

Client Data Share Activity and Position Files

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Introduction

The client data share files provide a solution to the Joint NASD taskforce on breakpoints recommendation that states “For Omnibus or Networking Level 3 processing of orders that do not reveal the TIN/BIN of the beneficial owner of the mutual funds, broker/dealers should explore the feasibility of developing alternative mechanisms for providing TIN/BIN information to mutual funds or their transfer agents. The Task Force believes that such systems should facilitate linkage of holdings for which a particular firm is the broker/dealer of record, even if some of those holdings are ‘carried away’ from the broker/dealer.”

These proposed disclosures are referred to as omnibus transparency or client data share.

In prior phases of client data share (Phase I) further information has been made available to allow broker/dealers to be aware of positions held directly at the fund company (level 0 networking) and (Phase II) allow broker/dealers to disclose additional information about accounts they support in networking level 3.

Phase III of client data share allows firms to provide a periodic position refresher and a daily activity file of the underlying owners of positions held in an omnibus account at the fund. The end objective is to allow fund companies to capture this information and incorporate these assets into their best pricing systems for related accounts that are fund controlled.

Recent Changes to the Files

The following changes have been made to the Client Data Share files since the last time this document was published:

Activity File

- No Changes.

Position File

- A new field, DSPNRA, contains the account's non-resident alien (NRA) country code. The new DSPNRA field is in byte positions 262:263 of the position file's account detail record.

General File Information

Listed below are some characteristics that are common to both the client data share activity file and the position file.

- The column headings are as follows:
 - Field Name. The first 3 bytes identify the file type:
 - DSA** = Data Share Activity file
 - DSP** = Data Share Position file
 - The last 3 bytes are a unique field ID.
 - Start. The position in which the field starts.
 - End. The position in which the field ends.
 - Length. The length of the field in bytes.
 - Description. A description of the data that is contained in the field.
- All fields are character format, alpha/numeric.
- All dollar, price, and share fields include the decimal point, do not include commas, and are right-justified, blank-filled.
- Shares are always 3 decimal places.
- Dollar and share fields will include a stated negative sign if the transaction type is a debit to the balance. For example, the dollars and shares sold on a redemption will be negative as will a purchase reversal.
- Prices can have from 0 to 9 decimal positions.
- All dates are in ccyyymmdd format.
 - cc = century
 - yy = year
 - mm = month
 - dd = dayMarch 15, 2006, for example, would be represented as 20060315.
- Percent fields include the decimal point and do not include commas or the % sign.

Frequently Asked Questions

Question	Response	
Where is the gross amount of a trade stored?	Description	Field
	The gross amount received on a PD (purchase) or DR (dividend reinvestment).	DSARCV (bytes 83:98)
	Reductions in the amount received for purchase fees and withholding on DR (dividend reinvestment).	DSAPF1/PF2 (bytes 99:114 and 115:130)
	DSARCV minus DSAPF1/PF2 and is the gross amount invested or sold on all trades.	DSAGRS (bytes 131:146)
	Dealer and underwriter commissions, respectively.	DSADLR and DSAUND (bytes 147:162 and 163:178)
	DSAGRS minus DSADLR/DSAUND so DSAGRS and DSANET are the same on a redemption. Also called net due fund, shares multiplied by NAV.	DSANET (bytes 195:210)
	Fees and withholding deducted from proceeds on a redemption or cash dividend.	DSARF1 – DSARF6 (bytes 294:309, 310:325, 326:341, 342:357, 358:373, 374:389)
Redemption proceeds DSANET minus (DSARF1 through DSARF6). Will be zero on purchases and reinvested dividends.	DSANCK (bytes 390:405)	
What do the transaction type codes mean?	Refer to the DSABIN field (bytes 782:784) in the activity (DSA) file. Contact the firm if you need a description of the transaction code (DSACOD, bytes 60:62).	
Where is the offering price?	Refer to the DSAOFF field, bytes 227:242.	
Where is the share amount?	Refer to the DSASHR field, bytes 243:259.	
Where is the NAV?	Refer to the DSANAV field, bytes 211:226.	
Was trade priced at NAV?	Yes, if DSAOFF (bytes 227:242) and DSANAV (bytes 211:226) are the same.	

Frequently Asked Questions (cont.)

