1	3	Character	Record Identifier	Value "TLR".
4	4	Character	Filler	DTC use only; do not use.
8	4	Character	Sign-on ID	ID of transmitting Participant or Group User.
12	6	Character	Activity Type	"CF2WTC" or "CF2WTM".
18	3	Numeric	Transmission ID	3-digit numeric field on the Header Record, right-aligned and zero-filled.
21	2	Character	Filler	DTC use only; do not use.
23	9	Numeric	Total record Count	Total number of 750/200 Byte CF2WTC/ CF2WTM records in the transmission excluding CCF-II PSW, header and trailer (right-aligned and zero-filled).
32	2	Character	Filler	DTC use only; do not use.
34	6	Character	Error Indicators	1-letter error code; positions 34–39, indicates error type; code letter indicates specific error: 34 Record Identifier 35 Sign-on Identifier 36 Activity Type 37 Transmission Identifier 38 Total Count 39 Record Position For explanation of codes, see "CCF-II Trailer Record Error Indicators" on page 50.
40	711/161	Character	Filler	DTC use only; do not use.

6.0   CF2WTC/CF2WTM Transmission Response

During processing of CF2WTC/CF2WTM transmissions, DTC checks all transactions submitted for validity. DTC then transmits an acknowledgment to the originating User. The acknowledgment consists of:
- A control record – that is, control totals of transactions processed (and transactions rejected, if applicable)
- An error record (if applicable)
- An audit record (count of valid and invalid records and indication of transmission status)

Transmission Accepted. If a transmission is accepted, DTC transmits to the User a Control Record and an Audit Record.

- The Control Record contains a transmission status number, indicating the status of the transmission. See "Control Record Transmission Status Codes" on page 51 for the codes and their meanings.

- The Audit Record contains the total record count which DTC accepted for processing.

Errors in Transmission. If there are errors in transmission, DTC transmits to the User a Control Record, an Error Record, and an Audit Record.

- The Control Record contains a transmission status number, indicating the status of the transmission. See "Control Record Transmission Status Codes" on page 51 for the codes and their meanings.

- Transactions submitted with indication of errors.

- The Audit Record contains the total record count which DTC either accepted for processing or rejected.

Rejected records on the Error/Control File transmitted to the User have a series of indicators placed in the records. Each indicator corresponds to a field in the record. A zero in the indicator means the field is valid. A number in the indicator represents a particular error which was detected. For an explanation of error indicators, see "CCF-II Header Record Error Indicators" on page 43 through to "CCF-II Trailer Record Error Indicators" on page 50. If the record identifier is incorrect, the record is edited as if it were a Detail Record and returned to the User.

When there are errors in transactions transmitted to DTC, the following actions will be taken:

6.0   CF2WTC/CF2WTM Transmission Response *(Continued)*

Rejection of Entire Transmission. If transmission error is one of the following:

- Header or Trailer Record missing or invalid;
- Trailer Record control totals that do not match totals of records processed;
- Invalid field or fields in detail record;

then the action taken is rejection of the entire transmission. All records submitted are edited and returned along with control and audit records.

In the case of rejection of an entire transmission, for security purposes, the initial Password (PSW) Record is not returned to the Participant. If a PSW Record is embedded within the body of the file it is treated as an invalid Detail Record and returned with the password field filled with asterisks.

6.1   CCF-II Control Record Format

The Control Record contains information regarding the status of a transmission and the number of Error Records within the transmission. The format of the CCF-II Control Record is shown below.

