



Automated Customer Account Service (ACATS)

ACATS HELP

NOVEMBER 30, 2022

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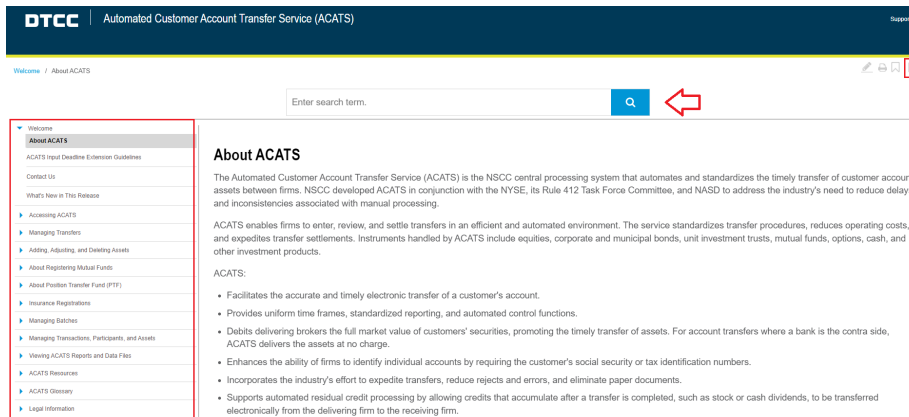
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WELCOME

Welcome to the ACATS help. Enter a term in the search to access information, or click an item on the left menu to view the topic. **To download the PDF version of this help**, click the  PDF icon, as highlighted in the following figure:



The screenshot shows the ACATS Help page. At the top, there is a dark blue header with the DTCC logo and the text 'Automated Customer Account Transfer Service (ACATS)'. Below the header is a search bar with the placeholder text 'Enter search term.' and a search icon. To the right of the search bar is a red arrow pointing left. On the left side, there is a navigation menu with a red box highlighting the 'About ACATS' section. The main content area on the right is titled 'About ACATS' and contains the following text:

About ACATS

The Automated Customer Account Transfer Service (ACATS) is the NSCC central processing system that automates and standardizes the timely transfer of customer account assets between firms. NSCC developed ACATS in conjunction with the NYSE, its Rule 412 Task Force Committee, and NASD to address the industry's need to reduce delays and inconsistencies associated with manual processing.

ACATS enables firms to enter, review, and settle transfers in an efficient and automated environment. The service standardizes transfer procedures, reduces operating costs, and expedites transfer settlements. Instruments handled by ACATS include equities, corporate and municipal bonds, unit investment trusts, mutual funds, options, cash, and other investment products.

ACATS:

- Facilitates the accurate and timely electronic transfer of a customer's account.
- Provides uniform time frames, standardized reporting, and automated control functions.
- Debils delivering brokers the full market value of customers' securities, promoting the timely transfer of assets. For account transfers where a bank is the contra side, ACATS delivers the assets at no charge.
- Enhances the ability of firms to identify individual accounts by requiring the customer's social security or tax identification numbers.
- Incorporates the industry's effort to expedite transfers, reduce rejects and errors, and eliminate paper documents.
- Supports automated residual credit processing by allowing credits that accumulate after a transfer is completed, such as stock or cash dividends, to be transferred electronically from the delivering firm to the receiving firm.

ACATS Help

What's New in This Release

As of October 2022, the Automated Customer Account Transfer Service (ACATS) application allows receivers to delete an **alternative investment** asset if the deliverer sets the Asset Category to ALT. For more information about deleting assets, see [Deleting Assets by Receivers for Full Transfers](#) and [Deleting Assets by Receiver for Nonstandard Transfers](#).

DTCC Learning Center

It is recommended that you use this online help with the [ACATS content](#) including, ACATS User Guide, *ACATS DTCC Web Portal User Guide*, and *ACATS Statistical Reports User Guide*. For all ACATS content, [create an account](#), and then [login](#) to the DTCC Learning Center site.

Let's Get Started	ACATS Overview Series View the five-part eLearning course for an introduction to the ACATS process.
Continue the Journey	<ul style="list-style-type: none">• ACATS Users• ACATS Best Practices
Technical Corner	ACATS Technical Resources View input and output fixed and variable record layouts.
Let's Keep Learning!	ACATS Projects

Contact Us

Use the following NSCC contacts for information about ACATS. You can also contact your DTCC Relationship Manager or obtain general assistance by visiting the [DTCC Client Center](#).

For...	Contact...
General questions and product support	NSCC Support by email at NSCCSupport@dtcc.com .
Setup and testing	NSCC Integration by email at NSCCIntegration@dtcc.com .
Issues with logging on to the system	DTCC Client Support. Call the following number, and then follow the prompt for product support. <ul style="list-style-type: none">◦ For US and Canada, call 1 888-382-2721.◦ For the UK, Europe, and Asia, call +1 212-855-8099.

ACATS OVERVIEW

- [About ACATS](#)
- [Overview of the Transfer Process](#)
- [ACATS Process Flow](#)

About ACATS

The Automated Customer Account Transfer Service (ACATS) is the NSCC central processing system that automates and standardizes the timely transfer of customer account assets between firms. NSCC developed ACATS in conjunction with the NYSE, its Rule 412 Task Force Committee, and NASD to address the industry's need to reduce delays and inconsistencies associated with manual processing.

ACATS enables firms to enter, review, and settle transfers in an efficient and automated environment. The service standardizes transfer procedures, reduces operating costs, and expedites transfer settlements. Instruments handled by ACATS include equities, corporate and municipal bonds, unit investment trusts, mutual funds, options, cash, and other investment products.

ACATS:

- Facilitates the accurate and timely electronic transfer of a customer's account.
- Provides uniform time frames, standardized reporting, and automated control functions.
- Debits delivering brokers the full market value of customers' securities, promoting the timely transfer of assets. For account transfers where a bank is the contra side, ACATS delivers the assets at no charge.
- Enhances the ability of firms to identify individual accounts by requiring the customer's social security or tax identification numbers.
- Incorporates the industry's effort to expedite transfers, reduce rejects and errors, and eliminate paper documents.
- Supports automated residual credit processing by allowing credits that accumulate after a transfer is completed, such as stock or cash dividends, to be transferred electronically from the delivering firm to the receiving firm.
- Allows easy registration of customers' mutual funds assets through ACATS-Fund/SERV.

It is recommended that you use this help with the *ACATS User Guide*, *ACATS DTCC Web Portal User Guide*, and *ACATS Statistical Reports User Guide*. For all ACATS documents, login to the DTCC Learning Center site, and then view the [ACATS Users](#) section.

Overview of the Transfer Process

At a high level, a standard or full transfer follows these steps.

1. Receiver initiates a transfer by submitting a transfer input (TI) record that is sourced from the transfer initiation form (TIF) completed by the account owner.
2. ACATS assigns a control number to the transfer and distributes the output to both parties. Exception: system rejects are reported only to the submitting firm.
3. Deliverer responds within one business day by either adding assets to the transfer or by rejecting the transfer. If the deliverer does not respond, ACATS adds the transfer to its self-regulatory organization (SRO) reporting.

Note

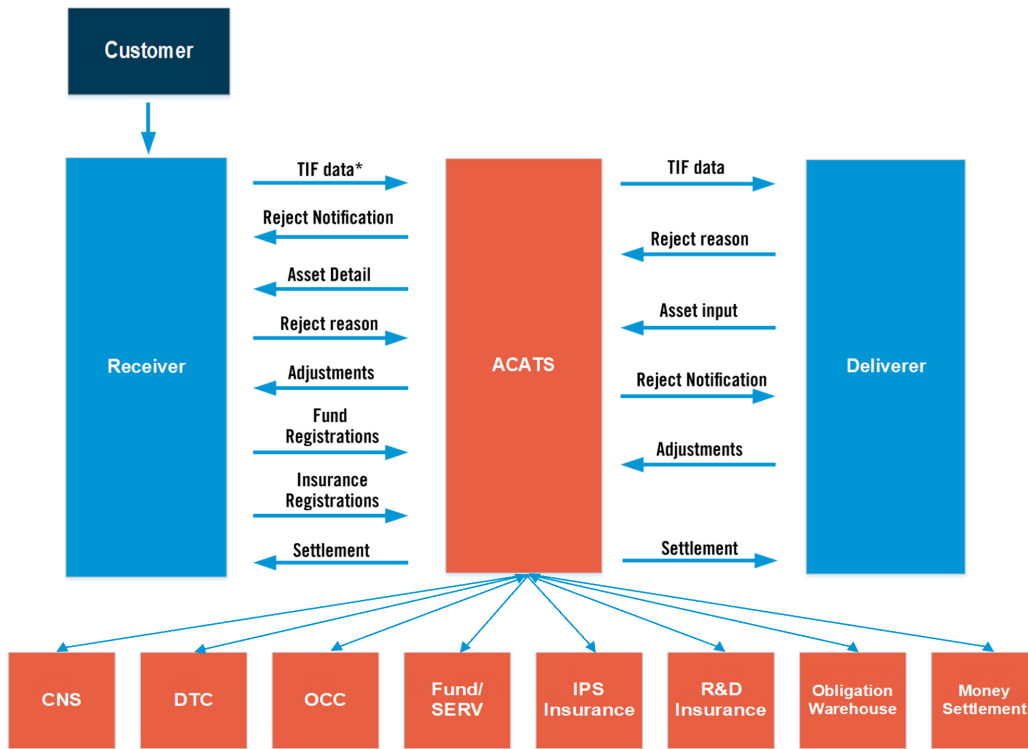
SRO reporting does not apply when at least one side of the transfer is a bank.

4. Both the receiver and deliverer review the assets that were added to the account. The 200–Review status can last the remainder of the day that the deliverer added assets and through the next business day provided that the receiver does not accelerate the transfer.
5. Deliverer can add, delete, or modify an asset or assets in the transfer provided that the transfer is not in a 230–Review Accelerate or 240–Review Adjust Receiver Accelerate status. After a transfer accelerates to the 230–Review Accelerate or 240–Review Adjust Receiver Accelerate status, the deliverer cannot make any updates to the transfer in subsequent cycles. If the transfer has not been accelerated and the deliverer takes any of these actions, ACATS updates the transfer to the 210–Review Adjust Deliverer status and adds an additional day onto the transfer.
6. Receiver submits the mutual fund and insurance registration instructions, if the transfer contains these asset types. For mutual funds registrations, accelerating the transfer allows the fund registration to go to the fund company earlier in the day. The receiver can delete a mutual fund, annuity, or alternative investment asset after acceleration. For information about input deadlines for mutual fund registration transactions, see [Timing of the Fund/SERV Statistics File](#).
7. ACATS stages the transfer for settlement after the review period is complete and the receiver has added registration instructions, if applicable. At this point, the receiver and deliverer cannot process any updates to the transfer. The 300–Settle Prep status lasts for one business day.
8. ACATS issues a settlement report to both the deliverer and receiver to inform them of the assets settling in the transfer. ACATS also sends the settling assets to their eligible settlement interfaces, such as CNS, DTC, or Fund/SERV. Both parties to the transfer update their systems and prepare for the settlement of assets.
9. The transfer settles. The transfer is now in the 310–Settle Close status, which begins the settlement of the assets.

For most non-CNS eligible securities on broker to broker transfers, the deliverer of the asset is debited the market value of the asset and the receiver is credited the market value of the asset through NSCC money settlement. These charges incentive the deliverer to deliver the asset and allow the receiver to record the customer on its books on ACATS settlement date, insulating the firm from the settlement process. Cash assets in broker-to-broker transfers are debited and credited through NSCC money settlement and netted with incentive charges described above. Cash assets in transfers with a bank settle through a security payment order (SPO) charge at DTC.

ACATS Process Flow

The following figure shows the various actions that can occur as a part of an ACATS transfer. It also shows the many settlement locations to which ACATS sends instructions.



ACATS Process Flow

ACCESSING ACATS

- [ACATS DTCC Web Portal Workflow](#)
- [Logging on to the System](#)
- [ACATS Input Deadline Extension Guidelines](#)
- [ACATS Home Page](#)

ACATS DTCC Web Portal Workflow

Use the ACATS DTCC Web Portal to:

1. Create transactions. From the ACATS Home Page, select a transaction from the ACATS Transaction Inputs section. See [Managing Transfers](#) and [Adding, Adjusting, and Deleting Assets](#).
2. View pending batches. From the Data Review / Send section of the ACATS Home page, select **Summary**. See [About the Summary Page](#).
3. Send transactions in batches. From the Data Review / Send section of the ACATS Home page, select **Send**. See [About the Send Page](#).
4. Review batches sent through ACATS. From the Data Review / Send section of the ACATS Home page, select **Sent Batches**. See [About the Sent Batches Page](#).

Note

- Alternatively, select the **UTF Facility - Files and Reports - UTF Facility** to transmit or send a unicode transformation format (UTF) file that you created outside of the ACATS DTCC Web Portal. Ensure this external file contains the proper format with a header record.
- You can also use the Confirms utility with the UTF Facility to verify that a batch was successfully sent to DTCC. For more information about the Confirms utility, see [Verifying sent batches using the Confirms utility](#).

After ACATS processes the transactions, you can:

- Obtain details about the status, positions, and settlement information for a transaction using the links available in the ACATS Inquiry section of the ACATS Home Page. See [Searching ACATS Transactions, Participants, and Assets](#).
- Download and review ACATS reports and data files. See [Viewing ACATS Reports and Data Files](#).
- Create and review the ACATS Statistical Reports. See [Creating ACATS Statistical Reports](#) and [Viewing ACATS Statistical Reports](#).

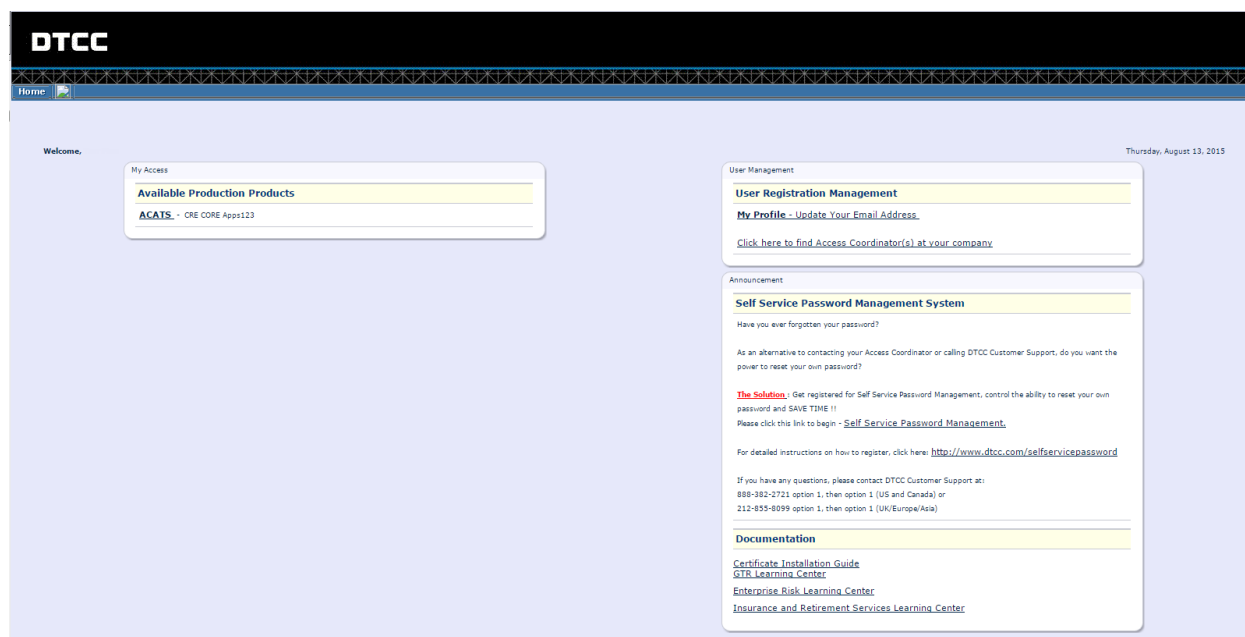
Logging on to the System

To access the ACATS DTCC Web Portal, go to <https://portal.dtcc.com/>.

After you have logged in, access ACATS through the:

- Production environment to enter real transactions.
- Participant Services Environment (PSE) to enter test transactions.

After logging in to the ACATS DTCC Web Portal, the welcome page appears, as shown in the figure. Click the ACATS link to go to the ACATS Home Page. From the ACATS Home Page, you enter and edit data, manage transfers, search transactions, view reports. You can also access the ACATS Inquiry to view the transaction, position, and settlement inquiry functions. These functions allow you to research an ACATS transaction. Researching is useful when ACATS rejects a transaction or you or your counterparty has a question about a transaction.



Accessing the ACATS DTCC Web Portal

ACATS Input Deadline Extension Guidelines

ACATS processes 11 intraday cycles per day. Firms must submit files before the applicable cycle deadline. Under certain limited circumstances, DTCC may extend a cycle deadline. If an extension is needed for any input submission, firms should use one of the following methods to obtain support:

- Email NSCC Support at NSCCSupport@dtcc.com.
- Telephone DTCC Client Support at 1-888-382-2721 and follow the prompt for production support.

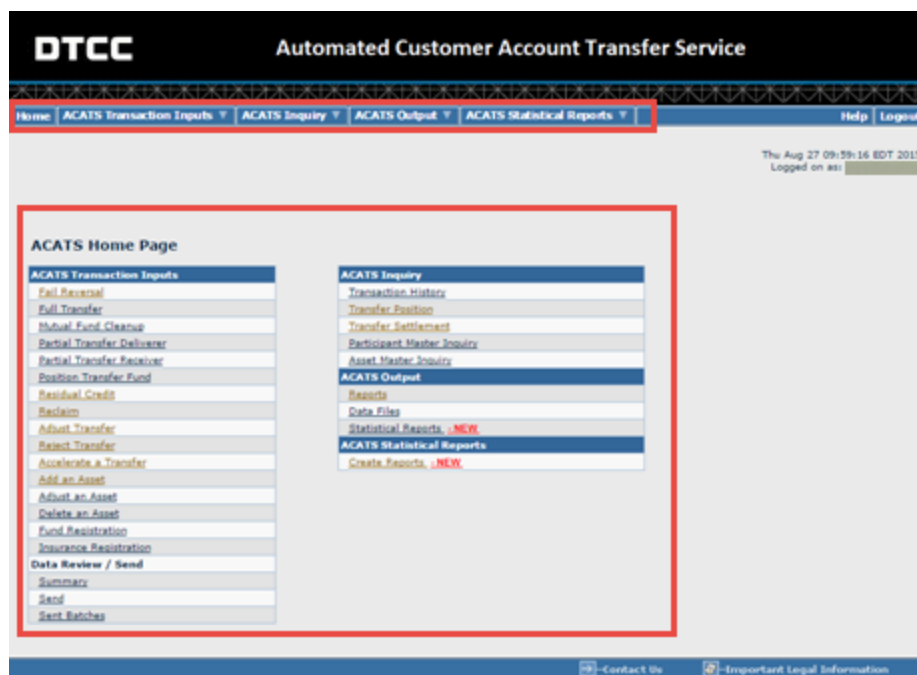
If DTCC, at its sole discretion, extends a deadline that would significantly impact reporting times, a communication is sent out.

ACATS Home Page

The ACATS Home Page provides you with easy access to transaction input features, batch information, inquiries, data files, and reports. Access the ACATS features from the ACATS Home Page or from the available drop-down list. Your assigned role defines the options that are available to you. The ACATS Home page is comprised of the following four sections:

- ACATS Transaction Inputs – Depending on your assigned role, this feature enables you to enter or submit ACATS transactions for further processing.
- ACATS Inquiry – Search active and historical transactions by various search options and filters.
- ACATS Output – Access reports and files produced from the ACATS transactions.
- ACATS Statistical Reports – Query reports by date range to obtain information about various transactions.

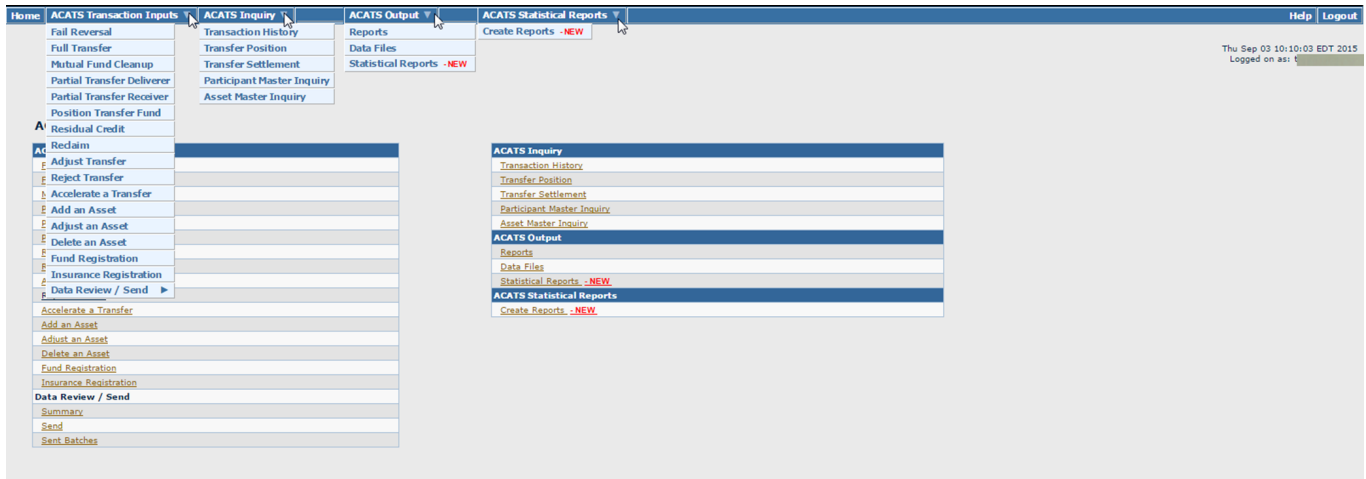
The following figure shows the ACATS Home Page.



ACATS Home Page

Menu

The drop-down menu is available from most pages enabling you to manage transactions, inquire about transactions, and view report and data files. The following figure shows all of the menus available to you. These menus correspond with the links available on the ACATS Home Page.



ACATS Menus

MANAGING TRANSFERS

This section explains how to request, adjust, accelerate, and reject transfers. It also explains how to enter nonstandard transfers.

Requesting Full Transfers

An account receiver uses a full transfer to request all the assets in a customer account from another ACATS user. The receiver fills out the fields in the Full Transfer page to initiate the transfer, but does not add specific customer assets to the transfer. This Full Transfer page is the equivalent of the ACATS Transfer Input (TI) record.

After the deliverer acquires the full transfer request from the receiver, the deliverer uses the Add Asset function to include all of the assets in the customer account. For more information, see [Adding Assets](#).

To request a full transfer:

1. From the ACATS Home Page, click **Full Transfer**. You can also choose **ACATS Transaction Inputs > Full Transfer** from the drop-down list displayed at the top of the page.

The screenshot shows the DTCC Automated Customer Account Transfer Service (ACATS) Home Page. The page has a dark header with the DTCC logo and the service name. Below the header is a navigation bar with several menu items: Home, ACATS Transaction Inputs, ACATS Inquiry, ACATS Output, ACATS Statistical Reports, Help, and Logout. The main content area is titled 'ACATS Home Page' and contains several menu sections: 'ACATS Transaction Inputs' (with 'Full Transfer' highlighted in red), 'ACATS Inquiry', 'ACATS Output', and 'ACATS Statistical Reports'. The page also displays the date 'Wed Aug 19 17:50:39 EDT 2015' and the user 'Logged on as:'. At the bottom, there are links for 'Contact Us' and 'Important Legal Information'.

ACATS Home Page: Full Transfer

The Full Transfer page appears.

Full Transfer

2. Type or select information in all of the required fields and any applicable optional fields. For more information, see [Full Transfer Field Definitions](#).
3. To enter another full transfer with similar information, click **Fill my next input page with this data**, if applicable. You can change information that differs when entering the subsequent transfer.
4. Click one of the following options:
 - To complete your transaction, click **Submit**.
 - To clear all data, click **Reset**.
 - To return to the ACATS menu, click **Back**.

Notes

You can access other ACATS features from the menu or the Go To drop-down list.

Full Transfer Field Definitions

Field definitions are listed in the order as they appear, grouped by categories. A red asterisk (*) indicates a required field.

Note

A conditional field appears as optional until you type or select information that makes it required. When a field becomes required, a red asterisk (*) appears.

The following table shows the field definitions available from the Transfer Information section of the Full Transfer page.

Field	Description
Original Receiver	View or select the four-digit NSCC account number of the participant originally receiving the transfer of assets. This field differs according to your user type: <ul style="list-style-type: none"> • If you are logged in as a participant, your participant number appears in this field by default. • If you are logged in as a service bureau, this field becomes a drop-down list that contains all participant numbers to which you have access.
Original Deliverer	Type the four-digit NSCC account number for the deliverer originally indicated on the transfer.
Customer Name	Type the customer's name. You can enter a maximum of 60 characters.
Receiver Customer Account Number	Type the receiver's customer account number. You can enter a maximum of 20 characters.
Deliverer Customer Account Number	Type the deliverer's account number for the customer. You can enter a maximum of 20 characters.
Primary SSN	Type the customer's social security number. Use the nine-digit numeric format without hyphens or spaces.
Secondary SSN	Type the customer's secondary social security number. Use the nine-digit numeric format without hyphens or spaces.
Account Type	Choose the customer's account type from the drop-down list.
Receiver OCC Broker Number	You can leave this field blank. Optionally, type the five-character receiver options clearing corporation (OCC) broker number. If you complete this field, ACATS validates it against the OCC broker number set up in the ACATS PARTICIPANT MASTER file.
Receiver Correspondent	Type the four-digit receiver correspondent number if the receiving firm is acting on behalf of another party.
Comments	Type any additional notes or information about this full transfer not already covered by the entry fields. Create line breaks by pressing ENTER; otherwise, your text appears on a single line.

Entering Nonstandard Transfers

The deliverer initiates a nonstandard transfer by submitting transfer and asset data to NSCC. The following nonstandard transfers are explained further:

- [Fail Reversal \(FRV\)](#)
- [Mutual Fund Cleanup \(MFC\)](#)
- [Partial Transfer Deliverer \(PTD\)](#)
- [Partial Transfer Receiver \(PTR\)](#)
- [Reclaims \(RCL\)](#)
- [Residual Credits \(RCR\)](#)

Fail Reversal (FRV)

A fail reversal occurs when the transfer of an asset from a previous transfer does not occur. The original deliverer initiates the fail reversal to request the reversal of any outstanding fail monies for an asset that failed to transfer. The original deliverer is credited cash while the original receiver is debited cash. This offsets the outstanding fail monies.

This type of transaction is only used for broker-to-broker transfers. A fail reversal transaction is considered a nonstandard transfer. Nonstandard transfers have a shorter cycle than full transfers. You can reject a fail reversal. For more information, see [Rejecting a Transfer](#).

To enter a fail reversal:

1. From the ACATS Home Page, click **Fail Reversal**. You can also choose **ACATS Transaction Inputs > Fail Reversal** from the drop-down list displayed at the top of the page.

The screenshot shows the DTCC Automated Customer Account Transfer Service (ACATS) Home Page. The page has a dark header with the DTCC logo and the service name. Below the header is a navigation bar with links for Home, ACATS Transaction Inputs, ACATS Inquiry, ACATS Output, and ACATS Statistical Reports. The main content area is titled 'ACATS Home Page' and contains two columns of links. The left column is 'ACATS Transaction Inputs' and the right column is 'ACATS Inquiry'. The 'Fail Reversal' link in the 'ACATS Transaction Inputs' column is highlighted with a red box. The page also shows the date and time 'Wed Aug 19 17:50:39 EDT 2015' and 'Logged on as:'.

ACATS Home Page: Fail Reversal

The Fail Reversal page appears.

Fail Reversal

Note

- All **required** fields appear in bold followed by a red asterisk (*).
 - **Conditional** fields appear as optional until you type or select information that makes it required. When a field becomes required, a red asterisk (*) appears next to it, but the field name does not become bold.
2. Type or select information in all required fields and any applicable optional fields. For more information about the fields, see [Fail Reversal Field Definitions](#).
 3. Verify that all of the required fields are complete. In certain situations, a conditional field becomes required when you select or type your entry.
 4. To enter additional assets for this transaction, check the **More Assets** box, if applicable. When you select the **More Assets** check box and click **Submit**, ACATS creates a new page with the same data in both the Transfer Information and Asset Information sections. You can edit the fields in the Asset Information section; however, you cannot edit the fields in the Transfer Information section. You can continue to select the More Assets check box on each subsequent page until you have entered all of the assets related to this transaction.
 5. Click one of the following options:
 - To complete your transaction, click **Submit**.
 - To clear all data, click **Reset**.
 - To return to the ACATS menu, click **Back**.

Notes

You can access other ACATS features from the menu or the Go To drop-down list.

Fail Reversal Field Definitions

Field definitions are listed in the order as they appear, grouped by categories. A red asterisk (*) indicates a required field.

Note

A conditional field appears as optional until you type or select information that makes it required. When a field becomes required, a red asterisk (*) appears.

The following table shows the field definitions available from the Transfer Information section of the Fail Reversal page.

Fail Reversal - Transfer Information Field Definitions

Field	Description
Original Receiver	Type the four-digit membership number of the NSCC participant that is to receive the transfer of assets.
Original Deliverer	View, type, or select the four-digit NSCC account number for the deliverer originally indicated on the transfer. This field differs according to your user type: <ul style="list-style-type: none"> If you are logged in as a participant, your participant number appears in this field by default. If you are logged in as a service bureau, this field becomes a drop-down list that contains all participant numbers to which you have access.
Customer Name	Type the customer's name. You can enter a maximum of 60 characters.
Receiver Customer Account Number	Type the receiver's customer account number. You can enter a maximum of 20 characters.
Deliverer Customer Account Number	Type the deliverer's account number for the customer. You can enter a maximum of 20 characters.
Primary SSN	Type the customer's social security number. Use the nine-digit numeric format without hyphens or spaces.
Secondary SSN	Type the customer's secondary social security number. Use the nine-digit numeric format without hyphens or spaces.

Fail Reversal - Transfer Information Field Definitions

Field	Description
Account Type	Choose the account type from the drop-down list.
Receiver OCC Broker Number	You can leave this field blank. Optionally, type the five-character receiver options clearing corporation (OCC) broker number. If you complete this field, ACATS validates it against the OCC broker number set up in the ACATS PARTICIPANT MASTER file.
Receiver Correspondent Number	Type the four-digit receiver correspondent number if the receiving firm is acting on behalf of another party.
Associated ACATS Control Number	Type the 14-digit ACATS control number of the prior associated transfer. You can find this number on reports produced by the ACATS system. The ACATS control number CCYYDDNNNNNNNN format breaks down as follows: <ul style="list-style-type: none"> • CC–Millennium and century of the transfer submission. • YY–Year of the transfer submission. • DDD–Julian date of the transfer submission. • NNNNNNN–System-assigned sequence number.
Associated Settlement Date	Type the settlement date for the prior associated transfer, in MM-DD-CCYY format.
Comments	Type any additional notes or information about this fail reversal not already covered by the entry fields. Create line breaks by pressing ENTER; otherwise, your text appears on a single line.

The following table shows the field definitions available from the Asset Information section of the Fail Reversal page.

Fail Reversal - Asset Information Field Definitions

Field	Description
Settling Location and Reason	Choose the settling location and reason. The settling location and reason for this transfer type is locked at one of the following options: <ul style="list-style-type: none"> • 50 RSEC - R&D Restricted Security • 50 SFK - R&D Safekeeping • 50 XSET - R&D Outside CNS, DTC, Fund/SERV
Option Category	This field is locked at the value 00 - Non Option.
Asset Category	Optional field that enables you to choose an asset category.

Fail Reversal - Asset Information Field Definitions

Field	Description
Cash/Margin/Short	Choose one of the following position options: <ul style="list-style-type: none"> • C–Cash • M–Margin • S–Short
Position Code	Choose one of the following position options: <ul style="list-style-type: none"> • S–Short Position • L–Long Position • N–Not Applicable
Currency Code	Keep the default, USD, as the three-character ISO currency code for the asset. The only acceptable values for this field are USD or blank. Entering any other value results in an error message.
MBS Serial Note	Type the three-character serial note unit number used to identify the Puerto Rican mortgage-backed securities, if applicable.
Amount	Type the original amount of the asset. Up to 13 characters can be entered before the decimal point; up to four characters can be entered after the decimal point. For US currency, use only two places after the decimal point.
Quantity	Type the original quantity of the asset. Up to 13 characters can be entered before the decimal point; up to four characters can be entered after the decimal point.
ISIN	Type the international security identification number (ISIN), which consists of a country code, a nine-character alphanumeric code that identifies the security, and an ISIN check digit (when the country code is not US).
Transfer Reason	Choose the option that represents the reason for this fail.
Bearer Bond	This field is locked with the N - Not a Bearer Bond value.
When Issued	This field is locked with the N - Not When Issued value.
Asset Description	Type a text description of the asset being transferred. Create line breaks by pressing ENTER; otherwise, your text appears on a single line.
Comments	Type any additional notes or information about this asset not already covered by the entry fields. Create line breaks by pressing ENTER; otherwise, your text appears on a single line.

Mutual Fund Cleanup (MFC)

A mutual fund cleanup (MFC) is a nonstandard transfer that allows a deliverer to recoup incentive charges associated with the transfer of mutual fund assets that were included in earlier ACATS transfers but did not successfully settle through the ACATS-Fund/SERV interface. These assets are subsequently re-registered outside ACATS. The cleanup reverses the settlement incentive money charged to the deliverer, and credited to the receiver, when the original transfer was prepared for settlement.

The deliverer provides the new Fund Customer Account Number of the receiver as verification that the new mutual fund asset has been re-registered into the receiver's account at the fund.

MFC nonstandard transfers have a shorter cycle than full transfers. The cutoff time is 12:00 P.M. noon Eastern Time.

The receiver can reject the cleanup transaction only on the same day it is entered. If the mutual fund cleanup is not rejected, the transfer moves to the 310–Settle Close status at the end of the day. The assets within the mutual fund cleanup do not settle. No other actions by the deliverer or receiver are allowed.

The settling location and reason of all assets within a mutual fund cleanup transfer is set to 50 - NSET. ACATS locks the settlement location and reason code at the 00–System Generated value, and ACATS assigns the 50 - R&D settlement code.

To enter a mutual fund cleanup:

1. From the ACATS Home Page, click **Mutual Fund Cleanup**.

DTCC Automated Customer Account Transfer Service

Home | ACATS Transaction Inputs | ACATS Inquiry | ACATS Output | ACATS Statistical Reports | Help | Logout

Wed Aug 19 17:50:39 EDT 2015
Logged on as: _____

ACATS Home Page

ACATS Transaction Inputs	ACATS Inquiry	
Fail Reversal	Transaction History	
Full Transfer	Transfer Position	
Mutual Fund Cleanup	Transfer Settlement	
Partial Transfer Deliverer	Participant Master Inquiry	
Partial Transfer Receiver	Asset Master Inquiry	
Position Transfer Fund	<th>ACATS Output</th>	ACATS Output
Residual Credit	Reports	
Reclaim	Data Files	
Adjust Transfer	Statistical Reports - NEW	
Reject Transfer	<th>ACATS Statistical Reports</th>	ACATS Statistical Reports
Accelerate a Transfer	Create Reports - NEW	
Add an Asset		
Adjust an Asset		
Delete an Asset		
Fund Registration		
Insurance Registration		
<th>Data Review / Send</th>	Data Review / Send	
Summary		
Send		
Sent Batches		

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ACATS Home Page: Mutual Fund Cleanup

The Mutual Fund Cleanup page appears.

DTCC Automated Customer Account Transfer Service

Home | ACATS Transaction Inputs | ACATS Inquiry | ACATS Output | ACATS Statistical Reports | Help | Logout

Tue Aug 25 14:38:34 EDT 2015
Logged on as:

ACATS Menu > Mutual Fund Cleanup

Mutual Fund Cleanup Go To: Transaction Inputs: ▼

Back Reset Submit
* = Required

Transfer Information

Original Receiver *

Original Deliverer 0123 *

Customer Name *

Receiver Customer Account Number *

Deliverer Customer Account Number *

Primary SSN *

Secondary SSN

Account Type *

Receiver OCC Broker Number

Receiver Correspondent

Associated ACATS Control Number (CCYYDDMMNNNN) *

Associated Settlement Date (MM-DD-CCYY) *

Comments

Asset Information

Setting Location and Reason 00 - System Generated *

Option Category 00 - Non Option *

Asset Category MFMM - Mutual Fund - Money Market *

Cash/Margin/Short

Position Code L - Long Position *

Currency Code USD

MBS Serial Note

Amount . *

Quantity . *

ISIN US *

Bearer Bond N - Not a Bearer Bond *

When Issued N - Not When Issued *

Asset Description *

Comments

Mutual Fund Information

New Fund Customer Account Number Receiver *

Re-registration Date at Fund (MM-DD-CCYY) *

Full/Partial Transfer

Book/Physical Shares

Network Control

Customer/Street

Dividend Code

Dividend Payee

Executing Broker

Fund Customer Account

Share Aging Indicator Deliverer

Firm Membership Indicator Deliverer Broker

MF Agent Processing Indicator Deliverer

More Assets

Back Reset Submit

Contact Us Important Legal Information

Mutual Fund Cleanup

Note

- All **required** fields appear in bold followed by a red asterisk (*).
 - **Conditional** fields appear as optional until you type or select information that makes it required. When a field becomes required, a red asterisk (*) appears next to it, but the field name does not become bold.
2. Type or select information in all required fields and any applicable optional fields. For more information about the fields, see [Mutual Fund Cleanup Field Definitions](#).
 3. Verify that all of the required fields are complete. In certain situations, a conditional field becomes required when you select or type your entry.

4. To enter additional assets for this transaction, check the **More Assets** box, if applicable. When you select the **More Assets** check box and click **Submit**, ACATS creates a new page with the same data in both the Transfer Information and Asset Information sections. You can edit the fields in the Asset Information section; however, you cannot edit the fields in the Transfer Information section. You can continue to select the More Assets check box on each subsequent page until you have entered all of the assets related to this transaction.
5. Click one of the following options:
 - To complete your transaction, click **Submit**.
 - To clear all data, click **Reset**.
 - To return to the ACATS menu, click **Back**.

Notes

You can access other ACATS features from the menu or the Go To drop-down list.

Mutual Fund Cleanup Field Definitions

Field definitions are listed in the order as they appear, grouped by categories. A red asterisk (*) indicates a required field.

Note

A conditional field appears as optional until you type or select information that makes it required. When a field becomes required, a red asterisk (*) appears.

The following table shows the field definitions available from the Transfer Information section of the Mutual Fund Cleanup page.

Mutual Fund Cleanup - Transfer Information Field Definitions

Field	Description
Original Receiver	Type the four-digit NSCC account number of the participant that is to receive the transfer of assets.
Original Deliverer	View, type, or select the four-digit NSCC account number of the participant who was the original deliverer of the assets. This field differs according to your user type: <ul style="list-style-type: none"> • If you are logged in as a participant, your participant number appears in this field by default. • If you are logged in as a service bureau, this field becomes a drop-down list that contains all participant numbers to which you have access.
Customer Name	Type the customer's name. You can enter a maximum of 60 characters.

Mutual Fund Cleanup - Transfer Information Field Definitions

Field	Description
Receiver Customer Account Number	Type the receiver's customer account number. You can enter a maximum of 20 characters.
Deliverer Customer Account Number	Type the deliverer's account number for the customer. You can enter a maximum of 20 characters.
Primary SSN	Type the customer's Social Security number. Use the nine-digit numeric format without hyphens or spaces.
Secondary SSN	Type the customer's secondary Social Security number. Use the nine-digit numeric format without hyphens or spaces.
Account Type	Choose the customer's account type from the drop-down list if you are acting as the original deliverer.
Receiver OCC Broker Number	You can leave this field blank. Optionally, type the five-character receiver options clearing corporation (OCC) broker number. If you complete this field, ACATS validates it against the OCC broker number set up in the ACATS PARTICIPANT MASTER file.
Receiver Correspondent Number	Type the four-digit receiver correspondent number if the receiving firm is acting on behalf of another party.
Associated ACATS Control Number	Type the 14-digit ACATS control number of the prior associated transfer. You can find this number on reports produced by the ACATS system. The ACATS control number <i>CCYYDDNNNNNNNN</i> format breaks down as follows: <ul style="list-style-type: none"> • <i>CC</i>—Millennium and century of the transfer submission. • <i>YY</i>—Year of the transfer submission. • <i>DDD</i>—Julian date of the transfer submission. • <i>NNNNNNN</i>—System-assigned sequence number.
Associated Settlement Date	Type the settlement date for the prior associated transfer in <i>MM-DD-CCYY</i> format.
Comments	Type any additional notes or information about this fail reversal not already covered by the entry fields. Create line breaks by pressing ENTER; otherwise, your text appears on a single line.

The following table shows the field definitions available from the Asset Information section of the Mutual Fund Cleanup page.

Mutual Fund Cleanup - Asset Information Field Definitions

Field	Description
Settling Location and Reason	This field is locked at 00–System Generated.
Option Category	This field is locked at the value 00–Non Option.
Asset Category	Choose one of the following asset categories: <ul style="list-style-type: none"> • MFMM–Mutual Fund Money Market • MFNM–Mutual Fund non-Money Market.
Cash/Margin/Short	Choose one of the following position options: <ul style="list-style-type: none"> • C–Cash • M–Margin • S–Short
Position Code	Defaults to L - Long Position.
Currency Code	Keep the default, USD, as the three-character ISO currency code for the asset. The only acceptable values for this field are USD or blank. Entering any other value results in an error message.
MBS Serial Note	Type the three-character serial note unit number used to identify the Puerto Rican mortgage-backed securities, if applicable.
Amount	Type the original amount of the asset. Up to 13 characters can be entered before the decimal point; up to four characters can be entered after the decimal point. For US currency, use only two places after the decimal point.
Quantity	Type the original quantity of the asset. Up to 13 characters can be entered before the decimal point; up to four characters can be entered after the decimal point.
ISIN	Type the international security identification number (ISIN), which consists of a country code, a nine-character alphanumeric code that identifies the security, and an ISIN check digit (when the country code is not US).
Bearer Bond	This field is locked with the N - Not a Bearer Bond value.
When Issued	This field is locked with the N - Not When Issued value.
Asset Description	Type a text description of the asset being transferred. Create line breaks by pressing ENTER; otherwise, your text appears on a single line.
Comments	Type any additional notes or information about this asset not already covered by the entry fields. Create line breaks by pressing ENTER; otherwise, your text appears on a single line.

The following table shows the field definitions available from the Mutual Fund section of the Mutual Fund Cleanup page.

Mutual Fund Cleanup - Mutual Fund Field Definitions

Field	Description
New Fund Customer Account Number Receiver	Type the 20-character new fund customer account number for the receiver. The deliverer sends this new account number as proof that the fund is re-registered.
Re-registration Date at Fund (MM-DD-CCYY)	Type the date on which the mutual fund asset was registered again by the deliverer at the fund in MM-DD-CCYY format.
Full/Partial Transfer	Optionally, click the type of transfer, either Full or Partial. This indicator refers to the asset position, and whether the entire position (full) or part of a position (partial) is being transferred.
Book/Physical Shares	Optionally, choose the format of the customer assets being transferred from the following options: <ul style="list-style-type: none"> • 0 - In and Out Book Shares. BIN Specified. • 1 - In and Out Book Shares. FIN Specified. • 2 - In: Book Shares, Out: Physical
Network Control	Optionally, choose how the account is handled in Networking or indicate that it is not networked.
Customer/Street	Optionally, choose one of the following options from the drop-down list: <ul style="list-style-type: none"> • 1 - Customer Name to indicate that the assets are registered in the customer's name • 2 - Street Name to indicate that the assets are registered in the street name.
Dividend Code	Optionally, choose the dividend code from the drop-down list. Each item displays the dividend code number and manner (cash or reinvestment) in which to make the payment. For example, if the dividend payments are cash, capital gains is cash, and short-term capital gains is reinvestment, choose 2 - Cash Cash Reinvest.
Dividend Payee	Optionally, choose the dividend recipient type from the drop-down list.
Executing Broker	Optionally, type the four-digit code to identify the broker executing the delivery.
Fund Customer Account	Optionally, type the 20-character Fund Customer Account number.
Share Aging Indicator Deliverer	Optionally, choose value from the drop-down list.
Firm Membership Indicator Deliverer	Optionally, select the type of account that is being delivered from the following options: <ul style="list-style-type: none"> • Broker • 01 - Trust
MF Agent Processing Indicator Deliverer	Optionally, choose value from the drop-down list.

Partial Transfer Deliverer (PTD)

The partial transfer deliverer (PTD) transaction allows the deliverer to initiate a transfer request of a portion of the assets in a customer account. You can also use the partial transfer deliverer transaction to respond to a partial transfer receiver request from a receiving firm.

The receiver of the partial transfer deliverer transaction can reject the request. If the transaction is not rejected, it enters the 310–Settle Close status. The settlement of the transaction occurs the next settlement day.

To perform a partial transfer on the deliverer side:

1. From the ACATS Home Page, click **Partial Transfer Deliverer**.

The screenshot shows the DTCC Automated Customer Account Transfer Service (ACATS) Home Page. The page has a dark header with the DTCC logo and the title 'Automated Customer Account Transfer Service'. Below the header is a navigation bar with links for 'Home', 'ACATS Transaction Inputs', 'ACATS Inquiry', 'ACATS Output', 'ACATS Statistical Reports', 'Help', and 'Logout'. The main content area is titled 'ACATS Home Page' and contains four columns of links. The first column, 'ACATS Transaction Inputs', is highlighted in blue and contains a list of links including 'Fail Reversal', 'Full Transfer', 'Mutual Fund Cleanup', 'Partial Transfer Deliverer' (circled in red), 'Partial Transfer Receiver', 'Position Transfer Fund', 'Residual Credit', 'Reclaim', 'Adjust Transfer', 'Reject Transfer', 'Accelerate a Transfer', 'Add an Asset', 'Adjust an Asset', 'Delete an Asset', 'Fund Registration', 'Insurance Registration', 'Data Review / Send', 'Summary', 'Send', and 'Sent Batches'. The second column, 'ACATS Inquiry', contains links for 'Transaction History', 'Transfer Position', 'Transfer Settlement', 'Participant Master Inquiry', and 'Asset Master Inquiry'. The third column, 'ACATS Output', contains links for 'Reports', 'Data Files', 'Statistical Reports -NEW', and 'ACATS Statistical Reports'. The fourth column, 'ACATS Statistical Reports', contains a link for 'Create Reports -NEW'. The page also displays the date 'Wed Aug 19 17:50:39 EDT 2015' and the user's login status 'Logged on as:'. At the bottom of the page, there are links for 'Contact Us' and 'Important Legal Information'.

ACATS Home Page: Partial Transfer Deliverer

The Partial Transfer Deliverer page appears.

Partial Transfer Deliverer

Note

- All **required** fields appear in bold followed by a red asterisk (*).
 - **Conditional** fields appear as optional until you type or select information that makes it required. When a field becomes required, a red asterisk (*) appears next to it, but the field name does not become bold.
2. Type or select information in all required fields and any applicable optional fields. For more information about the fields, see [Partial Transfer Deliverer Field Definitions](#).
 3. Required and optional fields change depending on the settling location. From the Asset Information section, select the settling location using these guidelines:
 - **If the asset is a mutual fund settling through the ACATS-Fund/SERV interface:**

- a. In the Settling Location and Reason field, choose **10–Fund/SERV**.
The Mutual Fund Information section becomes available.
- b. In the Mutual Fund Information section, type or select information in all required fields and any applicable optional fields.

Mutual Fund Information

• If the asset is an option:

- a. In the Settling Location and Reason field, choose **35 EXPO - OCC Expiring Option**, **35 OPT–OCC Option**, or **35 USEC - OCC Underlying Security**.
The Option Information section becomes available.
- b. In the Option Information section, type or select information in all required fields and any applicable optional fields.

Option Information

• If the asset is a foreign security:

- a. In the Settling Location and Reason field, choose **55–Foreign**.
The Foreign Information section becomes available.

- b. In the Foreign Asset section, type or select information in all required fields and any applicable optional fields.

Foreign Asset	
SEDOL Number	<input type="text"/> *
CINS Number	<input type="text"/>
Delivering Firm Settlement Instruction Line 1	<input type="text"/>
Delivering Firm Settlement Instruction Line 2	<input type="text"/>
Delivering Firm Settlement Instruction Line 3	<input type="text"/>
Delivering Firm Settlement Instruction Line 4	<input type="text"/>
Delivering Firm Settlement Instruction Line 5	<input type="text"/>

Fill my next input screen with this data

Back Reset Submit

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Foreign Asset

- If the asset is an annuity settling through the ACATS-IPS (Insurance Processing Service) interface:
 - a. In the Settling Location and Reason field, choose **60-IPS**.
The Asset Insurance Information section becomes available.
 - b. In the Asset Insurance Information section, type or select information in all applicable fields.

Asset Insurance Information			
Insurance Customer Account Number Deliverer	<input type="text"/>	*	
Owner 1 Natural/Non-Natural Indicator	<input type="text"/>	*	Owner 2 Natural/Non-Natural Indicator <input type="text"/>
Owner 1 First Name	<input type="text"/>		Owner 2 First Name <input type="text"/>
Owner 1 Middle Name	<input type="text"/>		Owner 2 Middle Name <input type="text"/>
Owner 1 Last Name	<input type="text"/>		Owner 2 Last Name <input type="text"/>
Owner 1 Prefix	<input type="text"/>		Owner 2 Prefix <input type="text"/>
Owner 1 Suffix	<input type="text"/>		Owner 2 Suffix <input type="text"/>
Owner 1 Non-Natural Name	<input type="text"/>		Owner 2 Non-Natural Name <input type="text"/>
Owner 1 ID	<input type="text"/>	*	Owner 2 ID <input type="text"/>
Owner 1 ID Qualifier	<input type="text"/>	*	Owner 2 ID Qualifier <input type="text"/>
Owner 1 Qualifier	<input type="text"/>	*	Owner 2 Qualifier <input type="text"/>
Annuitant 1 First Name	<input type="text"/>		Annuitant 2 First Name <input type="text"/>
Annuitant 1 Middle Name	<input type="text"/>		Annuitant 2 Middle Name <input type="text"/>
Annuitant 1 Last Name	<input type="text"/>	*	Annuitant 2 Last Name <input type="text"/>
Annuitant 1 Prefix	<input type="text"/>		Annuitant 2 Prefix <input type="text"/>
Annuitant 1 Suffix	<input type="text"/>		Annuitant 2 Suffix <input type="text"/>
Annuitant 1 ID	<input type="text"/>	*	Annuitant 2 ID <input type="text"/>
Annuitant 1 ID Qualifier	<input type="text"/>	*	Annuitant 2 ID Qualifier <input type="text"/>
IRS Qualification Code	<input type="text"/>	*	Contract Number <input type="text"/>
Contract Value	<input type="text"/>	*	Contract Value As-Of Date (MM-DD-CCYY) <input type="text"/>
Delivering Associated Firm ID	<input type="text"/>	*	
<input type="checkbox"/> More Assets			
<input type="button" value="Back"/> <input type="button" value="Reset"/> <input type="button" value="Submit"/>			

Asset Insurance Information

4. Verify that all of the required fields are complete. In certain situations, a conditional field becomes required when you select or type your entry.
5. To enter additional assets for this transaction, check the **More Assets** box, if applicable. When you select the **More Assets** check box and click **Submit**, ACATS creates a new page with the same data in both the Transfer Information and Asset Information sections. You can edit the fields in the Asset Information section; however, you cannot edit the fields in the Transfer Information section. You can continue to select the More Assets check box on each subsequent page until you have entered all of the assets related to this transaction.
6. Click one of the following options:
 - To complete your transaction, click **Submit**.
 - To clear all data, click **Reset**.
 - To return to the ACATS menu, click **Back**.