Question	Response
Where is the CDSC fee stored?	Refer to the DSARF6 field, bytes 374:389 (unless the DSARFN field, byte 1426, indicates that DSARF6 stores a short-term trading fee).
Was the CDSC fee waived?	Information is not available.
Where are STTF fees stored?	Refer to the DSARF2 field (bytes 310:325), DSARF3 field (bytes 326:341), or DSARF6 field (bytes 374:389) (if short-term trading fee). The DSARFN field, byte 1426, indicates the fee field (2, 3, or 6).
What are the account type codes? Which codes are used for house/error accounts?	DSAMAS field, bytes 714:716. Contact the firm for their codes and descriptions.
What are the social code values?	DSASOC field, bytes 885:886. Refer to the NSCC web site for a list of codes. http://funds.dtcc.com/binary/11265_SocialCodes.pdf
What are the NRA country codes?	DSANRA field, bytes 700:701. Refer to the IRS web site for a list of codes. http://www.irs.gov/pub/irs-pdf/i1042s_05.pdf
Where is the state code stored?	Refer to the DSASTA field (state of residence, bytes 869:870) or the DSASKY field (Blue Sky state, bytes 698:699).
Where is the trade date?	Refer to the DSATRD field, bytes 44:51.
Where is the CUSIP number?	Refer to the DSACUS field, bytes 1232:1240.
Where is the account's taxpayer ID number (TIN)?	Refer to the DSATAX field, bytes 1427:1437. The number is formatted with dashes (-).
Where is the broker account number (BIN)?	Refer to the DSAACT field, bytes 21:40.
What is the number of the omnibus account (BAN) that this account is in?	Refer to the DSABAN field, bytes 1164:1183.
Where is the ending balance stored in the activity (DSA) file?	Refer to the DSABAL field, bytes 260:276. If the account had multiple trades, refer to the DSABAL value for the transaction with the highest serial number (DSASER, bytes 427:436).
Where is LOI information stored?	In an optional record in the position (DSP) file.

Frequently Asked Questions (cont.)

Question	Response
Where is name and address information stored?	In an optional record in the position (DSP) file.
How do you identify a cancellation/reversal of a trade?	All reversal transactions have a pointer to the transaction being reversed. The DSARVS field, bytes 717:726, will be populated. In addition, the dollar and share value of the trade will be the opposite of normal. A purchase reversal will be negative, and a redemption reversal will be positive.
How do you identify a fund?	There are three fund identification numbers in the DSA file and two in the DSP file. The DSAFND field (bytes 54:59) and DSPFND field (bytes 24:29) are the fund ID assigned by the firm. Normally it is the fund symbol. The DSACUS field (bytes 1232:1240) and DSPCUS field (bytes 108:116) are the fund CUSIP. The DSA_FNDFND field (bytes 1608:1613) is the fund identification number assigned by the fund.

Client Data Share Activity File Information

Listed below are the characteristics of the client data share activity file.

- The file is fixed-length, 1632 bytes long.
- The first record in the file is a header record.
- The last record in the file is a trailer record.
- All remaining records are activity records.
- The account number (DAACT) is the broker ID number (BIN) for the client account.
- The broker account number at the fund (DSABAN) is the broker ID number (BIN) assigned to the omnibus account at the fund.
- If an account/fund has multiple transactions in a day, the resulting balance (DSABAL) is the balance after each transaction. The ending balance for the day will be on the record with the highest serial number (DSASER).
- The file is a modified version of the SuRPAS PR3 file, which is commonly used for firms to pass activity information to funds. The differences between the SuRPAS PR3 file and the client data share activity file are listed below.
 - Added fields:
 - Tax ID/SSN.
 - TPA Participant ID.
 - Bank/Trust Participant ID.
 - Alternate Branch ID (NSCC 9 digit branch).
 - CIP ID type (Customer Information Program govt. ID type).
 - CIP ID (Customer Information Program govt. ID).
 - NSCC firm ID of the submitting firm.
 - Receiving fund NSCC participant ID (header and trailer)
 - Serial # of the other side of an exchange (XR/XP) or transfer (TR/TP)
 - IRA/DCP indicator submitted on the order
 - CDSC waiver reason code submitted on the order
 - NAV reason code submitted on the order
 - Full representative name
 - Added Record
 - File Trailer Record, includes record count.

– Changed fields:

- Broker Account # (BIN) was expanded from 14 to 20 bytes.
- ROA Group ID was expanded from 5 to 20 bytes.

{bmc Because the broker account # and ROA group ID fields were expanded,
NOTE.B all fields that follow them were shifted down 21 positions.
MP}

- Record count in header record is no longer used.

