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# AWTI

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## Introduction

### Overview

The Automated Withdrawal-by-Transfer Inquiry (AWTI) function allows participants to inquire about dropped, pending, or updated withdrawal-by-transfer (WT) transactions for a specific date or for a specific date and CUSIP number. Transfer Agents (TA) can use AWTI to view updated WT transactions and a Transfer Assignment Control Form (TACF) Summary List.

**Warning!** Participants can no longer cancel or pend specific WT transactions via AWTI. If you wish to cancel or pend a WT transaction, contact your Relationship Manager. The cutoff for deleting current-day made or pending transactions is 4:00 p.m. eastern time. TAs cannot cancel or pend transactions.

### When to Use

*Participants:* Use AWTI to view previously entered WT transactions.

*Transfer Agents:* Use AWTI to view WT transactions updated by the DTC system to reflect that a request for a WT was successful. As a TA, you will only see those successful WT requests that will be transferred to you. Also use AWTI to view TACF information.

AWTI is available 24 hours a day.

### List of Screens

AWTI consists of the following screens:

This screen	Allows you to
<a href="#">Primary Options Menu (Participant Version)</a>	Select the desired inquiry option and specify search criteria.
<a href="#">Primary Options Menu (TA Version)</a>	Select the desired inquiry option and specify search criteria.
<a href="#">Edit / Drop</a>	View a list of dropped WT transactions.
<a href="#">Pending</a>	View a list of pending WT transactions.
<a href="#">Updated</a>	View a list of updated WT transactions.
<a href="#">Registration Detail</a>	View the name and address of the certificate's owner.
<a href="#">TACF Summary List</a>	View a summary of TACFs from previously entered WT transactions.
<a href="#">TRF Assignment Cntl Form</a>	View the details of a selected TACF.

## Procedures

### Viewing WT Transactions (Participants)

*Participants:* Use the following procedure to view WT transactions. You can elect to view dropped, pending, or updated transactions or all transactions, and you can limit the display to a specific transaction date and/or CUSIP number. *Transfer Agents:* Use the next procedure, Viewing WT Transactions (Transfer Agents).

Step	Action
1	Type <b>AWTI</b> on the Enter Function screen and press ENTER. <i>Result</i> —The <a href="#">Primary Options Menu (Participant Version)</a> appears.
2	Type one of the following in the <b>Option</b> field: <ul style="list-style-type: none"> <li>• <b>1:</b> To view dropped transactions</li> <li>• <b>2:</b> To view pending transactions</li> <li>• <b>3:</b> To view updated transactions</li> <li>• <b>4:</b> To view all transactions.</li> </ul>
3	<i>Optional.</i> To limit the display to a specific transaction date, type a date in the Process Date field in <i>mmddy</i> format.
4	<i>Optional.</i> To limit the display to a specific security, type a valid nine-digit CUSIP number in the <b>CUSIP Number</b> field.
5	Press ENTER. <i>Result</i> —One of the following screens appears, depending on the value entered in the Option field: <ul style="list-style-type: none"> <li>• Edit / Drop if you entered <b>1</b></li> <li>• <a href="#">Pending</a> if you entered <b>2</b></li> <li>• <a href="#">Updated</a> if you entered <b>3</b>.</li> </ul> <i>Note</i> —If you entered <b>4</b> in the <b>Option</b> field, the <a href="#">Edit / Drop</a> screen appears. You can press PF11/23 to scroll forward to the Pending and Updated screens.
6	<i>Optional.</i> To view additional display fields on the Edit / Drop or Pending screens, press PF5/17 to scroll to the right. To scroll back to the left, press PF4/16.
7	<i>Optional.</i> To view registration information for a listed item, place your cursor to the left of the item and press PF12/24. <i>Result</i> —The <a href="#">Registration Detail</a> screen appears.

## Viewing WT Transactions (Transfer Agents)

*Transfer Agents:* Use the following procedure to view updated WT transactions. You can also limit the types of transactions you want to view by specifying the process date, CUSIP number, registered owner, or Shipment Control List (SCL) number. *Participants:* Use the previous procedure, Viewing WT Transactions (Participants).

Step	Action
1	Type <b>AWTI</b> on the Enter Function screen and press ENTER. <i>Result</i> –The <a href="#">Primary Options Menu (TA Version)</a> appears.
2	Type information in the following fields: <ul style="list-style-type: none"> <li>• <b>TA Num:</b> Type your TA number</li> <li>• <b>Part Num:</b> Type the participant number for the transactions you want to view.</li> </ul>
3	Type <b>3</b> in the <b>Option</b> field.
4	<i>Optional.</i> To limit the resulting display, type information in the following fields: <ul style="list-style-type: none"> <li>• <b>Process Date:</b> Either type a single date in <i>mmddy</i> format to view transactions for a specific date or type a date range in both portions of the field</li> <li>• <b>CUSIP Number:</b> Type a valid nine-digit CUSIP number to view transactions for a specific security</li> <li>• <b>Registration:</b> Type a name to view transactions for a specific registered owner</li> <li>• <b>SCL ID:</b> Type an SCL number.</li> </ul>
5	Press ENTER. <i>Result</i> –The <a href="#">Edit / Drop</a> screen appears. Press PF11/23 to scroll forward to the <a href="#">Pending</a> and <a href="#">Updated</a> screens.
6	<i>Optional.</i> To view additional display fields on the Edit / Drop or <a href="#">Pending</a> screens, press PF5/17 to scroll to the right. To scroll back to the left, press PF4/16.
7	<i>Optional.</i> To view registration information for a listed item, place your cursor to the left of the item and press PF12/24. <i>Result</i> –The <a href="#">Registration Detail</a> screen appears.

## Viewing Transfer Assignment Control Forms (Transfer Agents)

*Transfer Agents:* Use the following procedure to view previously entered TACFs.

Step	Action
1	Type <b>AWTI</b> on the Enter Function screen and press ENTER. <i>Result</i> –The <a href="#">Primary Options Menu (TA Version)</a> appears.
2	Type information in the following fields: <ul style="list-style-type: none"><li>• <b>TA Num:</b> Type your TA number</li><li>• <b>Part Num:</b> Type the participant number for the transactions you want to view.</li></ul>
3	Type <b>6</b> in the <b>Option</b> field.
4	<i>Optional.</i> To limit the resulting display, type information in the following fields: <ul style="list-style-type: none"><li>• <b>Process Date:</b> Either type a single date in <i>mmddyy</i> ormat to view transactions for a specific date or type a date range in both portions of the field</li><li>• <b>CUSIP Number:</b> Type a valid nine-digit CUSIP number to view transactions for a specific security</li><li>• <b>Registration:</b> Type a name to view transactions for a specific registered owner</li><li>• <b>SCL ID:</b> Type an SCL number.</li></ul>
5	Press ENTER. <i>Result</i> –The <a href="#">TACF Summary List</a> screen appears.
6	Press PF5/17. <i>Result</i> –The <a href="#">TRF Assignment Cntl Form</a> screen displays the TACF for the first listed transaction.

## Reference

### Primary Options Menu (Participant Version)

The Primary Options Menu (Participant Version) allows participants to select the type of WT transactions they want to view and to enter optional search criteria to view WTs for a specific date and/or CUSIP number.

*Note*—There is also a menu for TAs, with additional options and entry fields. See [Primary Options Menu \(TA Version\)](#).

### Sample Screen

```

00002199-01          AUTOMATED WITHDRAWAL BY TRANSFER          DATE: MM/DD/YY
Q$9#                 *** PRIMARY OPTIONS MENU ***              TIME: HH:MM:SS
                      PURGE DATE: MM/DD/YY

                      PLEASE SELECT ONE OF THE FOLLOWING OPTIONS:
                        1 - DROPPED W/T ITEMS
                        2 - PENDED W/T ITEMS
                        3 - UPDATED W/T ITEMS
                        4 - ALL W/T ITEMS

                      OPTION:
                      PROCESS DATE:  MM / DD / YY
                      CUSIP NUMBER: 123456789

ENTER PROCESS OPTION          PF8/20 END
CLEAR REFRESH SCREEN         PF9/21 SIGNOFF
  
```

### Field Descriptions

This field	Allows you to
Purge Date	View the last date on which inquiries can be made.
Option	Select one of the following options: <ul style="list-style-type: none"> <li>• <b>1:</b> To view dropped WTs</li> <li>• <b>2:</b> To view pending WTs</li> <li>• <b>3:</b> To view updated WTs</li> <li>• <b>4:</b> To view all WTs.</li> </ul>
Process Date	View WTs for a specific date. Enter a date in <i>mmddy</i> format. <i>Optional. Default:</i> The current date.
CUSIP Number	View WTs for a specific security. Enter a valid nine-digit CUSIP number. <i>Optional.</i>

## Primary Options Menu (TA Version)

The Primary Options Menu (TA Version) allows transfer agents to access a listing of updated WT items and to also enter optional search criteria. TAs also use this screen to view a TACF summary. Although options 1, 2, and 4 appear on this screen, TAs are only eligible to use options 3 and 6.

*Note*—There is also a menu for participants with different options and entry fields. See [Primary Options Menu \(Participant Version\)](#).

### Sample Screen

```

00002199-99          AUTOMATED WITHDRAWAL BY TRANSFER          DATE: MM/DD/YY
EAAB                *** PRIMARY OPTIONS MENU ***              TIME: HH:MM:SS
                    PURGE DATE: MM/DD/YY

                    PLEASE SELECT ONE OF THE FOLLOWING OPTIONS:
                    1 - DROPPED W/T ITEMS
                    2 - PENDED W/T ITEMS
                    3 - UPDATED W/T ITEMS
                    4 - ALL W/T ITEMS

                    6 - TACF SUMMARY

                    PART NUM: 2199
                    OPTION:
                    PROCESS DATE:  MM / DD / YY    TO    MM / DD / YY

                    CUSIP NUMBER:  123456789
                    SHARE QTY:      1
                    REGISTRATION:
                    SCL ID:           -           TO

ENTER PROCESS OPTION          PF8/20 END
CLEAR REFRESH SCREEN         PF9/21 SIGNOFF
  
```

### Field Descriptions

This field	Allows you to
Purge Date	View the last date on which inquiries can be made.
Part Num	Enter the participant number for the transactions you want to view.
Option	Select one of the following options: <ul style="list-style-type: none"> <li>• <b>3:</b> To view updated WTs</li> <li>• <b>6:</b> To view TACFs.</li> </ul>
Process Date	View WTs for a specific date or range of dates. Enter the dates in <i>mmddy</i> format, or enter a single date in the first portion of the field. <i>Optional. Default:</i> The current date.



CUSIP Number	View WTs for a specific security. Enter a valid nine-digit CUSIP number. <i>Optional.</i>
Share Qty	Enter the share quantity, up to 11 whole numbers and 5 decimal places. <i>Optional.</i>
Registration	View the name of the registered owner of the certificates.
SCL ID	Enter the SCL number. The SCL is printed and sent to TAs daily. The first four characters represent the Julian date and are followed by a system-assigned value.

## Edit / Drop Screen

The Edit / Drop screen appears when you select options 1 on the participant version of the Primary Options Menu, and displays a list of dropped WT transactions that match your search criteria.

The sample below shows the Edit / Drop screen as it first appears. There are additional fields, noted in the Field Descriptions, that appear only after you press PF5/17 to scroll to the right.

## Sample Screen

00002199-01	AUTOMATED WITHDRAWAL BY TRANSFER		DATE: MM/DD/YY
Q\$9#	*** EDIT / DROP ***		TIME: HH:MM:SS
			PAGE: 001
PART NUM:	2199	TEST PART	
ORIG DATE	CUSIP NUMBER	SHARE QUANTITY	UNIQUE IDENTIFICATION
-----	-----	-----	-----
MM/DD/YY	123456789	5.00000	030T0082000000 401
MM/DD/YY	234567890	5.00000	030T1082000001 359
MM/DD/YY	345678901	600.00000	030T1082000003 357
PF2/14	TRANS/ERROR CODES	PF4/16	LEFT
PF7/19	MENU	PF8/20	END
PF10/22	BWD	PF11/23	FWD
		PF5/17	RIGHT
		PF9/21	SIGNOFF
		PF12/24	REG

## Field Descriptions

This field	Displays
Part Num	Your participant number and name, or, for TAs, the participant number and name specified on the Primary Options Menu.
Orig Date	The date the original transaction was entered.
CUSIP Number	The security's CUSIP number.
Share Quantity	The number of shares.
Unique Identification	The identifying number specified when the transaction was entered via NWT1. See Field Descriptions for the NWT1 Night W/T Data Collection screen for more information.
Trans Code	The transaction code. <i>Note</i> – To view a list of transaction codes and their meanings, press PF2/14.
Input Mode	The method by which the transaction was entered: <ul style="list-style-type: none"> <li>• PTS : Participant Terminal System</li> </ul>

	<ul style="list-style-type: none"> <li>• REG: Computer-to-Computer Facility (CCF )</li> <li>• 4PH: Four-Phase system.</li> </ul> <p><i>Note</i> – This and the following three fields appear when you press PF5/17 to scroll to the right.</p>
SDFS	<p>An indicator that the security is eligible for Same-Day-Funds Settlement (SDFS).</p> <p><i>Note</i> – Since all transactions are SDFS, this will always show an S.</p>
Delete-Pend Date / Num	<p>The original transaction date followed by the system-assigned sequence number.</p>
Error Code	<p>The applicable error code.</p> <p><i>Note</i> – To view a list of error codes and their meanings, press PF2/14 and then press PF11/23.</p>

### Function Keys

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

This key	Allows you to
PF2/14	Access the Transaction Codes and Error Codes help screens.
PF4/16	Scroll the display to the left to view the original fields.
PF5/17	Scroll the display to the right to view additional fields.
PF12/24	<p>Access the <a href="#">Registration Detail</a> screen.</p> <p><i>Note</i> – This key will not function when the right portion of the screen is displayed (after pressing PF5/17).</p>

## Pending Screen

The Pending screen appears when you select option 2 on the participant version of the Primary Options Menu, or when you select option 4 and then press PF11/23 to scroll forward. This screen displays a list of pending WT transactions that match your search criteria.

