



Asset Services

CDWC

FEBRUARY 05, 2024

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CDWC

Introduction

Overview

The Deposit/Withdrawal at Custodian Function for Custodians (CDWC) is an on-line facility allowing DTC custodians to approve or cancel deposit and withdrawal instructions that were submitted by participants with respect to securities (e.g., unit investment trusts) evidenced by a balance certificate registered in the name of DTC's nominee, Cede & Co., and held for DTC by a DTC custodian. The custodian can also inquire about instructions that were previously entered. Upon approval of a transaction, the custodian will update DTC's balance on the custodian's books accordingly.

In approving a participant's deposit instruction, the custodian attests to the existence of the securities that are the subject of the participant's instruction and certifies that it or (if the custodian is not the transfer agent or registrar for the issue) the transfer agent or registrar, has registered the transfer of those securities in the name of Cede & Co. in accordance with the (Balance) Certificate Agreement between itself, the transfer agent or registrar (where applicable), and DTC.

The custodian will use CDWC to either approve or cancel each deposit or withdrawal instruction submitted by a participant on the day such instruction is submitted, or, if the participant has opted for the 72-hour deposit pend option now offered by DTC, three business days (including the deposit date). If the custodian uses CDWC on that day to approve such instruction, the custodian will on that day increase or decrease DTC's balance on the custodian's books accordingly. If the custodian uses CDWC to cancel such instruction, or fails to use CDWC to either approve or cancel such instruction, the custodian will not increase or decrease DTC's balance on the custodian's books with respect to such instruction.

Participants have the option of selecting a 72-hour pend period for all deposits, which gives custodians up to three business days (including the deposit date) to either approve or cancel the transaction before it drops off the system. This option saves participants the trouble of having to resubmit a deposit if a custodian takes no action within three days, and reduces the number of deposit instructions received by the custodian.

Note

- The 72-hour pend option cannot be used selectively on a deposit-by-deposit or on a CUSIP- by-CUSIP basis. The participant must activate the 72-hour pend feature either for all or none of its transactions.

Legal Considerations

The DTC custodian's approval via CDWC of a participant's deposit or withdrawal instruction shall constitute the custodian's statement that it has increased or decreased on its books the quantity of securities evidenced by the balance certificate in the custodian's custody on that day.

Therefore, the custodian's approval of the participant's deposit or withdrawal instruction shall be deemed to be *the receipt by DTC of a new, reissued or registered certificated security on registration of transfer* to the name of Cede & Co. for the quantity of securities evidenced by the balance certificate after the participant's deposit or withdrawal instruction is affected. custodians should bear in mind the finality of the CDWC approval when designing their CDWC procedures and completing any PTS Update Request form.

When to Use

If you are a custodian, use CDWC to approve or cancel any deposit or withdrawal transactions entered by participants on either the current business day or within three days (including the deposit date at DTC) if the 72-hour pend option is used by the participant.

CDWC is available on business days from 12:00 a.m. (midnight) to 5:30 p.m. eastern time.

Associated Products

CDWC is used in association with the Deposit/Withdrawal at Custodian (DWAC) product offered by DTC's Deposits and Withdrawal services.

List of Procedures:

Approving or Cancelling Deposits or Withdrawals

Use the following procedure to approve or cancel deposit or withdrawal transactions entered by a specific participant.

1. Type CDWC on the Enter Function screen and press ENTER.
Result- The Main Menu appears.
2. Type your custodian number in the **Cust Num** field.
3. Type 1 in the **Option field**.
4. *Optional.* To list deposits or withdrawals only, type D or W in the **Type** field.
5. *Optional.* To list transactions for a specific security, type the CUSIP number in the **CUSIP** field.
6. Press ENTER.

Result- The Approval/Cancellation screen appears.

7. Type one of the following in the **A/C** field to the left of the desired transaction:
 - A: To approve the transaction
 - C: To cancel the transaction.

Note

- If you cancel a transaction, you must enter a reason in the **Comment** field and type identifying information in the **Cust Contact Name** and **Phone** fields.

8. Press PF1/13 to confirm the entry, then press PF1/13 again to transmit.
Result- The message 'Records updated' appears and a Deposit/Withdrawal at Custodian ticket prints on your designated PTS printer.

Viewing Deposit and Withdrawal Transactions

Use the following procedure to view past or current deposit and withdrawal transactions.

1. Type CDWC on the Enter Function screen and press ENTER.
Result- The Main Menu appears.
2. Type your custodian number in the **Cust Num** field.
3. Type 2 in the **Option field**.
4. *Optional.* To limit the resulting display, enter values in the following fields:
 - **Type:** Type D or W to list deposits or withdrawals only
 - **CUSIP:** Type a valid nine-digit CUSIP number to list transactions for a specific security
 - **Date:** Type the date in **mmdccyy** format to list transactions that were entered on the previous business day

Field Descriptions

This field	Allows you to
A/C	Type one of the following for a listed transaction: <ul style="list-style-type: none"> • A: To approve the transaction • C: To cancel the transaction.
Part	View the entering participant's number.
Participant Name	View the entering participant's name.
Last Pend Date	View the last business day that the transaction will remain in the DTC system if no action is taken by the custodian.
Type	View whether the transaction is a deposit (D) or withdrawal (W).
CUSIP	View the CUSIP number of the security involved in the transaction.
Quantity	View the number of shares involved in the transaction.
Part Contact Name	View the name of the participant contact who entered the instructions. Note - This person's comments regarding the transaction, if any, appear below this field.
Phone	View the phone number of the participant contact who entered the transaction.
Ext	View the extension number of the participant contact who entered the transaction. Optional.
Cust Contact Name	Type your name when cancelling the transaction. Note - You must type comments regarding this transaction in the unmarked entry area below this field.
Phone	Type your 10-digit phone number when cancelling.
Ext	Type your phone extension when cancelling. Optional.
Reference ID	View the reference ID code created by the participant for tracking purposes.

Function Keys

In addition to the standard function keys described in Using the Standard Function Keys, you can press PF4/16 on the Approval/Cancellation screen to access the first page of the display.

This field	Displays
Part Contact Name	The name of the participant contact who entered the instructions. <i>Note</i> - The participant contact's comments regarding the transaction, if any, appear below this field.
Phone	The phone number of the participant contact who entered the transaction.
Ext	The extension number of the participant contact who entered the transaction.
Cust Contact Name	The custodian contact who cancelled the transaction. <i>Note</i> - Custodian comments regarding this transaction appear in the unmarked entry area below this field.
Phone	The custodian contact's phone number.
Ext	The custodian contact's phone extension.

Function Keys

In addition to the standard function keys described in Using the Standard Function Keys, the following are available on the Custodian Inquiry screen:

This key	Allows you to
PF3/15	View the last pend date at DTC, reference ID, participant contact name and number, custodian contact name and number, and comments about a selected item, if any were entered.
PF4/16	Access the first page of the display.

Main Menu

The Main Menu allows you to enter your custodian number and select the desired option. You can also elect to list only deposits or only withdrawals, and you can specify a CUSIP to list only transactions involving a specific security.

Sample Screen

```

QAAO                                THE DEPOSITORY TRUST COMPANY                MM/DD/YY
00002199-99                         DEPOSIT/WITHDRAWAL AT CUSTODIAN        HH:MM:SS
                                     MAIN MENU

CUST NUM :                               <==REQUIRED
OPTION   :                               <==REQUIRED
TYPE     :
CUSIP    :
DATE     :
DAY/NITE :
STATUS   :

      1. APPROVAL/CANCELLATION
      2. INQUIRY

SELECT DESIRED OPTIION, THEN PRESS ENTER

(TYPE: D = DEPOSIT, W = WITHDRAWAL)
(DAY/NITE: D = DAY, N = NIGHT, C = CCF, BLANK = ALL)
(STATUS: A=APPROVE, C=CANCEL, P=PEND, N=NO ACTION, BLANK = ALL, O=OTHER)

PF8/20 END FUNCTION    PF9/21 SIGN OFF

```

Field Descriptions

This field	Allows you to
Cust Num	Enter your custodian number, up to eight digits.
Option	Enter one of the following: <ul style="list-style-type: none"> • 1: To approve or cancel transactions • 2: To view a list of transactions
Type	Enter one of the following to specify the type of transactions you want to list: <ul style="list-style-type: none"> • D: To list deposits only • W: To list withdrawals only. <i>Optional.</i> If left blank, both deposits and withdrawals are displayed.
CUSIP	Limit the resulting display to transactions involving a specific security. Enter a valid nine-digit CUSIP number. <p><i>Optional.</i></p>
Date	Limit the resulting display to transactions entered on the previous business day. Enter the date in mmddccyy format. <p><i>Optional</i> for inquiries (option 2) only; leave blank for approvals and cancellations.</p>

This field	Allows you to
Day/Nite	<p>Enter one of the following:</p> <ul style="list-style-type: none"> • D: To list transactions entered via the PDWC function (current day transactions) • N: To list transactions entered via the NDWP function (transactions entered for next day processing) • C: To list transactions entered via CCF. Optional for inquiries (option 2) only; leave blank for approvals and cancellations.
Status	<p>Specify the type of transactions you want to see for inquiries (option 2) only; leave blank for approvals and cancellations. Enter one of the following:</p> <ul style="list-style-type: none"> • A: To list transactions approved by the custodian • C: To list transactions canceled by the custodian • P: To list transactions pending approval or cancellation • N: To list transactions on which the custodian took no action and that subsequently dropped off the system • O: To list other kinds of transactions, such as recycled items, items rejected by ATP, and so forth. • Blank: To list all transactions. <p><i>Optional default: Blank.</i></p>

Messages

You may encounter the following messages when using the CDWC function. Messages are listed in alphabetical order, along with an explanation and suggested resolution for each.

Message Text	Possible Cause	Suggested Resolution
ALREADY ON FIRST PAGE	PF4/16 was pressed to access the first page of data, but the first page is already displayed.	Information only; no action required.
ALREADY ON LAST PAGE	PF11/23 was pressed to scroll forward, but the last page of data has been reached.	Information only; no action required.
ALREADY UPDATED; CLEAR KEY WILL RESET	An attempt was made to update, but update has already occurred for the displayed transactions.	Press CLEAR (on PC keyboards, press Pause/Break) . This redisplay the outstanding transactions that have not been updated since the last time PF1/13 was pressed. For example, if you have 40 transactions and have updated 15, and want to display the 25 outstanding transactions without returning to the Main Menu, press CLEAR and only the 25 outstanding transactions are displayed.
AREA CODE IS INVALID	The Phone field contains a non-numeric value.	Correct the error.
AREA CODE IS REQUIRED	The Phone field is missing your area code.	Type your area code in the field.
CONTACT NAME IS MISSING	The Cust Contact Name field is blank.	Type your name in the field.

Message Text	Possible Cause	Suggested Resolution
CUSIP NOT ELIGIBLE FOR FUNCTION	The specified CUSIP is not eligible for CDWC processing.	Try a different CUSIP.
CUSIP NUMBER IS INVALID	An invalid CUSIP number was entered.	Enter a valid nine-digit CUSIP number.
EXCHANGE IS INVALID	The first 3 digits of your phone number in the Phone field contain a non-numeric value.	Type the correct numbers in the field.
EXCHANGE IS REQUIRED	The first 3 digits of your phone number were not entered in the Phone field.	Type the correct digits in the field.
EXTENSION IS INVALID	The Ext field contains a non-numeric value.	Type in a numeric value in the field.
INTERNAL DATABASE ERROR NOTIFY NETWORK OPERATIONS	A system error has occurred.	Visit DTC's Customer Support Center
INVALID	The value in the indicated field is invalid.	Enter a valid value.
INVALID KEY HIT	An invalid key was pressed.	Press one of the valid PF keys listed at the bottom of the screen.
MUST BE BLANK	A value was entered in the indicated field, but this field should be left blank for the selected option.	Delete the value.
NO DATA AVAILABLE FOR THIS REQUEST	No data is available for the specified criteria.	Enter different values.
NO DATA ENTERED	An PF key was pressed, but nothing was entered on the current screen.	Enter the appropriate information, then press the PF key.
NOT NUMERIC	Non-numeric data was entered in the indicated field.	Enter a numeric value.
PAGE REQUESTED PAST LAST PAGE	PF11/23 was pressed to scroll forward, but the last page of data has been reached.	Information only; no action required.
PAST CUTOFF TIME FOR OPTION 1	An attempt was made to select option 1, but the cutoff time has been reached for approvals and cancellations.	See When to Use for information about the cutoff times for this option.
PHONE NUMBER IS INVALID	The Phone field contains a non-numeric value.	Type an all-numeric 10-digit phone number in the field.
PHONE NUMBER IS REQUIRED	The Phone field is blank.	Type a 10-digit phone number in the field.
REQUIRED	The indicated field was left blank; entry is required.	Enter the applicable value.

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Asset Services

CERR

FEBRUARY 06, 2024

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CERR

Introduction

Overview

The Certificate of Deposit Early Redemption Request (CERR) function allows you to process Certificate of Deposit (CD) redemption instructions and to view payout information. You can:

- Enter new exempt instructions. This allows you to submit instructions to redeem a CD due to death or incompetence (exempt from interest penalties).
- Enter new non-exempt instructions. This allows you to submit instructions to redeem a CD neither from death nor incompetence (subject to interest penalties).
- View a summary list of all CD Redemptions. This allows you to view active issues that are pending payment and to review issues that have been previously redeemed.

When to Use

Use CERR when you want to inquire about CD early redemption announcements or allocations, or to enter requests for early redemption of CDs, either exempt or non-exempt.

CERR is available on business days from 8:00 a.m. to 2:30 p.m. eastern time for you to enter CD redemption instructions and all day for inquiries.

Associated Products

CERR is used in association with the following Reorganization products:

- Announcements
- Allocations
- CD Early Redemptions

List of Procedures:

Entering Instructions for Exempt Issues

Use the following procedure to enter Voluntary Offering Instructions (VOIs) for issues that are exempt from interest and penalties.

1. Type REOG on the Enter Function screen and press ENTER.
Result- The Reorg Selection Menu appears.
2. In the **Enter** Option field, type the number that appears to the left of the CERR function. Type a CUSIP number in the **CUSIP** field (optional), then press ENTER.
Result- The CD Early Redemption Request Menu appears.

Note

- Group users can also enter a participant number in the **Participant** field (optional).

3. Type 1 in the Option field, type the CUSIP number in the **CD CUSIP** field, then press ENTER.
Result- The Exempt version of the CD Early Redemption VOI Submission screen appears.
4. Type the applicable information in the entry fields provided and press ENTER.
Result- The message 'Press PF2/14 to continue' appears.
5. Press PF2/14.
Result- The Exempt CD Early Redemption Comments screen appears.
6. Type the applicable information in the entry fields provided and press ENTER.
Result- The message 'Enter successful-Press PF1/13 to confirm, PF5/17 to cancel' appears.
7. Press PF1/13.
Result- A message appears to inform you that the VOI was successfully submitted. See Usage Notes for important information about the status of your VOI.

Usage Notes

The following notes apply to the status of a VOI for an exempt issue:

- The status of the VOI depends on your ATP position, RTOP release requirements, and certification that the proper paperwork is on file.
- *For Non- RTOP Participants who have the proper documentation (option D)*, the VOI is created with the status of "MADE" as long as you have sufficient ATP position. If you do not have enough position to cover the instruction, the VOI is rejected and deleted from the system.
- *For Non- RTOP Participants who do not have the proper documentation (option E)*, the VOI is created with the status of "Waiting for Paperwork." This is updated to "Made" after DTC's Reorganization department releases the instruction through the CERR Release function.
- *For RTOP Participants who have the proper documentation (option D)*, the VOI is created with the status of "Pending RTOP Release." After you release the VOI via RTOP, the status is updated to "Made" if you have sufficient position.
- *For RTOP Participants who do not have the proper documentation (option E)*, the VOI is created with the status of "Pending RTOP Release." After you release the VOI via RTOP, the status is updated to "Waiting for Paperwork." This is updated to "Made" after DTC's Reorganization department releases the instruction through the CERR Release function if you have sufficient position.

Entering Instructions for Non-Exempt Issues

Use the following procedure to enter Voluntary Offering Instructions (VOIs) for issues that are subject to interest and penalties.

1. Type REOG on the Enter Function screen and press ENTER.
Result- The Reorg Selection Menu appears.
2. In the **Enter** Option field, type the number that appears to the left of the CERR function. Type a CUSIP number in the **CUSIP** field (optional), then press ENTER.
Result- The CD Early Redemption Request Menu appears.

Note

- Group users can also enter a participant number in the **Participant** field (optional).

3. Type 2 in the Option field, type the CUSIP number in the **CD CUSIP** field, then press ENTER.
Result- The Non-Exempt version of the CD Early Redemption VOI Submission screen appears.

4. Type the applicable information in the entry fields provided and press ENTER.
Result- The message 'Press PF2/14 to continue' appears.
5. Press PF2/14.
Result- The Non-Exempt CD Early Redemption Comments screen appears.
6. Type the applicable information in the entry fields provided and press ENTER.
Result- The message 'Press PF1/13 to confirm, PF5/17 to cancel' appears.
7. Press PF1/13.
Result- A message appears to inform you that the VOI was successfully submitted. See Usage Notes for important information about the status of your VOI.

Usage Notes

The following notes apply to the status of the VOI for a non-exempt issue:

- The status of the VOI depends on your ATP position and/or RTOP release requirements.
- *For Non- RTOP Participants*, the VOI status is "Made" as long as you have sufficient ATP position. If you do not have enough position to cover the instruction, the VOI is rejected and deleted from the system.
- *For RTOP Participants*, the VOI is created with the status of "Pending RTOP Release. " After you release the VOI via RTOP, the status will be updated to "Made" if you have sufficient position.

Viewing and Submitting Unpaid Active Items

Use the following procedure to view a list of active items that were entered but not submitted, and (optionally) to select and submit unpaid active VOIs.

1. Type REOG on the Enter Function screen and press ENTER.
Result- The Reorg Selection Menu appears.
2. In the **Enter** Option field, type the number that appears to the left of the CERR function. Type a CUSIP number in the **CUSIP** field (optional), then press ENTER.
Result- The CD Early Redemption Request Menu appears.

Note

- Group users can also enter a participant number in the **Participant** field (*optional*).

3. Type 3 in the Option field, type the CUSIP number in the CD CUSIP field (optional), then press ENTER.
Result- The Unpaid CD Early Redemption CUSIP List appears.

Note

- Make sure the default of N appears in the **Historical** field.

4. Optional. Position your cursor to the left of the desired item, type X in the **CMD** field, then press ENTER.
Result- The Unpaid CD Early Redemption VOI List appears, displaying the VOIs that are pending payment for the selected issue.
5. Type X in the **CMD** field and press ENTER.
Result- The Exempt or Non-Exempt CD Early Redemption VOI Submission screen appears, depending on the selected issue.

6. Follow Steps 4 through 7 of one of the following procedures to complete the submission:
 - Entering Instructions for Exempt Issues
 - Entering Instructions for Non-Exempt Issues.

Note

- See the *Usage Notes* following the applicable procedure for important information about the status of your VOI.

Viewing Previously Submitted Instructions

Use the following procedure to view a list of issues that were previously redeemed (up to two years), and to view the submitted instruction details for a specific issue.

1. Type REOG on the Enter Function screen and press ENTER.
Result- The Reorg Selection Menu appears.
2. In the **Enter** Option field, type the number that appears to the left of the CERR function. Type a CUSIP number in the **CUSIP** field (*optional*), then press ENTER.

Result- The CD Early Redemption Request Menu appears.

Note

- Group users can also enter a participant number in the **Participant** field (*optional*).

3. Type:
 - 3 in the **Option field**
 - **The CUSIP number in the CD CUSIP field (*optional*)**
 - **Y in the Historical field.**

4. Press ENTER.

Result- The Paid CD Early Redemption CUSIP List appears.

Note

- If you entered a CUSIP number on the menu, the list begins with that issue. To find a specific issue, enter the CUSIP number in the **Skip to CUSIP** field.

5. *Optional.* Position your cursor to the left of the desired item, type X in the **CMD** field, then press ENTER.

Result- The Paid CD Early Redemption VOI List appears, displaying the VOIs for the selected issue.

Note

- To find a specific instruction, enter the VOI number in the **Skip to VOI** field. To list issues beginning with a specific date, enter the date in the **Skip to Date** field in *yymmdd* format.

6. *Optional.* To view instruction details, type X in the **CMD** field and press ENTER.

Result- The Exempt or Non-Exempt version of the CD Early Redemption VOI Submission Inquiry screen appears, depending on the selected issue.

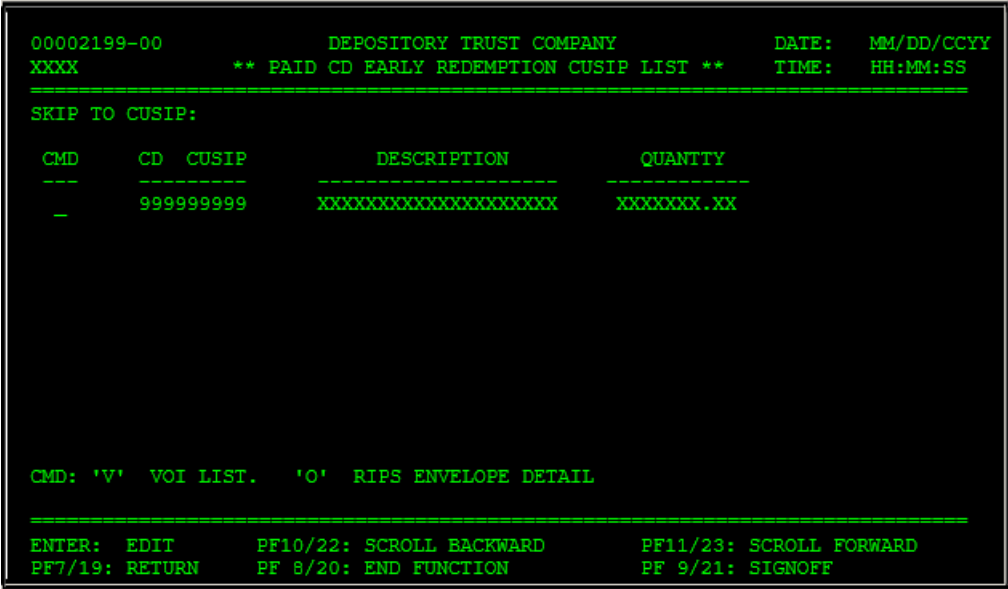
List of Screens:

CD Early Redemption CUSIP List

The CD Early Redemption CUSIP List appears when you choose option 3 on the CD Early Redemption Request Menu and displays a list of all paid or unpaid transactions for the selected issue.

If you enter N in the **Historical** field on the CD Early Redemption Request Menu, the Unpaid version appears. If you enter Y, the Paid version appears. Both versions have the same fields and function keys. The following is a sample of the Paid version.

Sample Screen



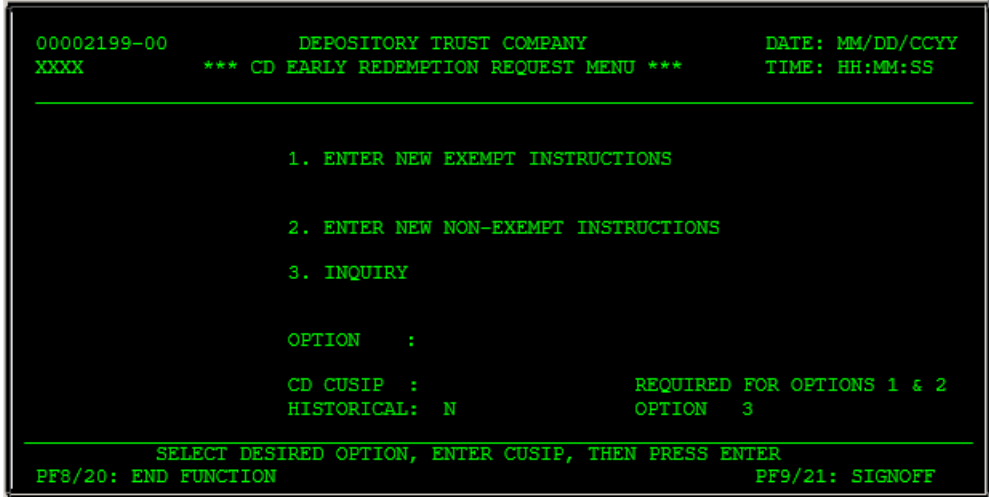
Field Descriptions

This field	Displays
Menu Bar	An access bar that allows you to return to the service menu, access help for this screen, or access related functions, if listed. Click below the desired option and press ENTER. Note - If you do not use a mouse, press HOME, press TAB until your cursor is below the desired option, then press ENTER.
Skip To CUSIP	An entry field that allows you to begin the list with a specific CUSIP. Enter a full or partial CUSIP number.
CMD	An entry field that allows you to select an item to view submission details. Enter an X to access the CD Early Redemption VOI List.
CD CUSIP	The CUSIP number of the selected security.
Description	A brief description of the selected security.
Total Quantity	The sum of all VOI quantities.

CD Early Redemption Request Menu

The CD Early Redemption Request Menu allows you to select the type of CD Early Redemption activity you want to perform.

Sample Screen



Field Descriptions

This field	Allows you to
Menu Bar	Return to the service menu, access help for this screen, or access related functions, if listed. Click below the desired option and press ENTER. <i>Note</i> - If you do not use a mouse, press HOME, press TAB until your cursor is below the desired option, then press ENTER.
Option	Specify the type of activity you want to perform.
CD CUSIP	Enter the CUSIP number of the security for which you want to enter exempt or non-exempt instructions. Required for options 1 and 2.
Historical	Enter N to view unpaid active items or Y to view paid inactive items. Required for option 3. Default: N.

CD Early Redemption VOI Submission Inquiry Screen

The Exempt or Non-Exempt version of CD Early Redemption VOI Submission Inquiry screen appears when you choose an item on the Paid CD Early Redemption VOI List or the Unpaid CD Early Redemption VOI List and displays the details of the selected VOI.

This screen contains the same fields and function keys as the CD Early Redemption VOI Submission screen, except that this inquiry version is view-only; you cannot submit the instruction.

CD Early Redemption VOI Submission Screen

There are two versions of the CD Early Redemption VOI Submission screen:

- The Exempt version appears when you choose option 1 on the CD Early Redemption Request Menu, and allows you to submit instructions to redeem a CD due to death or incompetence (exempt from interest penalties)
- The Non-Exempt version appears when you choose option 2 on the CD Early Redemption Request Menu and allows you to submit instructions to redeem a CD that is subject to interest or penalties.

Sample Screen

```

00002199-00          DEPOSITORY TRUST COMPANY          DATE: MM/DD/CCYY
XXXX                EXEMPT CD EARLY REDEMPTION VOI SUBMISSION  TIME: HH:MM:SS
-----

CD CUSIP      : 999999999          DESC:           : XXXXXXXXXXXXXXXXXXXXXXXX
QUANTITY      :                    V.O.I. NUMBER
  ???
PARTICIPANT   : 2199              PARTICIPANT NAME: ABC Company
CUSTOMER I.D.:
CONTACT NAME  :                    CONTACT PHONE   : (    ) -
COMMENTS:

-----
EDIT: ENTER  PF7/19: RETURN  PF8/20: END FUNCTION  PF9/21: SIGNOFF
    
```

Field Descriptions

This field	Allows you to
Menu Bar	Return to the service menu, access help for this screen, or access related functions, if listed. Click below the desired option and press ENTER. Note - If you do not use a mouse, press HOME, press TAB until your cursor is below the desired option, then press ENTER.
CD CUSIP	View the CUSIP number you entered on the CD Early Redemption Request Menu.
Desc	View a brief description of the specified security.
Quantity	Enter the quantity of securities to be redeemed, up to nine digits.
V. O. I. Number	View the VOI number that will be generated by the system. If the transaction has not been processed, no number appears.

This field	Allows you to
Participant	<p><i>Group users only.</i> Enter the participant number for whom the securities are being redeemed.</p> <p>Note -For individual participants, your number automatically appears.</p>
Participant Name	View the system-generated name that coincides with the specified Participant number.
Customer I. D.	Enter the name of the customer associated with this instruction. <i>Optional.</i>
Contact Name	Enter the name of the person at the customer company to contact regarding this redemption instruction.
Contact Phone	Enter the contact's phone number, including area code.
Comments	Enter any applicable comments, up to three lines of free-form text, 68 characters per line. <i>Optional.</i>

Function Keys

In addition to the standard function keys described in Using the Standard Function Keys, you can press PF2/14 on the CD Early Redemption VOI Submission screen to access one of the following:

- Exempt CD Early Redemption Comments if you are viewing the Exempt version.
- Non-Exempt Cd Early Redemption Comments if you are viewing the Non-Exempt version.

Exempt CD Early Redemption Comments Screen

The Exempt CD Early Redemption Comments screen appears when you press PF2/14 on the Exempt version of the CD Early Redemption VOI Submission screen to process a transaction. This screen allows you to enter beneficial owner and other information specific to the redemption instruction.

