

SMART/Search Reports Available to Agents

REPORT NAME	ENTITLEMENT REQUIRED	DESCRIPTION
TA Payments		
Monthly Transfer Agent Fees	XDRS	Report detailing the amount each agent will receive due to FAST activity including deposits, withdrawals, and Direct Mail processing.
DMA Direct Mail Collection Report	XAIM	Report detailing the participant and dollar amount each agent will receive due to Direct Mail processing.
FAST/DRS		
FAST Balance Confirmation Summary (Monthly)	XDRS	Monthly report detailing the FAST balance activity for each FAST agent.
FAST Balance Confirmation Summary (Daily)	XDRS	Daily report detailing the FAST balance activity for each FAST agent.
DRS Profile Eligible Issues	XDRS	Report listing all issues that are eligible for the Direct Registration System (DRS) and indicates those issues eligible only in statement form. The report concludes with a list of the LPAs (transfer agents with limited participant privileges, which allow the use of DOs to deliver positions) associated with DRS and the number of issues that they transfer.
DRS Reversals - 392 thru 395	XDRS	Report listing all DRS reversals. A reversal occurs when a participant returns shares originally delivered through the DRS system. The report details the reason for the reversal.
SEG Reports		
PTS Transfer Agent Foreign SEGS Daily Report	XDRS	Report listing securities in the Seg100 program and their total position by issue.
PTS Participant Foreign SEGS Daily Report	XDRS	Report listing issues in the Seg100 program, including participant and position details.
PUTS		
PUT Survivor Options Pending Agent Approval	XCDM	Report listing Survivor Options instructions that have been submitted by participants that are pending agent approval.
PUT Survivor Options Pending Agent Payment	XCDM	Report listing Survivor Options instructions that have been selected for payment, but not yet paid (future payment date).
PUT Survivor Options Pending Agent Payment Select	XCDM	Report listing Survivor Options instructions that have been approved by the agent, but not yet selected for payment.
PUT Survivor Options Transmission Errors	XCDM	Report listing Survivor Options payment instruction transmission from the agent that contains errors.

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Principal & Income Payments		
Agent Principal & Income Payment Performance Summary	XAGN	Weekly report displaying a summary of an agent's Principal & Income allocation performance data.
Agent Imprecise Allocations: Dividends	XAGN	Weekly report displaying CUSIP-level detail of an agent's imprecise dividend allocations.
Agent Imprecise Allocations: Redemptions	XAGN	Weekly report displaying CUSIP-level detail of an agent's imprecise redemption allocations.
Agent EOD Unallocated Report: Dividends	XAGN	Report displaying CUSIP-level detail of an agent's unallocated dividend items.
Agent Late Wires Report	XAGN	Weekly report displaying an agent's late payment wire detail.

*Information on acceptable documentation and timeframes for notification to DTC are outlined in detail in the DTC Operational Arrangements, which should be referenced in addition to this resource. http://www.dtcc.com/~media/Files/Downloads/Settlement-Asset_Services/Underwriting/operational-arrangements.pdf