



Agent Services

6.03 REGISTRATION SYNTACTICAL ANALYSIS (RSATFX): FUNCTION USER'S GUIDE

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TABLE OF CONTENTS

Overview	3
Availability of RSATFX.....	3
The CCF/CCF-II Header/Trailer.....	4
The CCF Header Record	4
The CCF-II Header and Trailer Records	5
RSATFX Data Records.....	6
RSATFX File Header Record	6
RSATFX Batch Header Record	8
RSATFX Security Detail Record.....	10
RSATFX Certificate Addendum Record	17
RSATFX CEDE Record	19
RSATFX Batch Trailer Record.....	21
RSATFX File Trailer Record	23
Appendix	25
Transfer Detail Record Notes	25

OVERVIEW

A CCF User may use the RSATFX function in order to receive DTC's Registration Syntax Analysis (RSA) system transfer item information.

When using the RSATFX function, the User will receive a series of machine-readable records. Each record can be one of seven different record types and will be transmitted in the following sequence:

File Header Record (Type 00)

Batch Header Record (Type 01)

Transfer Detail Records:

- Security Detail Record (Type 05)
- Certificate Addendum Record (Type 06)
- CEDE Data Record (Type 07)

There will be one of each of these record for every non-FAST CUSIP number (issue). See Appendix 4. Transfer Detail Record Notes on page 24.

Batch Trailer Record (Type 88)

File Trailer Record (Type 99)

These records constitute DTC's transfer instructions. The information obtained through the use of the RSATFX function may be used to automate the updating of a User's files and as input to the User's securities transfer system.

Availability of RSATFX

RSATFX will generally be available from 1:00 a.m. to 5:00 p.m. (Eastern Time).

THE CCF/CCF-II HEADER/TRAILER

The CCF Header Record

The first record on the function file will be a Header Record when "HEADER=YES" is specified as a CCFDTFDB parameter. The Header Record contains information regarding the creation of the file.

Note:

NDM Users executing NDMDTF01, and RJE 3770 Users executing RJE SDF2, will receive the following CCF Header Record. These Users will not receive the CCF II Header and Trailer on the next page.

The CCF Header Record's format is as follows:

Format of the CCF Header Record				
Position	Length	Format	Field Name	Field Description
1	6	Character	Data Type Requested	Constant value "RSATFX".
7	6	Character	Data Type Created	Constant value "RSATFX".
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.

The CCF-II Header and Trailer Records

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

CCF-II Header and Trailer Record (DTC Transmits to User)				
Position	Length	Format	Field Name	Field Description
1	3	Character	Record ID	Record ID "HDR" or "TLR".
4	4	Character	SIGNON ID	Signon ID.
8	6	Character	Data Type Requested	Constant value "RSATFX".
14	6	Character	Data Type Created	Constant value "RSATFX".
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.
60	15	Character	Filler	DTC use only; do not use.
75	6	Numeric	Sequence Number	Numbering Sequence. Used as a data integrity check HDR ==> 000000 TLR ==> 999999.

RSATFX DATA RECORDS

RSATFX File Header Record

RSATFX File Header Record Type 00 (Part 1 of 3)				
Position	Length	Format	Field Name	Field Description
1	2	Character	Record Type	Constant value "00".
3	1	Character	Sending Institution Industry Code	Constant value "7" (for DTC).
4	4	Character	Sending Institution FINS Number	Constant value = "0001" (for DTC).
8	1	Character	Sending Institution Check Digit	Constant value = "3" (for DTC).
9	2	Character	Sending Institution Suffix	Constant value = "00" (for DTC).
11	20	Character	Sending Institution Name	Constant value = "DEPOSITORY TRUST CO".
31	1	Character	Receiving Institution Industry Code	Currently initialized to spaces.
32	4	Character	Receiving Institution Number	DTC Transfer Agent Number.
36	1	Character	Receiving Institution Check Digit	Currently initialized to space.
37	2	Character	Receiving Institution Suffix	Currently initialized to spaces.
39	20	Character	Receiving Institution Name	Name of the receiving institution.
59	3	Character	Record Length	Constant value = "740".
62	3	Character	Filler	DTC use only; do not use.
65	6	Character	Filler	DTC use only; do not use.

