

U S E R
G U I D E

***Standardized
Data Reporting
Technical Overview
and
Sample Scenarios***

Revised: July 5, 2011



DTCC

*The Depository Trust &
Clearing Corporation*

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Recent Updates: July 5, 2011

Updated to coordinate with SDR changes effective October, 2011

Recent Updates: May 3, 2007

Updated for Insurance Company Processing and other modifications.

Recent Updates: June 9, 2006

Added "Select Validation Rules"

Added additional values to Partial Response Indicator and Transaction Type

Effective Date: August 7, 2006

Please see Important Notice # A6213 P&S# 5783

Dated March 8, 2006

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Preface

This document is one of two documents available as part of the Standardized Data Reporting User Guide. This document includes examples of data request and response scenarios, providing samples of data records and fields used in the process. It also provides field definitions and syntax that govern the structure and format of the files.

The other document provides best practices on various issues identified by the Investment Company Institute's Best Practices Taskforce, as well as terminology that needed clarification and consensus as a prerequisite to establishing the best practices.

Items covered in the "Best Practices" document include:

- Best Practices
- Naming Conventions and Terminology
- Working Assumptions

Business Processing

The business process and interaction between the funds and intermediaries vary based on the situation. Intermediaries are also referred to as "Firms" and a Fund's CUSIP is also referred to as "Security Issue ID" in the context of the NSCC SDR functionality and documentation. Funds are expected to provide all the necessary information for the intermediaries to retrieve the underlying shareholder's information. This results in detailed data being returned by the intermediary to the fund.

In cases where a super omnibus account is involved, summary data will first be provided by the firm to the fund. The fund is provided with high-level data regarding the plans or investor omnibus accounts that are combined into the super omnibus account. The fund is then able to use the additional data from the Summary to send a more specific inquiry request (e.g., using a plan ID to limit the inquiry to the shareholders in that particular plan.)

If the fund already has the specific data that can be provided and linked to the individual shareholders, the "Summary" request and response process is not needed. An initial request that contains enough detailed information is always answered by the firm with a response containing shareholder trading information, even on a super omnibus account.

Inquiry Request Data

Data on the shareholder's trading activity may be sent by the firm to the fund on an ad-hoc or daily scheduled basis. Regularly scheduled files (e.g., ongoing daily files) should be requested manually by the fund from the firm. The response files from the firm, whether they are as a result of a request done manually or through NSCC, may be sent through SDR.

SDR also allows the funds to make data requests from the firm. Various types of requests are used through NSCC, including:

Data Request Types

- Fund Account Level
- Plan Level
- Investor Omnibus Account Level
- Fund/SERV Control Number Request
- Rep Level
- Stop Recurring

The format for the fund request input file/message will be the same for all request types, but different data is necessary based on the requests. Each request type indicates the additional data field used to refine the queries for the firm to extract data, accordingly. Additional search criteria may also be included to refine requests, such as threshold amount, CUSIP/Security Issue ID, and transaction type.

Note: when using a threshold amount, only transactions with currency amounts greater than or equal to the threshold amount will be included in the response data.

Rep Level information is generally not maintained on insurance company and may result in a reject if requested, using SDR Reject Code 76 – Rep Level Request Not Supported.

Other data fields provide additional instructions that customize the request and the resulting response data. For example, since Category 1 transaction information is the assumed default search parameter, funds may use the “Includes Category 2 Transactions” field to indicate that it is requesting both Category 1 and Category 2 transactions. Other fields that modify the search parameters include from/to dates, transaction types, and threshold amounts.

The data that is actually provided on the request is the ultimate driver of the type or level of the request. For example, a fund account level request that also contains SSN info will result in shareholder level information rather than fund account level information.

Acknowledgment Data

The initial response from the firm to the fund is an Acknowledgment record. The Acknowledgment is a proactive indication from the firm that it has received the request from the fund and will also turn off the NSCC SDR Reminder record.

NSCC Reject Data

NSCC performs preliminary validations of SDR requests received from funds and of SDR responses provided by firms. Files or records that do not pass the NSCC validation are returned to the submitter with the appropriate reject code.

Note that a set of response records may be partially rejected. For example, a response may contain ten detail records and one of those records may not pass validation. NSCC rejects the single record, and returns it to the firm along with an NSCC-generated header and trailer to complement the rejected record.

Firm Reject Data

Firms may also reject the fund's data request but use the Reject record to do so. An appropriate reject code must be provided. Situations may arise where firms acknowledge an SDR request, and later learn that the request cannot be fulfilled. In this instance, firms should submit a Reject record with the appropriate reason code for the previously acknowledged SDR request. A full listing of reject codes can be found on the NSCC's website:

http://www.dtcc.com/products/wealthmgmt/members/downloads/SDR_RejectCodes.pdf

Response Data

There are various levels of information in super omnibus accounts. For example, a super omnibus account, identified by a fund account number or intermediary account number (BIN) (fund account

level), may contain assets from multiple retirement plans (plan level), and in turn, each plan contains multiple participants or underlying shareholders.

Due to this complexity, the activity and corresponding data related to these accounts is significant. In order to control the volume of data that could potentially be extracted and sent to the fund for these super omnibus accounts, it is important to retrieve data at a summary level (fund account level request).

When a request is submitted against a super omnibus account, it is expected that summary data will be returned by the firm to the fund for plans or investor omnibus accounts that are contained within the super omnibus account. Detailed information may also be sent for individual shareholder accounts that are a part of the super omnibus account.

The summary data provides sufficient information to help the funds identify specific plans or investor omnibus accounts where trading is occurring frequently. The fund would then be able to request data at a plan level or investor omnibus account level, and obtain detailed information about the underlying participants/shareholders.

Detail response data is expected to be provided on shareholders when a request is made against specific plans, investor omnibus accounts, or individuals specified by the SSN.

NSCC Reminders

NSCC SDR Reminders are records that notify the fund, the firm, and possibly other related parties that an appropriate response has not been made to an SDR Request. NSCC sends a Reminder record for Requests with SDR Control Numbers that have not been acted upon with an Acknowledgment record or a Reject record. Only Acknowledgment or Reject record responses can turn off Reminders. **Detail or Summary records do not turn off Reminders.**

Reminders will be sent for a period of 10 processing days (including Saturday) from the original date on which the SDR Control Number is stored on the NSCC database. After this timeframe, the SDR Control Numbers will be deleted from the system.

The first Reminder is sent on the first business day after the submission date of the SDR Request, and is sent via the last cycle of the day (M-F, 4pm ET; Sat, 3pm, ET.) Reminders are sent with the Autoroute Output file within the SDR Request record stream. Within this stream, firms receive Request records plus Reminders, and funds receive NSCC Request Rejects plus Reminders.

Systems Interface

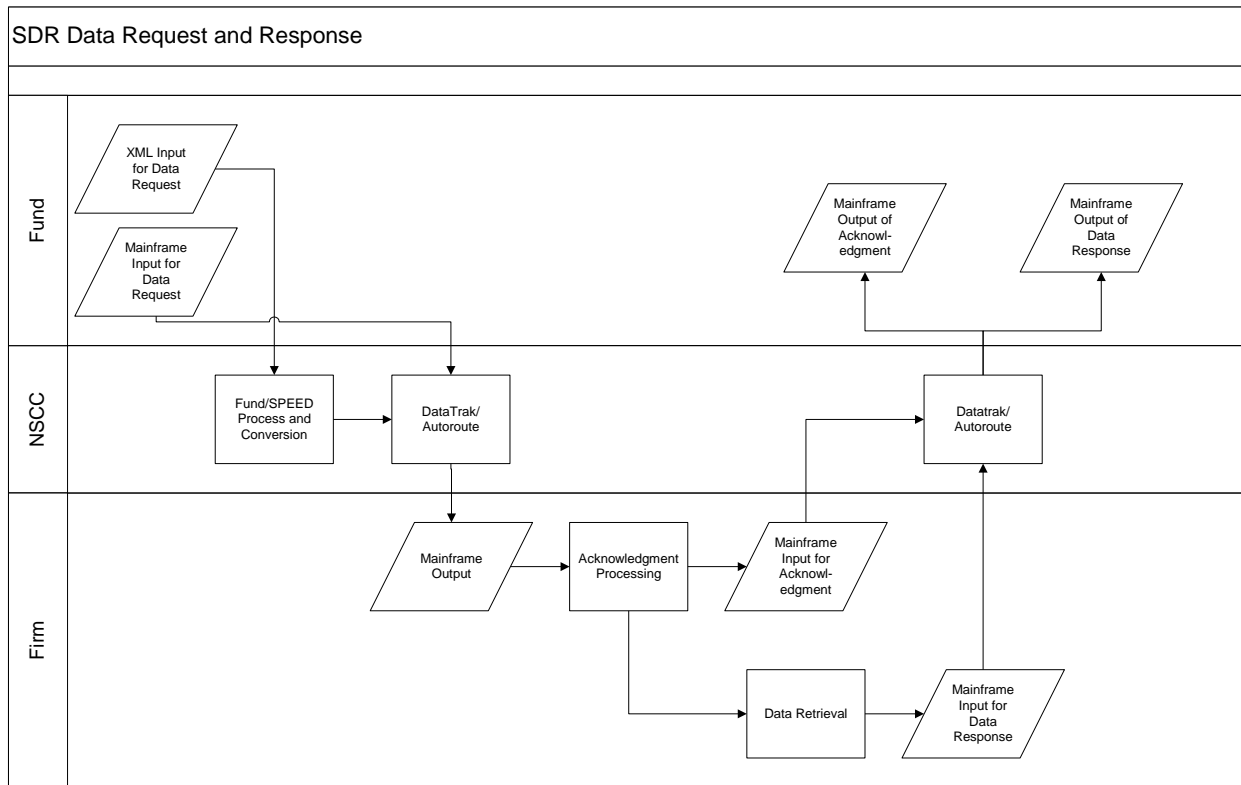
Two different interfaces are used to support this enhancement. HTTPS protocol is used for web input and output using the DTCC WebDirect, and FTP/NDM are used for input and output of flat files over the DTCC SMART Network.

Datatrak and Autoroute Schedule

Data files for this functionality are assigned Datatrak SYSIDs and Autoroute numbers. This information is available at www.DTCC.com under Wealth Management Services/Participant Section/File Transmission Schedules. Reference the Networking file. All SDR transmission information is available, including the participant service (testing) environment:

http://www.dtcc.com/products/wealthmgmt/members/transmission_schedules.php

Processing Flow



Process Flow using ftp (batch) on data request input/output and response input/output

1. Fund sends a data request to NSCC during the acceptable input timeframe.
2. NSCC does a preliminary validation, which will result in accepted or rejected records.
3. NSCC stages the records to the appropriate destination and output files.
4. At the appropriate output time, NSCC sends rejects back to the fund and accepted records to the intermediaries. (Other records may also be sent to the intermediaries and funds as part of the output file.)
5. The intermediary will take the data request records and may run some preliminary validation, which will result in accepted or rejected records.
6. If intermediary rejects, then the reject record will be submitted to NSCC during the input timeframe. NSCC will pass back to the fund in the output file.

