FORM:

Introduction

Overview

The Forms Requisition (FORM) function allows you to:

- Place orders for DTC forms and Eligible Securities books
- Inquire about the status of each order (active, cancelled, partial and/or completed).

The inquiry option provides you with information about what was ordered and who entered the order. The delivery method and the status of line items are displayed. You can view orders for up to sixty days after distribution.

When to Use

Use FORM to order a specific DTC form or to view details of recent orders that were placed via FORM.

You can use FORM to order Delivery envelopes, Dividend Interest Claim forms, Bearer Shipping Manifests, and so forth.

FORM is available on business days from 7:00 a.m. to 8:00 p.m. eastern time.

Associated Products

The FORM function is not associated with any specific DTC service or product. FORM is a cross-service function that can help you regardless of which DTC services you use.

List of Procedures:

Cancelling Orders

Use the following procedure to cancel orders that were placed today.

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

Result- The Forms Order System screen appears.

2 Type 1 in the **Selection** field and press ENTER.

Result- The Inquire Into- Cancel Recent Orders screen appears.

3 Type C to the left of the desired item and press ENTER.

Result- The message'All data verified- press PF1 to cancel' appears.

4 Press PF1/13.

Result- The message'Are you sure that you want to cancel the entire order? Hit PF1 to confirm or CLEAR to negate the cancel' appears.

5 Press PF1/13 again.

Result- The selected order is cancelled.

Ordering Forms

Use the following procedure to order DTC forms or Eligible Securities books. You can order multiple quantities of up to thirty items.

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

Result- The Forms Order System screen appears.

2 Type 2 in the **Selection** field and press ENTER.

Result- The Enter an Order screen appears.

3 Refer to the Field Descriptions and type the appropriate information into the applicable fields. Press ENTER to verify that you have filled in all the required information.

Note- If you know the form number, enter it and the quantity, then skip to Step 9. Otherwise, leave the **Form No** and **Qty** fields blank and proceed to Step 4.

4 Press PF4/16.

Result- The Forms List Window appears.

5 Press PF11/23 until the desired form is displayed.

Note- If you know the form you want, you can scroll directly to it by:

- Entering the form number or the beginning alphanumeric characters of the form in the **Starting Form No** field
- Entering the beginning characters of the description in the **Starting Description** field.

6 Position your cursor in the **Qty** field to the left of the form number and type the desired quantity, then press ENTER.

Result- The **Qty** field is cleared and the order is stored on the Enter an Order screen.

7 *Optional.* Repeat steps 5 and 6 until you have ordered all the forms you need, up to the maximum of thirty items.

8 Press PF5/17.

Result- The Enter an Order screen is re-displayed, showing each item you ordered on the Forms List Window. The **Total Cost** and **Price** fields are automatically calculated.

9 *Optional.* To change the quantity of a line item, place your cursor in the individual **Qty** field for that item and erase the displayed value, type the new value, then press ENTER. The **Total Cost** and **Price** fields are automatically adjusted.

10 *Optional.* To delete an item, position your cursor in the **Del** field to the right of the item, type D, then press ENTER.

11 Press PF1/13.

Result- The order is transmitted and the message'Your order has been placed. Thank you. Total price is *$nn*' appears. A Forms Order Confirmation Ticket containing the system-assigned order number is printed on your designated PTS printer.

Viewing Recent Orders

Use the following procedure to view the orders you have placed during the past sixty days.

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

   Result- The Forms Order System screen appears.
2. Type 1 in the **Selection** field and press ENTER.

   Result- The Inquire Into- Cancel Recent Orders screen appears.
3. Type S to the left of the desired item and press ENTER.

   Result- The Inquire Into Recent Orders screen appears.

List of Screens:

Enter an Order Screen

The Enter an Order screen appears when you select option 2 on the Forms Order System screen and allows you to place an order for up to thirty forms at a time.

Sample Screen

```
 T$VV                THE DEPOSITORY TRUST COMPANY                    MM/DD/CCYY
 00002199-99                ENTER AN ORDER                           HH:MM:SS

ENTITY  :  00002199  NAME: TEST                  CONTACT:
ADDR :                                             PHONE:
                                         DELIV METHOD (S=SHIP GROUND,P=PICK-UP
                                         N= NEXT DAY, 2= 2 DAY, 3= 3 DAY):
CITY :                        ST-PR:     ZIP:                        CNTRY:
TOTAL COST :

FORM NO   QTY  DESCRIPTION                         QTY PER UNIT  PRICE    DEL





ENTER  : TO VERIFY     PF4:16  : TO VIEW FORMS LIST    PF10:22 : FIRST PAGE
PF1:13 : TO TRANSMIT   PF11:23 : SCROLL FORWARDS
```

Field Descriptions

This field	Allows you to
Entity	View your Participant number.
Name	View your Participant name.

