

Required fields are shown with yellow backgrounds and asterisks.

Filing by The Depository Trust Company
Pursuant to Rule 19b-4 under the Securities Exchange Act of 1934

Initial *	Amendment *	Withdrawal	Section 19(b)(2) *	Section 19(b)(3)(A) *	Section 19(b)(3)(B) *
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
			Rule		
Pilot	Extension of Time Period for Commission Action *	Date Expires *	<input type="checkbox"/> 19b-4(f)(1)	<input checked="" type="checkbox"/> 19b-4(f)(4)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="checkbox"/> 19b-4(f)(2)	<input type="checkbox"/> 19b-4(f)(5)	
			<input type="checkbox"/> 19b-4(f)(3)	<input type="checkbox"/> 19b-4(f)(6)	

Notice of proposed change pursuant to the Payment, Clearing, and Settlement Act of 2010	Security-Based Swap Submission pursuant to the Securities Exchange Act of 1934
Section 806(e)(1) *	Section 806(e)(2) *
<input type="checkbox"/>	<input type="checkbox"/>
	Section 3C(b)(2) *
	<input type="checkbox"/>

Exhibit 2 Sent As Paper Document	Exhibit 3 Sent As Paper Document
<input type="checkbox"/>	<input type="checkbox"/>

Description

Provide a brief description of the action (limit 250 characters, required when Initial is checked *).

Decommission the Web Inquiry Notification System and Make Other Related and Technical Changes

Contact Information

Provide the name, telephone number, and e-mail address of the person on the staff of the self-regulatory organization prepared to respond to questions and comments on the action.

First Name * Last Name *

Title *

E-mail *

Telephone * Fax

Signature

Pursuant to the requirements of the Securities Exchange Act of 1934,

has duly caused this filing to be signed on its behalf by the undersigned thereunto duly authorized.

(Title *)

Date

By

(Name *)

NOTE: Clicking the button at right will digitally sign and lock this form. A digital signature is as legally binding as a physical signature, and once signed, this form cannot be changed.

SECURITIES AND EXCHANGE COMMISSION
WASHINGTON, D.C. 20549

For complete Form 19b-4 instructions please refer to the EFFF website.

Form 19b-4 Information *

Add Remove View

The self-regulatory organization must provide all required information, presented in a clear and comprehensible manner, to enable the public to provide meaningful comment on the proposal and for the Commission to determine whether the proposal is consistent with the Act and applicable rules and regulations under the Act.

Exhibit 1 - Notice of Proposed Rule Change *

Add Remove View

The Notice section of this Form 19b-4 must comply with the guidelines for publication in the Federal Register as well as any requirements for electronic filing as published by the Commission (if applicable). The Office of the Federal Register (OFR) offers guidance on Federal Register publication requirements in the Federal Register Document Drafting Handbook, October 1998 Revision. For example, all references to the federal securities laws must include the corresponding cite to the United States Code in a footnote. All references to SEC rules must include the corresponding cite to the Code of Federal Regulations in a footnote. All references to Securities Exchange Act Releases must include the release number, release date, Federal Register cite, Federal Register date, and corresponding file number (e.g., SR-[SRO]-xx-xx). A material failure to comply with these guidelines will result in the proposed rule change being deemed not properly filed. See also Rule 0-3 under the Act (17 CFR 240.0-3)

Exhibit 1A- Notice of Proposed Rule Change, Security-Based Swap Submission, or Advance Notice by Clearing Agencies *

Add Remove View

The Notice section of this Form 19b-4 must comply with the guidelines for publication in the Federal Register as well as any requirements for electronic filing as published by the Commission (if applicable). The Office of the Federal Register (OFR) offers guidance on Federal Register publication requirements in the Federal Register Document Drafting Handbook, October 1998 Revision. For example, all references to the federal securities laws must include the corresponding cite to the United States Code in a footnote. All references to SEC rules must include the corresponding cite to the Code of Federal Regulations in a footnote. All references to Securities Exchange Act Releases must include the release number, release date, Federal Register cite, Federal Register date, and corresponding file number (e.g., SR-[SRO]-xx-xx). A material failure to comply with these guidelines will result in the proposed rule change, security-based swap submission, or advance notice being deemed not properly filed. See also Rule 0-3 under the Act (17 CFR 240.0-3)

Exhibit 2 - Notices, Written Comments, Transcripts, Other Communications

Add Remove View

Exhibit Sent As Paper Document

Copies of notices, written comments, transcripts, other communications. If such documents cannot be filed electronically in accordance with Instruction F, they shall be filed in accordance with Instruction G.

