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About Deposits:

Introduction

Overview

This section describes DTC's Deposits products. Each section includes an overview of a product and how it works, as well as a list of associated Participant Terminal System (PTS) and Participant Browser System (PBS) functions you can use to access the product.

Overview

Warning! *Although DTC makes every effort to provide you with timely information, you are primarily responsible for obtaining such information without relying on DTC. We recommend that you reconcile your records with DTC's before and after making a deposit and before and after any critical dates.*

About DTC's Deposits Service

DTC's Deposits service allows you to use a full range of safekeeping and processing services offered by the depository for various types of eligible securities. After receiving deposit instructions, DTC credits deposited securities to your general free account unless they are mandatory reorg deposits, restricted deposits, or full service legal deposits or if DTC's Interim Accounting procedures are in effect.

DTC's Deposits service offers the following products:

- Branch Deposits (Basic and Full Service)
- Reorganization (Reorg) Deposits
- Legal Deposits
- Deposit/Withdrawal at Custodian (DWAC)
- Restricted Deposits
- Custody
- Custody Reorg Deposits
- Continuous Net Settlement (CNS).

The Deposit Automation Management (DAM) system allows you to transmit details of a deposit via the PTS function DAMP or the PBS function Deposit Automation before forwarding physical securities to DTC. DTC's Deposits staff reviews and edits this information, and, with high-value items, notifies you of any problems or other relevant information involving the securities. DAMP also allows you to consolidate deposits, research the status of a deposit, and pend a deposit for up to 10 days. See DAMP for more information.

Depositing Securities at DTC

This section briefly describes how deposits are processed by DTC. You can review information and account activity via various PTS functions, as explained in Tracking Deposits.

You can make deposits by using one of the following methods:

- DTC's Deposit Automation Management system (via the PTS function DAMP or PBS function Deposit Automation), and deposits made through DTC's Interface Department)
- The Branch Deposits system (via Computer-to-Computer Facility [CCF/CCF II] transmissions)

- The Restricted Deposits system (via the PTS function RDSP and PBS function Restricted Deposit Service – Participant)
- The Fast Automated Securities Transfer system (via the PTS function PDWC and PBS function Participant Direct Deposit Withdrawal).

Note: To expedite the deposit process, you should carefully follow the steps described in *Preparing Certificates for Transfer before making a shipment to DTC.*

You can submit certificates in one of three ways:

1. **Messenger delivery** to DTC's Central Delivery Department at 55 Water Street, Window 13 (for New York City participants)
2. **Overnight delivery** to the Interface Department (for participants outside New York City)
3. **Branch deposits** via air courier or messenger

Once an acceptable deposit is made via PTS or PBS, DTC credits your general free account at the depository as follows:

- Same-day credit: Deposits made before noon Eastern Standard Time at DTC's Central Delivery window, or by DWAC deposit.
- Next Day credit: Deposits made between 2:00 p.m. and 5:30 p.m. Eastern Standard Time at the Central Delivery Window or via the Interface Department.
- Same-day credit: Branch deposits received by 9:00 a.m. Eastern Standard Time.

Note: This processing schedule does not apply to certain products such as restricted deposits and mandatory reorg deposits. See those sections for details.

Reorg Deposits

The day after certificates are received as a reorg deposit, DTC sends the material to the agent with instructions to transfer or exchange the shares. The letter of transmittal generated by DTC also shows entitlements expected at DTC.

Overview

Glossary Term	Abbreviation	Definition
Book-entry-only security	BEO	An issue authorized for deposit at DTC in the form of one or more global certificates for each tranche of an issue. Ownership positions and transactions in each security are reflected in DTC's records and in the records of participating banks and brokers. Transaction confirmations and periodic account statements provided to investors identify securities the investor owns and report on activity in the investor's account.
Chill		A systemic way DTC can prohibit you from processing certain activities (e. g., a valued delivery chill will prevent you from making valued deliveries from your account).
Continuous Net Settlement	CNS	The system used by the National Securities Clearing Corporation (NSCC) to settle NYSE, AMEX and NASDAQ trades.
Contra-CUSIP		The CUSIP used to indicate your tendered position (representing instructions submitted by Participants to surrender securities).

Glossary Term	Abbreviation	Definition
CUSIP Number		The identification number created by the American Banking Association's Committee on Uniform Security Identification Procedures (CUSIP) to uniquely identify issuers and issues of securities and financial instruments. The CUSIP number consists of nine digits; the first six digits identify the issuer and have been assigned to issuers in alphabetic sequence, and the next two characters (alphabetic or numeric) identify the issue. The ninth digit is the check digit.
Fast Automated Securities Transfer	FAST	An arrangement between DTC and transfer agents to eliminate the movement of securities certificates. By signing the Balance Certificate Agreement with DTC, agents agree to maintain DTC-eligible inventory in the form of jumbo certificates registered in the name of DTC's nominee name, Cede & Co. DTC and FAST agents electronically reconcile the results of participants' daily deposit and withdrawal activities.
Free Account		General DTC Participant Account.
Letter of Transmittal	LT	The document signed by the security holder in which it agrees to tender its securities pursuant to the terms of the offer. It contains information about the certificates and quantity being tendered, as well as where and to whom the payment should be made.
American Depositary Receipt	ADR	A certificate issued by a U. S. bank or trust company against the deposit of the original foreign share certificate with a subcustodian in the country of original issue. As foreign shares are deposited abroad, the equivalent ADRs are issued to buyers in the U. S. markets.
Bearer security		A security that is not registered with the issuer in the name of the owner and that is negotiable without endorsement and transferred by delivery.
Continuous Net Settlement	CNS	The method of securities clearing used by DTC to settle NYSE, AMEX and NASDAQ trades. DTC matches securities available in a participant's account, resulting in one net receive or deliver at the end of the day.
Legal deposit		A registered security and any legal documentation other than or in addition to a stock/bond power required for the transfer of that security, such as power-of-attorney or death certificate.
Registered security		A security registered with the issuer of the security in the name of the owner or a nominee name on behalf of the beneficial owner.
Reject		A deposit sent back to a participant and the free position reversed because of nonnegotiable status, incomplete or incorrect information entered by a participant, or the failure to meet DTC or transfer agent criteria necessary for the completion of the transfer.
RRG Account		The reorganization account created to hold the position of a security undergoing a reorganization activity. On the payment date, DTC reduces the security's position in the participant's RRG account.

