National Securities Clearing Corporation
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Standardized Data Reporting User Guide

Technical Overview and Sample Scenarios

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02/14/2006	Paul Bucaoto	6.0	• Added technical overview material including: Business Processing, Systems Processing, Datatrak and Autoroute, Processing Schedule, List of Record Types, Data File Structure, NSCC Sorting, Guidelines for User Search and Data Sorting, and reference to Record Layouts and Reject Codes. • Modified sample data files in Sample Scenarios based on modified record layouts.
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I. Preface

This document is one of two documents available as the 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

II. Business Processing

The business process and interaction between the funds and intermediaries will vary based on the situation. Funds are expected to provide all the necessary information for the intermediaries to retrieve the underlying shareholder's information. This will result 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 intermediary to the fund. The fund will be provided with high-level data regarding the plans or investor omnibus accounts that are combined into the super omnibus account. The fund will then be 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.)

Certainly, if the fund already has the specific data that can be provided and linked to the individual shareholders, then the "Summary" request and response process is not needed. An initial request that contains enough detailed information will always be answered by the intermediary 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 intermediary 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 intermediary. The response files from the intermediary, 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 intermediary. Various types of requests will be used through DTCC 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 will be necessary based on the requests. Each request type will indicate the additional data field used to refine the queries for the intermediary to extract data, accordingly. Additional search criteria may also be included to refine requests, such as threshold amount, Security Issue ID, and transaction type.

Other data fields will provide additional instructions that will 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 will be 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 intermediary to the fund will be an Acknowledgment record. The Acknowledgment will be a proactive indication from the intermediary that it has received the request from the fund.

NSCC Reject Data
NSCC will be running preliminary validations of SDR requests received from funds and of SDR responses provided by intermediaries. Files or records that do not pass the NSCC validation will be 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 will reject the single record, and return it to the intermediary along with an NSCC-generated header and trailer to complement the rejected record.

Intermediary Reject Data
Intermediaries may also reject the fund's data request but will use the Reject record to do so. An appropriate reject code must be provided. Situations may arise where Intermediaries acknowledge a SDR request, and later learn that the request cannot be fulfilled, in this instance Intermediaries should submit a Reject record with the appropriate reason code for the previously acknowledged SDR request. A full listing of reject codes will be on NSCC's website, http://funds.dtcc.com.

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

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 will be important to retrieve data at a summary level.

When a request is submitted against a super omnibus account, it is expected that summary data will be returned by the intermediary 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 will provide 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 are 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 Reminders are records that will notify the fund, the intermediary, and possibly other related parties that an appropriate response has not been made to an SDR Request. NSCC will send 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 records can turn off Reminders. Detail or Summary records will not turn off Reminders.

Reminders will be sent for a period of 10 processing days (including Saturday) from the original date in 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 will be sent on the first business day after the submission date of the SDR Request, and will be sent via the last cycle of the day (M-F, 4pm ET; Sat, 3pm, ET.) Reminders will be sent with the Autoroute Output file within SDR Request record stream. Within this stream, Intermediaries will receive Request records plus Reminders, and Funds will receive NSCC Request Rejects plus Reminders.

III. Systems Processing

Two different interfaces will be used to support this enhancement. Http(s) protocols will be used for input of XML messages for fund data requests only, and ftp/ndm will be used for input and output of flat files.

XML messages submitted through the http(s) protocol will be converted by NSCC using the flat file record format and processed for validation. The resulting flat file output will be sent to intermediaries via Autoroute. Output files (e.g., NSCC-accepted data requests from funds going to intermediaries, shareholder trading data and reject records) will not be provided through the http(s) facility.

IV. Datatrak and Autoroute

Data files for the new functionality will be assigned new Datatrak SYSIDs and Autoroute Numbers, listed below. Input of flat files using FTP or NDM will occur three times each day by 9 a.m., 12 noon, and 3 p.m. ET, Monday through Friday, and Output will occur by 10 a.m., 1 p.m., and 4 p.m. ET, Monday through Friday. Processing on Saturday will also be available, and will occur at 9/10 a.m., 12/1 p.m., **2/3 p.m.** (Input/Output). Processing through PSE will occur using the same time schedule on Monday-Friday.

Production	**Datatrak SYSIDs**	**Autoroute Numbers**
SDR Fund Data Request	26398	02100298
SDR Firm Data Response	26327	02100327
PSE		
SDR Fund Data Request	46398	02980298
SDR Firm Data Response	46327	02980327

V. Processing Schedule

The transmission of ftp input files will occur three times every Monday through Friday, at 9 a.m., 12 noon, and 3 p.m. ET. Output will be sent from NSCC by 10 a.m., 1 p.m., and 4 p.m. ET, Monday through Friday for the respective input files. Processing on Saturday will also be available, and will occur at 9/10 a.m., 12/1 p.m., **2/3 p.m.** (input/output).

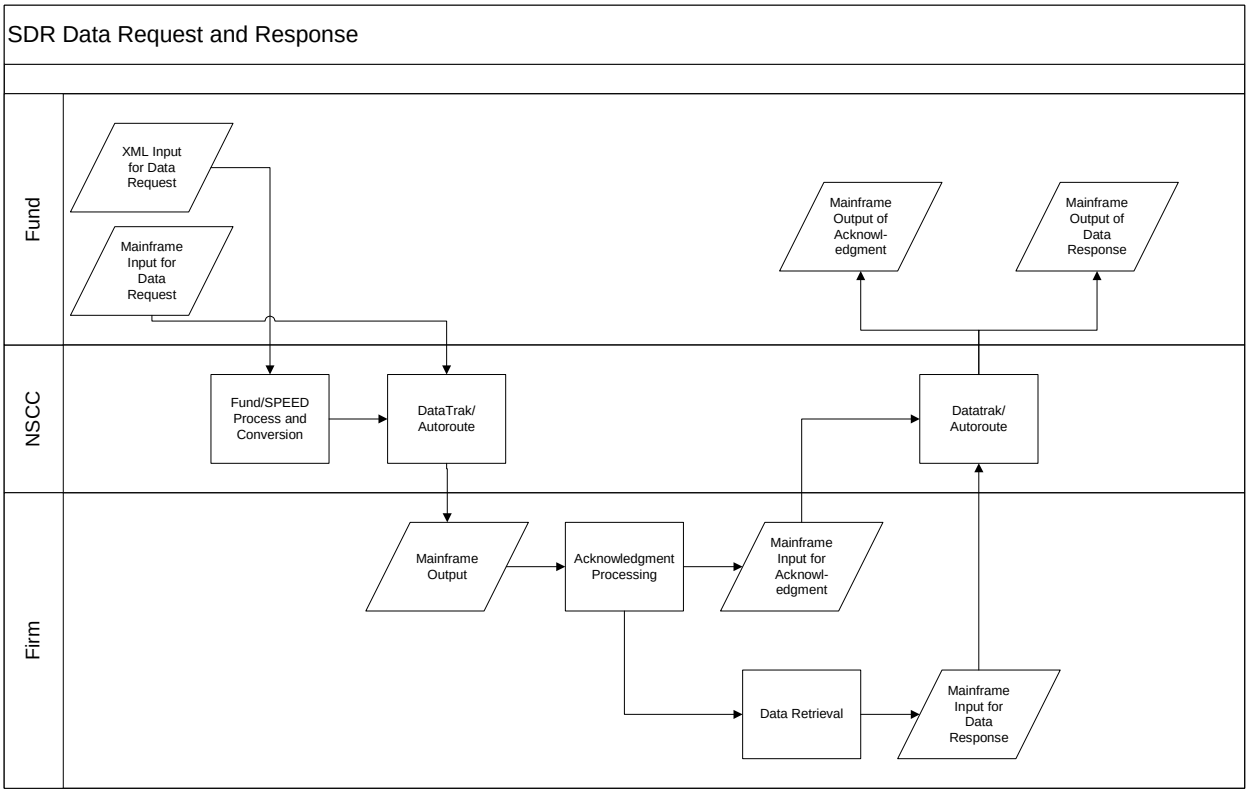
Mainframe Input/Output Schedule:

Input Deadline		**Output Time**	
Monday-Friday	**Saturday (Production Only)**	**Monday-Friday**	**Saturday (Production Only)**
9 am ET	9 am ET	10 am ET	10 am ET
12 pm ET	12 pm ET	1 pm ET	1 pm ET
3 pm ET	**2 pm ET**	4 pm ET	**3 pm ET**

XML messages will be supported using http(s) protocols, and will be sent to NSCC via leased line or the Internet using digital certificates. Submission of data request messages through the http(s) facility will be supported from 6 am ET to 5 pm ET, Monday-Saturday, with provisions for systems maintenance. The submission of XML messages will also be subject to the mainframe processing schedule for routing through NSCC's Autoroute system.