Exhibit 3 - Form, Report, or Questionnaire

Add Remove View

Exhibit Sent As Paper Document

Copies of any form, report, or questionnaire that the self-regulatory organization proposes to use to help implement or operate the proposed rule change, or that is referred to by the proposed rule change.

Exhibit 4 - Marked Copies

Add Remove View

The full text shall be marked, in any convenient manner, to indicate additions to and deletions from the immediately preceding filing. The purpose of Exhibit 4 is to permit the staff to identify immediately the changes made from the text of the rule with which it has been working.

Exhibit 5 - Proposed Rule Text

Add Remove View

The self-regulatory organization may choose to attach as Exhibit 5 proposed changes to rule text in place of providing it in Item I and which may otherwise be more easily readable if provided separately from Form 19b-4. Exhibit 5 shall be considered part of the proposed rule change.

Partial Amendment

Add Remove View

If the self-regulatory organization is amending only part of the text of a lengthy proposed rule change, it may, with the Commission's permission, file only those portions of the text of the proposed rule change in which changes are being made if the filing (i.e. partial amendment) is clearly understandable on its face. Such partial amendment shall be clearly identified and marked to show deletions and additions.

1. Text of the Proposed Rule Change

(a) The text of the proposed changes to the rules of The Depository Trust Company (“DTC”) are annexed hereto as Exhibit 5.¹

(b) Not applicable.

(c) Not applicable.

2. Procedures of the Clearing Agency

The proposed rule change was approved by a Deputy General Counsel of DTC on January 14, 2020.

3. Clearing Agency’s Statement of the Purpose of, and Statutory Basis for, the Proposed Rule Change

(a) Purpose

The proposed rule change is to (i) decommission DTC’s Web Inquiry Notification System (“WINS”); (ii) update the DTC Deposits Service Guide and the DTC Corporate Actions Distributions Service Guide (collectively, “Guides”)² to direct DTC participants (“Participants”) to submit inquiries via The Depository Trust & Clearing Corporation (“DTCC”)³ Client Center,⁴ instead of using WINS; and (iii) make other technical, grammatical, and drafting updates to the Guides.

WINS was established in 2009 to replace, in part, DTC’s Participant Inquiry Notification System (“PINS”).⁵ At the time, WINS was a new, browser-based inquiry management system, through which Participants submitted inquiries about their records in various DTC services,

¹ Capitalized terms not defined herein are defined in the Rules, By-Laws and Organization Certificate of DTC (“Rules”) available at http://www.dtcc.com/~media/Files/Downloads/legal/rules/dtc_rules.pdf.

² Available at <http://www.dtcc.com/legal/rules-and-procedures>.

³ DTCC is the parent company of DTC and its affiliated clearing agencies, National Securities Clearing Corporation (“NSCC”) and Fixed Income Clearing Corporation (“FICC”). DTCC operates on a shared services model for DTC, NSCC, and FICC. Most corporate functions are established and managed on an enterprise-wide basis pursuant to intercompany agreements under which it is generally DTCC that provides a relevant service to DTC, NSCC, or FICC.

⁴ Available at <http://www.dtcc.com/client-center>.

⁵ Securities Exchange Act Release No. 60096 (June 11, 2009), 74 FR 28745 (June 17, 2009) (SR-DTC-2009-10).

including dividends, corporate reorganizations, custody services, and securities processing. WINS offered many improvements over PINS: a more streamlined process for the submission and monitoring of inquiries and requests, easier navigation and data entry, and quicker response times. WINS also provided real-time status updates via email, where the emails notified Participants that their inquiry was received, updated, or closed. Nevertheless, WINS has several drawbacks. For example, it has a rigid user interface that limits the types of inquiries that can be made. Additionally, system changes to WINS – a proprietary, legacy system – are difficult, which makes keeping pace with business improvements challenging.

