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# Agent Services/Asset Services

## 9.19 ELECTRONIC CALL NOTIFICATION (ECN1&ECN5) VIA CCF, CCF-II AND MDH: FUNCTION USER'S GUIDE

OCTOBER 31, 2023

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## OBJECTIVES OF THIS CHAPTER

The objectives of this chapter are to:

- Describe the purpose of DTC's Electronic Call Notification function.
- Provide specifics of the required detail input record.

# OVERVIEW

This document describes how Redemption agents can use the Interface Control Management (ICM) service to notify DTC of upcoming redemptions. This function is available over CCF, CCF-II and MDH. This is a combined User Guide describing how agents can forward redemption notifications to DTC 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.

## Function Names and Availability Times

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

Interface	Function Name	Available from:	Available to:
MDH	ECN1	xxxx	xxxx
CCF	ECN5	xxxx	xxxx
CCF-II	ECN5	xxxx	xxxx

# ELECTRONIC CALL NOTIFICATION INPUT RECORD

The input record for the Electronic Call Notification record is defined below. This record contains a Transaction Header (positions 1 through 26) and application detail data and has a record length of 206. Users of the MDH interface can enter up to 10 records per input block.

Electronic Call Notification Input Record Description				
Position	Length	Format	Field Name	Field Description
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	<b>REDECN</b> - Redemption Electronic Call Notification
9	2	Numeric	Record Suffix	Indicates the Record number on single and multiple data records within a transaction
11	2	Numeric	Version Number	Used to indicate which version (for example, 'latest' or 'previous' format) the data is in; must be 01
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 which the transaction is being processed; right aligned, zero filled For non-full numeric addressees: <i>Mnnnnnnn</i>
27	18	Character	Filler	Spaces
45	2	Character	Record Code	Contains the value "10" identifying the record type
47	8	Date yyyymmdd	Publication Date	Date that the Call has been announced and published to the public.
55	5	Numeric	Number of "20" records	Indicates the number of related "20" records that follow. May be a one to one or one to many relationship.
60	60	Character	Bank contact name	The name of Bank representative to be contacted.
120	10	Numeric	Bank contact phone	The phone number of the Bank representative.
130	10	Character	Bank contact fax	The fax number of the Bank representative. Maybe blank.
140	1	Character	Publish Notice Answer	?

Electronic Call Notification Input Record Description				
Position	Length	Format	Field Name	Field Description
141	1	Character	Release Notice Answer	?
142	64	Character	Filler	Spaces

Electronic Call Notification Input Record Description				
Position	Length	Format	Field Name	Field Description
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	REDECN Redemption Electronic Call Notification
9	2	Numeric	Record Suffix	Indicates the Record number on single and multiple data records within a transaction
11	2	Numeric	Version Number	Used to indicate which version (for example, 'latest' or 'previous' format) the data is in; must be 01
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 which the transaction is being processed; right aligned, zero filled For non-full numeric addressees: <i>Mnnnnnnn</i>
27	8	Date yyyymmdd	Call Date	Date used as a common key to link related records.
35	10	Character	Filler	Spaces
45	2	Character	Record Code	Contains the value "11" identifying the record type
47	40	Character	Obligor Longname line1	???? Name of Bank responsible to process Call
87	40	Character	Obligor Longname line2	???? Name of Bank responsible to process Call
127	40	Character	Obligor Longname line3	???? Name of Bank responsible to process Call
167	40	Character	Obligor Longname line4	???? Name of Bank responsible to process Call

Electronic Call Notification Input Record Description				
Position	Length	Format	Field Name	Field Description
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	REDECN    Redemption Electronic Call Notification
9	2	Numeric	Record Suffix	Indicates the Record number on single and multiple data records within a transaction
11	2	Numeric	Version Number	Used to indicate which version (for example, 'latest' or 'previous' format) the data is in; must be 01
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 which the transaction is being processed; right aligned, zero filled For non-full numeric addressees: <i>Mnnnnnnn</i>
27	8	Date yyyymmdd	Call Date	Date used as a common key to link related records.
35	10	Character	Filler	Spaces
45	2	Character	Record Code	Contains the value "12" identifying the record type
47	40	Character	LNx longname line1	???? Name of Bank ????
87	40	Character	LNx Longname line2	???? Name of ?????I
127	40	Character	LNx Longname line3	???? Name of ??????
167	40	Character	LNx Longname line4	???? Name of Bank responsible to process Call

