



Asset Services

9.10 INTERACTIVE REORG TENDERS PROCESSING (RTPOUT) VIA CCF, CCF-II AND MDH: OUTPUT MESSAGING GUIDE

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OBJECTIVES OF THIS CHAPTER

The objectives of this chapter are to:

- Describe the features of the Interactive Reorg Tenders Processing Output Messaging (RTPOUT) function
- Provide templates for required records
- Provide lists of errors and error codes

OUTPUT MESSAGING FUNCTION: OVERVIEW

This document describes how Participants and Issuing Agents can use Interactive Messaging to receive confirmation messages and Back End Rejects for Tender Voluntary Offering Instructions, Protects and Cover Protect instructions sent to DTC.

The Reorg Tenders Processing (RTP) functions allow Participants to perform the following transactions:

- Submit a Voluntary Offering Instruction (VOI) for an active tender offer
- Submit shares for an active tender offer by means of a Notice of Guaranteed Delivery (also referred to as a "protect")
- Submit shares for an active tender offer by means of a Notice of Guaranteed Delivery submitted through DTC or delivered directly to an Agent (also referred to as a "cover of protect")

The Participant can perform the following specific functions:

Voluntary Offering Instruction (referred to as a VOI): Participants can submit shares on the contra CUSIP for an active tender offer.

Protect Submissions: Participants can submit protect instructions on the contra CUSIP for an active tender offer.

Cover Protects Submitted directly to DTC: Participants can deliver shares pursuant to a tender protect previously submitted either via Option 2 of the PTS PTOPTOP function or through the RTP1 or RTP5 functions via CCF, CCF-II, or MDH.

Cover Protects Submitted Directly to the Agent: Participants can deliver shares pursuant to a protect that was previously submitted to the Agent, not through the PTOPTOP, RTP1 or RTP5 functions. This information is obtained from hardcopy protect instruction. Information Participants enter through the RTP1 or RTP5 function must correspond to the information contained on the hardcopy protect instruction. Failure to do so can cause the Agent to reject the cover of protect instruction.

Transmission Facilities

This is a combined User's Guide for CCF, CCF-II and MDH. It is recommended that Participants familiarize themselves with the DTC document *Interface Control Management CCF, CCF-II and MDH General Function User's Guide for Messaging Output*. This ICM document describes new standards for transaction processing using DTC's automated systems, including specifics relating to the operation, error processing and recovery for CCF, CCF-II and MDH transmissions.

Holiday Processing

The following table lists public holidays, together with the open/closed status of Banks, Exchange and DTC and the availability of RTP1/RTP5 functions:

| Holiday | Banks | Exchange | DTC | RTP1/RTP5 |
|------------------------|--------|----------|--------|--|
| New Year's Day | Closed | Closed | Closed | Not available |
| Martin Luther King Day | Closed | Open | Closed | Not available |
| Presidents' Day | Closed | Closed | Closed | Not available |
| Good Friday | Open | Closed | Open | Available |
| Memorial Day | Closed | Closed | Closed | Not available |
| July 4 | Closed | Closed | Closed | Not available |
| Labor Day | Closed | Closed | Closed | Not available |
| Columbus Day | Closed | Open | Open | Available for transmissions only; no payout processing |
| Veterans Day | Closed | Open | Open | |
| Thanksgiving Day | Closed | Closed | Closed | Not available |
| Christmas Day | Closed | Closed | Closed | Not available |

Response Time for Reject and Output Messages

The expected waiting time between submitting a transaction and receiving a response for both rejected and accepted transactions is 15 minutes.

FILE SPECIFICATIONS

There are two different output record layouts:

- The Reorg Tender Processing Output Message record contains all transactions processed by the DTC system. Agents receive messages only for made items. Participants receive made, dropped and pended items. See [Reorg Tender Processing Output Message Record](#).
- The Reorg Tenders Back End Rejects record contain errors that must be corrected before the transactions can be processed. See [Reorg Tenders Back End Rejects Record](#).

