

Standardized Data Reporting (SDR)

Including:

Q2 2012 Changes - Effective 04/23/2012

Q4 2011 Changes - Effective 10/17/2011

Q4 2008 Changes - Effective 10/20/2008

Q2 2007 Changes - Effective 06/18/2007

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History of Important Notices

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Effective Date: April 23, 2012

Please see Important Notices:

A7355 P&S#6925 Dated January 12th, 2012

Effective Date: October 17, 2011

Please see Important Notices:

A7241 P&S#6811 Dated July 8, 2011

Effective Date: October 20, 2008

Please see Important Notices:

A6642 P&S#6212 Dated June 25, 2008

A6655 P&S#6225 Dated July 07, 2008

Effective Date: June 18, 2007

Please see Important Notices:

A6446 P&S#6016 Dated May 3, 2007

A6435 P&S#6005 Dated April 25, 2007

Effective Date: August 7, 2006

Please see Important Notices:

A6266 P&S#5836 Dated July 7, 2006

A6254 P&S#5824 Dated June 12, 2006

A6213 P&S#5783 Dated March 8, 2006

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Summary of changes – effective Q2, 2012

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ELIMINATE REJECT CODES

The following reject codes have been permanently eliminated effective April 23, 2012:

- 31 - Did not find data that matches the request
- 39 - Tran ID is invalid
- 44 - Agent for Firm is invalid
- 45 - Plan Name is Invalid
- 46 - Customer Name is Invalid
- 65 - Reject Indicator Missing or Invalid

ELIMINATE SDR REJECT CODE FROM RECORD LAYOUT

Field Name	Current Location and Requirement	Current SDR Reject Code	New SDR Reject Code
Transaction ID	B/U24 record 1, start 92, end 111, length 20, A/N, Optional	39	

Summary of changes – effective Q4, 2011

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REQUIREMENTS CHANGED FOR EXISTING FIELDS

Field Name	Current location and requirement	New Requirement	New Description
Plan ID/Investor Omnibus Account Number	F20 record 2, start 6, end 25, length 20, Optional	OC	Required if SDR Request Type equals one of the following: 02 = Plan Level or 03 = Investor Omnibus Account Level
Threshold Amount	F20 record 2, start 78, end 86, length 9, Optional		999,999,999 Threshold Amount is equal to or greater than (= >) Amount Requested.
Omnibus Account Indicator	B/U24 record 1, start 26, end 26, length 1, Optional	OC	Required if Plan ID/Investor Omnibus Account Number is provided 0 = Plan ID 1 = Investor Omnibus Account
Transaction Code	B/U24 record 1, start 47, end 48, length 2, Optional		53 = Automated or Systematic Transaction
Plan ID/Investor Omnibus Account Number	B/U25 record 1, start 6, end 25, length 20, Required		One of the following is required: Plan ID or Investor Omnibus Account Number
Dollar Value of ALL Participant/ Shareholder Buys	B/U25 record 1, start 35 end 50, length 16, OC		99,999,999,999,999.99 Required if none of the following are provided:
Dollar Value of ALL Participant/ Shareholder Sells	B/U25 record 1, start 51 end 66, length 16, OC		99,999,999,999,999.99 Required if none of the following are provided:
Dollar Value of CATEGORY 1 Participant/ Shareholder Buys	B/U25 record 1, start 67 end 82, length 16, OC		99,999,999,999,999.99 Required if none of the following are provided:
Dollar Value of CATEGORY 1 Participant/ Shareholder Sells	B/U25 record 1, start 83 end 98, length 16, OC		99,999,999,999,999.99 Required if none of the following are provided:
Dollar Value of ALL Participant/ Shareholder Exchanges (Intra Fund Buy-Side)	B/U25 record 2, start 6 end 21, length 16, OC		99,999,999,999,999.99 Required if none of the following are provided:
Dollar Value of ALL Participant/ Shareholder Exchanges (Intra Fund Sell-Side)	B/U25 record 2, start 22 end 37, length 16, OC		99,999,999,999,999.99 Required if none of the following are provided:
Dollar Value of CATEGORY 1 of Participant/ Shareholder Exchanges (Intra Fund Buy-Side)	B/U25 record 2, start 38 end 53, length 16, OC		99,999,999,999,999.99 Required if none of the following are provided:
Dollar Value of CATEGORY 1 Participant/ Shareholder Exchanges (Intra Fund Sell-Side)	B/U25 record 2, start 54 end 69, length 16, OC		99,999,999,999,999.99 Required if none of the following are provided:

INCLUDED REJECT CODES FOR EXISTING FIELDS

Field Name	Current Location and Requirement	Description	SDR Reject Code
Registered Representative (RR) Number	B/U24 record 2, start 21, end 29, length 9, Optional		20
RR Branch	B/U24 record 2, start 30, end 38, length 9, Optional		21
RR Firm	B/U24 record 2, start 39, end 46, length 8, Optional		22
Total Acknowledgment Items	B/U27 record 1, start 57, end 65, length 9, Required	999,999,999 Number of record type 22 with sequence 01 within this group (Zero Allowed)	88
Total Reject Items	B/U27 record 1, start 66, end 74, length 9, Required	999,999,999 Number of record type 23 with sequence 01 within this group (Zero Allowed).	89
Total Detail Items	B/U27 record 1, start 75, end 83, length 9, Required	999,999,999 Number of record type 24 with sequence 01 within this group (Zeroes Allowed).	62
Total Summary Items	B/U27 record 1, start 84, end 92, length 9, Required	999,999,999 Number of record type 25 with sequence 01 within this group (Zeroes Allowed).	63
Total Records	B/U27 record 1, start 93, end 101, length 9, Required	999,999,999 Total number of PHYSICAL records (including SDR headers and trailers) within this group.	64

NEW REJECT CODES

The following reject code has been added:

A2 = Plan ID Requested is Closed

A3 = Requested Criteria Matched – No Transaction Activity Exists

REQUIREMENT CHANGED FOR EXISTING RECORD

Record Name	Current Requirement	New Requirement	SDR Reject Code
SDR Fund Request (F20) Record 2 of 2	Optional	Optional Conditional This record is required if SDR Request Type field of F20 record 1 equals 02 (Plan Level) or 03 (Investor Omnibus Account Level)	94

The changes described above are **highlighted** in the layouts.