The left side of the Pending screen displays the same fields as the [Edit / Drop](#) screen. The sample below shows the Pending screen after you press PF5/17 to scroll to the right.

## Sample Screen

00002199-99	AUTOMATED WITHDRAWAL BY TRANSFER		DATE: MM/DD/YY
EAAC	*** PENDING ***		TIME: HH:MM:SS
			PAGE: 0001
PART NUM: 2199	DTC TEST ACCOUNT		
CUSIP NUMBER	INPUT MODE	SDFS	SEQUENCE NUMBER
-----	----	-	-----
123456789	REG		01323
234567890	REG		01867
345678901	REG		01855
PF2/14 TRANS/ERROR CODES	PF4/16 LEFT	PF5/17 RIGHT	
PF7/19 MENU	PF8/20 END	PF9/21 SIGNOFF	
PF10/22 BWD	PF11/23 FWD	PF12/24 REG	

## Field Descriptions

This field	Displays
Part Num	Your participant number and name, or, for TAs, the participant number and name specified on the Primary Options Menu.
Orig Date	The date the original transaction was entered.
CUSIP Number	The security's CUSIP number.
Share Quantity	The number of shares.
Unique Identification	The identifying number specified when the transaction was entered via NWT1. See Field Descriptions for the NWT1 Night W/T Data Collection screen for more information.

Trans Code	The transaction code. <i>Note</i> – To view a list of transaction codes and their meanings, press PF2/14.
Input Mode	The method by which the transaction was entered: <ul style="list-style-type: none"> <li>• PTS : Participant Terminal System</li> <li>• REG: Computer-to-Computer Facility (CCF )</li> <li>• 4PH: Four-Phase system.</li> </ul> <i>Note</i> –This and the following three fields appear when you press PF5/17 to scroll to the right.
SDFS	An indicator that the security is eligible for Same-Day-Funds Settlement. <i>Note</i> –Since all transactions are SDFS, this will always show an S.
Sequence Number	The sequence number assigned to the original transaction.

### Function Keys

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

<b>This key</b>	<b>Allows you to</b>
PF2/14	Access the Transaction Codes and Error Codes help screens.
PF4/16	Scroll the display to the left to view the original fields.
PF5/17	Scroll the display to the right to view additional fields.
PF12/24	Access the <a href="#">Registration Detail</a> screen. <i>Note</i> – This key will not function when the right portion of the screen is displayed (after pressing PF5/17).

## Updated Screen

The Updated screen appears when you select option 3 on either version of the Primary Options Menu, or when participants select option 4 and press PF11/23 to scroll forward. This screen displays a list of updated WT transactions that match your search criteria.

## Sample Screen

M0002199-13 Q\$9#	AUTOMATED WITHDRAWAL BY TRANSFER *** UPDATED ***	DATE: MM/DD/YY TIME: HH:MM:SS PROCESS DATE: MM/DD/YY
PART NUM: 2199 TEST PART		PAGE: 001
CUSIP NUMBER	SHARE QUANTITY	UNIQUE IDENTIFICATION
-----	-----	-----
123456789	200.00000	000000000001 401-825
234567890	17,000.00000	000000000002
345678901	100.00000	000000000003
		TRN ML TEF CD MD CD
		21 RSA 21 RSA 21 RSA
PF2/14 TRANS/TEFRA CODES	PF3/15 STSE INQUIRY	PF5/17 TACF
PF7/19 MENU	PF8/20 END	PF9/21 SIGNOFF
PF10/22 BWD	PF11/23 FWD	PF12/22 REG

## Field Descriptions

This field	Displays
Part Num	Your participant number and name, or, for TAs, the participant number and name specified on the Primary Options Menu.
CUSIP Number	The security's CUSIP number.
Share Quantity	The number of shares.
Unique Identification	The identifying number specified when the transaction was entered via NWT1. See Field Descriptions for the Night W/T Data Collection screen for more information.
Trn Cd	The transaction code. <i>Note</i> – To view a list of transaction codes and their meanings, press PF2/14.
ML MD	An indicator of how the certificates are to be mailed: <ul style="list-style-type: none"> <li>• DMA: Direct Mail by Agent</li> <li>• DMD: Direct Mail by Depository</li> <li>• RSA: Mailed by the participant.</li> </ul>
Tef Cd	The Tefra (tax waiver) code. <i>Note</i> – To view a list of Tefra codes and their meanings,

	press PF2/14.
--	---------------

**Function Keys**

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

<b>This key</b>	<b>Allows you to</b>
PF2/14	View the Trans/Tefra Codes help screen.
PF3/15	Access the Aging Message Detail screen of the PTS function STSE. <i>Note</i> – You can only access this for prior-day items, not current day.
PF5/17	View the <a href="#">TRF Assignment Cntl Form</a> screen.
PF12/24	Access the <a href="#">Registration Detail</a> screen.

## Registration Detail Screen

The Registration Detail screen appears within the following screens when you place your cursor to the left of a transaction and press PF12/24:

- [Edit / Drop](#)
- [Pending](#)
- [Updated.](#)

This screen displays the name and address of the certificate's registered owner. Press PF6/18 to return to the previous screen.



## TACF Summary List Screen

The TACF Summary List appears when you select option 6 on the [Primary Options Menu \(TA Version\)](#), and displays a summary of Transfer Assignment Control Forms (TACF) that match your search criteria. This option is available to TAs only.

### Sample Screen

0002199-99 EAAG	AUTOMATED WITHDRAWAL BY TRANSFER *** TACF SUMMARY LIST ***		DATE: MM/DD/YY TIME: HH:MM:SS PAGE: 001
CUSIP: 123456789 TEST CUSIP<			
PROCESS DATE	PART NO.	SHARE QUANTITY	REGISTRATION SCL ID
MM/DD/YY	2199	104.00000	LEO AND MOLLY BLOOM JT 70000000000005-01
MM/DD/YY	2199	1.00000	LILY PONS 70000000000006-01
MM/DD/YY	2199	2.00000	MIKE BUONAROTTI 70000000000007-01
PF5/17 TACF PF9/21 SIGNOFF		PF7/19 MENU PF10/22 BWD	PF8/20 END PF11/23 FWD

### Field Descriptions

This field	Displays
CUSIP	The CUSIP number and brief description of the security.
Process Date	The date the transaction was entered.
Part No.	The number of the participant who entered the transaction.
Share Quantity	The number of shares.
Registration	The name of the certificate's owner.
SCL ID	The SCL number.

### Function Keys

In addition to the standard function keys described in [Using the Standard Function Keys](#), you can press PF5/17 on the TACF Summary List to display the [TRF Assignment Cntl Form](#) screen.

## TRF Assignment Cntl Form Screen

The TRF Assignment Cntl Form screen appears when you press PF5/17 on the [TACF Summary List](#) screen, and displays the details of the first listed Transfer Assignment Control Form (TACF). You can scroll through the details screens of all items listed.

### Sample Screen

```

M0002199-13          AUTOMATED WITHDRAWAL BY TRANSFER          DATE: MM/DD/YY
Q$9#                *** TRF ASSIGNMENT CNTL FORM ***          TIME: HH:MM:SS
PART NO.  REQ FOR TRF SUBMITTED BY          UNIQUE IDENTIFICATION
 2199    TESTPART          TA: 00002199    0000000001    001-001
SECURITY DESCRIPTION          SCL ID:
SCRIMSHAW<          SDFS          * 4PH *
  QUANTITY          DENOMINATIONS          TAXPAYER ID          CUSIP NO.
 200.00000          1 X          200.00000          999-99-9999          123456789
  DRS INDICATOR

TRANSACTION ID          PRESENTER          DATE
          002199          MM/DD/YY

PARTICIPANT OR CORRESPONDENT NAME
          MMDDYY - 20001          REFORMATTED
TO BE REGISTERED IN THE NAME OF          MAIL TO:
BERT CONVY
4444 CENTRAL AVE
TOWNVILLE, NY 12345-6789

PF6/18 PREVIOUS          PF7/19 MENU          PF8/20 END          PF9/21 SIGNOFF
  
```

### Field Descriptions

This field	Displays
Part No. Req for TRF Submitted By	The submitting participant's number and name.
TA	The TS number.
Unique Identification	The identifying number specified when the transaction was entered via NWT1. See Field Descriptions for the NWT1 Night W/T Data Collection screen for more information.
Security Description	A brief description of the security.
SCL ID	The SCL number.
Quantity	The number of shares.
Denominations	The certificate breakdown for shares listed in the <b>Quantity</b> field.
Taxpayer ID	The taxpayer identification number.

CUSIP No.	The security's CUSIP number.
DRS Indicator	<p>The Direct Registration System (DRS) indicator:</p> <ul style="list-style-type: none"> <li>• S: Indicates that the shareholder requests to be registered on the books of the issuer and that the agent will mail the DRS transaction advice directly to the shareholder</li> <li>• C: Indicates that the shareholder requests a physical certificate to be issued</li> <li>• Y: Indicates a third party transfer for DRS transactions only</li> <li>• X: Indicates that the previously submitted or processed WT instructions should be canceled.</li> </ul>
Transaction ID	The transaction ID number for DRS transactions, entered via NWT1. See Field Descriptions for the NWT1 Night W/T Data Collection screen for more information.
Presenter	The presenter's participant number.
Date	The original transaction date.
Participant or Correspondent Name	The participant or correspondent name for DRS transactions as entered via NWT1. See Field Descriptions for the NWT1 Night W/T Data Collection screen for more information.
Date / Seq Num	<p>The date submitted followed by the system-assigned sequence number.</p> <p><i>Note</i> – This field is not labeled. Also, this may be followed by the word 'Reformatted' if DTC reformatted the mailing name and address entered via NWT1.</p>
To Be Registered In The Name Of	The registered owner's name and address.
Mail To	The name and address of a third party to whom the certificate is to be mailed, if applicable.

## Messages

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

### **ALREADY ON FIRST PAGE**

**Probable Cause:** PF10/22 was pressed to scroll backward, but the first page of data is already displayed.

**Suggested Resolution:** Information only; no action required.

### **ALREADY ON LAST PAGE**

**Probable Cause:** PF11/23 was pressed to scroll forward, but the last page of data is already displayed.

**Suggested Resolution:** Information only; no action required.

### **DATABASE IS IN USE AT THIS TIME. PLEASE TRY AGAIN LATER**

**Probable Cause:** The database is currently occupied with other requests.

**Suggested Resolution:** Try again later.

### **DATABASE IS UNAVAILABLE AT THIS TIME. PLEASE TRY AGAIN LATER**

**Probable Cause:** The database is currently unavailable.

**Suggested Resolution:** Try again later.

### **DATE MAY NOT BE IN THE FUTURE**

**Probable Cause:** A future date was entered in the **Process Date** field.

**Suggested Resolution:** Enter a prior date or leave blank for the current date.

### **ENTER OPTION**

**Probable Cause:** The **Option** field was left blank; entry is *required*.

**Suggested Resolution:** Enter one of the option numbers listed on the menu.

### **INVALID DAY IN DATE**

**Probable Cause:** An invalid day was entered in the day portion of the **Process Date** field.

**Suggested Resolution:** Enter a valid day for the specified month.

### **INVALID KEY PRESSED**

**Probable Cause:** An invalid function key was pressed.

**Suggested Resolution:** Press one of the valid function keys listed at the bottom of the screen.

### **INVALID LINE FOR SELECTION**

**Probable Cause:** The cursor is positioned on an invalid line.

**Suggested Resolution:** Select a line that lists a transaction.

### **INVALID MONTH IN DATE**

**Probable Cause:** An invalid month was entered in the month portion of the **Process Date** field.

**Suggested Resolution:** Enter **01** through **12**.

### **INVALID OPTION**

**Probable Cause:** An invalid value was entered in the **Option** field.

**Suggested Resolution:** Enter one of the option numbers listed on the menu.

### **INVALID YEAR IN DATE**

**Probable Cause:** An invalid value was entered in the year portion of the **Process Date** field.

**Suggested Resolution:** Enter the last two digits of the year for the transactions you want to view.

### **NO FURTHER LEFT SCROLLING AVAILABLE**

**Probable Cause:** PF4/16 was pressed to scroll to the left side of the screen, but the left side is already displayed.

**Suggested Resolution:** Information only; no action required.

### **NO FURTHER RIGHT SCROLLING AVAILABLE**

**Probable Cause:** PF5/17 was pressed to scroll to the right side of the screen, but the right side is already displayed.

