



TRUST BANK

SEC Rule 22c-2 SDR File Formats Third Party Administrator (TPA) Guide

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1. Introduction

SEC Rule 22c-2 addresses market timing and frequent trading issues in the mutual fund industry, and requires broker-dealers, banks, insurance companies, and retirement plan administrators (known as “intermediaries”), including Charles Schwab & Co. Inc. (Member SIPC), the registered broker-dealer, and Charles Schwab Trust Bank (“CSTB”), to provide fund companies (each, a “Fund Company”) with specific shareholder identity and trading information upon request. Charles Schwab & Co., Inc. and CSTB are referred to collectively herein as “Schwab.”

The Depository Trust & Clearing Corporation (“DTC”) has issued Standardized Data Reporting (“SDR”) guidelines which dictate the formats of electronic files to be used to submit such requests (each, a “SDR Request”) and to provide responses (each, a “SDR Response”) or rejections (each, a “SDR Reject”) back to the Fund Companies. Schwab has enhanced its systems to accommodate the delivery and receipt of these files in accordance with the SDR guidelines.

As noted in this Guide, CSTB will delivery SDR Request files to TPAs with respect to accounts at both CSTB and Charles Schwab & Co., Inc. (the “B/D”), and TPAs are expected to return SDR Response and SDR Reject files in return.

2. Purpose of this Document

This document provides a high-level review of the components of a Fund Company Request, the significant fields in the SDR Request file which provides the Third Party Administrator (TPA) with the information sought by the Fund Company, and the important elements of each TPA’s SDR Response and Reject files which are critical to the successful return of information back to the Fund Company. The information in this guide refers to SDR Requests and Responses with respect to accounts at both Charles Schwab & Co., Inc. (“B/D Account”) and CSTB (“CSTB Account”)

Detailed file specifications which describe each field and their required or eligible values may be found in the Appendix:

[Appendix A SDR Request File Format](#)
[Appendix B SDR Response File Format](#)
[Appendix C SDR Reject File Format](#)

Important note: The information contained in this document is based on CSTB’s successful tests with certain TPAs, recordkeeping vendors, other Schwab groups, and the DTC. However, the SDR file formats and guidelines issued by the DTC provide for a variety of interpretations. This document and the statements made herein should not be construed to be definitive and may not be applicable to files exchanged with non-Schwab trading platforms.

Please refer to the DTC website for complete details and updates: <http://funds.DTC.com>

3. SDR Request File

At the end of each day, CSTB will gather all of the Requests submitted by Fund Companies through the Schwab Trading Activity Portal (“STAP”), and combine them into one Request file for each TPA (for CSTB Account Requests) and each FA Master (for B/D Account Requests). Thus, a file may contain one or more Requests. CSTB Account and B/D Account Requests will not be co-mingled in the same file.

The files will be available for download along with the other daily Schwab files currently provided on [Schwab Advisor Center](#).

3.1. SDR Request File Naming Conventions

CSTB Account Request Files

File Type: CSTB 22C-2 SDR Trust Request
File Name: RMMDDYY#.TPA

where:

MMDDYY = Schwab Request file creation date
= Sequential number
(1 file per day expected)
TPA = 3-digit TPA Code

Example: R1015071.123

B/D Account Request Files

File Type: CSTB 22C-2 SDR Custody BD Request
File Name: CSMDDYY#.SDR

where:

MMDDYY = Schwab Request file creation date
= Sequential number
(1 file per day expected)

Example CS1015071.SDR

3.2. SDR Request File Format

The SDR Request File is composed of one or more Requests. Each Request is captured in two rows of data, so the file will always contain two rows, or multiples of two rows.

Request Record (F20) 1 of 2

Originator Type: "F" = Fund
Record Type: "20" = SDR Request
Sequence Number: "01"

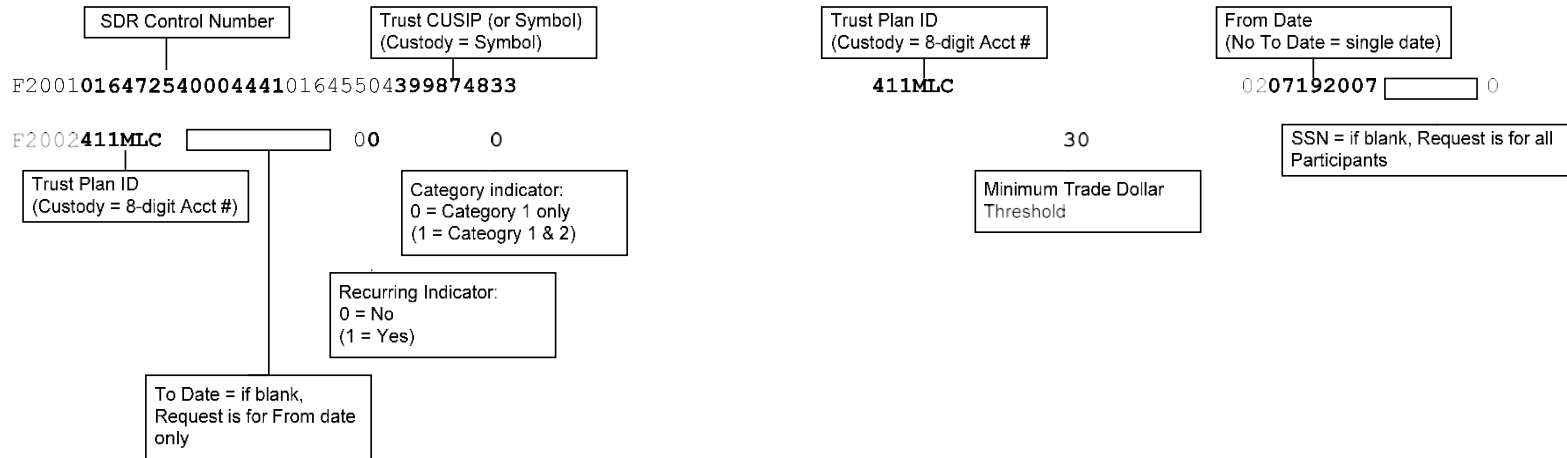
Request Record (F20) 2 of 2

Originator Type: "F" = Fund
Record Type: "20" = SDR Request
Sequence Number: "02"

Multiple pairs of Request Records 1 & 2 are possible

There are no Header or Trailer Records in the Request File.