Summary of changes – effective Q4, 2008

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1. REQUIREMENTS CHANGED FOR EXISTING FIELDS

Requirements have been changed for the following fields:

Field Name	Location	Modified requirement
1. Underlying Firm Number	SDR Request (F20) Record 1, start 38, end 41, length 4	Required when Underlying Firm Indicator is provided. Must be a valid NSCC Number when Underlying Firm Indicator = '01'.
	SDR Header (B/U21) Record 1, start 38, end 41, length 4	Required when Originator Type = 'U' or Underlying Firm Indicator is provided. Must be a valid NSCC Number when Originator Type = 'U' or Underlying Firm Indicator = '01'.
2. Underlying Firm Indicator	SDR Request (F20) Record 1, start 42, end 43, length 2.	Required when Underlying Firm Number is provided. Not allowed otherwise. 01 = NSCC Number 02 = OTC Symbol 03 = UFS
	SDR Header (B/U21) Record 1, start 42, end 43, length 2.	Required when Underlying Firm Number is provided. Not allowed otherwise. 01 = NSCC Number 02 = OTC Symbol 03 = UFS Must equal '01' when Originator Type = 'U'.
	SDR Summary (B/U25) Record 1, start 119, end 120, length 2.	Required when Underlying Firm Number is provided. Not allowed otherwise. 01 = NSCC Number 02 = OTC Symbol 03 = UFS
3. Dollar Value of ALL Participant/ Shareholder Buys	SDR Summary (B/U25) Record 1, start 35, end 50, length 16	Required if all the following are not provided: - Dollar Value of ALL Participant/Shareholder Sells; - Dollar Value of CATEGORY 1 Participant/Shareholder Buys; - Dollar Value of CATEGORY 1 Participant/Shareholder Sells; - Dollar Value of All Participant/Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of All Participant/Shareholder Exchanges (Intra-Fund Sell-Side); - Dollar Value of Category 1 Participant /Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of Category 1 Participant /Shareholder Exchanges (Intra-Fund Sell-Side).

Field Name	Location	Modified requirement
4. Dollar Value of ALL Participant/ Shareholder Sells	SDR Summary (B/U25) Record 1, start 51, end 66, length 16	Required if all the following are not provided: <ul style="list-style-type: none"> - Dollar Value of ALL Participant/Shareholder Buys; - Dollar Value of CATEGORY 1 Participant/Shareholder Sells; - Dollar Value of CATEGORY 1 Participant/Shareholder Buys; - Dollar Value of All Participant/Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of All Participant/Shareholder Exchanges (Intra-Fund Sell-Side); - Dollar Value of Category 1 Participant /Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of Category 1 Participant /Shareholder Exchanges (Intra-Fund Sell-Side).
5. Dollar Value of CATEGORY 1 Participant/ Shareholder Buys	SDR Summary (B/U25) Record 1, start 67, end 82, length 16	Required if all the following are not provided: <ul style="list-style-type: none"> - Dollar Value of ALL Participant/ Shareholder Buys; - Dollar Value of ALL Participant/Shareholder Sells; - Dollar Value of CATEGORY 1 Participant/Shareholder Sells; - Dollar Value of All Participant/Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of All Participant/Shareholder Exchanges (Intra-Fund Sell-Side); - Dollar Value of Category 1 Participant/Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of Category 1 Participant/Shareholder Exchanges (Intra-Fund Sell-Side).
6. Dollar Value of CATEGORY 1 Participant/ Shareholder Sells	SDR Summary (B/U25) Record 1, start 83, end 98, length 16	Required if all the following are not provided: <ul style="list-style-type: none"> - Dollar Value of ALL Participant/ Shareholder Sells; - Dollar Value of ALL Participant/Shareholder Buys; - Dollar Value of CATEGORY 1 Participant/Shareholder Buys; - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Sell-Side); - Dollar Value of CATEGORY 1 Participant /Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of CATEGORY 1 Participant /Shareholder Exchanges (Intra-Fund Sell-Side).
7. Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Buy-Side);	SDR Summary (B/U25) Record 2, start 6, end 21, length 16	Required if all the following are not provided: <ul style="list-style-type: none"> - Dollar Value of ALL Participant/Shareholder Sells; - Dollar Value of ALL Participant/Shareholder Buys; - Dollar Value of CATEGORY 1 Participant /Shareholder Buys; - Dollar Value of CATEGORY 1 Participant /Shareholder Sells; - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Sell-Side); - Dollar Value of CATEGORY 1 Participant/Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of CATEGORY 1 Participant /Shareholder Exchanges (Intra-Fund Sell-Side).

Field Name	Location	Modified requirement
8. Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Sell-Side)	SDR Summary (B/U25) Record 2, start 22, end 37, length 16	Required if all the following are not provided: <ul style="list-style-type: none"> - Dollar Value of ALL Participant/Shareholder Sells; - Dollar Value of ALL Participant/Shareholder Buys; - Dollar Value of CATEGORY 1 Participant /Shareholder Buys; - Dollar Value of CATEGORY 1 Participant /Shareholder Sells; - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of CATEGORY 1 Participant /Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of CATEGORY 1 Participant /Shareholder Exchanges (Intra-Fund Sell-Side).
9. Dollar Value of CATEGORY 1 Participant/Shareholder Exchanges (Intra-Fund Buy-Side)	SDR Summary (B/U25) Record 2, start 38, end 53, length 16	Required if all the following are not provided: <ul style="list-style-type: none"> - Dollar Value of ALL Participant/Shareholder Sells; - Dollar Value of ALL Participant/Shareholder Buys; - Dollar Value of CATEGORY 1 Participant /Shareholder Buys; - Dollar Value of CATEGORY 1 Participant /Shareholder Sells; - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Sell-Side); - Dollar Value of CATEGORY 1 Participant /Shareholder Exchanges (Intra-Fund Sell-Side).
10. Dollar Value of CATEGORY 1 Participant /Shareholder Exchanges (Intra-Fund Sell-Side)	SDR Summary (B/U25) Record 2, start 54, end 69, length 16	Required if all the following are not provided: <ul style="list-style-type: none"> - Dollar Value of ALL Participant/Shareholder Sells; - Dollar Value of ALL Participant/Shareholder Buys; - Dollar Value of CATEGORY 1 Participant /Shareholder Buys; - Dollar Value of CATEGORY 1 Participant /Shareholder Sells; - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Sell-Side); - Dollar Value of CATEGORY 1 Participant /Shareholder Exchanges (Intra-Fund Buy-Side).

