

PTS

**Custody User
Guide**



The primary purpose of this User Guide is to familiarize DTC participants with the Custody Service offered by DTC. Participants should refer to the Custody Service Guide for the legal obligations of all parties concerned. This User Guide is not intended to serve as a legal document. No statement in this User Guide should be construed as a legally binding rule or regulation, or as creating an obligation on the part of DTC or any person.

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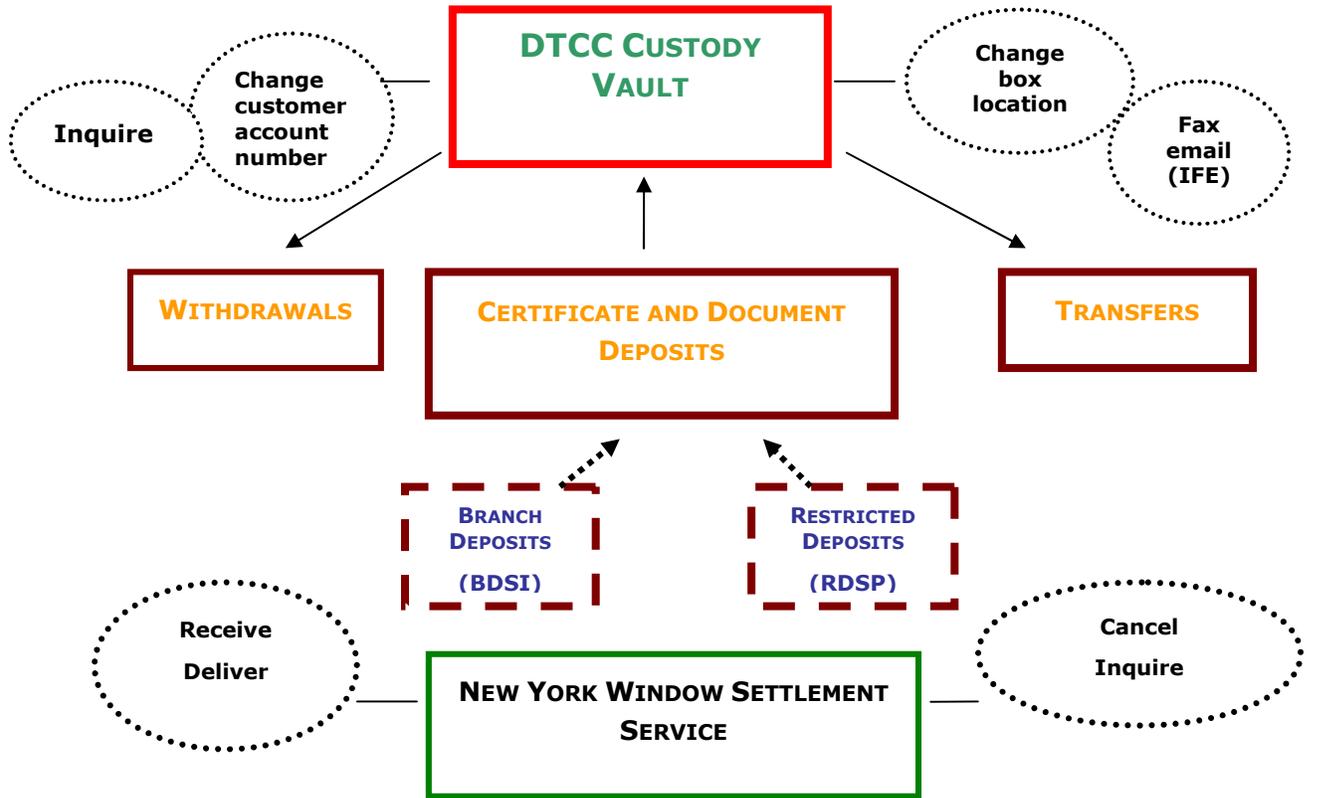
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About Custody

DTC's Custody Service allows you to outsource all or part of your physical securities inventory for safekeeping. When Regular Custody Services are used in conjunction with DTC's Branch Deposit Service (BDS), Restricted Deposit Service (RDS), and New York Window (NYW) Service, Custody participants are able to retain control of their securities without having to handle and secure them.

The Custody Service allows you to deposit securities not traditionally eligible for DTC, including securities such as customer-registered custodial assets, restricted shares, and certain DTC-ineligible securities such as certificated money market instruments (MMIs), private placements, and limited partnerships.

THE DTCC CUSTODY SERVICE



Procedures

MAKING A SECURITY DEPOSIT

Use this procedure when you want to make a deposit of securities into your custody account. Refer to the procedures for Branch deposits (BDSI function) and Restricted deposits (RDSP function) to obtain information on how to make these kinds of deposits.

- 1 Log in to the PTS **CUST** function, and type **1** in the **Option** field on the Main Menu.



- 2 Press **ENTER**. The Security Deposit – Certificate Screen appears.



- 3 Enter the following:

- Reference ID in the following format - CCYYMMDDBBBBSSSS
 - CCYYMMDD - the deposit date
 - BBBB - office/branch number with leading zero.
 - SSSS - sequence number for the deposit for that office/branch

Note: For the Worthless Securities conversion, use the Deposit ID on the coversheet as the reference ID.

- Customer account number in the **Cust Acct Num** field.

Note: Since worthless securities will be deposited by CUSIP not customer account number, type all zeros in this field.

- Location – Box Number at DTC – For Worthless Securities it is 906. If you don't know the location codes, press **PF2/14** to get the Location Codes Help Screen.
- CUSIP Number on the certificate
- Deposit Quantity (###.##### format) – this is the total quantity of shares in the deposit
- Same Day = **N**
Y/N – The default is **N**.
- Certificate identification number for a single certificate. For a sequence of certificates enter a valid prefix, start sequence number and end sequence number.
- Denomination amount – this is the number of shares on the certificate
- Issuance Date of the certificate
- Restriction Ind – **Y** (Yes) or **N** (No) if restricted or not
- Expiration Date - Optional field
- Registration as it appears on the certificate

4 Press **PF4/16** if there are documents associated with this deposit. The Security Deposit - Documents screen appears.



5 Type information in the following fields:

- **Code:** 3-digit document code (press **PF2/14** for a list of codes)
- **Exp Date:** The expiration date (if applicable)
- **Number:** The number of documents.

6 Press **PF1/13** to update.


```

DEPOSITORY TRUST COMPANY          12/03/08
PARTICIPANT CUSTODY SYSTEM        11:17:01
DOCUMENT DEPOSIT - CERTIFICATE SUMMARY  PAGE 01 OF 01

REF ID: 2000033000030198  CUST ACCT NUM:
CUSIP: 459200101          DEPOSIT QTY: 40.00000  LOCATION: 947

      CERT ID      DENOMINATION      ISSUANCE      RESTRICTION
      -----      -----      -----      -----
      - 000ZQA566314  30.00000  05/26/79  N
      - 00000A125357   8.00000  05/17/73  N
      - 00000D303530   2.00000  11/26/73  N

PF2: HELP          PF6: PREV          PF7: MENU
PF8: EXIT FUNC     PF9: SIGN OFF     PF10: PG BWD      PF11: PG FWD

```

- Type **R** to the left of a selected Certificate ID on the Document Deposit - Certificate Summary screen.

The Document Deposit – Registration screen appears.

```

DEPOSITORY TRUST COMPANY          12/03/08
PARTICIPANT CUSTODY SYSTEM        11:16:11
DOCUMENT DEPOSIT REGISTRATION

REF ID: 2000033000030198  CUST ACCT NUM:
CUSIP: 459200101          DEPOSIT QTY: 40.00000  LOCATION: 947

      REGISTRATION
      -----
      ELLIOT JAFF
      C/O DRESS BARN

PF6: PREV          PF7: MENU          PF8: EXIT FUNC     PF9: SIGN OFF

```

- Type the required information on the Document Deposit – Process screen.

```

DEPOSITORY TRUST COMPANY          12/03/08
PARTICIPANT CUSTODY SYSTEM        11:16:40
DOCUMENT DEPOSIT - PROCESS        PAGE 01 OF 01

REF ID: 2000033000030198      CUST ACCT NUM:
CUSIP: 459200101              DEPOSIT QTY: 40.00000      LOCATION: 947

NEW LOC      SAME DAY
-----
- - - - -
DOCUMENT CODE  EXP DATE  STATE CODE  DOCUMENT CODE  EXP DATE  STATE CODE
-----
- - - - -
- - - - -
- - - - -
- - - - -
- - - - -

PF1: UPDATE   PF2: LOC CODES  PF4: DOC CODES  PF6 : PREV
PF7: MENU     PF8: EXIT FUNC  PF9: SIGN OFF  PF10: PG BWD  PF11: PG FWD

```

8 Press **ENTER** to validate the data.

If there are no errors, the message PRESS PF1/13 TO UPDATE appears.

9 Press **PF1/13**.

The message UPDATE SUCCESSFUL appears.

TRANSFERRING SECURITY FROM THE FREE POSITION AND REQUESTING BREAKDOWNS

Use this procedure when you want to transfer security from the DTC free position and request certificates in specific denominations from the transfer agent.

- 1 Log in to the PTS **CUST** function and type **3** in the **Option** field on the Main Menu.

The Transfer From DTC Free – Process screen appears.

```

DEPOSITORY TRUST COMPANY      12/03/08
PARTICIPANT CUSTODY SYSTEM    11:43:13
TRANSFER FROM DTC FREE - PROCESS

REF ID: 200812030050_____ CUST ACCT NUM: _____ RUSH IND: -
CUSIP: _____ DEPOSIT QTY: _____ LOCATION: _____
TAX ID: _____ TAX WH: _____ TRF TYPE: _____
UIT CD: _____ UIT CUSIP: _____ CITIZEN/LP: _____
AGT ID: _____ INT CUST: _____ CORR ACT: _____

----- REGISTRATION -----
-----
-----
-----
-----
-----
-----

PF1: UPDATE      PF2: LOC CODES      PF4: BREAKDOWN
PF7: MENU        PF8: EXIT FUNC      PF9: SIGN OFF
```

- 2 Type information in the required fields.

