



---

## Asset Services

### PANS

MARCH 11, 2024

# TABLE OF CONTENTS

<b>PANS .....</b>	<b>3</b>
Introduction .....	3
Overview.....	3
When to Use.....	3
Associated Products.....	3
List of Procedures: .....	4
Viewing Announcements for a Specific Meeting or Expiration Date.....	4
Viewing Announcements in CUSIP Order.....	4
Viewing New Announcements .....	5
Viewing Updated Announcements .....	6
List of Screens: .....	7
Consent Announcement Inquiry List .....	7
Consent Important Notice Screen .....	8
Consent Record Date Position Detail Screen .....	9
Consent Record Date Position Summary Screen .....	10
New Consent Announcements Screen .....	12
New Proxy Meeting Announcements Screen .....	14
Proxy Announcement Menu.....	15
Proxy Meeting Announcement Inquiry List.....	17
Proxy Meeting Record Date Position Detail Screen .....	18
Proxy Meeting Record Date Position Summary Screen .....	19
Updated Consent Announcements Screen.....	21
Updated Proxy Meeting Announcements Screen .....	22
Messages.....	23

# PANS

## Introduction

### Overview

The Participant Inquiry for Proxy Announcements (PANS) function allows you to make inquiries and receive immediate responses concerning all proxy announcements. You can view:

- New and updated meetings or consents announced within the past five (5) business days in CUSIP or meeting/expiration date order
- Associated proxy position and history for any meeting or consent in date order, starting with the capture date
- Transaction details.

The primary objective of PANS is to help you determine how DTC arrived at your proxy position. The position is available from capture date to 60 business days after the meeting/expiration date.

---

#### *Note*

- For some Canadian issues, voting rights may be available under certain conditions to the transferee of shares transferred after the record date for the meeting.

---

### When to Use

Use PANS whenever you want to understand how DTC determined your proxy position.

PANS is available:

- On business days 24 hours a day
- On Saturdays from 7:00 a.m. to 3:00 p.m. eastern time.

### Associated Products

PANS is used in association with the Proxy product

## List of Procedures:

### Viewing Announcements for a Specific Meeting or Expiration Date

Use the following procedure to view announcements for a specific meeting or expiration date.

1. Type PANS on the Enter Function screen and press ENTER.  
*Result-* The Proxy Announcement Menu appears.
2. Type 3 in the **Option field**.
3. Type M or C in the **Announcement Type** field.
4. Type a date in the **Meeting/Expiration** field in *mmdyy* format and press ENTER.  
*Result-* One of the following screens appears:
  - Proxy Meeting Announcement Inquiry List
  - Consent Announcement Inquiry List.
5. Type one of the following in the **Sel** field and press ENTER:
  - X: To view additional meeting or consent information
  - P: To view your record date positions.*Result-* One of the following screens appears:
  - Proxy Meeting Announcement Inquiry List with additional information
  - Consent Announcement Inquiry List with additional information
  - Consent Important Notice
  - Proxy Meeting Record Date Position Summary
  - Consent Record Date Position Summary.
6. *Optional.* Type X in the **Sel** field next to a meeting or consent announcement and press ENTER.  
*Result-* One of the following screens appears:
  - Proxy Meeting Record Date Position Detail
  - Consent Record Date Position Detail.

### Viewing Announcements in CUSIP Order

Use the following procedure to view announcements in CUSIP order.

1. Type PANS on the Enter Function screen and press ENTER.  
*Result-* The Proxy Announcement Menu appears.
2. Type 4 in the **Option field**.
3. Type a CUSIP number in the **CUSIP** field and press ENTER.  
*Result-* One of the following screens appears:
  - Proxy Meeting Announcement Inquiry List
  - Consent Announcement Inquiry List.
4. Type one of the following in the **Sel** field and press ENTER:
  - X: To view additional meeting or consent information

- P: To view your record date positions.

*Result-* One of the following screens appears:

- Proxy Meeting Announcement Inquiry List with additional information
- Consent Announcement Inquiry List with additional information
- Consent Important Notice
- Proxy Meeting Record Date Position Summary
- Consent Record Date Position Summary.

5. *Optional.* Type X in the **Sel** field next to a meeting or consent announcement and press ENTER.

*Result-* One of the following screens appears:

- Proxy Meeting Record Date Detail
- Consent Record Date Position Detail

## Viewing New Announcements

Use the following procedure to view proxy meeting or consent solicitation announcements.

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

*Result-* The Proxy Announcement Menu appears.

2. Type 1 in the **Option field**.

3. Type M or C in the **Announcement Type** field and press ENTER.

*Result-* One of the following screens appears:

- New Proxy Meeting Announcements
- New Consent Announcements.

4. Type one of the following in the **Sel** field and press ENTER:

- X: To view additional meeting or consent information
- P: To view your record date positions.

*Result-* One of the following screens appears:

- New Proxy Meeting Announcements with additional information
- New Consent Announcements with additional information
- Consent Important Notice
- Proxy Meeting Record Date Position Summary
- Consent Record Date Position Summary.

5. *Optional.* On the Proxy Meeting Record Date Position Summary screen, or the Consent Record Date Position Summary screen, press PF2/14.

*Result-* One of the following screens appears:

- Proxy Meeting Record Date Position Detail
- Consent Record Date Position Detail.

## Viewing Updated Announcements

Use the following procedure to view update proxy meeting or consent solicitation announcements.

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

*Result-* The Proxy Announcement Menu appears.

2. Type 2 in the **Option field**.

3. Type M or C in the **Announcement Type** field and press ENTER.

*Result-* One of the following screens appears:

- Updated Proxy Meeting Announcements
- Updated Consent Announcements.

4. Type one of the following in the **Sel** field and press ENTER:

- X: To view additional meeting or consent information
- P: To view your record date positions.

*Result-* One of the following screens appears:

- Updated Proxy Meeting Announcements with additional information
- Updated Consent Announcements with additional information
- Consent Important Notice
- Proxy Meeting Record Date Position Summary
- Consent Record Date Position Summary.

5. *Optional.* On the Proxy Meeting Record Date Position Summary screen, or the Consent Record Date Position Summary screen, press PF2/14.

*Result-* One of the following screens appears:

- Proxy Meeting Record Date Position Detail
- Consent Record Date Position Detail.

## List of Screens:

### Consent Announcement Inquiry List

The Consent Announcement Inquiry List appears when you select option 3 or 4 on the Proxy Announcement Menu and enter C in the **Announcement Type** field. This screen displays a list of consent announcements for a specific date or CUSIP, depending on the criteria you entered.

#### Sample Screen

```

QS83                               DEPOSITORY TRUST COMPANY           MM/DD/YY
00002199-99                         CONSENT ANNOUNCEMENT INQUIRY LIST   HH:MM:SS
                                           PAGE 1 OF 1

EXPIRATION DATE: 08 03 99

      RECORD      EXTENDED      LATE      CUTOFF      POS  CAN
      SEL         CUSIP         DATE      FROM        IND   DATE   IND  IND

(X)DETAIL, (P)OSITION

ENTER:  PROCESS   PF 3/15 MEETINGS   PF 6/18 PREVIOUS   PF 7/19 MAIN MENU
PF 8/20 EXIT     PF 9/21 SIGNOFF   PF10/22 BACKWARD   PF11/23 FORWARD
    
```

#### Field Descriptions

The fields and function keys on the Consent Announcement Inquiry List are the same as those displayed on the New Consent Announcements screen.

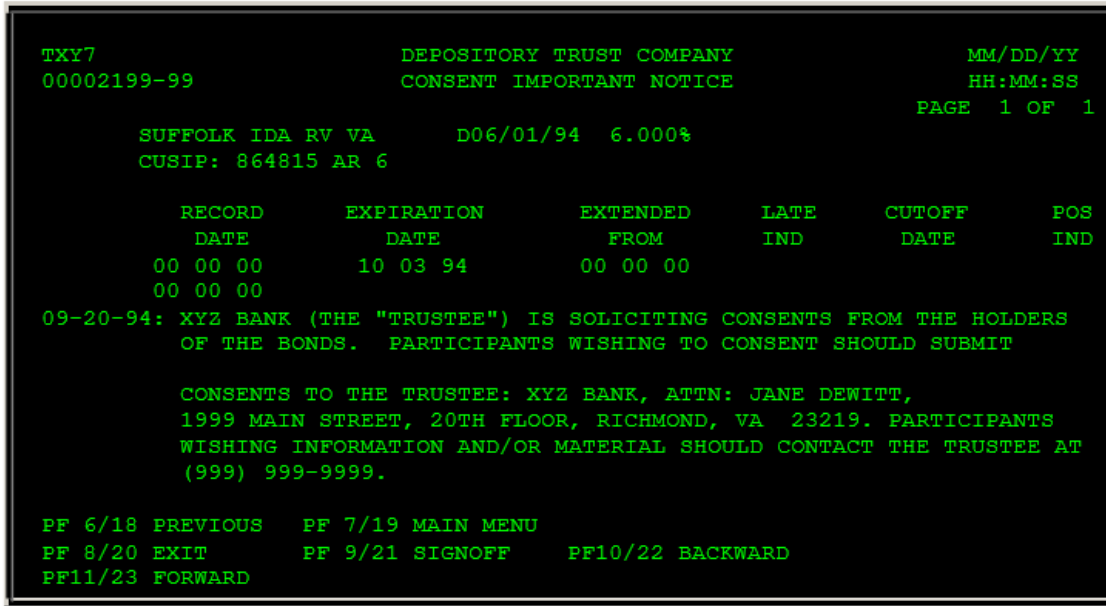
## Consent Important Notice Screen

The Consent Important Notice screen appears when you enter X in the **Sel** field of the New Consent Announcements screen and displays any comments related to a specific announcement.

