

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 6948
P&S# 6518
Date: February 18, 2010
To: ALL PARTICIPANTS
Attention: MANAGER MUTUAL FUNDS OPERATIONS,
MANAGER DATA PROCESSING, MANAGER CASHIERS,
MANAGER P&S DEPARTMENT
From: WEALTH MANAGEMENT SERVICES – MUTUAL FUNDS
Subject: ENHANCEMENTS TO NETWORKING FILES TO SUPPORT
OMNIBUS PROCESSING

To accommodate Omnibus processing, NSCC is creating new Networking files. These files will standardize and centralize the activity and position files which provide transparency for omnibus fund accounts.

Currently, the existing share balance fields in the existing Networking files have a 13 byte (999999999.9999) threshold. NSCC is creating additional fields to support the reporting of omnibus account share balances which exceed the billion share threshold.

Effective Monday, June 14, 2010, National Securities Clearing Corporation (NSCC) will implement the following:

- New Omnibus Activity file – a file which is transmitted from the firms to fund companies detailing activity within the sub-accounts.
- New Omnibus Position file – a file which is transmitted from the firms to fund companies detailing positions within the sub-accounts.
- Additional share balance extended fields for existing Networking files.

I. New Omnibus Activity File:

An Omnibus Activity File will be created to allow firms to transmit sub accounting client activity file through NSCC to fund companies.

***See Appendix A for record layouts**

II. New Omnibus Position File:

An Omnibus Position File will be created to allow firms to transmit a sub accounting client position file through NSCC to fund companies.

***See Appendix B for record layouts**

Please Note: NSCC will only validate the required fields of the Omnibus Activity Header and Trailer, and the Omnibus Position Header and Trailer. NSCC will not validate the Omnibus Activity Detail records and the Omnibus Position Detail records.

III. Datatrak and Autoroute ID Information for Omnibus Activity and Position File:

The Datatrak sysid's are as follows:

Description	Production Datatrak Sys-ID	Test Datatrak Sys-ID
Omni Activity Input	26943	46943
Omni Position Input	26944	46944

The Autoroute Output ID's are as follows:

Description	Production Autoroute ID	Test Autoroute ID
Omni Activity MRO File	02100943	02980943
Omni Position MRO File	02100944	02980944

Please contact your WMS Relationship Member to coordinate access to the Datatrak Sys-ID's and the Autoroute ID's.

IV. Production Cycle Times for Omnibus Activity and Position File:

Broker Input:

	Monday - Friday		Saturday or NYSE Holiday	
	Edit process	MRO process	Edit process	MRO process

Cycle 1	01:00am	02:00am	01:00am	-	02:00am
Cycle 2	02:00am	03:00am	02:00am		03:00am
Cycle 3	03:00am	04:00am	03:00am		04:00am
Cycle 4	04:00am	05:00am	04:00am		05:00am
Cycle 5	05:00am	06:00am	05:00am		06:00am
Cycle 6	06:00am	07:00am	06:00am		07:00am
Cycle 7	07:00am	08:00am	07:00am		08:00am
Cycle 8	08:00am	09:00am	08:00am		09:00am
Cycle 9	09:00am	10:00am	09:00am		10:00am
Cycle 10	12:00noon	01:00pm	12:00noon		01:00pm

Please Note – The MRO process will begin immediately after the Edit process is complete, therefore the Output distribution may occur earlier than specified in the schedule.

V. PSE (Test) Cycle Times for Omnibus Activity and Position File:

Broker Input:	Monday – Friday		Saturday or NYSE Holiday	
	Edit process	MRO process	Edit process	MRO process
Cycle 1	09:00am	10:00am	09:00am	10:00am
Cycle 2	10:00am	11:00am	10:00am	11:00am
Cycle 3	12:00noon	01:00pm	12:00noon	01:00pm
Cycle 4	01:00pm	02:00pm	01:00pm	02:00pm
Cycle 5	02:00pm	03:00pm	02:00pm	03:00pm

VI. Changes to Existing Networking Records - Share Balance – Extended Fields Added:

Omnibus accounts with a significant share balance are exceeding the existing share byte field. NSCC will create a **Share Balance – Extended field** which will be 16 bytes in length. To avoid impacting all participants while accommodating participants that are experiencing this issue, NSCC has created new fields on the following files:

- **Activity Reporting (Record type 55)**
- **Account Conversion/Update & Transfer/Acknowledgment File (Record type 52, 53)**
- **Dividend Reporting (Record type 63, 64, 65, 66)**
- **Position File (Record type 58, 59)**

Activity Reporting File (Record type 55) :

- **Change “Share /Balance Amount” field Conditions:**
- The existing **Share/Balance Amount** will be changed from Rrequired to Optional Conditional.
- The existing **Share/Balance Amount** will be required if new Share/Balance Amount - **Extended** field is NOT provided in record F55 sequence #4.

Activity Reporting Records Activity Detail (F55) #1

Field Name	Start	End	Len	Type	Description	Opt/Req
Share/Balance Amount	53	65	13	N	999,999,999.9999 Required if Share/Balance Amount - Extended is NOT provided in record F55 sequence #4. Otherwise it is not allowed.	OC

- The existing Share/Balance Amount will NOT be allowed (must be space or zeroes) if new Share/Balance Amount - Extended field is provided (contains numeric greater than zero value) in record F55 sequence #4. If both Share/Balance Amount and Share/Balance Amount - Extended fields are populated, that Activity transaction will be rejected using a new reject code ‘K0’

K0 - Population of both Share Balance and Share Balance Extended fields is not allowed

- **Create a Field to Extend Share Balance to 16 Bytes:**
- Add a new Share/Balance Amount - Extended 16 bytes length, optional conditional, numeric 999,999,999,999.9999 field to the filler space in the existing record F55 sequence #4.

- This field will be required if the existing Share/Balance Amount is not provided in record F55 sequence #1. Otherwise it is not allowed (must be space or zero).

Activity Reporting Records Activity Detail (F55) #4

Field Name	Start	End	Len	Type	Description	Opt/Req
Share/Balance Amount – Extended	59	74	16	N	999,999,999,999.9999 Required if Share/Balance Amount is NOT provided in record F55 sequence #1. Otherwise it is not allowed.	OC

- If new Share/Balance Amount – Extended field is populated with non-numeric values, the Activity transaction will be rejected using existing reject code ‘40’

40 - Share/Balance Amount missing/invalid

Account Conversion/Update & Transfer Acknowledgement File:

• **Change of Closing Balance – Debit Account Field Conditions:**

- The existing ‘Closing Balance (Debit Account)’ is Optional in record A/B/T52 sequence #2, this condition will NOT be changed.
 - The existing Closing Balance (Debit Account) will NOT be allowed in record A/B/T52 sequence #2 (must be space or zeroes) if new Closing Balance (Debit Account) – Extended field is provided (contains numeric greater than zero value) in record A/B/T52 sequence #4. If both fields - Closing Balance (Debit Account) of record A/B/T52 sequence #2 and new Closing Balance (Debit Account) – Extended of record A/B/T52 sequence #4 are populated, that transaction will be rejected using a new reject code ‘K1’

K1 - Population of both Closing Balance and Closing Balance Extended fields is not allowed

- The existing Closing Balance (Debit Account) in record F53 sequence #2 will be changed from required to an Optional Conditional field.
- The existing Closing Balance (Debit Account) will be required in record F53 sequence #2 if new Closing Balance (Debit Account) – Extended field is NOT provided in record F53 sequence #4 and Transaction Type is NOT equal to 6 or 7. Otherwise it is not allowed.
- The existing ‘Closing Balance (Debit Account)’ will NOT be allowed in record F53 sequence #2 (must be space or zeroes) if new Closing Balance (Debit Account) – Extended is provided (contains numeric greater than zero value) in record F53 sequence #4. If both Closing

Balance (Debit Account)' in record F53 sequence #2 and new 'Closing Balance (Debit Account) – Extended' in record F53 sequence #4 fields are populated, that transaction will be rejected using a new reject code 'K1'

K1 - Population of both Closing Balance and Closing Balance Extended fields is not allowed

Transfer Detail/Fund Acknowledgment (A/B/T52, F53) #2

Field Name	Start	End	Len	Type	Description	Opt/Req 52/53
Closing Balance (Debit Account)	42	54	13	N	999,999,999.9999 Will Not be allowed in record A/B/T52 sequence #2 if Closing Balance (Debit Account) - Extended is provided in record A/B/T52 sequence #4. Required in record F53 sequence #2 if Closing Balance (Debit Account) - Extended is NOT provided in record F53 sequence #4 and Transaction Type is NOT equal to 6 or 7. Otherwise it is not allowed.	O/OC

- **Change Closing Balance – Credit Account Field Conditions:**

- The existing 'Closing Balance (Credit Account)' is Optional in record **A/B/T52** sequence #2 and this condition will NOT be changed.
 - The existing 'Closing Balance (Credit Account)' will NOT be allowed in record A/B/T52 sequence #2 if new 'Closing Balance (Credit Account) – Extended' field is provided in record A/B/T52 sequence #4.
 - The existing 'Closing Balance (Credit Account)' will NOT be allowed in record A/B/T52 sequence #2 (must be space or zeroes) if new 'Closing Balance (Credit Account) – Extended' field is provided (contains numeric greater than zero value) in record A/B/T52 sequence #4. If both 'Closing Balance (Credit Account)' in record A/B/T52 sequence #2 and new 'Closing Balance (Credit Account) – Extended' in record A/B/T52 sequence #4 fields are populated, that transaction will be rejected using a new reject code 'K1'

K1 - Population of both Closing Balance and Closing Balance Extended fields is not allowed

