14.18   DWAC Transfer Agent / Participant Billing File Data   Transmission Facility (DWCTAB): Function User's Guide

01.00 DWAC Transfer Agent / Participant Billing file - Data Transmission Facility (DWCTAB): Function User's Guide

Table of Contents

1. Overview

This document describes DTC's DWCTAB function, used for transmission DWAC instructions via CCF/DTF DTC's Data Transmission Facilities.

2.   The DWCTAB Function

DTC creates this file daily.

The DWCTAB function will provide Transfer Agents with DWAC initiated Participant instructions with Transfer Agent billing information pertaining to current business date instructions approved by an authorized Transfer Agent.

The DWCTAB function will also provide Transfer Agents with DWAC initiated Participant instructions with Transfer Agent billing information pertaining to the current month's instructions approved by an authorized Transfer Agent.

2.1. *Availability of DWCTAB*

The DWCTAB will generally be available at 08:00 P.M. the current business day.

2.2. *Holiday Processing*

- All Closed - Banks, Exchange and DTC closed: (New Year's Day, Martin Luther King Day, Presidents Day, Memorial Day, July 4th, Labor Day, Thanksgiving Day, and Christmas Day) – *Will Not Process*.

- Banks Closed, Exchange Open and DTC Open (Columbus Day, Veterans Day) - *Will Process.*

- Banks Open, DTC Open, Exchange Closed (Good Friday) - *Will Process.*

3. Header and Trailer Records

3.1 The CCF Header Record

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

The CCF header record's format is as follows:

CCF Header Record Format

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

3.2 The CF2 Header and Trailer Records

The CF2 Header and Trailer records come in two different formats; NDM and FTP.
NOTE that the Header and Trailer records are identical except for the first and last field of each record.

3.2.1 NDM – CF2 Header and Trailer Records

NDM users executing NDMDTF02 or NDMDTFGH will receive the following:

CF2 Header and Trailer Record Format - NDM

Position	Length	Format	Field Name	Field Description
1	3	Character	Record ID	"HDR" or "TRL"

CF2 Header and Trailer Record Format - NDM

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

3.2.2 FTP-CF2 Header and Trailer Records

FTP users will get the following:

CF2 Header and Trailer Record Format - FTP

Position	Length	Format	Field Name	Field Description
1	3	Character	Record ID	"HDR" or "TRL"
4	8	Character	Sign-on ID	Sign-on ID
12	6	Character	Data Type Requested	**DWCTAB**
18	6	Character	Data Type Created	**DWCTAB**
24	8	Character	Creation Date	Data Creation Date (MM/DD/YY)
32	8	Character	Spool Date	Data Load Date (MM/DD/YY)

CF2 Header and Trailer Record Format - FTP

Position	Length	Format	Field Name	Field Description
40	8	Character	Load Time	Data Load Time (HH:MM:SS)
48	4	Numeric	Record Length	Record Length of data requested
52	8	Numeric	Record Count	Number of data records in file.
60	4	Numeric	80-Byte Record Count	Number of 80-byte records per data type requested. (0001)
64	???	Character	Filler	DTC use only. Do not use.

4. DWCTAB Record Formats

The record layout for the DWAC Transfer Agent Participant Billing file is defined below.

The Transfer Agent Participant Billing file has four record layouts, identified by record type. Record types '01', '02' and '03' report Transfer Agent approved Participant DWAC instructions for the current business date. Record type '04' provides a running total recap summary of all Transfer Agent approved Participant instructions for the current business month.

Transfer Agents with current business date approved instructions will receive all four record types in record type order, breaking on Participant. The four record types are defined as follows:

'01' record type - 'Transfer Agent Participant Current Business Date Instruction Detail' - will be generated for each DWAC instruction for the current business date, breaking on Participant.
'02' record type - 'Participant Current Business Date Summary', will provide summary totals of the '01' detail records for each Participant.
'03' record type - 'Transfer Agent Current Business Date Summary', provides summary totals for the current business date for the Transfer Agent.
'04' record type – 'Transfer Agent Monthly Summary', provides a running total recap of all DWAC transactions for the current business month for the Transfer Agent.

