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NCIC 2000
SECURITIES FILE

SECTION 1--INTRODUCTION

1.1 DEFINITION

For NCIC 2000 purposes, securities are identified as currency, e.g., Federal Reserve Notes, Silver Certificates, U. S. Notes, Canadian Notes, and other foreign currency, etc.; those documents or certificates that are generally considered to be evidence of debt (Treasury-issued bills, bonds, and notes; municipal and corporate bonds; debentures; other nonpersonal notes; etc.) or ownership of property (common or preferred stock); documents which represent subscription rights (stock warrants, stock rights); other types traded in securities exchanges in the United States, except for commodities futures; postal and other types of money orders, traveler's checks, warehouse receipts, savings certificates, and interest coupons on stocks and bonds.

Items which **do not meet** the definition for entry in any NCIC 2000 file are personal notes; bank drafts; cashier's checks; bank officer's checks; certified checks; personal checks; company checks; U.S. Treasury checks, and other types of government checks (state and local); lost or stolen credit cards; gold or silver coins; gift certificates; and savings and checking account passbooks. Serialized food coupons (stamps and books), ingots, lottery tickets, and medals do not qualify as securities for NCIC 2000 purposes, but may be entered in the NCIC 2000 Article File.

1.2 CRITERIA FOR ENTRY

Serially-numbered identifiable securities that have been stolen, embezzled, used for ransom, or counterfeited may be entered into the file if a theft report has been made.

Only the agency holding the theft report and having primary jurisdiction over the place of actual theft may make an NCIC 2000 entry. The only exception occurs when the agency has no telecommunications equipment. In such instances, any criminal justice agency or regional dispatch center may act as holder of the record. When such an entry is made, the agency holding the record may place its own Originating Agency Identifier (ORI) in the ORI Field only when there is a written agreement between the two agencies which delineates the legal responsibility for the record. Additional information concerning these responsibilities can be found in the ORI File chapter of this manual.

1.3 MESSAGE KEY (MKE) CODES

Message	MKE	Translation
Entry	ES	STOLEN SECURITY
	ESS	STOLEN SECURITIES

Message	MKE	Translation
Modify	MS MSS	
Cancel	XS XSS	
Inquiry	QS ZS	
Batched Inquiry	QSB	
Locate	LS LSS	LOCATED SECURITY LOCATED SECURITIES
Clear	CS CSS	

1.4 RECORD RETENTION PERIOD

1. Secret Service entries and records for ransom securities have unlimited retention. Stolen, embezzled, or counterfeited securities records, except traveler's checks and money orders, are retained in the NCIC 2000 Securities File for the balance of the year entered plus an additional 4 years. Traveler's checks and money orders are retained in file for the balance of the year entered plus 2 years. For example, a securities record entered in1998 record would be retired on January 1, 2003.

2. An exception to record retention periods will occur in the event a serious error is detected in the record on file. Additional details concerning serious errors can be found in the Introduction chapter of this manual.

3. Ten days after a record is located, it is retired.

1.5 VALIDATION

A portion of the Security File records will be validated monthly as described in the Validation section of the Introduction chapter of this manual. Validation policy requires that a security record be validated when it is 60-90 days old. For NCIC 2000 validation, each security record that has not been validated within the last 90 days and has a Date of Validate Request older than 30 days will be automatically retired. A $.F. Failure to Validate notification will be sent to the entering agency and the Control Terminal Agency (CTA) in the state of entry.

1.6 MESSAGE FIELD CODES AND EDITS

Code	Field	Edits
DCL	Date of Clear	Must be a valid Gregorian date (YYYMMDD) equal to or less than current date.
DEN	Denomination	Must be one to nine characters, WR, or BLANK. If numerics are used, may include a hyphen. The first character may not be zero. If type (TYP) is Bank of Canada (BC), DEN must be 1, 2, 5, 10, 20, 50, 100, 500, or 1000. If TYP is Treasury Bill (BL), DEN must be 1000, 5000, 10000, over 10000 in multiples of 5000 up to 1000000. If TYP is Federal Reserve Bank Note (FB), DEN must be 1, 2, 5, 10, 20, 50, or 100. If TYP is Federal Reserve Note (FR), and the Security Date (SDT) is 1969 and greater, the DEN cannot be 500, 1000, 5000, or 10000. If TYP is FR, DEN must be 1, 2, 5, 10, 20, 50, 100, 500, 1000, 5000, or 10000. If TYP is FR and the SDT is 1976, DEN must be 2. If TYP is Gold Certificate (GC), DEN must be 10, 20, 50, 100, 500, 1000, 5000, 10000, or 100000. If TYP is National Bank Note (NB), DEN must be 5, 10, 20, 50, or 100. If TYP is U.S. Individual Retirement Bond (RB), DEN must be 50, 100, 500, or 1000. If TYP is U.S. Savings Bond (SB), DEN must be 10, 25, 50, 75, 100, 200, 500, 1000, 5000, 10000, or 100000. If TYP is Silver Certificate (SC), DEN must be 1, 2, 5, 10, 20, 50, 100, 500, or 1000.

Code	Field	Edits
		If TYP is U.S. Savings Note (SN), DEN must be 25, 50, 75, or 100. If TYP is Treasury Bond (TB), DEN must be 500, 1000, 5000, 10000, 100000, or 1000000. If TYP is Treasury Certificate of Indebtedness (TD), or Treasury Note (TN), DEN must be 1000, 5000, 10000, 100000, or 1000000. If TYP is U.S. Note (UN), DEN must be 1, 2, 5, 10, 20, 50, 100, 500, 1000, 5000, or 10000. When COUNTERFEIT is first item in Miscellaneous (MIS) Field (NCIC) or the RMI Field contains the value C (NCIC 2000), edits on DEN Field do not apply.
DOC	Date of Cancellation	Must be a valid Gregorian date (YYYYMMDD) equal to current date or current date minus one.
DOR	Date of Recovery	Must be a valid Gregorian date (YYYYMMDD) equal to or less than current date.
DOT	Date of Theft	Must be a valid Gregorian date (YYYYMMDD) and cannot be greater than the current date.
ISS	Issuer	May include hyphen and no more than one space between combinations of alphabetic and/or numeric characters. If TYP is BL, FB, FR, GC, NB, RB, SB, SC, SN, TB, TD, TN, or UN, then ISS must be US TREASURY. If TYP is BC, ISS must be CANADA. When COUNTERFEIT is first item in MIS Field (NCIC), or the RMI Field contains the value C (NCIC 2000), edits on ISS Field do not apply.
MIS	Miscellaneous	COUNTERFEIT should be entered as the first item in the MIS Field of a counterfeit security entry, if the transaction is made using the NCIC format.
MKE	Message Key	Must be a valid message key.

Code	Field	Edits
NIC	NCIC Number	A self-checking number consisting of an alphabetic character (S in the Security File) followed by nine numeric characters automatically assigned by NCIC 2000 to each accepted record. Must have valid check digits when used to identify record in a subsequent transaction.
OCA	Originating Agency Case Number	Must not contain a single zero only, a run of zeros only, the word NONE, or a single alphabetic only. The first seven characters of the OCA cannot equal the first seven characters of the ORI. The only valid special character is the hyphen.
ORI	Originating Agency Identifier	Must be a valid NCIC 2000-assigned ORI.
OWN	Owner	May contain one comma and/or one or more special characters. If TYP is BC, FB, FR, GC, NB, SC, or UN, then OWN must be BEARER. When COUNTERFEIT is first item in MIS Field (NCIC), or the RMI Field contains a value of C (NCIC 2000), edits on OWN do not apply.
RCA	Recovering Agency Case Number	Must not contain a single zero only, a run of zeros only, the word NONE, or a single alphabetic only. The first seven characters of the RCA cannot equal the first seven characters of the RRI. The only valid special character is the hyphen.
RRI	Recovering Agency Identifier	Must be a valid NCIC 2000-assigned ORI.
SDT	Security Date	Consists of alphabetic or numeric characters. If TYP equals BC, FB, FR, GC, NB, SC, or UN, the SDT is a mandatory field.

Code	Field	Edits
		If SDT contains data, there must be: 1) the word BLANK; 2) a maturity date format consisting of the alphabetic M followed by a valid Gregorian date (MYYYYMMDD); 3) an issue date format consisting of the alphabetic P followed by a valid Gregorian date (PYYYYMMDD); or 4) a series year consisting of four numeric characters with an optional fifth character (YYYY, YYYYA). The leftmost two characters must be 19 (i.e., 19YY) or 20. If the TYP equals BC, FB, or FR, the data must be in the series year format. If the TYP equals FR, the data must be equal to 1928, 1928A, 1928B, 1928C, 1934, 1934A, 1934B, 1934C, 1934D, 1950, 1950A, 1950B, 1950C, 1950D, 1950E, 1963, 1963A, 1963B, 1969A, 1969B, 1969C, 1969D, 1974, 1976, 1977, 1977A, 1981, 1981A, 1985, 1988, 1988A, 1990, 1993, 1995, or 1996. If the TYP equals GC, SC, UN, or NB, the data must be in the series year format If the TYP equals FR and DEN equals 2, the SDT must be 1976. If the word COUNTERFEIT appears as the first item in the MIS Field (NCIC), or if the RMI Field contains C (NCIC 2000), the edits on SDT do not apply.
SER	Serial Number	If MKE is ES, must be 1 to 18 alphabetic and/or numeric characters; must not be single zero only, run of zeros only, single alphabetics only, or run of alphabetics only. If MKE is ESS, a single hyphen must separate the two numbers designating the lowest and highest serial numbers of the sequence; the two numbers must contain an equal number of characters not exceeding 18 in each number. A group record cannot include more than 100 consecutive serial numbers. Alphabetic characters only cannot be used. Any alphabetic(s) and its position must be constant in any two numbers used

Code	Field	Edits
		to denote a sequence. Rightmost numerics must establish consecutive sequence. Cannot be entered as a group record when serial numbers end in alpha O. If TYP is FR, SER must be nine or ten characters unless DEN is 20, 50, or 100, and SDT is 1996; then the SER must be 11 characters. In that case, characters one and two must be alphabetic, excluding the letter O. Positions three through ten must be numeric. Character eleven must be an alphabetic, excluding the letter O. Otherwise, the first character (prefix) must be an alphabetic A through L. If the SER is ten characters, the tenth position (suffix) must be an alphabetic A through N or P through Z. If SER is nine characters, and the suffix is an asterisk, the MIS Field must contain ASTERISK SER as the first two words. For TYP SB the following apply: If DEN is: First character or SER must be: 10 X 25 Q 50 L 75 K 100 C 200 R 500 D 1000 M 5000 V 10000 X 100000 W In each case, the last character of the SER must be A, B, C, D, E, F, G, H, J, or K. For TYP SB the following apply: If last character is: SER must be: E 3-12 characters EE 4-12 characters H 3-10 characters HH 4-11 characters