- The existing 'Closing Balance (Credit Account)' in record **F53** sequence #2 will be changed from required to Optional Conditional field.
 - The existing 'Closing Balance (Credit Account)' will be required in record F53 sequence #2 if new 'Closing Balance (Credit Account) – Extended' field is NOT provided in record F53 sequence #4 and Transaction Type is NOT equal to 6 or 7. Otherwise it is not allowed.
 - The existing Closing Balance (Credit Account) will NOT be allowed in record F53 sequence #2 (must be space or zeroes) if new Closing Balance (Credit Account) – Extended is provided (contains numeric greater than zero value) in record F53 sequence #4. If both – Closing Balance

(Credit Account) of record F53 sequence #2 and new Closing Balance (Credit Account) – Extended of record F53 sequence #4 are populated, that transaction will be rejected using a new reject code 'K1'

K1 - Population of both Closing Balance and Closing Balance Extended fields is not allowed

Transfer Detail/Fund Acknowledgment (A/B/T52, F53) #2

Field Name	Start	End	Len	Type	Description	Opt/Req 52/53
Closing Balance (Credit Account)	55	67	13	N	999,999,999.9999 Will Not be allowed in record A/B/T52 sequence #2 if Closing Balance (Credit Account) - Extended is provided in record A/B/T52 sequence #4. Required in record F53 sequence #2 if Closing Balance (Credit Account) – Extended is NOT provided in record F53 sequence #4 and Transaction Type is NOT equal to 6 or 7. Otherwise it is not allowed.	O/OC

- **Create and Validate New Transfer Detail/Fund Acknowledgement (A/B/T52, F53) #4:**

Add a New Record Sequence

- New Record A/B/T52 sequence #4 will be Optional.
- New Record F53 sequence #4 will be Optional Conditional. It will be required if Closing Balance (Debit Account) or Closing Balance (Credit Account) is NOT provided in record F53 sequence #2.

Transfer Detail/Fund Acknowledgment (A/B/T52, F53) #4

Field Name	Start	End	Len	Type	Description	Opt/Req 52/53
System Code	1	1	1	A/N	A = Investment Agent B = Firm F = Fund T = TPA	R/R
Record Type	2	3	2	A/N	52 = Account Transfer 53 = Fund Acknowledgment	R/R
Sequence Number	4	5	2	N	04	R/R
Clearing/Settling Firm Number	6	9	4	N		R/R
Clearing/Settling Fund Number	10	13	4	A/N		O/R
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Filler	46	100	55	A/N	Space	R/R

- **Add New ‘Closing Balance - Debit Account – Extended’ Field:**
- Add new ‘Closing Balance (Debit Account) – Extended’, 16 bytes length, numeric 999,999,999,999.9999, Optional field in record **A/B/T52** sequence **#4**.
 - New ‘Closing Balance (Debit Account) – Extended’ will NOT be allowed in record A/B/T52 sequence #4 (must be space or zeroes) if existing ‘Closing Balance (Debit Account)’ field is provided (contains numeric greater than zero value) in record A/B/T52 sequence #2.
 - If new ‘Closing Balance (Debit Account) – Extended’ field is populated with non-numeric values, that Account Transfer Transaction (record A/B/T52) will be rejected using an existing reject code ‘98’

98 – Closing Balance (Debit) Missing/Invalid

- Add new ‘Closing Balance (Debit Account) – Extended’, 16 bytes length, numeric 999,999,999,999.9999, Optional Conditional in record **F53** sequence **#4**.
 - New ‘Closing Balance (Debit Account) - Extended’ in record F53 sequence #4 will be required if existing ‘Closing Balance (Debit Account)’ field is NOT provided in record F53 sequence #2 and Transaction Type is NOT equal to 6 or 7. Otherwise it is not allowed.
 - New ‘Closing Balance (Debit Account) - Extended’ will NOT be allowed in record F53 sequence #4 (must be space or zeroes) if existing ‘Closing Balance (Debit Account)’ field is provided (contains numeric greater than zero value) in record F53 sequence #2.
 - If new ‘Closing Balance (Debit Account) – Extended’ field is populated with non-numeric values, that Account Fund Acknowledgement Transaction (record F53) will be rejected using an existing reject code

98 – Closing Balance (Debit) Missing/Invalid

Transfer Detail/Fund Acknowledgment (A/B/T52, F53) #4

Field Name	Start	End	Len	Type	Description	Opt/Req 52/53
Closing Balance (Debit Account) - Extended	14	29	16	N	999,999,999,999.9999 Will Not be allowed in record A/B/T52 sequence #4 if Closing Balance (Debit Account) is provided in record A/B/T52 sequence #2. Required in record F53 sequence #4 if Closing Balance (Debit Account) is NOT provided in record F53 sequence #2 and Transaction Type is NOT equal to 6 or 7. Otherwise it is not allowed.	O/OC

- **Add New ‘Closing Balance - Credit Account – Extended’ Field:**
- Add new ‘Closing Balance (Credit Account) – Extended’, 16 bytes length, numeric 999,999,999,999.9999, Optional field in record **A/B/T52** sequence **#4**.
 - New ‘Closing Balance (Credit Account) – Extended’ will NOT be allowed in record A/B/T52 sequence #4 (must be space or zeroes) if existing ‘Closing Balance (Credit Account)’ field is provided (contains numeric greater than zero value) in record A/B/T52 sequence #2.

- If new ‘Closing Balance (Credit Account) – Extended’ field is populated with non-numeric values, that Account Transfer Transaction (record A/B/T52) will be rejected using an existing reject code ‘97’
- 97 – Closing Balance (Credit) Missing/Invalid
- Add new ‘Closing Balance (Credit Account) – Extended’, 16 bytes length, numeric 999,999,999,999.9999, Optional Conditional in record **F53** sequence **#4**.
 - New ‘Closing Balance (Credit Account) - Extended’ in record **F53** sequence **#4** will be required if existing ‘Closing Balance (Credit Account)’ field is NOT provided in record F53 sequence #2 and Transaction Type is NOT equal to 6 or 7. Otherwise it is not allowed.
 - New ‘Closing Balance (Credit Account) - Extended’ will NOT be allowed in record F53 sequence #4 (must be space or zeroes) if existing ‘Closing Balance (Credit Account)’ field is provided (contains numeric greater than zero value) in record F53 sequence #2.
- If new ‘Closing Balance (Credit Account) – Extended’ field is populated with non-numeric values, that Account Fund Acknowledgement Transaction (record F53) will be rejected using an existing reject code ‘97’

97 – Closing Balance (Credit) Missing/Invalid

Transfer Detail/Fund Acknowledgment (A/B/T52, F53) #4

Field Name	Start	End	Len	Type	Description	Opt/Req 52/53
Closing Balance (Credit Account) - Extended	30	45	16	N	999,999,999,999.9999 Will Not be allowed in record A/B/T52 sequence #4 if Closing Balance (Credit Account) is provided in record A/B/T52 sequence #2. Required in record F53 sequence #4 if Closing Balance (Credit Account) is NOT provided in record F53 sequence #2 and Transaction Type is NOT equal to 6 or 7. Otherwise it is not allowed.	O/OC

Dividend Reporting File:
Modify Validation of Detail Record F63

• **Create a New ‘Account Share Balance – Extended’ Field**

Create a new Account Share Balance – Extended field to the filler space in the Dividend/Capital Gain Detail for Cash Accounts Not subject To Withholding (F63) record.

- The Account Share Balance – Extended will be 16 bytes length, optional conditional, numeric 999,999,999,999.9999 field;
- This field will be required if the existing Account Share Balance is not provided in that record (F63). Otherwise it is not allowed (must be space or zero).

Dividend/Capital Gain Detail For Cash Accounts Not Subject To Withholding (F63)

Field Name	Start	End	Len	Type	Description	Opt/Req
Account Share Balance – Extended	69	84	16	N	999,999,999,999.9999 Required if Account Share Balance is NOT provided. Otherwise it is not allowed.	OC

- If new Account Share Balance – Extended field is populated with non-numeric values, that Detail record (F63) will be rejected using an existing reject code

08 – Closing Balance Missing/Invalid

• **Change ‘Account Share Balance’ Field Conditions:**

Change conditions of the existing Account Share Balance field in Detail record F63:

- The existing Account Share Balance will be changed from required to Optional Conditional field.
- The existing Account Share Balance will be required if new Account Share Balance - Extended field is NOT provided.

Dividend/Capital Gain Detail For Cash Accounts Not Subject To Withholding (F63)

Field Name	Start	End	Len	Type	Description	Opt/Req
Account Share Balance	52	64	13	N	999,999,999.9999 Required if Account Share Balance – Extended is NOT provided. Otherwise it is not allowed.	OC

- The existing Account Share Balance will NOT be allowed if new Account Share Balance - Extended field is populated (contains numeric greater than zero value). If both - Account Share Balance and Account Share Balance – Extended fields are populated, that Detail record F63 will be rejected using a new reject code

K0 - Population of both Share Balance and Share balance Extended fields is not allowed

Modify Validation of Detail Record F64 sequence #1:

Change conditions of the following existing fields in Detail record F64 sequence #1:

Change 'Account Share Balance' Field Conditions

- The existing Account Share Balance will be changed from required to Optional Conditional field.
- The existing Account Share Balance will be required if new Account Share Balance - Extended field in Detail record F64 sequence #2 is NOT provided.

Dividend/Capital Gain Detail For Cash Accounts Subject To Withholding (F64) #1

Field Name	Start	End	Len	Type	Description	Opt/Req
Account Share Balance	71	83	13	N	999,999,999.9999 Required if Account Share Balance – Extended is NOT provided in record F64 sequence #2. Otherwise it is not allowed.	OC

- The existing Account Share Balance will NOT be allowed if new Account Share Balance - Extended field of Detail record F64 sequence #2 is populated (contains numeric greater than zero value). If Both - Account Share Balance and Account Share Balance – Extended fields are populated, Detail records F64 sequence #1 & #2 will be rejected using a new reject code

K0 - Population of both Share Balance and Share Balance Extended fields is not allowed

Change Sequence Number Field Conditions:

- The existing Sequence Number field will be changed from Optional to Optional Conditional field.
- The existing Sequence Number field will be required if record F64 sequence #2 follows.

