



DTCC

User Guide

Security Position Reports

Table of Contents

<i>SPR Help</i>	3
Welcome to SPR	3
Available Reports	5
Dashboard Reports	6
<i>Issues</i>	7
Adding and Requesting Access to Issues	7
Adding and Requesting Access to Issues from the Dashboard	9
<i>Authorizations</i>	10
Authorizing and Reauthorizing Agents	10
Authorizing and Reauthorizing Agents from the Dashboard	12
<i>Search Order History</i>	14
Searching Order and Subscription History	14
<i>Reports</i>	16
Ordering Special Reports and Annual Subscriptions	16
Viewing Subscriptions	18
Viewing Special and Record Date Reports	21
Canceling Requests for Special Reports	23
Renewing Subscriptions	24
Transferring Subscriptions	26
<i>Other Reports</i>	28
Viewing Omnibus PROXY Reports	28
Viewing Meeting and Consent Reports	30

SPR Help

Welcome to SPR

DTC's Security Position Reports (SPR) is a web service that enables issuers, trustees, and authorized third-party agents to see the position holdings of DTC participants in the issuer's security as of a specified date.

To use SPR, you must first set up your contact and payment profile information via our ePayments (EPY) application, the standard method of payment for this service. You are able to access and set up an EPY profile from the DTCC web portal or via the link in your SPR application.

See the FAQ below for more information regarding EPY and highlights of this new release.

FAQ

How do I pay for charges incurred via the SPR Web service?

Once your registration has been approved and you are provisioned as a Coordinator ([link](#)), you will need to update your payment profile with a valid credit card via the ePayments (EPY) application. Please make sure to link this card to the SPR service before submitting.

Note: For record retention purposes, you cannot delete credit card information already on file in EPY.

How do I access ePay from the SPR Web service?

DTC has designated ePayment as the standard method of payment for this service. A valid payment profile is required to order Security Position Reports, to renew subscriptions, or to (re-)authorize third parties to undertake work on your behalf.

1. In the SPR application, click **EPY** on the menu bar. You will be redirected from SPR to the Contact Information page for ePayments.
2. When the contact information is correct, click **Confirm** to validate your EPY profile.

Note for issuers: If your payment profile is invalid, it must be updated before you can authorize agents.

How do I set up my ePay profile?

Set up your payment profile in three steps:

1. **Record** your contact information.
2. **Enter** your credit card payment information.
Note: You may also pay by Settlement if you have made a prior arrangement to do so.
3. **Link** the payment to SPR by selecting SPR under Eligible Services. Then, click "**Complete Set Up & Exit.**"

If you have questions regarding ePayment, please call our Customer Help Center at 888-382-2721 (select option 6, then option 2 for Billing).

What's in this release of SPR?

Through your feedback, we realized that we needed to deliver a more user-friendly and intuitive product. In response, we developed a new SPR user interface. While the process of ordering and receiving reports isn't changing, we've made improvements to simplify working with, organizing, and acting on other functionalities.

Whether you play the role of an issuer, a trustee, or an agent, a new SPR Dashboard [allows](#) you to work with greater ease and speed. The Dashboard view is customized to your role as an Issuer, Trustee, or Agent.

- Benefits of the new Dashboard Homepage include:
 - The ability to add multiple issues at once.
 - The ability for Issuers to authorize and re-authorize Agents in bulk.
 - On-schedule delivery of reports right to your dashboard.
- Full screens contain new sort and filter capabilities:
 - Issuers and Trustees can better manage long lists and target certain items.
 - Agents can sort pending requests and see when requests are authorized.

These new filters and sort options upgrade our traditional screens. The resulting faster page-through makes long lists of issues easier to organize and act on.

How can I research billing questions and account activity after I've registered for SPR?

Use the Historical Activity Search. This allows you to view all activity for your account over the last 180 days.

Available Reports

Available SPR Reports



SPR reports inform you of the position holdings of DTC participants in the issuer's security as of a specified time period. Reports are generated and made available in the SPR application in the SPR Browser format or in a downloadable spreadsheet. An option to receive reports outside of the application via computer-to-computer facility (CCF) transmission is also available. Contact spr@dtcc.com for this option.

Reports may be requested for a specific issue identified by a nine-digit CUSIP or ticker symbol.

Annual Subscriptions

These reports may be subscribed to annually.

- Daily
- Weekly
- Monthly
- Dividend Record Date

Special Reports

These reports may be ordered for a shorter duration or even for one-time only.

- One Time
- Daily
- Weekly
- Monthly
- Quarterly
- Commercial Paper

Other Reports

- Meeting/Consent List – a list of corporate events and the associated record date and consent dates.
- Omnibus Proxy – assigns voting rights for securities held in DTC's name to the participants who hold record date positions. Includes detailed share and contact information for each participant.

Dashboard Reports

The right side of the dashboard is for retrieving reports.

The screenshot shows the DTCC Security Position Reports dashboard. A yellow callout bubble at the top right says "Your reports are located here." Below this, the dashboard is divided into several sections:

- Add Issue:** A section for adding security to an eligible issue list.
- Agent Authorizations:** A table with columns for Agent, CU/SIP, Status, and Agents' Entitlements (Special, Subs, RID). It lists Test Agent 1, 2, and 3, all with "Unauthorized" status.
- Agent Re-authorization:** A table with columns for Agent, CU/SIP, Status, and Agents' Entitlements. It lists Test Agent 4, 5, 6, and 7, all with "Pending Re-Validation" status.
- Current Subscriptions:** A section for managing subscriptions, with a callout: "Current Subscriptions. Click the link to go to the full screen if more than five items are ready." Below this is a table of completed reports.

CU/SIP	Frequency	Start Date	End Date	Report	Spreadsheet	Browser
459200101	Daily	08/02/2015	08/08/2015	N/A	View	View
459200101	Monthly	08/19/2015	08/08/2015	N/A	View	View
459200101	One Time	08/20/2015	08/20/2015	[]	View	View
459200101	Quarterly	02/11/2015	08/08/2015	N/A	View	View
459200101	Weekly	08/04/2015	08/04/2015	N/A	View	View
- Completed Reports:** A section for completed reports, with a callout: "Completed Reports." Below this is a table of omnibus proxy reports.
- Omnibus Proxy:** A section for omnibus proxy reports, with a callout: "See your Omnibus Proxy the morning after Record Date." Below this is a section for pending requests.
- Pending Requests:** A section for pending requests, with a callout: "See any outstanding requests for reports." Below this is a section for important user information.

If you have more than five items on an area of the dashboard, we provide an item count you may click to go to the full screen.

