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## Settlement

### 5.04 CF2POC: FUNCTION USER'S GUIDE

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# USE OF THE CCF-II PAYMENT ORDERS FUNCTION

A Payment Order is a transaction received by Depository Trust Company requesting transfer of a specified dollar amount from one DTC Participant to another. The "Payee" Participant initiates the request.

Payment Orders may be transmitted to Depository Trust Company via CCF-II's CF2POC function, described herein and utilizing IBM's Remote Job Entry (RJE) or Network Data Mover (NDM) software.

This document discusses all aspects of transmission to DTC's Computer-to- Computer Facility Two (CCF-II).

## The CF2POC Function

A CCF-II user may use the CF2POC function in order to transmit Payment Order (PO) transactions to DTC.

When using the CF2POC function, the CCF-II user will transmit Security Payment Order (SPO) and/or Premium Payment Order (PPO) transactions to DTC and receive responses indicating any errors that have been detected in the transmitted transactions.

If the user considers the transactions transmitted using CF2POC to be critical, he should prepare procedures to be used when CCF-II is unavailable (Refer to "[Recovery and Backup for CCF-II](#)").

# THE INPUT FILE OF THE PAYMENT ORDERS FUNCTION

Payees are expected to group Payment Orders into a computer file, precede that file with "security" and "Header" Records and also conclude the file with a "Trailer" Record. The security, Header and Trailer Records found in each transmitted file are "housekeeping" Records serving the following purposes:

- Security** Each Security Record specifies the signon utilizing DTC's Payment Order Function, his legitimate password and a copy of the transmission's unique identifying number (Refer to Header).
- Header** Each Header Record identifies the transmitter of the Payment Order transactions and serves to identify the transmission uniquely as one not transmitted previously. Certain other information pertinent to the entire transmission is also incorporated in the Header.
- Trailer** Each Trailer Record must conclude the transmission in which it is found and serves to specify the quantity of Records present and gives the share and dollar values of the entire transmission.

Technical information describing each of these Records may be found in [Records in a Payment Order Transmission](#).

## Times of Day of Payment Order Receipt

The CCF-II CF2POC function operates between the hours of 3:00 a.m. and 3:05 p.m. Eastern Time. Participants may use this function as often as proves necessary. The actual transfer of security position usually takes place less than 10 minutes after a valid Payment Order is received.

- Between 3:00 a.m. and 3:05 p.m. (Eastern Time) all forms of Payment Orders are accepted.

Valid Reason Codes appear in [Appendix A](#).

## Testing the Use of the CCF-II CF2POC Function

By placing a "T" or a "P" in the processing option field of the transmission Header Record, Participants may specify whether the transmission is for "Test" or "Production" purposes.

- Production** All Payment Orders recognized as fully valid in a "production" transmission affect the payee's and payor's accounts.
- Test** No Payment Orders in a "test" transmission affect Participants' accounts. They are listed (at DTC) and, if invalid, are returned to the Payee Participant. DTC has created the "test" function to facilitate development of the Participants' computer systems. Such "test" listings are available from DTC upon request.

## Outputs from the Payment Orders Function

Whenever a security Record's signon and password fail DTC's edit check, an "Acknowledgment File" containing an "Error" message Record is created.

At all other times, a "Control" Record begins the Acknowledgment File. This file is always returned to the payee Participant by DTC. The file is routinely concluded with an "Audit" Record. The functions of these Records are described below:

- Error** Each error Record is identified by the expression "ERR" and by information found in the received security Record (when present). In addition, it identifies security violations which might occur. Among these are an invalid password, or a Participant's attempt to use the Payment Order function when it is not eligible. When there is an "ERR" Record at the beginning of DTC's Acknowledgment File, the following Records will not be found in the file:
- Control** Each control Record is identified by information found in the received Header Record (when present). In addition, it identifies serious errors which might occur. Among these are the absence

of a Header or incorrect Header information, and the absence of a Trailer or incorrect Trailer information. Another serious error is caused by attempts to use the "CF2POC" function at the wrong time of day. The control Record also specifies the quantity of detail Records found to be invalid.

**Audit** The audit Record specifies exactly how many detail Records, Payment Orders, were accepted along with their total security quantity and dollar value. Such quantities found in invalid input are, of course, excluded from these totals.

Although errors are desired by no one, they happen. Most simply stated a transmission may:

- Be totally error free
- Include erroneous Payment Orders
- Be totally rejected due to transmission timing, Header or Trailer errors
- Be totally refused due to security errors.

In order to report errors, Records returned to the Payee Participant will be 20-bytes longer than those originally transmitted to DTC. The 20 bytes represent a series of one to twenty error flags, (see "[The Returned PPO Type 20 Record and its Error Flags](#)") returned to the transmitter to indicate the nature of the errors encountered by software during receipt of the transmission.

If the security Record fails to properly identify a User, only an "error" Record is returned.

If a Header Record fails to correctly identify a transmission, the entire transmission is returned without being processed. Every Record is flagged, but unedited.

If a Trailer Record is incorrect, all the Records are returned unaccepted, but they will have been edited and error flags will have been set as necessary.

If the transmission is rejected because it was submitted outside of "CF2POC" operating hours, all the Records are returned unaccepted, but they will have been edited and error flags will have been set accordingly.

If the Header and Trailer are correct, but one or more Payment Orders prove erroneous, only error-free Payment Orders within the transmission will be processed.

The acknowledgment file always includes:

- An error Record

...OR...

- A control Record and an audit Record bracketing 0 or more reject Records.

When the acknowledgment file excludes an error Record it includes:

- A control Record, which always specifies the transmission's result
- A copy of the input Header Record (including appropriately set error flags) when the transmission is rejected
- Valid Payment Orders when the transmission cannot be accepted
- Any invalid Payment Orders, including flags identifying the circumstances of their rejection.
- A copy of the input Trailer Record (including appropriately set error flags) when the transmission is rejected
- An audit Record specifying the number of Records, Payment Orders, Security Quantity and dollar values accepted by DTC.

# TRANSMITTING TRANSACTIONS TO DTC

DTC's Computer-to-Computer Facility II (CCF-II) is a medium for transmitting data to and from DTC.

When a CCF-II User wishes to transmit data to DTC, he must prepare JCL as specified in this document, and in either the CCF-II/RJE USER'S GUIDE or the CCF-II/NDM USER'S GUIDE. The User then transmits the DTC-specified JCL in order to initiate a job within DTC's Computer System. The input file Records are then edited and any Records in error will be transmitted back to the User. Valid transmissions will be processed.

The User will submit the following procedure name and overriding parameter in the transmitted JCL to indicate the function being processed:

procedure name	RJEPOEDT or NDMPOEDT
override parameter	FUNC=CF2POC

Thus, the format the EXEC JCL statement for a CCF-II/RJE User wishing to transmit CF2POC transactions for processing by DTC would be:

```
// EXEC RJEPOEDT, FUNC=CF2POC, TIME=HHMMSS, DATE=MMDDYY, RMT=###,
//      USERID=xxxx, TRANID=nnn
//S10RBLK.INFILE DD *
.
. input (Refer to Records IN A PAYMENT ORDER TRANSMISSION)
```

where:

RJEPOEDT is DTC's processing procedure, and:

HHMMSS = time of transmission, left as HHMMSS by User, and supplied by DTC system. Must be CAPITAL LETTERS.

MMDDYY = date of transmission, left as MMDDYY by User, and supplied by DTC system. Must be CAPITAL LETTERS.

xxxx = Participant number or Signon ID.

nnn = Transmission ID number; must be numeric; greater than zero; right justified and zero-filled; unique for the day.