Position	Length	Format	Field Name	Field Description
			750/200 Character CCF-II Control Record Format (Part 1 of 2)	
1	3	Character	Record Identifier	"CTL".
4	4	Character	Filler	DTC use only; do not use.
8	4	Character	Sign-on	Sign-on ID of transmitting Participant or Group User (left-aligned space -filled).
12	5	Character	Filler	DTC use only; do not use.
17	3	Character	Filler	Value "DTC"
20	6	Numeric	Process Date	MMDDYY - Date the transaction was processed through the CF2WT system.
26	6	Character	Activity Type	"CF2WTC" or "CF2WTM".
32	3	Numeric	Transmission ID	Same as 3-digit numeric field on the Header Record, right-aligned and zero-filled.
35	1	Character	Filler	DTC use only; do not use.
36	1	Character	Processing Option	P = Production T = Test

6.1   CCF-II Control Record Format *(Continued)*

<table>
<tr><td colspan="5" align="center">750/200 Character CCF-II Control Record Format (Part 2 of 2)</td></tr>
<tr><th>Position</th><th>Length</th><th>Format</th><th>Field Name</th><th>Field Description</th></tr>
<tr>
<td align="center">37</td>
<td align="center">3</td>
<td>Numeric</td>
<td>Processing Status</td>
<td>
"000"   Transmission Accepted
The following are ALL Transmission Rejected codes;
"100"   Invalid WT detail records.
"120"   Invalid/missing WT header.
"130"   Invalid WT Participant trailer.
"135"   Invalid/missing WT Transmission Trailer.
"140"   WT header & trailer both invalid.
"444"   No file received.
"555"   Past cutoff.
"600"   Function not available.
"666"   Function not available.
"700"   Accumulated Participant total WT transactions invalid.
"725"   Accumulated transmission total WT transactions invalid.
"750"   Accumulated total CCF-II detail records invalid.
"800"   No CCF-II Trailer.
"888"   CCF-II Trailer Invalid.
"900"   No CCF-II trailer invalid.
"950"   No CCF-II header or trailer.
"999"   CCF-II header invalid.
</td>
</tr>
<tr>
<td align="center">40</td>
<td align="center">5</td>
<td>Numeric</td>
<td>Error Count</td>
<td>Total number of records that are returned due to errors.</td>
</tr>
<tr>
<td align="center">45</td>
<td align="center">6</td>
<td>Numeric</td>
<td>Time Arrived</td>
<td>HHMMSS time the record was received.</td>
</tr>
<tr>
<td align="center">51</td>
<td align="center">6</td>
<td>Numeric</td>
<td>Time Completed</td>
<td>HHMMSS time the transmission was completed.</td>
</tr>
<tr>
<td align="center">57</td>
<td align="center">694/144</td>
<td>Character</td>
<td>Filler</td>
<td>DTC use only; do not use.</td>
</tr>
</table>

6.2   CCF-II Audit Record Format

The Audit Record contains information regarding the status of a transmission. It is sent whether or not there are errors in the transmission. The Format of the CCF-II Audit Record is shown below.

750/200 Character CCF-II Audit Record Format (Part 1 of 2)				
Position	**Length**	**Format**	**Field Name**	**Field Description**
1	3	Character	Record Identifier	Value "ADT".
4	4	Character	Filler	DTC use only; do not use.
8	4	Character	Sign-on ID	Sign-on ID of transmitting Participant or group User; left-aligned, space-filled.
12	6	Character	Activity Type	"CF2WTC" or "CF2WTM".
18	3	Numeric	Transmission ID	Same as 3-digit numeric field on the Header Record (right-aligned and zero-filled).
21	2	Character	Filler	DTC use only; do not use.
23	9	Numeric	Total Valid Records	Counter of all the valid WT records transmitted.
32	9	Numeric	Total Valid Transactions	A counter of all the valid CF2WTC or CF2WTM type 1 records transmitted.
41	17	Numeric	Share Quantity	A counter of the shares for all valid records transmitted in 9(12)v9(5) format.
58	9	Numeric	Total Invalid Records	Counter of all invalid WT records transmitted.
67	9	Numeric	Total Invalid Transactions	Total invalid CF2WTC detail or CF2WTM Type 1 detail records transmitted.
76	15	Numeric	Sum of Fractional Shares	Format 9(10)V9(5). A counter of the Sum of Fractional Shares for all valid records transmitted.
91	676/110	Character	Filler	DTC use only; do not use.

7.0   CF2WTC/CF2WTM Descriptions of Error Indicators

Each edited item, in each record type, can have more than one Possible Error Indicator. These Error Indicators are explained below, item by item, until each item in the record has been clarified.

