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# Securities Processing

## 7.01 DEPOSITS (DEPC): FUNCTION USER'S GUIDE

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# TABLE OF CONTENTS

|   |           |
|---|-----------|
| <b>Objectives of This Chapter</b> .....                     | <b>3</b>  |
| <b>The Deposit Function (DEPC): Overview</b> .....          | <b>4</b>  |
| Transmitting Transactions to DTC .....                      | 4         |
| DEPC Transmission Cutoff Schedule.....                      | 4         |
| Required User Programming.....                              | 4         |
| CCF Editing Criteria .....                                  | 4         |
| <b>The DEPC Transmission File (Input)</b> .....             | <b>6</b>  |
| Deposit Input Records .....                                 | 6         |
| DEPC Transmission Editing .....                             | 6         |
| DEPC Transaction Editing .....                              | 6         |
| <b>DEPC Transmission Record Templates</b> .....             | <b>8</b>  |
| DEP Transaction Data Record (DEP 10).....                   | 8         |
| DEP REORG Transaction Records (DEP 20 and 25).....          | 10        |
| REORG Deposit Input Transaction Data Record (Type 20) ..... | 10        |
| REORG Deposit Certificate Data Record (Type 25).....        | 12        |
| DEPC Transmission Trailer Record (DEPC 99) .....            | 13        |
| <b>DEPC Response Records (Output)</b> .....                 | <b>15</b> |
| DEPC Summary Total Record.....                              | 15        |
| DEPC Control Error Records.....                             | 15        |
| <b>DEPC Response Record Templates</b> .....                 | <b>16</b> |
| DEPC Summary Total Record.....                              | 16        |
| DEPC Control Error Record.....                              | 21        |
| <b>Appendix A. Valid Deposit Types</b> .....                | <b>29</b> |
| <b>Appendix B. CCF Recovery and Backup Procedures</b> ..... | <b>31</b> |
| I. Backup for CCF .....                                     | 31        |
| II. Magnetic Tape Backup .....                              | 31        |
| <b>Appendix C File Preparation</b> .....                    | <b>32</b> |
| <b>Appendix D CCFUSER “ERROR” Keyword Processing</b> .....  | <b>33</b> |

# OBJECTIVES OF THIS CHAPTER

The objectives of this chapter are to give information about:

- The Branch Deposit (DEPC) function ([The Deposit Function \(DEPC\): Overview](#))
- The requirements for DEPC input transmission files ([The DEPC Transmission File \(Input\)](#) and [DEPC Transmission Record Templates](#))
- The requirements for DEPC response records ([DEPC Response Records \(Output\)](#) and [DEPC Response Record Templates](#))

# THE DEPOSIT FUNCTION (DEPC): OVERVIEW

CCF Users can transmit deposit transaction files to DTC via the Deposit function (DEPC). In response, DTC transmits either machine-readable files indicating any errors that have been detected in those transactions, or a record confirming successful transmission of the deposit transaction file.

It is recommended that Users for whom DEPC transactions are critical should prepare backup procedures for any occasion when CCF is unavailable.

## Transmitting Transactions to DTC

DTC's Computer-to-Computer Facility (CCF) enables data transmission between the Depository Trust Company and its Participants/Users. Users transmit data to DTC, and then receive data in reply from DTC.

To transmit data to DTC, Users must prepare an input file of transactions in the DTC-specified format and an output file to contain response data received from DTC.

The User then executes a software product supplied by DTC (CCFUSER) in order to communicate with DTC's computer system.

The CCFUSER software reads the transaction file and transmits its contents to DTC. DTC responds with a single summary-total record, which provides totals for Users' transactions. In addition, DTC responds with records that detail any errors detected in the transmitted transactions. Depending on the severity of errors detected, DTC can reject an entire transmission. Finally, the CCFUSER software receives the DTC response data and writes it to the User-specified output file.

## DEPC Transmission Cutoff Schedule

The DEPC function is available as often as necessary daily, up to the Cutoff Time of 8:00 p.m. (Eastern Time). DTC processes all deposit transactions received before the cutoff time, but transmissions that begin after the cutoff are rejected without further processing. Likewise, transmissions that are incomplete at Cutoff Time are not accepted.

DTC accepts test DEPC transmissions (where TEST=YES on the CCFUSER control card) during PTS operating hours.

## Required User Programming

Users are responsible for providing software for handling the following steps:

- **File Preparation.** Creating and formatting the Deposits transaction file to be transmitted to DTC via CCF, and the file to contain DTC responses. File preparation details are provided in [Appendix C, File Preparation](#).
- **Processing of Edit Error and Summary Total Response Records.** Receiving, processing, correcting, and retransmitting, if necessary, the edit error and summary total response records transmitted to the User in DTC's DEPC Response file. Further information on DEPC response records appears in DEPC Response Records (Output) and DEPC Transmission Record Templates.

## CCF Editing Criteria

The following standard CCF editing criteria apply to all DEPC Transmission records, unless otherwise specified:

- Numeric fields: right-aligned, with leading zeroes; numeric data only; if unused, initialize to zeroes
- Character fields: left-aligned, with trailing spaces; if unused, initialize to spaces

Failure to comply with the above criteria causes a DEPC record to be rejected. Please ensure that all unused DEPC fields, whether Filler, Optional, Reserved or Not Allowed, are initialized as described above. Any such field containing low values is considered an edit error and causes rejection of the DEPC record.

# THE DEPC TRANSMISSION FILE (INPUT)

## Deposit Input Records

There are two deposit transaction types that can appear in the Deposit Information record transaction file:

- Regular Deposit Transaction record, Type 10
- REORG Deposit Transaction, consisting of two record types, Type 20 and Type 25

There is also the Transmission Trailer Record, making a total of four possible Records in the Deposit Information record transaction file. These records are listed below, together with the basic rules for their processing within the CCF system.