RSATFX File Header Record Type 00 (Part 2 of 3)				
Position	Length	Format	Field Name	Field Description
71	4	Character	File Creation Time	Time of RSA file creation. Format HHMM.
75	1	Character	DP Servicing Institution Industry Code	Currently initialized to space.
76	4	Character	DP Servicing Institution Number	The number of the DP Servicing Institution processing for the TA. The DTC-assigned 'service Bureau TA Number" will be used. Otherwise, this field will be zero filled.
80	1	Character	DP Servicing Institution Check Digit	Currently initialized to space.
81	2	Character	DP Servicing Institution Suffix	Currently initialized to space.
83	10	Character	DP Servicing Institution Name	The name of the DP Servicing Institution processing for the TA.
93	1	Character	Manual Servicing Institution Industry Code	Currently initialized to space.
94	4	Character	Manual Servicing Institution Number	
98	1	Character	Manual Servicing Institution Check Digit.	Currently initialized to space.
99	2	Character	Manual Servicing Institution Suffix	Currently initialized to spaces.
101	10	Character	Manual Servicing Bureau Name	Name of Manual Servicing Bureau for the TA.
111	8	Character	Receiving Institution Number	The DTC Expanded Transfer Agent Number will be used. Right justified with leading zeroes.
119	8	Numeric	Creation Date	Format CCYYMMDD.
127	600	Character	Filler	DTC use only; do not use.

RSATFX File Header Record Type 00 (Part 3 of 3)				
Position	Length	Format	Field Name	Field Description
727	1	Character	Sending Institution FINS Industry Code	Constant value "7" (for DTC).
728	4	Character	Sending Institution FINS Number	Constant value ="0001" (for DTC).
732	3	Character	Julian Work Date	Day on which DTC processed the item.
735	6	Character	Record Number	Each Sequential record is assigned a sequence number in ascending order including all "01", "05", "06", "07" (if any), "88" and "99" records. The File Header Record contains zeroes.

RSATFX Batch Header Record

RSATFX Batch Header Record Type 01 (Part 1 of 2)				
Position	Length	Format	Field Name	Field Description
1	2	Character	Record Type	Constant value "01".
3	9	Character	CUSIP Number	CUSIP number of the issue whose transfer details follow the batch Header Record.
12	20	Character	Security Description	Name of the security whose transfer items appear in the Security Detail Records for the batch.
32	1	Character	Issue Type	Indicator describing type of issue: "2" = ADR "3" = Debt Issue "4" = Equity Issue.
33	21	Character	Filler	DTC use only; do not use.
54	16	Character	Filler	DTC use only; do not use.
70	1	Character	FAST W/T Status	Indicator to identify the FAST status of a W/T: "0" = Normal "1" = FAST W/T.
71	15	SCL Reference Block		Following 7 fields are SCL Reference fields.
	4	Character	SCL Julian Date	
	1	Character	SCL Record Date Indicator	"0" = Record date. "1" = Non record date.
	1	Character	SCL Record Type	

RSATFX Batch Header Record Type 01 (Part 1 of 2)				
Position	Length	Format	Field Name	Field Description
	1	Character	SCL Type	
	5	Character	SCL Sequence Number	
	1	Character	SCL Check Digit	

