

*Office of
Foreign
Assets
Control
function for
Participants
(OFAP)
July 2008*

Created: 2008



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About OFAP

In compliance with the regulatory requirements set forth in the applicable provisions of the Bank Secrecy Act, US PATRIOT Act and OFAC regulations, DTCC has implemented a Bank Secrecy Act, Anti-Money Laundering and Office of Foreign Assets (OFAC) Compliance Program. This program compliments and strengthens existing DTCC practices with regard to anti-money laundering and OFAC, and demonstrates DTCC's strong commitment to comply with all applicable laws and regulations designed to combat anti-money laundering and illegal activity.

On a regularly scheduled basis, data extracts from various DTC files are run through a filtering system to identify whether any apparent individuals or entities appear on the various OFAC lists. The Office of Corporate and Regulatory Compliance personnel reviews the results of these screenings to determine whether the data matches an individual or entity on one of the OFAC lists.

DTC uses a vendor software product that is designed to filter payment transactions and data files from multiple applications for potential violations of OFAC sanctions and embargoes. This software also contains a database of blocked and specially designated individuals or entities that are sanctioned under the laws administered by OFAC, enhanced with information from various government agencies, such as the Federal Bureau of Investigation (FBI) and other reference sources. The product searches the federal bulletin boards several times daily for changes to the US Treasury lists. When changes occur it updates the database and distributes the updated files, usually within one day of the changes.

DTC performs a daily scan of all registrations for custody certificates held in its Vault against the OFAC Specially Designated Nationals and Blocked Persons list. After a first review of the scan results to identify and remove "false positives", DTC presents the potential matches ("pending review" items) items to participants via the OFAP PTS function at approximately 11:00 a.m. eastern standard time each day.

DTC also screens all transfer instructions throughout the day as they are submitted by participants against the OFAC list. These transfer instructions include withdrawals-by-transfer ("WTs"), rush WTs, custody WTs, rush custody WTs, custody deposits-into-transfer, restricted deposit service ("RDS") transfers and rush RDS transfers. After a first review of the scan results to identify and remove "false positives", DTC presents the "pending review" items to participants via the PTS function OFAP at different times throughout the day depending on the systemic and operational cutoff times for the various services.

Participants are required to review their "pending review" items via the OFAP function (comparing the custody certificate registration or transfer instruction to the OFAC text information) and respond with factual information sufficient for DTC to conclude, in its discretion, that the name(s) are or are not the persons or entities in the OFAC text. For example, if the name is that of an individual, the participant should provide information about the individual sufficient to negate or confirm the identifying information that appears in the OFAC text, such as address, citizenship/residency, date of birth, passport number/country of issuance, etc. If the name is that of an organization, the participant should provide information sufficient

to negate or confirm the identifying information in the OFAC text, such as legal entity name, address, country of incorporation, etc.

Participants use the OFAP function to review and respond, with comments, to potential matches identified by DTC during its OFAC screening of securities transfer instructions received from participants, custody certificates held in its Vault, deposits received from non-US participants and other processes where transactions are screened. The potential match items are classified as “pending review” items in the OFAP function.

Procedures

Viewing and Adding Comments to Custody Registration Items Awaiting Comments

Use this procedure when you want to view or enter comments for new custody registrations "pending review" (PR) or "true hit" (TH) status where you have not made any comments on any certificate in the deposit that has been flagged as a possible OFAC violation.

- 1 Type **S** in the **Select Product** field next to **Custody Registration**.

The Review Current Scan Results screen appears.

- 2 Type **1** in the **Option** field.

- 3 Press ENTER.

The Scan Results *CID* Summary Custody *Registration * Scan screen appears displaying a list of deposits that meet the criteria you selected.

- 4 Type **S** in the **SEL** field to the left of a selected item and press **Enter**.

The Scan Results - Certificate Summary Custody *Registration * Scan screen appears displaying information for certificates in Pending Review (PR) or True Hit (TH) status.

Note: An asterisk (*) next to a status is an indication that comments have already been added.

- 5 Type **S** in the **SEL** field to the left of a selected item. Press **ENTER**.

The Scan Results - Certificate Detail screen appears displaying certificate details.

Note: There could be multiple sanctioned entities identified for each potential match item. The user should pay attention to the number of pages to review at the top right hand corner of the screen. In order to view the multiple sanctioned entities, the user will have to press the **PF11** key to scroll forward. It is possible that each sanctioned entity, may have additional profile information (e.g. aliases, alternate addresses, and alternate DOB) that can be displayed by pressing the **PF9** key, to view the additional details. A message at the top of the screen will indicate if there is additional information to view.

- 6 Press **PF3** to access the Assign Comments screen.

- 7 In the **Enter Comment** field on the Assign Comments screen, type your comments.

Note: Comments should provide factual information, enough for DTC to conclude, in its discretion that the registered holder is or is not the person or entity in the OFAC text. For example, if the registered holder identified on the certificate is an individual, the participant should provide information about the individual sufficient to negate or confirm the identifying information that appears in the OFAC text, such as, date of birth, passport number/country of issuance, address, citizenship/residency, etc. If the registered holder is an organization, the participant should provide information sufficient to negate or confirm the identifying information in the OFAC text, such as, legal entity name, address, country of incorporation, etc. The following are examples of certificate registrations, the related OFAC text, and the language and format required by DTC:

Example 1 (*Individual*)

- Certificate Registration

John Doe

- OFAC Text

Doe, John (country of residence or citizenship), passport # 98765432, DOB x/x/1958

- OFAP Comment

Our records indicate that John Doe is not a valid match to the OFAC text because the registered holder's date of birth is x/x/1964. Passport issued by (country) number is 12345678.

