



A#:	7519
P&S#:	7089
Date:	October 30, 2012
To:	All Participants
From:	General Counsel's Office
Attention:	Managing Partner/Officer; Operations Partner/Officer; Settlement Manager/Cashier; Treasury Operations Manager/Officer
Subject:	NSCC Client Update on Superstorm Sandy – Current and Ongoing Operations as Markets Re-Open; Physical Certificates

As you may have seen on the news, lower Manhattan has been significantly affected by flooding and power outages, including our headquarter location. Because of this, all clearing, settlement and other processes have been successfully shifted to our alternate data and operations centers. The firm is currently operational and expects to maintain full operations, except for physical certificate processing and custody services, when the US markets re-open for business.

We will continue to provide transaction processing and settlement today, following our company-established emergency response procedures. NSCC, including Mutual Funds Services, Insurance and Retirement Services and Alternative Investment Products services, will follow normal processing schedules for all transactions and applications.

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

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. We will provide additional updates as more information becomes available.

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

csc@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

WMS/Insurance/AIP

813-470-1532

813-470-1163

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