Sample SDR Request File



3.3. SDR Request Data Elements

Fund Companies will submit their Requests for information through the Schwab Trade Activity Portal (“STAP”). The data elements which comprise a Request are:

Element	Options	Notes
SDR Control Number	None; unique number assigned by Schwab for each Request	See below: 3.3.1 SDR Control Number
Fund	One Fund per Request	See below: 3.3.2 Security Issue ID
Date	Single Date	From date = prior date within last 90 days
	Date Range	From date = prior date within last 90 days To date = prior date within last 90 days
	Recurring	From date = prior business day To date = until Stop Recurring request received See below: 3.3.3 Recurring Request / Stop Recurring Request
	Stop Recurring	Cancels current Single Date or Date Range request, or stops current Recurring request See below: 3.3.3 Recurring Request / Stop Recurring Request
Plan/Participant Detail	Specific Plan	See below: 3.3.4 Plan/Participant Detail
	Specific Plan / Specific SSN	
Category	Category 1	See below: 3.3.5 Category
	Category 1 & Category 2	
Threshold	None	All trades that meet other criteria should be included, regardless of dollar amount
	Minimum trade dollar amount in whole dollars	Only those trades, if any, for which the dollar amount

3.3.1. SDR Control Number

The SDR Control Number is a unique, 15-digit number generated by Schwab. The SDR Control Number serves as the tracking number of the Request throughout its cycle.

The format of this number is:

Ppppyjjjnnnnnnn

Where

:

pppp = Firm Number (always “0164” or “2993”)
 y = Last digit of current year
 jjj = Julian date of Fund Company Request.
 nnnnnn = Sequential number

Example: **01647290000001**

3.3.2. Security Issue ID

The Security Issue ID identifies the Fund for which the Request is being made. The field may contain either Symbol or CUSIP, based on the following:

- CSTB Account Requests: Symbol or CUSIP, based on the TPA's Trade File security naming convention.
- B/D Account Requests: Always Symbol.

3.3.3. Recurring Request / Stop Recurring Request

When a Fund Company identifies a Request as Recurring, the "From" date in the Request File will always contain the business date prior to that on which the Request was submitted by the Fund Company. Provided that the components of a Request result in a Response File (versus a Reject File), the TPA is expected to continue submitting Response Files until a Stop Recurring Request is received in a subsequent Request File. Each time a Response File is sent, it should reference the same SDR Control Number.

When a Stop Recurring Request is submitted by the Fund Company, it will be forwarded to the TPA with other new Requests, if any. The Original SDR Control Number will be provided in a field reserved for that purpose.

When a Stop Recurring Request is received, the TPA is no longer required to provide a Response for that SDR Control Number. No acknowledgement of the Stop is expected from the TPA.

3.3.4. Plan/Participant Detail

The Request file will identify the Plan for which it applies:

- CSTB Account Requests: The Plan Code used for Trade instructions will be used to identify the Plan.
- B/D Account Requests: The 8-digit Schwab Broker/Dealer account number will be used to identify the Plan.

When the Request is for a specific Participant, a Social Security Number will be sent. If there is no Social Security Number specified, the Request is for all Participants.

3.3.5. Category

Requests are made for either:

- "Category 1" Participant-directed transactions only; or
- Both "Category 1" and "Category 2" Other transactions.

TPAs are advised to consult with their recordkeeping system's vendor regarding the proper coding of transactions.

4. SDR Response File

The SDR Response File is generated by the TPA’s recordkeeping system when the components of a Request (see [3.2 SDR Request Data Elements](#) above) match the information stored on the recordkeeping system.

Although a Request File may contain more than one Request for one or more Plans, each Response File (or Reject File) contains information for one Request only, as represented by the SDR Control Number.

The Response files can be uploaded along with the other daily Schwab files via [Schwab Advisor Center](#).

4.1. SDR Response File Naming Conventions

CSTB Account Response Files

File Type: CSTB 22C-2 SDR Response
 File Name: RMMDDYY###_SDRControlNumber.TPA

where:

MMDDYY	=	Schwab Request file creation date
###	=	Sequential number (1 file per SDR Control Number)
SDRControlNumber	=	SDR Control Number
TPA	=	3-digit TPA Code

Example: R101507002_016472590004233.123

BD Account Response Files

File Type: CSTB 22C-2 SDR Response
 File Name: RMMDDYY###_SDRControlNumber.SDR

where:

MMDDYY	=	Schwab Request file creation date
###	=	Sequential number (1 file per SDR Control Number)
SDRControlNumber	=	SDR Control Number

Example R101507002_016472590004233.123

4.2. SDR Response File Format

The SDR Response File contains information for one SDR Request, and each file contains both a Header record and Trailer record. Each Response Detail record is captured in two rows of data, so the file will always contain at least four rows (Header, one or more detail records in multiples of two, and Trailer).

2. **Underlying Firm Indicator** (Header Record B21 1 of 1)

Always blank when the Underlying Firm Number is blank (see above).

3. **Response Type** (Header Record B21 1 of 1)

Always "02" = Detail Level in Response File.

4. **SDR Response Number** (Header Record B21 1 of 1 & Trailer Record B27 1 of 2)

May be same as SDR Control Number, or may be different.
See above [3.3.1 SDR Control Number](#).

5. **SSN/TIN** (Detail Record B24 1 of 2)

No dashes

6. **All Numeric Fields:**

- Dollar Amount (Detail Record B24 1 of 2)
- Share Amount (Detail Record B24 1 of 2)
- Price (Detail Record B24 1 of 2)
- STR Fee Amount (Detail Record B24 2 of 2)
- CDSC Amount (Detail Record B24 2 of 2)
- Total Acknowledgement Items (Trailer Record B27 1 of 2)
- Total Reject Items (Trailer Record B27 1 of 2)
- Total Detail Items (Trailer Record B27 1 of 2)
- Total Summary Items (Trailer Record B27 1 of 2)
- Total Records (Trailer Record B27 1 of 2)

Right-justified; no commas or decimal points; zero-filled.