Glossary Term	Abbreviation	Definition
Stock power		A power of attorney form transferring ownership of a registered security from the owner to another party. It is typically used when endorsement and medallion guarantees are required on numerous certificates of the same security all registered to the exact same party undergoing the same transaction.
Transfer agent	TA	An entity that provides a number of shareholder-related services for a corporation or a municipality, which typically includes shareholder recordkeeping, transfer processing, corporate actions and the monitoring of certificated and book-entry positions.

Preparing to Use the Products

In order to use the products associated with this service, you must have access to at least one of the following:

- The Participant Terminal System (PTS) network
- The Participant Browser System (PBS)
- Computer-to-Computer Facility (CCF or CCF II) or Mainframe Dual Host (MDH). DTC's Custody Service also allows branch offices or correspondents to bypass their main offices and send securities received from their customers directly to DTC for deposit.

Contact your Relationship Manager for more information.

Note: DTC also provides various SMART/Search reports.

Service Topics

About OFAC Certification

In 2003, DTCC implemented a Bank Secrecy Act, Anti-Money Laundering and Office of Foreign Assets (OFAC) Compliance Program to comply with the regulatory requirements set forth in the applicable provisions of the Bank Secrecy Act, USA Patriot Act and OFAC regulations.

As a result, DTC requires U.S. participants to confirm they have checked the registrations on their non-custody domestic deposits against the OFAC List and that no valid matches were identified. For deposits made by non U.S. participants or facilities, DTC will perform the OFAC checking in-house.

This certification will be expected on deposit transactions made via Deposit Automation (DAMP), Restricted Deposit Service – Participant (RDSP), Branch Deposit Service (BDS) and Custody (CUST).

About Sanctions against Foreign Countries and Individuals

The U.S. government imposes economic and trade restrictions, which may include freezing assets held in the United States, on foreign countries and individuals engaged in terrorism, international narcotics trafficking and other prohibited activities, including nuclear weapons proliferation and trading in illegally procured diamonds.

The first U.S. government sanctions against foreign entities date back to the early days of this country. The agency that today administers enforcement of economic sanctions, the OFFICE OF FOREIGN ASSETS CONTROL (OFAC), was created in 1950, during the Korean War. OFAC is a division of the U.S. Department of Treasury.

Making a BDS Deposit

The branch offices receive physical certificates from their customers and enter details of the certificates into their internal system. They then transmit the information to the main office and ship the securities to DTC.

When packages are received by DTC, their contents are sorted for non-branch securities and correspondence. Correspondence and items not related to BDS are picked up by representatives from the main office, if the office is located in New York City. The securities are then processed versus the expectancy file.

All securities received at DTC by 9:30 a.m. eastern time are fully examined for negotiability and transferability, imaged, and credited to your free account, if they are in good form, on the same day that they are received, enabling deliver orders to be filled if the position is necessary for this activity.

DTC applies the following to negotiable securities:

- Your medallion guaranty
- Power of attorney release
- Tax Waiver
- Cede assignment

Custody items are processed and turned over to the Custody department (See Custody Service User Guides).

You can also view images of your certificates (Refer to Imaging) and find out about the status of your deposits via the PTS function BDSI or PBS function Branch Inquiry.

If there are problems with a deposit, you will be notified either by electronic intraday messages or phone call and images of certificates made available to you. You can send processing instructions and corrections using the same method, so that errors can be addressed and resolved on the same day. DTC performs the following services to reduce the need to return deposits:

- Correcting quantity discrepancies
- Researching the possibility of name changes, correcting names if necessary, and crediting your account on the same day
- Presenting to the paying agent and collecting interest on past due coupons that might still be attached to bearer bonds
- Processing as reorg deposits any deposits with reorg status
- Consolidating into one deposit a single certificate that must be credited to multiple accounts
- Locating and processing priority deposits immediately and at any time during the day
- Checking selected deposits against the Securities Information Center (SIC) database to confirm that there are no stops on any of the certificates
- Holding regular or legal deposits in a Pending box and notifying you about the required documents, crediting your Seg account in the interim, and allowing you to deposit the documents as trailing documents when you receive them.

Associated PTS/PBS Functions

Use This Function	To
ART / Activity Research Tool	Obtain detail information on transactions processed by DTC and view historical information on transactions.
BDSI / Branch Deposit Inquiry	View information on deposits and obtain images of certificates.
GWIZ / CUSIP Inquiry	Obtain security information.
SEEK	Obtain security information.

Continuous Net Settlement

Make Continuous Net Settlement (CNS) deposits just as you would a regular deposit. For more information on this product, refer to Continuous Net Settlement Training Workbooks.

Signature Guarantee Medallion Stamps

When processing of certificates in connection with the Branch Deposit Service (BDS), DTC may use a Participant's Medallion Signature Guarantee stamp(s). DTC shall not use the Medallions or Stamps except for the specific intended purpose of making negotiable Participant securities for transfer or sale in accordance with Participant's instructions (including standard instructions). Each such Medallion or Stamp provided by a Participant to DTC shall be registered in the name and either bear the facsimile signature of a duly authorized officer of the Participant or the firm name, and shall remain under the control of such officer, and each use of each such Medallion or Stamp by DTC shall be deemed to be done under the authority of such duly authorized officer.

During non-business hours a Participant's Medallions and Stamps held by DTC will be secured in DTC's vaults.

DTC will use a control log to track the daily issuance and return of a Participant's Medallions and Stamps. During business hours, the Participant's Medallions or Stamps will be kept in a secured container with access to such container being controlled by DTC supervisors.

Any requests by DTC for a Medallion or Stamp replacement (due to breakage), will be made to the Participant in writing. A Participant's Medallions and Stamps remain the property of the Participant and must be returned to the Participant upon demand.