2. NEW REJECT CODES

The following reject codes have been added:

- 99 = Firm is Not Member of SDR service
- A0 = Fund is Not Member of SDR service
- A1 = Underlying Firm is Not Member of SDR service

Summary of changes – effective Q2, 2007

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1. NEW FIELDS ADDED

The following new fields have been added:

Field Name	Location	Description
1. Unit Value Indicator	SDR Detail (B/U24) Record 1, start 123, end 123, length 1	0 or Space = Shares 1 = Units
2. Source System ID	SDR Detail (B/U24) Record 1, start 124, end 133, length 10	
3. Customer Level Account Number	SDR Detail (B/U24) Record 2, start 121, end 150, length 30	

2. NEW VALUES TO EXISTING FIELDS

New values have been added to the following fields:

Field Name	Location	New Values
1. Transaction Code	SDR Detail (B/U24) Record 1, start 47, end 48, length 2	60 = Credits 61 = Free Look 62 = Annuitization 63 = Reversals
2. Transaction Source	SDR Detail (B/U24) Record 2, start 20, end 20, length 1	4 = Record keeper or Insurance Carrier

3. REQUIREMENTS CHANGED FOR EXISTING FIELDS

Requirements have been changed for the following fields:

Field Name	Location	Modified requirement
1. Dollar Amount	SDR Detail (B/U24) Record 1, start 50, end 65, length 16	Optional if Transaction Type = 05 or 06 , or if Transaction Code = 7 or 52
2. Price	SDR Detail (B/U24) Record 1, start 80, end 91, length 12	Optional if Transaction Type = 05 or 06 , or if Transaction Code = 7 or 52
3. Dollar Value of ALL Participant/ Shareholder Buys	SDR Summary (B/U25) Record 1, start 35, end 50, length 16	Required if all the following are not provided: - Dollar Value of CATEGORY 1 Participant/Shareholder Buys - Dollar Value of ALL Participant/Shareholder Sells - Dollar Value of CATEGORY 1 Participant/Shareholder Sells

Field Name	Location	Modified requirement
4. Dollar Value of ALL Participant/ Shareholder Sells	SDR Summary (B/U25) Record 1, start 51, end 66, length 16	Required if all the following are not provided: - Dollar Value of CATEGORY 1 Participant/ Shareholder Sells - Dollar Value of ALL Participant/Shareholder Buys - Dollar Value of CATEGORY 1 Participant/Shareholder Buys
5. Dollar Value of CATEGORY 1 Participant/ Shareholder Buys	SDR Summary (B/U25) Record 1, start 67, end 82, length 16	Required if all the following are not provided: - Dollar Value of ALL Participant/ Shareholder Buys - Dollar Value of ALL Participant/Shareholder Sells - Dollar Value of CATEGORY 1 Participant/Shareholder Sells
6. Dollar Value of CATEGORY 1 Participant/ Shareholder Sells	SDR Summary (B/U25) Record 1, start 83, end 98, length 16	Required if all the following are not provided: - Dollar Value of ALL Participant/ Shareholder Sells - Dollar Value of ALL Participant/Shareholder Buys - Dollar Value of CATEGORY 1 Participant/Shareholder Buys

4. NEW REJECT CODES

The following reject code has been added:

- 98 = Unit Value Indicator invalid

Record Layouts

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The following are Networking Standardized Data Reporting (SDR) Record Layouts. The column headings are as follows:

Start	- The position where the field starts.
End	- The position where the field ends.
Len	- The length of the field in bytes
Type	- The type of the field: A/N = Alphanumeric N = Numeric
Field Name	- The name of the field.
Description	- Field description (format, valid values, conditional requirements, etc.).
Opt/Req	- Indicates whether the field is optional or required: O = Optional R = Required OC = Generally optional, but required upon specified conditions RC = Generally required, but optional upon specified conditions
SDR Reject Code	- The SDR reject code which indicates that this field is invalid. Note: Reject codes used for SDR are different then reject codes used for other Networking applications

Notes:

- Alphanumeric type fields may include any character in the computer character set, but should not include unprintable characters such as Low-Value, High-Value, Comp-3 fields, etc., since these kinds of characters may cause problems during transmission time.
- Numeric type fields may include digits (0-9) only.
- Required fields mean the following:
 - a. Fields with specified list of values must have one of those values.
 - b. Alphanumeric type fields without specified list of values may have any value as described in the first note above, but must not be spaces.
 - c. Numeric type fields without a specified list of values must be numeric greater than zero.
 - d. Fields with other requirements must follow these requirements (for example Firm Number must be valid and eligible for Networking).
- Optional fields means the following:
 - a. Fields with specified list of values must have one of those values or space.
 - b. Alphanumeric type fields without specified list of values may have any value as described in the first note above.
 - c. Numeric type fields without specified list of values must be numeric or space.

d. Fields with other requirements must follow these requirements or may be space (for example Fund Number must be valid and eligible for Fund/SERV or may be space)

- All dates in the layouts have the format mmddccyy (except where otherwise indicated) where:
mm = Month
dd = Day in month
cc = Century
yy = Year in century

Example:

June 15, 2006 is represented as: 06152006

September 3, 2007 is represented as: 09032007

SDR Request (F20)

RECORD 1 OF 2

Required

Input From Fund To NSCC

Output From NSCC To Firm (accepted) and Fund (rejected)

Note: SDR Request records do NOT have an application header (Record type 21) or trailer (record type 27) record

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SDR Fund Request (F20) Record 1 of 2

Field Name	Start	End	Len	Type	Description	Opt/Req	SDR Reject Code
Originator Type	1	1	1	A/N	F = Fund	R	01
Record Type	2	3	2	A/N	20 = SDR Request	R	02
Sequence Number	4	5	2	A/N	01	R	03
SDR Control Number	6	20	15	A/N	ppppyjjjnnnnnn Where: pppp = Fund Number y = Last digit of year jjj = Julian Date nnnnnn = Unique sequential number assigned by fund	R	04
Firm Number	21	24	4	A/N		R	06
Fund Number	25	28	4	A/N		R	09
Security Issue ID	29	37	9	A/N		R	13
Underlying Firm Number	38	41	4	A/N	Required when Underlying Firm Indicator is provided. Must be a valid NSCC Number when Underlying Firm Indicator = '01'.	OC	07
Underlying Firm Indicator	42	43	2	A/N	Required when Underlying Firm Number is provided. Not allowed otherwise. 01 = NSCC Number 02 = OTC Symbol 03 = UFS	OC	08

