

The DTCC logo is displayed in a large, bold, white sans-serif font against a dark background with a repeating geometric pattern of small triangles.

Securing Today. Shaping Tomorrow.®

SMART/SEARCH REPORT LISTING

PUBLICATION DATE:

MARCH 1, 2015

Access to Reports in SMART/Search

To access SMART/Search to view reports the following pre-conditions must be met:

1. The individual must have a valid Participant Browser System (PBS) user ID and password
2. The entitlement to that report must be associated with that PBS user ID

If you do not have a valid PBS user id or entitlement to a specific report, contact the PBS/PTS Access Coordinator at your firm to request a new user id or additional entitlements. The coordinators fill out the appropriate documentation requests and send the completed forms to entitlement@dtcc.com.

Forms are found on the Client Center link on www.dtcc.com.

Exception: OMGEO Trade Suite Confirm Archive Service is available to clients allowing them to view Trade Suite confirms via SMART/Search. For questions concerning access to this service, please contact OMGEO directly at (866) 496-6436.

Report Name / Format	Description / Entitlement Required
Activity & Position Reports	
Daily Activity Statement <i>Format: Text</i>	Displays all previous-day activities. Includes activity code description, CUSIP, long position, affected account, quantity, dollar value, and other party. Activity includes segregated positions, deliver orders, payment orders, and stock loans.
Daily Pledgee Activity Statement <i>Format: Text</i>	Displays all previous-day activities.
FINRA Exam Position Reports <i>Format: Text</i>	Position report by date, CUSIP #, CUSIP Price, Positions.
ID Net Subscribers Report <i>Format: Text</i>	Lists the subscribers that have agreed to use the ID Net Service.
Monthly Pledgee Position For Part/Non-Part Pledgors <i>Format: Text</i>	Displays monthly positions by CUSIP number.
Weekly Pledgee Position for Part/Non-Part Pledgors <i>Format: Text</i>	Displays weekly positions by CUSIP number.
Daily Pledgee Position for Part/Non-Part Pledgors <i>Format: Text</i>	Displays daily positions by CUSIP number.
Position Statement – Daily <i>Format: Text</i>	Displays daily positions by CUSIP number, including closing balances, sub accounts, chills, and last active information. Summary by equities, corporate debt and municipal debt.
Position Statement – Monthly <i>Format: Text</i>	Displays monthly position by CUSIP number, including closing balances, sub accounts, chills, and least active information. Summary by equities, corporate debt, and municipal debt.
Position Statement – Weekly <i>Format: Text</i>	Displays weekly positions by CUSIP number, including closing balances and sub category by equities, corporate debt, and municipal debt. Shows chills and last active information.
Pledgor Position Statement – Daily <i>Format: Text</i>	Displays daily positions by CUSIP number.
Pledgor Position Statement – Monthly <i>Format: Text</i>	Displays monthly positions by CUSIP number.
Pledgor Position Statement – Weekly	Displays weekly positions by CUSIP number.

Report Name / Format	Description / Entitlement Required
<i>Format: Text</i>	
Pledge Position Statement - Daily <i>Format: Text</i>	Displays daily positions by CUSIP number.
Pledge Position Statement – Monthly <i>Format: Text</i>	Displays monthly positions by CUSIP number.
Pledge Position Statement – Weekly <i>Format: Text</i>	Displays weekly positions by CUSIP number.
Billing Reports	
ADR Depository Payments <i>Format: Text</i>	Displays detail of charges associated with American Depository Receipts from the DTC monthly bill.
ADR Participant Fees <i>Format: Text</i>	Displays detail of charges associated with American Depository Receipts from the participant's DTC monthly bill.
CCF Monthly Billing Report <i>Format: Text</i>	Displays monthly billing details associated with the use of CCF. Includes the file name, file description, rate, number of files received, retrieving party, and total charges.
DTC Billing Invoice <i>Format: PDF and CSV</i>	Displays monthly billing details associated with the use of DTC services.
DTCC Customer Tax Report <i>Format: PDF</i>	Detail of taxable items associated with the monthly DTC bill.
NSCC Billing Invoices <i>Format: PDF and CSV</i>	Displays monthly billing details associated with the use of NSCC services.
NSCC Customer Tax Report <i>Format: PDF</i>	Detail of taxable items associated with the monthly NSCC bill.
Omgeo Billing Invoices <i>Format: PDF and CSV</i>	Displays monthly billing details associated with the use of Omgeo services.
Omgeo Customer Tax Report <i>Format: PDF</i>	Detail of taxable items associated with the monthly Omgeo bill.
Omgeo Monthly ID Confirm Billing Detail <i>Format: Text</i>	Provides further detail on the Omgeo invoice.
SMART Billing Invoices <i>Format: PDF and CSV</i>	Detail of monthly SMART Line charges.
SMART Customer Tax Report	Detail of taxable items associated with the monthly SMART billing invoices.