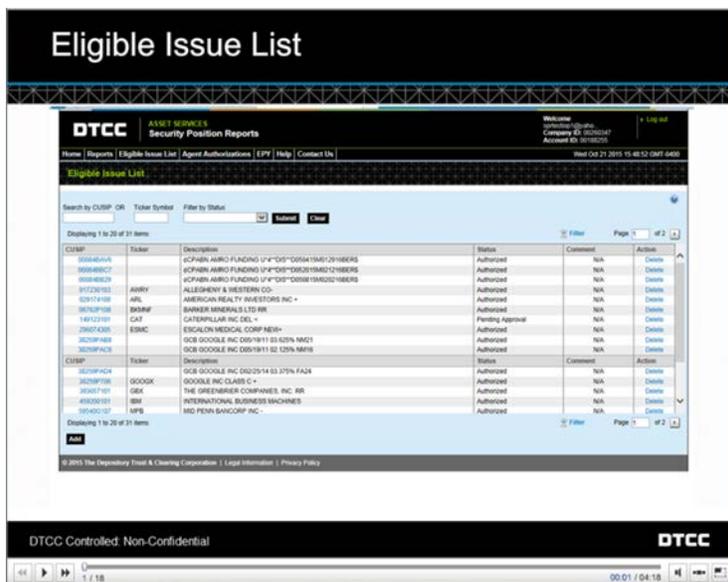
- In the [Current Subscriptions area](#), we show you the details of your subscription and you are able to retrieve reports in whatever medium you ordered. You can also renew a subscription from here.
- For [special requests](#), SPR stores the “completed” reports here when they’re ready. Click to view the report in spreadsheet or browser formats.
- Other types of reports presented on the new dashboard include your [Omnibus Proxy](#). This report will be available on the dashboard for issuers to retrieve the morning after record date. Issuers and Trustees only.
- Finally the [pending requests](#) area has been added to the dashboard in order to give Issuers a picture of outstanding report requests. Users can access this area to cancel future date special requests.

Depending on whether you are an Issuer, Trustee, or Agent the Dashboard may look different. For example only Issuers and Trustees have the Omnibus Proxy report area.

Issues

Adding and Requesting Access to Issues

Please note: This is the transcript of an animated Help topic. To play the topic, refer to the topic of the same name in the online Help.



Issuers and trustees can review and manage their eligible issues from the Eligible Issues List. Likewise, Agents can review issues and request entitlements from this same page.

To access the page, click Eligible Issue List from the menu bar.

To add or request access to an issue, click the Add button.

Indicate how you want to add the issue by clicking either CUSIP or Ticker. We will add a CUSIP.

If you are only adding one security, type the nine-digit CUSIP and click Submit.

To enter multiple CUSIPs, click the More button to add more entry fields. The screen looks like this. You can enter up to ten CUSIPs.

This feature is available using CUSIPS only, not Tickers.

Now let's go back to the main story and submit the CUSIP. Click Submit.

The CUSIPs you are adding or requesting display with a description of the issue name.

Click Confirm to verify these are the issues you wish to add or request.

If you are already set up on DTC's Masterfile for the security, the issue will automatically be authorized.

If you are not setup on DTC's Masterfile for this security, the issue will be put into pending status until further documentation is received. Click the Details link for more information. Let's return to our main story.

Our issue was successfully added.

If you are an Issuer or Trustee, this security is now set up in SPR. If you are an Agent, the issuer will receive this request and upon approval, the status of your request will change from Pending Approval to Approved. You can proceed to order subscriptions and reports.

To confirm the request, click Close.

Here is the issue we added.

To manage the list by status, choose a status such as Authorized and click Submit.

Now only your Authorized issues are shown. Here are some other ways you can use the filter to manage your eligible issues.

When issuers filter by the status "Rejected," they can isolate eligible issues that they were denied access to and either submit documentation to DTC or delete them. Keep in mind that when an Issuer deletes a security that they have granted an agent authorization to, the agent will lose all access to that issue. So you would only want to do this for issues that no longer are needed.

Similarly, by using the status filters, Agents are able to check the status of their requests. They can look up issues that are pending approval and reach out to the issuer.

If you do not know the status of an eligible issue, you can sort the list by clicking any of the column headings. Here the black triangle indicates that we have sorted the column and CUSIPS are now listed in descending order.

To return to ascending order, click the column heading again.

To scroll through the full list, click the Page buttons.

Or simply enter the CUSIP in the Search field to jump directly to that CUSIP.

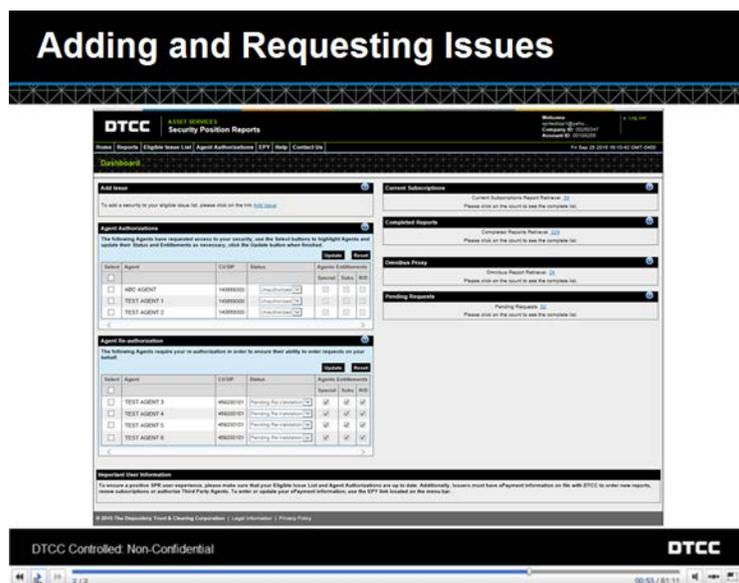
To restore the list to the original view, click the Clear button. Now the list appears as it did when we first opened the page.

Certain fields within the list contain blue links that you can click to take further actions. For example, if you click on a CUSIP, a page opens allowing you to order a new report or subscription for that CUSIP.

Finally, if the issue were rejected by DTC staff, the reason appears under Comments. Click View to read the full text.

Adding and Requesting Access to Issues from the Dashboard

Please note: This is the transcript of an animated Help topic. To play the topic, refer to the topic of the same name in the online Help.



Issuers and trustees can set up their eligible issues in the SPR Web service by adding them through the SPR Dashboard. Likewise, Agents can request entitlements to an issue from this same area.

To add or request access to an issue, click the Add Issue link. Indicate how you want to add the issue by clicking either CUSIP or Ticker. We will add a CUSIP.

If you are only adding one security, type the nine-digit CUSIP and click Submit.

To enter multiple CUSIPs, click the More button to add more entry fields. The screen looks like this. You can enter up to ten CUSIPs.

This feature is available using CUSIPS only, not Tickers. Now let's go back to the main story and submit the CUSIP. Click Submit. The CUSIPs you are adding or requesting display with a description of the issue name. Click Confirm to verify these are the issues you wish to add or request.