Sample Screen

```

00002199-00      DEPOSITORY TRUST COMPANY      DATE:  MM/DD/CCYY
XXXX            EXEMPT CD EARLY REDEMPTION COMMENTS  TIME:  HH:MM:SS
-----
CD CUSIP: 99999999  DESCRIPTION: XXXXXXXXXXXXXXXXXXXXXXXX
PLEASE FILL OUT SECTIONS (A AND B) OR (A AND C) WITH EITHER D OR E
A.  NAME OF BENEFICIAL OWNER:
B.  DUE TO DEATH OF BENEFICIAL OWNER (ENTER X)
    1. DATE OF BENEFICIAL OWNER'S DEATH :           (MMDDYY)
    2. DEATH CERTIFICATE SERIAL NUMBER:
    3. ISSUING JURISDICTION:
C.  ADJUDICATION OF INCOMPETENCY (ENTER X)
D.  ENTER AN 'A' IN THE FOLLOWING PARENTHESES TO ACKNOWLEDGE THAT THIS
    REDEMPTION REQUEST IN AN EXEMPT REQUEST, THAT THE IDENTIFICATION OF
    THE BENEFICIAL OWNER AND REQUIRED LEGAL DOCUMENTATION IS CORRECT
    AND THAT YOU AGREE TO MAINTAIN SUCH DOCUMENTATION FOR AT LEAST 30
    MONTHS FOLLOWING PAYMENT OF THE REQUEST AND WILL MAKE IT AVAILABLE
    TO THE CD ISSUER UPON REQUEST:  ( )
E.  ENTER AN 'A' IN THE FOLLOWING PARENTHESES TO ACKNOWLEDGE THAT THIS
    INSTRUCTION WILL AUTOMATICALLY BE DELETED BY THE CLOSE OF THE FIFTH
    BUSINESS DAY SUBSEQUENT TO SUBMISSION OF THE APPROPRIATE LEGAL
    DOCUMENTS (E.G., DEATH CERTIFICATE, AFFIDAVIT OF DOMICILE) ARE NOT
    RECEIVED BY DTC BY THAT TIME :  ( )
PF6/18 PREV SCREEN  PF7/19 RETURN  PF8/20 END FUNC  PF9/21 SIGNOFF

```

Field Descriptions

This field	Allows you to
Menu Bar	<p>Return to the service menu, access help for this screen, or access related functions, if listed. Click below the desired option and press ENTER.</p> <p>Note</p> <p>- If you do not use a mouse, press HOME, press TAB until your cursor is below the desired option, then press ENTER.</p>
CD CUSIP	View the CUSIP number you entered on the CD Early Redemption Request Menu.
Desc	View a brief description of the specified security.
A	Enter the name of the beneficial owner.
B	<p>Enter X if the redemption is being made due to the death of the beneficial owner. If specified, you must also enter:</p> <ul style="list-style-type: none"> • The date of death in mmddyy format • The serial number of the death certificate • The name of the entity that issued the death certificate (city, county, state, or other).
C	<p>Enter X if the redemption is being made due to the beneficial owner being legally declared incompetent.</p> <p>Note</p> <p>- You must enter a value in either B or C, but not both.</p>
D	Enter A within the parentheses to acknowledge the associated statement.
E	<p>Enter A within the parentheses to acknowledge the associated statement.</p> <p>Note</p> <p>- You must enter a value in either D or E, but not both.</p>

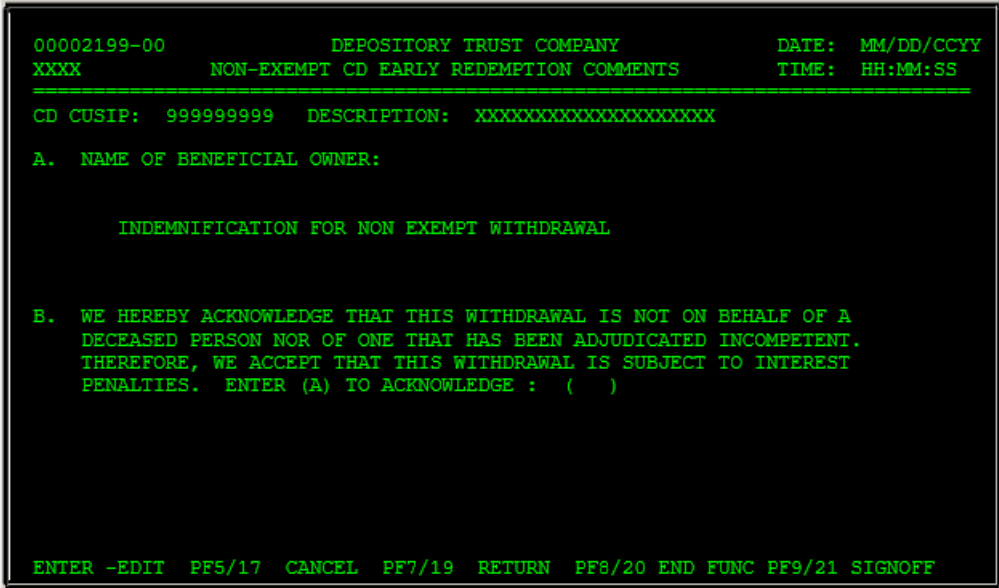
Function Keys

In addition to the standard function keys described in Using the Standard Function Keys, you can press PF5/17 on the Exempt CD Early Redemption Comments screen to cancel the transaction.

Non-Exempt CD Early Redemption Comments Screen

The Non-Exempt CD Early Redemption Comments screen appears when you press PF2/14 on the Non-Exempt version of the CD Early Redemption VOI Submission screen to process a transaction. This screen allows you to enter beneficial owner and other information specific to the redemption instruction.

Sample Screen



Field Descriptions

This field	Allows you to
Menu Bar	Return to the service menu, access help for this screen, or access related functions, if listed. Click below the desired option and press ENTER. <i>Note</i> - If you do not use a mouse, press HOME, press TAB until your cursor is below the desired option, then press ENTER.
CD CUSIP	View the CUSIP number you entered on the CD Early Redemption Request Menu.
Description	View a brief description of the specified security.
A	Enter the name of the beneficial owner.
B	Enter A within the parentheses to acknowledge the associated statement.

Function Keys

In addition to the standard function keys described in Using the Standard Function Keys, you can press PF5/17 on the Non-Exempt CD Early Redemption Comments screen to cancel the transaction.

Paid CD Early Redemption VOI List

The Paid CD Early Redemption VOI List appears when you choose an item on the Paid version of the CD Early Redemption CUSIP List and displays all previously submitted paid transactions.

Sample Screen

```

00002199-00          DEPOSITORY TRUST COMPANY          DATE: MM/DD/CCYY
XXXX                ** PAID CD EARLY REDEMPTION VOI LIST **    TIME: HH:MM:SS
-----
CD CUSIP           : 999999999          DESCRIPTION : XXXXXXXXXXXXXXXXXXXXXXXX
SKIP TO VOI       :                   SKIP TO DATE: (YYMMDD)
-----
CMD  V.O.I. NUMBER  TYP  PART      QUANTITY  AMOUNT PAID  DATE PAID
-----
AAAAA             E    2199      1,000
EQT25235175417    E    2199      900
EQT25235180444    E    2199     1,900
QT53235092428     E    2199      100
EQT56232094512    E    2199      300
EQT56232094543    E    2199     4,000
EQT56232095833    E    2199      100
EQT56232095916    E    2199     2,000
EQT56232100053    E    2199   4,000,000
-----
TYP = EXEMPTION TYPE : 'E' EXEMPT 'N' NON-EXEMPT
CMD                   : 'X' SUBMISSION DETAIL
-----
PF10/22 BWD PF11/23 FWD PF6/18 PREV SCR PF7/19 MENU PF8/20 END PF9/21 SGNOFF
    
```

Field Descriptions

This field	Displays
Menu Bar	<p>An access bar that allows you to return to the service menu, access help for this screen, or access related functions, if listed. Click below the desired option and press ENTER.</p> <p>Note</p> <p>- If you do not use a mouse, press HOME, press TAB until your cursor is below the desired option, then press ENTER.</p>
Description	A brief description of the selected security.
Skip To VOI	An entry field that allows you to bring a specific VOI to the top of the list. Enter a whole or partial VOI number.
Skip To Date	<p>An entry field that allows you to begin the list with a specific date. Enter the date in mm/dd/yy format.</p> <p>Note</p> <p>- If you enter values in both the Skip To Transaction and Skip To Date fields, the system responds with the specified transaction (if you entered a valid VOI number) and the date is ignored.</p>
CMD	An entry field that allows you to select an item to view submission details. Enter an X to access the CD Early Redemption VOI Submission Inquiry screen.
V. O. I Number	The number assigned to each transaction.

This field	Displays
Typ	The type of transaction: <ul style="list-style-type: none"> • E: Exempt • N: Non-exempt
Part	The participant number of the party who entered the transaction.
Quantity	The number of securities redeemed.
Amount Paid	The dollar value of the redeemed quantity.
Date Paid	The date the transaction was allocated.

Unpaid CD Early Redemption VOI List

The Unpaid CD Early Redemption VOI List appears when you choose an item on the Unpaid version of the CD Early Redemption CUSIP List and displays a list of all active Voluntary Offering Instructions (VOIs) for the selected issue.

Sample Screen

```

00002199-00          DEPOSITORY TRUST COMPANY          DATE: MM/DD/CCYY
XXXX                ** UNPAID CD EARLY REDEMPTION VOI LIST **    TIME: HH:MM:SS
-----
CD CUSIP           : 999999999          DESCRIPTION : XXXXXXXXXXXXXXXXXXXXXXXX
SKIP TO VOI       :                    SKIP TO DATE: (YYMMDD)
CMD  V.O.I. NUMBER  TYP    PART        QUANTITY  DATE ENTERED  TS
-----
-   AAAAAAAAAAAAAA  E     2199          1,000    08/01/96
-   EQT25235175417  E     2199           900    08/22/96
-   EQT25235180444  E     2199          1,900    08/22/96
-   EQT53235092428  E     2199           100    08/22/96
-   EQT56232094512  E     2199           300    08/19/96
-   EQT56232094543  E     2199          4,000    08/19/96
-   EQT56232095833  E     2199           100    08/19/96
-   EQT56232095916  E     2199           2,000    08/19/96
-   EQT56232100053  E     2199        4,000,000  08/19/96

TYP = EXEMPTION TYPE   : 'E' EXEMPT   'N' NON-EXEMPT
TS  = TRANSACTION STATUS: 'M' MADE    'W' WAITING DOCUMENTATION
CMD: 'X' SUBMISSION DETAIL
-----
PF10/22 BWD PF11/23 FWD PF6/18 PREV SCR PF7/19 MENU PFB/20 END PF9/21 SGNOFF
    
```

Field Descriptions

This field	Displays
Menu Bar	<p>An access bar that allows you to return to the service menu, access help for this screen, or access related functions, if listed. Click below the desired option and press ENTER.</p> <p>Note</p> <p>- If you do not use a mouse, press HOME, press TAB until your cursor is below the desired option, then press ENTER.</p>
CD CUSIP	The CUSIP number of the selected security.
Description	A brief description of the selected security.
Skip To VOI	An entry field that allows you to bring a specific VOI to the top of the list. Enter a valid 14-digit VOI number.
Skip To Date	<p>An entry field that allows you to begin the list with a specific date. Enter the date in yymmdd format.</p> <p>Note</p> <p>- If you enter values in both Skip To VOI and Skip To Date, the system responds with the specified VOI (if you entered a valid VOI number) and the date is ignored.</p>
CMD	An entry field that allows you to choose an item to view submission details. Enter an X to access the CD Early Redemption VOI Submission Inquiry screen.
V. O. I. Number	The number assigned to each VOI.
Typ	<p>The type of transaction:</p> <ul style="list-style-type: none"> • E: Exempt • N: Non-exempt
Part	The participant number of the party who entered the transaction.
Quantity	The number of securities to be redeemed.
Date Entered	The date the VOI was entered into the system.
TS	<p>The status of the transaction:</p> <ul style="list-style-type: none"> • W: Waiting for documentation • M: ATP Transactions Made

Function Keys

In addition to the standard function keys described in Using the Standard Function Keys, you can press PF2/14 on the Unpaid CD Early Redemption VOI List to view a list of status codes.

Messages

You may encounter the following messages when using the CERR function. Messages are listed in alphabetical order, along with an explanation and suggested resolution for each.

Message Text	Possible Cause	Suggested Resolution
ATP NOT AVAILABLE	The system that monitors your position in a security (ATP) is not available.	Try again later.
CICS ERROR	A system error occurred.	Contact the Put Supervisor.
COMMAND OR SKIP TO MUST BE ENTERED	ENTER was pressed, but no information was entered in the Skip To field or the CMD field.	Enter a Skip To value, or enter one of the valid commands listed at the bottom of the screen.
CONTACT MUST BE ENTERED	The Contact Name is a required field and was not entered.	Enter the name of the contact.
CUSIP INVALID ON ATP INQUIRY	An invalid CUSIP number was entered.	Enter a valid CUSIP number.
CUSIP MUST BE ENTERED FOR OPTIONS 1/2	Options 1 and 2 require that you enter a CUSIP number in the CD CUSIP field.	Enter a valid CUSIP number.
CUSIP NOT ELIGIBLE FOR CERR	The CUSIP number entered is not eligible for the CERR function.	Contact the Put Supervisor.
DATA ENTERED IS NOT NUMERIC	A non-numeric value was entered.	Enter a numeric value.
DB2 CONNECTION ERROR	A system error occurred.	Try again. If the problem recurs, contact the Put Supervisor.
DB2 LOCKOUT ERROR	A system error occurred.	Try again. If the problem recurs, contact the Put Supervisor.
DUPLICATE RECORD ON INSERT	A system error occurred.	Contact the Put Supervisor.
FIRST PAGE OF DATA	PF10/22 was pressed to scroll backward, but the beginning of available data for this display has been reached.	Press PF11/23 to scroll forward.
INVALID DATE	The date entered is not valid.	Enter a valid date.
INVALID FUNCTION SENT TO CUTOFF TIME CHECK	A system error occurred.	Call the Put Supervisor.
INVALID KEY PRESSED	An invalid PF key was pressed.	Press one of the valid function keys listed at the bottom of the screen.
INVALID KEY WAS PRESSED MAKE ANOTHER SELECTION	An invalid PF key was pressed.	Press one of the valid function keys listed at the bottom of the screen.
INVALID OPTION- SELECT ANOTHER OPTION	An invalid option was specified in the Option field .	Enter 1, 2, or 3 .
INVALID RETURN FROM GENCALL PLEASE TRY AT A LATER TIME	A system error occurred.	Resubmit at a later time. If the problem recurs, contact the Put Supervisor.

Message Text	Possible Cause	Suggested Resolution
ITEM DOES NOT EXIST ON DATABASE	A system error occurred.	Contact the Put Supervisor.
LAST PAGE OF DATA.	PF11/23 was pressed to scroll forward, but the end of available data for this display has been reached.	Press PF10/22 to scroll backward.
MAX PAGE LIMIT REACHED	PF11/23 was pressed to scroll forward, but the end of available data for this display has been reached.	Press PF10/22 to scroll backward.
NO DATA FOR YOUR REQUEST	No data exists in the system for the specified criteria.	Enter different values in the selection fields.
ONLY ENTER KEY IS VALID FOR SKIP TO ENTER	A key other than ENTER was pressed.	Press ENTER.
ONLY ONE ACTION ALLOWED MAKE ANOTHER SELECTION	More than one item was selected for the requested action.	Select one item at a time from the list.
OPTION IS NOT AVAILABLE YET	An O was entered in the CMD field, but this option is not yet available.	Enter a valid command, or use the RIPS function to view envelope information.
PARTICIPANT INVALID ON ATP INQUIRY	You are not eligible for this function.	Contact your Participant Services representative.
PARTICIPANT NOT ELIGIBLE ON MASTERFILE	<i>Group Users only:</i> the Participant number entered was not found on the master file.	Enter a valid Participant number.
PAST LAST DATE TO SUBMIT INSTRUCTIONS	The instructions were not submitted in time.	Contact the Put Supervisor.
PAST CUTOFF/QUIESCE TIME HIT ANY KEY TO EXIT	The CERR function is past its cutoff time.	See When to Use for information about the availability of this function.
PF5 ONLY VALID TO CANCEL RELEASE REQ PLEASE TRY AGAIN	PF5/17 was pressed, but should only be used to cancel a transaction.	Press a different function key.
POSITION INQUIRY ERROR	A system problem occurred.	Try again later.
QUANTITY FORMAT-999999999 ENTER A VALID NUMERIC QUANTITY	An invalid quantity was entered.	Enter a valid numeric quantity in 999999999 format.
RECORD NOT FOUND ON ROG 96	There is no data for the item selected.	Select another item.
RE-ENTER. HIGHLIGHTED FIELDS ARE INVALID	Invalid information was entered in the highlighted fields.	Reenter the required information.
TRANSMISSION ERROR- REKEY DATA	A system problem occurred.	Reenter the data.
UNABLE TO RETURN TO REQUESTED SCREEN	A system error occurred.	Contact the Put Supervisor.

Message Text	Possible Cause	Suggested Resolution
UNABLE TO TRANSFER TO REQUESTED SCREEN	A system error occurred.	Contact the Put Supervisor.
UPDATE SUCCESSFUL	The update transaction was successful.	Information only; no action required.

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Asset Services

CMOP

FEBRUARY 06, 2024

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CMOP

Introduction

Overview

The Change Mode of Payment (CMOP) function allows you to change the frequency ("mode") of future dividend or interest payments on certain DTC-eligible securities, such as Unit Investment Trust (UIT) and Variable Mode Preferred (VMP) stock issues, by book-entry.

Each mode of payment (e. g., monthly, quarterly, semiannual, annual, 7-day or 49-day) has its own CUSIP number. Thus, a change in mode involves the movement of your DTC position from one CUSIP to another, as and when permitted by the terms of the issuer.

The CMOP function:

- Reduces your free account in the "From" CUSIP, if position is available. If position is not available, the CMOP Instruction will "Drop" or "Recycle," depending on what you request in the instruction.
- Adds to your free account in the "To" CUSIP after the "From" CUSIP reduction has been "Made."
- Prints a Change Mode of Payment ticket at your printer.

When to Use

Use CMOP when you need to change the frequency of future dividend or interest payments on eligible securities.

CMOP is available on business days from 6:00 a.m. to 1:15 p.m. eastern time.

Associated Products

CMOP is used in association with the Change Mode of Payment (CMOP) product.

List of Procedures:

Changing the Mode of Payment

Use the following procedure to change the frequency ("mode") of future dividend or interest payments.

1. Type CMOP on the Enter Function screen and press ENTER.
Result- The Change Mode of Payment (CMOP) screen appears.
2. Enter the applicable values in the fields and press ENTER.
Result- The message 'Transaction accepted for processing' appears on a blank screen and a Change Mode of Payment Ticket is printed on your local printer.

Warning!

The system keeps track of all updated Change Mode of Payment instructions. If a system failure occurs, the last screen that was accepted for update appears when you log back on. A message appears on the top left corner of the screen indicating that a recovery has occurred.

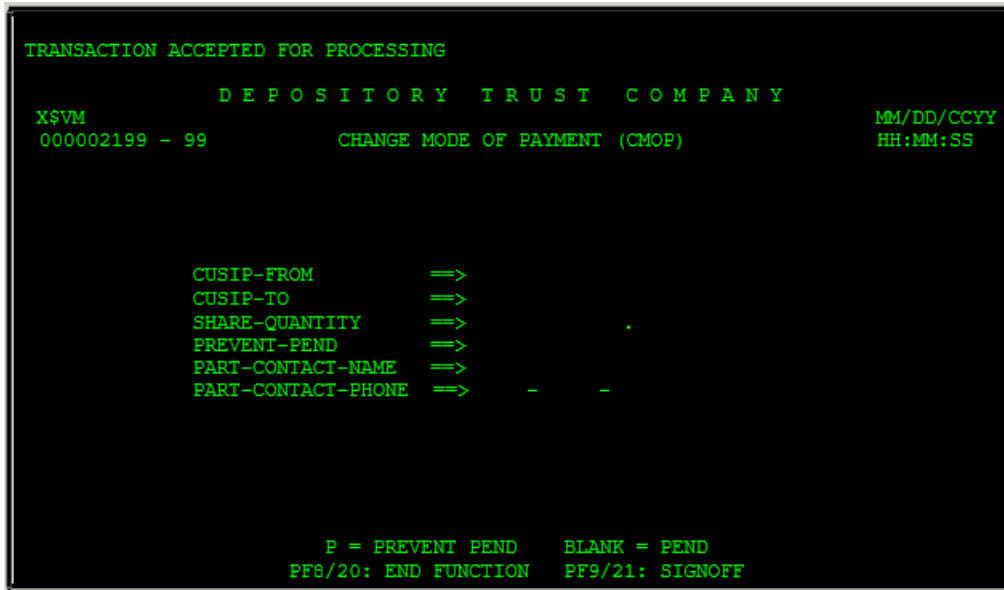
You cannot enter data on the recovered screen. Make a note of the last transaction completed before the system failure occurred. Press ENTER to return to the Enter Function screen.

List of Screens:

Change Mode of Payment (CMOP) Screen

The Change Mode of Payment (CMOP) screen allows you to enter your transaction information.

Sample Screen



Field Descriptions

This field	Displays
CUSIP-From	Specify the CUSIP number of the mode of payment you want to change <i>from</i> (the mode of payment you are currently receiving).
CUSIP-To	Specify the CUSIP number of the mode of payment you wish to change to (the mode of payment you'd like to receive). <i>Note</i> -Both of these CUSIPs can be obtained via the CMPI function.
Share-Quantity	Specify the number of shares to be paid in the new mode of payment. You can enter whole or fractional numbers.
Prevent-Pend	Enter a P if the instruction will prevent pending (recycling), or leave blank if pending is allowed. <i>Optional.</i> However, it is required if you entered both a whole number and a fractional number in the Share-Quantity field.
Part-Contact- Name	Enter the name of the DTC Participant to contact for this transaction.
Part-Contact- Phone	Enter the contact's phone number.

Messages

You may encounter the following messages when using the CMOP function. Messages are listed in alphabetical order, along with an explanation and suggested resolution for each.

Message Text	Possible Cause	Suggested Resolution
BOTH CUSIPS ARE FROM'NNN' DAY FREQUENCY	Variable Mode Preferred CUSIP numbers must be for different Modes (frequency).	Correct the CUSIP number(s).
CMOP: FUNCTION UNAVAILABLE	The CMOP function is temporarily unavailable.	Check the Printed tickets to see which transactions were processed. When CMOP becomes available, re-enter the transactions that were not processed.
CUSIP-FROM AND CUSIP-TO NOT SAME FAMILY	The CUSIP numbers are not in the same family.	Correct the CUSIP number(s).
CUSIP FROM AND TO MUST BE DIFFERENT	You entered the same CUSIP number in the From and To fields.	You must enter different numbers for starting and ending CUSIPs.
CUSIP-FROM NOT ON FILE	The CUSIP-From is not eligible for CMOP instructions. The instructions cannot be processed.	Try a different CUSIP-From .
CUSIP-TO NOT ON FILE	The CUSIP-To is not eligible for CMOP instructions. The instructions cannot be processed.	Try a different CUSIP-To .
FNCT INELIGIBLE	Access to the function was attempted by an unauthorized user.	Use another function, or contact your supervisor or your Participant Services representative if you need access to this function.
FROZEN	The CUSIP is frozen at DTC. The CMOP instructions cannot be processed.	Try a different CUSIP.
INVALID	You entered invalid data in the highlighted field.	Enter valid data.
INVALID KEY ENTERED	An invalid function key was pressed.	Press one of the valid function keys listed at the bottom of the screen.
NO DATA ENTERED	A function key was pressed prior to entering data in the required fields on this screen.	Enter data in the entry fields provided.
NOT NUMERIC	Non-numeric data was entered in the highlighted field.	Enter numeric data.
PAST CUTOFF TIME- USE ENTER KEY TO EXIT	The function is only available during specific time periods.	Refer to When to Use for information about when to use this function.
PREVENT- PEND REQUIRED FOR FRACTIONAL PROCESSING	The Share-Quantity field contains a whole and fractional number, and P was not entered in the Prevent Pend field.	Enter P in the Prevent Pend field.

Message Text	Possible Cause	Suggested Resolution
QUANTITY MUST BE LESS THAN 1000000	The Share-Quantity field is greater than 999,999 shares.	Break down the Share-Quantity and re-enter.
REJECT- NOT A VALID DATE FOR EXCHANGE	The instruction was not entered within the time frame that allows you to change the mode of payment (the free period). The instruction cannot be processed until the next free period.	Information only; no action required.
REQUIRED	This message appears if the data is required.	Enter the required data in the indicated field.
TRANSMISSION ERROR- PLEASE REKEY DATA	A system problem occurred during the processing of your last request.	Re-enter the data and try again.

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Asset Services

CMPI

FEBRUARY 06, 2024

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CMPI:

Introduction

Overview

The Change Mode of Payment Inquiry (CMPI) function allows you to inquire about Unit Investment Trust (UIT) or Variable Mode Preferred (VMP) issues that qualify for DTC's Change Mode of Payment (CMOP) service.

When to Use

Use CMPI whenever you need information on a CMOP-eligible issue.

CMPI is available:

- On business days from 6:00 a.m. to 6:00 p.m. eastern time
- On Saturdays from 7:00 a.m. to 3:00 p.m. eastern time.

Associated Products

CMPI is used in association with the Change Mode of Payment (CMOP) product.

List of Procedures:

Viewing CMOP Information

Use the following procedure to view information on CMOP-eligible issues.

1. Type CMPI on the Enter Function screen and press ENTER.

Result- The Change Mode of Payment (CMOP) Inquiry Function screen appears.

2. Type a **CUSIP** number and press ENTER.

Result- One of the following screens appears:

- Change Mode of Payment (CMOP) Inquiry for UIT if you entered a Unit Investment Trust (UIT) CUSIP
 - Change Mode of Payment (CMOP) Inquiry for VMP if you entered a Variable Mode of Payment (VMP) CUSIP.
3. *Optional.* Repeat steps 1 and 2 to inquire about other CUSIPs.

List of Screens:

Change Mode of Payment (CMOP) Inquiry for UIT Screen

The Change Mode of Payment (CMOP) Inquiry for UIT screen appears when you enter a Unit Investment Trust (UIT) CUSIP on the Change Mode of Payment (CMOP) Inquiry Function, and displays payment information for the specified UIT security.

Sample Screen

```

DEPOSITORY TRUST
0000          CHANGE MODE OF PAYMENT (CMOP)          MM/DDCCYY
00002199-99  ** INQUIRY **                          HH:MM:SS
              FAMILY-TYPE:      UIT
              EXER-CYCLE-CODE:   S

CUSIP #1:    649497104 NY INV QLT 1 M UIT+
CUSIP #2:    649497112 NY INV QLT 1 S UIT+
CUSIP #3
CUSIP #4
START-INIT-EXER-DATE: 05/11/83      END-INIT-EXER-DATE: 08/01/83
START-EXERCISE-DATE1: 08/02/87      END-EXERCISE-DATE1: 08/31/87
START-EXERCISE-DATE2: 02/02/88      END-EXERCISE-DATE2: 02/29/88
              S - SEMI      UIT - UNIT INVESTMENT TRUST
              A - ANNUAL

PF7/19: RETURN TO MENU  PF8/20: END FUNCTION  PF9/21: SIGNOFF
    
```

Field Descriptions

This field	Displays
Family-Type	The family type of the security (UIT or VMP).
Exer-Cycle- Code	The Mode (frequency) of payment for the security: <ul style="list-style-type: none"> • S: Semiannually • A: Annually • M: Monthly.
CUSIP#	CUSIP#1 represents the security whose mode of payment you want to change. CUSIP#2 through CUSIP#4 represent the modes from which you can choose for future payments.
Start-Init- Exer-Date	The first date on which initial changes could be entered for the security.
End-Init- Exer-Date	The last date on which initial changes could be entered.
Start- Exercise- Date1	The date on which you can begin to enter changes for the security.
End-Exercise- Date1	The date after which changes cannot be entered.
Start- Exercise- Date2	The beginning of the next exercise period for the security.
End-Exercise- Date2	The end of the next exercise period.

Change Mode of Payment (CMOP) Inquiry for VMP Screen

The Change Mode of Payment (CMOP) Inquiry for VMP screen appears when you enter a Variable Mode Preferred (VMP) CUSIP on the Change Mode of Payment (CMOP) Inquiry Function, and displays payment information for the specified VMP security.

Sample Screen

```

DEPOSITORY TRUST
0000 CHANGE MODE OF PAYMENT (CMOP) MM/DD/CCYY
00002199-99 ** INQUIRY *** HH:MM:SS
PAGE: 1
FAMILY-TYPE: VMP
7-DAY-CUSIP: 171205883 CHRYSLER 7DAY BE PR+ EXER-DATE: WEEKLY
OTHER-CUSIP: 171205800 CHRYS 49DAYBE SR7PR+ NOT TODAY
171205701 CHRYS 49DAYBE SR6PR+ 02/18/88
171205602 CHRYS 49DAYBE SR5PR+ 02/11/88
171205503 CHRYS 49DAYBE SR4PR+ 02/04/88
171205404 CHRY 49DAY BE SR3PR+ 01/28/88
171205305 CHRYS 49DAYBE SR2PR+ 01/21/88
171205206 CHRYS 49DAYBE SR1APR+ 01/14/88
VMP - VARIABLE MODE PREFERRED
*** END OF DATA ***

PF4/16: LAST PG PF5/17: FIRST PG PF10/22: PG BACK PF11/23: PG FORWARD
PF7/19: RETURN TO MENU PF8/20: END FUNCTION PF9/21: SIGNOFF
    
```

Field Descriptions

This field	Displays
7-Day-CUSIP	The CUSIP number and description of the first security associated with this VMP issue.
Other-CUSIP	The CUSIP number and description of all subsequent securities associated with this VMP issue.
Family-Type	The family type of the security (UIT or VMP).
VMP	A brief description of the VMP, including the exercise frequency (7 day or 49 day).
Exer-Date	The exercise frequency for the 7-Day-CUSIP: <ul style="list-style-type: none"> • Weekly • 49 Days.

Function Keys

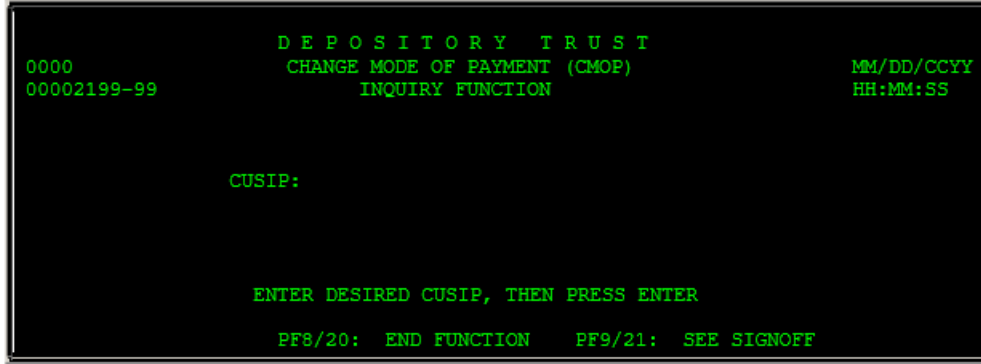
In addition to the standard function keys described in Using the Standard Function Keys, the following are available on the Change Mode of Payment (CMOP) Inquiry for VMP screen:

This key	Allows you to
PF4/16	Display the first page of data.
PF5/17	Display the last page of data.

Change Mode of Payment (CMOP) Inquiry Function Screen

The Change Mode of Payment (CMOP) Inquiry Function screen allows you to enter the CUSIP you want to view.

Sample Screen



Field Descriptions

The only entry field on the Change Mode of Payment (CMOP) Inquiry Function screen is the CUSIP field, which allows you to enter the CUSIP number of the security you want to inquire about.

Messages

You may encounter the following messages when using the CMPI function. Messages are listed in alphabetical order, along with an explanation and suggested resolution for each.

Message Text	Possible Cause	Suggested Resolution
CMPI: FUNCTION UNAVAILABLE	The CMPI function is temporarily unavailable.	Try again at a later time.
CUSIP NUMBER NOT A CMOP CUSIP	The CUSIP number entered does not qualify for the CMOP service.	Enter a different CUSIP number.
INVALID	An invalid CUSIP number was entered.	Enter valid CUSIP number.
INVALID KEY HIT	An invalid function key was pressed.	Press one of the valid function keys listed at the bottom of the screen.
NO DATA ENTERED	No data was entered.	Enter the required data.
PAST CUTOFF TIME-- USE ENTER KEY TO EXIT	The function is only available during specific time periods.	Refer to When to Use for information about when to use this function.
REQUIRED	This message appears if the data is required.	Enter the required data in the indicated field.
TRANSMISSION ERROR-- PLEASE REKEY DATA	A system problem occurred during the processing of your last request.	Re-enter the data and try again.