DTC also transmits a CCF-II Transmission Error Record when necessary. See [CCF-II Transmission Error Record \(CF2ERR\)](#).

Reorg Tender Processing Output Message Record

The following is the format of the Reorg Tender Processing Output Message Record. This record incorporates the standard 26-byte transaction header (in boxed fields below) and the output message details (total 315 bytes).

| Reorg Tender Processing Output Message Record Format | | | | |
|--|--------|-----------|---------------------------------|--|
| Position | Length | Format | Field Name | Description |
| 1 | 1 | Character | Feedback Indicator | * (asterisk) output message |
| 2 | 1 | Character | Test/Production Indicator | (Required) T test P production |
| 3 | 6 | Character | Record Type | RTPOUT |
| 9 | 2 | Numeric | Record Suffix | 01 |
| 11 | 2 | Numeric | Version Number | 01 |
| 13 | 6 | Character | User Reference Number | For DTC use only |
| 19 | 8 | Character | Addressee | The entity on behalf of whom the transaction is to be processed <i>nnnnnnnn</i> 8-digit full numeric identifier (zero fill) <i>Mnnnnnnn</i> non-full numeric addressee |
| 27 | 2 | Character | Function Type | Type of record (required) VH VOI Header PH protect header CH cover protect via PTOP/ RTP1/RTP5 header AH cover protect directly to agent header |
| 29 | 3 | Character | Envelope activity code | Reorg activity code for tenders (required) 52 tender/exchange offer 52M tender election merger 54T convert and tender offer |
| 32 | 12 | Character | Tender Target CUSIP ID | (Required) 9-character issue identifier with 2 leading spaces and 1 trailing space |
| 44 | 20 | Character | Tender Target CUSIP Description | (Required) 9-character issue identifier |
| 64 | 3 | Numeric | Envelope Sequence Number | (Required) system-generated number that identifies the tender offer involved |

| Reorg Tender Processing Output Message Record Format | | | | |
|--|--------|-----------|----------------------------------|---|
| Position | Length | Format | Field Name | Description |
| 67 | 12 | Character | Tender Contra CUSIP ID | (Required) 9-character identifier; 2 leading spaces and 1 trailing space |
| 79 | 20 | Character | Tender Contra CUSIP Description | (Required) free-form text description of the contra CUSIP |
| 99 | 8 | Numeric | Participant Number | (Required) 8-digit Participant identifier |
| 107 | 1 | Character | Transaction Type | (Required) V VOI instruction for Cover Protect (Protect Verification ID Required for Cover Protect) P protect |
| 108 | 9 | Numeric | Transaction Quantity | Share total submitted for all function types; read as 9999.99999 Note: The system allows a maximum of only 9 digits. |
| 117 | 9 | Numeric | Transaction Conditional Quantity | Total shares submitted for a conditional VOI; read as 99999.9999 Note: This system allows a maximum of only 9 digits |
| 126 | 9 | Numeric | Tender Bid Price | Required only if tender offer accepts bid prices; price must fall between the maximum and minimum price acceptable to the offer; read as 9999.99999 Note: This system allows a maximum of only 9 digits |
| 135 | 14 | Character | Protect Verification ID | To identify the protect that is being covered, enter <i>pxrrrdddhhmmss</i> where <i>p</i> = Protect <i>x</i> = C if transaction was entered through CCF = M if transaction was entered through MDH <i>rrr</i> = random number <i>ddd</i> = Julian day <i>hhmmss</i> = Time Spaces, if not used |