Dividend/Capital Gain Detail For Cash Accounts Subject To Withholding (F64) #1

Field Name	Start	End	Len	Type	Description	Opt/Req
Sequence Number	107	108	2	A/N	01 Required if record F64 sequence #2 follows.	OC

Create and Validate New Detail Record F64 sequence #2:

Add New Record Sequence

- Add new record – 'Dividend/Capital Gain Detail for Cash Accounts subject To Withholding (F64) #2', Optional Conditional, required if Account Share Balance field is NOT provided in record F64 sequence #1. Otherwise it is optional.

Dividend/Capital Gain Detail For Cash Accounts Subject To Withholding (F64) #2

Field Name	Start	End	Len	Type	Description	Opt/Req
System Code	1	1	1	A/N	F = Fund	R
Record Type	2	3	2	A/N	64	R
Filler	4	90	87	A/N	Space	R
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Sequence number	107	108	2	A/N	02	R
Filler/Reject Code	109	110	2	A/N	Input: Space Output: Reject Code	R

Add New 'Account Share Balance – Extended' Field

- Add new Account Share Balance - Extended 16 bytes length, optional conditional, numeric 999,999,999,999.9999 field in record F64 sequence #2.
- New Account Share Balance - Extended field will be required if the existing Account Share Balance is not provided in record F64 sequence #1. Otherwise it is not allowed (must be space or zero).

Dividend/Capital Gain Detail For Cash Accounts Subject To Withholding (F64) #2

Field Name	Start	End	Len	Type	Description	Opt/Req
Account Share Balance - Extended	91	106	16	N	999,999,999,999.9999 Required if Account Share Balance is NOT provided in record F64 sequence #1. Otherwise it is not allowed.	OC

- If new Account Share Balance – Extended field is populated with non-numeric values, Detail records F64 sequence #1 and #2 will be rejected using an existing reject code

08 – Closing Balance Missing/Invalid

Modify Validation of Detail Record F65 Sequence #1:

Change 'Account Share Balance' Field Conditions

Change conditions of the existing Account Share Balance field in Detail record F65 sequence #1:

- The existing Account Share Balance will be changed from required to Optional Conditional field.
- The existing Account Share Balance will be required if new Account Share Balance - Extended field in record F65 sequence #2 is NOT provided.

Dividend/Capital Gain Detail Record For Reinvest Accounts Not Subject To Withholding (F65) #1

Field Name	Start	End	Len	Type	Description	Opt/Req
Account Share Balance	72	84	13	N	999,999,999.9999 Required if Account Share Balance – Extended is NOT provided in record F65 sequence #2. Otherwise it is not allowed.	OC

- The existing Account Share Balance will NOT be allowed if new Account Share Balance - Extended field is provided (contains numeric greater than zero value) in record F65 sequence #2. If both 'Account Share Balance' and 'Account Share Balance – Extended' fields are populated, Detail records F65sequence #1 & #2 will be rejected using a new reject code

K0 - Population of both Share Balance and Share Balance Extended fields is not allowed

Modify Validation of Detail Record F65 Sequence #2:

Change Record Conditions

Change requirements of the existing record F65 sequence #2 from Optional to Optional Conditional:

- The record 'Dividend/Capital Gain Detail Record for Reinvest Accounts Not subject To Withholding' (F65) #2 will be required if Account Share Balance field is NOT provided in record F65 sequence #1. Otherwise it is optional.

Add New 'Account Share Balance – Extended' Field

- Add new Account Share Balance – Extended 16 bytes length, optional conditional, numeric 999,999,999,999.9999 field to the filler space in the existing record F65 sequence #2.
- New Account Share Balance – Extended field will be required if the existing Account Share Balance is not provided in record F65 sequence #1. Otherwise it is not allowed (must be space or zero).

Dividend/Capital Gain Detail Record For Reinvest Accounts Not Subject To Withholding (F65) #2

Field Name	Start	End	Len	Type	Description	Opt/Req
Account Share Balance - Extended	75	90	16	N	999,999,999,999.9999 Required if Account Share Balance is NOT provided in record F65 sequence #1. Otherwise it is not allowed.	OC

- If new 'Account Share Balance – Extended' field is populated with non-numeric values, Detail records F65 sequence #1 and #2 will be rejected using an existing reject code

08 – Closing Balance Missing/Invalid

Modify Validation of Detail Record F66 Sequence #1:

Change 'Account Share Balance' Field Conditions

Change conditions of the following existing fields in record F66 sequence #1:

- The existing Account Share Balance will be changed from required to Optional Conditional field.
- The existing Account Share Balance will be required if new Account Share Balance - Extended field in record F66 sequence #2 is NOT provided.

Dividend/Capital Gain Detail Record For Reinvest Accounts Subject To Withholding (F66) #1

Field Name	Start	End	Len	Type	Description	Opt/Req
Account Share Balance	91	103	13	N	999,999,999.9999 Required if Account Share Balance – Extended is NOT provided in record F66 sequence #2. Otherwise it is not allowed.	OC

- The existing Account Share Balance will NOT be allowed (must be space or zeroes) if new 'Account Share Balance – Extended' field is provided (contains numeric greater than zero value) in record F66 sequence #2. If both 'Account Share Balance' and 'Account Share Balance – Extended' fields are populated, records F66 sequence #1 and #2 will be rejected using new reject code

K0 - Population of both Share Balance and Share Balance Extended fields is not allowed

Change 'Sequence Number' Field Conditions

- The existing 'Sequence Number' field will be changed from Optional to Optional Conditional field.
- The existing 'Sequence Number' field will be required if record F66 sequence #2 follows.

Dividend/Capital Gain Detail Record For Reinvest Accounts Subject To Withholding (F66) #1

Field Name	Start	End	Len	Type	Description	Opt/Req
Sequence Number	107	108	02	A/N	01 Required if record F66 sequence #2 follows.	OC

Create and Validate Detail Record F66 Sequence #2:

Add New Record Sequence

- Add new 'Dividend/Capital Gain Detail Record for Reinvest Accounts subject To Withholding' (F66) #2, Optional Conditional, required if 'Account Share Balance' field is NOT provided in record F66 sequence #1. Otherwise it is optional.

Dividend/Capital Gain Detail Record For Reinvest Accounts Subject To Withholding (F66) #2

Field Name	Start	End	Len	Type	Description	Opt/Req
System Code	1	1	1	A/N	F = Fund	R
Record Type	2	3	2	A/N	66	R
Filler	4	90	87	A/N	Space	R
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Sequence number	107	108	2	A/N	02	R
Filler/Reject Code	109	110	2	A/N	Input: Space Output: Reject Code	R

Add New ‘Account Share Balance – Extended’ Field

- Add new Account Share Balance - Extended 16 bytes length, optional conditional, numeric 999,999,999,999.9999 field on record F66 sequence #2.
- New Account Share Balance - Extended field will be required if the existing Account Share Balance is not provided in record F66 sequence #1. Otherwise it is not allowed (must be space or zero).

Dividend/Capital Gain Detail Record For Reinvest Accounts Subject To Withholding (F66) #2

Field Name	Start	End	Len	Type	Description	Opt/Req
Account Share Balance - Extended	91	106	16	N	999,999,999,999.9999 Required if Account Share Balance is NOT provided in record F66 sequence #1. Otherwise it is not allowed.	OC

- If new ‘Account Share Balance – Extended’ field is populated with non-numeric values, Detail records F66 sequence #1 and #2 will be rejected using an existing reject code

08 – Closing Balance Missing/Invalid

Position File:

Modify Validation of Header Record F57

Add New ‘Sequence Number’ Field

- Add new ‘Sequence Number’, Optional, alphanumeric field with value ‘01’ (or space).

Position Header (F57)

Field Name	Start	End	Len	Type	Description	Opt/Req
Sequence Number	97	98	2	A/N	01	O

Modify Validation of Detail Record F58 Sequence #1

Change ‘Closing Book/Physical Balance’ Field Conditions

- The existing ‘Closing Book/Physical Balance’ field will be changed from required to Optional Conditional.
- The existing Closing Book/Physical Balance will be required if new ‘Closing Book/Physical Balance – Extended’ field is NOT provided in record F58 sequence #2.

Position Detail (F58) #1

Field Name	Start	End	Len	Type	Description	Opt/Req
Closing Book/Physical Balance	25	37	13	N	999,999,999.9999 Required if Closing Book/Physical Balance – Extended is NOT provided in record F58 sequence #2. Otherwise it is not allowed.	OC

- The existing Closing Book/Physical Balance will NOT be allowed if new Closing Book/Physical Balance - Extended field is provided (contains numeric greater than zero value) in record F58sequence #2. If both ‘Closing Book/Physical Balance’ and ‘Closing Book/Physical Balance – Extended’ fields are populated, records F58 sequence #1 and #2 will be rejected using new reject code

K1 - Population of both Closing Balance and Closing Balance Extended fields is not allowed

Add New ‘Sequence Number’ Field

- Add new ‘Sequence Number’, Optional Conditional, alphanumeric field with value ‘01’.
- New ‘Sequence Number’ will be required if record F58 sequence #2 follows.

Position Detail (F58) #1

Field Name	Start	End	Len	Type	Description	Opt/Req
Sequence Number	97	98	2	A/N	01 Required if record F58 sequence #2 follows.	OC

Build and Validate Detail Record F58 sequence #2:

Add New Record Sequence

Add new Detail record F58 sequence #2.

This record is required if Closing Book/Physical Balance is NOT provided in Detail record F58 sequence #1. Otherwise it is optional.