**Note**

- If there are no comments for the selected consent announcement, this screen does not appear.

**Sample Screen**



**Field Descriptions**

This field	Displays
CUSIP	The CUSIP number of the security.
Record Date	The date declared by the issuer to determine the holders of record.
Expiration Date	The expiration date of the announcement.
Extended From	The original solicitation's ending date.
Late Ind	One of the following: <ul style="list-style-type: none"> <li>• L: Capture complete</li> <li>• P: Pending capture</li> <li>• Blank: Not late.</li> </ul>
Cutoff Date	The New York Record Date (the date established by DTC for issues that do not have a Transfer or Drop Agent in New York City).
Pos Ind	One of the following if you have position in the relevant security: <ul style="list-style-type: none"> <li>• P: Proxy position</li> <li>• *: DTC position</li> <li>• Blank: No position.</li> </ul>
Comments	Special comments or pertinent information relating to the announcement.

## Consent Record Date Position Detail Screen

The Consent Record Date Position Detail screen appears when you enter X in the **Sel** field on the Consent Record Date Position Summary screen. This screen displays the details of all positions within DTC, and any adjustment activity that affects your eligible voting positions.

### Sample Screen

```

TX77                                DEPOSITORY TRUST COMPANY                MM/DD/YY
00002199-99                        CONSENT RECORD DATE POSITION DETAIL          HH:MM:SS
                                         PAGE 1 OF 1

SUFFOLK IDA RV VA    D06/01/94    6.00%
      RECORD      EXPIRATION    CUTOFF      EXTENDED
CUSIP      DATE        DATE        DATE        FROM
864815 AR 6    00 00 00    10 03 94    00 00      00 00 00

PART ID: 2199/DTC TEST ACCOUNT

ACTIVITY DATE:    01 03 92    ACTIVITY:  RECORD POSITION(L)
NET VOTING POSITION: 53081

      POSITION      ACCT      DESCRIPTION
      53081      10      UNPLEGDED

PF2/14: ANN INO      PF6/18: PREVIOUS      PF7/19: MAIN MENU      PF8/20: EXIT
PF9/21: SIGNOFF      PF10/22: BACKWARD      PF11/23: FORWARD
    
```

### Field Descriptions

This field	Displays
CUSIP	The CUSIP number of the security.
Record Date	The date declared by the issuer to determine the holders of record.
Expiration Date	The date the solicitation period ends.
Cutoff Date	The New York Record Date (the date established by DTC for issues that do not have a Transfer or Drop Agent in New York City).
Extended Date	The original solicitation end date.
Part ID	Your Participant number and name.
Activity Date	The record date, or the date an activity was captured that affected the record date of a meeting or consent.

This field	Displays
Activity	<p>The description of position activity:</p> <ul style="list-style-type: none"> <li>• Record Position: positions captured from ATP</li> <li>• Record Position (L): backdated position captured from ATP</li> <li>• Unstamp Rec Date Dep: Deposits captured on the record date but returned with Cede &amp; Co. stock transferred after the record date; positions are adjusted to decrease voting or consent record dates.</li> <li>• Interim: DO activity made during the cutoff period</li> <li>• Journal- Interim*</li> <li>• Journal*</li> <li>• Journal- Transfer*</li> <li>• Interim (L)*</li> <li>• Journal (L)*</li> <li>• Cut-off Interim*</li> <li>• Adjustment. *</li> </ul> <p>* DTC activities that are determined as adjustments to the record date position.</p>
Net Voting Position	Total proxy quantity shares for all activity dates.
Position	Your total of your proxy and non-proxy position.
Acct	The DTC account from which the position was captured.
Description	<p>The account description:</p> <ul style="list-style-type: none"> <li>• Unpledge: DTC free position, eligible for voting rights</li> <li>• WT/transfer: DTC in-transfer position, not eligible.</li> </ul>

**Function Keys**

In addition to the standard function keys described in Using the Standard Function Keys, you can press PF2/14 on the Consent Record Date Position Detail screen to access the New Consent Announcements screen or the Updated Consent Announcements screen.

**Consent Record Date Position Summary Screen**

The Consent Record Date Position Summary screen appears when you enter P in the **Sel** field on the following screens:

- New Consent Announcements
- Updated Consent Announcements
- Consent Announcement Inquiry List.

This screen displays your positions eligible for consent exercise and allows you to select an item to view details.

Sample Screen

```

TXY7              DEPOSITORY TRUST COMPANY              MM/DD/YY
00002199-99      CONSENT RECORD DATE POSITION SUMMARY  HH:MM:SS
                                                    PAGE 1 OF 1

SUFFOLK IDA RV VA  D06/01/94  6.00%

      CUSIP          RECORD      EXPIRATION    CUTOFF      EXTENDED
      DATE          DATE          DATE          DATE          FROM
864815 AR 6      00 00 00      10 03 94      00 00 00      00 00 00

PART ID: 2199/ DTC TEST ACCOUNT

SEL      ACTIVITY DATE    PROXY QTY    NON PROXY QTY    ACTIVITY
X        11 03 94      53081        0                RECORD POSITION(L)

(X) DETAIL
NET VOTING POSITION:          53081

ENTER : PROCESS  PF2/14: ANN INQ      PF 6/18: PREVIOUS  PF 7/19: MAIN MENU
PF8/20: EXIT    PF9/21: SIGNOFF     PF10/22: BACKWARD  PF11/23: FORWARD
    
```

Field Descriptions

This field	Displays
CUSIP	The CUSIP number of the security.
Record Date	The date declared by the issuer to determine the holders of record.
Expiration Date	The date the solicitation period ends.
Cutoff Date	The New York Record Date (the date established by DTC for issues that do not have a Transfer or Drop Agent in New York City).
Extended From	The original solicitation end date.
Part ID	Your Participant number and name.
Sel	An entry field that allows you to select a specific transaction and view its details. Enter an X.
Activity Date	The date an activity was posted or adjusted to the record date position.
Proxy Qty	The amount of voting position you have.
Non Proxy Qty	The amount of non-voting position you have.

This field	Displays
Activity	<p>The description of position activity:</p> <ul style="list-style-type: none"> <li>• Record Position: positions captured from ATP</li> <li>• Record Position (L): backdated position captured from ATP</li> <li>• Unstamp Rec Date Dep: Deposits captured on the record date but returned with Cede &amp; Co. stock transferred after the record date; positions are adjusted to decrease voting or consent record dates.</li> <li>• Interim: DO activity made during the cutoff period</li> <li>• Journal- Interim*</li> <li>• Journal*</li> <li>• Journal- Transfer*</li> <li>• Interim (L)*</li> <li>• Journal (L)*</li> <li>• Cut-off Interim*</li> <li>• Adjustment. *</li> </ul> <p>* DTC activities that are determined as adjustments to the record date position.</p>
Net Voting Position	Total proxy quantity shares for all activity dates.

### Function Keys

In addition to the standard function keys described in Using the Standard Function Keys, you can press PF2/14 on the Consent Record Date Position Summary screen to access the New Consent Announcements screen or the Updated Consent Announcements screen.

## New Consent Announcements Screen

The New Consent Announcements screen appears when you select option 1 on the Proxy Announcement Menu and enter C in the **Announcement Type** field. This screen displays new proxy consent announcements and allows you to select an announcement to view its details.

### Sample Screen

```

QS83                DEPOSITORY TRUST COMPANY                MM/DD/YY
00002199-99        NEW CONSENT ANNOUNCEMENTS                HH:MM:SS
                                                            PAGE 1 OF 1

REPORT DATE: 04 29 99

SEL      CUSIP      RECORD    MEETING  MTG  ADJOURNED  LATE  CUTOFF  POS CAN
          DATE      DATE      DATE      TYPE  FROM      IND  DATE      IND IND

(X)DETAIL, (P)OSITION

ENTER:  PROCESS    PF 4/16 CONSENTS    PF 6/18 PREVIOUS    PF 7/19 MAIN MENU
PF 8/20 EXIT      PF 9/21 SIGNOFF    PF10/22 BACKWARD    PF11/23 FORWARD
    
```

## Field Descriptions

This field	Displays
Report Date	An entry field that allows you to specify the date of the announcements you want to view. Enter a date up to five business days prior to the current date in <b>mmddyy</b> format. <i>Optional. Default:</i> The current date.
Sel	An entry field that allows you to select an announcement to view one of the following: <ul style="list-style-type: none"> <li>• X: To view announcement details</li> <li>• P: To view your position.</li> </ul> <i>Optional.</i>
CUSIP	The CUSIP number of the security.
Record Date	The date declared by the issuer to determine the holders of record.
Meeting Date	The date of the shareholders' meeting.
Extended From	The original solicitation's ending date.
Late Ind	One of the following: <ul style="list-style-type: none"> <li>• L: Capture complete</li> <li>• P: Pending capture</li> <li>• Blank: Not late.</li> </ul>
Cutoff Date	The New York Record Date (the date established by DTC for issues that do not have a Transfer or Drop Agent in New York City).
Pos Ind	One of the following if you have position in the relevant security: <ul style="list-style-type: none"> <li>• P: Proxy position</li> <li>• *: DTC position</li> <li>• Blank: No position.</li> </ul>
Can Ind	If the issue is Canadian, a C.
Solicitation Agent ID	The ID number of the solicitation agent.  <b>Note</b> -This field and the following two fields appear only after you enter X in the <b>Sel</b> field.
Consent Payment	The letter Y if there is a fee associated with the consent.
Desc	Special comments or pertinent information relating to the announcement.