**Suggested Resolution:** Information only; no action required.

### **PAST CUTOFF TIME PRESS "ENTER" KEY TO EXIT**

**Probable Cause:** The cutoff time for this function has been reached.

**Suggested Resolution:** Press ENTER to return to the Enter Function screen, and see [When to Use](#) for information about the availability of this function.

### **PAST UPDATE CUTOFF TIME**

**Probable Cause:** The cutoff time for processing updates to WT transactions has been reached.

**Suggested Resolution:** See [When to Use](#) for information about cutoff times.

### **THERE ARE NO WT ITEMS THAT MEET THE CURRENT SELECTION CRITERIA**

**Probable Cause:** The database contains no WT transactions that match the specified criteria.

**Suggested Resolution:** Information only; no action required.

# AWTN

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## Introduction

### Overview

The Night Auto Withdrawal-by-Transfer (AWTN) function allows you to enter withdrawals-by-transfer (WT) during the day to be processed by the Auto WT System during the evening. Successful transactions update your position on the next business day and Transfer Assignment Control Forms (TACF) are generated for delivery to the transfer agent (TA).

AWTN also provides entry fields for IPO tracking and fractional share processing information, as well as for Direct Registration System (DRS) processing. You can also delete WT transactions that have been pending for more than one day.

### About the Registration Syntactical Analysis (RSA) System

All WT instructions submitted to DTC are processed through the Registration Syntactical Analysis (RSA) system unless you enter instructions to bypass the system when you enter the transaction. The RSA system is a network of programs that analyzes each submitted registration instruction, its primary purpose being to minimize TA rejects or reformatting changes due to errors in the registration instructions submitted by participants. The programs use a set of guidelines based on the rules of the Securities Transfer Association (STA) to determine whether the input registration meets basic requirements and, if necessary (and where possible), to reformat the instruction in line with those requirements. The system references a series of files and tables that contain a vast vocabulary of first and last names, legal registration phrases, and abbreviations. For Direct Mail advices, the system also performs address standardization and Zip+4 code addition by referencing a U.S. Postal Service-supplied street/city/state listing.

A basic rule of RSA is that no registration is rejected by the system itself. If the incoming registration on your WT request has serious errors, the system may not be able to identify a logical structure and therefore cannot reformat the instruction to meet STA rules. In these cases, the data is passed along to the TA with only basic editing. RSA will not attempt to withhold the record, but will indicate on the TACF that no reformatting was performed.

You can elect to bypass RSA processing for certain WTs. This will allow you to deliberately ensure that these registrations go unaltered.

### When to Use

Use AWTN during the day to enter WTs for processing after close of business, or to change or delete previously entered transactions.

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

## List of Screens

AWTN comprises the following screens:

### This screen

[AWT Main Menu](#)

[Add WT Transaction \(Screen 1\)](#)

[Add WT Transaction \(Screen 2\)](#)

[Limited Partnership Certification Language](#)

[Update/Inquiry/Delete Listing](#)

[Pending WT Transaction Listing](#)

### Allows you to

Select whether to add, update, delete, or inquire about a current day WT transaction or to delete a WT transaction that has been pending (recycling) for more than one day.

Begin to enter a WT transaction.

*Note*—When you update or inquire about a WT transaction via the Update/Inquiry/Delete Listing screen, this screen will appear with a title corresponding to the option you selected.

Finish adding a new WT transaction.

*Note*—When you update or inquire about a WT transaction via the Update/Inquiry/Delete Listing screen, this screen will appear with a title corresponding to the option you selected.

View important information regarding Limited Partnership transactions.

Update, delete, or inquire about a WT transaction.

Delete a WT transaction that has been pending for more than one day.



## Procedures

### Adding a WT Transaction

Use the following procedure to add a new WT transaction.

*Note*—Before using this procedure, see the [Reference](#) section to familiarize yourself with the screens that will appear when using this function and to prepare any information you may need to provide for entry fields and option selections.

Step	Action
1	Type <b>AWTN</b> on the Enter Function screen and press ENTER. <i>Result</i> —The <a href="#">AWT Main Menu</a> appears.
2	Type <b>1</b> in the <b>Option</b> field and press ENTER. <i>Result</i> — <a href="#">Add WT Transaction (Screen 1)</a> appears.
3	Refer to the Field Descriptions and type all the applicable values in the entry fields provided, and then press ENTER to validate. <i>Result</i> —If any fields contain errors, the screen will display an explanatory message. Correct the errors and press ENTER again. If no errors exist, the message 'Press PF11/23 to continue' appears. <i>Note</i> —If you specified a Limited Partnership by entering 2 in the <b>Citizen/LP</b> field, the <a href="#">Limited Partnership Certification Language</a> screen appears. Press ENTER to continue.
4	Press PF11/23 . <i>Result</i> — <a href="#">Add WT Transaction (Screen 2)</a> appears.
5	Refer to the Field Descriptions and type all the applicable values in the entry fields provided, and then press ENTER to validate. <i>Result</i> —If any fields contain errors, the screen will display an explanatory message. Correct the errors and press ENTER again. If no errors exist, the message 'Use PF1 to perform add' appears.
6	Press PF1/13 . <i>Result</i> —The message 'Record added' appears and a confirmation ticket labeled 'Original Record' prints on your designated PTS printer.

## Updating a WT Transaction

Use the following procedure to make changes to an existing current day WT transaction.

*Note*—Before using this procedure, see the [Reference](#) section to familiarize yourself with the screens that will appear when using this function and to prepare any information you may need to provide for entry fields and option selections.

Step	Action
1	Type <b>AWTN</b> on the Enter Function screen and press ENTER. <i>Result</i> —The <a href="#">AWT Main Menu</a> appears.
2	Type <b>2</b> in the <b>Option</b> field and press ENTER. <i>Result</i> —The <a href="#">Update/Inquiry/Delete Listing</a> screen displays a list of WT transactions you entered in the system today.
3	Type <b>U</b> in the <b>U/I/D</b> field next to a WT transaction you want to update and press ENTER. <i>Result</i> —Update WT Transaction (Screen 1) appears.
4	Make the desired changes, then press ENTER to validate. <i>Result</i> —If any fields contain errors, the screen will display an explanatory message. Correct the errors and press ENTER again. If no errors exist, the message 'Press PF11/23 to continue' appears.
5	Press PF11/23. <i>Result</i> —Update WT Transaction (Screen 2) appears.
6	Refer to the Field Descriptions and type all the applicable values in the entry fields provided, and then press ENTER to validate. <i>Result</i> —If any fields contain errors, the screen will display an explanatory message. Correct the errors and press ENTER again. If no errors exist, the message 'Use PF1 to perform update' appears.
7	Press PF1/13 . <i>Result</i> —The message 'Record changed' appears and a confirmation ticket labeled 'Changed Record' prints on your designated PTS printer.

## Deleting a Current Day WT Transaction

Use the following procedure to delete a current day WT transaction.

*Note*—Before using this procedure, see the [Reference](#) section to familiarize yourself with the screens that will appear when using this function and to prepare any information you may need to provide for entry fields and option selections.

Step	Action
1	Type <b>AWTN</b> on the Enter Function screen and press ENTER. <i>Result</i> —The <a href="#">AWT Main Menu</a> appears.
2	Type <b>2</b> in the <b>Option</b> field and press ENTER. <i>Result</i> —The <a href="#">Update/Inquiry/Delete Listing</a> screen appears, displaying a list of WT transactions you entered in the system today.
3	Type <b>D</b> in the <b>U/I/D</b> field next to any transactions you want to delete that are marked 'A' (for 'Added today') or 'U' (for 'Updated today') in the Status field and press ENTER. <i>Result</i> —The screen displays the message 'Press PF1/13 to delete.'
4	Press PF1/13. <i>Result</i> —The transaction status changes to 'D' (for 'Deleted') in the Status field.

## Deleting a Pending WT Transaction

Use the following procedure to delete a WT transaction that has been pending (recycling) for more than one day.

*Note*—Before using this procedure, see the [Reference](#) section to familiarize yourself with the screens that will appear when using this function and to prepare any information you may need to provide for entry fields and option selections.

Step	Action
1	Type <b>AWTN</b> on the Enter Function screen and press ENTER. <i>Result</i> —The <a href="#">AWT Main Menu</a> appears.
2	Type <b>3</b> in the <b>Option</b> field and press ENTER. <i>Result</i> —The <a href="#">Pending WT Transaction Listing</a> screen appears, displaying a list of pending WT transactions.
3	Type <b>D</b> in the <b>D/S</b> field next to each transaction you want to delete and then press ENTER. <i>Result</i> —The screen displays the message 'Press PF1/13 to delete.'
4	Press PF1/13. <i>Result</i> —The transaction disappears from the list.

# Reference

## AWT Main Menu

The AWT Main Menu allows you to select whether you want to add a new WT transaction or update, delete, or view details about an existing transaction.

```
MENUHELP
QAA7THE DEPOSITORY TRUST COMPANYDATE: MM/DD/YYYY
000002199NIGHT WITHDRAWAL BY TRANSFERTIME: HH:MM:SS
=====
1) ADD WT TRANSACTION
2) UPDATE/INQUIRY/DELETE CURRENT DAY WT TRANSACTIONS
3) DELETE PENDING WT TRANSACTION
OPTION: __
=====
=====
====
ENTER:PROCESSPF8/20:ENDPF9/21:SIGNOFF
```

## Field Descriptions

### This field

### Allows you to

Menu Bar

Return to the selection menu, access Help for this screen, or access other 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, and then press ENTER.

Option

Enter one of the following options:

- **1:** To add a new transaction
- **2:** To change, delete, or inquire about an existing transaction
- **3:** To delete a WT transaction that has been pending (recycling) for more than one day.

## Add WT Transaction (Screen 1)

Add WT Transaction (Screen 1) screen appears when you select option 1 on the [AWT Main Menu](#), allowing you to enter a new WT transaction.

This screen also appears when you update or inquire about a transaction via the [Update/Inquiry/Delete Listing](#) screen, although the screen titles differ as follows:

- Update WT Transaction if you entered **U** in the **U/I/D** field.
- Inquiry WT Transaction if you entered **I** in the **U/I/D** field.

```

MENU                                                                 HELP
QAA7          THE DEPOSITORY TRUST COMPANY          DATE: MM/DD/YYYY
000002199     NIGHT WITHDRAWAL BY TRANSFER         TIME: HH:MM:SS

=====

                                ADD WT TRANSACTION          PARTICIPANT ID: 00002199

CUSIP:      00 123456789 0          DESCRIPTION:
QUANTITY:  100 . 00

DRS INFO-  IND:  _  TRANSACTION ID: 98765432
           CUSTOMER ACCOUNT NUMBER: 34526_____
           PARTICIPANT/CORR NAME  : SAMPLE_____
IPO INFO-  AGENT ID: 2199_____ INT CUST: 9122_____ CORR ACCT: 1224_____

BROKER REFERENCE: _____
PEND OPTION:  N          DMD WITHHOLD:          Y
TAX PAYER TYPE:  _          TAX PAYER ID:      2222222222          TAX
WITHHOLD:  a
CITIZEN/LP:    0          BYPASS FINGERPRINT:  N
UIT CODE:     1          UIT CUSIP:           00 12345689 0
                                                                MORE ->

=====
=====
ENTER:PROCESS          PF8/20:END FUNCTION  PF9/21:SIGNOFF          PF7/19 :MAIN MENU
                                PF11/23:FORWARD
  
```

## Field Descriptions

### This field

Menu Bar

### Allows you to

Return to the selection menu, access Help for this screen, or access other 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, and then press ENTER.

Participant ID

View your participant number.

CUSIP

Enter the nine-digit CUSIP number of the DTC-eligible item you want to add as a WT transaction. **Required.**

CUSIP Description

View a system-generated description of the security.

Quantity

Enter the number of shares to be withdrawn. For debt issues, enter a maximum nine-digit maturity or principal dollar value to the nearest whole dollar. For other issue types, enter a maximum nine-digit share amount. **Required.**

DRS Ind

Enter one of the following for Direct Registration System (DRS) issues:

- **S**: To indicate that the shareholder requests to be registered on the books of the issuer; the agent will mail the DRS transaction advice directly to the shareholder
- **C**: To indicate that the shareholder requests that a physical certificate be issued
- **Y**: To indicate a third party transfer for DRS transactions only
- **X**: To indicate that previously submitted or processed WT instructions should be canceled.

