



CF2/MQ Transmission Guides

8.06 Dividend/Reorganization Cash Settlement (CSHSET): Function User's Guide

Copyright

Copyright © 2014 by The Depository Trust Company (“DTC”). All rights reserved. This work is proprietary and is intended for the exclusive use of DTC’s Participants and other users of DTC’s services. No part of this work may be reproduced or distributed (including by transmission) in any form or by any means, or stored in any information storage and retrieval system, without DTC’s prior written permission.

All requests for additional copies of this work or inquiries about this work should be directed to DTC Participant Interface Planning, The Depository Trust Company, 55 Water Street, New York, NY 10041, USA.

Document History

04/25/97	Added 6 new fields to CSHSET Record Layout, bringing Record Length to 450. Added Reason Codes CDP, RCD, RR to position 204 of CSHSET Record Layout.
08/08/97	Added three new Reason Codes to CSHSET Detail Record (RML, R3D, RMD). Added these codes and "RCL" to acceptable values in System Generated Deposit Reference ID, Participant Deposit Reference ID and Deposit Date fields of same record.
09/02/97	Added Activity Types 53, 65G, 65P, 65X and 66P to CSHSET Detail Record.
05/26/98	CSHSET Detail Record: Addition of DR to Adjustment Reason Codes (position 204).
01/27/99	CSHSET Detail Record: Addition of CIL to Adjustment Reason Codes (position 204).
02/01/00	Added 5 reason codes to the CSHSET Detail Record Description, position 204.
02/08/01	Added the following Activity Codes to section 2 - Detail Record, position 21; 03, 04, 05, 31, 32, 33, 34, 36, 38, 39, 40.
03/01/01	Added new file CSHEUD (unallocated funds with updated reason codes) to reflect late payments received after settlement cutoff. Added 08 new reason codes to the CSHSET Detail Record Description, position 204. Updated sub reason codes for Dividends in Appendix 3.0
12/05/01	Added the following Activity Code to section 2 - Detail Record, position 50; 94 = Bankruptcy CSHSET Detail Record: Addition of ADC and ADR to Adjustment Reason Codes (position 204). CSHSET Detail Record: Addition of ADC and ADR to Adjustment Sub Reason Codes (position 208).

11/06/02	Added new reason code: SDPC. This is for Same Day Position Capture, Pos 204 for CSHUNL and CSHEUD for Redemptions. Added new reason code: ABKS. Pos. 204 for CSHUNL and CSHEUD.
12/04/02	Added 3 new slices – CSHIUA, CSHIUB, CSHIUC for non-allocating files to be produced Intra-day. The record type for these slices is CSHIUN – Cash Intra-day Unallocated. These files will contain non-allocating Dividend and Redemption items for a current payable date.
05/07/04	Added new reason codes: NMAT, and NOTL. This is for SDAR Help Screen, Pos 204 for unallocated (CSHUNL and CSHEUD) items.
06/29/04	Added new indicator in position 438 to indicate if CUSIP has been funded or not funded by Agent. Applicable to Dividend items only, will default to spaces if unable to determine funded/not-funded indicator. Not applicable to Redemption and Corporate Reorg items (will default to spaces.) Applicable to CSHSET slice only, not applicable to Intraday slices
11/01/04	Changed availability time to 5:00 P.M. from 4:30 P.M on the following files CSHSET (cumulative allocated funds) CSHUNL (all unallocated funds)
10/01//08	Added new reason code 'STRC' for unallocated structured securities for files CSHEUD, CSHIUN, CSHUNL, CSHRPJ in position 204.
08/06/10	Added new slice – CSHEU2 for non-allocating files to be produced at 5PM. The record type for these slices is CSHEUD – Cash EOD Cumulative Unallocated. These files will contain non-allocating Dividend and Redemption items for a current payable date.
	Changed availability time from 5:00 PM to 4:00 PM on the CSHUNL (all unallocated funds) file.
	Added 13 new slices – CSHS01 – CSHS13 for allocating files to be produced intra-day on a half-hour basis.
05/31/13	CSHSET Detail Record: Addition of 'RPC', 'RPR', 'RPX' and 'SLX' to Adjustment Sub Reason Codes (position 208).

11/18/14

The following changes were made to bring the existing document up to current standards.

Revised CCF Header Record description.

Removed references to CCRDTFDB and added NDMDTFGP and NDMDTFSP.

Revised CF2 Header and Trailer Records

Changed CCF-II references to read CF2.

Identified existing CF2 HDR and TRL Record Format as NDM specific.

Corrected "TLR" in Field Description (position 1) to read "TRL".

Added (0001) to Field Description (position 56).

Expanded Filler (position 60) from 15 to ???

Removed Sequence Number field (position 75).

Added FTP specific CF2 Header and Trailer Record Format.