- 3 Press **ENTER** to validate the data.

If there are no errors, the message PRESS PF1/13 TO UPDATE appears

- 4 Press **PF1/13**.

The message UPDATE SUCCESSFUL appears.

- 5 Press **PF4/16** on the Transfer From DTC Free – Process screen.

The Transfer From DTC Free – Process Breakdown screen.

```

PRESS PF1 TO UPDATE
                                DEPOSITORY TRUST COMPANY           12/03/08
000000                          PARTICIPANT CUSTODY SYSTEM        11:44:54
                                TRANSFER FROM DTC FREE - PROCESS

REF ID: 200812030050_----    CUST ACCT NUM: 1111
CUSIP: 459200101            DEPOSIT QTY: 1,000.00000    LOCATION: 901

----- BREAKDOWN -----

NUM      DENOMINATION      NUM      DENOMINATION
001      100.00000          008      50.00000
001      500.00000          ---      -----
---      -----          ---      -----
---      -----          ---      -----
---      -----          ---      -----

PF1: UPDATE      PF2: LOC CODES      PF4: REGISTRATION
PF7: MENU        PF8: EXIT FUNC     PF9: SIGN OFF

```

6 Type information in the following fields:

- Num
- Denomination

7 Press **PF1/13** to update.

TRANSFERRING SECURITY FROM CUSTODY TO THE DTC FREE POSITION AND REQUESTING BREAKDOWNS

Use this procedure when you want to transfer security from the Custody position to the DTC free position and request certificates in specific denominations from the transfer agent.

- 1 Log in to the PTS **CUST** function and type **4** in the **Option** field on the Main Menu and press **ENTER**.

The Transfer From Custody – Deposit Summary screen appears.

```

0000000
DEPOSITORY TRUST COMPANY                                03/15/07
PARTICIPANT CUSTODY SYSTEM                             14:06:07
TRANSFER FROM CUSTODY - DEPOSIT SUMMARY                PAGE 01 OF 01

REF ID      CUST ACCT NUM      CUSIP      DEPOSIT QUANTITY      LOC
-----
5 20060502MEX00071  DATA MASKED  459200101      1.00000      902
  20061221SLX00106  DATA MASKED  459200101      16.00000      902

PF7: HELP          PF7: MENU          PF8: EXIT FUNC
PF9: SIGN OFF      PF10: PG BWD      PF11: PG FWD
RM 00:00.1 11/02
  
```

- 2 Type **S** next to the reference number you select and press **ENTER**.

The Transfer From Custody – Process screen appears.

```

ENTER DESTINATION/LOCATION
0000000
DEPOSITORY TRUST COMPANY                                03/15/07
PARTICIPANT CUSTODY SYSTEM                             14:08:15
TRANSFER FROM CUSTODY - PROCESS                        PAGE 01 OF 01

REF ID: 20060502MEX00071  CUST ACCT NUM: DATA MASKED  RUSH IND: N
CUSIP: 459200101          DEPOSIT QTY: 1.00000        LOCATION: 902

TRANSFER QTY  TRANSFER REF ID  DEST/LOC  MAIL TYPE  TRF TYPE
  1.00000    200703150005    010      -          -

TAXPAYER ID  TAX INT  CITIZEN/JP  LIT CD  UT CUSIP
-----
REGISTRATION                                MAIL TO NAME/ADDRESS
-----
PF1: UPDATE  PF2: LOC CODES  PF4: BREAKDOWN  PF5: HELP  PF6: PREV
PF7: MENU    PF8: EXIT FUNC  PF9: SIGN OFF   PF10: PG BWD  PF11: PG FWD
RM 00:00.1 11/46
  
```

- 3 Type applicable information in the following fields:

- **Rush Ind**

- **Location**
- **Mail Type**
- **TRF Type**
- **Taxpayer ID**

Other fields are optional.

4 Press **ENTER** to validate the data.

If there are no errors, the message PRESS PF1/13 TO UPDATE appears

5 Press **PF1/13**.

The message UPDATE SUCCESSFUL appears.

PROCESSING WITHDRAWALS

Use this procedure when you want to withdraw securities from your custody account.

- 1 Log in to the PTS **CUST** function, and type **5** in the **Option** field on the Main Menu.
- 2 Type information in any of the following fields:
 - **Ref ID**
 - **CUSIP**
 - **Cust Acct Num**
- 3 Press **ENTER**.

The Withdrawal – Deposit Summary screen appears.

```
0000000 DEPOSITORY TRUST COMPANY 11/20/06
PARTICIPANT CUSTODY SYSTEM 10:42:09
WITHDRAWAL - DEPOSIT SUMMARY PAGE 01 OF 03
```

REF ID	CUST ACCT NUM	CUSIP	DEPOSIT QUANTITY	LOC
S 19960628NY 052	012345678	459200101	100.00000	903
- 19960628NY 054	012345678	459200101	65.00000	903
- 19960712NY 057	012345678	459200101	41.00000	902
- 19970625NY 000	012345678	459200101	100.00000	903
- 19971231NY 006	012345678	459200101	50.00000	903
- 19971231NY 006	012345678	459200101	50.00000	903
- 19980429CI 000	012345678	459200101	8.00000	902
- 19980824NY 001	012345678	459200101	10.00000	903
- 19990601SF 008	012345678	459200101	100.00000	903
- 19990602NY 003	012345678	459200101	200.00000	903

PF2: HELP PF7: MENU PF8: EXIT FUNC
PF9: SIGN OFF PF10: PG BWD PF11: PG FWD

400 :00.1 10/002

Full Withdrawal

- 1 Type **S** to the left of a selected item.
- 2 Press **ENTER**.

The Withdrawal Process screen appears.

```
0000000 DEPOSITORY TRUST COMPANY 11/20/06
PARTICIPANT CUSTODY SYSTEM 10:42:47
WITHDRAWAL - PROCESS
```

REF ID: 19960628NY 052 CUST ACCT NUM: 012345678 LOCATION: 903
CUSIP: 459200101 DEPOSIT QTY: 100.00000

SAME/NEXT DAY: S

DEST CODE	MAILING TYPE	MAILING ADDRESS
1. PICK UP	1. 1ST CLASS	_____
2. DELIVER	2. FEDEX	_____
3. MAIL TO CUSTOMER	3. DFL	_____
4. NY WINDOWS	4. UPS	_____
5. RESTRICTED DEPOSIT	5. AIRBORNE	_____
6. NFE DEPOSIT		_____

PF1: UPDATE PF7: MENU PF8: EXIT FUNC PF9: SIGN OFF
PF6: PREV

400 :00.1 10/019

- 3 Type the applicable information in the following fields:

- Same/Next Day
- Dest Code
- Cust Acct Num

4 Press **PF1/13**.

Partial Withdrawal

1 Type **D** to the left of a selected item on the Withdrawal Deposit – Summary screen.

2 Press **ENTER**.

The Withdrawal – Certificate Summary screen appears.



3 Type:

- **R**: to view registration details
- **P**: to the left of a selected item to select a certificate for partial withdrawal.

4 Press **ENTER**.

If you typed **R** the Withdrawal – Certificate Registration screen appears.



If you typed **P**, the Withdrawal – Process screen appears.

```

00000000                                DEPOSITORY TRUST COMPANY                11/20/06
                                           PARTICIPANT CUSTODY SYSTEM          10:42:47
                                           WITHDRAWAL - PROCESS

REF ID: 19960628NY 052 :                CUST ACCT NUM: 012345678
CUSIP: 459200101                        DEPOSIT QTY: 100.00000                LOCATION: 903

SAME/NEXT DAY: S
-----
DEST CODE                                MAILING TYPE                                MAILING ADDRESS
-----
1. PICK UP                               1. 1ST CLASS
2. DELIVER                               2. FEDEX
3. MAIL TO CUSTOMER                     3. DHL
4. NY WINDOWS                           4. UPS
5. RESTRICTED DEPOSIT                   5. AIRBORNE
6. NFE DEPOSIT

PF1: UPDATE                               PF7: MENU
PF6: PREV                                PF8: EXIT FUNC
                                           PF9: SIGN OFF
00.1                                     10/019

```

5 Type the applicable information in the following fields on the Withdrawal – Process screen

- **Same/Next Day (S/N)**
- **Dest Code**
- **Mailing Type** (leave blank for NY Window)
- **Mailing Address** (leave blank for NY Window)

6 Press **PF1/13** to update.

CHANGING CUSTODY BOX LOCATION

Use this procedure when you want to move your certificates from one custody box location to another.

- 1 Log in to the PTS **CUST** function, and type **6** in the **Option** field on the main Menu.
- 2 Type the applicable information in any of the following fields:
 - **Ref ID**
 - **CUSIP**
 - **Cust Acct Num**
- 3 Press **ENTER**.

The Location Movement – Deposit Summary screen appears displaying all deposited items dependent on the information you entered (Step 2).

