

AIP Enhancements

Date: 6/27/2024

PSE Milestone	<u>PSE – Effective Friday, August 23, 2024.</u> The new coding will be implemented <u>after</u> the 7:00pm EOD Cycle on Thursday, August 22, 2024 (ET)
Production Milestone	<u>Production – Effective Friday, October 11, 2024.</u> The new coding will be implemented <u>after</u> the 7:00pm EOD Cycle on Thursday, October 10, 2024 (ET)

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BR-1 Activity & Distribution Enhancements

Impacted Records

- 050 – Activity and Distribution
- 056 – Activity Confirmation

1.1 Change the Validation for the existing “Custodian Tax Identification Number” field.

- If populated, then 9 digits must be provided.
- Update NSCC Reject Reason Code and Firm-Fund Reject-Exit Code from “0086 - Custodian Tax Identification Number missing” to 0086 - Custodian Tax Identification Number invalid.
- Data Dictionary will be updated.
- Excel Macro will be updated.

Field Name	Start	End	Length	Type	Opt/Req	Values	Reject Code
Current Activity Distribution Records (050, 056)							
Custodian Tax Identification Number	384	392	9	N	O		0086
New Activity Distribution Records (050, 056)							
Custodian Tax Identification Number	384	392	9	N	O	If populated, then 9 digits must be provided	0086

1.2 Change the Validation for the existing “SSN/TIN/EIN Number” field.

- The field ‘Type’ will be changed from alpha/numeric to numeric.
- This field will remain Optional.
- If populated, then 9 digits must be provided.
- Update NSCC Reject Reason Code and Firm-Fund Reject-Exit Code from “0083 – EIN/SSN Number missing” to 0083 – SSN/TIN/EIN Number invalid.
- Data Dictionary will be updated.
- Excel Macro will be updated.

Field Name	Start	End	Length	Type	Opt/Req	Values	Reject Code
Current Activity Distribution Records (050, 056)							
SSN/TIN/EIN Number	683	691	9	A/N	O		0083
New Activity Distribution Records (050, 056)							
SSN/TIN/EIN Number	683	691	9	N	O	If populated, then 9 digits must be provided	0083

1.3 Change Requirement for “Total Commitment Amount” field.

- This field will still be Optional Conditional.
- Required for the following Transaction Types
 - 72 = Call Event – Client Debit
 - 13 = Direct Transfer In – Only if the Purchase Order Process Indicator is populated with 3 = Commitment/Call/Drawdown on the Security General Profile record.
- The requirement that Zeros are allowed will be removed and the record must be populated with a value greater than zero.

- Data Dictionary will be updated.
- Excel Macro will be updated.

Field Name	Start	End	Length	Type	Opt/Req	Values	Reject Code
Current Activity Distribution Records (050, 056)							
Total Commitment Amount	837	852	16	N	OC	Required for Transaction Type 72 = Call Event – Client Debit Zeros are allowed 99999999999999.99	0378
New Activity Distribution Records (050, 056)							
Total Commitment Amount	837	852	16	N	OC	Required for the following Transaction Types: 72 = Call Event – Client Debit 13 = Direct Transfer In - Only if the Purchase Order Process Indicator is populated with 3 = Commitment/Call/Drawdown on the Security General Profile record 99999999999999.99	0378

1.4 Change Requirement for “Fulfilled Commitment Amount” field.

- This field will be changed from Optional-to-Optional Conditional.
- Required for the following Transaction Types
 - 72 = Call Event – Client Debit
 - 13 = Direct Transfer In – Only if the Purchase Order Process Indicator is populated with 3 = Commitment/Call/Drawdown on the Security General Profile record.
- Zeros are allowed.

- Data Dictionary will be updated.
- Excel Macro will be updated.

Field Name	Start	End	Length	Type	Opt/Req	Values	Reject Code
Current Activity Distribution Records (050, 056)							
Fulfilled Commitment Amount	853	868	16	N	O	99999999999999.99	0408
New Activity Distribution Records (050, 056)							
Fulfilled Commitment Amount	853	868	16	N	OC	Required for the following Transaction Types: 72 = Call Event – Client Debit 13 = Direct Transfer In – Only if the Purchase Order Process Indicator is populated with 3 = Commitment/Call/Drawdown on the Security General Profile record Zeros are allowed 99999999999999.99	0408

1.5 Change Requirement for “Remaining Commitment Amount” field.

- This field will be changed from Optional-to-Optional Conditional.
- Required for the following Transaction Types
 - 72 = Call Event – Client Debit
 - 13 = Direct Transfer In – Only if the Purchase Order Process Indicator is populated with 3 = Commitment/Call/Drawdown on the Security General Profile record.
- Zeros are allowed.

- Data Dictionary will be updated.
- Excel Macro will be updated.