To address these issues and further improve the inquiry process, DTC proposes to decommission WINS and, instead, direct Participants to the Client Center to submit inquiries. Through the Client Center, which is available via the DTCC homepage, Participants will have various options for submitting inquiries, including a general customer support line, dedicated business support lines, and the Participants' MyDTCC portal account.⁶

The inquiry submission options available through the Client Center offer improvements over WINS. For example, if a Participant chooses to submit an inquiry through a Client Center support line, the Participant will receive a live representative who will help the Participant create the inquiry request. That request, and any associated responses, then will be immediately accessible to the Participant through its MyDTCC account. Alternatively, if a Participant submits an inquiry directly through its MyDTCC account, the Participant will experience a modern user interface with enhanced functionality, including robust client support capabilities. These improved support functionalities are designed to better enable Participants to submit and manage inquiries and support requests on various issues.

To effectuate this proposed rule change, the WINS Function Guide will be deleted and references to WINS in the Guides will be updated to direct Participants to submit inquiries through the Client Center. Relatedly, a technical update will be made to the Deposits Service Guide to delete a reference to a specific Customer Help Center support line and, instead, direct Participants to the Client Center, which will provide the most current support lines. Finally, the proposed rule change will make other technical, grammatical, and drafting updates to the Guides to improve clarity and readability.

Effective Date

By February 29, 2020, Participants will no longer be permitted to submit new inquiries via WINS. Nevertheless, all inquiries previously submitted via WINS will remain accessible to Participants in WINS until the inquiries are closed. DTC plans to close all open WINS inquiries by March 31, 2020, at which time WINS will be decommissioned. Participants will be notified of specific dates, in advance, via Important Notice.

⁶ MyDTCC is a secure website portal of DTCC that provides a single point-of-entry for DTCC clients, including Participants, when obtaining access to services that require client authentication.

(b) Statutory Basis

Section 17A(b)(3)(F) of the Securities Exchange Act of 1934 (“Act”),⁷ requires that the rules of the clearing agency be designed, *inter alia*, to promote the prompt and accurate clearance and settlement of securities transactions. DTC believes that the proposed rule change is consistent with this provision of the Act.

As described above, the proposal would decommission the outdated, legacy system WINS, through which Participants submit service inquiries, including inquiries regarding their clearance and settlement activity at DTC. Instead, the Guides would be updated to direct Participants to submit inquiries and contact customer support through the Client Center, which offers various inquiry submission options (e.g., customer support lines and the MyDTCC account portal), with improved functionality over WINS. Additionally, as noted above, the proposal will make various technical, grammatical, and drafting updates to the Guides.

By removing WINS and directing inquiries through the options available on the Client Center, the proposal will improve the means by which Participants submit service inquiries and, in turn, receive responses, including inquiries and responses regarding clearance and settlement activity. Similarly, by deleting a reference to a specific Customer Help Center support line, in favor of support lines available in the Client Center, and by making technical, grammatical, and drafting updates to the Guides, the Guides will be clearer, more readable, and provide the most up-to-date customer support information to help manage Participant questions about their clearance and settlement activity.

Therefore, for the above reasons, DTC believes that the proposed rule change helps promote the prompt and accurate clearance and settlement of securities transactions, consistent with Section 17(A)(b)(3)(F) of the Act.⁸

4. Clearing Agency’s Statement on Burden on Competition

DTC does not believe that the proposed rule change will have any impact on competition because neither the decommissioning of WINS nor the other related, technical, grammatical, and drafting updates to the Guides, as described above, will change the ability of Participants to submit support inquiries or contact customer support, as Participants will be directed to do both through the Client Center.

5. Clearing Agency’s Statement on Comments on the Proposed Rule Change Received from Members, Participants, or Others

Written comments relating to this proposed rule change have not been solicited or received. DTC will notify the Commission of any written comments received by DTC.

⁷ 15 U.S.C. 78q-1(b)(3)(F).

⁸ Id.

6. Extension of Time Period for Commission Action

Not applicable.

7. Basis for Summary Effectiveness Pursuant to Section 19(b)(3) or for Accelerated Effectiveness Pursuant to Section 19(b)(2)

(a) The proposed rule change is to take effect immediately upon filing pursuant to Section 19(b)(3)(A) of the Act⁹ and subparagraph (f)(4)(i) of Rule 19b-4 under the Act.¹⁰

(b) In accordance with subparagraph (f)(4)(i) of Rule 19b-4 under the Act,¹¹ the proposed rule change effects a change in an existing DTC service that (A) does not adversely affect the safeguarding of securities or funds in the custody or control of DTC or for which it is responsible, and (B) does not significantly affect the respective rights or obligations of DTC or persons using the service because the decommissioning of WINS and the other related, technical, grammatical, and drafting updates to the Guides neither involve the safeguarding of securities or funds in DTC's custody or control nor significantly affect the respective rights or obligations of Participants to submit inquiry requests or contact customer support, as Participants will be direct to continue to do both through the Client Center.