*Note*—Be aware that by entering **X** to submit a transaction to the transfer agent/issuer to return a previously established position, you are indemnifying the transfer agent/issuer (comparable to providing a letter of indemnity for a physical certificate) to return the investor's DRS position back to your account at DTC, within 120 days of the initial transaction date.

DRS Transaction ID

Enter the DRS Transaction ID number if you entered **X** in the DRS Ind field. You can enter up to 13 alphanumeric characters, which you and the transfer agent will use to identify the transaction.

*Note*—For DRS issues only.

DRS Customer Account Number

Enter up to 40 characters of freeform text about the DRS transaction.

*Note*—For DRS issues only.

DRS Participant/Corr Name

Enter the participant or correspondent name if you entered **S** or **Y** in the DRS Ind field. You can enter up to 40 alphanumeric characters.

*Note*—For DRS issues only.

IPO Infor – Agt ID

Enter the identification number of the custodian bank or prime broker that is responsible for receiving or delivering the securities on behalf of the institution or its customer; a maximum of eight digits.

*Note*—For IPO-tracked issues only.

IPO Int Cust

Enter the Agent Internal Account (AIA) number used by the custodian bank or prime broker to identify its clients; a maximum of 12 characters.

**Required** for IPO-tracked issues.

IPO Corr Acct

Enter the account number used by a clearing broker/dealer or clearing bank to identify its correspondent; a maximum of eight digits.

**Required** for IPO-tracked issues only.

Broker Reference

Enter any additional alphanumeric information, up to 37 characters, to identify this transaction.

*Optional. Default:* If not entered, the system generates the following TACF information:

- Today's date in *yymmdd* format
- The current time in *hhmmss* format.

*Note*—This field is required whenever you enter a direct mail by the Depository (DMD) “bust” request, which allows participants to cancel WTs after they have been booked for out-transfer until 12:00 noon eastern time on the scheduled mail date. See DMDB for more information.

Pend Option

Enter **Y** if you want your transaction to recycle if for some reason it is not accepted for transfer by the end of

	the day's WT processing activity. <i>Optional. Default: N.</i>
DMD Withhold	<p>Enter <b>Y</b> to delay mailing the completed WT to the customer for a period of one to nine business days. <i>Optional. Default: N.</i></p> <p><i>Note</i>—Completed WTs placed under a DMD Withhold are eligible for the DMD bust feature. See DMDB for more information.</p>
Taxpayer Type	<p>Enter the type of taxpayer identification you will enter in the Taxpayer ID field. <i>Required.</i> Valid values are:</p> <ul style="list-style-type: none"> <li>• <b>0:</b> For Social Security number not available (leave the Taxpayer ID field blank)</li> <li>• <b>1:</b> For Social Security number</li> <li>• <b>2:</b> For Employer Identification Number</li> <li>• <b>3:</b> For Non-resident Alien (which indicates that the owner is not subject to backup withholding).</li> </ul>
Taxpayer ID	<p>Enter one of the following taxpayer IDs:</p> <ul style="list-style-type: none"> <li>• A nine-digit Social Security number in <i>nnnnnnnnnn</i> format</li> <li>• <b>NRA</b> for a Non-Resident Alien.</li> </ul> <p><b>Required.</b></p>
Tax Withhold	<p>Enter one of the following tax withholding codes:</p> <ul style="list-style-type: none"> <li>• <b>A:</b> Failure to provide Taxpayer Identification Number (TIN)</li> <li>• <b>B:</b> Failure to certify TIN</li> <li>• <b>C:</b> Notification of incorrect TIN from the Secretary of the Treasury</li> <li>• <b>D:</b> Failure to certify backup withholding status</li> <li>• <b>E:</b> Voluntary disclosure from payee of affirmative backup withholding status</li> <li>• <b>F:</b> Notification to commence backup withholding from the Secretary of the Treasury for underreporting dividends and/or interest payments.</li> </ul>
Citizen/LP	<p>Enter one of the following:</p> <ul style="list-style-type: none"> <li>• <b>0:</b> Citizen</li> <li>• <b>1:</b> Alien</li> <li>• <b>2:</b> Limited Partner.</li> </ul> <p><i>Note</i>—The system generates standing instructions that identify the customer as a limited partner, a U.S. citizen, or an alien, based on the value entered in this field. If the issue is a communications industry issue, the message 'Communications industry issue' appears when you enter the transaction. You must submit a hard-copy TACF and a Citizenship Certification.</p> <p><b>Required</b> if the issue requires a certification of citizenship or limited partnership. If the issue is a communications industry issue and this field is not filled, the message 'Citizenship req for selected comm issue' appears.</p> <p>The <a href="#">Limited Partnership Certification Language</a> screen appears if <b>2</b> is entered.</p>
Fingerprint	<p>Enter <b>Y</b> to bypass checking for duplicate WT transactions.</p> <p><i>Optional. Default: N.</i></p>
UIT Code	<p>In the CD portion, enter one of the following Unit of Investment Trust (UIT) codes:</p> <ul style="list-style-type: none"> <li>• <b>0 or a space:</b> Not applicable</li> </ul>



- 1: All cash
- 2: Principal and interest
- 4: Principal only
- 5: Interest only.

*Optional.*

UIT CUSIP

Enter the CUSIP number of the reinvestment fund you want to select, if there is more than one. *Required if you entered a UIT code.*

## Add WT Transaction (Screen 2)

Add WT Transaction (Screen 2) appears after you enter all necessary information on [Add WT Transaction \(Screen 1\)](#) and press PF11/23.

*Note*—As described earlier, this screen may also appear as Update WT Transaction or as Inquiry WT Transaction depending on the option you selected on the [Update/Inquiry/Delete Listing](#) screen.

```

MENU *****
HELP
*****
TX10 THE DEPOSITORY TRUST COMPANY DATE: MM/DD/YYYY
00002199 NIGHT WITHDRAWAL BY TRANSFER TIME: HH:MM:SS
=====
ADD WT TRANSACTION PARTICIPANT ID: 00002199
DIRECT MAIL CODE: 0_ BYPASS REGISTRATION REFORMAT: N
REGISTRATION/ASSIGNMENT (NAME/ADDRESS)
1) _LEOPOLD & MOLLY BLOOM JT _____ 2) ___7 ECCLES ST_____
3) _DUBLIN, OH_12345_____ 4) _____
4) _____ 6) _____
THIRD PARTY MAILING (NAME/ADDRESS)
1) _____ 2) _____
3) _____ 4) _____
5) _____ 6) _____
DENOMINATION BREAKDOWN (TOTAL QUANTITY: ___100 . 00___)
CERT DENOMINATION CERT DENOMINATION CERT DENOMINATION
_1_ 50 . 00_ . . . . .
_1_ 50 . 00_ . . . . .
. . . . .
<- MORE
=====
ENTER :PROCESS PF1/13:ADD PF6/18:PREVIOUS PF7/19 :MAIN
MENU
PF8/20:END FUNCTION PF9/21:SIGNOFF PF11/23:FORWARD

```

## Field Descriptions

### This field

### Allows you to

Participant ID

View your participant ID.

Direct Mail Code

Enter one of the following to indicate the direct mail facility the TA should use:

- **1:** For the address entered in the **Registration Assignment (Name/Address)** field
- **2:** For the address entered in the **Third Party Mailing Address** field
- **0** or a space: No Direct Mail service requested.

Bypass Registration Reformat

Enter **Y** to bypass the reformatting process.  
*Optional. Default: N.*

Registration/Assignment (Name/Address)

Enter the registered owner's name and address; a minimum of two lines and a maximum of six, 35 characters per line.

*Note*—The assignment entered must be correct. If it is not, the transaction may be rejected by the TA.

Third Party Address

Enter the name and address of a third party, if applicable; a minimum of two lines and a maximum of six, 30 characters per line.  
*Optional.*

Denomination Breakdown (Total Quantity)	View the number of shares entered in the <b>Quantity</b> field of <a href="#">Add WT Transaction (Screen 1)</a> .
Cert	Enter the number of certificates that comprise a particular amount of shares involved in the transaction. <i>Optional.</i> <i>Note</i> —The default denomination breakdown is '1.'
Quantity	Enter the share amount represented by those certificates. <i>Optional.</i> <i>Note</i> —The number of shares entered in the <b>Cert</b> and <b>Denomination</b> fields must reflect the number of shares displayed in the <b>Total Quantity</b> field. You can enter up to ten sets of numbers in these fields.
Quantity	Enter the share amount of one certificate. <i>Optional.</i>

## Limited Partnership Certification Language Screen

The Limited Partnership Certification Language screen appears if you enter **2** in the **Citizenship/LP** field on [Add WT Transaction \(Screen 1\)](#) to indicate a Limited Partnership. This screen contains a notice regarding such transactions.

This screen is for information only and no action is required. Press ENTER to proceed.

MENU		HELP
QAA7	THE DEPOSITORY TRUST COMPANY	DATE: MM/DD/YYYY
000002199	NIGHT WITHDRAWAL BY TRANSFER	TIME: HH:MM:SS
=====		
LIMITED PARTNERSHIP CERTIFICATION LANGUAGE		
-----		
THE ASSIGNEE REQUESTS ADMISSION AS A LIMITED		
PARTNER OR SUBSTITUTED LIMITED PARTNER (AS		
DEFINED IN THE PARTNERSHIP AGREEMENT) AND		
AGREES TO COMPLY AND BE BOUND BY THE TERMS OF		
THE PARTNERSHIP		

## Update/Inquiry/Delete Listing Screen

The Update/Inquiry/Delete Listing screen appears when you select option 2 on the [AWT Main Menu](#) . The screen displays a list of current day WT transactions from which you can select items to update, delete, or research in detail.

```

MENU                                                                 HELP
QAA7          THE DEPOSITORY TRUST COMPANY          DATE: MM/DD/YYYY
000002199    NIGHT WITHDRAWAL BY TRANSFER          TIME: HH:MM:SS

=====
====
PARTICIPANT ID: 00002199          STARTING CONTROL NUM:
1243634_

-----
UPDATE / INQUIRY / DELETE REGISTRY

U/I/D  CONTROL NUM  CUSIP  CUSIP DESCRIPTION  QUANTITY STATUS
  I      000000001  00123456789  COWANCAST+        0004321.00000  A

                                                                 NO MORE

=====
====
ENTER :PROCESS          PF1/13:DELETE          PF7/19 :MAIN MENU
PF8/20:END FUNCTION    PF9/21:SIGNOFF        PF11/23:FORWARD
  
```

## Field Descriptions

### This field

Menu Bar

### Allows you to

Return to the selection menu, access Help for this screen, or access other 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, and then press ENTER.

Participant ID

View your participant ID.

Starting Control Num

Enter a specific control number to minimize scrolling between screens. *Optional.*

U/I/D

Choose from the following options:

- **U**: To update a transaction
- **I**: To view transaction details
- **D**: To delete a transaction.

Control Number

View the sequence in which you entered your transactions.

CUSIP

View an item's CUSIP number.

CUSIP Description

View a description of the security.

Quantity

View the number of shares represented by a security.

Status

View the status of the current day's transactions. The field will display:

- **A**: For 'Added today'
- **U**: For 'Updated today'
- **D**: For 'Deleted.'



## Pending WT Transaction Listing Screen

The Pending WT Transaction Listing screen appears if you enter **3** in the **Option** field on the [AWT Main Menu](#). The screen displays a list of pending WT transactions entered up to 30 days earlier, and allows you to either delete transactions or view transaction details via the PTS function AWTI.

```

MENU                                                    HELP
QAA7                TTHE DEPOSITORY TRUST COMPANY      DATE: MM/DD/YYYY
000002199          NIGHT WITHDRAWAL BY TRANSFER       TIME: HH:MM:SS

=====
PARTICIPANT ID: 00002199      STARTING DATE/SEQ NUM: MM / DD / YYYY 12345
-----
                        PENDING WT TRANSACTION LISTING

DEL(D)  ORIG DATE      SEQ NUM      CUSIP          QUANTITY

   D      MM/DD/YYYY    12345        234567890      100.00

                                                    NO
MORE
=====
=====
ENTER :PROCESS          PF1/13:DELETE          PF7/19 :MAIN MENU
PF8/20:END FUNCTION    PF9/21:SIGNOFF        PF11/23:FORWARD
  
```

### Field Descriptions

#### This field

Menu Bar

#### Allows you to

Return to the selection menu, access Help for this screen, or access other 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, and then press ENTER.

Participant ID

View your participant ID.

Starting Date/Seq. Num

Enter a specific date or sequence number to minimize scrolling between screens. *Optional.*

D/S

Enter **D** to delete the transaction or **S** to view transaction details via AWTI.

Orig Date

View the date you entered the WT transaction.

Seq Num

View the identifying sequence number.

CUSIP

View an item's CUSIP number.

Quantity

View the number of shares represented by a security.

## Messages

You may encounter the following messages when using AWTN. The messages are in alphabetical order, along explanations and suggested resolutions for each.