Code	Field	Edits
		For TYP SN the following apply: If DEN is: First character of SER must be: 25 Q 50 L 75 K 100 C When TYP code is PM, the SER must have ten characters. When COUNTERFEIT is the first item in MIS Field (NCIC) or RMI Field equals C (NCIC 2000) edits on SER do not apply.
SOC	Social Security Number	If TYP is BC, FB, FR, GC, NB, SC, or UN, then SOC must be blank. Must not be less than 001010001 or have a value of 8 or 9 in the first position or have a value of 00 in the fourth and fifth position. Invalid and/or nonissue numbers are accepted but cause a SOC attention message. More information available in Personal Descriptors, *NCIC 2000 Code Manual*.
TYP	Type	Must be a valid NCIC 2000-assigned code as listed in Securities Data Codes, *NCIC 2000 Code Manual.*

NCIC 2000-formatted Messages May Also Contain the Following:

LKA	Linkage Case Number	Must not contain a single zero only, a run of zeros only, a single alphabetic only, or the word NONE. The first seven characters of the LKA cannot equal the first seven characters of the LKI. The only valid special character is the hyphen. The LKA must be valid for the LKI. (There must be an ORI and matching OCA in the System).
LKI	Linkage Agency	Must be a valid NCIC 2000-assigned ORI. The LKI and LKA cannot be identical to the ORI and OCA.
NOA	Notify Originating Agency	Must be Y or N. NOA Field will default to N if left blank.

Code	Field	Edits
NPA	Number of Persons Apprehended	Count of persons arrested as a result of locating stolen security. Can be entered only if RPP is entered. Must be blank or 0 if RPP is OTHER MEANS or PREVIOUSLY LOCATED.
NPF	Number of Missing Persons Found	First three characters must be numeric. Fourth character must be J for juvenile or O for other missing person. Fifth character must be I or N for indexed or not indexed in NCIC 2000. Can be entered only if RPP is entered. Must be blank or 0 if RPP is OTHER MEANS or PREVIOUSLY LOCATED.
RMI	Ransom Money Indicator	Must be one of the following codes: R (Ransom), C (Counterfeit), or B (Bait money).
RPP	Reason for Property Record Removal	Must be a valid NCIC 2000-assigned code as listed in the Introduction chapter of this manual.
RSH	Related Search Hit	Must be Y or N.
VLN	Name of Validator	Any valid characters representing validator.
VNP	Value of Recovered Property	Fair market value (in whole dollars) of the recovered stolen security identified in the record. Can be entered only if RPP is entered. Must be blank or 0 if RPP is OTHER MEANS or PREVIOUSLY RECOVERED.
VOR	Value of Other Recovered Property	Fair market value (in whole dollars) of property recovered as a result of locating the stolen security identified in the record. Can be entered only if RPP is entered. Must be blank or 0 if RPP is OTHER MEANS or PREVIOUSLY RECOVERED .
VRC	Value of Recovered Contraband	Fair market value (in whole dollars) of any contraband recovered as a result of locating stolen securities which are identified in the record. Can be entered only if RPP is entered. Must be blank or 0 if RPP is OTHER MEANS or PREVIOUSLY RECOVERED.

1.7 CRITERIA FOR REJECTING DUPLICATE RECORDS

If data in the TYP, SER, DEN, OCA, and ORI Fields of a stolen security entry message are the same as those field codes of a record already on file in NCIC 2000, the second entry will be rejected with the message REJECT ON FILE. Whenever the message REJECT ON FILE is sent, the record on file will also be transmitted.

A duplicate record will be accepted if the ORI or the OCA in the second entry is different. If accepted, the first entry (record on file) will be furnished.

SECTION 2--ENTRY

2.1 EXAMPLE OF A SINGLE SECURITY RECORD ENTRY

```
1N01HEADER.ES.MD1012600.SB.D83907078E.500.USTREASURY.MASON, JOHN HENRY.
505038888.P19950601.19961205.123456789...STOLEN DURING BURGLARY WITH
OTHER ITEMS.NIC/7452123.Y
```

Acknowledgment:

```
1L01HEADER
MD1012600
NIC/Sl78628481 SER/D83907078E
```

2.2 MESSAGE FIELD CODES FOR ENTRY

FIELD NAME	REQUIREMENTS	MESSAGE FIELD CODE	FIELD LENGTH	DATA TYPE
HEADER	MANDATORY	HDR	9-19	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
MESSAGE KEY	MANDATORY	MKE	2-2	ALPHABETIC
ORIGINATING AGENCY IDENTIFIER	MANDATORY	ORI	9-9	ALPHABETIC, NUMERIC
TYPE	MANDATORY	TYP	2-2	ALPHABETIC
SERIAL NUMBER	MANDATORY	SER	1- 18	ALPHABETIC, NUMERIC
DENOMINATION	MANDATORY	DEN	1- 9	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
ISSUER	MANDATORY	ISS	1-15	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
OWNER	MANDATORY	OWN	1- 40	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
SOCIAL SECURITY NUMBER	OPTIONAL	SOC	9- 9	NUMERIC
SECURITY DATE	CONDITIONAL	SDT	4-9	ALPHABETIC, NUMERIC
DATE OF THEFT	MANDATORY	DOT	8-8	NUMERIC
ORIGINATING AGENCY CASE NUMBER	MANDATORY	OCA	1-9 1-20*	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
LINKAGE AGENCY IDENTIFIER	OPTIONAL	LKI*	9-9	ALPHABETIC, NUMERIC

LINKAGE CASE NUMBER	OPTIONAL	LKA*	1-20	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
MISCELLANEOUS	OPTIONAL	MIS	1-30 1-200*	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
NOTIFY ORIGINATING AGENCY	OPTIONAL	NOA*	1-1	ALPHABETIC
RANSOM MONEY INDICATOR	OPTIONAL	RMI*	1-1	ALPHABETIC

* NCIC 2000 format only

2.3 MANDATORY FIELDS FOR ENTRY

1. U.S. AND CANADIAN CURRENCY ENTRY

   The following fields are mandatory to cause acceptance of an entry for U.S. and Canadian currency into NCIC 2000: HDR, MKE, ORI, TYP, SER, DEN, ISS, OWN, SDT, DOT, and OCA. The entry will be rejected if one of the mandatory fields is left blank.

2. SECURITY ENTRY FOR OTHER THAN U.S. AND CANADIAN CURRENCY

   The following fields are mandatory to cause acceptance of securities other than U.S. and Canadian currency into NCIC 2000: HDR, MKE, ORI, TYP, SER, DEN, ISS, OWN, DOT, and OCA.

2.4 ADDITIONAL GUIDELINES FOR ENTRY

1. The agency entering the record must account for all fields in the Securities File record. All available data called for by the record format must be entered when the original entry is made. Missing data obtained at a later time should be promptly added through the use of a modification message (MKE/MS).

2. For training and administrative purposes, agencies may enter test records into NCIC 2000 by using the header TL01 (NCIC) or TN01 (NCIC 2000). The test records will not generate any notifications nor will batch processing be performed in the test system.

3. A person whose U.S. Savings Bond(s) has been stolen should file a claim with the Bureau of Public Debt. The claim may be made by informal letter and should include the following data if available: 1) the name that appears as the first owner, 2) the Social Security number of the first owner, 3) the address of the first owner, 4) the denomination, and 5) the serial number. Information concerning a stolen bond which is needed for entry into NCIC 2000 may also be obtained from the Bureau of Public Debt. Letters should be addressed to: Bureau of Public Debt, 200 3rd Street, Parkersburg, West Virginia 26101.

2.5 MESSAGE FIELD EDITS FOR ENTRY

1. TYPE (TYP) FIELD

The code for each type of security is composed of two alphabetic characters as listed in Security Data Codes, NCIC 2000 Code Manual.

To ensure accurate retrieval of information entered in the Securities File, the TYP code which most precisely describes the item being entered must be used. General codes, such as BD (bond), MO (money order), and NT (note), are appropriate for those securities which cannot be described more specifically.

2. SERIAL NUMBER (SER) DATA

The serial number must be a unique number identifying the stolen or embezzled security. If a serial number is represented by one character(s) over another character(s) (AA/B, $\frac{AA}{B}$) the numerator must be entered first immediately followed by the denominator (e.g., AAB).

1. Serial numbers composed of alphabetics, numerics, or a combination thereof must be entered omitting spaces, hyphens, commas, and symbols. For example, U.S. Savings Bond serial numbers begin with an alphabetic character and end with either one or two alphabetic characters. All of the alphabetics should be included in the SER. If the serial number exceeds 18 characters, the rightmost 18 characters must be entered in the SER Field, and the complete serial number must be entered in the MIS Field.

2. When an asterisk is an integral part of a serial number, as in some U.S. currency, it is not included in the SER; rather, the comment ASTERISK SER must be placed as the first two words in the MIS Field designating the asterisk as part of the serial number.

3. Any number typed on the certificate following the name of the owner is not be to entered as a serial number. If the number typed after the name of the owner is the owner's Social Security number, it must be included in the SOC.

3. DENOMINATION (DEN) FIELD

1. The amount of money represented by a security as indicated thereon is to be placed in the DEN. An amount which does not include a fraction of a dollar should be entered omitting the cents position; e.g., a money order for $37.00 would be entered as 37. When the amount includes a fraction of a dollar, a hyphen should be used in place of a decimal; e.g., a money order for $35.75 would be entered as 35-75.

2. The denomination of money orders stolen or embezzled before they were issued by an appropriate authority and before amounts were indicated thereon should be entered as BLANK to indicate that the amount to be paid was not stated on the money order.

3. For the denomination of a stock certificate, the number of shares represented by the certificate should be entered. The par value (face value at the time the stock was issued) must not be entered in the DEN Field. The word BLANK should be entered in the DEN Field if the number of shares represented by the certificate is not included thereon.

4. Concerning rights and warrants, the number of new securities the owner is entitled to purchase as stated in the document should be entered in the DEN. When the number includes a fraction represented with a numerator and a denominator, a hyphen should be used to represent the slash; e.g., 4 3/8 would be shown as 4 3-8. When the number includes a fraction represented as a decimal, a hyphen should be used in place of the decimal point; e.g., 4.75 would be entered as 4-75.