5. **SDR Reject File**

The SDR Reject File is generated by the TPA's recordkeeping system when the components of a Request (see [3.2 SDR Request Data Elements](#) above) do not match the information stored on the recordkeeping system.

Although a Request File may contain more than one Request for one or more Plans, each Reject File (or Response File) contains information for one Request only, as represented by the SDR Control Number.

The Reject files can be uploaded along with the other daily Schwab files via Schwab Data Delivery and/or [Schwab Advisor Center](#).

5.1. **SDR Reject File Naming Conventions**

CSTB Account Reject Files

File Type: CSTB 22C-2 SDR Reject-Response
File Name: RMMDDYY###_SDRControlNumber.TPA

where:

MMDDYY = TPA Request file creation date

5.3. Additional Reject File Notes

1. **Underlying Firm Number** (Header Record B21 1 of 1 & Trailer Record B27 1 of 2)
An optional field reserved for future use.
2. **Underlying Firm Indicator** (Header Record B21 1 of 1)
Always blank when the Underlying Firm Number is blank (see above).
3. **Response Type** (Header Record B21 1 of 1)
Always "05" = Firm Reject in Reject File.
4. **SDR Response Number** (Header Record B21 1 of 1 & Trailer Record B27 1 of 2)
May be same as SDR Control Number, or may be different.
See above [3.3.1 SDR Control Number](#).
5. **SSN/TIN** (Detail Record B24 1 of 2)
No dashes
6. **All Numeric Fields:**
 - Total Acknowledgement Items (Trailer Record B27 1 of 2)
 - Total Reject Items (Trailer Record B27 1 of 2)
 - Total Detail Items (Trailer Record B27 1 of 2)
 - Total Summary Items (Trailer Record B27 1 of 2)
 - Total Records (Trailer Record B27 1 of 2)

Right-justified; no commas or decimal points; zero-filled

6. Appendix A – SDR Request File Format

Appendix A - SDR Request File Format
SDR Request File

Trust Request File Naming Convention: <i>MMDDYY# TPA</i>											Custody Request File Naming Convention: <i>CSMMDDYY# SDR</i>	
MMDDYY – Date Request file created by SCRS # – Sequential number (1 file per TPA per day anticipated) TPA – 3-digit STAR TPA Code Example = R1015071.123											MMDDYY – Date Request file created by SCRS # – Sequential number (1 file per FA Master per day anticipated) Example = CS1015071.SDR	
Ref #	File	Record Type	Record Seq.	Field	Start	End	Len	Type	Opt/Req	Note		
1. SDR Request Type 20 Record 1 of 2:												
RQ 1.1	Request	SDR Request (F20)	1 of 2	Originator Type	1	1	1	A/N	R	Always "F" – Fund.		
RQ 1.2	Request	SDR Request (F20)	1 of 2	Record Type	2	3	2	A/N	R	Always "20" – SDR Request.		
RQ 1.3	Request	SDR Request (F20)	1 of 2	Sequence Number	4	5	2	A/N	R	Always "01".		
RQ 1.4	Request	SDR Request (F20)	1 of 2	SDR Control Number	6	20	15	A/N	R	Generated by Schwab; always unique. Format: ppppyjjnnnnnn Where: pppp – Firm Number (See RQ 1.5 Firm Number) y – Last digit of year jjj – Julian Date nnnnnn – Unique sequential number.		
RQ 1.5	Request	SDR Request (F20)	1 of 2	Firm Number	21	24	4	A/N	R	Always "0164" or "2993".		
RQ 1.6	Request	SDR Request (F20)	1 of 2	Fund Number	25	28	4	A/N	R	Fund Co. NSCC Number.		
RQ 1.7	Request	SDR Request (F20)	1 of 2	Security Issue ID	29	37	9	A/N	R	Trust: CUSIP or Symbol, based on TPA's Trade File Naming Convention. Custody: Always Symbol.		
RQ 1.8	Request	SDR Request (F20)	1 of 2	Underlying Firm Number	38	41	4	A/N	O	Always blank.		
RQ 1.9	Request	SDR Request (F20)	1 of 2	Underlying Firm Indicator	42	43	2	A/N	OC	Always blank.		
RQ 1.10	Request	SDR Request (F20)	1 of 2	Fund Account Number	44	63	20	A/N	OC	Always blank.		
RQ 1.11	Request	SDR Request (F20)	1 of 2	Firm Account Number	64	83	20	A/N	OC	Trust: Plan ID. Custody: CS&Co. Account Number.		
RQ 1.12	Request	SDR Request (F20)	1 of 2	Fund/SERV Control Number	84	98	15	A/N	OC	Always blank.		
RQ 1.13	Request	SDR Request (F20)	1 of 2	SDR Request Type	99	100	2	A/N	R	"02" – Plan Level. "06" – Stop Recurring.		
RQ 1.14	Request	SDR Request (F20)	1 of 2	From Date	101	108	8	A/N	R	Trade processing date. Format: mmddccyy		
RQ 1.15	Request	SDR Request (F20)	1 of 2	SSNTIN	109	117	9	A/N	O	If RQ 2.7 To Date – blank, request is for this date only. If populated, request is for that Participant only. If blank, request is for all Participants in the Plan.		
RQ 1.16	Request	SDR Request (F20)	1 of 2	Filler	118	141	24	A/N	R	Always blank.		