If you are already set up on DTC's Masterfile for the security, the issue will automatically be authorized. If you are not setup on DTC's Masterfile for this security, the issue will be put into pending status until further documentation is received. Click the Details link for more information.

Let's return to our main story. Our issue was successfully added.

If you are an *Issuer* or *Trustee*, this security is now set up in SPR. If you are an *Agent*, the issuer will receive this request and upon approval, the status of your request will change from Pending Approval to Approved. You can proceed to order subscriptions and reports.

To confirm the request, click Close.

To check on the status of the issue or to delete the request, go to the Eligible Issue List which is accessible from the menu bar.

You can also add, request and delete issues from this page. Use the search, filter and Page through button to look up and check on your request.

Authorizations

Authorizing and Reauthorizing Agents

Please note: This is the transcript of an animated Help topic. To play the topic, refer to the topic of the same name in the online Help.

Agent Authorizations List

Select	Agent	Type	CUSIP	Ticker	Description	Status	Agents Entitlements	Record Date	Comment
<input type="checkbox"/>	Google Inc	ISSUER	16213P01	GOOGL	GOOGLE INC RR	Authorized	<input type="checkbox"/> Special <input checked="" type="checkbox"/> Subscriptions <input checked="" type="checkbox"/> Record Date		View
<input type="checkbox"/>	Test Agent 1	Third Party	16213P01	GOOGL	GOOGLE INC RR	Pending Re-authorization	<input checked="" type="checkbox"/> Special <input checked="" type="checkbox"/> Subscriptions <input checked="" type="checkbox"/> Record Date		NAK
<input type="checkbox"/>	Test Agent 2	Third Party	16213P01	GOOGL	GOOGLE INC RR	Pending Re-authorization	<input checked="" type="checkbox"/> Special <input checked="" type="checkbox"/> Subscriptions <input checked="" type="checkbox"/> Record Date		NAK
<input type="checkbox"/>	Test Agent 3	Third Party	16213P01	GOOGL	GOOGLE INC RR	Pending Re-authorization	<input checked="" type="checkbox"/> Special <input checked="" type="checkbox"/> Subscriptions <input checked="" type="checkbox"/> Record Date		View
<input type="checkbox"/>	Test Agent 4	Third Party	16213P01	GOOGL	GOOGLE INC RR	Pending Re-authorization	<input checked="" type="checkbox"/> Special <input checked="" type="checkbox"/> Subscriptions <input checked="" type="checkbox"/> Record Date		View
<input type="checkbox"/>	Test Agent 5	Third Party	16213P01	GOOGL	GOOGLE INC RR	Pending Re-authorization	<input checked="" type="checkbox"/> Special <input checked="" type="checkbox"/> Subscriptions <input checked="" type="checkbox"/> Record Date		NAK
<input type="checkbox"/>	ABC Agent	Third Party	16213P01	GOOGL	GOOGLE INC RR	Authorized	<input type="checkbox"/> Special <input type="checkbox"/> Subscriptions <input type="checkbox"/> Record Date		NAK
<input type="checkbox"/>	EFG Agent	Third Party	16213P01	GOOGL	GOOGLE INC RR	Authorized	<input type="checkbox"/> Special <input type="checkbox"/> Subscriptions <input type="checkbox"/> Record Date		NAK



Issuers can authorize and reauthorize agent requests for entitlements to issues on the Agent Authorizations List. Issuers can see both new and older requests on this list. The requests will not expire and will remain in the list, unless rejected, so you can reference the agents with access to your issue.

Please note that issuers must be provisioned as SPR Coordinators to authorize third parties.

During the annual reauthorization period which occurs in the fall, the agents who are up for reauthorization appear here as well as on the Dashboard.

Let's say we want to authorize the ABC agent who has requested entitlements to order reports on CUSIP 143658300 which is a Google issue. We also see the EFG Agent who is not our agent, so we will reject that request.

Select the agent we will authorize by clicking the empty selection box next to ABC Agent.

Then choose Authorized from the Status drop-down.

Next select the entitlements you wish the ABC Agent to have:

We'll authorize them for all three:

- Annual Subscriptions
- One time special reports, and
- Record-date meeting reports

Right underneath this is EFG Agent's request. Because we do not want this agent to have access to the issue, we select this agent and choose "Rejected." When you submit the rejection, this request will be deleted and no longer appear in the list. When you are finished click Update.

Confirm the authorization of ABC agent and the rejection of EFG agent.

The green message at the top lets you know that you were successful. The EFG agent request we rejected no longer appears in the list.

The ABC agent appears in the list with an Authorized status. This agent will now be able to subscribe to and order position reports on this issue.

Please note that Issuers not provisioned for the Coordinator role will not be able to authorize agents; however they will be able to see the list.

Depending on the report type, Trustees can update the entitlements for Authorized agents. However, Trustees are still required to contact DTC staff in order to authorize agents.

Now let's talk about reauthorization. Issuers have an annual requirement to reauthorize agents during a three month period that occurs in the fall.

A convenient feature on this list is the ability to process multiple agent reauthorizations at once. Let's use this technique to reauthorize our agents in bulk.

First, select the agents you wish to reauthorize by grouping all the agents requiring reauthorization together.

In the upper area of the page, select "Pending Revalidation" from the Filter by Status field.

Next, select Third Party from the Filter by Type. Then, click Submit.

The list is narrowed to show only those requests that are pending reauthorization.

To select them all for bulk processing, click the selection box at the top of the list under the word "Select."

If there are any exceptions in the list, you can unselect those individual agents and they will not be reauthorized. Let's assume we want to reauthorize all five agents.

In the Status column select "Authorized."

The agent's entitlements from the previous year are displayed for your convenience. We'll leave the entitlements the same as last year but you could change them by selecting the entitlements next to individual agents.

We are ready now to click Update and reauthorize the agents. A window displays showing each agent and the action to be taken. If you wish to proceed, click Confirm.

The green banner shows that you have successfully reauthorized all the selected agents. They can continue to subscribe to and order position reports on this issue.

This page also contains search, filter and page-through features that help you to sort the list and find agents. And here are the five agents we reauthorized.

You can sort the data in any of the column headings by clicking them. To return to the original order, click the column heading again.