7. If intermediary accepts, then it will process the request. The first step is for the intermediary to prepare and submit an Acknowledgment to NSCC during the appropriate input timeframe. NSCC will pass to the fund in the output file.
8. The process to retrieve the data may take some time and may result in a reject or a response with data.
9. The intermediary will respond with a data response. Or, if after querying its systems the intermediary identifies an issue with the data request, the intermediary will send reject records with the applicable reject code to NSCC.
10. NSCC does a preliminary validation, which will result in accepted or rejected records.
11. At the appropriate output time, NSCC sends rejects back to the intermediary and accepted data records to the funds. (Other records may also be sent to the intermediaries and funds as part of the output file.)

NSCC will modify the trailer record being sent to the fund to include the number of accepted and rejected Summary/Detail records. This will allow the fund to know whether they received a complete set of data for their data request.

12. NSCC will send SDR Reminders each day for a period of 10 processing days as long as an SDR Request Control Number has not been acted upon with an Acknowledgment or Reject record. Detail or Summary records do not turn off Reminders. After 10 processing days, a Reminder is no longer sent. Acknowledgement, Reject, and Detail/Summary Response records may still be sent even after the Reminders are discontinued.

Process flow over HTTPS using DTCC WebDirect

1. Fund can upload MRO file using DTCC WebDirect Upload function.
2. NSCC does a preliminary validation.
3. NSCC will make the processed file available for download via the DTCC WEBDIRECT

List of SDR File Record Types

Below is a listing of SDR Record Types:

Record Type	Submitted By
Record Type 20 = SDR Request	Fund (F)
Record Type 21 = SDR Header	Firm (B), Underlying Firm (U)
Record Type 22 = SDR Acknowledgment	Firm (B), Underlying Firm (U)
Record Type 23 = SDR Reject	Firm (B), Underlying Firm (U)
Record Type 24 = SDR Detail	Firm (B), Underlying Firm (U)
Record Type 25 = SDR Summary	Firm (B), Underlying Firm (U)
Record Type 27 = SDR Trailer	Firm (B), Underlying Firm (U)
Record Type 28 = SDR Reminder	NSCC (N)
Record Type 29 = SDR Grand Total Trailer	B, U, and F

Other records used for the SDR process include:

Record Type	Submitted By
Datatrak Header	All
Datatrak Trailer	All
Autoroute Header	All
NSCC Output Header	NSCC

SDR Request Data File Structure

Provided below is the standard format and structure for the **SDR Request** Input/Output Data file. The examples include input from the Fund to NSCC, output from NSCC to the Firm, and output from NSCC to the Fund. Output may include Reminders to both Fund and Firm.

Record Structure for Request Record (Input)

The following is the standard format and structure for the SDR Request Input Data file that is sent from the Fund to NSCC.

Datatrak Header	Datatrak Header
Record type '20'	Request 1
Record type '20'	
Record type '20'	Request 2
Record type '20'	Request 3
Record type '20'	Request n-1
Record type '20'	Request n
Record type '29'	Grand Total Trailer
Datatrak Trailer	Datatrak Trailer

Record Structure for Request (Output to Firm)

The following is the standard format and structure for the SDR Request Output Data file that is sent from NSCC to the Firm.

Autoroute Header	Autoroute Header
NSCC Output Header	NSCC Output Header
Record type '20'	Request 1
Record type '20'	
Record type '20'	Request 2
Record type '20'	Request n-1
Record type '20'	Request n
Record type N'28'	Reminder 1
Record type N'28'	Reminder n
Record type '29'	Grand Total Trailer

Record Structure for Request (Output to Fund)

The following is the standard format and structure for the SDR Request Output Data file that is sent from NSCC to the Fund.

Autoroute Header	Autoroute Header
NSCC Output Header	NSCC Output Header
NSCC Reject of Record type '20'	NSCC Reject 1
NSCC Reject of Record type '20'	
NSCC Reject of Record type '20'	NSCC Reject n
Record type N'28'	Reminder 1
Record type N'28'	Reminder n
Record type '29'	Grand Total Trailer

SDR Response Data File Structure

The standard format and structure of the SDR Response Data file may be used through NSCC or through other means of communication between funds and firms.

The SDR Data "Response" (Acknowledgment, Firm Reject, Detail, Summary) Input/Output file on mainframe has "**groups**" of records that contain a header, detail records, and a trailer. Each group represents an account at the fund for a particular firm within a particular Security Issue ID. Each detail represents transactions for a specific shareholder/participant (SSN) within a specific plan/investor omnibus account (if applicable).

Summary records apply to super omnibus accounts and may be used within the header/trailer group instead of detail records. Each summary record represents a single plan or investor omnibus account within the super omnibus account. This record contains summary level information that helps the funds identify specific plans or investor omnibus accounts where trading is occurring frequently.

The Input file may contain a variety of records including Acknowledgment, Firm Rejects, Details, and Summaries, and are placed into groups that are identified through a separate Application Header and Trailer. The output file to the Fund contains these records that have not been rejected by NSCC. The output file to the Firm contains the records that have been rejected by NSCC.

Following is the standard format and structure for the SDR Response Input Data file that is sent from the firm to the fund.

Record Structure for Detail Information Only (Input)

Record type '21'	Header Group
Record type '24'	Detail 1
Record type '24'	Detail 2
Record type '24'	Detail n-1
Record type '24'	Detail n
Record type '27'	Trailer Group

Record Structure for Summary Information Only (Input)

Record type '21'	Header Group
Record type '25'	Summary 1
Record type '25'	Summary 2
Record type '25'	Summary 3
Record type '25'	Summary n-1
Record type '25'	Summary n
Record type '27'	Trailer Group

Record Structure for Both Detail and Summary Information (Input)

Record type '21'	Header Group
Record type '24'	Detail 1
Record type '24'	Detail 2
Record type '24'	Detail n-1
Record type '24'	Detail n
Record type '25'	Summary 1
Record type '25'	Summary 2
Record type '25'	Summary 3
Record type '25'	Summary n-1
Record type '25'	Summary n
Record type '27'	Trailer Group

Record Structure for a Variety of Responses (Input)

Datatrak Header		Datatrak Header	
Record type '21'	Header Group 1		
Record type '22'	Acknowledgment 1		
Record type '27'	Trailer Group 1		
Record type '21'	Header Group 2		
Record type '22'	Acknowledgment 2		
Record type '27'	Trailer Group 2		
Record type '21'	Header Group 3		
Record type '23'	Firm Reject 1		
Record type '27'	Trailer Group 3		
Record type '21'	Header Group 4		
Record type '24'	Detail 1		
Record type '24'	Detail 2		
Record type '24'	Detail n-1		
Record type '24'	Detail n		
Record type '27'	Trailer Group 4		
Record type '21'	Header Group 5		
Record type '25'	Summary 1		
Record type '25'	Summary 2		
Record type '25'	Summary 3		
Record type '25'	Summary n-1		
Record type '25'	Summary n		
Record type '27'	Trailer Group 5		

Record type '21'	Header Group 6
Record type '24'	Detail 1
Record type '24'	Detail 2
Record type '24'	Detail n-1
Record type '24'	Detail n
Record type '25'	Summary 1
Record type '25'	Summary 2
Record type '25'	Summary 3
Record type '25'	Summary n-1
Record type '25'	Summary n
Record type '27'	Trailer Group 6
Record type '29'	Grand Total Trailer

Datatrak Trailer	Datatrak Trailer
-------------------------	-------------------------

Record Structure for a Variety of Responses (Output to Fund)

Following is the standard format and structure for the SDR "Response" (Acknowledgment, Firm Reject, Detail, Summary) Output Data file that is sent from the NSCC to the fund.

Autoroute Header	Autoroute Header
NSCC Output Header	NSCC Output Header

Record type '21'	Header Group 1
Record type '22'	Acknowledgment 1
Record type '27'	Trailer Group 1

Record type '21'	Header Group 2
Record type '22'	Acknowledgment 2
Record type '27'	Trailer Group 2

Record type '21'	Header Group 3
Record type '23'	Firm Reject 1
Record type '27'	Trailer Group 3

Record type '21'	Header Group 4
Record type '24'	Detail 1
Record type '24'	Detail 2
Record type '24'	Detail n-1
Record type '24'	Detail n
Record type '27'	Trailer Group 4

Record type '21'	Header Group 5
Record type '25'	Summary 1
Record type '25'	Summary 2
Record type '25'	Summary 3
Record type '25'	Summary n-1
Record type '25'	Summary n
Record type '27'	Trailer Group 5

Record type '21'	Header Group 6
Record type '24'	Detail 1
Record type '24'	Detail 2
Record type '24'	Detail n-1
Record type '24'	Detail n
Record type '25'	Summary 1
Record type '25'	Summary 2
Record type '25'	Summary 3
Record type '25'	Summary n-1
Record type '25'	Summary n
Record type '27'	Trailer Group 6
Record type '29'	Grand Total Trailer

Record Structure for a Variety of Responses (Output to Firm)

Following is the standard format and structure for the SDR "Response" (Acknowledgment, Firm Reject, Detail, Summary) Output Data file that is sent from the NSCC to the firm.