Position Detail (F58) #2

Field Name	Start	End	Len	Type	Description	Opt/Req
System Code	1	1	1	A/N	F = Fund	R
Record Type	2	3	2	A/N	58 = Position Detail	R
Filler	4	80	77	A/N	Space	R
-----	--	--	--	--	-----	--
Sequence Number	97	98	2	A/N	02	R
Filler/Reject Code	99	100	2	A/N	Input: Space Output: Reject Code	R

Add New ‘Closing Book/Physical Balance – Extended’ Field

- Add new Closing Book/Physical Balance – Extended 16 bytes length, optional conditional, numeric 999,999,999,999.9999 field in record F58 sequence #2.
- New Closing Book/Physical Balance – Extended field will be required if the existing Closing Book/Physical Balance is not provided in record F58 sequence #1. Otherwise it is not allowed (must be space or zero).

Position Detail (F58) #2

Field Name	Start	End	Len	Type	Description	Opt/Req
Closing Book/Physical Balance - Extended	81	96	16	N	999,999,999,999.9999 Required if Closing Book/Physical Balance is NOT provided in record F58 sequence #1. Otherwise it is not allowed.	OC

- If new ‘Closing Book/Physical Balance – Extended’ field is populated with non-numeric values, Detail records F58 sequence #1 and #2 will be rejected using an existing reject code

08– Closing Balance Missing/Invalid

Modify Validation of Trailer Record F59 Sequence #1:

Rename existing ‘Sequence Number’ Field

NSCC cannot accommodate a ‘Sequence Number’ 2 byte field in the position 4-5 in the Position Detail record F58 sequence #1, we will rename the existing ‘Sequence Number’ field as Filler in the Trailer Record F59 sequence #1. This Filler is required to be populated with spaces.

Position Trailer (F59) #1

Field Name	Start	End	Len	Type	Description	Opt/Req
Filler (Renamed from Sequence Number)	4	5	2	N	space	R

Change ‘Total Closing Book Share Balance’ Field Conditions

- The existing ‘Total Closing Book Share Balance’ field will be changed from required to Optional Conditional.
- The ‘Total Closing Book Share Balance’ field will be required to recap ‘Closing Book/Physical Balance’ fields in Detail records F58 sequence #1 when Share Balance Indicator = 1 (Book Shares). Otherwise it is optional (must be space or zero).

Position Trailer (F59) #1

Field Name	Start	End	Len	Type	Description	Opt/Req
Total Closing Book Share Balance	10	24	15	N	99,999,999,999.9999 Required to recap Closing Book/Physical Balance in Detail records F58 sequence #1 when Share Balance Indicator = 1 (Book Shares). Otherwise it is optional.	OC

Change ‘Total Physical Share Balance’ Field Conditions

- The existing ‘Total Physical Share Balance’ field will be renamed to ‘Total Closing Physical Share Balance’ and changed from Optional to Optional Conditional.
- The ‘Total Closing Physical Share Balance’ field will be required to recap Closing Book/Physical Balance in Detail records F58 sequence #1 when Share Balance Indicator = 2 (Physical Shares). Otherwise it is optional (must be space or zero).

Position Trailer (F59) #1

Field Name	Start	End	Len	Type	Description	Opt/Req
Total Closing Physical Share Balance	57	71	15	N	99,999,999,999.9999 Required to recap Closing Book/Physical Balance in Detail records F58 sequence #1, when Share Balance Indicator = 2 (Physical Shares). Otherwise it is optional.	OC

Add New 'Sequence Number' Field

- Add new 'Sequence Number', Optional Conditional, alphanumeric field with value '01'.
- New 'Sequence Number' will be required if record F59 sequence #2 follows.

Position Trailer (F59) #1

Field Name	Start	End	Len	Type	Description	Opt/Req
Filler	72	96	25	A/N	Space	R
Sequence Number	97	98	2	A/N	01 Required if record F59 sequence #2 follows	OC
Filler/Reject Code	99	100	2	A/N	Input: Space Output: Reject Code	R

Create and Validate Trailer Record F59 Sequence #2

Add New Record Sequence

- Add new 'Position Trailer' record F59 sequence #2, Optional Conditional.
- This Record will be required to recap Closing Book/Physical Balance – Extended provided in the Detail records F58 sequence #2. Otherwise it is optional.

Position Trailer (F59) #2

Field Name	Start	End	Len	Type	Description	Opt/Req
System Code	1	1	1	A/N	F = Fund	R
Record Type	2	3	2	A/N	59 = Position Trailer	R
Filler	4	5	2	N	Space	R
Clearing/Settling Firm Number	6	9	4	N		R
----	--	--	--	--	---	--
Filler	44	96	53	A/N	Space	R
Sequence Number	97	98	2	A/N	02	R
Filler/Reject Code	99	100	2	A/N	Input: Space Output: Reject Code	R

Add New 'Total Closing Book Share Balance – Extended' Field

- Add new 'Total Closing Book Share Balance – Extended', Optional Conditional, 17 bytes numeric 9,999,999,999,999.9999 field
- Required to recap Closing Book/Physical Balance – Extended in (F58) #2 if Share Balance Indicator = 1 (Book Shares) in (F58) #1. Otherwise it is optional (should be space or zero)

Position Trailer (F59) #2

Field Name	Start	End	Len	Type	Description	Opt/Req
Total Closing Book Share Balance – Extended	10	26	17	N	9,999,999,999,999.9999 Required to recap Closing Book/Physical Balance – Extended in record F58 sequence #2 when Share Balance Indicator = 1 (Book Shares). Otherwise it is optional.	OC

- If new Total Closing Book Share Balance – Extended field is populated with non-numeric values, trailer records F59 sequence #1, #2 and all captured group records – header record F57, and all details (F58 #1,#2) will be rejected using an existing reject code '14'

14 – Trailer Record Missing/Invalid

Add New 'Total Closing Physical Share Balance – Extended' Field

Add new 'Total Closing Physical Share Balance – Extended, Optional Conditional, 17 bytes numeric 9,999,999,999,999.9999 field

- New Total Closing Physical Share Balance – Extended will be required to recap Closing Book/Physical Balance – Extended in record F58 sequence #2 when Share Balance Indicator = 2 (Physical Shares). Otherwise it is optional (should be space or zero).

Position Trailer (F59) #2

Field Name	Start	End	Len	Type	Description	Opt/Req
Total Closing Physical Share Balance – Extended	27	43	17	N	9,999,999,999,999.9999 Required to recap Closing Book/Physical Balance – Extended in Detail records F58 sequence #2 when Share Balance Indicator = 2 (Physical Shares). Otherwise it is optional.	OC

- If new 'Total Closing Physical Share Balance – Extended' field is populated with non-numeric values, trailer records F59 sequence #1 and #2 and all captured group records – header F57, all details F58 sequence #1,#2 will be rejected using an existing reject code '14'

14 – Trailer Record Missing/Invalid

Additional Reject Codes Added to Existing Networking Reject Codes:

K0 – Population of both Share Balance and Share Balance Extended fields is not allowed.
K1 – Population of both Closing Balance and Closing Balance Extended fields is not allowed.

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K2 – Date field has invalid date format (specific to Omnibus Activity and Position file).

VII. Testing

Effective Monday, May 17, 2010 participants can begin testing the new functionality in the Participant Services Environment (PSE) test region. Participants are encouraged to test and must contact the Enterprise Service Center (ESC) NSCC Production Support Hotline at 212-855-1144, option 6, option 7, and option 3. To ensure proper setup for the PSE region, we recommend that you notify ESC at least three days prior to testing.

VII. Documentation

The Networking record layouts are available on the Wealth Management Services website <http://www.dtcc.com/products/wealthmgmt/index.php> under the Participant Services section. The Networking technical manual will be updated and available on the website the end of March.

Any questions regarding this Important Notice can be directed to Mutual Fund Marketing at 212-855-5677, your WMS Relationship Manager, or the undersigned.

Josephine Torelli, Director
Mutual Fund Product Management
DTCC Wealth Management Services
(212) 855-5661

Rita Gribben, Director
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(212) 855-5677

Appendix A

Networking

Omnibus Activity Record Layouts

Effective Q2, 2010



*The Depository Trust &
Clearing Corporation*

1 Record Layouts

The following are Networking Omnibus Activity Record Layouts. The column headings are as follows:

- Field Name - The name of the field.
- Start - The position in which the field starts
- End - The position in which the field ends
- Len - The length of the field in bytes
- Description - Field description (format, valid values, conditional requirements, etc.).

Reject Code - The Networking reject code is used which indicates that this field is invalid.

All fields are character format, alpha/numeric:

- All dollar, price, and share fields include the decimal point, do not include commas, and are right justified, blank-filled.
- Shares are always 3 decimal places.
- Dollar and share fields will include a stated negative sign if the transaction type is a debit to the balance. For example, the dollars and shares sold on redemption will be negative as will a purchase reversal.
- Prices can have from 0 to 9 decimal positions
- All dates are in **ccyyymmdd** format. (March 15, 2010, for example, would be represented as 20100315)
- Percent fields include the decimal point and DO NOT include commas or the % sign

2 Omnibus Activity Records

Omnibus Activity File - Header Record

Required record

Input from Firm to NSCC

Output from NSCC to Fund if accepted, to Firm if rejected

The Omnibus Activity Header record is used to introduce a series of Omnibus Activity Detail records for a particular fund.