Example 2 (*Organization*)

- Certificate Registration

ALA & Co

- OFAC Text

Armed Liberation Army, Alias: ALA, (country of affiliation or incorporation)

- OFAP Comment

Our records indicate that ALA & Co. is not a valid match to the OFAC text because the registered holder's legal entity name is American Legal Associates & Company and it is incorporated in the U.S.

- 8 In the **Assign Comment to Entire Deposit** field, type **Y** to assign the comment to all the certificates in the deposit that meet the criteria, or **N** to assign the comment only to the selected certificate
- 9 Press **PF1** to update.

Note: You can press **PF2** to view previously added comments.

Viewing and Adding Comments to Custody Registration Items With Previously Added Comments

Use this procedure when you want to view and comment on a custody registration item in pending review (PR) or true hit (TH) status, where you have previously commented on at least one certificate in the deposit.

1 Type **S** in the **Select Product** field next to Custody Registration on the Office of Foreign Assets Control Main Menu.

2 Type **2** in the **Option** field and press **ENTER**.

The Scan Results *CID* Summary *Custody Registration* Scan screen appears displaying a list of items awaiting a response (pending review or true hits) that already have comments assigned to them.

3 Type **S** in the **SEL** field to the left of a selected item.

The Scan Results - Certificate Summary *Custody Registration* Scan screen appears displaying information for certificates in pending review (PR) or true hit (TH) status.

4 Type **S** in the **S** field to the left of a selected item.

The Scan Results - Certificate Detail screen appears displaying certificate details

Note: There could be multiple sanctioned entities identified for each potential match item. The user should pay attention to the number of pages to review at the top right hand corner of the screen. In order to view the multiple sanctioned entities, the user will have to press the **PF11** key to scroll forward. It is possible that each sanctioned entity, may have additional profile information (e.g. aliases, alternate addresses, and alternate DOB) that can be displayed by pressing the **PF9** key, to view the additional details. A message at the top of the screen will indicate if there is additional information to view.

5 Press **PF2** to view the comments you previously entered for the certificate.

6 Press **PF3** to access the Assign Comments screen where you can enter additional comments.

7 In the **Enter Comment** field on the Assign Comments screen, type your comments.

Note: Comments should provide factual information, enough for DTC to conclude, in its discretion that the registered holder is or is not the person or entity in the OFAC text. For example, if the registered holder identified on the certificate is an individual, the participant should provide information about the individual sufficient to negate or confirm the identifying information that appears in the OFGAC text, such as, date of birth, passport number/country of issuance, address, citizenship/residency, etc. If the registered holder is an organization, the participant should provide information sufficient to negate or confirm the identifying information in the OFAC text, such as, legal entity name, address, country of incorporation, etc. The following are examples of certificate registrations, the related OFAC text, and the language and format required by DTC:

Example 1 (*Individual*)

- Certificate Registration

John Doe

- OFAC Text

Doe, John (country of residence or citizenship), passport # 98765432, DOB x/x/1958

- OFAP Comment

Our records indicate that John Doe is not a valid match to the OFAC text because the registered holder's date of birth is x/x/1964. Passport issued by (country) number is 12345678.

Example 2 (*Organization*)

- Certificate Registration

ALA & Co

- OFAC Text

Armed Liberation Army, Alias: ALA, (country of affiliation or incorporation)

- OFAP Comment

Our records indicate that ALA & Co. is not a valid match to the OFAC text because the registered holder's legal entity name is American Legal Associates & Company and it is incorporated in the U.S.

8 In the **Assign Comment to Entire Deposit** field, type **Y** to assign the comment to all the certificates in the deposit that meet the criteria, or **N** to assign the comment only to the selected certificate.

9 Press **PF1** to update.

Viewing and Adding Comments to New Transfer Items Awaiting Comments Scanning Individual Items

Use this procedure when you want to view or enter comments to transfer items in "pending review" (PR) or "true hit" (TH) status where you have not made any comments on any transfer that has been flagged as a possible OFAC violation.

1 Type **X** next to one of the following:

- WT
- Rush WT
- Custody WT/Rush WT
- Custody Deposits Into Transfer
- RDS Transfer

2 Type **1** in the **Option** field on the Office of Foreign Assets Control Main Menu and press **Enter**.

3 Type **S** in the **SEL** field to the left of a selected item and press **Enter**.

Note: An asterisk (*) next to a status is an indication that comments have already been added.

If there is only one transfer instruction, the Scan Results - Registration Details screen appears displaying registration information for transfer instructions in Pending Review (PR) or True Hit (TH) status.

If there are multiple transfer instructions, the Scan Results - Registration Breakdown screen appears displaying a line item for each registration.

4 Type **S** in the **SEL** field to the left of a selected line item and press **ENTER** to access the Scan Results - Registration Details screen.

The Scan Results - Registration Summary screen for the product type you selected appears displaying a list of transactions awaiting comments.