SDR Fund Request (F20) Record 1 of 2

Field Name	Start	End	Len	Type	Description	Opt/Req	SDR Reject Code
Fund Account Number	44	63	20	A/N	Required if Firm Account Number is not provided.	OC	10
Firm Account Number	64	83	20	A/N	Required if Fund Account Number is not provided.	OC	11
Fund/SERV Control Number	84	98	15	A/N	Required if SDR Request Type = 04	OC	
SDR Request Type	99	100	2	A/N	01 = Fund Account Level 02 = Plan Level 03 = Investor Omnibus Account Level 04 = Fund/SERV Control Number Request 05 = Rep Level 06 = Stop Recurring	R	05
From Date	101	108	8	A/N	mmddccyy	R	12
SSN/TIN	109	117	9	A/N		O	16
Filler	118	141	24	A/N	Space	R	
NSCC Reject Indicator	142	142	1	A/N	Input: Space Output: 0 = Accepted by NSCC 1 = Rejected by NSCC	R	
NSCC Reject Code 1	143	144	2	A/N	Input: Space Output: Reject code or space	R	
NSCC Reject Code 2	145	146	2	A/N	Input: Space Output: Reject code or space	R	
NSCC Reject Code 3	147	148	2	A/N	Input: Space Output: Reject code or space	R	
NSCC Reject Code 4	149	150	2	A/N	Input: Space Output: Reject code or space	R	

SDR Request (F20)

RECORD 2 OF 2

Optional/ Conditional

Input from Fund to NSCC

Output from NSCC to Firm (accepted) and Fund (rejected)

This record is required if SDR Request Type field of F20 record 1 equals 02 (Plan Level) or 03 (Investor Omnibus Account Level)

SDR Fund Request (F20) Record 2 of 2

Field Name	Start	End	Len	Type	Description	Opt/ Req	SDR Reject Code
Originator Type	1	1	1	A/N	F = Fund	R	01
Record Type	2	3	2	A/N	20 = SDR Request	R	02
Sequence Number	4	5	2	A/N	02	R	03
Plan ID/Investor Omnibus Account Number	6	25	20	A/N	Required if SDR Request Type equals one of the following: 02 = Plan Level or 03 = Investor Omnibus Account Level	OC	14
Omnibus Account Indicator	26	26	1	A/N	Required if Plan ID/Investor Omnibus Account Number is provided 0 = Plan ID 1 = Investor Omnibus Account	OC	15
Recurring Indicator	27	27	1	A/N	0 = No 1 = Yes	O	17
To Date	28	35	8	A/N	mmddccyy	O	18
Includes Category 2 Transactions?	36	36	1	A/N	0 = No 1 = Yes	O	19
Registered Representative (RR) Number	37	45	9	A/N	Required if SDR Request Type is 05 = Rep Level.	OC	20
RR Branch	46	54	9	A/N		O	21
RR Firm	55	62	8	A/N		O	22

SDR Fund Request (F20) Record 2 of 2

Field Name	Start	End	Len	Type	Description	Opt/ Req	SDR Reject Code
Original SDR Control Number	63	77	15	A/N	Used to stop a recurring request.	O	23
Threshold Amount	78	86	9	N	999,999,999 Threshold Amount is equal to or greater than (=>) Amount Requested.	O	24
Transaction Type	87	88	2	A/N	01 = Buy 02 = Sell Space means that the request is for all transactions, which may include transfers.	O	25
Filler	89	150	62	A/N	Space	R	

SDR Header (B/U21)

RECORD 1 OF 1

Required

Input From Firm To NSCC

Output From NSCC To Fund and Firm

The SDR Header record is used to introduce SDR Acknowledgment (B/U22), Reject (B/U23), Detail (B/U24) and/or Summary (B/U25) records.

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SDR Header (B/U21) Record 1 of 1

Field Name	Start	End	Len	Type	Description	Opt/Req	SDR Reject Code
Originator Type	1	1	1	A/N	B = Firm U = Underlying Firm	R	01
Record Type	2	3	2	A/N	21 = SDR Header	R	02
Sequence Number	4	5	2	A/N	01	R	03
SDR Control Number	6	20	15	A/N	The SDR Control Number submitted by the fund OR - The SDR Response Number (see start 101, end 115) for a response provided against a request made outside of NSCC.	R	04
Firm Number	21	24	4	A/N		R	06
Fund Number	25	28	4	A/N		R	09
Security Issue ID	29	37	9	A/N		R	13
Underlying Firm Number	38	41	4	A/N	Required when Originator Type = 'U' or Underlying Firm Indicator is provided. Must be a valid NSCC Number when Originator Type = 'U' or Underlying Firm Indicator = '01'.	OC	07

SDR Header (B/U21) Record 1 of 1

Field Name	Start	End	Len	Type	Description	Opt/Req	SDR Reject Code
Underlying Firm Indicator	42	43	2	A/N	Required when Underlying Firm Number is provided. Not allowed otherwise. 01 = NSCC Number 02 = OTC Symbol 03 = UFS Must equal '01' when Originator Type = 'U'.	OC	08
Fund Account Number	44	63	20	A/N	Required if Firm Account Number is not provided.	OC	10
Firm Account Number	64	83	20	A/N	Required if Fund Account Number is not provided.	OC	11
Fund/SERV Control Number	84	98	15	A/N		O	
Response Type	99	100	2	A/N	01 = Summary Level 02 = Detail Level 03 = Both Summary and Detail 04 = Acknowledgment 05 = Firm Reject	R	28
SDR Response Number	101	115	15	A/N		R	27
Partial Response Indicator	116	116	1	A/N	0 = Full/Final Response 1 = Partial Response 2 = Incomplete/Final Response	R	29
Correction Indicator	117	117	1	A/N	0 = Regular 1 = Correction	O	30
Filler	118	141	24	A/N	Space	R	
NSCC Reject Indicator	142	142	1	A/N	Input: Space Output: 0 = Accepted by NSCC 1 = Rejected by NSCC	R	
NSCC Reject Code 1	143	144	2	A/N	Input: Space Output: Reject code or space	R	
NSCC Reject Code 2	145	146	2	A/N	Input: Space Output: Reject code or space	R	
NSCC Reject Code 3	147	148	2	A/N	Input: Space Output: Reject code or space	R	
NSCC Reject Code 4	149	150	2	A/N	Input: Space Output: Reject code or space	R	

SDR Acknowledgment (B/U22)

RECORD 1 OF 1

Required

Input From Firm To NSCC

Output From NSCC To Fund (accepted) and Firm (rejected)

Note: This Acknowledgment record will be submitted within the Header (B/U21) and Trailer (B/U27). The Acknowledgment should be the first response from the Firm to the Fund for a specific SDR Request. However, NSCC will not validate the proper sequence for submitting the Acknowledgment and SDR Detail Response records.

