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## Asset Services

### 9.12 INTERACTIVE REORG PUTS PROCESSING ICM INPUT PROCESSING AND OUTPUT MESSAGING GUIDE VIA CCF, CCF-II AND MDH: RPP1 AND RPP5 FUNCTION USER'S GUIDE

DECEMBER 28, 2023

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## OBJECTIVES OF THIS CHAPTER

This document describes how Participants can use CCF, CCF-II and MDH for submitting Put Bond Voluntary Offering Instructions to DTC.

This is a combined user guide for both CCF and MDH. Participants should familiarize themselves with the DTC documents "INTERFACE CONTROL MANAGEMENT CCF, CCF-II and MDH USER'S GUIDE for Transaction Input" and "INTERFACE CONTROL MANAGEMENT CCF, CCF-II and MDH GENERAL

FUNCTION USER'S GUIDE for MESSAGING Output." These ICM documents describe new standards for transaction processing using DTC's automated systems. Specifics relating to the operation, error processing and recovery for CCF, CCF-II and MDH transmissions are addressed in the ICM documents.

# THE RPP1 AND RPP5 FUNCTION: OVERVIEW

The **RPP1 and RPP5** functions enable Participants to transmit subscription instructions to DTC to:

Submit a Voluntary Offering Instruction for an active put bond.

The valid activity types for put bonds are as follows :

'55'	Relinquishment
'55B'	Relinquishment - Book Entry
'58'	Repayment
'58B'	Repayment - Book Entry
'62'	Mortgage Backed Put
'62B'	Mortgage Backed Put - Book Entry
'65B'	Retention - Book Entry
'65R'	Retention

The Participant may perform the following:

**Voluntary Offering Instruction (referred to as a VOI):** this allows the Participant to submit shares on the contra CUSIP for an active put bond.

## Holiday Processing

The RPP1 and RPP5 functions will process on holidays as follows :

1. ALL CLOSED - Banks, Exchange and DTC closed : (New Years Day, Presidents Day, Memorial Day, July 4th, Labor Day, Thanksgiving Day, and Christmas Day)  
The RPP1 and RPP5 functions will not be available.
2. Banks Closed, Exchange Open and DTC Open (Columbus Day, Veterans Day) The RPP1 and RPP5 functions will be available.
3. Banks Open, DTC Open, Exchange Closed (Good Friday) The RPP1 and RPP5 functions will be available.
4. Exchange Open, Banks and DTC Closed (Martin Luther King Day) The RPP1 and RPP5 functions will not be available.

## Availability

The function names and cutoff times associated with each interface are as follows:

- A. Before the expiration date of the offering:
  - 1. MDH - RPP1 --> available between 0600 : 1200
  - 2. CCF - RPP5 --> available between 0600 : 1200
  - 3. CFII - RPP5 --> available between 0600 : 1200
- B. On the expiration date of the offering:
  - 1. MDH - RPP1 --> available between 0600 : 1200
  - 2. CCF - RPP5 --> available between 0600 : 1200
  - 3. CFII - RPP5 --> available between 0600 : 1200

### Response Time for Reject and Output Messages

The expected waiting time between submitting a transaction and receiving a response for both rejected and accepted transactions is 15 minutes.

# FILE SPECIFICATIONS

## Password Record Format

The Password Record consists of a single record describing the signon-ID and password as shown below.

Position	Length	Format	Field Name	Field Description
1	3	Character	Record Identifier	Record Identifier (ALWAYS 'PSW').
4	6	Character	Signon ID	Participant Signon ID. Left justified, blank filled.
10	6	Character	Password	Data Encryption Password assigned by DTC. This password does not change with each function.
16	6	Character	Activity Type	Activity type
22	3	Numeric	Tran-id	Transmission ID. Non-zero value; zero filled.
25	4	Numeric	Filler	Filler. Must be zero; filled.
29	52	Character	Filler	Filler. Not used.

Figure 4. Password Record (User Transmits to DTC)

## INPUT RECORD TYPES

Each Mortgage Backed Puts transaction (activity types "62 " and "62B") consists of at least 2 records, as they are broken down by customer. These records are as follows :

1. Detail record
2. Customer record(s) (at least 1, maximum of 12)

All other Puts transactions will consist of 1 detail record.

The input records are defined below. Each record contains a transaction header and application detail data.