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Asset Services

WITHDRAWAL OF NOMINEE STOCK (COD)

FEBRUARY 06, 2024

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WITHDRAWAL OF NOMINEE STOCK (COD)

Overview

The Withdrawal of Nominee Stock function (COD) enables Participants to make same-day withdrawals of their physical certificates.

The COD function does the following:

- Validates the withdrawal against the Participant's net General and Interim Unpledged Accounts.
- Reduces the Participant's Unpledged Account if the position is available.
- Prints a COD ticket on the Participant's printer which is used for pickup of the certificates at DTC.

FAST COD withdrawal is also available.

How To Update

Step **Action**

Step 1 Enter 'COD' when the Enter Function Prompt Screen appears (Figure 1).

```

M787                D E P O S I T O R Y   T R U S T
10/18/85
00002199-01        P A R T I C I P A N T   T E R M I N A L   S Y S T E M
13:30:11

ENTER FUNCTION:  COD
  
```

Figure 1. Enter Function Prompt Screen

Step 2 Press the 'ENTER' key to obtain the COD For Immediate Update Screen (Figure 2).

```

                                COD FOR IMMEDIATE UPDATE
10/18/85
13:32:18
SIGNON PT#:      2199   REORG ACCT

   CUSIP   QTY   TAX-CD  PRVNT < -----  ENTER 'P' TO PREVENT RECYCLE
1
2
3
4
5
6
7
8
9
10
11
12
13
14

THE DUP KEY CAN BE USED ON ALL THE ABOVE FIELDS
  
```

Figure 2. COD Data Entry Screen

Step 3 Enter a withdrawal item (Figure 3 and Section 3.02.03).

```
10/18/85                                COD FOR IMMEDIATE UPDATE
13:32:18
SIGNON PT#:      2199  REORG ACCT
CUSIP           QTY      TAX-CD  PRVNT <----- ENTER 'P' TO PREVENT
RECYCLE
1  723456790    000000    3      P
2  783412234     200
3  553222345    5500
4  777299088    2000      P
5  499966667     800
6  760003222    1000      3
7  230069555    3400
8  296758847     500
9  887676509    200      P
10 344896330    100      3
11 455389606    3000
12
13 800900859    3500
14 978576168    7000      3
THE DUP KEY CAN BE USED ON ALL THE ABOVE FIELDS
```

Figure 3. Withdrawal on COD Data Entry Screen

Note:

A maximum of 14 items may be entered on one screen. To save key strokes, use the 'DUP' key located on top of the 'PA1' key to duplicate the data fields from the above line when the data is the same (Figures 4 and 5). Only the 'ENTER' key can be use with 'DUP' key processing.

```
10/18/85                                COD FOR IMMEDIATE
13:32:18
SIGNON PT#:      2199  REORG ACCT
CUSIP           QTY      TAX-CD  PRVNT<----- ENTER 'P' TO PREVENT RECYCLE
RECYL
1  459200101    150      3      P
2  *           *      *      *
3  *           *      *      *
4  *           *      *      *
5
6
7
8
9
10
11
12
13
14
THE DUP KEY CAN BE USED ON ALL THE ABOVE FIELDS
```

Figure 4. Use of the DUP Key on the COD For Immediate Update Screen

```

COD FOR IMMEDIATE UPDATE
10/18/85
13:32:18
SIGNON PT#:          2199    REORG ACCT
      CUSIP      QTY      TAX-CD      PRVNT<----- ENTER 'P' TO PREVENT
RECYCLE
  1  459200101  150        3        P    INTER BUSINESS MACH
  2  459200101  150        3        P    INTER BUSINESS MACH
  3  459200101  150        3        P    INTER BUSINESS MACH
  4  459200101  150        3        P    INTER BUSINESS MACH
  5
  6
  7
  8
  9
 10
 11
 12
 13
 14
    THE DUP KEY CAN BE USED ON ALL THE ABOVE FIELDS

```

Figure 5. COD For Immediate Update Screen after using the DUP key.

Step 4 Press the 'PF1/13' key.

- If no errors occur, a blank COD For Immediate Update Screen appears and a COD ticket is printed (Figures 6 through 8).
- If errors are detected, an appropriate error message is displayed on the COD Data Entry Screen (Figure 9) and no COD ticket is printed.

```

o 0 0000219900-00016
o
o
o
o 08/01/85  11:34:29    DTC COD RESPONSE    TERM-9999    REORG ACCT
2199      o
o
o
o TRANS#:    00007 - OA
o
o
o
o USE THIS FORM TO PICK UP SECURITIES AT DTC
o
o
o
o PTS-ID    00002199-00
o
o
o
o CUSIP:    459200101    INTER BUSINESS MACH
o
o
o
o
o
o
o
o QUANTITY:    550
o
o

```

Figure 6. COD Ticket 'COD ACCEPTED'

```

o 0 0000219900-00017
o
o
o 08/01/85 11:34:51 DTC COD RESPONSE TERM-9999 REORG ACCT
2199 o
o
o TRANS#: 00008 - 0B
o
o
o COD PENDING RECEIPT OF SUFFICIENT POSITION
o
o
o PTS-ID 00002199-00
o
o
o CUSIP: 459200101 INTER BUSINESS MACH
o
o
o
o QUANTITY: 900
o
o
o RECYCLING
o

```

Figure 7. COD Ticket 'COD RECYCLING'

```

o 0 0000219900-00018
o
o
o 08/01/85 11:34:44 DTC COD RESPONSE TERM-9999 REORG ACCT
2199 o
o
o TRANS#: 00019 - 04
o
o
o INSUFFICIENT POS ----AVAIL. POS 349
o
o
o PTS-ID 00002199-00
o
o
o CUSIP: 459200101 INTER BUSINESS MACH
o
o
o
o QUANTITY: 1000
o
o
o DROPPED
o

```

Figure 8. COD Ticket 'COD DROPPED'

COD FOR IMMEDIATE UPDATE				
10/18/85				
13:32:18				
SIGNON PT#: 2199 REORG ACCT				
CUSIP	QTY	TAX-CD	PRVNI<-----	ENTER 'P' TO PREVENT
RECYCLE				
			RECYL	
1	723456790	000000	3	P INV CUSIP, INV QTY
2	333445566	200		GOVT. SEC NOT ACCPTD
3	558697797	5500		INELG CSIP
4	347575868	100000		P TXCD 3 REQ, FST CSP QTY EXCEEDS
99,99				
5				
6	458697077	800		P TXCD 3 REQ
7	230069555	1000		INTERMI SECURITY, JACKSON MICRO
INC				
8	296758847	0000		INV QTY
9	982306455	200		P RETRO GRADE INC
10	447575766	100	3	ARMED CAR PCKS
11	455389606	3000		
12				
13	800900	3500		INV CUSIP
14	800900859	7000	3	AIR-MATICS CO
THE DUP KEY CAN BE CAUSED ON ALL THE ABOVE FIELDS				

Figure 9. COD Error Screen

Step 5 Repeat Steps 3 and 4 for each withdrawal item. A maximum of 14 items may appear on one screen.

Step 6 Press either:

- 'PF8/20' key to change the function.
- 'PF9/21' key to end the processing session.

Note:

To view the results before updating (pre-edit facility), press the 'ENTER' key prior to Step 4. Description of error messages (if any) and CUSIP descriptions are shown for each COD. This, however, causes slower and more costly updating when no errors exist.

Screen Recovery:

PTS keeps track of all COD Screens entered for updates (when the 'PF1/13' key was used). If a system failure occurs, the last screen successfully accepted for update is displayed when the Participant logs on. This screen should be used in conjunction with the paper- work the Participant keys from. A message on Line 1 appears, indicating that recovery has occurred (Figure 10). Screen recovery only occurs if the Participant is in an update or data collection function, and at least one screen of data (full or partial) has been entered correctly.

```
LAST COD SCREEN ACCEPTED BY PTS AT 13:31:22          -PRESS ENTER TO
CONTINUE
                                COD FOR IMMEDIATE UPDATE
10/18/85
13:32:18
SIGNON PT#:          2199          REORG ACCT
      CUSIP          QTY          TAX-CD          PRVNT<-----ENTER 'P' TO PREVENT RECYCLE
                                RECYL
1  723456790      100          3          P
2  783412234      200
3  553222345      5500
4  777299088      2000          P
5  499966667      800
6  760003222      1000          3
7  230069555      3400
8  296758847      500
9  887676509      200          P
10 344896330      100          3
11 455389606      3000
12
13 800900859      3500
14 978576168      7000          3
THE DUP KEY CAN BE USED ON ALL THE ABOVE FIELDS
```

Figure 10. COD For Immediate Update Screen with Recovery Message

Data cannot be entered on this screen. It is only for viewing the last data lines accepted.

Press the 'ENTER' key to return to the Enter Function Prompt Screen (to continue with COD or to change the function).

DUP Key:

To save key strokes, use the 'DUP' key located on top of the 'PA1' key to duplicate the data fields from the above line when the data is the same (Figures 4 and 5). Only the 'ENTER' key can be used with 'DUP' key processing.

Screen And Ticket Fields

(1) Screen

A maximum of 14 COD Withdrawal items may be entered on one screen. Each requires the following information:

- CUSIP: nine-digit CUSIP number.
- Qty: six-digit field containing the number of shares.
- Tax-Cd: one-digit field containing the number 3 if FAST COD withdrawal is required; otherwise, blank.
- Prvnt Recyl: one-digit field containing the letter P if the transaction is to be dropped (when the Participant's account is insufficient).

(2) Ticket

A hardcopy ticket of each COD transaction is provided. Each ticket contains the following information:

- Line 1: A message number that allows for retrieval and reprinting of the page, if necessary.
- Line 2: Date, Time, Report Title, Station Number and the Withdrawing Participant Name and Number.
- Line 3: A DTC internal transaction identification number.
- Line 4: Informational message based on status; the message may be one of the following:
 - (Accepted) 'USE THIS FORM TO PICK UP SECURITIES AT DTC'
 - (Recycling) 'COD PENDING RECEIPT OF SUFFICIENT POSITION'
 - (Dropped) 'INSUFFICIENT POS. AVAIL POS nnn,nnn,nnn'
 - (Dropped) 'INSUFFICIENT SHARES AVAIL POS nnn,nnn,nnn CM \$nn,nnn,nnn.nn'
 - (Dropped) 'INSUF.MAJ.COLLATL AVAIL POS nnn,nnn,nnn CM \$nn,nnn,nnn.nn'
 - (Recycling) 'PENDING FOR SHARES'
 - (Recycling) 'PENDING FOR COLLATERAL'
 - 'COD NOT PROCESSED -- FUNCTION NOT AVAILABLE'
 - 'COD STATUS UNKNOWN'
 - 'COD TRAINING-STATUS WILL APPEAR HERE'
- Line 5: PTS Sign-on ID number.
- Line 6 and 7: CUSIP and Quantity input fields.
- Line 8: 'TAX WAIVER ACKNWLDG' (if FAST security), otherwise blank.
- Line 9: Blank if the transaction is accepted; otherwise one of the following status messages is displayed:
 - 'RECYCLING'
 - 'DROPPED'
 - 'UNPROCESSED'
 - 'STATUS UNKNOWN'
 - 'REJECTED'

These tickets are used for messenger pickup of securities at DTC in accordance with established rules. DTC will not accept tickets bearing the legend(s) 'RECYCLING' or 'INSUFFICIENT POSITION', or a ticket produced using the Reprint function (unless prior arrangements have been made).

Field Errors

Fields entered incorrectly may be corrected in the following manner:

- Re-key the data correctly into the field(s) and press the 'ENTER', 'PF1/13' key when the screen is completed.
- Press the CLEAR key (to clear the entire screen) and re-key the COD data. Press the 'ENTER' or 'PF1/13' key when the screen is completed.
- Delete a single COD item by tabbing the cursor to the beginning of each field(in the line to be deleted) and press the EOF key. Press the 'ENTER' or 'PF1/13' key when the screen is completed.

COD Recycle

Participants may utilize the recycle feature to make use of expected position. The need to re-enter transactions is eliminated since recycling CODs are periodically validated against the Participant's account. Once Position becomes available, the COD is applied, and the Participant's account is reduced. The following occurs concurrently with the update:

- A Reply Form is produced at DTC. The second copy is attached to the requested securities.
- A new COD ticket is automatically generated (via the UMS option) on the Participant's printer with the notification that the 'previous recycle' has updated Part 1 of this ticket is used to pick up the securities.

If position does not become available by COD cutoff time, the recycle is dropped and account updating does not take place.

COD Drop

As previously noted, a COD transaction via the PTS terminal is immediately dropped if position is not available and the Prevent Recycle option was exercised. The Participant should use the Security Position Inquiry (refer to POS, Section 2.02) to determine when position is sufficient, and then re-enter the COD transaction as explained in this procedure.

Erroneous Withdrawal

If an erroneous COD occurs (incorrect quantity, security, etc.), the Participant is required to receipt the securities and deposit them in accordance with DTC's General Operating Procedures. The Participant should then re-enter the withdrawal request to receive the desired securities.

Withdrawal Limitations

Depository Facility CODs are not currently available via the PTS. The Participant must follow DTC's General Operating Procedures for these types of withdrawals.

Participants should also note that denomination breakdowns cannot be requested for a COD transaction via the PTS. However, the Participant may generate multiple CODs for a given issue. If 5 x 100 is needed, the Participant can enter and update 5 separate 100- share CODs. The DUP key feature makes this easier to accomplish. Billing (in this case) would be for five transactions.

Messages And Corrections

Message	Reason	Corrective Action
COD: FUNCTION UNAVAILABLE	The function is temporarily not available.	Check your printed messages to see which transaction was last processed.
COD: PAST CUT-OFF TIME	The cutoff time for this function has been reached. The function is not available for data entry.	The function is available next business day for data entry. Wait until then or use an established alternate method.
INVALID KEY PRESSED	A key other than 'ENTER' 'PF1' or 'PF13' was pressed.	Press the 'ENTER', 'PF1/13' key.
NO DATA ENTERED	All input fields are blank.	Enter the correct COD data.
TRANSMISSION ERROR	Data not received properly- the input is ignored.	Re-key the COD data.
PAST CUT-OFF TIME USE ENTER KEY TO EXIT	The cutoff time for this function has been reached.	The function is available the next business day. Press the 'ENTER' key to exit the function.
RECOVERY UNABLE TO COMPLETE	The function is temporarily unavailable.	Check your printed messages to see which transaction was last processed, and re-enter those transaction not processed as soon as the updating facility is available.
LAST COD SCREEN ACCEPTED BY PTS AT HH:MM:SS PRESS ENTER TO CONTINUE	The <i>PTS</i> has completed screen recovery. The screen lists the last data items accepted by <i>PTS</i> .	Press the 'ENTER' key to return to the Enter Function Prompt Screen. Select the same function or another function.
FROZEN BROKER-USE ENTER KEY TO EXIT	The Broker using this function has been made ineligible by DTC for further processing.	Press the 'ENTER' key to return back to the Enter Function Prompt Screen. Call your <i>PTS</i> Representative for additional information.
DUP KEY USED-PER-FORMED EDIT ONLY-TO UPDATE PRESS PF1 OR PF13 key	DUP key can only be used with the 'ENTER' key.	Press the 'PF1/13' key to update. Press the 'ENTER' key to continue pre-editing.
DUP PROCESSING NOT COMPLETED-NOTHING ENTERED IN A FIELD TO BE COPIED	The data on the above line to be duplicated was left blank.	Type in the data to be processed.
INV CUSIP	The CUSIP number is missing or in an incorrect format.	Enter the correct CUSIP or delete the item.
INELG CUSIP NUMBER	The CUSIP number is ineligible.	Enter the correct CUSIP or delete the item.
GOVT. SEC NOT ACCPTD	The CUSIP number is for a government security.	Enter the correct CUSIP or delete the item.
FST CUSIP QTY EXC 99,999	<i>FAST</i> COD is not allowed for withdrawals exceeding 99,999 shares.	Review the transaction and correct, or delete the item.

Message	Reason	Corrective Action
INV QTY	The Quantity is missing zeroes, or in an incorrect for-mat.	Enter the correct quantity or delete the item
TXCD3 REQ	The <i>FAST</i> COD Indicator (TAX-CD) is other than '3' or was left blank.	Enter the correct TAX CD code.
INV TAX-CD	The <i>FAST</i> COD Indicator is other than '3' or was left blank.	Enter the correct tax CD, or delete the item.
ODD LT INV	Share in non- <i>FAST</i> issues may not be withdrawn in odd lots.	Enter the modified quantity, or delete the item.
INV PVT CD	The Prevent Recycle code should be 'P' or blank.	Enter the correct code or delete the item.
SDFS INELG	The Participant is not eligible for same-day fund processing.	Enter a non-SDFS CUSIP.
CHILL CSP	The CUSIP's COD Chill Indicator is on.	Enter a differ CUSIP.
PAST CUT-OFF TIME FOR FAST CUSIP	The cutoff time for <i>FAST</i> CUSIPs has been reached.	<i>FAST</i> CUSIPs can be entered on the next business day. Delete this item and continue data entry with non- <i>FAST</i> CUSIPs.
FUNCTION NOT AVAIL-ABLE FOR FAST CUSIP	The function is not available for <i>FAST</i> CUSIPs.	<i>FAST</i> CUSIPs can be entered on the next business day. Delete this item and continue data entry with non- <i>FAST</i> CUSIPs.
INTERIM-SECURITY	The CUSIP number is in interim status.	Review the transaction and if acceptable, press the 'PF1/13' key to send transaction(s) to the system.

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Asset Services

WITHDRAWAL OF MUNICIPAL BEARER BONDS (CODB)

FEBRUARY 07, 2024

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WITHDRAWAL OF MUNICIPAL BEARER BONDS (CODB)

Overview

The Withdrawal of Municipal Bearer Bonds function (CODB) enables Participants to make same-day withdrawals of physical certificates.

The CODB function does the following:

- Validates the withdrawal against the Participant's net General and Interim Unpledged accounts.
- Reduces the Participant's Unpledged account, if the position is available.
- Prints a CODB ticket on the Participant's printer, which is used for pickup of the Bearer Bonds at DTC.

FAST COD withdrawal is also available.

How To Update

Step **Action**

Step 1 Enter 'CODB' when the Enter Function Prompt Screen appears (Figure 1).

```

#####                D E P O S I T O R Y   T R U S T
10/18/85
#####-##                P A R T I C I P A N T   T E R M I N A L   S Y S T E M
13:30:11

ENTER FUNCTION:  CODB

```

Figure 1. Enter Function Prompt Screen

Step 2 Press the ENTER key. The CODB Data Entry Screen appears (Figure 2).

```

                                MUNICIPAL BEARER BONDS SAME DAY WITHDRAWAL
0/18/85

3:32:18
SIGNON PT#:      2199                DTC TEST BROKER

USIPTY _____ PRVNT  _____ NTER "P" TO PREVENT RECYCLE
tab RECYL  _____

 1
 2
 3
 4
 5
 6
 7
 8
 9
10
11
12
13
14
  THE DUP KEY CAN BE USED ON ALL THE ABOVE FIELDS

```

Figure 2. CODB Data Entry Screen

Step 3 Type in a withdrawal item (refer to Figure 3 and Section 3.02.3).

```

10/18/85                MUNICIPAL BEARER BONDS SAME DAY WITHDRAWAL
13:32:18
SIGNON PT#:            2199          DTC TEST BROKER
      CUSIP            QTY-----  PRVNT  -----  ENTER 'P' TO PREVENT RECYCLE
                          RECYL
1  170214BB5          000000          P
2  189810QK3           200
3  196477CN1          5500
4  197504AR4          2000          P
5  207745GW4           800
6  219704AB9           500
7  220111XE3           200          P
8  220255EJ8           100
9  233911AF3          3000
10
11
12
13
14
THE DUP KEY CAN BE USED ON ALL THE ABOVE FIELDS
    
```

Figure 3. CODB Data Entry Screen displaying withdrawal items

Note:

A maximum of 14 items per screen is available. To save key strokes, use the 'DUP' key located on top of the 'PA1' key to duplicate the data fields from the above line when the data is the same (Figures 4 and 5). Only the 'ENTER' key can be used with 'DUP' key processing.

```

10/18/85                MUNICIPAL BEARER BONDS SAME DAY WITHDRAWAL
13:32:18
SIGNON PT#:            2199          DTC TEST BROKER
      CUSIP            QTY      -----  PRVNT  -----  ENTER 'P' TO PREVENT
RECYCLE
                          RECYL
1  207747EK8          150          P
2  "                  "          "
3  "                  "          "
4  "                  "          "
5
6
7
8
9
10
11
12
13
14
THE DUP KEY CAN BE USED ON ALL THE ABOVE FIELDS
    
```

Figure 4. Data Screen with DUP Key Used

```

MUNICIPAL BEARER BONDS SAME DAY WITHDRAWAL
10/18/85
13:32:18
SIGNON PT#:          2199          DTC TEST BROKER
      CUSIP      QTY      -----  PRVNT  -----  ENTER 'P' TO PREVENT
RECYCLE
1   207747EK8   150          P   CTRCHMGZ-CPNJD96RR- 4
2   207747EK8   150          P   CTRCHMGZ-CPNJD96RR- 4
3   207747EK8   150          P   CTRCHMGZ-CPNJD96RR- 4
4   207747EK8   150          P   CTRCHMGZ-CPNJD96RR- 4
5
6
7
8
9
10
11
12
13
14
THE DUP KEY CAN BE USED ON ALL THE ABOVE FIELDS
    
```

Figure 5. Data Screen After DUP Key Used

Step 4 Press the 'PF1/13' key.

- If no errors are detected, a new CODB Data Entry Screen appears and a CODB ticket is printed (Figures 6 through 8).

```

o 0 0000219900-00016
o
o
o 08/01/85  11:34:29  DTC CODB RESPONSE  TERM-9999  DTC TEST BROKER
2199 o
o
o TRANS#:      00008  -  OA
o
o
o USE THIS FORM TO PICK UP SECURITIES AT DTC
o
o
o -ID  #####-##
o
o
o CUSIP:  837117BS8      SCRHSGAT07.00JJ0711 4
o
o
o
o QUANTITY:  550
    
```

Figure 6. Ticket Sample of a Made Transaction

```

o 0 0000219900-00017
o
o
o 08/01/85 11:34:51 DTC CODB RESPONSE TERM-9999 DTC TEST BROKER
2199 o
o
o TRANS#: 00008 - OB
o
o
o CODB PENDING RECEIPT OF SUFFICIENT POSITION
o
o
o -ID #####-##
o
o
o CUSIP: 837117BS8 SCRHSAT07.00JJ0711 4
o
o
o QUANTITY: 900
o
o
o RECYCLING
o

```

Figure 7. Ticket Sample of a Recycling Transaction

```

o 0 0000219900-00018
o
o
o 08/01/85 11:35:44 DTC CODB RESPONSE TERM-9999 REORG ACCT
2199 o
o
o TRANS#: 00019 - 04
o
o
o INSUFFICIENT POS--AVAIL. POS. 349
o
o
o -ID #####-##
o
o
o CUSIP: 837117BS8 SCRHSAT07.00JJ0711 4
o
o
o QUANTITY: 1000
o
o
o DROPPED
o

```

Figure 8. Ticket Sample of a Dropped Transaction

- If errors are detected, an appropriate error message is displayed on the CODB Data Entry Screen (Figure 9) and no CODB ticket is printed.

```

MUNICIPAL BEARER BONDS SAME DAY WITHDRAWAL
10/18/85
13:32:18
SIGNON FT#:          2199          DTC TEST BROKER
      CUSIP          QTY-----  PRVNT  -----  ENTER 'P' TO PREVENT RECYCLE
                          RECYL
1  170214BB5        000000          P      INV QTY
2  189810QK3         200              INV CUSIP
3  196477CM1              NYGGNOB06.60MN 1189 4
4  197504AR4        2000          P      INELG CUSIP
5  207745GW4         800              CARSGFM08.75MS88RR-4
6  219704AB9         500              TXGGENIM05.75MS0391 4
7  220111XE3         200          P      TXRWTRWK13.00JJ07874
8  220255EJ8         100              FLRHSGFN11.00mn87RR 4
9  233911AF3        3000
10
11
12
13
14
THE DUP KEY CAN BE USED ON ALL THE ABOVE FIELDS

```

Figure 9. CODB Error Screen

Step 5 Repeat Steps 3 and 4 for each withdrawal item. A maximum of 14 items per screen is available.

Step 6 Press either:

- 'PF8/20' key to change the function.
- 'PF9/21' key to end the processing session.

Note:

To view the results before updating (pre-edit facility), press the 'ENTER' key prior to Step 4. Description of Error Messages (if any) and CUSIP descriptions are shown for each CODB. This, however, causes slower and more costly updating when no errors exist.

Screen Recovery:

The *PTS* keeps track of all CODB screens entered for updates (when the 'PF1' key was used). If a system failure occurs, the last screen successfully accepted for update is displayed when the Participant logs on again. This screen should be used in conjunction with the paper work the User keys from. A message on Line 1 appears, indicating that recovery has occurred (Figure 10).

```

LAST CODB SCREEN ACCEPTED BY AT 13:31:22      -PRESS ENTER TO CONTINUE
MUNICIPAL BEARER BONDS SAME DAY WITHDRAWAL
10/18/85
13:32:18
SIGNON PT#:          2199          DTC TEST BROKER
      CUSIP          QTY-----  PRVNT  -----  ENTER 'P' TO PREVENT RECYCLE
1  170214BB5      88000          P
2  189810QK3       200
3  196477CM1       5500
4  197504AR4       2000          P
5  207745GW4        800
6  219704AB9        500
7  220111XE3        200          P
8  220255EJ8        100
9  233911AF3       3000
10
11
12
13
14
THE DUP KEY CAN BE USED ON ALL THE ABOVE FIELDS
    
```

Figure 10. Recovery Screen

Note:

Screen recovery only occurs if the Participant is in an update or data collection function, and at least one screen of data (full or partial) has been entered correctly.

Data *cannot* be entered on this screen. It is only for viewing the last data lines accepted.

Press the 'ENTER' key to return to the Enter Function Prompt Screen, to continue with CODB, or to enter another function.

Screen And Ticket Fields

(1) Screen Fields

A maximum of 14 CODB Withdrawal items may be entered on one screen. Each requires the following information:

- CUSIP: Nine-digit CUSIP number.
- QTY: Six-digit field containing the quantity of bonds.
For example:
1 = 1,000
5 = 5,000
10 = 10,000
100 = 100,000
- PRVNT RECYL: One-digit field containing the letter P if the transaction is to be dropped (when the Participant's account is insufficient).

(2) Ticket Fields

A hardcopy ticket of each CODB transaction is provided. Each ticket contains the following information:

- Line 1: A message number that allows for retrieval and reprinting of the page, if necessary.
- Line 2: Date, time, report title, station number and the withdrawing Participant name and number.
- Line 3: A DTC internal transaction identification number.
- Line 4: Informational message based on status:
 - (Accepted) 'USE THIS FORM TO PICK UP BEARER BONDS AT DTC'
 - (Recycling) 'CODB PENDING RECEIPT OF SUFFICIENT POSITION'
 - (Dropped) 'INSUFFICIENT POS. AVAIL POS nn,nnn,nnn'
 - (Dropped) 'INSUFFICIENT SHARES AVAIL POS nnn,nnn,nnn CM \$nn,nnn,nnn.nn'
 - (Dropped) 'INSUF. MAJ.COLLATL AVAIL POS nnn,nnn,nnn CM \$nn,nnn,nnn.nn'
 - (Recycling) 'PENDING FOR SHARES'
 - (Recycling) 'PENDING FOR COLLATERAL'
- Line 5: PTS ID of Participant signed on.
- Line 6 and 7: CUSIP and QUANTITY input fields.
- Line 8: Blank if the transaction is accepted; otherwise one of the following Status Messages is displayed:
 - 'RECYCLING'
 - 'DROPPED'
 - 'UNPROCESSED'
 - 'UPDATE-STATUS UNKNOWN'
 - 'REJECTED' 'EDIT ERRORS'

These tickets are used for messenger pickup of securities at DTC in accordance with established rules. DTC does not accept tickets bearing the legend(s) 'RECYCLING' or 'INSUFFICIENT POSITION', or tickets produced using the Reprint function (unless prior arrangements have been made).

Ensure that the second copy of the PTS Terminal ticket (which is used to pick up Bearer Bonds at DTC) displays the Participant's facsimile signature or rubber stamp impression currently on file at DTC.

Messages And Corrections

Message	Reason	Corrective Action
CODB: FUNCTION UNAVAILABLE	The Function is temporarily not available.	Check your printed messages to see which transaction was last processed.
CODB: PAST CUT-OFF TIME	The cutoff time for this function has been reached. The function is not available for Data Entry.	The function is available the next business day for data entry. Wait until then or use an established alternate method.
INVALID KEY PRESSED	A key other than 'ENTER' or 'PF1/13' was pressed.	Press the 'ENTER' or 'PF1/13' key.
NO DATA ENTERED	All input fields are blank.	Enter the correct CODB data.
TRANSMISSION ERROR PLEASE REKEY DATA	Data not received properly-input ignored.	Re-key the CODB data.
INV CUSIP	The CUSIP Number is missing or in an incorrect format.	Enter the correct CUSIP or delete the item.
INELG CUSIP	The CUSIP Number is ineligible.	Enter the correct CUSIP or delete the item.
INV QTY	The Quantity is missing zeroes, or in an incorrect format.	Enter the correct Quantity or delete the item.
PAST CUTOFF TIME FOR GARDEN CITY	The Cutoff time has been reached for bonds kept in Garden City.	The function is available the next business day for data entry. Wait until then, or use an established alternate method.
FUNCTION NOT AVAIL-ABLE FOR GARDEN CITY	The function is temporarily not available for bonds kept in Garden City.	Check the printed messages to see which transaction was last processed, and re-enter those transactions not processed as soon as the function is available.
INV PVT CD	The Prevent Recycle Code is not valid.	Enter 'P' or leave blank.
GOVT. SEC NOT ACCPTD	Government Securities are not allowed.	Delete this CUSIP or enter another CUSIP.
NO TRANSACTIONS HAVE BEEN ENTERED	All input fields are blank.	Enter the CODB data.
PAST CUTOFF TIME- USE ENTER KEY TO EXIT	The cutoff time for this function has been reached.	CODB is available next business day.
DUP PROCESSING NOT COMPLETED-NOTHING ENTERED IN A FIELD TO BE COPIED	The Dup key was used on a field that had nothing on the prior line.	Delete or correct the prior line.

