



## **CF2/MQ Transmission Guides**

# **8.05 Record Date Positions (REORDP): Function User's Guide**

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## Document History

02/01/01 Added the following Activity Codes to section 3.1 - REORDP Sort Key, position 21; 03, 04, 05, 31, 32, 33, 34, 36, 38, 39, 40.

07/01/02 The following new fields have been added to the REORDP file:

### In Sort-Section Record = '10'

05 PS10-OLD-SHARE-QTY-UNPK	PIC 9(9).	Position 292-300 (will contain the same value as PS10-OLD-SHARE-QTY in unpacked format)
05 PS10-SHARE-QTY-UNPK	PIC 9(15).	Position 301-315 (will contain the same value as PS10-SHARE-QTY in unpacked format)
05 PS10-OLD-SHARE-QTY-UNPK-SIGN	PIC X	Position 316 (will contain value of '1' for positive, '2' for negative)
05 PS10-SHARE-QTY-UNPK-SIGN	PIC X	Position 317 (will contain value of '1' for positive, '2' for negative)
05 PS10-FILLER	PIC X(08).	Position 318-325 (changed from 34 to 8 bytes)

### In Sort-Section Record = '30'

05 PS30-OLD-SHARE-QTY-UNPK	PIC 9(9).	Position 241-249 (will contain the same value as PS30-OLD-SHARE-QTY in unpacked format)
05 PS30-SHARE-QTY-UNPK	PIC 9(15).	Position 250-264 (will contain the same value as PS30-SHARE-QTY in unpacked format)
05 PS30-OLD-SHARE-QTY-UNPK-SIGN	PIC X	Position 265 (will contain value of '1' for positive, '2' for negative)
05 PS30-SHARE-QTY-UNPK-SIGN	PIC X	Position 266 (will contain value of '1' for positive, '2' for negative)
05 PS30-FILLER	PIC X(61).	Position 267-325 (changed from 85 to 59 bytes)

**In Sort-Section Record = '40'**

05 PS40-OLD-SHARE-QTY-UNPK	PIC 9(9).	Position 165-173 (will contain the same value as PS40-OLD-SHARE-QTY in unpacked format)
05 PS40-SHARE-QTY-UNPK	PIC 9(15).	Position 174-188 (will contain the same value as PS40-SHARE-QTY in unpacked format)
05 PS40-OLD-SHARE-QTY-UNPK-SIGN	PIC X	Position 189 (will contain value of '1' for positive, '2' for negative)
05 PS40-SHARE-QTY-UNPK-SIGN	PIC X	Position 190 (will contain value of '1' for positive, '2' for negative)
05 PS40-FILLER	PIC X(135).	Position 191-325 (changed from 161 to 135 bytes)

**In Sort-Section Record = '50'**

05 PS50-OLD-SHARE-QTY-UNPK	PIC 9(10).	Position 165-174 (will contain the same value as PS50-OLD-SHARE-QTY in unpacked format)
05 PS50-SHARE-QTY-UNPK	PIC 9(15).	Position 175-189 (will contain the same value as PS50-SHARE-QTY in unpacked format)
05 PS50-OLD-SHARE-QTY-UNPK-SIGN	PIC X	Position 190 (will contain value of '1' for positive, '2' for negative)
05 PS50-SHARE-QTY-UNPK-SIGN	PIC X	Position 191 (will contain value of '1' for positive, '2' for negative)
05 PS50-FILLER	PIC X(134).	Position 192-325 (changed from 160 to 134 bytes)

The following new fields have been added to the MMIRDP file:

**In Sort-Section Record = '10'**

10 PSR10-SHARE-QTY-UNPK	PIC 9(15).	Position 301-315 (will contain the same value as PSR10-SHARE-QTY in unpacked format)
10 PSR10-SHARE-QTY-UNPK-SIGN	PIC X.	Position 316 (will contain value of '1' for positive, '2' for negative)
10 PSR10-FILLER-2	PIC X(09).	Position 317-325 (changed from 25 to 9 bytes)

**In Sort-Section Record = '30'**

10 PSR30-SHARE-QTY-UNPK	PIC 9(15).	Position 241-255 (will contain the same value as PSR30-SHARE-QTY in unpacked format)
10 PSR10-SHARE-QTY-UNPK-SIGN	PIC X.	Position 256 (will contain value of '1' for positive, '2' for negative)
10 PSR30-FILLER-2	PIC X(70).	Position 257-325 (changed from 85 to 69 bytes)

- 04/01/10                      Added in new activity type 24-Tax Credit Entitlement to the REORDP file.
- 09/01/12                      Added Process Event Code to the REORDP data records. The MMIRDP records were not changed.
- 05/30/14                      The following changes were made to bring the existing document up to current standards.
- Revised CCF Header Record description.
- Removed references to CCRDTFDB and added NDMDTFGP and NDMDTFSP.
- Revised CF2 Header and Trailer Records
- Changed CCF-II references to read CF2.
- Identified existing CF2 HDR and TRL Record Format as NDM specific.
- Corrected "TLR" in Field Description (position 1) to read "TRL".
- Added (0001) to Field Description (position 56).
- Expanded Filler (position 60) from 15 to ???
- Removed Sequence Number field (position 75).
- Added FTP specific CF2 Header and Trailer Record Format.