Appendix A - SDR Request File Format
SDR Request File

Ref #	File	Record Type	Record Seq.	Field	Start	End	Len	Type	Opt/Req	Note
RQ 1.17	Request	SDR Request (F20)	1 of 2	NSCC Reject Indicator	142	142	1	A/N	R	Always '0'.
RQ 1.18	Request	SDR Request (F20)	1 of 2	NSCC Reject Code 1	143	144	2	A/N	R	Always blank.
RQ 1.19	Request	SDR Request (F20)	1 of 2	NSCC Reject Code 2	145	146	2	A/N	R	Always blank.
RQ 1.20	Request	SDR Request (F20)	1 of 2	NSCC Reject Code 3	147	148	2	A/N	R	Always blank.
RQ 1.21	Request	SDR Request (F20)	1 of 2	NSCC Reject Code 4	149	150	2	A/N	R	Always blank.
End of SDR Request Type 20 Record 1 of 2										
2. SDR Request Type 20 Record 2 of 2:										
RQ 2.1	Request	SDR Request (F20)	2 of 2	Originator Type	1	1	1	A/N	R	Always 'F' - Fund.
RQ 2.2	Request	SDR Request (F20)	2 of 2	Record Type	2	3	2	A/N	R	Always '20' - SDR Request.
RQ 2.3	Request	SDR Request (F20)	2 of 2	Sequence Number	4	5	2	A/N	R	Always '02'.
RQ 2.4	Request	SDR Request (F20)	2 of 2	Plan ID/Investor Omnibus Account Number	6	26	20	A/N	O	Same value as in RQ 1.11 Firm Account Number.
RQ 2.5	Request	SDR Request (F20)	2 of 2	Omnibus Account Indicator	26	26	1	A/N	OC	Always '0' - Plan ID.
RQ 2.6	Request	SDR Request (F20)	2 of 2	Recurring Indicator	27	27	1	A/N	O	'0' - No. "1" - Yes; continue providing Responses until Stop Recurring Request received (SDR Request Type 20 Record 1 of 2 SDR Request Type - 06).
RQ 2.7	Request	SDR Request (F20)	2 of 2	To Date	28	36	8	A/N	O	If populated, request is for Trade processing dates beginning with From Date (RQ 1.14 From Date) through this date. Format: mmddccyy If blank, request is for From Date only.
RQ 2.8	Request	SDR Request (F20)	2 of 2	Includes Category 2 Transactions	36	36	1	A/N	O	'0' - No; indicates request is for Category 1 Transactions only. "1" - Yes; indicates request is for both Category 1 and Category 2 Transactions.
RQ 2.9	Request	SDR Request (F20)	2 of 2	Registered Representative (RR Number)	37	45	9	A/N	OC	Always blank.
RQ 2.10	Request	SDR Request (F20)	2 of 2	RR Branch	46	54	9	A/N	O	Always blank.
RQ 2.11	Request	SDR Request (F20)	2 of 2	RR Firm	55	62	8	A/N	O	Always blank.
RQ 2.12	Request	SDR Request (F20)	2 of 2	Original SDR Control Number	63	77	15	A/N	O	If RQ 1.13 SDR Request Type = 02, this field is blank. If RQ 1.13 SDR Request Type = 06, this field contains the original SDR Control Number for Recurring Request.

Appendix A - SDR Request File Format
SDR Request File

Ref #	File	Record Type	Record Seq.	Field	Start	End	Len	Type	Opt/Req	Note
RQ 2.13	Request	SDR Request (F20)	2 of 2	Threshold Amount	78	86	9	N	O	Minimum whole-dollar amount of trades requested.
RQ 2.14	Request	SDR Request (F20)	2 of 2	Transaction Type	87	88	2	A/N	O	Always blank.
RQ 2.15	Request	SDR Request (F20)	2 of 2	Filler	89	150	62	A/N	R	Always blank.
End of SDR Request Type 20 Record 2 of 2										
End of SDR Request File										

7. Appendix B – SDR Response File Format

Appendix B - SDR Response File Format
SDR Response File

Trust Response File Naming Convention: RMMDDYY###_SDRControlNumber.TPA				Custody Response File Naming Convention: RMMDDYY###_SDRControlNumber.SDR						
MMDDYY = Date Response file created by TPA ### = Sequential number (1 file per SDR Control Number) SDRControlNumber = 15-digit SDR Control Number as contained in the Request file TPA = 3-digit STAR TPA Code Example = R101507001_016472610000201.123				MMDDYY = Date Response file created by TPA ### = Sequential number (1 file per SDR Control Number) SDRControlNumber = 15-digit SDR Control Number as contained in the Request file Example = R101507002_016472610000202.SDR						
Ref #	File	Record Type	Record Seq.	Field	Start	End	Len	Type	Opt/Req	Note
1. SDR Header Record Type 21 Record 1 of 1:										
RS 1.1	Response	SDR Header (B21)	Record 1 of 1	Originator Type	1	1	1	A/N	R	Always 'B' = Firm.
RS 1.2	Response	SDR Header (B21)	Record 1 of 1	Record Type	2	3	2	A/N	R	Always '21' = SDR Header
RS 1.3	Response	SDR Header (B21)	Record 1 of 1	Sequence Number	4	5	2	A/N	R	Always '01'
RS 1.4	Response	SDR Header (B21)	Record 1 of 1	SDR Control Number	6	20	15	A/N	R	Always same value as in RQ 1.4 SDR Control Number.
RS 1.5	Response	SDR Header (B21)	Record 1 of 1	Firm Number	21	24	4	A/N	R	Always same value as in RQ 1.5 Firm Number.
RS 1.6	Response	SDR Header (B21)	Record 1 of 1	Fund Number	25	28	4	A/N	R	Always the same value as in RQ 1.6 Fund Number.
RS 1.7	Response	SDR Header (B21)	Record 1 of 1	Security Issue ID	29	37	9	A/N	R	Always the same value as in RQ 1.7 Security Issue ID.
RS 1.8	Response	SDR Header (B21)	Record 1 of 1	Underlying Firm Number	38	41	4	A/N	O	May be used for BTRK Number in future. If populated, RS 1.9 Underlying Firm Indicator must always be '03'.
RS 1.9	Response	SDR Header (B21)	Record 1 of 1	Underlying Firm Indicator	42	43	2	A/N	OC	Always blank if RS 1.8 Underlying Firm Number is blank. Always '03' = BTRK Number if RS 1.8 Underlying Firm Number is populated.
RS 1.10	Response	SDR Header (B21)	Record 1 of 1	Fund Account Number	44	63	20	A/N	OC	Always blank.
RS 1.11	Response	SDR Header (B21)	Record 1 of 1	Firm Account Number	64	83	20	A/N	OC	Always the same value as in RQ 1.11 Firm Account Number, left-justified
RS 1.12	Response	SDR Header (B21)	Record 1 of 1	Fund/SERV Control Number	84	98	15	A/N	OC	Always blank.
RS 1.13	Response	SDR Header (B21)	Record 1 of 1	Response Type	99	100	2	A/N	R	Always '02' = Detail Level in SDR Response File
RS 1.14	Response	SDR Header (B21)	Record 1 of 1	SDR Response Number	101	115	15	A/N	R	May be same as RS 1.4 SDR Control Number, or may be different. Format: ppppyjjnnnnnn Where: pppp = Always same value as in RS 1.5 Firm Number) y = Last digit of year jjj = Julian Date nnnnnn = Unique sequential number