DTC will indemnify and hold the Participant harmless against any claims, losses, proceedings, liabilities, judgments, damages, costs, or expenses (including, without limitation, attorneys' fees and costs) of any kind and character suffered by the Participant caused by the gross negligence or willful misconduct of DTC or its employees relating to its failure to act in accordance with these terms and conditions as they relate to DTC's use of the Medallions and/or Stamps. Except as expressly stated above, DTC shall not have any liability of any kind (including, but not limited to, for any direct, indirect, incidental, special, consequential or punitive damages or damages for lost profits or lost opportunities and whether based upon contract, tort, warranty or otherwise for any reason as it relates to the Branch Deposit Service.

Any Participant utilizing DTC's Branch Deposit Service (BDS), through its duly authorized officers authorizes DTC to affix various Participant Medallions and Stamps to certificates upon instruction of the Participant (including standing instructions) in order to make such certificates negotiable for sale or transfer. The Medallions and Stamps, which will be supplied to DTC by Participant, will include signature guarantees, power of attorney releases, tax waivers and CEDE & Co. Assignment stamps. The Participant will indemnify and hold DTC harmless against all claims, losses, proceedings, judgments, costs, expenses, damages, or liabilities (including without limitation, attorneys' fees and costs) of any kind and character suffered by DTC arising out of DTC's affixing Participant stamps and medallions to those certificates in accordance with these terms and conditions, provided, however, that Participant shall not indemnify DTC for any claims, losses, proceedings, judgments, costs, liabilities, damages or expenses (including, without limitation, attorneys' fees and costs) relating to DTC's use of the Medallions and/or Stamps that are a result of the gross negligence or willful misconduct of DTC or any of its employees or agents.

By utilizing DTC's Branch Deposit Service, a Participant represents that it has informed the underwriter of its Medallion program surety bond of the arrangement contemplated by these terms and conditions and has provided such underwriter a copy hereof, and that Participant's underwriter agrees that such arrangement will not affect coverage under such bond.

Deposit / Withdrawal at Custodian (DWAC)

About the Product

Deposit/Withdrawal by Custodian (DWAC) is available as an online facility, file transfer or MQ format that lets you send requests to Fast Automated Security Transfer (FAST) agents or other DTC custodians to deposit or withdraw securities into or out of your DTC account.

How the Product Works

FAST minimizes certificate movement and streamlines transfers for participants who maintain a quantity of securities at a transfer agent in the form of a jumbo balance certificate registered to Cede & Co, DTC's nominee. These balance certificates are increased and decreased daily by deposit and withdrawal-by-transfer (WT) activity.

Once you request a DWAC through PTS, PBS or fCF2DWX file, the custodian responds to DTC and attests that you have the necessary amount of shares in your account to complete the transaction. The custodian also confirms that it has registered the transfer in the name of Cede & Co. in accordance with the (Balance) Certificate Agreement between itself, the transfer agent or registrar, and DTC.

Once the custodian has acted on your request, PTS generates a confirmation ticket for both you and the custodian indicating that a transaction is

- Recycled
- Dropped (custodian did not approve or cancel your request by the deadline)
- Pending custodian approval
- Approved
- Canceled.

This information is available via the DWCEOD file. The function user guide can be found at http://www.dtcc.com/products/documentation/asset/ccf/sec_proc/21DWACEOD.pdf.

Seventy-Two-Hour Pend Option

In the past, the system dropped any request that a custodian did not approve or cancel by the end of the business day on which it was submitted. DTC now offers you the option of selecting a 72-hour pend period for all your deposits. This option gives custodians 3 business days (including the deposit date) to either approve or cancel your transaction before it drops off the system. Selecting this option saves you the trouble of having to resubmit a deposit if a custodian takes no action within 3 days. Otherwise, all transactions that were not approved or canceled by custodians will drop at the close of the business day, and you will have to reenter them on the following business day.

Note: Call your Relationship Manager to activate this option. The 72-hour pend option cannot be used selectively on a deposit-by-deposit or on a CUSIP-by-CUSIP basis. You must activate the 72-hour pend feature either for all or none of your transactions.

Associated PTS / PBS/File Functions

You can use the following list of PTS/PBS /File functions to submit DWAC deposits at DTC and to track their status

Use This Function	To
CDWC / TA Direct Deposit/Withdrawal	Receive and reply to participant requests. For custodian use only.
PDWC / Part Direct Deposit/Withdrawal	Submit deposit and withdrawal instructions to the custodian. For participant use only.
CF2DWX File	Submit deposit and withdrawal instructions to the custodian. For participant use only.

Legal Deposits

Overview

A legal deposit consists of a registered security and the legal documentation required for the transfer of that security into the name of DTC's nominee, Cede &Co.

Submit legal deposits through the Deposit Management System (DAM) as you would a regular restricted deposit, using the PTS function DAMP, the PBS function Deposit Automation, the CF2DEP file, or via BDS to make the deposit and generate the deposit ticket that will be sent to DTC. The procedures are the same as those for registered deposits except that

- Legal deposits are sorted separately from other deposits
- There is accompanying legal documentation if the deposit exceeds the insurance limit of the medallion or the transfer agent for the issue does not participate. If your deposit ticket displays the letters PLX, you need to submit the documents. If it displays the letters PLA, you can retain the documents and submit the deposit as a Regular Deposit. Participants can pick up the PLAQSP file to identify "paperless" issues.

Legal Deposits at DTC – Both DAMP and BDS

Basic Service

If your firm chooses the basic Legal Deposits service, you must examine the securities and documentation yourself to make sure they are in order. DTC will route your deposit directly to the transfer agent, and all normal deposit reject fees will apply if the transfer agent rejects it.

Full Service

With full Legal Deposits service, DTC staff examines your deposits to ensure that the certificates and documentation are in order. If the deposit is not in proper transferable form, it will be rejected and all normal reject fees will apply.

If Legal Deposits staff uncover a problem that is correctable (for example, missing medallion stamps or documentation), DTC will telephone you and help you resolve the issue. You will have the opportunity to either reject the item or if you participate in BDS, instruct DTC to hold the pending legal deposit (also known as a "peld") until it receives the missing documentation and then forward the material to the transfer agent. If the problem cannot be corrected, the deposit will be rejected to you and normal reject fees will apply. However, if the transfer agent rejects a deposit that has been reviewed and accepted by DTC, you will not be charged a deposit reject fee.