Omnibus Activity File - Header Record

Field Name	Start	End	Len	Description	Opt/Req	Reject Code
Record Type	1	3	3	'HDR' – Header Record	R	02
Filler DSAHPD1	4	64	61	Space	O	
Filler DSAHCNT	65	72	8	Space	O	
Filler DSAHPD2	73	560	488	Space	O	
Submitting Firm Number DSAHFRM	561	564	4	Must be valid NSCC Participant Number	R	03
Filler DSAHFNM	565	604	40	Space	O	
Filler DSAHDBN	605	606	2	Space	O	
Filler DSAHDBD	607	614	8	Space	O	
Receiving Fund Number DSAHRFND	615	618	4	Must be valid NSCC Participant Number	R	04
Filler DSAHPD3	619	1075	457	Space	O	
Filler DSAHSIT	1076	1078	3	Space	O	

Event Name DSAHEVN	1079	1086	8	Event Name that created the file JOBDAIly (Daily update) or DIVPOST (Dividend update) The name of the event that created the file.	O	
Last Production Date DSAHLPD	1087	1094	8	ccyymmdd	R	K2
Posting date DSAHPOS	1095	1102	8	ccyymmdd Production Date. Posting date (PR3POS) of the PR3 detail records.	R	K2
Current System Date DSAHSYD	1103	1110	8	ccyymmdd	R	K2
Filler	1111	1625	515	Space	O	
NSCC Reject Indicator	1626	1626	1	Input: Space Output: 0 = Accepted by NSCC 1 = Rejected by NSCC	R	
NSCC Reject Code 1	1627	1628	2	Input: Space Output: Reject code or space	R	
NSCC Reject Code 2	1629	1630	2	Input: Space Output: Reject code or space	R	
NSCC Reject Code 3	1631	1632	2	Input: Space Output: Reject code or space	R	

Omnibus Activity Records

Omnibus Activity File – Detail Record

Required record

Input from Firm to NSCC

Output from NSCC to Fund if accepted, to Firm if rejected

Omnibus Activity File - Detail Record

Field Name	Start	End	Len	Description
ROA Group DSAROA	1	20	20	ROA Group
Account Number DSAAC	21	40	20	The broker ID number (BIN) for the client account.
Pricing Rules DSARUL	41	43	3	Pricing Rules
Trade Date DSATRD	44	51	8	ccyymmdd Trade Date
Sort Order DSASRT	52	53	2	Sort Order
Fund Symbol DSAFND	54	59	6	Fund ID used by the Firm. Normally Fund Symbol.
Transaction Code DSACOD	60	62	3	This is the Transaction Code of the Omnibus Service Provider. Contact the firm if you need the code description.
Batch ID DSAIDN	63	82	20	Batch ID
Gross Amount Received DSARCV	83	98	16	999999999999.99 Gross Amount Received on a purchase or dividend reinvestment. Will be equal Gross Dollar Amount if no purchase fees.
Purchase Fee 1 DSAPF1	99	114	16	999999999999.99 This fee is a general purchase fee, based on the amount stored in each fund's fee table.
Purchase Fee 2 DSAPF2	115	130	16	999999999999.99 This fee is for federal or NRA withholding on dividend reinvestments.
Gross Dollar Amount DSAGRS	131	146	16	999999999999.99 Gross Dollar Amount

Dealer Commission Amount DSADLR	147	162	16	999999999999.99
Underwriter Commission Amount DSAUND	163	178	16	999999999999.99 If the commission was indirect, fronted by the fund, the portion that was fronted is carried as a negative amount on an original purchase. Therefore, the total DSADLR + DSAUND is always the commission that was paid by the shareholder.
FCA prior amount invested DSAFCA	179	194	16	999999999999.99 FCA prior amount invested
Net Dollar Amount DSANET	195	210	16	999999999999.99 Net Dollar Amount
NAV DSANAV	211	226	16	999999999999.99 NAV
Offer Price DSAOFF	227	242	16	999999999999.99 Offer Price
Shares DSASHR	243	259	17	999999999999.999 Shares
Resulting Share Balance DSABAL	260	276	17	999999999999.999 If an account/fund has multiple transactions in a day, the resulting balance (DSABAL) is the balance after each transaction. The ending balance for the day will be on the record with the highest serial number (DSASER).
Dividend Share Balance DSADIV	277	293	17	999999999999.999 Dividend Share Balance
Redemption Fee 1 DSARF1	294	309	16	999999999999.99 This is a general redemption fee, based on the amount stored in each fund's fee table.
Redemption Fee 2 DSARF2	310	325	16	999999999999.99 This is a general redemption fee.
Redemption Fee 3 DSARF3	326	341	16	999999999999.99 This is a general redemption fee.
Redemption Fee 4 DSARF4	342	357	16	999999999999.99 This is used for state tax withholding on redemptions.
Redemption Fee 5 DSARF5	358	373	16	999999999999.99 This fee is for federal or NRA withholding on cash dividends or redemptions.
Redemption Fee 6 DSARF6	374	389	16	999999999999.99 These fees are deducted from the proceeds of redemption. This fee is either a CDSC fee or a short-term trading (STR) fee. If the value in the DSARFN field (byte 1426) is 6, this is a short-term trading fee. Otherwise, this is a CDSC fee.
Net Redemption Ck Amount DSANCK	390	405	16	999999999999.99 Net Redemption Ck Amount

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Total Sales Charge Paid DSATOP	406	412	7	Total Sales Charge Paid by the Shareholder
Dealer Load Percent DSADLP	413	419	7	If the commission was indirect for a Jumbo purchase and the commission was 'blended,' the dealer load % will be the starting breakpoint for blending.
Underwriter Load Percent DSAUNP	420	426	7	Underwriter Load %
Serial Posting Number DSASER	427	436	10	Serial posting number, which is a unique transaction ID assigned to every transaction.
Account Trans Sequence Number DSAASQ	437	442	6	Account Trans Sequence Number
Account Trans Sub Sequence Number DSAASB	443	444	2	Account Trans Sub Sequence Number
Posting Date DSAPOS	445	452	8	ccyymmdd Posting Date
Settlement Date DSASET	453	460	8	ccyymmdd Settlement Date
Dividend Date DSADVD	461	468	8	ccyymmdd Dividend Date
FROM/TO Account Number on Transfer DSAAC2	469	482	14	The FROM or the TO account number on a transfer
FROM/TO Account Number on Exchange DSAFD2	483	488	6	The FROM or the TO fund ID on an exchange.
Broker Of Record DSABRK	489	493	5	Broker Of Record
Branch Of Record DSABRN	494	498	5	Branch Of Record
Rep Of Record DSAREP	499	513	15	Rep Of Record
Management Company Code DSAMGT	514	517	4	This is the Management Company Code of the Omnibus Service Provider. Contact the firm for specific information.
Buy/Sell Indicator DSABOS	518	518	1	Trade buy or sell indicator
As-Of/Cancel Trade Indicator DSARAC	519	519	1	As of or Cancel trade indicator
Filler DSAPD3	520	527	8	Pad Bytes
Timer Of Record DSATIM	528	532	5	Timer Of Record

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Timers Account Number DSATMA	533	546	14	Timers ACCT Number
Affiliate Of Record DSAAFF	547	551	5	Affiliate Of Record
Affiliates Account Number DSAAFA	552	565	14	Affiliates ACCT Number
Wholesaler Of Record DSAWHL	566	570	5	Wholesaler Of Record
As-Of Reason Code DSAREA	571	574	4	As-of reason code, which is a user defined code that describes the reason why a transaction is processed as-of.
Supplemental Asset Number DSASUP	575	584	10	Supplemental Asset Number
Filler DSANAM	585	634	50	Space
Dividend Number DSADV N	635	640	6	Dividend Number
Reconciliation Batch DSARCN	641	655	15	Reconciliation Batch
Contribution Year DSAYER	656	659	4	Contribution Year
Federal Withholding Percent DSAFWH	660	664	5	99.99 Federal Withholding Percent
State Withholding Percent DSASWH	665	669	5	99.99 State Withholding Percent
Adjust Available Shares DSAAVL	670	670	1	Y = Adjust for available shares
Filler DSAPD4	671	671	1	Pad Bytes
Check Number DSACHK	672	683	12	Check Number
Load Table DSALDT	684	686	3	Load Table
Pricing Code DSAPRI	687	687	1	Pricing Code. Valid values are: N = No load S = Share D = Dollar E = VIP V = Volume discount C = CDSC L = LOI P = Breakpoint R = ROA I = Extended, already priced F = FCA purchase with blended rates X = Reversal Y = Reversal of FCA purchase

Print Suppress Flag DSADEL	688	688	1	Print Suppress Flag
Liquidate All Shares Flag DSALIQ	689	689	1	Liquidate All Shares Flag
Adjustment Flag DSAADJ	690	690	1	Adjustment Flag
Pending Redemption Shares Pass Over DSAOVR	691	691	1	Pending Redemption Shares Pass Over
Share-Dollar Code DSASDI	692	692	1	Share-Dollar Code
Rounding Code DSARND	693	693	1	Rounding Code A = CDSC - fee waived (round up) B = CDSC - fee waived (round down) D = Down - Round down to the next full share amount F = Full and fractional - Do not round shares; instead, use the number of shares calculated by dividing the dollar amount of the transaction by the price N = CDSC - net dollar transaction S = CDSC - share transaction, waive CDSC fee T = Net Dollar transaction U = Up - Round up to the next full share amount X = CDSC - Net dollar transaction, waive CDSC fee W = CDSC - Dollar transaction, waive CDSC fee
Payment Method Code DSAPMT	694	694	1	Payment Method Code
Payee Number DSAPAY	695	697	3	Payee Number
Blue Sky State DSASKY	698	699	2	Blue Sky State
NRA Country Code DSANRA	700	701	2	Non-Resident Alien Country Code. Note that the code UC indicates a US citizen with a foreign address. Refer to the IRS web site and view a list of NRA country codes.
Expense/Income Code DSAEXP	702	703	2	Expense/Income Code
Campaign ID DSACMP	704	713	10	Campaign ID
Account Type DSAMAS	714	716	3	Contact the firm for their codes and descriptions.
Original Serial Number Reversed DSARVS	717	726	10	Original Serial Number Reversed. This is populated only for reversal transactions.
Original ASQ Number Reverse DSARVQ	727	732	6	Original ASQ Number Reverse. This is populated only for reversal transactions.

