14.10 CF2SCL:
Function User's Guide

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1.0   *FAST* Deposit SCL Confirm/Reject System

The purpose of the *FAST* **Deposit SCL Confirm/Reject** system is to provide Transfer Agents and Service Bureaus with an efficient way to confirm or reject *FAST* Deposit Shipment Control Lists (SCLs) and return that information to DTC in a more expedient manner. The confirmation or rejection of SCLs would give DTC and the Transfer Agent the ability to update their *FAST* Balances on a more timely basis.

2.0   CCF-II Summary

2.1   Overview

DTC's Computer-to-Computer Facility II (CCF-II) is a medium enabling the transmission of data back and forth between the Depository Trust Company and its Participants/Users. The User transmits data to DTC (the Transmission file), and then receives data in reply from DTC (the Acknowledgment file).

CCF-II transmissions to and from DTC utilize either:

* IBM's Remote Job Entry (RJE) software; or

* IBM's Network Data Mover (NDM) software.

If order for a CCF-II User to transmit data to DTC, he must prepare an input file of transactions in the DTC-specified format. The User then executes either RJE- or NDM-based JCL in order to communicate with DTC's computer system.

After the transmission completes, DTC will edit the input Transmission file and return an Acknowledgment file to the User, indicating the status of the transmission and any errors that were detected in the transmitted transactions.

This document discusses all aspects of transmission via DTC's Computer-to-Computer Facility Two (CCF-II).

2.2 Transmitting Transactions to DTC

When a CCF-II User wishes to transmit data to DTC, he must prepare JCL as specified in either the *CCF-II/RJE User's Guide* or the *CCF-II/NDM User's Guide*.

For a more complete understanding of specific JCL requirements the RJE and/or NDM User's Guides must be consulted.

After creating a file of input transactions in the appropriate RJE or NDM format, the User transmits the DTC-specified JCL in order to initiate a job within DTC's Computer System. The input file records are then edited and any records in error will be transmitted back to the User. Valid transactions will be processed if no "severe" errors are detected.

The User must submit the following generic procedure name and overriding parameter in the transmitted JCL to indicate the CCF-II function being processed:

Procedure name: "RJExxxxx"   or "NDMxxxxx"

Override parameter: "FUNC=yyyyyy".

where:

RJExxxxx   =   DTC's CCF-II/RJE processing procedure; "xxxxx" is the
                         suffix referring to the transmitted function.

NDMxxxxx   =   DTC's CCF-II/NDM processing procedure; "xxxxx" is the
                         suffix referring to the transmitted function.

yyyyy   =   the name of the CCF-II function being transmitted.

3.0 The CF2SCL Function

A CCF-II User may use the CF2SCL function to transmit *FAST* Deposit SCL Confirm/Reject return transactions to DTC.

When using the CF2SCL function, the CCF-II User will transmit *FAST* Deposit SCL Confirm/Reject return transactions to DTC and receive responses indicating any errors that have been detected in the transmitted transactions.

If the User considers the CF2SCL transactions transmitted via CCF-II to be critical, he should prepare procedures to be used when CCF-II is unavailable. For additional information see "Recovery Procedures" on page 52 and "Backup for CCF-II" on page 52.

3.1 CF2SCL Transmission Cutoff Schedule

The CCF-II System's CF2SCL function is available between the hours of 8:00 a.m. and 6:30 p.m. (Eastern Time). Users may use the CF2SCL function as often as proves necessary before the cutoff time.

CF2SCL **transactions** will be processed by DTC if they are received prior to the cutoff time, however, **transmissions** that begin after the (6:30 p.m.) cutoff will be rejected without further processing. If the cutoff time is reached during a transmission, the transmission will also be rejected without further processing.

3.2 CF2SCL Transmission and Acknowledgment Files

CF2SCL **Return Transmission** files consist of 70-character records. When transmission takes place via CCF-II/NDM, the actual CF2SCL records (70-characters) are transmitted to DTC.

A CF2SCL Transmission file which is transmitted via CCF-II/RJE arrives at DTC in 80-byte, card-image format. The User transmits one card-image per CF2SCL record. DTC reformats the card-image into the 70-character CF2SCL format for edit processing.

CF2SCL **Acknowledgment** files consist of 80-character records. When transmission takes place via CCF-II/RJE or CCF-II/NDM, the actual CF2SCL records (80-characters) are transmitted from DTC to the User.

3.2 CF2SCL Transmission and Acknowledgment Files *(Continued)*

All CF2SCL record format descriptions appearing in this document pertain to the 70- and 80-character CF2SCL records. For additional information on RJE card-image record formats please consult the *CCF-II/RJE User's Guide*, available from DTC.

3.3 CF2SCL Function Testing

By placing a "T" or a "P" in the processing option field (position 36) of the Transmission Header Record, the User may specify whether the transmission is for "Test" or "Production" purposes.

Production   All *FAST* Deposit SCL Confirm/Reject transactions in a "production" (live) CF2SCL transmission that comply with the CF2SCL edit criteria and are deemed fully valid will confirm the CF2SCL transaction.

Test   DTC has created the "test" option to facilitate development of CCF-II functions on the User's computer systems.

4.0   The CF2SCL Return Transmission File (Input)

The CCF-II *FAST* Deposit SCL Confirm/Reject return transmission file consists of eight record types. The first two and the last record in the return transmission file, the "CCF-II Security", "CF2SCL Header" and "CF2SCL Trailer" records, are for control purposes. The other records contain information relating to the SCL transactions.

The eight record types which may appear in the CCF-II *FAST* Deposit SCL confirm/Reject return transmission file, along with the basic rules for their processing within the CCF-II system, appear in the next section.

4.1   CF2SCL Transaction Records

1. **CCF-II Transmission Security Record:** Specifies the Signon I.D. of the transmitter utilizing DTC's CF2SCL function, his legitimate password, and the transmission's unique identifying number. The Security ("PSW") record must be the first record in the file, but is considered a CCF-II record rather than a CF2SCL transmission record. The Security ("PSW") record is for input purposes only, and therefore not returned in DTC's Acknowledgment file. This record is **NOT** to be included in record count tabulations.

2. **CF2SCL Transmission Header Record:** Identifies the transmitter of the *FAST* Deposit SCL Confirm/Reject transactions and serves to identify the transmission uniquely, as one not transmitted previously. The Header ("HDR") record is considered the first record in the CF2SCL transmission file. This record is **NOT** to be included in record count tabulations.

3. **TA Header Record:** Contains control information regarding the User's eligibility to use DTC's services. The TA Header Record is a type "00" record. This record is MANDATORY for each CF2SCL transmission sent by the User. This record **IS** to be included in record count tabulations.

4. **SCL Header Record:** Contains control information regarding the SCL. The SCL Header Record is a type "01" record. This record is MANDATORY for each CF2SCL transaction sent by the Users. This record **IS** to be included in record count tabulations.

4.1 CF2SCL Transaction Records *(Continued)*

5. **SCL Detail Record:** Contains line item information regarding the SCL. The SCL Detail record is a type "05" record. This record is required only to reject a line item, otherwise the record should NOT be included in the CF2SCL transaction stream. This record **IS** to be included in record count tabulations.

6. **SCL Trailer Record:** Contains control information regarding the total detail records and the total SCL securities in the SCL. The SCL Trailer Record is a type "88" record. This record **IS** to be included in record count tabulations.

7. **TA Trailer Record:** Contains control information regarding the total SCL transaction records and the total securities per a Transfer Agent in the CF2SCL transmission stream. The TA Trailer Record is a type "99" record. This record is MANDATORY for each CF2SCL transmission sent by the User. This record **IS** to be included in record count tabulations.