Autoroute Header	Autoroute Header
NSCC Output Header	NSCC Output Header

NSCC Reject of Record type '21'	Header Group 1
NSCC Reject of Record type '22'	Acknowledgment 1
NSCC Reject of Record type '27'	Trailer Group 1

NSCC Reject of Record type '21'	Header Group 2
NSCC Reject of Record type '22'	Acknowledgment 2
NSCC Reject of Record type '27'	Trailer Group 2

NSCC Reject of Record type '21'	Header Group 3
NSCC Reject of Record type '23'	Firm Reject 1
NSCC Reject of Record type '27'	Trailer Group 3

NSCC Reject of Record type '21'	Header Group 4
NSCC Reject of Record type '24'	Detail 1
NSCC Reject of Record type '24'	Detail 2
NSCC Reject of Record type '24'	Detail n-1
NSCC Reject of Record type '24'	Detail n
NSCC Reject of Record type '27'	Trailer Group 4

NSCC Reject of Record type '21'	Header Group 5
NSCC Reject of Record type '25'	Summary 1
NSCC Reject of Record type '25'	Summary 2
NSCC Reject of Record type '25'	Summary 3
NSCC Reject of Record type '25'	Summary n-1
NSCC Reject of Record type '25'	Summary n
NSCC Reject of Record type '27'	Trailer Group 5

NSCC Reject of Record type '21'	Header Group 6
NSCC Reject of Record type '24'	Detail 1
NSCC Reject of Record type '24'	Detail 2
NSCC Reject of Record type '24'	Detail n-1
NSCC Reject of Record type '24'	Detail n
NSCC Reject of Record type '25'	Summary 1
NSCC Reject of Record type '25'	Summary 2
NSCC Reject of Record type '25'	Summary 3
NSCC Reject of Record type '25'	Summary n-1
NSCC Reject of Record type '25'	Summary n
NSCC Reject of Record type '27'	Trailer Group 6

Record type '29'	Grand Total Trailer
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1. An error in format within the Header or Trailer results in an NSCC reject for all records from the header to the trailer (including header and trailer).
2. Trailers may be used by Participants to validate the number of records; **however, NSCC does NOT reject "group" records if the respective trailer information does not match the actual records submitted. NSCC only rejects for invalid format and syntax. See also "Header and Trailer Validation."**
3. **NSCC modifies the trailer record being sent to the fund to include the number of accepted and rejected summary/detail records. This allows the fund to know whether they received a complete set of data for their data request.**

NSCC Data and File Sorting

NSCC does not require nor validate any particular sorting order on the input files submitted to NSCC. However, NSCC does sort the output to the recipients based on the following criteria:

1. Recipient Number
2. Recipient Type
3. Security Issue ID
4. SDR Control Number
5. Record Type within a group (i.e., within a header and trailer group)

Guidelines for User Search Criteria and Data Sorting

The criteria and sorting order that is used by the firms in performing the search on their systems is shown below. This same order should be used to submit the information to NSCC. **This is only a guideline and is not enforced by NSCC. See above, for NSCC Sorting.**

1. Fund/Security Issue ID

2. Account Identifier – The lowest level account identified from the following fields are to be used.

- Fund Account Number or Firm Account Number
- Plan ID or Investor Omnibus Account Number
- SSN/TIN

For example, if a fund account number is provided and represents a super omnibus account number, and a Plan ID is also provided, then the Plan ID within the position is used. Only the participant level transactions for that Plan ID is provided.

Another example is when a fund account number is provided and represents a Plan and an SSN representing a participant or contract holder is also provided. In this example, the SSN within the Plan is used and only the activity for the single participant is provided.

3. NAV Date or Trade Date

The date on which a net asset value for a mutual fund security is calculated. Some systems do not contain a NAV date field. The process date or trade date is equal to NAV date.

4. Transaction Type

The query on the firm's systems should result in Summary data or Detail data sorted with the following sample structure:

Firm/Fund/Security Issue ID

Super Omnibus Fund Account Number/Plan ID or Investor Omnibus Account Number

SSN/TIN (Shareholder 1)

Trade Date 1

Trans Type (Buy)

Trans Type (Sell)

...

Trade Date 2

Trans Type (Buy)

Trans Type (Sell)

SSN/TIN (Shareholder 2)

Trade Date 1

Trans Type (Buy)

Trans Type (Sell)

...

Trade Date 2

Trans Type (Buy)

Trans Type (Sell)

Field Definitions

SDR INQUIRY REQUEST DATA (SENT BY FUNDS TO FIRMS)

The format for the fund request input file/message is the same for all requests, but different data is necessary based on the requests. The request types indicate which additional data field is used to refine the queries that the firm runs on their database to extract data. Additional search criteria may also be included such as threshold amount, Security Issue ID, and transaction type.

The data that may be found on the request include:

Inquiry Request Data Definitions

Data Elements	Definitions/Comments
SDR Control Number	<p>Algorithm = ppppyjjjnnnnnnn</p> <p>pppp = Fund's Participant Number</p> <p>y = Last digit of year</p> <p>jjj = Julian Date</p> <p>nnnnnn = Unique sequential number assigned by fund</p>
Request Type	<p>Required. Identifies the request or response type with the corresponding data.</p> <p>01 = Fund Account Level</p> <p>02 = Plan Level</p> <p>03 = Investor Omnibus Account Level</p> <p>04 = Fund/SERV Control Number Request</p> <p>05 = Rep Level</p> <p>06 = Stop Recurring</p>
Fund Number	4 A/N. Required. Requesting Fund's NSCC Participant Number.
Firm Number	4 A/N. Required. Target Firm's NSCC Participant Number.
Underlying Firm	<p>4 A/N. Optional.</p> <p>The Firm Number field above may be a first-tier intermediary and the Underlying Firm would then be the second-tier intermediary;</p> <p>OR</p> <p>The Firm Number may be a Service Provider's NSCC Participant Number, and the Underlying Firm would be the first or second-tier intermediary's ID number (that is using a service provider for the purpose of supporting the SDR functionality.)</p> <p>The underlying Firm's number may be the NSCC member or DSO number, the OTC symbol, or the "UFS Number (Underlying Firm Symbol), " see Underlying Firm Indicator</p>

Data Elements	Definitions/Comments
Underlying Firm Indicator	<p>Optional/Conditional. Required when Underlying Firm is provided.</p> <p>May be used to qualify the underlying firm identifier that is being used in the field above.</p> <p>01 = NSCC Number 02 = OTC Symbol 03 = UFS Number</p>
Security Issue ID	<p>9 A/N. Required. Requesting fund's Security Issue ID number. Will be used to retrieve data for a specific Security Issue ID.</p>
Recurring Indicator	<p>Optional. May be used to request daily data to be sent on an ongoing basis.</p> <p>0 = No 1 = Yes</p> <p>"No" or a space means a one-time request.</p> <p>"Yes" means daily data is to be sent indefinitely until a "Stop Recurring" request type is sent.</p> <p>Note that the "From Date" should be the current date; however, the firm processes the request as a recurring request beginning on the date that it receives the request.</p>

The account identifiers tell the firm how to find the account in question. The identifiers include fund account number, firm account number, plan ID, investor omnibus account number, and SSN/TIN.

At minimum, the firm or fund account number is required, but all account identifiers may be provided. When multiple fields are provided, the firm should identify the lowest level identifier and provide only that particular level's data.

For example, if a fund account number is provided and represents a super omnibus account number, and a Plan ID is also provided, then the Plan ID within that particular position is used. Only the participant level transactions for that particular Plan ID are provided.

Another example is when a fund account number is provided and represents a Plan, and an SSN representing a participant is also provided, then the SSN is used. Only the activity for that single participant within the designated plan is provided.

The identifiers are used in the following manner:

- **Super omnibus accounts are identified only by fund/firm account number.**
- **Plan accounts are identified only by fund/firm account number or by plan ID.**
- **Investor Omnibus Accounts are identified only by fund/firm account number or by investor omnibus account number.**
- **Participants, shareholders or contractholders are identified by SSN/TIN and Customer Level Account Number.**

Fund Account Number	20 A/N. Optional/Conditional. Required if Firm Account Number is not provided. Refers to the account number that is set up by the fund. Fund account numbers should provide only the core account number, and should not include the fund number. The fund number should be derived from the Security Issue ID, similar to the numbers used on Fund/SERV.
Firm Account Number (e.g., BIN)	20 A/N. Optional/Conditional. Required if Fund Account Number is not provided. Refers to the account number that is set up by the firm.
Plan ID Should be provided to go to a Plan Level.	20 A/N. Optional/Conditional. Optional unless the SDR request type is 02 (Plan Level) or 03 (Investor Omnibus Account Level); if so, they (one or the other) become required. May be used to retrieve data only for a specific plan. Defined as the retirement Plan's ID as assigned by the recordkeeper.
Investor Omnibus Account Number Should be provided to go to an Investor Omnibus Account Level.	20 A/N. Optional/Conditional. Optional unless the SDR request type is 02 (Plan Level) or 03 (Investor Omnibus Account Level), if so, they (one or the other) become required. May be used to retrieve data only for a specific investor omnibus account.

SSN/TIN Should be provided to go to a specific Participant Level.	9 N. Optional. Defines the social security number or tax identification number of the underlying shareholder.
From Date	mm/dd/ccyy. Required. Current date or earlier date parameter for requested data. Defined as the NAV date. Should be current date for recurring request. Future-dated requests are not allowed; however, NSCC does not validate the date field. See also Recurring Indicator.
To Date	mm/dd/ccyy. Optional. Later date parameter for requested data. Defined as the NAV date.
Transaction Type	Optional. May be used to retrieve data only for a specific transaction type. Defines the transaction that the underlying shareholder has requested on the account. The transaction types are limited to: 01 = Buy 02 = Sell Transactions are assumed to be Category 1 transaction types as defined earlier in this paper, unless otherwise specified. See "Category 1 and Category 2 Transactions" in SDR User Guide Best Practices document. Space means that the query is for all available transactions, which would include transfers.
Threshold Amount	999,999,999. Optional. May be used to retrieve data only with a minimum net money amount. Generally defined as gross but recordkeepers may only be storing net amounts.
Includes Category 2 Transactions (Y/N)	Optional. May be used to retrieve both Category 1 and Category 2 data. "0" is requesting the Category 1 transactions only (default) and "1" is requesting all transactions (i.e., both Category 1 and Category 2 transactions). 0 = No 1 = Yes Category 2 transactions may only be retrieved along with Category 1 transactions. Category 2 transactions cannot be requested separately. SPACE is considered 0 = No. If YES, then Category 2 transactions are <u>also</u> provided by the firm (i.e., along with Category 1 transactions).

Registered Representative (RR) Number	9 A/N. Optional/Conditional. Required when Request Type is 5 = Rep Level. Refers to the Registered Rep's number. Equivalent to the number that would be sent via Fund/SERV.
RR Branch	9 A/N. Optional. Branch ID to which the RR is associated.
RR Firm (Not Clearing/Correspondent Relationship)	8 A/N. Optional. The ID number of dealer to which the RR is associated. This field should not be used for the correspondent in a clearing firm relationship. Should not be used if the same as Firm Number, see above.
Fund/SERV Control Number	15 A/N. Optional. May be used to retrieve data only for a specific Fund/SERV Control Number.
Original SDR Control Number	Optional. May be used for a stop of a recurring request. May also be used in the future in situations where original SDR control number is needed. Algorithm = ppppyjjnnnnnn pppp = Fund's Participant Number y = Last digit of year jjj = Julian Date nnnnnn = Unique sequential number assigned by fund

SDR ACKNOWLEDGMENT DATA

The Acknowledgment is the initial response from the firm to the fund. The acknowledgment is a proactive indication from the firm that it has received the request from the fund, and is considered the point on which firm response time to requests is based. The Acknowledgment may also be used by the firm to indicate the approximate amount of time that it takes to generate a data response back to the fund. It contains a number of fields that are specific to the record and are described below.