Notes

You can access other ACATS features from the menu or the Go To drop-down list.

Partial Transfer Deliverer Field Definitions

Field definitions are listed in the order as they appear, grouped by categories. A red asterisk (*) indicates a required field.

Note

A conditional field appears as optional until you type or select information that makes it required. When a field becomes required, a red asterisk (*) appears.

The following table shows the field definitions available from the Transfer Information section of the Partial Transfer Deliverer page.

Partial Transfer Deliverer - Transfer Information Field Definitions

Field	Description
Original Receiver	Type the four-digit NSCC account number of the participant that is to receive the transfer of assets.
Original Deliverer	View or select the four-digit NSCC account number of the participant who is the original deliverer of the assets. This field differs according to your user type: <ul style="list-style-type: none"> • If you are logged in as a participant, your participant number appears in this field by default. • If you are logged in as a service bureau, this field becomes a drop-down list that contains all participant numbers to which you have access.
Customer Name	Type the customer's name. You can enter a maximum of 60 characters.
Receiver Customer Account Number	Type the receiver's customer account number. You can enter a maximum of 20 characters.
Deliverer Customer Account Number	Type the deliverer's account number for the customer. You can enter a maximum of 20 characters.
Primary SSN	Type the customer's Social Security number. Use the nine-digit numeric format without hyphens or spaces.
Secondary SSN	Type the customer's secondary Social Security number. Use the nine-digit numeric format without hyphens or spaces.
Account Type	Choose the account type from the drop-down list.
Receiver OCC Broker Number	You can leave this field blank. Optionally, type the five-character receiver options clearing corporation (OCC) broker number. If you complete this field, ACATS validates it against the OCC broker number set up in the ACATS PARTICIPANT MASTER file.

Partial Transfer Deliverer - Transfer Information Field Definitions

Field	Description
Receiver Correspondent Number	Type the four-digit receiver correspondent number if the receiving firm is acting on behalf of another party.
Associated ACATS Control Number	Type the 14-digit ACATS control number of the prior associated transfer. You can find this number on reports produced by the ACATS system. The ACATS control number CCYYDDNNNNNNNN format breaks down as follows: <ul style="list-style-type: none"> • CC–Millennium and century of the transfer submission. • YY–Year of the transfer submission. • DDD–Julian date of the transfer submission. • NNNNNNN–System-assigned sequence number.
Comments	Type any additional notes or information about this fail reversal not already covered by the entry fields. Create line breaks by pressing ENTER; otherwise, your text appears on a single line.
Gift Donation Indicator	Choose Yes or No to indicate whether the security is a gift or a donation.

The following table shows the field definitions available from the Asset Information section of the Partial Transfer Deliverer page.

Partial Transfer Deliverer - Asset Information Field Definitions

Field	Description
Settling Location and Reason	Choose the settling location and reason from the drop-down list.
Option Category	Choose the option category from the drop-down list.
Asset Category	Choose an asset category from the drop-down list.
Cash/Margin/Short	Choose one of the following options: <ul style="list-style-type: none"> • C–Cash • M–Margin • S–Short
Position Code	Choose one of the following position options: <ul style="list-style-type: none"> • S–Short Position • L–Long Position • N–Not Applicable

Partial Transfer Deliverer - Asset Information Field Definitions

Field	Description
Currency Code	Type the three-character ISO currency code for the asset. This field is required when the Settling Location and Reason field is set to 50 FCUR – R&D Foreign Currency.
MBS Serial Note	Type the three-character serial note unit number used to identify the Puerto Rican mortgage-backed securities, if applicable.
Amount	Type the original amount of the asset. Up to 13 characters can be entered before the decimal point; up to four characters can be entered after the decimal point. For US currency, use only two places after the decimal point; for foreign currency, use up to four places after the decimal point.
Quantity	Type the original quantity of the asset. Up to 13 characters can be entered before the decimal point; up to four characters can be entered after the decimal point.
ISIN	Type the international security identification number (ISIN), which consists of a country code, a nine-character alphanumeric code that identifies the security, and an ISIN check digit (when the country code is not US).
Bearer Bond	Choose from the drop-down list to describe whether the transfer is a bearer bond.
When Issued	Choose from the drop-down list to describe whether the transfer is for when issued or when not issued.
Asset Description	Type a text description of the asset being transferred. Create line breaks by pressing ENTER; otherwise, your text appears on a single line.
Comments	Type any additional notes or information about this asset not already covered by the entry fields. Create line breaks by pressing ENTER; otherwise, your text appears on a single line.

The following table shows the field definitions available from the Mutual Fund section of the Partial Transfer Deliverer page.

Partial Transfer Deliverer - Mutual Fund field Information definitions

Field	Description
Full/Partial Transfer	Click the type of transfer, either Full or Partial. This indicator refers to the asset position, and whether the entire position (full) or part of a position (partial) is being transferred.
Book/Physical Shares	Choose the format of the customer assets being transferred.
Network Control	Choose how the account is handled in Networking or indicate that it is not networked.
Customer/Street	Choose one of the following options from the drop-down list: <ul style="list-style-type: none"> • 1 - Customer Name to indicate that the assets are registered in the customer's name • 2 - Street Name to indicate that the assets are registered in the street name.

Partial Transfer Deliverer - Mutual Fund field Information definitions

Field	Description
Dividend Code	Choose the dividend code from the drop-down list. Each item displays the dividend code number and manner (cash or reinvestment) in which to make the payment. For example, if the dividend payments are cash, capital gains is cash, and short-term capital gains is reinvestment, choose 2 - Cash Cash Reinvest.
Dividend Payee	Choose the dividend recipient type from the drop-down list.
Executing Broker	Type the four-digit code to identify the broker executing the delivery.
Fund Customer Account	Type the 20-character Fund Customer Account number.
Share Aging Indicator Deliverer	Choose a value from the drop-down list.
Firm Membership Indicator Deliverer	Select the type of account that is being delivered from the following options:.. <ul style="list-style-type: none"> • Broker • 01 = Trust
MF Agent Processing Indicator Deliverer	Choose a value from the drop-down list.

The following table shows the field definitions available from the Option section of the Partial Transfer Deliverer page.

Partial Transfer Deliverer - Option field Information definitions

Field	Description
Symbol	Enter the six-character option symbol.
Expiration Date	Enter the expiration date in MM-DD-CCYY format. You must include the dashes to separate the month and four-digit year, otherwise ACATS rejects your input.
Strike Price Integer	Enter the integer portion of the strike price, up to five digits.
Strike Price Decimal	Enter the decimal portion of the strike price, up to three digits.
Buy/Sell	<p>Indicate whether the option is a buy or a sell. If you are the deliverer of an account with a:</p> <ul style="list-style-type: none"> • Long option, submit the position as a closing sell by selecting Sell. • Short option, submit the position as a closing buy by selecting Buy. <p>On the output reports to the receiver, ACATS changes the buy to a sell and a sell to a buy. Therefore, if you are the receiver of an account with a:</p> <ul style="list-style-type: none"> • Long option, the position is reflected as a Buy. • Short option, the position is reflected as a Sell.
Put/Call	Indicate whether this is a put option or a call option.
Open/Close	Indicate whether the option is opening or closing.
OCC Deliverer	You can leave this field blank. Optionally, type the five-digit options clearing corporation (OCC) deliverer number. If you complete this field, ACATS validates it against the OCC deliverer number set up in the ACATS PARTICIPANT MASTER file.
Option Account Type	Indicate whether the account is for a customer, firm, or market maker.
Sub Account ID	Enter the four-digit sub account ID number.
Comments	Type a message of up to 16 characters regarding the transfer of this option.

The following table shows the field definitions available from the Foreign Asset section of the Partial Transfer Deliverer page.

Partial Transfer Deliverer - Foreign Asset Field Definitions

Field	Description
SEDOL Number	Type the Stock Exchange Daily Official List (SEDOL) number which consists of a seven-character alphanumeric code that identifies the international security.
CINS Number	Type the CUSIP International Numbering System (CINS) number, which consists of a nine-character alphanumeric code that identifies the international security.
Delivering Firm Settlement Instruction Line 1	Type a message of up to 35 characters regarding settlement instruction details.
Delivering Firm Settlement Instruction Line 2	Type a message of up to 35 characters regarding settlement instruction details.
Delivering Firm Settlement Instruction Line 3	Type a message of up to 35 characters regarding settlement instruction details.
Delivering Firm Settlement Instruction Line 4	Type a message of up to 35 characters regarding settlement instruction details.
Delivering Firm Settlement Instruction Line 5	Type a message of up to 35 characters regarding settlement instruction details.

The following table shows the field definitions available from the Asset Insurance section of the Partial Transfer Deliverer page.

Partial Transfer Deliverer - Asset Insurance Information definitions

Field	Description
Insurance Customer Account Number Deliverer	Type the account number of the customer's insurance asset at the delivering firm.
Owner 1 Natural/non-natural Indicator	Natural indicates an owner who is an individual. Non-natural indicates an owner that is an institution such as a company or trust.
Owner 1 First Name	Type the first name of Owner 1. The owner is the individual who has purchased the insurance contract.
Owner 1 Middle Name	Type the middle name of Owner 1.

Partial Transfer Deliverer - Asset Insurance Information definitions

Field	Description
Owner 1 Last Name	Type the last name of Owner 1.
Owner 1 Prefix	Type the title, such as Mr. or Mrs., which precedes Owner 1's name.
Owner 1 Suffix	Type the title, such as Esq. or Ph.D., which follows Owner 1's name.
Owner 1 Non-natural name	Type Owner 1's non-natural name.
Owner 1 ID	Type the identification number used by Owner 1.
Owner 1 ID Qualifier	Select the type of identification used by Owner 1 that corresponds to Owner 1's identification number.
Owner 1 Qualifier	Select a qualifier for Owner 1. A qualifier identifies Owner 1 as a person, corporation, or trust.
Owner 2 Natural/non-natural Indicator	Natural indicates an owner who is an individual. Non-natural indicates an owner that is an institution such as a company or trust.
Owner 2 First Name	Type the first name of Owner 2. A second owner is recorded when the insurance contract is purchased by more than one individual.
Owner 2 Middle Name	Type the middle name of Owner 2.
Owner 2 Last Name	Type the last name of Owner 2.
Owner 2 Prefix	Type the title, such as Mr. or Mrs., which precedes Owner 2's name.
Owner 2 Suffix	Type the title, such as Esq. or Ph.D., which follows Owner 2's name.
Owner 2 Non-natural Name	Type Owner 2's non-natural name.
Owner 2 ID	Type the identification number used by Owner 2.
Owner 2 ID Qualifier	Select the type of identification used by Owner 2 that corresponds to Owner 2's identification number.
Owner 2 Qualifier	Select a qualifier for Owner 2. A qualifier identifies Owner 2 as a person, corporation, or trust.
Annuitant 1 First Name	Type the first name of Annuitant 1. An annuitant is an individual for whom the insurance was purchased.
Annuitant 1 Middle Name	Type the middle name of Annuitant 1.

Partial Transfer Deliverer - Asset Insurance Information definitions

Field	Description
Annuitant 1 Last Name	Type the last name of Annuitant 1.
Annuitant 1 Prefix	Type the title, such as Mr. or Mrs., which precedes Annuitant 1's name.
Annuitant 1 Suffix	Type the title, such as Esq. or Ph.D., which follows Annuitant 1's name.
Annuitant 1 ID	Type the identification number used by Annuitant 1.
Annuitant 1 ID Qualifier	Select the type of identification used by Annuitant 1 that corresponds to Annuitant 1's identification number.
Annuitant 2 First Name	Type the first name of Annuitant 2.
Annuitant 2 Middle Name	Type the middle name of Annuitant 2.
Annuitant 2 Last Name	Type the last name of Annuitant 2.
Annuitant 2 Prefix	Type the title, such as Mr. or Mrs., which precedes Annuitant 2's name.
Annuitant 2 Suffix	Type the title, such as Esq. or Ph.D., which follows Annuitant 2's name.
Annuitant 2 ID	Type the identification number used by Annuitant 2.
Annuitant 2 ID Qualifier	Select the type of identification used by Annuitant 2 that corresponds to Annuitant 2's identification number. Choices are: <ul style="list-style-type: none"> • 34: Social Security Number. • A3: Non-Resident Alien Number. • FI: Federal Taxpayer's Identification Number. • SB: Canadian Social Insurance Number.
IRS Qualification Code	Select a code from the drop-down list.
Contract Number	Type the contract/policy number assigned by the insurance carrier.
Contract Value	Type the amount of the contract.

Partial Transfer Deliverer - Asset Insurance Information definitions

Field	Description
Contract Value As-of Date (MMDDCCYY)	Type the last date on which the insurance contract was valued by the brokerage holding the asset. For example, some insurance assets could have underlying mutual funds or other assets with variable values and the last date these assets were valued is the date that determines the insurance contract value.
Delivering Associated Firm ID	Type the identification number of the delivering associated firm. The delivering associated firm is the correspondent firm of the ACATS clearing member that is processing the ACATS transaction.

Partial Transfer Receiver (PTR)

The partial transfer receiver (PTR) transaction allows the receiver to initiate a transfer request of a portion of the assets in a customer account.

To perform a partial transfer on the receiver side:

1. From the ACATS Home Page, click **Partial Transfer Receiver**.

ACATS Home Page: Partial Transfer Receiver

The Partial Transfer Receiver page appears.

DTCC
Automated Customer Account Transfer Service

Home | ACATS Transaction Inputs | ACATS Inquiry | ACATS Output | ACATS Statistical Reports
Help | Logout

Tue Aug 25 18:10:39 EDT 2015
 Logged on as:

ACATS Menu > Partial Transfer Receiver

Partial Transfer Receiver

Go To: Transaction Inputs

Back
Reset
Submit

Transfer Information	
Original Receiver	0123 *
Original Deliverer	<input type="text"/> *
Customer Name	<input type="text"/> *
Receiver Customer Account Number	<input type="text"/> *
Deliverer Customer Account Number	<input type="text"/> *
Primary SSN	<input type="text"/> *
Secondary SSN	<input type="text"/>
Account Type	<input type="text"/> *
Receiver OCC Broker Number	<input type="text"/>
Receiver Correspondent	<input type="text"/>
Comments	<input type="text"/>

Asset Information	
Settling Location and Reason	00 - System Generated *
Option Category	00 - Non Option *
Cash/Margin/Short	<input type="text"/> *
Currency Code	USD
Amount	<input type="text"/> . <input type="text"/> *
ISIN	US <input type="text"/> <input type="text"/> *
Bearer Bond	N - Not a Bearer Bond *
Full/Partial Ind.	<input type="text"/> *
Quantity Request Type	<input type="text"/>
Asset Description	<input type="text"/> *
Comments	<input type="text"/>

Back
Reset
Submit

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Partial Transfer Receiver

Note

- All **required** fields appear in bold followed by a red asterisk (*).
- **Conditional** fields appear as optional until you type or select information that makes it required. When a field becomes required, a red asterisk (*) appears next to it, but the field name does not become bold.

2. Type or select the information for all required fields and any applicable optional fields. For more information about the fields, see [Partial Transfer Receiver Field Definitions](#).

3. Required and optional fields change depending on the settling location. From the Asset Information section, select the settling location using these guidelines:

- **If the asset is an option:**

- In the Settling Location and Reason field of the Asset Information section, choose **35 EXPO - OCC Expiring Option, 35 OPT-OCC Option, or 35 USEC - OCC Underlying Security**.

The Option Information section becomes available.

- In the Option Information section, type or select information in all required fields and any applicable optional fields.

Option Information

- **If the asset is a foreign security:**

- In the Settling Location and Reason field, choose **55-Foreign**.

The Foreign Information section becomes available.

- In the Foreign Asset section, type or select information in all required fields and any applicable optional fields.

Foreign Asset	
SEDOL Number	<input type="text"/> *
CINS Number	<input type="text"/>
Delivering Firm Settlement Instruction Line 1	<input type="text"/>
Delivering Firm Settlement Instruction Line 2	<input type="text"/>
Delivering Firm Settlement Instruction Line 3	<input type="text"/>
Delivering Firm Settlement Instruction Line 4	<input type="text"/>
Delivering Firm Settlement Instruction Line 5	<input type="text"/>

Fill my next input screen with this data

[Back](#) [Reset](#) [Submit](#)

[Contact Us](#) [Important Legal Information](#)

Foreign Asset

4. Verify that all of the required fields are complete. In certain situations, a conditional field becomes required when you select or type your entry.
5. To enter additional assets for this transaction, check the **More Assets** box, if applicable. When you select the **More Assets** check box and click **Submit**, ACATS creates a new page with the same data in both the Transfer Information and Asset Information sections. You can edit the fields in the Asset Information section; however, you cannot edit the fields in the Transfer Information section. You can continue to select the More Assets check box on each subsequent page until you have entered all of the assets related to this transaction.
6. Click one of the following options:
 - To complete your transaction, click **Submit**.
 - To clear all data, click **Reset**.
 - To return to the ACATS menu, click **Back**.

Notes

You can access other ACATS features from the menu or the Go To drop-down list.

Partial Transfer Receiver Field Definitions

Field definitions are listed in the order as they appear, grouped by categories. A red asterisk (*) indicates a required field.

Note

A conditional field appears as optional until you type or select information that makes it required. When a field becomes required, a red asterisk (*) appears.

The following table shows the field definitions available from the Transfer Information section of the Partial Transfer Receiver page.

Partial Transfer Receiver - Transfer Information Field Definitions

Field	Description
Original Receiver	View or select the four-digit NSCC account number of the participant originally receiving the transfer of assets. This field differs according to your user type: <ul style="list-style-type: none"> • If you are logged in as a participant, your participant number appears in this field by default. • If you are logged in as a service bureau, this field becomes a drop-down list that contains all participant numbers to which you have access.
Original Deliverer	Type the four-digit NSCC account number of the participant who is to deliver the transfer of assets.
Customer Name	Type the customer's name. You can enter a maximum of 60 characters.
Receiver Customer Account Number	Type the receiver's customer account number. You can enter a maximum of 20 characters.
Deliverer Customer Account Number	Type the deliverer's account number for the customer. You can enter a maximum of 20 characters.
Primary SSN	Type the customer's Social Security number. Use the nine-digit numeric format without hyphens or spaces.
Secondary SSN	Type the customer's secondary Social Security number. Use the nine-digit numeric format without hyphens or spaces.
Account Type	Choose the account type from the drop-down list.

Partial Transfer Receiver - Transfer Information Field Definitions

Field	Description
Receiver OCC Broker Number	You can leave this field blank. Optionally, type the five-character receiver options clearing corporation (OCC) broker number. If you complete this field, ACATS validates it against the OCC broker number set up in the ACATS PARTICIPANT MASTER file.
Receiver Correspondent Number	Type the four-digit receiver correspondent number if the receiving firm is acting on behalf of another party.
Comments	Type any additional notes or information about this fail reversal not already covered by the entry fields. Create line breaks by pressing ENTER; otherwise, your text appears on a single line.

The following table shows the field definitions available from the Asset Information section of the Partial Transfer Receiver page.

Partial Transfer Receiver - Asset Information Field Definitions

Field	Description
Settling Location and Reason	Choose the settling location and reason from drop-down list.
Option Category	Choose the option category from the drop-down list.
Asset Category	Choose an asset category from the drop-down list.
Cash/Margin/Short	Choose one of the following position options: <ul style="list-style-type: none"> • C–Cash • M–Margin • S–Short
Position Code	Choose one of the following position options: <ul style="list-style-type: none"> • S–Short Position • L–Long Position • N–Not Applicable
Currency Code	Type the three-character ISO currency code for the asset. This field is required when the Settling Location and Reason field is set to 50 FCUR – R&D Foreign Currency.
MBS Serial Note	Type the three-character serial note unit number used to identify the Puerto Rican mortgage-backed securities.

Partial Transfer Receiver - Asset Information Field Definitions

Field	Description
Amount	<p>Type the original amount of the asset. Up to 13 characters can be entered before the decimal point; up to four characters can be entered after the decimal point. For US currency, use only two places after the decimal point; for foreign currency, use up to four places after the decimal point.</p> <p>When selecting P-Request Partial Position in the Full/Partial Ind field and 3 - Currency Amount in the Quantity Request Type field, enter an amount greater than zero (0). Otherwise, an error message displays.</p>
Quantity	<p>Type the original quantity of the asset. Up to 13 characters can be entered before the decimal point; up to four characters can be entered after the decimal point.</p> <p>When selecting P-Request Partial Position in the Full/Partial Ind field and 2 - Shares in the Quantity Request Type field, enter an amount greater than zero (0). Otherwise, an error message displays.</p>
ISIN	Type the international security identification number (ISIN), which consists of a country code, a nine-character alphanumeric code that identifies the security, and an ISIN check digit (when the country code is not US).
Bearer Bond	Choose from the drop-down list to describe whether the transfer is a bearer bond.
When Issued	Choose from the drop-down list to describe whether the transfer is for when issued or when not issued.
Full/Partial Ind.	<p>Choose the Full/Partial indicator value from the drop-down list.</p> <p>Leave this field blank when the Setting Location and Reason field is set to 35 EXPO - OCC Expiring Option and the Quantity Request Type field is set to 3 - Currency Amount. Otherwise, an error message displays.</p>
Quantity Request Type	<p>Choose a value from the drop-down list.</p> <p>Leave this field blank when the Setting Location and Reason field is set to 35 EXPO - OCC Expiring Option and the Full/Partial Ind. field is set to P - Request Partial Position. Otherwise, an error message displays.</p>
Asset Description	Type a text description of the asset being transferred. Create line breaks by pressing ENTER; otherwise, your text appears on a single line.
Comments	Type any additional notes or information about this asset not already covered by the entry fields. Create line breaks by pressing ENTER; otherwise, your text appears on a single line.

The following table shows the field definitions available from the Foreign Asset section of the Partial Transfer Receiver page.

Partial Transfer Receiver- Foreign Asset Field Definitions

Field	Description
SEDOL Number	Type the Stock Exchange Daily Official List (SEDOL) number which consists of a seven-character alphanumeric code that identifies the international security.
CINS Number	Type the CUSIP International Numbering System (CINS) number, which consists of a nine-character alphanumeric code that identifies the international security.
Delivering Firm Settlement Instruction Line 1	Type a message of up to 35 characters regarding settlement instruction details.
Delivering Firm Settlement Instruction Line 2	Type a message of up to 35 characters regarding settlement instruction details.
Delivering Firm Settlement Instruction Line 3	Type a message of up to 35 characters regarding settlement instruction details.
Delivering Firm Settlement Instruction Line 4	Type a message of up to 35 characters regarding settlement instruction details.
Delivering Firm Settlement Instruction Line 5	Type a message of up to 35 characters regarding settlement instruction details.

The following table shows the field definitions available from the Option Information section of the Partial Transfer Receiver page.

Partial Transfer Receiver - Option Information Field Definitions

Field	Description
Symbol	Enter the six-character option symbol.
Expiration Date	Enter the expiration date in MM-DD-CCYY format. You must include the dashes to separate the month and four-digit year, otherwise ACATS rejects your input.
Strike Price Integer	Enter the integer portion of the strike price, up to five digits.
Strike Price Decimal	Enter the decimal portion of the strike price, up to three digits.

Partial Transfer Receiver - Option Information Field Definitions

Field	Description
Buy/Sell	<p>Indicate whether the option is a buy or a sell. If you are the receiver of an account with a:</p> <ul style="list-style-type: none"> • Long option, submit the position as a closing sell by selecting Sell. • Short option, submit the position as a closing buy by selecting Buy. <p>On the output reports to the receiver, ACATS changes the buy to a sell and a sell to a buy. Therefore, if you are the receiver of an account with a:</p> <ul style="list-style-type: none"> • Long option, the position is reflected as a Buy. • Short option, the position is reflected as a Sell.
Put/Call	Indicate whether this is a put option or a call option.
Open/Close	Indicate whether the option is opening or closing.
OCC Deliverer	You can leave this field blank. Optionally, type the five-digit options clearing corporation (OCC) deliverer number. If you complete this field, ACATS validates it against the OCC deliverer number set up in the ACATS PARTICIPANT MASTER file.
Option Account Type	Indicate whether the account is for a Customer, Firm, or Market Maker.
Sub Account ID	Enter the four-digit subaccount ID number.
Comments	Type a message of up to 16 characters regarding the transfer of this option.

Reclaims (RCL)

The original deliverer uses the ACATS Reclaim function to request the return of particular customer assets that have been transferred incorrectly between firms.

This transaction has a two-day review period, not including the day it is submitted. Receivers can override the review period using the Accelerate a Transfer aspect of the reclaim feature. You can reject a reclaim using Reject Transfer. For more information, see [About Accelerating Transfers](#) and [About Rejecting Transfers](#).

Note

Mutual funds and options are ineligible for Reclaim transactions.

To enter a reclaim:

1. From the ACATS Home Page, click **Reclaim**.

ACATS Home Page: Reclaim

The Reclaim page appears.

DTCC		Automated Customer Account Transfer Service	
Home	ACATS Transaction Inputs	ACATS Inquiry	ACATS Output
			ACATS Statistical Reports
			Help Logout
Wed Aug 26 15:18:53 EDT 2015 Logged on as:			
ACATS Menu > Reclaim			
Reclaim		Go To: Transaction Inputs	
		Back Reset Submit	
Transfer Information * = Required			
Original Receiver	<input type="text"/> *		
Original Deliverer	0123 *		
Customer Name	<input type="text"/> *		
Receiver Customer Account Number	<input type="text"/> *		
Deliverer Customer Account Number	<input type="text"/> *		
Primary SSN	<input type="text"/> *		
Secondary SSN	<input type="text"/>		
Account Type	<input type="text"/> *		
Receiver OCC Broker Number	<input type="text"/>		
Receiver Correspondent	<input type="text"/>		
Associated ACATS Control Number (CCYDDNNNNNNN)	<input type="text"/> *		
Associated Settlement Date (MM-DD-CCYY)	<input type="text"/> *		
Comments	<input type="text"/>		
Asset Information			
Settling Location and Reason	00 - System Generated *		
Option Category	00 - Non Option *	Asset Category	<input type="text"/> *
Cash/Margin/Short	<input type="text"/> *	Position Code	L - Long Position *
Currency Code	USD	MBS Serial Note	<input type="text"/>
Amount	<input type="text"/> . <input type="text"/> *	Quantity	<input type="text"/> . <input type="text"/> *
ISIN	US <input type="text"/> * <input type="text"/>	Transfer Reason	<input type="text"/> *
Bearer Bond	N - Not a Bearer Bond *	When Issued	N - Not When Issued
Asset Description	<input type="text"/> *		
Comments	<input type="text"/>		
<input type="checkbox"/> More Assets			
		Back Reset Submit	
		Contact Us Important Legal Information	

Reclaim

Note

- All **required** fields appear in bold followed by a red asterisk (*).
- **Conditional** fields appear as optional until you type or select information that makes it required. When a field becomes required, a red asterisk (*) appears next to it, but the field name does not become bold.

2. Type or select information in all required fields and any applicable optional fields. For more information about the fields, see [Reclaim Field Definitions](#).
3. Required and optional fields change depending on the settling location. If the asset is a foreign security:
 - a. In the Settling Location and Reason field from the Asset Information section, choose **55–Foreign**.
The Foreign Information section becomes available.
 - b. In the Foreign Asset section, type or select information in all required fields and any applicable optional fields.

Foreign Asset	
SEDOL Number	<input type="text"/> *
CINS Number	<input type="text"/>
Delivering Firm Settlement Instruction Line 1	<input type="text"/>
Delivering Firm Settlement Instruction Line 2	<input type="text"/>
Delivering Firm Settlement Instruction Line 3	<input type="text"/>
Delivering Firm Settlement Instruction Line 4	<input type="text"/>
Delivering Firm Settlement Instruction Line 5	<input type="text"/>
<input type="checkbox"/> More Assets	
<input type="button" value="Back"/> <input type="button" value="Reset"/> <input type="button" value="Submit"/>	
Contact Us Important Legal Information	

Foreign Asset

4. Verify that all of the required fields are complete. In certain situations, a conditional field becomes required when you select or type your entry.
5. To enter additional assets for this transaction, check the **More Assets** box, if applicable. When you select the **More Assets** check box and click **Submit**, ACATS creates a new page with the same data in both the Transfer Information and Asset Information sections. You can edit the fields in the Asset Information section; however, you cannot edit the fields in the Transfer Information section. You can continue to select the More Assets check box on each subsequent page until you have entered all of the assets related to this transaction.
6. Click one of the following options:
 - To complete your transaction, click **Submit**.
 - To clear all data, click **Reset**.
 - To return to the ACATS menu, click **Back**.

Notes

You can access other ACATS features from the menu or the Go To drop-down list.

Reclaim Field Definitions

Field definitions are listed in the order as they appear, grouped by categories. A red asterisk (*) indicates a required field.

Note

A conditional field appears as optional until you type or select information that makes it required. When a field becomes required, a red asterisk (*) appears.

The following table shows the field definitions available from the Transfer Information section of the Reclaim page.

Reclaim - Transfer Information Field Definitions

Field	Description
Original Receiver	Type the four-digit NSCC account number of the participant who is to receive the transfer of assets.
Original Deliverer	View or select the four-digit NSCC account number of the participant who was the original deliverer of the assets. This field differs according to your user type: <ul style="list-style-type: none"> If you are logged in as a participant, your participant number appears in this field by default. If you are logged in as a service bureau, this field becomes a drop-down list that contains all participant numbers to which you have access.
Customer Name	Type the customer's name. You can enter a maximum of 60 characters.
Receiver Customer Account Number	Type the receiver's customer account number. You can enter a maximum of 20 characters.
Deliverer Customer Account Number	Type the deliverer's account number for the customer. You can enter a maximum of 20 characters.
Primary SSN	Type the customer's Social Security number. Use the nine-digit numeric format without hyphens or spaces.
Secondary SSN	Type the customer's secondary Social Security number. Use the nine-digit numeric format without hyphens or spaces.
Account Type	Choose the account type from the drop-down list.
Receiver OCC Broker Number	You can leave this field blank. Optionally, type the five-character receiver options clearing corporation (OCC) broker number. If you complete this field, ACATS validates it against the OCC broker number set up in the ACATS PARTICIPANT MASTER file.

Reclaim - Transfer Information Field Definitions

Field	Description
Receiver Correspondent	Type the four-digit receiver correspondent number if the receiving firm is acting on behalf of another party.
Associated ACATS Control Number	Type the 14-digit ACATS control number of the prior associated transfer. You can find this number on reports produced by the ACATS system. The ACATS control number CCYYDDDDNNNNNNNN format breaks down as follows: <ul style="list-style-type: none"> • CC–Millennium and century of the transfer submission. • YY–Year of the transfer submission. • DDD–Julian date of the transfer submission. • NNNNNNN–System-assigned sequence number.
Associated Settlement Date	Type the settlement date for the prior associated transfer in MM-DD-CCYY format.
Comments	Type any additional notes or information about this fail reversal not already covered by the entry fields. Create line breaks by pressing ENTER; otherwise, your text appears on a single line.

The following table shows the field definitions available from the Asset Information section of the Reclaim page.

Reclaim - Asset Information Field Definitions

Field	Description
Settling Location and Reason	Choose the settling location and reason from the drop-down list.
Option Category	Choose the option category from the drop-down list.
Asset Category	Choose an asset category from the drop-down list.
Cash/Margin/Short	Choose one of the following options: <ul style="list-style-type: none"> • C–Cash • M–Margin • S–Short
Position Code	Defaults to blank. Choose one of the following position options from the drop-down list: <ul style="list-style-type: none"> • L - Long Position • N - Not Applicable
Currency Code	Type the three-character ISO currency code for the asset. This field is required when the Settling Location and Reason field is set to 50 FCUR – R&D Foreign Currency.

Reclaim - Asset Information Field Definitions

Field	Description
MBS Serial Note	Type the three-character serial note unit number used to identify the Puerto Rican mortgage-backed securities, if applicable.
Amount	Type the original amount of the asset. Up to 13 characters can be entered before the decimal point; up to four characters can be entered after the decimal point. For US currency, use only two places after the decimal point; for foreign currency, use up to four places after the decimal point.
Quantity	Type the original quantity of the asset. Up to 13 characters can be entered before the decimal point; up to four characters can be entered after the decimal point.
ISIN	Type the international security identification number (ISIN), which consists of a country code, a nine-character alphanumeric code that identifies the security, and an ISIN check digit (when the country code is not US).
Transfer Reason	Choose one of the following options that represents the reason for the reclaim: <ul style="list-style-type: none"> • 61 – Duplicate delivery • 62 – Delivered asset that did not belong to client • 63 – Over delivery • 64 – Fees where not withheld • 65 – Miscellaneous
Bearer Bond	Choose a value from the drop-down list.
When Issued	Choose a value from the drop-down list.
Asset Description	Type a text description of the asset being transferred. Create line breaks by pressing ENTER; otherwise, your text appears on a single line.
Comments	Type any additional notes or information about this asset not already covered by the entry fields. Create line breaks by pressing ENTER; otherwise, your text appears on a single line.

The following table shows the field definitions available from the Foreign Asset section of the Reclaim page.

Reclaim - Foreign Asset Field Definitions

Field	Description
SEDOL Number	Type the Stock Exchange Daily Official List (SEDOL) number which consists of a seven-character alphanumeric code that identifies the international security.
CINS Number	Type the CUSIP International Numbering System (CINS) number, which consists of a nine-character alphanumeric code that identifies the international security.

Reclaim - Foreign Asset Field Definitions

Field	Description
Delivering Firm Settlement Instruction Line 1	Type a message of up to 35 characters regarding settlement instruction details.
Delivering Firm Settlement Instruction Line 2	Type a message of up to 35 characters regarding settlement instruction details.
Delivering Firm Settlement Instruction Line 3	Type a message of up to 35 characters regarding settlement instruction details.
Delivering Firm Settlement Instruction Line 4	Type a message of up to 35 characters regarding settlement instruction details.
Delivering Firm Settlement Instruction Line 5	Type a message of up to 35 characters regarding settlement instruction details.

Residual Credits (RCR)

After an account moves through the ACATS process and settles, money or shares of securities may accumulate in the account at the deliverer that the customer has requested to close. For example, interest on a money market may have been paid to the account. The residual credit (RCR) transaction allows the deliverer to move money or shares from the old account to the new one. It is not possible to enter a residual credit transaction for an option.

To enter a residual credit (RCR) transaction:

1. From the ACATS Home Page, click **Residual Credit**.

The screenshot shows the DTCC Automated Customer Account Transfer Service (ACATS) Home Page. The page has a dark header with the DTCC logo and the service name. Below the header is a navigation bar with links for Home, ACATS Transaction Inputs, ACATS Inquiry, ACATS Output, ACATS Statistical Reports, Help, and Logout. The main content area is titled 'ACATS Home Page' and contains two columns of links. The 'ACATS Transaction Inputs' column includes 'Residual Credit', which is highlighted with a red box. The 'ACATS Inquiry' column includes 'Transaction History', 'Transfer Position', 'Transfer Settlement', 'Participant Master Inquiry', and 'Asset Master Inquiry'. The 'ACATS Output' column includes 'Reports', 'Data Files', and 'Statistical Reports - NEW'. The 'ACATS Statistical Reports' column includes 'Create Reports - NEW'. The page also displays the date and time 'Wed Aug 19 17:50:39 EDT 2015' and the user's login status 'Logged on as:'. At the bottom, there are links for 'Contact Us' and 'Important Legal Information'.

ACATS Home Page: Residual Credit

The Residual Credit page appears.

DTCC		Automated Customer Account Transfer Service	
Home	ACATS Transaction Inputs	ACATS Inquiry	ACATS Output
			ACATS Statistical Reports
			Help Logout
Wed Aug 26 15:39:06 EDT 2015 Logged on as:			
ACATS Menu > Residual Credit			
Residual Credit			Go To: Transaction Inputs
Back Reset Submit			
Transfer Information * = Required			
Original Receiver	<input type="text"/>	*	
Original Deliverer	0123	*	
Customer Name	<input type="text"/>	*	
Receiver Customer Account Number	<input type="text"/>	*	
Deliverer Customer Account Number	<input type="text"/>	*	
Primary SSN	<input type="text"/>	*	
Secondary SSN	<input type="text"/>		
Account Type	<input type="text"/>	*	
Receiver OCC Broker Number	<input type="text"/>		
Receiver Correspondent	<input type="text"/>		
Associated ACATS Control Number (CCYYDDNNNNNN)	<input type="text"/>	*	
Associated Settlement Date (MM-DD-CCYY)	<input type="text"/>	*	
Comments	<input type="text"/>		
Asset Information			
Settling Location and Reason	00 - System Generated	*	
Option Category	00 - Non Option	Asset Category	<input type="text"/>
Cash/Margin/Short	<input type="text"/>	Position Code	L - Long Position
Currency Code	USD	MBS Serial Note	<input type="text"/>
Amount	<input type="text"/>	Quantity	<input type="text"/>
ISIN	US <input type="text"/>	Transfer Reason	<input type="text"/>
Bearer Bond	N - Not a Bearer Bond	When Issued	N - Not When Issued
Asset Description	<input type="text"/>		
Comments	<input type="text"/>		
<input type="checkbox"/> More Assets			
Back Reset Submit			
Contact Us Important Legal Information			

Residual Credit

Note

- All **required** fields appear in bold followed by a red asterisk (*).
- **Conditional** fields appear as optional until you type or select information that makes it required. When a field becomes required, a red asterisk (*) appears next to it, but the field name does not become bold.

2. Type or select information in all required fields and any applicable optional fields. For more information about the fields, see the [Residual Credit Field Definitions](#).
3. Required and optional fields change depending on the settling location that you are adding. From the Asset Information section, select the settling location to add using these guidelines:

- **If the asset is a mutual fund settling through the ACATS-Fund/SERV interface:**

- a. In the Settling Location and Reason field, choose **10–Fund/SERV**.
- b. In the Mutual Fund Information section, type or select information in all required fields and any applicable optional fields.

Mutual Fund Information	
Full/Partial Transfer	<input type="text"/>
Book/Physical Shares	<input type="text"/>
Network Control	<input type="text"/>
Customer/Street	<input type="text"/>
Dividend Code	<input type="text"/>
Dividend Payee	<input type="text"/>
Executing Broker	<input type="text"/>
Fund Customer Account	<input type="text"/>
Share Aging Indicator Deliverer	<input type="text"/>
Firm Membership Indicator Deliverer	Broker <input type="text"/>
MF Agent Processing Indicator Deliverer	<input type="text"/>

More Assets

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Mutual Fund Information

- **If the asset is a foreign security:**

- a. In the Settling Location and Reason field, choose **55–Foreign**.
The Foreign Information section becomes available.
- b. In the Foreign Asset section, type or select information in all required fields and any applicable optional fields.

Foreign Asset	
SEDOL Number	<input type="text"/>
CINS Number	<input type="text"/>
Delivering Firm Settlement Instruction Line 1	<input type="text"/>
Delivering Firm Settlement Instruction Line 2	<input type="text"/>
Delivering Firm Settlement Instruction Line 3	<input type="text"/>
Delivering Firm Settlement Instruction Line 4	<input type="text"/>
Delivering Firm Settlement Instruction Line 5	<input type="text"/>

Fill my next input screen with this data

Back Reset Submit

Contact Us Important Legal Information

Foreign Asset

4. Verify that all of the required fields are complete. In certain situations, a conditional field becomes required when you select or type your entry.
5. To enter additional assets for this transaction, check the **More Assets** box, if applicable. When you select the **More Assets** check box and click **Submit**, ACATS creates a new page with the same data in both the Transfer Information and Asset Information sections. You can edit the fields in the Asset Information section; however, you cannot edit the fields in the Transfer Information section. You can continue to select the More Assets check box on each subsequent page until you have entered all of the assets related to this transaction.
6. Click one of the following options:
 - To complete your transaction, click **Submit**.
 - To clear all data, click **Reset**.
 - To return to the ACATS menu, click **Back**.

Notes

You can access other ACATS features from the menu or the Go To drop-down list.

Residual Credit Field Definitions

Field definitions are listed in the order as they appear, grouped by categories. A red asterisk (*) indicates a required field.

Note

A conditional field appears as optional until you type or select information that makes it required. When a field becomes required, a red asterisk (*) appears.

The following table shows the field definitions available from the Transfer Information section of the Residual Credit page.

Residual Credit - Transfer Information Field Definitions

Field	Description
Original Receiver	Type the four-digit NSCC account number of the participant receiving the transfer of assets.
Original Deliverer	View or select the four-digit membership number of the NSCC participant who is the original deliverer of the assets. This field differs according to your user type: <ul style="list-style-type: none"> If you are logged in as a participant, your participant number appears in this field by default. If you are logged in as a service bureau, this field becomes a drop-down list that contains all participant numbers to which you have access.
Customer Name	Type the customer's name. You can enter a maximum of 60 characters.
Receiver Customer Account Number	Type the receiver's customer account number. You can enter a maximum of 20 characters.
Deliverer Customer Account Number	Type the deliverer's account number for the customer. You can enter a maximum of 20 characters.
Primary SSN	Type the customer's Social Security number. Use the nine-digit numeric format without hyphens or spaces.
Secondary SSN	Type the customer's secondary Social Security number. Use the nine-digit numeric format without hyphens or spaces.
Account Type	Choose the account type from the drop-down list.
Receiver OCC Broker Number	You can leave this field blank. Optionally, type the five-character receiver options clearing corporation (OCC) broker number. If you complete this field, ACATS validates it against the OCC broker number set up in the ACATS PARTICIPANT MASTER file.

Residual Credit - Transfer Information Field Definitions

Field	Description
Receiver Correspondent	Type the four-digit receiver correspondent number if the receiving firm is acting on behalf of another party.
Associated ACATS Control Number	Type the 14-digit ACATS control number of the prior associated transfer. You can find this number on reports produced by the ACATS system. The ACATS control number CCYYDDDDNNNNNNNN format breaks down as follows: <ul style="list-style-type: none"> • CC–Millennium and century of the transfer submission. • YY–Year of the transfer submission. • DDD–Julian date of the transfer submission. • NNNNNNN–System-assigned sequence number.
Associated Settlement Date	Type the settlement date for the prior associated transfer in MM-DD-CCYY format.
Comments	Type any additional notes or information about this fail reversal not already covered by the entry fields. Create line breaks by pressing ENTER; otherwise, your text appears on a single line.

The following table shows the field definitions available from the Asset Information section of the Residual Credit page.

Residual Credit - Asset Information Field Definitions

Field	Description
Settling Location and Reason	Choose the settling location and reason from the drop-down list.
Option Category	Choose the option category from the drop-down list.
Asset Category	Choose an asset category from the drop-down list.
Cash/Margin/Short	Choose one of the following position options: <ul style="list-style-type: none"> • C–Cash • M–Margin • S–Short
Position Code	Choose one of the following position options: <ul style="list-style-type: none"> • L–Long Position • N–Not Applicable
Currency Code	Type the three-character ISO currency code for the asset. This field is required when the Settling Location and Reason field is set to 50 FCUR – R&D Foreign Currency.

Residual Credit - Asset Information Field Definitions

Field	Description
MBS Serial Note	Type the three-character serial note unit number used to identify the Puerto Rican mortgage-backed securities, if applicable.
Amount	Type the original amount of the asset. Up to 13 characters can be entered before the decimal point; up to four characters can be entered after the decimal point. For US currency, use only two places after the decimal point; for foreign currency, use up to four places after the decimal point.
Quantity	Type the original quantity of the asset. Up to 13 characters can be entered before the decimal point; up to four characters can be entered after the decimal point.
ISIN	Type the international security identification number (ISIN), which consists of a country code, a nine-character alphanumeric code that identifies the security, and an ISIN check digit (when the country code is not US).
Transfer Reason	Choose the option that represents the reason for the reclaim.
Bearer Bond	Choose a value from the drop-down list.
When Issued	Choose a value from the drop-down list.
Asset Description	Type a text description of the asset being transferred. Create line breaks by pressing ENTER; otherwise, your text appears on a single line.
Comments	Type any additional notes or information about this asset not already covered by the entry fields. Create line breaks by pressing ENTER; otherwise, your text appears on a single line.

The following table shows the field definitions available from the Mutual Fund Information section of the Residual Credit page.

Residual Credit - Mutual Fund Information Field Definitions

Field	Description
Full/Partial Transfer	Click the type of transfer, either Full or Partial. This indicator refers to the asset position, and whether the entire position (full) or part of a position (partial) is being transferred.
Book/Physical Shares	Choose the format of the customer assets being transferred.
Network Control	Choose how the account is handled in Networking or indicate that it is not networked.
Customer/Street	Choose one of the following options from the drop-down list: <ul style="list-style-type: none"> • 1 - Customer Name to indicate that the assets are registered in the customer's name • 2 - Street Name to indicate that the assets are registered in the street name.

Residual Credit - Mutual Fund Information Field Definitions

Field	Description
Dividend Code	Choose the dividend code from the drop-down list. Each item displays the dividend code number and manner (cash or reinvestment) in which to make the payment. For example, if the dividend payments are cash, capital gains is cash, and short-term capital gains is reinvestment, choose 2 - Cash Cash Reinvest.
Dividend Payee	Choose the dividend recipient type from the drop-down list.
Executing Broker	Type the four-digit code to identify the broker executing the delivery.
Fund Customer Account	Type the 20-character Fund Customer Account number.
Share Aging Indicator Deliverer	Choose a value from the drop-down list.
Firm Membership Indicator Deliverer	Select the type of account that is being delivered from the following options:.. <ul style="list-style-type: none"> • Broker • 01 - Trust
MF Agent Processing Indicator Deliverer	Choose a value from the drop-down list.

The following table shows the field definitions available from the Foreign Asset section of the Residual Credit page.

Residual Credit - Foreign Asset Field Definitions

Field	Description
SEDOL Number	Type the Stock Exchange Daily Official List (SEDOL) number which consists of a seven-character alphanumeric code that identifies the international security.
CINS Number	Type the CUSIP International Numbering System (CINS) number, which consists of a nine-character alphanumeric code that identifies the international security.
Delivering Firm Settlement Instruction Line 1	Type a message of up to 35 characters regarding settlement instruction details.
Delivering Firm Settlement Instruction Line 2	Type a message of up to 35 characters regarding settlement instruction details.
Delivering Firm Settlement Instruction Line 3	Type a message of up to 35 characters regarding settlement instruction details.

Residual Credit - Foreign Asset Field Definitions

Field	Description
Delivering Firm Settlement Instruction Line 4	Type a message of up to 35 characters regarding settlement instruction details.
Delivering Firm Settlement Instruction Line 5	Type a message of up to 35 characters regarding settlement instruction details.

About Adjusting Transfers

The Receiver often uses the Adjust Transfer function when the Deliverer has rejected the transfer request with a 24-hour ACATS reject code (codes 01-05). When the Deliverer rejects the ACATS transfer request with a 24-hour reject code, the Receiver has a 24-hour period to adjust the Transfer Information.

For full transfers:

- After the deliverer submits assets or rejects the transfer request by using the ACATS hard reject codes (06-09), the receiver cannot adjust the Transfer Information section.
- Receiver uses the Adjust Transfer function to adjust all fields in the Transfer Information section, except the Deliverer Customer Account Number field, during the initial 100–Request status.
- Deliverer can modify only the Deliverer Customer Account Number field only when the account is in the 100–Request status.
- Receiver can adjust the Deliverer Customer Account Number only when the account is in the 140–Request Reject status.
- Either the receiver or the deliverer can change the Comments field until the transfer is in the 300–Settle Prep status.

For full transfers, the cutoff time for the adjust transfer requests submitted by either the deliverer or the receiver is 4:00 P.M. Eastern Time. After the receiver submits an acceleration request, it is deemed as the final approval from the receiver, resulting in no additional adjustments being allowed. The deliverer cannot make updates to the transfer in subsequent cycles. A receiver can delete a mutual fund, annuity, or alternative investment asset after acceleration.

If a deliverer submits an adjustment in the same cycle that a receiver accelerates a transfer, ACATS honors the deliverer adjustment and rejects the receiver acceleration. The receiver can resubmit the acceleration to expedite the transfer.

For nonstandard transfers, no transfer information adjustments are allowed. Nonstandard transfers include fail reversals (FRV), mutual fund cleanups (MFC), partial transfers (PTD or PTR), reclaims (RCL), and residual credits (RCR).

Adjusting a Transfer

To adjust a transfer:

1. From the ACATS Home Page, click **Adjust Transfer**.

DTCC Automated Customer Account Transfer Service

Home ACATS Transaction Inputs ACATS Inquiry ACATS Output ACATS Statistical Reports Help Logout

Wed Aug 19 17:50:39 EDT 2015
Logged on as:

ACATS Home Page

ACATS Transaction Inputs	ACATS Inquiry
Fail Reversal	Transaction History
Full Transfer	Transfer Position
Mutual Fund Cleanup	Transfer Settlement
Partial Transfer Deliverer	Participant Master Inquiry
Partial Transfer Receiver	Asset Master Inquiry
Position Transfer Fund	ACATS Output
Residual Credit	Reports
Reclaim	Data Files
Adjust Transfer	Statistical Reports - NEW
Reject Transfer	ACATS Statistical Reports
Accelerate a Transfer	Create Reports - NEW
Add an Asset	
Adjust an Asset	
Delete an Asset	
Fund Registration	
Insurance Registration	
Data Review / Send	
Summary	
Send	
Sent Batches	

ACATS Home Page: Adjust Transfer

The Adjust Transfer page appears.

DTCC Automated Customer Account Transfer Service

Home ACATS Transaction Inputs ACATS Inquiry ACATS Output ACATS Statistical Reports Help Logout

Wed Aug 26 16:54:02 EDT 2015
Logged on as:

ACATS Menu > Adjust Transfer

Adjust Transfer Go To: Transaction Inputs

Back Reset Submit

Transfer Information = Required

Submitter Number 0123 *

Submitter *

Original Receiver *

Original Deliverer *

ACATS Control Number (CCYDDNNNNNNN) *

Customer Name

Receiver Customer Account Number

Deliverer Customer Account Number

Primary SSN

Secondary SSN

Account Type

Receiver OCC Broker Number

Receiver Correspondent

Comments

Fill my next input screen with this data

Back Reset Submit

Adjust Transfer

Note

- All **required** fields appear in bold followed by a red asterisk (*).
 - **Conditional** fields appear as optional until you type or select information that makes it required. When a field becomes required, a red asterisk (*) appears next to it, but the field name does not become bold.
2. Type or select information in all required fields and any applicable optional fields. For more information about the fields, see the [Adjust Transfer Field Definitions](#).
 3. Verify that all of the required fields are complete. In certain situations, a conditional field becomes required when you select or type your entry.
 4. Check the **Fill my next input page with this data** box to adjust another transfer with similar information, if applicable. When you select the **More Assets** check box and click **Submit**, ACATS creates a new page with the same data in both the Transfer Information and Asset Information sections. You can edit the fields in the Asset Information section; however, you cannot edit the fields in the Transfer Information section. You can continue to select the More Assets check box on each subsequent page until you have entered all of the assets related to this transaction.
 5. Click one of the following options:
 - To complete your transaction, click **Submit**.
 - To clear all data, click **Reset**.