(c) Not applicable.

(d) Not applicable.

8. Proposed Rule Change Based on Rules of Another Self-Regulatory Organization or of the Commission

Not applicable.

9. Security-Based Swap Submissions Filed Pursuant to Section 3C of the Act

Not applicable.

10. Advance Notice Filed Pursuant to Section 806(e) of the Payment, Clearing and Settlement Supervision Act of 2010

Not applicable.

⁹ 15 U.S.C. 78s(b)(3)(A).

¹⁰ 17 CFR 240.19b-4(f)(4)(i).

¹¹ Id.

11. Exhibits

Exhibit 1 – Not applicable.

Exhibit 1A – Notice of proposed rule change for publication in the Federal Register.

Exhibit 2 – Not applicable.

Exhibit 3 – Not applicable.

Exhibit 4 – Not applicable.

Exhibit 5 – Proposed changes to the WINS Function Guide, DTC Deposits Service Guide, and the DTC Corporate Actions Distributions Service Guide.

EXHIBIT 1A

SECURITIES AND EXCHANGE COMMISSION
(Release No. 34-[_____]; File No. SR-DTC-2020-002)

[DATE]

Self-Regulatory Organizations; The Depository Trust Company; Notice of Filing and Immediate Effectiveness of a Proposed Rule Change to Decommission the Web Inquiry Notification System and Make Other Related and Technical Changes

Pursuant to Section 19(b)(1) of the Securities Exchange Act of 1934 (“Act”)¹ and Rule 19b-4 thereunder,² notice is hereby given that on January __, 2020, The Depository Trust Company (“DTC”) filed with the Securities and Exchange Commission (“Commission”) the proposed rule change as described in Items I, II and III below, which Items have been prepared by the clearing agency. DTC filed the proposed rule change pursuant to Section 19(b)(3)(A) of the Act³ and Rule 19b-4(f)(4) thereunder.⁴ The Commission is publishing this notice to solicit comments on the proposed rule change from interested persons.

I. Clearing Agency’s Statement of the Terms of Substance of the Proposed Rule Change

The proposed rule change is to (i) decommission DTC’s Web Inquiry Notification System (“WINS”); (ii) update the DTC Deposits Service Guide and the DTC Corporate Actions Distributions Service Guide (collectively, “Guides”)⁵ to direct DTC participants

¹ 15 U.S.C. 78s(b)(1).

² 17 CFR 240.19b-4.

³ 15 U.S.C. 78s(b)(3)(A).

⁴ 17 CFR 240.19b-4(f)(4).

⁵ Available at <http://www.dtcc.com/legal/rules-and-procedures>.

(“Participants”) to submit inquiries via The Depository Trust & Clearing Corporation (“DTCC”)⁶ Client Center,⁷ instead of using WINS; and (iii) make other technical, grammatical, and drafting updates to the Guides.

II. Clearing Agency’s Statement of the Purpose of, and Statutory Basis for, the Proposed Rule Change

In its filing with the Commission, the clearing agency included statements concerning the purpose of and basis for the proposed rule change and discussed any comments it received on the proposed rule change. The text of these statements may be examined at the places specified in Item IV below. The clearing agency has prepared summaries, set forth in sections A, B, and C below, of the most significant aspects of such statements.

(A) Clearing Agency’s Statement of the Purpose of, and Statutory Basis for, the Proposed Rule Change

1. Purpose

The proposed rule change is to (i) decommission WINS; (ii) update the Guides to direct Participants to submit inquiries via the DTCC Client Center, instead of using WINS; and (iii) make other technical, grammatical, and drafting updates to the Guides.

⁶ DTCC is the parent company of DTC and its affiliated clearing agencies, National Securities Clearing Corporation (“NSCC”) and Fixed Income Clearing Corporation (“FICC”). DTCC operates on a shared services model for DTC, NSCC, and FICC. Most corporate functions are established and managed on an enterprise-wide basis pursuant to intercompany agreements under which it is generally DTCC that provides a relevant service to DTC, NSCC, or FICC.