Participants wishing to use the http(s) facility should contact DTCC to receive more information on communications setup. XML Schemas for the fund data request may be found on the Mutual Fund Services website.

The flowchart below shows the process for both http(s) and ftp/ndm.



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 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. After 10 processing days, the Reminders will no longer be sent. Acknowledgment, Reject, and Response records may still be sent even after the Reminders are discontinued.

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

1. Fund sends a data request to NSCC.
2. NSCC does a preliminary validation.
3. To complete http(s) session, NSCC responds with acknowledgment or reject (if the request does not pass validation.)
4. NSCC converts the XML file into a flat file.
5. NSCC sends the file into Datatrak/Autoroute.
6. NSCC stages the records to the appropriate destination and output files.
7. At the appropriate output time, NSCC sends the data request records to the intermediaries. (Data records and intermediary acknowledgement and/or reject records may also be sent to the funds as part of the output file.)
8. The intermediary will take the data request records and may run some preliminary validation, which will result in accepted or rejected records.
9. 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.
10. 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.
11. The process to retrieve the data may take some time and may result in a reject or a response with data.
12. The intermediary will send reject records or data response record to NSCC.
13. NSCC does a preliminary validation, which will result in accepted or rejected records.
14. 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.

15. NSCC will send 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. After 10 processing days, the Reminders will no longer be sent. Acknowledgment, Reject, and Response records may still be sent even after the Reminders are discontinued.

VI. 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	Intermediary (I), Underlying Intermediary (U)
Record Type 22 = SDR Acknowledgment	Intermediary (I), Underlying Intermediary (U)
Record Type 23 = SDR Reject	Intermediary (I), Underlying Intermediary (U)
Record Type 24 = SDR Detail	Intermediary (I), Underlying Intermediary (U)
Record Type 25 = SDR Summary	Intermediary (I), Underlying Intermediary (U)
Record Type 27 = SDR Trailer	Intermediary (I), Underlying Intermediary (U)
Record Type 28 = SDR Reminder	NSCC (N)
Record Type 29 = SDR Grand Total Trailer	I, U, and F

Other records that will be used for the SDR process include:

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

VII. SDR Request Data File Structure

Provided below are 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 Intermediary, and Output from NSCC to the Fund. Output may include Reminders to both Fund and Intermediary.

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' Sequence number '01'	**Request 1**
Record type '20' Sequence number '02' (optional)	
Record type '20' Sequence number '01'	**Request 2**
Record type '20' Sequence number '01'	**Request 3**
Record type '20' Sequence number '01'	**Request n-1**
Record type '20' Sequence number '01'	**Request n**
Record type '29'	**Grand Total Trailer**
Datatrak Trailer	**Datatrak Trailer**

Record Structure for Request (Output to Intermediary)

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

Autoroute Header	**Autoroute Header**
NSCC Output Header	**NSCC Output Header**
Record type '20' Sequence number '01'	**Request 1**
Record type '20' Sequence number '02' (optional)	
Record type '20' Sequence number '01'	**Request 2**
Record type '20' Sequence number '01'	**Request n-1**
Record type '20' Sequence number '01'	**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 the NSCC to the Fund.

Autoroute Header		**Autoroute Header**
NSCC Output Header		**NSCC Output Header**
NSCC Reject of Record type '20'	Sequence number '01'	**NSCC Reject 1**
NSCC Reject of Record type '20'	Sequence number '02' (optional)	
NSCC Reject of Record type '20'	Sequence number '01'	**NSCC Reject n**
Record type N'28'		**Reminder 1**
Record type N'28'		**Reminder n**
Record type '29'		**Grand Total Trailer**

VIII. 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 intermediaries.

The SDR Data "Response" (Acknowledgment, Intermediary Reject, Detail, Summary) Input/Output file on mainframe will have **"groups"** of records that contain a header, detail records, and a trailer. Each group represents an account at the fund for a particular Intermediary 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 will contain summary level information that will help 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, Intermediary 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 will contain these records that have not been rejected by NSCC. The Output file to the Intermediary will contain any of these records that have been rejected by NSCC.

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

Record Structure for Detail Information Only (Input)

Record type '21' Sequence number '01'	**Header Group**
Record type '24' Sequence number '01'	**Detail 1**
Record type '24' Sequence number '01'	**Detail 2**
Record type '24' Sequence number '01'	**Detail n-1**
Record type '24' Sequence number '01'	**Detail n**
Record type '27' Sequence number '01'	**Trailer Group**

Record Structure for Summary Information Only (Input)

Record type '21' Sequence number '01'	**Header Group**
Record type '25' Sequence number '01'	**Summary 1**
Record type '25' Sequence number '01'	**Summary 2**
Record type '25' Sequence number '01'	**Summary 3**

Record type '25' Sequence number '01' **Summary n-1**
Record type '25' Sequence number '01' **Summary n**
Record type '27' Sequence number '01' **Trailer Group**

Record Structure for Both Detail and Summary Information (Input)

Record type '21' Sequence number '01' **Header Group**
Record type '24' Sequence number '01' **Detail 1**
Record type '24' Sequence number '01' **Detail 2**
Record type '24' Sequence number '01' **Detail n-1**
Record type '24' Sequence number '01' **Detail n**
Record type '25' Sequence number '01' **Summary 1**
Record type '25' Sequence number '01' **Summary 2**
Record type '25' Sequence number '01' **Summary 3**
Record type '25' Sequence number '01' **Summary n-1**
Record type '25' Sequence number '01' **Summary n**
Record type '27' Sequence number '01' **Trailer Group**

Record Structure for a Variety of Responses (Input)

Datatrak Header **Datatrak Header**

Record type '21' Sequence number '01' **Header Group 1**
Record type '22' Sequence number '01' **Acknowledgment 1**
Record type '27' Sequence number '01' **Trailer Group 1**

Record type '21' Sequence number '01' **Header Group 2**
Record type '22' Sequence number '01' **Acknowledgment 2**
Record type '27' Sequence number '01' **Trailer Group 2**

Record type '21' Sequence number '01' **Header Group 3**
Record type '23' Sequence number '01' **Intermediary Reject 1**
Record type '27' Sequence number '01' **Trailer Group 3**

Record type '21' Sequence number '01' **Header Group 4**
Record type '24' Sequence number '01' **Detail 1**
Record type '24' Sequence number '01' **Detail 2**
Record type '24' Sequence number '01' **Detail n-1**
Record type '24' Sequence number '01' **Detail n**
Record type '27' Sequence number '01' **Trailer Group 4**

Record type '21' Sequence number '01' **Header Group 5**
Record type '25' Sequence number '01' **Summary 1**
Record type '25' Sequence number '01' **Summary 2**
Record type '25' Sequence number '01' **Summary 3**
Record type '25' Sequence number '01' **Summary n-1**
Record type '25' Sequence number '01' **Summary n**
Record type '27' Sequence number '01' **Trailer Group 5**

