



Securities Processing

17.06 AIMBIN: CUSTODY CUSIP CERTIFICATE BATCH INQUIRY OUTPUT - NEXT DAY REPLY FUNCTION USER'S GUIDE

AUGUST 03, 2023

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DOCUMENT HISTORY

Added the word "CUSIP" to the cover page. Description of Service: "CUSTODY CUSIP CERTIFICATE BATCH INQUIRY OUTPUT FOR NEXT-DAY REPLY". Custody CUSIP Certificate Batch Inquiry Output for Next Day Reply: Made changes to positions, 57, 73, 88, 95, 135, 143, 146, 186, 187, 188, 196 and 407.

07/23: The document was reformatted to the latest template.

INTRODUCTION

In support of the DTC Custody Service, the Participant may use the AIMBIN Function to pick up the Next Day Custody Certificate Batch Inquiry reply file. This file will contain the Detail Certificate/ Registration data records for each inquiry input by the Participant on a prior business day along with a Trailer Record for every query.

Description of Service

As described in the *Participant Custody Processing - Custody CUSIP Certificate Batch Inquiry INPUT Next-Day Reply* document, DTC will data capture the input inquiry requests. A scheduled job will run to process the inputted inquiries. As a result, Detail Certificate/Registration records will be generated and written to a consolidated output file per Participant. Also, a "99" trailer record with total record count (including itself) will be written to the end of this file. The Participant may then come into DTC to retrieve their file. If no data was found for the query, the Participant will receive an inquiry error record with a "?" filled in the Feedback Indicator field (Field 1 of the Transaction Header Section) and "90" filled in the Application Rec Type field. The Part ID, CUSIP, and As-of-date fields will contain their original values, and the rest of the fields in the record will be initialized to their default values depending on the data type. The output file will be available start of next business day.

Users who communicate with DTC via CCF-II (NDM, RJE or SNA/ RJE) should read the appropriate CCF-II System User Guide. Users who communicate with DTC via CCFUSER software should read the CCF User Guide before reading this document.

PARTICIPANT CUSTODY PROCESSING

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. The CCF Header Record's format is as follows:

Note:

NDM Users executing NDMDTF01, and RJE 3770 Users executing RJE SDTF2, will receive the following CCF Header Record:

The CCF Header Record				
Position	Length	Format	Field Name	Field Description
1	6	Character	Data Type Requested	Value AIMBIN.
7	6	Character	Data Type Created	Value AIMBIN.
13	8	Character	Date of Data	Format MM/DD/YY.
21	8	Character	DTC Load Date	DTC data load date. Format MM/DD/YY.
29	8	Character	DTC Load Time	Format HH:MM:SS.
37	2	Binary	Record Size	Size of each data record.
39	4	Binary	Input Block Count	Number of data blocks input to CCFDTFDB.
43	4	Binary	Record Count	Number of data records.
47	244	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.

The CCF-II Header and Trailer Records				
Position	Length	Format	Field Name	Field Description
1	3	Character	Record ID	HDR or TLR.
4	4	Character	Signon ID	Signon ID.
8	6	Character	Data Type Requested	Value AIMBIN.
14	6	Character	Data Type Created	Value AIMBIN.
20	8	Character	Creation Date	Data Creation Date (MM/DD/YY).

The CCF-II Header and Trailer Records				
Position	Length	Format	Field Name	Field Description
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. Must be initialized to zeroes.
75	6	Numeric	Sequence Number	Numbering Sequence. Used as a data integrity check. HDR ==> 000000 TLR ==> 999999

Transaction Record Header

Transaction Header (1 of 1)				
Position	Length	Format	Field Name	Field Description
1	1	Character	Feedback Indicator	Used to indicate if any errors were encountered during processing. This field contains: " " - (Blank) on input "?" - to indicate when this request is returned with error(s) and cannot be processed by DTC. "*" - To indicate valid output response.
2	1	Character	Production/ Test Indicator	Used to indicate whether the transaction is to be processed in the Test or Production environment. This is a required field. T = Test P = Production
3	6	Character	Record Type	Used to indicate the type of data to be processed - refer to the individual application User Guide for the record name. This is a required field. AIMBIN = Next Day Batch Inquiry Reply.
9	2	Numeric	Record Suffix	Used to indicate the Record #on a single and multiple data records within a transaction. Default is 01 in this application.
11	2	Numeric	Version Number	Used to indicate which version (Latest or Previous format) the data is in. Default is 01.