Original ASB Number Reverse DSARVB	733	734	2	Original ASB Number Reverse. This is populated only for reversal transactions.
Journal Record Number Of Trade DSAJRC	735	742	8	Journal Record Number Of This Trade
Filler DSAPD1	743	748	6	Space
Certificate Number DSACER	749	758	10	Certificate Number
Wire Order Number DSAORD	759	768	10	Wire Order Number
ABA Number DSAABA	769	777	9	ABA Number
Contra Code DSACON	778	780	3	Contra Code
Commission Paid/Deducted DSACOM	781	781	1	Commission Paid/Deducted
Transaction Type DSABIN	782	784	3	Transaction Types: AR - Reversals & Adjustments CI - Certificate Issues CS - Certificate Surrenders DC - Dividends - Cash DL - Dollar-Only Transactions DR - Dividends - Reinvested FD - Redemptions - Full - Direct PC - Cancellations - W/O Purchases PD - Purchases - Direct PO - Purchases - Wire Orders PS - Settlements - Wire Order Purchases RC - Cancellations - Wire Order Redempts RD - Redemptions - Partial - Direct RO - Redemptions - Wire Orders RS - Settlements - Wire Order Redempts SH - Share-Only Transactions TP - Transfers - Purchase Side TR - Transfers - Redemption Side XP - Exchanges - Purchase Side XR - Exchanges - Redemption Side Ending numeric value 0-9 can be variable at the Firm database level. (For example: PD0, PD9, RD1, DR0, etc.)
Input Screen DSASCR	785	787	3	Input Screen
Filler DSAERR	788	791	4	Space
Filler DSAMRK	792	792	1	Space
ROA Basis DSABAS	793	808	16	999999999999.99 The dollar amount used to determine the breakpoint for a purchase. It is the 'better of' an active LOI amount , the Broker-Supplied ROA Value (DSAROV), or the Calculated ROA Value (DSAROS).

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LOI Amount DSALOI	809	824	16	99999999999999.99 LOI Amount
Filler DSALNK	825	825	1	Space
Pricing Method DSAMTH	826	826	1	Pricing Method
Filler DSAPAD	827	833	7	Space
Additional Info in JN2 DSAADD	834	834	1	Additional Information In JN2. Contact the firm if you need the code descriptions
Purchase Fee Code 1 DSAPC1	835	837	3	Transaction code that identifies the type of fee in this field. Contact the firm if you need the code descriptions.
Purchase Fee Code 2 DSAPC2	838	840	3	Transaction code that identifies the type of fee in this field. Contact the firm if you need the code descriptions.
Redemption Fee Code 1 DSARC1	841	843	3	Transaction code that identifies the type of fee in this field. Contact the firm if you need the code descriptions.
Redemption Fee Code 2 DSARC2	844	846	3	Transaction code that identifies the type of fee in this field. Contact the firm if you need the code descriptions.
Redemption Fee Code 3 DSARC3	847	849	3	Transaction code that identifies the type of fee in this field. Contact the firm if you need the code descriptions.
Redemption Fee Code 4 DSARC4	850	852	3	Transaction code that identifies the type of fee in this field. Contact the firm if you need the code descriptions.
Redemption Fee Code 5 DSARC5	853	855	3	Transaction code that identifies the type of fee in this field. Contact the firm if you need the code descriptions.
Redemption Fee Code 6 DSARC6	856	858	3	Redemption Fee Code 6. Transaction code that identifies the type of fee in this field. Contact the firm if you need the code descriptions.
ZIP Code DSAZIP	859	868	10	ZIP Code
State DSASTA	869	870	2	State
Sort Name DSASNA	871	882	12	Sort Name
Withhold Type Code DSAWIT	883	883	1	Withhold type code
VIP Code DSAVIP	884	884	1	An alpha value (A-Z), except N (not a VIP), identifies an account as a VIP and gives NAV pricing. A numeric value 1-9 identifies an account as a VIP but does not give NAV pricing. The specific descriptions are defined by the firm.

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Social Code DSASOC	885	886	2	Refer to the NSCC participant web site for Social Codes
Suppress Mail DSAMAI	887	887	1	Suppress Mail
Dup Stmt Address DSADPS	888	890	3	Dup Stmt address On File
Telephone Redemptions DSATEL	891	891	1	Tele Redemptions?
Telephone Exchanges DSAEXC	892	892	1	Tele Exchanges?
Filler DSAPD2_1	893	898	6	PAD
Serial Number of Exchange /Transfer DSAPD2_SER2	899	908	10	Serial Number of the other side of an exchange (XR/XP) or transfer (TR/TP)
Filler DSAPD2_2	909	912	4	PAD
Network Control Indicator DSANCI	913	913	1	Network Control Indicator
External Control Number Type DSAXCT	914	916	3	External Control Number Type
Filler DSAPD9	917	917	1	Space
External Control Number DSATCK	918	937	20	External Control Number
Dealer Account Number DSADLA	938	957	20	Dealers Acct Number
Purchase Code DSATA1	958	958	1	Code to indicate if purchase is initial or subsequent. I = Initial S = Subsequent R = Reopen
Source Of Funds Code DSATA2	959	959	1	Source Of Funds Code
Suppress Trans On Statement Indicator DSATA3	960	960	1	Suppress Trans On Statement?
NTF Flag DSATA4	961	961	1	NTF Flag
As-Of Correction Override to Error Account Processing DSATA5	962	962	1	As of correction override to error account processing: B = bypass send to fund as of E = include in error account but send as of order
Special Aggr Method DSATA6	963	963	1	Special Aggr Meth 0-9, A-Z

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Transaction Attribute 7 DSATA7	964	964	1	Transaction Attribute 7, OMNIORDER Reportable Flag
Transaction Attribute 8 DSATA8	965	965	1	Transaction Attribute 8
Transaction Attribute 9 DSATA9	966	966	1	Transaction Attribute 9
Transaction Attribute 10 DSATA10	967	967	1	Transaction Attribute 10
Transaction Attribute 11 DSATA11	968	968	1	Transaction Attribute 11
Systematics Disposition DSATA12	969	969	1	Systematics Disposition: A = deactivate SWP/SPP B = move + deactivate SWP/SPP C = move SWP/SPP - no deactivate D = move + deactivate SWP E = move SWP - no deactivate F = move + deactivate SPP G = move SPP - no deactivate H = move SWP/SPP if not active on target -deactivate SWP/SPP N or blank = no action
Internal Control Number Type DSAICT	970	972	3	Internal Control Number Type PHO = Telephone FAX = FAX BFS = Fund/SERV LOI = Letter of instruction FIL = Interface trade file WIR = Same-day wire ERC - Client trade that went through error account ERR = Offset to ERC in the error account ERD = Offset to cash div sell or reinvest div buy ERB = Offset to break cover trade

Control Number Of Fund Order DSAICN	973	988	16	Control number of fund order, if part of a fund order.
OMNIORDER Sequence Number DSAODQ	989	989	1	OMNIORDER Sequence Number
Filler DSAVDB_1	990	1003	14	Space
IRA/DCP Indicator On Order DSAVDB_IRADCP	1004	1004	1	IRA/DCP indicator submitted on the order
Filler DSAVDB_2	1005	1006	2	Space
CDSC Waiver Reason Code On Order DSAVDB_CDSC_WVR_RSN	1007	1007	1	CDSC waiver reason code submitted on the order
NAV Reason Code On Order DSAVDB_NAV_RSN	1008	1008	1	NAV reason code submitted on the order
Filler DSAVDB_3	1009	1021	13	Space
Number Of Days For SWP Resubmit DSARSB	1022	1022	1	Number Of Days For SWP Resubmit
Dividend/Capital Gain Option DSADCO	1023	1023	1	'1'=CC (Cash/Cash) '2'=RR (Reinvest/Reinvest) '3'=CR(Cash/Reinvest) '4'=RC(Reinvest/Cash)
Settlement Date Override DSASOR	1024	1024	1	'D' = RD Overridden For Broker Directed Settlement 'I' = PD Should Inherit Settle Date Of RD 'P' = PD Should Be Assigned Trade Of RD Settle-1
Fund Override Trade Date DSAFTD	1025	1032	8	Fund Override Trade Date
Override Share/Dollar Indicator DSAOSD	1033	1033	1	Override Share/Dollar Indicator
Trading Method DSATDM	1034	1034	1	Trading Method
Fee Indicator DSAFNF	1035	1035	1	Fee/No Fee Indicator
Prime Mix Sequence Number DSAPMS	1036	1043	8	Prime Mix Sequence Number
Mix Class DSAPMC	1044	1046	3	Mix Class
Allocation Percentage DSAPMA	1047	1049	3	Allocation Percentage

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Number Of Original Transactions DSAPMO	1050	1052	3	Number Of Original Transactions
Prime Mix Pad DSAPMP	1053	1058	3	Prime Mix Pad
Filler DSAIVT	1056	1058	3	Space
Filler DSAIVS	1059	1062	4	Space
Filler DSAIVB	1063	1094	32	Space
Filler DSASST	1095	1097	3	Space
Representative name DSARN1	1098	1137	40	Representative name
Filler DSAHPAD	1138	1146	9	Pad Bytes
Filler DSAMPAD	1147	1162	16	Pad Bytes
Omnibus Account Number Indicator DSAOAI	1163	1163	1	DSA omnibus account indicator for DSABAN field (1164:1183). <blank> = DSABAN field is not populated. 1 = DSABAN field contains the fund account number. 2 = DSABAN field contains the broker account number.
Omnibus Account Number DSABAN	1164	1183	20	DSAOAI field (1163:1163) setting indicates whether value is fund account number or broker account number.
Estimated Pricing Run DSAEST	1184	1184	1	Estimated Pricing Run (Y/blank)
Filler DSAPD5	1185	1185	1	Pad Bytes
Clearing/Settling Broker DSACSB	1186	1190	5	Clearing/Settling Broker
Error Account Number DSAERA	1191	1204	14	Error Acct Number
Original Control Number DSAOCN	1205	1224	20	Original Control Number
Override withholding rate DSANOR	1225	1230	6	Override withholding rate
Basis Indicator DSABSI	1231	1231	1	Basis Indicator
CUSIP ID DSACUS	1232	1240	9	CUSIP
Currency Code DSACNC	1241	1243	3	Currency Code