Note: There could be multiple sanctioned entities identified for each potential match item. The user should pay attention to the number of pages to review at the top right hand corner of the screen. In order to view the multiple sanctioned entities, the user will have to press the **PF11** key to scroll forward. It is possible that each sanctioned entity, may have additional profile information (e.g. aliases, alternate addresses, and alternate DOB) that can be displayed by pressing the **PF9** key, to view the additional details. A message at the top of the screen will indicate if there is additional information to view.

5 Press **PF3** to access the Assign Comments screen.

6 In the **Enter Comment** field on the Assign Comments screen, type your comments.

Note: Comments should provide factual information, enough for DTC to conclude, in its discretion that the person or entity is or is not the person or entity that appears in the OFAC text. For example, if the transfer instruction is for an individual, the participant should provide information about the individual sufficient to negate or confirm the identifying information that appears in the OFAC text, such as, date of birth, passport number/country of issuance, address, citizenship/residency, etc. If the transfer instruction is for an organization, the participant should provide information sufficient to negate or confirm the identifying information in the OFAC text, such as, legal entity name, address, country of incorporation, etc. The following are examples of transfer instructions, the related OFAC text, and the language and format required by DTC:

Example 1 (*Individual*)

- Transfer Instruction

John Doe
101 Main St.
New York, NY 12345

- OFAC Text

Doe, John (country of residence or citizenship), passport #
98765432, DOB x/x/1958

- OFAP Comment

Our records indicate that John Doe is not a valid match to the
OFAC text because the registered holder's date of birth is
x/x/1964. Passport issued by (country) number is 12345678.

Example 2 (*Organization*)

- Transfer Instruction

ALA & Co.
500 Main St.
New York, NY 12345

- OFAC Text

Armed Liberation Army, Alias: ALA, (country of affiliation or
incorporation)

- OFAP Comment

Our records indicate that ALA & Co. is not a valid match to the OFAC text because the registered holder's legal entity name is American Legal Associates & Company and it is incorporated in the U.S.

7 Press **PF1** to update.

Viewing and Adding Comments to Transfer Items With Previously Added Comments

Use this procedure when you want to view or enter comments to transfer items in "pending review" (PR) or "true hit" (TH) status where you have previously commented on at least one certificate in the transfer.

1 Type **X** next to one of the following:

- WT
- Rush WT
- Custody WT/Rush WT
- Custody Deposits Into Transfer
- RDS Transfer

2 Type **2** in the **Option** field on the Office of Foreign Assets Control Main Menu and press **Enter**.

The Scan Results - Registration Summary screen for the product type you selected appears displaying a list of transactions awaiting comments.

3 Type **S** in the **SEL** field to the left of a selected item and press **Enter**.

Note: An asterisk (*) next to a status is an indication that comments have already been added.

If there is only one transfer instruction, the Scan Results - Registration Details screen appears displaying registration information for transfer instructions in Pending Review (PR) or True Hit (TH) status.

If there are multiple transfer instructions, the Scan Results - Registration Breakdown screen appears displaying a line item for each registration.

4 Type **S** in the **SEL** field to the left of a selected line item and press **ENTER** to access the Scan Results - Registration Details screen.

Note: There could be multiple sanctioned entities identified for each potential match item. The user should pay attention to the number of pages to review at the top right hand corner of the screen. In order to view the multiple sanctioned entities, the user will have to press the **PF11** key to scroll forward. It is possible that each sanctioned entity, may have additional profile information (e.g. aliases, alternate addresses, and alternate DOB) that can be displayed by pressing the **PF9** key, to view the additional details. A message at the top of the screen will indicate if there is additional information to view.

5 Press **PF2** to access the Comments Inquiry screen.

6 Press **PF3** to access the Assign Comments screen.

7 In the **Enter Comment** field on the Assign Comments screen, type your comments.

Note: Comments should provide factual information, enough for DTC to conclude, in its discretion that the person or entity is or is not the person or entity that appears in the OFAC text. For example, if the transfer instruction is for an individual, the participant should provide information about the individual sufficient to negate or confirm the identifying information that appears in the OFAC text, such as, date of birth, passport number/country of issuance, address, citizenship/residency, etc. If the transfer instruction is for an organization, the participant should provide information sufficient to negate or confirm the identifying information in the OFAC text, such as, legal entity name, address, country of incorporation, etc. The following are examples of transfer instructions, the related OFAC text, and the language and format required by DTC:

Example 1 (*Individual*)

- Transfer Instruction

John Doe
101 Main St.
New York, NY 12345

- OFAC Text

Doe, John (country of residence or citizenship), passport #
98765432, DOB x/x/1958

- OFAP Comment

Our records indicate that John Doe is not a valid match to the OFAC text because the registered holder's date of birth is x/x/1964. Passport issued by (country) number is 12345678.

Example 2 (*Organization*)

- Transfer Instruction

ALA & Co.
500 Main St.
New York, NY 12345

- OFAC Text

Armed Liberation Army, Alias: ALA, (country of affiliation or incorporation)

- OFAP Comment

Our records indicate that ALA & Co. is not a valid match to the OFAC text because the registered holder's legal entity name is

American Legal Associates & Company and it is incorporated in the U.S.

8 Press **PF1** to update.

Viewing and Adding Comments for Manually Scanned Items

Use this procedure when you want to view and comment on a manually scanned item in pending review (PR) or true hit (TH) status, or to add comments to items with previously added comments.

- 1 Type **X** in the **Select Product** field next to **Scanned Items Pending Review**.
- 2 Type **1** in the **Option** field to review and comment on new items or, **2** to add new comments to items with previously added comments.
- 3 Press **ENTER**.