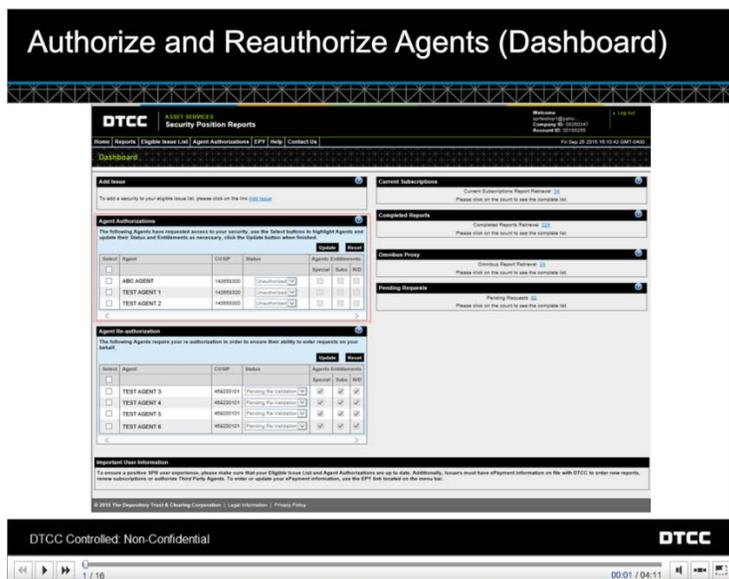
To scroll through the full list, click the Page buttons. To restore the list to the original view, click the Clear button. Now the list appears as it did when we first opened the page.

Certain fields within the list contain blue links that you can click to take further actions. For example, if you click on a CUSIP, a page opens allowing you to order a new report or subscription for that CUSIP.

Finally, if DTC staff has added a comment, it appears under Comments. Click *View* to read the full text.

Authorizing and Reauthorizing Agents from the Dashboard

Please note: This is the transcript of an animated Help topic. To play the topic, refer to the topic of the same name in the online Help.



Issuers can authorize and reauthorize agent requests for entitlements to issues from the SPR Dashboard. In the Agent Authorization area, you can see agents who have requested access in the last thirty days. You can authorize these third parties to order annual subscriptions, special reports, and record date meeting reports.

You can also reauthorize agents from the dashboard. During the annual reauthorization period which occurs in the fall, those agents who are up for reauthorization appear here.

Let's say we want to authorize the ABC agent who has requested entitlements to order reports on CUSIP 143658300 which is a CARNIVAL CORPORATION common stock.

Select the agent by clicking the empty selection box next to ABC Agent.

Then choose Authorized from the Status drop-down. If you do not wish the Agent to have any access to this issue, you can select Rejected.

Next select the entitlements you wish the ABC Agent to have:

We'll authorize them for all three:

- Annual Subscriptions
- One time special reports, and
- Record-date meeting reports

When you are finished click Update.

Confirm the authorization. The green message at the top lets you know that you authorized the agent successfully.

Also note that the request from the ABC Agent no longer displays in the Dashboard because you have taken action on it.

To see the request, go to the Agent Authorizations page.

Here is the request showing Agent ABC's Authorized status. Agent ABC will now be able to subscribe to and order position reports on this issue.

Similarly, you can reauthorize agents from the dashboard during the annual reauthorization period.

If there are more than five requests, you will see a link which opens the Agent Authorization page. To learn more about managing agents from this page, see the Help topic Reauthorizing Agents.

The steps to reauthorize Agents are the same as those we just did to authorize agents. First, select the Agents you wish to reauthorize.

Let's work on all the agents currently showing. To select them All, click the Selection box at the top of the list under the word "Select."

Next, choose Authorized or Rejected next to each agent. We will authorize all but the last agent. The Agent's entitlements from the previous year are displayed for your convenience. We'll leave the entitlements the same as last year.

Here is how the agents appear after we make these selections. Notice that the Agent we rejected for reauthorization shows grayed out entitlements that cannot be selected. Rejecting an agent will disable the agent's access to all subscriptions and reports.

Click Update to reauthorize the agents. A window displays showing each agent and the action to be taken. If you wish to proceed, click Confirm.

The green banner shows that you have successfully reauthorized and rejected the agents. Notice that the Reauthorizations area is empty now that we took care of all the requests there.

To check on the status of these reauthorizations, go to the Agent Authorizations page which is accessible from the menu bar.

These agents are now reauthorized and they can subscribe to and order position reports on this issue. Use the search, filter and Page through button to find requests authorizations.

Search Order History

Searching Order and Subscription History

Issuers and Trustees can research the past six months of subscription and special request billing and activity. The historical activity search shows the cost, the user ID, and the report recipients associated with an order.

The screenshot shows the DTCC ASSET SERVICES Security Position Reports interface. The 'Historical Activity Search' section includes search filters for CUSIP, Ticker Symbol, Request Type (Subscription), and Frequency (Weekly). A callout explains that the page helps research billing on orders from the past six months. Another callout points to the 'Cost of Order' column in the table, stating 'See the cost of the request.' A third callout points to the 'View' links in the 'Recipient' column, stating 'Click View to see the report recipients.'

CUSIP	Request Type	Frequency	Status	Activity Date	Start Date	Renewal Date	Cost of Order	User Id	Recipient
222816100	Subscription	Weekly	Active	2015-01-30	2008-01-28	2016-01-28	\$1950	PXYW0001	View
222816100	Subscription	Weekly	Do not renew	2015-10-30	2008-01-28	2016-01-28	\$1950	PXYSUBR1	View

Locate Orders

This page contains search, filter, and page-through features.

The screenshot shows the same DTCC interface. Callouts explain search and filter features: 'Enter a CUSIP and/or select a filter then click Submit. To enter a new search, click Clear.' and 'Click Page through buttons when more than one page is displayed to go through the list.' A third callout points to the table headers, stating 'Sort any column by clicking on the column heading.'

CUSIP	Request Type	Frequency	Status	Activity Date	Start Date	Renewal Date	Cost of Order	User Id	Recipient
222816100	Subscription	Weekly	Active	2015-01-30	2008-01-28	2016-01-28	\$1950	PXYW0001	View
222816100	Subscription	Weekly	Do not renew	2015-10-30	2008-01-28	2016-01-28	\$1950	PXYSUBR1	View

Audit trail fields assist in researching orders.

- **Activity Date** – date the order was entered.
- **Cost of Order** – amount charged to your EPY profile for the order.
- **User ID** – the logon of the user who entered the order on the activity date.
- **Recipient** – the recipients of the report. Click View.

Reports

Ordering Special Reports and Annual Subscriptions

Please note: This is the transcript of an animated Help topic. To play the topic, refer to the topic of the same name in the online Help.

Enter New Request Page



Issuers, trustees, and agents can order security position reports, subscriptions and record date meetings from the Enter New Request page.

To order or subscribe to an issue, you must first be authorized for that issue. This can be done in the SPR system via the Eligible Issues List. Refer to the online Help in the Issues section to learn more.

We'll order a special report on a one-time basis and then set up a weekly annual subscription. First let's order a one-time special report for Cal-Maine Foods. We can enter the nine-digit CUSIP number directly in the CUSIP field or look it up.

To look up the issue, click the blue link labeled "Select from Eligible Issue List."

A smaller version of the Eligible Issue List opens. Using this list can help you to avoid typing errors and save time.

To see only the issues we are authorized for, select Authorized in the Filter by Status field and click Submit.

Select Cal-Maine Foods, then click Add.

