



Settlement

5.13 PARTPO: PARTICIPANT ACCOUNT RETURN PAYMENT ORDER

AUGUST 29, 2023

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OVERVIEW

A User may use the PARTPO function in order to receive DTC Participant Account Return Payment Order Transaction information.

When using the PARTPO function, the User will receive a series of machine-readable records. Each record corresponds to a Payment Order transaction which has updated a Participant's account balance.

The PARTPO function consists of Payment Orders available for return transmission, at the end of daily settlement processing. The PARTPO transmission contains all original and reclaim Security Payment Order (SPO) and Premium Payment Order (PPO) transactions that have been processed by DTC's Settlement System during the business day.

The information received via the PARTPO function may be used to automate the updating of a User's files and verification of the daily transaction processing sent by the User to DTC.

Scheduling Use of PARTPO

PARTPO will generally be available from 3:45 P.M. through 11:45 A.M. the following day.

HEADER AND TRAILER RECORDS

The CCF Header Record

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

The CCF header record's format is as follows:

Position	Length	Format	Field Name	Field Description
1	6	Character	Data Type Requested	Value " PARTPO ".
7	6	Character	Data Type Created	Value " PARTPO ".
13	8	Character	Creation Date	Date of data (MM/DD/YY).
21	8	Character	Spool Date	DTC data load date (MM/DD/YY).
29	8	Character	Load Time	DTC data load time (HH:MM:SS).
37	2	Binary	Record Size	Size of each data record.
39	4	Binary	Block Count	Number of data blocks input to CCFDTFDB.
43	4	Binary	Record Count	Number of data records.
47	???	Character	Filler	DTC use only. Do not use.

The CF2 Header and Trailer Records

The CF2 Header and Trailer records come in two different formats; NDM and FTP.

Note

The Header and Trailer records are identical except for the first and last field of each record.

NDM – CF2 Header and Trailer Records

NDM users executing NDMDTF02 or NDMDTFGH will receive the following:

Position	Length	Format	Field Name	Field Description
1	3	Character	Record ID	"HDR" or "TRL"
4	4	Character	Signon ID	Signon ID
8	6	Character	Data Type Requested	Value "PARTPO" .
14	6	Character	Data Type Created	Value "PARTPO" .
20	8	Character	Creation Date	Data Creation Date (MM/DD/YY)
28	8	Character	Spool Date	Data Load Date (MM/DD/YY)
36	8	Character	Load Time	Data Load Time (HH:MM:SS)
44	4	Numeric	Record Length	Record Length of data requested
48	8	Numeric	Record Count	Number of data records in file.
56	4	Numeric	80-Byte Record Count	Number of 80-byte records per data type requested. (0001)
60	???	Character	Filler	DTC use only. Do not use.

FTP - CF2 Header and Trailer Records

FTP users will get the following:

Position	Length	Format	Field Name	Field Description
12	6	Character	Data Type Requested	Value " PARTPO ".
18	6	Character	Data Type Created	Value " PARTPO ".
24	8	Character	Creation Date	Data Creation Date (MM/DD/YY)
32	8	Character	Spool Date	Data Load Date (MM/DD/YY)
40	8	Character	Load Time	Data Load Time (HH:MM:SS)
48	4	Numeric	Record Length	Record Length of data requested
52	8	Numeric	Record Count	Number of data records in file.
60	4	Numeric	80-Byte Record Count	Number of 80-byte records per data type requested. (0001)
64	???	Character	Filler	DTC use only. Do not use.

TRANSACTION DETAIL RECORDS

The remaining records on the file are PARTPO transaction detail records. The two types of data records are SPO Transactions and PPO Transactions. Formats for these record types follow in respective order.

SPO Transaction Detail Record

The SPO Transaction Detail record contains detailed information regarding each Security Payment Order transaction. The following is a description of the detail records for Security Payment Orders.

Position	Length	Format	Field Name	Field Description
1	1	Character	Payee/Payor Code	Indicates whether the recipient of this SPO transaction detail record is the Payee or Payor Participant: 1 = Payee Participant is the recipient; 2 = Payor Participant is the recipient.
2	1	Character	Filler	DTC use only. Must be initialized to spaces.
3	4	Character	Payee Participant Number	The DTC identification number of the originating Participant (right justified, left zero filled).
7	3	Character	Filler	DTC use only. Must be initialized to spaces.
10	9	Character	CUSIP Number	The unique nine character identification number assigned to the security being traded.
19	1	Character	Filler	DTC use only. Must be initialized to space.
20	4	Character	Payor Participant Number	The DTC identification number of the payor Participant (right justified, left zero filled).
24	5	Character	Filler	DTC use only. Must be initialized to spaces.
29	7	Numeric	Filler	DTC use only. Must be initialized to zeroes.
36	2	Character	Filler	DTC use only. Must be initialized to spaces.
38	12	Numeric	Dollar Amount	Format PIC S9(10) V9(2). The amount of money involved in this SPO transaction.