As an example, Transfer Agents will receive all '01' record types for one specific Participant, followed by a type '02' 'Participant Current Business Date Summary' record for that specific Transfer Agent. This will be followed by subsequent groups of agent specific '01's and their related '02'. Once all Transfer Agent specific data is completed, the file will have a type '03' followed by the '04'.

Transfer Agents who do not have any current business date approved Participant instructions, but have prior approved Participant instructions for the current month, will only receive a type '04' the 'Transfer Agent Monthly Summary' record.

4.1. *Transfer Agent / Participant Current Business Date Instruction Detail Record – Record Type '01'*

Position	Length	Format	Field Name	DWAC DTF Record Description
**DWCTAB – Transfer Agent Participant Current Business Date Instruction Detail** **- Record Type '01'** **- Length 290** **This application data has record type '01' defined as follows:**
1	8	Character	TA-Sign on	Transfer agent sign on
9	2	Character	Filler	Filler
11	2	Numeric 9(2)	Record type	Transfer Agent / Participant Current Business Date Instruction Detail. Record Type: '01'.
13	8	Numeric 9(8)	Transfer Agent ID	Unique Transfer Agent Identifier.
21	20	Character X(20)	Transfer Agent Name	Name of Transfer Agent.
41	8	Numeric 9(8)	Participant ID	Unique Participant Identifier.
49	20	Character X(20)	Participant Name	Name of the Participant.
69	9	Character X(9)	CUSIP ID	Unique CUSIP Identifier.
68 78	7	Numeric 9(5)V99	Fee Amount	Transfer Agent instruction billing fee.
85	1	Character X(1)	FEE TYPE	Instruction Fee Type: 'S' = Standard 'L' = Alternate used 'N' = Do not bill Space = No Instruction Fee Type Found

86	1	Character X(1)	Override Type.	Override Type indicates that the Transfer Agent has overridden the Instruction Fee Type. 'N' = No override 'Y' = Yes overridden
87	8	Numeric 9(8)	Approval Date	Date Transfer Agent approved instruction.

DWCTAB – Transfer Agent Participant Current Business Date Instruction Detail
- Record Type '01'
- Length 290
This application data has record type '01' defined as follows:

Position	Length	Format	Field Name	DWAC DTF Record Description
95	26	Character X(26)	Reference ID	Participant identifier that refers to a particular instruction. Use by Custodian to distinguish between similar instructions.
121	15	Numeric 9(10)V9(5)	Share Quantity	Number of instruction shares.
136	1	Character X(1)	Instruction Type.	Instruction Type: 'D' = Deposit. 'W' = Withdrawal.
137	20	Character X(20)	CUSIP Description.	Description of CUSIP.
157	78	Character X(78)	Participant Comment.	Instruction comments entered by the Participant.
235	66	Character X(66)	Filler	**Reserved for DTCC use.**

4.2. *Participant Current Business Date Summary Detail Record – Record Type '02'*

			DWCTAB – Participant Current Business Date Summary Detail Record Type '02' - Length 290 This application data has record type '02' defined as follows:	
Position	**Length**	**Format**	**Field Name**	**DWAC DTF Record Description**
1	8	Character	TA-Sign on	Transfer agent Sign on
9	2	Character	Filler	Filler
11	2	Numeric 9(2)	Record type	Participant Current Business Date Summary Detail. Record Type: '02'.
13	8	Numeric 9(8)	Participant ID	Unique Participant Identifier.
21	20	Character X(20)	Participant Name	Name of the Participant
41	13	Numeric 9(13)	Total Instructions Billed.	Current Business Date total count of a Participant's Instructions Billed.
54	13	Numeric 9(13)	Total Instructions Not Billed.	Current Business Date total count of a Participant's Instructions Not Billed.
67	15	Numeric 9(13)V99	Total Instructions Fee.	Current Business Date total sum of a Participant's Instruction Fees.
82	219	Character X(219)	Filler	**Reserved for DTCC use**

4.3. *Transfer Agents Current Business Date Summary Detail Record – Record Type '03'*