- To return to the ACATS menu, click **Back**.

Notes

You can access other ACATS features from the menu or the Go To drop-down list.

Adjust Transfer Field Definitions

Field definitions are listed in the order as they appear, grouped by categories. A red asterisk (*) indicates a required field.

Note

A conditional field appears as optional until you type or select information that makes it required. When a field becomes required, a red asterisk (*) appears.

The following table shows the field definitions available from the Transfer Information section of the Adjust Transfer page.

Adjust Transfer - Transfer Information Field Definitions

Field	Description
Submitter Number	View, type, or select the four-digit number for the participant submitting the transfer. This field differs according to your user type: <ul style="list-style-type: none"> • If you are logged in as a participant, your participant number appears in this field by default. • If you are logged in as a service bureau, this field becomes a drop-down list that contains all participant numbers to which you have access.
Submitter	Choose Receiver or Deliverer.
Original Receiver	When the submitter is the receiver, this field is prepopulated with the value in the Submitter Number field. When the submitter is the deliverer, type the four-digit NSCC account number of the participant receiving the transfer.
Original Deliverer	When the submitter is the receiver, type the four-digit NSCC account number of the participant delivering the transfer. When the submitter is the deliverer, this field is prepopulated with the value in the Submitter Number field.

Adjust Transfer - Transfer Information Field Definitions

Field	Description
ACATS Control Number (CCYYDDNNNNNNN)	Type the 14-digit ACATS control number for the transfer whose Transfer Information you want to adjust. The ACATS control number <i>CCYYDDDNNNNNNN</i> format breaks down as follows: <ul style="list-style-type: none"> • <i>CC</i>–Millennium and century of the transfer submission. • <i>YY</i>–Year of the transfer submission. • <i>DDD</i>–Julian date of the transfer submission. • <i>NNNNNNN</i>–System-assigned sequence number.
Customer Name	Type the customer's name. You can enter a maximum of 60 characters.
Receiver Customer Account Number	Type the receiver's customer account number. You can enter a maximum of 20 characters.
Deliverer Customer Account Number	Type the deliverer's account number for the customer. You can enter a maximum of 20 characters.
Primary SSN	Type the customer's Social Security number. Use the nine-digit numeric format without hyphens or spaces.
Secondary SSN	Type the customer's secondary Social Security number. Use the nine-digit numeric format without hyphens or spaces.
Account Type	Choose the account type from the drop-down list.
Receiver OCC Broker Number	You can leave this field blank. Optionally, type the five-character receiver options clearing corporation (OCC) broker number. If you complete this field, ACATS validates it against the OCC broker number set up in the ACATS PARTICIPANT MASTER file.
Receiver Correspondent Number	Type the four-digit receiver correspondent number if the receiving firm is acting on behalf of another party.
Comments	Type any additional notes or information about this fail reversal not already covered by the entry fields. Create line breaks by pressing ENTER; otherwise, your text appears on a single line.

About Accelerating Transfers

A full (FUL) transfer often requires one day for the 200–Review status, one day for 300–Settle Prep status, and one day after that for the assets associated with the transfer to settle. An ACATS user can accelerate the transfer so the 300–Settle Prep status occurs on the same day as the 200–Review status. A receiver can accelerate a reclaim (RCL) transaction during the two day review period, while the transfer is in the 200–Review status. A receiver can also accelerate a partial transfer deliverer (PTD), partial transfer receiver (PTR), or residual credit (RCR) to expedite the fund registration in earlier cycles. This moves the transfer to the 230–Review Accelerate status. After the receiver submits an acceleration request, it is deemed as the final approval from the receiver, resulting in no additional adjustments being allowed. The deliverer cannot make updates to the transfer in subsequent cycles. A receiver can delete a mutual fund, annuity, or alternative investment asset after acceleration.

If a deliverer submits an adjustment in the same cycle that a receiver accelerates a transfer, ACATS honors the deliverer adjustment and rejects the receiver acceleration. The receiver can resubmit the acceleration to expedite the transfer.

Accelerating a Transfer

To accelerate a transfer:

1. From the ACATS Home Page, click **Accelerate a Transfer**.

DTCC Automated Customer Account Transfer Service

Home | ACATS Transaction Inputs | ACATS Inquiry | ACATS Output | ACATS Statistical Reports | Help | Logout

Wed Aug 19 17:50:39 EDT 2015
Logged on as:

ACATS Home Page

ACATS Transaction Inputs

- [Fail Reversal](#)
- [Full Transfer](#)
- [Mutual Fund Cleanup](#)
- [Partial Transfer Deliverer](#)
- [Partial Transfer Receiver](#)
- [Position Transfer Fund](#)
- [Residual Credit](#)
- [Reclaim](#)
- [Adjust Transfer](#)
- [Reject Transfer](#)
- [Accelerate a Transfer](#)**
- [Add an Asset](#)
- [Adjust an Asset](#)
- [Delete an Asset](#)
- [Fund Registration](#)
- [Insurance Registration](#)
- Data Review / Send**
- [Summary](#)
- [Send](#)
- [Sent Batches](#)

ACATS Inquiry

- [Transaction History](#)
- [Transfer Position](#)
- [Transfer Settlement](#)
- [Participant Master Inquiry](#)
- [Asset Master Inquiry](#)

ACATS Output

- [Reports](#)
- [Data Files](#)
- [Statistical Reports - NEW](#)

ACATS Statistical Reports

- [Create Reports - NEW](#)

www.dtcc.com | [Contact Us](#) | [Important Legal Information](#)

ACATS Home Page: Accelerate a Transfer

The Accelerate Transfer page appears.

DTCC Automated Customer Account Transfer Service

Home ACATS Transaction Inputs ACATS Inquiry ACATS Output ACATS Statistical Reports Help Logout

Wed Aug 26 16:54:02 EDT 2015
Logged on as:

ACATS Menu > Accelerate Transfer

Accelerate Transfer Go TO: Transaction Inputs

Back Reset Submit

Transfer Information * = Required

Original Receiver	0123 *
Original Deliverer	*
ACATS Control Number (CCYDDNNNNNN)	*
Transfer Type	*
Comments	

Fill my next input screen with this data

Back Reset Submit

Contact Us Important Legal Information

Accelerate Transfer

Note

- All **required** fields appear in bold followed by a red asterisk (*).
 - **Conditional** fields appear as optional until you type or select information that makes it required. When a field becomes required, a red asterisk (*) appears next to it, but the field name does not become bold.
2. Type or select information in all required fields and any applicable optional fields. For more information about the fields, see the [Accelerate Transfer Field Definitions](#).
 3. Verify that all of the required fields are complete. In certain situations, a conditional field becomes required when you select or type your entry.
 4. Check the **Fill my next input page with this data** box to accelerate another transfer with similar information, if applicable. When you select the **More Assets** check box and click **Submit**, ACATS creates a new page with the same data in both the Transfer Information and Asset Information sections. You can edit the fields in the Asset Information section; however, you cannot edit the fields in the Transfer Information section. You can continue to select the More Assets check box on each subsequent page until you have entered all of the assets related to this transaction.
 5. Click one of the following options:
 - To complete your transaction, click **Submit**.
 - To clear all data, click **Reset**.
 - To return to the ACATS menu, click **Back**.

Notes

You can access other ACATS features from the menu or the Go To drop-down list.

Accelerate Transfer Field Definitions

Field definitions are listed in the order as they appear, grouped by categories. A red asterisk (*) indicates a required field.

Note

A conditional field appears as optional until you type or select information that makes it required. When a field becomes required, a red asterisk (*) appears.

The following table shows the field definitions available from the Transfer Information section of the Accelerate Transfer page.

Accelerate Transfer - Transfer Information Field Definitions

Field	Description
Original Receiver	View or select your participant number. If you are logged in as a service bureau, this field becomes a drop-down list that contains all participant numbers to which you have access.
Original Deliverer	Type the four-digit NSCC account number for the deliverer originally indicated on the transfer.
ACATS Control Number (CCYYDDNNNNNNN)	Type the 14-digit ACATS control number. It appears on ACATS reports as the ACATS Control Number for the ACATS transfer associated with the current transaction. The ACATS control number <i>CCYYDDDNNNNNNN</i> format breaks down as follows: <ul style="list-style-type: none"> • <i>CC</i>—Millennium and century of the transfer submission. • <i>YY</i>—Year of the transfer submission. • <i>DDD</i>—Julian date of the transfer submission. • <i>NNNNNNN</i>—System-assigned sequence number.

Accelerate Transfer - Transfer Information Field Definitions

Field	Description
Transfer Type	Select the transfer type that is being accelerated: <ul style="list-style-type: none">• Full Transfer• Partial Transfer (Deliverer)• Partial Transfer (Receiver)• Reclaim• Residual Credit
Comments	Type any additional notes or information not already covered by the entry fields. Create line breaks by pressing ENTER; otherwise, your text appears on a single line.

About Rejecting Transfers

Deliverers can reject the following transfers if it contains errors or insufficient information or if the client no longer wants the transfer:

- [Full Transfer](#)
- [Partial Transfer Deliverer \(PTD\)](#)
- [Partial Transfer Receiver \(PTR\)](#)
- [Reclaims \(RCL\)](#)
- [Residual Credits \(RCR\)](#)
- [Mutual Fund Cleanup \(MFC\)](#)
- [Fail Reversal \(FRV\)](#)

Generally, the deliverer can reject either a full transfer request or nonstandard partial transfer (receiver) request. With the exception of a reclaim, the receiver must reject all other nonstandard transfer request type on the same day that they are received.

The receiver has two days, not including the day it is submitted, to reject a reclaim. In addition, the receiver must use this function to reject an account after the deliverer has submitted assets for any type of ACATS transfer.

Rejecting a Transfer

To reject a transfer:

1. From the ACATS Home Page, click **Reject Transfer**.

DTCC Automated Customer Account Transfer Service

Home ACATS Transaction Inputs ACATS Inquiry ACATS Output ACATS Statistical Reports Help Logout

Wed Aug 19 17:50:39 EDT 2015
Logged on as:

ACATS Home Page

ACATS Transaction Inputs

- Fail Reversal
- Full Transfer
- Mutual Fund Cleanup
- Partial Transfer Deliverer
- Partial Transfer Receiver
- Position Transfer Fund
- Residual Credit
- Reclaim
- Adjust Transfer
- Reject Transfer**
- Accelerate a Transfer
- Add an Asset
- Adjust an Asset
- Delete an Asset
- Fund Registration
- Insurance Registration
- Data Review / Send
- Summary
- Send
- Sent Batches

ACATS Inquiry

- Transaction History
- Transfer Position
- Transfer Settlement
- Participant Master Inquiry
- Asset Master Inquiry

ACATS Output

- Reports
- Data Files
- Statistical Reports - **NEW**

ACATS Statistical Reports

- Create Reports - **NEW**

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ACATS Home Page: Reject Transfer

The Reject Transfer page appears.

DTCC Automated Customer Account Transfer Service

Home | ACATS Transaction Inputs | ACATS Inquiry | ACATS Output | ACATS Statistical Reports | Help | Logout

Wed Aug 26 17:06:22 EDT 2015
Logged on as:

ACATS Menu > Reject Transfer

Reject Transfer Go To: Transaction Inputs

Back **Reset** **Submit**

Transfer Information		* = Required
Transfer Type	<input type="text"/>	*
Submitter Number	0123	*
Submitter	<input type="text"/>	*
Original Receiver	<input type="text"/>	*
Original Deliverer	<input type="text"/>	*
ACATS Control Number (CCYDDNNNNNN)	<input type="text"/>	*
Reason Code	<input type="text"/>	*
Comments	<input type="text"/>	

Fill my next input screen with this data

Back **Reset** **Submit**

[Contact Us](#) [Important Legal Information](#)

Reject Transfer

Note

- All **required** fields appear in bold followed by a red asterisk (*).
 - **Conditional** fields appear as optional until you type or select information that makes it required. When a field becomes required, a red asterisk (*) appears next to it, but the field name does not become bold.
2. Type or select information in all required fields and any applicable optional fields. For more information about the fields, see the [Reject Transfer Field Definitions](#).
 3. Verify that all of the required fields are complete. In certain situations, a conditional field becomes required when you select or type your entry.
 4. To enter additional assets for this transaction, check the **More Assets** box, if applicable. When you select the **More Assets** check box and click **Submit**, ACATS creates a new page with the same data in both the Transfer Information and Asset Information sections. You can edit the fields in the Asset Information section; however, you cannot edit the fields in the Transfer Information section. You can continue to select the More Assets check box on each subsequent page until you have entered all of the assets related to this transaction.
 5. Click one of the following options:
 - To complete your transaction, click **Submit**.
 - To clear all data, click **Reset**.

- To return to the ACATS menu, click **Back**.

Notes

You can access other ACATS features from the menu or the Go To drop-down list.

Reject Transfer Field Definitions

Field definitions are listed in the order as they appear, grouped by categories. A red asterisk (*) indicates a required field.

Note

A conditional field appears as optional until you type or select information that makes it required. When a field becomes required, a red asterisk (*) appears.

The following table shows the field definitions available from the Transfer Information section of the Reject Transfer page.

Reject Transfer - Transfer Information Field Definitions

Field	Description
Transfer Type	Choose the transfer type that is being rejected.
Submitter Number	View or select the four-digit number for the participant submitting the transfer. This field differs according to your user type: <ul style="list-style-type: none"> • If you are logged in as a participant, your participant number appears in this field by default. • If you are logged in as a service bureau, this field becomes a drop-down list that contains all participant numbers to which you have access.
Submitter	Choose Receiver or Deliverer.
Original Receiver	When the submitter is the receiver, this field is prepopulated with the value in the Submitter Number field. When the submitter is the deliverer, type the four-digit NSCC account number of the participant receiving the transfer.
Original Deliverer	When the submitter is the receiver, type the four-digit NSCC account number of the participant delivering the mutual fund asset. When the submitter is the deliverer, this field is prepopulated with the value in the Submitter Number field.

Reject Transfer - Transfer Information Field Definitions

Field	Description
ACATS Control Number (CCYYDDNNNNNNN)	<p>Type the 14-digit ACATS control number. It appears on ACATS reports as the ACATS Control Number for the ACATS transfer associated with the current transaction. The ACATS control number <i>CCYYDDNNNNNNN</i> format breaks down as follows:</p> <ul style="list-style-type: none"> • <i>CC</i>–Millennium and century of the transfer submission. • <i>YY</i>–Year of the transfer submission. • <i>DDD</i>–Julian date of the transfer submission. • <i>NNNNNNN</i>–System-assigned sequence number.
Reason Code	<p>Choose the reason to reject the account transfer request.</p> <p>Note: The drop-down list contains only those reasons that match the transfer type for this account. The reason codes are also specific to deliverers and receivers.</p>
Comments	<p>Type any additional notes or information not already covered by the entry fields. Create line breaks by pressing ENTER; otherwise, your text appears on a single line.</p>

ADDING, ADJUSTING, AND DELETING ASSETS

Use the ACATS DTCC Web Portal to:

- [Add Assets](#)
- [Adjust Assets](#)
- [Deleting Assets](#)

Adding Assets

A deliverer adds assets to a standard transfer in response to a receiver's transfer request. The cutoff time for a deliverer to add assets is before 4:00 P.M. on Review - Day 1 or 11:00 A.M. on Review - Day 2. All times are in Eastern Time.

To add an asset:

1. From the ACATS Home Page, click **Add an Asset**.

The screenshot shows the DTCC Automated Customer Account Transfer Service (ACATS) Home Page. The page has a dark header with the DTCC logo and the service name. Below the header is a navigation bar with links for Home, ACATS Transaction Inputs, ACATS Inquiry, ACATS Output, and ACATS Statistical Reports, along with Help and Logout. The main content area is titled 'ACATS Home Page' and contains two columns of links. The 'ACATS Transaction Inputs' column includes links such as 'Fail Reversal', 'Full Transfer', 'Mutual Fund Cleanup', 'Partial Transfer Deliverer', 'Partial Transfer Receiver', 'Position Transfer Fund', 'Residual Credit', 'Reclaim', 'Adjust Transfer', 'Reject Transfer', 'Accelerate a Transfer', 'Add an Asset' (highlighted with a red box), 'Adjust an Asset', 'Delete an Asset', 'Fund Registration', and 'Insurance Registration'. The 'ACATS Inquiry' column includes 'Transaction History', 'Transfer Position', 'Transfer Settlement', 'Participant Master Inquiry', and 'Asset Master Inquiry'. The 'ACATS Output' column includes 'Reports' and 'Data Files'. The 'ACATS Statistical Reports' column includes 'Statistical Reports - NEW' and 'Create Reports - NEW'. The page footer includes the website URL 'www.dtcc.com' and links for 'Contact Us' and 'Important Legal Information'.

ACATS Home Page: Add an Asset

The Add Asset page appears.

DTCC
Automated Customer Account Transfer Service

Home
ACATS Transaction Inputs
ACATS Inquiry
ACATS Output
ACATS Statistical Reports
Help
Logout

Wed Aug 26 17:06:22 EDT 2015
 Logged on as:

[ACATS Menu](#) > [Add Asset](#)

Add Asset

Go To: Transaction Inputs

Back Reset Submit

Transfer Information		* = Required	
Transfer Type	<input type="text"/>		
Original Receiver	<input type="text"/>		
Original Deliverer	0123		
ACATS Control Number (CCYDDNNNNNN)	<input type="text"/>		
Asset Information			
Settling Location and Reason	00 - System Generated		
Option Category	00 - Non Option	Asset Category	<input type="text"/>
Cash/Margin/Short	<input type="text"/>	Position Code	L - Long Position
Currency Code	USD	MBS Serial Note	<input type="text"/>
Amount	<input type="text"/>	Quantity	<input type="text"/>
ISIN	US <input type="text"/>		
Bearer Bond	N - Not a Bearer Bond	When Issued	N - Not When Issued
Asset Description	<input type="text"/>		
Comments	<input type="text"/>		

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Add Asset

Note

- All **required** fields appear in bold followed by a red asterisk (*).
 - **Conditional** fields appear as optional until you type or select information that makes it required. When a field becomes required, a red asterisk (*) appears next to it, but the field name does not become bold.
2. Type or select information in all required fields and any applicable optional fields. Many of the fields in the Add Asset page are dependent upon the type of asset you are entering. For more information about the fields, see the [Add Asset field definitions](#).
 3. Required and optional fields change depending on the settling location. From the Asset Information section, select the settling location using these guidelines:
 - **If the asset is a mutual fund settling through the ACATS-Fund/SERV interface:**

- a. In the Settling Location and Reason field, choose **10–Fund/SERV**.
The Mutual Fund Information section becomes available.
- b. In the Mutual Fund Information section, type or select information in all required fields and any applicable optional fields.

Mutual Fund Information

• **If the asset is an option:**

- a. In the Settling Location and Reason field, choose **35 EXPO - OCC Expiring Option, 35 OPT–OCC Option, or 35 USEC - OCC Underlying Security**. The Option Information section becomes available.
- b. In the Option Information section, type or select information in all required fields and any applicable optional fields.

Option Information

• **If the asset is a foreign security:**

- a. In the Settling Location and Reason field, choose **55–Foreign**.
The Foreign Information section becomes available.

- b. In the Foreign Asset section, type or select information in all required fields and any applicable optional fields.

Foreign Information

- If the asset is an annuity settling through the ACATS-IPS (Insurance Processing Service) interface:

- a. In the Settling Location and Reason field, choose **60-IPS**.

The Asset Insurance Information section becomes available.

- b. In the Asset Insurance Information section, type or select information in all applicable fields.

Asset Insurance Information

4. Verify that all of the required fields are complete. In certain situations, a conditional field becomes required when you select or type your entry.

Note

Many of the fields on the page are dependent upon the settling location and type of asset that you are entering. Not all fields are required for all asset types. If you fill in too many fields, the system ignores any data irrelevant to the asset type.

5. To enter additional assets for this transaction, check the **More Assets** box, if applicable. For nonstandard transfers, the **Add an Asset** page appears only if the submitter checks **More Assets**.

When you select the **More Assets** check box and click **Submit**, ACATS creates a new page with the same data in both the Transfer Information and Asset Information sections. You can edit the fields in the Asset Information section; however, you cannot edit the fields in the Transfer Information section. You can continue to select the More Assets check box on each subsequent page until you have entered all of the assets related to this transaction.

6. Click one of the following options:
 - To complete your transaction, click **Submit**.
 - To clear all data, click **Reset**.
 - To return to the ACATS menu, click **Back**.

Notes

You can access other ACATS features from the menu or the Go To drop-down list.

Add Asset Field Definitions

Field definitions are listed in the order as they appear, grouped by categories. A red asterisk (*) indicates a required field.

Note

A conditional field appears as optional until you type or select information that makes it required. When a field becomes required, a red asterisk (*) appears.

The following table shows the field definitions available from the Transfer Information section of the Add Asset page.

Add Asset - Transfer Information Field Definitions

Field	Description
Transfer Type	Choose whether the type of transfer to which you are adding this asset is a full transfer or a partial transfer receiver (PTR).
Original Receiver	Type the four-digit NSCC account number for the participant initiating the transfer and receiving the assets.
Original Deliverer	View or select the four-digit NSCC account number for the participant inputting assets for delivery. This field differs according to your user type: <ul style="list-style-type: none"> • If you are logged in as a participant, your participant number appears in this field by default. • If you are logged in as a service bureau, this field becomes a drop-down list that contains all participant numbers to which you have access.
ACATS Control Number (CCYYDDNNNNNNN)	Type the 14-digit ACATS control number. It appears on ACATS reports as the ACATS Control Number for the ACATS transfer associated with the current transaction. The ACATS control number <i>CCYYDDDNNNNNNN</i> format breaks down as follows: <ul style="list-style-type: none"> • <i>CC</i>—Millennium and century of the transfer submission. • <i>YY</i>—Year of the transfer submission. • <i>DDD</i>—Julian date of the transfer submission. • <i>NNNNNNN</i>—System-assigned sequence number.

The following table shows the field definitions available from the Asset Information section of the Add Asset page.

Add Asset - Asset Information Field Definitions

Field	Description
Settling Location and Reason	Choose the settling location and reason from the drop-down list.
Option Category	Choose the option category from the drop-down list.
Asset Category	Choose an asset category from the drop-down list.
Cash/Margin/Short	Choose one of the following position options: <ul style="list-style-type: none"> • C—Cash • M—Margin • S—Short

Add Asset - Asset Information Field Definitions

Field	Description
Position Code	Choose one of the following position options: <ul style="list-style-type: none"> • S–Short Position • L–Long Position • N–Not Applicable
Currency Code	Type the three-character ISO currency code for the asset. This field is required when the Settling Location and Reason field is set to 50 FCUR – R&D Foreign Currency.
MBS Serial Note	Type the three-character serial note unit number used to identify the Puerto Rican mortgage-backed securities, if applicable.
Amount	Type the original amount of the asset. Up to 13 characters can be entered before the decimal point; up to four characters can be entered after the decimal point. For US currency, use only two places after the decimal point; for foreign currency, use up to four places after the decimal point.
Quantity	Type the original quantity of the asset. Up to 13 characters can be entered before the decimal point; up to four characters can be entered after the decimal point.
ISIN	Type the international security identification number (ISIN), which consists of a country code, a nine-character alphanumeric code that identifies the security, and an ISIN check digit (when the country code is not US).
Bearer Bond	Choose a value from the drop-down list.
When Issued	Choose a value from the drop-down list.
Asset Description	Type a text description of the asset being transferred. Create line breaks by pressing ENTER; otherwise, your text appears on a single line.
Comments	Type any additional notes or information about this asset not already covered by the entry fields. Create line breaks by pressing ENTER; otherwise, your text appears on a single line.

The following table shows the field definitions available from the Mutual Fund Information section of the Add Asset page.

Add Asset - Mutual Fund Information Field Definitions

Field	Description
Full/Partial Transfer	Click the type of transfer, either Full or Partial. This indicator refers to the asset position, and whether the entire position (full) or part of a position (partial) is being transferred.
Book/Physical Shares	Choose the format of the customer assets being transferred.
Network Control	Choose how the account is handled in Networking or indicate that it is not networked.

Add Asset - Mutual Fund Information Field Definitions

Field	Description
Customer/Street	Choose one of the following options from the drop-down list: <ul style="list-style-type: none"> • 1 - Customer Name to indicate that the assets are registered in the customer's name • 2 - Street Name to indicate that the assets are registered in the street name.
Dividend Code	Choose the dividend code from the drop-down list. Each item displays the dividend code number and manner (cash or reinvestment) in which to make the payment. For example, if the dividend payments are cash, capital gains is cash, and short-term capital gains is reinvestment, choose 2 - Cash Cash Reinvest.
Dividend Payee	Choose the dividend recipient type from the drop-down list.
Executing Broker	Type the four-digit code to identify the broker executing the delivery.
Fund Customer Account	Type the 20-character Fund Customer Account number.
Share Aging Indicator Deliverer	Choose a value from the drop-down list.
Firm Membership Indicator Deliverer	Select the type of account that is being delivered from the following options:.. <ul style="list-style-type: none"> • Broker • 01 - Trust
MF Agent Processing Indicator Deliverer	Choose a value from the drop-down list.

The following table shows the field definitions available from the Option Information section of the Add Asset page.

Add Asset - Option Information Field Definitions

Field	Description
Symbol	Enter the six-character option symbol.
Expiration Date (MM-DD-CCYY)	Enter the expiration date in MM-DD-CCYY format. You must include the dashes to separate the month and four-digit year, otherwise ACATS rejects your input.
Strike Price Integer	Enter the integer portion of the strike price, up to five digits.
Strike Price Decimal	Enter the decimal portion of the strike price, up to three digits.

Add Asset - Option Information Field Definitions

Field	Description
Buy/Sell	<p>Indicate whether the option is a buy or a sell. If you are the deliverer of an account with a:</p> <ul style="list-style-type: none"> • Long option, submit the position as a closing sell by selecting Sell. • Short option, submit the position as a closing buy by selecting Buy. <p>On the output reports to the receiver, ACATS changes the buy to a sell and a sell to a buy. Therefore, if you are the receiver of an account with a:</p> <ul style="list-style-type: none"> • Long option, the position is reflected as a Buy. • Short option, the position is reflected as a Sell.
Put/Call	Indicate whether this is a put option or a call option.
Open/Close	Indicate whether the option is opening or closing.
OCC Deliverer	You can leave this field blank. Optionally, type the five-digit options clearing corporation (OCC) deliverer number. If you complete this field, ACATS validates it against the OCC deliverer number set up in the ACATS PARTICIPANT MASTER file.
Option Account Type	Indicate whether the account is for a Customer, Firm, or Market Maker.
Sub Account ID	Enter the four-digit sub account ID number.
Comments	Type a message of up to 16 characters regarding the transfer of this option.

The following table shows the field definitions available from the Foreign Asset section of the Add Asset page.

Add Asset - Foreign Asset Field Definitions

Field	Description
SEDOL Number	Type the Stock Exchange Daily Official List (SEDOL) number which consists of a seven-character alphanumeric code that identifies the international security.
CINS Number	Type the CUSIP International Numbering System (CINS) number, which consists of a nine-character alphanumeric code that identifies the international security.
Delivering Firm Settlement Instruction Line 1	Type a message of up to 35 characters regarding settlement instruction details.
Delivering Firm Settlement Instruction Line 2	Type a message of up to 35 characters regarding settlement instruction details.
Delivering Firm Settlement Instruction Line 3	Type a message of up to 35 characters regarding settlement instruction details.

Add Asset - Foreign Asset Field Definitions

Field	Description
Delivering Firm Settlement Instruction Line 4	Type a message of up to 35 characters regarding settlement instruction details.
Delivering Firm Settlement Instruction Line 5	Type a message of up to 35 characters regarding settlement instruction details.

The following table shows the field definitions available from the Asset Insurance Information section of the Add Asset page.

Add Asset - Asset Insurance Information Field Definitions

Field	Description
Insurance Customer Account Number Deliverer	Type the account number of the customer's insurance asset at the delivering firm.
Owner 1 Natural/non-natural Indicator	Natural indicates an owner who is an individual. Non-natural indicates an owner that is an institution such as a company or trust.
Owner 1 First Name	Type the first name of Owner 1. The owner is the individual who has purchased the insurance contract.
Owner 1 Middle Name	Type the middle name of Owner 1.
Owner 1 Last Name	Type the last name of Owner 1.
Owner 1 Prefix	Type the title, such as Mr. or Mrs., which precedes Owner 1's name.
Owner 1 Suffix	Type the title, such as Esq. or Ph.D., which follows Owner 1's name.
Owner 1 Non-natural name	Type Owner 1's non-natural name.
Owner 1 ID	Type the identification number used by Owner 1.
Owner 1 ID Qualifier	Select the type of identification used by Owner 1 that corresponds to Owner 1's identification number.
Owner 1 Qualifier	Select a qualifier for Owner 1. A qualifier identifies Owner 1 as a person, corporation, or trust.

Add Asset - Asset Insurance Information Field Definitions

Field	Description
Owner 2 Natural/non-natural Indicator	Natural indicates an owner who is an individual. Non-natural indicates an owner that is an institution such as a company or trust.
Owner 2 First Name	Type the first name of Owner 2. A second owner is recorded when the insurance contract is purchased by more than one individual.
Owner 2 Middle Name	Type the middle name of Owner 2.
Owner 2 Last Name	Type the last name of Owner 2.
Owner 2 Prefix	Type the title, such as Mr. or Mrs., which precedes Owner 2's name.
Owner 2 Suffix	Type the title, such as Esq. or Ph.D., which follows Owner 2's name.
Owner 2 Non-natural Name	Type Owner 2's non-natural name.
Owner 2 ID	Type the identification number used by Owner 2.
Owner 2 ID Qualifier	Select the type of identification used by Owner 2 that corresponds to Owner 2's identification number.
Owner 2 Qualifier	Select a qualifier for Owner 2. A qualifier identifies Owner 2 as a person, corporation, or trust.
Annuitant 1 First Name	Type the first name of annuitant 1. An annuitant is an individual for whom the insurance was purchased.
Annuitant 1 Middle Name	Type the middle name of annuitant 1.
Annuitant 1 Last Name	Type the last name of annuitant 1.
Annuitant 1 Prefix	Type the title, such as Mr. or Mrs., which precedes annuitant 1's name.
Annuitant 1 Suffix	Type the title, such as Esq. or Ph.D., which follows annuitant 1's name.
Annuitant 1 ID	Type the identification number used by annuitant 1.
Annuitant 1 ID Qualifier	Select the type of identification used by annuitant 1 that corresponds to annuitant 1's identification number.
Annuitant 2 First Name	Type the first name of annuitant 2.

Add Asset - Asset Insurance Information Field Definitions

Field	Description
Annuitant 2 Middle Name	Type the middle name of annuitant 2.
Annuitant 2 Last Name	Type the last name of annuitant 2.
Annuitant 2 Prefix	Type the title, such as Mr. or Mrs., which precedes annuitant 2's name.
Annuitant 2 Suffix	Type the title, such as Esq. or Ph.D., which follows annuitant 2's name.
Annuitant 2 ID	Type the identification number used by annuitant 2.
Annuitant 2 ID Qualifier	Select the type of identification used by annuitant 2 that corresponds to annuitant 2's identification number. Choices are: <ul style="list-style-type: none"> • 34: Social Security Number. • A3: Non-Resident Alien Number. • FI: Federal Taxpayer's Identification Number. • SB: Canadian Social Insurance Number.
IRS Qualification Code	Select an IRS qualification code from the drop-down list.
Contract Number	Type the contract/policy number assigned by the insurance carrier.
Contract Value	Type the amount of the contract.
Contract Value As-of Date (MM-DD-CCYY)	Type the last date on which the insurance contract was valued by the brokerage holding the asset. For example, some insurance assets could have underlying mutual funds or other assets with variable values and the last date these assets were valued is the date that determines the insurance contract value.
Delivering Associated Firm ID	Type the identification number of the delivering associated firm. The delivering associated firm is the correspondent firm of the ACATS clearing member that is processing the ACATS transaction.

Adjusting Assets

A deliverer uses the Adjust Asset function to change data elements pertaining to a specific asset in an ACATS transfer. Adjusting assets applies only to full transfers. The deliverer's cutoff time for adjusting an asset is 4:00 P.M. on Review - Day 1 or 11:00 A.M. on Review - Day 2. All times are in Eastern Time.

Before using this function, ensure that you know all of the data elements related to the asset. That is, all elements consistent with the original entry and those that you want to change. This page does not allow you to search for the asset or prepopulate any fields based on the existing asset record.

When you adjust an asset, ACATS creates an entirely new record that overwrites the existing asset record. To reference the asset record properly, include the Asset Sequence Number that was provided in the ACATS reports.

To adjust an asset:

1. From the ACATS Home Page, click **Adjust an Asset**.

ACATS Home Page: Adjust an Asset

The Adjust Asset page appears.

DTCC
Automated Customer Account Transfer Service

Home
ACATS Transaction Inputs ▾
ACATS Inquiry ▾
ACATS Output ▾
ACATS Statistical Reports ▾
Help
Logout

Mon Aug 31 14:06:04 EDT 2015
 Logged on as:

[ACATS Menu](#) > [Adjust Asset](#)

Adjust Asset

Go To: Transaction Inputs: ▾

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Reset
Submit

Transfer Information		* = Required
Transfer Type	Full Transfer	
Original Receiver	<input type="text"/> *	
Original Deliverer	0123 *	
ACATS Control Number (CCYYDDNNNNNNN)	<input type="text"/> *	
Asset Information		
Settling Location and Reason	00 - System Generated ▾ *	Asset Sequence Number <input type="text"/> *
Option Category	00 - Non Option ▾ *	Asset Category <input type="text"/> ▾
Cash/Margin/Short	<input type="text"/> ▾	Position Code <input type="text"/> ▾
Currency Code	<input type="text"/>	MBS Serial Note <input type="text"/>
Amount	<input type="text"/> . <input type="text"/>	Quantity <input type="text"/> . <input type="text"/>
ISIN	<input type="text"/> <input type="text"/> <input type="text"/>	
Bearer Bond	<input type="text"/> ▾	When Issued <input type="text"/> ▾
Asset Description	<input style="width: 100%;" type="text"/>	
Comments	<input style="width: 100%;" type="text"/>	
<input type="checkbox"/> Fill my next input screen with this data		

Back
Reset
Submit

Adjust Asset

Note

- All **required** fields appear in bold followed by a red asterisk (*).
 - **Conditional** fields appear as optional until you type or select information that makes it required. When a field becomes required, a red asterisk (*) appears next to it, but the field name does not become bold.
2. Type or select information in all required fields and any applicable optional fields. For more information about the fields, see the [Adjust Asset field definitions](#).
 3. Required and optional fields change depending on the settling location that you are adjusting. From the Asset Information section, select the settling location to adjust using these guidelines:
 - **If the asset is a mutual fund settling through the ACATS-Fund/SERV interface:**

- a. In the Settling Location and Reason field, choose **10–Fund/SERV**.
The Mutual Fund Information section becomes available.
- b. In the Mutual Fund Information section, type or select information in all required fields and any applicable optional fields.

Mutual Fund Information	
Full/Partial Transfer	<input type="text"/>
Book/Physical Shares	<input type="text"/>
Network Control	<input type="text"/>
Customer/Street	<input type="text"/>
Dividend Code	<input type="text"/>
Dividend Payee	<input type="text"/>
Executing Broker	<input type="text"/>
Fund Customer Account	<input type="text"/>
Share Aging Indicator Deliverer	<input type="text"/>
Firm Membership Indicator Deliverer	<input type="text" value="Broker"/>
MF Agent Processing Indicator Deliverer	<input type="text"/>

Fill my next input screen with this data

[Back](#) [Reset](#) [Submit](#)

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Mutual Fund Information

• If the asset is an option:

- a. In the Settling Location and Reason field, choose **35 EXPO - OCC Expiring Option, 35 OPT–OCC Option, or 35 USEC - OCC Underlying Security**. The Option Information section becomes available.
- b. In the Option Information section, type or select information in all required fields and any applicable optional fields.

Option Information	
Symbol	<input type="text"/>
Expiration Date (MM-DD-CCYY)	<input type="text"/>
Strike Price Integer	<input type="text"/>
Strike Price Decimal	<input type="text"/>
Buy/Sell	<input type="text"/>
Put/Call	<input type="text"/>
Open/Close	C - Close <input type="text"/>
OCC Deliverer	<input type="text"/>
Option Account Type	C - Customer <input type="text"/>
Sub Account ID	<input type="text"/>
Comments	<input type="text"/>
<input type="checkbox"/> Fill my next input screen with this data	
<input type="button" value="Back"/> <input type="button" value="Reset"/> <input type="button" value="Submit"/>	

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Option Information

- If the asset is a foreign security:

- In the Settling Location and Reason field, choose **55–Foreign**.

The Foreign Information section becomes available.

- In the Foreign Asset section, type or select information in all required fields and any applicable optional fields.

Foreign Asset	
SEDOL Number	<input type="text"/>
CINS Number	<input type="text"/>
Delivering Firm Settlement Instruction Line 1	<input type="text"/>
Delivering Firm Settlement Instruction Line 2	<input type="text"/>
Delivering Firm Settlement Instruction Line 3	<input type="text"/>
Delivering Firm Settlement Instruction Line 4	<input type="text"/>
Delivering Firm Settlement Instruction Line 5	<input type="text"/>
<input type="checkbox"/> Fill my next input screen with this data	
<input type="button" value="Back"/> <input type="button" value="Reset"/> <input type="button" value="Submit"/>	

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Foreign Asset

- If the asset is an annuity settling through the ACATS-IPS (Insurance Processing Service) interface:

- a. In the Settling Location and Reason field, choose **60-IPS**.
The Asset Insurance Information section becomes available.
- b. In the Asset Insurance Information section, type or select information in all applicable fields.

Asset Insurance Information			
Insurance Customer Account Number Deliverer	<input type="text"/>		
Owner 1 Natural/Non-Natural Indicator	<input type="text"/>	Owner 2 Natural/Non-Natural Indicator	<input type="text"/>
Owner 1 First Name	<input type="text"/>	Owner 2 First Name	<input type="text"/>
Owner 1 Middle Name	<input type="text"/>	Owner 2 Middle Name	<input type="text"/>
Owner 1 Last Name	<input type="text"/>	Owner 2 Last Name	<input type="text"/>
Owner 1 Prefix	<input type="text"/>	Owner 2 Prefix	<input type="text"/>
Owner 1 Suffix	<input type="text"/>	Owner 2 Suffix	<input type="text"/>
Owner 1 Non-Natural Name	<input type="text"/>		Owner 2 Non-Natural Name
Owner 1 ID	<input type="text"/>	Owner 2 ID	<input type="text"/>
Owner 1 ID Qualifier	<input type="text"/>	Owner 2 ID Qualifier	<input type="text"/>
Owner 1 Qualifier	<input type="text"/>	Owner 2 Qualifier	<input type="text"/>
Annuitant 1 First Name	<input type="text"/>	Annuitant 2 First Name	<input type="text"/>
Annuitant 1 Middle Name	<input type="text"/>	Annuitant 2 Middle Name	<input type="text"/>
Annuitant 1 Last Name	<input type="text"/>	Annuitant 2 Last Name	<input type="text"/>
Annuitant 1 Prefix	<input type="text"/>	Annuitant 2 Prefix	<input type="text"/>
Annuitant 1 Suffix	<input type="text"/>	Annuitant 2 Suffix	<input type="text"/>
Annuitant 1 ID	<input type="text"/>	Annuitant 2 ID	<input type="text"/>
Annuitant 1 ID Qualifier	<input type="text"/>	Annuitant 2 ID Qualifier	<input type="text"/>
IRS Qualification Code	<input type="text"/>	Contract Number	<input type="text"/>
Contract Value	<input type="text"/> . <input type="text"/>	Contract Value As-Of Date (MM-DD-CCYY)	<input type="text"/>
Delivering Associated Firm ID	<input type="text"/>		
<input type="checkbox"/> Fill my next input screen with this data			
			<input type="button" value="Back"/> <input type="button" value="Reset"/> <input type="button" value="Submit"/>

Asset Insurance Information

4. Verify that all of the required fields are complete. In certain situations, a conditional field becomes required when you select or type your entry.
5. To enter additional assets for this transaction, check the **More Assets** box, if applicable. When you select the **More Assets** check box and click **Submit**, ACATS creates a new page with the same data in both the Transfer Information and Asset Information sections. You can edit the fields in the Asset Information section; however, you cannot edit the fields in the Transfer Information section. You can continue to select the More Assets check box on each subsequent page until you have entered all of the assets related to this transaction.
6. Click one of the following options:
 - To complete your transaction, click **Submit**.
 - To clear all data, click **Reset**.

- To return to the ACATS menu, click **Back**.

Notes

You can access other ACATS features from the menu or the Go To drop-down list.

Adjust Asset Field Definitions

Field definitions are listed in the order as they appear, grouped by categories. A red asterisk (*) indicates a required field.

Note

A conditional field appears as optional until you type or select information that makes it required. When a field becomes required, a red asterisk (*) appears.

The following table shows the field definitions available from the Transfer Information section of the Adjust Asset page.

Adjust Asset - Transfer Information Field Definitions

Field	Description
Transfer Type	This field is locked to Full Transfer.
Original Receiver	Type the four-digit NSCC account number for the participant initiating the transfer and receiving the assets.
Original Deliverer	View or select the four-digit NSCC account number for the participant inputting assets for delivery. This field differs according to your user type: <ul style="list-style-type: none"> • If you are logged in as a participant, your participant number appears in this field by default. • If you are logged in as a service bureau, this field becomes a drop-down list that contains all participant numbers to which you have access.
ACATS Control Number (CCYYDDNNNNNNN)	Type the 14-digit ACATS control number. It appears on ACATS reports as the ACATS Control Number for the ACATS transfer associated with the current transaction. The ACATS control number <i>CCYYDDDNNNNNNN</i> format breaks down as follows: <ul style="list-style-type: none"> • <i>CC</i>–Millennium and century of the transfer submission. • <i>YY</i>–Year of the transfer submission. • <i>DDD</i>–Julian date of the transfer submission. • <i>NNNNNNN</i>–System-assigned sequence number.

The following table shows the field definitions available from the Asset Information section of the Adjust Asset page.

Adjust Asset - Asset Information Field Definitions

Field	Description
Settling Location and Reason	Choose the settling location and reason from the drop-down list. ACATS overrides your selection if the asset cannot settle in the requested settling location or if the requested settling location and reason are invalid for either the receiver or the deliverer. Firms can select the 00–System Generated settlement location. ACATS determines the valid asset settling location and reason.
Asset Sequence Number	Type the six-digit asset sequence number that was generated by the ACATS system. This number was assigned to the asset when it was originally added to ACATS.
Option Category	Choose the option category from the drop-down list, if applicable.
Asset Category	If you are modifying the original value, choose an asset category from the drop-down list.
Cash/Margin/Short	If you are modifying the original value, choose one of the following position options: <ul style="list-style-type: none"> • C–Cash • M–Margin • S–Short
Position Code	If you are modifying the original value, choose one of the following position options: <ul style="list-style-type: none"> • S–Short Position • L–Long Position • N–Not Applicable
Currency Code	Type the three-character ISO currency code for the asset. This field is required when the Settling Location and Reason field is set to 50 FCUR – R&D Foreign Currency.
MBS Serial Note	If you are modifying the original value, type the three-character serial note unit number used to identify the Puerto Rican mortgage-backed securities.
Amount	If you are modifying the original value, type the amount of the asset. Enter up to 13 characters before the decimal point; up to four characters after the decimal point. For US currency, use only two places after the decimal point; for foreign currency, use up to four places after the decimal point.
Quantity	If you are modifying the original value, type the modified quantity of the asset. Enter up to 13 characters before the decimal point; up to four characters after the decimal point.
ISIN	If you are modifying the original value, type the international security identification number (ISIN), which consists of a country code, a nine-character alphanumeric code that identifies the security, and an ISIN check digit (when the country code is not US).
Bearer Bond	If you are modifying the original value, choose whether a bond is a bearer instrument.

Adjust Asset - Asset Information Field Definitions

Field	Description
When Issued	If you are modifying the original value, choose whether the asset is being transferred when issued or not when issued.
Asset Description	If you are modifying the original value, type a text description of the asset being transferred. Create line breaks by pressing ENTER; otherwise, your text appears on a single line.
Comments	Optionally, type any additional notes or information about this asset not already covered by the entry fields. Create line breaks by pressing ENTER; otherwise, your text appears on a single line.

The following table shows the field definitions available from the Mutual Fund Information section of the Adjust Asset page

Adjust Asset - Mutual Fund Information Field Definitions

Field	Description
Full/Partial Transfer	Click the type of transfer, either Full or Partial. This indicator refers to the asset position, and whether the entire position (full) or part of a position (partial) is being transferred.
Book/Physical Shares	Choose the format of the customer assets being transferred.
Network Control	Choose how the account is handled in Networking or indicate that it is not networked.
Customer/Street	Choose one of the following options from the drop-down list: <ul style="list-style-type: none"> • 1 - Customer Name to indicate that the assets are registered in the customer's name • 2 - Street Name to indicate that the assets are registered in the street name.
Dividend Code	Choose the dividend code from the drop-down list. Each item displays the dividend code number and manner (cash or reinvestment) in which to make the payment. For example, if the dividend payments are cash, capital gains is cash, and short-term capital gains is reinvestment, choose 2 - Cash Cash Reinvest.
Dividend Payee	Choose the dividend recipient type from the drop-down list.
Executing Broker	Type the four-digit code to identify the broker executing the delivery.
Fund Customer Account	Type the 20-character Fund Customer Account number.
Share Aging Indicator Deliverer	Choose one of the following from the drop-down list: <ul style="list-style-type: none"> • 1 indicates that the delivering firm or fund company provides the share aging information in an automated way through the Networking Share Aging file. • 2 indicates that the delivering firm provides the share aging information outside of the system.

Adjust Asset - Mutual Fund Information Field Definitions

Field	Description
Firm Membership Indicator Deliverer	Select the type of account that is being delivered from the following options: <ul style="list-style-type: none"> • Broker • 01 - Trust
MF Agent Processing Indicator Deliverer	Choose 0 to indicate that the deliverer will not use an alternate Fund/SERV clearing number. Choose 1 to indicate that the deliverer will use an alternate Fund/SERV clearing number.

The following table shows the field definitions available from the Option Information section of the Adjust Asset page.

Adjust Asset - Option Information Field Definitions

Field	Description
Symbol	Enter the six-character option symbol.
Expiration Date	Enter the expiration date in MM-DD-CCYY format. You must include the dashes to separate the month and four-digit year, otherwise ACATS rejects your input.
Strike Price Integer	Enter the integer portion of the strike price, up to five digits.
Strike Price Decimal	Enter the decimal portion of the strike price, up to three digits.
Buy/Sell	Indicate whether the option is a buy or a sell. For example, if you are the receiver of an account with a: <ul style="list-style-type: none"> • Long option, submit the position as a closing sell by selecting Sell. • Short option, submit the position as a closing buy by selecting Buy. <p>On the output reports to the deliverer, ACATS changes the buy to a sell and a sell to a buy. Therefore, if you are the deliverer of an account with a:</p> <ul style="list-style-type: none"> • Long option, the position is reflected as a Buy. • Short option, the position is reflected as a Sell.
Put/Call	Indicate whether this is a put option or a call option.
Open/Close	Indicate whether the option is opening or closing.
OCC Deliverer	You can leave this field blank. Optionally, type the five-digit options clearing corporation (OCC) deliverer number. If you complete this field, ACATS validates it against the OCC deliverer number set up in the ACATS PARTICIPANT MASTER file.
Option Account Type	Indicate whether the account is for a Customer, Firm, or Market Maker.

Adjust Asset - Option Information Field Definitions

Field	Description
Sub Account ID	Enter the four-digit subaccount ID number.
Comments	Type a message of up to 16 characters regarding the transfer of this option.

The following table shows the field definitions available from the Foreign Asset section of the Adjust Asset page.

Adjust Asset- Foreign Asset Field Definitions

Field	Description
SEDOL Number	Type the Stock Exchange Daily Official List (SEDOL) number which consists of a seven-character alphanumeric code that identifies the international security.
CINS Number	Type the CUSIP International Numbering System (CINS) number, which consists of a nine-character alphanumeric code that identifies the international security.
Delivering Firm Settlement Instruction Line 1	Type a message of up to 35 characters regarding settlement instruction details.
Delivering Firm Settlement Instruction Line 2	Type a message of up to 35 characters regarding settlement instruction details.
Delivering Firm Settlement Instruction Line 3	Type a message of up to 35 characters regarding settlement instruction details.
Delivering Firm Settlement Instruction Line 4	Type a message of up to 35 characters regarding settlement instruction details.
Delivering Firm Settlement Instruction Line 5	Type a message of up to 35 characters regarding settlement instruction details.

The following table shows the field definitions available from the Asset Insurance Information section of the Adjust Asset page.

Adjust Asset - Asset Insurance Information Field Definitions

Field	Description
Insurance Customer Account Number Deliverer	Type the account number of the customer's insurance asset at the delivering firm.
Owner 1 Natural/non-natural Indicator	Natural indicates an owner who is an individual. Non-natural indicates an owner that is an institution such as a company or trust.
Owner 1 First Name	Type the first name of Owner 1. The owner is the individual who has purchased the insurance contract.
Owner 1 Middle Name	Type the middle name of Owner 1.
Owner 1 Last Name	Type the last name of Owner 1.
Owner 1 Prefix	Type the title, such as Mr. or Mrs., which precedes Owner 1's name.
Owner 1 Suffix	Type the title, such as Esq. or Ph.D., which follows Owner 1's name.
Owner 1 Non-natural name	Type Owner 1's non-natural name.
Owner 1 ID	Type the identification number used by Owner 1.
Owner 1 ID Qualifier	Select the type of identification used by Owner 1 that corresponds to Owner 1's identification number.
Owner 1 Qualifier	Select a qualifier for Owner 1. A qualifier identifies Owner 1 as a person, corporation, or trust.
Owner 2 Natural/non-natural Indicator	Natural indicates an owner who is an individual. Non-natural indicates an owner that is an institution such as a company or trust.
Owner 2 First Name	Type the first name of Owner 2. A second owner is recorded when the insurance contract is purchased by more than one individual.
Owner 2 Middle Name	Type the middle name of Owner 2.
Owner 2 Last Name	Type the last name of Owner 2.
Owner 2 Prefix	Type the title, such as Mr. or Mrs., which precedes Owner 2's name.
Owner 2 Suffix	Type the title, such as Esq. or Ph.D., which follows Owner 2's name.