Electronic Call Notification Input Record Description				
Position	Length	Format	Field Name	Field Description
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	REDECN Redemption Electronic Call Notification
9	2	Numeric	Record Suffix	Indicates the Record number on single and multiple data records within a transaction
11	2	Numeric	Version Number	Used to indicate which version (for example, 'latest' or 'previous' format) the data is in; must be 01
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 which the transaction is being processed; right aligned, zero filled For non-full numeric addressees: <i>Mnnnnnnn</i>
27	8	Date yyyymmdd	Call Date	Date used as a common key to link related records.
35	10	Character	Filler	Spaces
45	2	Character	Record Code	Contains the value "20" identifying the record type
47	40	Character	Obligor Shortname/ Issuer Shortname	Agent/Bank name
87	40	Character	Issue Title/ Loan Shortname	?????
127	14	Numeric	Total Amount Redeemed	Whole Number Right Justified
141	8	Date yyyymmdd	Issue Date	Loan Date Issued
149	8	Date	Call Date	Date of Redemption
157	5	Numeric	Number of "30" records	Number of related "30" records which follow
162	18	Character	Filler	Spaces

Electronic Call Notification Input Record Description				
Position	Length	Format	Field Name	Field Description
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	REDECN    Redemption Electronic Call Notification
9	2	Numeric	Record Suffix	Indicates the Record number on single and multiple data records within a transaction
11	2	Numeric	Version Number	Used to indicate which version (for example, 'latest' or 'previous' format) the data is in; must be 01
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 which the transaction is being processed; right aligned, zero filled For non-full numeric addressees: <i>Mnnnnnnn</i>
27	8	Date yyyymmdd	Call Date	Date used as a common key to link related records.
35	10	Character	Filler	Spaces
45	2	Character	Record Code	Contains the value "21" identifying the record type
47	1	Character	PPA/Trustee code	'P' or 'T' Paying agent or Trustee
48	9	Character	PPA/Trustee ABA number	ABA number or maybe blank
57	10	Character	Contact Phone Number	PPA/Trustee Phone Number or maybe blank
67	40	Character	Contact name	PPA/Trustee Name
107	40	Character	Contact Address line1	PPA/Trustee Address
147	33	Character	Filler	Spaces

Electronic Call Notification Input Record Description				
Position	Length	Format	Field Name	Field Description
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	REDECN    Redemption Electronic Call Notification
9	2	Numeric	Record Suffix	Indicates the Record number on single and multiple data records within a transaction
11	2	Numeric	Version Number	Used to indicate which version (for example, 'latest' or 'previous' format) the data is in; must be 01
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 which the transaction is being processed; right aligned, zero filled For non-full numeric addressees: <i>Mnnnnnnn</i>
27	8	Date yyyymmdd	Call Date	Date used as a common key to link related records.
35	10	Character	Filler	Spaces
45	2	Character	Record Code	Contains the value "22" identifying the record type
47	40	Character	PPA/Trustee Contact Address line2	PPA/Trustee 2nd line of Address
87	40	Character	PPA/Trustee Contact Address line 3	PPA/Trustee 3rd line of Address
127	28	Character	City	City portion of Address
155	2	Character	State	state initial
157	10	Character	Zip Code	Zip Code
167	13	Character	Filler	Spaces

