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ACTD:

Introduction

Overview

The ATP Activity Information System (ACTD) function allows you to view information about the Account Transaction Processor (ATP) activity codes, ATP originating source codes, settlement activity codes, and the relationships between these codes.

Benefits of ACTD

ACTD allows you to become familiar with the ATP codes and other codes used at DTC.

When to Use

Use ACTD when you want to see information about ATP activity codes. ACTD is available 24 hours a day Monday through Saturday.

Associated Products

This function is used in conjunction with all DTC products.

List of Procedures:

Using the Menu Bar

Using the menu bar at the top of the screen you can

- Navigate between Settlement functions and from the current function to any other PTS function.
- View online help for Settlement functions.

The menu bar allows you to navigate to the following Settlement functions:

- Activity Research Tool (ART)
- Pending Transaction Inquiry (PEND)
- Security Position Inquiry (POS)
- Risk Management Controls (RMCI)
- Settlement for Participants (SETP)

In addition, you can select the Menu option to return to the first page of a function you originally used. You can use the blank function option to type the name of any PTS function to go the first screen of that function.

Note- When using the blank function option, be aware that many PTS functions do not have a menu bar. As a result, you may not be able to use the menu bar to return to a function you previously used. In this case, press PF8/20 to return to the Enter Function screen on the PTS main menu.

Viewing Activity Code Information

Use the following procedure to view information about ATP information activity codes, ATP originating source codes, and other DTC systems activity codes.

1 Type ACTD on the Enter Function screen and press ENTER.

Result- The ATP Activity Information System Menu appears, showing all the available options.

2 Type one of the available options (1 through 4) in the **Please Select An** Option field and press ENTER.

Result- The appropriate ATP Activity Information System screen appears, depending on the number you typed in the **Please Select An** Option field.

List of Screens:

ATP Activity Information System (Option 1) Screen

The ATP Activity Information System (Option 1) screen appears when you type 1 in the **Please Select an** Option field on the ATP Activity Information System Menu. You can then view ATP source identifiers and other related information.

Sample Screen

```

_ Menu _ ART _ PEND _ POS _ RMC1 _ SETP _ _____ _ Help
Q$V1/ACTD/MD41          The Depository Trust Company          Date: MM/DD/CCYY
00002199-99            ATP Activity Information System          Time: HH:MM:SS
=====
OPTIONALLY START PAGE AT SOURCE ID:

SOURCE ID  ATP/DQF ID  OWNING IS AREA  DESCRIPTION
ACAT       A           ATP             SIAC ACATS GUARANTEE
ANE1       A           ANE             TEST
ANE1       D           ANE             ANE1 (PTS)
ANE2       D           ANE             BATCH "ANE"
APOR       D           AIS             PO RECLAIMS
ARPF       A           ATP             REDEMPTIONS ALLOCATI
ARPG       A           RDP             MBS REDEMPTIONS
ARPS       A           RDP             SDFS REDEMPTIONS
ATDO       D           PEN             FORCE PEND SHORT COV
ATPF       D           AIS             FED DO RECLAIM:ATAM
ATPP       D           AIS             PO RECLAIMS
ATPR       D           AIS             DO RECLAIMS

===== ..MORE->
8/20:Exit          10/22:Forward          11/23:Backward

```

Field Descriptions

This field	Allows you to
Menu Bar	Access related functions or help for this screen. Type S or X to the left of the desired selection, then press ENTER. <i>Note-</i> If you do not use a mouse, press HOME, then TAB until

This field	Allows you to
	your cursor is positioned beneath the desired option, type S or X to the left of the desired selection, then press ENTER.
Optionally Start Page at Source ID	Type a three-or four-character source ID to position the list of information at a specific source ID.
Source ID	View the four-character name of the input source where the transaction originated.
ATP/DQF ID	View how the transaction can be staged. The values are <ul style="list-style-type: none"> • A: ATP batch disk staging job • D: DQF (online function or batch) • B: Both (A or D).
Owning IS Area	View the three-character acronym that indicates which IS area at DTC is responsible for the system.
Description	A partial description of the Source ID.

ATP Activity Information System (Option 2) Screen

The ATP Activity Information System (Option 2) screen appears when you type 2 in the **Please Select an** Option field on the ATP Activity Information System Menu. You can then view information about activity codes, subactivity codes (if applicable), and a group designation (for example, a pledge or segregation activity).

Sample Screen

```

_ Menu _ ART _ PEND _ POS _ RMC1 _ SETP _ _____ _ Help
Q$V1/ACTD/MD42          The Depository Trust Company          Date: MM/DD/CCYY
00002199-99             ATP Activity Information System        Time: HH:MM:SS
=====
OPTIONALLY START PAGE AT ACTV ID:      OR SELECT FOR ACTIVITY GROUP: ____

ACTV ID   SUB ID   GROUP CODE   SHORT DESCRIPTION   LONG DESCRIPTION
007       000      PLG          CM SWINGS          CLEARING MBR SWINGS
007       100      PLG          CM SWINGS          CLEARING MBR SWINGS
007       200      PLG          CM SWINGS          CLEARING MBR SWINGS
008       000      PLG          SEC SWINGS         SECURITY SWINGS
009       000      RRG          DIV SWINGS         DIVIDEND SWINGS
010       000      RRG          CASH DIV           CASH DIVIDENDS
011       000      RRG          PENALTIES          PENALTIES
012       000      ATP          C/M RAISER        COLL MONITR ADJ(SPP)
013       000      ATP          MA/NA MOVS        MA TO/FROM NA MOVES
013       001      ATP          MA/NA MOVS        MA TO/FROM NA MOVES
013       002      ATP          MA/NA MOVS        MA TO/FROM NA MOVES
013       050      ATP          MA/NA MOVS        MA TO/FROM NA MOVES
013       086      ATP          MA/NA MOVS        MA TO/FROM NA MOVES

===== ..MORE->
8/20:Exit      9/21:Signoff    10/22:Forward   11/23:Backward

```

Field Descriptions

This field	Allows you to
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This field	Allows you to
Menu Bar	Access related functions or help for this screen. Type S or X to the left of the desired selection, then press ENTER. <i>Note-</i> If you do not use a mouse, press HOME, then TAB until your cursor is positioned beneath the desired option, type S or X to the left of the desired selection, then press ENTER.
Optionally Start Page At ACTV ID	Type a three-character activity ID to position the list of information at a specific activity ID.
Or Select for Activity Group	Type a three-character subactivity code to position the list of information at a specific subactivity code.
ACTV ID	View the type of activity code for a transaction.
Sub ID	View the type of subactivity code for a transaction.
Group Code	View the activity group code.
Short Description	View a short description of the activity code (up to 10 characters).
Long Description	View a long description of the activity code (up to 20 characters).

ATP Activity Information System (Option 3) Screen

The ATP Activity Information System (Option 3) screen appears when you type 3 in the **Please Select an** Option field on the ATP Activity Information System Menu. You can then view activity code and subactivity code information and the originating ATP source codes used for the activity and subactivity combinations.

Sample Screen

```

_ Menu _ ACTD _ ART _ PEND _ POS _ RMCI _ SETP _ _____ _ Help
Q$V1/ACTD/MD43          The Depository Trust Company          Date: MM/DD/CCYY
00002199-99            ATP Activity Information System          Time: HH:MM:SS
=====
OPTIONALLY START PAGE AT ACTV ID:

      ACTIVITY ID   SUB ACTV ID   SOURCE ID   ACTIVITY DESCRIPTION
      007           000          CMSS       CLEARING MBR SWINGS
      007           000          COLS       CLEARING MBR SWINGS
      007           000          OCC4       CLEARING MBR SWINGS
      007           000          OCC7       CLEARING MBR SWINGS
      007           000          PB51       CLEARING MBR SWINGS
      007           000          RED1       CLEARING MBR SWINGS
      007           000          RED2       CLEARING MBR SWINGS
      007           100          SWGL       CLEARING MBR SWINGS
      007           100          SWGS       CLEARING MBR SWINGS
      007           200          SWGL       CLEARING MBR SWINGS
      007           200          SWGS       CLEARING MBR SWINGS
      008           000          SWGL       SECURITY SWINGS
      008           000          SWGS       SECURITY SWINGS

===== ..MORE->
8/20:Exit          9/21:Signoff      10/22:Forward     11/23:Backward

```

Field Descriptions

This field	Allows you to
Menu Bar	Access related functions or help for this screen. Type S or X to the left of the desired selection, then press ENTER. <i>Note-</i> If you do not use a mouse, press HOME, press TAB until your cursor is positioned beneath the desired option, type S or X to the left of the desired selection, then press ENTER.
Optionally Start Page at ACTV ID	Type a three-character activity ID to position the list of information at a specific activity ID.
Activity ID	View the activity code for a transaction.
Sub Actv ID	View the subactivity code for a transaction.
Source ID	View the four-character name of the input source where the transaction originated.
Activity Description	View a long description of the source ID (up to 20 characters).

ATP Activity Information System (Option 4) Screen

The ATP Activity Information System (Option 4) screen appears when you type 4 in the **Please Select an Option** field on the ATP Activity Information System Menu. You can then view ATP activity code, settlement activity code, and subactivity code information. It also identifies the combinations used in Money Market Instrument (MMI) processing.

Sample Screen

```

_ Menu _ ACTD _ ART _ PEND _ POS _ RMCI _ SETP _ _____ _ Help
Q$V1/ACTD/MD44          The Depository Trust Company          Date: MM/DD/CCYY
00002199-99            ATP Activity Information System          Time: HH:MM:SS
=====
OPTIONALLY START PAGE AT ACTV ID:

  ACTIV   MMI   SETT ACTV   SETT SUB   SETTLEMENT DESCRIPTION
  ID      IND      ID          ID
  011          089          000          SHORT PENALTIES
  012          095          000          FUNDS TRANSFER MANUAL
  012          095          001          FUNDS TRANSFER SPP
  014          078          000          SECURITY PAYMENT ORDERS
  014      Y      078          001          MMI/SPO
  014          078          002          OCC HEDGE PAYMENT ORDERS
  014          078          003          IVORS
  014          079          001          ACATS CASH
  014          082          000          PREMIUM PAYMENT ORDER
  014      Y      082          001          MMI PREMIUM PAYMENT ORDER
  023          094          000          YESTERDAY'S SUSPENSE
  026          019          000          ID DELIVERIES
  026      Y      019          001          MMI NIGHT DELIVER ORDER
=====
8/20:Exit          9/21:Signoff          10/22:Forward          11/23:Backward
..MORE->

```

Field Descriptions

This field	Allows you to
Menu Bar	Access related functions or help for this screen. Type S or X to

This field	Allows you to
	<p>the left of the desired selection, then press ENTER.</p> <p><i>Note-</i> If you do not use a mouse, press HOME, press TAB until your cursor is positioned beneath the desired option, type S or X to the left of the desired selection, then press ENTER.</p>
Optionally Start at ACTV ID	Type a three-character activity ID to position the list of information at a specific activity ID.
MMI Ind	<p>View the MMI Recap Indicator that identifies the activity code combinations used in MMI processing. The values are</p> <ul style="list-style-type: none"> • Y: Yes • N: No.
Sett Actv ID	View the settlement activity code.
Sett Sub ID	View the settlement subactivity suffix.
Settlement Description	View a description of the settlement activity code and suffix (maximum of 30 characters).

ATP Activity Information System Menu

The ATP Activity Information System Menu appears when you type ACTD on the Enter Function screen and press ENTER. You can then access the options within the ACTD function.

Sample Screen

```

_ ART _ PEND _ POS _ RMCI _ SETP _ _____ _ Help
Q$V1/ACTD/MD40          The Depository Trust Company          Date: MM/DD/CCYY
00002199-99            ATP Activity Information System Menu    Time: HH:MM:SS
=====
                Please Select an Option:  _

    1 - Source ID / ATP/DQF Input ID / Description / Owning IS Area
    2 - Activity Code / Sub Activity Code / Group code / Description
    3 - Activity Code / Sub Activity / Source ID
    4 - Activity Code / Settlement Activity Codes / MMI indicator

=====
                8/20:End                                9/21:Signoff

```

Field Descriptions

This field	Allows you to
------------	---------------

This field	Allows you to
Menu Bar	Access related functions or help for this screen. Type S or X to the left of the desired selection, then press ENTER. <i>Note-</i> If you do not use a mouse, press HOME, press TAB until your cursor is positioned beneath the desired option, type S or X to the left of the desired selection, then press ENTER.
Please Select an Option	Type a number to access an option of the ACTD function.

Messages

You may encounter the following messages when using the ACTD function. Messages are listed in alphabetical order, along with an explanation and suggested resolution for each.

Message Text	Possible Cause	Suggested Resolution
A DB2 ERROR HAS OCCURRED. PLEASE CONTACT NETWORK OPERATIONS	A system problem occurred.	Call the DTCC Customer Support Center at 1-(888) 382-2721.
CICS ERROR HAS OCCURRED. FUNCTION CODE: (FUNCTION CODE). RESPONSE CODE: (RESPONSE CODE). RESOURCE IS: (RESOURCE)	A system problem occurred.	Call the DTCC Customer Support Center at 1-(888) 382-2721.
ERROR DURING CALL TO (PROGRAM NAME)	A system problem occurred.	Call the DTCC Customer Support Center at 1-(888) 382-2721.
INVALID KEY PRESSED- USE DESIGNATED KEYS	You pressed an invalid PF key.	Press a valid PF key located at the bottom of the screen.
INVALID OPTION ENTERED- USE 1, 2, 3 OR 4 ONLY	You typed an invalid number in the Please Select An Option field on the ATP Activity Information System Menu.	Reenter the information in the Please Select An Option field on the ATP Activity Information System Menu.
SORRY NO ACTIVITY CODES FOR SELECTED GROUP	No information is available for the activity code group you selected.	Enter another activity code group to select information, or leave blank.
SQL ERROR CODE = (SQL CODE)	A system problem occurred.	Call the DTCC Customer Support Center at 1-(888) 382-2721.
START PAGE AT ACTV ID MUST BE NUMERIC	A non-numeric value was entered in the Start Page field.	Reenter the information in the Start Page field, or erase it.
THIS IS THE FIRST PAGE	You pressed the PF10/22 key to scroll backward while you are on the first page of data.	Press PF11/23 to scroll forward.
THIS IS THE LAST PAGE	You pressed the PF11/23 key to scroll forward while you are on the last page of data.	Press PF10/22 to scroll backward.
UNAUTHORIZED KEY PRESSED- USE DESIGNATED KEYS	You pressed an invalid PF key.	Press a valid PF key displayed at the bottom of the screen.

ADJI:

Introduction

Overview

The Adjustment Inquiry (ADJI) function allows you to view pending adjustments or adjustment history for:

- Cash adjustments for the payment of bond interest resulting from presentment of coupons to DTC for collection from the Paying Agent
- Pending Post Payable Rate Change Adjustments, and other Pending Cash Adjustments that maybe entered by DTC operation staff (this does not include Pending REPO, stock or stock loan adjustments which are available via SDAR)
- Due bill information for 180 business days after it first appears on your Dividend/Reorganization Cash Settlement List or Participant Activity Statement
- Expanded detail about original DO transactions for 60 business days after the delivery date, as well as information about the last update
- Individual miscellaneous charges or credits that appeared on your Dividend/Reorganization Settlement Statement during the past 30 business days
- Individual dividend share adjustments that have been applied to your DTC position during the past 30 days
- Details not available on your Dividend/Reorganization Settlement Statement, or to verify the information on the statement.

When to Use

ADJI is available 24 hours a day, Monday through Saturday.

Associated Products

ADJI is used in association with the following Dividend products:

- DTC TaxRelief
- DTC TaxInfo
- Inquiries
- Due Bill Fail Tracking System
- Repurchase Agreement (REPO) Tracking System (RTS)
- Stock Loan Income Tracking
- Coupon Collection Service (CCS) .

ADJI is used in association with the following Reorganization products:

- Allocations
- Voluntary Offerings
- Puts
- CD Early Redemptions
- Rights Subscriptions
- Conversions
- Warrant Exercises
- Mandatory Reorganizations
- Proxy.

List of Procedures:

Changing the Post Date of a Fail Adjustment

Use the following procedure to change the post date of a pending fail adjustment.

- 1 Type DIVD on the Enter Function screen and press ENTER.

Type REOG on the Enter Function screen and press ENTER.

Type DIVD or REOG on the Enter Function screen and press ENTER.

Result- The Dividend Selection Menu appears.

The Reorg Selection Menu appears.

The Dividend Selection Menu appears if you entered DIVD; the Reorg Selection Menu appears if you entered REOG.

- 2 In the **Enter** Option field, type the number that appears to the left of the ADJI function. Type a CUSIP number in the **CUSIP** field (*optional*), then press ENTER.

Result- The Adjustment Inquiry Selection Menu appears.

- 3 *Group Users only*, type the participant number whose adjustments you want to view in the **Participant** field.
- 4 Type 4 in the **Enter Adjustment Type** field and 1 in the **Enter Status** field.
- 5 *Optional*. If you know the date or the security for the fail adjustments you want to view, type a post date in the **Post Date** field and/or a CUSIP in the **CUSIP** field.
- 6 *Optional*. For fail history adjustments, you can also enter a **Delivery Date** or a **Trade Settle Date** (enter one or the other, not both).
- 7 Press ENTER.

Result- One of the following:

- If you did not specify search criteria, the Due Bill Fail Tracking- Detail Summary screen appears
- If you specified a **Post Date** and/or **CUSIP**, or if you specified a **Delivery Date** or a **Trade Settle Date**, the Due Bill Fail Tracking- Details screen appears.

- 8 If you accessed the CUSIP Selection screen, skip to Step 9.

If you accessed the Due Bill Fail Tracking- Detail Summary screen, type X in the **CMD** field to the left of the desired post date and press ENTER.

Result- The Due Bill Fail Tracking- Details screen appears.

- 9 Type C in the **CMD** field to the left of the desired adjustment, type a new date in the **Post** field, then press ENTER.

Result- The message 'Press PF1/13 to confirm, PF5/17 to cancel' appears.

10 Press PF1/13.

Result- The message '** Update successful**' appears.

Note- If you press PF5/17 to cancel the update, the C remains in the **CMD** field. If you do not want to reenter the same command, you must erase or overwrite this value.

Deleting a Fail Adjustment

Use the following procedure to delete a fail adjustment.

1 Type DIVD on the Enter Function screen and press ENTER.

Type REOG on the Enter Function screen and press ENTER.

Type DIVD or REOG on the Enter Function screen and press ENTER.

Result- The Dividend Selection Menu appears.

The Reorg Selection Menu appears.

The Dividend Selection Menu appears if you entered DIVD; the Reorg Selection Menu appears if you entered REOG.

2 In the **Enter** Option field, type the number that appears to the left of the ADJI function. Type a CUSIP number in the **CUSIP** field (*optional*), then press ENTER.

Result- The Adjustment Inquiry Selection Menu appears.

3 *Group Users only*, type the participant number whose adjustments you want to view in the **Participant** field.

4 Type 4 in the **Enter Adjustment Type** field and 1 in the **Enter Status** field.

5 *Optional*. If you know the date or the security for the fail adjustments you want to view, type a post date in the **Post Date** field and/or a CUSIP in the **CUSIP** field.

6 *Optional*. For fail history adjustments, you can also enter a **Delivery Date** or a **Trade Settle Date** (enter one or the other, not both).

7 Press ENTER.

Result- One of the following appears:

- If you did not specify search criteria, the Due Bill Fail Tracking- Detail Summary screen appears
- If you specified a **Post Date** and/or **CUSIP**, or if you specified a **Delivery Date** or a **Trade Settle Date**, the Due Bill Fail Tracking- Details screen appears.

8 If you accessed the Due Bill Fail Tracking- Details screen, skip to Step 9.

If you accessed the Due Bill Fail Tracking- Detail Summary screen, type X in the **CMD** field to the left of the desired post date and press ENTER.

Result- The Due Bill Fail Tracking- Details screen appears.

9 Type D in the **CMD** field to the left of the desired adjustment and press ENTER.

Result- The message 'Press PF1/13 to confirm, PF5/17 to cancel' appears.

10 Press PF1/13.

Result- The message '** Update successful**' appears.

Note- If you press PF5/17 to cancel the update, the D remains in the **CMD** field. If you do not want to reenter the same command, you must erase or overwrite this value.

Reinstating a Deleted Fail Adjustment

Use the following procedure to reinstate a fail adjustment that was previously deleted.

1 Type DIVD on the Enter Function screen and press ENTER.

Type REOG on the Enter Function screen and press ENTER.

Type DIVD or REOG on the Enter Function screen and press ENTER.

Result- The Dividend Selection Menu appears.

The Reorg Selection Menu appears.

The Dividend Selection Menu appears if you entered DIVD; the Reorg Selection Menu appears if you entered REOG.

2 In the **Enter** Option field, type the number that appears to the left of the ADJI function. Type a CUSIP number in the **CUSIP** field (*optional*), then press ENTER.

Result- The Adjustment Inquiry Selection Menu appears.

3 *Group Users only*, type the participant number whose adjustments you want to view in the **Participant** field.

4 Type 4 in the **Enter Adjustment Type** field and 1 in the **Enter Status** field.

5 *Optional*. If you know the date or the security for the fail adjustments you want to view, type a post date in the **Post Date** field and/or a CUSIP in the **CUSIP** field.

6 *Optional*. For fail history adjustments, you can also enter a **Delivery Date** or a **Trade Settle Date** (enter one or the other, not both).

7 Press ENTER.

Result- One of the following:

- If you did not specify search criteria, the Due Bill Fail Tracking- Detail Summary screen appears
- If you specified a **Post Date** and/or **CUSIP**, or if you specified a **Delivery Date** or a **Trade Settle Date**, the Due Bill Fail Tracking- Details screen appears.

8 If you accessed the Due Bill Fail Tracking- Details screen, skip to Step 9.

If you accessed the Due Bill Fail Tracking- Detail Summary screen, type X in the **CMD** field to

the left of the desired post date and press ENTER.

Result- The Due Bill Fail Tracking- Details screen appears.

- 9 Type R in the **CMD** field to the left of the desired adjustment and press ENTER. (You must select an adjustment that displays a D in the **DL** field.)

Result- The message 'Press PF1/13 to confirm, PF5/17 to cancel' appears.

- 10 Press PF1/13.

Result- The message '** Update successful**' appears.

Note- If you press PF5/17 to cancel the update, the R remains in the **CMD** field. If you do not want to reenter the same command, you must erase or overwrite this value.

Viewing Adjustments

Use the following procedure to view:

- Cash, coupon, custody, and rate adjustments (pending and history)
- REPO, stock, and stock loan adjustments (history only).

- 1 Type DIVD on the Enter Function screen and press ENTER.

Type REOG on the Enter Function screen and press ENTER.

Type DIVD or REOG on the Enter Function screen and press ENTER.

Result- The Dividend Selection Menu appears.

The Reorg Selection Menu appears.

The Dividend Selection Menu appears if you entered DIVD; the Reorg Selection Menu appears if you entered REOG.

- 2 In the **Enter** Option field, type the number that appears to the left of the ADJI function. Type a CUSIP number in the **CUSIP** field (*optional*), then press ENTER.

Result- The Adjustment Inquiry Selection Menu appears.

- 3 *Group Users only*, type the participant number whose adjustments you want to view in the **Participant** field.

- 4 Type one of the following in the **Enter Adjustment Type** field:

- 1: To view cash adjustments
- 2: To view coupon adjustments
- 3: To view custody adjustments
- 5: To view rate adjustments
- 6: To view REPO adjustments
- 7: To view stock adjustments
- 8: To view stock loan adjustments.

5 Type one of the following in the **Enter Status** field:

- 1: To view pending adjustments
- 2: To view past adjustments.

Note- If you select pending REPO, stock, or stock loan adjustments, you will access the SDARfunction.

6 *Optional.* Type a date in the **Post Date** field, and/or a CUSIP in the **CUSIP** field.

7 Press ENTER.

Result- One of the following:

- If you did not specify a **Post Date** or **CUSIP**, the Post Date Selection screen appears
- If you selected stock adjustment history, and did not specify a **Post Date** or **CUSIP**, the Stock History- Post Date Selection screen appears
- If you specified a **Post Date** and/or **CUSIP**, the CUSIP Selection screen appears.

The selected adjustment type and status are reflected in the screen's title.

8 If you accessed the CUSIP Selection screen, skip to Step 9.

If you accessed the Post Date Selection screen, type X in the **CMD** field to the left of the desired post date and press ENTER.

Result- The CUSIP Selection screen appears.

9 Type X in the **CMD** field to the left of the adjustment whose details you want to view and press ENTER.

Result- The Expanded Details screen appears.

Note- You can also type O in the **CMD** field to display the Function Selection screen, which allows you to access related PTS functions, carrying over the selected CUSIP information.

Viewing Fail Adjustments

Use the following procedure to view due bill fail adjustments.