Paperless Legals

The Paperless Transfer Program is based on the specific and simple representations made by the Signature Guaranty process. By affixing a Signature Guaranty (medallion), you as the guarantor warrants that:

- the signature is genuine
- the signer is an appropriate person to endorse or originate the instruction, or if the signature is by the agent, the agent has actual authority to act on behalf of the appropriate person, and
- the signer has legal capacity to sign.

Participants are responsible for obtaining all legal documents necessary to effect transfer of the securities they are depositing, but do not need to actually submit the documents if the transfer agent for the security participates in the Paperless Legals Program. Your signature guarantee medallion affixed to the certificates or stock/bond power guarantees to the transfer agent that you have the appropriate documents and insurance to protect them, should something unforeseen occur.

Participants can identify issuers whose transfer agent participates in the Paperless Legals Program by the following methods:

- The letters "PLA" will print on the deposit ticket
- Accessing the STP Paperless Agent CUUSIP Report on SMART/Search
- Taking in the weekly PLAQSP CCF file

Special Legal Deposit

If a Participant elects to submit a Special Legal Deposit they receive credit in a segregated account, Seg 36, when the deposit is processed at DTC. These shares are not available for any other DTC Settlement service. The position remains in this Seg account until the deposit clears transfer and DTC either processes a clean certificate registered to Cede & Co to its vault or the transfer agent confirms that the shares have been added to DTC's FAST Balance for that issue.

Participants wishing to monitor when their deposits clear transfer can either access the STP CCF Deposits Out Transfer Items Report on SMART/Search or take in the daily DEPOTF file via CCF.

Status Tracking Service

Available with either full or basic service, the status tracking service allows you to monitor your legal deposits from receipt at DTC to clearing transfer (or rejection) at the transfer agent. You assign the tracking number and use the PTS function STSL or the PBS function Securities Transfer System legal to track the status of the transaction.

Associated PTS / PBS Functions

You can use the following PTS / PBS functions in conjunction with Legal Deposits.

Use This Function	To
DAMP / Deposit automation	Enter your deposit into the Deposit Automated Management (DAM) system and create the DAM deposit tickets you send with your shipment to DTC.
PELD / Pending Legal Deposits	Inquire about missing legal documentation before DTC submits the deposit to the transfer agent (Full service only).
STSL / Securities Transfer Legal Deposit	Track the status of a legal deposit.
CF2DEP File	Enter your deposits into the Deposit Automated Management (DAM) system via file transfer and create the DAM deposit tickets you send with your shipment to DTC.
BDS1_5 File	Have your branch offices enter deposits into BDS

Preparing Certificates for Transfer

Transfer Requirements

To deposit DTC-eligible securities, you must transfer securities from the name of the current owner (your firm, nominee, or customer name) to DTC's nominee, Cede & Co., and comply with legal requirements that allow the transfer to take place. These requirements include the following:

- Completing the certificate assignment form to Cede & Co. or preparing a stock/bond power when depositing certificates with the same CUSIP number or those endorsed by a registered holder.
- Affixing a Release Power of Attorney Stamp and a signature guarantee medallion when the Power of Attorney line on either of the aforementioned forms is filled in.
- Submitting required legal documents for sale or transfer of securities for decedents, fiduciaries, trusts, bankruptcies, or corporate registrations.

Use the Depository Trust Company Important Notices as additional information resources. All procedures in this manual can be superseded by Important Notices or other instructions. Because making a deposit is financially important to you and, depending on your deposit position, places time limitations on your use of other DTC services, we urge you to carefully adhere to the checklist below. You can view Important Notices on our Web site, <https://login.dtcc.com/dtcorg>.

Note: Send exchange items directly to the exchange agent. You can deposit the new issue at DTC, but make sure that the agent does not issue the new shares to Cede & Co. during the exchange.

Deposits Checklist for DAMP Deposits

Participants can call the Customer Help Center at (888) 360-3822, option 4 then option 3, or submit a WINS inquiry if a problem arises.

- Make sure that the issues are DTC-eligible via the PTS functions DAMP or GWIZ, or Deposit Automation on PBS. You can automate this process by taking in the ELISC or Data Delivery Service Files
- Generate a bar-coded deposit ticket via the PBS function Deposit Automation and complete all required hard-copy forms as outlined in each product section.
- Make sure the registered holder has endorsed the certificate or stock/bond power.
- Guarantee the security holder's signature (s) with a signature guarantee medallion stamp.
- Affix an additional medallion stamp to the certificate if:
 1. The endorsement differs from the registration on the certificate face
 2. The number of shares is changed
 3. Any information on the back of the certificate or stock power is erased or crossed out.
- Affix a medallion guarantee if the endorsement differs from the registration on the face of the certificate.
- There is a maximum of 10 certificates per deposit submitted via the DAMP function, and 20 if the deposit is entered on Record Type 20 on the CF2DEP file, which will protect you from having an agent reject your entire deposit.
- Do not combine the following types of certificates:
 1. ADRs with different depositaries
 2. Common and preferred shares
 3. Foreign and domestic shares

4. Different securities (for example, General Motors [GM] stock and General Electric [GE] stock)
 5. Class A and Class B stocks
 6. Bearer and registered bonds.
- Make sure that the total number of shares you send agrees with the number of shares on the DAM deposit ticket.
 - Write CUSIP numbers on all attached paperwork, which will help the Deposits staff if paperwork becomes loose.
 - Make sure the stock/bond power contains all applicable transfer requirements.
 - Affix a Release Power of Attorney Stamp when the power of attorney line on the certificate or the stock/bond power is filled in.
 - Make sure that the endorsements of all registered holders listed on the face of the certificate appear on multiple registration issues such as:
 1. Joint tenants (JT Ten)
 2. Tenant by the entirety
 3. Community property
 4. Tenants-in-common
 5. All other multiple registrations.
 - Segregate securities that are subject to foreign ownership restrictions and owned by a non-U. S. citizen into Segregation Account 100. Use the PTS function SEG or the PBS function Segregation Release.

