

# IMPORTANT NOTICE

~~The Depository Trust Company~~



**#:** B0974-11  
**Date:** June 22, 2011  
**To:** All Participants  
**Category:** Operations  
**From:** Relationship Management  
**Attention:** Managing Partner/Officer, Operations Partner/Officer, Compliance Officer  
**Subject:** Participant Notification Regarding DTC Securities Restrictions

DTC may impose certain restrictions on a security in situations where DTC may become aware of certain potentially illegal or otherwise questionable features of a security, its issuer or other principal parties. In addition, DTC may place restrictions when it has been informed by the issuer or its agent, regulators or law enforcement, or has other compliance concerns that its Cede & Co certificate inventory has been compromised due to unauthorized, altered, fraudulent or counterfeit share issuance. If DTC reasonably suspects that all or a portion of its street name holdings of a security, may not be fungible and freely transferable as required for DTC services, it may decide, with respect to that security, to chill one or more of its services or place a global lock on all services, as it deems appropriate.

When securities are globally locked, DTC will provide a Global Lock indicator on the Securities Master File ([http://www.dtcc.com/downloads/legal/imp\\_notices/2011/dtc/ope/0811-11.pdf](http://www.dtcc.com/downloads/legal/imp_notices/2011/dtc/ope/0811-11.pdf)). Additionally, Operations and Compliance staff at several of our Participants have also requested prompt email notification about chills and global locks so their firms can take appropriate action. DTC Relationship Management will establish a special distribution list for those Participants that wish to receive email notification when DTC imposes such restrictions on a DTC-eligible security.

If you, as a DTC Participant, would like to receive these email notifications, please provide the appropriate email address to [DTCCRelationshipManagement@dtcc.com](mailto:DTCCRelationshipManagement@dtcc.com).

Non-Confidential

DTCC is now offering enhanced access to all important notices via a new, Web-based subscription service. The new notification system leverages RSS Newsfeeds, providing significant benefits including real-time updates and customizable delivery. To learn more and to set up your own DTCC RSS alerts, visit [http://www.dtcc.com/subscription\\_form.php](http://www.dtcc.com/subscription_form.php).

To remove your name from the former system of email notifications, send a message to [unsubscribe@dtcc.com](mailto:unsubscribe@dtcc.com).