⁷ Available at <http://www.dtcc.com/client-center>.

WINS was established in 2009 to replace, in part, DTC's Participant Inquiry Notification System ("PINS").⁸ At the time, WINS was a new, browser-based inquiry management system, through which Participants submitted inquiries about their records in various DTC services, including dividends, corporate reorganizations, custody services, and securities processing. WINS offered many improvements over PINS: a more streamlined process for the submission and monitoring of inquiries and requests, easier navigation and data entry, and quicker response times. WINS also provided real-time status updates via email, where the emails notified Participants that their inquiry was received, updated, or closed. Nevertheless, WINS has several drawbacks. For example, it has a rigid user interface that limits the types of inquiries that can be made. Additionally, system changes to WINS – a proprietary, legacy system – are difficult, which makes keeping pace with business improvements challenging.

To address these issues and further improve the inquiry process, DTC proposes to decommission WINS and, instead, direct Participants to the Client Center to submit inquiries. Through the Client Center, which is available via the DTCC homepage, Participants will have various options for submitting inquiries, including a general customer support line, dedicated business support lines, and the Participants' MyDTCC portal account.⁹

⁸ Securities Exchange Act Release No. 60096 (June 11, 2009), 74 FR 28745 (June 17, 2009) (SR-DTC-2009-10).

⁹ MyDTCC is a secure website portal of DTCC that provides a single point-of-entry for DTCC clients, including Participants, when obtaining access to services that require client authentication.

The inquiry submission options available through the Client Center offer improvements over WINS. For example, if a Participant chooses to submit an inquiry through a Client Center support line, the Participant will receive a live representative who will help the Participant create the inquiry request. That request, and any associated responses, then will be immediately accessible to the Participant through its MyDTCC account. Alternatively, if a Participant submits an inquiry directly through its MyDTCC account, the Participant will experience a modern user interface with enhanced functionality, including robust client support capabilities. These improved support functionalities are designed to better enable Participants to submit and manage inquiries and support requests on various issues.

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Effective Date

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decommissioned. Participants will be notified of specific dates, in advance, via Important Notice.

2. Statutory Basis

Section 17A(b)(3)(F) of the Act,¹⁰ requires that the rules of the clearing agency be designed, inter alia, to promote the prompt and accurate clearance and settlement of securities transactions. DTC believes that the proposed rule change is consistent with this provision of the Act.

As described above, the proposal would decommission the outdated, legacy system WINS, through which Participants submit service inquiries, including inquiries regarding their clearance and settlement activity at DTC. Instead, the Guides would be updated to direct Participants to submit inquiries and contact customer support through the Client Center, which offers various inquiry submission options (e.g., customer support lines and the MyDTCC account portal), with improved functionality over WINS. Additionally, as noted above, the proposal will make various technical, grammatical, and drafting updates to the Guides.

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¹⁰ 15 U.S.C. 78q-1(b)(3)(F).

information to help manage Participant questions about their clearance and settlement activity.

Therefore, for the above reasons, DTC believes that the proposed rule change helps promote the prompt and accurate clearance and settlement of securities transactions, consistent with Section 17(A)(b)(3)(F) of the Act.¹¹

(B) Clearing Agency's Statement on Burden on Competition

DTC does not believe that the proposed rule change will have any impact on competition because neither the decommissioning of WINS nor the other related, technical, grammatical, and drafting updates to the Guides, as described above, will change the ability of Participants to submit support inquiries or contact customer support, as Participants will be directed to do both through the Client Center.

(C) Clearing Agency's Statement on Comments on the Proposed Rule Change Received from Members, Participants, or Others

Written comments relating to this proposed rule change have not been solicited or received. DTC will notify the Commission of any written comments received by DTC.

III. Date of Effectiveness of the Proposed Rule Change, and Timing for Commission Action

The foregoing rule change has become effective pursuant to Section 19(b)(3)(A) of the Act¹² and paragraph (f) of Rule 19b-4 thereunder.¹³ At any time within 60 days of the filing of the proposed rule change, the Commission summarily may temporarily suspend such rule change if it appears to the Commission that such action is necessary or

¹¹ Id.

¹² 15 U.S.C. 78s(b)(3)(A).

¹³ 17 CFR 240.19b-4(f).

appropriate in the public interest, for the protection of investors, or otherwise in furtherance of the purposes of the Act.