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SDR Acknowledgment (B/U22) Record 1 of 1

Field Name	Start	End	Len	Type	Description	Opt/Req	SDR Reject Code
Originator Type	1	1	1	A/N	B = Firm U = Underlying Firm	R	01
Record Type	2	3	2	A/N	22 = SDR Acknowledgment	R	02
Sequence Number	4	5	2	A/N	01	R	03
Acknowledgment Indicator	6	6	1	A/N	0 = Response will be Provided 1 = Request will be Forwarded to the Underlying Firm	R	67
Anticipated Response Date	7	14	8	A/N	mmddccyy	O	68
Anticipated Response File Frequency	15	15	1	A/N	0 = Full Response 1 = Partial Response	O	69
Filler	16	141	126	A/N	Space	R	
NSCC Reject Indicator	142	142	1	A/N	Input: Space Output: 0 = Accepted by NSCC 1 = Rejected by NSCC	R	
NSCC Reject Code 1	143	144	2	A/N	Input: Space Output: Reject code or space	R	
NSCC Reject Code 2	145	146	2	A/N	Input: Space Output: Reject code or space	R	
NSCC Reject Code 3	147	148	2	A/N	Input: Space Output: Reject code or space	R	
NSCC Reject Code 4	149	150	2	A/N	Input: Space Output: Reject code or space	R	

SDR Reject (B/U23)

RECORD 1 OF 1

Required

Input From Firm To NSCC

Output From NSCC To Fund (accepted) and Firm (rejected)

Note: This Reject record will be submitted within the Header (B/U21) and Trailer (B/U27).

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SDR Reject (B/U23) Record 1 of 1

Field Name	Start	End	Len	Type	Description	Opt/Req	SDR Reject Code
Originator Type	1	1	1	A/N	B = Firm U = Underlying Firm	R	01
Record Type	2	3	2	A/N	23 = SDR Reject	R	02
Sequence Number	4	5	2	A/N	01	R	03
Firm Reject Code 1	6	7	2	A/N		R	66
Firm Reject Code 2	8	9	2	A/N		O	66
Firm Reject Code 3	10	11	2	A/N		O	66
Firm Reject Code 4	12	13	2	A/N		O	66
Filler	14	141	128	A/N	Space	R	
NSCC Reject Indicator	142	142	1	A/N	Input: Space Output: 0 = Accepted by NSCC 1 = Rejected by NSCC	R	
NSCC Reject Code 1	143	144	2	A/N	Input: Space Output: Reject code or space	R	
NSCC Reject Code 2	145	146	2	A/N	Input: Space Output: Reject code or space	R	
NSCC Reject Code 3	147	148	2	A/N	Input: Space Output: Reject code or space	R	
NSCC Reject Code 4	149	150	2	A/N	Input: Space Output: Reject code or space	R	

SDR Detail (B/U24)

RECORD 1 OF 2

Required

Input From Firm To NSCC

Output From NSCC To Fund (accepted) and Firm (rejected)

The Detail records represent the Shareholder SSN/TIN within a particular Plan ID or Investor Omnibus Account. The Detail may be repeated within the Header (B/U21) and Trailer (B/U27) records.

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SDR Detail (B/U24) Record 1 of 2

Field Name	Start	End	Len	Type	Description	Opt/Req	SDR Reject Code
Originator Type	1	1	1	A/N	B = Firm U = Underlying Firm	R	01
Record Type	2	3	2	A/N	24 = SDR Detail	R	02
Sequence Number	4	5	2	A/N	01	R	03
Plan ID/Investor Omnibus Account Number	6	25	20	A/N		O	14
Omnibus Account Indicator	26	26	1	A/N	Required if Plan ID/Investor Omnibus Account Number is provided 0 = Plan ID 1 = Investor Omnibus Account	OC	15
SSN/TIN	27	35	9	A/N		R	16
SSN/TIN Indicator	36	36	1	A/N	0 = Tax ID number 1 = Social security number 2 = Investor TIN/EIN	R	32
NAV Date	37	44	8	A/N	mmddccyy	R	33

SDR Detail (B/U24) Record 1 of 2

Field Name	Start	End	Len	Type	Description	Opt/ Req	SDR Reject Code
Transaction Type	45	46	2	A/N	01 = Buy 02 = Sell 03 = Exchange (Intra-Fund Buy Side) 04 = Exchange (Intra-Fund Sell Side) 05 = Transfer in (such as ACATS, Networking B52, and transfers in kind) 06 = Transfer out (such as ACATS, Networking B52, and transfers in kind)	R	25

SDR Detail (B/U24) Record 1 of 2

Field Name	Start	End	Len	Type	Description	Opt/Req	SDR Reject Code
Transaction Code (Used to indicate detailed/specific transaction codes that fall under the respective Transaction Types)	47	48	2	A/N	01 = Employee Contribution 02 = Employer Contribution 03 = Additional Contribution 04 = Loan repayment-principal 05 = Loan repayment-interest 06 = Forfeiture 07 = Adjustments 08 = Fund Transfer 09 = Exchange 10 = Conversion Balance Transfer 11 = Non-discrimination refund 12 = Loan Distribution 13 = In-service distribution 14 = Installment Distribution 15 = Termination Distribution 16 = Hardship Distribution 17 = Lump Sum Distribution 18 = QDRO Distributions 19 = Required Minimum Distribution 20 = STR Fee 21 = CDSC Fee 22 = Other Fees 23 = Rebalance 24 = Return of Excess Distribution 25 = Rollover 50 = Initial/Subsequent Purchase 51 = Sell/Redemption 52 = Physical Transfer of Shares 53 = Automated or Systematic Transaction 60 = Credits 61 = Free Look 62 = Annuitization 63 = Reversals	0	34
Transaction Category	49	49	1	A/N	1 = Category 1 2 = Category 2	R	35
Dollar Amount	50	65	16	N	99,999,999,999,999.99 Optional if Transaction Type = 05 or 06, or if Transaction Code = 7 or 52.	RC	36
Share Amount	66	79	14	N	9,999,999,999.9999	R	37

SDR Detail (B/U24) Record 1 of 2

Field Name	Start	End	Len	Type	Description	Opt/Req	SDR Reject Code
Price	80	91	12	N	999,999.999999 Optional if Transaction Type = 05 or 06, or if Transaction Code = 7 or 52.	RC	38
Transaction ID	92	111	20	A/N		O	(Removed '39' effective Q2, 2012)
Contra Security Issue ID	112	120	9	A/N		O	40
Social Code	121	122	2	A/N	See List of Social Codes on NSCC Website.	O	53
Unit Value Indicator	123	123	1	A/N	0 or Space = Shares 1 = Units	O	98
Source System ID	124	133	10	A/N		O	
Filler	134	141	8	A/N	Space	R	
NSCC Reject Indicator	142	142	1	A/N	Input: Space Output: 0 = Accepted by NSCC 1 = Rejected by NSCC	R	
NSCC Reject Code 1	143	144	2	A/N	Input: Space Output: Reject code or space	R	
NSCC Reject Code 2	145	146	2	A/N	Input: Space Output: Reject code or space	R	
NSCC Reject Code 3	147	148	2	A/N	Input: Space Output: Reject code or space	R	
NSCC Reject Code 4	149	150	2	A/N	Input: Space Output: Reject code or space	R	