- **Regular Deposit Input (DEP) Transaction Data Record.** The Input Transaction Data record contains all detailed information regarding each Regular Deposit transaction. The DEPC data record is a Type 10 record.
- **REORG Deposit Input (DEP) Transaction Data Record.** The REORG Deposit Input Transaction Data Record contains all detailed information regarding each REORG DEP transaction. This is a Type 20 record and must always be followed by one or more Type 25 REORG Deposit Certificate Data Records.
- **REORG Deposit Certificate Data Record.** The REORG Deposit Certificate Data Record contains detailed information about each certificate as it relates to each REORG deposit. This is a Type 25 record and is required for each Type 20 record. DTC accepts a maximum of 20 Type 25 records in a REORG transaction group.
- **Transmission Trailer Record.** The Transmission Trailer Record contains control information for all DEPC transactions in a transmission. The DEPC Trailer Record is a type 99 record and must be included as the last record of the DEPC transmission, though it is not to be included in record count tabulations. DTC verifies totals appearing in the DEPC Trailer Record. If a trailer record is transmitted as anything but the last record of a transmission, DTC cancels the entire transmission.

There is no limit to the number of transactions the CCF/DEPC function accepts in any one transmission. It is suggested that the number of transactions in a single transmission be limited for recovery purposes.

## DEPC Transmission Editing

DTC performs as much editing as possible in order to give Users maximum response information. However, if a transmission contains any of the following "severe" errors, DTC cancels the entire DEPC transmission:

- an invalid record type (not Types 10, 20, 25 or 99)
- a record sequence error; for example, the last record transmitted is not the Trailer (DEPC 99)
- a numeric Trailer Record field with non-numeric data
- a Trailer Record total does not match the DTC-calculated total for all data records received. This happens either if the Trailer total is incorrect or if the corresponding field on any data record contains non-numeric data.

## DEPC Transaction Editing

The Deposit Input system accepts one Data Record for each Regular Deposit transaction and two records for each REORG Deposit Transaction. An edit error in a transaction causes that transaction record to be rejected. An error in one record can cause a two-record set transaction to be rejected.

However, DTC accepts partial transmissions for the DEPC function. If any DEP transactions are deemed valid, the DEPC transmission is considered accepted, and the valid DEPC records are processed by DTC, provided that no severe errors are detected.

The following edit errors cause a DEP transaction to be rejected:

- a field with invalid data
- a field not properly formatted; for example, non-numeric data in a numeric field
- an unused field not properly initialized (see [DEPC Transmission Record Templates](#))

# DEPC TRANSMISSION RECORD TEMPLATES

This section contains templates for DEPC Transmission Records. Please ensure that the CCF editing criteria apply in all cases (see [CCF Editing Criteria](#)).

## DEP Transaction Data Record (DEP 10)

The DEP Transaction requires a single 250-character record, described in the following table.

| DEP Data Record (DEP 10) Format (Part 1 of 3) |        |           |   |  |
|---|--------|-----------|---|--|
| Position                                      | Length | Format    | Field Name                                    | Field Description  |
| 1   | 2      | Character | Record Type                                   | 10   |
| 3   | 8      | Numeric   | Participant/<br>Depository Facility<br>Number | 00nnnnnn ID of the DTC<br>Participant/depository facility submitting the<br>Deposit instruction  |
| 11  | 2      | Numeric   | Filler  | DTC use only; do not use.  |
| 13  | 9      | Character | CUSIP Number                                  | 9-character issue identifier   |
| 22  | 1      | Numeric   | Filler  | DTC use only; do not use.  |
| 23  | 13     | Numeric   | Share Quantity                                | The quantity of whole shares per Deposit instruction   |
| 36  | 5      | Numeric   | Fractional Share<br>Quantity                  | The quantity of fractional shares per Deposit<br>instruction (zeroes if not used)  |
| 41  | 3      | Numeric   | Deposit Type                                  | <p>nnn valid deposit type (see <a href="#">Appendix A. Valid Deposit Types</a>)</p> <hr/> <p><b>Note.</b><br/>Additional Deposit<br/>Types can be added in the future. For updates of<br/>Deposit Types, contact Participant Interface Planning.</p> <hr/> |
| 44  | 5      | Numeric   | Number of<br>Certificates                     | nnnnn total Number of<br>certificates included in the deposit<br>instruction (optional)<br>If not used, initialize with zeroes   |
| 49  | 15     | Character | Reference Number                              | <p>15-character Participant-assigned customer identifier<br/>(optional)</p> <p>If not used, initialize with spaces</p>   |

| DEP Data Record (DEP 10) Format (Part 2 of 3 ) |        |           |                        |   |
|--|--------|-----------|------------------------|---|
| Position                                       | Length | Format    | Field Name             | Field Description   |
| 64   | 8      | Numeric   | Participant Number     | <i>00nnnnnn</i> ID of the depositing Participant; only if DEPOSIT TYPE = 003, 008, 013, 016, 019, 021 or 022, otherwise initialize to zeroes  |
| 72   | 8      | Numeric   | ADR Transfer Number    | 8-digit American Depository Receipt Number (optional); if not used, initialize to zeroes  |
| 80   | 8      | Numeric   | Deposit Activity Date  | <i>mmdccyy</i> date of physical receipt of certificates at DTC and crediting to Participant's position; must be equal to or later than date of transmission   |
| 88   | 4      | Numeric   | Branch Number          | <i>nnnn</i> ID of Participant's branch submitting the deposit (optional) If not used, initialize to zeroes  |
| 92   | 3      | Numeric   | Record Sequence Number | <i>nnn</i> number used to link this record with other records depositing certificates with the same: CUSIP Number, Participant Number and deposit type (optional) if not used, initialize to zeroes |
| 95   | 12     | Character | Certificate Number #1  | 12-digit number of the 1st certificate (optional); if not used, initialize to spaces  |
| 107  | 12     | Character | Certificate Number #2  | 12-digit number of the 2nd certificate (optional); if not used, initialize to spaces  |
| 119  | 12     | Character | Certificate Number #3  | 12-digit number of the 3rd certificate (optional); if not used, initialize to spaces  |
| 131  | 12     | Character | Certificate Number #4  | 12-digit number of the 4th certificate (optional); if not used, initialize to spaces  |
| 143  | 12     | Character | Certificate Number #5  | 12-digit number of the 5th certificate (optional); if not used, initialize to spaces  |
| 155  | 12     | Character | Certificate Number #6  | 12-digit number of the 6th certificate (optional); if not used, initialize to spaces  |
| 167  | 12     | Character | Certificate Number #7  | 12-digit number of the 7th certificate (optional); if not used, initialize to spaces  |

| DEP Data Record (DEP 10) Format (Part 3 of 3) |        |           |                             |   |
|---|--------|-----------|-----------------------------|---|
| Position                                      | Length | Format    | Field Name                  | Field Description   |
| 179   | 12     | Character | Certificate Number #8       | 12-digit number of the 8th certificate (optional); if not used, initialize to spaces                    |
| 191   | 12     | Character | Certificate Number #9       | 12-digit number of the 9th certificate (optional); if not used, initialize to spaces                    |
| 203   | 12     | Character | Certificate Number #10      | 12-digit number of the 10th certificate (optional); if not used, initialize to spaces                   |
| 215   | 1      | Character | Same Day/Next Day indicator | Optional field:<br>'N'; indicates Next Day Processing.<br>All other values will be treated as Same Day. |
| 216   | 35     | Character | Filler                      | DTC use only; do not use.   |