This field	Allows you to
Contact	Enter the name of the person to contact regarding this order.
Addr	Enter the street address to which you want the order delivered. *Note* -This field and the other fields associated with the address are *optional* if you specify pickup as the delivery method.
Phone	Enter the contact's phone number.
Deliv Method	Specify the delivery method: • S: Ship via ground mail • P: Pick up at 55 Water Street • N: Ship via next day air service • 2: Ship via second day air service • 3: Ship via third day air service.
City	Enter the name of the city for delivery.
St-Pr	Enter the name of the state or province for delivery.
Zip	Enter the ZIP code for delivery.
Cntry	Enter the country for delivery, if outside the U. S.
Total Cost	View the total cost of the order. This field is recalculated each time you add or delete a form.
Form No	Enter the desired form number. *Optional*. If you do not know the form number, you can leave this blank and select a form from the Forms List window.
Qty	Enter the desired quantity. *Optional*. If you do not specify a quantity on this screen, you can specify it on the Forms List window.
Description	View a brief description of each form ordered. *Note* -This field and the following two fields are automatically filled when you enter a **Form No** and **Qty** or select forms on the Forms List window.
Qty Per Unit	View the number of forms per box or package for each form ordered.
Price	View the price of each form ordered, based on the quantity specified. This field is recalculated when you change the **Qty**.
Del	Delete a form from the order. Type D in this field and press ENTER.

Function Keys

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

This key	Allows you to
PF1/13	Transmit your order.
PF4/16	View the Forms List window and select the forms you want to order.

Forms List Window

The Forms List window pops up and overlays the Enter an Order screen when you press PF4/16, and allows you to select the desired forms and specify the quantity you want of each. You can select up to thirty items per order.

Sample Screen

```
 T$VV                 THE DEPOSITORY TRUST COMPANY                    MM/DD/CCYY
 00002199-99                ENTER AN ORDER                            HH:MM:SS

ENTITY  :  00002199  NAME: TEST                  CONTACT: JOHN DAVIS
ADDR : 123 MAIN STREET                             PHONE: 212-555-1234
                                          DELIV METHOD (S=SHIP GROUND,P=PICK-UP
                                          N= NEXT DAY, 2= 2 DAY, 3= 3 DAY):  N
CITY : NEW YORK              ST-PR: NY  ZIP: 10011                 CNTRY:
TOTAL COST :
******************************************************************************
*        STARTING FORM NO :                STARTING DESCRIPTION :            *
* QTY  FORM NO   DESCRIPTION                          QTY PER UNIT    PRICE   *
*      CASH 147  NSCC TIFS DELIVERY ENVELOPE          00500  BOX      50.00  *
*      CASH 150  NSCC CUST ACCT TRSF CASH MARGIN INS  00200  PKG      22.00  *
*      CASH 151  NSCC CUST RETIRE PLAN SEC ACCT MIAM  00100  PKG      11.00  *
*      CASH 47   NSCC DIVIDEND SETT SVC ENVELOPE      00200  BOX      23.00  *
*      CASH 50   NSCC INTER CITY SETT ENVELOPE        00500  BOX      74.00  *
*      CASH 53   NSCC SETTLEMENT ENVELOPE             00200  BOX      31.00  *
*      CASH 57   NSCC INTER CITY CREDIT TICKET        00200  PKG       9.00  *
******************************************************************************
ENTER: TO ACCEPT DATA    PF5:17: TO RETURN      PF11:23: SCROLL FORWARD
```

Field Descriptions

This field	Displays
Starting Form No	An entry field that allows you to scroll directly to the desired form when you know the form number. Enter the numeric portion of the form or the beginning alphanumeric characters.
Starting Description	An entry field that allows you to scroll directly to the desired form when you know the form's description. Enter the beginning alphanumeric characters.
Qty	An entry field that allows you to specify the desired number of boxes or packages of the form.
Form No	The form number for each line item.
Description	The description for each line item.
Qty Per Unit	The number of forms per box or package for each line item.
Price	The price per box or package for each line item.

Function Keys

In addition to the standard function keys described in *Using the Standard Function Keys*, you can press PF5/17 on the Forms List window to return to the Enter an Order screen.

Forms Order System Screen

The Forms Order System screen allows you to select the desired option to place or cancel form orders or view recent orders.