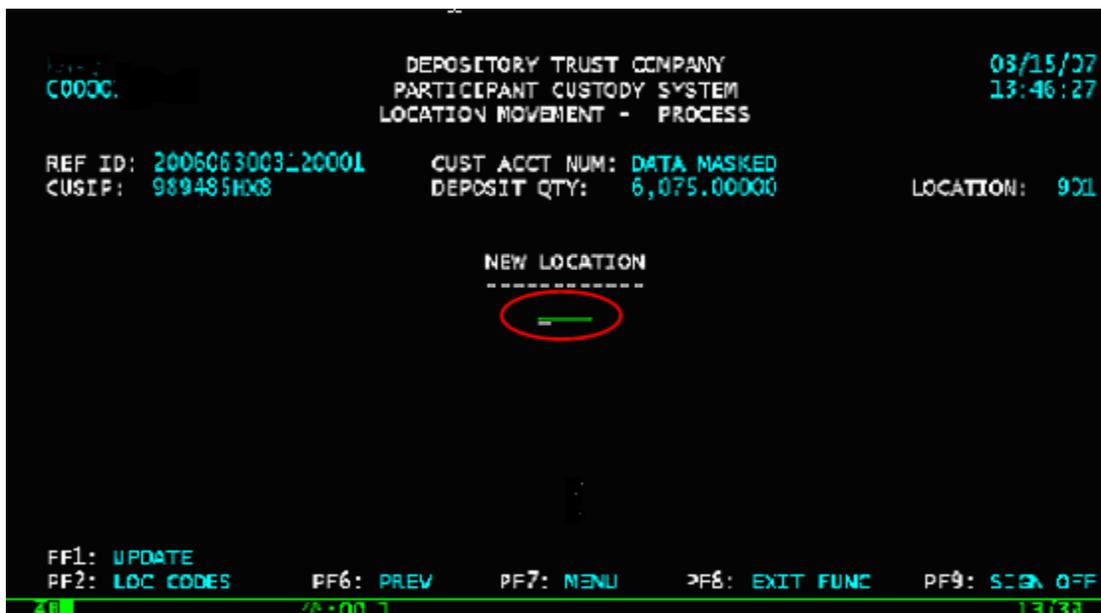
REF ID	CUST ACCT NUM	CUSIP	DEPOSIT QUANTITY	LOC
2006061300000347	DATA MASKED	989485HX8	21,262.50000	901
2006063003120001	DATA MASKED	989485HX8	6,075.00000	901
2007011003120001	DATA MASKED	989485HX8	10,531.25000	901

- 4 Type **S** next to the deposit you want to move.

Note: You can only select one item at a time.

- 5 Press **ENTER**.

The Location Movement – Process screen appears.



- 6 Type the number of the box to which you want to move your deposit in the **New Location** field.

Note: The new location cannot be the DTC Free location (010). Press PF2/14 to view a list of location codes.

- 7 Press **PF1/13** to update.

CHANGING CUSTOMER ACCOUNT NUMBERS AND VIEWING INFORMATION

Use the applicable one of these procedures when you have to change a customer account number on a single position or certificate, globally or you want to view certificate activity, audit trail or customer information for deposits accepted into the vault using the AIM Custody Interface.

Changing customer account number on a single position or certificate

- 1 Log in to the PTS **CUST** function, and type **7** in the **Option** field on the Main Menu.
- 2 Press **ENTER**.

The AIM Custody Interface screen appears.



- 3 Type 2 in the Enter Your Selection field.

4 Press **ENTER**.

The Customer Account Update Single Certificate screen appears.



5 Type information in the following fields:

- **CUSIP**
- **Cert ID**

6 Press **ENTER**.

The message ENTER A NEW CUSTOMER ACCOUNT NUMBER appears.

7 Type the new customer account number.

The message PLEASE PRESS PF1 KEY TO CONFIRM AND UPDATE appears.

8 Press **PF1/13**.

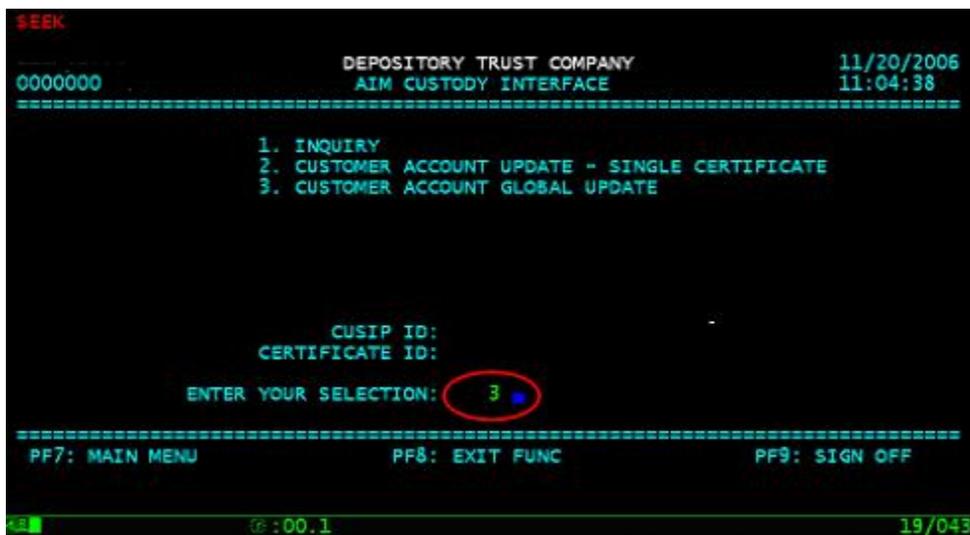
Note: If there are multiple certificates in that position repeat steps 2 through 8 for each certificate.

Changing customer account number globally

1 Log in to the PTS **CUST** function, and type **7** in the **Option** field on the Main Menu.

2 Press **ENTER**.

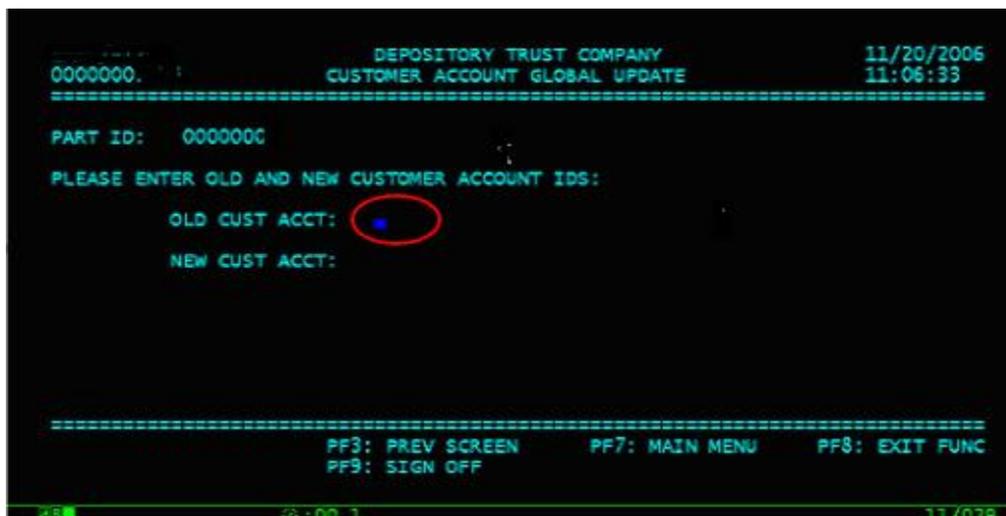
The AIM Custody Interface screen appears.



3 Type 3 in the Enter Your Selection field.

4 Press **ENTER**.

The Customer Account Global Update screen appears.



5 Type the customer account number in the **Old Cust Acct** field.

6 Press **ENTER**.

The message ENTER A NEW CUSTOMER ACCOUNT NUMBER appears.

7 Type the new customer account number in the **New Cust Acct** field.

8 Press **ENTER**.

The message PLEASE PRESS PF1 KEY TO CONFIRM AND UPDATE appears.

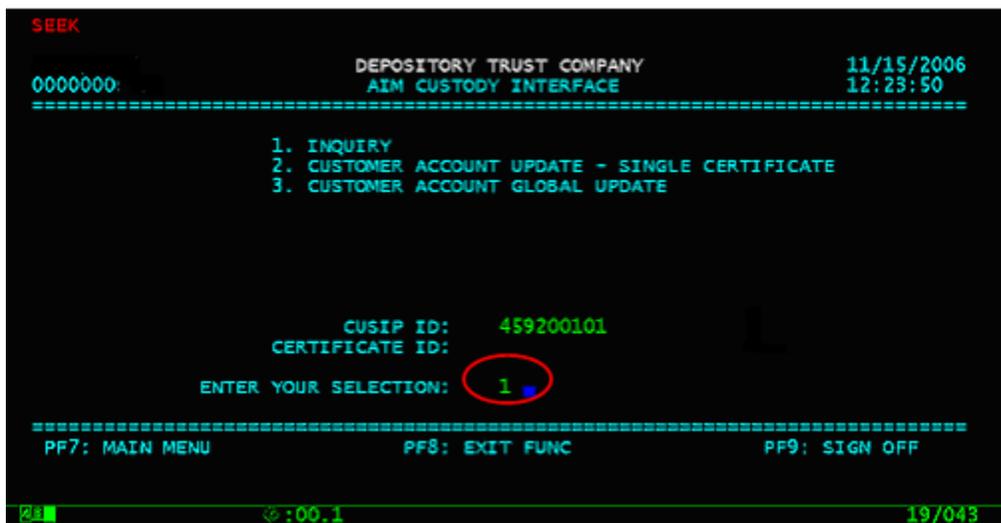
9 Press **PF1/13**.