Record type '21' Sequence number '01' **Header Group 6**
Record type '24' Sequence number '01' **Detail 1**
Record type '24' Sequence number '01' **Detail 2**
Record type '24' Sequence number '01' **Detail n-1**
Record type '24' Sequence number '01' **Detail n**
Record type '25' Sequence number '01' **Summary 1**

Record type '25' Sequence number '01'	**Summary 2**
Record type '25' Sequence number '01'	**Summary 3**
Record type '25' Sequence number '01'	**Summary n-1**
Record type '25' Sequence number '01'	**Summary n**
Record type '27' Sequence number '01'	**Trailer Group 6**
Record type '29'	**Grand Total Trailer**
Datatrak Trailer	**Datatrak Trailer**

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

The following is the standard format and structure for the SDR "Response" (Acknowledgment, Intermediary 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' Sequence number '01'	**Header Group 1**
Record type '22' Sequence number '01'	**Acknowledgment 1**
Record type '27' Sequence number '01'	**Trailer Group 1**
Record type '21' Sequence number '01'	**Header Group 2**
Record type '22' Sequence number '01'	**Acknowledgment 2**
Record type '27' Sequence number '01'	**Trailer Group 2**
Record type '21' Sequence number '01'	**Header Group 3**
Record type '23' Sequence number '01'	**Intermediary Reject 1**
Record type '27' Sequence number '01'	**Trailer Group 3**
Record type '21' Sequence number '01'	**Header Group 4**
Record type '24' Sequence number '01'	**Detail 1**
Record type '24' Sequence number '01'	**Detail 2**
Record type '24' Sequence number '01'	**Detail n-1**
Record type '24' Sequence number '01'	**Detail n**
Record type '27' Sequence number '01'	**Trailer Group 4**
Record type '21' Sequence number '01'	**Header Group 5**
Record type '25' Sequence number '01'	**Summary 1**
Record type '25' Sequence number '01'	**Summary 2**
Record type '25' Sequence number '01'	**Summary 3**
Record type '25' Sequence number '01'	**Summary n-1**
Record type '25' Sequence number '01'	**Summary n**
Record type '27' Sequence number '01'	**Trailer Group 5**
Record type '21' Sequence number '01'	**Header Group 6**
Record type '24' Sequence number '01'	**Detail 1**
Record type '24' Sequence number '01'	**Detail 2**
Record type '24' Sequence number '01'	**Detail n-1**
Record type '24' Sequence number '01'	**Detail n**
Record type '25' Sequence number '01'	**Summary 1**
Record type '25' Sequence number '01'	**Summary 2**
Record type '25' Sequence number '01'	**Summary 3**
Record type '25' Sequence number '01'	**Summary n-1**

Record type '25' Sequence number '01' **Summary n**
Record type '27' Sequence number '01' **Trailer Group 6**

Record type '29' **Grand Total Trailer**

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

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

Autoroute Header **Autoroute Header**
NSCC Output Header **NSCC Output Header**

NSCC Reject of Record type '21' Sequence number '01' **Header Group 1**
NSCC Reject of Record type '22' Sequence number '01' **Acknowledgment 1**
NSCC Reject of Record type '27' Sequence number '01' **Trailer Group 1**

NSCC Reject of Record type '21' Sequence number '01' **Header Group 2**
NSCC Reject of Record type '22' Sequence number '01' **Acknowledgment 2**
NSCC Reject of Record type '27' Sequence number '01' **Trailer Group 2**

NSCC Reject of Record type '21' Sequence number '01' **Header Group 3**
NSCC Reject ofRecord type '23' Sequence number '01' **Intermediary Reject 1**
NSCC Reject of Record type '27' Sequence number '01' **Trailer Group 3**

NSCC Reject of Record type '21' Sequence number '01' **Header Group 4**
NSCC Reject of Record type '24' Sequence number '01' **Detail 1**
NSCC Reject of Record type '24' Sequence number '01' **Detail 2**
NSCC Reject of Record type '24' Sequence number '01' **Detail n-1**
NSCC Reject of Record type '24' Sequence number '01' **Detail n**
NSCC Reject of Record type '27' Sequence number '01' **Trailer Group 4**

NSCC Reject of Record type '21' Sequence number '01' **Header Group 5**
NSCC Reject of Record type '24' Sequence number '01' **Detail 1**
NSCC Reject of Record type '24' Sequence number '01' **Detail 2**
NSCC Reject of Record type '24' Sequence number '01' **Detail n-1**
NSCC Reject of Record type '24' Sequence number '01' **Detail n**
NSCC Reject of Record type '27' Sequence number '01' **Trailer Group 5**

NSCC Reject of Record type '21' Sequence number '01' **Header Group 6**
NSCC Reject of Record type '24' Sequence number '01' **Detail 1**
NSCC Reject of Record type '24' Sequence number '01' **Detail 2**
NSCC Reject of Record type '24' Sequence number '01' **Detail n-1**
NSCC Reject of Record type '24' Sequence number '01' **Detail n**
NSCC Reject of Record type '25' Sequence number '01' **Summary 1**
NSCC Reject of Record type '25' Sequence number '01' **Summary 2**
NSCC Reject of Record type '25' Sequence number '01' **Summary 3**
NSCC Reject of Record type '25' Sequence number '01' **Summary n-1**
NSCC Reject of Record type '25' Sequence number '01' **Summary n**
NSCC Reject of Record type '27' Sequence number '01' **Trailer Group 6**

Record type '29' **Grand Total Trailer**

1. An error in format within the Header or Trailer will result 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 will NOT reject "group" records if the respective trailer information does not match the actual records submitted. NSCC will only reject for invalid format and syntax.**

3. **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.**

IX. NSCC Data and File Sorting

NSCC will not require nor validate any particular sorting order on the input files submitted to NSCC. However, NSCC will 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)

X. Guidelines for User Search Criteria and Data Sorting

The criteria and sorting order that will be used by the intermediary in performing the search on their systems will be the following. This same order should be used to submit the information to NSCC. **This is only a guideline and will not be 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 will be used.
   - Fund Account Number or Intermediary 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 will be used. Only the participant level transactions for that Plan ID will be provided.

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

3. **Trade Date**

4. **Transaction Type**

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

– **Intermediary/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)
        – …

XI. Field Definitions

SDR Inquiry Request Data (Sent by Funds to Intermediaries)

The format for the fund request input file/message will be the same for all requests, but different data will be necessary based on the requests. The request types will indicate which additional data field will be used to refine the queries that the intermediary will run 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	**Algorithm = ppppyjjjnnnnnnn** pppp = Fund's Participant Number y = Last digit of year jjj = Julian Date nnnnnnn = Unique sequential number assigned by fund
Request Type	Required. Identifies the request or response type with the corresponding data. 01 = Fund Account Level 02 = Plan Level 03 = Investor Omnibus Account Level 04 = Fund/SERV Control Number Request 05 = Rep Level 06 = Stop Recurring
Fund Number	4 N. Required. Requesting Fund's NSCC Participant Number.
Intermediary Number	4 N. Required. Target Intermediary's NSCC Participant Number.
Underlying Intermediary	4 A/N. Optional. The Intermediary Number field above may be a first-tier Intermediary

	and the Underlying Intermediary would then be the second-tier intermediary; OR – The Intermediary Number may be a Service Provider's NSCC Participant Number, and the Underlying Intermediary 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.) The underlying Intermediary's number may be the NSCC member or DSO number, the OTC symbol, or the "universal identifier, " see Underlying Intermediary Indicator.
Underlying Intermediary Indicator	Optional/Conditional. Required when Underlying Intermediary is provided. May be used to qualify the underlying intermediary identifier that is being used in the field above. 01 = NSCC Number 02 = OTC Symbol 03 = Universal Identifier
Security Issue ID	9 A/N. Required. Requesting fund's Security Issue ID number. Will be used to retrieve data for a specific Security Issue ID.
Recurring Indicator	Optional. May be used to request **daily** data to be sent on an ongoing basis. 0 = No 1 = Yes **"No" or a space** means a one-time request. "Yes" means daily data is to be sent indefinitely until a "Stop Recurring" request type is sent. Note that the "From Date" should be the current date; however, the intermediary will process the request as a recurring request beginning on the date that it receives the request.