8. **CF2SCL Transmission Trailer Record:** contains control information regarding the total transaction records and other control information in the CF2SCL transmission stream. The CF2SCL Trailer Record is a type "TLR" record. This record is MANDATORY for each CF2SCL transmission sent by the User. This record must be included as the **LAST** record of the CF2SCL transmission, and it is **NOT** to be included in record count tabulations. Totals appearing in the CF2SCL Trailer Record will be verified by DTC. **If a CF2SCL Trailer Record is transmitted as anything but the last record of a transmission, the entire transmission will be canceled by DTC.**

4.2 CF2SCL Transmission Editing

There are four basic levels of CF2SCL Transmission file error editing.

A **"Security"** error will cause the entire CF2SCL Transmission file to be rejected. This happens when the Security ("PSW") record fails to properly identify the transmitter to DTC's CCF-II system. **When a "security" error is detected, the CF2SCL Acknowledgment file will contain a single record, the Error ("ERR") Record.**

4.2   CF2SCL Transmission Editing *(Continued)*

A **"Header"** error will cause the remainder of the CF2SCL Transmission file to be rejected. If the Header ("HDR") record fails to properly identify the transmission (i.e. TRANID is invalid), or contains other edit errors, the entire transmission is rejected. **When a "header" error is detected, the CF2SCL Acknowledgment file will contain only three records, the Control ("CTL") record, the Rejected Header ("HDR") record and the Audit ("ADT") record.**

Any of the following **"Severe"** errors will cause the entire CF2SCL transmission to be canceled. All records are returned unaccepted, and error flags will be set to provide the User with maximum Acknowledgment information:

- Past cutoff time or cutoff time is reached in the middle of a transmission;

- The Transmission I.D. on the CF2SCL Transmission Header is invalid;

- A record sequence error is detected (e.g. "01" record is not preceded by a "00" record, or the last record transmitted is not the CF2SCL Transmission Trailer ("TLR"), see "CF2SCL Transmission Structure" on page 10);

- The Signon or Activity type on the CF2SCL Transmission Header is invalid;

- The Signon or Activity type on the CF2SCL Transmission Trailer is invalid;

- Missing or Embedded CF2SCL Transmission Header Record;

- Missing or Embedded TA Header Record;

- Missing or Embedded SCL Header Record;

- Missing or Embedded CF2SCL Transmission Trailer Record;

- Missing or Embedded TA Trailer Record;

- Missing or Embedded SCL Trailer Record;

4.2 CF2SCL Transmission Editing *(Continued)*

- TA Trailer Record total does not match the DTC-calculated total for the CF2SCL transaction records received per a Transfer Agent. This occurs if either the TA Trailer total is incorrect or a field on any transaction record contains non-numeric data; or

- CF2SCL Transmission Trailer Record total does not match the DTC-calculated total for the entire CF2SCL transmission transaction records received.

    This occurs if either the CF2SCL Trailer total is incorrect or a field on any transaction record contains non-numeric data.

A transaction edit error or **"edit"** error will also cause the transaction to be rejected. **As long as no "security", "header/TRANID" or "severe" errors are detected, DTC will accept and process all CF2SCL transactions that are deemed valid.** A more detailed discussion of transaction "edit" errors follows.

4.3 CF2SCL Transaction Editing

An edit error in any record type will cause that transaction record to be rejected. If a "severe" error was not detected **DTC will, however, still reject the entire transmission, since PARTIAL transmissions are not accepted for the CF2SCL function. If all CF2SCL transactions are deemed valid the CF2SCL transmission will be considered accepted.**

4.3   **CF2SCL Transaction Editing** *(Continued)*

The following edit errors will cause a CF2SCL transaction record to be rejected and the returned Acknowledgment record will contain the appropriate error flags:

- Invalid Record Type (not "PSW", "HDR", "00", "01", "05", "88", "99" or "TLR");

- Invalid Input Record Sequence;

- Invalid Sending Transfer Agent Number;

- Invalid Transfer Agent Number;

- Invalid File Creation Date;

- Invalid File Creation Time;

- Invalid Sequence Number;

- Invalid CUSIP Number;

- Invalid Security Description;

- Invalid SCL I.D. Number;

- Invalid Issue Date;

- Invalid Participant Number;

- Invalid Line Number;

- Invalid Security Quantity;

- Invalid Reject Code;

- Invalid Total SCL Detail Records;

- Invalid Total SCL Total Securities;

- Invalid Total Transaction Records Per a Transfer Agent;

4.3   CF2SCL Transaction Editing *(Continued)*

- Invalid Total Securities Per a Transfer Agent;

- Invalid CF2SCL Transmission Trailer Signon I.D.;

- Invalid CF2SCL Transmission Trailer Activity Type;

- Invalid CF2SCL Transmission Trailer Transmission I.D.;

- Invalid CF2SCL Transmission Trailer Total Transaction Records.

Note each transaction rejection record will have a more detailed description of the INVALID fields. See "CF2SCL Acknowledgment Record Formats" on page 29.

4.4   CF2SCL Transaction Structure

A CF2SCL transaction contains the SCL information. It should contain ONE type "01" record, ONE or more type "05" records if required, and ONE type "88" record.

Note a type "05" record is only required to reject the entire SCL or one or more line items, otherwise it **MUST not be included in the CF2SCL transaction.**

The following is an example of a CF2SCL transaction.

```
SCL Header Record              (type "01")
    SCL DETAIL RECORD          (type "05")
             •
             •
             •
SCL Trailer Record             (type "88")
```

4.5   CF2SCL Transmission Structure

There should only be ONE type "PSW" record, ONE type "HDR" record, ONE type "00" record, ONE type "99" record and ONE type "TLR" record per CF2SCL transmission; however, in the case of a Service Bureau, where there are multiple Transfer Agents, there can be multiple type "00" and type "99" records.

4.5 CF2SCL Transmission Structure *(Continued)*

There could be multiple type "01" and type "88" records for either a Transfer Agent or Service Bureau.

SCL Detail records (type "05") are only required if the line item is rejected by the Transfer Agent or Service Bureau.

The following is an example of a CF2SCL transmission.

```
(1)           TRANSFER AGENT
              ================

CF2 PASSWORD RECORD                  (type "PSW)
CF2SCL Header Record                 (type "HDR)
   TA Header Record                  (type "00")
      SCL Header Record              (type "01")
         SCL DETAIL RECORD           (type "05")
                   •
                   •
                   •
      SCL Trailer Record             (type "88")
   TA Trailer Record                 (type "99")
CF2SCL Trailer Record                (type "TLR")


              or

           TRANSFER AGENT
           ================

CF2 PASSWORD RECORD                  (type "PSW)
CF2SCL Header Record                 (type "HDR)
   TA Header Record                  (type "00")
      SCL Header Record              (type "01")
         SCL DETAIL RECORD           (type "05")
                   •
                   •
                   •
      SCL Trailer Record             (type "88")

      SCL Header Record              (type "01")
         SCL DETAIL RECORD           (type "05")
                   •
                   •
                   •
      SCL Trailer Record             (type "88")
   TA Trailer Record                 (type "99")
CF2SCL Trailer Record                (type "TLR")
```

4.5 CF2SCL Transmission Structure *(Continued)*

```
(2)    SERVICE BUREAU
       ================

CF2 PASSWORD RECORD                    (type "PSW)
CF2SCL Header Record                   (type "HDR)
   TA Header Record                    (type "00")
      SCL Header Record                (type "01")
        SCL DETAIL RECORD              (type "05")
               •
               •
               •
        SCL Trailer Record             (type "88")

      SCL Header Record                (type "01")
        SCL DETAIL RECORD              (type "05")
               •
               •
               •
      SCL Trailer Record               (type "88")
   TA Trailer Record                   (type "99")

   TA Header Record                    (type "00")
      SCL Header Record                (type "01")
        SCL DETAIL RECORD              (type "05")
               •
               •
               •
      SCL Trailer Record               (type "88")

      SCL Header Record                (type "01")
               •
               •
               •
        SCL Trailer Record             (type "88")
   TA Trailer Record                   (type "99")
CF2SCL Trailer Record                  (type "TLR")
```

5.0   CF2SCL Transmission Record Formats

Note: Please ensure that the following standard CCF-II editing criteria are adhered to for all CF2SCL Transaction Records:

Numeric fields (NUM) -- MUST be right-aligned, with leading zeroes. MUST contain numeric data only. If unused, MUST be initialized to zeroes.