Client Data Share Activity (DSA) File - Header Record

Field Name	Start	End	Length	Description
DSAHPD1	1	64	64	Filler
DSAHCNT	65	72	8	N/A spaces
DSAHPD2	73	560	488	Filler
DSAHFRM	561	564	4	NSCC Firm ID of the submitting Firm
DSAHFNM	565	604	40	Submitting Firm Name
DSAHDBN	605	606	2	Internal SuRPAS Database Number
DSAHDBD	607	614	8	Internal SuRPAS Database description
DSAHRFND	615	618	4	Receiving fund NSCC participant ID
DSAHPD3	619	1075	457	Filler
DSAHSIT	1076	1078	3	Internal SuRPAS ID for Client (for example, EMF = Edward Jones)
DSAHEVN	1079	1086	8	Event Name that created the file JOBDAIly (Daily update) or DIVPOST (Dividend update) The name of the event that created the file.
DS AHL PD	1087	1094	8	Last Production Date
DS AH POS	1095	1102	8	Production Date. Posting date (PR3POS) of the PR3 detail records.
DS AHSYD	1103	1110	8	Current System Date
DSAHPD4	1111	1632	522	Filler

Client Data Share Activity (DSA) File - Detail Activity Record

Field Name	Start	End	Length	Description
DSAROA	1	20	20	ROA Group
DSAACT	21	40	20	Account Number. The broker ID number (BIN) for the client account.
DSARUL	41	43	3	Pricing Rules
DSATRD	44	51	8	Trade Date
DSASRT	52	53	2	Sort Order
DSAFND	54	59	6	Fund ID used by the Firm. Normally Fund Symbol.
DSACOD	60	62	3	Transaction Code. These are the SuRPAS transaction codes. Contact the firm if you need the code description.
DS AidN	63	82	20	Batch ID
DSARCV	83	98	16	Gross Amount Received on a purchase or dividend reinvestment. Will be equal Gross Dollar Amount if no purchase fees.
DSAPF1	99	114	16	Purchase Fee 1. This fee is a general purchase fee, based on the amount stored in each fund's fee table.
DSAPF2	115	130	16	Purchase Fee 2. This fee is for federal or NRA withholding on dividend reinvestments.
DSAGRS	131	146	16	Gross Dollar Amount
DSADLR	147	162	16	Dealer Commission Amount
DSAUND	163	178	16	Underwriter Commission Amount. If the commission was indirect, fronted by the fund, the portion that was fronted is carried as a negative amount on an original purchase. Therefore, the total DSADLR + DSAUND is always the commission that was paid by the shareholder.
DSAFCA	179	194	16	FCA prior amount invested
DSANET	195	210	16	Net Dollar Amount

DSA Activity Record (cont.)

Field Name	Start	End	Length	Description
DSANAV	211	226	16	NAV
DSAOFF	227	242	16	Offer Price
DSASHR	243	259	17	Shares
DSABAL	260	276	17	Resulting Share Balance. If an account/fund has multiple transactions in a day, the resulting balance (DSABAL) is the balance after each transaction. The ending balance for the day will be on the record with the highest serial number (DSASER).
DSADIV	277	293	17	Dividend Share Balance
DSARF1	294	309	16	Redemption Fee 1. This is a general redemption fee, based on the amount stored in each fund's fee table.
DSARF2	310	325	16	Redemption Fee 2. This is a general redemption fee.
DSARF3	326	341	16	Redemption Fee 3. This is a general redemption fee.
DSARF4	342	357	16	Redemption Fee 4. This is used for state tax withholding on redemptions.
DSARF5	358	373	16	Redemption Fee 5. This fee is for federal or NRA withholding on cash dividends or redemptions.
DSARF6	374	389	16	Redemption Fee 6. These fees are deducted from the proceeds of a redemption. This fee is either a CDSC fee or a short-term trading (STR) fee. If the value in the DSARFN field (byte 1426) is 6, this is a short-term trading fee. Otherwise, this is a CDSC fee.
DSANCK	390	405	16	Net Redemption Ck Amount
DSATOP	406	412	7	Total Sales Charge Paid by the Shareholder
DSADLP	413	419	7	Dealer Load %. If the commission was indirect for a Jumbo purchase and the commission was 'blended,' the dealer load % will be the starting breakpoint for blending.

DSA Activity Record (cont.)