### = remote number from SIGNON card of first transmission.

# RECOVERY AND BACKUP FOR CCF-II

## Recovery Procedures

Restart capability is available for CCF-II Users. Details of the procedures to be followed in the event that RESTART is necessary are provided in the CCF-II SYSTEM USER'S GUIDE in the section entitled "RECOVERY/RESTART PROCEDURES".

## Backup for CCF-II

If, for any reason, a User is unable to use CCF-II to enter his transactions as scheduled, DTC Network Operations should be notified immediately.

If the User is not able to enter his Payment Order transactions via CCF-II because of modem or telephone line equipment failures at his site, the User has the following option:

- Create a tape in the RJE format of Payment Order transactions and bring it to DTC via a messenger.

NON-LABELLED

1600 / 6250 BPI

RECFM = FB

LRECL = 80

BLKSIZE = Efficient Block Size.

... OR ...

- Create a tape in the NDM and SNA format of Payment Order transactions and bring it to DTC via a messenger.

NON-LABELLED

1600 / 6250 BPI

RECFM = FB

LRECL = 180

BLKSIZE = Efficient Block Size.

DTC will input the transactions from the tape and return it to the User.

Participants who, in an emergency, will not be able to deliver a magnetic tape to DTC via messenger before cutoff for CF2POC, are responsible for making other arrangements for backup in case of modem or telephone equipment failures.

Participants should realize that when using CCF-II to input transactions to DTC, they are bound by computer and data communications equipment availability at their site. DTC cannot afford to delay its entire processing cycle in order to accommodate equipment failures at any participant site. It is strongly suggested that all CF2POC Users maintain redundant CCF-II equipment (computers and communication controllers).

**IN NO EVENT will DTC accept any responsibility for a Participant's inability to enter CF2POC transactions.**

# CF2POC INPUT TRANSMISSION FILE

There are limitations on the size of files transmitted to DTC, although DTC does not expect this fact to be significant.

All input files transmitted by the CF2POC RJE function are first reformatted by DTC from card images into 180-character Records. No RJE transmission may involve more than 3330 of such Records.

Files processed by the CF2POC NDM transmission method may not include more than 99,990 Records.

As noted below, NDM returns files composed of 200-character Records. When RJE is used, 200-character Records are returned to the User divided into three card images (Refer to "[Transmitting Transactions to DTC](#)"). The following Record descriptions describe only 180-character input images, not 80-character card images.

## Records in a Payment Order Transmission

All of the Record formats accepted by the CF2POC function are described in detail below. The list of these includes:

- The CCF-II Security Record
- The CF2POC Header Record
- Payment Order Transaction Records. These are:
  - The required Transaction Data Record -- "Type 20" -- (in SPO or PPO format)
  - The optional Transaction Remarks Record -- "Type 21"
- The CF2POC Trailer Record

## The CCF-II (Input Only) Security Record

The security Record transmitted to DTC serves to introduce and identify the signon to the CCF-II system. Its password must always be valid and up to date.

Where security is a consideration at the User's site, the Record may be concatenated in front of the data file from another source. The format of this Record follows.

CCF-II Security Record Format - Type "PSW"				
Position	Length	Format	Field Name	Field Description
1	3	Character	Record Type	This field always contains the value "PSW" to identify the Record.
4	6	Character	Signon ID	Signon ID consists of a valid, DTC Participant number "nnnnnn" or sometimes a Group User ID in the format "Gnnn". Left justified, space filled.
10	6	Character	Password Field	Passwords are obtainable through DTC's Participant Interface Planning Group.
16	6	Character	Activity Type	Specifies the nature of the transmission, e.g., "CF2POC".
22	3	Numeric	Transmission ID	Uniquely identifies the transmission. Should agree with that in the "HDR" Record described below.

CCF-II Security Record Format - Type "PSW"				
Position	Length	Format	Field Name	Field Description
25	156	Character	Filler	This field is reserved for future use and extends the Record to a length of 180 characters.

## The CF2POC Header Record

The following "HDR" Record is expected to begin Payment Order Transmissions. Each field is edited as indicated.

Transmission Header Record Format - Type "HDR" (Part 1 of 2)				
Position	Length	Format	Field Name	Field Description
1	3	Character	Record Type	This field must contain the value "HDR", identifying the first Record of the input file.
4	8	Character	Signon ID	Signon ID identifies the transmitting agent. Currently, the first four bytes must be blank and the last four must be a DTC signon like "Gxxx" for Group Users or "nnnn" for Participants.
2	2	Character	Individual User (Signon Department)	This field is reserved for future use as an identifier of a Participant's source department. It must be filled with spaces or zeroes.
14	6	Character	Filler	DTC use only. Must be initialized to spaces.
20	6	Numeric	Process Date	This field must contain a date in MMDDYY format and must be equal to the date of transmission.
26	6	Character	Activity Type	Must contain "CF2POC", identifying a Payment Order transmission.
32	3	Numeric	Transmission ID Number	This field must contain a number uniquely identifying each transmission from the same signon. It may not equal zero.
35	1	Character	Transmission Option	Must contain "A" to identify a new transmission.

Transmission Header Record Format - Type "HDR" (Part 2 of 2)				
Position	Length	Format	Field Name	Field Description
36	1	Character	Processing Option	Must contain "T" (indicating "test") or "P" (indicating that data is for production).
37	10	Numeric	Header Record Error Flags	Each of these ten bytes indicate, when "0", that a field was correct, or when other than "0", that a field proved unacceptable. (Refer to <a href="#">"The Returned Header Record and its Error Flags"</a> ).
47	134	Character	Filler	DTC use only. Must be initialized to spaces.

# PAYMENT ORDER TRANSACTION RECORDS

There are three types of Payment Order transaction Records:

- SPO Transaction Data Records.
- PPO Transaction Data Records.
- SPO/PPO Transaction Remarks Records.

Here are some basic rules for the above Records, followed by their formats:

<b>SPO Transaction Data Records</b>	Detailed information regarding each Security Payment Order transaction (Record type 20). If the User is to send an SPO transaction -- this Record is mandatory.
<b>PPO Transaction Data Records</b>	Detailed information regarding each Premium Payment Order transaction (Record type 20). If the User is to send a PPO transaction -- this Record is mandatory.
<b>SPO/PPO Transaction Remarks Records</b>	This Record is used to add remarks to a SPO/PPO detail transaction. These Records (Record type 21) are optional and should be preceded by either an SPO or PPO Transaction Data Record. When used these Records will be included in Trailer Record count tabulations.

If the transmission is accepted, the detail SPO/PPO Records will be processed.

The CCF-II Payment Order System will accept up to two detail Records in the transaction set. The first detail Record in the transaction set (Record type="20") is mandatory. The second Record in the set (Record type="21") is optional. The following are the only valid combinations of Records for a transaction set:

1. One detail Record set - Record Type = "20"
2. Two detail Record sets - Record Type = "20" (first)  
Record Type = "21" (second)

An edit error in a detail Record (or set of detail Records for the same transaction) will cause only that Record (or set of Records for the same transaction) to be rejected. All valid Records will continue to be processed.

Returned Payment Order Detail Records differ from transmission Header and Trailer Records in that their "error flags" fields are located in character positions 181 to 200 of the Record. The first of these flags, in position 181, equals "1" whenever any part of a Payment Order is erroneous. When the error flags field reads "10000000000000000000", the cause of the Record's rejection is to be found in some other Record. (e.g., When a type "21" Record is invalid, its preceding type "20" Record is also flagged as invalid)

Other flags are each associated with a data field of the Record. A flag of "0" indicates a field is acceptable, while other values specify the cause of the Record's rejection. CCF-II uses integer character flags to ensure their correct transfer to hardware systems other than IBM's.

## SPO Transaction Data (Type 20) Record

The data Record is used to specify the required data for a Security Payment Order transaction.