Electronic Call Notification Input Record Description				
Position	Length	Format	Field Name	Field Description
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	REDECN    Redemption Electronic Call Notification
9	2	Numeric	Record Suffix	Indicates the Record number on single and multiple data records within a transaction
11	2	Numeric	Version Number	Used to indicate which version (for example, 'latest' or 'previous' format) the data is in; must be 01
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 which the transaction is being processed; right aligned, zero filled For non-full numeric addressees: <i>Mnnnnnnn</i>
27	8	Date yyyymmdd	Call Date	Date used as a common key to link related records.
35	10	Character	Filler	Spaces
45	2	Character	Record Code	Contains the value "23" identifying the record type
47	9	Character	Copaying agent 1 ABA number	Copaying Agent ABA number (not required)
56	40	Character	Copaying Agent 1 name	Copaying Agent 1 Name (not required)
96	40	Character	Copaying Agent 1 Address line 1	Copaying Agent 1 Address line 1 (not required)
136	43	Character	Filler	Spaces

Electronic Call Notification Input Record Description				
Position	Length	Format	Field Name	Field Description
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	REDECN    Redemption Electronic Call Notification
9	2	Numeric	Record Suffix	Indicates the Record number on single and multiple data records within a transaction
11	2	Numeric	Version Number	Used to indicate which version (for example, 'latest' or 'previous' format) the data is in; must be 01
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 which the transaction is being processed; right aligned, zero filled For non-full numeric addressees: <i>Mnnnnnnn</i>
27	8	Date yyyymmdd	Call Date	Date used as a common key to link related records.
35	10	Character	Filler	Spaces
45	2	Character	Record Code	Contains the value "25" identifying the record type
47	40	Character	Copaying Agent 1 Address line2	Copaying Agent 1 2nd line of Address (Not required)
87	40	Character	Copaying Agent 1 Address line 3	Copaying Agent 1 3rd line of Address (Not required)
127	28	Character	City	City portion of Address (Not required)
155	2	Character	State	State Code (Not required)
157	10	Character	Zip Code	Zip Code (Not required)
167	13	Character	Filler	Spaces

Electronic Call Notification Input Record Description				
Position	Length	Format	Field Name	Field Description
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	REDECN Redemption Electronic Call Notification
9	2	Numeric	Record Suffix	Indicates the Record number on single and multiple data records within a transaction
11	2	Numeric	Version Number	Used to indicate which version (for example, 'latest' or 'previous' format) the data is in; must be 01
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 which the transaction is being processed; right aligned, zero filled For non-full numeric addressees: <i>Mnnnnnnn</i>
27	8	Date yyyymmdd	Call Date	Date used as a common key to link related records.
35	10	Character	Filler	Spaces
45	2	Character	Record Code	Contains the value "25" identifying the record type
47	9	Character	Copaying agent 2 ABA number	Copaying Agent ABA number (not required)
56	40	Character	Copaying Agent 2 name	Copaying Agent 2 Name (not required)
96	40	Character	Copaying Agent 2 Address line 1	Copaying Agent 2 Address line 1 (not required)
136	43	Character	Filler	Spaces

Electronic Call Notification Input Record Description				
Position	Length	Format	Field Name	Field Description
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	REDECN Redemption Electronic Call Notification
9	2	Numeric	Record Suffix	Indicates the Record number on single and multiple data records within a transaction
11	2	Numeric	Version Number	Used to indicate which version (for example, 'latest' or 'previous' format) the data is in; must be 01
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 which the transaction is being processed; right aligned, zero filled For non-full numeric addressees: <i>Mnnnnnnn</i>
27	8	Date yyyymmdd	Call Date	Date used as a common key to link related records.
35	10	Character	Filler	Spaces
45	2	Character	Record Code	Contains the value "26" identifying the record type
47	40	Character	Copaying Agent 2 Address line2	Copaying Agent 2 2nd line of Address (Not required)
87	40	Character	Copaying Agent 2 Address line 3	Copaying Agent 2 3rd line of Address (Not required)
127	28	Character	City	City portion of Address (Not required)
155	2	Character	State	State Code (Not required)
157	10	Character	Zip Code	Zip Code (Not required)
167	13	Character	Filler	Spaces