### **ACTION IS INVALID**

**Probable Cause:** This PTS function does not support the action entered.

**Suggested Resolution:** Enter a valid action in the **U/I/D** field.

### **CERT AMOUNT IS INVALID**

**Probable Cause:** An invalid number of shares was entered in one or more of the denomination breakdown **Quantity** fields.

**Suggested Resolution:** Enter a valid number of shares in each field, as necessary.

### **CERT AMOUNT MUST BE NUMERIC**

**Probable Cause:** A non-numeric value was entered in one or more of the denomination breakdown **Quantity** fields.

**Suggested Resolution:** Enter a numeric certificate amount.

### **CITIZEN INDICATOR IS INVALID**

**Probable Cause:** The value entered in the **Citizen/LP** field is invalid.

**Suggested Resolution:** Enter a valid citizen indicator in the field.

### **COMMUNICATION ISSUE IS INELIGIBLE**

**Probable Cause:** The Communication/Maritime issue you wish to enter cannot be processed via this PTS function.

**Suggested Resolution:** Enter a valid nine-digit CUSIP number.

### **COMMUNICATION/MARITIME ISSUES NOT ELIGIBLE FOR RUSH TRANSFER**

**Probable Cause:** The CUSIP number entered is for a Communication/Maritime issue and cannot be processed as a rush transfer.

**Suggested Resolution:** Enter a valid nine-digit CUSIP number.

### **CUSIP IS CHILLED**

**Probable Cause:** The CUSIP number entered is in chill status and a withdrawal-by-transfer instruction cannot be executed at this time.

**Suggested Resolution:** Enter a valid CUSIP number.



### **CUSIP IS INELIGIBLE**

**Probable Cause:** The CUSIP number entered is not DTC-eligible.

**Suggested Resolution:** Enter a DTC-eligible CUSIP number.

### **CUSIP IS INVALID**

**Probable Cause:** The CUSIP number entered is invalid.

**Suggested Resolution:** Enter a valid nine-digit CUSIP number.

### **DENOMINATION BREAKDOWN NOT EQUAL TO TOTAL QUANTITY**

**Probable Cause:** The number of shares listed in the denomination breakdown fields does not equal the sum in the **Total Quantity** field.

**Suggested Resolution:** Enter the correct denomination breakdown.

### **DIRECT MAIL INDICATOR IS INVALID**

**Probable Cause:** The **Direct Mail Code** field contains an invalid indicator code.

**Suggested Resolution:** Enter a valid Direct Mail indicator code.

### **DMD WITHHOLD INDICATOR IS INVALID**

**Probable Cause:** The **DMD Withhold** field contains a value other than 'Y' or 'N.'

**Suggested Resolution:** Enter a valid value.

### **DRS INDICATOR IS INVALID**

**Probable Cause:** An invalid DRS indicator was entered in the **DRS Info – Ind** field.

**Suggested Resolution:** Enter a valid DRS indicator.

### **DRS ISSUE INVALID FOR RUSH TRANSFER**

**Probable Cause:** The CUSIP number entered is for DRS and DRS issues are not eligible for rush transfer processing.

**Suggested Resolution:** Enter an eligible nine-digit CUSIP number.

### **DRS RECORD NOT FOUND ON DATABASE**

**Probable Cause:** No previous-day DRS transaction corresponds to the DRS transaction you want to delete (DRS indicator 'X').

**Suggested Resolution:** Enter valid data in the **DRS Info** fields.

**FINGERPRINT BYPASS OPTION IS INVALID**

**Probable Cause:** The **Fingerprint** field contains a value other than 'Y' or 'N.'

**Suggested Resolution:** Enter **Y** (to bypass fingerprinting), or either **N** or a space (to not bypass fingerprinting) in the field.

**FRACTION/CONTRA CUSIP IS INELIGIBLE**

**Probable Cause:** The fraction/contra-CUSIP number is not DTC-eligible.

**Suggested Resolution:** Enter a valid nine-digit CUSIP number.

**FRACTION INVALID**

**Probable Cause:** The share amount for this CUSIP number cannot be entered in fractional increments.

**Suggested Resolution:** Enter a valid quantity of nonfractional shares.

**FRACTIONS INVALID FOR DRS ISSUE**

**Probable Cause:** The item being entered is a DRS issue, which cannot be entered in fractional increments.

**Suggested Resolution:** Enter a valid quantity of nonfractional shares.

**FULL FAST ISSUES INELIGIBLE**

**Probable Cause:** The CUSIP number entered is for a full FAST issue, which cannot be processed as a rush transfer.

**Suggested Resolution:** Enter a valid nine-digit CUSIP number.

**INVALID KEY**

**Probable Cause:** The key pressed is invalid on the screen you are modifying.

**Suggested Resolution:** Press a valid key.

**IPO INT ACCOUNT NUMBER IS INVALID**

**Probable Cause:** The Agent Internal Account (AIA) number entered in the **IPO Info – Int Cust** field is invalid.

**Suggested Resolution:** Enter a valid AIA number.

**IPO CORRESPONDENT ACCOUNT NUMBER MUST BE NUMERIC**

**Probable Cause:** The **IPO Info – Corr Acct** field contains a non-numeric value.

**Suggested Resolution:** Enter a valid numeric IPO correspondent account number.

**IPO TRANSFER AGENT IS INVALID**

**Probable Cause:** An invalid transfer agent ID was entered in the **IPO Info – Agent ID** field.

**Suggested Resolution:** Enter a valid transfer agent ID number.

### **IPO TRANSFER AGENT MUST BE NUMERIC**

**Probable Cause:** The **IPO Info – Agent ID** field contains a non-numeric character.

**Suggested Resolution:** Enter a valid IPO transfer agent number.

### **MUNI BOND TYPE IS INELIGIBLE**

**Probable Cause:** The municipal bond entered is not DTC-eligible.

**Suggested Resolution:** Enter a valid nine-digit CUSIP number.

### **MUNI BONDS NOT ELIGIBLE FOR RUSH TRANSFER**

**Probable Cause:** The CUSIP number entered is for a municipal bond, which cannot be processed as a rush transfer.

**Suggested Resolution:** Enter a valid nine-digit CUSIP number.

### **NO RECORDS FOUND MATCHING YOUR REQUEST**

**Probable Cause:** No records exist that match the item you are researching.

**Suggested Resolution:** Enter another request.

### **OPTION INVALID**

**Probable Cause:** An incorrect option number was entered.

**Suggested Resolution:** Select a valid option number from the onscreen menu.

### **PARTICIPANT IS INELIGIBLE**

**Probable Cause:** *For group users only.* You do not have access to the selected participant's information.

**Suggested Resolution:** Obtain eligibility by contacting your Relationship Manager.

### **PARTICIPANT IS INVALID**

**Probable Cause:** The participant entered is not DTC-eligible.

**Suggested Resolution:** Enter a valid participant number

### **PARTICIPANT IS NOT DMD HOLD SELECTIVE PARTICIPANT**

**Probable Cause:** Data was entered in the DMD Withhold field and your firm is not eligible for this service.

**Suggested Resolution:** Delete the data.

### **PARTICIPANT MUST BE NUMERIC**

**Probable Cause:** The participant number entered includes a non-numeric value.

**Suggested Resolution:** Enter a valid numeric participant number.

### **PEND OPTION IS INVALID**

**Probable Cause:** A value other than 'Y' or 'N' appears in the **Pend Option** field.

**Suggested Resolution:** Enter **Y** (to pend a WT transaction), or either **N** or a space (to not pend a WT transaction) in the field.

**PLEASE CHOOSE ONLY ONE ACTION AT A TIME**

**Probable Cause:** More than one action was selected in the **U/I/D** field.

**Suggested Resolution:** Select only one action.

**PLEASE ENTER ACTION**

**Probable Cause:** The **U/I/D** field is blank

**Suggested Resolution:** Enter a valid action.

**PLEASE ENTER A MINIMUM OF TWO REGISTRATION LINES**

**Probable Cause:** The **Registration/Assignment (Name/Address)** field is incomplete.

**Suggested Resolution:** Enter the registration name and address on no less than two lines and no more than six lines.

**PLEASE ENTER A MINIMUM OF TWO T.P.A. LINES**

**Probable Cause:** The **Third Party Mailing (Name/Address)** field is incomplete.

**Suggested Resolution:** Enter the third party name and address on no less than two lines and no more than six lines.

**PLEASE ENTER CITIZEN INDICATOR**

**Probable Cause:** The item being entered is a Communication/Maritime issue and the **Citizen/LP** field is blank.

**Suggested Resolution:** Enter a valid citizen indicator code in the **Citizen/LP** field.

**PLEASE ENTER CERT AMOUNT**

**Probable Cause:** One or more of the denomination breakdown **Quantity** fields is blank.

**Suggested Resolution:** Enter the correct number of shares in the **Quantity** field corresponding to a certificate listed in the **Cert** field.

**PLEASE ENTER CUSIP**

**Probable Cause:** A CUSIP number was not entered.

**Suggested Resolution:** Enter a valid nine-digit CUSIP number.

**PLEASE ENTER DRS ACCOUNT NUMBER**

**Probable Cause:** The **DRS Info – Customer Account Number** field is blank.

**Suggested Resolution:** Enter a DRS customer account number in the field.

**PLEASE ENTER DRS INDICATOR**

**Probable Cause:** The **DRS Info – Ind** field is blank.

**Suggested Resolution:** Enter a valid DRS indicator.

**PLEASE ENTER DRS PARTICIPANT/CORR NAME**

**Probable Cause:** The **DRS Info – Participant/Corr Name** field is blank.

**Suggested Resolution:** Enter a participant/correspondent name.

**PLEASE ENTER IPO TRANSFER AGENT**

**Probable Cause:** The **IPO Info – Agent ID** field is blank.

**Suggested Resolution:** Enter a valid IPO transfer agent number.

**PLEASE ENTER PARTICIPANT**

**Probable Cause:** No participant number was entered.

**Suggested Resolution:** Enter a valid participant number.

**PLEASE ENTER QUANTITY**

**Probable Cause:** The number of shares was not entered.

**Suggested Resolution:** Enter the number of shares in the **Quantity** field.

**PLEASE ENTER REGISTRATION**

**Probable Cause:** The **Registration/Assignment (Name/Address)** field is blank.

**Suggested Resolution:** Enter the registration name and address on no less than two lines and no more than six lines.

**PLEASE ENTER TAXPAYER ID**

**Probable Cause:** The **Taxpayer ID** field is blank.

**Suggested Resolution:** Enter a valid taxpayer type code in the field.

**PLEASE ENTER TAXPAYER TYPE**

**Probable Cause:** The **Taxpayer Type** field is blank.

**Suggested Resolution:** Enter a valid taxpayer type code in the field.

### **PLEASE ENTER UIT CUSIP**

**Probable Cause:** You entered a code in the **UIT Code** field but left the **UIT CUSIP** field blank.

**Suggested Resolution:** Enter a valid nine-digit UIT CUSIP number in the **UIT CUSIP** field.

### **PRESS PF1/PF13 TO DELETE**

**Probable Cause:** Data has been entered in all the necessary fields on the delete screen you are working on and you pressed a key other than PF1/13 to update the transaction.

**Suggested Resolution:** Press PF1/13 to update.

### **PRESS PF1/PF13 TO UPDATE**

**Probable Cause:** Data has been entered in all the necessary fields on the entry screen you are working on and you pressed a key other than PF1/13 .

**Suggested Resolution:** Press PF1/13 to update.

### **PRESS ENTER KEY TO PROCESS REQUEST**

**Probable Cause:** A key other than ENTER was used to process a request.

**Suggested Resolution:** Press ENTER.

### **QUANTITY INCREMENT IS INVALID**

**Probable Cause:** The CUSIP number issued is a Denomination Restricted issue, and the quantity increment entered is incorrect.

**Suggested Resolution:** Enter the correct increment quantity. If you do not know the figure, contact your Relationship Manager.

### **QUANTITY IS BELOW MINIMUM REQUIREMENT**

**Probable Cause:** The CUSIP number represents a Denomination Restricted issue and the number of shares entered is less than the required minimum.

**Suggested Resolution:** Enter the correct minimum of shares required. If you do not know the figure, contact your Relationship Manager.

### **QUANTITY IS INVALID**

**Probable Cause:** The number of shares entered in the **Quantity** field is zero.

**Suggested Resolution:** Enter the correct number of shares.

### **QUANTITY MUST BE NUMERIC**

**Probable Cause:** One or more of the values entered in the **Quantity** field is non-numeric.

**Suggested Resolution:** Enter all numeric values.

#### **RECORD DATE ISSUE IS INELIGIBLE**

**Probable Cause:** The CUSIP number entered is for an issue in record date status and cannot be processed as a rush transfer.