| Reorg Tender Processing Output Message Record Format | | | | |
|--|--------|-----------|--------------------------|--|
| Position | Length | Format | Field Name | Description |
| 149 | 8 | Numeric | Protect Date | <p><i>mmdccyy</i> date the protect was created; required for</p> <p>AH Cover protect directly to agent header</p> <p>CH Cover protect via PTOP/RTP1/RTP5</p> <p>00000000 zeroes for</p> <p>VH VOI header</p> <p>PH protect header</p> |
| 157 | 1 | Character | Tender Odd Lot Indicator | <p>Y tender offer accepts odd lots</p> <p>N (or space) tender offer does not accept odd lots</p> |
| 158 | 20 | Character | Contact name | <p>(Free=form entry) Participant contact; required for Function Type:</p> <p>VH VOI Header</p> <p>PH protect header</p> <p>AH cover protect directly to agent header</p> <p>Spaces if Function Type = CH (Cover protect via PTOP/RTP1/ RTP5)</p> |
| 178 | 10 | Numeric | Contact phone number | <p><i>aaabbbbbb</i> Participant's phone number; required if function type =</p> <p>VH VOI header</p> <p>PH protect header</p> <p>AH cover protect directly to agent header</p> <p>Spaces if function type = CH (cover protect via PTOP/RTP1/ RTP5)</p> <p><i>aaa</i> area code</p> <p><i>bbbbbb</i> phone number</p> |
| 188 | 1 | Character | Acknowledgment Indicator | <p>Indicator of whether Participant agrees to all terms of the tender (required)</p> <p>Y Participant agrees</p> |

| Reorg Tender Processing Output Message Record Format | | | | |
|--|--------|-----------|-----------------------|--|
| Position | Length | Format | Field Name | Description |
| 189 | 1 | Character | Condition 1 indicator | <p>Indicator of whether or not condition 1 of this tender offer is being accepted</p> <p>Y accept N decline, required if Function Type = VH VOI header PH protect header AH cover protect directly to agent header</p> <p>Spaces if condition does not exist or if Function Type = CH (cover protect via PTOP/RTP1/RTP5)</p> |
| 190 | 1 | Character | Condition 2 indicator | <p>Indicator of whether or not condition 2 of this tender offer is being accepted</p> <p>Y accept N decline</p> <p>Required if Function Type = VH VOI header PH protect header AH cover protect directly to agent header</p> <p>Spaces if condition does not exist or if Function Type = CH (cover protect via PTOP/RTP1/RTP5)</p> |
| 191 | 1 | Character | Condition 3 indicator | <p>Indicator of whether or not condition 3 of this tender offer is being accepted</p> <p>Y accept N decline</p> <p>Required if Function Type = VH VOI header PH protect header AH cover protect directly to agent header</p> <p>Spaces if condition does not exist or if Function Type = CH (cover protect via PTOP/RTP1/RTP5)</p> |

| Reorg Tender Processing Output Message Record Format | | | | |
|--|--------|-----------|-----------------------|--|
| Position | Length | Format | Field Name | Description |
| 192 | 1 | Character | Condition 4 indicator | <p>Indicator of whether or not condition 4 of this tender offer is being accepted</p> <p>Y accept N decline</p> <p>Required if Function Type = VH VOI header PH protect header AH cover protect directly to agent header</p> <p>Spaces if condition does not exist or if Function Type = CH (cover protect via PTOP/RTP1/RTP5)</p> |
| 193 | 1 | Character | Condition 5 indicator | <p>Indicator of whether or not condition 5 of this tender offer is being accepted</p> <p>Y accept N decline</p> <p>Required if Function Type = VH VOI header PH protect header AH cover protect directly to agent header</p> <p>Spaces if condition does not exist or if Function Type = CH (cover protect via PTOP/RTP1/RTP5)</p> |
| 194 | 1 | Character | Condition 6 indicator | <p>Indicator of whether or not condition 6 of this tender offer is being accepted</p> <p>Y accept N decline</p> <p>Required if Function Type = VH VOI header PH protect header AH cover protect directly to agent header</p> <p>Spaces if condition does not exist or if Function Type = CH (cover protect via PTOP/RTP1/RTP5)</p> |
| 195 | 80 | Character | Comments | Optional, free-format entry |
| 275 | 16 | Numeric | Timestamp | <i>mmddyyhhmmssssss</i> date and time the message was created (required) |

| Reorg Tender Processing Output Message Record Format | | | | |
|--|--------|-----------|--------------------|--|
| Position | Length | Format | Field Name | Description |
| 291 | 9 | Numeric | ATP RBN Number | 999999-99 RBN number; required if function type = VH or CH Blank for function type PH |
| 300 | 14 | Character | Transaction Number | Transaction identifier, <i>except</i> Spaces for function type PH |
| 314 | 2 | Character | Status | (Required) results of the transaction For function types VH, CH, AH R recycling M made D dropped E edit reject RM recycle/made For function type PH C complete |