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**Note:**

For MDH, the number of records entered per input block is dependent on the number of customers per transaction. (e.g.) A block can contain 2 transactions where each transaction has 12 customers. A block can contain 8 transactions where each transaction has 1 customer.

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## Output Record Types

There are two different output record layouts. The "Reorg Puts Output Message" will contain all transactions which were processed by our system. Participants will receive made, dropped, and pended items. Any items with a processing error will be marked with an error code.

The "Reorg Puts Back End reject" record will contain errors which must be corrected before the transactions can be processed. For any item which has errors, this record will be sent in addition to the "Reorg Puts Output Message." The **Transaction header** is prefixed to every application record. The following defines the layout of the header.

This is the universal 26-byte segment which must be attached to the front of each application data record and trailer Record:

**Note:**

STANDARD TRANSACTION HEADER FOR CCF, CCF-II AND MDH

Position	Length	Format	Field Name	Field Description
1	1	Character	Feedback Indicator	<u>This field is to be left blank on input.</u> For output, used to indicate type of message and to determine if any errors were encountered during processing. *' output message '?' back end reject
2	1	Character	Test/ Production Indicator	Used to indicate whether the transaction is to be processed in the "Test" or "Production" environment. <b>This is a required field.</b> T = Test P = Production
3	6	Character	Record Type	'RPPDTL' for Application Detail Input Record 'RPPCST' for Application Customer Input Record 'RPPOUT' for Application Output Record
9	2	Numeric	Record Suffix	01
11	2	Numeric	Version Number	01
13	6	Character	User Reference number	For input: Used by transmitting party to uniquely identify the transaction (optional). For output: DTC Use Only
19	8	Character	Addressee	The entity on behalf of whom the transaction is being processed. Right justified left zero filled for full numeric addressees or Mnnnnnnn for non-full numeric addressees.



## Interactive Puts Application Detail Record - Length 114

Position	Length	Format	Field Name	Field Description
1	26		Transaction Header	Standard Transaction Header.
27	3	Character	Envelope Activity Code	<p><b>Required.</b></p> <p>'55 ' = Relinquishment                      '55B' = Relinquishment - Book Entry                      '58 ' = Repayment                      '58B' = Repayment - Book Entry                      '62 ' = Mortgage Backed Put                      '62B' = Mortgage Backed - Book Entry                      '65B' = Retainment - Book Entry                      '65R' = Retainment</p>
30	12	Character	Put Target CUSIP ID	Required.
42	3	Numeric	Envelope Sequence number	Required.
45	8	Numeric	Participant number	<p>Required.</p> <p>Right justified left zero fill.</p>
53	7	Numeric	Transaction Sequence number	<p>Unique identifier for each control record.</p> <p>Required.</p> <p>Starts at 1. Add 1 to get sequence number for next control record.</p>
60	7	Numeric	Customer Sequence number	<p>Unique identifier for each customer in a transaction.</p> <p>Required.</p> <p>0000000</p>
67	1	Character	Transaction Type	<p>Required.</p> <p>'V' for VOI Instruction</p>
68	9	Numeric	Transaction Quantity	<p>Share total submitted for all Function Types.</p> <p>Right justified left zero fill</p> <p>999999999</p> <hr/> <p><b>Note:</b></p> <p>This system allows only a maximum of 9 digits.</p> <hr/>

Position	Length	Format	Field Name	Field Description
77	20	Character	Contact name	The Participant contact. Required. Free format.
97	10	Numeric	Contact phone number	The Participant phone number. Required. 9999999999
107	8	Numeric	Entry Date	Date the transaction was submitted in CCYYMMDD format. Required. 99999999

## Interactive Puts Customer Record - Length 125

Position	Length	Format	Field Name	Field Description
26	1	Character	Transaction Header	Standard Transaction Header
27	3	Character	Reorg activity code for puts	Required. '55 ' = Relinquishment '55B' = Relinquishment - Book Entry '58 ' = Repayment '58B' = Repayment - Book Entry '62 ' = Mortgage Backed Put '62B' = Mortgage Backed - Book Entry '65B' = Retainment - Book Entry '65R' = Retainment
30	12	Character	Puts CUSIP Id	Required.
42	3	Numeric	Envelope Sequence number	Required.
45	8	Numeric	Participant number	Required. Right justified left zero fill
53	7	Numeric	Transaction Sequence number	Transaction sequence number of corresponding control record. (Record type = 'RPPDTL') Required.
60	7	Numeric	Customer Sequence number	Unique identifier for each customer in a transaction. if the customer is the last (or only) customer for the transaction, the sequence should have the value 9999900 added to it. Required. 0000001 -0000012 9999901 -9999912
67	30	Character	Customer id	The customer involved in the transaction. Required. Free format.
97	20	Character	Customer comment	Customer description. Optional (may be spaces). Free format.
117	9	Numeric	Customer quantity	The quantity for that customer. Required.

