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*Asset Services / Agent Services*

## **DTC AGENT FILE (BMA1/5), CCF-II AND MDH: FUNCTION USER GUIDE**

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# DOCUMENT HISTORY

09/20/13	<p>Added "for Dividend", "for Redemption", "for Redemption" in Positions 36, 45, 53, and 61.</p> <p>"If entered, Accrual Beginning Date must also be entered_" in position 77</p> <p>Positions 36, 45, 53, and 61 now "Required" for All. Positions 69 - 244 Changed from "Optional" to "Required".</p>
10/18/23	<p>Reformatted document to fit updated template.</p>
05/06/25	<p>Removed Partial Redemption Types 1, 2, and 7 from Principal Distribution Types. Agents wishing to send event details for Partial Redemption should utilize REDCAL CCF.</p> <p>Added Security Type and decimal placement specificity to Interest Rate per 1000, Dividend Rate per Share, and Principal Rate per 1000 fields. Added how agents may trigger the removal of rates or deletion of events.</p> <p>Updated definition of Previous and Current Principal Balance Factor fields.</p> <p>Added notation to Current Principal Balance Factor field for removing factor without removing position.</p> <p>Payment Date field enhanced to include Redemption Date. Maturity/Redemption Date field reduced to solely Maturity Date. The date in the Payment Date field will now be taken as the Payment Date for Interest, Principal, and Dividend as well as the Redemption Date for all Redemption Types.</p> <p>Disclaimer for events that cannot meet file specs added.</p> <p>Added clarification that the Notification Date will be applied to Publication Date for Principal Distribution Type 4 and 5.</p>
05/29/25	<p>Further clarified that the Notification Date or Redemption Date (whichever is earliest) will be applied to Publication Date for Principal Distribution Type 4 and 5 if Publication Date is missing from the record.</p> <p>Added that full redemptions submitted via BMA will be announced immediately regardless of Publication Date.</p> <p>Further clarified the impact of submitting events with a Principal Rate per 1000 of all 0s or 9s for Principal Distribution Type 3, 4, and 5.</p>
02/23/26	<p>Further clarified the appropriate structures for Principal Rate per 1000 for the various accepted Principal Distribution Types.</p>

# OBJECTIVES OF THIS CHAPTER

The objectives of this chapter are to:

- Describe the purpose of DTC's Bond Administrator Ann Detail file
- Provide specifics of the required detail input record.

# OVERVIEW

This document describes how dividend and redemption paying agents can use the Interface Control Management (ICM) process to transmit revised rates, late call and revised call information to DTC's Announcement system, thereby reducing manual intervention. Please note that even though the function is available until 8:00 PM on weekdays, the information intended for the current settlement date must be received by DTC by 2:30PM in order to be reflected in that day's settlement. This rule does not apply to future settlement dates.

This function is available over CCF, CCF-II and MDH. This is a combined User Guide for both CCF and MDH. It is recommended that agents familiarize themselves with the DTC document *Interface Control Management CCF, CCF-II and MDH User's Guide for Transaction Input*. This ICM document describes new standards for transaction processing using DTC's automated systems, including specifics relating to operation, error processing and recovery for CCF, CCF-II and MDH transmissions.

**If an event cannot meet these specifications, it should not be sent via this file and should instead be sent directly to [DividendAnnouncements@dtcc.com](mailto:DividendAnnouncements@dtcc.com).** An example may be an interest rate per 1000 of 100,000 or higher.

Agents are highly encouraged to ensure they are using the correct rate per 1000 or rate per share field based on the security type (debt/equity). Records submitted with the rate in the incorrect field may result in delayed announcement and/or allocation.

For all Redemption Types, agents should ensure they are using the Payment Date field to represent Redemption Date. All Full Redemptions submitted via BMA with no Publication Date will have the Notification Date or Redemption Date (whichever is earlier) applied as the Publication Date.

Please note - Agents should avoid notifying DTC of Full Redemptions via BMA until the event is suitable to be announced publicly, inclusive of both a principal and interest rate as these events will be posted immediately regardless of Publication Date.

