

6. BACKUP AND RECOVERY FOR CF2

6.1 Recovery Procedures

Restart capability is available for Users. Details of the procedures to be followed in the event that **RESTART** is necessary are provided in the CF2 System User's Guide in the section entitled "RECOVERY/RESTART PROCEDURES".

6.2 Backup for CF2

If for any reason a User is unable to use CF2 to enter his transactions as scheduled, DTC Network Operations should be notified immediately.

If the User is unable to enter his DAYDOS transactions via CF2 because of modem or telephone line equipment failures at his site, the User, if eligible, may enter his deliver order instructions through the PTS terminal.

Alternatively, the Participant may write the input data to tape for delivery to DTC. The file must be on a non-labeled tape with 80-byte records in 24,000-byte blocks for RJE USERS and 222-byte records in 22200-byte blocks for NDM USERS. This data will be processed as if it had been transmitted via CF2. However, instead of a return transmission to the participant, the edit results will be written to hard-copy.

Participants should realize that when using CF2 to input transactions to DTC, they are bound by computer and data communications equipment availability at their site. DTC cannot afford to delay its entire processing cycle in order to accommodate equipment failures at any Participant site. It is strongly recommended that all Users maintain backup CF2 equipment (computers, communication controllers, modems, telephone lines, etc.).

DTC will, in no event, accept any liability for a Participant's inability to enter day deliver instruction transactions.

7. APPENDIX

7.1 Reason Codes Table

The following 3-digit reason codes are currently valid for Deliver Order transactions in the New Format of Record Type 20. 2-digit reason codes can still be used in the Prior Format of Record Type 20 (remove leading zero).

An asterisk (*) denotes those transactions which will not be accepted by DTC outside of "regular" Deliver Order hours.

000-* Other

001-Reclaim DK

002-Reclaim wrong quantity

003-Reclaim wrong security

004-Reclaim wrong money

005-Reclaim partial

006-Reclaim need more a/c info

007-Reclaim needs due bill

008-Partial reclaim-partial return

010-Stock loan

011-Stock loan reclaim-DK

012-Stock loan rec wrong qty

013-Stock loan rec wrong security

014-Stock loan rec wrong money

015-Stock loan rec partial

016-Stock loan rec needs a/c info

017-Stock loan rec needs due bill

018-Stock loan partial reclaim-partial return

019-* Stock loan recall

020-Stock loan return

021-Stock loan return rec DK

022-Stock loan return rec wrong qty

023-Stock loan return rec wrong sec

024-Stock loan return rec wrong money

025-Stock loan return rec partial

026-Stock loan return rec a/c info

027-Stock loan return rec need due bill

028-Stock loan return reclaim partial-rec partial return

029-Stock loan recall reclamation

030-* Delivery versus payment

031-DVP reclaim DK

032-DVP reclaim wrong qty

033-DVP reclaim wrong sec

034-DVP reclaim wrong money

035-DVP reclaim partial

036-DVP rec needs a/c info

037-DVP reclaim needs due bill

038-DVP partial reclaim-partial return

039-* Trade-for-trade balance order

040-* Transfer of customer account

041-Trans cust a/c rec DK

042-Trans cust a/c rec wrong qty

043-Trans cust a/c rec wrong sec

044-Trans cust a/c rec wrong money

045-Trans cust a/c rec partial

046-Trans cust a/c rec a/c info

047-Trans cust a/c rec due bill

048-Trans cust a/c partial reclaim-partial return

049-S/B "ID Syndicate Trade"

050-New issue

051-New issue reclaim DK

052-New issue rec wrong qty

053-New issue rec wrong sec

054-New issue rec wrong money

055-New issue rec partial

056-New issue rec needs a/c info

057-New issue rec needs due bill

058-New issue partial reclaim-partial return

060-* Net balance order

061-Net balance order rec DK

062-Net balance order rec wrong qty

063-Net balance order rec wrong sec

064-Net balance order rec wrong money

065-Net balance order rec partial

066-Net balance order rec a/c info

067-Net balance order rec needs due bill

068-Net balance order reclaim partial-rec partial return

070-* Del vs Pymt, use SPO for (D/B)

071-* Fail to deliver

072-Fail to deliver reclamation

073-Delivery to CNS

074-* SPO mark-to-market

075-SPO mark-to-market reclaim

076-Institutional delivery reclaim

077-* ID/NIDS

078-Trade-for trade freeze

079-Frozen security reclamation

080-Inventory/free movement

081-Repo Tracking (SDFS Only-non-Commercial Paper)

082-Generated CPI Issuance Delivery

083-CP Early Maturity

084-* PPO Options Premium

085-PPO Options Premium Reclaim

086-Muni comparison Trade Settlement

087-* DVP-Due bill, (D/B) check spent

088-ACATS-412-DO

089-S/B "Night Secondary Offering"

090-S/B "DTC Input-Underwriting Dept"

091-DTC Correction

092-Delivery on Warrant Exercise

093-DTC set-PTS Stock Loan

094-DTC set adj-Part PTS Problem

095-ACATS Valued (Reduces MEMO SEG Position)