Field Name	Start	End	Length	Description
DSAUNP	420	426	7	Underwriter Load %
DSASER	427	436	10	Serial posting number, which is a unique transaction ID assigned to every transaction.
DSAASQ	437	442	6	Account Trans Sequence #
DSAASB	443	444	2	Account Trans Sub Sequence #
DSAPOS	445	452	8	Posting Date
DSASET	453	460	8	Settlement Date
DSADVD	461	468	8	Dividend Date
DSAAC2	469	482	14	The FROM or the TO account number on a transfer.
DSAFD2	483	488	6	The FROM or the TO fund ID on an exchange.
DSABRK	489	493	5	Broker Of Record
DSABRN	494	498	5	Branch Of Record
DSAREP	499	513	15	Rep Of Record
DSAMGT	514	517	4	Management Company Code. These are the SuRPAS management company codes. Contact the firm for specific information.
DSABOS	518	518	1	Trade buy or sell indicator
DSARAC	519	519	1	As of or Cancel trade indicator
DSAPD3	520	527	8	Pad Bytes
DSATIM	528	532	5	Timer Of Record
DSATMA	533	546	14	Timers ACCT #
DSAAFF	547	551	5	Affiliate Of Record
DSAAFA	552	565	14	Affiliates ACCT #
DSAWHL	566	570	5	Wholesaler Of Record

DSA Activity Record (cont.)

Field Name	Start	End	Length	Description
DSAREA	571	574	4	As-of reason code, which is a user defined code that describes the reason why a transaction is processed as-of.
DSASUP	575	584	10	Supplemental Asset #
DSANAM	585	634	50	N/A spaces
DSADV N	635	640	6	Dividend Number
DSARCN	641	655	15	Reconciliation Batch
DSAYER	656	659	4	Contribution Year
DSAFWH	660	664	5	Federal Withholding Percent
DSASWH	665	669	5	State Withholding Percent
DSAAVL	670	670	1	Y = Adjust for available shares
DSAPD4	671	671	1	Pad Bytes
DSACHK	672	683	12	Check #
DSALDT	684	686	3	Load Table
DSAPRI	687	687	1	Pricing Code. Valid values are: N = No load S = Share D = Dollar E = VIP V = Volume discount C = CDSC L = LOI P = Breakpoint R = ROA I = Extended, already priced F = FCA purchase with blended rates X = Reversal Y = Reversal of FCA purchase
DSADEL	688	688	1	Print Suppress Flag
DSALIQ	689	689	1	Liquidate All Shares Flag
DSAADJ	690	690	1	Adjustment Flag
DSAOVR	691	691	1	Pending Redemption Shares Pass Over

DSA Activity Record (cont.)

Field Name	Start	End	Length	Description
DSASDI	692	692	1	Share-Dollar Code
DSARND	693	693	1	Rounding Code A...CDSC - fee waived (round up) B CDSC - fee waived (round down) D Down - Round down to the next full share amount F Full and fractional - Do not round shares; instead, use the number of shares calculated by dividing the dollar amount of the transaction by the price N CDSC - net dollar transaction S CDSC - share transaction, waive CDSC fee T Net Dollar transaction U Up - Round up to the next full share amount X CDSC - Net dollar transaction, waive CDSC fee W CDSC - Dollar transaction, waive CDSC fee
DSAPMT	694	694	1	Payment Method Code
DSAPAY	695	697	3	Payee #
DSASKY	698	699	2	Blue Sky State
DSANRA	700	701	2	Non-Resident Alien Country Code. Note that the code UC indicates a US citizen with a foreign address. Use the URL below to go to the IRS web site and view a list of NRA country codes. http://www.irs.gov/pub/irs-pdf/i1042s_05.pdf
DSAEXP	702	703	2	Expense/Income Code
DSACMP	704	713	10	Campaign ID
DSAMAS	714	716	3	Account Type. Contact the firm for their codes and descriptions.
DSARVS	717	726	10	Original Serial # Reversed. This is populated only for reversal transactions.
DSARVQ	727	732	6	Original ASQ # Reverse. This is populated only for reversal transactions.

DSA Activity Record (cont.)

Field Name	Start	End	Length	Description
DSARVB	733	734	2	Original ASB # Reverse. This is populated only for reversal transactions.
DSAJRC	735	742	8	Journal Record # Of This Trade
DSAPD1	743	748	6	Filler
DSACER	749	758	10	Certificate #
DSAORD	759	768	10	Wire Order #
DSAABA	769	777	9	ABA #
DSACON	778	780	3	Contra Code
DSACOM	781	781	1	Commission Paid/Deducted
DSABIN	782	784	3	Transaction Type AR - Reversals & Adjustments CI - Certificate Issues CS - Certificate Surrenders DC - Dividends - Cash DL - Dollar-Only Transactions DR - Dividends - Reinvested FD - Redemptions - Full - Direct PC - Cancellations - W/O Purchases PD - Purchases - Direct PO - Purchases - Wire Orders PS - Settlements - Wire Order Purchases RC - Cancellations - Wire Order Redempts RD - Redemptions - Partial - Direct RO - Redemptions - Wire Orders RS - Settlements - Wire Order Redempts SH - Share-Only Transactions TP - Transfers - Purchase Side TR - Transfers - Redemption Side XP - Exchanges - Purchase Side XR - Exchanges - Redemption Side
DSASCR	785	787	3	Input Screen
DSAERR	788	791	4	N/A spaces
DSAMRK	792	792	1	N/A spaces

DSA Activity Record (cont.)

