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SECURITIES PROCESSING

CF2/MQ TRANSMISSION GUIDES

06.13 DIRECT REGISTRATION SYSTEM – INPUT

DRX1/5 FUNCTION GUIDE

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01/04/19	Added description for Customer's Broker Dealer Account Number in Position 299 of which the first 30 characters represent the CBRS Transfer Control Number.

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1 OBJECTIVES OF THIS CHAPTER

The objectives of this chapter are to:

- Give an overview of function DRX1 and DRX5.
- Illustrate the formats of required records.

2 THE DRX1 AND DRX5 FUNCTION: OVERVIEW

This document describes the ICM File layout for the DRS (Direct Registration System). It will be used by the participants to transmit DRS Profile instructions to DTCC. This will give participants an automated alternative to entering instructions via the PTS function DRSP.

This function is being offered over CF2/MQ. This is a combined user guide describing DRX1 and DRX5 for CF2/MQ.

2.1 The DRX1 and DRX5 Functions

The Computer-to-Computer Facility (CF2) and MQ Series technologies are utilized to transmit DRS Profile requests.

Function Name		Start time	Cutoff time
MQ	*DRX1*	*3:00*	*17:30*
CF2	*DRX5*	*3:00*	*17:30*

2.2 Holiday Processing

1. All Closed - Banks, Exchange and DTC closed: (New Year's Day, Presidents Day, Memorial Day, July 4th, Labor Day, Thanksgiving Day, and Christmas Day)
   DRX1 and DRX5 will not be available.
2. Banks Closed, Exchange Open and DTC Open (Columbus Day, Veterans Day)
   DRX1 and DRX5 will be available.
3. Banks Open, DTC Open, Exchange Closed (Good Friday)
   DRX1 and DRX5 will not be available.
4. Exchange Open, Banks and DTC Closed (Martin Luther King Day)
   DRX1 and DRX5 will be available.

3 FILE SPECIFICATIONS

3.1 DRS Profile ICM Record

Length = 500 / Header = 26 / Detail = 474

The input record for *DRX1* and *DRX5* is defined below. This record contains a transaction header and application detail data and has a record length of 500 bytes.

The Transaction header is prefixed to every application record. The field layout of the 26-byte header is defined as:

NOTE
STANDARD TRANSACTION HEADER FOR CF2/MQ.

Position	Length	Format	Field Name	Field Description
1	1	Character	Feedback Indicator	Used to indicate if any errors were encountered during processing. **This field is to be left blank on input.**
2	1	Character	Test/Production Indicator	Used to indicator whether the transaction is to be processed in the "Test" or "Production" environment. T = Test P = Production
3	6	Character	Record Type	Identifies Function type Value "DRSPRT"
9	2	Numeric	Record Suffix	Used to indicate the "Record #' on single and multiple data records within a transaction. Suffix - Value '01'
11	2	Numeric	Version Number	Used to indicate which version (e.g.: 'latest' or 'previous' format) the data is in. Currently, the value is always 01.
13	6	Character	User Reference #	Used by transmitting party to uniquely identify the transaction. This field is optional and not stored at DTC or used anywhere else.
19	8	Character	Addressee	The entity on behalf of whom the transaction is being processed. Right justified, zero filled for numeric addressee or 'Mnnnnnnn' for non-numeric addressee. Participant Number

3.2 DRS ICM Detail Record Format:

Position	Length	Format	Field Name	Field Description
27	8	Character	Part Number	Participant number
35	12	Character	CUSIP	CUSIP number Format: "00" Pos, 1-2 Number Pos. 3 –11 "0" Pos. 12 Format: "00" Pos, 1-2
47	25	Character	DRS Account Id	Investor's DRS account number at the Transfer Agent
72	9	Numeric	Tax Id	Customer tax id –on record at the transfer agent statement ('999999999' if non-resident alien)
81	35	Character	Registration line 1	Registration line 1 (Required)
116	35	Character	Registration line 2	Registration line 2 (Optional)
151	35	Character	Registration line 3	Registration line 3 (Only if registration line 2 is filled)
186	35	Character	Registration line 4	Registration line 4 (Only if registration line 3 is filled)
221	35	Character	Registration line 5	Registration line 5 (Only if registration line 4 is filled)
256	35	Character	Registration line 6	Registration line 6 (Only if registration line 5 is filled)
291	8	Character	Surety no.	Profile Surety Number
299	37	Character	Customer Account Number	This 37 byte field is the Customer's Broker Dealer Account Number + Unique Identifier (left justified space filled). **Please note that only the first 30 characters represent the Cost Basis Reporting Service (CBRS) Transfer Control Number (which is a 30 character field).**
336	9	Numeric	Quantity	Transfer quantity (whole) - Must be zeroes when the 'Move All Available Whole Shares Code' (position 398) equals 'A', 'T' or 'P'; otherwise, the quantity must be greater than zeros. (i.e., mutually exclusive with 'Move All Available Whole Shares Code')
345	8	Numeric	Date	Date transaction was sent to DTCC – CCYYMMDD
353	6	Numeric	Time	Time transaction was sent to DTCC -HHMMSS

Position	Length	Format	Field Name	Field Description
359	20	Character	Contact name	Participant contact name
379	10	Character	Contact phone	Participant contact telephone number
389	9	Numeric	Second Tax ID	Tax number
398	1	Character	Move All Available Whole Shares Code	Option to move all shares 'A' – move all available whole shares, sell fractions 'T' – move all available whole shares, sell fractions, terminate the account 'P' – move all available whole shares, keep fractions
399	102	Character	Filler	Value=SPACES

4 ERROR CONDITIONS

If any errors occur during processing, the following occurs:

- CF2/MQ users receive their input record with 40 bytes of errors appended to the end of the record.
- MQ users receive a 40 byte area for errors in their '06' return block.

NOTE
Refer to the Interface Control Management document for specifics relating to the way errors are returned to your system.

******* NO ERRORS ARE EDITED FOR DURING ICM PROCESSING *******

******* RECORD VALIDATION WILL BE ACCOMPLISHED DURING *******

******* A BATCH PROCESS AFTER ALL DATA COLLECTION HAS *******

******* BEEN COMPLETED. *******

FOR MORE INFORMATION

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