



Data Delivery

13.01 ELIGIBLE CORPORATE SECURITIES (ELISC)/ELIGIBLE CORPORATE SECURITIES WITH DESCRIPTIONS (ELISCD): FUNCTION USER'S GUIDE

APRIL 08, 2024

TABLE OF CONTENTS

Document History	3
The ELISC and ELISCD Functions	5
Overview	5
Availability of ELISC and ELISCD	5
Holiday Processing.....	5
The CCF Header Record	6
The CCF-II Header and Trailer Records	7
ELISC Data Records	8
ELISCD Data Records	14
Fed Fund and Chill Status Flag Contents	20
Fed Fund and Chill Status Flag Contents (Packed Format).....	20
Fed Fund and Chill Status Flag Contents (Expanded Format)	21
Status Flag Contents	22
Status Flag Contents (Packed Format)	22
Status Flag Contents (Expanded Format)	23
Extracting Status Flag Bit Values: Sample Cobol Code	24
Less-Active Issue Fee Indicator	25
Appendix	26
Sub Issue Type Description.....	26
“3c7” Rules.....	29

DOCUMENT HISTORY

August 1999

Created appendix 8.1. Moved Field Descriptions for positions 22 and 42 to appendix 8.1

November 2000

Added expanded fields in positions 51 through 72 in ELISC and positions 71 through 92 in ELISCD records. Added sections 4.1 and 5.2 to the document.

April 2001

Added the following fields to section 2.0

72*	1	Character	Foreign Ordinary Securities Indicator	<p>“N” = Security is not eligible for Foreign Ordinary Securities processing.</p> <p>“Y” = Security is eligible for Foreign Ordinary Securities processing.</p>
73*	28	Character	Filler	DTC use only; do not use.

Added the following to section 3.0

92*	1	Character	Foreign Ordinary Securities Indicator	<p>“N” = Security is not eligible for Foreign Ordinary Securities processing.</p> <p>“Y” = Security is eligible for Foreign Ordinary Securities processing.</p>
93*	8	Character	Filler	DTC use only; do not use

February 2003

Updated “3c7” rules

March 2003

Converted from WordPerfect to Word

May 2003

- Update to the “3c7” Rules field description in byte 45 of the ELISC and byte 65 of the ELISCD Data Records.
- Update to the “Rule 144A” field description in byte 46 of the ELISC and byte 66 of the ELISCD Data Records.
- Update to the “Regulation S” field description in byte 47 of the ELISC and byte 67 of the ELISCD Data Records.
- Added a new field in byte 73 of the ELISC and byte 93 of the ELISCD data records.
- Changed value of the existing “Filler” field.
- Changed wording of “3c7 Rules” in section 8.1. **New wording is highlighted**

November 2004

Added field descriptions to position 13 in both ELISC and ELISCD records.

February 2005

Changed field description in position #73 of the ELISC and position #93 of the ELISCD record Layout.

January 2009 (Important Notice B#4351-08)

- Added new field: OA Timeliness Attestation Code
- Added new field: Spanish Tax Withholding Indicator
- Updated field definitions for Direct Registration Service related fields

November 2009 (Important Notice B # 5832-09) Effective May 2010

- **Record size increased to 150 bytes**
- Build America Project added the following fields:
 - Stock for Maturity Indicator;
 - Extended Maturity Indicator;
 - Sovereign Debt Indicator

June 2011

The following fields were added to ELISC (Positions 80–82) and ELISCD (Positions 100–102) data records using available filler. The record length has not changed.

- Issue Type
- Global Lock Indicator
- Global Lock Reason

December 2013

The following fields were added to ELISC (Positions 84–95) and ELISCD (Positions 100–102) data records using available filler. The record length has not changed.

- Deposit Chill Reason
- Ticker Symbol

August 2015

- Marked obsolete fields
- Changed label from Bond Type to Type of Certificate
- Clarified field names for IPO Tracking Indicator, IPO Tracking Period End Date, Federal Book Entry Settlement Indicator, Direct Registration Service Eligibility Indicator
- Updated the list of applicable Sub-Issue Types

October 2105

- Removed U-Book Entry only (Unlimited WT) and X-Book Entry only (limited WT) as valid values from Type of Certificate field. These values are obsolete.

June 2016

- Updated CCF-II Header record layout

September 2020

- Added fields for 871m data

April 2024

- Rebranded document to fit updated template

THE ELISC AND ELISCD FUNCTIONS

Overview

A User may use the ELISC (Eligible Corporate Securities) and ELISCD (Eligible Corporate Securities with Description) functions to receive information about corporate securities that are eligible for DTC transactions.

When requesting the ELISC function, the User will receive a series of machine-readable records. Each record contains the CUSIP number of a corporate security that is eligible for DTC transactions, and a Status byte comprised of flags indicating additional information about the security (such as whether the security is a FAST issue, a frozen issue, etc.).

For Users who require eligible corporate security information in greater detail, the ELISCD function includes a corporate security description in each ELISC record. This is the basic difference between the ELISC and ELISCD functions.

Information received via the ELISC and ELISCD functions may be used to automate creation of the User's corporate security master file (and may reduce the volume of errors that can occur when a User's computer is used to generate DTC transactions).