Viewing Information

1 Log in to the PTS **CUST** function, and type **7** in the **Option** field on the Main Menu.

2 Press **ENTER**.

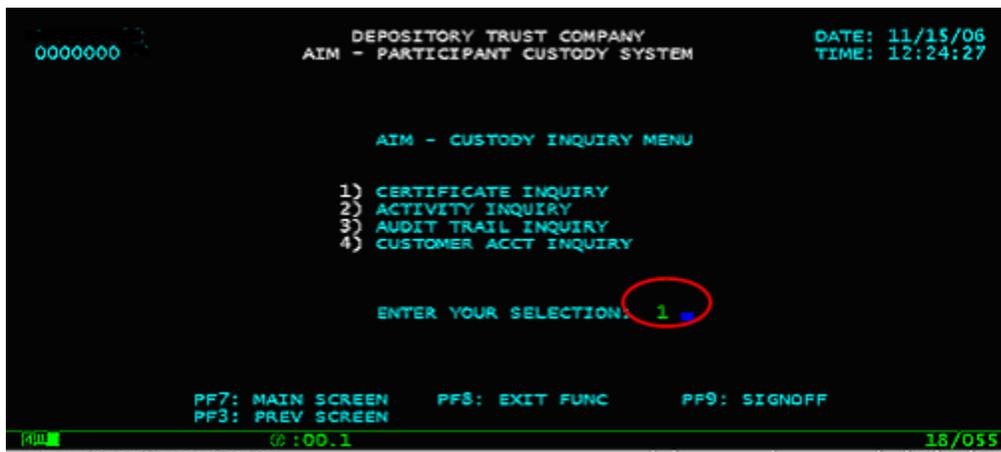
The AIM Custody Interface screen appears.



3 Type 1 in the Enter Your Selection field.

4 Press **ENTER**.

The AIM - Custody Inquiry Menu appears.



5 Type one of the following in the **Enter Your Selection** field.

- **1:** to view certificate information
- **2:** to view activity
- **3:** to view audit trail information
- **4:** to view customer account information.

6 Press **ENTER**.

The screen displays the information you requested.

Note: You can sort displayed information by entering information in the fields at the top of the screen.

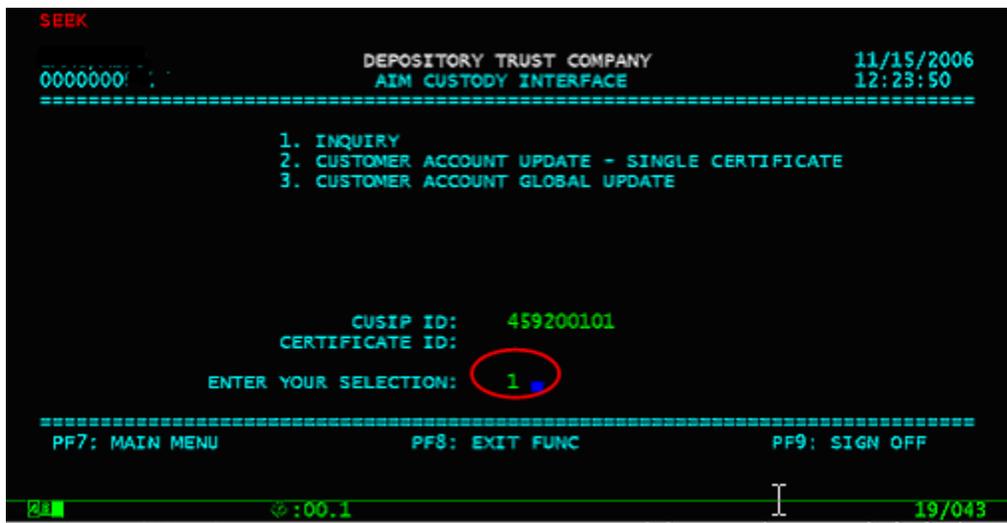
7 Type **S** to the left of a selected item and press **ENTER** to view details for that item.

Viewing Certificate Information

1 Log in to the PTS **CUST** function, and type **7** in the **Option** field on the Main Menu.

- 2 Press **ENTER**.

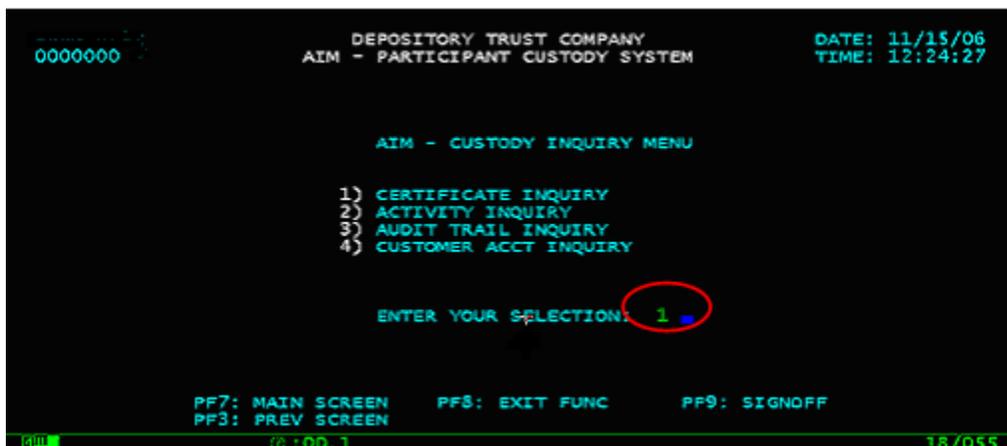
The AIM Custody Interface screen appears.



- 3 Type **1** in the **Enter Your Selection** field.

- 4 Press **ENTER**.

The AIM - Custody Inquiry Menu appears.



- 5 Type **1** in the **Enter Your Selection** field.

The Certificate Inquiry screen appears.

```

PR09 - SELECT CERTIFICATE FOR DETAILED INFORMATION OR CONTINUE THE BROWSE
DEPOSITORY TRUST COMPANY          DATE: 12\03\08
000000.                          CERTIFICATE INQUIRY          TIME: 11:19:46

PART ID : 000000 CUSIP : 459200 10 1 AS-OF DATE : 12022008
DTC BOX #:      CUST ACCT: REF #:
CERT ID :      SEQ ID: SEC DESCR: INTER BUSINESS MACH<

CERT ID      SEQ DTC CERT IN-ACTY OUT-ACTY
ID           ID  BOX# STATUS DATE     DATE     DENOMINATION
- 000ZQA356921 000 0000947 11052004
000ZQA403883 000 0000947 05152008
000ZQA566314 000 0000947 12112003
0000S4766686 000 0000947 05152008
00000A125357 000 0000947 12112003
00000C072114 000 0000947 05152008
00000C269183 000 0000947 11052004
00000D303530 000 0000947 12112003
00000E084243 000 0000947 05252001
00000K316833 000 0000905 11252002
TOTAL CERTIFICATES: 17 WITH QUANTITY: 1,556.

PF2:HELP (BOX) PF3:PREV SCREEN PF7:MAIN MENU PF8:EXIT FUNC
PF9:SIGNOFF PF10:PG BACK PF11:PG FWD

```

You can sort the deposits by typing information in any of the search fields at the top of the screen and pressing ENTER.

- 6 Type **S** to the left of a selected certificate to view details for that certificate.

```

DEPOSITORY TRUST COMPANY          DATE: 12\03\08
000000                          CERTIFICATE INQUIRY          TIME: 11:20:08

PART ID : 000000 CUSIP : 459200 10 1 AS-OF-DATE : 12022008
DTC BOX #: 0000947 CUST ACCT: REF #: 2004110400
CERT ID : 000ZQA356921 SEQ ID: 000 SEC DESCR: INTER BUSINESS MACH<

IN-ACTY DATE : 11052004 ISSUANCE DATE : 05261979
OUT-ACTY DATE : JOURNAL PROCESSING DATE :
MICRO\IMAGE # : T43105110339 TRANSFER AGENT :
REG\BEAR IND (Y\N): R TRANSFERABILITY TYPE (Y\N): Y
NEGOT STATUS (Y\N): Y TAX ID TYPE : 0
CUSTODY ID : 0431065065 TAXPAYER ID :
DOCUMENT IND (Y\N): RESTRICTED IND(1=YES,0=NO): 0
ORIG IN-ACTY DATE : 11052004 RESTRICT EXP DATE :
DENOMINATION : 3. OFAC IND: SCAN DATE:
PART INTERNAL REF#: 2004110400

PF2:HELP BOX PF4:VIEW IMAGE PF5:NEXT SCREEN PF6:PREV SCREEN
PF7:MAIN MENU PF8:EXIT FUNC PF9:SIGNOFF PF12:FAX-EMAIL IMAGE

4B :00.1 01/001

```

- 7 Press **PF5/17** on any of the registration screens to access document information.

Viewing Activity Information

- 1 Type **2** in the Enter Your Selection field.
- 2 Press **ENTER**.

The Activity Inquiry screen appears.

```

PR01 - ENTER SELECTION CRITERIA FOR INQUIRY
DEPOSITORY TRUST COMPANY          DATE: 03/30/07
0000000_                          ACTIVITY INQUIRY          TIME: 12:12:08

PART ID :          CUSIP : 459200 10 1      AS-OF DATE : 03152007
DTC BOX #:          CUST ACCT:              REF #:
CERT ID :          SEQ ID:                 SEC DESCR:

      CERT ID      SEQ ID      DTC BOX#      CERT IN-ACTY      OUT-ACTY      DENOMINATION
                        STATUS      DATE          DATE

PF2:HELP (BOX)      PF3:PREV SCREEN    PF7:MAIN MENU      PF8:EXIT FUNC
PF9:SIGNOFF         PF10:PG BACK      PF11:PG FWD

M&M                  0:00.1                      06/13
  
```

- 3 Type the CUSIP number in the **CUSIP** field.
- 4 Type the as-of date in the **As-Of-Date** field.
- 5 Press **ENTER**.

