



Securities Processing

17.14 CUSTODY CERTIFICATE DETAIL POSITION FILE OUTPUT (AIMCDI): VERSION 03, RELEASE 01

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DOCUMENT HISTORY

- 08/01/99 Custody Certificate Detail Position File- Removed the phrase “assigned to Reference ID (position 205)” from positions 117 and 145.
- 06/01/00 Modified Custody Certificate Detail Position File. Change positions 201 to Certificate Transferability Indicator, Certificate Transferability Indicator and 202 to filler. Added positions 206 as Filler, 214 as Custody Eligibility Indicator and position/length 215 - 37 as Filler.
- 01/01/03 Modified position 205 through the end of the record.
- 11/01/07 Modified Custody Certificate Detail Position File. Extended the file length to 600 bytes to include the Certificate Registration information field starting position 301 – 210 bytes and Filler starting position 511 – 90 bytes.
- 12/19/14 The following changes were made to bring the existing document up to current standards.
- Revised CCF Header Record description.
 - Removed references to CCRDTFDB and added NDMDTFGP and NDMDTFSP.
 - Revised CF2 Header and Trailer Records Changed CCF-II references to read CF2.
 - Identified existing CF2 HDR and TRL Record Format as NDM specific. Corrected “TLR” in Field Description (position 1) to read “TRL”.
 - Added (0001) to Field Description (position 56). Expanded Filler (position 60) from 15 to ???
 - Removed Sequence Number field (position 75).
 - Added FTP specific CF2 Header and Trailer Record Format.
- 07/01/16 Corrected the starting/ending position of the Certificate Registration information from 301 to 291 – on account of a filler of 10 characters being erroneously added to the previous filler field in position 254 (changed from 47 to 37 characters).
- 09/19/23 Reformatted document to fit the current template.

OBJECTIVES OF THIS CHAPTER

The objectives of this chapter are to:

- Describe Custody Certificate Detail Position File (AIMCDI) function;
- Provide formats for required data records.

AIMCDI OVERVIEW

As part of DTC's custody service, the DTC AIM/Custody system generates a Custody Certificate Detail Position file. This file contains close-of-business information for each requesting Participant. Inside this file, there is one record created for each certificate, together with corresponding information that DTC holds in its Custody vault for the requesting Participant. Participants may want to retrieve this file after the completion of the AIM/Custody end-of-day process and reconcile their internal Custody systems to DTC's Custody position.

This document contains the record layout of the Custody Certificate Detail Position file.

Transmission Mode

The Custody Certificate Detail Position file is offered via CF2 (NDM and FTP), under the function name AIMCDI. Dependent upon the process used, files will contain a CCF Header record followed by AIMCDI Detail records, or CF2 header and Trailer records separated by the Detail records.

The formats for the CCF header record, CF2 header and Trailer records, and the Detail records are described in the following sections.

HEADER AND TRAILER RECORDS

The CCF Header Record

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

Position	Length	Format	Field Name	Field Description
1	6	Character	Data Type Requested	AIMCDI.
7	6	Character	Data Type Created	AIMCDI.
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:

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	AIMCDI.
14	6	Character	Data Type Created	AIMCDI.
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:

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	AIMCDI.
18	6	Character	Data Type Created	AIMCDI.
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.

RECORD FORMATS

Transaction Header

The 26-byte transaction header, shown below, is prefixed to every Certificate Detail Position Information Record.

Position	Length	Format	Field Name	Field Description
1	1	Character	Feedback Indicator	* (asterisk) to indicate an output message in the new format
2	1	Character	Production/ Test Indicator	T = test P = production
3	6	Character	Record Type	AIMCDI = certificate detail records.
9	2	Numeric	Record Suffix	01 Certificate Detail information. Indicates the record number on a single and multiple data record within a transaction. Default is 01 in this application.
11	2	Numeric	Version Number	03 - 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	Spaces
19	8	Character	Addressee	nnnnnnnn 8-digit identifier of the entity on whose behalf the transaction is being processed; right aligned, zero filled. Mnnnnnnn8 - character identifier for non- numeric addressee; right aligned, zero filled.

Custody Certificate Detail Position File

Position	Length	Format	Field Name	Field Description
27	2	Character	Record ID	01 = Certificate 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	8	Character	Filler	DTC use only; do not use.
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. Left aligned, zero filled.
110	7	Character	Participant SEG Serial ID	Serial (box) account number of Participant's Seg (22) account. Right aligned, zero filled.
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 Issuance date on the certificate.</i>
145	10	Character	Certificate Custody ID	DTC custody-ID deposit number.
155	8	Numeric	Last Activity Date	<i>ccyyymmdd Last date of activity on the certificate.</i>
163	8	Numeric	Original DTC Date	<i>ccyyymmdd Date when the certificate was first received in DTC.</i>
171	13	Numeric	Certificate Whole Shares	Number of whole shares on the certificate; right aligned, zero filled.

Position	Length	Format	Field Name	Field Description
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. Zero-filled if Certificate Restricted Indicator = 0.
201	1	Character	Certificate Transferability Indicator	N = Non-transferable Y = Transferable
202	1	Character	Filler	DTC use only; do not use.
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	8	Character	Filler	DTC use only; do not use.
253	1	Character	Custody Eligibility Indicator	1= Certificate is not eligible for free account.
254	37	Character	Filler	DTC use only; do not use.
291	210	Character	Certificate Registration	Certificate registration information.
501	100	Character	Filler	DTC use only; do not use.

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