DWCTAB – Transfer Agent Current Business Date Summary Detail **- Record Type '03'** **- Length 290** **This application data has record type '03' defined as follows:**				
Position	**Length**	**Format**	**Field Name**	**DWAC DTF Record Description**
1	8	Character	TA- Signon	Transfer Agent Sign on
9	2	Character	Filler	Filler
11	2	Numeric 9(2)	Record type	Transfer Agent Current Business date Summary Detail. Record Type: '03'.
13	8	Numeric 9(8)	Transfer Agent ID.	Unique Transfer Agent Identifier.
21	20	Character X(20)	Transfer Agent Name	Name of the Transfer Agent
41	13	Numeric 9(13)	Total Instructions Billed.	Current Business Date total count of a Transfer Agents Instructions Billed.
54	15	Numeric 9(13) V99.	Total Instruction Billed Fees.	Current Business Date total sum of a Transfer Agents Instructions Billed Fees.
69	13	Numeric 9(13)	Total Instructions Not Billed.	Current Business Date total count of a Transfer Agent Instruction Not Billed.
82	219	Character X(219)	Filler	**Reserved for DTCC use**

4.4. *Transfer Agents Monthly Summary Detail Record – Record Type '04'*

<table>
<tr><td colspan="5">DWCTAB – Transfer Agents Monthly Summary Detail
Record Type '04'
- Length 290
This application data has record type '04' defined as follows:</td></tr>
<tr><th>Position</th><th>Length</th><th>Format</th><th>Field Name</th><th>DWAC DTF Record Description</th></tr>
<tr><td>1</td><td>8</td><td>Character</td><td>TA- Sign on</td><td>Transfer agent sign on</td></tr>
<tr><td>9</td><td>2</td><td>Character</td><td>Filler</td><td>Filler</td></tr>
<tr><td>11</td><td>2</td><td>Numeric 9(2)</td><td>Record type</td><td>Transfer Agent Current Business date Summary Detail.
Record Type: '04'.</td></tr>
<tr><td>13</td><td>8</td><td>Numeric 9(8)</td><td>Transfer Agent ID.</td><td>Unique Transfer Agent Identifier.</td></tr>
<tr><td>21</td><td>20</td><td>Character X(20)</td><td>Transfer-Agent Name</td><td>Name of the Transfer Agent.</td></tr>
<tr><td>41</td><td>13</td><td>Numeric 9(13)</td><td>Monthly Deposit Instructions.</td><td>Monthly total count of Deposit Instructions.</td></tr>
<tr><td>54</td><td>13</td><td>Numeric 9(13)</td><td>Monthly Deposit Instructions Billed.</td><td>Monthly total count of Deposit Instructions Billed.</td></tr>
<tr><td>67</td><td>15</td><td>Numeric 9(13)V99</td><td>Monthly Deposit Instructions Fees.</td><td>Monthly total sum of Deposit Instructions Fees.</td></tr>
<tr><td>82</td><td>13</td><td>Numeric 9(13)</td><td>Monthly Deposit Instructions Not Billed.</td><td>Monthly total count of Deposit Instructions Not Billed.</td></tr>
<tr><td>- 95</td><td>13</td><td>Numeric 9(13)</td><td>Monthly Withdrawal Instructions.</td><td>Monthly total count of Withdrawal Instructions.</td></tr>
</table>

108	13	Numeric 9(13)	Monthly Withdrawal Instructions Billed.	Monthly total count of Withdrawal Instructions Billed.

DWCTAB – Transfer Agents Monthly Summary Detail
Record Type '04'
- Length 290
This application data has record type '04' defined as follows:

Position	Length	Format	Field Name	DWAC DTF Record Description
121	15	Numeric 9(13)V99	Monthly Withdrawal Instruction Fees.	Monthly total sum of Withdrawal Instructions Fees.
136	13	Numeric 9(13)	Monthly Withdrawal Instructions Not Billed.	Monthly total count of Withdrawal Instructions not billed.
149	152	Character X(152)	Filler	**Reserved for DTCC use.**