SDR Detail (B/U24)

RECORD 2 OF 2

Optional

Input From Firm To NSCC

Output From NSCC To Fund (accepted) and Firm (rejected)

SDR Detail (B/U24) Record 2 of 2

Field Name	Start	End	Len	Type	Description	Opt/Req	SDR Reject Code
Originator Type	1	1	1	A/N	B = Firm U = Underlying Firm	R	01
Record Type	2	3	2	A/N	24 = SDR Detail	R	02
Sequence Number	4	5	2	A/N	02	R	03
STR Fee Amount	6	12	7	N	99,999.99	O	41
CDSC Amount	13	19	7	N	99,999.99	O	42
Transaction Source	20	20	1	A/N	0 = Participant/Shareholder 1 = Plan/Administrator 2 = Rep 3 = Firm Cannot Differentiate 4 = Record keeper or Insurance Carrier	O	43
Registered Representative (RR) Number	21	29	9	A/N		O	20
RR Branch	30	38	9	A/N		O	21
RR Firm	39	46	8	A/N		O	22
Agent For Firm	47	50	4	A/N		O	
Plan Name	51	85	35	A/N		O	
Customer Name	86	120	35	A/N		O	
Customer Level Account Number	121	150	30	A/N		O	

SDR Summary (B/U25)

RECORD 1 OF 2

Required

Input From Firm To NSCC

Output From NSCC To Fund (accepted) and Firm (rejected)

This Summary record will be submitted within the Header (B/U21) and Trailer (B/U27). It replaces the Detail records (B/U24) as a response for each plan or investor omnibus account.

Dollar Values do not include Transfers, which are not recorded with a price or value.

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SDR Summary (B/U25) Record 1 of 2

Field Name	Start	End	Len	Type	Description	Opt/Req	SDR Reject Code
Originator Type	1	1	1	A/N	B = Firm U = Underlying Firm	R	01
Record Type	2	3	2	A/N	25 = SDR Summary	R	02
Sequence Number	4	5	2	A/N	01	R	03
Plan ID/Investor Omnibus Account Number	6	25	20	A/N	One of the following is required: Plan ID or Investor Omnibus Account Number	R	14
Omnibus Account Indicator	26	26	1	A/N	0 = Plan ID 1 = Investor Omnibus Account	R	15
NAV Date	27	34	8	A/N	mmddccyy	R	33

SDR Summary (B/U25) Record 1 of 2

Field Name	Start	End	Len	Type	Description	Opt/Req	SDR Reject Code
Dollar Value of ALL Participant/ Shareholder Buys	35	50	16	N	99,999,999,999,999.99 Required if none of the following are provided: <ul style="list-style-type: none"> - Dollar Value of ALL Participant/Shareholder Sells; - Dollar Value of CATEGORY 1 Participant/Shareholder Buys; - Dollar Value of CATEGORY 1 Participant/Shareholder Sells; - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Sell-Side); - Dollar Value of CATEGORY 1 Participant /Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of CATEGORY 1 Participant /Shareholder Exchanges (Intra-Fund Sell-Side). 	OC	47
Dollar Value of ALL Participant/ Shareholder Sells	51	66	16	N	99,999,999,999,999.99 Required if none of the following are provided: <ul style="list-style-type: none"> - Dollar Value of ALL Participant/Shareholder Buys; - Dollar Value of CATEGORY 1 Participant/Shareholder Sells; - Dollar Value of CATEGORY 1 Participant/Shareholder Buys; - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Sell-Side); - Dollar Value of CATEGORY 1 Participant /Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of CATEGORY 1 Participant /Shareholder Exchanges (Intra-Fund Sell-Side). 	OC	48

SDR Summary (B/U25) Record 1 of 2

Field Name	Start	End	Len	Type	Description	Opt/Req	SDR Reject Code
Dollar Value of CATEGORY 1 Participant/ Shareholder Buys	67	82	16	N	99,999,999,999,999.99 Required if none of the following are provided: - Dollar Value of ALL Participant/ Shareholder Buys; - Dollar Value of ALL Participant/Shareholder Sells; - Dollar Value of CATEGORY 1 Participant/Shareholder Sells; - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Sell-Side); - Dollar Value of CATEGORY 1 Participant/Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of CATEGORY 1 Participant/Shareholder Exchanges (Intra-Fund Sell-Side).	OC	49
Dollar Value of CATEGORY 1 Participant/ Shareholder Sells	83	98	16	N	99,999,999,999,999.99 Required if none of the following are provided: - Dollar Value of ALL Participant/ Shareholder Sells; - Dollar Value of ALL Participant/Shareholder Buys; - Dollar Value of CATEGORY 1 Participant/Shareholder Buys; - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Sell-Side); - Dollar Value of CATEGORY 1 Participant /Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of CATEGORY 1 Participant /Shareholder Exchanges (Intra-Fund Sell-Side).	OC	50
Number of CATEGORY 1 Participant/ Shareholder Buys	99	106	8	N	99,999,999	O	51
Number of CATEGORY 1 Participant/ Shareholder Sells	107	114	8	N	99,999,999	O	52

SDR Summary (B/U25) Record 1 of 2

Field Name	Start	End	Len	Type	Description	Opt/ Req	SDR Reject Code
Underlying Firm Number	115	118	4	A/N		O	07
Underlying Firm Indicator	119	120	2	A/N	Required when Underlying Firm Number is provided. Not allowed otherwise. 01 = NSCC Number 02 = OTC Symbol 03 = UFS	OC	08
Social Code	121	122	2	A/N	See List of Social Codes on NSCC Website.	O	53
Filler	123	141	19	A/N	Space	R	
NSCC Reject Indicator	142	142	1	A/N	Input: Space Output: 0 = Accepted by NSCC 1 = Rejected by NSCC	R	
NSCC Reject Code 1	143	144	2	A/N	Input: Space Output: Reject code or space	R	
NSCC Reject Code 2	145	146	2	A/N	Input: Space Output: Reject code or space	R	
NSCC Reject Code 3	147	148	2	A/N	Input: Space Output: Reject code or space	R	
NSCC Reject Code 4	149	150	2	A/N	Input: Space Output: Reject code or space	R	

SDR Summary (B/U25)