The screen displays the deposit information.

```

PR09 - SELECT CERTIFICATE FOR DETAILED INFORMATION OR CONTINUE THE BROWSE
DEPOSITORY TRUST COMPANY          DATE: 03/30/07
0000000                          ACTIVITY INQUIRY          TIME: 12:13:19

PART ID : 0000000  CUSIP : 459200 10 1      AS-OF DATE : 03152007
DTC BOX #:          CUST ACCT:              REF #:
CERT ID :          SEQ ID:                 SEC DESCR: INTER BUSINESS MACH<

      CERT ID      SEQ ID      DTC BOX#      CERT IN-ACTY      OUT-ACTY      DENOMINATION
                        STATUS      DATE          DATE

s 00000Q451787    000 0000901    03152007          1.
- 00000Q451787    000 0000902    05032006    03152007          1.
  00000Q471010    000 0000906    03152007          16.
  00000Q471010    000 0000902    12222006    03152007          16.
                        E N D                O F                D A T A          * * *

PF2:HELP (BOX)      PF3:PREV SCREEN    PF7:MAIN MENU      PF8:EXIT FUNC
PF9:SIGNOFF         PF10:PG BACK      PF11:PG FWD

M&M                  0:00.1                      12/03
  
```

- 6 Type **S** to the left of a selected certificate to view detail information for the certificate.

```

DEPOSITORY TRUST COMPANY          DATE: 03\30\07
ACTIVITY INQUIRY                  TIME: 12:14:56
0000300
PART ID : 0000000 CUSIP : 459200 10 1 AS-OF-DATE : 03152007
DTC BOX #: 0000901 CUST ACCT: DATA MASKED REF #: 20060502MEX0007L
CERT ID : 000000451787 SEQ ID: 000 SEC DESCR: INTER BUSINESS MACH<

IN-ACTY DATE : 03152007 ISSUANCE DATE : 04052005
OUT-ACTY DATE : JOURNAL PROCESSING DATE :
MICRO\IMAGE # : Q61233034065 TRANSFER AGENT : 00009132
REG\BEAR IND (Y\N): R TRANSFERABILITY TYPE (Y\N): J
NEGOT STATUS (Y\N): N TAX ID TYPE : )
CUSTODY ID : 0612365026 TAXPAYER ID : MASKED
DOCUMENT IND (Y\N): RESTRICTED IND(1=YES,0=NO): )
ORI: IN-ACTY DATE : 05032006 RESTRICT EXP DATE :
DENOMINATION : 1. OFAC IND: SCAN DATE:
PART INTERNAL REF#: 20060502MEX0007L

PF2:HELP BOX PF4:VIEW IMAGE PF5:NEXT SCREEN PF6:PREV SCREEN
PF7:MAIN MENU PF8:EXIT FUNC PF9:SIGNOFF PF12:FAX-EMAIL IMAGE
3 00.1 01/01

```

- 7 Press **PF4/16** to view an image of the certificate or **PF12/24** to request that a fax or e-mail of the image be sent to you and up to six other persons.

Viewing Audit Trail Information

- 1 Type 3 in the Enter Your Selection field.
- 2 Press **ENTER**.

The Audit Trail Inquiry screen appears.

```

PRO1 - ENTER SELECTION CRITERIA FOR INQUIRY
DEPOSITORY TRUST COMPANY          DATE: 03\30\07
AUDIT TRAIL INQUIRY              TIME: 12:21:31
0000000
PART ID : CUSIP : 459200 10 1 AS-OF DATE :
DTC BOX #: CUST ACCT: REF #:
CERT ID : 000000451787 SEQ ID: SEC DESCR:

CERT ID SEQ DTC CERT IN-ACTY OUT-ACTY DENOMINATION
ID ID BOX# STATUS DATE DATE
PF2:HELP (BOX) PF3:PREV SCREEN PF7:MAIN MENU PF8:EXIT FUNC
PF9:SIGNOFF PF10:PG BACK PF11:PG FWD
4 00.1 07/13

```

- 3 Type the certificate identification number in the **Cert ID** field.
- 4 Press **ENTER**.

The screen displays the audit trail information for the certificate you selected.

```

PROG - SELECT CERTIFICATE FOR DETAILED INFORMATION OR CONTINUE THE BROWSE
DEPOSITORY TRUST COMPANY          DATE: 03\30\07
AUDIT TRAIL INQUIRY              TIME: 12:21:56

PART ID : 0000000  CUSIP : 459200 10 1  AS-OF DATE : 03302007
DTC BOX #: 0000901  CUST ACCT:          REF #:
CERT ID : 000000q451787  SEQ ID: 000  SEC DESCR: INTER BUSINESS MACH<

      CERT ID      SEQ  DTC  CERT  IN-ACTY  OUT-ACTY  DENOMINATION
      ID          ID   BOX#  STATU  DATE     DATE
s 000000q451787  000  0000901  03152007
  000000q451787  000  0000902  05032006  03152007  1.
                                END OF DATA ***

PF2:HELP (BOX)  PF3:PREV SCREEN  PF7:MAIN MENU  PF8:EXIT FUNC
PF9:SIGNOFF    PF10:PG BACK    PF11:PG FWD

12/03  %:00.1  12/03

```

- Type **S** to the left of the certificate ID and press **ENTER** to view details for the certificate.

```

DEPOSITORY TRUST COMPANY          DATE: 03\30\07
AUDIT TRAIL INQUIRY              TIME: 12:22:40

PART ID : 0000000  CUSIP : 459200 10 1  AS-OF-DATE : 03302007
DTC BOX #: 0000901  CUST ACCT: DATA MASKED  REF #: 20060502MEX00071
CERT ID : 000000q451787  SEQ ID: 000  SEC DESCR: INTER BUSINESS MACH<

IN-ACTY DATE : 03152007  ISSUANCE DATE : 04052005
OUT-ACTY DATE :          JOURNAL PROCESSING DATE :
MICRO\IMAGE # : Q61233034065  TRANSFER AGENT : 00009232
REG\BEAR IND (Y\N): R  TRANSFERABILITY TYPE (Y\N): N
NEGOT STATUS (Y\N): N  TAX ID TYPE : 0
CUSTODY ID : 0612365026  TAXPAYER ID : MASKED
DOCUMENT IND (Y\N):  RESTRICTED IND(1=YES,0=NO): 0
ORIG IN-ACTY DATE : 05032006  RESTRICT EXP DATE :
DENOMINATION : 1.  OFAC IND:  SCAN DATE:
PART INTERNAL REF#: 20060502MEX00071

PF2:HELP BOX  PF4:VIEW IMAGE  PF5:NEXT SCREEN  PF6:PREV SCREEN
PF7:MAIN MENU  PF8:EXIT FUNC  PF9:SIGNOFF    PF12:FAX-EMAIL IMAGE

12/03  %:00.1  01/01

```

- Press **PF4/16** to view an image of the certificate or **PF12/24** to request that a fax or e-mail of the image be sent to you and up to six other persons.

Viewing Customer Account Information

- Type 4 in the Enter Your Selection field.
- Press **ENTER**.

The Customer Account Inquiry screen appears.

```

PLEASE ENTER CUST ACCT
0000000 DEPOSITORY TRUST COMPANY DATE: 03\30\07
CUSTOMER ACCT INQUIRY TIME: 12:32:41

PART ID : CUSIP : AS-OF DATE :
DTC BOX #: CUST ACCT: REF #:
CERT ID : SEQ ID: SEC DESCR:

CERT ID SEQ DTC CERT IN-ACTY OUT-ACTY
ID ID BOX# STATUS DATE DATE DENOMINATION

PF2:HELP (BOX) PF3:PREV SCREEN PF7:MAIN MENU PF8:EXIT FUNC
PF9:SIGNOFF PF10:PG BACK PF11:PG FWD

06/45

```

- 3 Type the customer account number in the **Cust Acct** field and press **ENTER**.

The screen displays the information.

```

PROG - SELECT CERTIFICATE FOR DETAILED INFORMATION OR CONTINUE THE BROWSE
0000000 DEPOSITORY TRUST COMPANY DATE: 03\30\07
CUSTOMER ACCT INQUIRY TIME: 12:33:21

PART ID : 0000000 CUSIP : G0127A 10 8 AS-OF DATE :
DTC BOX #: 0000902 CUST ACCT: DATA MASKED REF #:
CERT ID : SEQ ID: SEC DESCR:

CERT ID SEQ DTC CERT IN-ACTY OUT-ACTY
ID ID BOX# STATUS DATE DATE DENOMINATION

S 000000000058 000 0000902 06202006 1,417,200.

MORE DATA==>

PF2:HELP (BOX) PF3:PREV SCREEN PF7:MAIN MENU PF8:EXIT FUNC
PF9:SIGNOFF PF10:PG BACK PF11:PG FWD

06/34

```

- 4 Type **S** to the left of a selected of a selected certificate and press **ENTER** to view details for that certificate.

```

0000000 DEPOSITORY TRUST COMPANY DATE: 03\30\07
CUSTOMER ACCT INQUIRY TIME: 12:35:10

PART ID : 0000000: CUSIP : G0127A 10 8 AS-OF-DATE : 03302007
DTC BOX #: 0000902 CUST ACCT: DATA MASKED REF #: 20060616NYX00075
CERT ID : 000000000058 SEQ ID: 000 SEC DESCR: AFRICAN COPPER +

IN-ACTY DATE : 06202006 ISSUANCE DATE : 06142006
OUT-ACTY DATE : JOURNAL PROCESSING DATE :
MICRO\IMAGE # : U61712066011 TRANSFER AGENT : 00002700
REG\BEAR IND (Y\N): R TRANSFERABILITY TYPE (Y\N): Y
NEGOT STATUS (Y\N): Y TAX ID TYPE : 0
CUSTODY ID : 0617065034 TAXPAYER ID : MASKED
DOCUMENT IND (Y\N): RESTRICTED IND(1=YES,0=NO): 1
ORIG IN-ACTY DATE : 06202006 RESTRICT EXP DATE :
DENOMINATION : 1,417,200. OFAC IND: SCAN DATE:
PART INTERNAL REF#: 20060616NYX00075

PF2:HELP BOX PF4:VIEW IMAGE PF5:NEXT SCREEN PF6:PREV SCREEN
PF7:MAIN MENU PF8:EXIT FUNC PF9:SIGNOFF PF12:FAX-EMAIL IMAGE

01/01

```

- 5 Press **PF4/16** to view an image of the certificate or **PF12/24** to request that a fax or e-mail of the image be sent to you and up to six other persons.