Sample Screen

```
T$VV                THE DEPOSITORY TRUST COMPANY                MM/DD/CCYY
00002199-99              FORMS ORDER SYSTEM                     HH:MM:SS

              1 ==> INQUIRE INTO RECENT ORDERS
              2 ==> ENTER AN ORDER
              3 ==> UPDATE PERIODIC REQUESTS





       SELECT FROM HIGHLIGHTED CHOICES AND HIT ENTER
```

Field Descriptions

The only entry field on the Forms Order System screen is the **Select** field, which allows you to enter the option number from the menu.

Note- Option 3 is currently unavailable.

Inquire Into- Cancel Recent Orders Screen

The Inquire Into- Cancel Recent Orders screen appears when you select option 1 on the Forms Order System screen and displays a list of the orders you have placed during the past sixty days. This screen allows you to cancel an entire order or select an order for detail viewing.

Sample Screen

```
T$VV                THE DEPOSITORY TRUST COMPANY                MM/DD/CCYY
00002199-99      INQUIRE INTO - CANCEL RECENT ORDERS            HH:MM:SS

ENTITY NUMBER :  00002199                     NAME :  TEST

S  ORDER NUMBER            ORDER DATE   DELIV MTHD   STAT   DATE COMPLETED
   00000161011121321 31    04/12/1999   PICK-UP      COMP   04/13/1999
```

```
     0000016101112133122     04/12/1999   PICK-UP      COMP   04/13/1999
     0000016101119145916     04/19/1999   PICK-UP      COMP   04/20/1999
     0000016101120160220     04/20/1999   PICK-UP      COMP   04/21/1999
     0000016101124161031     04/24/1999   PICK-UP      COMP   04/25/1999
     0000016101125161716     04/25/1999   PICK-UP      COMP   04/26/1999
     0000016101126160143     04/26/1999   PICK-UP      COMP   04/28/1999
     0000016101203090526     04/03/1999   PICK-UP      COMP   04/04/1999
     0000016101210111153     04/10/1999   PICK-UP      COMP   04/12/1999
     0000016101211160934     04/11/1999   PICK-UP      COMP   04/12/1999
     0000016101212160953     05/02/1999   PICK-UP      COMP   05/05/1999
     0000016101231093731     05/10/1999   PICK-UP      COMP   05/14/1999

ENTER  : TO SELECT     PF11:23 : SCROLL FORWARDS   PF10:22 : SCROLL BACKWARDS
CLEAR  : REFRESH ORDERS LIST
MAKE SELECTION AND HIT ENTER
```

Field Descriptions

This field	Displays
Entity Number	Your Participant number.
Name	Your Participant name.
Order Number	The number that was assigned to the order when it was placed. This number appears on the Forms Order Confirmation Ticket.
Order Date	The date the order was placed.
Deliv Mthd	The delivery method that was specified for the order.
Stat	The current status of the order: • PART: the order is partially filled • ACTV: the order is active, not yet filled • COMP: the order is completely filled • PCAN: the order was cancelled by you • DCAN: the order was cancelled by DTC.
Date Completed	The date the order was completely filled or cancelled.

Inquire Into Recent Orders Screen

The Inquire Into Recent Orders screen appears when you select an order on the Inquire Into-Cancel Recent Orders screen. This screen displays the details of the selected order.

Sample Screen

```
 T$VV                THE DEPOSITORY TRUST COMPANY                MM/DD/CCYY
 00002199-99          INQUIRE INTO RECENT ORDERS                 HH:MM:SS

ENTITY :  00002199  NAME: TEST                   CONTACT: JOHN DAVIS
ADDR: 123 MAIN STREET                              PHONE: 2015550990
                                                 ORDER NO: 0000016101112133122
```

```
                                                SIGNON ID :  00002199-2W
CITY: JERSEY CITY          ST-PR: NJ  ZIP:  07302                CNTRY: USA

FORM NO   QTY   QTY    DESCRIPTION                          STAT    DATE
          ORD   FILL                                               COMPLETED
CASH 62     3     3    NSCC DIVIDEND SETT SERV CREDIT LIST  COMP    11/13/1998




PF11:23: SCROLL FORWARDS   PF10:22 : SCROLL BACKWARDS    PF6:18 : RETURN
```

Field Descriptions

This field	Displays
Entity	Your Participant number.
Name	Your Participant name.
Contact	The name specified as the contact when the order was placed.
Addr	The address specified for delivery of the order.
Phone	The contact's phone number.
Order number	The number that was assigned to the order when it was placed. This number appears on the Forms Order Confirmation Ticket.
Signon ID	The contact's PTS sign on ID.
City, St-Pr, Zip, and Cntry	The contact's address. *Note* -These fields are filled in only if the specified delivery method involves delivery by mail.
Form No	The form number for each line item.
Qty Ord	The quantity order for each line item.
Qty Fill	The quantity filled for the order.
Description	The description of the form for each line item.
Stat	The current status of the line item: • PART: the order is partially filled • ACTV: the order is active, not yet filled • COMP: the order is completely filled • PCAN: the order was cancelled by you • DCAN: the order was cancelled by DTC.
Date Completed	The date that the line item was filled or cancelled.