Availability of ELISC and ELISCD

ELISC and ELISCD will generally be available from 7:30 p.m. to 3:30 p.m. (Eastern Time) the following day.

Holiday Processing

On the following holidays, this file is executed on the **eve** of the holiday and **not renewed** until the next business day following the holiday:

- New Year's Day
- Martin Luther King Day
- President's Day
- Memorial Day
- Independence Day
- Labor Day
- Thanksgiving Day
- Christmas Day

On the following holidays, this file is executed on a daily basis:

- Good Friday
- Columbus Day
- Veterans Day

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.

Note:

NDM Users executing NDMDTF01, and RJE 3770 Users executing RJE3DTF2, will receive the CCF Header record. These Users will not receive the CCF-II Header and Trailer Records described on the following page.

Format of the CCF Header Record				
1	6	Character	Data Type Requested	Value either "ELISC" or "ELISCD".
7	6	Character	Data Type Created	Value either "ELISC" or "ELISCD".
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 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.

CCF-II Header and Trailer Record (DTC Transmits to User)

Position	Length	Format	Description
1	3	Character	Record ID—"HDR" or "TRL"
4	8	Character	Signon ID
12	6	Character	Data Type Requested
18	6	Character	Data Type Created
24	8	Character	Data Creation Date (YYYYMMDD)
32	8	Character	Data Load Date (YYYYMMDD)
40	8	Character	Data Load Time (HH:MM:SS)
48	4	Numeric	Data Length of Data Requested
52	8	Numeric	Number of data records in the file
60	4	Numeric	Number of Records per data type requested (0001)
64	Function Length	Numeric	Reserved filled with spaces for future use.

ELISC DATA RECORDS

The remaining records on the file will be ELISC data records. The format for these records appears below.

All table fields that have changed since the previous edition of this document are marked by an asterisk ("**") in the POSITION column, and bold-face highlighting of new or modified information.

Format of ELISC Data Records				
Position	Length	Format	Field Name	Field Description
1	2	Character	International Country Code	Zero-filled.
3	9	Character	CUSIP Number	Eligible Corporate Security's CUSIP number.
12	1	Character	International Check-Digit	Zero-filled.
13	1	Character	Type of Certificate	Blank = Registered Services only A-Interchangeable (all forms) B-Bearer only D-Interchangeable, bearer only E-All book entry I-Interchangeable M-Fully registered (Multi-purpose) R-Fully Registered
14	2	Packed	Fed Fund and Chill Status Flag (signed)	The contents of this 2-byte PACKED Status Flag are described under Fed Fund and Chill Status Flag Contents .
16	2	Packed	Status Flag (signed)	The contents of this 2-byte PACKED Status Flag are described under Status Flag Contents .
18	3	Packed	TA Fee (signed)	The last two digits in the field represent cents. A value of 00001 represents a variable TA Fee and the Transfer Agent should be contacted for additional information.
21	1	Character	Less-Active Issue Fee Indicator	Refer to Less-Active Issue Fee Indicator on page 22.
22	3	Character	Sub-Issue Type	Refer to Appendix 8.1 on page 23 for a list of the Sub Issue Types and descriptions.
25	3	Character	Special Deposit Processing Type	" " = Regular Deposit Procedures Apply. "I24" = Non-Transferable. "I28" = Temporarily Non-Transferable. "LTD" = Limited Partnership. Additional "Special Deposit Processing Indicators" may appear without notice. Visit the DTCC Client Center.
28	1	Character	IPO Tracking Indicator	"I"—IPO Tracked Spaces—Not IPO Tracked

Format of ELISC Data Records				
Position	Length	Format	Field Name	Field Description
29	2	Character	Version Control	Value = "02"
31	8	Character	IPO Tracking Period End Date (Penalty Date)	Close of IPO Closing Bid Penalty Date. Format = MMDDCCYY.
39	1	Character	P & I Type—obsolete, not supported	Principal and Income Type: "0" = No Exemption Granted (Default). "1" = Exemption Granted for Principal Payments. "2" = Exemption Granted for Income Payments. "3" = Exemption Granted for both Principal and Income Payments.
40	1	Character	Reorg Deposit Indicator	"N" = CUSIP is Not Eligible for Reorg Deposits. "Y" = CUSIP is Eligible for Reorg Deposits.
41	1	Character	Federal Book Entry Settlement Indicator	"N" = Non-Fed Book entry security. "Y"= Fed Book entry security.
42	1	Character	Fractional Share Indicator—field is obsolete as Fractional Dummy CUSIPs are bypassed	
43	1	Character	Custody Service Indicator	"N" = Non Custody Specific (The issue is eligible for custody services and book-entry DTC services.) "Y" = Custody only Service (The issue is eligible only for Custody services).
44	1	Character	Direct Registration Service Eligibility Indicator	"N" = Non Eligible for DRS "Y" = DRS Issue **Refer to section 8.2 "3c7" Rules
45	1	Character	Section 3(c)(7) Indicator	"N" = Issuer has not informed DTC that it is relying on Section 3c7 of the Investment Company Act of 1940. "Y" = Issuer has informed DTC that it is relying on Section 3c7 of the Investment Company Act of 1940.
				<p>NOTE:</p> <p>See section 8.1, 3c7 Rules.</p>