## CCF and CCF-II Transmission Trailer Record ("TLR")

The Trailer Record is Required as the LAST record of each CCF-II transmission. The Trailer Record is described in the table below.

**Note:**

If this record is rejected due to invalid format or because the totals do not match what we calculated, it will be returned with the 40-byte Error Message Area appended to the end.

Position	Length	Format	Field Name	Field Description
1	1	Character	Feedback Indicator	TRANSACTION HEADER (Refer to <a href="#">Output Record Types</a> )  <- <b>TRAILR</b> or the name specified in the application's documentation (1).
2	1	Character	Test/Prod Indicator	
3	6	Character	Record Type	
9	2	Numeric	Record suffix	
11	2	Numeric	Version number	
13	6	Character	User Reference number	
19	8	Character	Addressee	
27	7	Numeric	Total Record	The total number of Data records in this transmission. This total excludes the Trailer record and must equal the DTC-calculated total record count.
34	13	Numeric	Total Quantity Amount	The total quantity amount in all the Data records in this transmission. Must equal the DTC-calculated total quantity amount, or zero if not applicable.
47	15	Numeric	Total Dollar Amount	The total Dollar amount in all the Data records in this transmission. Must equal the DTC-calculated total dollar amount, or zero if not applicable.
62	20	Character	Filler	Value Spaces. <b>"nn" is the ending position of the data record being transmitted.</b>

## CCF and CCF-II Summary Total Record (Exhibit E)

A single, computer-readable Summary Total record will always be the first record in DTC's Response File. It contains information about the entire transmission.

The total length of the record depends upon the CCF Function. The format of the Summary Total record appears below.

Position	Length	Format	Field Name	Field Description
1	1	Character	Feedback Indicator	<b>&lt;-CCFSUM</b>
2	1	Character	Test/Prod Indicator	
3	6	Character	Record Type	
9	2	Numeric	Record Suffix	
11	2	Numeric	Version number	
13	6	Characters	User Reference number	
19	8	Characters	Addressee	
27	7	Numeric	Total Valid Records	Total number of valid (error free) records received by DTC, including the (valid) trailer record.
34	7	Numeric	Total Invalid Records	Total number of invalid (erroneous) records received by DTC, including the (invalid) trailer record.
41	13	Numeric	Total Valid Quantity	Total quantity for all valid transactions received.
54	13	Numeric	Total Invalid Quantity	Total quantity for all invalid transactions received.
67	15	Numeric	Total Valid Dollar Amount	Total dollar amount for all valid transactions received. This field has 2 implied decimal places.
82	15	Numeric	Total Invalid Dollar Amount	Total dollar amount for all invalid transactions received. This field has 2 implied decimal places.
97	4	Numeric	Transmission Number	The user assigned number identifying the transmission.
101	4	Character	Function Name	Function Name

Position	Length	Format	Field Name	Field Description
105	1	Character	Transmission Response Code	Blank or the reason the entire transmission was rejected. The following codes may appear: T = Trailer record missing. P = Past Function Cutoff Time. E = More than 100 contiguous rejected transaction records X = Rejected records to follow
106	8	Character	Transmission Date	Date data transmitted (MM/DD/YY).
114	8	Character	Transmission Time	Time data transmitted (HH:MM:SS).

