



B #:	2003-15
Date:	November 3, 2015
To:	All Transfer Agents and Trustees
Category:	Corporate Trust Services
From:	Securities Processing Operations and Product Management
Attention:	All Operations Managers
Subject:	New Agent Web Page on DTCC's Web Site

We are pleased to announce that DTCC has developed an Agent Web page on its public web site, www.dtcc.com. This web resource was developed to address the needs of the Agent community when interfacing with DTCC's depository unit, DTC.

Features of the new Agent web site include:

- All Agent-related Computer-to-Computer (CCF) file guides
- Details concerning all DTC services related to Agents
- DTC member directories
- Mailbox contact list
- Agent-related SMART/Search reports
- Extensive list of "How To..." guides
- Link to DTCC Learning with interactive teaching tools
- TA Essentials:
 - 17Ad-16 form
 - FINS form
 - DTC Operational Arrangements document
 - Tax forms
 - ANIRA user guide and registration forms

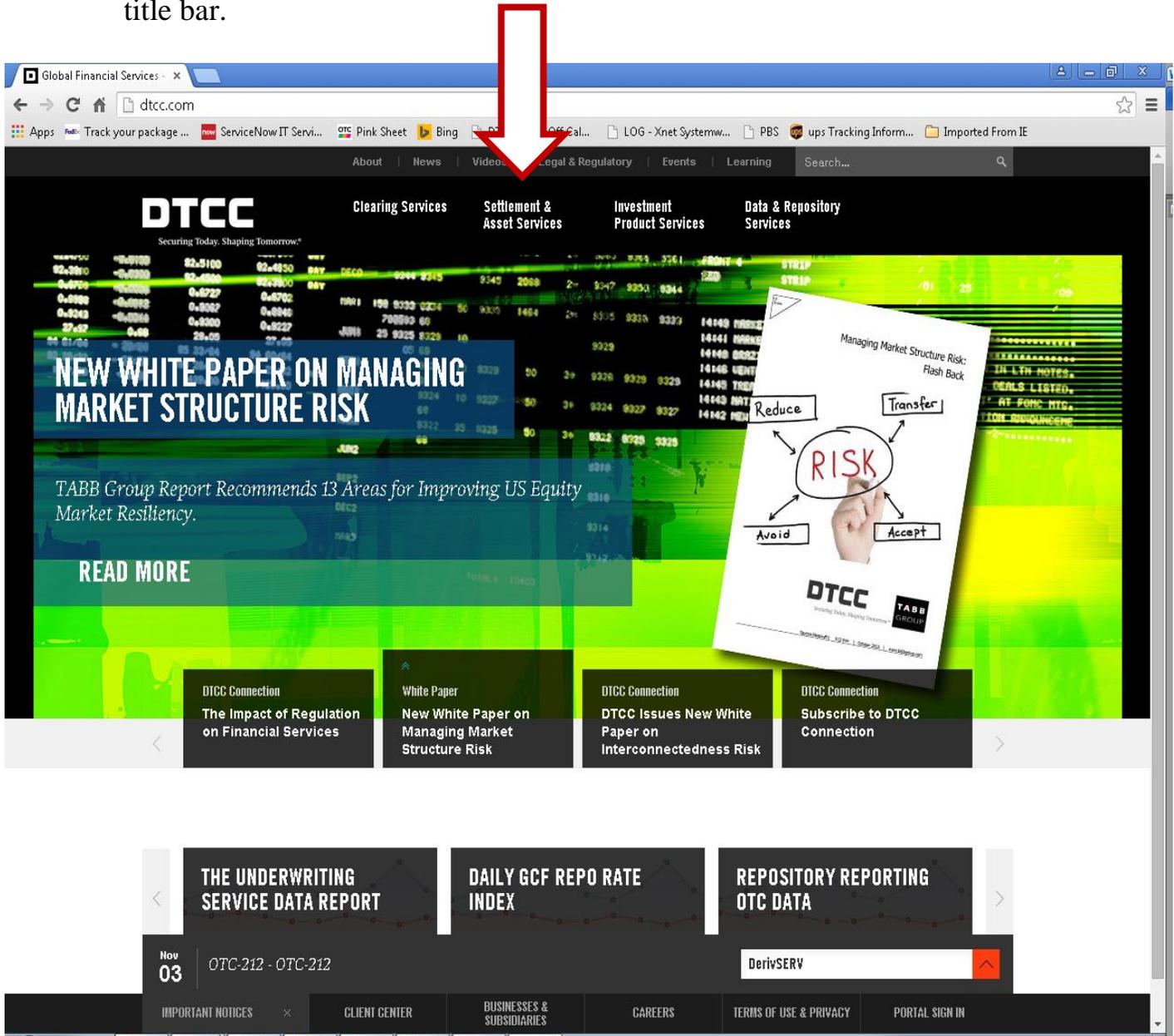
Agents are encouraged to access the web site and make use of the resources. All suggestions, recommendation and comments can be sent to the undersigned at jpclemente@dtcc.com or (813) 470-1228.

Please note the attached access instructions.