The length of the data Record is 180 characters.

### NOTE:

Depending upon the reason code entered for a particular transaction, fields may be required, optional or not allowed to be entered. Fields which are not allowed and fields which are optional for a particular reason code should be initialized as follows:

- numeric fields -- initialize to zeroes.
- character fields -- initialize to spaces.

If a field is NOT INITIALIZED PROPERLY, the Record will be REJECTED. For example, fields containing low values will be rejected.

The following is a description of the detail Records for Security Payment Orders:

SPO Detail Record Type 20 (Part 1 of 7)				
Position	Length	Format	Field Name	Field Description
1	2	Character	Record Type	This field is to contain a value of "20". (Specifies that this is the first detail Record of the transaction set).
3	1	Character	Format Indicator	Odd Lot Debt Conversion Indicator: This field is mandatory to indicate the Security Quantity for bonds. " " Security Quantity 1 = 1 for stocks "D" Security Quantity 1 = 1 for bonds.

SPO Detail Record Type 20 (Part 2 of 7)				
Position	Length	Format	Field Name	Field Description
4	4	Character	Payee Participant Number	<p>The DTC identification number of the originating Participant (right justified with leading zeroes).</p> <p>Must:</p> <ol style="list-style-type: none"> <li>1. be DTC eligible</li> <li>2. not be frozen</li> <li>3. in the case of a Service Bureau, be valid for that submitting organization</li> <li>4. be numeric</li> <li>5. be greater than zero</li> <li>6. 6. be entered.</li> </ol>
8	3	Character	Filler	DTC use only. Must be initialized to spaces.
11	9	Character	CUSIP Number	<p>A unique nine-character identification number assigned to the security being traded.</p> <p>Must:</p> <ol style="list-style-type: none"> <li>1. have a valid CUSIP format</li> <li>2. have a correct check-digit</li> <li>3. be other than a dummy CUSIP (not equal "988888889", or "95555552", or "99999998" or "91111110")</li> <li>4. be entered.</li> </ol>
20	1	Character	Filler	DTC use only. Must be initialized to spaces.

SPO Detail Record Type 20 (Part 3 of 7)				
Position	Length	Format	Field Name	Field Description
21	4	Character	Payor Participant Number	The DTC identification number of the Payor (right justified with leading zeroes). Must: <ol style="list-style-type: none"> <li>1. be DTC eligible</li> <li>2. not be frozen</li> <li>3. not be equal to 0070 or 0888</li> <li>4. be numeric</li> <li>5. be greater than zero</li> <li>6. not be equal to the Payee</li> <li>7. be entered</li> </ol>
25	3	Character	Filler	DTC use only. Must be initialized to spaces.
28	9	Numeric	Security Quantity	The number of shares in this transaction. This is a 9-character numeric field. It must be right justified and left zero-filled. Must: <ol style="list-style-type: none"> <li>1. be numeric</li> <li>2. be greater than zero</li> <li>3. be entered.</li> </ol>
37	11	Numeric	Amount	The amount of money involved in this transaction. This is a numeric 9(9)V9(2) field. It must be right justified, left zero-filled. Must: <ol style="list-style-type: none"> <li>1. be numeric</li> <li>2. be greater than zero</li> <li>3. be entered.</li> </ol>

SPO Detail Record Type 20 (Part 4 of 7)				
Position	Length	Format	Field Name	Field Description
48	2	Character	Reason Code	<p>This required field must be filled with a 2-character alpha-numeric reason code defined by DTC as the reason (for payment) code. The reason codes for SPO's are S0 through S9 (Refer to <a href="#">Appendix A. Valid Reason Codes.</a>)</p> <hr/> <p><b>NOTE:</b> The validity of a reason code is partly dependent upon the time of transmission.</p> <hr/>
50	2	Numeric	Activity Code	The DTC code which identifies this activity. Must contain a value of "78".
52	2	Character	Filler	DTC use only. Must be initialized to spaces.
54	7	Numeric	New Price	<p>This is the price per share after it changed. It is a numeric 9(5) V9(2) field. It must be right justified and left zero-filled.</p> <p>Required for reason codes: S0, S1, S4, and S5; Must:</p> <ol style="list-style-type: none"> <li>1. be numeric</li> <li>2. be greater than zero</li> </ol> <p>Optional for reason codes: S6, S7, S8 and S9; Must:</p> <ol style="list-style-type: none"> <li>1. be numeric</li> <li>2. be equal to or greater than zero</li> <li>3. be greater than zero if Old Price is greater than zero</li> </ol> <p>Not allowed for reason codes: S2 and S3. Must be zeroes.</p>

SPO Detail Record Type 20 (Part 5 of 7)				
Position	Length	Format	Field Name	Field Description
61	2	Character	Filler	DTC use only. Must be initialized to spaces.
63	7	Numeric	Old Price	<p>This is the price per share before it changed. It is a numeric 9(5) V9(2) field. It must be right justified and left zero-filled.</p> <p>Optional for reason codes: S0, S1, S4, S5, S6, S7, S8 and S9.</p> <p>Must:</p> <ol style="list-style-type: none"> <li>1. be numeric</li> <li>2. be equal to or greater than zero</li> </ol> <p>Not allowed for reason codes: S2 and S3.</p> <p>Must be zeroes.</p>
70	2	Character	Filler	DTC use only. Must be initialized to spaces.
72	10	Numeric	Adjustments	<p>This is an adjustment to the amount field. It is a numeric 9(8) V9(2) field. It must be right justified and left zero-filled.</p> <p>This is an optional field. Must be:</p> <ol style="list-style-type: none"> <li>1. be numeric</li> <li>2. be equal to or greater than zero.</li> </ol>

SPO Detail Record Type 20 (Part 6 of 7)				
Position	Length	Format	Field Name	Field Description
82	6	Numeric	Delivery/Contract Date	<p>The format is MMDDYY.</p> <p>Required for reason codes: S0 and S1; Must:</p> <ol style="list-style-type: none"> <li>be valid date.</li> </ol> <p>Optional for reason codes: S2 and S3.</p> <p>Must:</p> <ol style="list-style-type: none"> <li>be valid date or zeroes. Not allowed for reason codes: S4, S5, S6, S7, S8 or S9.</li> </ol> <p>Must:</p> <ol style="list-style-type: none"> <li>be zeroes.</li> </ol>
88	6	Numeric	Settlement Date	<p>The format is MMDDYY. Required for reason codes: S2, S3, S4, S5, S6, S7, S8, S9.</p> <p>Must:</p> <ol style="list-style-type: none"> <li>be valid date.</li> </ol> <p>Not allowed for reason codes: S0 or S1.</p> <p>Must:</p> <ol style="list-style-type: none"> <li>be zeroes.</li> </ol>
94	6	Numeric	Payable Date	<p>The format is MMDDYY.</p> <p>Required for reason codes: S2 and S3.</p> <p>Must:</p> <ol style="list-style-type: none"> <li>be valid date.</li> </ol> <p>Not allowed for reason codes: S0, S1, S4, S5, S6, S7, S8 and S9.</p> <p>Must:</p> <ol style="list-style-type: none"> <li>be zeroes.</li> </ol>

SPO Detail Record Type 20 (Part 7 of 7)				
Position	Length	Format	Field Name	Field Description
100	6	Numeric	Record Date	The format is MMDDYY. Required for reason codes: S2 and S3. Must: 1. be valid date. Not allowed for reason codes: SO, S1, S4, S5, S6, S7, S8 and S9. Must: 1. be zeroes.
106	75	Character	Filler	DTC use only. Must be initialized to spaces.

## PPO Transaction Data (Type 20) Record

The data Record is used to specify the required data for a Premium Payment Order transaction.

The length of the data Record is 180 characters.