Message	Reason	Corrective Action
RECOVERY UNABLE TO COMPLETE, PLEASE HIT ENTER KEY	The function is temporarily unavailable.	Wait until the function is available.
SDFS INELG	The Participant is not eligible for same-day fund processing.	Enter a non-SDFS CUSIP.
CHILL CSP	The CUSIP's COD Chill Indicator is on.	Enter a different CUSIP.

Messages And Corrections (continued)

Fields entered incorrectly may be corrected in the following manner:

- Re-key the data correctly into the field(s) and press the 'ENTER' or 'PF1/13' key when the screen is completed.
- Press the 'CLEAR' key (to clear the entire screen) and re-key the COD data. Press the 'ENTER' or 'PF1/13' key when the screen is completed.
- Delete a single COD item by tabbing the cursor to the beginning of each field (in the line to be deleted) and press the 'EOF' key. Press the 'ENTER' or 'PF1/13' key when the screen is completed.

Considerations

CODB Recycle

Participants may utilize the recycle feature to make use of an expected position. The need to re-enter transactions is eliminated since recycling CODBs are periodically validated against the Participant's account. Once position becomes available, the CODB is applied, and the Participant's account is reduced. The following occurs concurrently with the update:

- A Reply Form is produced at DTC. The second copy is attached to the requested securities.
- A new CODB ticket is automatically generated (via the UMS option) on the Participant's printer with the notification that the Prev-Pend has updated. Part 1 of this ticket is used to pick up the securities.

If position does not become available by CODB cutoff time, the recycle is dropped and account updating does not occur.

CODB Drop

As previously noted, a CODB transaction submitted via the PTS terminal is immediately dropped if position is not available and the Prevent Recycle option was exercised. The Participant should use the Security Position Inquiry (refer to POS, Section 2.02) to determine when position is sufficient, and then re-enter the CODB transaction as explained in the Procedure Section.

Erroneous Withdrawal

If an erroneous CODB occurs (incorrect quantity, bond, etc.), the Participant is required to receipt the bonds and deposit them in accordance with DTC's General Operating Procedures. The Participant should then re-enter the withdrawal request to receive the desired securities.

Withdrawal Limitations

Depository Facility CODBs are not currently available via PTS. The Participant must follow DTC's General Operating Procedures for these types of withdrawals.

Participants should also note that denomination breakdowns cannot be requested for a CODB transaction submitted via *PTS*. However, the Participant may generate multiple CODBs for a given issue. Therefore, if 5 x

10,000 is needed, the Participant may enter and update 5 separate CODBs with the quantity of 10,000. Billing in this case would be for five transactions.

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Asset Services

CTAS

FEBRUARY 07, 2024

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CTAS:

Introduction

Overview

The Collateralized Mortgage Obligation (CMO) Trade Adjustments System (CTAS) function automates principal and interest adjustments for trades in certain CMO and other Asset-Backed Securities (ABS) that settled at DTC in the period between the accrual end date (commonly known as the beneficiary date) and the corresponding payment date.

When to Use

If you are the delivering or receiving Participant, you can use CTAS to inquire about your adjustments (either pending or made) by post date (scheduled date of adjustment) or by CUSIP. Participants may view only those adjustments where they are either the deliverer or receiver. If you are the receiving Participant, you can also delete a pending adjustment that has a post date later than the current date (made adjustments can only be queried). If you are the delivering Participant, you can also revise the trade coupon rate or trade factor.

CTAS is available on business days from 6:00 a.m. to 8:00 p.m. eastern time.

Note

- You can also use the ART function to view the original Deliver Order (DO) on the Activity History Details screen.

Associated Products

CTAS is used in association with the Collateralized Mortgage Obligation (CMO) Trade Adjustment (CTAS) System.

List of Procedures:

Deleting Adjustments

Use the following procedure to delete an adjustment.

Warning! Important:

Before you can delete adjustments, you must have update abilities for the CTAS function. Contact your Relationship Manager. Also, only the receiving Participant can delete adjustments.

1. Use one of the preceding procedures to access the Detail Display screen for the adjustment you want to delete.

Note

- If you are a DIVD user, you can access CTAS through the Dividend Selection Menu, or through the **Menu Bar** of other Dividend-related functions. See DIVD for more information.

2. Type D to the left of the desired adjustment and press ENTER.
Result- The message 'Please press PF1/13 to confirm delete' appears.
3. Press PF1/13.
Result- The message 'Item has been deleted' appears.

Revising Trade Factors and Trade Coupon Rates

Use the following procedure to make revisions to the traded factors and traded coupon rates for trades in which you were the deliverer.

1. Use one of the following procedures to access the Expanded Detail Display screen for the adjustment you want to view:
 - Viewing Adjustments by Post Date
 - Viewing Adjustments for a Specific Post Date
 - Viewing Adjustments for a Specific Security
 - Viewing Adjustments for a Specific Contra-Participant
 - Viewing Adjustments for a Specific Post Date and CUSIP
 - Viewing Adjustments for a Specific Post Date and Contra Participant

Note

- If you are a DIVD user, you can access CTAS through the Dividend Selection Menu or through the **Menu Bar** of other Dividend-related functions. See DIVD for more information.

2. Press PF12/24.

Result- The Revise Trade Rates from First Adjustment screen appears.

Note

- If there are no active adjustments the PF12/24 key is not displayed on the Expanded Detail Display screen.

The PF12/24 key will not be displayed on the screen if you do not have update authority and also if you are the receiver in the trade that is displayed.

3. Type a new trade factor in the **Trade Factor** field and/or a new coupon rate in the **Trade Coupon Rate** field and press ENTER.

Result- The message 'Press PF1/13 To confirm rate revision (s) or retype revision (s) and press ENTER' appears.

4. Press PF1/13.

Result- The message 'Rate revision (s) have been accepted and adjustment has been recalculated' appears.

Viewing Activity History for an Adjustment

Use the following procedure to display a history of activities for a specific adjustment. The history will include details of the original Deliver Order (DO).

1. Use one of the preceding procedures to access the Detail Display screen for the adjustment you want to view.

Note

- If you are a DIVD user, you can access CTAS through the Dividend Selection Menu, or through the **Menu Bar** of other Dividend-related functions. See DIVD for more information.

2. Type A to the left of the desired adjustment and press ENTER.

Result- The Activity History Details screen appears.

Note

- This screen is part of the ART function.

3. To return to the Detail Display screen, press PF3/15.

Viewing Adjustments by Post Date

Use the following procedure to view a list of adjustments in descending post date order, and select adjustments for detail viewing.

1. Type CTAS on the Enter Function screen and press ENTER.

Result- The Selection Menu appears.

Note

- If you are a DIVD user, you can access CTAS through the Dividend Selection Menu or through the **Menu Bar** of other Dividend-related functions. See DIVD for more information.

2. Type X to the left of the **Post Date** field and press ENTER.

Result- The Post Date Summary of Details screen appears displaying adjustments in descending post date order. The number of adjustments for each date is included in the display.

Note

- If the post date you want is not displayed, type the date in the **Go To Post Date** field in *mmddyy* format and press ENTER. The specified date moves to the top of the display.

3. Type X to the left of the desired **Post Date** and press ENTER.

Result- The CUSIP Summary of Details screen appears displaying a list of adjustments for the selected date in ascending CUSIP number order.

Note

- If the security you want is not displayed, type the CUSIP number in the Go To CUSIP field and press ENTER. The specified CUSIP moves to the top of the display.

4. Type X to the left of the desired **CUSIP** and press ENTER.

Result- The Detail Display screen appears.

Note

- If the adjustment you want is not displayed, type the contra party's DTC Participant number in the **Go To Contra ID** field and press ENTER. The specified contra-Participant number moves to the top of the display.

5. Type X to the left of the desired adjustment and press ENTER.

Result- The Expanded Detail Display screen appears, which contains complete information about a particular adjustment. There may be multiple adjustments for a single trade if this adjustment is a variable rate CMO.

6. *Optional:* Press PF11/23 to view the next adjustment.

Viewing Adjustments for a Specific Contra Participant

Use the following procedure to view adjustments for a specific contra Participant.

1. Type CTAS on the Enter Function screen and press ENTER.

Result- The Selection Menu appears.

Note

- If you are a DIVD user, you can access CTAS through the Dividend Selection Menu or through the **Menu Bar** of other Dividend-related functions. See DIVD for more information.

2. Type the DTC Participant number for the desired contra-Participant in the **Contra ID** field and press ENTER.

Result- The Post Date Summary of Details screen appears displaying a list of adjustments for the specified contra-Participant in descending post date order.

Note

- If the post date you want is not displayed, type the date in the **Go To Post Date** field in *mmddyy* format and press ENTER. The specified date moves to the top of the display.

3. Type X to the left of the **Post Date** field and press ENTER.

Result- The CUSIP Summary of Details screen appears displaying the adjustments for the specified security on the selected date in descending CUSIP number order.

Note

- If the security you want is not displayed, type the CUSIP number in the **Go To CUSIP** field and press ENTER. The specified CUSIP moves to the top of the display.

4. Type X to the left of the desired **CUSIP** and press ENTER.

Result- The Detail Display screen appears.

5. Type X to the left of the desired adjustment and press ENTER.

Result- The Expanded Detail Display screen appears, which contains complete information about a particular adjustment. There may be multiple adjustments for a single trade if this adjustment is a variable rate CMO.

6. *Optional:* Press PF11/23 to view the next adjustment.

Viewing Adjustments for a Specific Post Date

Use the following procedure to view a list of adjustments for a specific post date.

1. Type CTAS on the Enter Function screen and press ENTER.

Result- The Selection Menu appears.

Note

- If you are a DIVD user, you can access CTAS through the Dividend Selection Menu or through the **Menu Bar** of other Dividend-related functions. See DIVD for more information.

2. Type the desired date in the entry field to the right of the **Post Date** field in *mmddyy* format.

3. Press ENTER.

Result- The Post Date Summary of Details screen appears displaying a list of adjustments for the specified date.

- Type X to the left of the **Post Date** field and press ENTER.

Result- The CUSIP Summary of Details screen appears displaying a list of adjustments for the specified date in descending CUSIP number order.

Note

- If the security you want is not displayed, type the CUSIP number in the **Go To CUSIP** field and press ENTER. The specified CUSIP moves to the top of the display.

- Type X to the left of the desired **CUSIP** and press ENTER.

Result- The Detail Display screen appears.

- Type X to the left of the desired adjustment and press ENTER.

Result- The Expanded Detail Display screen appears, which contains complete information about a particular adjustment. There may be multiple adjustments for a single trade if this adjustment is a variable rate CMO.

- Optional:* Press PF11/23 to view the next adjustment.

Viewing Adjustments for a Specific Post Date and Contra Participant

Use the following procedure to view adjustments for a specific contra Participant on a specific post date.

- Type CTAS on the Enter Function screen and press ENTER.

Result- The Selection Menu appears.

Note

- If you are a DIVD user, you can access CTAS through the Dividend Selection Menu, or through the **Menu Bar** of other Dividend-related functions. See DIVD for more information.

- Type the desired date in the entry field to the right of the **Post Date** field in **mmddyy** format.

- Enter the DTC Participant number for the contra Participant in the **Contra ID** field and press ENTER.

Result- The CUSIP Summary of Details screen appears displaying the selected adjustments in descending CUSIP number order.

Note

- If the security you want is not displayed, type the CUSIP number in the **Go To CUSIP** field and press ENTER. The specified CUSIP moves to the top of the display.

- Type X to the left of the desired **CUSIP** and press ENTER.

Result- The Detail Display screen appears.

- Type X to the left of the desired adjustment and press ENTER.

Result- The Expanded Detail Display screen appears, which contains complete information about a particular adjustment. There may be multiple adjustments for a single trade if this adjustment is a variable rate CMO.

- Optional:* Press PF11/23 to view the next adjustment.

Viewing Adjustments for a Specific Post Date and CUSIP

Use the following procedure to view adjustments for a specific security on a specific post date.

1. Type CTAS on the Enter Function screen and press ENTER.

Result- The Selection Menu appears.

Note

- If you are a DIVD user, you can access CTAS through the Dividend Selection Menu, or through the **Menu Bar** of other Dividend-related functions. See DIVD for more information.

2. Type the desired date in the entry field to the right of the **Post Date** field in *mmddyy* format.
3. Enter the nine-digit CUSIP number for the described security in the **CUSIP** field and press ENTER.

Result- The Detail Display screen appears.

4. Type X to the left of the desired adjustment and press ENTER.

Result- The Expanded Detail Display screen appears, which contains complete information about a particular adjustment. There may be multiple adjustments for a single trade if this adjustment is a variable rate CMO.

5. *Optional:* Press PF11/23 to view the next adjustment.

Viewing Adjustments for a Specific Security

Use the following procedure to view adjustments for a specific security.

1. Type CTAS on the Enter Function screen and press ENTER.

Result- The Selection Menu appears.

Note

- If you are a DIVD user, you can access CTAS through the Dividend Selection Menu or through the **Menu Bar** of other Dividend-related functions. See DIVD for more information.

2. Type the nine-digit CUSIP number for the desired security in the **CUSIP** field and press ENTER.

Result- The Post Date Summary of Details screen appears displaying a list of adjustments for the specified security in descending post date order.

Note

- If the post date you want is not displayed, type the date in the **Go To Post Date** field in *mmddyy* format and press ENTER. The specified date moves to the top of the display.

3. Type X to the left of the **Post Date** field and press ENTER.

Result- The Detail Display screen appears.

4. Type X to the left of the desired adjustment and press ENTER.

Result- The Expanded Detail Display screen appears, which contains complete information about a particular adjustment. There may be multiple adjustments for a single trade if this adjustment is a variable rate CMO.

5. *Optional:* Press PF11/23 to view the next adjustment.

List of Screens:

CUSIP Summary of Details Screen

The CUSIP Summary of Details screen displays a list of adjustments for which you are either the deliverer or receiver, and allows you to select a specific security and view adjustment details for that security.

Sample Screen

```

T$VV          CMO TRADE ADJUSTMENT SYSTEM          MM/DD/YY
00002199-99          CUSIP SUMMARY OF DETAILS          HH:MM:SS

PARTICIPANT: 2199 - TEST
POST DATE:      MM/DD/YY          GO TO CUSIP:

      CUSIP          ----- DEBIT -----          ----- CREDIT -----
      CUSIP          AMOUNT          ITEMS          AMOUNT          ITEMS
x 68338RAH3          $1,295.53          1          $1,295.53          1

X: SELECT DETAILS          PF6/18: PREVIOUS MENU          PF11/23: PAGE FORWARD
PF9/21: SIGNOFF          PF7/19: MAIN MENU          PF10/22: PAGE BACK
    
```

Field Descriptions

This field	Displays
Participant	Your Participant number and name.
Post Date	The post date you selected on the Post Date Summary of Details screen.
Go To CUSIP	An entry field that allows you to bring a specific security to the top of the display. Enter the desired nine-digit CUSIP number.
CUSIP	A list of CUSIP numbers for the adjustments for which you are either the deliverer or receiver.
Debit Amount	The total debit amount for the listed security.
Debit Items	The number of debit adjustments for the listed security.
Credit Amount	The total credit amount for the listed security.
Credit Items	The number of credit adjustments for the listed security.

Detail Display Screen

The Detail Display screen allows you to view the details of an adjustment you select on the Post Date Summary of Details screen, the CUSIP Summary of Details screen, or by specifying a post date and CUSIP on the Selection Menu.

Sample Screen

```

T$VV                      CMO TRADE ADJUSTMENT SYSTEM          MM/DD/YY
00002199-99                DETAIL DISPLAY                      HH:MM:SS

PARTICIPANT: 2199 - TEST
POST DATE:      MM/DD/YY          GO TO CONTRA ID:
CUSIP:          68338RAH3 - TEST CUSIP

CONTRA    ADJUSTMENT    DTC DELIVERY    TRADE QTY    TRADE
ID        AMOUNT          DATE            50,000      AMOUNT
x 0279    $1,295.53 D    MM/DD/YY     50,000      $34,272.90
P 0901    $1,295.53 D    MM/DD/YY     34,422      $34,272.90
P 0901    $1,295.53 C    MM/DD/YY     34,422      $34,272.90
_ 0901    $1,295.53 C    MM/DD/YY     50,000      $34,272.90

(P) DENOTES PAIRED ITEMS.

X: EXPAND DETAIL  D: DELETE ITEM  PF6/18: PREVIOUS  PF11/23: PAGE FORWARD
A: ATP HISTORY    PF7/19: MAIN MENU  PF10/22: PAGE BACK
    
```

Field Descriptions

This field	Displays
Participant	Your Participant number and name.
Post Date	The post date for the selected adjustment (s).
Go To Contra ID	An entry field that allows you to bring a specific contra- Participant to the top of the display. Enter the desired four- digit Participant number.
CUSIP	The CUSIP number and a brief description of the security for the adjustment (s).
Contra ID	The DTC Participant number of the party with which the adjustment was made.
Adjustment Amount	The amount for this specific adjustment.
DTC Delivery Date	The date on which delivery was made via DTC.
Trade Qty	The number of shares traded, in thousands.
Trade Amount	The amount of the original trade.

Expanded Detail Display Screen

The Expanded Detail Display screen allows you to view additional details for a specific adjustment selected on the Detail Display screen.

Sample Screen

```

X$VC  X76          XMO TRADE ADJUSTMENT SYSTEM          DATE:  MM/DD/YY
00002199-99      EXPANDED DETAIL DISPLAY              TIME:  HH:MM:SS
PARTICIPANT:  2199-99  - TEST
CUSIP NO      SECURITY DESCRIPTION                    PAYABLE DATE
31359RU34    CMO FANNIE MAE 1998-M3 D02/17/98  0.010% JJ38    04/17/99
              SETTLEMENT ADJUSTMENT HAS BEEN CONFIRMED

YOUR ACCOUNT WAS DEBITED  IN SAME DAY FUNDS ON 05/14/99 BY
$2.76  DUE TO A DELIVER ORDER TRADE ACTIVITY ON 04/07/99
YOU DELIVERED TO PART 2198 -CS XYZ COMP QTY $36,685,955 FACE VALUE

$0.00  IN PRINCIPAL ADJUSTMENT BASED ON 0.984219604852 ACTUAL
        FACTOR AND 0.985393968901 TRADE FACTOR (GENERATED)

$2.76DB IN INTEREST ADJUSTMENT BASED ON 06 DAYS FROM ACCRUAL END
        DATE OF 04/01/99 TO TRADE SETTLEMENT DATE OF 04/07/99
        AT .4857800 ACTUAL COUPON RATE
        AND .4862400 PREVIOUS COUPON RATE.

TRADE ALSO ADJUSTED ON : 04/19/1999

PF6/18:PREV SCREEN  PF10/22:PREV ADJ          PF12/24:REVISE RATES
    
```

Field Descriptions

This field	Displays
Participant	Your Participant number and name.
CUSIP No	The CUSIP number of the security for which the adjustment was made.
Security Description	A brief description of the security.
Payable Date	The date on which dividend or interest payment was made.
Detail Display Area	The details of the selected adjustment (dates, amounts, reason for adjustment, factor value, and so forth).

Function Keys

In addition to the standard function keys described in Using the Standard Function Keys you can press PF12/24 on the Expanded Detail Display screen to access the Revise Trade Rates From First Adjustment screen.

Post Date Summary of Details Screen

The Post Date Summary of Details screen displays a list of adjustments for which you are either the deliverer or receiver, and allows you to select a post date and view adjustment details for that date.

Sample Screen

```

T$VV          CMO TRADE ADJUSTMENT SYSTEM          MM/DD/YY
00002199-99   POST DATE SUMMARY OF DETAILS        HH:MM:SS

PARTICIPANT:   2199 - TEST                               GO TO POST DATE:

----- DEBIT -----
POST DATE      AMOUNT      ITEMS      CREDIT      ITEMS
-----
- 06/22/98      $ .00        0          $491.56      1
- 06/17/98      $ .00        0          $210.94      1
x 06/15/98      $1,295.53    1          $1,295.53    1
- 06/02/98      $430.51      2           $ .00        0
- 05/27/98     $10,804.13   1          $30,574.81   2
- 05/26/98      $3,779.67    1          $14,352.85   2
- 05/21/98      $ .00        0           $767.30      1
- 05/20/98     $89,290.59   6          $89,290.59   6
- 05/19/98      $ .00        0          $89,479.87   6

X: EXPAND SUMMARY      PF7/19: MAIN MENU      PF11/23: PAGE FORWARD
PF9/21: SIGNOFF        PF8/20: EXIT FUNC      PF10/22: PAGE BACK
    
```

Field Descriptions

This field	Displays
Participant	Your Participant number and name.
Go To Post Date	An entry field that allows you to bring a specific post date to the top of the display. Enter the desired date in <i>mmddy</i> format.
Post Date	A list of post dates for the adjustments for which you are either the deliverer or receiver.
Debit Amount	The total debit amount for the listed post date.
Debit Items	The number of debit adjustments for the listed post date.
Credit Amount	The total credit amount for the listed post date.
Credit Items	The number of credit adjustments for the listed post date.

Revise Trade Rates From First Adjustment Screen

The Revise Trade Rates From First Adjustment screen appears when you press PF12/24 on the Expanded Detail Display screen, and allows you to revise the trade factor and coupon rate for an adjustment.

Sample Screen

```

X$VC  X77          CMO TRADE ADJUSTMENT SYSTEM          DATE:   MM/DD/YY
00002199-99  REVISE TRADE RATES FROM FIRST ADJUSTMENT  TIME:   HH:MM:SS
PARTICIPANT: 2199 - TEST
CUSIP NO      SECURITY DESCRIPTION          PAYABLE DATE
31359RU34  CMO FANNIE MAE 1998-M3 D02/17/98  0.010% JJ38      04/17/99
          SETTLEMENT ADJUSTMENT HAS BEEN CONFIRMED

YOUR ACCOUNT WAS DEBITED  IN SAME DAY FUNDS ON      04/19/99 BY
          $2,954.68  DUE TO A DELIVER ORDER TRADE ACTIVITY ON      04/07/99
YOU DELIVERED TO  PART 2198 -CS XYZ COMP  QTY  $36,685,955  FACE VALUE

          $2,948.47DB IN PRINCIPAL ADJUSTMENT BASED ON      0.984219604852 ACTUAL
          FACTOR AND      0.985393968901  TRADE  FACTOR  (GENERATED)

          $6.21DB IN INTEREST ADJUSTMENT BASED ON 06 DAYS FROM ACCRUAL END
          DATE OF 04/01/99  TO TRADE  SETTLEMENT DATE OF 04/07/99
          AT      .4862400  LATEST  COUPON RATE
          AND      .4866900  TRADE  COUPON RATE.

TYPE OVER TRADE FACTOR AND/OR TRADE COUPON RATE AND PRESS ENTER

PF6/18:PREV SCREEN  PF7/19:MAIN MENU          PF12/24:REVISE RATES
    
```

Field Descriptions

This field	Displays
Participant	Your Participant number and name.
CUSIP Number	The CUSIP Number of the security for which the adjustment was made.
Security Description	A brief description of the security.
Payable Date	The date on which dividend or interest payment was made.
Detail Display Area	The details of the selected adjustments.
Trade Factor	An entry field that allows you to specify a new trade factor. Overtyping the displayed value.
Coupon Rate	An entry field that allows you to specify a new coupon rate. Overtyping the displayed value.

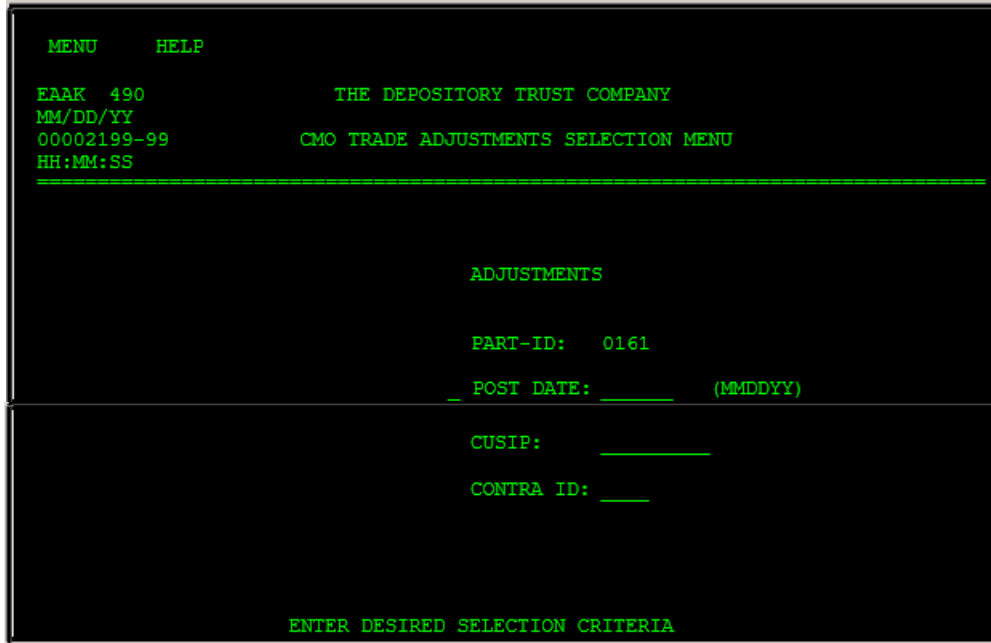
Function Keys

In addition to the standard function keys described in Using the Standard Function Keys you can press PF12/24 on the Revise Trade Rates From First Adjustment screen to refresh the screen and reenter your revisions.

Selection Menu

The Selection Menu allows you to enter the specifications of the adjustment (s) you want to view or delete.

Sample Screen



Field Descriptions

This field	Allows you to
Menu Bar	Return to the service menu, access help for this screen, or access related functions, if listed. Click below the desired option and press ENTER. Note - If you do not use a mouse, press HOME, press TAB until your cursor is below the desired option, then press ENTER.
Part-ID	View your participant number.
Post Date	View a list of adjustments in descending post date order, or enter a specific post date.
CUSIP	Enter a CUSIP number to view adjustments for a specific security.
Contra-ID	Enter a contra-participant's number to view adjustments for a specific contra Participant.

Messages

You may encounter the following messages when using the CTAS function. Messages are listed in alphabetical order, along with an explanation and suggested resolution for each.

Message Text	Possible Cause	Suggested Resolution
AT LEAST ONE REQUIRED MAKE ANOTHER SELECTION	ENTER was pressed but no criteria was specified on the Selection Menu.	Enter the desired selection criteria and press ENTER.
CUTOFF TIME FOR DELETE OF THIS ITEM HAS PASSED	The item selected for deletion has a past post date.	You can only delete adjustments with a present or future post date.
DB2 CONNECTION ERROR	The database is currently unavailable.	Try again later.
DB2 LOCKOUT PROBLEM TRY AGAIN	A system error occurred.	Try again later.
FIRST PAGE DISPLAYED	PF10/22 was pressed to scroll backward, but the beginning of available data for this display has been reached.	Press PF11/23 to scroll forward.
INVALID KEY PRESSED MAKE ANOTHER SELECTION	The PF key pressed is not valid for the screen or function being used.	Press one of the valid PF keys listed at the bottom of the screen.
ITEM HAS BEEN UPDATED	The action you requested for the selected adjustment has successfully taken place.	Information only; no action required.
LAST PAGE DISPLAYED	PF11/23 was pressed to scroll forward, but the end of available data for this display has been reached.	Press PF10/22 to scroll backward.
NO DATA FOUND FOR THIS SELECTION	No date was found for the specified post date, CUSIP, or contra-Participant combination entered on the Selection Menu.	Make another selection.
NO SELECTION ENTERED	ENTER was pressed but no criteria was specified on one of the Summary screens.	Enter the desired selection criteria and press ENTER.
PART-ID ERROR FOUND: CORRECT ALL HIGHLIGHTED FIELDS	An invalid Participant number was entered on the Selection Menu.	Enter a valid Participant number.
PAST CUTOFF/QUIESCE	The cutoff time for this function has been reached.	Try the function at another time. See When to Use for information about when to use the CTAS function.
PLEASE ENTER CORRECT COMMAND	An invalid option or selection was entered.	Enter one of the valid options listed at the bottom of the screen.
PLEASE ENTER VALID DATE (MMDDYY FORMAT)	An invalid date was entered.	Enter a valid date in mmddyy format.
SELECTION/OPTION: ERROR FOUND CORRECT ALL HIGHLIGHTED FIELDS	An invalid option or selection was entered.	Enter one of the valid options listed at the bottom of the screen.

Message Text	Possible Cause	Suggested Resolution
THE ONLY VALID COMMAND FOR THIS ITEM IS 'X'	An option other than X was specified for the selected item, but ATP Activity Details are not available for the item, or you cannot delete the item.	Type an X to the left of the item and press ENTER, or select another item.
TRANSMISSION ERROR DATA LOST: PRIOR screen DISPLAYED, INPUT DATA AGAIN	A system error occurred.	Re-type the last data you specified and press ENTER.
USER NOT ELIGIBLE FOR SELECTED FUNCTION	You are not authorized to access the CTAS function.	Contact your Relationship Manager if you need to use the CTAS function.

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Asset Services

CUST

FEBRUARY 02, 2024

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CUST

Introduction

Overview

The Participant Custody System (CUST) function allows you to inquire about and update custody security deposits and document deposits, to transfer custody certificates, to make location movements, and to perform withdrawals and physical settlements of custody items. You can:

- Deposit securities and enter deposit-related information.
- Deposit trailing documents
- Transfer securities from the DTC free account into Broker name or customer name
- Transfer ownership of securities
- View detail information about selected certificates.
- Update customer accounts
- Select certificates for partial processing.
- Change custody location.
- Process physical settlements
- Access SEEK for CUSIP/CINS number information.
- View a list of all securities and documents held in custody.
- View a summary or detail information for all activity in the custody system.

When to Use

Use CUST to deposit, withdraw, transfer, inquire or obtain images of custody certificates and documents. CUST is available all day every day.

List of Procedures:

Cancelling a Physical Settlement Item

Use this procedure if you want to cancel a physical settlement item.

1. Type CUST on the Enter Function screen and press ENTER.
Result- The Participant Custody System Main Menu appears.
2. Type 8 in the **Option field and press ENTER.**
Result- The Physical Settlement Menu screen appears.
3. Type 3 in the **Option field and type information in one of the following fields:**
 - **Ref ID**
 - **CUSIP**
4. Press ENTER.
Result- The New York Window System Settlement Inquiry screen appears.

5. Type information in the required fields and press ENTER.
Result- The New York Window System Settlement Summary screen appears.
6. Type C to the left of a selected item.
7. Press PF1/13.

Changing a Customer Account Number Globally

Use this procedure when you want to make a global change of a customer account number.

1. Type CUST on the Enter Function screen and press ENTER.
Result- The Participant Custody System Main Menu appears.
2. Type 7 in the **Option field and press ENTER**.
Result- The AIM-Custody Interface screen appears.
3. Type 3 in the **Enter Your Selection** field and press ENTER.
Result- The Customer Account Global Update screen appears.
4. Type the account number in the **Old Cust Acct** field and press ENTER.
Result- The message 'ENTER A NEW CUSTOMER ACCOUNT NUMBER' appears on the screen.
5. Enter a new customer account number in the **New Cust Acct** field and press ENTER.
Result- The message 'PLEASE PRESS PF1 KEY TO CONFIRM AND UPDATE' appears.
6. Press PF1/13.