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

At least the intermediary or fund account number is required but all account identifiers may be provided. When multiple fields are provided, the Intermediary 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 will be used. Only the participant level transactions for that particular Plan ID will be 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 will be used. Only the activity for that single participant within the designated plan will be provided.

The identifiers will be used in the following manner.

- ***Super omnibus accounts will be identified only by fund/intermediary account number.***
- ***Plan accounts will be identified only by fund/intermediary account number or by plan ID.***
- ***Investor Omnibus Accounts will be identified only by fund/intermediary account number or by investor omnibus account number.***
- ***Participants or shareholders will be identified only by SSN/TIN.***

Fund Account Number	20 A/N. Optional/Conditional. Required if Intermediary 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.
Intermediary 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 intermediary.
Plan ID **Should be provided to go to a Plan Level.**	20 A/N. Optional. 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. 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 will 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 will be 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	99,999,999,999,999.99. 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 will be considered 0 = No. If YES, then Category 2 transactions will also be provided by the intermediary (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 Intermediary 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 on situations where original SDR control number is needed. **Algorithm = ppppyjjjnnnnnnn** pppp = Fund's Participant Number y = Last digit of year jjj = Julian Date

	nnnnnnn = Unique sequential number assigned by fund

SDR Acknowledgment Data

The Acknowledgment will be the initial response from the Intermediary to the fund. The acknowledgment will be a proactive indication from the Intermediary that it has received the request from the fund, and will be considered the point on which Intermediary response time to requests will be based. The Acknowledgment may also be used by the Intermediary to indicate the approximate amount of time that it will take 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 Intermediary
Anticipated Response Date	mmddccyy. Optional. Provides the date in which the Intermediary anticipates that the response data will be provided to the fund.
Anticipated Response File Frequency	Optional. Indicates whether the Intermediary will provide 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 Intermediary	4 A/N. Optional. Provides the Underlying Intermediary that may be involved in providing requested data.

SDR Response Data (Sent by Intermediaries to Funds)

Intermediaries will 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. Lastly, detail response data are 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 intermediary to the fund through DTCC. Files sent on a regular daily schedule will be 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 will provide 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
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.	
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 response provided against a request made outside of NSCC.**
SDR Response Number	Required. **Algorithm = ppppyjjjnnnnnnn** pppp = Intermediary's Participant Number y = Last digit of year jjj = Julian Date nnnnnnn = Unique sequential number assigned by intermediary Used to identify the SDR response, either to an SDR request via NSCC or a request done ex-NSCC.
Response Type	Required. Immediately identifies the level of data. 01= Summary Level 02 = Detail Level 03 = Both Summary and Detail The record layout field will also include the following to identify acknowledgments and rejects. 04 = Acknowledgment 05 = Intermediary Reject
Fund Number	4 N. Required. Fund's NSCC Participant Number.
Intermediary Number	4 N. Required. Intermediary's NSCC Participant Number.
Underlying Intermediary	4 A/N. Optional. The Intermediary Number field above may be a first-tier Intermediary and the Underlying Intermediary would then be the second-tier intermediary; OR – The Intermediary Number may be a Service Provider's NSCC Participant Number, and the Underlying Intermediary 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.) The underlying Intermediary's number may be the NSCC member or DSO number, the OTC symbol, or the "universal identifier, " see Underlying Intermediary Indicator.
Underlying Intermediary Indicator	Optional/Conditional. Required when Underlying Intermediary is provided. May be used to qualify the underlying intermediary identifier that is being used in the field above. 01 = NSCC Number

	02 = OTC Symbol 03 = Universal Identifier
Fund Account Number	20 A/N. Optional/Conditional. Required if Intermediary Account Number is not provided. Refers to the account number that is set up by the fund.
Intermediary 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 intermediary.
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 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 intermediaries 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. Note that recurring requests will not be followed by a "final response" because the intermediary will simply stop sending the data. The intermediary will not be able to know that a file is final before the transmission of current recurring data response.
This is the detail/transaction data, which will be generally sorted at the high level account (e.g., Plan ID), then at the participant level (e.g., SSN/TIN), then Trade Date (if multiple is requested), and finally by transaction type. This record will be repeated for each of the sort criteria, e.g., Plan ID, when more than one plan exists for the fund account. ***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.***	
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 Intermediary.
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.
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. Required only on Exchanges.

Transaction Type	Required. Defines the transaction that the underlying shareholder has requested on the account. The transaction types will be limited to: 01 = Buy 02 = Sell 03 = Exchange (Intra-Fund Buy Side) 04 = Exchange (Intra-Fund Sell Side) 05 = Transfer 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. Required. The net amount that was settled for the trade.
Trade Share Amount	9,999,999,999.9999. Required.
Price on Trade	999,999.999999. Required. Defined as the price applied to the particular trade.
STR Fee Amount	999,999.99. Optional. Defines the Short Term Redemption fee paid on a transaction. Will indicate whether or not fees are being assessed by the recordkeeper/intermediary.
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.
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 Intermediary 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 = Intermediary Cannot Differentiate
Correction Indicator	0 = Regular File 1 = Correction File May be used to correct data that was previously sent. 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 will be considered 0 = Regular File.

XII. Record Layouts

Record Layouts are available on NSCC's Mutual Fund Services website, http://funds.dtcc.com. XML Schemas for the fund data request may be found also be found on the website.

XIII. Reject Codes

NSCC may reject records that do not comply to the record layouts and the validation rules contained within the layouts. Intermediaries may also reject the data requests from the funds for various reasons. The following set of codes and descriptions may be used by NSCC and Intermediaries in the SDR system.

Reject Code	Description
01	Originator Type Missing or Invalid
02	Record Type Missing or Invalid
03	Sequence Number Missing or Invalid
04	SDR Control Number Missing or Invalid
05	SDR Request Type Missing or Invalid
06	Intermediary Number Missing or Invalid
07	Underlying Intermediary Missing or Invalid
08	Underlying Intermediary Indicator Missing or Invalid
09	Fund Number Missing or Invalid
10	Fund Account Number Missing or Invalid
11	Intermediary Account Number Missing or Invalid
12	From Date Missing or Invalid
13	Security Issue ID Missing or Invalid
14	Plan ID/Investor Omnibus Account Number Missing or Invalid
15	Omnibus Account Indicator Missing or Invalid
16	SSN/TIN Missing or Invalid
17	Recurring Indicator Invalid
18	To Date Invalid
19	Includes Category 2 Transactions Field Invalid
20	RR Number Missing or Invalid
21	RR Branch Missing or Invalid
22	RR Firm Missing or Invalid
23	Original SDR Control Number Missing or Invalid
24	Threshold Amount Invalid
25	Transaction Type Missing or Invalid
26	Fund/SERV Control Number Missing or Invalid