### NOTE:

Some fields are required, while others are optional. If you do not decide to enter a value for an optional field, it must be initialized as follows:

- numeric fields -- initialize to zeroes.
- character fields -- initialize to spaces.

If a field is NOT INITIALIZED PROPERLY, the Record will be REJECTED. For example, fields containing low values will be rejected.

The following is a description of the detail Records for Premium Payment Orders:

PPO Detail Record Type 20 (Part 1 of 6)				
Position	Length	Format	Field Name	Field Description
1	2	Character	Record Type	This field is to contain a value of "20" (specifies that this is the first detail Record of the transaction set).
3	1	Character	Filler	DTC use only. Must be initialized to space.
4	4	Character	Payee Participant Number	<p>The DTC Identification number of the originating Participant (right justified with leading zeroes). Must:</p> <ol style="list-style-type: none"> <li>1. be DTC eligible</li> <li>2. not be frozen</li> <li>3. in cases such as a service bureau, it must be valid for that submitting organization.</li> <li>4. be numeric</li> <li>5. be greater than zero</li> <li>6. be entered</li> </ol>

PPO Detail Record Type 20 (Part 2 of 6)				
Position	Length	Format	Field Name	Field Description
8	3	Character	Filler	DTC use only. Must be initialized to spaces.
11	5	Character	Trading Symbol	This field is optional. Must be alphabetic.
16	4	Numeric	Expiration Date	The format is MMY. This field is optional. Must: <ol style="list-style-type: none"> <li>1. be numeric</li> <li>2. be valid month or zeroes</li> <li>3. be valid year or zeroes.</li> </ol>
20	1	Character	Filler	DTC use only. Must be initialized to space.
21	4	Character	Payor Participant Number	The DTC identification number of the Payor (right justified with leading zeroes). Must: <ol style="list-style-type: none"> <li>1. be DTC eligible</li> <li>2. not be frozen</li> <li>3. not be equal to 0070, 6070, or 0888.</li> <li>4. be numeric</li> <li>5. be greater than zero</li> <li>6. not be equal to Payee Number</li> <li>7. be entered.</li> </ol>
25	5	Character	Filler	DTC use only. Must be initialized to spaces.
30	1	Character	Receipt/ Release	Only values accepted are: Value "1" = Receipt Value "2" = Release
31	1	Character	Filler	DTC use only. Must be initialized to space.
32	1	Character	Put/Call	Only values accepted are: Value "1"=Put Value "2" = Call

PPO Detail Record Type 20 (Part 3 of 6)				
Position	Length	Format	Field Name	Field Description
33	4	Character	Filler	DTC use only. Must be initialized to spaces.
37	11	Numeric	Amount	It is a numeric 9(9) V9(2) field. It must be right justified and left zero-filled.  Must: <ol style="list-style-type: none"> <li>1. be numeric</li> <li>2. be greater than zero</li> <li>3. be entered</li> </ol>
48	2	Character	Reason Code	This required field must be filled with a 2-character alpha-numeric reason code defined by DTC as the reason (for payment) code. The reason codes for PPO's are P0 thru P3 (Refer to " <a href="#">Appendix A. Valid Reason Codes</a> ").  <b>NOTE:</b> <b>The validity of a reason code is partly dependent upon the time of transmission.</b>
50	2	Numeric	Activity Code	The DTC code which identifies this activity. Must contain a value of "82".
52	1	Character	Filler	DTC use only. Must be initialized to space.
53	7	Numeric	Exercise Price	Price at which option can be exercised. It is a numeric 9(5) V9(2) field. It must be right justified and left zero-filled.  This field is optional.  Must: <ol style="list-style-type: none"> <li>1. be numeric</li> <li>2. be equal to or greater than zero.</li> </ol>
60	2	Character	Cross Reference Line Number	Cross Reference Line Number as it relates to the Depository Release or Receipt of Deposit on the OCC form. This field is optional.

PPO Detail Record Type 20 (Part 4 of 6)				
Position	Length	Format	Field Name	Field Description
62	2	Character	Filler	DTC use only. Must be initialized to spaces.
64	6	Numeric	Cross Reference Date	This field is optional. The format is MMDDYY. Must be valid date or zeroes.
70	5	Numeric	No. of Contracts	This field is optional. Must: 1. be numeric 2. be equal to or greater than zero
75	9	Character	Bearing Serial Number	Bearing Serial Number as it relates to the Depository Release or Receipt of Deposit on the OCC form. This field is optional.
84	30	Character	Bank Name & Account Number	Bank customer name and account number. This field may not be blank if the Payee is an OCC member.
114	2	Character	Filler	DTC use only. Must be initialized to spaces.
116	30	Character	OCC name & account number	Options Clearing Corporation (OCC) members name and account number. This field may not be blank if the Payee is a bank.

PPO Detail Record Type 20 (Part 5 of 6)				
Position	Length	Format	Field Name	Field Description
146	9	Character	CUSIP Number	A unique nine-character identification number assigned to the security being traded. Must: 1. have a valid CUSIP format 2. have a correct check-digit 3. be other than a dummy CUSIP number (not equal "988888889" or "955555552" or "999999998" or "911111110") 4. be entered.
155	1	Character	Filler	DTC use only. Must be initialized to space.
156	25	Character	Filler	DTC use only. Must be initialized to spaces.

## PO Transaction Remarks (Type 21) Record

The remarks Record is used to add remarks to both types of Payment Order transactions.

The length of the remarks Record is 180 characters.

The following is a description of the remarks Records for both Security and Premium Payment Orders.

PO Detail Record Type 21 (Part 1 of 2)				
Position	Length	Format	Field Name	Field Description
1	2	Character	Record Type	This field must contain a value of "21". This Record must follow a type "20" rec.
3	1	Character	Filler	DTC use only. Must be initialized to space.
4	4	Character	Payee Participant Number	The DTC Identification number of the originating Participant (right justified with leading zeroes). Must match first detail Record ("20") of this transaction set.  Must: <ol style="list-style-type: none"> <li>1. be DTC eligible</li> <li>2. not be frozen</li> <li>3. in cases such as a service bureau, it must be valid for that submitting organization</li> <li>4. be numeric</li> <li>5. be greater than zero</li> <li>6. be entered.</li> </ol>
8	20	Character	Filler	DTC use only. Must be initialized to spaces.
28	10	Character	Payee Telephone Number	The area code and telephone number of the Payee Representative.

PO Detail Record Type 21 (Part 2 of 2)				
Position	Length	Format	Field Name	Field Description
38	10	Character	Payor Telephone Number	The area code and telephone number of the Payor Representative.
48	2	Character	Filler	DTC use only. Must be initialized to spaces.
50	2	Numeric	Activity Code	The DTC code which identifies this activity ("78" for SPOs; "82" for PPOs). Must match first detail Record ("20") of this transaction set.
52	60	Character	Comments	This is a comment field. In the case of a reclaim, this field may be used to describe the reason for the reclaim. It may also be used for third party information. This field must NOT contain binary data.
112	30	Character	Payee Representative Name	The name of the Payee Representative who contacted the Payor regarding this transaction
142	30	Character	Payor Representative Name	The name of the Payor Representative who was contacted regarding this transaction.
172	9	Character	Filler	DTC use only. Must be initialized to spaces.

# THE CF2POC TRAILER RECORD

The following "TLR" Record is expected to conclude the Payment Order file. When a "TLR" Record precedes others--say 20s--the Records which follow it are ignored and its totals might disagree with DTC's.

**Transmission** Each transmission must have a transmission Trailer Record as

**Trailer Records** the last Record. This Record contains control information for all PO transactions in the transmission. Totals in this Record will be checked by the system. Transmission Trailer Records are not included in Record count tabulations. If a Trailer Record is transmitted as anything but the last Record of a transmission, the entire transmission will be cancelled by DTC.

