# Asset Services

## 14.01 OCMOPA: FUNCTION USER'S GUIDE

AUGUST 01, 2023

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# THE OCMOPA FUNCTION

## Overview

This document describes the OCMOPA function used for transmission of DTC Change In Mode of Payment. Function OCMOPA was previously known as CMOPTA.

A CCF User may utilize the OCMOPA function in order to receive DTC Change In Mode Of Payment information.

In general, the Change In Mode of Payment (CMOP) Service enables DTC Participants to change by book-entry the frequency (mode) of future dividend payments to them on certain DTC-eligible securities. These securities permit investors to change from time to time, usually semi-annually, the frequency with which they receive dividend payments: monthly, quarterly, semi-annually, annually or another regular frequency. Included in these securities are Unit Investment Trust (UIT) and Remarketed Preferred (RP) issues.

Participant CMOP instructions in qualifying issues are communicated to DTC by automated means through DTC's Participant Terminal System (PTS). After making the changes in both the Participant's account and the FAST balances on its books, DTC transmits them to the FAST transfer agent via DTC's Computer-to-Computer Facility (CCF).

When using the OCMOPA function, the CCF User will receive a series of machine- readable records. Each record corresponds to a transaction to decrease and increase the FAST balances at the Transfer Agent(s).

## Availability of OCMOPA

OCMOPA will generally be available from 6:00 p.m. until 2:00 p.m. (Eastern Time) the following day.

# TRANSMISSION HEADER RECORDS

## The CCF Header Record

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

**Note:**

NDM Users executing NDMDTF01, and RJE 3770 Users executing RJESDTF2, will receive the CCF Header Record below.

The CCF Header Record’s format is as follows:

| CCF Header Record | | | | |
|---|---|---|---|---|
| **Position** | **Length** | **Format** | **Field Name** | **Field Contents** |
| 1 | 6 | Character | Data Type Requested | Value OCMOPA. |
| 7 | 6 | Character | Data Type Created | Value OCMOPA. |
| 13 | 8 | Character | Creation Date | Date of data (MM/DD/YY). |
| 21 | 8 | Character | Spool Date | DTC data load date (MM/DD/YY). |
| 29 | 8 | Character | Load Time | DTC data load time (HH:MM:SS). |
| 37 | 2 | Binary | Record Size | Size of each data record. |
| 39 | 4 | Binary | Block Count | Number of data blocks input to CCFDTFDB. |
| 43 | 4 | Binary | Record Count | Number of data records. |
| 47 | ??? | Character | Filler | DTC use only; do not use. |

## The CCF-II Header and Trailer Records

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

| CCF-II Header and Trailer Record | | | | |
|---|---|---|---|---|
| **Position** | **Length** | **Format** | **Field Name** | **Field Contents** |
| 1 | 3 | Character | Record Identifier | Record ID HDR or TLR. |
| 4 | 4 | Character | SIGNON ID | Signon ID. |
| 8 | 6 | Character | Data Type Requested | Value OCMOPA. |
| 14 | 6 | Character | Data Type Created | Value OCMOPA. |
| 20 | 8 | Character | Creation Date | Data Creation Date (MM/DD/YY). |

| CCF-II Header and Trailer Record | | | | |
|---|---|---|---|---|
| **Position** | **Length** | **Format** | **Field Name** | **Field Contents** |
| 28 | 8 | Character | Spool Date | Data Load Date (MM/DD/YY). |
| 36 | 8 | Character | Load Time | Data Load Time (HH:MM:SS). |
| 44 | 4 | Numeric | Record Length | Record Length of data requested. |
| 48 | 8 | Numeric | Record Count | Number of data records in file. |
| 56 | 4 | Numeric | 80-Byte Record Count | Number of 80-byte records per data type requested. |
| 60 | 15 | Character | Filler | DTC use only; do not use. |
| 75 | 6 | Numeric | Sequence Number | Numbering Sequence. Used as a data integrity check.<br>HDR ===> 000000<br>TLR ===> 999999 |

# FUNCTION RECORD LAYOUT

## OCMOPA Detail Record

| OCMOPA Detail Record | | | | |
|---|---|---|---|---|
| **Position** | **Length** | **Format** | **Field Name** | **Field Contents** |
| 1 | 4 | Character | Transfer Agent Number | The 4-byte Transfer Agent assigned by DTC. |
| 5 | 9 | Character | CUSIP Number | The unique nine-character identification number assigned to the security being DECREASED. |
| 14 | 13 | Numeric signed | Position Decrease | Amount by which the CUSIP in positions 5-13 is being DECREASED, in units of 1. A NEGATIVE NUMBER. |
| 27 | 9 | Character | CUSIP Number | The unique nine character identification number assigned to the security being INCREASED. |
| 36 | 13 | Numeric signed | Position Increase | Amount by which the CUSIP in positions 27-35 is being INCREASED, in units of 1. A POSITIVE NUMBER. |
| 49 | 4 | Character | Participant Number | |
| 53 | 8 | Character | DTC Expanded Transfer Agent Number | Right aligned with leading zeroes. |
| 61 | 5 | Numeric | Fractional Quantity Decreased | |
| 66 | 5 | Numeric | Fractional Quantity Increased | |

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