## DEP REORG Transaction Records (DEP 20 and 25)

The DEP REORG transaction consists of two types of records, each consisting of a 250-character record:

- REORG Deposit Input (DEP) Transaction Data Record (Type 20)
- REORG Deposit Certificate Data Record (Type 25)

The REORG Deposit Input Transaction Data Record must be followed by one or more REORG Deposit Certificate Data Records.

### REORG Deposit Input Transaction Data Record (Type 20)

The REORG Deposit Input Transaction Data Record requires a single 250-character record, described in the following table:

| REORG Deposit Input Transaction Data Record—Type 20 (Part 1 of 3) |        |           |  |  |
|---|--------|-----------|--|--|
| Position  | Length | Format    | Field Name                             | Field Description  |
| 1   | 2      | Character | Record Type                            | 20 REORG Data Record   |
| 3   | 8      | Numeric   | Participant/Depository Facility Number | 8-digit identifier of DTC Participant/depository facility submitting deposit instruction |
| 11  | 2      | Numeric   | Filler                                 | DTC use only; do not use.  |
| 13  | 9      | Character | CUSIP Number                           | 9-character issue identifier   |
| 22  | 1      | Numeric   | Filler                                 | DTC use only; do not use.  |
| 23  | 13     | Numeric   | Share Quantity                         | Quantity of shares per REORG Deposit instruction   |
| 36  | 5      | Numeric   | Fractional Share Quantity              | Quantity of fractional shares per REORG Deposit instruction<br>Initialize to zeroes      |

| REORG Deposit Input Transaction Data Record—Type 20 (Part 1 of 3) |        |           |              |   |
|---|--------|-----------|--------------|---|
| Position  | Length | Format    | Field Name   | Field Description   |
| 41  | 3      | Character | Deposit Type | <p><i>nnn</i> valid deposit type (see <a href="#">Appendix A, Valid Deposit Types</a>)</p> <hr/> <p><b>Note:</b><br/>Additional Deposit Types can be added in the future. For updates of Deposit Types, contact Participant Interface Planning.</p> <hr/> |

| REORG Deposit Input Transaction Data Record—Type 20 (Part 2 of 3) |        |           |                        |  |
|---|--------|-----------|------------------------|--|
| Position  | Length | Format    | Field Name             | Field Description  |
| 44  | 5      | Numeric   | Number of Certificates | <i>nnnnn</i> total number of REORG Type 25 certificates included in this DEP instruction   |
| 49  | 15     | Character | Reference Number       | (Optional) unique Participant-assigned customer identifier<br>Spaces if not used   |
| 64  | 8      | Numeric   | Participant Number     | 8-digit identifier of depositing Participant, if deposit is submitted by a depository facility Initialize to zeroes  |
| 72  | 8      | Numeric   | ADR Transfer Number    | (Optional) American Depository Receipt number<br>Zeroes if not used  |
| 80  | 8      | Numeric   | Deposit Activity Date  | <i>mmdccyy</i> date when DTC physically receives certificates and Participant's position is credited; must be same as or later than date of transmission   |
| 88  | 4      | Numeric   | Branch Number          | <i>nnnn</i> (optional) number of Participant's branch submitting the deposit<br>Zeroes if not used   |
| 92  | 3      | Numeric   | Filler                 | DTC use only; do not use.  |
| 95  | 8      | Numeric   | RIPS Redemption Date   | <p><i>ccyymmdd</i> redemption date; Zeroes if not used</p> <hr/> <p><b>Note:</b><br/>Required for REORG Partial Calls (Deposit Types 26, 27 and 28). Optional for other deposit types.</p> <hr/> |

| REORG Deposit Input Transaction Data Record–Type 20 (Part 3 of 3) |        |           |                             |   |
|---|--------|-----------|-----------------------------|---|
| Position  | Length | Format    | Field Name                  | Field Description   |
| 103   | 3      | Numeric   | Next Coupon Number          | nnn next coupon number to be clipped<br>Zeroes if not used<br><br><b>Note:</b><br>Required for REORG Partial Calls (Deposit Types 25 and 28). Optional for other deposit types. |
| 106   | 1      | Character | Same Day/Next Day indicator | Optional field:<br>'N'; indicates Next Day Processing.<br>All other values will be treated as Same Day.   |
| 107   | 144    | Character | Filler                      | DTC use only; do not use.   |

## REORG Deposit Certificate Data Record (Type 25)

The REORG Deposit Certificate Data Record requires a single 250-character record, described in the following table.

| REORG Deposit Certificate Data Record–Type 25 |        |           |   |  |
|---|--------|-----------|---|--|
| Position                                      | Length | Format    | Field Name                                    | Field Description  |
| 1   | 2      | Character | Record Type                                   | 25 REORG Certificate Data record   |
| 3   | 8      | Numeric   | Participant/<br>Depository Facility<br>Number | 8-digit identifier of Participant or depository facility submitting the deposit instruction  |
| 11  | 2      | Numeric   | Filler  | DTC use only; do not use.  |
| 13  | 9      | Character | CUSIP Number                                  | 9-character issue identifier   |
| 22  | 1      | Numeric   | Filler  | DTC use only; do not use.  |
| 23  | 5      | Character | Certificate Prefix                            | Certificate prefix associated with deposit   |
| 28  | 7      | Character | Certificate Number                            | Certificate number associated with deposit   |
| 35  | 13     | Numeric   | Called Quantity                               | Called quantity<br>Zeroes if not used<br><br><b>Note:</b><br>Required for REORG Partial Calls (Deposit Types 26, 27 and 28). Optional for other deposit types. |
| 48  | 13     | Numeric   | Certificate Denomination                      | Denomination of certificate  |

| REORG Deposit Certificate Data Record–Type 25 |        |           |                         |  |
|---|--------|-----------|-------------------------|--|
| Position                                      | Length | Format    | Field Name              | Field Description  |
| 61  | 5      | Numeric   | Fractional Denomination | (Not currently available) Fractional denomination of certificate.<br>Initialize to zeroes. |
| 66  | 183    | Character | Filler                  | DTC use only; do not use.  |