NOTE: If a PSW Record is embedded within the body of the input file, it is treated as an Invalid Detail Record and returned with the password field filled with asterisks for security purposes.

7.1   CCF-II Header Record Indicators

CCF-II Header Record Indicators	
Position	**Field Content/Description**
29	"0" Record Identifier equals HDR. "1" Record Identifier not equal HDR.
30	"0" Sign On ID equals JCL Sign On ID. "1" Sign On ID does not match JCL Sign On ID.
31	"0" Transaction Date is Correct. "1" Transaction Date not Numeric. "2" Transaction Date does not match the Current Date.
32	"0" Activity Type equals CF2WTC or CF2WTM, as specified in the FUNC symbolic parameter (see page 2). "1" Activity Type not CF2WTC or CF2WTM, as above.
33	"0" Transmission ID is Correct. "1" Transmission ID not numeric. "2" Transmission ID does not fall between 1 and 999. "3" Transmission ID is Duplicate. "4" Transmission ID does not match the Transmission ID used on the JCL.

34	"0" Processing option equals one of the following:
	        "P" Production
	        "T" Test
	"1" Processing Option does not equal one of the following:
	        "P" Production
	        "T" Test

7.2   CF2WTC/CF2WTM Header Record Error Indicators

CF2WTC/CF2WTM Header Record Indicators	
Position	**Field Content/Description**
101	"0" WT Header Record follows the CCF-II Header Record. "1" WT Header Record does not follow the CCF-II Header Record.
102	"0" BYTES 1–2 contain "WT". "1" BYTES 1–2 do not contain "WT".
103	"0" For a CF2WTC transmission, BYTES 3–5 contain SPT or MPT 　　　For a CF2WTM transmission, BYTES 3–5 contain SHT or MPT 　　　If the User is a Group User, BYTES 3–5 must contain MHT or MPT. "1" For a CF2WTC transmission, BYTES 3–5 do not contain SPT or MPT. 　　　For a CF2WTM transmission, BYTES 3–5 do not contain SHT or MHT. "2" For a Group User (Service Bureau), BYTES 3–5 contain SHT or SPT.

7.3 CF2WTC Detail Record

<table>
<tr><td colspan="2" align="center">CF2WTC Detail Record</td></tr>
<tr><td align="center">Position</td><td align="center">Field Content/Description</td></tr>
<tr>
<td align="center">731</td>
<td>"0" The Participant Number is equal to the previous Participant number if the previous record was a detail record.
"1" The Participant Number is out of sequence; it does not match the previous record Participant Number if the previous record was a detail record.</td>
</tr>
<tr>
<td align="center">732</td>
<td>"0" The previous record was one of the following:
WT Header Record
WT detail record
WT Participant Trailer Record.
"1" The previous record was <u>not</u> one of the following:
WT Header Record
WT detail record
WT Participant Trailer Record.</td>
</tr>
<tr>
<td align="center">733</td>
<td>"0" The JCL Signon ID matches the record Participant ID or, for a group User, the record Participant ID is valid for this group User.
"1" The record Participant ID is not numeric.
"2" The JCL Signon ID does not equal the record Participant ID or, for a group User, the record Participant ID is not valid for this group User.</td>
</tr>
<tr>
<td align="center">734</td>
<td>"1" The DRS Request Indicator not equal "S", "C", "Y" or "X".
"2" If DRS Indicator equal "S" or "Y", Participant Name must contain data.
"3" The DRS Request Indicator equals "X". The Transaction ID field must contain data.</td>
</tr>
</table>