Position	Length	Format	Field Name	Field Description
50	2	Character	Reason Code	The DTC defined reason (for payment) code. Valid SPO reason codes are: S0 = SPO Mark to Market; S1 = SPO Mark to Market 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
52	2	Numeric	Activity Code	The DTC generated code "78" identifying an SPO activity.
54	2	Character	Filler	DTC use only. Must be initialized to spaces.
56	7	Numeric	New Price	Format PIC S9(5) V9(2). The new price per share (after the price change).
63	2	Character	Filler	DTC use only. Must be initialized to spaces.
65	10	Numeric	Adjustments	Format PIC S9(8) V9(2). Any adjustments to the Amount field.
75	6	Character	Contract Date	The date of the contract (MMDDYY).
81	2	Character	Filler	DTC use only. Must be initialized to spaces.
83	7	Numeric	Old Price	Format PIC S9(5) V9(2). The original price per share.
90	30	Character	Security Description	DTC's description for the security being traded.
120	9	Numeric	Share Quantity	The number of shares involved in the Stock Loan transaction, in units of 1.
129	21	Character	Filler	DTC use only. Must be initialized to spaces.
150	60	Character	Comments	Additional comments describing this SPO transaction. If this is a reclaim this field may contain the reason for reclaim. It may also contain third party information.
210	1	Character	Settlement Code	S = Same Day Funds Settlement
211	30	Character	Filler	DTC use only. Must be initialized to spaces.

SFT PD Payment Order Transaction Detail Record

The SFT PD Payment Order contains detailed information regarding each SFT Price Differential Payment Order transaction for SFT Stock Loans. SFT PD (Price Differential) Payment Orders are a type of SPO.

Position	Length	Format	Field Name	Field Description
1	1	Character	Payee/Payor Code	Indicates whether the recipient of SFT PD Payment Order detail record is the Payee or Payor Participant: 1 = Payee Participant is the recipient; 2 = Payor Participant is the recipient.
2	1	Character	Filler	DTC use only. Must be initialized to spaces.
3	4	Character	Payee Participant Number	The DTC identification number of the originating Participant (right justified, left zero filled).
7	3	Character	Filler	DTC use only. Must be initialized to spaces.
10	9	Character	CUSIP Number	The unique nine character identification number assigned to the security being traded.
19	1	Character	Filler	DTC use only. Must be initialized to space.
20	4	Character	Payor Participant Number	The DTC identification number of the payor Participant (right justified, left zero filled).
24	5	Character	Filler	DTC use only. Must be initialized to spaces.
29	7	Numeric	Filler	DTC use only. Must be initialized to zeroes.
36	2	Character	Filler	DTC use only. Must be initialized to spaces.
38	12	Numeric	Dollar Amount	Format PIC S9(10) V9(2). The amount of money involved in this SPO transaction.
50	2	Character	Reason Code	The DTC defined reason (for payment) code. SE = SFT PD Payment Order
52	2	Numeric	Activity Code	The DTC generated code "78-05" identifying an SFT PD (Price Differential) Payment Order activity.
54	2	Character	Filler	DTC use only. Must be initialized to spaces.
56	7	Numeric	New Price	Format PIC S9(5) V9(2). The new price per share (after the price change).
63	2	Character	Filler	DTC use only. Must be initialized to spaces.
65	10	Numeric	Adjustments	Format PIC S9(8) V9(2). Any adjustments to the Amount field.
75	6	Character	Contract Date	The date of the contract (MMDDYY).
81	2	Character	Filler	DTC use only. Must be initialized to spaces.

Position	Length	Format	Field Name	Field Description
83	7	Numeric	Old Price	Format PIC S9(5) V9(2). The original price per share.
90	30	Character	Security Description	DTC's description for the security being traded.
120	9	Numeric	Share Quantity	The number of shares involved in the Stock Loan transaction, in units of 1.
129	21	Character	Filler	DTC use only. Must be initialized to spaces.
150	60	Character	Comments	Additional comments describing this SPO transaction. If this is a reclaim this field may contain the reason for reclaim. It may also contain third party information.
210	1	Character	Settlement Code	S = Same Day Funds Settlement
211	30	Character	Filler	DTC use only. Must be initialized to spaces.

PPO Transaction Detail Record

The PPO Transaction Detail record contains detailed information regarding a Premium Payment Order transaction. The following is a description of the detail records for Premium Payment orders.

Note

For the Options Symbology Initiative (OSI), see positions 214 through 239.

Position	Length	Format	Field Name	Field Description
1	1	Character	Payee/Payor Code	Indicates whether the recipient of this PPO transaction 1 record is the Payee or Payor Participant: 1 = Payee Participant is the recipient 2 = Payor Participant is the recipient
2	1	Character	Filler	DTC use only. Must be initialized to space.
3	4	Character	Payee Participant Number	The DTC identification number of the originating Participant (right justified, left zero filled).
7	13	Character	Filler	DTC use only. Must be initialized to spaces.
20	4	Character	Payor Participant Number	The DTC identification number of the payor Participant (right justified, left zero filled).
24	5	Character	Filler	DTC use only. Must be initialized to spaces.
29	5	Numeric	Number of Contracts	The number of Option contracts involved in this transaction.
34	1	Character	Receipt /Release	1 = Receipt; 2 = Release.