27	SDR Response Number Missing or Invalid
28	Response Type Missing or Invalid
29	Partial Response Indicator Missing or Invalid
30	Correction Indicator Invalid
31	SSN/TIN Missing or Invalid
32	SSN/TIN Indicator Missing or Invalid
33	NAV Date Missing or Invalid
34	Transaction Code Invalid
35	Transaction Category Missing or Invalid
36	Dollar Amount Missing or Invalid
37	Share Amount Missing or Invalid
38	Price Missing or Invalid
39	Transaction ID Invalid
40	Contra Security Issue ID Invalid
41	STR Fee Amount Invalid
42	CDSC Amount Invalid
43	Transaction Source Invalid
44	Agent For Firm Invalid
45	Plan Name Invalid
46	Customer Name Invalid
47	Dollar Value of All Participant/ Shareholder Buys Missing or Invalid
48	Dollar Value of All Participant/ Shareholder Sells Missing or Invalid
49	Dollar Value of Category 1 Participant/ Shareholder Buys Missing or Invalid
50	Dollar Value of Category 1 Participant/ Shareholder Sells Missing or Invalid
51	Number of Category 1 Participant/ Shareholder Buys Invalid
52	Number of Category 1 Participant/ Shareholder Sells Invalid
53	Social Code Missing or Invalid
54	Dollar Value of All of Participant/ Shareholder Exchanges (Intra Fund Buy-Side) Missing or Invalid
55	Dollar Value of All Participant/ Shareholder Exchanges (Intra Fund Sell-Side) Missing or Invalid
56	Dollar Value of Category 1 of Participant/ Shareholder Exchanges (Intra Fund Buy-Side) Missing or Invalid
57	Dollar Value of Category 1 Participant/ Shareholder Exchanges (Intra Fund Sell-Side) Missing or Invalid
58	Number of Category 1 Participant/ Shareholder Exchanges (Intra Fund Buy-Side) Invalid
59	Number of Category 1 Participant/ Shareholder Exchanges (Intra Fund Sell-Side) Invalid
60	Number of Shares in Plan/Investor Omnibus Account Invalid
61	EOD Dollar Balance Invalid
62	Total Detail Items Missing or Invalid
63	Total Summary Items Missing or Invalid
64	Total Records Missing or Invalid
65	Reject Indicator Missing or Invalid
66	Reject Code Invalid
67	Acknowledgment Indicator Missing or Invalid
68	Anticipated Response Date Invalid
69	Anticipated Response File Frequency Invalid

70	Record Missing
71	Date Range Not Supported
72	Recurring Request Not Supported
73	Invalid Request Type for Account
74	Named Intermediary Does Not Have Information
75	Information Previously Provided
76	Rep Level Request Not Supported
77	Transaction Type Search Not Supported
78	Fund/SERV Control Number Search Not Supported
79	Category 2 Transactions Not Supported
80	Threshold Amount Not Supported
81	Account is Non-Omnibus (Single Shareholder)
82	Underlying Intermediary Will Not Provide Information
83	Response Provided Outside of NSCC

XIV. Sample Scenarios

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

1. Request on a Super Omnibus Account

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

SDR Request Record (F 20)

Record 1 of 2

Field Name	Start	End	Len	Type	Description	Opt/ Req.
Originator Type	1	1	1	A/N	**F** = Fund	R
Record Type	2	3	2	A/N	**20** = SDR Request	R
Sequence Number	4	5	2	A/N	**01**	R
SDR Control Number	6	20	15	A/N	**564350580000001**	R

Field Name	Start	End	Len	Type	Description	Opt/ Req.
SDR Request Type	21	22	2	A/N	**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 Intermediary account number)	R
Intermediary Number	23	26	4	N	**0675** In this example, there is an "Underlying Intermediary," which indicates that the Intermediary is a service provider acting on behalf of another Intermediary.	R
Underlying Intermediary	27	30	4	A/N	**0004** This is the Intermediary that is using a service provider to support the SDR functionality.	O
Underlying Intermediary Indicator	31	32	2	A/N	**02 = Universal Identifier**	OC
Fund Number	33	36	4	N	**5643**	R
Fund Account Number	37	56	20	A/N	**CA1000231** Either the fund account number or Intermediary account number is provided. In this example, both are provided.	OC
Intermediary Account Number	57	76	20	A/N	**13454637** Either the fund account number or Intermediary account number is provided. In this example, both are provided.	OC
From Date	77	84	8	N	**02282005** Must be the current date, or a valid historical date.	R
Security Issue ID	85	93	9	A/N	**261465763**	R

Field Name	Start	End	Len	Type	Description	Opt/ Req.
Plan ID/Investor Omnibus Account Number	94	113	20	A/N		O
Omnibus Account Indicator	114	114	1	A/N		OC
SSN/TIN	115	123	9	A/N		O
Filler	124	131	8	A/N		R
NSCC Reject indicator	132	132	1	A/N		C
Filler/Reject Code 1	133	134	2	A/N		C
Filler/Reject Code 2	135	136	2	A/N		C
Filler/Reject Code 3	137	138	2	A/N		C
Filler/Reject Code 4	139	140	2	A/N		C

SDR Request Record (F 20)

Record 2 of 2

Field Name	Start	End	Len	Type	Description	Opt/ Req.
Originator Type	1	1	1	A/N	**F** = Fund	R
Record Type	2	3	2	A/N	**20** = SDR Request	R
Sequence Number	4	5	2	A/N	**02**	R
Recurring Indicator	6	6	1	A/N		O
To Date	7	14	8	N	**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.	O
Includes Category 2 Transactions?	15	15	1	A/N		O
RR Number	16	24	9	A/N		OC

Field Name	Start	End	Len	Type	Description	Opt/ Req.
RR Branch	25	33	9	A/N		O
RR Firm	34	41	8	A/N		O
Original SDR Control Number	42	56	15	A/N		O
Threshold Amount	57	65	9	N		O
Transaction Type	66	67	2	A/N		O
Fund/SERV Control Number	68	82	15	A/N		O
Filler	83	140	58	A/N		R

ACKNOWLEDGEMENT RESPONSE

SDR Header (I/U 21)

Record 1 of 1

Field Name	Start	End	Len	Type	Description	Opt/ Req.
Originator Type	1	1	1	A/N	**I** = Firm	R
Record Type	2	3	2	A/N	**21** = SDR Header	R
Sequence Number	4	5	2	A/N	**01**	R
SDR Control Number	6	20	15	A/N	**564350580000001**	R
SDR Response Number	21	35	15	A/N	**067550580000001**	R
Response Type	36	37	2	A/N	**04** = Acknowledgment	R
Partial Response Indicator	38	38	1	A/N	**0** = Full Acknowledgments are always Full.	R
Intermediary Number	39	42	4	N	**0675**	R
Underlying Intermediary	43	46	4	A/N	**0004** The Intermediary should echo back information provided by the fund.	O
Underlying Intermediary Indicator	47	48	2	A/N	**02 = Universal Number**	OC
Fund Number	49	52	4	N	**5643**	R

Field Name	Start	End	Len	Type	Description	Opt/ Req.
Fund Account Number	53	72	20	A/N	**CA1000231**	OC
Intermediary Account Number	73	92	20	A/N	**13454637**	OC
Security Issue ID	93	101	9	A/N	**261465763**	R
Correction Indicator	102	102	1	A/N		O
Fund/SERV Control Number	103	117	15	A/N		O
Filler	118	131	14	A/N		R
NSCC Reject indicator	132	132	1	A/N		C
Filler/Reject Code 1	133	134	2	A/N		C
Filler/Reject Code 2	135	136	2	A/N		C
Filler/Reject Code 3	137	138	2	A/N		C
Filler/Reject Code 4	139	140	2	A/N		C

SDR Acknowledgment (I/U 22)
Input From Intermediary To NSCC
Output From NSCC To Fund

Record 1 of 1
(Required)

This Acknowledgment record will be submitted within the Header and Trailer. The Acknowledgment will be the first response from the Intermediary 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	Start	End	Len	Type	Description	Opt/ Req.
Originator Type	1	1	1	A/N	**I** = Firm	R
Record Type	2	3	2	A/N	**22** = SDR Acknowledgment	R
Sequence Number	4	5	2	A/N	01	R