5. Since warehouse receipts do not represent a value and may be issued for numerous types of warehouse items, the alphabetic characters WR are to be entered in the DEN.

6. Commas, periods, decimal points, or dollar signs may not be placed in the DEN. Denomination should always be entered in numerical form except where entry of the word BLANK or the alphabetic characters WR is appropriate. The following are examples of entries in the DEN:

$5 Federal Reserve Note	5
$17.50 money order	17-50
100 shares stock certificate	100
$1,000 Bond	1000
Money order stolen prior to issue	BLANK
Warehouse receipt	WR
Warrant representing right to purchase four shares of stock	4

4. ISSUER (ISS) FIELD

The name of the company, agency, or organization printed on the security is to be placed in the ISS Field even if the security was stolen or embezzled before it was appropriately prepared or issued by an authorized person.

1. Government Obligations

The U.S. Treasury, issuer of currency and other Treasury obligations (Treasury Bills, Bonds, and Notes; Treasury Certificates of Indebtedness; U.S. Individual Retirement Bonds; U.S. Retirement Plan Bonds; U.S. Savings Bonds; and U.S. Savings Notes), must be shown as US TREASURY. (The name of the bank or corporation which may have circulated the document as an agent of the U.S. Government should be disregarded.)

Securities issued by other agencies of the U.S. Government should show the full name or a generally accepted abbreviation for that agency. Canadian currency, issued by the Bank of Canada, must be shown as CANADA.

2. Corporate Obligations

The name of the state or a province in a corporate name which sets the name of the corporation apart from other corporations having similar names should be included where feasible; for example, Standard Oil Company (New Jersey), Standard Oil Company (Ohio), Standard Oil Company of California. State and province abbreviations are found in State and Country Data Codes, *NCIC 2000 Code Manual*.

Commas and periods should not be used. Parentheses should be replaced with hyphens if punctuation is necessary. Initials may be included but without periods. If initials constitute the full name, the name should be written without intervening spaces or periods.

3. Abbreviation Guidelines

When the issuer's name contains more than 15 characters, the name should be abbreviated to 15 characters. Abbreviations used in the financial pages of newspapers are acceptable and will serve as useful guidelines. In abbreviating words, generally accepted abbreviations or contractions should be used when feasible. In circumstances which involve names consisting of a large number of separate words, it may be desirable for purpose of recognition to utilize several letters of key words. To conserve space, words such as "and," "Assoc.," "Association," "at," "Co.," "Company,""Corp.," "Corporation," "of," "or," etc., should not be included.

If the abbreviation does not sufficiently identify the issuer, the full name or more substantial abbreviation should be included in the MIS Field.

5. OWNER (OWN) FIELD

1. The full name of the owner appearing on the face of the security is to be included if space in this field permits.

2. The word BLANK should be entered when the security was stolen or embezzled before the appropriate space provided for name of owner was filled.

3. Individual names must be entered as mandatory surname; mandatory comma; space (optional); mandatory first name or initial; space (to be included only if middle name or initial will follow); middle name(s) or initial(s) if any; mandatory space after each middle name or initial except last one; and suffix denoting seniority (Jr., III, etc.) if any.

   Incorrect placement or omission of the comma will result in a negative response to inquiries on the name. If more than one comma is used when entering the name, the message will be rejected.

4. Institutional Owner

   If the owner is not a person but a company, bank, brokerage house, etc., the full name must be entered in the same order as it appears on the documents; however, the following words and symbols should not be included:

and	Corporation	Limited	&	( )
Co.	Inc.	of	‘	/
Company	Incorporated	S.A.	.	(other
Corp.	Ltd.	the	-	symbols)

   If the owner’s name exceeds the allotted 40 characters, the name should be written out to the maximum extent possible. This may result in eliminating a part of a word or several words. For example, First National Bank of San Gregorio, California, would be entered as FIRST NATIONAL BANK SAN GREGORIO CALIFOR; Bank of America National Trust and Savings Association would be entered as BANK AMERICA NATIONAL TRUST SAVING ASSO.

5. Bearer as Owner

   The word BEARER must be entered for all types of currency--Bank of Canada (Canadian Notes), Federal Reserve Bank Notes, Federal Reserve

Notes, Gold Certificates, National Bank Notes, Silver Certificates, and U.S. Notes.

BEARER must also be entered in the OWN Field when the name of owner is not set out on the face of the security because the security was not designed to include a specific owner's name or when the security contains the words "Payable to Bearer."

6. Co-Owners

When co-owners are listed on the security, only the name of the first person is to be listed even if deceased. Title(s) such as Mr., Mr. or Mrs., Mr. and Mrs., Dr., Dr. or Mrs., Dr. and Mrs., etc., are not to be included except when it is necessary to differentiate a wife's identity from that of her husband. In such a case, the title Mrs. would be included, e.g., SWANSON, ROBERT D MRS.

The name of a person (or organization) identified as beneficiary or to whom security is payable on death (P.O.D.) should be disregarded.

7. Traveler's Check

The name of the person or company holding a traveler's check at the time of theft or embezzlement should be entered in the OWN Field even though this information is not indicated on the face of the document. When the purchaser of the traveler's check had cashed it or used it to make a purchase, the name appearing on the traveler's check should be included in the MIS Field to assist in its identification.

8. Money Order

The person in possession of a money order at the time of theft or embezzlement should be identified as the owner even though his/her name does not appear on the document. This situation would occur when the purchaser of a money order had filled in the payee line but had not turned the money order over to the person or company to whom payment was to be made. In this instance, the name of the payee should be placed in the MIS Field to further identify the money order.

6. SOCIAL SECURITY NUMBER (SOC) FIELD

1. If the name of the owner appears on the security, the Social Security number of the owner should be entered in the SOC Field. If the Social Security number does not appear on the security, the number should be obtained from the owner and entered.

2. When co-owners are listed on the security, the SOC of the first person listed is preferred if available.

3. When the owner of the security is not a person but is a corporation, foundation, etc., no entry should be made in the SOC Field.

4. Entries of U.S. Savings Bonds and U.S. Savings Notes should include the Social Security number if available. Each U.S. Savings Bond issued after December 1973 is required by law to have the Social Security number of the first-named owner printed on the face of the bond.

5. If the security does not list the name of the owner (e.g., a bearer bond or currency) or the security was stolen before it had been executed by an appropriate authority, no entry should be made in the SOC Field.

6. Upon entry of invalid and/or non-issued social security numbers, a caveat will be generated stating that the SOC has not been assigned and that the agency should check for a possible data entry error. This caveat will be generated each time such a number is entered, modified, or queried:

```
ATTENTION: THE SOC USED IN YOUR TRANSACTION HAS NOT BEEN
ASSIGNED BY THE SOCIAL SECURITY ADMINISTRATION. PLEASE CHECK
FOR A DATA ENTRY ERROR.
```

7. SECURITY DATE (SDT) FIELD

1. Currency

1. In entering currency, the series year (four numeric characters and any alphabetic character suffix) must be included in the SDT. (SDT edits are presented in Section 1 of this chapter.) The series year is found on the face of U.S. currency following the word SERIES. For example: SERIES 1993 would be entered as 1993.

2. For Bank of Canada Notes (currency), the year which follows the word OTTAWA (centered immediately under the black bar on which is written BANK OF CANADA-BANQUE DU CANADA) is to be entered.

3. The alphabetic character M or P is not to be prefixed to the series year of U.S. currency or Canadian notes. They are used only when the maturity or issue date is entered.

2. Securities Other Than Currency

1. Securities such as bonds, debentures, notes, and other certificates acknowledging debt usually set out a specific date (maturity date)

when they become payable to the owner. Maturity date is to be entered in the SDT when it appears on the security.

2. Certain securities such as stock certificates represent shares of ownership in a corporation and as such have no maturity date. Others, such as traveler's checks, are documents that can be cashed if appropriately signed or endorsed. For such securities, the date prepared or issued should be entered as issue date.

3. When maturity date appears, the date entered in the SDT should be preceded by the alphabetic character M; e.g., M19990112 for the maturity date January 12, 1999. When issue date appears, the date entered should be preceded by the alphabetic character P; e.g., P19950513 for the issue date May 13, 1995.

4. The issue date of each U.S. Savings Bond appears in the upper right-hand corner on the face side. The issue day is always the first day of the month in which the bond was issued. The month and year of issue follow the wording, "Issue date which is the first day of _____." When the issue date is entered in the SDT, it must be preceded by the alphabetic P; e.g., P19961201.

5. If a money order was stolen before it was issued and no issue date appears thereon, the word BLANK is to be entered in the SDT. An agency inquiring upon a recovered money order with a date of issue may retrieve a record for a money order with the same serial number that contains the word BLANK in the SDT. In this case, the inquiring agency can assume that the date of issue was added by an unauthorized individual.

8. MISCELLANEOUS (MIS) FIELD

When a counterfeit security is entered using an NCIC format, the word COUNTERFEIT must be entered as the first item in the MIS Field. This will bypass the edits on the SER, DEN, ISS, OWN, and SDT.

1. Counterfeit U.S. Currency

1. When counterfeit U.S. currency is entered, if the face plate number and the back plate number appear on the currency, they should be entered in the MIS Field.

2. The face plate number should be found on the obverse side of the bill (the side with the portrait) to the right above and slightly to the left of the denomination numeral on the white background inside and close

to the border ornamentation. It should consist of a prefix alphabetic character and one or more numeric characters. For series year 1996 (and later), the face plate number should appear to the right of the portrait on the white background above the lower border ornamentation.

3. The back plate number consists of one or more numeric characters which should be found on the reverse side of the bill to the right on the white background inside and close to the border ornamentation.

2. Counterfeit Bank of Canada Notes

1. If the face plate number and back plate number appear on counterfeit Bank of Canada notes, the numbers should be included in the MIS Field. These numbers are extremely small.

2. The face plate number should be located inside the lacy border ornamentation and immediately above and to the far left of the engraved black bar which extends the full width of the face (portrait side) of the note between the borders and on which is inscribed BANK OF CANADA - BANQUE DU CANADA.

3. The back plate number should be found in several locations in the light areas immediately adjoining the lacy border ornamentation on the lower half of the note. The Canadian $1 note back plate number is located approximately 5/8 inch to the right of the inside edge of the left border and immediately above the bottom border. The Canadian $5 note back plate number is located approximately 1/8 inch to the left of the inside edge of the right border at its juncture with the diagonal line made by the border in the lower right-hand corner.