Adjust Asset - Asset Insurance Information Field Definitions

Field	Description
Owner 2 Non-natural Name	Type Owner 2's non-natural name.
Owner 2 ID	Type the identification number used by Owner 2.
Owner 2 ID Qualifier	Select the type of identification used by Owner 2 that corresponds to Owner 2's identification number.
Owner 2 Qualifier	Select a qualifier for Owner 2. A qualifier identifies Owner 2 as a person, corporation, or trust.
Annuitant 1 First Name	Type the first name of Annuitant 1. An annuitant is an individual for whom the insurance was purchased.
Annuitant 1 Middle Name	Type the middle name of Annuitant 1.
Annuitant 1 Last Name	Type the last name of Annuitant 1.
Annuitant 1 Prefix	Type the title, such as Mr. or Mrs., which precedes Annuitant 1's name.
Annuitant 1 Suffix	Type the title, such as Esq. or Ph.D., which follows Annuitant 1's name.
Annuitant 1 ID	Type the identification number used by Annuitant 1.
Annuitant 1 ID Qualifier	Select the type of identification used by Annuitant 1 that corresponds to Annuitant 1's identification number.
Annuitant 2 First Name	Type the first name of Annuitant 2.
Annuitant 2 Middle Name	Type the middle name of Annuitant 2.
Annuitant 2 Last Name	Type the last name of Annuitant 2.
Annuitant 2 Prefix	Type the title, such as Mr. or Mrs., which precedes Annuitant 2's name.
Annuitant 2 Suffix	Type the title, such as Esq. or Ph.D., which follows Annuitant 2's name.
Annuitant 2 ID	Type the identification number used by Annuitant 2.

Adjust Asset - Asset Insurance Information Field Definitions

Field	Description
Annuitant 2 ID Qualifier	Select the type of identification used by Annuitant 2 that corresponds to Annuitant 2's identification number. Choices are: <ul style="list-style-type: none"> • 34: Social Security Number. • A3: Non-Resident Alien Number. • FI: Federal Taxpayer's Identification Number. • SB: Canadian Social Insurance Number.
IRS Qualification Code	Select a code from the drop-down list.
Contract Number	Type the contract/policy number assigned by the insurance carrier.
Contract Value	Type the amount of the contract.
Contract Value As-of Date (MMDDCCYY)	Type the last date on which the insurance contract was valued by the brokerage holding the asset. For example, some insurance assets could have underlying mutual funds or other assets with variable values and the last date these assets were valued is the date that determines the insurance contract value.
Delivering Associated Firm ID	Type the identification number of the delivering associated firm. The delivering associated firm is the correspondent firm of the ACATS clearing member that is processing the ACATS transaction.

Deleting Assets

A deliverer or receiver can delete an asset, subject to rules and conditions outlined in the *ACATS User Guide*. To enable ACATS to identify the asset record that you are adjusting, include the asset sequence number.

Before using this function, ensure that you know all of the data elements related to the asset. That is, all elements consistent with the original entry and those that you want to change. This page does not allow you to search for the asset or prepopulate any fields based on the existing asset record.

Deleting Assets by Deliverers for Full Transfers

A deliverer can only submit a change to an asset or delete an asset for standard (full) account transfers and the transfer is not in the 230–Review Accelerate or 240–Review Adjust Receiver Accelerate status. The deliverer must submit the change or deletion before 4:00 P.M. on the Review Day 1 and 11:00 A.M. on Review Day 2, Eastern Time, when the transfer is in one of the following statuses:

- 200–Review
- 210–Review Adjust Deliverer
- 220–Review Error

ACATS disallows changing or deleting assets when the transfer is in any other status, including 230–Review Accelerate, 240–Review Adjust Receiver Accelerate, and 300–Settle Prep.

When both the receiver and deliverer submit deletes in the same ACATS cycle for a different asset, firms must compare the AT submitting firm's number with the receiver and deliverer numbers to determine which party submitted the delete.

If a deliverer submits an adjustment in the same cycle that a receiver accelerates a transfer, ACATS honors the deliverer adjustment and rejects the receiver acceleration. The receiver can resubmit the acceleration to expedite the transfer.

Deleting Assets by Receivers for Full Transfers

Receivers can delete an asset if the account transfer is a full (FUL) transfer and the following conditions are met:

- Account transfer is in one of the following statuses:
 - 200–Review
 - 210–Review Adjust Deliverer
 - 220–Review Error
 - 230–Review Accelerate
 - 240–Review Adjust Receiver Accelerate
- Standard asset submission cutoff time of 4:00 PM Eastern Time (**cycle 11**) is observed.
- Asset identified by the deliverer through the Asset Category field as a **mutual fund** (Asset Category = MFMM, MFNM), **annuity** (Asset Category = ANNU), or **alternative investment** (Asset Category = ALT) asset.

When the receiver submits a valid AT delete instruction, ACATS automatically accelerates the transfer, moving it to the 240–Review Adjust Receiver Accelerate status.

If the deliverer does not change a different asset in the same or a later cycle, the transfer moves to the 240–Review Adjust Receiver Accelerate status. At the end of the business day, the status changes to the 300–Settle Prep status.

If the deliverer changes a different asset in the same or a later cycle, the transfer moves to the 210–Review Adjust Deliverer status to give the receiver time to review the change.

If the receiver submits an asset delete instruction in the same cycle as a deliverer submitted an asset add instruction for a different asset, the transfer moves to 210–Review Adjust Deliverer status to give the receiver time to review the change.

If the receiver and deliverer submit a change for the same asset, ACATS accepts the receiver's input and moves the transfer to the 240–Review Adjust Receiver Accelerate status. In this case where the receiver and deliverer submit AT instructions in the same cycle for the same asset, ACATS gives priority to the receiver delete transaction. This rule is in place because it does not matter whether the deliverer adjusts or deletes this asset, the receiver cannot accept it. The cutoff time for a receiver change or delete is 4:00 P.M. Eastern Time (cycle 11).

Note

For accounts that contain both mutual fund and insurance assets, if the receiver chooses to delete both asset types, the receiver must delete both the insurance and mutual fund assets on the same day. Account acceleration occurs when the receiver deletes a mutual fund, insurance asset, or alternative investment asset; therefore, the receiver has only one opportunity to delete the insurance, mutual fund, or alternative investment assets before the transfer accelerates.

Deleting Assets by Receiver for Nonstandard Transfers

Receivers can delete an asset if the account transfer is one of the following nonstandard transfer types:

- Partial Transfer Deliverer (PTD)
- Partial Transfer Receiver (PTR)
- Residual Credit (RCR)
- Asset identified by the deliverer through the Asset Category field as a **mutual fund** (asset category = MFMM, MFNM), **annuity** (Asset Category = ANNU), or **alternative investment** (Asset Category = ALT).
- For allowed nonstandard transfers, the account transfer is in one of the following statuses:
 - 200–Review
 - 240–Review Adjust Receiver Accelerate
- Standard asset submission cutoff time of 4:00 PM Eastern Time (cycle 11) is observed.

When the receiver submits a valid AT delete instruction, ACATS moves the transfer to the 240–Review Adjust Receiver Accelerate status.

At the end of the business day, if there is a mutual fund or option in the transfer, the status changes to the 300–Settle Prep status. Otherwise, the status moves to the 310–Settle Close status.

The cutoff time for a receiver delete is 4:00 P.M. Eastern Time (cycle 11).

Deleting an Asset

To delete an asset:

1. From the ACATS Home Page, click **Delete an Asset**.

The screenshot shows the DTCC Automated Customer Account Transfer Service (ACATS) Home Page. The page has a dark header with the DTCC logo and the title 'Automated Customer Account Transfer Service'. Below the header is a navigation bar with links for 'Home', 'ACATS Transaction Inputs', 'ACATS Inquiry', 'ACATS Output', 'ACATS Statistical Reports', 'Help', and 'Logout'. The main content area is titled 'ACATS Home Page' and contains two columns of links. The 'Delete an Asset' link in the 'ACATS Transaction Inputs' column is highlighted with a red box. The page also displays the date and time 'Wed Aug 19 17:50:39 EDT 2015' and the user's login status.

ACATS Home Page: Delete an Asset

The Delete Asset page appears.

Delete Asset

Note

- All **required** fields appear in bold followed by a red asterisk (*).
 - **Conditional** fields appear as optional until you type or select information that makes it required. When a field becomes required, a red asterisk (*) appears next to it, but the field name does not become bold.
2. Type or select information in all required fields and any applicable optional fields. For more information about the fields, see the [Delete Asset field definitions](#).

Note

If the submitter is the deliverer, full transfer is the only available transfer type. If the submitter is the receiver, full transfer, partial transfer deliverer (PTD), partial transfer receiver (PTR), and residual credit (RCR) transfer types are available.

3. Verify that all of the required fields are complete. In certain situations, a conditional field becomes required when you select or type your entry.
4. If the next asset delete contains similar information, check the **Fill my next input page with this data** box to delete another transfer with similar information. After clicking **Submit** to delete the current asset, the data remains so that you can make changes, and delete the next asset.

5. Click one of the following options:
 - To complete your transaction, click **Submit**.
 - To clear all data, click **Reset**.
 - To return to the ACATS menu, click **Back**.

Notes

You can access other ACATS features from the menu or the Go To drop-down list.

Delete Asset Field Definitions

Field definitions are listed in the order as they appear, grouped by categories. A red asterisk (*) indicates a required field.

Note

A conditional field appears as optional until you type or select information that makes it required. When a field becomes required, a red asterisk (*) appears.

The following table shows the field definitions available from the Transfer Information section of the Delete Asset page.

Delete Asset - Transfer Information Field Definitions

Field	Description
Submitter Number	View or select the four-digit number for the participant submitting the transfer. This field differs according to your user type: <ul style="list-style-type: none"> • If you are logged in as a participant, your participant number appears in this field by default. • If you are logged in as a service bureau, this field becomes a drop-down list that contains all participant numbers to which you have access.
Submitter	Choose Receiver or Deliverer.
Original Receiver	When the submitter is the receiver, this field is prepopulated with the value in the Submitter Number field. When the submitter is the deliverer, type the four-digit NSCC account number of the participant receiving the transfer.
Original Deliverer	When the submitter is the receiver, type the four-digit NSCC account number of the participant delivering the transfer. When the submitter is the deliverer, this field is prepopulated with the value in the Submitter Number field.

Delete Asset - Transfer Information Field Definitions

Field	Description
Transfer Type	<p>If the submitter is a deliverer, the transfer type is always Full Transfer. If the submitter is a receiver, the following transfer types are available:</p> <ul style="list-style-type: none"> • Full Transfer • Partial Transfer Deliverer • Partial Transfer Receiver • Residual Credit
ACATS Control Number (CCYYDDNNNNNNN)	<p>Type the 14-digit ACATS control number for the transfer whose Transfer Information you want to adjust. The ACATS control number <i>CCYYDDNNNNNNN</i> format breaks down as follows:</p> <ul style="list-style-type: none"> • <i>CC</i>—Millennium and century of the transfer submission. • <i>YY</i>—Year of the transfer submission. • <i>DDD</i>—Julian date of the transfer submission. • <i>NNNNNN</i>—System-assigned sequence number.
Asset Sequence Number	Type the Asset Sequence Number assigned by ACATS to the asset.
Option Category	Choose the option category from the drop-down list.
Comments	Type any additional notes or information about this asset not already covered by the entry fields. Create line breaks by pressing ENTER; otherwise, your text appears on a single line.

ABOUT REGISTERING MUTUAL FUNDS

- [Registering Mutual Funds](#)
- [Registering a Fund](#)
- [Fund Registration Field Definitions](#)

Registering Mutual Funds

In ACATS, the receiver of the transfer is responsible for submitting the instructions for the fund company to re-register a mutual fund. The receiver initiates this action in response to the deliverer notifying the receiver that it will receive a mutual fund asset with a settling location and reason of 10–Fund/SERV. After the receiver submits the fund registration information, ACATS passes the information to Fund/SERV system, which in turn passes it to the fund.

The receiver must submit the fund registration while the transfer is in 200–Review status. If ACATS has not received a fund registration for a mutual fund asset with a settling location and reason of 10–Fund/SERV by the end of the review period, ACATS generates a default registration and sends the default registration to the fund.

The ACATS default registration is comprised of the combination of data fields from a firm's ACATS Default Registration Form on file with NSCC and asset information obtained from the deliverer.

Due to the shorter settlement cycle of nonstandard ACATS transfers, the receiver must submit the fund registration information for a mutual fund asset in a nonstandard transfer on the same day that the assets are submitted to ACATS.

Registering a Fund

To register a fund:

1. From the ACATS Home Page, click **Fund Registration**.

DTCC Automated Customer Account Transfer Service

Home ACATS Transaction Inputs ACATS Inquiry ACATS Output ACATS Statistical Reports Help Logout

Wed Aug 19 17:50:39 EDT 2015
Logged on as:

ACATS Home Page

ACATS Transaction Inputs

- Fail Reversal
- Full Transfer
- Mutual Fund Cleanup
- Partial Transfer Deliverer
- Partial Transfer Receiver
- Position Transfer Fund
- Residual Credit
- Reclaim
- Adjust Transfer
- Reject Transfer
- Accelerate a Transfer
- Add an Asset
- Adjust an Asset
- Delete an Asset
- Fund Registration**
- Insurance Registration

ACATS Inquiry

- Transaction History
- Transfer Position
- Transfer Settlement
- Participant Master Inquiry
- Asset Master Inquiry

ACATS Output

- Reports
- Data Files
- Statistical Reports - **NEW**

ACATS Statistical Reports

- Create Reports - **NEW**

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ACATS Home Page: Fund Registration

The Fund Registration page appears.

DTCC
Automated Customer Account Transfer Service

Home
Help Logout

Thu Sep 03 16:41:08 EDT 2015
 Logged on as:

ACATS Menu > Fund Registration
Go To: Transaction Inputs:

Transfer Information	
Transfer Type	<input type="text"/> *
Original Receiver	<input type="text"/> *
Original Deliverer	<input type="text"/> *
ACATS Control Number (CCYYDDNNNNNN)	<input type="text"/> *
Asset Seq Number	<input type="text"/> *
ISIN	US <input type="text"/> *
Customer Name	<input type="text"/>
Account Rep. Number	<input type="text"/> *
Acct. Rep. Name	<input type="text"/> *
Branch	<input type="text"/> *
Fund Customer Number	<input type="text"/> *
Fund Account Ind	0 - New Account - domestic *
Social Code	<input type="text"/> *
SSN/EIN Type	<input type="text"/> *
SSN EIN	<input type="text"/> *
Zip Code	<input type="text"/> *
Address Line 1	<input type="text"/> *
Address Line 2	<input type="text"/>
Address Line 3	<input type="text"/>
Address Line 4	<input type="text"/>
Address Line 5	<input type="text"/>
Address Line 6	<input type="text"/>
MF Transaction Type	<input type="text"/> *
Network Control Indicator	<input type="text"/> *
NAV	<input type="text"/> *
Margin	<input type="text"/> *
Check Writing	<input type="text"/> *
Country of Origin	<input type="text"/>
Book/Physical Indicator	<input type="text"/> *
Physical Inv. Delivery	<input type="text"/>
Dividend Code	<input type="text"/> *
MF Agent Processing Indicator	<input type="text"/>
Payable Info Indicator	<input type="text"/> *
Firm Membership Indicator Receiver	Broker *
Fraction	<input type="text"/> *
Withholding Indicator	<input type="text"/> *
Qualified Intermediary Indicator	<input type="text"/>
Override NRA Percentage	<input type="text"/>
Override Country Code	<input type="text"/>
Certification Date (MM-DD-CCYY)	<input type="text"/>
Expiration Date (MM-DD-CCYY)	<input type="text"/>
Account Transfer Disbursement	
Accruals	<input type="text"/> *
Fraction/Cash-in-Lieu	<input type="text"/> *
Residuals	<input type="text"/> *
TPA Number	<input type="text"/>
Executing Broker	<input type="text"/>
NRA Tax Percent	<input type="text"/>
State of Sale	<input type="text"/>
Cost Basis Code	<input type="text"/>
CDSC Payment Code	<input type="text"/>
ACH	<input type="text"/>
Memo	<input type="text"/>
Bank Account Type	<input type="text"/>
First Check Date	<input type="text"/>
ABA Routing Number	<input type="text"/>
Bank Account Number	<input type="text"/>
PAC	<input type="text"/>
SWP	<input type="text"/>
Retirement Tax Code	<input type="text"/>
SWP/PAC Effective Date (MM-DD-CCYY)	<input type="text"/>
Payment Day	<input type="text"/>
Monthly Payment Ind	<input type="text"/>
Disbursement Option	<input type="text"/>
Disbursement Amount	<input type="text"/>
ROA/LOI Value	<input type="text"/>
ROA/LOI Date (MM-DD-CCYY)	<input type="text"/>
Related Trade	<input type="text"/>
Related Account Ind	<input type="text"/>
Related Account Number	<input type="text"/>
Accrual Amount	<input type="text"/>
Accrual Amount Ind	<input type="text"/>

Fund Registration Page

Note

- All **required** fields appear in bold followed by a red asterisk (*).
 - **Conditional** fields appear as optional until you type or select information that makes it required. When a field becomes required, a red asterisk (*) appears next to it, but the field name does not become bold.
-

2. Type or select information in all required fields and any applicable optional fields. For more information about the fields, see the [Fund Registration Field Definitions](#).
3. Verify that all of the required fields are complete. In certain situations, a conditional field becomes required when you select or type your entry.
4. Check the **Payables** box to add payable information that is not covered on the Fund Registration page, if applicable. See [Add Payable Addresses](#).
5. Click one of the following options:
 - To complete your transaction, click **Submit**.
 - To clear all data, click **Reset**.
 - To return to the ACATS menu, click **Back**.

Notes

You can access other ACATS features from the menu or the Go To drop-down list.

Add Payable Addresses

If you click the optional **Payables** check box at the bottom of the Fund Registration page before you submitted the registration, the Payable page appears.

To enter payable information:

1. Type or select the payable information in all required fields and any applicable optional fields. For more information, see [Payable Field Definitions](#).
2. To add another payable address to the fund you are registering, click **Payables** at the bottom of the page before clicking **Submit**. The Payable page appears.

DTCC Automated Customer Account Transfer Service

Home ACATS Transaction Inputs ACATS Inquiry ACATS Output ACATS Statistical Reports Help Logout

Thu Oct 01 11:52:48 EDT 2015
Logged on as:

ACATS Menu > Payable

Payable Go To: Transaction Inputs

Previous transaction was processed successfully.

Back Reset Submit

Payable Information		= Required
Address Option	1 - Dividends	*
Payable ISIN		
Alternate Payable Ind		
Alternate Payable Reason		
Account Number Ind	1 - Fund	
Account Number		
Zip Code		
Address Line 1		*
Address Line 2		
Address Line 3		
Address Line 4		
Address Line 5		
Address Line 6		

Payables

Back Reset Submit

Payable

- Click one of the following options:
 - To complete your transaction, click **Submit**. If you clicked Payables, another Payables page appears.
 - To clear all data, click **Reset**.
 - To return to the ACATS menu, click **Back**.

Fund Registration Field Definitions

Field definitions are listed in the order as they appear, grouped by categories. A red asterisk (*) indicates a required field.

Note

A conditional field appears as optional until you type or select information that makes it required. When a field becomes required, a red asterisk (*) appears.

The following table shows the field definitions available from the Transfer Information section of the Fund Registration page.

Fund Registration - Transfer Information Field Definitions

Field	Description
Transfer Type	Choose a value from the drop-down list.
Original Receiver	View or select the four-digit number for the participant who initiates the transfer and receives the assets.
Original Deliverer	Type the four-digit number for the participant who inputs and delivers the assets.
ACATS Control Number (CCYYDDNNNNNNN)	Type the 14-digit ACATS control number. It appears on ACATS reports as the ACATS Control Number for the ACATS transfer associated with the current transaction. The ACATS control number <i>CCYYDDDNNNNNNN</i> format breaks down as follows: <ul style="list-style-type: none"> • <i>CC</i>—Millennium and century of the transfer submission. • <i>YY</i>—Year of the transfer submission. • <i>DDD</i>—Julian date of the transfer submission. • <i>NNNNNNN</i>—System-assigned sequence number.
Asset Sequence Number	Type the six-digit Asset Sequence Number that was generated by the ACATS system. This number was assigned to the asset when it was originally added to ACATS.
ISIN	Type the international security identification number (ISIN), which consists of a country code, a nine-character alphanumeric code that identifies the security, and an ISIN check digit (when the country code is not US).
Customer Name	Type the mutual fund customer name. Maximum length for this field is 20 characters. The default value is the customer name in the ACATS Transfer Input (TI) record.
Account Rep. Number	Type the mutual fund account representative's number. Maximum length for this field is nine digits.
Acct. Rep. Name	Type the mutual fund account representative's name. Maximum length for this field is 15 characters.
Branch	Type the branch code associated with the receiving firm. Maximum length for this field is nine characters.
Fund Customer Number	Type the number for the mutual fund customer. Maximum length for this field is 20 characters.
Fund Account Ind	Click a list item to indicate the account type associated with this fund.
Social Code	Click a list item to indicate the type of mutual fund you are re-registering.
SSN/EIN Type	Click a list item to indicate whether the number in the SSN/EIN Number field represents an SSN or an EIN.
SSN/EIN	Type either the Social Security number, the tax ID number associated with this fund or the investor EIN (Employee Identification Number), as specified in the SSN/EIN Type field.

Fund Registration - Transfer Information Field Definitions

Field	Description
Zip Code	Type the five-digit zip code and four-digit extension for the registrant's address.
Address Line 1 - Address Line 6	Type the full address for the customer. The first address line is required; use additional lines as needed. You can enter a maximum of 35 characters on each line.
MF Transaction Type	Click a list item to choose the type of mutual fund transaction you wish to re-register.
Network Control Indicator	Click a list item to indicate how the account is handled in networking or to indicate that it will not be networked.
NAV	Click a list item to indicate whether the fund has a net asset value.
Margin	Indicate whether this is a margin account by clicking the appropriate list item.
Check Writing	Click a list item to indicate whether or not this fund has check writing privileges.
Country of Origin	Type the two-character country code for this fund's origin. If the value of the fund account indicator is 1 - New Account - foreign or 3 - Existing Account - foreign, this field is required. For a list of country codes, see the NSCC Fund/SERV guide.
Book/Physical Indicator	Choose the format of the customer assets being transferred.
Physical Inv. Delivery	Click a list item to indicate how you want physical securities delivered. This field is only required if you selected 2 - In: Book Shares, Out: Physical in the Book/Physical Shares field.
Dividend Code	Choose the dividend code from the drop-down list. Each item displays the dividend code number and manner (cash or reinvestment) in which to make the payment. For example, if the dividend payments are cash, capital gains is cash, and short-term capital gains is reinvestment, choose 2 - Cash Cash Reinvest.
MF Agent Processing Indicator	<ul style="list-style-type: none"> Choose 0 to indicate that the deliverer will not use an alternate Fund/SERV clearing number. Choose 1 to indicate that the deliverer will use an alternate Fund/SERV clearing number.
Payable Info Indicator	Click a list item to choose the location to which payments should be made.
Firm Membership Indicator Deliverer	<p>Select the type of account that is being delivered from the following options.:</p> <ul style="list-style-type: none"> Broker 01 - Trust
Fraction	<p>Choose from one of the following options to indicate whether fractional share amounts should be transferred or liquidated.:</p> <ul style="list-style-type: none"> 1-Transfer Fraction 2-Liquidate Fraction
Withholding Indicator	Click a list item to choose the applicable withholding information for this fund.

Fund Registration - Transfer Information Field Definitions

Field	Description
Qualified Intermediary Indicator	Click a list item to choose W8 Qualified Intermediary information for this fund. This field is required if you selected C - Certified foreign intermediary account (W8-IMY form on file) in the Withholding Indicator field.
Override NRA Percentage	Type the W8 Override NRA Special Rate (the foreign tax rate). Type the percentage amount to three decimal places.
Override Country Code	Type the two-digit country code. For a list of country codes, see the NSCC Fund/SERV guide.
Certification Date	Type the W8 Certification Date in MM-DD-CCYY format, including dashes. This field is required if you chose B, C, or D in the Withholding Indicator field.
Expiration Date	Type the W8 Expiration Date in MM-DD-CCYY format, including dashes. This field is required if you chose D or E in the Withholding Indicator field.

The following table shows the field definitions available from the Account Transfer Disbursement Information section of the Fund Registration page.

Fund Registration - Account Transfer Disbursement Information Field Definitions

Field	Description
Accruals	Advice funds what to do with the accrual bucket during the transfer period.
Fraction/Cash-in-Lieu	Select the method for handling fractional shares during the transfer period. Select either to accept fractional shares of a mutual fund or to liquidate the fractional shares and accept cash in lieu of the fractions.
Residuals	Directs funds what to do with residual credits that hit the account during the transfer period.
TPA Number	Enter the number of the third-party administrator.
Executing Broker	Type an identifying symbol/number for the executing broker.
NRA Tax Percent	Type the percentage of tax to be withheld based on a non-resident's country of origin.
State of Sale	Select the state in which the sale was executed. This is for taxation reasons.
Cost Basis Code	Select the cost basis method that the receiving firm wants the fund to use when handling liquidations. Note: Not all mutual funds offer this option.
CDSC Payment Code	Indicate if a systematic withdrawal or pre-authorized check payment should be processed gross or net of any deferred sales charge.
ACH	Indicate if an account utilizes the Automated Clearing House (ACH) for disbursement of funds.
Memo	Type up to 12 characters of additional information.

Fund Registration - Account Transfer Disbursement Information Field Definitions

Field	Description
Bank Account Type	Select the applicable type of bank account to which this disbursement is payable - checking, savings, or other.
First Check Date	Type the date to issue the first check for SWP or PAC payments in CCYYMMDD format.
ABA Routing Number	Type the American Banking Association routing number used to direct monies to the customer's account.
Bank Account Number	Type the bank account number to be used for disbursement.
PAC	Select whether this fund will use pre-authorized checks. PAC allows drafts to be drawn against a shareholder's bank account for the purpose of purchasing fund shares on a regular basis.
SWP	Select whether the shareholder will participate in the Systematic Withdrawal Plan. The SWP allows a shareholder to automatically liquidate shares in the account according to an agreed-upon schedule and amount.
Retirement Tax Code	Select the appropriate code for reason of retirement related to this registration. This reason determines how monies disbursed from this fund will be taxed.
SWP/PAC Effective Date (MMDDCCYY)	Enter the date in MMDDCCYY format on which the Systematic Withdrawal Plan or Pre-authorized Checks withdrawal ability becomes effective.
Payment Day	Select the day of the month on which payments are to be made to the bank account specified on this registration. You can also select <ul style="list-style-type: none"> • L for the last day of the month. • N for normal.
Monthly Payment Ind	Type the monthly payment indicator. You can type up to 12 characters.
Disbursement Option	Select the actual disbursement method taken during the transfer period for the accrual bucket, residuals and cash-in-lieu resulting from fractional shares.
Disbursement Amount	Type the actual amount to be disbursed on a monthly basis, if applicable. You can type up to 12 characters.
ROA/LOI Value	Type the amount of the Rights of Accumulation or Letter of Intent. An ROA is a cumulative discount accorded by the fund when a customer's aggregate purchases of fund shares reach a certain level. A LOI is a promise by a mutual fund shareholder to invest a specified sum of money monthly for about a year. In return, the shareholder is entitled to lower sales charges.
ROA/LOI Date	Type the effective date of the Rights of Accumulation or Letter of Intent.
Related Trade	Select Yes or No to indicate if there is a trade related to this registration.

Fund Registration - Account Transfer Disbursement Information Field Definitions

Field	Description
Related Account Ind	Select Fund or Firm to indicate what type of account corresponds to the Related Account Number field.
Related Account Number	Type the number of the fund or firm account related to this registration. You can type up to 20 characters.
Accrual Amount	Type the dollar value amount in relation to accruals (mutual fund dividends).
Accrual Amount Indicator	Select whether there is an accrual amount to be added as per the Add Accrual Amount field.
Payables	Check this box to add payable information that is not covered on the Fund Registration page, if applicable.

Payable Field Definitions

Field definitions are listed in the order as they appear, grouped by categories. A red asterisk (*) indicates a required field.

Note

A conditional field appears as optional until you type or select information that makes it required. When a field becomes required, a red asterisk (*) appears.

The following table shows the field definitions available from the Payable Information section of the Payable page. This page identifies whether certain types of payouts are payable to the address on record, payable address through the Automated Clearing House participant, or cross fund reinvest.

Payable Information Field Definitions

Field	Description
Address Option	<p>Choose from the following options:</p> <ul style="list-style-type: none"> • Dividends • Systematic withdrawals • Automatic drafts • Dividend, automatic draft and systematic withdrawals • Dividend and automatic draft • Dividend and systematic withdrawals • Automatic draft and systematic withdrawals • Cross fund reinvest • Alternate payable
Payable ISIN	Type the payable international securities identification number (ISIN), which consists of a country code, a nine-character alphanumeric code that identifies the security, and an ISIN check digit (when the country code is not US).
Alternate Payable Ind	Choose an alternate payable indicator.
Alternate Payable Reason	Type the alternate payable reason.
Account Number Ind	<p>Choose the account number indicator from the following options:</p> <ul style="list-style-type: none"> • 1- Fund • 2 - Firm
Account Number	Type the payable account number.
Zip Code	Type the zip code of the owner of the insurance asset.
Address Line 1	Type address one. Specify whether dividend distributions, systematic withdrawals, or automatic drafts are payable to different addresses.
Address Line 2	Type address two. Specify whether dividend distributions, systematic withdrawals, or automatic drafts are payable to different addresses.
Address Line 3	Type address three. Specify whether dividend distributions, systematic withdrawals, or automatic drafts are payable to different addresses.

Payable Information Field Definitions

Field	Description
Address Line 4	Type address four. Specify whether dividend distributions, systematic withdrawals, or automatic drafts are payable to different addresses.
Address Line 5	Type address five. Specify whether dividend distributions, systematic withdrawals, or automatic drafts are payable to different addresses.
Address Line 6	Type address six. Specify whether dividend distributions, systematic withdrawals, or automatic drafts are payable to different addresses.
Payables	Check this box to add more payable information that is not covered on the Fund Registration page, if applicable.

POSITION TRANSFER FUND (PTF)

- [About the Position Transfer Fund \(PTF\)](#)
- [Entering Position Transfer Fund Transactions](#)
- [Managing Position Transfer Fund Transactions](#)
- [Position Transfer Fund Field Definitions](#)

About the Position Transfer Fund (PTF)

Position transfer fund (PTF) is a standardized, automated method of processing transfers of mutual fund assets between brokers, banks, and mutual fund companies. With this transfer type, an ACATS member firm, acting as either Receiver or Deliverer, initiates a transfer, where the mutual fund company is as the contra-side to the transfer. The mutual fund company responds to the transfer registration by either accepting or rejecting the registration instruction received through the ACATS Fund/SERV interface.

Optionally, the receiver can submit the fund registration (FR) record at the same time as the transfer input (TI) and asset transfer (AT) records. Otherwise, you can process the TI and AT records first, and then process the FR record in the following cycle.

The position transfer fund provides instructions to the fund company to re-register a mutual fund asset between the customer's account at the fund and the customer's account at the firm. The activity could be either from the fund to the firm or from the firm to the fund, depending on the deliverer and receiver. ACATS allows only one mutual fund asset per position transfer fund.

Entering Position Transfer Fund Transactions

To enter a position transfer fund transaction:

1. From the ACATS Home Page, click **Position Transfer Fund**.

ACATS Home Page: Position Transfer Fund

The Position Transfer Fund page appears.

Position Transfer Fund

2. From the Submitter drop-down select one of the following options, and then click **Submit**.
 - If you are the receiver of the position transfer fund, choose **Receiver**.
The Position Transfer Fund page for the receiver appears.

Position Transfer Fund - Receiver

To add the fund registration information at the time of entering the position transfer fund transaction:

Select the **Add Fund Registration** check box.

The Fund Registration Information and Account Transfer Disbursement sections, as shown in the following figure, appear. Alternatively, you can enter the fund registration information after processing the position transfer fund.

Add Fund Registration	
Fund Registration Information	
Customer Name	Account Rep. Number *
Acct. Rep. Name *	Branch *
Fund Customer Number *	Fund Account Ind 0 - New Account - domestic *
Social Code *	SSN/EIN Type *
	SSN EIN *
Zip Code	
Address Line 1 *	
Address Line 2	
Address Line 3	
Address Line 4	
Address Line 5	
Address Line 6	
MF Transaction Type *	Network Control Indicator *
NAV *	Margin *
Check Writing *	Country of Origin
Book/Physical Indicator *	Physical Inv. Delivery
Dividend Code *	MF Agent Processing Indicator
Payable Info Indicator *	Firm Membership Indicator Receiver Broker *
Fraction *	
Withholding Indicator *	
Qualified Intermediary Indicator	
Override NRA Percentage	Override Country Code
Certification Date (MM-DD-CCYY)	Expiration Date (MM-DD-CCYY)
Account Transfer Disbursement	
Accruals *	
Fraction/Cash-in-Lieu *	
Residuals *	
TPA Number	Executing Broker
NRA Tax Percent	State of Sale
Cost Basis Code	CDSC Payment Code
ACH	Memo
Bank Account Type	First Check Date
ABA Routing Number	Bank Account Number
PAC	SWP
Retirement Tax Code	SWP/PAC Effective Date (MM-DD-CCYY)
Payment Day	Monthly Payment Ind
Disbursement Option	Disbursement Amount
ROA/LOI Value	ROA/LOI Date (MM-DD-CCYY)
Related Trade	
Related Account Ind	Related Account Number
Accrual Amount	Accrual Amount Ind
<input checked="" type="checkbox"/> Payables	
Back Reset Submit	

Position Transfer Fund - Receiver

To enter payable information at the time of entering the position transfer fund transaction:

Select the **Payables** check box. See [Add Payable Addresses](#) and [Payable Field Definitions](#).

- If you are the deliverer of the position transfer fund, choose **Deliverer**.

The Position Transfer Fund page for the deliverer appears.

Position Transfer Fund - Deliverer

3. Type or select information in all required fields and any applicable optional fields. For more information about the fields, see [Position Transfer Fund Field Definitions](#).

Note

- All **required** fields appear in bold followed by a red asterisk (*).
 - **Conditional** fields appear as optional until you type or select information that makes it required. When a field becomes required, a red asterisk (*) appears next to it, but the field name does not become bold.
4. Verify that all of the required fields are complete. In certain situations, a conditional field becomes required when you select or type your entry.

5. Click one of the following options:
 - To complete your transaction, click **Submit**.
 - To clear all data, click **Reset**.
 - To return to the ACATS menu, click **Back**.

Notes

You can access other ACATS features from the menu or the Go To drop-down list.

Managing Position Transfer Fund Transactions

The ACATS Position Transfer Fund List screen displays PTF transactions that have been submitted, but not yet sent. From the List page, you can view, edit, or delete a transaction.

To view, edit, or delete PTF transactions:

1. From the ACATS Home Page, as shown in the following figure, click **Summary** from the Data Review / Send section.

The screenshot shows the DTCC Automated Customer Account Transfer Service (ACATS) Home Page. The page has a dark header with the DTCC logo and the service name. Below the header is a navigation bar with links for Home, ACATS Transaction Inputs, ACATS Inquiry, ACATS Output, ACATS Statistical Reports, Help, and Logout. The main content area is titled 'ACATS Home Page' and contains several sections: 'ACATS Transaction Inputs', 'ACATS Inquiry', 'ACATS Output', and 'ACATS Statistical Reports'. The 'Data Review / Send' section is highlighted, and the 'Summary' link is circled in red. The page also displays the date and time (Wed Aug 19 17:50:39 EDT 2015) and the user's login information (Logged on as: [redacted]).

ACATS Home Page: Summary

2. From the Summary page, similar to the one shown in the following figure, select **Search** for the Position

Transfer Fund transaction type.

DTCC Automated Customer Account Transfer Service

Home ACATS Transaction Inputs ACATS Inquiry ACATS Output ACATS Statistical Reports Help Logout

Fri Sep 04 10:43:25 EDT 2015
Logged on as:

ACATS Menu > Summary

Summary Go To: Transaction Inputs

Transaction	Search	Unsent Records
Fail Reversal	Search	List
Full Transfer	Search	List
Partial Transfer Deliverer	Search	List
Partial Transfer Receiver	Search	List
Position Transfer Fund	Search	List
Residual Credit	Search	List
Reclaim	Search	List
Transfer Adjustments	Search	List
Transfer Rejects	Search	List
Transfer Accelerates	Search	List
Assets	Search	List
Asset Adjustments	Search	List
Asset Deletes	Search	List
Fund Registration	Search	List
Mutual Fund Cleanup	Search	List
Insurance Registration	Search	List

contact Us Important Legal Information

Summary

3. Enter a search criteria and click **Search**.

Home ACATS Transaction Inputs ACATS Inquiry ACATS Output ACATS Statistical Reports Help Logout

Fri Jun 21 16:27:37 EDT 2019
Logged on as:

ACATS Menu > Search

Search Go To: Transaction Inputs

Position Transfer Fund

Back Search

Original Receiver

Original Deliverer

SSN

Account Type

Back Search

Search: Position Transfer Fund

4. Perform one of the following actions from the List page, shown in the following figure:

Select All	Item Number	Payables	Receiver	Deliverer	SSN	Account Type
<input type="checkbox"/>	0001	1	1234	5678	123456789	IR

List: Position Transfer Fund

- **To view or edit the position transfer fund transaction:**

- Click the **Item Number** link.
- View or update the information in the Position Transfer Fund. See [Position Transfer Fund Field Definitions](#) and [Position Transfer Fund Field Definitions](#).
- Click **Submit**.

- **To delete the transaction:**

Select the item, and then click **Delete**.

- **To view or edit the payables address:**

- Click the **Payables** link.
- Edit the payables information. See [Add Payable Addresses](#).
- Click **Submit**.

5. Click **Back** to return to the home page.

Position Transfer Fund Field Definitions

The field definitions depend on whether the submitter is a deliverer or receiver. After you choose one of these options from the Submitter field, the Transfer Information and Asset Information sections automatically display. If the submitter is a deliverer, the Mutual Fund Information section also displays.

Field definitions are listed in the order as they appear, grouped by categories. A red asterisk (*) indicates a required field.

Note

A conditional field appears as optional until you type or select information that makes it required. When a field becomes required, a red asterisk (*) appears.

The following table shows the field definitions available from the Transfer Information section of the Position Transfer Fund page.

Position Transfer Fund–Transfer Information Field Definitions

Field	Description
Submitter Number	View or select the four-digit number for the participant submitting the transfer. This field differs according to your user type: <ul style="list-style-type: none"> If you are logged in as a participant, your participant number appears in this field by default. If you are logged in as a service bureau, this field becomes a drop-down list that contains all participant numbers to which you have access.
Submitter	Choose Receiver or Deliverer.
Original Receiver	When the submitter is the receiver, this field is prepopulated with the value in the Submitter Number field. When the submitter is the deliverer, type the four-digit NSCC account number of the participant receiving the transfer.
Original Deliverer	When the submitter is the receiver, type the four-digit NSCC account number of the participant delivering the transfer. When the submitter is the deliverer, this field is prepopulated with the value in the Submitter Number field.
Customer Name	Type the customer's name. You can enter a maximum of 60 characters.
Receiver Customer Account Number	Type the receiver's customer account number. You can enter a maximum of 20 characters.
Deliverer Customer Account Number	Type the deliverer's account number for the customer. You can enter a maximum of 20 characters.
Primary SSN	Type the customer's Social Security number. Use the nine-digit numeric format without hyphens or spaces.
Secondary SSN	Type the customer's secondary Social Security number. Use the nine-digit numeric format without hyphens or spaces.
Account Type	Choose the account type from the drop-down list if you are the original receiver.
Receiver Correspondent	Type the four-digit receiver correspondent number if the receiving firm is acting on behalf of another party.
Comments	Type any additional notes or information about this fail reversal not already covered by the entry fields. Create line breaks by pressing ENTER; otherwise, your text appears on a single line.
Gift Donation Indicator	If the submitter is a receiver, you can select 0 - No, transfer is not a gift/donation. If the submitter is a deliverer, you can select: <ul style="list-style-type: none"> 0 - No, transfer is not a gift/donation 1 - Yes, transfer is a gift/donation

The following table shows the field definitions available from the Asset Information section of the Position Transfer Fund page.

Position Transfer Fund–Asset Information Field Definitions

Field	Description
Settling Location and Reason	Defaults to 10– FUND/SERV.
Option Category	Defaults to 00–Non Option.
Asset Category	Choose one of the following asset categories: <ul style="list-style-type: none"> • MFMM – Mutual Fund Money Market • MFNM – Mutual Fund non-Money Market
Cash/Margin/Short	Choose whether the position is: <ul style="list-style-type: none"> • C–Cash • M–Margin • S–Short <p>This field is not required if the Account Type field is one of the following types:</p> <ul style="list-style-type: none"> • 4K–401K • DR–Direct Rollover • EI–Educational IRA • IR–IRA • MS–Medical Savings Account • QP–Qualified Plan • RI–Roth IRA • SI–Simple IRA
Position Code	Choose L-Long Position from the drop-down list.
Currency Code	keep the default, USD, as the three-character ISO currency code for the asset.
Amount	Type the original amount of the asset. Enter up to 13 characters before the decimal point and up to four characters after the decimal point. For US currency, use only two places after the decimal point.
Quantity	Type the original quantity of the asset. You can enter up to 12 characters before the decimal point and up to 4 after. <p>Note: This field is required if a partial position and shares are requested.</p>

Position Transfer Fund–Asset Information Field Definitions

Field	Description
ISIN	Type the international security identification number (ISIN), which consists of a country code, a nine-character alphanumeric code that identifies the security, and an ISIN check digit (when the country code is not US).
Bearer Bond	Choose N - Not a bearer bond, which is the only value available for Position Transfer Fund.
When Issued	Choose N - Not When Issued from the drop-down list.
Full/Partial Ind.	If the submitter is a receiver, choose one of the following options: <ul style="list-style-type: none"> • F–Request Full Position • P–Request Partial Position
Quantity Request Type	If the submitter is a receiver, select Shares. Only required when Full/Partial Indicator is P (Partial).
Asset Description	Type a text description of the asset you are transferring. Create line breaks by pressing ENTER; otherwise, your text appears on a single line.
Comments	Type any additional notes or information about this asset not already covered by the entry fields. Create line breaks by pressing ENTER; otherwise, your text appears on a single line.
Add Fund Registration	If the submitter is a receiver, check this box to add fund registration information when entering the Position Transfer Fund transaction. For information about the fields available in the Fund Registration Information and Account Transfer Disbursement information, see Add Fund Registration for Receivers .

Mutual Fund Information for Deliverers

The following table shows the field definitions available from the Mutual Fund section of the Position Transfer Fund page.

Note

The Mutual Fund Information section only appears if the submitter is a **deliverer**.

Position Transfer Fund–Mutual Fund Information Field Definitions

Field	Description
Full/Partial Transfer	Choose the type of transfer, either 1–Full Transfer or 2–Partial Transfer. This indicator refers to the asset position and whether the entire position (full) or part of a position (partial) is being transferred.
Book/Physical Shares	Choose one of the following formats of the customer assets being transferred: <ul style="list-style-type: none"> • 0 - In and Out Book Shares. BIN Specified. • 1 - In and Out Book Shares. FIN Specified. • 2 - In: Book Shares, Out: Physical
Network Control	Choose how the account is handled in Networking or indicate that it is not networked.
Customer/Street	Choose one of the following options from the drop-down list: <ul style="list-style-type: none"> • 1–Customer Name to indicate that the assets are registered in the customer’s name • 2–Street Name to indicate that the assets are registered in the street name.
Dividend Code	Choose the dividend code from the drop-down list. Each item displays the dividend code number and manner (cash or reinvestment) in which to make the payment. For example, if the dividend payments are cash, capital gains is cash, and short-term capital gains is reinvestment, choose 2 - Cash Cash Reinvest.
Dividend Payee	Choose the dividend recipient type from the drop-down list.
Executing Broker	Type the four-digit code to identify the broker executing the delivery.
Fund Customer Account	Type the 20-character fund customer account number.
Share Aging Indicator Deliverer	Choose one of the following from the drop-down list: <ul style="list-style-type: none"> • 1 indicates that the delivering firm or fund company provides the share aging information in an automated way through the Networking Share Aging file. • 2 indicates that the delivering firm provides the share aging information outside of the system.
Firm Membership Indicator Deliverer	Select the type of account that is being delivered from the following options: <ul style="list-style-type: none"> • Broker • 01 - Trust
MF Agent Processing Indicator Deliverer	Choose one of the following from the drop-down list: <ul style="list-style-type: none"> • 0 - Indicates that the deliverer will not use and alternative Fund/SERV clearing number. • 1 - Indicates that the deliverer will use an alternate Fund/SERV clearing number.

Add Fund Registration for Receivers

Receivers can check the Add Fund Registration check box to add fund registration information when entering the position transfer fund transaction.

Note

When you select the Add Fund Registration check box, the Fund Registration Information and Account Transfer Disbursement sections appear. The Add Fund Registration check box only appears if the submitter is a **receiver**.

The following table shows the field definitions available from the Fund Registration Information section of the Position Transfer Fund page.

Position Transfer Fund–Fund Registration Information Field Definitions

Field	Description
Customer Name	Type the mutual fund customer name. Maximum length for this field is 20 characters. The default value is the customer name in the ACATS Transfer Input (TI) record.
Account Rep. Number	Type the mutual fund account representative's number. Maximum length for this field is nine digits.
Acct. Rep. Name	Type the mutual fund account representative's name. Maximum length for this field is 15 characters.
Branch	Type the branch code associated with the receiving firm. Maximum length for this field is nine characters.
Fund Customer Number	Type the number for the mutual fund customer. Maximum length for this field is 20 characters.
Fund Account Ind	Click a list item to indicate the account type associated with this fund.
Social Code	Click a list item to indicate the type of mutual fund you are re-registering.
SSN/EIN Type	Click a list item to indicate whether the number in the SSN/EIN Number field represents an SSN or an EIN.
SSN/EIN	Type either the Social Security number, the tax ID number associated with this fund or the investor EIN (Employee Identification Number), as specified in the SSN/EIN Type field.
Zip Code	Type the five-digit zip code and four-digit extension for the registrant's address.
Address Line 1 - Address Line 6	Type the full address for the customer. The first address line is required; use additional lines as needed. You can enter a maximum of 35 characters on each line.
MF Transaction Type	Click a list item to choose the type of mutual fund transaction you wish to re-register.
Network Control Indicator	Click a list item to indicate how the account is handled in networking or to indicate that it will not be networked.
NAV	Click a list item to indicate whether the fund has a net asset value.

Position Transfer Fund–Fund Registration Information Field Definitions

Field	Description
Margin	Indicate whether this is a margin account by clicking the appropriate list item.
Check Writing	Click a list item to indicate whether or not this fund has check writing privileges.
Country of Origin	Type the two-character country code for this fund's origin. If the value of the fund account indicator is 1 - New Account - foreign or 3 - Existing Account - foreign, this field is required. For a list of country codes, see the NSCC Fund/SERV guide.
Book/Physical Indicator	Choose the format of the customer assets being transferred.
Physical Inv. Delivery	Click a list item to indicate how you want physical securities delivered. This field is only required if you selected 2 - In: Book Shares, Out: Physical in the Book/Physical Shares field.
Dividend Code	Choose the dividend code from the drop-down list. Each item displays the dividend code number and manner (cash or reinvestment) in which to make the payment. For example, if the dividend payments are cash, capital gains is cash, and short-term capital gains is reinvestment, choose 2 - Cash Cash Reinvest.
MF Agent Processing Indicator	<ul style="list-style-type: none"> • Choose 0 to indicate that the deliverer will not use an alternate Fund/SERV clearing number. • Choose 1 to indicate that the deliverer will use an alternate Fund/SERV clearing number.
Payable Info Indicator	Click a list item to choose the location to which payments should be made.
Firm Membership Indicator Deliverer	Select the type of account that is being delivered from the following options: <ul style="list-style-type: none"> • Broker • 01 - Trust
Fraction	Choose from one of the following options to indicate whether fractional share amounts should be transferred or liquidated.: <ul style="list-style-type: none"> • 1-Transfer Fraction • 2-Liquidate Fraction
Withholding Indicator	Click a list item to choose the applicable withholding information for this fund.
Qualified Intermediary Indicator	Click a list item to choose W8 Qualified Intermediary information for this fund. This field is required if you selected C - Certified foreign intermediary account (W8-IMY form on file) in the Withholding Indicator field.
Override NRA Percentage	Type the W8 Override NRA Special Rate (the foreign tax rate). Type the percentage amount to three decimal places.
Override Country Code	Type the two-digit country code. For a list of country codes, see the NSCC Fund/SERV guide.

Position Transfer Fund–Fund Registration Information Field Definitions

Field	Description
Certification Date	Type the W8 Certification Date in MM-DD-CCYY format, including dashes. This field is required if you chose B, C, or D in the Withholding Indicator field.
Expiration Date	Type the W8 Expiration Date in MM-DD-CCYY format, including dashes. This field is required if you chose D or E in the Withholding Indicator field.

The following table shows the field definitions available from the Account Transfer Disbursement section of the Position Transfer Fund page.

Position Transfer Fund–Account Transfer Disbursement Field Definitions

Field	Description
Accruals	Advise funds what to do with the accrual bucket during the transfer period.
Fraction/Cash-in-Lieu	Select the method for handling fractional shares during the transfer period. Select either to accept fractional shares of a mutual fund or to liquidate the fractional shares and accept cash in lieu of the fractions.
Residuals	Directs funds what to do with residual credits that hit the account during the transfer period.
TPA Number	Enter the number of the third-party administrator.
Executing Broker	Type an identifying symbol/number for the executing broker.
NRA Tax Percent	Type the percentage of tax to be withheld based on a non-resident's country of origin.
State of Sale	Select the state in which the sale was executed. This is for taxation reasons.
Cost Basis Code	Select the cost basis method that the receiving firm wants the fund to use when handling liquidations. Note: Not all mutual funds offer this option.
CDSC Payment Code	Indicate if a systematic withdrawal or pre-authorized check payment should be processed gross or net of any deferred sales charge.
ACH	Indicate if an account utilizes the Automated Clearing House (ACH) for disbursement of funds.
Memo	Type up to 12 characters of additional information.
Bank Account Type	Select the applicable type of bank account to which this disbursement is payable - checking, savings, or other.
First Check Date	Type the date to issue the first check for SWP or PAC payments in CCYYMMDD format.
ABA Routing Number	Type the American Banking Association routing number used to direct monies to the customer's account.
Bank Account Number	Type the bank account number to be used for disbursement.