Format of ELISC Data Records				
Position	Length	Format	Field Name	Field Description
46	1	Character	Rule 144a Indicator	"N" = Issuer has not informed DTC that the security is eligible for transfer under Rule 144A of the Securities Act of 1933. "Y" = Issuer has informed DTC that at the time of the initial registration of the security in the name of Cede & Co. the security was eligible for resale under Rule 144A of the Securities Act of 1933.
47	1	Character	Regulation S Indicator	"N" = Issuer has not informed DTC that it intends to offer the security outside of the United States in compliance with Regulation S of the Securities Act of 1933. "Y" = Issuer has informed DTC that it intends to offer the security outside of the United States in compliance with Regulation S of the Securities Act of 1933.
48	1	Character	Segregation 100 Program Indicator	"N" = Not eligible for segregation 100 program. "Y" = Eligible for segregation 100 program.
49	1	Character	Auto Certification Program Indicator	"N" = Not eligible for Auto Certification program. "Y" = Eligible for Auto Certification program.
50	1	Character	Foreign Denominated EDS Indicator	"N" = Foreign denominated issue is not eligible for EDS. "Y" = Foreign denominated is eligible for EDS.
51	8	Character	Expanded Fed Funds and Chill Status Flags	The contents of this expanded 8-BYTE Status Flags are described in Section 4.2.
59	8	Character	Expanded Status Flag	The contents of this expanded 8-BYTE Status Flags are described in Section 5.2.
67	5	Character	Expanded TA Fee	The last two digits in the field represent cents. A value of 00001 represents a variable TA fee and the transfer agent should be contacted for additional information.
72	1	Character	Foreign Ordinary Securities Indicator	"N" = Security is not eligible for Foreign Ordinary Securities processing. "Y" = Security is eligible for Foreign Ordinary Securities processing.

Format of ELISC Data Records				
Position	Length	Format	Field Name	Field Description
73	1	Character	Book Entry Only Security DRS Eligibility Indicator	<p>"0" = Security is eligible for "WT" in statement form only at DTC. Certificates are available at the transfer agent.</p> <p>"1" = Security is eligible for "WT" in statement form only.</p> <p>"2" = Security is DRS eligible but not participating. Certificates only are available.</p> <hr/> <p>NOTE:</p> <p>A "space" in this field indicates that the issue is not DRS-eligible.</p> <hr/>
74	1	Character	OA Rate Timelines Attestation Code	<p>The values:</p> <p>'1'—Conforming CUSIP</p> <p>'2', '3'—Non conforming CUSIP</p> <p>This field is applicable only for Sub-Issue Type '540' CMO and '541' ABS</p> <p>Where:</p> <p>Conforming means that this security is structured in a way that makes it likely for the final rate to be calculated and disseminated to DTC prior to the payable date.</p> <p>and</p> <p>Non-conforming means that this security is structured in a way that makes it unlikely for the final rate to be calculated and disseminated to DTC prior to the payable date.</p>

Format of ELISC Data Records				
Position	Length	Format	Field Name	Field Description
75	1	Character	Spanish Tax Withholding Indicator	<p>Indicates whether the security is subject to Spanish Tax Withholding regulations.</p> <p>Values:</p> <p>“Y”–Subject to Spanish Tax Withholding regulations</p> <hr/> <p>NOTE:</p> <p>To limit Spanish tax withholding, client name and country of residence will be disclosed to the Issuer/Spanish Govt. DO NOT PURCHASE IF YOU DO NOT CONSENT.</p> <hr/> <p>'N', Blank: Not Applicable, Not Available</p> <p>Under Spanish tax regulation, investors in preferred securities, senior notes or subordinated notes listed on an organized market in an OECD country, with no tax residency in Spain and not acting through a permanent establishment in Spain, are exempt from the Spanish Non-resident Income Tax ("NRIT"), provided certain information obligations relating to identity and residence of beneficial owners entitled to receive distributions are complied with. If these information obligations are not complied with, Spanish issuers have to withhold the NRIT.</p>
76	1	Character	Stock for Maturity Indicator	<p>This field indicates whether a bond has the option to pay Maturity proceeds as Stock instead of Cash.</p> <p>The values 'Y'–yes, 'N'–no</p>
77	1	Character	Extended Maturity Indicator	<p>This field indicates whether a bond has the option of extending its stated Maturity Date.</p> <p>The values 'Y'–yes, 'N'–no</p>
78	1	Character	Sovereign Debt Indicator	<p>This field identifies a bond as being Sovereign Debt–issued by a non-US Sovereign entity.</p> <p>The values 'Y'–yes, 'N'–no</p>
79	1	Character	OFAC Sanctioned Indicator	<p>This field Indicates if security is restricted due to OFAC sanctions.</p> <p>The values 'Y'–yes, 'N'–no</p>
80	1	Character	Issue Type	<p>This field identifies a category of the security. The values:</p> <p>1–Equity</p> <p>5–Corporate Bond</p>
81	1	Character	Global Lock Indicator	<p>This field indicates if the security is frozen and globally locked from any activity at DTC.</p> <p>Valid values are:</p> <ul style="list-style-type: none"> • Y–Yes, the Security is globally locked • N–No, the Security is not globally locked