Changing a Customer Account Number on a Single Certificate

Use this procedure when you want to change a customer account number for a single certificate.

1. Type CUST on the Enter Function screen and press ENTER.
Result- The Participant Custody System Main Menu appears.
2. Type 7 in the **Option field and press ENTER**.
Result- The AIM Custody Interface screen appears.
3. Type 2 in the **Enter Your Selection** field and press ENTER.
Result- The Customer Account Update-Single Certificate screen appears.
4. Type information in the following fields and press ENTER:
 - **CUSIP**
 - **Cert ID***Result-* The message 'ENTER A NEW CUSTOMER ACCOUNT NUMBER' appears on the screen.
5. Enter a new customer account number and press ENTER.
Result- The message 'PLEASE PRESS PF1 KEY TO CONFIRM AND UPDATE' appears.
6. Press PF1/13.

Changing Certificate Locations

Use this procedure when you want to move your custody deposits from one location to another.

1. Type CUST on the Enter Function screen and press ENTER.

Result- The Participant Custody System Main Menu appears.

2. Type information in the following fields:
 - 6 in the **Option field**.
 - **a reference number in the Ref ID field; optional**
 - **a valid CUSIP number in the CUSIP Number field; optional**
 - **a reference number in the Ref ID field; optional**

Note

-You must enter information in at least one of the optional fields.

3. Press ENTER.

Result- The Location Movement-Deposit Summary screen appears.

4. Type one of the following to the left of a selected reference ID:
 - D: to view certificate detail information or select certificates for partial processing
 - S: to select a deposit for movement.

5. Press ENTER.

Result- If you entered D, the Location Movement-Certificate Summary screen appears.

If you entered S, the Location Movement-Process screen appears.

6. Type one of the following to the left of a selected Cert. ID on the Location Movement-Certificate Summary screen:
 - P: to select certificate(s) for partial location movement processing
 - R: to view certificate registration.
7. Press ENTER.
8. Type the code in the **New Location** field on the Location Movement-Process screen.

Note

- Press PF2/14 for a list of location codes.

9. Press PF1/13.

Entering Document Information for a Security

Use the following procedure when you want to enter document information for a document deposit to your Custody position.

1. Type CUST on the Enter Function screen and press ENTER.

Result- The Participant Custody System Main Menu appears.
2. Type 1 in the **Option field on the Participant Custody System Main Menu and press ENTER.**

Result- The Security Deposit-Certificate screen appears.
3. Type information in the required fields. Refer to Making a Security Deposit.
4. Press PF4/16.

Result- The Security Deposit-Documents screen appears.
5. Type information in the following fields:

- Document Code
- Exp Date

6. Press PF1/13.

Mailing Inquiry Screen

The Mailing Inquiry screen appears when you press PF12/24 on the Inquiry screens you access from the Inquiry (Summary) screen.

Sample Screen

```

Q$VC                DEPOSITORY TRUST COMPANY                MM/DD/YY
00002199-99        PARTICIPANT CUSTODY SYSTEM                HH:MM:SS
                   MAILING INQUIRY

CUSIP:             022615108                LETTER TYPE:  PL
REF ID:            20010327XXXK10004        MAIL TYPE:    FEDEX
QUANTITY:          40,001.00000                MAIL STATUS:
SHIPPING NUM:      IN PROCESS                PRINT IND:    PENDING

                   MAILING ADDRESS
                   -----
                   DTC TEST
                   ATTN : OPERATIONS
                   55 WATER ST, 10TH FLOOR
                   NEW YORK
                   NY10000
                   2128859999

PF1: TRANSFER      PF2: CERT                PF3: DOC        PF4: DETAIL
PF6: SUMMARY       PF7: MENU                PF8: EXIT FUNC  PF9: SIGN OFF
    
```

Field Descriptions

This field	Displays
CUSIP	The CUSIP number of the security.
Letter Type	The letter type specific to a participant.
Ref. ID	The reference identification number.
Mail Type	One of the following: <ul style="list-style-type: none"> • 1st Class • FEDEX • DHL • UPS • Airborne
Quantity	The amount of the security.
Mail Status	One of the following: <ul style="list-style-type: none"> • Completed • N/A • Cancelled • Pending

This field	Displays
Shipping Num.	One of the following: <ul style="list-style-type: none"> • A Valid Airbill Number • N/A • In Process • Missing
Print Indicator	One of the following: <ul style="list-style-type: none"> • Pending Label • Mailed • Not Mailed • Value Limit Exceeded • Pending • N/A • Item Was Canceled
Mailing Address	The mailing address.

Function Keys

In addition to the standard function keys in *Using the Standard Function Keys*, the following are available on the Mailing Inquiry screen:

This key	Allows you to
PF1/13	Access the Transfer Inquiry screen.
PF2/14	Access the Certificate Inquiry screen.
PF3/15	Access the Document Inquiry screen.
PF4/16	Access the Detail Inquiry screen.
PF6/18	Access the Inquiry (Summary) screen.

Making a Document Deposit

Use the following procedure when you want to deposit documents.

1. Type CUST on the Enter Function screen and press ENTER.
Result- The Participant Custody System Main Menu appears.
2. Type 2 in the **Option field and type information in the following fields: optional**
 - **Ref ID**
 - **CUSIP**

Note

- You must enter the Reference ID, the CUSIP number or the Customer number.

3. Press ENTER.
Result- The Document-Deposit Summary screen appears.
4. Type one of the following to the left of a selected Reference ID:
 - **D:** to view certificate detail information or select certificates for partial processing.

- S: to select a deposit for document deposit processing.
5. Press ENTER.
Result- If you entered D, the Document Deposit-Certificate Summary screen appears. If you entered S, the Document Deposit-Process screen appears.
 6. Type R to the left of a selected Certificate ID on the Document Deposit-Certificate Summary screen.
Result- The Document Deposit-Registration screen appears.
 7. Type the required information on the Document Deposit-Process screen.
 8. Press ENTER to validate the data.
Result- If there are no errors the message 'PRESS PF1/13 TO UPDATE' appears.
 9. Press PF1/13.
Result- The message 'UPDATE SUCCESSFUL' appears.

Making A Security Deposit

Use the following procedure when you want to make a deposit of securities into your custody position.

1. Type CUST on the Enter Function screen and press ENTER.
Result- The Participant Custody System Main Menu appears.
2. Type 1 in the Option field on the Participant Custody System Main Menu and press ENTER.
Result- The Security Deposit-Certificate screen appears.
3. Type or select the applicable information in the fields provided.

Note

- The **OFAC Certified** field is mandatory for all U.S. participants. In order to successfully create a deposit, you must type Y in the **OFAC Certified** field. This indicates that your firm has screened the name(s) of the registered owner on each certificate contained in the deposit (or the most recent assignee, if applicable) against the OFAC list and that no valid matches were identified by such comparison. For more information, please see "About OFAC for Deposits" in the Service Topics section of the Deposits Service Guide.

4. Press ENTER to validate the data.
Result- If there are errors, an appropriate error message appears. If there are no errors, the message 'PRESS PF1/13 TO UPDATE' appears.
5. Press PF1/13.
Result- The message 'UPDATE SUCCESSFUL' appears.

Processing Partial Withdrawals

Use this procedure when you want to process partial withdrawals.

1. Type CUST on the Enter Function screen and press ENTER.
Result- The Participant Custody System Main Menu appears.
2. Type 8 in the Option field and press ENTER.
Result- The Physical Settlement Menu screen appears.
3. Type 1 in the Option field and type the applicable information in the following fields:
 - **Custody Ind:** Type Y.
 - **CUSIP;** optional.

- **Status**; optional.

Note

- You must enter *either* the reference ID or the CUSIP number.

4. Press ENTER.

Result- The Physical Settlement-Summary screen appears.

5. Type D to the left of a selected Reference ID and press ENTER.

Result- The Physical Settlement-Certificate screen appears.

6. Type P to the left of a selected Cert. ID and press ENTER.

Result- The Partial Withdrawal screen appears.

Note

- You can only process a partial withdrawal if you have more than one certificate on file.

7. Type the applicable data in the entry fields.
8. Press PF1/13 to update or PF2/14 to go to the next entry page.

Processing Physical Settlement Deliveries

Use this procedure when you want to process physical settlement deliveries.

1. Type CUST on the Enter Function screen and press ENTER.
Result- The Participant Custody System Main Menu appears.
2. Type 8 in the **Option field and press ENTER.**
Result- The Physical Settlement Menu screen appears.
3. Type 1 in the **Option field and type the applicable information in the following fields:**
 - **Custody Ind**

Note

- If you enter Y, you must enter the reference ID or the CUSIP number.

- **Ref ID; optional**
- **CUSIP; optional**
- **Status; optional**

Result- If the Custody Indicator is Y, the Physical Settlement-Summary screen appears. If the Custody Indicator is N the Physical Settlement Deliver-1 screen appears.

4. Press ENTER.
5. Type S on the Physical Settlement Deliver-1 screen and press ENTER.
Result- Physical Settlement Deliver-1 screen appears.
6. Type the applicable information in the entry fields.
7. Press PF1/13 to update or PF2/14 to go to the Physical Settlement Deliver-2 screen.
8. Type the applicable information in the entry fields.
9. Press PF1/13.

Processing Physical Settlement Receives

Use this procedure to process physical settlement receives.

1. Type CUST on the Enter Function screen and press ENTER.
Result- The Participant Custody System Main Menu appears.
2. Type 8 in the Option field and press ENTER.
Result- The Physical Settlement Menu screen appears.
3. Type 2 in the **Option field and press ENTER.**
Result- The Physical Settlement Anticipated Receive-1 screen appears.
4. Type the applicable information in the entry fields.

Note

- If you type Y in the **Due Bill Amt** field you must enter the due bill amount.

5. Press PF1/13 to update or Press PF2/14 to go to the Physical Settlement Anticipated Receive-2 screen.
6. Type the applicable information in the entry fields.
7. Press PF1/13.

Processing Withdrawals

Use this procedure when you want to withdraw securities from your custody account.

1. Type CUST on the Enter Function screen and press ENTER.
Result- The Participant Custody System Main Menu appears.
2. Type information in the following fields:
 - 5 in the **Option field**
 - **a reference number in the Ref ID field; optional**
 - **CUSIP number in the CUSIP Number field; optional**
 - **A valid customer account number in the Cust Acct Num field; optional.**

Note

-You must enter information in at least one of the optional fields.

3. Press ENTER.
Result- The Withdrawal-Deposit Summary screen appears.
4. Type one of the following to the left of a selected item:
 - D: to view certificate detail information or select certificates for partial processing
 - S: to select a deposit for withdrawal processing.
5. Press ENTER.
Result- If you entered D, the Withdrawal-Certificate Summary screen appears.
If you entered S, the Withdrawal-Process screen appears.
6. On the Withdrawal-Certificate Summary screen, type:
 - P: to select certificate(s) for partial withdrawal processing

- R: to view certificate registration.
7. Press ENTER.
 8. Type the applicable information in the following fields:
 - **Dest Code**
 - **Mailing Type**
 - **Mailing Address**
 9. Press PF1/13.

Reclaiming a Physical Settlement Item

Use this procedure if you want to reclaim a physical settlement item.

1. Type CUST on the Enter Function screen and press ENTER.
Result- The Participant Custody System Main Menu appears.
2. Type 8 in the **Option field and press ENTER.**
Result- The Physical Settlement Menu screen appears.
3. Type 3 in the **Option field and type information in one of the following fields:**
 - **Ref ID**
 - **CUSIP**
4. Press ENTER.
Result- The New York Window System Settlement Inquiry screen appears.
5. Type information in the required fields and press ENTER.
Result- New York Window System Settlement Summary screen appears.
6. Type R to the left of a selected item.
Result- The Physical Settlement Redeliver screen appears.
7. Type the applicable information in the following entry fields:
 - **Reclaim Cd**
 - **Settl Dt**
 - **Trans Ref No**
8. Type new information in any of the other entry fields.
9. Press PF1/13.

Requesting a Cancellation of a COD

Use this procedure if you want to request the cancellation of a COD.

1. Type CUST on the Enter Function screen and press ENTER.
Result- The Participant Custody System Main Menu appears.
2. Type 9 in the **Option field and press ENTER.**
Result- The Inquiry screen appears.
3. Type the applicable information in the following entry fields:
 - **Date; optional**

- **Activity; optional**
 - **Ref ID; optional**
4. Press ENTER.
- Result-* The screen displays the selected activity or a list of activities depending on the information you entered in the entry fields.
-
- Note**
- An asterisk in the **Activity** field next to a COD means that the COD is cancelled.
-
5. Type C to the left of a selected COD and press PF5/17.

Transferring Deposits

Use the following procedure when you want to request transfers for custody deposits.

1. Type CUST on the Enter Function screen and press ENTER.
Result- The Participant Custody System Main Menu appears.
2. Type 1 in the **Option field on the Participant Custody System Main Menu and press ENTER.**
Result- The Security Deposit-Certificate screen appears.
3. Type information in the required fields. Refer to Making a Security Deposit.
4. *Press* PF6/18.
Result- The Security Deposit-Transfer screen appears.
5. Type information in the following fields:
 - **Trf Type**
 - **Taxpayer ID**
 - **Tax WH**
 - **Citizen/LP**
 - **UIT CD**
 - **UIT CUSIP**
 - **Registration**
 - **Mail To Name/Address**
6. *Press* PF1/13.

Transferring Security from the Custody Position and Requesting Denomination Breakdowns

Use the following procedure when you want to transfer securities from your Custody position and to request specific denominations from the Transfer Agent.

1. Type CUST on the Enter Function screen and press ENTER.
Result- The Participant Custody System Main Menu appears.
2. Type:
 - 5 in the **Option field**
 - **a reference number in the Ref ID field; optional.**

- **CUSIP number in the CUSIP Number field; *optional*.**
- **A valid customer account number in the Cust Acct Num field; *optional*.**

Note

-You must enter information in at least one of the optional fields.

Result- The Transfer From DTC Free- Process screen appears.

3. Type:

- D to the left of a selected **Ref ID** to view certificate detail or to select certificates for partial processing
- S to select a deposit for transfer processing.

4. Press ENTER.

Result- If you entered D, the Transfer From Custody-Certificate Summary screen appears. If you entered S, the Transfer from Custody-Process screen appears.

5. On the Transfer from Custody-Certificate Summary screen, type:

- P: to select certificates for partial processing
- R: to view certificate registration.

Result- Press ENTER.

6. On the Transfer From Custody-Process screen, type the applicable information in the following fields:

- **Rush Ind.**
- **New Ref ID** (for partial transfers only).
- **Dest/Loc**
- **Mail Code**
- **TRF Type**
- **Taxpayer ID**
- **Tax Wh; *optional***
- **Citizen LP; *optional***
- **UIT CD; *optional***
- **UIT CUSIP; *optional***
- **Registration**
- **Mail to Name/Address**

7. Press ENTER to validate the data.

Result- If there are no errors, the message 'PRESS PF1/13 TO UPDATE' appears.

8. Press PF1/13.

9. Press PF4/16.

Result- The Transfer From Custody Process-Breakdown screen appears.

10. Type information in the following fields:

- **Num**
- **Denomination**

11. Press PF1/13.

Transferring Security from the Free Position and Requesting Denomination Breakdowns

Use the following procedure when you want to transfer securities from your free position and to request specific denominations from the Transfer Agent.

1. Type CUST on the Enter Function screen and press ENTER.
Result- The Participant Custody System Main Menu appears.
2. Type 3 in the **Option field** and press **ENTER**.
Result- The Transfer From DTC Free- Process screen appears.
3. Type information in the required fields.
4. Press ENTER to validate the data.
Result- If there are no errors the message 'PRESS PF1/13 TO UPDATE' appears.
5. Press PF1/13.
Result- The message 'UPDATE SUCCESSFUL' appears.
6. Press PF4/16 on the Transfer From DTC Free-Process screen.
Result- The Transfer From DTC Free-Process Breakdown screen appears.
7. Type information in the following fields.
 - **Num**
 - **Denomination**
8. Press PF1/13.

Viewing Certificate, Activity and Audit Trail Information Using the AIM Custody Interface

Use this procedure when you want to view certificate, activity or audit trail information using the AIM Custody Interface.

1. Type CUST on the Enter Function screen and press ENTER.
Result- The Participant Custody System Main Menu appears.
2. Type 7 in the **Option field** and press **ENTER**.
Result- The AIM Custody Interface screen appears.
3. Type 1 in the **Enter Your Selection** field.
Result- The AIM-Custody Inquiry Menu appears.
4. Type one of the following in the **Enter Your Selection** field and press ENTER:
 - 1: to view certificate information
 - 2: to view activity information
 - 3: to view audit trail information.*Result-* One of the following screens appears, depending on the option you selected:
 - Certificate Inquiry
 - Activity Inquiry
 - Audit Trail Inquiry.

5. Type information in the following fields on any of the screens that appear:
 - **CUSIP**
 - **As-of-Date**; *optional*
 - **DTC Box#**
 - **Cust Acct**
 - **Ref#**
 - **Cert ID**
 - **Seq ID**; *optional*.
6. Press ENTER.
Result- The screen displays the applicable information.
7. Type S to the left of a selected certificate ID and press ENTER.
Result- Depending on your selection one of the following screens appears:
 - Certificate Inquiry Detail
 - Activity Inquiry Detail
 - Audit Trail Inquiry Detail
8. *Optional.* Press PF5/17 on any of the detail screens to view registration information.
Result- Depending on the detail screen you are on, one of the following appears:
 - Certificate Inquiry Registration
 - Activity Inquiry Registration
 - Audit Trail Inquiry Registration

Note

- You can press PF5/17 on any of the registration screens to access document information.

9. *Optional.* To request that an image of the certificate be sent to up to six recipients by either fax or e-mail, press PF12/24 on the Certificate Inquiry Detail screen to access the Imaging and Fax E-Mail System.

Viewing New York Window Physical Settlement Information

Use the following procedure if you want to view information for physical settlement transactions.

1. Type CUST on the Enter Function screen and press ENTER.
Result- The Participant Custody System Main Menu appears.
2. Type 8 in the **Option field** and press **ENTER**.
Result- The Physical Settlement Menu screen appears.
3. Type 3 in the **Option field** and **type information in one of the following fields**:
 - **Ref ID**
 - **CUSIP**
4. Press ENTER.
Result- The New York Window System Settlement Inquiry screen appears.
5. Type information in the required fields and press ENTER.

Result- New York Window System Settlement Summary screen appears.

6. Type S to the left of a selected item and press ENTER.

Result- The New York Window System Settlement Detail screen appears.

Viewing Transfer, Certificate and Document Information

Use this procedure to view activity information for transfers, certificates and documents.

1. Type CUST on the Enter Function screen and press ENTER.

Result- The Participant Custody System Main Menu appears.

2. Type 9 in the **Option field and press ENTER.**

Result- The Inquiry screen appears.

3. Type the applicable information in the following entry fields:

- **Date;** *optional*
- **Activity;** *optional*
- **Ref ID;** *optional*

4. Press ENTER.

Result- The screen displays a list of the selected activities or all activities if the entry fields were left blank.

5. Place the cursor to the left of a selected reference ID and press one of the following:

- PF1/13: to access the Transfer Inquiry screen.
- PF2/14: to access the Certificate Inquiry screen.
- PF 3/15: to access the Document Inquiry screen.
- PF4/16: to access the Detail Inquiry screen.

List of Screens:

Activity Inquiry Detail Screen

The Activity Inquiry Detail screen appears when you enter S on the Activity Inquiry screen and allows you view activity details for your selection.

The fields and keys are the same as those that appear on the Certificate Inquiry Detail screen.

Activity Inquiry Registration Screen

The Activity Inquiry Registration screen appears when you press PF5/17 on the Activity Inquiry Detail screen and allows you to view registration information.

The fields and keys are the same as those that appear on the Certificate Inquiry Registration screen.

Activity Inquiry Screen

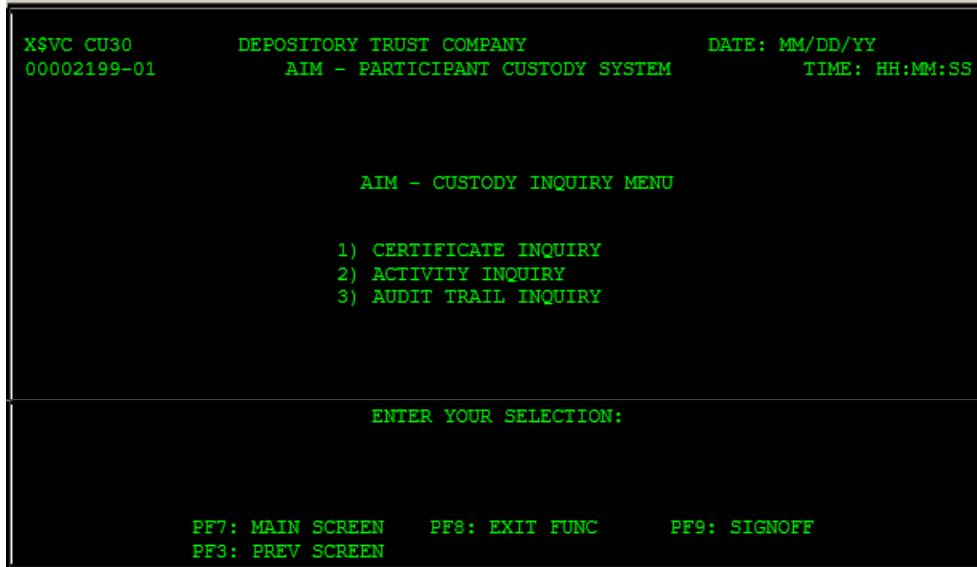
The Activity Inquiry screen appears when you choose option 2 on the AIM Custody Inquiry Menu screen and allows you to access detail and registration information.

The fields and keys are the same as those that appear on the Certificate Inquiry screen.

AIM Custody Inquiry Menu

The AIM Custody Inquiry Menu appears when you select Option 1 on the AIM Custody Interface Menu and allows you to access certificate, activity, and audit trail information.

Sample Screen



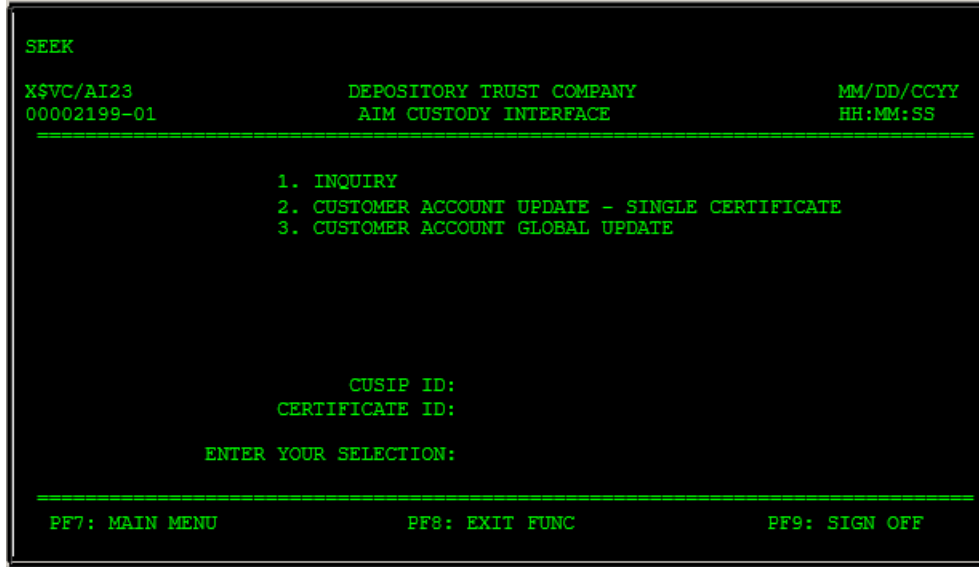
Field Descriptions

This field	Displays
Enter Your Selection	<p>An entry field that allows you to enter one of the following options:</p> <ul style="list-style-type: none"> • 1: Certificate Inquiry • 2: Activity Inquiry • 3: Audit Trail Inquiry

AIM Custody Interface Menu

The AIM Custody Interface Menu appears when you select Option 7 on the Participant Custody System Main Menu. It allows you to access inquiry screens, and to update customer accounts for single certificates or globally.

Sample Screen



Field Descriptions

This field	Displays
CUSIP ID	An entry field that allows you to enter a CUSIP number.
Certificate ID	An entry field that allows you to enter a certificate identification number.
Enter Your Selection	An entry field that allows you to enter one of the following options: <ul style="list-style-type: none"> • 1: Inquiry • 2: Customer Account Update-Single Certificate • 3: Customer Account Global Update

Audit Trail Inquiry Detail Screen

The Audit Trail Inquiry Detail screen appears when you type S in the **Sel** field on the Activity Inquiry screen and allows you to view certificate history.

The fields and keys are the same as those that appear on the Certificate Inquiry Detail screen.

Audit Trail Inquiry Registration Screen

The Audit Trail Inquiry Registration screen appears when you press PF5/17 on the Audit Trail Inquiry Detail screen and allows you to view registration information.

The fields and keys are the same as those that appear on the Certificate Inquiry Registration screen.

Audit Trail Inquiry Screen

The Audit Trail Inquiry screen appears when you select option 3 on the AIM Custody Inquiry Menu. The fields and keys are the same as those that appear on the Certificate Inquiry screen.

Certificate Inquiry Detail Screen

The Certificate Inquiry Detail screen appears when you type S in the Sel field next to a selected certificate ID on the Certificate Inquiry screen. It allows you to view details for the certificate you selected.

Sample Screen

```

Q$VC\AI93          DEPOSITORY TRUST COMPANY      DATE: MM/DD/CCYY
00002199-99        CERTIFICATE INQUIRY          TIME: HH:MM:SS

PART ID  : 00002199  CUSIP    : 21922X 10 8      AS-OF-DATE   : 11092001
DTC BOX #: 0000999  CUST ACCT: 12345777      REF #: BAT01102200003
CERT ID  : 000000099999  SEQ ID: 000      SEC DESCR: CORNRSTNE CMNTYBKTIN-

IN-ACTY DATE   : 10232001      ISSUANCE DATE      : 07161996
OUT-ACTY DATE  :                JOURNAL PROCESSING DATE :
MICRO\IMAGE #  : A11570027002   TRANSFER AGENT     : 000999999
REG\BEAR IND (Y\N) : R          TRANSFERABILITY TYPE (Y\N) : Y
NEGOT STATUS (Y\N) : Y          TAX ID TYPE        : 0
CUSTODY ID     : 0103983382     TAXPAYER ID        : 000000000
DOCUMENT IND (Y\N) :            RESTRICTED IND(1-YES,0-NO) : 0
ORIG IN-ACTY DATE : 10232001   RESTRICT EXP DATE  :
DENOMINATION    :                125.
PART INTERNAL REF#: 12345678901234567890123456789012N1234567

PF2:HELP BOX      PF4:VIEW IMAGE    PF5:NEXT SCREEN   PF6:PREV SCREEN
PF7:MAIN MENU     PF8:EXIT FUNC    PF9:SIGNOFF       PF12:FAX-EMAIL IMAGE
    
```

Field Descriptions

This field	Displays
Part ID	Your Participant number.
CUSIP	The CUSIP number of the security.
As-Of-Date	The as of date you want to inquire about.
DTC Box#	The number of DTC box in which the security is held.
Cust Acct	The account number associated with the certificate.
Ref#	An entry field that allows you to enter the reference number assigned by DTC.
Cert ID	The identification number on the certificate.
Seq ID	An entry field that allows you to type 000.
Sec Descr	The security description.
In-Acty Date	The date the certificate was booked into a DTC box.
Issuance Date	The date the certificate was issued.

This field	Displays
Out-Acty Date	The date the certificate was booked out of the DTC box.
Journal Processing Date	The date of the journal booking the certificate out of the box.
Micro/Image	The microfiche or imaging identification number.
Transfer Agent	The Transfer Agent number.
Reg/Bear Ind	R (Registered) or B (Bearer).
Transferability Type (Y/N)	Y (transferable) or N (not transferable).
Negot Status (Y/N)	Y (negotiable) or N (not negotiable).
Tax ID Type	The tax identification type.
Custody ID	The custody identification number.
Taxpayer ID	The taxpayer identification number.
Document Ind (Y/N)	Y (documents are attached) or N or blank (there are no documents).
Restricted Ind (1- yes, 0- no)	1 (Item is restricted) or 0 (not restricted).
Orig In Acty Date	The original date of the deposit.
Restrict Exp Date	The date on which the restriction expires.
Denomination	The certificate denomination.
Part Internal Ref#	The Participant internal reference number.

Function Keys

In addition to the standard function keys described in *Using the Standard Function Keys*, the following are available on the Certificate Inquiry Detail screen:

This key	Allows you to
PF2/14	Access Help.
PF4/16	Access certificate images.
PF5/17	Access registration information.
PF12/24	Request that an image of the certificate be sent to up to six recipients by either fax or e-mail.

Certificate Inquiry Registration Screen

The Certificate Inquiry Registration screen appears when you press PF5/17 on the Certificate Inquiry screen. It allows you to view registration information.

Sample Screen

```

Q$VC\AI93          DEPOSITORY TRUST COMPANY          DATE: MM/DD/YY
00002199-99        CERTIFICATE INQUIRY              TIME: HH:MM:SS

PART ID : 00002199      CUSIP: 459200 10 1      AS-OF DATE : 04062000
DTC BOX #: 0000946     CUST ACCT: 99999999    REF #: 85800028135306
CERT ID : 000ZQA972458 SEQ ID: 000                SEC DESCR: INTER BUSINESS MACH<

REGISTRATION TYPE : (C-CUSTOMER, F-FIRM, B-FIRM\CUSTOMER, T-THIRD PARTY)
ISSUANCE DATE : 05261979

                R E G I S T R A T I O N
                NO REGISTRATION IS AVAILABLE

PF2:HELP (BOX)    PF5:NEXT SCREEN    PF6:PREV SCREEN
PF7:MAIN MENU    PF8:EXIT FUNC     PF9:SIGNOFF
    
```

Field Descriptions

This field	Displays
Part ID	Your Participant number.
CUSIP	The CUSIP number of the security.
As-Of-Date	The as of date you want to inquire about.
DTC Box#	The number of DTC box in which the security is held.
Cust Acct	The account number associated with the certificate.
Ref#	The reference number assigned by DTC.
Cert ID	The identification number on the certificate.
Seq ID	The sequence ID, 000.
Sec Descr	The security description.
Registration Type	One of the following: <ul style="list-style-type: none"> • C: Customer • F: Firm • B: Firm/Customer • T: Third Party
Issuance Date	The date the certificate was issued.
Registration	The registration information.