The Cal-Maine Foods CUSIP is added.

Unlike an annual subscription, you may order a special report for a shorter duration or even for one time only. To place this type of order, in the Request Type field, select "Special Request."

From the Frequency field, select "One Time." This choice means you will receive the report once as of the date you select.

Note that other selections are possible for special reports.

In our case, we would like to enter a future date request for a single report on Cal-Main Foods. Click on the calendar next to either the Start or End Date and choose November 19th.

Note that the date you select must be a valid business day.

Special reports can be ordered two years into the past as well as five years into the future from the current date. To avoid order errors, if you select a date that is more than a year out from today's date you will be prompted to confirm that is correct.

Now we will choose how we wish to receive the report. There are two options. You may view the report in the SPR browser format. You may also receive a spreadsheet format that can be saved to your computer.

We'll choose Spreadsheet. Note that this option includes an additional twenty-five dollar charge.

To place the order, click Submit.

You have a chance to review your order. The associated costs, as well as details for the time of day you can expect the report to be generated are outlined here.

To place the final order, click Confirm. Our EPY profile will be charged on the Start Date of November 19th listed here.

You can see your order on the Pending Requests page.

When the report is completed, you can access it from the SPR Dashboard and the Completed Reports page located under Reports.

Here is our Cal-Main Food report! It's available for 30 days in the SPR system. You may want to consider saving a copy of the report to your computer if you anticipate needing it beyond the 30 days.

If you anticipate needing to receive a report for an extended period, it may make sense to consider an annual subscription. Subscriptions also come in a variety of frequencies ranging from daily to monthly. Let's order a weekly annual subscription. The steps to subscribe are the same as those for ordering a special report.

We select the CUSIP. Let's choose China Linen. Under Request Type, we choose "Subscription."

We would like to receive the report weekly, so under Frequency we select Weekly Annual Subscription. Other options for how often you receive subscriptions include daily, monthly, and as of dividend record dates. Our annual subscription automatically begins the day we place the order and ends a year later.

We will receive the first report Friday after close of business and weekly thereafter.

Old reports will be replaced by the newer ones in SPR.

We'd like to receive the weekly subscription in Browser format. So we click Browser as the delivery method. We submit the order.

And review the order carefully before placing it. When you are ready to put the order through, click Confirm. Our EPY profile is charged and the subscription is paid in full.

You can verify the subscription and change the delivery method on the Current Subscription List under Reports. For example, if we wanted to change from a browser format to a downloadable spreadsheet we could do this by clicking the View link in the Subscription Detail column.

For more information, see the Help topic on Viewing Subscriptions.

Once the subscription begins, you can view your reports on this page or the Dashboard.

Viewing Subscriptions

Current Subscription list

The Current Subscription List allows you to access the reports to which you have subscribed and manage these subscriptions by renewing and even transferring them to a different recipient. Because there may be multiple recipients on a subscription, Issuers and Trustees can also see all parties receiving a particular report.

Use the search and filters to narrow the list and find subscriptions.

Sort any column by clicking on the column heading.

Open your reports here. Once the subscription begins, you can view your reports on this page or the Dashboard.

CUSIP	Ticker	Description	Frequency	Start Date	Renewal Date	Received By	Status	Subs. Detail	Spreadsheet	Browser	Participant Contact
128030202	CALM	CAL-MAINE FOODS, INC.	Dividend	11/05/2015	11/05/2016	Agent ABC	N/A	View	N/A	View	View
128030202	CALM	CAL-MAINE FOODS, INC.	Monthly	11/05/2015	11/05/2016	Test Agent 1	Renew	View		N/A	View
128030202	CALM	CAL-MAINE FOODS, INC.	Weekly	11/05/2015	11/05/2016	Test Agent 2	Renew	View	N/A	N/A	N/A
459200101	IBM	INTERNATIONAL BUSINESS MACHINES	Daily	10/29/2015	10/29/2016	Test Agent 3	Active	View	N/A	N/A	N/A
459200101	IBM	INTERNATIONAL BUSINESS MACHINES	Monthly	10/26/2015	10/26/2016	Test Agent 4	Active	View		N/A	View
717081103	PFE	PFIZER INC COM	Dividend	01/20/2015	01/20/2016	Test Agent 5	N/A	View	N/A	N/A	N/A
717081103	PFE	PFIZER INC COM	Weekly	01/20/2015	01/20/2016	Test Agent 6	Active	View	N/A	N/A	N/A

Subscriptions may have multiple recipients, to review the full list or transfer subscriptions click the View link located in the Subs. Detail column.

© 2015 The Depository Trust & Clearing Corporation | Legal Information | Privacy Policy

Locate Subscriptions

This page also contains search, filter and page-through features.

The screenshot displays the DTCC Security Position Reports interface. At the top, there is a navigation bar with 'Home', 'Reports', 'Eligible Issue List', and 'Agent Author'. A 'Current Subscription List' section is highlighted. Below this, there are search and filter options. A callout bubble points to the search fields, stating: 'Enter a CUSIP or Ticker and click Submit.' Another callout bubble points to the filter dropdown, stating: 'Select a filter to narrow the list. Then click Submit. To remove the filter, click Clear.' A third callout bubble points to the page navigation, stating: 'Click Page through buttons when more than one page is displayed to go through the list.'

CUSIP	Ticker	Description	Frequency	Start Date	Renewal Date	Received By	Status	Subs. Detail	Spreadsheet	Browser	Participant Contact
128030202	CALM	CAL-MAINE FOODS, INC -	Dividend	11/05/2015	11/05/2016	ABC Agent	N/A	View	N/A	View	View
128030202	CALM	CAL-MAINE FOODS, INC -	Monthly	11/05/2015	11/05/2016	Test Agent 1	Renew	View		N/A	View
128030202	CALM	CAL-MAINE FOODS, INC -	Weekly	11/05/2015	11/05/2016	Test Agent 2	Renew	View	N/A	N/A	N/A
459200101	IBM	INTERNATIONAL BUSINESS MACHINES	Daily	10/29/2015	10/29/2016	Test Agent 3	Active	View	N/A	N/A	N/A
459200101	IBM	INTERNATIONAL BUSINESS MACHINES	Monthly	10/26/2015	10/26/2016	Test Agent 4	Active	View		N/A	View
717081103	PFE	PFIZER INC COM	Dividend	01/20/2015	01/20/2016	Test Agent 5	N/A	View	N/A	N/A	N/A
717081103	PFE	PFIZER INC COM	Weekly	01/20/2015	01/20/2016	Test Agent 6	Active	View	N/A	N/A	N/A

Use features such as search, filter and sort to do the following:

- Find subscriptions grouped by frequency or subscription status. For example you can view only weekly subscriptions or only those subscriptions that are pending renewal.
- Narrow the list to a single CUSIP or Ticker.
- Re-sort any of the column headings from ascending to descending order by clicking on them. Click again to return to original order.
- Click Page through buttons when more than one page is displayed to go through the full list.