Agents should utilize the REDCAL CCF to communicate event details for any Partial Redemptions.

## Function Names and Available Times

The transmission modes utilized will be CCF/MDH, FTP and Connect-Direct (formerly known as NDM, Network Data Movers):

- CCF/MDH allows Participants or service providers to interact directly with DTC via their IBM Mainframes
- Connect-Direct is a vendor-supplied software (Sterling Commerce) that enables connections to be made between DTC, other mainframe, mini-computers and PCs using diverse operating systems.
- FTP is part of CCF (Computer to Computer Facility) family of software and extends file exchange capabilities to PCs, microcomputers and minicomputers.

The function names and available times associated with each interface are as follows:

Interface	Function name	Available from	Available to
MDH	BMA1	0700	2000
CCF	BMA5	0700	2000
CCF-II	BMA5	0700	2000

# DTC AGENT FILE DETAIL INPUT RECORD

The input record for the Bond Administrator Ann Detail record is defined below. This record contains a Transaction Header (positions 1 through 26) and application detail data and has a record length of 475 bytes. Users of the MDH interface can enter up to 10 records per input block.

Position	Length	Format	Field Name	Transaction Header
<b>Positions 1 through 26: Transaction Header</b>				
1	1	Character	Feedback Indicator	Leave blank on input. On output, indicates whether any errors were encountered during processing.
2	1	Character	Production/Test Indicator	(Required) indicator of whether the transaction is to be processed in the Test or Production environment. P = Production T = Test.
3	6	Character	Record Type	Value 'BMADTL'
9	2	Numeric	Record Suffix	Indicates the Record # on single and multiple data records within a transaction. Default is "01" for this application.
11	2	Numeric	Version Number	Used to indicate which version (for example, 'latest' or 'previous' format) the data is in. Default is "01" for this application.
13	6	Character	User Reference Number	(Optional) used by transmitting party to uniquely identify the transaction.
19	8	Character	Addressee	For numeric IDs: 8-digit identifier of the entity on behalf of whom the transaction is being processed; right aligned, zero filled. For non-full numeric addressees: <i>Mnnnnnnn or Nnnnnnnn</i>

Position	Length	Format	Field Name	Dividend Bond Administrator Ann Detail Input Record Description
<b>Positions 27 through 475: Bond Administrator Ann Detail Input Record</b>				
27	9	Character	CUSIP	<b>(Required)</b> 9-character Security CUSIP number; left aligned
36	8	Character	Payment Date / Redemption Date	<b>(Required)</b> <i>ccyyymmdd</i>
44	1	Character	Principal Distribution Type	<p><b>(Required)</b> identify type of principal payment: X(1)</p> <p>Pass-through of Principal = 3</p> <p>Final (Factor/Value to Zero) = 4</p> <p>Full redemption = 5</p> <p>Notional Balance = 6</p> <p>Default to 9 for no value or for interest only</p> <p>Principal Distribution Type 3 and 6 will not result in position removal. Principal Distribution Type 4 and 5 will result in position removal.</p> <p>Maturities are not a distribution type supported via BMA.</p>
45	8	Character	Maturity Date	<p><b>(Not Required)</b> <i>ccyyymmdd</i></p> <p>Maturity Date; The final date the principal may become due and payable.</p> <p>Default to 99999999 for no value</p>
53	8	Character	Record Date	<p><b>(Required)</b> <i>ccyyymmdd</i></p> <p>Dividend Record Date</p> <p>Default to 99999999 for no value</p>
61	8	Character	Publication Date	<p><b>(Required)</b> <i>ccyyymmdd</i></p> <p>Publication Date</p> <p>Default to 99999999 for no value</p> <p>All Full Redemptions submitted via BMA with no Publication Date will have the Notification Date or Redemption Date (whichever is earlier) applied as the Publication Date.</p> <p>Please note - Agents should avoid notifying DTC of Full Redemptions via BMA until the event is suitable to be announced publicly, inclusive of both a principal and interest rate as these events will be posted immediately regardless of Publication Date.</p>
69	8	Character	Accrual Beginning Date	<p><b>(Required)</b> for interest payment. <i>ccyyymmdd</i></p> <p>Start of interest period.</p> <p><i>If entered, Accrual End Date must also be entered.</i></p> <p>Default to 99999999 for no value</p>
77	8	Character	Accrual End Date	<p><b>(Required)</b> for interest payment. <i>ccyyymmdd</i></p> <p>End of interest period</p> <p>Default to 99999999 for no value</p>