Data Elements	Definitions/Comments
Acknowledgment Indicator	Required. 0 = Response will be Provided 1 = Request will be Forwarded to the Underlying Firm
Anticipated Response Date	mmddccyy. Optional. Provides the date on which the firm anticipates that the response data will be provided to the fund.

Data Elements	Definitions/Comments
Anticipated Response File Frequency	Optional. Indicates whether the firm provides the data response in a single complete file or in multiple partial files, if it can be determined. 01 = Full Response 02 = Partial Response
Underlying Firm	4 A/N. Optional. Provides the underlying firm that may be involved in providing requested data.

SDR RESPONSE DATA (SENT BY FIRMS TO FUNDS)

Firms provide summary data when a request is submitted against a super omnibus account. Detailed information may also be sent for individual shareholder accounts that are a part of the super omnibus account. Detail response data is expected to be provided on shareholders when a request is made against specific plans, investor omnibus accounts, or individuals specified by the SSN.

The grid below, **Response Data Definitions**, shows data that may be sent by the firm to the fund through NSCC. Files sent on a regular daily schedule are requested manually by the fund, but may be sent using SDR.

Note: This grid does not provide data elements for summary data. A separate list of data is provided for the Summary.

The summary data provides sufficient information to help the funds identify specific plans or investor omnibus accounts where trading is occurring frequently. The fund would then be able to request data at a plan level or investor omnibus account level, and obtain detailed information about the underlying participants/shareholders.

Response Data Definitions

Data Elements	Definitions/Comments
<i>This is the high level data that identifies the request from the fund (SDR Control Number) and the account to which the data belongs. For retirement accounts, multiple plans and/or participants may exist under a single account.</i>	
SDR Control Number	Required. This is the control number assigned by the fund. See SDR Control Number in Request Data Definitions. Or, this is the same as the SDR Response Number, see below, for a

Data Elements	Definitions/Comments
	response provided against a request made outside of NSCC.
SDR Response Number	<p>Required.</p> <p>Algorithm = ppppyjjnnnnnnn</p> <p>pppp = Firm's Participant Number y = Last digit of year jjj = Julian Date nnnnnn = Unique sequential number assigned by firm</p> <p>Used to identify the SDR response, either to an SDR request via NSCC or a request done ex-NSCC.</p>
Response Type	<p>Required. Immediately identifies the level of data.</p> <p>01= Summary Level 02 = Detail Level 03 = Both Summary and Detail</p> <p>The record layout field also includes the following to identify acknowledgments and rejects.</p> <p>04 = Acknowledgment 05 = Firm Reject</p>
Fund Number	4 A/N. Required. Fund's NSCC Participant Number.
Firm Number	4 A/N. Required. Firm's NSCC Participant Number.
Underlying Firm	<p>4 A/N. Optional.</p> <p>The Firm Number field above may be a first-tier intermediary and the underlying firm would then be the second-tier intermediary;</p> <p>OR</p> <p>The Firm Number may be a service provider's NSCC Participant Number, and the Underlying Firm would be the first or second-tier intermediary's ID number (that is using a service provider for the purpose of supporting the SDR functionality.)</p> <p>The underlying firm's number may be the NSCC member or DSO number, the OTC symbol, or the "UFS Number". See Underlying Firm Indicator.</p>
Underlying Firm Indicator	<p>Optional/Conditional. Required when Underlying Firm is provided.</p> <p>May be used to qualify the underlying firm identifier that is being used in the field above.</p>

Data Elements	Definitions/Comments
	01 = NSCC Number 02 = OTC Symbol 03 = UFS Number (Standard number for trusts and recordkeepers. Assigned and maintained by the NSCC. The list of intermediaries and UFS identifiers are available at: http://www.dtcc.com/products/wealthmgmt/members/ufs.php
Fund Account Number	20 A/N. Optional/Conditional. Required if Firm Account Number is not provided. Refers to the account number that is set up by the fund.
Firm Account Number (e.g., BIN)	20 A/N. Optional/Conditional. Required if Fund Account Number is not provided. Refers to the account number that is set up by the firm.
Security Issue ID (From/Sell Side on Exchange)	9 A/N. Required.
Partial Response Indicator	Optional. Used to identify whether the file provides complete information for a data request. 0 = Full Response/Final Response 1 = Partial Response 2 = Incomplete Response/Final Response Space will be considered 0 = Full Response. 0 = Full/Final Response means the file is a full response to a request, or the last of multiple files that have been previously sent. The multiple files will come when firms respond to a request with large data by sending multiple files. 1 = Partial Response means there will be additional files to come. May be used for a recurring file. 2 = Incomplete response means the firm has provided some information but it cannot provide a complete response to satisfy the request. Note: responses to recurring requests are not followed by a "final response" indicator because the firm would stop sending the data. The firm is not able to know that a file is final until they receive a Stop Recurring request from the fund.

Data Elements	Definitions/Comments
<p><i>This is the transaction activity data, which is generally sorted at the highest account level (e.g., Plan ID), then at the participant level (e.g., SSN/TIN), then trade date (if multiple are requested), and finally by transaction type. This record is repeated for each of the sort criteria (e.g., Plan ID), when more than one plan exists for the fund account.</i></p> <p><i>Regardless of the request type, the sort on the data sent to the fund should be the same so that the same file layouts may be used.</i></p>	
Plan ID	20 A/N. Optional/Conditional. Required if Investor Omnibus Account Number is not provided. Plan's ID as assigned by the recordkeeper.
Plan Name	35 A/N. Optional. Retirement plan's name.
Investor Omnibus Account Number	20 A/N. Optional/Conditional. Required if Plan ID is not provided. This is the account number for the investor omnibus account, as assigned by the firm.
SSN/TIN	9 N. Required. Defines the social security number or tax identification number of the underlying shareholder.
SSN/TIN Indicator	Required with SSN/TIN. This indicator is equivalent to the indicator found on Fund/SERV. The values include: 1 = TIN 2 = SSN 3 = Investor's TIN
Customer Name	35 A/N. Optional. The customer name refers to the SSN/TIN that is provided.
Customer Level Account Number	30 A/N. Optional. The customer level account number is the participant, contract/policyholder, or BIN number at the investor level. The customer level account number may be used in combination with the source system ID to identify the transactions for the specific individual within the designated system or platform.
Source System ID	10 A/N. Optional. The system ID identifies the source system or platform in which the activity has occurred and has been recorded. The source system ID may be used in combination with the customer level account number to identify the transactions for the specific individual within the designated system or platform.
NAV Date	mm/dd/ccyy. Required. Date of NAV pricing for the transaction.
Contra Security Issue ID (To/Buy Side on Exchange)	9 A/N. Optional on Exchanges.
Transaction Type	Required. Defines the transaction that the underlying shareholder has requested on the account. The transaction types are limited to: 01 = Buy 02 = Sell 03 = Exchange (Intra-Fund Buy Side)

Data Elements	Definitions/Comments
	04 = Exchange (Intra-Fund Sell Side) 05 = Transfer In 06 = Transfer Out Transactions are assumed to be Category 1 transaction types as defined earlier in this paper, unless otherwise specified. See "Category 1 and Category 2 Transactions" in Section V for examples of the respective transactions.
Transaction Code	Optional. Used to indicate detailed/specific transaction codes that fall under the respective Transaction Types. See list in Record Layouts or SDR User Guide Best Practices document.
Trade Net Amount Due	99,999,999,999,999.99. Optional/Conditional. The net amount that was settled for the trade. Optional if Transaction Type = 05, or if Transaction Code = 7 or 52.
Trade Share Amount	9,999,999,999.9999. Required. Share Amount is not maintained on recordkeeping systems for insurance companies. In those instances, AUV or unit value should be provided and unit value indicator field should be flagged.
Unit Value Indicator	Optional. Used to indicate whether the trade share amount represents shares or units. Space or 0 = Shares 1 = Units
Price on Trade	999,999.999999. Optional/Conditional. Defined as the price applied to the particular trade. Optional if Transaction Type = 05, or if Transaction Code = 7 or 52.
STR Fee Amount	999,999.99. Optional. Defines the Short Term Redemption fee paid on a transaction. Indicates whether or not fees are being assessed by the recordkeeper/firm.
CDSC Amount	999,999.99. Optional. Defines the Contingent Deferred Sales Charge paid on a transaction.
Transaction ID	20 A/N. Optional. E.g., Record-keeper transaction/reference ID number.
RR Number	9 A/N. Optional. Registered rep's number. Equivalent to number that would be sent via Fund/SERV.
RR Branch	9 A/N. Optional. Branch ID to which the RR is associated.

Data Elements	Definitions/Comments
RR Firm (Not Clearing/Correspondent Relationship)	8 A/N. Optional. The ID number of dealer to which the RR is associated. This field should not be used for the correspondent in a clearing firm relationship. Should not be used if the same as Firm Number, see above.
Agent for Firm Number	4 A/N. Optional. The introducing firm or correspondent if a clearing relationship exists. This firm is the middle-level firm between the intermediary and the RR firm. For example, on a super omnibus account, XYZ Firm controls the super omnibus account and processes for AZ123 Clearing (who is the agent for firm). The agent for firm then clears for the RR firm (e.g., ABC Advisors).
Transaction Category	Required. Indicates whether the transaction is Category 1 or Category 2. See User Guide for list and definitions of transactions, and their category classification. 1 = Category 1 2 = Category 2
Transaction Source	Optional. Defines the source that directed the transaction. 0 = Participant/Shareholder 1 = Plan/Administrator 2 = Rep 3 = Firm Cannot Differentiate 4 = Recordkeeper or Insurance Carrier
Correction Indicator	Optional. 0 = Regular File 1 = Correction File The correction indicator value of '1' (correction file) is only used to correct an entire file of data that was previously sent by the Firm. The correction indicator applies to the response for a particular SDR request, identified by a control number (and ideally SDR Response Number) for a particular date (e.g., for historical or recurring). The records contained within this Main Header should replace and overwrite the original records. Space is considered 0 = Regular File.

Record Layouts

Record Layouts are available on NSCC's Mutual Fund Services website,
http://www.dtcc.com/products/wealthmgmt/members/record_layouts.php

Reject Codes

NSCC may reject records that do not comply with the record layouts and the validation rules contained within the layouts. Firms may also reject the data requests from the funds for various reasons. Reject codes and descriptions that may be used by NSCC and Firms in the SDR system can be found on the NSCC's Mutual Fund Services website, http://www.dtcc.com/products/wealthmgmt/members/downloads/SDR_RejectCodes.pdf

Select Validation Rules

A number of validation rules are provided below to help users in understanding certain NSCC SDR processing.

