



*Important Notice*

The Depository Trust & Clearing Corporation

<b>Z #:</b>	<b>Z0034</b>
<b>Date:</b>	<b>October 31, 2012</b>
<b>To:</b>	<b>All DTC, FICC and NSCC Participants</b>
<b>From:</b>	<b>General Counsel's Office</b>
<b>Attention:</b>	<b>Managing Partner/Officer; Operations Partner/Officer; Settlement Manager/Cashier; Treasury Operations Manager/Officer</b>
<b>Subject:</b>	<b>DTCC Client Update on Superstorm Sandy</b>

DTCC's Lower Manhattan headquarters location continues to be significantly impacted by flooding and power outages related to Superstorm Sandy. We are currently operational from our alternate data and operations centers, except for physical certificate processing and custody services.

We will continue to provide transaction processing and settlement today, following our company-established emergency response procedures. Our subsidiaries, DTC, FICC and NSCC, including Mutual Funds Services, Insurance & Retirement Services and Alternative Investment Products services, will follow their normal processing schedules for all transactions and applications, **unless otherwise noted below.**

Deadlines for NSCC and FICC clearing fund, DTC participants' fund, settlement and other processes will be as usual, and all other services will proceed normally, with the exception of all physical certificate and custody processing services.

**NSCC (Wealth Management Services and Insurance & Retirement Services)**

Wealth Management Services

WMS Mutual Funds will extend the timing of all Networking files by three hours for input and output November 1, 2012. WMS will post specific files names and numbers shortly.

Insurance & Retirement Services

The PSE (test) region continues to be unavailable until further notice. All production Insurance & Retirement Services files and settlement services will be processed per normal schedules.

**FICC**

MBSD has decided to delay the change of the timing of AM Pass from 2PM to 4PM until a later date. The change had been scheduled to go into effect on November 2<sup>nd</sup>, 2012 (see Important Notice MBS 138.12 and MBS 125.12). MBSD will advise its members on the new release date in a later notice.

### **Physical Certificates**

While it is too early at this time to make a definitive determination, we anticipate that due to the flooding in our lower Manhattan location, physical certificates held in our securities vault are likely to have been damaged. We are diligently monitoring and assessing the situation.

All Securities Processing functions, including custody service, are suspended until further notice and we will not be accepting or releasing any physical certificates during this period. We are working with our clients to address this situation and minimize disruptions as much as possible. Further information will be provided shortly.

### **New Contact Telephone Numbers**

If you have any issues or concerns, or need to notify us of your contingency plans, please use the following list of numbers to reach DTCC Operations staff in our Tampa office:

#### **Customer Support Center**

855-229-6762

[cse@dtcc.com](mailto:cse@dtcc.com)

#### **Client Account Representative Team Clearance/Settlement/Depository Services**

813-470-1220

813-470-1230

813-470-1221

813-470-1617

813-470-1231

813-470-1222

800-422-0582

#### **WMS/Insurance/AIP**

813-470-1532

813-470-1163

#### **Relationship Management**

813-470-1200

#### **Enterprise Service Center (ESC)**

813-470-1543

813-470-1537

212-855-5947

#### **Business and Technical Support**

813-470-1523

813-470-1513

813-470-1536

813-470-1517

813-470-1534

813-470-1506

813-470-1516  
813-470-1576  
813-470-1594  
813-470-1556  
813-470-1555  
718-510-5339

**Customer Help Center**

813-470-1169  
813-470-1203  
813-470-1141  
813-470-1581  
813-470-1561

**Settlement**

813-470-1021  
813-470-1029

**CNS/CMU**

813-470-1033  
813-470-1022

**FICC-GSD**

813-470-2615

**FICC-MBSD**

813-470-2638

**Customer Support Center**

855-229-6762

[csc@dtcc.com](mailto:csc@dtcc.com)

**Customer Help Center (CHC)**

888-382-2721

**Client Account Representative Team  
Clearance/Settlement/Depository Services**

813-470-1220  
813-470-1230  
813-470-1221  
813-470-1617  
813-470-1231  
813-470-1222  
800-422-0582

**WMS/Insurance/AIP**

813-470-1532

813-470-1163

**Relationship Management**

813-470-1200

**Enterprise Service Center (ESC)**

813-470-1543

813-470-1537

212-855-5947

**Business and Technical Support**

813-470-1523

813-470-1513

813-470-1536

813-470-1517

813-470-1534

813-470-1506

813-470-1516

813-470-1576

813-470-1594

813-470-1556

813-470-1555

718-510-5339

**Customer Help Center**

813-470-1169

813-470-1203

813-470-1141

813-470-1581

813-470-1561

**Settlement**

813-470-1021

813-470-1029

**CNS/CMU**

813-470-1033

813-470-1022

**FICC-GSD**

813-470-2615

**FICC-MBSD**

813-470-2638

**Voluntary Reorganization**

813-470-1020

813-470-2230

813-470-1191

**Mandatory Reorganization**

813-470-1131

813-470-1213

813-470-1136

**Stock Dividend/Tax Services/Dividend International**

813-470-1075

813-470-1568

813-470-1254

**Dividends/Redemptions**

813-470-2210

813-470-1550

813-470-1160

813-470-1591

**Operations Balancing and Control**

813-470-1130

813-470-1192

813-470-1166

**Underwriting**

813-470-1010 (alternative closing call hotline, stay on the line, do not use the options)

813-470-1031

813-470-1043

813-470-1057

813-470-1053

813-470-1065

**DerivSERV/LoanSERV/GTR**

020-7650-1467 (London)