Position	Length	Format	Field Name	Field Description
35	1	Character	Put/Call	1 = Put; 2 = Call.
36	2	Character	Filler	DTC use only. Must be initialized to spaces.
38	12	Numeric	Dollar Amount	Format PIC S9(10) V9(2). The amount of money involved in this PPO transaction.
50	2	Character	Reason Code	The DTC-defined reason (for payment) code. Valid PPO reason codes are: PO = PPO Options Premium Payment - Put; P1 = PPO Options Premium - Put Reclaim; P2 = PPO Options Premium Payment - Call; P3 = PPO Options Premium - Call Reclaim.
52	2	Numeric	Activity Code	The DTC generated code "82" identifying a PPO activity.
54	2	Character	Filler	DTC use only. Must be initialized to spaces.
56	7	Numeric	Filler	DTC use only. Must be initialized to Zeros.
63	1	Character	Open/Close Code	0 = PPO Opening Writing; 1 = PPO Closing Purchase.
64	2	Character	Filler	DTC use only. Must be initialized to spaces.
66	2	Character	Cross Reference Line Number	The cross-reference line number as it relates to the Depository Release or Receipt of Deposit on the OCC form.
68	7	Character	Filler	DTC use only. Must be initialized to spaces.
75	6	Character	Cross Reference Date	The cross-reference date (MMDDYY).
81	9	Character	Bearing Serial Number	The bearing serial number as it relates to the Depository Release or Receipt of Deposit on the OCC form.
90	30	Character	Bank Customer Name and Account Number	This field will not be blank if the payee is an OCC.
120	30	Character	Options Clearing Corp	OCC Member Name and Account Number. This field will not be blank if the payee is a bank.
150	60	Character	Comments	Additional comments describing this PPO transaction. If this is a reclaim this field may contain the reason for reclaim. It may also contain third party information.

Position	Length	Format	Field Name	Field Description
210	1	Character	Settlement Code	S = Same Day Funds Settlement
211	3	Character	Filler	Reserved for DTC future use.
214	6	Character	Option Symbol Extended	The extended symbol for the Option (previously called "Trading Symbol") Note: This field was extended, as a result of the Options Symbology Initiative (OSI).
220	8	Character	Expiration Date Extended	Extended expiration date (CCYYMMDD) for the Option. Note: This field was extended, as a result of the Options Symbology Initiative (OSI).
228	12	Numeric	Exercise Price Extended	Format PIC S9(6)V9(6). The extended price at which the Option can be exercised. Note: This field was extended, as a result of the Options Initiative (OSI).
240	1	Character	Filler	Reserved for future use. Initialized to spaces.

REVISION HISTORY

This is the document history reflecting changes to the file.

- | | |
|------------|--|
| 08/21/2023 | Document was reformatted to the current template. |
| 06/02/2022 | <p>The following changes were made to bring this document up to current standards:</p> <ul style="list-style-type: none"> • As a result of the SFT Clearing initiative, added PPO Transaction Detail Record for SFT PD (Price Differential) Payment Orders. • Made general updates to remove outdated references and reformat the document. • Updated the document to follow up on release note 03/31/09. "After February 12, 2010, old fields (Trading Symbol, Expiration Date and Exercise Price) will not be populated any more." They are now treated as filler. Position 10, Trading Symbol, and position 15, Expiration Date, are populated on output with spaces. Position 56, Exercise Price, is populated on output with zeros. |
| 07/14/14 | <p>The following changes were made to bring the existing document up to current standards.</p> <p>Added CCF Header Record description.</p> <p>Revised CF2 Header and Trailer Records</p> <p style="padding-left: 40px;">Changed CCF-II references to read CF2.</p> <p style="padding-left: 40px;">Identified existing CF2 HDR and TRL Record Format as NDM specific.</p> <p style="padding-left: 40px;">Corrected "TLR" in Field Description (position 1) to read "TRL".</p> <p style="padding-left: 40px;">Added (0001) to Field Description (position 56).</p> <p style="padding-left: 40px;">Expanded Filler (position 60) from 15 to ???</p> <p style="padding-left: 40px;">Removed Sequence Number field (position 75).</p> <p style="padding-left: 40px;">Added FTP specific CF2 Header and Trailer Record Format.</p> |
| 03/31/09 | <p>As a result of the Options Symbology Initiative (OSI), new fields are added to PPO record starting position 211 through 239 (pages 6-9). After February 12, 2010, old fields (Trading Symbol, Expiration Date and Exercise Price) will not be populated any more.</p> |

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