Contents

Copyright	ii
Document History	iii
1. Overview	5
1.1 Availability of CSHSET functions	7
2. Header and Trailer Records	9
2.1 The CCF Header Record	9
2.2 The CF2 Header and Trailer Records.....	10
2.2.1 NDM – CF2 Header and Trailer Records	10
2.2.2 FTP - CF2 Header and Trailer Records.....	11
3. The CSHSET Detail Record	12
4. Appendix	22
4.1 DTF CSHSET Adjustment Sub Reason Codes	22
4.1.1 Sub Reason Codes and Status Description for Department Code “R”	22
4.1.2 Sub Reason Codes and Status Description for Department Codes “D” and “C”	23

1. Overview

The CSHSET function files will allow CCF and CF2 users to retrieve their Dividend/Reorganization Cash Settlement records throughout the business day using the following individual functions. Please note that all these functions are in the same format and all times refer to Eastern Time.

CSHPRJ

At approximately 4:00 a.m., Monday through Friday, DTCC will provide participants with a Projected Allocation file. This file will contain all the projected allocations for the current day plus the upcoming 5 DTCC settlement (non-bank holidays) business days.

CSHSTA–CSHSTG

Beginning at approximately 10:15 a.m., Monday through Friday, DTCC will produce seven mutually exclusive Cash Allocation files giving Participants their Cash Allocation information on an hourly basis. These files will be produced approximately 15 minutes after the hour, starting 10 a.m. up until 4:00 p.m. As mentioned before, the data contained on these files will be mutually exclusive and all seven files must be retrieved during the day to receive all allocation information. The seven hourly function names are listed below with the approximate availability times.

CSHS01–CSHS13

Beginning at approximately 9:35 a.m., Monday through Friday, DTCC will produce thirteen mutually exclusive Cash Allocation files giving Participants their Cash Allocation information on an half hourly basis. These files will be produced starting approximately 9:35 a.m. up until 3:30 p.m. As mentioned before, the data contained on these files will be mutually exclusive and all thirteen files must be retrieved during the day to receive all allocation information. The thirteen function names are listed below with the approximate availability times.

The data in the half-hourly files can also be found in the hourly files.

CSHSET

In lieu of participants having to pull multiple allocation files, DTCC will create a full end-of-day file that will contain all cash allocations for a single business day. This file will be available at approximately 5:00 p.m. **Participants should be aware that if they pull seven hourly files and this end-of-day-file they will be receiving duplicate data.**

CSHUNL

At the end of the business settlement period each day, DTCC will produce a file containing all unallocated funds. This file will be available at approximately 4:00 p.m.

CSHEUD

To reflect payment information that has been received after settlement cutoff, DTCC will produce a file containing all unallocated funds with updated reason codes. This file will be available at approximately 7:30pm.

CSHEU1

To reflect payment information that has been received after settlement cutoff, DTCC will produce a file containing all unallocated funds with updated reason codes. This file will be available at approximately 6:15pm.

CSHEU2

To reflect payment information that has been received after settlement cutoff, DTCC will produce a file containing all unallocated funds with updated reason codes. This file will be available at approximately 5:15pm.

CSHIUA–CSHIUC

At approximately 12:30p.m., 1:30pm. and 2:45pm. Monday through Friday, DTCC will produce files in order to give Participants a notice of the current pay date Cash non-allocations, especially issues in default and issues not funded by the Agent. These files will contain information for Dividends and Redemptions.

1.1 Availability of CSHSET functions

Function	Description
CSHPRJ	4:00 a.m. - 4:00 p.m. (projected allocations)
CSHS01	9:40 a.m. (allocated funds)
CSHS02	10:10 a.m. (allocated funds)
CSHSTA	10:15 a.m. (allocated funds)
CSHS03	10:40 a.m. (allocated funds)
CSHS04	11:10 a.m. (allocated funds)
CSHSTB	11:15 a.m. (allocated funds)
CSHS05	11:40 a.m. (allocated funds)
CSHS06	12:10 p.m. (allocated funds)
CSHSTC	12:15 p.m. (allocated funds)
CSHS07	12:40 p.m. (allocated funds)
CSHS08	1:10 p.m. (allocated funds)
CSHSTD	1:15 p.m. (allocated funds)
CSHS09	1:40 p.m. (allocated funds)
CSHS10	2:10 p.m. (allocated funds)
CSHSTE	2:15 p.m. (allocated funds)
CSHS11	2:40 p.m. (allocated funds)
CSHS12	3:10 p.m. (allocated funds)
CSHSTF	3:15 p.m. (allocated funds)
CSHS13	3:30 p.m. (allocated funds)
CSHSTG	4:15 p.m. (allocated funds)
CSHSET	5:00 p.m. (cumulative allocated funds)
CSHUNL	4:00 p.m. (all unallocated funds)
CSHEU2	5:15 p.m. (all unallocated funds with updated reason codes)
CSHEU1	6:15 p.m. (all unallocated funds with updated reason codes)
CSHEUD	7:30 p.m. (all unallocated funds with updated reason codes)
CSHIUA	12:30 p.m. (non allocating funds)
CSHIUB	1:30 p.m. (non allocating funds)
CSHIUC	2:45 p.m. (non allocating funds)

NOTE: The above data files (CSHSTA-CSHSTG and CSHS01-CSHS13) contain data that is mutually exclusive. The above data files (CSHIUA-CSHIUC) may contain repetitive data. All CASH Settlements files are available for 20 hours, unless otherwise specified.