1 Type DIVD on the Enter Function screen and press ENTER.

Type REOG on the Enter Function screen and press ENTER.

Type DIVD or REOG on the Enter Function screen and press ENTER.

Result- The Dividend Selection Menu appears.

The Reorg Selection Menu appears.

The Dividend Selection Menu appears if you entered DIVD; the Reorg Selection Menu appears if you entered REOG.

2 In the **Enter** Option field, type the number that appears to the left of the ADJI function. Type a

CUSIP number in the **CUSIP** field (*optional*) , then press ENTER.

Result- The Adjustment Inquiry Selection Menu appears.

- 3** *Group Users only*, type the participant number whose adjustments you want to view in the **Participant** field.
- 4** Type **4** in the **Enter Adjustment Type** field and one of the following in the **Enter Status** field:
 - 1: To view pending fail adjustments
 - 2: To view fail adjustment history.
- 5** *Optional*. If you know the date or the security for the fail adjustments you want to view, type a post date in the **Post Date** field and/or a CUSIP in the **CUSIP** field.
- 6** *Optional*. For fail history adjustments, you can also enter a **Delivery Date** or a **Trade Settle Date** (enter one or the other, not both).
- 7** Press ENTER.

Result- One of the following:

- If you did not specify search criteria, the Due Bill Fail Tracking- Detail Summary screen appears
 - If you specified a **Post Date** and/or **CUSIP**, or if you specified a **Delivery Date** or a **Trade Settle Date**, the Due Bill Fail Tracking- Details screen appears.
- 8** If you accessed the CUSIP Selection screen, skip to Step 9.

If you accessed the Due Bill Fail Tracking- Detail Summary screen, type X in the **CMD** field to the left of the desired post date and press ENTER.

Result- The Due Bill Fail Tracking- Details screen appears.

- 9** Type X in the **CMD** field to the left of the adjustment whose details you want to view and press ENTER.

Result- The Due Bill Fail Tracking- Expanded Details screen appears.

Note- You can also type one of the following in the **CMD** field:

- A: To display the Activity History Details screen
- H: To display the Due Bill Fail Tracking- Audit Trail Inquiry screen and view an audit history of the selected adjustment
- O: To display the Function Selection screen, which allows you to access related PTS functions, carrying over the selected CUSIP information.

Viewing Pending REPO, Stock, and Stock Loan Adjustments

Use the following procedure to view pending REPO, stock, or stock loan adjustments.

1 Type DIVD on the Enter Function screen and press ENTER.

Type REOG on the Enter Function screen and press ENTER.

Type DIVD or REOG on the Enter Function screen and press ENTER.

Result- The Dividend Selection Menu appears.

The Reorg Selection Menu appears.

The Dividend Selection Menu appears if you entered DIVD; the Reorg Selection Menu appears if you entered REOG.

2 In the **Enter** Option field, type the number that appears to the left of the ADJI function. Type a CUSIP number in the **CUSIP** field (*optional*), then press ENTER.

Result- The Adjustment Inquiry Selection Menu appears.

3 *Group Users only*, type the participant number whose adjustments you want to view in the **Participant** field.

4 Type one of the following in the **Enter Adjustment Type** field:

- 6: To view REPO adjustments
- 7: To view stock adjustments
- 8: To view stock loan adjustments.

5 Type 1 in the **Enter Status** field.

6 *Optional*. If you know the date or the security for the adjustments you want to view, type a post date in the **Post Date** field and/or a CUSIP in the **CUSIP** field.

7 Press ENTER.

Result- The Div/Reorg/Redemp Settlement Reporting screen appears.

Note- This screen is the menu for the SDAR function. See SDAR for more information and additional procedures.

List of Screens:

Adjustment Inquiry Selection Menu

The Adjustment Inquiry Selection Menu allows you to choose the type of adjustment you want to view, specify history or pending adjustments (depending on type), and optionally inquire by post date, CUSIP, delivery date, or settlement date.

Sample Screen

```
MENU      DAWN    DIVA    SDAR    HELP
EAAF      THE DEPOSITORY TRUST COMPANY      DATE: MM/DD/CCYY
00002199-01      ADJUSTMENT INQUIRY SELECTION MENU      TIME:  HH:MM:SS
=====
```

```

PARTICIPANT: _____

ENTER ADJUSTMENT TYPE: _          ENTER STATUS: _
-----
1. CASH      4. FAIL  7. STOCK          1. PENDING
2. COUPON    5. RATE  8. STOCK LOAN       2. HISTORY
3. CUSTODY   6. REPO

SELECT AN ACCESS METHOD OR ENTER AN APPROPRIATE SELECTION VALUE
-----
_ POST DATE      : ___ / ___ / ___
_ CUSIP          : _____
_ DELIVERY DATE  : ___ / ___ / ___ (FAIL HISTORY ONLY)
_ TRADE SETTLE DATE: ___ / ___ / ___ (FAIL HISTORY ONLY)

CMDS: 'X' - SELECT
=====
ENTER:PROCESS          PF8/20:END FUNCTION          PF9/21:SIGNOFF

```

Field Descriptions

This field	Allows you to
Menu Bar	Return to the service menu, access help for this screen, or access related functions, if listed. Click below the desired option and press ENTER. <i>Note-</i> If you do not use a mouse, press HOME, press TAB until your cursor is below the desired option, then press ENTER.
Participant	Enter the participant number whose adjustments you want to view. <i>Group users only.</i>
Enter Adjustment Type	Specify the type of adjustment you want to view.
Enter Status	Specify pending adjustments or adjustment history.
Post Date	View adjustments for a specific post date. Enter a data in mm/dd/yy format.
CUSIP	View adjustments for a specific security. Enter a valid nine-digit CUSIP. <i>Note-</i> You can enter both a Post Date and a CUSIP .
Delivery Date	View adjustments for a specific delivery date. Enter a date in mm/dd/yy format. <i>Note-</i> This field applies to fail history only. If you enter a Delivery Date , you cannot select pending adjustments, and you cannot enter a Post Date or a CUSIP .
Trade Settle Date	View adjustments for a specific settlement date. Enter a date in mm/dd/yy format. <i>Note-</i> This field applies to fail history only. If you enter a Trade Settle Date , you cannot select pending adjustments, and you cannot enter a Post Date or a CUSIP .

Note- You can also select viewing by **Post Date**, **CUSIP**, **Delivery Date**, or **Trade Settlement** by entering an X in front of any of these fields.

CUSIP Selection Screen

The CUSIP Selection screen appears when you choose an item on the Post Date Selection screen or the Stock History- Post Date Selection screen, or when you specify a **Post Date** or **CUSIP** on the Adjustment Inquiry Selection Menu. This screen displays a list of CUSIPs for which adjustments occurred on the specified or selected date and/or CUSIP. This screen appears for the following selections:

- Pending or history for cash, coupon, custody, and rate adjustments
- History only for REPO, stock, and stock loan adjustments.

All versions of this screen contain the fields described below.

Note- This screen does not apply to pending or history for fail adjustments, which appear on screens described separately. Also, if you elect to view pending REPO, stock, or stock loan adjustments, you will access the SDARfunction.

Sample Screen

```

MENU      HELP
SELECT A CUSIP BY ENTERING 'X' IN COMMAND COLUMN AND PRESSING ENTER
EAAA      THE DEPOSITORY TRUST COMPANY      DATE: MM/DD/CCYY
00002199-01  ADJI - CASH HISTORY - CUSIP SELECTION  TIME: HH:MM:SS
-----
PARTICIPANT: 0999 / TEST PART                SKIP TO CUSIP:

CMD  CUSIP  FUNCTION  RECORD  PAYABLE  POST  AMOUNT
-----
- 577081102 CASH DIV -08 03/12/99 04/06/99 04/06/99 $3,200.00 DB
- 577081102 CASH DIV -08 03/12/99 04/06/99 04/06/99 $3,200.00 CR
- 577081102 CASH DIV -08 03/12/99 04/06/99 04/06/99 $4,536.00 CR
- 577081102 CASH DIV -08 03/12/99 04/06/99 04/06/99 $31,888.00 CR
- 577081102 CASH DIV -08 03/12/99 04/06/99 04/06/99 $43,792.00 CR
- 577081102 CASH DIV -08 03/12/99 04/06/99 04/06/99 $20,176.00 CR
- 577081102 CASH DIV -08 03/12/99 04/06/99 04/06/99 $4,832.00 CR
- 577081102 CASH DIV -08 03/12/99 04/06/99 04/06/99 $105,960.00 CR
- 577081102 CASH DIV -08 03/12/99 04/06/99 04/06/99 $9,920.00 CR
- 577081102 CASH DIV -08 03/12/99 04/06/99 04/06/99 $6,936.00 CR
..MORE->

CMD: 'O' - OTHER FUNCTIONS, 'X' - SELECT CUSIP
-----
ENTER:PROCESS      PF6/18:PREVIOUS      PF7/19:ADJI MENU      PF8/20:END FUNCTION
                   PF9/21:SIGNOFF      PF10/22:BACKWARD      PF11/23:FORWARD

```

Field Descriptions

This field	Displays
Menu Bar	An access bar that allows you to return to the service menu, access help for this screen, or access related functions, if listed. Click below the desired option and press ENTER. <i>Note-</i> If you do not use a mouse, press HOME, press TAB until your cursor is below the desired option, then press ENTER.
Participant	The participant number and name you specified on the

This field	Displays
	Adjustment Inquiry Selection Menu. <i>Group users only.</i>
Skip to CUSIP	An entry field that allows you to bring a specific CUSIP to the top of the list. Enter a full or partial CUSIP number.
CMD	An entry field that allows you to specify one of the following: <ul style="list-style-type: none"> • O: To access the Function Selection screen • X: To access the Expanded Details screen.
CUSIP	The CUSIP number of the item being adjusted.
Function	The type of adjustment.
Record	The record date.
Payable	The payable date.
Post	The post date.
Amount	The dollar amount of the adjustment, followed by CR for credit adjustments or DB for debit adjustments. <i>Note-</i> This field does not apply to stock adjustments.
Whole Shares	The number of shares involved in the adjustment. <i>Note-</i> This field appears for stock adjustments only.

Due Bill Fail Tracking- Audit Trail Inquiry Screen

The Due Bill Fail Tracking- Audit Trail Inquiry screen appears when you choose an item on the Due Bill Fail Tracking- Details screen, and displays an audit history of the selected fail adjustment.

Sample Screen

```

MENU    ADJI    DAWN    DIVA    DPAL    SDAR    HELP
SELECT AN ENTRY BY ENTERING 'X' IN COMMAND COLUMN AND PRESSING ENTER
EAAH    THE DEPOSITORY TRUST COMPANY    DATE: MM/DD/CCYY
00002199-01    DUE BILL FAIL TRACKING - AUDIT TRAIL INQUIRY TIME:    HH:MM:SS
=====
PARTICIPANT: 0999 / TEST PARTICIPANT
CUSIP    FUNCTION    RECORD    PAYABLE    DELV PART    RECV PART
-----
989898135 CASH DIV    -08 01/20/99 02/07/99    1875    1876

CMD D/P UPDATE DT-TM UPDATE ID UPDATE REASON STK PAYABLE AMOUNT POST
-----
_    012999-15:47 D000555555    135.00CR 020899

'D' = DELETED / 'P' = PAIRED    'S' = STOCK
CMDS: 'X' - MORE INFO    NO MORE.

```

```

-----
ENTER:PROCESS      PF6/18:PREVIOUS   PF7/19:ADJI MENU  PF8/20:END FUNCTION
                   PF9/21:SIGNOFF    PF10/22:BACKWARD  PF11/23:FORWARD
-----

```

Field Descriptions

This field	Displays
Menu Bar	An access bar that allows you to return to the service menu, access help for this screen, or access related functions, if listed. Click below the desired option and press ENTER. <i>Note-</i> If you do not use a mouse, press HOME, press TAB until your cursor is below the desired option, then press ENTER.
Participant	The participant number and name you specified on the Adjustment Inquiry Selection Menu. <i>Group users only.</i>
CUSIP	The CUSIP number of the selected adjustment.
Function	The type of activity.
Record	The record date.
Payable	The payable date.
Delv Part	The deliverer's participant number.
Recv Part	The receiver's participant number.
CMD	An entry field that allows you to access the Due Bill Fail Tracking- Expanded Details screen. Enter an X.
D/P	An indicator of whether the adjustment has been deleted (D) or paired (P). Pairing occurs when a trade is rejected by the contra-participant as a result of a 'Don't Know' (DK) situation. This causes a reverse transaction to be generated. The original transaction and the reverse transaction are paired, they net out to zero and do not go to settlement.
Update Dt-Tm	The date and time of the last update to the adjustment.
Update ID	The signon ID of the person who made the last update to the adjustment.
Update Reason	The reason for the last update to the adjustment.
Stk	An indicator (S) if this is a stock adjustment.
Payable Amount	The dollar amount of the adjustment, or the number of shares if this is a stock adjustment.
Post	The post date.

Due Bill Fail Tracking- Detail Summary Screen

The Due Bill Fail Tracking- Detail Summary screen appears when you choose to view pending fail adjustments without entering a **Post Date** on the Adjustment Inquiry Selection Menu. This screen displays a list of post dates for fail adjustments you can view.

Sample Screen

```

MENU      HELP
SELECT A POST DATE BY ENTERING 'X' IN COMMAND COLUMN AND PRESSING ENTER
EAAA      THE DEPOSITORY TRUST COMPANY      DATE: MM/DD/CCYY
00002199-01      DUE BILL FAIL TRACKING - DETAIL SUMMARY      TIME: HH:MM:SS
=====
PARTICIPANT: 0999 / TEST PART      SKIP TO POST DATE: __ / __ / __

CMD      POST DATE      --- DELIVER (DB) ---      --- RECEIVE (CR) ---      STOCK
      AMOUNT      ITEMS      AMOUNT      ITEMS      ITEMS
-----
-      05/03/99      $23,008.99      33      $2,695.25      25      Y
-      05/04/99      $0.00      1      $1,049.86      9      N
-      05/07/99      $4,708.00      2      $7,407.52      12      N
-      05/10/99      $3,953.00      7      $645.00      5      Y
-      05/14/99      $57.00      2      $6,265.13      6      N
-      05/17/99      $6.80      2      $2,943.00      2      N
-      05/20/99      $0.00      0      $0.00      4      N
-      05/24/99      $0.00      0      $26,353.91      2      N
-      99/99/99      $16,828.18      402      $1,396.53      412      Y

CMDS: 'X' - SELECT POST DATE      NO MORE.
=====
ENTER:PROCESS      PF6/18:PREVIOUS      PF7/19:ADJI MENU      PF8/20:END FUNCTION
PF9/21:SIGNOFF      PF10/22:BACKWARD      PF11/23:FORWARD

```

Field Descriptions

This field	Displays
Menu Bar	An access bar that allows you to return to the service menu, access help for this screen, or access related functions, if listed. Click below the desired option and press ENTER. <i>Note-</i> If you do not use a mouse, press HOME, press TAB until your cursor is below the desired option, then press ENTER.
Participant	The participant number and name you specified on the Adjustment Inquiry Selection Menu. <i>Group Users only.</i>
Skip to Post Date	An entry field that allows you to bring a specific post date to the top of the display. Enter a date in <i>mm/dd/yy</i> format.
CMD	An entry field that allows you to select the post date whose adjustments you want to view. Enter an X.
Post Date	The post dates whose adjustments are available for viewing.
Deliver (DB) Amount	The debit dollar amount of adjustments for which you are the deliverer.
Deliver (DB) Items	The total number of adjustments for the specified date for which you are the deliverer.
Receive (CR) Amount	The credit dollar amount of adjustments for which you are the receiver.
Receive (CR) Items	The total number of adjustments for the specified date for which you are the receiver.
Stock Items	An indicator (Y = yes, N = no) of whether stock items are included in the adjustments.

Due Bill Fail Tracking- Details Screen

The Due Bill Fail Tracking- Details screen appears when you choose an item on the Due Bill Fail Tracking- Detail Summary screen or when you specify a **Post Date** on the Adjustment Inquiry Selection Menu. This screen displays adjustments for the selected post date.

Sample Screen

```

MENU      HELP

EAAB          THE DEPOSITORY TRUST COMPANY      DATE: MM/DD/CCYY
00002199-01   DUE BILL FAIL TRACKING - DETAILS  TIME:  HH:MM:SS
=====
PARTICIPANT: 0999 / TEST PART                SKIP TO CUSIP:

      D P S                                DELV REC V
CMD L R K  CUSIP    FC RECORD PAY DT  POST  PART PART    PAYABLE AMOUNT
-----
_  D      989898135 08 012099 092499 092499 1875 1876    150.00 CR

      D,P,S = (D)ELETED, (P)AIREd, (S)TOCK                                NO MORE.
CMDS: 'A' - ATP VIEW, 'H' - HISTORY, 'O' - OTHER FUNCTIONS, 'X' - MORE INFO,
      'C' - CHANGE, 'D' - DELETE, 'R' - REINSTATE
=====
ENTER:PROCESS  PF1/13:CONFIRM  PF2/14:FUNCTION CODES  PF5/17:CANCEL
PF6/18:PREVIOUS PF7/19:ADJI MENU  PF8/20:END FUNCTION   PF9/21:SIGNOFF
                PF10/22:BACKWARD PF11/23:FORWARD
    
```

Field Descriptions

This field	Displays
Menu Bar	An access bar that allows you to return to the service menu, access help for this screen, or access related functions, if listed. Click below the desired option and press ENTER. <i>Note-</i> If you do not use a mouse, press HOME, press TAB until your cursor is below the desired option, then press ENTER.
Participant	The participant number and name you specified on the Adjustment Inquiry Selection Menu. <i>Group users only.</i>
Skip to CUSIP	An entry field that allows you to bring a specific CUSIP to the top of the list. Enter a full or partial CUSIP number.
CMD	An entry field that allows you to: <ul style="list-style-type: none"> • A: Access the Activity History Details screen • H: Access the Due Bill Fail Tracking- Audit Trail Inquiry screen. • O: Access the Function Selection screen • X: Access the Due Bill Fail Tracking- Expanded Details

This field	Displays
	<p>screen.</p> <p>The following apply to pending fail adjustments only:</p> <ul style="list-style-type: none"> • C: Change the post date of a pending fail adjustment • D: Delete a pending fail adjustment • R: Reinstate a deleted fail adjustment. <p><i>Note-</i> If you enter C, D or R, then cancel the command instead of confirming, the letter will remain in this field. If you do not want to reenter the same command, you must erase or overwrite it.</p>
DL	The letter D if this adjustment has been deleted.
PR	The letter P if this adjustment has been paired. Pairing occurs when a trade is rejected by the contra-participant as a result of a 'Don't Know' (DK) situation. This causes a reverse transaction to be generated. The original transaction and the reverse transaction are paired, they net out to zero.
SK	The letter S if this is a stock adjustment.
CUSIP	The CUSIP number of the security involved in the adjustment.
FC	The function code. Press PF2/14 to display a list of codes and their meanings.
Record	The record date.
Pay Dt	The payable date.
Post	The post date.
Delv Part	The deliverer's participant number.
Recv Part	The receiver's participant number.
Payable Amount	<p>The dollar amount of the adjustment, followed by DB for debits or CR for credits.</p> <p><i>Note-</i> For stock adjustments, this field displays the number of shares followed by SHORT or LONG.</p>

Function Keys

In addition to the standard function keys described in Using the Standard Function Keys, you can press PF2/14 on the Due Bill Fail Tracking- Details screen to view a list of function codes and their meanings.

Due Bill Fail Tracking- Expanded Details Screen

The Due Bill Fail Tracking- Expanded Details screen appears when you choose an item on the Due Bill Fail Tracking- Details screen, and displays additional details about the selected adjustment.

Sample Screen



```

MENU      ADJI  DAWN  DIVA  DPAL  SDAR  HELP
EAAC      THE DEPOSITORY TRUST COMPANY      DATE: MM/DD/CCYY
00002199-01      DUE BILL FAIL TRACKING - EXPANDED DETAILS      TIME:  HH:MM:SS
=====
PARTICIPANT: 0999 / TEST PART      DELIVERY DATE: 04/09/99
  CUSIP      FC      RECORD      PAYABLE      CASH AMOUNT
-----
009158106  08  04/01/99  05/10/99      $833.00
DESC: AIR PRODS & CHEMS INC      COM      ACTIVITY: CASH DIV

ON 04/09/99 YOU DELIVERED TO PARTICIPANT 0998 - TEST PART  QTY:      4,900
SETTLE DATE: 03/31/99 .  THIS AFFECTS YOUR ACCOUNT AS FOLLOWS:

      $833.00 CASH AMOUNT - DB 05/10/99  UPDATED BY:
                                         UPDATED ON:
                                         REASON:

PREPARED BY: DIV INQUIRY      TELEPHONE: 212-709-1035
=====
PF6/18:PREVIOUS      PF7/19:ADJI MENU      PF8/20:END FUNCTION      PF9/21:SIGNOFF

```

Field Descriptions

This field	Displays
Menu Bar	An access bar that allows you to return to the service menu, access help for this screen, or access related functions, if listed. Click below the desired option and press ENTER. <i>Note-</i> If you do not use a mouse, press HOME, press TAB until your cursor is below the desired option, then press ENTER.
Participant	The participant number and name you specified on the Adjustment Inquiry Selection Menu. <i>Group users only.</i>
Delivery Date	The adjustment's delivery date.
CUSIP	The CUSIP number of the security involved in the adjustment.
FC	The function code.
Record	The record date.
Payable	The payable date.
Cash Amount/ CIL Amount	The dollar amount of the adjustment or, for stock transactions, the cash-in-lieu (CIL) amount. The number of shares are displayed for stock adjustments.
Desc	A brief description of the security.
Activity	A brief description of the function code.
Display area	A detailed description of the adjustment.
Updated By	The name of the participant who last updated the adjustment.
Updated On	The date of the last update to the adjustment.
Reason	The reason for the last update to the adjustment.
Prepared By	The name of the individual who prepared the adjustment.
Telephone	The preparer's telephone number.

Expanded Details Screen

The Expanded Details screen appears when you choose an item on the CUSIP Selection screen, and displays the details of the selected adjustment.

Sample Screen

```

MENU      DAWN  DIVA  DPAL  SDAR  HELP
EAAA      THE DEPOSITORY TRUST COMPANY      DATE: MM/DD/CCYY
00002199-01  ADJI - CASH HISTORY - EXPANDED DETAILS  TIME:  HH:MM:SS
=====
PARTICIPANT: 0999 / TEST PART
=====
CUSIP      FUNCTION      RECORD  PAYABLE  POST      AMOUNT
-----
577081102 CASH DIV      -08 03/12/99 04/06/99 04/06/99      $3,200.00 DB
DESC: MATTEL INC      COM

YOUR ACCOUNT WAS DEBITED ON MM/DD/YY FOR THE FOLLOWING REASONS:
STOCK LOAN/REPO PAYMENT ORDER ACTY W/2767 BAD REPO POS 40,000 SHS K908
212-999-9999 TEST INPUT

PREPARED BY: TEST INQUIRY      TELEPHONE: 212-999-9999 AS OF DATE:  /  /
=====
PF6/18:PREVIOUS      PF7/19:ADJI MENU      PF8/20:END FUNCTION      PF9/21:SIGNOFF

```

Field Descriptions

This field	Displays
Menu Bar	An access bar that allows you to return to the service menu, access help for this screen, or access related functions, if listed. Click below the desired option and press ENTER. <i>Note-</i> If you do not use a mouse, press HOME, press TAB until your cursor is below the desired option, then press ENTER.
Participant	The participant number and name you specified on the Adjustment Inquiry Selection Menu. <i>Group users only.</i>
CUSIP	The CUSIP number of the item being adjusted.
Function	The type of adjustment.
Record	The record date.
Payable	The payable date.
Post	The post date.
Amount	The dollar amount of the adjustment, followed by CR for credit adjustments or DB for debit adjustments. <i>Note-</i> This field does not apply to stock adjustments.

This field	Displays
Whole Shares	The number of shares involved in the adjustment. <i>Note-</i> This field appears for stock adjustments only.
Desc	A brief description of the security.
Display area	Text explaining when and why the account was debited or credited for the selected adjustment.
Prepared by	The name of the DTC staffer who prepared the adjustment.
Telephone	The preparer's telephone number.
As Of Date	The date the account was debited or credited for the selected adjustment.

Function Selection Screen

The Function Selection screen appears when you enter O (Other Functions) in the **CMD** field on one of the following screens:

- CUSIP Selection
- Stock History- Post Date Selection
- Due Bill Fail Tracking- Details.

The CUSIP, activity type, record date and payable date of the selected line item are carried over. From this screen, you can access any of several related functions, allowing you to perform various inquiries and activities for a security without having to reenter the CUSIP in each function.