Field Name	Start	End	Len	Type	Description	Opt/ Req.
Acknowledgment Indicator	6	6	1	A/N	**0** = Response will be Provided Intermediary is acknowledging and will provide a response.	R
Anticipated Response Date	7	14	8	A/N	**03312005** Date by which the intermediary is expected to provide a response.	O
Anticipated Response File Frequency	15	15	1	A/N	**0** = Full File Intermediary is anticipating sending a full file.	O
Underlying Intermediary	16	19	4	A/N	**This field on the Header is used only on Summary records to specify the Underlying Intermediary on a Plan or Investor Omnibus Account.**	O
Underlying Intermediary Indicator	20	21	2	A/N		
Filler	20	121	102	A/N		R
NSCC Reject indicator	122	122	1	A/N	Input: Space Output: 0 = Accepted by NSCC 1 = Rejected by NSCC	C
Filler/Reject Code 1	123	124	2	A/N	Input: Space Output: Reject Code	C
Filler/Reject Code 2	125	126	2	A/N	Input: Space Output: Reject Code	C
Filler/Reject Code 3	127	128	2	A/N	Input: Space Output: Reject Code	C
Filler/Reject Code 4	129	130	2	A/N	Input: Space Output: Reject Code	C

SUMMARY RESPONSE RECORDS

SDR Header (I/U 21)

Record 1 of 1

Field Name	Start	End	Len	Type	Description	Opt/ Req.
Originator Type	1	1	1	A/N	**I** = Firm	R

Field Name	Start	End	Len	Type	Description	Opt/ Req.
Record Type	2	3	2	A/N	**21** = SDR Header	R
Sequence Number	4	5	2	A/N	**01**	R
SDR Control Number	6	20	15	A/N	**564350580000001**	R
SDR Response Number	21	35	15	A/N	**067550590000001**	R
Response Type	36	37	2	A/N	**01** = Summary Level The Intermediary determines that the account is a super omnibus account and submits a "Summary Level" Response Type.	R
Partial Response Indicator	38	38	1	A/N	**0** = Full/Final Response In this example, the response will contain all requested data in one file. This response is marked as a full/final response.	R
Intermediary Number	39	42	4	N	**0675**	R
Underlying Intermediary	43	46	4	A/N	**0004** The Intermediary should echo back information provided by the fund.	O
Underlying Intermediary Indicator	47	48	2	A/N	**02 = Universal Identifier**	OC
Fund Number	49	52	4	N	**5643**	R
Fund Account Number	53	72	20	A/N	**CA1000231**	OC
Intermediary Account Number	73	92	20	A/N	**13454637**	OC
Security Issue ID	93	101	9	A/N	**261465763**	R
Correction Indicator	102	102	1	A/N		O
Fund/SERV Control Number	103	117	15	A/N		O
Filler	118	131	14	A/N		R
NSCC Reject indicator	132	132	1	A/N		C
Filler/Reject Code 1	133	134	2	A/N		C
Filler/Reject Code 2	135	136	2	A/N		C
Filler/Reject Code 3	137	138	2	A/N		C

Field Name	Start	End	Len	Type	Description	Opt/ Req.
Filler/Reject Code 4	139	140	2	A/N		C

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

Record 1 of 1

Field Name	Start	End	Len	Type	Description	Opt/ Req.
Originator Type	1	1	1	A/N	**I** = Intermediary	R
Record Type	2	3	2	A/N	**25** = SDR Summary	R
Sequence Number	4	5	2	A/N	01	R
Plan ID/Investor Omnibus Account Number	6	25	20	A/N	**PLAN014354321** The Intermediary will identify all plans and investor omnibus accounts in the super omnibus account and provide summary data. This is the first plan identified in the super omnibus account.	R
Omnibus Account Indicator	26	26	1	A/N	**0** = Plan ID Indicates that the account above is a Plan.	R
NAV Date	27	34	8	A/N	**02282005**	R
Dollar Value of **All** Participant/ Shareholder Buys	35	50	16	N		OC
Dollar Value of **All** Participant/ Shareholder Sells	51	66	16	N		OC
Dollar Value of **Category 1** Participant/ Shareholder Buys	67	82	16	N	**10000000** (i.e., $100,000.00)	OC
Dollar Value of **Category 1** Participant/ Shareholder Sells	83	98	16	N	**45000000** (i.e., $450,000.00)	OC
Number of **Category 1** Participant/ Shareholder Buys	99	106	8	N	**00000004** (i.e., 4 Buys on this particular day within this Plan)	O

Field Name	Start	End	Len	Type	Description	Opt/ Req.
Number of **Category 1** Participant/ Shareholder Sells	107	114	8	N	**00000003** (i.e., 3 Sells on this particular day within this Plan)	O
Underlying Intermediary	115	118	4	A/N	**This number is not necessary since it is provided on the request and returned on the Header.**	O
Underlying Intermediary Indicator	119	120	2	A/N		O
Social Code	121	122	2	A/N	**12** = 401k (non-prototype)	R
Filler	123	131	9	A/N		R
NSCC Reject indicator	132	132	1	A/N	Input: Space Output: 0 = Accepted by NSCC 1 = Rejected by NSCC	C
Filler/Reject Code 1	133	134	2	A/N	Input: Space Output: Reject Code	C
Filler/Reject Code 2	135	136	2	A/N	Input: Space Output: Reject Code	C
Filler/Reject Code 3	137	138	2	A/N	Input: Space Output: Reject Code	C
Filler/Reject Code 4	139	140	2	A/N	Input: Space Output: Reject Code	C

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

Record 1 of 1

Field Name	Start	End	Len	Type	Description	Opt/ Req.
Originator Type	1	1	1	A/N	**I** = Firm	R
Record Type	2	3	2	A/N	**25** = SDR Summary	R
Sequence Number	4	5	2	A/N	**01**	R
Plan ID/Investor Omnibus Account Number	6	25	20	A/N	**PLAN0574532** This is the second plan identified in the super omnibus account.	R

Field Name	Start	End	Len	Type	Description	Opt/ Req.
Omnibus Account Indicator	26	26	1	A/N	**0** = Plan ID	R
NAV Date	27	34	8	A/N	**02282005**	R
Dollar Value of **All** Participant/ Shareholder Buys	35	50	16	N		OC
Dollar Value of **All** Participant/ Shareholder Sells	51	66	16	N		OC
Dollar Value of **Category 1** Participant/ Shareholder Buys	67	82	16	N	**4500000** (i.e., $45,000.00)	OC
Dollar Value of **Category 1** Participant/ Shareholder Sells	83	98	16	N	**1500000** (i.e., $15,000.00)	OC
Number of **Category 1** Participant/ Shareholder Buys	99	106	8	N	**00000001**	O
Number of **Category 1** Participant/ Shareholder Sells	107	114	8	N	**00000001**	O
Underlying Intermediary	115	118	4	A/N	**This number is not necessary since it is provided on the request and returned on the Header.**	O
Underlying Intermediary Indicator	119	120	2	A/N		O
Social Code	121	122	2	A/N	**12** = 401k (non-prototype)	O
Filler	123	131	9	A/N		R
NSCC Reject indicator	132	132	1	A/N	Input: Space Output: 0 = Accepted by NSCC 1 = Rejected by NSCC	C
Filler/Reject Code 1	133	134	2	A/N	Input: Space Output: Reject Code	C
Filler/Reject Code 2	135	136	2	A/N	Input: Space Output: Reject Code	C
Filler/Reject Code 3	137	138	2	A/N	Input: Space Output: Reject Code	C
Filler/Reject Code 4	139	140	2	A/N	Input: Space Output: Reject Code	C

SDR Trailer (I/U 27)