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## 1. Overview

A CF2 user (FTP or NDM) may use the REORDP or MMIRDP function in order to receive DTC Reorg and Record date position information.

When using the REORDP or MMIRDP function, the CF2 user will use a series of machine-readable Records. Each Record corresponds to a Reorg or Record date position.

The information received through use of the REORDP or MMIRDP function may be used to automate the updating of a user's files.

REORDP & MMIRDP will generally be available from 5:00 am to 5:00 pm the day following Record date.

## 2. Header and Trailer Records

### 2.1 The CCF Header Record

NDM users executing NDMDTF01, NDMDTFGP, or NDMDTFSP will receive the following CCF Header record.

The CCF header record's format is as follows:

CCF Header Record Format				
Position	Length	Format	Field Name	Field Description
1	6	Character	Data Type Requested	Data type name with which this data was requested ( REORDP or MMIRD P)
7	6	Character	Data Type Created	Data Type name with which this data was created (REORDP or MMIRD P).
13	8	Character	Creation Date	Date of data (MM/DD/YY).
21	8	Character	Spool Date	DTC data load date (MM/DD/YY).
29	8	Character	Load Time	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	???	Character	Filler	DTC use only. Do not use.



## 2.2 The CF2 Header and Trailer Records

The CF2 Header and Trailer records come in two different formats; NDM and FTP.

**NOTE** that the Header and Trailer records are identical except for the first and last field of each record.

### 2.2.1 NDM – CF2 Header and Trailer Records

**NDM users** executing NDMDTF02 or NDMDTFGH will receive the following:

CF2 Header and Trailer Record Format - NDM				
Position	Length	Format	Field Name	Field Description
1	3	Character	Record ID	"HDR" or "TRL"
4	4	Character	Signon ID	Signon ID
8	6	Character	Data Type Requested	REORDP or MMIRDP .
14	6	Character	Data Type Created	REORDP or MMIRDP .
20	8	Character	Creation Date	Data Creation Date (MM/DD/YY)
28	8	Character	Spool Date	Data Load Date (MM/DD/YY)
36	8	Character	Load Time	Data Load Time (HH:MM:SS)
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. (0001)
60	???	Character	Filler	DTC use only. Do not use.

## 2.2.2 FTP - CF2 Header and Trailer Records

FTP users will get the following:

CF2 Header and Trailer Record Format - FTP				
Position	Length	Format	Field Name	Field Description
1	3	Character	Record ID	"HDR" or "TRL"
4	8	Character	Sign-on ID	Sign-on ID
12	6	Character	Data Type Requested	REORDP or MMIRDP .
18	6	Character	Data Type Created	REORDP or MMIRDP .
24	8	Character	Creation Date	Data Creation Date (MM/DD/YY)
32	8	Character	Spool Date	Data Load Date (MM/DD/YY)
40	8	Character	Load Time	Data Load Time (HH:MM:SS)
48	4	Numeric	Record Length	Record Length of data requested
52	8	Numeric	Record Count	Number of data records in file.
60	4	Numeric	80-Byte Record Count	Number of 80-byte records per data type requested. (0001)
64	???	Character	Filler	DTC use only. Do not use.

### 3. REORDP Data Records

The REORDP transmission contains five Record types, all preceded by a 37-byte sort-key. The Record types are noted below.

1. Record Date Notice
2. Record Date Announcement Revision
3. Adjustments to Previous Announced Positions
4. Stock Distribution Today
5. Stock Distribution Yesterday

The format of the REORDP Sort Key is as follows:

#### 3.1 REORDP Sort Key

Position	Length	Format	Field Name	Field Description
1	4	Character	Participant Number	Participant number.
5	1	Character	Record Type	D = Dividend Record R = Reorg Record
6	2	Numeric	Transaction Category	05 = Cash Dividend 10 = U.I.T. 15 = Pass Through 20 = Corporate Bonds 25 = Municipal Bonds 30 = Stock Distribution 35 = Optional Dividends 38 = Foreign Record Date Notices 40 = Dividend Re-investment 41 = Tax Exempt Dividend Service (TEDS) 42 = DRS/TEDS 43 = Special Distributions 45 = Reorganizations 46 = Recapitalization Record Date Notices 47 = Liquidation Record Date Notices 48 = Sales of Assets Record date Notices 49 = Redemption Record Date Notices
8	2	Numeric	Record Type	10 = Record Date Notices 20 = Announcement Revisions

Position	Length	Format	Field Name	Field Description
				<p>30 = Adjustments to Previous Positions            40 = Stock Distributions Today.            50 = Stock Distributions Yesterday.</p>
10	2	Numeric	Sort Function	<p>Sort Function for Reorg Records. The function code before the CUSIP number will only be used for Reorg functions.</p> <p>50 = Exchange distribution.            51 = Rights.            52 = Tender payment.            53 = Rights Redemption.            54 = Conversion.            56 = Rollover.            58 = Optional repayment.            60 = Subscription.            61 = Warrant redemption.            62 = Monthly put payment.            63 = Optional C.D. repayment.            64 = Unit sep/comb.            65 = Mandatory put purchase.            66 = Accrued int-corp redemption.            67 = Accrued int-muni redemption.            68 = Accrued div-corp redemption.            69 = Part/full conv redemption.            70 = CD redemption.            71 = Merger.            72 = Cash merger.            73 = Reverse split.            74 = Corporate call payment.            75 = Corp redemption payment.            76 = Municipal call payment.            77 = Muni redemption payment.            78 = Stock liquidation.            79 = Liquidation distribution.            92 = ADR Installment Payment.</p>
12	9	Character	CUSIP Number	CUSIP Number

