

IMPORTANT NOTICE

DTCC Solutions LLC



#: CBRS003.11
Date: May 20, 2011
To: All current and prospective Cost Basis Reporting Service (CBRS) users
From: Lydia Midwood
Subject: New functionality: upload from Excel to CBRS via WebDirect

DTCC has created new functionality that enables users to upload CBRS records from an Excel spreadsheet to CBRS via WebDirect. This functionality is intended for firms with a relatively low daily volume of CBRS records, to help them submit multiple records at one time. The upload provides an alternative to entering records via WebDirect input screens.

DTCC will provide a template on WebDirect to show customers the correct format to use so the application will accept the upload. Users must follow this template carefully: **CBRS will reject a spreadsheet that does not follow the correct format.** This template will be available only as a Microsoft Excel 2007 file (file extension .xlsx). DTCC will not provide the template in previous versions of Excel (file extension .xls).

The spreadsheet has a maximum size of 1,000 records (combined asset and tax lot records). CBRS rejects a file that is larger than 1,000 records. A user who wants to upload more than 1,000 records needs to divide the spreadsheet into more than one file. For example, if a user wants to upload 1,500 records, the user should create two files, each with less than 1,000 records.

The functionality will be available in the Production environment on June 24, 2011. The functionality will be available in the Participant Services Environment (PSE) for testing starting on June 10, 2011.

Additional Information

Please see the CBRS User Guide to learn more about the service:

<http://www.dtcc.com/products/documentation/cs/cbrs.php>

A copy of this Important Notice can be obtained from DTCC's website:

http://www.dtcc.com/products/documentation/cs/cbrs_notices.php

If you have questions about CBRS, please call your Relationship Manager or the Customer Service Hotline at 888-382-2721, option 6, then option 7, then option 2.

In response to customer feedback, DTCC is now offering enhanced access to all important notices via a new, Web-based subscription service. The new notification system leverages RSS Newsfeeds, providing significant benefits including real-time updates and customizable delivery. To learn more about this new service and to set up your own DTCC RSS alerts, visit http://www.dtcc.com/subscription_form.php.

To remove your name from the former system of email notifications, send a message to unsubscribe@dtcc.com.