7.4   CF2WTM Detail Type 1 Record

<table>
<tr><td colspan="2" align="center">CF2WTM Detail Type 1 Record</td></tr>
<tr><td align="center">Position</td><td align="center">Field Content/Description</td></tr>
<tr>
<td align="center">181</td>
<td>"0"   The Participant Number is equal to the previous Participant Number if the previous record was a Detail Record.
"1"   The Participant Number is out of sequence, it does not match the previous record Participant Number, if the previous record was a Detail Record.</td>
</tr>
<tr>
<td align="center">182</td>
<td>"0"   The previous record was one of the following:
WT Header Record
WT Detail Record
WT Participant Trailer Record.
"1"   The previous record was <u>not</u> one of the following:
WT Header Record
WT Detail Record
WT Participant Trailer Record.</td>
</tr>
<tr>
<td align="center">183</td>
<td>"0"   The JCL Signon ID matches the record Participant ID or, for a Group User, the record Participant ID is valid for this Group User.
"1"   The record Participant ID is not numeric.
"2"   The JCL Signon ID does not equal the record Participant ID or, for a Group User, the record Participant ID is not valid for this Group User.</td>
</tr>
</table>

7.5   CF2WTM Detail Type 2,3,4 or 5 Record

Position	Field Content/Description
	CF2WTM Detail Type 2,3,4 or 5 Record
181	0 The Participant Number is equal to the previous Participant Number if the previous record was a Detail Record. 1 The Participant Number is out of sequence; it does not match the previous record Participant Number if the previous record was a detail record.

182	0 The previous record was one of the following:
	    WT Header Record
	    WT Detail Record
	    WT Participant Trailer Record.
	1 The previous record was <u>not</u> one of the following:
	    WT Header Record
	    WT Detail Record
	    WT Participant Trailer Record.

183	Filler - not currently used.
184	"1" The DRS Request Indicator not equal "S", "C", "Y" or "X". "3" The DRS Request Indicator equals "X". The Transaction ID field must contain data.

7.6 CF2WTC/CF2WTM Participant Trailer Record Error Indicators

<table>
<tr><td colspan="2" align="center">CF2WTC/CF2WTM Participant Trailer Record Error Indicators</td></tr>
<tr><td align="center">Position</td><td align="center">Field Content/Description</td></tr>
<tr>
<td align="center">101</td>
<td>"0"   The Participant Number is equal to the previous Participant Number, if the previous record was a detail record.
"1"   The Participant Number is out of sequence; it does not match the previous record Participant Number if the previous record was a detail record.</td>
</tr>
<tr>
<td align="center">102</td>
<td>"0"   The transaction count equals the total number of CF2WTC detail records or the total number of CF2WTM Type 1 records.
"1"   The transaction count is not numeric.
"2"   The transaction count does not equal the total number of CF2WTC Detail Records or the total number of CF2WTM Type 1 records.</td>
</tr>
<tr>
<td align="center">103</td>
<td>"0"   The total share quantity equals the total quantity accumulated from the WT Detail Records.
"1"   The total share quantity is not numeric.
"2"   The total share quantity foes not equal the total share quantity accumulated form the WT Detail Records.</td>
</tr>
<tr>
<td align="center">104</td>
<td>"0"   The transmission is a Multiple-Participant Transmission and the previous record was a detail record.
"1"   The transmission is a Single-Participant Transmission.
"2"   The previous record was other than a detail record.</td>
</tr>
<tr>
<td align="center">105</td>
<td>"0"   The JCL Signon ID matches the record Participant ID or, for Group User, the record Participant ID is valid for this Group User.
"1"   The record Participant ID is not numeric.
"2"   The JCL Signon ID does not equal the record Participant ID or, for a Group User, the record Participant ID is not Valid for this Group User.</td>
</tr>
<tr>
<td align="center">106</td>
<td>"0"   The Fractional Share quantity equals the Sum of Fractional Shares from the WT Detail Record.
"1"   The Fractional Share Quantity is not numeric.
"2"   The Fractional Share quantity does not equal the Sum of Fractional Shares from the WT Detail Record.</td>
</tr>
</table>