2. Header and Trailer Records

2.1 The CCF Header Record

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

The CCF header record's format is as follows:

CCF Header Record Format				
Position	Length	Format	Field Name	Field Description
1	6	Character	Data Type Requested	Data type name with which this data was requested (CSHPRJ, CSHSTA, etc.).
7	6	Character	Data Type Created	Data Type name with which this data was created (CSHPRJ, CSHSTA, etc.).
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.

2.2 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.

2.2.1 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"
4	4	Character	Signon ID	Signon ID
8	6	Character	Data Type Requested	CSHPRJ, CSHSTA, CSHSTB, etc.
14	6	Character	Data Type Created	CSHPRJ, CSHSTA, CSHSTB, etc.
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.

2.2.2 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	CSHPRJ, CSHSTA, CSHSTB, etc.
18	6	Character	Data Type Created	CSHPRJ, CSHSTA, CSHSTB, etc.
24	8	Character	Creation Date	Data Creation Date (MM/DD/YY)
32	8	Character	Spool Date	Data Load Date (MM/DD/YY)
40	8	Character	Load Time	Data Load Time (HH:MM:SS)
48	4	Numeric	Record Length	Record Length of data requested
52	8	Numeric	Record Count	Number of data records in file.
60	4	Numeric	80-Byte Record Count	Number of 80-byte records per data type requested. (0001)
64	???	Character	Filler	DTC use only. Do not use.

3. The CSHSET Detail Record

Position	Length	Format	Field Name	Field Description
1	1	Character	Feedback Indicator	A constant "*" indicates an output message in the new format.
2	1	Character	Production/ Test Indicator	For this function a constant "P" indicates a Production system message.
3	6	Character	Record Type	CSHPRJ - Cash projected file, CSHSET - Cash settled file, CSHUNL - Cash unallocated file, CSHEUD - Cash unallocated file with updated reason codes indicates the function requested. CSHIUN - Cash Intra-day non allocating items
9	2	Character	Record Suffix	A constant "01".
11	2	Character	Version Number	The version number associated with this record format; a constant "01".
13	6	Character	User Reference Number	Constant spaces.
19	8	Character	Addressee ID	The entity on behalf of whom the transaction is being processed. Right aligned, zero filled.
27	8	Numeric	Primary Participant Number	The primary Participant on behalf of whom the transaction is being processed. Right aligned zero filled.
35	8	Numeric	Allocation Date	Only for projected file (CSHPRJ) - contains expected allocation date. CCYYMMDD format. CSHUNL, CSHEUD, CSHSET and CSHIUN records will contain zeroes.
43	6	Numeric	Time Item Allocated	HHMMSS format.
49	1	Character	Department	"D" = Dividends "C" = Corporate Reorg "R" = Redemption
50	3	Character	Activity Type	For activities with 2 characters, the first two bytes will contain the activity and the last byte will be a space. 02 = Stock Split/Cash in Lieu

Position	Length	Format	Field Name	Field Description
				03 = Foreign Debt Unfavorable Tax Rate
				04 = Foreign Debt Favorable Tax Rate
				05 = Foreign Debt Exempt Tax Rate
				06 = Stock Dividend/Cash in Lieu
				07 = Cash on Increased Shares
				08 = Cash Dividends
				09 = Foreign Cash Dividend: Unfavorable
				11 = CIL - Spinoff Ineligible
				12 = CIL - Spinoff Ineligible
				13 = Bond Interest
				14 = Optional Dividend
				15 = Optional Dividend
				17 = Optional Dividend
				18 = Optional Dividend
				19 = Optional Dividend
				20 = Optional Dividend
				21 = Optional Dividend
				23 = Muni Bonds
				25 = Principal Payment
				30 = Dividend Reinvestment
				31 = Automated Dividend Reinvestment
				32 = Long Term Capital Gains
				33 = Short Term Capital Gains
				34 = Return of Capital
				35 = Tax Exempt Div Service
				36 = Sales of Rights ADR
				37 = Foreign Cash Div Favorable
				38 = Pay in Kind Bonds
				39 = Rights Distributions
				40 = Foreign Tax Refunds
				43 = Special Distribution
				44 = Recapitalization
				45 = Liquidation
				46 = Sale of Assets
				47 = Redemption of Rights
				49 = Capital Gains
				52 = Tender
				52M = Election Merger
				52O = Voluntary - other
				53 = CD Early Redemption
				54 = CIL - Conversion
				54T = Convert and Tender
				58 = Optional Repayment
				58B = Optional Repayment-Book Entry
				59 = Rights Redemption