IV. Solicitation of Comments

Interested persons are invited to submit written data, views and arguments concerning the foregoing, including whether the proposed rule change is consistent with the Act. Comments may be submitted by any of the following methods:

Electronic Comments:

- Use the Commission's Internet comment form (<http://www.sec.gov/rules/sro.shtml>); or
- Send an e-mail to rule-comments@sec.gov. Please include File Number SR-DTC-2020-002 on the subject line.

Paper Comments:

- Send paper comments in triplicate to Secretary, Securities and Exchange Commission, 100 F Street, NE, Washington, DC 20549.

All submissions should refer to File Number SR-DTC-2020-002. This file number should be included on the subject line if e-mail is used. To help the Commission process and review your comments more efficiently, please use only one method. The Commission will post all comments on the Commission's Internet website (<http://www.sec.gov/rules/sro.shtml>). Copies of the submission, all subsequent amendments, all written statements with respect to the proposed rule change that are filed with the Commission, and all written communications relating to the proposed rule change between the Commission and any person, other than those that may be withheld from the public in accordance with the provisions of 5 U.S.C. 552, will be available for

website viewing and printing in the Commission's Public Reference Room, 100 F Street, NE, Washington, DC 20549 on official business days between the hours of 10:00 a.m. and 3:00 p.m. Copies of the filing also will be available for inspection and copying at the principal office of DTC and on DTCC's website (<http://dtcc.com/legal/sec-rule-filings.aspx>). All comments received will be posted without change. Persons submitting comments are cautioned that we do not redact or edit personal identifying information from comment submissions. You should submit only information that you wish to make available publicly. All submissions should refer to File Number SR-DTC-2020-002 and should be submitted on or before [insert date 21 days from publication in the Federal Register].

For the Commission, by the Division of Trading and Markets, pursuant to delegated authority.¹⁴

Secretary

¹⁴ 17 CFR 200.30-3(a)(12).

Bold, underlined text indicates proposed added language.

~~Bold, strikethrough text~~ indicates proposed deleted language.

[WINS FUNCTION GUIDE]

WINS:

Overview

~~The Web Inquiry Notification System (WINS) allows you to notify DTC of differences between your records and ours regarding a specific activity. In turn, WINS allows DTC to send replies back to you. Notifications are currently handled for:~~

- ~~• Dividends~~
- ~~• Stock Dividends~~
- ~~• Redemptions~~
- ~~• Custody~~
 - ~~Reorg Mandatory~~
 - ~~Reorg Voluntary~~
 - ~~Reorg Announcements~~
 - ~~Securities Processing~~

When to Use

~~Use WINS when you want to:~~

- ~~• Add notifications to the system, report activity differences to DTC. See Create New Inquiry.~~
- ~~• Inquire about the status of an existing notification. See Research Recent Inquiries.~~
- ~~• Browse lists of open, closed, and interim notifications. See Interim Responses. Search for an inquiry that has been archived. See Inquiry Archive Research.~~
- ~~• Reopen closed notifications. See Reopen an inquiry.~~
- ~~• Cancel previously entered notifications. See Cancel an Inquiry.~~

Creating a New Inquiry

~~Use the following procedure to notify DTC of a difference between your records and ours regarding a specific activity.~~

- ~~1. Select WINS from the Participant Browser Home page~~
- ~~2. Click Create new Inquiry tab—This will bring you to the ENTER Inquiry Details screen.~~

-
- ~~1. Select the Department.~~
 - ~~2. Select the Product.~~

~~3. Select the Issue.~~

~~4. Type the CUSIP number. It must be a 9 character alphanumeric value.~~

~~Click Continue on the screen where you selected the Inquiry Type.~~

- ~~▪ Depending on the Inquiry Type, the options you can select in the Additional Inquiry Details table will be different.~~
- ~~▪ Click the Continue button to go to the Review and Submit Your Inquiry screen.~~

~~1. To submit the inquiry, click the Submit Inquiry button.~~

~~2. A message will display at the top of the screen to notify you that the inquiry has been successfully created.~~

~~3. Click the Return Home button to head back to the home page~~

~~Cancel an Inquiry~~

~~1. Click the Cancel button on the row of the inquiry that you wish to cancel. A pop-up appears asking you to confirm that you would like to cancel the inquiry.~~

~~2. On the pop-up, click the Cancel Inquiry button.~~

~~Click the View button on the row of the inquiry that you wish to cancel. This will open an overview page of that inquiry.~~