RSATFX Batch Header Record Type 01 (Part 2 of 2)				
Position	Length	Format	Field Name	Field Description
	2	Character	SCL Page Number	
86	10	Character	Filler	DTC use only; do not use.
96	8	Numeric	Work Date	Format CCYYMMDD. Date upon which transfer item was processed by DTC.
104	522	Character	Filler	DTC use only; do not use.
626	1	Character	RSA/DMA Indicator	"0" = DRS 'X' Record "1" = RSA "2" = DMA
627	100	Character	Filler	DTC use only; do not use.
727	14	Sequence Number Block		A record ID key which is assigned by the originating institution in association with the Work Date. The sequence number uniquely identifies each record in a file. Same format as 727-740 of "00" record.
	1	Character	Sending Institution FINS Industry Code	Constant value "7" (for DTC).
	4	Character	Sending Institution FINS Number	Constant value ="0001" (for DTC).
	3	Character	Julian Work Date	Day on which DTC processed the item.
	6	Character	Record Number	Each Sequential record is assigned a sequence number in ascending order including all "01", "05", "06", "07" (if any), "88" and "99" records. The File Header Record contains zeroes.

RSATFX Security Detail Record

RSATFX Security Detail Record Type 05 (Part 3 of 9)				
Position	Length	Format	Field Name	Field Description
1	2	Character	Record Type	Constant value "05".
3	1	Character	Industry Code	Currently initialized to space.
4	4	Character	Participant Number	Participant Number for the Participant who submitted the WT instruction.
8	1	Character	Participant Check Digit	Currently initialized to space.
9	2	Character	Participant Suffix	Currently initialized to space.
11	8	Character	Transaction Date	Format CCYYMMDD. Date which transaction was sent by broker to DTC for transfer processing.
19	1	Character	Direct Registration System Request Indicator	" " = Non DRS Request. 's" = Statement Account for DRS. "C" = Issue Certificate. "Y" = Third Party Transfer "X" = Reverse Prior DRS Transaction.
20	1	Character	Depository Indicator	"D" = DTC "P" = Philadelphia.
21	2	Character	Filler	For DTC use only; do not use.
23	1	Character	Tax Waiver Code	Indicator which shows the tax status of this transfer according to New York State statute: "2" = Tax paid (future use) "3" = Tax waived.
24	1	Character	Taxpayer ID Code	Type of taxpayer ID shown in this record: "0" = Not available. "1" = Social Security Number. "2" = Employer Identification Number. "3" = Non-resident alien (in the form NRAbbbbbb, where bbbbbbb stands for blanks).

RSATFX Security Detail Record Type 05 (Part 4 of 9)				
Position	Length	Format	Field Name	Field Description
25	9	Character	Taxpayer ID Number	The number (as defined in previous filed) of the primary owner of the securities described in this transfer code. If Taxpayer ID Code = 3, owner is not subject to backup withholding.
34	2	Character	Social Code	<p>Defines the type of registration to be used for the security by the transfer agent. This code is set by the RSA system during processing:</p> <p>"00" = Unknown "01" = Single Registrant - Male "02" = Single Registrant - Female "03" = Individual - Sex Undetermined "04" = Tenants in Common "05" = Tenants by the Entireties "06" = Joint Tenancy "07" = Community Property "08" = Uniform Gifts to Minors "09" = Fiduciary "10" = Business.</p>

RSATFX Security Detail Record Type 05 (Part 5 of 9)				
Position	Length	Format	Field Name	Field Description
The following field has multiple definitions dependent on transaction indicated				
For Regular W/T Transactions				
36	40	Character	Participant Reference Number	A free format identification number which is assigned by the submitting Participant to identify this transfer item. It should be used in any correspondence to the submitting institution concerning the item.
For DRS Items ONLY				
36	37	Character	Broker/Dealer Customer Account Number	For DRS items, this field will be used for the DRS broker/dealer customer account number instead of the broker reference number.
73	3	Character	Filler	For DTC use only; do not use.
76	10	Character	Record Value	Record value of a security to be transferred (same quantity as Position 565).
86	1	Character	Record ID Code	Blank = Non-CEDE record "C" = CEDE "05" Record (if code "C" is used here, an "07" record will follow the next "06" record).
87	6	Character	Filler	DTC use only; do not use.
93	2	Character	Transfer Transaction Code	"30" = Credit (Transfer Instructions). Defines type of transfer processing requested.
95	2	Character	DMA Return Code	For returned items, reason why item was rejected by the processing institution: "00" = Transfer completed "01" = Incomplete registration "02" = Trust registration incomplete/unacceptable "03" = Address incomplete "99" = TA rejected (other).