The format of the Trailer input Record follows.

Transmission Trailer Record Format - Type "TLR" (Part 1 of 2)				
Position	Length	Format	Field Name	Field Description
1	3	Character	Record Type	This field must contain the value "TLR", identifying the last Record of the input file.
4	8	Character	Signon ID	Signon ID identifies the transmitter and must agree with that found in the "HDR" Record.
12	6	Character	Activity Type	"CF2POC".
18	3	Numeric	Transmission ID Number	This field must contain a number exactly matching that in the transmission's "HDR" Record.
21	7	Numeric	Detail Record Count	This must be numeric and unsigned and must specify the number of "20" and "21" Records in the file. It is not a count of Payment Order transactions.
28	13	Numeric	Total Shares	Specifies the number of shares listed within the transmission.

Transmission Trailer Record Format - Type "TLR" (Part 2 of 2)				
Position	Length	Format	Field Name	Field Description
41	5	Character	Filler	DTC use only. Must be initialized to spaces.
46	13	Numeric	Total Dollar Amount	This field and the following (Total Cents Amount) must match the currency value of the transmission.
59	2	Numeric	Total Cents Amount	This field and the preceding (Total Dollar Amount) must match the currency value of the transmission.
61	10	Numeric	Trailer Record's Error Indicators	Each of these 10 bytes indicate, when "0", that a field was correct, or when other than "0", that a field proved unacceptable. (Refer to " <a href="#">The Returned Trailer Record and its Error Flags</a> ").
71	110	Character	Filler	DTC use only. Must be initialized to spaces.

# CF2POC OUTPUT TRANSMISSION FILE

## Records in the Payment Order Acknowledgment File

The CF2POC function creates a 200-byte acknowledgment file composed of:

- an "ERR" (Error) Record (whenever a security violation occurs),
- .... or ....
- a "CTL" (Control) Record,
- rejected input Transaction Records, and
- an "ADT" (Audit) Record which describes the data accepted.

Whenever the transmission's time of day, Header Record or Trailer Record is in error, all of the input (including "HDR" and "TLR" Records) is returned.

Should details prove to be in error, only the erroneous details are returned and all others are accepted.

### The Format of the CCF-II Output Error Record

The following "ERR" Record is output by the CCF-II system whenever a security violation occurs.

The format of the output error Record follows.

Transmission Error Record Format - Type "ERR" (Part 1 of 2)				
Position	Length	Format	Field Name	Field Description
1	3	Character	Record Type	This field always contains the value "ERR" to identify the Record.
4	8	Character	Signon ID	Signon ID contains the value received from a transmission security ("PSW") Record, whether or not the given value is valid.
12	8	Character	Filler	DTC use only. Must be initialized to spaces.
20	6	Numeric	Process Date	This field contains a date in MMDDYY format which equals the run date of the CF2POC function.
26	6	Character	Activity Type	"CF2POC".
32	3	Numeric.	Transmission ID	This field contains the Transmission ID obtained from the input "PSW" security Record.
35	2	Character	Filler	DTC use only. Must be initialized to spaces.
37	3	Character	Error Status	This field indicates, as described in a separate table below, the nature of security violation detected within a CCF-II transmission.
40	5	Character	Filler	DTC use only. Must be initialized to spaces.

Transmission Error Record Format - Type "ERR" (Part 2 of 2)				
Position	Length	Format	Field Name	Field Description
45	6	Numeric	Arrival Time	Specifies in HHMMSS format the arrival time of the transmission at Depository Trust.
51	6	Numeric	Edit Completion Time	Specifies in HHMMSS format the time at which DTC edited the transmission.
57	70	Character	Error Description	Plain language description of the security violation.
127	74	Character	Filler	DTC use only. Must be initialized to spaces.

## The Error Record's Different Error Statuses

One of the following values are always present in the error status field of a error Record.

Error Statuses	
Status	Meaning of Status Value
"150"	Card image sequence error occurred. Refer to CCF-II/RJE System User Guide or contact DTC.
"222"	Password is invalid. Use correct password or obtain correct password by contacting DTC.
"333"	This Signon is ineligible for "CF2POC" processing. Contact DTC.

## The Format of the CF2POC Output Control Record

When a security violation does not occur, the following "CTL" Record is always output by the CF2POC function. It summarizes DTC's handling of the associated input transmission.

The format of the output control Record follows.

Transmission Control Record Format - Type "CTL" (Part 1 of 3)				
Position	Length	Format	Field Name	Field Description
1	3	Character	Record Type	This field always contains the value "CTL" to identify the Record.
4	8	Character	Signon ID	Signon ID contains the value received from a transmission Header, whether or not the given value is valid.
12	2	Character	Individual User (Signon Department)	This field is intended to contain a value which identifies a department within a signed-on Participant. Currently, it is copied from the Header input to the CF2POC function.
14	6	Character	Filler	DTC use only. Must be initialized to spaces.
20	6	Numeric	Process Date	This field contains a date in MMDDYY format which equals the run date of the CF2POC function.
26	6	Character	Activity Type	"CF2POC".
32	3	Numeric	Transmission ID Number	This field will contain a number identifying each transmission. It is assigned by each signon in the "HDR" Record and must be unique.
35	1	Character	Transmission Option	Routinely contains "A" to identify a new transmission.

Transmission Control Record Format - Type "CTL" (Part 2 of 3)				
Position	Length	Format	Field Name	Field Description
36	1	Character	Processing Option	The "Test" or "Production" indicator as input by the Participant. Normally contains "T" (indicating "test") or "P" (indicating that data is for "production").
37	3	Character	Transmission Processing Status	The field indicates, as described in a separate table below, the nature of errors encountered within a CCF-II transmission. In summary, a '0' found here indicates the transmission proved error free. A value of '010' indicates some details proved erroneous. Values of '100' and greater indicate that Header, cutoff time, or Trailer errors occurred, forcing return of the entire CCF-II transmission.
40	7	Numeric	Returned Error Count	This count specifies the number of erroneous Records returned to the signon. When the transmission is error free, the count is zero. When only details are in error, the count specifies the number of returned details. When a Header or Trailer error invalidates the transmission, all Records are returned (with their "HDR" and "TLR" Records) but this count reflects the number of invalid detail Records in the transmission.
47	6	Numeric	Arrival Time	Specifies in HHMMSS format the arrival time of the transmission at Depository Trust.

Transmission Control Record Format - Type "CTL" (Part 3 of 3)				
Position	Length	Format	Field Name	Field Description
53	6	Numeric	Edit Completion Time	Specifies in HHMMSS format the time at which DTC edited the transaction.
59	142	Character	Filler	DTC use only. Must be initialized to spaces.

## The Control Record's Transmission Processing Statuses

One of the following values are always present in the processing status field of a Control Record.

Transmission Processing Statuses	
Status:	Meaning of Status Value
"000"	Transmission is fully accepted. (There are no erroneous PO"s).
"010"	Partial transmission is accepted (excepting erroneous PO"s).
"444"	Transmission is rejected--no file was received.
"555"	Transmission is rejected--it occurred at an incorrect time of day.
"600"	Transmission is rejected--function was not "CF2POC".
"666"	Transmission is rejected--function was not available.
"777"	Transmission is rejected--DTC"s totals mismatch those in the User"s Trailer.
"800"	Transmission is rejected--required Trailer was not received.
"888"	Transmission is rejected--Trailer data was invalid.
"999"	Transmission is rejected--Header data was invalid.

# THE RETURNED HEADER RECORD AND ITS ERROR FLAGS

Whenever an editing error is detected in an input Header Record, one or more error flags are appended to it and it is returned with other Records via the acknowledgment output file.