Appendix B - SDR Response File Format
SDR Response File

Ref #	File	Record Type	Record Seq.	Field	Start	End	Len	Type	Opt/Req	Note
RS 1.15	Response	SDR Header (B21)	Record 1 of 1	Partial Response Indicator	116	116	1	A/N	R	*0* = Full/Final Response *1* = Partial Response *2* = Incomplete/Final Response
RS 1.16	Response	SDR Header (B21)	Record 1 of 1	Correction Indicator	117	117	1	A/N	O	*0* = Regular *1* = Correction
RS 1.17	Response	SDR Header (B21)	Record 1 of 1	Filler	118	141	24	A/N	R	Always blank.
RS 1.18	Response	SDR Header (B21)	Record 1 of 1	NSCC Reject Indicator	142	142	1	A/N	R	Always blank.
RS 1.19	Response	SDR Header (B21)	Record 1 of 1	NSCC Reject Code 1	143	144	2	A/N	R	Always blank.
RS 1.20	Response	SDR Header (B21)	Record 1 of 1	NSCC Reject Code 2	145	146	2	A/N	R	Always blank.
RS 1.23	Response	SDR Header (B21)	Record 1 of 1	NSCC Reject Code 3	147	148	2	A/N	R	Always blank.
RS 1.24	Response	SDR Header (B21)	Record 1 of 1	NSCC Reject Code 4	149	150	2	A/N	R	Always blank.
End of SDR Header Record Type 21 Record 1 of 1										
2. SDR Detail Record Type 24 Record 1 of 2:										
RS 2.1	Response	SDR Detail (B24)	Record 1 of 2	Originator Type	1	1	1	A/N	R	Always "E" = Firm.
RS 2.2	Response	SDR Detail (B24)	Record 1 of 2	Record Type	2	3	2	A/N	R	Always "24" = SDR Detail.
RS 2.3	Response	SDR Detail (B24)	Record 1 of 2	Sequence Number	4	5	2	A/N	R	Always "01".
RS 2.4	Response	SDR Detail (B24)	Record 1 of 2	Plan ID/Investor Omnibus Account Number	6	25	20	A/N	R	Always same as RS 1.11 Firm Account Number; left-justified.
RS 2.5	Response	SDR Detail (B24)	Record 1 of 2	Omnibus Account Indicator	26	26	1	A/N	O	Always "0".
RS 2.6	Response	SDR Detail (B24)	Record 1 of 2	SSN/TIN	27	35	9	A/N	R	No dashes.
RS 2.7	Response	SDR Detail (B24)	Record 1 of 2	SSN/TIN Indicator	36	36	1	A/N	R	*0* = Tax ID number. *1* = Social Security Number. *2* = Investor TIN/EIN.
RS 2.8	Response	SDR Detail (B24)	Record 1 of 2	NAV Date	37	44	8	A/N	R	Transaction date Format: mmddccyy

Appendix B - SDR Response File Format
SDR Response File

Ref #	File	Record Type	Record Seq.	Field	Start	End	Len	Type	Opt	Note
RS 2.9	Response	SDR Detail (B24)	Record 1 of 2	Transaction type	45	46	2	A/N	R	*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)
RS 2.10	Response	SDR Detail (B24)	Record 1 of 2	Transaction Code	47	48	2	A/N	O	See DTCC Networking Standardized Data Reporting (SDR) document
RS 2.11	Response	SDR Detail (B24)	Record 1 of 2	Transaction Category	49	49	1	A/N	R	*1 = Category 1 *2 = Category 2
RS 2.12	Response	SDR Detail (B24)	Record 1 of 2	Dollar Amount	50	65	16	N	RC	Right-justified; 2 decimal places; no commas or decimal; leading zeros required. e.g. 000000012345678 = \$123,456.78 Optional If RS 2.9 Transaction type = 05 or 06, or If RS 2.10 Transaction Code = 7 or 52.
2.13	Response	SDR Detail (B24)	Record 1 of 2	Share Amount	66	79	14	N	R	Right-justified; 4 decimal places; no commas or decimal; leading zeros required. E.g. 00000012345678 = 1,234.5678
RS 2.14	Response	SDR Detail (B24)	Record 1 of 2	Price	80	91	12	N	RC	Right-justified; 6 decimal places; no commas or decimal; leading zeros required. e.g. 000000012345678 = 12.345678 Optional If RS 2.9 Transaction type = 05 or 06, or If RS 2.10 Transaction Code = 7 or 52.
RS 2.15	Response	SDR Detail (B24)	Record 1 of 2	Transaction ID	92	111	20	A/N	O	
RS 2.16	Response	SDR Detail (B24)	Record 1 of 2	Contra Security ID	112	120	9	A/N	O	
RS 2.17	Response	SDR Detail (B24)	Record 1 of 2	Social Code	121	122	2	A/N	O	
RS 2.18	Response	SDR Detail (B24)	Record 1 of 2	Unit Value Indicator	123	123	1	A/N	O	*0 = Shares *1 = Units
RS 2.19	Response	SDR Detail (B24)	Record 1 of 2	Source System ID	124	133	10	A/N	O	
RS 2.20	Response	SDR Detail (B24)	Record 1 of 2	Filler	134	141	8	A/N	O	Always blank.
RS 2.21	Response	SDR Detail (B24)	Record 1 of 2	NSCC Reject Indicator	142	142	1	A/N	R	Always blank.
RS 2.22	Response	SDR Detail (B24)	Record 1 of 2	NSCC Reject Code 1	143	144	2	A/N	R	Always blank.