Character fields (CHAR) -- should be left-aligned, with trailing spaces. If unused, MUST be initialized to spaces.

Failure to comply with the above criteria will cause a CF2SCL record to be rejected.

Please ensure that all CF2SCL fields which are not used, whether "Filler", "Optional", "Reserved" or "Not Allowed", are initialized as described above. Any such field which contains low-values is considered an edit error, and will result in rejection of the CF2SCL record.

5.1   CCF-II Transmission Security Record ("PSW")

The CCF-II Security record transmitted to DTC introduces and identifies the transmitter to the CCF-II system. This is done via the Signon I.D. and Password, which must always be valid and up-to-date.

Where security is a consideration at the User's site, the record may be concatenated in front of the data file from another source.

The Security record is for input purposes only, and therefore not returned in DTC's Acknowledgment file. See "CF2SCL Transmission Structure" on page 10.

5.1 CCF-II Transmission Security Record ("PSW") *(Continued)*

The CCF-II Transmission Security Record requires a single 70-character record, described in the following table:

CCF-II Transmission Security Record ("PSW") Format

Position	Length	Format	Field Name	Field Description
1	3	Character	Record Type	Constant value "PSW".
4	6	Character	Signon I.D.	Signon I.D. identifies the transmitting User, always left-aligned with trailing spaces. For example "Mnnn ", Nnnn " or "nnn " number.
10	6	Character	Password Field	Passwords are obtainable through DTC's Participant Interface Planning Group.
16	6	Character	Activity Type	Specified the nature of the transmission. In this case, Activity Type must be "CF2SCL".
22	3	Numeric	Transmission I.D.	Identifies this transmission as unique for the submitter. Must agree with TRANID on the "HDR" record to follow.
25	46	Character	Filler	DTC use only; do not use.

5.2 CF2SCL Transmission Header Record ("HDR")

The CF2SCL Header ("HDR") Record is considered the first record in the *FAST* Deposit SCL Confirm/Reject transmission file. See "CF2SCL Transmission Structure" on page 10.

This record would NOT be included in the CF2SCL Transmission Trailer or TA Trailer Record count tabulation.

The CF2SCL Transmission Header Record requires a single 70-character record, described in the following table:

CF2SCL Transmission Header Record ("HDR") Format (Part 1 of 2)

Position	Length	Format	Field Name	Field Description
1	3	Character	Record Type	Constant value "HDR".
4	8	Character	Signon I.D.	Signon I.D. identifies the transmitting User. The first four bytes must be spaces and the last four must be a "Mnnn", "Nnnn" or "nnnn" number.
12	2	Character	Individual User (Signon)	This field may be used in the future to identify a User's source department. At present, it must contain either spaces or zeroes.
14	6	Character	Filler	DTC use only; do not use.
20	6	Numeric	Transmission Date	This field must contain the date the transmission is sent to DTC. The format is MMDDYY.
26	6	Character	Activity Type	Must contain "CF2SCL", identifying a *FAST* Deposit SCL Confirm/Reject transmission.
32	3	Numeric	Transmission I.D. Number	Must be a non-zero number uniquely identifying each transmission initiated by the same Signon I.D.
35	1	Character	Filler	DTC use only; do not use.

14.10.04.08   **CF2SCL Transmission Header Record ("HDR")** *(Continued)*

CF2SCL Transmission Header Record ("HDR") Format (Part 2 of 2)

Position	Length	Format	Field Name	Field Description
36	1	Character	Processing Option	Indicates whether transmission is for live (Production) or Testing purposes. "T" = Test transmission "P" = Production transmission
37	5	Character	Filler	DTC use only; do not use.
42	**10**	**Numeric**	**Header Record's Error Flags**	**A series of ten, 1-byte fields which must contain zeroes. These Error Flags may be used in the (output) Acknowledgment file to indicate error type and severity (see "The CF2SCL Acknowledgment Rejected Header Record ("HDR")" on page 36).**
52	19	Character	Filler	DTC use only; do not use.

5.3   TA Header Transaction Record ("00")

This record contains control information regarding the User's identification and eligibility to use DTC's services. This record is MANDATORY for each CF2SCL transmission sent by the User, and it would denote a new Transfer Agent. In the case of a Service Bureau where there are multiple Transfer Agents, there should be one TA Header Record for each of the Transfer Agents it services. See "CF2SCL Transmission Structure" on page 10.

The TA Header Record would be included in the TA Trailer and CF2SCL Transmission Trailer Record count tabulations.

The TA Header Record requires a single 70-character record, described in the following table:

TA Header Record ("00") Format (Part 1 of 2)

Position	Length	Format	Field Name	Field Description
1	2	Character	Record Type	Constant value "00".
3	8	Numeric	Sending Transfer Agent Number	The Transfer Agent number "nnnnnnnn" (right-aligned) with leading zeroes. **NOTE** in the case where the Sending Transfer Agent is not a Service Bureau, the sending Transfer Agent number and the Transfer Agent number (starting in position 11) must be the same.
11	8	Numeric	Transfer Agent Number	The number of the Transfer Agent associated with a Service Bureau transmitting *FAST* Deposit SCL's (right-aligned with leading zeroes).
19	6	Numeric	Date	The date the input transaction file was created by the User. The format is MMDDYY.
25	4	Numeric	Time	The time the input transaction file was created by the User. The format is HHMM.

5.3 TA Header Transaction Record ("00") *(Continued)*

TA Header Record ("00") Format (Part 2 of 2)

Position	Length	Format	Field Name	Field Description
29	1	Character	Format Indicator	Odd Lot Debt Conversion Indicator: This field is used to indicate the Security Quantity for bonds. " " Security Quantity 1 = 1 for stocks. "D" Security Quantity 1 = 1 for bonds.
30	36	Character	Filler	DTC use only; do not use.
66	5	Numeric	Sequence Number	Must contain a value in ascending order, indicating the number of this record on the CF2SCL transmission file.

5.4 SCL Header Transaction Record ("01")

This record contains control information regarding the SCL. This record is MANDATORY for each CF2SCL transaction sent by the User, and it would denote a new SCL. There should be one SCL Header Record for each SCL being transmitted. See "CF2SCL Transaction Structure" on page 10, and "CF2SCL Transmission Structure" on page 10.

The SCL Header Record MUST be included in the TA Trailer and CF2SCL Transmission Trailer Record count tabulations. The SCL Header Record requires a single 70-character record, described in the following table:

SCL Header Record ("01") Format

Position	Length	Format	Field Name	Field Description
1	2	Character	Record Type	Constant value "01".
3	12	Character	CUSIP Number	The security number used to identify the SCL issued. CUSIP number consists of 3 parts: positions 1-2 = zeroes; positions 3-11 = CUSIP position 12 = zero.
15	20	Character	Security Description	The abbreviated name of the security contained in the SCL.
35	15	Numeric	SCL I.D.	The SCL I.D. number. This is established by DTC's Security Transfer System during the creation of each SCL.
50	6	Numeric	Issue Date	The date the security was issued by the Transfer Agent. The format is MMDDYY.
56	10	Character	Filler	DTC use only; do not use.
66	5	Numeric	Sequence Number	Must contain a value in ascending order, indicating the number of this record on the CF2SCL transmission file.

5.5 SCL Detail Transaction Record ("05")

5.5   SCL Detail Transaction Record ("05") *(Continued)*

This record contains line item information regarding the SCL. This record is required only to reject individual line items, otherwise it is NOT required in a CF2SCL transaction.