Format of ELISC Data Records				
Position	Length	Format	Field Name	Field Description
82	1	Character	Global Lock Reason	<p>This field provides a reason for the Global Lock. Valid values are space and from 0 to 9:</p> <ul style="list-style-type: none"> • Space–Security is not globally locked. Reason is not applicable. • 0–DTCC Applied Global Lock. • 1–DTCC Applied Global Lock-Compliance Related • Values 2 through 9 are reserved for future use.
83	1	Character	Deposit Chill Reason	<p>This field provides a reason for the Deposit Chill. Valid values are space and from 0 to 9:</p> <ul style="list-style-type: none"> • Space–Security does not have a Deposit Chill. Reason is not applicable. • 0–DTCC Applied Deposit Chill. • 1–DTCC Applied Deposit Chill-Compliance Related. • Values 2 through 9 are reserved for future use.
84	10	Character	Ticker Symbol	An arrangement of characters (usually letters) representing a particular security listed on an exchange or otherwise traded publicly. Only the Primary Exchange Ticker Symbol is displayed.
94	1	Character	871(m) Transaction	<p>Indicates if security is subject to regulation 871(m)</p> <p>Valid values: 'Y'–yes, 'N'–no, space–not applicable/not available</p>
95	1	Character	Contract Type	<p>Contract Type for 871(m) Transaction.</p> <p>Valid values: 'S'-Simple</p> <p>'C'-Complex</p> <p>Space-not applicable</p>
96	7	Numeric	Delta	<p>Value of Delta for Simple Contract Type (The “delta” of an instrument is a measure of the relationship between changes in value of the instrument and changes in value of the underlying stock). Delta is in 9(1)V9(6) format, up to 6 decimal points.</p> <p>Valid values from 0800000 (0.8) to 1000000 (1.0)</p> <p>Default = zeroes</p>
103	48	Character	Filler	DTC use only: do not use.

ELISCD DATA RECORDS

The remaining records on the file will be ELISCD data records. The format for these records appears below.

All table fields that have changed since the previous edition of this document are marked by an asterisk ("**") in the POSITION column, and boldface highlighting of new or modified information.

Format of ELISCD Data Record				
Position	Length	Format	Field Name	Field Description
1	2	Character	International Country Code	Zero-filled.
3	9	Character	CUSIP Number	Eligible Corporate Security's CUSIP number.
12	1	Character	International Check-Digit	Zero-filled.
13	1	Character	Type of Certificate	Blank=Registered Services only. A-Interchangeable (all forms) B-Bearer only D-Interchangeable, bearer only E-All book entry I-Interchangeable M-Fully registered (Multi-purpose) R-Fully Registered
14	2	Packed	Fed Fund and Chill Status Flag (signed)	The contents of this 2-byte PACKED status flag are described under Fed Fund and Chill Status Flag Contents .
16	2	Packed	Status Flag	The contents of this 2-byte PACKED status flag are described under Status Flag Contents .
18	20	Character	Security Description	A corporate security's description as defined by DTC.
38	3	Packed	TA Fee (signed)	The last two digits in the field represent cents. A value of 00001 represents a variable TA Fee and the Transfer Agent should be contacted for additional information.
41	1	Character	Less-Active Issue Fee Indicator	Refer to Less-Active Issue Fee Indicator .
42	3	Character	Sub-Issue Type	Refer to Sub Issue Type Description for a list of the Sub Issue Types and descriptions.

Format of ELISCD Data Record				
Position	Length	Format	Field Name	Field Description
45	3	Character	Special Deposit Processing Type t	" " = Regular Deposit Procedures Apply "I24" = Non-Transferable "I28" = Temporarily Non-Transferable "LTD" = Limited Partnership Additional "Special Deposit Processing Indicators" may appear without notice. Visit the DTCC Client Center.
48	1	Character	IPO Tracking Indicator	"I"—IPO Tracked Spaces—Not IPO Tracked
49	2	Character	Version Control	Value = "02"
51	8	Character	IPO Tracking Period End Date	Close of IPO Bid Penalty Date. Format MMDDCCYY.
59	1	Character	P & I Type —obsolete, not supported	Principal and Income Type: "0" = No Exemption Granted (Default). "1" = Exemption Granted for Principal Payments. "2" = Exemption Granted for Income Payments. "3" = Exemption Granted for both Principal and Income Payments.
60	1	Character	Reorg Deposit Indicator	"N" = CUSIP is Not Eligible for Reorg Deposits. "Y" = CUSIP is Eligible for Reorg Deposits.
61	1	Character	Fed Book Entry Settlement Indicator	"N" = Non Fed Book entry security "Y" = Fed Book entry security.
62	1	Character	Fractional Share Indicator—field is obsolete as Fractional Dummy CUSIPs are bypassed	
63	1	Character	Custody Service Indicator	"N" = Non Custody Specific (The issue is eligible for custody services and book-entry DTC services.) "Y" = Custody only Service (The issue is eligible only for Custody services).
64	1	Character	Direct Registration Service Eligibility Indicator	"N" = Non Eligible for DRS. "Y" = DRS Issue.