Transaction Header (1 of 1)				
Position	Length	Format	Field Name	Field Description
13	6	Character	User Reference Number	Used by transmitting party to uniquely identify the transaction (optional). N/A to this application. Spaces in output record.
19	8	Character	Addressee	The entity on behalf of whom the transaction is processed. Right aligned; left zero filled.

Custody CUSIP Certificate Batch Inquiry Output for Next Day Reply

Custody CUSIP Certificate Batch Inquiry Output for Next Day Reply (1 of 3)				
Position	Length	Format	Field Name	Field Description
27	2	Character	Application Record Type	"01" - Output Certificate/ Registration record. "90" - Inquiry Error record.
29	8	Character	Requesting Part Id	Requesting Participant ID.
37	8	Character	As Of Date	Inquiry close-of-business As-of-Date (ccyymmdd).
45	12	Character	CUSIP ID	International CUSIP ID. Format = (00 1-9 S&P CUSIP 0).
57	16	Character	Custody Control ID	Control Number between Participant and DTC; agreed upon by BDS consisting of date/branch ID/branch sequence number.
73	12	Character	Certificate ID	Unique Certificate ID (Right aligned with leading Zero).
85	3	Character	Certificate Sequence ID	Unique Cert Sequence Number (Right aligned Zero filled).
88	7	Character	Participant SEG Serial ID	Serial (box) account number of Participant's Seg (22) account (Right aligned with leading Zero)
95	20	Character	Participant Customer Account ID	Participant's Internal Customer Account Number (Left aligned space filled).
115	13	Numeric	Quantity Whole Shares	Whole Shares (Right aligned with leading zero).
128	7	Numeric	Quantity Frac Shares	Fractional Shares (Left aligned zero filled).
135	8	Character	Certificate Issuance Date	Issuance date on the certificate (ccyymmdd). Spaces if not known.
143	1	Character	Certificate Negotiability Indicator	Indicates certificates negotiability: "Y" = Negotiable "N" = Non-negotiable

Custody CUSIP Certificate Batch Inquiry Output for Next Day Reply (1 of 3)

Position	Length	Format	Field Name	Field Description
144	1	Character	Filler	DTC use only. Must be initialized to spaces.

Custody CUSIP Certificate Batch Inquiry Output for Next Day Reply (2 of 3)

Position	Length	Format	Field Name	Field Description
145	1	Character	Reg/ Bearer Indicator	"R" = Registered "B" = Bearer.
146	40	Character	Participant Reference ID	Participant assigned free form User reference. (Left aligned space filled).
186	1	Character	Certificate Transferable Indicator	Transferability Indicator: "Y" = Transferable "N" = Non-transferable
187	1	Character	Certificate Restricted Indicator	"1" = Restricted "0" = Non-restricted
188	8	Character	Restricted Expiration Date	Certificate restriction expiration date (ccymmdd). Zeros if not restricted or not known.
196	1	Character	Certificate Registration Type	Indicates Type of registration "C" = Customer "T" = Third party "F" = Firm "B" = Firm/customer " " = Not known/Applicable.
197	35	Character	Registration Line 1	Certificate Registration (Left aligned space filled).
232	35	Character	Registration Line 2	Certificate Registration (Left aligned space filled).
267	35	Character	Registration Line 3	Certificate Registration (Left aligned space filled).
302	35	Character	Registration Line 4	Certificate Registration (Left aligned space filled).
337	35	Character	Registration Line 5	Certificate Registration (Left aligned space filled).
372	35	Character	Registration Line 6	Certificate Registration (Left aligned space filled).

Custody CUSIP Certificate Batch Inquiry Output for Next Day Reply (3 of 3)				
Position	Length	Format	Field Name	Field Description
407	1	Character	Certificate Status	"M" = Missing "L" = Lost " " = Vaulted
408	12	Character	Micro/Image ID	Image Stamp ID (Left aligned space filled).
420	31	Character	Filler	DTC use only. Must be initialized to spaces.

Custody CUSIP Certificate Batch Inquiry Output Trailer Record

Custody CUSIP Certificate Batch Inquiry Output Trailer Record				
Position	Length	Format	Field Name	Field Description
27	2	Character	Application Record Type	"99" = Trailer Record.
29	8	Character	Participant ID	Requesting Participant number.
37	7	Numeric	Total Records	The total number of records for this Participant. (Right aligned zero filled). Count includes Trailer Record.
44	407	Character	Filler	DTC use only. Must be initialized to spaces.

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