Frequently Used Forms

The following table describes the hard-copy forms you will frequently use when making deposits:

Form	Necessary Information
Stock/Bond Power	<ul style="list-style-type: none"> • Name of registered holder • Assignment and taxpayer ID • Share quantity • Class of security • Security description • Certificate number • Power of attorney appointment (must be released if completed) • Signature of registered holder (must be exactly as the holder's name appears on the certificate) • Medallion stamp • Any other applicable transfer requirements
Assignment to Cede & Co. (back of certificate)	<ul style="list-style-type: none"> • Tax identification of assignee • Cede & Co. , Box 20, Bowling Green Station, New York, NY 10274 • Power of attorney appointment (must be released if completed) • Date • Authorized signature

Form	Necessary Information
DAM Deposit Ticket	<ul style="list-style-type: none"> • Participant number • Number of shares • CUSIP number • Type of deposit <p>For more information, refer to DAMP.</p>
Indemnification for Losses Related to Certificates Deposited to Cover a Short Position (#10163)	<ul style="list-style-type: none"> • Date. • Participant name and number. • Contact name and phone number. • Number of shares. • CUSIP number. • Registration and certificate number of securities. • Authorized officer's manual signature. DTC requires a letter of indemnity for deposits of non-transferable securities to cover short positions. Use the PTS function GWIZ to determine whether the securities you wish to deposit are non-transferable, a status indicated by transfer agent numbers 2400 and 6767. Check your short position at DTC via the PTS function NPOS or Security Position on PBS. You can obtain this form from DTC's Forms Distribution Department. Without it, the deposit will be rejected and a rejection fee will be charged.

Imaging Fax and E-mail System

You can request that imaged copies of your deposits be sent to up to six recipients via the Imaging Fax and E-mail System, which you can access from the following functions:

- DAMP / Deposit Automation for regular, bearer/nontransferable, and reorg deposits
- BDSI / Branch Inquiry for branch deposits
- RDSP / Restricted Deposit Service - Participant for restricted deposits
- STDI / Deposit Inquiry for deposits still in transfer as of the close of business the previous business day
- STSL / Securities Transfer legal Deposits for legal deposits.

Additional Information

- You can obtain record date information about municipal issues via the PTS function DIVA or PBS function Dividend and Income – Dividend Announcement Inquiry.
- You can obtain record date information about corporate issues for today's date and the two business days following via the PTS function BOOK and PBS function Transfer Books Closing.
- To view your Deposit Transfer Delay Report, use the PTS function STDI and PBS function Deposit Inquiry.

For other ways to monitor the transfer status of a deposit, refer to Tracking Deposits.

Custody Deposits

About the Product

Regular Custody Services include deposits of securities that are eligible or, in some cases, ineligible for all of DTC's services.

How the Product Works

First, you prepare your physical certificates; then using our PTS online system (CUST) or Custody Services on PBS, you enter your custody information. You can then send the certificates to DTC.

Once DTC has fully examined your deposit, the physical certificates are placed in our Class A vault and unique reference numbers are assigned.

You are notified immediately if any errors, omissions, or ineligible certificates are found in your deposit.

Once your deposit is accepted and recorded, you can withdraw and transfer securities easily, issuing your instructions via the PTS function CUST or PBS function Custody Services.

Deposits

DTC fully examines deposits, reviewing the securities for negotiability as well as ensuring the accuracy of the data you transmit in your deposit expectancy file. DTC also:

- Performs 100 percent Securities Information Center (SIC) verification
- Calls the transfer agent on all SIC hits
- Identifies and creates reorg deposits when applicable
- Makes ineligible issues eligible for Custody Service.

You can deposit securities or documents into custody using:

- Participant Terminal System (PTS) functions
- Participant Browser System (PBS) functions
- Computer-to-Computer Facilities (CCF) file transmission
- Mainframe Dual Host (MDH)

As a safekeeping service for your deposited securities DTC provides:

- Security for your assets in a Class A vault. DTC's vault and certificate-handling practices ensure tight security and accurate processing. Inventories are segregated in various locations, sometimes referred to as "boxes". You can move certificates from one box to another to reflect changes in the status of the securities.
- Assignment of a unique reference identification number to all deposits. Each certificate received into custody is identified by your customer account number. You can update the customer's account number on certificates globally or individually.
- Continuous random audit checks by internal auditors to ensure that all Securities and Exchange Commission (SEC) guidelines are met. Your auditors or a custodial customer may occasionally require access to your inventory. Given 24 hours' notice, DTC will provide a secure room under camera surveillance where securities can be examined.

- Availability of detailed information on every certificate, including certificate number, registration, negotiability status, and restricted indicator and access to images of your certificates or documents through CUST on PTS or Custody Services on PBS.

Custody Reject and Hold

Certificates sent for deposit to your firm's general free account that do not meet all the requirements for regular DTC deposits because of missing documents, or certificates being in firm name, can, on your instruction, be held in DTC's Custody vault instead of being returned to you. The reject is reflected on your daily Participant statement.

After processing your Custody Deposit, DTC's Deposits Department will forward the unit of work to the Custody Vault for Safekeeping and further processing.

Rejected Deposits

When a deposit is rejected by DTC or a transfer agent, DTC automatically debits your account in whatever amount it was credited and returns the certificate and transfer documents to you.

DTC will notify you of a rejected deposit by sending

- Deposit Rejection Notices or Legal Deposit Rejection Notices accompanying deposit materials
- Participant Daily Activity Statements
- ATAM function on PTS; Activity Research Tool on PBS
- REJI function on PTS; Billable Reject Inquiry on PBS

Note: All deposit activity can and should be verified by these notices, which itemize activity for each CUSIP number that was updated on an activity date and summarize the opening and closing positions for that activity date.

- Unsolicited Message System (UMS) tickets on your PTS printer (optional service)

Note: A UMS ticket prints on your PTS printer on the day of a rejection only if your firm has made arrangements through your DTC relationship manager.

After you receive a reject notification from DTC, you should exhaust all internal and external sources at your disposal to research the activity details. Refer to Tracking Deposits for a list of tracking functions commonly used with deposits; you can inquire about other available PTS functions via PTSI. After you have researched the rejection, either

- Resubmit the corrected deposit, or
- Notify DTC of an activity difference via the PBS function WINS.

Warning! Under DTC's Rules and Procedures, the participant is responsible for verifying the accuracy of the Participant Daily Activity Statement. Any discrepancy in the statement must be reported to DTC's Reconciliation Department as soon as possible.