The format of Header Record is described in "[The CF2POC Header Record](#)".

Each byte of the error flags field of the Header Record is used to describe the nature of an error in a particular field. As a general rule, a "0" byte indicates that the field described is fully acceptable. A "1" usually indicates that the field fails the most rudimentary of editing criteria. For example: Transmission ID might prove non-numeric. Higher numbers pertain to logical errors, such as a duplicated Transmission ID. The following table fully describes the meaning of flag settings associated with an "HDR" type input Record.

"HDR" Record Error Flags (Part 1 of 2)					
Field Flagged	Position	Length	Flag No.	Meaning of Flag Value	
Record Type	37	1	1	0	= Record Type of first Record was "HDR"
				1	= Record Type of first Record was not "HDR"
Signon ID	38	1	2	0	= Signon ID was accepted.
				1	= Signon ID was unacceptable.
Individual User	39	1	3	0	= Individual User (for Signon) accepted.
				1	= Individual User was not blank or zero.
Process Date	40	1	4	0	= Process date was accepted.
				1	= Process date was invalid.
				2	= Not same as transmission date.

"HDR" Record Error Flags (Part 2 of 2)					
Field Flagged	Position	Length	Flag No.	Meaning of Flag Value	
Activity Type	41	1	5	0 =	Activity Type was "CF2POC".
				1 =	Activity Type was not "CF2POC".
Transmission ID Number	42	1	6	0 =	Transmission ID was accepted.
				1 =	Transmission ID was not numeric or equaled zero.
				2 =	Transmission ID was not unique today.
Transmission Optaaion	43	1	7	0 =	Transmission Option was "A".
				1 =	Transmission Option was not "A".
Process Option	44	1	8	0 =	Process Option was "T" or "P".
				1 =	Process Option was other than "T" and "P".
Reserved	45	2	9-10	Set to Zero.	
Reserved	47	10	11-20	Set to Spaces.	

## The Returned SPO Type 20 Record and its Error Flags

Whenever an editing error is detected in an input SPO type 20 Record, one or more flags are turned on and appended to it and it is returned with other Records via the acknowledgment output file.

The format of SPO Type 20 Records is described in "[SPO Transaction Data \(Type 20\) Record](#)".

Each byte of the error flags field of CCF-II edited Records describes the nature of an error in a particular field. As a general rule, a "0" byte indicates that the field described is fully acceptable. A "1" usually indicates that the field fails the most rudimentary of editing criteria. For example: an amount might prove non-numeric. Higher numbers pertain to such criteria as eligibility or freezing. The following table fully describes the meaning of flag settings associated with an SPO type 20 input Record.

SPO Type 20 Record Error Flags (Part 1 of 5)					
Field Flagged	Position	Length	Flag No.	Meaning of Flag Value	
Whole Record Set	181	1	1	0	= Set of "20" and "21" Records were properly received.
				1	= An "HDR" Record error or an invalidity in this set of Records caused this Record's rejection.
Record Type	182	1	2	0	= Field properly contained a "20" value.
				1	= Invalid Record type.
				2	= Record out of sequence.
Payee Participant	183	1	3	0	= Payee Participant was accepted.
				1	= Payee was non-numeric.
				2	= Payee was not greater than zero.
				3	= Payee was invalid.
				4	= Payee was not eligible.
				5	= Payee was frozen.
				6	= Payee was invalid for this signon.
				7	= Payee was not entered.
				8	= Payee is ineligible for processing.
9	= Payee is locked or chilled from DTC processing.				

SPO Type 20 Record Error Flags (Part 2 of 5)						
Field Flagged	Position	Length	Flag No.	Meaning of Flag Value		
Payor Participant	184	1	4	0	=	Payor Participant was accepted.
				1	=	Payor was non-numeric.
				2	=	Payor was not greater than zero.
				3	=	Payor was a depository or NSCC.
				4	=	Payor was not eligible.
				5	=	Payor was frozen.
				6	=	Payor was same as payee Participant.
				7	=	Payor was not entered.
				8	=	Payor is ineligible for processing.
9	=	Payor is locked or chilled from DTC processing.				
Amount	185	1	5	0	=	Dollars & Cents proved valid.
				1	=	Dollars or Cents proved non-numeric.
				2	=	Dollars or Cents were invalid.
				3	=	Dollars or Cents were not entered.
Activity Code	186	1	6	0	=	Activity code was "78".
				1	=	Activity code was invalid.
				2	=	Activity code was not entered.
CUSIP Number	187	1	7	0	=	CUSIP was accepted.
				1	=	CUSIP had invalid format.
				2	=	CUSIP check-digit error.
				3	=	CUSIP is dummy.
				4	=	reserved for future use.
				5	=	CUSIP not entered.
				6	=	CUSIP is bond format indicator does not equal "D".

SPO Type 20 Record Error Flags (Part 3 of 5)					
Field Flagged	Position	Length	Flag No.	Meaning of Flag Value	
Reason Code	188	1	8	0	= Reason Code was accepted.
				1	= Reason Code was past cutoff.
				2	= Reason Code was invalid.
				3	= Reason Code was not entered.
				4	= Reason Code was past cutoff.
Security Quantity	189	1	9	0	= Security Quantity was accepted.
				1	= Security Quantity was non-numeric.
				2	= Security Quantity was invalid.
				3	= Security Quantity was not entered.
Old Price	190	1	10	0	= Old Price was accepted.
				1	= Old Price was non-numeric.
				2	= Old Price was invalid.
				3	= Old Price was not allowed.
				4	= Old Price was not entered.
New Price	191	1	11	0	= New Price was accepted.
				1	= New Price was non-numeric.
				2	= New Price was invalid.
				3	= New Price was not allowed.
				4	= New Price does not match Old Price.
				5	= New Price not entered.

SPO Type 20 Record Error Flags (Part 4 of 5)						
Field Flagged	Position	Length	Flag No.	Meaning of Flag Value		
Delivery Date	192	1	12	0	=	Delivery Date was accepted.
				1	=	Delivery Date was non-numeric.
				2	=	Delivery Month was invalid.
				3	=	Delivery Day was invalid.
				4	=	Delivery Year was invalid.
				5	=	Delivery Date not allowed.
				6	=	Delivery Date not entered.
Settlement Date	193	1	13	0	=	Settlement Date was accepted
				1	=	Settlement Date was non- numeric.
				2	=	Settlement Month was invalid.
				3	=	Settlement Day was invalid.
				4	=	Settlement Year was invalid.
				5	=	Settlement Date not entered.
Payable Date	194	1	14	0	=	Payable Date was accepted.
				1	=	Payable Date was non-numeric.
				2	=	Payable Month was invalid.
				3	=	Payable Day was invalid.
				4	=	Payable Year was invalid.
				5	=	Payable Date not allowed.
				6	=	Payable Date not entered.

SPO Type 20 Record Error Flags (Part 5 of 5)						
Field Flagged	Position	Length	Flag No.	Meaning of Flag Value		
Record Date	195	1	15	0	=	Record Date was accepted.
				1	=	Record Date was non-numeric.
				2	=	Record Month was invalid.
				3	=	Record Day was invalid.
				4	=	Record Year was invalid.
				5	=	Record Date not allowed.
				6	=	Record Date not entered.
Adjustment	196	1	16	0	=	Adjustment was accepted.
				1	=	Adjustment was non-numeric.
				2	=	Adjustment was invalid.
Reserved Flags	197	4	17-20	0	=	These flags contain zeroes.

## The Returned PPO Type 20 Record and its Error Flags

Whenever an editing error is detected in an input PPO type 20 Record, one or more flags are turned on and appended to it and it is returned with other Records via the acknowledgment output file.