Position	Length	Format	Field Name	Field Description
				60 = Warrant Subscription
				61 = Warrant Redemption
				62 = Mortgage Backed Put
				62B = Mortgage Backed= Book Entry
				63 = CD Repayment
				64 = Unit Separation
				65 = Mandatory Put= No Retainment
				65B = Retainment = Book Entry
				65G = Mandatory Purchase
				65P = Partial Mandatory Purchase
				65R = Retainment - Book Entry
				65X = Partial Mandatory Purchase - Book Entry
				66 = Accrued Interest-Corp Redemption
				66P = Special Puts/Limitation
				67 = Accrued Interest-Muni Redemption
				68 = Accrued Div-Corp Redemption
				69 = Full Convertible Redemption
				69P = Partial Convertible Redemption
				70 = CD Redemption
				71 = CIL Stock Merger
				71E = CIL - Effective Stock Merger
				72 = Cash Merger
				72E = Effective Cash Merger
				73t = CIL Reverse Split
				73E = Effective CIL = Reverse Split
				74 = Corp Partial Call
				75F = Corp Full Call
				75M = Corp Maturity
				76 = Muni Partial Call
				77F = Muni Full Call
				77M = Muni Maturity
				77P = Muni Pre-refunded
				77L = Muni Full Pre-Refunding Late
				79 = Cash Liquidation
				86F = Final Default Distribution
				86P = Interim Default Distribution
				87 = UIT Termination
				87U = UIT Termination/Unsold Assets Remain
				89 = CMO Final Paydown
				90 = Cash & Stock Merger
				90E = Effective Cash & Stock Merger
				92 = ADR Install Payment
				93 = Corporate Action
				93E = Effective Corporate Action
				94 = Bankruptcy

Position	Length	Format	Field Name	Field Description
53	2	Character	CUSIP Country Code	CUSIP Country Code.
55	9	Character	Primary CUSIP	Primary CUSIP.
64	1	Character	CUSIP International Check Digit	CUSIP International Check Digit.
65	8	Numeric	Record Date	Format CCYYMMDD.
73	8	Numeric	Payable Date	Format CCYYMMDD.
81	3	Numeric	Sequence Number	Sequence Number.
84	15	Numeric	Dollar Amount	Format S9(13)V99.
99	15	Numeric	Share Quantity	Whole Share Quantity in units of 1.
114	6	Numeric	Fractional Share Quantity	Fractional Share Quantity.
120	15	Numeric	Cash Rate	Format S9(9)V9(6).
135	15	Numeric	Stock Rate	This field will be used for Dividend Reinvestment items and will contain the unfavorable rate for foreign securities. Format S9(9)V9(6).
150	15	Numeric	Price	This field will be populated for Cash-in-Lieu payments. Format S9(9)V9(6).
165	15	Numeric	Accrued Interest Rate	Format S9(9)V9(6).
180	8	Numeric	Contra Participant Number	Will be used for Adjustment Reason Codes "FL", "RP" and "SL".
188	1	Character	RDP Issue Type	RDP Issue Type.
189	3	Numeric	Sub-Issue Type.	Sub-Issue Type.
192	8	Character	Agent Number	Agent Number.
200	2	Character	Agent Role	Agent Role.

Position	Length	Format	Field Name	Field Description
202	2	Character	Allocation Status	<p>“A” = Allocated (CSHSET files)</p> <p>“U” = Unallocated (CSHUNL, CSHEUD and CSHIUN files)</p> <p>“P” = Projected (CSHPRJ file).</p>
204	4	Character	Reason Code	<p>For allocated (CSHSET) items this field will be filled in with the following:</p> <p>If the dollar amount field is positive the Adjustment is a payment. If it is negative the Adjustment is a charge. Value is right justified.</p> <p>Adjustment Reason Codes:</p> <ul style="list-style-type: none"> ADC - ADR Issue Fee Charge ADR - ADR Issue Fee Reversal CDP - Custody Dividend Payment CIL - Cash-In-Lieu Adjustment CL - Claim Payment/Charge DR - Rate Change Adjustment on Allocation Date FL - Fail Payment/Charge RP - Repo Payment/Charge SL - Stock Loan Payment/Charge GL - Misc Payment/Charge T2 - Tender Offer Fraction WC - Warrant Rate Change WT - Warrant Participant Delete RE - Rights Subscription RI - Rights Protect RL - Last Day Protect RA - Adjusted Rights Subscription RCD - Custody Reorg. Deposit RR - Rights Redemption RU - Rights Step Up RS - Rights Sales RD1 - Reorg Deposit–Phase 1 RD2 - Reorg Deposit–Phase 2 RMD - Reorg Mandatory Deposit RML - Legal Reorg Deposits