Function Keys

In addition to the standard function keys described in Using the Standard Function Keys, the following are available on the Certificate Inquiry Registration screen:

This key	Allows you to
PF2/14	Access Help.
PF5/17	Access document information.

Certificate Inquiry Screen

The Certificate Inquiry screen appears when you select Option 1 on the AIM Custody Inquiry Menu and allows you to select a specific certificate and access information for that certificate.

Sample Screen

```

PR09 - SELECT CERTIFICATE FOR DETAILED INFORMATION OR CONTINUE THE BROWSE
X$VC\AI93          DEPOSITORY TRUST COMPANY          DATE: MM/DD/YY
00002199-01        CERTIFICATE INQUIRY              TIME: HH:MM:SS

PART ID  : 00002199  CUSIP   : 459200 10 1      AS-OF DATE  : 12281999
DTC BOX #:          CUST ACCT:          REF #:
CERT ID  :          SEQ ID:           SEC DESCR:

      CERT ID      SEQ  DTC  CERT  IN-ACTY  OUT-ACTY  DENOMINATION
      CERT ID      ID   BOX# STATUS  DATE      DATE
000AD0017112  000  0000947  04211999
000ZAB100346  000  0000947  04211999  69.
000ZQA413780  000  0000947  04211999  6.
000ZQA572148  000  0000947  04211999  30.
000ZQA593604  000  0000947  04211999  36.
000ZQA606684  000  0000947  04211999  39.
000ZQA932269  000  0000947  04211999  100.
000ZQB100347  000  0000947  04211999  100.
000ZQB100348  000  0000947  04211999  100.
000ZQB100349  000  0000947  04211999  100.
TOTAL CERTIFICATES: 93          WITH QUANTITY: 11,957.

PF2:HELP (BOX)  PF3:PREV SCREEN  PF7:MAIN MENU  PF8:EXIT FUNC
PF9:SIGNOFF    PF10:PG BACK    PF11:PG FWD
    
```

Field Descriptions

This field	Displays
Part ID	Your Participant number.
CUSIP	An entry field that allows you to type a CUSIP number.
As-Of-Date	An entry field that allows you to type the as of date you want to inquire about.
DTC Box#	The number of DTC box in which the security is held.
Cust Acct	An entry field that allows you to type a account number that is associated with the certificate.
Ref#	An entry field that allows you to type a reference number assigned by DTC.
Cert ID	An entry field that allows you to type the identification number of the certificate.
Seq ID	An entry field that allows you to type 000.

This field	Displays
Sec Descr	The security description.
Sel	An untitled entry field that allows you to type S next to a certificate ID and press ENTER to access the Certificate Inquiry Detail screen.
Cert ID	The identification number on the certificate.
Seq ID	The sequence identification number of the certificate.
DTC Box#	The DTC box number.
Cert Status	The status of the certificate.
In-Acty Date	The date the certificate was booked in.
Out-Acty Date	The date the certificate was booked out of the box.
Denomination	The certificate denomination.
Total Certificates	The total number of certificates booked in.
With Quantity	The total quantity of all the certificates booked into the box.

Function Keys

In addition to the standard function keys described in *Using the Standard Function Keys*, you can also use PF2/14 on the Certificate Inquiry screen to access help.

Certificate Inquiry Screen

The Certificate Inquiry screen appears when you press PF2/14 on any of the Inquiry screens. It allows you to view certificate information.

Sample Screen

```

Q$VC                DEPOSITORY TRUST COMPANY                MM/DD/YY
00002199-19        PARTICIPANT CUSTODY SYSTEM                HH:MM:SS
                   CERTIFICATE INQUIRY                      PAGE 001 OF 001

REF ID      : 200106200443XK11  CUSIP: 125129106        CUSTODY ID: 0101770703
CERT NUMBER: XK11                DENOM: 1,000.00000      ISSUE DATE: 03/14/1996
REG TYPE   :                      RESTRICTED: N              RESTR EXP DATE:
NEGOTIABLE : N

                   REGISTRATION
                   -----

PF1: TRANSFER  PF3: DOC      PF4: DETAIL  PF6: SUMMARY  PF7: MENU
PF8: EXIT FUNC PF9: SIGN OFF PF10: PG BWD PF11: PG FWD  PF12: MAIL
    
```

Field Descriptions

This field	Displays
Ref ID	The reference identification number of the security you want to view.
CUSIP	The CUSIP number of the security.
Custody ID	The Custody identification number.
Cert Number	The certificate number.
Denom	The share amount of the certificate.
Issue Date	The date the certificate was issued.
Reg Type	The type of registration.
Restricted	Y (yes) if the certificate is restricted, N (no) if it is not restricted.
Restr Exp Date	The date the restriction expires.
Negotiable	Y (yes) if the certificate is negotiable, N (no) if it is not negotiable.
Registration	The name and address of the person (s) to whom the certificate is registered.

Function Keys

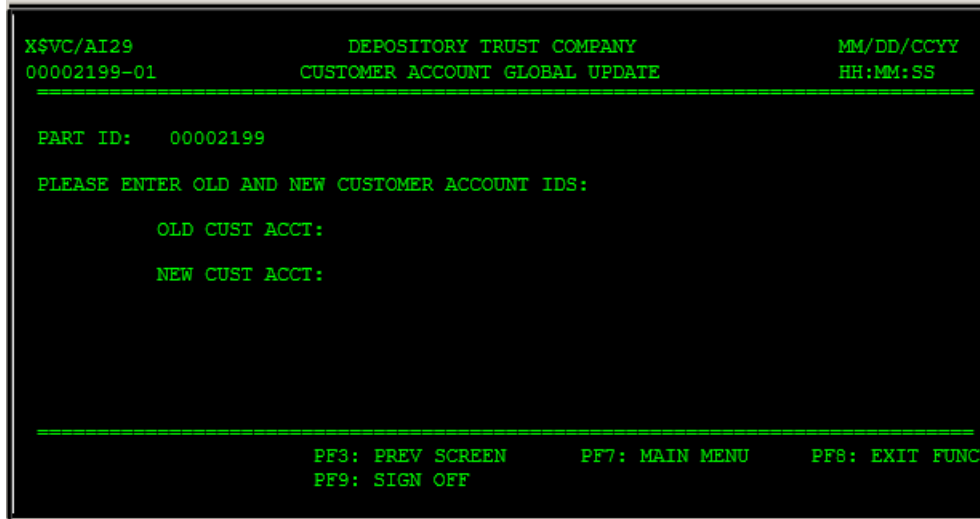
In addition to the standard function keys discussed in *Using the Standard Function Keys*, the following are available on the Certificate Inquiry screen:

This key	Allows you to
PF1/13	Access the Transfer Inquiry screen.
PF3/15	Access the Document Inquiry screen.
PF4/16	Access the Detail Inquiry screen.
PF6/18	Return to the Inquiry screen.
PF12/24	View mailing information.

Customer Account Global Update Screen

The Customer Account Global Update screen appears when you select Option 3 on the AIM Custody Interface screen. It allows you to update an account globally.

Sample Screen



Field Descriptions

This field	Displays
Part ID	Your Participant number.
Old Cust Acct	An entry field that allows you to enter the customer account number you want to change.
New Cust Acct	An entry field that allows you to enter the new customer account number.

Customer Account Update-Single Certificate Screen

```

<div class="rxbodyfield"> <div CLASS="D-screen-sample"> <div CLASS="D-preamble"> <p> <!-- EDMS MRU
ID: --><a id="A86978129" name="A86978129"></a>The <span CLASS="P-screen- title"> Customer Account
Update-Single Certificate</span> screen appears when you select Option<span CLASS="P-menu-option">
2</span> on the <span CLASS="P-screen-title"> <!-- EDMS Lnk: <a href="A86978123"> --> AIM Custody
Interface<!-- EDMS Lnk: </a> --> </span> screen. It allows you to update a customer's account for a
single certificate. </div> <divCLASS="D-screen-shot"> <h3 CLASS="H-title">Sample Screen</h3> <table
class="I-VERBATIM" frame="box" border="2" cellpadding="2" cellspacing="2"> <tr> <td valign="top" class="tr-
deva"><pre CLASS="I-verbatim"> X$VC AI24 DEPOSITORY TRUST COMPANY MM/DD/CCYY 00002199-
01CUSTOMER ACCOUNT UPDATE - SINGLE CERTIFICATE HH:MM:SS
=====
===== PART ID: 2199 CUSIP: CERT ID: REGISTRATION REGISTRATION TYPE TEXT BOX
ID: DENOMINATION: DEPOSIT : DATE OLD CUSTOMER ACCOUNT:
=====
===== PF3: PREV SCREEN PF7:MAIN MENU PF8:EXIT FUNC PF9: SIGN OFF
</pre> </td> </tr> </table> </div> </div> <div CLASS="D-screen-field-list"> <h3 CLASS="H- title">Field
Descriptions</h3> <table CLASS="TBL-Table" width="80%" frame="box" border="2" cellpadding="2"
cellspacing="2"> <thead> <tr CLASS="TBL-row"> <th width="20%" valign="top" class="thead-deva"> <span
CLASS="TBL-entry"> <span>This field </span> </span> </th> <th width="" valign="top" class="thead-deva">
<span CLASS="TBL-entry"> <span>Displays</span> </span> </th> </tr> </thead> <tbody> <tr CLASS="TBL-
row"> <td width="20%" valign="top" class="tr-deva"> <span CLASS="TBL-entry"> <p> Part ID </p> </span>

```

</td> <td width="" valign="top" class="tr-deva"> <p> Your Participant number. </p> </td> </tr> <tr CLASS="TBL-row"> <td width="20%" valign="top" class="tr-deva"> <p> CUSIP </p> </td> <td width="" valign="top" class="tr-deva"> <p> An entry field that allows you to enter the CUSIP number of the security. </p> </td> </tr> <tr CLASS="TBL-row"> <td width="20%" valign="top" class="tr-deva"> <p> Cert ID </p> </td> <td width="" valign="top" class="tr-deva"> <p> An entry field that allows you to enter the identification number on the certificate. </p> </td> </tr> <tr CLASS="TBL-row"> <td width="20%" valign="top" class="tr-deva"> <p> Registration Type </p> </td> <td width="" valign="top" class="tr-deva"> <p> An entry field that allows you to type one of thefollowing </p> <ul class="bullet-list"> C: Customer
 F: Firm
 B: Firm/Customer
 T: Third party
 </td> </tr> <tr CLASS="TBL-row"><td width="20%" valign="top" class="tr-deva"> <p> Registration Text </p> </td> <td width="" valign="top" class="tr-deva"> <p> The registered name. </p> </td> </tr> <tr CLASS="TBL-row"> <td width="20%" valign="top" class="tr-deva"> <p> Box ID </p> </td> <td width="" valign="top" class="tr-deva"> <p> The number of the DTC box in which the security is held. </p> </td> </tr> <tr CLASS="TBL-row"> <td width="20%" valign="top" class="tr-deva"> <p> Denomination </p> </td> <td width="" valign="top" class="tr-deva"> <p> The certificate denomination. </p> </td> </tr> <tr CLASS="TBL-row"> <td width="20%" valign="top" class="tr-deva"> <p> Deposit Date </p> </td> <td width="" valign="top" class="tr-deva"> <spanCLASS="TBL-entry"> <p> The date on which the certificate was deposited. </p> </td></tr> <tr CLASS="TBL-row"> <td width="20%" valign="top" class="tr-deva"> <spanCLASS="TBL-entry"> <p> Old Customer Account </p> </td> <td width="" valign="top" class="tr-deva"> <p> The customer account number you want to change. </p> </td> </tr> <tr CLASS="TBL-row"> <td width="20%" valign="top" class="tr-deva"> <p> Please Enter a New Customer Account </p> </td> <td width="" valign="top" class="tr-deva"> <p> An entry field that allows you to enter the new customer account number. </p> <p> This field only appears after you have entered all the applicable information and pressed ENTER. </p> </td> </tr> </tbody> </table> </div> </div>

Detail Inquiry Screen

The Detail Inquiry screen appears when you press PF2/14 on any of the Inquiry screens. It allows you to view detail information for an activity.

Sample Screen

Q\$VC	DEPOSITORY TRUST COMPANY	MM/DD/YY				
00002199-01	PARTICIPANT CUSTODY SYSTEM	HH:MM:SS				
	DETAIL INQUIRY					
REF ID	CUSIP	QUANTITY	FROM	TO	STATUS	ACTV
200106200443XK11	125129106	1,000.00000	999	1	COMPL	COD
	INPUT METHOD	: MDH				
	PROCESS DATE	: 06/20/2001				
	CUSTOMER ACCOUNT:	99999999				
	DESTINATION	: PICK UP				
PF1: TRANSFER	PF2: CERT	PF3: DOC	PF5: ROUTE			
PF6: SUMMARY	PF7: MENU	PF8: EXIT FUNC	PF9: SIGN OFF	PF12: MAIL		

Field Descriptions

This field	Displays
Ref ID	The reference identification number of the item you want to view.
CUSIP	The CUSIP number associated with the item.
Quantity	The number of shares associated with the item.
From	The location from which an item was moved.
To	The location to which an item is moved.
Status	The activity status.
Actv	The type of activity.
Process Date	The date on which the activity was done.
Customer Account	The account number of the customer associated with the activity.

Function Keys

In addition to the standard function keys discussed in *Using the Standard Function Keys*, the following are available on the Document Inquiry screen:

This key	Allows you to
PF1/13	Access the Transfer Inquiry screen.
PF2/14	Access the Certificate Inquiry screen.
PF3/15	Access the Document Inquiry screen.
PF6/18	Return to the Inquiry (Summary) screen.
PF12/24	View mailing information.

Document Deposit-Certificate Summary Screen

The Document Deposit-Certificate Summary screen appears when you type D on the Document- Deposit Summary screen. You can view certificate information and access the Document Deposit- Registration screen from this screen.

Sample Screen

```

XSVX                DEPOSITORY TRUST COMPANY                MM/DD/YY
00002199-01        PARTICIPANT CUSTODY SYSTEM                HH:MM:SS
                   DOCUMENT DEPOSIT - CERTIFICATE SUMMARY    PAGE 01 OF 01

REF ID: 19960706SF 0001    CUST ACCT NUM: 3025-4511
CUSIP: 786514208        DEPOSIT QTY: 2.00000    LOCATION: 903
                           ISSUANCE    RESTRICTION
                           DATE        IND    EXP DATE
-----
- 00ZQ81314258        2.00000    04/16/84    N
    
```

PF2: HELP PF6: PREV PF7: MENU
PF8: EXIT FUNC PF9: SIGN OFF PF10: PG BWD PF11: PG FWD

Field Descriptions

This field	Displays
Ref ID	The reference identification number of a deposit.
Cust Acct Num	The customer account number associated with the deposit.
CUSIP	The CUSIP number of the item.
Deposit Qty	The total amount of the deposit.
Location	The DTC box location in which the security is held.
Cmd	An entry field to the left of the Cert ID field that allows you to type R and press ENTER to access the Document Deposit- Registration screen.
Cert ID	The certificate identification number.
Denomination	The certificate denomination.
Issuance Date	The issue date that appears on the certificate.
Restriction Ind	An N if the certificate is restricted and Y if it is not restricted.
Expiration Date	The Expiration date on the certificate.

Function Keys

In addition to the standard function keys described in *Using the Standard Function Keys*, you can use the PF2/14 key on the Document Deposit-Certificate Summary screen to access help screens.

Document Deposit-Process Screen

The Document Deposit-Process screen appears when you type S in the **Cmd** field on the Document Deposit-Certificate Summary screen and allows you to enter document information.

Sample Screen

```

X$VX          DEPOSITORY TRUST COMPANY          MM/DD/YY
00002199-01   PARTICIPANT CUSTODY SYSTEM        HH:MM:SS
              DOCUMENT DEPOSIT - PROCESS        PAGE 01 OF 01

REF ID: 19960904NY 0024   CUST ACCT NUM: 030089262
CUSIP: 152342101         DEPOSIT QTY: 9,049.00000   LOCATION: 902

              NEW LOC      SAME DAY
              -----      -----
              ---
DOCUMENT CODE  EXP DATE  STATE CODE  DOCUMENT CODE  EXP DATE  STATE CODE
-----
  ---         --- ---  ---          ---         --- ---  ---
  ---         --- ---  ---          ---         --- ---  ---
  ---         --- ---  ---          ---         --- ---  ---
  ---         --- ---  ---          ---         --- ---  ---

PF1: UPDATE   PF2: LOC CODES  PF4: DOC CODES  PF6 : PREV
PF7: MENU     PF8: EXIT FUNC  PF9: SIGN OFF   PF10: PG BWD   PF11: PG FWD
    
```

Field Descriptions

This field	Displays
Ref ID	The reference identification number of a deposit.
Cust Acct Num	The customer account number associated with the deposit.
CUSIP	The CUSIP number of the item.
Deposit Qty	The total amount of the deposit.
Location	The DTC box location in which the security is held.
New Loc	An entry field that allows you to enter the new location for your deposit.
Same Day	An entry field that allows you to enter Y to indicate that the certificate is same day or N to indicate that it is not.
Document Code	An entry field that allows you to enter the document code.
Exp Date	An entry field that allows you to enter the expiration date.
State Code	An entry field that allows you to enter the state code; optional.

Function Keys

In addition to the standard function keys described in *Using the Standard Function Keys*, the following are available on the Security Deposit-Certificate screen:

This key	Allows you to
PF2/14	Access a list of location codes.
PF4/16	Access a list of document codes.

Document Deposit-Registration Screen

The Document Deposit-Registration screen appears when you type R in the **Cmd** field on the Document Deposit-Certificate Summary screen and displays registration information.

Sample Screen

```

X$VX          DEPOSITORY TRUST COMPANY          MM/DD/YY
0002199-01    PARTICIPANT CUSTODY SYSTEM        HH:MM:SS
              DOCUMENT DEPOSIT - REGISTRATION

REF ID: 19960706SF 0001    CUST ACCT NUM: 3025-4511
CUSIP: 786514208      DEPOSIT QTY: 2.00000    LOCATION: 903

              REGISTRATION
              -----
              JOHN JAMES
              6500 S CENTRAL
              ENGLEWOOD CO 99999

PF6: PREV      PF7: MENU      PF8: EXIT FUNC      PF9: SIGN OFF
    
```

Field Descriptions

This field	Displays
Ref ID	The reference identification number of the deposit.
Cust Acct Num	The customer account number associated with the deposit.
CUSIP	The CUSIP number of the item.
Deposit Qty	The total amount of the deposit.
Location	The DTC box location in which the security is held.
Registration	Registration information for the selected certificate.

Document Information Screen

The Document Information screen appears when you press PF5/17 on one of the following screens (if there is information available) and allows you to view document information.

1. Certificate Inquiry Registration screen.
2. Activity Inquiry Registration screen.

Sample Screen

```

PR01 - SELECT DOCUMENT FOR INQUIRY OR PRESS PF-KEY TO CONTINUE BROWSE
XSVC\AI36                DEPOSITORY TRUST COMPANY                DATE: MM\DD\YY
00002199-021                TIME: HH:MM:SS

PART ID : 00002199    CUSIP :    786514 20 8    AS-OF DATE   : 12201996
DTC BOX #: 0000903    CUST ACCT: 3025-4511    REF #: 19960706SF 0001
CERT ID  : 00ZQ81314258    SEQ ID: 000    SEC DESCR: SAFEWAY INC NEW  +

DOCUMENT          DOCUMENT          IN-ACTY    OUT-ACTY    DOC
TYPE  STATUS      DESCRIPTION      DATE        DATE        EXP DATE
001          STOCK/BOND POWER    06121996
001          STOCK/BOND POWER    06131996
001          STOCK/BOND POWER    07241996
001          STOCK/BOND POWER    07291996
001          STOCK/BOND POWER    10181996
001          STOCK/BOND POWER    10181996
001          STOCK/BOND POWER    11151996
* E N D O F D A T A *

PF2:HELP (BOX)    PF6:PREV SCREEN    PF7:MAIN MENU
PF8:EXIT FUNC     PF9:SIGNOFF        PF10:PG BACK     PF11:PG FWD
    
```

Field Descriptions

This field	Displays
Part ID	Your Participant number.
CUSIP	The CUSIP number of the security.
As-Of-Date	The date as of which you want to inquire.
DTC Box#	The number of DTC box in which the security is held.
Cust Acct	The account number associated with the certificate.
Ref#	The reference number assigned by DTC.
Cert ID	The identification number on the certificate.
Seq ID	The sequence identification number on the certificate.
Sec Descr	The security description.
Document Type	The document type code.
Status	The status of the document void, missing or blank (active).
Document Description	The type of document.

This field	Displays
In-Acty Date	The date the document was received.
Out-Acty Date	The date the document was sent out.
Doc Exp Date	The expiration date of the document.

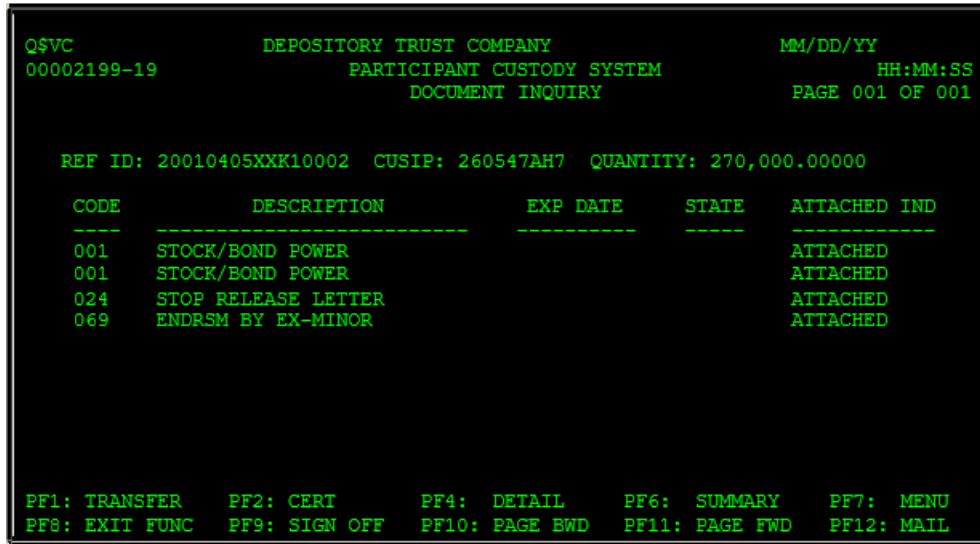
Function Keys

In addition to the standard function keys described in Using the Standard Function Keys, you can use PF2/14 on the Document Information screen to access help.

Document Inquiry Screen

The Document Inquiry screen appears when you press PF2/14 on any of the Inquiry screens. It allows you to view document information.

Sample Screen



Field Descriptions

This field	Displays
Ref ID	The reference identification number of the security you want to view.
CUSIP	The CUSIP number associated with the document.
Quantity	The amount of shares associated with the document.
Code	The DTC code for the trailing document.
Description	The type of document.
Exp Date	The expiration date of the document.
State Code	The code of the state the document is associated with.

Function Keys

In addition to the standard function keys discussed in *Using the Standard Function Keys*, the following are available on the Document Inquiry screen:

This key	Allows you to
PF1/13	Access the Transfer Inquiry screen.
PF2/14	Access the Certificate Inquiry screen.
PF4/16	Access the Detail Inquiry screen.
PF6/18	Return to the Inquiry (Summary) screen.
PF12/24	View mailing information.

Document-Deposit Summary Screen

The Document-Deposit Summary screen appears when you select 2 on the Participant Custody System Main Menu. You can view certificate detail as well as select certificates for partial processing as well as documents for document deposit processing.

Sample Screen

```

XSVX                OSITORY TRUST COMPANY                MM/DD/YY
00002199-01        PARTICIPANT CUSTODY SYSTEM            HH:MM:SS
                  DOCUMENT - DEPOSIT SUMMARY            PAGE 01 OF 01

      REF ID      CUST ACCT NUM      CUSIP      DEPOSIT QUANTITY      LOC
-----
_ 19960904NY 0042 010176600      060716107      220.00000      902

PF2: HELP          PF7: MENU          PF8: EXIT FUNC
PF9: SIGN OFF     PF10: PG BWD      PF11: PG FWD
    
```

Field Descriptions

This field	Displays
Ref ID	The reference identification number of a deposit.
Cust Acct Num	The customer account number associated with the deposit.
Cmd	A command field to the left of the Cert ID in which you can enter: <ul style="list-style-type: none"> • D: to view certificate detail information or select certificates for partial processing. • S: to select a deposit for document deposit processing.
CUSIP	The CUSIP number of the item.
Deposit Quantity	The total amount of the deposit.
Loc	The DTC box location in which the security is held.

Function Keys

In addition to the standard function keys described in Using the Standard Function Keys, you can use the PF2/14 key on the Security Deposit-Certificate to access help screens.

Inquiry Screen

The Inquiry screen appears when you select option 9 on the Participant Custody System Main Menu. It allows you to view activity in your custody account.

Sample Screen

```

Q$VC                DEPOSITORY TRUST COMPANY                MM/DD/YY
00002199-01        PARTICIPANT CUSTODY SYSTEM                HH:MM:SS
                    INQUIRY
                    PAGE 001 OF 003
DATE: 06 20 01  ACTIVITY: _____ CUSIP: _____ REF ID: _____
*** VALID ACTIVITY: DEP, COD, MOVE, PMOV, TRF, REJ, TDOC, CXL ***

  REF ID      CUSIP      QUANTITY      FROM      TO      STAT      ACTIVITY
-----
20010327XXK10004  022615108      40,001.00000      999      3      PEND      COD
200106200443XK11  125129106           1,000.00000      999      1      COMPL      COD
200106200443XK12  125129106           1,000.00000      999      3      COMPL      COD
200106200443XK11  125129106           1,000.00000      999      1      COMPL      COD
200106200443XK12  125129106           1,000.00000      999      3      COMPL      COD
200106200443XK11  125129106           1,000.00000      999      1      COMPL      COD
200106200443XK12  125129106      2,500,000.50000      999      3      COMPL      COD
200106200443XK13  125129106      2,511,000.00000      999      3      COMPL      COD
200106200443XK14  125129106           1,000.12345      999      3      COMPL      COD
200106200443XK15  459200101           1,000.00000      999      3      COMPL      COD

PF1: TRANSFER PF2: CERT PF3: DOC PF4: DETAIL PF5: CANCEL
PF7: MENU PF8: EXIT PF9: SIGN OFF PF10: PG BWD PF11: PG FWD PF12: MAIL
    
```

Field Descriptions

This field	Displays
Date	The date of the activity.
Activity	<p>An entry field that allows you to type one of the following activity types:</p> <ul style="list-style-type: none"> • DEP: Deposit • COD: Certificate on Demand (withdrawal) • MOVE: Location move • PMOV: Intra-Participant move. • TFR: Transfer • REJ: Reject • TDOC: Trailing document (s) • CXL: Cancel. <p>Note: You can also leave the field blank for a list of all activities.</p>
CUSIP	An entry field that allows you to type the CUSIP number of the security you want to view.
Ref ID	An entry field that allows you to type the reference identification number of the security you want to view.
Valid Activity	A list of the activity codes.

Function Keys

In addition to the standard function keys discussed in *Using the Standard Function Keys*, the following are available on the Inquiry screen:

This key	Allows you to
PF1/13	Access the Transfer Inquiry screen.
PF2/14	Access the Certificate Inquiry screen.
PF3/15	Access the Document Inquiry screen.
PF4/16	Access the Detail Inquiry screen.
PF5/17	Cancel a COD.
PF12/24	View mailing information.

Location Movement-Certificate Summary

The Location Movement-Certificate Summary screen appears when you type D in the Cmd field on the Location Movement-Deposit Summary screen and allows you to view certificate information.

The fields and keys are the same as those that appear on the Document Deposit-Certificate Summary screen.

Location Movement-Deposit Summary

The Location Movement-Deposit Summary screen appears when you select Option 6 on the Participant Custody System Main Menu and allows you to view deposit information.

The fields and keys are the same as those that appear on the Document Deposit-Summary screen.

Location Movement-Process

The Location Movement-Process screen appears when you type S in the Cmd field on the Location Movement-Deposit Summary screen and allows you to enter new location information.

Sample Screen

```

X$VX                DEPOSITORY TRUST COMPANY                MM/DD/YY
00002199-01        PARTICIPANT CUSTODY SYSTEM                HH:MM:SS
                   LOCATION MOVEMENT - PROCESS
REF ID: 19960904NY 0068    CUST ACCT NUM: 009077215
CUSIP: 756990198        DEPOSIT QTY: 893,835.00000    LOCATION: 902

                   NEW LOCATION
                   -----
                   _____

PF1: UPDATE
PF2: LOC CODES    PF6: PREV    PF7: MENU    PF8: EXIT FUNC    PF9: SIGN OFF
    
```

Field Descriptions

This field	Displays
Ref ID	The reference identification number of the item.
Cust Acct Num	The customer account number associated with the item.
CUSIP	The CUSIP number of the item.
Deposit Qty	The total quantity of the deposit.
Location	The location code of the DTC box where the security is held.
New Location	An entry field that allows you to enter a new location code.

Mailing Inquiry Screen

The Mailing Inquiry screen appears when you press PF12/24 on the Inquiry screens you access from the Inquiry (Summary) screen.

Sample Screen

```

Q$VC          DEPOSITORY TRUST COMPANY          MM/DD/YY
00002199-99   PARTICIPANT CUSTODY SYSTEM        HH:MM:SS
              MAILING INQUIRY

CUSIP:        022615108          LETTER TYPE:  PL
REF ID:       20010327XXXK10004  MAIL TYPE:   FEDEX
QUANTITY:    40,001.00000          MAIL STATUS:
SHIPPING NUM: IN PROCESS          PRINT IND:   PENDING

              MAILING ADDRESS
              -----
              DTC TEST
              ATTN : OPERATIONS
              55 WATER ST, 10TH FLOOR
              NEW YORK
              NY10000
              2128859999

PF1: TRANSFER  PF2: CERT          PF3: DOC          PF4: DETAIL
PF6: SUMMARY   PF7: MENU          PF8: EXIT FUNC   PF9: SIGN OFF
    
```

Field Descriptions

This field	Displays
CUSIP	The CUSIP number of the security.
Letter Type	The letter type specific to a participant.
Ref. ID	The reference identification number.
Mail Type	One of the following: <ul style="list-style-type: none"> • 1st Class • FEDEX • DHL • UPS • Airborne
Quantity	The amount of the security.
Mail Status	One of the following: <ul style="list-style-type: none"> • Completed • N/A • Cancelled • Pending
Shipping Num.	One of the following: <ul style="list-style-type: none"> • A Valid Airbill Number • N/A • In Process • Missing

This field	Displays
Print Indicator	One of the following: <ul style="list-style-type: none"> • Pending Label • Mailed • Not Mailed • Value Limit Exceeded • Pending • N/A • Item Was Canceled
Mailing Address	The mailing address.