Sample Screen

```

MENU      HELP
PLEASE SELECT AN OPTION
EAAF      THE DEPOSITORY TRUST COMPANY      DATE: MM/DD/CCYY
00002199-01      FUNCTION SELECTION      TIME:  HH:MM:SS
=====
PARTICIPANT: 0999 / TEST PART

      CUSIP      FUNCTION / ACTIVITY      RECORD DT      PAY DATE
-----
00504NAA8      CORPORATE BOND INTEREST-13      01/29/99      02/01/99

1. ANNOUNCEMENT INQUIRY      - DIVA
2. POSITION ALLOCATION HISTORY      - DPAL
3. DIVIDEND ANNOUNCEMENT WHAT'S NEW      - DAWN
4. DUE BILL FAIL TRACKING      - FAIL
5. SAME DAY ALLOCATION REPORTING      - SDAR

ENTER OPTION:  ___
=====
ENTER:PROCESS      PF6/18:RETURN

```

Field Descriptions

This field	Displays
Menu Bar	An access bar that allows you to return to the service menu, access help for this screen, or access related functions, if listed. Click below the desired option and press ENTER. <i>Note-</i> If you do not use a mouse, press HOME, press TAB until your cursor is below the desired option, then press ENTER.
Participant	The specified participant number and name. <i>Group users only.</i>
CUSIP	The CUSIP number carried over from the previous screen.
Function/ Activity	A brief description of the function or activity carried over from the previous screen.
Record Dt	The security's record date.
Pay Dt	The security's payable date.
Display area	A list of accessible functions for the selected CUSIP and activity. <i>Note-</i> If you are not signed up for a listed function, that line appears in low intensity and the message 'Ineligible' appears to the right. If you select that function, the message 'You do not have the necessary PTS eligibility to access the selected function' appears at the top of the screen. <i>For group users,</i> if you are not allowed to access the specified participant's data for a listed function, that line appears in low intensity and the message 'Not authorized' appears to the right. If you select that function, the message 'Group user not authorized for displayed participant & selected function combo' appears at the top of the screen.
Enter Option	An entry field that allows you to select the next function you want to access.

Post Date Selection Screen

The Post Date Selection screen appears when you choose to view pending adjustments or adjustment history without specifying a **Post Date** or **CUSIP** on the Adjustment Inquiry Selection Menu, and displays a list of post dates for adjustments you can view. This screen appears for the following selections:

- Pending or history for cash, coupons, custody, or rate adjustments
- History only for REPO or stock loan adjustments.

All versions of this screen contain the fields described below.

Note- This screen does not apply to pending or history for fail adjustments, or to history for stock adjustments, which appear on screens described separately. Also, if you elect to view pending REPO, Stock, or Stock Loan adjustments, you will access the SDARfunction.

Sample Screen

```

MENU      HELP

EAAF      THE DEPOSITORY TRUST COMPANY      DATE: MM/DD/CCYY
00002199-01  ADJI - CASH HISTORY - POST DATE SELECTION  TIME:  HH:MM:SS
=====
PARTICIPANT: 0999 / TEST PART      SKIP TO POST DATE:  __ / __ / __

  CMD      POST DATE      NET AMOUNT      ITEMS
  ---      -
  -         04/08/99      $21,470,165.87 CR      42
  -         04/07/99      $7,477,494.39 CR       46
  -         04/06/99      $1,997,994.17 CR       59
  -         04/05/99      $106,196,567.92 CR     49
  -         04/02/99      $5,733,350.63 CR       63
  -         04/01/99      $12,681,834.79 CR     492
  -         03/31/99      $4,459,121.71 CR      194
  -         03/30/99      $142,089.52 DB         53
  -         03/29/99      $577,202.40 CR         32
  -         03/26/99      $721,039.20 CR         60
                                     ...MORE->

CMD: 'X' - SELECT POST DATE
=====
ENTER:PROCESS      PF6/18:PREVIOUS      PF7/19:ADJI MENU      PF8/20:END FUNCTION
                   PF9/21:SIGNOFF      PF10/22:BACKWARD      PF11/23:FORWARD

```

Field Descriptions

This field	Displays
Menu Bar	An access bar that allows you to return to the service menu, access help for this screen, or access related functions, if listed. Click below the desired option and press ENTER. <i>Note-</i> If you do not use a mouse, press HOME, press TAB until your cursor is below the desired option, then press ENTER.
Participant	The participant number and name you specified on the Adjustment Inquiry Selection Menu. <i>Group users only.</i>
Skip to Post Date	An entry field that allows you to bring a specific post date to the top of the display. Enter a date in <i>mm/dd/yy</i> format.
CMD	An entry field that allows you to select the post date whose adjustments you want to view. Type X and press ENTER.
Post Date	The post dates whose adjustments are available for viewing.
Net Amount	The net dollar amount of the adjustments for each listed post date, followed by CR for credit amounts or DB for debit amounts.
Items	The total number of adjustments for each listed post date.

Stock History- Post Date Selection Screen

The Stock History- Post Date Selection screen appears when you choose to view past stock adjustments without specifying a **Post Date** or **CUSIP** on the Adjustment Inquiry Selection Menu, and displays a list of post dates for past stock adjustments you can view.

Sample Screen

```

MENU      HELP
SELECT A POST DATE BY ENTERING 'X' IN COMMAND COLUMN AND PRESSING ENTER
EAAA      THE DEPOSITORY TRUST COMPANY      DATE: MM/DD/CCYY
00002199-01  ADJI - STOCK HISTORY - POST DATE SELECTION  TIME:  HH:MM:SS
=====
PARTICIPANT: 0999 / TEST PART      SKIP TO POST DATE:  __ / __ / __

      CMD  POST DATE  ITEMS      CMD  POST DATE  ITEMS
      ---  -
      -   10/09/98   2      -   09/04/98   1
      -   10/08/98   1      -   08/31/98   1
      -   10/05/98   3
      -   09/30/98   2
      -   09/23/98   1
      -   09/22/98   1
      -   09/21/98   1
      -   09/16/98   2
      -   09/14/98   1
      -   09/09/98   2

NO MORE.

CMD:  'X' - SELECT POST DATE
=====
ENTER:PROCESS      PF6/18:PREVIOUS      PF7/19:ADJI MENU      PF8/20:END FUNCTION
                   PF9/21:SIGNOFF      PF10/22:BACKWARD      PF11/23:FORWARD

```

Field Descriptions

This field	Displays
Menu Bar	An access bar that allows you to return to the service menu, access help for this screen, or access related functions, if listed. Click below the desired option and press ENTER. <i>Note-</i> If you do not use a mouse, press HOME, press TAB until your cursor is below the desired option, then press ENTER.
Participant	The participant number and name you specified on the Adjustment Inquiry Selection Menu. <i>Group users only.</i>
CMD	An entry field that allows you to select the post date whose adjustments you want to view. Type X and press ENTER.
Post Date	The post dates whose adjustments are available for viewing.
Items	The total number of adjustments for each listed post date.

Messages

You may encounter the following messages when using the ADJI function. Messages are listed in alphabetical order, along with an explanation and suggested resolution for each.

Message Text	Possible Cause	Suggested Resolution
ACCESS METHOD/SELECTION ONLY VALID FOR FAIL HISTORY	The criteria specified on the Adjustment Inquiry Selection Menu is valid only for viewing past fail adjustments.	Delete the entered values or select the fail history option.
ACCESS THROUGH TRADE AND DELIVERY DATES NOT	When you're looking at a fail adjustment with two entries,	Delete one of the adjustments.

Message Text	Possible Cause	Suggested Resolution
ALLOWED	only one is allowed.	
APPLICATION IS NOT AVAILABLE (FUNCTION HAS BEEN QUIESCED). TRY AGAIN LATER	ADJI is currently not available.	See <i>When to Use</i> for information about the availability of this function.
BACKWARD SCROLLING NO LONGER POSSIBLE, PRESS CLEAR TO RESTART OR USE SKIP TO	PF10/22 was pressed to scroll backward, but you reached the allowable screen limit for scrolling backward.	Press PF11/23 to scroll forward, press CLEAR to restart (refresh) the display, or enter a value in the Skip to . . . (CUSIP or Post Date) field.
CAN ONLY ENTER ONE LINE COMMAND	An attempt was made to enter commands on more than one line.	Delete all but one line command and reenter.
CHECK DIGIT IS REQUIRED	You entered an invalid CUSIP.	Enter the full nine-digit CUSIP, including the check digit.
CUSIP SELECTION INVALID WITHOUT ENTRY OF CUSIP OR POST DATE	You tried to select a CUSIP, but did not enter a CUSIP or a Post Date.	Enter a CUSIP or a post date.
DATABASE ACTIVITY WAS ALTERED SINCE INITIAL ENTRY, PRESS CLEAR TO RESTART	The information being viewed may have changed since the screen was first displayed.	Press CLEAR to restart (refresh) the screen with the latest information from the database.
DELIVERY DATE ENTERED IS INVALID	The date entered in the Post Date field is not a valid date.	Enter a valid date (month between 01 and 12, day between 01 and 31).
DELIVERY DATE ENTERED IS NOT NUMERIC	The value entered in the Delivery Date field contains a non-numeric character.	Enter a valid date.
DELIVERY DATE MUST BE LESS THAN CURRENT DATE FOR HISTORY ADJUSTMENTS	The fail history option was specified, but the Delivery Date entered is a future date.	Enter a past date.
DELIVERY DATE NOT VALID WITH POST DATE AND/OR CUSIP	A Delivery Date was entered, but is not valid when a Post Date or a CUSIP is also specified.	Specify one or the other, not both.
EMBEDDED SPACES IN CUSIP ARE INVALID	Spaces were entered in the CUSIP field.	Enter a valid nine-digit CUSIP number.
ERROR ATTEMPTING TO SCROLL, PRESS CLEAR TO RESTART	The system was unable to comply with a scrolling request; the database applicable to the screen being viewed may have changed.	Press CLEAR to restart (refresh) the display.
GROUP USER IS NOT ELIGIBLE TO VIEW THE ENTERED PARTICIPANTS DATA	A Group User entered a Participant number, but is not eligible to view that Participant's adjustment information.	Specify a different Participant .
INVALID CALL TO CALRTNE. CONTACT PROGRAMMING SUPPORT.	A system error has occurred.	Contact the Customer Support Center at: (888) 382-2721

Message Text	Possible Cause	Suggested Resolution
INVALID CHARACTERS IN SKIP TO CUSIP	An invalid value was entered in the Skip to CUSIP field.	Enter a valid nine-digit CUSIP number.
INVALID COMMAND	An invalid value was entered in the CMD field.	Enter one of the line command characters listed at the bottom of the screen.
INVALID KEY	An invalid key was pressed.	Press one of the valid PF keys listed at the bottom of the screen.
INVALID KEY- PRESS PF6/18 TO RETURN TO THE PRIOR SCREEN	An invalid key was pressed.	Press PF6/18 to return to the previous screen.
LAST PAGE OF DATA	PF11/23 was pressed to scroll forward, but the end of available data for this display has been reached.	Press PF10/22 to scroll backward, or enter a value in the Skip to. . . (CUSIP or Post Date) field.
LEADING SPACES ON CUSIP ARE INVALID	Spaces were entered in the first part of the CUSIP field.	Enter a valid nine-digit CUSIP number.
NO DATA EXISTS FOR THE SELECTED OPTION	There is nothing in the database to match the selected option or search criteria.	Try another option, or enter a different date or CUSIP.
NO DATA FOUND DATABASE ACTIVITY WAS ALTERED SINCE INITIAL ENTRY, PRESS CLEAR TO RESTART	This message appears if any information was changed.	Press CLEAR to refresh the information that appears on the screen.
NOT A VALID CUSIP	The CUSIP number entered is not recognized by the system.	Try a different CUSIP number.
PARTICIPANT ID IS NOT VALID	The specified Participant number is not recognized by the system.	Try a different Participant number.
PARTICIPANT ID MUST BE NUMERIC	The specified Participant number contains a non-numeric character.	Reenter the Participant number.
PARTICIPANT ID OPTIONAL	A Participant number is optional for the specified option.	Information only; no action required.
PARTICIPANT ID REQUIRED. PLEASE ENTER PARTICIPANT ID.	A Participant number is required for the specified option, but the Part ID field is blank.	Enter a Participant number.
PAST APPLICATION CUTOFF TIME	It is past cutoff time for the ADJI function.	See <i>When to Use</i> for information about the availability of this function.
PLEASE SELECT AN ADJUSTMENT STATUS	The Enter Status field was left blank.	Enter 1 to view pending adjustments or 2 to view adjustment history.
PLEASE SELECT AN ADJUSTMENT TYPE	The Enter Adjustment Type field was left blank.	Enter the number that corresponds to the type of adjustments you want to view.
POST DATE AND/OR CUSIP MUST ALSO BE ENTERED	You selected a CUSIP and/or a CUSIP, but didn't enter any values in either field.	Enter a CUSIP or a post date.
POST DATE ENTERED IS	The date entered in the Post	Enter a valid date (month

Message Text	Possible Cause	Suggested Resolution
INVALID	Date field is not a valid date.	between 01 and 12, day between 01 and 31).
POST DATE ENTERED IS NOT NUMERIC	The value entered in the Post Date field contains a non-numeric character.	Enter a valid date.
POST DATE MUST BE GREATER THAN OR EQUAL TO CURRENT DATE FOR PENDING ADJUSTMENTS	A past date was entered in the Post Date field, but pending adjustments were selected in the Enter Status field.	Enter a date greater than or equal to today, or select adjustment history.
POST DATE MUST BE LESS THAN CURRENT DATE FOR HISTORY ADJUSTMENTS	A future date was entered in the Post Date field, but adjustment history was selected in the Enter Status field.	Enter a date less than today, or select pending adjustments.
SCROLLING IS INVALID WITH COMMAND LINE SELECTION	A scrolling key was pressed after an entry was made in the Skip to Post Date field.	Press ENTER to execute the entered command, or delete the value in the CMD field before attempting to scroll.
SCROLLING IS INVALID WITH SKIP TO CUSIP	A scrolling key was pressed after an entry was made in a Skip to Post Date field.	Press ENTER to skip to the entered CUSIP number, or delete the value in the Skip to Post Date field.
SCROLLING IS INVALID WITH SKIP TO POST DATE	A scrolling key was pressed after an entry was made in a Skip to Post Date field.	Press ENTER to skip to the entered post date, or delete the value in the Skip to Post Date field.
SELECT A CUSIP BY ENTERING 'X' IN COMMAND COLUMN AND PRESSING ENTER	ENTER was pressed, but no command was entered.	Enter X in the CMD field to the left of the CUSIP whose adjustments you want to display.
SELECT A POST DATE BY ENTERING 'X' IN COMMAND COLUMN AND PRESSING ENTER	ENTER was pressed, but no command was entered.	Enter X in the CMD field to the left of the post date whose adjustments you want to display.
SELECTED ADJUSTMENT STATUS IS INVALID	The value entered in the Enter Status field is not valid.	Enter 1 to view pending adjustments or 2 to view adjustment history.
SELECTED ADJUSTMENT TYPE IS INVALID	The value entered in the Enter Adjustment Type field is not valid.	Enter a number from the list below the Enter Adjustment Type field.
SKIP TO CUSIP NOT ALLOWED WITH COMMAND LINE SELECTION	Values were entered in both the Skip to CUSIP and CMD fields.	Enter one or the other, not both.
SKIP TO DATE ENTERED IS INVALID	The date entered in the Post Date field is not a valid date.	Enter a valid date (month between 01 and 12, day between 01 and 31).
SKIP TO DATE ENTERED IS NOT NUMERIC	The value entered in the Post Date field contains a non-numeric character.	Enter a valid date.
SKIP TO DATE NOT ALLOWED WITH COMMAND LINE SELECTION	Values were entered in both the Skip to Post Date and CMD fields.	Enter one or the other, not both.

Message Text	Possible Cause	Suggested Resolution
SKIP TO WAS NOT FOUND	The value entered in the Skip to CUSIP or Skip to Post Date field was not found in the database.	Enter a different CUSIP or date.
SYSTEM ERROR (MASREGTB)- TRY AGAIN LATER OR CALL DTC NETWORK OPERATIONS	A system problem has occurred.	Contact DTC's Customer Support Center at: (888) 382-2721
SYSTEM TOO BUSY- TRY AGAIN LATER	The system is currently too busy to process your request.	Try your request again later.
TOP OF DATA REACHED	PF10/22 was pressed to scroll backward, but the beginning of available data for this display has been reached.	Press PF11/23 to scroll forward, press CLEAR to restart (refresh) the display, or enter a value in the Skip to . . (CUSIP or Post Date) field.
TRADE DATE MUST BE LESS THAN CURRENT DATE FOR HISTORY ADJUSTMENTS	A future date was entered in the Trade Settle Date field, but fail adjustment history was selected.	Enter a date prior to today, or select pending adjustments.
TRADE DATE NOT VALID WITH POST DATE AND/OR CUSIP	Values were entered in the Post Date or CUSIP field, and the Trade Settle Date field.	Enter one or the other, not both.
TRADE SETTLE DATE ENTERED IS INVALID	The date entered in the Post Date field is not a valid date.	Enter a valid date (month between 01 and 12, day between 01 and 31).
TRADE SETTLE DATE ENTERED IS NOT NUMERIC	The value entered in the Post Date field contains a non-numeric character.	Enter a valid date.

ANE:

Introduction

Overview

The Trade Authorization and Exception (ANE) function allows you to to authorize or except securities eligible for settlement during the 23 business days beginning with S-1 (the day before settlement) and ending with S+21 (21 days after settlement).

ANE has four update options and four inquiry options. Each option is date-specific; only one settlement date can be viewed or processed at a time, starting with S-1 for the day before settlement.

The four update options are:

- Global Authorization: Allows you to authorize, or authorize with detail exceptions, all deliveries.
- Global Exception: On S-1 only, allows you to except, or except with detail authorizations, all deliveries for the next settlement day.

Note- DTC processes instructions on a last-in basis. For example, if the last instruction received before cutoff is global, it overrides all prior input and provides an audit trail for review of input. If the last instruction is trade-for-trade (authorization or exception of individual trades), it overrides any previous global instructions submitted to DTC. If you submit a global authorization and then submit a global exception, or vice versa, the last global instruction is processed.

- Trade for Trade Processing: Allows you to authorize or except individual deliveries from S-1 through S+21.
- Settlement Date Authorize with Except: Allows you to either globally authorize, or globally authorize with detail exceptions, all "Not Delivered" trades (trades that were excepted on S-1).

Note- You can use this option only on the settlement date (S).

The four inquiry options are:

- Authorization/Exception Recap: Allows you to view the status of all trades by settlement day. You can view a breakdown showing the number, total shares and total dollar value of trades authorized and excepted for that date, as well as the global status.
- Browse/Select Settlement Date: Allows you to view the number of trades authorized and excepted for the different settlement dates.
- Browse Trades: Allows you to view trades that are available for processing and the current status of each trade.
- Audit Trail Inquiry: Allows you to view particular instructions that were executed on a specific input date. You can also view the instructions that changed the status of a specific trade.

When to Use

Use ANE whenever you need to authorize or except trades from delivery.

The following table describes the cutoff times for the various activities you can perform via ANE. This table includes cutoff times for PTS, CCF, CCFII, and MDH. All times are eastern time.

This activity	For this settlement date	Is available
CCF/CCF-II/MDH Global and Trade-for-Trade	S-1	6:00 a.m. to 6:30 p.m.
PTS Global and Trade-for Trade	S-1	6:00 a.m. to 7:30 p.m.
PTS/CCF/CCF-II/MDH Global for immediate delivery	S	6:00 a.m. to 10:00 a.m.
PTS/CCF/CCF-II/MDH Global with exceptions for immediate delivery	S	6:00 a.m. to 10:00 a.m.
PTS/CCF/CCF-II/MDH Trade-for-Trade for immediate delivery	S and beyond	6:00 a.m. to 2:30 p.m.
CCF/CCF-II/MDH Trade-for-Trade for night side processing	S and beyond	2:30 p.m. to 6:30 p.m.
PTS Trade-for-Trade for night side processing	S and beyond	11:30 a.m. to 7:30 p.m. *

* Trade-for-Trade processing starts after loading ANE trades into the system (approximately 12:30 p.m.).

Associated Products

ANE is not associated with a specific Settlement product, but is used in association with the Settlement Processing Schedule.

List of Procedures:

Authorizing or Excepting Individual Trades

Use the following procedure to authorize or except individual trades.

1 Type ANE on the Enter Function screen and press ENTER.

Result- The Main Menu appears.

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

3 *Optional.* Type N or C in the **For Trades, Sort By Control Number (N) or CUSIP (C)** field.

4 Press ENTER.

Result- The Trade for Trade Processing screen appears.

5 Type one of the following in the **Stat** field for each trade:

- A: To authorize the trade
- E: To except the trade.

6 Press ENTER.

Result- The message 'Press "PF1" key to update the status of the trades you requested a change for' appears.

7 Press PF1/13.

Result- The message 'Update successful' appears.

Globally Authorizing All "Not Delivered" Trades

```
<div class="rxbodyfield"> <p> <!-- EDMS MRU ID: --><a id="A00267051"
name="A00267051"></a>Use the following procedure to globally authorize all &quot;not
delivered&quot; trades (trades that were excepted on S-1). </p> <div CLASS="D-steplist"> <table
CLASS="TBL-steplist" cellpadding="2" cellspacing="2"> <tbody> <tr CLASS="TBL-row"> <td
valign="top"> <span CLASS="row-number"> <p> 1 </p> </span> </td> <td valign="top">
<span CLASS="TBL-entry"> <span CLASS="D-action"> <p> Type <span CLASS="P-entry-data">
ANE</span> on the <span CLASS="P-screen-title"> Enter Function</span> screen and press
<span CLASS="P-key-name"> ENTER</span>. </p> </span> <span CLASS="D-result"> <p> <i>
Result-</i> The <span CLASS="P-screen-title"> <!-- EDMS Lnk: <a href="A86972524"> --> Main
Menu<!-- EDMS Lnk: </a> --> </span> appears. </p> </span> </span> </td> </tr> <tr
CLASS="TBL-row"> <td valign="top"> <span CLASS="row-number"> <p> 2 </p> </span> </td>
<td valign="top"> <span CLASS="TBL-entry"> <span CLASS="D-action"> <p> <a
id="A00267742" name="A00267742"></a>Type <span CLASS="P-entry-data"> 4</span> on the
<span CLASS="P-field-name"> Enter </span> Option field and press <span CLASS="P-key-
name"> ENTER</span>. </p> </span> <span CLASS="D-result"> <p> <i> Result-</i> The
<span CLASS="P-screen-title"> <!-- EDMS Lnk: <a href="A00268970"> --> Settlement Date
Authorize with Except<!-- EDMS Lnk: </a> --> </span> screen appears. </p> </span> <span
CLASS="D-note"> <p> <a id="A00268610" name="A00268610"></a><i> Note-</i> The <span
CLASS="P-field-name"> Settlement Date</span> field must contain today&#39;s date. </span>
</span> </td> </tr> <tr CLASS="TBL-row"> <td valign="top"> <span CLASS="row-number">
<p> 3 </p> </span> </td> <td valign="top"> <span CLASS="TBL-entry"> <span CLASS="D-
action"> <p> <a id="A00267355" name="A00267355"></a>Type <span CLASS="P-entry-data">
E</span> in the <span CLASS="P-field-name"> Stat</span> field next to each trade you want to
except and press <span CLASS="P-key-name"> ENTER</span>. </p> </span> <span CLASS="D-
result"> <p> <i> Result-</i> The message&#39;Press &quot;PF1&quot; key to authorize the
trades showing an &quot;A&quot; status request&#39; appears. </p> </span> </span> </td>
</tr> <tr CLASS="TBL-row"> <td valign="top"> <span CLASS="row-number"> <p> 4 </p>
</span> </td> <td valign="top"> <span CLASS="TBL-entry"> <span CLASS="D-action"> <p>
Press <span CLASS="P-key-name"> PF1/13</span>. </p> </span> <span CLASS="D-result">
<p> <i> Result-</i> The message&#39;Update successful&#39; appears and the next page of
data is displayed. Repeat Steps 3 and 4 for each page of the display. </p> </span> </span>
</td> </tr> </tbody> </table> </div> </div>
```

Globally Authorizing Trades for Delivery

Use the following procedure to globally authorize trades for delivery.

1 Type ANE on the Enter Function screen and press ENTER.

Result- The Main Menu appears.

2 Type 1 in the **Enter** Option field and press ENTER.

Result- The Global Authorization screen appears.

3 Press PF1/13.

Result- The message'Global authorization successful' appears.

Note- If you attempt to perform two global authorizations on the same day, a message overlays the Global Authorization screen stating that all same day trades for the specified participant have been authorized. The Participant number, date, and system by which authorization was performed are listed in the message. Press PF2/14 to reverse the original global authorization and process the new one. The message'Reset successful' appears. Press ENTER, then press PF1/13.