Position	Length	Format	Field Name	Field Description
				<p>TJXD - Reclassification tax withholding Adjustment</p> <p>TJXF - Fail Tracking Tax Withholding Adjustment</p> <p>TJXI - Tax Instruction Change Adjustment</p> <p>TJXL - Original Late Tax Withholding</p> <p>TJXO - Original (initial) Tax Withholding</p> <p>TJXR - Reversal of Tax Withholding</p> <p>TJXT - Rate Change Tax Withholding Adjustment</p> <p>TJXU - Manual User Tax Adjustment</p> <p>TJXV - Intra-Day Reversal of Original Tax Withholding</p> <p>For unallocated (CSHUNL, CSHEUD and CSHIUN) items, this field will be filled in with the following:</p> <p>ABKS - ALLOCATED DUE TO BKS SUSPENSE</p> <p>AGBP - AGENT BYPASSED FOR CURRENT PD/D</p> <p>ANFI - FUNDS NOT RECEIVED BY AGENT</p> <p>ANNG - BAD ANNOUNCEMENT</p> <p>APRR - APPROXIMATE RATE</p> <p>BDPD - BAD PAYABLE DATE</p> <p>BKBD - BANK BONDS</p> <p>CBP1 - CHURCH BD 1ST PMNT NOT FUNDED</p> <p>COND - CONDITIONAL PAYMENT</p> <p>CSHR - CASH RATE ZERO</p> <p>DFLT - ISSUE IN DEFAULT</p> <p>DROP - ITEM DROPPED</p> <p>EDJR - ITEM EDIT REJECTED</p> <p>EXCA - AGENT EXCLUDED</p> <p>EXCC - CUSIP EXCLUDED</p> <p>FX - PENDING CONVERSION OF FUNDS</p> <p>HICO - HOLIDAY IN COUNTRY OF ORIGIN</p> <p>ISNF - ISSUE NOT FUNDED</p> <p>JRNA - JOURNAL ALLOCATION</p> <p>LAED - LATE ANNOUNCEMENT W/ELECTIONS</p> <p>LFID - ISSUES FUNDED AND/OR IDENTIFIED AFTER C/OFF</p>

Position	Length	Format	Field Name	Field Description
				LIQD - LIQUIDATION MASF - INSUFFICIENT FUNDS RECEIVED FROM AGENT MULT - MULTI CURRENCY NMAT - ISSUE NOT MATURING NOTL - NOTIONAL BALANCE, NO PRINCIPAL PAYMENTS ORGC - ORANGE CNTY ISSUE NOT FUNDED PAST - P & I EXEMPT AFTER PAY DATE PCHK - PAID UPON RECEIPT OF CHECK PCUT - P & I EXEMPT AFTER CUTOVER PEDS - PENDING EDS ELECTIONS PEND - ITEM IS PENDING PIEX - P & I EXEMPTIONS PIK - Paid in Kind PUVF - SPECIFIC ISSUES SUPPRESSED DUE TO POOR -PERFORMANCE HISTORY RATE - MISSING RATE/LOW BOND RATING RCNF - RECAPITALIZATON- NOT FUNDED RPLG - RELEASED PLEDGE POSITION RRNF - REDEMPTN OF RTS - NOT YET FUNDED SANF - SALE OF ASSETS - NOT YET FUNDED SDPC - SAME DAY POSITION CAPTURE STRC - Structured Security-Pay Upon Receipt of Rate/Funds SPNF - SPECIAL DIST. - NOT YET FUNDED TEST - TEST CUSIP TRLF - ISSUE TRADING FLAT 10DG - 10-Day Grace Period 15DG - 15-Day Grace Period 20DG - 20-Day Grace Period 30DG - 30-Day Grace Period Projected (CSHPRJ) file will contain the following adjustment reason codes: If the dollar amount field is positive the Adjustment is a payment. If it is negative the Adjustment is a

Position	Length	Format	Field Name	Field Description
				charge. Right aligned. Adjustment Reason Codes: ADC - ADR Issue Fee Charge ADR - ADR Issue Fee Reversal CDP - Custody Dividend Payment CIL - Cash-In-Lieu Adjustment CL - Claim Payment/Charge DR - Rate Change Adjustment on Allocation Date FL - Fail Payment/Charge RP - Repo Payment/Charge SL - Stock Loan Payment/Charge GL - Misc Payment/Charge T2 - Tender Offer Fraction WC - Warrant Rate Change WT - Warrant Participant Delete RE - Rights Subscription RI - Rights Protect RL - Last Day Protect RA - Adjusted Rights Subscription RCD - Custody Reorg. Deposit RR - Rights Redemption RU - Rights Step Up RS - Rights Sales RD1 - Reorg Deposit–Phase 1 RD2 - Reorg Deposit–Phase 2 RMD - Reorg Mandatory Deposit RML - Legal Reorg Deposits STRC - Structured Security-Pay Upon Receipt of Rate/Funds (current day projections only) TJXD - Reclassification tax withholding Adjustment TJXF - Fail Tracking Tax Withholding Adjustment TJXI - Tax Instruction Change Adjustment TJXL - Original Late Tax Withholding TJXO - Original (initial) Tax Withholding TJXR - Reversal of Tax Withholding

Position	Length	Format	Field Name	Field Description
				TJXT - Rate Change Tax Withholding Adjustment TJXU - Manual User Tax Adjustment TJXV - Intra-Day Reversal of Original Tax Withholding
208	4	Character	Adjustment Sub Reason Code	Will be filled in when the Reason Code = "GL", "RP", "SL" or any of the Tax Withholding Reason Codes beginning with TJ. For a description of these codes grouped by department code, see Appendix 3.1.
212	10	Character	System Generated Deposit Reference ID	Applicable only to Reorg Deposits where reason code = "RD1", "RD2", "RMD", "RCD", "RML", or "R3D".
222	15	Character	Participant Deposit Reference ID	Applicable only to Reorg Deposits where reason code = "RD1", "RD2", "RMD", "RCD", "RML", or "R3D".
237	8	Numeric	Deposit Date	Applicable only to Reorg Deposits where reason code = "RD1", "RD2", "RMD", "RCD", "RML" or "R3D".
245	48	Character	Security Description	Security Description.
293	8	Character	Filler	DTCC use only. Do not use.
301	2	Character	New CUSIP Country Code	New CUSIP Country Code.
303	9	Character	New CUSIP	For example, when doing Stock-for-Stock reorganizations.
312	1	Character	New CUSIP International Check Digit	New CUSIP International Check Digit.
313	48	Character	New Security Description	Of the New CUSIP.
361	20	Character	Customer Account ID	For example, for Custody.
381	8	Character	Target Date	Format CCYYMMDD
389	1	Character	FOSP Indicator	Foreign Ordinary Share Processing: 'Y' or 'N'