Reorg Tenders Back End Rejects Record

The following is the format of the Reorg Tenders Back End Rejects Record. This record incorporates the standard 26-byte transaction header (in boxed fields below) and the Back End Rejects Record details (total 330 bytes).

| Reorg Tenders Back End Rejects Record Format | | | | |
|--|--------|-----------|---------------------------------|--|
| Position | Length | Format | Field Name | Description |
| 1 | 1 | Character | Feedback Indicator | ? back end reject |
| 2 | 1 | Character | Test/Production Indicator | (Required) T test P production |
| 3 | 6 | Character | Record Type | RTPOUT |
| 9 | 2 | Numeric | Record Suffix | 01 |
| 11 | 2 | Numeric | Version Number | 01 |
| 13 | 6 | Character | User Reference Number | For DTC use only |
| 19 | 8 | Character | Addressee | The entity on behalf of whom the transaction is to be processed <i>nnnnnnnn</i> 8-digit full numeric identifier (zero fill) <i>Mnnnnnnn</i> non-full numeric addressee |
| 27 | 2 | Character | Function Type | (Required) record type indicator VH VOI Header PH protect header CH cover protect via PTOPT/ RTP1/RTP5 AH cover protect directly to agent header |
| 29 | 3 | Character | Envelope activity code | (Required) reorg activity code for tenders 52 tender/exchange offer 52M tender election merger 54T convert and tender offer |
| 32 | 12 | Character | Tender Target CUSIP ID | (Required) 9-character issue identifier; 2 leading spaces and 1 trailing space |
| 44 | 20 | Character | Tender Target CUSIP Description | (Required) 9-character issue identifier; 2 leading spaces and 1 trailing space |
| 64 | 3 | Numeric | Envelope Sequence Number | (Required) system-generated number that identifies the tender offer involved |
| 67 | 12 | Character | Tender Contra CUSIP ID | (Required) 9-character issue identifier; 2 leading spaces and 1 trailing space |

| Reorg Tenders Back End Rejects Record Format | | | | |
|--|--------|-----------|----------------------------------|--|
| Position | Length | Format | Field Name | Description |
| 79 | 20 | Character | Tender Contra CUSIP Description | (Required) free-form description of the contra CUSIP |
| 99 | 8 | Numeric | Participant Number | (Required) 8-digit Participant identifier |
| 107 | 1 | Character | Transaction Type | (Required) V VOI Instruction for Cover Protect (Protect Verification ID required for cover protect) P protect |
| 108 | 9 | Numeric | Transaction Quantity | Share total submitted for all function types; read as 9999.99999 Note: This system allows a maximum of only 9 digits. |
| 117 | 9 | Numeric | Transaction Conditional Quantity | Total shares submitted for a conditional VOI; read as 9999.99999 Note: This system allows a maximum of only 9 digits. |
| 126 | 9 | Numeric | Tender Bid Price | Entry required only if tender offer accepts bid prices; price must fall between the maximum and minimum price acceptable to the offer; read as 9999.99999 Note: This system allows a maximum of only 9 digits |
| 135 | 14 | Character | Protect Verification ID | <i>pxrrrdddhhmmss</i> Identifier of the protect that is being covered; where <i>p</i> = Protect <i>x</i> = C if transaction was entered through CCF = M if transaction was entered through MDH <i>rrr</i> = random number <i>ddd</i> = Julian day <i>hhmmss</i> = time Spaces if not used |