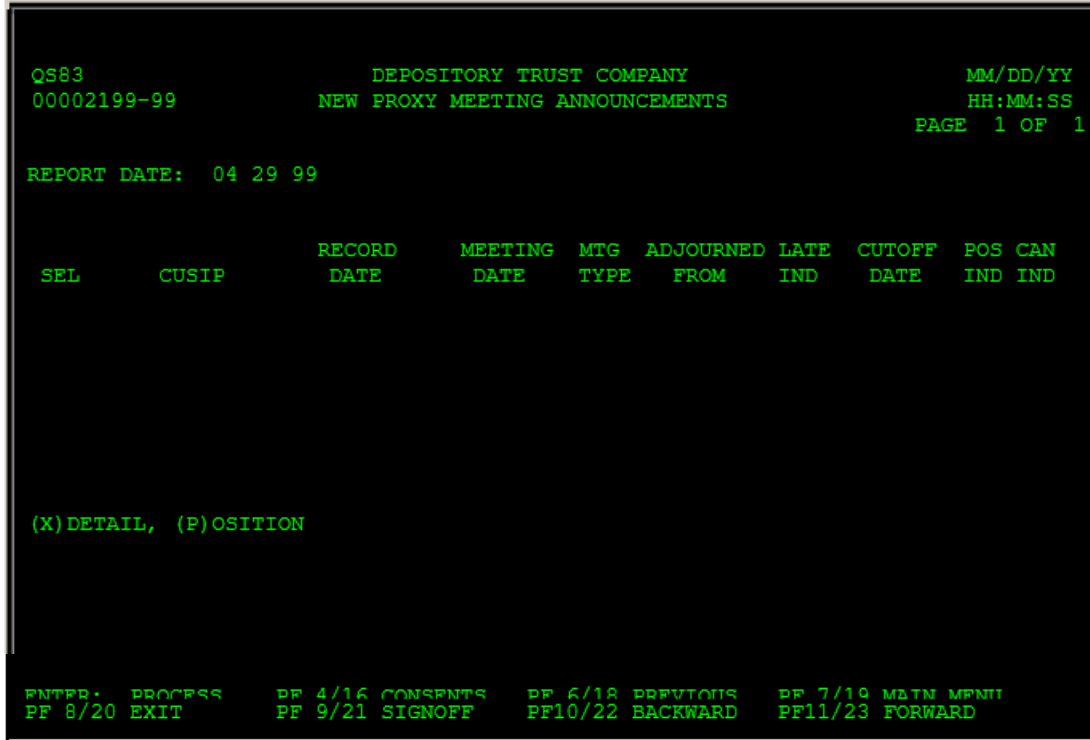
## Function Keys

In addition to the standard function keys described in Using the Standard Function Keys, you can press PF3/15 on the New Consent Announcements screen to access the New Proxy Meeting Announcements screen.

## New Proxy Meeting Announcements Screen

The New Proxy Meeting Announcements screen appears when you select option 1 on the Proxy Announcement Menu and enter M in the **Announcement Type** field. This screen displays new proxy meeting announcements and allows you to select an announcement and view its details.

### Sample Screen



### Field Descriptions

This field	Displays
Report Date	An entry field that allows you to specify the date of the announcements you want to view. Enter a date up to five business days prior to the current date in <b>mmdyy</b> format. <i>Optional. Default:</i> The current date.
Sel	An entry field that allows you to select an announcement to view one of the following: <ul style="list-style-type: none"> <li>• X: To view announcement details</li> <li>• P: To view your position.</li> </ul> <i>Optional.</i>
CUSIP	The CUSIP number of the security.
Record Date	The date declared by the issuer to determine the holders of record.
Meeting Date	The date of the shareholders' meeting.

This field	Displays
Mtg Type	<p>The meeting type:</p> <ul style="list-style-type: none"> <li>• A: Annual</li> <li>• S: Special</li> <li>• G: General</li> <li>• E: Extraordinary</li> <li>• X: Extra.</li> </ul> <hr/> <p><b>Note</b></p> <p>-G, E, and X types apply to Canadian issues only.</p>
Adjourned From	The date of the original shareholders' meeting.
Late Ind	<p>One of the following:</p> <ul style="list-style-type: none"> <li>• L: Capture complete</li> <li>• P: Pending capture</li> <li>• Blank: Not late.</li> </ul>
Cutoff Date	The New York Record Date (the date established by DTC for issues that do not have a Transfer or Drop Agent in New York City).
Pos Ind	<p>One of the following if you have position in the relevant security:</p> <ul style="list-style-type: none"> <li>• P: Proxy position</li> <li>• *: DTC position</li> <li>• Blank: No position.</li> </ul>
Can Ind	If the issue is Canadian, a C.
Solicitation Agent ID	<p>The ID number of the solicitation agent.</p> <hr/> <p><b>Note</b></p> <p>-This field and the following field appear only after you enter X in the <b>Sel</b> field.</p>
Name	The name of the solicitation agent.

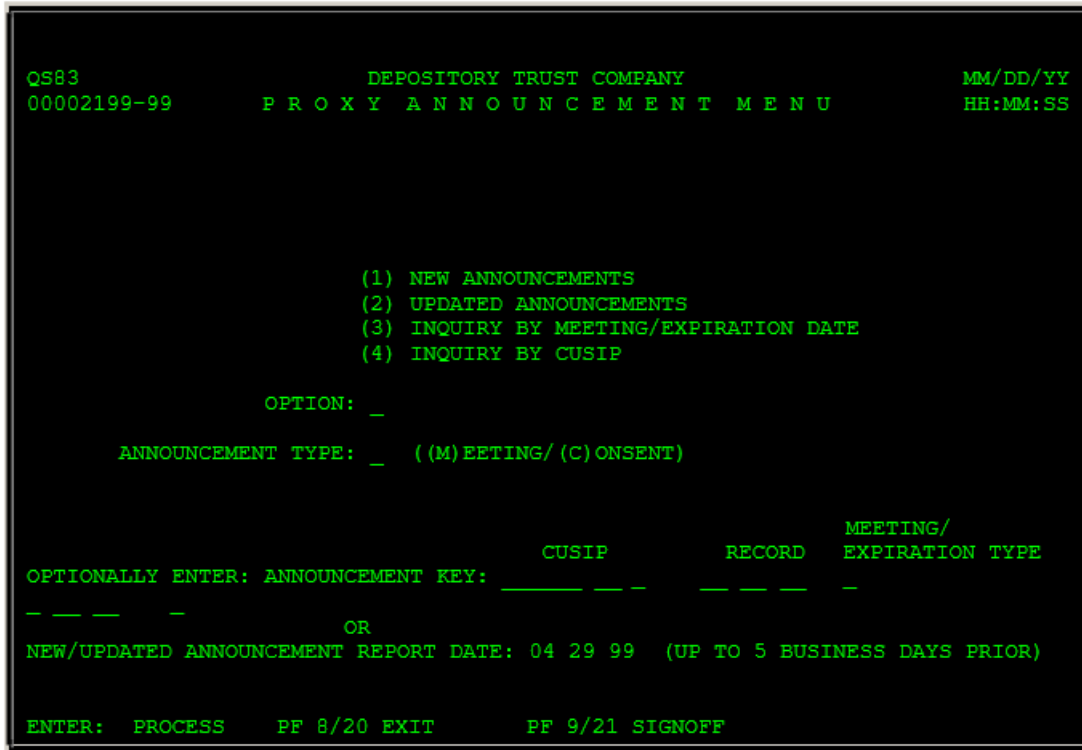
### Function Keys

In addition to the standard function keys described in *Using the Standard Function Keys*, you can press PF4/16 on the New Proxy Meeting Announcements screen to access the New Consent Announcements screen.

## Proxy Announcement Menu

The Proxy Announcement Menu allows you to select the activity you want to perform and to specify the security, date (s), and meeting type.