Field Name	Start	End	Length	Type	Opt/Req	Values	Reject Code
Current Activity Distribution Records (050, 056)							
Remaining Commitment Amount	869	884	16	N	O	99999999999999.99	0409
New Activity Distribution Records (050, 056)							
Remaining Commitment Amount	869	884	16	N	OC	Required for the following Transaction Types: 72 = Call Event – Client Debit 13 = Direct Transfer In - Only if the Purchase Order Process Indicator is populated with 3 = Commitment/Call/Drawdown on the Security General Profile record Zeros are allowed 99999999999999.99	0409

1.6 Add new “Call Event – Beginning Remaining Commitment Amount” field.

- This field will be Optional Conditional.
- Required for the following Transaction Types.
 - 72 = Call Event – Client Debit.
- The field will be added at the end of the record at position 901.
- The type will be numeric.
- This field will be 16 bytes in length.
 - 14 digits to left of decimal.
 - 2 digits to the right of decimal
- Zeros are allowed.

- Data Dictionary will be updated.
- Excel Macro will be updated.
- Add new NSCC Reject Reason Code and Firm-Fund Reject-Exit Code – 0470
Call Event - Beginning Remaining Commitment Amount missing/invalid.

Field Name	Start	End	Length	Type	Opt/Req	Values	Reject Code
Current Activity Distribution Records (050, 056)							
Fund Assessed Fee Amount	885	900	16	N	O	99999999999999.99	0469
New Activity Distribution Records (050, 056)							
Call Event - Beginning Remaining Commitment Amount	901	916	16	N	OC	Required if Transaction Type is: 72 = Call Event - Client Debit Zeros are allowed 99999999999999.99	0470

1.7 Add new “Call Event – Ending Remaining Commitment Amount” field.

- This field will be Optional Conditional.
- Required for the following Transaction Types.
 - 72 = Call Event – Client Debit.
- The field will be added at the end of the record at position 917.
- The type will be numeric.
- This field will be 16 bytes in length.
 - 14 digits to left of decimal.
 - 2 digits to the right of decimal
- Zeros are allowed.

- Data Dictionary will be updated.
- Excel Macro will be updated.
- Add new NSCC Reject Reason Code and Firm-Fund Reject-Exit Code – 0471
Call Event - Ending Remaining Commitment Amount missing/invalid.

Field Name	Start	End	Length	Type	Opt/Req	Values	Reject Code
Current Activity Distribution Records (050, 056)							
Fund Assessed Fee Amount	885	900	16	N	O	99999999999999.99	0469
New Activity Distribution Records (050, 056)							
Call Event - Beginning Remaining Commitment Amount	901	916	16	N	OC	Required if Transaction Type is: 72 = Call Event - Client Debit 99999999999999.99	0470
Call Event - Ending Remaining Commitment Amount	917	932	16	N	OC	Required if Transaction Type is: 72 = Call Event - Client Debit Zeros are allowed 99999999999999.99	0471

1.8 Add new “Dividend Option” field.

- This will be an Optional field.
- The field will be added at the end of the record at position 933.
- The type will be alpha/numeric.
- This field will be 1 byte in length.
 - 0 = Dividend Cash/LTCG-Cash/STCG-Cash
 - 1 = Dividend Reinvest/LTCG-Reinvest/STCG-Reinvest
 - 2 = Dividend Cash/LTCG-Cash/STCG-Reinvest
 - 3 = Dividend Cash/LTCG-Reinvest/STCG-Reinvest
 - 4 = Dividend Cash/LTCG-Reinvest/STCG-Cash
 - 5 = Dividend Reinvest/LTCG-Cash/STCG-Cash
 - 6 = Dividend Reinvest/ LTCG-Reinvest/STCG-Cash
 - 7 = Dividend Reinvest/ LTCG-Cash/ STCG-Reinvest
- Data Dictionary will be updated.
- Excel Macro will be updated.
- Add existing NSCC Reject Reason Code and Firm-Fund Reject-Exit Code – 0105 Dividend Option missing/invalid.

Field Name	Start	End	Length	Type	Opt/Req	Values	Reject Code
Current Activity Distribution Records (050, 056)							
Fund Assessed Fee Amount	885	900	16	N	O	99999999999999.99	0469
New Activity Distribution Records (050, 056)							
Call Event - Beginning Remaining Commitment Amount	901	916	16	N	OC	Required if Transaction Type is: 72 = Call Event - Client Debit 99999999999999.99	0470
Call Event - Ending Remaining Commitment Amount	917	932	16	N	OC	Required if Transaction Type is: 72 = Call Event - Client Debit 99999999999999.99	0471
Dividend Option	933	933	1	A/N	O	0 = Dividend Cash/LTCG-Cash/STCG-Cash 1 = Dividend Reinvest/LTCG-Reinvest/STCG-Reinvest 2 = Dividend Cash/LTCG-Cash/STCG-Reinvest 3 = Dividend Cash/LTCG-Reinvest/STCG-Reinvest 4 = Dividend Cash/LTCG-Reinvest/STCG-Cash 5 = Dividend Reinvest/LTCG-Cash/STCG-Cash 6 = Dividend Reinvest/ LTCG-Reinvest/STCG-Cash 7 = Dividend Reinvest/ LTCG-Cash/ STCG-Reinvest	0105

BR-2 Position Enhancements

Impacted Records

- 052 = Position

2.1 Change the Validation for the existing “Custodian Tax Identification Number” field.

- The field “Type” will change from alpha/numeric to numeric.
- This field will remain Optional.
- If populated, then 9 digits must be provided.
- Update NSCC Reject Reason Code and Firm-Fund Reject-Exit Code from “0086 - Custodian Tax Identification Number missing” to 0086 - Custodian Tax Identification Number invalid.
- Data Dictionary will be updated.
- Excel Macro will be updated.

