



A#:	7520
P&S#:	7090
Date:	October 31, 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

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. NSCC, including Mutual Funds Services, Insurance & Retirement Services and Alternative Investment Products services, will follow normal processing schedules for all transactions and applications, **unless otherwise noted below.**

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 and custody processing services.

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 file 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.

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.

DTCC offers enhanced access to all important notices via a Web-based subscription service. The 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.

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

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

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

Customer Help Center (CHC)

888-382-2721

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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)