4. To conserve space, the following abbreviations may be used to indicate that the plate number is the face plate or back plate number:

face plate number	FP
back plate number	BP

A MIS Field entry for a counterfeit bill (note) might read:

```
COUNTERFEIT  FP A123  BP  345
```

9. ADDITIONAL DESCRIPTORS

1. Significant information not called for by specific fields in the Securities File format should be entered in MIS Field. Additional information should be entered in the MIS Field when it would be helpful to an inquiring agency for

positive identification (e.g., other securities taken during same robbery not recovered) or would more fully describe the securities being entered. For example, a large corporation may issue many kinds of securities which are not identical but are similar in many respects. In such instances, descriptive terms such as "convertible," "cumulative," "series A," "sinking fund," "senior," or "collateral trust" would be of assistance to the inquiring agency in assuring positive identification. Necessary descriptive terms ordinarily appear prominently on securities.

2. The originating agency may wish to enter the city or location of the theft, the identity of the agency or branch office from which the security was taken, or the nature of the offense.

3. Bait money (prerecorded currency) is Federal Reserve Notes that have been marked to identify stolen money as evidence against a robber. BAIT MONEY should be entered as the first item in the MIS Field if Federal Reserve Notes stolen were recorded as bait money. This is applicable to NCIC format only. NCIC 2000 uses the new RMI Field with a value of B for bait money.

4. When an agency believes that notification each time its record is hit will provide investigative leads, the entering agency should place the code NOAH (Notify ORI of All Hits) in the MIS Field (NCIC format).

5. The interest rate, which is a mixed fractional figure, should be entered omitting percent sign, underscore, or diagonal (slash) symbol; for example, 4 1/8 percent would be entered 4 1-8 INT; 4 1/2 percent would be entered 4 1-2 INT. If interest is a whole number, only the whole number is to be entered, omitting the percent sign, decimal point, and zeros (if omission of zeros does not change the value of the figure); for example, 4 percent would be entered 4 INT. If two interest rates are set out, use the first figure only.

6. Interest which is written as dollar amount or as decimal rate should be entered by substituting a hyphen for the decimal point and omitting the percent sign; for example, 4.75 percent would be entered 4-75 INT; $4.25 would be entered 4-25 INT; and $4.00 would be entered 4 INT.

2.6 NCIC 2000 MESSAGE FIELD EDITS FOR ENTRY

1. LINKAGE ORI AND OCA (LKI/LKA)

The Linkage ORI and OCA Fields are provided as separate fields to associate incidents that are handled by multiple departments. An agency entering a record which shares the same incident of a record entered by a different ORI and/or OCA can link the records by entering the associated ORI and OCA in the Linkage Fields (LKI and LKA).

In the entry message, the LKI and LKA Fields immediately follow the OCA Field entry. The message will be rejected if the LKI/LKA Fields are the same as the ORI/OCA Fields or if the first seven characters of the LKA are the same as the first seven characters of the LKI.

2. NOTIFY ORIGINATING AGENCY (NOA)

When the ORI believes that notification each time its record is hit will provide investigative leads, regardless of whether the location of the security is known, Y should be entered into the NOA Field. Previously this was indicated by placing NOAH in the MIS Field. Currently, if the NOA is left blank, the field will default to N.

3. RANSOM MONEY INDICATOR (RMI)

The RMI Field can have the value of B (Bait Money), C (Counterfeit), or R (Ransom). The entry of one of these codes in the RMI Field will result in a code translation following the message key translation in a hit response. The entry of R in the RMI Field also results in the unlimited retention of the record. The entry of C in the RMI Field will cause the edits on the SER, DEN, ISS, OWN, and SDT to be bypassed.

The codes used in the RMI Field negate the need to enter the words COUNTERFEIT or BAIT MONEY as the first item in the MIS Field.

SECTION 3--MODIFICATION

3.1 WHEN TO USE A MODIFICATION MESSAGE

Modification of a record is restricted to the agency that entered the record. A modification message is used to add, delete, or change data in a securities record. A securities record cannot be modified if the record is in a located status (MKE/LOCATED SECURITY).

3.2 EXAMPLE OF A SINGLE SECURITY MODIFICATION MESSAGE

```
1N01HEADER.MS.MD1012600.NIC/S178628481.OCA/123456789.SER/D83907068.RMI/C
```

Acknowledgment:

```
1L01HEADER
MD1012600
MODIFY NIC/S178628481
```

The above modification example contains: header (1N01HEADER), message key (MS), Originating Agency Identifier (MD1012600), two record identifiers (NIC/S178628481 and OCA/123456789), the field being modified, and the modification (SER/D83907068 and RMI/C).

3.3 MESSAGE FIELD CODES FOR MODIFICATION

FIELD NAME	REQUIREMENTS	MESSAGE FIELD CODE	FIELD LENGTH	DATA TYPE
HEADER	MANDATORY	HDR	9-19	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
MESSAGE KEY	MANDATORY	MKE	2-2	ALPHABETIC
ORIGINATING AGENCY IDENTIFIER	MANDATORY	ORI	9-9	ALPHABETIC, NUMERIC
NCIC NUMBER	CONDITIONAL	NIC	10-10	ALPHABETIC, NUMERIC
SERIAL NUMBER	CONDITIONAL	SER	1-18	ALPHABETIC, NUMERIC,
ORIGINATING AGENCY CASE NUMBER	MANDATORY	OCA	1-9 1-20*	ALPHABETIC, NUMERIC SPECIAL CHARACTERS
NAME OF VALIDATOR	OPTIONAL	VLN*	1-30	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
ANY FIELD(S) FROM ENTRY TRANSACTION				

*NCIC 2000 format only

3.4 IDENTIFICATION OF A RECORD TO BE MODIFIED

Record to be modified must be identified by NIC and OCA, in that order, or SER and OCA, in that order, preceded by the proper MFC.

3.5 VALIDATION GUIDELINE FOR NCIC 2000 MODIFICATION

For NCIC 2000 validation, a Name of Validator (VLN) may be added to a securities record to indicate that the record has met the criteria for validation. When the VLN is entered, NCIC 2000 stores the current date in the record as the Date Last Validated (VLD). If the user attempts to delete or modify the VLN to all blanks, the message will be rejected. The acknowledgment for the modification message containing a VLN will indicate the record has been validated. The VLN can be in any form that will uniquely identify the individual responsible for the validation of the record, e.g., name, user ID, employee number, etc. For example:

```
1N01HEADER.MS.MD1012600.NIC/S1234235344.OCA/12324342325.VLN/JONES, DAVID
```

Acknowledgment:

```
1L01HEADER
MD1012600
VALIDATE NIC/S1234235344 OCA/12324342325
```

SECTION 4--CANCELLATION

4.1 WHEN TO USE A CANCELLATION MESSAGE

Cancellation of a record is restricted to the agency that entered the record. A cancellation message is used when it is determined that the record is invalid; for example, a record is determined to be the result of a theft report which proves to be fictitious or false.

4.2 EXAMPLE OF A SINGLE SECURITY RECORD CANCELLATION MESSAGE

```
1N01HEADER.XS.MD1012600.NIC/S178628379.OCA/123425332.19991205.
CASE DROPPED
```

Acknowledgment:

```
1L01HEADER
MD1012600
CANCEL NIC/S178628379
```

The above cancellation example contains: header (1N01HEADER), message key (XS), Originating Agency Identifier (MD1012600), two record identifiers (NIC/S178628379 and OCA/123425332), date of cancellation (19991205), and reason for property record removal (CASE DROPPED).

4.3 MESSAGE FIELD CODES FOR CANCELLATION

FIELD NAME	REQUIREMENTS	MESSAGE FIELD CODE	FIELD LENGTH	DATA TYPE
HEADER	MANDATORY	HDR	9-19	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
MESSAGE KEY	MANDATORY	MKE	2-2	ALPHABETIC
ORIGINATING AGENCY IDENTIFIER	MANDATORY	ORI	9-9	ALPHABETIC, NUMERIC
NCIC NUMBER	CONDITIONAL	NIC	10-10	ALPHABETIC, NUMERIC
SERIAL NUMBER	CONDITIONAL	SER	1-18	ALPHABETIC, NUMERIC,
ORIGINATING AGENCY CASE NUMBER	MANDATORY	OCA	1-9 1-20*	ALPHABETIC, NUMERIC SPECIAL CHARACTERS
DATE OF CANCEL	MANDATORY	DOC	8-8	NUMERIC
REASON FOR PROPERTY RECORD REMOVAL	OPTIONAL	RPP*	10-21	ALPHABETIC, NUMERIC

*NCIC 2000 format only

4.4 IDENTIFICATION OF A RECORD TO BE CANCELED

The record to be canceled must be identified by NIC and OCA, in that order, or SER and OCA, in that order, with each data element preceded by the proper MFC. Date of cancellation (DOC) must follow the two record identifiers. DOC must be the current date or the current date minus one.

4.5 ADDITIONAL GUIDELINE FOR NCIC 2000 CANCELLATION

When a record is canceled in an NCIC 2000 format, the user is expected to enter the Reason for Property Record Removal (RPP). The RPP Field is entered directly after the DOC Field. For a cancellation transaction, the RPP value will be either CASE DROPPED or NOT STOLEN.

SECTION 5--INQUIRY OF A SINGLE SECURITY RECORD

5.1 EXAMPLE OF AN INQUIRY WITH NEGATIVE AND POSITIVE RESPONSES

An inquiry on a security gives access to single as well as group records in the Securities File.

```
1N01HEADER.QS.WA1230000.TYP/BD.SER/D30232.DEN/1000.ISS/CON EDISON
```

Negative Response:

```
1L01HEADER
WA1230000
NO RECORD SER/D30232 TYP/BD DEN/1000
```

Positive Response:

```
1L01HEADER
WA1230000

MKE/STOLEN SECURITY
ORI/MD1012600 TYP/BD SER/D30232 DEN/1000 ISS/CON EDISON
OWN/POWELL, JOSEPH SDT/M19971004 DOT/19981205
OCA/12343432
NIC/S178628175 DTE/19981205 0000 EST
ORI IS ANY CITY PD MD 301 555-1212
IMMED CONFIRM RECORD WITH ORI
```

5.2 MESSAGE FIELD CODES FOR INQUIRY

FIELD NAME	REQUIREMENTS	MESSAGE FIELD CODE	FIELD LENGTH	DATA TYPE
HEADER	MANDATORY	HDR	9-19	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
MESSAGE KEY	MANDATORY	MKE	2-2	ALPHABETIC
ORIGINATING AGENCY IDENTIFIER	MANDATORY	ORI	9-9	ALPHABETIC, NUMERIC
TYPE	CONDITIONAL	TYP	2-2	ALPHABETIC
SERIAL NUMBER	CONDITIONAL	SER	1-18	ALPHABETIC, NUMERIC
DENOMINATION	CONDITIONAL	DEN	1-9	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
ISSUER	OPTIONAL	ISS	1-15	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
OWNER	CONDITIONAL	OWN	1-40	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS

SOCIAL SECURITY NUMBER	CONDITIONAL	SOC	9-9	NUMERIC
SECURITY DATE	OPTIONAL	SDT	4-9	ALPHABETIC, NUMERIC
ORIGINATING AGENCY CASE NUMBER	CONDITIONAL	OCA	1-9 1-20*	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
NCIC NUMBER	CONDITIONAL	NIC	10-10	ALPHABETIC, NUMERIC
RELATED SEARCH HIT	OPTIONAL	RSH*	1-1	ALPHABETIC

*NCIC 2000 format only

5.3 REQUIREMENTS FOR INQUIRY

An inquiry of the Securities File should include TYP, SER, and DEN. ISS should be included for securities other than U.S. Treasury issues and currency. An inquiry may also be made by OWN; OWN and TYP; OWN and OCA; OWN and SOC; or SOC only. Inquiries may be made using the NIC only, if available.