Position	Length	Format	Field Name	Dividend Bond Administrator Ann Detail Input Record Description
<b>Positions 27 through 475: Bond Administrator Ann Detail Input Record</b>				
85	3	Numeric	Accrual Period	<p><b>(Required)</b> 9(3)</p> <p>Span of days between Accrual Beginning and Accrual End Date.</p> <p><i>Must be entered if both Accrual Beginning and End Date are entered.</i></p> <p>Default to 999 for no value</p>
88	10	Numeric	Pass Thru Interest Rate	<p><b>(Required)</b> 9(2)v9(8)</p> <p>The interest rate on a fixed/floating rate security, which is used to calculate interest for the current payment.</p> <hr/> <p><b>Note:</b></p> <p>CMOs one rate, VRDOs multiple rates, based on reset periods.</p> <p>Default to 9999999999 for no value</p>
98	1	Character	Interest Calculation Type	<p><b>Required.</b> X(1).</p> <p>Method of Interest Calculation</p> <p>30/360 = 1</p> <p>Actual/360 = 2</p> <p>Actual/365 = 3</p> <p>Actual/366 = 4</p> <p>Default to 9 for no value</p>
99	11	Numeric	Interest Rate Per 1000	<p><b>Required.</b> 9(5)v9(6).</p> <p>The total amount of interest paid per thousand for the current distribution date. <b>Debt CUSIPs only</b></p> <p>A decimal will be placed between the 5<sup>th</sup> and 6<sup>th</sup> character.</p> <p>Default to 99999999999 for no value</p> <p>Submitting with a rate of all 0s or 9s for an existing and unallocated interest event prior to 3:00 PM ET on Payment Date will:</p> <ul style="list-style-type: none"> <li>A) Remove the currently announced interest rate if one exists</li> <li>B) Delete the event if no interest rate already exists</li> </ul> <p>To delete an existing event that already contains a rate, a record must be sent with a rate of all 0s or 9s twice. Once to update the rate to 0, and again to delete the event.</p>
110	11	Numeric	Dividend Rate Per Share	<p><b>Required.</b> 9(5)v9(6).</p> <p>The total amount of income paid per share for the current distribution date. <b>Equity CUSIPs only</b></p> <p>A decimal will be placed between the 5<sup>th</sup> and 6<sup>th</sup> character.</p> <p>Default to 99999999999 for no value</p>
121	11	Numeric	Principal Rate Per 1000	<p><b>Required.</b> 9(5)v9(6). A decimal will be placed between the 5<sup>th</sup> and 6<sup>th</sup> character.</p>