Manage Subscriptions

Issuers can renew and transfer a subscription and see a participant contact list relating to a given report.

The screenshot shows the DTCC ASSET SERVICES Security Position Reports interface. At the top, there is a navigation bar with links for Home, Reports, Eligible Issue List, Agent Authorizations, EPY, Help, and Contact Us. The user is logged in as 'sprtesttop1@yahoo...' with Company ID: 00260347 and Account ID: 00188255. The page title is 'Current Subscription List'.

Below the navigation bar, there is a search area with fields for 'Search by CUSIP OR Ticker Symbol' and a 'Filter by Frequency' dropdown. A 'Clear' button is also present. The table below displays 7 items, showing columns for CUSIP, Ticker, Description, Frequency, Start Date, Renewal Date, Receiver, Status, Subs. Detail, Leadsheet, Browser, and Participant Contact.

CUSIP	Ticker	Description	Frequency	Start Date	Renewal Date	Receiver	Status	Subs. Detail	Leadsheet	Browser	Participant Contact
128030202	CALM	CAL-MAINE FOODS, INC -	Dividend	11/05/2015	11/05/2016	Agent ABC	N/A	View	N/A	View	View
128030202	CALM	CAL-MAINE FOODS, INC -	Monthly	11/05/2015	11/05/2016	Test Agent 1	Renew	View		N/A	View
128030202	CALM	CAL-MAINE FOODS, INC -	Weekly	11/05/2015	11/05/2016	Test Agent 2	Renew	View	N/A	N/A	N/A
459200101	IBM	INTERNATIONAL BUSINESS MACHINES	Daily	10/29/2015	10/29/2016	Test Agent 3	Active	View	N/A	N/A	N/A
459200101	IBM	INTERNATIONAL BUSINESS MACHINES	Monthly	10/26/2015	10/26/2016	Test Agent 4	Active	View		N/A	View
717081103	PFE	PFIZER INC COM	Dividend	01/20/2015	01/20/2016	Test Agent 5	N/A	View	N/A	N/A	N/A
717081103	PFE	PFIZER INC COM	Weekly	01/20/2015	01/20/2016	Test Agent 6	Active	View	N/A	N/A	N/A

Callouts in the image provide instructions: 'Click **Renew** to renew the subscription for another year.', 'Click **View** to transfer the subscription to another recipient or change the delivery method.', and 'Click **View** to see a contact list of participants for this report.'

To see all the recipients of a report, click the **View** link in the Subs. Detail column.

See also [Transferring a Subscription](#).

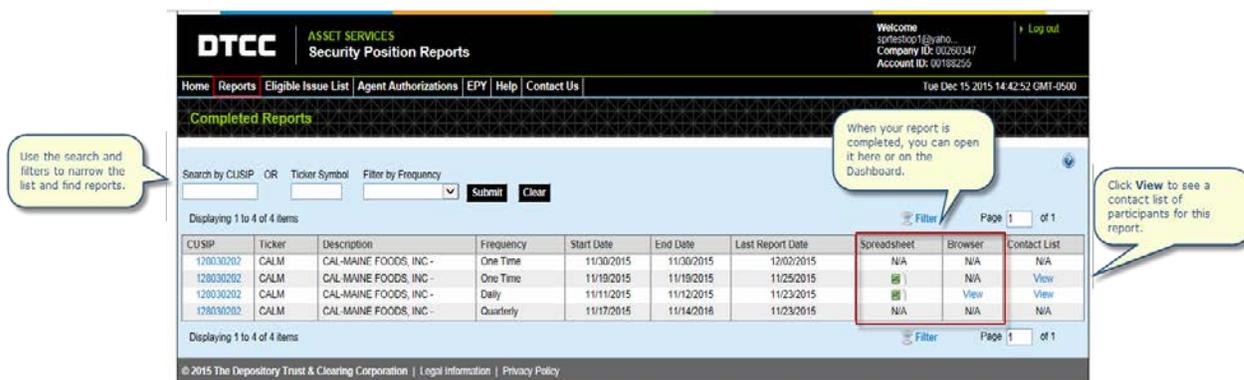
See also [Renewing a Subscription](#).

Viewing Special and Record Date Reports

Completed Reports

The Completed Reports page allows you to access the special request reports you have ordered. These reports are available for 30 days in the SPR system. Unlike an annual subscription, special requests are available as of a specific date (i.e. One Time) or timeframe (e.g. Monthly, Quarterly).

If you recently ordered a special request, the order details will appear on the Pending Requests List until the report is completed for you on the date(s) requested. Once a report is generated, it appears here on the Completed Reports. Special requests are available for 30 days in the SPR system.



Locate Completed Reports

This page also contains search, filter and page-through features.



Use features such as search, filter and sort to do the following:

- Find reports grouped by frequency. For example you can view reports generated once by selecting One Time and clicking **Submit**.
- Narrow the list to a single CUSIP or Ticker.
- Re-sort any of the column headings from ascending to descending order by clicking on them.

- Click again to return to original order. For example, to sort by Start Date, click Start Date.
- Click Page through buttons when more than one page is displayed to go through the full list.

To cancel a future-date report order, go the [Pending Requests page](#).

Canceling Requests for Special Reports

Pending Requests List

The Pending Requests page allows you to view special request orders. Special requests are available as of a specific date (i.e. One Time) or timeframe (e.g. Monthly, Quarterly).

If you recently ordered a special request, the order details appear in Pending Requests until the report is completed. To cancel a future-date One Time special request prior to the report start date, go to the pending requests page and click the Cancel link in the Action column. To view special requests, go to the Completed Reports page or view your reports from the Dashboard.

Use the search and filters to narrow the list and find reports.

Click a CUSIP link to see the delivery method for the report.

Future-date One Time special requests can be canceled prior to the request completion.

CUSIP	Ticker	Description	Frequency	Start Date	End Date	Next Date	Action
128030202	CALM	CAL-MAINE FOODS, INC -	Quarterly	11/17/2015	11/14/2016	02/17/2016	N/A
128030202	CALM	CAL-MAINE FOODS, INC -	Quarterly	11/05/2015	11/07/2016	02/05/2016	N/A
128030202	CALM	CAL-MAINE FOODS, INC -	Weekly	11/05/2015	12/31/2015	02/05/2016	N/A
253393102	DKS	DICK'S SPORTING GOODS RR	One Time	12/18/2015	12/18/2015		Cancel
253393102	DKS	DICK'S SPORTING GOODS RR	One Time	12/15/2015	12/15/2015		N/A
253393102	DKS	DICK'S SPORTING GOODS RR	One Time	12/02/2015	12/02/2015		N/A
253393102	DKS	DICK'S SPORTING GOODS RR	One Time	12/01/2015	12/01/2015		N/A
46115H4K3		CB INTESA SANPAOLO S P DO11/15/13 03.875% JJ18	One Time	12/18/2015	12/18/2015		Cancel

Locate Pending Requests

This page also contains search, filter and page-through features.