When present there should be one SCL Detail record for each line item being rejected (see "CF2SCL Transaction Structure" on page 10, and "CF2SCL Transmission Structure" on page 10), and it must be included in the TA Trailer and CF2SCL Transmission Trailer Record count tabulations.

The SCL Detail record requires a single 70-character record, described in the following table:

SCL Detail Record ("05") Format (Part 2 of 2)

Position	Length	Format	Field	Field Description
1	2	Character	Record Type	Constant value "05".
3	12	Character	CUSIP Number	The security number used to identify the SCL issued. CUSIP number consists of 3 parts: positions 1-2 = zeroes; positions 3-11 = CUSIP; position 12 =zero. This CUSIP number MUST be the same CUSIP number used in the SCL Header Record.
15	15	Numeric	SCL I.D.	The SCL I.D. number. This is established by DTC's Security Transfer System during the creation of each SCL. This SCL I.D. MUST be the same SCL I.D. number used in the SCL Header Record.
30	8	Numeric	Participant Number	The number of the DTC Participant associated with the line item number (i.e. the DTC Participant who originated and presented the physical deposit item to DTC). Right-aligned with leading zeroes.

14.10.04.11   SCL Detail Transaction Record ("05") *(Continued)*

SCL Detail Record ("05") Format (Part 3 of 2)

Position	Length	Format	Field	Field Description
38	2	Numeric	Line Item Number	The number representing the deposit item as listed on the SCL. NOTE the line number cannot exceed "45" for each SCL.
40	7	Numeric	Security Quantity	The quantity of securities in the respective line item (right-aligned with leading zeroes).
47	3	Numeric	Reject Code	Must contain the reject code which identifies the reason for rejecting a line item. The code must be a valid reject code and it is inserted by the Transfer Agent. See "Appendix B. Valid Reject Codes" on page 56.
50	9	Numeric	Expanded Security Quantity	The quantity of securities in the respective line item (right-aligned with leading zeroes).
59	5	Numeric	Fractional Share Quantity	Format V99999.
64	2	Character	Filler	DTC use only; do not use.
66	5	Numeric	Sequence Number	Must contain a value in ascending order, indicating the number of this record on the CF2SCL transmission file.

5.6 SCL Trailer Transaction Record ("88")

This record contains control information regarding the Total Detail Records and the total SCL securities in a CF2SCL transaction. This record is MANDATORY for a CF2SCL transaction sent by a User, and it would denote the end of one SCL. There should be one SCL Trailer Record for each SCL being transmitted. See "CF2SCL Transaction Structure" on page 10, and "CF2SCL Transmission Structure" on page 10.

The SCL Trailer Record MUST be included in the TA Trailer and CF2SCL Transmission Trailer Record count tabulations. The SCL Trailer Record requires a single 70-character record, described in the following table:

SCL Trailer Record ("88") Format (Part 1 of 2)

Position	Length	Format	Field Name	Field Description
1	2	Character	Record Type	Constant value of "88".
3	12	Character	CUSIP Number	The security number used to identify the SCL issued. CUSIP number consists of 3 parts: positions 1-2 = zeroes; positions 3-11 = CUSIP; position 12 = zero. This CUSIP number MUST be the same CUSIP number used in the SCL Header Record and the SCL Detail record respectively.
15	7	Numeric	Total Detail Records	Contains the total number of detail records being confirmed or rejected in the CF2SCL transaction (right-aligned with leading zeroes).
22	9	Numeric	Total Fractional Shares	Contains the total number of Fract shares being confirmed or rejected for the SCL (right-aligned with leading zeroes). Represented as PIC 9999V99999.
31	6	Character	Filler	DTC use only; do not use.

5.6   SCL Trailer Transaction Record ("88") *(Continued)*

SCL Trailer Record ("88") Format (Part 2 of 2)

Position	Length	Format	Field Name	Field Description
37	15	Numeric	SCL I.D.	The SCL I.D. number. This is established by DTC's Security Transfer System during the creation of each SCL. This SCL I.D. MUST be the same SCL I.D. used in the SCL Header Record and SCL Detail record respectively.
52	14	Numeric	Total Expanded Securities	Contains the total number of expanded securities being confirmed or rejected for the SCL (right-aligned with leading zeroes).
66	5	Numeric	Sequence Number	Must contain a value in ascending order, indicating the number of this record on the CF2SCL transmission file.

5.7   SCL Trailer Transaction Record ("99")

This record contains control information regarding the total records and total SCL securities per a Transfer Agent in a CF2SCL transmission stream. This record is MANDATORY for a CF2SCL transmission sent by a User, and it would denote the end of a CF2SCL transmission for the Transfer Agent. In the case of a Service Bureau where there are multiple Transfer Agents, there should be one TA Trailer Record for each of the Transfer Agents it services. The TA Trailer Record MUST be preceded by the type "88" record. See "CF2SCL Transmission Structure" on page 10.

The record count tabulation would include all transaction records, including the TA Trailer Record. The TA Trailer Record requires a single 70-character record, described in the following table:

TA Trailer Record ("99") Format (Part 1 of 2)

Position	Length	Format	Field Name	Field Description
1	2	Character	Record Type	Constant value "99".
3	7	Numeric	Total Records	Contains the total number of transaction records in the CF2SCL transmission, including the TA Trailer Record being sent for the Transfer Agent (right-aligned with leading zeroes).
10	15	Numeric	Total Securities	Contains the total number of securities in the CF2SCL transmission (right-aligned with leading zeroes).
25	15	Numeric	Total Expanded Securities	Contains the total number of expanded securities in the SCLC transmission (right-aligned with leading zeroes).
40	9	Numeric	Total Fractional Share Quantity	Contains the total number of fractional shares in the CF2SCL transmission (right aligned with leading zeroes). Represented as 9999V99999.

5.7   SCL Trailer Transaction Record ("99") *(Continued)*

TA Trailer Record ("99") Format (Part 2 of 2)

Position	Length	Format	Field Name	Field Description
49	17	Character	Filler	DTC use only; do not use.
66	5	Numeric	Sequence Number	Must contain a value in ascending order, indicating the number of this record on the CF2SCL transmission file.

5.8   CF2SCL Transmission Trailer Record ("TLR")

This record contains control information regarding the entire CF2SCL transmission. This record is MANDATORY for a CF2SCL transmission sent by a User, and it would denote the end of a CF2SCL transmission. There should be ONE CF2SCL Transmission Trailer Record for the entire transmission.

This record MUST be the LAST record in an input CF2SCL transmission stream, and MUST be preceded by the type "99" record. See "CF2SCL Transmission Structure" on page 10.

The record count tabulation would include all transaction records in the entire transmission, excluding the CF2SCL Transmission Trailer Record.

The CF2SCL Transmission Trailer Record requires a single 70-character record, described in the following table:

CF2SCL Transmission Trailer Record ("TLR") Format (Part 1 of 2)

Position	Length	Format	Field Name	Field Description
1	3	Character	Record Type	Constant value "TLR".
4	8	Character	Signon I.D.	Signon I.D. identifies the transmitter of the CF2SCL file. It must match exactly the Signon I.D. specified in the file's Header ("HDR") record.
12	6	Character	Activity Type	Must match the "HDR" record's Activity Type "CF2SCL".
18	3	Numeric	Transmission I.D. Number	Must match the "HDR" record's Transmission I.D. Number.
21	6	Numeric	Total Transaction Records	The total number of all transaction records in the CF2SCL transmission. This total EXCLUDES the "PSW", "HDR" and "TLR" records and must equal the DTC-calculated total record count (right-aligned with leading zeroes).

5.8   CF2SCL Transmission Trailer Record ("TLR") *(Continued)*

CF2SCL Transmission Trailer Record ("TLR") Format (Part 2 of 2)

Position	Length	Format	Field Name	Field Description
27	5	Character	Filler	DTC use only; do not use.
32	**10**	**Numeric**	**Trailer Record's Error Flags**	**A series of ten, 1-byte fields which must contain zeroes. These Error Flags may be used in the (output) Acknowledgment file to indicate error type and severity (see "The CF2SCL Acknowledgment Rejected Trailer Record ("TLR") on page 47.**
42	29	Character	Filler	DTC use only; do not use.