RECORD 2 OF 2

Optional

Input From Firm To NSCC

Output From NSCC To Fund (accepted) and Firm (rejected)

SDR Summary (B/U25) Record 2 of 2

Field Name	Start	End	Len	Type	Description	Opt/Req	SDR Reject Code
Originator Type	1	1	1	A/N	B = Firm U = Underlying Firm	R	01
Record Type	2	3	2	A/N	25 = SDR Summary	R	02
Sequence Number	4	5	2	A/N	02	R	03
Dollar Value of ALL Participant/Shareholder Exchanges (Intra Fund Buy-Side)	6	21	16	N	99,999,999,999,999.99 Required if none of the following are provided: <ul style="list-style-type: none"> - Dollar Value of ALL Participant/Shareholder Sells; - Dollar Value of ALL Participant/Shareholder Buys; - Dollar Value of CATEGORY 1 Participant/Shareholder Buys; - Dollar Value of CATEGORY 1 Participant/Shareholder Sells; - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Sell-Side); - Dollar Value of CATEGORY 1 Participant/Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of CATEGORY 1 Participant/Shareholder Exchanges (Intra-Fund Sell-Side). 	OC	54

SDR Summary (B/U25) Record 2 of 2

Field Name	Start	End	Len	Type	Description	Opt/Req	SDR Reject Code
Dollar Value of ALL Participant/ Shareholder Exchanges (Intra Fund Sell-Side)	22	37	16	N	99,999,999,999,999.99 Required if none of the following are provided: <ul style="list-style-type: none"> - Dollar Value of ALL Participant/Shareholder Sells; - Dollar Value of ALL Participant/Shareholder Buys; - Dollar Value of CATEGORY 1 Participant/Shareholder Buys; - Dollar Value of CATEGORY 1 Participant/Shareholder Sells; - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of CATEGORY 1 Participant/Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of CATEGORY 1 Participant /Shareholder Exchanges (Intra-Fund Sell-Side). 	OC	55
Dollar Value of CATEGORY 1 of Participant/ Shareholder Exchanges (Intra Fund Buy-Side)	38	53	16	N	99,999,999,999,999.99 Required if none of the following are provided: <ul style="list-style-type: none"> - Dollar Value of ALL Participant/Shareholder Sells; - Dollar Value of ALL Participant/Shareholder Buys; - Dollar Value of CATEGORY 1 Participant/Shareholder Buys; - Dollar Value of CATEGORY 1 Participant/Shareholder Sells; - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Sell-Side); - Dollar Value of CATEGORY 1 Participant/Shareholder Exchanges (Intra-Fund Sell-Side). 	OC	56

SDR Summary (B/U25) Record 2 of 2

Field Name	Start	End	Len	Type	Description	Opt/Req	SDR Reject Code
Dollar Value of CATEGORY 1 Participant/ Shareholder Exchanges (Intra Fund Sell-Side)	54	69	16	N	99,999,999,999,999.99 Required if none of the following are provided: - Dollar Value of ALL Participant/Shareholder Sells; - Dollar Value of ALL Participant/Shareholder Buys; - Dollar Value of CATEGORY 1 Participant/Shareholder Buys; - Dollar Value of CATEGORY 1 Participant/Shareholder Sells; - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Buy-Side); - Dollar Value of ALL Participant/Shareholder Exchanges (Intra-Fund Sell-Side); - Dollar Value of CATEGORY 1 Participant /Shareholder Exchanges (Intra-Fund Buy-Side).	OC	57
Number of CATEGORY 1 Participant/ Shareholder Exchanges (Intra Fund Buy-Side)	70	77	8	N	99,999,999	O	58
Number of CATEGORY 1 Participant/ Shareholder Exchanges (Intra Fund Sell-Side)	78	85	8	N	99,999,999	O	59
Number of Shares in Plan/Investor Omnibus Account	86	99	14	N	9,999,999,999.9999	O	60
EOD Dollar Balance	100	115	16	N	99,999,999,999,999.99	O	61
Filler	116	150	35	A/N	Space	R	

SDR Trailer (B/U27)

RECORD 1 OF 2

Required

Input From Firm To NSCC

Output From NSCC To Fund and Firm

The SDR Trailer record Sequence #1 is used to recap the SDR Acknowledgment (B/U22), Reject (B/U23), Detail (B/U24) and/or Summary (B/U25) records.

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SDR Trailer (B/U27) Record 1 of 2

Field Name	Start	End	Len	Type	Description	Opt/Req	SDR Reject Code
Originator Type	1	1	1	A/N	B = Firm U = Underlying Firm	R	01
Record Type	2	3	2	A/N	27 = SDR Trailer	R	02
Sequence Number	4	5	2	A/N	01	R	03
SDR Control Number	6	20	15	A/N	Same as in the Header (B/U21)	R	04
Firm Number	21	24	4	A/N	Same as in the Header (B/U21)	R	06
Fund Number	25	28	4	A/N	Same as in the Header (B/U21)	R	09
Security Issue ID	29	37	9	A/N	Same as in the Header (B/U21)	R	13
Underlying Firm Number	38	41	4	A/N	Same as in the Header (B/U21)	OC	07
SDR Response Number	42	56	15	A/N	Same as in the Header (B/U21)	R	27
Total Acknowledgment Items	57	65	9	N	999,999,999 Number of record type 22 with sequence 01 within this group (Zero Allowed)	R	88
Total Reject Items	66	74	9	N	999,999,999 Number of record type 23 with sequence 01 within this group (Zero Allowed).	R	89
Total Detail Items	75	83	9	N	999,999,999 Number of record type 24 with sequence 01 within this group (Zeroes Allowed).	R	62

SDR Trailer (B/U27) Record 1 of 2

Field Name	Start	End	Len	Type	Description	Opt/ Req	SDR Reject Code
Total Summary Items	84	92	9	N	999,999,999 Number of record type 25 with sequence 01 within this group (Zeroes Allowed).	R	63
Total Records	93	101	9	N	999,999,999 Total number of PHYSICAL records (including SDR headers and trailers) within this group.	R	64
Filler	102	141	40	A/N	Space	R	
NSCC Reject Indicator	142	142	1	A/N	Input: Space Output: 0 = Accepted by NSCC 1 = Rejected by NSCC	R	
NSCC Reject Code 1	143	144	2	A/N	Input: Space Output: Reject code or space	R	
NSCC Reject Code 2	145	146	2	A/N	Input: Space Output: Reject code or space	R	
NSCC Reject Code 3	147	148	2	A/N	Input: Space Output: Reject code or space	R	
NSCC Reject Code 4	149	150	2	A/N	Input: Space Output: Reject code or space	R	

SDR Trailer (B/U27)

RECORD 2 OF 2

Output From NSCC To Fund and firm

The SDR Trailer record Sequence #2 is used by NSCC to inform Firms and Funds of the number of items that have been accepted or rejected by NSCC on input.