Position Transfer Fund–Account Transfer Disbursement Field Definitions

Field	Description
PAC	Select whether this fund will use pre-authorized checks. PAC allows drafts to be drawn against a shareholder's bank account for the purpose of purchasing fund shares on a regular basis.
SWP	Select whether the shareholder will participate in the Systematic Withdrawal Plan. The SWP allows a shareholder to automatically liquidate shares in the account according to an agreed-upon schedule and amount.
Retirement Tax Code	Select the appropriate code for reason of retirement related to this registration. This reason determines how monies disbursed from this fund will be taxed.
SWP/PAC Effective Date (MM-DD-CCYY)	Enter the date in MMDDCCYY format on which the Systematic Withdrawal Plan or Pre-authorized Checks withdrawal ability becomes effective.
Payment Day	Select the day of the month on which payments are to be made to the bank account specified on this registration. You can also select <ul style="list-style-type: none"> • L for the last day of the month. • N for normal.
Monthly Payment Ind	Type the monthly payment indicator. You can type up to 12 characters.
Disbursement Option	Select the actual disbursement method taken during the transfer period for the accrual bucket, residuals and cash-in-lieu resulting from fractional shares.
Disbursement Amount	Type the actual amount to be disbursed on a monthly basis, if applicable. You can type up to 12 characters.
ROA/LOI Value	Type the amount of the Rights of Accumulation or Letter of Intent. An ROA is a cumulative discount accorded by the fund when a customer's aggregate purchases of fund shares reach a certain level. A LOI is a promise by a mutual fund shareholder to invest a specified sum of money monthly for about a year. In return, the shareholder is entitled to lower sales charges.
ROA/LOI Date (MM-DD-CCYY)	Type the effective date of the Rights of Accumulation or Letter of Intent.
Related Trade	Select Yes or No to indicate if there is a trade related to this registration.
Related Account Ind	Select Fund or Firm to indicate what type of account corresponds to the Related Account Number field.
Related Account Number	Type the number of the fund or firm account related to this registration. You can type up to 20 characters.
Accrual Amount	Type the dollar value amount in relation to accruals (mutual fund dividends).

Position Transfer Fund–Account Transfer Disbursement Field Definitions

Field	Description
Accrual Amount Indicator	Select whether there is an accrual amount to be added as per the Add Accrual Amount field.
Payables	Check this box to add payable information that is not covered on the Fund Registration page, if applicable.

MANAGING INSURANCE REGISTRATIONS

An insurance registration (IR) record passes insurance asset-specific information about broker/dealer changes to ACATS. The insurance registration record can only be sent by the receiving broker-dealer for annuity assets with a Settling Location and Reason of 60–IPS. The receiver must submit the record before the end of the ACATS review period.

To create an insurance registration:

1. From the ACATS Home Page, click **Insurance Registration**.

ACATS Home Page: Insurance Registration

The Insurance Registration page appears.

DTCC
Automated Customer Account Transfer Service

Home ACATS Transaction Inputs ACATS Inquiry ACATS Output ACATS Statistical Reports
Help Logout

Mon Aug 31 16:08:42 EDT 2015
 Logged on as:

Insurance Registration

Go To: Transaction Inputs:

Back Reset Submit

Transfer Information

Transfer Type	<input type="text" value=""/> *		
Original Receiver	<input type="text" value=""/> *		
Original Deliverer	<input type="text" value=""/> *		
ACATS Control Number (CCYDDNNNNNN)	<input type="text" value=""/> *		
Asset Seq Number	<input type="text" value=""/> *		
ISIN	US	<input type="text" value=""/> *	<input type="text" value=""/> *
Insurance Transfer Type	<input type="text" value=""/> *	Contract Number	<input type="text" value=""/> *
Associated Firm ID	<input type="text" value=""/> *		

Owner Information

Owner Natural/Non-Natural Indicator			
<input type="text" value=""/>			
Owner First Name	<input type="text" value=""/>	Owner Middle Name	<input type="text" value=""/>
Owner Last Name	<input type="text" value=""/>	Owner Prefix	<input type="text" value=""/>
Owner Suffix	<input type="text" value=""/>		
Owner Non-Natural Name			
<input type="text" value=""/>			
Owner DOB (MM-DD-CCYY)	<input type="text" value=""/>	Owner ID	<input type="text" value=""/>
Owner ID Qualifier			
<input type="text" value=""/>			
Owner Address Line 1	<input type="text" value=""/>	Owner Address Line 2	<input type="text" value=""/>
Owner City	<input type="text" value=""/>	Owner State	<input type="text" value=""/>
Owner Country Code	<input type="text" value=""/>	Owner Zip Code	<input type="text" value=""/>
Owner Telephone Number			
<input type="text" value=""/>			
Owner E-Mail Address			
<input type="text" value=""/>			

Beneficiary Information

Multiple Beneficiary Indicator			
<input type="text" value=""/>			
Beneficiary Natural/Non-Natural Indicator			
<input type="text" value=""/>			
Beneficiary First Name	<input type="text" value=""/>	Beneficiary Middle Name	<input type="text" value=""/>
Beneficiary Last Name	<input type="text" value=""/>	Beneficiary Prefix	<input type="text" value=""/>
Beneficiary Suffix	<input type="text" value=""/>		
Beneficiary Non-Natural Name			
<input type="text" value=""/>			
Beneficiary DOB (MM-DD-CCYY)	<input type="text" value=""/>	Beneficiary ID	<input type="text" value=""/>
Beneficiary ID Qualifier			
<input type="text" value=""/>			
Beneficiary Address Line 1	<input type="text" value=""/>	Beneficiary Address Line 2	<input type="text" value=""/>
Beneficiary City	<input type="text" value=""/>	Beneficiary State	<input type="text" value=""/>
Beneficiary Country Code	<input type="text" value=""/>	Beneficiary Zip Code	<input type="text" value=""/>
Beneficiary Telephone Number			
<input type="text" value=""/>			
Beneficiary Relationship to Owner			
<input type="text" value=""/>			

Representatives Information

Team ID	<input type="text" value=""/>	All Representatives Included Indicator	<input type="text" value=""/> *
Primary Representative Tax ID	<input type="text" value=""/>	Primary Representative Tax ID Qualifier	<input type="text" value=""/>
Primary Representative DOB (MM-DD-CCYY)	<input type="text" value=""/>	Primary Representative ID	<input type="text" value=""/>
Primary Representative Allocation Percent	<input type="text" value=""/> (format: 9.99999999)		
Representative 2 Tax ID	<input type="text" value=""/>	Representative 2 Tax ID Qualifier	<input type="text" value=""/>
Representative 2 DOB (MM-DD-CCYY)	<input type="text" value=""/>	Representative 2 ID	<input type="text" value=""/>
Representative 2 Allocation Percent	<input type="text" value=""/> (format: 9.99999999)		
Representative 3 Tax ID	<input type="text" value=""/>	Representative 3 Tax ID Qualifier	<input type="text" value=""/>
Representative 3 DOB (MM-DD-CCYY)	<input type="text" value=""/>	Representative 3 ID	<input type="text" value=""/>
Representative 3 Allocation Percent	<input type="text" value=""/> (format: 9.99999999)		
Representative 4 Tax ID	<input type="text" value=""/>	Representative 4 Tax ID Qualifier	<input type="text" value=""/>
Representative 4 DOB (MM-DD-CCYY)	<input type="text" value=""/>	Representative 4 ID	<input type="text" value=""/>
Representative 4 Allocation Percent	<input type="text" value=""/> (format: 9.99999999)		

Fill my next input screen with this data

Back Reset Submit

Insurance Registration

Note

- All **required** fields appear in bold followed by a red asterisk (*).
 - **Conditional** fields appear as optional until you type or select information that makes it required. When a field becomes required, a red asterisk (*) appears next to it, but the field name does not become bold.
-

2. Type or select information in all required fields and any applicable optional fields. For more information about the fields, see the [Insurance Registration Field Definitions](#).
3. Verify that all of the required fields are complete. In certain situations, a conditional field becomes required when you select or type your entry.
4. Check the **Fill my next input page with this data** box to reject another transfer with similar information, if applicable.
5. Click one of the following options:
 - To complete your transaction, click **Submit**.
 - To clear all data, click **Reset**.
 - To return to the ACATS menu, click **Back**.

Notes

You can access other ACATS features from the menu or the Go To drop-down list.

Insurance Registration Field Definitions

Field definitions are listed in the order as they appear, grouped by categories. A red asterisk (*) indicates a required field.

Note

A conditional field appears as optional until you type or select information that makes it required. When a field becomes required, a red asterisk (*) appears.

The following table shows the field definitions available from the Transfer Information section of the Insurance Registration page.

Insurance Registration - Transfer Information Field Definitions

Field	Description
Transfer Type	Select the transfer type that is being registered.
Original Receiver	View or select the participant number of the original receiver. The original receiver is the party who originally receives the insurance asset.
Original Deliverer	Type the four-digit NSCC account number for the original deliverer assigned to the transfer.
ACATS Control Number (CCYYDDNNNNNNN)	Type the 14-digit number assigned to the transaction by ACATS. The ACATS control number <i>CCYYDDNNNNNNN</i> format breaks down as follows: <ul style="list-style-type: none"> • <i>CC</i>–Millennium and century of the transfer submission. • <i>YY</i>–Year of the transfer submission. • <i>DDD</i>–Julian date of the transfer submission. • <i>NNNNNNN</i>–System-assigned sequence number.
Asset Seq Number *	Type the six-digit asset sequence number that was generated by the ACATS system. This number is assigned to the asset when it is first added to ACATS.
ISIN	Type the international security identification number (ISIN), which consists of a country code, a nine-character alphanumeric code that identifies the security, and an ISIN check digit (when the country code is not US).
Insurance Transfer Type	Select either: <ul style="list-style-type: none"> • 01–Non-Custodial to Non-Custodial. • 02–Custodial to Custodial. • 03–Custodial to Non-Custodial. • 04–Non-Custodial to Custodial. <p>Non-custodial means the insurance asset is in the possession of an individual. Custodial means the insurance is in the custody of the broker/dealer. When an insurance asset changes hands through an account transfer, the custodial relationship on the insurance asset changes.</p>
Contract Number	Type the contract/policy number assigned by the insurance carrier.
Associated Firm ID	Type the four-digit associated firm ID.

The following table shows the field definitions available from the Owner Information section of the Insurance Registration page.

Insurance Registration - Owner Information Field Definitions

Field	Description
Owner Natural/Non-Natural Indicator	<p>Select:</p> <ul style="list-style-type: none"> • N-Natural • X-Non-Natural <p>Natural indicates an owner who is an individual. Non-natural indicates an owner that is an institution such as a company or trust.</p>
Owner First Name	Type the first name of the owner of the insurance asset.
Owner Middle Name	Type the middle name of the owner of the insurance asset.
Owner Last Name	Type the last name of the owner of the insurance asset.
Owner Prefix	Type the title, such as Mr. or Mrs., which precedes the name of the owner of the insurance asset.
Owner Suffix	Type the title, such as Esq. or Ph.D., which follows the name of the owner of the insurance asset.
Owner Non-Natural Name	Type the name of the non-natural owner. A non-natural owner is an institution such as a company or a trust.
Owner DOB (MMDDCCYY)	Type the date of birth of the owner of the insurance asset.
Owner ID	Type the identification number used by the owner of the insurance asset. Owners may use their social security number, non-resident alien number, federal taxpayer's identification number, or Canadian social insurance number as their ACATS/IPS Beneficiary identification number.
Owner ID Qualifier	Select the type of qualifying identification used by the owner of the insurance asset that corresponds to the owner's identification number.
Owner Address Line 1	Type the first line of the address of the owner of the insurance asset.
Owner Address Line 2	Type the second line of the address of the owner of the insurance asset.
Owner City	Type the city where the owner of the insurance asset lives.
Owner State	Type the state where the owner of the insurance asset lives.
Owner Country Code	Type the country code of the owner of the insurance asset.
Owner Zip Code	Type the zip code of the owner of the insurance asset.
Owner Telephone Number	Type the telephone number of the owner of the insurance asset.
Owner E-mail Address	Type the e-mail address of the owner of the insurance asset.

The following table shows the field definitions available from the Beneficiary Information section of the Insurance Registration page.

Insurance Registration - Beneficiary Information Field Definitions

Field	Description
Multiple Beneficiary Indicator	Select this check box to indicate whether or not there are multiple beneficiaries. Choices are: <ul style="list-style-type: none"> • Y - Multiple (when there is more than one beneficiary) • N - Non-Multiple (when there is a single beneficiary)
Beneficiary Natural/Non-Natural Indicator	Select: <ul style="list-style-type: none"> • N-Natural • X-Non-Natural <p>Natural indicates a beneficiary who is an individual. Non-natural indicates a beneficiary that is an institution such as a company or trust.</p>
Beneficiary First Name	Type the first name of the beneficiary of the insurance asset.
Beneficiary Middle Name	Type the middle name of the beneficiary of the insurance asset.
Beneficiary Last Name	Type the last name of the beneficiary of the insurance asset.
Beneficiary Prefix	Type the title, such as Mr. or Mrs., which precedes the beneficiary of the insurance asset.
Beneficiary Suffix	Type the title, such as Esq. or Ph.D., which follows the beneficiary of the insurance asset.
Beneficiary Non-Natural Name	Type the name of the non-natural beneficiary.
Beneficiary DOB (MMDDCCYY)	Type the date of birth of the beneficiary of the insurance asset.
Beneficiary ID	Type the identification number used by the beneficiary of the insurance asset. Beneficiaries may use their social security number, non-resident alien number, federal taxpayer's identification number, or Canadian social insurance number as their ACATS/IPS Beneficiary identification number.
Beneficiary ID Qualifier	Select the type of identification used by the beneficiary of the insurance asset that corresponds to the beneficiary's identification number.
Beneficiary Address Line 1	Type the first line of the address of the beneficiary of the insurance asset.

Insurance Registration - Beneficiary Information Field Definitions

Field	Description
Beneficiary Address Line 2	Type the second line of the address of the beneficiary of the insurance asset.
Beneficiary City	Type the city where the beneficiary of the insurance asset lives.
Beneficiary State	Type the state where the beneficiary of the insurance asset lives.
Beneficiary Country Code	Type the country code of the beneficiary of the insurance asset.
Beneficiary Zip Code	Type the zip code of the beneficiary of the insurance asset.
Beneficiary Relationship to Owner	Select an appropriate beneficiary relationship from the 69 choices available.
Beneficiary Telephone Number	Type the telephone number of the beneficiary of the insurance asset.

The following table shows the field definitions available from the Representatives Information section of the Insurance Registration page.

Insurance Registration - Representatives Information Field Definitions

Field	Description
Team ID	Type the team identification number. The team identification number is assigned by the insurance carrier to the team of representatives that represent the insurance asset.
All Representatives Included Indicator	<p>Select:</p> <ul style="list-style-type: none"> • Y - All representatives included. • N - No representatives included. <p>Representatives are individuals that have been assigned by the insurance carrier to represent the insurance asset. Typically, there is one representative for the insurance asset but there can be as many as 99 representatives.</p>
Primary Representative Tax ID	Type the identification number used by the primary representative of the insurance asset. Beneficiaries may use their social security number, non-resident alien number, federal taxpayer's identification number, or Canadian social insurance number as their ACATS/IPS Beneficiary identification number.
Primary Representative Tax ID Qualifier	Select the type of identification used by the primary representative of the insurance asset that corresponds to the primary representative's identification number.

Insurance Registration - Representatives Information Field Definitions

Field	Description
Primary Representative DOB (MMDDCCYY)	Type the date of birth of the primary representative of the insurance asset.
Primary Representative ID	Type the identification number of the primary representative assigned by the insurance carrier.
Primary Representative Allocation Percent (format 9.99999999)	Type the percentage of the insurance asset allocated to the primary representative. This field is required when the All Representatives Included field has been set to Y - All representatives included.
Representative 2 Tax ID	Type the tax identification number used by representative 2. Representatives of the insurance asset may use their social security number, non-resident alien number, federal taxpayer's identification number, or Canadian social insurance number as their tax identification number.
Representative 2 Tax ID Qualifier	Select the type of identification used by representative 2 that corresponds to Representative 2's identification number.
Representative 2 DOB (MMDDCCYY)	Type Representative 2's date of birth.
Representative 2 ID	Type the identification number of Representative 2 assigned by the insurance carrier.
Representative 2 Allocation Percent (format 9.99999999)	Type the percentage of the insurance asset allocated to Representative 2. This field is required when the All Representatives Included field has been set to Y - All representatives included.
Representative 3 Tax ID	Type the tax identification number used by Representative 3. Representatives of the insurance asset may use their social security number, non-resident alien number, federal taxpayer's identification number, or Canadian social insurance number as their ACATS/IPS Beneficiary identification number.
Representative 3 Tax ID Qualifier	Select the type of identification Representative 3 that corresponds to Representative 3's identification number.
Representative 3 DOB (MMDDCCYY)	Type Representative 3's date of birth.
Representative 3 ID	Type the identification number of Representative 3 assigned by the insurance carrier.

Insurance Registration - Representatives Information Field Definitions

Field	Description
Representative 3 Allocation Percent (format 9.99999999)	Type the percentage of the insurance asset allocated to Representative 3. This field is required when the All Representatives Included field has been set to Y - All representatives included.
Representative 4 Tax ID	Type the identification number used by the Representative 4. Representatives may use their social security number, non-resident alien number, federal taxpayer's identification number, or Canadian social insurance number as their ACATS/IPS Beneficiary identification number.
Representative 4 Tax ID Qualifier	Select the type of identification used by Representative 4 that corresponds to Representative 4's identification number.
Representative 4 DOB (MMDDCCYY)	Type Representative 4's date of birth.
Representative 4 ID	Type the identification number of Representative 4 assigned by the insurance carrier.
Representative 4 Allocation Percent (format 9.99999999)	Type the percentage of the insurance asset allocated to Representative 4. This field is required when the All Representatives Included field has been set to Y - All representatives included.

MANAGING BATCHES

- [Working With Batches](#)
- [About the Summary Page](#)
- [Searching for Transactions](#)
- [Managing Transactions](#)
- [About the Send Page](#)
- [Sending Transactions](#)
- [Deleting Send Transactions](#)
- [About the Sent Batches Page](#)

Working With Batches

When submitting transactions in ACATS, you are creating pending transactions. You can submit these pending transactions as a single batch.

The following figure shows the options available in the ACATS menu. The Data Review/Send section of the ACATS Home Page provides you with the ability to

- View batches before you send them. Click **Summary** to view a list of all ACATS transactions by transfer type. For more information, see [About the Summary Page](#).
- Send batches. Click **Send** to view a list of transactions available for submission to ACATS. For more information, see [About the Send Page](#).
- Review sent batches. Click **Sent Batches** to view a list of the batches that you have sent to ACATS. For more information, see [About the Sent Batches Page](#).

The screenshot displays the ACATS Home Page interface. At the top, the DTCC logo and 'Automated Customer Account Transfer Service' are visible. Below this is a navigation bar with links for Home, ACATS Transaction Inputs, ACATS Inquiry, ACATS Output, ACATS Statistical Reports, Help, and Logout. The main content area is titled 'ACATS Home Page' and contains several menu sections: 'ACATS Transaction Inputs', 'ACATS Inquiry', 'ACATS Output', and 'ACATS Statistical Reports'. A 'Data Review / Send' section is highlighted with a red box, containing links for 'Summary', 'Send', and 'Sent Batches'. The page also shows the date and time (Wed Aug 19 17:50:39 EDT 2015) and the user's login status (Logged on as: [redacted]).

ACATS Home Page: Data Review/Send

About the Summary Page

Use the Summary page to view a list of all entries within a transaction category that have not been sent. The information is broken down by transaction type. From the Summary page, you can:

- Search for a particular transaction.
- View a list of all transactions for a particular type.
- Edit any of the available transactions.
- Delete any of the available transactions.

Searching for Transactions

You can search for a specific transaction that you have entered into the ACATS Web Portal, but have not yet sent to ACATS.

To search for a transaction:

1. From the ACATS Home Page, click **Summary** from the Data Review / Send section.

The screenshot shows the ACATS Home Page interface. At the top, there is a header with the DTCC logo and the text 'Automated Customer Account Transfer Service'. Below the header is a navigation bar with links for 'Home', 'ACATS Transaction Inputs', 'ACATS Inquiry', 'ACATS Output', 'ACATS Statistical Reports', 'Help', and 'Logout'. The main content area is titled 'ACATS Home Page' and contains several sections: 'ACATS Transaction Inputs', 'ACATS Inquiry', 'ACATS Output', and 'ACATS Statistical Reports'. The 'Data Review / Send' section is highlighted, and the 'Summary' link is selected and highlighted with a red box. The page footer includes the DTCC logo, contact information, and a date stamp: 'Wed Aug 19 17:50:39 EDT 2015'.

ACATS Home Page: Summary

The Summary page appears.

DTCC Automated Customer Account Transfer Service

Home ACATS Transaction Inputs ACATS Inquiry ACATS Output ACATS Statistical Reports Help Logout

Fri Sep 04 10:43:25 EDT 2015
Logged on as:

ACATS Menu > Summary

Summary Go To: Transaction Inputs

Transaction	Search	Unsent Records
Fail Reversal	Search	List
Full Transfer	Search	List
Partial Transfer Deliverer	Search	List
Partial Transfer Receiver	Search	List
Position Transfer Fund	Search	List
Residual Credit	Search	List
Reclaim	Search	List
Transfer Adjustments	Search	List
Transfer Rejects	Search	List
Transfer Accelerates	Search	List
Assets	Search	List
Asset Adjustments	Search	List
Asset Deletes	Search	List
Fund Registration	Search	List
Mutual Fund Cleanup	Search	List
Insurance Registration	Search	List

Contact Us Important Legal Information

Send

2. From the Summary page,
 - Click **Search** next to the transaction type that you want to view. Search criteria vary for each transaction type.
 - a. Enter your search criteria as applicable.

Click here to view an example of the Search screen for a fail

reversal transaction.

ACATS Menu > Search

Search

Go To: Transaction Inputs

Fail Reversal

Back Search

Original Receiver

Original Deliverer

SSN

Account Type

Back Search

Contact Us Important Legal Information

Search - Fail Reversal

- b. Click **Search**. The List page appears.
- Click **List** next to the transaction type that you want to view a list of unsent transactions for a particular type. The List page appears.

Click here to view an example of the List page for Transfer Accelerates.

Home ACATS Transaction Inputs ACATS Inquiry ACATS Output ACATS Statistical Reports Help Logout

Fri Sep 04 11:10:47 EDT 2015
Logged on as: t

ACATS Menu > List

List

Go To: Transaction Inputs

Transfer Accelerates

Back Delete

Select All	Item Number	Receiver	Deliverer	TIF
<input type="checkbox"/>	0001	0123	0122	2000000000000000

Back Delete

List: Transfer Accelerates

3. View, edit, or delete the list items for the selected transaction. For more information, see [Managing Transactions](#).

Managing Transactions

From the List page, you can view, edit, or delete a transaction.

Fri Sep 04 11:25:18 EDT 2015
Logged on as: [redacted]

ACATS Menu > List

List Go To: Transaction Inputs: ▼

Transfer Adjustments

<input type="checkbox"/> Select All	Item Number	Receiver	Deliverer	TIF
<input type="checkbox"/>	0001	0123	0122	2000000000000000
<input type="checkbox"/>	0002	0123	0122	2000000000000000

Back Delete

List: Partial Transfer Deliverer

To view or edit a transaction:

1. From the List page, click the link for the transaction's item number.
2. Edit the transaction, if necessary.
3. Click **Submit**.

To delete transactions:

1. From the List page, click the check box for each of the transaction that you want to delete. To delete all of the transactions, click **Select All**.
2. Click **Delete**.

ACATS removes all of the files that you have selected.

About the Send Page

Use the Send page to manage and transmit transaction that you are sending to the ACATS DTCC Web Portal. Send these pending transactions in batches anytime during the day, as often as required.

Verify that you want to send all of the items listed in each of the selected products. You do not have to send all of the products in a single batch; however, all of the items within a product type are included in the batch, unless you delete individual entries. For example, if there are 2 records in the Full Transfer product, both records are transmitted when you submit this product type.

From the Send page, you can:

- Send an entire transaction type batch.
- View a list of all unsent transactions by type for that day.
- Edit any unsent transaction.
- Delete any unsent transaction.
- Send an empty batch for a particular product.

Sending Transactions

When you enter transactions into the ACATS DTCC Web Portal, you are creating pending transactions. You can send your pending transactions as a single batch.

To send a transaction:

1. From the ACATS Home Page, as shown in the following figure, click **Send** from the Data Review / Send section.

The screenshot shows the ACATS Home Page interface. At the top, there is a header for 'DTCC Automated Customer Account Transfer Service'. Below this is a navigation bar with links for 'Home', 'ACATS Transaction Inputs', 'ACATS Inquiry', 'ACATS Output', 'ACATS Statistical Reports', 'Help', and 'Logout'. The main content area is titled 'ACATS Home Page' and contains two columns of menu items. The 'Data Review / Send' section is highlighted, and the 'Send' option is selected and highlighted with a red box.

ACATS Transaction Inputs	ACATS Inquiry
Fail Reversal	Transaction History
Full Transfer	Transfer Position
Mutual Fund Cleanup	Transfer Settlement
Partial Transfer Deliverer	Participant Master Inquiry
Partial Transfer Receiver	Asset Master Inquiry
Position Transfer Fund	ACATS Output
Residual Credit	Reports
Reclaim	Data Files
Adjust Transfer	Statistical Reports -NEW
Reject Transfer	ACATS Statistical Reports
Accelerate a Transfer	Create Reports -NEW
Add an Asset	
Adjust an Asset	
Delete an Asset	
Fund Registration	
Insurance Registration	
Data Review / Send	
Summary	
Send	
Sent Batches	

The Send page, shown in the following figure, appears.

DTCC Automated Customer Account Transfer Service

Home | ACATS Transaction Inputs | ACATS Inquiry | ACATS Output | ACATS Statistical Reports | Help | Logout

Fri Aug 28 15:56:19 EDT 2015
Logged on as:

ACATS Menu > Send

Send

Go To: Transaction Inputs

Back Submit

Select	Product	Record Count
<input type="checkbox"/>	Fail Reversal	0
<input type="checkbox"/>	Full Transfer	1
<input type="checkbox"/>	Partial Transfer Deliverer	0
<input type="checkbox"/>	Partial Transfer Receiver	0
<input type="checkbox"/>	Position Transfer Fund	0
<input type="checkbox"/>	Residual Credit	0
<input type="checkbox"/>	Reclaim	0
<input type="checkbox"/>	Transfer Adjustments	0
<input type="checkbox"/>	Transfer Rejects	0
<input type="checkbox"/>	Transfer Accelerates	1
<input type="checkbox"/>	Assets	0
<input type="checkbox"/>	Asset Adjustments	0
<input type="checkbox"/>	Asset Deletes	0
<input type="checkbox"/>	Fund Registration	0
<input type="checkbox"/>	Mutual Fund Cleanup	0
<input type="checkbox"/>	Insurance Registration	0

Back Submit

2. For each product that you want to send, view the product list by clicking the link in the Product column. **Click here to view an example of the transactions available in the Full Transfer product.**

DTCC Automated Customer Account Transfer Service

Home | ACATS Transaction Inputs | ACATS Inquiry | ACATS Output | ACATS Statistical Reports | Help | Logout

Fri Aug 28 16:25:45 EDT 2015
Logged on as:

ACATS Menu > List

List

Go To: Transaction Inputs

Back Delete

Full Transfer

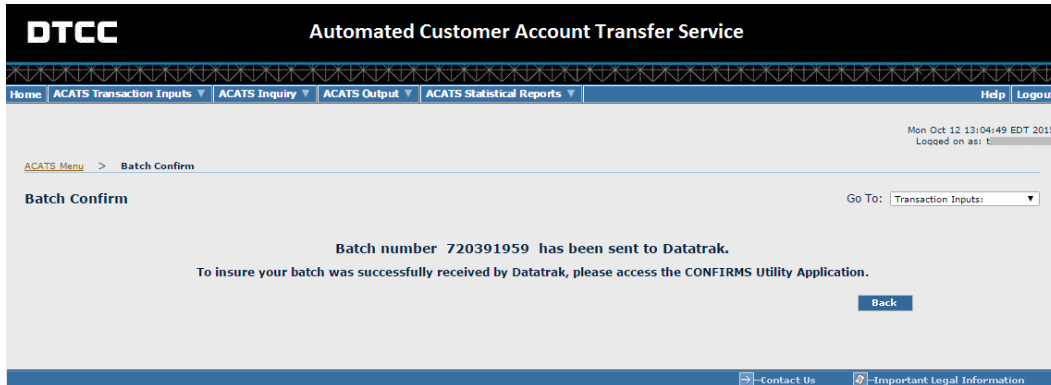
Select	Item Number	Receiver	Deliverer	SSN	Account Type
<input type="checkbox"/>	0001	0123	0122		4K

Back Delete

Contact Us | Important Legal Information

3. To edit the transfer information:
- Click the Item Number link from the List page.
 - Update the fields.
 - Click **Submit**.
4. From the Send page, click the box or boxes next to the product that you would like to send.

5. Verify that you want to send all of the items listed in each of the selected products.
To send all transactions that appear in this list, click **Select All**.
6. Click **Submit**.
7. Ensure that you receive the message that informs you that the batch was sent to DataTrak.
Click here to view a sample message.



Batch Confirm message

8. Record the batch number. Next, use the Confirms utility to verify that the batch was successfully sent to DTCC.
For more information, see [Verifying Sent Batches Using the Confirms Utility](#).

Deleting Send Transactions

To delete a transaction in the Send list:

1. From the ACATS Home Page, click **Send**.

The screenshot shows the ACATS Home Page with the following navigation menu: Home, ACATS Transaction Inputs, ACATS Inquiry, ACATS Output, ACATS Statistical Reports, Help, Logout. The page title is "Automated Customer Account Transfer Service". The date and time are "Wed Aug 19 17:50:39 EDT 2015" and the user is logged on as [redacted].

The "ACATS Transaction Inputs" menu includes the following items:

- Fail Reversal
- Full Transfer
- Mutual Fund Cleanup
- Partial Transfer Deliverer
- Partial Transfer Receiver
- Position Transfer Fund
- Residual Credit
- Reclaim
- Adjust Transfer
- Reject Transfer
- Accelerate a Transfer
- Add an Asset
- Adjust an Asset
- Delete an Asset
- Fund Registration
- Insurance Registration
- Data Review / Send
- Summary
- Send** (highlighted with a red box)
- Sent Batches

The "ACATS Inquiry" menu includes:

- Transaction History
- Transfer Position
- Transfer Settlement
- Participant Master Inquiry
- Asset Master Inquiry

The "ACATS Output" menu includes:

- Reports
- Data Files
- Statistical Reports **-NEW**

The "ACATS Statistical Reports" menu includes:

- Create Reports **-NEW**

ACATS Home Page: Send

The Send page appears.

The screenshot shows the "Send" page with the following navigation menu: Home, ACATS Transaction Inputs, ACATS Inquiry, ACATS Output, ACATS Statistical Reports, Help, Logout. The page title is "Automated Customer Account Transfer Service". The date and time are "Fri Aug 28 15:56:19 EDT 2015" and the user is logged on as [redacted].

The page shows the "Send" menu item selected. The "Go To:" dropdown is set to "Transaction Inputs". There are "Back" and "Submit" buttons.

Select	Product	Record Count
<input type="checkbox"/>	All	
<input type="checkbox"/>	Fail Reversal	0
<input type="checkbox"/>	Full Transfer	1
<input type="checkbox"/>	Partial Transfer Deliverer	0
<input type="checkbox"/>	Partial Transfer Receiver	0
<input type="checkbox"/>	Position Transfer Fund	0
<input type="checkbox"/>	Residual Credit	0
<input type="checkbox"/>	Reclaim	0
<input type="checkbox"/>	Transfer Adjustments	0
<input type="checkbox"/>	Transfer Rejects	0
<input type="checkbox"/>	Transfer Accelerates	1
<input type="checkbox"/>	Assets	0
<input type="checkbox"/>	Asset Adjustments	0
<input type="checkbox"/>	Asset Deletes	0
<input type="checkbox"/>	Fund Registration	0
<input type="checkbox"/>	Mutual Fund Cleanup	0
<input type="checkbox"/>	Insurance Registration	0

There are "Back" and "Submit" buttons at the bottom right of the table.

Send

2. Click the link in the Product column that contains the transaction that you want to delete.

- From the List page, click the box or boxes next to the Item number column for the items that you want to delete.

The screenshot displays the ACATS web interface. At the top, the DTCC logo and 'Automated Customer Account Transfer Service' are visible. A navigation bar includes links for Home, ACATS Transaction Inputs, ACATS Inquiry, ACATS Output, ACATS Statistical Reports, Help, and Logout. The page title is 'List' under the 'ACATS Menu'. A 'Go To' dropdown menu is set to 'Transaction Inputs'. Below this, the 'Full Transfer' section contains a table with the following data:

Select All	Item Number	Receiver	Deliverer	SSN	Account Type	Back	Delete
<input type="checkbox"/>	0001	0123	0122		4K	Back	Delete

At the bottom of the page, there are links for 'Contact Us' and 'Important Legal Information'.

Send List

To view the details of the item before deleting it, click the Item Number link.

- Click **Delete**.
- To return to the product list page, click **Back**.

About the Sent Batches Page

From the Sent Batches page, you can view the transactions that have already been sent to the ACATS DTCC Web Portal for processing. You can view the date and time the batch was sent and the identification number assigned to the batch.

Records remain in the system for **three** days. After three days, the records are purged from the system. You can resend batches that have failed to transmit correctly. You cannot edit these batches; they are resent exactly as the batch exists on the view list.

Viewing and Resending a Sent Batch

You can use the Sent Batches function to view the transactions that you have sent to ACATS.

Notes

You can access other ACATS features from the menu or the Go To drop-down list.

To view a sent batch:

1. From the ACATS menu, click **Sent Batches** from the Data Review / Send section.

The screenshot shows the DTCC ACATS Home Page. The navigation bar includes 'Home', 'ACATS Transaction Inputs', 'ACATS Inquiry', 'ACATS Output', and 'ACATS Statistical Reports'. The 'Data Review / Send' section is expanded, showing a list of options: 'Summary', 'Send', and 'Sent Batches'. The 'Sent Batches' option is highlighted with a red box. Other sections include 'ACATS Transaction Inputs', 'ACATS Inquiry', 'ACATS Output', and 'ACATS Statistical Reports'.

ACATS menu

2. From the Sent Batch screen, you can view or resend a batch. To view a batch, click the **Batch Number** link, as highlighted in the following figure:

The screenshot shows the DTCC ACATS Sent Batches screen. The page displays a table of sent batches with columns for Date, Time, Batch Number, and Re-Send. The 'Batch Number' column is highlighted with a red box. The table shows three batches: 2015-09-08, 2015-10-05, and 2015-10-05. The 'Batch Number' for the second batch, 715391850, is highlighted with a red box.

Date	Time	Batch Number	Re-Send
2015-09-08	12:07	715391293	<input checked="" type="checkbox"/>
2015-10-05	16:07	715391850	<input type="checkbox"/>
2015-10-05	16:09	715391851	<input type="checkbox"/>

Sent Batches

A detailed batch list appears that enables you to view the sent batches by transaction type.

Home ACATS Transaction Inputs ACATS Inquiry ACATS Output ACATS Statistical Reports Help Logout

Fri Jun 07 11:09:46 EDT 2019
Logged on as: tfinn2

ACATS Menu > Sent Batches

Sent Batches Go To: Transaction Inputs

Sent Batch 668843980 Detail [Back](#)

Transaction	Count
Transfer Adjustments	1
Position Transfer Fund	1
Asset Adjustments	1
Insurance Registration	1
Reclaim	1
Residual Credit	1
Transfer Rejects	1
Partial Transfer Deliverer	1
Partial Transfer Receiver	1
Mutual Fund Cleanup	1
Full Transfer	1
Transfer Accelerates	1
Fund Registration	1
Fail Reversal	1
Assets	1
Asset Deletes	1

[Back](#)

Sent Batches Details

- After selecting the transaction, you can select the **Item Number** link to view the transaction details. A detailed batch list appears that enables you to view the sent batches by transaction type.

Home ACATS Transaction Inputs ACATS Inquiry ACATS Output ACATS Statistical Reports Help Logout

Thu Jun 20 14:27:38 EDT 2019
Logged on as: tfinn2

ACATS Menu > List

List Go To: Transaction Inputs

Assets [Back](#)

Select	Item Number	Receiver	Deliverer	TIF	ISIN	Settling Location
<input type="checkbox"/>	0001	0161	0141	20191270000007	US0231351067	00
<input type="checkbox"/>	0002	0161	0141	20191270000004	US0231351067	00
<input type="checkbox"/>	0003	0161	0141	20191270000003	US0231351067	00
<input type="checkbox"/>	0004	0161	0141	20191270000001	US0231351067	00

[Back](#)

[Contact Us](#) [Important Legal Information](#)

Sent Batches Details

- After viewing the details, click Back to return to the Sent Batches page.

To resend a batch:

1. From the Sent Batches page, select the batch number from the Re-send column for each batch.
2. Click **Re-send** Re-send.
A message appears asking you to verify resending the batches.
3. Click **OK** to resend the batches.
A message appears with the batch numbers that were resent.
4. Click **Back**.

MANAGING TRANSACTIONS, PARTICIPANTS, AND ASSETS

- [Searching ACATS Transactions, Participants, and Assets](#)
- [Accessing the Transaction History](#)
- [Accessing the Transfer Position](#)
- [Searching for Settlement Information](#)
- [Transfer Settlement Field Definitions](#)
- [Settlement Asset List Field Definitions](#)
- [Settlement Asset Detail Field Definitions](#)
- [Accessing Participant Information](#)
- [Accessing Asset Information](#)

Searching ACATS Transactions, Participants, and Assets

The ACATS Inquiry section of the ACATS Home Page enables you to obtain details about the status, positions, and settlement information for a transaction. ACATS historical data is available for research from the time the transfer is initiated until 25 business days after it has reached final status (settled, purged, or system rejected).

Use the ACATS Inquiry links to:

- View the details and status of a transaction by clicking [Transaction History](#).
- View a transaction's current position in the ACATS transfer process by clicking [Transfer Position](#).
- Determine where an item is staged to settle by clicking [Transfer Settlement](#).
- Research the participant information to determine whether a participant is set up as a broker, bank, or mutual fund, view their eligible settling locations and fund registration instructions by clicking [Participant Master Inquiry](#).
- View the price of a security, settling location eligibility, and security description by clicking [Asset Master Inquiry](#).

Accessing the Transaction History

Viewing the Transaction History

- [Transfer Transaction Detail Field Definitions](#)
- [Mutual Fund Registration Transaction Detail Field Definitions](#)
- [Insurance Registration Transaction Detail Field Definitions](#)

The Transaction History page displays the ACATS control number, receiver number, deliverer number, transfer type, current transfer status, and days in status.

To access the transaction history:

1. From the ACATS Home Page, click **Transaction History**. You can also choose **ACATS Inquiry > Transaction History** from the drop-down list displayed at the top of the page.

DTCC Automated Customer Account Transfer Service

Home | ACATS Transaction Inputs | ACATS Inquiry | ACATS Output | ACATS Statistical Reports | Help | Logout

Wed Aug 19 17:50:39 EDT 2015
Logged on as: _____

ACATS Home Page

ACATS Transaction Inputs

- Fail Reversal
- Full Transfer
- Mutual Fund Cleanup
- Partial Transfer Deliverer
- Partial Transfer Receiver
- Position Transfer Fund
- Residual Credit
- Reclaim
- Adjust Transfer
- Reject Transfer
- Accelerate a Transfer
- Add an Asset
- Adjust an Asset
- Delete an Asset
- Fund Registration
- Insurance Registration
- Data Review / Send
 - Summary
 - Send
 - Sent Batches

ACATS Inquiry

- Transaction History
- Transfer Position
- Transfer Settlement
- Participant Master Inquiry
- Asset Master Inquiry

ACATS Output

- Reports
- Data Files
- Statistical Reports - NEW

ACATS Statistical Reports

- Create Reports - NEW

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Transaction History

- From the Transaction History page, complete one of the following fields:
 - ACATS Control Number
 - Deliverer Number or Receiver Number

If you enter the ACATS control number, do not enter the deliverer number or receiver number.

You can also filter the search results by entering more search criteria in the Advanced Search fields. If you enter the ACATS control number, you can filter the results using the Security, Process Date, Cycle Number, and System Action fields. If you enter a deliverer number or receiver number, you can filter the results using any of the fields in the Advanced Search section. For example, you can enter the receiver number, receiver account number, and process date to narrow the search results. The Security field allows you to filter the search by CUSIP, ISIN, or option symbol.

DTCC Automated Customer Account Transfer Service

Home | ACATS Transaction Inputs | ACATS Inquiry | ACATS Output | ACATS Statistical Reports | Help | Logout

Thu Aug 27 14:42:12 EDT 2015
Logged on as:

ACATS Menu > Transaction History

Transaction History

Advanced Search

Deliverer Number: Receiver Number: Security:

Deliverer Account Number: Receiver Account Number: Transfer Type:

Process Date (MM/DD/CCYY): Cycle Number: System Action:

Quick Search

ACATS Control Number:

[Contact Us](#) [Important Legal Information](#)

Transaction History page

- Click **Search**. ACATS returns the search results at the bottom of the Transaction History page. ACATS automatically sorts the data by the ACATS Control Number column. Select another column header to sort the search results by that column in ascending order. Click the column again to sort the information in descending order.

The search results show 100 rows per page with a maximum limit of 5000 rows. If your search results exceed 5000 rows, enter additional search criteria to return fewer results. To reset the page and start the search again, click **Reset**.

DTCC Automated Customer Account Transfer Service

Home | ACATS Transaction Inputs | ACATS Inquiry | ACATS Output | ACATS Statistical Reports | Help | Logout

Thu Sep 03 11:20:50 EDT 2015
Logged on as:

ACATS Menu > Transaction History

Transaction History

Advanced Search

Deliverer Number: Receiver Number: Security:

Deliverer Account Number: Receiver Account Number: Transfer Type:

Process Date (MM/DD/CCYY): Cycle Number: System Action:

Quick Search

ACATS Control Number:

Page: 1 Records Displayed: 1 to 22 of 22

Action	ACATS Control Number	Receiver	Deliverer	Transfer Type	Current Transfer Status	Days in Status
Select Action		0123	0122	FUL	200	1
Select Action		0123	0122	FUL	200	1
Select Action		0123	0122	FUL	200	1
Select Action		0123	0122	PTD	310	1
Select Action		0123	0122	RCR	310	1
Select Action		0123	0122	PTD	310	1
Select Action		0123	0122	RCR	310	1
Select Action		0123	0122	PTR	310	1
Select Action		0123	0122	PTR	310	1
Select Action		0123	0122	FUL	220	1
Select Action		0123	0122	FUL	200	1
Select Action		0123	0122	FUL	200	1
Select Action		0123	0122	FUL	200	1
Select Action		0123	0122	PTD	310	1
Select Action		0123	0122	PTD	310	1
Select Action		0123	0122	PTD	310	1
Select Action		0123	0122	PTR	310	1
Select Action		0123	0122	PTR	310	1
Select Action		0123	0122	RCR	310	1
Select Action		0123	0122	RCR	310	1
Select Action		0123	0122	RCR	310	1

Page: 1 Records Displayed: 1 to 22 of 22

ACATS search results

- To view a specific transaction, choose **Transaction Summary** or **Transaction List** from the Action drop-down next to the specific transfer item.

Notes

- The transaction summary displays transactions by transaction type and action. The transaction list displays all of the transactions for that transfer.
 - From the Transaction Summary, Transaction List or Transfer Transaction Detail page, click the Receiver or Deliverer link to access the Participant Master Inquiry page for that participant. See [Accessing Participant Information](#).
 - From the Transaction Summary, Transaction List, or Transfer Transaction Detail page, choose **Transfer Position** or **Transfer Settlement** from the Go To drop-down list to access information within the same ACATS control number. For more information about these pages, see [Transfer Position](#) and [Transfer Settlement](#).
-
- If you choose **Transaction Summary** from the Transaction History page, the Transaction Summary page appears showing a list of transactions categorized by transaction type and action taken. Go to [step 5](#).

DTCC
Automated Customer Account Transfer Service

Home | ACATS Transaction Inputs ▾ | ACATS Inquiry ▾ | ACATS Output ▾ | ACATS Statistical Reports ▾
Help | Logout

Thu Sep 03 11:41:49 EDT 2015
 Logged on as:

Transaction Summary

[< Back](#)

Go To:

Transfer Information					
ACATS Control Number:		Receiver Account Number:	RC	Deliverer Account Number:	DL
Transfer Type:	FUL	Receiver:	0122	Deliverer:	0122
Current Transfer Status:	200	Days in Status:	1	Settlement Date:	

Select All	TransferType & Action	Transaction Count
<input type="checkbox"/>	TI ADD	1
<input type="checkbox"/>	TI CHG	0
<input type="checkbox"/>	TI ACL	0
<input type="checkbox"/>	TI REJ	0
<input type="checkbox"/>	AT ADD	2
<input type="checkbox"/>	AT CHG	0
<input type="checkbox"/>	AT DEL	0
<input type="checkbox"/>	FR ADD	0
<input type="checkbox"/>	IR ADD	0

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Transaction Summary

From the **Transaction Summary** page, you can view specific transactions within the transfer. You can view:

- Transfer input (TI) adds, changes, accelerations, and rejects.
- Asset transfer (AT) input adds, changes, and deletes.
- Fund registration (FR) adds.
- Insurance registration (IR) adds.

To view one or more of these transaction records from the Transaction Summary page:

- a. Click the check box next to the transaction or transactions you would like to view or click **Select All** to select all of the transactions, if applicable.
- b. Click **Search**.

The Transaction List page appears.

Note

If you choose Transaction List from the drop-down next to a transaction from the Transaction History page, you go directly to the Transaction List page.

- If you choose **Transaction List** from the Transaction History or access the page through the Transaction Summary page, the Transaction List page appears showing all of the transactions for that transfer.

DTCC
Automated Customer Account Transfer Service

Home | ACATS Transaction Inputs | ACATS Inquiry | ACATS Output | ACATS Statistical Reports
Help | Logout

Thu Sep 03 11:49:32 EDT 2015
 Logged on as:

Transaction List

[< Back](#)

Go To:

Transfer Information					
ACATS Control Number:		Receiver Account Number:	RC	Deliverer Account Number:	DC
Transfer Type:	FUL	Receiver:	0122	Deliverer:	0123
Current Transfer Status:	200	Days in Status:	1	Settlement Date:	01/28/2016

Page: 1 Records Displayed: 1 to 7 of 7

Action	Submitter	Process Date	Cycle #	Transaction Type	Transaction Action	Asset Sequence	Asset ID	System Acc/Rej	Rej Reason
Select Action		08/19/2015	1	TI	A	000000		ACC	
Select Action		08/19/2015	2	AT	A	000001		MOD	
Select Action		08/19/2015	2	AT	A	000002		MOD	
Select Action		08/19/2015	2	AT	A	000003		MOD	
Select Action		08/19/2015	2	AT	A	000004		MOD	
Select Action		08/19/2015	2	AT	A	000005		MOD	
Select Action		08/19/2015	2	AT	A	000006		MOD	

Page: 1 Records Displayed: 1 to 7 of 7

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Transaction List

5. Locate the transaction that you want to view from the Transaction List page. The System Acc/Rej field shows the following codes for the transaction:

- **ACC**–Accepted
- **ACC WITH ERR**–Accepted with error

Applies to only full transfers when the asset was accepted with errors and assigned the 220-Review Error status.

- **MOD**–Modified

In these circumstances, an item was accepted, but ACATS modified a field.

- **REJ**–Rejected

6. From the **Action** drop-down list, choose **Transaction Details** to see further information about the specific transaction. The page that appears depends on the transaction type.
- If the transaction type is **TI**–Transfer input, the **Transfer Transaction Detail** page appears. This page displays selected transactions with the associated values and statuses. From any Transfer Transaction Detail page, you can hover over items in the Field column to view business rules associated with each type of transaction. See [Asset Transfer Transaction Detail Field Definitions](#).

DTCC Automated Customer Account Transfer Service

Home | ACATS Transaction Inputs | ACATS Inquiry | ACATS Output | ACATS Statistical Reports | Help | Logout

Thu Sep 03 12:01:44 EDT 2015
Logged on as: [User]

Transfer Transaction Detail

Go To: [Dropdown]

Transfer Information			
ACATS Control Number:	[Value]	Receiver Account Number:	RC [Value]
Transfer Type:	FUL	Receiver:	0122
Current Transfer Status:	200	Days in Status:	1
		Deliverer:	0123
		Settlement Date:	

Transaction Information			
Source:	CPU	Process Date:	08/19/2015
System Action:	ACC	System Reject Reason:	
		Cycle:	1
		Transaction Transfer Status:	100

Field	Value	Status
Record Type:	TI	0
Record Length:	0356	0
Physical Sequence Number:	01	0
Logical Sequence Number:	01	0
Transaction Type:	A	0
ACATS Control Number:	[Value]	0
Transfer Type:	FUL	0
Submitting Participant Number:	[Value]	0
Original Receiver Number:	[Value]	0
Original Deliverer Number:	[Value]	0
Original Receiver Customer Account Number:	[Value]	0
Original Receiver Customer Account Name:	[Value]	0
Original Receiver Customer SS Number/Tax ID Primary:	XXXXXXXXXX	0
Original Receiver Customer SS Number/Tax ID Secondary:	XXXXXXXXXX	0
Original Receiver OCC Broker Number:	SN	0
Original Receiver Correspondent:		
Original Deliverer Customer Account Number:	D00TS3TC09N001	0
Transfer Type Reject:		
Associated ACATS Transfer Control Number:		
Associated Settlement Date:		
Transaction Reference ID:		
Comments:		

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Transfer Transaction Detail

- If the transaction type is **AT**-Asset transfer input, the **Asset Transfer Transaction Detail** page appears. This page displays selected transactions with the associated values and statuses. From any Asset Transfer Transaction Detail page, you can hover over items in the Field column to view business rules associated with each type of transaction. See [Asset Transfer Transaction Detail Field Definitions](#).

Status Values

Status Field Value	Description
3	ACATS rejected the value. If a 3 appears in the status column, fix the data in that field and resubmit. ACATS can then successfully process the transaction.
Spaces	No change.

- If the transaction type is **FR**–Fund registration input, the **Mutual Fund Registration Transaction Detail** page appears. This page displays selected transactions with the associated values and statuses. From any Mutual Fund Registration Transaction Detail page, you can hover over items in the Field column to view business rules associated with each type of transaction. See [Mutual Fund Registration Transaction Detail Field Definitions](#).