Sample Screen



Field Descriptions

This field	Allows you to
Option	Enter one of the following: <ul style="list-style-type: none"> <li>• 1: To view new proxy meeting or consent announcements</li> <li>• 2: To view updated proxy meeting or consent announcements</li> <li>• 3: To view proxy meeting or consent announcements in meeting or expiration date order</li> <li>• 4: To view proxy meeting or consent announcements in CUSIP order.</li> </ul>
Announcement Type	Enter one of the following: <ul style="list-style-type: none"> <li>• M: To view meeting announcements</li> <li>• C: To view consent announcements.</li> </ul>
CUSIP	Enter the CUSIP number of the security whose announcements you want to view. <b>Required</b> for option 4.
Record	Enter the record date of the announcements you want to view. <i>Optional.</i>
Meeting/Expiration	Enter the meeting or expiration date of the announcements you want to view, in <b>mmddy</b> format. <b>Required</b> for option 3.

This field	Allows you to
Type	<p>Enter the meeting type:</p> <ul style="list-style-type: none"> <li>• Annual</li> <li>• Special</li> <li>• General</li> <li>• Extraordinary</li> <li>• Extra.</li> </ul> <p><i>Note</i></p> <p>-G, E, and X types apply to Canadian issues only.</p> <p><i>Optional.</i></p>
New/Updated Announcement Report Date	<p>Enter the date for which you want to view new or updated announcements, up to five business days prior to the current date.</p> <p><i>Optional.</i></p>

## Proxy Meeting Announcement Inquiry List

The Proxy Meeting Announcement Inquiry List appears when you select option 3 or 4 on the Proxy Announcement Menu and enter M in the **Announcement Type** field. This screen displays a list of meeting announcements for a specific date or CUSIP, depending on the criteria you entered.

### Sample Screen

```

QS83                DEPOSITORY TRUST COMPANY                MM/DD/YY
00002199-99        PROXY MEETING ANNOUNCEMENT INQUIRY LIST  HH:MM:SS
                                                           PAGE 1 OF 4

MEETING DATE: 08 04 99

      RECORD  MTG  ADJOURNED  LATE  CUTOFF  POS  CAN
      DATE    TYPE    FROM    IND  DATE    IND  IND
SEL  CUSIP
    005125 10 9   06 14 99   A   00 00 00   00 00 00
    068313 10 5   06 07 99   A   00 00 00   00 00 00
    073302 10 1   06 07 99   A   00 00 00   00 00 00
    090433 10 3   06 15 99   A   00 00 00   00 00 00
    090931 10 6   06 17 99   A   00 00 00   L   06 16 99
    33761M 10 1   06 29 99   A   00 00 00   06 25 99   C

(X)DETAIL, (P)OSITION

ENTER:  PROCESS   PF 4/16 CONSENTS   PF 6/18 PREVIOUS   PF 7/19 MAIN MENU
PF 8/20 EXIT     PF 9/21 SIGNOFF   PF10/22 BACKWARD  PF11/23 FORWARD
    
```

### Field Descriptions

The fields and function keys on the Proxy Meeting Announcement Inquiry List are the same as those displayed on the New Proxy Meeting Announcements screen.

## Proxy Meeting Record Date Position Detail Screen

The Proxy Meeting Record Date Position Detail screen appears when you enter X in the **Sel** field on the Proxy Meeting Record Date Position Summary screen. This screen displays the details of activities that resulted in your latest record date position.

### Sample Screen

```

QS83                DEPOSITORY TRUST COMPANY                MM/DD/YY
00002199-99        PROXY MEETING RECORD DATE POSITION DETAIL  HH:MM:SS
                                                           PAGE 1 OF 1

SHLOMO CORP        +
                   RECORD          MEETING MTG          CUTOFF          ADJOURNED
                   DATE            DATE
                   TYPE            DATE            FROM
005125 10 9        06 14 99        08 04 99        A            00 00 00        00 00 00

                   PART ID: 2199 / XYZ CO.
                   ACTIVITY DATE: 06 14 99        ACTIVITY: RECORD POSITION
NET VOTING POSITION:                8618

                   POSITION          ACCT          DESCRIPTION
                   8618            10            UNPLEGDED

PF 2/14 ANN INQ    PF 6/18 PREVIOUS    PF 7/19 MAIN MENU    PF 8/20 EXIT
PF 9/21 SIGNOFF   PF10/22 BACKWARD   PF11/23 FORWARD
    
```

### Field Descriptions

This field	Displays
CUSIP	The CUSIP number of the security.
Record Date	The date declared by the issuer to determine the holders of record.
Meeting Date	The date of the shareholders' meeting.
Mtg Type	<p>One of the following meeting types:</p> <ul style="list-style-type: none"> <li>• A: Annual</li> <li>• S: Special</li> <li>• G: General</li> <li>• E: Extraordinary</li> <li>• X: Extra.</li> </ul> <p><b>Note</b></p> <p>--Types G, E and X apply to Canadian issues only.</p>
Cutoff Date	The New York Record Date (the date established by DTC for issues that do not have a Transfer or Drop Agent in New York City).
Adjourned From	The date of the original shareholders' meeting.

This field	Displays
Part ID	Your Participant number and name.
Activity Date	The date an activity was posted or adjusted to the record date position.
Activity	<p>The description of position activity:</p> <ul style="list-style-type: none"> <li>• Record Position: positions captured from ATP</li> <li>• Record Position (L): backdated position captured from ATP</li> <li>• Unstamp Rec Date Dep: Deposits captured on the record date but returned with Cede &amp; Co. stock transferred after the record date; positions are adjusted to decrease voting or consent record dates.</li> <li>• Interim: DO activity made during the cutoff period</li> <li>• Journal- Interim*</li> <li>• Journal*</li> <li>• Journal- Transfer*</li> <li>• Interim (L)*</li> <li>• Journal (L)*</li> <li>• Cut-off Interim*</li> <li>• Adjustment. *</li> </ul> <p>* DTC activities that are determined as adjustments to the record date position.</p>
Net Voting Position	Total proxy quantity shares for all activity dates.
Position	Your total of your proxy and non-proxy position.
Acct	The DTC account from which the position was captured.
Description	<p>The account description:</p> <ul style="list-style-type: none"> <li>• Unpledge: DTC free position, eligible for voting rights</li> <li>• WT/transfer: DTC in-transfer position, not eligible.</li> </ul>

**Function Keys**

In addition to the standard function keys described in Using the Standard Function Keys, you can press PF2/14 on the Proxy Meeting Record Date Position Detail screen to access the New Proxy Meeting Announcements screen or the Updated Proxy Meeting Announcements screen.

**Proxy Meeting Record Date Position Summary Screen**

The Proxy Meeting Record Date Position Summary screen appears when you enter P in the **Sel** field on one of the following screens:

- New Proxy Meeting Announcements
- Updated Proxy Meeting Announcements
- Proxy Meeting Announcement Inquiry List.

This screen displays a summary of your position that is currently eligible for voting rights and allows you to select an item to view details.

Sample Screen

```

QS83                DEPOSITORY TRUST COMPANY                MM/DD/YY
00002199-99        PROXY MEETING RECORD DATE POSITION SUMMARY  HH:MM:SS
                                                           PAGE 1 OF 1
ACXIOM CORP        +
                   RECORD          MEETING      MTG      CUTOFF      ADJOURNED
                   DATE            DATE
                   DATE            TYPE        DATE            FROM
005125 10 9        06 14 99      08 04 99      A          00 00 00      00 00 00

PART ID: 2199 / XYZ CO.

SEL  ACTIVITY DATE  PROXY QTY  NON PROXY QTY  ACTIVITY
      06 14 99      8618
      0  RECORD POSITION

(X)DETAIL
NET VOTING POSITION:      8618
ENTER:  PROCESS  PF 2/14 ANN INQ  PF 6/18 PREVIOUS  PF 7/19 MAIN MENU
PF 8/20 EXIT    PF 9/21 SIGNOFF  PF10/22 BACKWARD  PF11/23 FORWARD
    
```

Field Descriptions

This field	Displays
CUSIP	The CUSIP number of the security.
Record Date	The date declared by the issuer to determine the holders of record.
Meeting Date	The date of the shareholders' meeting.
Mtg Type	<p>One of the following meeting types:</p> <ul style="list-style-type: none"> <li>• A: Annual</li> <li>• S: Special</li> <li>• G: General</li> <li>• E: Extraordinary</li> <li>• X: Extra.</li> </ul> <p><b>Note</b> -Types G, E and X apply to Canadian issues only.</p>
Cutoff Date	The New York Record Date (the date established by DTC for issues that do not have a Transfer or Drop Agent in New York City).
Adjourned From	The date of the original shareholders' meeting.
Part ID	Your Participant number and name.
Sel	An entry field that allows you to select a specific transaction and view its details. Enter an X.
Activity Date	The date an activity was posted or adjusted to the record date position.

This field	Displays
Proxy Qty	The amount of voting position you have.
Non Proxy Qty	The amount of non-voting position you have.
Activity	<p>The description of position activity:</p> <ul style="list-style-type: none"> <li>• Record Position: positions captured from ATP.</li> <li>• Record Position (L): backdated position captured from ATP.</li> <li>• Unstamp Rec Date Dep: Deposits captured on the record date but returned with Cede &amp; Co. stock transferred after the record date; positions are adjusted to decrease voting or consent record dates.</li> <li>• Interim: DO activity made during the cutoff period.</li> <li>• Journal- Interim*</li> <li>• Journal*</li> <li>• Journal- Transfer*</li> <li>• Interim (L)*</li> <li>• Journal (L)*</li> <li>• Cut-off Interim*</li> <li>• Adjustment*</li> </ul> <p>* DTC activities that are determined as adjustments to the record date position.</p>
Net Voting Position	Total proxy quantity shares for all activity dates.