Report Name / Format	Description / Entitlement Required
<i>Format: PDF</i>	
Transfer Agent Monthly Transfer Pass-Thru Charges <i>Format: Text</i>	Detail of the Transfer Agent charges identified on the DTC monthly bill.
UND Monthly Billing Detail Report <i>Format: Text</i>	Details on fees associated with the Underwriting system, including CUSIP, closing date, issue description, and amount charged.
Clearance & Settlement Reports	
Canadian Dollar Participant Account Statement <i>Format: Text</i>	Lists final Canadian Dollar Link settlement balances along with underlining transaction information for each participant.
Cancelled Trade Instructions <i>Format: Text</i>	Lists all Canadian Dollar Link trade instructions that were cancelled and will no longer be settled.
Deliver Order Detail – Deliverer <i>Format: Text</i>	Displays all deliver order information for a firm as the deliverer. Information includes CUSIP number, shares quantity, dollar amount, reason code, batch number, recycle status, input source, deliver date, process time, and comments.
Deliver Order Detail – Receiver <i>Format: Text</i>	Displays all deliver order information for a firm as the receiver. Information includes CUSIP number, shares quantity, dollar amount, reason code, batch number, recycle status, input source, deliver date, process time, and comments.
IMS ID Net Third Party Detail <i>Format: Text</i>	Third party detail report
IMS Tradesuite Del Audit Trail <i>Format: Text</i>	Provides a record of each transaction authorized, or accepted, through the Inventory Management System (IMS). Includes receiver, control number, CUSIP number, quantity, net amount, status, settlement date, update ID, and update time.
RAD End of Day Settlement Report (Prior to 04/12/2012) <i>Format: Text</i>	List of all end of day transactions prior to 04/12/2012 requiring RAD approvals by delivering participant. Includes approval code, receiving participant, quantity, CUSIP, dollar amount, reason code and input source.
IMS RAD DO End of Day Settlement Report (04/14/2012 to Present) <i>Format: Text</i>	List of all end of day transactions from 04/14/2012 to present requiring RAD approvals by delivering participant. Includes approval code, receiving participant, quantity, CUSIP, dollar amount, reason code and input source.
IMS RAD NDO End of Day Report <i>Format: Text</i>	List of all NDO end of day transactions requiring RAD approvals by delivering participant. Includes approval code, receiving participant, quantity, CUSIP, dollar amount, reason code and input