6.0   The CF2SCL Acknowledgment File (Output)

The CCF-II *FAST* Deposit SCL Confirm/Reject Acknowledgment file consists of ten different types of records. The "Error", "Control" and "Audit" records are for control purposes. The remaining acknowledgment records are Rejected records, sent back with error flags to indicate the type and severity of edit error that is detected. Rejected "HDR" and "TLR" records have embedded error flags, which are transmitted as part of the input record. Rejected "00", "01", "05", "88" and "99" records have appended error flags, which results in the expanded 80-character Acknowledgment record size.

The CF2SCL Acknowledgment file is composed of:

• An Error ("ERR") record (if a "security" violation occurs);

     ----   OR   ----

• An Control ("CTL") record;   AND

• Zero or more Rejected "HDR", "00", "01", "05", "88", "99" and "TLR" records; AND

• An Audit ("ADT") record describing the data accepted.

If the CF2SCL Transmission is accepted as fully valid, the CF2SCL Acknowledgment File is returned to the User, containing summary information in the Control ("CTL") and Audit ("ADT") records.

6.1   CF2SCL Acknowledgment Records

The ten record types which may appear in the CCF-II *FAST* Deposit SCL Confirm/Reject Acknowledgment file, along with basic rules for their appearance, are provided below.

1.   CCF-II Acknowledgment Error record: Whenever the CF2SCL Security "PSW" record's signon and/or password fail DTC's security check, the Acknowledgment file contains only an "Error" ("ERR") record.

6.1 CF2SCL Acknowledgment Records *(Continued)*

2. CF2SCL Acknowledgment Control Record: If no security violations are detected, a Control ("CTL") Record is the first record of the Acknowledgment File.

3. CF2SCL Acknowledgment Rejected Header Record: If a "header" or "severe" edit error is detected, the Rejected Header ("HDR") follows the "CTL" record in the Acknowledgment file. A "Header" edit violation results in the "HDR" being the only Rejected record type on the Acknowledgment file (i.e. no further editing is done by DTC). A "severe" edit error implies that the input "HDR" was accepted, but that the entire transmission has been rejected, and more Rejected records will follow.

4. Rejected TA Header Transaction Records ("00"): Any CF2SCL transaction that contains "edit" errors is rejected, and returned as an Acknowledgment Rejected "00" record with error flags appended. The CF2SCL transaction may also be rejected and returned if the CF2SCL transmission contains "severe" edit errors.

5. Rejected SCL Header Transaction Records ("01"): Any CF2SCL transaction that contains "edit" errors is rejected, and Rejected "01" records with error flags appended will be returned. The CF2SCL transaction may also be rejected and returned if the CF2SCL transmission contains "severe" edit errors.

6. Rejected SCL Detail Transaction records ("05"): Any CF2SCL transaction that contains "edit" errors is rejected, and Rejected "05" records with error flags appended will be returned. The CF2SCL transaction may also be rejected and returned if the CF2SCL transmission contains "severe" edit errors.

7. Rejected SCL Trailer Transaction Records ("88"): Any CF2SCL transaction that contains "edit" errors is rejected, and Rejected "88" records with error flags appended will be returned. The CF2SCL transaction may also be rejected and returned if the CF2SCL transmissions contains "severe" edit errors.

6.1   CF2SCL Acknowledgment Records *(Continued)*

8.   Rejected TA Trailer Transaction Records ("99"): Any CF2SCL transaction that contains "edit" errors is rejected, and Rejected "99" records with error flags appended will be returned. The CF2SCL transaction may also be rejected and returned if the CF2SCL transmission contains "severe" edit errors.

9.   CF2SCL Acknowledgment Rejected Trailer Record: If a "severe" edit error is detected, the Rejected Trailer ("TLR") will be the penultimate record in the Acknowledgment file. The Rejected "TLR" record provides details of any errors detected in the input Trailer Record.

10. CF2SCL Acknowledgment Audit record: Appears as the last record of the Acknowledgment file, if no "security" edit errors are detected. The "ADT" record provides summary totals for all accepted CF2SCL Transaction records.

6.2   Acknowledgment Error Flags

Error flags are either embedded within or appended to Rejected Acknowledgment records. Each of these flags is set to represent the severity and/or type of error that may have been detected in a specific field of any of the CF2SCL Transaction records.

General rules for Acknowledgment Error Flag codes are:

*   0   -   valid data was detected;

*   1   -   invalid data was detected; and

*   2-9   -   logical edit error was detected.

6.2   The CCF-II Acknowledgment Error Record ("ERR")

A CF2SCL Error ("ERR") record is created by the CCF-II system whenever a security violation occurs. **If the Security ("PSW") input record contains erroneous information, the Error "ERR" record is returned as the ONLY Acknowledgment record.**

The format of the 80-character Error ("ERR") record follows:

CCF-II Acknowledgment Error Record ("ERR") Format (Part 1 of 2)

Position	Length	Format	Field Name	Field Description
1	3	Character	Record Type	Contains the value "ERR", to identify the ONLY record returned in the CF2SCL Acknowledgment file when a security violation is detected.
4	8	Character	Signon I.D.	Signon I.D. contains the value received in the CF2SCL Transmission Security ("PSW") record, regardless of the validity of the data.
12	8	Character	Filler	DTC use only; do not use.
20	6	Character	Transmission Date	The date the CF2SCL file was received and edited. MMDDYY
26	6	Character	Activity Type	The Activity Type submitted in the "PSW" record.
32	3	Numeric	Transmission I.D. Number	The Transmission I.D. Number specified in the "PSW" record.
35	2	Character	Filler	DTC use only; do not use.

6.2 The CCF-II Acknowledgment Error Record ("ERR") *(Continued)*

CCF-II Acknowledgment Error Record ("ERR") Format (Part 2 of 2)

Position	Length	Format	Field Name	Field Description
37	3	Character	Error Status	Indicates the nature of the security violation detected by DTC's CCF-II system. "150" Card image SEQUENCE ERROR detected. Refer to CCF-II/RJE or CCF-II/BDT or CCF-II/NDM system User Guide, or contact DTC. "222" INVALID PASSWORD detected. Use corrected password or obtain correct password by contacting DTC. "300" INVALID ACTIVITY TYPE detected. Use correct type - "CF2SCL". "333" INELIGIBLE SIGNON detected. Signon I.D. submitted is ineligible for CF2SCL function. Contact DTC.
40	5	Character	Filler	DTC use only; do not use.
45	6	Numeric	Arrival Time	The time this CF2SCL transmission arrived at DTC. The format is HHMMSS.
51	6	Numeric	Edit Completion Time	The time DTC's editing for this CF2SCL transmission completed. The format is HHMMSS.
57	24	Character	Error Description	A description of the security violation.

6.3   The CF2SCL Acknowledgment Control Record ("CTL")

Whenever the Security record is fully validated (i.e. no security violations are detected), the Control ("CTL") record will be the first record of the CF2SCL Acknowledgment file. The 80-character Control record, summarizing DTC's processing of the CF2SCL transmission file, is described below:

CF2SCL Acknowledgment Control Record ("CTL") Format (Part 1 of 2)

Position	Length	Format	Field Name	Field Description
1	3	Character	Record Type	Contains the value "CTL", to identify the first record of the CF2SCL Acknowledgment file (when no security violations are detected).
4	8	Character	Signon I.D.	Signon I.D. from "HDR" record, regardless of its validity.
12	2	Character	Individual User (Signon)	Individual User from "HDR" record, regardless of its validity.
14	6	Character	Filler	DTC use only; do not use.
20	6	Numeric	Process Date	The date the CF2SCL Input Transmission file was processed by DTC. MMDDYY
26	6	Character	Activity Type	Activity Type from "HDR" record, regardless of its validity.
32	3	Numeric	Transmission I.D. Number	TRANID Number from "HDR" record, regardless of its validity.
35	1	Character	Processing Option	Processing Option from "HDR" record, regardless of its validity.
36	3	Character	Transmission Processing Status Code	Indicates the status of the CF2SCL Transmission, as processed by DTC's CCF-II system. See "Appendix A. Transmission Processing Status Codes" on page 54.