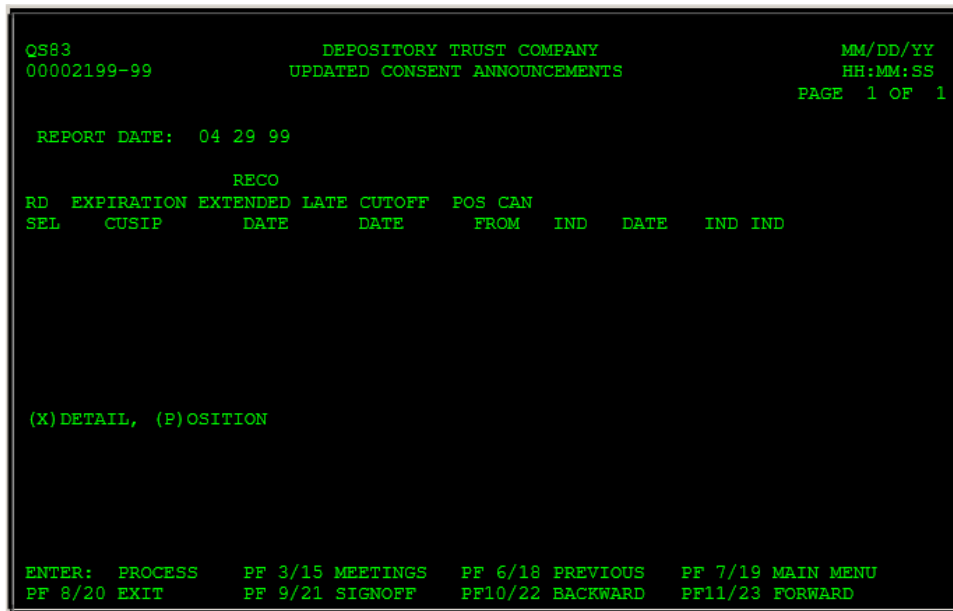
**Function Keys**

In addition to the standard function keys described in Using the Standard Function Keys, you can press PF2/14 on the Proxy Meeting Record Date Position Summary screen to access the New Proxy Meeting Announcements screen or the Updated Proxy Meeting Announcements screen.

**Updated Consent Announcements Screen**

The Updated Consent Announcements screen appears when you select option 2 on the Proxy Announcement Menu and enter C in the **Announcement Type** field. This screen displays updated proxy consent announcements and allows you to select an announcement to view its details or your position.

**Sample Screen**



### Field Descriptions

The fields and function keys on the Updated Consent Announcements screen are the same as those displayed on the New Consent Announcements screen, with the addition of the following:

This field	Displays
Expiration Date	The expiration date of the announcement.
Comments	Special comments or pertinent information relating to the announcement.

## Updated Proxy Meeting Announcements Screen

The Updated Proxy Meeting Announcements screen appears when you select option 2 on the Proxy Announcement Menu and enter M in the **Announcement Type** field. This screen displays updated Proxy meeting announcements and allows you to select an announcement and view its details.

### Sample Screen

```

QS83                                DEPOSITORY TRUST COMPANY                MM/DD/YY
00002199-99                        UPDATED PROXY MEETING ANNOUNCEMENTS        HH:MM:SS
                                                PAGE 1 OF 1

REPORT DATE: 04 29 99

SEL  CUSIP      RECORD  MEETING MTG ADJOURNED LATE CUTOFF  POS CAN
   DATE      DATE   TYPE  FROM   IND  DATE   IND IND
33733X 23 5   04 27 99  05 27 99  A  00 00 00   05 30 99   DELETED

(X)DETAIL, (P)OSITION

ENTER:  PROCESS   PF 4/16 CONSENTS   PF 6/18 PREVIOUS   PF 7/19 MAIN MENU
PF 8/20 EXIT     PF 9/21 SIGNOFF   PF10/22 BACKWARD  PF11/23 FORWARD
    
```

### Field Descriptions

The fields and function keys displayed on the Updated Proxy Meeting Announcements screen are the same as those displayed on the New Proxy Meeting Announcements screen.

## Messages

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

Message Text	Possible Cause	Suggested Resolution
CALL ERROR	A system problem has occurred.	Try the PANS function at a later time. If this message appears again, visit the DTCC Client Center.
CALL ERROR (MSTRBL) TRY AGAIN OR CALL DTC NETWORK OPERATIONS	A system problem has occurred.	Try the PANS function at a later time. If this message appears again, visit the DTCC Client Center.
CICS EXEC ERROR TRY AGAIN OR CALL DTC NETWORK OPERATIONS	A system problem has occurred.	Try the PANS function at a later time. If this message appears again, visit the DTCC Client Center.
CUSIP MUST BE ENTERED MAKE ANOTHER SELECTION	The CUSIP number was not entered or was erased.	Enter a CUSIP number.
DB2 CONNECTION ERROR TRY AGAIN OR CALL DTC NETWORK OPERATIONS	A system problem has occurred.	Try the PANS function at a later time. If this message appears again, visit the DTCC Client Center.
DB2 ERROR TRY AGAIN OR CALL DTC NETWORK OPERATIONS	A system problem has occurred.	Try the PANS function at a later time. If this message appears again, visit the DTCC Client Center.

Message Text	Possible Cause	Suggested Resolution
DB2 LOCKOUT PROBLEM TRY AGAIN OR CALL DTC NETWORK OPERATIONS	A system problem has occurred.	Try the PANS function at a later time. If this message appears again, visit the DTCC Client Center.
ENTER (MMDDYY), MAKE ANOTHER SELECTION	An invalid date was entered.	Enter a valid date in mmddy format.
ENTER PARTICIPANT ID AND PRESS ENTER	The Participant sign-on was left blank.	Enter a valid Participant sign- on.
FIRST PAGE OF DATA MAKE ANOTHER SELECTION	PF10/22 was pressed to scroll backward while at the first page of data.	Press PF11/23 to scroll forward.
INVALID CUSIP- MAKE ANOTHER SELECTION	An invalid CUSIP number was entered.	Enter a valid CUSIP number.
INVALID KEY PRESSED MAKE ANOTHER SELECTION	An invalid key was pressed.	Press one of the valid function keys listed at the bottom of the screen.
INVALID PARTICIPANT MAKE ANOTHER SELECTION	The Group User entered an invalid Participant number.	Enter a valid Participant number.
LAST PAGE OF DATA MAKE ANOTHER SELECTION	PF11/23 was pressed to scroll forward while at the last page of data.	Press PF10/22 to scroll backward.
NO DATA FOR REQUEST MAKE ANOTHER SELECTION	No notices were found for the CUSIP number entered.	Enter another CUSIP number.
NO SELECTION MADE	ENTER was pressed but no selection was made.	Select a valid action and press ENTER.
PAST CUTOFF/QUIESCE HIT ENTER TO EXIT & TRY BETWEEN SS & EE: EE: EE	The cutoff time for the PANS function has passed.	Refer to When to Use and try the PANS function at the next available time.
SELECTION/OPTION ERROR MAKE ANOTHER SELECTION	The cursor was not positioned correctly for selecting an item.	Position the cursor at the desired item and press ENTER.
TERMINAL ERROR DATA LOST- PLEASE ENTER REQUEST AGAIN	A system problem has occurred.	Re-enter the CUSIP number.
TRANSMISSION ERROR DATA LOST- PLEASE ENTER REQUEST AGAIN	A system problem has occurred.	Re-enter the CUSIP number.

© 2025 DTCC. All rights reserved. DTCC and DTCC (Stylized) and Financial Markets. Forward. are registered and unregistered trademarks of The Depository Trust & Clearing Corporation DTCC. The services described herein are provided under the “DTCC” brand name by certain affiliates of The Depository Trust & Clearing Corporation (“DTCC”). DTCC itself does not provide such services. Each of these affiliates is a separate legal entity, subject to the laws and regulations of the particular country or countries in which such entity operates. Please see [www.dtcc.com](http://www.dtcc.com) for more information on DTCC, its affiliates and the services they offer.

**Doc Date:** March 11, 2024  
**Publication Code:** AS255  
**Service:** Asset Services  
**Title:** PANS

## For More Information

DTCC Client Center: [www.dtcc.com/client-center](http://www.dtcc.com/client-center)

DTCC Learning Center: [www.dtcclearning.com](http://www.dtcclearning.com)





---

## Asset Services

**PDWC**

MARCH 12, 2024

# TABLE OF CONTENTS

- PDWC ..... 3**
- Introduction ..... 3
- Overview..... 3
- When to Use..... 3
- Associated Products..... 3
- List of Procedures: ..... 4
- Cancelling a Deposit or Withdrawal ..... 4
- Entering a Deposit or Withdrawal Instruction ..... 4
- Viewing Deposit and Withdrawal Transactions ..... 5
- List of Screens: ..... 5
- Deposit / Withdrawal Instructions Screen ..... 5
- Main Menu..... 7
- Participant Cancellation Screen ..... 8
- Participant Inquiry Screen ..... 10
- Messages..... 12

# PDWC

## Introduction

### Overview

The Deposit/Withdrawal at Custodian Function for Participants (PDWC) allows you to submit deposit and withdrawal instructions with respect to securities (such as 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. Upon the custodian's approval, your position will be updated 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 the transfer agent or registrar (if the custodian is not the transfer agent or registrar for the issue) 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.

