



Securities Processing

7.14 BRANCH DEPOSIT SERVICES SECURITIES INFORMATION CENTER (BDSSIC): FUNCTION USER'S GUIDE

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OBJECTIVES OF THIS CHAPTER

The objectives of this chapter are to:

- Describe the BDSSIC function
- Illustrate required file formats

THE BDSIC FUNCTION: OVERVIEW

The BDSSIC function enables users to pick up a file at the end of the day containing the S.I.C. results of certificates processed during the day. The Securities Information Center (SIC) runs a check on certificates we transmit to them and informs us if these certificates are good or if they found a “possible hit” (ie.. lost, stolen, canceled, etc.). Operations personnel will call possible hit items in to the Transfer Agent who will then either confirm the hit or deem the item good. Each record on the SIC end of day file will contain a transaction number to provide the Participant with tracking capability.

BDSSIC is available via CCF and CCF-II. This is a combined user guide describing the file for CCF & CCFII. Users who communicate with DTC via CCFUSER software should read the CCF User Guide before reading this document. Users who communicate with DTC via CCF-II (RJE, SNA/RJE, or NDM) should read the appropriate CCF-II System User Guide.

The BDSSIC Function

The BDSSIC function enables Participants to download a daily file of all

S.I.C. results for the day. The information received via the BDSSIC function will indicate whether a certificate was deemed good or was flagged as a “hit”. The BDSSIC detail records contain four different file types – a header record per Participant number, certificate detail records, hit detail records, and a trailer record which are all described in the following sections. This information is available in machine-readable format via CCF/CCF-II.

Availability

The BDSSIC function is normally available from approximately 7:30 p.m. to 3:30 p.m. (Eastern Time) the following business day.

Modes of Transmission

The BDSSIC function is available via BDSSIC files are available via CCF and CCF-II. Users using BDSSIC via CCF receive a file consisting of a CCF Header record followed by the BDSSIC detail records. Users utilizing BDSSIC via CCF-II receive a file consisting of CCF-II Header and Trailer records separated by the detail records.

The formats for the CCF Header record, CCF-II Header and Trailer records, and BDSSIC records are described in the following sections.

Holiday Processing

All Closed: Banks, Exchange and DTC Closed (New Year's Day, Martin Luther King Day, Presidents' Day, Memorial Day, July 4th, Labor Day, Thanksgiving Day, and Christmas Day).

No file will be produced these days.

Banks Closed, Exchange Open and DTC Open (Columbus Day, Veteran's Day). The file for the business day will be generated that night and will be available until a new file is generated the following evening.

Banks and DTC Open, Exchange Closed (Good Friday). No file will be produced these days.

RECORD FORMATS

BDSSIC Record Format

The first record on the BDSSIC function file is a header record when a Header=Yes is specified as a CCFDTFDB parameter. It contains information regarding the creation of the file.

NDM users executing NDMDTF01 or RJE 3770 users executing RJESDTF2 will receive the CCF Header record (below).

Position	Length	Format	Field Name	BDSSIC Record Field Description
1	6	Character	Data Type Requested	BDSSIC . (In special instances where data must be reloaded this name will correspond with the SPECx name.)
7	6	Character	Data Type Created	BDSSIC
13	8	Character	Creation date	MM/DD/YY
21	8	Character	Spool Date	MM/DD/YY
29	8	Character	Load Time	HH:MM:SS
37	2	Numeric	Record Size	Size of each data record.
39	4	Numeric	Block Count	Number of data blocks input to CCFDTFDB.
43	4	Numeric	Record Count	Number of data records.
47	???	Character	Filler	For DTC use only.

CCF Header And Trailer Records

The format of each CCF-II Header and Trailer record is described below. Please note that the Header and Trailer records are identical except for the first and last fields of each record.

NDM users executing NDMDTF01 and RJE 3770 users executing RJESDTF2 will receive the CCF Header record shown on the previous page.