Field Name	Start	End	Length	Type	Opt/Req	Values	Reject Code
Current Position Record (052)							
Custodian Tax Identification Number	362	370	9	A/N	O		0086
New Position Record (052)							
Custodian Tax Identification Number	362	370	9	N	O	If populated, then 9 digits must be provided	0086

2.2 Change the Validation for the existing “Total Commitment Amount” field.

- This requirement will be changed from Optional-to-Optional Conditional.
 - Required if the Purchase Order Process Indicator is populated to 3 = Commitment/Call/Drawdown on the Security General Profile.
 - DTCC will validate against the Security General Profile to verify if the value 3 is populated.

- Data Dictionary will be updated.
- Excel Macro will be updated.

Field Name	Start	End	Length	Type	Opt/Req	Values	Reject Code
Current Position Record (052)							
Total Commitment Amount	471	486	16	N	O	99999999999999.99	0378
New Position Record (052)							
Total Commitment Amount	471	486	16	N	OC	Required if the Purchase Order Process Indicator is populated to 3 = Commitment/Call/Drawdown on the Security General Profile 99999999999999.99	0378

2.3 Change the Validation for the existing “Fulfilled Commitment Amount” field.

- This requirement will be changed from Optional-to-Optional Conditional.
 - Required if the Purchase Order Process Indicator is populated to 3 = Commitment/Call/Drawdown on the Security General Profile.
 - DTCC will validate against the Security General Profile to verify if the value 3 is populated.
 - Zeros are allowed.

- Data Dictionary will be updated.
- Excel Macro will be updated.

Field Name	Start	End	Length	Type	Opt/Req	Values	Reject Code
Current Position Record (052)							
Fulfilled Commitment Amount	487	502	16	N	O	99999999999999.99	0408
New Position Record (052)							
Fulfilled Commitment Amount	487	502	16	N	OC	Required if the Purchase Order Process Indicator is populated to 3 = Commitment/Call/Drawdown on the Security General Profile 99999999999999.99 Zeros are allowed	0408

2.4 Change the Validation for the existing “Remaining Commitment Amount” field.

- This requirement will be changed from Optional-to-Optional Conditional.
 - Required if the Purchase Order Process Indicator is populated to 3 = Commitment/Call/Drawdown on the Security General Profile.
 - DTCC will validate against the Security General Profile to verify if the value 3 is populated.
 - Zeros are allowed.

- Data Dictionary will be updated.
- Excel Macro will be updated.

Field Name	Start	End	Length	Type	Opt/Req	Values	Reject Code
Current Position Record (052)							
Remaining Commitment Amount	503	518	16	N	O	99999999999999.99	0409
New Position Record (052)							
Remaining Commitment Amount	503	518	16	N	OC	Required if the Purchase Order Process Indicator is populated to 3 = Commitment/Call/Drawdown on the Security General Profile 99999999999999.99 Zeros are allowed	0409

2.5 Change the Validation for the existing “SSN/TIN/EIN Number” field.

- The field ‘Type’ will be changed from alpha/numeric to numeric.
- This field will remain Optional.
- If populated, then 9 digits must be provided.
- Update NSCC Reject Reason Code and Firm-Fund Reject-Exit Code from “0083 – EIN/SSN Number missing” to 0083 – SSN/TIN/EIN Number invalid.
- Data Dictionary will be updated.
- Excel Macro will be updated.

Field Name	Start	End	Length	Type	Opt/Req	Values	Reject Code
Current Position Record (052)							
SSN/TIN/EIN Number	810	818	9	A/N	O		0083
New Position Record (052)							
SSN/TIN/EIN Number	810	818	9	N	O	If populated, then 9 digits must be provided	0083

2.6 Rename existing “Pending Money Value” field.

- The field will be renamed to “Pending Investment Value”.
- Rename Existing NSCC Reject Reason Code and Firm-Fund Reject-Exit Code – 0626 Pending. Investment Value invalid.
- Data Dictionary will be updated.
- Excel Macro will be updated.

Field Name	Start	End	Length	Type	Opt/Req	Values	Reject Code
Current Position Record (052)							
Pending Money Value	869	884	16	N	O	99999999999999.99	0626
New Position Record (052)							
Pending Investment Value	869	884	16	N	O	99999999999999.99	0626

BR-3 Account Registration/Maintenance Enhancements

Impacted Records

- 025 = Account Registration
- 053 = Account Maintenance

3.1 Change the Validation for the existing “Delivery of Fund Notifications” field.

- This requirement will be changed from Optional Conditional-to-Optional.
- Data Dictionary will be updated.
- Excel Macro will be updated.