Report Name / Format	Description / Entitlement Required
	source.
IMS RAD Profile Change Audit Report <i>Format: Text</i>	List of changes made to the RAD Profile for a specific firm.
Night Cycle Blockage Report <i>Format: Text</i>	Report showing night cycle blockage items.
Participant SPP P & I Report Card <i>Format: Text</i>	Cash payment report card including allocated P&I received, total available net of debt, total withdrawn and remaining balance.
Participant Settlement Statement <i>Format: Text</i>	Displays all previous-day summary Settlement balances. Includes a breakdown by activity code. Information includes receiving participant, CUSIP, security description, share quantity, dollar amount, batch number, and reason code.
Clearance & Settlement Equity Reports	
AMEX Adjustment Purchase and Sales Contracts <i>Format: Text</i>	Displays the daily purchase and sales activity of equities from the AMEX for adjustments and step-outs. Report details include security symbol, CUSIP number, security description, trade date, settlement date, quantity, price, and contract amount. Additional trade details, such as buyer / seller, execution time.
AMEX Purchase and Sales Contracts <i>Format: Text</i>	Displays the daily purchase and sales activity of equities from the AMEX. Report details include security symbol, CUSIP number, security description, trade date, settlement date, quantity, price, and contract amount. Additional trade details, such as buyer / seller, execution time, and control number are also shown.
CNS Accounting Summary Report <i>Format: Text</i>	This report provides to Members a comprehensive review of all their night and day activity in their CNS accounts and includes their opening and closing security positions, new settling trades, miscellaneous activity, settlement activity, current market price and values and final CNS money settlement balance.
CNS Day Cash Reconciliation Report <i>Format: Text</i>	This report provides to Members their final CNS money settlements as a result of all their daily CNS activity that occurred in both the night and the day cycle.
CNS Day Miscellaneous Activity Report <i>Format: Text</i>	This report displays to Members their non-trade-related transactions (e.g. Fully-Paid-For transactions, ACATS) that affect CNS settlement in the day cycle.
CNS Night Miscellaneous Activity Report	This report displays to Members their non-trade-related transactions (e.g. corporate actions) that affect CNS settlement in the night

Report Name / Format	Description / Entitlement Required
<i>Format: Text</i>	cycle.
CNS Projection Report <i>Format: Text</i>	This report displays to Members their projected netted positions by CUSIP for positions settling on the following business day.
Consolidated Trade Summary Detailed Report <i>Format: Text</i>	Reports all trading activity totaled by marketplace on a given security symbol or CUSIP. The report includes share quantities purchased, sold, and total debit or credit value in U.S. dollars by security.
Correspondent Clearing Purchase and Sales Contracts <i>Format: Text</i>	Displays the daily purchase and sales activity of equities from Correspondent Clearing. Report details include exchange, security symbol, CUSIP number, security description, trade date, settlement date, quantity, price, and contract amount.
NSCC Month End Reports <i>Format: Text</i>	Provides participants with their Valued Portfolio Report from Risk, their CNS Stock record as of the close of the month, and their month ending NCF Clearing Fund Calculation.
NASDAQ Locked-in Purchase and Sales Contracts <i>Format: Text</i>	Displays the daily purchase and sales activity of equities from NASDAQ. Includes security symbol, CUSIP number, security description, trade date, settlement date, quantity, price, and contract amount. Additional trade details, such as seller, execution time, and trade source are also shown.
NYSE Adjustment Purchase and Sales Contracts <i>Format: Text</i>	Displays the daily purchase and sales activity of equities from the NYSE for adjustments and step-outs. Includes security symbol, CUSIP number, security description, trade date, settlement date, quantity, price, and contract amount. Additional trade details, such as buyer / seller, execution time, and control number are also shown.
NYSE Purchase and Sales Contracts <i>Format: Text</i>	Displays the daily purchase and sales activity of equities from the NYSE. Includes security symbol, CUSIP number, security description, trade date, settlement date, quantity, price, and contract amount. Additional trade details, such as buyer / seller, execution time, and control number are also shown.
OTC Comparison Purchase and Sales Contracts <i>Format: Text</i>	Displays the daily purchase and sales activity of equities from the OTC (OVC) comparison application. Includes security symbol, CUSIP number, security description, trade date, settlement date, quantity, price, and contract amount. Additional trade details, such as seller, and control number.
OTC QSR / ECN Locked-in Purchase and	Displays the daily purchase and sales activity of equities from OTC QSRs and ECNs. Includes security symbol, CUSIP number,