Function Keys

In addition to the standard function keys in *Using the Standard Function Keys*, the following are available on the Mailing Inquiry screen:

New York Window Settlement Inquiry Screen

The New York Window Settlement Inquiry screen appears when you select option 3 on the Physical Settlement Menu. It allows you to enter the information needed to access settlement information.

Sample Screen

```

QW68                DEPOSITORY TRUST COMPANY          MM/DD/YY
00002199-99        NEW YORK WINDOW SYSTEM           HH:MM:SS
                   SETTLEMENT INQUIRY

TRANSACTION NUMBER -
PARTICIPANT NUMBER - 2199
                   CUSIP -
                   QUANTITY -
                   PROCESS DATE -
                   ITEM STATUS -
                   SETTLEMENT MODE -
                   SETTLEMENT DATE -
                   SETTLEMENT AMOUNT -
                   DESTINATION -
                   CONTRA BROKER -
                   TRANSACTION TYPE -
                   TYPE OF PAPER -

PF7: MAIN MENU      PF8: EXIT FUNC      PF9: SIGN OFF
    
```

Field Descriptions

This field	Displays
Transaction Number	An entry field in which you can type the unique transaction identification number.
Participant Number	Your Participant number.
CUSIP	The CUSIP number of the security.
Quantity	An entry field in which you can type the total quantity of the deposit.
Process Date	An entry field in which you can type the date on which the item was processed.
Item Status	An entry field in which you can type one of the following codes. <ul style="list-style-type: none"> • 01: Pending match • 02: Pending verify • 03: Pending wire approval • 04: Reject (front end edit reject) • 05: Pending certificate entry • 06: Made
Settlement Mode	An entry field in which you can type one of the following codes: <ul style="list-style-type: none"> • FOS • OWF • OTW • ESS • RCL • RCF • DSS
Settlement Date	An entry field in which you can type the settlement date of the item.
Settlement Amount	An entry field in which you can type the settlement amount of the item.
Destination	An entry field in which you can type one of the following: <ul style="list-style-type: none"> • RTF: Returned to firm • 1925: Overnight hold • A custody box location number.
Contra Broker	An entry field in which you can type the identification number of the receiving or delivering party.
Transaction Type	An entry field in which you can type one of the following: <ul style="list-style-type: none"> • RVP: Receive Versus Payment • REC: Free Receive • DVP: Deliver Versus Payment • DEL: Free Deliver
Type of Paper	An entry field in which you can type one of the following: <ul style="list-style-type: none"> • MO: Money Order • MF: Mutual Fund • AR: Acat Reversal • LP: Limited Partnership.

New York Window System Settlement Detail Screen

The New York Window System Settlement Detail screen appears when you type S on the New York Window System Settlement Summary screen. It allows you to view details for a specific transaction.

Sample Screen

```

X$VC          DEPOSITORY TRUST COMPANY          MM/DD/YY
00002199-99   NEW YORK WINDOW SYSTEM          HH:MM:SS
              SETTLEMENT DETAIL - ABC CO      PAGE: 1

TRANSACTION NUM: 99122000000730          TRANSACTION TYPE: DVP
                                              PARTICIPANT: 2199
CUSIP: 238180103 - DATRONIC EQUIP FUND  UNIT LP XVIII
STATUS: PND MATCH          QUANTITY: 10.00000          RECLAIM CD:
SETTLE DATE: 1999-12-20    SETTLE AMT: $2,000.00        SETTLE MODE:
PROCESS DATE: 1999-12-20   ACCOUNT:                DESTINATION:
TRADE DATE: 0001-01-01     TICKET ID:                BROKER NUM: 00002199
MATURITY DATE: 0001-01-01  LINK ID:                PAPER TYPE:
BANK ABA ID:              BANK NAME:
BANK ACCT:               MICROFILM:
STANDING INSTR:

INSTRUCTION CREATED/RECEIVED ON          DATE: 1999-12-20  TIME: 14.08.33

PF6: PREV SCREEN          PF8: EXIT FUNC          PF10: PAGE BWD
PF7: MAIN MENU           PF9: SIGN OFF         PF11: PAGE FWD
    
```

Field Descriptions

This field	Displays
Transaction Num	The unique transaction identification number.
Transaction Type	One of the following transaction types: <ul style="list-style-type: none"> • RVP: Receive Versus Payment • REC: Free Receive • DVP: Deliver Versus Payment • DEL: Free Deliver
Participant	Your Participant identification number.
CUSIP	The CUSIP number of the security.
Status	One of the following status codes: <ul style="list-style-type: none"> • 01: Pending match • 02: Pending verify • 03: Pending wire approval • 04: Reject (front end edit reject) • 05: Pending certificate entry • 06: Made
Quantity	The total quantity of the trade.

This field	Displays
Reclaim Cd	One of the following codes <ul style="list-style-type: none"> • 01: Wrong security • 02: Carries due bill • 03: Needs signature guarantee • 04: Needs tax stamp • 05: Needs Power of Attorney • 06: Coupon missing • 07: Wrong amount • 08: Duplicate delivery • 09: Wrong settlement date • 10: No instructions • 11: Needs Legal Opinion • 12: Needs better amount data • 99: Other.
Settle Date	The date on which the trade settles.
Settle Amt	The total settlement amount of the trade.
Settle Mode	One of the following codes: <ul style="list-style-type: none"> • FOS • OWF • OTW • ESS • RCL • RCF • DSS
Process Date	The date on which the transaction was processed at the NYW.
Account	The customer's account number.
Destination	One of the following: <ul style="list-style-type: none"> • RTF: Returned to firm • 1925: Overnight hold • A custody box location number.
Trade Date	The date on which the trade was made.
Ticket ID	The identification number on the generated ticket.
Broker Num	The Broker number of the Participant involved in the trade.
Maturity Date	The date on which the security matures.
Link ID	If the item is linked, the link identification number.
Paper Type	<ul style="list-style-type: none"> • MO: Money Order • MF: Mutual Fund • AR: Acat Reversal • LP: Limited Partnership.
Bank ABA ID	The bank's ABA identification number.
Bank Name	The name of the bank involved in the transaction.
Bank Acct	Your account number at the bank.

This field	Displays
Microfilm	The microfilm number assigned at the NYW.
Standing Instr	The freeform standing instructions.
Instruction Created/Received On Date:	System generated processing information.
Instruction Created/Received On Time:	System generated processing information.

New York Window System Settlement Summary Screen

The New York Window System Settlement Summary screen appears when you enter the necessary information and press ENTER on the New York Window System Settlement Inquiry screen. It allows you to view a list of settlement items.

Sample Screen

```

X$VC                DEPOSITORY TRUST COMPANY                MM/DD/YY
00002199-19        NEW YORK WINDOW SYSTEM                HH:MM:SS
                  SETTLEMENT SUMMARY                    PAGE: 001

SEL BROKER  CUSIP    QUANTITY    SETTLE AMT    TRAN
-----
_  00002199 238180103    10.00000    $2,000.00  DVP  PND MATCH

PF1: UPDATE
PF6: PREV SCREEN          PF7: MAIN MENU          PF8: EXIT FUNC
PF9: SIGN OFF            PF10: PAGE BACK        PF11: PAGE FWD
    
```

Field Descriptions

This field	Displays
Sel	An untitled field that allows you to enter one of the following next to a selected transaction: <ul style="list-style-type: none"> • S: To view detail information • C: To cancel a transaction • R: To reclaim a transaction.
Broker	The broker number of the contra-broker or other broker involved in the trade.
CUSIP	The CUSIP number of the security.
Quantity	The number of shares the transaction involves.
Settl Amt	The trade settlement amount.
Tran Type	The transaction type: <ul style="list-style-type: none"> • RVP: Receive Versus Payment • REC: Free Receive • DVP: Deliver Versus Payment • DEL: Free Deliver.
Status	The status of the transaction: <ul style="list-style-type: none"> • 01: Pending match • 02: Pending verify • 03: Pending wire approval • 04: Reject (front end edit reject) • 05: Pending certificate entry • 06: Made.

Partial Withdrawal Screen

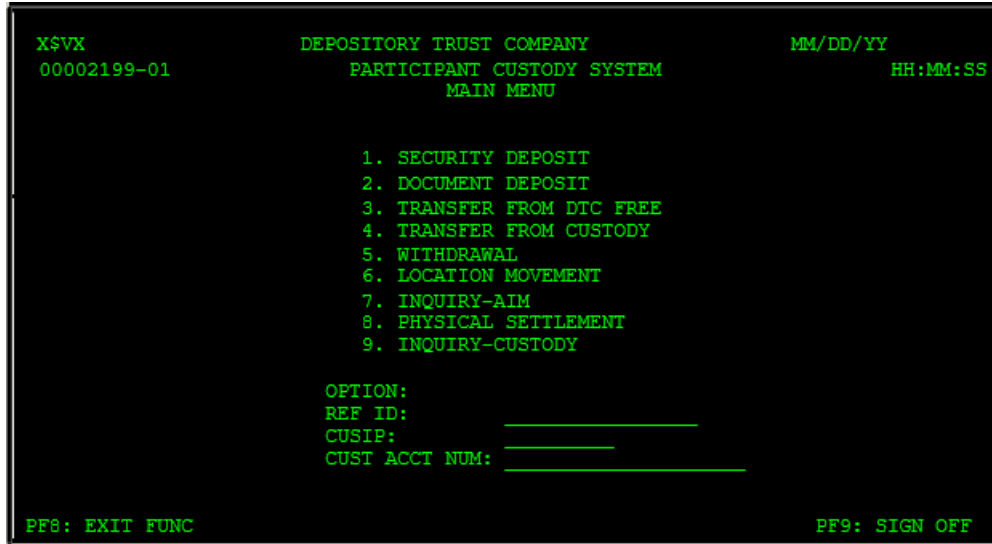
The Partial Withdrawal screen appears when you select P on the Physical Settlement-Certificate screen. It allows you to select a certificate for which you can process a partial withdrawal.

The fields and keys are the same as those that appear on the Physical Settlement Deliver screen with the exception of the **New Ref ID** field in which you must enter the new reference identification number, and the **Security ID** field, in which you enter the CUSIP number.

Participant Custody System Main Menu

The Participant Custody System Main Menu allows you to access the Custody system.

Sample Screen



Field Descriptions

This field	Allows you to
Option	Specify the type of activity you want to perform.
Ref ID	Type the 16-digit alpha-numeric reference number of the transaction you want to view. <i>Optional.</i>
CUSIP	Type a valid CUSIP number for the transaction you wish to view. <i>Optional.</i>
Cust Acct Num	Type a valid customer account number. <i>Optional.</i>

Physical Settlement Anticipated Receive-1 Screen

The Physical Settlement Anticipated Receive-1 screen appears when you select option 2 on the Physical Settlement Menu. It allows you to enter receive information for a physical settlement.

The fields and keys are the same as those that appear on the Physical Settlement Deliver screen with the exception of the following:

- **Custody Location:** The DTC box in which the security is held.
- **Trf Loc:** The transfer location.

Physical Settlement Anticipated Receive-2 Screen

The Physical Settlement Anticipated Receive-2 screen appears when you press PF2/14 on the Physical Settlement Anticipated Receive -1 screen. It allows you to enter additional receive information on a physical settlement.

The fields and keys are the same as those that appear on the Physical Settlement Deliver -2 screen.

Physical Settlement Deliver-1 Screen

The Physical Settlement Deliver-1 screen appears when you type S in the **Cmd** field on the Physical Settlement Summary screen and allows you to enter delivery instructions.

Sample Screen

```

ENTER SETTLEMENT DATE
X$VC
00002199-01
DEPOSITORY TRUST COMPANY
PARTICIPANT CUSTODY SYSTEM
PHYSICAL SETTLEMENT
MM/DD/YY
HH:MM:SS
PAGE 01 OF 02
DELIVER
TRADE DATE: ___ / ___ / ___
SECURITY ID: _____
MATUR DATE: ___ / ___ / ___
BROKER NO: _____
CUST ACCT: _____
DUE BILL AMT: _____
LINK ID: _____
CUST ACCT NM: _____
CUSIP DESC: INTERNATIONAL BUSINESS MACHINES
STANDING INSTRUCTIONS :
SETTL DT: ___ / ___ / ___
COUPON RATE: _____
SHR QTY: 10.00000
BROKER NM: _____
SETTL AMT: _____
TRANS REF NO: 9912280443
SECURITY TY: _____
MODE IND: ___
DUE BILL ATTC: ___

PF1: UPDATE PF2: NEXT PF5: SUB MENU PF6: SUMMARY
PF7: MENU PF8: EXIT FUNC PF9: SIGN OFF
    
```

Field Descriptions

This field	Allows you to
Trade Date	Type the trade date in <i>ccyy/mm/dd</i> format
Settl Dt	Type the settlement date in <i>ccyy/mm/dd</i> format. The date must be equal to or greater than the current date.
Security ID	Type the security identification number.
Coupon Rate	Type the coupon rate.
Matur Date	Type the maturity date in <i>CCYY/MM/DD</i> format.
Shr Qty	Type the share amount of the delivery.
Broker No	Type the broker number for the broker to whom the delivery is to be made.
Broker Nm	Type the name of the broker to whom the delivery is to be made.
Cust Acct	Type the customer account number.
Settl Amt	Type the total amount of the settlement.
Due Bill Attc	Type Y (yes) if the due bill is attached and N (no) if not.
Due Bill Amt	Type the due bill amount. If you entered Y in the Due Bill Attc field, you must enter the due bill amount.
Trans Ref No	Type the transfer reference number consisting of the year, the Julian date, the Participant number, and any other numeric values. A maximum of fourteen numbers can be entered.

This field	Allows you to
Link ID	Type the link identification number if the delivery is linked to a receive.
Security Ty	Type the security type.
Mode Ind	Type one of the following: S, X, E, Y or 5.
Cust Acct Nm	Type the customer account number.
CUSIP Desc	Type the CUSIP description.
Standing Instructions	Type freeform text such as instructions to hold etc.

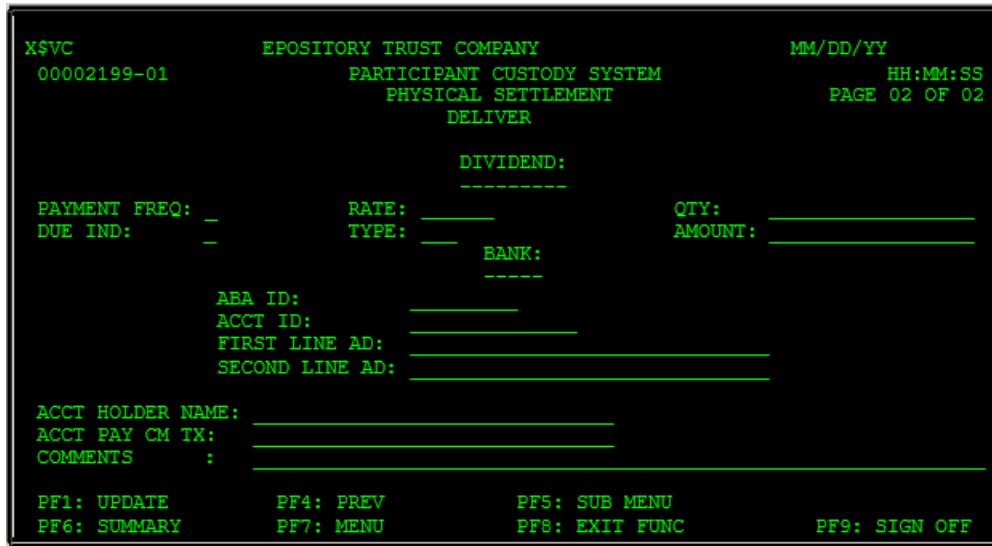
Function Keys

In addition to the standard function keys discussed in *Using the Standard Function Keys*, the PF5/17 key can be used on the Physical Settlement Deliver-1 screen to return to the Physical Settlement Menu.

Physical Settlement Deliver-2 Screen

The Physical Settlement Deliver-2 screen appears when you press PF2/14 on the Physical Settlement Deliver screen-1. It allows you to enter additional delivery information.

Sample Screen



Field Descriptions

This field	Allows you to
Payment Freq	Type one of the following payment frequency codes: <ul style="list-style-type: none"> • M: monthly • Q: quarterly • A: annually • S: semi-annually.
Rate	Type the rate; optional.
Qty	Type the quantity (cash); optional.
Due Ind	Type Y (yes) or N (no); optional. Note -If you enter the Due Indicator, you must also enter the quantity (cash) or the amount (number of shares). You must also enter the type.
Type	Type CSH or STK; <i>optional</i> .
Amount	Type the amount (shares); <i>optional</i> .
ABA ID	Type the ABA number; <i>optional</i> .
Acct ID	Type the account identification number; <i>optional</i> .
First Line Ad	Type the address.
Second Line Ad	Type the address (if more space is required).
Acct Holder Name	Type the name of the account holder; <i>optional</i> .
Acct Pay Cm Tx	Type comment on payment text.
Comments	Type freeform comments; <i>optional</i> .

Function Keys

In addition to the standard function keys discussed in *Using the Standard Function Keys*, you can use the PF5/17 key on the Physical Settlement Deliver-2 screen, to return to the Physical Settlement Menu.

Physical Settlement Menu

The Physical Settlement Menu appears when you select Option 8 on the Participant Custody System Main Menu. It allows you to perform and to view physical settlement activities.

Sample Screen

```

X$VC                DEPOSITORY TRUST COMPANY                MM/DD/YY
00002199-01        PARTICIPANT CUSTODY SYSTEM                HH:MM:SS
                    PHYSICAL SETTLEMENT

                    1. DELIVER
                    2. ANTICIPATED RECEIVE
                    3. INQUIRY

                    OPTION:
                    CUSTODY IND:  --
                    REF ID:      _____
                    CUSIP:       _____

PF7: MAIN MENU      PF8: EXIT FUNC      PF9: SIGN OFF
    
```

Field Descriptions

This field	Allows you to
Option	Type one of the following: <ul style="list-style-type: none"> • 1: Deliver • 2: Anticipated Receive • 3: Inquiry
Custody Ind	Type Y (yes) or N (no). If you type Y you should enter the CUSIP or reference ID.
Ref ID	Type the reference identification number assigned by DTC.
CUSIP	Type the CUSIP number of the security.

Physical Settlement Redeliver Screen

The Physical Settlement Redeliver screen appears when you enter R on the New York Window Settlement Inquiry screen. It allows you to modify a trade and reclaim an item.

Sample Screen

```

X$VC                DEPOSITORY TRUST COMPANY                MM/DD/YY
00002199-99        PARTICIPANT CUSTODY SYSTEM                HH:MM:SS
                   PHYSICAL SETTLEMENT                    PAGE 01 OF 02
                   REDELIVER

RECLAIM CD: _____
TRADE DATE: 1998 / 02 / 02  SETTL DT: 1998 / 02 / 20  CUSIP: 459200101
SECURITY ID: 459200101    COUPON RATE: _____
MATUR DATE: _____ / _____ / _____  SHR QTY: 10.0000
BROKER NO: 00002199      BROKER NM: NN
CUST ACCT: ACCT          SETTL AMT: 100.00  DUE BILL ATTCH:
DUE BILL AMT: _____  TRANS REF NO: _____
LINK ID: _____      SECURITY TY: CD          MODE IND: _
CUST ACCT NM: MMMMMMMMMM
CUSIP DESC:  DESC

                   STANDING INSTRUCTIONS :
                   IN
                   IN
                   _____
                   _____

PF1: UPDATE      PF2: NEXT          PF5: SUB MENU      PF6: SUMMARY
PF7: MENU        PF8: EXIT FUNC       PF9: SIGN OFF
    
```

Field Descriptions

This field	Displays
Reclaim Cd.	An entry field that allows you to enter the reclaim code.
Trade Date	The date on which the trade was completed.
Settl Date	An entry field that allows you to enter the new date on which the trade will settle.
CUSIP	The CUSIP number of the security.
Security ID	The in-house number assigned to the item.
Coupon Rate	The coupon rate for bearer coupon bonds.
Matur Date	The maturity date of the issue.
Shr Qty	The total amount of the trade.
Broker No	The identification number of the broker involved with the trade.
Broker Nm	The name of the broker associated with the trade.
Cust Acct	The account number of the customer associated with the trade.
Settl Amt	The total settlement amount of the trade.
Due Bill Attch	Y to indicate that the due bill is attached, N to specify that it is not attached.
Due Bill Amt	The due bill amount.

This field	Displays
Trans Ref No	An entry field that allows you to enter a new reference identification number for the trade.
Link ID	The link identification number, if the item is linked.
Security Ty	The type of security.
Mode Ind	One of the following: S, X, E, Y, or 5.
Cust Acct Nm	The name of the customer associated with the trade.
CUSIP Desc	The description of the security.
Standing Instructions	The standing instructions for the trade.

Function Keys

In addition to the standard function keys discussed in *Using the Standard Function Keys*, the following are available on the Physical Settlement Redeliver screen:

This key	Allows you to
PF2/14	Access the next screen, if there is one.
PF5/17	Return to the Physical Settlement Menu.

Physical Settlement-Certificate Screen

The Physical Settlement-Certificate screen appears when you type D in the Cmd field on the Physical Settlement-Summary screen and allows you to view certificate information and select a certificate for partial processing.

Sample Screen

```

X$VC                DEPOSITORY TRUST COMPANY                MM/DD/YY
00002199-99         PARTICIPANT CUSTODY SYSTEM                HH:MM:SS
                   PHYSICAL SETTLEMENT                      PAGE 01 OF 01

REF ID: 19970101VG 0001  CUST ACCT NUM: VG1
CUSIP: 459200101        DEPOSIT QTY: 30.23000                LOCATION: 946
                           ISSUANCE  RESTRICTION
      CERT ID      DENOMINATION      DATE      IND  EXP DATE
-----
      P 0000000000001      10.11000  01/01/91  Y   01/01/00
      0000000000002      20.12000  02/02/92  N   12/12/98

PF2: HELP      PF5: SUB MENU      PF6: PREV      PF7: MENU
PF8: EXIT FUNC PF9: SIGN OFF     PF10: PG BWD   PF11: PG FWD
    
```

Field Descriptions

This field	Displays
Cmd	An untitled field that allows you to access the Partial Withdrawal screen.
Ref ID	The reference identification number.
Cust Acct Num	The customer account number.
CUSIP	The CUSIP number of the security.
Deposit Qty	The total quantity of the deposit.
Location	The DTC box in which the security is being held.
Cert ID	The certificate identification number.
Denomination	The certificate denomination.
Issuance Date	The date on which the certificate was issued.
Restriction Ind	An indicator to show whether the security is restricted Y or not N.
Exp Date	The expiration date of the certificate.

Function Keys

In addition to the standard function keys discussed in *Using the Standard Function Keys*, you can use the PF5/17 key on the Physical Settlement-Certificate screen, to return to the Physical Settlement Menu.

Physical Settlement-Summary Screen

The Physical Settlement-Summary screen appears when you select Option 1 on the Physical Settlement Menu and allows you to view a list of activities and to select an activity for which you can access details or process a partial withdrawal.

Sample Screen

```

XSWC          DEPOSITORY TRUST COMPANY          MM/DD/YY
00002199-01  PARTICIPANT CUSTODY SYSTEM        HH:MM:SS

                PHYSICAL SETTLEMENT                PAGE 01 OF 01

      REF ID      CUST ACCT NUM      CUSIP      DEPOSIT QUANTITY      LOC
-----
- 19960706SF 0001 3025-451      786514208      2.00000      903
- 19960706SF 0002 12345678      786514208      26,000.00000      905
- 19960706SF 0003 02708078      786514208      14,667.00000      902
- 19960706SF 0004 02903579      786514208      205,200.00000      902
- 19960706SF 0005 00101292      786514208      7,500.00000      903
- 19960706SF 0006 00101292      786514208      3,000.00000      903
- 19960706SF 0007 00101292      786514208      7,000.00000      903
- 19960706SF 0008 00101302      786514208      6,500.00000      902
- 19960706SF 0009 00101302      786514208      2,500.00000      903

ENTER 'S' TO SELECT ITEM(S)
ENTER 'D' FOR DETAILS
PF6: PREV          PF7: MENU          PF8: EXIT FUNC
PF9: SIGN OFF      PF10: PG BWD      PF11: PG FWD
    
```

Field Descriptions

This key	Displays
Cmd	An untitled field that allows you to enter one of the following next to a selected reference ID: <ul style="list-style-type: none"> • S: to access the Physical Settlement Deliver screen • D: to view certificate details or to process partial withdrawals.
Ref ID	The reference identification number.
Cust Acct Num	The customer account number.
CUSIP	The CUSIP number of the security.
Deposit Quantity	The total quantity of the deposit.
Loc	The DTC box in which the security is being held.

Security Deposit-Certificate Screen

The Security Deposit-Certificate appears when you select option 1 on the Participant Custody System Main Menu and allows you to enter information for the certificate that you are depositing.

Sample Screen

```

X$VC                DEPOSITORY TRUST COMPANY                MM/DD/YY
00002199-01        PARTICIPANT CUSTODY SYSTEM                HH:MM:SS
                   SECURITY DEPOSIT - CERTIFICATE            PAGE 01 OF 01

REF ID: _____  CUST ACCT NUM: _____  LOCATION: ____
CUSIP: _____   DEPOSIT QTY: _____   SAME DAY: ____
OFAC CERTIFIED: _

      CERT ID      DENOMINATION      ISSUANCE      RESTRICTION
      _____   _____         DATE          IND   EXP DATE
      _____   _____         _____     ___  _____

CERT ID RANGE ==> PREFIX: _____  START SEQ: _____  END SEQ: _____
                   REGISTRATION
                   _____
                   _____
                   _____
                   _____

PF1: UPDATE  PF2: LOCATIONS  PF4: DOCUMENTS  PF5: COMMENTS  PF6: TRANSFER
PF7: MENU    PF8: EXIT FUNC   PF9: SIGN OFF   PF10: PG BWD   PF11: PG FWD
    
```

Field Descriptions

This field	Allows you to
Ref ID	Type a valid 16-digit, alpha-numeric reference identification number.
Cust Acct Num	Type the customer account number.
Location	Type a valid 3-digit location code.
CUSIP	Type the CUSIP number on the certificate.
Deposit Qty	Type the amount of the deposit in 999999999.99999 format.

This field	Allows you to
Same Day	Type Y or N to specify whether or not the item is same day.
OFAC Certified	Type a Y to indicate that this deposit has been OFAC certified. Note: The OFAC Certified field is mandatory for all U.S. participants. In order to successfully create a deposit, you must type Y in the OFAC Certified field. This indicates that your firm has screened the name(s) of the registered owner on each certificate contained in the deposit (or the most recent assignee, if applicable) against the OFAC list and that no valid matches were identified by such comparison. For more information, please see "About OFAC for Deposits" in the Service Topics section of the Deposits Service Guide.
Cert ID	Type a valid certificate identification number.
Denomination	Type the denomination amount of the certificate.
Issuance Date	Type the date on which the certificate was issued.
Restriction Ind	Type Y or N to specify whether or not there are restrictions on the certificate.
Exp Date	Type the expiration date. Optional.
Cert ID Range = = > Prefix	Type the certificate prefix.
Start Seq	Type the start sequence numbers.
End Seq	Type the end sequence numbers.
Registration	Type registration information.

Function Keys

In addition to the standard function keys described in Using the Standard Function Keys, the following are available on the Security Deposit-Certificate screen:

This key	Allows you to
PF2/14	View a list of location codes.
PF4/16	Access the Security Deposit-Documents screen.
PF5/17	Enter your comments.
PF6/18	Access the Security Deposit-Transfer screen.

Security Deposit-Documents Screen

The Security Deposit-Documents screen appears when you press PF4/16 on the Security Deposit- Certificate screen and allows you to document information for any trailing documents you have for that certificate.

Sample Screen

```

ENTER DOCUMENT INFORMATION
X$VX          DEPOSITORY TRUST COMPANY          MM/DD/YY
00002199-01   PARTICIPANT CUSTODY SYSTEM        HH:MM:SS
              SECURITY DEPOSIT - DOCUMENTS      PAGE 01 OF 01

REF ID: 19960901NY 0042  CUST ACCT NUM: 010176600  LOCATION: 903
CUSIP: 060716107      DEPOSIT QTY: 22.00000

              DOCUMENT CODE  EXP DATE
              -----
              _____
              _____
              _____
              _____
              _____
              _____
              _____
              _____
              _____
              _____

PF1: UPDATE      PF2: DOC CODES      PF3: CERTS      PF5: COMMENTS
PF7: MENU        PF8: EXIT FUNC      PF10: PG BWD    PF11: PG FWD
    
```

Field Descriptions

This field	Displays
Ref ID	The reference identification number of the item.
Cust Acct Num	The customer account number associated with the deposit.
Location	The DTC box location in which the certificate is being held.
CUSIP	The CUSIP number of the deposited security.
Deposit Quantity	The total amount of the deposit.
Document Code	An entry field that allows you to enter the 3-digit document code.
Exp Date	An entry field that allows you to enter the expiration date of the document.

Function Keys

In addition to the standard function keys described in *Using the Standard Function Keys*, the following are available on the Security Deposit-Certificate screen:

This key	Allows you to
PF2/14	View a list of document codes.
PF3/15	Return to the Security Deposit-Certificate screen.
PF5/17	Enter your comments.
PF6/18	Access the Security Deposit-Transfer screen.

Security Deposit-Transfer Screen

The Security Deposit-Transfer screen appears when you press PF6/18 on the Security Deposit- Certificate screen and allows you to enter transfer information.