Position	Length	Format	Field Name	Field Description
21	2	Character	Activity Type	<p>02 = Cash in lieu of fractions from stock split distribution.</p> <p>03 = Foreign Debt Unfavorable Tax Rate</p> <p>04 = Foreign Debt Favorable Tax Rate</p> <p>05 = Foreign Debt Exempt Tax Rate</p> <p>06 = Cash in lieu of fractions from stock dividend distribution.</p> <p>07 = Cash dividend = payable on increased shares.</p> <p>08 = Cash dividend.</p> <p>09 = Foreign Cash Dividends (unfavorable)</p> <p>11 = Cash in lieu of fractions from a DTC ineligible spin off.</p> <p>12 = Cash in lieu of fractions from a DTC eligible spin off.</p> <p>13 = Bond interest payment.</p> <p>14-21 = Any record within activity types 14-21 are various methods of paying optional dividends.</p> <p>23 = Municipal Bond payment.</p> <p>24 = Tax Credit Entitlement</p> <p>25 = Principal payment.</p> <p>30 = Dividend reinvestment services distribution.</p> <p>31 = Automated Dividend Reinvestment</p> <p>32 = Long Term Capital Gains</p> <p>33 = Short Term Capital Gains</p> <p>34 = Return of Capital</p> <p>35 = Tax exempt dividend.</p> <p>36 = Sale of Rights ADR</p> <p>37 = Foreign Cash Dividends (Favorable)</p> <p>38 = Pay in Kind Bonds</p> <p>39 = Rights Distributions</p> <p>40 = Foreign Tax Refunds</p> <p>43 = Special Distribution.</p> <p>44 = Recapitalization.</p> <p>45 = Liquidation.</p> <p>46 = Sale of Assets.</p> <p>47 =Redemption of Rights.</p> <p>49 = Capital Gains</p> <p>50 = Exchange distribution.</p>

Position	Length	Format	Field Name	Field Description
				51 = Rights. 52 = Tender payment. 53 = Rights Redemption. 54 = Conversion . 56 = Rollover. 58 = Optional repayment. 60 = Subscription. 61 = Warrant redemption. 62 = Monthly put payment. 63 = Optional C.D. repayment. 64 = Unit sep/comb. 65 = Mandatory put purchase. 66 = Accrued int-corp redemption. 67 = Accrued int-muni redemption. 68 = Accrued div-corp redemption. 69 = Part/full conv redemption. 70 = CD redemption. 71 = Merger. 72 = Cash merger. 73 = Reverse split. 74 = Corporate call payment. 75 = Corp redemption payment. 76 = Municipal call payment. 77 = Muni redemption payment. 78 = Stock liquidation. 79 = Liquidation distribution. 92 = ADR Installment Payment. CP = Claim payment. CR = Claim reversal. GL = General Ledger adjustment.
23	6	Numeric	Record Date	Format YYMMDD.
29	6	Numeric	Payable Date	Format YYMMDD.
35	3	Numeric	Sequence Number	Sequence Number

## 3.2 REORDP Record Date Notice

Position	Length	Format	Field Name	Field Description
38	5	Packed Decimal	Share Quantity	Share Quantity.
43	11	Numeric	Stock Rate	The rate of the Dividend Payable in Stock rather than Cash. Format 9(5)V9(6).
54	11	Numeric	Cash Rate	The rate of the Dividend Payable in Cash. Format 9(5)V9(6)
65	6	Numeric	Settlement Date	Format YYMMDD.
71	6	Numeric	Cutoff Date	Format YYMMDD. When securities are transferred outside of New York City, DTC may establish a cut-off day in advance of Record date for the start of a modified Interim Account processing.
77	90	Character	Description	Descriptive information.
167	1	Character	Payment Method	A = Rights B = Warrants C = Issued Called D = Reserved E = Dividend Omitted S = Same Day Settlement V = \$8.05.01.00 Service Charge for Options W= \$1.50 Service Charge for Options X = \$8.05.02.00 Service Charge for Options Y = \$2.50 Service Charge for Options Z = \$8.05.03.00 Service Charge for Options 1 = Payment is U.S. Currency 2 = Payable in Canadian Currency 3 = Payable in Other Currency 4 = Optional Div Rate Shown is in Cash 5 = Stock Dividend 6 = Stock Split 7 = Payable in STK or another issue or issuer 8 = Payable by an exchange of stock 9 = Optional Div Rate Shown is in stock Space =Default. Value unspecified.