Appendix B - SDR Response File Format
SDR Response File

Ref #	File	Record Type	Record Seq.	Field	Start	End	Len	Type	Opt	Note
RS 2.23	Response	SDR Detail (B24)	Record 1 of 2	NSCC Reject Code 2	145	146	2	A/N	R	Always blank.
RS 2.24	Response	SDR Detail (B24)	Record 1 of 2	NSCC Reject Code 3	147	148	2	A/N	R	Always blank.
RS 2.25	Response	SDR Detail (B24)	Record 1 of 2	NSCC Reject Code 4	149	150	2	A/N	R	Always blank.
End of SDR Detail Record Type 24 Record 1 of 2										
3. SDR Detail Record Type 24 Record 2 of 2:										
RS 3.1	Response	SDR Detail (B24)	Record 2 of 2	Originator Type	1	1	1	A/N	R	Always "B" = Firm.
RS 3.2	Response	SDR Detail (B24)	Record 2 of 2	Record Type	2	3	2	A/N	R	Always "24" = SDR Detail
RS 3.3	Response	SDR Detail (B24)	Record 2 of 2	Sequence Number	4	5	2	A/N	R	Always "02"
RS 3.4	Response	SDR Detail (B24)	Record 2 of 2	STR Fee Amount	6	12	7	N	O	Right-justified; 2 decimal places; no commas or decimal; leading zeros required. e.g. 00000001234 = \$12.34
RS 3.5	Response	SDR Detail (B24)	Record 2 of 2	CDSC Amount	13	19	7	N	O	Right-justified; 2 decimal places; no commas or decimal; leading zeros required. e.g. 00000001234 = \$12.34
RS 3.6	Response	SDR Detail (B24)	Record 2 of 2	Transaction Source	20	20	1	A/N	O	"0" = Participant/Shareholder "1" = Plan/Administrator "2" = Rep "3" = Firm Cannot Differentiate "4" = Record keeper or Insurance Carrier
RS 3.7	Response	SDR Detail (B24)	Record 2 of 2	Registered Representative (RR) Number	21	29	9	A/N	O	
RS 3.8	Response	SDR Detail (B24)	Record 2 of 2	RR Branch	30	38	9	A/N	O	
RS 3.9	Response	SDR Detail (B24)	Record 2 of 2	RR Firm	39	46	8	A/N	O	
RS 3.10	Response	SDR Detail (B24)	Record 2 of 2	Agent For Firm	47	50	4	A/N	O	
RS 3.11	Response	SDR Detail (B24)	Record 2 of 2	Plan Name	51	85	35	A/N	O	
RS 3.12	Response	SDR Detail (B24)	Record 2 of 2	Customer Name	86	120	35	A/N	O	
RS 3.13	Response	SDR Detail (B24)	Record 2 of 2	Customer Level Account Number	121	150	30	A/N	O	
End of SDR Detail Record Type 24 Record 2 of 2										
4. SDR Trailer Record Type 27 Record 1 of 2:										

Appendix B - SDR Response File Format
SDR Response File

Ref #	File	Record Type	Record Seq.	Field	Start	End	Len	Type	Opt/Req	Note
RS 4.1	Response	SDR Trailer (B27)	Record 1 of 2	Originator Type	1	1	1	A/N	R	Always 'B' = Firm.
RS 4.2	Response	SDR Trailer (B27)	Record 1 of 2	Record Type	2	3	2	A/N	R	Always '27' = SDR Trailer
RS 4.3	Response	SDR Trailer (B27)	Record 1 of 2	Sequence Number	4	5	2	A/N	R	Always '01'
RS 4.4	Response	SDR Trailer (B27)	Record 1 of 2	SDR Control Number	6	20	15	A/N	R	Always same value as in RS 1.4 SDR Control Number.
RS 4.5	Response	SDR Trailer (B27)	Record 1 of 2	Firm Number	21	24	4	A/N	R	Always same value as in RS 1.5 Firm Number.
RS 4.6	Response	SDR Trailer (B27)	Record 1 of 2	Fund Number	25	28	4	A/N	R	Always same value as in RS 1.6 Fund Number.
RS 4.7	Response	SDR Trailer (B27)	Record 1 of 2	Security Issue ID	29	37	9	A/N	R	Always same value as in RS 1.7 Security Issue ID.
RS 4.8	Response	SDR Trailer (B27)	Record 1 of 2	Underlying Firm Number	38	41	4	A/N	O	Always same value as in RS 1.8 Underlying Firm Number.
RS 4.9	Response	SDR Trailer (B27)	Record 1 of 2	SDR Response Number	42	56	15	A/N	R	Always same value as in RS 1.14 SDR Response Number.
RS 4.10	Response	SDR Trailer (B27)	Record 1 of 2	Total Acknowledgement Items	57	65	9	N	R	Always '000000000' in SDR Response file.
RS 4.11	Response	SDR Trailer (B27)	Record 1 of 2	Total Reject Items	66	74	9	N	R	Always '000000000' in SDR Response file.
RS 4.12	Response	SDR Trailer (B27)	Record 1 of 2	Total Detail Items	75	83	9	N	R	Total number of SDR Response Type 24 Items (each pair of B24 Sequence 01 & 02 records counts as 1 Item). Right-justified; no decimal places; no commas or decimal; leading zeros required. e.g. 000000001 = 1
RS 4.13	Response	SDR Trailer (B27)	Record 1 of 2	Total Summary Items	84	92	9	N	R	Always '000000000' in SDR Response file.
RS 4.14	Response	SDR Trailer (B27)	Record 1 of 2	Total Records	93	101	9	N	R	Total number of PHYSICAL records (Including SDR Header Type 21 Record 1 of 1 and SDR Trailer Type 27 Record 1 of 2). (Zero NOT allowed). Right-justified; no decimal places; no commas or decimal; zero filled e.g. 000000004 = 4
RS 4.15	Response	SDR Trailer (B27)	Record 1 of 2	Filler	102	141	40	A/N	R	Always blank.
RS 4.16	Response	SDR Trailer (B27)	Record 1 of 2	NSCC Reject Indicator	142	142	1	A/N	R	Always blank.
RS 4.17	Response	SDR Trailer (B27)	Record 1 of 2	NSCC Reject Code 1	143	144	2	A/N	R	Always blank.