Control Number and Reminder Process

- NSCC will edit the control number from the fund so that it starts with the submitting fund number.
- If a request was not acknowledged or rejected, NSCC will send out reminders.
- The reminders will continue for a period of up to 10 days or until an acknowledgment or reject is submitted, whichever comes first. **Detail or Summary records do not turn off reminders.**
- NSCC will check the control number, fund number, and firm number on the acknowledgement/ reject in order to match it up to a request.
- This will allow NSCC to identify “unmatched” requests, which will trigger a Reminder.
- If there is a match of a control number, but the related information does not match (e.g., fund number and firm number), then NSCC will reject the acknowledgement/ reject. A Reminder will then be sent for that control number.
- Note: NSCC will not check the control number coming from the firm on the detail response record because this response could be from a request that occurred outside of the service.

Fund, Firm, and Underlying Firm

- Firm and fund must be on the Networking participant master.
- The underlying firm on the Request record will not be validated.
- An underlying firm can respond directly to a request as long as the underlying firm is valid on the Networking participant master.
- If the fund specifies the underlying firm on the request, then NSCC will check to see if a submitting underlying firm is the same as on the fund request, as long as the request information still resides on the NSCC database.
Note: the original information will be deleted from the database when the control number for a request has been matched up to an Acknowledgment or Reject record.
- If a firm submits data and puts the underlying firm number in the record as information, NSCC will not edit that underlying firm number.
- NSCC will not route to all three parties. NSCC will only route to the primary destination, e.g., fund to firm, firm to fund, or underlying firm to fund.

Header and Trailer

- If Header (21) is rejected, the whole group will be rejected. Records in the group other than the Header (21) will be assigned reject code 84 = Header Record Missing or Invalid. No other editing will be performed on records in the group.
- If Trailer (27) is rejected, the whole group will be rejected. Records in the group which would have been otherwise accepted will be assigned reject code 85 = Trailer Record Missing or Invalid.
- In addition to syntax checking (as described in the layout document), Trailer (27) will be rejected if the value in field Total Records does not match the total records in the group as calculated by the program.
- Counters on the Trailer (27), other than Total Records, will not be compared to the number of records of that type in the group. In other words, Trailer (27) will not be

rejected if counters other than Total Records do not match the number of records of that type in the group.

- When at least one record between Header (21) and Trailer (27) is rejected (while the whole group is not rejected as described above), a new Header (21) and Trailer (27) will be created in order to send the rejected records as a group back to the submitting firm.
- When Header (21) and Trailer (27) are accepted but all the records in between are rejected, an "empty group" (Header and Trailer with no record in between) will be sent to the fund. Note: This is the practice in other Networking group data (such as Dividend and Position).

Records between Header and Trailer

- Only one Firm Reject (23) is allowed between Header (21) and Trailer (27). No other record is allowed between Header (21) and Trailer (27) if Firm Reject (23) is supplied.
- Only one Acknowledgement (22) is allowed between Header (21) and Trailer (27). No other record is allowed between Header (21) and Trailer (27) if Acknowledgement (22) is supplied.
- Multiple Details (24) and Summaries (25) are allowed between Header (21) and Trailer (27).
- Only one Acknowledgement (22) is allowed between Header (21) and Trailer (27). No other record is allowed between Header (21) and Trailer (27) if Acknowledgement (22) is supplied.
- When more than one Acknowledgment (22) is provided between Header (21) and Trailer (27), the first valid Acknowledgement (22) will be accepted and the rest will be rejected by NSCC
- Only one Firm Reject (23) is allowed between Header (21) and Trailer (27). No other record is allowed between Header (21) and Trailer (27) if Firm Reject (23) is supplied.
- When more than one Reject (23) is provided between Header (21) and Trailer (27), the first valid Reject (23) will be accepted and the rest will be rejected by NSCC.
- Multiple Details (24) and Summaries (25) are allowed between Header (21) and Trailer (27).
- Record types between Header (21) and Trailer (27) must correspond to field Response Type on Header (21). Record types that do not correspond to Response Type will be rejected. For example, Summary records (25) will be rejected if Response Type = 02 (Detail level)

Sample Scenarios

To follow are examples of SDR records for common scenarios. The examples are not intended to be a comprehensive list and may be updated as appropriate. Funds and Firms are encouraged to initiate a dialogue to discuss scenarios that are common to their respective business models but are not illustrated below.

Please refer to the SDR Record Layouts for data field positions and syntax requirements.

The layouts are available on the Mutual Fund Services website,

http://www.dtcc.com/products/wealthmgmt/members/record_layouts.php

1-REQUEST ON A SUPER OMNIBUS ACCOUNT

- Super Omnibus Request and Response (2 plans)
- Summary Level – The fund provides the fund account number or the firm account number. Both account numbers may also be provided to provide the firm with additional information to identify the account. The Firm determines that the fund account is a super omnibus account and provides only summary data.
- 1 Day

SDR Request Record (F 20)

Record 1 of 2

Field Name	Description
Originator Type	F = Fund
Record Type	20 = SDR Request
Sequence Number	01
SDR Control Number	564350580000001
SDR Request Type	01 = Fund Account level This request type is used when a Plan ID or Investor Omnibus Account Number is not specified. Only the high-level account identifiers are provided. (i.e., fund account number and/or firm account number)
Firm Number	0675 In this example, there is an "underlying firm," which indicates that the firm is a service provider acting on behalf of another firm.

Field Name	Description
Underlying Firm	0004 This is the firm that is using a service provider to support the SDR functionality.
Underlying Firm Indicator	03 = UFS Number
Fund Number	5643
Fund Account Number	CA1000231 Either the fund account number or firm account number is provided. In this example, both are provided.
Firm Account Number	13454637 Either the fund account number or firm account number is provided. In this example, both are provided.
From Date	02282005 Must be the current date, or a valid historical date.
Security Issue ID	261465763
Plan ID/Investor Omnibus Account Number	
Omnibus Account Indicator	
SSN/TIN	
Filler	
NSCC Reject indicator	
Filler/Reject Code 1	
Filler/Reject Code 2	
Filler/Reject Code 3	
Filler/Reject Code 4	

SDR Request Record (F 20)

Record 2 of 2

Field Name	Description
Originator Type	F = Fund
Record Type	20 = SDR Request
Sequence Number	02
Recurring Indicator	
To Date	02282005 This date is optional for current date or recurring requests. It should be provided for historical requests or requests with a date range. This example optionally provides the date for a single current day request.
Includes Category 2 Transactions?	
RR Number	
RR Branch	
RR Firm	
Original SDR Control Number	
Threshold Amount	
Transaction Type	
Fund/SERV Control Number	
Filler	

ACKNOWLEDGMENT RESPONSE

SDR Header (B/U 21)

Record 1 of 1

Field Name	Description
Originator Type	B = Firm
Record Type	21 = SDR Header
Sequence Number	01
SDR Control Number	564350580000001
SDR Response Number	067550580000001
Response Type	04 = Acknowledgment
Partial Response Indicator	0 = Full Acknowledgments are always Full.
Firm Number	0675
Underlying Firm	0004 The firm should echo back information provided by the fund.
Underlying Firm Indicator	03 = UFS Number
Fund Number	5643
Fund Account Number	CA1000231
Firm Account Number	13454637
Security Issue ID	261465763
Correction Indicator	
Fund/SERV Control Number	
Filler	
NSCC Reject indicator	
Filler/Reject Code 1	
Filler/Reject Code 2	
Filler/Reject Code 3	
Filler/Reject Code 4	

SDR Acknowledgment (B/U 22)

Input From Firm To NSCC

Output From NSCC To Fund

Record 1 of 1 (Required)

This Acknowledgment record is submitted within the Header and Trailer. The Acknowledgment is the first response from the Firm to the Fund for a specific SDR Request.

(Trailer record is required but not shown in example.)

NSCC WILL NOT validate the proper sequence for submitting the Acknowledgment and SDR Detail Response records.

Field Name	Description
Originator Type	B = Firm
Record Type	22 = SDR Acknowledgment
Sequence Number	01
Acknowledgment Indicator	0 = Response is Provided Firm is acknowledging and will provide a response.
Anticipated Response Date	03312005 Date by which the firm is expected to provide a response.
Anticipated Response File Frequency	0 = Full File Firm is anticipating sending a full file.
Underlying Firm	This field on the Header is used only on Summary records to specify the underlying firm on a plan or investor omnibus account.
Underlying Firm Indicator	
Filler	
NSCC Reject indicator	Input: Space Output: 0 = Accepted by NSCC 1 = Rejected by NSCC
Filler/Reject Code 1	Input: Space Output: Reject Code
Filler/Reject Code 2	Input: Space Output: Reject Code
Filler/Reject Code 3	Input: Space Output: Reject Code
Filler/Reject Code 4	Input: Space Output: Reject Code

SUMMARY RESPONSE RECORDS

SDR Header (B/U 21)

Record 1 of 1

Field Name	Description
Originator Type	B = Firm
Record Type	21 = SDR Header
Sequence Number	01
SDR Control Number	564350580000001
SDR Response Number	067550590000001
Response Type	01 = Summary Level The firm determines that the account is a super omnibus account and submits a "Summary Level" response type.
Partial Response Indicator	0 = Full/Final Response In this example, the response contains all requested data in one file. This response is marked as a full/final response.
Firm Number	0675
Underlying Firm	0004 The firm should echo back information provided by the fund.
Underlying Firm Indicator	03 = UFS Number
Fund Number	5643
Fund Account Number	CA1000231
Firm Account Number	13454637
Security Issue ID	261465763
Correction Indicator	
Fund/SERV Control Number	
Filler	
NSCC Reject indicator	
Filler/Reject Code 1	
Filler/Reject Code 2	
Filler/Reject Code 3	
Filler/Reject Code 4	

SDR Summary (B/U 25) (Plan 1)

Record 1 of 1

Field Name	Description
Originator Type	B = Firm
Record Type	25 = SDR Summary
Sequence Number	01
Plan ID/Investor Omnibus Account Number	PLAN014354321 The firm identifies all plans and investor omnibus accounts in the super omnibus account and provides summary data. This is the first plan identified in the super omnibus account.
Omnibus Account Indicator	0 = Plan ID Indicates that the account above is a plan.
NAV Date	02282005
Dollar Value of All Participant/ Shareholder Buys	
Dollar Value of All Participant/ Shareholder Sells	
Dollar Value of Category 1 Participant/ Shareholder Buys	10000000 (i.e., \$100,000.00)
Dollar Value of Category 1 Participant/ Shareholder Sells	45000000 (i.e., \$450,000.00)
Number of Category 1 Participant/ Shareholder Buys	00000004 (i.e., 4 buys on this particular day within this plan)
Number of Category 1 Participant/ Shareholder Sells	00000003 (i.e., 3 sells on this particular day within this plan)
Underlying Firm	This number is not necessary since it is provided on the request and returned on the Header.
Underlying Firm Indicator	
Social Code	12 = 401k (non-prototype)
Filler	
NSSC Reject indicator	Input: Space Output: 0 = Accepted by NSSC 1 = Rejected by NSSC

