



<b>B #:</b>	<b>1687-12</b>
<b>Date:</b>	<b>October 30, 2012</b>
<b>To:</b>	<b>All Participants</b>
<b>Category:</b>	<b>Settlement; Operations</b>
<b>From:</b>	<b>General Counsel's Office</b>
<b>Attention:</b>	<b>Managing Partner/Officer; Operations Partner/Officer; Settlement Manager/Cashier; Treasury Operations Manager/Officer</b>
<b>Subject:</b>	<b>DTC Client Update on Superstorm Sandy – Current and Ongoing Operations as Markets Re-Open; Physical Certificates</b>

As you may have seen on the news, lower Manhattan has been significantly affected by flooding and power outages, including our headquarter location. Because of this, all clearing, settlement and other processes have been successfully shifted to our alternate data and operations centers. The firm is currently operational and expects to maintain full operations, except for physical certificate processing and custody services, when the US markets re-open for business.

We will continue to provide transaction processing and settlement today, following our company-established emergency response procedures. DTC will follow normal processing schedules for all transactions and applications.

Deadlines for DTC participants' fund, settlement and other processes will be as usual, and all other services will proceed normally, with the exception of all physical certificate processing services.

### **Physical Certificates**

While it is too early at this time to make a definitive determination, we anticipate that due to the flooding in our lower Manhattan location, physical certificates held in our securities vault are likely to have been damaged. We are diligently monitoring and assessing the situation.

All Securities Processing functions, including Custody service, are suspended until further notice and we will not be accepting or releasing any physical certificates during this period. We are working with our clients to address this situation and minimize disruptions as much as possible. We will provide additional updates as more information becomes available.

### **Contact Telephone Numbers**

If you have any issues or concerns, or need to notify us of your contingency plans, please use the following list of numbers to reach DTCC Operations staff in our Tampa office:

**Customer Support Center**

855-229-6762

[csc@dtcc.com](mailto:csc@dtcc.com)

**Client Account Representative Team  
Clearance/Settlement/Depository Services**

813-470-1220

813-470-1230

813-470-1221

813-470-1617

813-470-1231

813-470-1222

**WMS/Insurance/AIP**

813-470-1532

813-470-1163

**Enterprise Service Center (ESC)**

813-470-1543

813-470-1537

212-855-5947

**Business and Technical Support**

813-470-1523

813-470-1513

813-470-1536

813-470-1517

813-470-1534

813-470-1506

813-470-1516

813-470-1576

813-470-1594

813-470-1556

813-470-1555

718-510-5339

**Customer Help Center**

813-470-1169

813-470-1203

813-470-1141

813-470-1581

813-470-1561

**Settlement**

813-470-1021

813-470-1029

**CNS/CMU**

813-470-1033

813-470-1022

**FICC-GSD**

813-470-2615

**FICC-MBSD**

813-470-2638

**Voluntary Reorganization**

813-470-1020

813-470-2230

813-470-1191

**Mandatory Reorganization**

813-470-1131

813-470-1213

813-470-1136

**Stock Dividend/Tax Services/Dividend International**

813-470-1075

813-470-1568

813-470-1254

**Dividends/Redemptions**

813-470-2210

813-470-1550

813-470-1160

813-470-1591

**Operations Balancing and Control**

813-470-1130

813-470-1192

813-470-1166

**Underwriting**

813-470-1010 (alternative closing call hotline, stay on the line, do not use the options)

813-470-1031

813-470-1043

813-470-1057

813-470-1053

813-470-1065