Appendix B - SDR Response File Format
SDR Response File

Ref #	File	Record Type	Record Seq.	Field	Start	End	Len	Type	Opt	Note
RS 4.18	Response	SDR Trailer (B27)	Record 1 of 2	NSSC Reject Code 2	145	146	2	A/N	R	Always blank.
RS 4.19	Response	SDR Trailer (B27)	Record 1 of 2	NSSC Reject Code 3	147	148	2	A/N	R	Always blank.
RS 4.20	Response	SDR Trailer (B27)	Record 1 of 2	NSSC Reject Code 4	149	150	2	A/N	R	Always blank.
End of SDR Trailer Record Type 27 Record 1 of 2										
5. SDR Trailer Record Type 27 Record 2 of 2: Not generated by TPA										
6. SDR Grand Trailer Record Type 29 Record 1 of 1: Not generated by TPA										
End of SDR Response File										

8. Appendix C – SDR Reject File Format

Appendix C - SDR Reject File Format
SDR Reject File

Trust Reject File Naming Convention: <i>MMDDYY###_SDRControlNumber.TPA</i>					Custody Reject File Naming Convention:					
<i>MMDDYY</i> – Date Response file created by TPA <i>###</i> – Sequential number (1 file per SDR Control Number) <i>SDRControlNumber</i> – 15-digit SDR Control Number as contained in the Request file <i>TPA</i> – 3-digit STAR TPA Code Example = R101507003_016472610000203.123					<i>MMDDYY</i> – Date Reject file created by TPA <i>###</i> – Sequential number (1 file per SDR Control Number) <i>SDRControlNumber</i> – 15-digit SDR Control Number as contained in the Request file Example = R101507004_016472610000204.SDR					
Ref #	File	Record Type	Record Seq.	Field	Start	End	Len	Type	Opt/Req	Note
1. SDR Header Record Type 21 Record 1 of 1:										
RJ 1.1	Reject	SDR Header (B21)	Record 1 of 1	Originator Type	1	1	1	A/N	R	Always "B" – Firm.
RJ 1.2	Reject	SDR Header (B21)	Record 1 of 1	Record Type	2	3	2	A/N	R	Always "21" – SDR Header
RJ 1.3	Reject	SDR Header (B21)	Record 1 of 1	Sequence Number	4	5	2	A/N	R	Always "01"
RJ 1.4	Reject	SDR Header (B21)	Record 1 of 1	SDR Control Number	6	20	15	A/N	R	Always same value as in RQ 1.4 SDR Control Number.
RJ 1.5	Reject	SDR Header (B21)	Record 1 of 1	Firm Number	21	24	4	A/N	R	Always same value as in RQ 1.5 Firm Number.
RJ 1.6	Reject	SDR Header (B21)	Record 1 of 1	Fund Number	25	28	4	A/N	R	Always the same value as in RQ 1.6 Fund Number.
RJ 1.7	Reject	SDR Header (B21)	Record 1 of 1	Security Issue ID	29	37	9	A/N	R	Always the same value as in RQ 1.7 Security Issue ID.
RJ 1.8	Reject	SDR Header (B21)	Record 1 of 1	Underlying Firm Number	38	41	4	A/N	O	May be used for BTRK Number in future. If populated, RJ 1.9 Underlying Firm Indicator must always be "03".
RJ 1.9	Reject	SDR Header (B21)	Record 1 of 1	Underlying Firm Indicator	42	43	2	A/N	OC	Always blank if RJ 1.8 Underlying Firm Number is blank. Always "03" – BTRK Number if RJ 1.8 Underlying Firm Number is populated.
RJ 1.10	Reject	SDR Header (B21)	Record 1 of 1	Fund Account Number	44	63	20	A/N	OC	Always blank.
RJ 1.11	Reject	SDR Header (B21)	Record 1 of 1	Firm Account Number	64	83	20	A/N	OC	Always the same value as in RQ 1.11 Firm Account Number, left-justified
RJ 1.12	Reject	SDR Header (B21)	Record 1 of 1	Fund/SERV Control Number	84	98	15	A/N	OC	Always blank.
RJ 1.13	Reject	SDR Header (B21)	Record 1 of 1	Response Type	99	100	2	A/N	R	Always "05" – Firm Reject in SDR Reject File
RJ 1.14	Reject	SDR Header (B21)	Record 1 of 1	SDR Reject Number	101	115	15	A/N	R	May be same as RJ 1.4 SDR Control Number, or may be different. Format: ppppyjjnnnnnn Where: pppp – Always same value as in RJ 1.5 Firm Number) y – Last digit of year jjj – Julian Date nnnnnn – Unique sequential number
RJ 1.15	Reject	SDR Header (B21)	Record 1 of 1	Partial Reject Indicator	116	116	1	A/N	R	"0" – Full/Final Response "1" – Partial Response "2" – Incomplete/Final Response