New York Window Settlement

DTC provides physical settlement and clearance for all positions held in Custody through the New York Window (NYW). You can withdraw securities from custody and have your messenger pick them up at the NYW. The Return to Firm service also offered by the NYW allows you to have some or all of a current day's certificates returned to you at your request.

FULL DELIVERIES

Use this procedure when you want to process physical settlement deliveries.

- 1 Log in to the PTS **CUST** function, and type **8** in the **Option** field on the Main Menu.
- 2 Press **ENTER**.

The Physical Settlement menu screen appears.

```
ENTER REFERENCE ID OR CUSIP
00000
DEPOSITORY TRUST COMPANY
PARTICIPANT CUSTODY SYSTEM
PHYSICAL SETTLEMENT
04/02/07
17:06:59
1. DELIVER
2. ANTICIPATED RECEIVE
3. INQUIRY
OPTION 1
CUSTODY IND: Y
REF ID
CUSIP
PF7: MAIN MENU PF8: EXIT FUNC PF9: SIGN OFF
```

- 3 Type **1** in the **Option** field.
- 4 Type **Y** in the **Custody Ind** field if the certificate is to be pulled from the vault or **N** if the certificate came in as a receive and is being turned around.

Note: If the certificate is to be pulled from the vault, you must enter the CUSIP number or the Reference ID.

- 5 Press **ENTER**.

The screen displays the data.

```

00000.
DEPOSITORY TRUST COMPANY
PARTICIPANT CUSTODY SYSTEM
PHYSICAL SETTLEMENT
04/02/07
17:08:00
PAGE 01 OF 01

REF ID      CUST ACCT NUM    CUSIP      DEPOSIT QUANTITY  LOC
-----
S 200510240000272  DATA MASKED  461139DR5      20,000.00000     901

ENTER 'S' TO SELECT ITEM(S)
ENTER 'D' FOR DETAILS
PF6: PREV          PF7: MENU          PF8: EXIT FUNC
PF9: SIGN OFF      PF10: PG BWD      PF11: PG FWD

```

6 Type **S** next to the deposit you want to be delivered.

7 Press **ENTER**.

The Physical Settlement – Deliver screen appears.

```

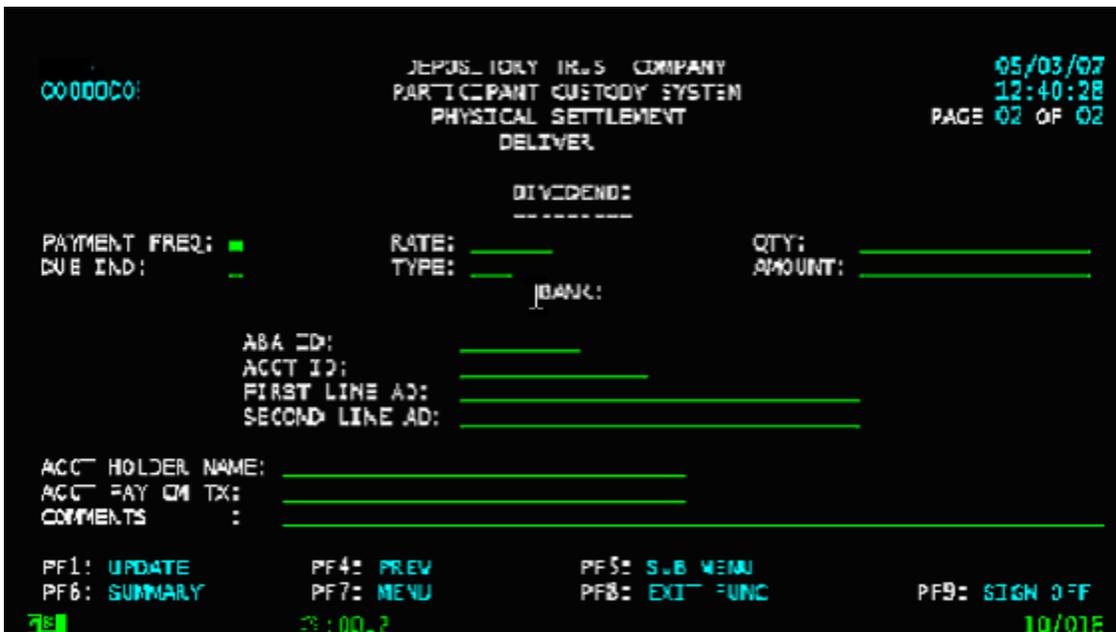
ENTER SETTLEMENT DATE
00000
DEPOSITORY TRUST COMPANY
PARTICIPANT CUSTODY SYSTEM
PHYSICAL SETTLEMENT
04/02/07
17:18:46
PAGE 01 OF 02
DELIVER
TRADE DATE: ___ / ___ / ___   SETTL DT: ___ / ___ / ___
SECURITY ID: _____   COUPON RATE: _____
MATUR DATE: ___ / ___ / ___   SHR QTY: 20,000.00000
BROKER NO: _____   BROKER NM: _____
CUST ACCT: _____   SETT AMT: _____   DUE BILL ATTC: -
DUE BILL AMT: _____   TRANS REF NO: 0704020312
LINK ID: _____   SECURITY TY: _____   MODE IND: -
CUST ACCT NM: _____   AS OF STL DT: ___ / ___ / ___
CUSIP DESC: INTERVEST MTC CP 40111 D12/01/03 6
STANDING INSTRUCTIONS :
_____
_____
_____
_____
PF1: UPDATE        PF2: NEXT          PF5: SJB MENU      PF6: SUMMARY
PF7: MENU           PF8: EXIT FUNC     PF9: SIGN OFF

```

8 Type the applicable data in the entry fields on the screen that appears.

Note: You can press **ENTER** after each entry and the system will indicate the next mandatory field.

9 Press **PF2/14** to go to the next page where you can enter the applicable data.



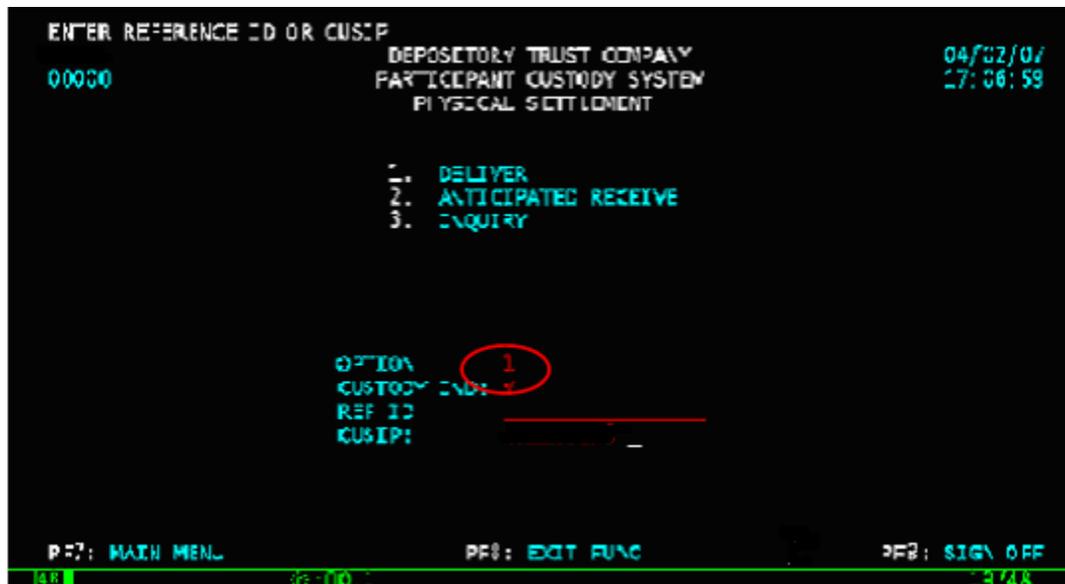
10 Press **PF1/13** to update.

PARTIAL DELIVERIES

Use this procedure when you want to process partial physical settlement deliveries.

- 1 Log in to the PTS **CUST** function, and type **8** in the **Option** field on the Main Menu.
- 2 Press **ENTER**.

The Physical Settlement menu appears.



- 3 Type **1** in the **Option** field.
- 4 Type **Y** in the **Custody Ind** field.

Note: You must enter the CUSIP number or the Reference ID.

- 5 Press **ENTER**.

The screen displays the data.