Field Name	Start	End	Length	Type	Opt/Req	Values	Reject Code
Current Account Registration-Maintenance Records (025, 053)							
Delivery of Fund Notifications	166	166	1	A/N	OC	Required for Record Type 025 0 = Physical Mail 1 = Email Address	0466
New Account Registration-Maintenance Records (025, 053)							
Delivery of Fund Notifications	166	166	1	A/N	O	0 = Physical Mail 1 = Email Address	0466

3.2 Change the Validation for the existing “SSN/TIN/EIN Number” field.

- The field ‘Type’ will be changed from alpha/numeric to numeric.
- This field will remain Optional.
- If populated, then 9 digits must be provided.
- Update NSCC Reject Reason Code and Firm-Fund Reject-Exit Code from “0083 – EIN/SSN Number missing” to 0083 – SSN/TIN/EIN Number invalid.
- Data Dictionary will be updated.
- Excel Macro will be updated.

Field Name	Start	End	Length	Type	Opt/Req	Values	Reject Code
Current Account Registration-Maintenance Records (025, 053)							
SSN/TIN/EIN Number	697	705	9	A/N	O		0083
New Account Registration-Maintenance Records (025, 053)							
SSN/TIN/EIN Number	697	705	9	N	O	If populated, then 9 digits must be provided	0083

3.3 Change the Validation for the existing “Custodian Tax Identification Number” field.

- The field ‘Type’ will be changed from alpha/numeric to numeric.
- This field will remain Optional.
- If populated, then 9 digits must be provided.
- Update NSCC Reject Reason Code and Firm-Fund Reject-Exit Code from “0086 - Custodian Tax Identification Number missing” to 0086 - Custodian Tax Identification Number invalid.
- Data Dictionary will be updated.
- Excel Macro will be updated.

Field Name	Start	End	Length	Type	Opt/Req	Values	Reject Code
Current Account Registration-Maintenance Records (025, 053)							
Custodian Tax Identification Number	754	762	9	A/N	O		0086
New Account Registration-Maintenance Records (025, 053)							
Custodian Tax Identification Number	754	762	9	N	O	If populated, then 9 digits must be provided	0086

3.4 Change the Validation for the existing “Joint Owner SSN Number 1” field.

- The field “Type” will change from alpha/numeric to numeric.
- This field will remain Optional.
- If populated, then 9 digits must be provided.
- Update NSCC Reject Reason Code and Firm-Fund Reject-Exit Code from “0088 – Joint Owner SSN Number missing” to 0088 – Joint Owner SSN Number invalid.
- Data Dictionary will be updated.
- Excel Macro will be updated.

Field Name	Start	End	Length	Type	Opt/Req	Values	Reject Code
Current Account Registration-Maintenance Records (025, 053)							
Joint Owner SSN Number 1	798	806	9	A/N	O		0088
New Account Registration-Maintenance Records (025, 053)							
Joint Owner SSN Number 1	798	806	9	N	O	If populated, then 9 digits must be provided	0088

3.5 Change the Validation for the existing “Beneficiary SSN” field.

- The field “Type” will change from alpha/numeric to numeric.
- This field will remain Optional.
- If populated, then 9 digits must be provided.
- Update NSCC Reject Reason Code and Firm-Fund Reject-Exit Code from “0284 – Beneficiary SSN length invalid” to 0284 – Beneficiary SSN invalid.
- Data Dictionary will be updated.
- Excel Macro will be updated.

Field Name	Start	End	Length	Type	Opt/Req	Values	Reject Code
Current Account Registration-Maintenance Records (025, 053)							
Beneficiary SSN	1024	1032	9	A/N	O		0284
New Account Registration-Maintenance Records (025, 053)							
Beneficiary SSN	1024	1032	9	N	O	If populated, then 9 digits must be provided	0284

3.6 Change the Validation for the existing “Email Address of Record 1” field.

- This field requirement will be changed from Optional-to-Optional Conditional.
 - Required if the Delivery of Fund Notification field is populated to 1 = Email Address.
- Add new NSCC Reject Reason Code and Firm-Fund Reject-Exit Code – 0472 Email Address of Record 1 missing/invalid.
- Data Dictionary will be updated.
- Excel Macro will be updated.

Field Name	Start	End	Length	Type	Opt/Req	Values	Reject Code
Current Account Registration-Maintenance Records (025, 053)							
Email Address of Record 1	1250	1349	100	A/N	O	Special characters are allowed	0258
New Account Registration-Maintenance Records (025, 053)							
Email Address of Record 1	1250	1349	100	A/N	OC	Required if Record Type = (025 - Account Registration) and if the Delivery of Fund Notification field is populated to 1 = Email Address Special characters are allowed	0472

3.7 Change the Validation for the existing “Joint Owner SSN Number 2” field.

- The field “Type” will change from alpha/numeric to numeric.
- This field will remain Optional.
- If populated, then 9 digits must be provided.
- Update NSCC Reject Reason Code and Firm-Fund Reject-Exit Code from “0088 – Joint Owner SSN Number missing” to 0088 – Joint Owner SSN Number invalid.
- Data Dictionary will be updated.
- Excel Macro will be updated.