**Suggested Resolution:** Perform the transaction on the next business day.

#### **REQUIRED ONLY FOR A DRS CUSIP**

**Probable Cause:** Data was entered in one of the **DRS Info** fields for a CUSIP number that is not a DRS issue.

**Suggested Resolution:** Delete data from the **DRS Info** fields.

#### **REQUIRED ONLY FOR A DRS INDICATOR 'S', 'Y' OR 'C'**

**Probable Cause:** Data was entered in one of the **DRS Info** fields for a CUSIP number that is not a DRS issue.

**Suggested Resolution:** Delete data from the **DRS Info** fields.

#### **REQUIRED ONLY FOR DRS INDICATOR 'X'**

**Probable Cause:** Data exists in the **DRS Info – Agent ID** field although the DRS indicator is 'C,' 'S,' or 'Y.' A DRS transfer agent ID number must only be entered if the indicator is 'X' (for delete).

**Suggested Resolution:** Delete the data in the **DRS Info – Agent ID** field.

#### **REQUIRED (CUSIP) ONLY WITH UIT CODE**

**Probable Cause:** You entered a code in the **UIT CUSIP** field but left the **UIT Code** field blank.

**Suggested Resolution:** Delete the data in the **UIT CUSIP** field.

#### **REQUIRED ONLY FOR COMMUNICATION/MARITIME ISSUE**

**Probable Cause:** The item being entered is a Communication/Maritime issue and the **Citizen/LP** field has unnecessary data entered in it.

**Suggested Resolution:** Delete data from the **Citizen/LP** field.

#### **REQUIRED ONLY FOR IPO ISSUE**

**Probable Cause:** The item being entered is not an IPO issue, but data was entered in the **IPO Info – Agent ID** field.

**Suggested Resolution:** Delete the data.

#### **RSA BYPASS OPTION IS INVALID**

**Probable Cause:** The Bypass Registration Format field contains a value other than 'Y' or 'N.'

**Suggested Resolution:** Enter **Y** (for yes) or **N** (for no) in the field.

#### **STARTING CONTROL NUM MUST BE NUMERIC**

**Probable Cause:** The control number entered in the **Starting Control Num** field contains non-numeric values.

**Suggested Resolution:** Enter a valid numeric control number.

#### **STARTING DATE IS INVALID**

**Probable Cause:** The date entered in the **Starting Date** field is invalid.

**Suggested Resolution:** Enter a valid starting date.

#### **TAXPAYER ID IS INVALID FOR TAXPAYER TYPE**

**Probable Cause:** The taxpayer information entered in the **Taxpayer ID** field is not consistent with the designated taxpayer type.

**Suggested Resolution:** Enter a valid taxpayer ID in the field.

#### **TAXPAYER TYPE IS INVALID**

**Probable Cause:** An invalid taxpayer type code was entered in the **Taxpayer Type** field.

**Suggested Resolution:** Enter a valid taxpayer type code.

#### **TAX WITHHOLDING CODE IS INVALID**

**Probable Cause:** An invalid value was entered in the **Tax Withhold** field.

**Suggested Resolution:** Enter a valid taxpayer withholding code in the field.

#### **THERE ARE CURRENTLY NO RECORDS TO DISPLAY**

**Probable Cause:** No records exist that match the item you are researching.

**Suggested Resolution:** Enter another request.

#### **THE RECORD CANNOT BE UPDATED**

**Probable Cause:** The record you want to update has already been deleted.

**Suggested Resolution:** Move on to your next transaction.

#### **THE RECORD WAS ALREADY DELETED**

**Probable Cause:** The record you want to delete has already been deleted.

**Suggested Resolution:** Move on to your next transaction.

#### **THERE WAS AN ERROR PRINTING THE PTS TICKET. PLEASE, TRY AGAIN IN A FEW MINUTES.**

**Probable Cause:** An error occurred during the PTS ticket printing process.

**Suggested Resolution:** Wait a few minutes before reentering your print command.



**T.P.A. REQUIRED ONLY FOR A DIRECT MAIL CODE OF '2'**

**Probable Cause:** The **Third Party Mailing (Name/Address)** field contains data although your Direct Mail indicator is '0' (no Direct Mail) or '1' (use registration address).

**Suggested Resolution:** Delete data from the field or check the correctness of the entry in the **Direct Mail Code** field.

**UIT CODE IS INVALID**

**Probable Cause:** The value entered in the **UIT Code** field is not valid.

**Suggested Resolution:** Enter a valid UIT code in the field.

**UNIT CUSIP IS INELIGIBLE**

**Probable Cause:** The unit CUSIP number entered is not DTC-eligible.

**Suggested Resolution:** Enter a valid nine-digit CUSIP number.

**YOUR TRANSACTION HAS BEEN PLACED IN A QUEUE TO BE PROCESSED LATER**

**Probable Cause:** The system recorded your request to delete an item, which will be processed later.

**Suggested Resolution:** Check later to see if your request was processed.

# AWTR

## Introduction

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## Introduction

### Overview

The Automated Rush Withdrawal Transfer (AWTR) function allows you to enter Rush Withdrawal Transfer transactions (RWT) during the day. You can also change, delete, or inquire about transactions you entered that business day. Successful transactions will update your position at the close of the business day.

DTC generates Transfer Assignment Control Forms (TACF) for delivery to transfer agents, as well as RWT reports of accepted and rejected transactions and confirmation tickets for each successful add, change, or deletion.

AWTR also provides entry fields for IPO tracking and fractional share processing information.

### When to Use

Use AWTR to enter, update, or delete RWT transactions.

AWTR is available on business days from 6:00 a.m. to 4:00 p.m. eastern time.

### List of Screens

AWTR comprises the following screens:

#### This screen

[AWT Main Menu](#)

[Add WT Transaction \(Screen 1\)](#)

[Add WT Transaction \(Screen 2\)](#)

[Update/Inquiry/Delete Listing](#)

#### Allows you to

Specify whether you want to add, update, delete, or inquire about an RWT transaction.

Begin to add a new RWT transaction.

*Note*—When you update or inquire about an RWT transaction via the Update/Inquiry/Delete Listing screen, this screen will appear with a title corresponding to the option you selected.

Finish adding a new RWT transaction.

*Note*—When you update or inquire about an RWT transaction via the Update/Inquiry/Delete Listing screen, this screen will appear with a title corresponding to the option you selected.

Update, delete, or inquire about an RWT transaction. Transactions entered and then deleted later in the day will not appear on this screen.

## Procedures

### Adding a Rush Withdrawal Transfer

Use the following procedure to add a new RWT transaction.

*Note*—Before using this procedure, see the [Reference](#) section to familiarize yourself with the screens that will appear when using this function, and to prepare any information you may need to provide for entry fields and option selections.

Step	Action
1	Type <b>AWTR</b> on the Enter Function screen and press ENTER. <i>Result</i> —The <a href="#">AWT Main Menu</a> appears.
2	Type <b>1</b> in the <b>Option</b> field and press ENTER. <i>Result</i> — <a href="#">Add WT Transaction (Screen 1)</a> appears.
3	Refer to the Field Descriptions and type all the applicable values in the entry fields provided, and then press ENTER to validate. <i>Result</i> —If any fields contain errors, the screen will display an explanatory message. Correct the errors and press ENTER again. If no errors exist, the 'Press PF11/23 to continue' appears.
4	Press PF11/23. <i>Result</i> — <a href="#">Add WT Transaction (Screen 2)</a> appears.
5	Refer to the Field Descriptions and type all the applicable values in the entry fields provided, and then press ENTER to validate. <i>Result</i> —If any fields contain errors, the screen will display an explanatory message. Correct the errors and press ENTER again. If no errors exist, the message 'Use PF1 to perform add' appears.
6	Press PF1/13. <i>Result</i> —The message 'Record added' appears and a confirmation ticket labeled 'Original Record' prints on your designated PTS printer.

## Updating a Rush Withdrawal Transfer

Use the following procedure to make changes to an existing RWT transaction.

*Note*—Before using this procedure, see the [Reference](#) section to familiarize yourself with the screens that will appear when using this function, and to prepare any information you may need to provide for entry fields and option selections.

Step	Action
1	Type <b>AWTR</b> on the Enter Function screen and press ENTER. <i>Result</i> —The <a href="#">AWT Main Menu</a> appears.
2	Type <b>2</b> in the <b>Option</b> field and press ENTER. <i>Result</i> —The <a href="#">Update/Inquiry/Delete Listing</a> screen displays a list of RWT transactions you entered in the system today.
3	Type <b>U</b> in the <b>U/I/D</b> field next to a WT transaction you want to update and press ENTER. <i>Result</i> —Update WT Transaction (Screen 1) appears.
4	Make the desired changes, then press ENTER to validate. <i>Result</i> —If any fields contain errors, the screen will display an explanatory message. Correct the errors and press ENTER again. If no errors exist, the message 'Press PF11/23 to continue' appears.
5	Press PF11/23. <i>Result</i> —Update WT Transaction (Screen 2) appears.
6	Refer to the Field Descriptions and type all the applicable values in the entry fields provided, and then press ENTER to validate. <i>Result</i> —If any fields contain errors, the screen will display an explanatory message. Correct the errors and press ENTER again. If no errors exist, the message 'Use PF1 to perform update' appears.
7	Press PF1/13. <i>Result</i> —The message 'Record changed' appears and a confirmation ticket labeled 'Changed Record' prints on your designated PTS printer.

## Deleting a Rush Withdrawal Transfer

Use the following procedure to delete an RWT transaction.

*Note*—Before using this procedure, see the [Reference](#) section to familiarize yourself with the screens that will appear when using this function, and to prepare any information you may need to provide for entry fields and option selections.

Step	Action
1	Type <b>AWTR</b> on the Enter Function screen and press ENTER. <i>Result</i> —The <a href="#">AWT Main Menu</a> appears.
2	Type <b>2</b> in the <b>Option</b> field and press ENTER. <i>Result</i> —The <a href="#">Update/Inquiry/Delete Listing</a> screen appears, displaying a list of WT transactions you entered in the system today.
3	Type <b>D</b> in the <b>U/I/D</b> field next to the transactions you want to delete and press ENTER. <i>Result</i> —The screen displays the message 'Press PF1/13 to delete.'
4	Press PF1/13. <i>Result</i> —The transaction no longer appears on the list of the day's transactions.

## Inquiring About a Rush Withdrawal Transfer

Use the following procedure to research RWT transaction details.

*Note*—Before using this procedure, see the [Reference](#) section to familiarize yourself with the screens that will appear when using this function, and to prepare any information you may need to provide for entry fields and option selections.

Step	Action
1	Type <b>AWTR</b> on the Enter Function screen and press ENTER. <i>Result</i> —The <a href="#">AWT Main Menu</a> appears.
2	Type <b>2</b> in the <b>Option</b> field and press ENTER. <i>Result</i> —The <a href="#">Update/Inquiry/Delete Listing</a> screen appears, displaying a list of WT transactions you entered in the system today.
3	Type <b>I</b> in the <b>U/I/D</b> field next to the transaction you want to view and press ENTER. <i>Result</i> —The Inquiry WT Transaction (Screen 1) screen appears with transaction details.
4	Press PF11/23 to scroll to the next screen. <i>Result</i> —The Inquiry WT Transaction (Screen 2) appears.

# Reference

## AWT Main Menu

The AWT Main Menu allows you to select whether you want to add a new RWT transaction, or to update, delete, or view details about an existing transaction.

```
MENUHELP
QABJTHE DEPOSITORY TRUST COMPANYDATE: MM/DD/YYYY
00002199-00RUSH WITHDRAWAL BY TRANSFERTIME: HH:MM:SS
=====
1) ADD RUSH WT TRANSACTION
2) UPDATE/INQUIRY/DELETE CURRENT DAY RUSH WT TRANSACTIONS

OPTION: __

=====
ENTER:PROCESSPF8/20:ENDPF9/21:SIGNOFF
```

## Field Descriptions

### This field

### Allows you to

Menu Bar

Return to the selection menu, access Help for this screen, or access other 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, and then press ENTER.

Option

Enter one of the following options:

- **1:** To add a new transaction.
- **2:** To change, delete, or inquire about an existing transaction.



## Add WT Transaction (Screen 1)

Add WT Transaction (Screen 1) screen appears when you select option 1 on the [AWT Main Menu](#), allowing you to enter a new RWT transaction.

This screen also appears when you update or inquire about a transaction via the [Update/Inquiry/Delete Listing](#) screen, although the screen titles differ as follows:

- Update WT Transaction if you entered **U** in the **U/I/D** field
- Inquiry WT Transaction if you entered **I** in the **U/I/D** field.

```

MENU                                                    HELP
QABJ                THE DEPOSITORY TRUST COMPANY        DATE: MM/DD/YYYY
00002199-00         RUSH WITHDRAWAL BY TRANSFER        TIME: HH:MM:SS
=====
=====
=====
                                ADD WT TRANSACTION      PARTICIPANT ID: 00002199

CUSIP:    00 1234567890      DESCRIPTION: COWANCAST
QUANTITY:  __100__ . ____

IPO INFO- AGENT ID:  _1234_  INT CUST:  __2345__  CORR ACCT:  __098765_

BROKER REFERENCE:  _____

TAX PAYER TYPE:  1_  TAX PAYER ID:  __0_____  TAX WITHHOLD:  A
UIT CODE:        _  UIT CUSIP:    00 _____  0

MORE  ->
=====
ENTER:PROCESS                                PF7/19 :MAIN MENU
                                PF8/20:END FUNCTION PF9/21:SIGNOFF
                                PF11/24:FORWARD
  
```

### This field

### Allows you to

Menu Bar

Return to the selection menu, access Help for this screen, or access other 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, and then press ENTER.