BEARER, BLANK, UNKNOWN, UNK, UNKN, or CONTACT ORI must not be used as names of owners for purposes of inquiry. Such inquiries will be rejected.

5.4 ADDITIONAL GUIDELINES FOR INQUIRY

1. An inquiry containing BLANK in the DEN will pull only records that are entered with the word BLANK in the DEN. An inquiry containing a face value (e.g., 50 or 28-75) in the DEN could pull records that have a matching DEN or DEN/BLANK.

2. An inquiry containing TYP data will limit the search to those security entries having a matching type code or a type code of AO (All other). Use of AO pulls any record having a matching SER and DEN regardless of the TYP code in the record.

3. If TYP is PM (Postal Money Order), the SER Field must be ten characters.

4. An asterisk must not be used in the SER in an inquiry.

5. If the hit response contains more than 20 hit responses (primary and/or secondary), the following will be included after the first 20 hit responses to indicate a file is being created with the additional hits:

   ```
   ADDITIONAL HITS AVAILABLE, FILE NOTIFICATION TO FOLLOW
   ```

   A $.B. administrative message will then be sent to the ORI to identify the file name to be requested to retrieve the additional hit responses. The File Transfer (FT) transaction in the Other Transactions chapter of this manual contains additional information on retrieving the file.

5.5 ADDITIONAL GUIDELINE FOR NCIC 2000 INQUIRY

RELATED SEARCH HIT (RSH)

Inquiries may also contain a Related Search Hit (RSH) Field. If RSH is Y, secondary hit responses will be returned for all records with the same ORI/OCA as the primary hit response and all records linked by the LKI/LKA contained in the primary hit response.

5.6 BATCH INQUIRY (QSB)

1. The batch inquiry allows users to create a file of individual QS/ZS inquiries in one message. Each inquiry is delimited by a sequence number (SEQ) at the beginning of the inquiry and an "&" as a separator. The SEQ is three numerics and is used to match the responses (hit or no hit) to the specific inquiry from which they were generated. Prior to each response SEQUENCE NUMBER: <SEQ> will be returned to identify those responses that follow as coming from the inquiry with that sequence number.

2. The sequence numbers do not have to be sequential, but they do have to be unique. The HDR, ORI, MKE, and SEQ are entered without the MFC. The identifiers available in the QS/ZS inquiry are available for use in the QSB message, including the RSH indicator, and are preceded by the proper MFC.

3. There is a limit of 1800 characters for a batch inquiry, including the header and all control characters.

```
1N01HEADER.QSB. DC1014300.001.TYP/BD.SER/D30232.DEN/1000.
ISS/CON EDISON&002.OWN/SMITH, JOSEPH.OCA/123242323&005.
OWN/BROWN, ROBERT. SOC/144237911&010.NIC/S123456789
```

Acknowledgment:

```
1L01HEADER
DC1014300
BATCH INQUIRY RECEIVED
```

4. The results of the batch inquiry are transmitted via a file to be retrieved by the user. The user is notified of the file by the $.B. administrative message. The following is an example of the content of the file:

```
1L01HEADER
DC1014300

SEQUENCE NUMBER: 001
MKE/STOLEN SECURITY
ORI/MD1012600 TYP/BD SER/D30232 DEN/1000 ISS/CON EDISON
OWN/POWELL, JOSEPH SDT/M19801004 DOT/19980910
OCA/1232534444
NIC/S178628175 DTE/19980912 0000 EDT
ORI IS ANY CITY PD MD 301 555-1212
IMMED CONFIRM RECORD WITH ORI
```

```
SEQUENCE NUMBER: 002
NO RECORD OWN/SMITH, JOSEPH OCA/123242323
SEQUENCE NUMBER: 005
NO RECORD OWN/BROWN, ROBERT SOC/144237911

SEQUENCE NUMBER: 010
NO RECORD NIC/S123456789
```

5.7 PROCEDURES FOR HANDLING A HIT

1. An NCIC hit is not probable cause to arrest. A hit confirmed with the originating agency may be adequate grounds to seize a security.

2. When an agency receives a record in response to an NCIC 2000 inquiry and the whereabouts of the security inquired upon is known, the agency that can seize the security must confirm the hit with the ORI of each possible match prior to seizing the security.

3. "To confirm the hit" means to verify that the theft report is still outstanding, that the security inquired upon is identical to the security described in the record, and to obtain information concerning return of the security to the rightful owner.

4. When an agency receives a record in response to an NCIC 2000 inquiry and the whereabouts of the security inquired upon is not known, the hit should not be confirmed. However, if the code NOAH (notify ORI of all hits) is in the MIS Field of a record, the ORI of the record should be contacted and furnished details concerning the inquiry.

5. Requirements for hit confirmation response are based on two levels of priority: urgent and routine, with a different response time governing each level. Hit confirmation procedures are detailed in the Introduction chapter of this manual.

SECTION 6--LOCATE

6.1 WHEN TO USE A LOCATE MESSAGE

Any agency, except the agency that entered the record, that recovers a security indexed in NCIC 2000 must place a locate message on the security record. When an agency receives a record or multiple records in response to an inquiry, the agency that can seize the stolen security must contact the ORI of each record possibly identical with the security in question to confirm the hit. Following confirmation with the originating agency, a locate message must be transmitted for each record on file for the security. Ten days after a record is located, it is retired.

6.2 EXAMPLE OF A SINGLE SECURITY RECORD LOCATE MESSAGE

```
1N01HEADER.LS.WA1230000.NIC/S178628481.OCA/123456789.19991205.
48703.HIT NCIC 19991204.4..1000..1500
```

Acknowledgment:

```
1L01HEADER
WA1230000
LOCATE NIC/S178628481
```

The above locate example contains: header (1N01HEADER), message key (LS), Recovering Agency Identifier (WA1230000), two record identifiers (NIC/S178628481 and OCA/ 123456789), date of recovery (19991205), the recovering agency's case number (48703), and benefits and effectiveness data: reason for property record removal (HIT NCIC 1991204), number of persons apprehended (4), value of recovered property (1000), and value of recovered contraband (1500).

6.3 MESSAGE FIELD CODES FOR LOCATE

FIELD NAME	REQUIREMENTS	MESSAGE FIELD CODE	FIELD LENGTH	DATA TYPE
HEADER	MANDATORY	HDR	9-19	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
MESSAGE KEY	MANDATORY	MKE	2-2	ALPHABETIC
ORIGINATING AGENCY IDENTIFIER	MANDATORY	ORI	9-9	ALPHABETIC, NUMERIC
NCIC NUMBER	CONDITIONAL	NIC	10-10	ALPHABETIC, NUMERIC
SERIAL NUMBER	CONDITIONAL	SER	1-18	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
ORIGINATING AGENCY CASE NUMBER	MANDATORY	OCA	1-9 1-20*	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS

DATE OF RECOVERY	MANDATORY	DOR	8-8	NUMERIC
RECOVERING AGENCY CASE NUMBER	OPTIONAL	RCA	1-9 1-20*	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
REASON FOR PROPERTY RECORD REMOVAL	OPTIONAL	RPP*	10-21	ALPHABETIC, NUMERIC
NUMBER OF PERSONS APPREHENDED	OPTIONAL	NPA*	1-3	NUMERIC
NUMBER OF MISSING PERSONS FOUND	OPTIONAL	NPF*	1-20	ALPHABETIC, NUMERIC
VALUE OF RECOVERED PROPERTY	OPTIONAL	VNP*	1-8	NUMERIC
VALUE OF OTHER RECOVERED PROPERTY	OPTIONAL	VOR*	1-8	NUMERIC
VALUE OF RECOVERED CONTRABAND	OPTIONAL	VRC*	1-8	NUMERIC

*NCIC 2000 format only

6.4 IDENTIFICATION OF A RECORD TO RECEIVE LOCATE

The record to be located must be identified by NIC and OCA, in that order, or SER and OCA, in that order, with each data element preceded by the proper MFC. The OCA used as an identifier is the OCA of the agency that entered the record.

6.5 LOCATE PROCEDURES

Following the two record identifiers, date of recovery and recovering agency's case number are next entered, in that order, and without field codes. The date of recovery (which cannot be prior to the date of theft) must be entered or the locate message will be rejected.

6.6 ADDITIONAL GUIDELINE FOR NCIC 2000 LOCATE

Following the date of recovery and recovering agency case number, users are expected to enter benefits and effectiveness data. The entry of benefits data is not MFC-dependent. Therefore, any field not entered should be accounted for with a period. Additional information on benefits and effectiveness data can be found in the Introduction chapter of this manual.

6.7 AUTOMATIC NOTIFICATION OF LOCATE

When an agency places a locate against another agency's record, NCIC 2000 will automatically notify the entering agency of the placement of the locate with a $.L. administrative message. Additional information on the $.L. administrative message can be found in the Introduction chapter of this manual.

SECTION 7--CLEAR

7.1 WHEN TO USE A CLEAR MESSAGE

Clearance of a record is restricted to the agency that entered the record. A clear message is transmitted under one of the following conditions:

1. When the agency recovering the security is the agency that entered the record.

2. When the agency that entered the record is officially advised that the security has been recovered by another agency.

7.2 EXAMPLE OF A SINGLE SECURITY RECORD CLEAR MESSAGE

```
1N01HEADER.CS.MD1012600.NIC/S178628481.OCA/123456789.19991205...
HIT LOCAL 19991205.2..10000..12000
```

Acknowledgment:

```
1L01HEADER
MD1012600
CLEAR NIC/S178628481
```

The above clear example contains: header (1N01HEADER), message key (CS), Originating Agency Identifier (MD1012600), two record identifiers (NIC/S178628481 and OCA/ 123456789), date of clear (19991205), and benefits and effectiveness data: reason for property record removal (HIT LOCAL 19991205), number of persons apprehended (2), value of recovered property (10000), and value of recovered contraband (12000).