Report Name / Format	Description / Entitlement Required
Sales Contracts <i>Format: Text</i>	security description, trade date, settlement date, quantity, price, and contract amount. Additional trade details, such as seller, execution time, and trade source are also shown.
Post-Trade Totals Report <i>Format: Text</i>	Displays the summarized daily purchase and sales activity by post-trade application, exchange, trade date, and trade type. Report details include total purchases and sales item counts, quantities, and contract amounts.
Regional Purchase and Sales Contracts <i>Format: Text</i>	Displays the daily purchase and sales activity of equities from Regional Exchanges. Report details include exchange, security symbol, CUSIP number, security description, trade date, settlement date, quantity, price, and contract amount. Additional trade details, such as seller, execution time, and control number are also shown.
UTC End of Day Contracts <i>Format: Text</i>	Displays the daily purchase and sales activity of equities from all trades submitted through Universal Trade Capture. Report details include security symbol, CUSIP number, security description, contra broker, reversal indicator, special trade indicator, share quantity, contract money, price, execution time, trade date, settlement date, client ID, net value, commission, regulatory fee and state tax.
DTCC Limit Monitoring Unassigned Risk Entity Report <i>Format: Text</i>	Provides DTCC LM users with the number of trades grouped by executing-broker identifiers that are not accounted for in user-defined risk entities and are applied to the unassigned risk entity.
DTCC Limit Monitoring Risk Entity Net Notional Report <i>Format: Text</i>	Provides DTCC LM users with the net-notional highs and net-notional limits for each of their risk entities used for periodic comparison.
DTCC Limit Monitoring risk Entity Do Not Monitor Report <i>Format: Text</i>	Provides DTCC LM users with the list of their current do-not-monitor risk entities.
Inventory Management Reports	
Direct Deposit/ Withdrawal at Transfer Agent <i>Format: Text</i>	Provides participants with end-of-day status of each DWAC transaction.
DRS Profile Eligible Issues <i>Format: Text</i>	Lists all issues that are eligible for the Direct Registration System (DRS) and notes those issues eligible only in statement form. At the end of the report is a list of the LPAs (transfer agents who have limited participant privileges that allow them to use DOs to deliver positions) associated with DRS and the number of issues that they transfer.

Report Name / Format	Description / Entitlement Required
DRS Reversals - 392 thru 395 <i>Format: Text</i>	Report lists all DRS reversals. A reversal occurs when a participant returns shares originally delivered through the DRS system. The report details the reason for the reversal.
Fast Balance Confirmation Summary (Daily) <i>Format: Text</i>	Daily report detailing the FAST balance activity for each FAST agent.
Fast Balance Confirmation Summary (Monthly) <i>Format: Text</i>	Monthly report detailing the FAST balance activity for each FAST agent.
Low Value High Share Position Surcharge Details <i>Format: Text</i>	DTCC appends a surcharge to CUSIPs that, at month-end, had an aggregate DTC position of 500 million shares or more AND had a share price of \$.01 or less. This report displays the individual participant positions of less than 500 million shares that are subjected to the surcharge as long as the aggregate DTC position is 500 million shares or greater.
Monthly Transfer Agent Fees <i>Format: Text</i>	Report details the amount each agent will receive due to FAST activity including deposits, withdrawals and Direct Mail processing.
PTS Participant Foreign SEGS Daily Report <i>Format: Text</i>	Displays to participants the total holdings in participants "SEG-100" accounts for each involved CUSIP number.
PTS Transfer Agent Foreign SEGS Daily Report <i>Format: Text</i>	Displays to transfer agents the total holdings in participants "SEG-100" accounts for each involved CUSIP number.
STP Paperless Agent CUSIP Report <i>Format: Text</i>	Lists in transfer agent number order of all transfer agents participating in the Paperless Legal Transfer Program, as well as the issues that they transfer.
STP WT TA Fee By Participant <i>Format: Text</i>	Displays transfer agent fees for W/T's passed through by DTCC. Includes CUSIP number, Transfer Agent number, share quantity, number of certificates, unit price, market value, and the associated transfer agent fee. Report also provides a summary total for W/T's as well as the total amount of fees billed to the firm.
Underwriting Reports	
IPO Preliminary LU Flip Activity Report <i>Format: Text</i>	Daily Lead Underwriters report identifying position movements for CUSIPS that are IPO tracked.
IPO Preliminary SYN Flip Activity Report <i>Format: Text</i>	Daily Syndicate Member report identifying position movements for CUSIPS that are IPO tracked.

