



Asset Services

9.02 SECURITY POSITION LISTINGS (OSOLPR) VIA CCF/CF2: FUNCTION USER'S GUIDE

JULY 2, 2024

TABLE OF CONTENTS

Document History	4
Objectives of This Chapter	5
The OSOLPR Functions	6
Availability of OSOLPR	6
Security Position Listings Sort Sequence	6
Security Position Listings Record Request	7
Header and Trailer Records	8
The CCF Header Record	8
The CF2 Header and Trailer Records	9
NDM – CF2 Header and Trailer Records	9
FTP - CF2 Header and Trailer Records	10
OSOLPR Function Record Layouts	11
Dividend Record	11
a. Dividend Header Record	11
b. Dividend Detail Records	12
c. Dividend Trailer Record	12
Monthly Record	13
a. Monthly Header Record	13
b. Monthly Detail Record	13
c. Monthly Trailer Record	14
Special Header Record	14
a. Special Header Record	14
b. Special Detail Records	15
c. Special Trailer Record	15
Weekly Record	16
a. Weekly Header Record	16
b. Weekly Detail Records	16
c. Weekly Trailer Record	18
Daily Record	19

a. Daily Header Record19

b. Daily Detail Records.....20

c. Daily Trailer Record.....20

DOCUMENT HISTORY

06/17/14	<p>The following changes were made to bring the existing document up to current standards.</p> <p>Revised CCF Header Record description.</p> <p>Removed references to CCRDTFDB and added NDMDTFGP and NDMDTFSP.</p> <p>Revised CF2 Header and Trailer Records</p> <p>Changed CCF-II references to read CF2.</p> <p>Identified existing CF2 HDR and TRL Record Format as NDM specific.</p> <p>Corrected "TLR" in Field Description (position 1) to read "TRL".</p> <p>Added (0001) to Field Description (position 56).</p> <p>Expanded Filler (position 60) from 15 to ???</p> <p>Removed Sequence Number field (position 75).</p> <p>Added FTP specific CF2 Header and Trailer Record Format.</p> <p>Updated "The OLSOLPR Function" to reflect the DAILY (E) value in the available security position listings.</p> <p>Added a 5.5. new section for the Daily Record header, detail, and trailer record.</p>
03/26/18	<p>Corrected the document in sections 5.5.b and 5.5.c. Removed references to the As-of-Date fields in Daily Records Types 2 and 3, position 20.</p>
08/20/23	<p>Document reformatted to the current template.</p>
07/2/2024	<p>Added note to instances of Shares Face Value as follows: *Note: On holidays, the value of this field will be 'HOLIDAY' in character format.</p> <p>Added note to Percent Change For Week as follows: *Note: When percent change is greater than 100%, the value of this field will be '100+' in character format.</p>

OBJECTIVES OF THIS CHAPTER

The objectives of this chapter are to give information about:

- The Security Positions Listing function
- Information record formats

THE OSOLPR FUNCTIONS

The Security Position Listings (OSOLPR) function provides users with DTC Security Position Listings information. The OSOLPR Service is available in two forms:

Regular Subscription SPLs, supplied on a daily, end-of-week, end-of-month or dividend-record-date cycle basis.

Specials, provided on request, either as required, or scheduled on a daily, weekly, monthly, or quarterly cycle for a specific period.

Availability of OSOLPR

OSOLPR is normally available from 7:00 a.m. until 4:30 p.m. (Eastern Time).