Sample Screen

```

X$VC                DEPOSITORY TRUST COMPANY                MM/DD/YY
00002199-99        PARTICIPANT CUSTODY SYSTEM                HH:MM:SS
                   SECURITY DEPOSIT - TRANSFER                PAGE 01 OF 01

REF ID: 2000031309990001  CUST ACCT NUM: 0000                SAME DAY: Y
CUSIP : 459200101        DEPOSIT QTY: 10,000.00000

TRF REF ID: 200003130999    TRF QTY: _____    LOCATION: 404

  TRF TYPE    TAXPAYER ID    TAX WH    CITIZEN/LP    UIT CD    UIT CUSIP

      REGISTRATION                                MAIL TO NAME/ADDRESS

PF1: UPDATE  PF2: LOCATIONS  PF3: CERTS  PF4: BREAKDOWN
PF7: MENU    PF8: EXIT FUNC  PF9: SIGN OFF  PF10: PG EWD  PF11: PG FWD
    
```

Field Descriptions

This field	Displays
Ref ID	The reference identification number of the deposit.
Cust Acct. Num	The customer account number associated with the deposit.
Same Day	An indicator which specifies whether or not the deposit is same day: <ul style="list-style-type: none"> • Y: yes • N: no
CUSIP	The CUSIP number of the security.
Deposit Qty.	The total quantity of the deposit.
Trf Ref ID	An entry field that allows you to type a new 4-digit sequence number on the reference identification number if this is a multiple transfer item.
Trf Qty	An entry field that allows you to type the transfer quantity.
Location	The DTC box location in which the certificate is being held.
Trf Type	An entry field that allows you to type one of the following transfer types: <ul style="list-style-type: none"> • C: Customer • F: Firm • L: Legal
Taxpayer ID	An entry field that allows you to type one of the following taxpayer identifications: <ul style="list-style-type: none"> • SSN: 9-digit social security number • TIN: tax identification number • NRA: non-resident alien identification number

This field	Displays
Tax WH	An entry field that allows you to enter one of the following tax withholding codes: <ul style="list-style-type: none"> • A: Failure to provide Taxpayer Identification Number (TIN). • B: Failure to certify TIN • C: Notification of incorrect TIN from the Secretary of the Treasury • D: Failure to certify backup withholding status. • E: Voluntary disclosure from payee of affirmative backup withholding status. • F: Notification to commence backup withholding from the Secretary of the Treasury for underreporting dividends and/or interest payments.
Citizen/LP	An entry field that allows you to type Y or N to specify whether or not it is a limited partnership issue. <i>Required</i> for Communication/Limited Partnership issues.
UIT CD	An entry field that allows you to type one of the following: <ul style="list-style-type: none"> • 1: All cash principal • 2: Principal and interest • 4: Principal only • 5: Interest only
UIT CUSIP	An entry field that allows you to type the Unit Trust Investment CUSIP; optional.
Registration	An entry field that allows you to type the applicable registration information.
Mail To Name/Address	An entry field that allows you to type the name and mailing address of the person to whom the certificate (s) should be mailed.

Function Keys

In addition to the standard function keys described in *Using the Standard Function Keys*, the following are available on the Security Deposit-Certificate screen:

This key	Allows you to
PF2/14	View a list of location codes.
PF3/15	Return to the Security Deposit-Certificate
PF4/16	To enter denomination breakdown instructions.

Transfer From Custody-Certificate Summary Screen

The Transfer From Custody-Certificate Summary screen appears when you type D in the Cmd field on the Transfer From Custody-Deposit Summary screen.

The fields and keys are the same as those that appear on the Document Deposit-Certificate Summary screen.

Transfer From Custody-Deposit Summary Screen

The Transfer From Custody-Deposit Summary screen appears when you select Option 4 in the on the Participant Custody System Main Menu.

The fields and keys are the same as those that appear on the Document Deposit-Summary screen.

Transfer From Custody-Process Breakdown Screen

The Transfer From Custody-Process Breakdown screen appears when you press PF4/16 on the Transfer From Custody-Process screen and allows you to request specific certificate denominations.

The fields and keys are the same as those that appear on the Transfer From DTC Free-Process Breakdown screen except for the **Rush Ind** which specifies whether the transfer is a rush item or not.

Transfer From Custody-Process Screen

The Transfer From Custody-Process screen appears when you type S on the Transfer From Custody- Deposit Summary screen and allows you to enter transfer information.

Sample Screen

```

X$VC                DEPOSITORY TRUST COMPANY                MM/DD/YY
00002199-99        PARTICIPANT CUSTODY SYSTEM                HH:MM:SS
                   TRANSFER FROM CUSTODY - PROCESS          PAGE 01 OF 01

REF ID: 1999021100090447    CUST ACCT NUM: 1999410771    RUSH IND:
CUSIP: 459200101          DEPOSIT QTY: 10.00000        LOCATION: 947

TRANSFER QTY    TRANSFER REF ID    DEST/LOC    MAIL TYPE    TRF TYPE
-----
                200003130000

TAXPAYER ID    TAX WH    CITIZEN/LP    UIT CD    UIT CUSIP
-----
                REGISTRATION    -    MAIL TO NAME/ADDRESS
                _____
                _____
                _____
                _____

PF1: UPDATE    PF2: LOC CODES    PF4: BREAKDOWN    PF5: HELP    PF6: PREV
PF7: MENU      PF8: EXIT FUNC    PF9: SIGN OFF     PF10: PG BKW    PF11: PG FWD
    
```

Field Descriptions

This field	Displays
Ref ID	The reference identification number of the item.
Cust Acct Num	The customer account number associated with the item.
Rush Ind.	An entry field that allows you to enter one of the following: <ul style="list-style-type: none"> • Y: to indicate that this is a rush item • N: to indicate that this is a regular transfer • R: to indicate that this is a next-day rush if it is after cutoff.
CUSIP	The CUSIP number of the item.
Deposit Qty	The total quantity of the deposit.
Location	The DTC location in which the item is held.
Transfer Quantity	An entry fields that allows you to enter the transfer amount.
Transfer Ref ID	An entry field that allows you to type a new 4-digit sequence number on the reference identification number if this is a multiple transfer item.

This field	Displays
Dest/Loc	An entry field that allows you to type the destination or location code.
Mail Type	An entry field that allows you to type one of the following mail types: <ul style="list-style-type: none"> • 1: First class • 2: Federal Express • 3: DHL • 4: UPS • 5: Airborne
Trf Type	An entry field that allows you to type one of the following transfer type codes: <ul style="list-style-type: none"> • C: Customer • F: Firm
Taxpayer ID	An entry field that allows you to type the tax identification number: <ul style="list-style-type: none"> • SSN: Social Security number • TIN: Taxpayer identification number • NRA: Non-resident alien identification number.
Tax WH	An entry field that allows you to type a tax withholding code; optional: <ul style="list-style-type: none"> • A: Failure to provide Taxpayer Identification Number (TIN). • B: Failure to certify TIN • C: Notification of incorrect TIN from the Secretary of the Treasury • D: Failure to certify backup withholding status • E: Voluntary disclosure from payee of affirmative backup withholding status • F: Notification to commence backup withholding from the Secretary of the Treasury for underreporting dividends and/or interest payments.
Citizen/LP	An entry field that allows you to type Y, N, or leave blank. (Required only for Communication/Limited Partnership issues.)
UIT CD	An entry field that allows you to enter one of the following Unit Investment Trust codes; optional: <ul style="list-style-type: none"> • 1: All cash principal • 2: Principal and interest • 4: Principal only • 5: Interest only.
UIT CUSIP	An entry field that allows you to type the Unit Investment Trust CUSIP; <i>optional</i> .
Registration	An entry field that allows you to enter multiple registration information.
Mail to Name/Address	An entry field that allows you to enter the name and mailing address of the person or persons to whom the certificate(s) should be sent.

Function Keys

In addition to the standard function keys described in *Using the Standard Function Keys*, the following are available on the Transfer From DTC Free-Process Breakdown screen:

This key	Allows you to
PF2/14	Access a list of location codes.
PF4/16	Access the Transfer From Custody-Process Breakdown screen.

Transfer From DTC Free-Process Breakdown Screen

The Transfer From DTC Free-Process Breakdown screen appears when you press PF4/16 on the Transfer From DTC Free-Process screen and allows you to enter certificate denomination requests.

Sample Screen



Field Descriptions

This field	Displays
Ref ID	The reference identification number of the item.
Cust Acct Num	The customer account number associated with the item.
CUSIP	The CUSIP number of the item.
Deposit Qty	The total quantity of the deposit.
Location	The DTC location in which the item is held.
Num	An entry field that allows you to enter the number of certificates.
Denomination	An entry field that allows you to enter the required denomination of the certificate in 99999999.99999 format.

Function Keys

In addition to the standard function keys described in *Using the Standard Function Keys*, the following are available on the Transfer From DTC Free-Process Breakdown screen:

This key	Allows you to
PF2/14	Access a list of location codes.
PF4/16	Access the Document Deposit-Registration screen.

Transfer From DTC Free-Process Screen

Transfer From DTC Free-Process screen appears when you select Option 3 on the Participant Custody System Main Menu and allows you to enter transfer information.

Sample Screen

```

X$VX                DEPOSITORY TRUST COMPANY                MM/DD/YY
00002199-01        PARTICIPANT CUSTODY SYSTEM                HH:MM:SS
                   TRANSFER FROM DTC FREE - PROCESS

REF ID: _____  CUST ACCT NUM: _____  LOCATION: _____
CUSIP:  _____  DEPOSIT QTY: _____  TRF TYPE: _____
TAX ID: _____  TAX WH: _____  CITIZEN/LP: _____
UIT CD: _____  UIT CUSIP: _____  CORR ACT: _____
AGT ID: _____  INT CUST: _____

----- REGISTRATION -----
_____
_____
_____
_____

PF1: UPDATE        PF2: LOC CODES        PF4: BREAKDOWN
PF7: MENU          PF8: EXIT FUNC        PF9: SIGN OFF
    
```

Field Descriptions

This field	Displays
Ref ID	An entry field that allows you to enter the reference identification number of the item.
Cust Acct Num	An entry field that allows you to enter the customer account number associated with the item.
Location	An entry field that allows you to enter the DTC location of the item.
CUSIP	An entry field that allows you to enter the CUSIP number of the item.
Deposit Qty	An entry field that allows you to enter the total deposit quantity.
Trf Type	An entry field that allows you to enter one of the following transfer codes: <ul style="list-style-type: none"> • C: Customer • F: Firm • L: Legal
Tax ID	An entry field that allows you to enter one of the following tax identification codes: <ul style="list-style-type: none"> • SSN: social security number • TIN: taxpayer identification number • NRA: non-resident alien
Tax WH	An entry field that allows you to enter one of the following tax withholding codes; optional: <ul style="list-style-type: none"> • A: Failure to provide Taxpayer Identification Number (TIN) • B: Failure to certify TIN • C: Notification of incorrect TIN from the Secretary of the Treasury • D: Failure to certify backup withholding status • E: Voluntary disclosure from payee of affirmative backup withholding status • F: Notification to commence backup withholding from the Secretary of the Treasury for underreporting dividends and/or interest payments.

This field	Displays
UIT CD	An entry field that allows you to enter one of the following Unit Investment Trust codes: <ul style="list-style-type: none"> • 1: All cash principal • 2: Principal and interest • 4: Principal only • 5: Interest only.
UIT CUSIP	An entry field that allows you to enter the Unit Investment Trust CUSIP; optional.
Citizen/LP	An entry field that allows you to enter Y, N or leave blank. (Required only for Communication/Limited Partnership issues.)
Agt ID	An entry field that allows you to enter the identification number of the custodian bank or prime broker responsible for delivering and receiving securities.
Int Cust	An entry field that allows you to enter the Agent Internal Account number that the custodian bank or prime broker used to identify its clients.
Corr Act	An entry field that allows you to enter the account number that the custodian bank or prime broker used to identify its correspondent.
Registration	An entry field that allows you to enter the name and address of the person in whose name the certificate will be registered.

Function Keys

In addition to the standard function keys described in *Using the Standard Function Keys*, the following are available on the Transfer From DTC Free-Process screen:

This key	Allows you to
PF2/14	Access a list of location codes.
PF4/16	Access the Transfer From DTC Free-Process Breakdown screen

Transfer Inquiry Screen

The Transfer Inquiry screen appears when you press PF1/13 on the Inquiry screen. It allows you to view transfer activity in your custody account.

Sample Screen

```

X$VC          DEPOSITORY TRUST COMPANY          MM/DD/YY
00002199-01   PARTICIPANT CUSTODY SYSTEM        HH:MM:SS
                                     TRANSFER INQUIRY        PAGE 001 OF 001
REF ID: 19980406NY 0009          SCL ID: 999999999999-99
CUSIP : 580135101              QUANTITY: 50.00000
TA ID : 00009999              TAX ID: 99-9999999

                                DENOMINATION
      1  X  50.00000              X
      X              X
      X              X
      X              X
      X              X

REGISTRATION                      MAIL TO:
CEDE & CO.

PF2: CERT      PF3: DOC      PF4 : DETAIL      PF6 : SUMMARY      PF7 : MENU
PF8: EXIT      PF9: SIGN OFF  PF10: PG BWD     PF11: PG FWD      PF12 : MAIL
    
```

Field Descriptions

This field	Displays
Ref ID	The reference identification number of the security you want to view.
	<p>Note</p> <p>- If the item is a rush transfer item, the word 'RUSH' appears after the reference ID.</p>
SCL ID	The Shipment Control Log number.
CUSIP	The CUSIP number of the item.
Quantity	The total amount of the transfer.
TA ID	The Transfer Agent identification number.
Tax ID	The tax identification number.
Denomination	The certificate denomination(s).
Registration	The name of the person to whom the certificate (s) is/are registered.
Mail To	The mailing address of the person to whom the certificate (s) was/were shipped.

Function Keys

In addition to the standard function keys discussed in *Using the Standard Function Keys*, the following are available on the Transfer Inquiry screen:

This key	Allows you to
PF2/14	Access the Certificate Inquiry screen.
PF3/15	Access the Document Inquiry screen.
PF4/16	Access the Detail Inquiry screen.
PF6/18	Return to the Inquiry (Summary) screen.
PF12/24	View mailing information.

Withdrawal-Certificate Summary

The Withdrawal-Certificate Summary screen appears when you type D in the Cmd field on the Withdrawal-Deposit Summary screen and allows you to view certificate details.

The fields and keys are the same as those that appear on the Document Deposit-Certificate Summary screen.

Withdrawal-Deposit Summary

The Withdrawal-Deposit Summary screen appears when you select Option 5 on the Participant Custody System Main Menu and allows you to view withdrawal information.

The fields and keys are the same as those that appear on the Document Deposit-Summary screen.

Withdrawal-Process Screen

The Withdrawal-Process screen appears when you type S in the **Cmd** field on the Withdrawal- Deposit Summary and allows you to enter withdrawal processing information.

Sample Screen

```

X$VC                DEPOSITORY TRUST COMPANY                MM/DD/YY
00002199-01        PARTICIPANT CUSTODY SYSTEM                HH:MM:SS
                    WITHDRAWAL - PROCESS

REF ID: 1999021100070447    CUST ACCT NUM: 4RY1410771
CUSIP: 459200101          DEPOSIT QTY: 10.00000          LOCATION: 947

SAME/NEXT DAY: S
-----

DEST CODE          MAILING TYPE          MAILING ADDRESS
-----
1.  PICK UP        1. 1ST CLASS          _____
2.  DELIVERY       2. FEDEX              _____
3.  MAIL TO CUSTOMER  3. DHL                _____
4.  NY WINDOWS     4. UPS                _____
                    5. AIRBORNE          _____

PF1: UPDATE
PF6: PREV          PF7: MENU             PF8: EXIT FUNC       PF9: SIGN OFF
    
```

Field Descriptions

This field	Displays
Ref ID	The reference identification number of the item.
Cust Acct Num	The customer account number associated with the item.
CUSIP	The CUSIP number of the item.
Deposit Qty	The total quantity of the deposit.
Location	The location code of the DTC box where the security is held.
Same/Next Day	An entry field that allows you to enter S (same-day) or N (next-day) to indicate whether or not the activity is same-day or next-day.
Dest Code	An entry field that allows you to enter one of the following destination codes: <ul style="list-style-type: none"> • 1: Pickup • 2: Deliver • 3: Mail To Customer • 4: NY Window
Mailing Type	An entry field that allows you to enter one of the following mailing types: <ul style="list-style-type: none"> • 1: 1st Class • 2: FedEx • 3: DHL • 4: UPS • 5: Airborne
Mailing Address	An entry field that allows you to enter the mailing address of the customer, (required if the Dest Code is 3).

Messages

You may encounter the following error messages when using the CUST function. Messages are listed in alphabetical order along with an explanation and suggested resolution.

Message Text	Possible Cause	Suggested Resolution
CANCEL REQUEST PREVIOUSLY ENTERED	The Participant tried to cancel a COD for which a cancel request was already entered.	Select another COD.
CANNOT TRANSFER TO GENERAL FREE ACCOUNT	The Participant tried to transfer securities that are not transferable.	No action needed.
CAN ONLY PROCESS SAME DAY'S CANCEL	The Participant tried to cancel a COD that was entered prior to the current day.	Select a COD that was entered today.
CITIZENSHIP INDICATOR MUST BE 'Y', 'N', OR SPACES	An invalid character was entered.	Enter Y, N, or leave blank.
CORRESPONDENT ACCOUNT IS REQUIRED	The Participant did not enter the correspondent account number for an IPO issue.	Enter the correspondent account number.
CORRESPONDENT ACCT MUST BE NUMERIC	An invalid account number was entered.	Enter a numeric correspondent account number.
CUSIP CHILLED- CANNOT PROCESS	Self-explanatory.	No action needed.
CUSIP GLOBALLY LOCKED- CANNOT PROCESS	Self-explanatory.	No action needed.
CUSIP NOT ALPHANUMERIC	The Participant entered an invalid CUSIP number.	Enter a valid DTC-eligible CUSIP number.
CUSIP NOT FOUND ON MASTER TABLES	The Participant entered an invalid CUSIP number.	Enter a valid DTC-eligible CUSIP number.
CUSTOMER ACCOUNT NUMBER NOT FOUND ON DATABASE	The Participant entered an invalid customer account number.	Enter a valid customer account number.
DATABASE IS IN USE AT THIS TIME. PLEASE TRY AGAIN LATER.	The CUST function is not available at this time.	Try the function again at a later time.
DATABASE IS UNAVAILABLE AT THIS TIME. PLEASE TRY AGAIN LATER.	The CUST function is not available at this time.	Try the function again at a later time.
DENOMINATION MUST BE GREATER THAN 0.00000	The Participant entered a denomination of zero.	Enter a denomination greater than zero.
DENOMINATION MUST NOT EXCEED 999,999,999.00000	The denomination entered is greater than 999,999,999.00000.	Enter a denomination that does not exceed 999,999,999.00000.
DEPOSIT NOT FOUND ON AIM- CANNOT PROCESS	There is no deposit on file for the Reference ID the Participant entered.	Enter a valid reference ID.

Message Text	Possible Cause	Suggested Resolution
DEPOSIT QTY/CERT DENOM DISCREPANCY	The deposit quantity and the certificate denomination entered are not in agreement.	Adjust the deposit quantity or the certificate denomination.
DEPOSIT QUANTITY MUST BE GREATER THAN 0.00000	The Participant entered a deposit quantity of zero.	Enter a deposit quantity greater than zero.
DEPOSIT QTY MUST NOT EXCEED 999,999,999.00000	The deposit quantity entered is greater than 999,999,999.00000.	Enter a deposit quantity that does not exceed 999,999,999.00000.
DO NOT ENTER 'P' AND 'R' AT THE SAME TIME	The Participant entered P and R at the same time.	Enter either P or R.
DO NOT ENTER A TRANSFER DESTINATION/LOCATION	Self-explanatory.	Delete the information entered in the Dest/Loc field.
DO NOT ENTER A TRANSFER LOCATION	Self-explanatory.	Delete the information entered in the Location field.
DO NOT ENTER ANY FIELDS FOR THIS OPTION	Self-explanatory.	Delete the information entered.
DO NOT ENTER CITIZENSHIP INDICATOR	Self-explanatory.	Delete the citizenship indicator.
DO NOT ENTER MAILING TYPE	Self-explanatory.	Delete the mailing type.
DO NOT SELECT ALL ITEMS FOR PARTIAL PROCESSING	The Participant selected all items for partial processing.	Select only some items for partial processing.
ENTER BOTH NUMBER AND DENOMINATION	The Participant did not enter all the data needed for denomination breakdown.	Enter both the number and the denomination of the certificates.
ENTER BRKDOWN INFORMATION	The Participant did not enter required breakdown information.	Enter the required breakdown information.
ENTER 'C' TO CANCEL COD	The Participant pressed the PF5 key without entering C to request a COD cancel.	Enter C on the selected line to request a COD cancel.
ENTER CERT ID	The certificate identification was not entered.	Enter the certificate identification number.
ENTER CUSIP NUMBER	The Participant did not enter the CUSIP number.	Enter a valid DTC-eligible CUSIP number.
ENTER CUSTOMER ACCOUNT NUMBER	The Participant did not enter the customer account number.	Enter a valid customer account number.
ENTER DENOMINATION	The denomination was not entered.	Enter the certificate denomination.
ENTER DEPOSIT QUANTITY	The deposit quantity was not entered.	Enter the deposit quantity.
ENTER DESTINATION/LOCATION	The destination/location was not entered.	Enter the destination/location.

Message Text	Possible Cause	Suggested Resolution
ENTER DOCUMENT CODE	The document code was not entered.	Enter the document code. Press the PF2/14 key for a listing.
ENTER DOCUMENT INFORMATION.	The Participant did not enter document information.	Enter the required document information.
ENTER FULL SCREEN OF DATA BEFORE PAGING FORWARD	Self-explanatory.	Enter data on the entire screen before pressing the 'PF11/23' key to scroll forward.
ENTER ISSUANCE DATE	The issuance date was not entered.	Enter the issuance date in <i>mmdyy</i> format.
ENTER LOCATION CODE	The location code was not entered.	Enter the location code or press PF2/14 for a listing.
ENTER MAILING ADDRESS	The Participant did not enter the mailing address.	Enter the mailing address.
ENTER MAILING TYPE	The Mailing Type was not entered.	Enter the Mailing Type.
ENTER NEW LOCATION	The Participant did not enter the new location code.	Enter the new location code or press PF2/14 for a listing.
ENTER NEW REFERENCE ID	The Participant did not enter the new Reference ID.	Enter the new Reference ID.
ENTER NUMBER OF CERTIFICATES	The number of certificates required was not entered.	Enter the required number of certificates.
ENTER OPTION	No option was selected.	Enter an option.
ENTER QUANTITY	The quantity was not entered.	Enter the quantity.
ENTER REF-ID, DATE, DATE AND CUSIP, DATE AND ACTIVITY	The Participant entered invalid selection criteria.	Enter valid selection criteria.
ENTER REFERENCE ID	The reference identification number was not entered.	Enter the reference identification number.
ENTER REFERENCE ID CUSIP OR CUSTOMER ACCOUNT NUMBER	Self-explanatory.	Enter the Reference ID, the CUSIP number or the Customer account number.
ENTER REGISTRATION INFORMATION	No registration information was entered.	Enter the required registration information.
ENTER SAME/NEXT DAY INDICATOR	Self-explanatory.	Enter S or N.
ENTER TAXPAYER ID	The taxpayer identification number was not entered.	Enter the taxpayer identification number.
ENTER TRANSFER TYPE'C'CUSTOMER,'F'IRM, OR'L'EGAL	An invalid value was entered in the Transfer Type field.	Enter C (Customer), F (Firm) or L (Legal).

Message Text	Possible Cause	Suggested Resolution
FORMAT TAX ID AS SSN,TIN OR NRA	The Taxpayer Identification number was not entered.	Enter the Social Security number, the Tax ID number or NRA (non-resident alien) number.
INTERNAL CUSTOMER REQUIRED	The Internal Customer Account number was not entered for an IPO issue.	Enter the Internal Customer Account number.
INVALID ACTIVITY	Self-explanatory.	Enter a valid activity.
INVALID AGENT ID	Self-explanatory.	Enter a valid Agent ID number.
INVALID CERT ID	Self-explanatory.	Enter a valid certificate identification number.
INVALID CHECK DIGIT	Self-explanatory.	Enter a valid CUSIP number.
INVALID CITIZENSHIP INDICATOR	Self-explanatory.	Enter Y, N or leave blank.
INVALID CORRESPONDENT ACCOUNT	Self-explanatory.	Enter a valid Correspondent account number.
INVALID CUSIP	Self-explanatory.	Enter a valid CUSIP number.
INVALID DATE	Self-explanatory.	Enter a valid date.
INVALID DENOMINATION	Self-explanatory.	Enter a valid denomination value of more than zero, but less than 999,999,999.00000.
INVALID DEPOSIT QUANTITY	Self-explanatory.	Enter a valid deposit quantity of more than zero, but less than 999,999,999.00000.
INVALID DESTINATION/LOCATION	Self-explanatory.	Enter a valid location/destination or press PF2/14 for a listing.
INVALID DOCUMENT CODE	Self-explanatory.	Enter a valid document code or press PF2/14 for a listing.
INVALID EXPIRATION DATE	Self-explanatory.	Enter a valid expiration date in mmddyy format.
INVALID ISSUANCE DATE	Self-explanatory.	Enter a valid issuance date in mmddyy format.
INVALID KEY PRESSED	Self-explanatory.	Press a valid 'PF' key.
INVALID LINE (S) COMMAND	An invalid line command was entered.	Enter a valid line command.
INVALID LOCATION	An invalid location was entered.	Enter a valid location code or press PF2/14 key to obtain a listing.
INVALID MAIL CODE	An invalid mail code was entered.	Enter a valid mail code.
INVALID MAILING TYPE	An invalid mailing type was entered.	Enter a valid mailing type.

Message Text	Possible Cause	Suggested Resolution
INVALID NEW LOCATION	An invalid location code was entered.	Enter a valid location code or press PF2/14 to obtain a listing.
INVALID NEW REFERENCE ID	The new Reference ID number that the Participant entered is invalid.	Enter a valid new Reference ID number.
INVALID OPTION	Self-explanatory.	Enter a valid option.
INVALID QUANTITY	Self-explanatory.	Enter a valid quantity.
INVALID REFERENCE ID	Self-explanatory.	Enter a valid reference ID.
INVALID SAME/NEXT DAY INDICATOR	Self-explanatory.	Enter S or N.
INVALID SELECTION CODE	Self-explanatory.	Enter C to request a COD cancel.
ITEM IS A PARTIAL COD. CANCEL PARTIALLY WITHDRAWN PORTION	The Participant attempted to cancel the return portion of a partial COD.	Delete the selection code from the return portion and type C next to the partially withdrawn portion to proceed with the COD cancel request.
ITEM PREVIOUSLY CANCELED	The Participant attempted to cancel a COD that has already been canceled.	Delete the selection code.
INVALID STATE CODE	An invalid state code was entered.	Enter a valid state code.
INVALID TAXPAYER ID	An invalid taxpayer identification number was entered.	Enter a valid taxpayer identification number.
INVALID TRANSFER TYPE- ENTER 'C' CUSTOMER, 'F' FIRM OR 'L' LEGAL	The Participant entered an invalid transfer type.	Enter C (Customer), F (Firm), or L (Legal).
INVALID UIT CUSIP	The CUSIP number entered is not a valid UIT CUSIP number.	Enter a valid UIT CUSIP number.
IPO TRACKED ISSUE NOT ELIGIBLE FOR PROCESSING.	The Participant tried to process transactions for an IPO tracked issue.	No action needed.
LOCATION CODE NOT ALLOWED	Self-explanatory.	Delete the location code.
MUST ENTER BOTH UIT CODE AND UIT CUSIP	The Participant entered data in one of the fields and not the other.	Enter the UIT code and the UIT CUSIP number.
NEW LOCATION CANNOT BE SAME AS CURRENT LOCATION	The Participant entered the existing location code in the New Location code field.	Enter a different location code or press PF2/14 to obtain a location listing.
NO DOCUMENT INFORMATION	The Participant selected a transaction for which there is no document information.	No action needed.
NO FURTHER BACKWARD PAGING POSSIBLE	The Participant pressed the 'PF10/22' key to scroll backward at the first screen of data.	Press PF11/23 to scroll forward.

Message Text	Possible Cause	Suggested Resolution
NO TRANSFER INFORMATION	The Participant selected a transaction that is not a transfer item.	No action needed.
NO FURTHER FORWARD PAGING POSSIBLE	The Participant pressed PF11/23 to scroll forward at the last screen of data.	Press PF10/22 to scroll backward.
NO FURTHER FORWARD PAGING POSSIBLE WHEN PREVIOUS PAGE IS EMPTY	The Participant pressed PF11/23 to scroll forward at the last screen of data.	Press PF10/22 to scroll backward.
NO TRANSFER AGENT AVAILABLE, CANNOT TRANSFER. NOTIFY UNDERWRITING DEPARTMENT	The Transfer Agent information is invalid at DTC.	Contact the Underwriting department at DTC.
NUMBER OF CERTIFICATES MUST BE GREATER THAN ZERO	The Participant did not enter the number of certificates or entered a quantity less than zero.	Enter a number greater than zero.
NUMBER OF CERTIFICATES MUST BE NUMERIC	An invalid number was entered.	Enter a numeric value.
PAST CUTOFF TIME FOR RUSH TRANSFER. PROCESS AS REGULAR TRANSFER	The Participant tried to process a rush transfer after the cutoff time.	Process the item as a regular transfer.
PAST CUTOFF TIME FOR SAME DAY PROCESSING	The Participant tried to process a transaction after the cutoff time.	Process on the next available business day.
PRESS'PF5' TO CANCEL COD.	The Participant entered C but pressed an incorrect PF key.	Press PF5/17 to process the COD cancel request.
REFERENCE ID ALREADY EXISTS	Self-explanatory.	Enter a new reference identification number.
RESTRICTION INDICATOR MUST BE'Y' OR'N'	Self-explanatory.	Enter Y or N.
RUSH INDICATOR MUST BE'Y' OR'N'	Self-explanatory.	Enter Y or N.
SAME DAY INDICATOR MUST BE'Y' OR'N'	Self-explanatory.	Enter Y or N.
SELECT ONLY ONE ITEM	The Participant selected more than one item.	Select only one item.
TAX WITHHOLDING INDICATOR MUST BE'A' THRU'F'	An invalid tax withholding indicator was entered.	Enter A, B, C, D, E or F.
TAXPAYER ID REQUIRED	The taxpayer identification number was not entered.	Enter the taxpayer identification number.
THERE ARE NO ITEMS WHICH MATCH THE SELECTION CRITERIA	The Participant made a selection for which there is no data.	Make another selection.
THIS CUSIP IS A COMMUNICATION ISSUE. CITIZENSHIP INDICATOR MUST BE A 'Y' OR 'N'	The Participant did not enter or entered an invalid citizenship indicator.	Enter Y or N.

Message Text	Possible Cause	Suggested Resolution
THIS IS NOT A COD ITEM	The Participant tried to cancel a non-COD item.	Delete the selection code.
TOTAL DENOMINATION BREAKDOWN INCONSISTENT WITH DEPOSIT QUANTITY	The total denomination breakdown quantity is less than or greater than the deposit quantity.	Re-enter the denomination breakdown amounts to equal the deposit quantity.
TOTAL DENOMINATION MUST BE GREATER THAN 0.00000	The Participant did not enter the breakdown amounts or entered values equal to or lower than zero.	Enter a value greater than 0.00000.
TRANSACTION CURRENTLY PENDING- CANNOT PROCESS	The Participant tried to process a transaction before the previous transaction was completed.	Wait until the previous transaction is completed before attempting another or contact the DTC User department for status information.
TRANSFER LOCATION IS NOT VALID	An invalid transfer location was entered.	Enter a valid transfer location.
UIT CODES MUST BE '1','2','4' OR '5'	An invalid UIT code was entered.	Enter 1, 2, 4 or 5.
USER NOT ELIGIBLE FOR THIS OPTION	The Participant is only eligible for the Inquiry Option.	Select Option 7 on the Main Menu Screen. No other options are available to you at present.

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