Report Name / Format	Description / Entitlement Required
IPO Final LU Flip Activity Report <i>Format: Text</i>	Final Lead Underwriters report identifying position movements for CUSIPS that are IPO tracked.
IPO Final SYN Flip Activity Report <i>Format: Text</i>	Final Syndicate Member report identifying position movements for CUSIPS that are IPO tracked.
Securities Processing Reports	
AIM DNT Aging in 3 months - by Participant <i>Format: Text</i>	Report details Participant positions in issues that will become 6 years non-transferable in 3 months
AIM DNT Transfer by years <i>Format: Text</i>	Report details all non-transferable issues at DTC by year, in descending chronological order
Custody Daily Transactions Sign-on Report <i>Format: Text</i>	Daily Custody transaction report showing individual sign-on ID
DMA Direct Mail Collection Report <i>Format: Text</i>	Report details the participant and dollar amount each agent will receive due to Direct Mail processing.
DWAC Up-Front Edit Rejects Report <i>Format: Text</i>	Report details edit rejects for the daily DWACs in participant order.
DWAC EOD Status Report - Participant Sequence <i>Format: Text</i>	Report details the daily status of DWACs in participant order.
Ineligible Collateral Listing <i>Format: Text</i>	Details DTC Collateral Blocking Review including base CUSIP numbers.
Non-Premed in CUSIP Order <i>Format: Text</i>	Lists in CUSIP-number order for each participant's positions at DTC that have been non-transferable for 6 or more years.
Non-Premed in PREM Order <i>Format: Text</i>	Lists in percentage of total position in PREMED order of each participant's positions at DTC that have been non-transferable for 6 or more years.
Participant Previously Premed Positions <i>Format: Text</i>	Provides participants with the CUSIP, security description, and quantity of the non-transferable position that they removed from their DTC account via the PREM function, as well as the date on which the transaction took place.
RDS Restricted Dep Daily Summary	Daily summary report - Restricted Deposits.

Report Name / Format	Description / Entitlement Required
<i>Format: Text</i>	
RDS Restricted Dep EOM Summary <i>Format: Text</i>	End of month summary report - Restricted Deposits.
STP CCF Deposit Out Transfer Items <i>Format: Text</i>	Report details all deposits that have cleared transfer and are now registered to Cede & Co.
STP Transfer Reject Fees – Participant <i>Format: Text</i>	In transfer agent order, this report provides participants with details regarding their transfer agent pass-thru fees incurred as a result of a rejected Deposit or WT.
STP Transfer Reject Fees - Transfer Agent <i>Format: Text</i>	In DTC Participant order, this report provides transfer agents with details regarding the transfer agent pass-thru fees they will collect as a result of a rejected DTC deposit or WT.
STS Direct DEP/WT Participant Billing <i>Format: Text</i>	Provides Participants with a listing of all of their DWAC transactions that were approved by the FAST transfer agent on the previous business day. All data elements from the original transactions are listed along with transfer agent name, transfer agent number, the fee charged by the transfer agent, daily billing totals, and a month-to-date billing recap.
Corporate Actions Reports	
Agent Compensation Refund – Dividends <i>Format: Text</i>	Displays the monthly discretionary refunds for dividends. Includes refund amount & explanation
Agent Compensation Refund – Redemptions <i>Format: Text</i>	Displays the monthly discretionary refunds for redemptions. Includes refund amount & explanation
Agent Compensation Refund – Reorganization <i>Format: Text</i>	Displays the monthly discretionary refunds for corporate reorganizations. Includes refund amount & explanation.
Agent P & I Payment Performance Summary <i>Format: Text</i>	Weekly report that displays a summary of an agent's P&I Allocation Performance data.
Agent Imprecise Allocations – Dividends <i>Format: Text</i>	Weekly report that displays CUSIP-level detail of an agent's imprecise dividend allocations.
Agent Imprecise Allocations – Redemptions <i>Format: Text</i>	Weekly report that displays CUSIP-level detail of an agent's imprecise redemption allocations.
Agent EOD Unallocated Report – Dividends	Displays CUSIP-level detail of an agent's unallocated dividend items.