The format of PPO Type 20 Records is described in "[PPO Transaction Data \(Type 20\) Record](#)".

Each byte of the error flags field of CCF-II edited Records describes the nature of an error in a particular field. As a general rule, a "0" byte indicates that the field described is fully acceptable. A "1" usually indicates that the field fails the most rudimentary of editing criteria. For example: an amount might prove non-numeric. Higher numbers pertain to such criteria as eligibility or freezing. The following table fully describes the meaning of flag settings associated with a PPO type 20 input Record.

PPO Type 20 Record Error Flags (Part 1 of 5)					
Field Flagged	Position	Length	Flag No.	Meaning of Flag Value	
Whole Record Set	181	1	1	0	= Set of 20 and 21 Records were properly received.
				1	= An "HDR" Record error or an invalidity in this set of Records caused this Record's rejection.
Record Type	182	1	2	0	= Field properly contained a "20" value.
				1	= Invalid Record type.
				2	= Record out of sequence.

PPO Type 20 Record Error Flags (Part 2 of 5)						
Field Flagged	Position	Length	Flag No.	Meaning of Flag Value		
Payee Participant	183	1	3	0	=	Payee Participant was accepted.
				1	=	Payee was non-numeric.
				2	=	Payee was not greater than zero.
				3	=	Payee was invalid.
				4	=	Payee was not eligible.
				5	=	Payee was frozen.
				6	=	Payee was invalid for this signon.
				7	=	Payee was not entered.
				8	=	Payee is ineligible for processing.
9	=	Payee is locked or chilled from DTC processing				
Payor Participant	184	1	4	0	=	Payor Participant was accepted.
				1	=	Payor was non-numeric
				2	=	Payor was not greater than zero.
				3	=	Payor was a Depository or NSCC.
				4	=	Payor was not eligible.
				5	=	Payor was frozen.
				6	=	Payor was same as Payee Participant.
				7	=	Payor was not entered.
				8	=	Payor is ineligible for processing.
9	=	Payor is locked or chilled from DTC processing				

PPO Type 20 Record Error Flags (Part 3 of 5)					
Field Flagged	Position	Length	Flag No.	Meaning of Flag Value	
Amount	185	1	5	0	= Dollars & Cents proved valid.
				1	= Dollars or Cents proved non-numeric.
				2	= Dollars or Cents were invalid.
				3	= Dollars or Cents were not entered.
Activity Code	186	1	6	0	= Activity code was "82".
				1	= Activity code was invalid.
				2	= Activity code was not entered.
CUSIP Number	187	1	7	0	= CUSIP was accepted.
				1	= CUSIP had invalid format.
				2	= CUSIP check-digit error.
				3	= CUSIP is dummy.
				4	= reserved for future use.
				5	= CUSIP not entered.
Reason Code	188	1	8	0	= Reason Code was accepted.
				1	= Reason Code was past cutoff.
				2	= Reason Code was invalid.
				3	= Reason Code was not entered.
Trade Symbol	189	1	9	0	= Trade Symbol was accepted.
				1	= Trade Symbol was invalid.
				2	= Trade Symbol was not alpha.

PPO Type 20 Record Error Flags (Part 4 of 5)					
Field Flagged	Position	Length	Flag No.	Meaning of Flag Value	
Exercise Price	190	1	10	0 =	Exercise Price was accepted.
				1 =	Exercise Price was non-numeric.
				2 =	Exercise Price was invalid.
Expiration Date	191	1	11	0 =	Expiration Date was accepted.
				1 =	Expiration Date was non-numeric.
				2 =	Expiration Month was invalid.
				3 =	Expiration Year was invalid.
Contracts	192	1	12	0 =	Contracts was accepted.
				1 =	Contracts was non-numeric.
				2 =	Contracts was invalid
Bank/OCC	193	1	13	0 =	Bank/OCC was accepted.
				1 =	Bank/OCC was invalid.
Call/Put Indicator	194	1	14	0 =	Call/Put Indicator was accepted.
				1 =	Call/Put Indicator was invalid (not equal "1" or "2").
Receipt /Release Indicator	195	1	15	0 =	Receipt/Release Indicator was accepted.
				1 =	Receipt/Release Indicator was invalid (not equal "1" or "2").

PPO Type 20 Record Error Flags (Part 5 of 5)					
Field Flagged	Position	Length	Flag No.	Meaning of Flag Value	
Exercise Price	196	1	16	0 =	Cross Reference Date was accepted.
				1 =	Cross Reference Date was non-numeric.
				2 =	Cross Reference Month was invalid.
				3 =	Cross Reference Day was invalid.
				4 =	Cross Reference Year was invalid.
Reserved Flags	197	1	17	0 =	These flags contain zeroes.

## The Returned Type 21 Record and its Error Flags

Whenever an editing error is detected in an input type "21" Record, one or more flags are turned on and appended to it and it is returned with other Records via the acknowledgment output file. It should be noted that the type "20" Record preceding the type "21" Record in error will be flagged in error as well.

The format of type "21" Records is described in "[PO Transaction Remarks \(Type 21\) Record](#)".

Each byte of the error flags field describes the nature of an error in a particular field. As a general rule, a "0" byte indicates that the field described is fully acceptable. A "1" usually indicates that the field fails the most rudimentary of editing criteria. For example: a Payee Participant might prove non-numeric. Higher numbers pertain to logical failures such as when a "21" Record's Payee fails to match the preceding type "20" Record's Payee.

Type 21 Record Error Flags (Part 1 of 2)					
Field Flagged	Position	Length	Flag No.	Meaning of Flag Value	
Whole Record Set	181	1	1	0	= Set of "20" and "21" Records were properly received.
				1	= An "HDR" Record error or an invalidity in this set of Records caused this Record's rejection.
Record Type	182	1	2	0	= Field properly contained a "21" value.
				1	= Field did not contain a "21".
				2	= Record did not follow a "20" Record.

Type 21 Record Error Flags (Part 2 of 2)						
Field Flagged	Position	Length	Flag No.	Meaning of Flag Value		
Payee Participant	183	1	1	0	=	Payee Participant was accepted.
				1	=	Payee was non-numeric.
				2	=	Payee was not greater than zero.
				3	=	Payee was invalid.
				4	=	Payee was not eligible.
				5	=	Payee was frozen.
				6	=	Payee was invalid for this signon.
7	=	Payee was not entered.				
Record Type	184	2	4-5	0	=	These flags contain zeroes.
Activity Code	186	1	6	0	=	Activity code was accepted.
				1	=	Activity code was invalid.
				2	=	Activity code was not entered.
Reserved Flags	187	2	7-8	0	=	These flags contain zeroes.
Comments	189	1	9	0	=	Comments were accepted.
				1	=	Comments were invalid.
Reserved Flags	190	11	10-20	0	=	These flags contain zeroes.

## The Returned Trailer Record and its Error Flags

Whenever an input "TLR" Record proves to be in error, it is returned by DTC as part of the acknowledgment file with error flags appended to it. For the format of the Record Refer to "[The CF2POC Trailer Record](#)".

Each byte of the error flags field of the Trailer Record is used to describe the nature of an error in a particular field. As a general rule, a "0" byte indicates that the field described is fully acceptable. A "1" usually indicates that the field fails the most rudimentary of editing criteria. For example: Transmission ID might prove non-numeric. Higher numbers pertain to logical errors, such as a Trailer Transmission ID which fails to match its Header's Transmission ID. The following table fully describes the meaning of flag settings associated with a "TLR" type input Record.