- 4 *Optional.* To except individual trades that were globally authorized, press PF3/15.

Result- The Trade for Trade Processing screen appears.

- 5 Type E in the **Stat** field next to any trade you want to except and press ENTER.

Result- The message'Press "PF1" key to update the status of the trades you requested a change for' appears.

- 6 Press PF1/13.

Result- The message'Update successful' appears.

Globally Excepting Trade from Delivery

Use the following procedure to globally except trades from delivery.

- 1 Type ANE on the Enter Function screen and press ENTER.

Result- The Main Menu appears.

- 2 Type 2 in the **Enter** Option field and press ENTER.

Result- The Global Exception screen appears.

- 3 Press PF1/13.

Result- The message'Global exception successful' appears.

Note- If you attempt to perform two global authorizations on the same day, a message overlays the Global Exception screen stating that all same day trades for the specified participant have been authorized. The Participant number, date, and system by which authorization was performed are listed in the message. Press PF2/14 to reverse the original global exception and process the new one. The message'Reset successful' appears. Press ENTER, then press PF1/13.

- 4 *Optional.* To authorize trades that were globally excepted, press PF3/15.

Result- The Trade for Trade Processing screen appears.

- 5 Type A in the **Stat** field next to each trade you want to authorize and press ENTER.

Result- The message'Press "PF1" key to update the status of the trades you requested a change for' appears.

- 6 Press PF1/13.

Result- The message'Update successful' appears.

Viewing Processing Instructions for a Specific Input Date

Use the following procedure to view any processing instructions submitted for a specific date.

1 Type ANE on the Enter Function screen and press ENTER.

Result- The Main Menu appears.

2 Type 8 in the **Enter** Option field and press ENTER.

Result- The Audit Trail Browse screen appears.

3 *Optional.* Enter the applicable value in one of the following fields:

- **Input Date:** Type the date for which you want to view activity
- **Control Number:** Type the control number of a specific trade
- **Prod/Test Ind (P/T):** Type T to test Interface Control Manager (ICM) functionality. This feature is designed to aid deliverers in converting from CCF to the new ICM product. When test transactions are processed in the production environment, databases are not updated, but an audit trail record is created that you can view on the screen.

Note- You can enter **Input Date** or **Control Number**, but not both.

4 Press ENTER.

Result- The Audit Trail Browse screen displays all activity for the input date or control number you entered.

Note- If there is no activity for the input date you entered, the message 'Audit Trail info is not available on the specified Input Date' appears.

Viewing the Status of Trades for a Specific Settlement Date

Use the following procedure to view the status of trades for a specific settlement date.

1 Type ANE on the Enter Function screen and press ENTER.

Result- The Main Menu appears.

2 Type 5 in the **Enter** Option field and press ENTER.

Result- The Authorization/Exception Recap screen appears.

3 *Optional.* To view information for another settlement date, type that date in the **Settlement Date** field and press ENTER.

Viewing Trades Authorized or Excepted on Different Settlement Dates

Use the following procedure to view trades authorized or excepted on different settlement dates.

1 Type ANE on the Enter Function screen and press ENTER.

Result- The Main Menu appears.

2 Type 6 in the **Enter** Option field and press ENTER.

Result- The Browse/Select Settlement Date screen appears.

3 *Optional.* Type one of the following in the **Sel** field to the left of the desired settlement date and

press ENTER:

- T: To access the Trade for Trade Processing screen
- B: To access the Browse Trades screen
- R: To access the Authorization/Exception Recap screen
- H: To access the Audit Trail Browse screen
- S: To return to the Main Menu, where the selected date will appear in the **Settlement Date** field.

Viewing Trades Available for Processing

Use the following procedure to view the status of all trades that are available for processing (that have not been excepted or authorized).

- 1 Type ANE on the Enter Function screen and press ENTER.

Result- The Main Menu appears.

- 2 Type 7 in the **Enter** Option field.

- 3 *Optional.* Type C or N in the **For Trades, Sort By Control Number (N) or CUSIP (C)** field.

- 4 Press ENTER.

Result- The Browse Trades screen appears.

- 5 *Optional.* To view history for a specific item, place the cursor in the **Stat** field and press PF5/17.

Result- The Audit Trail Browse screen appears.

List of Screens:

Audit Trail Browse Screen

The Audit Trail Browse screen appears when you select option 8 on the Main Menu, or when you select an item on the Browse/Select Settlement Date screen. This screen allows you to view instructions that were executed on a specific input date. Each line shows either a status change made to a trade, or a global status change. You can also view the instructions that changed the status of a specific trade by entering the trade's control number.

Sample Screen

```
Termid: EAAA   D E P O S I T O R Y   T R U S T   C O M P A N Y   Date: MM/DD/YY
Signon: 00002199-99   TRADE AUTHORIZATION & EXCEPTION SYSTEM   Time: HH:MM:SS
                        AUDIT TRAIL BROWSE

DTC Participant Number: 00002199   DTC TEST                       Funds Type: NEXT DAY
Input Date:      /      /      Control Number:                   Prod/Test Ind (P/T): P

Settle   Control   CUSIP   Signon   Input   Input   Input   Status
Date     Number    Number  I.D.     Media  Date    Time    Pre Post
11/15/99                *GLOBAL* 00002199-99   PTS   11/15/99 14:02:5749   U   A
11/15/99                *GLOBAL* 00002199-99   PTS   11/15/99 14:03:2201   A   U
11/15/99                *GLOBAL* 00002199-99   PTS   11/15/99 14:04:2054   U   E
```

```

11/15/99      *GLOBAL*    00002199-99  PTS  11/15/99 15:03:2427  E  U

PFKeys: 2/14: Prev Date  3/15: Next Date  4/16: Change Funds  6/18: Prev Menu
        7/19: Main 8/20: End 9/21: Signoff 10/22: Prev Page 11/23: Next Page

```

Field Descriptions

This field	Displays
DTC Participant Number	Your Participant number and name. <i>Note - For Group Users, this displays the Participant number and name specified on the Main Menu.</i>
Funds Type	The funds type. You can toggle between Next Day and Same Day by pressing PF4/16.
Input Date	An entry field that allows you to view all activities for every trade processed on that date. Enter a date in mm/dd/yy format.
Control Number	An entry field that allows you to view all activity for a specific trade control number. Enter a valid eight-digit control number.
Prod/Test Ind (P/T)	An entry field that allows you to test ANE ICM functionality in the production environment. Enter a T. <i>Optional. Default: P.</i> <i>Note -This feature is designed to aid deliverers in converting from CCF to the new ICM product. When test transactions are processed in the production environment, databases are not updated, but an audit trail record is created that you can view on the screen.</i>
Settle Date	The settlement date.
Control Number	The control number assigned to the trade.
CUSIP Number	The CUSIP number of the security being traded.
Signon I. D.	The PTS signon ID of the person who entered the global instruction.
Input Media	The system or function by which the trade was entered or updated: <ul style="list-style-type: none"> • PTS • CCF • MDH • ANE.
Input Date	The date the transaction was entered.
Input Time	The time the transaction was entered.

This field	Displays
Status (Pre and Post)	<p>One of the following:</p> <ul style="list-style-type: none"> • A: Authorized • E: Excepted • F: IPO-excepted syndicates (Post only) • I: IPO-excepted trades • U: Unprocessed.

Function Keys

In addition to the standard function keys described in Using the Standard Function Keys, the following are available on the Browse Trades screen:

This key	Allows you to
PF2/14	View trades for the previous input date.
PF3/15	View trades for the next input date.
PF4/16	Toggle between Next Day and Same Day funds.

Authorization / Exception Recap Screen

The Authorization/Exception Recap screen appears when you select option 5 on the Main Menu, and allows you to view a summary of all trades for a specific settlement date. You can also access this screen by selecting a settlement date on the Browse/Select Settlement Date screen.

This screen contains the same fields and function keys as the Global Authorization/Exception screen, except that from this screen, you cannot use PF3/15 to access the Trade for Trade Processing screen.

Browse Trades Screen

The Browse Trades screen appears when you select option 7 on the Main Menu, or when you select an item on the Browse/Select Settlement Date screen. This screen allows you to browse trades that are available for processing. The screen will have one of the following titles depending on what you entered in the **For Trades, Sort By Control Number (N) or CUSIP (C)** field on the Main Menu:

- Browse Trades by Control Number if you entered N (default)
- Browse Trades by CUSIP if you entered C.

This screen contains the same fields and function keys as the Trade for Trade Processing screen.

Browse/Select Settlement Date Screen

The Browse/Select Settlement Date screen appears when you select option 6 on the Main Menu, and allows you to select a settlement date for viewing or processing trades.

Sample Screen

```

SEL CODES: T=trade update, B=browse trades, R=recap, H=history, S=select date
Termid: EAAA DEPOSITORY TRUST COMPANY Date: 11/12/99
Signon: 00002199-99 TRADE AUTHORIZATION & EXCEPTION SYSTEM Time: 10:25:05
BROWSE/SELECT SETTLEMENT DATE

DTC Participant Number: 00002199 DTC TEST 01
Funds Type: SAME DAY

Settlement Number of Trades | Settlement Number of Trades
Sel DATE Authorized Excepted | Sel DATE Authorized Excepted
S-01 08/04/99 100 90 | S+11 07/19/99 3,185 3,236
SDAY 08/03/99 2,953 3,610 | S+12 07/16/99 1,775 2,888
S+01 08/02/99 2,965 3,480 | S+13 07/15/99 2,742 2,748
S+02 07/30/99 2,059 3,361 | S+14 07/14/99 4,650 4,020
S+03 07/29/99 1,784 2,406 | S+15 07/13/99 3,375 4,423
S+04 07/28/99 2,075 2,505 | S+16 07/12/99 2,180 3,272
S+05 07/27/99 2,397 2,976 | S+17 07/09/99 2,084 3,126
S+06 07/26/99 3,703 3,575 | S+18 07/08/99 1,406 2,601
S+07 07/23/99 2,071 2,574 | S+19 07/07/99 2,072 4,076
S+08 07/22/99 1,732 2,272 | S+20 07/06/99 8,359 7,190
S+09 07/21/99 2,168 2,872 | S+21 07/02/99 2,261 2,670
S+10 07/20/99 2,418 2,864 |

PFKeys: 4/16: Change Funds Type 6/18: Prev 7/19: Main 8/20: End 9/21: Signoff

```

Field Descriptions

This field	Displays
DTC Participant Number	Your Participant number and name. <i>Note - For Group Users, this displays the Participant number and name specified on the Main Menu.</i>
Funds Type	The funds type. You can toggle between Next Day and Same Day by pressing PF4/16.
Sel	An entry field that allows you to access other screens. Enter one of the following to the left of the desired settlement date: <ul style="list-style-type: none"> S: To access the Main Menu, where the selected date will be automatically entered in the Settlement Date field R: To access the Authorization/Exception Recap screen T: To access the Trade for Trade Processing screen H: To access the Audit Trail Browse screen B: To access the Browse Trades screen. <i>Note -You can only select one date at a time.</i>
Settlement Date	The settlement date.
Number of Trades Authorized	The total number of trades authorized for that settlement date.
Number of Trades Excepted	The total number of trades excepted for that settlement date.

Function Keys

In addition to the standard function keys described in Using the Standard Function Keys, you can press PF4/16 on the Browse/Select Settlement Date screen to toggle between Next Day and Same Day funds.

Global Authorization / Exception Screen

The Global Authorization/Exception screen appears when you select options 1 or 2 on the Main Menu. The title will include Authorization or Exception depending on the selected option. This screen allows you to authorize all deliveries for settlement, or except all deliveries from settlement. You can authorize with detail exceptions if it's prior to the settlement date.

Note- DTC processes instructions to the database on a last-in basis. If the last instruction received before cutoff is global, it overrides all prior input and provides an audit trail for review of input. If the last instruction is trade-for-trade, it overrides any previous instructions submitted to DTC for a specific trade control number. If you first submit a global authorization and then submit a global exception (or vice versa), the last global instruction is processed.

Sample Screen

```

Press "PF1" Key for Global Authorization
Termid: EAAG   D E P O S I T O R Y   T R U S T   C O M P A N Y   Date: MM/DD/YY
Signon: 00002199-99   TRADE AUTHORIZATION & EXCEPTION SYSTEM   Time: HH:MM:SS
                GLOBAL AUTHORIZATION

DTC Participant Number: 00002199   DTC TEST
Settlement Date: 11 / 15 / 99                Funds Type: SAME DAY

                Global Status: NONE

                Total Number of Trades : 3,192
                Total Number of Shares : 45,200,194
                Total Dollar Amount . . : $331,720,125.96

                AUTHORIZED                *                EXCEPTED
                *
Total Trades: 0                * Total Trades: 0
Total Shares: 0                * Total Shares: 0
Total Dollar: $0.00                * Total Dollar: $0.00

PFKeys: 3/15: Trade for Trade   4/16: Change Funds Type   6/18: Previous Menu
        7/19: Main Menu         8/20: End Function       9/21: Signoff
    
```

Field Descriptions

This field	Displays
DTC Participant Number	Your Participant number and name. <i>Note - For Group Users, this displays the Participant number and name specified on the Main Menu.</i>
Settlement Date	The settlement date specified on the Main Menu.
Funds Type	The funds type. You can toggle between Next Day and Same Day by pressing PF4/16.
Global Status	The current global status for the specified settlement date (None or Reset).

This field	Displays
Total Number of Trades	The total number of trades for the specified settlement date.
Total Number of Shares	The total number of shares traded on the specified settlement date.
Total Dollar Amount	The total dollar amount of the shares.
Authorized	The total number of trades, shares, and the dollar amount that were authorized for the specified settlement date.
Excepted	The total number of trades, shares, and the dollar amount that were excepted for the specified settlement date.

Function Keys

In addition to the standard function keys described in Using the Standard Function Keys, the following are available on the Global Authorization/Exception screen:

This key	Allows you to
PF3/15	Access the Trade for Trade Processing screen to except individual trades that were globally authorized. You can only press this key after processing a global authorization or exception.
PF4/16	Toggle between Next Day and Same Day funds.

Main Menu

The Main Menu allows you to select the desired update or inquiry option.

Sample Screen

```

Termid: EAAG   DEPOSITORY TRUST COMPANY   Date: MM/DD/YY
Signon: 00002199-99  TRADE AUTHORIZATION & EXCEPTION SYSTEM   Time: HH:MM:SS
                          M A I N   M E N U

DTC Participant Number: 00002199  DTC TEST
Settlement Date . . . : 11 / 15 / 99                Funds Type: SAME DAY

      U P D A T E       O P T I O N S
Global Authorization . . . . . : 1
Global Exception . . . . . : 2
TRADE for TRADE PROCESSING . . . . . : 3
SETTLEMENT DATE AUTHORIZE with EXCEPT. : 4

      I N Q U I R Y       O P T I O N S
Authorization/Exception RECAP . . . . . : 5
Browse/Select Settlement Date . . . . . : 6
Browse Trades . . . . . : 7
Audit Trail Inquiry . . . . . : 8

      Enter Option . . . :
For Trades, Sort by Control Number (N) or CUSIP (C) . . . . : N

PFKeys:   4/16: Change Funds Type   8/20: End Function   9/21: Signoff

```

Field Descriptions

This field	Allows you to
DTC Participant Number	<p><i>Group Users only</i>, enter the Participant number for the trades you want to authorize or view.</p> <p><i>Note</i> -For individual Participants, this displays your Participant number and name.</p>
Settlement Date	The next valid settlement date. You can change this typing over the date in mm/dd/yy format.
Enter Option	<p>Select one of the following options:</p> <ul style="list-style-type: none"> • 1: Global Authorization, to either authorize, or authorize with detail exceptions, all deliveries for next-day settlement; on S, this allows you to authorize all deliveries. • 2: Global Exception, to either except, or except with detail authorizations, all deliveries for next-day settlement, on S-1 only. • 3: Trade for Trade Processing, to authorize or except individual deliveries on S-1 through S+21. • 4: Settlement Date Authorize with Except, to either globally authorize, or globally authorize with detail exceptions, all "Not Delivered" trades (trades that were excepted on S-1), on S only. • 5: Authorization/Exception Recap, to view the status of all trades for a particular fund type by settlement day. The system gives a breakdown showing the number, total shares and total dollar value of trades authorized and excepted for that date and funds type. The global status is also shown. • 6: Browse/Select Settlement Date, to view the number of trades authorized and excepted for the different settlement dates. • 7: Browse Trades, to browse trades that were available for processing. The current status of each trade is shown. • 8: Audit Trail Inquiry, to view particular instructions that were executed on a specific input date. Each Audit Trail line shown can either show a status change made to a particular trade, or show a global status change. You can also view the instructions that changed the status of a specific trade by entering the trade's control number.
For Trades, Sort by Control Number (N) or CUSIP (C)	<p>Select the way you want to display individual trades:</p> <ul style="list-style-type: none"> • C: By CUSIP • N: By trade control number. <p><i>Optional. Default: N.</i></p>

Function Keys

In addition to the standard function keys described in Using the Standard Function Keys, you can press PF4/16 on the Main Menu to toggle between Same Day and Next Day funds.

Settlement Date Authorize with Except Screen

The Settlement Date Authorize with Except screen appears when you select option 4 on the Main Menu, and allows you to either globally authorize, or globally authorize with detail exceptions, all "Not Delivered" trades (trades that were excepted prior to the settlement date). You can only access this screen on the settlement date, prior to global cutoff (from 6:00 a.m. to 10:00 a.m. eastern time).

This screen contains the same fields and function keys as the Trade for Trade Processing screen.

Note- To facilitate the process of entering authorizations with detail exceptions, the **Stat** field on this screen already contains the letter a for each item listed.

Trade for Trade Processing Screen

The Trade for Trade Processing screen appears when you select option 3 on the Main Menu, and allows you to authorize or except individual deliveries. This option is available from S-1 to S+21. The screen will have one of the following titles depending on what you entered in the **For Trades, Sort By Control Number (N) or CUSIP (C)** field on the Main Menu:

- Trade for Trade Processing by Control Number if you entered N (default)
- Trade for Trade Processing by CUSIP if you entered C.

Note- You can also access the Trade for Trade Processing screen by pressing PF3/15 on the Global Authorization/Exception screen, or by selecting an item on the Browse/Select Settlement Date screen.

Sample Screen

```

Termid: EAAG   DEPOSITORY TRUST COMPANY   Date: MM/DD/YY
Signon: 00002199-99  TRADE AUTHORIZATION & EXCEPTION SYSTEM   Time: HH:MM:SS
                TRADE FOR TRADE PROCESSING BY CONTROL NUMBER

DTC Participant Number: 00002199  DTC TEST
Settlement Date: 11 / 15 / 99      Funds Type: SAME DAY
Starting Control Number:           Starting CUSIP Number:

Stat  Control Num  CUSIP Number  RCVR  S h a r e s      Settlement Amount
A    9608882490   713448AE8    2190   20,000           $19,707.78
A    9608886919   488878109    2191    200              $2,980.00
A    9608888943   28139B100    2192    800              $11,838.24
A    9608888944   28139B100    2193    400              $5,919.12
A    9608888997   366651107    2194    800              $29,120.40
A    9608888998   366651107    2195    600              $21,840.30
A    9608889089   403777105    2196    600              $16,868.58
A    9608889090   403777105    2197    400              $11,245.72
A    9608889313   882545106    2198    400              $3,959.86
A    9608889314   882545106    2199    300              $2,969.90
A    9608889359   880323100    2100    500              $19,022.90

PFKeys: 4/16: Change Funds  5/17: Audit Trail 6/18: Prev Menu  7/19: Main Menu
        8/20: End Function  9/21: Signoff    10/22: Prev Page 11/23: Next Page
    
```

Field Descriptions

This field	Displays
------------	----------

This field	Displays
DTC Participant Number	Your Participant number and name. <i>Note - For Group Users, this displays the Participant number and name specified on the Main Menu.</i>
Settlement Date	The settlement date specified on the Main Menu. You can overtype this to change the date.
Funds Type	The funds type. You can toggle between Next Day and Same Day by pressing PF4/16.
Starting Control Number	An entry field that allows you to bring a specific trade to the top of the display. Enter a valid control number.
Starting CUSIP Number	An entry field that allows you to bring a specific trade to the top of the display. Enter a full or partial CUSIP number.
Stat	The current status of the trade: <ul style="list-style-type: none"> • A: Trade has been authorized • E: Trade has been excepted. You can overtype this value.
Control Num	The control number assigned to the trade.
CUSIP Number	The CUSIP number of the security being traded.
Rcvr	The receiver's Participant number.
Shares	The number of shares being traded.
Settlement Amount	The dollar value of the trade.

Function Keys

In addition to the standard function keys described in Using the Standard Function Keys, the following are available on the Trade for Trade Processing screen:

This key	Allows you to
PF4/16	Toggle between Next Day and Same Day funds.
PF5/17	Access the Audit Trail Browse screen for a selected item.

Messages

You may encounter the following messages when using the ANE function. Messages are listed in alphabetical order, along with an explanation and suggested resolution for each.

Message Text	Possible Cause	Suggested Resolution
AUDIT TRAIL INFO IS NOT AVAILABLE FOR THE NEXT INPUT DATE	No audit trail information is available for the specified Input Date .	Enter a different date.

Message Text	Possible Cause	Suggested Resolution
AUDIT TRAIL INFO IS NOT AVAILABLE FOR THE PREVIOUS INPUT DATE	No audit trail information is available for the specified Input Date .	Enter a different date.
CALENDAR ERROR. NOTIFY DTC NETWORK OPERATIONS AND PRESS ENTER	A problem has occurred with DTC's internal calendar processing.	Contact DTC's Customer Support Center at 1-(888) 382-2721.
CHANGING FUND TYPE IS NOT AVAILABLE ON THIS PROCESSING MODE. PRESS ENTER.	PF4/16 was pressed to toggle between Same Day and Next Day funds, but this action is only allowed when browsing trades by CUSIP.	Press ENTER to clear the message.
CONTROL NUMBER IS NOT A VALID TRADE DTC ID NUMBER	The specified control number was not found in DTC's database.	Enter a valid DTC trade control number.
CONTROL NUMBER MUST BE NUMERIC IF ENTERED	A non-numeric value was entered in the Control Number field.	Enter a numeric eight-digit trade control number.
CURSOR MUST BE PLACED ON A SPECIFIC TRADE LINE WHEN PRESSING PF5/17 FOR AUDIT	PF5/17 was pressed, but no line item was selected.	Place the cursor to the left of the desired trade line and press PF5/17.
EITHER ENTER'N' TO SORT BY CONTROL NUMBER OR ENTER'C' TO SORT BY CUSIP	An invalid value was specified in the For Trades, Sort by Control Number (N) or CUSIP (C) field.	Enter N or C.
FOR THIS TRADE, EITHER ENTER'A' TO AUTHORIZE OR'E' TO KEEP STATUS EXCEPTED	An invalid value was entered in the Stat field.	Enter A to authorize the trade or E to except from processing.
FOR THIS TRADE, EITHER ENTER'E' TO EXCEPT OR'A' TO KEEP STATUS AUTHORIZED	An invalid value was entered in the Stat field.	Enter E to except from processing or A to authorize the trade.
INPUT DATE AND CONTROL NUMBER MAY NOT BE ENTERED TOGETHER	Values were entered in both the Input Date and Control Number fields. You can only enter one at a time.	Erase the value in one of these fields.
INPUT DATE CANNOT BE GREATER THAN CURRENT DATE	The specified Input Date is greater than today's date.	Enter a date equal or prior to today's date.
INTERNAL SYSTEM ERROR. NOTIFY DTC NETWORK OPERATIONS AND PRESS "ENTER"	A system error has occurred.	Contact DTC's Customer Support Center at (888) 382-2721.
INVALID FUNCTION KEY	An invalid PF key was pressed.	Press one of the valid PF keys listed at the bottom of the screen.
INVALID INPUT DATE	An invalid date was entered in the Input Date field.	Enter a valid input date in mm/dd/yy format.
INVALID OPTION	An invalid option was entered.	Enter one of the valid options listed on the screen.
INVALID PARTICIPANT NUMBER	An incorrect Participant number was entered.	Enter a valid Participant number.