Field Name	Start	End	Length	Description
DSABAS	793	808	16	ROA Basis. The dollar amount used to determine the breakpoint for a purchase. It is the 'better of' an active LOI amount, the firm supplied ROA value (DSAROV), or the SuRPAS-calculated ROA value (DSAROS).
DSALOI	809	824	16	LOI Amount
DSALNK	825	825	1	N/A spaces
DSAMTH	826	826	1	Pricing Method
DSAPAD	827	833	7	N/A spaces
DSAADD	834	834	1	Additional Information In JN2
DSAPC1	835	837	3	Purchase Fee Code 1. Transaction code that identifies the type of fee in this field. Contact the firm if you need the code descriptions.
DSAPC2	838	840	3	Purchase Fee Code 2. Transaction code that identifies the type of fee in this field. Contact the firm if you need the code descriptions.
DSARC1	841	843	3	Redemption Fee Code 1. Transaction code that identifies the type of fee in this field. Contact the firm if you need the code descriptions.
DSARC2	844	846	3	Redemption Fee Code 2. Transaction code that identifies the type of fee in this field. Contact the firm if you need the code descriptions.
DSARC3	847	849	3	Redemption Fee Code 3. Transaction code that identifies the type of fee in this field. Contact the firm if you need the code descriptions.
DSARC4	850	852	3	Redemption Fee Code 4. Transaction code that identifies the type of fee in this field. Contact the firm if you need the code descriptions.
DSARC5	853	855	3	Redemption Fee Code 5. Transaction code that identifies the type of fee in this field. Contact the firm if you need the code descriptions.
DSARC6	856	858	3	Redemption Fee Code 6. Transaction code that identifies the type of fee in this field. Contact the firm if you need the code descriptions.
DSAZIP	859	868	10	ZIP Code

DSA Activity Record (cont.)

Field Name	Start	End	Length	Description
DSASTA	869	870	2	State
DSASNA	871	882	12	Sort Name
DSAWIT	883	883	1	Withhold type code
DSAVIP	884	884	1	VIP code. An alpha value (A-Z), except N (not a VIP), identifies an account as a VIP and gives NAV pricing. A numeric value 1-9 identifies an account as a VIP but does not give NAV pricing. The specific descriptions are defined by the firm.
DSASOC	885	886	2	Social Code There are 42 NSCC codes. Shown below is a link to the NSCC's web site/PDF: http://funds.dtcc.com/binary/11265_SocialCodes.pdf
DSAMAI	887	887	1	Suppress Mail
DSADPS	888	890	3	Dup Stmt address On File
DSATEL	891	891	1	Tele Redemptions?
DSAEXC	892	892	1	Tele Exchanges?
DSAPD2_1	893	898	6	PAD
DSAPD2_SER2	899	908	10	Serial # of the other side of an exchange (XR/XP) or transfer (TR/TP)
DSAPD2_2	909	912	4	PAD
DSANCI	913	913	1	Network Control Indicator
DSAXCT	914	916	3	External Control # Type
DSAPD9	917	917	1	N/A spaces
DSATCK	918	937	20	External Control #
DSADLA	938	957	20	Dealers Acct #

DSA Activity Record (cont.)

Field Name	Start	End	Length	Description
DSATA1	958	958	1	Code to indicate if purchase is initial or subsequent. I = Initial S = Subsequent R = Reopen
DSATA2	959	959	1	Source Of Funds Code
DSATA3	960	960	1	Suppress Trans On Statement?
DSATA4	961	961	1	NTF Flag
DSATA5	962	962	1	As of correction override to error account processing. B = bypass send to fund as of E = include in error account but send as of order
DSATA6	963	963	1	Special Aggr Meth 0-9,A-Z
DSATA7	964	964	1	Transaction Attribute #7, OMNIORDER Reportable Flag
DSATA8	965	965	1	Transaction Attribute #8
DSATA9	966	966	1	Transaction Attribute #9
DSATA10	967	967	1	Transaction Attribute #10
DSATA11	968	968	1	Transaction Attribute #11
DSATA12	969	969	1	Systematics Disposition: A = deactivate SWP/SPP B = move + deactivate SWP/SPP C = move SWP/SPP - no deactivate D = move + deactivate SWP E = move SWP - no deactivate F = move + deactivate SPP G = move SPP - no deactivate H = move SWP/SPP if not active on target - deactivate SWP/SPP N or blank - no action

DSA Activity Record (cont.)