## CCF-II Transmission Error Record ('CF2ERR')

Position	Length	Format	Field Name	Field Description
1	1	Character	Feedback Indicator	"?" indicating an error has occurred.
2	1	Character	Test/Production Indicator	Values: "T", "P" or blank.
3	6	Character	Record Type	CF2ERR
9	2	Numeric	Record Suffix	
11	2	Numeric	Version number	
13	6	Character	User Reference number	
19	8	Character	Addressee	
27	8	Character	Sign-on ID	User ID that signed onto the system.
35	6	Character	Transmission Date	MMDDYY
41	6	Character	Function	Input function type (left justified).
47	4	Numeric	Transmission ID	Input Transmission ID.
51	3	Numeric	Error Code	The code identifying the error.
54	6	Character	Transmission Start Time	The time the transmission began.
60	6	Character	Transmission End Time	The time the transmission ended.
66	30	Character	Error Message	The English description of the error that occurred (as much as it fits in the record) <b>** Dependent on return record length.**</b>

## Reorg Puts Processing Output Message Record - 300 Bytes

Position	Length	Format	Field Name	Field Description
1	26		Transaction Header	Standard Transaction Header
27	3	Character	Envelope activity code	Required. '55 ' = Relinquishment '55B' = Relinquishment - Book Entry '58 ' = Repayment '58B' = Repayment - Book Entry '62 ' = Mortgage Backed Put '62B' = Mortgage Backed - Book Entry '65B' = Retainment - Book Entry '65R' = Retainment
30	12	Character	Put Target CUSIP ID	Required.
42	3	Numeric	Envelope Sequence number	Required.
45	8	Numeric	Participant number	Required. Right justified left zero fill.
53	7	Numeric	Transaction sequence number	Unique identifier for each control record. Required. Starts at 1. Add 1 to get sequence number for next control record.
60	7	Numeric	Customer sequence number	Unique identifier for each customer in a transaction. Required. 0000000 for RPPDTL.
67	1	Character	Transaction Type	Required. 'V' for VOI Instruction
68	9	Numeric	Transaction Quantity	Share total submitted for all Function Types. Right justified left zero fill. 999999999  <b>Note:</b> This system allows only a maximum of 9 digits



Position	Length	Format	Field Name	Field Description
77	20	Character	Contact name	The Participant contact. Required. Free format.
97	10	Numeric	Contact phone number	The Participant phone number. Required. 9999999999
107	8	Numeric	Entry Date	Date the transaction was submitted in CCYYMMDD format. Required. 99999999
115	11	Character	Filler	Not Used. Spaces
126	14	Character	Transaction Number (VOI Number)	Identifies transaction. Required.
140	9	Numeric	ATP RBN Number	RBNnumber Format: 999999-99 Required.
149	20	Character	Put Target CUSIP Description	Required.
169	12	Character	Put Contra CUSIP ID	Required.
181	20	Character	Put Contra CUSIP Description	Required.
201	12	Character	Put New CUSIP ID	Required. for activity types '55 ' and '55B'. Space for other activities.
213	20	Character	Put New CUSIP Description	Required. for activity types '55 ' and '55B'. Space for other activities.
233	10	Character	Participant Name	Required.
243	8	Character	Agent ID	Required.

Position	Length	Format	Field Name	Field Description
251	1	Character	Status	Results of the transaction. Required. 'R' = Recycling 'M' = Made 'D' = Dropped 'E' = Edit Reject
252	26	Character	Timestamp	Date and Time the message was created: Required. CCYY-MM-DD-HH.II.SS.TTTTTT where: CC = Century YY = Year MM = Month DD = Day HH = Hour II = Minute SS = Second TTTTTT = microseconds
278	1	Character	Output Indicator	Not used. Spaces.
279	1	Character	Output Reject Indicator	Indicates if the transaction has any errors '0' = no errors '1' = one error '2' = multiple error '3' = severe processing error Required.
280	8	Character	Reject Code	ICM error code of the last error (if more than one) for the transaction. Space if no errors.
288	13	Character	Filler	Not used. Spaces.

## Reorg Puts Processing Back End Rejects - Length 300

Position	Length	Format	Field Name	Field Description
1	26		Transaction Header	Standard Transaction Header
<b><i>The following 2 fields occur 7 times per transaction. Each occurrence contains 15 characters. Positions 27 - 131</i></b>				
	7	Numeric	Reject Customer Sequence	The customer sequence number of the record in error. 0000000 - 0000012
	8	Character	Error Code	ICM Error code.
132	156	Character	Free Text	Free form text.
288	8	Character	Agent Id	Required.
296	3	Character	Participant ID	Required.
299	1	Character	Filler	Not used. Spaces.