RSATFX Security Detail Record Type 05 (Part 6 of 9)				
Position	Length	Format	Field Name	Field Description
97	1	Character	Citizenship Certificate	Applicable for communication and maritime issues only. For non communication and maritime issues, a SPACE must appear in this field: "0" = U.S. Citizenship "1" = Alien.
98	1	Character	DMA Direct Mailing Code	Defines procedure which will be used for returning the transferred securities to the registered owner. " " or "0" = Return transferred securities to DTC "1" = Direct mail using registration address "2" = Direct mail using third party address.
99	45	Character	Assignment Indicators	A set of 15 three byte fields for assignments which point to the following items: First name or initial of the first registrant. Last name, including prefix if present, of the first registrant. Length of the last name of the first registrant. First name or initial of the second registrant. Last name, including prefix, of the second registrant. Length of the last name of the second registrant. First name or initial of the third registrant. Last name, including prefix, of the third registrant. Length of the last name of the third registrant. Starting position of the "In Care Of" phrase. Starting position of the postal address. Starting position of the city/town Starting position of the standard postal state abbreviation. Starting position of zip code. Reserved. Indicators not used are zero filled.

RSATFX Security Detail Record Type 05 (Part 7 of 9)				
Position	Length	Format	Field Name	Field Description
144	1	Character	Syntax Code	"1" = Reformatted record. "2" = Unreformatted record.
145	210	Character	Assignment	If Syntax Code (pos 144) = "1", the Assignment field will be 7 lines of 30 characters each because it has been processed by DTC's RSA program. If Syntax Code (pos 144) = "2", the Assignment field will be 6 lines of 35 characters each (the format in which DTC received the input from a DTC Participant) because the RSA program could not reformat the item.
355	180	Character	DMA Third Party Mailing	When Direct Mailing Code (pos 98) = "2", this field contains address to which transferred securities are mailed.
535	9	Character	UIT Reinvestment CUSIP	For Unit Investment Trust Securities only.
544	1	Character	Participant Input Mode	"1" = Four Phase System. "2" = PTS (Participant Terminal System). "3" = Tape, CF2, Mohawk.
545	1	Character	Security Communication Code	"0" = Not a communication issue. "1" = Communication issue.
546	1	Character	FAST Security Code	"0" = Non-FAST Security. "1" = FAST Security.

RSATFX Security Detail Record Type 05 (Part 8 of 9)				
Position	Length	Format	Field Name	Field Description
547	1	Character	Backup Withholding Code	Blank = Not applicable. "A" = Failure to provide TIN. "B" = Failure to certify TIN. "C" = Notification of incorrect TIN to Secretary of Treasury. "D" = Failure to certify backup withholding status. "E" = Voluntary disclosure from payee of affirmative backup withholding status. "F" = Notification to commence backup withholding from Secretary of Treasury for under reporting dividends and/ or interest payments.
548	17	Character	Filler	DTC use only; do not use.
565	12	Numeric	Whole/Fractional Share Quantity	Format 9(7)V9(5).
577	40	Character	Participant or Correspondent Name	For DRS Indicator 's' or "Y", this field must contain the Participant or Correspondent name.
617	13	Character	Transaction Identification Number	For DRS Indicator "X", this field must contain the Transaction Identification number.
630	72	Character	Filler	DTC use only; do not use.
702	15	SCL Reference Block		Same as "01" Record position 71-85.
	4	Character	SCL Julian Date	
	1	Character	SCL Record Date Indicator	
	1	Character	SCL Record Type	
	1	Character	SCL Type	
	5	Numeric	SCL Sequence Number	
	1	Character	SCL Check Digit	
	2	Character	SCL Page Number	