Format of ELISCD Data Record				
Position	Length	Format	Field Name	Field Description
65	1	Character	Section 3(c)(7) Indicator	<p>"N" = Issuer has not informed DTC that it is relying on Section 3c7 of the Investment Company Act of 1940.</p> <p>"Y" = Issuer has informed DTC that it is relying on Section 3c7 of the Investment Company Act of 1940.</p> <hr/> <p>NOTE: See 3c7 Rules.</p>
66	1	Character	Rule 144a Indicator	<p>"N" = Issuer has not informed DTC that the security is eligible for transfer under Rule 144A of the Securities Act of 1933.</p> <p>"Y" = Issuer has informed DTC that at the time of the initial registration of the security in the name of Cede & Co. the security was eligible for resale under Rule 144A of the Securities Act of 1933.</p>
67	1	Character	Regulation S Indicator	<p>"N" = Issuer has not informed DTC that it intends to offer the security outside of the United States in compliance with Regulation S of the Securities Act of 1933.</p> <p>"Y" = Issuer has informed DTC that it intends to offer the security outside of the United States in compliance with Regulation S of the Securities Act of 1933.</p>
68	1	Character	Segregation 100 Program Indicator	"N" = Not eligible for segregation 100 program. "Y" = Eligible for segregation 100 program.
69	1	Character	Auto Certification Program Indicator	"N" = Not eligible for Auto Certification program. "Y" = Eligible for Auto Certification program.
70	1	Character	Foreign Denominated EDS Indicator	<p>"N" = Foreign denominated issue is not eligible for EDS.</p> <p>"Y" = Foreign denominated is eligible for EDS.</p>
71	8	Character	Expanded Fed Funds and Chill Status Flags	The contents of this expanded 8-BYTE Status Flags are described in Section 4.2.
79	8	Character	Expanded status Flags	The contents of this expanded 8-BYTE Status Flags are described in Section 5.2.
87	5	Character	Expanded TA Fee	The last two digits in the field represent cents. A value of 00001 represents a variable TA fee and the transfer agent should be contacted for additional information.
92	1	Character	Foreign Ordinary Securities Indicator	<p>"N" = Security is not eligible for Foreign Ordinary Securities processing.</p> <p>"Y" = Security is eligible for Foreign Ordinary Securities processing.</p>

Format of ELISCD Data Record				
Position	Length	Format	Field Name	Field Description
93	1	Character	Book Entry Security DRS Eligibility Indicator	<p>“0” = Security is eligible for “WT” in statement or certificate form.</p> <p>“1” = Security is eligible for “WT” in statement form only.</p> <p>“2” = Security is eligible for “WT” in statement form only from DTC. Certificates are available from the transfer agent.</p> <hr/> <p>NOTE:</p> <p>A “space” in this field indicates that the issue is not DRS-eligible.</p>
94	1	Character	OA Rate Timelines Attestation Code	<p>The values:</p> <p>‘1’–Conforming CUSIP</p> <p>‘2’, ‘3’–Non conforming CUSIP</p> <p>This field is applicable only for Sub-Issue Type ‘540’ CMO and ‘541’ ABS</p> <p>Where:</p> <p>Conforming means that this security is structured in a way that makes it likely for the final rate to be calculated and disseminated to DTC prior to the payable date.</p> <p>and</p> <p>Non-conforming means that this security is structured in a way that makes it unlikely for the final rate to be calculated and disseminated to DTC prior to the payable date.</p>

Format of ELISCD Data Record				
Position	Length	Format	Field Name	Field Description
95	1	Character	Spanish Tax Withholding Indicator	<p>Indicates whether the security is subject to Spanish Tax Withholding regulations.</p> <p>Values:</p> <p>“Y”–Subject to Spanish Tax Withholding regulations</p> <hr/> <p>NOTE:</p> <p>To limit Spanish tax withholding, client name and country of residence will be disclosed to the Issuer/Spanish Govt. DO NOT PURCHASE IF YOU DO NOT CONSENT.</p> <hr/> <p>‘N’, Blank: Not Applicable, Not Available</p> <p>Under Spanish tax regulation, investors in preferred securities, senior notes or subordinated notes listed on an organized market in an OECD country, with no tax residency in Spain and not acting through a permanent establishment in Spain, are exempt from the Spanish Non-resident Income Tax (“NRIT”), provided certain information obligations relating to identity and residence of beneficial owners entitled to receive distributions are complied with. If these information obligations are not complied with, Spanish issuers have to withhold the NRIT.</p>
96	1	Character	Stock for Maturity Indicator	<p>This field indicates whether a bond has the option to pay Maturity proceeds as Stock instead of Cash.</p> <p>The values ‘Y’–yes, ‘N’–no</p>
97	1	Character	Extended Maturity Indicator	<p>This field indicates whether a bond has the option of extending its stated Maturity Date.</p> <p>The values ‘Y’–yes, ‘N’–no</p>
98	1	Character	Sovereign Debt Indicator	<p>This field identifies a bond as being Sovereign Debt–issued by a non-US Sovereign entity.</p> <p>The values ‘Y’–yes, ‘N’–no</p>
99	1	Character	OFAC Sanctioned Indicator	<p>This field Indicates if security is restricted due to OFAC sanctions.</p> <p>The values ‘Y’–yes, ‘N’–no</p>
100	1	Character	Issue Type	<p>This field identifies a category of the security. The values:</p> <p>1–Equity</p> <p>5–Corporate Bond</p>
101	1	Character	Global Lock Indicator	<p>This field indicates if the security is frozen and globally locked from any activity at DTC.</p> <p>Valid values are:</p> <ul style="list-style-type: none"> • Y–Yes, the Security is globally locked • N–No, the Security is not globally locked