| Reorg Tenders Back End Rejects Record Format | | | | |
|--|--------|-----------|--------------------------|--|
| Position | Length | Format | Field Name | Description |
| 149 | 8 | Numeric | Protect Date | <i>mmdccyy</i> date the protect was created; required for CH cover protect via PTOP/RTP1/RTP5 AH cover protect directly to agent header Zeroes for VH VOI Header PH protect header protects |
| 157 | 1 | Character | Tender Odd Lot Indicator | Y tender offer accepts odd lots N (or space) tender offer does not accept odd lots |
| 156 | 20 | Character | Contact name | (Free-format entry) Participant contact; required for function type: VH VOI Header PH protect header AH Cover protect directly to agent header Spaces for function type: CH cover protect via PTOP/RTP1/RTP5 |
| 178 | 10 | Numeric | Contact Phone Number | <i>aaaaaaaaaa</i> Participant phone number; required for Function Type: VH VOI Header PH protect header AH cover protect directly to agent header Spaces for function type: CH cover protect via PTOP/RTP1/RTP5 <i>aaa</i> (area code), <i>bbbbbb</i> (phone number) |
| 188 | 1 | Character | Acknowledgment Indicator | Indicator of whether Participant agrees to all terms of the tender (required) Y Participant agrees |

| Reorg Tenders Back End Rejects Record Format | | | | |
|--|--------|-----------|-----------------------|---|
| Position | Length | Format | Field Name | Description |
| 189 | 1 | Character | Condition 1 indicator | <p>Indicator of whether or not condition 1 of this tender offer is being accepted</p> <p>Y accept N decline</p> <p>Required if Function Type =</p> <p>VH VOI header PH protect header AH cover protect directly to agent header</p> <p>Spaces if condition does not exist or if Function Type = CH (cover protect via PTOP/RTP1/RTP5)</p> |
| 190 | 1 | Character | Condition 2 indicator | <p>Indicator of whether or not condition 2 of this tender offer is being accepted</p> <p>Y accept N decline</p> <p>Required if Function Type =</p> <p>VH VOI header PH protect header AH cover protect directly to agent header</p> <p>Spaces if condition does not exist or if Function Type = CH (cover protect via PTOP/RTP1/RTP5)</p> |
| 191 | 1 | Character | Condition 3 indicator | <p>Indicator of whether or not condition 3 of this tender offer is being accepted</p> <p>Y accept N decline</p> <p>Required if Function Type =</p> <p>VH VOI header PH protect header AH cover protect directly to agent header</p> <p>Spaces if condition does not exist or if Function Type = CH (cover protect via PTOP/RTP1/RTP5)</p> |

| Reorg Tenders Back End Rejects Record Format | | | | |
|--|--------|-----------|-----------------------|--|
| Position | Length | Format | Field Name | Description |
| 192 | 1 | Character | Condition 4 indicator | <p>Indicator of whether or not condition 4 of this tender offer is being accepted</p> <p>Y accept N decline</p> <p>Required if Function Type = VH VOI header PH protect header AH cover protect directly to agent header</p> <p>Spaces if condition does not exist or if Function Type = CH (cover protect via PTOP/RTP1/RTP5)</p> |
| 193 | 1 | Character | Condition 5 indicator | <p>Indicator of whether or not condition 5 of this tender offer is being accepted</p> <p>Y accept N decline</p> <p>Required if Function Type = VH VOI header PH protect header AH cover protect directly to agent header</p> <p>Spaces if condition does not exist or if Function Type = CH (cover protect via PTOP/RTP1/RTP5)</p> |
| 194 | 1 | Character | Condition 6 indicator | <p>Indicator of whether or not condition 6 of this tender offer is being accepted</p> <p>Y accept N decline</p> <p>Required if Function Type = VH VOI header PH protect header AH cover protect directly to agent header</p> <p>Spaces if condition does not exist or if Function Type = CH (cover protect via PTOP/RTP1/RTP5)</p> |
| 195 | 80 | Character | Comments | Optional, free format |
| 275 | 16 | Numeric | Timestamp | <i>mmddyyhhmmsssss</i> date and time the message was created (required) |