Home ACATS Transaction Inputs ACATS Inquiry ACATS Output ACATS Statistical Reports Help Logout			
Mon Jun 24 13:34:37 EDT 2019 Logged on as:			
Mutual Fund Registration Transaction Detail			
< Back			
Transfer Information			
ACATS Control Number:	20182970000071	Receiver Account Number:	0010
Transfer Type:	FUL	Receiver:	0161
Current Transfer Status:	900	Days in Status:	3
		Deliverer Account Number:	0020
		Deliverer:	0015
		Settlement Date:	06/14/2019
Transaction Information			
Source:	PCW	Process Date:	10/24/2018
System Action:	ACC	System Reject Reason:	
		Cycle:	7
		Transaction Transfer Status:	230
Mutual Fund Registration Detail			
Field	Value	Status	
Record Type:	FR	0	
Record Length:	1131	0	
Physical Sequence Number:	01	0	
Logical Sequence Number:	01	0	
Transaction Type:	A	0	
ACATS Control Number:	20182970000071	0	
Transfer Type:	FUL	0	
Submitting Participant Number:	0161	0	
Original Receiver Number:	0161	0	
Original Deliverer Number:	0015	0	
Asset Sequence Number:	000001	0	
Security Issue Country Code:	US	0	
Security Issue ID:	001386788	0	
Security Issue Check Digit:			
MF Transaction Type:	1	0	
Fraction Indicator:	1	0	
NRA Tax Percentage:			
Account Transfer Disbursement - Accruals Code:	4	0	
Account Transfer Disbursement - Fractional/Cash-in-Lieu Code:	1	0	
Account Transfer Disbursement - Residuals Code:	0	0	
Book/Physical Share Indicator:	0	0	
PT Delivery Indicator:			
TPA Number:			
Customer Name:	TEST	0	
Fund Account Indicator:	0	0	
Fund Customer Account Number:	123	0	
Executing Broker:			
Network Control Indicator:	0	0	
MF Asset Provision Indicator:	0	?	
ABA Routing Number:			
Cost Basis Option:			
Payable 1 Account Number:			
Payable 1 Zip Code 5:			
Payable 1 Zip Code 4:			
Payable 1 Name End Line Indicator:	1	0	
Payable 1 Address Option:	1	0	
Payable 1 Account Number Indicator:	1	0	
Payable 1 Security Issue Country Code:			
Payable 1 Security Issue ID:			
Payable 1 Security Issue Check Digit:			
Alternate Payable 1 Indicator:			
Alternate Payable 1 Reason:			
Payable 1 Name/Address Line 1:	TEST	0	
Payable 1 Name/Address Line 2:			
Payable 1 Name/Address Line 3:			
Payable 1 Name/Address Line 4:			
Payable 1 Name/Address Line 5:			
Payable 1 Name/Address Line 6:			
< Back			

Mutual Fund Registration Transaction Detail

- If the transaction type is **IR**—Insurance registration, the **Insurance Registration Transaction Detail** page appears. This page displays selected transactions with the associated values and statuses. From any Insurance Registration Transaction Detail page, you can hover over items in the Field column to view business rules associated with each type of transaction. See [Insurance Registration Transaction Detail Field Definitions](#).

Transaction History - Advanced Search and Quick Search Field Definitions

Field	Description
Security	<p>Select one of the following security types from the drop-down list and type the associated number.</p> <ul style="list-style-type: none"> • CUSIP – Type the nine-character alphanumeric code that identifies the security. • ISIN – Type the international security identification number (ISIN), which consists of a country code, a nine-character alphanumeric code that identifies the security, and an ISIN check digit (when the country code is not US). • OPTION – Type one of the following option codes: <ul style="list-style-type: none"> • 00 = Non option • 01 = Equity Option • 02 = Non-equity option • 03 = ICS Option
Deliverer Account Number	Type the deliverer's account number for the customer. You can enter a maximum of 20 characters.
Receiver Account Number	Type the receiver's customer account number. You can enter a maximum of 20 characters.
Transfer Type	<p>Select the type of transfer from the drop-down list:</p> <ul style="list-style-type: none"> • FRV – Fail Reversal • FUL – Full transfer • PTD – Partial Transfer (Deliverer) • PTF – Position Transfer Fund • PTR – Partial Transfer (Receiver) • RCL – Reclaim • RCR – Residual Credit • MFC – Mutual Fund Cleanup
Process Date (MM/DD/CCYY)	Date ACATS sets the transfer status for this transaction.
Cycle Number	Contains the multi-batch cycle number in which the input transactions were input. For a list of input and output times associated with each cycle, see the ACATS User Guide available in the DTCC Learning Center .

Transaction History - Advanced Search and Quick Search Field Definitions

Field	Description
System Action	Displays the code for the system action as: <ul style="list-style-type: none"> • System Accepted • System Rejected
ACATS Control Number	Type the 14-digit ACATS control number. You can find this number on reports produced by the ACATS system. The ACATS control number <i>CCYYDDDNNNNNNN</i> format breaks down as follows: <ul style="list-style-type: none"> • <i>CC</i>–Millennium and century of the transfer submission. • <i>YY</i>–Year of the transfer submission. • <i>DDD</i>–Julian date of the transfer submission. • <i>NNNNNNN</i>–System-assigned sequence number.

The following table shows the field definitions available from the Search Results section of the Transaction History page.

Transaction History - Search Results Field Definitions

Field	Description
Action	Select one of the following actions for a specific transfer item to view transaction information: <ul style="list-style-type: none"> • Transaction Summary • Transaction List
ACATS Control Number	14-digit ACATS control number.
Receiver	Receiver's customer account number.
Deliverer	Deliverer's account number for the customer.

Transaction History - Search Results Field Definitions

Field	Description
Transfer Type	Code identifying the type of transfer: <ul style="list-style-type: none"> • FRV - Fail reversal • FUL - Full transfer • MFC - Mutual fund cleanup • PTD - Partial transfer deliverer • PTR - Partial transfer receiver • RCL - Reclaim • RCR - Residual credit • PTF - Position transfer fund
Current Transfer Status	Current status of the transfer: <ul style="list-style-type: none"> • 100 - Request • 200 - Review • 300 - Settle Prep • 310 - Settle Close • 900 - System Purge <p>For a complete list statuses, see the ACATS User Guide available in the DTCC Learning Center.</p>
Days in Status	Actual business day in a specific status. Unless a subsequent action or input changes the status again, a transfer remains in that status until the end of the business day.

Transaction Summary Field Definitions

Field definitions are listed in the order as they appear, grouped by categories. The following table shows the field definitions available from the Transfer Information section of the Transaction Summary page.

Transaction Summary - Transfer Information Field Definitions

Field	Description
ACATS Control Number	14-digit ACATS control number. You can find this number on reports produced by the ACATS system. The ACATS control number <i>CCYYDDDNNNNNNN</i> format breaks down as follows: <ul style="list-style-type: none"> • <i>CC</i>–Millennium and century of the transfer submission. • <i>YY</i>–Year of the transfer submission. • <i>DDD</i>–Julian date of the transfer submission. • <i>NNNNNNN</i>–System-assigned sequence number.
Receiver Account Number	Receiver's customer account number.
Deliverer Account Number	Deliverer's account number for the customer.
Transfer Type	Code identifying the type of transfer. Including: <ul style="list-style-type: none"> • FRV – Fail Reversal • FUL – Full transfer • PTD – Partial Transfer (Deliverer) • PTF – Position Transfer Fund • PTR – Partial Transfer (Receiver) • RCL – Reclaim • RCR – Residual Credit • MFC – Mutual Fund Cleanup
Receiver	Four-digit NSCC account number of the participant that is to receive the transfer of assets.
Deliverer	Four-digit NSCC account number of the participant who is the original deliverer of the assets.
Current Transfer Status	Current transfer status number. For a list of status numbers, see the ACATS statuses section in the <i>ACATS User Guide</i> .
Days in Status	Actual business day in a specific status. Unless a subsequent action or input changes the status again, a transfer remains in that status until the end of the business day.
Settlement Date	Date the asset transfer settles. This field is located in the ACATS Transfer Position, ACATS Settlement, and Interface Organization Reject files, or the day the asset attempted to settle in the Interface Organization Reject file.

Transaction Summary - Transfer Information Field Definitions

Field	Description
Select All check box	Click to select all of the records displayed.
Transfer Type & Action	<p>Combination of the transfer type and action codes.</p> <p>Transfer record types:</p> <ul style="list-style-type: none"> • AT – asset transfer • FR – fund registration Information • IR Insurance Registration • TI – transfer input <p>Action codes:</p> <ul style="list-style-type: none"> • ADD – Add • ACL – Accelerate • CHG – Change • DEL – Delete • REJ – Reject
Transaction Count	Number of transactions.

Transaction List Field Definitions

Field definitions are listed in the order as they appear, grouped by categories. The following table shows the field definitions available from the Transfer Information section of the Transaction List page.

Transaction List - Transfer Information Field Definitions

Field	Description
ACATS Control Number	14-digit ACATS control number. You can find this number on reports produced by the ACATS system. The ACATS control number <i>CCYYDDDNNNNNNN</i> format breaks down as follows: <ul style="list-style-type: none"> • <i>CC</i>–Millennium and century of the transfer submission. • <i>YY</i>–Year of the transfer submission. • <i>DDD</i>–Julian date of the transfer submission. • <i>NNNNNNN</i>–System-assigned sequence number.
Receiver Account Number	Receiver's customer account number.
Deliverer Account Number	Deliverer's account number for the customer.
Transfer Type	Code identifying the type of transfer. Including: <ul style="list-style-type: none"> • FRV – Fail Reversal • FUL – Full transfer • PTD – Partial Transfer (Deliverer) • PTF – Position Transfer Fund • PTR – Partial Transfer (Receiver) • RCL – Reclaim • RCR – Residual Credit • MFC – Mutual Fund Cleanup
Receiver	Four-digit NSCC account number of the participant that is to receive the transfer of assets.
Deliverer	Four-digit NSCC account number of the participant who is the original deliverer of the assets.
Current Transfer Status	Current transfer status number. For a list of status numbers, see the ACATS statuses section in the ACATS User Guide available in the DTCC Learning Center .
Days in Status	Actual business day in a specific status. Unless a subsequent action or input changes the status again, a transfer remains in that status until the end of the business day.
Settlement Date	Date the asset transfer settles. This field is located in the ACATS Transfer Position, ACATS Settlement, and Interface Organization Reject files, or the day the asset attempted to settle in the Interface Organization Reject file.

The following table shows the field definitions available for the displayed records.

Transaction List- Records Displayed

Field	Description
Action	Select Transaction Details to display the Asset Transfer Transaction Details page.
Submitter	Four-digit number for the participant that submitted the transaction.
Process Date	Date ACATS sets the transfer status for this transaction.
Cycle #	Contains the multi-batch cycle number in which the input transactions were input. For a list of input and output times associated with each cycle, see the ACATS User Guide available in the DTCC Learning Center .
Transaction Type	Code representing the transaction type: <ul style="list-style-type: none"> • AT–Asset transfer input • FR–Fund registration input • IR–Insurance registration input • TI–Transfer input
Transaction Action	Current action of the transaction: <ul style="list-style-type: none"> • A–Add • C–Change • R–Reject • X–Accelerate
Asset Sequence	Asset sequence number automatically assigned by ACATS when the submitter adds assets to a transfer.
Asset ID	Asset identifier.
System Acc/Rej	Code representing the system action. <ul style="list-style-type: none"> • ACC – Accepted the transfer. • ACC WITH ERR – Accepted with errors. Applies only to full transfers with a 220–Review Error status. • MOD – Modified the transfer. • REJ – Rejected the transfer.
Rej Reason	Reason for the rejection of the transfer.

Asset Transfer Transaction Detail Field Definitions

Field definitions are listed in the order as they appear, grouped by categories. The following table shows the field definitions available from the Transfer Information section of the Asset Transfer Transaction Detail page.

Asset Transfer Transaction Detail: Transfer Information Field Definitions

Field	Description
ACATS Control Number	<p>14-digit ACATS control number. You can find this number on reports produced by the ACATS system. The ACATS control number <i>CCYYDDDNNNNNNNN</i> format breaks down as follows:</p> <ul style="list-style-type: none"> • <i>CC</i>—Millennium and century of the transfer submission. • <i>YY</i>—Year of the transfer submission. • <i>DDD</i>—Julian date of the transfer submission. • <i>NNNNNNN</i>—System-assigned sequence number.
Receiver Account Number	Receiver's customer account number.
Deliverer Account Number	Deliverer's account number for the customer.
Transfer Type	<p>Code identifying the type of transfer. Including:</p> <ul style="list-style-type: none"> • FRV – Fail Reversal • FUL – Full transfer • PTD – Partial Transfer (Deliverer) • PTF – Position Transfer Fund • PTR – Partial Transfer (Receiver) • RCL – Reclaim • RCR – Residual Credit • MFC – Mutual Fund Cleanup
Receiver	Four-digit NSCC account number of the participant that is to receive the transfer of assets.
Deliverer	Four-digit NSCC account number of the participant who is the original deliverer of the assets.
Current Transfer Status	Current transfer status number. For a list of status numbers, see the ACATS statuses section in the ACATS User Guide available in the section of the DTCC Learning Center.

Asset Transfer Transaction Detail: Transfer Information Field Definitions

Field	Description
Days in Status	Actual business day in a specific status. Unless a subsequent action or input changes the status again, a transfer remains in that status until the end of the business day.
Settlement Date	Date the asset transfer settles. This field is located in the ACATS Transfer Position, ACATS Settlement, and Interface Organization Reject files, or the day the asset attempted to settle in the Interface Organization Reject file.

The following table shows the field definitions available from the Transaction Information section of the Asset Transfer Transaction Detail page.

Asset Transfer Transaction Detail: Transaction Information Field Definitions

Field	Description
Source	Source of the transaction.
Process Date	Date ACATS sets the transfer status for this transaction.
Cycle	Multi-batch cycle number in which the input transactions were input. For a list of input and output times associated with each cycle, see the <i>ACATS User Guide</i> available in the DTCC Learning Center.
System Action	Displays the code for the system action as: <ul style="list-style-type: none"> • ACC – Accepted the transfer. • ACC WITH ERR – Accepted with errors. Applies only to full transfers with a 220–Review Error status. • MOD – Modified the transfer. • REJ – Rejected the transfer.

Asset Transfer Transaction Detail: Transaction Information Field Definitions

Field	Description
System Reject Reason	<p>Code that identifies the reason the system rejected the transfer.</p> <ul style="list-style-type: none"> • 01 – Invalid field. • 02 – Missed cutoff. • 03 – Associated record not present or invalid. • 04 – Physical records out of sequence. • 05 – Invalid physical sequence number. • 06 – Logical records out of sequence. • 07 – Invalid logical sequence number. • 08 – Invalid length of record. • 09 – Invalid record contents. • 10 – Invalid Add transaction – record does not exist. • 11 – Invalid Chg transaction – record does not exist. • 12 – Invalid Del transaction – record does not exist. • 13 – Requested action invalid due to transfer status. • 14 – Transaction invalid for contra participant. • 15 – Transaction invalid for submitting participant. • 16 – Invalid participant. • 17 – Invalid nonstandard transaction – invalid physical sequence. • 18 – Invalid nonstandard transaction – restricted asset type or settlement location. • 19 – Invalid transaction – Fund Registration already sent to Fund/SERV.

Asset Transfer Transaction Detail: Transaction Information Field Definitions

Field	Description
Transaction Transfer Status	Status of the transaction transfer. <ul style="list-style-type: none"> • 100–Request • 110–Request Adjust • 120–Request Adjust Past • 130–Request Past • 140–Request Reject • 200–Review • 210–Review Adjust Deliverer • 220–Review Error • 230–Review Accelerate • 240–Review Adjust Receiver Accelerate • 300–Settle Prep • 310–Settle Close • 400–Close Purge • 500–Request (PTR) • 510–Memo Purge (PTR) • 600–Reject • 900–System Purge

The following table shows the field definitions available from the Transaction Information section of the Asset Transfer Transaction Detail page.

Asset Transfer Transaction Detail: Asset Transfer Detail Field Definitions

Field	Description
Record Type	<ul style="list-style-type: none"> • AT–Asset transfer input • FR–Fund registration input • IR–Insurance registration input • TI–Transfer input
Record Length	Option – 0497 Mutual Fund – 0550 Insurance – 1700 All others – 0431
Physical Sequence Number	Always 01
Logical Sequence Number	Always 01
Transaction Type	Code that identifies the transaction type. <ul style="list-style-type: none"> • A–Add • C–Change • D–Delete
ACATS Control Number	Valid 14-digit ACATS control number.
Transfer Type	Code identifying the type of transfer. Including: <ul style="list-style-type: none"> • FRV – Fail Reversal • FUL – Full transfer • PTD – Partial Transfer (Deliverer) • PTF – Position Transfer Fund • PTR – Partial Transfer (Receiver) • RCL – Reclaim • RCR – Residual Credit • MFC – Mutual Fund Cleanup
Submitting Participant Number	Four-digit number for the participant submitting the transfer.

Asset Transfer Transaction Detail: Asset Transfer Detail Field Definitions

Field	Description
Original Receiver Number	Four-digit number for the original receiver of the transfer.
Original Deliverer Number	Four-digit number for the original deliverer of the transfer.
Transaction Reference ID	Transaction reference identifier.
Asset Sequence Number	Asset sequence number automatically assigned by ACATS when the submitter adds assets to a transfer.

Asset Transfer Transaction Detail: Asset Transfer Detail Field Definitions

Field	Description
Asset Category	<ul style="list-style-type: none"> • ALT–Alternative Investment • ANNU–Annuities • CDCP–CD and Commercial Paper • CORP–Corporate Bond • EQU–Equities • FCUR–Foreign Currency • FDEB–Foreign Debt • FEQU–Foreign Equity • GOVT–U.S. Government and Government Agency • LPAR–Limited Partnership • MBS–Mortgage-Backed Securities (FNMA, GNMA, FHLMC) • MFMM–Mutual Fund Money Market • MFNM–Mutual Fund Non-Money Market • MUNI–Municipal Bonds • OPT–Options • REIT–Real Estate Investment Trust • RGT–Right • UARP–Auction Rate Preferred–UIT • UDSC–Deferred Sale Charge–UIT • UIT–Unit Investment Trust • UNT–Units • WAR–Warrant • ZERO–Zero Coupon Bonds
Option Category	<p>Option categories:</p> <ul style="list-style-type: none"> • 00 – Non option • 01 – Equity option • 02 – Non-equity option • 03 – ICS option
Settling Location	Settling location. Valid values depend on the transfer type.

Asset Transfer Transaction Detail: Asset Transfer Detail Field Definitions

Field	Description
Settling Reason	Settling reason code. Valid values depend on the settling location.
Security Issue Country Code	Default value is US.
Security Issue ID	Required when the Transaction Type is A–Add and the Asset Description is spaces unless one of the following applies: <ul style="list-style-type: none"> Requested settling location is 35 and the Option Category is greater than zero. Requested settling location is 35, 40, or 45 and the settling reason is CASH, COMT, or SMA.
Security Issue Check Digit	Required if the ISIN country code is anything but US or blank.
Asset Description	Description used to identify the asset.
Asset Quantity Request Indicator	Informs the delivering firm whether the receiver requested the full account position for this asset or an exact amount to transfer.
Asset Request Transaction Code	Code used when a transfer is either a partial transfer receiver (PTR) request or position transfer fund (PTF) transaction where the submitting firm is acting as the receiver on the transfer. <ul style="list-style-type: none"> 2–Shares 3–Currency Amount
Asset Quantity	Asset quantity with a floating decimal point denoted by a comma (,).
Position Code	<ul style="list-style-type: none"> S–Short Position L–Long Position N–Not Applicable
ISO Currency Code	Defaults to USD.
Asset Amount	Amount of the asset.
Bearer Bond	<ul style="list-style-type: none"> B–Bearer bond N–Not a bearer bond
Cash/Margin/Short Code	<ul style="list-style-type: none"> C–Cash M–Margin S–Short
When Issued Indicator	<ul style="list-style-type: none"> W–When Issued N–Not When Issued

Asset Transfer Transaction Detail: Asset Transfer Detail Field Definitions

Field	Description
Transfer Type Reason Code	Valid reason code depends on the transfer type.
MBS Serial Note	Serial note unit number used to identify the Puerto Rican MBS.
Asset Comment	Optional comments with a maximum of 120 characters.
Fund Customer Account Number	Fund customer account number.
Book/Physical Share Indicator	Indicates whether book shares are being transferred into book shares at the receiver or whether physical shares are being transferred into book shares at the receiver; used in the asset transfer (AT) input record and the ACATS Mutual Fund Registration (FR) record.
Network Control Indicator	How the account is handled in networking or whether it will not be networked.
Account Type Indicator	Account type, such as 4K for a 401K.
Dividend Code	Valid dividend code values are: <ul style="list-style-type: none"> • 0 – Cash Cash Cash • 1 – Reinvest Reinvest Reinvest • 2 - Cash Cash Reinvest • 3 – Cash Reinvest Reinvest • 4 – Cash Reinvest Cash • 5 – Reinvest Cash Cash • 6 – Reinvest Reinvest Cash • 7 – Reinvest Cash Reinvest
Dividend Payee Indicator	Dividend recipient type values: <ul style="list-style-type: none"> • 0 – Customer • 1 – Firm • 2 – Executing Firm • N – Not Applicable
Executing Broker Number	Four-digit code to identify the broker executing the transaction.

Asset Transfer Transaction Detail: Asset Transfer Detail Field Definitions

Field	Description
MF Full/Partial Indicator	<p>Indicates whether the transfer is a full or partial transfer. Appears in the asset transfer (AT) input record. Valid values:</p> <ul style="list-style-type: none"> • 1 – Full Transfer • 2 – Partial Transfer
Share Aging Indicator	<p>Indicates how the share aging information is delivered. Valid values:</p> <ul style="list-style-type: none"> • 1 indicates that the delivering firm or fund company provides the share aging information in an automated way through the Networking Share Aging file. • 2 indicates that the delivering firm provides the share aging information outside of the system.
Firm Membership Indicator Deliverer	<p>Type of account that is being delivered.</p> <ul style="list-style-type: none"> • Broker • 01 - Trust
New Fund Customer Account Number Receiver	<p>New fund customer account number for the receiver. The deliverer sends this new account number as proof that the fund is re-registered.</p>
Re-Registration Date at Fund	<p>Date on which the asset was registered again by the deliverer, in MM-DD-CCYY format.</p>
MF Agent Processing Indicator Deliverer	<p>Mutual fund agent processing indicator for the deliverer. Possible values:</p> <p>0 = Deliverer will not use alternate Fund/SERV clearing number.</p> <p>1 = Deliverer will use alternate Fund/SERV clearing number.</p>

Transfer Transaction Detail Field Definitions

Field definitions are listed in the order as they appear, grouped by categories. The following table shows the field definitions available from the Transfer Information section of the Transfer Detail page.

Transfer Transaction Detail: Transfer Information Field Definitions

Field	Description
ACATS Control Number	14-digit ACATS control number. You can find this number on reports produced by the ACATS system. The ACATS control number <i>CCYYDDNNNNNNNN</i> format breaks down as follows: <ul style="list-style-type: none"> • <i>CC</i>—Millennium and century of the transfer submission. • <i>YY</i>—Year of the transfer submission. • <i>DDD</i>—Julian date of the transfer submission. • <i>NNNNNNN</i>—System-assigned sequence number.
Receiver Account Number	Receiver's customer account number.
Deliverer Account Number	Deliverer's account number for the customer.
Transfer Type	Code identifying the type of transfer. Including: <ul style="list-style-type: none"> • FRV – Fail Reversal • FUL – Full transfer • PTD – Partial Transfer (Deliverer) • PTF – Position Transfer Fund • PTR – Partial Transfer (Receiver) • RCL – Reclaim • RCR – Residual Credit • MFC – Mutual Fund Cleanup
Receiver	Four-digit NSCC account number of the participant that is to receive the transfer of assets.
Deliverer	Four-digit NSCC account number of the participant who is the original deliverer of the assets.
Current Transfer Status	Current transfer status number. For a list of status numbers, see the ACATS statuses section in the <i>ACATS User Guide</i> available in the DTCC Learning Center .

Transfer Transaction Detail: Transfer Information Field Definitions

Field	Description
Days in Status	Actual business day in a specific status. Unless a subsequent action or input changes the status again, a transfer remains in that status until the end of the business day.
Settlement Date	Date the asset transfer settles. This field is located in the ACATS Transfer Position, ACATS Settlement, and Interface Organization Reject files, or the day the asset attempted to settle in the Interface Organization Reject file.

The following table shows the field definitions available from the Transaction Information section of the Transfer Transaction Detail page.

Transfer Transaction Detail: Transaction Information Field Definitions

Field	Description
Source	Source of the transaction.
Process Date	Date ACATS sets the transfer status for this transaction.
Cycle	Multi-batch cycle number in which the input transactions were input. For a list of input and output times associated with each cycle, see the <i>ACATS User Guide</i> available in the DTCC Learning Center .
System Action	Displays the code for the system action as: <ul style="list-style-type: none"> • ACC – Accepted the transfer. • ACC WITH ERR – Accepted with errors. Applies only to full transfers with a 220–Review Error status. • MOD – Modified the transfer. • REJ – Rejected the transfer.

Transfer Transaction Detail: Transaction Information Field Definitions

Field	Description
System Reject Reason	<p>Code that identifies the reason the system rejected the transfer.</p> <ul style="list-style-type: none"> • 01 – Invalid field. • 02 – Missed cutoff. • 03 – Associated record not present or invalid. • 04 – Physical records out of sequence. • 05 – Invalid physical sequence number. • 06 – Logical records out of sequence. • 07 – Invalid logical sequence number. • 08 – Invalid length of record. • 09 – Invalid record contents. • 10 – Invalid Add transaction – record does not exist. • 11 – Invalid Chg transaction – record does not exist. • 12 – Invalid Del transaction – record does not exist. • 13 – Requested action invalid due to transfer status. • 14 – Transaction invalid for contra participant. • 15 – Transaction invalid for submitting participant. • 16 – Invalid participant. • 17 – Invalid nonstandard transaction – invalid physical sequence. • 18 – Invalid nonstandard transaction – restricted asset type or settlement location. • 19 – Invalid transaction – Fund Registration already sent to Fund/SERV.

Transfer Transaction Detail: Transaction Information Field Definitions

Field	Description
Transaction Transfer Status	Status of the transaction transfer. <ul style="list-style-type: none"> • 100–Request • 110–Request Adjust • 120–Request Adjust Past • 130–Request Past • 140–Request Reject • 200–Review • 210–Review Adjust Deliverer • 220–Review Error • 230–Review Accelerate • 240–Review Adjust Receiver Accelerate • 300–Settle Prep • 310–Settle Close • 400–Close Purge • 500–Request (PTR) • 510–Memo Purge (PTR) • 600–Reject • 900–System Purge

Transfer Transaction Detail: Transaction Information Field Definitions

Field	Description
Transaction Transfer Status	Status of the transaction transfer. <ul style="list-style-type: none"> • 100–Request • 110–Request Adjust • 120–Request Adjust Past • 130–Request Past • 140–Request Reject • 200–Review • 210–Review Adjust Deliverer • 220–Review Error • 230–Review Accelerate • 240–Review Adjust Receiver Accelerate • 300–Settle Prep • 310–Settle Close • 400–Close Purge • 500–Request (PTR) • 510–Memo Purge (PTR) • 600–Reject • 900–System Purge
Record Type	<ul style="list-style-type: none"> • AT–Asset transfer input • FR–Fund registration input • IR–Insurance registration input • TI–Transfer input
Record Length	Option – 0497 Mutual Fund – 0550 Insurance – 1700 All others – 0431
Physical Sequence Number	Always 01

Transfer Transaction Detail: Transaction Information Field Definitions

Field	Description
Logical Sequence Number	Always 01
Transaction Type	Code that identifies the transaction type. <ul style="list-style-type: none"> • A–Add • C–Change • R–Reject • X–Accelerate
ACATS Control Number	Valid 14-digit ACATS control number. Required when the Transaction Type is C, R, or X. Must be spaces when the Transaction Type is A.
Transfer Type	Code identifying the type of transfer. Including: <ul style="list-style-type: none"> • FRV – Fail Reversal • FUL – Full transfer • PTD – Partial Transfer (Deliverer) • PTF – Position Transfer Fund • PTR – Partial Transfer (Receiver) • RCL – Reclaim • RCR – Residual Credit • MFC – Mutual Fund Cleanup
Submitting Participant Number	Four-digit number for the participant submitting the transfer.
Original Receiver Number	Four-digit number for the original receiver of the transfer.
Original Deliverer Number	Four-digit number for the original deliverer of the transfer.
Original Receiver Customer Account Number	Customer account number for the original receiver of the transfer.
Original Receiver Customer Account Name	Customer account name for the original receiver of the transfer.

Transfer Transaction Detail: Transaction Information Field Definitions

Field	Description
Original Receiver Customer SS Number/Tax ID Primary	Nine-digit social security number or primary tax ID of the original receiver customer.
Original Receiver Customer SS Number/Tax ID Secondary	Nine-digit social security number or secondary tax ID of the original receiver customer
Original Receiver Customer Account Type	<p>Indicates the customer account type of the original receiver.</p> <ul style="list-style-type: none"> • 4K = 401K • AG = Agency • BC = Bank Custody • CO = Corporate • CT = Co-Trustee • CU = Custodian (UGMA) • DR = Direct Rollover • EI = Educational IRA • ES = Estate • IR = IRA • JT = Joint • MS = Medical Savings Account • OT = Other • QP = Qualified/Profit Sharing/Pension • RI = Roth IRA • SI = Simple IRA • SN = Single • TR = Trust
Gift/Donation Indicator	<p>Indicates whether the transfer was a gift or donation. Valid values are:</p> <ul style="list-style-type: none"> • 0–No, transfer is not a gift/donation. • 1–Yes, transfer is a gift/donation.

Transfer Transaction Detail: Transaction Information Field Definitions

Field	Description
Original Receiver OCC Broker Number	Five-character receiver options clearing corporation (OCC) broker number.
Original Receiver Correspondent	Symbol and number for the original receiver correspondents, such as the OTC executing broker symbol of the correspondent firm for which the original receiver is taking in the account.
Original Deliverer Customer Account Number	Customer account number for the original deliverer of the transfer. Required if Transaction Type is A.
Transfer Type Reject	<p>Code identifying the type of transfer. Original deliverers can use the following reject codes:</p> <ul style="list-style-type: none"> • 01 = Social security number/tax ID mismatch. • 02 = Account title mismatch. • 03 = Documentation needed. • 04 = Account flat. • 05 = Invalid account number. • 06 = Duplicate • 07 = Account in distribution or transfer. • 08 = Client rescinded. • 09 = Missing authorization signature. <p>Original receivers can use the following reject codes:</p> <ul style="list-style-type: none"> • 21 = Account violates credit policy of receiving firm. Reject of a full transfer or partial transfer receiver (PTR) because the account violates the credit policy of the receiving firm. • 22 = Unrecognized for residual credit (RCR) balance. • 23 = Partial transfer (deliverer initiated) reject. Reject of a partial transfer (PTD) initiated by the deliverer. • 24 = Fail reversal (FRV) reject. • 25 = Reclaim (RCL) reject. • 27 = Mutual fund cleanup (MFC) reject.

Transfer Transaction Detail: Transaction Information Field Definitions

Field	Description
Associated ACATS Transfer Control Number	Valid 14-digit ACATS control number of the prior associated transfer. You can find this number on reports produced by the ACATS system. The ACATS control number <i>CCYYDDDNNNNNNN</i> format breaks down as follows: <ul style="list-style-type: none"> • <i>CC</i>–Millennium and century of the transfer submission. • <i>YY</i>–Year of the transfer submission. • <i>DDD</i>–Julian date of the transfer submission. • <i>NNNNNNN</i>–System-assigned sequence number.
Associated Settlement Date	Settlement date for the prior associated transfer, in MM-DD-CCYY format.
Transaction Reference ID	Transaction reference identifier.
Comments	Optional comments with a maximum of 120 characters.

Mutual Fund Registration Transaction Detail Field Definitions

Field definitions are listed in the order as they appear, grouped by categories. The following table shows the field definitions available from the Transfer Information section of the Mutual Fund Registration Transaction Detail page.

Mutual Fund Reg Transaction Detail: Transfer Information Field Definitions

Field	Description
ACATS Control Number	14-digit ACATS control number. You can find this number on reports produced by the ACATS system. The ACATS control number <i>CCYYDDDNNNNNNN</i> format breaks down as follows: <ul style="list-style-type: none"> • <i>CC</i>–Millennium and century of the transfer submission. • <i>YY</i>–Year of the transfer submission. • <i>DDD</i>–Julian date of the transfer submission. • <i>NNNNNNN</i>–System-assigned sequence number.
Receiver Account Number	Receiver's customer account number.
Deliverer Account Number	Deliverer's account number for the customer.

Mutual Fund Reg Transaction Detail: Transfer Information Field Definitions

Field	Description
Transfer Type	Code identifying the type of transfer. Including: <ul style="list-style-type: none"> • FRV – Fail Reversal • FUL – Full transfer • PTD – Partial Transfer (Deliverer) • PTF – Position Transfer Fund • PTR – Partial Transfer (Receiver) • RCL – Reclaim • RCR – Residual Credit • MFC – Mutual Fund Cleanup
Receiver	Four-digit NSCC account number of the participant that is to receive the transfer of assets.
Deliverer	Four-digit NSCC account number of the participant who is the original deliverer of the assets.
Current Transfer Status	Current transfer status number. For a list of status numbers, see the ACATS statuses section in the <i>ACATS User Guide</i> available in the DTCC Learning Center .
Days in Status	Actual business day in a specific status. Unless a subsequent action or input changes the status again, a transfer remains in that status until the end of the business day.
Settlement Date	Date the asset transfer settles. This field is located in the ACATS Transfer Position, ACATS Settlement, and Interface Organization Reject files, or the day the asset attempted to settle in the Interface Organization Reject file.

The following table shows the field definitions available from the Transaction Information section of the Mutual Fund Registration Transaction Detail page.

Mutual Fund Reg Transaction Detail: Transaction Information Field Definitions

Field	Description
Source	Source of the transaction.
Process Date	Date ACATS sets the transfer status for this transaction.
Cycle	Multi-batch cycle number in which the input transactions were input. For a list of input and output times associated with each cycle, see the <i>ACATS User Guide</i> available in the DTCC Learning Center .

Mutual Fund Reg Transaction Detail: Transaction Information Field Definitions

Field	Description
System Action	<p>Displays the code for the system action as:</p> <ul style="list-style-type: none"> • ACC – Accepted the transfer. • ACC WITH ERR – Accepted with errors. Applies only to full transfers with a 220–Review Error status. • MOD – Modified the transfer. • REJ – Rejected the transfer.
System Reject Reason	<p>Code that identifies the reason the system rejected the transfer.</p> <ul style="list-style-type: none"> • 01 – Invalid field. • 02 – Missed cutoff. • 03 – Associated record not present or invalid. • 04 – Physical records out of sequence. • 05 – Invalid physical sequence number. • 06 – Logical records out of sequence. • 07 – Invalid logical sequence number. • 08 – Invalid length of record. • 09 – Invalid record contents. • 10 – Invalid Add transaction – record does not exist. • 11 – Invalid Chg transaction – record does not exist. • 12 – Invalid Del transaction – record does not exist. • 13 – Requested action invalid due to transfer status. • 14 – Transaction invalid for contra participant. • 15 – Transaction invalid for submitting participant. • 16 – Invalid participant. • 17 – Invalid nonstandard transaction – invalid physical sequence. • 18 – Invalid nonstandard transaction – restricted asset type or settlement location. • 19 – Invalid transaction – Fund Registration already sent to Fund/SERV.

Mutual Fund Reg Transaction Detail: Transaction Information Field Definitions

Field	Description
Transaction Transfer Status	<p>Status of the transaction transfer.</p> <ul style="list-style-type: none"> • 100–Request • 110–Request Adjust • 120–Request Adjust Past • 130–Request Past • 140–Request Reject • 200–Review • 210–Review Adjust Deliverer • 220–Review Error • 230–Review Accelerate • 240–Review Adjust Receiver Accelerate • 300–Settle Prep • 310–Settle Close • 400–Close Purge • 500–Request (PTR) • 510–Memo Purge (PTR) • 600–Reject • 900–System Purge

The following table shows the field definitions available from the Mutual Fund Registration Detail section of the Mutual Fund Registration Transaction Detail page.

Mutual Fund Reg Transaction Detail: Mutual Fund Registration Detail Field Definitions

Field	Description
Record Type	Always FR –Fund registration input.
Record Length	<p>Option – 0497</p> <p>Mutual Fund – 0550</p> <p>Insurance – 1700</p> <p>All others – 0431</p>

Mutual Fund Reg Transaction Detail: Mutual Fund Registration Detail Field Definitions

Field	Description
Physical Sequence Number	Always 01
Logical Sequence Number	Always 01
Transaction Type	Code that identifies the transaction type. Always A –Add,
ACATS Control Number	Valid 14-digit ACATS control number.
Transfer Type	Code identifying the type of transfer. Including: <ul style="list-style-type: none"> • FUL – Full transfer • PTD – Partial Transfer (Deliverer) • PTR – Partial Transfer (Receiver) • RCR – Residual Credit
Submitting Participant Number	Four-digit number for the participant submitting the transfer. Must be the same as the Original Receiver Number for the transfer type.
Original Receiver Number	Four-digit number for the original receiver of the transfer.
Original Deliverer Number	Four-digit number for the original deliverer of the transfer.
Asset Sequence Number	Valid ACATS asset sequence number for a mutual fund asset.
Security Issue Country Code	Default value is US.
Security Issue ID	Required when the Transaction Type is A–Add and the Asset Description is spaces unless one of the following applies: <ul style="list-style-type: none"> • Requested settling location is 35 and the Option Category is greater than zero. • Requested settling location is 35, 40, or 45 and the settling reason is CASH, COMT, or SMA.
Security Issue Check Digit	Required if the ISIN country code is anything but US or blank.

Mutual Fund Reg Transaction Detail: Mutual Fund Registration Detail Field Definitions

Field	Description
MF Transaction Type	Mutual fund transaction type: <ul style="list-style-type: none"> • 1 = Transfer to new account. • 2 = Transfer to existing account. • 3 = Firm of record changes only.
Fraction Indicator	Used by the receiver to designate if it can accept fractional shares of a mutual fund or the fund should liquidate the fractional shares. <ul style="list-style-type: none"> • 1 = Transfer fraction. • 2 = Liquidate fraction.
NRA Tax Percent	Percentage of tax withheld based on a non-resident's country of origin.
Account Transfer Disbursement—Accruals Code	Instructs the fund about what to do with the accrual bucket during the transfer period. <ul style="list-style-type: none"> • 2 = Cash to customer/delivering firm • 4 = Process bucket to bucket transfer to receiving firm
Account Transfer Disbursement—Fractional/Cash in Lieu	Instructs the fund about what to do with the cash-in-lieu during the transfer period. <ul style="list-style-type: none"> • 0 = Cash to customer/delivering firm • 1 = Reinvest/delivering firm • 2 = Cash to customer/delivering firm • 3 = Cash to broker/receiving firm • 4 = Reinvest/receiving firm • 5 = Cash to customer/receiving firm
Account Transfer Disbursement—Residuals code	Instructs the fund about what to do with residual credits that appear in the account during the transfer period. <ul style="list-style-type: none"> • 0 = Cash to customer/delivering firm • 1 = Reinvest/delivering firm • 2 = Cash to customer/delivering firm • 3 = Cash to broker/receiving firm • 4 = Reinvest/receiving firm • 5 = Cash to customer/receiving firm

Mutual Fund Reg Transaction Detail: Mutual Fund Registration Detail Field Definitions

Field	Description
Book/Physical Share indicator	<p>Indicates whether book shares are being transferred into book shares at the receiver or whether physical shares are being transferred into book shares at the receiver; used in the asset transfer (AT) input record and the ACATS fund registration (FR) input record.</p> <ul style="list-style-type: none"> • 0 = Transfer in and out book shares. Broker account number (BIN) is supplied on the Fund/SERV customer account number. • 1 = Transfer in and out book shares. Fund account number (FIN) is supplied on the Fund/SERV customer account number. • 2 = Transfer in book shares, transfer out physical shares. Fund account number (FIN) is supplied on the Fund/SERV customer account number.
PI Delivery Indicator	<p>Required when the Book/Physical Share Indicator is 2.</p> <ul style="list-style-type: none"> • 0 = Deliver to customer. • 1 = Deliver to firm. • 2 = Deliver to agent for firm.
TPA Number	Number of the third-party administrator.
Customer Name	Defaults to the customer name indicated in the transfer input (TI) record.
Fund Account Indicator	<p>Indicates whether the account is</p> <ul style="list-style-type: none"> • 0 = New domestic account • 1 = New foreign account • 2 = Existing domestic account • 3 = Existing foreign account
Fund Customer Account Number	Shows the customer's account number, as it is known on the books of the fund. For position transfer funds (PTFs) and default registrations, the fund receives the customer account number at the fund and the customer account number at the firm retrieved from the transfer input (TI) record. For other transactions, the information is retrieved from the AT or FR record. Appears in the ACATS Transfer Record (record 018) file.
Executing Broker	Four-digit code used to identify the broker executing the delivery.
Network Control Indicator	<p>Identifies the networking level of the account.</p> <ul style="list-style-type: none"> • 0 = Non network • 1 = Broker control margin/IRA • 2 = Customer name brokerage account • 3 = Broker controlled brokerage account • 4 = Fund controlled brokerage account

Mutual Fund Reg Transaction Detail: Mutual Fund Registration Detail Field Definitions

Field	Description
MF Agent Processing Indicator Deliverer	Mutual fund agent processing indicator for the deliverer. Possible values: <ul style="list-style-type: none"> • 0 = Do not use alternate Fund/SERV clearing number. • 1 = Use alternate Fund/SERV clearing number.
SSN/EIN Indicator	Indicate whether the number is a: <ul style="list-style-type: none"> • 0 = Tax ID employee identification number (EIN) • 1 = Social security number. • 2 = Investor employee identification number (EIN).
SSN/EIN	Shows the Social Security number, tax ID number associated with this fund, or investor EIN (Employee Identification Number), as specified in the SSN/EIN Indicator field.
Dividend Code	Identifies how dividends, long-term capital gains, and short-term capital gains are applied to an account. Appears in the asset transfer (AT) input record and the fund registration (FR) record. <ul style="list-style-type: none"> • 0 – Cash Cash Cash • 1 – Reinvest Reinvest Reinvest • 2 - Cash Cash Reinvest • 3 – Cash Reinvest Reinvest • 4 – Cash Reinvest Cash • 5 – Reinvest Cash Cash • 6 – Reinvest Reinvest Cash • 7 – Reinvest Cash Reinvest

Mutual Fund Reg Transaction Detail: Mutual Fund Registration Detail Field Definitions

Field	Description
Withholding Indicator	<p>Withholding information for this fund.</p> <p>W9 indicators:</p> <ul style="list-style-type: none"> • 0 = Certified (W9 on file) • 1 = Failure to provide TIN • 2 = Failure to certify TIN • 3 = Notification of incorrect TIN from the Secretary of Treasury (Withhold due to B Notice) • 4 = Failure to certify backup withholding status • 5 = Voluntary disclosure from payee of affirmative backup withholding status • 6 = Notification to commence Backup Withholding from Secretary of Treasury for under reporting dividend and/or interest payments (Withhold due to C Notice) • 7 = Applied for social security number • 8 = Exempt recipient • 9 = Accounts subject to both B and C Notice Withholding <p>W8 indicators:</p> <ul style="list-style-type: none"> • A = Uncertified foreign account (no W8 form on file-backup withholding necessary) • B = Certified foreign beneficial owner account (form W8-BEN on file) • C = Certified foreign intermediary account (form W8-IMY on file) • D = Certified valid foreign account (form W8-ECI on file with ITIN) • E = Certified foreign exempt account (form W8-EXP on file) • F = W8 on file - no treaty rate claimed • G = W8 Beneficiary with TIN on file

Mutual Fund Reg Transaction Detail: Mutual Fund Registration Detail Field Definitions

Field	Description
Payable Information Indicator	Identifies whether certain types of payouts should be payable to the address of record, to the payable address through Automated Clearing House participant or to a Cross Fund Reinvest. <ul style="list-style-type: none"> • 0 – Address of record • 1 – Payable address • 2 – ACH • 3 – Cash to firm • 4 – Cross fund reinvestment • 5 – Cash to trust
Customer Name End Line	Indicates the number of Customer Name lines, 1 through 6, that are present.
Customer Zip Code 5	Five digit zip code.
Customer Zip Code 4	Additional four digit zip code.
Social Code	See the social code list available in the ACATS Fund/SERV User Guide .
NAV Account Indicator	Net asset value (NAV) account indicator: <ul style="list-style-type: none"> • 0 – No • 1 – Yes
Margin Account Indicator	Margin account indicator: <ul style="list-style-type: none"> • 0 – No • 1 – Yes
Check Writing Privileges Indicator	Check writing privileges indicator: <ul style="list-style-type: none"> • 0 – No • 1 – Yes
State of Sale (State Code)	See the state code list available in the ACATS Fund/SERV User Guide .
Country of Origin (Country Code)	Two-character country code for this fund's origin. If the value of the fund account indicator is 1 - New Account - foreign or 3 - Existing Account - foreign, this field is required. For a list of country codes, see the NSCC Fund/SERV guide.

Mutual Fund Reg Transaction Detail: Mutual Fund Registration Detail Field Definitions

Field	Description
Account Representative Name	Name of the mutual fund account representative.
Account Representative Number	Number of the mutual fund account representative.
Branch Identification Number	Branch code associated with the receiving firm.
Number of Payables	00 through 06. If the Payable Information Indicator is 1 or 2, the number of payables must be greater than 00= No payables.
W8 Certification Date	Date the W-8 tax withholding was certified. Required if the Withhold Indicator is B, C, D, or E. Format is MMDDCCYY
W8 Expiration Date	Date the W-8 tax withholding expires. Required if the Withhold Indicator is D or E. Format is MMDDCCYY
W8 Override NRA Special Rate	Tax rate in the country that permits the W-8 tax form to be overridden.
W8 Qualified Intermediary Indicator	<p>Values are:</p> <ul style="list-style-type: none"> • 1 = QI (qualified intermediary – primary withholding) • 2 = QI (Qualified intermediary – non-withholding) • 3 = Non-QI (non-Qualified intermediary – non-withholding, not the beneficial owner) • 4 = Partnership (withholding) • 5 = Partnership (non-withholding) • 6 = U. S. branch (non- withholding) • 7 = Trust (withholding) • 8 = Trust (non-withholding)
W8 Override Country Code	ISO country code of the country that permits the W-8 tax form to be overridden. OC - other country is not allowed.
Firm Membership Indicator Receiver	<p>Type of account that is being delivered.</p> <ul style="list-style-type: none"> • Space = Broker • 01 = Trust

Mutual Fund Reg Transaction Detail: Mutual Fund Registration Detail Field Definitions

Field	Description
Customer Name/Address 1 through 6	Name and address of the customer.
Memo Field	Additional information.
ACH Indicator	Automated Clearing House indicator: <ul style="list-style-type: none"> • 0 = No • 1 = Yes
PAC Indicator	Preauthorized checks indicator: <ul style="list-style-type: none"> • 0 = No • 1 = Yes
SWP Indicator	Systematic withdrawal plan indicator: <ul style="list-style-type: none"> • 0 = No • 1 = Yes
ROA/LOI Value	Indicates the total dollar value of the shares that need to be purchased to fulfill the Rights of Accumulation (ROA) or Letter of Intent (LOI) agreement. Format is 99,999,999,999,999.99
LOI Number/Date	Number and date of the letter of intent (LOI).
Related Trade Indicator	Related trade indicator: <ul style="list-style-type: none"> • 0 = No • 1 = Yes
Related Account Number	Account number of any account related to the account being transferred.
Related Account Number Indicator	Related account number indicator: <ul style="list-style-type: none"> • 1 = Fund • 2 = Firm
SWP/PAC Effective Date	Effective date of the implementation of the Systematic Withdrawal Plan (SWP)/Pre-Authorized Checks (PAC). Date format is MMDDCCYY. An SWP allows shareholders to automatically liquidate shares in the account according to an agreed-upon schedule and amount. A PAC arrangement is a privilege that allows drafts to be drawn against a shareholder's bank account for the purpose of purchasing fund shares on a regular basis.
Accrual Amount	Amount in dollars of the money that has accrued at the mutual fund. A firm or trust can designate on the re-registration record the accrual money amount that is passed from ACATS and whether the amount represents all or none of the accrual.

Mutual Fund Reg Transaction Detail: Mutual Fund Registration Detail Field Definitions

Field	Description
Accrual Amount Indicator	<p>Accrual amount indicator:</p> <ul style="list-style-type: none"> • A = All • B = None
CDSC Payment Code	<p>Identifies the type of Contingent Deferred Sales Charge (CDSC) payment (CDSC is known as Share Aging in Fund/SERV). Values are:</p> <ul style="list-style-type: none"> • 0 = Gross • 1 = Net • 2 = Not applicable
Disbursement Option Code	<p>Values are:</p> <ul style="list-style-type: none"> • 0 = Fixed cash amount • 1 = Fixed percentage • 2 = Fixed shares • 3 = Declining balance
Disbursement Amount	<p>Format according to Disbursement Option:</p> <ul style="list-style-type: none"> • 0 = 99,999,999,999.99 • 1 = 999,999.9999999999 • 2 = 999,999,999,999.9999 • 3 = 999,999,999,999.9999
Monthly Payment Indicators	<p>Each of the 12 character bytes represents a calendar month respectively: 1st byte = January, 2nd byte = February, For each position or byte:</p> <ul style="list-style-type: none"> • 0 = No payment this month • 1 = Yes payment this month
Payment Date Value	<p>Values are:</p> <ul style="list-style-type: none"> • 01-31 = Day of month • L = Last day of month • N = Normal fund cycle

Mutual Fund Reg Transaction Detail: Mutual Fund Registration Detail Field Definitions

Field	Description
Retirement Tax Code	Values are: <ul style="list-style-type: none"> • 01 = Premature withdrawal • 02 = Rollover • 03 = Disability • 04 = Death • 05 = Prohibited • 06 = Other • 07 = Normal • 08 = Refund by excess contributions • 09 = Divorce • 10 = Plan revoked • 11 = Fund transfer • 99 = Not applicable
Shareholder Bank Account Number	Bank account number of the holder of the mutual fund shares. Used when Payable Information Indicator is 2.
Shareholder Bank Account Type	Values are: <ul style="list-style-type: none"> • 0 = Checking • 1 = Savings • 2 = Other
First Check Date	Date of the first check. Format is MMDDCCYY
ABA Routing Number	American Bankers Association (ABA) routing number assigned to this account transfer.
Cost Basis Option	Values are: <ul style="list-style-type: none"> • 0 = Unknown • 1 = FIFO (First In First Out) • 2 = LIFO (Last In First Out) • 3 = High Cost • 4 = Low Cost • 5 = Average Cost • 6 = Select Lot

Insurance Registration Transaction Detail Field Definitions

Field definitions are listed in the order as they appear, grouped by categories. The following table shows the field definitions available from the Transfer Information section of the Insurance Registration Transaction Detail page.

Insurance Registration Transaction Detail: Transfer Information Field Definitions

Field	Description
ACATS Control Number	14-digit ACATS control number. You can find this number on reports produced by the ACATS system. The ACATS control number <i>CCYYDDDNNNNNNNN</i> format breaks down as follows: <ul style="list-style-type: none"> • <i>CC</i>–Millennium and century of the transfer submission. • <i>YY</i>–Year of the transfer submission. • <i>DDD</i>–Julian date of the transfer submission. • <i>NNNNNNN</i>–System-assigned sequence number.
Receiver Account Number	Receiver's customer account number.
Deliverer Account Number	Deliverer's account number for the customer.
Transfer Type	Code identifying the type of transfer. Including: <ul style="list-style-type: none"> • FRV – Fail Reversal • FUL – Full transfer • PTD – Partial Transfer (Deliverer) • PTF – Position Transfer Fund • PTR – Partial Transfer (Receiver) • RCL – Reclaim • RCR – Residual Credit • MFC – Mutual Fund Cleanup
Receiver	Four-digit NSCC account number of the participant that is to receive the transfer of assets.
Deliverer	Four-digit NSCC account number of the participant who is the original deliverer of the assets.
Current Transfer Status	Current transfer status number. For a list of status numbers, see the ACATS statuses section in the <i>ACATS User Guide</i> available in the DTCC Learning Center .