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E-Commerce User ID DSAEUI	1244	1253	10	E-Commerce User ID
Gross Settlement Indicator DSAGSI	1254	1254	1	Gross Settlement Indicator
JN3 File Indicator DSAJN3	1255	1255	1	JN3 File Indicator (Y/N)
Sub Load Table Number DSALVL	1256	1258	3	Sub Load Table Number
Breakpoint Number within Load Table DSABPN	1259	1260	2	Breakpoint Number within Load Table
Original ICN From OMNIORDER DSAOMN	1261	1275	15	Original ICN from OMNIORDER
Account Cost Basis DSAESC	1276	1291	16	999999999999.99 Account Cost Basis
Account Market Value DSAMKT	1292	1307	16	999999999999.99 Account Market Value .Populated only for ESA accounts
Calculated ROA Value DSAROS	1308	1323	16	999999999999.99 Calculated ROA value
Broker-Supplied ROA Value DSAROV	1324	1339	16	999999999999.99 Broker-supplied ROA value
Error Batch ID DSAEBI	1340	1351	12	Error Batch ID
Amount of Waived STR Fee DSAWST	1352	1367	16	999999999999.99 Amount of Waived STR fee
Exchange Differential Load Level DSAXLV	1368	1368	1	Exchange differential load level
Free Entitlement Dollars DSAFED	1369	1384	16	999999999999.99 Free Entitlement Dollars
Free Entitlement Shares DSAFES	1385	1401	17	999999999999.999 Free Entitlement Shares
STR Fee Rate DSARFR	1402	1408	7	STR Fee Rate
STR Fee Liable Shares DSARFS	1409	1425	17	999999999999.999 STR fee liable shares
STR Fee Bucket Number DSARFN	1426	1426	1	STR fee bucket number (RF Number)
Tax ID/ SSN DSATAX	1427	1437	11	Tax ID or SSN. The number is formatted with dashes (-).

Filler DSAPDC	1438	1473	36	Space
TPA Number TPAID	1474	1477	4	Third party administrator ID Number
Bank/Trust ID Number TRSTID	1478	1481	4	Bank/Trust ID Number
Alternate (NSCC) Branch ID BRNALT	1482	1490	9	Alternate (NSCC) Branch ID
CIP Government ID type DSAGIT	1491	1494	4	Free form description of the following ID field.
CIP Government ID Number DSAGOV	1495	1514	20	CIP Government ID Number
User Defined Data DSAUSR	1515	1601	87	User defined data
Fund Symbol DSAUSR_FNDSYM	1602	1607	6	Fund Symbol
Fund ID at Fund DSAUSR_FNDFND	1608	1613	6	Fund ID at Fund
Representative last name DSAUSR_REPSNA	1614	1623	10	Representative last name
Filler DSAUSR_FILL2	1624	1632	9	Space

Omnibus Activity Records

Omnibus Activity File - Trailer Record

Required record

Input from Firm to NSCC

Output from NSCC to Fund if accepted, to Firm if rejected

The Omnibus Activity Trailer record is used to recap the Activity Detail records for a particular fund.

Omnibus Activity File - Trailer Record

Field Name	Start	End	Len	Description	Opt/ Req	Reject Code
Record Type	1	3	3	'TRL' – Trailer Record	R	02
Filler DSATPD1	4	64	61	Space	O	
Total Activity Record Count DSATCNT	65	72	8	99999999 Number of records included in the file	O	
Filler DSATPD2	73	560	488	Space	O	
Submitting Firm Number DSATFRM	561	564	4	Must be valid NSCC participant Number	R	03
Filler DSATFNM	565	604	40	Space	O	
Filler DSATPAD	605	615	11	Space	O	
Receiving Fund Number DSATRFND	616	619	4	Must be valid NSCC participant Number	R	04
Filler	620	1625	1006	Space	O	
NSCC Reject Indicator	1626	1626	1	Input: Space Output: 0 = Accepted by NSCC 1 = Rejected by NSCC	R	
NSCC Reject Code 1	1627	1628	2	Input: Space Output: Reject code or space	R	
NSCC Reject Code 2	1629	1630	2	Input: Space Output: Reject code or space	R	
NSCC Reject Code 3	1631	1632	2	Input: Space Output: Reject code or space	R	

Omnibus Activity Records

Omnibus Activity File – Grand Total Trailer Record

Optional Input record from Firm to NSCC

Required Output record from NSCC to Fund if accepted, to Firm if rejected

This record is used to recap all Omnibus Activity records, including headers and trailers, for a participant's entire transmission.

Omnibus Activity File – Grand Total Trailer Record

Field Name	Start	End	Len	Description	Opt/Req
Record Type	1	3	3	'GRT' – Grand Total Trailer Record	R
Filler	4	64	61	Space	O
Total Activity Record Count	65	72	8	99999999 Number of records included in the file (including Headers and Trailers)	R
Filler	73	560	488	Space	O
Submitting Firm Number/ Recipient Number	561	564	4	Submitting Firm Number on Input from Firm to NSCC; Recipient Number on Output from NSCC to participant	R
Filler	565	1632	1068	Space	O

3 Input Records' Layout

Omnibus Activity File Datatrak Header

Input from Fund to NSCC

Omnibus Activity File Datatrak Header

Field Name	Start	End	Len	Type	Description	Opt/ Req
Literal	1	5	5	A/N	Value 'HDR.S'	R
DATATRAK SYSID	6	10	5	A/N	Value '26943'	R
Literal	11	16	6	A/N	Value '.E00.C'	R
Originator	17	20	4	A/N		R
Literal	21	22	2	A/N	Value '.S'	R
Sub Originator	23	26	4	A/N		R
Processing Date	27	34	8	N	mmddccyy	R
File Description	35	59	25	A/N	Value 'NETW OMNI ACTIVITY INPUT'	R
Multi Batch Indicator	60	60	1	A/N	N = Not last batch Y = Last batch	R
Multi Batch Number	61	63	3	N		R
Filler	64	1632	1569	A/N	Space	R

Input Records' Layout

Omnibus Activity File Datatrak Trailer

Input from Firm to NSCC

Omnibus Activity File Datatrak Trailer

Field Name	Start	End	Len	Type	Description	Opt/ Req
Literal	1	5	5	A/N	Value 'END.S'	R
DATATRAK SYSID	6	10	5	A/N	Value ' 26943 '	R
Literal	11	16	6	A/N	Value '.E00.C'	R
Originator	17	20	4	A/N		R
Literal	21	22	2	A/N	Value '.S'	R
Sub Originator	23	26	4	A/N		R
Data File Record Count	27	33	7	N	DATATRAK Header & Trailer not included in count	R
Filler	34	1632	1599	A/N	Space	R

4 Output Records' Layout

Omnibus Activity Output Header File (N00)

Omnibus Activity Output Header File (N00)

Field Name	Start	End	Len	Type	Description
System Code	1	1	1	A/N	N = NSCC
Record Type	2	3	2	A/N	00 = Output Header
Sequence Number	4	5	2	A/N	01
MRO Recipient Number	6	9	4	N	
Literal	10	20	11	A/N	Value '11111111111'
Transmission Date	21	28	8	N	mmddccyy
Autoroute File Id	29	36	8	A/N	Value ' 02100943 '
Literal	37	54	18	A/N	Value 'NETW OMNI ACTIVITY'
Filler	55	1632	1578	A/N	Space

Appendix B



*The Depository Trust &
Clearing Corporation*

Networking

Omnibus Position Record Layouts

Effective Q2, 2010

5 Record Layouts

The following are Networking Omnibus Position Record Layouts. The column headings are as follows:

- Field Name - The name of the field.
- Start - The position in which the field starts
- End - The position in which the field ends
- Len - The length of the field in bytes
- Description - Field description (format, valid values, conditional requirements, etc.).

Reject Code - The Networking reject code is used which indicates that this field is invalid.

All fields are character format, alpha/numeric:

- All dollar, price, and share fields include the decimal point, do not include commas, and are right justified, blank-filled.
- Shares are always 3 decimal places.
- Dollar and share fields will include a stated negative sign if the transaction type is a debit to the balance. For example, the dollars and shares sold on redemption will be negative as will a purchase reversal.
- Prices can have from 0 to 9 decimal positions
- All dates are in **ccyymmdd** format. (March 15, 2010, for example, would be represented as 20100315)
- Percent fields include the decimal point and DO NOT include commas or the % sign

6 Omnibus Position Records

Omnibus Position File - Header Record

This is a required record. There is one record per file.

Input from Firm

Output from NSCC to Fund

Omnibus Position File - Header Record

Field Name	Start	End	Len	Description	Opt/ Req	Reject Code
Record ID DSPRID	1	3	3	'BAL' - Balance	R	02
Balance Date DSPDTB	4	11	8	ccyymmdd	R	K2
Filler	12	15	4	Space	O	
Filler	16	55	40	Space	O	
Submitting Firm Number DSPHFRM	56	59	4	Must be valid NSCC participant Number	R	03
Filler DSPPAD	60	85	26	Space	O	
Receiving Fund Number DSPHRFND	86	89	4	Must be valid NSCC participant Number	R	04
Filler	90	293	204	Space	O	
NSCC Reject Indicator	294	294	1	Input: Space Output: 0 = Accepted by NSCC 1 = Rejected by NSCC	R	
NSCC Reject Code 1	295	296	2	Input: Space Output: Reject code or space	R	
NSCC Reject Code 2	297	298	2	Input: Space Output: Reject code or space	R	
NSCC Reject Code 3	299	300	2	Input: Space Output: Reject code or space	R	

Omnibus Position Records

Omnibus Position File – Account Detail Record

This is a required record. There is one record per fund position.