Record 1 of 1

Field Name	Start	End	Len	Type	Description	Opt/ Req.
Originator Type	1	1	1	A/N	**I** = Firm	R
Record Type	2	3	2	A/N	**27** = SDR Trailer	R
Sequence Number	4	5	2	A/N	**01**	R
SDR Control Number	6	20	15	A/N	**564350580000001**	OC
SDR Response Number	21	35	15	A/N	**067550590000001**	OC
Intermediary Number	36	39	4	N	**0675**	R
Fund Number	40	43	4	N	**5643**	R
Security Issue ID	44	52	9	A/N	**261465763**	R
Total Acknowledgment Items within this Group	53	53	1	N	**000000000**	R
Total Reject Items within this Group	54	54	1	N	**000000000**	R
Total Detail Items within this Group	55	63	9	N	**000000000** (Total number of record type 24, sequence 01.)	R
Total Summary Items within this Group	64	72	9	N	**000000002** (Total number of record type 25, sequence 01.)	R
Total Records within this Group	73	81	9	N	**000000004** (Total number of **physical** records including headers and trailers.)	R
Total NSCC Accepted Input – Acknowledgment Items	82	82	1	N	Input: Space Output: Total number of NSCC accepted record type 22 with sequence 01. Zeroes Allowed.	R
Total NSCC Accepted Input – Reject Items	83	83	1	N	Input: Space Output: Total number of NSCC accepted record type 23 with sequence 01. Zeroes Allowed.	R
Total NSCC Accepted Input – Detail Items	84	92	9	N	999,999,999 Input: Space Output: Total number of NSCC-accepted record type 24 with sequence 01. Zeroes Allowed.	R

Field Name	Start	End	Len	Type	Description	Opt/ Req.
Total NSCC Accepted Input – Summary Items	93	101	9	N	999,999,999 Input: Space Output: Total number of NSCC-accepted record type 25 with sequence 01. Zeroes Allowed.	R
Total NSCC Rejected Input – Acknowledgment Items	102	102	1	N	Input: Space Output: Total number of NSCC rejected record type 22 with sequence 01. Zeroes Allowed.	R
Total NSCC Rejected Input – Reject Items	103	103	1	N	Input: Space Output: Total number of NSCC rejected record type 23 with sequence 01. Zeroes Allowed.	R
Total NSCC Rejected Input – Detail Items	104	112	9	N	999,999,999 Input: Space Output: Total number of NSCC-rejected record type 24 with sequence 01. Zeroes Allowed.	R
Total NSCC Rejected Input – Summary Items	113	121	9	N	999,999,999 Input: Space Output: Total number of NSCC-rejected record type 25 with sequence 01. Zeroes Allowed.	R
Filler	122	131	10	A/N		R
NSCC Reject indicator	132	132	1	A/N	Input: Space Output: 0 = Accepted by NSCC 1 = Rejected by NSCC	C
Filler/Reject Code 1	133	134	2	A/N	Input: Space Output: Reject Code	C
Filler/Reject Code 2	135	136	2	A/N	Input: Space Output: Reject Code	C
Filler/Reject Code 3	137	138	2	A/N	Input: Space Output: Reject Code	C
Filler/Reject Code 4	139	140	2	A/N	Input: Space Output: Reject Code	C

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.
Intermediary Number	**0675** In this example, there is an "Underlying Intermediary," which indicates that the Intermediary is a service provider acting on behalf of another Intermediary.
Underlying Intermediary	**0004** This is the Intermediary that is using a service provider to support the SDR functionality.
Underlying Intermediary Indicator	**02** Universal Identifier.
Fund Number	**564350600000001**
Fund Account Number	**CA1000231** Either the fund account number or Intermediary account number is provided. In this example, both are provided.

Key Fields/Data	Description
Intermediary Account Number	**13454637** Either the fund account number or Intermediary 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 will be necessary to request information for a particular plan or investor omnibus account. For non-super omnibus accounts, the fund account number or Intermediary account number may be sufficient to identify the account. When a Plan ID or Investor Omnibus Account is provided, then 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 are 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 (I/U 21)

Key Fields/Data	Description
SDR Control Number	**564350600000001**
SDR Response Number	**067550610000001**

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

SDR Detail (I/U 24) #1

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

Key Fields/Data	Description
Transaction Category	**1** = Category 1
Transaction Code	**09 = Exchange.** Optionally provided description of the transaction.
Dollar Amount	**0000000002500000** (i.e., $25,000 Buy)
Share Amount	**00000250000000** (i.e., 25,000 shares)
Price	**000001000000** (i.e., Price = $1.00)
Transaction Source	**0** = Participant This indicates that the Buy was initiated by the Participant (e.g., this is the purchase side of a cross-fund exchange) Participant-directed transactions are the default transaction source. This example optionally specifies the source for illustration purpose.
Customer Name	**JOHN SMITH** The name is optionally provided by the Intermediary.

SDR Detail (I/U 24) #2

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

Key Fields/Data	Description
Dollar Amount	**0000000005000000** (i.e., $50,000 Buy)
Share Amount	**00000250000000** (i.e., 25,000 shares)
Price	**000002000000** (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 Intermediary.

SDR Detail (I/U 24) #3

Key Fields/Data	Description
Plan ID/Investor Omnibus Account Number	**PLAN014354321**
Omnibus Account Indicator	**0** = Plan ID
SSN/TIN	**234670001** This is the SSN of the first Participant identified in the Plan.
SSN/TIN Indicator	**2** = SSN
NAV Date	**03032005**
Transaction Type	**01** = Buy
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 (I/U 27)

Key Fields/Data	Description
SDR Control Number	**5643066001**
Intermediary Number	**0675**
Fund Number	**5643**
Security Issue ID	**261465763**
Total Detail Items within this Group	**000000003** (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	**000000005** (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.
Intermediary 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 Intermediary.
From Date	**09012005**
Security Issue ID	**880210505**
To Date	**09032005**

RESPONSE RECORDS

SDR Header (I/U 21)

Key Fields/Data	Description
SDR Control Number	**553452520000001**
SDR Response Number	**220552530000001**

Key Fields/Data	Description
Response Type	**02** = Detail Level Since the request was at an investor omnibus account level, the Intermediary will provide details of the shareholders in the account.
Partial Response Indicator	**0** = Full/Final Response In this example, the response will contain all requested data in one file. This response is marked as a full/final response.
Intermediary Number	**2205**
Fund Number	**5534**
Fund Account Number	**00000000001234567891**
Security Issue ID	**880210505**

SDR Detail (I/U 24) #1

Field Name	Description
Plan ID/Investor Omnibus Account Number	**00000000000112233445** 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 Intermediary. 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
Transaction Category	**1** = Category 1
Dollar Amount	**0000000001000000** (i.e., $10,000.00 Buy)
Share Amount	**00000004612546** (i.e., 461.2546 shares)
Price	**000021680000** (i.e., $21.68)

SDR Detail (I/U 24) #2

Field Name	Description
Plan ID/Investor Omnibus Account Number	**00000000000112233445** 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	**0000000001035516** (i.e., $10,355.16 Sell)
Share Amount	**00000004612546** (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 (I/U 24) #3

Key Fields/Data	Description
Plan ID/Investor Omnibus Account Number	**00000000000001234567** 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 Intermediary. 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.