7.7   CF2WTC/CF2WTM Transmission Trailer Error Indicators

<table>
<tr><th colspan="2">CF2WTC / CF2WTM Transmission Trailer Error Indicators</th></tr>
<tr><th>Position</th><th>Field Content/Description</th></tr>
<tr>
<td>101</td>
<td>"0"   For <u>Single</u>-Participant Transmission, the last record was a WT Detail Record
    For a <u>Multiple</u>-Participant Transmission, the last record was a WT Participant trailer.
"1"   For a <u>Single</u>-Participant Transmission the last record was other than a WT Detail Record.
    For a <u>Multiple</u>-Participant Transmission the last record was other than a WT Participant Trailer.</td>
</tr>
<tr>
<td>102</td>
<td>"0"   The transaction count equals the total number of CF2WTC Detail Records or CF2WTM Type 1 records in the transmission.
"1"   The transaction count is not numeric.
"2"   The transaction count does not equal the total number of CF2WC Detail Records or the total number of CF2WTM Type 1 records in the transmission.</td>
</tr>
<tr>
<td>103</td>
<td>"0"   The total share quantity equals the total quantity accumulated from WT Detail Records in the transmission.
"1"   The total share quantity is not numeric.
"2"   The total share quantity does not equal the total share quantity accumulated from the WT Detail Records in the transmission.</td>
</tr>
<tr>
<td>104</td>
<td>"0"   The Fractional Share quantity equals the Sum of Fractional Shares from the WT Detail Record.
"1"   The Fractional Share Quantity is not numeric.
"2"   The Fractional Share quantity does not equal the Sum of Fractional Shares from the WT Detail Record.</td>
</tr>
</table>

7.8 CCF-II Trailer Record Error Indicators

	CCF-II Trailer Record Error Indicators
Position	**Field Content/Description**
34	"0" CCF-II Trailer is the last record in the file. "1" CCF-II Trailer is not the last record in the file.
35	"0" Signon ID equals JCL Signon ID. "1" Signon ID does not match JCL Signon ID.
36	"0" Activity Type equals CF2WTC or CF2WTM as specified in the JCL FUNC symbolic parameter. "1" Activity Type not equal to either "CF2WTC or "CF2WTM".
37	"0" Transmission ID is Correct. "1" Transmission ID not numeric. "2" Transmission ID does not fall between 1 and 999. "3" Transmission ID does not match the Transmission ID used on the JCL.
38	"0" Total WT Record Count equals the number of WT Records. "1" Total WT Record Count is not numeric. "2" Total WT Record Count does not match the number of WT Records.
39	"0" The previous record was a WT Transmission Trailer. "1" The previous record was not a WT Transmission Trailer.

8.0 Control Record Transmission Status Codes

The Control Record sent to the User contains one of the Transmission Status Codes listed below, denoting the transmission status found during processing.

Code	Meaning
000	Transmission accepted.
100	Invalid WT Detail Records.
120	Invalid or missing WT Header Record.
130	Invalid WT Participant Trailer Record.
135	Invalid WT or missing WT Transmission Trailer Record.
140	WT Header and Trailer Records both invalid.
444	No file transmitted/received.
555	After processing cutoff time.
600	CCF-II Header and Trailer Records both invalid.
666	Function temporarily not available.
700	WT transaction count specified on WT Participant Trailer Record does not match program count.
725	WT transaction count specified on WT Transmission Trailer Record does not match program count.
750	Detail record count specified on CCF=II Trailer Record does not match program count.
800	CCF-II Trailer Record missing.
888	CCF-II Trailer Record invalid.
900	CCF-II Header Record missing.
950	Both CCF-II header and trailer missing.
999	CCF-II Header Record invalid.

If the Transmission Status Code is other than zero, all transmitted records are rejected.

8.1 Data Records

In the event of error during transmission or processing, one of three Error Message Output Records is transmitted, including the problem encountered.

8.2 Error Message Output Records

Error Message Output Record (DTC Transmits to USER)				
Position	**Length**	**Format**	**Field Name**	**Field Description**
1	3	Character	Record ID	Value "ERR".
4	8	Character	Signon ID	Right aligned left zero filled.
12	8	Character	Filler	DTC use only; do not use.
20	6	Character	Processing Date	MMDDYY.
26	6	Character	Function Name	"CF2WTC" or "CF2WTM".
32	3	Character	Transmission ID	Tranid Number from HDR record.
35	3	Character	Filler	DTC use only; do not use.
37	3	Character	Error Status	"150" 80 BYTE card image sequence error (RJE Users only) "222" Invalid password "333" Ineligible for function
40	5	Numeric	Filler	DTC use only; do not use.
45	6	Numeric	Transmission Arrival Time	HHMMSS.
51	6	Numeric	Error Step Complete	HHMMSS time error message step completed.
57	24	Character	Description	Description of error.