## DEPC Transmission Trailer Record (DEPC 99)

The Trailer Record is required as the last record of each DEPC transmission. The 250-character DEPC 99 Trailer Record is described in the table below.

| DEPC Trailer Record (DEPC 99) Format (Part 1 of 2)    |        |           |                                     |   |
|---|--------|-----------|-------------------------------------|---|
| Position  | Length | Format    | Field Name                          | Field Description   |
| 1   | 2      | Character | Record Type                         | 99  |
| 3   | 1      | Character | Filler                              | DTC use only; do not use.   |
| 4   | 8      | Numeric   | Signon ID                           | 00nnnnnn ID of<br>User submitting the DEPC trans-mission file   |
| 12  | 7      | Numeric   | Total Record Count                  | nnnnnnn total number of data records in this DEPC transmission, exclusive of the trailer record; must equal the DTC-calculated total record count                                       |
| 19  | 14     | Numeric   | Total Share Quantity                | Total number of shares in all the data records in this DEPC transmission; must equal the DTC-calculated total share number  |
| 33  | 1      | Character | Fractional Share Quantity Indicator | F there are fractional shares<br>Space there are no fractional sharess<br><br><b>Note:</b><br>Set to F if Regular Deposits record (Type 10) contains fractional shares; otherwise space |
| <b>If Fractional Share Quantity Indicator = space</b> |        |           |                                     |   |
| 34  | 217    | Character | Filler                              | If Fractional Share Quantity Indicator (position 33) = Space:<br>Spaces   |

| DEPC Trailer Record (DEPC 99) Format (Part 2 of 2) |        |           |                                 |  |
|--|--------|-----------|---------------------------------|--|
| Position   | Length | Format    | Field Name                      | Field Description  |
| <b>If Fractional Share Quantity Indicator = F</b>  |        |           |                                 |  |
| 34   | 15     | Numeric   | Total Fractional Share Quantity | 9(10)V9(5) total quantity of fractional shares in Type 10 records in this DEPC transaction; must = DTC- calculated total fractional share quantity for Type 10 records |
| 49   | 202    | Character | Filler                          | DTC use only; do not use.  |

# DEPC RESPONSE RECORDS (OUTPUT)

After the end of DEPC transmission, DTC returns to Participants a Response file containing two types of computer-readable records: the DEPC Summary Total Record and the DEPC Control Error Record.

These response records are written by the CCFUSER software to the file specified by the DDOUT keyword on the FUNCTION control card. It is then the Users' responsibility to process the records for their own business needs; for example, to determine which of the DEPOSIT transactions have been accepted or rejected, or to obtain other information regarding the status of the DEPC transmission.

The DEPC Response file contains the DEPC Summary Total Record and the DEPC Control Error Record, which are described below.

## DEPC Summary Total Record

Always the first record in the DEPC Response file, the DEPC Summary Total Record contains summary information regarding an entire DEPC transmission, including totals for accepted and rejected DEP records.

The Summary Total Record has an Error Severity Indicator at position 18 that contains a coded value to inform the User about the number of errors detected in the DEPC transmission. CCFUSER "ERROR" keyword processing (described in [Appendix D, CCFUSER "ERROR" Keyword Processing](#)) is based on the value of this indicator.

## DEPC Control Error Records

DEPC Control Error records, if any, follow the Summary Total Record and are returned to the User in response to any DEP edit errors within the DEPC transmission. One Control Error Record is created for each input transaction record in which one or more errors are detected.

# DEPC RESPONSE RECORD TEMPLATES

## DEPC Summary Total Record

A single, computer-readable Summary Total Record is always the first record in DTC's DEPC Response file. It contains summary information about the entire DEPC transmission.

The length of the Summary Total Record (including the 4-character MVS-required prefix for variable-length record files) is 350 bytes. The format of the Summary Total Record appears below.

| DEPC Summary Total Record Format (Part 1 of 5) |        |           |                        |   |   |
|--|--------|-----------|------------------------|---|---|
| Position                                       | Length | Format    | Field Name             | Field Description   |   |
| 1  | 2      | Binary    | Record Length          | 9(04) COMP  | summary total record length (standard MVS field for variable length record files) |
| 3  | 2      | Binary    | (MVS field)            | 9(04) COMP  | binary zeroes (standard MVS field for variable length record files)               |
| 5  | 1      | Binary    | Record Type            | 7   |   |
| 6  | 1      | Bits      | CCF Flags              | Bit 1 ON<br>Bit 1 OFF   | no control error records<br>control error records follow                          |
|  |        |           |                        | <b>Note:</b><br>The first CCF Flag (bit) in this field indicates the existence of control error records in the DEPC Response file. The last seven bit-flags are currently not used. |   |
| 7  | 3      | Character | Filler                 | DTC use only; do not use.   |   |
| 10   | 4      | Binary    | Record Sequence Number | 9(08) COMP  | always = 1  |