Insurance Registration Transaction Detail: Transfer Information Field Definitions

Field	Description
Days in Status	Actual business day in a specific status. Unless a subsequent action or input changes the status again, a transfer remains in that status until the end of the business day.
Settlement Date	Date the asset transfer settles. This field is located in the ACATS Transfer Position, ACATS Settlement, and Interface Organization Reject files, or the day the asset attempted to settle in the Interface Organization Reject file.

The following table shows the field definitions available from the Transaction Information section of the Insurance Registration Transaction Detail page.

Insurance Registration Transaction Detail: Transaction Information Field Definitions

Field	Description
Source	Source of the transaction.
Process Date	Date ACATS sets the transfer status for this transaction.
Cycle	Multi-batch cycle number in which the input transactions were input. For a list of input and output times associated with each cycle, see the <i>ACATS User Guide</i> available in the DTCC Learning Center .
System Action	Displays the code for the system action as: <ul style="list-style-type: none"> • ACC – Accepted the transfer. • ACC WITH ERR – Accepted with errors. Applies only to full transfers with a 220–Review Error status. • MOD – Modified the transfer. • REJ – Rejected the transfer.

Insurance Registration Transaction Detail: Transaction Information Field Definitions

Field	Description
System Reject Reason	<p>Code that identifies the reason the system rejected the transfer.</p> <ul style="list-style-type: none"> • 01 – Invalid field. • 02 – Missed cutoff. • 03 – Associated record not present or invalid. • 04 – Physical records out of sequence. • 05 – Invalid physical sequence number. • 06 – Logical records out of sequence. • 07 – Invalid logical sequence number. • 08 – Invalid length of record. • 09 – Invalid record contents. • 10 – Invalid Add transaction – record does not exist. • 11 – Invalid Chg transaction – record does not exist. • 12 – Invalid Del transaction – record does not exist. • 13 – Requested action invalid due to transfer status. • 14 – Transaction invalid for contra participant. • 15 – Transaction invalid for submitting participant. • 16 – Invalid participant. • 17 – Invalid nonstandard transaction – invalid physical sequence. • 18 – Invalid nonstandard transaction – restricted asset type or settlement location. • 19 – Invalid transaction – Fund Registration already sent to Fund/SERV.

Insurance Registration Transaction Detail: Transaction Information Field Definitions

Field	Description
Transaction Transfer Status	<p>Status of the transaction transfer.</p> <ul style="list-style-type: none"> • 100–Request • 110–Request Adjust • 120–Request Adjust Past • 130–Request Past • 140–Request Reject • 200–Review • 210–Review Adjust Deliverer • 220–Review Error • 230–Review Accelerate • 240–Review Adjust Receiver Accelerate • 300–Settle Prep • 310–Settle Close • 400–Close Purge • 500–Request (PTR) • 510–Memo Purge (PTR) • 600–Reject • 900–System Purge

The following table shows the field definitions available from the Insurance Registration Detail section of the Insurance Registration Transaction Detail page.

Insurance Registration Transaction Detail: Insurance Registration Detail Field Definitions

Field	Description
Record Type	Always IR –Insurance registration input.
Record Length	<p>Option – 0497</p> <p>Mutual Fund – 0550</p> <p>Insurance – 1700</p> <p>All others – 0431</p>

Insurance Registration Transaction Detail: Insurance Registration Detail Field Definitions

Field	Description
Physical Sequence Number	Always 01
Logical Sequence Number	Always 01
Transaction Type	Code that identifies the transaction type. Always A –Add,
ACATS Control Number	Valid 14-digit ACATS control number.
Transfer Type	Code identifying the type of transfer. Including: <ul style="list-style-type: none"> • FUL – Full transfer • PTD – Partial Transfer (Deliverer) • PTR – Partial Transfer (Receiver) • RCR – Residual Credit
Submitting Participant Number	Four-digit number for the participant submitting the transfer. Must be the same as the Original Receiver Number for the transfer type.
Original Receiver Number	Four-digit number for the original receiver of the transfer.
Original Deliverer Number	Four-digit number for the original deliverer of the transfer.
Asset Sequence Number	Valid ACATS asset sequence number for a mutual fund asset.
Security Issue Country Code	Default value is US.
Security Issue ID	Required when the Transaction Type is A–Add and the Asset Description is spaces unless one of the following applies: <ul style="list-style-type: none"> • Requested settling location is 35 and the Option Category is greater than zero. • Requested settling location is 35, 40, or 45 and the settling reason is CASH, COMT, or SMA.
Security Issue Check Digit	Required if the ISIN country code is anything but US or blank.

Insurance Registration Transaction Detail: Insurance Registration Detail Field Definitions

Field	Description
Insurance Transaction Type	Mutual fund transaction type: <ul style="list-style-type: none">• 1 = Transfer to new account.• 2 = Transfer to existing account.• 3 = Firm of record changes only.
Contact Number	Number of the third-party administrator.

Accessing the Transfer Position

Viewing the Transfer Position Information

ACATS enables you to view the current position of a transfer in the ACATS transfer process.

To view transfer position information:

- From the ACATS menu, click **Transfer Position**.

The screenshot shows the DTCC ACATS Home Page. The header includes the DTCC logo and the title 'Automated Customer Account Transfer Service'. A navigation bar contains links for Home, ACATS Transaction Inputs, ACATS Inquiry, ACATS Output, ACATS Statistical Reports, Help, and Logout. The date and time are 'Wed Aug 19 17:50:39 EDT 2015' and the user is logged on as 'XXXXXX'. The main content area is titled 'ACATS Home Page' and contains two columns of links. The left column is 'ACATS Transaction Inputs' and the right column is 'ACATS Inquiry'. In the 'ACATS Inquiry' column, the 'Transfer Position' link is highlighted with a red box. Below the 'ACATS Inquiry' column is the 'ACATS Output' section, which includes 'Reports' and 'Data Files'. At the bottom of the page, there are links for 'Contact Us' and 'Important Legal Information'.

ACATS Home page

The Transfer Position page appears. This page allows you to search for transfers by the ACATS control number, receiver number, deliverer number, and other advanced search fields. It also allows you to view search results.

The screenshot shows the DTCC ACATS Transfer Position page. The header is identical to the Home page. The navigation bar shows 'ACATS Inquiry' selected. The date and time are 'Thu Mar 31 14:36:14 EDT 2016' and the user is logged on as 'XXXXXX'. The breadcrumb trail is 'ACATS Menu > Transfer Position'. The main content area is titled 'Transfer Position' and contains a search form. The form has two sections: 'Advanced Search' and 'Quick Search'. The 'Advanced Search' section includes fields for Deliverer Number, Receiver Number, Security, Deliverer Account Number, Receiver Account Number, Transfer Type, Settlement Date (MM/DD/CCYY), Settling Location, and Settling Reason. The 'Quick Search' section includes an 'ACATS Control Number' field. There are 'Search' and 'Reset' buttons at the bottom right of the form. At the bottom of the page, there are links for 'Contact Us' and 'Important Legal Information'.

Transfer Position

- Complete one of the following fields:

- ACATS Control Number
- Deliverer Number or Receiver Number

If you enter the ACATS control number, do not enter the deliverer number or receiver number.

You can also filter the search results by entering more search criteria in the fields. If you enter the ACATS control number, you can filter the results using the Security, Settle Location, and Settle Reason fields. If you enter a deliverer number or receiver number, you can filter the results using any of the fields in the Advanced Search section. For example, you can enter the receiver number, receiver account number, and process date to narrow the search results. The Security field allows you to filter the search by CUSIP, ISIN, or option symbol.

3. Click **Search**. ACATS returns the search results at the bottom of the Transfer Position page. ACATS automatically sorts the data by the ACATS Control Number column. Select another column header to sort the search results by that column in ascending order. Click the column again to sort the information in descending order.

The search results show 100 rows per page with a maximum limit of 5000 rows. If you exceed 5000 rows, enter additional search criteria to return fewer results. To reset the page and start the search again, click **Reset**.

Transfer Position

Advanced Search

Deliverer Number:	Receiver Number: 0123	Security:	
Deliverer Account Number:	Receiver Account Number:	Transfer Type:	
Settlement Date (MM/DD/CCYY):	Settling Location:	Settling Reason:	

Quick Search

ACATS Control Number:	
-----------------------	--

Page: 1 Records Displayed: 1 to 44 of 44

Search Results

Action	ACATS Control Number	Receiver	Deliverer	Transfer Type	Current Transfer Status	Days in Status
Select Action ▼	200000000000001	0123	0122	FUL	200	1
Select Action ▼	200000000000002	0123	0122	FUL	200	1
Select Action ▼	200000000000003	0123	0122	FUL	200	1
Select Action ▼	200000000000004	0123	0122	PTD	310	1
Select Action ▼	200000000000005	0123	0122	RCR	310	1
Select Action ▼	200000000000006	0123	0122	PTD	310	1
Select Action ▼	200000000000007	0123	0122	RCR	310	1
Select Action ▼	200000000000008	0123	0122	PTR	310	1
Select Action ▼	200000000000009	0123	0122	PTR	310	1
Select Action ▼	200000000000010	0123	0122	FUL	220	1
Select Action ▼	200000000000011	0123	0122	FUL	200	1
Select Action ▼	200000000000012	0123	0122	FUL	200	1
Select Action ▼	200000000000013	0123	0122	FUL	200	1
Select Action ▼	200000000000014	0123	0122	PTD	310	1
Select Action ▼	200000000000015	0123	0122	PTD	310	1
Select Action ▼	200000000000016	0123	0122	PTD	310	1
Select Action ▼	200000000000017	0123	0122	PTR	310	1
Select Action ▼	200000000000047	0123	0122	RCR	310	1

Page: 1 Records Displayed: 1 to 44 of 44

Transfer Position search results page

4. Select one of the following actions for the search results:
 - To view the transfer information about the customer whose account is being transferred, choose **Transfer Detail** from the Action drop-down. The Transfer Detail page appears. Click **Back** to return to the Transfer Position page.

DTCC Automated Customer Account Transfer Service

Home | ACATS Transaction Inputs | ACATS Inquiry | ACATS Output | ACATS Statistical Reports | Help | Logout

Wed Aug 26 16:54:02 EDT 2015
Logged on as:

Transfer Detail [< Back](#)

Go To:

Transfer Information					
ACATS Control Number:	20000000000006	Receiver Account Number:		Deliverer Account Number:	
Transfer Type:	PTD	Receiver:	0122	Deliverer:	0123
Current Transfer Status:	310	Days in Status:	1	Settlement Date:	06/08/2016

Transfer Detail	
Field	Value
Submitting Participant Number:	0123
Original Receiver Customer Account Name:	JOSEPH
Original Receiver Customer SS Number/Tax ID Primary:	XXXXXXXXXX
Original Receiver Customer SS Number/Tax ID Secondary:	XXXXXXXXXX
Original Receiver Customer Account Type:	SN
Gift / Donation Indicator:	0
Original Receiver OCC Broker Number:	
Original Receiver Correspondent:	2
Transfer Type Reject:	
Associated ACATS Transfer Control Number:	
Associated Settlement Date:	06/02/2016
Transaction Reference ID:	
Comments:	DOCS SIGNED BY Chris

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Transfer Detail

- To view the assets in the transfer, choose **Asset Transfer List** from the Action drop-down. The Asset Transfer List page shows the results. The Status of Instruction column can contain the ACC WITH ERR (accepted with error) value. This value applies to only full transfers when the asset was accepted with an error and initially assigned the 220-Review Error status.

DTCC Automated Customer Account Transfer Service

Home | ACATS Transaction Inputs | ACATS Inquiry | ACATS Output | ACATS Statistical Reports | Help | Logout

Thu Sep 03 13:02:44 EDT 2015
Logged on as:

Asset Transfer List [< Back](#)

Go To:

Transfer Information					
ACATS Control Number:	20000000000001	Receiver Account Number:		Deliverer Account Number:	
Transfer Type:	FUL	Receiver:	0122	Deliverer:	0123
Current Transfer Status:	200	Days in Status:	1	Settlement Date:	06/08/2016

Page: 1 Records Displayed: 1 to 6 of 6

Action	Asset Sequence	Actual Settling Location & Reason	Security ID	Asset Description	Status of Instruction
Select Action	1	45 SMA		SPECIAL MISCELLANEOUS ACCOUNT	ACC WITH ERR
Select Action	2	05 DTC			
Select Action	3	30 NTRN			
Select Action	4	05 DTC			
Select Action	5	30 NTRN			
Select Action	6	05 DTC			

Page: 1 Records Displayed: 1 to 6 of 6

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Assets Transfer List

- From the Asset Transfer List page, you can view specific assets within the transfer by choosing **Asset Transfer Details** from the Action drop-down.

The Asset Transfer Detail page displays all of the fields related to this asset.

DTCC
Automated Customer Account Transfer Service

Home
ACATS Transaction Inputs
ACATS Inquiry
ACATS Output
ACATS Statistical Reports
Help
Logout

Thu Apr 14 09:35:30 EDT 2016
 Logged on as:

Asset Transfer Detail

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Go To:

Transfer Information					
ACATS Control Number:	20160280003733	Receiver Account Number:	RCVR_CUST_ACCT_NBR	Deliverer Account Number:	DLVR_CUST_ACCT_NBR
Transfer Type:	FUL	Receiver:	0122	Deliverer:	0123
Current Transfer Status:	900	Days in Status:	44	Settlement Date:	02/03/2016

Asset Detail	
Field	Value
Asset Sequence Number:	2
Security Issue Country Code:	US
Security Issue ID:	*****
Security Issue Check Digit:	2
Asset Description:	PREMIER FUND
Requested Settling Location:	00
Requested Settling Reason:	
Actual Settling Location:	10
Actual Settling Reason:	
Asset Category:	MFNM
Option Category:	00
Asset Quantity Request Indicator:	
Asset Request Transaction Code:	
Asset Quantity:	1727.406
Position Code:	L
ISO Currency Code:	USD
Asset Amount:	23060.87
Bearer Bond:	N
Cash/Margin/Short Code:	C
When Issued Indicator:	N
Transfer Type Reason Code:	
MBS Serial Note:	
Transaction Reference ID:	538456828
Asset Comment:	0122
Fund Customer Account Number:	FUND_CUST_ACCT_NBR
Book/Physical Share Indicator:	0
Network Control Indicator:	3
Account Type Indicator:	2
Dividend Code:	1
Dividend Payee Indicator:	1
Executing Broker Number:	0123
MF Full/Partial Indicator:	2
Share Aging Indicator:	1
Firm Membership Indicator Deliverer:	
New Fund Customer Account Number Receiver:	
Re-Registration Date at Fund:	
MF Agent Processing Indicator Deliverer:	0

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Asset Transfer Detail page

Notes

- To view the Asset Master Inquiry page for this asset, click the **Security Issue ID** link. For more information, see [Accessing Asset Information](#).
- To access the Participant Master Inquiry page for the participant, click the Receiver or Deliverer link from the Transfer Detail, Asset Transfer List, or Asset Transfer Detail page. For more information, see [Accessing Participant Information](#).
- To view information within the same ACATS control number from the Transfer Detail, Asset Transfer List, or Asset Transfer Detail page, choose **Transaction History** or **Transfer Settlement** from the Go To drop-down list. For more information about these pages, see [Transaction History](#) and [Transfer Settlement](#).

Transfer Position Field Definitions

The following table shows the field definitions available from the Advanced Search and Quick Search sections of the Transfer Position page.

Transfer Position: Advanced Search and Quick Search Field Definitions

Field	Description
Deliverer Number	Type the four-digit NSCC account number of the participant who is the original deliverer of the assets.
Receiver Number	Type the four-digit NSCC account number of the participant that is to receive the transfer of assets.
Security	<p>Select one of the following security types from the drop-down list and type the associated number.</p> <ul style="list-style-type: none"> • CUSIP – Type the nine-character alphanumeric code that identifies the security. • ISIN – Type the international security identification number (ISIN), which consists of a country code, a nine-character alphanumeric code that identifies the security, and an ISIN check digit (when the country code is not US). • OPTION – Type one of the following option codes: <ul style="list-style-type: none"> ◦ 00 = Non option ◦ 01 = Equity Option ◦ 02 = Non-equity option ◦ 03 = ICS Option
Deliverer Account Number	Type the deliverer's account number for the customer. You can enter a maximum of 20 characters.
Receiver Account Number	Type the receiver's customer account number. You can enter a maximum of 20 characters.

Transfer Position: Advanced Search and Quick Search Field Definitions

Field	Description
Transfer Type	Select the type of transfer from the drop-down list: <ul style="list-style-type: none"> • FRV – Fail Reversal • FUL – Full transfer • PTD – Partial Transfer (Deliverer) • PTF – Position Transfer Fund • PTR – Partial Transfer (Receiver) • RCL – Reclaim • RCR – Residual Credit • MFC – Mutual Fund Cleanup
Settlement Date (MM/DD/CCYY)	Date the asset transfer settles. This field is located in the ACATS Transfer Position, ACATS Settlement, and Interface Organization Reject files, or the day the asset attempted to settle in the Interface Organization Reject file.
Settlement Location	System or processing method used to facilitate deliveries in ACATS transfers. Valid values: <ul style="list-style-type: none"> • 00–System Generated • 05–CNS or DTC • 10–Fund/SERV • 25–DTC • 30–Undeliverable • 35–OCC • 40–Cash Balance • 45–Memo • 50–R&D • 55–Foreign • 60–IPS (Insurance Processing Service) • 65–Insurance Memo

Transfer Position: Advanced Search and Quick Search Field Definitions

Field	Description
Settling Reason	Settling reason code. Valid values depend on the settling location.
ACATS Control Number	Type the 14-digit ACATS control number. You can find this number on reports produced by the ACATS system. The ACATS control number <i>CCYYDDDNNNNNNNN</i> format breaks down as follows: <ul style="list-style-type: none"> • <i>CC</i>–Millennium and century of the transfer submission. • <i>YY</i>–Year of the transfer submission. • <i>DDD</i>–Julian date of the transfer submission. • <i>NNNNNNNN</i>–System-assigned sequence number.

The following table shows the field definitions available from the search results for the Transfer Position page.

Transfer Position: Search Results Field Definitions

Field	Description
Action	Select one of the following actions for a specific transfer item to view transaction information: <ul style="list-style-type: none"> • Transaction Summary • Transaction List
ACATS Control Number	14-digit ACATS control number.
Receiver	Receiver's customer account number.
Deliverer	Deliverer's account number for the customer.
Transfer Type	Code identifying the type of transfer: <ul style="list-style-type: none"> • FRV – Fail reversal • FUL – Full transfer • MFC – Mutual fund cleanup • PTD – Partial transfer deliverer • PTR – Partial transfer receiver • RCL – Reclaim • RCR – Residual credit • PTF Position transfer fund

Transfer Position: Search Results Field Definitions

Field	Description
Current Transfer Status	<p>Current status of the transfer:</p> <ul style="list-style-type: none">• 100 - Request• 200 - Review• 300 - Settle Prep• 310 - Settle Close• 900 - System Purge <p>For a complete list statuses, see the ACATS User Guide available in the DTCC Learning Center.</p>
Days in Status	<p>Actual business day in a specific status. Unless a subsequent action or input changes the status again, a transfer remains in that status until the end of the business day.</p>

Transfer Detail Field Definitions

Field definitions are listed in the order as they appear, grouped by categories. The following table shows the field definitions available from the Transfer Information section of the Transfer Detail page.

Transfer Detail: Transfer Information Field Definitions

Field	Description
ACATS Control Number	<p>14-digit ACATS control number. You can find this number on reports produced by the ACATS system. The ACATS control number <i>CCYYDDDNNNNNNNN</i> format breaks down as follows:</p> <ul style="list-style-type: none"> • <i>CC</i>—Millennium and century of the transfer submission. • <i>YY</i>—Year of the transfer submission. • <i>DDD</i>—Julian date of the transfer submission. • <i>NNNNNNN</i>—System-assigned sequence number.
Receiver Account Number	Receiver's customer account number.
Deliverer Account Number	Deliverer's account number for the customer.
Transfer Type	<p>Code identifying the type of transfer. Including:</p> <ul style="list-style-type: none"> • FRV – Fail Reversal • FUL – Full transfer • PTD – Partial Transfer (Deliverer) • PTF – Position Transfer Fund • PTR – Partial Transfer (Receiver) • RCL – Reclaim • RCR – Residual Credit • MFC – Mutual Fund Cleanup
Receiver	Four-digit NSCC account number of the participant that is to receive the transfer of assets.
Deliverer	Four-digit NSCC account number of the participant who is the original deliverer of the assets.
Current Transfer Status	Current transfer status number. For a list of status numbers, see the ACATS statuses section in the <i>ACATS User Guide</i> available in the DTCC Learning Center .

Transfer Detail: Transfer Information Field Definitions

Field	Description
Days in Status	Actual business day in a specific status. Unless a subsequent action or input changes the status again, a transfer remains in that status until the end of the business day.
Settlement Date	Date the asset transfer settles. This field is located in the ACATS Transfer Position, ACATS Settlement, and Interface Organization Reject files, or the day the asset attempted to settle in the Interface Organization Reject file.

The following table shows the field definitions available from the Transaction Information section of the Asset Transfer Transaction Detail page.

Transfer Detail results Field Definitions

Field	Description
Submitting Participant Number	Four-digit number for the participant submitting the transfer.
Original Receiver Customer Account Name	Customer account name for the original receiver of the transfer.
Original Receiver Customer SS Number/Tax ID Primary	Nine-digit social security number or primary tax ID of the original receiver customer.
Original Receiver Customer SS Number/Tax ID Secondary	Nine-digit social security number or secondary tax ID of the original receiver customer

Transfer Detail results Field Definitions

Field	Description
Original Receiver Customer Account Type	<p>Indicates the customer account type of the original receiver.</p> <ul style="list-style-type: none"> • 4K = 401K • AG = Agency • BC = Bank Custody • CO = Corporate • CT = Co-Trustee • CU = Custodian (UGMA) • DR = Direct Rollover • EI = Educational IRA • ES = Estate • IR = IRA • JT = Joint • MS = Medical Savings Account • OT = Other • QP = Qualified/Profit Sharing/Pension • RI = Roth IRA • SI = Simple IRA • SN = Single • TR = Trust
Gift/Donation Indicator	<p>Indicates whether the transfer was a gift or donation. Valid values are:</p> <ul style="list-style-type: none"> • 0—No, transfer is not a gift/donation. • 1—Yes, transfer is a gift/donation.
Original Receiver OCC Broker Number	<p>Five-character receiver options clearing corporation (OCC) broker number.</p>
Original Receiver Correspondent	<p>Symbol and number for the original receiver correspondents, such as the OTC executing broker symbol of the correspondent firm for which the original receiver is taking in the account.</p>

Transfer Detail results Field Definitions

Field	Description
Transfer Type Reject	Code identifying the type of transfer. Including: <ul style="list-style-type: none"> • FRV – Fail Reversal • FUL – Full transfer • PTD – Partial Transfer (Deliverer) • PTF – Position Transfer Fund • PTR – Partial Transfer (Receiver) • RCL – Reclaim • RCR – Residual Credit • MFC – Mutual Fund Cleanup
Associated ACATS Transfer Control Number	14-digit ACATS control number of the prior associated transfer. You can find this number on reports produced by the ACATS system. The ACATS control number <i>CCYYDDNNNNNNNN</i> format breaks down as follows: <ul style="list-style-type: none"> • <i>CC</i>–Millennium and century of the transfer submission. • <i>YY</i>–Year of the transfer submission. • <i>DDD</i>–Julian date of the transfer submission. • <i>NNNNNNN</i>–System-assigned sequence number.
Associated Settlement Date	Settlement date for the prior associated transfer, in MM-DD-CCYY format.
Transaction Reference ID	Transaction reference identifier.
Comments	Optional comments with a maximum of 120 characters.

Asset Transfer List Field Definitions

Field definitions are listed in the order as they appear, grouped by categories. The following table shows the field definitions available from the Transfer Information section of the Asset Transfer List page.

Asset Transfer List: Transfer Information Field Definitions

Field	Description
ACATS Control Number	14-digit ACATS control number. You can find this number on reports produced by the ACATS system. The ACATS control number <i>CCYYDDNNNNNNNN</i> format breaks down as follows: <ul style="list-style-type: none"> • <i>CC</i>–Millennium and century of the transfer submission. • <i>YY</i>–Year of the transfer submission. • <i>DDD</i>–Julian date of the transfer submission. • <i>NNNNNNN</i>–System-assigned sequence number.
Receiver Account Number	Receiver's customer account number.
Deliverer Account Number	Deliverer's account number for the customer.
Transfer Type	Code identifying the type of transfer. Including: <ul style="list-style-type: none"> • <i>FRV</i>–Fail Reversal • <i>FUL</i>–Full transfer • <i>PTD</i>–Partial Transfer (Deliverer) • <i>PTF</i>–Position Transfer Fund • <i>PTR</i>–Partial Transfer (Receiver) • <i>RCL</i>–Reclaim • <i>RCR</i>–Residual Credit • <i>MFC</i>–Mutual Fund Cleanup
Receiver	Four-digit NSCC account number of the participant that is to receive the transfer of assets.
Deliverer	Four-digit NSCC account number of the participant who is the original deliverer of the assets.
Current Transfer Status	Current transfer status number. For a list of status numbers, see the ACATS statuses section in the <i>ACATS User Guide</i> available in the DTCC Learning Center .

Asset Transfer List: Transfer Information Field Definitions

Field	Description
Days in Status	Actual business day in a specific status. Unless a subsequent action or input changes the status again, a transfer remains in that status until the end of the business day.
Settlement Date	Date the asset transfer settles. This field is located in the ACATS Transfer Position, ACATS Settlement, and Interface Organization Reject files, or the day the asset attempted to settle in the Interface Organization Reject file.

The following table shows the field definitions available for the displayed records.

Asset Transfer List: Records Displayed

Field	Description
Action	Select Asset Transfer Details to display the Asset Transfer Detail page.
Asset Sequence	Asset sequence number automatically assigned by ACATS when the submitter adds assets to a transfer.
Actual Settling Location & Reason	Actual settling location and reason assigned to a specific asset.
Security ID	International security identification number (ISIN), which consists of a country code, a nine-character alphanumeric code that identifies the security, and an ISIN check digit (when the country code is not US).
Asset Description	Text description of the asset being transferred.
Status of Instruction	Status that can contain the ACC WITH ERR (accepted with error) value. This value applies to only full transfers when the asset was accepted with an error and initially assigned the 220-Review Error status.

Asset Transfer Detail Field Definitions

Field definitions are listed in the order as they appear, grouped by categories. The following table shows the field definitions available from the Transfer Information section of the Asset Transfer Detail page.

Asset Transfer Detail: Transfer Information Field Definitions

Field	Description
ACATS Control Number	14-digit ACATS control number. You can find this number on reports produced by the ACATS system. The ACATS control number <i>CCYYDDNNNNNNNN</i> format breaks down as follows: <ul style="list-style-type: none"> • <i>CC</i>–Millennium and century of the transfer submission. • <i>YY</i>–Year of the transfer submission. • <i>DDD</i>–Julian date of the transfer submission. • <i>NNNNNNN</i>–System-assigned sequence number.
Receiver Account Number	Receiver's customer account number.
Deliverer Account Number	Deliverer's account number for the customer.
Transfer Type	Code identifying the type of transfer. Including: <ul style="list-style-type: none"> • FRV – Fail Reversal • FUL – Full transfer • PTD – Partial Transfer (Deliverer) • PTF – Position Transfer Fund • PTR – Partial Transfer (Receiver) • RCL – Reclaim • RCR – Residual Credit • MFC – Mutual Fund Cleanup
Receiver	Four-digit NSCC account number of the participant that is to receive the transfer of assets.
Deliverer	Four-digit NSCC account number of the participant who is the original deliverer of the assets.
Current Transfer Status	Current transfer status number. For a list of status numbers, see the ACATS statuses section in the <i>ACATS User Guide</i> available in the DTCC Learning Center .
Days in Status	Actual business day in a specific status. Unless a subsequent action or input changes the status again, a transfer remains in that status until the end of the business day.
Settlement Date	Date the asset transfer settles. This field is located in the ACATS Transfer Position, ACATS Settlement, and Interface Organization Reject files, or the day the asset attempted to settle in the Interface Organization Reject file.

The following table shows the field definitions available from the Search Results section of the Asset Transfer Detail page.

Asset Transfer Detail: Search Results Field Definitions

Field	Description
Asset Sequence Number	Asset sequence number automatically assigned by ACATS when the submitter adds assets to a transfer.
Security Issue Country Code	Default value is US.
Security Issue ID	Required when the Transaction Type is A–Add and the Asset Description is spaces unless one of the following applies: <ul style="list-style-type: none"> Requested settling location is 35 and the Option Category is greater than zero. Requested settling location is 35, 40, or 45 and the settling reason is CASH, COMT, or SMA.
Security Issue Check Digit	Required if the ISIN country code is anything but US or blank.
Asset Description	Text description of the asset being transferred.
Requested Settling Location	Requested settling location assigned to a specific asset.
Requested Settling Reason	Requested settling reason assigned to a specific asset.
Actual Settling Location	Actual settling location assigned to a specific asset.
Actual Settling Reason	Actual settling reason assigned to a specific asset.

Asset Transfer Detail: Search Results Field Definitions

Field	Description
Asset Category	<ul style="list-style-type: none"> • ALT–Alternative Investment • ANNU–Annuities • CDCP–CD and Commercial Paper • CORP–Corporate Bond • EQU–Equities • FCUR–Foreign Currency • FDEB–Foreign Debt • FEQU–Foreign Equity • GOVT–U.S. Government and Government Agency • LPAR–Limited Partnership • MBS–Mortgage-Backed Securities (FNMA, GNMA, FHLMC) • MFMM–Mutual Fund Money Market • MFNM–Mutual Fund Non-Money Market • MUNI–Municipal Bonds • OPT–Options • REIT–Real Estate Investment Trust • RGT–Right • UARP–Auction Rate Preferred–UIT • UDSC–Deferred Sale Charge–UIT • UIT–Unit Investment Trust • UNT–Units • WAR–Warrant • ZERO–Zero Coupon Bonds
Option Category	<p>Option categories:</p> <ul style="list-style-type: none"> • 00 – Non option • 01 – Equity option • 02 – Non-equity option • 03 – ICS option

Asset Transfer Detail: Search Results Field Definitions

Field	Description
Asset Quantity Request Indicator	Informs the delivering firm whether the receiver requested the full account position for this asset or an exact amount to transfer.
Asset Request Transaction Code	Code used when a transfer is either a partial transfer receiver (PTR) request or position transfer fund (PTF) transaction where the submitting firm is acting as the receiver on the transfer. <ul style="list-style-type: none"> • 2–Shares • 3–Currency Amount
Asset Quantity	Asset quantity with a floating decimal point denoted by a comma (,).
Position Code	<ul style="list-style-type: none"> • S–Short Position • L–Long Position • N–Not Applicable
ISO Currency Code	Defaults to USD.
Asset Amount	Amount of the asset.
Bearer Bond	<ul style="list-style-type: none"> • B–Bearer bond • N–Not a bearer bond
Cash/Margin/Short Code	<ul style="list-style-type: none"> • C–Cash • M–Margin • S–Short
When Issued Indicator	<ul style="list-style-type: none"> • W–When Issued • N–Not When Issued
Transfer Type Reason Code	Valid reason code depends on the transfer type.
MBS Serial Note	Serial note unit number used to identify the Puerto Rican MBS.
Asset Comment	Optional comments with a maximum of 120 characters.
Fund Customer Account Number	Fund customer account number.
Book/Physical Share Indicator	Indicates whether book shares are being transferred into book shares at the receiver or whether physical shares are being transferred into book shares at the receiver; used in the asset transfer (AT) input record and the ACATS Mutual Fund Registration (FR) record.
Network Control Indicator	How the account is handled in networking or whether it will not be networked.

Asset Transfer Detail: Search Results Field Definitions

Field	Description
Account Type Indicator	Account type, such as 4K for a 401K.
Dividend Code	Valid dividend code values are: <ul style="list-style-type: none"> • 0 – Cash Cash Cash • 1 – Reinvest Reinvest Reinvest • 2 - Cash Cash Reinvest • 3 – Cash Reinvest Reinvest • 4 – Cash Reinvest Cash • 5 – Reinvest Cash Cash • 6 – Reinvest Reinvest Cash • 7 – Reinvest Cash Reinvest
Dividend Payee Indicator	Dividend recipient type values: <ul style="list-style-type: none"> • 0 – Customer • 1 – Firm • 2 – Executing Firm • N – Not Applicable
Executing Broker Number	Four-digit code to identify the broker executing the transaction.
MF Full/Partial Indicator	Indicates whether the transfer is a full or partial transfer. Appears in the asset transfer (AT) input record. Valid values: <ul style="list-style-type: none"> • 1 – Full Transfer • 2 – Partial Transfer
Share Aging Indicator	Indicates how the share aging information is delivered. Valid values: <ul style="list-style-type: none"> • 1 indicates that the delivering firm or fund company provides the share aging information in an automated way through the Networking Share Aging file. • 2 indicates that the delivering firm provides the share aging information outside of the system.
Firm Membership Indicator Deliverer	Type of account that is being delivered. <ul style="list-style-type: none"> • Broker • 01 - Trust

Asset Transfer Detail: Search Results Field Definitions

Field	Description
New Fund Customer Account Number Receiver	New fund customer account number for the receiver. The deliverer sends this new account number as proof that the fund is re-registered.
Re-Registration Date at Fund	Date on which the asset was registered again by the deliverer, in MM-DD-CCYY format.
MF Agent Processing Indicator Deliverer	Mutual fund agent processing indicator for the deliverer. Possible values: <ul style="list-style-type: none"> • 0 = Deliverer will not use alternate Fund/SERV clearing number. • 1 = Deliverer will use alternate Fund/SERV clearing number.

Searching for Settlement Information

ACATS enables you to view the details of an ACATS transfer which has reached settlement.

To access the Settlement search page:

1. From the ACATS Home Page, click **Transfer Settlement**.

DTCC Automated Customer Account Transfer Service

Home ACATS Transaction Inputs ACATS Inquiry ACATS Output ACATS Statistical Reports Help Logout

Wed Aug 19 17:50:39 EDT 2015
Logged on as: [User Name]

ACATS Home Page

ACATS Transaction Inputs

- Fail Reversal
- Full Transfer
- Mutual Fund Cleanup
- Partial Transfer Deliverer
- Partial Transfer Receiver
- Position Transfer Fund
- Residual Credit
- Reclaim
- Adjust Transfer
- Reject Transfer
- Accelerate a Transfer
- Add an Asset
- Adjust an Asset
- Delete an Asset
- Fund Registration
- Insurance Registration

ACATS Inquiry

- Transaction History
- Transfer Position
- Transfer Settlement**
- Participant Master Inquiry
- Asset Master Inquiry

ACATS Output

- Reports
- Data Files
- Statistical Reports - **NEW**

ACATS Statistical Reports

- Create Reports - **NEW**

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ACATS Inquiry Main menu

The Transfer Settlement page appears.

DTCC Automated Customer Account Transfer Service

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Wed Aug 26 18:53:27 EDT 2015
Logged on as: [User Name]

[ACATS Menu](#) > **Transfer Settlement**

Transfer Settlement

Advanced Search

Deliverer Number:	<input type="text"/>	Receiver Number:	<input type="text"/>	Security:	<input type="text"/>
Deliverer Account Number:	<input type="text"/>	Receiver Account Number:	<input type="text"/>	Transfer Type:	<input type="text"/>
Settlement Date (MM/DD/CCYY):	<input type="text"/>	Settling Location:	<input type="text"/>	Settling Reason:	<input type="text"/>

Quick Search

ACATS Control Number:

Search Reset

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Transfer Settlement

2. Complete one of the following fields:

- ACATS Control Number
- Deliverer Number or Receiver Number

If you enter the ACATS control number, do not enter the deliverer number or receiver number.

You can also filter the search results by entering more search criteria in the fields. If you enter the ACATS control number, you can filter the results using the Security, Settling Location, and Settling Reason fields. If you enter a deliverer number or receiver number, you can filter the results using any of the fields in the Advanced Search section. For example, you can enter the receiver number, receiver account number, and process date to narrow the search results. The Security field allows you to filter the search by CUSIP, ISIN, or option symbol.

3. Click **Search**. ACATS returns the search results at the bottom of the Transfer Settlement page. ACATS automatically sorts the data by the ACATS Control Number column. Select another column header to sort the search results by that column in ascending order. Click the column again to sort the information in descending order.

The search results show 100 rows per page with a maximum limit of 5000 rows. If you exceed 5000 rows, enter additional search criteria to return fewer results. To reset the page and start the search again, click **Reset**.

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Logged on as:

Transfer Settlement

Advanced Search

Deliverer Number: 0122 Receiver Number: Security: Transfer Type: Settling Reason:

Deliverer Account Number: Receiver Account Number: Settling Location:

Settlement Date (MM/DD/CCYY): Settling Reason:

Quick Search

ACATS Control Number:

Search Reset

Page: 1 Records Displayed: 1 to 30 of 30

Action	ACATS Control Number	Receiver	Deliverer	Transfer Type	Instruction Sent Date	Settlement Date
Select Action	0122	0123	0122	PTD	08/19/2015	08/20/2015
Select Action	0122	0123	0122	RCR	08/19/2015	08/20/2015
Select Action	0122	0123	0122	PTD	08/19/2015	08/20/2015
Select Action	0122	0123	0122	RCR	08/19/2015	08/20/2015
Select Action	0122	0123	0122	PTR	08/19/2015	08/20/2015
Select Action	0122	0123	0122	PTR	08/19/2015	08/20/2015
Select Action	0122	0123	0122	PTD	08/19/2015	08/20/2015
Select Action	0122	0123	0122	PTD	08/19/2015	08/20/2015
Select Action	0122	0123	0122	PTD	08/19/2015	08/20/2015
Select Action	0122	0123	0122	PTR	08/19/2015	08/20/2015
Select Action	0122	0123	0122	PTR	08/19/2015	08/20/2015

Transfer Settlement search

4. To view the information about the assets that were included in the transfer that reached settlement, choose **Settlement Asset List** from the Action drop-down. The Settlement Asset List page appears with transactions listed by asset sequence. This page displays all assets associated with the selected ACATS control number. You can view specific assets within the transfer.

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 Logged on as:

Settlement Asset List

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Go To:

Settlement Asset List					
ACATS Control Number:	20000000000004	Receiver Account Number:	R0	Deliverer Account Number:	D00
Transfer Type:	PTD	Receiver:	0122	Deliverer:	0123
Current Transfer Status:	310	Instruction Sent Date:	08/19/2015	Settlement Date:	08/20/2015

Page: 1 Records Displayed: 1 to 11 of 11

Action	Asset Sequence	Actual Settling Location & Reason	Security ID	Asset Description
Select Action ▾	1	05		
Select Action ▾	2	05		
Select Action ▾	3	50 NSET		
Select Action ▾	4	50 NSET		
Select Action ▾	5	05 DTC		
Select Action ▾	6	05 DTC		
Select Action ▾	7	05 DTC		
Select Action ▾	8	30 NTRN		
Select Action ▾	9	05 DTC		
Select Action ▾	10	30 NTRN		
Select Action ▾	11	05 DTC		

Page: 1 Records Displayed: 1 to 11 of 11

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Settlement Asset List

- To view an asset, choose **Settlement Asset Details** from the Action drop-down.

The Settlement Asset Detail page shows all the fields related to the settlement of this asset. You can view the sequence number, asset description, and other values associated with the asset.

Note

The Settlement Direction Indicator field displays the NORMAL or REVERSAL value to indicate which party is credited or debited as part of the delivery incentive charges in ACATS.

DTCC
Automated Customer Account Transfer Service

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 Logged on as:

Settlement Asset Detail

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Go To:

Transfer Information	
ACATS Control Number:	Receiver Account Number:
Transfer Type: PTD	Receiver: 0122
Current Transfer Status: 310	Instruction Sent Date: 08/19/2015
	Deliverer Account Number:
	Deliverer: 0123
	Settlement Date:

Asset Detail	
Field	Value
Asset Sequence Number:	1
Security Issue Country Code:	US
Security Issue ID:	
Security Issue Check Digit:	6
Asset Description:	TECHNOLOGY INC
Actual Settling Location:	05
Actual Settling Reason:	
Asset Quantity:	500
Asset Amount:	27510.00
Value Free Indicator:	F
Settlement Direction Indicator:	NORMAL

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Settlement Asset Detail

Notes

- To view the Asset Master Inquiry page for this asset, click the **Security Issue ID** link. For more information, see [Accessing Asset Information](#).
- To access the Participant Master Inquiry page, click the Receiver or Deliverer link from the Transfer Detail, Asset Transfer List, or Asset Transfer Detail page. For more information, see [Accessing Participant Information](#).
- To view information within the same ACATS control number from the Settlement Asset List or Settlement Asset Detail page, choose **Transaction History** or **Transfer Position** from the Go To drop-down list. For more information about these pages, see [Transaction History](#) and [Transfer Position](#).

Transfer Settlement Field Definitions

Field definitions are listed in the order as they appear, grouped by categories. The following table shows the field definitions available from the Advanced Search and Quick Search sections of the Transfer Settlement page.

Transfer Settlement - Advanced Search and Quick Search Field Definitions

Field	Description
Deliverer Number	Type the four-digit NSCC account number of the participant who is the original deliverer of the assets.
Receiver Number	Type the four-digit NSCC account number of the participant that is to receive the transfer of assets.
Security	Select one of the following security types from the drop-down list and type the associated number. <ul style="list-style-type: none"> • CUSIP – Type the nine-character alphanumeric code that identifies the security. • ISIN – Type the international security identification number (ISIN), which consists of a country code, a nine-character alphanumeric code that identifies the security, and an ISIN check digit (when the country code is not US). • OPTION – Type one of the following option codes: <ul style="list-style-type: none"> ◦ 00 = Non option ◦ 01 = Equity Option ◦ 02 = Non-equity option ◦ 03 = ICS Option
Deliverer Account Number	Type the deliverer's account number for the customer. You can enter a maximum of 20 characters.
Receiver Account Number	Type the receiver's customer account number. You can enter a maximum of 20 characters.
Transfer Type	Select the type of transfer from the drop-down list: <ul style="list-style-type: none"> • FRV – Fail Reversal • FUL – Full transfer • PTD – Partial Transfer (Deliverer) • PTF – Position Transfer Fund • PTR – Partial Transfer (Receiver) • RCL – Reclaim • RCR – Residual Credit • MFC – Mutual Fund Cleanup

Transfer Settlement - Advanced Search and Quick Search Field Definitions

Field	Description
Settlement Date (MM/DD/CCYY)	Date the asset transfer settles. This field is located in the ACATS Transfer Position, ACATS Settlement, and Interface Organization Reject files, or the day the asset attempted to settle in the Interface Organization Reject file.
Settling Location	System or processing method used to facilitate deliveries in ACATS transfers. Valid values: <ul style="list-style-type: none"> • 00–System Generated • 05–CNS or DTC • 10–Fund/SERV • 25–DTC • 30–Undeliverable • 35–OCC • 40–Cash Balance • 45–Memo • 50–R&D • 55–Foreign • 60–IPS (Insurance Processing Service) • 65–Insurance Memo
Settling Reason	Settling reason code. Valid values depend on the settling location.
ACATS Control Number	Type the 14-digit ACATS control number. You can find this number on reports produced by the ACATS system. The ACATS control number <i>CCYYDDDNNNNNNN</i> format breaks down as follows: <ul style="list-style-type: none"> • <i>CC</i>–Millennium and century of the transfer submission. • <i>YY</i>–Year of the transfer submission. • <i>DDD</i>–Julian date of the transfer submission. • <i>NNNNNNN</i>–System-assigned sequence number.

The following table shows the field definitions available from the search results for the Transfer Settlement page.

Transfer Settlement - Search Results Field Definitions

Field	Description
Action	Select one of the following actions for a specific transfer item to view transaction information: <ul style="list-style-type: none"> • Transaction Summary • Transaction List
ACATS Control Number	14-digit ACATS control number.
Receiver	Receiver's customer account number.
Deliverer	Deliverer's account number for the customer.
Transfer Type	Code identifying the type of transfer: <ul style="list-style-type: none"> • FRV - Fail reversal • FUL - Full transfer • MFC - Mutual fund cleanup • PTD - Partial transfer deliverer • PTR - Partial transfer receiver • RCL - Reclaim • RCR - Residual credit • PTF - Position transfer fund
Instruction Sent Date	Date the settlement instructions were sent, in MM/DD/CCYY format.
Settlement Date	Date the asset transfer settles, in MM/DD/CCYY format. This field is located in the ACATS Transfer Position, ACATS Settlement, and Interface Organization Reject files, or the day the asset attempted to settle in the Interface Organization Reject file.

Settlement Asset List Field Definitions

Field definitions are listed in the order as they appear, grouped by categories. The following table shows the field definitions available from the Transfer Information section of the Settlement Asset List page.

Settlement Asset List - Transfer Information Field Definitions

Field	Description
ACATS Control Number	14-digit ACATS control number. You can find this number on reports produced by the ACATS system. The ACATS control number <i>CCYYDDDDNNNNNN</i> format breaks down as follows: <ul style="list-style-type: none"> • <i>CC</i>–Millennium and century of the transfer submission. • <i>YY</i>–Year of the transfer submission. • <i>DDD</i>–Julian date of the transfer submission. • <i>NNNNNN</i>–System-assigned sequence number.
Receiver Account Number	Receiver's customer account number.
Deliverer Account Number	Deliverer's account number for the customer.
Transfer Type	Code identifying the type of transfer. Including: <ul style="list-style-type: none"> • FRV – Fail Reversal • FUL – Full transfer • PTD – Partial Transfer (Deliverer) • PTF – Position Transfer Fund • PTR – Partial Transfer (Receiver) • RCL – Reclaim • RCR – Residual Credit • MFC – Mutual Fund Cleanup
Receiver	Four-digit NSCC account number of the participant that is to receive the transfer of assets.
Deliverer	Four-digit NSCC account number of the participant who is the original deliverer of the assets.
Current Transfer Status	Current transfer status number. For a list of status numbers, see the ACATS statuses section in the <i>ACATS User Guide</i> available in the DTCC Learning Center .
Instruction Sent Date	Date the settlement instructions were sent, in MM/DD/CCYY format.
Settlement Date	Date the asset transfer settles, in MM/DD/CCYY format. This field is located in the ACATS Transfer Position, ACATS Settlement, and Interface Organization Reject files, or the day the asset attempted to settle in the Interface Organization Reject file.

The following table shows the field definitions available for the displayed records:

Settlement Asset List- Records Displayed

Field	Description
Action	Select Settlement Asset Details to display the Settlement Asset Details page.
Asset Sequence	Asset sequence number automatically assigned by ACATS when the submitter adds assets to a transfer.
Actual Settling Location & Reason	Actual settling location and reason assigned to a specific asset.
Security ID	International security identification number (ISIN), which consists of a country code, a nine-character alphanumeric code that identifies the security, and an ISIN check digit (when the country code is not US).
Asset Description	Text description of the asset being transferred.

Settlement Asset Detail Field Definitions

Field definitions are listed in the order as they appear, grouped by categories. The following table shows the field definitions available from the Transfer Information section of the Settlement Asset Detail page.

Settlement Asset Detail: Transfer Information Field Definitions

Field	Description
ACATS Control Number	14-digit ACATS control number. You can find this number on reports produced by the ACATS system. The ACATS control number <i>CCYYDDDNNNNNNNN</i> format breaks down as follows: <ul style="list-style-type: none"> • <i>CC</i>–Millennium and century of the transfer submission. • <i>YY</i>–Year of the transfer submission. • <i>DDD</i>–Julian date of the transfer submission. • <i>NNNNNNNN</i>–System-assigned sequence number.
Receiver Account Number	Receiver's customer account number.
Deliverer Account Number	Deliverer's account number for the customer.

Settlement Asset Detail: Transfer Information Field Definitions

Field	Description
Transfer Type	Code identifying the type of transfer. Including: <ul style="list-style-type: none"> • FRV – Fail Reversal • FUL – Full transfer • PTD – Partial Transfer (Deliverer) • PTF – Position Transfer Fund • PTR – Partial Transfer (Receiver) • RCL – Reclaim • RCR – Residual Credit • MFC – Mutual Fund Cleanup
Receiver	Four-digit NSCC account number of the participant that is to receive the transfer of assets.
Deliverer	Four-digit NSCC account number of the participant who is the original deliverer of the assets.
Current Transfer Status	Current transfer status number. For a list of status numbers, see the ACATS statuses section in the <i>ACATS User Guide</i> available in the DTCC Learning Center .
Instruction Sent Date	Date the settlement instructions were sent, in MM/DD/CCYY format.
Settlement Date	Date the asset transfer settles, in MM/DD/CCYY format. This field is located in the ACATS Transfer Position, ACATS Settlement, and Interface Organization Reject files, or the day the asset attempted to settle in the Interface Organization Reject file.

The following table shows the field definitions available for the displayed records.

Settlement Asset Detail: Records Displayed

Field	Description
Asset Sequence Number	Asset sequence number automatically assigned by ACATS when the submitter adds assets to a transfer.
Security Issue Country Code	Default value is US.
Security Issue ID	Required when the Transaction Type is A–Add and the Asset Description is spaces unless one of the following applies: <ul style="list-style-type: none"> • Requested settling location is 35 and the Option Category is greater than zero. • Requested settling location is 35, 40, or 45 and the settling reason is CASH, COMT, or SMA.

Settlement Asset Detail: Records Displayed

Field	Description
Security Issue Check Digit	Required if the ISIN country code is anything but US or blank.
Asset Description	Text description of the asset being transferred.
Actual Settling Location	Actual settling location assigned to a specific asset.
Actual Settling Reason	Actual settling reason assigned to a specific asset.
Asset Quantity	Asset quantity with a floating decimal point denoted by a comma (,).
Asset Amount	Amount of the asset.
Value Free Indicator	Indicates whether the asset transfer is a value or free transfer. Valid value are: <ul style="list-style-type: none"> • F–Free transfer–There is no money associated with the asset in the transfer. In this case, ACATS displays or reports the asset value amount only for informational purposes. • V–Valued transfer–There are incentive charges associated with the assets.
Settlement Direction Indicator	Displays a value of NORMAL or REVERSAL to indicate which party is credited or debited as part of the delivery incentive charges in ACATS.

Accessing Participant Information

The Participant Master Inquiry function allows you to research participant information. You can determine whether a participant is set up as a broker, bank, or mutual fund as well as view their eligible settling locations or fund registration instructions.

Note

You can access the Participant Master Inquiry page from many pages within ACATS by clicking the Receiver or Deliverer link.