RSATFX Security Detail Record Type 05 (Part 9 of 9)				
Position	Length	Format	Field Name	Field Description
717	1	Character	UIT Reinvestment Code	"0" = Not applicable for UIT. "1" = All Cash. "2" = Reinvest Principal and Interest. "4" = Reinvest Principal Only. "5" = Reinvest Interest Only.
718	9	Character	CUSIP Number	
727	14	Sequence Number Block		A record ID key which is assigned by the originating institution in association with the Work Date. The sequence number uniquely identifies each record in a file. Same format as 727-740 of "00" record.
	1	Character	Sending Institution FINS Industry Code	Constant value "7" (for DTC).
	4	Character	Sending Institution FINS Number	Constant value ="0001" (for DTC).
	3	Character	Julian Work Date	Day on which DTC processed the item.
	6	Character	Record Number	Each Sequential record is assigned a sequence number in ascending order including all "01", "05", "06", "07" (if any), "88" and "99" records. The File Header Record contains zeroes.

RSATFX Certificate Addendum Record

RSATFX Certificate Addendum Record Type 06 (Part 1 of 2)				
Position	Length	Format	Field Name	Field Description
1	2	Character	Record Type	Constant value "06".
3	1	Character	Record ID Code	Blank = Non-CEDE Record. "C" = CEDE "06" Record (if code "C" is used here, an "07" record will follow).
4	560	Character	DMA Number of Pieces	A group of up to 20 occurrences of a twenty-eight position field describing the requested certificates requested by the transaction. The format is as follows (Space filled if not used): Number of certificates (3) Certificate denomination (7) Certificate denomination/ fractional share quantity (5) Starting Certificate Number: Certificate prefix (5) Certificate number (6) Certificate suffix (2).
564	8	Numeric	DMA Issue Date	Format CCYYMMDD.
572	8	Numeric	DMA Mail Date	Format CCYYMMDD.
580	123	Character	Filler	DTC use only; do not use.
703	15	SCL Reference Block		Same as "01" Record position 71-85.
	4	Character	SCL Julian Date	
	1	Character	SCL Record Date Indicator	"0" = Record date "1" = Non-record date.
	1	Character	SCL Record Type	
	1	Character	SCL Type	
	5	Character	SCL Sequence Number	
	1	Character	SCL Check Digit	

RSATFX Certificate Addendum Record Type 06 (Part 2 of 2)				
Position	Length	Format	Field Name	Field Description
	2	Character	SCL Page Number	
718	9	Character	CUSIP Number	
727	14	Sequence Number Block		A record ID key which is assigned by the originating institution in association with the Work Date. The sequence number uniquely identifies each record in a file. Same format as 727-740 of "00" record.
	1	Character	Sending Institution FINS Industry Code	Constant value "7" (for DTC).
	4	Character	Sending Institution FINS Number	Constant value ="0001" (for DTC).
	3	Character	Julian Work Date	Day on which DTC processed the item.
	6	Character	Record Number	Each Sequential record is assigned a sequence number in ascending order including all "01", "05", "06", "07" (if any), "88" and "99" records. The File Header Record contains zeroes.