Report Name / Format	Description / Entitlement Required
<i>Format: Text</i>	
Agent EOD Unallocated Report – Redemptions <i>Format: Text</i>	Displays CUSIP-level detail of an agent's unallocated redemption items.
Agent Late Wires Report <i>Format: Text</i>	Weekly report that displays an agent's late payment wire detail.
Canadian Allocations Report <i>Format: Text</i>	Displays the daily dividend allocations for Canadian securities. Includes CUSIP number, shares elected for foreign currency, payable date, tax rate and payable amount in Canadian dollars.
Canadian Expected Allocations <i>Format: Text</i>	Displays the expected daily dividend allocations for Canadian Securities. Includes CUSIP number, Record Date, Payable Date, Tax Rates, Shares Elected for Foreign Currency Processing, and Expected Payable Amount in Canadian Dollars.
Canadian Reorg Allocations <i>Format: Text</i>	Displays the daily Reorg allocations for Canadian securities. Includes CUSIP number.
Bookkeeping Cash Adjustment Notices – Dividends <i>Format: Text</i>	Displays daily notices of participants who are to receive Dividend Cash Adjustments.
Bookkeeping Cash Adjustment Notices – Redemptions <i>Format: Text</i>	Displays daily notices of participants who are to receive Redemption Cash Adjustments.
Bookkeeping Cash Adjustment Notices – Reorganizations <i>Format: Text</i>	Displays daily notices of participants who are to receive Reorganization Cash Adjustments.
Cash Settlement Report – Dividends <i>Format: Text</i>	Displays dividend cash settlement items for a particular day. Includes CUSIP, security description, payable date, rate, quantity, amount, activity, and reason. Also displays totals for allocated and non-allocated dividends.
Cash Settlement Report – Redemptions <i>Format: Text</i>	Displays redemption cash settlement items for a particular day. Includes CUSIP, security description, payable date, rate, quantity, amount, and activity. Also displays totals for allocated and non-allocated redemptions.
Cash Settlement Report – Reorganizations <i>Format: Text</i>	Displays reorganization cash settlement items for a particular day. Includes CUSIP, security description, payable date, rate, quantity, amount, and activity. Also displays totals for allocated and non-allocated redemptions.

Report Name / Format	Description / Entitlement Required
Dividend Billing Items – Daily <i>Format: Text</i>	Daily report that identifies Dividend Billing items including CUSIP #, Pay date, Record Date, Fee ID, quantity and dollar amount.
Dividend Billing Items – Monthly <i>Format: Text</i>	Monthly report that identifies Dividend Billing items including CUSIP #, Pay date, Record Date, Fee ID, quantity and dollar amount.
Div/Reorg Participant Statement <i>Format: Text</i>	Displays dividend and reorganization record date notices for a particular day. Includes security description, CUSIP, record date, payable date, share amount, rate, and activity type.
Div/Reorg Participant Statement Non-CCF User <i>Format: Text</i>	Displays dividend and reorganization record date notices for a particular day. Includes security description, CUSIP, record date, payable date, share amount, rate, and activity type for those customers not using CCF.
EDS Daily Tax Relief Billing Report <i>Format: Text</i>	Detail on fees associated with the Elective Dividend System, including withholding rate, election quantity, tax savings and surcharge amount.
EDS Daily Transmissions Summary <i>Format: Text</i>	Displays all inbound and outbound message totals of advice messages EDSO by submitter for EDS for that day as well as activity for CAST messages. (EDS is not completely in production, so this report is not yet active. Active date TBD.)
Line of Credit Charges – Dividends <i>Format: Text</i>	Displays recovery information for line of credit use for dividends. Includes the start date, end date, interest rate, CUSIP, allocation amount, charge back, receipt date, agent number, agent name, and security description.
Line of Credit Charges – Redemptions <i>Format: Text</i>	Displays recovery information for line of credit use for redemptions. Includes the start date, end date, interest rate, CUSIP, allocation amount, charge back, receipt date, agent number, agent name, and security description.
Outstanding Redemptions and Reorg Pledges <i>Format: Text</i>	Identifies any outstanding Redemption and Reorg Pledges.
P&I Allocations Paid PO Plus One <i>Format: Text</i>	This report contains items that have been allocated one day late from the regularly scheduled payment date.
PUT Survivor Options Errors <i>Format: Text</i>	Errors concerning PUT options including CUSIP number.