To access the Participant Master Inquiry search page:

1. From the ACATS Home Page, click Participant Master Inquiry.

The screenshot shows the ACATS Home Page. The navigation bar includes 'Home', 'ACATS Transaction Inputs', 'ACATS Inquiry', 'ACATS Output', and 'ACATS Statistical Reports'. The 'ACATS Inquiry' menu is expanded, showing options like 'Transaction History', 'Transfer Position', 'Transfer Settlement', and 'Participant Master Inquiry' (highlighted with a red box). Other options include 'Asset Master Inquiry', 'ACATS Output', 'Reports', 'Data Files', 'Statistical Reports - NEW', and 'ACATS Statistical Reports', 'Create Reports - NEW'. The page also displays the date and time 'Wed Aug 19 17:50:39 EDT 2015' and 'Logged on as:'. The footer contains 'www.dtcc.com', 'Contact Us', and 'Important Legal Information'.

ACATS Home Page: Participant Master Inquiry

The Participant Master Inquiry page appears.

The screenshot shows the Participant Master Inquiry page. The navigation bar is the same as the home page. The breadcrumb trail shows 'ACATS Menu > Participant Master Inquiry'. The main heading is 'Participant Master Inquiry'. Below it is a 'Search Criteria' section with a 'Participant Number' field and a 'Search' button. The page also displays the date and time 'Thu Sep 03 15:48:39 EDT 2015' and 'Logged on as:'. The footer contains 'www.dtcc.com', 'Contact Us', and 'Important Legal Information'.

Participant Master Inquiry page

2. In the Participant Number field, type or select from the drop-down list the four-digit participant number to search for the participant, and click **Search**.

The Participant Master Inquiry page populates with the participant information.

DTCC
Automated Customer Account Transfer Service

Home | ACATS Transaction Inputs | ACATS Inquiry | ACATS Output | ACATS Statistical Reports | Help | Logout
Thu Sep 03 15:51:32 EDT 2015
Logged on as:

Participant Master Inquiry

Search Criteria Required

Participant Number: Search Reset

Search Results

Participant Number: 0122 Description: COMPANY

Participant Information

Participant Type:	BKR
TIF Block Indicator:	0
Participant Tax ID:	
SRO Code:	1
Cost Basis Indicator:	
Cost Basis Effective Date:	01/01/0001

Participant Settling Information

Organization Number	Organization Name	Initiation Number	Deliverer Block Indicator	Receiver Block Indicator	Start Date	End Date
05	CNS	0122	N		05/01/1998	12/31/9999
10	F/S	0122	N		05/01/1998	12/31/9999
25	DTC	0122	Y		05/01/1998	12/31/9999
35	OCC	0122	N		05/01/1998	12/31/9999
55	FOREIGN	0122	N		05/01/1998	12/31/9999
60	IPS	0122	N		05/01/1998	12/31/9999

Participant Fund Registration Instructions

Network Control Indicator:	3
Dividend Code:	1
Firm Membership Indicator:	
Customer Account Prefix:	
Customer Account Suffix:	
Customer Zip Code:	84108
Customer Name/Address 5:	
Customer Name/Address 6:	SLC, UT

Participant Master Inquiry

Note

Firms researching other participant numbers cannot view certain data elements, such as tax ID numbers and participant fund registration instructions, from this page.

Participant Master Inquiry Field Definitions

Field definitions are listed in the order as they appear, grouped by categories. The following table shows the field definitions available from the Search Criteria and Search Results sections of the Participant Master Inquiry page.

Participant Master Inquiry - Search Criteria and Search Results Field Definitions

Field	Description
Participant Number	Type the four-digit NSCC account number of the participant.
Description	Description of the NSCC account number of the participant.

The following table shows the field definitions available from the Participant Information section of the Participant Master Inquiry page.

Participant Master Inquiry - Participant Information Field Definitions

Field	Description
Participant Type	Type of ACATS participant.
TIF Block Indicator	
Participant Tax ID	Tax identifier of the ACATS participant.
SRO Code	Self-regulatory organization code.
Cost Basis Indicator	Cost basis method that the receiving firm wants the fund to use when handling liquidations.
Cost Basis Effective Date	Date the cost basis method goes into effect.

The following table shows the field definitions available from the Participant Settling Information section of the Participant Master Inquiry page.

Participant Master Inquiry - Participant Settling Information Field Definitions

Field	Description
Organization Number	Number identifying the organization.
Organization Name	Name of the organization.
Initiation Number	Four-digit NSCC account number.
Deliverer Block Indicator	<p>Determines whether ACATS automatically creates a file to send to DTC with the deliver orders for the non-CNS DTC eligible assets in the transfers settling on that day (known as the Auto DO file). Valid values are:</p> <ul style="list-style-type: none"> Y–Yes, block the Auto DO file. ACATS does not create the Auto DO file for a firm who has a Y value in this indicator. N–No, do not block the Auto DO file. ACATS automatically creates the Auto DO file for a firm who has an N value in this indicator.
Receiver Block Indicator	<p>Determines whether ACATS automatically creates a file to send to DTC with the receiver orders for the non-CNS DTC eligible assets in the transfers settling on that day (known as the Auto DO file). Valid values are:</p> <ul style="list-style-type: none"> Y: Yes, block the Auto DO file. ACATS does not create the Auto DO file for a firm who has a Y value in this indicator. N: No, do not block the Auto DO file. ACATS automatically creates the Auto DO file for a firm who has an N value in this indicator.
Start Date	Start date, in MM/DD/CCYY format.
End Date	End date, in MM/DD/CCYY format

The following table shows the field definitions available from the Participant Fund Registration Instructions section of the Participant Master Inquiry page.

Participant Master Inquiry - Participant Fund Registration Instructions Field Definitions

Field	Description
Network Control Indicators	Identifies the networking level of the account.
Dividend Code	Identifies how dividends, long-term capital gains, and short-term capital gains are applied to an account. Appears in the asset transfer (AT) input record and the ACATS Mutual Fund Registration (FR) record.
Firm Membership Indicator	Optionally, select the type of account that is being delivered from the following options:.. <ul style="list-style-type: none"> • Broker • 01 - Trust
Customer Account Prefix	Title, such as Mr. or Mrs., which precedes the customer's name.
Customer Account Suffix	Title, such as Esq. or Ph.D., which follows the customer's name.
Customer Zip Code	Zip code of the customer.
Customer Name/Address 5	Name and address of the customer.
Customer Name/Address 6	Continued address of the customer.

Accessing Asset Information

You can obtain specific information about a security, such as the security description, price, and settlement locations.

To access the Asset Master Inquiry search page:

1. From the ACATS Home Page, click **Asset Master Inquiry**.

Note

You can also access the Asset Master Inquiry page from the Asset Transfer Detail, Asset Transfer Transaction Detail, Settlement Asset Detail pages by clicking the **Security Issue ID** link.

The screenshot shows the DTCC Automated Customer Account Transfer Service (ACATS) Home Page. The navigation menu includes 'Home', 'ACATS Transaction Inputs', 'ACATS Inquiry', 'ACATS Output', 'ACATS Statistical Reports', 'Help', and 'Logout'. The 'ACATS Inquiry' menu is expanded, showing options like 'Transaction History', 'Transfer Position', 'Transfer Settlement', 'Participant Master Inquiry', and 'Asset Master Inquiry' (highlighted with a red box). Other menu items include 'ACATS Output' (Reports, Data Files, Statistical Reports - NEW) and 'ACATS Statistical Reports' (Create Reports - NEW). The page also displays the date and time 'Wed Aug 19 17:50:39 EDT 2015' and 'Logged on as:'. The footer contains 'www.dtcc.com', 'Contact Us', and 'Important Legal Information'.

ACATS Inquiry Main menu

The Asset Master Inquiry page appears.

The screenshot shows the DTCC Automated Customer Account Transfer Service (ACATS) Asset Master Inquiry page. The navigation menu includes 'Home', 'ACATS Transaction Inputs', 'ACATS Inquiry', 'ACATS Output', 'ACATS Statistical Reports', 'Help', and 'Logout'. The 'ACATS Inquiry' menu is expanded, showing options like 'Transaction History', 'Transfer Position', 'Transfer Settlement', 'Participant Master Inquiry', and 'Asset Master Inquiry' (highlighted with a red box). Other menu items include 'ACATS Output' (Reports, Data Files, Statistical Reports - NEW) and 'ACATS Statistical Reports' (Create Reports - NEW). The page also displays the date and time 'Thu Sep 03 16:11:29 EDT 2015' and 'Logged on as:'. The footer contains 'www.dtcc.com', 'Contact Us', and 'Important Legal Information'.

Asset Master Inquiry

2. From the Asset Master Inquiry page, select one of the following:

- Select CUSIP, and then type the 9-digit CUSIP.
 - Select ISIN, and then type the 12-digit number used to identify securities.
 - Select OPTION, and then type the option symbol.
3. Click **Search**. ACATS returns the search results that list all of the information ACATS has in its database about the asset.
- **Click here for an example of the search results when using the CUSIP field.**

Asset Master Inquiry

Search Criteria # = Required

Security: * *

Search Results

Security ID:	US1000R0000
Asset Description:	PARTNERS
Price:	45.4500000
Currency Code:	USD
Denomination:	1000
IPO Indicator:	NO
Issue Non Transferable:	NO
Auction Rate Security:	NO

Settlement Location	Settlement Location Reason	Settlement Location Name
05		CNS
25		DTC

Asset Master Inquiry Search - CUSIP

- **Click here for an example of the search results when using the ISIN field.**

Asset Master Inquiry

Search Criteria # = Required

Security: * *

Search Results

Security ID:	US0000000000
Asset Description:	COMPANY NAME
Price:	51.0800000
Currency Code:	USD
Denomination:	1
IPO Indicator:	NO
Issue Non Transferable:	NO
Auction Rate Security:	NO

Settlement Location	Settlement Location Reason	Settlement Location Name
05		CNS
25		DTC

Asset Master Inquiry Search - ISIN

- **Click here for an example of the search results when using the Option Symbol field.**

Asset Master Inquiry

Search Criteria = Required

Security: * *

Page: 1 Records Displayed: 1 to 100 of 297

Search Results

Cusip:	Option Symbol:	AA	
Security ID	Price	Option Decimal/Fraction Indicator	Settlement Location
AA 2015102300001000	1,000	D	35
AA 2015102300002000	1,500	D	35
AA 2015102300002500	2,000	D	35
AA 2015102300003000	2,500	D	35
AA 2015102300003500	3,000	D	35
AA 2015102300004000	3,500	D	35
AA 2015102300004500	4,000	D	35
AA 2015102300005000	4,500	D	35
AA 2015102300005500	5,000	D	35

Asset Master Inquiry Search - Option Symbol

Asset Master Inquiry Field Definitions

Field definitions are listed in the order as they appear, grouped by categories. The following table shows the field definitions available from the Search Criteria sections of the Asset Master Inquiry page.

Asset Master Inquiry - Search Criteria Field Definitions

Security Option	Description
CUSIP	Committee on Uniform Security Identification Procedures (CUSIP), which consists of a nine-character alphanumeric code that identifies the security.
ISIN	International security identification number (ISIN), which consists of a country code, a nine-character alphanumeric code that identifies the security, and an ISIN check digit (when the country code is not US).
Option Symbol	Six-character option symbol.

The following table shows the field definitions available when using a CUSIP to search from the Asset Master Inquiry page.

Asset Master Inquiry page - CUSIP results Field Definitions

Field	Description
Security ID	International security identification number (ISIN), which consists of a country code, a nine-character alphanumeric code that identifies the security, and an ISIN check digit (when the country code is not US).
Asset Description	Text description of the asset being transferred.
Price	Price of the asset.
Currency Code	Defaults to USD as the three-character ISO currency code for the asset.

Asset Master Inquiry page - CUSIP results Field Definitions

Field	Description
Denomination	
IPO Indicator	Initial Public Offering (IPO) Valid values: <ul style="list-style-type: none"> • YES • NO
Issue Non Transferable	Displays whether the issue is nontransferable. Valid values: <ul style="list-style-type: none"> • YES—Issue is nontransferable. • NO—Issue can be transferred.
Auction Rate Security	Displays whether the asset is eligible or not of an auction rate security. Valid values: <ul style="list-style-type: none"> • YES—Asset is eligible. • NO—Asset is ineligible.
Settlement Location	System or processing method used to facilitate deliveries in ACATS transfers. Valid values: <ul style="list-style-type: none"> • 00—System Generated • 05—CNS or DTC • 10—Fund/SERV • 25—DTC • 30—Undeliverable • 35—OCC • 40—Cash Balance • 45—Memo • 50—R&D • 55—Foreign • 60—IPS (Insurance Processing Service) • 65—Insurance Memo
Settlement Location Reason	Code identifying the settling location reason.
Settlement Location Name	Name of the settling location.

The following table shows the field definitions available when using an ISIN to search from the Asset Master Inquiry page.

Asset Master Inquiry - ISIN results Field Definitions

Field	Description
Security ID	International security identification number (ISIN), which consists of a country code, a nine-character alphanumeric code that identifies the security, and an ISIN check digit (when the country code is not US).
Asset Description	Text description of the asset being transferred.
Price	Price of the asset.
Currency Code	Defaults to USD as the three-character ISO currency code for the asset.
Denomination	
IPO Indicator	Initial Public Offering (IPO) Valid values: <ul style="list-style-type: none"> • YES • NO
Issue Non Transferable	Displays whether the issue is nontransferable. Valid values: <ul style="list-style-type: none"> • YES—Issue is nontransferable. • NO—Issue can be transferred.
Auction Rate Security	Displays whether the asset is eligible or not of an auction rate security. Valid values: <ul style="list-style-type: none"> • YES—Asset is eligible. • NO—Asset is ineligible.

Asset Master Inquiry - ISIN results Field Definitions

Field	Description
Settlement Location	System or processing method used to facilitate deliveries in ACATS transfers. Valid values: <ul style="list-style-type: none"> • 00–System Generated • 05–CNS or DTC • 10–Fund/SERV • 25–DTC • 30–Undeliverable • 35–OCC • 40–Cash Balance • 45–Memo • 50–R&D • 55–Foreign • 60–IPS (Insurance Processing Service) • 65–Insurance Memo
Settlement Location Reason	Code identifying the settling location reason.
Settlement Location Name	Name of the settling location.

The following table shows the field definitions available when using an Option symbol to search from the Asset Master Inquiry page.

Asset Master Inquiry - Option results Field Definitions

Field	Description
Security ID	International security identification number (ISIN), which consists of a country code, a nine-character alphanumeric code that identifies the security, and an ISIN check digit (when the country code is not US).
Price	Price of the asset.

Asset Master Inquiry - Option results Field Definitions

Field	Description
Option Decimal/Fraction Indicator	Indicator for the decimal/fraction option.
Settlement Location	System or processing method used to facilitate deliveries in ACATS transfers. Valid values: <ul style="list-style-type: none">• 00–System Generated• 05–CNS or DTC• 10–Fund/SERV• 25–DTC• 30–Undeliverable• 35–OCC• 40–Cash Balance• 45–Memo• 50–R&D• 55–Foreign• 60–IPS (Insurance Processing Service)• 65–Insurance Memo

VIEWING ACATS REPORTS AND DATA FILES

ACATS provides files, reports, and statistical reports, which are explained in the following sections:

- [ACATS Output Reports](#)
- [ACATS Output Data Files](#)
- [ACATS Statistical Reports](#)
 - [Creating ACATS Statistical Reports](#)
 - [Viewing ACATS Statistical Reports](#)
 - [Statistical Report File Format](#)

These reports provide a summary of ACATS transfer statistics for a specified time period. Different tabs within a report focus on a certain aspect of the report. If a tab does not contain information for a particular request during the specified time period, it does not appear in the report. For more information about ACATS Statistical Reports, see *ACATS Statistical Reports User Guide* available in the [ACATS User Guides](#) section of the DTCC Learning Center.

ACATS Output Reports

To access an ACATS output report:

1. From the ACATS Home Page, click **Reports**. You can also choose **ACATS Output > Reports** from the drop-down list displayed at the top of the page.

The screenshot shows the DTCC Automated Customer Account Transfer Service (ACATS) Home Page. The page has a dark blue header with the DTCC logo and the title 'Automated Customer Account Transfer Service'. Below the header is a navigation menu with the following items: Home, ACATS Transaction Inputs, ACATS Inquiry, ACATS Output, ACATS Statistical Reports, Help, and Logout. The 'ACATS Output' menu is expanded, showing a list of options: Reports, Data Files, Statistical Reports -NEW, and Create Reports -NEW. The 'Reports' option is highlighted with a red box. The page also displays the date 'Wed Aug 19 17:50:39 EDT 2015' and the user 'Logged on as:'. The main content area is titled 'ACATS Home Page' and contains two columns of links. The left column is titled 'ACATS Transaction Inputs' and includes links such as 'Fail Reversal', 'Full Transfer', 'Mutual Fund Cleanup', 'Partial Transfer Deliverer', 'Partial Transfer Receiver', 'Position Transfer Fund', 'Residual Credit', 'Reclaim', 'Adjust Transfer', 'Reject Transfer', 'Accelerate a Transfer', 'Add an Asset', 'Adjust an Asset', 'Delete an Asset', 'Fund Registration', 'Insurance Registration', 'Data Review / Send', 'Summary', 'Send', and 'Sent Batches'. The right column is titled 'ACATS Inquiry' and includes links such as 'Transaction History', 'Transfer Position', 'Transfer Settlement', 'Participant Master Inquiry', and 'Asset Master Inquiry'. Below the 'ACATS Inquiry' column is the 'ACATS Output' section, which contains the 'Reports' link highlighted in red. The page footer includes the URL 'www.dtcc.com', a 'Contact Us' link, and an 'Important Legal Information' link.

ACATS Home Page: Reports

The ACATS Output Reports page appears.

2. In the Participant Number field, type or select from the drop-down list the **four-digit participant number** to search for the participant. If you are logged in as a service bureau, this field becomes a drop-down list that contains all participant numbers to which you have access.
3. Click **Submit**.

The ACATS Output Reports page displays the available report files.

The screenshot shows the DTCC Automated Customer Account Transfer Service (ACATS) interface. The header includes the DTCC logo and the service name. Below the header is a navigation menu with options: Home, ACATS Transaction Inputs, ACATS Inquiry, ACATS Output, ACATS Statistical Reports, Help, and Logout. The main content area is titled "ACATS Output Reports" and includes a search bar for "Participant Id:" with a dropdown menu showing "0122". Below the search bar, it states "Files for participant 4640 found" and displays a table of reports. The table has columns for "Select", "File Name", "Cycle", and "Date". There are four rows of reports, each with a checkbox in the "Select" column. A "Display Selected" button is located at the bottom right of the table.

Select	File Name	Cycle	Date
<input type="checkbox"/>	ACATS_MULTI_CYCLE_TRANSACTION_REPORT	C01	09-08-15
<input type="checkbox"/>	ACATS_END_OF_DAY_REPORT	C00	09-09-15
<input type="checkbox"/>	ACATS_SETTLEMENT_REPORT	C00	09-09-15
<input type="checkbox"/>	ACATS_RECEIVE_INSTRUCTIONS_REPORT	C00	09-09-15

ACATS Output Reports page

- To view reports, click the check box next to the report or the file name hyperlink for the report that you want to view. You can select more than one report.
- Click **Display Selected**.

Note

- After generating a report, it is available in ACATS for seven calendar days.
- If a specific report does not appear at the expected time, check again at a later time.

ACATS Output Data Files

To access an ACATS output data files:

1. From the ACATS Home Page, click **Data Files**.

The screenshot shows the DTCC Automated Customer Account Transfer Service (ACATS) Home Page. The page has a dark header with the DTCC logo and the service name. Below the header is a navigation bar with links for Home, ACATS Transaction Inputs, ACATS Inquiry, ACATS Output (selected), and ACATS Statistical Reports. There are also links for Help and Logout. The main content area is titled 'ACATS Home Page' and contains several sections of links. The 'ACATS Output' section is highlighted, and the 'Data Files' link is highlighted with a red box. The page also displays the date and time (Wed Aug 19 17:50:39 EDT 2015) and the user's login status (Logged on as: [redacted]).

ACATS Home Page: Data Files

The ACATS Output Data Files page appears.

2. Choose a participant ID from the drop-down list, and then click **Submit**.

The Data Files page displays a list of ACATS data files. Each link contains a data file.

The screenshot shows the ACATS Output Data Files page. At the top, there is a navigation bar with links for Home, ACATS Transaction Inputs, ACATS Inquiry, ACATS Output, ACATS Statistical Reports, Help, and Logout. The page title is "ACATS Output DataFiles". Below the title, there is a search form with a "Participant Id:" field containing "0122" and a "Submit" button. Below the search form, there is a table titled "Files for participant 0161 found" with columns for File Name, Cycle, and Date.

File Name	Cycle	Date
ACATS END OF DAY POSITION MRO VARIABLE	C00	09-09-15
ACATS END OF DAY SETTLEMENT MRO VARIABLE	C00	09-09-15
ACATS END OF DAY POSITION MRO FIXED	C00	09-09-15
ACATS END OF DAY SETTLEMENT MRO FIXED	C00	09-09-15
ACATS FUND/SERV STATISTICS MRO FIXED	C00	09-09-15
ACATS EVERSIS NON-CNS & CNS MRO	C01	09-09-15
ACATS INSURANCE STATS MRO VARIABLE	C00	09-08-15
ACATS INSURANCE STATS MRO VARIABLE	C00	09-09-15
ACATS INSURANCE STATS MRO VARIABLE	C00	09-11-15
ACATS INSURANCE STATS MRO FIXED	C00	09-08-15
ACATS INSURANCE STATS MRO FIXED	C00	09-09-15
ACATS INSURANCE STATS MRO FIXED	C00	09-11-15

ACATS Output Data Files Page

3. Click a link to download the selected data file.

ACATS Statistical Reports

ACATS Statistical Reports contain interactive, on-demand information. You can obtain ACATS Statistical Reports that show a summary of ACATS transfer statistics for a specified time period. The reports are offered two different ways:

- Individual firm results
- Aggregated industry results*

* The aggregate reports do not show participant level data.

You can search for data within a specific date range. Real-time reports are available for dates that do not exceed 31 calendar days. Otherwise, you can create and download ACATS Statistical Reports that exceed the 31-calendar day date range. After generating a report, it is available in ACATS for 7 calendar days.

ACATS provides access to the following reports:

- ACATS Broker to Broker Transfers report
- ACATS Free Delivery report
- ACATS Non-Standard Transfers (Broker to Broker) report
- ACATS Non-Standard Transfers (Free Delivery) report
- ACATS Mutual Funds report

These reports are available for download in the Microsoft Excel (.xls) file format.

For more information about creating and viewing ACATS Statistical Reports, see *ACATS Statistical Reports User Guide* available in the [ACATS User Guides](#) section of the DTCC Learning Center.

Creating ACATS Statistical Reports

To create an ACATS statistical report:

1. From the ACATS Home Page, click **Create Reports**. You can also choose **ACATS Statistical Reports > Create Reports** from the drop-down list displayed at the top of the page.

The screenshot displays the ACATS Home Page interface. At the top, the DTCC logo and 'Automated Customer Account Transfer Service' are visible. A navigation bar includes links for Home, ACATS Transaction Inputs, ACATS Inquiry, ACATS Output, ACATS Statistical Reports, Help, and Logout. The page title is 'ACATS Home Page'. On the left, there is a list of 'ACATS Transaction Inputs' including options like 'Fail Reversal', 'Full Transfer', and 'Add an Asset'. On the right, there are two menu sections: 'ACATS Inquiry' with links like 'Transaction History' and 'Asset Master Inquiry', and 'ACATS Output' with links like 'Reports' and 'Data Files'. Below these is the 'ACATS Statistical Reports' section, where the 'Create Reports - NEW' link is highlighted with a red box. The footer contains the website URL 'www.dtcc.com' and links for 'Contact Us' and 'Important Legal Information'. The date and time 'Wed Aug 19 17:50:39 EDT 2015' and 'Logged on as:' are also present.

ACATS Home Page: Reports

The Create Reports page appears.

DTCC Automated Customer Account Transfer Service

Home ACATS Transaction Inputs ACATS Inquiry ACATS Output ACATS Statistical Reports Help Logout

Wed Sep 02 16:46:07 EDT 2015
Logged on as: _____

ACATS Menu > Create Reports

ACATS Statistical Reports

Report Selection Criteria * = Required

Participant Number: 0122 Aggregate Reports Start Date (MM/DD/CCYY): * End Date (MM/DD/CCYY): *

<input type="checkbox"/> Select All	Report Category
<input type="checkbox"/>	ACATS (Broker to Broker Transfers)
<input type="checkbox"/>	ACATS (Free Delivery)
<input type="checkbox"/>	ACATS Non-Standard Transfers (Broker to Broker)
<input type="checkbox"/>	ACATS Non-Standard Transfers (Free Delivery)
<input type="checkbox"/>	ACATS Mutual Funds

Submit Reset

Contact Us Important Legal Information

Create Reports

- In the Participant Number field, type or select from the drop-down list the four-digit participant number to search for the participant. If you are logged in as a service bureau, this field becomes a drop-down list that contains all participant numbers to which you have access.
- To create only aggregate reports, select the **Aggregate Reports** check box.
- In the Start Date field, enter the start date, in MM/DD/CCYY format, or click the calendar to select a start date.
- In the End Date field, enter the end date, in MM/DD/CCYY format, or click the calendar to select an end date.
- Click the check box next to the report that you want to view. You can select more than one report or click Select All to select all of the reports.
- Click **Submit**.

If the date range is less than 31 days, ACATS automatically generates the report, and you can view it in Microsoft Excel. If the date range is greater than 31 days, access the report by selecting **ACATS Output > Statistical Reports**.

Note

- After generating a report, it is available in ACATS for seven calendar days.
- If a specific report does not appear at the expected time, check again at a later time.

Viewing ACATS Statistical Reports

If you want to view ACATS Statistical Reports for a period greater than 31 days, create the report and then view the report. See [Creating ACATS Statistical Reports](#)

To view ACATS Statistical Reports with a date range greater than 31 days:

1. From the ACATS Home Page, click **Statistical Reports**. You can also select **ACATS Output > Statistical Reports** from the drop-down menu.

The screenshot displays the DTCC Automated Customer Account Transfer Service (ACATS) Home Page. The page has a dark header with the DTCC logo and the service name. Below the header is a navigation bar with several menu items: Home, ACATS Transaction Inputs, ACATS Inquiry, ACATS Output, ACATS Statistical Reports, Help, and Logout. The date and time are shown as 'Wed Aug 19 17:50:39 EDT 2015' and the user is logged on as 'Logged on as: [redacted]'. The main content area is titled 'ACATS Home Page' and contains two columns of links. The left column is titled 'ACATS Transaction Inputs' and lists various actions like 'Fail Reversal', 'Full Transfer', 'Mutual Fund Cleanup', etc. The right column is titled 'ACATS Inquiry' and lists 'Transaction History', 'Transfer Position', 'Transfer Settlement', etc. Below the 'ACATS Inquiry' section is the 'ACATS Output' section, which is expanded to show 'Reports', 'Data Files', 'Statistical Reports - NEW' (highlighted with a red box), and 'ACATS Statistical Reports'. Under 'ACATS Statistical Reports', there is a link for 'Create Reports - NEW'. At the bottom of the page, there are links for 'Contact Us' and 'Important Legal Information'.

ACATS Home Page: Reports

The ACATS Output Statistical Reports page appears.

ACATS Output Statistical Reports

- Choose a participant ID from the drop-down list, and then click **Submit**.

The ACATS Output Statistical Reports page appears.

File Name	Cycle	Date
ACATS_BROKER_TO_BROKER_REPORT	C01	09-08-15
ACATS_BROKER_TO_BROKER_REPORT	C01	12-30-15
ACATS_BROKER_TO_BROKER_REPORT	C02	04-13-16
ACATS_FREE_DELIVERY_REPORT	C01	12-30-15
ACATS_FREE_DELIVERY_REPORT	C02	04-13-16
ACATS_NON-STAND_BROKER_TO_BROKER_REPORT	C01	09-10-15
ACATS_NON-STAND_BROKER_TO_BROKER_REPORT	C02	04-13-16
ACATS_NON-STAND_FREE_DELIVERY_REPORT	C01	12-30-15
ACATS_NON-STAND_FREE_DELIVERY_REPORT	C02	04-13-16
ACATS_MUTUAL_FUNDS_REPORT	C01	09-10-15
ACATS_MUTUAL_FUNDS_REPORT	C02	04-13-16
ACATS_AGGREGATE_BROKER_TO_BROKER	C01	04-13-16
ACATS_AGGREGATE_FREE_DELIVERY_REPORT	C01	04-13-16
ACATS_AGGREGATE_NON-STAND_BROKER_TO_BROKER_RPT	C01	04-13-16
ACATS_AGGREGATE_NON-STAND_FREE_DELIVERY_RPT	C01	04-13-16
ACATS_AGGREGATE_MUTUAL_FUNDS_REPORT	C01	04-13-16

ACATS Output Statistical Reports

- Click the report hyperlink that you want to view. See [Statistical Report File Format](#) For more information about the ACATS Statistical Reports and the field definitions for each report, see the *ACATS Statistical Reports User Guide*.

Note

- After generating a report, it is available in ACATS for seven calendar days.
- If a specific report does not appear at the expected time, check again at a later time.

Statistical Report File Format

If the date is less than 31 days, ACATS downloads the report with a file name using the REPORT_NAME.DYYMMDD.HHMMSS.xls format, where:

- REPORT_NAME = Abbreviated name identifying the report. Aggregated reports are appended with AGG_.
- DYYMMDD.HHMMSS = Date ACATS generated the report in year, month, day, hour, minutes, seconds format. For example, D160602.021037 represents June 2, 2016 at 2:10:37 PM.

If you request more than one report and the date is less than 31 days, ACATS downloads a zip file containing the reports.

If the date range is greater than 31 days, ACATS stores the report with a file name using the P0122.AR02152####.DYYMMDD.C##.xls format, where:

- P0122 = Participant number
- 02152#### = Number associated with a specific report, as show in the table.
- DYYMMDD = Date ACATS generated the report in year, month, day format. For example, D160602 represents June 2, 2016.
- C## = Cycle number used to distinguish reports generated on the same date.

Report Name and Code

Report Name	Identifying Code
ACATS BROKER TO BROKER REPORT	02152235
ACATS FREE DELIVERY REPORT	02152236
ACATS NON-STAND BROKER TO BROKER REPORT	02152238
ACATS NON-STAND FREE DELIVERY REPORT	02152239
ACATS MUTUAL FUNDS REPORT	02152290
ACATS AGGREGATE BROKER TO BROKER	02152291
ACATS AGGREGATE FREE DELIVERY REPORT	02152305
ACATS AGGREGATE NON-STAND BROKER TO BROKER RPT	02152306
ACATS AGGREGATE NON-STAND FREE DELIVERY RPT	02152307
ACATS AGGREGATE MUTUAL FUNDS REPORT	02152308

ACATS RESOURCES

- [Reject Codes](#)
- [Standard and Nonstandard Transfer Processing Guidelines](#)
- [NSCC File Formats for ACATS](#)
- [Special Characters](#)

Reject Codes

View the reasons and corresponding codes delivering firms must use when rejecting a transfer.

Note

For standard transfers, reject codes 01-05 are soft rejects (SRJ) and 06-09 are hard rejects (HRJ). For nonstandard transfers, reject codes 01-09 are hard rejects. For soft rejects, the receiving broker/dealer has twenty business days to take corrective action. For hard rejects, the transfer must be resubmitted.

Reject Codes - Deliverer

Reject Code	Description
01	Social security number tax ID mismatch.
02	Account title mismatch.
03	Documentation needed.
04	Account flat.
05	Invalid account number.
06	Duplicate
07	Account in distribution or transfer.
08	Client rescinded.
09	Missing authorization signature.

View the reasons and corresponding codes receiving firms must use when rejecting a transfer.

Reject Codes - Receiver

Reject Code	Description
21	Account violates credit policy of receiving firm. Reject of a full transfer or partial transfer receiver (PTR) because the account violates the credit policy of the receiving firm.
22	Unrecognized for residual credit (RCR) balance.
23	Partial transfer (deliverer initiated) reject. Reject of a partial transfer (PTD) initiated by the deliverer.
24	Fail reversal (FRV) reject.
25	Reclaim (RCL) reject.
27	Mutual fund cleanup (MFC) reject.

View the reasons and corresponding codes for position transfer funds (PTFs).

Reject Codes - Position Transfer Fund (PTF)

Reject Code	Description
15	Position Transfer Fund (Deliverer)
28	Position Transfer Fund (Receiver)

View the reasons that the ACATS system could reject a transaction.

System Reject Reasons

Reject Code	Description
01	Invalid field.
02	Missed cutoff.
03	Associated record not present or invalid.
05	Invalid sequence number.
08	Invalid length of record.
10	Invalid Add transaction – record does not exist.
11	Invalid Chg transaction – record does not exist.
12	Invalid Del transaction – record does not exist.
13	Requested action invalid due to transfer status.

System Reject Reasons

Reject Code	Description
14	Transaction invalid for contra participant.
15	Transaction invalid for submitting participant.
16	Invalid participant.
17	Invalid nonstandard transaction – invalid physical sequence.
18	Invalid nonstandard transaction – restricted asset type or settlement location.
19	Invalid transaction – Fund Registration already sent to Fund/SERV.
99	NSCC reject.

Standard and Nonstandard Transfer Processing Guidelines

The following table shows the standard and nonstandard transfer processing guidelines.

Standard and Nonstandard Transfer Processing Guidelines

Transfer Type	Eligible Asset Types	Allowed with Banks?	Comments
Fail Reversal (FRV)	All, except: <ul style="list-style-type: none"> Options (location 35) Cash (location 40) Annuity Assets (location 60) 	No	<p>ACATS does not send fail reversals to DTC. ACATS does not produce receive and deliver instructions. ACATS processes applicable monies through NSCC settlement under code 008.</p> <p>If a fail reversal contains a mutual fund asset, ACATS does not accept a mutual fund registration. Participants must register the mutual fund asset outside of ACATS.</p>
Full Transfer (FUL)	All	Yes	<p>Best practice: If a transfer with a bank includes an option, use the settling location of 35 OCC. ACATS indicates Undeliverable on the Asset Transaction report.</p>

Standard and Nonstandard Transfer Processing Guidelines

Transfer Type	Eligible Asset Types	Allowed with Banks?	Comments
Mutual fund cleanup (MFC)	Mutual funds with an asset category of MFMM (Mutual Fund Money Market) or MFNM (Mutual Fund Non-Money Market)	Yes	<p>ACATS does not send a Mutual Fund Cleanup transaction to DTC. ACATS does not produce receive and deliver instructions. ACATS processes applicable monies through NSCC settlement under code 008.</p> <p>For banks, this transaction serves only as a notification of a cleanup of the mutual fund free position. There is no settlement monies associated with the transaction when a bank is one of the parties involved in a mutual fund cleanup.</p> <p>Participants must complete the applicable registration of the mutual fund asset outside of ACATS prior to submitting the mutual fund cleanup transaction.</p>
Partial transfer deliverer (PTD)	All	Yes	
Partial transfer receiver (PTR)	All, except annuity assets	Yes	
Reclaim (RCL)	All, except: <ul style="list-style-type: none"> • Mutual Funds (location 10) • Undeliverable (location 30) • Options (location 35) • Annuity Assets (location 60) 	Yes	<p>ACATS does not send reclaims to DTC. Instead, ACATS generates valued receive and deliver instructions to both parties. ACATS processes applicable monies through NSCC settlement under code 008.</p>
Residual Credit (RCR)	All, except: <ul style="list-style-type: none"> • Options (location 35) • Cash Debits (location 40 with reason DEB) • Annuity Assets (location 60) 	Yes	<p>Short positions are ineligible for an RCR transaction.</p>

NSCC File Formats for ACATS

For a full list of input and output file formats, see the [ACATS Technical Resources](#) section in the Learning Center. The following table shows the description of each column header available in the file formats:

Column Headers on the ACATS Record Layouts

Column	Description
Field Name	Name of the field.
Length	Length of the field in bytes.
Start	Position where the field starts.
End	Position where the field ends.
Type	Type of field: <ul style="list-style-type: none"> • A/N = alphanumeric • NUM = numeric
Opt/Req/Cond	Indicates whether the field is: <ul style="list-style-type: none"> • OPT = optional field • REQ = required field • COND = conditionally required; depending on entries in other fields this field may be required
Comments	Field description, such as format, valid values, conditional requirements, and general use rules.

The following rules apply to fields:

- Alphanumeric type fields can include any character in the EBCDIC computer character set except unprintable characters, such as Low-Value, High-Value, and COMP-3 fields.
- Numeric type fields can only include digits (0-9).
- Required fields follow these rules:
 - Fields that contain a specified list of values that must be used.
 - Alphanumeric type fields without specified list of values can have any value as described in the first bullet, but do not leave blank.
 - Numeric type fields without a specified list of values must contain a numeric value greater than zero (0).
 - Fields with other requirements must also follow these requirements. For example, ACATS control number, when required, must be a valid, previously assigned control number for a transfer between the original receiver and original deliverer.

- Optional fields follow these rules:
 - Possible to leave blank.
 - Alphanumeric type fields without a specified list of values can have any value as described in the first bullet or can contain spaces.
 - Numeric type fields without specified list of values can contain a numeric value or space.
 - Fields with other requirements must follow these requirements or use spaces.
- All dates in the layouts have the format CCYYMMDD (except where otherwise indicated) where:
 - CC = century
 - YY = year in century
 - MM = month in year
 - DD = day in month

For example,

- December 20, 2015 is represented as: 20151220
- February 21, 2017 is represented as: 20170221

Special Characters

Here are the characters and special characters that are allowed by ACATS in all alphanumeric fields.

ABCDEFGHIJKLMNOPQRSTUVWXYZ

abcdefghijklmnopqrstuvwxyz

1234567890

!@#\$%&*

()-_=~{ }

¢ \ ; " < >

, . ? / ' `

®, |, [, '£',]

ACATS also allows blank spaces.

ACATS GLOSSARY

A

ACATS

The Automated Customer Account Transfer Service (ACATS) is the NSCC central processing system for the timely transfer of customer account assets between firms.

ACATS control number

ACATS assigns this number to a transaction when a new transfer request is submitted. The control number consists of the century (CC), year (YY) and Julian date (DDD) when the record was submitted, and the system-assigned sequence number (NNNNNNN), beginning at 0000001 for each century, year, and date.

accelerated cycle

The settlement cycle can be shortened an additional business day if the receiver uses the Acceleration Request on the same day the deliverer inputs the assets. When a receiver uses the acceleration feature on the same day that the deliverer loads the assets, such as when the deliverer validates the account, ACATS shortens the settlement cycle of the transfer by one business day.

account type

Identifies the different types of retail and nonretail accounts that can be held on the books of a firm, such as single, joint, trust/nonretail accounts-IRA, 401K, medical savings account.

asset quantity

Number of shares or units to transfer. ACATS supports a maximum of four decimal places for fractional shares.

Asset Quantity Request indicator

Required field for a partial transfer receiver (PTR). Indicates whether the request is for a full or partial asset position.

asset sequence number

A number assigned sequentially by ACATS to assets added to a transfer.

asset transfer (AT) input record

Record type used to: add assets, associate transferring assets to a transfer input (TI) record for nonstandard transfers, and change or delete previously entered assets for full transfers.

associated control number

Control number of a previous ACATS transfer. Required field for transactions based on prior ACATS transfers, such as residual credits (RCR), reclaims (RCL), mutual fund clean-ups (MFC), and fail reversals (FRV). The original deliverer must enter the ACATS control number of the prior associated transfer in the Associated Control Number field when submitting a new transfer.

associated settlement date

Date of the settlement for a prior associated ACATS transfer. Required field for residual credits, reclaims, mutual fund clean-ups, and fail reversals, which are transactions based on a prior ACATS transfer. The original deliverer must enter the date of settlement of the prior

associated transfer in the Associated Settlement Date field when submitting a new transfer of one of these types.

AutoRoute

Also known as Common Data Transfer Service (CDTS) output. NSCC's internal system for routing all output, both reports and files, to firms.

B

beneficiary ID qualifier

Beneficiary ID type.

beneficiary relationship to owner

Relationship of the beneficiary to the owner of the insurance asset.

business day

ACATS processes input and produces output five days a week, Monday through Friday, excluding holidays.

C

cash/margin/short code

Indicates whether a specific customer account type, such as single and joint, is cash, margin, or short. Applies to retail account types.

CNS

CNS. NSCC's book-entry account system. CNS centralizes the settlement of security transactions and maintains an orderly flow of security and money balances between firms.

comments

Used by the original receiver or original deliverer to exchange information with the counterparty.

contract number

The contract/policy number assigned by the insurance carrier.

correspondent number

See original receiver correspondent.

CPU

Central processing unit. A CPU-to-CPU connection is the automatic computer-to-computer connection that firms use to communicate with ACATS.

currency code

Currency in which the asset is valued. See ISO currency code.

D

DataTrak

Also known as common data transfer service (CDTS) input. NSCC's internal system for routing all incoming data files for processing. DataTrak checks that the date on the input file header is correct, the participant on the header is valid, and the number of records falls within an expected range. It then routes each batch of data to the appropriate processing system, in this case, ACATS.

delivery order (DO)

An order generated by ACATS, instructing DTC to deliver a DTC-eligible, but not CNS-eligible, security from one firm to another.

Depository Trust Company (DTC)

A subsidiary of The Depository Trust and Clearing Corporation (DTCC). DTC is a national depository for the settlement of trades in corporate and municipal securities.

E

END OF DAY (E) file

This report includes all firm activity for every cycle within one business day. Every ACATS MULTICYCLE TRANSACTION (M) file is concatenated in this file.

END OF DAY POSITION MRO (P) file

A report that contains a snapshot of the status of all transfers for a firm at the end of the day. It reflects changes of transfer status resulting from activity and system aging.

F

fail reversal (FRV)

A nonstandard transfer that allows the original deliverer to reverse monies from the original receiver for an open fail transaction. Eligible for only broker-to-broker transfers.

fixed-length format

A format in which each transaction contains one or more 80-byte long records. ACATS supports fixed-length record formats.

full transfer (FUL)

A standard transfer in which a receiver requests all assets in a customer's account from the deliverer.

fund registration (FR) input record

An input record that allows the input of registration data about a mutual fund eligible to settle through the ACATS-Fund/SERV interface.

Fund/SERV

An NSCC service that is the industry standard for automated, centralized processing of mutual fund purchases and redemption orders, settlement, and account registration.

I

Inforce Transaction

A link between ACATS and Insurance Processing Service (IPS) that enables broker-dealers, banks, and insurance carriers to communicate broker-dealer change information in an automated fashion.

insurance registration (IR) input record

An input record that allows the receiver to submit insurance registration values to the ACATS system for processing.

insurance transfer type

Identifies what type of transfer is taking place in an ACATS-IPS transaction. The transfer type determines what information the carrier needs to process the broker/dealer change.

INTERFACE REJECTS MRO (I) file

This file contains items rejected by DTC because of an unknown firm or asset. For these items, ACATS also produces a print image receive and deliver (R&D) report.

IRS qualification code

Classifies the annuity asset for IRS tax purposes.

ISIN country code

A two-character alphabetic code that precedes the ISIN security issue ID and identifies the issuing country of the security.

ISIN security check digit

A single digit that appears at the end of the ISIN Security Issue ID. This number is calculated using the modulus double-add-double formula.

ISIN Security Issue ID field

A nine-character alphanumeric field that identifies the security.

ISO Currency Code field

Required field when the Requested Settling Location and Reason field is set to 50 FCUR. The default is USD.

M

MBS serial note

The serial note unit number on a Puerto Rican mortgage-backed security (MBS).

multicycle

The reporting of output from ACATS to firms at multiple times throughout the processing day.

MULTICYCLE TRANSACTION (M) file

A report that includes all activity for a firm for one cycle.

mutual fund cleanup (MFC)

A nonstandard transfer that allows a deliverer to recoup incentive charges associated with the transfer of mutual fund assets that were included in earlier ACATS transfers but did not successfully settle through the ACATS-Fund/SERV interface. These assets were subsequently registered again outside ACATS. The cleanup reverses the settlement incentive money charged to the deliverer, and credited to the receiver, when ACATS prepared the original transfer for settlement.

N

National Securities Clearing Corporation (NSCC)

A subsidiary of The Depository Trust and Clearing Corporation (DTCC). National Securities Clearing Corporation (NSCC) is the world's leading provider of centralized clearance, settlement, and information processing to the financial services industry.

nonstandard transfer

A transfer initiated by the original deliverer that has a shortened settlement schedules; such as residual credit, partial transfer, reclaim, fail reversal, mutual fund clean-up.

O**OCC deliverer number**

The deliverer's number at the Options Clearing Corporation (OCC) if it is different from the deliverer's NSCC membership number.

OCC receiver broker number

The receiver's number at the Options Clearing Corporation (OCC) if it is different from the receiver's NSCC membership number.

option account type

The type of account at the Options Clearing Corporation (OCC).

option category

Required field on the asset record that indicates whether the asset is an equity option, non-equity option, International Currency Series (ICS) option, or not an option.

option symbol

Required on an asset record when the asset is an option. The symbol is associated with an asset when adding an option request.

Options Clearing Corporation (OCC)

The sole provider of clearance and settlement for the equity option marketplace in the United States.

original deliverer customer account name

The exact customer name of the account as it is known on the deliverer's books.

original deliverer customer account number

The exact customer account number of the customer as it is known on the deliverer's books.

original deliverer number

The membership number of the NSCC participant that is the original deliverer of the assets.

original receiver correspondent

Symbol/number for the original receiver correspondents, such as the OTC executing broker symbol of the correspondent firm for which the original receiver is taking in the account.

original receiver customer account name

The exact customer name of the account as it is known on the receiver's books.

original receiver customer account number

The exact customer account number for the customer as it is known on the receiver's books.

original receiver customer account type

Identifies the type of account held on the receiver's books, such as 401K, Corporate, Roth IRA, Direct Rollover, Single, Medical Savings Account.

original receiver customer SSN

The social security or tax ID number of the account being transferred to the receiver. ACATS allows for two social security or tax ID numbers: primary (required) and secondary (optional).

original receiver number

The number of the NSCC participant that is the original receiver of the transfer of assets.

Owner Natural/Non-Natural indicator

Determines whether the owner is a person or an institution, such as a company or trust. This field is required if the Insurance Transfer Type field equals 02, 03, or 04.

P

partial transfer deliverer (PTD)

A nonstandard transfer that allows the deliverer to transfer portions of a customer's account to the receiver, as instructed by the customer to the deliverer.

partial transfer receiver (PTR)

A request allowing the receiver to communicate a memo to the deliverer requesting that portions of a customer account be transferred. No assets are transferred until the deliverer validates the PTR request by loading the assets.

participant number

Four-digit number assigned to each NSCC member.

position code

Position of the transferring asset. Required on the asset record when adding an asset.

position transfer fund (PTF)

A standardized, automated method of processing transfers of mutual fund assets between brokers, banks, and mutual fund companies.

primary SSN

Social security number (SSN) of the primary account holder.

R

reclaim (RCL)

A nonstandard transfer that allows the original deliverer to initiate the return of an asset that has already been transferred to the original receiver.

requested settling location

Field on the Asset Transfer (AT) record that allows the deliverer to request a settling location or method, for example, CNS, cash balance, and memo.

requested settling reason

Field on the Asset Transfer (AT) record that is required when the settling location is OCC, Cash Balance, Memo, or R&D. Examples of reasons are: Underlying Security, Debit Balance, Underlying Cash Balance, and Safekeeping.

residual credit (RCR)

A nonstandard transfer that allows the original deliverer to transfer any credit balances received into the customer's account after the account has been transferred, for example, Cash Dividends.

Review Adjust Receiver Accelerate status

ACATS allows the receiving firm to delete a specific mutual fund, annuity, or alternative investment asset. When a receiving firm submits a mutual fund or insurance asset delete transaction, ACATS accelerates the remaining assets in the account transfer and places the account in the 240–Review Adjust Receiver Accelerate transfer status.

S

secondary SSN

Optional. Social security number (SSN) of the secondary account holder if the account is jointly held.

SETTLEMENT (S) file

A file that contains a subset of what appears in the ACATS END OF DAY POSITION MRO (P) file. This file reflects all items in the 300–Settle Prep status for standard or nonstandard transfers that can contain options, mutual funds, assets, and transfers in 310–Settle Close status for nonstandard transfers without options and mutual funds. For items sent to the interfacing organizations, the firm must look at the organization's reports to determine if actual delivery was made.

Settlement Date field

Date the asset transfer settles. This field is in the ACATS Transfer Position, ACATS Settlement, and Interface Organization Reject files, or the day the asset attempted to settle in the Interface Organization Reject file.

settlement timing

Indicates when the asset is scheduled to settle. In the ACATS Transfer Position and ACATS Settlement files, the Settlement Timing field is 1 if the asset settles the next business day, 2 if the asset settles on the second business day, 3 if the asset settles in three business days. ACATS uses 3 only for bank holidays.

soft reject

An error condition that allows the receiving broker/dealer to take corrective action within a 20-business day period (Broker Not Appointed).

standard transfer

See full transfer.

status

Indicates the current ACATS status of the transfer. Since ACATS is a multi-batch system, each input can, and usually does, change the status of the transfer.

Submitting Participant Number

Indicates the firm who submits the information. That is, which of the two parties—the original receiver or original deliverer—input the records.

T

transaction type

Indicates whether the submitter is adding, changing, rejecting, or accelerating a transfer.

transfer acceleration

Occurs when the receiver requests that ACATS process a transfer one day earlier than the standard schedule. On the same day the deliverer validates assets in an account, the receiver can request the transfer process complete in two business days, rather than the standard three business days from time of asset transfer input. The transfer acceleration also allows the receiving firm to restrict additional adjustments from the delivering firm. In addition, transfer acceleration allows the receiving firm to expedite the fund registration (FR) record to the fund company.

transfer disbursement options

Three optional fields (Accrual Bucket, Residuals, and Cash-in-lieu) for the fund to communicate the actual disbursement method taken during the transfer period for the accrual bucket, residuals, and cash-in-lieu resulting from fractional shares.

transfer initiation form (TIF)

Form signed by the account holder that gives the receiver authorization to transfer the account from the deliverer.

transfer input (TI) record

Record type used to initiate transfer requests, change transfer request information, reject transfer requests, or accelerate the transfer process. A transfer input (TI) record is sourced from the transfer initiation form (TIF) that is completed by the account owner.

transfer type

Identifies the type of ACATS transfer in the ACATS Transfer Input (TI) record. Some examples are fail reversal, full transfer, mutual fund cleanup, partial transfer, reclaim, and residual credit.

transfer type reject

Receiver's or deliverer's reason for rejecting the account transfer request. Examples of deliverer reject codes (codes 1 through 9) are social security number/tax ID mismatch, invalid account number, or the client rescinded. Examples of receiver reject codes (codes 21 through 27) are account violated credit policy of the receiving firm, mutual fund cleanup reject, partial transfer reject, or fail reversal reject.

FOR MORE INFORMATION

Email DTCC Learning at:

CoreLearning@dtcc.com

or visit us on the web at:

www.dtcclearning.com