Format of ELISCD Data Record				
Position	Length	Format	Field Name	Field Description
102	1	Character	Global Lock Reason	<p>This field provides a reason for the Global Lock. Valid values are space and from 0 to 9:</p> <ul style="list-style-type: none"> Space—Security is not globally locked. Reason is not applicable. 0—DTCC Applied Global Lock. 1—DTCC Applied Global Lock-Compliance Related Values 2 through 9 are reserved for future use.
103	1	Character	Deposit Chill Reason	<p>This field provides a reason for the Deposit Chill.</p> <p>Valid values are space and from 0 to 9:</p> <ul style="list-style-type: none"> Space—Security does not have a Deposit Chill. Reason is not applicable. 0-DTCC Applied Deposit Chill. 1-DTCC Applied Deposit Chill-Compliance Related. Values 2 through 9 are reserved for future use.
104	10	Character	Ticker Symbol	An arrangement of characters (usually letters) representing a particular security listed on an exchange or otherwise traded publicly. Only the Primary Exchange Ticker Symbol is displayed.
114	1	Character	871(m) Transaction	Indicates if security is subject to regulation 871(m). Valid values: 'Y'—yes, 'N'—no, space—not applicable/not available
115	1	Character	Contract Type	<p>Contract Type for 871(m) Transaction. Valid values: 'S'-Simple</p> <p>'C'-Complex</p> <p>Space-not applicable</p>
116	7	Numeric	Delta	<p>Value of Delta for Simple Contract Type (The “delta” of an instrument is a measure of the relationship between changes in value of the instrument and changes in value of the underlying stock). Delta is in 9(1)V9(6) format, up to 6 decimal points.</p> <p>Valid values from 0800000 (0.8) to 1000000 (1.0) Default = zeroes</p>
123	28	Character	Filler	DTC use only: do not use.

FED FUND AND CHILL STATUS FLAG CONTENTS

Fed Fund and Chill Status Flag Contents (Packed Format)

Each bit of this Eligible Security Record's Fed Fund and Chill Status Flag may prove significant within the DTC Participant's operating environment. (For COBOL capable of simplifying the processing of bits of the Status Flag, Refer to [Extracting Status Flag Bit Values: Sample COBOL Code](#)".

The following table describes the function of each bit of the Status Flag, ranging from the most significant to the least significant position in the byte. (**Bit No.**, in this table refers to the subscript useable after the COBOL conversion.)

Format of the Fed Fund and Chill Status Byte		
Bit No.	Decimal Value	Meaning of value equal to 1
1	+128	Fed Fund Indicator (CUSIP settles in same day funds).
2	+64	Deposit Chill Indicator (deposit rejected).
3	+32	COD Chill Indicator (COD rejected).
4	+16	W/T Chill indicator (W/T rejected).
5	+8	DO Chill Indicator (DO rejected).
6	+4	Pledge Chill Indicator (Pledges rejected).
7	+2	Segregation Chill Indicator (Segregation rejected).
8	+1	Inter Depository Chill Indicator.

Fed Fund and Chill Status Flag Contents (Expanded Format)

Each byte of this Eligible Security Record's Fed Fund and Chill Status Flag may prove significant within the DTC Participant's operating environment.

The following table describes the function of each byte of the Status Flag, ranging from the most significant to the least significant position in the byte.

Format of the Fed Fund and Chill Status Byte			
Position No.		Indicator	Meaning of indicator when equal to 1
ELISC	ELISCD	A1" or A0"	
58	78	1	Fed Fund Indicator (CUSIP settles in same day funds).
57	77	1	Deposit Chill Indicator (deposit rejected).
56	76	1	COD Chill Indicator (COD rejected).
55	75	1	W/T Chill indicator (W/T rejected).
54	74	1	DO Chill Indicator (DO rejected).
53	73	1	Pledge Chill Indicator (Pledges rejected).
52	72	1	Segregation Chill Indicator (Segregation rejected)
51	71	1	Inter Depository Chill Indicator.

STATUS FLAG CONTENTS

Status Flag Contents (Packed Format)

Each bit of an Eligible Security Record's Status Flag may prove significant within the DTC Participant's operating environment. For COBOL capable of simplifying the processing of bits of the status flag, refer to [Extracting Status Flag Bit Values: Sample COBOL Code](#).

The following table describes the function of each bit of the Status Flag, ranging from the most significant to the least significant position in the byte.

Note:

"Bit No." in this table refers to the subscript usable after the COBOL conversion.

Format of the Eligible Security Status Byte		
Bit No.	Decimal Value	Meaning of value equal to 1
1	+128	The security is in interim status.
2	+64	The security is in the process of being deleted at DTC.
3	+32	The security is frozen and only withdrawal activity is allowed.
4	+16	The security is in reorganization.
5	+8	The security is a communication issue and only paper W/T's will be accepted.
6	+4	W/T's for the security are handled via FAST.
7	+2	COD's for the security are handled via FAST.
8	+1	The security is not eligible for dividend reinvestment.

Status Flag Contents (Expanded Format)

Each byte of an Eligible Security Record's Status Flag may prove significant within the DTC Participant's operating environment.