096-DTC set adj-Reclaim Interface

097-Delivery vs Payment (Reduces MEMO SEG Position)

098-Transfer of Account (Prevents MEMO SEG Position Reduction)

099-Bulk Transfer of Account

101-MMI Issuance DO Reclaim DK

102-MMI Issuance DO Reclaim Wrong Quantity

103-MMI Issuance DO Reclaim Wrong Security

104-MMI Issuance DO Reclaim Wrong Money

538-IPO Direct Concession Partial Rec Partial Ret

539-ID IPO Directed Concession

540-IPO Syndicate Over Subscribed

541-IPO Over Subscribed Reclaim DK

542-IPO Over Subscribed Rec Wrong Quantity

543-IPO Over Subscribed Rec Wrong Security

544-IPO Over Subscribed Rec Wrong Money

545-IPO Over Subscribed Rec Partial

546-IPO Over Subscribed Rec Need A/C Info

547-IPO Over Subscribed Rec Needs Due bill

548-IPO Over Subscribed Partial Rec Partial Ret

549-ID IPO Over Subscribed

550-IPO Syndicate Directed and Over Subscribed

551-IPO Syndicate(550) Reclaim DK

552-IPO Syndicate(550) Rec Wrong Quantity

553-IPO Syndicate(550) Rec Wrong Security

554-IPO Syndicate(550) Rec Wrong Money

555-IPO Syndicate(550) Rec Partial

556-IPO Syndicate(550) Rec Need A/C Info

557-IPO Syndicate(550) Rec Needs due bill

558-IPO Syndicate(550) Partial Rec Partial Ret

559-ID IPO Syndicate Directed and Over Subscribed

560-ID Foreign Distribution

570-Syndicate Takedown Delivery

571-Synd Takedown Delivery Reclaim DK

572-Synd Takedown Delivery Wrong Quantity

573-Synd Takedown Delivery Wrong Security

574-Synd Takedown Delivery Wrong Money
575-Synd Takedown Delivery RCLM Partial
576-Synd Takedown Dlvry RCLM Need A/C Info
577-Synd Takedown Dlvry RCLM Need Due Bill
578-Synd Takedown Dlvry RCLM Partial Ret
600-Collateral DO
601-Collateral DO Reclaim DK
602-Collateral DO Rec Wrong Quantity
603-Collateral DO Rec Wrong Security
605-Collateral DO Rec Partial
606-Collateral DO Rec Needs A/C Info
607-Collateral DO Rec Needs Due Bill
608-Collateral DO Prtl Rec Partial Ret
609-Collateral DO Recall
610-Collateral DO Return
611-Collateral DO Ret Rec DK
612-Collateral DO Ret Rec Wrong Qty
613-Collateral DO Ret Rec Wrong Sec
615-Collateral DO Ret Rec Partial
616-Collateral DO Ret Rec A/C Info
617-Collateral DO Ret Rec Need Due Bill
618-Collateral DO Ret Prtl Rec Prtl Ret
619-Collateral DO Recall Reclamation

8. RELEASE NOTES

This is the document history reflecting changes to the file.

- 06/02/2022 Added SFT Stock Loan code "200" to Section [7.1 Reason Codes Table](#).
- Made general updates to remove outdated references and reformat the document.
- 11/30/2018 Removed formatting and references to old changes.
- 09/01/2015 Updated section 7.1 for MMI Finality Through Optimization Initiative. Added reason codes:
- 134 MMI SECONDARY DO – BYPASS FUNDING DECISION
 - 135 MMI SECONDARY DO – RECLAIM BYPASS FUNDING DECISION
- 04/09/2001 Added reason codes 600-603, 605-619 to appendix.
- 02/04/2000 CF2 Security Record Format-Type PSW. Changed the number 0 to the letter O in field description "CF2NDO", position 16.
- 01/01/2000 Type 20 Deliver Order Detail (New format). For position 54 - removed the word "Unedited" from the Field Description.
- 05/26/1998 Type 20 Record Error Flags: Security Quantity (Flag 16): 3 = security quantity is > 999,999,999
- 07/11/1997 Typo corrected - IPO Prime Broker Indicator description changed from "of" to "or"
- 06/02/1997 Added Flag 27 to Type 20 Error record (Transaction number for matched reclaim)
- 04/23/1997 Removed (Illogical "Record" to "Image" Changeover and (Communicating with DTC using Network Data Mover).
- 03/20/1997 Effective Thursday, May 29, 1997.
- Participants can "target" the exact DO they wish to reclaim by using the DTC Transaction Number. To use this feature, Participants are required to use a new version number in the "DO and NDO" CF2 record, position 3. The oldest value for this field, "D" form the Odd Lot Debt conversion will now be rejected.
- New Reason Codes 570-578 for IPO and codes 220-228 and 230-238 for REPO have been added.
- Please refer to the March 97 CF2 II Newsletter for a complete explanation of the above changes.

FOR MORE INFORMATION

Email DTCC at:

DTCSupport@dtcc.com

or visit us on the web at:

<http://www.dtcc.com/client-center>