A confirmation ticket for both you and the custodian is generated indicating whether the transaction is:

- Recycled or dropped
- Pending custodian approval
- Approved or canceled by the custodian.

DTC offers you the option of selecting a 72-hour pend period for all your deposits, which gives custodians three business days (including the deposit date) to either approve or cancel your transaction before it drops off the system. This option saves you the trouble of having to resubmit a deposit if a custodian takes no action within three days. Call your Relationship Manager to activate this option. Otherwise, all transactions that were not approved or canceled by custodians will be dropped at the close of the business day, and you will have to re-enter them on the following business day.

---

#### **Note**

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

---

### When to Use

Use PDWC to enter deposit and withdrawal transactions that require custodian approval.

PDWC is available on business days from 12:00 midnight to 5:15 p.m. eastern time.

### Associated Products

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

## List of Procedures:

### Canceling a Deposit or Withdrawal

Use the following procedure to cancel a pending deposit or withdrawal transaction. You can only cancel pending transactions that were entered on the current day.

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

*Result-* The Main Menu appears.

2. Type 2 in the **Option field**.
3. *Optional.* Type one of the following in the **Type** field:
  - D: To list deposits only
  - W: To list withdrawals only.

---

#### *Note*

- If you leave this field blank, all pending transactions are listed.

---

4. *Optional.* To list transactions for a specific security, type a CUSIP number in the **CUSIP** field.
  5. Press ENTER.
- Result-* The Participant Cancellation screen appears.
6. Type C in the **Cancel** field to the left of the transaction you want to cancel. Enter identifying information in the **Part Canceled Name** and **Phone** fields. Type the reason for the cancellation in the unmarked field below the transaction, up to 78 characters. Press ENTER to validate your data.

---

#### *Note*

- You can cancel up to two transactions per screen.

---

7. Press PF1/13 to confirm the entry, then press PF1/13 again to transmit.

*Result-* Confirmation tickets are generated for both the participant and the custodian.

### Entering a Deposit or Withdrawal Instruction

Use the following procedure to enter instructions for deposits or withdrawals.

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

*Result-* The Main Menu appears.

2. Type 1 in the **Option field and press ENTER.**

*Result-* The Deposit/Withdrawal Instructions screen appears with entry fields for four transactions.

---

#### *Note*

- If you would like the Deposit/Withdrawal Instructions to appear without free text entry fields for **comments**, type N in the Comments field on the Main Menu. You can then enter 10 transactions per screen at one time.

---

3. Type your instruction information in the entry fields provided. You must also enter identifying information in the **Part Contact Name** and **Phone** fields. Press ENTER to validate your data.

*Result-* You are ready to transmit your instructions. If an error occurs, an appropriate message appears. Correct the error and press ENTER again.

4. Press PF1/13 to transmit your instructions.

*Result-* The message 'Transaction(s) accepted for processing' appears and a Deposit/Withdrawal At Custodian Confirmation ticket prints on your designated PTS printer.

## Viewing Deposit and Withdrawal Transactions

Use the following procedure to view previously entered deposit and withdrawal transactions. You can view those entered on the current or the previous business day.

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

*Result-* The Main Menu appears.

2. Type 3 in the **Option field**.

3. *Optional.* To limit the resulting display, enter values in the following fields:

- **Type:** Enter 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 *mmddccyy* format to list transactions that were entered on the previous business day
- **Day/Nite:** Type one of the following:
  - D: To list transactions entered via PDWC (current day transactions)
  - N: To list transactions entered via NDWP (next day transactions)
  - C: To list transactions entered via CCF.

4. Press ENTER.

*Result-* The Participant Inquiry screen appears.

5. *Optional.* To view the last pend date at DTC, the name and phone number of the participant contact who entered or canceled the instructions, reference ID, and comments entered for a transaction, place the cursor on the desired line and press PF3/15.

## List of Screens:

### Deposit / Withdrawal Instructions Screen

The Deposit/Withdrawal Instructions screen appears when you select option 1 on the Main Menu, and allows you to enter deposit and withdrawal instructions.

## Sample Screen

```

QSO6                THE DEPOSITORY TRUST COMPANY                1/02/2002
00002199-01        DEPOSIT/WITHDRAWAL AT CUSTODIAN            11:14:47
                   DEPOSIT/WITHDRAWAL INSTRUCTIONS

D/W      PREVENT      QUANTITY      REFERENCE ID
d        PEND        CUSIP      WHOLE    FRAC
                   123456789      1
COMMENTS:

COMMENTS:

COMMENTS:

COMMENTS:

PART CONTACT NAME: JOE BLOUGH      PHONE: 212 555 - 8158 EXT: 12345
PRESS ENTER TO VALIDATE OR PF1/13 TO UPDATE
PF1/13 UPDATE      PF7/19 MENU      PF8/20 END FUNCTION      PF9/21 SIGNOFF
  
```

## Field Descriptions

This field	Allows you to
D/W	Indicate whether this instruction is for a deposit or a withdrawal. Type D or W.
Prevent Pend	Prevent the transaction from pending (recycling). Type a P. <i>Optional.</i>
	<b>Note</b> -This applies to withdrawals only. If you do not enter a P and you have insufficient position (or collateral monitor, if SDFS), the withdrawal recycles until it is made or dropped.
CUSIP	Enter the CUSIP number.
Quantity	Specify the whole share quantity and, if needed, the fractional share quantity to be withdrawn or deposited.
Comments	Type comments regarding the transaction.
Reference ID	Create a reference ID code of up to 26 numeric or alphabetic characters for your own tracking purposes.
Part Contact Name	Type your name.
Phone	Type your 10-digit phone number.
Ext	Type your extension number. <i>Optional.</i>

## Main Menu

The Main Menu allows you to select the desired option and to enter search criteria for inquiries.

### Sample Screen

```

QAA1                               THE DEPOSITORY TRUST COMPANY           MM/DD/YYYY
D0002199-99                       DEPOSIT/WITHDRAWAL AT CUSTODIAN       HH:MM:SS
                                     MAIN MENU
PART NUM:                          <== REQUIRED
OPTION :                            <== REQUIRED
TYPE :
CUSIP :
DATE :
COMMENTS:
DAY/NITE:
STATUS :

1. DEPOSIT/WITHDRAWAL
2. DEPOSIT/WITHDRAWAL CANCELLATION
3. DEPOSIT/WITHDRAWAL INQUIRY

SELECT DESIRED OPTION, THEN PRESS ENTER
(TYPE: D = DEPOSIT, W = WITHDRAWAL)
(COMMENTS: Y = YES, N = NO 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
Part Num	Enter the number of the participant for which you want to enter, cancel, or view transactions.  <i>Note</i> - Group Users only.
Option	Type one of the following: <ul style="list-style-type: none"> <li>1: To enter deposit or withdrawal instructions</li> <li>2: To cancel pending transactions</li> <li>3: To view transactions for the current day, or the previous day if you type a date.</li> </ul>
Type	Enter one of the following to specify the type of transaction: <ul style="list-style-type: none"> <li>D: Deposits</li> <li>W: Withdrawals.</li> </ul> <i>Note</i> -Leave blank for option 1.
CUSIP	Enter a CUSIP number to cancel or view transactions for a specific security. <i>Optional.</i>  <i>Note</i> -Leave blank for option 1.

This field	Allows you to
Date	<p>List the previous day's transactions. Type the date in <b>mmddccyy</b> format.</p> <p><i>Optional.</i></p> <hr/> <p><b>Note</b></p> <p>-Applies to option 3 only.</p>
Comments	<p>Type one of the following to indicate whether your transactions will include comments:</p> <ul style="list-style-type: none"> <li>• Y: Comments will be included; the resulting screen will include an entry field and allow you to enter up to four transactions at one time</li> <li>• N: Comments will not be included; the resulting screen will allow you to enter up to 10 transactions at one time.</li> </ul> <p><i>Optional. Default: Y.</i></p>
Day/Nite	<p>Enter one of the following:</p> <ul style="list-style-type: none"> <li>• D: To list transactions entered via PDWC for same-day processing</li> <li>• N: To list transactions entered via the NDWP function for next-day processing</li> <li>• C: To list transactions entered via CCF.</li> <li>• Blank: To list all transactions.</li> </ul> <p><i>Optional. Default: Blank.</i></p>
Status	<p>To specify the type of transactions you want to see when using the Deposit/Withdrawal Inquiry option (option 3) only. Enter one of the following:</p> <ul style="list-style-type: none"> <li>• A: To list transactions approved by the custodian</li> <li>• C: To list transactions canceled by the custodian</li> <li>• P: To list transactions pending approval or cancellation</li> <li>• N: To list transactions on which the custodian took no action and that subsequently dropped off the system</li> <li>• O: To list other kinds of transactions, such as recycled items, items rejected by ATP, and so forth.</li> <li>• Blank: To list all transactions.</li> </ul> <p><i>Optional. Default: Blank.</i></p>

## Participant Cancellation Screen

The Participant Cancellation screen appears when you select option 2 on the Main Menu, and allows you to cancel pending deposit and withdrawal instructions you entered on the current business day.

## Sample Screen

