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# Securities Processing

## 17.13 CUSTODY-END-OF-DAY CERTIFICATE CHANGE FILE OUTPUT (AIMCCI): VERSION 01, RELEASE 01

AUGUST 25, 2023

# TABLE OF CONTENTS

<b>Document History .....</b>	<b>3</b>
<b>Objectives of This Chapter.....</b>	<b>4</b>
<b>AIMCCI Overview.....</b>	<b>5</b>
Transmission Mode.....	5
<b>Record Formats.....</b>	<b>6</b>
CCF Header Record .....	6
CCF-II Header and Trailer Records.....	7
Transaction Header .....	8
Custody Daily Certificate Change File .....	9

# DOCUMENT HISTORY

**8/99** - Custody Daily Certificate Change File: Made changes to positions 117, 145 and 205.

**8/23** - Document reformatted to fit the current template.

## OBJECTIVES OF THIS CHAPTER

The objectives of this chapter are to:

- Describe Custody Certificate Change file (AIMCCI) function
- Provide formats for required data records.

# AIMCCI OVERVIEW

At the end of every day, the DTC AIM/Custody system generates a Custody Certificate Change file. For each Participant, this file contains all the certificate activity for the day for the certificates that DTC is, or was, holding in custody. This Custody Activity Record, plus or minus, is generated for a variety of reasons, including, but not limited to, the following:

- BDS custody deposit;
- Physical withdrawals from custody;
- Withdrawal from custody and deposit into Participant 10 (free) account;
- Withdrawal and transfer for custody services;
- Box-to-box moves within custody;
- Document Deposits into custody.

Participants can retrieve their file every day to update their own files, to generate a Custody Certificate activity report for their own internal Users, or to update and balance stock records.

This document contains the record layout of the Custody End-of-Day Certificate Change file.

## Transmission Mode

The Custody End-of-Day Certificate Change file is offered via the CCF or CCF-II data transmission Facility, under the function name AIMCCI.

# RECORD FORMATS

## CCF Header Record

The first record on the function file is a Header Record when HEADER=YES is specified as a CCFDTFDB parameter. The Header Record, shown below, 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.

Transaction Record Header Format				
Position	Length	Format	Field Name	Description
1	6	Character	Data Type Requested	AIMCCI.
7	6	Character	Data Type Created	AIMCCI.
13	8	Character	Creation Date	<i>mm/dd/yy.</i>
21	8	Character	Load Date	<i>mm/dd/yy.</i>
29	8	Character	Load Time	<i>hh:mm:ss.</i>
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	244	Character	Filler	DTC use only; do not use.

## CCF-II Header and Trailer Records

The format of each CCF-II Header and Trailer Record is described below.

**Note:**

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

CCF-II Header and Trailer Record–Format				
Position	Length	Format	Field Name	Field Description
1	3	Character	Record Identifier	HDR or TLR.
4	4	Character	Signon ID	Signon ID.
8	6	Character	Data Type Requested	AIMCCI.
14	6	Character	Data Type Created	AIMCCI.
20	8	Character	Creation Date	<i>mm/dd/yy.</i>
28	8	Character	Load Date	<i>mm/dd/yy.</i>
36	8	Character	Load Time	<i>hh:mm:ss.</i>
44	4	Numeric	Record Length	Record length of data requested.
48	8	Numeric	Record Count	Number of 80-byte 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	Used as a data integrity check. HDR 000000 TLR 999999

## Transaction Header

The 26-byte Transaction Header, shown below, is prefixed to every Certificate Change Detail Information Record.

Standard Transaction Header–Format				
Position	Length	Format	Field Name	Description
1	1	Character	Feedback Indicator	* (asterisk)
2	1	Character	Production/Test Indicator	T = Test P = Production.
3	6	Character	Record Type	AIMCCI
9	2	Numeric	Record Suffix	01 Certificate Change Detail
11	2	Numeric	Version Number	<i>nn</i> version number that defines the record format; this number is incremented by DTC as fields are added or deleted; see the cover of this document for current version number.
13	6	Character	User Reference Number	For future use.
18	8	Character	Addressee	<i>nnnnnnnn</i> 8-digit identifier of the entity on whose behalf the transaction is being processed; right aligned, zero filled. <i>Mnnnnnnn</i> 8-character identifier for non-numeric addressee; right aligned, zero filled.

## Custody Daily Certificate Change File

Custody Daily Certificate Change File–Format (Page 1 of 2)				
Position	Length	Format	Field Name	Description
27	2	Character	Record ID	01 Certificate Change Detail Record
29	8	Character	Participant ID	8-character Participant identifier; right aligned, zero filled.
37	2	Character	SEC Country Code	00 (Zero filled) international security prefix.
39	9	Character	CUSIP	9-character issue identifier.
48	1	Character	SEC Check Digit	0 (Zero filled) international check digit.
49	1	Character	Issue Type	1 Equity 5 Corporate Bond 7 Municipal Bond
50	1	Character	Certificate Action Indicator	+ Add – Delete
51	7	Character	DTC Processing Sequence Number	Ascending number in the order DTC processed the activity records for all Participants.
58	12	Character	Certificate ID	Certificate number; right aligned, zero filled.
70	3	Character	Certificate Sequence ID	Certificate sequence number; right aligned, zero filled.
73	1	Character	Registered/Bearer Indicator	R Registered B Bearer
74	20	Character	DTC CUSIP Description	DTC security description; left aligned, space filled.
94	16	Character	Custody Control ID	Control number between Participant and DTC; agreed upon by BDS; consisting of date/branch ID/branch sequence number.
110	7	Character	Participant SEG Serial ID	Serial (box) account number of Participant's Seg (22) account.
117	20	Character	Participant Customer Account ID	Participant's internal customer account number; left aligned, space filled.
137	8	Numeric	Certificate Issuance Date	<i>ccyyymmdd</i> Issuance date on the certificate.
145	10	Character	Certificate Custody ID	DTC custody-ID deposit number.

Custody Daily Certificate Change File–Format (Page 2 of 2)				
Position	Length	Format	Field Name	Description
155	8	Numeric	Last Activity Date	<i>ccyymmdd</i> Last date of activity on the certificate.
163	8	Numeric	Original DTC Date	<i>ccyymmdd</i> Date when the certificate was first received in DTC.
171	13	Numeric	Certificate Whole Shares	Number of whole shares on the certificate; right aligned, zero filled.
184	7	Numeric	Certificate Fractional Shares	Number of fractional shares on the certificate; right justified, zero filled.
191	1	Character	Certificate Negotiable Indicator	N Non-negotiable. Y Negotiable.
192	1	Character	Certificate Restricted Indicator	0 Non-restricted. 1 Restricted.
193	8	Character	Restricted Expiration Date	<i>ccyymmdd</i> Expiration date of restriction, if Certificate Restricted Indicator = 1. Spaces If Certificate Restricted Indicator = 0.
201	1	Character	Certificate Transferable Indicator	Y Transferable. N Not Transferable.
202	1	Character	Certificate Document Indicator	Y Document exists. N No document exists.
203	1	Character	Certificate Registration Type	Type of certificate holder: F Firm C Customer B Firm/customer T Third party Blank Not available
204	1	Character	Journal Processing Indicator	Indicator of whether the entry was original or journal: O Original. J Journal.
205	40	Character	Participant Reference ID	Participant-assigned free form User reference.
245	46	Character	Filler	DTC use only; do not use.

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## For More Information

Email DTCC Learning at:

[DTCCLearning@dtcc.com](mailto:DTCCLearning@dtcc.com)

or visit us on the web at:

[www.dtccllearning.com](http://www.dtccllearning.com)