Key Fields/Data	Description
SSN/TIN Indicator	**1** =TIN
NAV Date	**09012005**
Transaction Type	**01** = Buy
Transaction Category	**1** = Category 1
Dollar Amount	**0000000002532344** (i.e., $25,323.44 Buy)
Share Amount	**00000011680553** (i.e., 1,168.0553 shares)
Price	**000021680000** (i.e., $21.68)

SDR Detail (I/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 Intermediary. 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	**09032005**
Transaction Type	**01** = Buy
Transaction Category	**1** = Category 1
Dollar Amount	**0000000002500000** (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 (I/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)
Share Amount	**00000046125461** (i.e., 4612.5461 shares)
Price	**000021680000** (i.e., $21.68)

SDR Detail (I/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**

Key Fields/Data	Description
Transaction Type	**02** = Sale
Transaction Category	**1** = Category 1
Dollar Amount	**0000000001000000** ($10,000.00)
Share Amount	**00000004612546** (461.2546 shares)
Price	**000021680000** ($21.68)

SDR Trailer (I/U 27)

Key Fields/Data	Description
SDR Control Number	**5534224001**
Intermediary Number	**2205**
Fund Number	**5534**
Security Issue ID	**880210505**
Total Detail Items within this Group	**000000006** (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	**000000008** (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.
Intermediary 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 will be ignored by the Intermediary, who will provide 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 (I/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
Intermediary Number	**0164**
Fund Number	**5894**
Fund Account Number	**1567972746** The Intermediary should echo back information provided by the fund.
Intermediary Account Number	**EX1ACCOUNT1** Additional account information may be provided by the Intermediary.
Security Issue ID	**315805200**
Correction Indicator	**0** = Regular

SDR Detail (I/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 Intermediary 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	**0000000001000000** (i.e., $10,000.00 Buy)
Share Amount	**00000005000000** (i.e., 500.000 shares)
Price	**000000020000** (i.e., $20.0000)
Transaction Source	**0** = Participant
RR Number	**615EULE**
RR Branch	**615**

SDR Detail (I/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	**000000000200000** (i.e., $2,000.00 Sell
Share Amount	**00000001000000** (i.e., 1,000.000 shares)

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

SDR Trailer (I/U 27)

Key Fields/Data	Description
SDR Control Number	**RepExample**.
Intermediary 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
Intermediary 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**
Intermediary 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 (I/U 21)

- Firm sends response to provide data for the 23 business days requested.
- Firm could send partial response, but this is 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**
Response Type	**02** = Detail Level

Key Fields/Data	Description
Partial Response Indicator	**0** = Full/Final Response
Intermediary Number	**0164**
Fund Number	**5894**
Fund Account Number	**1567972746** The Intermediary should echo back information provided by the fund.
Intermediary Account Number	**EX2ACCOUNT2** Additional account information may be provided by the Intermediary.
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 (I/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)
Transaction Source	**0** = Participant

Key Fields/Data	Description
RR Number	**615EULE**
RR Branch	**615**

SDR Detail (I/U 24) #2

Key Fields/Data	Description
Plan ID/Investor Omnibus Account Number	**EX2ACCOUNT2**
Omnibus Account Indicator	**1** = Investor Omnibus Account
SSN/TIN	**222222222**
SSN/TIN Indicator	**2** = SSN
NAV Date	**09/26/2005**
Transaction Type	**02** = Sell
Transaction Category	**1** = Category 1
Dollar Amount	**0000000002000000** (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 (I/U 27)

Key Fields/Data	Description
SDR Control Number	**589452430000001**
Intermediary Number	**0164**

Key Fields/Data	Description
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	**00000004** (for illustration purpose) (Total number of **physical** records including headers and trailers.)

XV. Other Scenarios

Scenario	Fund and Intermediary Processing
Super Omnibus Account with various omnibus and non-omnibus accounts	**Fund** • See Example 1 • Fund submits Fund Level request • Provides Fund Account Number or Intermediary Account Number **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. **Intermediary** • See Example 1 • Intermediary submits a Header Record (I/U 21) with a **Response Type of 03 = Both Detail and Summary Data.** • Submits, first, a Detail Record (I/U 24) for each individual account found in the super omnibus account • Submits Summary Record (I/U 25) for each Plan found in the super omnibus account • Submits Summary Record (I/U 25) for each Investor Omnibus Account found in the super omnibus account • Submits a Trailer Record (I/U 27)
Partial Acknowledgment	**Fund** • See Example 5 • Fund submits request with a date range. **Intermediary** • 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 Intermediary may decide to send each day's data on separate days. • On Day 1, the Intermediary 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 Intermediary sends the second file. **The Header Record will contain the Partial Indicator marked as 0 = Full/Final Response.** • This indicates to the fund that this file is the final response to the SDR Request identified by the SDR Control Number. This also suggests that the fund should have received a previous file marked as a partial response.
Partial Acknowledgment (Recurring)	**Fund** • See Example 6 • Fund submits a request that is marked as recurring. This indicates that the Intermediary should send **daily** files until requested to stop. • Fund submits a Stop Recurring request to discontinue the daily files. • The Original SDR Control must be provided with the Stop Recurring request. **Intermediary**

	• See Example 6 • For each of the daily files sent by the Intermediary, the Partial Acknowledgment will be marked as 1 = Partial Response. • As soon as the Intermediary receives the Stop Recurring request, it will no longer send a file. • Since sending of the file has stopped, **a file containing a Partial Acknowledgment marked as 0 = Full/Final Response cannot be sent.**
Partial Acknowledgment (Other)	**Fund** • Fund submits a request **Intermediary** • The Intermediary may send partial files to split up large files. The Intermediary may also send partial files for various other reasons. • Each file must be marked accordingly as a Partial or Full/Final response. • **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.**
Category 2 Transaction	**Fund** • Fund submits a request at the appropriate account or investor level. • Provides the necessary account number or SSN information for the appropriate level. • Submits the **Includes Category 2 Transaction field marked as 1 = Yes.** • This indicates the request is for **both** Category 1 and Category 2 Transactions. • **This request will retrieve all activity for an account or investor, and may result in an excessive amount of data.** **Intermediary** • The Intermediary submits a Detail Response. • A Detail record is provided for each individual (SSN), for one particular day, for a single transaction activity. • **The transaction in each Detail will include the Transaction Source field marked as either 1 = Category 1 or 2 = Category 2. (Space is equivalent to "1".)** • The Intermediary will submit details on all transactions in each individual's account, and mark the Transaction Source accordingly.
Correction Indicator	**Fund** • See Example 6 • Fund submits a request that is marked as recurring. • This indicates that the Intermediary should send **daily** files until requested to stop. **Intermediary** • On Day 1, the Intermediary submits a regular detail response file. **(i.e., Correction Indicator is space or 0 = Regular)** • **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.** • On Day 2, the Intermediary sends in another regular detail response file. • **Also on Day 2, the Intermediary sends a detail response file with a Correction Indicator marked as 1 = Correction against the file from Day 1.** • The SDR Response Number is provided and will be used by the Intermediary to isolate the correction to that particular partial file (i.e., Day

	1 file). • Corrections may be done for any file, partial or full/final, detail or summary, etc. • **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.**
Fund/SERV Control Number Request	**Fund** • Fund submits a Fund/SERV Control Number Request Type • Provides the Fund/SERV Control number • Provides the Fund Account Number or Intermediary Account Number • Provides all other required data **Intermediary** • Intermediary retrieves all transactions related to a Fund/SERV Control Number • Returns the Fund/SERV Control Number on the Header Record • Provides Detail records for each individual (SSN) for each transaction type
Non-NSCC Initiated Transaction (Response Data sent through NSCC)	**Fund** • Fund calls the Intermediary and requests information. • Provides the necessary information to the Intermediary. • Intermediary provides an SDR Response Number that will be used to return the data through NSCC. **Intermediary** • Intermediary runs query to retrieve requested data • Intermediary uses the NSCC formats and creates a Response file. • Provides the SDR Response Number in the Header record. • Uses the same number in the SDR Control Number field. • Submits file to NSCC.
Transaction Code	**Fund** • See Example 3 • Submits request with the necessary information to the Intermediary. **Intermediary** • Intermediary runs query to retrieve requested data • Intermediary uses the NSCC formats and creates a Response file. • Response will include “Transaction Code” field in the Detail record for each trading activity. Intermediary uses the appropriate code to describe the transaction code (e.g., 09 = Exchange). • Submits file to NSCC.

XVI. Features Glossary

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

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