Field Name	Start	End	Length	Type	Opt/Req	Values	Reject Code
Current Account Registration-Maintenance Records (025, 053)							
Joint Owner SSN Number 2	2621	2629	9	A/N	O		0088
New Account Registration-Maintenance Records (025, 053)							
Joint Owner SSN Number 2	2621	2629	9	N	O	If populated, then 9 digits must be provided	0088

3.8 Change the Validation for the existing “Joint Owner SSN Number 3” field.

- The field “Type” will change from alpha/numeric to numeric.
- This field will remain Optional.
- If populated, then 9 digits must be provided.
- Update NSCC Reject Reason Code and Firm-Fund Reject-Exit Code from “0088 – Joint Owner SSN Number missing” to 0088 – Joint Owner SSN Number invalid.
- Data Dictionary will be updated.
- Excel Macro will be updated.

Field Name	Start	End	Length	Type	Opt/Req	Values	Reject Code
Current Account Registration-Maintenance Records (025, 053)							
Joint Owner SSN Number 3	2673	2681	9	A/N	O		0088
New Account Registration-Maintenance Records (025, 053)							
Joint Owner SSN Number 3	2673	2681	9	N	O	If populated, then 9 digits must be provided	0088

3.9 Change the Validation for the existing “Joint Owner SSN Number 4” field.

- The field “Type” will change from alpha/numeric to numeric.
 - This field will remain Optional.
 - If populated, then 9 digits must be provided.
 - Update NSCC Reject Reason Code and Firm-Fund Reject-Exit Code from “0088 – Joint Owner SSN Number missing” to 0088 – Joint Owner SSN Number invalid.
-
- Data Dictionary will be updated.
 - Excel Macro will be updated.

Field Name	Start	End	Length	Type	Opt/Req	Values	Reject Code	
Current Account Registration-Maintenance Records (025, 053)								
Joint Owner SSN Number 4	2725	2733	9	A/N	O		0088	
New Account Registration-Maintenance Records (025, 053)								
Joint Owner SSN Number 4	2725	2733	9	N	O	If populated, then 9 digits must be provided	0088	

3.10 Change the Validation for the existing “Joint Owner SSN Number 5” field.

- The field “Type” will change from alpha/numeric to numeric.
 - This field will remain Optional.
 - If populated, then 9 digits must be provided.
 - Update NSCC Reject Reason Code and Firm-Fund Reject-Exit Code from “0088 – Joint Owner SSN Number missing” to 0088 – Joint Owner SSN Number invalid.
-
- Data Dictionary will be updated.
 - Excel Macro will be updated.

Field Name	Start	End	Length	Type	Opt/Req	Values	Reject Code	
Current Account Registration-Maintenance Records (025, 053)								
Joint Owner SSN Number 5	2777	2785	9	A/N	O		0088	
New Account Registration-Maintenance Records (025, 053)								
Joint Owner SSN Number 5	2777	2785	9	N	O	If populated, then 9 digits must be provided	0088	

3.11 Change the Validation for the existing “Joint Owner SSN Number 6” field.

- The field “Type” will change from alpha/numeric to numeric.
 - This field will remain Optional.
 - If populated, then 9 digits must be provided.
 - Update NSCC Reject Reason Code and Firm-Fund Reject-Exit Code from “0088 – Joint Owner SSN Number missing” to 0088 – Joint Owner SSN Number invalid.
-
- Data Dictionary will be updated.
 - Excel Macro will be updated.

Field Name	Start	End	Length	Type	Opt/Req	Values	Reject Code
Current Account Registration-Maintenance Records (025, 053)							
Joint Owner SSN Number 6	2829	2837	9	A/N	O		0088
New Account Registration-Maintenance Records (025, 053)							
Joint Owner SSN Number 6	2829	2837	9	N	O	If populated, then 9 digits must be provided	0088

BR-4 Order with Registration Enhancements

Impacted Records

- 011 = Firm Order with Registration
- 012 = Fund Order with Registration
- 043 = Prepaid Firm Order with Registration

4.1 Change the Validation for the existing “Delivery of Fund Notifications” field.

- This requirement will be changed from Required-to-Optional.
- Data Dictionary will be updated.
- Excel Macro will be updated.

Field Name	Start	End	Length	Type	Opt/R eq	Values	Reject Code
Current Order with Registration Records (011, 012, 043)							
Delivery of Fund Notifications	718	718	1	A/N	R	0 = Physical Mail 1 = Email Address	0466
New Order with Registration Records (011, 012, 043)							
Delivery of Fund Notifications	718	718	1	A/N	O	0 = Physical Mail 1 = Email Address	0466

4.2 Change the Validation for the existing “SSN/TIN/EIN Number” field.

- The field ‘Type’ will be changed from alpha/numeric to numeric.
 - This field will remain Optional.
 - If populated, then 9 digits must be provided.
 - Update NSCC Reject Reason Code and Firm-Fund Reject-Exit Code from “0083 – EIN/SSN Number missing” to 0083 – SSN/TIN/EIN Number invalid.
-
- Data Dictionary will be updated.
 - Excel Macro will be updated.