6.3 The CF2SCL Acknowledgment Control Record ("CTL") *(Continued)*

CF2SCL Acknowledgment Control Record ("CTL") Format (Part 2 of 2)

Position	Length	Format	Field Name	Field Description
39	7	Numeric	Returned Error Count	The total number of erroneous records returned to the transmitter.
46	6	Numeric	Arrival Time	The time this CF2SCL transmission arrived at DTC. HHMMSS.
52	6	Numeric	Edit Completion Time	The time DTC's editing for this CF2SCL transmission completed. HHMMSS
58	23	Character	Filler	DTC use only; do not use.

6.4   The CF2SCL Acknowledgment Rejected Header Record ("HDR")

Whenever a "Header" edit error is detected the remainder of the CF2SCL Transmission file is rejected. In this case, the CF2SCL Acknowledgment file will contain only two records -- the "CTL" and Rejected "HDR" records. A "Header" edit error is distinguished by a non-zero value in one (or more) of the Rejected "HDR" record's error flags.

"Severe" edit errors also cause the Rejected "HDR" record to appear in the Acknowledgment file, but in these situations each of the Rejected "HDR" record's error flags will contain zeroes. A Rejected "HDR" record with no error flags set on (i.e. not set to a non-zero value) implies that a "severe" edit error was detected, and that each subsequent record of the CF2SCL Transmission (input) file will, in turn, appear as a rejected record in the CF2SCL Acknowledgment file.

The format of the 80-character Rejected Header Record follows:

CF2SCL Acknowledgment Rejected Header Record ("HDR") Format (Part 1 of 3)

Position	Length	Format	Field	Field Description
1	3	Character	Record Type	Should contain the value "HDR", if the CF2SCL Transmission file arrived in proper sequence. The information contained in positions 1-3 of the first CF2SCL transmission record will appear here.
4	38	Character	Input Header Record Positions 4-41	Contains the information received in positions 4-41 of the CF2SCL Transmission file's "HDR" record (or the first record received).
42	**10**	**Numeric**	**Header Record's Error Flags**	**A series of ten, 1-byte fields to provide indication of the type and severity of error that may have occurred.**
42	1	Numeric	Flag #1: Record Type	"0" = First record type was "HDR". "1" = First record type was not "HDR".

6.4 The CF2SCL Acknowledgment Rejected Header Record ("HDR") *(Continued)*

CF2SCL Acknowledgment Rejected Header Record ("HDR") Format (Part 2 of 3)

Position	Length	Format	Field			Field Description
43	1	Numeric	Flag #2: Signon I.D.	"0"	=	Signon I.D. is valid.
				"1"	=	Signon I.D. does not match JCL Signon I.D.
44	1	Numeric	Flag #3: Individual User	"0"	=	Individual User is valid.
				"1"	=	Individual User not spaces or zeroes.
45	1	Numeric	Flag #4: Transmission Date	"0"	=	Transmission date is valid.
				"1"	=	Transmission date format is invalid.
46	1	Numeric	Flag #5: Activity Type	"0"	=	Activity Type is "CF2SCL".
				"1"	=	Activity type not "CF2SCL".
47	1	Numeric	Flag #6: Transmission I.D. Number	"0"	=	TRANID is valid.
				"1"	=	TRANID is non-numeric or zero.
				"2"	=	TRANID is in the range of <1 and >999.
				"3"	=	TRANID is not unique.
				"4"	=	TRANID must equal JCL TRANID
48	1	Numeric	Flags #7 Processing Option	"0"	=	Processing Option is valid
				"1"	=	Processing Option not "T" or "P"
49	3	Numeric	Flags #8-10	Flags #8-10 are unused and will be set to zero.		
52	19	Character	Filler	Contains the information received in positions 52-70 of the CF2SCL Transmission file's "HDR" record (or the first record received).		
71	10	Character	Filler	DTC use only; do not use.		

6.5   Rejected TA Header Transaction Record ("00")

Whenever an edit error is detected in a TA Header Transaction ("00") record, it is returned in the Acknowledgment file, with one or more of its 10 appended error flags set to indicate the type of error encountered.

The format of the 80-character Rejected "00" record follows:

Position	Length	Format	Field	Field Description
Rejected TA Header Transaction Record ("00") (Part 1 of 2)				
1	70	Character	Rejected Input "00" Record	Contains the rejected input "00" record.
71	**10**	**Numeric**	**"00" Record's Error Flags**	**A series of ten, 1-byte fields to provide indication of the type and severity of error that may have occurred.**
71	1	Numeric	Flag #1: Record Status	"0" = Record is valid. "1" = Record out of sequence.
72	1	Numeric	Flag #2: Sending Transfer Agent Number	"0" = Sending Transfer Agent Number is valid. "1" = Sending Transfer Agent is invalid (does not match JCL Signon I.D. only in cases where the Sending Transfer Agent is not a service bureau). "2" = Transfer Agent is non-numeric or zero.

6.5   Rejected TA Header Transaction Record ("00") *(Continued)*

Rejected TA Header Transaction Record ("00") (Part 2 of 2)

Position	Length	Format	Field			Field Description
73	1	Numeric	Flag #3: Transfer Agent Number	"0"	=	Transfer Agent Number is valid.
				"1"	=	Transfer Agent Number is invalid (does not match sending Transfer Agent is not a Service bureau).
				"2"	=	Transfer Agent is non-numeric or zero.
74	1	Numeric	Flag #4: Date	"0"	=	Date is valid.
				"1"	=	Date is non-numeric or zero.
75	1	Numeric	Flag #5: Time	"0"	=	Time is valid.
				"1"	=	Time is non-numeric or zero.
76	1	Numeric	Flag #6: Sequence Number	"0"	=	Sequence number is valid.
				"1"	=	Sequence number is invalid.
				"2"	=	Sequence number is non-numeric or zero.
77	4	Numeric	Flags #7-10			Flags #7-10 are unused and will be set to zero.

6.6 Rejected SCL Header Transaction Record ("01")

Whenever an edit error is detected in an SCL Header Transaction record ("01") it is returned in the Acknowledgment file, with one or more of its 10 appended error flags set to indicate the type of error encountered.

The format of the 80-character Rejected "01" record follows:

Rejected SCL Header Transaction Record ("01") Format (Part 1 of 2)

Position	Length	Format	Field	Field Description
1	70	Character	Rejected Input "01" Record	Contains the rejected input "01" record.
71	**10**	**Numeric**	**"01" Record's Error Flags**	**A series of ten, 1-byte fields to provide indication of the type and severity of error that may have occurred.**
71	1	Numeric	Flag #1: Record Status	"0" = Record is valid. "1" = Record out of sequence.
72	1	Numeric	Flag #2: CUSIP Number	"0" = CUSIP Number is valid. "1" = CUSIP Number position 1-2 or position 12 is not zeroes. "2" = CUSIP Number position 3-11 is not greater than spaces or is zeroes. "3" = CUSIP Number invalid when it's a bond and the format indicator does not equal "D".
73	1	Numeric	Flag #3: Security Description	"0" = Security Description is valid. "1" = Security Number is spaces.