# LIST OF ERROR CODES FOR ICM INPUT FUNCTION

LIST OF ERROR CODES FOR ICM INPUT FUNCTION	
101	DTC APPLICATION ERROR: CONTACT DTC
103	INVALID SIGNON
104	USER ALREADY LOGGED ON
105	INVALID PASSWORD
107	INVALID FUNCTION - NOT CCF FUNCTION
108	USER NOT ELIGIBLE FOR CCF FUNCTION
109	FUNCTION NOT AVAILABLE
110	CCF FUNCTION TEMPORARILY UNAVAILABLE - QUIESCED
111	DUPLICATE TRANID
112	INVALID RECORD LENGTH USED FOR FUNCTION REQUESTED
113	FUNCTION UNAVAILABLE - FILES MAY BE UNAVAILABLE
121	INVALID RECORD LENGTH USED FOR FUNCTION REQUESTED
123	SYNTAX ERROR IN THE REQUEST
124	LOGICAL ERROR IN THE REQUEST
224	PART ID DOES NOT MATCH SIGN ON IN THE PASSWORD RECORD
230	INVALID FORMAT OF PASSWORD RECORD
240	INVALID FORMAT OF SIGNON OR TRAN ID IN PASSWORD RECORD
334	FUNCTION REQUESTED DOES NOT MATCH FUNCTION IUN PASSWORD RECORD
340	INVALID LENGTH OF LRECL PARM
350	LRECL IS NOT NUMERIC
360	LRECL IS ZERO
370	LRECL < 125 (SUMMARY RECORD) LRECL MUST BE EQUAL TO OR GREATER THAN SUMMARY RECORD
390	INPUT LRECL LENGTH IS ZERO FOR RJE
720	INPUT FILE IS COMPATIBLE FOR RJE INPUT
820	INPUT FILE EMPTY

LIST OF ERROR CODES FOR ICM INPUT FUNCTION	
900	DTC INTERNAL ERROR - CONTACT DTC
902	ERROR WITH CALL TO CCF USER - CONTACT DTC
903	CCF2 REBLOCK PROBLEM FOR RJE USERS
904	OUTPUT FILE INCOMPATIBLE FOR RJE USERS

# ERROR CONDITIONS

If any errors occur during processing, the following occurs:

CCF/CCF-II users receive their input record with 40 bytes of errors appended to the end of the record. MDH users receive a 40-byte area for errors in their '06' return block.

The following describes the errors that can be received during the edit of a put bond transaction. This error list describes both the Field Identifier and the Error Code. These codes are defined in the DTF files:

- C ICMFLD for Field Identifiers
- C ICMERR for Error Codes

**Note:**

Refer to the Interface Control Management document for specifics relating to the way errors are returned to your system. Format for error message should be table such as:

ERROR DESCRIPTION	FIELD CODE	ERROR MESSAGE CODE
Transaction Header Record Type invalid. Must be 'RPPDTL' or 'RPPCST'	AAAB	9AAE
Duplicate Transaction Sequence number	GACB	9AA6
Transaction Sequence number not numeric	GACB	9AAF
Transaction Sequence number missing	GACB	9ABD
Customer Sequence number must be '0000000'	GACC	9ACG
Customer Sequence number must be between 1 and 12 or 9999901 and 9999912	GACC	9AAA
Customer Sequence number missing	GACC	9ABD
Customer Sequence number must be numeric	GACC	9AAE
Customer Sequence number Must be "0000000" for "RPPDTL" Rec	GACC	9ACG
Duplicate Customer Sequence number	GACC	9AA6
Past cutoff time	JAAA	9AAL
Cutoff time check failed	JAAA	9ABK
Function quiesced	JAAA	9ABJ
VOI submission not available at this time. Please check Put Bond expiration start and end dates and times.	GABN	9AAM
Participant Number not numeric	CAAX	9AAF
Participant Number not found after search	CAAX	9AAT
Participant Number missing	CAAX	9ABD
Participant is globally locked	CAAX	9ACK