| DEPC Summary Total Record Format (Part 2 of 5)   |        |           |                          |   |
|--|--------|-----------|--------------------------|---|
| Position   | Length | Format    | Field Name               | Field Description   |
| 14   | 4      | Binary    | Number of Control Errors | 9(08) COMP number of control error records to follow in the DEPC Response file<br><br><b>Note:</b><br>This also normally indicates the number of DEP transaction records for which edit errors were detected.   |
| 18   | 1      | Character | Error Severity Indicator | A code for the number of errors detected; value used for ERROR keyword processing by CCFUSER<br><br>0 zero transactions in error<br>1 1–5 transactions in error<br>2 6–15 transactions in error<br>3 16+ transactions in error<br>9 a critical error occurred, resulting in cancellation of the entire transmission |
| 19   | 5      | Character | Filler                   | DTC use only; do not use.   |
| <b>Severe Error Flags</b>  |        |           |                          |   |
| A set of 10 one-character error flags, defined in the following boxed fields, specifying reasons for cancellation.   |        |           |                          |   |
| <ul style="list-style-type: none"> <li>• If the transmission is accepted, each flag contains the value "-".</li> <li>• If the transmission is cancelled, the flags containing the value "X" provide the reasons for cancellation.</li> </ul> |        |           |                          |   |
| 24   | 1      | Character | Flag #1                  | X<br>Invalid record type found  |
| 25   | 1      | Character | Flag #2                  | Not used  |
| 26   | 1      | Character | Flag #3                  | X<br>final record was not a Trailer Record (DEPC 99)  |
| 27   | 1      | Character | Flag #4                  | X<br>trailer record contains non-numeric fields   |
| 28   | 1      | Character | Flag #5                  | X<br>trailer record total(s) did not match DTC-calculated totals for records received   |

| DEPC Summary Total Record Format (Part 3 of 5) |        |           |                              |  |
|--|--------|-----------|------------------------------|--|
| Position                                       | Length | Format    | Field Name                   | Field Description  |
| 29   | 1      | Character | Flag #6                      | X<br>every data (DEP 10 or 20) record contains errors.   |
| 30   | 1      | Character | Flag #7                      | X<br>trailer record signon ID not equal to transmission signon ID  |
| 31   | 3      | Character | Flags #8–10                  | Not used   |
| 34   | 5      | Numeric   | Total Valid Records          | <i>nnnnn</i><br>number of valid error-free Type 10, 20 and 25 records received by DTC  |
| 39   | 5      | Numeric   | Total Invalid Records        | <i>nnnnn</i><br>number of records containing errors received by DTC<br><br><b>Note:</b><br>Any record not included within TOTAL VALID RECORDS is included here, including invalid DEPC 99 records. |
| 44   | 5      | Numeric   | Total Record Received        | <i>nnnnn</i><br>number of all records, including DEPC 99 records, received by DTC  |
| 49   | 5      | Numeric   | Total Valid Deposits         | <i>nnnnn</i><br>number of valid Type 10 Records received   |
| 54   | 5      | Numeric   | Total Invalid Deposits       | <i>nnnnn</i><br>number of invalid Type 10 records received, including unidentifiable record types  |
| 59   | 14     | Numeric   | Total Valid Share Quantity   | Number of valid shares received for Type 10 records  |
| 73   | 14     | Numeric   | Total Invalid Share Quantity | Number of invalid shares received for Type 10 records, including unidentifiable record types   |
| 87   | 14     | Numeric   | Total Share Quantity         | Total number of shares received for Type 10 records  |

| DEPC Summary Total Record Format (Part 4 of 5)  |        |           |   |   |
|---|--------|-----------|---|---|
| Position  | Length | Format    | Field Name                                      | Field Description   |
| 101   | 50     | Character | Filler  | DTC use only; do not use.   |
| 151   | 1      | Character | Test Transmission Indicator                     | Y<br>test transmission<br>N<br>live (production) transmission   |
| 152   | 4      | Numeric   | Transmission ID Number                          | <i>nnnn</i><br>User-assigned<br>number of this DEPC transmission  |
| 156   | 4      | Character | CCF Function Name                               | DEPC  |
| 160   | 8      | Character | Response Transmission Date                      | <i>mm/dd/yy</i><br>date the DEPC<br>Response transmission was sent  |
| 168   | 8      | Character | Response Transmission Time                      | <i>hh:mm:ss</i><br>time the DEPC<br>Response transmission was sent  |
| <b>Positions 176 through 220: Fractional Shares Type 10 (spaces if not used)</b>      |        |           |   |   |
| 176   | 15     | Numeric   | Total Valid Type 10 Fractional Share Quantity   | 9(10)V9(5)<br>number of valid<br>Type 10 fractional shares received by DTC                                    |
| 191   | 15     | Numeric   | Total Invalid Type 10 Fractional Share Quantity | 9(10)V9(5)<br>number of invalid<br>Type 10 fractional shares received by DTC                                  |
| 206   | 15     | Numeric   | Total Type 10 Fractional Share Quantity         | 9(10)V9(5)<br>total number of<br>Type 10 fractional shares received by DTC                                    |
| <b>Positions 221 through 287: REORG Deposits Types 20 and 25 (spaces if not used)</b> |        |           |   |   |
| 221   | 5      | Numeric   | Total All REORG Records                         | <i>nnnnn</i><br>number of all REORG<br>records received by DTC, including both Type 20 and<br>Type 25 records |

| DEPC Summary Total Record Format (Part 5 of 5) |        |           |   |   |
|--|--------|-----------|---|---|
| Position                                       | Length | Format    | Field Name                              | Field Description   |
| 226  | 5      | Numeric   | Total Valid Type<br>20 REORG Records    | <i>nnnnn</i><br>number of valid (error-free) Type 20 REORG records received by DTC  |
| 231  | 5      | Numeric   | Total Invalid Type<br>20 REORG Records  | <i>nnnnn</i><br>number of Type 20 records containing errors received by DTC (any records not included in position 226, Total Valid Type 20 REORG Records) |
| 236  | 5      | Numeric   | Total Valid Type<br>25 REORG Records    | <i>nnnnn</i><br>number of valid (error-free) Type 25 REORG records received by DTC  |
| 241  | 5      | Numeric   | Total Invalid Type<br>25 REORG Records  | <i>nnnnn</i><br>number of Type 25 records containing errors received by DTC (any records not included in position 236, Total Valid Type 25 REORG Records) |
| 246  | 14     | Numeric   | Total Valid Type 20<br>Share Quantity   | Number of valid Type 20 shares received by DTC  |
| 260  | 14     | Numeric   | Total Invalid Type<br>20 Share Quantity | Number of invalid Type 20 shares received by DTC  |
| 274  | 14     | Numeric   | Total Type 20 Share<br>Quantity         | Number of Type 20 shares received by DTC  |
| 288  | 63     | Character | Filler                                  | DTC use only; do not use.   |

## DEPC Control Error Record

If any errors are encountered when DTC edits the DEPC transactions, a Control Error Record follows the Summary Total Record in DTC's DEPC Response file.