RSATFX CEDE Record

RSATFX CEDE Record Type 07 (Part 1 of 2)				
Position	Length	Format	Field Name	Field Description
1	2	Character	Record Type	Constant value "07". NOTE: This record will only appear in non-FAST files.
3	2	Character	Record ID Code	"CC" = CEDE "07" Record.
5	560	Character	DMA Number of Pieces	A group of up to 20 occurrences of a twenty-eight position field may be described. The format is as follows (Space filled if not used): Number of certificates (3) Certificate denomination (7) Certificate denomination fraction (5) Starting Certificate Number: Certificate prefix (5) Certificate number (6) Certificate suffix (2) NOTE: 13 bytes used by DTC for Starting Certificate Number can overflow (right adjust) to the last position of the prefix if more than 6 significant digits.
565	138	Character	Filler	DTC use only; do not use.
703	15	SCL Reference Block		Same as "01" Record position 71-85.
	4	Character	SCL Julian Date	
	1	Character	SCL Record Date Indicator	"0" = Record date. "1" = Non record date.
	1	Character	SCL Record Type	
	1	Character	SCL Type	
	5	Character	SCL Sequence Number	
	1	Character	SCL Check Digit	

RSATFX CEDE Record Type 07 (Part 2 of 2)				
Position	Length	Format	Field Name	Field Description
	2	Character	SCL Page Number	
718	9	Character	CUSIP Number	
727	14	Sequence Number Block		A record ID key which is assigned by the originating institution in association with the Work Date. The sequence number uniquely identifies each record in a file. Same format as 727-740 of "00" record.
	1	Character	Sending Institution FINS Industry Code	Constant value "7" (for DTC).
	4	Character	Sending Institution FINS Number	Constant value ="0001" (for DTC) .
	3	Character	Julian Work Date	Day on which DTC processed the item.
	6	Character	Record Number	Each Sequential record is assigned a sequence number in ascending order including all "01", "05", "06", "07" (if any), "88" and "99" records. The File Header Record contains zeroes.

RSATFX Batch Trailer Record

RSATFX Batch Trailer Record Type 88 (Part 1 of 3)				
Position	Length	Format	Field Name	Field Description
1	2	Character	Record Type	Constant value "88".
3	7	Character	Filler	DTC use only; do not use.
10	7	Character	Detail Record Count	Count of total number of Security Detail, Addendum and CEDE records (Types "05", "06" and "07") contained in the batch.
17	14	Character	Filler	DTC use only; do not use.
31	15	Character	Entry Hash Total	Accumulation of positions 732-734 and 735-740 from all transfer detail records ("05", "06", "07") within the batch. All "88" records (position 31-45) are added to form the "99" record Entry Hash Total. Truncation may occur.
46	1	Character	SCL ID End	"0" = CUSIP number of next record will not change. "1" = End of CUSIP number.
47	22	Character	Filler	DTC use only; do not use.
69	1	Character	End of CUSIP Indicator	"0" = Another batch follows this security. "1" = Last batch for this security.
70	18	Character	Filler	DTC use only; do not use.
88	12	Numeric	Whole/ Fractional Debit Total Quantity	Format 9(7)V9(5).
100	12	Numeric	Whole/ Fractional Credit Total Quantity	Format 9(7)V9(5).
112	16	Numeric	Whole/ Fractional Debit over Quantity	Format 9(11)V9(5).
128	16	Numeric	Whole/ Fractional Credit over Quantity	Format 9(11)V9(5).
144	568	Character	Filler	DTC use only; do not use.

RSATFX Batch Trailer Record Type 88 (Part 2 of 3)				
Position	Length	Format	Field Name	Field Description
712	15	SCL Reference Block		Same as "01" Record position 71-85.
	4	Character	SCL Julian Date	
	1	Character	SCL Record Date Indicator	"0" = Record date. "1" = Non record date.
	1	Character	SCL Record Type	
	1	Character	SCL Type	
	5	Character	SCL Sequence Number	
	1	Character	SCL Check Digit	
	2	Character	SCL Page Number	
727	14	Sequence Number Block		A record ID key which is assigned by the originating institution in association with the Work Date. The sequence number uniquely identifies each record in a file. Same format as 727- 740 of "00" record.
	1	Character	Sending Institution FINS Industry Code	Constant value "7" (for DTC).
	4	Character	Sending Institution FINS Number	Constant value ="0001" (for DTC).
	3	Character	Julian Work Date	Day on which DTC processed the item.
	6	Character	Record Number	Each Sequential record is assigned a sequence number in ascending order including all "01", "05", "06", "07" (if any), "88" and "99" records. The File Header Record contains zeroes.