Field Name	Description
Filler/Reject Code 1	Input: Space Output: Reject Code
Filler/Reject Code 2	Input: Space Output: Reject Code
Filler/Reject Code 3	Input: Space Output: Reject Code
Filler/Reject Code 4	Input: Space Output: Reject Code

SDR Summary (B/U 25) (Plan 2)

Record 1 of 1

Field Name	Description
Originator Type	B = Firm
Record Type	25 = SDR Summary
Sequence Number	01
Plan ID/Investor Omnibus Account Number	PLAN0574532 This is the second plan identified in the super omnibus account.
Omnibus Account Indicator	0 = Plan ID
NAV Date	02282005
Dollar Value of All Participant/ Shareholder Buys	
Dollar Value of All Participant/ Shareholder Sells	
Dollar Value of Category 1 Participant/ Shareholder Buys	4500000 (i.e., \$45,000.00)
Dollar Value of Category 1 Participant/ Shareholder Sells	1500000 (i.e., \$15,000.00)
Number of Category 1 Participant/ Shareholder Buys	00000001
Number of Category 1 Participant/ Shareholder Sells	00000001
Underlying Firm	This number is not necessary since it is provided on the request and returned on the Header.
Underlying Firm Indicator	

Field Name	Description
Social Code	12 = 401k (non-prototype)
Filler	
NSCC Reject indicator	Input: Space Output: 0 = Accepted by NSCC 1 = Rejected by NSCC
Filler/Reject Code 1	Input: Space Output: Reject Code
Filler/Reject Code 2	Input: Space Output: Reject Code
Filler/Reject Code 3	Input: Space Output: Reject Code
Filler/Reject Code 4	Input: Space Output: Reject Code

SDR Trailer (B/U 27)

Record 1 of 1

Field Name	Description
Originator Type	B = Firm
Record Type	27 = SDR Trailer
Sequence Number	01
SDR Control Number	564350580000001
SDR Response Number	067550590000001
Firm Number	0675
Fund Number	5643
Security Issue ID	261465763
Total Acknowledgment Items within this Group	00000000
Total Reject Items within this Group	00000000
Total Detail Items within this Group	00000000 (Total number of record type 24, sequence 01.)
Total Summary Items within this Group	00000002 (Total number of record type 25, sequence 01.)
Total Records within this Group	00000004 (Total number of physical records including headers and trailers.)
Total NSCC Accepted Input – Acknowledgment Items	Input: Space Output: Total number of NSCC accepted record type 22 with sequence 01. Zeroes allowed.
Total NSCC Accepted Input – Reject Items	Input: Space Output: Total number of NSCC accepted record type 23 with sequence 01. Zeroes allowed.
Total NSCC Accepted Input – Detail Items	999,999,999 Input: Space Output: Total number of NSCC-accepted record type 24 with sequence 01. Zeroes allowed.
Total NSCC Accepted Input – Summary Items	999,999,999 Input: Space Output: Total number of NSCC-accepted record type 25 with sequence 01. Zeroes allowed.

Field Name	Description
Total NSCC Rejected Input – Acknowledgment Items	Input: Space Output: Total number of NSCC rejected record type 22 with sequence 01. Zeroes allowed.
Total NSCC Rejected Input – Reject Items	Input: Space Output: Total number of NSCC rejected record type 23 with sequence 01. Zeroes allowed.
Total NSCC Rejected Input – Detail Items	999,999,999 Input: Space Output: Total number of NSCC-rejected record type 24 with sequence 01. Zeroes allowed.
Total NSCC Rejected Input – Summary Items	999,999,999 Input: Space Output: Total number of NSCC-rejected record type 25 with sequence 01. Zeroes allowed.
Filler	
NSCC Reject indicator	Input: Space Output: 0 = Accepted by NSCC 1 = Rejected by NSCC
Filler/Reject Code 1	Input: Space Output: Reject Code
Filler/Reject Code 2	Input: Space Output: Reject Code
Filler/Reject Code 3	Input: Space Output: Reject Code
Filler/Reject Code 4	Input: Space Output: Reject Code

2 -REQUEST ON A PLAN

- This particular example is a follow-up request from the Super Omnibus Account request (Example #1).
- This request may also be used separately for any plan, regardless of whether it belongs to a super omnibus account or not.
- Submitted on 03/07/2005
- Plan level request & response
- Detail level
- Historical data request
- 5 days from 02/28/05 to 03/04/05
- Non-recurring
- 10,000.00 threshold
- Buys only
- **Acknowledgment is required but not shown in example.**

SDR Request Record (F 20)

Key Fields/Data	Description
SDR Control Number	56435
SDR Request Type	02 = Plan Level The fund is indicating that the account is a plan. Since the account at the fund is a super omnibus account, the fund has provided the plan ID to identify that particular plan within the super omnibus account. If the account at the fund was not a super omnibus account, then the fund account number may be sufficient to identify the plan.
Firm Number	0675 In this example, there is an "underlying firm," which indicates that the firm is a service provider acting on behalf of another firm.
Underlying Firm	0004 This is the firm that is using a service provider to support the SDR functionality.

Key Fields/Data	Description
Underlying Firm Indicator	03
	UFS Number
Fund Number	564350600000001
Fund Account Number	CA1000231
	Either the fund account number or firm account number is provided. In this example, both are provided.
Firm Account Number	13454637
	Either the fund account number or firm account number is provided. In this example, both are provided.
From Date	02282005
Security Issue ID	261465763
Plan ID/Investor Omnibus Account Number	PLAN014354321
	For super omnibus accounts, this information is necessary to request information for a particular plan or investor omnibus account.
	For non-super omnibus accounts, the fund account number or firm account number may be sufficient to identify the account.
	When a Plan ID or Investor Omnibus Account is provided, the Request Type should be set accordingly.
	Best Practice: This account number should only be provided if the Request Type is "02" or "03".
In this example, the fund is indicating that the account is a plan, and has provided the Plan ID for which it is requesting plan participant information.	
Omnibus Account Indicator	0 = PLAN ID
To Date	03042005
Threshold Amount	000010000
	The fund is specifying that it is only interested in transactions that have a minimum of \$10,000.
Transaction Type	01 = Buy
	The fund is specifying that it is only interested in buy transactions.

RESPONSE RECORDS

SDR Header (B/U 21)

Key Fields/Data	Description
SDR Control Number	564350600000001
SDR Response Number	067550610000001
Response Type	02 = Detail Level Since the request was at a plan level, the firm will provide details of the plan to participants in the plan.
Partial Response Indicator	0 = Full/Final Response In this example, the response contains all requested data in one file. This response is marked as a full/final response.
Firm Number	0675
Underlying Firm	0004 The firm should echo back information provided by the fund.
Underlying Firm Indicator	03 UFS Number
Fund Number	5643
Fund Account Number	CA1000231 The firm should echo back information provided by the fund.
Firm Account Number	13454637 The firm should echo back information provided by the fund.
Security Issue ID	261465763

SDR Detail (B/U 24) #1

Key Fields/Data	Description
Plan ID/Investor Omnibus Account Number	PLAN014354321 The firm should echo back information provided by the fund.
Omnibus Account Indicator	0 = Plan ID

Key Fields/Data	Description
SSN/TIN	234232345
	This is the SSN of the first Participant identified in the plan.
SSN/TIN Indicator	2 = SSN
NAV Date	02282005
Transaction Type	01 = Buy
Transaction Category	1 = Category 1
Transaction Code	09 = Exchange.
	Optionally provided description of the transaction.
Dollar Amount	00000000250000
	(i.e., \$25,000 Buy)
Share Amount	000025000000
	(i.e., 25,000 shares)
Price	0000100000
	(i.e., Price = \$1.00)
Transaction Source	0 = Participant
	<p>This indicates that the buy was initiated by the Participant (e.g., this is the purchase side of a cross-fund exchange)</p> <p>Participant-directed transactions are the default transaction source. This example optionally specifies the source for illustration purposes.</p>
Customer Name	JOHN SMITH
	The name is optionally provided by the firm.

SDR Detail (B/U 24) #2

Key Fields/Data	Description
Plan ID/Investor Omnibus Account Number	PLAN014354321
	The firm should echo back information provided by the fund.
Omnibus Account Indicator	0 = Plan ID

Key Fields/Data	Description
SSN/TIN	234232345 This is the second detail record for this particular Participant. It occurs on a different day.
SSN/TIN Indicator	2 = SSN
NAV Date	03022005 This is the second detail record for this particular Participant. It occurs on a different day.
Transaction Type	01 = Buy
Transaction Category	1 = Category 1
Transaction Code	23 = Rebalance. Optionally provided description of the transaction.
Dollar Amount	000000005000000 (i.e., \$50,000 Buy)
Share Amount	0000250000000 (i.e., 25,000 shares)
Price	00002000000 (i.e., Price = \$2.00)
Transaction Source	0 = Participant This is a participant-directed buy.
Customer Name	JOHN SMITH The name is optionally provided by the firm.

SDR Detail (B/U 24) #3

Key Fields/Data	Description
Plan ID/Investor Omnibus Account Number	PLAN014354321
Omnibus Account Indicator	0 = Plan ID
	234670001 This is the SSN of the first Participant identified in the plan.
SSN/TIN Indicator	2 = SSN
NAV Date	03032005

Key Fields/Data	Description
Transaction Type	05 = Transfer In
Transaction Category	1 = Category 1
Transaction Code	08 = Transfer. Optionally provided description of the transaction.
Dollar Amount	0000000001000000 (i.e., \$10,000 Buy)
Share Amount	00000100000000 (i.e., 10,000 shares)
Price	000001000000 (i.e., Price = \$1.00)
Transaction Source	0 = Participant
Customer Name	JOE THOMPSON III

SDR Trailer (B/U 27)

Key Fields/Data	Description
SDR Control Number	5643066001
Firm Number	0675
Fund Number	5643
Security Issue ID	261465763
Total Detail Items within this Group	00000003 (Total number of record type 24, sequence 01.)
Total Summary Items within this Group	00000000 (Total number of record type 25, sequence 01.)
Total Records within this Group	00000005 (Total number of records physical including headers and trailers.)