Field Name	Start	End	Length	Type	Opt/R eq	Values	Reject Code
Current Order with Registration Records (011, 012, 043)							
SSN/TIN/EIN Number	775	783	9	A/N	O		0083
New Order with Registration Records (011, 012, 043)							
SSN/TIN/EIN Number	775	783	9	N	O	If populated, then 9 digits must be provided	0083

4.3 Change the Validation for the existing “Custodian Tax Identification Number” field.

- The field ‘Type’ will be changed from alpha/numeric to numeric.
 - This field will remain Optional.
 - If populated, then 9 digits must be provided.
 - Update NSCC Reject Reason Code and Firm-Fund Reject-Exit Code from “0086 - Custodian Tax Identification Number missing” to 0086 - Custodian Tax Identification Number invalid.
-
- Data Dictionary will be updated.
 - Excel Macro will be updated.

Field Name	Start	End	Length	Type	Opt/ Req	Values	Reject Code
Current Order with Registration Records (011, 012, 043)							
Custodian Tax Identification Number	832	840	9	A/N	O		0086
New Order with Registration Records (011, 012, 043)							
Custodian Tax Identification Number	832	840	9	N	O	If populated, then 9 digits must be provided	0086

4.4 Change the Validation for the existing “Joint Owner SSN Number 1” field.

- The field “Type” will change from alpha/numeric to numeric.
- This field will remain Optional.
- If populated, then 9 digits must be provided.
- Update NSCC Reject Reason Code and Firm-Fund Reject-Exit Code from “0088 – Joint Owner SSN Number missing” to 0088 – Joint Owner SSN Number invalid.
- Data Dictionary will be updated.
- Excel Macro will be updated.

Field Name	Start	End	Length	Type	Opt/Req	Values	Reject Code
Current Order with Registration Records (011, 012, 043)							
Joint Owner SSN Number 1	876	884	9	A/N	O		0088
New Order with Registration Records (011, 012, 043)							
Joint Owner SSN Number 1	876	884	9	N	O	If populated, then 9 digits must be provided	0088

4.5 Change the Validation for the existing “Beneficiary SSN” field.

- The field “Type” will change from alpha/numeric to numeric.
- This field will remain Optional.
- If populated, then 9 digits must be provided.
- Update NSCC Reject Reason Code and Firm-Fund Reject-Exit Code from “0284 – Beneficiary SSN length invalid” to 0284 – Beneficiary SSN invalid.
- Data Dictionary will be updated.
- Excel Macro will be updated.

Field Name	Start	End	Length	Type	Opt/Req	Values	Reject Code
Current Order with Registration Records (011, 012, 043)							
Beneficiary SSN	1102	1110	9	A/N	O		0284
New Order with Registration Records (011, 012, 043)							
Beneficiary SSN	1102	1110	9	N	O	If populated, then 9 digits must be provided	0284

4.6 Change the Validation for the existing “Email Address of Record 1” field.

- This field requirement will be changed from Optional-to-Optional Conditional.
 - Required if the Delivery of Fund Notification field is populated to 1 = Email Address.
- Add new NSCC Reject Reason Code and Firm-Fund Reject-Exit Code – 0472 Email Address of Record 1 missing/invalid.
- Data Dictionary will be updated.
- Excel Macro will be updated.

Field Name	Start	End	Length	Type	Opt/Req	Values	Reject Code
Current Order with Registration Records (011, 012, 043)							
Email Address of Record 1	1428	1527	100	A/N	O	Special characters are allowed	0258
New Order with Registration Records (011, 012, 043)							
Email Address of Record 1	1428	1527	100	A/N	OC	Required if the Delivery of Fund Notification field is populated to 1 = Email Address Special characters are allowed	0472

4.7 Change the Validation for the existing “Joint Owner SSN Number 2” field.

- The field “Type” will change from alpha/numeric to numeric.
- This field will remain Optional.
- If populated, then 9 digits must be provided.
- Update NSCC Reject Reason Code and Firm-Fund Reject-Exit Code from “0088 – Joint Owner SSN Number missing” to 0088 – Joint Owner SSN Number invalid.
- Data Dictionary will be updated.
- Excel Macro will be updated.

Field Name	Start	End	Length	Type	Opt/Req	Values	Reject Code
Current Order with Registration Records (011, 012, 043)							
Joint Owner SSN Number 2	2853	2861	9	A/N	O		0088
New Order with Registration Records (011, 012, 043)							
Joint Owner SSN Number 2	2853	2861	9	N	O	If populated, then 9 digits must be provided	0088

4.8 Change the Validation for the existing “Joint Owner SSN Number 3” field.

- The field “Type” will change from alpha/numeric to numeric.
 - This field will remain Optional.
 - If populated, then 9 digits must be provided.
 - Update NSCC Reject Reason Code and Firm-Fund Reject-Exit Code from “0088 – Joint Owner SSN Number missing” to 0088 – Joint Owner SSN Number invalid.
-
- Data Dictionary will be updated.
 - Excel Macro will be updated.