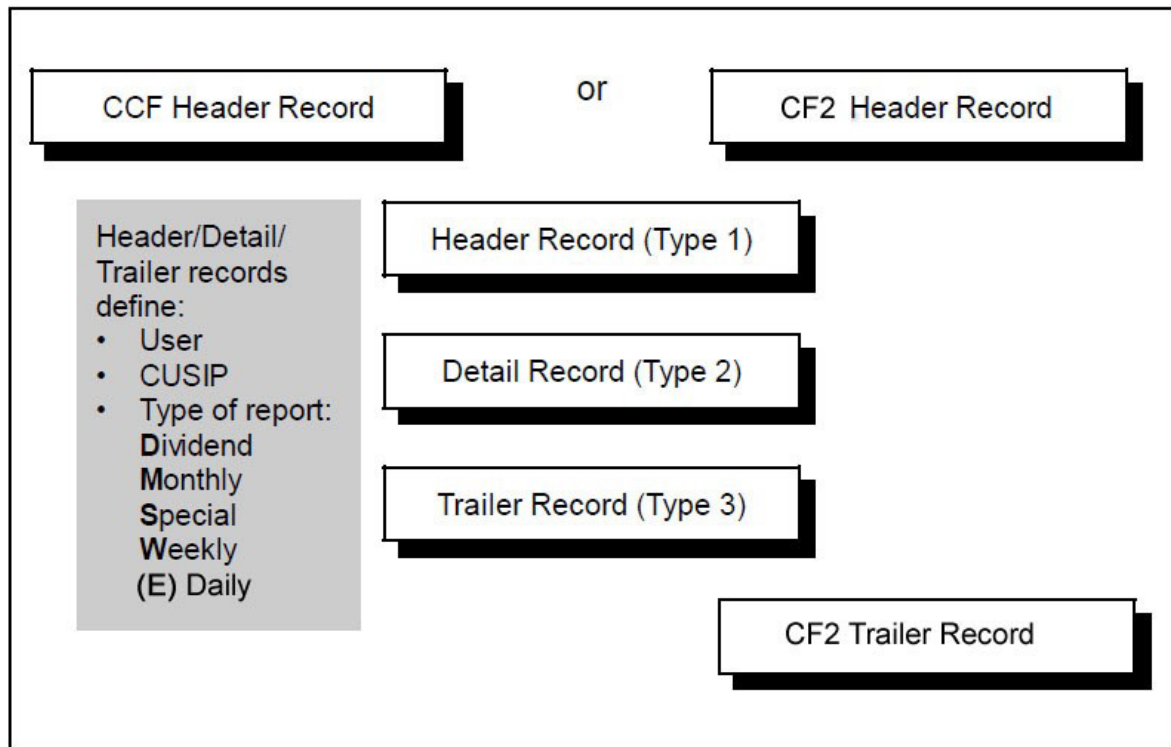
Security Position Listings Sort Sequence

OSOLPR records are sorted on the first 19 bytes. All records for a User (bytes 1–8) are ordered by report type (byte 9) as follows: DIVIDEND (D), DAILY (E), MONTHLY (M), SPECIAL (S), and WEEKLY (W). Each report type is listed in CUSIP (bytes 10–18) order, with each CUSIP containing a Header (Type 1) record, one or more Detail (Type 2) records, and ending with a Trailer (Type 3) record. The record type indicators are in position 19.

SECURITY POSITION LISTINGS RECORD REQUEST

A request for Security Position Listings consists of a CCF or CF2 header followed by Header, Detail, and Trailer records that define the kind of information requested. Each request can have one or more Detail records (Type 2), depending on the number of issues for which information is required. Requests sent via CF2 have a final CF2 trailer record.

The structure of a Security Position Listings request is shown below. The structures of individual record types are detailed in the following sections of this document.



Security Position Listings Record Request

HEADER AND TRAILER RECORDS

The CCF Header Record

NDM users executing NDMDTF01, NDMDTFGP, or NDMDTFSP will receive the following CCF Header record.

The CCF header record's format is as follows:

CCF Header Record Format				
Position	Length	Format	Field Name	Field Description
1	6	Character	Data Type Requested	OSOLPR data type name with which this data was requested
7	6	Character	Data Type Created	OSOLPR data type name with which this data was requested
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 CF2 Header and Trailer Records

The CF2 Header and Trailer records come in two different formats; NDM and FTP.

NOTE

The Header and Trailer records are identical except for the first and last field of each record.

NDM – CF2 Header and Trailer Records

NDM users executing NDMDTF02 or NDMDTFGH will receive the following:

CF2 Header and Trailer Record Format - NDM				
Position	Length	Format	Field Name	Field Description
1	3	Character	Record ID	"HDR" or "TRL"
4	4	Character	Signon ID	Signon ID
8	6	Character	Data Type Requested	OSOLPR
14	6	Character	Data Type Created	OSOLPR
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. (0001)
60	???	Character	Filler	DTC use only. Do not use.