Position	Length	Format	Field Name	Field Description
168	1	Character	Tax Base	A = Net Before taxes to U.S. Residents B = Net after taxes to U.S. Residents (ADR's) C = Subject to 15% Tax (Options) D = Subject to 25% Tax (Options) M = For Stock 0 = NO Special Tax Situation applies 1 = Subjected to 10% Non-Resident Tax 2 = Subjected to 15% Non-Resident Tax 3 = Subjected to other, uniform, or Variable Tax 4 = U.S. Tax not withheld form non-res aliens 5 = Income and Capital Gains distributions 6 = Partially or completely tax exempt 7 = Both 5 and 6 Apply 8 = Capital Gains Distribution only
169	1	Character	Payment Order	A = Fractions in Cash B = Short Payment C = Long Payment D = Represents Payment from sale or Liquidation of Asset E = Fractions in Stock F = Multiply Div Rate by 10 G = Multiply Div Rate by 100 H = Multiply Div Rate by 1000 I = Divide Div Rate by 10 J = Divide Div Rate by 100 K = Divide Div Rate by 1000 L = Dividend Amount is approx M = For Stock Holder of Record P = Divide Div Rate by 10 Q = Multiply Div Rate By 100 R = Multiply Div Rate By 1000 S = Reverse Split T = Multiply Div Rate 10 U = Multiply Div Rate 100 V = Multiply Div Rate 1000 W = Dividend rate is approx Z = Flat Trading



Position	Length	Format	Field Name	Field Description
				0 = No Special Payment Order 1 = Apply this Div After Stk Split 2 = Apply this Div After Stk Dividend 3 = Div Rate is Distribution Rate or Supplmtl 4 = Initial Dividend 5 = Approximate Rate 6 = Rate Not Known 7 = Extras or Capital Gains included in Div 8 = Represents Payment of Arrears due on cumulative Preferred Stock 9 = Extra, Special, Cap Gains, or Additional Div. Space = Default. Value unspecified.
170	48	Character	Security Description	Security Description
218	4	Character	Filler	DTC use only. Do not use.
222	9	Character	CUSIP Number	CUSIP Number
231	48	Character	Security Description	Security Description.
279	4	Character	Contra Participant Number	Contra Participant Number
283	8	Packed Decimal	Share Quantity	Share quantity, expressed in unit of 1.
291	1	Character	FOSP Indicator	Foreign Securities Processing Indicator. Space = cusip not on Master Table- Not eligible for FOSP 0 = Not Eligible for FOSP 1 = Eligible for FOSP
292	9	Character	Old Share Quantity Unpacked	Old Share Quantity Field in character format.
301	15	Character	Share Quantity Unpacked	Share Quantity, expressed in unit of 1, in character format.

Position	Length	Format	Field Name	Field Description
316	1	Character	Old Share Quantity Unpacked Sign	1 = Positive 2 = Negative
317	1	Character	Share Quantity Unpacked Sign	1 = Positive 2 = Negative
318	2	Character	Process Event Code	Event code used to process Stock Dividend and Stock Split Announcements. This code will determine which ATP Activity Code is used when processing the event. Currently, this code is only used for the following Function Codes: <ul style="list-style-type: none"> <li>• 02 – Stock Split</li> <li>• 06 – Stock Dividend</li> </ul>
320 - 325	6	Character	Filler	DTC Use only, Do not use.

### 3.3 REORDP Record Announcement Revision

Position	Length	Format	Field Name	Field Description
38	48	Character	Security Description	Security Description.
86	2	Numeric	Revision Count	The number of revisions that will follow. Each revision consists of a Revision Code and Revised Value. Any or all revision codes and values following Revision #1 may be blank, blending on the revision count.
88	2	Character	Code #1	Announcement Revision Code #1. Indicates the type of revision, or the field that has been revised. Valid values are: 01 = Delete Announcement 02 = Stock Rate 03 = Cash Rate 04 = Price 05 = Undefined 06 = Payment Order 07 = Payment Method 08 = Tax Base 09 = Function Code 10 = Payment Date 11 = Undefined 12 = Undefined 13 = Undefined 14 = Undefined 15 = Undefined 16 = Undefined
90	12	Character	Value #1	Announcement revision Value #1. The new value of the field indicated by revision code #1.
102	2	Character	Code #2	Announcement Revision Code #2. (See above)
104	12	Character	Value #2	Announcement Revision Value #2.
116	2	Character	Code #3	Announcement Revision Code #3. (See above)
118	12	Character	Value #3	Announcement Revision Value #3.
130	2	Character	Code #4	Announcement Revision Code #4. (See above)
132	12	Character	Value #4	Announcement Revision Value #4.

Position	Length	Format	Field Name	Field Description
144	2	Character	Code #5	Announcement Revision Code #5. (See above)
146	12	Character	Value #5	Announcement Revision Value #5.
158	2	Character	Code #6	Announcement Revision Code #6. (See above)
160	2	Character	Value #6	Announcement Revision Value #6.
172	2	Character	Code #7	Announcement Revision Code #7. (See above)
174	12	Character	Value #7	Announcement Revision Value #7.
186	2	Character	Code #8	Announcement Revision Code #8. (See above)
188	12	Character	Value #8	Announcement Revision Value #8.
200	2	Character	Code #9	Announcement Revision Code #9 (See above)
202	12	Character	Value #9	Announcement Revision Value #9.
214	2	Character	Code #10	Announcement Revision Code #10. (See above)
216	12	Character	Value #10	Announcement Revision Value #10.
228	2	Character	Code #11	Announcement Revision Code #11. (See above)
230	12	Character	Value #11	Announcement Revision Value #11.
242	2	Character	Code #12	Announcement Revision Code #12. (See above)
244	12	Character	Value #12	Announcement Revision Value #12.
256	2	Character	Code #13	Announcement Revision Code #13.(See above)
258	12	Character	Value #13	Announcement Revision Value #13.
270	2	Character	Code #14	Announcement Revision Code #14. (See above)
272	12	Character	Value #14	Announcement Revision Value #14.
284	2	Character	Code #15	Announcement Revision Code #15. (See above)
286	12	Character	Value #15	Announcement Revision Value #15.
298	2	Character	Code #16	Announcement Revision Code #16. (See above)
300	12	Character	Value #16	Announcement Revision Value #16.
312	1	Character	FOSP Indicator	Foreign Securities Processing Indicator. Space = cusip not on Master Table- Not eligible for FOSP 0 = Not Eligible for FOSP 1 = Eligible for FOSP