7.3 MESSAGE FIELD CODES FOR CLEAR

FIELD NAME	REQUIREMENTS	MESSAGE FIELD CODE	FIELD LENGTH	DATA TYPE
HEADER	MANDATORY	HDR	9-19	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
MESSAGE KEY	MANDATORY	MKE	2-2	ALPHABETIC
ORIGINATING AGENCY IDENTIFIER	MANDATORY	ORI	9-9	ALPHABETIC, NUMERIC
NCIC NUMBER	CONDITIONAL	NIC	10-10	ALPHABETIC, NUMERIC
SERIAL NUMBER	CONDITIONAL	SER	1-18	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
ORIGINATING AGENCY CASE NUMBER	MANDATORY	OCA	1-9 1-20*	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS

DATE OF CLEAR	MANDATORY	DCL	8-8	NUMERIC
RECOVERING AGENCY IDENTIFIER	OPTIONAL	RRI	9-9	ALPHABETIC, NUMERIC
RECOVERING AGENCY CASE NUMBER	OPTIONAL	RCA	1-9 1-20*	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
REASON FOR PROPERTY RECORD REMOVAL	OPTIONAL	RPP*	10-21	ALPHABETIC, NUMERIC
NUMBER OF PERSONS APPREHENDED	OPTIONAL	NPA*	1-3	NUMERIC
NUMBER OF MISSING PERSONS FOUND	OPTIONAL	NPF*	1-20	ALPHABETIC, NUMERIC
VALUE OF RECOVERED PROPERTY	OPTIONAL	VNP*	1-8	NUMERIC
VALUE OF OTHER RECOVERED PROPERTY	OPTIONAL	VOR*	1-8	NUMERIC
VALUE OF RECOVERED CONTRABAND	OPTIONAL	VRC*	1-8	NUMERIC

* NCIC 2000 format only

7.4 IDENTIFICATION OF A RECORD TO BE CLEARED

The record to be cleared must be identified by NIC and OCA, in that order, or SER and OCA, in that order, with each data element preceded by the proper MFC.

7.5 CLEAR PROCEDURES IF A SECURITY IS RECOVERED BY THE ENTERING AGENCY

If the agency that entered the record recovers the security, the date of clear (which cannot be prior to the date of theft) must be entered following the two record identifiers. Additionally, benefits and effectiveness data should be included.

7.6 CLEAR PROCEDURES IF A SECURITY IS RECOVERED BY AN AGENCY OTHER THAN THE ORI

If an agency other than the ORI of the record recovers the security, using the following procedures will ensure that the cleared record contains complete recovery data (date of clear, recovering agency's identifier, and recovering agency's case number).

1. If the record being cleared is in a located status (MKE/LOCATED SECURITY), only the date of clear must be entered following the two record identifiers.

2. If the record being cleared is in an active status (MKE/STOLEN SECURITY), the date of clear followed by the locating agency's identifier and the locating agency's

case number, in that order, without field codes, must be entered after the two record identifiers. Additionally, benefits and effectiveness data should be included.

7.7 ADDITIONAL GUIDELINE FOR NCIC 2000 CLEAR

Following the date of clear, the recovering agency identifier, and the recovering agency case number, users are expected to enter benefits and effectiveness data. The entry of benefits data is not MFC-dependent. Therefore, any field not entered should be accounted for with a period. Additional information on benefits and effectiveness data can be found in the Introduction chapter of this manual.

SECTION 8--ENTRY OF A CONSECUTIVELY SERIALIZED GROUP OF SECURITIES

8.1 EXAMPLE OF A CONSECUTIVELY SERIALIZED GROUP OF SECURITIES ENTRY

```
1N01HEADER.ESS.MD1012600.TC.DD99888970-DD99888985.20.AMERICAN EXPRES.
SMITHSON, JEROME HENRY.525027777.P19960930.19991205.123456789.
DC1014300.1243125152.STOLEN WITH VEHICLE.Y
```

Acknowledgment:

```
1L01HEADER
MD1012600
NIC/S179633578 SER/DD99888970-DD99888985
```

8.2 MESSAGE FIELD CODES FOR SERIALIZED SECURITIES ENTRY

FIELD NAME	REQUIREMENTS	MESSAGE FIELD CODE	FIELD LENGTH	DATA TYPE
HEADER	MANDATORY	HDR	9-19	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
MESSAGE KEY	MANDATORY	MKE	3-3	ALPHABETIC
ORIGINATING AGENCY IDENTIFIER	MANDATORY	ORI	9-9	ALPHABETIC, NUMERIC
TYPE	MANDATORY	TYP	2-2	ALPHABETIC
SERIAL NUMBER	MANDATORY	SER	3-37	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
DENOMINATION	MANDATORY	DEN	1- 9	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
ISSUER	MANDATORY	ISS	1-15	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
OWNER	MANDATORY	OWN	1- 40	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
SOCIAL SECURITY NUMBER	OPTIONAL	SOC	9- 9	NUMERIC
SECURITY DATE	CONDITIONAL	SDT	4-9	ALPHABETIC, NUMERIC
DATE OF THEFT	MANDATORY	DOT	8-8	NUMERIC
ORIGINATING AGENCY CASE NUMBER	MANDATORY	OCA	1-9 1-20*	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS

LINKAGE AGENCY IDENTIFIER	OPTIONAL	LKI*	9-9	ALPHABETIC, NUMERIC
LINKAGE CASE NUMBER	OPTIONAL	LKA*	1-20	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
MISCELLANEOUS	CONDITIONAL	MIS	1-30 1-200*	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
NOTIFY ORIGINATING AGENCY	OPTIONAL	NOA*	1-1	ALPHABETIC
RANSOM MONEY INDICATOR	OPTIONAL	RMI*	1-1	ALPHABETIC

*NCIC 2000 format only

8.3 MANDATORY FIELDS FOR SERIALIZED SECURITIES ENTRY

The following fields are mandatory to cause acceptance of a consecutively serialized group of securities entry into NCIC 2000: HDR, MKE, ORI, TYP, SER, DEN, ISS, OWN, DOT, and OCA. The SDT is also mandatory if the consecutively serialized group entry is for currency.

8.4 ADDITIONAL GUIDELINES FOR SERIALIZED SECURITIES ENTRY

1. The beginning and ending serial numbers of the sequence must have a hyphen separating the two numbers for the SER Field. NCIC 2000 will accept two serial numbers containing an equal number of characters, not exceeding 18 in each number, when the numbers are separated by a hyphen, the message key code is ESS, and the consecutive sequence does not exceed a total of 100 serial numbers.

2. Serial numbers in a group entry must be numerically consecutive, and the rightmost numerics in the two numbers must establish the consecutive sequence. For example:

```
5387621-5387692          ABC6782-ABC6808
5382961-5382968          ABC67C53-ABC67C68
1235BD-1274BD            AB6782C-AB6808C
```

3. Numbers composed of alphabetic characters only cannot be used. Alphabetic characters may be present as a prefix, suffix, or intermixed with numeric characters; however, any alphabetic(s) and its position must be constant in any two numbers used to denote a sequence.

4. A consecutively serialized group of stolen securities with serial numbers having a common suffix containing the alphabetic O should not be entered. The System automatically changes the alphabetic O to the numeric 0 which will result in an alphabetic O in the suffix being incorrectly treated as the rightmost numeric character.

5. When a group of consecutively serialized securities is entered, the System automatically generates one NIC for the group record.

6. If more than 100 securities are to be entered, additional group entries must be made. Inclusion of more than 100 securities in one group entry will result in the entry being rejected. Thus, a group of stolen securities bearing serial numbers A526800-A526952 would have to be entered in two separate entries. For example:

```
1N01HEADER.ESS.MD1012600.TC.A526800-A526899.20.AMERICAN EXPRES.
MARYLAND NATIONAL BANK..BLANK.19991205.123456789...
SEE SER/A526900-A526952

1N01HEADER.ESS.MD1012600.TC.A526900-A526952.20.AMERICAN EXPRES.
MARYLAND NATIONAL BANK..BLANK. 19991205.123456789...
SEE SER/A526800-A526899
```

7. Additional information concerning entry of TYP, DEN, ISS, OWN, SOC, SDT, LKI, LKA, MIS, NOA , and RMI can be found in Section 2 of this chapter.

SECTION 9--MODIFICATION OF A CONSECUTIVELY SERIALIZED GROUP OF SECURITIES

9.1 WHEN TO USE A MODIFICATION MESSAGE

Modification of a record is restricted to the agency that entered the record. A modification message is used to add, delete, or change data in a consecutively serialized group of securities record. A consecutively serialized group of securities record cannot be modified if the record is in a located status (MKE/LOCATED SECURITIES).

9.2 EXAMPLE OF A CONSECUTIVELY SERIALIZED GROUP OF SECURITIES RECORD MODIFICATION MESSAGE

```
1N01HEADER.MSS.MD1012600.NIC/S180195026.OCA/123456789.
ISS/1ST NAT C BK NY.RMI/R
```

Acknowledgment:

```
1L01HEADER
MD1012600
MODIFY NIC/S180195026
```

The above group record modification example contains: header (1N01HEADER), message key (MSS), Originating Agency Identifier (MD1012600), two record identifiers (NIC/S180195026 and OCA/123456789), the field being modified, and the modification (ISS/1ST NAT C BK NY and RMI/R).

9.3 MESSAGE FIELD CODES FOR SERIALIZED SECURITIES MODIFICATION

FIELD NAME	REQUIREMENTS	MESSAGE FIELD CODE	FIELD LENGTH	DATA TYPE
HEADER	MANDATORY	HDR	9-19	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
MESSAGE KEY	MANDATORY	MKE	3-3	ALPHABETIC
ORIGINATING AGENCY IDENTIFIER	MANDATORY	ORI	9-9	ALPHABETIC, NUMERIC
NCIC NUMBER	CONDITIONAL	NIC	10-10	ALPHABETIC, NUMERIC
SERIAL NUMBER	CONDITIONAL	SER	3-37	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
ORIGINATING AGENCY CASE NUMBER	MANDATORY	OCA	1-9 1-20*	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
NAME OF VALIDATOR	OPTIONAL	VLN*	1-30	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
ANY FIELD(S) FROM ENTRY TRANSACTION (except SER)				

*NCIC 2000 format only

9.4 IDENTIFICATION OF A GROUP RECORD TO BE MODIFIED

The group record to be modified must be identified by NIC and OCA, in that order, or SER and OCA, in that order, preceded by the proper MFCs.