Electronic Call Notification Input Record Description				
Position	Length	Format	Field Name	Field Description
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	REDECN Redemption Electronic Call Notification
9	2	Numeric	Record Suffix	Indicates the Record number on single and multiple data records within a transaction
11	2	Numeric	Version Number	Used to indicate which version (for example, 'latest' or 'previous' format) the data is in; must be 01
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 which the transaction is being processed; right aligned, zero filled For non-full numeric addressees: <i>Mnnnnnnn</i>
27	8	Date yyyymmdd	Call Date	Date used as a common key to link related records.
35	10	Character	Filler	Spaces
45	2	Character	Record Code	Contains the value "30" identifying the record type
47	10	Character	CUSIP Number	CUSIP Issue ID number
57	10	Character	Interest Rate	In 999.999999 Format
67	8	Date yyyymmdd	Maturity Date	Date Issue Matures
75	2	Character	Issue Type	Corp, Govt, Muni, European
77	1	Character	Call Type	F(ull) or P(artial)
78	14	Numeric	Total Amount Redeemed	Amount being Called
92	8	Character	Accrued Interest/\$1000	In 9999.999 Format
100	8	Character	Redemption Price	In 999.9999 format
108	5	Numeric	Number of "40" records	Number of related "40" (certificate) records following

Electronic Call Notification Input Record Description				
Position	Length	Format	Field Name	Field Description
113	67	Characters	Filler	Spaces

Electronic Call Notification Input Record Description				
Position	Length	Format	Field Name	Field Description
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	REDECN Redemption Electronic Call Notification
9	2	Numeric	Record Suffix	Indicates the Record number on single and multiple data records within a transaction
11	2	Numeric	Version Number	Used to indicate which version (for example, 'latest' or 'previous' format) the data is in; must be 01
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 which the transaction is being processed; right aligned, zero filled For non-full numeric addressees: <i>Mnnnnnnn</i>
27	8	Date yyyymmdd	Call Date	Date used as a common key to link related records.
35	10	Character	Filler	Spaces
45	2	Character	Record Code	Contains the value "40" identifying the record type
47	6	Character	Certificate Prefix	Prefix of Certificate Number (Not Required)
53	10	Character	Certificate Number	Numeric Left Justified Padded with spaces
63	1	Character	Bond Type	R(egistered), B(earer) or (E)Book Entry
64	14	Numeric	Par Value/Face Amount	Bond Denomination, Numeric right Justified
78	14	Numeric	Amount Redeemed	Amount of Bond being Called, Numeric right Justified
92	14	Numeric	Amount Outstanding	Amount of Bond remaining after Call, Numeric right Justified
106	74	Character	Filler	Spaces

## 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	< - TRAILER or the name specified in the application's documentation (1).
9	2	Numeric	Record Suffix	Indicates the Record number on single and multiple data records within a transaction.
11	2	Numeric	Version Number	Version number that defines the record format.
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 which the transaction is being processed; right aligned, zero filled For non-full numeric addressees: Mnnnnnnn.
27	7	Numeric	Total Record Count	The total detail record count 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 in all the 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 in all the Data Records in this transmission. Must equal the DTC-calculated total dollar amount, or zero if not applicable.
62	20	Character	Filler	DTC use only. Do not use.

# 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 Detail 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
INVALID DATA	AAAA	9AAA
INVALID DDA NUMBER	CABO	9AAA
INVALID CUSIP NUMBER	GAAA	9AAA
INVALID DATE	AZZZ	9AAJ
INVALID PAYMENT AMOUNT	AZZZ	9AAE
INVALID PAYMENT TYPE	AZZZ	9AAE
FUNCTION UNAVAILABLE	JAAA	9ABJ
INVALID TIME-CUTOFF PROCESSING	JAAA	0460
INVALID FUNCTION-CUTOFF PROCESSING	JAAA	0470
PAST CUTOFF TIME	AAAA	9AAL

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