Field Name	Start	End	Length	Type	Opt/Req	Values	Reject Code
Current Order with Registration Records (011, 012, 043)							
Joint Owner SSN Number 3	2905	2913	9	A/N	O		0088
New Order with Registration Records (011, 012, 043)							
Joint Owner SSN Number 3	2905	2913	9	N	O	If populated, then 9 digits must be provided	0088

4.9 Change the Validation for the existing “Joint Owner SSN Number 4” field.

- The field “Type” will change from alpha/numeric to numeric.
 - This field will remain Optional.
 - If populated, then 9 digits must be provided.
 - Update NSCC Reject Reason Code and Firm-Fund Reject-Exit Code from “0088 – Joint Owner SSN Number missing” to 0088 – Joint Owner SSN Number invalid.
-
- Data Dictionary will be updated.
 - Excel Macro will be updated.

Field Name	Start	End	Length	Type	Opt/Req	Values	Reject Code
Current Order with Registration Records (011, 012, 043)							
Joint Owner SSN Number 4	2957	2965	9	A/N	O		0088
New Order with Registration Records (011, 012, 043)							
Joint Owner SSN Number 4	2957	2965	9	N	O	If populated, then 9 digits must be provided	0088

4.10 Change the Validation for the existing “Joint Owner SSN Number 5” field.

- The field “Type” will change from alpha/numeric to numeric.
- This field will remain Optional.
- If populated, then 9 digits must be provided.
- Update NSCC Reject Reason Code and Firm-Fund Reject-Exit Code from “0088 – Joint Owner SSN Number missing” to 0088 – Joint Owner SSN Number invalid.
- Data Dictionary will be updated.
- Excel Macro will be updated.

Field Name	Start	End	Length	Type	Opt/Req	Values	Reject Code
Current Order with Registration Records (011, 012, 043)							
Joint Owner SSN Number 5	3009	3017	9	A/N	O		0088
New Order with Registration Records (011, 012, 043)							
Joint Owner SSN Number 5	3009	3017	9	N	O	If populated, then 9 digits must be provided	0088

4.11 Change the Validation for the existing “Joint Owner SSN Number 6” field.

- The field “Type” will change from alpha/numeric to numeric.
- This field will remain Optional.
- If populated, then 9 digits must be provided.
- Update NSCC Reject Reason Code and Firm-Fund Reject-Exit Code from “0088 – Joint Owner SSN Number missing” to 0088 – Joint Owner SSN Number invalid.
- Data Dictionary will be updated.
- Excel Macro will be updated.

Field Name	Start	End	Length	Type	Opt/Req	Values	Reject Code
Current Order with Registration Records (011, 012, 043)							
Joint Owner SSN Number 6	3061	3069	9	A/N	O		0088
New Order with Registration Records (011, 012, 043)							
Joint Owner SSN Number 6	3061	3069	9	N	O	If populated, then 9 digits must be provided	0088

BR-5 Exchange-Switch Enhancements

Impacted Records

- 015 = Firm Exchange
- 016 = Fund Exchange
- 018 = Fund Confirmation of Exchange

5.1 Change the Validation for the existing “Custodian Tax Identification Number” field.

- The field ‘Type’ will be changed from alpha/numeric to numeric.
- This field will remain Optional.
- If populated, then 9 digits must be provided.
- Update NSCC Reject Reason Code and Firm-Fund Reject-Exit Code from “0086 - Custodian Tax Identification Number missing” to 0086 - Custodian Tax Identification Number invalid.
- Data Dictionary will be updated.
- Excel Macro will be updated.

Field Name	Start	End	Length	Type	Opt/Req	Values	Reject Code
Current Exchange-Switch Records (015, 016, 018)							
Custodian Tax Identification Number	817	825	9	A/N	O		0086
New Exchange-Switch Records (015, 016, 018)							
Custodian Tax Identification Number	817	825	9	N	O	If populated, then 9 digits must be provided	0086

BR-6 Commission Enhancements

Impacted Record

- 051 = Commission

6.1 Rename existing “SSN/TIN Indicator” field.

- The Field will be renamed to “**SSN/TIN/EIN Indicator**”.
- Change NSCC Reject Reason Code and Firm-Fund Reject-Exit Code from “0138 –SSN/TIN Indicator missing/invalid” **to** 0082 – SSN/TIN/EIN Indicator missing/invalid.
- Data Dictionary will be updated.
- Excel Macro will be updated.