Position	Length	Format	Field Name	Field Description
390	48	Character	Agent DDA Name	Agent DDA Name for file CSHEUD and CSHIUN only. Otherwise, Filler.
438	1	Character	Funded/Not Funded by Agent Indicator	Values: "Y" - CUSIP has been funded by Agent "N" - CUSIP has not been funded by Agent " " - Unable to determine funded information (applicable to Dividends, Redemptions and Corporate Reorg items.)
439	12	Character	Filler	For DTCC use only. Do not use.

4. Appendix

4.1 DTF CSHSET Adjustment Sub Reason Codes

The following are the status descriptions for various sub reason codes, grouped by department code:

4.1.1 Sub Reason Codes and Status Description for Department Code “R”

Sub Reason Codes	Status Description
ACA	The accrued interest previously paid to you was at the wrong rate. This adjustment is to correct that erroneous payment.
ACP	Accrued interest was not previously paid to you for the redemption in this issue. This adjustment is to pay you for this accrued interest.
APP	Certificates you deposited prior to publication date were subsequently called. The agent paid DTCC the principal redemption proceeds but erroneously paid you the accrued interest.
CKS	Certificates you deposited prior to publication date were subsequently called. The agent paid DTCC the principal proceeds via check, but in your customer’s name. We are forwarding the check today. This adjustment is to charge you for the funds.
DEP	You deposited securities that were previously called. The agent paid DTCC the redemption proceeds. This adjustment is to pass these proceeds on to you. Your free account security position will be adjusted (shorted) today for the called quantity.
GLP	Redemption payment due to pledge release.
GLT	In settlement of a trade - DTCC Reorg account 428-10271-1-2-039.
GL7	Redemption cash settlement.
PRA	The principal previously paid to you was at the wrong rate. This adjustment is to correct that erroneous payment.
RRG	This adjustment represents credits/debits to your account in lieu of reorg deposit activity.
XX.X	Tax withholding percentage when Reason Code is one of the following: ‘TJXD’ ‘TJXF’ ‘TJXI’ ‘TJXL’ ‘TJXR’ ‘TJXT’ ‘TJXU’. Following are the possible tax percentages: 00.0, 04.0, 05.0, 10.0, 12.0, 12.5, 15.0, 17.5, 20.0, 25.0, 30.0, 35.0, 39.6. (For more tax information, please contact Tony Capizzi, DTCC Tax Group).

4.1.2 Sub Reason Codes and Status Description for Department Codes “D” and “C”

Sub Reason Codes	Status Description
AAA	Allocation adjustment.
ABA	Allocation of Baby Bonds Amount To Be Exited \$
ACA	Interest Adjusted Due to Early Withdrawal (Certificate of Deposit)
AC7	Interest/Dividend Due on Conversion
ADA	Company in Default
ADC	ADR Issue Fee Charge
ADM	Issue in Default
ADR	ADR Issue Fee Reversal
AEA	Interest Allocated in Error First Payment On
AFA	Supplementary Interim On
AF7	Interest Adjusted Due to Tender Fee Deduction
AGA	Company Taking 30 Day Grace Period
AHA	Payment of Full Avoid Fiscal Tax Refund (Equal To 42.5% of the Dividend)
AIA	Adjustment to Avoid Fiscal Payment
AJA	Revision of Charge for Withholding Tax
AL	Test
AMA	Interest Pays At Maturity; Allocated in Error On
AM7	Interest/Dividend Due on Merger
ANA	Company Never Declared Dividend Adjust Allocation On
APA	Payment Of Partial Avoid Fiscal Tax Refund (Equal to 15% Of The Dividend)
AP7	Interest/Dividend Due on Repayment Option
ARA	Allocation For A Participant Position That Was Assumed By Your Goodselfs Paid on—Retired Participant Number
AR7	Interest/Dividend Due on Redemption
ASA	Allocation Of Script Shares Amount To Be Exited \$
AT7	Interest/Dividend Due on Tender
AWA	Uninsured Interest Withheld As Per FSLIC
BBB	Your Record Date Position Was Adjusted for COD Withdrawal Activity
BB1	Your Record Date Position Was Adjusted for a COD Buy Back Withdrawal