One Control Error Record is created for each input transaction record in which edit errors are detected; that is, multiple errors detected in a single DEPC Transaction record are reported in a single Control Error Record. In some cases, however, a single User error can cause multiple Control Error Records.

The length of each Control Error Record (including the 4-character MVS-required prefix for variable-length record files) is 350 characters. The format of the Control Error Record is described in the table below. Please note that the CCF standard 64 bytes of error flags (boxed fields) begins in position 287.

| DEPC Control Error Record Format (Part 1 of 8) |        |           |               |   |
|--|--------|-----------|---------------|---|
| Position                                       | Length | Format    | Field         | Field Description   |
| 1  | 2      | Binary    | Record Length | 9(04) COMP<br>control error<br>record length (standard MVS field for variable-length record files)  |
| 3  | 2      | Binary    | (MVS field)   | 9(04) COMP<br>binary zeroes<br>(standard MVS field for variable-length record files)  |
| 5  | 1      | Binary    | Record Type   | 9   |
| 6  | 1      | Bits      | CCF Flags     | Bit 1 ON<br>this is the last control error record Bit 1 OFF<br>more control error records follow<br><br><b>Note:</b><br>The first CCF Flag (bit) in this field indicates the final control error record; that is, the end of the DEPC Response file. The last seven bit-flags are currently not used. |
| 7  | 3      | Character | Filler        | DTC use only; do not use.   |

| DEPC Control Error Record Format (Part 2 of 8) |        |           |  |  |
|--|--------|-----------|--|--|
| Position                                       | Length | Format    | Field  | Field Description  |
| 10   | 4      | Binary    | Record Sequence Number                           | <p>9(04) COMP sequence<br/>number of this record, relative to the beginning of the DEPC Response file</p> <hr/> <p><b>Note:</b><br/>The sequence number of the first Control Error Record is 2.</p>  |
| 14   | 5      | Character | Filler   | DTC use only; do not use.  |
| 19   | 7      | Character | DEPC (Input) Transmission Record Sequence Number | <p>Sequence number of the DEPC (Input) Transmission record that corresponds to this Control Error Record, relative to the beginning of the DEPC Transmission file</p> <hr/> <p><b>Example:</b><br/>If the 10th DEPC Transmission contained edit errors, its corresponding Control Error Record contains 10 in this field.</p> <hr/> <p><b>Note:</b><br/>If this is a mixed transmission, regular deposits (Type 10) can be placed before REORG deposits (Types 20 and 25).</p> |
| 26   | 11     | Character | Filler   | DTC use only; do not use.  |
| 37   | 250    | Character | Erroneous DEPC Transmission Record               | A copy of the entire erroneous DEPC Transmission record appears in this field  |

| DEPC Control Error Record Format (Part 3 of 8)  |        |           |   |   |
|---|--------|-----------|---|---|
| Position  | Length | Format    | Field   | Field Description   |
| <b>Error Flags 1–64</b>   |        |           |   |   |
| Each of the sixty-four 1-character error flags defined in the following boxed fields specify why the record is considered to contain an error. A record can be in error for one or more reasons.  |        |           |   |   |
| There are four sets of error flags, corresponding to the records in the input transmission:   |        |           |   |   |
| <ul style="list-style-type: none"> <li>• General Error Flags (see below)</li> <li>• Deposit Data 10 Record Error Flags (see below)</li> <li>• Deposit Data 20 Record Error Flags (see below)</li> <li>• Deposit Data 25 Record Error Flags (see below)</li> <li>• DEPC Trailer 99 Record Error Flags (see below)</li> </ul> |        |           |   |   |
| To interpret the flags:   |        |           |   |   |
| <ul style="list-style-type: none"> <li>• If the flag is set to "X", the corresponding reason applies to this record.</li> <li>• If the flag is set to '-', the corresponding reason does not apply to this record.</li> </ul>   |        |           |   |   |
| Of the 64 flags, some are not currently in use and many apply only to specific record types.  |        |           |   |   |
| <b>General Error Flags</b>  |        |           |   |   |
| 287   | 1      | Character | Flag #1: Record Type                            | X<br>record type is not equal to 10, 20, 25 or 99                     |
| 288   | 58     | Character | Flags #2–59                                     | Not used  |
| 346   | 1      | Character | Flag #60: Record Out of Sequence                | X<br>record does not follow the required REORG group sequence         |
| <b>Deposit Data 10 Record Error Flags</b>   |        |           |   |   |
| 288   | 1      | Character | Flag #2: Participant/Depository Facility Number | X<br>Participant/depository facility number not supplied or not valid |
| 289   | 1      | Character | Flag #3: Participant/Depository Facility Number | X<br>Participant/depository facility number not equal to SIGNON       |
| 290   | 1      | Character | Flag #4: CUSIP Number                           | X<br>CUSIP number is invalid  |

| DEPC Control Error Record Format (Part 4 of 8) |        |           |                                    |   |
|--|--------|-----------|------------------------------------|---|
| Position                                       | Length | Format    | Field                              | Field Description   |
| 291  | 1      | Character | Flag #5: Share Quantity            | X<br>share quantity is not greater than zero or non-numeric   |
| 292  | 1      | Character | Flag #6: Fractional Share Quantity | X<br>fractional share quantity is non-numeric   |
| 293  | 1      | Character | Flag #7: Deposit Type              | X<br>deposit type is not a valid type   |
| 294  | 1      | Character | Flag #8: Deposit Type              | X<br>deposit type = a FACILITY deposit and the Participant number = zero  |
| 295  | 1      | Character | Flag #9: Number of Certificates    | X<br>number of certificates is non-numeric  |
| 296  | 1      | Character | Flag #10: Participant Number       | X<br>Participant number is non-numeric  |
| 297  | 1      | Character | Flag #11: Participant Number       | X<br>Participant number greater than zero and deposit type not equal to 003, 008, 013, 016, 019, 021 or 022         |
| 298  | 1      | Character | Flag #12: ADR Transfer Number      | X<br>ADR transfer number is non-numeric   |
| 299  | 1      | Character | Flag #13: Deposit Activity Date    | X<br>deposit activity date is non-numeric; or not equal to or greater than current date; or not a DTC business date |
| 300  | 1      | Character | Flag #14: Branch Number            | X<br>branch number is non-numeric   |
| 301  | 1      | Character | Flag #15: Record Sequence Number   | X<br>record sequence number is non-numeric  |
| 302  | 1      | Character | Flag #16: Cutoff Time              | X<br>past cutoff time for deposit function  |
| 303  | 1      | Character | Flag #17: CUSIP Fractional Shares  | X<br>CUSIP not eligible for fractional shares   |