The Scan Results – Generic Summary screen appears displaying a list of deposits that meet the criteria you selected.

- 4 Type **S** the **SEL** field to the left of a selected item. Press **ENTER**.

The Scan Results - Generic Detail screen appears displaying details.

Note: There could be multiple sanctioned entities identified for each potential match item. The user should pay attention to the number of pages to review at the top right hand corner of the screen. In order to view the multiple sanctioned entities, the user will have to press the **PF11** key to scroll forward. It is possible that each sanctioned entity, may have additional profile information (e.g. aliases, alternate addresses, and alternate DOB) that can be displayed by pressing the **PF9** key, to view the additional details. A message at the top of the screen will indicate if there is additional information to view.

- 5 Press **PF2** to access the Comments Inquiry screen.
- 6 Press **PF3** to access the Assign Comments screen where you can enter additional comments.
- 7 In the **Enter Comment** field on the Assign Comments screen, type your comments.

Note: Comments should provide factual information, enough for DTC to conclude, in its discretion that the registered holder is or is not the person or entity in the OFAC text. For example, if the registered holder identified on the certificate is an individual, the participant should provide information about the individual sufficient to negate or confirm the identifying information that appears in the OFGAC text, such as, date of birth, passport number/country of issuance, address, citizenship/residency, etc. If the registered holder is an organization, the participant should provide information sufficient to negate or confirm the identifying information in the OFAC text, such as, legal entity name, address, country of incorporation, etc. The following are examples of certificate registrations, the related OFAC text, and the language and format required by DTC:

Example 1 (*Individual*)

- Certificate Registration

John Doe

- OFAC Text

Doe, John (country of residence or citizenship), passport # 98765432, DOB x/x/1958

- OFAP Comment

Our records indicate that John Doe is not a valid match to the OFAC text because the registered holder's date of birth is x/x/1964. Passport issued by (country) number is 12345678.

Example 2 (*Organization*)

- Certificate Registration

ALA & Co

- OFAC Text

Armed Liberation Army, Alias: ALA, (country of affiliation or incorporation)

- OFAP Comment

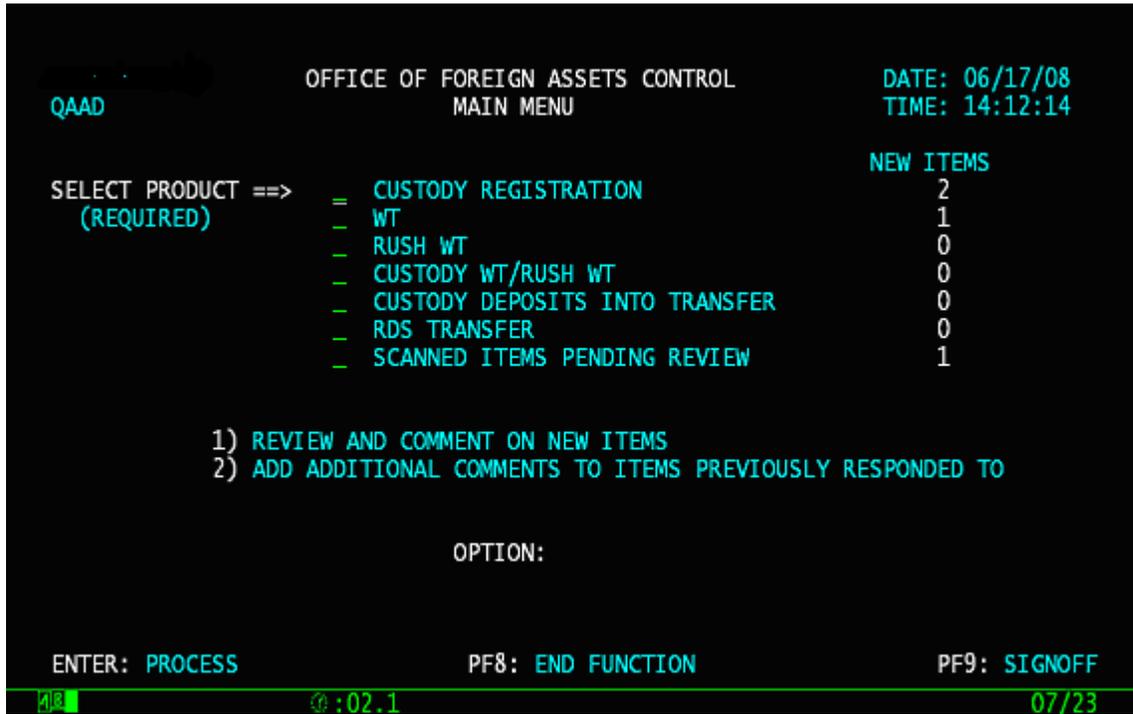
Our records indicate that ALA & Co. is not a valid match to the OFAC text because the registered holder's legal entity name is American Legal Associates & Company and it is incorporated in the U.S.

8 In the **Assign Comment to Entire Deposit** field, type **Y** to assign the comment to all the certificates in the deposit that meet the criteria, or **N** to assign the comment only to the selected certificate.