Position	Length	Format	Field Name	Field Description
313	2	Character	Process Event Code	Event code used to process Stock Dividend and Stock Split Announcements. This code will determine which ATP Activity Code is used when processing the event. Currently, this code is only used for the following Function Codes: 02 – Stock Split 06 – Stock Dividend
315	11	Character	Filler	DTC Use only. Do not use.

### 3.4 REORDP Record Adjust Previous Position

Position	Length	Format	Field Name	Field Description
38	5	Packed Decimal	Share Quantity	Share Quantity.
43	11	Character	Stock Rate	The rate of the dividend payable in stock.
54	11	Character	Cash Rate	The rate of the dividend payable in cash.
65	6	Numeric	As-of-Date	Effective date of the adjustment to the Participant account. (YYMMDD)
71	48	Character	Security Description	Security Description.
119	3	Character	Adjustment Code	RA = Rate Adjustments FA = Facility Adjustments FL = Fail Tracking Adjustments COT = Cash on Increased Shares FCP = Foreign Currency Payment DOA = Delivery Order Adjustment COD = COD Adjustment WTA = W/T Adjustment DEP = Deposit Adjustment AD = Accrued Dividend WTM = W/T Missed Transfer DTC = Dividend/interest Claim CR = Claim Reversal CP = Claim Payment ROD = Return of Overpayment (Depositories) RPC = Repo Record Date Position RPM = Repo Interim Transactions SS = Settlement of Sale SP = Settlement of Purchase LAT = Late Announcement Adjustment RC = Rights- Claim DRD = DRS Deletion DRA = DRS Additions DRS = DRS Instructions OPD = OPS Deletion OPD = OPS Deletion ADJ = Special ADJ See Notice

Position	Length	Format	Field Name	Field Description
				DPU = Unstamped Record Date Deposit FLL = Fail Tracking Adjustment Late Announcement SLC = Stock Loan Record Date Position SLM = Stock Loan Interim Transactions
122	5	Character	DTC Adjustment Code	10120 = DTC Withdrawal (COD) 10220 = DTC Withdrawal (COD) 10130 = DTC Deposit 10230 = DTC Deposit 10126 = DTC Deliver Order (DEL) 10226 = DTC Deliver Order (DEL) 10127 = DTC Deliver Order (REC) 10227 = DTC Deliver Order (REC) 18134 = DTC Investment I.D. 10234 = DTC Investment I.D. 10144 = DTC Investment I.D. Reversal 18244 = DTC Investment I.D. Reversal 14151 = DTC Pledge 10251 = DTC Pledge 10156 = DTC Pledge Release 14256 = DTC Pledge Release 10180 = DTC Transfer 10280 = DTC Transfer 10197 = DTC Reorg 10295 = DTC Reorg 10197 = DTC Redemp 10297 = DTC Redemp
127	9	Character	CUSIP Number	To be used if the dividend is payable in the stock of another corporation (Spin-off). If this field is not used it will contain blanks.
136	48	Character	Security Description	To be used if the dividend is payable in the stock of another corporation (Spin-off). If this field is not used it will contain blanks.
184	4	Numeric	Contra Participant Number	This field will contain the contra Participant number of failed DO.

Position	Length	Format	Field Name	Field Description
188	17	Character	Deliverer Account Number	Deliverer Account Number.
205	17	Character	Receiver Account Number	Receiver Account Number.
222	6	Numeric	Delivery Date	Delivery Date.
228	4	Character	Contra	Contra Participant Number Stock Loan Contra Participant Number.
232	8	Packed Decimal	Share Quantity	Expressed in unit of 1.
240	1	Character	FOSP Indicator	Foreign Securities Processing Indicator. Space = cusip not on Master Table- Not eligible for FOSP 0 = Not Eligible for FOSP 1 = Eligible for FOSP
241	9	Character	Old Share Quantity Unpacked	Old share quantity in character format.
250	15	Character	Share Quantity Unpacked	Share quantity, expressed in unit of 1, in character format.
265	1	Character	Old Share Quantity Unpacked Sign	1 = Positive 2 = Negative
266	1	Character	Share Quantity Unpacked Sign	1 = Positive 2 = Negative
267	2	Character	Process Event Code	Event code used to process Stock Dividend and Stock Split Announcements. This code will determine which ATP Activity Code is used when processing the event. Currently, this code is only used for the following Function Codes: 02 – Stock Split 06 – Stock Dividend
269	57	Character	Filler	DTC use only. Do not use.