| DEPC Control Error Record Format (Part 5 of 8) |        |           |  |   |
|--|--------|-----------|--|---|
| Position                                       | Length | Format    | Field  | Field Description   |
| 304  | 47     | Character | Flags # 18–64  | Not used for Type 10 records  |
| <b>Deposit Data 20 Record Error Flags</b>      |        |           |  |   |
| 288  | 1      | Character | Flag #2: Participant/<br>Depository Facility<br>Number | X<br>Participant/depository facility number not supplied or<br>not valid    |
| 289  | 1      | Character | Flag #3: Participant/<br>Depository Facility<br>Number | X<br>Participant/depository facility number not equal to<br>SIGNON          |
| 290  | 1      | Character | Flag #4: CUSIP<br>Number                               | X<br>CUSIP number is not valid  |
| 291  | 1      | Character | Flag #5: Share<br>Quantity                             | X<br>share quantity is not greater than zero or is non-<br>numeric          |
| 292  | 1      | Character | Flag #6: Fractional<br>Share Quantity                  | X<br>(not currently available) fractional share quantity is non-<br>numeric |
| 293  | 1      | Character | Flag #7: Deposit Type                                  | X<br>deposit type is not a valid type                                       |
| 294  | 1      | Character | Flag #8  | Not used for DEP Type 20 record   |
| 295  | 1      | Character | Flag #9: Number of<br>Certificates                     | X<br>number of certificates is non-numeric or = zero                        |
| 296  | 1      | Character | Flag #10: Participant<br>Number                        | X<br>Participant number is non-numeric                                      |
| 297  | 1      | Character | Flag #11   | Not used for DEP Type 20 record   |
| 298  | 1      | Character | Flag #12: ADR<br>Transfer Number                       | X<br>ADR transfer number is non-numeric                                     |

| DEPC Control Error Record Format (Part 6 of 8) |        |           |                                   |  |
|--|--------|-----------|-----------------------------------|--|
| Position                                       | Length | Format    | Field                             | Field Description  |
| 299  | 1      | Character | Flag #13: Deposit Activity Date   | X<br>deposit activity date is non-numeric; or not equal to or greater than current date; or not a DTC business date                      |
| 300  | 1      | Character | Flag #14: Branch Number           | X<br>branch number is non-numeric  |
| 301  | 1      | Character | Flag #15                          | Not used for DEP Type 20 record  |
| 302  | 1      | Character | Flag #16: Cutoff Time             | X<br>past cutoff for deposit function  |
| 303  | 1      | Character | Flag #17: CUSIP Fractional Shares | X<br>(not currently available) CUSIP not eligible for fractional shares  |
| 304  | 1      | Character | Flag #18: Number of Certificates  | X<br>number of certificates does not equal the sum of all Type 25 records; or exceeds the limit of 20 records per REORG Type 25 grouping |
| 305  | 1      | Character | Flag #19: Share Quantity          | X<br>share quantity does not equal to the sum of all certificate denominations on Type 25 record   |
| 306  | 1      | Character | Flag #20: RIPS Redemption Date    | X<br>redemption date is non-numeric or is invalid for deposit Types 26, 27 or 28   |
| 307  | 1      | Character | Flag #21: Next Coupon Number      | X<br>next coupon number is non-numeric or is invalid for deposit Types 25 or 28  |
| 308  | 38     | Character | Flags #22–59                      | Not used for DEP Type 20 record  |
| 346  | 1      | Character | Flag #60: Filler                  | DTC use only; do not use.  |
| 347  | 1      | Character | Flag #61: REORG Group Error       | X<br>error in Type 20 or Type 25 record (causes rejection of entire group)   |
| 348  | 3      | Character | Flags #62–64                      | Not used for DEP Type 20 record  |

| DEPC Control Error Record Format (Part 7 of 8) |        |           |  |   |
|--|--------|-----------|--|---|
| Position                                       | Length | Format    | Field  | Field Description   |
| <b>Deposit Data 25 Record Error Flags</b>      |        |           |  |   |
| 288  | 1      | Character | Flag #2: Participant/<br>Depository Facility<br>Number | X<br>Participant/depository facility number not supplied, or is invalid, or is not equal to record Type 20 Participant number |
| 289  | 1      | Character | Flag #3: Participant/<br>Depository Facility<br>Number | X<br>Participant/depository facility number not equal to SIGNON   |
| 290  | 1      | Character | Flag #4: CUSIP<br>Number                               | X<br>CUSIP number is invalid or is not equal to CUSIP number in Type 20 record  |
| 291  | 1      | Character | Flag #5: Certificate<br>Prefix                         | X<br>certificate prefix is invalid  |
| 292  | 1      | Character | Flag #6: Certificate<br>Number                         | X<br>certificate number is invalid  |
| 293  | 1      | Character | Flag #7: Called<br>Quantity                            | X<br>called quantity is non-numeric or is not valid for deposit Types 26, 27 or 28  |
| 294  | 1      | Character | Flag #8: Certificate<br>Denomination                   | X<br>certificate denomination is non-numeric  |
| 295  | 1      | Character | Flag #9: Fractional<br>Certificate Denomina-<br>tion   | X<br>(not currently available) fractional certificate denomination is non-numeric   |
| 296  | 8      | Character | Flags #10–17   | Not used for DEP Type 25 record   |
| 304  | 1      | Character | Flag #18: Number of<br>Certificates                    | X<br>number of certificates exceeds the limit of 20 records per REORG Type 25 grouping  |
| 305  | 41     | Character | Flags #19–59   | Not used for DEP Type 25 record   |
| 346  | 1      | Character | Flag #60 Filler  | DTC use only; do not use.   |