9 Press **PF1** to update.

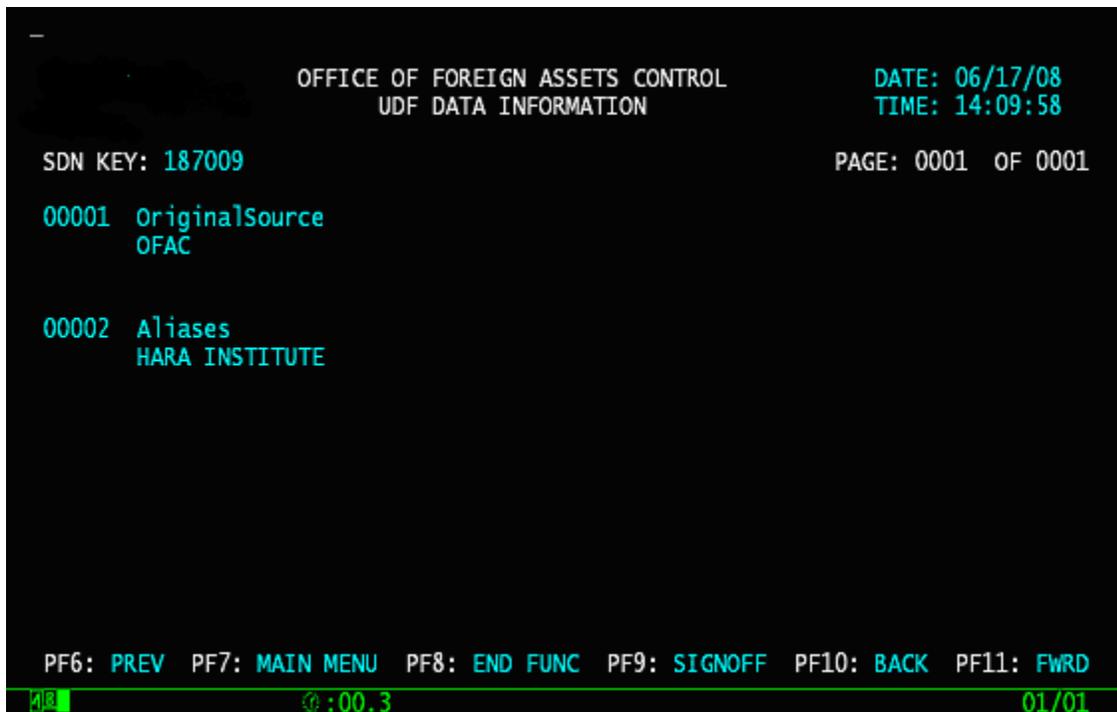
Screens and Field Definitions

Main Menu



This field	Allows you to
New Items	To view the number of new transactions for each product type that are awaiting response. However, if there are items that were previously responded to that require additional information, they will not be reflected in this count. These should be accessed by selecting Option 2 to provide additional information.
Option	Type one of the following: <ul style="list-style-type: none"> ◆ 1: to review and comment on new items ◆ 2: to add additional comments for items previously responded to
Select Product	Type X next to one of the following: <ul style="list-style-type: none"> ◆ Custody Registration ◆ WT ◆ Rush WT ◆ Custody WT/Rush WT ◆ Custody Deposits Into Transfer ◆ RDS Transfer ◆ Scanned Items Pending Review

UDF Data/Additional Information Screen



This field	Allows you to
SDN Key	View the entity reference number.

Custody Registration Screens

S	Type S to access the Certificate Detail screen.
Selected/Flagged Certs	View the number of certificates in the deposit that are flagged.
Total Certs in Deposit	View the total number of certificates in the deposit.

Certificate Detail Screen (Custody)

```

PRESS F9 TO VIEW ADDITIONAL INFO FOR THIS ENTITY
OFFICE OF FOREIGN ASSETS CONTROL
SCAN RESULTS - CERTIFICATE DETAIL
DATE: 06/17/08
TIME: 14:00:20
PAGE: 001 OF 001
OFAC STATUS: PR *** EFFECTIVE SCAN DATE: 2008-06-11 ***
----- REGISTRATION -----
CUSIP: 090994351 PFD BILL ME "4" + HARE
CID : 20080101ABCD0001
BOX : 0000901
QTY : 1.00000
CERT : 0000000000010
ACCT : 1234567890
----- OFAC SCAN RESULTS -----
088% HARA COMPANY SRC: OFAC SDN LIST
ADDR:
CITY: TEHRAN CNTRY: IRAN ISLAMIC REPUBLIC OF
TYPE: COMPANY AFF CNTRY: NPWMD
ADDR2: ALIASES: HARA INSTITUTE
STATE: PASSPORT: DOB: 01/01/01
SDN KEY: 187009 CREATED: 10/25/07 CHANGED: 10/25/07 TOLERANCE: 080%
PF2: VIEW CMTS PF3: ENTER CMTS PF5: FAX/EMAIL
PF6: PREV PF7: MENU PF8: END PF9: MORE INFO PF10: BWD PF11: FWD

```

This field	Allows you to
Unnamed field (088% Hara Company)	View the match rate and sanctioned entity name.
Acct	View the customer account number.
Addr	View the address of the entity.
Addr 2	View "Watch List" text information.
Aff Cntry	View "Watch List" text information.
Box	View the custody vault box location.
Cert	View the number under which the certificate is listed.
Changed	View the date the information was changed in the system.