Position	Length	Format	Field Name	Dividend Bond Administrator Ann Detail Input Record Description
<b>Positions 27 through 475: Bond Administrator Ann Detail Input Record</b>				
				<p>The total amount of principal paid for the current distribution date.</p> <p><b>For Distribution Type 3 Only:</b>  <b>Debt CUSIPs:</b> The principal rate per 1000 being paid.                      Submitting with a rate of all 0s or 9s for an existing and unallocated principal event prior to 3:00 PM ET on Payment Date will:                      A) Remove the currently announced principal rate if one exists                      B) Delete the principal event if no rate already exists</p> <p>To delete an existing event that already contains a rate, a record must be sent with a rate of all 0s or 9s twice. Once to update the rate to 0, and again to delete the event.</p> <p><b>Equity CUSIPs:</b> Not Applicable</p> <p><b>For Distribution Type 4 Only:</b>  <b>Debt CUSIPs:</b> The principal rate per 1000 being paid.                      Usually this will match the previous principal balance factor * 1000  <b>Equity CUSIPs:</b> Not Applicable</p> <p><b>For Distribution Type 5 Only:</b>  <b>Debt CUSIPs:</b> The call price presented as a percentage.                      Example Par = 100.00000  <b>Equity CUSIPs:</b> The call price per unit.                      Example \$10 per unit = 00010.000000</p> <p><b>For Distribution Type 4 and 5 Only:</b>                      Submitting with a rate of all 0s or 9s will result in a corresponding full redemption being announced without any rates.</p> <p><b>For Distribution Types 6 Only:</b>                      Default to 99999999999 for no value</p>
132	11	Character	Interest Shortfall	<p><b>Required.</b> Express as character field, using the '-' to denote a negative value prior to the value: i.e., -99.9999999. Positive values may be expressed with a '+' sign. The total characters including sign and decimal point is 11.</p> <p>The excess of interest accrual per thousand over interest actually collected on the underlying loans for the current accrual period.</p> <p>This field of data is only populated if the shortfall decreases the current interest payment.</p> <p>Default to 99999999999 for no value</p>

Position	Length	Format	Field Name	Dividend Bond Administrator Ann Detail Input Record Description
<b>Positions 27 through 475: Bond Administrator Ann Detail Input Record</b>				
143	11	Character	Realized Loss Per Dollar	<p><b>Required.</b> Express as character field, using the '-' to denote a negative value prior to the value: i.e. -9.99999999. The total characters including sign and decimal point is 11.</p> <p>The amount of principal collected less than the scheduled principal distribution per dollar for the current accrual period.</p> <p>This field of data is only populated if the realized loss decreases the current factor.</p> <p>Default to 99999999999 for no value</p>
154	11	Character	Realized Gain Per Dollar	<p><b>Required.</b> Express as character field, using the '+' to denote a positive value i.e. +9.99999999. The total characters including sign and decimal point is 11.</p> <p>The amount of principal collected in excess of the scheduled principal distribution per dollar for the current accrual period.</p> <p>This field of data is only populated if the realized gain increases the current factor.</p> <p>Default to 99999999999 for no value</p>
165	11	Character	Negative Amortization Per Dollar	<p><b>Required.</b> Express as character field, using the '-' to denote a negative value prior to the value: i.e. -9.99999999. Positive values may be expressed with a '+' sign. The total characters including sign and decimal point is 11</p> <p>The amount of unpaid interest accrued and added to the principal balance per dollar for the specified period.</p> <p>This field of data is only populated if negative amortization decreases the current interest payment and increases the current factor.</p> <p>Default to 99999999999 for no value</p>
176	14	Numeric	Beginning Principal Balance Factor	<p><b>Required.</b> 9(2)v9(12).</p> <p>The factor (expressed as a decimal) representing the remaining principal obligation to be paid BEFORE the current payment. <b>Debt CUSIPs only</b></p> <p>Default to 99999999999999 for no value.</p>
190	14	Numeric	Ending Principal Balance Factor	<p><b>Required.</b> 9(2)v9(12).</p> <p>The factor (expressed as a decimal) representing the remaining principal obligation to be paid AFTER the current payment as of the end of the current accrual period by the original principal balance of the security. <b>Debt CUSIPs only</b></p> <p>If you intend to reduce the factor to 0 but keep position open, submit a factor of 00.000000000001.</p> <p>Default to 99999999999999 for no value.</p>
204	11	Numeric	Minimum Denomination	<p><b>Required.</b> 9(11)v.</p> <p>The denomination on which the random lot call is processed Default to 99999999999 for no value.</p>

Position	Length	Format	Field Name	Dividend Bond Administrator Ann Detail Input Record Description
<b>Positions 27 through 475: Bond Administrator Ann Detail Input Record</b>				
215	15	Numeric	DTC Total Principal Distribution	<b>Required.</b> 9(13)v99. The total amount of principal paid on a security for the current distribution date Default to 999999999999999 for no value.
230	15	Numeric	DTC Total Interest Distribution	<b>Required.</b> 9(13)v99. The total amount of interest paid on a security for the current distribution date Default to 999999999999999 for no value.
245	8	Character	Paying Agent Id	<b>Required.</b> X(8) Agent Identification number
253	223	Character		Filler. Reserved for future use. Spaces or all 9s.