DEPOSITORY TRUST COMPANY					05/03/07	
PARTICIPANT CUSTODY SYSTEM					17:07:51	
PHYSICAL SETTLEMENT					PAGE 01 OF 02	
REF ID	CUST ACCT NUM	CUSIF	DEPOSIT QUANTITY	LOC		
* 19950628NY 0540	DATA MASKED	459200101	65.00000	903		
* 19950712NY 0573	DATA MASKED	459200101	41.00000	902		
- 19971231NY 0052	DATA MASKED	459200101	50.00000	903		
- 19971231NY 0064	DATA MASKED	459200101	50.00000	903		
- 19980824NY 0011	DATA MASKED	459200101	10.00000	903		
- 19990601SF 0084	DATA MASKED	459200101	100.00000	903		
D 20000515NY 0074	DATA MASKED	459200101	208.00000	903		
- 20000802NY 0185	DATA MASKED	459200101	700.00000	902		
- 20000925NY 0115	DATA MASKED	459200101	175.00000	902		
- 20000925NY 0116	DATA MASKED	459200101	74.00000	902		

ENTER 'S' TO SELECT ITEM(S)
ENTER 'D' FOR DETAILS

PF6: PREV PF7: MENU PF8: EXIT FUNC
PF9: SIGN OFF PF10: PG BWD PF11: PG FWD

00.1 17/002

6 Type **D** next to the deposit you select for delivery and press **ENTER**.

The screen displays all the certificates for the CUSIP.

DEPOSITORY TRUST COMPANY					05/03/07	
PARTICIPANT CUSTODY SYSTEM					17:10:15	
PHYSICAL SETTLEMENT					PAGE 01 OF 01	
REF ID: 20000515NY 0074	CUST ACCT NUM: DATA MASKED	DEPOSIT QTY: 208.00000		LOCATION: 903		
CUSIP: 459200101						
CERT ID	DENOMINATION	ISSUANCE DATE	RESTRICTION			
			IND	EXP DATE		
P 00020A732876	81.00000	05/26/79	N			
- 00020H731300	100.00000	07/26/79	N			
- 00030A11C774	5.00000	05/10/73	N			
- 00030A261312	1.00000	05/01/73	N			
- 00030K089006	11.00000	07/15/70	N			
- 00030M056542	10.00000	01/10/69	N			

PF2: HELP PF5: SUB MENU PF6: PREV PF7: MENU
PF8: EXIT FUNC PF9: SIGN OFF PF10: PG BWD PF11: PG FWD

00.1 13/010

7 Type **P** to the left of the certificate you want to deliver.

8 Press **ENTER**.

9 Type the applicable information in the entry fields on the screen that appears.

10 Press **PF2/14** to go to the next page where you can enter the applicable data.

11 Press **PF1/13** to update.

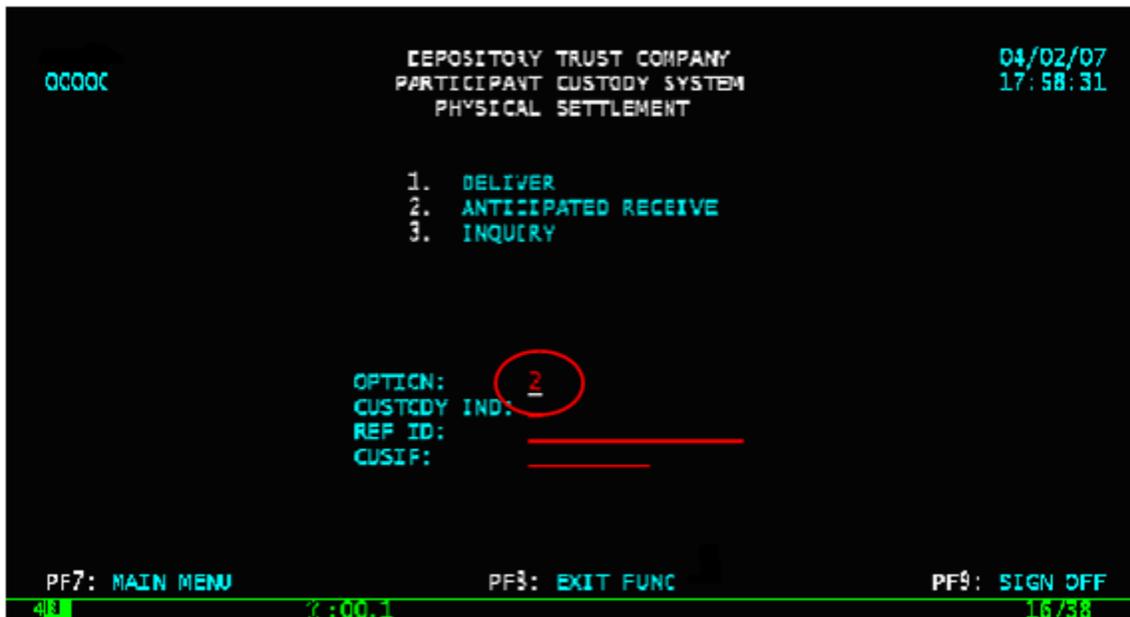
RECEIVES

Use this procedure when you want to process partial physical settlement receives.

1 Log in to the PTS **CUST** function, and type **8** in the **Option** field on the Main Menu.

2 Press **ENTER**.

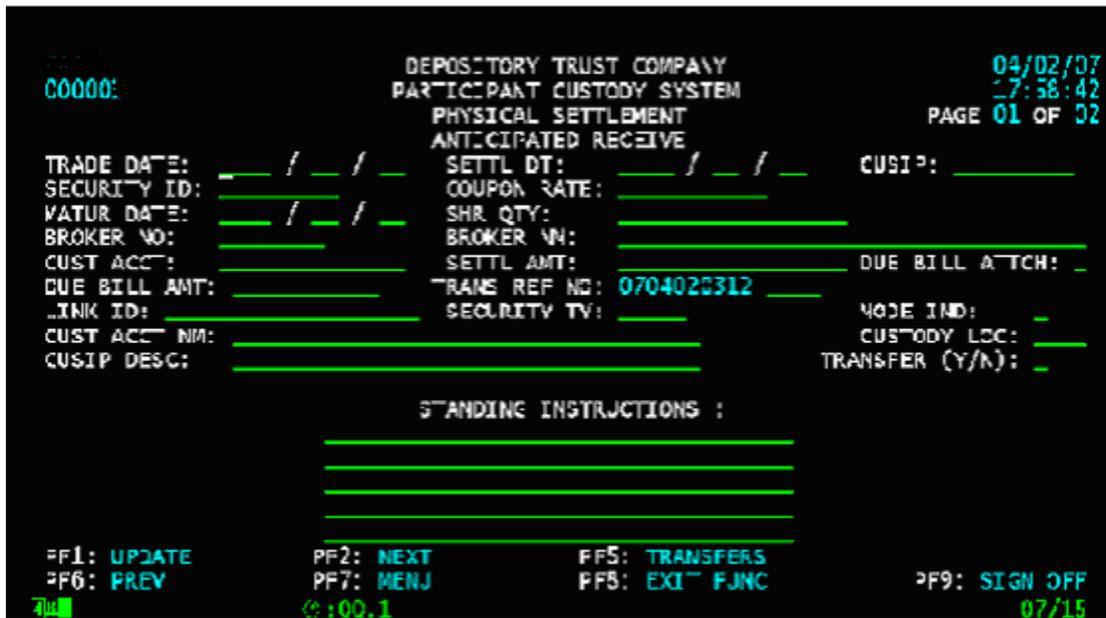
The Physical Settlement menu appears.



3 Type **2** in the **Option** field.

4 Press **ENTER**.

The first Anticipated Receive screen appears.



5 Type the applicable information in the entry fields.

6 Type the box number in the **Custody Loc.** field if the certificate will be put in the vault and **N** in the **Transfer** field.

7 Press **ENTER**. The system prompts you to press **PF2/14** to go to the next page.

8 Press **PF2/14** to go to the next page where you can enter the applicable data.

```

PRESS PF2 TO GET TO NEXT SCREEN
DEPOSITORY TRUST COMPANY          05/33/07
PARTICIPANT CUSTODY SYSTEM        12:50:31
PHYSICAL SETTLEMENT              PAGE 01 OF 02
ANTICIPATED RECEIVE

TRAFF DATE: 2007 / 05 / 03      SETT DT: 2007 / 05 / 03      CUSTP: 459700101
SECURITY ID: TEST              COUPON RATE: _____
MATUR DATE: _____ / _____ / _____      SHR QTY: 1.00000
BROKLR NO: _____          BROKLR NM: _____
CUST ACCT: _____          SETT AMT: _____      DUE BILL ATTCH: _
DUE BILL AMT: _____      TRANS REF NO: 0705030005 0004
LINK ID: _____          SECURITY TY: CORP          MODE IND:
CUST ACCT NM: TEST              CUSTODY LDC: 0901
CUSIP DESC: INTERNATIONAL BUSINESS MACHINES      TRANSFER (Y/N): Y

STANDING INSTRUCTIONS :
TEST

PF1: UPDATE      PF2: NEXT      PF3: TRANSFER
PF6: PREV        PF7: MENU      PF8: EXIT FUNC      PF9: SIGN OFF
48  2:00.1  027015

```

9

Note: This page is for Dividends purpose only.

10 Press **PF1/13** to update.

INQUIRY

- 1 Log in to the PTS **CUST** function, and type **8** in the **Option** field on the main Menu.
- 2 Press **ENTER**.

The Physical Settlement menu appears.

```

00000 DEPOSITORY TRUST COMPANY          04/02/07
PARTICIPANT CUSTODY SYSTEM        17:58:31
PHYSICAL SETTLEMENT

1. DELIVER
2. ANTICIPATED RECEIVE
3. INQUIRY

OPTION: 3
CUSTODY IND: _
REF ID: _____
CUSIF: _____

PF7: MAIN MENU      PF8: EXIT FUNC      PF9: SIGN OFF
48  2:00.1  16/38

```

3 Type **3** in the **Option** field.

4 Press **ENTER**.

The Settlement Inquiry screen appears.



5 Type the information in the applicable fields.

6 Press **ENTER**.

The Settlement Summary screen appears.



7 Type **S** to the left of a selected item and press **ENTER**.

The Settlement Detail screen appears displaying detail information for the item you selected.