Field Name	Start	End	Length	Type	Opt/ Req	Values	Reject Code
Current Commission Record (051)							
SSN/TIN Indicator	253	253	1	A/N	O	0 = Tax Identification# 1 = SSN 2 = Investor TIN/EIN	0138
New Commission Record (051)							
SSN/TIN/EIN Indicator	253	253	1	A/N	O	0 = Tax Identification# 1 = SSN 2 = Investor TIN/EIN	0082

6.2 Rename and Add Validation for the “SSN/TIN Number” field.

- The Field will be renamed to “**SSN/TIN/EIN Number**”.
- The field ‘Type’ will be changed from alpha/numeric to numeric.
- This field will remain Optional.
- If populated, then 9 digits must be provided.
- Update NSCC Reject Reason Code and Firm-Fund Reject-Exit Code from “0083 – EIN/SSN Number missing” to 0083 – SSN/TIN/EIN Number invalid.
- Data Dictionary will be updated.
- Excel Macro will be updated.

Field Name	Start	End	Length	Type	Opt/Req	Values	Reject Code
Current Commission Record (051)							
SSN/TIN Number	254	262	9	A/N	O		0139
New Commission Record (051)							
SSN/TIN/EIN Number	254	262	9	N	O	If populated, then 9 digits must be provided	0083

6.3 Change the Validation for the existing “Custodian Tax Identification Number” field.

- The field ‘Type’ will change from alpha/numeric to numeric.
- This field will remain Optional.
- If populated, then 9 digits must be provided.
- Update NSCC Reject Reason Code and Firm-Fund Reject-Exit Code from “0086 - Custodian Tax Identification Number missing” to 0086 - Custodian Tax Identification Number invalid.
- Data Dictionary will be updated.
- Excel Macro will be updated.

Field Name	Start	End	Length	Type	Opt/Req	Values	Reject Code
Current Commission Records (051)							
Custodian Tax Identification Number	412	420	9	A/N	O		0086
New Commission Records (051)							
Custodian Tax Identification Number	412	420	9	N	O	If populated, then 9 digits must be provided	0086

BR-7 Add Nine (9) New Account Types to the Account Type List

Impacted Records

- 001 = Firm Order
- 002 = Fund Order
- 007 = Confirmation
- 008 = Correction
- 011 = Firm Order with Registration
- 012 = Fund Order with Registration
- 015 = Firm Exchange
- 016 = Fund Exchange
- 018 = Fund Confirmation of Exchange
- 025 = Account Registration
- 032 = Prepaid Firm Order
- 040 = Prepaid Confirmation
- 041 = Prepaid Correction
- 042 = Contract Note
- 043 = Prepaid Firm Order with Registration
- 050 – Activity and Distribution
- 051 = Commission
- 052 = Position
- 053 = Account Maintenance
- 056 – Activity Confirmation

7.1 Add New Account Types to the Account Type List

Account Types
Account Types
54 = Employee
55 = Affiliate
56 = Officer or Director/Trustee
57 = Immediate Family Member of Firm Officer or Director/Trustee
58 = Firm Fund Officer or Director/Trustee
59 = Firm Employee/Firm Officer or Director/Trustee
60 = Firm Employee/Fund Officer or Director/Trustee
61 = Immediate Family Member of Firm Officer or Director/Trustee and Firm Affiliate
62 = Immediate Family Member of Firm Officer or Director/Trustee and Firm Employee

BR-8 New Firm-Fund Reject-Exit Codes and NSCC Reject Reason Codes List

8.1 Add New Reject Codes & Updated Existing Descriptions

- New Reject Codes in **Red**
- Updated descriptions in **Green**
 - Reject Code 0138 – SSN/TIN Number Indicator missing/invalid was removed.
 - Reject Code 0139 – SSN/TIN Number missing/invalid was removed.

Firm-Fund Reject/Exit Codes	
Reject/Exit Codes	New Description
0082	SSN/TIN/EIN Indicator invalid
0083	SSN/TIN/EIN Number invalid
0086	Custodian Tax Identification Number invalid
0088	Joint Owner SSN Number invalid
0270	Side Letter Reference Number invalid
0271	LOI Number invalid
0284	Beneficiary SSN invalid
0408	Fulfilled Commitment Amount missing/invalid
0409	Remaining Commitment Amount missing/invalid
0470	Call Event Beginning Remaining Commitment Amount missing/invalid
0471	Call Event - Ending Remaining Commitment Amount missing/invalid
0472	Email Address of Record 1 missing/invalid
0626	Pending Investment Value invalid

NSCC Reject Reason Codes	
Reject Code	New Description
0082	SSN/TIN/EIN Indicator invalid
0083	SSN/TIN/EIN Number invalid
0086	Custodian Tax Identification Number invalid
0088	Joint Owner SSN Number invalid
0270	Side Letter Reference Number invalid
0271	LOI Number invalid
0284	Beneficiary SSN invalid
0408	Fulfilled Commitment Amount missing/invalid
0409	Remaining Commitment Amount missing/invalid
0470	Call Event Beginning Remaining Commitment Amount missing/invalid
0471	Call Event - Ending Remaining Commitment Amount missing/invalid
0472	Email Address of Record 1 missing/invalid
0626	Pending Investment Value invalid