CID	View the deposit control number.
City	View the city in which the entity is located.
Cntry	View the country of the entity.
Created	View the date the information was added in the system.
CUSIP	View the CUSIP number for the deposited security.
DOB	View the date of birth of the entity.
Effective Scan Date	View the date on which the deposit was scanned and flagged as a possible OFAC violation.
OFAC Status	View the OFAC status under which the certificate is flagged.
Passport	View the passport number of the entity.
Qty	View the certificate amount.
Registration	View the registration information associated with the certificate.
SDN Key	View the entity reference number.
Src	View the source of the information.
State	View the state in which the entity is located.
Tolerance	View the screening tolerance level.
Type	View the category to which entity belongs i.e., country, city, individual, vessel, organization, or other.

Assign Comments Screen (Custody)

```

*****
*****
***** OFFICE OF FOREIGN ASSETS CONTROL DATE: *****
***** ASSIGN COMMENTS TIME: *****
*****

** PROVIDE INFORMATION ABOUT THE REGISTERED OWNER(S) ON THE CERTIFICATE TO HELP
** DTC DETERMINE IF THE POSSIBLE MATCH IS A FALSE POSITIVE OR A VALID MATCH

CID: 20050901ABC 1234 CERTIFICATE: CERT1

ENTER COMMENT:
THE JOHN SMITH ON THE CERTIFICATE IS NOT THE MINISTER OF FINANCE AND HIS BIRTH
DATE IS NOT 1/2/1954. WE CERTIFY THAT THIS HIT IS NOT A VALID MATCH.

ASSIGN COMMENT TO ENTIRE DEPOSIT: N

=> ENTER 'Y' TO ASSIGN COMMENTS TO ALL CERTIFICATES FOR THIS
DEPOSIT THAT MEET THE SELECTION CRITERIA

=> ENTER 'N' TO ASSIGN COMMENTS TO THIS CERTIFICATE ONLY

PF1: ENTER COMMENT PF6: PREV SCRN PF7: MAIN MENU PF8: END FUNCTION PF9: SIGNOFF
00.3 16/36
  
```

This field	Allows you to
Assign Comment To Entire Deposit	Type Y (yes) to assign comments to all the certificates on the screen or N (no) to assign comments only to the selected certificates.
Certificate	View the certificate number.
CID	View the deposit control identification number.
Enter Comments	Type freeform comments related to the registered holder of the certificate, providing factual information sufficient for DTC to conclude, in its discretion, that the name(s) on the certificate are or are not the persons or entities in the OFAC text. For example, if the registered holder is an individual, the participant should provide information about the individual sufficient to negate or confirm the identifying information that appears in the OFAC text, such as, date of birth, passport number/country of issuance, address, citizenship/residency, etc. If the registered holder is an organization, the participant should provide information sufficient to negate or confirm the identifying information in the OFAC text, such as legal entity name, address, country of incorporation, etc

Comments Inquiry Screen (Custody)

```

*****
*****
***** OFFICE OF FOREIGN ASSETS CONTROL DATE: *****
***** COMMENTS INQUIRY TIME: *****
***** PAGE: *****

COMMENTS*DATE/TIME: 2005-09-11-13.21.11.123456 USER*ID: 0000000000
OUR RECORDS INDICATE THAT JOHN SMITH IS NOT A VALID MATCH TO THE OFAC TEXT
BECAUSE THE REGISTERED HOLDER'S DATE OF BIRTH IS XX/XX/1964, PASSPORT ISSUED
BY THE UNITED STATES, NUMBER IS 12345678.

COMMENTS*DATE/TIME: ..... USER*ID: .....
.....
.....

COMMENTS*DATE/TIME: ..... USER*ID: .....
.....
.....

*** NO*MORE*DATA ***
PF6: PREV SCREEN PF7: MAIN MENU PF8: END FUNC PF9: SIGNOFF
PF10: PAGE BACK PF11: PAGE FWD

:00.1 12/22

```

This field

Comments *Date/Time

User*ID

Transfer Instruction Screens

Scan Results AWT (or other transfer product) Registration Screen

```

00000  -01          OFFICE OF FOREIGN ASSETS CONTROL      DATE: 12/22/05
QAAE                    SCAN RESULTS                TIME: 16:21:38
                    AWT REGISTRATION SUMMARY        PAGE: 001

SEL      CUSIP          SCAN ID          STATUS  EFFECT  SCAN DT
---      -
s        09161R106     200512130002448  PR      2005-12-15
-        254687106     200512140002649  PR      2005-12-15

*** NO MORE DATA ***

TO SELECT ENTER 'S' IN THE SEL COLUMN AND PRESS ENTER
STATUS OF '***' INDICATES THIS TRANSACTION HAS MULTIPLE REGISTRATIONS
PF7: MENU  PF8: END FUNC  PF9: SIGNOFF  PF10: BACK  PF11: FWD
    
```

This field	Allows you to
CUSIP	View the CUSIP number for the transfer instruction security.
Effect Scan Dt	View the date on which the transaction was scanned and flagged as a possible OFAC violation.
Scan ID	View the transaction identification number.
SEL	Type S to access the registration breakdown details if there are multiple registrations or the registration details if there is only one registration.
Status	View the status of the transaction. If an item has multiple registrations two asterisks (***) appear next to the status.