3 - REQUEST ON AN INVESTOR OMNIBUS ACCOUNT

- Investor Omnibus Account
- Fund Account Number provided
- Investor Omnibus Account Number provided
- Detail level
- Three days historical
- All other fields have default data
- **Acknowledgment is required but not shown in example.**

SDR Request Record (F 20)

Key Fields/Data	Description
SDR Control Number	553452520000001
SDR Request Type	03 = Investor Omnibus The fund is indicating that the account is an investor omnibus account, and has optionally provided the investor omnibus account number.
Firm Number	2205
Fund Number	5534
Fund Account Number	1234567891 Only the fund account number is provided, and it relates to investor omnibus accounts held by the firm.
From Date	09012005
Security Issue ID	880210505
To Date	09032005

RESPONSE RECORDS

SDR Header (B/U 21)

Key Fields/Data	Description
SDR Control Number	553452520000001
SDR Response Number	220552530000001
Response Type	02 = Detail Level Since the request was at an investor omnibus account level, the firm provides details of the shareholders in the account.
Partial Response Indicator	0 = Full/Final Response In this example, the response contains all requested data in one file. This response is marked as a full/final response.
Firm Number	2205
Fund Number	5534
Fund Account Number	0000000001234567891
Security Issue ID	880210505

SDR Detail (B/U 24) #1

Field Name	Description
Plan ID/Investor Omnibus Account Number	0000000000112233445 In this example, there are multiple individuals within the fund account number. Each individual (SSN/TIN) is assigned an internal account number (investor omnibus account number) by the firm. This is the first individual/investor account within the omnibus account that is held at the fund...
Omnibus Account Indicator	1 = Investor Omnibus Account
SSN/TIN	111111111 This is the SSN of the first investor identified in the omnibus account.
SSN/TIN Indicator	2 = SSN
NAV Date	09012005
Transaction Type	01 = Buy

Field Name	Description
Transaction Category	1 = Category 1
Dollar Amount	000000001000000 (i.e., \$10,000.00 buy)
Share Amount	0000004612546 (i.e., 461.2546 shares)
Price	000021680000 (i.e., \$21.68)

SDR Detail (B/U 24) #2

Field Name	Description
Plan ID/Investor Omnibus Account Number	0000000000112233445 This is still the account number of the first investor identified in the omnibus account.
Omnibus Account Indicator	1 = Investor Omnibus Account
SSN/TIN	111111111 This is still the SSN of the first investor identified in the omnibus account.
SSN/TIN Indicator	2 = SSN
NAV Date	09022005 This is the second detail record identified for this particular investor. The activity occurs on a different day within the date range provided.
Transaction Type	02 = Sell
Transaction Category	1 = Category 1
Dollar Amount	000000001035516 (i.e., \$10,355.16 sell)
Share Amount	0000004612546 (i.e., 461.2546 shares)
Price	000010750000 (i.e., \$22.45)

- **Bought one day at a price of \$21.68, and sold the next day for a profit at a price of \$355.16. STR info was also not provided. This scenario may prompt follow up.**

SDR Detail (B/U 24) #3

Key Fields/Data	Description
Plan ID/Investor Omnibus Account Number	0000000000001234567 In this example, there are multiple individuals within the fund account number. Each individual (SSN/TIN) is assigned an internal account number (investor omnibus account number) by the firm. This is the second individual/investor account within the omnibus account that is held at the fund.
Omnibus Account Indicator	1 = Investor Omnibus
SSN/TIN	123456789 This is the TIN of the second shareholder identified in the omnibus account.
SSN/TIN Indicator	1 = TIN
NAV Date	09012005
Transaction Type	01 = Buy
Transaction Category	1 = Category 1
Dollar Amount	000000002532344 (i.e., \$25,323.44 buy)
Share Amount	0000011680553 (i.e., 1,168.0553 shares)
Price	000021680000 (i.e., \$21.68)

SDR Detail (B/U 24) #4

Key Fields/Data	Description
Plan ID/Investor Omnibus Account Number	0000000000001234567 In this example, there are multiple individuals within the fund account number. Each individual (SSN/TIN) is assigned an internal account number (investor omnibus account number) by the firm. This is the second individual/investor account within the omnibus account that is held at the fund.
Omnibus Account Indicator	1 = Investor Omnibus

Key Fields/Data	Description
SSN/TIN	123456789 This is the TIN of the second shareholder identified in the omnibus account.
SSN/TIN Indicator	1 = TIN
NAV Date	09032005
Transaction Type	01 = Buy
Transaction Category	1 = Category 1
Dollar Amount	000000002500000 (i.e., \$25,000.00 buy)
Share Amount	00000011494253 (i.e., 1,149.4253 shares)
Price	000021680000 (i.e., \$21.75)

Investor Omnibus Account 1234567, SSN 123456789 bought shares on 09/01/2005 and on 09/03/2005. No shares sold from this Security Issue ID, but frequent trading is occurring based on the three days. This may prompt question on whether sell side exchanges are short term.

SDR Detail (B/U 24) #5

Key Fields/Data	Description
Plan ID/Investor Omnibus Account Number	0000000000007654321 This is the third individual/investor account within the omnibus account that is held at the fund.
Omnibus Account Indicator	1 = Investor Omnibus
SSN/TIN	978654321 This is the SSN of the third shareholder identified in the omnibus account.
SSN/TIN Indicator	2 = SSN
NAV Date	09012005
Transaction Type	01 = Buy
Transaction Category	1 = Category 1
Dollar Amount	0000000010000000 (i.e., \$100,000.00 buy)

Key Fields/Data	Description
Share Amount	00000046125461
	(i.e., 4612.5461 shares)
Price	000021680000
	(i.e., \$21.68)

SDR Detail (B/U 24) #6

Key Fields/Data	Description
Plan ID/Investor Omnibus Account Number	0000000000001726354
	This is the fourth individual/investor account within the omnibus account that is held at the fund.
Omnibus Account Indicator	1 = Investor Omnibus
SSN/TIN	895746231
	This is the SSN of the fourth shareholder identified in the omnibus account.
SSN/TIN Indicator	2 = SSN
NAV Date	09012005
Transaction Type	02 = Sale
Transaction Category	1 = Category 1
Dollar Amount	000000001000000
	(\$10,000.00)
Share Amount	00000004612546
	(461.2546 shares)
Price	000021680000
	(\$21.68)

SDR Trailer (B/U 27)

Key Fields/Data	Description
SDR Control Number	5534224001
Firm Number	2205
Fund Number	5534

Key Fields/Data	Description
Security Issue ID	880210505
Total Detail Items within this Group	00000006 (Total number of record type 24, sequence 01).
Total Summary Items within this Group	00000000 (Total number of record type 25, sequence 01.)
Total Records within this Group	00000008 (for illustration purpose) (Total number of physical records including headers and trailers.)

4 - REP LEVEL DATA #1

SDR Request Record (F 20)

- Fund requests rep level data.
- Recurring
- Assumes that the current date is 08/31/2005.
- Fund sends request to stop recurring data.
- Optional record 3 not provided.
- **Acknowledgment is required but not shown in example.**

Record 1 of 3
(Required)

Key Fields/Data	Description
SDR Control Number	589452430000001
SDR Request Type	05 = Rep Level The fund is requesting shareholder transactions where a particular rep is associated, within a fund account for a particular Security Issue ID.
Firm Number	0164
Fund Number	5894
Fund Account Number	1567972746 In this example, only the fund account number is provided. The rep level detail can only be provided for one particular omnibus account (i.e., plan ID or investor omnibus account). This assumes that the fund account number is sufficient to identify the plan/investor omnibus account.
From Date	08312005 Since this request is a recurring request, this date should be the current date. However, this date is ignored by the firm, who provides daily data beginning on the date that it receives the request.
Security Issue ID	315805200
Recurring Indicator	1 = Yes
Includes Category 2 Transactions?	0 = No
RR Number	615UELE This information must be provided on rep level requests.
RR Branch	615

RESPONSE RECORDS

SDR Header (B/U 21)

Firm sends responses on a daily basis. Response header, optional header record 2 not provided.

Key Fields/Data	Description
SDR Control Number	589452430000001
SDR Control Number	016452440000001
Response Type	02 = Detail Level This response is for a Rep Level request that also provided an investor omnibus account number for which detail shareholder information is available.
Partial Response Indicator	1 = Partial Response
Firm Number	0164
Fund Number	5894
Fund Account Number	1567972746 The firm should echo back information provided by the fund.
Firm Account Number	EX1ACCOUNT1 Additional account information may be provided by the Firm.
Security Issue ID	315805200
Correction Indicator	0 = Regular

SDR Detail (B/U 24) #1

- Firm sends responses on a daily basis.
(Only one day's sample data is shown. When available, additional detail records should be provided for each SSN/TIN and for each day within the date requested date range.)
- Using Detail Records 1 & 2, optional record 3 not provided.
- For brevity, only two example detail records are provided.

Key Fields/Data	Description
Plan ID/Investor Omnibus Account Number	EX1ACCOUNT1 In this example, the firm account number, which is cross-referenced to the fund account number, is the same as the investor omnibus account.

Key Fields/Data	Description
Omnibus Account Indicator	1 = Investor Omnibus Account
SSN/TIN	111111111
SSN/TIN Indicator	2 = SSN
NAV Date	08312005
Transaction Type	01 = Buy
Transaction Category	1 = Category 1
Dollar Amount	000000001000000 (i.e., \$10,000.00 Buy)
Share Amount	0000005000000 (i.e., 500.000 shares)
Price	00000020000 (i.e., \$20.0000)
Transaction Source	0 = Participant
RR Number	615EULE
RR Branch	615

SDR Detail (B/U 24) #2

Key Fields/Data	Description
Plan ID/Investor Omnibus Account Number	EX1ACCOUNT1
Omnibus Account Indicator	1 = Investor Omnibus Account
SSN/TIN	222222222
SSN/TIN Indicator	2 = SSN
NAV Date	08312005
Transaction Type	02 = Sell
Transaction Category	1 = Category 1
Dollar Amount	00000000200000 (i.e., \$2,000.00 Sell)

Key Fields/Data	Description
Share Amount	00000001000000 (i.e., 1,000.000 shares)
Price	20.000
STR Fee Amount	000000020000 (i.e., \$20.0000)
Transaction Source	1 = Rep
RR Number	615EULE
RR Branch	615

SDR Trailer (B/U 27)

Key Fields/Data	Description
SDR Control Number	Rep Example.
Firm Number	0164
Fund Number	5894
Security Issue ID	315805200
Total Detail Items within this Group	000000002 (Total number of record type 24, sequence 01.)
Total Summary Items within this Group	000000000 (Total number of record type 25, sequence 01.)
Total Records within this Group	000000004 (Total number of physical records including headers and trailers.)

5 - STOP RECURRING REQUEST

SDR Request Record (F 20)

Request to stop recurring response (example #6). Records 1 & 2 only.

Key Fields/Data	Description
SDR Control Number	589452470000001
SDR Request Type	06 = Stop Recurring
Firm Number	0164
Fund Number	5894
Fund Account Number	1567972746
From Date	09302005 (Today's date)
Security Issue ID	315805200
RR Number	615UELE
RR Branch	615
Original SDR Control Number Used to stop a recurring request.	589452430000001

- Fund immediately stops request. Response data is not sent.