Message Text	Possible Cause	Suggested Resolution
INVALID SEL; EITHER CORRECT SEL OR BLANK OUT SEL FIELD TO GET A LIST OF CODES	An incorrect command was entered in the Sel field.	Enter one of the valid commands listed at the top of the screen, or erase the command.
INVALID SETTLEMENT DATE	An invalid settlement date was entered.	Enter a valid settlement date in <i>mm/dd/yy</i> format.
NEXT DATE KEYS PF3/15 ARE NOT AVAILABLE ON THIS PROCESSING MODE	PF3/15 was pressed to scroll to the next date, but this action is only available when browsing trades by CUSIP.	Press ENTER to clear the message.
ONLY ONE SELECTION IS ALLOWED AT A TIME	An attempt was made to select more than one settlement date.	Enter one selection at a time.
OPTION 1 IS NOT ALLOWED WHEN SETTLEMENT DATE SHOWN IS EARLIER THAN TODAY'S DATE	Option 1 was selected with a Settlement Date that is earlier than today.	Enter today's or the next day's settlement date.
OPTION 1 NOT ALLOWED WHEN SETT DATE IS TODAY'S DATE & IT'S PAST GLOBAL CUTOFF	Option 1 was selected but the Settlement Date is today and it is currently past the global cutoff time.	Select another option or enter a different date.
OPTION 2 IS ONLY ALLOWED WHEN SETTLEMENT DATE SHOWN IS LATER THAN TODAY'S DATE	Option 2 was selected but the Settlement Date is later than today's date.	Select another option or enter a date later than today.
OPTION 4 ONLY ALLOWED WHEN SET DATE IS TODAY'S DATE & IT'S BEFORE GLOBAL CUTOFF	Option 4 was selected with a Settlement Date other than today, or today's date was entered but the global cutoff has past.	Enter today's settlement date, if it is before global cutoff. See <i>When to Use</i> for information about cutoff times.
OPTION NOT CURRENTLY AVAILABLE	The selected option is currently unavailable.	Try this option later.
PARTICIPANT NUMBER MUST BE ENTERED	The DTC Participant Number field is blank.	Enter a valid Participant number.
PAST CUTOFF TIME. . . PRESS ENTER	The cutoff time for this function has been reached.	Press ENTER to return to the Enter Function screen. See <i>When to Use</i> for information about the availability of this function.
PF3/15 IS NOT ALLOWED UNTIL GLOBAL AUTHORIZATION IS DONE	PF3/15 was pressed, but global authorization has not yet been performed.	Press ENTER then PF1/13 for global authorization, then press PF3/15.
PF3/15 IS NOT ALLOWED UNTIL GLOBAL EXCEPTION IS DONE	PF3/15 was pressed, but global exception has not yet been performed.	Press ENTER then PF1/13 for global exception, then press PF3/15.
PLEASE ENTER INPUT DATE OR CONTROL NUMBER	Both the Input Date and Control Number fields are blank.	You must enter a value in one of these fields.
PRESS PF11 TO SCROLL FORWARD& KEEP THE STATUS OF TRADES ON THIS PAGE EXCEPTED	All trades on the current page have either been selected or bypassed.	Press PF11/23 to scroll to the next page and continue selecting trades.

Message Text	Possible Cause	Suggested Resolution
PREVIOUS DATE KEYS PF2/14 ARE NOT AVAILABLE ON THIS PROCESSING MODE	PF2/14 was pressed to scroll to the previous date, but this action is only available when browsing trades by CUSIP.	Press ENTER to clear the message.
SETTLEMENT DATE MUST BE ENTERED	The Settlement Date field is blank. Entry is required.	Enter a valid settlement date.
STARTING CONTROL NUMBER AND STARTING CUSIP CANNOT BOTH BE ENTERED	Values were entered in both the Starting Control Number and Starting CUSIP Number fields. You can only enter one at a time.	Erase the value in one of these fields.
STARTING CONTROL NUMBER MUST BE NUMERIC IF ENTERED	A non-numeric value was entered in the Starting Control Number field.	Enter a numeric eight-digit trade control number.
THERE IS NO AUDIT TRAIL ACTIVITY FOR SELECTED CONTROL NUMBER	No audit trail information is available for the specified Control Number .	Try a different control number.
THERE IS NO AUDIT TRAIL ACTIVITY ON THE SPECIFIED INPUT DATE	No audit trail information is available for the specified Input Date .	Try a different date.
THIS IS THE FIRST PAGE-- YOU CANNOT SCROLL BACKWARD	PF10/22 was pressed to scroll backward, but the first page of data has been reached.	Press PF11/23 to scroll forward.
THIS IS THE LAST PAGE-- YOU CANNOT SCROLL FORWARD	PF11/23 was pressed to scroll forward, but the last page of data has been reached.	Press PF10/22 to scroll backward.
TO CHANGE STATUS OF THIS TRADE, EITHER ENTER 'A' TO AUTHORIZE OR 'E' TO EXCEPT	An invalid value was entered in the Stat field.	Enter A to authorize the trade or E to except from processing.
TRANSMISSION ERROR, PLEASE REKEY DATA	An error occurred during transmission.	Reenter the last request.
UPDATE HAS BEEN DONE ALREADY (WILL ONLY APPEAR ON GLOBAL SCREENS)	PF1/13 was pressed to process a global update, but the update has already been done. This message appears on global update screens only.	Press one of the valid PF keys listed at the bottom of the screen.
THE VALUE OF THE INDICATOR MUST BE 'P' OR 'T' ONLY	An invalid value was entered in the Prod/Test Ind (P/T) field.	Enter P or T.

AWTI

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Introduction

Overview

The Automated Withdrawal-by-Transfer Inquiry (AWTI) function allows participants to inquire about dropped, pending, or updated withdrawal-by-transfer (WT) transactions for a specific date or for a specific date and CUSIP number. Transfer Agents (TA) can use AWTI to view updated WT transactions and a Transfer Assignment Control Form (TACF) Summary List.

Warning! Participants can no longer cancel or pend specific WT transactions via AWTI. If you wish to cancel or pend a WT transaction, contact your Relationship Manager. The cutoff for deleting current-day made or pending transactions is 4:00 p.m. eastern time. TAs cannot cancel or pend transactions.

When to Use

Participants: Use AWTI to view previously entered WT transactions.

Transfer Agents: Use AWTI to view WT transactions updated by the DTC system to reflect that a request for a WT was successful. As a TA, you will only see those successful WT requests that will be transferred to you. Also use AWTI to view TACF information.

AWTI is available 24 hours a day.

List of Screens

AWTI consists of the following screens:

This screen	Allows you to
Primary Options Menu (Participant Version)	Select the desired inquiry option and specify search criteria.
Primary Options Menu (TA Version)	Select the desired inquiry option and specify search criteria.
Edit / Drop	View a list of dropped WT transactions.
Pending	View a list of pending WT transactions.
Updated	View a list of updated WT transactions.
Registration Detail	View the name and address of the certificate's owner.
TACF Summary List	View a summary of TACFs from previously entered WT transactions.
TRF Assignment Cntl Form	View the details of a selected TACF.

Procedures

Viewing WT Transactions (Participants)

Participants: Use the following procedure to view WT transactions. You can elect to view dropped, pending, or updated transactions or all transactions, and you can limit the display to a specific transaction date and/or CUSIP number. *Transfer Agents:* Use the next procedure, Viewing WT Transactions (Transfer Agents).

Step	Action
1	Type AWTI on the Enter Function screen and press ENTER. <i>Result</i> —The Primary Options Menu (Participant Version) appears.
2	Type one of the following in the Option field: <ul style="list-style-type: none"> • 1: To view dropped transactions • 2: To view pending transactions • 3: To view updated transactions • 4: To view all transactions.
3	<i>Optional.</i> To limit the display to a specific transaction date, type a date in the Process Date field in <i>mmddy</i> format.
4	<i>Optional.</i> To limit the display to a specific security, type a valid nine-digit CUSIP number in the CUSIP Number field.
5	Press ENTER. <i>Result</i> —One of the following screens appears, depending on the value entered in the Option field: <ul style="list-style-type: none"> • Edit / Drop if you entered 1 • Pending if you entered 2 • Updated if you entered 3. <i>Note</i> —If you entered 4 in the Option field, the Edit / Drop screen appears. You can press PF11/23 to scroll forward to the Pending and Updated screens.
6	<i>Optional.</i> To view additional display fields on the Edit / Drop or Pending screens, press PF5/17 to scroll to the right. To scroll back to the left, press PF4/16.
7	<i>Optional.</i> To view registration information for a listed item, place your cursor to the left of the item and press PF12/24. <i>Result</i> —The Registration Detail screen appears.

Viewing WT Transactions (Transfer Agents)

Transfer Agents: Use the following procedure to view updated WT transactions. You can also limit the types of transactions you want to view by specifying the process date, CUSIP number, registered owner, or Shipment Control List (SCL) number. *Participants:* Use the previous procedure, Viewing WT Transactions (Participants).

Step	Action
1	Type AWTI on the Enter Function screen and press ENTER. <i>Result</i> –The Primary Options Menu (TA Version) appears.
2	Type information in the following fields: <ul style="list-style-type: none"> • TA Num: Type your TA number • Part Num: Type the participant number for the transactions you want to view.
3	Type 3 in the Option field.
4	<i>Optional.</i> To limit the resulting display, type information in the following fields: <ul style="list-style-type: none"> • Process Date: Either type a single date in <i>mmddy</i> format to view transactions for a specific date or type a date range in both portions of the field • CUSIP Number: Type a valid nine-digit CUSIP number to view transactions for a specific security • Registration: Type a name to view transactions for a specific registered owner • SCL ID: Type an SCL number.
5	Press ENTER. <i>Result</i> –The Edit / Drop screen appears. Press PF11/23 to scroll forward to the Pending and Updated screens.
6	<i>Optional.</i> To view additional display fields on the Edit / Drop or Pending screens, press PF5/17 to scroll to the right. To scroll back to the left, press PF4/16.
7	<i>Optional.</i> To view registration information for a listed item, place your cursor to the left of the item and press PF12/24. <i>Result</i> –The Registration Detail screen appears.

Viewing Transfer Assignment Control Forms (Transfer Agents)

Transfer Agents: Use the following procedure to view previously entered TACFs.

Step	Action
1	Type AWTI on the Enter Function screen and press ENTER. <i>Result</i> –The Primary Options Menu (TA Version) appears.
2	Type information in the following fields: <ul style="list-style-type: none">• TA Num: Type your TA number• Part Num: Type the participant number for the transactions you want to view.
3	Type 6 in the Option field.
4	<i>Optional.</i> To limit the resulting display, type information in the following fields: <ul style="list-style-type: none">• Process Date: Either type a single date in <i>mmddyy</i> ormat to view transactions for a specific date or type a date range in both portions of the field• CUSIP Number: Type a valid nine-digit CUSIP number to view transactions for a specific security• Registration: Type a name to view transactions for a specific registered owner• SCL ID: Type an SCL number.
5	Press ENTER. <i>Result</i> –The TACF Summary List screen appears.
6	Press PF5/17. <i>Result</i> –The TRF Assignment Cntl Form screen displays the TACF for the first listed transaction.

Reference

Primary Options Menu (Participant Version)

The Primary Options Menu (Participant Version) allows participants to select the type of WT transactions they want to view and to enter optional search criteria to view WTs for a specific date and/or CUSIP number.

Note—There is also a menu for TAs, with additional options and entry fields. See [Primary Options Menu \(TA Version\)](#).

Sample Screen

```

00002199-01          AUTOMATED WITHDRAWAL BY TRANSFER          DATE: MM/DD/YY
Q$9#                 *** PRIMARY OPTIONS MENU ***             TIME: HH:MM:SS
                      PURGE DATE: MM/DD/YY

                      PLEASE SELECT ONE OF THE FOLLOWING OPTIONS:
                        1 - DROPPED W/T ITEMS
                        2 - PENDED W/T ITEMS
                        3 - UPDATED W/T ITEMS
                        4 - ALL W/T ITEMS

                      OPTION:
                      PROCESS DATE:  MM / DD / YY
                      CUSIP NUMBER:  123456789

ENTER PROCESS OPTION          PF8/20 END
CLEAR REFRESH SCREEN         PF9/21 SIGNOFF
  
```

Field Descriptions

This field	Allows you to
Purge Date	View the last date on which inquiries can be made.
Option	Select one of the following options: <ul style="list-style-type: none"> • 1: To view dropped WTs • 2: To view pending WTs • 3: To view updated WTs • 4: To view all WTs.
Process Date	View WTs for a specific date. Enter a date in <i>mmddy</i> format. <i>Optional. Default:</i> The current date.
CUSIP Number	View WTs for a specific security. Enter a valid nine-digit CUSIP number. <i>Optional.</i>

Primary Options Menu (TA Version)

The Primary Options Menu (TA Version) allows transfer agents to access a listing of updated WT items and to also enter optional search criteria. TAs also use this screen to view a TACF summary. Although options 1, 2, and 4 appear on this screen, TAs are only eligible to use options 3 and 6.

Note—There is also a menu for participants with different options and entry fields. See [Primary Options Menu \(Participant Version\)](#).

Sample Screen

```

00002199-99          AUTOMATED WITHDRAWAL BY TRANSFER          DATE: MM/DD/YY
EAAB                *** PRIMARY OPTIONS MENU ***              TIME: HH:MM:SS
                    PURGE DATE: MM/DD/YY

                    PLEASE SELECT ONE OF THE FOLLOWING OPTIONS:
                    1 - DROPPED W/T ITEMS
                    2 - PENDED W/T ITEMS
                    3 - UPDATED W/T ITEMS
                    4 - ALL W/T ITEMS

                    6 - TACF SUMMARY

                    PART NUM: 2199
                    OPTION:
                    PROCESS DATE:  MM / DD / YY   TO   MM / DD / YY

                    CUSIP NUMBER:  123456789
                    SHARE QTY:      1
                    REGISTRATION:
                    SCL ID:          -           TO

ENTER PROCESS OPTION          PF8/20 END
CLEAR REFRESH SCREEN         PF9/21 SIGNOFF
    
```

Field Descriptions

This field	Allows you to
Purge Date	View the last date on which inquiries can be made.
Part Num	Enter the participant number for the transactions you want to view.
Option	Select one of the following options: <ul style="list-style-type: none"> • 3: To view updated WTs • 6: To view TACFs.
Process Date	View WTs for a specific date or range of dates. Enter the dates in <i>mmddy</i> format, or enter a single date in the first portion of the field. <i>Optional. Default:</i> The current date.

CUSIP Number	View WTs for a specific security. Enter a valid nine-digit CUSIP number. <i>Optional.</i>
Share Qty	Enter the share quantity, up to 11 whole numbers and 5 decimal places. <i>Optional.</i>
Registration	View the name of the registered owner of the certificates.
SCL ID	Enter the SCL number. The SCL is printed and sent to TAs daily. The first four characters represent the Julian date and are followed by a system-assigned value.

Edit / Drop Screen

The Edit / Drop screen appears when you select options 1 on the participant version of the Primary Options Menu, and displays a list of dropped WT transactions that match your search criteria.

The sample below shows the Edit / Drop screen as it first appears. There are additional fields, noted in the Field Descriptions, that appear only after you press PF5/17 to scroll to the right.

Sample Screen

00002199-01	AUTOMATED WITHDRAWAL BY TRANSFER		DATE: MM/DD/YY
Q\$9#	*** EDIT / DROP ***		TIME: HH:MM:SS
			PAGE: 001
PART NUM:	2199	TEST PART	
ORIG DATE	CUSIP NUMBER	SHARE QUANTITY	UNIQUE IDENTIFICATION
-----	-----	-----	-----
MM/DD/YY	123456789	5.00000	030T0082000000 401
MM/DD/YY	234567890	5.00000	030T1082000001 359
MM/DD/YY	345678901	600.00000	030T1082000003 357
PF2/14	TRANS/ERROR CODES	PF4/16	LEFT
PF7/19	MENU	PF8/20	END
PF10/22	BWD	PF11/23	FWD
		PF5/17	RIGHT
		PF9/21	SIGNOFF
		PF12/24	REG

Field Descriptions

This field	Displays
Part Num	Your participant number and name, or, for TAs, the participant number and name specified on the Primary Options Menu.
Orig Date	The date the original transaction was entered.
CUSIP Number	The security's CUSIP number.
Share Quantity	The number of shares.
Unique Identification	The identifying number specified when the transaction was entered via NWT1. See Field Descriptions for the NWT1 Night W/T Data Collection screen for more information.
Trans Code	The transaction code. <i>Note</i> – To view a list of transaction codes and their meanings, press PF2/14.
Input Mode	The method by which the transaction was entered: <ul style="list-style-type: none"> • PTS : Participant Terminal System

	<ul style="list-style-type: none"> • REG: Computer-to-Computer Facility (CCF) • 4PH: Four-Phase system. <p><i>Note</i> – This and the following three fields appear when you press PF5/17 to scroll to the right.</p>
SDFS	<p>An indicator that the security is eligible for Same-Day-Funds Settlement (SDFS).</p> <p><i>Note</i> – Since all transactions are SDFS, this will always show an S.</p>
Delete-Pend Date / Num	<p>The original transaction date followed by the system-assigned sequence number.</p>
Error Code	<p>The applicable error code.</p> <p><i>Note</i> – To view a list of error codes and their meanings, press PF2/14 and then press PF11/23.</p>

Function Keys

In addition to the standard function keys described in Using the Standard Function Keys, the following are available on the Edit / Drop screen:

This key	Allows you to
PF2/14	Access the Transaction Codes and Error Codes help screens.
PF4/16	Scroll the display to the left to view the original fields.
PF5/17	Scroll the display to the right to view additional fields.
PF12/24	<p>Access the Registration Detail screen.</p> <p><i>Note</i> – This key will not function when the right portion of the screen is displayed (after pressing PF5/17).</p>

Pending Screen

The Pending screen appears when you select option 2 on the participant version of the Primary Options Menu, or when you select option 4 and then press PF11/23 to scroll forward. This screen displays a list of pending WT transactions that match your search criteria.

The left side of the Pending screen displays the same fields as the [Edit / Drop](#) screen. The sample below shows the Pending screen after you press PF5/17 to scroll to the right.

Sample Screen

00002199-99	AUTOMATED WITHDRAWAL BY TRANSFER		DATE: MM/DD/YY
EAAC	*** PENDING ***		TIME: HH:MM:SS
			PAGE: 0001
PART NUM: 2199	DTC TEST ACCOUNT		
CUSIP NUMBER	INPUT MODE	SDFS	SEQUENCE NUMBER
-----	----	-	-----
123456789	REG		01323
234567890	REG		01867
345678901	REG		01855
PF2/14 TRANS/ERROR CODES	PF4/16 LEFT	PF5/17 RIGHT	
PF7/19 MENU	PF8/20 END	PF9/21 SIGNOFF	
PF10/22 BWD	PF11/23 FWD	PF12/24 REG	

Field Descriptions

This field	Displays
Part Num	Your participant number and name, or, for TAs, the participant number and name specified on the Primary Options Menu.
Orig Date	The date the original transaction was entered.
CUSIP Number	The security's CUSIP number.
Share Quantity	The number of shares.
Unique Identification	The identifying number specified when the transaction was entered via NWT1. See Field Descriptions for the NWT1 Night W/T Data Collection screen for more information.

Trans Code	The transaction code. <i>Note</i> – To view a list of transaction codes and their meanings, press PF2/14.
Input Mode	The method by which the transaction was entered: <ul style="list-style-type: none"> • PTS : Participant Terminal System • REG: Computer-to-Computer Facility (CCF) • 4PH: Four-Phase system. <i>Note</i> –This and the following three fields appear when you press PF5/17 to scroll to the right.
SDFS	An indicator that the security is eligible for Same-Day-Funds Settlement. <i>Note</i> –Since all transactions are SDFS, this will always show an S.
Sequence Number	The sequence number assigned to the original transaction.

Function Keys

In addition to the standard function keys described in Using the Standard Function Keys, the following are available on the Pending screen:

This key	Allows you to
PF2/14	Access the Transaction Codes and Error Codes help screens.
PF4/16	Scroll the display to the left to view the original fields.
PF5/17	Scroll the display to the right to view additional fields.
PF12/24	Access the Registration Detail screen. <i>Note</i> – This key will not function when the right portion of the screen is displayed (after pressing PF5/17).

Updated Screen

The Updated screen appears when you select option 3 on either version of the Primary Options Menu, or when participants select option 4 and press PF11/23 to scroll forward. This screen displays a list of updated WT transactions that match your search criteria.

Sample Screen

M0002199-13	AUTOMATED WITHDRAWAL BY TRANSFER		DATE: MM/DD/YY
Q\$9#	*** UPDATED ***		TIME: HH:MM:SS
PART NUM: 2199 TEST PART			PROCESS DATE: MM/DD/YY
			PAGE: 001
CUSIP NUMBER	SHARE QUANTITY	UNIQUE IDENTIFICATION	TRN ML TEF CD MD CD
123456789	200.00000	00000000001	401-825
234567890	17,000.00000	00000000002	21 RSA
345678901	100.00000	00000000003	21 RSA
PF2/14 TRANS/TEFRA CODES	PF3/15 STSE INQUIRY	PF5/17 TACF	
PF7/19 MENU	PF8/20 END	PF9/21 SIGNOFF	
PF10/22 BWD	PF11/23 FWD	PF12/22 REG	

Field Descriptions

This field	Displays
Part Num	Your participant number and name, or, for TAs, the participant number and name specified on the Primary Options Menu.
CUSIP Number	The security's CUSIP number.
Share Quantity	The number of shares.
Unique Identification	The identifying number specified when the transaction was entered via NWT1. See Field Descriptions for the Night W/T Data Collection screen for more information.
Trn Cd	The transaction code. <i>Note</i> – To view a list of transaction codes and their meanings, press PF2/14.
ML MD	An indicator of how the certificates are to be mailed: <ul style="list-style-type: none"> • DMA: Direct Mail by Agent • DMD: Direct Mail by Depository • RSA: Mailed by the participant.
Tef Cd	The Tefra (tax waiver) code. <i>Note</i> – To view a list of Tefra codes and their meanings,

	press PF2/14.
--	---------------

Function Keys

In addition to the standard function keys described in Using the Standard Function Keys, the following are available on the Updated screen:

This key	Allows you to
PF2/14	View the Trans/Tefra Codes help screen.
PF3/15	Access the Aging Message Detail screen of the PTS function STSE. <i>Note</i> – You can only access this for prior-day items, not current day.
PF5/17	View the TRF Assignment Cntl Form screen.
PF12/24	Access the Registration Detail screen.

Registration Detail Screen

The Registration Detail screen appears within the following screens when you place your cursor to the left of a transaction and press PF12/24:

- [Edit / Drop](#)
- [Pending](#)
- [Updated.](#)

This screen displays the name and address of the certificate's registered owner. Press PF6/18 to return to the previous screen.

TACF Summary List Screen

The TACF Summary List appears when you select option 6 on the [Primary Options Menu \(TA Version\)](#), and displays a summary of Transfer Assignment Control Forms (TACF) that match your search criteria. This option is available to TAs only.

Sample Screen

0002199-99 EAAG	AUTOMATED WITHDRAWAL BY TRANSFER *** TACF SUMMARY LIST ***		DATE: MM/DD/YY TIME: HH:MM:SS PAGE: 001
CUSIP: 123456789 TEST CUSIP<			
PROCESS DATE	PART NO.	SHARE QUANTITY	REGISTRATION
-----	-----	-----	-----
MM/DD/YY	2199	104.00000	LEO AND MOLLY BLOOM JT
MM/DD/YY	2199	1.00000	LILY PONS
MM/DD/YY	2199	2.00000	MIKE BUONAROTTI
			70000000000005-01
			70000000000006-01
			70000000000007-01
PF5/17 TACF PF9/21 SIGNOFF		PF7/19 MENU PF10/22 BWD	PF8/20 END PF11/23 FWD

Field Descriptions

This field	Displays
CUSIP	The CUSIP number and brief description of the security.
Process Date	The date the transaction was entered.
Part No.	The number of the participant who entered the transaction.
Share Quantity	The number of shares.
Registration	The name of the certificate's owner.
SCL ID	The SCL number.

Function Keys

In addition to the standard function keys described in [Using the Standard Function Keys](#), you can press PF5/17 on the TACF Summary List to display the [TRF Assignment Cntl Form](#) screen.

TRF Assignment Cntl Form Screen

The TRF Assignment Cntl Form screen appears when you press PF5/17 on the [TACF Summary List](#) screen, and displays the details of the first listed Transfer Assignment Control Form (TACF). You can scroll through the details screens of all items listed.