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

ACCESSING THE AGENT WEB PAGE ON [WWW.DTCC.COM](http://www.dtcc.com)

1. Either type or copy-and-paste www.dtcc.com into your browser.
2. When the DTCC home page opens, click on **Settlement & Asset Services** on the title bar.



- When the Settlement & Asset Service page opens, scroll down to **AGENT SERVICES**, directly under **SECURITIES PROCESSING**.

The screenshot shows a web browser window with the URL dtcc.com/asset-services. The page content is as follows:

SECURITIES PROCESSING

Through its suite of Securities Processing services The Depository Trust Company (DTC) provides its participant firms a range of safekeeping and processing services for various types of securities. Securities Processing services deliver efficient and cost-effective solutions for deposits, withdrawals, electronic direct registration and custody.

- **Custody Service**
- **Direct Registration System**
- **Withdrawals Service**
- **Deposit and Withdrawal at Custodian (DWAC)**
- **Deposits Service**

[Visit All Products & Services →](#)

AGENT SERVICES

This web page is designed to facilitate communication with the agent community by providing information and reference documentation that is necessary to interact with The Depository Trust Company (DTC).

Agent Services is the entry point for transfer agents at DTC. In order to establish a relationship with DTC, agents must first become DTC-eligible. The links below provide information and documentation that agents must complete in order to become DTC-eligible agents, FAST agents, and eligible for DTC's Direct Registration System (DRS). The Issuer Services link provides access to an array of central communication and information resources for depository-eligible securities that facilitate outreach by issuers to shareholders.

- **Becoming a DTC-Eligible Agent**
- **The FAST Program and Becoming a DTC FAST Transfer Agent**
- **Direct Registration System**
- **Issuer Services**

[Visit All Products & Services →](#)

The bottom of the page features a dark navigation bar with the following elements:

- Now 03 | OTC-212 - OTC-212
- DerivSERV
- IMPORTANT NOTICES
- CLIENT CENTER
- BUSINESSES & SUBSIDIARIES
- CAREERS
- TERMS OF USE & PRIVACY
- PORTAL SIGN IN

4. Click on any/all of the links, or click on **Visit All Products & Services**

Settlement & Asset Service x
dtcc.com/asset-services

Apps | Track your package ... | ServiceNow/IT Servi... | OTC Pink Sheet | Bing | DTCC Time-Off Cal... | LOG - Xnet Systemw... | PBS | ups Tracking Inform... | Imported From IE

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- Direct Registration System
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[Visit All Products & Services →](#)

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[Visit All Products & Services →](#)

GLOBAL TAX SERVICES

Global Tax Services offers a variety of services for both domestic and

Nov 03 | OTC-212 - OTC-212 | DerivSERV

IMPORTANT NOTICES | CLIENT CENTER | BUSINESSES & SUBSIDIARIES | CAREERS | TERMS OF USE & PRIVACY | PORTAL SIGN IN

5. On the **PRODUCTS AND SERVICES PAGE**, click on **Learn More**.

dtcc.com/asset-services/agent-services

Home / Settlement & Asset Services / **Agent Services** [Share](#) [Print](#)

CONTACT CLIENT SUPPORT
Speak to a Client Support Representative
1.888.382.2721
[Home](#)

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PRODUCTS AND SERVICES

BECOMING A DTC-ELIGIBLE AGENT	In order to interact and communicate with DTC, agents must first become eligible in DTC's system.	Learn More
THE FAST PROGRAM	FAST is a contract between DTC and transfer agents whereby FAST agents act as custodians for DTC.	Learn More
DRS	The Direct Registration System (DRS) enables investors to elect to hold their assets in book entry form directly with the issuer by leveraging DTC's connectivity with FAST transfer agents.	Learn More

NEWS AND INSIGHTS

- November 03, 2015**
DTCC Executive Joins Discussions on ISO 20022 and Asset Servicing Automation
- October 13, 2015**
Clariant and FIA Tech Introduce OCR Reporting Solution
- October 12, 2015**
DTCC SPOTLIGHTS THE ROLE OF INTERCONNECTEDNESS IN THE TRANSMISSION OF RISK AND SHARES PRACTICAL RECOMMENDATIONS

IMPORTANT NOTICES [CLIENT CENTER](#) [BUSINESSES & SUBSIDIARIES](#) [CAREERS](#) [TERMS OF USE & PRIVACY](#) [PORTAL SIGN IN](#)

6. Be sure to note the links under **ESSENTIALS**:

dtcc.com/asset-services/agent-services/dtc-eligible-agent

About | News | Videos | Legal & Regulatory | Events | Learning | Search...

DTCC
Securing Today. Shaping Tomorrow.*

Clearing Services | Settlement & Asset Services | Investment Product Services | Data & Repository Services

BECOMING A DTC-ELIGIBLE AGENT

Home / Settlement & Asset Services / Agent Services / Agent Services | Share | Print | Contact Relationship Management ▾

Overview | News | Legal | Client Center

This web page is designed to facilitate communication with the agent community by providing information and reference documentation that is necessary to interact with DTC.

DTC-ELIGIBLE TRANSFER AGENTS

Agents interested in becoming DTC-eligible must complete and sign the documents referenced below and email them to taservices@dtcc.com. Once the required documentation is completed, a DTC representative will contact the agent to finalize the request.