Enter a CUSIP or Ticker and click **Submit**.

Select a filter to narrow the list. Then click **Submit**. To remove the filter, click **Clear**.

Click Page through buttons when more than one page is displayed to go through the list.

CUSIP	Ticker	Descr	Frequency	Start Date	End Date	Next Date	Action
128030202	CALM	CAL-MAINE FOODS, INC -	Quarterly	11/17/2015	11/14/2016	02/17/2016	N/A
128030202	CALM	CAL-MAINE FOODS, INC -	Quarterly	11/05/2015	11/07/2016	02/05/2016	N/A
128030202	CALM	CAL-MAINE FOODS, INC -	Weekly	11/05/2015	12/31/2015	02/05/2016	N/A
46115H4D9		GCB144A INTESA SANPAOL D02/24/11 06.500% AF21	One Time	12/23/2015	12/23/2015		Cancel

Use features such as search, filter and sort to do the following:

- Find pending orders for special request reports grouped by frequency. For example you can view reports generated once by selecting One Time and clicking **Submit**.
- Narrow the list to a single CUSIP or Ticker.
- Re-sort any of the column headings from ascending to descending order by clicking on them. Click again to return to original order. For example, to sort by Start Date, click Start Date.
- Click Page through buttons when more than one page is displayed to go through the full list.

Renewing Subscriptions

Subscription Renewal

Issuers and Trustees can renew Daily, Weekly and Monthly annual subscriptions. Renewing a subscription renews all the current recipients on the subscription and maintains their preferred delivery method. Subscriptions that are due for renewal will display a status of Renew in the Status column next to the subscription.

To access the Subscription Renewal page, in the Current Subscription List, click the **Renew** link. You may also renew from the Dashboard.

The screenshot shows the DTCC Asset Services Security Position Reports interface. At the top, there is a navigation bar with links for Home, Reports, Eligible Issue List, Agent Authorizations, EPY, Help, and Contact Us. The user is logged in as 'sprtestiop1@yaho...' with Company ID: 00260347 and Account ID: 00188255. The current page is 'Current Subscription List'.

Below the navigation bar, there is a search and filter section with fields for CUSIP, Ticker Symbol, Frequency, and Status, along with a Submit button. A callout bubble points to the 'Renew' link in the Status column of the table below, stating: 'Click **Renew** to extend the subscription to all the recipients for another year.'

The table displays two subscription items:

CUSIP	Ticker	Description	Frequency	Start Date	Renewal Date	Received By	Status	Amount	Owner	Participant Contact
222816100		COVANCE INC <	Dividend	01/28/2008	01/28/2009	Test Agent 1	N/A			N/A
222816100		COVANCE INC <	Weekly	01/28/2008	01/28/2016	Test Agent 2	Renew			N/A

A callout bubble points to the 'Renew' link in the Status column of the second row, stating: 'The amount you will be charged appears here.'

Below the table, there is a 'Renew Subscription' dialog box. It contains the following text: 'Please confirm that you wish to Renew your subscription. Your renewal will result in a charge of \$1,950 against the ePayment profile associated with this subscription. The profile owner will receive an invoice receipt via email the following business day.' Below this text, it says 'Recipients / Delivery Method: Test Agent 1 / Browser' and provides two buttons: 'Renew' and 'Do Not Renew'. A callout bubble points to the 'Renew' button, stating: 'The recipient(s) being renewed appear here.'

Renewing from the Dashboard

You may renew subscriptions from the Dashboard.

The screenshot shows the DTCC ASSET SERVICES Security Position Reports Dashboard. The 'Current Subscriptions' table is visible, with a 'Renew' link next to the subscription for CUSIP 222816100. A 'Renew Subscription' dialog box is open, showing the confirmation message and the 'Renew' and 'Do Not Renew' buttons. Callouts indicate that clicking 'Renew' extends the subscription for another year, and clicking 'Do Not Renew' allows the subscription to expire.

CUSIP	Frequency	Start Date	Renewal Date	Status	Report
128030202	Dividend	01/05/2016	01/05/2017	N/A	View
128030202	Weekly	01/05/2016	01/05/2017	Active	View
222816100	Dividend	01/28/2008	01/28/2009	N/A	View
222816100	Weekly	01/28/2008	01/28/2016	Renew	View

Renew Subscription

Please confirm that you wish to Renew your subscription. Your renewal will result in a charge of \$1,950 against the ePayment profile associated with this subscription. The profile owner will receive an invoice receipt via email the following business day.

Recipients / Delivery Method:
Test Agent 1 / Browser

If you wish the subscription to expire, click Do Not Renew. The subscription will end at the scheduled end date.

Renewing a Subscription

1. From the Dashboard in the Current Subscription area or from the Current Subscription List, click **Renew**. The Renew link appears in the status column next to the subscription. Subscriptions that do not have a Renew link are either not due for renewal or not eligible (i.e. Dividend Subscriptions).
2. Review the recipients who will be renewed and the amount that will be charged to your EPY profile.
3. If you do not want to renew all copies, choose **Do Not Renew**. Let the current subscription expire and enter a new subscription that additional recipients can then be added to.
4. When you are ready, click **Renew**. Your EPY profile will be charged.
A Confirmation message displays showing the amount and a billing transaction number.
5. Click **Done**.

The subscription is renewed for a year for the listed recipients with a start date of today.

Note: As a best practice, insure that your [Eligible Issue List](#), [Agent Authorizations](#) and [EPY](#) profile are up to date. You can update the EPY profile by clicking the EPY link.

Transferring Subscriptions

Transferring from the Current Subscription List

To access the Subscription Transfer page, in the Current Subscription List, Subs. Detail column, click the **View** link.

The screenshot shows the 'Current Subscription List' page with a table of subscriptions. A callout bubble points to the 'View' link in the 'Subs. Detail' column of the table.

CUSIP	Ticker	Description	Frequency	Start Date	Renewal Date	Received By	Status	Subs. Detail	Spreadsheet	Browser	Participant Contact
128030202	CALM	CAL-MAINE FOODS, INC -	Dividend	01/05/2016	01/05/2017	Agent 1	N/A	View		N/A	View
128030202	CALM	CAL-MAINE FOODS, INC -	Weekly	01/05/2016	01/05/2017	Agent 2	Active	View	N/A	View	View
222816100		COVANCE INC <	Dividend	01/28/2008	01/28/2009	Agent 3	N/A	View	N/A	N/A	N/A
222816100		COVANCE INC <	Weekly	01/28/2008	01/28/2016	Agent 4	Renew	View	N/A	N/A	N/A

Subscription Transfer

Issuers and Trustees can transfer a subscription from a current subscriber to a new subscriber. As an example, this may be needed if the Agent changes or the current recipient wants to change their delivery method. After you transfer the subscription the current recipient will no longer receive the report and the new recipient will receive reports via the same or a different delivery method for the time period remaining on the subscription. To access the Transfer Subscription page, from the Current Subscription List, click the View link in the Subscription Detail column.

