



Securities Processing

17.07 AMT5: CUSTODY CUSIP CERTIFICATE BATCH INQUIRY INPUT - SAME DAY REPLY FUNCTION USER'S GUIDE

AUGUST 03, 2023

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DOCUMENT HISTORY

- 8/99** Added the word "CUSIP" to the cover page. Description of Service: changed "Same Day Custody Certificate Batch Inquiry - Output" to "Custody CUSIP Certificate Batch Inquiry Output - Same Day Reply."
Error Message Description: Added 6 rows to end of table.
- 7/23** The document was reformatted to the latest template.

INTRODUCTION

In supporting the DTC Custody Services, DTC has implemented a CCF/CCF-II Function AMT5 which provides a Participant with the capability to submit a Custody CUSIP Certificate/Registration Inquiry, up to 30 days in the past, into the DTC AIM Certificate Database and get back the information the same day. At the end of day, the reply back will contain all the Certificate/Registration information for a given CUSIP that DTC is holding in Custody, for that Participant, for the requested day.

Upon receiving the inquiry prior to cutoff, DTC will data capture the requests, process them as one batch at cutoff time and generate one consolidated output file per Participant, containing all the Certificate/Registration detail records resulting from the different queries. This document describes the use of this CCF/CCF-II function, the input data structure and the error codes associated with the batch inquiry processing.

Description of Service

When using this function, the Participant will generate and submit, via the CCF/CCF-II file transmission facility, one record per every CUSIP/As-of-Date for every inquiry. Once the request passes the ICM security checking, the participant number, CUSIP number, and the As-of-Date field will be edited (current and future dates will be edited and rejected). Should errors occur in the editing, a 40-byte error message will be generated and passed back to the User. If editing is successful, the record will be data-captured and processed at the scheduled time. Please note, DTC will return the appropriate Certificate/Registration information for those certificates it was holding at the close-of- business of the date contained in the As-of-Date field.

After completion of processing, a consolidated output file containing all the query detail records will be available same day for participant to pick up through the CCF/DTF file transmission protocol. Please see document [Custody CUSIP Certificate Batch Inquiry Output - Same Day Reply](#) for file layout and processing. Participants should familiarize themselves with the DTC document Interface Control Management CCF, CCF-II and MDH User's Guide for transaction input. This ICM document describes standards for transaction processing - using DTC's automated systems. Specifics relating to the operation, error processing and recovery for CCF, CCF-II and MDH transmissions are addressed in the ICM document.

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.

Cutoff Times

The function name and cutoff times associated with this CCF/CCF-II ICM interface are:

CCF - AMT5 - available between 8 a.m. and 12 noon (Eastern Time).

CCF-II-AMT5 - available between 8 a.m. and 12 noon (Eastern Time).

The function will be available every day that DTC is open for business.

CUSTODY CUSIP CERTIFICATE BATCH INQUIRY INPUT FOR SAME-DAY REPLY

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. AIMCBI = Batch Inquiry Input. |
| 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". |
| 13 | 6 | Character | User Reference Number | Used by transmitting party to uniquely identify the transaction (optional). N/A to this application. |
| 19 | 8 | Character | Addressee | The entity on behalf of whom the transaction is processed. Right aligned; left zero filled. |

Input Inquiry Record

| Input Inquiry Record | | | | |
|----------------------|--------|-----------|--------------------|---|
| Position | Length | Format | Field Name | Field Description |
| 27 | 12 | Character | CUSIP ID | Required: International CUSIP ID. Format = (00 1-9 S&P CUSIP 0). |
| 39 | 8 | Numeric | Request As Of Date | Query request As-of-Date (ccyyymmdd). Should contain current date minus 1 to current date minus 29. |
| 47 | 54 | Character | Filler | DTC use only; do not use. |

Error Message Description

| Field Id | Error Code | Field Description | Error Code Description |
|----------|------------|--|----------------------------------|
| AAAB | 9AAA | Transaction Header Record Type | Invalid. |
| AAAB | 9AAN | Transaction Header - Record Type | Not eligible for processing. |
| AAAB | 9ABE | Transaction Header Record Type | Required. |
| AAAH | 9AAL | Transaction Primary Participant | Past Cutoff Time. |
| AAAH | 9AAM | Transaction Primary Participant | Not available. |
| AAAI | 9AAA | Transaction Header - Production/ Test Indicator | Invalid. |
| AAAI | 9ABE | Transaction Header Record Type Test/Prod indicator | Required. |
| AZZZ | IABZ | Transaction data record | Database busy. Please try later. |
| BAAH | 9AAA | Request As-Of Date | Invalid format. |
| BAAH | 9AAE | Request As-Of Date | Invalid data. |
| BAAH | 9AAF | Request As-Of Date | Non-numeric data. |
| BAAH | 9ABE | Request As-Of Date | Required. |
| BAAH | 9ABL | Request As-Of Date | Greater than current date. |
| BAAH | 9AEI | Request As-Of Date | Equal to current date. |
| CAAY | 9AAA | Participant ID | Invalid. |
| CAAY | 9AAT | Participant ID | Not on master table. |
| CAAY | 9ABE | Participant ID | Required. |

| Field Id | Error Code | Field Description | Error Code Description |
|----------|------------|-------------------|--|
| CAAY | IACA | Participant ID | A fatal database error has occurred, contact software support. |
| GAAA | 9AAA | CUSIP Number | Invalid. |
| GAAA | 9AA1 | CUSIP Number | Invalid check digit. |
| GAAA | 9ABB | CUSIP Number | Not found. |
| GAAA | 9ABE | CUSIP Number | Required. |

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