| DEPC Control Error Record Format (Part 8 of 8) |        |           |   |  |
|--|--------|-----------|---|--|
| Position                                       | Length | Format    | Field   | Field Description  |
| 347  | 1      | Character | Flag #61: REORG<br>Group Error                  | X<br>error in Type 20 or Type 25 record (causes rejection of entire group)   |
| 348  | 3      | Character | Flags #62–64                                    | Not used for DEP Type 25 record  |
| DEPC Trailer 99 Record Error Flags             |        |           |   |  |
| 287  | 1      | Character | Flag #1 Record Type                             | X<br>record type not equal to trailer type 99  |
| 288  | 59     | Character | Flags #2–60                                     | Not used for DEPC Trailer Record   |
| 347  | 1      | Character | Flag #61: Signon<br>Number                      | X<br>Signon ID does not match Participant/Depository Facility Number   |
| 348  | 1      | Character | Flag #62:<br>Total Record Count                 | X<br>total record count non-numeric or does not match DTC-calculated record count.   |
| 349  | 1      | Character | Flag #63:<br>Total Share Quantity               | X<br>total share quantity is non-numeric or does not match DTC-calculated Share Quantity Total                                     |
| 350  | 1      | Character | Flag #64: Total<br>Fractional Share<br>Quantity | X<br>total fractional share quantity is non-numeric or does not match DTC-calculated fractional share quantity total (for Type 10) |

# APPENDIX A. VALID DEPOSIT TYPES

Additional Deposit Types can be added in the future. For updates of Deposit Types, please contact Participant Interface Planning at DTC.

| Valid DEPOSIT Types |  |
|---------------------|--|
| Deposit Code        | Deposit Type                             |
| 001                 | Regular                                  |
| 002                 | Legal                                    |
| 003                 | Facility                                 |
| 004                 | CNS                                      |
| 005                 | Full Service                             |
| 008                 | Facility Legal                           |
| 009                 | CNS Legal                                |
| 011                 | ADR Regular                              |
| 012                 | ADR Legal                                |
| 013                 | ADR Facility                             |
| 014                 | ADR CNS                                  |
| 015                 | ADR Full Service                         |
| 016                 | ADR Facility Legal                       |
| 017                 | ADR CNS Legal                            |
| 018                 | CNS Full Service                         |
| 019                 | Facility Full Service                    |
| 020                 | ADR CNS Full Service                     |
| 021                 | ADR Facility Full Service                |
| 022                 | CNS Facility                             |
| 023                 | REORG Corporate Maturity/Full Call       |
| 024                 | REORG Muni Registered Maturity/Full Call |
| 025                 | REORG Muni Bearer Maturity/Full Call     |
| 026                 | REORG Corporate Partial Call             |
| 027                 | REORG Registered Partial Call            |

| Valid DEPOSIT Types |                                |
|---------------------|--------------------------------|
| Deposit Code        | Deposit Type                   |
| 028                 | REORG Muni Bearer Partial Call |
| 029                 | Mandatory REORG                |

# APPENDIX B. CCF RECOVERY AND BACKUP PROCEDURES

If a Deposit transmission abnormally terminates while the User is transmitting data to DTC, the User is required to retransmit that batch in its entirety. DTC strongly suggests that Users limit the amount of transactions in any single transmission. (An approximate restriction might be 2,000 transactions.)

Details of the exact procedures to be followed in the event that restart is necessary are provided the CCF User's Guide (Section titled *The CCF User Using the CCFUSER Software: Recovery Procedures*).

## I. Backup for CCF

If, for any reason, a User is unable to use CCF to submit his Deposit Information Record transactions via CCF, DTC Participant Interface Planning must be notified immediately, and the User must refer to [Appendix B.II, Magnetic Tape Backup](#), below.

## II. Magnetic Tape Backup

The User must prepare a magnetic tape containing his Deposit Information Record transactions. This magnetic tape must have the following characteristics:

- Non-labelled
- 1600/6250 bpi
- RECFM = FB
- LRECL = 250
- BLKSIZE = Efficient Block Size

The User must send this tape with the appropriate external label to DTC via messenger. DTC submits the transactions from the magnetic tape and returns the magnetic tape containing the transactions to the User.

Participants that, in an emergency, are not able to deliver a magnetic tape to DTC via messenger before the appropriate Cutoff Time for Deposit processing (see [DEPC Transmission Cutoff Schedule](#)), are responsible for making other arrangements for backup in case of modem or telephone equipment failures.

Participants must realize that when using CCF to submit transactions to DTC, they are bound by computer and data communications equipment availability at their site. DTC can not afford to delay its entire processing cycle in order to accommodate equipment failures at any Participant site. *It is strongly suggested that all Deposit Users maintain redundant CCF equipment (computers, communication controllers, modems, telephone lines, etc).*

**IN NO EVENT WILL DTC ACCEPT ANY RESPONSIBILITY FOR A PARTICIPANT'S INABILITY TO SUBMIT DEPOSIT TRANSACTIONS.**

## APPENDIX C FILE PREPARATION

In order to use the DEPC function to transmit Deposits Transactions, Users must prepare two files:

- A transaction file containing the DEPC Transactions (see [The DEPC Transmission File \[Input\]](#)). The DEPC Transaction File must have the following characteristics:

|         |                           |
|---------|---------------------------|
| RECFM   | For FB                    |
| LRECL   | 250                       |
| BLKSIZE | any valid multiple of 250 |

The DDNAME representing this file must be specified as the value for the DDIN keyword on the FUNCTION=DEPC control card input to CCFUSER.

- A file to contain the DEPC responses received from DTC. The DEPC response file must have the following characteristics:

|         |      |
|---------|------|
| RECFM   | VB   |
| LRECL   | 1504 |
| BLKSIZE | 1508 |

The DDNAME representing this file must be specified as the value for the DDOUT keyword on the FUNCTION=DEPC control card input to CCFUSER.

This file must be set up to contain enough space for one Error Record per input transaction record, plus One Summary Total Record for the entire transmission. See [DEPC Response Records \(Output\)](#)

# APPENDIX D CCFUSER “ERROR” KEYWORD PROCESSING

The CCF User's Guide describes an “ERROR” keyword that can be coded on the FUNCTION=DEPC control card that is part of the input to CCFUSER. CCFUSER processes DEPC transmission errors, as discussed in the CCF User's Guide, on the basis of the instructions passed via the “ERROR” keyword.

“ERROR” keyword processing by CCFUSER is also based on the value of the Error Severity Indicator in the Summary Total Record. A value of zero indicates that no edit errors were detected, while a non-zero value indicates the existence of errors.

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