## CCF And CCF-II Transmission Trailer Record (“TLR”)

The Trailer Record must be the last record of each CCF-II transmission.

Position	Length	Format	Field Name	Summary Total Field Description
1	1	Character	Feedback Indicator	Leave blank on input. On output, indicates whether any errors were encountered during processing.
2	1	Character	Test/Production Indicator	Distinguishes between an actual production transaction and a test transaction: P = Production T = Test.
3	6	Character	Record Type	‘BMATLR’
9	2	Numeric	Record Suffix	Indicates the Record # on single and multiple data records within a transaction. . Default is “01” for this application
11	2	Numeric	Version Number	Version number that defines the record format. . Default is “01” for this application
13	6	Character	User Reference Number	(Optional) Used by transmitting party to uniquely identify the transaction. Code spaces
19	8	Character	Addressee	For numeric IDs: 8-digit identifier of the entity on behalf of which the transaction is being processed; right aligned, zero filled For non-full numeric addressees: <i>Mnnnnnnn</i> or <i>Nnnnnnnn</i> .
27	7	Numeric	Total Record Count	The total record count for all Data Records in this transmission. The total excludes the Trailer Record and must equal the DTC-calculated total record count.
34	13	Numeric	Total Quantity Amount	The total quantity amount for all Data Records in this transmission. Must equal the DTC-calculated total quantity amount, or zero if not applicable.
47	15	Numeric	Total Dollar Amount	The total dollar amount for all Data Records in this transmission. Must equal the DTC-calculated total dollar amount, or zero if not applicable.
62	08	Character	Paying Agent Id	<b>Required.</b> X(8) Agent Identification number
70	406	Character	Filler	For DTC Use only.

# ERROR CONDITIONS

In the case of errors that occur during processing, the following occurs:

- CCF/CCF-II Users receive their input record with 40 bytes of errors appended to the end of the record
- MDH users receive a 40-byte area for errors in their 06 return block.

The following table lists errors that can be received during the edit of a Dividend Expected CUSIP Payment transaction. This error list describes both the Field Identifier and the Error Code. These codes are defined in the DTF files: ICMFLD for Field Identifiers; ICMERR for Error Codes.

**Note:**

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

Error Description	Field Code	Message Code
Function Unavailable	JAAA	9ABJ
Past Cutoff Time	AAAA	9AAL
Invalid Commarea/Record Type	AAAA	9AAA
Invalid Transmission Trailer Record	AAAC	9AAA
Invalid Accrual Period	BACW	9AAA
Invalid Pass Thru Interest Rate	FAAP	9AAA
Invalid Interest Calculation Type	FAAQ	9AAA
Invalid Interest Distribution per 1000 shares	FAAR	9AAA
Invalid Dividend Rate	DACL	9AAA
Invalid Principal Rate	FAAS	9AAA
Invalid Current Payment Factor	FAAT	9AAA
Invalid Previous Payment Factor	FAAU	9AAA
Invalid Interest Shortfall	FAAV	9AAA
Invalid Real Loss per Dollar	FAAZ	9AAA
Invalid Real Gain per Dollar	FAA1	9AAA
Invalid Negative Amortization	FAAY	9AAA
Invalid Payable Date	BACT	9AAA
Invalid Redemption Maturity Date	BAB1	9AAA
Invalid Record Date	BABQ	9AAA
Invalid Publish Date	BAB2	9AAA

Error Description	Field Code	Message Code
Invalid Accrual Begin Date	FAAW	9AAA
Invalid Accrual End Date	FAAX	9AAA
Invalid Total Interest Distribution	FAA2	9AAA
Invalid Total Interest Distribution	FAA3	9AAA
Invalid Minimum Denomination	DABR	9AAA

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