FTP - CF2 Header and Trailer Records

FTP users will get the following:

CF2 Header and Trailer Record Format - FTP				
Position	Length	Format	Field Name	Field Description
1	3	Character	Record ID	"HDR" or "TRL"
4	8	Character	Sign-on ID	Sign-on ID
12	6	Character	Data Type Requested	OSOLPR
18	6	Character	Data Type Created	OSOLPR
24	8	Character	Creation Date	Data Creation Date (MM/DD/YY)
32	8	Character	Spool Date	Data Load Date (MM/DD/YY)
40	8	Character	Load Time	Data Load Time (HH:MM:SS)
48	4	Numeric	Record Length	Record Length of data requested
52	8	Numeric	Record Count	Number of data records in file.
60	4	Numeric	80-Byte Record Count	Number of 80-byte records per data type requested. (0001)
64	???	Character	Filler	DTC use only. Do not use.

OSOLPR FUNCTION RECORD LAYOUTS

The following subsections give details of the formats required for the various OSOLPR records.

Dividend Record

a. Dividend Header Record

Position	Length	Format	Field Name	Field Description
1	8	Character	User ID	User ID
9	1	Character	Report Type	D
10	9	Character	CUSIP Number	9-character identifier assigned to the required security
19	1	Character	Record Type	1
20	6	Character	As-Of Date	yymmdd
26	48	Character	CUSIP Description	Security description as defined on DTC Master File
74	6	Character	Record Date	yymmdd
80	6	Character	Payable Date	yymmdd
86	24	Character	Activity Type	Activity type
110	11	Numeric	Stock Rate	9(5)V9(6)
121	11	Numeric	Cash Rate	9(5)V9(6)
132	48	Character	Spin-off Description	Security description as defined on DTC Master Table

b. Dividend Detail Records

Position	Length	Format	Field Name	Field Description
1	8	Character	User ID	User ID
9	1	Character	Report Type	D
10	9	Character	CUSIP Number	9-character identifier assigned to the required security
19	1	Character	Record Type	2
20	8	Character	Participant Number	Participant Number
28	10	Character	Participant Name	Participant Name
38	13	Numeric	Shares Face Value	Total face value of shares
51	1	Character	Sign for Total Shares Face Value	blank positive (default) – (minus) negative
52	128	Character	Filler	DTC use only; do not use.

c. Dividend Trailer Record

Position	Length	Format	Field Name	Field Description
1	8	Character	User ID	User ID
9	1	Character	Report Type	D
10	9	Character	CUSIP Number	9-character identifier assigned to the required security
19	1	Character	Record Type	3
20	13	Numeric	Total Shares Face Value	Total face value of shares
33	1	Character	Sign for Total Shares Face Value	blank positive (default) – (minus) negative
34	146	Character	Filler	DTC use only; do not use.

Monthly Record

a. Monthly Header Record

Position	Length	Format	Field Name	Field Description
1	8	Character	User ID	User ID
9	1	Character	Report Type	M
10	9	Character	CUSIP Number	9-character identifier assigned to the required security
19	1	Character	Record Type	1
20	6	Character	As-Of Date	yymmdd
26	48	Character	CUSIP Description	Security description as defined on the DTC Master Table
74	106	Character	Filler	DTC use only; do not use.

b. Monthly Detail Record

Position	Length	Format	Field Name	Field Description
1	8	Character	User ID	User ID
9	1	Character	Report Type	M
10	9	Character	CUSIP Number	9-character identifier assigned to the required security
19	1	Character	Record Type	2
20	6	Numeric	As of Date	Current Date (YYMMDD format)
26	8	Character	Participant Number	Participant Number
34	10	Character	Participant Name	Participant Name
41	13	Numeric	Shares Face Value	Total face value of shares
57	1	Character	Sign for Total Shares Face Value	blank positive (default) – (minus) negative
58	122	Character	Filler	DTC use only; do not use.

c. Monthly Trailer Record

Position	Length	Format	Field Name	Field Description
1	8	Character	User ID	User ID
9	1	Character	Report Type	M
10	9	Character	CUSIP Number	9-character identifier assigned to the required security
19	1	Character	Record Type	3
20	6	Numeric	As of Date	Current Date (YYMMDD format)
26	13	Numeric	Total Shares Face Value	Total face value of shares
39	1	Character	Sign for Total Shares Face Value	blank positive (default) – (minus) negative
40	5	Numeric	Total Value	
45	135	Character	Filler	DTC use only; do not use.