000000

DEPOSITORY TRUST COMPANY
NEW YORK WINDOW SYSTEM
SETTLEMENT DETAIL -

12/03/08

11:54:56

PAGE: 1

TRANSACTION NUM: 0603240000308

TRANSACTION TYPE: UAP
PARTICIPANT: .

CUSIP: 92765V103 - VIREXX MEDICAL CORP COM
STATUS: MADE QUANTITY: 2000000.00000 RECLAIM CD:
SETTLE DATE: 2006-03-24 SETTLE AMT: \$2,250,000.00 SETTLE MODE: ESS
PROCESS DATE: 2006-03-24 ACCOUNT: 00465087 DESTINATION: 0000928
TRADE DATE: 0001-01-01 TICKET ID: BROKER NUM: 000000
MATURITY DATE: 0001-01-01 LINK ID: PAPER TYPE:
BANK ABA ID: BANK NAME:
BANK ACCT: MICROFILM: 032464 AS OF STL DT: 0001-01-01
STANDING INSTR: REC

INSTRUCTION CREATED/RECEIVED ON

DATE: 2006-03-24 TIME: 13.39.49

PF6: PREV SCREEN
PF7: MAIN MENU

PF8: EXIT FUNC
PF9: SIGN OFF

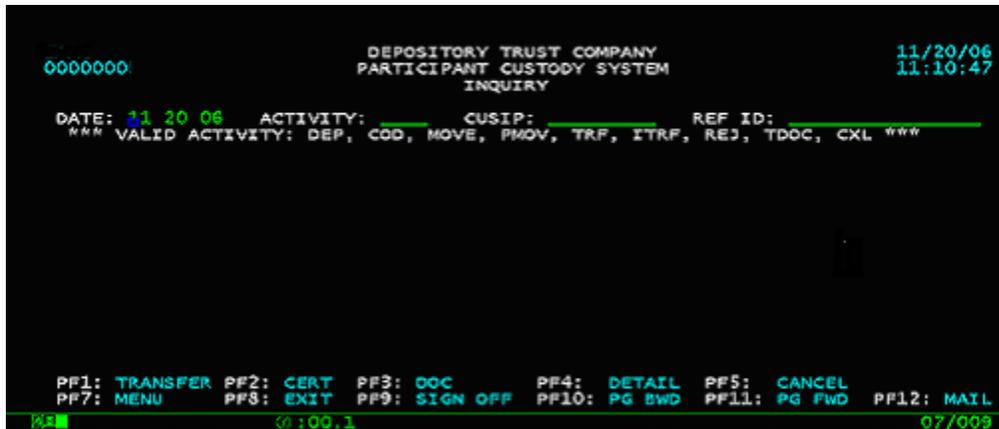
PF10: PAGE BWD
PF11: PAGE FWD

Viewing Custody Information: Transfer, Certificate and Document Status

Use this procedure when you want to view status information for transfers, certificates and documents that have not yet been booked into the vault. For certificate activity, audit trail and customer information for deposits accepted into the vault use the AIM Custody Interface (Option 7).

- 1 Log in to the PTS **CUST** function, and type **9** in the **Option** field on the Main Menu.
- 2 Press **ENTER**.

The Inquiry screen appears.



- 3 Type the applicable information in any of the following fields:

- **Date**
- **Activity**
- **CUSIP**
- **Ref ID**

Valid activities are

- Dep: Deposit
- COD: Certificate on Demand (withdrawal)
- MOVE: Location move
- PMOV: Intra-Participant move
- TFR: Transfer
- Rej: Reject
- TDOC: Trailing Document(s)
- Cxl: Cancel

- 4 Press **ENTER**.

The screen displays a list of the activities that match the search you entered or all activities if the entry fields were left blank.

```

DEPOSITORY TRUST COMPANY
PARTICIPANT CUSTODY SYSTEM
INQUIRY
11/20/06
10:51:29
PAGE 001 OF 001
DATE: 11 20 06 ACTIVITY: COD CUSIP: REF ID:
*** VALID ACTIVITY: DEP, COD, MOVE, PMOV, TRF, ITRF, REJ, TDOC, CKL ***
REF ID CUSIP QUANTITY FROM TO STAT ACTIVITY
-----
19960628 052 459200101 100.00000 903 1 PEND COD
PF1: TRANSFER PF2: CERT PF3: DOC PF4: DETAIL PF5: CANCEL
PF7: MENU PF8: EXIT PF9: SIGN OFF PF10: PG BWD PF11: PG FWD PF12: MAIL
@:00 1 12/003

```

5 Position the cursor to the left of a selected reference ID and press.

- **PF1/13**: to access the Transfer Inquiry screen
- **PF2/14** : to access the Certificate Inquiry screen
- **PF3/15**: to access the Document Inquiry screen
- **PF4/16**: to access the Detail Inquiry screen
- **PF6/18**: to access the Summary screen.

The Imaging, Fax and Email System (IFE)

The Imaging Fax and E-mail System allows you to request that imaged copies of certificates and other deposit-related documents you sent to DTC be transmitted to up to six recipients by either fax or e-mail. You can also obtain copies of legal notices via this system.

Note: Due to the nature of the Internet, an e-mail request may take anywhere from a few minutes to several hours to reach its destination. However, the average time it will take an e-mail request to reach its destination is 15 to 20 minutes.

REQUESTING FAX AND EMAIL TRANSMISSIONS

- 1 On the Certificate Inquiry screen or the Certificate Detail screen press **PF12/14**.

```
000000          DEPOSITORY TRUST COMPANY          DATE: 12\03\08
                  CERTIFICATE INQUIRY              TIME: 11:20:08

PART ID  : 000000  CUSIP   : 459200 10 1      AS-OF-DATE  : 12022008
DTC BOX # : 0000947  CUST ACCT:                REF # :
CERT ID   : 000ZQA356921  SEQ ID: 000      SEC DESCR: INTER BUSINESS MACH(

IN-ACTY DATE   : 11052004      ISSUANCE DATE   : 05261979
OUT-ACTY DATE  :                JOURNAL PROCESSING DATE :
MICRO\IMAGE #  : T43105110339  TRANSFER AGENT  : 000
REG\BEAR IND (Y\N): R          TRANSFERABILITY TYPE (Y\N): Y
NEGOT STATUS (Y\N): Y          TAX ID TYPE     : 0
CUSTODY ID     : 0431065065     TAXPAYER ID    :
DOCUMENT IND (Y\N):            RESTRICTED IND(1-YES,0-NO): 0
ORIG IN-ACTY DATE : 11052004    RESTRICT EXP DATE :
DENOMINATION    :                3.      OFAC IND:      SCAN DATE:
PART INTERNAL REF#:

PF2:HELP BOX      PF4:VIEW IMAGE    PF5:NEXT SCREEN  PF6:PREV SCREEN
PF7:MAIN MENU     PF8:EXIT FUNC     PF9:SIGNOFF     PF12:FAX-EMAIL IMAGE
```

The Imaging Fax and E-Mail System Selection pop-up appears.

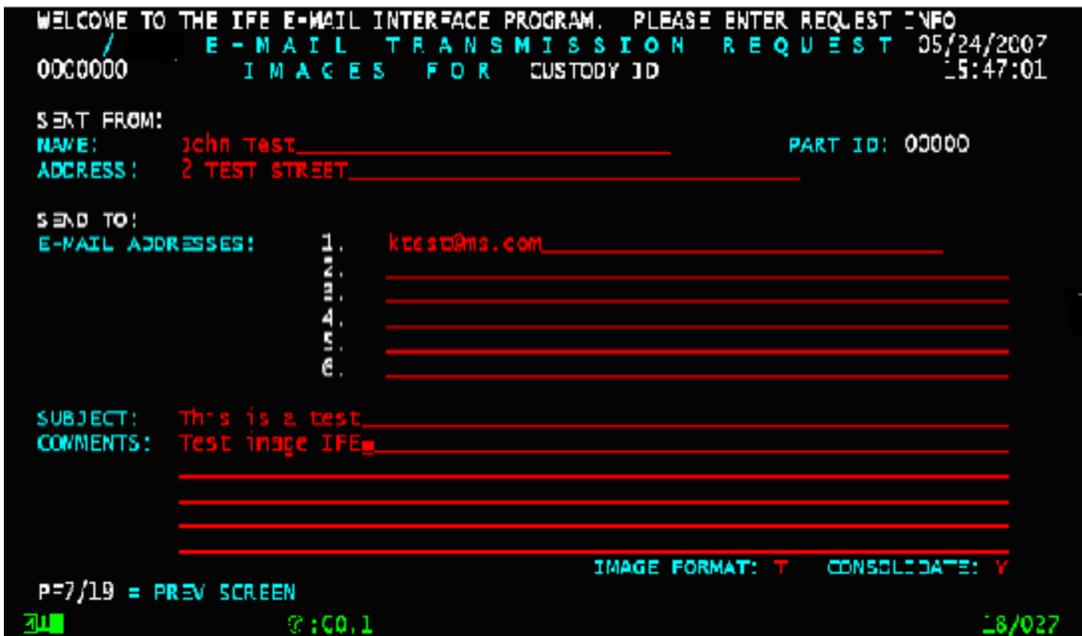


2 Select the transmission method by typing **E** (email) or **F** (fax) next to the arrow.

3 Press **ENTER**.

The E-Mail Transmission Request screen or the Fax Transmission Request screen appears.

Note: The fax screen requests the fax number.



Note: You can enter the email or fax numbers of up to six prospective recipients of the imaged deposit material.

4 Type data in all the required fields.

5 Press **ENTER** to submit your request.

The message YOUR REQUEST HAS BEEN SUBMITTED appears.