```

Q$06          THE DEPOSITORY TRUST COMPANY          01/02/2002
00005198-16  DEPOSIT/WITHDRAWAL AT CUSTODIAN      11:11:42
              PARTICIPANT CANCELLATION          PAGE 1

CANCEL  D/W  TRAN NUM  CUSIP  QUANTITY  LAST PEND DT
  c      D    N/A      456789012  100      01/02/02

REFERENCE ID: XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
PART CONTACT NAME: JOE BLOUGH  PHONE: (212) 555-8158 EXT:

PART CANCELED NAME: BOB CANCELLOR  PHONE: 222 222 - 2222 EXT:
CANCELLATION COMMENTS HERE

          D    N/A      1234566789  200      01/02/02

REFERENCE ID: SSSSSSSSSSSSSSSSSSSSSSSSSSSSS
PART CONTACT NAME: JOE BLOUGH  PHONE: (212) 555-8158 EXT:

PART CANCELED NAME:           PHONE: - EXT:

ENTER 'C' TO CANCEL AND PRESS PF1/13 TO UPDATE          *** CONTINUES ***

PF1/13 UPDATE  PF4/16 FIRST PAGE  PF8/20 END FUNCTION  PF10/22 PAGE BACKWRD
PF7/19 MAIN MENU  PF9/21 SIGN-OFF  PF11/23 PAGE FORWARD
  
```

## Field Descriptions

This field	Allows you to
Cancel	Type C to the left of the transaction you want to cancel.
D/W	View an indicator of whether the transaction is a deposit (D) or withdrawal (W).
Tran Num	View the ATP Relative Byte Number for withdrawal transactions that have been processed by ATP.
CUSIP	The CUSIP number of the security involved in the transaction.
Quantity	View the number of shares.
Last Pend Dt	View the last business day on which the custodian can approve or cancel the transaction before it drops from the system and you have to resubmit it to DTC.
Reference ID	View a reference ID code of up to 26 numeric or alphabetic characters for your own tracking purposes.
Part Contact Name	View the name of the participant contact who entered the instructions.  <b>Note</b> - The participant contact'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. <i>Optional.</i>



## Field Descriptions

This field	Displays
D/W	An indicator of whether the transaction is a deposit (D) or withdrawal (W).
Cust Name	The custodian's name.
Tran Num	The ATP Relative Byte Number for withdrawal transactions that have been processed by ATP.
CUSIP	The CUSIP number of the security involved in the transaction.
Quantity	The number of shares.
Status	<p>The current status of the transaction:</p> <ul style="list-style-type: none"> <li>• PENDING AT DTC: The transaction is waiting to be processed at DTC</li> <li>• PENDING CUSTodian APPROVAL: The transaction was accepted by DTC, and if a withdrawal, your position (and, if SDFS, collateral monitor) was reduced accordingly; custodian approval is pending</li> <li>• RECYCLE: Your position (or, if SDFS, collateral monitor) is currently insufficient for a withdrawal; the transaction remains in this status until there is adequate position (and, if SDFS, collateral monitor)</li> <li>• DROPPED: The withdrawal transaction was dropped due to insufficient position (or, if SDFS, insufficient collateral monitor)</li> <li>• CANCELED BY PART: The transaction was canceled by the participant</li> <li>• CANCELED BY CUSTodian: The transaction was canceled by the custodian</li> <li>• APPROVED BY CUSTodian: The transaction was approved by the custodian</li> <li>• NO ACTION BY CUSTodian: The transaction was neither approved nor canceled by the custodian by cutoff time.</li> </ul>
Last Pend Dt	The last business day that the custodian can approve or cancel the transaction before it drops from the system and you have to resubmit it. Comments (if any) appear below this field.
Reference ID	The reference ID code created for your own tracking purposes.
Part Contact Name	<p>The name of the participant contact who entered the instructions.</p> <hr/> <p><b>Note</b></p> <p>- The participant contact's comments regarding the transaction, if any, appear below this field.</p> <hr/>
Phone	The phone number of the participant contact who entered the transaction.
Ext	The extension number of the participant contact who entered the transaction. <i>Optional.</i>

## Function Keys

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

This key	Allows you to
PF3/15	View the last pend date at DTC, reference ID, participant contact name and number, and comments about a selected item, if any were entered.
PF4/16	Access the first page of the display.
PF5/17	Access the last page of the display.

## Messages

You may encounter the following messages when using the PDWC 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), which displays 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 <b>Phone</b> field contains a non-numeric value.	Correct the error.
AREA CODE IS REQUIRED	The <b>Phone</b> field is missing your area code.	Type your area code in the field.
CONTACT NAME IS MISSING	The <b>Part Contact Name</b> field is blank.	Type your name in the field.
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.
CUSIP NUMBER IS REQUIRED	An attempt was made to process a transaction, but no CUSIP number was supplied.	Enter a valid nine-digit CUSIP number.
EXCHANGE IS INVALID	The first 3 digits of your phone number in the <b>Phone</b> 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 <b>Phone</b> field.	Type the correct digits in the field.
EXTENSION IS INVALID	The <b>Ext</b> 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 the DTCC Client Center.
INVALID	The value in the indicated field is invalid.	Enter a valid value.

Message Text	Possible Cause	Suggested Resolution
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 AND 2	An attempt was made to select option 1 or 2, but the cutoff time has been reached for approvals and cancellations.	See When to Use for information about the cutoff times for these options.
PHONE NUMBER IS INVALID	The <b>Phone</b> field contains a non-numeric value.	Type an all-numeric 10-digit phone number in the field.
PHONE NUMBER IS REQUIRED	The <b>Phone</b> field is blank.	Type a 10-digit phone number in the field.
PLEASE ENTER D OR W	Nothing was entered in the D/W field; entry is required.	Enter D for deposits or W for withdrawals.
PREVENT PEND MUST BE BLANK FOR DEPOSITS	P was entered in the <b>Prevent Pend</b> field for a deposit transaction, which is not allowed.	Erase the field.
PREVENT PEND MUST BE P OR LEFT BLANK	An invalid character was entered in the <b>Prevent Pend</b> field.	Enter P to prevent the transaction from pending (recycling) or leave the field blank.
REQUIRED	The indicated field was left blank; entry is required.	Enter the applicable value.
SHARES IS REQUIRED	An attempt was made to process a transaction, but the number of shares was not specified.	Enter the number of shares in the <b>Quantity</b> field.

© 2025 DTCC. All rights reserved. DTCC and DTCC (Stylized) and Financial Markets. Forward. are registered and unregistered trademarks of The Depository Trust & Clearing Corporation DTCC. The services described herein are provided under the “DTCC” brand name by certain affiliates of The Depository Trust & Clearing Corporation (“DTCC”). DTCC itself does not provide such services. Each of these affiliates is a separate legal entity, subject to the laws and regulations of the particular country or countries in which such entity operates. Please see [www.dtcc.com](http://www.dtcc.com) for more information on DTCC, its affiliates and the services they offer.

**Doc Date:** March 11, 2024

**Publication Code:** AS256

**Service:** Asset Services

**Title:** PDWC

## For More Information

DTCC Client Center: [www.dtcc.com/client-center](http://www.dtcc.com/client-center)

DTCC Learning Center: [www.dtcclearning.com](http://www.dtcclearning.com)





---

## Asset Services

### PDRJ PTS FUNCTION GUIDE

DECEMBER 26, 2023

# TABLE OF CONTENTS

<b>PDRJ</b> .....	<b>3</b>
Introduction .....	3
Overview.....	3
When to Use.....	3
Associated Products.....	3
List of Procedures: .....	3
Viewing Pending FAST Deposit Rejects .....	3
List of Screens: .....	3
Pending FAST Deposit Reject Inquiry Screen .....	3
Sample Screen .....	4
Field Descriptions .....	4
Function Keys .....	4
Messages .....	4

# PDRJ

## Introduction

### Overview

The Participant Pending FAST Deposit Reject System (PDRJ) function provides you with a summary of rejected Fast Automated Securities Transfer (FAST) deposits that were processed by the FRAC (Fast Reject and Confirm) function.

Participants and Group Users can only access information pertaining to their individual signon ID.

You can view your rejected FAST deposits by summary listing or by CUSIP number once the deposits are transmitted by the agent. Postings that appear on the PDRJ screens are subsequently removed once they are processed. Rejects can then be accessed via the PARTfunction.

### When to Use

Use PDRJ to view rejected FAST deposits prior to processing.

PDRJ is available on business days from 6:00 a.m. to 8:30 p.m. eastern time.

### Associated Products

PDRJ is used in association with the following Deposits service products:

## List of Procedures:

### Viewing Pending FAST Deposit Rejects

Use the following procedure to view a summary of rejected FAST deposits prior to processing.

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

*Result-* The Pending FAST Deposit Reject Inquiry screen appears. When first displayed, the screen is empty.