The following table describes the function of each byte of the Status Flag, ranging from the most significant to the least significant position in the field.

Format of the Eligible Security Status Byte			
Position No.		Indicator A1" or A0"	Meaning of value equal to 1
ELISC	ELISCD		
66	86	1	The security is in interim status.
65	85	1	The security is in the process of being deleted at DTC.
64	84	1	The security is frozen and only withdrawal activity is allowed.
63	83	1	The security is in reorganization.
62	82	1	The security is a communication issue and only paper W/T's will be accepted.
61	81	1	W/T's for the security are handled via FAST.
60	80	1	COD's for the security are handled via FAST.
59	79	1	The security is not eligible for dividend reinvestment.

EXTRACTING STATUS FLAG BIT VALUES: SAMPLE COBOL CODE

The status of any eligible security is transmitted as a series of bit values in a One-byte Status Flag, in order to minimize data transmission time.

The contents of each bit of this Status Flag may prove uniquely significant in the transaction recipient's environment. COBOL coding like the following may be used to convert a status flag (WS-STATUS-FLAG) into byte values, stored as a series of eight decimal "0" or "1" digits in the subscripted table named WS-STATUS-BITS.

WORKING-STORAGE SECTION.

77 BIT-NO PIC S9(04)COMP.

01 WS-STATUS-INPUT PIC S9(04)COMP-3.

01 WS-STATUS-WORK PIC S9(04)COMP-3.

01 WS-DECIMAL-VALUE PIC S9(04)COMP-3.

01 WS-STATUS-BITS.

05 WS-STATUS PIC 9OCCURS 8 TIMES.

PROCEDURE DIVISION.

MOVE (field to be converted) TO WS-STATUS-INPUT.

IF WS-STATUS-INPUT > +0

MOVE +256 TO WS-DECIMAL-VALUE

PERFORM SET-VALUE THRU SET-EXIT

VARYING BIT-NO FROM 8 BY-1

UNTIL BIT-NO = +0.

SET-VALUE.

DIVIDE +2 INTO WS-DECIMAL-VALUE.

SUBTRACT WS-DECIMAL-VALUE FROM WS-STATUS-INPUT

GIVING WS-STATUS-WORK.

IF WS-STATUS-WORK = +0

OR WS-STATUS-WORK > +0

MOVE 1 TO WS-STATUS--BIT (BIT-NO)

MOVE WS-STATUS-WORK TO WS-STATUS-INPUT

ELSE

MOVE 0 TO WS-STATUS-BIT (BIT-NO).

SET-EXIT.

EXIT.

If the value of the packed 2 BYTE field is equal to "123F" the output of above logic is "11011110"

8 8

Bit #8 Bit #1

LESS-ACTIVE ISSUE FEE INDICATOR

A list of the various values for the Less-Active Issue Fee Indicator found in Position 21 of the ELISC and Position 41 of the ELISCD data records, with an explanation for each code, appears below:

CODE	EXPLANATION
Blank	Active Issue, not subject to a Less-Active Issue fee.
Zero	Active Issue, not subject to a Less-Active Issue fee.
1	Issue subject to a Less-Active Issue Fee for Deposits.
2	Issue subject to a Less-Active Issue Fee for Withdrawals-by-Transfers.
3	Issue subject to a Less-Active Issue Fee for Long Positions.
4	Issue subject to a Less-Active Issue Fee for Deposits and Withdrawals-by-Transfers.
5	Issue subject to a Less-Active Issue Fee for Deposits and Long Positions.
6	Issue subject to a Less-Active Issue Fee for Withdrawals-by-Transfers and Long Positions.
7	Issue subject to a Less-Active Issue Fee for Deposits, Withdrawals-by-Transfers and Long Positions.

APPENDIX

Sub Issue Type Description

Sub-Issue Type	Sub-Issue Type Description
000	Not applicable
010	Common Stock
011	Convertible Common Stock
012	Common Stock REIT
020	Preferred Stock
022	Preferred Stock REIT
023	Convertible Preferred Stock
024	Tender Rate Preferred Stock
030	Limited Partnerships
040	CMO Denom in "Units" or "Undivided Interest"
041	ABS Denom in "Units" or "Undivided Interest"
042	Issue Denom in "Units" or "Undivided Interest"
102	Auction Rate Preferred Stock (ARPS)
110	American Depositary Receipt (ADR)
111	DEPOSITARY SHARE
117	Exchange Traded Funds
120	MMI Preferred Stock (in CP-like mode)
121	Equity 144A Designated Investors
125	Sealed Envelopes
126	Custody User CUSIP
127	Non-Standard Asset User CUSIPs
130	Real-Estate Investment Trust (REIT)
500	Corporate Bond (CB) or Global Corp Bond (GCB)
502	MMI Bankers= Acceptance Note (BA)
504	MMI Institutional Certificate of Deposit