Input from Firm

Output from NSCC to Fund

Omnibus Position File – Account Detail Record

Field Name	Start	End	Len	Description
Record ID DSPRID	1	3	3	'ACT' - Account
Broker Account Number DSPACT	4	23	20	Account Number Broker account number (BIN)
Fund Symbol DSPFND	24	29	6	Fund ID used by the Firm. Normally Fund Symbol.
Share Balance DSPSHR	30	46	17	9999999999999.999
NAV DSPNAV	47	62	16	999999999999.99 Last available NAV for the fund
Dealer Number on Account DSPDLR	63	67	5	Dealer number on the account
Dealer's Branch ID on Account DSPBRN	68	72	5	Dealer's Branch ID on the account
Representative ID on Account DSPREP	73	87	15	Representative ID on the account
Wrap Program Allocation Table DSPPMX	88	92	5	Wrap program allocation table
Affiliate on Account DSPAFF	93	97	5	Additional affiliate (TPA) on the account
Last Name of Representative DSPRNM	98	107	10	Last Name of Representative

CUSIP ID DSPCUS	108	116	9	CUSIP
Account Type Code DSPTYP	117	119	3	Code identifying the type of account. Listed below are some common (but not standard) account type codes: 1xx - Regular, Corporations, UGMA, Trusts 2xx - 401(k) 3xx 4xx - Retirement - Individual 5xx - Retirement - Qualified Plans 6xx 7xx 8xx - Internal/House Accounts 9xx - Outside - Non taxable Blank code description may be variable. Contact the firm for their codes and descriptions.
Social Code DSPSOC	120	121	2	Code identifying the account owner(s).
VIP Code DSPVIP	122	122	1	VIP Code
Full Name of Representative DSPRN1	123	162	40	Full Name of the Representative
State for Blue Sky Reporting DSPSKY	163	164	2	State used for Blue Sky reporting
State of Residence DSPSTA	165	166	2	State of residence
CDSC Flag DSPCDS	167	167	1	Flag set to Y if the account has shares that are still liable for CDSC
Account Last Name DSPNAM	168	179	12	Account Last Name
Zip Code DSPZIP	180	189	10	99999-9999 ZIP+4
Tax ID / SSN DSPTAX	190	200	11	Tax ID or SSN. The number is formatted with dashes (-).
ROA Group Number DSPROA	201	220	20	All accounts in same ROA group will be linked by an ROA Group Number
TPA Number DSPTPA	221	224	4	Third Party Administrator ID Number
Bank or Trust ID Number DSPTID	225	228	4	Bank or Trust ID Number
Alternate branch ID DSPABR	229	237	9	Alternate branch ID (NSCC 9 digit branch)

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CIP Government ID Type DSPGIT	238	241	4	CIP Government ID type. Free form description of the following ID field
CIP Government ID Number DSPGOV	242	261	20	CIP Government ID Number
NRA Country Code DSPNRA	262	263	2	Non-resident alien (NRA) country code.
Remaining Cost of Shares DSPCST	264	279	16	999999999999.99
Filler	280	300	21	Space

Omnibus Position Records

Omnibus Position File – Account LOI Record

This is an optional record. It will be present only if the account has an LOI.

Input from Firm

Output from NSCC to Fund

Omnibus Position File – Account LOI Record

Field Name	Start	End	Len	Description
Record ID DSPRID	1	3	3	'LOI' - Letter of Intent
Face Amount of LOI DSPLOI	4	19	16	999999999999.99 Face Amount of the Letter of Intent
Start Date of LOI DSPDTL	20	27	8	ccyymmdd Start date of the LOI
Date LOI Expires DSPDTE	28	35	8	ccyymmdd Date the LOI expires
Total LOI Amount Invested To Date DSPLPD	36	51	16	999999999999.99 The total amount invested to date under the LOI
Date the LOI Fulfilled DSPDTC	52	59	8	ccyymmdd Date the LOI was fulfilled
Prior Credit Amount Allowed DSPPRC	60	75	16	999999999999.99 Amount allowed as prior credit toward completion of the LOI
Filler DSPPD2	76	300	225	Space

Omnibus Position Records

Omnibus Position File – Account Name & Address Record

This is an optional record. It will be present only if information is available on the sub-accounting system and the firm has agreed to provide to the fund group.

Input from Firm

Output from NSCC to Fund

Omnibus Position File – Account Name & Address Record

Field Name	Start	End	Len	Description
Record ID DSPRID	1	3	3	'AD1' – Address
Address First Line Number DSPADD	4	4	1	The line number for the first line of address
Registration Line 1 DSPNA1	5	44	40	The first line of registration
Registration Line 2 DSPNA2	45	84	40	The second line of registration
Registration Line 3 DSPNA3	85	124	40	The third line of registration
Registration Line 4 DSPNA4	125	164	40	The fourth line of registration
Registration Line 5 DSPNA5	165	204	40	The fifth line of registration
City of Residence DSPCIT	205	226	22	Note: residence State and ZIP provided on ACT record
Province Name DSPPVC	227	246	20	Province Name
Country DSPCOU	247	266	20	Country
Filler DSPPD3	267	300	34	Space

Omnibus Position Records

Omnibus Position File - Trailer Record

This is a required record. It is the final record, one record per file.

Input from Firm

Output from NSCC to Fund

Omnibus Position File - Trailer Record

Field Name	Start	End	Len	Description	Opt/Req	Reject Code
Record ID DSPRID	1	3	3	'TOT' – Total	R	02
Total Number of ACT Records DSPCNT	4	11	8	Number of detail (ACT) records	O	
Total shares on ACT records DSPTSH	12	28	17	9999999999999.999	O	
Filler	29	32	4	Space	O	
Filler	33	72	40	Space	O	
Submitting Firm Number DSPTFRM	73	76	4	Must be valid NSCC participant Number	R	03
Total Number of Records DSPTCN	77	85	9	Total Number of records (including header & trailer)	O	
Receiving Fund Number DSPTRFND	86	89	4	Must be valid NSCC participant Number	R	04
Filler	90	293	204	Space	O	
NSCC Reject Indicator	294	294	1	Input: Space Output: 0 = Accepted by NSCC 1 = Rejected by NSCC	R	
NSCC Reject Code 1	295	296	2	Input: Space Output: Reject code or space	R	
NSCC Reject Code 2	297	298	2	Input: Space Output: Reject code or space	R	
NSCC Reject Code 3	299	300	2	Input: Space Output: Reject code or space	R	

Omnibus Position Records

Omnibus Position File – Grand Total Trailer Record

Optional Input record from Firm to NSCC

Required Output record from NSCC to Fund if accepted, to Firm if rejected

This record is used to recap all Omnibus Position records, including headers and trailers, for a participant's entire transmission.

Omnibus Position File – Grand Total Trailer Record

Field Name	Start	End	Len	Description	Opt/Req
Record ID	1	3	3	'GRT' – Grand Total	R
Filler	4	72	69	Space	O
Submitting Firm Number/ Recipient Number	73	76	4	Submitting Firm Number on Input from Firm to NSCC; Recipient Number on Output from NSCC to participant	R
Total Number of Records	77	85	9	99999999 Number of records included in the file (including Headers and Trailers)	R
Filler	86	300	215	Space	O

7 Input Records' Layout

Omnibus Position File Datatrak Header

Input from Firm to NSCC

Omnibus Position File Datatrak Header

Field Name	Start	End	Len	Type	Description	Opt/ Req
Literal	1	5	5	A/N	Value 'HDR.S'	R
DATATRAK SYSID	6	10	5	A/N	Value '26944'	R
Literal	11	16	6	A/N	Value '.E00.C'	R
Originator	17	20	4	A/N		R
Literal	21	22	2	A/N	Value '.S'	R
Sub Originator	23	26	4	A/N		R
Processing Date	27	34	8	N	mmddccyy	R
File Description	35	59	25	A/N	Value 'NETW OMNI POSITION INPUT'	R
Multi Batch Indicator	60	60	1	A/N	N = Not last batch Y = Last batch	R
Multi Batch Number	61	63	3	N		R
Filler	64	1632	1569	A/N	Space	R

Input Records' Layout

Omnibus Position File Datatrak Trailer

Input from Firm to NSCC

Omnibus Position File Datatrak Trailer

Field Name	Start	End	Len	Type	Description	Opt/ Req
Literal	1	5	5	A/N	Value 'END.S'	R
DATATRAK SYSID	6	10	5	A/N	Value ' 26944 '	R
Literal	11	16	6	A/N	Value '.E00.C'	R
Originator	17	20	4	A/N		R
Literal	21	22	2	A/N	Value '.S'	R
Sub Originator	23	26	4	A/N		R
Data File Record Count	27	33	7	N	DATATRAK Header & Trailer not included in count	R
Filler	34	1632	1599	A/N	Space	R

8 Output Records' Layout

Omnibus Position Output Header File (N00)

Omnibus Position Output Header File (N00)

Field Name	Start	End	Len	Type	Description
System Code	1	1	1	A/N	N = NSCC
Record Type	2	3	2	A/N	00 = Output Header
Sequence Number	4	4	1	A/N	1
MRO Recipient Number	5	8	4	N	
Literal	9	19	11	A/N	Value '11111111111'
Transmission Date	20	27	8	N	mmddccyy
Autoroute File Id	28	35	8	A/N	Value ' 02100944 '
Literal	36	53	18	A/N	Value 'NETW OMNI POSITION'
Filler	54	1632	1579	A/N	Space