

FAST PROGRAM FREQUENTLY ASKED QUESTIONS

Once we become a registered Transfer Agent (TA) with DTC, how long before we can become FAST?

The DTC Review Team prefers at least six months of TA activity before considering an agent for FAST.

Who can I contact if I have questions about the FAST application?

Send email to DTCCSolutionsAA@dtcc.com and TAServices@dtcc.com

How do I reset my password?

Please contact the Customer Support Center at 1-888-382-2721, option 1, then option 3; or refer to the following link: <http://www.dtcc.com/en/client-center/password-management.aspx>

How long does it take to get approval to become a FAST Transfer Agent?

From the time that a complete application has been received, it may take up to 33 days for the Review Team to either accept or reject the application. You will be notified as soon as a decision has been reached.

Once approved, how long will it take to get connected and trained on the systems?

Time from acceptance to connectivity and training is anywhere from 7-14 days, depending upon how your firm plans to connect to DTC systems. DTC has four different technical areas that will work with you to establish connectivity. Once complete, the FAST Balancing Team from our Operations area will assign someone to train you.

Is an SEC Audit really required when we apply for FAST?

Yes. All of the items from the FAST Requirements document are required with the exception of the DWAC Agreement.

Where do we send our FAST Eligibility Request forms?

These forms should be emailed to: FAST_Implementation@dtcc.com

Do we have to comply with any ongoing requirements once we become FAST?

Yes. On a yearly basis, each firm is required to provide:

- 1) An external audit referencing their agent controls
- 2) Updated Certificate of Insurance
- 3) Proof of regulatory control

You will receive email reminders for items 1 & 2. Regulators are confirmed by DTC's Account Administration each year in Q1 for the prior year. On a *daily* basis you will be required to balance and confirm your FAST balances to DTC in accordance with the FAST Balance Certificate Agreement.

Where can we obtain a copy of DTC's internal controls audits?

Please refer to the Policy and Compliance section on the following link: <http://www.dtcc.com/en/legal.aspx>

What are the requirements for the "vault" to store physical certificates?

Please refer to the security requirements under SEC Rule 17ad12. DTCC highly recommends that Certificates: are kept in a locked/secured location; should not be left unattended; be accessible only to authorized personnel; and that the firm maintains a theft and fire central monitoring system.

Why do we need to establish a Super Access Coordinator (SAC)?

Putting a SAC on file with DTC validates an individual within your firm to request sign-on IDs, entitlements, request password resets, and provide a central point of contact for dissemination of important information.