Short Positions

If this debit drives your account into a negative balance (short position), your settlement account at DTC will be debited by 130 percent of the current market value of the short position until the rejection is resolved. For more information about short positions, call DTC's Customer Support

Center at (888) 382-2721. To check your short position, use the PTS function POS or PBS function Position Inquiry by Security.

Use the PTS function PART or PBS function Participant Activity Research Tool to research a journal history of adjustments that affected your positions. You can view the information by CUSIP number or date of and reason for the adjustment.

Billable Reject Inquiries

DTC assesses fees for rejected deposits. Use the PTS function REJI or PBS function Billable Reject Inquiry to view detailed information about deposits, withdrawals-by-transfer (WT), and certificates on demand (COD) that were rejected by either DTC (front-end rejection) or the transfer agent (back-end rejection).

Municipal Bearer Bond Deposit Rejections

DTC will always call you before correcting deposits that cannot be accepted as submitted (for example, CUSIP numbers, or quantities on large deposits). If DTC is able to correct the error, you will receive a Municipal Bearer Bond Deposit Rejection Adjustment Notice from DTC's Municipal Central Delivery Department the next business day indicating that the adjustment was made.

When a deposit is unacceptable and the reason for rejection cannot be corrected, DTC will debit your account for the full amount of the deposit. For a partial deposit rejection, your account will be debited for the amount credited and the credit for the partial deposit will be accepted. You will receive a Municipal Bearer Bond Deposit Rejection Adjustment Notice, copy#2 of the Municipal Bearer Bond (MBB) Deposit form stamped REJECTED, and the rejected bonds, if available, from DTC Central Delivery Department window#4.

DTC will call you if a rejection is greater than \$50,000.

Reorg Deposits

About the Product

The Reorg Deposits product allows participants to deposit any DTC-eligible securities undergoing or having undergone mandatory reorganization, as well as full calls and partial calls. After your deposit is entered into the Deposit Automation Management (DAM) system via the PTS function DAMP or PBS function Deposit Automation, DTC credits the shares to your reorganization (RRG) account and submits the securities to the paying agent.

Mandatory reorganizations generally involve an exchange of securities for one or more of the following entitlements:

- Stock
- Cash
- Stock/cash combination
- Cash in lieu of fractional shares
- Past stock or cash dividends.

About the Product

Deposits Made After the Effective Date

How the Product Works

Make reorg deposits into the Deposit Automated Management (DAM) system via the PTS function DAMP, the Deposit Automation function on PBS (from which you print all DAMP deposit tickets), and the CF2DEP file or the BDS file. Prepare the physical certificates for shipment by following the procedures described in Preparing Certificates for Transfer.

The following reorganization activities are eligible for Reorg Deposits and Mandatory Reorg Deposits.

Associated PTS / PBS Functions

The following table shows PTS/PBS functions you can use to make reorg deposits at DTC and track their status:

Use This Function	To
ART / Activity Research Tool	View RRG account activity information.
DAMP / Deposit Automation	Enter your deposit into the Deposit Automated Management (DAM) system and create the DAM deposit tickets you send with your shipment to DTC.
POS / Position Inquiry	View RRG account position information.
RIPS / Reorganization Summary	View entitlement and allocation information.
SDAR / Reorg/Redemption/Dividend Allocation	Monitor cash allocations.

Restricted Deposit Service

About the Product

Benefits of the Product

Using RDS offers you the following benefits:

- Outsourcing of labor-intensive handling, shipping, and follow-up associated with restricted transfer processing

- Contracted out-transfer cycle
- Early credit to your general free account on sold shares through the FAST system
- Ability to outsource all processing of physical securities when used in conjunction with Regular Custody Services and the Branch Deposit Service
- A separate Seg account for deposits that initially fail DTC's examination for negotiability and require additional documents, such as a stock power
- Ability to view comments about your deposit and transfer status through the PTS function RDSP
- Ability to request that imaged copies of a deposit be sent to up to six recipients via the Imaging Fax and E-mail System (IFE), which is accessed through RDSP on PTS and Restricted Deposit Service – Participant on PBS.
- Participants can also use the Drop Box imaging service and receive copies of all of their DTC deposits.

How the Product Works

Via the RDSP function on PTS or the Restricted Deposit Service – Participant function on PBS, enter the data applicable to your deposit. An RDS ticket prints on your printer.

Once you've entered the data, send this ticket to DTC with the physical securities and other documentation. If the shares are on file at DTC, they are processed and the deposit submitted to the transfer agent.

Making a Restricted Deposit

1. Use RDSP or Restricted Deposit Service – Participant function to enter information such as CUSIP number, total quantity, quantity sold, and registration instructions about your restricted deposits. DTC receives the information and an RDS ticket generates automatically on your printer.
2. Custody Service Participants can also route units of work from the Custody Vault to the RDS processing area
3. Send the physical securities, the RDS ticket, Opinion of Counsel letter authorizing removal of the restriction, and any other necessary documentation to the RDS unit. If the shares are on file at DTC, the Custody department will deliver them to the RDS unit for processing. The RDS unit then submits the deposit to the transfer agent.

Processing Restricted Deposits

When the RDS unit receives the restricted deposit, the securities are imaged and examined for CUSIP number, quantity, and negotiability. The unit ensures that the securities have been properly endorsed, the correct stamps have been affixed, and all manifested documents are received. If a deposit is deemed non-negotiable, DTC will notify you of the missing documents. DTC will hold the deposit for you at your request for a maximum of 5 business days to allow you extra time to send the necessary documents.

Restricted Transfers

Restricted deposits and their transfer instructions are hand delivered or sent by Priority Overnight service to the transfer agent. When the transfer agent receives the transfer, DTC staff begins following up with the agent on the status of the item.

RDS transfers can be processed as rush or non-rush items. For rush items, agent follow-up begins on the second business day following the deposit. For non-rush items deposited with the Opinion of

Counsel letter, agent follow-up begins on the fourth business day following the deposit. For items deposited without the Opinion of Counsel letter, follow-ups begin on the seventh business day following the deposit. The status of the open transfer and the name of the DTC contact are posted on both RDSP and Restricted Deposit Service – Participant and available for participant review. The status includes a history of the transfer agent's responses, including dates and appropriate names. The role of the transfer agent and its responsibility for the transfer of restricted securities remain unchanged.