| Reorg Tenders Back End Rejects Record Format | | | | |
|--|--------|-----------|----------------------|--|
| Position | Length | Format | Field Name | Description |
| The following 2 fields can occur from 1 to 5 times per transaction. Each occurrence contains 8 characters (4 + 4), beginning at position 291. | | | | |
| 291 | 4 | Character | Field Code 1 | Field in error; see Field Code in Error Conditions |
| 295 | 4 | Character | Error Message Code 1 | See Error Message Code in Error Conditions |
| 299 | 4 | Character | Field Code 2 | Field in error; see Field Code in Error Conditions |
| 303 | 4 | Character | Error Message Code 2 | See Error Message Code in Error Conditions |
| 307 | 4 | Character | Field Code 3 | Field in error; see Field Code in Error Conditions |
| 311 | 4 | Character | Error Message Code 3 | See Error Message Code in Error Conditions |
| 315 | 4 | Character | Field Code 4 | Field in error; see Field Code in Error Conditions |
| 319 | 4 | Character | Error Message Code 4 | See Error Message Code in Error Conditions |
| 323 | 4 | Character | Field Code 5 | Field in error; see Field Code in Error Conditions |
| 327 | 4 | Character | Error Message Code 5 | See Error Message Code in Error Conditions |

CCF-II Transmission Error Record (CF2ERR)

| CCF-II Transmission Error Record Format | | | | |
|---|--------|-----------|---------------------------|---|
| Position | Length | Format | Field Name | Description |
| 1 | 1 | Character | Feedback Indicator | ? an error has occurred |
| 2 | 1 | Character | Test/Production Indicator | T test P production Blank |
| 3 | 6 | Character | Record Type | CF2ERR |
| 9 | 2 | Numeric | Record Suffix | |
| 11 | 2 | Numeric | Version Number | |
| 13 | 6 | Character | User Reference Number | |
| 19 | 8 | Character | Addressee | |
| 27 | 8 | Numeric | Signon ID | ID of User that signed on to the system |
| 35 | 6 | Character | Transmission Date | <i>mmdyy</i> |
| 41 | 6 | Character | Function | Input function type (left aligned) |
| 47 | 4 | Numeric | Transmission ID | Input transmission ID |
| 51 | 3 | Numeric | Error Code | 3-digit code identifying the error (for error codes, see List of Error Codes for ICM Input Function) |
| 54 | 6 | Character | Transmission Start Time | <i>hhmmss</i> time when the transmission began |
| 60 | 6 | Character | Transmission End Time | <i>hhmmss</i> time when the transmission ended |
| 66 | 30 | Character | Error Message | English description of the error that occurred (as much as fits in the record, depending on the record length) |

LIST OF ERROR CODES FOR ICM INPUT FUNCTION

The error codes listed here can appear in Position 51, Error Codes, of the [CCF-II Transmission Error Record](#).

| List of Error Codes for ICM Input Function | |
|--|--|
| Code | Explanation |
| 101 | DTC APPLICATION ERROR: CONTACT DTC |
| 103 | INVALID SIGNON |
| 104 | USER ALREADY LOGGED ON |
| 105 | INVALID PASSWORD |
| 107 | INVALID FUNCTION. NOT CCF FUNCTION |
| 108 | USER NOT ELIGIBLE FOR CCF FUNCTION |
| 109 | FUNCTION NOT AVAILABLE |
| 110 | CCF FUNCTION TEMPORARILY UNAVAILABLE; QUIESCED |
| 111 | DUPLICATE TRANID |
| 112 | INVALID RECORD LENGTH USED FOR FUNCTION REQUESTED |
| 113 | FUNCTION UNAVAILABLE. FILES MAY BE UNAVAILABLE |
| 121 | INVALID RECORD LENGTH USED FOR FUNCTION REQUESTED |
| 123 | SYNTAX ERROR IN THE REQUEST |
| 124 | LOGICAL ERROR IN THE REQUEST |
| 224 | PART ID DOES NOT MATCH SIGNON IN THE PASSWORD RECORD |
| 230 | INVALID FORMAT OF PASSWORD RECORD |
| 240 | INVALID FORMAT OF SIGNON OR TRANID IN PASSWORD RECORD |
| 334 | FUNCTION REQUESTED DOES NOT MATCH FUNCTION ON PASSWORD RECORD |
| 340 | INVALID LENGTH OF LRECL PARM |
| 350 | LRECL IS NOT NUMERIC |
| 360 | LRECL IS ZERO |
| 370 | LRECL <121 (SUMMARY RECORD) LRECL MUST BE EQUAL TO OR GREATER THAN SUMMARY RECORD |
| 390 | INPUT LRECL LENGTH IS ZERO FOR RJE |
| 720 | INPUT FILE IS COMPATIBLE FOR RJE INPUT |