~~Click the Cancel Inquiry button. A pop-up appears asking you to confirm that you would like to cancel the inquiry.~~

~~On the pop-up, click the Cancel Inquiry button.~~

~~After confirming that you wanted to cancel that inquiry, a message is displayed indicating that the inquiry has successfully been canceled.~~

~~Click the Return Home button to head back to the home page. The inquiry is no longer listed on that page.~~

~~Research Recent Inquiries~~

~~The WINS System allows you to search for inquiries previously entered in the system right from the home page.~~

~~Searching Archived Inquiries~~

~~1. Select or type your search criteria below:~~

~~Creation Mode—Specify if the inquiry you are searching for was submitted over the phone or via the Web.~~

~~CUSIP—Type the CUSIP number you associated with the inquiry.~~

~~Ticket Number—Type the ticket number assigned to the inquiry.~~

~~Inquiry Type—Select the type of inquiry.~~

~~Inquiry Date Range—Type or select the timeframe in which the inquiry was created.~~

~~Created By—Select the user who created the inquiry.~~

~~Status—Indicate whether the inquiry you are searching for is opened or closed.~~

~~Click Apply Filters to search for inquiries that meet those specifications. The page will refresh and display only the inquiries that match all the filters you selected.~~

~~Interim Response Notification~~

~~Next to the status of an inquiry on your home page, you might see an envelope icon. If this appears, that means you have a message related to that inquiry (“interim response”).~~

~~Viewing an Interim Response~~

- ~~1. Click the View button. The Open Inquiry page appears.~~
- ~~2. You can view the message in the DTCC Response section of the page.~~

~~Click the Return Home button to head back to the home page. The envelope indicating that there was an interim response is no longer present.~~

~~Reopening a Closed Inquiry~~

~~In the status column of your home page, an inquiry can be labeled either Open or Closed.~~

- ~~1. Click the View button. The Closed Inquiries page appears displaying the details of that inquiry.~~
- ~~2. In the DTCC Response section, the top response relates to the inquiry being closed. Click the Reopen Inquiry button in that response. The screen will then refresh.~~
- ~~3. In the Comments field, enter the reason why you are reopening the inquiry.~~
- ~~4. Click the Submit Inquiry button.~~
- ~~5. Here you are asked to confirm that you want to reopen this inquiry. Click the Continue button to proceed.~~

~~Accessing the Archive~~

- ~~1. Click either the Inquiry Archive tab or the Inquiry Archive link (on home page only) to access the archive. Once the archive is open, you will be able to see all the options you can use to search.~~

~~Searching Archived Inquiries~~

~~Select or type your search criteria in any of the fields below:~~

~~Creation Mode—Specify if the inquiry you are searching for was submitted over the phone or via the Web.~~

~~CUSIP—Type the CUSIP number you associated with the inquiry.~~

~~Ticket Number—Type the ticket number assigned to the inquiry.~~

~~Inquiry Type—Select the type of inquiry.~~

~~Inquiry Date Range—Type or select the timeframe in which the inquiry was created.~~

[DEPOSITS SERVICE GUIDE]

Deposits Checklist for DAMP Deposits

Participants can ~~call the Customer Help Center at (888) 360-3822, option 4 then option 3,~~ **reach customer support** or submit an ~~an~~ **WINS** inquiry **through the DTCC Client Center** if a problem arises.

[DTC CORPORATE ACTIONS DISTRIBUTIONS SERVICE GUIDE]

SUPPORT FOR DISTRIBUTIONS INQUIRIES

DTC provides ~~you~~ **Participants** with resources for solving the day-to-day questions and/or problems associated with Distributions event processing. Common inquiries via CA Web or ~~WINS~~ the **DTCC Client Center** include but are not limited to the categories listed below. Note that ~~you~~ **Participants** can submit ~~an event-specific automated inquiry~~ **automated inquiries concerning specific Distribution events** to DTC directly from CA Web.

Information on or questions about the accuracy of:

- Record dates
- Payable dates
- Ex dates
- Rates
- Pool factors
- Calculation methods
- Payment frequency or mode of payment
- Claims
- Adjustments
- Amount of dividend or interest paid

~~Participants can submit automated inquiries concerning specific Distribution events directly from CA Web or via the PTS/PBS Web Inquiry Notification System (WINS).~~