Field Name	Start	End	Length	Description
DSAICT	970	972	3	Internal Control Number Type PHO = Telephone FAX = FAX BFS = Fund/SERV LOI = Letter of instruction FIL = Interface trade file WIR = Same-day wire ERC - Client trade that went through error account ERR = Offset to ERC in the error account ERD = Offset to cash div sell or reinvest div buy ERB = Offset to break cover trade
DSAICN	973	988	16	Control number of fund order, if part of a fund order.
DSAOSQ	989	989	1	OMNIORDER Sequence Number
DSAVDB_1	990	1003	14	N/A spaces
DSAVDB_IRADCP	1004	1004	1	IRA/DCP indicator submitted on the order
DSAVDB_2	1005	1006	2	N/A spaces
DSAVDB_CDSC_WVR_RSN	1007	1007	1	CDSC waiver reason code submitted on the order
DSAVDB_NAV_RSN	1008	1008	1	NAV reason code submitted on the order
DSAVDB_3	1009	1021	13	N/A spaces
DSARSB	1022	1022	1	# Of Days For SWP Resubmit
DSADCO	1023	1023	1	'1'=CC (Cash/Cash) '2'=RR (Reinvest/Reinvest) '3'=CR(Cash/Reinvest) '4'=RC(Reinvest/Cash)
DSASOR	1024	1024	1	'D' = RD Overridden For Broker Directed Settlement 'I' = PD Should Inherit Settle Date Of RD 'P' = PD Should Be Assigned Trade Of RD Settle-1
DSAFD	1025	1032	8	Fund Override Trade Date
DSAOSSD	1033	1033	1	Override Share/Dollar Indicator
DSATDM	1034	1034	1	Trading Method

DSA Activity Record (cont.)

Field Name	Start	End	Length	Description
DSAFNF	1035	1035	1	Fee/No Fee Indicator
DSAPMS	1036	1043	8	Prime Mix Sequence #
DSAPMC	1044	1046	3	Mix Class
DSAPMA	1047	1049	3	Allocation Percentage
DSAPMO	1050	1052	3	# Of Original Transactions
DSAPMP	1053	1055	3	PrimeMix Pad
DSAIVT	1056	1058	3	N/A spaces
DSAIVS	1059	1062	4	N/A spaces
DSAIVB	1063	1094	32	N/A spaces
DSASST	1095	1097	3	N/A spaces
DSARN1	1098	1137	40	Representative name
DSAHPAD	1138	1146	9	PAD
DSAMPAD	1147	1162	16	PAD
DSAOAI	1163	1163	1	DSA omnibus account indicator for DSABAN field (1164:1183). <blank> = DSABAN field is not populated. 1 = DSABAN field contains the fund account number. 2 = DSABAN field contains the broker account number.
DSABAN	1164	1183	20	Omnibus Account Number. DSAOAI field (1163:1163) setting indicates whether value is fund account number or broker account number.
DSAEST	1184	1184	1	Estimated Pricing Run (Y/blank)
DSAPD5	1185	1185	1	Pad Bytes
DSACSB	1186	1190	5	Clearing/Settling Broker
DSAERA	1191	1204	14	Error Acct #

DSA Activity Record (cont.)

Field Name	Start	End	Length	Description
DSAOCN	1205	1224	20	Original Control #
DSANOR	1225	1230	6	Override withholding rate
DSABSI	1231	1231	1	Basis Indicator
DSACUS	1232	1240	9	CUSIP
DSACNC	1241	1243	3	Currency Code
DSAEUI	1244	1253	10	E-Commerce User ID
DSAGSI	1254	1254	1	Gross Settlement Indicator
DSAJN3	1255	1255	1	JN3 File Indicator (Y/N)
DSALVL	1256	1258	3	Sub Load Table Number
DSABPN	1259	1260	2	Breakpoint Number within Load Table
DSAOMN	1261	1275	15	Original ICN from OMNIORDER
DSAECS	1276	1291	16	Account Cost Basis
DSAMKT	1292	1307	16	Account Market Value. Populated only for ESA accounts.
DSAROS	1308	1323	16	SuRPAS-calculated ROA value
DSAROV	1324	1339	16	Broker-supplied ROA value
DSAEBI	1340	1351	12	Error Batch ID
DSAWST	1352	1367	16	Amount of Waived STR fee
DSAXLV	1368	1368	1	Exchange differential load level
DSAFED	1369	1384	16	Free Entitlement Dollars
DSAFES	1385	1401	17	Free Entitlement Shares
DSARFR	1402	1408	7	STR Fee Rate
DSARFS	1409	1425	17	STR fee liable shares
DSARFN	1426	1426	1	STR fee bucket number (RF #)

DSA Activity Record (cont.)