| List of Error Codes for ICM Input Function | |
|--|--|
| Code | Explanation |
| 820 | INPUT FILE EMPTY |
| 900 | DTC INTERNAL ERROR. CONTACT DTC |
| 902 | ERROR WITH CALL TO CCF USER. CONTACT DTC |
| 903 | CCF-II REBLOCK PROBLEM FOR RJE USERS |
| 904 | OUTPUT FILE INCOMPATIBLE FOR RJE USERS |

ERROR CONDITIONS

If any errors 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 describes the errors that can be received during the edit of a Rights, Protect or Cover Protect transaction. This error list describes both the Field Identifier and the Error Code. These codes are defined in the following files:

- ICMFLD for Field Identifiers
- ICMERR for Error Codes

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

The following table is sorted alphabetically by Field Code (column one) and Error Message Code (column two).

| Error Descriptions and Codes | | |
|------------------------------|--------------------|---|
| Field Code | Error Message Code | Error Description |
| AAAB | 9AAE | Transaction Header Record Type invalid. Must be RTPDTL |
| BABL | 9AAE | Protect Date invalid |
| BABL | 9AAI | Protect Date not valid format |
| BABL | 9ABD | Protect Date missing |
| BABL | 9ABL | Protect Date must be less than or equal to current date |
| CAAA | 9AAX | Participant is DO chilled |
| CAAX | 9AAF | Participant Number not numeric |
| CAAX | 9AAT | Participant Number not found after search |
| CAAX | 9AAX | Co-depository has insufficient position |
| CAAX | 9ABD | Participant Number missing |
| CAAX | 9ACK | Participant is globally locked |
| CAAX | 9ACP | Participant has insufficient position |
| CAAX | 9ACP | Participant has insufficient position |
| CAAX | 9ACT | Participant does not match Participant on Protect Verification ID |
| CAAX | 9ACT | Function type does not match function type in control record |
| CABR | 9ABB | Protect ID not found |
| CABR | 9ABD | Protect ID missing |

| Error Descriptions and Codes | | |
|------------------------------|--------------------|---|
| Field Code | Error Message Code | Error Description |
| CABR | 9ACJ | Protect ID not used with this function type |
| CABU | 9ACP | Co-depository has insufficient position |
| DABB | 9AAF | Transaction Quantity not numeric |
| DABB | 9AAH | Transaction Quantity cannot be zero |
| DABB | 9ABD | Transaction Quantity missing |
| DABB | 9ACL | Cover Quantity is greater than remaining Protect quantity |
| DABK | 9AC2 | Conditional Quantity not numeric |
| DABK | 9ADA | Conditional Quantity cannot be zero |
| DABK | 9ADB | Conditional Quantity missing |
| DABL | 9AAF | Bid Price not numeric |
| DABL | 9ABD | Bid Price is missing |
| EAA7 | 9AAE | Function type invalid. Must be: VH VOI header PH Protect header CH Cover protect via PTOPT header AH Cover protect directly to agent header |
| EAA7 | 9ABD | Function Type missing |
| EAA9 | 9AAE | Acknowledgment Indicator must be A |
| EAB1 | 9AAA | Condition 1 Indicator invalid. Must be Y, N, or space |
| EAB1 | 9AAE | Condition 1 Indicator not used with this function type |
| EAB1 | 9ABE | Condition 1 Indicator is required for this offering |
| EAB1 | 9ACJ | Condition 1 Indicator not allowed for this Tender Offer |
| EAB2 | 9AAA | Condition 2 Indicator invalid. Must be Y, N, or space |
| EAB2 | 9AAE | Condition 2 Indicator not used with this function type |
| EAB2 | 9ABE | Condition 2 Indicator is required for this offering |
| EAB2 | 9ACJ | Condition 2 Indicator not allowed for this Tender Offer |
| EAB3 | 9AAA | Condition 3 Indicator invalid. Must be Y, N, or space |
| EAB3 | 9AAE | Condition 3 Indicator not used with this function type |