6 - REP LEVEL DATA #2

SDR Request Record (F 20)

- Fund requests rep. level data
- Historical data
- Optional record 3 not provided.
- **Acknowledgment is Required but not shown in example.**

Record 1 of 3
(Required)

Key Fields/Data	Description
SDR Control Number	589452430000001
SDR Request Type	05 = Rep Level
Firm Number	0164
Fund Number	5894
Fund Account Number	1567972746
From Date	08012005
Security Issue ID	315805200
Recurring Indicator	1 = Yes
To Date	08312005
Includes Category 2 Transactions?	0 = No

RESPONSE RECORDS

SDR Header (B/U 21)

- Firm sends response to provide data for the 23 business days requested.
- Firm could send partial response, but this example is full and final.
- Response header, optional header record 2 not provided.

Key Fields/Data	Description
SDR Control Number	589452430000001
SDR Control Number	016452430000001

Key Fields/Data	Description
Response Type	02 = Detail Level
Partial Response Indicator	0 = Full/Final Response
Firm Number	0164
Fund Number	5894
Fund Account Number	1567972746 The firm should echo back information provided by the fund.
Firm Account Number	EX2ACCOUNT2 Additional account information may be provided by the firm.
Security Issue ID	315805200
Correction Indicator	0 = Regular

- Firm sends a one-time full response detail for the requested rep.
- Using Detail Records 1 & 2, optional record 3 not provided.
- For brevity, only two example detail records are provided.

SDR Detail (B/U 24) #1

Key Fields/Data	Description
Plan ID/Investor Omnibus Account Number	EX2ACCOUNT2
Omnibus Account Indicator	1 = Investor Omnibus Account
SSN/TIN	111111111
SSN/TIN Indicator	2 = SSN
NAV Date	08152005
Transaction Type	01 = Buy
Transaction Category	1 = Category 1
Dollar Amount	0000000001000000 (i.e., \$10,000.00 buy)
Share Amount	00000005000000 (i.e., 500.000 shares)
Price	000000020000 (i.e., \$20.0000)

Key Fields/Data	Description
Transaction Source	0 = Participant
RR Number	615EULE
RR Branch	615

SDR Detail (B/U 24) #2

Key Fields/Data	Description
Plan ID/Investor Omnibus Account Number	EX2ACCOUNT2
Omnibus Account Indicator	1 = Investor Omnibus Account
SSN/TIN	22222222
SSN/TIN Indicator	2 = SSN
NAV Date	09/26/2005
Transaction Type	02 = Sell
Transaction Category	1 = Category 1
Dollar Amount	000000002000000 (i.e., \$10,000.00 buy)
Share Amount	00000010000000 (i.e., 1,000.000 shares)
Price	000000020000 (i.e., \$20.0000)
STR Fee Amount	0020000 (i.e., \$200.00)
Transaction Source	1 = Rep
RR Number	615EULE
RR Branch	615

SDR Trailer (B/U 27)

Key Fields/Data	Description
SDR Control Number	589452430000001
Firm Number	0164
Fund Number	5894
Security Issue ID	315805200
Total Detail Items within this Group	00000002 (Total number of record type 24, sequence 01.)
Total Summary Items within this Group	00000000 (Total number of record type 25, sequence 01.)
Total Records within this Group	00000004 (for illustration purpose) (Total number of physical records including headers and trailers.)

Other Scenarios

Scenario	Fund and Firm Processing
<p>Super Omnibus Account with various omnibus and non-omnibus accounts</p>	<p>Fund See Example 1. Fund submits fund level request. Provides fund account number or firm account number.</p> <p>If the first-tier intermediary does not act as the conduit for data requests: Work with the fund to contact the second-tier intermediary that maintains the shareholder level data. Disclose to the fund the contact information for the second-tier intermediary that maintains the shareholder level data.</p> <p>Firm See Example 1. Firm submits a Header Record (B/U 21) with a Response Type of 03 = Both Detail and Summary Data. Submits, first, a Detail Record (B/U 24) for each individual account found in the super omnibus account. Submits Summary Record (B/U 25) for each plan found in the super omnibus account. Submits Summary Record (B/U 25) for each investor omnibus account found in the super omnibus account. Submits a Trailer Record (B/U 27).</p>
<p>Partial Acknowledgment</p>	<p>Fund See Example 5. Fund submits request with a date range.</p> <p>Firm See Example 5. The request is for a two-day historical data at a plan level. In Example 5, the response is sent in one file; however, the firm may decide to send each day's data on separate days. On Day 1, the firm sends in the first file (Header, Detail, Trailer). The Partial Indicator on the Header Record will be marked as 1 = Partial. This indicates to the fund that this file is a partial response to the SDR Request identified by the SDR Control Number. On Day 2, the firm sends the second file. The Header Record contains the</p>

	<p>Partial Indicator marked as 0 = Full/Final Response.</p> <p>This indicates to the fund that this file is the final response to the SDR Request identified by the SDR Control Number.</p> <p>This also suggests that the fund should have received a previous file marked as a partial response.</p>
<p>Partial Acknowledgment (Recurring)</p>	<p>Fund</p> <p>See Example 6.</p> <p>Fund submits a request that is marked as recurring. This indicates that the firm should send daily files until requested to stop.</p> <p>Fund submits a Stop Recurring request to discontinue the daily files.</p> <p>The Original SDR Control must be provided with the Stop Recurring request.</p> <p>Firm</p> <p>See Example 6.</p> <p>For each of the daily files sent by the firm, the Partial Acknowledgment will be marked as 1 = Partial Response.</p> <p>As soon as the firm receives the Stop Recurring request, it will no longer send a file.</p> <p>Since sending of the file has stopped, a file containing a partial acknowledgment marked as 0 = Full/Final Response cannot be sent.</p>
<p>Partial Acknowledgment (Other)</p>	<p>Fund</p> <p>Fund submits a request</p> <p>Firm</p> <p>The firm may send partial files to split up large files. The firm may also send partial files for various other reasons.</p> <p>Each file must be marked accordingly as a partial or full/final response.</p> <p>Each response file will also contain a unique SDR Response Number. Corrections can then be isolated to the partial file with the appropriate SDR Control Number and SDR Response Number combination.</p>
<p>Category 2 Transaction</p>	<p>Fund</p> <p>Fund submits a request at the appropriate account or investor level.</p> <p>Provides the necessary account number or SSN information for the appropriate level.</p> <p>Submits the Includes Category 2 Transaction field marked as 1 = Yes.</p> <p>This indicates the request is for both Category 1 and Category 2 transactions.</p> <p>This request will retrieve all activity for an account or investor, and may result in an excessive amount of data.</p> <p>Firm</p> <p>The firm submits a Detail Response.</p> <p>A Detail record is provided for each individual (SSN), for one particular day, for a single transaction activity.</p> <p>The transaction in each Detail includes the Transaction Source field marked as either 1 = Category 1 or 2 = Category 2. (Space is</p>

	<p>equivalent to "1".)</p> <p>The firm submits details on all transactions in each individual's account, and marks the transaction source accordingly.</p>
Correction Indicator	<p>Fund</p> <p>See example 6.</p> <p>Fund submits a request that is marked as recurring.</p> <p>This indicates that the firm should send daily files until requested to stop.</p> <p>Firm</p> <p>On Day 1, the firm submits a regular detail response file. (i.e., Correction Indicator is space or 0 = Regular)</p> <p>Each response file will contain a unique SDR Response Number. Corrections can then be isolated to the partial file with the appropriate SDR Control Number and SDR Response Number combination.</p> <p>On Day 2, the firm sends in another regular detail response file.</p> <p>Also on Day 2, the firm sends a detail response file with a Correction Indicator marked as 1 = Correction against the file from Day 1.</p> <p>The SDR Response Number is provided and used by the firm to isolate the correction to that particular partial file (i.e., Day 1 file).</p> <p>Corrections may be done for any file, partial or full/final, detail or summary, etc.</p> <p>Corrections are done against a set of data and NOT for specific details or a subset of details. The correction file should overwrite the previously sent regular file.</p>
Fund/SERV Control Number Request	<p>Fund</p> <p>Fund submits a Fund/SERV Control Number Request type.</p> <p>Provides the Fund/SERV control number.</p> <p>Provides the fund account number or firm account number.</p> <p>Provides all other required data.</p> <p>Firm</p> <p>Firm retrieves all transactions related to a Fund/SERV control number.</p> <p>Returns the Fund/SERV control number on the Header Record.</p> <p>Provides Detail records for each individual (SSN) for each transaction type.</p>
Non-NSCC Initiated Transaction (Response Data sent through NSCC)	<p>Fund</p> <p>Fund calls the firm and requests information.</p> <p>Provides the necessary information to the firm.</p> <p>Firm provides an SDR Response Number that is used to return the data through NSCC.</p> <p>Firm</p> <p>Firm runs query to retrieve requested data.</p> <p>Firm uses the NSCC formats and creates a response file.</p> <p>Provides the SDR Response Number in the Header record.</p>

	<p>Uses the same number in the SDR Control Number field. Submits file to NSCC.</p>
Transaction Code	<p>Fund See Example 3. Submits request with the necessary information to the firm.</p> <p>Firm Firm runs query to retrieve requested data. Firm uses the NSCC formats and creates a response file. Response includes "Transaction Code" field in the Detail record for each trading activity. Firm uses the appropriate code to describe the transaction code (e.g., 09 = Exchange). Submits file to NSCC.</p>

Features Glossary

This glossary provides some of the features involved with the SDR functionality and the corresponding examples that illustrate the data to be included for the particular feature.

Features/Search Parameters/Scenarios	Examples Number
Correction Indicator	OTHER SCENARIOS
Date Range	2, 5, 8
Detail Data	2, 3, 4, 6
Detail Data with Summary Data	OTHER SCENARIOS
Fund Account Level	1, 3
Full Response	1, 2, 3, 6
Fund/SERV Control Number Request	OTHER SCENARIOS
Historical Data	2, 3, 6, OTHER SCENARIOS
Investor Omnibus Account Level	3, 4, 6
Investor/Shareholder Detail	3, 4, 6
Non-NSCC Initiated Request	OTHER SCENARIOS
Category 1 and Category 2 Transaction	OTHER SCENARIOS
Partial Response	4, 5, 6, OTHER SCENARIOS
Participant Detail	2, OTHER SCENARIOS
Plan Directed Transaction	4, OTHER SCENARIOS
Plan Level Data	2
Recurring Indicator	4, 5, 6, OTHER SCENARIOS
Rep Directed Transaction	6
Rep Level	4, 6
Service Provider	1, 2
Stop Recurring	4, 5
Summary Data	1, OTHER SCENARIOS
Super Omnibus Account	1, 2, OTHER SCENARIOS
Threshold Amount	2
Transaction Type	2
Transaction Code	2, OTHER SCENARIOS
Underlying Firm	1, 2