9.0   Conditions for Cancellation of a Transmission

9.1   Conditions for Cancellation Of An Entire Transmission

The following errors detected during a CF2WTC/CF2WTM transmission cause the entire transmission to be canceled:

- An invalid record length.

- A Participant Number on the Transaction Data Record not eligible either as a User or service bureau for the Participant.

- Missing or embedded WT Header Record.

- Missing or embedded WT Trailer Record.

- Missing or embedded CCF-II Header Record.

- Missing or embedded CCF-II Trailer Record.

- Total record count or share quantity field on the Trailer Record miscalculated or non-numeric.

9.2   Conditions For Rejection Of Specific Detail Records

The following conditions result in the rejection of Detail Records, and the transmission.

- *   Required data fields are not numeric:
    Participant Number

- * The Participant fields are out of sequence.

- * The Detail Record is out of sequence.

10.0 Cutoff Times

The first cycle of transmissions of CF2WTC/CF2WTM transactions is accepted from 04:00 a.m. until 8:30 a.m. (Eastern Time) daily. These transmissions are processed on the same business day.

The second cycle of transmissions of CF2WTC/CF2WTM transactions is accepted from 10:00 a.m. until 10:00 p.m. (Eastern Time) daily. These transmissions are processed on the next business day.

Note: For multiple files on the same business day, the TRANID, on the CCF-II Header Record, must be unique for each file.

Test CF2WTC/CF2WTM transmissions (with PROCESSING OPTION=T in the CCF-II Header Record) are accepted during PTS operating hours. In no event are WT transactions accepted after the cutoff times specified above.

If the cutoff time is reached during a transmission, the transmission will not be accepted.

11.0   Recovery Procedures

Restart capability is available for CF2WTC/CF2WTM Users. If RESTART is necessary, you can find details of the procedures to be followed in the *CCF-II System User's Guide*, in the section titled: "RECOVERY/RESTART Procedures."

11.1 Backup For CCF-II

Users that, for any reason, are unable to use CCF-II to enter transactions as scheduled, must notify DTC Network Operations immediately.

If you cannot enter WT transactions via CCF-II because of modem or telephone line equipment failures at your site, you can create a tape in the format of Withdrawal by Transfer transactions and send it to DTC via messenger. Tape specifications are as follows:

```
Non-labeled
1600 or 6250 BPI
RECFM =        FB
LRECL =        750 (CF2WTC), 200 (CF2WTM) FOR BDT, NDM, AND SNA
LRECL =        80 (CF2WTC), 80 (CF2WTM) FOR RJE
BLKSIZE =      Efficient Block Size
```

DTC inputs the transactions from the tape and returns the tape to you. Participants that, in case of modem or telephone equipment failure, cannot deliver a backup WTC/WTCM magnetic tape to DTC via messenger before 9:30 a.m., are responsible for making other arrangements for backup.

Please remember that, when using CCF to input transactions to DTC, Participants are limited by the availability of computer and data communications equipment at their site. Since DTC cannot delay its processing cycle in order to accommodate equipment failures at Participant sites, *it is strongly recommended that all WTC and WTCM Users maintain redundant CCF equipment (computers, communications controllers, modems, telephone lines, and so forth) for use in emergencies. DTC will, in no event, accept any responsibility for a Participants inability to enter CF2WTC or CF2WTCM transactions.*

12. Appendices

12.1 Error Codes

The Error Codes describe why the Batch Edit System would reject a record. The following are Error Codes and their explanations:

Error Code	Explanation (Part 1 of 2)
A	Transactions code, not = 10, 20, or 30 Duplicate Record.
B	Ineligible or chilled CUSIP.
C	Ineligible Participant Number.
D	Frozen Participant Number.
E	Quantity or Frac must be > 0.
F	Total quantity is not equal to total denominations.
G	Original Input Date is not valid.
H	Invalid or missing DRS info.
I	Invalid Quantity Breakdown Info.
J	Invalid TEFRA Code.
K	Taxpayer ID must be 0, 1, 2, 3
L	Taxpayer ID not numeric.
M	Ineligible Muni Bond type.
N	Assign type must be 0, 1, 2, 3.
O	Pend Deletion date invalid.
P	Tax waiver must be Y or 3.
Q	Record date item.
R	Invalid IPO information.
S	Pend Seq Deletion Number must be > 0.

12.1   Error Codes *(Continued)*

Error Code	Explanation (Part 2 of 2)
T	Part Exceeded Daily Limit.
U	Registration cannot be spaces or Cede.
V	Invalid or missing Communication Issue.
W	UIT Code must be 0, 1, 2, 3, 4, 5.
X	Invalid Direct Mail code.
Y	Invalid REINV CUSIP Number.
Z	TA not W/T Eligible/UIT CUSIP.

NOTE: *TA not W/T eligible. Ineligible TA numbers:

0001   Vault Worthless
0003   Deposit Reject
0009   Dividend Overage
5999   Deposit Reject
9999   Deposit Reject.

12.2 Transaction Codes

Transaction Codes show the status of an item as it goes through the AUTO-WT   Batch System:

Transaction Codes (Part 1 of 2)			
Part I/P	DTC Gen.	Description	Report Code
010	New transaction	With pend option	N/A
	011	Current days WT made with pend option	
	012	Insufficient Participant position – pended	3
	013	Insufficient DTC position - pended	3
	014	Edit reject with pend option	1
	015	Record date – pended	3
	016	SDFS insufficient collateral - pended	
020	New transaction	Without pend option	N/A
	021	Current days WT made without pend option	
	022	Insufficient Participant position – dropped	1
	023	Insufficient DTC position – dropped	1
	024	Edit reject without pend option	1
	025	Record date – dropped	1
	026	SDFS insufficient collateral - dropped	
030	Previously pended transaction		N/A
	31	Previous days WT Rends that made today	
	032	Insufficient Participant position – pended	3
	033	Insufficient DTC position – pended	3

12.2 Transaction Codes *(Continued)*

<table>
<tr><th colspan="4">Transaction Codes (Part 2 of 2)</th></tr>
<tr><th>Part I/P</th><th>DTC Gen.</th><th>Description</th><th>Report
Code</th></tr>
<tr><td></td><td>034</td><td>Edit reject of previously pended WT</td><td>1</td></tr>
<tr><td></td><td>035</td><td>Record date – pended</td><td>3</td></tr>
<tr><td></td><td>036</td><td>SDFS insufficient collateral - pended</td><td></td></tr>
<tr><td></td><td>037</td><td>Dropped after one month or deleted</td><td>3</td></tr>
<tr><td>40</td><td>Deletion Transaction</td><td></td><td></td></tr>
<tr><td></td><td>44</td><td>Edit reject</td><td>N/A</td></tr>
<tr><td></td><td>45</td><td>Deleted pended transaction</td><td>1</td></tr>
<tr><td></td><td>46</td><td>No matching pending transaction</td><td>1</td></tr>
<tr><td>All Others</td><td>099</td><td>Invalid transaction code</td><td>1</td></tr>
</table>

12.3 Batch Output Reports

CCF Users receive three reports from the Batch System. The following are examples of these reports:

    C   AUTO-WT Edit/Drop Report

    C   AUTO-WT Pending Transactions Report

    C   AUTO-WT Update Transactions Report

<u>Auto-WT</u> <u>Edit/Drop</u> <u>Report.</u>

```
THE DEPOSITORY TRUST COMPANY    WITHDRAWAL BY TRANSFER      DATE
                                                            06/15/
                                                            78
PART NUM 9999 TESTBRKR        ***EDIT/DROP REPORT***        PAGE
                                                            NO. 01

    ORIG     CUSIP     SECURITY      QUANTITY      UNIQ ID  TAX  TR
                                                                 AN
                                                                 ER
                                                                 R
    DATE     NUMBER    DESCRIPT                             WAIV
                                                            CODE
                                                            COD
   06/15/78            041327107    ARLEM RLTY&DEV  100,000  228393
                                                            3     02
                                                                  4
                                                                  L
   06/15/78            139861108    CAPITAL CITIES           100  19
                                                                  80
                                                                  72
                                                                  30
                                                                  24
                                                                  V
   06/15/78            139861108    CAPITAL CITIES           100  19
                                                                  80
                                                                  71
                                                                  30
                                                                  24
                                                                  V
   06/15/78            268696408    EMI LTD   ADR            100  20
                                                                  95
                                                                  01
                                                                  30
                                                                  22
   06/15/78            369395108    GEN COMPUTER *           300  20
                                                                  52
                                                                  57
                                                                  3
                                                                  02
                                                                  3
```

12.3 **Batch Output Reports** *(Continued)*

Auto-WT Pending Transactions Report

```
THE DEPOSITORY TRUST COMPANY   WITHDRAWAL BY TRANSFER        DATE
                                                             06/15/78
PART NUM 9999 TESTBRKR          ***EDIT/DROP REPORT***       PAGE NO.
                                                             01

    ORIG      CUSIP     SECURITY      QUANTITY        UNIQ ID      TAX  TR
                                                                        AN
                                                                        ER
                                                                         R
    DATE      NUMBER    DESCRIPT                                   WAIV CO
                                                                        DE
                                                                        CO
                                                                         D
    06/15/78  022249205 ALUM CO AM PR& 100,000   219969  ACT830241  Y   03
                                                                        2
                                                                        00
                                                                        5
    06/15/78  023141108 AMBAC INDUSTRI     100   198072  SW0653311   Y   01
                                                                        2
                                                                        67
                                                                        6
    06/15/78  026416107 AMER GUARANTYS     100   198071  GA6612871   Y   03
                                                                        2
                                                                        30
                                                                        0
    06/15/78  229038106 AMER PLANNED C     100   209501  FA3843051   Y   03
                                                                        22
                                                                        20
    06/15/78  081761108 BNFICIAL STND      300   205257  UT1396561   Y   01
                                                                        2
                                                                        68
                                                                        6


                         TOTAL ITEMS          5
                         TOTAL-QUANTITY  100,600
```

12.3 **Batch Output Reports** *(Continued)*

Auto-WT Update Transaction Report

12.3 Batch Output Reports *(Continued)*

```
THE DEPOSITORY TRUST COMPANY   WITHDRAWAL BY TRANSFER      DATE
                                                           06/15/78
PART NUM 9999 TESTBRKR           ***EDIT/DROP REPORT***     PAGE NO.
                                                           01


   ORIG     CUSIP     SECURITY      QUANTITY       UNIQ ID    TAX  TR
                                                                   AN
   DATE     NUMBER    DESCRIPT                                WAIV
                                                             CODE
   06/15/78           650094A34     NY TEL PR MTG   100,000   219969
                                                             ACT830
                                                             241  Y
                                                                  01
                                                                  1

   06/15/78           650094AW5     NY TEL NT 8 83            100  19
                                                                  80
                                                                  72
                                                                  SW
                                                                  06
                                                                  53
                                                                  31
                                                                  1Y
                                                                  01
                                                                  1

   06/15/78           677347AU8     OHIO ED CO 91             100  19
                                                                  80
                                                                  71
                                                                  GA
                                                                  66
                                                                  12
                                                                  87
                                                                  1Y
                                                                  01
                                                                  1

   06/15/95           694784MD8     PACIFIC P&L 87            100  20
                                                                  95
                                                                  01
                                                                  FA
                                                                  38
                                                                  43
                                                                  05
```

12.3   Batch Output Reports *(Continued)*