Scan Results Custody WT (or other transfer product) Registration Breakdown Screen

```

QAAC      -47      OFFICE OF FOREIGN ASSETS CONTROL      DATE: 12/22/05
              SCAN RESULTS      TIME: 16:34:27
              CUSTODY WT REGISTRATION BREAKDOWN      PAGE: 001

SCAN ID: 2004081801640009      TOTAL REGS FOR TRANSFER: 002
              CUSIP: 80861L996      SELECTED/FLAGGED REGS: 002 / 002

  REG      1ST LINE OF REGISTRATION      QUANTITY      EFFECT      OFAC
  S  SQ      -----      -----      -----      -----
  -  -
  S  001      .00000      12/19/05      PR*
  -  002      .00000      12/19/05      TH*

*** NO MORE DATA ***
ENTER 'S' IN THE 'SELECT' COLUMN AND PRESS 'ENTER' TO VIEW SCAN DETAIL
PF6: PREV  PF7: MENU  PF8: END FUNC  PF9: SIGNOFF  PF10: BACK  PF11: FWD
    
```

This field	Allows you to
1st Line of Registration	View text for the first line of the registration.
CUSIP	View the CUSIP number for the transfer instruction security.
Effect Scan Dt	View the date on which the transaction was scanned and flagged as a possible OFAC violation.
OFAC Stat	View the status of the transaction. If an item has already been commented on an asterisk (*) appears next to the status.
Quantity	View the quantity of the transaction.

Reg Sq	View the registration sequence number.
S	Type S to view registration details.
Scan ID	View the transaction identification number.
Selected/Flagged Regs	View the number of registrations flagged.
Total Regs For Transfer	View the total number of registrations for this transaction.

Scan Results - AWT (or other transfer product) Registration Details Screen

```

OFFICE OF FOREIGN ASSETS CONTROL
*** EFFECTIVE SCAN DATE: 2008-05-14 ***
DATE: 06/17/08
TIME: 14:09:26
PAGE: 001 OF 001
OFAC STATUS: PR
REGISTRATION -----
CUSIP : 459200101 INTER BUSINESS MACH< JOHN JONES
SCAN ID: 20080617ABCD001 1234 STONE ST
TAX ID : 123-45-6789 VICTORIA
QTY : 1.00000 BC
AWT UNIQUE ID: 1234567890
AABBCCDD
----- OFAC SCAN RESULTS -----
083% VICTORIA POTES, NESTOR RAUL SRC: OFAC SDN LIST
ADDR: C/O INDUSTRIA AVICOLA PALMASECA S.A.
CITY: CALI CNTRY: COLOMBIA
TYPE: INDIVIDUAL AFF CNTRY: SDNT
ADDR2: CEDULA NO: 16247701 (CO)
STATE: PASSPORT: DOB: 11/25/51
SDN KEY: 008197 CREATED: 03/06/96 CHANGED: 10/28/04 TOLERANCE: 080%
PF2: VIEW CMTS PF3: ENTER CMTS
PF6: PREV PF7: MENU PF8: END PF10: BWD PF11: FWD
:00.1 06/15

```

This field	Allows you to
Unnamed field (083% Victoria Potes, Nestor Raul)	View the match rate and sanctioned entity name.
Addr	View the customer account number.
Addr 2	View "Watch List" text information.
Aff Cntry	View "Watch List" text information.

AWT (or other product) Unique ID	View the unique identification number of the transfer instruction.
Changed	View the date the information was changed in the system.
City	View the city in which the entity is located.
Cntry	View the country of the entity.
Created	View the date the information was added to the system.
CUSIP	View the CUSIP number for the transaction.
OFAC Status	View the OFAC status under which the transaction is flagged.
Passport	View the passport number of the entity.
Qty	View the transaction amount.
Registration	View the registration information associated with the transaction.
Scan ID	View the transaction identification number.
SDN Key	View the entity reference number.
Src	View the source of the information.
State	View the state in which the entity is located.
Tax ID	View tax identification number.
Tolerance	View the screening tolerance level.