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SDR Trailer (B/U27) Record 2 of 2

Field Name	Start	End	Len	Type	Description	Opt/Req	SDR Reject Code
Originator Type	1	1	1	A/N	B = Firm U = Underlying Firm	R	01
Record Type	2	3	2	A/N	27 = SDR Trailer	R	02
Sequence Number	4	5	2	A/N	02	R	03
Total Input Acknowledgment Items accepted	6	14	9	N	999,999,999 Number of record type 22 with sequence 01 accepted by NSCC on input.	R	
Total Input Reject Items Accepted	15	23	9	N	999,999,999 Input: Space Output: Number of record type 23 with sequence 01 accepted by NSCC on input.	R	
Total Input Detail Items Accepted	24	32	9	N	999,999,999 Input: Space Output: Number record type 24 with sequence 01 accepted by NSCC on input.	R	
Total Input Summary Items Accepted	33	41	9	N	999,999,999 Input: Space Output: Number of record type 25 with sequence 01 accepted by NSCC on input.	R	
Total Input Acknowledgment Items Rejected	42	50	9	N	999,999,999 Input: Space Output: Number of record type 22 with sequence 01 rejected by NSCC on input.	R	

SDR Trailer (B/U27) Record 2 of 2

Field Name	Start	End	Len	Type	Description	Opt/ Req	SDR Reject Code
Total Input Reject Items Rejected	51	59	9	N	999,999,999 Input: Space Output: Number of record type 23 with sequence 01 rejected by NSCC on input.	R	
Total Input Detail Items Rejected	60	68	9	N	999,999,999 Input: Space Output: Number of record type 24 with sequence 01 rejected by NSCC on input.	R	
Total Input Summary Items Rejected	69	77	9	N	999,999,999 Input: Space Output: Number of record type 25 with sequence 01 rejected by NSCC on input	R	
Filler	78	150	73	A/N	Space	R	

SDR Reminder (N28)

RECORD 1 OF 1

Output From NSCC To Fund and Firm

Note: SDR Reminder records do NOT have an application header (21) or trailer (27) record

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Field Name	Start	End	Len	Type	Description
Originator Type	1	1	1	A/N	N = NSCC
Record Type	2	3	2	A/N	28 = SDR Reminder
Sequence Number	4	5	2	A/N	01
SDR Control Number	6	20	15	A/N	
Firm Number	21	24	4	A/N	
Fund Number	25	28	4	A/N	
Security Issue ID	29	37	9	A/N	
Underlying Firm Number	38	41	4	A/N	
Reminder Age	42	44	3	N	001-998 = Reminder Age (in business days, including Saturday) 999 = Final Reminder, SDR Request has been removed from database
Filler	45	150	106	A/N	Space

SDR Grand Total Trailer (B/F/N/U29)

RECORD 1 OF 1

Required

Input/Output

The SDR grand total trailer record is used to recap all records for a submitting participant (on input to NSCC) or receiving participant (on output from NSCC).

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SDR Grand Total Trailer (B/F/N/U29) Record 1 of 1

Field Name	Start	End	Len	Type	Description	Opt/Req
Originator Type	1	1	1	A/N	<u>Input:</u> B = Firm F = Fund U = Underlying Firm <u>Output:</u> N = NSCC	R
Record Type	2	3	2	A/N	29 = SDR Grand Total Trailer	R
Sequence Number	4	5	2	A/N	01	R
Participant Number	6	9	4	A/N	Input: Submitter (Originator) Output: Recipient	R
Total records	10	18	9	N	999,999,999 Total number of PHYSICAL records per submitter (input to NSCC) or recipient (output from NSCC)	R
Filler	19	150	132	A/N	Space	R

SDR NSCC Output Header (N00)

RECORD 1 OF 1

Output From NSCC To Fund and Firm

This is the first record in NSCC output SDR file.

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SDR Output Header (N00) Record 1 of 1

Field Name	Start	End	Len	Type	Description
System Code (Originator Type)	1	1	1	A/N	N = NSCC
Record Type	2	3	2	A/N	00 = SDR NSCC Output Header
Sequence Number	4	5	2	A/N	01
Recipient Number	6	9	4	A/N	
Literal	10	20	11	A/N	11111111111
Transmission Date	21	28	8	A/N	mmddccyy
Autoroute File Id	29	36	8	A/N	Value '02100298' (Fund Request) or '02100327' (Firm Response)
Literal	37	53	17	A/N	Value 'SDR Fund Request' or 'SDR Firm Response'
Filler	54	150	97	A/N	Space

Datatrak Header

RECORD 1 OF 1

Required

Input From Fund and Firm To NSCC

This is the first record in any SDR file submitted through Datatrak.

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Datatrak Header Record 1 of 1

Field Name	Start	End	Len	Type	Description	Opt/Req
Literal	1	5	5	A/N	Value 'HDR.S'	R
DATATRAK SYSID	6	10	5	A/N	Value '26398' (Fund input) or '26327' (Firm input)	R
Literal	11	16	6	A/N	Value '.E00.C'	R
Originator	17	20	4	A/N		R
Literal	21	22	2	A/N	Value '.S'	R
Sub Originator	23	26	4	A/N		R
Processing Date	27	34	8	N	mmddccyy	R
File Description	35	59	25	A/N	Value 'MF SDR FUND INPUT' or 'MF SDR FIRM INPUT'	R
Multi-batch Last Batch Indicator	60	60	1	A/N	N = Not last batch Y = Last batch	R
Multi-batch Batch Counter	61	63	3	N		R
Filler	64	150	87	A/N	Space	R

Datatrak Trailer

RECORD 1 OF 1

Required

Input From Fund and Firm To NSCC

This is the last record in any SDR file submitted through Datatrak.

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Datatrak Trailer Record 1 of 1

Field Name	Start	End	Len	Type	Description	Opt/Req
Literal	1	5	5	A/N	END.S	R
DATATRAK SYSID	6	10	5	A/N	Value '26398' (Fund input) or '26327' (Firm input)	R
Literal	11	16	6	A/N	.E00.C	R
Originator ID	17	20	4	A/N		R
Literal	21	22	2	A/N	.S	R
Sub Originator ID	23	26	4	A/N		R
Total Records	27	33	7	A/N	9,999,999 Total # of records in file excluding Datatrak header and trailer	R
Filler	34	150	117	A/N	Space	R