6.6 Rejected SCL Header Transaction Record ("01") *(Continued)*

Rejected SCL Header Transaction Record ("01") Format (Part 2 of 2)

Position	Length	Format	Field			Field Description
74	1	Numeric	Flag #4 SCL I.D.	"0"	=	SCL I.D. is valid.
				"1"	=	SCL I.D. is non-numeric or zero.
75	1	Numeric	Flag #5: Issue Date	"0"	=	Issue Date is valid.
				"1"	=	Issue Date is non-numeric or zero.
76	1	Numeric	Flag #6: Sequence Number	"0"	=	Sequence Number is valid.
				"1"	=	Sequence Number is invalid.
				"2"	=	Sequence Number is non-numeric or zero.
78	4	Numeric	Flags #7-10			Flags #7-10 are unused. Set to zero.

6.7   Rejected SCL Detail Transaction Record ("05")

Whenever an edit error is detected in a SCL Detail Transaction record ("05") it is returned in the Acknowledgment file, with one or more of its 10 appended error flags set to indicate the type of error encountered.

The format of the 80-character Rejected "05" record follows:

Rejected SCL Detail Transaction Record ("05") Format (Part 1 of 2)

Position	Length	Format	Field	Field Description
1	70	Character	Rejected Input "05" Record	Contains the rejected input "05" record.
71	**10**	**Numeric**	**"05" Record's Error Flags**	**A series of ten, 1-byte fields to provide indication of the type and severity of error that may have occurred.**
71	1	Numeric	Flag #1: Record Status	"0" = Record is valid. "1" = Record out of sequence.
72	1	Numeric	Flag #2: CUSIP Number	"0" = CUSIP Number is valid. "1" = CUSIP Number position 1-2 or position 12 is not zeroes. "2" = CUSIP Number position 3-11 is not greater than spaces or is zeroes.
73	1	Numeric	Flag #3: SCL I.D.	"0" = SCL I.D. is valid. "1" = SCL I.D. is non-numeric or zero.
74	1	Numeric	Flag #4: Participant Number	"0" = Participant Number is valid. "1" = Participant Number is non-numeric or zero.

6.7 Rejected SCL Detail Transaction Record ("05") *(Continued)*

Rejected SCL Detail Transaction Record ("05") Format (Part 2 of 2)

Position	Length	Format	Field			Field Description
75	1	Numeric	Flags #5: Line Number	"0"	=	Line Number is valid.
				"1"	=	Line Number is non-numeric or zero.
				"2"	=	Line Number is > 45.
76	1	Numeric	Flag #6: Security Quantity	"0"	=	Security Quantity is valid.
				"1"	=	Security Quantity is non-numeric or zero.
77	1	Numeric	Flag #7: Reject Code	"0"	=	Reject Code is valid.
				"1"	=	Reject Code is invalid.
				"2"	=	Reject Code is non-numeric or zero.
78	1	Numeric	Flag #8: Sequence Number	"0"	=	Sequence Number is valid.
				"1"	=	Sequence Number is invalid.
				"2"	=	Sequence Number is non-numeric or zero.
79	1	Numeric	Flag #9: Fractional Share	"0"	=	Fractional Share is valid.
				"1"	=	Fractional Share is non-numeric.
80	1	Numeric	Flag #10: Fractional CUSIP	"0"	=	Fractional Share CUSIP is valid.
				"1"	=	Fractional Share CUSIP is ineligible.

6.8   Rejected SCL Trailer Transaction Record ("88")

Whenever an edit error is detected in an SCL Trailer Transaction record ("88") it is returned in the Acknowledgment file, with one or more of its 10 appended error flags set to indicate the type of error encountered.

The format of the 80-character Rejected "88" record follows:

Rejected SCL Trailer Transaction Record ("88") Format (Part 1 of 2)

Position	Length	Format	Field	Field Description		
1	70	Character	Rejected Input "88" Record	Contains the rejected input "88" record.		
71	**10**	**Numeric**	**"88" Record's Error Flags**	**A series of ten, 1-byte fields to provide indication of the type and severity of error that may have occurred.**		
71	1	Numeric	Flag #1: Record Status	"0"	=	Record is valid.
				"1"	=	Record out of sequence.
72	1	Numeric	Flag #2: CUSIP Number	"0"	=	CUSIP Number is valid.
				"1"	=	CUSIP Number position 1-2 or position 12 is not zeroes.
				"2"	=	CUSIP Number position 3-11 is not greater than spaces or is zeroes.
73	1	Numeric	Flag #3: Total Detail Records	"0"	=	Total Detail Records valid.
				"1"	=	Total Detail Records non-numeric or zero.
74	1	Numeric	Flag #4: Total Securities	"0"	=	Total securities valid.
				"1"	=	Total securities non-numeric or zero.
75	1	Numeric	Flag #5: SCL I.D.	"0"	=	SCL I.D. is valid.
				"1"	=	SCL I.D. is non-numeric or zero.

6.8   Rejected SCL Trailer Transaction Record ("88") *(Continued)*

Rejected SCL Trailer Transaction Record ("88") Format (Part 2 of 2)

Position	Length	Format	Field			Field Description
76	1	Numeric	Flag #6: Sequence Number	"0"	=	Sequence Number is valid.
				"1"	=	Sequence Number is invalid.
				"2"	=	Sequence Number is non-numeric or zero.
77	1	Numeric	Flag #7: Total Fractional Share	"0"	=	Total Fractional Share is valid.
				"1"	=	Total Fractional Share is non-numeric.
78	3	Numeric	Flags #8-10			Flags #8-10 are unused and will be set to zero.

6.9   Rejected TA Trailer Transaction Record ("99")

Whenever an edit error is detected in an TA Trailer Transaction record ("99"), it is returned in the Acknowledgment file, with one or more of its 10 appended error flags to indicate the type of error encountered.

The format of the 80-character Rejected "99" record follows:

Rejected TA Trailer Transaction Record ("99") Format (Part 1 of 2)

Position	Length	Format	Field	Field Description		
1	70	Character	Rejected Input "99" Record	Contains the rejected input "99" record.		
71	**10**	**Numeric**	**"99" Record's Error Flags**	**A series of ten, 1-byte fields to provide indication of the type and severity of error that may have occurred.**		
71	1	Numeric	Flag #1: Record Status	"0"	=	Record is valid.
				"1"	=	Record out of sequence.
72	1	Numeric	Flag #2: Total Transaction Records	"0"	=	Total Transaction Records valid.
				"1"	=	Total Transaction Records non-numeric or zero.
				"2"	=	Total Transaction Records does not match DTC's calculated count.
73		Numeric	Flag #3: Total Securities	"0"	=	Total securities valid.
				"1	=	Total securities non-numeric or zero.
74	1	Numeric	Flag #4: Sequence Number	"0"	=	Sequence Number is valid.
				"1"	=	Sequence Number is invalid.
				"2"	=	Sequence Number is non-numeric or zero.

6.9 Rejected TA Trailer Transaction Record ("99") *(Continued)*

Rejected TA Trailer Transaction Record ("99") Format (Part 2 of 2)

Position	Length	Format	Field	Field Description
75	1	Numeric	Flag #5: Total Fractional Share	"0" = Total Fractional Share is valid. "1" = Total Fractional Share is non-numeric.
76	5	Numeric	Flags #6-10	Flags #6-10 are unused and will be set to zero.

6.10 The CF2SCL Acknowledgment Rejected Trailer Record ("TLR")

A "severe" edit error will cause the Rejected "TLR" record to be returned in the Acknowledgment file. If each of the Rejected "TLR" record's error flags contains zeroes, the CF2SCL transmission was rejected due to a non-Trailer related "severe" edit error. If any of the Rejected "TLR" record's error flags contains non-zeroes, the Trailer Record was the source of the "severe" edit error.