The screenshot shows the 'Subscription Transfer' page with callout bubbles providing instructions:

1. Select the recipient who you want to transfer the subscription "From."
2. Select a delivery method for the new recipient.
3. Select the new recipient to transfer the subscription "To."

Transferring a Subscription

1. From the Current Subscription list, click the View link next to the subscription you wish to transfer. The Current Subscription List is accessed from the Reports menu.
2. From the Subscription Transfer page, select the recipient that you want to transfer the subscription from. Select from the left side of the page where the recipient and their current delivery method is shown.
3. Select a delivery method for the new recipient or a new delivery method for the current recipient. Select Browser, Spreadsheet or CCF (if available) from the right side of the page.
4. Select the new recipient to transfer the subscription to. Select from the drop down list next to the delivery method on the right side of the page.
5. Click **Submit**.
After you submit the Subscription Transfer, a Confirmation message displays showing details.
6. To complete the transfer, click **Confirm**.
A success message displays in the banner at the top of the page.
7. Click **Done**.
The new recipient will receive reports for the remainder of the subscription.

Other Reports

Viewing Omnibus PROXY Reports.

Omnibus Proxy

The Omnibus Proxy page allows Issuers and Trustees to access their omnibus proxy reports associated with corporate meetings and consents. DTC, the holder of record for depository-eligible securities, transfers the right to vote with respect to those securities to the DTC participants that hold record date positions via an Omnibus Proxy. On the day after record date DTC provides the Omnibus Proxy to the issuer along with a Security Position Report. Each report includes detailed share and contact information for each participant. Omnibus Proxy is available free of charge and also appears on the Dashboard.

Use the search and filters to narrow the list and find Proxy reports.

When your Proxy report is available, you can open it here or on the Dashboard.

CUSIP	Ticker	Description	Event	Type	Record Date	Meeting/Expiration Date	Report
128030202	CALM	CAL-MAINE FOODS, INC. -	Meeting	Annual	08/07/2015	10/02/2015	N/A
128030202	CALM	CAL-MAINE FOODS, INC. -	Meeting	Annual	08/15/2014	10/03/2014	View
128030202	CALM	CAL-MAINE FOODS, INC. -	Meeting	Annual	08/16/2013	10/04/2013	View
128030202	CALM	CAL-MAINE FOODS, INC. -	Meeting	Annual	08/17/2012	10/05/2012	N/A

Locate Proxy Reports

This page also contains search, filter and page-through features.

Enter a CUSIP or Ticker and click **Submit**.

Select a filter to narrow the list. Then click **Submit**. To remove the filter, click **Clear**.

Click Page through buttons when more than one page is displayed to go through the list.

CUSIP	Ticker	Description	Event	Type	Record Date	Meeting/Expiration Date	Report
128030202	CALM	CAL-MAINE FOODS, INC. -	Meeting	Annual	08/07/2015	10/02/2015	N/A
128030202	CALM	CAL-MAINE FOODS, INC. -	Meeting	Annual	08/15/2014	10/03/2014	View
128030202	CALM	CAL-MAINE FOODS, INC. -	Meeting	Annual	08/16/2013	10/04/2013	View
128030202	CALM	CAL-MAINE FOODS, INC. -	Meeting	Annual	08/17/2012	10/05/2012	N/A

Use features such as search, filter and sort to do the following:

- Find meetings grouped by frequency. For example you can view only annual meetings by selecting Annual and clicking **Submit**.
- Narrow the list to a single CUSIP or Ticker.

- Re-sort any of the column headings from ascending to descending order by clicking on them. Click again to return to original order. For example, to sort by Record Date, click Record Date.
- Click Page through buttons when more than one page is displayed to go through the full list.

Viewing Meeting and Consent Reports

Meetings/Consents List

The Meeting Consent page lists corporate events and the associated record date and consent expiration dates. This page is often used in conjunction with the omnibus proxy reports and can be used to verify that DTCC has your meeting record date information on file. The Meeting Consent List is available free of charge.

The screenshot shows the DTCC Security Position Reports interface. At the top, there is a navigation bar with 'Home', 'Reports', 'Eligible Issue List', and 'Contact Us'. The 'Reports' section is active. Below the navigation bar, there is a search area with fields for 'Search by CUSIP OR Ticker Symbol', 'Filter by Event', and 'Filter by Type'. The 'Filter by Event' dropdown is set to 'Consent Meeting', and the 'Filter by Type' dropdown is set to 'Annual'. There are 'Submit' and 'Clear' buttons. A table below displays the results, with columns for CUSIP, Ticker, Description, Event, Record Date, Meeting/Consent Date, and Type. Callouts provide instructions: 'Click a CUSIP link to order a Dividend Record Date report.', 'Select a filter to narrow the list. Then click Submit. To remove the filter, click Clear.', 'See the event Record Date.', and 'See the Meeting Date or the Consent Expiration Date.' The table shows 8 items, with the first four being for CALM (CAL-MAINE FOODS, INC.) and the last four for DKS (DICK'S SPORTING GOODS RR).

CUSIP	Ticker	Description	Event	Record Date	Meeting/Consent Date	Type
128030202	CALM	CAL-MAINE FOODS, INC -	Meeting	08/07/2015	10/02/2015	Annual
128030202	CALM	CAL-MAINE FOODS, INC -	Meeting	08/15/2014	10/03/2014	Annual
128030202	CALM	CAL-MAINE FOODS, INC -	Meeting	08/16/2013	10/04/2013	Annual
128030202	CALM	CAL-MAINE FOODS, INC -	Meeting	08/17/2012	10/05/2012	Annual
253393102	DKS	DICK'S SPORTING GOODS RR	Meeting	04/06/2015	06/03/2015	Annual
253393102	DKS	DICK'S SPORTING GOODS RR	Meeting	04/14/2014	06/11/2014	Annual
253393102	DKS	DICK'S SPORTING GOODS RR	Meeting	04/09/2013	06/05/2013	Annual
253393102	DKS	DICK'S SPORTING GOODS RR	Meeting	04/09/2012	06/06/2012	Annual

Locate Meetings and Consents

Use features such as search, filter and sort to do the following:

- Find meetings grouped by frequency. For example you can view only annual events by selecting Annual and clicking **Submit**.
- Narrow the list to a single CUSIP or Ticker.
- Re-sort any of the column headings from ascending to descending order by clicking on them. Click again to return to original order. For example, to sort by Record Date, click Record Date.
- Click Page through buttons when more than one page is displayed to go through the full list.