9.5 ADDITIONAL GUIDELINES FOR SERIALIZED SECURITIES MODIFICATION

1. When serial numbers are used as an identifier for a consecutively serialized group record modification, the lowest and highest of all serial numbers appearing in the existing group record, including any numbers shown in a located status, must be used. For example, if a record in file was entered with the serial numbers DD99888977-DD99888985, serial numbers DD99888979-DD99888982 are in a located status, and serial numbers DD99888977 and DD99888978 have been cleared or canceled, the serial numbers used to identify the record would be DD99888979-DD99888985.

2. Except for the HDR, MKE, and SER, all fields in a group securities record may be changed by a modification message (MKE/MSS). However, a group securities record that is in a located status (MKE/LOCATED SECURITIES) cannot be modified.

3. Serial numbers of a consecutively serialized group record cannot be changed through use of a modification message. Any error which relates to the serial numbers in the record must be corrected by canceling the existing group record and making a new entry.

4. Errors discovered subsequent to a group record entry which concern one or more, but not all, of the securities in a group record (for example, one half of a group of traveler's checks having a different issue date than the other half) cannot be corrected with a modification message. In such a case, it is necessary to cancel the original group entry and make correct entries, single or group, depending on the situation.

5. For NCIC 2000-formatted records, validation data may be included in the modification message (MKE/MSS). Additional details on modification can be found in Section 3 of this chapter.

SECTION 10--CANCELLATION OF A CONSECUTIVELY SERIALIZED GROUP OF SECURITIES

10.1 WHEN TO USE A CANCELLATION MESSAGE

1. A cancellation message is used when the record is invalid; for example, a record is determined to be the result of a theft report which proves to be fictitious or false.

2. A cancellation message must be used in place of modification message when making certain types of corrections to a group record. Additional information can be found in Section 9 of this chapter.

3. Cancellation of a record is restricted to the agency that entered the record.

10.2 EXAMPLES OF CONSECUTIVELY SERIALIZED GROUP OF SECURITIES RECORD CANCELLATION MESSAGES

Canceling All Securities in a Range:

```
1N01HEADER.XSS.MD1012600.NIC/S180195026.OCA/123456789.19991205
```

Acknowledgment:

```
1L01HEADER
MD1012600
CANCEL NIC/S180195026
```

The above cancellation example contains: header (1N01HEADER), message key (XSS), Originating Agency Identifier (MD1012600), two record identifiers (NIC/S180195026 and OCA/1234567689), and date of cancellation (19991205).

Canceling Multiple Securities in a Range:

```
1N01HEADER.XSS.MD1012600.SER/DD99888970-DD99888976.
OCA/123456789.19991205
```

Acknowledgment:

```
1L01HEADER
MD1012600
CANCEL SER/DD99888970-DD99888976
```

The above cancellation message contains: header (1N01HEADER), message key (XSS), Originating Agency Identifier (MD1012600), two record identifiers (SER/DD99888970-DD99888976 and OCA/123456789), and date of cancellation (19991205). Both serial numbers are considered as one identifier. **The SER/ represents only the securities to be canceled from the group record.**

Canceling One Security in the Range:

```
1N01HEADER.XSS.MD1012600.SER/DD99888979-DD99888979.OCA/123456789.
19991205
```

Acknowledgment:

```
1L01HEADER
MD1012600
CANCEL SER/DD99888979-DD99888979
```

This cancellation example contains: header (1N01HEADER), message key (XSS), Originating Agency Identifier (MD1012600), two record identifiers (SER/DD99888979-DD99888979 and OCA/123456789), and date of cancellation (19991205). **The SER/ represents a single security to be canceled from the group record.**

10.3 MESSAGE FIELD CODES FOR SERIALIZED SECURITIES CANCELLATION

FIELD NAME	REQUIREMENTS	MESSAGE FIELD CODE	FIELD LENGTH	DATA TYPE
HEADER	MANDATORY	HDR	9-19	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
MESSAGE KEY	MANDATORY	MKE	3-3	ALPHABETIC
ORIGINATING AGENCY IDENTIFIER	MANDATORY	ORI	9-9	ALPHABETIC, NUMERIC
NCIC NUMBER	CONDITIONAL	NIC	10-10	ALPHABETIC, NUMERIC
SERIAL NUMBER	CONDITIONAL	SER	3-37	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
ORIGINATING AGENCY CASE NUMBER	MANDATORY	OCA	1-9 1-20*	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
DATE OF CANCEL	MANDATORY	DOC	8-8	NUMERIC

*NCIC 2000 format only

10.4 IDENTIFICATION OF A GROUP RECORD TO BE CANCELED

There are three options for canceling consecutively serialized group records:

1. Canceling all securities in a group record:

    1. The group record to be canceled must have two identifiers: SER and OCA, in that order, or NIC and OCA, in that order, each preceded by the proper MFC.

2. When the SER is used, it must represent the lowest and highest serial numbers of the consecutively numbered group of items that are in an active or a located status. When breaks in the consecutive order of the serial numbers exist, separate cancel messages must be sent. Date of cancellation (DOC) must follow the two record identifiers and must be the current date or the current date minus one.

3. **It is recommended that the NIC and the OCA be used when the entire group record is to be canceled.** This procedure can be used even if there are any breaks in the consecutive order of the serial numbers. It cannot be used if the entire range is not to be canceled as it will cause all records in the range to be canceled.

2. Canceling more than one, but not all, securities in a group record:

   The group record containing securities to be canceled must be identified by the SER and the OCA, in that order, with each data element preceded by the proper MFC. The lowest and highest serial number of the consecutively numbered items being canceled must be used. When breaks in the consecutive order of the serial numbers exist, separate cancel messages must be sent. DOC must follow the two record identifiers and must be the current date or the current date minus one.

   NIC and OCA should not be used to identify the record as this will result in cancellation of the entire group record.

3. Canceling a single security in a group record:

   The group record containing a single security to be canceled must be identified by SER (serial number repeated as if it represented a range of numbers) and OCA, in that order, with each data element preceded by the proper MFC. The serial number of the consecutively numbered item being canceled must be used as the lowest and highest value. DOC must follow the two record identifiers and must be the current date or the current date minus one.

   NIC and OCA should not be used to identify the record as this will result in cancellation of the entire group record.

10.5 ADDITIONAL GUIDELINES FOR SERIALIZED SECURITIES CANCELLATION

If any number in the range specified is not present in an active or located status, the transaction will be rejected as an invalid serial number range.

No benefits and effectiveness data are collected for serialized securities.

SECTION 11--INQUIRY OF A CONSECUTIVELY SERIALIZED GROUP OF SECURITIES RECORD

11.1 EXAMPLE OF AN INQUIRY WITH A GROUP RECORD RESPONSE

An inquiry on a security may result in a single record positive response or a group record positive response.

Only one serial number may be included in the SER of an inquiry of the Securities File. For example:

```
1N01HEADER.QS.WA1230000.TYP/TC.SER/DD99888977.DEN/20.
ISS/AMERICAN EXPRES.RSH/Y
```

The following is a typical response which illustrates the format of an active group record in which some of the securities have been located, cleared, or canceled prior to the inquiry.

```
1L01HEADER
WA1230000

MKE/STOLEN SECURITIES
ORI/MD1012600 TYP/TC DEN/20 ISS/AMERICAN EXPRES
OWN/SMITHSON,JEROME HENRY SOC/525027777 SDT/P19930831 DOT/19991205
OCA/123456789
NIC/S179633578 DTE/19991207 1201 EST
ORI IS ANY CITY PD MD 301 555-1234
SER/DD99888977-DD99888978
    DD99888982-DD99888983
MKE/LOCATED SECURITIES 20000120 NB1977700 9462
SER/DD99888980-DD99888980
MKE/LOCATED SECURITIES 20000120 NB1977700 9462
SER/DD99888984-DD99888985
IMMED CONFIRM RECORD WITH ORI
```

The lowest and highest serial numbers of the securities originally entered in the example record above were SER/DD99888977-DD99888985. Since the entry of this record, some of the securities of the group originally entered have been located (SER/DD99888980 and SER/DD99888984-DD99888985) and cleared or canceled (DD99888979 and DD99888981) prior to the time of the inquiry.

11.2 ADDITIONAL GUIDELINES FOR INTERPRETING A GROUP RECORD RESPONSE

1. Additional information concerning requirement for inquiry can be found in Section 5 of this chapter.

2. An inquiry on a serial number contained in a group record (whether it is the first, last, or a number in between) will reveal the complete group record on file.

3. The serial numbers follow the TYP as in a single security record but follow the ORI translation line.

4. The NIC is printed after the main body of the record just above the ORI translation line.

5. Located securities of the group originally entered are identified by MKE/LOCATED SECURITIES, date of location, locating agency's identifier, locating agency's case number, and serial number(s).

6. Canceled and cleared securities are not listed.

7. Upon receipt of a locate message indicating all or the remaining unrecovered item(s) in the active group record have been located, the message key translation STOLEN SECURITIES will be changed automatically to LOCATED SECURITIES.

SECTION 12--LOCATE MESSAGE FOR A CONSECUTIVELY SERIALIZED GROUP OF SECURITIES RECORD

12.1 WHEN TO USE A LOCATE

Any agency, except the agency that entered the record, that recovers a security indexed in NCIC 2000 must place a locate message on the security record. When an agency receives a record or multiple records in response to an inquiry, the agency that can seize the stolen security must contact the ORI of each record possibly identical with the security in question to confirm the hit. Following confirmation with the originating agency, a locate message must be transmitted for each record on file for the security. Once a consecutively serialized group record has had a locate placed on it, it cannot be modified.

12.2 EXAMPLES OF CONSECUTIVELY SERIALIZED GROUP OF SECURITIES LOCATE MESSAGES

Locating All Securities in a Range:

```
1N01HEADER.LSS.WA1230000.NIC/S179633578.OCA/123456789.
19991205.9462
```

Acknowledgment:

```
1L01HEADER
WA1230000
LOCATE NIC/S179633578
```

The above locate message example contains: header (1N01HEADER), message key (LSS), recovering agency identifier (WA1230000), two record identifiers (NIC/S179633578 and OCA/123456789), date of recovery (19991205), and recovering agency case number (9462).