Participant ID

View your participant number.

CUSIP

Enter the nine-digit CUSIP number of the DTC-eligible item you want to add as an RWT transaction. **Required.**

CUSIP Description

View a system-generated description of the security.

Quantity

Enter the number of shares to be withdrawn. For debt issues, enter a maximum nine-digit maturity or principal dollar value to the nearest whole dollar, and for other issue types, enter a maximum nine-digit security quantity. **Required.**

IPO Info – Agent ID

Enter the identification number of the custodian bank or prime broker responsible for receiving or delivering the securities on behalf of the institution or its customer; a maximum of eight digits.  
*Note*—For IPO-tracked issues only.

Int Cust	Enter the Agent Internal Account (AIA) number used by the custodian bank or prime broker to identify its clients; a maximum of 12 characters. <b>Required</b> for IPO-tracked issues.
Corr Acct	Enter the account number used by a clearing broker/dealer or clearing bank to identify its correspondent; a maximum of eight digits. <b>Required</b> for IPO-tracked issues only.
Broker Reference	Enter any additional alphanumeric information, up to 37 characters, to identify this transaction. <i>Optional. Default:</i> If not entered, the system generates the following TACF information: <ul style="list-style-type: none"> <li>• Today's date in <i>yymmdd</i> format</li> <li>• The current time in <i>hhmmss</i> format.</li> </ul> <i>Note</i> —This field is required whenever you enter a direct mail by the Depository (DMD) “bust” request, which allows participants to cancel WTs after they have been booked for out-transfer until 12:00 noon eastern time on the scheduled mail date. See DMDB for more information.
Tax Payer Type	Enter the type of taxpayer identification you will enter in the Taxpayer ID field. <b>Required.</b> Valid values are: <ul style="list-style-type: none"> <li>• <b>0:</b> For Social Security number not available (leave the Taxpayer ID field blank)</li> <li>• <b>1:</b> For Social Security number</li> <li>• <b>2:</b> For Employer Identification Number.</li> <li>• <b>3:</b> For Non-resident Alien (which indicates that the owner is not subject to backup withholding).</li> </ul>
Tax Payer ID	Enter one of the following taxpayer IDs: <ul style="list-style-type: none"> <li>• A nine-digit Social Security number in <i>nnnnnnnnn</i></li> <li>• <b>NRA</b> for a Non-Resident Alien.</li> </ul> <b>Required.</b>
Tax Withhold	Enter one of the following tax withholding codes: <ul style="list-style-type: none"> <li>• <b>A:</b> Failure to provide Taxpayer Identification Number (TIN)</li> <li>• <b>B:</b> Failure to certify TIN</li> <li>• <b>C:</b> Notification of incorrect TIN from the Secretary of the Treasury</li> <li>• <b>D:</b> Failure to certify backup withholding status</li> <li>• <b>E:</b> Voluntary disclosure from payee of affirmative backup withholding status</li> <li>• <b>F:</b> Notification to commence backup withholding from the Secretary of the Treasury for underreporting dividends and/or interest payments.</li> </ul>
UIT Code	In the CD portion, enter one of the following Unit of Investment Trust (UIT) codes: <ul style="list-style-type: none"> <li>• <b>0</b> or a space: Not applicable</li> <li>• <b>1:</b> All cash</li> <li>• <b>2:</b> Principal and interest</li> <li>• <b>4:</b> Principal only</li> <li>• <b>5:</b> Interest only.</li> </ul> <i>Optional.</i>
UIT CUSIP	Enter the CUSIP number of the reinvestment fund you want to select, if there is more than one. <b>Required</b> if you entered a <i>UIT</i> code.



## Add WT Transaction (Screen 2)

Add WT Transaction (Screen 2) appears after you enter all necessary information on [Add WT Transaction \(Screen 1\)](#) and press PF11/23.

*Note*—As described earlier, this screen may also appear as Update WT Transaction or Inquiry WT Transaction depending on the option you selected on the [Update/Inquiry/Delete Listing](#) screen.

```

MENU ***** ***** ***** ***** ***** ***** ***** ***** ***** ***** *****
*****
TX10                                THE DEPOSITORY TRUST COMPANY          DATE: MM/DD/YYYY
00002199                          RUSH WITHDRAWAL BY TRANSFER        TIME: HH:MM:SS
=====
                          ADD WT TRANSACTION          PARTICIPANT ID: 00002199

                          REGISTRATION/ASSIGNMENT (NAME/ADDRESS)
1) _LEOPOLD & MOLLY BLOOM JT _____ 2) ___7 ECCLES ST_____
3) _DUBLIN, OH_12345_____            4) _____
4) _____                          6) _____

                          THIRD PARTY MAILING (NAME/ADDRESS)
1) _____                          2) _____
3) _____                          4) _____
5) _____                          6) _____

DENOMINATION BREAKDOWN (TOTAL QUANTITY: ___100. 00___)
CERT   DENOMINATION   CERT   DENOMINATION   CERT   DENOMINATION
_1_   _50. 00_         _     _         _     _         _     _
_1_   _50. 00_         _     _         _     _         _     _
_     _         _     _         _     _         _     _
_     _         _     _         _     _         _     _
<- MORE
=====
ENTER :PROCESS          PF1/13:ADD          PF6/18:PREVIOUS          PF7/19 :MAIN
MENU
PF8/20:END FUNCTION          PF9/21:SIGNOFF          PF11/23:FORWARD

```

## Field Descriptions

### This field

Menu Bar

### Allows you to

Return to the selection menu, access Help for this screen, or access other 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.

Participant ID

View your participant ID.

Registration/Assignment (Name/Address)

Enter the registered owner's name and address; a minimum of two lines and a maximum of six, 35 characters per line.

*Note*—The assignment entered must be correct. If it is not, the transaction may be rejected by the TA.

Third Party Mailing Address

Enter the name and address of a third party, if applicable; a minimum of two lines and a maximum of six, 30 characters per line.

*Optional.*

Denomination Breakdown (Total Quantity)

View the number of shares entered in the **Quantity** field of [Add WT Transaction \(Screen 1\)](#).

Cert

Enter the number of certificates that comprise a particular amount of shares involved in the transaction.

*Optional.*

*Note*—The default denomination breakdown is '1.'

## Denomination

Enter the share amount of a single certificate.

*Note*—The number of shares entered in the **Cert** and **Denomination** fields must reflect the number of shares displayed in the **Total Quantity** field. You can enter up to ten sets of numbers in these fields.

## Update/Inquiry/Delete Listing Screen

The Update/Inquiry/Delete Listing screen appears when you select option 2 on the [AWT Main Menu](#). The screen displays a list of current day WT transactions from which you can select items to update, delete, or research in detail.

```

MENU                                                    HELP
QABJ                THE DEPOSITORY TRUST COMPANY        DATE: MM/DD/YYYY
00002199-00         RUSH WITHDRAWAL BY TRANSFER        TIME: HH:MM:SS
PARTICIPANT ID: 00002199          STARTING SEQUENCE NUM: _____
-----
                                UPDATE / INQUIRY / DELETE LISTING
U/I/D  SEQUENCE NUM    CUSIP      CUSIP DESCRIPTION      QUANTITY
  U      000040001     000123456789  BAYSHORE BANCORP      + 0000500.00000
  I      000040002     000123456789  BAYSHORE BANCORP      + 0000100.00000

                                                                NO
MORE
-----
ENTER :PROCESS                PF1/13:DELETE                PF7/19 :MAIN MENU
PF8/20:END FUNCTION          PF9/21:SIGNOFF               PF11/23:FORWARD
  
```

## Field Descriptions

### This field

### Allows you to

Menu Bar

Return to the selection menu, access Help for this screen, or access other 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, and then press ENTER.

Participant ID

View your participant ID.

Starting Sequence Num

Enter a specific sequence number to minimize scrolling between screens. *Optional*.

U/I/D

Choose from the following options:

- **U**: To update a transaction
- **I**: To view transaction details
- **D**: To delete a transaction.

Sequence Number

View the order in which you entered your transactions.

CUSIP

View an item's CUSIP number.

CUSIP Description

View a description of the security.

Quantity

View the number of shares represented by a security.

## **Messages**

You may encounter the following messages when using AWTR. The messages are in alphabetical order, along with explanations and suggested resolutions for each.

### **ACTION IS INVALID**

**Probable Cause:** This PTS function does not support the action entered.

**Suggested Resolution:** Enter a valid action in the **U/I/D** field.

### **CERT AMOUNT IS INVALID**

**Probable Cause:** An invalid number of shares was entered in one or more of the denomination breakdown **Quantity** fields.

**Suggested Resolution:** Enter a valid number of shares in each field, as necessary.

### **CERT AMOUNT MUST BE NUMERIC**

**Probable Cause:** A non-numeric value was entered in one or more of the denomination breakdown **Quantity** fields.

**Suggested Resolution:** Enter a numeric certificate amount.

### **CITIZEN INDICATOR IS INVALID**

**Probable Cause:** The value entered in the **Citizen/LP** field is invalid.

**Suggested Resolution:** Enter a valid citizen indicator in the field.

### **COMMUNICATION ISSUE IS INELIGIBLE**

**Probable Cause:** The Communication/Maritime issue you wish to enter cannot be processed via this PTS function.

**Suggested Resolution:** Enter a valid nine-digit CUSIP number.

### **COMMUNICATION/MARITIME ISSUES NOT ELIGIBLE FOR RUSH TRANSFER**

**Probable Cause:** The CUSIP number entered is for a Communication/Maritime issue and cannot be processed as a rush transfer.

**Suggested Resolution:** Enter a valid nine-digit CUSIP number.

### **CUSIP IS CHILLED**

**Probable Cause:** The CUSIP number entered is in chill status and a withdrawal-by-transfer instruction cannot be executed at this time.

**Suggested Resolution:** Enter a valid CUSIP number.

### **CUSIP IS INELIGIBLE**

**Probable Cause:** The CUSIP number entered is not DTC-eligible.

**Suggested Resolution:** Enter a DTC-eligible CUSIP number.

### **CUSIP IS INVALID**

**Probable Cause:** The CUSIP number entered is invalid.

**Suggested Resolution:** Enter a valid nine-digit CUSIP number.

### **DENOMINATION BREAKDOWN NOT EQUAL TO TOTAL QUANTITY**

**Probable Cause:** The number of shares listed in the denomination breakdown fields does not equal the sum in the Total Quantity field.

**Suggested Resolution:** Enter the correct denomination breakdown.

### **DIRECT MAIL INDICATOR IS INVALID**

**Probable Cause:** The **Direct Mail Code** field contains an invalid indicator code.

**Suggested Resolution:** Enter a valid **Direct Mail** indicator code.

### **DMD WITHHOLD INDICATOR IS INVALID**

**Probable Cause:** The **DMD Withhold** field contains a value other than 'Y' or 'N.'

**Suggested Resolution:** Enter a valid value.

### **DRS INDICATOR IS INVALID**

**Probable Cause:** An invalid DRS indicator was entered in the **DRS Info – Ind** field.

**Suggested Resolution:** Enter a valid DRS indicator.

### **DRS ISSUE INVALID FOR RUSH TRANSFER**

**Probable Cause:** The CUSIP number entered is for DRS and DRS issues are not eligible for rush transfer processing.

**Suggested Resolution:** Enter an eligible nine-digit CUSIP number.

### **DRS RECORD NOT FOUND ON DATABASE**

**Probable Cause:** No previous-day DRS transaction corresponds to the DRS transaction you want to delete (DRS indicator 'X').

**Suggested Resolution:** Enter valid data in the DRS Info fields.



**FINGERPRINT BYPASS OPTION IS INVALID**

**Probable Cause:** The Fingerprint field contains a value other than 'Y' or 'N.'

**Suggested Resolution:** Enter **Y** (to bypass fingerprinting), or either **N** or a space (to not bypass fingerprinting) in the field.