Sub-Issue Type	Sub-Issue Type Description
505	Certificated Money Market Instrument
506	Certificated Money Market-Periodic Payer
507	Certificates of Deposit
510	CPI Interest at Maturity (IAM) Commercial Paper
511	Periodic Payment Commercial Paper (CP)
520	CPI Discount Commercial Paper (CP)
525	MMI Corporate Commercial Paper
526	MMI Corporate VDRO/CP
530	MTN Medium-Term Note
531	MMI Deposit Note
532	MMI Medium-Term Bank Note
533	MMI Medium Term Note
540	Collateralized Mtge Obligation or Global CMO
541	Asset-backed Security (ABS) or Global ABS (GABS)
542	Non-CMO/ABS Amortizing Issue
545	Corporate 144A Designated Investors
546	Corporate Other Tax Exempt
550	MMI Short-Term Bank Note
551	Z CPN Denom in Initial Principal Amt
560	MMI Discount Note
571	Corporate Auction Rate Note
572	Convertible Corporate Debt
573	Corporate Variable Mode Obligation (CVMO)
574	Corporate Short-Term Note
575	Corporate Debenture
576	Corporate Variable Rate Demand Obligation (VRDO)
577	CORPORATE INSURED CUSTODIAL RECEIPT
578	Tender Rate Note

Sub-Issue Type	Sub-Issue Type Description
579	Zero Coupon Bond
601	GOVERNMENT SECURITY
602	Government Trust Certificate
603	Junk and Treasury Growth Receipt (JGR)
610	US Treasury Security
611	US Treasury Bill
612	US Treasury Note
613	US Treasury Bond
620	US Government Agency Security
700	Package
542	Non-CMO/ABS Amortizing Issue
704	Corporate Debt Derivatives
705	Equity Derivatives
720	Warrant
730	Right
760	Mutual Fund
761	Closed End Fund
762	(IMM) Institutional MMI Mutual Fund Shares
780	EQUITY UNIT
781	DEBT UNIT
790	UNIT INVESTMENT TRUST (UIT-NUVEEN ONLY)
791	Global Unit Trust
795	UNIT INVESTMENT TRUST (UIT)

“3c7” Rules

“3c7”: Indicates the issuer of the security has informed DTC that it is relying on **the** exemption from the definition of “investment company” provided by Section 3(c)(7) of the Investment Company Act of 1940, as amended (the “Investment Company Act”). DTC has been informed by counsel to certain of these issuers that:

Section 3(c)(7) requires that all holders of the outstanding securities of such an issuer (or, in the case of a non-U.S. issuer, all holders that are U.S. Persons) are “qualified purchasers” (“QPs”), as defined in Section 2(a)(51)(A) of the Investment Company Act and related rules. Under the rules, the issuer must have a “reasonable belief” that all holders of its outstanding securities (or, in the case of a non-U.S. issuer, all holders that are U.S. Persons), including transferees, are QPs. Consequently, all sales and resales of the securities (or, in the case of non-U.S. issuers, all sales and resales in the United States or to U.S. Persons) must be made pursuant to Rule 144A under the Securities Act of 1933, as amended (the “Securities Act”), solely to purchasers that are “qualified institutional buyers” (“QIBs”) within the meaning of Rule 144A and are also QPs (“QIB/QPs”). Each purchaser will be deemed to represent that: (i) the purchaser is a QIB/QP; (ii) the purchaser is not a broker-dealer which owns and invests on a discretionary basis less than \$25 million in securities of unaffiliated issuers; (iii) the purchaser is not a participant-directed employee plan, such as a 401(k) plan; (iv) the QIB/QP is acting for its own account, or the account of another QIB/QP; (v) the purchaser is not formed for the purpose of investing in the issuer; (vi) the purchaser, and each account for which it is purchasing, will hold and transfer at least the minimum denomination of securities; (vii) **the purchaser understands that the issuer may receive a list of participants holding positions in its securities from one or more book-entry depositaries, and** (viii) the purchaser will provide notice of the transfer restrictions to any subsequent transferees.

The charter, bylaws, organizational documents or securities issuance documents of an issuer relying on Section 3(c)(7) of the Investment Company Act and Rule 144A of the Securities Act with respect to an offering of securities typically provide that the issuer will have the right to (i) require any holder of securities (or, in the case of a non-U.S. issuer, any holder that is a U.S. Person) that is determined not to be both a QIB and a QP to sell the securities to a QIB that is also a QP or (ii) redeem any securities held by such a holder on specified terms. In addition, such an issuer typically has the right to refuse to register or otherwise honor a transfer of securities to a proposed transferee (or, in the case of a non-U.S. issuer, a proposed transferee that is a U.S. Person) that is not both a QIB and a QP. As used herein, the terms “United States” and “U.S. Person” have the meanings given such terms in Regulation S under the Securities Act.

© 2025 DTCC. All rights reserved. DTCC and DTCC (Stylized) and Financial Markets. Forward. are registered and unregistered trademarks of The Depository Trust & Clearing Corporation DTCC. The services described herein are provided under the “DTCC” brand name by certain affiliates of The Depository Trust & Clearing Corporation (“DTCC”). DTCC itself does not provide such services. Each of these affiliates is a separate legal entity, subject to the laws and regulations of the particular country or countries in which such entity operates. Please see www.dtcc.com for more information on DTCC, its affiliates and the services they offer.

Doc Date: April 08, 2024

Publication Code: MAS108

Service: Function User's Guide

Title: 13.01 Eligible Corporate Securities (ELISC)/Eligible Corporate Securities with Descriptions (ELISCD): Function User's Guide

For More Information

DTCC Client Center: www.dtcc.com/client-center

DTCC Learning Center: www.dtccllearning.com