You can also submit amended instruction requests through either RDSP or Restricted Deposit Service - Participant if, for example, you have received authorization to increase the quantity of shares sold. If the securities have not been transferred, DTC contacts the transfer agent on your behalf and will modify the instructions. Additionally, delivery instructions can be amended.

If You Are a Custody Participant

You can access your Custody account through both RDSP (via option 7 [Custody Withdrawal] on the Main Menu), Restricted Deposits Service – Participant, or by requesting a Custody withdrawal with delivery instructions to the RDS unit. All restricted functions are available to you, including the ability to either return unsold shares to Custody or have them mailed directly to the customer.

RDS Accounting

When DTC accepts a deposit, your segregated account is credited as follows:

- Deposits that are deemed non-negotiable by DTC will be held in the 22-250 account (PERD) until either the missing documents are deposited or other instructions are provided.
- Deposits accepted to transfer will be posted to two different accounts:
 1. Securities transferred to Cede & Co. (full shares, sold portions of partial sales, or legend removals) are credited to the 22-251 account.
 2. Customer transfers (unsold portions of partial sales, gifts, breakdowns, or custody only options) are credited to the 22-252 account.
- Approximately 80 percent of RDS Deposits received eligible issues are DTC FAST. Upon transfer they are added to DTC's FAST balance by the agent. About 30 minutes later, the 22-251 position will move to the 10 (free) account, allowing you access to the shares. All share positions in the 22-252 account are reduced when received from the agent. The remaining 20 percent of eligible issues that are non-FAST issues must be returned from the agent before DTC reduces the 22-251 account to the free account, making the shares available.

Associated PTS / PBS Functions

The following PTS / PBS functions are used in association with the Restricted Deposit Service:

Use This Function	To
ART / Activity Research Tool	View details of transactions processed by DTC and historical information on transactions.
BDSI / Branch Deposit Inquiry	View branch deposit information.

Use This Function	To
CUST / Custody Services	Process custody deposits, withdrawals, and transfers; inquire about positions; and request images for custody items.
GWIZ / CUSIP Search	View information about a specific security.
RDSP / Restricted Deposit Service - Participant	Process and view information on restricted deposits and transfers.
SEEK	Obtain security information.

Security Eligibility

DTC-Eligible Securities

If the security you wish to deposit has a CUSIP number, as do all securities or families of securities issued after 1970, it is probably DTC-eligible. If the security is not DTC-eligible, a message to that effect will appear on your PTS/PBS screen when you enter the CUSIP number when making a DAM deposit. You will receive a front end reject message for ineligible securities deposited via the CF2DEP file or the BDS file.

You can also check DTC eligibility by reviewing any of the following sources:

- DTC Important Notices, which you can access on our Web site, <https://login.dtcc.com/dtccorg>
- The PTS function GWIZ / PBS function Security Detail.
- The Data Delivery Service File
- The ELISC-ELISCD file

Eligible Securities Status

Corporate actions or temporary service problems with a transfer agent may affect deposits of DTC-eligible securities. During these periods, DTC places securities under one of the status categories in the table and descriptions that follow. You can use the PTS functions GWIZ/PBS Function Security Detail and RIPS to determine the reasons and deadlines for these events.

Status	Description	What to do
Chill	Trade activity suspended for activities shown on GWIZ, usually deposits, withdrawal-by-transfer (WT), or certificates on demand (COD). Issues are normally chilled at DTC: <ul style="list-style-type: none"> • Before maturity—6 weeks for both corporate and municipal issues • When issues do not have 	Do not deposit when the GWIZ or Security Detail Status field displays 'DEP. '

Status	Description	What to do
	an active transfer agent.	
Global Lock	All activity (physical and book entry) is temporarily suspended two days before the maturity of a debenture.	Do not deposit when the GWIZ or Security Detail Status field displays 'DEP. '
Interim	Interim Accounting is in effect. Refer to the Dividend service guide for more information.	Deposit the item, although you missed the record/cutoff date for dividend protection.
FAST	Fast Automated Securities Transfer	No effect on deposits.
Deleted	CUSIP number deleted and a new one assigned, most likely because of corporate reorganization.	Do not deposit the security using the old CUSIP number; instead use the new CUSIP number and security description found on the New and Contra CUSIP screen of RIPS.

Ineligible Securities

Do not deposit:

- Called bonds – deposit only as Reorg Deposits
- Securities subject to exchange – deposit only as a Reorg Deposit
- Securities reported lost or stolen.

Do not deposit securities on the day before their DTC-ineligible effective date, except for Custody Service Deposits.

Special Eligibility Conditions

The following conditions allow for eligibility under special circumstances.

Defaulted Municipal Bonds

Important Notices lists defaulted muni bearer bonds made eligible at DTC, along with the date of default and the number of the coupon that was payable at the time of the default. When depositing the bonds, leave the last coupon payable at the time to default attached to the certificate, as well as all subsequent coupons.

Municipal Issues without CUSIP Numbers

DTC accepts eligibility requests for both bearer and registered bonds and notes that are outstanding but do not have assigned CUSIP numbers. To request eligibility, submit photocopies of the certificate (front and back) and the legal opinion to:

*Depository Trust & Clearing Corporation
Municipal Implementation Area
55 Water Street
New York, NY 10041*

Be sure to indicate on the DAM deposit ticket that the deposited securities are:

- Covering a short position.

Corporate Bearer Bonds

A registered corporate bond may be DTC-eligible, although the bearer form of the security may not be. To determine eligibility, check the CUSIP number of the bond you intend to deposit on GWIZ on PTS or Security Detail on PBS.

Corporate Multiple Purpose/Series

Each deposit of multiple purpose/series issues must consist solely of securities of the same purpose or series.

Church Bonds

Before depositing, contact DTC's Underwriting Service Hotline at 1-866-724-4402 to request an Older Issue Eligibility Form.