Locating Multiple Securities in a Range:

```
1N01HEADER.LSS.NB1977700.SER/DD99888984-DD99888989.OCA/123456789.
19991205.9462
```

Acknowledgment:

```
1L01HEADER
NB1977700
LOCATE SER/DD99888984-DD99888989
```

The above locate message example contains: header (1N01HEADER), message key (LSS), recovering agency's identifier (NB1977700), two record identifiers (SER/DD99888984-DD99888989 and OCA/123456789), date of recovery (19991205), and the recovering agency's case number (9462). **The SER/ represents the securities from the group record to be located**.

Locating One Security in a Range:

```
1N01HEADER.LSS.NB1977700.SER/DD99888980-DD99888980.
OCA/123456789.19991205.9462
```

Acknowledgment:

```
1L01HEADER
NB1977700
LOCATE SER/DD99888980-DD99888980
```

The above locate message example contains: header (1N01HEADER), message key (LSS), recovering agency identifier (NB1977700), two record identifiers (SER/DD99888980-DD99888980 and OCA/123456789), date of recovery (19991205), and the recovering agency case number (9462). **The SER/ represents a single security from the group record to be located.**

12.3 MESSAGE FIELD CODES FOR SERIALIZED SECURITIES LOCATE

FIELD NAME	REQUIREMENTS	MESSAGE FIELD CODE	FIELD LENGTH	DATA TYPE
HEADER	MANDATORY	HDR	9-19	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
MESSAGE KEY	MANDATORY	MKE	3-3	ALPHABETIC
ORIGINATING AGENCY IDENTIFIER	MANDATORY	ORI	9-9	ALPHABETIC, NUMERIC
NCIC NUMBER	CONDITIONAL	NIC	10-10	ALPHABETIC, NUMERIC
SERIAL NUMBER	CONDITIONAL	SER	3-37	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
ORIGINATING AGENCY CASE NUMBER	MANDATORY	OCA	1-9 1-20*	ALPHABETIC, NUMERIC SPECIAL CHARACTERS
DATE OF RECOVERY	MANDATORY	DOR	8-8	NUMERIC
RECOVERING AGENCY CASE NUMBER	OPTIONAL	RCA	1-9 1-20*	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS

*NCIC 2000 format only

12.4 IDENTIFICATION OF A GROUP RECORD FOR LOCATE

There are three options for locating consecutively serialized group records:

1. Recovery of all securities in a group record:

1. The group record to be located requires two identifiers, SER and OCA, in that order, or NIC and OCA, in that order, preceded by the proper MFC.

2. When using SER, it must represent the lowest and highest serial numbers of the consecutively numbered group of recovered items. When breaks in the consecutive order of the serial numbers exist, separate messages must be sent.

3. **It is recommended that NIC and OCA be used when the entire group record is to be located.** This procedure can be used even if there are breaks in the consecutive order of the serial numbers. The OCA used as an identifier is the OCA of the agency that entered the record. This OCA is contained in the NCIC 2000 response to the recovering agency inquiry.

2. Recovery of more than one, but not all, securities in a group record:

   The group record containing securities to be located must be identified by SER and OCA, in that order, with each data element preceded by the proper MFC. The lowest and highest serial numbers of the recovered consecutively numbered items must be used. When breaks in the consecutive order of the serial numbers exist, separate locate messages must be sent.

   NIC and OCA should not be used to identify the record as this will result in the locate message applying to all securities in the group record.

3. Recovery of a single security in a group record:

   The group record containing the security to be located must be identified by SER (serial number repeated as if it represented a range of numbers) and OCA, in that order, with each data element preceded by the proper MFC.

   NIC and OCA should not be used to identify the record as this will result in the locate message applying to all securities in the group record.

12.5 ADDITIONAL GUIDELINES FOR SERIALIZED SECURITIES LOCATE

1. Following the two record identifiers, the date of recovery and recovering agency case number are entered without field codes. The date of recovery (which cannot be prior to the date of theft) must be entered or the locate message will be rejected.

2. If any number in the range specified is not present in an active or located status, the transaction will be rejected as an invalid serial number range.

3. Benefits and effectiveness data are not collected for located serialized securities.

SECTION 13--CLEAR MESSAGE FOR A CONSECUTIVELY SERIALIZED GROUP OF SECURITIES RECORD

13.1 WHEN TO USE A CLEAR MESSAGE

1. Clearance of a record is restricted to the agency that entered the record. A clear message is transmitted under one of the following conditions:

    1. When the agency recovering the security(s) is the agency that entered the record.

    2. When the agency that entered the record is officially advised that the security has been recovered by another agency.

2. More than one clear message must be sent if the same recovery information is not applicable to all securities being cleared in a group record. This ensures that recovery information for each security will be accurate. For example, if one of three stolen securities was recovered by an agency other than the originating agency on December 2, 1996, and the other two securities were recovered by the originating agency on December 3, 1996, two clear messages must be sent.

3. Upon receipt of a clear or cancel message which indicates all or the remaining unrecovered item(s) in the active group record have been accounted for, the group record will be retired.

13.2 EXAMPLES OF CONSECUTIVELY SERIALIZED SECURITIES GROUP RECORD CLEAR MESSAGES

Clearing All Securities in a Range:

```
1N01HEADER.CSS.MD1012600.NIC/S179633578.OCA/123456789.19991205.
NB1977700.9462
```

Acknowledgment:

```
1L01HEADER
MD1012600
CLEAR NIC/S179633578
```

The above clear example contains: header (1N01HEADER), message key (CSS), Originating Agency Identifier (MD1012600), two record identifiers (NIC/S179633578 and OCA/123456789), date of clear (19991205), recovering agency identifier (NB1977700), and recovering agency case number (9462).

Clearing Multiple Securities in a Range:

```
1N01HEADER.CSS.MD1012600.SER/DD99888984-DD99888988.OCA/123456789.
19991205.NB1977700.9462
```

Acknowledgment:

```
1L01HEADER
MD1012600
CLEAR SER/DD99888984-DD99888988
```

The above example contains: header (1N01HEADER), message key (CSS), Originating Agency Identifier (MD1012600), two record identifiers (SER/DD99888984-DD99888988 and OCA/123456789), date of clear (19991205), recovering agency identifier (NB1977700), and recovering agency case number (9462). **The SER/ represents only the securities from the group record to be cleared.**

Clearing One Security in a Range:

```
1N01HEADER.CSS.MD1012600.SER/DD99888980-D99888980.
OCA/123456789.19991205.NB1977700.946253423453621
```

Acknowledgment:

```
1L01HEADER
MD1012600
CLEAR SER/DD99888980-DD99888980
```

The above example contains: Header (1N01HEADER), message key (CSS), Originating Agency Identifier (MD1012600), two record identifiers (SER/DD99888980- DD99888980 and OCA/123456789), date of clear (19991205), recovering agency identifier (NB1977700), and recovering agency case number (946253423453621). **The SER/ represents a single security from the group record to be cleared.**

13.3 MESSAGE FIELD CODES FOR SERIALIZED SECURITIES CLEAR

FIELD NAME	REQUIREMENTS	MESSAGE FIELD CODE	FIELD LENGTH	DATA TYPE
HEADER	MANDATORY	HDR	9-19	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
MESSAGE KEY	MANDATORY	MKE	3-3	ALPHABETIC
ORIGINATING AGENCY IDENTIFIER	MANDATORY	ORI	9-9	ALPHABETIC, NUMERIC
NCIC NUMBER	CONDITIONAL	NIC	10-10	ALPHABETIC, NUMERIC
SERIAL NUMBER	CONDITIONAL	SER	3-37	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS

ORIGINATING AGENCY CASE NUMBER	MANDATORY	OCA	1-9 1-20*	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS
DATE OF CLEAR	MANDATORY	DCL	8-8	NUMERIC
RECOVERING AGENCY IDENTIFIER	OPTIONAL	RRI	9-9	ALPHABETIC, NUMERIC
RECOVERING AGENCY CASE NUMBER	OPTIONAL	RCA	1-9 1-20*	ALPHABETIC, NUMERIC, SPECIAL CHARACTERS

* NCIC 2000 format only

13.4 IDENTIFICATION OF A GROUP RECORD TO BE CLEARED

There are three options for clearing consecutively serialized group records:

1. Clearing all securities in a group record:

    1. The group record to be cleared must be identified by two identifiers, SER and OCA, in that order or NIC and OCA, in that order, preceded by the proper MFC.

    2. When SER is used, it must represent the lowest and highest serial numbers of the consecutively numbered group of items that are in an active or located status. When breaks in the consecutive order of the serial numbers exist, separate clear messages must be sent.

    3. **It is recommended that NIC and OCA be used when the entire group is to be cleared.** This procedure can be used even if there are breaks in the consecutive order of the serial numbers.

2. Clearing more than one, but not all, securities in a group record:

    1. The group record containing securities to be cleared must be identified by SER and OCA, in that order, with each data element preceded by the proper MFC. The lowest and highest serial numbers of the consecutively numbered items being cleared must be used. When breaks in the consecutive order of the serial numbers exist, separate clear messages must be sent.

    2. NIC and OCA should not be used to identify the record as this will result in the clear message applying to all securities in the group record.

3. Clearing a single security in a group record:

    1. The group record containing the security to be cleared must be identified by SER (serial number repeated as if it represented a range of numbers) and

OCA, in that order, with each data element preceded by the proper MFC. The OCA used as an identifier is the OCA of the entering agency.

2. **NIC and OCA should not be used to identify the record as this will result in the clear message applying to all securities in the group record.**

13.5 CLEAR PROCEDURES IF SECURITIES ARE RECOVERED BY ENTERING AGENCY

If the agency that entered the record recovers the securities, only the date of clear (which cannot be prior to the date of theft) must be entered following the two record identifiers.

13.6 CLEAR PROCEDURES IF SECURITIES ARE RECOVERED BY AGENCY OTHER THAN ORI OF THE RECORD

If an agency other than the ORI of the record recovers the securities,the following procedures must be used:

1. If the record being cleared is in a located status (MKE/LOCATED SECURITIES), only the date of clear must be entered following the two record identifiers.

2. If the record being cleared is in an active status (MKE/STOLEN SECURITIES), the date of clear followed by the locating agency identifier and the locating agency case number, in that order, without field codes, must be entered after the two record identifiers.

13.7 ADDITIONAL GUIDELINES FOR SERIALIZED SECURITIES CLEAR

If any number in the range specified is not present in an active or located status, the transaction will be rejected as an invalid serial number range.

Benefits and effectiveness data are not collected for cleared serialized securities.