Function Keys

In addition to the standard function keys described in Using the Standard Function Keys, you can press PF6/18 on the Inquire Into Recent Orders screen to return to the Inquire Into- Cancel Recent Orders screen.

Messages

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

Message Text	Possible Cause	Suggested Resolution
ALREADY AT THE BEGINNING OF THE ORDER LIST	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.
ARE YOU SURE YOU WANT TO CANCEL THE ENTIRE ORDER? HIT PF1 TO CONFIRM OR CLEAR TO NEGATE THE CANCELLATION	A line item was selected for cancelling on the Inquire Into- Cancel Recent Orders screen.	Press PF1/13 to confirm the cancel action or press CLEAR to abort.
CAN ONLY CANCEL ORDERS PLACED TODAY	An attempt was made to cancel an order that was placed on a previous day.	Orders from previous days cannot be cancelled. Select an order that was placed today and still has a status of ACTV.
CANNOT CANCEL AN ORDER IF A TICKET HAS ALREADY PRINTED IN THE FORMS AREA	An attempt was made to cancel a form that is already being printed by the Forms area.	Orders that have already reached the forms area for processing cannot be cancelled. Select an order with a status of ACTV.
CANNOT CANCEL AN ORDER THAT IS COMPLETED	An attempt was made to cancel an order that has been completed.	Completed orders cannot be cancelled. Select an order with a status of ACTV.
CANNOT CANCEL ORDER DUE TO ORDER STATUS	An attempt was made to cancel an inactive order.	Inactive orders cannot be cancelled. Select an order with a status of ACTV.
ENTER SELECTION	No selection was entered on the Forms Order System screen.	Enter 1 or 2 (option 3 is not yet available).
FORM "XXXX"> ALLOWABLE QTY: "XXXX" ORDERED QTY: "XXXX"	A quantity was entered that is greater than the allowable amount for the selected form.	Enter a quantity equal to or less than the allowable amount for the form (as stated in the message).
FUNCTION QUIESCED USE ENTER KEY TO EXIT	The FORM function is not available at this time.	Try the function at a later time.
INVALID KEY PRESSED	The key pressed is not valid for the screen or function being used.	Press one of the valid keys listed at the bottom of the screen.
INVALID KEY- PRESS PF1/13 TO CONFIRM ORDER CANCELLATION	An invalid key was pressed in response to the order confirmation message.	Press PF1/13 to confirm the order.
INVALID SELECTION	An invalid selection was made on the Forms Order System screen.	Enter 1 or 2 (option 3 is not yet available).
INVALID SELECTION	An invalid character was	Enter C to cancel the order or

Message Text	Possible Cause	Suggested Resolution
INDICATOR- VALID VALUES ARE "C" OR "S"	entered to the left of a line item on the Inquire Into- Cancel Recent Orders screen.	S to view order details.
MAKE SELECTION AND HIT ENTER	No order was selected on the Inquire Into- Cancel Recent Orders screen.	Type a C or S to the left of the desired order and press ENTER.
NO MORE RECORDS TO DISPLAY	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.
NO ORDERS TO DISPLAY	There are no orders to display for this inquiry.	Select another order and press ENTER.
OPTION IS NOT CURRENTLY AVAILABLE	An unavailable option (3) was selected.	Enter 1 or 2 (option 3 is not yet available).
PAST CUTOFF TIME- PRESS ENTER KEY TO EXIT	An attempt was made to access the FORM function past the cutoff time.	See *When to Use* for information about when to use the FORM function.
PLEASE CORRECT ERRORS	There is invalid data or missing data. The error occurred at the location of the cursor.	Enter the required data and try again.
PLEASE USE AVAILABLE LINES FOR ENTERING DATA	An attempt was made to scroll forward on the Enter an Order screen, but the end of the list of chosen forms has been reached.	Access the Forms List window and select more forms for this order, or transmit the order if complete.
SORRY! WHILE YOU WERE COMPLETING THIS ORDER THE STATUS OF THE FOLLOWING FORM HAS BEEN CHANGED: "XXXX" (FORM-ID)	A form was selected that is not available for an order.	Delete the entry for that form number.
YOU HAVE EXCEEDED 30 FORMS MAXIMUM	More than 30 items were ordered.	Delete items until only 30 remain for the current order.