### 3.5 REORDP Stock Distribution Today

Position	Length	Format	Field Name	Field Description
38	5	Packed Decimal	Share Quantity	Number of Shares credited to Participant account today.
43	48	Character	Security Description	Security Description.
91	9	Character	CUSIP Number	To be used if the Dividend is payable in stock of another corporation (Spin-off). If this field is not used it will contain blanks.
100	48	Character	Security Description	To be used if the Dividend is payable in stock of another corporation (Spin-off). If this field is not used it will contain blanks.
148	3	Character	RDP Reason Code	
151	1	Character	Filler	For DTC use only
152	8	Packed Decimal	Share Quantity	Share Quantity, expressed in units of 1.
160	4	Character	Contra Participant	Contra Participant Number
164	1	Character	FOSP Indicator	Foreign Securities Processing Indicator Space = cusip not eligible for FOSP processing
165	9	Character	Old Share Quantity Unpacked	Old share quantity in character format
174	15	Character	Share Quantity Unpacked	Share quantity, expressed in unit of 1, in character format
189	1	Character	Old Share Quantity Unpacked Sign	1 = Positive 2= Negative
190	1	Character	Share Quantity Unpacked Sign	1 = Positive 2 = Negative

Position	Length	Format	Field Name	Field Description
191	2	Character	Process Event Code	Event code used to process Stock Dividend and Stock Split Announcements. This code will determine which ATP Activity Code is used when processing the event. Currently, this code is only used for the following Function Codes: 02 – Stock Split 06 – Stock Dividend
193	133	Character	Filler	DTC Use only, Do not use.

### 3.6 REORDP Stock Distribution Yesterday

Position	Length	Format	Field Name	Field Description
38	6	Packed Decimal	Share Quantity	Number of Shares credited to Participant account yesterday.
42	48	Character	Security Description	Security Description.
92	9	Character	CUSIP Number	To be used if the Dividend is payable in stock of another corporation (Spin-off). If this field is not used it will contain blanks.
101	48	Character	Security Description	To be used if the Dividend is payable in stock of another corporation (Spin-off). If this field is not used it will contain blanks.
149	3	Character	Filler	DTC use only. Do not use.
152	4	Character	Contra	Contra Participant Number.
156	8	Packed Decimal	Share Quantity	Expressed in units of 1.
164	1	Character	FOSP Indicator	Foreign Securities Processing Indicator Space = cusip not eligible for FOSP processing
165	9	Character	Old Share Quantity Unpacked	Old share quantity in character format
174	15	Character	Share Quantity Unpacked	Share quantity, expressed in unit of 1, in character format
189	1	Character	Old Share Quantity Unpacked Sign	1 = Positive 2 = Negative
190	1	Character	Share Quantity Unpacked Sign	1 = Positive 2 = Negative

Position	Length	Format	Field Name	Field Description
191	2	Character	Process Event Code	Event code used to process Stock Dividend and Stock Split Announcements. This code will determine which ATP Activity Code is used when processing the event. Currently, this code is only used for the following Function Codes: 02 – Stock Split 06 – Stock Dividend
193	132	Character	Filler	DTC Use only, Do not use.

## 4. MMIRDP Function

### 4.1 MMIRDP Sort Key

The MMIRDP transmission contains three Record types, all preceded by a 38-byte sort-key followed by:

1. Record Date Notice
2. Record Date Announcement Revision
3. Adjustments to Previous Announced Positions

The format of the MMIRDP Sort Key is as follows:

#### 4.1.1 MMIRDP Sort Key Format

Position	Length	Format	Field Name	Field Description
1	4	Character	Participant Number	Participant Number.
5	1	Character	Type of Record	The type of Record. D = Dividend Record R = Reorg Record
6	3	Character	Sub-Issue Type	120 = Preferred Stock (in CP-like mode) 320 = Municipal VRDO/CP 330 = Municipal Commercial Paper 502 = Banker's Acceptance 504 = Institutional Certificate of Deposit 525 = Corporate Commercial Paper 526 = Corporate VRDO/CP 530 = Medium-Term Note 531 = Deposit Note 532 = Medium-Term Bank Note 533 = Medium Term Note 550 = Short Term Bank Note 560 = Discount Corporate Commercial Paper
9	2	Numeric	Record Type	If Record type in position 5 equal D (Dividend Record) then the following values are valid: 10 = Interest/Dividend Records 20 = Interest/Dividend Announcement Revisions 30 = Interest/Dividend Position Adjustments  If Record type in position 5 equal R (Reorg Record)

Position	Length	Format	Field Name	Field Description
				then the following values are valid: 10 = Reorganization Records 20 = Reorganization Announcement Revisions 30 = Reorganization Position Adjustments
11	2	Numeric	Sort Function Field.	The function code before the CUSIP number will contain zeros for dividend Records, or the actual function code (same as activity type, position 21) for Reorg Records.
13	9	Character	CUSIP Number	CUSIP Number.
22	2	Character	Activity Type	08 = Cash dividend. 13 = Periodic Income Payment. 23 = Municipal Bond payment. 25 = Principal payment. 58 = Optional Payment 65 = Mandatory put purchase. 66 = Accrued int-corp redemption. 67 = Accrued int-muni redemption. 68 = Accrued int-div corp redemption. 74 = Corporate call payment. 75 = Corporate redemption payment. 76 = Municipal call payment. 77 = Muni redemption payment. AI = Accrued Interest
24	6	Numeric	Record Date	Format YYMMDD.
30	6	Numeric	Payable Date	Format YYMMDD.
36	3	Numeric	Number Sequence	Sequence Number.