Appendix C - SDR Reject File Format
SDR Reject File

Ref #	File	Record Type	Record Seq.	Field	Start	End	Len	Type	Opt/Req	Note
RJ 1.16	Reject	SDR Header (B21)	Record 1 of 1	Correction Indicator	117	117	1	A/N	O	*0* - Regular *1* - Correction
RJ 1.17	Reject	SDR Header (B21)	Record 1 of 1	Filler	118	141	24	A/N	R	Always blank.
RJ 1.18	Reject	SDR Header (B21)	Record 1 of 1	NSCC Reject Indicator	142	142	1	A/N	R	Always blank.
RJ 1.19	Reject	SDR Header (B21)	Record 1 of 1	NSCC Reject Code 1	143	144	2	A/N	R	Always blank.
RJ 1.20	Reject	SDR Header (B21)	Record 1 of 1	NSCC Reject Code 2	145	146	2	A/N	R	Always blank.
RJ 1.23	Reject	SDR Header (B21)	Record 1 of 1	NSCC Reject Code 3	147	148	2	A/N	R	Always blank.
RJ 1.24	Reject	SDR Header (B21)	Record 1 of 1	NSCC Reject Code 4	149	150	2	A/N	R	Always blank.
End of SDR Header Record Type 21 Record 1 of 1										
2. SDR Reject Record Type 23 Record 1 of 1:										
RJ 2.1	Reject	SDR Reject (B23)	Record 1 of 1	Originator Type	1	1	1	A/N	R	Always "B" - Firm.
RJ 2.2	Reject	SDR Reject (B23)	Record 1 of 1	Record Type	2	3	2	A/N	R	Always "23" - SDR Reject
RJ 2.3	Reject	SDR Reject (B23)	Record 1 of 1	Sequence Number	4	5	2	A/N	R	Always "01"
RJ 2.4	Reject	SDR Reject (B23)	Record 1 of 1	Firm Reject Code 1	6	7	2	A/N	R	See DTCC Networking Standardized Data Reporting (SDR) Reject Codes document
RJ 2.5	Reject	SDR Reject (B23)	Record 1 of 1	Firm Reject Code 2	8	9	2	A/N	O	
RJ 2.6	Reject	SDR Reject (B23)	Record 1 of 1	Firm Reject Code 3	10	11	2	A/N	O	
RJ 2.7	Reject	SDR Reject (B23)	Record 1 of 1	Firm Reject Code 4	12	13	2	A/N	O	
RJ 2.8	Reject	SDR Reject (B23)	Record 1 of 1	Filler	14	141	128	A/N	R	Always blank.
RJ 2.9	Reject	SDR Reject (B23)	Record 1 of 1	NSCC Reject Indicator	142	142	1	A/N	R	Always blank.
RJ 2.10	Reject	SDR Reject (B23)	Record 1 of 1	NSCC Reject Code 1	143	144	2	A/N	R	Always blank.
RJ 2.11	Reject	SDR Reject (B23)	Record 1 of 1	NSCC Reject Code 2	145	146	2	A/N	R	Always blank.
RJ 2.13	Reject	SDR Reject (B23)	Record 1 of 1	NSCC Reject Code 3	147	148	2	A/N	R	Always blank.
RJ 2.14	Reject	SDR Reject (B23)	Record 1 of 1	NSCC Reject Code 4	149	150	2	A/N	R	Always blank.
End of SDR Header Record Type 23 Record 1 of 1										
3. SDR Trailer Record Type 27 Record 1 of 2:										
RJ 3.1	Response	SDR Trailer (B27)	Record 1 of 2	Originator Type	1	1	1	A/N	R	Always "B" - Firm.
RJ 3.2	Response	SDR Trailer (B27)	Record 1 of 2	Record Type	2	3	2	A/N	R	Always "27" - SDR Trailer
RJ 3.3	Response	SDR Trailer (B27)	Record 1 of 2	Sequence Number	4	5	2	A/N	R	Always "01"
RJ 3.4	Response	SDR Trailer (B27)	Record 1 of 2	SDR Control Number	6	20	15	A/N	R	Always same value as in RJ 1.4 SDR Control Number.
RJ 3.5	Response	SDR Trailer (B27)	Record 1 of 2	Firm Number	21	24	4	A/N	R	Always same value as in RJ 1.5 Firm Number.
RJ 3.6	Response	SDR Trailer (B27)	Record 1 of 2	Fund Number	25	28	4	A/N	R	Always same value as in RJ 1.6 Fund Number.
RJ 3.7	Response	SDR Trailer (B27)	Record 1 of 2	Security Issue ID	29	37	9	A/N	R	Always same value as in RJ 1.7 Security Issue ID.
RJ 3.8	Response	SDR Trailer (B27)	Record 1 of 2	Underlying Firm Number	38	41	4	A/N	O	Always same value as in RJ 1.8 Underlying Firm Number.
RJ 3.9	Response	SDR Trailer (B27)	Record 1 of 2	SDR Response Number	42	56	15	A/N	R	Always same value as in RJ 1.14 SDR Response Number.
RJ 3.10	Response	SDR Trailer (B27)	Record 1 of 2	Total Acknowledgement Items	57	65	9	N	R	Always "00000000" in SDR Reject file.

Appendix C - SDR Reject File Format
SDR Reject File

Ref #	File	Record Type	Record Seq.	Field	Start	End	Len	Type	Opt/Req	Note
RJ 3.11	Response	SDR Trailer (B27)	Record 1 of 2	Total Reject Items	66	74	9	N	R	Always "00000001" in SDR Reject file. Right-justified; no decimal places; no commas or decimal; leading zeros required. e.g. 00000001 - 1
RJ 3.12	Response	SDR Trailer (B27)	Record 1 of 2	Total Detail Items	75	83	9	N	R	Always "00000000" in SDR Reject file.
RJ 3.13	Response	SDR Trailer (B27)	Record 1 of 2	Total Summary Items	84	92	9	N	R	Always "00000000" in SDR Reject file.
RJ 3.14	Response	SDR Trailer (B27)	Record 1 of 2	Total Records	93	101	9	N	R	Total number of PHYSICAL records (including SDR Header Type 21 Record 1 of 1 and SDR Trailer Type 27 Record 1 of 2). (Zero NOT allowed). Right-justified; no decimal places; no commas or decimal; zero filled e.g. 00000003 - 3
RJ 3.15	Response	SDR Trailer (B27)	Record 1 of 2	Filler	102	141	40	A/N	R	Always blank.
RJ 3.16	Response	SDR Trailer (B27)	Record 1 of 2	NSCC Reject Indicator	142	142	1	A/N	R	Always blank.
RJ 3.17	Response	SDR Trailer (B27)	Record 1 of 2	NSCC Reject Code 1	143	144	2	A/N	R	Always blank.
RJ 3.18	Response	SDR Trailer (B27)	Record 1 of 2	NSCC Reject Code 2	145	146	2	A/N	R	Always blank.
RJ 3.19	Response	SDR Trailer (B27)	Record 1 of 2	NSCC Reject Code 3	147	148	2	A/N	R	Always blank.
RJ 3.20	Response	SDR Trailer (B27)	Record 1 of 2	NSCC Reject Code 4	149	150	2	A/N	R	Always blank.
End of SDR Trailer Record Type 27 Record 1 of 2										
4. SDR Trailer Record Type 27 Record 2 of 2: Not generated by TPA										
5. SDR Grand Trailer Record Type 29 Record 1 of 1: Not generated by TPA										
End of SDR Reject File										

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