Special Header Record

a. Special Header Record

Position	Length	Format	Field Name	Field Description
1	8	Character	User ID	User ID
9	1	Character	Report Type	S
10	9	Character	CUSIP Number	9-character identifier assigned to the required security
19	1	Character	Record Type	1
20	6	Character	As Of Date	yymmdd
26	48	Character	CUSIP Description	Security description as defined on the DTC Master Table
74	106	Character	Filler	DTC use only; do not use.

b. Special Detail Records

Position	Length	Format	Field Name	Field Description
1	8	Character	User ID	User ID
9	1	Character	Report Type	S
10	9	Character	CUSIP Number	9-character identifier assigned to the required security
19	1	Character	Record Type	2
20	8	Character	Participant Number	Participant Number
28	10	Character	Participant Name	Participant Name
38	13	Numeric	Shares Face Value	Total face value of shares
51	1	Character	Sign for Total Shares Face Value	blank positive (default) – (minus) negative
52	128	Character	Filler	DTC use only; do not use.

c. Special Trailer Record

Position	Length	Format	Field Name	Field Description
1	8	Character	User ID	User ID
9	1	Character	Report Type	S
10	9	Character	CUSIP Number	9-character identifier assigned to the required security
19	1	Character	Record Type	3
20	13	Numeric	Total Shares Face Value	Total face value of shares
33	1	Character	Sign for Total Shares Face Value	blank positive (default) – (minus) negative
34	5	Numeric	Total Participants	Total number of Participants
39	141	Character	Filler	DTC use only; do not use.

Weekly Record

a. Weekly Header Record

Position	Length	Format	Field Name	Field Description
1	8	Character	User ID	User ID
9	1	Character	Report Type	W
10	9	Character	CUSIP Number	9-character identifier assigned to the required security
19	1	Character	Record Type	1
20	6	Character	As Of Date	yymmdd
26	48	Character	CUSIP Description	Security description as defined on the DTC Master Table
74	106	Character	Filler	DTC use only; do not use.

b. Weekly Detail Records

Position	Length	Format	Field Name	Field Description
1	8	Character	User ID	User ID
9	1	Character	Report Type	W
10	9	Character	CUSIP Number	9-character identifier assigned to the required security
19	1	Character	Record Type	2
20	8	Character	Participant Number	Participant Number
28	10	Character	Participant Name	Participant Name
38	13	Numeric	Shares Face Value (SBW)	Shares face value balance at start of business week, in units of 1
51	1	Character	Sign for Shares Face Value (SBW)	blank positive (default) – (minus) negative
52*	13	Numeric	Shares Face Value (COB Mon)	Shares face value balance at close of Monday's business, in units of 1 *Note: On holidays, the value of this field will be 'HOLIDAY' in character format.

Position	Length	Format	Field Name	Field Description
65	1	Character	Sign for Shares Face Value (COB Mon)	blank positive (default) – (minus) negative
66*	13	Numeric	Shares Face Value (COB Tue)	Shares face value at close of Tuesday's business, in units of 1 *Note: On holidays, the value of this field will be 'HOLIDAY' in character format.
79	1	Character	Sign for Shares Face Value (COB Tue)	blank positive (default) – (minus) negative
80*	13	Numeric	Shares Face Value (COB Wed)	Shares face value balance at close of Wednesday's business, in units of 1 *Note: On holidays, the value of this field will be 'HOLIDAY' in character format.
93	1	Character	Sign for Shares Face Value (COB Wed)	blank positive (default) – (minus) negative
94*	13	Numeric	Shares Face Value (COB Thu)	Shares face value balance at close of Thursday's business, in units of 1 *Note: On holidays, the value of this field will be 'HOLIDAY' in character format.
107	1	Character	Sign for Shares Face Value (COB Thu)	blank positive (default) – (minus) negative
108*	13	Numeric	Shares Face Value (COB Fri)	Shares face value balance at close of Friday's business, in units of 1 *Note: On holidays, the value of this field will be 'HOLIDAY' in character format.
121	1	Character	Sign for Shares Face Value (COB Fri)	blank positive (default) – (minus) negative
122	13	Numeric	Shares Face Value (Change)	Shares face value change for the week, in units of 1
135	1	Character	Sign for Shares Face Value (Change)	blank positive (default) – (minus) negative
136*	4	Numeric	Percent Change for Week	9(3)V9 percent shares changed for week *Note: When percent change is greater than 100%, the value of this field will be '100+' in character format.
140	1	Character	Sign for Percent Change for Week	blank positive (default) – (minus) negative
141	39	Character	Filler	DTC use only; do not use.