## 4.2 MMIRDP Record Date Notice

Position	Length	Format	Field Name	Field Description
39	5	Character	Filler	DTC use only. Do not use.
44	11	Numeric	Stock Rate	The rate of the Dividend Payable in Stock rather than Cash. Format 9(5)V9(6).
55	11	Numeric	Cash Rate	The rate of the Dividend Payable in Cash. Format (5)V9(6).
66	6	Numeric	Settlement Date	Format YYMMDD
72	6	Numeric	Cutoff Date	When securities are transferred outside of New York City, DTC may establish a cut-off day in advance of Record date for start of modified Interim Account processing. Format YYMMDD.
78	90	Character	Description	Descriptive information.
168	1	Character	Payment Method	A = Rights B = Warrants C = Issued Called D = Reserved E = Dividend Omitted S = Same Day Settlement V = \$1.00 Service Charge for Options W = \$1.50 Service Charge for Options X = \$2.00 Service Charge for Options Y = \$2.50 Service Charge for Options Z = \$3.00 Service Charge for Options 1 = Payment is U.S. Currency 2 = Payable in Canadian Currency 3 = Payable in Other Currency 4 = Optional Div Rate Shown is in Cash 5 = Stock Dividend 6 = Stock Split 7 = Payable in STK or another issue or issuer 8 = Payable by an exchange of stock 9 = Optional Div Rate Shown is in stock Space = Default. Value unspecified.
169	1	Character	Tax Base	A = Net Before taxes to U.S. Residents B = Net after taxes to U.S. Residents (ADR's)

Position	Length	Format	Field Name	Field Description
				C = Subject to 15% Tax (Options) D = Subject to 25% Tax (Options) M = For Stock 0 = NO Special Tax Situation applies 1 = Subjected to 10% Non-Resident Tax 2 = Subjected to 15% Non-Resident Tax 3 = Subjected to other, uniform, or Variable Tax 4 = U.S. Tax not withheld from non-res aliens 5 = Income and Capital Gains distributions 6 = Partially or completely tax exempt 7 = Both 5 and 6 Apply 8 = Capital Gains Distribution only
170	1	Character	Payment Order	A = Fractions in Cash B = Short Payment C = Long Payment D = Represents Payment from sale or Liquidation of Asset E = Fractions in Stock F = Multiply Div Rate by 10 G = Multiply Div Rate by 100 H = Multiply Div Rate by 1000 I = Divide Div Rate by 10 J = Divide Div Rate by 100 K = Divide Div Rate by 1000 L = Dividend Amount is approx M = For Stock Holder of Record P = Divide Div Rate by 10 Q = Multiply Div Rate By 100 R = Multiply Div Rate By 1000 S = Reverse Split T = Multiply Div Rate 10 U = Multiply Div Rate 100 V = Multiply Div Rate 1000 W = Dividend rate is approx Z = Flat Trading 0 = No Special Payment Order



Position	Length	Format	Field Name	Field Description
				1 = Apply this Div After Stk Split 2 = Apply this Div After Stk Dividend 3 = Div Rate is Distribution Rate or Supplmtl 4 = Initial Dividend 5 = Approximate Rate 6 = Rate Not know 7 = Extras or Capital Gains included in Div 8 = Represents Payment of Arrears due on cumulative Preferred Stock 9 = Extra, Special, Cap Gains, or Additional Div. Space = Default. Value unspecified.
171	48	Character	Security Description	Security Description.
219	4	Character	Filler	DTC use only. Do not use.
223	9	Character	CUSIP Number	To be used if the Dividend is payable in stock of another corporation (Spin-off).
232	48	Character	Security Description.	To be used if the Dividend is payable in stock of another corporation (Spin-off).
280	4	Character	Contra	Contra Participant Number Stock Loan Contra Participant number.
284	8	Packed Decimal	Share Quantity	Share quantity, expressed in unit of 1.
292	1	Character	Unknown Rate Indicator	N = Unknown = Rate Known
293	8	Numeric	Targeted Payment Date	Format CCYYMMDD.
301	15	Character	Share Quantity Unpacked	Share quantity, expressed in unit of 1, in character format
316	1	Character	Share quantity Unpacked sign	1 = Positive 2 = Negative
317	9	Character	Filler	DTC Use Only, Do not use.

### 4.3 MMIRDP Announcement Revision

Position	Length	Format	Field Name	Field Description
39	48	Character	Security Description	Security Description.
87	2	Numeric	Revision Count	The number of revisions that will follow. Each revision consists of a Revision Code and Revised Value. Any or all revision codes and values following Revision #1 may be blank, blending on the revision count.
89	2	Character	Code #1	Announcement Revision Code #1. Indicates the type of revision, or the field that has been revised. Valid values are: 01 = Delete Announcement 02 = Stock Rate 03 = Cash Rate 04 = Price 05 = Undefined 06 = Payment Order 07 = Payment Method 08 = Tax Base 09 = Function Code 10 = Payment Date 11 = Undefined 12 = Undefined 13 = Undefined 14 = Undefined 15 = Undefined 16 = Undefined
91	12	Character	Value #1	Announcement Revision Value #1 The new value of the field indicated by revision code #1.
103	2	Character	Code #2	Announcement Revision Code #2. (See above)
105	12	Character	Value #2	Announcement Revision Value #2.
117	2	Character	Code #3	Announcement Revision Code #3. (See above)
119	12	Character	Value #3	Announcement Revision Value #3.
131	2	Character	Code #4	Announcement Revision Code #4. (See above)
133	12	Character	Value #4	Announcement Revision Value #4.