Report Name / Format	Description / Entitlement Required
PUT Survivor Options Paid <i>Format: Text</i>	Displays the Voluntary Offering Instructions (VOI) on MMI Survivor Options that have been paid by the issuer's paying agent.
PUT Survivor Options Pending Agent Approval <i>Format: Text</i>	Displays the Voluntary Offering Instructions (VOI) for MMI Survivor Options that have been submitted but not approved by the issuer's paying agent.
PUT Survivor Options Pending Agent Payment <i>Format: Text</i>	Displays the Voluntary Offering Instructions (VOI) for MMI Survivor Options that have been submitted, approved and selected for payment by the issuer's paying agent but not yet paid.
PUT Survivor Options Pending Agent Payment Select <i>Format: Text</i>	Displays the Voluntary Offering Instructions (VOI) for MMI Survivor Options that have been submitted and approved but not yet selected for payment by the issuer's paying agent.
PUT Survivor Options Transmissions Errors <i>Format: Text</i>	This Issuing and Paying Agent (IPA)-only report highlights transmission errors that occurred through the automated inbound VOI payment selection process.
PUT Survivor Options Projected Payment <i>Format: Text</i>	This Issuing and Paying Agent (IPA)-only report highlights what Voluntary Offering Instructions (VOI) are scheduled to be paid on a given date.
PUT Survivor Options Total <i>Format: Text</i>	Totals for PUT Survivor Options including CUSIP number.
Dividend Refunds <i>Format: Text</i>	Displays participant refunds on dividends. Includes start date, end date, interest rate, CUSIP, sequence number, date, allocation amount, refund amount, receipt date, and security description.
Redemption Refunds <i>Format: Text</i>	Displays participant refunds on redemptions. Includes start date, end date, interest rate, CUSIP, sequence number, date, allocation amount, refund amount, receipt date and security description.
Reorganization Refunds <i>Format: Text</i>	Displays participant refunds on corporate reorganizations. Includes start date, end date, interest rate, CUSIP, sequence number, date, allocation amount, refund amount, receipt date, and security description.
REPO Activity Statement <i>Format: Text</i>	Provides activity detail for all REPO transactions including CUSIP, activity description, reason code, quantity, dollar value, and balance information.

Report Name / Format	Description / Entitlement Required
REPO Position Statement <i>Format: Text</i>	Lists REPO position balances for each CUSIP held. Includes contra party and closing balance.
Stock Loan Activity Statement <i>Format: Text</i>	Provides activity detail for all stock loan transactions including CUSIP, activity description, reason code, quantity, and dollar value
Stock Loan Position Statement <i>Format: Text</i>	Lists stock loan position balances for each CUSIP held. Includes contra party and closing balance.
Miscellaneous Reports	
DTC Month-End Participant Fund Balance <i>Format: Text</i>	Contains the DTC's Participant Fund balance information including preferred stock and cash balances.
Intra Month Requirement Letter <i>Format: Text</i>	DTC Participants Fund and Preferred Stock statement
Month End Requirement Letter <i>Format: Text</i>	DTC Participants Fund and Preferred Stock statement
PTS Function Eligibility Report <i>Format: Text</i>	Displays PTS eligibility information for each user ID. Includes sign-on, firm name, and eligible functions.
PTS Function Eligibility Report <i>Format: Text</i>	Displays PTS eligibility information for each user ID. Includes sign-on, firm name, and eligible functions.
Month End PStock Confirmation <i>Format: Text</i>	Provides DTC Participant with their month end balance of their DTC Series A Preferred Stock.
PStock Reallocation Letter <i>Format: Text</i>	Provides DTC Participants with their DTC Series A Preferred Stock re-allocation. It provides their previous and current preferred stock value after re-allocation and any change adjustments to their 70.4 stock adjustment settlement code.
Mutual Funds Reports	
MFP 1 Price and Rate-Daily Volume Report <i>Format: Text</i>	Displays the number of members sending files to NSCC in each Price & Rate cycle and the number of Security Issue IDs received by NSCC in each Price & Rate cycle.