| Error Descriptions and Codes | | |
|------------------------------|--------------------|---|
| Field Code | Error Message Code | Error Description |
| EAB3 | 9ABE | Condition 3 Indicator is required for this offering |
| EAB3 | 9ACJ | Condition 3 Indicator not allowed for this Tender Offer |
| EAB4 | 9AAA | Condition 4 Indicator invalid. Must be Y, N, or space |
| EAB4 | 9AAE | Condition 4 Indicator not used with this function type |
| EAB4 | 9ABE | Condition 4 Indicator is required for this offering |
| EAB4 | 9ACJ | Condition 4 Indicator not allowed for this Tender Offer |
| EAB5 | 9AAA | Condition 5 Indicator invalid. Must be Y, N, or space |
| EAB5 | 9AAE | Condition 5 Indicator not used with this function type |
| EAB5 | 9ABE | Condition 5 Indicator is required for this offering |
| EAB5 | 9ACJ | Condition 5 Indicator not allowed for this Tender Offer |
| EAB6 | 9AAA | Condition 6 Indicator invalid. Must be Y, N, or space |
| EAB6 | 9AAE | Condition 6 Indicator not used with this function type |
| EAB6 | 9ABE | Condition 6 Indicator is required for this offering |
| EAB6 | 9ACJ | Condition 6 Indicator not allowed for this Tender Offer |
| EAE7 | 9ABD | Odd Lot indicator is missing |
| EAE7 | 9ADD | Odd Lot indicator has a value other than Y or N |
| GAAA | 9AAA | Tender Contra CUSIP ID is invalid |
| GAAA | 9AAN | Tender Contra CUSIP ID not DTC eligible |
| GAAA | 9AAX | CUSIP is depository deliver chilled |
| GAAA | 9ABD | Tender Contra CUSIP ID missing |
| GAAA | 9ACN | CUSIP is chilled |
| GAAA | 9ACT | CUSIP does not match CUSIP on Protect Verification ID |
| GAAC | 9ABR | Customer sequence number is out of sequence |
| GAAX | 9ACT | Participant does not match participant on protect ID |
| GAAX | 9ACT | CUSIP does not match CUSIP on protect ID |
| GABN | 9AAM | VOI/Protect/Cover Protect submission not available at this time. Please check Tender Offer expiration start and end dates and times. (Check function type field to determine type of submission.) |

| Error Descriptions and Codes | | |
|------------------------------|--------------------|--|
| Field Code | Error Message Code | Error Description |
| GABN | 9ADC | Transaction Type invalid. Must be V or P |
| GABN | GADB | Transaction Type is missing |
| GABZ | 9AAF | Envelope Sequence # not numeric |
| GABZ | 9ABD | Envelope Sequence # missing |
| GABZ | 9ACT | Envelope sequence number does not match envelope sequence number on protect ID |
| GACA | 9AAE | Envelope activity code invalid. Must be 52, 52M, 54T |
| GACA | 9ABD | Envelope activity code missing |
| GACD | 9ABB | Key data (Tender Offer) not found |
| HAAH | 9ABD | Contact Name missing |
| HAAH | 9ACJ | Contact Name not used with this function type |
| HAAI | 9AAF | Contact Phone # not numeric |
| HAAI | 9ABD | Contact Phone # missing |
| HAAI | 9ACJ | Contact Phone # not used with this function type |
| JAAA | 9AAL | Past cutoff time |
| JAAA | 9ABJ | Function quiesced |
| JAAE | 9ABD | No RTPDTL record type |

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