



Important Notice

The Depository Trust & Clearing Corporation

Z #:	Z0036
Date:	November 2, 2012
To:	All DTC, FICC and NSCC Participants
From:	General Counsel's Office
Attention:	Managing Partner/Officer; Operations Partner/Officer; Settlement Manager/Cashier; Treasury Operations Manager/Officer
Subject:	DTCC Client Update on Superstorm Sandy

DTCC is operational from its alternate data and operations centers. Our headquarters location in lower Manhattan has sustained significant water damage as a result of storm flooding. While we are closely monitoring the situation, the building remains inaccessible until power is restored and an on-site health and safety inspection can be completed.

We continue to provide transaction processing and settlement, following our company-established emergency response procedures. Our subsidiaries, DTC, FICC and NSCC, including Mutual Funds Services, Insurance and Retirement Services and Alternative Investment Products services, are following their normal processing schedules for all transactions and applications. Normal business operations continue for DDR Swap Data Repository, Trade Information Warehouse, ODRF Reporting, PayRec service, and Equity Cashflow Matching.

All deadlines for NSCC and FICC clearing fund, DTC participants fund, settlement and other processes continue to be met.

With the daily production activities now becoming BAU, our technology teams have started to focus on establishing a PSE (test) environment for our clients. Planning is underway and we hope to share the details of this activity early next week.

Physical Certificates and Custody Services

DTCC has re-established critical processing and mechanisms for clients to receive position credit for deposits, reorg entitlements, and Direct Registration System (DRS) statement withdrawals. DTCC began supporting Deposit Services yesterday for clients able to make delivery of physical securities to DTCC's Brooklyn location. The company is working with its courier services to have all receipted packages routed to this recovery facility. All other services related to physical securities processing are expected to follow in the next several days.

Telephone Numbers

If you have any issues or concerns, or need to notify us of your contingency plans, please use the following list of numbers to reach DTCC Operations staff in our Tampa office:

DTCC offers enhanced access to all important notices via a Web-based subscription service. The notification system leverages RSS Newsfeeds, providing significant benefits including real-time updates and customizable delivery. To learn more and to set up your own DTCC RSS alerts, visit http://www.dtcc.com/subscription_form.php.

Non-Confidential

Customer Support Center

855-229-6762

csc@dtcc.com

Client Account Representative Team**Clearance/Settlement/Depository Services**

813-470-1220

813-470-1230

813-470-1221

813-470-1617

813-470-1231

813-470-1222

800-422-0582

WMS/Insurance/AIP

813-470-1532

813-470-1163

Relationship Management

813-470-1200

Enterprise Service Center (ESC)

813-470-1543

813-470-1537

212-855-5947

Business and Technical Support

813-470-1523

813-470-1513

813-470-1536

813-470-1517

813-470-1534

813-470-1506

813-470-1516

813-470-1576

813-470-1594

813-470-1556

813-470-1555

718-510-5339

Customer Help Center

813-470-1169

813-470-1203

813-470-1141

813-470-1581

813-470-1561

Settlement

813-470-1021

813-470-1029

CNS/CMU

813-470-1033

813-470-1022

FICC-GSD

813-470-2615

FICC-MBSD

813-470-2638

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855-229-6762

csc@dtcc.com

Customer Help Center (CHC)

888-382-2721

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813-470-2638

Voluntary Reorganization

813-470-1020
813-470-2230
813-470-1191

Mandatory Reorganization

813-470-1131
813-470-1213
813-470-1136

Stock Dividend/Tax Services/Dividend International

813-470-1075
813-470-1568
813-470-1254

Dividends/Redemptions

813-470-2210

813-470-1550

813-470-1160

813-470-1591

Operations Balancing and Control

813-470-1130

813-470-1192

813-470-1166

Underwriting

813-470-1010 (alternative closing call hotline, stay on the line, do not use the options)

813-470-1031

813-470-1043

813-470-1057

813-470-1053

813-470-1065

DerivSERV/LoanSERV/GTR

020-7650-1467 (London)