Field Name	Start	End	Length	Description
DSATAX	1427	1437	11	Tax ID or SSN. The number is formatted with dashes (-).
DSAPDC	1438	1473	36	PAD
TPAID	1474	1477	4	Third party administrator ID #
TRSTID	1478	1481	4	Bank/Trust ID #
BRNALT	1482	1490	9	Alternate (NSCC) Branch ID
DSAGIT	1491	1494	4	CIP Government ID type. Free form description of the following ID field.
DSAGOV	1495	1514	20	CIP Government ID #
DSAUSR	1515	1601	87	User defined data
DSAUSR_FNDSYM	1602	1607	6	Fund Symbol
DSAUSR_FNDFND	1608	1613	6	Fund ID at Fund
DSAUSR_REPSNA	1614	1623	10	Representative last name
DSAUSR_FILL2	1624	1632	9	Filler

Client Data Share Activity (DSA) File - Trailer Record

This is a required record.

Field Name	Start	End	Length	Description
DSATPD1	1	64	64	Filler
DSATCNT	65	72	8	# of DSA records included in the file
DSATPD2	73	560	488	Filler
DSATFRM	561	564	4	NSCC Firm ID of the submitting Firm.
DSATFNM	565	604	40	Submitting Firm Name
DSATPAD	605	615	11	Filler
DSATRFND	616	619	4	Receiving Fund NSCC Participant ID
DSATPD3	620	1632	1013	Filler

Client Data Share Position File Information

Listed below are the characteristics of the client data share position file.

- The file is fixed-length, 300 bytes long.
- Each record in the file is identified by a record ID (DSPRID) in bytes 1-3.
- The first record on the file is a header record, DSPRID = BAL.
- The last record on the file is a trailer record, DSPRID = TOT.
- An account can have the following record types:
 - DSPRID = ACT, account balances and demographics. This is a required record type.
 - DSPRID = LOI, Letter of Intent information. This is an optional record type. It will be included only if the account has an LOI and the firm has indicated by a parameter to include.
 - DSPRID = AD1, client name and address. This is an optional record type. It will be included only if the firm has indicated by a parameter to include, and the information is maintained on the sub-accounting system.
- The account number (DSPACT) is the Broker ID number (BIN) for the client account.
- The share balance (DSPSHR) is as of end-of-day posting of all activity for the balance date (DSPDTB in header record).
- The file is a modified version of the BALOUT321 file used by some firms to provide position information to funds. The differences between the BALOUT321 file and the client data share position file are listed below.
 - Added fields:
 - Tax ID/SSN
 - TPA Participant ID
 - Bank/Trust Participant ID
 - Alternate Branch ID (NSCC 9 digit branch)
 - CIP ID type (Customer Information Program govt. ID type)
 - CIP ID (Customer Information Program govt. ID)
 - NSCC firm ID of the submitting firm, added to the DSP header record (bytes 56:60) and to the DSP trailer record (bytes 73:77)
 - Receiving Fund NSCC Participant ID (header and trailer)
 - Added Records:
 - LOI
 - Client Name & Address

- Changed fields:
 - Broker Account # (BIN) was expanded from 14 to 20 bytes.
 - ROA Group ID was expanded from 5 to 20 bytes.

Because the broker account # (BIN) and the ROA group ID were expanded, all of the fields that follow were shifted down 21 positions.

- Record length changed from 168 bytes to 300 bytes.

Client Data Share Position (DSP) File - Header Record

This is a required record. There is one record per file.

Field Name	Start	End	Length	Description
DSPRID	1	3	3	Record ID 'BAL'
DSPDTB	4	11	8	Balance Date ccyymmdd format
DSPHMG	12	15	4	Management Company ID Internal ID identifying each fund group
DSPHMGN	16	55	40	Management Company Name
DSPHFRM	56	60	5	NSCC Participant ID of the firm providing the data
DSPPAD	61	85	25	Filler
DSPHRFND	86	89	4	Receiving Fund NSCC Participant ID. Populated only when individual client data share position files are produced for each management company.
DSPHPD2	90	300	211	Filler

Client Data Share Position (DSP) File - Account Detail Record

This is a required record. There is one record per fund position.