The format of the 80-character Rejected Trailer Record follows:

CF2SCL Acknowledgment Rejected Trailer Record ("TLR") (Part 1 of 2)

Position	Length	Format	Field	Field Description
1	3	Character	Record Type	Should contain the value "TLR", assuming the last CF2SCL transmission record was a trailer. In any case, the information contained in positions 1-3 of the last record will appear here.
4	28	Character	Input Trailer Record Positions 4-31	Contains the information received in positions 4-31 of the CF2SCL Transmission file's "TLR" (or last) record.
32	**10**	**Numeric**	**Trailer Record's Error Flags**	**A series of ten, 1-byte fields to provide indication of the type and severity of error that may have occurred.**
32	1	Numeric	Flag #1: Record Type	"0" = Last record was "TLR". "1" = Last record was not "TLR".
33	1	Numeric	Flag #2: Signon I.D.	"0" = Signon I.D. is valid. "1" = Signon I.D. does not match "HDR" record Signon I.D.
34	1	Numeric	Flag #3: Activity Type	"0" = Activity Type is "CF2SCL". "1" = Activity Type not "CF2SCL".

6.10 The CF2SCL Acknowledgment Rejected Trailer Record ("TLR") *(Continued)*

CF2SCL Acknowledgment Rejected Trailer Record ("TLR") (Part 2 of 2)

Position	Length	Format	Field	Field Description	
35	1	Numeric	Flag #4: Transmission I.D. Number	"0" = "1" =	Transmission I.D. valid Transmission I.D. does not match "HDR" record TRANID.
36	1	Numeric	Flag #5: Total Record Count	"0" = "1" = "2" =	Total Record Count is valid. Total Record Count is non-numeric or zero. Total Record Count does not agree with DTC's calculated total.
37	5	Numeric	Flags #6-10	Flags #6-10 are unused and will be set to zeroes.	
42	29	Character	Filler	Contains the information received in positions 42-70 of the CF2SCL Transmission file's "TLR" record (or last record received).	
71	10	Character	Filler	DTC use only; do not use.	

6.11 The CF2SCL Acknowledgment Audit Record ("ADT")

The Audit ("ADT") record is the last record of the CF2SCL Acknowledgment file, except when the incoming transmission experiences "security" edit errors. If no "security" error is detected, the Acknowledgment file's "CTL" and "ADT" records will bracket any Acknowledgment Rejected records that are returned.

The Audit ("ADT") record has a similar format to the CF2SCL input Transmission Trailer Record. Its identifying fields, however, are derived from the input Transmission Header Record, and its totals are derived from ACCEPTED SCL records only.

When transmitted, the Audit ("ADT") record is the final CF2SCL Acknowledgment record. The 80-character CF2SCL "ADT" Audit record is described in the table below:

CF2SCL Acknowledgment Audit Record ("ADT") Format

Position	Length	Format	Field	Field Description
1	3	Character	Record Type	Will contain the value "ADT", identifying the Audit record.
4	8	Character	Signon I.D.	Signon I.D. identifies the transmitter, as derived from the CF2SCL Transmission file's Header ("HDR") record.
12	6	Character	Activity Type	Will contain the value "CF2SCL".
18	3	Numeric	Transmission I.D. Number	Derived from the "HDR" record's Transmission I.D. Number.
21	7	Numeric	Total Accepted Record Count	The total number of SCL records in the CF2SCL transmission that were accepted, as calculated by DTC.
28	53	Character	Filler	DTC use only; do not use.

7.0   Recovery and Backup for CCF-II

7.1   Recovery Procedures

Restart capability is available for CCF-II Users. Details of the procedures to be followed in the event that RESTART is necessary are provided in the *CCF-II System User's Guide* in the section entitled "Recovery/Restart Procedures".

7.2   Backup for CCF-II

If, for any reason, a User is unable to use CCF-II to submit his transactions as scheduled, DTC Network Operations should be notified immediately at (212) 240-1569.

If the User is not able to enter his transactions via CCF-II because of modem or telephone line equipment failures at his site, he has the option of creating a magnetic tape in the format of the specific CCF-II Transmission file involved (in this case *FAST* Deposit SCL Confirm/Reject - CF2SCL) and sending it to DTC via a messenger. The procedures outlined on the next page should be followed.

7.3   Magnetic Tape Backup

The magnetic tape prepared by the User for his CF2SCL transactions must have the following characteristics:

- NON-LABELLED

- 1600 / 6250 BPI

- RECFM   =   FB

- LRECL   =   80 (RJE) or   70 (NDM)

- BLKSIZE   =   Multiple of record length.

DTC will input the transactions from the tape and then return it to the User.

Users that, in an emergency, will not be able to deliver a magnetic tape to DTC via messenger before the cutoff time for the CF2SCL function (see "CF2SCL Transmission Cutoff Schedule" on page 7), are responsible for making other arrangements for backup in case of modem or telephone equipment failures.

Users should realize that when using CCF-II to input transactions to DTC, they are bound by computer and data communications equipment availability at their site. DTC cannot afford to delay its entire processing cycle to accommodate equipment failures at any User site. It is strongly suggested that all Users maintain redundant CCF-II equipment (computers and communication controllers).

IN NO EVENT will DTC accept any responsibility for a User's inability to submit any type of CCF-II transmission to the Depository.

Appendix A. Transmission Processing Status Codes

The following 3-digit Transmission Processing Status codes indicates the status of the CF2SCL Transmission, as processed by DTC's CCF-II system:

000 - TRANSMISSION ACCEPTED   No invalid CF2SCL transactions.

222 - TRANSMISSION REJECTED   Invalid record type.

333 - TRANSMISSION REJECTED   Record sequence error.

444 - TRANSMISSION REJECTED   No file was received.

555 - TRANSMISSION REJECTED   Past Cutoff.

600 - TRANSMISSION REJECTED   Function was not "CF2SCL".

666 - TRANSMISSION REJECTED   Function CF2SCL unavailable.

700 - TRANSMISSION REJECTED   Total record count (all input transactions for entire transmission) specified on CF2SCL Transmission Trailer does not match DTC's calculated count.

720 - TRANSMISSION REJECTED   Total record count (all input transactions per Transfer Agent) specified on TA Trailer does not match DTC's calculated count.

777 - TRANSMISSION REJECTED   CF2SCL Transmission Trailer was not the last record on file.

800 - TRANSMISSION REJECTED   CF2SCL Transmission Trailer missing.

820 - TRANSMISSION REJECTED   TA Trailer missing.

830 - TRANSMISSION REJECTED   SCL Trailer missing.

840 - TRANSMISSION REJECTED   SCL Header missing.

Appendix A. Transmission Processing Status Codes *(Continued)*

850 - TRANSMISSION REJECTED   TA header missing.

860 - TRANSMISSION REJECTED   CF2SCL Transmission Header missing.

886 - TRANSMISSION REJECTED   SCL Trailer contains invalid data.

887 - TRANSMISSION REJECTED   TA Trailer contains invalid data.

888 - TRANSMISSION REJECTED   CF2SCL Transmission Trailer contains invalid data.

996 - TRANSMISSION REJECTED   SCL Detail contains invalid data.

997 - TRANSMISSION REJECTED   SCL Header contains invalid data.

998 - TRANSMISSION REJECTED   TA Header contains invalid data.

999 - TRANSMISSION REJECTED   CF2SCL Transmission Header contains invalid data.

Appendix B. Valid Reject Codes

The following 3-digit reject codes are currently valid for *FAST* Deposit SCL Confirm/Reject transactions received by DTC.

001 - Quantity Difference

002 - Tax Stamp Required

003 - Mixed Stock

004 - Invalid Stock Power

005 - Signature Gty Missing

006 - Release Power of Attorney

007 - Endorsement Incomplete

008 - Endorsement Missing

009 - Erasure Gty Missing

010 - Exchange Item

011 - One And Same Gty

012 - Execution Gty

013 - Partnership Cert.

014 - Assignment Incorrect

016 - Legal - Opinion of Counsel

018 - Legal - Resolution

019 - Legal - Authorization

020 - Legal - Death Cert.

Appendix B. Valid Reject Codes *(Continued)*

021 - Legal - Certify Trustee

025 - Bad CUSIP Number

026 - Stop

027 - SCL not received

068 - Called Certificate

099 - Misc