Sample Screen

```

M0002199-13          AUTOMATED WITHDRAWAL BY TRANSFER          DATE: MM/DD/YY
Q$9#                *** TRF ASSIGNMENT CNTL FORM ***          TIME: HH:MM:SS
PART NO.  REQ FOR TRF SUBMITTED BY          UNIQUE IDENTIFICATION
 2199    TESTPART          TA: 00002199    0000000001    001-001
SECURITY DESCRIPTION          SCL ID:
SCRIMSHAW<          SDFS          * 4PH *
  QUANTITY          DENOMINATIONS          TAXPAYER ID          CUSIP NO.
 200.00000          1 X          200.00000          999-99-9999          123456789
  DRS INDICATOR

TRANSACTION ID          PRESENTER          DATE
          002199          MM/DD/YY

PARTICIPANT OR CORRESPONDENT NAME
          MMDDYY - 20001          REFORMATTED
TO BE REGISTERED IN THE NAME OF          MAIL TO:
BERT CONVY
4444 CENTRAL AVE
TOWNVILLE, NY 12345-6789

PF6/18 PREVIOUS          PF7/19 MENU          PF8/20 END          PF9/21 SIGNOFF
  
```

Field Descriptions

This field	Displays
Part No. Req for TRF Submitted By	The submitting participant's number and name.
TA	The TS number.
Unique Identification	The identifying number specified when the transaction was entered via NWT1. See Field Descriptions for the NWT1 Night W/T Data Collection screen for more information.
Security Description	A brief description of the security.
SCL ID	The SCL number.
Quantity	The number of shares.
Denominations	The certificate breakdown for shares listed in the Quantity field.
Taxpayer ID	The taxpayer identification number.

CUSIP No.	The security's CUSIP number.
DRS Indicator	<p>The Direct Registration System (DRS) indicator:</p> <ul style="list-style-type: none"> • S: Indicates that the shareholder requests to be registered on the books of the issuer and that the agent will mail the DRS transaction advice directly to the shareholder • C: Indicates that the shareholder requests a physical certificate to be issued • Y: Indicates a third party transfer for DRS transactions only • X: Indicates that the previously submitted or processed WT instructions should be canceled.
Transaction ID	The transaction ID number for DRS transactions, entered via NWT1. See Field Descriptions for the NWT1 Night W/T Data Collection screen for more information.
Presenter	The presenter's participant number.
Date	The original transaction date.
Participant or Correspondent Name	The participant or correspondent name for DRS transactions as entered via NWT1. See Field Descriptions for the NWT1 Night W/T Data Collection screen for more information.
Date / Seq Num	<p>The date submitted followed by the system-assigned sequence number.</p> <p><i>Note</i> – This field is not labeled. Also, this may be followed by the word 'Reformatted' if DTC reformatted the mailing name and address entered via NWT1.</p>
To Be Registered In The Name Of	The registered owner's name and address.
Mail To	The name and address of a third party to whom the certificate is to be mailed, if applicable.

Messages

You may encounter the following messages when using the AWTI function. Messages are listed in alphabetical order along with an explanation and suggested resolution for each.

ALREADY ON FIRST PAGE

Probable Cause: PF10/22 was pressed to scroll backward, but the first page of data is already displayed.

Suggested Resolution: Information only; no action required.

ALREADY ON LAST PAGE

Probable Cause: PF11/23 was pressed to scroll forward, but the last page of data is already displayed.

Suggested Resolution: Information only; no action required.

DATABASE IS IN USE AT THIS TIME. PLEASE TRY AGAIN LATER

Probable Cause: The database is currently occupied with other requests.

Suggested Resolution: Try again later.

DATABASE IS UNAVAILABLE AT THIS TIME. PLEASE TRY AGAIN LATER

Probable Cause: The database is currently unavailable.

Suggested Resolution: Try again later.

DATE MAY NOT BE IN THE FUTURE

Probable Cause: A future date was entered in the **Process Date** field.

Suggested Resolution: Enter a prior date or leave blank for the current date.

ENTER OPTION

Probable Cause: The **Option** field was left blank; entry is *required*.

Suggested Resolution: Enter one of the option numbers listed on the menu.

INVALID DAY IN DATE

Probable Cause: An invalid day was entered in the day portion of the **Process Date** field.

Suggested Resolution: Enter a valid day for the specified month.

INVALID KEY PRESSED

Probable Cause: An invalid function key was pressed.

Suggested Resolution: Press one of the valid function keys listed at the bottom of the screen.

INVALID LINE FOR SELECTION

Probable Cause: The cursor is positioned on an invalid line.

Suggested Resolution: Select a line that lists a transaction.

INVALID MONTH IN DATE

Probable Cause: An invalid month was entered in the month portion of the **Process Date** field.

Suggested Resolution: Enter **01** through **12**.

INVALID OPTION

Probable Cause: An invalid value was entered in the **Option** field.

Suggested Resolution: Enter one of the option numbers listed on the menu.

INVALID YEAR IN DATE

Probable Cause: An invalid value was entered in the year portion of the **Process Date** field.

Suggested Resolution: Enter the last two digits of the year for the transactions you want to view.

NO FURTHER LEFT SCROLLING AVAILABLE

Probable Cause: PF4/16 was pressed to scroll to the left side of the screen, but the left side is already displayed.

Suggested Resolution: Information only; no action required.

NO FURTHER RIGHT SCROLLING AVAILABLE

Probable Cause: PF5/17 was pressed to scroll to the right side of the screen, but the right side is already displayed.

Suggested Resolution: Information only; no action required.

PAST CUTOFF TIME PRESS "ENTER" KEY TO EXIT

Probable Cause: The cutoff time for this function has been reached.

Suggested Resolution: Press ENTER to return to the Enter Function screen, and see [When to Use](#) for information about the availability of this function.

PAST UPDATE CUTOFF TIME

Probable Cause: The cutoff time for processing updates to WT transactions has been reached.

Suggested Resolution: See [When to Use](#) for information about cutoff times.

THERE ARE NO WT ITEMS THAT MEET THE CURRENT SELECTION CRITERIA

Probable Cause: The database contains no WT transactions that match the specified criteria.

Suggested Resolution: Information only; no action required.

AWTN

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Introduction

Overview

The Night Auto Withdrawal-by-Transfer (AWTN) function allows you to enter withdrawals-by-transfer (WT) during the day to be processed by the Auto WT System during the evening. Successful transactions update your position on the next business day and Transfer Assignment Control Forms (TACF) are generated for delivery to the transfer agent (TA).

AWTN also provides entry fields for IPO tracking and fractional share processing information, as well as for Direct Registration System (DRS) processing. You can also delete WT transactions that have been pending for more than one day.

About the Registration Syntactical Analysis (RSA) System

All WT instructions submitted to DTC are processed through the Registration Syntactical Analysis (RSA) system unless you enter instructions to bypass the system when you enter the transaction. The RSA system is a network of programs that analyzes each submitted registration instruction, its primary purpose being to minimize TA rejects or reformatting changes due to errors in the registration instructions submitted by participants. The programs use a set of guidelines based on the rules of the Securities Transfer Association (STA) to determine whether the input registration meets basic requirements and, if necessary (and where possible), to reformat the instruction in line with those requirements. The system references a series of files and tables that contain a vast vocabulary of first and last names, legal registration phrases, and abbreviations. For Direct Mail advices, the system also performs address standardization and Zip+4 code addition by referencing a U.S. Postal Service-supplied street/city/state listing.

A basic rule of RSA is that no registration is rejected by the system itself. If the incoming registration on your WT request has serious errors, the system may not be able to identify a logical structure and therefore cannot reformat the instruction to meet STA rules. In these cases, the data is passed along to the TA with only basic editing. RSA will not attempt to withhold the record, but will indicate on the TACF that no reformatting was performed.

You can elect to bypass RSA processing for certain WTs. This will allow you to deliberately ensure that these registrations go unaltered.

When to Use

Use AWTN during the day to enter WTs for processing after close of business, or to change or delete previously entered transactions.

AWTN is available on business days from 6:00 a.m. to 8:00 p.m. eastern time.

List of Screens

AWTN comprises the following screens:

This screen

[AWT Main Menu](#)

[Add WT Transaction \(Screen 1\)](#)

[Add WT Transaction \(Screen 2\)](#)

[Limited Partnership Certification Language](#)

[Update/Inquiry/Delete Listing](#)

[Pending WT Transaction Listing](#)

Allows you to

Select whether to add, update, delete, or inquire about a current day WT transaction or to delete a WT transaction that has been pending (recycling) for more than one day.

Begin to enter a WT transaction.

Note—When you update or inquire about a WT transaction via the Update/Inquiry/Delete Listing screen, this screen will appear with a title corresponding to the option you selected.

Finish adding a new WT transaction.

Note—When you update or inquire about a WT transaction via the Update/Inquiry/Delete Listing screen, this screen will appear with a title corresponding to the option you selected.

View important information regarding Limited Partnership transactions.

Update, delete, or inquire about a WT transaction.

Delete a WT transaction that has been pending for more than one day.

Procedures

Adding a WT Transaction

Use the following procedure to add a new WT transaction.

Note—Before using this procedure, see the [Reference](#) section to familiarize yourself with the screens that will appear when using this function and to prepare any information you may need to provide for entry fields and option selections.

Step	Action
1	Type AWTN on the Enter Function screen and press ENTER. <i>Result</i> —The AWT Main Menu appears.
2	Type 1 in the Option field and press ENTER. <i>Result</i> — Add WT Transaction (Screen 1) appears.
3	Refer to the Field Descriptions and type all the applicable values in the entry fields provided, and then press ENTER to validate. <i>Result</i> —If any fields contain errors, the screen will display an explanatory message. Correct the errors and press ENTER again. If no errors exist, the message 'Press PF11/23 to continue' appears. <i>Note</i> —If you specified a Limited Partnership by entering 2 in the Citizen/LP field, the Limited Partnership Certification Language screen appears. Press ENTER to continue.
4	Press PF11/23 . <i>Result</i> — Add WT Transaction (Screen 2) appears.
5	Refer to the Field Descriptions and type all the applicable values in the entry fields provided, and then press ENTER to validate. <i>Result</i> —If any fields contain errors, the screen will display an explanatory message. Correct the errors and press ENTER again. If no errors exist, the message 'Use PF1 to perform add' appears.
6	Press PF1/13 . <i>Result</i> —The message 'Record added' appears and a confirmation ticket labeled 'Original Record' prints on your designated PTS printer.

Updating a WT Transaction

Use the following procedure to make changes to an existing current day WT transaction.

Note—Before using this procedure, see the [Reference](#) section to familiarize yourself with the screens that will appear when using this function and to prepare any information you may need to provide for entry fields and option selections.

Step	Action
1	Type AWTN on the Enter Function screen and press ENTER. <i>Result</i> —The AWT Main Menu appears.
2	Type 2 in the Option field and press ENTER. <i>Result</i> —The Update/Inquiry/Delete Listing screen displays a list of WT transactions you entered in the system today.
3	Type U in the U/I/D field next to a WT transaction you want to update and press ENTER. <i>Result</i> —Update WT Transaction (Screen 1) appears.
4	Make the desired changes, then press ENTER to validate. <i>Result</i> —If any fields contain errors, the screen will display an explanatory message. Correct the errors and press ENTER again. If no errors exist, the message 'Press PF11/23 to continue' appears.
5	Press PF11/23. <i>Result</i> —Update WT Transaction (Screen 2) appears.
6	Refer to the Field Descriptions and type all the applicable values in the entry fields provided, and then press ENTER to validate. <i>Result</i> —If any fields contain errors, the screen will display an explanatory message. Correct the errors and press ENTER again. If no errors exist, the message 'Use PF1 to perform update' appears.
7	Press PF1/13 . <i>Result</i> —The message 'Record changed' appears and a confirmation ticket labeled 'Changed Record' prints on your designated PTS printer.

Deleting a Current Day WT Transaction

Use the following procedure to delete a current day WT transaction.

Note—Before using this procedure, see the [Reference](#) section to familiarize yourself with the screens that will appear when using this function and to prepare any information you may need to provide for entry fields and option selections.

Step	Action
1	Type AWTN on the Enter Function screen and press ENTER. <i>Result</i> —The AWT Main Menu appears.
2	Type 2 in the Option field and press ENTER. <i>Result</i> —The Update/Inquiry/Delete Listing screen appears, displaying a list of WT transactions you entered in the system today.
3	Type D in the U/I/D field next to any transactions you want to delete that are marked 'A' (for 'Added today') or 'U' (for 'Updated today') in the Status field and press ENTER. <i>Result</i> —The screen displays the message 'Press PF1/13 to delete.'
4	Press PF1/13. <i>Result</i> —The transaction status changes to 'D' (for 'Deleted') in the Status field.

Deleting a Pending WT Transaction

Use the following procedure to delete a WT transaction that has been pending (recycling) for more than one day.

Note—Before using this procedure, see the [Reference](#) section to familiarize yourself with the screens that will appear when using this function and to prepare any information you may need to provide for entry fields and option selections.

Step	Action
1	Type AWTN on the Enter Function screen and press ENTER. <i>Result</i> —The AWT Main Menu appears.
2	Type 3 in the Option field and press ENTER. <i>Result</i> —The Pending WT Transaction Listing screen appears, displaying a list of pending WT transactions.
3	Type D in the D/S field next to each transaction you want to delete and then press ENTER. <i>Result</i> —The screen displays the message 'Press PF1/13 to delete.'
4	Press PF1/13. <i>Result</i> —The transaction disappears from the list.

Reference

AWT Main Menu

The AWT Main Menu allows you to select whether you want to add a new WT transaction or update, delete, or view details about an existing transaction.

```
MENUHELP
QAA7THE DEPOSITORY TRUST COMPANYDATE: MM/DD/YYYY
000002199NIGHT WITHDRAWAL BY TRANSFERTIME: HH:MM:SS
=====
1) ADD WT TRANSACTION
2) UPDATE/INQUIRY/DELETE CURRENT DAY WT TRANSACTIONS
3) DELETE PENDING WT TRANSACTION
OPTION: __
=====
=====
====
ENTER:PROCESSPF8/20:ENDPF9/21:SIGNOFF
```

Field Descriptions

This field

Allows you to

Menu Bar

Return to the selection menu, access Help for this screen, or access other related functions, if listed. Click below the desired option and press ENTER.
Note—If you do not use a mouse, press HOME, press TAB until your cursor is below the desired option, and then press ENTER.

Option

Enter one of the following options:

- **1:** To add a new transaction
- **2:** To change, delete, or inquire about an existing transaction
- **3:** To delete a WT transaction that has been pending (recycling) for more than one day.

Add WT Transaction (Screen 1)

Add WT Transaction (Screen 1) screen appears when you select option 1 on the [AWT Main Menu](#), allowing you to enter a new WT transaction.

This screen also appears when you update or inquire about a transaction via the [Update/Inquiry/Delete Listing](#) screen, although the screen titles differ as follows:

- Update WT Transaction if you entered **U** in the **U/I/D** field.
- Inquiry WT Transaction if you entered **I** in the **U/I/D** field.

```

MENU                                                                 HELP
QAA7          THE DEPOSITORY TRUST COMPANY          DATE: MM/DD/YYYY
000002199     NIGHT WITHDRAWAL BY TRANSFER         TIME: HH:MM:SS

=====

                                ADD WT TRANSACTION          PARTICIPANT ID: 00002199

CUSIP:      00 123456789 0          DESCRIPTION:
QUANTITY:  100 . 00

DRS INFO-  IND:  _  TRANSACTION ID: 98765432
           CUSTOMER ACCOUNT NUMBER: 34526_____
           PARTICIPANT/CORR NAME  : SAMPLE_____
IPO INFO-  AGENT ID: 2199_____ INT CUST: 9122_____ CORR ACCT: 1224_____

BROKER REFERENCE: _____
PEND OPTION:  N          DMD WITHHOLD:          Y
TAX PAYER TYPE:  _          TAX PAYER ID:      2222222222          TAX
WITHHOLD:  a
CITIZEN/LP:    0          BYPASS FINGERPRINT:  N
UIT CODE:     1          UIT CUSIP:           00 12345689 0
                                                                MORE ->

=====
=====
ENTER:PROCESS          PF8/20:END FUNCTION  PF9/21:SIGNOFF          PF7/19 :MAIN MENU
                                PF11/23:FORWARD
  
```

Field Descriptions

This field	Allows you to
Menu Bar	Return to the selection menu, access Help for this screen, or access other related functions, if listed. Click below the desired option and press ENTER. <i>Note</i> —If you do not use a mouse, press HOME, press TAB until your cursor is below the desired option, and then press ENTER.
Participant ID	View your participant number.
CUSIP	Enter the nine-digit CUSIP number of the DTC-eligible item you want to add as a WT transaction. Required.
CUSIP Description	View a system-generated description of the security.
Quantity	Enter the number of shares to be withdrawn. For debt issues, enter a maximum nine-digit maturity or principal dollar value to the nearest whole dollar. For other issue types, enter a maximum nine-digit share amount. Required.
DRS Ind	Enter one of the following for Direct Registration System (DRS) issues:

- **S**: To indicate that the shareholder requests to be registered on the books of the issuer; the agent will mail the DRS transaction advice directly to the shareholder
- **C**: To indicate that the shareholder requests that a physical certificate be issued
- **Y**: To indicate a third party transfer for DRS transactions only
- **X**: To indicate that previously submitted or processed WT instructions should be canceled.

Note—Be aware that by entering **X** to submit a transaction to the transfer agent/issuer to return a previously established position, you are indemnifying the transfer agent/issuer (comparable to providing a letter of indemnity for a physical certificate) to return the investor's DRS position back to your account at DTC, within 120 days of the initial transaction date.

DRS Transaction ID

Enter the DRS Transaction ID number if you entered **X** in the DRS Ind field. You can enter up to 13 alphanumeric characters, which you and the transfer agent will use to identify the transaction.

Note—For DRS issues only.

DRS Customer Account Number

Enter up to 40 characters of freeform text about the DRS transaction.

Note—For DRS issues only.

DRS Participant/Corr Name

Enter the participant or correspondent name if you entered **S** or **Y** in the DRS Ind field. You can enter up to 40 alphanumeric characters.

Note—For DRS issues only.

IPO Infor – Agt ID

Enter the identification number of the custodian bank or prime broker that is responsible for receiving or delivering the securities on behalf of the institution or its customer; a maximum of eight digits.

Note—For IPO-tracked issues only.

IPO Int Cust

Enter the Agent Internal Account (AIA) number used by the custodian bank or prime broker to identify its clients; a maximum of 12 characters.

Required for IPO-tracked issues.

IPO Corr Acct

Enter the account number used by a clearing broker/dealer or clearing bank to identify its correspondent; a maximum of eight digits.

Required for IPO-tracked issues only.

Broker Reference

Enter any additional alphanumeric information, up to 37 characters, to identify this transaction.

Optional. Default: If not entered, the system generates the following TACF information:

- Today's date in *yymmdd* format
- The current time in *hhmmss* format.

Note—This field is required whenever you enter a direct mail by the Depository (DMD) “bust” request, which allows participants to cancel WTs after they have been booked for out-transfer until 12:00 noon eastern time on the scheduled mail date. See DMDB for more information.

Pend Option

Enter **Y** if you want your transaction to recycle if for some reason it is not accepted for transfer by the end of

	the day's WT processing activity. <i>Optional. Default: N.</i>
DMD Withhold	<p>Enter Y to delay mailing the completed WT to the customer for a period of one to nine business days. <i>Optional. Default: N.</i></p> <p><i>Note</i>—Completed WTs placed under a DMD Withhold are eligible for the DMD bust feature. See DMDB for more information.</p>
Taxpayer Type	<p>Enter the type of taxpayer identification you will enter in the Taxpayer ID field. <i>Required.</i> Valid values are:</p> <ul style="list-style-type: none"> • 0: For Social Security number not available (leave the Taxpayer ID field blank) • 1: For Social Security number • 2: For Employer Identification Number • 3: For Non-resident Alien (which indicates that the owner is not subject to backup withholding).
Taxpayer ID	<p>Enter one of the following taxpayer IDs:</p> <ul style="list-style-type: none"> • A nine-digit Social Security number in <i>nnnnnnnnnn</i> format • NRA for a Non-Resident Alien. <p>Required.</p>
Tax Withhold	<p>Enter one of the following tax withholding codes:</p> <ul style="list-style-type: none"> • A: Failure to provide Taxpayer Identification Number (TIN) • B: Failure to certify TIN • C: Notification of incorrect TIN from the Secretary of the Treasury • D: Failure to certify backup withholding status • E: Voluntary disclosure from payee of affirmative backup withholding status • F: Notification to commence backup withholding from the Secretary of the Treasury for underreporting dividends and/or interest payments.
Citizen/LP	<p>Enter one of the following:</p> <ul style="list-style-type: none"> • 0: Citizen • 1: Alien • 2: Limited Partner. <p><i>Note</i>—The system generates standing instructions that identify the customer as a limited partner, a U.S. citizen, or an alien, based on the value entered in this field. If the issue is a communications industry issue, the message 'Communications industry issue' appears when you enter the transaction. You must submit a hard-copy TACF and a Citizenship Certification.</p> <p>Required if the issue requires a certification of citizenship or limited partnership. If the issue is a communications industry issue and this field is not filled, the message 'Citizenship req for selected comm issue' appears.</p> <p>The Limited Partnership Certification Language screen appears if 2 is entered.</p>
Fingerprint	<p>Enter Y to bypass checking for duplicate WT transactions.</p> <p><i>Optional. Default: N.</i></p>
UIT Code	<p>In the CD portion, enter one of the following Unit of Investment Trust (UIT) codes:</p> <ul style="list-style-type: none"> • 0 or a space: Not applicable

- 1: All cash
- 2: Principal and interest
- 4: Principal only
- 5: Interest only.

Optional.

UIT CUSIP

Enter the CUSIP number of the reinvestment fund you want to select, if there is more than one. *Required if you entered a UIT code.*

Add WT Transaction (Screen 2)

Add WT Transaction (Screen 2) appears after you enter all necessary information on [Add WT Transaction \(Screen 1\)](#) and press PF11/23.

Note—As described earlier, this screen may also appear as Update WT Transaction or as Inquiry WT Transaction depending on the option you selected on the [Update/Inquiry/Delete Listing](#) screen.

```

MENU *****
HELP
*****
TX10 THE DEPOSITORY TRUST COMPANY DATE: MM/DD/YYYY
00002199 NIGHT WITHDRAWAL BY TRANSFER TIME: HH:MM:SS
=====
ADD WT TRANSACTION PARTICIPANT ID: 00002199
DIRECT MAIL CODE: 0_ BYPASS REGISTRATION REFORMAT: N
REGISTRATION/ASSIGNMENT (NAME/ADDRESS)
1) _LEOPOLD & MOLLY BLOOM JT _____ 2) ___7 ECCLES ST_____
3) _DUBLIN, OH_12345_____ 4) _____
4) _____ 6) _____
THIRD PARTY MAILING (NAME/ADDRESS)
1) _____ 2) _____
3) _____ 4) _____
5) _____ 6) _____
DENOMINATION BREAKDOWN (TOTAL QUANTITY: ___100 . 00___)
CERT DENOMINATION CERT DENOMINATION CERT DENOMINATION
_1_ ___50 . 00___ _____ . _____
_1_ ___50 . 00___ _____ . _____
_____ . _____ <- MORE
=====
ENTER :PROCESS PF1/13:ADD PF6/18:PREVIOUS PF7/19 :MAIN
MENU
PF8/20:END FUNCTION PF9/21:SIGNOFF PF11/23:FORWARD

```

Field Descriptions

This field

Allows you to

Participant ID

View your participant ID.

Direct Mail Code

Enter one of the following to indicate the direct mail facility the TA should use:

- **1:** For the address entered in the **Registration Assignment (Name/Address)** field
- **2:** For the address entered in the **Third Party Mailing Address** field
- **0** or a space: No Direct Mail service requested.

Bypass Registration Reformat

Enter **Y** to bypass the reformatting process.
Optional. Default: N.

Registration/Assignment (Name/Address)

Enter the registered owner's name and address; a minimum of two lines and a maximum of six, 35 characters per line.

Note—The assignment entered must be correct. If it is not, the transaction may be rejected by the TA.

Third Party Address

Enter the name and address of a third party, if applicable; a minimum of two lines and a maximum of six, 30 characters per line.
Optional.

Denomination Breakdown (Total Quantity)	View the number of shares entered in the Quantity field of Add WT Transaction (Screen 1) .
Cert	Enter the number of certificates that comprise a particular amount of shares involved in the transaction. <i>Optional.</i> <i>Note</i> —The default denomination breakdown is '1.'
Quantity	Enter the share amount represented by those certificates. <i>Optional.</i> <i>Note</i> —The number of shares entered in the Cert and Denomination fields must reflect the number of shares displayed in the Total Quantity field. You can enter up to ten sets of numbers in these fields.
Quantity	Enter the share amount of one certificate. <i>Optional.</i>

Limited Partnership Certification Language Screen

The Limited Partnership Certification Language screen appears if you enter **2** in the **Citizenship/LP** field on [Add WT Transaction \(Screen 1\)](#) to indicate a Limited Partnership. This screen contains a notice regarding such transactions.

This screen is for information only and no action is required. Press ENTER to proceed.