**FRACTION/CONTRA CUSIP IS INELIGIBLE**

**Probable Cause:** The fraction/contra-CUSIP number is not DTC-eligible.

**Suggested Resolution:** Enter a valid nine-digit CUSIP number.

**FRACTION INVALID**

**Probable Cause:** The share amount for this CUSIP number cannot be entered in fractional increments.

**Suggested Resolution:** Enter a valid quantity of nonfractional shares.

**FRACTIONS INVALID FOR DRS ISSUE**

**Probable Cause:** The item being entered is a DRS issue, which cannot be entered in fractional increments.

**Suggested Resolution:** Enter a valid quantity of nonfractional shares.

**FULL FAST ISSUES INELIGIBLE**

**Probable Cause:** The CUSIP number entered is for a full FAST issue, which cannot be processed as a rush transfer.

**Suggested Resolution:** Enter a valid nine-digit CUSIP number.

**INVALID KEY**

**Probable Cause:** The key pressed is invalid on the screen you are modifying.

**Suggested Resolution:** Press a valid key.

**IPO INT ACCOUNT NUMBER IS INVALID**

**Probable Cause:** The Agent Internal Account (AIA) number entered in the **IPO Info – Int Cust** field is invalid.

**Suggested Resolution:** Enter a valid AIA number.

**IPO CORRESPONDENT ACCOUNT NUMBER MUST BE NUMERIC**

**Probable Cause:** The **IPO Info – Corr Acct** field contains a non-numeric value.

**Suggested Resolution:** Enter a valid numeric IPO correspondent account number.

**IPO TRANSFER AGENT IS INVALID**

**Probable Cause:** An invalid transfer agent ID was entered in the **IPO Info – Agent ID** field.

**Suggested Resolution:** Enter a valid transfer agent ID number.

#### **IPO TRANSFER AGENT MUST BE NUMERIC**

**Probable Cause:** The **IPO Info – Agent ID** field contains a non-numeric character.

**Suggested Resolution:** Enter a valid IPO transfer agent number.

#### **MUNI BOND TYPE IS INELIGIBLE**

**Probable Cause:** The municipal bond entered is not DTC-eligible.

**Suggested Resolution:** Enter a valid nine-digit CUSIP number.

#### **MUNI BONDS NOT ELIGIBLE FOR RUSH TRANSFER**

**Probable Cause:** The CUSIP number entered is for a municipal bond, which cannot be processed as a rush transfer.

**Suggested Resolution:** Enter a valid nine-digit CUSIP number.

#### **NO RECORDS FOUND MATCHING YOUR REQUEST**

**Probable Cause:** No records exist that match the item you are researching.

**Suggested Resolution:** Enter another request.

#### **OPTION INVALID**

**Probable Cause:** An incorrect option number was entered.

**Suggested Resolution:** Select a valid option number from the onscreen menu.

#### **PARTICIPANT IS INELIGIBLE**

**Probable Cause:** *For group users only.* You do not have access to the selected participant's information.

**Suggested Resolution:** Obtain eligibility by contacting your Relationship Manager.

#### **PARTICIPANT IS INVALID**

**Probable Cause:** The participant entered is not DTC-eligible.

**Suggested Resolution:** Enter a valid participant number

#### **PARTICIPANT IS NOT DMD HOLD SELECTIVE PARTICIPANT**

**Probable Cause:** Data was entered in the **DMD Withhold** field and your firm is not eligible for this service.

**Suggested Resolution:** Delete the data.

#### **PARTICIPANT MUST BE NUMERIC**

**Probable Cause:** The participant number entered includes a non-numeric value.

**Suggested Resolution:** Enter a valid numeric participant number.

**PEND OPTION IS INVALID**

**Probable Cause:** A value other than 'Y' or 'N' appears in the **Pend Option** field.

**Suggested Resolution:** Enter **Y** (to pend a WT transaction), or either **N** or a space (to not pend a WT transaction) in the field.

**PLEASE CHOOSE ONLY ONE ACTION AT A TIME**

**Probable Cause:** More than one action was selected in the **U/I/D** field.

**Suggested Resolution:** Select only one action.

**PLEASE ENTER ACTION**

**Probable Cause:** The **U/I/D** field is blank

**Suggested Resolution:** Enter a valid action.

**PLEASE ENTER A MINIMUM OF TWO REGISTRATION LINES**

**Probable Cause:** The **Registration/Assignment (Name/Address)** field is incomplete.

**Suggested Resolution:** Enter the registration name and address on no less than two lines and no more than six lines.

**PLEASE ENTER A MINIMUM OF TWO T.P.A. LINES**

**Probable Cause:** The **Third Party Mailing (Name/Address)** field is incomplete.

**Suggested Resolution:** Enter the third party name and address on no less than two lines and no more than six lines.

**PLEASE ENTER CITIZEN INDICATOR**

**Probable Cause:** The item being entered is a Communication/Maritime issue and the **Citizen/LP** field is blank.

**Suggested Resolution:** Enter a valid citizen indicator code in the **Citizen/LP** field.

**PLEASE ENTER CERT AMOUNT**

**Probable Cause:** One or more of the denomination breakdown **Quantity** fields is blank.

**Suggested Resolution:** Enter the correct number of shares in the **Quantity** field corresponding to a certificate listed in the **Cert** field.

**PLEASE ENTER CUSIP**

**Probable Cause:** A CUSIP number was not entered.

**Suggested Resolution:** Enter a valid nine-digit CUSIP number.

**PLEASE ENTER DRS ACCOUNT NUMBER**

**Probable Cause:** The **DRS Info – Customer Account Number** field is blank.

**Suggested Resolution:** Enter a DRS customer account number in the field.

**PLEASE ENTER DRS INDICATOR**

**Probable Cause:** The **DRS Info – Ind** field is blank.

**Suggested Resolution:** Enter a valid DRS indicator.

**PLEASE ENTER DRS PARTICIPANT/CORR NAME**

**Probable Cause:** The **DRS Info – Participant/Corr Name** field is blank.

**Suggested Resolution:** Enter a participant/correspondent name.

**PLEASE ENTER IPO TRANSFER AGENT**

**Probable Cause:** The **IPO Info – Agent ID** field is blank.

**Suggested Resolution:** Enter a valid IPO transfer agent number.

**PLEASE ENTER PARTICIPANT**

**Probable Cause:** No participant number was entered.

**Suggested Resolution:** Enter a valid participant number.

**PLEASE ENTER QUANTITY**

**Probable Cause:** The number of shares was not entered.

**Suggested Resolution:** Enter the number of shares in the **Quantity** field.

**PLEASE ENTER REGISTRATION**

**Probable Cause:** The **Registration/Assignment (Name/Address)** field is blank.

**Suggested Resolution:** Enter the registration name and address on no less than two lines and no more than six lines.

**PLEASE ENTER TAXPAYER ID**

**Probable Cause:** The **Taxpayer ID** field is blank.

**Suggested Resolution:** Enter a valid taxpayer type code in the field.

**PLEASE ENTER TAXPAYER TYPE**

**Probable Cause:** The **Taxpayer Type** field is blank.

**Suggested Resolution:** Enter a valid taxpayer type code in the field.

### **PLEASE ENTER UIT CUSIP**

**Probable Cause:** You entered a code in the **UIT Code** field but left the **UIT CUSIP** field blank.

**Suggested Resolution:** Enter a valid nine-digit UIT CUSIP number in the **UIT CUSIP** field.

### **PRESS PF1/PF13 TO DELETE**

**Probable Cause:** Data has been entered in all the necessary fields on the delete screen you are working on and you pressed a key other than PF1/13 to update the transaction.

**Suggested Resolution:** Press PF1/13 to update.

### **PRESS PF1/PF13 TO UPDATE**

**Probable Cause:** Data has been entered in all the necessary fields on the entry screen you are working on and you pressed a key other than PF1/13.

**Suggested Resolution:** Press PF1/13 to update.

### **PRESS ENTER KEY TO PROCESS REQUEST**

**Probable Cause:** A key other than ENTER was used to process a request.

**Suggested Resolution:** Press ENTER.

### **QUANTITY INCREMENT IS INVALID**

**Probable Cause:** The CUSIP number represents a Denomination Restricted issue and the quantity increment entered is incorrect.

**Suggested Resolution:** Enter the correct increment quantity. If you do not know the figure, contact your Relationship Manager.

### **QUANTITY IS BELOW MINIMUM REQUIREMENT**

**Probable Cause:** The CUSIP number issued is a Denomination Restricted issue, and the number of shares entered is less than the required minimum.

**Suggested Resolution:** Enter the correct minimum of shares required. If you do not know the figure, contact your Relationship Manager.

### **QUANTITY IS INVALID**

**Probable Cause:** The number of shares entered in the **Quantity** field is zero.

**Suggested Resolution:** Enter the correct number of shares.

### **QUANTITY MUST BE NUMERIC**

**Probable Cause:** One or more of the values entered in the **Quantity** field is non-numeric.

**Suggested Resolution:** Enter all numeric values.

#### **RECORD DATE ISSUE IS INELIGIBLE**

**Probable Cause:** The CUSIP number entered is for an issue in record date status and cannot be processed as a rush transfer.

**Suggested Resolution:** Perform the transaction on the next business day.

#### **REQUIRED ONLY FOR A DRS CUSIP**

**Probable Cause:** Data was entered in one of the **DRS Info** fields for a CUSIP number that is not a DRS issue.

**Suggested Resolution:** Delete data from the **DRS Info** fields.

#### **REQUIRED ONLY FOR A DRS INDICATOR 'S', 'Y' OR 'C'**

**Probable Cause:** Data was entered in one of the **DRS Info** fields for a CUSIP number that is not a DRS issue.

**Suggested Resolution:** Delete data from the **DRS Info** fields.

#### **REQUIRED ONLY FOR DRS INDICATOR 'X'**

**Probable Cause:** Data exists in the **DRS Info – Agent ID** field although the DRS indicator is 'C,' 'S,' or 'Y.' A DRS transfer agent ID number must only be entered if the indicator is 'X' (for delete).

**Suggested Resolution:** Delete the data in the **DRS Info – Agent ID** field.

#### **REQUIRED (CUSIP) ONLY WITH UIT CODE**

**Probable Cause:** You entered a code in the **UIT CUSIP** field but left the **UIT Code** field blank.

**Suggested Resolution:** Delete the data in the **UIT CUSIP** field.

#### **REQUIRED ONLY FOR COMMUNICATION/MARITIME ISSUE**

**Probable Cause:** The item being entered is a Communication/Maritime issue and the **Citizen/LP** field has unnecessary data entered in it.

**Suggested Resolution:** Delete data from the **Citizen/LP** field.

#### **REQUIRED ONLY FOR IPO ISSUE**

**Probable Cause:** The item being entered is not an IPO issue, but data was entered in the **IPO Info – Agent ID** field.

**Suggested Resolution:** Delete the data.

#### **RSA BYPASS OPTION IS INVALID**

**Probable Cause:** The **Bypass Registration Format** field contains a value other than 'Y' or 'N.'

**Suggested Resolution:** Enter **Y** (for yes) or **N** (for no) in the field.

#### **STARTING CONTROL NUM MUST BE NUMERIC**

**Probable Cause:** The control number entered in the **Starting Control Num** field contains non-numeric values.

**Suggested Resolution:** Enter a valid numeric control number.

#### **STARTING DATE IS INVALID**

**Probable Cause:** The date entered in the **Starting Date** field is invalid.

**Suggested Resolution:** Enter a valid starting date.

#### **TAXPAYER ID IS INVALID FOR TAXPAYER TYPE**

**Probable Cause:** The taxpayer information entered in the **Taxpayer ID** field is not consistent with the designated taxpayer type.

**Suggested Resolution:** Enter a valid taxpayer ID in the field.

#### **TAXPAYER TYPE IS INVALID**

**Probable Cause:** An invalid taxpayer type code was entered in the **Taxpayer Type** field.

**Suggested Resolution:** Enter a valid taxpayer type code.

#### **TAX WITHHOLDING CODE IS INVALID**

**Probable Cause:** An invalid value was entered in the **Tax Withhold** field.

**Suggested Resolution:** Enter a valid taxpayer withholding code in the field.

#### **THERE ARE CURRENTLY NO RECORDS TO DISPLAY**

**Probable Cause:** No records exist that match the item you are researching.

**Suggested Resolution:** Enter another request.

#### **THE RECORD CANNOT BE UPDATED**

**Probable Cause:** The record you want to update has already been deleted.

**Suggested Resolution:** Move on to your next transaction.

#### **THE RECORD WAS ALREADY DELETED**

**Probable Cause:** The record you want to delete has already been deleted.

**Suggested Resolution:** Move on to your next transaction.

#### **THERE WAS AN ERROR PRINTING THE PTS TICKET. PLEASE, TRY AGAIN IN A FEW MINUTES.**

**Probable Cause:** An error occurred during the PTS ticket printing process.

**Suggested Resolution:** Wait a few minutes before reentering your print command.

**T.P.A. REQUIRED ONLY FOR A DIRECT MAIL CODE OF '2'**

**Probable Cause:** The **Third Party Mailing (Name/Address)** field contains data although your Direct Mail indicator is '0' (no Direct Mail) or '1' (use registration address).

**Suggested Resolution:** Delete data from the field or check the correctness of the entry in the **Direct Mail Code** field.

**UIT CODE IS INVALID**

**Probable Cause:** The value entered in the **UIT Code** field is not valid.

**Suggested Resolution:** Enter a valid UIT code in the field.

**UNIT CUSIP IS INELIGIBLE**

**Probable Cause:** The unit CUSIP number entered is not DTC-eligible.

**Suggested Resolution:** Enter a valid nine-digit CUSIP number.

**YOUR TRANSACTION HAS BEEN PLACED IN A QUEUE TO BE PROCESSED LATER**

**Probable Cause:** The system recorded your request to delete an item, which will be processed later.

**Suggested Resolution:** Check later to see if your request was processed.