BB2	Your Record Date Position Was Adjusted For A W/T Buy Back Withdrawal
BB	Your Record Date Position Was Adjusted For a DWAC Buy Back Withdrawal
BDB	Your COD Withdrawal Was Not Delivered, However The Certificate(s) Were Issued And Outstanding Over The Record Date In The Name Of Your Goodselfes
BEB	Your COD Withdrawal Was Not Delivered, However The Certificate(s) Were Issued and Outstanding Over The Record Date In The Name Of Your Nominee
BRH	Reversal Of a COD Withdrawal Adjustment
CDP	Custody Payment
CLU	Adjustment Made for the Pacific Depository (3097)
CMU	Adjustment Made For The Midwest Depository (6942)
CNU	Adjustment Made For the Philadelphia Depository (6070)
CPK	Accrual Claim Payment Related To A Stock Distribution Payable On
CPP	Part-Claim Payment
CRK	Reversal of An Accrual Claim Payment Related To A STK Distribution Payable On
CRP	Part-Claim Reversal
CSM	Coupon Collection Service Adjustment For Coupon Deposit
DAD	Deposit—Lost Certificate Over The Record Date Was Registered In The Name Of Your Customer
DBD	Deposit—Lost Certificate Over the Record Date Was Registered In The Name Of Your Goodselfes
DCD	Deposit After Cut Off Date - Transferred Into The Name Of The CEDE On Record Date
DDD	Your Record Date Position Was Adjusted For Deposit Activity
DED	Deposit—Lost Certificate Over The Record Date Was Registered In The Name of Your Nominee
DMT	CTF(S) Held Over Record Date On Which We Guarantee To Hold You Free And Harmless Of Any Further Claim on This Dividend
DRH	Reversal of a Deposit Adj
EEE	Your Record Date Position Was Adjusted For Deliver Order (DO) Activity Of
ETO	Shares Escheated to NY State In Error; Affidavit To Follow. This to Reverse.
FAF	As Per Agent, This Charge Is For French Avoid Fiscal Tax Credit
FAP	Funds Previously Escheated to NY State, Affidavit To Follow This Is To Reverse Escheated Amount Of Claim Paid On
FE8	Foreign Cash Dividends/Bond Interest Allocation At Exempt Rate
FF8	Foreign Cash Dividends/Bonds Interest Allocation At Favorable Rate

FG8	15% French Withholding Tax, Based On Your Option Election Of 100% ADRS At The Favorable Rate.
FG9	25% French Withholding Tax, Based On Your Option Election of 100% ADRS At The Unfavorable Rate.
FH9	10% French Withholding Tax, Based On Your Revised Instructions To Reduce Favorable Tax Status To Unfavorable
FI9	Required Lists Contained Discrepancies Or Were Not Forwarded To French Paying Agent. This Charge at W/H Rate Of
FJ9	The 25% French Withholding Rate Has Been Revised. This Adjustment Is Based On The Refunded Tax Rate Of
FLD	Announcement Deleted/Fail Tracking
FLE	Due Bill/Fail Tracking Adjustment
FLL	Fail Tracking/Late Announcement
FLN	Date Revision/Fail Tracking
FLR	Rate Revision/Fail Tracking
FLS	Non Allocation/Fail Tracking
FL0	Rate Unknown/Fail Tracking
FL1	Delete/Fail Tracking
FL2	Reinstate/Fail Tracking
FL3	Post Date Change/Fail Tracking
FRA	Refund Of French Tax Based On Acceptance Of Global Reclamation For the June 1992 Distribution Refer to Important Notice B # 1352-93
FRB	Refund Of French Tax Based On Acceptance Of Global Reclamation For The July 1992 Distribution Refer To Important Notice B # 1352-93
FU9	Foreign Cash Dividends/Bond Interest Allocation At Unfavorable Rate
GLA	Allocation Adjustment
GLM	Muni Bearer Bond Coupon Adjustment
GLP	DTCC Claim on Registered Holder - In The Name Of Your Goodselves
GLZ	DTCC Claim on Registered Holder- In The Name Of Your Customer
IGE	Your Interim Position Was Adjusted For Deliver Order (DO) Activity Of
ILL	Late Announcement Activity Due Bill Activity
JCB	DTCC COD Withdrawal Adjustment
JCE	DTCC Investment ID (Rev Adj)
JDD	DTCC Deposit Adjustment
JDE	DTCC Deliver Order (Del Adj)
JEE	DTCC Pledge Release Adjustment
JEW	Write Off Reorg
JE7	DTCC Redemption Adjustment