SBA Guaranteed Loan Pool Certificate

To deposit this type of security, you must fill out SBA Form 1088 (Form of Detached Assignment), which can be obtained from: http://www.colsonservices.com/main/forms/form1088_062402.PDF

Affix a medallion stamp or signature guarantee to each form you submit.

Legal Considerations

The types of issues that follow all have various important legal considerations to keep in mind when making a deposit.

Ownership Certifications

Certain DTC-eligible issues are subject to restrictions regarding ownership of securities by designated types of persons. DTC requires each participant to file special certifications relating to these securities before the Participant may deposit the securities or otherwise maintain them in its account. Various certifications apply to different categories of such securities. Each such category and the nature of the certification applying to the category is described in this Section. The securities issues in each category are identified on DTCC's public web site at http://www.dtcc.com/customer/directories/dtc/dtc_reference.php.

Maritime Issues

Issues of securities identified by DTC as maritime issues are subject to certain restrictions as to ownership by foreign nationals. These securities are identified on the Maritime Issues List, set forth found on DTCC's public web site at http://www.dtcc.com/customer/directories/dtc/dtc_reference.php. All participants must have on file with DTC an executed Certificate as to Citizenship for Shipping Companies. These Certificates as to Citizenship filed with DTC by participants apply to holdings in the issues listed on the Maritime Issues List.

Communications Companies

Issues of securities identified by DTC as communications issues are also subject to certain restrictions as to ownership by foreign nationals. These securities are identified on the Communications Issues List on DTCC's public web site at http://www.dtcc.com/customer/directories/dtc/dtc_reference.php.

Specialized Ownership Issues

DTC will inform participants of each issue with a specialized ownership restriction made eligible by Important Notice. You can view Important Notices on our Web site, http://www.dtcc.com/customer/directories/dtc/dtc_reference.php.

Note: Prior to June 20, 1988, when the Segregation Account#100 program first became available, foreign-owned securities of maritime, communication and specialized ownership issues could not be deposited with DTC at all. Since that time, the effect of the Certificate as to Citizenship is to prohibit participants from maintaining foreign-owned securities of these issues in their general accounts; where the issue is eligible for the Segregation Account#100 program, however, participants may maintain foreign-owned securities of that issue in their Seg-100 accounts. The Lists on DTCC's public web site at http://www.dtcc.com/customer/directories/dtc/dtc_reference.php identify the issues which are and are not eligible for the Segregation Account#100 program. The process for segregating securities is described in Section P, SUB-ACCOUNTING, of this Manual and in Sections 3.07 and 3.08 of the PTS Manual.

Limited Partnerships/Oil and Gas Partnerships

Certain securities issues eligible for DTC represent interests in limited partnerships. These securities are identified on the Limited Partnership Issues List, on DTCC's public web site at http://www.dtcc.com/customer/directories/dtc/dtc_reference.php, which constitutes Exhibit A to the Limited Partnership Certificate. All participants must provide to DTC certain representations and agreements, as set forth in the Limited Partnership Certificate. These Limited Partnership Certificates filed with DTC by participants apply to holdings in the issues listed on the Limited Partnership Issues List. By filing a Limited Partnership Certificate each participant has undertaken a continuing responsibility to ensure that it can make and comply with each of the representations and agreements set forth in the Limited Partnership Certificate with respect to each issue identified on the List which it may hold in its DTC account.

Certain of these securities have been issued by entities engaged in activities causing them to be subject to the ownership and control limitations under the Mineral Leasing Act of 1920, as amended. These securities are identified on the Oil and Gas Issues List, on DTCC's public web site at http://www.dtcc.com/customer/directories/dtc/dtc_reference.php, which constitutes Exhibit A to the Oil and Gas-Eligible Citizen Certificate. All participants must have on file with DTC an executed Oil and Gas-Eligible Citizen Certificate. These Oil and Gas-Eligible Citizen Certificates, filed with DTC by participants, apply to holdings in the issues listed on the Oil and Gas Issues List.

By filing an Oil and Gas-Eligible Citizen Certificate each participant has undertaken a continuing responsibility to ensure (1) that any positions in its account in any of the securities listed on the Oil and Gas Issues List are beneficially owned by an Eligible Citizen for purposes of the requirements under the Mineral Leasing Act, and (2) that it can make and comply with each of the other representations and agreements set forth in the Oil and Gas-Eligible Citizen Certificate with respect to each issue identified on the List that it may hold in its DTC account.

Tracking Deposits

DTC provides you with reports and PTS inquiry functions to research deposit and reject activity. The following charts list Deposits reports and the various ways you can use to get necessary research material.

For this report	Use	Alternatively available via
Deposit Update	POS, PART Position Inquiry by Security, Participant Activity Research Tool	CCF, PTS message
Legal Deposit Update	STSL, PART Securities Transfer Legal Deposit, Participant Activity Research Tool	CCF, PTS message
Pending Full Service Legal Deposits	PELD, Pending Legal Deposits	None
Deposit Transfer Delay Report	STDI, Deposit Inquiry	Hardcopy
Deposit Reject	REJI, PART, Billable Reject Inquiry, Participant Activity Research Tool	CCF, PTS message, hard-copy
Legal Deposit Reject	STSL, PART, Securities Transfer Legal Deposit, Participant Activity Research Tool	CCF, PTS message, hard-copy
Journal Listing Reject	PART, Participant Activity Research Tool	CCF
Participant Adjustment Report	PART, Participant Activity Research Tool	CCF, PTS message
Branch Deposit End-of-Day File	None	CCF
Branch Deposit Status Inquiry	BDSI, Branch Deposit Inquiry	None
Branch Deposit Messages	None	Message delivery (mailbox)
Deposit Automation (DA) Inquiry	DAMP, Deposit Automation	None

Imaging Fax and E-mail System

You can request that imaged copies of your deposits be sent to up to six recipients via the Imaging Fax and E-mail System, which you can access from the following functions:

- DAMP / Deposit Automation for regular, bearer/nontransferable, and reorg deposits
- BDSI / Branch Deposit Inquiry for branch deposits
- RDSP / Restricted Deposit Service – Participant for restricted deposits
- STDI / Deposit Inquiry for deposits still in transfer as of the close of business the previous business day
- STSL / Securities Transfer Legal Deposit for legal deposits.