Assign Comments Screen (Transfer) Screen

```

0000      -01      OFFICE OF FOREIGN ASSETS CONTROL      DATE: 12/22/05
QAAE              ASSIGN COMMENTS                      TIME: 17:00:33

** PROVIDE INFORMATION ABOUT THE REGISTERED OWNER(S) ON THE RE-REGISTRATION
** INSTRUCTION TO HELP DTC DETERMINE IF THE POSSIBLE MATCH IS A FALSE POSITIVE
** OR A VALID MATCH

SCAN ID: 200512130002448  REG SQ: 001

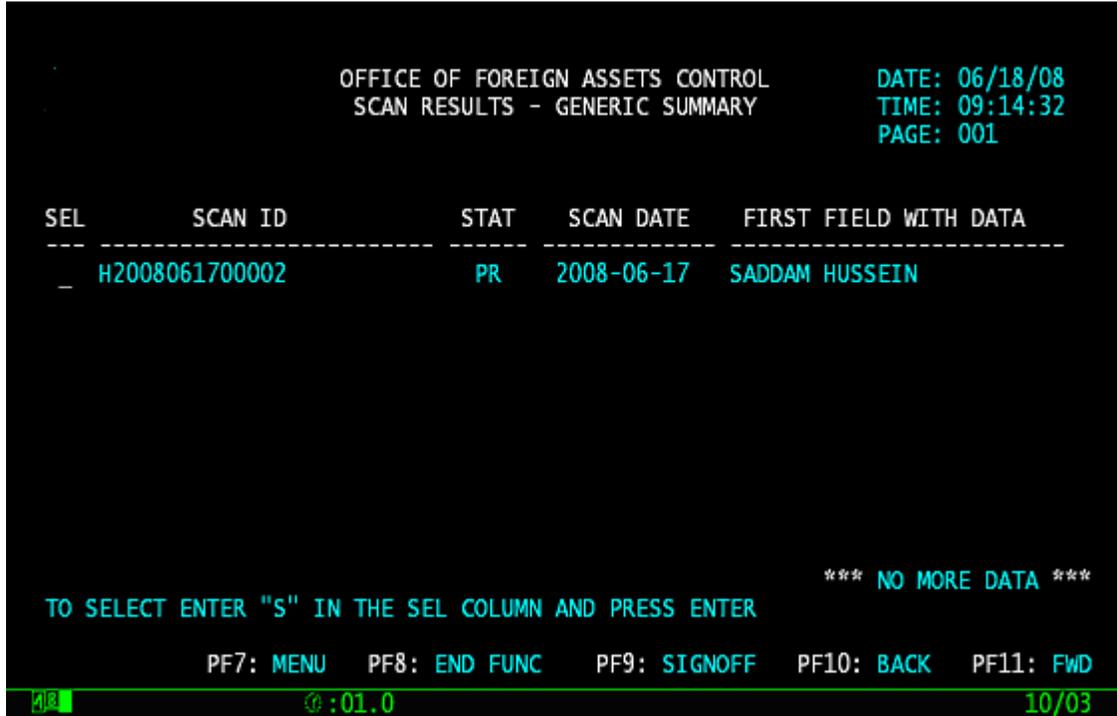
ENTER COMMENT:
OUR RECORDS INDICATE THAT JOHN SMITH IS NOT A VALID MATCH TO THE OFAC TEXT
BECAUSE THE REGISTERED HOLDER'S DATE OF BIRTH IS XX/XX/1964, PASSPORT ISSUED
BY THE UNITED STATES, NUMBER IS 12345678.

PF1: ENTER COMMENT      PF7: MAIN MENU      PF8: END FUNCTION      PF9: SIGNOFF
PF6: PREV SCRIN
  
```

This field	Allows you to
Enter Comments	Type freeform comments related to the transfer instruction providing factual information sufficient for DTC to conclude, in its discretion, that the name(s) in the transfer instructions are or are not the persons or entities in the OFAC text. For example, if the transfer instruction is for an individual, the participant should provide information about the individual sufficient to negate or confirm the identifying information that appears in the OFAC text, such as, date of birth, passport number/country of issuance, address, citizenship/residency, etc. If the transfer instruction is for an organization, the participant should provide information sufficient to negate or confirm the identifying information in the OFAC text, such as legal entity name, address, country of incorporation, etc.
Reg Sq	View the registration sequence number.
Scan ID	View the transaction identification number.

Manual Scan Screens

Scan Results - Generic Summary Screen



This field	Allows you to
First field with data	View the first line of the name scanned.
Scan Date	View the date on which the item was scanned and flagged as a possible OFAC violation.
Scan ID	View the transaction identification number.
Stat	View the OFAC status under which the item is flagged.
Sel	Type S to access the Generic Detail screen.

Scan Results - Generic Detail Screen

```

PRESS F9 TO VIEW ADDITIONAL INFO FOR THIS ENTITY
                                OFFICE OF FOREIGN ASSETS CONTROL
                                SCAN RESULTS - GENERIC DETAIL
                                DATE: 06/17/08
                                TIME: 14:12:39
                                PAGE: 001 OF 005
SCAN ID: H2008061700002
OFAC STATUS: PR                    PARTICIPANT: 00002193
1: SADDAM HUSSEIN
2:
3:
4:
5:
6:
7:
----- OFAC SCAN RESULTS -----
100% HUSSEIN, SADDAM
                                SRC: OFAC SDN LIST
ADDR: POB: AL-AWJA, NEAR TIKRIT, IRAQ; NATL: IRAQI
CITY:                                CTRY: IRAQ
TYPE: MINISTER, GVT OFFICIAL    AFF CTRY: IRAQ2
ADDR2: FORMER PRESIDENT NAMED IN UNSCR 1483 ALIASES: HUSSEIN, SADDAM
STATE:                                PASSPORT:                                DOB: 04/28/37
SDN KEY: 006718    CREATED: 01/13/95    CHANGED: 07/30/04    TOLERANCE: 075%
                                PF2: VIEW CMTS    PF3: ENTER CMTS
PF6: PREV PF7: MENU PF8: END PF9: MORE INFO PF10: BWD PF11: FWD

```

This field	Allows you to
Unnamed field (100% Hussein, Saddam)	View the match rate and sanctioned entity name.
1-7	View the name and address of the entity being screened.
Addr	View the address of the entity.
Addr 2	View "Watch List" text information.
Aff Cntry	View "Watch List" text information.
Changed	View the date the information was changed in the system.
City	View the city in which the entity is located.

Cntry	View the country of the entity.
Created	View the date the information was added in the system.
DOB	View the date of birth of the entity.
OFAC Status	View the OFAC status under which the item is flagged.
Participant	View your participant number.
Passport	View the passport number of the entity.
Scan ID	View the scan identification number.
SDN Key	View the entity reference number.
Src	View the source of the information.
State	View the state in which the entity is located.
Tolerance	View the screening tolerance level.
Type	View the category to which entity belongs i.e., country, city, individual, vessel, organization, or other.