ERROR DESCRIPTION	FIELD CODE	ERROR MESSAGE CODE
Participant not DTC Eligible	CAAX	9AAN
Participant on customer record does not match participant on control record.	CAAX	9ACH
Participant Number Check Not Available	CAAX	9AAM
Put Target CUSIP Id is invalid	GAAA	9AAA
Put Target CUSIP Id not DTC eligible	GAAA	9AAN
Put Target CUSIP Id missing	GAAA	9ABD
CUSIP in customer record does not match CUSIP in detail record.	GAAA	9ACH
Envelope Sequence number not numeric	GABZ	9AAF
Envelope Sequence number missing	GABZ	9ABD
Envelope Sequence number in customer record does not match envelope sequence number in detail record	GABZ	9ACH
Envelope activity code invalid. Must be '55 ', '55B', '58 ', '58B', '62 ', '62B', '65B', '65R'	GACA	9AAE
Envelope activity code missing	GACA	9ABD
Envelope Activity Code in customer record does not match envelope activity code in detail record	GACA	9ACH
Key data (Put Bond) not found	GACD	9ABB
Transaction Quantity not numeric	DABB	9AAF
Transaction Quantity cannot be zero	DABB	9AAH
Transaction Quantity not a multiple of transaction multiple	DABB	9ACY
Transaction quantity less than transaction minimum	DABB	9ACZ
Customer Quantities do not add up to total offer quantities	DABB	9ACG
Transaction Quantity missing	DABB	9ABD
Transaction Type is missing	GABN	GADB
Transaction Type invalid. Must be 'V'	GABN	9ADC
Entry Date invalid	BABO	9AAE
Entry Date not valid format	BABO	9AAI
Entry Date missing	BABO	9ABD

ERROR DESCRIPTION	FIELD CODE	ERROR MESSAGE CODE
Entry Date must be less than or equal to current date	BABO	9ABL
Problem with CALRTNE - Entry Date Check Not Available	BABO	9AAM
Contact Name missing	HAAH	9ABD
Contact Name not used with this function type	HAAH	9ACJ
Contact Phone number not numeric	HAAI	9AAF
Contact Phone number missing	HAAI	9ABD
Contact Phone number not used with this function type	HAAI	9ACJ
No 'RPPCST' records found for type '62 ' or '62B'	HADD	9ADA
'RPPCST' record invalid for this activity type	HADD	9ADB
No 'RPPDTL' record type	JAAE	9ABD
Customer quantity cannot be zero	DABB	9AAH
Customer quantity not numeric	DABB	9AAF
Customer Name missing	CABB	9ABD
Participant has insufficient position	CAAX	9ACP
Co-depository has insufficient position	CABU	9ACP
Participant Eligibility Check on Master Table not Available	CAAX	9ADC
Put CUSIP Check on Master Table Not Available	GAAA	9ADC
Bond Check on Master Table Not Available	GACD	9ADC
Offer Not Eligible for PUTS Function	GACD	9ADD
Master Tables Not Available	JAAL	9AAM
CUSIP IS DEPOSITORY DELIVER CHILLED	GAAA	9AAX
CO-DEPOSITORY HAS INSUFFICIENT POSITION	CAAX	9ACP
PARTICIPANT IS DO CHILLED	CAAA	9AAX
PARTICIPANT HAS INSUFFICIENT POSITION	CAAX	9ACP
CUSIP IS CHILLED	GAAA	9ACN
CUSTOMER SEQUENCE NUMBER IS OUT OF SEQUENCE	GAAC	9ABR
FUNCTION TYPE DOES NOT MATCH FUNCTION TYPE IN CONTROL RECORD	CAAX	9ACT



ERROR DESCRIPTION	FIELD CODE	ERROR MESSAGE CODE
PARTICIPANT DOES NOT MATCH PARTICIPANT ON PROTECT ID	GAAX	9ACT
CUSIP DOES NOT MATCH CUSIP ON PROTECT ID	GAAX	9ACT
ENVELOPE SEQUENCE NUMBER DOES NOT MATCH ENVELOPE SEQUENCE NUMBER ON PROTECT ID.	GABZ	9ACT

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**Doc Date:** December 28, 2023

**Publication Code:** AS203

**Service:** Asset Services

**Title:** 9.12 Interactive REORG PUTS Processing ICM Input Processing and Output Messaging Guide Via CCF, CCF-II and MDH: RPP1 and RPP5 Function User’s Guide

## For More Information

Email DTCC Learning at:

[DTCCLearning@dtcc.com](mailto:DTCCLearning@dtcc.com)

or visit us on the web at:

[www.dtccllearning.com](http://www.dtccllearning.com)