The CCF-II Header and Trailer Records				
Position	Length	Format	Field Name	Field Description
1	3	Character	Record Identifier	HDR or TLR
4	4	Character	Signon ID	Signon ID
8	6	Character	Data Type Requested	BDSSIC (In special instances where data must be reloaded this name will correspond with the SPECx name.)
14	6	Character	Data Type Required	BDSSIC
20	8	Character	Creation Date	MM/DD/YY
28	8	Character	Spool Date	MM/DD/YY
36	8	Character	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.
60	15	Character	Filler	For DTC use only.
75	6	Numeric	Sequence Number	Used as a data integrity check. HDR 000000 TRL 999999

Standard ICM Transaction Header

The first 26 bytes of each record returned contains the following standard ICM header information:

Position	Length	Format	Field Name	ICM Transaction Header Field Description
1	1	Character/Numeric	Feedback Indicator	An * (asterisk) indicates an output message in the new format.
2	1	Character/Numeric	Test/Production Indicator	P indicates a production message. T indicates a test message.
3	6	Character/Numeric	Record Type	Value is BDSSIC.
9	2	Character/Numeric	Record Suffix	Value is always >01.=
11	2	Character/Numeric	Version Number	Indicates which version of the data record formats are being used. The value for Phase 1 is always >01.=
13	6	Character/Numeric	Filler	Spaces
19	8	Character/Numeric	Addressee	The entity on behalf of whom the transaction is processed. Right justified, zero filled.

The BDSSIC Detail Record – length 80 bytes

The application data has four different record types defined as follows:

BDSSIC Header Record*:

Position	Length	Format	Field Name	Field Description
27	2	Character	Record Type	Identifies the record type. Value = "FI" for the header record.
29	6	Numeric	File Date	The file creation date. Format: YYMMDD.
35	6	Numeric	File Time	The file creation time. Format: HHMMSS.
41	6	Numeric	FINS Number	The unique S.I.C. code identifying a Participant.
47	3	Character	Access Code	Identifies the type of request.
50	20	Character	Institution Name	The name of the institution.
70	20	Character	Contact Name	Value = "Depository Trust Co."
90	6	Numeric	Date Processed	The date the file was processed. Format: YYMMDD
96	8	Character	Filler	Reserved filler.
104	3	Character	Filler	Version number. Value = "2.0".

*There is one header record per Participant Number.

BDSSIC Certificate Detail Record*:

Position	Length	Format	Field Name	Field Description
27	2	Character	Record Type	Identifies the record type. Value = "CI" for the certificate detail.
29	9	Character	CUSIP Number	An industry standard Id number used to identify a security.
38	15	Character	Certificate Id	The number identifying the certificate.
53	15	Numeric	Transaction Id	The S.I.C assigned transaction number identifying each certificate transmission for tracking purposes.
68	1	Character	Status Code	The result of the S.I.C. check for this certificate: "0" = good – no hits found for this certificate "1" = one or more possible hits found for this certificate (including CUSIP stops)
69	5	Numeric	Status Message Number	The resulting error code of the S.I.C. check for this certificate: 00000 = good, no errors found on the lookup 20102 = CUSIP Positions 1-8 not alpha-numeric 20103 = Cert number not numeric 20203 = Cert Number = "000000000000" 30001 = CUSIP Warning: Partially Cancelled
74	2	Numeric	No. of hit details	The number of hit detail records that follow. Values = 00 – 99.
76	1	Character	Record Update Flag	Indicates whether this is a new or updated record. "0" = New/Unchanged "1" = Update Record
77	1	Character	Processing Indicator	Indicates whether the S.I.C. check is complete. "0" = Not complete "1" = Complete
78	20	Character	Control Id	The C.I.D. Format: PIC X(8) = Date (CCCCMMDD) PIC X(4) = Branch PIC X(4) = Sequence number
98	9	Character	Filler	

***There is one detail record for every certificate that had some S.I.C. activity today.**

BDSSIC Hit Detail Record*:

Position	Length	Format	Field Name	Field Description
27	2	Character	Record Type	Identifies the record type. Value = "CH" for the hit detail.
29	15	Numeric	Transaction Id	The S.I.C. assigned transaction number identifying each certificate transmission for tracking purposes.
44	2	Numeric	Hit Record Number	The sequential number of the hit record. Values = 00 – 99.
46	20	Character	Reporting Institution	The name of the reporting institution.
66	20	Character	Contact Name	The name of the contact person.
86	10	Character	Contact Phone Number	The phone number of the contact person. Format: AAAXXXNNNN AAA = Area code XXX = Exchange NNNN = Individual number
96	1	Character	Status Code	The hit status code. "0" = No hit detail "1" = Possible hit "2" = CUSIP stop
97	1	Character	Canceled Indicator	Indicates whether or not a certificate has been canceled. "0" = Not Canceled "1" = Canceled
98	1	Character	Criminality Indicator	Indicates whether or not a certificate was stolen. "0" = No Criminality "1" = Criminality
99	1	Character	Counterfeit Indicator	Indicates whether or not a certificate is counterfeit. "0" = Not Counterfeit "1" = Counterfeit

BDSSIC Hit Detail Record*:

Position	Length	Format	Field Name	Field Description
100	1	Character	Preliminary Report	Indicates whether or not there is a preliminary report. "0" = Not Preliminary "1" = Preliminary
101	1	Character	Full Certificate Number Match	Indicates whether S.I.C was able to find the correct certificate number. "0" = No match "1" = Match "2" = Not input "3" = Not available from S.I.C. "4" = Lookup not complete
102	1	Character	Issue Date Match	Indicates whether S.I.C. was able to find the correct issue date. "0" = No match "1" = Match "2" = Not input "3" = Not available from S.I.C. "4" = Lookup not complete
103	1	Character	Denomination Match	Indicates whether S.I.C was able to find the correct denomination. "0" = No match "1" = Match "2" = Not input "3" = Not available from S.I.C. "4" = Lookup not complete
104	1	Character	Record Update Flag	Indicates whether this is a new or updated record. "0" = New/Unchanged "1" = Update
105	2	Character	Filler	Reserved for future use.

BDSSIC Hit Detail Record*:

*BDSSIC Hit Detail records immediately follow the related Certificate Detail record. There is one hit record for each possible hit or CUSIP stop. Please note that there will only be hit records for those items that were electronically transmitted to S.I.C. For items that are handled over the phone with the Transfer Agent, BDS personnel will update the S.I.C. status accordingly but it will not produce hit records. If a certificate was flagged as a "possible hit", it will be indicated on the Status Code field of the Certificate Detail record.

BDSSIC Trailer Record*:

Position	Length	Format	Field Name	Field Description
27	2	Character	Record Type	Identifies the record type. Value = "LI" for the trailer record.
29	9	Numeric	Certificate Detail Record Count	The total number of Certificate Detail records in the file including the header and trailer records.
38	9	Numeric	Inquiry Record Count	The total number of records received in the file (Certificate detail and Hit detail) including header and trailer records.
47	60	Character	Filler	Reserved for future use.

*There is one trailer record per Participant Number.

CCF AND CCF-II TAPE BACKUP PROCEDURE

If critical data cannot be retrieved via CCF/CCFII due to modem or telephone equipment failure, users must contact the DTC Customer Support Center to arrange for a magnetic tape to be prepared containing the desired data. The user must then send a messenger to retrieve the tape.

The magnetic tape is formatted in the following ways:

For CCF Users

1. Non-labeled
2. 1600/6250 bpi
3. RECFM = VB
4. LRECL = 1504
5. BLKSIZE = 1508

For CCF-II Users

1. Non-labeled
2. 1600/6250 bpi
3. RECFM = FB
4. LRECL = Refer to the specific User Guide
5. BLKSIZE = Efficient block size

The tape is formatted like a CCF/CCFII transmission. CCF users must use CCFDTFDB to deblock the tape.

If magnetic tape is not a viable alternative, users must either wait until their equipment problems are resolved or (if possible) utilize the Participant Terminal System (PTS). If problems are resolved same-day and the function is available, the data can be received normally.

If the problems are not quickly resolved, DTC can make the user's data available within the next five business days by using a backup procedure for delivering non-current data. The data is spooled out to the database using a special data type name (ASPECx@, where Ax@ is a one-character numeric) and must be requested by the user using this data type name.

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