Position	Length	Format	Field Name	Field Description
145	2	Character	Code #5	Announcement Revision Code #5. (See above)
147	12	Character	Value #5	Announcement Revision Value #5.
159	2	Character	Code #6	Announcement Revision Code #6. (See above)
161	12	Character	Value #6	Announcement Revision Value #6.
173	2	Character	Code #7	Announcement Revision Code #7. (See above)
175	12	Character	Value #7	Announcement Revision Value #7.
187	2	Character	Code #8	Announcement Revision Code #8. (See above)
189	12	Character	Value #8	Announcement Revision Value #8.
201	2	Character	Code #9	Announcement Revision Code #9. (See above)
203	12	Character	Value #9	Announcement Revision Value #9.
215	2	Character	Code #10	Announcement Revision Code #10. (See above)
217	12	Character	Value #10	Announcement Revision Value #10.
229	2	Character	Code #11	Announcement Revision Code #11. (See above)
231	12	Character	Value #11	Announcement Revision Value #11.
243	2	Character	Code #12	Announcement Revision Code #12. (See above)
245	12	Character	Value #12	Announcement Revision Value #12.
255	2	Character	Code #13	Announcement Revision Code #13. (See above)
255	12	Character	Value #13	Announcement Revision Value #13.
269	2	Character	Code #14	Announcement Revision Code #14. (See above)
271	12	Character	Value #14	Announcement Revision Value #14.
283	2	Character	Code #15	Announcement Revision Code #15. (See above)
285	12	Character	Value #15	Announcement Revision Value #15.
297	2	Character	Code #16	Announcement Revision Code #16. (See above)
299	12	Character	Value #16	Announcement Revision Value #16.
311	14	Character	Filler	DTC use only. Do not use.

## 4.4 MMIRDP Adjust Previous Position

Position	Length	Format	Field Name	Field Description
39	5	Character	Filler	DTC use only. Do not use.
44	11	Character	Stock Rate	The rate of the dividend payable in Stock.
55	11	Character	Cash Rate	The rate of the dividend payable in Cash.
66	6	Numeric	As-of-Date	Effective date of the adjustment to the Participants account. (YYMMDD).
72	48	Character	Security Description	Security Description.
120	3	Character	Adjustment Code	RA = Rate Adjustments FA = Facility Adjustments FL = Fail Tracking Adjustments COT = Cash on Increased Shares FCP = Foreign Currency Payment DOA = Delivery Order Adjustment COD = COD Adjustment WTA = W/T Adjustment DEP = Deposit Adjustment AD = Accrued Dividend WTM = W/T Missed Transfer DTC = Dividend/interest Claim CR = Claim Reversal CP = Claim Payment ROD = Return of Overpayment (Depositories) RPC = Repo Record Date Position RPM = Repo Interim Transactions SS = Settlement of Sale SP = Settlement of Purchase LAT = Late Announcement Adjustment RC = Rights- Claim DRD = DRS Deletion DRA = DRS Additions DRS = DRS Instructions OPD = OPS Deletion OPD = OPS Deletion ADJ = Special ADJ See Notice DPU = Unstamped Record Date Deposit FLL = Fail Tracking Adjustment Late Announcement

Position	Length	Format	Field Name	Field Description
123	5	Character	DTC Adjustment Code	10120 = DTC Withdrawal (COD) 10220 = DTC Withdrawal (COD) 10130 = DTC Deposit 10230 = DTC Deposit 10126 = DTC Deliver Order (DEL) 10226 = DTC Deliver Order (DEL) 10127 = DTC Deliver Order (REC) 10227 = DTC Deliver Order (REC) 18134 = DTC Investment ID. 10234 = DTC Investment ID. 10144 = DTC Investment I.D. Reversal 18244 = DTC Investment I.D. Reversal 14151 = DTC Pledge 10251 = DTC Pledge 10156 = DTC Pledge Release 14256 = DTC Pledge Release 10180 = DTC Transfer 10280 = DTC Transfer 10197 = DTC Reorg 10295 = DTC Reorg 10197 = DTC Redemp 10297 = DTC Redemp
128	9	Character	CUSIP Number	To be used if the dividend is payable in the stock of another corporation (Spin-off). If this field is not used it will contain blanks.
137	48	Character	Security Description	To be used if the dividend is payable in the stock of another corporation (Spin-off). If this field is not used it will contain blanks.
185	4	Numeric	Contra	This field will contain the Contra Participant number of failed DO.
189	17	Character	Deliverer Account Number.	Deliverer Account Number.
206	17	Character	Receiver Account Number.	Receiver Account Number.

Position	Length	Format	Field Name	Field Description
223	6	Numeric	Delivery Date.	Delivery Date.
229	4	Character	Contra	Contra Participant Number. Stock Loan Contra Participant
233	8	Packed Decimal	Share Quantity	Expressed in unit of 1.
241	15	Character	Share Quantity Unpacked	Share quantity, expressed in unit of 1, in character format.
256	1	Character	Share Quantity Unpacked Sign	1 = Positive 2 = Negative
257	70	Character	Filler	DTC use only. Do Not Use