MENU		HELP
QAA7	THE DEPOSITORY TRUST COMPANY	DATE: MM/DD/YYYY
000002199	NIGHT WITHDRAWAL BY TRANSFER	TIME: HH:MM:SS
=====		
LIMITED PARTNERSHIP CERTIFICATION LANGUAGE		

THE ASSIGNEE REQUESTS ADMISSION AS A LIMITED		
PARTNER OR SUBSTITUTED LIMITED PARTNER (AS		
DEFINED IN THE PARTNERSHIP AGREEMENT) AND		
AGREES TO COMPLY AND BE BOUND BY THE TERMS OF		
THE PARTNERSHIP		

Update/Inquiry/Delete Listing Screen

The Update/Inquiry/Delete Listing screen appears when you select option 2 on the [AWT Main Menu](#) . The screen displays a list of current day WT transactions from which you can select items to update, delete, or research in detail.

```

MENU                                                                 HELP
QAA7          THE DEPOSITORY TRUST COMPANY          DATE: MM/DD/YYYY
000002199     NIGHT WITHDRAWAL BY TRANSFER         TIME: HH:MM:SS

=====
====
PARTICIPANT ID: 00002199          STARTING CONTROL NUM:
1243634_

-----
                        UPDATE / INQUIRY / DELETE REGISTRY

U/I/D  CONTROL NUM    CUSIP    CUSIP DESCRIPTION    QUANTITY STATUS
  I      000000001    00123456789    COWANCAST+          0004321.00000    A

                                                                 NO MORE

=====
====
ENTER :PROCESS          PF1/13:DELETE          PF7/19 :MAIN MENU
PF8/20:END FUNCTION    PF9/21:SIGNOFF        PF11/23:FORWARD
  
```

Field Descriptions

This field

Menu Bar

Allows you to

Return to the selection menu, access Help for this screen, or access other related functions, if listed. Click below the desired option and press ENTER.

Note—If you do not use a mouse, press HOME, press TAB until your cursor is below the desired option, and then press ENTER.

Participant ID

View your participant ID.

Starting Control Num

Enter a specific control number to minimize scrolling between screens. *Optional.*

U/I/D

Choose from the following options:

- **U**: To update a transaction
- **I**: To view transaction details
- **D**: To delete a transaction.

Control Number

View the sequence in which you entered your transactions.

CUSIP

View an item's CUSIP number.

CUSIP Description

View a description of the security.

Quantity

View the number of shares represented by a security.

Status

View the status of the current day's transactions. The field will display:

- **A**: For 'Added today'
- **U**: For 'Updated today'
- **D**: For 'Deleted.'

Pending WT Transaction Listing Screen

The Pending WT Transaction Listing screen appears if you enter **3** in the **Option** field on the [AWT Main Menu](#). The screen displays a list of pending WT transactions entered up to 30 days earlier, and allows you to either delete transactions or view transaction details via the PTS function AWTI.

```

MENU                                                    HELP
QAA7          TTHE DEPOSITORY TRUST COMPANY          DATE: MM/DD/YYYY
000002199    NIGHT WITHDRAWAL BY TRANSFER          TIME: HH:MM:SS

=====
PARTICIPANT ID: 00002199      STARTING DATE/SEQ NUM: MM / DD / YYYY 12345
-----
                          PENDING WT TRANSACTION LISTING

DEL(D)  ORIG DATE      SEQ NUM      CUSIP          QUANTITY

   D      MM/DD/YYYY    12345        234567890      100.00

                                                    NO
MORE
=====
=====
ENTER :PROCESS          PF1/13:DELETE          PF7/19 :MAIN MENU
PF8/20:END FUNCTION    PF9/21:SIGNOFF        PF11/23:FORWARD
  
```

Field Descriptions

This field

Menu Bar

Allows you to

Return to the selection menu, access Help for this screen, or access other related functions, if listed. Click below the desired option and press ENTER.

Note—If you do not use a mouse, press HOME, press TAB until your cursor is below the desired option, and then press ENTER.

Participant ID

View your participant ID.

Starting Date/Seq. Num

Enter a specific date or sequence number to minimize scrolling between screens. *Optional.*

D/S

Enter **D** to delete the transaction or **S** to view transaction details via AWTI.

Orig Date

View the date you entered the WT transaction.

Seq Num

View the identifying sequence number.

CUSIP

View an item's CUSIP number.

Quantity

View the number of shares represented by a security.

Messages

You may encounter the following messages when using AWTN. The messages are in alphabetical order, along explanations and suggested resolutions for each.

ACTION IS INVALID

Probable Cause: This PTS function does not support the action entered.

Suggested Resolution: Enter a valid action in the **U/I/D** field.

CERT AMOUNT IS INVALID

Probable Cause: An invalid number of shares was entered in one or more of the denomination breakdown **Quantity** fields.

Suggested Resolution: Enter a valid number of shares in each field, as necessary.

CERT AMOUNT MUST BE NUMERIC

Probable Cause: A non-numeric value was entered in one or more of the denomination breakdown **Quantity** fields.

Suggested Resolution: Enter a numeric certificate amount.

CITIZEN INDICATOR IS INVALID

Probable Cause: The value entered in the **Citizen/LP** field is invalid.

Suggested Resolution: Enter a valid citizen indicator in the field.

COMMUNICATION ISSUE IS INELIGIBLE

Probable Cause: The Communication/Maritime issue you wish to enter cannot be processed via this PTS function.

Suggested Resolution: Enter a valid nine-digit CUSIP number.

COMMUNICATION/MARITIME ISSUES NOT ELIGIBLE FOR RUSH TRANSFER

Probable Cause: The CUSIP number entered is for a Communication/Maritime issue and cannot be processed as a rush transfer.

Suggested Resolution: Enter a valid nine-digit CUSIP number.

CUSIP IS CHILLED

Probable Cause: The CUSIP number entered is in chill status and a withdrawal-by-transfer instruction cannot be executed at this time.

Suggested Resolution: Enter a valid CUSIP number.

CUSIP IS INELIGIBLE

Probable Cause: The CUSIP number entered is not DTC-eligible.

Suggested Resolution: Enter a DTC-eligible CUSIP number.

CUSIP IS INVALID

Probable Cause: The CUSIP number entered is invalid.

Suggested Resolution: Enter a valid nine-digit CUSIP number.

DENOMINATION BREAKDOWN NOT EQUAL TO TOTAL QUANTITY

Probable Cause: The number of shares listed in the denomination breakdown fields does not equal the sum in the **Total Quantity** field.

Suggested Resolution: Enter the correct denomination breakdown.

DIRECT MAIL INDICATOR IS INVALID

Probable Cause: The **Direct Mail Code** field contains an invalid indicator code.

Suggested Resolution: Enter a valid Direct Mail indicator code.

DMD WITHHOLD INDICATOR IS INVALID

Probable Cause: The **DMD Withhold** field contains a value other than 'Y' or 'N.'

Suggested Resolution: Enter a valid value.

DRS INDICATOR IS INVALID

Probable Cause: An invalid DRS indicator was entered in the **DRS Info – Ind** field.

Suggested Resolution: Enter a valid DRS indicator.

DRS ISSUE INVALID FOR RUSH TRANSFER

Probable Cause: The CUSIP number entered is for DRS and DRS issues are not eligible for rush transfer processing.

Suggested Resolution: Enter an eligible nine-digit CUSIP number.

DRS RECORD NOT FOUND ON DATABASE

Probable Cause: No previous-day DRS transaction corresponds to the DRS transaction you want to delete (DRS indicator 'X').

Suggested Resolution: Enter valid data in the **DRS Info** fields.

FINGERPRINT BYPASS OPTION IS INVALID

Probable Cause: The **Fingerprint** field contains a value other than 'Y' or 'N.'

Suggested Resolution: Enter **Y** (to bypass fingerprinting), or either **N** or a space (to not bypass fingerprinting) in the field.

FRACTION/CONTRA CUSIP IS INELIGIBLE

Probable Cause: The fraction/contra-CUSIP number is not DTC-eligible.

Suggested Resolution: Enter a valid nine-digit CUSIP number.

FRACTION INVALID

Probable Cause: The share amount for this CUSIP number cannot be entered in fractional increments.

Suggested Resolution: Enter a valid quantity of nonfractional shares.

FRACTIONS INVALID FOR DRS ISSUE

Probable Cause: The item being entered is a DRS issue, which cannot be entered in fractional increments.

Suggested Resolution: Enter a valid quantity of nonfractional shares.

FULL FAST ISSUES INELIGIBLE

Probable Cause: The CUSIP number entered is for a full FAST issue, which cannot be processed as a rush transfer.

Suggested Resolution: Enter a valid nine-digit CUSIP number.

INVALID KEY

Probable Cause: The key pressed is invalid on the screen you are modifying.

Suggested Resolution: Press a valid key.

IPO INT ACCOUNT NUMBER IS INVALID

Probable Cause: The Agent Internal Account (AIA) number entered in the **IPO Info – Int Cust** field is invalid.

Suggested Resolution: Enter a valid AIA number.

IPO CORRESPONDENT ACCOUNT NUMBER MUST BE NUMERIC

Probable Cause: The **IPO Info – Corr Acct** field contains a non-numeric value.

Suggested Resolution: Enter a valid numeric IPO correspondent account number.

IPO TRANSFER AGENT IS INVALID

Probable Cause: An invalid transfer agent ID was entered in the **IPO Info – Agent ID** field.

Suggested Resolution: Enter a valid transfer agent ID number.

IPO TRANSFER AGENT MUST BE NUMERIC

Probable Cause: The **IPO Info – Agent ID** field contains a non-numeric character.

Suggested Resolution: Enter a valid IPO transfer agent number.

MUNI BOND TYPE IS INELIGIBLE

Probable Cause: The municipal bond entered is not DTC-eligible.

Suggested Resolution: Enter a valid nine-digit CUSIP number.

MUNI BONDS NOT ELIGIBLE FOR RUSH TRANSFER

Probable Cause: The CUSIP number entered is for a municipal bond, which cannot be processed as a rush transfer.

Suggested Resolution: Enter a valid nine-digit CUSIP number.

NO RECORDS FOUND MATCHING YOUR REQUEST

Probable Cause: No records exist that match the item you are researching.

Suggested Resolution: Enter another request.

OPTION INVALID

Probable Cause: An incorrect option number was entered.

Suggested Resolution: Select a valid option number from the onscreen menu.

PARTICIPANT IS INELIGIBLE

Probable Cause: *For group users only.* You do not have access to the selected participant's information.

Suggested Resolution: Obtain eligibility by contacting your Relationship Manager.

PARTICIPANT IS INVALID

Probable Cause: The participant entered is not DTC-eligible.

Suggested Resolution: Enter a valid participant number

PARTICIPANT IS NOT DMD HOLD SELECTIVE PARTICIPANT

Probable Cause: Data was entered in the DMD Withhold field and your firm is not eligible for this service.

Suggested Resolution: Delete the data.

PARTICIPANT MUST BE NUMERIC

Probable Cause: The participant number entered includes a non-numeric value.

Suggested Resolution: Enter a valid numeric participant number.

PEND OPTION IS INVALID

Probable Cause: A value other than 'Y' or 'N' appears in the **Pend Option** field.

Suggested Resolution: Enter **Y** (to pend a WT transaction), or either **N** or a space (to not pend a WT transaction) in the field.

PLEASE CHOOSE ONLY ONE ACTION AT A TIME

Probable Cause: More than one action was selected in the **U/I/D** field.

Suggested Resolution: Select only one action.

PLEASE ENTER ACTION

Probable Cause: The **U/I/D** field is blank

Suggested Resolution: Enter a valid action.

PLEASE ENTER A MINIMUM OF TWO REGISTRATION LINES

Probable Cause: The **Registration/Assignment (Name/Address)** field is incomplete.

Suggested Resolution: Enter the registration name and address on no less than two lines and no more than six lines.

PLEASE ENTER A MINIMUM OF TWO T.P.A. LINES

Probable Cause: The **Third Party Mailing (Name/Address)** field is incomplete.

Suggested Resolution: Enter the third party name and address on no less than two lines and no more than six lines.

PLEASE ENTER CITIZEN INDICATOR

Probable Cause: The item being entered is a Communication/Maritime issue and the **Citizen/LP** field is blank.

Suggested Resolution: Enter a valid citizen indicator code in the **Citizen/LP** field.

PLEASE ENTER CERT AMOUNT

Probable Cause: One or more of the denomination breakdown **Quantity** fields is blank.

Suggested Resolution: Enter the correct number of shares in the **Quantity** field corresponding to a certificate listed in the **Cert** field.

PLEASE ENTER CUSIP

Probable Cause: A CUSIP number was not entered.

Suggested Resolution: Enter a valid nine-digit CUSIP number.

PLEASE ENTER DRS ACCOUNT NUMBER

Probable Cause: The **DRS Info – Customer Account Number** field is blank.

Suggested Resolution: Enter a DRS customer account number in the field.

PLEASE ENTER DRS INDICATOR

Probable Cause: The **DRS Info – Ind** field is blank.

Suggested Resolution: Enter a valid DRS indicator.

PLEASE ENTER DRS PARTICIPANT/CORR NAME

Probable Cause: The **DRS Info – Participant/Corr Name** field is blank.

Suggested Resolution: Enter a participant/correspondent name.

PLEASE ENTER IPO TRANSFER AGENT

Probable Cause: The **IPO Info – Agent ID** field is blank.

Suggested Resolution: Enter a valid IPO transfer agent number.

PLEASE ENTER PARTICIPANT

Probable Cause: No participant number was entered.

Suggested Resolution: Enter a valid participant number.

PLEASE ENTER QUANTITY

Probable Cause: The number of shares was not entered.

Suggested Resolution: Enter the number of shares in the **Quantity** field.

PLEASE ENTER REGISTRATION

Probable Cause: The **Registration/Assignment (Name/Address)** field is blank.

Suggested Resolution: Enter the registration name and address on no less than two lines and no more than six lines.

PLEASE ENTER TAXPAYER ID

Probable Cause: The **Taxpayer ID** field is blank.

Suggested Resolution: Enter a valid taxpayer type code in the field.

PLEASE ENTER TAXPAYER TYPE

Probable Cause: The **Taxpayer Type** field is blank.

Suggested Resolution: Enter a valid taxpayer type code in the field.

PLEASE ENTER UIT CUSIP

Probable Cause: You entered a code in the **UIT Code** field but left the **UIT CUSIP** field blank.

Suggested Resolution: Enter a valid nine-digit UIT CUSIP number in the **UIT CUSIP** field.

PRESS PF1/PF13 TO DELETE

Probable Cause: Data has been entered in all the necessary fields on the delete screen you are working on and you pressed a key other than PF1/13 to update the transaction.

Suggested Resolution: Press PF1/13 to update.

PRESS PF1/PF13 TO UPDATE

Probable Cause: Data has been entered in all the necessary fields on the entry screen you are working on and you pressed a key other than PF1/13 .

Suggested Resolution: Press PF1/13 to update.

PRESS ENTER KEY TO PROCESS REQUEST

Probable Cause: A key other than ENTER was used to process a request.

Suggested Resolution: Press ENTER.

QUANTITY INCREMENT IS INVALID

Probable Cause: The CUSIP number issued is a Denomination Restricted issue, and the quantity increment entered is incorrect.

Suggested Resolution: Enter the correct increment quantity. If you do not know the figure, contact your Relationship Manager.

QUANTITY IS BELOW MINIMUM REQUIREMENT

Probable Cause: The CUSIP number represents a Denomination Restricted issue and the number of shares entered is less than the required minimum.

Suggested Resolution: Enter the correct minimum of shares required. If you do not know the figure, contact your Relationship Manager.

QUANTITY IS INVALID

Probable Cause: The number of shares entered in the **Quantity** field is zero.

Suggested Resolution: Enter the correct number of shares.

QUANTITY MUST BE NUMERIC

Probable Cause: One or more of the values entered in the **Quantity** field is non-numeric.

Suggested Resolution: Enter all numeric values.

RECORD DATE ISSUE IS INELIGIBLE

Probable Cause: The CUSIP number entered is for an issue in record date status and cannot be processed as a rush transfer.

Suggested Resolution: Perform the transaction on the next business day.

REQUIRED ONLY FOR A DRS CUSIP

Probable Cause: Data was entered in one of the **DRS Info** fields for a CUSIP number that is not a DRS issue.

Suggested Resolution: Delete data from the **DRS Info** fields.

REQUIRED ONLY FOR A DRS INDICATOR 'S', 'Y' OR 'C'

Probable Cause: Data was entered in one of the **DRS Info** fields for a CUSIP number that is not a DRS issue.

Suggested Resolution: Delete data from the **DRS Info** fields.

REQUIRED ONLY FOR DRS INDICATOR 'X'

Probable Cause: Data exists in the **DRS Info – Agent ID** field although the DRS indicator is 'C,' 'S,' or 'Y.' A DRS transfer agent ID number must only be entered if the indicator is 'X' (for delete).

Suggested Resolution: Delete the data in the **DRS Info – Agent ID** field.

REQUIRED (CUSIP) ONLY WITH UIT CODE

Probable Cause: You entered a code in the **UIT CUSIP** field but left the **UIT Code** field blank.

Suggested Resolution: Delete the data in the **UIT CUSIP** field.

REQUIRED ONLY FOR COMMUNICATION/MARITIME ISSUE

Probable Cause: The item being entered is a Communication/Maritime issue and the **Citizen/LP** field has unnecessary data entered in it.

Suggested Resolution: Delete data from the **Citizen/LP** field.

REQUIRED ONLY FOR IPO ISSUE

Probable Cause: The item being entered is not an IPO issue, but data was entered in the **IPO Info – Agent ID** field.

Suggested Resolution: Delete the data.

RSA BYPASS OPTION IS INVALID

Probable Cause: The Bypass Registration Format field contains a value other than 'Y' or 'N.'

Suggested Resolution: Enter **Y** (for yes) or **N** (for no) in the field.

STARTING CONTROL NUM MUST BE NUMERIC

Probable Cause: The control number entered in the **Starting Control Num** field contains non-numeric values.

Suggested Resolution: Enter a valid numeric control number.

STARTING DATE IS INVALID

Probable Cause: The date entered in the **Starting Date** field is invalid.

Suggested Resolution: Enter a valid starting date.

TAXPAYER ID IS INVALID FOR TAXPAYER TYPE

Probable Cause: The taxpayer information entered in the **Taxpayer ID** field is not consistent with the designated taxpayer type.

Suggested Resolution: Enter a valid taxpayer ID in the field.

TAXPAYER TYPE IS INVALID

Probable Cause: An invalid taxpayer type code was entered in the **Taxpayer Type** field.

Suggested Resolution: Enter a valid taxpayer type code.

TAX WITHHOLDING CODE IS INVALID

Probable Cause: An invalid value was entered in the **Tax Withhold** field.

Suggested Resolution: Enter a valid taxpayer withholding code in the field.

THERE ARE CURRENTLY NO RECORDS TO DISPLAY

Probable Cause: No records exist that match the item you are researching.

Suggested Resolution: Enter another request.

THE RECORD CANNOT BE UPDATED

Probable Cause: The record you want to update has already been deleted.

Suggested Resolution: Move on to your next transaction.

THE RECORD WAS ALREADY DELETED

Probable Cause: The record you want to delete has already been deleted.

Suggested Resolution: Move on to your next transaction.

THERE WAS AN ERROR PRINTING THE PTS TICKET. PLEASE, TRY AGAIN IN A FEW MINUTES.

Probable Cause: An error occurred during the PTS ticket printing process.

Suggested Resolution: Wait a few minutes before reentering your print command.

T.P.A. REQUIRED ONLY FOR A DIRECT MAIL CODE OF '2'

Probable Cause: The **Third Party Mailing (Name/Address)** field contains data although your Direct Mail indicator is '0' (no Direct Mail) or '1' (use registration address).

Suggested Resolution: Delete data from the field or check the correctness of the entry in the **Direct Mail Code** field.

UIT CODE IS INVALID

Probable Cause: The value entered in the **UIT Code** field is not valid.

Suggested Resolution: Enter a valid UIT code in the field.

UNIT CUSIP IS INELIGIBLE

Probable Cause: The unit CUSIP number entered is not DTC-eligible.

Suggested Resolution: Enter a valid nine-digit CUSIP number.

YOUR TRANSACTION HAS BEEN PLACED IN A QUEUE TO BE PROCESSED LATER

Probable Cause: The system recorded your request to delete an item, which will be processed later.

Suggested Resolution: Check later to see if your request was processed.

AWTR

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Introduction

Overview

The Automated Rush Withdrawal Transfer (AWTR) function allows you to enter Rush Withdrawal Transfer transactions (RWT) during the day. You can also change, delete, or inquire about transactions you entered that business day. Successful transactions will update your position at the close of the business day.

DTC generates Transfer Assignment Control Forms (TACF) for delivery to transfer agents, as well as RWT reports of accepted and rejected transactions and confirmation tickets for each successful add, change, or deletion.

AWTR also provides entry fields for IPO tracking and fractional share processing information.

When to Use

Use AWTR to enter, update, or delete RWT transactions.

AWTR is available on business days from 6:00 a.m. to 4:00 p.m. eastern time.

List of Screens

AWTR comprises the following screens:

This screen

[AWT Main Menu](#)

[Add WT Transaction \(Screen 1\)](#)

[Add WT Transaction \(Screen 2\)](#)

[Update/Inquiry/Delete Listing](#)

Allows you to

Specify whether you want to add, update, delete, or inquire about an RWT transaction.

Begin to add a new RWT transaction.

Note—When you update or inquire about an RWT transaction via the Update/Inquiry/Delete Listing screen, this screen will appear with a title corresponding to the option you selected.

Finish adding a new RWT transaction.

Note—When you update or inquire about an RWT transaction via the Update/Inquiry/Delete Listing screen, this screen will appear with a title corresponding to the option you selected.

Update, delete, or inquire about an RWT transaction. Transactions entered and then deleted later in the day will not appear on this screen.

Procedures

Adding a Rush Withdrawal Transfer

Use the following procedure to add a new RWT transaction.

Note—Before using this procedure, see the [Reference](#) section to familiarize yourself with the screens that will appear when using this function, and to prepare any information you may need to provide for entry fields and option selections.

Step	Action
1	Type AWTR on the Enter Function screen and press ENTER. <i>Result</i> —The AWT Main Menu appears.
2	Type 1 in the Option field and press ENTER. <i>Result</i> — Add WT Transaction (Screen 1) appears.
3	Refer to the Field Descriptions and type all the applicable values in the entry fields provided, and then press ENTER to validate. <i>Result</i> —If any fields contain errors, the screen will display an explanatory message. Correct the errors and press ENTER again. If no errors exist, the 'Press PF11/23 to continue' appears.
4	Press PF11/23. <i>Result</i> — Add WT Transaction (Screen 2) appears.
5	Refer to the Field Descriptions and type all the applicable values in the entry fields provided, and then press ENTER to validate. <i>Result</i> —If any fields contain errors, the screen will display an explanatory message. Correct the errors and press ENTER again. If no errors exist, the message 'Use PF1 to perform add' appears.
6	Press PF1/13. <i>Result</i> —The message 'Record added' appears and a confirmation ticket labeled 'Original Record' prints on your designated PTS printer.

Updating a Rush Withdrawal Transfer

Use the following procedure to make changes to an existing RWT transaction.

Note—Before using this procedure, see the [Reference](#) section to familiarize yourself with the screens that will appear when using this function, and to prepare any information you may need to provide for entry fields and option selections.

Step	Action
1	Type AWTR on the Enter Function screen and press ENTER. <i>Result</i> —The AWT Main Menu appears.
2	Type 2 in the Option field and press ENTER. <i>Result</i> —The Update/Inquiry/Delete Listing screen displays a list of RWT transactions you entered in the system today.
3	Type U in the U/I/D field next to a WT transaction you want to update and press ENTER. <i>Result</i> —Update WT Transaction (Screen 1) appears.
4	Make the desired changes, then press ENTER to validate. <i>Result</i> —If any fields contain errors, the screen will display an explanatory message. Correct the errors and press ENTER again. If no errors exist, the message 'Press PF11/23 to continue' appears.
5	Press PF11/23. <i>Result</i> —Update WT Transaction (Screen 2) appears.
6	Refer to the Field Descriptions and type all the applicable values in the entry fields provided, and then press ENTER to validate. <i>Result</i> —If any fields contain errors, the screen will display an explanatory message. Correct the errors and press ENTER again. If no errors exist, the message 'Use PF1 to perform update' appears.
7	Press PF1/13. <i>Result</i> —The message 'Record changed' appears and a confirmation ticket labeled 'Changed Record' prints on your designated PTS printer.

Deleting a Rush Withdrawal Transfer

Use the following procedure to delete an RWT transaction.

Note—Before using this procedure, see the [Reference](#) section to familiarize yourself with the screens that will appear when using this function, and to prepare any information you may need to provide for entry fields and option selections.

Step	Action
1	Type AWTR on the Enter Function screen and press ENTER. <i>Result</i> —The AWT Main Menu appears.
2	Type 2 in the Option field and press ENTER. <i>Result</i> —The Update/Inquiry/Delete Listing screen appears, displaying a list of WT transactions you entered in the system today.
3	Type D in the U/I/D field next to the transactions you want to delete and press ENTER. <i>Result</i> —The screen displays the message 'Press PF1/13 to delete.'
4	Press PF1/13. <i>Result</i> —The transaction no longer appears on the list of the day's transactions.