JIE	DTCC Investment Id Adjustment
JJE	DTCC Deliver Order (Rec Adj)
JIE	DTCC Pledge Adjustment
JR7	DTCC Reorg Adjustment
JWT	DTCC WT Adjustment
LCP	DTCC Claim Against Registered Holder In The Name of Your Customer. Late Identification of Missed Transfer By T/A
LGP	DTCC Claim Against Registered Holder In The Name of Your Goodselves. Late Identification of Missed Transfer By T/A
LNP	DTCC Claim Against Registered Holder In The Name of Your Nominee. Late Identification Of Missed Transfer By T/A
MAM	Muni Bearer Bond Coupon Adjustment
MBM	Muni Bearer Bond Coupon Adjustment For Coupon(s) Missing From a Deposit
MCM	Muni Bearer Bond Coupon Adjustment For Coupon(s) Missing From a Withdrawal
MDM	Muni Bearer Bond Coupon Adjustment Excess Coupon(s) Withdrawn On
MEM	Muni Bearer Bond Coupon Adjustment Excess Coupon(s) Deposited On
MMM	Muni Bearer Bond Coupon Adjustment-Your Interim Position Was Adjusted For Deposit Activity
NNG	Adjustment For Cash On Increased Shares Due To A Stock Distribution Payable
OP2	Optional Dividend (OPS) Allocation/Adjustment
OP3	Your Optional Dividend (OPS) Position Was Adjusted
PCP	DTCC Claim Against Registered Holder In The Name Of Your Customer
PFS	Proceeds From Sale Of
PGP	DTCC Claim Against Registered Holder In The Name of Your Goodselves
PNP	DTCC Claim Against Registered Holder In The Name Of Your Nominee
RAH	This Adjustment Is In Respond To Your Written Inquiry
RDA	Allocation Adjustment Due to A Change In The Record Date:
RIH	This Adjustment Is In Response To Your Inquiry. Refer To Control Number:
RP	Rep Payment/Charge
RPC	Repurchase Order (REPO) Cancellation
RPO	Rep Payment/Charge
RPP	Supplemental Interim Activity
RPR	Repurchase Order (REPO) Reactivation
RPX	Rate Change Adjustment for Repo Payment/Charge
RTA	This Allocation Was Adjusted For A Rate Change. Please Refer To DIVA Comment field For Additional Information

SA6	Allocation Adjustment For Dividend Reinvestment Due To Price Correction By The Agent
SBK	Adjustment For Cash Due On An Accrued Stock Payment
SCK	Accrued Cash Due On a Stock Dividend Adjustment Made On
SC6	Dividend Reinvestment Allocation
SDE	Supplemental Interim Activity
SDK	Accrued Cash Due On DRPSHare Allocation Of
SD6	Adjustment To Your Dividend Reinvestment (DRP) Position
SE6	Dividend Reinvestment (DRP) Allocation Of Cash-In-Lieu Of Fractions
SJJ	Adjustment For Cash-In-Lieu Of Fractional Shares
SL	Stock Loan Payment/Charge
SLA	Stock Loan Adjustment
SLN	Stock Loan Payment/Charge
SLP	Supplemental Interim Activity
SLS	Stock Loan Payment/Charge
SLX	Rate Change Adjustment for Stock Loan Payment/Charge
SME	Supplemental Interim Activity From Midwest (6942)
SNE	Supplemental Interim Activity From Midwest (6942)
SPE	Supplemental Interim Activity From Philadep (6070)
SPO	Stock Loan/Repo Payment Order
SP4	Proceeds Resulting From A (Buy) Transaction Affected In Our DTCC/Dividend Trading Account (#428-10288-1-3-039)
SRJ	Allocation Adjustment Due To Fractions Rounded Up By The Agent
SR4	Share Adjustment Resulting From A (Buy) Transaction Affected In Our DTCC/Dividend Trading Account (#428-10288-1-3-039)
SR5	Share Adjustment Resulting From A (Sell) Transaction Affected In Our DTCC/Dividend Trading Account (#428-10288-1-3-039)
SR6	As Per Your Authorization, we are Charging Your Account In Lieu Of Receipt Of Dividend Reinvestment Related Shares
SS5	Proceeds Resulting From a (Sell) Transaction Affected In Our DTCC/Dividend Trading Account (#428-10288-1-3-039)
SS6	DRP Allocation Adjustment Due To Your Sub Accounting Instructions To The Agent
ST6	Allocation Of Dividend Reinvestment Shares - DRP/TEDS Instruction @100%
TEA	To Adjust Allocation at 100% On Your Tax Exempt Instructions
WG1	Withdrawal By Transfer - Lost Certificate Over The Record Date Was Registered In The Name Of Your Customer

WHT	Our Record Date Position Was Adjusted For a Withdrawal By Transfer Activity
WL1	Adjustment Made For a Withdrawal By Transfer That Was Not Transferred Into Your Clients Name By The Record Date
WM1	Adjustment Made For a Withdrawal By Transfer Set Up After The Cut Off Date Made Transfer Into Your Clients Name
WN1	Your Position Was Reinstated For A Withdrawal By Transfer. However the Certificates(s) were issued and Outstanding Over The Record Date In The Name Of Your Customer(s)
WRH	Reversal Of a Withdrawal By Transfer Adj
WTA	Adjustment To Allocation To Charge _____% withholding Tax Country:_____
66P	The Interest Due On the Above CUSIP Was Erroneously Paid To You By The Issuer Although The Certificate Of Deposit Was Transferred To CEDE(DTCC) Prior To The Interest Payment Date
777	Reorganization Related Adjustment Made On
XX.X	Tax withholding percentage when Reason Code is one of the following: 'TJXD' 'TJXF' 'TJXI' 'TJXL' 'TJXO' 'TJXR' 'TJXT' 'TJXU' 'TJXV'. Following are the possible tax percentages: 00.0, 04.0, 05.0, 10.0, 12.0, 12.5, 15.0, 17.5, 20.0, 25.0, 30.0, 35.0, 39.6. (For more tax information, please contact Tony Capizzi, DTCC Tax Group).