2. *Optional.* To limit the display to a specific security, type a valid nine-digit CUSIP number in the **CUSIP** field at the top of the screen.

3. Press ENTER.

*Result-* The screen fills with the applicable data. You can use the following keys to scroll through the summary:

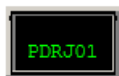
- PF11/23: To scroll forward one page
- PF10/22: To scroll backward one page
- PF4/16: To scroll directly to the first page
- PF5/17: To scroll directly to the last page.

## List of Screens:

### Pending FAST Deposit Reject Inquiry Screen

The Pending FAST Deposit Reject Inquiry screen allows you to view your rejected FAST deposits. You can view all, or you can enter a CUSIP number to view only those for a specific security.

## Sample Screen



## Field Descriptions

This field	Displays
CUSIP	An entry field that allows you to limit the display to transactions for a specific security. Enter a valid nine-digit CUSIP number. <i>Optional.</i>
CUSIP	The CUSIP number.
In Date	The date the transaction was entered.
Qty Rejected	The number of rejected shares.
Reason	The reason for rejection.

## Function Keys

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

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

## Messages

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

Message Text	Possible Cause	Suggested Resolution
DATA NOT AVAILABLE- ERROR IN STS PEND-REJ FILE	A data access error has occurred.	Try again later.
FILE NOT OPEN PLEASE TRY AGAIN LATER	A data access error has occurred.	Try again later.
INVALID CUSIP NUMBER	An invalid CUSIP number was entered.	Enter a valid nine-digit CUSIP number.
INVALID KEY	An invalid key was pressed.	Press one of the valid PF keys listed at the bottom of the screen.

Message Text	Possible Cause	Suggested Resolution
NO DATA AVAILABLE	There are no FAST deposits for the Participant signed on.	Information only; no action required.
PAGE REQUESTED BEFORE FIRST PAGE	An attempt was made to scroll backward, but the first page of data is displayed.	Information only; no action required.
PAGE REQUESTED AFTER LAST PAGE	An attempt was made to scroll forward, but the last page of data is displayed.	Information only; no action required.
VSAM DSID ERROR- CONTACT NETWORK OPERATIONS		?????

© 2025 DTCC. All rights reserved. DTCC and DTCC (Stylized) and Financial Markets. Forward. are registered and unregistered trademarks of The Depository Trust & Clearing Corporation DTCC. The services described herein are provided under the “DTCC” brand name by certain affiliates of The Depository Trust & Clearing Corporation (“DTCC”). DTCC itself does not provide such services. Each of these affiliates is a separate legal entity, subject to the laws and regulations of the particular country or countries in which such entity operates. Please see [www.dtcc.com](http://www.dtcc.com) for more information on DTCC, its affiliates and the services they offer.

**Doc Date:** December 26, 2023

**Publication Code:** AS210

**Service:** Asset Services

**Title:** PDRJ PTS Function Guide

## For More Information

DTCC Client Center: [www.dtcc.com/client-center](http://www.dtcc.com/client-center)

DTCC Learning Center: [www.dtccllearning.com](http://www.dtccllearning.com)





---

## Asset Services

**PTS FUNCTION: PELD**

JANUARY 15, 2024

# TABLE OF CONTENTS

<b>PELD:</b> .....	<b>3</b>
Introduction .....	3
Overview.....	3
When to Use.....	3
List of Procedures: .....	3
Viewing Pending Deposits.....	3
List of Screens .....	4
Participant Detail Screen.....	4
Pending Legal Deposit Inquiry Screen.....	4
Pending Legal Deposits Screen.....	5
Messages .....	5

# PELD:

## Introduction

### Overview

The Pending Legal Deposit (PELD) function allows you to inquire about deposits you submitted to DTC that are pending due to missing legal documentation (e. g. , power of attorney, death certificate, missing signatures, etc. ).

### When to Use

Use PELD to view a list of deposits pending for legal documentation.

PELD is available on business days from 6:00 a.m. to 11:00 p.m. eastern time.

## List of Procedures:

### Viewing Pending Deposits

Use the following procedure to view your deposits that are pending due to missing legal documentation.

1. Type PELD on the Enter Function screen and press ENTER.  
*Result-* The Pending Legal Deposits screen appears.
2. *Optional.* To limit the display to deposits for a specific security, type a CUSIP number in the **CUSIP** field.
3. *Optional.* To limit the display to deposits that were entered on a specific date, type a date in the **Date** field in **mm/dd/yy** format.
4. Press ENTER.  
*Result-* The Pending Legal Deposit Inquiry screen appears.
5. *Optional.* To view the details of a deposit, type V in the **Sel** field to the left of the desired item and press ENTER.  
*Result-* The Participant Detail screen appears.

## List of Screens

### Participant Detail Screen

The Participant Detail screen appears when you select an item on the Pending Legal Deposit Inquiry screen, and displays the details of the selected deposit.

#### Field Descriptions

This field	Displays
CUSIP	The CUSIP number and a brief description of the security.
Date of Deposit	The date the deposit was entered.
Qty	The number of shares.
Reference ID	Unique reference ID for the deposit (created by participant)
Comments	A brief comment regarding the reason for the pending deposit.
Date Comment Entered	The date the comment was entered.

#### Function Keys

In addition to the standard function keys described in Using the Standard Function Keys, you can press PF7/19 on the Pending Legal Deposit Inquiry screen to return to the previous screen.

### Pending Legal Deposit Inquiry Screen

The Pending Legal Deposit Inquiry screen appears when you enter a CUSIP number and date on the Pending Legal Deposits screen, and displays a list of pending deposits for the specified security and date.

#### Field Descriptions

This field	Displays
Sel	An entry field that allows you to display the details of a selected item. Enter a V.
Part	Your Participant number.
CUSIP	The CUSIP number of the security for which the deposit was entered.
Deposit Date	The date the deposit was entered.
Quantity	The number of shares being deposited.
Ref ID	Unique reference ID for the deposit (created by participant)

#### Function Keys

In addition to the standard function keys described in Using the Standard Function Keys, you can press PF7/19 on the Pending Legal Deposit Inquiry screen to return to the previous screen.

## Pending Legal Deposits Screen

The Pending Legal Deposits screen allows you to specify the security and date for the deposits you want to view.

### Field Descriptions

This field	Allows you to
CUSIP	Display only those deposits involving a specific security. Enter a valid nine-digit CUSIP number.
	<b>Note</b> -If you do not enter a CUSIP number, pending deposits for all securities are displayed.
Date	Display only those deposits from a specific date. Enter a date in <i>mm/dd/yy</i> format.
	<b>Note</b> -If you do not enter a date, pending deposits from all prior dates are displayed, including those entered on the current day.

## Messages

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

Message Text	Possible Cause
ALREADY ON FIRST PAGE	PF10/22 was pressed to scroll backward, but the first page of data has been reached.
ALREADY ON LAST PAGE	PF11/23 was pressed to scroll forward, but the last page of data has been reached.
CUTOFF INQUIRY ERROR RC =	A system problem has occurred.
ERROR DURING CALL TO ROUTINE-- > RETURN CODE =	A system problem has occurred.
GENCALL ERROR, RC =	A system problem has occurred.
INTERNAL DATABASE ERROR	A system problem has occurred.
INVALID	An invalid value was entered in the <b>CUSIP</b> or <b>Date</b> field.
INVALID KEY HIT	An invalid key was pressed.
NO DATA AVAILABLE FOR THIS REQUEST	There are no pending deposits for the specified <b>CUSIP</b> and/or <b>Date</b> .
PAST CUTOFF TIME, USE ENTER KEY TO EXIT	The cutoff time for this function has been reached.
PROBLEM WITH DATABASE: SQL =	A system problem has occurred.

Message Text	Possible Cause
PROGRAM NUM PLD150 NOT IN TABLE, NOTIFY STS PROGRAM SUPPORT	A system problem has occurred.
UNRECOVERABLE ERROR IN PROCESSING PLD100	A system problem has occurred.

© 2025 DTCC. All rights reserved. DTCC and DTCC (Stylized) and Financial Markets. Forward. are registered and unregistered trademarks of The Depository Trust & Clearing Corporation DTCC. The services described herein are provided under the “DTCC” brand name by certain affiliates of The Depository Trust & Clearing Corporation (“DTCC”). DTCC itself does not provide such services. Each of these affiliates is a separate legal entity, subject to the laws and regulations of the particular country or countries in which such entity operates. Please see [www.dtcc.com](http://www.dtcc.com) for more information on DTCC, its affiliates and the services they offer.

**Doc Date:** January 15, 2024  
**Publication Code:** AS211  
**Service:** Asset Services  
**Title:** PTS Function: PELD

## For More Information

DTCC Client Center: [www.dtcc.com/client-center](http://www.dtcc.com/client-center)

DTCC Learning Center: [www.dtcclearning.com](http://www.dtcclearning.com)