Field Name	Start	End	Length	Description
DSPRID	1	3	3	Record ID 'ACT'
DSPACT	4	23	20	Account # Broker account number (BIN)
DSPFND	24	29	6	Fund ID used by the Firm. Normally Fund Symbol.
DSPSHR	30	46	17	Share Balance 999999999999999.999
DSPNAV	47	62	16	99999999999999.99 Last available NAV for the fund
DSPDLR	63	67	5	Dealer number on the account
DSPBRN	68	72	5	Dealer's Branch ID on the account
DSPREP	73	87	15	Representative ID on the account
DSPPMX	88	92	5	Wrap program allocation table
DSPAFF	93	97	5	Additional affiliate (TPA) on the account
DSPRNM	98	107	10	Last Name of Representative
DSPCUS	108	116	9	CUSIP Security ID

DSP Position Detail Record (cont.)

Field Name	Start	End	Length	Description
DSPTYP	117	119	3	Code identifying the type of account. Listed below are some common (but not standard) account type codes. Contact the firm for their codes and descriptions. 1xx Regular, Corporations, UGMA, Trusts 2xx 401(k) 3xx 4xx Retirement - Individual 5xx Retirement - Qualified Plans 6xx 7xx 8xx Internal/House Accounts 9xx Outside - Non taxable
DSPSOC	120	121	2	Social Code Code identifying the account owner(s) There are 42 NSCC codes. Shown below is a link to the NSCC's web site/PDF: http://funds.dtcc.com/binary/11265_SocialCodes.pdf
DSPVIP	122	122	1	VIP Code
DSPRN1	123	162	40	Full Name of the Representative
DSPSKY	163	164	2	State used for Blue Sky reporting
DSPSTA	165	166	2	State of residence
DSPCDS	167	167	1	Flag set to Y if the account has shares that are still liable for CDSC
DSPNAM	168	179	12	Account Last Name
DSPZIP	180	189	10	ZIP+4 99999-9999
DSPTAX	190	200	11	Tax ID or SSN. The number is formatted with dashes (-).
DSPROA	201	220	20	All accounts in same ROA group will be linked by an ROA Group #

DSP Position Detail Record (cont.)

Field Name	Start	End	Length	Description
DSPTPA	221	224	4	Third Party Administrator ID #
DSPTID	225	228	4	Bank or Trust ID #
DSPABR	229	237	9	Alternate branch ID (NSCC 9 digit branch)
DSPGIT	238	241	4	CIP Government ID type. Free form description of the following ID field
DSPGOV	242	261	20	CIP Government ID #
DSPNRA	262	263	2	Non-resident alien (NRA) country code.
DSPPD1	264	300	37	Filler

Client Data Share Position (DSP) File - Account LOI Record

This is an optional record. It will be present only if the account has an LOI.

Field Name	Start	End	Length	Description
DSPRID	1	3	3	Record ID 'LOI'
DSPLOI	4	19	16	Face Amount of the Letter of Intent 999999999999.99
DSPDTL	20	27	8	Start date of the LOI ccyyymmdd
DSPDTE	28	35	8	Date the LOI expires ccyyymmdd
DSPLPD	36	51	16	The total amount invested to date under the LOI
DSPDTC	52	59	8	Date the LOI was fulfilled
DSPPRC	60	75	16	Amount allowed as prior credit toward completion of the LOI
DSPPD2	76	300	225	Filler

Client Data Share Position (DSP) File - Account Name & Address Record

This is an optional record. It will be present only if information is available on the sub-accounting system and the firm has agreed to provide to the fund group.

Field Name	Start	End	Length	Description
DSPRID	1	3	3	Record Type 'AD1'
DSPADD	4	4	1	The line # for the first line of address
DSPNA1	5	44	40	The first line of registration
DSPNA2	45	84	40	The second line of registration
DSPNA3	85	124	40	The third line of registration
DSPNA4	125	164	40	The fourth line of registration
DSPNA5	165	204	40	The fifth line of registration
DSPCIT	205	226	22	City of residence Note: residence State and ZIP provided on ACT record
DSPPVC	227	246	20	Province Name
DSPCOU	247	266	20	Country
DSPPD3	267	300	34	Filler

Client Data Share Position (DSP) File - File Trailer Record

This is a required record. It is the final record, one record per file.

Field Name	Start	End	Length	Description
DSPRID	1	3	3	Record ID 'TOT'
DSPCNT	4	11	8	# of detail (ACT) records
DSPTSH	12	28	17	Total shares all ACT records 999999999999.999
DSPTMGT	29	32	4	Management Company ID Internal ID identifying each fund group
DSPTMGN	33	72	40	Management Company Name
DSPTFRM	73	77	5	NSCC Participant ID of the firm providing the data
DSPTCN	78	85	8	Total# of records
DSPTRFND	86	89	4	Receiving Fund NSCC Participant ID. Populated only when individual client data share position files are produced for each management company.
DSPPD4	90	300	211	Filler