Type 21 Record Error Flags (Part 1 of 2)						
Field Flagged	Position	Length	Flag No.	Meaning of Flag Value		
Record Type	61	1	1	0	=	Record Type of last Record was "TLR".
				1	=	Record Type was not "TLR".
Signon ID	62	1	2	0	=	Signon ID was accepted.
				1	=	Signon ID failed to match ID in the "HDR" Record.
Activity Type Error	63	1	3	0	=	Activity Type was "CF2POC".
				1	=	Activity Type was not "CF2POC".
Transmission ID Error	64	1	4	0	=	Transmission ID matched "HDR" Record.
				1	=	Transmission ID failed to match "HDR" Record.
Detail Record Count	65	1	5	0	=	Count was numeric and agreed with DTC's count.
				1	=	Count was not numeric.
				2	=	Count mismatched DTC's detail Record count.
Filler	66	1	6	0	=	This flag contains zero.

Type 21 Record Error Flags (Part 2 of 2)					
Field Flagged	Position	Length	Flag No.	Meaning of Flag Value	
Total Dollars and Cents	67	1	7	0	= Total Dollars were numeric and matched DTC's total.
				1	= Total Dollars were not numeric.
				2	= Total Dollars mismatched DTC's total.
Filler	68	3	8-10	0	= These flags contain zeroes.

## The Format of the CF2POC Output Audit Record

A CCF-II Audit Record has a format essentially identical to that of a Trailer. The principal difference is the source of its identifying fields and the content of its total fields.

The Audit Record's identifying fields are copied from the input Header Record (when it is present) which begins the input transmission file. The audit Record's total fields represent quantities and sums derived from all PO Record sets which proved fully acceptable. It includes a Payment Order count which is not present in Trailer Records.

The format of the output audit Record follows. It is normally the last Record on the acknowledgment output file.

Transmission Audit Record Format-Type "ADT" (Part 1 of 2)				
Position	Length	Format	Field Name	Field Description
1	3	Character	Record Type	This field contains the value "ADT", identifying the last Record of the output file and the nature of its contents.
4	8	Character	Signon ID	Signon ID identifies the transmitter and is derived by DTC from the incoming transmission's "HDR" Record.
12	6	Character	Activity Type	Value "CF2POC".
18	3	Numeric	Transmission ID Number	This field is copied from the transmission's Header Record.
21	7	Numeric	Detail Record Count	This field totals the number of accepted "20" and "21" Records in the incoming transmission.
28	13	Numeric	Total Shares	Specifies the number of shares accepted from the transmission.
41	5	Character	Filler	DTC use only. Must be initialized to spaces.

Transmission Audit Record Format-Type "ADT" (Part 2 of 2)				
Position	Length	Format	Field Name	Field Description
46	13	Numeric	Total Dollar Amount	This field and the following (Total Cents Amount) contain the total currency value accepted from the transmission.
59	2	Numeric	Total Cents Amount	This field and the preceding (Total Dollar Amount) contain the currency value accepted from the transmission.
61	6	Numeric	Payment Order Count	Always specifies the number of "20" Records (Payment Orders) accepted.
67	134	Character	Filler	DTC use only. Must be initialized to spaces.

## APPENDIX A. VALID REASON CODES

The following reason codes are valid for CF2POC transactions.

- S0 - Regular SPO Mark to Market/Stock Loan
- S1 - SPO Mark to Market Reclaim/Stock Loan Reclaim
- S2 - SPO Due Bill Redemptions
- S3 - SPO Due Bill Redemptions Reclaim
- S4 - SPO Mark to Market/Fail
- S5 - SPO Mark to Market/Fail Reclaim
- S6 - SPO Buy In/Pair Off
- S7 - SPO Buy In/Pair Off Reclaim
- S8 - SPO Fail Pair Off
- S9 - SPO Fail Pair Off Reclaim
- P0 - Regular PPO Options Premium Put
- P1 - PPO Options Premium Put Reclaim
- P2 - PPO Call
- P3 - PPO Call Reclaim



## II On-line SPO Payor Ticket Explanation

- Line 1: Contains PTS Message Delivery reprint number, report type heading, Payor name (A), and Payor number (B).
- Line 2: Contains description of transaction, amount that was debited (C), time of entry (D), Date of Entry (E), Activity Code (F), and Input Source (G) information.
- Line 3: Contains headings for detailed transaction information appearing on line 4.
- Line 4: Contains detailed transaction information.
- Line 5: Contains descriptive name of Payee Participant (H) and translation of input reason code (I).
- Line 6: Contains Settlement date (J), Payable date (K), and Record date (L).
- Line 7: Contains heading for detailed transaction information appearing on line 8 and the Transaction Number at DTC.
- Line 8: Contains detailed transaction information.
- Line 9: Contains Payee representative name and telephone number. Line 10: Contains Payor representative name and telephone number.
- Line 11: Contains the comment field.

### III On-line PPO Payor Ticket

```

o
o
o 0 0000123400000001 ** PPO CODE 82 CHARGE REPORT ** FOR
XXXXXXXXXXXX (B)
o
9999
o
o @ (D) (E)
(F) (G)
o YOUR ACCOUNT WAS DEBITED FOR $$$, $$$, $$$9.99 AT HH:MM ON MM/DD/YY
(82)CF2
o
o
o PAYEE OPTION CONTRACTS TRADE SYM EXER PRICE EXPR DATE
RSN
o 9999 XXXX ZZ,ZZ9 XXXXX ZZ,ZZ9.99 XX/XX
XX
o (H) (I)
o XXXXXXXXXXXX (J)
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
o CUSIP : XXXXXXXX (K) SECURITY DESC :
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
o BANK CUST NAME/NUMBER RCPT/RLSE SERIAL NO DATE
LINE
o XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
XX
o OCC CUST NAME/NUMERIC: XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX TRANS # :
XXXXX-XX
o PAYEE NAME : XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX TEL NO: XXX-XXX-
XXXX
o PAYOR NAME : XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX TEL NO: XXX-XXX-
XXXX
o COMMENTS : XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
o
o
o

```

### IV On-line PPO Payor Ticket Explanation

- Line 1: Contains PTS Message Delivery reprint number, report type heading, Payor name (A), and Payor number (B).
- Line 2: Contains description of transaction, amount that was debited (C), time of entry (D), Date of Entry (E), Activity Code (F), and Input Source (G) information.
- Line 3: Contains headings for detailed transaction information appearing on line 4.
- Line 4: Contains detailed transaction information.
- Line 5: Contains descriptive name of Payee Participant (H) and translation of input reason code (I).
- Line 6: Contains CUSIP number (J) and its description (K).
- Line 7: Contains headings for detailed transaction information appearing on line 8.

Line 8: Contains detailed transaction information.

Line 9: Contains Options Clearing Corporation Account Name/Number and the Transaction Number at DTC.

Line 10: Contains Payee representative name and telephone number.

Line 11: Contains Payor representative name and telephone number.

Line 12: Contains the comment field.

## APPENDIX C. CUTOFF TIMES

Transmissions of CF2POC transactions with reason codes indicating they are reclamations can be transmitted daily until 1:50 pm. ("[Appendix A. Valid Reason Codes](#)" indicates reason codes which are not valid during these hours).

If the cutoff time is reached during a transmission, the transmission will continue until completion.

## APPENDIX D. CONDITIONS FOR CANCELLATION OF AN ENTIRE TRANSMISSION

If certain errors are detected during a CF2POC transmission, the entire transmission will be cancelled (although as much editing as possible will be done).

The following errors will cause the entire CF2POC transmission to be cancelled:

- If an invalid Record type is transmitted to DTC.
- If any Record sequence error is detected.
- If the last Record in the transmission is not a Trailer Record (Record type "TLR").
- If any field that should be numeric on the Trailer Record is non-numeric.
- If the totals provided by the User on the Trailer Record do not match the totals computed by DTC for received Records (this will happen if the Trailer Record is wrong or if any Security Quantity or money amount field in the transmission is non-numeric).

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