DTCC | *Important Notice*
DTCC Solutions LLC

#:	CBRS002.12
Date:	January 25, 2012 <mark>REVISED February 3, 2012 - see change on page 2</mark>
To:	All current and prospective Cost Basis Reporting Service (CBRS) users
From:	Lydia Midwood
Subject:	Revised CBRS Record Layouts for July 2012 enhancements

DTCC plans to change the record layouts for the Cost Basis Reporting Service (CBRS), to make improvements to the system based on customer feedback.

CBRS user testing is scheduled to begin on June 22, 2012. At that time, testing for the existing record layouts will no longer be supported. **These changes are scheduled to go into production on July 27, 2012**.

This Notice describes the various changes to the record layouts. These changes apply to data input and output via the automated mainframe connection, as well as to WebDirect screens and the Upload template. Please review the list of changes below to determine how they will affect your CBRS programming.

The changes to the record layouts are marked with red text. The CBRS record layouts can be found on DTCC's website at:

http://www.dtcc.com/products/documentation/cs/cbrs.php

Specifics of the Changes to the Record Layouts

Fields on the Asset Input, Tax Lot Input, and Cost Basis Transaction MRO record layouts will change. The following table details the changes. After each name in the **Field** column, there is a code indicating which record layout contains the field: **A** = Asset Input, **T** = Tax Lot Input, **O** = Cost Basis Transaction MRO record layout.

Field	Change
Transaction Type (A & T)	• Added clarification comment to Transaction Types 06 and 07
Deliverer Customer Account Number (A & T)	• Field is now required for Transaction Type 04

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ISIN Security Issue ID (CUSIP number) (A)	• Changed rule and removed Best Practice for Firm Reject and Request records
Put – Call Indicator (A)	• Changed rule and removed Best Practice for Firm Reject and Request records
Option Symbol (A)	• Changed rule and removed Best Practice for Firm Reject and Request records
Option Expiration Date (A)	• Changed rule and removed Best Practice for Firm Reject and Request records
Option Strike Price Integer (A)	• Changed rule and removed Best Practice for Firm Reject and Request records
Option Strike Price Decimal (A)	• Changed rule and removed Best Practice for Firm Reject and Request records
Asset Description (A)	• Removed rule for Firm Reject and Request records
Asset Category (A)	• Now required for Firm Reject and Request records • Removed rule for Firm Reject and Request records
Total Position Quantity (A)	• Now required for Firm Reject and Request records • Removed rule for Firm Reject and Request records
Position Code (A)	• Now required for Firm Reject and Request records • Removed rules for Firm Reject and Request records
ACATS Asset Sequence Number (A)	• New field
Exchange Rate for FMV as of Date of Gift (T)	• New field
Acquisition Date of Tax Lot	• New rule[1]
Original Acquisition Date for Wash Sale Adjustment (T)	• New rule
Exchange Rate (T)	• Added comment for clarification
Tax Lot Current Cost (T)	• Added Best Practice
Zero Basis Indicator (T)	• Added rule
AO ACATS Asset Sequence Number Status (O)	• New field
AO ACATS Asset Sequence Number (O)	• New field
TO Exchange Rate for FMV as of Date of Gift Status (O)	• New field
TO Exchange Rate for FMV as of Date of Gift (O)	• New field

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[1] REVISED 02/06/2012. Correction: new rule applies to Acquisition Date of Tax Lot, not Original Acquisition Date for Wash Sale Adjustment.

Additional Information

Please see the CBRS User Guide to learn more about the service:
http://www.dtcc.com/products/documentation/cs/cbrs.php

A copy of this Important Notice can be obtained from DTCC's website:
http://www.dtcc.com/products/documentation/cs/cbrs_notices.php

If you have questions about CBRS, please call your Relationship Manager or the Customer Service Hotline at 888-382-2721, option 6, then option 7, then option 2.