Inquiring About a Rush Withdrawal Transfer

Use the following procedure to research RWT transaction details.

Note—Before using this procedure, see the [Reference](#) section to familiarize yourself with the screens that will appear when using this function, and to prepare any information you may need to provide for entry fields and option selections.

Step	Action
1	Type AWTR on the Enter Function screen and press ENTER. <i>Result</i> —The AWT Main Menu appears.
2	Type 2 in the Option field and press ENTER. <i>Result</i> —The Update/Inquiry/Delete Listing screen appears, displaying a list of WT transactions you entered in the system today.
3	Type I in the U/I/D field next to the transaction you want to view and press ENTER. <i>Result</i> —The Inquiry WT Transaction (Screen 1) screen appears with transaction details.
4	Press PF11/23 to scroll to the next screen. <i>Result</i> —The Inquiry WT Transaction (Screen 2) appears.

Reference

AWT Main Menu

The AWT Main Menu allows you to select whether you want to add a new RWT transaction, or to update, delete, or view details about an existing transaction.

```
MENUHELP
QABJTHE DEPOSITORY TRUST COMPANYDATE: MM/DD/YYYY
00002199-00RUSH WITHDRAWAL BY TRANSFERTIME: HH:MM:SS
=====
1) ADD RUSH WT TRANSACTION
2) UPDATE/INQUIRY/DELETE CURRENT DAY RUSH WT TRANSACTIONS

OPTION: __

=====
ENTER:PROCESSPF8/20:ENDPF9/21:SIGNOFF
```

Field Descriptions

This field

Allows you to

Menu Bar

Return to the selection menu, access Help for this screen, or access other related functions, if listed. Click below the desired option and press ENTER.
Note—If you do not use a mouse, press HOME, press TAB until your cursor is below the desired option, and then press ENTER.

Option

Enter one of the following options:

- **1:** To add a new transaction.
- **2:** To change, delete, or inquire about an existing transaction.

Add WT Transaction (Screen 1)

Add WT Transaction (Screen 1) screen appears when you select option 1 on the [AWT Main Menu](#), allowing you to enter a new RWT transaction.

This screen also appears when you update or inquire about a transaction via the [Update/Inquiry/Delete Listing](#) screen, although the screen titles differ as follows:

- Update WT Transaction if you entered **U** in the **U/I/D** field
- Inquiry WT Transaction if you entered **I** in the **U/I/D** field.

```

MENU                                                                 HELP
QABJ                        THE DEPOSITORY TRUST COMPANY           DATE: MM/DD/YYYY
00002199-00                 RUSH WITHDRAWAL BY TRANSFER          TIME: HH:MM:SS
=====
=====
=====
                                ADD WT TRANSACTION           PARTICIPANT ID: 00002199

CUSIP:    00 1234567890      DESCRIPTION: COWANCAST
QUANTITY:  __100__ . ____

IPO INFO- AGENT ID:  _1234_  INT CUST:  __2345__  CORR ACCT:  __098765_

BROKER REFERENCE:  _____

TAX PAYER TYPE:  1_  TAX PAYER ID:  __0_____  TAX WITHHOLD:  A
UIT CODE:        _  UIT CUSIP:    00 _____  0

MORE  ->
=====
ENTER:PROCESS                                PF7/19 :MAIN MENU
                                PF8/20:END FUNCTION PF9/21:SIGNOFF
                                PF11/24:FORWARD

```

This field

Allows you to

Menu Bar

Return to the selection menu, access Help for this screen, or access other related functions, if listed. Click below the desired option and press ENTER.
Note—If you do not use a mouse, press HOME, press TAB until your cursor is below the desired option, and then press ENTER.

Participant ID

View your participant number.

CUSIP

Enter the nine-digit CUSIP number of the DTC-eligible item you want to add as an RWT transaction. **Required.**

CUSIP Description

View a system-generated description of the security.

Quantity

Enter the number of shares to be withdrawn. For debt issues, enter a maximum nine-digit maturity or principal dollar value to the nearest whole dollar, and for other issue types, enter a maximum nine-digit security quantity. **Required.**

IPO Info – Agent ID

Enter the identification number of the custodian bank or prime broker responsible for receiving or delivering the securities on behalf of the institution or its customer; a maximum of eight digits.
Note—For IPO-tracked issues only.

Int Cust	Enter the Agent Internal Account (AIA) number used by the custodian bank or prime broker to identify its clients; a maximum of 12 characters. Required for IPO-tracked issues.
Corr Acct	Enter the account number used by a clearing broker/dealer or clearing bank to identify its correspondent; a maximum of eight digits. Required for IPO-tracked issues only.
Broker Reference	Enter any additional alphanumeric information, up to 37 characters, to identify this transaction. <i>Optional. Default:</i> If not entered, the system generates the following TACF information: <ul style="list-style-type: none"> • Today's date in <i>yymmdd</i> format • The current time in <i>hhmmss</i> format. <i>Note</i> —This field is required whenever you enter a direct mail by the Depository (DMD) “bust” request, which allows participants to cancel WTs after they have been booked for out-transfer until 12:00 noon eastern time on the scheduled mail date. See DMDB for more information.
Tax Payer Type	Enter the type of taxpayer identification you will enter in the Taxpayer ID field. Required. Valid values are: <ul style="list-style-type: none"> • 0: For Social Security number not available (leave the Taxpayer ID field blank) • 1: For Social Security number • 2: For Employer Identification Number. • 3: For Non-resident Alien (which indicates that the owner is not subject to backup withholding).
Tax Payer ID	Enter one of the following taxpayer IDs: <ul style="list-style-type: none"> • A nine-digit Social Security number in <i>nnnnnnnnn</i> • NRA for a Non-Resident Alien. Required.
Tax Withhold	Enter one of the following tax withholding codes: <ul style="list-style-type: none"> • A: Failure to provide Taxpayer Identification Number (TIN) • B: Failure to certify TIN • C: Notification of incorrect TIN from the Secretary of the Treasury • D: Failure to certify backup withholding status • E: Voluntary disclosure from payee of affirmative backup withholding status • F: Notification to commence backup withholding from the Secretary of the Treasury for underreporting dividends and/or interest payments.
UIT Code	In the CD portion, enter one of the following Unit of Investment Trust (UIT) codes: <ul style="list-style-type: none"> • 0 or a space: Not applicable • 1: All cash • 2: Principal and interest • 4: Principal only • 5: Interest only. <i>Optional.</i>
UIT CUSIP	Enter the CUSIP number of the reinvestment fund you want to select, if there is more than one. Required if you entered a <i>UIT</i> code.

Denomination

Enter the share amount of a single certificate.

Note—The number of shares entered in the **Cert** and **Denomination** fields must reflect the number of shares displayed in the **Total Quantity** field. You can enter up to ten sets of numbers in these fields.

Update/Inquiry/Delete Listing Screen

The Update/Inquiry/Delete Listing screen appears when you select option 2 on the [AWT Main Menu](#). The screen displays a list of current day WT transactions from which you can select items to update, delete, or research in detail.

```

MENU                                                                 HELP
QABJ                        THE DEPOSITORY TRUST COMPANY           DATE: MM/DD/YYYY
00002199-00                 RUSH WITHDRAWAL BY TRANSFER          TIME: HH:MM:SS
PARTICIPANT ID: 00002199   STARTING SEQUENCE NUM: _____
-----
                                UPDATE / INQUIRY / DELETE LISTING
U/I/D  SEQUENCE NUM      CUSIP      CUSIP DESCRIPTION      QUANTITY
  U      000040001      000123456789  BAYSHORE BANCORP      + 0000500.00000
  I      000040002      000123456789  BAYSHORE BANCORP      + 0000100.00000

                                                                NO
MORE
-----
ENTER :PROCESS                PF1/13:DELETE            PF7/19 :MAIN MENU
PF8/20:END FUNCTION          PF9/21:SIGNOFF          PF11/23:FORWARD
  
```

Field Descriptions

This field

Allows you to

Menu Bar

Return to the selection menu, access Help for this screen, or access other related functions, if listed. Click below the desired option and press ENTER.

Note—If you do not use a mouse, press HOME, press TAB until your cursor is below the desired option, and then press ENTER.

Participant ID

View your participant ID.

Starting Sequence Num

Enter a specific sequence number to minimize scrolling between screens. *Optional*.

U/I/D

Choose from the following options:

- **U**: To update a transaction
- **I**: To view transaction details
- **D**: To delete a transaction.

Sequence Number

View the order in which you entered your transactions.

CUSIP

View an item's CUSIP number.

CUSIP Description

View a description of the security.

Quantity

View the number of shares represented by a security.

Messages

You may encounter the following messages when using AWTR. The messages are in alphabetical order, along with explanations and suggested resolutions for each.

ACTION IS INVALID

Probable Cause: This PTS function does not support the action entered.

Suggested Resolution: Enter a valid action in the **U/I/D** field.

CERT AMOUNT IS INVALID

Probable Cause: An invalid number of shares was entered in one or more of the denomination breakdown **Quantity** fields.

Suggested Resolution: Enter a valid number of shares in each field, as necessary.

CERT AMOUNT MUST BE NUMERIC

Probable Cause: A non-numeric value was entered in one or more of the denomination breakdown **Quantity** fields.

Suggested Resolution: Enter a numeric certificate amount.

CITIZEN INDICATOR IS INVALID

Probable Cause: The value entered in the **Citizen/LP** field is invalid.

Suggested Resolution: Enter a valid citizen indicator in the field.

COMMUNICATION ISSUE IS INELIGIBLE

Probable Cause: The Communication/Maritime issue you wish to enter cannot be processed via this PTS function.

Suggested Resolution: Enter a valid nine-digit CUSIP number.

COMMUNICATION/MARITIME ISSUES NOT ELIGIBLE FOR RUSH TRANSFER

Probable Cause: The CUSIP number entered is for a Communication/Maritime issue and cannot be processed as a rush transfer.

Suggested Resolution: Enter a valid nine-digit CUSIP number.

CUSIP IS CHILLED

Probable Cause: The CUSIP number entered is in chill status and a withdrawal-by-transfer instruction cannot be executed at this time.

Suggested Resolution: Enter a valid CUSIP number.

CUSIP IS INELIGIBLE

Probable Cause: The CUSIP number entered is not DTC-eligible.

Suggested Resolution: Enter a DTC-eligible CUSIP number.

CUSIP IS INVALID

Probable Cause: The CUSIP number entered is invalid.

Suggested Resolution: Enter a valid nine-digit CUSIP number.

DENOMINATION BREAKDOWN NOT EQUAL TO TOTAL QUANTITY

Probable Cause: The number of shares listed in the denomination breakdown fields does not equal the sum in the Total Quantity field.

Suggested Resolution: Enter the correct denomination breakdown.

DIRECT MAIL INDICATOR IS INVALID

Probable Cause: The **Direct Mail Code** field contains an invalid indicator code.

Suggested Resolution: Enter a valid **Direct Mail** indicator code.

DMD WITHHOLD INDICATOR IS INVALID

Probable Cause: The **DMD Withhold** field contains a value other than 'Y' or 'N.'

Suggested Resolution: Enter a valid value.

DRS INDICATOR IS INVALID

Probable Cause: An invalid DRS indicator was entered in the **DRS Info – Ind** field.

Suggested Resolution: Enter a valid DRS indicator.

DRS ISSUE INVALID FOR RUSH TRANSFER

Probable Cause: The CUSIP number entered is for DRS and DRS issues are not eligible for rush transfer processing.

Suggested Resolution: Enter an eligible nine-digit CUSIP number.

DRS RECORD NOT FOUND ON DATABASE

Probable Cause: No previous-day DRS transaction corresponds to the DRS transaction you want to delete (DRS indicator 'X').

Suggested Resolution: Enter valid data in the DRS Info fields.

FINGERPRINT BYPASS OPTION IS INVALID

Probable Cause: The Fingerprint field contains a value other than 'Y' or 'N.'

Suggested Resolution: Enter **Y** (to bypass fingerprinting), or either **N** or a space (to not bypass fingerprinting) in the field.

FRACTION/CONTRA CUSIP IS INELIGIBLE

Probable Cause: The fraction/contra-CUSIP number is not DTC-eligible.

Suggested Resolution: Enter a valid nine-digit CUSIP number.

FRACTION INVALID

Probable Cause: The share amount for this CUSIP number cannot be entered in fractional increments.

Suggested Resolution: Enter a valid quantity of nonfractional shares.

FRACTIONS INVALID FOR DRS ISSUE

Probable Cause: The item being entered is a DRS issue, which cannot be entered in fractional increments.

Suggested Resolution: Enter a valid quantity of nonfractional shares.

FULL FAST ISSUES INELIGIBLE

Probable Cause: The CUSIP number entered is for a full FAST issue, which cannot be processed as a rush transfer.

Suggested Resolution: Enter a valid nine-digit CUSIP number.

INVALID KEY

Probable Cause: The key pressed is invalid on the screen you are modifying.

Suggested Resolution: Press a valid key.

IPO INT ACCOUNT NUMBER IS INVALID

Probable Cause: The Agent Internal Account (AIA) number entered in the **IPO Info – Int Cust** field is invalid.

Suggested Resolution: Enter a valid AIA number.

IPO CORRESPONDENT ACCOUNT NUMBER MUST BE NUMERIC

Probable Cause: The **IPO Info – Corr Acct** field contains a non-numeric value.

Suggested Resolution: Enter a valid numeric IPO correspondent account number.

IPO TRANSFER AGENT IS INVALID

Probable Cause: An invalid transfer agent ID was entered in the **IPO Info – Agent ID** field.

Suggested Resolution: Enter a valid transfer agent ID number.

IPO TRANSFER AGENT MUST BE NUMERIC

Probable Cause: The **IPO Info – Agent ID** field contains a non-numeric character.

Suggested Resolution: Enter a valid IPO transfer agent number.

MUNI BOND TYPE IS INELIGIBLE

Probable Cause: The municipal bond entered is not DTC-eligible.

Suggested Resolution: Enter a valid nine-digit CUSIP number.

MUNI BONDS NOT ELIGIBLE FOR RUSH TRANSFER

Probable Cause: The CUSIP number entered is for a municipal bond, which cannot be processed as a rush transfer.

Suggested Resolution: Enter a valid nine-digit CUSIP number.

NO RECORDS FOUND MATCHING YOUR REQUEST

Probable Cause: No records exist that match the item you are researching.

Suggested Resolution: Enter another request.

OPTION INVALID

Probable Cause: An incorrect option number was entered.

Suggested Resolution: Select a valid option number from the onscreen menu.

PARTICIPANT IS INELIGIBLE

Probable Cause: *For group users only.* You do not have access to the selected participant's information.

Suggested Resolution: Obtain eligibility by contacting your Relationship Manager.

PARTICIPANT IS INVALID

Probable Cause: The participant entered is not DTC-eligible.

Suggested Resolution: Enter a valid participant number

PARTICIPANT IS NOT DMD HOLD SELECTIVE PARTICIPANT

Probable Cause: Data was entered in the **DMD Withhold** field and your firm is not eligible for this service.

Suggested Resolution: Delete the data.

PARTICIPANT MUST BE NUMERIC

Probable Cause: The participant number entered includes a non-numeric value.

Suggested Resolution: Enter a valid numeric participant number.

PEND OPTION IS INVALID

Probable Cause: A value other than 'Y' or 'N' appears in the **Pend Option** field.

Suggested Resolution: Enter **Y** (to pend a WT transaction), or either **N** or a space (to not pend a WT transaction) in the field.

PLEASE CHOOSE ONLY ONE ACTION AT A TIME

Probable Cause: More than one action was selected in the **U/I/D** field.

Suggested Resolution: Select only one action.

PLEASE ENTER ACTION

Probable Cause: The **U/I/D** field is blank

Suggested Resolution: Enter a valid action.

PLEASE ENTER A MINIMUM OF TWO REGISTRATION LINES

Probable Cause: The **Registration/Assignment (Name/Address)** field is incomplete.

Suggested Resolution: Enter the registration name and address on no less than two lines and no more than six lines.

PLEASE ENTER A MINIMUM OF TWO T.P.A. LINES

Probable Cause: The **Third Party Mailing (Name/Address)** field is incomplete.

Suggested Resolution: Enter the third party name and address on no less than two lines and no more than six lines.

PLEASE ENTER CITIZEN INDICATOR

Probable Cause: The item being entered is a Communication/Maritime issue and the **Citizen/LP** field is blank.

Suggested Resolution: Enter a valid citizen indicator code in the **Citizen/LP** field.

PLEASE ENTER CERT AMOUNT

Probable Cause: One or more of the denomination breakdown **Quantity** fields is blank.

Suggested Resolution: Enter the correct number of shares in the **Quantity** field corresponding to a certificate listed in the **Cert** field.

PLEASE ENTER CUSIP

Probable Cause: A CUSIP number was not entered.

Suggested Resolution: Enter a valid nine-digit CUSIP number.

PLEASE ENTER DRS ACCOUNT NUMBER

Probable Cause: The **DRS Info – Customer Account Number** field is blank.

Suggested Resolution: Enter a DRS customer account number in the field.

PLEASE ENTER DRS INDICATOR

Probable Cause: The **DRS Info – Ind** field is blank.

Suggested Resolution: Enter a valid DRS indicator.

PLEASE ENTER DRS PARTICIPANT/CORR NAME

Probable Cause: The **DRS Info – Participant/Corr Name** field is blank.

Suggested Resolution: Enter a participant/correspondent name.

PLEASE ENTER IPO TRANSFER AGENT

Probable Cause: The **IPO Info – Agent ID** field is blank.

Suggested Resolution: Enter a valid IPO transfer agent number.

PLEASE ENTER PARTICIPANT

Probable Cause: No participant number was entered.

Suggested Resolution: Enter a valid participant number.

PLEASE ENTER QUANTITY

Probable Cause: The number of shares was not entered.

Suggested Resolution: Enter the number of shares in the **Quantity** field.

PLEASE ENTER REGISTRATION

Probable Cause: The **Registration/Assignment (Name/Address)** field is blank.

Suggested Resolution: Enter the registration name and address on no less than two lines and no more than six lines.

PLEASE ENTER TAXPAYER ID

Probable Cause: The **Taxpayer ID** field is blank.

Suggested Resolution: Enter a valid taxpayer type code in the field.

PLEASE ENTER TAXPAYER TYPE

Probable Cause: The **Taxpayer Type** field is blank.

Suggested Resolution: Enter a valid taxpayer type code in the field.

PLEASE ENTER UIT CUSIP

Probable Cause: You entered a code in the **UIT Code** field but left the **UIT CUSIP** field blank.

Suggested Resolution: Enter a valid nine-digit UIT CUSIP number in the **UIT CUSIP** field.

PRESS PF1/PF13 TO DELETE

Probable Cause: Data has been entered in all the necessary fields on the delete screen you are working on and you pressed a key other than PF1/13 to update the transaction.

Suggested Resolution: Press PF1/13 to update.

PRESS PF1/PF13 TO UPDATE

Probable Cause: Data has been entered in all the necessary fields on the entry screen you are working on and you pressed a key other than PF1/13.

Suggested Resolution: Press PF1/13 to update.

PRESS ENTER KEY TO PROCESS REQUEST

Probable Cause: A key other than ENTER was used to process a request.

Suggested Resolution: Press ENTER.

QUANTITY INCREMENT IS INVALID

Probable Cause: The CUSIP number represents a Denomination Restricted issue and the quantity increment entered is incorrect.

Suggested Resolution: Enter the correct increment quantity. If you do not know the figure, contact your Relationship Manager.

QUANTITY IS BELOW MINIMUM REQUIREMENT

Probable Cause: The CUSIP number issued is a Denomination Restricted issue, and the number of shares entered is less than the required minimum.

Suggested Resolution: Enter the correct minimum of shares required. If you do not know the figure, contact your Relationship Manager.

QUANTITY IS INVALID

Probable Cause: The number of shares entered in the **Quantity** field is zero.

Suggested Resolution: Enter the correct number of shares.

QUANTITY MUST BE NUMERIC

Probable Cause: One or more of the values entered in the **Quantity** field is non-numeric.

Suggested Resolution: Enter all numeric values.

RECORD DATE ISSUE IS INELIGIBLE

Probable Cause: The CUSIP number entered is for an issue in record date status and cannot be processed as a rush transfer.

Suggested Resolution: Perform the transaction on the next business day.

REQUIRED ONLY FOR A DRS CUSIP

Probable Cause: Data was entered in one of the **DRS Info** fields for a CUSIP number that is not a DRS issue.

Suggested Resolution: Delete data from the **DRS Info** fields.

REQUIRED ONLY FOR A DRS INDICATOR 'S', 'Y' OR 'C'

Probable Cause: Data was entered in one of the **DRS Info** fields for a CUSIP number that is not a DRS issue.

Suggested Resolution: Delete data from the **DRS Info** fields.

REQUIRED ONLY FOR DRS INDICATOR 'X'

Probable Cause: Data exists in the **DRS Info – Agent ID** field although the DRS indicator is 'C,' 'S,' or 'Y.' A DRS transfer agent ID number must only be entered if the indicator is 'X' (for delete).

Suggested Resolution: Delete the data in the **DRS Info – Agent ID** field.

REQUIRED (CUSIP) ONLY WITH UIT CODE

Probable Cause: You entered a code in the **UIT CUSIP** field but left the **UIT Code** field blank.

Suggested Resolution: Delete the data in the **UIT CUSIP** field.

REQUIRED ONLY FOR COMMUNICATION/MARITIME ISSUE

Probable Cause: The item being entered is a Communication/Maritime issue and the **Citizen/LP** field has unnecessary data entered in it.

Suggested Resolution: Delete data from the **Citizen/LP** field.

REQUIRED ONLY FOR IPO ISSUE

Probable Cause: The item being entered is not an IPO issue, but data was entered in the **IPO Info – Agent ID** field.

Suggested Resolution: Delete the data.

RSA BYPASS OPTION IS INVALID

Probable Cause: The **Bypass Registration Format** field contains a value other than 'Y' or 'N.'

Suggested Resolution: Enter **Y** (for yes) or **N** (for no) in the field.

STARTING CONTROL NUM MUST BE NUMERIC

Probable Cause: The control number entered in the **Starting Control Num** field contains non-numeric values.

Suggested Resolution: Enter a valid numeric control number.

STARTING DATE IS INVALID

Probable Cause: The date entered in the **Starting Date** field is invalid.

Suggested Resolution: Enter a valid starting date.

TAXPAYER ID IS INVALID FOR TAXPAYER TYPE

Probable Cause: The taxpayer information entered in the **Taxpayer ID** field is not consistent with the designated taxpayer type.

Suggested Resolution: Enter a valid taxpayer ID in the field.

TAXPAYER TYPE IS INVALID

Probable Cause: An invalid taxpayer type code was entered in the **Taxpayer Type** field.

Suggested Resolution: Enter a valid taxpayer type code.

TAX WITHHOLDING CODE IS INVALID

Probable Cause: An invalid value was entered in the **Tax Withhold** field.

Suggested Resolution: Enter a valid taxpayer withholding code in the field.

THERE ARE CURRENTLY NO RECORDS TO DISPLAY

Probable Cause: No records exist that match the item you are researching.

Suggested Resolution: Enter another request.

THE RECORD CANNOT BE UPDATED

Probable Cause: The record you want to update has already been deleted.

Suggested Resolution: Move on to your next transaction.

THE RECORD WAS ALREADY DELETED

Probable Cause: The record you want to delete has already been deleted.

Suggested Resolution: Move on to your next transaction.

THERE WAS AN ERROR PRINTING THE PTS TICKET. PLEASE, TRY AGAIN IN A FEW MINUTES.

Probable Cause: An error occurred during the PTS ticket printing process.

Suggested Resolution: Wait a few minutes before reentering your print command.

T.P.A. REQUIRED ONLY FOR A DIRECT MAIL CODE OF '2'

Probable Cause: The **Third Party Mailing (Name/Address)** field contains data although your Direct Mail indicator is '0' (no Direct Mail) or '1' (use registration address).

Suggested Resolution: Delete data from the field or check the correctness of the entry in the **Direct Mail Code** field.

UIT CODE IS INVALID

Probable Cause: The value entered in the **UIT Code** field is not valid.

Suggested Resolution: Enter a valid UIT code in the field.

UNIT CUSIP IS INELIGIBLE

Probable Cause: The unit CUSIP number entered is not DTC-eligible.

Suggested Resolution: Enter a valid nine-digit CUSIP number.

YOUR TRANSACTION HAS BEEN PLACED IN A QUEUE TO BE PROCESSED LATER

Probable Cause: The system recorded your request to delete an item, which will be processed later.

Suggested Resolution: Check later to see if your request was processed.