- [DTC Operational Arrangements](#)
- [Financial Industry Numbering Standard \(FINS\)](#)
- [Request to Become a DTC-Eligible Transfer Agent](#)
- [Request to Complete US Tax Form](#)

ESSENTIALS

- [Agent-Specific DTC CCF Files](#)
- [Announcements & Reports](#)
- [Asset Services Performance Metrics - Principal & Income Cash Processing](#)
- [DTC Member Directories](#)
- [DTC Operational Arrangements](#)
- [DTC Points of Contact for Agents](#)
- [FAST Program FAQs](#)
- [FINS Form](#)
- [Notice of Assumption or Termination of Transfer Agent Services Form 17Ad-16](#)
- [SMART/Search Report Listing](#)

LEGAL AND REGULATORY

IMPORTANT NOTICES | CLIENT CENTER | BUSINESSES & SUBSIDIARIES | CAREERS | TERMS OF USE & PRIVACY | PORTAL SIGN IN

7. Further down on the same page is a link to the **FAST Learning Center**. Click on the link.

The screenshot shows a web browser window with the URL dtcc.com/asset-services/agent-services/fast. The page content includes:

- HOW THE PROGRAM WORKS**
 - Agents establish access to DTC's system through PTS/PBS or ANIRA. This access is required for daily balancing of FAST positions as well as confirming transactions made into and out of DTC's FAST balance. New FAST agents will be assigned a FAST transfer agent number by DTC.
 - Requests to add DTC-eligible securities to the FAST program should be directed to the FAST Implementation mailbox at FAST_Implementation@dtcc.com. All requests should include the security's CUSIP and the applicable FAST agent number. While debt issues are added upon request, all equity issues undergo an application review process. Upon approval, DTC will send the inventory to the agent for cancellation and will provide instructions about adding the security to the FAST balance. The agent (as required by the FAST Balance Certificate Agreement) must create a balance certificate representing the FAST balance position for each security.
- FAST Agent Application Process and Requirements**
 - DTC-eligible agents interested in becoming a DTC FAST agent must fulfill the requirements listed below. Once these requirements have been fulfilled, the application will be reviewed and the transfer agent will be notified if they have been approved or denied FAST agent eligibility.
 - [FAST Requirements for DTC-Eligible Transfer Agents](#)
 - [Balance Certificate Agreement](#)
 - [Operational Criteria for FAST](#)
 - [Key Elements of Insurance](#)
 - [Deposit/Withdrawal at Custodian \(DWAC\) Agreement](#) (optional)
- Connectivity to DTC**
 - There are various communication protocols to establish connectivity with DTC, including mainframe and via broadband Internet. Typically, large and medium-size agents elect mainframe connection while smaller agents elect broadband Internet connection to DTC. ANIRA facilitates access to DTC's systems via broadband Internet connection. The details needed to connect to DTC through ANIRA are

On the right side of the page, there is a sidebar with the following sections:

- LEGAL AND REGULATORY**
 - [DTC Rules & Procedures](#)
 - [Important Notices](#)
 - [SEC Rule Filings](#)
- FROM THE LEARNING CENTER**
 - [FAST Learning Center](#) (indicated by a red arrow)
 - [Lifecycle of a Security](#)
 - [Electronic Document Library \(EDL\) - Service Guides, Fee Guides, User Guides, Product Guides](#)
- WHO TO CONTACT**
 - Transfer Agent Services
TAServices@dtcc.com
- NEWS AND INSIGHTS**
 - November 03, 2015**
DTCC Executive Joins Discussions on ISO 20022 and Asset Servicing Automation

The footer contains navigation links: [IMPORTANT NOTICES](#), [CLIENT CENTER](#), [BUSINESSES & SUBSIDIARIES](#), [CAREERS](#), [TERMS OF USE & PRIVACY](#), and [PORTAL SIGN IN](#).

8. The first time you access the page, click on **Register Now** in the Log in box and create your password.

The screenshot shows a web browser window displaying the DTCC Asset Services website. The URL in the address bar is <https://www.dtcclearning.com/learning/assetservices/products/fast-automated-securities-transfer.html>. The page features a dark header with the DTCC Asset Services logo on the left and navigation links (HOME, TOPICS, REFERENCE MEDIA, COURSES AND EVENTS, NEED SUPPORT?, VIDEOS) on the right. A search bar is also present. Below the header, there is a 'Login' section on the left with a red arrow pointing to the 'Register Now' link. The 'Login' section includes fields for 'Business Email' and 'Password', a 'Remember me' checkbox, and a 'Login' button. Below these fields are links for 'Forgot your password?', 'Forgot your username?', and 'Register Now'. To the right of the login section is a large white box containing the title 'Fast Automated Securities Transfer (FAST)', social media icons, and a welcome message: 'Welcome to the Fast Automated Securities Transfer (FAST) Learning Center!'. Below the welcome message is a paragraph explaining the FAST program and a video player titled 'Interview with Joe Clemente Product Manager (Asset Services) FAST Overview'. The video player shows a progress bar at 5:55.