RSATFX File Trailer Record

RSATFX File Trailer Record Type 99 (Part 1 of 2)				
Position	Length	Format	Field Name	Field Description
1	2	Character	Record Type	Constant value "99".
3	7	Character	Batch Count	Count of the total number of batches contained on the file.
10	7	Character	Detail Record Count	Count of total number of Security Detail, Addendum and CEDE records (Types "05", "06" and "07") contained in the file.
17	14	Character	Filler	DTC use only; do not use.
31	15	Character	Entry Hash Total	Accumulation of positions 732-734 and 735- 740 from all transfer detail records within the file and all "88" records, position 31-45. Truncation may occur.
46	42	Character	Filler	DTC use only; do not use.
88	12	Numeric	Fractional Debit Total Quantity	Format 9(7)V9(5).
100	12	Numeric	Fractional Credit Total Quantity	Format 9(7)V9(5).
112	16	Numeric	Fractional Debit Over Quantity	Format 9(11)V9(5).
128	16	Numeric	Fractional Credit Over Quantity	Format 9(11)V9(5).
144	583	Character	Filler	DTC use only; do not use.
727	14	Sequence Number Block		A record ID key which is assigned by the originating institution in association with the Work Date. The sequence number uniquely identifies each record in a file. Same format as 727-740 of "00" record.
	1	Character	Sending Institution FINS Industry Code	Constant value "7" (for DTC).

RSATFX File Trailer Record Type 99 (Part 2 of 2)				
Position	Length	Format	Field Name	Field Description
	4	Character	Sending Institution FINS Number	Constant value ="0001" (for DTC).
	3	Character	Julian Work Date	Day on which DTC processed the item.
	6	Character	Record Number	Each Sequential record is assigned a sequence number in ascending order including all "01", "05", "06", "07" (if any), "88" and "99" records. The File Header Record contains zeroes.

APPENDIX

Transfer Detail Record Notes

- The CEDE (Type "07") data record is a special data record required for the transmission of non-FAST Withdrawal-by-Transfer (WT) certificate issuance instructions to Transfer Agents. It is important to be aware that the transmission of FAST WT items is accomplished without the need of "07" records, whereas the transmission of non-FAST WT's will ALWAYS include "07" records. Within each non-FAST CUSIP, the "07" record will always follow the first "06" record in that CUSIP's file. FAST items will be grouped under a FAST Transfer Agent number, and non-FAST items will be grouped under a non-FAST Transfer Agent number. FAST and non-FAST can, however, be transmitted in one concatenated file.
- The CEDE (Type "07") data record is for the Transfer Agent's information purposes. The "07" record must not be included in the Direct Mail by the Agent Return Transmission (DMAR). If an "07" record is included in a DMAR transmission from a Transfer Agent to DTC, DTC will reject the transmission.
- There will be multiple "07" records for a single CUSIP in the event it is necessary to describe all of the occasions of denomination breaks required.
- Certificate identification in the "07" record does not contain prefix or suffix data.
- Certificate numbers in the "07" record containing more than 6 significant digits will overflow (right adjusted) into the prefix field.
- The "07" record debit totals will be shown in the first "88" record, positions 47- 57.
- Sequence number: A record identification key assigned by DTC. In association with the Work Date (positions 632-634), the sequence number (positions 735-740) uniquely identifies each record in a file.
- When RSATFX is used to transmit FAST items, the "07" record is not used. Also, positions 17-23 and 47-57 in the both "88" and "99" record contain blanks or zeroes. Users who elect to receive both FAST and non-FAST files must be prepared to read "07" records and the above fields of "88" and "99" records in a non-FAST mode, and proceed without "07" records and with those blank or zero fields in a FAST mode.

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