c. Weekly Trailer Record

Position	Length	Format	Field Name	Field Description
1	8	Character	User ID	User ID
9	1	Character	Report Type	W
10	9	Character	CUSIP Number	9-character identifier assigned to the required security
19	1	Character	Record Type	3
20	13	Numeric	Total Shares (SBW)	Total shares at start of business week
33	1	Character	Sign for Total Shares (SBW)	blank positive (default) – (minus) negative
34	13	Numeric	Total Shares (COB Mon)	Total shares at close of Monday's business
47	1	Character	Sign for Total Shares (COB Mon)	blank positive (default) – (minus) negative
48	13	Numeric	Total Shares (COB Tue)	Total shares at close of Tuesday's business
61	1	Character	Sign for Total Shares (COB Tue)	blank positive (default) – (minus) negative
62	13	Numeric	Total Shares (COB Wed)	Total shares at close of Wednesday's business
75	1	Character	Sign for Total Shares (COB Wed)	blank positive (default) – (minus) negative
76	13	Numeric	Total Shares (COB Thu)	Total shares at close of Thursday's business
89	1	Character	Sign for Total Shares (COB Thu)	blank positive (default) – (minus) negative
90	13	Numeric	Total Shares (COB Fri)	Total shares at close of Friday's business
103	1	Character	Sign for Total Shares (COB Fri)	blank positive (default) – (minus) negative
104	13	Numeric	Total Shares Change	Total shares changed for week

Position	Length	Format	Field Name	Field Description
117	1	Character	Sign for Total Shares Change	Sign for above: blank positive (default) – (minus) negative
118	4	Numeric	Percent Shares Change	9(3)V9 total percent shares changed for week
122	1	Character	Sign for Percent Shares Change	blank positive (default) – (minus) negative
123	57	Character	Filler	DTC use only; do not use.

Daily Record

a. Daily Header Record

Position	Length	Format	Field Name	Field Description
1	8	Character	User ID	User ID
9	1	Character	Report Type	E
10	9	Character	CUSIP Number	9-character identifier assigned to the required security
19	1	Character	Record Type	1
20	6	Character	As-Of Date	yymmdd
26	48	Character	CUSIP Description	Security description as defined on DTC Master File
74	106	Character	Filler	DTC use only; do not use.

b. Daily Detail Records

Position	Length	Format	Field Name	Field Description
1	8	Character	User ID	User ID
9	1	Character	Report Type	E
10	9	Character	CUSIP Number	9-character identifier assigned to the required security
19	1	Character	Record Type	2
20	8	Character	Participant Number	Participant Number
28	10	Character	Participant Name	Participant Name
38	11	Numeric	Shares Face Value	Total face value of shares
49	1	Character	Sign for Total Shares Face Value	blank positive (default) – (minus) negative
50	124	Character	Filler	DTC use only; do not use.

c. Daily Trailer Record

Position	Length	Format	Field Name	Field Description
1	8	Character	User ID	User ID
9	1	Character	Report Type	E
10	9	Character	CUSIP Number	9-character identifier assigned to the required security
19	1	Character	Record Type	3
20	13	Numeric	Total Shares Face Value	Total face value of shares
33	1	Character	Sign for Total Shares Face Value	blank positive (default) – (minus) negative
34	140	Character	Filler	DTC use only; do not use.

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